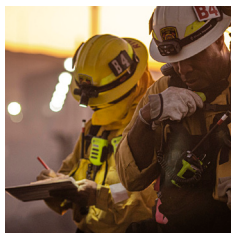
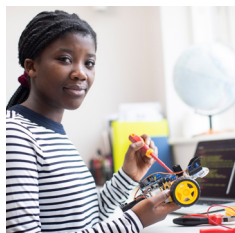
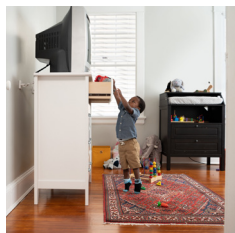
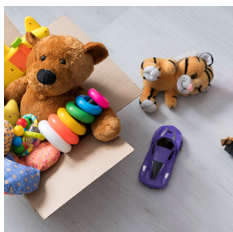




# United States Consumer Product Safety Commission

## Annual Performance Report

**FISCAL YEAR 2021**



**March 28, 2022**



An electronic version of this document is available at:

**[www.cpsc.gov/about-cpsc/agency-reports/performance-and-budget](http://www.cpsc.gov/about-cpsc/agency-reports/performance-and-budget)**

## About this Report

This document is the U.S. Consumer Product Safety Commission's (CPSC's) FY 2021 Annual Performance Report (APR). An electronic version of this report is available on the agency's website at:

<https://www.cpsc.gov/about-cpsc/agency-reports/performance-and-budget>.

The FY 2021 APR satisfies the annual performance reporting requirements of the GPRA Modernization Act of 2010 (GPRAMA), as well as Office of Management and Budget (OMB) Circular No. A-11 (*Preparation, Submission, and Execution of the Budget*).

The FY 2021 APR provides information on results achieved by CPSC programs during FY 2021 and progress made toward performance targets established for key performance measures. The performance measures indicate progress toward Strategic Goals and Strategic Objectives contained in the CPSC's Strategic Plan. Highlights of performance, in addition to challenges, are presented.

## Overview of the Agency

The U.S. Consumer Product Safety Commission (CPSC) is an independent federal regulatory agency, created in 1972, by the Consumer Product Safety Act (CPSA). In addition to the CPSA, as amended by the Consumer Product Safety Improvement Act of 2008 (CPSIA), and Public Law No. 112-28, the CPSC administers other laws, such as the Federal Hazardous Substances Act, the Flammable Fabrics Act, the Poison Prevention Packaging Act, the Refrigerator Safety Act, the Virginia Graeme Baker Pool and Spa Safety Act, the Child Safety Protection Act, the Labeling of Hazardous Art Materials Act, the Children's Gasoline Burn Prevention Act, the Drywall Safety Act of 2012, and the Child Nicotine Poisoning Prevention Act.

The CPSC has jurisdiction over thousands of types of consumer products used in and around the home, in recreation, and in schools, from children's toys to portable gas generators and toasters. Although the CPSC's regulatory purview is quite broad, a number of product categories fall outside the CPSC's jurisdiction.<sup>1</sup>

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<sup>1</sup> Product categories, such as automobiles and boats; alcohol, tobacco, and firearms; foods, drugs, cosmetics, and medical devices; and pesticides, are regulated by other federal agencies.

## Message from the Chair



*Chair Alexander Hoehn-Saric*

The U.S. Consumer Product Safety Commission's FY 2021 Annual Performance Report (APR) is a comprehensive account of performance results achieved by our programs for the period of October 1, 2020 through September 30, 2021. These programs serve the Agency's mission of "Keeping Consumers Safe" as we strive for "a nation free from unreasonable risks of injury and death associated with consumer products."

I became the Chair of the CPSC on October 13, 2021, and am honored to be part of this important agency. In presenting the FY 2021 APR, I am pleased to acknowledge that the accomplishments outlined in this report occurred under the able leadership of Commissioner Robert S. Adler, who served as the Acting Chair of the CPSC from October 1, 2019 through October 12, 2021. His commitment to protecting the public and his stewardship of the CPSC is commendable. Additionally, I applaud all CPSC staff for their accomplishments and contributions to our mission this past year. I am grateful that our employees continued to adapt well to working remotely and safely under the conditions brought about by the COVID-19 pandemic.

I am pleased to confirm that, for FY 2021, the performance data presented in this report are reasonably complete, accurate, and reliable. I look forward to working with my fellow Commissioners, and the CPSC staff in setting Agency priorities and achieving meaningful results in the year ahead.

A handwritten signature in black ink, reading "Alexander D. Hoehn-Saric".

Alexander Hoehn-Saric  
Chair  
March 28, 2022

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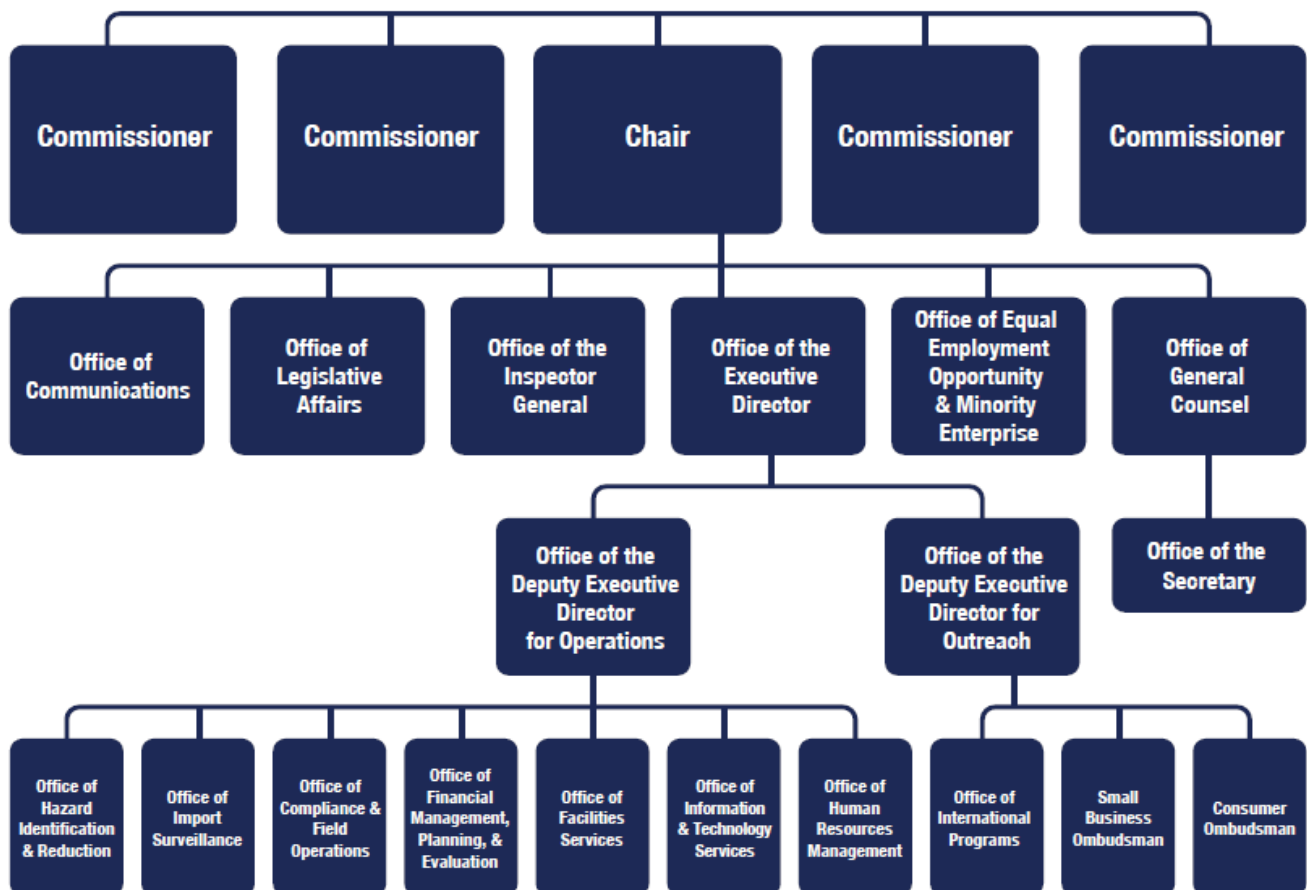
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## CPSC Organizational Structure

The CPSC is a bipartisan commission that is authorized to consist of five members appointed by the President with the advice and consent of the Senate. The Chair is the principal executive officer of the Commission, which convenes at meetings that are open to the public. The chart below depicts the CPSC's organizational structure during the majority of the FY 2021 reporting period<sup>2</sup> of October 1, 2020 through September 30, 2021. Previous Acting Chair Robert S. Adler completed his Commission tenure on December 1, 2021. Effective October 13, 2021, Alexander Hoehn-Saric assumed the role of Chair. As of the publication of this document, the Commission has four members, with Alexander Hoehn-Saric serving as Chair of the CPSC, and Commissioners Peter A. Feldman, Dana Baiocco, and Richard Trumka, Jr.



<sup>2</sup> Elliot F. Kaye's tenure as CPSC Commissioner ended on August 27, 2021.

## CPSC Strategic Plan Summary

The agency's Strategic Plan lays out the CPSC's approach to achieving the mission of keeping consumers safe, with the overarching vision of a nation free from unreasonable risks of injury and death from consumer products. Each of the four Strategic Goals is supported by Strategic Objectives. A suite of performance measures with annual targets is used to monitor progress toward the Strategic Objectives and Strategic Goals.

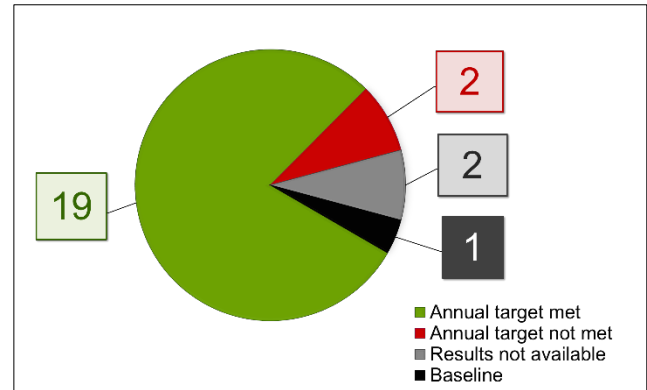


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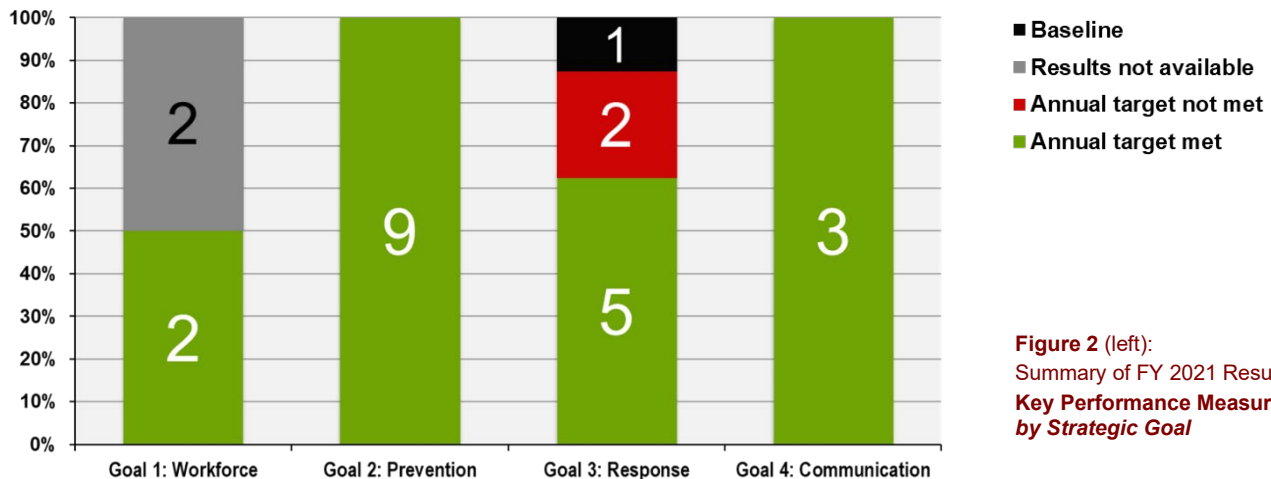
## Performance Summary: An Overview

During FY 2021, the CPSC tracked 24 performance measures. Twenty three of those performance measures had established performance targets for FY 2021 to gauge progress toward the agency's Strategic Goals and Strategic Objectives. One of the 24 measures, KM 3.2.06, did not have a FY 2021 target because the measure was new. The CPSC collected baseline data for KM 3.2.06 during FY 2021, and the data will be used to set performance target levels for future years. The CPSC met performance targets for 19 of the 23 performance measures with targets and did not meet performance targets for two measures. For the two remaining measures with established targets, results were not available because they require information from the 2021 Federal Employee Viewpoint Survey (FEVS); those measures will be reported in CPSC's next agency-level report after the 2021 FEVS results are made available.

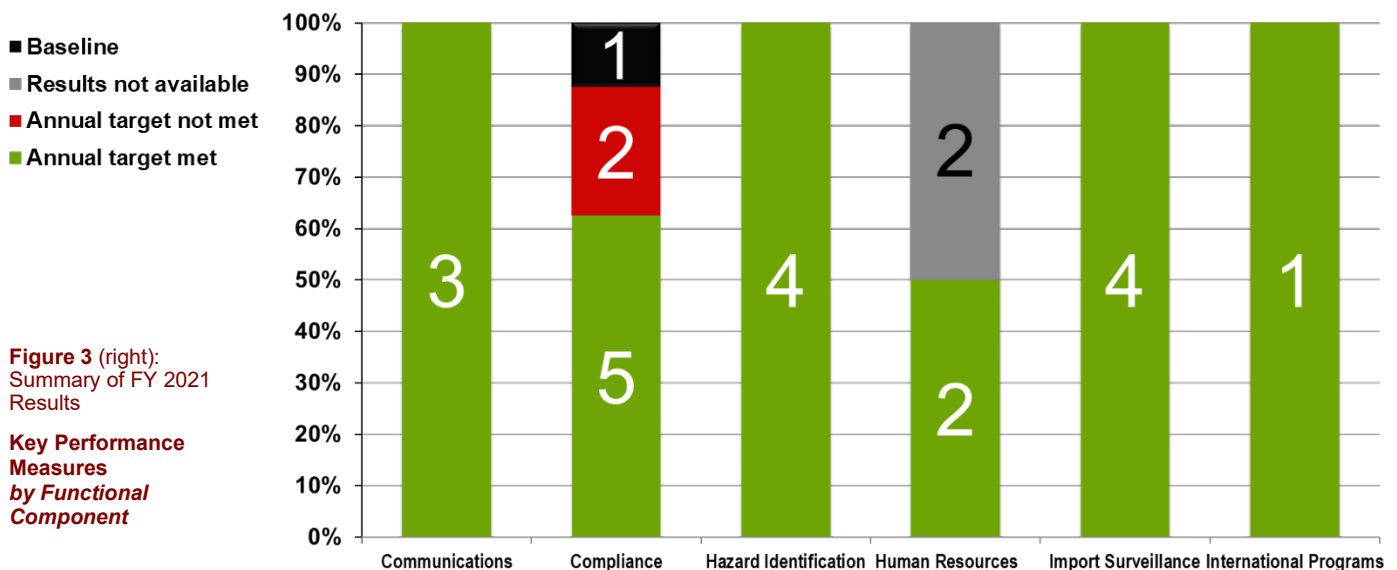


**Figure 1:** A snapshot of the CPSC's FY 2021 Key Performance Measures

The FY 2021 results for the key performance measures are organized by Strategic Goal (Figure 2) and by CPSC functional component (Figure 3).



**Figure 2 (left):**  
Summary of FY 2021 Results  
Key Performance Measures  
by Strategic Goal



**Figure 3 (right):**  
Summary of FY 2021 Results  
Key Performance Measures  
by Functional Component

# CPSC Key Performance Measures: FY 2021 Results Summary

<b>Strategic Goal 1: Workforce</b> <i>Cultivate the most effective consumer product safety workforce</i>									
Strategic Objective (SO), Key Performance Measure (KM)		Program Office	Actuals					2021 Target	
			2017	2018	2019	2020	2021	2021 Target	Target met?
<b>SO 1.1</b> Enhance effective strategic human capital planning and alignment	<b>2021KM1.1.02</b> Percentage of full-time equivalents (FTEs) utilized	Human Resources	--	97%	98%	95%	97%	96%	✓
<b>SO 1.2</b> Foster a culture of continuous development	<b>2021KM1.2.01</b> Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey)		73%	68%	66%	74%	Not Avail <sup>3</sup>	70%	N/A
<b>SO 1.3</b> Attract and recruit a talented and diverse workforce	<b>2021KM1.3.01</b> Percentage of hiring managers trained on recruitment		56%	83%	86%	90%	97%	80%	✓
<b>SO 1.4</b> Increase employee engagement	<b>2021KM1.4.01</b> High-performing Federal Workforce – Employee Engagement Index Score		73%	69%	66%	75%	Not Avail <sup>4</sup>	70%	N/A

<b>Strategic Goal 2: Prevention</b> <i>Prevent hazardous products from reaching consumers</i>									
Strategic Objective (SO), Key Performance Measure (KM)		Program Office	Actuals					2021 Target	
			2017	2018	2019	2020	2021	2021 Target	Target met?
<b>SO 2.1</b> Improve identification and assessment of hazards to consumers	<b>2021KM2.1.02</b> Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards	Hazard Identification	11	10	11	11	11	11	✓
	<b>2021KM2.1.03</b> Percentage of consumer product-related injury cases correctly captured at NEISS hospitals		92%	93%	90%	91%	91%	90%	✓
<b>SO 2.2</b> Lead efforts to improve the safety of consumer products before they reach the marketplace	<b>2021KM2.2.01</b> Number of voluntary standards activities in which CPSC actively participates	Hazard Identification	76	77	74	78	78	78	✓
	<b>2021KM2.2.02</b> Number of candidates for rulemaking prepared for Commission consideration		18	19	14	14	13	10	✓
	<b>2021KM2.2.07</b> Percentage of firms that are engaged with timely establishment inspection after being identified as a repeat offender	Import Surveillance	--	73%	90%	83%	100%	75%	✓
	<b>2021KM2.2.08</b> Recalls per Billion Dollars in Consumer Product Imports for Top 50 Import Sources, Countries or Administrative Areas	International Programs	--	--	--	0.21	0.21	< 0.33	✓
<b>SO 2.3</b> Increase capability to identify and stop imported hazardous consumer products	<b>2021KM2.3.01</b> Percentage of consumer product imports, identified as high-risk, examined at import	Import Surveillance	89%	89%	86%	80%	82%	80%	✓
	<b>2021KM2.3.02</b> Percentage of import shipments processed through the Risk Assessment Methodology (RAM) system that are cleared within 1 business day		99.8%	99.8%	99.8%	99.9%	99.8%	99%	✓
	<b>2021KM2.3.04</b> Number of import examinations completed		38,726	41,117	39,010	18,561	36,375	32,000	✓

<sup>3</sup> The U.S. Office of Personnel Management (OPM) administered the 2021 FEVS in November 2021. Results for the two measures are not available as of the publication of this document.

