

# Fiscal Year 2020 Operating Plan



Approved: October 16, 2019

Our Mission: *Keeping Consumers Safe*



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# Table of Contents

## Section I

### **Budget Tables & Key Performance Measure Summary**

Budget Table 1 – FY 2020 Operating Plan Summary of Changes.....	1
Budget Table 2 – Funding and FTE by Major Organization.....	2
Key Performance Measure Summary.....	3

## Section II

### **Voluntary Standards, Mandatory Standards, and Epidemiological Reports**

Voluntary Standards Summary.....	5
Mandatory Standards Summary.....	8
Epidemiological Reports.....	10

## Section III

### **CPSC Mission Organizations – Operating Plan Details**

Hazard Identification.....	11
Compliance.....	22
Import Surveillance.....	28
International Programs.....	31
Communications.....	34
Information Technology.....	37
Other Offices.....	41

## Appendices

<b>Appendix A:</b> Changes to Key Performance Measures from the FY 2020 Budget Request.....	43
<b>Appendix B:</b> CPSC 2018–2022 Strategic Plan – Operating Plan Alignment.....	45

# Budget Table 1

## FY 2020 Operating Plan - Summary of Changes

(Dollars in millions)

	Dollars	FTE
<b>FY 2019 Enacted</b>	<b>\$127.0</b>	<b>539</b>
1. <i>Pay</i>	\$1.744	
2. <i>FTE Reduction</i>	-\$0.800	-5
3. <i>Shared Services Savings</i>	-\$0.973	
4. <i>Increase for OIG Audit Budget</i>	\$0.029	
<b>FY 2020 Operating Plan</b>	<b>\$127.0</b>	<b>534</b>

**1. *Pay* (\$1.744 million)**

The FY 2020 Operating Plan allocates an additional \$1.744 million above the enacted FY 2019 level for personnel salary and benefits to account for known increases in payroll costs. The increase to personnel salary and benefits will fund 534 FTEs, which is 5 FTEs less than the enacted FY 2019 FTE level (see "FTE Reduction" below).

**2. *FTE Reduction* (-\$0.800 million)**

The FY 2020 Operating Plan partially offsets the increase in payroll costs with a 5-FTE reduction from the enacted FY 2019 FTE level. The resulting offset is a \$0.800 million reduction. As of the start of FY 2020, the agency is operating below the enacted FY 2019 staffing level. Accordingly, these reductions will not impact existing FTEs, but rather, will reduce future hiring of new employees. In addition, if there is a congressionally directed pay raise without an associated increase in appropriations, those cost increases will also be absorbed by additional reductions in future hiring.<sup>1</sup>

**3. *Shared Services Savings* (-\$0.973 million)**

The CPSC transitioned to a new financial management shared-services provider in FY 2019. As a result of the transition, the CPSC has realized savings of \$0.973 million from the enacted FY 2019 level. Those savings are comprised of reduced operations and maintenance fees to the new provider, decommissioning of CPSC's legacy contracting system, and the transition costs of migrating to the new provider.

**4. *Increase for OIG Audit Budget* (\$0.029 million)**

The CPSC's Office of Inspector General (OIG) has indicated a need for an additional \$0.029 million in non-payroll funding above the enacted FY 2019 level to support contracted audit work.

<sup>1</sup> If the CPSC's FY 2020 enacted appropriation level is higher than the FY 2020 *Request* level, the FTE reduction, most likely, will not materialize.

## Budget Table 2

### Funding and FTE by Major Organization

Presented in the table below are the FY 2020 operating budget levels for each organization (column 1) and the corresponding FY 2020 operating full-time equivalent (FTE) level (column 2).

(Dollars in Thousands)	FY 2020 Operating Plan	
	Column 1 FY 2020 Budget	Column 2 FY 2020 FTE
<b>Budget Details: FY 2020 Salaries and Expenses</b>		
Commissioners	\$ 165	21
Office of Hazard Identification & Reduction		160
<i>Office of Hazard Identification</i>	\$ 3,926	
<i>Laboratory Operations</i>	\$ 1,293	
<i>NEISS</i>	\$ 2,400	
Office of Compliance & Field Operations		
<i>Compliance – HQ</i>	\$ 363	56
<i>Compliance – Field Operations</i>	\$ 1,226	91
Office of Import Surveillance	\$ 865	42
Office of International Programs	\$ 721	7
Office of Financial Management, Planning & Evaluation	\$ 1,991	27
<i>Financial Audit</i>	\$ 150	
Office of Information & Technology Services		40
<i>Office of Information Technology</i>	\$ 80	
<i>IT Infrastructure</i>	\$ 6,890	
<i>CPSC's Information Systems</i>	\$ 4,553	
<i>Risk Assessment Methodology – Import</i>	\$ 2,600	
Office of Human Resources Management	\$ 528	11
Office of Facilities Services (excludes Rent/Util/Security)	\$ 1,719	10
Office of the Executive Director	\$ 84	8 <sup>2</sup>
Office of the General Counsel	\$ 440	44
Office of the Inspector General	\$ 165	7
Office of Communications		10
<i>Office of Communications</i>	\$ 1,230	
<i>Campaigns</i>	\$ 1,500	
Office of Legislative Affairs	\$ 15	3
Office of EEO & Minority Enterprise	\$ 43	2
<b>Centrally Managed Costs</b>		
Salaries	\$ 84,484	
Rent/Util/Security	\$ 9,565	
VGB Grants	\$ 800	
Representation Fund	\$ 4	
Salary Shortfall	\$ (800)	-5 <sup>3</sup>
<b>Total</b>	<b>\$ 127,000</b>	<b>534<sup>4</sup></b>
<b>Other Available Budgetary Resources - Prior Year</b>	<b>Budget</b>	<b>FTE</b>
VGB Grants Program <sup>5</sup>	\$ 1,179	

<sup>2</sup> Includes one FTE for a consumer ombudsman position.

<sup>3</sup> The 5-FTE reduction due to the shortfall in overall salaries will be absorbed through existing vacancies and will not impact on-board FTEs.

<sup>4</sup> In FY 2020, to expand agency expertise on innovation and the safety implications associated with emerging technologies, staff, in consultation with the Commission, will allocate resources and one FTE, at the discretion of the Executive Director and without negatively impacting the agency's safety mission, for the purposes of hiring a Chief Technologist. Also, in FY 2020, the CPSC will continue its ongoing efforts to develop an agency-wide data management and analytics strategy to support the CPSC mission, and allocate resources and one FTE, in consultation with the Commissioners, at the discretion of the Executive Director and without negatively impacting the agency's safety mission, for the purposes of hiring a Chief Analytics Officer.

<sup>5</sup> No-year funds: Amount available based on all obligations incurred prior to September 17, 2019 and new grants expected to be awarded by September 30, 2019.

# Key Performance Measure Summary

The CPSC's Key Performance Measures (KMs) are reported externally. Listed in the table below are KMs that the agency submitted with its FY 2020 *Request* to Congress (March 2019), as amended (see Appendix A). Operating Measures (OPs) and Milestones are monitored and reported internally and are included in each mission organization's section of this document.

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

Strategic Objective (SO)	Key Performance Measure (KM)	Lead Office	FY 2020 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>2020KM3.1.01</b> Percentage of cases for which a preliminary determination is made within 85 business days of the case opening	Compliance	65%
	<b>2020KM3.1.02</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%
	<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%
<b>SO 3.2</b> Minimize further exposure to hazardous consumer products	<b>2020KM3.2.02</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%
	<b>2020KM3.2.03</b> Percentage of Fast-Track cases with corrective actions initiated within 20 business days of the case opening		90%
	<b>2020KM3.2.04</b> Percentage of cases for which a corrective action is accepted within 90 business days of preliminary determination		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%
<b>SO 3.3</b> Improve consumer response to consumer product recalls	<b>2020KM3.3.01</b> Recall effectiveness rate for all consumer product recalls	Compliance	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>2020KM4.1.02</b> Number of engagements with CPSC safety messaging on social media channels by stakeholders <sup>6</sup> (in thousands)	Communications	840
<b>SO 4.2</b> Increase dissemination of useful consumer product safety information	<b>2020KM4.2.04</b> Number of national media placements of CPSC stories	Communications	6
	<b>2020KM4.2.05</b> Percentage of recall press releases issued in 22 days or less from first draft		60%
<b>SO 4.3<sup>7</sup></b> Increase and enhance collaboration with stakeholders			

<sup>6</sup> "Engagements" refer to the number of interactions (likes, shares, comments) with CPSC social media content.

<sup>7</sup> In October 2019, the Commission voted to remove Key Measure 4.3.01, which was submitted as part of CPSC's FY 2020 *Request* to Congress in March 2019. As such, there are no key measures under Strategic Objective 4.3 for FY 2020 at the time of this document's publication.



# 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 would 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.

***FY 2020 Activities:*** CPSC staff participates actively in voluntary standards activities for identified products listed in the table on the pages to follow. 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.

Key to Table	
•	Denotes active participation in related voluntary standards activities



## Voluntary Standards Summary Table

Product		FY 2020 Request	FY 2020 Op Plan
<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	•	•

Product		FY 2020 Request	FY 2020 Op Plan
42	Gates and Expandable Enclosures	•	•
43	Infant Inclined Sleep Products	•	•
44	Portable Fireplaces	•	
45	Portable Generators	•	•
46	Recreational Off-Highway Vehicles (ROVs)	•	•
47	Table Saws	•	•
48	Upholstered Furniture	•	•
49	Window Coverings	•	•
<b>Other Planned Voluntary Standards Activities</b>			
50	Additive Manufacturing/3-D Printing		•
51	Amusement Rides, Trampoline Parks, and Adventure Attractions	•	•
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>72</b>	<b>78</b>

# Mandatory Standards Summary

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*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 be imported, distributed, or sold in the United States.

*CPSC's Statutory Requirement:* When CPSC can make the required statutory determinations, the agency may establish mandatory regulations. 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 2020 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.

Key to Table	
The terms ANPR, NPR, FR, or DFR indicate that a briefing package with a draft ANPR, draft NPR, draft FR, or draft DFR was or will be submitted to the Commission. It does not indicate the final action of the Commission.	
<b>ANPR</b>	Advance Notice of Proposed Rulemaking
<b>NPR</b>	Notice of Proposed Rulemaking
<b>SNPR</b>	Supplemental Notice of Proposed Rulemaking
<b>FR</b>	Final Rule
<b>DFR</b>	Direct Final Rule
<b>BP</b>	Briefing Package
<b>DA/TR</b>	Data Analysis and/or Technical Review

## Mandatory Standards Summary Table

Items by Major Categories		FY 2020 Request	FY 2020 Op Plan
<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	FR	DA/TR
	Crib Mattresses (include Supplemental and Aftermarket)	FR	NPR
	Gates and Other Enclosures	FR	FR
	Infant Sleep Products	DA/TR	SNPR
	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
	Lead	DA/TR	DA/TR
	Mattress 16 CFR Part 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
<b>Burden Reduction</b>			
	Burden Reduction Manufactured Fibers	FR	FR
	General Wearing Apparel 16 CFR Part 1610 Burden Reduction/Review		BP
<b>Other Ongoing or Potential Rulemaking-Related Activities</b>			
	Adjudicative Rules	FR	FR
	Adult Portable Bed Rails Petition		BP
	Clothing Storage Units Tip-Over	NPR	NPR
	Flooring Petition	DA/TR	
	FOIA Fee Update		FR
	Furnaces (CO Hazards)	DA/TR	DA/TR
	Lab Accreditation IBR Update	DFR	DFR
	Magnet Sets Petition	DA/TR	DA/TR
	Organohalogens Petition	DA/TR	DA/TR
	Portable Fireplaces	DA/TR	
	Portable Generators	DA/TR	DA/TR
	ROV Rulemaking Termination Package		BP
	Table Saws	DA/TR	FR
	Upholstered Furniture	DA/TR	DA/TR
	Walk-behind Power Lawn Mowers Petition		BP
	Window Coverings	DA/TR	DA/TR
<b>Number of candidates for rulemaking (ANPR, NPR, SNPR, DFR, and FR)</b>		<b>7</b>	<b>12</b>

## Epidemiological Reports

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**Definition:** Hazard characterization reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards.

**FY 2020 Activities:** CPSC staff plans to work on the reports listed in the table below. This work will involve analysis of incident data to characterize risk to inform a range of CPSC projects and initiatives. Draft reports for each of the following will be submitted into Assistant Executive Director (AED) clearance in FY 2020:

Report
Carbon Monoxide Fatalities Report
Annual Residential Fire Loss Report
Annual Pool Drowning to Children under 5 Report
E-scooters Report
Annual Fireworks Report
Generators and Engine Driven Tools – CO Incident Summary Report
Annual Toy Report
Pediatric Poisoning Fatality Report
Tip-over Injuries and Fatalities
Annual Nursery Product Report
Off-Road Vehicle Report (includes ATVs, ROVs, and UTVs)

## Office of Hazard Identification and Reduction (EXHR)

Duane Boniface, Acting Assistant Executive Director (AED)

### 1. Resource Summary

	FY 2020 Operating Plan	
	Budget (in thousands)	FTE
Office of Hazard Identification and Reduction	\$ 3,926	160
Laboratory Operations	\$ 1,293	
NEISS	\$ 2,400	
<b>Total</b>	<b>\$ 7,619</b>	<b>160</b>

### 2. Overview and Priority Activities

The Office of Hazard Identification and Reduction (EXHR) is a Co-Goal Leader for Strategic Goal 2 (Prevention) and Strategic Goal 3 (Response); and it is responsible for managing CPSC's Hazard Identification and Analysis (HIA) and Hazard Assessment and Reduction (HAR) programs. EXHR executes these programs through collection and analysis of data to identify hazards and hazard patterns and to evaluate the risks associated with consumer products; collaboration with voluntary standards development organizations (SDOs); technical work and laboratory testing to support HAR, Compliance, and Import Surveillance programs; and technical evaluation of petitions submitted to the Commission.

