

U.S. Consumer Product Safety Commission

Fiscal Year 2019 Annual Performance Report



February 10, 2020

CPSC Stands for Safety



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

About this Report

This document is the U.S. Consumer Product Safety Commission's (CPSC's) FY 2019 Annual Performance Report (APR). It is submitted in conjunction with the CPSC's FY 2021 Performance Budget Request (PBR) to Congress. An electronic version of this report is available on the agency's website at: www.cpsc.gov/about-cpsc/agency-reports/performance-and-budget.

The FY 2019 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 2019 APR provides information on results achieved by CPSC programs during FY 2019 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.¹

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

Message from the Acting Chairman



The U.S. Consumer Product Safety Commission's FY 2019 Annual Performance Report (APR) is a comprehensive account of performance results achieved by our programs for the period of October 1, 2018 through September 30, 2019. 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 commend all CPSC staff for their accomplishments and contributions to our mission this past year. And I am pleased to confirm that, in FY 2019, the performance data presented in this report are reasonably complete, accurate, and reliable. As I recently became Acting Chairman on October 1, 2019, I would also like to acknowledge the efforts of Ann Marie Buerkle, who served as Acting

Chair of CPSC from February 2017 through September 2019. Ms. Buerkle has since left the Agency, and we will miss her thoughtful leadership.

I look forward to continuing to work 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 that reads "Robert S. Adler".

Robert S. Adler
Acting Chairman
February 10, 2020

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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 Chairman 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 structure² during the FY 2019 reporting period of October 1, 2018 through September 30, 2019. Effective October 1, 2019, at the start of FY 2020, Robert S. Adler assumed the role of Acting Chairman. Previous Acting Chair Ann Marie Buerkle completed her tenure at the CPSC on October 26, 2019, leaving a vacancy on the Commission. As of the publication of this document, the Commission has four members.



Commissioner
Peter A. Feldman



Commissioner
Robert S. Adler



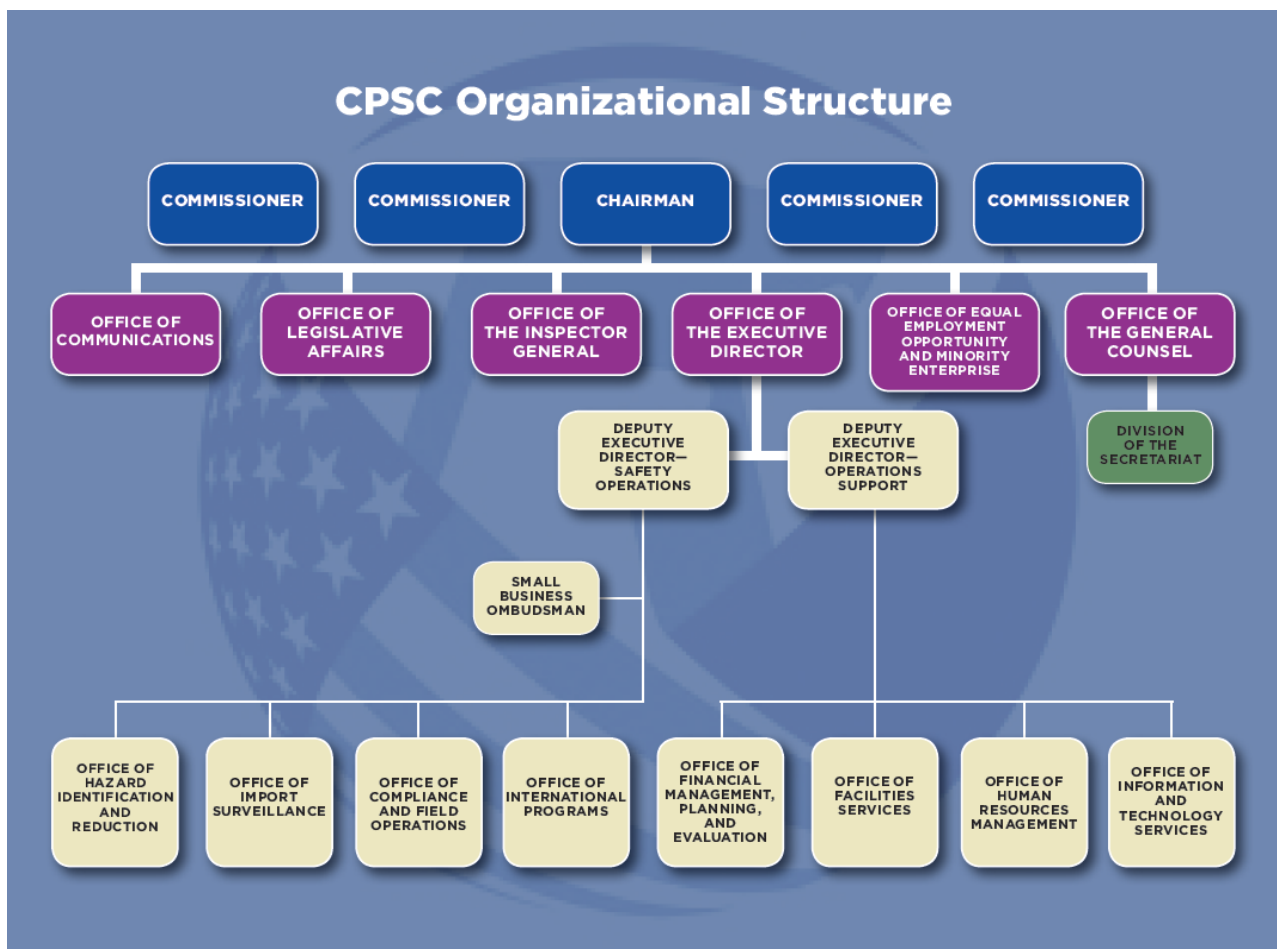
Acting Chairman
Ann Marie Buerkle



Commissioner
Elliot F. Kaye



Commissioner
Dana Baiocco



² The CPSC updated its organizational chart in January 2020. The updated chart can be found in Appendix D of the CPSC's *FY 2021 Performance Budget to Congress*, which is published in conjunction with this document.

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 2019, the CPSC tracked 25 performance measures—all with established performance targets for FY 2019—to gauge progress toward the agency's strategic goals and objectives. The CPSC met performance targets for 18 of the 25 performance measures (72 percent), and did not meet performance targets for seven measures (28 percent).

The FY 2019 results for the key performance measures are organized by Strategic Goal (Figure 2) and by CPSC functional component (Figure 3).

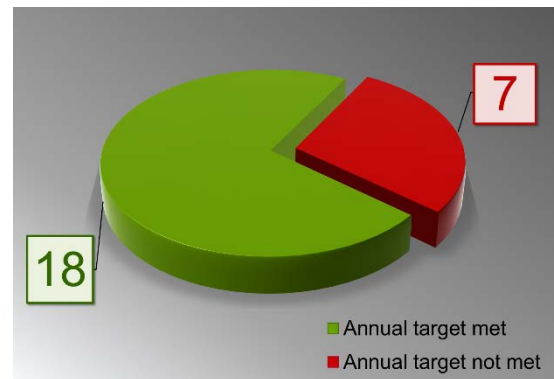


Figure 1: A snapshot of the CPSC's FY 2019 Key Performance Measures

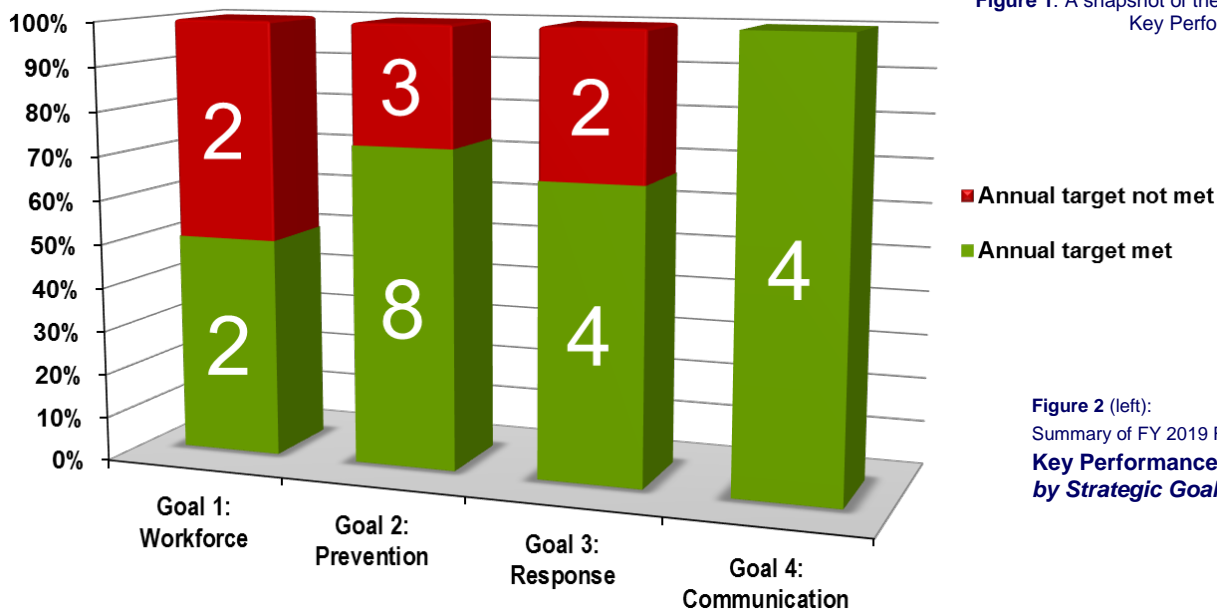


Figure 2 (left):
Summary of FY 2019 Results
Key Performance Measures by Strategic Goal