<sup>4</sup> Ibid.

### Strategic Goal 3: Response

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

Strategic Objective (SO), Key Performance Measure (KM)		Program Office	Actuals					2021 Target	
			2017	2018	2019	2020	2021	2021 Target	Target met?
<b>SO 3.1</b> Rapidly identify hazardous consumer products for enforcement action	<b>2021KM3.1.01</b> Percentage of cases for which a preliminary determination is made within 85 business days of the case opening (Hazard Priorities A, B, and C)	Compliance	74%	75%	13%	83%	64%	65%	✗
	<b>2021KM3.1.02</b> Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection (excludes fireworks)		87%	89%	85%	89% <sup>5</sup>	86%	85%	✓
	<b>2021KM3.1.03</b> Percentage of fireworks cases for which a compliance determination of a regulatory violation is made within 70 business days of sample collection		--	--	--	43%	100%	85%	✓
<b>SO 3.2</b> Minimize further exposure to hazardous consumer products	<b>2021KM3.2.02</b> Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection (excludes fireworks)	Compliance	86%	87%	86%	86% <sup>6</sup>	83%	85%	✗
	<b>2021KM3.2.03</b> Percentage of Fast-Track cases with corrective actions initiated within 20 business days of case opening		98%	96%	97%	97%	95%	90%	✓
	<b>2021KM3.2.05</b> Percentage of fireworks cases for which a firm is notified of a regulatory violation within 75 business days from sample collection		--	--	--	43%	100%	85%	✓
	<b>2021KM3.2.06</b> Percentage of cases for which a corrective action plan (CAP) is accepted, or public notice of hazard is issued within 90 business days of a Preliminary Determination (Hazard Priorities A, B, and C)		--	--	--	--	75%	Baseline	N/A <sup>7</sup>
<b>SO 3.3</b> Improve consumer response to consumer product recalls	<b>2021KM3.3.01</b> Recall effectiveness rate for all consumer product recalls	Compliance	41%	17%	21%	33%	32%	25%	✓

### Strategic Goal 4: Communication

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

Strategic Objective (SO), Key Performance Measure (KM)		Program Office	Actuals					2021 Target	
			2017	2018	2019	2020	2021	2021 Target	Target met?
<b>SO 4.1</b> Improve usefulness and availability of consumer product safety information	<b>2021KM4.1.02</b> Number of engagements with CPSC safety messaging on social media channels by stakeholders (in millions)	Communications	0.3	0.8	1.5	12.1	9.3	3.0	✓
<b>SO 4.2</b> Increase dissemination of useful consumer product safety information	<b>2021KM4.2.04</b> Number of national media placements of CPSC stories	Communications	--	--	--	12	16	10	✓
	<b>2021KM4.2.06</b> Percentage of recall press releases cycled through the Office of Communications in 2 business days or less, once received from the Office of Compliance & Field Operations		--	--	--	--	96%	80%	✓
<b>SO 4.3</b> Increase and enhance collaboration with stakeholders	(None)								

<sup>5</sup> Starting with FY 2020, fireworks cases have been disaggregated from this measure. KM 3.1.03 was established for FY 2020 to capture the disaggregated fireworks cases.

<sup>6</sup> Starting with FY 2020, fireworks cases have been disaggregated from this measure. KM 3.2.05 was established for FY 2020 to capture the disaggregated fireworks cases.

<sup>7</sup> Correction: This measure was reported as "Met" in [CPSC's FY 2021 Agency Financial Report](#), but it should be reported as N/A (not applicable) instead.

## Performance Summary by Strategic Goal

### Strategic Goal 1: Workforce

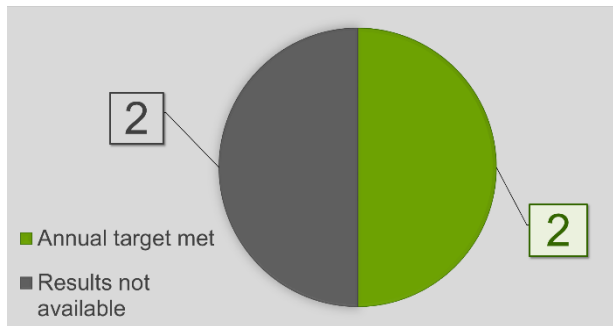
*Cultivate the most effective consumer product safety workforce*

#### Challenges

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

- 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;
- Strengthening knowledge transfer through employee cross-training, and succession planning; and
- Having adequate resources to keep pace with the evolving marketplace and emerging hazards.

#### Strategies

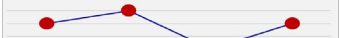



**Figure 4:** A snapshot of Strategic Goal 1 performance measures (4 total)

<b>STRATEGIC OBJECTIVE 1.1</b> Enhance effective strategic human capital planning and alignment
<b>STRATEGIC OBJECTIVE 1.2</b> Foster a culture of continuous development
<b>STRATEGIC OBJECTIVE 1.3</b> Attract and recruit a talented and diverse workforce
<b>STRATEGIC OBJECTIVE 1.4</b> Increase employee engagement

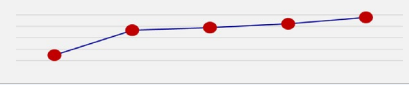
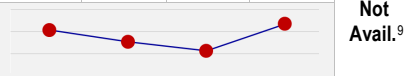
The CPSC's approach to cultivating an effective workforce involves enhancing human capital planning and alignment, increasing opportunities for professional development, and improving recruitment strategies to attract talented, diverse, and committed staff. The strategy also emphasizes increasing employee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

**Table 1**

Strategic Objective (SO) / Key Performance Measure (KM)		Actuals / Trend line					2021 Target	
SO 1.1 Enhance effective strategic human capital planning and alignment								
2021KM1.1.02 Percentage of full-time equivalents (FTEs) utilized	2017	2018	2019	2020	2021	2021 Target	Target met?	
	--	97%	98%	95%	97%	96%	✓	
								
SO 1.2 Foster a culture of continuous development								
2021KM1.2.01 Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey)	2017	2018	2019	2020	2021	2021 Target	Target met?	
	73%	68%	66%	74%	Not Avail. <sup>§</sup>	70%	N/A	
								

<sup>8</sup> The U.S. Office of Personnel Management (OPM) administered the 2021 FEVS in November 2021. Results for this measure are not available as of the publication of this document.

**Table 1** (continued)

Strategic Objective (SO) / Key Performance Measure (KM)		Actuals / Trend line					2021 Target	
SO 1.3 Attract and recruit a talented and diverse workforce								
2021KM1.3.01 Percentage of hiring managers trained on recruitment	2017	2018	2019	2020	2021	2021 Target	Target met?	
	56%	83%	86%	90%	97%	80%	✓	
								
SO 1.4 Increase employee engagement								
2021KM1.4.01 High-performing Federal Workforce – Employee Engagement Index Score	2017	2018	2019	2020	2021	2021 Target	Target met?	
	73%	69%	66%	75%	Not Avail. <sup>9</sup>	70%	N/A	
								

## FY 2021 Results

The CPSC exceeded FY 2021 targets for two of the four key performance measures under Strategic Goal 1. Selected FY 2021 achievements under Strategic Goal 1 include:

- Trained more than 97 percent of hiring managers on the recruitment process to attract and recruit a talented, diverse, and highly effective workforce; and
- Trained 93 percent of managers on effective performance management to help them retain the best talent, engage and reward top performers, and properly address poor work performance.

FY 2021 results were not available for two of the four key measures under Strategic Goal 1. Results for these measures require information from the Federal Employee Viewpoint Survey (FEVS) and will be reported in CPSC's next agency-level report after the 2021 FEVS results are made available:

- Key Measure 1.2.01 – Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey)
- Key Measure 1.4.01 – High-Performing Federal Workforce – Employee Engagement Index Score

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

<sup>9</sup> The U.S. Office of Personnel Management (OPM) administered the 2021 FEVS in November 2021. Results for this measure are not available as of the publication of this document.

## Strategic Goal 2: Prevention

*Prevent hazardous products from reaching consumers*

### Challenges

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 CPSC's key challenges to *Prevention* are:

- Providing surveillance for the myriad consumer products imported and domestically manufactured under the CPSC's jurisdiction;
- Advancing data analysis and research capabilities to identify existing and potential emerging consumer product hazards that pose the greatest risks;
- Keeping pace with evolving injury data collection, manufacturer-to-consumer supply chain, and technology associated with consumer products;
- Working with affected stakeholders to address product hazards and product hazards resulting from new technologies (e.g., Internet of Things);
- 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

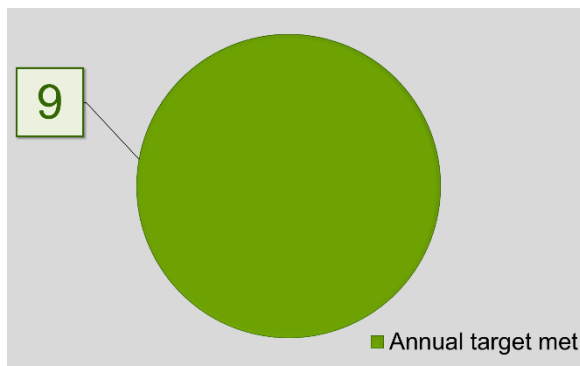
#### STRATEGIC OBJECTIVE 2.2

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

### Strategies



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

**Figure 5:** A snapshot of Strategic Goal 2 performance measures (9 total)

**Table 2**

Strategic Objective (SO) / Key Performance Measure (KM)		Actuals / Trend line					2021 Target	
SO 2.1 Improve identification and assessment of hazards to consumers								
<b>2021KM2.1.02</b> Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards	2017	2018	2019	2020	2021	2021 Target	Target met?	
	11	10	11	11	11	11	✓	
<b>2021KM2.1.03</b> Percentage of consumer product-related injury cases correctly captured at NEISS hospitals	2017	2018	2019	2020	2021	2021 Target	Target met?	
	92%	93%	90%	91%	91%	90%	✓	



**Table 2** (continued)

Strategic Objective (SO) / Key Performance Measure (KM)		Actuals / Trend line					2021 Target	
SO 2.2    Lead efforts to improve the safety of consumer products before they reach the marketplace								
<b>2021KM2.2.01</b> Number of voluntary standards activities in which CPSC actively participates	2017	2018	2019	2020	2021	2021 Target	Target met?	
	76	77	74	78	78	78	✓	
<b>2021KM2.2.02</b> Number of candidates for rulemaking prepared for Commission consideration	2017	2018	2019	2020	2021	2021 Target	Target met?	
	18	19	14	14	13	10	✓	
<b>2021KM2.2.07</b> Percentage of firms that are engaged with timely establishment inspection after being identified as a repeat offender	2017	2018	2019	2020	2021	2021 Target	Target met?	
	--	73%	90%	83%	100%	75%	✓	
<b>2021KM2.2.08</b> Recalls per Billion Dollars in Consumer Product Imports for Top 50 Import Sources, Countries or Administrative Areas	2017	2018	2019	2020	2021	2021 Target	Target met?	
	--	--	--	0.21	0.21	< 0.33	✓	
SO 2.3    Increase capability to identify and stop imported hazardous consumer products								
<b>2021KM2.3.01</b> Percentage of consumer product imports, identified as high-risk, examined at import	2017	2018	2019	2020	2021	2021 Target	Target met?	
	89%	89%	86%	80%	82%	80%	✓	
<b>2021KM2.3.02</b> Percentage of import shipments processed through the Risk Assessment Methodology (RAM) system that are cleared within 1 business day	2017	2018	2019	2020	2021	2021 Target	Target met?	
	99.8%	99.8%	99.8%	99.9%	99.8%	99%	✓	
<b>2021KM2.3.04</b> Number of import examinations completed	2017	2018	2019	2020	2021	2021 Target	Target met?	
	38,726	41,117	39,010	18,561	36,375	32,000	✓	

## FY 2021 Results

The CPSC met or exceeded targets for all nine key performance measures under Strategic Goal 2. Selected FY 2021 achievements under Strategic Goal 2 include:

- To address potential emerging hazards, the CPSC published reports on emerging artificial intelligence (AI) and machine learning (ML) technologies in consumer products and on using AI/ML to strengthen CPSC's data analysis. This included hosting a stakeholder forum on AI/ML in consumer products, as well as several applications of ML to CPSC data for data coding, data quality assurance, and analytics.
- For the possible emerging hazard from products making use of the Internet of Things<sup>10</sup> (IoT), the CPSC developed capabilities for testing software embedded in consumer products, including connected products. Additionally, the CPSC continued to lead the Interagency Working Group on IoT.<sup>11</sup>
- Pursuant to Title XX, Section 2001 of the Consolidated Appropriations Act of 2021 (Pub. L. No. 116-260), the CPSC submitted a [Report to Congress](#), which highlighted the risk posed by the influx of consumer products, especially those arriving via eCommerce, and the need to increase staffing in both the traditional and *de minimis* port environments. With subsequent funding received under the American Rescue Plan Act of 2021 (ARPA) (Pub. L. No. 117-2), the CPSC co-located new staff at four additional high-volume ports of entry, including the establishment of a dedicated eCommerce team.
- The CPSC actively participated in 78 voluntary standards activities, collaborating with industry leaders, consumer advocates, and other stakeholders to improve consensus voluntary standards across a wide range of consumer products.
- The agency implemented a new, fully functional "Online Clearinghouse" to provide stakeholders with self-service, open access to CPSC incident data. It was launched on March 5, 2021. The Online Clearinghouse was visited 598 times in Fiscal Year 2021. Additionally, CPSC's Clearinghouse fulfilled 127 FOIA requests and made 4,365 manufacturer notifications. The Division of Hazard Analysis prepared data for 23 standards development groups/committees.
- Produced or engaged in 14 virtual training events, reaching, in real time, more than 1,000 registered foreign industry and government representatives from 79 different countries, as well as individuals who viewed recorded sessions from CPSC's servers and from media accounts from the U.S. Embassy in China.

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

<sup>10</sup> Internet of Things (IoT), as it relates to consumer products, refers to an environment in which consumer products are connected to the Internet or other devices/products that are connected to the Internet. This type of connectivity is capable of introducing potential safety issues/hazards. The growth of IoT-related products is a challenge for the CPSC and its stakeholders.

<sup>11</sup> For more information on the Interagency Working Group on IoT, please refer to the narrative "Collaboration with Federal Agencies and Other Stakeholders on the Internet of Things" on pp. 19–20.

## Strategic Goal 3: Response

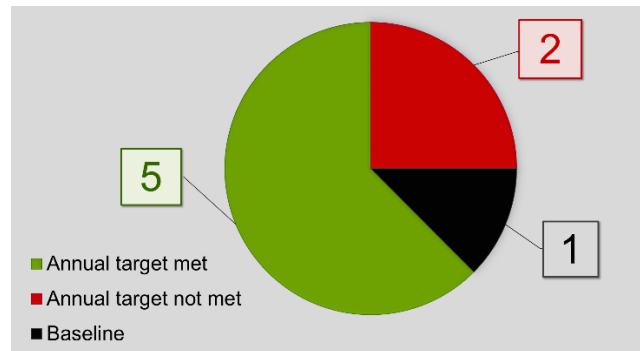
*Respond quickly to address hazardous consumer products both in the marketplace and with consumers*

### Challenges

The CPSC learns about potential consumer product hazards from many sources, including incident reports, consumer complaints, the agency's Consumer Hotline and General Information number (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 CPSC's key *Response* challenges are:

- Addressing trends in retailing and eCommerce, 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;
- Advancing agency data-sharing through use of an integrated, enterprise-wide approach; and
- Improving the monitoring and effectiveness of consumer product recalls.

### Strategies





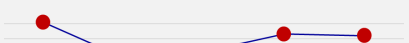
**Figure 6:** A snapshot of Strategic Goal 3 performance measures (8 total)

The CPSC's strategy involves improving the effectiveness of the procedures used to process and analyze incoming product hazard-related data, and aligning resources so that the agency can act upon the information and quickly remove potentially hazardous products from the marketplace. The strategy also involves improving the recall monitoring process and working with industry to increase consumer awareness of product recalls as they occur. To achieve this strategic goal, the CPSC works toward improving consumer response to consumer product recalls. The CPSC works with consumers, recalling firms, retailers, and other interested parties to reach consumers affected by recalls. The agency works to improve the effectiveness of product recalls by expanding the CPSC's use of social media, urging recalling firms to use social media to broaden the notice of recalls, and conducting consumer focus group research on why and when consumers respond to recalls, among other techniques.

**Table 3**

Strategic Objective (SO) / Key Performance Measure (KM)		Actuals / Trend line					2021 Target	
SO 3.1 Rapidly identify hazardous consumer products for enforcement action								
<b>2021KM3.1.01</b> Percentage of cases for which a preliminary determination is made within 85 business days of the case opening (Hazard Priorities A, B, and C)	2017	2018	2019	2020	2021	2021 Target	Target met?	
	74%	75%	13%	83%	64%	65%	✗	
<b>2021KM3.1.02</b> Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection (excludes fireworks) <i>*Starting with FY 2020, fireworks cases were disaggregated from this measure and are captured by a new measure established for FY 2020—KM 3.1.03.</i>	2017	2018	2019	2020	2021	2021 Target	Target met?	
	87%	89%	85%	89%*	86%	85%	✓	

Table 3 (continued)

Strategic Objective (SO) / Key Performance Measure (KM)		Actuals / Trend line					2021 Target	
<b>2021KM3.1.03</b> Percentage of firework cases for which a compliance determination of a regulatory violation is made within 70 business days of sample collection		2017	2018	2019	2020	2021	2021 Target	Target met?
		--	--	--	43%	100%	85%	✓
SO 3.2 Minimize further exposure to hazardous consumer products								
<b>2021KM3.2.02</b> Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection (excludes fireworks) <i>*Starting with FY 2020, fireworks cases were disaggregated from this measure and are captured by a new measure established for FY 2020—KM 3.2.05.</i>		2017	2018	2019	2020	2021	2021 Target	Target met?
		86%	87%	86%	86%*	83%	85%	✗
								
<b>2021KM3.2.03</b> Percentage of Fast-Track cases with corrective actions initiated within 20 business days of case opening		2017	2018	2019	2020	2021	2021 Target	Target met?
		98%	96%	97%	97%	95%	90%	✓
								
<b>2021KM3.2.05</b> Percentage of fireworks cases for which a firm is notified of a regulatory violation within 75 business days from sample collection		2017	2018	2019	2020	2021	2021 Target	Target met?
		--	--	--	43%	100%	85%	✓
<b>2021KM3.2.06</b> Percentage of cases for which a corrective action plan (CAP) is accepted, or public notice of hazard is issued within 90 business days of a Preliminary Determination (Hazard Priorities A, B, and C)		2017	2018	2019	2020	2021	2021 Target	Target met?
		--	--	--	--	75%	Baseline	N/A <sup>12</sup>
SO 3.3 Improve consumer response to consumer product recalls								
<b>2021KM3.3.01</b> Recall effectiveness rate for all consumer product recalls		2017	2018	2019	2020	2021	2021 Target	Target met?
		41%	17%	21%	33%	32%	25%	✓
								

<sup>12</sup> Correction: This measure was reported as “Met” in [CPSC’s FY 2021 Agency Financial Report](#), but it should be reported as N/A (not applicable) instead.