EXHR has line authority over the Directorates for Epidemiology, Health Sciences, Economic Analysis, Engineering Sciences and Laboratory Sciences:

- **Directorate for Epidemiology** is responsible for the collection and analysis of data on injuries and deaths associated with consumer products.
- **Directorate of Health Sciences** is responsible for reviewing and evaluating the human health effects and hazards related to consumer products and assessing exposure, uptake, and metabolism, including information on population segments at risk.
- **Directorate of Economic Analysis** is responsible for developing and analyzing information on economic, social, and environmental issues related to Commission action.
- **Directorate of Engineering Sciences** is responsible for implementing the Commission's engineering programs.
- **Directorate for Laboratory Sciences** is responsible for conducting engineering analyses and testing of consumer products, supporting the development of voluntary and mandatory standards, and supporting the agency's compliance activities through product safety assessments.

**FY 2020 Priority Activities<sup>8</sup>:**

- Improve EXHR's data analytic capabilities by implementing and evaluating use cases (*e.g.*, automated data classification and product matching) to inform CPSC's data analytics and management strategy and recommend next steps (SO 2.1)
- Review and update internal controls and related processes and procedures for delivery of data to the public to ensure that PII and/or Section 6 information is not transmitted in an unauthorized manner. This will include construction of an online data clearinghouse to permit the public to obtain incident data. (SO 2.1)
- Focus on potential safety issues with Internet of Things (IoT)/connected products through continued involvement with the multi-federal agency working group (SO 2.2)
- Through multi-disciplinary efforts, focus on electric scooters and other micromobility devices (SO 2.2)
- Continue research and voluntary standards efforts associated with 3-D printing (SO 2.2)
- Conduct voluntary standards efforts and continue research on potential safety issues associated with Wearable-related products (SO 2.2)
- Drive changes to standards and policy associated with consumer use of smoke and CO alarms, by developing an action plan that includes gaining information on working smoke alarms in consumer homes and presenting the results to smoke and CO alarm organizations, associations, and/or advocacies (SO 2.2)
- Work with SDOs, manufacturers, trade associations, other federal agencies, and foreign government agencies to address fire hazards associated with rechargeable high-energy density batteries (SO 2.2)
- Submit for Commission consideration rulemaking packages approved in the mandatory standards table (SO 2.2)
- Identify and implement burden-reduction measures that decrease costs without adversely impacting safety, including an FR on Manufactured Fibers and the results of ongoing reviews of flammability testing exemptions (SO 2.2)
- Drive development of custom window coverings voluntary standards (SO 2.2)
- Drive development of Off-Highway Vehicle (OHV) voluntary standards to address thermal and debris penetration hazards (SO 2.2)
- Support priority Compliance program activities, including liquid nicotine enforcement and e-commerce surveillance efforts (SO 3.1)

**3. Strategic Plan Alignment and Project Summary**

FY 2020 Project		Strategic Goal
<b>11179</b>	National Electronic Injury Surveillance System (NEISS)	2
<b>11282</b>	Mortality/Incident Data	2
<b>12165</b>	Investigations	2
<b>13327</b>	Emerging Hazards	2
<b>13329</b>	Integrated Teams	2
<b>13330</b>	Data Intake and Clearinghouse	2
<b>13331</b>	Petitions, OLA Support, and Other Hazard Work	2
<b>14125</b>	Economics Studies	2
<b>21498</b>	Upholstered Furniture Flammability Rulemaking	2
<b>21518</b>	Electrical Hazards: Voluntary Standards and Codes	2

<sup>8</sup> Each priority activity ties to a specific strategic objective (SO), indicated in parentheses after the activity statement. For a complete list of all of the agency's FY 2020 Priority Activities, please see Appendix B.



FY 2020 Project		Strategic Goal
21725	Fire Hazards: Voluntary Codes and Standards	2
21726	Fire Hazards: Rulemaking Activities	2
22560	Children's/Nursery Product Hazards: Voluntary Standards	2
22637	All-Terrain Vehicles (ATVs): Rulemaking Activities	2
22640	Older Consumer Safety Hazards	2
22646	Table Saws: Rulemaking Activities	2
22666	Mechanical Hazards: Voluntary Codes and Standards	2
22667	Mechanical Hazards: Rulemaking Activities (General Use Products)	2
22727	Children's/Nursery Product Hazards: Rulemaking Activities	2
23258	Chemical Hazards: Voluntary Standards	2
23259	Chemical Hazards: Rulemaking Activities	2
23335	Combustion (Carbon Monoxide) Hazards: Voluntary Standards Activities	2
23336	Combustion (Carbon Monoxide) Hazards: Rulemaking Activities	2
23704	Nanotechnology	2
24013	Laboratory Equipment and Operations Support	2
24505	EXHR Project Support	2
25720	Regulatory Management	2
25723	Lab Accreditation (CPSIA § 102)	2
25727	Burden Reduction	2
25777	EXHR Leadership and Administration	2
34351/34352	Import Activities: Regulated/Defects	2

#### 11179 - National Electronic Injury Surveillance System (NEISS)

This project includes activities associated with NEISS. This project provides technical statistical support to help ensure:

- Capture of quality consumer product hazard/injury incident data;
- Statistically sound national injury estimates; and
- Publicly available incident data and annual characterizations of injury and hazard patterns.

These estimates inform both voluntary and mandatory standards development.

NEISS is also the source of data on incidents for follow-up investigations to identify and document the hazard environment and patterns associated with selected products under CPSC's jurisdiction.

This project also includes coordination of NEISS activities that are funded by other federal agencies. In FY 2020, staff will also conduct a follow-up analysis of the utility of product-related incident data from urgent care centers.

#### 11282 - Mortality/Incident Data

This project includes collection of anecdotal, mortality, and incident data associated with consumer products. This project covers resources for the identification and coding of:

- Death certificates from each of the 50 states; and
- Reports from the national network of medical examiners/coroners.

Data on deaths associated with specific products and hazards provide important information to

support hazard projects and Office of Compliance and Field Operations (EXC) Section 15 action.

This project also provides support for collection of injury data from news clips; consumer complaints; federal, state, and local governments; fire departments; burn centers; and other sources.

#### **12165 - Investigations**

This project provides resources to conduct approximately 2,000 telephone investigations and on-site investigations of product-related hazards identified by CPSC staff for in-depth study. Because initial reports from consumer complaints, news clips, the Medical Examiners and Coroners Alert Project (MECAP), NEISS, and death certificates generally lack specific details about the incident and the product, follow-up investigations are needed to determine how injuries happen, and to provide specific information about the products involved. This project covers the assignment, performance, review, and disposition of investigation reports.

#### **13327 - Emerging Hazards**

This project provides resources for active, systematic identification and evaluation of emerging product-related hazards. Included in this project is testing to determine the utility of automated pre-screening of incident reports. The project also encompasses efforts on safety issues related to IoT/connected products issues within CPSC's jurisdiction, as well as Wearable (smart) products, and additive manufacturing (AM)/3-D printing, including work on voluntary standards development, as directed by the Commission. CPSC staff will collaborate with external partners and SDOs, within existing resources, to begin exploratory efforts related to the use of artificial intelligence/machine learning in consumer products and identify areas where this technology is applicable to CPSC's mission and commence work in those areas. In addition, in coordination with EXC, the project includes work on evaluating e-commerce platforms to assess ways to effectively monitor the marketplace for Compliance support and to identify emerging hazards and to consider the implications of evolving supply chains.

#### **13329 - Integrated Teams**

This project focuses on the tasking and coordinating of activities pertaining to incident reports assigned to the Integrated Teams. Activities include: initial review of the assigned incident, referral as necessary to a subject matter expert (SME) for further evaluation, review by the SME and/or assignment of the incident for an in-depth investigation (IDI), product safety assessment, corrective action, standards development, and/or public safety campaign. *Risk of Harm* assessments of reports submitted to SaferProducts.gov are also included in this project. To maximize the efficiency and effectiveness of this work, for FY 2020, the CPSC will evaluate alternatives identified in an FY 2019 review of the Integrated Team process and implement a pilot program to improve hazard identification capabilities. .

#### **13330 - Data Intake and Clearinghouse**

This project provides resources for the Data Intake and Injury Information branch of CPSC's Directorate for Epidemiology, which includes the National Injury Information Clearinghouse. Efforts in FY 2020 will focus on process improvements, including implementation of an online data clearinghouse system to permit the public to directly obtain incident data in a form appropriate for public release. To further demonstrate CPSC's commitment as a data-driven agency, staff will identify, research, and evaluate other sources of data and data intake systems.

#### **13331 - Petitions, OLA Support, and Other Hazard Work**

This project provides resources for activities involving hazard-related work regarding petitions submitted by consumers and other outside parties. CPSC staff evaluates docketed petitions and provides the Commission with a briefing package that includes an initial recommendation to grant, deny, or defer the petition. This project also includes responding to requests for information from the Office of Legislative Affairs (OLA), as well as any other unforeseen hazard work.

#### **14125 - Economics Studies**

This project provides resources for specialized economic information and reports for hazard project teams, other project teams and offices,

Commissioners, Congress, other agencies, and the public, on an as-needed basis. Upon request, the project also provides data or support services to intra- and inter-agency task forces and fills other one-time requests. This project provides resources for CPSC staff to develop and maintain economic models and to collect information to provide: injury cost estimates; estimates of product life and the number of products in use; general and small business impacts of CPSC actions (*e.g.*, impacts on production costs, competition); environmental impacts of CPSC actions; labeling and recall costs; and international trade statistics. The project also provides resources for maintaining economic models through periodic review to determine that the methodological approaches are current and adequate for use by CPSC staff. In FY 2020, this project will support work for rule review related to full-size and non-full-size cribs and staff evaluation of a report on cognitive interviews and focus groups for a study on the children's value of statistical life (VSL). Staff will evaluate the report to determine whether to proceed with a full survey.

#### **21498 - Upholstered Furniture Flammability Rulemaking**

This project provides resources for rulemaking activities related to upholstered furniture. In conjunction with efforts to pursue fire safety through voluntary standards under Project 21725 (Fire Hazards: Voluntary Codes and Standards), the CPSC will support development of standards that can be achieved without exposure to toxic chemicals either from the furniture itself or through combustion of the furniture.

#### **21518 - Electrical Hazards: Voluntary Standards and Codes**

This project provides resources for activities related to electrical voluntary standards and codes. Activities include:

- Electrical voluntary standards, including those for micromobility devices (e-scooters, hoverboards, e-bicycles);
- Electrical building and installation codes; and
- Study of high-energy density batteries used in end-products.

**Batteries:** In FY 2020, CPSC staff will examine new technology to improve battery safety and

collaborate with stakeholders and SDOs to enhance the safety of batteries in consumer products. Specifically, the project will continue to address emerging and ongoing hazards associated with devices powered by high-energy density batteries, including, but not limited to: lithium-ion, lithium polymer, and lithium iron phosphate batteries. Work will include addressing system safety features that ensure high-energy density batteries, battery packs, safety circuits, end-products, and chargers all work together to achieve safe operation for the intended application.

**CO and Smoke Alarms:** CPSC staff has been collaborating with public and private organizations to conduct a National In-Home Smoke and CO Alarm Survey because information from the last survey, conducted in 1992, is largely obsolete. In FY 2020, CPSC staff will continue its work with the contractor and stakeholders in executing the survey. Depending on the survey response data, CPSC staff will develop an action plan to support continued collaborations with stakeholders to improve safety messaging and codes and standards for smoke and CO alarms.

#### **21725 - Fire Hazards: Voluntary Codes and Standards**

This project provides resources for activities related to fire voluntary standards and codes. Activities may include:

- Upholstered furniture flammability;
- Candles;
- Flame jetting;
- Fire loss estimate annual data update;
- Fire voluntary standards; and
- Fireworks annual data update.

#### **21726 - Fire Hazards: Rulemaking Activities**

This project provides resources for rulemaking activities related to keeping the Flammable Fabrics Act (FFA), Federal Hazardous Substances Act (FHSA), and CPSA regulations current and consistent with fire hazard program goals and industry practices. Activities for FY 2020 include:

- Review of 16 CFR Part 1632 (Mattress and Mattress Pad Flammability).

**22560 - Children's/Nursery Product Hazards: Voluntary Standards**

This project provides resources for CPSC staff's participation in voluntary standards activities related to hazards associated with the use of children's products. Activities covered by this project include:

- Annual nursery equipment injury updates;
- Annual toy report;
- Research and analysis of products posing hazards primarily to children;
- Collaborations with stakeholders to improve safety of children;
- Juvenile products voluntary standards development;
- Evaluation and analysis of hazards associated with infant and children's sleep environments;
- Voluntary standards meetings for children's products; and
- Staff's preparation of an annual report that identifies and analyzes nursery product injuries and fatalities involving children younger than the age of 5 years.