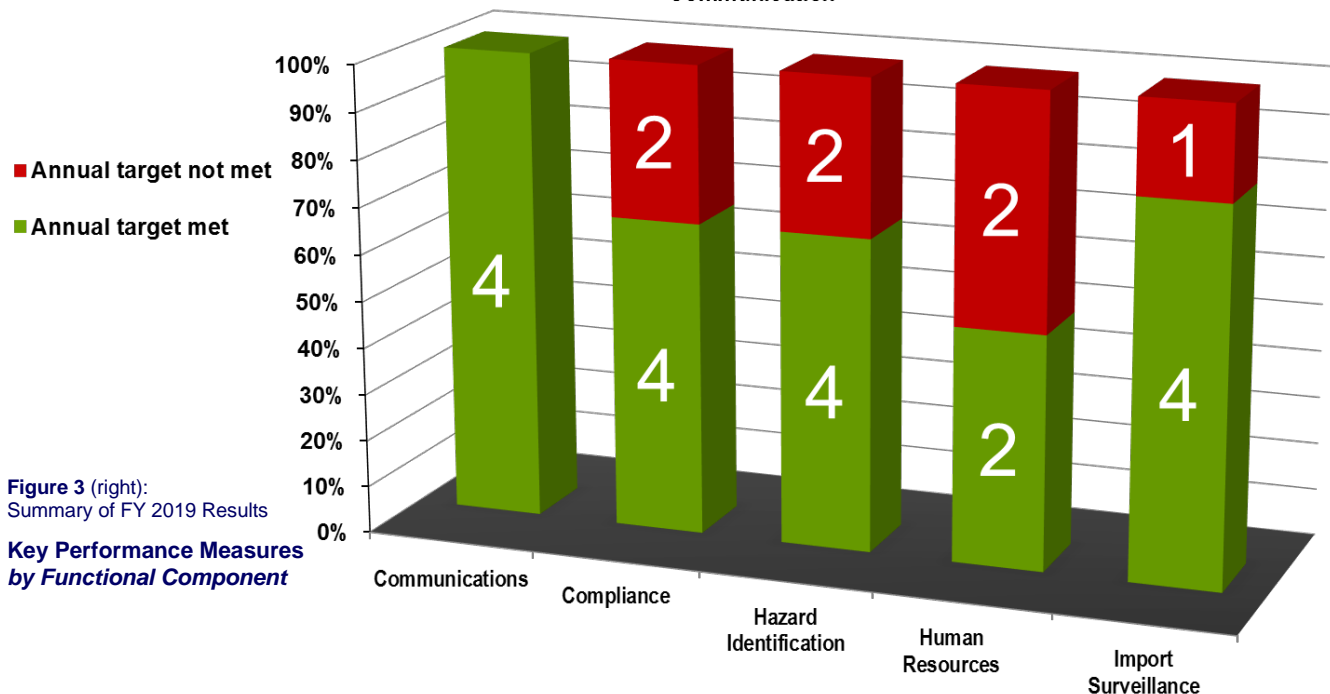


Figure 3 (right):
Summary of FY 2019 Results
Key Performance Measures by Functional Component

CPSC Key Performance Measures: FY 2019 Results Summary

Strategic Goal 1: Workforce

Cultivate the most effective consumer product safety workforce

Strategic Objective (SO), Key Performance Measure (KM)		Program Office	Actuals					2019 Target	
			2015	2016	2017	2018	2019	2019 Target	Target met?
SO 1.1 Enhance effective strategic human capital planning and alignment	2019KM1.1.02 Percentage of full-time equivalents (FTEs) utilized	Human Resources	--	--	--	97%	98%	96%	✓
SO 1.2 Foster a culture of continuous development	2019KM1.2.01 Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey)		--	--	72.5%	68.1%	65.8%	74%	✗
SO 1.3 Attract and recruit a talented and diverse workforce	2019KM1.3.01 Percentage of hiring managers trained on recruitment		--	--	56.1%	82.6%	85.5%	75%	✓
SO 1.4 Increase employee engagement	2019KM1.4.01 Federal Employee Viewpoint Survey Employee Engagement Index Score		66%	70%	73%	69%	66%	75%	✗

Strategic Goal 2: Prevention

Prevent hazardous products from reaching consumers

Strategic Objective (SO), Key Performance Measure (KM)		Program Office	Actuals					2019 Target	
			2015	2016	2017	2018	2019	2019 Target	Target met?
SO 2.1 Improve identification and assessment of hazards to consumers	2019KM2.1.01 Percentage of consumer product-related incident reports warranting follow-up actions	Hazard Identification	--	--	25%	26%	23%	25%	✗
	2019KM2.1.02 Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards		10	11	11	10	11	11	✓
	2019KM2.1.03 Percentage of consumer product-related injury cases correctly captured at NEISS hospitals		91.6%	91%	92.4%	93%	89.5%	90%	✗
	2019KM2.1.04 Number of collaborations established or maintained with other organizations to work on nanotechnology research or issues affecting consumer products		--	--	7	9	6	3	✓
SO 2.2 Lead efforts to improve the safety of consumer products before they reach the marketplace	2019KM2.2.01 Number of voluntary standards activities in which CPSC staff actively participates	Hazard Identification	81	71	76	77	74	74	✓
	2019KM2.2.02 Number of candidates for rulemaking prepared for Commission consideration		20	10	18	19	14 ³	12	✓
	2019KM2.2.07 Percentage of firms that are engaged with timely establishment inspection after being identified as a repeat offender	Import Surveillance	--	--	--	73%	90%	75%	✓
SO 2.3 Increase capability to identify and stop imported hazardous consumer products	2019KM2.3.01 Percentage of consumer product imports, identified as high-risk, examined at import	Import Surveillance	--	--	88.5%	89%	86%	80%	✓
	2019KM2.3.02 Percentage of import shipments processed through the Risk Assessment Methodology (RAM) system that are cleared within one business day		99.6%	99.8%	99.8%	99.8%	99.8%	99%	✓
	2019KM2.3.03 Percentage of consumer product import entries that are risk-scored by the CPSC		--	--	4.2%	3%	3.4%	4%	✗
	2019KM2.3.04 Number of import examinations completed		35,122	36,523	38,726	41,117	39,010	32,000	✓

³ In FY 2019, CPSC staff prepared 14 rulemaking packages for Commission consideration—7 were from the original 12 planned candidates for rulemaking and the other 7 were in response to emerging requirements. The remaining 5 planned rulemaking candidates that were not completed in FY 2019 are: NPR-Crib Mattresses, NPR-Adjudicative Rules, DFR-F963 Toys, FR-Freedom of Information Act Fee Update, and DFR-Lab Accreditation IBR Update.

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					2019 Target	
			2015	2016	2017	2018	2019	2019 Target	Target met?
SO 3.1 Rapidly identify hazardous consumer products for enforcement action	2019KM3.1.01 Percentage of cases for which a preliminary determination is made within 85 business days of the case opening	Compliance	--	--	74%	75%	12.5%	65%	✗
	2019KM3.1.02 Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection		--	--	87%	88.8%	85.1%	85%	✓
SO 3.2 Minimize further exposure to hazardous consumer products	2019KM3.2.02 Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection	Compliance	--	--	86%	87.2%	85.5%	85%	✓
	2019KM3.2.03 Percentage of Fast-Track cases with corrective actions initiated within 20 business days		97.3%	99.1%	98%	95.9%	97.4%	90%	✓
	2019KM3.2.04 Percentage of cases for which a corrective action is accepted within 90 business days of preliminary determination		--	--	--	92.7%	76.9%	60%	✓
SO 3.3 Improve consumer response to consumer product recalls	2019KM3.3.01 Recall effectiveness rate for all consumer product recalls	Compliance	--	--	41%	17.4%	21.4%	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					2019 Target	
			2015	2016	2017	2018	2019	2019 Target	Target met?
SO 4.1 Improve usefulness and availability of consumer product safety information	2019KM4.1.02 Number of engagements with CPSC safety messaging on social media channels by stakeholders (in thousands)	Communications	--	--	285	831	1,468	320	✓
SO 4.2 Increase dissemination of useful consumer product safety information	2019KM4.2.01 Number of impressions of CPSC safety messages (in millions)	Communications	--	--	6,314.8	7,597.8	4,689	4,000	✓
	2019KM4.2.02 Average number of business days between establishment of first draft and issuance of recall press release for the timeliest 90% of recall press releases		16	17.8	17.5	17.3	17.8	< 18	✓
SO 4.3 Increase and enhance collaboration with stakeholders	2019KM4.3.01 Number of collaboration activities initiated with stakeholder groups	Communications	--	--	28	47	93	28	✓

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;
- Securing sensitive agency data against data breach and unintentional or unauthorized disclosure of information; and
- Having adequate resources to keep pace with the evolving marketplace and emerging hazards.