## FY 2021 Results

The CPSC exceeded FY 2021 targets for five of the seven key performance measures with established performance targets under Strategic Goal 3. One additional measure was designated as “baseline” and did not have a FY 2021 performance target. Selected FY 2021 achievements under Strategic Goal 3 include:

- Staff completed approximately 900 establishment inspections, surveillance activities, and recall effectiveness checks at firms for compliance with CPSC’s laws and regulations.
- The CPSC worked with firms to conduct 223 voluntary recalls, involving approximately 43 million units being removed from the marketplace and the hands of consumers, thus protecting consumers from further exposure to potential harm from the products.
- The CPSC’s eSAFE Team, formerly known as the Internet Surveillance Unit (ISU), screened more than 640,000 listings on websites. Also, CPSC staff contacted approximately 17,100 online platforms and sellers who were offering for sale banned or previously recalled consumer products. Additionally, staff requested more than 10,500 Internet site takedowns, resulting in removal of 31,500 products.
- Staff sent 1,940 Notices of Violation (NOV) and negotiated 193 corrective action plans (CAPs) to address hazardous consumer products, resulting in removal of these hazardous products from the distribution chain.

The agency did not meet FY 2021 targets for two of the seven performance measures with established performance targets under Strategic Goal 3:

- **Key Measure 3.1.01**—Percentage of cases for which a preliminary determination is made within 85 business days of the case opening (Hazard Priorities A, B, and C): The FY 2021 actual result is 64 percent, falling slightly short of the annual target of 65 percent. For 14 of the 22 products with Hazard Priority A, B, or C, preliminary determination (PD) was made within 85 days. The CPSC did not meet the target because some of the cases involved products that were the subject of an ongoing administrative litigation seeking mandatory recalls.
- **Key Measure 3.2.02**—Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection (excludes fireworks): The target was 85 percent; the FY 2021 actual result was 83 percent. The CPSC did not meet the target due to CPSC’s recent expansion of its ATV compliance program, resulting in a significant increase in the number of ATV compliance cases. Additionally, ATV cases involve unique challenges, which are due to the product size of ATVs and HAZMAT protocols. Those challenges result in longer turnaround time from sample collection to notifying the firm of a regulatory violation.

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

## Strategic Goal 4: Communication

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

### Challenges

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 CPSC's key *Communication* challenges are:

- 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;
- Improving CPSC messaging and outreach to affected populations, including underserved, low-income, and minority communities and families; and
- Managing the communication about consumer products that pose unreasonable risks of injury and death.

#### STRATEGIC OBJECTIVE 4.1

Improve usefulness and availability of consumer product safety information

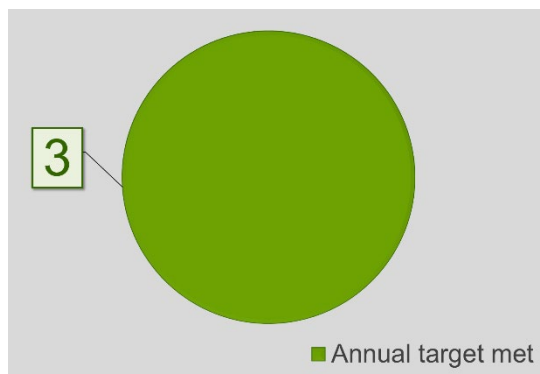
#### STRATEGIC OBJECTIVE 4.2

Increase dissemination of useful consumer product safety information

#### STRATEGIC OBJECTIVE 4.3

Increase and enhance collaboration with stakeholders

### Strategies



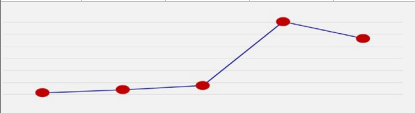
**Figure 7:** A snapshot of Strategic Goal 4 performance measures (3 total)

The CPSC uses a wide array of communication channels and strategies to provide timely, targeted information about consumer product safety to the public, industry, and other stakeholders. The agency disseminates safety messages through workshops and training sessions; listserv messages; press releases; public service announcements and video news releases; newspaper, radio, and TV interviews; and increasingly, social media, including Facebook, Twitter, and blogs, while adhering to disclosure protocols. The CPSC strives to improve the usefulness and availability of safety messages by collecting and analyzing data and designing and applying new and innovative communication tools. Dissemination of more useful and timely consumer product safety information will result in a stronger agency brand, the ability to communicate in mobile environments, and the

ability to explore micro-targeting to reach the most at-risk populations. An additional element of the CPSC's strategy involves strengthening collaborations with stakeholder groups, including other government agencies and nonprofit organizations. This may include collaboration on information and education campaigns on product safety.



Table 4

Strategic Objective (SO) / Key Performance Measure (KM)		Actuals / Trend line					2021 Target	
SO 4.1 Improve usefulness and availability of consumer product safety information								
2021KM4.1.02 Number of engagements with CPSC safety messaging on social media channels by stakeholders (in millions)	2017	2018	2019	2020	2021	2021 Target	Target met?	
	0.3	0.8	1.5	12.1	9.3	3.0	✓	
								
SO 4.2 Increase dissemination of useful consumer product safety information								
2021KM4.2.04 Number of national media placements of CPSC stories	2017	2018	2019	2020	2021	2021 Target	Target met?	
	--	--	--	12	16	10	✓	
2021KM4.2.05 Percentage of recall press releases cycled through the Office of Communications in 2 business days or less, once received from the Office of Compliance & Field Operations	2017	2018	2019	2020	2021	2021 Target	Target met?	
	--	--	--	--	96%	80%	✓	
SO 4.3 Increase and enhance collaboration with stakeholders								
(None)								

## FY 2021 Results

The CPSC exceeded FY 2021 targets for all three key performance measures under Strategic Goal 4. Selected FY 2021 achievements under Strategic Goal 4 include:

- The agency achieved more than 9.3 million engagements, significantly outpacing its target of 3 million engagements (by consumers and others) with CPSC's social media messages on all CPSC social media accounts (@USCPSC), including Twitter, Facebook, and Instagram.
- The agency's Small Business Ombudsman (SBO) had great success in making inquiries to the CPSC easier for small businesses through improvements of CPSC's "Regulatory Robot," an interactive resource to help small businesses identify applicable safety requirements. The number of Robot users increased from 21,000 in FY 2020 to 23,000 in FY 2021, demonstrating an increased interest in the resource by industry stakeholders.
- The SBO continued to produce training videos for CPSC's YouTube channel to increase dissemination and longevity of useful product safety information. The shift toward virtual multimedia content has increased the number of viewers of SBO training materials. In FY 2021, there were approximately 17,200 views of SBO's videos, trainings, and webinars. The increase in the number of followers of CPSC's social media channels, from 150,500 in FY 2020 to 211,200 in FY 2021, enabled the CPSC to deliver safety messaging to a wider audience.
- Developed a story series for *Pool Safely*, which is CPSC's national public education campaign to reduce child drownings and entrapments. The story series is available on [PoolSafely.gov](https://www.poolsafely.gov), and it engages campaign collaborators to collect stories that personalize the issue of child drownings, leading to greater impact on the public by the campaign.
- The Consumer Ombudsman's outreach efforts provided safety materials, explained agency procedures, supported CPSC staff's public education efforts, and addressed inquiries from individual consumers and organizations.

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

## Agency Priorities & Management Challenges

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### Agency Priority: Emphasize Robust Import Surveillance

The CPSC has long recognized the critical importance of pursuing product safety as shipments enter the United States, if not at an earlier stage in the supply-chain process. In cooperation with CBP, CPSC has stretched its budget for traditional port surveillance to expand inspections, and we will continue to increase port staff stationed throughout the country. However, the rise in eCommerce requires a corresponding increase in our efforts to monitor port environments that receive low-value, direct-to-buyer shipments of consumer products. Along with these efforts, CPSC will be developing an eFiling Program to enhance targeting capability at traditional ports and in the emerging eCommerce arena. We also will be working to modify and update the Risk Assessment Methodology (RAM) system to expand capabilities related to eFiling, *de minimis* shipments, and the identification of defective products.

### Agency Priority: Pursue Vigorous Compliance

The CPSC will vigorously enforce compliance with mandatory regulations and work actively to remove defective products through recalls or other corrective actions. When necessary, the CPSC will litigate to secure a mandatory recall. And CPSC will monitor recall implementation, to ensure that recalled products are removed from people's homes and from store shelves. Compliance activities will focus on the timely investigation of reports of hazardous consumer products and also will entail marketplace surveillance, including a heightened emphasis on eCommerce activity, to ensure that hazardous products do not enter or remain in the distribution chain. Indeed, given the increasing role of eCommerce in our lives, enforcement of the sale and distribution of goods on eCommerce platforms will be a major focus of the agency's enforcement activities. eCommerce has evolved, and it is now central to the way American consumers and sellers interact. The CPSC is committed to addressing this new paradigm in a number of ways, including expanding its regulatory and legal staff devoted to investigating reports of hazardous and violative products on third party platforms and increasing the agency's Internet surveillance capabilities.

The CPSC also remains committed to pursuing civil penalties, where warranted. The agency has correctly prioritized recall and enforcement efforts to protect consumers as a first principle, by ensuring removal of hazardous products. Simultaneously, we remain committed not only to protecting consumers, but also to penalizing violators and offenders, and we will use all of our statutory authorities to do so.

### Agency Priority: Expand Hazard Identification

The collection and analysis of data to identify hazards and hazard patterns, particularly emerging hazards, is central to CPSC's mission to protect consumers from unreasonable risks of injury or death associated with consumer products. To address these issues effectively, we must invest significantly in staff, research, testing capabilities, expanded laboratory facilities, and, most significantly, high-quality data that informs CPSC's decision making. In particular, the CPSC will continue to improve and upgrade the NEISS data system; focus on applied research in hazard identification; gather additional geographic and demographic data to better identify whether hazard patterns are disproportionately impacting particular communities and populations; expand our chronic hazard analysis capability; and ensure that the agency keeps apace with technology, advances in machine learning, artificial intelligence, and evolving methods of data collection and analysis.

### Agency Priority: Build Diversity and Seek Product Safety Equity

The CPSC will enhance recruitment efforts, analysis of workforce data, and proactive programs that seek to foster inclusion, equity, and diversity. The CPSC will serve vulnerable, diverse, and underserved communities better through targeted communications and outreach. This will be accomplished by the enhanced ability to micro-target proven safety messaging that can help reduce existing safety disparities in the marketplace. The agency will develop robust agency data collection and analysis of product safety incidents, injuries, and deaths reflecting potential safety disparities among diverse populations and allocate safety work to address these disparities.

### **Agency Priority: Enhance Communications Capabilities and Reach**

Effective public health and safety communications require specialized skill sets to reach the American public in the 21st century. The CPSC's safety campaigns, recall work, and press engagements must expand, and the communications infrastructure must be equipped to handle known and emerging product safety hazards, and to develop novel approaches for effectuating behavior change. Effective safety messaging requires the agency to meet consumers where they are—that is, online. This means we must develop and maintain a robust Internet presence, including traditional social media, CPSC websites, and apps to track product safety developments.

### **Agency Priority: Invest in Technology**

The CPSC has significant needs related to the overhaul of internal systems (including critical, statutorily required data collection from regulated entities), such as the Dynamic Case Management system (DCM), the Consumer Product Safety Risk Management System (CPSRMS), and the creation of a regulated products case management system. A substantial commitment and investment to IT development and modernization will allow the agency to keep pace with continuing advances in technology.

### **Management Challenges**

Management challenges identified by the CPSC's Inspector General are detailed on pp. 60–74 of the *FY 2021 Agency Financial Report* (AFR), which can be found at: [www.cpsc.gov/about-cpsc/agency-reports/performance-and-budget](http://www.cpsc.gov/about-cpsc/agency-reports/performance-and-budget).

## Cross-Agency Collaborations

### Collaboration with Federal Agencies on Data Collection Through NEISS

The CPSC uses the National Electronic Injury Surveillance System (NEISS) to collect information on consumer product-related injuries occurring in the United States that are treated in hospital emergency rooms. This unique CPSC system provides statistically valid national estimates of injuries from a probability sample of hospital emergency rooms. NEISS is a critical component of the CPSC's data-driven approach to identifying emerging trends and consumer product hazards. NEISS data are available to anyone with an Internet connection.<sup>13</sup>

The CPSC has collaborated successfully with other federal agencies to collect injury data through NEISS on non-consumer product-related injuries. Examples of CPSC's FY 2021 collaborations include:

- **Centers for Disease Control and Prevention (CDC):** To collect comprehensive data on trauma-related injuries. These data make up the nonfatal injury component of the CDC's Web-based Injury Statistics Query and Reporting System<sup>14</sup> (WISQARS),<sup>TM</sup> an interactive, online database used by researchers, public health professionals, and the public.
- **National Center for Injury Prevention and Control (NCIPC):** To conduct NEISS studies of data on nonfatal injuries associated with interpersonal violence and assaults, firearms, and self-inflicted violence.
- **National Institute for Occupational Safety and Health (NIOSH):** To collect data on nonfatal occupational injuries. The data can be accessed through NIOSH's online database—Work-Related Injury Statistics Query System (Work-RISQS).<sup>15</sup>
- **National Highway Traffic Safety Administration (NHTSA):** To collect data on non-crash injuries.

### Collaboration with CBP on Import Surveillance

The CPSC has collaborated successfully with U.S. Customs and Border Protection (CBP) since 2008 to improve surveillance and screening of imported consumer products. Section 222 of the CPSIA directed the CPSC to create a Risk Assessment Methodology (RAM) to identify products imported into the United States that are most likely to violate consumer product safety statutes and regulations or that contain a defect that constitutes a substantial product hazard. The CPSC uses a RAM system, which integrates data collected by CBP with data used in CPSC systems, to identify high-risk imports that might violate a CPSC statute or regulation. The CPSC has investigators who are stationed at select U.S. ports of entry working side-by-side with CBP officers to identify and interdict noncompliant consumer products and prevent them from entering the United States. In addition, the CPSC collaborates with CBP at the Commercial Targeting and Analysis Center (CTAC), which serves as a central location for coordinating import safety targeting efforts with CBP in support of agency enforcement plans. In FY 2021, the agency conducted more than 36,000 import examinations of consumer product shipments at U.S. ports of entry.

### Collaboration with Federal Agencies and Other Stakeholders on the Internet of Things

The Internet of Things (IoT), as it relates to consumer products, refers to an environment in which consumer products are connected to the Internet or other devices or products that are connected to the Internet. This type of connectivity is capable of introducing potential safety issues or hazards. The growth of IoT-related products is a challenge for the CPSC and its stakeholders. To address this challenge, in FY 2021, the CPSC collaborated with other federal agencies, foreign governments, and a wide range of stakeholders to address the safety of Internet-connected products, including:

- Leading an Interagency Working Group on Consumer Product Safety of Internet-Connected Products. Participating agencies include the National Cybersecurity Center of

<sup>13</sup> To access NEISS data, please visit:  
[www.cpsc.gov/en/research--statistics/NEISS-injury-data](http://www.cpsc.gov/en/research--statistics/NEISS-injury-data)

<sup>14</sup> [www.cdc.gov/injury/wisqars/index.html](http://www.cdc.gov/injury/wisqars/index.html)

<sup>15</sup> [www.cdc.gov/wisards/workrisqs/datalinks.aspx](http://www.cdc.gov/wisards/workrisqs/datalinks.aspx)

Excellence (NCCoE) of the National Institute of Standards and Technology (NIST), the Federal Trade Commission (FTC), the U.S. Food and Drug Administration (FDA), the Federal Communications Commission (FCC), the Department of Energy (DOE), and the Department of Homeland Security (DHS).

- Developing expertise and in-house capabilities for Internet-connected products and participating in development of voluntary consensus standards.

### Collaboration with Federal Agencies and Other Stakeholders on Artificial Intelligence and Machine Learning (AI/ML) in Consumer Products

The CPSC made AI/ML a priority in FY 2021, due to the expanding role AI/ML plays in consumer products. During FY 2021, staff focused on the importance of assessing and analyzing these technologies to ensure that the use of AI/ML does not result in unsafe products.

CPSC staff collaborated with other agencies, including working with the NIST-led Interagency Committee on Standards Policy (ICSP) Artificial Intelligence Standards Committee Working Group (AISCWG) to facilitate government agency activities related to the development and use of AI standards. It is establishing a charter to develop recommendations relating to the definition, application, and standards for AI/ML. The overarching objective of this ICSP is to promote consistent federal policies, raise awareness, and foster effective coordination among federal agencies. Coordinating a collaborative approach will be an essential step in creating a consistent means of modeling and measuring AI/ML. This approach will afford AISCWG the opportunity to develop voluntary standards to analyze the potential for hazards that harm consumers.

CPSC staff held a virtual AI/ML forum on March 2, 2021, attended by more than 200 stakeholders. The forum included more than one dozen presentations and four panels, including presentations from the White House Office of Science and Technology Policy (OSTP) and NIST. The forum, which was attended by a range of consumer advocates, testing groups, manufacturers, and academia, helped the CPSC identify steps for moving forward to address this emerging technology, including voluntary standards and product testing and evaluation.

Additionally, CPSC staff is participating in AI/ML voluntary standards developments with the

Underwriters Laboratories (UL) and other stakeholders.

### Collaboration with Federal Agencies on Nanotechnology

The CPSC has collaborated successfully with other federal agencies through the National Nanotechnology Initiative (NNI), a White House-led \$38 billion initiative that involves 20 federal agencies working in the emerging field of nanotechnology. There is a critical need for focused research on consumer product applications of nanomaterials and their potential risks to consumers. Given the CPSC's size and budget, partnering has been a key element in achieving mission success.