**22637 - All-Terrain Vehicles (ATVs): Rulemaking Activities**

This project provides resources consistent with the congressional direction of the CPSIA, as amended by Pub. L. No. 112-28, to complete the ATV rulemaking proceeding that began with issuance of an ANPR in 2006.

FY 2020 activity under this project will include continued technical work and collaboration with stakeholders on passengers, stability, rollover, fire, debris penetration, and access by children.

**22640 - Older Consumer Safety Hazards**

This project provides resources for the Adult Portable Bed Rails Petition and for activities that follow from an FY 2014 staff hazard screening report that focused on senior safety, including ways in which the CPSC can better address the senior population risks associated with the use of consumer products. In FY 2020, staff will make proposals for voluntary standards changes for Adult Portable Bed Rails and will work on education campaigns to raise awareness of potential dangers of senior clothing fires and senior trips and falls.

**22646 - Table Saws: Rulemaking Activities**

This project provides resources for activities associated with post-NPR work, including data collection based on NEISS incidents, as appropriate, to address table saw blade-contact injuries. In FY 2020, CPSC staff will work to develop a final rule briefing package.

**22666 - Mechanical Hazards: Voluntary Codes and Standards**

CPSC staff will participate in activities related to the development and revision of voluntary standards for consumer products under the CPSC's jurisdiction. Among these products are ATVs, ROVs, adult bed rails, power equipment (table saws), window coverings, recreational headgear, bicycles, flooring, swimming pools, washing machines, micromobility devices (e-scooters, hoverboards, e-bicycles), and playground surfacing. Additionally, staff will submit an annual off-highway vehicle (OHV) death and injury data update report, with data on OHV deaths, by state; relative risk of death, by year; injuries distributed, by year; and age grouping and additional information on other off-road vehicle incidents.

**22667- Mechanical Hazards: Rulemaking Activities (General Use Products)**

This project is for developing regulations to reduce deaths and injuries from mechanical hazards associated with products not specifically intended for children.

In FY 2020, staff will continue to work with ASTM voluntary standards committees on the applicable tip-over-related standards and will collaborate with external partners to conduct research, data analysis, and technical work to evaluate the voluntary standard as well as submitting an NPR for clothing storage unit tip-over resistance.

In FY 2020, staff will also provide the Commission with a report assessing industry-wide compliance with the current window covering voluntary standard (ANSI/WCMA A100.1), the adequacy of the current voluntary standard for addressing all of the hazards associated with window coverings, and any technical changes they recommend to address any remaining safety concerns in the voluntary standard.

**22727 - Children's/Nursery Product Hazards: Rulemaking Activities**

Section 104 of the CPSIA, the Danny Keysar Child Product Safety Notification Act, requires the CPSC to study and develop safety standards for durable infant and toddler products. To fulfill this statutory mandate, the Commission shall continue to promulgate the required standards.

This project also includes continued activities related to updating the *Age Determination Guidelines* manual used by CPSC staff, industry, and third party testing firms.

**23258 - Chemical Hazards: Voluntary Standards**

This project provides resources for active participation in voluntary standards activities related to liquid laundry packets, spray polyurethane foam insulation, and toys (chemical requirements).

This project also includes work on:

- Playground surfaces manufactured from recycled rubber;
- Phthalate alternatives in children's toys and child care articles;
- Other chemical hazards; and
- Interagency coordination.

The interagency coordination activity includes coordinating chemical hazard activities with other agencies and participating in international harmonization activities. This includes participation in interagency activities such as the National Toxicology Program (NTP), Interagency Coordinating Committee on the Validation of Alternative Methods (ICCVAM), Interagency Committee on Indoor Air Quality (CIAQ), the President's Task Force on Children's Environmental Health and Safety (PTF), and the Federal Research Action Plan (FRAP) on Crumb Rubber including continued development of exposure models based on recently completed and ongoing FRAP partner studies, identifying playground-specific exposure factors,.

**23259 - Chemical Hazards: Rulemaking Activities**

This project provides resources for rulemaking activities relating to organohalogen flame retardants (OFRs) and Poison Prevention Packaging Act (PPPA).

**OFRs:** , In response to Petition HP15-1, the Commission voted to grant the petition and

directed staff to convene a Chronic Hazard Advisory Panel (CHAP) to assess the risks to consumers' health and safety from the use of OFRs, as a class of chemicals. In FY 2019, staff received a scoping and feasibility study of OFRs initiated in FY 2018 in cooperation with the National Academy of Sciences (NAS). The NAS study provided a plan for identifying and applying accepted scientific methods for assessing the toxicity of OFRs as a class, to be used by the CPSC in its rulemaking efforts.

In FY 2020, staff will continue to evaluate the completed NAS study, and develop proposals for methods to collect and analyze data and other information to perform risk assessment.

In FY 2020, staff will also present a draft *Federal Register* notice to withdraw the "Guidance Document on Hazardous Additive, Non-Polymeric Organohalogen Flame Retardants in Certain Consumer Products" (82 Fed. Reg. 45268 [Sept. 28, 2017]). If withdrawal is approved by the Commission, the corresponding Frequently Asked Questions on CPSC's website will also be removed.

**PPPA:** The purpose of the Poison Prevention Packaging Act (PPPA) project is to reduce pediatric injuries and deaths associated with exposure to drugs and other household chemicals. It includes ongoing monitoring of pediatric poisoning data to determine whether any need exists for child resistant packaging; the preparation of annual reports on unintentional pediatric poisonings and fatalities; and interagency work in the area of poison prevention.

**23335 - Combustion (Carbon Monoxide) Hazards: Voluntary Standards Activities**

This project provides resources for staff's active participation in voluntary standards to reduce deaths and injuries associated with carbon monoxide (CO) poisonings and other combustion hazards through:

- Research on CO death estimates for all combustion products;
- Determination of CO fatalities associated with engine-driven tools and portable generator use;
- CO voluntary standards support, including portable generator voluntary standard development;

- Gas appliances (CO sensors) research; and
- Collaboration with voluntary standards organizations to develop requirements to address fire hazards in off-road vehicles (ROVs, ATVs, and Utility Task Vehicles [UTVs]).

In FY 2020, CPSC staff will develop and execute a plan to estimate the effectiveness of requirements for CO safety shutdown systems in voluntary standards for portable generators. CPSC staff will also gather and share data on CO sensor accelerated life testing (ALT) and CO sensor technology use in other countries with the ANSI Z21/83 Technical Committee to support the development of voluntary standards for addressing CO hazards from gas appliances.

#### **23336 - Combustion (Carbon Monoxide) Hazards: Rulemaking Activities**

This project provides resources for addressing the hazards of CO poisoning associated with portable generators and gas appliances (CO sensors). In FY 2020, CPSC staff will execute simulation and analysis plan in partnership with NIST to evaluate the adequacy of the voluntary standards for portable generators. CPSC staff will also continue gathering data on CO sensors (durability, life span, use in other countries, etc.) to evaluate the feasibility of developing performance requirements for CO hazards from gas appliances in the United States and to analyze the comments to the ANPR.

#### **23704 - Nanotechnology**

The purpose of this project and its associated project activities is to evaluate the development and availability of methods for the characterization and quantification of the release of nanomaterials from consumer products, and the determination of potential consumer exposures to, or the health effects that may result from, exposure to nanomaterials during consumer use.

In FY 2020, CPSC staff will continue supporting nanotechnology research, working with other federal agencies under the National Nanotechnology Initiative (NNI).

Research activities will include: continuing the collaborations to characterize the use/release of nanomaterials during the lifecycle of additive manufacturing (AM) systems and to characterize the release of nanomaterials from laser printers;

maintaining a nanotechnology consumer product database; and completing/updating literature reviews for toxicity of nanomaterials.

#### **24013 - Laboratory Equipment and Operations Support**

This project provides resources required for safe and efficient operation of CPSC laboratories within the National Product Testing and Evaluation Center (NPTEC), including upgrade and purchase of new equipment, replacement of testing and lab support equipment, calibration and maintenance of equipment/test instruments, services and equipment for hazardous waste management, operational safety and compliance with applicable environmental and occupational safety and health requirements, support for facility modifications to address new equipment and/or testing capabilities, materials associated with the construction of test fixtures, and consumables and supplies to support sample and product testing for ongoing programs and projects under EXHR, EXC, Office of International Programs (EXIP), and Office of Communications (OCM). Facility modifications will be completed in FY 2020 to integrate high-energy density battery test equipment.

#### **24505 - EXHR Project Support**

This project provides resources to support EXHR activities or needs, which may include outside experts, peer review of technical reports, specialized testing, test equipment, supplies, and samples.

#### **25720 - Regulatory Management**

This project provides resources for activities related to CPSC rulemakings and includes activities such as:

- Paperwork Reduction Act (PRA) support
- eFiling of Certificates support; and
- HAR legal/Regulatory Flexibility Act (RFA) support.

#### **25723 - Lab Accreditation (CPSIA § 102)**

In FY 2020, staff will continue the following activities:

- Administer the requirements for accreditation of third party conformity assessment bodies to assess conformity with a children's product safety rule;
- Prepare a draft Direct Final Rule (DFR) updating the version of ISO 17025

incorporated by reference in 16 CFR Parts 1107 and 1112; and

- Manage the application review process and the periodic audit of third party conformity assessment bodies as a condition for continuing accreditation by the CPSC.

This project also includes developing certification requirements for certain durable infant and toddler products and/or other children’s products, as directed by the Commission.

#### 25727 - Burden Reduction

This project provides funding for ongoing efforts towards potentially providing meaningful reduction of third party testing costs of children’s products, among other things.

In FY 2020, CPSC staff will provide a briefing package with Final Action recommendations for potential determinations for Manufactured Fibers and a briefing package with Final Action recommendations for testing exemptions for spandex fibers for Commission consideration, if applicable. Also, CPSC staff will review comments

received, including but not limited to comments received in response to the June 16, 2017 *Request for Information on Potentially Reducing Regulatory Burdens Without Harming Consumers*, and develop recommendations for Commission consideration.

#### 25777 - EXHR Leadership and Administration

This project provides resources for EXHR directorate leadership, travel, transportation, printing, and purchases of supplies to support EXHR operation.

#### 34351/34352 - Import Activities: Regulated/ Defects

In coordination with the Office of Import Surveillance (EXIS), EXHR provides program support and resources for lab operations, including the routine testing of import samples; training EXIS staff on conducting product screening, using template kits and portable analytical devices; and managing/coordinating procurement, delivery, user training, and repairs of x-ray fluorescence (XRF) and Fourier-Transform Infrared (FTIR) spectroscopy devices used for high-volume screening at the ports.

## 4. Summary of Key Performance Measures

Note: Key Measures are reported externally in the agency’s *Request* and year-end reports.

Control ID	Key Performance Measure Statement	FY 2020 Target
2020KM2.1.01	Percentage of consumer product-related incident reports warranting follow-up actions	25%
2020KM2.1.02	Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards	11
2020KM2.1.03	Percentage of consumer product-related injury cases correctly captured at NEISS hospitals	90%
2020KM2.2.01	Number of voluntary standards activities in which CPSC actively participates	78
2020KM2.2.02	Number of candidates for rulemaking prepared for Commission consideration	12



## 5. Summary of Operating Performance Measures

Note: Operating Performance Measures are monitored and reported internally.

Control ID	Operating Performance Measure Statement	FY 2020 Target
2020OP01	Percentage of National Electronic Injury Surveillance System (NEISS) member hospitals evaluated at least once a year	98%
2020OP03	Number of incident reports collected from medical examiners and coroners	3,000
2020OP04	Number of incident reports obtained from news clips	6,000
2020OP05	Percentage of incident report verification requests mailed - either email or postal mail - within 2 business days	95%
2020OP06	Percentage of reports from eligible sources for which clerical coding is completed within 1 business day following receipt	95%
2020OP07	Percentage of notifications sent to manufacturers named in all reports eligible for the public database within 5 business days of eligibility determination	95%
2020OP08	Percentage of cases in which staff reviews or refers comments and claims from manufacturers, importers, and private labelers within 1 business day	95%
2020OP09	Percentage of business registration requests for <a href="http://www.SaferProducts.gov">www.SaferProducts.gov</a> processed within 2 business days	85%
2020OP10	Percentage of headquarters telephone investigations of NEISS cases completed in fewer than 45 business days	98%
2020OP11	Percentage of completed product investigation reports provided to manufacturers within 50 business days of receiving the report	75%
2020OP12	Percentage of supporting statements for Paperwork Reduction Act (PRA) renewals submitted to the Office of the General Counsel (OGC) no less than 4 months before OMB control number expiration date	85%
2020OP15	Number of voluntary standards activities, in which CPSC staff participated, that result in a revised standard that reduces the risk of injury associated with products covered by the standard	10
2020OP17	Average number of business days from incident received to Integrated Team adjudication of incident report	10
2020OP18	Percentage of Section 15 Product Safety Assessment requests that are completed within the Hazard Level Completion time assigned	90%
2020OP19	Percentage of priority import regulated samples (excluding fireworks) tested within 30 days of collection	85%
2020OP20	Percentage of import and domestic fireworks samples tested within 60 days of collection	90%
2020OP21	Percentage of all domestic and non-priority import regulated product samples (excluding fireworks) that are tested within 60 days of receipt at NPTEC	85%
2020OP22	Number of work-related injuries and illnesses per 100 NPTEC employees in a year (incident rate)	4
2020OP101	Percentage of independent third party laboratory application requests completed within 45 days	Baseline

## 6. Annual Milestones

Note: Milestones are monitored and reported internally.