Strategies

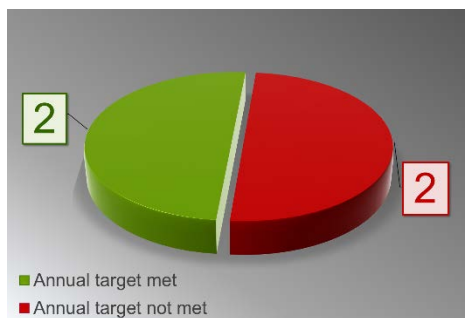


Figure 4: A snapshot of Strategic Goal 1 performance measures (4 total)

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					2019 Target	
SO 1.1 Enhance effective strategic human capital planning and alignment								
2019KM1.1.02 Percentage of full-time equivalents (FTEs) utilized		2015	2016	2017	2018	2019	2019 Target	Target met?
		--	--	--	97%	98%	96%	✓
SO 1.2 Foster a culture of continuous development								
2019KM1.2.01 Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey)		2015	2016	2017	2018	2019	2019 Target	Target met?
		--	--	72.5%	68.1%	65.8%	74%	✗

Table 1 (continued)

Strategic Objective (SO) / Key Performance Measure (KM)	Actuals / Trend line					2019 Target	
SO 1.3 Attract and recruit a talented and diverse workforce							
2019KM1.3.01 Percentage of hiring managers trained on recruitment	2015	2016	2017	2018	2019	2019 Target	Target met?
	--	--	56.1%	82.6%	85.5%	75%	✓
SO 1.4 Increase employee engagement							
2019KM1.4.01 Federal Employee Viewpoint Survey Employee Engagement Index Score	2015	2016	2017	2018	2019	2019 Target	Target met?
	66%	70%	73%	69%	66%	75%	✗

FY 2019 Results

The CPSC exceeded FY 2019 targets for two of the four key performance measures under Strategic Goal 1. Selected FY 2019 achievements under Strategic Goal 1 include:

- Trained more than 85 percent of hiring managers on the recruitment process to attract and recruit a talented, diverse, and highly effective workforce.
- Trained 90 percent of managers on effective performance management.

The agency did not meet FY 2019 targets for two of the four key performance measures under Strategic Goal 1:

- **Key Measure 1.2.01**—Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey): The agency was impacted by the 5-week government shutdown in FY 2019, and nearly all CPSC employees were furloughed. The lengthy furlough likely affected the Federal Employee Viewpoint Survey (FEVS) responses this year. Although the CPSC did not meet the target, according to other FEVS data, 80.2 percent of employees agreed that their work unit has the job-relevant knowledge and skills necessary to accomplish organizational goals. The CPSC also made progress by surveying employees on training needs and conducting more than 40 on-site training opportunities. Additionally, 9 percent of employees participated in the agency Coaching Program, and 23 percent of employees have Individual Development Plans (IDP). The agency plans to improve its performance by requesting training participants to complete course surveys after each class to solicit input for future trainings. The agency also plans to ensure that every employee has at least one developmental activity identified for FY 2020.
- **Key Measure 1.4.01**—Federal Employee Viewpoint Survey Employee Engagement Index Score: It is challenging to meet the target for this key measure because the FEVS is a voluntary survey. For each year, new approaches are needed to encourage employees to participate in the survey. Specific challenges this year that may have impacted results include the absence of a permanent agency head and the extended furlough just prior to the administration of the survey. The agency plans to improve its performance by implementing the President's Management Agenda (PMA) Agency Improvement Plan, focusing on the *Leaders Lead* portion of the Employee Engagement Index. The agency will execute an initiative developed from the survey results with employee focus group, Union, and Management feedback.

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

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 healthcare services delivery, 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

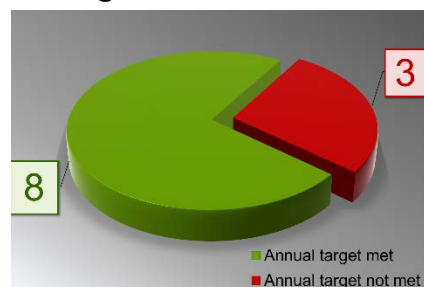




Figure 5: A snapshot of Strategic Goal 2 performance measures (11 total)

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.

Table 2

Strategic Objective (SO) / Key Performance Measure (KM)	Actuals / Trend line					2019 Target	
SO 2.1 Improve identification and assessment of hazards to consumers							
2019KM2.1.01 Percentage of consumer product-related incident reports warranting follow-up actions	2015	2016	2017	2018	2019	2019 Target	Target met?
	--	--	25%	26%	23%	25%	✘
							
2019KM2.1.02 Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards	2015	2016	2017	2018	2019	2019 Target	Target met?
	10	11	11	10	11	11	✔
							

Strategic Objective (SO) / Key Performance Measure (KM)	Actuals / Trend line					2019 Target	
SO 2.1 (continued)							
2019KM2.1.03 Percentage of consumer product-related injury cases correctly captured at NEISS hospitals	2015	2016	2017	2018	2019	2019 Target	Target met?
	91.6%	91%	92.4%	93%	89.5%	90%	✗
2019KM2.1.04 Number of collaborations established or maintained with other organizations to work on nanotechnology research or issues affecting consumer products	2015	2016	2017	2018	2019	2019 Target	Target met?
	--	--	7	9	6	3	✓
SO 2.2 Lead efforts to improve the safety of consumer products before they reach the marketplace							
2019KM2.2.01 Number of voluntary standards activities in which CPSC staff actively participates	2015	2016	2017	2018	2019	2019 Target	Target met?
	81	71	76	77	74	74	✓
2019KM2.2.02 Number of candidates for rulemaking prepared for Commission consideration	2015	2016	2017	2018	2019	2019 Target	Target met?
	20	10	18	19	14 ⁴	12	✓
2019KM2.2.07 Percentage of firms that are engaged with timely establishment inspection after being identified as a repeat offender	2015	2016	2017	2018	2019	2019 Target	Target met?
	--	--	--	73%	90%	75%	✓
SO 2.3 Increase capability to identify and stop imported hazardous consumer products							
2019KM2.3.01 Percentage of consumer product imports, identified as high-risk, examined at import	2015	2016	2017	2018	2019	2019 Target	Target met?
	--	--	88.5%	89%	86%	80%	✓
2019KM2.3.02 Percentage of import shipments processed through the Risk Assessment Methodology (RAM) system that are cleared within one business day	2015	2016	2017	2018	2019	2019 Target	Target met?
	99.6%	99.8%	99.8%	99.8%	99.8%	99%	✓
2019KM2.3.03 Percentage of consumer product import entries that are risk-scored by the CPSC	2015	2016	2017	2018	2019	2019 Target	Target met?
	--	--	4.2%	3.0%	3.4%	4%	✗
2019KM2.3.04 Number of import examinations completed	2015	2016	2017	2018	2019	2019 Target	Target met?
	35,122	36,523	38,726	41,117	39,010	32,000	✓

⁴ In FY 2019, CPSC staff prepared 14 rulemaking packages for Commission consideration—7 were from the original 12 planned candidates for rulemaking and the other 7 were in response to emerging requirements. The remaining 5 planned rulemaking candidates that were not completed in FY 2019 are: NPR-Crib Mattresses, NPR-Adjudicative Rules, DFR-F963 Toys, FR-Freedom of Information Act Fee Update, and DFR-Lab Accreditation IBR Update.

FY 2019 Results

The CPSC exceeded targets for eight of the 11 key performance measures under Strategic Goal 2. Selected FY 2019 achievements under Strategic Goal 2 include:

- Implemented best practices for the Internet of Things⁵ (IoT) and initiated an Interagency Working Group on Consumer Product Safety of Internet-Connected Products.
- Screened 39,010 different imported consumer products at U.S. ports of entry.
- Collaborated with the U.S. Embassy in Mexico City to provide information about U.S. textile flammability requirements to the Procuraduría Federal del Consumidor (PROFECO), Mexico's consumer protection federal agency. The shared information would inform work on PROFECO's technical regulation related to fire-retardant treatment for textiles and mattresses.
- Actively participated in 74 voluntary standards activities, collaborating with industry leaders, consumer advocates, and other stakeholders to improve consensus voluntary standards across a wide range of consumer products.
- Concluded the "Early Consultation Initiative" with the North American Product Safety Agencies, a trilateral, multiyear effort that resulted in development of consensus recommendations to improve test methods for ensuring the safety of alternating current chargers and universal serial bus (USB) chargers. This collaboration represents the first example of a joint consumer product safety standard effort by multiple governments that are not members of the same administrative region.

The agency did not meet FY 2019 targets for three of the 11 key performance measures under Strategic Goal 2:

- **Key Measure 2.1.01**—Percentage of consumer product-related incident reports warranting follow-up actions: The CPSC did not meet the target, due to staffing shortages, the 5-week government shutdown, and ongoing changes of the CPSC's Integrated Product Teams (IPTs). This measure is being reevaluated due to the changes in the IPTs.
- **Key Measure 2.1.03**—Percentage of consumer product-related injury cases correctly captured at NEISS hospitals: The CPSC monitors 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. The Coder's Conference planned for FY 2019 did not take place, due to the government shutdown; and, as a result, the coders were not provided with timely feedback from CPSC. Several hospitals that were very large or relatively new to the CPSC's NEISS sample had identified issues with the CPSC-conducted evaluations. To boost future performance, the CPSC will continue working with hospitals to help improve their capture rate.
- **Key Measure 2.3.03**—Percentage of consumer product import entries that are risk-scored by the CPSC: The CPSC did not meet the target. The result of this key measure is calculated by dividing the total number of import entry lines that are risk-scored by the total number of entry summary lines received. Fluctuating import volume under the CPSC's jurisdiction is outside of the agency's control, and the fluctuation greatly affects this measure's denominator. The CPSC has discontinued this performance measure in FY 2020.