- **Collaboration with National Nanotechnology Coordination Office (NNCO):** Since FY 2003, the CPSC's collaborative activities with the NNI have produced more than 70 reports and publications, in addition to voluntary standards resulting from CPSC-funded research that addresses nanomaterial hazards in consumer products.
- **Collaboration with EPA, NIOSH, and NIST on 3-D Printing:** Technical improvements and cost reductions of 3-D printing have made the technology become more widely available, allowing for consumers to print products for children and the home. However, printing filaments used in certain 3-D printers contain nanomaterials. The CPSC has been collaborating successfully with the Environmental Protection Agency (EPA), NIST, and NIOSH. The collaborations below all help the CPSC with its ongoing evaluation of potential consumer hazards from 3-D printing and 3-D printed products, which staff plans to report on in FY 2022.
  - EPA – Assessing Emission Characteristics
    - Results from this research will provide a much-needed baseline data set that quantifies the chemicals and materials present in filaments, consumer products, and waste generated from the FDM printing processes. It will provide quantitative information on the release of chemicals and inorganic materials during the FDM printing process, as well as from consumer products and waste created from that process. This information is critical for identifying the hazards associated with FDM printing, the potential for exposure to chemicals or



materials created during or liberated from FDM print processes or products, and the overall risk of FDM printing processes using various filament types.

- NIOSH – Assessing Health Effects
  - The NIOSH Phase II studies, initiated in FY 2019, built on the Phase I work that assessed the potential for respiratory toxicity induced by emissions from 3-D printers using acrylonitrile butadiene styrene (ABS), poly-lactic acid (PLA), and polycarbonate (PC) filaments with and without multi-walled carbon nanotubes (MWCNTs). The Phase II studies focused on 3-D printing systems that use other types of engineered nanoparticles and assessed dose-dependent changes after inhalation of a low dose of PC filament emissions, with a focus on pulmonary and microvascular responses, liver toxicity, neurotoxicity, and systemic biodistribution. Work will continue on the potential for systemic toxicity (*i.e.*, reproductive toxicity, induction, and/or exacerbation of asthma) from exposure to the emissions from these 3-D printer systems.
  - Additional interagency work with NIOSH evaluated the safer use of 3-D printers in educational settings, indicating the need for awareness of the effects of printer temperature and filament type on contaminant releases. These studies demonstrated that a safer use of Fused Filament Fabrication (FFF) 3-D printers in educational settings can be achieved following a hierarchy of controls.
- NIST – Assessing Physical Factors and Long-term Emissions
  - The NIST Phase I studies evaluated polymeric (ABS) and nano-composite (ABS/MWCNT) systems, demonstrating that no free MWCNTs were detected and that the nanomaterials were embedded in the emitted particles. Phase II studies will continue on the evaluation of different classes of consumer grade 3-D printers for long-term release, as well as the characterization of the potential exposure that young children may have to 3-D printed toys via object-to-mouth exposure pathway.

## Collaboration with Federal Agencies on Chemical Hazards

As a small agency, the CPSC benefits greatly from collaborating with other federal agencies. The CPSC participates in a number of significant interagency committees or groups that address chemical hazards, including:

- The President's Task Force on Children's Environmental Health (CEHTF);
- Interagency Coordinating Committee for the Validation of Alternative Methods (ICCVAM);
- Toxic Substances Control Act (TSCA) Interagency Testing Committee (ITC);
- National Toxicology Program (NTP), led by the U.S. Department of Health and Human Services (HHS);
- Federal Interagency Committee on Indoor Air Quality (CIAQ);
- White House Policy Coordinating Committee (PCC) Technical Working Group (TWG) on Per- and Polyfluoroalkyl Substances (PFAS);
- The Lead Exposure and Prevention Advisory Committee (LEPAC), led by the CDC;
- National Cancer Advisory Board (NCAB), run by the National Cancer Institute; and
- Nanotechnology Environmental and Health Implications (NEHI) Working Group of the NNI.

## Collaboration with Federal Agencies on Shared Services

The CPSC's operating model is designed around the use of shared services to lower costs, improve service delivery, and benefit from economies of scale not necessarily available to a small agency. The CPSC leveraged the following shared services in FY 2021:

- **Financial Management, Travel, and Acquisitions Systems and Services:** Provided by Department of Treasury's Administrative Resource Center (ARC) within the Bureau of the Fiscal Service. The CPSC procures hosting and application management services from ARC, which uses an Oracle-based financial reporting system for accounting and travel management services. The CPSC also uses the Procurement Request Information System Management (PRISM) through ARC's services platform, which is fully interfaced with Oracle for real-time contracting actions and awarding.
- **Payroll and Related Human Resource (HR) System Services:** Provided by the Interior Business Center (IBC) of the U.S. Department of the Interior (DOI).



- **Grants Management Services:** Provided by the Department of Health and Human Services (HHS) to provide access to Grants Solutions, and the Denali Commission to manage CPSC's *Pool Safely* Grant Program (PSGP), in accordance with the Virginia Graeme Baker Pool and Spa Safety Act (VGB Act).
- **Federal Docket Management System (FDMS):** Provided by the General Services

Administration (GSA) for implementation, use, operation, and management of the FDMS, the centralized electronic docket management system for federal agency users. The FDMS services a wide array of routinely performed regulatory activities to the public through [www.Regulations.gov](http://www.Regulations.gov), which is the public-facing website of FDMS that offers citizens the opportunity to search, view, download, and submit comments on federal notices and rules.

## Evaluation and Research

### Key Performance Measures

The CPSC has identified a core set of 24 key performance measures that describe progress in implementing the Strategic Plan. The key performance measures are tools for monitoring and reporting progress toward the agency's strategic goals and strategic objectives, and they facilitate using evidence in agency management and resource decisions. The key performance measures are supplemented by additional operating performance measures, which track lower-level project and program outcomes and outputs, and are used for internal management and decision-making. Additional internal milestones are set and monitored to track implementation progress.

### Strategic Data Review Meetings

The CPSC implements a number of different mechanisms to review financial and performance information and to manage programs during the fiscal year. The Office of the Chief Financial Officer (CFO) produces a monthly report for senior managers' use, which summarizes the status of the agency's financial resources and human capital. Financial data presented in the report include the current fiscal year's annual funding level, cumulative allowances, cumulative funds obligated, and expended obligations, as well as information on onboard staffing levels. Another helpful agency practice has been conducting a Mid-Year review process, during which the annual operating budget is examined for potential adjustments, based on new information or emerging priorities of the agency.

The agency also conducts periodic Strategic Data Reviews (SDRs). The SDRs are strategic, data-driven planning and performance progress reviews attended by the CPSC's senior managers. The SDRs provide a forum for managers to focus on annual planning to achieve performance goals and strategic objectives and to refresh program priorities and funding requirements. Forward-looking planning decisions are informed by assessing progress toward performance measure targets and achieving agency performance goals and strategic objectives, and reviewing relevant evaluation information. Managers discuss constraints or problems, and identify any needed modifications to programs going forward. Program risks are also discussed, and mitigation strategies are developed.

### Evaluation and Research

The CPSC uses research, analysis, and program assessments to inform management decisions, drive improvements in program delivery and effectiveness, and update future strategies and program formulation. The CPSC's Office of the Inspector General (OIG) audits, evaluates, reviews, and investigates the agency's programs and operations. The U.S. Government Accountability Office (GAO) also conducts performance audits and analyses, and makes recommendations to help improve CPSC's practices, policies, and programs. In addition, the CPSC performs targeted reviews of internal controls to determine whether processes should be modified to strengthen and improve operations. Finally, the CPSC conducts research, and reviews and assesses the effectiveness and efficiency of specific programs supporting the strategic goals in the Strategic Plan, as appropriate. The CPSC is committed to using the findings from research and evaluation to improve programs and strategies and make progress toward strategic goals and strategic objectives. Examples of CPSC's FY 2021 evaluation and research efforts include:

**Enterprise Data Analytics:** The volume of the incoming data to the CPSC has been increasing over the years, making manual processing of data less viable. In addition, the current CPSC environment includes siloed data sources that are dedicated to the systems and applications they serve, which makes data sharing across the agency difficult and limits the agency's ability to deploy modern data analytics and business intelligence tools. These issues necessitate an effective, on-demand, cross-system data exchange, as data analytics are becoming more critical for data-driven decision making throughout the agency.

- **Background:** To expand CPSC's analytics capability, in FY 2019, the CPSC partnered with the GSA's IT Modernization Centers of Excellence (CoE) to formulate and establish a multi-year Enterprise Data Analytics Strategy (EDAS) and Implementation Plan. This plan supports the agency's ongoing efforts to improve data management and analytics across the agency, as well as comply with requirements in the Foundation for Evidence-based Policymaking Act of 2018 (Pub. L. No. 115-435) and the overarching Federal Data

Strategy<sup>16</sup> (FDS) and its annual action plan milestones. The CPSC is making ongoing improvements to processes, technologies, and skills to enable the CPSC to effectively utilize current and future data collections and analytical methods. The new functionality will enhance CPSC's ability to identify long-term risks to consumers (e.g., product toxicity), share analytics across offices within the agency, ensure consistency across reports, and increase efficiency by automating where possible. The CPSC recognizes this requires sustained commitment and is taking an incremental, step-by-step approach to improving its data analytics and business intelligence environment.

**FY 2021 Results:** In FY 2021, the CPSC began migration of data into its Data Lake. The Data Lake will enable access to agency data in an environment that permits improved authorized access to agency data assets, greater processing of data in shorter periods of time, and processing of data from multiple areas across the agency. Additionally, it will provide greater data security with both access controls within the agency and also greater barriers to threats from external sources. Furthermore, in FY 2021, staff contracted to bridge gaps in data on race, ethnicity, and other demographic variables that require advanced statistical imputation in order to properly analyze threats to the populations outlined in [Executive Order \(EO\) 13985](#) (Advancing Racial Equity and Support for Underserved Communities Through the Federal Government). This work will enhance the agency's data and analytics policies, processes, and technologies to address the missing data across data systems.

**eCommerce:** The digital marketplace has grown rapidly, which has resulted in a significant global shift from the traditional consumer product distribution chain (e.g., retail stores) to online shopping.<sup>17</sup> Consequently, a large volume of low-value, potentially noncompliant or hazardous shipments of foreign-manufactured products are now being shipped directly to consumers in the United States. CPSC staff estimates the value of

eCommerce shipments the CPSC regulates will reach \$415 billion by calendar year 2023, representing nearly 38 percent of the total value of imports under CPSC's jurisdiction.

- **CPSC Constraints:** The CPSC's import surveillance operational structure has traditionally been organized to scan for high-value shipments that arrive at U.S. ports of entry; those shipments are typically intended for businesses (e.g., distributors or retailers), which, for instance, would offer for sale to the consumer individual products from their imported shipments.
- **Addressing eCommerce Challenges:** To address eCommerce challenges, the CPSC developed a vision for more effective identification, enforcement, and deterrence of trade violations in the eCommerce environment. The CPSC identified key resource gaps, which have been introduced by eCommerce. Additionally, the agency assessed the impacts of eCommerce on CPSC's import enforcement.
  - **eCommerce Assessment:** The first major effort undertaken by the CPSC to address eCommerce challenges was the FY 2019 [eCommerce Assessment](#). The resulting report identified CPSC's current capabilities in addressing eCommerce shipments arriving at U.S. ports. The study also estimated the expected volume and location of where those shipments would arrive in the next 5 years—it was estimated that 55 million eCommerce shipments under CPSC's jurisdiction will enter the United States in calendar year 2023.
  - **eCommerce Concept of Operations and Implementation Plan (CONOPS):** Completed in FY 2020, the CONOPS 5-year implementation plan (initiated in FY 2021) guides the CPSC in determining the various resources needed to identify and interdict high-risk eCommerce shipments, as well as to guide the agency's strategy to address eCommerce risks.
  - **FY 2021 – Creation of a Dedicated eCommerce Team:** Leveraging the research and planning from the development

<sup>16</sup> The Federal Data Strategy (FDS) encompasses a 10-year vision for how the federal government will accelerate the use of data to deliver on mission, serve the public, and steward resources, while protecting security, privacy, and confidentiality. The mission of the FDS is to fully leverage the value of federal data for mission, service, and the public good by guiding the federal government in practicing ethical governance, conscious design, and a learning culture. For

more information on the FDS Framework, please visit: <https://strategy.data.gov/overview>

<sup>17</sup> The number of Americans shopping online increased nearly four-fold from 22 percent to 79 percent between 2000 and 2018. Reference: [www.cbp.gov/sites/default/files/assets/documents/2018-Mar/CPB-E-Commerce-Strategic-Plan\\_0.pdf](https://www.cbp.gov/sites/default/files/assets/documents/2018-Mar/CPB-E-Commerce-Strategic-Plan_0.pdf)

of the eCommerce Assessment and CONOPS, and in response to Title XX of the Consolidated Appropriations Act of 2021 (Pub. L. No. 116-260) and the American Rescue Plan Act of 2021 (ARPA) (Pub. L. No. 117-2), the CPSC expanded its Import Surveillance program in FY 2021, including the creation of a dedicated eCommerce team. Working closely with CBP, the eCommerce team will focus on interdicting high-risk, low value shipments. Further expansion of the eCommerce team is planned for FY 2022.

### **Fast-Track Recall Program – New Online**

**Portal:** The CPSC's Fast-Track program is designed for companies willing and able to move quickly with a voluntary recall of their product by participating in a streamlined recall process through Fast-Track. The program eliminates some of the procedural steps in the traditional recall process, including a staff preliminary determination (PD) that the product contains a defect that presents a substantial product hazard. A Fast-Track recall helps protect the consumer from further exposure to a potentially dangerous product by removing the product from the marketplace more quickly. Additionally, the firm benefits from the recall through potentially reduced likelihood of product liability claims or other lawsuits. As such, the Fast-Track program helps save time and resources for both the company and the CPSC, while keeping consumers safe.

- **Background:** With the existing Fast-Track process, the agency was not receiving necessary or consistent information at the outset of Fast-Track cases. Additionally, the portal did not allow businesses or other stakeholders to report information to the CPSC in a standardized and efficient manner.
- **Development in FY 2020:** In FY 2020, the CPSC initiated work to develop a new online Fast-Track portal to make it more user friendly, provide improved functionality and flexibility for businesses and other stakeholders to report and submit Fast-Track recall cases, and incorporate automatic notifications on actions at various stages of the Fast-Track recall process. In FY 2020, the CPSC involved external stakeholders in development of the new Fast-Track portal by surveying them to identify problems they encountered with the existing Fast-Track portal and identify useful features of the existing portal.

- **FY 2021 Results:** Most of the work on development of the new online portal was completed in FY 2021. The CPSC provided a preview of the new portal to more than 100 industry stakeholders via a webinar in April 2021, after which the CPSC made additional refinements to the portal. The new portal was then tested by select external stakeholders in August 2021, where further feedback was gathered. The new portal was rolled out in December 2021. Effective January 31, 2022, Fast-Track submissions received via email, fax, and postal mail were rejected by the CPSC, and it became mandatory for businesses that wish to participate in the Fast-Track program to file submissions through the new online portal.

### **CPSC's *Pool Safely* Campaign – Focus Group Research:**

*Pool Safely* is CPSC's national public education campaign aimed at reducing child drownings, submersion injuries, and pool drain entrapments. The campaign is a call-to-action for consumers and industry to adopt proven measures for child swimming safety and to join a national dialogue on pool and spa safety by sharing best practices and other life-saving information with stakeholders and the public. According to [CPSC's FY 2021 report on pool drownings of children](#), from 2018 through 2020, an annual average of 78 percent of nonfatal drowning injuries occurred among children younger than five years old.

- **Background & Synopsis:** In FY 2021, the CPSC conducted focus group research in three of the campaign's target states—Arizona, Florida, and Texas—to gather insights and evaluate the effectiveness of existing *Pool Safely* campaign messaging. Findings from the research will help inform the CPSC on the update of campaign messaging and tools, in both English and Spanish, which will be crucial for *Pool Safely* in moving forward to reach more targeted audiences—parents/caregivers, vulnerable populations, and at-risk communities.
- **Plans to Utilize Focus Group Research Findings:** The following are some of the ways in which the CPSC plans on utilizing the focus group research findings:
  - 1) Develop customized child swimming safety messaging for non-pool owners and those who may not be familiar with child swimming safety in general.

- 2) Collaborate with influencers and community leaders with clout in the African American and Hispanic American communities to dispel their misconception about swimming. The CPSC will consider working with the National Drowning Prevention Alliance (NDPA) to co-host a panel discussion at the 2022 Drowning Prevention Conference to directly address misconception about swimming in at-risk communities and emphasize the importance that every child should learn to swim.
  - 3) Develop more specific, consumer-friendly language about pool drain safety, to educate consumers on pool drain risks, as well as learning to recognize an unsafe pool drain and take necessary action upon recognizing that the pool drain is unsafe.
  - 4) Develop new social media campaigns that are inspired by insights gained from the focus group research.
- **FY 2021 Results – Focus Group Research Findings:** The focus group research yielded four categories of research findings: general pool safety, specific *Pool Safely* campaign messaging, pool safety information and resources, and general child safety.
    - **General Pool Safety:** There were four key findings resulting from questions pertaining to general pool safety.
      - The first finding was regarding focus group participants' initial thought when asked about what pool safety means. Children's unsafe behavior, specifically misbehavior or rough playing in or around the pool, was the first thing that came to mind when the participants were asked about pool safety.
      - The second finding was regarding swimming safety measures for children. Responses differed between pool owners and non-pool owners. To pool owners, safety measures entailed pool fencing, locked back doors, and removal of above-ground pool ladders. As for non-pool owners, they indicated that if the pool belonged to friends or family, they could not always be assured that those safety

mechanisms would be in place to keep their children safe.