Control ID	FY 2020 Milestone Statement
2020M01	Developed a plan to establish the capability for testing software embedded in consumer products, including connected products (e.g., IoT)
2020M02	Recruited three new hospitals to join the NEISS
2020M03	Delivered Adult Portable Bed Rail briefing package to Commission
2020M04	Submitted action plan on staff recommendations and actions to advance the safety of high-energy batteries and battery-operated products
2020M05	Implemented use cases for EXHR data analytic capabilities and conducted and reported on analysis of results and recommended next steps (e.g., automated data classification and product matching)
2020M06	Published report on hazards associated with micromobility devices (e-scooters, hoverboards, and e-bicycles)
2020M07	Delivered action plan for changes to standards and policy associated with consumer use of smoke and CO alarms
2020M08	Delivered briefing package to the Commission on the Full-Size and Non-Full Size Cribs RFA 10-Year Rule Review
2020M09	Issued Standard Operating Procedure (SOP) to strengthen internal controls for delivery of data to the public to ensure that PII and/or Section 6 information is not transmitted in an unauthorized manner and provided staff training on SOP
2020M10	Delivered Recreational Off-Highway Vehicles (ROVs) rulemaking termination briefing package to Commission
2020M11	Delivered Walk-behind Power Lawn Mowers Petition briefing package delivered to Commission
2020M12	Delivered briefing packages to Commission for the Spring and Fall Regulatory Agendas
2020M13	Delivered briefing packages to Commission for the Voluntary Standards Annual Report and for the Mid-Year report
2020M14	Delivered briefing package to Commission with recommendations regarding expanding exemptions for flammability testing
2020M15	Delivered report on supplemental analysis of the value of data from urgent care centers
2020M16	Delivered report on potential safety issues associated with Wearable-related products
2020M17	Initiated Information and Education (I&E) campaign for Senior Safety
2020M18	Held stakeholder forum on micromobility devices (e-scooters, e-bicycles, hoverboards)
2020M19	Delivered report on potential safety issues associated with 3-D printing
2020M20	Held stakeholder forum on the use of artificial intelligence/machine learning in consumer products
2020M21	Delivered report on proposals for methods to collect and analyze data and other information to perform risk assessment to support OFR rulemaking
2020M22	Delivered report on review of On-Product Certifications
2020M23	Executed pilot for revision of Integrated Team processes to improve hazard identification capabilities
2020M24	Provided the Commission a report assessing industry-wide compliance with the current window covering voluntary standard (ANSI/WCMA A100.1), the adequacy of the current voluntary standard for addressing all of the hazards associated with window coverings, and any technical changes they recommend to address any remaining safety concerns in the voluntary standard
2020M25	Delivered briefing package to Commission with Final Action recommendations for potential determinations for Manufactured Fibers and for testing exemptions for spandex fibers

## Office of Compliance and Field Operations (EXC)

Robert Kaye, Assistant Executive Director (AED)

### 1. Resource Summary

	FY 2020 Operating Plan	
	Budget (in thousands)	FTE
Compliance - HQ	\$ 363	56
Compliance - Field	\$ 1,226	91
<b>Total</b>	<b>\$ 1,589</b>	<b>147</b>

### 2. Overview and Priority Activities

The Office of Compliance and Field Operations (EXC) is a co-Goal Leader for Strategic Goal 3 (Response) and is responsible for enforcing rules, as well as conducting surveillance to ensure that hazardous products do not enter or remain in the distribution chain. Enforcement of existing rules and targeted surveillance activities require a multifaceted approach. Early in the process, the CPSC works to identify products that present a risk, which requires close and frequent interaction between field investigators and technical experts. When hazardous products have been identified, the CPSC takes action to protect consumers and remove the product from the marketplace. EXC also plays a role in educating companies to help inform stakeholders of product safety requirements. EXC supports ongoing regulatory compliance activities, including data analysis, investigations, and assessing the level of compliance with new regulations.

EXC's work is accomplished by:

- A headquarters team that enforces existing rules and also works cooperatively with companies to recall consumer products, or prevent them from entering through U.S. ports of entry;
- Field investigators located across the United States who conduct in-depth investigations (IDI) on product safety hazards and incidents; and
- A network of state and local officials who assist with monitoring recall performance, conduct public pool inspections, and distribute safety materials to educate consumers on product safety.

#### FY 2020 Priority Activities:

- Develop enforcement guides for additional durable infant and toddler products (104 Rules) (SO 3.1)
- Evaluate results of Business Process Review (BPR) and make resource recommendations on IT Modernization of the Integrated Field System (IFS) (SO 3.1)
- Align resources to account for the growth of e-commerce (SO 3.1)
- Continue to triage Section 15 reports to focus resources on higher priority hazards (SO 3.2)
- Seek feedback from stakeholders on potential Fast-Track program changes (SO 3.2)
- Enforce the Child Nicotine Poisoning Prevention Act, including removal of noncompliant liquid nicotine containers from commerce (SO 3.2)
- Expand safety messaging through a *Pool Safety* program and a "Keeping Families Safe" program for state and local officials to implement in their jurisdiction (SO 3.3)
- Work with recalling firms to maximize notification to consumers, including through direct notice, social media, and other technological means (SO 3.3)
- Support the agency's enterprise data strategy development and implementation (agency-wide)

### 3. Strategic Plan Alignment and Project Summary

FY 2020 Project		Strategic Goal
31100	Fire Hazards	3
31102	Fire Hazards: Section 15	3
31103	Fire Hazards: Regulated	3
31163	Fireworks	3
31183	Lighters	3
31600	Electrocution Hazards	3
31602	Electrocution Hazards: Section 15	3
31603	Electrocution Hazards: Regulated	3
32200	Mechanical Hazards to Children	3
32202	Mechanical Hazards to Children: Section 15	3
32203	Mechanical Hazards to Children: Regulated	3
32223	Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) (Pub. L. No. 110-140)	3
32253	All-Terrain Vehicles (ATVs) (CPSIA § 232): Compliance Enforcement	3
32272	Substantial Product Hazard List and Destruction of Noncompliant Imported Products (CPSIA § 223): Section 15(j) Generic Defect Rules	3
32277	EXC Leadership and Administration	3
32400	Mechanical Hazards	3
32402	Mechanical Hazards: Section 15	3
32403	Mechanical Hazards: Regulated	3
33700	Chemical Hazards	3
33702	Chemical Hazards: Section 15	3
33703	Chemical Hazards: Regulated	3
33777	Compliance Field Investigation (CFI) Leadership and Administration	3
34301	State/Local Programs	3
34381	Internet Surveillance Program Support	3
34382	Fast-Track Program	3
34789	Recall Effectiveness	3
34792	Business Process Review (BPR)	3
34351/34352	Import Activities: Regulated/Defects	2

#### 31100 - Fire Hazards

This project provides resources for compliance enforcement and remediation activities to address risks to consumers from fire hazards.

#### 31102 - Fire Hazards: Section 15

This project provides resources for evaluating and analyzing incoming epidemiology data to determine if there is a pattern of defect that might warrant opening a case; conducting investigations of hazards, including evaluation of technical

reports and in-depth field investigations; and executing consumer product recalls.

#### 31103 - Fire Hazards: Regulated

This project provides resources for monitoring compliance with mandatory standards for products that the CPSC regulates. Additionally, the project provides resources for determining potential items of focus for the annual investigative program agenda.

### **31163 - Fireworks**

This project provides resources for compliance enforcement and remediation activities to stop the sale of fireworks that fail to comply with applicable FHSA requirements.

### **31183 - Lighters**

This project provides resources for compliance enforcement and remediation activities to stop the sale of cigarette lighters and multipurpose lighters that fail to comply with applicable CPSA and FHSA requirements.

### **31600 - Electrocutation Hazards**

This project provides resources for compliance enforcement and remediation activities that address defective products that present risks of electrocution.

### **31602 - Electrocutation Hazards: Section 15**

This project provides resources for electrocution hazards associated with products not covered by mandatory regulations or standards that may involve a substantial product hazard.

### **31603 - Electrocutation Hazards: Regulated**

This project provides resources for electrocution hazards associated with products covered by mandatory regulations or standards.

### **32200 - Mechanical Hazards to Children**

This project provides resources for compliance enforcement and remediation activities to address risks to children from products that present mechanical hazards. Included in this project are children's articles regulated under the FHSA and products that may present substantial product hazards (excludes drowning).

### **32202 - Mechanical Hazards to Children: Section 15**

This project provides resources for compliance activities to address mechanical hazards to children not covered by mandatory regulations or standards that may involve a substantial product hazard (excludes head injuries).

### **32203 - Mechanical Hazards to Children: Regulated**

This project provides resources for compliance activities to address mechanical hazards to children associated with household products covered by mandatory regulations or standards (excludes drowning).

### **32223 - Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) (Pub. L. No. 110-140)**

This project provides resources for compliance and remediation activities to address risks of drowning and entrapment hazards in pools and spas.

### **32253 - All-Terrain Vehicles (ATVs) (CPSIA § 232): Compliance Enforcement**

This project provides resources for monitoring compliance with mandatory standards for ATVs. Additionally, the project provides resources for processing applications for ATV action plans, and the monitoring of compliance with Commission-approved ATV action plans. In FY 2020, staff shall provide the Commission with a briefing regarding their evaluation of compliance with ATV action plans.

### **32272 - Substantial Product Hazard List and Destruction of Noncompliant Imported Products (CPSIA § 223): Section 15(j) Generic Defect Rules**

This project provides resources for compliance enforcement and remediation activities to monitor and assess products subject to a 15(j) determination. Section 15 (15 U.S.C. § 223).

### **32277 - EXC Leadership and Administration**

This project provides resources for EXC leadership and management travel, transportation, printing, and purchases of supplies, samples, and equipment to support EXC operations.

### **32400 - Mechanical Hazards**

This project provides resources for compliance enforcement and remediation activities to address risks to consumers from mechanical hazards. The project encompasses sports and recreational equipment, household goods, residential elevators, and power equipment.

### **32402 - Mechanical Hazards: Section 15**

This project provides resources for compliance activities to address mechanical hazards not covered by mandatory regulations or standards which may involve a substantial product hazard.

### **32403 - Mechanical Hazards: Regulated**

This project provides resources to address mechanical hazards covered by mandatory regulations or standards.

### **33700 - Chemical Hazards**

This project provides resources for compliance enforcement and remediation activities to address

risks to consumers from chemical hazards. Areas covered include FHSA labeling enforcement, lead hazards not addressed under the CPSIA, art materials, and emerging chemical hazard investigation.

**33702 - Chemical Hazards: Section 15**

This project provides resources to address chemical hazards not covered by mandatory regulations or standards that may involve a substantial product hazard.

**33703 - Chemical Hazards: Regulated**

This project provides resources for conducting inspections, reviewing inspection reports, following up on trade complaints, and providing advice and guidance to the industry on complying with the precautionary labeling requirements under the FHSA.

**33777 – Compliance Field Investigation (CFI) Leadership and Administration**

This project provides resources for CFI leadership and management travel to conduct investigations of incidents, training, printing, and purchases of supplies, samples, equipment, and other administrative costs to support CFI operations.

**34301 - State/Local Programs**

States work cooperatively with CPSC to deliver services to consumers at little cost to the federal government, in accordance with Section 29 of the CPSA. This project provides resources for activities conducted with state and local governments under contract, which include recall effectiveness checks, inspections, education, and outreach activities to support CPSC priorities and expand the reach of the CPSC nationwide.

**34381 - Internet Surveillance Program Support**

This project provides resources for activities to conduct undercover Internet surveillance and monitoring of products sold to consumers via the

Internet that have been recalled or that may otherwise violate a Commission rule or standard. Tasks include time to conduct Internet surveillance to review products sold by various retailers, manufacturers, and importers online, and to follow up on consumer/trade complaints.

**34382 – Fast-Track Program**

This project provides resources for activities related to the Fast-Track Recall Program. The Fast-Track Program promotes quicker recalls and more effective use of staff resources by incentivizing firms to take corrective action and recall the product instead of investigating the defect.

**34789 – Recall Effectiveness**

This project provides resources to evaluate means for increasing effectiveness of product safety recalls at the consumer level.

**34792 – Business Process Review (BPR)**

This project provides resources to review our business processes for a full rebuild of the Integrated Field System (IFS), which is CPSC's database system that contains information about field activities, regulated products compliance, and recalls. This includes a review of regulatory case files, the defect case management system, sample assignment and retention, export notification procedures, and testing results of samples.

**34351/34352 - Import Activities: Regulated/ Defects**

In coordination with EXIS, EXC provides technical review of hazards identified at ports of entry and negotiates Corrective Action Plans (CAPs) with firms on products that have a violation at time of import. The Field currently monitors ports of entry where EXIS teams do not have a full-time presence; these are ports that have a lower volume of imported goods under the CPSC's jurisdiction.

#### 4. Summary of Key Performance Measures

Note: Key Measures are reported externally in the agency's *Request* and year-end reports.