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

⁵ 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. For more information on CPSC's FY 2019 efforts on IoT, please visit: www.cpsc.gov/About-CPSC/ann-marie-buerkle/Speeches/acting-chairman-ann-marie-buerkle-prepared-remarks-for-the.

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 Hotline (1-800-638-2772), 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 e-commerce, such as the prevalence of online sellers or other direct manufacturer-to-consumer marketing, as well as sales through third party platform providers;
- Working within a global supply chain, which creates complex monitoring challenges;
- Collecting, integrating, and analyzing data to identify high-risk hazards for appropriate action;
- Advancing agency data-sharing through use of an integrated, enterprise-wide approach; and
- Improving the monitoring and effectiveness of consumer product recalls.

Strategies

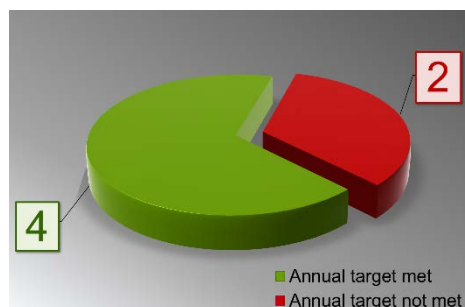




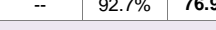

Figure 6: A snapshot of Strategic Goal 3 performance measures (6 total)

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					2019 Target	
SO 3.1 Rapidly identify hazardous consumer products for enforcement action								
2019KM3.1.01 Percentage of cases for which a preliminary determination is made within 85 business days of the case opening	2015	2016	2017	2018	2019	2019 Target	Target met?	
	--	--	74%	75%	12.5%	65%	✗	
2019KM3.1.02 Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection	2015	2016	2017	2018	2019	2019 Target	Target met?	
	--	--	87%	88.8%	85.1%	85%	✓	

Table 3 (continued)

Strategic Objective (SO) / Key Performance Measure (KM)		Actuals / Trend line					2019 Target	
SO 3.2 Minimize further exposure to hazardous consumer products								
2019KM3.2.02 Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection	2015	2016	2017	2018	2019	2019 Target	Target met?	
	--	--	86%	87.2%	85.5%	85%	✓	
								
2019KM3.2.03 Percentage of Fast-Track cases with corrective actions initiated within 20 business days	2015	2016	2017	2018	2019	2019 Target	Target met?	
	97.3%	99.1%	98%	95.9%	97.4%	90%	✓	
								
2019KM3.2.04 Percentage of cases for which a corrective action is accepted within 90 business days of preliminary determination	2015	2016	2017	2018	2019	2019 Target	Target met?	
	--	--	--	92.7%	76.9%	60%	✓	
								
SO 3.3 Improve consumer response to consumer product recalls								
2019KM3.3.01 Recall effectiveness rate for all consumer product recalls	2015	2016	2017	2018	2019	2019 Target	Target met?	
	--	--	41%	17.4%	21.4%	25%	✗	
								

FY 2019 Results

The CPSC exceeded FY 2019 targets for four of the six key performance measures under Strategic Goal 3. Selected FY 2019 achievements under Strategic Goal 3 include:

- Completed 1,410 establishment inspections of firms for compliance with CPSC's laws and regulations;
- Worked with firms to conduct 259 voluntary recalls, involving approximately 20 million units;
- Contacted approximately 5,900 Internet firms and individuals who were offering for sale banned or previously recalled consumer products via Internet websites, preventing approximately 12,000 recalled or banned product units from being re-sold;
- Sent 1,368 notices of noncompliance, and negotiated 246 corrective action plans (CAPs) to address hazardous consumer products; and
- Awarded approximately \$1.0 million in *Pool Safely* grants to provide assistance for enforcement, training, and education on pool safety requirements to save lives and prevent serious injuries associated with drownings and drain entrapments.

The agency did not meet FY 2019 targets for two of the six performance measures 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: This measure was negatively affected by the 5-week government shutdown that furloughed most CPSC employees. In addition, the CPSC's Office of Compliance and Field Operations reorganized functions in FY 2019, resulting in a higher vacancy rate and fewer available resources to perform work under this key measure. The CPSC will evaluate this measure in FY 2020, make process improvements, and potentially revise the measure.
- Key Measure 3.3.01**—Recall effectiveness rate for all consumer product recalls: The CPSC did not meet the target because of the volatility in the recall rates, which are highly dependent upon the type of product and number of units involved in the recall.

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 of consumer products that pose unreasonable risks of injury and death.



Strategies

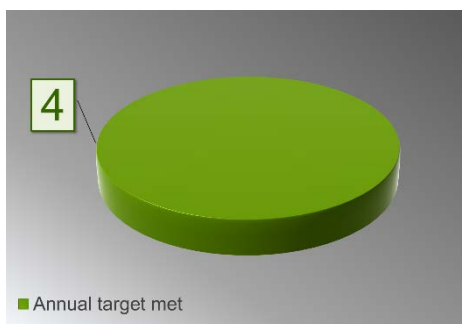
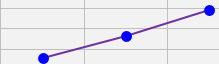
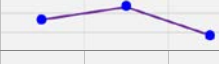




Figure 7: A snapshot of Strategic Goal 4 performance measures (4 total)

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			2019 Target			
SO 4.1 Improve usefulness and availability of consumer product safety information									
2019KM4.1.02 Number of engagements with CPSC safety messaging on social media channels by stakeholders (in thousands)			2015	2016	2017	2018	2019	2019 Target	Target met?
			--	--	285	831	1,468		
									
SO 4.2 Increase dissemination of useful consumer product safety information									
2019KM4.2.01 Number of impressions of CPSC safety messages (in millions)			2015	2016	2017	2018	2019	2019 Target	Target met?
			--	--	6,314.8	7,597.8	4,689		
									
2019KM4.2.02 Average number of business days between establishment of first draft and issuance of recall press release for the timeliest 90% of recall press releases			2015	2016	2017	2018	2019	2019 Target	Target met?
			16	17.8	17.5	17.3	17.8		
									
SO 4.3 Increase and enhance collaboration with stakeholders									
2019KM4.3.01 Number of collaboration activities initiated with stakeholder groups			2015	2016	2017	2018	2019	2019 Target	Target met?
			--	--	28	47	93		
									

FY 2019 Results

The CPSC exceeded FY 2019 targets for all four key performance measures under Strategic Goal 4. Selected FY 2019 achievements under Strategic Goal 4 include:

- Increased the number of engagements by consumers and others with CPSC's social media messages on CPSC's Twitter (@USCPSC), Facebook, and Instagram accounts by approximately 77 percent, from 831,000 in FY 2018 to 1.47 million in FY 2019.
- Improved CPSC's "Regulatory Robot," an interactive resource to help small businesses identify important product safety requirements applicable to their products. In FY 2019, the Robot's functionality was improved for users navigating in English and six foreign languages - Chinese (simplified), Chinese (traditional), Spanish, Vietnamese, Bahasa Indonesian, and Korean.
- Conducted collaborative training in Chicago, IL, on CPSC's product safety requirements and the processing of imports at U.S. ports of entry. Trainees included customs brokers, importers, manufacturers, and safety professionals, and other stakeholders. The CPSC training included hands-on demonstrations of how products are screened when they enter the United States, and attendees were able to speak directly with port investigators.
- Produced a new Anchor It! public service announcement in the form of a 30-second education video, titled, "Anchored. Safe and Sound," which demonstrates to parents and caregivers that they can prevent tip-over injuries or deaths by taking low-cost steps to anchor TVs, furniture, and appliances to walls and floors.

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

Agency Priorities & Management Challenges

Agency Priority: Focus on Risk

The CPSC will prioritize its resources on the products with the highest consumer product safety risks. The CPSC will accomplish this by using data to guide decisions and policy; working with standards development organizations to develop voluntary standards; assessing mandatory standard-setting activities; and revisiting the efficacy of existing regulations, when necessary. To advance data-based decision-making, the CPSC will invest in analytical tools and technology and expand its data sources.

Agency Priority: Import Surveillance

The CPSC will continue to support import surveillance by operating, maintaining, and developing the Risk Assessment Methodology (RAM) system to identify and stop noncompliant imported products from entering the U.S. marketplace. The CPSC will accomplish this by allocating and expanding full-time staff to conduct inspections and clear compliant cargo quickly at the highest-volume ports of entry, and by analyzing the ways in which e-commerce is evolving the global supply chain.

Agency Priority: Collaboration, Education, and Outreach

The CPSC will emphasize collaboration, education, and outreach by engaging all stakeholders through forums, advisory groups, seminars, webinars, technical stakeholder-to-government discussions,

and workshops. In addition, the CPSC will continue to emphasize and expand the work of the agency's Small Business Ombudsman (SBO), use information and insight gained from workshops (*e.g.*, Internet of Things [IoT]), proactively engage industry and international stakeholders at all levels, and provide information and education to consumers to enable informed decision-making. The CPSC will collaborate with other federal agencies and industry through research and sharing data to leverage the broader stakeholder community to advance consumer product safety.

Agency Priority: Data-Driven

The CPSC will seek to expand the utility of its data assets, data analysis tools, sources, and types of analysis used to identify and assess hazards and inform solutions to address them. The CPSC will accomplish this by augmenting analytical and trend-assessment protocols and pursuing an integrated data management and analytics strategy. These efforts will expand and improve the CPSC's capabilities to identify and analyze emerging hazards and reinforce the data-driven nature of the agency's work.