- The third finding was regarding method of learning how to swim. Some parents enrolled their children in formal swimming lessons (the children's ages ranged from six months to seven years old), while the other parents indicated that their children learned informally or at home.
- The fourth finding was regarding entrenched stereotypes in the African American and Hispanic American communities. The parents expressed the general misconception in those communities about swimming, as well as the communities' overall disinclination to engage in swimming as an activity. Those parents noted the need for increased awareness and messaging about the importance of learning to swim.
- **Specific *Pool Safely* Messaging:** There were four key findings resulting from questions pertaining to specific *Pool Safely* campaign messaging.
  - The first finding concerned general campaign messaging. Across the board, participating parents preferred messaging with an emotional tone, but they indicated that the messaging needs to be backed by statistics or facts that put the issue of pool safety into perspective. Parents also indicated being more engaged when they were learning something from campaign messaging for the first time (*i.e.*, something they had not considered before or a statistic/fact that they were not aware of). Non-pool owners, however, indicated feeling more disconnected from *Pool Safely* messaging.
  - The second finding concerned simple *Pool Safely* safety steps. Participants indicated that "Never leave a child unattended" and "Teach children to swim" were the most important steps. However, most, if not all participants, were confused about pool drains (*i.e.*, what makes a pool drain or pool drain cover VGB-compliant<sup>18</sup>).
  - The third finding was regarding the social media aspect of the *Pool Safely*

<sup>18</sup> The Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) (Pub. L. No. 110-140) requires all public pools and spas to have proper suction outlet covers and back-up anti-entrapment systems that conform with the entrapment protection standards of the ASME/ANSI A112.19.8

performance standard, or any successor standard regulating such swimming pool or drain cover. Residential pools are not required to install these, but it is recommended that they do so.

campaign. In response to *Pool Safely* social media examples, participants responded most positively to an example Tweet that provided a statistic, as opposed to example Tweets with more general or broad messaging that was not backed by facts or statistics. Additionally, participants favored the idea of being connected with local resources, as a way to stay informed about information on children's pool safety.

- The fourth finding was regarding *Pool Safely* Public Service Announcement (PSA). Parents reacted positively to the campaign's PSA "[What if kids were born with gills and fins?](#)" which was released in late FY 2020 (September 2020). However, the parents indicated that they were not learning anything new from the PSA.
- Pool Safety Information and Resources: There were two key findings resulting from questions pertaining to pool safety information and resources.
  - The first key finding concerned parents' ability to recall information disseminated by the *Pool Safely* campaign. Participants from all three states were familiar with pool safety messaging, and many remembered seeing a billboard, PSA, or CPSC news story on the topic at some point. However, only few could recall specific statistics or figures. The largest number of parents that recalled seeing information about pool safety were from Arizona, and they indicated not being surprised to hear that Arizona was a state with one of the highest rates of fatal child drownings. It was found that parents in Florida and Texas were generally unaware, but they indicated not being surprised, that their states had high fatal child drowning rates; both are large states with year-round swimming.
  - The second key finding concerned the disparity of pool safety data in different communities. African American and Hispanic American parents indicated that they were saddened, but not surprised, by the disparity of pool safety between their communities and the remainder of the U.S. population. They reaffirmed the need to dispel misconception about swimming in these communities and highlighted the increased need for education and access to resources on pool safety.

- General Child Safety: There were four key findings resulting from questions pertaining to general child safety.
  - The first finding concerned nonphysical safety versus physical safety. When asked about child safety, participants' immediate thought was Internet safety for children, along with laws or regulations to protect their children from harmful content on the Internet, rather than physical safety (e.g., pool safety).
  - The second finding was regarding parents' perception on how to keep their children safe. Many participants perceived child safety as being dependent on being alert and attentive parents. They indicated that they learned about child safety rather informally, citing things such as common sense, maternal instinct, and trial and error.
  - The third finding was regarding the exchange of child safety information among parents. Interestingly, parents found child safety to be a rather personal topic. Many indicated that they avoided conversing with other parents about child safety, due to fear of being perceived as potentially passing judgment on those parents.
  - The fourth finding concerned the cost-benefit analysis of parents' expended efforts to keep their children safe. Participants indicated that they weighed the risk of their children's physical harm against the amount of money and/or the effort required for implementing child physical safety measures, such as keeping a cabinet locked or keeping their child secured with a car seat.

### Chemical Hazards-Related Research – Organohalogens (OFRs):

The CPSC conducts research on toxicity, human exposure, and health risks of organohalogens, a diverse group of chemical classes, that may be found in a wide variety of consumer products. Assessing OFRs together, as multiple classes, allows CPSC to assess how different OFR classes have been used in different consumer products.

- **Background:** In response to Petition HP15-1, the Commission voted to grant the petition and directed staff to initiate several activities. In FY 2019, the CPSC received a scoping and feasibility study of OFRs from the National



Academies of Sciences, Engineering, and Medicine (NASEM), entitled, "A Class Approach to Hazard Assessment of Organohalogen Flame Retardants." The NASEM 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. The NASEM identified 14 OFR subclasses that would need to be evaluated separately. The CPSC has been working to implement the research and assessment recommendations proposed by the NASEM in its 2019 report.

- **FY 2021 Results:** In FY 2021 CPSC staff began work to implement staff's FY 2020 "Project Plan: Organohalogen Flame Retardant Chemicals Assessment," which describes the approach to scope and conduct risk assessments for OFRs in consumer products, and that incorporates the approach identified in the NASEM report. In FY 2021, staff initiated several projects using contractors and interagency collaboration to research the OFR market and uses, identify readily available data information for all OFRs in all 14 subclasses, and identify relevant scientific publications. The work completed in FY 2021 will inform follow-on work to begin analyses of toxicological and exposure information as described in CPSC staff's plan to assess the potential risks of the OFR subclasses in consumer products.

### Chemical Hazards-Related Research –

**Other Chemicals:** The CPSC also conducts research on toxicity, human exposure, and health risks of thousands of other chemicals found in consumer products.

- **Alternative Toxicological Methods:** In FY 2021, the CPSC collaborated extensively with the Interagency Coordinating Committee for the Validation of Alternative Methods (ICCVAM). The CPSC's FY 2021 collaborative work includes:
  - Published Proposed Guidance on CPSC Staff's Technical Evaluation of Alternative Toxicological Testing Methods for public comment. When finalized in FY 2022, the document will assist manufacturers in evaluating alternative methods for use in meeting labeling requirements of the Federal Hazardous Substances Act (FHSA)
  - Continuing participation as members of numerous working groups for the ICCVAM, including the Metrics Workgroup, which published [Measuring U.S. Federal Agency](#)

### Progress Toward Implementation of Alternative Methods in Toxicity Testing in FY 2021.

- Continuing work with NIST on validating the Electrophilic Allergen Screening Assay (EASA) assay (*i.e.*, a scientific testing procedure to detect or identify skin sensitizers, which are substances found in consumer products and have the potential to cause Allergic Contact Dermatitis [ACD]); the work was performed in cooperation with ICCVAM, the National Toxicology Program Interagency Center for the Evaluation of Alternative Toxicological Methods (NICEATM), NIST, the U.S. Food and Drug Administration (FDA), and the Department of Defense (DoD). The CPSC evaluated a measurement science approach to characterize uncertainty, variability, and potential biases in the EASA assay, which was published in a peer-reviewed journal.
- Continuing participation in an international effort to collect and characterize human predictive patch test data for more than 100 substances and apply decision tree and weight-of-evidence approaches to resolve ambiguity and discordance in individual tests. This work supported the evaluation of defined approaches for skin sensitization in a new Organisation for Economic Co-operation and Development (OECD) guideline.
- Participated on the Validation Management Team for an alternative test method for evaluating ocular irritation. The team's evaluation on the validation of this test method was published in the peer-reviewed journal, *Cutaneous and Ocular Toxicology*, in FY 2021.
- Reviewed numerous documents for ICCVAM, such as testing procedures, guidance documents and [OECD Test Guidelines Programme documents](#), including the phosphatidyl inositol glycan class A gene (PIG-A gene) mutation assay.

## Importance of Data and Evidence in Determining Program Priorities

As a data-driven agency, the CPSC regularly collects and analyzes a wide range of data from multiple sources that are relevant to its mission. The CPSC uses that information to shape program strategies and select priorities. For example, the

CPSC systematically reviews and analyzes data on injury and death incidents related to consumer products to develop the CPSC's hazard-mitigation strategies. The CPSC receives data from multiple sources, including NEISS, death certificates, Medical Examiner and Coroners Alert Project (MECAP) reports, incident reports, and [www.SaferProducts.gov](http://www.SaferProducts.gov), among other sources.

## Appendix A

### CPSC Performance: Verification & Validation of Performance Data

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

- (1) The agency develops performance measures through its strategic planning and annual performance planning processes.
- (2) The CPSC's functional components follow a standard reporting procedure to document detailed information for each performance measure in an internal agency database. This information includes, but is not limited to:
  - performance measure definition,
  - rationale for the performance measure,
  - source of the data,
  - data collection and computation methods, and
  - data limitations.
- (3) The agency's major functional components are responsible for assessing the completeness, consistency, timeliness, and quality of the data for their key performance measures, as well as identifying any data limitations. Managers of major functional components who are responsible for reporting key measures certify that procedures for ensuring performance data quality have been followed, and they also certify that the reported results are reasonably complete, accurate, and reliable.
- (4) In addition to the self-assessments and certification statements completed by major functional components, year-end results for key performance measures are reviewed by

CPSC's Office of Financial Management, Planning, and Evaluation (EXFM) team and approved by management before they are published in agency documents. Furthermore, EXFM also conducts an in-depth V&V review of each key performance measure within a 2-year cycle, following established operating procedures. In FY 2021, EXFM independently assessed 14 key performance measures out of 24 from across the agency's major functional components for quality and accuracy of the year-end reported performance results.

- (5) The CPSC also conducts periodic Strategic Data Review (SDR) meetings, where managers of major functional components analyze progress toward performance measure targets and broader progress toward achieving the agency's strategic objectives and performance goals. Program risks are also discussed, and mitigation strategies are developed.
- (6) Managers of major functional components within the CPSC also submit annual Letters of Assurance on the operating effectiveness of general- and program-level internal controls for their areas of responsibility. Those Letters identify any known deficiencies or weaknesses in program-level internal controls where they exist, including any issues with the quality of program data.

These procedures help to provide assurance that performance data reported by the agency are sufficiently complete, accurate, and reliable, as appropriate to intended use, and that internal controls are maintained and functioning as intended.

## Appendix B

### Changes to FY 2021 Performance Measures

In accordance with OMB Circular No. A-11 guidance, this section of the FY 2021 APR summarizes changes to FY 2021 performance measures that occurred between the publication of the FY 2021 Performance Budget Request (PBR) (published February 2020) and this document, the FY 2021 APR (March 2022). Changes to the performance measures resulted from the enactment of the CPSC's FY 2021 annual appropriations and implementation of the CPSC's FY 2021 Operating Plan (published November 2020).

The table below indicates whether the FY 2021 measure was discontinued, revised, replaced, or disaggregated since the FY 2021 PBR publication. Any changes made to the performance measure's annual target are included in the "FY 2021 Target" columns.

FY 2021 Performance Measure Statement	FY 2021 Target	
	FY 2021 PBR	FY 2021 APR
<u>PBR:</u> <b>2021KM2.1.01:</b> Percentage of consumer product related incident reports warranting follow-up actions	25%	Discontinued
<u>PBR and APR:</u> <b>2021KM2.2.01:</b> Number of voluntary standards activities in which CPSC staff actively participates	79	78
<u>PBR and APR:</u> <b>2021KM2.2.02:</b> Number of candidates for rulemaking prepared for Commission consideration	5	10
<u>PBR:</u> <b>2021KM2.2.08</b> Recalls per Billion Dollars in Consumer Product Imports for Top 50 Import Sources Nations  <u>APR – Revised to:</u> <b>2021KM2.2.08</b> Recalls per Billion Dollars in Consumer Product Imports for Top 50 Import Sources, Countries or Administrative Areas	0.33	< 0.33
<u>PBR:</u> <b>2021KM3.1.01:</b> Percentage of cases for which a preliminary determination is made within 85 business days of the case opening  <u>APR – Revised to:</u> <b>2021KM3.1.01:</b> Percentage of cases for which a preliminary determination is made within 85 business days of the case opening (Hazard Priorities A, B, and C)	65%	
<u>PBR:</u> <b>2021KM3.1.02:</b> Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection (excludes fireworks)  <u>APR – Disaggregated to:</u> <ul style="list-style-type: none"> <li><b>2021KM3.1.02:</b> Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection (excludes fireworks) (Note: Starting with FY 2020, fireworks cases have been disaggregated from this measure and are captured by KM3.1.03.); and</li> <li><b>2021KM3.1.03:</b> Percentage of fireworks cases for which a compliance determination of a regulatory violation is made within 70 business days of sample collection</li> </ul>	85%	85%
		85%

FY 2021 Performance Measure Statement	FY 2021 Target	
	FY 2021 PBR	FY 2021 APR
<p><u>PBR:</u> <b>2021KM3.2.02:</b> Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection (excludes fireworks)</p> <p><u>APR – Disaggregated to:</u></p> <ul style="list-style-type: none"> <li><b>2021KM3.2.02:</b> Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection (excludes fireworks) (Note: Starting with FY 2020, fireworks cases have been disaggregated from this measure in FY 2020 and are captured by KM3.2.05.); and</li> <li><b>2021KM3.2.05:</b> Percentage of fireworks cases for which a firm is notified of a regulatory violation within 75 business days from sample collection</li> </ul>	85%	85%
<p><u>PBR:</u> <b>2021KM3.2.03:</b> Percentage of Fast-Track cases with corrective actions initiated within 20 business days</p> <p><u>APR – Revised to:</u> <b>2021KM3.2.03:</b> Percentage of Fast-Track cases with corrective actions initiated within 20 business days of case opening</p>	90%	
<p><u>PBR:</u> <b>2021KM3.2.04:</b> Percentage of cases for which a corrective action is accepted within 90 business days of preliminary determination</p> <p><u>APR – Replaced with:</u> <b>2021KM3.2.06:</b> Percentage of cases for which a corrective action plan (CAP) is accepted, or public notice of hazard is issued within 90 business days of a Preliminary Determination (Hazard Priorities A, B, and C)</p>	60%	Baseline
<p><u>PBR:</u> <b>2021KM3.3.01:</b> Recall effectiveness rate for all consumer products</p> <p><u>APR – Revised to:</u> <b>2021KM3.3.01:</b> Recall effectiveness rate for all consumer product recalls</p>	25%	
<p><u>PBR:</u> <b>2021KM4.1.02:</b> Number of engagements with CPSC safety messaging on social media channels by stakeholders (in thousands)</p> <p><u>APR – Revised to:</u> <b>2021KM4.1.02:</b> Number of engagements with CPSC safety messaging on social media channels by stakeholders (in millions)</p>	860	3
<p><u>PBR:</u> <b>2021KM4.2.05:</b> Percentage of recall press releases issued in 22 days or less from first draft</p> <p><u>APR – Replaced with:</u> <b>2021KM4.2.06:</b> Percentage of recall press releases cycled through the Office of Communications in 2 business days or less, once received from the Office of Compliance &amp; Field Operations</p>	60%	80%

## Appendix C

### Detailed Information on FY 2021 Performance Measures

This section presents detailed information on the 24 key performance measures for FY 2021. The CPSC's FY 2021 Operating Plan includes FY 2021 performance measures and annual targets, used for tracking progress toward achieving the strategic goals and strategic objectives outlined in the agency's strategic plan.

**Navigation:** The performance measures are organized by strategic goal. For each performance measure, this appendix shows key information from the data fields listed in the CPSC's centralized Performance Management Database (PMD). Each quarter, the CPSC's functional components are responsible for reporting actual progress for each performance measure in the PMD. The following are the data fields listed in this appendix for each performance measure:

Name of Data Field	Description
<b>Control ID</b>	A unique identifier assigned to each performance measure. <ul style="list-style-type: none"> <li><b>Note:</b> An asterisk symbol (*) following the Control ID indicates that the performance measure has been verified and validated. For more information on CPSC's procedures on Verification &amp; Validation (V&amp;V) of performance data, refer to Appendix A on p. 30.</li> </ul>
<b>Program</b>	The CPSC's functional component that is responsible for the performance measure.
<b>Strategic Goal</b>	The strategic goal from the CPSC's Strategic Plan associated with the performance measure.
<b>Strategic Objective</b>	The strategic objective from the CPSC's Strategic Plan associated with the performance measure.
<b>Performance Measure Statement</b>	A measurable value that indicates the state or level of the targeted result.
<b>Definition of Performance Measure</b>	A clear description of the indicator, with enough specificity that different individuals can collect and report the same information for the measure.
<b>Rationale for Performance Measure</b>	A description of why the performance measure was selected; how it tracks progress toward the associated strategic objective; and how the information will be useful for management.
<b>2017–2021 Actuals; Target met?</b>	FY 2021 target and historical actual values for the performance measure and indication of whether the FY 2021 target was met.



Name of Data Field	Description
<b>Analysis</b>	<p>This field may include:</p> <ul style="list-style-type: none"> <li>• An explanation of how progress toward meeting the annual target for this performance measure contributes to progress toward meeting the strategic objective;</li> <li>• Annual target: <ul style="list-style-type: none"> <li>◦ If the FY 2021 target was met, a description of the key elements that contributed to success in meeting the target</li> <li>◦ If the FY 2021 target was not met, a description of the issues/obstacles that impeded success in meeting the target</li> <li>◦ If data for FY 2021 result are not available, the reason(s) for the unavailability, and the expected date that the data will become available; and</li> </ul> </li> <li>• Discussion of the trend result: positive, negative, or steady; expectations for trend over time.</li> </ul>
<b>Plan(s) for Improving Performance</b>	<p>If applicable, a description of action(s) to be implemented to improve performance in future years.</p>
<b>Data Source</b>	<p>Identification of data source(s) with enough specificity, so that the same source(s) can be used for the performance measure over time.</p>
<b>Data Collection Method and Computation</b>	<p>Detailed description of the collection and computation method, so that it can be replicated consistently over time, and by different personnel.</p>
<b>Data Limitations and Implications of the Reported Results</b>	<p>Identification of any known data limitations, including a description of the limitations, the impact limitations may have on measuring progress toward the annual target and/or the related performance goal or strategic objective, and the actions that will be taken to correct the limitations.</p>

Control ID				Program		
2021KM1.1.02				Human Resources		
Strategic Goal						
Goal 1: Workforce						
Strategic Objective						
1.1: Enhance effective strategic human capital planning and alignment						
Performance Measure Statement						
Percentage of full-time equivalents (FTEs) utilized						
Definition of Performance Measure						
The total number of on-board FTEs, divided by the CPSC's authorized FTE ceiling for the fiscal year						
Rationale for Performance Measure						
The FTE utilization rate serves as an important workforce planning tool to guide the CPSC in assessing current/projected future skill gaps and changing/reshaping of the agency's workforce that might be needed to meet the agency's mission.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
--	97%	98%	95%	97%	96%	✓
Analysis						
The target was 96 percent; the FY 2021 actual result was 97 percent. The agency provided Human Capital data to hiring managers for successful workforce planning and recruitment, incorporated feedback from hiring managers to improve quarterly reports, and updated the user dashboard with reporting functionality requested by hiring managers.						
Plan(s) for Improving Performance						
The increase in FTEs for FY 2022 provides the agency with resources for mission-critical work and also poses challenges with hiring top talents for a highly technical and specialized workforce. To maintain the FTE utilization rate, the agency plans to utilize available human capital tools, including the full range of available hiring authorities, recruitment incentives, and employment flexibilities.						
Data Source						
Quarterly 113G Reports, from the Federal Personnel and Payroll System (FPPS). The FPPS is a database system administered by CPSC's Shared Services Provider – Interior Business Center (IBC) of the U.S. Department of Interior (DOI).						
Data Collection Method and Computation						
From the quarterly 113G report as of year end, divide the Grand Total Employment (cumulative column) by CPSC's authorized FTE ceiling for the fiscal year.						
Data Limitations and Implications of the Reported Results						
The measure tracks only straight time hours.						