Control ID	Key Performance Measure Statement	FY 2020 Target
2020KM3.1.01	Percentage of cases for which a preliminary determination is made within 85 business days of the case opening	65%
2020KM3.1.02	Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection (excludes fireworks)	85%
2020KM3.1.03	Percentage of fireworks cases for which a compliance determination of a regulatory violation is made within 70 business days of sample collection	85%
2020KM3.2.02	Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection (excludes fireworks)	85%
2020KM3.2.03	Percentage of Fast-Track cases with corrective actions initiated within 20 business days of the case opening	90%
2020KM3.2.04	Percentage of cases for which a corrective action is accepted within 90 business days of preliminary determination	60%
2020KM3.2.05	Percentage of fireworks cases for which a firm is notified of a regulatory violation within 75 business days from sample collection	85%
2020KM3.3.01	Recall effectiveness rate for all consumer product recalls	25%

#### 5. Summary of Operating Performance Measures

Note: Operating Performance Measures are monitored and reported internally.

Control ID	Operating Performance Measure Statement	FY 2020 Target
2020OP23	Percentage of non-HAZMAT samples collected for evaluation that are shipped within 5 business days of collection	85%
2020OP24	Percentage of field investigations for Compliance completed in fewer than 45 business days	95%
2020OP26	Percentage of cases for which a compliance determination of a regulatory violation is made within 5 business days of completed sample evaluations (excludes fireworks)	85%
2020OP27	Percentage of cases where a Full Report request is initiated within 5 business days of case opening	90%
2020OP28	Percentage of cases for which a firm is first notified of a regulatory violation within 30 business days from compliance determination of a violation	90%
2020OP29	Percentage of recall effectiveness checks assigned within 10 business days of CAP acceptance	85%
2020OP89	Percentage of cases for which a preliminary determination is made within 20 business days of completed product safety assessments	50%
2020OP90	Number of recalls where social media was used to communicate a recall	150
2020OP103	Percentage of fireworks cases for which a compliance determination of a regulatory violation is made within 10 business days of completed sample evaluations	85%



## 6. Annual Milestones

Note: Milestones are monitored and reported internally.

Control ID	FY 2020 Milestone Statement
<b>2020M26</b>	Developed two additional internal enforcement guides for durable infant or toddler product rules
<b>2020M27</b>	Evaluated Business Process Review (BPR) and made recommendations to modernize the IFS
<b>2020M28</b>	Evaluated process of triaging Section 15 reports for possible enhancements
<b>2020M29</b>	Met with stakeholders regarding facilitation of credit card notice to enhance recall effectiveness
<b>2020M30</b>	Obtained feedback from stakeholders on FY 2019 Fast-Track recommendations in furtherance of implementing change
<b>2020M31</b>	Conducted additional follow-up to FY 2019 liquid nicotine enforcement
<b>2020M32</b>	Developed two programs for use by state and local officials that utilize CPSC resources to expand safety messaging
<b>2020M33</b>	Evaluated enforcement programs to determine the extent to which they address the growth of e-commerce
<b>2020M34</b>	Developed a compliance program to efficiently interdict suspected counterfeit and noncompliant bicycle helmets
<b>2020M35</b>	Provided the Commission with a briefing evaluating ATV action plan compliance

## Office of Import Surveillance (EXIS)

James Joholske, Assistant Executive Director (AED)

### 1. Resource Summary

	FY 2020 Operating Plan	
	Budget (in thousands)	FTE
Import Surveillance <sup>9</sup>	\$ 865	42

### 2. Overview and Priority Activities

The Office of Import Surveillance (EXIS) is a co-Goal Leader for Strategic Goal 2 (Prevention) and is responsible for coordinating with the U.S. Department of Homeland Security's (DHS) U.S. Customs and Border Protection (CBP) to prevent violative or hazardous products from entering the United States. EXIS has 29 investigators co-located at select ports of entry that account for approximately 67 percent of consumer product import entry lines that are risk-scored in the Risk Assessment Methodology (RAM) system. The CPSC also collaborates with CBP at the Commercial Targeting and Analysis Center (CTAC) to implement national operations designed to coordinate and optimize the federal government's response to product risk at importation.

The CPSC uses the RAM to identify products imported into the United States that are most likely to violate consumer product safety statutes and regulations. Since 2008, four out of five product recalls in the United States have involved an imported product. When product imports do not comply with federal or consensus safety standards, they pose health and safety risks to American consumers. The RAM system helps to target and identify consumer products that pose a risk prior to importation.

#### FY 2020 Priority Activities:

- Engage import community, including training of first-time violators (SO 2.2)
- Collaborate with and train partner federal agencies (SO 2.2)
- Identify and examine shipments likely to contain consumer products in violation of CPSC's requirements through maximization of port presence (SO 2.3)
- Support ongoing activities that contribute to the "Single Window" platform by:
  - 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 (SO 2.3)
  - Maintaining existing functionality in RAM 2.0, as well as expanding incrementally RAM functionality. Enhancements include: (1) CPSC's new capability in sharing forms electronically with the trade through CBP's ACE system (2) new business intelligence features for automated analytics of import data collected by CPSC (SO 2.3)
  - Supporting the Border Interagency Executive Council (BIEC) in implementing the International Trade Data System (ITDS) (SO 2.3)
- Implement the Trade Facilitation and Trade Enforcement Act (TFTEA) via the established Import Safety Working Group (SO 2.3)
- Determine and propose to the Commission for implementation next action steps to address e-commerce based on: (1) recommendations identified by the e-commerce assessment study, which was completed in FY 2019, to determine the scope of e-commerce as it relates to CPSC's jurisdiction; and (2) efforts in this area by other federal government agencies and foreign governments (SO 2.3)
- Adapt to the reorganization of CBP's new business processing and targeting functionality, including coordination with CBP's Center of Excellence and Expertise (CEE) (SO 2.3)
- Support the agency's enterprise data strategy development and implementation (agency-wide)

<sup>9</sup> Funding for the information technology (IT) elements of the e-commerce assessment and the Import Surveillance Risk Assessment Methodology (RAM) targeting system is included in the Office of Information and Technology Services' (EXIT) budget.

### 3. Strategic Plan Alignment and Project Summary

FY 2020 Project		Strategic Goal
<b>34340</b>	eFiling of Import Targeting Data	2
<b>34341</b>	Import Emerging Risk Coordination (e-commerce)	2
<b>34351</b>	Import: Regulated	2
<b>34352</b>	Import: Defects	2
<b>34353</b>	Import: Mission Support Activities	2
<b>34360</b>	Commercial Targeting and Analysis Center (CTAC) Support	2
<b>34377</b>	EXIS Leadership and Administration	2

#### **34340 – eFiling of Import Targeting Data**

This project provides resources for activities to evaluate and assess a test platform to manage exchange of electronic data with CBP for targeting purposes.

#### **34341 – Import Emerging Risk Coordination (e-commerce)**

This project provides resources for activities to assess e-commerce as it relates to CPSC’s jurisdiction and to develop processes to identify shipments of potentially violative consumer products. Work will include activities to evaluate, assess, and share information with CBP and other federal government agencies about emerging risks in shipments of consumer products and will also include implementation of an e-commerce pilot in coordination with CBP at an express carrier facility.

#### **34351 - Import: Regulated**

This project provides resources for Import Surveillance activities related to products covered by mandatory regulations or standards. These activities include surveillance, screening, sampling, reviewing documents, and any other activity associated with products in import status. In addition, this project will support efforts to identify possible process improvements related to product sampling and testing that will lead to

more timely removal of violative products while reducing burden.

#### **34352 - Import: Defects**

This project provides resources for Import Surveillance activities related to products not covered by mandatory regulations or standards. These activities include surveillance, screening, sampling, reviewing documents, and any other activity associated with products in import status.

#### **34353 - Import: Mission Support Activities**

This project provides resources to support the agency’s Import Surveillance mission and includes activities performed by CPSC’s Operations Support staff.

#### **34360 - Commercial Targeting and Analysis Center (CTAC) Support**

This project provides resources to support CTAC, which is the agency’s mechanism for conducting joint import enforcement programs with CBP. Along with the RAM 2.0 system, the CTAC serves as a central location for coordinating targeting efforts with CBP and other government agencies in support of agency enforcement plans.

#### **34377 - EXIS Leadership and Administration**

This project provides resources for EXIS travel, transportation, printing, and purchases of supplies, samples, and equipment to support EXIS operations.

#### 4. Summary of Key Performance Measures

Note: Key Measures are reported externally in the agency's *Request* and year-end reports.

Control ID	Key Performance Measure Statement	FY 2020 Target
2020KM2.2.07	Percentage of firms that are engaged with a timely establishment inspection after being identified as a repeat offender	75%
2020KM2.3.01	Percentage of consumer product imports, identified as high-risk, examined at import	80%
2020KM2.3.02	Percentage of import shipments processed through the Risk Assessment Methodology (RAM) system that are cleared within 1 business day	99%
2020KM2.3.04	Number of import examinations completed	32,000

#### 5. Summary of Operating Performance Measures

Note: Operating Performance Measures are monitored and reported internally.

Control ID	Operating Performance Measure Statement	FY 2020 Target
2020OP32	Percentage of first-time violators who are engaged with a timely informed compliance inspection after violation determination	80%
2020OP33	Number of ports at which CPSC will cross-train other federal agencies' staff to identify hazardous imported products	17
2020OP35	Percentage of priority import regulated samples completed within 60 days (from collection date to CBP Notification date)	90%

#### 6. Annual Milestones

Note: Milestones are monitored and reported internally.

Control ID	FY 2020 Milestone Statement
2020M36	Provided import surveillance training jointly with CPSC's Small Business Ombudsman to importers, including those identified as first-time violators
2020M37	Identified process improvements related to sampling and detention and implemented a pilot for timely removal of violative products while reducing burden
2020M38	Implemented a national program to target all 15(j) rules through CPSC's co-location at CTAC
2020M39	Completed a five-year implementation plan (Concept of Operations) to identify and interdict high-risk e-commerce shipments
2020M40	Conducted an e-commerce pilot in coordination with CBP at an express carrier facility and provided an evaluation report of findings
2020M41	Implemented an exam screening program for identified priority Section 104 products
2020M42	Delivered briefing package to Commission with recommendations regarding the next steps for eFiling of import targeting data
2020M43	Implemented a program to efficiently screen and interdict suspected counterfeit and noncompliant bicycle helmets, in alignment with the associated FY 2020 compliance program

## Office of International Programs (EXIP)

Richard O’Brien, Director

### 1. Resource Summary

	FY 2020 Operating Plan	
	Budget (in thousands)	FTE
Office of International Programs	\$ 721	7

### 2. Overview and Priority Activities

The Office of International Programs (EXIP) is responsible for carrying out educational and outreach activities to international stakeholders. EXIP activities are focused on industry stakeholders abroad and on foreign governments, as well as conducting cooperative programs, training, and informational activities in foreign jurisdictions of interest to the CPSC. EXIP will continue emphasizing cooperation with key jurisdictions and regions, as well as relevant multilateral organizations, such as the Organization of American States (OAS) and the Organisation for Economic Cooperation and Development (OECD), and the United Nations (UN) International Group of Experts (IGE) on Consumer Protection Law and Policy.

#### FY 2020 Priority Activities:

- 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, including children’s products and micromobility devices (*e.g.*, hoverboards, e-scooters) that use high-energy density batteries (SO 2.2)
- Improve cooperation with international partners on product safety policy to reduce international trade of recalled or hazardous products (SO 2.2)
- Support activities of CPSC’s Beijing Office in providing product safety training for industry and effective coordination with Chinese government’s product safety authorities, to increase focus on safety in the design of products (SO 2.2)
- Present the agency’s product safety messaging at international forums, particularly in CPSC’s continued development of a global platform at the United Nations for coordination among product safety authorities (SO 2.2)
- Continue production of product safety video series for Chinese manufacturers, including children’s sleepwear, high-energy density batteries, and mattresses (SO 2.2)
- Provide timely information about recalls directly to foreign regulators and other stakeholders via the OECD’s *GlobalRecalls* portal (SO 3.3)
- Facilitate CPSC’s participation in the annual OECD global consumer information campaign to communicate safety information to consumers on a topic of common interest among regulators around the world (SO 4.2)
- Administer International Training Exchange Program with foreign counterpart regulators (SO 4.3)
- Support the agency’s enterprise data strategy development and implementation (agency-wide)

### 3. Strategic Plan Alignment and Project Summary

FY 2020 Project		Strategic Goal
<b>53148</b>	Overseas Office	2
<b>53149</b>	International Program	2
<b>53152</b>	China Program	2
<b>53153</b>	European/International Organizations Program	2
<b>53154</b>	Selected Asia Pacific Program	2
<b>53155</b>	Southeast Asia Program	2
<b>53156</b>	Western Hemisphere Program	2
<b>53177</b>	EXIP Leadership and Administration	2

#### 53148 - Overseas Office

This project provides resources for operations of CPSC's office in Beijing, China to promote compliance with U.S. product safety requirements among exporters in Asia, especially China, and to coordinate with product safety regulators in the region.

#### 53149 - International Program

This project provides resources for supervising the work of CPSC's international programs.