Management Challenges

Management challenges identified by the CPSC's Inspector General are detailed on pp. 60–68 of the *FY 2019 Agency Financial Report* (AFR), which can be found at: www.cpsc.gov/about-cpsc/agency-reports/performance-and-budget.

Cross-Agency Collaboration

Collaboration with GSA on Enterprise Data Analytics Strategy

The CPSC has an extremely wide jurisdictional scope, encompassing roughly 15,000 categories of consumer products found in homes, stores, schools, and recreational settings. As such, the agency collects and analyzes large volumes of structured and unstructured data from a wide variety of sources, including hospitals, consumer incident reports, businesses, other federal agencies, among others. As the volume and sources of data expand, the CPSC's limited resources have become inadequate to maintain the advanced capability necessary to analyze such large and varied amounts of data. This limitation impedes the agency's ability to effectively identifying or assessing hazard patterns and prevent harm from reaching consumers. In FY 2019, the CPSC established an Interagency Agreement (IAA) with the General Services Administration's (GSA) IT Modernization Centers of Excellence (CoE) to formulate a multiyear Enterprise Data Analytics Strategy (EDAS), which provides the basis for structured incremental improvements to enable the CPSC to extract maximum value from its large amounts of mission-facing data. The CPSC plans to utilize enterprise data analytics tools to amplify the CPSC's analytics capability and effectiveness in preventing harm from reaching consumers.

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's 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.⁶

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 2019 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 System⁷ (WISQARS),TM 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).⁸
- **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) 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 port investigators who are stationed at U.S. ports of entry to identify and interdict noncompliant consumer products and prevent them from entering the United States; the CPSC investigators are co-located with CBP officers at the ports. In addition, the CPSC collaborates with CBP at the Commercial Targeting and Analysis Center (CTAC), which serves as a central location

⁶ To access NEISS data, please visit: www.cpsc.gov/en/research-statistics/NEISS-injury-data

⁷ www.cdc.gov/injury/wisqars/index.html

⁸ www.cdc.gov/wisards/workrisqs

for coordinating import safety targeting efforts with CBP in support of agency enforcement plans.

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 2019, the CPSC collaborated with other federal agencies, foreign governments, and a wide range of stakeholders to address the safety of Internet-connected products, including:

- Initiating an Interagency Working Group on Consumer Product Safety of Internet-Connected Products. Participating agencies included the National Cybersecurity Center of 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;
- Participating on IoT panels at the UL's Consumer Advisory Council, Consumer Federation of America's Consumer Assembly, NIST's Core Cybersecurity Capabilities Workshop, and the DHS Cybersecurity and Infrastructure Security Agency's (CISA) 2019 CISA National Cybersecurity Summit;
- Establishing an IAA with NIST's NCCoE on workforce development.

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 \$27 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. The CPSC's collaborative activities with the NNI have produced more than 50 reports and publications, in addition to voluntary standards resulting from CPSC-funded research that addresses nanomaterial hazards in consumer products and the Nano Prioritization Tool. The Nano Prioritization Tool is now included in the Organisation for Economic Co-operation and Development's (OECD) program for use in assessing exposure to manufactured nanomaterials.

- **Collaboration 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) and NIOSH to study potential health hazards associated with nanomaterials in 3-D printing filaments. Additionally, in FY 2019, the CPSC expanded its collaborative research efforts on 3-D printing by establishing an IAA with NIST.
- **Quantifying Exposure to Engineered Nanomaterials in Manufactured Products:** In FY 2019, the CPSC and the NNI sponsored the second Quantifying Exposure to Engineered Nanomaterials in Manufactured Products (QEEN II) workshop.⁹ The workshop highlighted new research on the tools and methods available to characterize and quantify effective population exposures and the presence and release potential of nanomaterials. The QEEN II workshop addressed the progress made since the first QEEN workshop¹⁰ in July 2015. The growth of emerging technologies, including 3-D printing, additive manufacturing, and other advanced manufacturing technologies and the use of nanotechnology in these processes, were also addressed as areas of continued interest within the Nano Environmental Health and

⁹ www.nano.gov/qeen2

¹⁰ www.nano.gov/node/1327

Safety (NanoEHS) exposure and toxicology communities.

For more information on the CPSC's FY 2019 collaboration with other federal agencies on nanotechnology, please visit:
www.nano.gov/sites/default/files/CPSC-2019-NNI-progress-plans.pdf.

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);
- National Toxicology Program (NTP), run 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)
- National Cancer Advisory Board (NCAB), run by the National Cancer Institute; and
- NNI's Nanotechnology Environmental and Health Implications (NEHI) Working Group.

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 2019:

- **Financial Management and Acquisition:** In FY 2019, the CPSC transitioned its financial management systems and services to the Department of Treasury's Administrative Resource Center (ARC) within the Bureau of the Fiscal Service, and ended its shared services

agreement with the Department of Transportation (DOT). In switching to the new provider, the agency retired the legacy contracting system, implemented electronic invoicing, and integrated budget, accounting, and procurement data across core systems and reports. The CPSC expects this new, shared-services agreement to result in cost savings totaling more than \$3 million over 5 years.

- **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 Denali Commission to manage CPSC's *Pool Safely* Grant Program¹¹ (PSGP), in accordance with the Virginia Graeme Baker Pool and Spa Safety Act (VGB Act).
- **Information Systems Security Line of Business (ISSLoB) Services:** Provided by the U.S. Department of Justice (DOJ) (one of OMB's designated Shared Services Centers [SSC] for ISSLoB Certification and Accreditation [C&A] services). The CPSC procures the services as part of its continued implementation of OMB's 2005 ISSLoB initiative.
- **Security Assessment and Authorization (SA&A) Services:** Provided by the DOI for the CPSC's information systems, as part of CPSC's compliance with the Federal Information Security Management Act (FISMA).
- **Federal Docket Management System (FDMS):** Provided by the EPA 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, 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.

¹¹ www.poolsafely.gov/about-us/grants-vgbfy18

Evaluation and Research

Key Performance Measures

The CPSC has identified a core set of 25 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 2019 evaluation and research efforts include:

Enterprise Data Analytics: In FY 2019, the CPSC partnered with the GSA's IT Modernization Centers of Excellence (CoE) to formulate a multi-year Enterprise Data Analytics Strategy (EDAS) to expand CPSC's analytics capability (see p. 17 for information on the Interagency Agreement with GSA). Accordingly, the CPSC is pursuing a pilot initiative to test and evaluate a limited number of Use Cases employing advanced analytics tools (*e.g.*, machine learning, an analytics functionality that replicates human decision-making, analysis, and processing, to identify serious incidents that require action). The pilot will inform and refine the agency's EDAS for the next few years.

- **Use Cases Pilot Initiative:** In FY 2019, as part of the Use Cases pilot initiative for the EDAS, the CPSC funded its first Use Case — "Use Case 1 – Data Analytics Implementation." One type of incident data the agency collects is CPSC's retailer data, which is incident data

retailers submit voluntarily through the CPSC's Retailer Reporting Program. Agency staff then processes the retailer data by manually assigning the product code of the potentially harmful product to the retailer incident data. However, it is likely that the volume of the incoming retailer data will increase in the near future, and, should that occur, the manual process would not be scalable. Use Case 1 will establish a framework to automate the process of assigning product code to the retailer data. Furthermore, Use Case 1 will help standardize CPSC's coding taxonomy by using machine learning to accurately code those potentially harmful products into the coding taxonomy. In addition, Use Case 1 will help depict the severity of injury, by analyzing or translating a narrative text description of the harmful product. Use Case 1 is expected to be completed in FY 2020, and its results will inform and refine the CPSC's EDAS and other potential Use Cases.

E-commerce: 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 an e-commerce platform.¹² The CPSC's import surveillance operational structure has been organized to scan for high-value shipments that arrive at traditional 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. Given the agency's operational structure, it is extremely challenging for the CPSC to keep pace with the rise of e-commerce, which has led to a significant increase in volume of low-value, potentially non-compliant or hazardous shipments of foreign-manufactured products that are shipped directly to consumers.

- **E-commerce Study:** With the aim of developing a longer-term vision for more effective identification, enforcement, and deterrence of trade violations in the e-commerce environment, the CPSC initiated an E-commerce Study in FY 2018, to assess its

current capabilities in addressing e-commerce shipments arriving at U.S. ports. In addition, the study would help the CPSC estimate the expected volume and location of where those shipments would arrive in the next 5 years. The agency successfully completed its E-commerce Study¹³ in FY 2019. Results from the study will directly inform the E-commerce Concept of Operations.

- **E-commerce Concept of Operations (CONOPS):** Funded in FY 2019, the CONOPS is a 5-year plan that will serve as a roadmap for the CPSC in determining implementation of various resources for addressing e-commerce risks. The CPSC expects the implementation of the CONOPS to significantly improve the agency's ability to identify potentially noncompliant and dangerous e-commerce shipments and stop those shipments from reaching consumers.

Business Process Review: The marketplace for consumer products under CPSC's jurisdiction has been evolving and influenced by societal and technological trends, such as expansion of the digital marketplace, along with new types of hazards that consumers are being exposed to daily. The CPSC needs to adapt its compliance and enforcement operations to keep pace with the evolving marketplace. In FY 2019, the CPSC funded a Business Process Review (BPR) to modernize the agency's compliance business processes. The BPR involves assessment of CPSC's current compliance business processes and key capabilities of existing data systems that support those processes. Upon completion of the BPR work, scheduled for FY 2020, the agency will have identified recommendations for: (1) opportunities for maximizing efficiencies in those compliance business processes; and (2) key data system capabilities that will support the updated or improved business processes. The BPR is the first step in what is the CPSC envisions as a multi-project and multi-year effort to modernize the agency's compliance and enforcement business work streams and essential data system capabilities to support those work streams.