Control ID				Program		
2021KM1.2.01				Human Resources		
Strategic Goal						
Goal 1: Workforce						
Strategic Objective						
1.2: Foster a culture of continuous development						
Performance Measure Statement						
Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey)						
Definition of Performance Measure						
The percentage of positive responses for Question 1—"I am given a real opportunity to improve my skills in my organization."—from the annual FEVS administered by the U.S. Office of Personnel Management (OPM) is computed as follows: The number of employees who responded "strongly agree" or "agree," divided by the number of employees who responded to the question.						
Rationale for Performance Measure						
FEVS results for Question 1 are an indicator of how well the agency fosters a culture of continuous development by providing opportunities and encouraging professional development.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
73%	68%	66%	74%	Result not available	70%	N/A
Analysis						
As of the publication of this document, the result for this measure was not available because OPM administered the 2021 FEVS in November 2021. Results from the 2020 FEVS, released in 2021, showed that the 74 percent of employees were satisfied with opportunities to improve their skills, compared to 66 percent from 2019. Based on results from the 2020 FEVS, the agency revised its training plans and fully implemented them in CPSC's remote work environment. Additionally, in FY 2021, the agency offered 35 developmental opportunities to employees through the Agency Training Plan.						
Plan(s) for Improving Performance						
The CPSC will explore new opportunities for remote learning, market the coaching program, and continue to provide developmental opportunities, as well as training to employees to develop their Individual Development Plan (IDP).						
Data Source						
Annual FEVS, administered by OPM						
Data Collection Method and Computation						
Data are collected through OPM's annual FEVS link sent out via email to all permanent employees. The responses are calculated by OPM. The positive responses include both the "strongly agree" and "agree" employee responses for Question 1 of the FEVS survey instrument.						
Data Limitations and Implications of the Reported Results						
Not applicable						

Control ID		Program				
2021KM1.3.01*		Human Resources				
Strategic Goal						
Goal 1: Workforce						
Strategic Objective						
1.3: Attract and recruit a talented and diverse workforce						
Performance Measure Statement						
Percentage of hiring managers trained on recruitment						
Definition of Performance Measure						
The CPSC provided recruitment training (segments on targeted assessments and recruitments) to all selecting officials at CPSC (all team leads, supervisors, managers and executives). The performance measure tracked the percentage of CPSC selecting officials who completed the training segments during the fiscal year (the number of CPSC selecting officials who completed the training segments during the fiscal year divided by the total number of CPSC selecting officials).						
Rationale for Performance Measure						
CPSC selecting officials received training in assessment tools and targeted recruitment authorities to ensure that they have the tools necessary to recruit a talented and diverse workforce. To recruit the best talent, hiring managers need to focus on the vacancy announcement and assessment to get the best applicants for selection. This comprehensive training provided selecting officials with the tools to develop assessments that will ensure that the most talented applicants are put forward for consideration.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
56%	83%	86%	90%	97%	80%	✓
Analysis						
The FY 2021 result was 97%, exceeding the annual target of 80%. To increase hiring managers' participation in the hiring process, the agency worked on remote hiring practices and guidance, prepared for virtual job fairs and outreach events, and offered training sessions on recruitment topics of interest. Ninety-seven percent of hiring managers were trained on the recruitment process to attract and recruit a talented, diverse, and highly effective workforce. Additionally, the average score of hiring managers satisfied with applicant listing was 8 out of a possible high score of 10.						
Plan(s) for Improving Performance						
The CPSC will continue to implement its plan to increase hiring managers' participation in the hiring process. Additionally, for FY 2022, the target is revised upward to 85 percent, as the 80 percent target has been exceeded in the recent years.						
Data Source						
Tracking spreadsheet						
Data Collection Method and Computation						
The CPSC uses sign-in sheets, provided at each training session, to update the tracking spreadsheet and the selecting officials' learning histories to verify attendance at trainings. The spreadsheet lists all selecting officials who have completed training on Targeted Assessment and Recruitment Training.						
Data Limitations and Implications of the Reported Results						
The measure only reports on whether selecting officials were trained. The measure does not capture whether the training is effectively implemented by the selecting officials to improve the quality of recruiting.						

Control ID		Program				
2021KM1.4.01		Human Resources				
Strategic Goal						
Goal 1: Workforce						
Strategic Objective						
1.4: Increase employee engagement						
Performance Measure Statement						
High-performing Federal Workforce – Employee Engagement Index Score						
Definition of Performance Measure						
The Employee Engagement Index (EEI) score, developed and computed by OPM, is a measure of work environment conditions that are conducive to employee engagement. The index consists of three subindices: (1) Leaders Lead, (2) Supervisors, and (3) Intrinsic Work Experience. Each subindex reflects a different aspect of an engaging work environment. The EEI includes results for 15 different questions from the FEVS, which together, are designed to measure overall employee engagement.						
Rationale for Performance Measure						
According to OPM’s definition, “employee engagement” is described as an employee’s sense of purpose. It is evident in their display of dedication, persistence, and effort in their work, or overall commitment to their organization and its mission. An agency that engages its employees ensures a work environment where each employee contributes to the success of the agency while reaching his or her full potential. Engaged employees contribute significantly to the success of the CPSC and the federal government as a whole.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
73%	69%	66%	75%	Result not available	70%	N/A
Analysis						
As of the publication of this document, the result for this measure was not available because OPM administered the 2021 FEVS in November 2021. Results from the 2020 FEVS, released in 2021, showed that the overall EEI was 75 percent in 2020, compared to 66 percent in 2019, with the <i>Leaders Lead</i> subindex demonstrating the biggest increase of 11 percentage points out of the three subindices. Based on results of the 2020 FEVS, the CPSC has focused on engaging and investing in its employees and has continued work on improving its employees’ perception of leadership’s integrity, communication, support of employee professional development and work-life balance, and overall employee engagement.						
Plan(s) for Improving Performance						
The agency will continue employee engagement efforts, especially where improvement is needed, by incorporating the 2021 FEVS results after they are made available.						
Data Source						
Annual FEVS, administered by OPM						
Data Collection Method and Computation						
Data are collected through OPM’s annual FEVS link sent out via email to all permanent CPSC employees. The EEI score is based on data from responses to 15 different questions on the FEVS survey instrument.						
Data Limitations and Implications of the Reported Results						
Not applicable						

Control ID				Program		
2021KM2.1.02*				Hazard Identification		
Strategic Goal						
Goal 2: Prevention						
Strategic Objective						
2.1: Improve identification and assessment of hazards to consumers						
Performance Measure Statement						
Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards						
Definition of Performance Measure						
The number of milestone hazard characterization statistical reports produced for specified product-related hazards or categories. These reports characterize the number of reported fatalities and estimated injuries and trends.						
Rationale for Performance Measure						
This key measure tracks an element of the CPSC’s strategy for improved hazard identification by scanning the marketplace to determine whether previously identified significant hazards exist in similar products. Annual reports presenting statistics on the numbers of reported deaths and estimates of emergency department-treated, product-related injuries for specific product-related hazards or categories allow for trend assessments and inform management decisions, along with information and education campaigns.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
11	10	11	11	11	11	✓
Analysis						
The FY 2021 actual result was 11 annual reports, meeting the annual target of 11 reports.						
Plan(s) for Improving Performance						
The CPSC plans to work on 12 reports in FY 2022, adding a report on Poison Prevention Packaging Act (PPPA) Injury and Fatality.						
Data Source						
Report postings for Assistant Executive Director (AED) review (Form 122) on CPSC’s internal administrative system.						
Data Collection Method and Computation						
The agency prepares reports on consumer product-related fatalities, injuries, and/or losses for specific hazards annually. This is a count of the number of hazard characterization reports posted for AED review (Form 122) on CPSC’s internal document-sharing system during the fiscal year.						
Data Limitations and Implications of the Reported Results						
This measure tracks the number of completed reports. It does not measure the quality of the reports.						



Control ID				Program		
2021KM2.1.03*				Hazard Identification		
Strategic Goal						
Goal : Prevention						
Strategic Objective						
2.1: Improve identification and assessment of hazards to consumers						
Performance Measure Statement						
Percentage of consumer product-related injury cases correctly captured at NEISS hospitals						
Definition of Performance Measure						
A weighted average of the percentage of consumer product-related injury cases correctly captured at a sample of hospitals participating in the National Electronic Injury Surveillance System (NEISS) (where the percentage at each sampled hospital is calculated as: the number of product-related injury cases captured by the NEISS coder, divided by the number of product-related cases captured by a CPSC auditor).						
Rationale for Performance Measure						
Evaluation visits are conducted at NEISS hospitals to determine the percentage of reported consumer product-related cases captured correctly by hospital coders, indicating the quality of consumer product-related incident data from the hospitals.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
92%	93%	90%	91%	91%	90%	✓
Analysis						
The FY 2021 result was 91%, exceeding the target of 90%. Before the COVID-19 pandemic, the CPSC was monitoring performance under this key measure by conducting on-site evaluation visits at NEISS hospitals to determine whether coders at those hospitals are capturing the reportable cases correctly. Due to the pandemic, evaluation visits had to be performed remotely, in some cases.						
Plan(s) for Improving Performance						
To maintain performance, the CPSC will provide training and continue working with the larger or newer hospitals that had poor evaluations, to help improve their capture rate.						
Data Source						
NEISS Administrative Records System (NARS)						
Data Collection Method and Computation						
Audit results from each NEISS hospital visit are captured in NARS. Calculate 1 percentage (p) across all the NEISS hospitals that were evaluated during the fiscal year as: $p = (\sum i(Ni*(ni(coder))/ (si)) / \sum i(Ni*(ni(cpsc))/ (si)))$ where Ni is the annual number of emergency department-treated cases at the ith NEISS hospital, (si) is the number of cases in sample drawn by the CPSC auditor at the ith NEISS hospital, and ni(coder) and ni(cpsc) are as defined below. During a hospital audit, between 200 and 300 emergency department records are sampled, and the number of product-related cases in the sample are determined. These cases are then compared to the number of product-related cases in the sample, as captured by the NEISS coder. The hospital's capture metric is estimated as: $(ni(coder))/ (ni(cpsc))$ where ni(coder) is the number of product-related cases in the sample of cases (si) as determined by the coder for the ith NEISS hospital; and ni(cpsc) is the number of product-related cases in the sample (si), as determined by the CPSC auditor. The performance metric is then estimated across audited NEISS hospitals as a weighted estimate of the individual hospital metrics.						
Data Limitations and Implications of the Reported Results						
Findings and guidance for improving the capture rate are provided to the NEISS coder. If capture rates are lower than expected, a second audit may be performed during the year.						

Control ID			Program			
2021KM2.2.01*			Hazard Identification			
Strategic Goal						
Goal 2: Prevention						
Strategic Objective						
2.2: Lead efforts to improve the safety of consumer products before they reach the marketplace						
Performance Measure Statement						
Number of voluntary standards activities in which CPSC actively participates						
Definition of Performance Measure						
CPSC staff provides technical support and monitors voluntary safety standards activities, which are tracked in the Voluntary Standards Tracking Activity Report (V-STAR). A voluntary standard is a prescribed set of rules, conditions, or requirements relating to the safety of consumer products found in the home, schools, and/or recreation areas, which, by itself, imposes no obligation regarding use. In the case of CPSC staff support, a voluntary consumer product safety standard is generally developed using ASTM International (ASTM), Underwriters Laboratories Inc. (UL), or another standards development organization (SDO) that is accredited by the American National Standards Institute (ANSI). These voluntary standards may be incorporated, in whole or in part, into CPSC rules, such as rules for durable infant or toddler products, as set forth in the Danny Keysar Child Product Safety Notification Act. Active participation by CPSC extends beyond attendance at meetings, and it may include, among other things, any one or more of the following: providing injury data and hazard analyses; encouraging the development of a voluntary safety standard; identifying specific risks of injury; performing research; developing health science data; performing laboratory technical assistance; providing information on a proposed rulemaking; and taking other actions that the Commission, in a particular situation, determines may be appropriate. A list of these activities can be found at 16 CFR §1031.7.						
Rationale for Performance Measure						
The CPSC works to minimize hazardous defects through increased participation in voluntary standards activities. The CPSC's statutory authority requires the agency to rely on voluntary standards, rather than promulgate mandatory standards, if compliance with a voluntary standard would eliminate or adequately reduce the risk of injury identified, and it is likely that there will be substantial compliance with the voluntary standard.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
76	77	74	78	78	78	✓
Analysis						
The CPSC met its target by being actively involved in the development of voluntary standards for 78 different products. Thirty-two new or revised voluntary safety standards were approved in FY 2021. Detailed activities covering these products are published in the VSTAR issued twice a year, in the: (1) Mid-Year Report, and (2) Annual Report, which can be found at: <a href="http://www.cpsc.gov/Regulations-Laws--Standards/Voluntary-Standards">www.cpsc.gov/Regulations-Laws--Standards/Voluntary-Standards</a> .						
Plan(s) for Improving Performance						
For FY 2022, CPSC staff plans to be active in 83 voluntary standards categories, including newly added categories such as Building Codes; Market and Beach Umbrellas; Infant Support Pillows and Nursing Support Products; and Service, Communication, Information, Education, and Entertainment (SCIEE) Robots.						
Data Source						
CPSC's internal Voluntary Standards (VS) SharePoint site, where calendar notices and VS documents are stored. An activity-tracking spreadsheet is also updated regularly.						
Data Collection Method and Computation						
It is a simple count of products that have had voluntary standards activities. Each product that has at least one activity is counted as one. These activities are reported in the bi-annual Voluntary Standards Tracking Activity Report (V-STAR).						
Data Limitations and Implications of the Reported Results						
The CPSC's participation in voluntary standards activities is an ongoing process that depends on the activities of the voluntary standards committees and the Commission's priorities. The level of CPSC participation in developing voluntary standards also varies from product to product.						

Control ID				Program		
2021KM2.2.02*				Hazard Identification		
Strategic Goal						
Goal 2: Prevention						
Strategic Objective						
2.2: Lead efforts to improve the safety of consumer products before they reach the marketplace						
Performance Measure Statement						
Number of candidates for rulemaking prepared for Commission consideration						
Definition of Performance Measure						
The number of rulemaking briefing packages submitted by CPSC staff for the Commission's consideration						
Rationale for Performance Measure						
Safety standards address hazards associated with the use of consumer products. Consumer products that have been designed and manufactured to mandatory safety standards help prevent future hazards from occurring.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
18	19	14	14	13	10	✓
Analysis						
The CPSC exceeded the FY 2021 target by completing 13 rulemaking packages. The 6 rulemaking packages from the original 10 planned candidates were: ANPR–Off-Highway Vehicle (OHV) Fire and Debris Penetration Hazards; FR–Infant Sleep Products; FR–Mattress 16 CFR Part 1632 SRM Cigarette Reference Update; NPR–Clothing Storage Units Tip Over; DFR–Lab Accreditation IBR Update and FR–Crib Mattress (include Supplemental and Aftermarket). The 8 rulemaking packages in response to emerging requirements were: FR–Amending 16 CFR Part 1015; DFR–Infant and Cradle Swings; DFR–High Chairs 112-28; DFR and NPR–Upholstered Furniture (TB 117-2013); DFR–Amending 16 CFR Parts 1107 and 1112; DFR–Children’s Folding Chairs and Stools; DFR–Gates and Other Enclosures; and NPR–PPPA Exemption Petition.						
Plan(s) for Improving Performance						
While meeting the FY 2021 target, CPSC’s Office of Hazard Identification & Reduction will continue to address issues related to disruptions from the COVID-19 pandemic.						
Data Source						
Postings on the CPSC’s website: <a href="#">Newsroom – FOIA   CPSC.gov</a>						
Data Collection Method and Computation						
Count the number of rulemaking briefing packages (ANPR, DFR, NPR, and FR) posted to: <a href="#">www.cpsc.gov</a> .						
Data Limitations and Implications of the Reported Results						
This measure reflects the number of rulemaking candidates prepared for the Commission and not necessarily whether they have been approved by the Commission. It also tracks workload accomplishments and does not provide information about the potential safety improvements expected to result from those rulemakings.						

Control ID			Program			
2021KM2.2.07			Import Surveillance			
Strategic Goal						
Goal 2: Prevention						
Strategic Objective						
2.2: Lead efforts to improve the safety of consumer products before they reach the marketplace						
Performance Measure Statement						
Percentage of firms that are engaged with timely establishment inspection after being identified as a repeat offender						
Definition of Performance Measure						
Firms with a history of repeated violations are subject to the requirements of an establishment inspection (EI). This performance measure tracks the percentage of firms that engage in an EI in a timely manner. "Timely" means that the firm engages in an EI within 60 calendar days of the EI assignment date determined by the CPSC.						
Rationale for Performance Measure						
EIs provide the CPSC an opportunity to help firms with a history of repeated violation to comply with applicable CPSC requirements.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
--	73%	90%	83%	100%	75%	✓
Analysis						
The FY 2021 result was 100%, exceeding the annual target of 75%. Conducting establishment inspections of firms that are repeat offenders is an important part of the agency's Import Surveillance program because it helps increase the firms' compliance with CPSC regulations, thereby promoting product safety. However, establishment inspections cannot be executed remotely, and on-site presence of CPSC staff is required to perform those duties.						
Plan(s) for Improving Performance						
The agency will continue to prioritize performing establishment inspections of repeat offenders. The CPSC expects to maintain the level of performance that has been captured by this performance measure, provided staff are able to resume conducting on-site establishment inspections.						
Data Source						
Integrated Field System (IFS)						
Data Collection Method and Computation						
Data on repeat offenders (firms with history of repeated violation) are extracted from the IFS system. The IFS, which is also a system used by CPSC staff to record/retrieve inspection cases, is then used to assign/track EI cases for the repeat offenders.						
Computation steps:						
<ul style="list-style-type: none"><li>• Calculate the numerator: Count the total number of firms that are engaged in an EI in a timely manner (within 60 calendar days of EI date assigned by CPSC in the IFS) during the fiscal year.</li><li>• Calculate the denominator: Count the total number of firms that were assigned EI cases during the fiscal year.</li><li>• Divide the numerator by the denominator to yield the actual result.</li></ul>						
Data Limitations and Implications of the Reported Results						
It is technically possible for a supervisor to make adjustments to the EI assignment date in the IFS in response to scheduling complications.						