#### 53152 - China Program

China is the largest supplier of consumer product imports to the United States. EXIP's China Program is focused on outreach to consumer product suppliers in China and engagement with CPSC's government counterparts in China. The program provides training and guidance for Chinese and American manufacturing professionals, as well as resources for encouraging manufacturing practices that result in safer consumer products. This project includes resources for intergovernmental meetings and industry training events.

#### 53153 - European / International Organizations Program

The CPSC works with counterpart agencies of the European Union (EU) and participates in product safety groups within international organizations, such as the OECD. The CPSC's work with the EU consists of joint efforts to improve the safety of consumer products imported from common supplier jurisdictions.

#### 53154 - Selected Asia Pacific Program

This program covers CPSC's work with Australia, New Zealand, Japan, South Korea, and Taiwan. Resources are used for developing closer relations with these jurisdictions. The program is aimed at improving the safety of products from the region's manufacturers and partnering with key governments to cooperate on product safety policies. This project includes resources for intergovernmental meetings and industry training events.

#### 53155 - Southeast Asia Program

The Southeast Asia Program consists of field training in the region conducted for manufacturers and cooperative activities with governments, especially in the following countries: Vietnam, Singapore, Malaysia, and Indonesia. The agency conducts specific training programs targeted toward consumer product export industries in furniture construction, textiles, and shoe manufacturing. This project includes resources for intergovernmental meetings and industry training events.

#### 53156 - Western Hemisphere Program

This program is targeted toward all CPSC international activities in North, Central, and South America. The program's primary focus is on Canada and Mexico and the Consumer Safety and Health Network (CSHN) of the OAS. This project includes resources for industry training events and cooperative activities with regional governments.

#### 53177- EXIP Leadership and Administration

This project provides resources for EXIP travel to carry out the international programs described above, transportation, printing, and purchases of supplies to support EXIP operations.

#### 4. Summary of Key Performance Measures

Note: Key Measures are reported externally in the agency's *Request* and year-end reports.

Control ID	Key Performance Measure Statement	FY 2020 Target
2020KM2.2.08	Recalls per Billion Dollars in Consumer Product Imports for Top 50 Import Sources Countries or Administrative Areas	0.33

#### 5. Summary of Operating Performance Measures

Note: Operating Performance Measures are monitored and reported internally.

Control ID	Operating Performance Measure Statement	FY 2020 Target
2020OP36	Number of training or outreach seminars for foreign-based industry representatives conducted by CPSC staff	13
2020OP37	Number of trainings for foreign regulatory agencies conducted by CPSC staff	10
2020OP38	Number of staff exchanges with foreign counterparts undertaken under International Training Exchange Program	2

#### 6. Annual Milestones

Note: Milestones are monitored and reported internally.

Control ID	FY 2020 Milestone Statement
2020M44	Participated in the annual OECD global consumer information campaign
2020M45	Updated program plans with outcomes for each area
2020M46	Produced two new episodes of product safety video series in Chinese language and posted videos on the Web



## Office of Communications (OCM)

Joseph Martyak, Director

### 1. Resource Summary

	FY 2020 Operating Plan	
	Budget (in thousands)	FTE
Office of Communications	\$ 1,230	10
Campaigns	\$ 1,500	
<b>Total</b>	<b>\$ 2,730</b>	<b>10</b>

### 2. Overview and Priority Activities

The Office of Communications (OCM) is the Goal Leader for Strategic Goal 4 (Communications) and is responsible for raising public awareness through timely and targeted information about consumer product safety issues and helping to empower individual citizens with information. This includes outreach on major drivers of death and injury, and notifying the public about recalls and new Commission-implemented safety requirements. OCM uses a variety of channels to reach the public, including traditional, digital, and social media. OCM uses syndicating tools to ensure that recalls and safety messages are widely distributed within seconds to blogs, TV stations, and other media.

#### FY 2020 Priority Activities:

- Complete Anchor It! effectiveness survey to assess the campaign's messaging (SO 4.1)
- Design and develop new online and social media communication (SO 4.1)
- Upon request by any Commissioner, provide timely updates to the Commission, including information to support any safety claim made in OCM press releases, social media posts, safety campaigns, and other external communications (SO 4.1)
- 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 (SO 4.2)
- Expand social media engagement with CPSC safety messages and recalls (SO 4.2)
- Continue implementation of new branding for CPSC publications, documents, and alerts (SO 4.2)
- 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 (SO 4.2)
- Track percentage of recall press releases issued in 22 days or less (SO 4.2)
- Develop one communications activity on a major emerging hazard (SO 4.2)
- Continue with CPSC-wide collaboration plan across agency divisions to increase and enhance collaborations with stakeholders (SO 4.3)

### 3. Strategic Plan Alignment and Project Summary

FY 2020 Project		Strategic Goal
42286	Distribution Services	4
42549	Information and Education (I&E) Outreach Campaigns	4
42616	Ongoing/Seasonal Programs	4
44201	Hotline	4
44563	Recalls/Alerts	4
44565	Media Relations	4
44577	Communications Leadership and Administration	4
44699	Video Communication	4
44792	Hearing Room Operations and Maintenance	4
44793	Digital Communications	4
44795	Media Monitoring	4

#### 42286 - Distribution Services

This project provides resources for contracting services for storage and distribution of all of the CPSC's print publications.

#### 42549 – Information and Education (I&E) Outreach Campaigns

This project provides resources for:

- I&E campaigns in six categories: *Pool Safety*, *Anchor It!*, baby safety, fire, carbon monoxide, and community outreach to minority and underserved populations;
- Raising awareness about a variety of issues affecting vulnerable populations; and
- Collaboration with stakeholder groups for I&E activities approved by the Commission.

#### 42616 - Ongoing/Seasonal Programs

This project provides resources for both state and local outreach programs conducted in cooperation with OCM.

#### 44201 - Hotline

This project provides resources for contracting services to manage and operate the CPSC Hotline, including the intake and processing or reporting of calls, emails, and consumer incident reports.

#### 44563 - Recalls/Alerts

This project provides resources to announce and raise consumer awareness about product safety recalls.

#### 44565 - Media Relations

This project provides resources for newswire distribution of CPSC news releases and announcements, including Spanish translation and distribution services.

#### 44577 - Communications Leadership and Administration

This project provides resources for OCM travel, transportation, printing, and purchases of supplies, samples, and equipment to support OCM operations.

#### 44699 - Video Communication

This project provides resources for contracting video production services. The contractor will record, edit, and distribute public service announcements, video news releases, and satellite and radio media tours to broadcast stations nationwide.

#### 44792 - Hearing Room Operations and Maintenance

This project provides resources for maintenance of the CPSC headquarters' hearing room equipment and materials. Additionally, the project provides resources for contracting captioning and transcription services for conferences, meetings, and other activities held in the Commission hearing room.

#### 44793 - Digital Communications

This project provides resources for the development, production, and distribution of CPSC product safety messages via online platforms.

#### 44795 - Media Monitoring

This project provides resources for contracting news monitoring services, including reports of news coverage involving CPSC actions, as well as news from TV, radio, print, and online sources.

#### 4. Summary of Key Performance Measures

Note: Key Measures are reported externally in the agency's *Request* and year-end reports.

Control ID	Key Performance Measure Statement	FY 2020 Target
2020KM4.1.02	Number of engagements with CPSC safety messaging on social media channels by stakeholders <sup>10</sup> (in thousands)	840
2020KM4.2.04	Number of national media placements of CPSC stories	6
2020KM4.2.05	Percentage of recall press releases issued in 22 business days or less from first draft	60%

#### 5. Summary of Operating Performance Measures

Note: Operating Performance Measures are monitored and reported internally.

Control ID	Operating Performance Measure Statement	FY 2020 Target
2020OP41	Number of messages sent to Neighborhood Safety Network (NSN)	24
2020OP43	Number of visits to CPSC websites (in millions)	12
2020OP44	Number of followers on Twitter and other CPSC social media accounts signed up to receive CPSC safety messages in English and Spanish	85,000
2020OP45	Number of community outreach activities conducted	10
2020OP46	Number of pool and spa safety information and education activities conducted	4
2020OP48	Number of furniture and television tip-over prevention activities conducted	4
2020OP49	Number of Safe to Sleep® activities conducted	7
2020OP51	Percentage of voicemail messages responded to by Hotline staff by the next business day	98%
2020OP52	Percentage of incoming calls to Hotline operators that are abandoned	< 5%
2020OP53	Percentage of incoming calls sent to Hotline operators that are answered within 30 seconds	80%

#### 6. Annual Milestones

Note: Milestones are monitored and reported internally.

Control ID	FY 2020 Milestone Statement
2020M47	Completed Anchor It! effectiveness survey to assess the campaign's messaging
2020M48	Three new video products produced for use on CPSC social media or websites with contracted stock footage
2020M49	Continued implementation of new branding for CPSC publications, documents, and alerts
2020M50	One communications activity on an emerging hazard developed and posted on CPSC's website or social media site

<sup>10</sup> Engagements refer to the number of interactions (likes, shares, comments) with CPSC social media content.

## Office of Information & Technology Services (EXIT)

James Rolfes, Chief Information Officer (CIO)

### 1. Resource Summary

	FY 2020 Operating Plan	
	Budget (in thousands)	FTE
Office of Information Technology	\$ 80	40
IT Infrastructure	\$ 6,890	
CPSC's Information Systems	\$ 4,553	
Risk Assessment Methodology – Import	\$ 2,600	
<b>Total</b>	<b>\$ 14,123</b>	<b>40</b>

### 2. Overview and Priority Activities

The Office of Information & Technology Services (EXIT) provides information resource management products and services to support directly and indirectly all agency programs for overall mission achievement. EXIT is responsible for the development, implementation, operations, maintenance, and protection of all information technology, networks, and systems for the CPSC. EXIT is also responsible for policy, planning, and compliance activities related to the effective management of information and technology, as required by law, regulation, and policy, including, but not limited to, Office of Management and Budget (OMB) Circulars No. A-11 and No. A-130, Clinger Cohen Act of 1996 (CCA), Federal Information Technology Acquisition Reform Act (FITARA), Federal Information Security Management Act (FISMA), Government Paperwork Elimination Act (GPEA), Section 508 of the Rehabilitation Act, and the E-Government Act of 2002.

#### FY 2020 Priority Activities:

- Support data governance and improvements in enterprise data management through the inventory mapping of system data assets to agency systems (SO 2.1)
- Operate and maintain RAM 2.0 (SO 2.3)
- Update the CPSC's Recall App where feasible and responsive to user demands (SO 3.3)
- Operate and maintain agency websites and prepare for CPSC.gov technology platform updates by clarifying site purpose; reviewing visitation data; identifying content to be migrated; and gathering stakeholder and new government website requirements to inform design changes (SO 4.1)
- Conduct SaferProducts.gov research, redesign, and relaunch, including mobile-compatible responsive design (SO 4.2)
- Support the agency's enterprise data strategy development and implementation by evaluating the Data Analytics Strategy proposal and pilot results; recommending next steps for implementation (agency-wide)
- Maintain focus on protection of CPSC data and systems by continuing improvements on security management practices: specific initiative includes resolution of identified priority security vulnerabilities (agency-wide)
- Document CPSC's Enterprise Architecture (agency-wide)
- Continue expansion of the use of shared services and cloud-based service offerings. Cloud migration in FY 2020 will include transitioning agency email to the cloud, but will also entail other supporting

activities that are foundational for the migration of other services in subsequent fiscal years (agency-wide)

- Complete the transition from the Windows 7 operating system to Windows 10 to provide a modern and supported environment for end users (agency-wide)
- Review and revise IT-related agency directives to align with changes in government standards, including NIST standards and OMB memorandum (agency-wide)
- Establish EXIT program requirements consistent with updated direction and identify enterprise solution for agency-wide electronic records management (agency-wide)

### 3. Strategic Plan Alignment and Project Summary

FY 2020 Project		Strategic Goal
<b>13328</b>	Consumer Product Safety Risk Management System (CPSRMS)	2
<b>34310</b>	Risk Assessment Methodology (RAM) (CPSIA § 222)	2
<b>54174</b>	EXIT Leadership and Administration	All
<b>54575</b>	IT Security	All
<b>99933</b>	Voice/Data Telecommunications	All
<b>99945</b>	Capital Replacement	All
<b>99947</b>	Programming Support	All
<b>99951</b>	User Support	All
<b>99952</b>	Network Management	All
<b>99953</b>	Website Management	All
<b>99954</b>	IT Business Applications	All
<b>99955</b>	Enterprise and Data Architecture	All

#### 13328 - Consumer Product Safety Risk Management System (CPSRMS)

This project provides resources for activities associated with operations and maintenance (O&M) of the Consumer Product Safety Risk Management System (CPSRMS). The CPSRMS is a comprehensive system consisting of the following core components:

- Public and business portals ([www.SaferProducts.gov](http://www.SaferProducts.gov));
- Review, analysis, and decision support system (CPSC360);
- Dynamic Case Management System (DCM);
- Monthly Progress Reports (MPR); and
- Regulatory Robot.

For FY 2020, EXIT plans to update and upgrade [www.SaferProducts.gov](http://www.SaferProducts.gov), which will include, among other things, enhancements to user experience,

such as making the website mobile-friendly and improving search capabilities.