¹² 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/CBP-E-Commerce-Strategic-Plan_0.pdf

¹³ A detailed report on the E-commerce Study can be found at:

www.cpsc.gov/s3fs-public/CPSC%20E-Commerce%20Assessment%20Report.pdf?B.5pu7oFYPRJsokNiHygmRyZVo0tpPmE

Tipovers: Tipovers are a significant hidden hazard in the home. The annual average number of injuries associated with tipovers is more than 27,000.¹⁴ Since year 2000, there have been more than 550 fatalities associated with tipovers; tragically, 83 percent of those fatalities involved children.¹⁵

- **Furniture Tipover Consumer Research:**¹⁶ To help address tipover hazards, in FY 2019, the CPSC initiated a study on furniture tipover and consumer behavior. The purpose of the study is to gather information from participants regarding their perceptions or interactions with clothing storage units and associated warning information and the factors that influence their decisions on product selection and use. Findings from the study will help inform discussions with stakeholders on the definition for “clothing storage units” and warning label conspicuity and content.
- **Child Strength Study:** Tipovers, among some other incidents that result in injury or death of children, occur when the child has sufficient physical strength to interact with or modify an otherwise safe object and leads to an injury or the death of the child. Initiated in FY 2018, the agency’s multiyear Child Strength Study will update and expand CPSC’s current data on strength of children ages 0 to 5 years old. The study is expected to be completed in FY 2023.

Infant Sleep Environment—Consumer Awareness of and Engagement with Warning Labels: According to the CPSC’s 2017 Nursery Product Annual Report,¹⁷ the agency received reports of a total of 284 fatalities associated with nursery products from the 3-year period of 2012–2014. Of those 284 fatalities, sleep products account for nearly three-quarters of the fatalities. To address this hazard, in FY 2019, the CPSC funded a study on consumer awareness of warning labels and public messages about infant sleep environment. The study will involve in-depth interviews with caregivers of infants less than 1 year old, and the study will seek to understand the gap between consumers’ understanding of product

warning labels and their attention or response to those labels. Based on CPSC’s current data, it can be typical of an infant to sleep in many different products (e.g., crib, playpen, bassinet, inclined sleeper); however, not all of those sleep products are safe for infant sleep. Additionally, new sleep products are frequently introduced into the market that, if used incorrectly, may put an infant at risk of injury and death. Findings from the study will help inform the agency’s work on safety standards for infant sleep products and other children’s products under CPSC’s jurisdiction.

Human Factors-Related Research: The CPSC strives to improve the quality and specificity of hazard information and improve analytic capabilities. When appropriate, the CPSC conducts research on how consumers actually use or interact with specific products, to help understand exposure to safety hazards. Information from these research efforts, which can include consumer surveys, contributes to work on development of product safety standards.

- **Playground Surfacing National Survey:** An example of CPSC’s human factors-related research is a national survey to learn more about young children’s potential exposure to chemical and mechanical safety hazards on playgrounds with surfacing material made from recycled tires. This research project had been under way since FY 2017 and was completed in FY 2019. It supports the federal interagency research effort *Federal Research Action Plan on Recycled Tire Crumb Used on Playing Fields and Playgrounds* (FRAP). Findings from the survey provide information on children’s use patterns on playgrounds (i.e., frequency and duration of visits), parents’ or caregivers’ observations of children’s behaviors and activities on playgrounds, and other exposure factors such as clothing and hygiene habits at playgrounds. The survey also includes information on seasonal and regional variations of those exposure factors. Survey results will be used, along with biomonitoring information collected by other agencies, when

¹⁴ According to CPSC’s National Electronic Injury Surveillance System’s (NEISS) data, the annual average number of emergency department-treated injuries from years 2016 to 2018 is 27,100.

¹⁵ Between 2000 and 2018, the CPSC received 556 reports of tipover-related fatalities. Of the 556 reported fatalities, 459 (83%) involved children of ages 1 month to 14 years.

¹⁶ The Furniture Tipover Consumer Research focuses on furniture tipovers, which are one of the three categories of tipovers being studied by the CPSC. The agency publishes annual tipover reports that contain

information on injuries and fatalities associated with furniture, television, and appliance product instability or tipover incidents. For more information, please see the agency’s 2019 tipover report at: www.cpsc.gov/s3fs-public/2019_Tip_Over_Report_0.pdf?kk87NU139Jb5NiMYAF.15ppcG4z0K66s

¹⁷ www.cpsc.gov/s3fs-public/Nursery-Products-Annual-Report-2017_0.pdf

it becomes available, to develop chemical exposure models of children using playgrounds that have surfaces made from recycled tires. The exposure models will be combined with chemical hazard information (*i.e.*, toxicity and potency) for use in future risk assessments of the potential human health impact from chemicals in recycled tire crumb rubber. The report of the playground survey results is available to the public on the CPSC website.¹⁸

Chemical Hazards-Related Research:

The CPSC conducts research on toxicity, human exposure, and health risks of the thousands of chemicals found in consumer products. In FY 2019, the agency's research on chemical hazards resulted in 11 publications and 17 presentations at scientific conferences.

- **Phthalates Alternatives:** In FY 2019, the CPSC established agreements with the University of Cincinnati to conduct toxicological reviews of 16 phthalates. So that other scientists can access the information, the 16 toxicological review reports are posted as technical reports on the CPSC public website.¹⁹ Results from the toxicological reviews would serve as a first step in evaluating potential risks associated with the chemical compounds being used by industry as alternatives to regulated phthalates.
- **Organohalogen Flame Retardants:** In May 2019, the National Academy of Sciences (NAS) publicly released a report on a scoping plan to assess organohalogen flame retardants (OFRs) as a class of chemicals considered as potential chronic health hazards (including cancer, birth defects, and gene mutations) under the Federal Hazardous Substance Act (FHSA). The National Academies Press published the final report in July 2019.²⁰ Because the CPSC sponsors the scoping plan, in July 2019, the Chairman of the NAS's OFR Committee briefed the Commission and also met with CPSC staff. The strategy for implementing the scoping plan was initiated in FY 2019, and will continue in FY 2020.
- **Alternative Toxicological Methods:** In FY 2019, the CPSC collaborated extensively with the

Interagency Coordinating Committee for the Validation of Alternative Methods (ICCVAM). The CPSC's FY 2019 collaborative work includes:

- Continuing participation as members of numerous working groups for the ICCVAM;
- Participating in the new ICCVAM working group on Nanotechnology;
- Continuing working 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 developed a testing protocol for the EASA assay and presented a poster that summarizes the testing protocol at the Society for Toxicology's 2019 annual meeting and to the American Society of Cellular and Computational Toxicology.
- Reviewed numerous documents for ICCVAM, such as testing procedures, guidance documents and OECD Test Guidelines Programme²¹ documents.

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, among others.

¹⁸ www.cpsc.gov/s3fs-public/Final-Report_Playground-Surfacing-Survey-with-Appendices-and-Cleared-Staff-Statement-Cover-Page.pdf?sqzSSGJkODbKEHhYnJrP8eDpKRWKBS

¹⁹ The reports can be found at: www.cpsc.gov/Research--Statistics/Technical-Reports/phthalates-and-other-plasticizers.

²⁰ The report can be found at: www.nap.edu/catalog/25412/a-class-approach-to-hazard-assessment-of-organohalogen-flame-retardants.

²¹ www.oecd.org/chemicalsafety/testing/oecd-guidelines-testing-chemicals-related-documents.htm

Appendix A

CPSC Performance: Verification & Validation of Performance Data

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 responsible for reporting key measures certify that procedures for ensuring performance data quality have been followed, and that the reported results are reasonably complete, accurate, and reliable.
- (4) In addition to the self-assessments and certification statements completed by functional components, year-end results for key performance measures are reviewed by the

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 2019, EXFM independently assessed 12 key performance measures out of 25 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 statements of assurance (SoA) on the operating effectiveness of general- and program-level internal controls for their areas of responsibility. Those SoA 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 2019 Performance Measures

In accordance with OMB Circular No. A-11 guidance, this section of the FY 2019 APR summarizes changes to FY 2019 performance measures that occurred between the publication of the FY 2019 Performance Budget Request (PBR) (published February 2018) and this document, the FY 2019 APR (February 2020). Changes to the performance measures resulted from the enactment of the CPSC's FY 2019 annual appropriations and implementation of the CPSC's FY 2019 Operating Plan (published October 2018).

In the table below, the left-most column indicates whether the FY 2019 measure was discontinued, revised, or replaced after the FY 2019 PBR publication. For revised measures, the table presents changes made to the performance measure's statement and/or annual target. For replaced measures, the table presents changes from the original performance measure (as reported in the FY 2019 PBR) to the replacement measure (as reported in this document) for the following attributes, as are relevant: measure ID, performance measure statement, and annual target.