Control ID			Program			
2021KM2.2.08*			International Programs			
Strategic Goal						
Goal 2: Prevention						
Strategic Objective						
2.2: Lead efforts to improve the safety of consumer products before they reach the marketplace						
Performance Measure Statement						
Recalls per Billion Dollars in Consumer Product Imports for Top 50 Import Sources, Countries or Administrative Areas						
Definition of Performance Measure						
This measure tracks the number of annual recalls per each billion dollars of the total value of consumer products imported from the top 50 import sources, countries, or administrative areas. "Recalls" in this measure includes all corrective action plans, whether they result in a public recall or not.						
Rationale for Performance Measure						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
--	--	--	0.21	0.21	< 0.33	✓
Analysis						
The FY 2021 result was 0.21 recalls per billion dollars, which is below the threshold annual target of 0.33 recalls per billion dollars.						
Plan(s) for Improving Performance						
The actual result far exceeded the target. The agency will continue to base its international outreach activities on analysis of import and recalls data, as well as information on production and hazard trends.						
Data Source						
There are two data sources: <ul style="list-style-type: none"><li>CPSC's Office of Compliance &amp; Field Operations (EXC) – Provides recall data from CPSC's Dynamic Case System (DCM).</li><li>CPSC's Office of Hazard Identification and Reduction (EXHR), Directorate of Economic Analysis – Extracts and tabulates data from the U.S. International Trade Commission's (USITC) DataWeb (Link: <a href="https://dataweb.usitc.gov">https://dataweb.usitc.gov</a>).</li></ul>						
Data Collection Method and Computation						
The result is calculated by dividing the numerator (the number of recalls) by the denominator (the aggregate annual dollar value of consumer product imports from the top 50 import sources, countries, or administrative areas).  The numerator (the number of recalls) is obtained by: <ul style="list-style-type: none"><li>Querying CPSC's Dynamic Case System (DCM).</li></ul> The denominator (the aggregate annual dollar value of consumer product imports, on a Cost-Insurance-Freight [CIF] basis) is obtained by: <ul style="list-style-type: none"><li>Tabulating dollar values of imported products, reported with North American Industry Classification System (NAICS) codes on the USITC DataWeb (<a href="https://dataweb.usitc.gov">https://dataweb.usitc.gov</a>), deemed more likely to include products under the CPSC's jurisdiction.</li></ul>						
Data Limitations and Implications of the Reported Results						
The result reported for this measure in FY 2021 was based on recall and import data from calendar year 2020.						

Control ID			Program			
2021KM2.3.01*			Import Surveillance			
Strategic Goal						
Goal 2: Prevention						
Strategic Objective						
2.3: Increase capability to identify and stop imported hazardous consumer products						
Performance Measure Statement						
Percentage of consumer product imports, identified as high-risk, examined at import						
Definition of Performance Measure						
The percentage of examined entries identified through CPSC's Targeting program is computed as the number of targeted entries with logbook exams, divided by the number of targeted entries from CPSC's Targeting program entered into the International Trade Data System (ITDS)/RAM Inbox.						
Rationale for Performance Measure						
Targeting identifies characteristics in import shipments that are associated with elevated inherent product risks.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
89%	89%	86%	80%	82%	80%	✓
Analysis						
The FY 2021 result was 82%, exceeding the annual target of 80%. This indicates that the CPSC's Import Surveillance Targeting program is effective in identifying and examining high-risk shipments.						
Plan(s) for Improving Performance						
The agency will continue to prioritize examining high-risk shipments. The CPSC expects to maintain the level of performance that has been captured by this performance measure, assuming CPSC's Targeting program continues to be supported.						
Data Source						
ITDS/RAM Inbox and Exam Logbook						
Data Collection Method and Computation						
Computation steps: <ul style="list-style-type: none"><li>• Calculate the numerator: Count the total number of targeted entries with logbook exams.</li><li>• Calculate the denominator: Count the total number of targeted entries from CPSC's Targeting program entered into ITDS/RAM Inbox.</li><li>• Divide the numerator by the denominator to yield the actual result.</li></ul>						
Data Limitations and Implications of the Reported Results						
Examinations data depend on recording by different personnel at different locations.						



Control ID			Program			
2021KM2.3.02			Import Surveillance			
Strategic Goal						
Goal 2: Prevention						
Strategic Objective						
2.3: Increase capability to identify and stop imported hazardous consumer products						
Performance Measure Statement						
Percentage of import shipments processed through the Risk Assessment Methodology (RAM) system that are cleared within 1 business day						
Definition of Performance Measure						
Number of shipments (entry lines) cleared within 1 business day, divided by the total number of shipments (entry lines) processed through the RAM system						
Rationale for Performance Measure						
The percentage of import shipments the CPSC clears within 1 business day is a measure of how successful the CPSC is at expeditiously processing compliant imports of consumer products and facilitating legitimate trade.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
99.8%	99.8%	99.8%	99.9%	99.8%	99.0%	✓
Analysis						
The FY 2021 result was 99.8%, exceeding the FY 2021 target of 99%.This indicates that the CPSC’s import surveillance work is conducted efficiently, and compliant imports are released quickly.						
Plan(s) for Improving Performance						
The agency will use a similar approach from past years to maintain the level of performance that has been captured by this performance measure.						
Data Source						
ITDS/RAM Inbox						
Data Collection Method and Computation						
<p>The status of each entry the CPSC acted on is recorded in the ITDS/RAM system (<i>i.e.</i>, "May Proceed," or "CBP Hold Request"). Entries of import shipments that are recorded by CPSC as "May Proceed," or "Scored," are considered "Cleared" by CPSC. "Scored" shipments are cleared within 1 business day because no action was taken by the CPSC to stop the cargo from entering commerce.</p> <p>Computation steps:</p> <ul style="list-style-type: none"><li>• Calculate the numerator: Count the total number of shipments (entry lines) cleared within 1 business day.</li><li>• Calculate the denominator: Count the total number of shipments (entry lines) processed through the RAM system.</li><li>• Divide the numerator by the denominator to yield the actual result.</li></ul>						
Data Limitations and Implications of the Reported Results						
No known data limitations.						

Control ID				Program		
2021KM2.3.04				Import Surveillance		
Strategic Goal						
Goal 2: Prevention						
Strategic Objective						
2.3: Increase capability to identify and stop imported hazardous consumer products						
Performance Measure Statement						
Number of import examinations completed						
Definition of Performance Measure						
Number of examinations conducted by the CPSC on imported consumer products to verify compliance with CPSC rules, regulations, and bans. Each exam is for one product.						
Rationale for Performance Measure						
The total number of import examinations CPSC performs is a measure of surveillance at U.S. ports to reduce entry of unsafe consumer products.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
38,726	41,117	39,010	18,561	36,375	32,000	✓
Analysis						
<p>The FY 2021 result was 36,375 exams, exceeding the target of 32,000. Due to the COVID-19 pandemic, all CPSC employees began teleworking full-time during FY 2020. However, the majority of CPSC port investigators returned to work onsite at the ports at the end of FY 2020. Due to varying COVID-19 vaccine availability across the country and/or personal exemptions for certain CPSC employees, some port investigators continued to conduct exams remotely* into FY 2021. As port investigators returned to onsite operations at the ports, the number of product exams increased each quarter, as the fiscal year progressed.</p> <p>In June 2021 (third quarter of FY 2021), all CPSC port investigators returned to working onsite full-time at the ports, enabling CPSC's Office of Import Surveillance (EXIS) to conduct exams at levels close to those seen pre-pandemic. Furthermore, newly hired port investigators helped EXIS exceed its expected number of exams for the fourth quarter of FY 2021.</p> <p>*The CPSC has a long-standing partnership with the U.S. Customs and Border Protection (CBP), which enabled CPSC port investigators to conduct the exams remotely by collaborating with CBP officers at ports, at which CPSC port investigators are normally co-located, through video meetings, phone calls, and emails.</p>						
Plan(s) for Improving Performance						
The measure reflects CPSC's capability to examine shipments. The targeted level of performance depends upon import surveillance personnel co-located at ports to examine shipments.						
Data Source						
Import Exam Logbook						
Data Collection Method and Computation						
The CPSC records all import examinations it performs in the Import Exam Logbook. This performance measure captures the sum of the number of products with exam dates for the reporting period (fiscal year).						
Data Limitations and Implications of the Reported Results						
EXIS conducts data quality checks to ensure import exams are recorded in the Import Exam Logbook. Examination data depend on recording by different personnel at different locations.						

Control ID			Program			
2021KM3.1.01			Compliance & Field			
Strategic Goal						
Goal 3: Response						
Strategic Objective						
3.1: Rapidly identify hazardous consumer products for enforcement action						
Performance Measure Statement						
Percentage of cases for which a preliminary determination is made within 85 business days of the case opening (Hazard Priorities A, B, and C)						
Definition of Performance Measure						
Preliminary Determination (PD) is the determination made by a panel of CPSC managers on whether there is sufficient evidence to preliminarily determine that a substantial potential hazard exists in a product. A case opening is when a case is entered into CPSC's Dynamic Case Management (DCM) System, which then generates a Case Creation date.						
This measure is limited to cases with Hazard Priorities A, B, and C, and excludes Fast-Track cases.						
Rationale for Performance Measure						
This performance measure is an indicator of the timeliness of CPSC case work. Making PDs efficiently contributes to timely recalls for noncompliant and defective products.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
74%	75%	13%	83%	64%	65%	✗
Analysis						
The target was 65%; FY 2021 actual result was 64%. The CPSC fell slightly short of the annual target, with 14 of the 22 products with a Hazard Priority A, B, or C having a PD made within 85 business days. Some of the cases that took longer than 85 business days from case opening involved products that were the subject of an ongoing administrative litigation seeking mandatory recalls.						
Plan(s) for Improving Performance						
The Enforcement and Litigation Division (CEL), which is under CPSC's Office of Compliance & Field Operations (EXC), was formed in January 2020 to replace EXC's former Defects Division. CEL is responsible for substantial product hazard investigations, administrative litigation, and civil penalty work. Formation of CEL integrates attorneys at the line and supervisory levels to help strengthen the agency's capacity to efficiently make analytically sound substantial product hazard determinations and negotiate CAPs.						
Data Source						
CPSC's Dynamic Case Management (DCM) System						
Data Collection Method and Computation						
The CPSC collects data from DCM on all Compliance Action (CA) initiated cases and non-Fast-Track reported cases that progressed to PD during the fiscal year on products with hazards that fall under Hazard Priorities A, B, or C. Classification of the Hazard Priorities is based on the severity of the most likely injury resulting from the hazard, as well as the likelihood that such injury would occur. This measure is limited to cases with Hazard Priority A, B, and C, and excludes Fast-Track cases.						
Calculation Formula – Divide the numerator by the denominator:						
<ul style="list-style-type: none"><li>• <i>Numerator</i>: Count the number of cases where the number of business days is 85 business days or less from the Case Creation Date to the PD date (the PD date should fall within the fiscal year).</li><li>• <i>Denominator</i>: Count the total number of cases where PD was made within the fiscal year.</li></ul>						
Data Limitations and Implications of the Reported Results						
Results may differ slightly due to updates, edits, or corrections to case data that may occur after the team lead completes fiscal year-end run of data and reports the results.						

Control ID			Program			
2021KM3.1.02			Compliance & Field			
Strategic Goal						
Goal 3: Response						
Strategic Objective						
3.1: Rapidly identify hazardous consumer products for enforcement action						
Performance Measure Statement						
Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection (excludes fireworks)						
Definition of Performance Measure						
Included in the definition for this measure is the percentage of cases for which a sample is determined, within the fiscal year, to have a regulatory violation and the determination was made within 35 business days of the date of sample collection (excludes fireworks). Samples collected in the field and at U.S. ports of entry are sent to CPSC's National Product Testing and Evaluation Center (NPTEC) for analysis. Often, CPSC technical experts conduct additional technical analysis to determine whether a product violates CPSC standards.						
Rationale for Performance Measure						
This performance measure is an indicator of the timeliness of CPSC regulatory case work. Making determinations of a regulatory violation more quickly contributes to the efficiency and speed of recalls for noncompliant products.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
87%	89%	85%	89% <sup>19</sup>	86%	85%	✓
Analysis						
The CPSC exceeded the annual target of 85%; the actual FY 2021 result was 86%. Starting with FY 2020, this measure excludes fireworks cases because those cases have unique and lengthy processes.						
Plan(s) for Improving Performance						
Going forward, the agency will develop a strategy and contract requirements for a comprehensive case and data management solution, which will include modernizing or replacing IFS.						
Data Source						
CPSC's Integrated Field System (IFS)						
Data Collection Method and Computation						
The CPSC collects data from the IFS, which tracks the date of sample collection and the date of regulatory violation determination. An <i>ad hoc</i> report in the system runs the computation.  Calculation Formula – Divide the numerator by the denominator: <ul style="list-style-type: none"><li><i>Numerator</i>: Count the number of cases for which a sample is determined to have a regulatory violation and the determination was made within 35 business days of sample collection. The date of the regulatory violation determination should fall within the fiscal year.</li><li><i>Denominator</i>: Count the total number of cases for which a sample is determined to have a regulatory violation. The date of the regulatory violation determination should fall within the fiscal year.</li></ul>						
Data Limitations and Implications of the Reported Results						
Results may differ slightly, due to updates, edits, or corrections to case data that may occur after the team lead completes the fiscal year-end run of data and reports the results.						

<sup>19</sup> Fireworks cases have unique processes. Starting with FY 2020, fireworks cases have been disaggregated from KM 3.1.02, and KM 3.1.03 was established to capture the disaggregated fireworks cases.

Control ID			Program			
2021KM3.1.03			Compliance & Field			
Strategic Goal						
Goal 3: Response						
Strategic Objective						
3.1: Rapidly identify hazardous consumer products for enforcement action						
Performance Measure Statement						
Percentage of firework cases for which a compliance determination of a regulatory violation is made within 70 business days of sample collection						
Definition of Performance Measure						
Included in the definition of this measure is the percentage of cases for which a fireworks sample is determined, within the fiscal year, to have a regulatory violation and the determination was made within 70 business days of the date of the sample collection. Fireworks samples collected in the field and at U.S. ports of entry are sent to CPSC’s National Product Testing and Evaluation Center (NPTEC) for analysis. Often, CPSC technical experts conduct additional technical analysis to determine whether a product violates CPSC standards.						
Rationale for Performance Measure						
This performance measure is an indicator of the timeliness of CPSC regulatory case work. Making determinations of a regulatory violation more quickly contributes to the efficiency and speed of recalls for noncompliant products.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
--	--	--	43%	100%	85%	✓
Analysis						
The annual target was 85%, which was exceeded by the FY 2021 actual result of 100%. This measure was established for FY 2020 to track only fireworks cases, which were disaggregated from its original measure (KM 3.1.02). This measure now reflects more accurately the time needed for assessing fireworks samples, which often require additional time for testing. As a result, EXC achieved 100% for this measure.						
Plan(s) for Improving Performance						
Going forward, the agency will develop a strategy and contract requirements for a comprehensive case and data management solution, which will include modernizing or replacing IFS.						
Data Source						
CPSC’s Integrated Field System (IFS)						
Data Collection Method and Computation						
The CPSC collects data from the IFS, which tracks the date of sample collection and the date of regulatory violation determination. An <i>ad hoc</i> report in the system runs the computation.						
Calculation Formula – Divide the numerator by the denominator: <ul style="list-style-type: none"><li>• <i>Numerator</i>: Count the number of cases for which a fireworks sample is determined to have a regulatory violation and the determination was made within 70 business days of sample collection. The date of the regulatory violation determination should fall within the fiscal year.</li><li>• <i>Denominator</i>: Count the total number of cases for which a fireworks sample is determined to have a regulatory violation. The date of the regulatory violation determination should fall within the fiscal year.</li></ul>						
Data Limitations and Implications of the Reported Results						
Results may differ slightly, due to updates, edits, or corrections to case data that may occur after the team lead completes the fiscal year-end run of data and reports the results.						

Control ID			Program			
2021KM3.2.02*			Compliance & Field			
Strategic Goal						
Goal 3: Response						
Strategic Objective						
3.2: Minimize further exposure to hazardous consumer products						
Performance Measure Statement						
Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection (excludes fireworks)						
Definition of Performance Measure						
The firm is initially notified of a violation via phone or email, and written confirmation is obtained from the firm; the date is then entered into IFS under Notify Date. However, if written confirmation is not obtained from the firm, the Notice of Violation (NOV) <sup>20</sup> date will serve as the date of the first form of notification.						
Rationale for Performance Measure						
This performance measure is an indicator of the timeliness of CPSC’s notice to firms of violations resulting from sample collection.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
86%	87%	86%	86% <sup>21</sup>	83%	85%	✗
Analysis						
The FY 2021 result was 83%, falling slightly short of the annual target of 85%. This was due to CPSC’s expansion of its ATV compliance program, resulting in a sharp increase in the number of ATV cases. Also, ATVs require longer shipping time due to product size; staff to assemble the ATVs upon arrival; additional testing by CPSC’s Division of Human Factors, including age-grading analysis; and other protocols that add to the time it takes to conduct such analyses.						
Plan(s) for Improving Performance						
Going forward, the agency will develop a strategy and contract requirements for a comprehensive case and data management solution, which will include modernizing or replacing IFS.						
Data Source						
CPSC’s Integrated Field System (IFS)						
Data Collection Method and Computation						
The CPSC collects data from the IFS, which tracks the date of sample collection and the date of company notification. An <i>ad hoc</i> report in the system runs the computation.						
Calculation Formula – Divide the numerator by the denominator:						
<ul style="list-style-type: none"><li>• <i>Numerator</i>: Count the number of cases for which the firm was first notified of a regulatory violation and the determination was made within 40 business days of sample collection. The notification date should fall within the fiscal year.</li><li>• <i>Denominator</i>: Count the total number of cases for which the firm was notified of a regulatory violation. The notification date should fall within the fiscal year.</li></ul>						
Data Limitations and Implications of the Reported Results						
Results may differ slightly, due to updates, edits, or corrections to case data that may occur, after the team lead completes the fiscal year-end run of data and reports the results.						

<sup>20</sup> A Notice of Violation (NOV) is issued when a firm has violated a mandatory standard. NOV's are issued by the EXC and, starting in FY 2020, are also issued by the Office of Import Surveillance on behalf of EXC.

<sup>21</sup> Fireworks cases have unique processes. Starting with FY 2020, fireworks cases have been disaggregated from KM 3.2.02, and KM 3.2.05 was established as a new measure to capture the disaggregated fireworks cases.