#### 34310 - Risk Assessment Methodology (RAM) (CPSIA § 222)

This project provides resources for activities to operate, maintain, and develop CPSC's RAM surveillance system for the identification of shipments of consumer products that are:

- Intended for import into the United States; and
- Likely to include consumer products in violation of CPSC statutes This project includes activities to evaluate, assess, and share information with CBP about shipments of consumer products intended for import into the customs territory of the United States. In FY 2020, staff will create an electronic form sharing capability between CPSC and CBP to improve examination procedures.

**54174 - EXIT Leadership and Administration**

This project provides resources for EXIT travel, transportation, printing, and purchases of supplies, samples, and equipment to support EXIT operations.

**54575 - IT Security**

This project provides resources for implementation and management of the CPSC's IT Security program, which involves maintaining a secure information environment throughout the CPSC and ensuring information system confidentiality, integrity, and availability.

In FY 2020, EXIT will continue to identify and remediate security vulnerabilities and weaknesses; strengthen CPSC's Plan of Action and Milestones (POAM) management procedures; deliver enhanced role-based security training; and collaborate with DHS on the implementation of the Continuous Diagnostics and Mitigation (CDM) program. The Senior Agency Official for Privacy will coordinate an assessment of the agency privacy program and prioritize areas for program improvement. Privacy improvements for FY 2020 will include implementation of agency-wide data loss prevention (DLP) technology to prevent inadvertent transmission of machine readable sensitive information through email.

**99933 - Voice/Data Telecommunications**

This project provides resources for services, including: voice (local and long distance), cellular, wide area network (WAN), local dedicated data lines, domain, and Web streaming; telecom equipment; and maintenance and repairs, which are administered by EXIT. In FY 2020, EXIT will implement an upgrade to the following aspects of the desktop phone system: client software and desktop hardware. The upgraded phone system will also be migrated to a cloud-based environment.

**99945 - Capital Replacement**

This project provides resources for annual investment and maintenance costs of IT-based systems. This includes upgrading hardware and software assets and replacing aging systems, such as user laptops and computer monitors, server hardware, routers, switches, desktop telephones, and Network Attached Storage systems.

**99947 - Programming Support**

This project provides resources for contract programmers, database administrator services, and services associated with system design and requirements development to support the agency's IT applications. In FY 2020, EXIT will evaluate legacy applications and present a plan to upgrade systems to newer and more efficient technology.

**BPR and IT Modernization of IFS:** The Office of Compliance (EXC) initiated a Business Process Review (BPR) for future IT modernization of the Integrated Field System (IFS) during FY 2019. For FY 2020, EXC plans to evaluate results of the BPR and make resources recommendations for IT modernization of the IFS. Further, EXIT will participate in the review of business processes related to mission functions currently performed through the IFS as a precursor for possible future system redesign.

**99951 - User Support**

This project provides resources for supporting end users of the agency's equipment, software, systems, and services (*e.g.*, Help Desk support, software licensing, and printer maintenance). In FY 2020, EXIT will perform a review of printer and copier installations and recommend opportunities for improving efficiency and capabilities. Additionally, EXIT will complete the migration of end-user desktops to the Windows 10 environment.

**99952 - Network Management**

This project provides resources for supporting management of the agency's IT infrastructure, which includes the operation and maintenance of networks, servers, and other IT equipment and systems. In FY 2020, EXIT will implement the first phase of migration to cloud services.

**99953 - Website Management**

This project provides resources for operating and maintaining the CPSC's websites to meet the needs of the agency, consumers, businesses, and other stakeholders who seek relevant information about CPSC activities. In FY 2020, EXIT will evaluate agency websites and publish a report as required by the 21<sup>st</sup> Century Integrated Digital Experience Act (IDEA) (Pub. L. No. 115-336).

In FY 2020, the CPSC will also establish agency web governance to improve consistency and quality of visitor experience through coordination of agency-

wide web and digital service activities. Topics to be addressed through agency web governance include:

- Compliance with the 21<sup>st</sup> Century IDEA;
- Standardization of file naming conventions and meta data population processes;
- Improvements to overall site organization; and
- Review of website visitor statistics to inform future improvements.

#### 99954 - IT Business Applications

This project provides resources for systems, including those from shared-services providers that support the CPSC's Office of Human Resources

Management (EXRM) business area (*e.g.*, personnel and payroll).

#### 99955 – Enterprise and Data Architecture

This project provides resources associated with developing an enterprise-wide framework for software, hardware, and data. This would include cataloging and maintaining an inventory of software and hardware assets, capabilities, and data elements. In FY 2020, EXIT will collaborate with the mission programs to complete an Enterprise Data Analytics Strategy and make recommendations on implementation. In addition, EXIT will complete an electronic inventory of software assets.

#### 4. Summary of Key Performance Measures – None

#### 5. Summary of Operating Performance Measures

Note: Operating Performance Measures are monitored and reported internally.

Control ID	Operating Performance Measure Statement	FY 2020 Target
2020OP65	Percentage of operating uptime for IT systems	97%
2020OP66	Percentage of operating uptime for IT networks	98%
2020OP91	Percentage of critical vulnerabilities addressed from U.S. CERT (United States Computer Emergency Readiness Team) within 3 business days	100%
2020OP97	Percentage of end-user desktops upgraded to Windows 10	100%

#### 6. Annual Milestones

Note: Milestones are monitored and reported internally.

Control ID	FY 2020 Milestone Target
2020M51	Sustained Enterprise Data Management Governance through the inventory and mapping of enterprise data elements
2020M52	Developed a Privacy Program Improvement Plan
2020M53	Completed upgrade to the desktop phone system
2020M54	Completed update and upgrades to <a href="http://www.SaferProducts.gov">www.SaferProducts.gov</a> , which includes, among other things, enhancements to user experience, such as making the website mobile-friendly and improving search capabilities
2020M55	Completed plan to upgrade Legacy applications
2020M56	Completed Enterprise Data Analytics Strategy and recommendations
2020M57	Developed the capability to electronically share forms with CBP
2020M58	Migrated agency users to cloud-based email
2020M59	Completed evaluation for Recalls app publication through the Apple Store and support for push notifications
2020M60	Formed cross-program Web Advisory Group to support governance, consistency, and fulfillment of CPSC's requirements in regard to the 21 <sup>st</sup> Century IDEA
2020M61	Implemented privileged access management system
2020M62	Implemented an Electronics Records Management platform
2020M63	Documented agency systems to Federal Enterprise Architecture (FEA) Reference Models and populated CPSC's Enterprise Architecture repository
2020M64	Completed planned update and upgrades to CPSC's website



## Other Offices

(Milestones and measures only)

The Office of Human Resources Management (EXRM), the Office of Equal Employment Opportunity and Minority Enterprise (OEEO), and the Office of the Executive Director (OEX), also have key and operating performance measures and annual milestones, which are listed below:

### 1. Summary of Key Performance Measures

Note: Key Measures are reported externally in the agency's *Request* and year-end reports.

Office	Control ID	Key Performance Measure Statement	FY 2020 Target
EXRM	2020KM1.1.02	Percentage of full-time equivalents (FTEs) utilized	96%
EXRM	2020KM1.2.01	Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey)	70%
EXRM	2020KM1.3.01	Percentage of hiring managers trained on recruitment	80%
EXRM	2020KM1.4.01	High-performing Federal Workforce - Employee Engagement Index Score	70%

### 2. Summary of Operating Performance Measures

Note: Operating Plan Measures are monitored and reported internally.

Office	Control ID	Operating Performance Measure Statement	FY 2020 Target
EXRM	2020OP69	Percentage of employees who agree that the work unit has the job relevant knowledge and skills necessary to accomplish organizational goals	76%
EXRM	2020OP71	Percentage of managers and administrative personnel who have been trained on human capital analytics and reporting	90%
EXRM	2020OP72	Percentage of managers and administrative personnel granted access to human capital reporting	80%
EXRM	2020OP73	Percentage of managers and employees trained on MIS reporting through webTA	95%
EXRM	2020OP75	Percentage of employees with Individual Development Plans (IDPs) in place	50%
EXRM	2020OP76	Number of developmental opportunities available to employees through the Agency Training plan	30
EXRM	2020OP77	Percentage of employees that participate in the Agency Coaching Program	10%
EXRM	2020OP78	Percentage of Pathways Recent Grad appointments converted to permanent status	70%
EXRM	2020OP80	Percentage of vacancies filled through first announcement	75%
EXRM/OEEO	2020OP81	Number of diversity outreach activities conducted	30
EXRM	2020OP82	Percentage of employees who agree that creativity and innovation are rewarded	48%
EXRM	2020OP83	Number of informational opportunities on work-life balance provided to employees and managers	30
EXRM	2020OP84	Number of wellness events offered	30



## Other Offices' Performance Measures and Milestones

Office	Control ID	Operating Performance Measure Statement	FY 2020 Target
EXRM	2020OP85	Percentage of employees who are satisfied with the health and wellness programs in CPSC	88%
EXRM	2020OP92	Average score of hiring managers satisfied with applicant listing	7.5
EXRM	2020OP93	Percentage of vacancies that use listservs for targeted recruitment	40%
EXRM	2020OP94	Percentage of managers trained on effective performance management	75%
EXRM	2020OP95	Percentage of employees trained on performance policy	75%
OEE0	2020OP87	Percentage of annual Equal Employment Opportunity (EEO) complaints closed within required timeframes	90%
OEE0	2020OP96	Percentage of employees trained in diversity and inclusion	50%
OEX	2020OP88	Number of domestic training and outreach activities delivered to industry stakeholders by the Small Business Ombudsman (SBO)	15
OEX	2020OP98	Percentage of respondents providing positive feedback on the usefulness of safety information provided by CPSC staff	85%

### 3. Annual Milestones

Note: Milestones are monitored and reported internally.

Office	Control ID	FY 2020 Milestone Statement
EXRM	2020M65	New formal Agency Coaching Program implemented
EXRM	2020M66	FY 2020 Human Capital activities completed
EXRM	2020M67	Manager access to dashboard and reports achieved
EXRM	2020M68	Quarterly meetings for CPSC user group held
EXRM	2020M69	Training provided to employees and managers on IDPs
EXRM	2020M70	Plan developed to increase hiring managers' participation in the hiring process
EXRM	2020M71	CPSC recruitment video marketed
EXRM	2020M72	FY 2020 action plan from the Employee Engagement Initiative developed
EXRM/ OEE0	2020M73	Annual plan for attending career fairs implemented
EXRM	2020M74	Training provided to employees and supervisors on the telework program
EXRM	2020M75	Plan for informational opportunities for work-life issues implemented
EXRM	2020M76	Annual plan for wellness activities developed and implemented

### 4. VGB Act Grants

Office	FY 2020 Project	
EXFM	22662	Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) (Pub L. No.110-140) – Grants Administration

## Appendix A

Changes to Budget Key Performance Measures from the 2020 Performance Budget Request (issued March 2019)

The table below summarizes changes to FY 2020 key performance measures (KMs) that occurred between publications of the FY 2020 *Request* (March 2019) and this document, the FY 2020 Operating Plan (October 2019). Changes to the measures include KMs that are newly added, being replaced, or being discontinued for FY 2020, as well as revisions to performance measure statements and/or annual targets.

Office	FY 2020 Key Performance Measure Statement	Target	
		FY 2020 Request	FY 2020 Op Plan
EXRM	<b>KM1.2.01</b> Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey)	74%	70%
EXRM	<b>KM1.4.01</b> Federal Employee Viewpoint Survey Employee Engagement Index Score <b>Revise to: KM1.4.01</b> High-performing Federal Workforce – Employee Engagement Index Score	75%	70%
EXHR	<b>Discontinue: KM2.1.04</b> Number of collaborations established or maintained with other organizations to work on nanotechnology research or issues affecting consumer products	3	Discontinued
EXHR	<b>KM2.2.01</b> Number of voluntary standards activities in which CPSC actively participates	72	78
EXHR	<b>KM2.2.02</b> Number of candidates for rulemaking prepared for Commission consideration	7	12
EXIP	<b>Add: KM2.2.08</b> Recalls per Billion Dollars in Consumer Product Imports for Top 50 Import Sources Countries or Administrative Areas		0.33
EXC	<b>KM3.1.02</b> Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection <b>Replace with:</b> <ul style="list-style-type: none"><li><b>KM3.1.02</b> Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection (excludes fireworks)</li><li><b>KM3.1.03</b> Percentage of fireworks cases for which a compliance determination of a regulatory violation is made within 70 business days of sample collection</li></ul>	85%	85%
			85%
EXC	<b>KM3.2.02</b> Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection <b>Replace with:</b> <ul style="list-style-type: none"><li><b>KM3.2.02</b> Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection (excludes fireworks)</li><li><b>KM3.2.05</b> Percentage of fireworks cases for which a firm is notified of a regulatory violation within 75 business days from sample collection</li></ul>	85%	85%
			85%

## Appendices

Office	FY 2020 Key Performance Measure Statement	Target	
		FY 2020 Request	FY 2020 Op Plan
EXC	<b>KM3.2.03</b> Percentage of Fast-Track cases with corrective actions initiated within 20 business days <b>Revise to: KM3.2.03</b> Percentage of Fast-Track cases with corrective actions initiated within 20 business days of the case opening	90%	90%
OCM	<b>KM4.1.02</b> Number of engagements with CPSC safety messaging on social media channels by stakeholders <sup>11</sup> (in thousands)	820	840
OCM	<b>KM4.2.01</b> Number of impressions of CPSC safety messages (in millions) <b>Replace with: KM4.2.04</b> Number of national media placements of CPSC stories	4,200	6
OCM	<b>KM4.2.02</b> Average number of business days between establishment of first draft and issuance of recall press release for the timeliest 90% of recall press releases <b>Replace with: KM4.2.05</b> Percentage of recall press releases issued in 22 days or less from first draft	18	60%
OCM	<b>Discontinue: KM4.3.01</b> Number of collaboration activities initiated with stakeholder groups	29	Discontinued <sup>12</sup>

<sup>11</sup> "Engagements" refer to the number of interactions (likes, shares, comments) with CPSC social media content.