FY 2019 Measure Status	Measure ID	FY 2019 Performance Measure Statement (from FY 2019 PBR to FY 2019 APR)	FY 2019 Target	
			FY 2019 PBR	FY 2019 APR
Revised	2019KM1.1.02	Percentage of full-time equivalents (FTEs) utilized	95%	96%
Revised	2019KM2.2.01	Number of voluntary standards activities in which CPSC staff actively participates	71	74
Revised	2018KM2.2.02	Number of candidates for rulemaking prepared for Commission consideration	10	12
Replaced	2019KM2.2.03	<u>PBR</u> : Violation rate of targeted repeat offenders		
	2019KM2.2.07	<u>APR (replacement)</u> : Percentage of firms that are engaged with timely establishment inspection after being identified as a repeat offender	TBD	75% ²²
Revised	2019KM3.1.01	Percentage of cases for which a preliminary determination is made within 85 business days of the case opening	70%	65%
Discontinued	2019KM4.1.01	Percentage of positive responses about usefulness of information received from CPSC communication channels	85%	Discontinued
Revised	2019KM4.1.02	Number of engagement with CPSC safety messaging on social media channels by stakeholders (in thousands)	300	320
Revised	2019KM4.2.01	Number of impressions of CPSC safety messages (in millions)	5,900	4,000
Revised	2019KM4.3.01	Number of collaboration activities initiated with stakeholder groups	35	28

²² The CPSC started collecting baseline data for Key Measure 2.2.07 in FY 2018, and established FY 2019 target of 75% in the FY 2020 PBR (approved March 2019).

Appendix C

Detailed Information on FY 2019 Performance Measures

This section presents detailed information on the 25 key performance measures for FY 2019. The CPSC's FY 2019 Operating Plan includes FY 2019 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
Control ID	A unique identifier assigned to each performance measure. <ul style="list-style-type: none">Note: 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 & Validation (V&V) of performance data, refer to Appendix A on p. 24.
Program	The CPSC's functional component that is responsible for the performance measure.
Strategic Goal	The strategic goal from the CPSC's Strategic Plan associated with the performance measure.
Strategic Objective	The strategic objective from the CPSC's Strategic Plan associated with the performance measure.
Performance Measure Statement	A measurable value that indicates the state or level of the targeted result.
Definition of Performance Measure	A clear description of the indicator, with enough specificity that different individuals can collect and report the same information for the measure.
Rationale for Performance Measure	A description of why the performance measure was selected; how it tracks progress toward the associated strategic objective; and how the information will be useful for management.
2015–2019 Actuals; Target met?	FY 2019 target and historical actual values for the performance measure and indication of whether the FY 2019 target was met.

Name of Data Field	Description
Analysis	<p>This field may include:</p> <ul style="list-style-type: none"> • An explanation of how progress toward meeting the annual target for this performance measure contributes to progress toward meeting the strategic objective; • Annual target: <ul style="list-style-type: none"> ◦ If the FY 2019 target was met, a description of the key elements that contributed to success in meeting the target ◦ If the FY 2019 target was not met, a description of the issues/obstacles that impeded success in meeting the target ◦ If data for FY 2019 result are not available, the reason(s) for the unavailability, and the expected date that the data will become available; and • Discussion of the trend result: positive, negative, or steady; expectations for trend over time.
Plan(s) for Improving Performance	<p>If applicable, a description of action(s) to be implemented to improve performance in future years.</p>
Data Source	<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>
Data Collection Method and Computation	<p>Detailed description of the collection and computation method, so that it can be replicated consistently over time, and by different personnel.</p>
Data Limitations and Implications of the Reported Results	<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			
2019KM1.1.02			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.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
--	--	--	97%	98%	96%	✓
Analysis						
The FY 2019 result was 98%, an increase from the FY 2018 result of 97% and exceeding the FY 2019 target of 96%.						
Plan(s) for Improving Performance						
The agency plans to continue efforts for strategic workforce planning to maintain the FTE utilization rate.						
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						
Calculate the average of: Each quarter's total on-board FTEs (from quarterly 113G report) divided by CPSC's authorized FTE ceiling for the fiscal year						
Data Limitations and Implications of the Reported Results						
The calculation method for this performance measure assumes the same weight for all FTE units, regardless of the FTE's level of managerial responsibility, expertise, or salary.						

Control ID				Program		
2019KM1.2.01				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 OPM is computed as follows: The number of employees who responded “satisfied” or “highly satisfied,” 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.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
--	--	72.5%	68.1%	65.8%	74%	✗
Analysis						
The target was 74%; the FY 2019 actual result was 65.8%. The CPSC did not meet the target. The agency was impacted by the 5-week government shutdown in FY 2019, and nearly all CPSC employees were furloughed. The lengthy furlough likely affected the Federal Employee Viewpoint Survey (FEVS) responses this year. Although the CPSC did not meet the target, according to other FEVS data, 80.2% of employees agreed that their work unit has the job-relevant knowledge and skills necessary to accomplish organizational goals. The CPSC also made progress by surveying employees on training needs and conducting more than 40 on-site training opportunities. Additionally, 9% of employees participated in the agency Coaching Program, and 23% of employees have Individual Development Plans (IDPs).						
Plan(s) for Improving Performance						
To improve future performance, the agency will: <ul style="list-style-type: none">Request training participants to complete course surveys after each class to solicit input for future trainings.Ensure that every employee has at least one developmental activity identified for FY 2020.						
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 positive responses are calculated by OPM. The positive responses include both the “highly satisfied” and “satisfied” employee responses for Question 1 of the FEVS survey instrument.						
Data Limitations and Implications of the Reported Results						
CPSC employee responses to the FEVS are the source of data for this measure. As such, the data quality for this performance measure depends on the quality of survey responses, as well as the survey response rate (the FY 2019 response rate was 76.6%).						

Control ID				Program		
2019KM1.3.01*				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 recruitment authorities) to all selecting officials at CPSC (all supervisors, managers and executives) during FY 2019. 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 considered.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
--	--	56.1%	82.6%	85.5%	75%	✓
Analysis						
The FY 2019 result was 85.5%, exceeding the annual target of 75%.						
Plan(s) for Improving Performance						
Additional training sessions on recruitment topics will be offered in FY 2020, including interviewing and reference checking. In FY 2019, we measured hiring manager satisfaction to ensure that the training results in higher satisfaction with the applicant lists.						
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 whether the managers were trained. The measure does not capture whether the training is effectively implemented by the managers to improve the quality of recruiting.						

Control ID			Program			
2019KM1.4.01			Human Resources			
Strategic Goal						
Goal 1: Workforce						
Strategic Objective						
1.4: Increase employee engagement						
Performance Measure Statement						
Federal Employee Viewpoint Survey Employee Engagement Index Score						
Definition of Performance Measure						
The FEVS 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 factors: (1) Leaders Lead, (2) Supervisors, and (3) Intrinsic Work Experience. Each factor 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.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
66%	70%	73%	69%	66%	75%	✗
Analysis						
The target was 75%; the FY 2019 actual result was 66%. The CPSC did not meet the target. It is challenging to meet the target for this key measure because the FEVS is a voluntary survey. Specific challenges this year that may have impacted results include the absence of a permanent agency head and the extended furlough just prior to the administration of the survey.						
Plan(s) for Improving Performance						
The agency plans to improve its performance by implementing the President's Management Agenda (PMA) Agency Improvement Plan, focusing on the <i>Leaders Lead</i> portion of the Employee Engagement Index. The agency will execute an initiative developed from the survey results with employee focus group, Union, and Management feedback.						
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						
CPSC employee responses to the FEVS are the source of data for this measure. As such, the data quality for this performance measure depends upon the quality of survey responses, as well as the survey response rate (the FY 2019 response rate was 76.6%).						

Control ID				Program		
2019KM2.1.01				Hazard Identification		
Strategic Goal						
Goal 2: Prevention						
Strategic Objective						
2.1: Improve identification and assessment of hazards to consumers						
Performance Measure Statement						
Percentage of consumer product-related incident reports warranting follow-up actions						
Definition of Performance Measure						
Integrated Product Teams (IPTs), consisted of subject-matter experts from various organizations within CPSC and organized by type of hazard, receive incident reports through the Consumer Product Safety Risk Management System (CPSRMS), and determine whether follow-up actions, such as in-depth investigations or enforcement actions, are warranted.						
Rationale for Performance Measure						
Improved quality and specificity of hazard information included in incident reports makes them more informative and useful. The percentage of incident reports that warrant follow-up actions provides an indication of the extent to which incident reports contain improved information.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
--	--	25%	26%	23%	25%	✗
Analysis						
The FY 2019 actual result was 23%, falling short of the target of 25%. The CPSC did not meet the target. This was due to staffing shortages, the 5-week government shutdown, and ongoing changes of the CPSC's IPTs.						
Plan(s) for Improving Performance						
The CPSC is in the process of reevaluating the IPT data review process to minimize the amount of time the IPTs spend on reviewing incident reports that lack sufficient information. Having more comprehensive incident reports before the IPTs' review will help expedite any warranted follow-up actions.						
Data Source						
CPSRMS						
Data Collection Method and Computation						
Incident reports received through CPSRMS are queried using statistical computer software to compute the proportions of each disposition assigned. Incident reports with the status of either, "Compliance Action" or "Possible Further Action" are tallied and then divided by the total number of incident reports with all statuses.						
Data Limitations and Implications of the Reported Results						
Incidents are reported to the agency by the public, manufacturers, retailers, or other stakeholders. Often, an incident report is not useful or meaningful because it lacks sufficient detail to be informative.						