Control ID				Program		
2021KM3.2.03*				Compliance & Field		
Strategic Goal						
Goal 3: Response						
Strategic Objective						
3.2: Minimize further exposure to hazardous consumer products						
Performance Measure Statement						
Percentage of Fast-Track cases with corrective actions initiated within 20 business days of case opening						
Definition of Performance Measure						
Case Opening date is when a case is entered into the DCM System, which then generates a Case Creation date. A Stop Sale date is the date when notice was given by a firm to stop sale or distribution of the affected product and is considered the date a corrective action was initiated.						
Rationale for Performance Measure						
Industry has an opportunity to participate in a streamlined recall process through the Fast-Track Product Recall Program, which is designed to remove potentially dangerous products from the marketplace more quickly and save the company and the CPSC time and resources. To potentially take advantage of the Fast-Track program, a firm must, among other steps, commit to implementing a sufficient consumer-level voluntary recall within 20 business days of the case opening. Increased timeliness of processing these cases contributes to the efficiency and speed of recalls for noncompliant and defective consumer products.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Target	2021 Target	Target Met?
98%	96% <sup>22</sup>	97%	97%	95%	90%	✓
Analysis						
The CPSC exceeded the FY 2021 target of 90%, with the actual result of 95%. In FY 2021, with stakeholder input, the agency completed development of a new online portal to improve stakeholders experience in reporting and submitting Fast-Track recall cases, as well as providing more complete information sooner.						
Plan(s) for Improving Performance						
The new and improved online Fast-Track portal was rolled out in the first quarter of FY 2022.						
Data Source						
CPSC's Dynamic Case Management (DCM) System						
Data Collection Method and Computation						
Calculation Formula – Divide the numerator by the denominator: <ul style="list-style-type: none"><li><i>Numerator</i>: Count the number of Fast-Track cases with a CAP Accept date for which a firm had a Stop Sale date within 20 business days of the Case Opening date (Case Creation date, as generated by the DCM). The CAP Accept date should fall within the fiscal year.</li><li><i>Denominator</i>: Count the total number of Fast-Track cases with a CAP Accept date that falls within the fiscal year</li></ul>						
Data Limitations and Implications of the Reported Results						
This measure accounted for corrective action taken by a firm ( <i>i.e.</i> , product discontinued or stop sale issued) that occurred prior to the Case Opening date on DCM resulting in the computation of negative days. There are cases in this category—where a Stop Sale date happened prior to the Case Open date—meaning that the cases were already met before the cases were even opened on DCM. On a separate note, results may differ slightly due to updates, edits, or corrections to case data that may occur, after the team lead completes the fiscal year-end run of data and reports the results.						

<sup>22</sup> A new computation method, as a result of an audit recommendation by CPSC's Office of the Inspector General, was implemented in FY 2018. The actual results since FY 2018 are not comparable to those prior to FY 2018.

Control ID	Program					
2021KM3.2.05*	Compliance & Field					
Strategic Goal						
Goal 3: Response						
Strategic Objective						
3.2: Minimize further exposure to hazardous consumer products						
Performance Measure Statement						
Percentage of fireworks cases for which a firm is notified of a regulatory violation within 75 business days from sample collection						
Definition of Performance Measure						
Included in the definition of this measure is the percentage of fireworks cases for which a firm was first notified of a violation within the fiscal year and the notification date was within 75 business days of the date the fireworks sample was collected.  The firm is initially notified of a violation via phone or email, and written confirmation is obtained from the firm; the date is then entered into IFS under Notify Date. However, if written confirmation is not obtained from the firm, the Notice of Violation <sup>23</sup> (NOV) date will serve as the date of the first form of notification.						
Rationale for Performance Measure						
This performance measure is an indicator of the timeliness of CPSC’s notice to firms of violations resulting from fireworks sample collection.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
--	--	--	43%	100%	85%	✓
Analysis						
The FY 2021 result was 100 percent, exceeding the annual target of 85 percent. This measure was established for FY 2020 to track only fireworks cases, which were disaggregated from its original measure (KM 3.2.02). This measure now reflects more accurately the time needed for assessing fireworks samples, which often require additional time for testing. As a result, EXC achieved 100% for this measure.						
Plan(s) for Improving Performance						
Going forward, the agency will develop a strategy and contract requirements for a comprehensive case and data management solution, which will include modernizing or replacing IFS.						
Data Source						
CPSC’s Integrated Field System (IFS)						
Data Collection Method and Computation						
The CPC collects data from IFS, which tracks the date of sample collection and the date of company notification. An <i>ad hoc</i> report in the system runs the computation.  Calculation Formula – Divide the numerator by the denominator: <ul style="list-style-type: none"><li>• <i>Numerator</i>: Count the number of fireworks cases for which the firm was first notified of a violation within 75 business days of sample collection date. The notification date should fall within the fiscal year.</li><li>• <i>Denominator</i>: Count the total number of fireworks cases for which a firm was first notified of a violation within the fiscal year. The notification date should fall within the fiscal year.</li></ul>						
Data Limitations and Implications of the Reported Results						
Results may differ slightly, due to updates, edits, or corrections to case data that may occur, after the team lead completes the fiscal year-end run of data and reports the results.						

<sup>23</sup> A Notice of Violation (NOV) is issued when a firm has violated a mandatory standard. NOVs are issued by EXC and, starting in FY 2020, are also issued by the Office of Import Surveillance on behalf of EXC.

Control ID			Program			
2021KM3.2.06*			Compliance & Field			
Strategic Goal						
Goal 3: Response						
Strategic Objective						
3.2: Minimize further exposure to hazardous consumer products						
Performance Measure Statement						
Percentage of cases for which a corrective action plan (CAP) is accepted, or public notice of hazard issued within 90 business days of a Preliminary Determination (Hazard Priorities A, B, and C)						
Definition of Performance Measure						
Included in the definition of this measure is the percentage of cases where the firm accepted, within 90 days of CPSC's Preliminary Determination (PD) that was made within the fiscal year, either a Corrective Action Plan (CAP) negotiated between the CPSC and the firm or a public notice of hazard issued by the CPSC. PD is the determination made by a panel of CPSC managers on whether there is sufficient evidence to preliminarily determine the existence of a substantial potential hazard in a product. This measure is limited to cases with Hazard Priority A, B and C, and excludes Fast-Track cases.						
Rationale for Performance Measure						
This performance measure tracks the timeliness of CPSC's negotiation of CAPs with firms or issuance of public notices of hazards to firms. More timely negotiation of CAPs or issuance of public notices of hazard contribute to the efficiency and speed of recalls for noncompliant and defective products.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
--	--	--	--	75%	Baseline	N/A <sup>24</sup>
Analysis						
This measure was new for FY 2021. It was established to monitor substantial hazard work performed by the agency's Enforcement and Litigation Division (CEL), a new division under CPSC's Office of Compliance & Field Operations (EXC). Established in FY 2020, the new CEL is responsible for substantial product hazard investigations, administrative litigation, and civil penalty work. The new division integrates attorneys at the line and supervisory levels to help strengthen EXC's ability to make analytically sound substantial product hazard determinations efficiently and effectively and negotiate CAPs.						
Plan(s) for Improving Performance						
This measure better reflects effective work on substantial hazard matters. In FY 2022, the target is set for 60%.						
Data Source						
CPSC's Dynamic Case Management (DCM) System						
Data Collection Method and Computation						
The CPSC collects data from DCM on all Compliance Action (CA) initiated cases and non-Fast-Track reported cases where, within 90 days of the PD that was made during the fiscal year, the firm accepts either: (1) a CAP negotiated between the CPSC and the firm; or (2) a public notice of hazard issued by the CPSC. This measure is limited to cases with Hazard Priority A, B and C, and excludes Fast-Track cases. Calculation Formula – Divide the numerator by the denominator: <ul style="list-style-type: none"><li><i>Numerator:</i> Count the number of cases for which the firm, within 90 days of the PD, accepted either: (1) a CAP that was negotiated between the CPSC and the firm; or (2) a public notice of hazard issued by the CPSC. The PD date should fall within the fiscal year.</li><li><i>Denominator:</i> Count the total number of cases, where PD was made during the fiscal year, for which the firm accepted either: (1) a CAP that was negotiated between the CPSC and the firm; or (2) a public notice of hazard issued by the CPSC.</li></ul>						
Data Limitations and Implications of the Reported Results						
Results may differ slightly, due to updates, edits, or corrections to case data that may occur, after the team lead completes the fiscal year-end run of data and reports the results.						

<sup>24</sup> Correction: This measure was reported as "Met" in [CPSC's FY 2021 Agency Financial Report](#), but it should be reported as N/A (not applicable) instead.

Control ID				Program		
2021KM3.3.01*				Compliance & Field		
Strategic Goal						
Goal 3: Response						
Strategic Objective						
3.3: Improve consumer response to consumer product recalls						
Performance Measure Statement						
Recall effectiveness rate for all consumer product recalls						
Definition of Performance Measure						
Included in the definition of this measure is the percentage of recalled products within the fiscal year that were corrected during the fiscal year. The CPSC deems a case to be closed when the last action is taken via the firm's report(s) of significant improvement and collection of recall products, a decision is made to not conduct a recall, or other unique reasons or circumstances.						
Rationale for Performance Measure						
<p>"Recall effectiveness" is the degree to which a recall is successful in improving consumer safety by producing the desired results, including, but not limited to: (1) mitigation of the hazard (2) notifying consumers of the problem (3) appropriately encouraging consumers to take action.</p> <p>The performance measure is intended to improve understanding of the overall effectiveness of product recalls at all levels, including products at the manufacturer, distributor, retailer, and consumer levels. Typically, recalls of consumer products are conducted voluntarily by firms that work with the CPSC to develop a CAP that will protect the public from potentially unsafe products. Recalls include a notice to the public and some remedial measures, such as a repair, a replacement of the product, or a refund to the purchaser.</p>						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
41%	17%	21%	33%	32%	25%	✓
Analysis						
The target was 25%; the FY 2021 actual result was 32%. While the CPSC met the target this year, the recall effectiveness rate is highly volatile and is dependent on the type of product, the price point of the product, and/or the number of units involved in the recalls, as well as consumers' responses to the recalls.						
Plan(s) for Improving Performance						
The CPSC will continue working with recalling firms to maximize notification to consumers, including through direct notice, social media, and other technological means.						
Data Source						
CPSC's Dynamic Case Management (DCM) System and Integrated Field System (IFS)						
Data Collection Method and Computation						
Recall information is gathered from Monthly Progress Reports provided by the recalling firms. The information is then entered into CPSC's DCM system. This measure tracks the percentage of DCM-closed cases for the fiscal year.						
Calculation Formula – Divide the numerator by the denominator: <ul style="list-style-type: none"><li><i>Numerator</i>: Count the number of products that were recalled and corrected during the fiscal year.</li><li><i>Denominator</i>: Count the number of products that were recalled during the fiscal year.</li></ul>						
Data Limitations and Implications of the Reported Results						
The CPSC relies on the data provided by the recalling firms. Results may differ slightly, due to updates, edits, or corrections to case data that may occur, after the team lead completes the fiscal year-end run of data and reports the results.						

Control ID				Program		
2021KM4.1.02				Communications		
Strategic Goal						
Goal 4: Communication						
Strategic Objective						
4.1: Improve usefulness and availability of consumer product safety information						
Performance Measure Statement						
Number of engagements with CPSC safety messaging on social media channels by stakeholders (in millions)						
Definition of Performance Measure						
Number of stakeholder engagements with CPSC safety messages on Twitter, Instagram Facebook, and YouTube, as measured by contracted social media monitoring services						
Rationale for Performance Measure						
Engagement refers to consumers or other individuals who like, share, forward, or re-tweet CPSC safety messages or content on social media platforms.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
0.3	0.8	1.5	12.1	9.3	3.0	✓
Analysis						
The CPSC exceeded the FY 2021 target of 3 million with more than 9.3 million engagements. The continued success in FY 2021 was due in part to CPSC’s social media strategy, which helped engagements continue going viral and was bolstered by effective paid social media campaigns throughout the year.						
Plan(s) for Improving Performance						
The CPSC will continue to design and develop new online and social media communication to disseminate CPSC safety messaging through social media and drive more engagement with CPSC safety messages. Additionally, in FY 2022, OCM will update its social media strategy to target communities that have historically been difficult to reach.						
Data Source						
CPSC’s contracted social media monitoring companies for data on engagement.						
Data Collection Method and Computation						
Data are provided by contracted media monitoring companies that subscribe to media measurement tools that are used by a broad spectrum of companies, such as advertisers, agencies, and research firms that need reliable audience data. All engagement data are added together in a spreadsheet.						
Data Limitations and Implications of the Reported Results						
Units of social media engagement vary among the different media platforms. The reported result is a mixture of these engagement units.						

Control ID			Program			
2021KM4.2.04*			Communications			
Strategic Goal						
Goal 4: Communication						
Strategic Objective						
4.2: Increase dissemination of useful consumer product safety information						
Performance Measure Statement						
Number of national media placements of CPSC stories						
Definition of Performance Measure						
Placements of CPSC-generated news stories in national newspapers, national online news services, network and cable broadcasts, and network affiliate service broadcasts.						
Rationale for Performance Measure						
National placements of CPSC-generated news stories garner the largest potential audience for CPSC safety messages, as opposed to placing them in local newspapers or local broadcasts.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
--	--	--	12	16	10	✓
Analysis						
The CPSC completed 16 national media placements of CPSC stories, exceeding the FY 2021 target of 10 placements. Some examples of CPSC stories include treadmill recalls, information about gasoline storage safety due to shortages related to the pandemic, and residential elevator warnings and recalls. The CPSC had success generating national media placements due to newsworthiness of the stories, and creative pitching by Office of Communications (OCM) staff.						
Plan(s) for Improving Performance						
Due to the success in FY 2021, for FY 2022, the agency has raised its annual target to 15 national media placements of CPSC stories. Additionally, the CPSC has hired a Communications Coordinator to focus on media outreach work.						
Data Source						
(1) CPSC-contracted monitoring services, including TVEyes and Meltwater, and (2) CPSC public relations (PR) agency-contracted monitoring services						
Data Collection Method and Computation						
OCM staff collects data from the contracted monitoring companies, then enters the data to an Excel spreadsheet to calculate final results.						
Data Limitations and Implications of the Reported Results						
None						



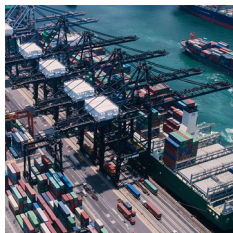
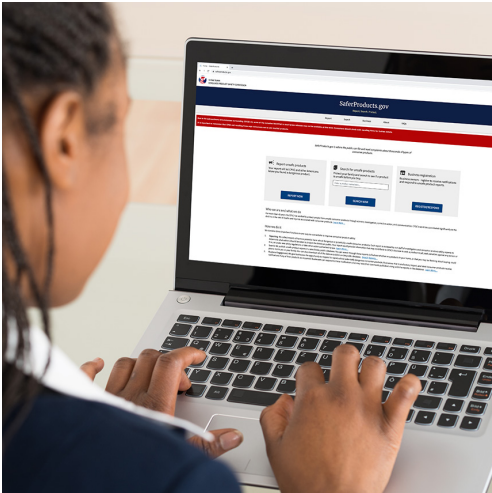
Control ID				Program		
2021KM4.2.06*				Communications		
Strategic Goal						
Goal 4: Communication						
Strategic Objective						
4.2: Increase dissemination of useful consumer product safety information						
Performance Measure Statement						
Percentage of recall press releases cycled through the Office of Communications in 2 business days or less, once received from the Office of Compliance & Field Operations						
Definition of Performance Measure						
Offices within the CPSC, and the recalling firm, work together to formulate and announce recall press releases as expeditiously as possible to protect consumers from hazardous recalled products.						
This measure tracks the percentage of recall press releases issued to the public by CPSC’s Office of Communications (OCM) within 2 business days of receiving a draft from the Office of Compliance & Field Operations (EXC).						
Rationale for Performance Measure						
This measure was newly established in FY 2021, to serve as a replacement for KM4.2.05 – Percentage of recall press releases issued in 22 business days or less from first draft (last reported in the FY 2020 APR). This new measure was established as an improved measure to track CPSC’s timeliness of recall press releases.						
2017 Actual	2018 Actual	2019 Actual	2020 Actual	2021 Actual	2021 Target	Target Met?
--	--	--	--	96%	80%	✓
Analysis						
This was a new measure in FY 2021. It was established to capture the part of the recall process that is within OCM’s control. The FY 2021 result was 96%; the target of 80% was exceeded because OCM made it a priority to respond to EXC on recall releases within 2 business days.						
Plan(s) for Improving Performance						
OCM will continue prioritizing quick response to EXC by keeping recall press release turnaround at 2 business days or less.						
Data Source						
OCM’s Tracking Spreadsheet: Recall Press Release Log						
Data Collection Method and Computation						
OCM counts the number of days it takes to turnaround recalls and recall alerts for every version of draft recall press release received from EXC.						
Calculating the Result – Divide the numerator by the denominator:						
<ul style="list-style-type: none"><li><i>Numerator:</i> The number of recall press releases issued by OCM within 2 business days once the draft recall press release has been received from EXC.</li><li><i>Denominator:</i> The total number of recall press releases issued by OCM.</li></ul>						
Data Limitations and Implications of the Reported Results						
None						

## Appendix D

### Acronyms

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AI/ML	Artificial Intelligence and Machine Learning
AOA	Analysis of Alternatives
APR	Annual Performance Report
ARPA	American Rescue Plan Act of 2021
BPR	Business Process Review
CAP	Corrective Action Plan
CBP	U.S. Customs and Border Protection
CDC	U.S. Centers for Disease Control and Prevention
CFR	Code of Federal Regulations
CONOPS	eCommerce Concept of Operations and Implementation Plan
CPSA	Consumer Product Safety Act
CPSC	U.S. Consumer Product Safety Commission
CPSIA	Consumer Product Safety Improvement Act of 2008
DCM	Dynamic Case Management System
FEVS	Federal Employee Viewpoint Survey
FTE	Full-time Equivalent
FY	Fiscal Year
IFS	Integrated Field System
ITDS	International Trade Data System
NEISS	National Electronic Injury Surveillance System
NIOSH	National Institute for Occupational Safety and Health
NIST	National Institute of Standards and Technology
OECD	Organisation for Economic Cooperation and Development
OFR	Organohalogen
OMB	Office of Management and Budget
OPM	U.S. Office of Personnel Management
PBR	Performance Budget Request
RAM	Risk Assessment Methodology
SBO	Small Business Ombudsman
SDR	Strategic Data Review
VGB Act	Virginia Graeme Baker Pool and Spa Safety Act



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