<sup>12</sup> In October 2019, the Commission voted to remove Key Measure 4.3.01, which had been submitted as part of CPSC's FY 2020 *Request* to Congress in March 2019.

## Appendix B

### CPSC 2018–2022 Strategic Plan: Operating Plan Alignment

The CPSC’s mission of “Keeping Consumers Safe” is grounded 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.” In FY 2020, the CPSC will work to achieve four strategic goals that will contribute to realizing the vision and achieving the mission. The CPSC’s programs will align with the strategic goals, and staff will implement strategies to achieve the four strategic goals, which are described in more detail on the pages that follow: Workforce, Prevention, Response, and Communication. The information in this appendix shows the alignment of strategic initiatives and priority activities corresponding to the preceding sections of this Operating Plan with the 2018–2022 Strategic Plan.

The CPSC’s Strategic Plan contains strategic objectives that reflect the key component outcomes necessary to achieve each of the strategic goals. The strategic objectives are underpinned by performance goals and strategic initiatives, which define additional outcomes, outputs, and activities that the CPSC will implement and pursue within each strategic objective. Proposed FY 2020 key performance measures are identified for monitoring and reporting on FY 2020 progress toward achieving the strategic objectives.

The CPSC’s 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 and defines the evidence and performance data that will be used to monitor and assess program effectiveness.



## Operating Plan Details by Strategic Goal

### Strategic Goal 1: Workforce

*Cultivate the most effective consumer product safety workforce*

Having a highly trained, diverse, and engaged workforce is critical to meeting the dynamic challenges of the consumer product safety landscape and achieving the CPSC's life-saving mission. Agency staff's knowledge about product safety, commitment to the agency's mission, and "can-do" attitude make achieving the CPSC's mission possible.

The Office of Human Resources Management (EXRM) is the CPSC mission organization that has been tasked as the Goal Leader for addressing the following key *Workforce* challenges:

- Having a workforce with the knowledge, skills, and abilities to meet new, innovative, and emerging product safety challenges;
- Aligning personnel resources to agency priorities;
- Maintaining a global presence to address global 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

## Performance Goals (PG), Strategic Initiatives (SI), and FY 2020 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 2020 Priority Activities</b> <b>EXRM</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 2020 Priority Activities</b> <b>EXRM</b> <ul style="list-style-type: none"> <li>Execute agency-wide training plan based on assessment and focus groups</li> <li>Develop 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 2020 Priority Activities</b> <b>EXRM</b> <ul style="list-style-type: none"> <li>Increase hiring managers' participation in developing applicant assessments</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 2020 Priority Activities</b> <b>EXRM</b> <ul style="list-style-type: none"> <li>Train managers on effective performance management</li> <li>Train all employees on performance management system</li> <li>Increase work-life employee satisfaction</li> <li>Provide a robust agency wellness program</li> <li>Implement the agency's maximizing employee performance plan</li> <li>Implement the agency's FEVS Actions Plan to improve the bottom 20%</li> </ul>
<b>PG1.4.2</b> Build commitment to employee engagement	<b>SI13:</b> Train supervisors and Human Resources staff on managing employee performance and conduct	
	<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>EEO</b> <ul style="list-style-type: none"> <li>Develop workplace training curriculum on diversity and inclusion</li> </ul>

## Strategic Goal 2: Prevention

### *Prevent hazardous products from reaching consumers*

The CPSC is charged with protecting the public from unreasonable risks of injury and death from a vast array of consumer products supplied through expanding global markets. Efforts to increase manufacturing 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 Office of Hazard Identification & Reduction (EXHR) and the Office of Import Surveillance (EXIS) are the CPSC mission organizations that have been tasked as the co-Goal Leaders for addressing key challenges to *Prevention* of consumer product-related injuries, including:

- Providing surveillance for the myriad of consumer products imported and domestically manufactured under the CPSC's jurisdiction;
- Advancing data analysis and research capabilities to identify the consumer product hazards that pose the greatest risks;
- Addressing changes in traditional manufacturing methods, such as additive manufacturing (AM) using 3-D printers, and e-commerce sales and distribution options;
- Working with affected stakeholders to address existing product hazards and product hazards resulting from new technologies;
- 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 2.1

Improve identification and assessment of hazards to consumers

#### STRATEGIC OBJECTIVE 2.2

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

#### STRATEGIC OBJECTIVE 2.3

Increase capability to identify and stop imported hazardous consumer products

### Strategic Objective 2.1

Improve identification and assessment of hazards to consumers

**PG2.1.1** Increase agency capacity to analyze hazard data

**PG2.1.2** Improve quality and specificity of hazard information

**PG2.1.3** Improve agency capacity to identify and assess emerging hazards

**PG2.1.4** Improve agency capacity to identify and assess chronic hazards

enhance the identification and characterization of emerging hazards

**SI7:** Enhance coordination with relevant federal agencies, standards development organizations, and

## Appendices

### 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>SI9:</b> Deliver training events and collaborate on consumer product safety best practices with foreign manufacturers and domestic manufacturers, importers, and retailers</p>	<p>including an FR on Manufactured Fibers and the results of</p>
<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>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>PG2.2.3</b> Engage federal, state and foreign governments on product safety</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>PG2.2.4</b> Increase efforts to drive the discovery and innovation of safety solutions</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>SI18:</b> Incrementally develop and improve the RAM targeting system to identify noncompliant and defective products at ports of entry</p>	<p><b>FY 2020 Priority Activities</b></p> <p><b>EXIS</b></p> <ul style="list-style-type: none"> <li>Identify and examine shipments likely to contain consumer products in violation of CPSC's requirements through maximization of port presence</li> <li>Determine and propose to the Commission for implementation next action steps to address e-commerce based on: (1) recommendations identified by the e-commerce assessment study, which was completed in FY 2019 to determine the scope of e-commerce as it relates to CPSC's jurisdiction (2) efforts in this area by other federal government agencies and foreign governments</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. Enhancements include: (1) CPSC's new capability in sharing forms electronically with the trade through CBP's ACE system (2) new business intelligence features for automated analytics of import data collected by CPSC</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 Center of Excellence and Expertise (CEE)</li> </ul> <p><b>EXIT</b></p> <ul style="list-style-type: none"> <li>Operate and maintain RAM 2.0</li> </ul>
<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>	

## Strategic Goal 3: Response

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

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 company 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 potential product defects are identified, the CPSC must act quickly to address the most hazardous consumer products that have made their way into the marketplace or into the hands of consumers.

The Office of Hazard Identification & Reduction (EXHR) and the Office of Compliance & Field Operations (EXC) are the CPSC mission organizations that have been tasked as the co-Goal Leaders for addressing key *Response* challenges, including:

- Addressing trends in retailing and e-commerce, such as the prevalence of online sellers or other direct manufacturer-to-consumer marketing, 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

## Performance Goals (PG), Strategic Initiatives (SI), and FY 2020 Priority Activities

### Strategic Objective 3.1

Rapidly identify hazardous consumer products for enforcement action

<p><b>PG3.1.1</b> Improve collection, prioritization, and assessment of data on potential consumer product hazards</p>	<p><b>SI1:</b> Review current processes and identify opportunities to refine sample analysis priorities and reduce processing time</p> <p><b>SI2:</b> Determine the feasibility of implementing an eFiling process for manufacturers, importers, retailers, distributors, and third party platform providers to submit incident data and/or Section 15(b) reports</p>	<p><b>FY 2020 Priority Activities</b></p> <p><b>EXHR</b></p> <ul style="list-style-type: none"> <li>Support priority Compliance program activities, including liquid nicotine enforcement and e-commerce surveillance efforts</li> </ul> <p><b>EXC</b></p> <ul style="list-style-type: none"> <li>Develop enforcement guides for additional durable infant and toddler products (104 rules)</li> <li>Evaluate results of Business Process Review (BPR) and make resource recommendations on IT Modernization of the Integrated Field System (IFS)</li> <li>Align resources to account for the growth of e-commerce</li> </ul>
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### Strategic Objective 3.2

Minimize further exposure to hazardous consumer products

<p><b>PG3.2.1</b> Increase speed of corrective actions</p>	<p><b>SI3:</b> Explore the feasibility of an expedited approach to CAPs for lower-level consumer product hazards</p>	<p><b>FY 2020 Priority Activities</b></p> <p><b>EXC</b></p> <ul style="list-style-type: none"> <li>Continue to triage Section 15 reports to focus resources on higher priority hazards</li> <li>Seek feedback from stakeholders on potential Fast-Track program changes</li> <li>Enforce the Child Nicotine Poisoning Prevention Act, including removal of noncompliant liquid nicotine containers from commerce</li> </ul>
<p><b>PG3.2.2</b> Improve effectiveness of corrective actions</p>	<p><b>SI4:</b> Regularly publish electronic submissions of progress reports from recalling firms</p> <p><b>SI5:</b> Review the CPSC corrective action monitoring process to address priority recalls and achieve operational efficiencies</p> <p><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</p>	

### Strategic Objective 3.3

Improve consumer response to consumer product recalls

<p><b>PG3.3.1</b> Increase consumer motivation</p>	<p><b>SI7:</b> Request firms to use enhanced notices and an effectiveness evaluation as part of a CAP</p>	<p><b>FY 2020 Priority Activities</b></p> <p><b>EXC</b></p> <ul style="list-style-type: none"> <li>Expand safety messaging through a <i>Pool Safely</i> program and a "Keeping Families Safe" program for state and local officials to implement in their jurisdiction</li> <li>Work with recalling firms to maximize notification to consumers, including through direct notice, social media, and other technological means</li> </ul> <p><b>EXIP</b></p> <ul style="list-style-type: none"> <li>Provide timely information about recalls directly to foreign regulators and other stakeholders via the OECD's <i>Global Recalls</i> portal</li> </ul> <p><b>EXIT</b></p> <ul style="list-style-type: none"> <li>Update the CPSC's Recall App where feasible and responsive to user demands</li> </ul>
<p><b>PG3.3.2</b> Improve direct contact with consumers</p>	<p><b>SI8:</b> Increase the number of consumers signed up for recall updates via email</p>	
<p><b>PG3.3.3</b> Improve understanding of consumer response</p>	<p><b>SI9:</b> Meet with industry, consumer groups, and other government agency stakeholders to discuss how to increase response rates</p> <p><b>SI10:</b> Enhance domestic interagency collaboration on best practices to increase consumer response</p>	

## Strategic Goal 4: Communication

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

Consumers, safety advocates, industry, and government regulators need high-quality information about consumer product safety. Consumers need safety information to make more 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. 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 Office of Communications (OCM) is the CPSC mission organization that has been tasked as the Goal Leader for addressing the following key challenges to the agency's *Communication* strategy:

- 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

### STRATEGIC OBJECTIVE 4.2

Increase dissemination of useful consumer product safety information

### STRATEGIC OBJECTIVE 4.3

Increase and enhance collaboration with stakeholders

## Appendices

### 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	
<b>PG4.1.2</b> Implement enhanced tools to increase availability of safety information		<ul style="list-style-type: none"> <li>Upon request by any Commissioner, provide timely updates to the Commission, including information to support any safety claim made in OCM press releases, social media posts, safety campaigns, and other</li> </ul> <p><b>EXIT</b></p> <ul style="list-style-type: none"> <li>Operate and maintain agency websites and prepare for CPSC.gov technology platform updates by clarifying site purpose; reviewing visitation data; identifying content to be migrated; and gathering stakeholder and new government website</li> </ul>

### Strategic Objective 4.2

Increase dissemination of useful consumer product safety information

<b>PG4.2.1</b> Expand and enhance the CPSC brand"		
<b>PG4.2.2</b> Expand communications with targeted audiences		
<b>PG4.2.3</b> Increase use of enhanced communication technology to advance consumer safety		
<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	<p><b>FY 2020 Priority Activities</b></p> <p><b>OCM</b></p> <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 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 issued in 22 days or less</li> <li>Develop one communications activity on a major emerging hazard</li> </ul> <p><b>EXIT</b></p> <ul style="list-style-type: none"> <li>Conduct SaferProducts.gov research, redesign, and relaunch, including mobile-compatible responsive design</li> </ul> <p><b>EXIP</b></p> <ul style="list-style-type: none"> <li>Facilitate CPSC's participation in the annual OECD global consumer information campaign to communicate safety information to consumers on a topic of common interest among regulators around the world</li> </ul>

### Strategic Objective 4.3

Increase and enhance collaborations with stakeholders

	<b>SI8:</b> Increase the number of collaborations	<p><b>EXIP</b></p> <ul style="list-style-type: none"> <li>Administer International Training Exchange Program with foreign counterpart regulators</li> </ul> <p><b>OCM</b></p> <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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