Control ID				Program		
2019KM2.1.02*				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.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
10	11	11	10	11	11	✓
Analysis						
The FY 2019 actual result was 11 annual reports, meeting the annual target of 11 reports.						
Plan(s) for Improving Performance						
The CPSC plans to work on 11 reports in FY 2020, but some of those reports will cover new or updated product-related hazards or categories, such as e-scooters and off-road vehicles (All-Terrain Vehicles [ATVs], Recreational Off-Highway Vehicles [ROVs], and Utility Task Vehicles [UTVs]).						
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		
2019KM2.1.03*				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.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
91.6%	91%	92.4%	93%	89.5%	90%	✗
Analysis						
The target was 90%; the actual result was 89.5%. The CPSC did not meet the target. The CPSC monitors 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. The Coder's Conference planned for FY 2019 did not take place due to the government shutdown in FY 2019, and, as a result, the coders were not provided with timely feedback from the CPSC. Several hospitals that were very large or relatively new to the CPSC's NEISS sample had identified issues during the CPSC-conducted evaluations.						
Plan(s) for Improving Performance						
To improve future 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 one 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			
2019KM2.1.04*			Hazard Identification			
Strategic Goal						
Goal 2: Prevention						
Strategic Objective						
2.1: Improve identification and assessment of hazards to consumers						
Performance Measure Statement						
Number of collaborations established or maintained with other organizations to work on nanotechnology research or issues affecting consumer products						
Definition of Performance Measure						
A collaboration is defined as a contract, interagency agreement (IAA), or other formal documented agreement with another entity to obtain data for CPSC about nanomaterials in consumer products.						
Rationale for Performance Measure						
Increasing CPSC collaboration with other entities conducting research and obtaining information about nanomaterials in consumer products will leverage available CPSC funding to fill data gaps and to develop tools, which will allow CPSC to assess the risk to consumers of nanomaterials and help CPSC prioritize activities to prevent, reduce, or eliminate the risk of injury or death.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
--	--	7	9	6	3	✓
Analysis						
The CPSC exceeded the FY 2019 target with six collaborations to fill data gaps on likely health effects from exposure to 3-D printer emissions and nanoparticle release from post-fused deposition modeling (FDM) printing, which support identification of hazards so that risk mitigations can be determined.						
Plan(s) for Improving Performance						
This key measure has been discontinued because there is no planned nanotechnology funding for collaborations in FY 2020.						
Data Source						
Procurement Information System for Management (PRISM) – interagency agreements and contracts for nanotechnology						
Data Collection Method and Computation						
Count of the number of PRISM nanotechnology initiatives awarded						
Data Limitations and Implications of the Reported Results						
This performance measure tracks the number of collaborations and does not measure the quality of those collaborations.						

Control ID	Program					
2019KM2.2.01*	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 staff 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 developing organization 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.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
81	71	76	77	74	74	✓
Analysis						
The CPSC met its target by being actively involved in the development of voluntary standards for 74 different products. Twenty-eight new or revised voluntary safety standards were approved in FY 2019. 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 located at: www.cpsc.gov/Regulations-Laws--Standards/Voluntary-Standards .						
Plan(s) for Improving Performance						
With the new Voluntary Standards Specialist onboard, more attention can be given to voluntary standards work progress and to stay on top of the next actions associated with the voluntary standards.						
Data Source						
CPSC Voluntary Standards (VS) database, 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		
2019KM2.2.02*				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.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
20	10	18	19	14	12	✓
Analysis						
The CPSC exceeded the FY 2019 target by completing 14 rulemaking packages. The 7 rulemaking packages from the original 12 planned candidates were: Final Rule (FR)—Consumer Registration Card Rule Updates, Notice of Proposed Rulemaking (NPR)—Crib Bumpers, NPR—Gates and Other Enclosures, FR—Stationary Activity Centers, NPR—Burden Reduction Manufactured Fibers, Direct Final Rule (DFR)—Customs Value for Refillable Cigarette Lighters, and ANPR—Furnances (CO Hazards). The 7 rulemaking packages in response to emerging requirements were: DFRs for Infant Bath Tubs, Pool and Spa, High Chairs, Full-size Cribs, Carriages and Strollers, Infant Bouncer Seats, and Infant Bath Seats. The remaining 5 planned rulemaking candidates not completed in FY 2019 were: NPR-Crib Mattresses, NPR-Adjudicative Rules, DFR-F963 Toys, FR-Freedom of Information Act Fee Update, and DFR-Lab Accreditation IBR Update.						
Plan(s) for Improving Performance						
The CPSC's Office of Hazard Identification & Reduction plans to start work on the rulemaking packages earlier in FY 2020.						
Data Source						
Postings on the CPSC's website: www.cpsc.gov/newsroom/FOIA/commission-briefing-packages .						
Data Collection Method and Computation						
Count the number of rulemaking briefing packages (ANPR, DFR, NPR, and FR) posted to: www.cpsc.gov .						
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			
2019KM2.2.07			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.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
--	--	--	73%	90%	75%	✓
Analysis						
The FY 2019 result was 90%, exceeding the annual target of 75%. This indicates that establishment inspections are an effective tool for coordinating product safety compliance through cooperation by firms.						
Plan(s) for Improving Performance						
N/A						
Data Source						
Data sources: (1) International Trade Data System/Risk Assessment Methodology (ITDS/RAM) Exam Logbook (2) 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">• 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.• Calculate the denominator: Count the total number of firms that were assigned EI cases during the fiscal year.• Divide the numerator by the denominator to yield the actual result.						
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		
2019KM2.3.01*				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.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
--	--	88.5%	89%	86%	80%	✓
Analysis						
The FY 2019 result was 86%, 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 current staffing levels are maintained.						
Data Source						
ITDS/RAM Inbox and Exam Logbook						
Data Collection Method and Computation						
Computation steps: <ul style="list-style-type: none">• Calculate the numerator: Count the total number of targeted entries with logbook exams.• Calculate the denominator: Count the total number of targeted entries from CPSC's Targeting program entered into ITDS/RAM Inbox.• Divide the numerator by the denominator to yield the actual result.						
Data Limitations and Implications of the Reported Results						
Examinations data depend on recording by different personnel at different locations.						

Control ID			Program			
2019KM2.3.02			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 one 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.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
99.6%	99.8%	99.8%	99.8%	99.8%	99%	✓
Analysis						
The CPSC exceeded the FY 2019 target of 99%; the actual result was 99.8% of import shipments cleared within 1 business day. This indicates that the CPSC's import surveillance work is conducted efficiently and compliant imports are released quickly.						
Plan(s) for Improving Performance						
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">• Calculate the numerator: Count the total number of shipments (entry lines) cleared within 1 business day.• Calculate the denominator: Count the total number of shipments (entry lines) processed through the RAM system.• Divide the numerator by the denominator to yield the actual result.						
Data Limitations and Implications of the Reported Results						
No known data limitations.						

Control ID			Program			
2019KM2.3.03*			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 import entries that are risk-scored by the CPSC						
Definition of Performance Measure						
The percentage is computed as the number of import entry lines scored by system rules in the ITDS/RAM system, divided by the number of entry summary lines received.						
Rationale for Performance Measure						
This performance measure tracks addressable consumer product shipments that are risk-scored in the RAM. Entries risk-scored in the RAM are determined by the number of high-risk product areas under CPSC's jurisdiction, as well as design limitations of the RAM system.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
--	--	4.2%	3.0%	3.4%	4%	✗
Analysis						
The target was 4%; the FY 2019 actual result was 3.4%. The CPSC did not meet the FY 2019 target. The result of this key measure is calculated by dividing the total number of import entry lines that are risk-scored, by the total number of entry summary lines received. Fluctuating import volume under the CPSC's jurisdiction is outside of the agency's control, and the fluctuation greatly affects this measure's denominator.						
Plan(s) for Improving Performance						
The agency has discontinued this performance measure in FY 2020. Fluctuating import volume under CPSC's jurisdiction, which is outside the agency's control, greatly affects the denominator.						
Data Source						
ITDS/RAM Inbox metrics and entry summary						
Data Collection Method and Computation						
Divide the total number of import entry lines scored by the total number of entry summary lines received						
Data Limitations and Implications of the Reported Results						
N/A						

Control ID				Program		
2019KM2.3.04				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.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
35,122	36,523	38,726	41,117	39,010	32,000	✓
Analysis						
In FY 2019, the CPSC screened 39,010 imported products, exceeding the annual target of 32,000 screenings.						
Plan(s) for Improving Performance						
The measure reflects CPSC’s capability to examine shipments. The current level of performance depends upon maintaining sufficient import surveillance personnel 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						
The Office of Import Surveillance (EXIS) conducts data quality checks to ensure import exams are recorded in the Import Exam Logbook. Examination data depends on recording by different personnel at different locations.						

Control ID				Program		
2019KM3.1.01				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						
Definition of Performance Measure						
The number of cases for which a preliminary determination (PD) has been made within the fiscal year and it was made within 85 business days of the case opening date, divided by the number of cases for which a PD has been made within the fiscal year. PD is the determination made by a panel of managers regarding whether there is enough evidence to preliminarily determine whether a substantial potential hazard exists. A case opening is when a case is entered into Dynamic Case Management (DCM) System, which then generates a Case Creation date. This measure excludes Fast-Track cases.						
Rationale for Performance Measure						
This performance measure is an indicator of the timeliness of CPSC case work. Making PDs more quickly contributes to the efficiency and speed of recalls for noncompliant and defective products.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
--	--	74%	75%	12.5%	65%	✗
Analysis						
The target was 65%; FY 2019 actual result was 12.5%. The CPSC did not meet the target. This measure was negatively affected by the 5-week government shutdown that furloughed most CPSC employees. In addition, the Office of Compliance and Field Operations (EXC) reorganized functions in FY 2019, resulting in a higher vacancy rate and fewer available resources to perform work under this key measure.						
Plan(s) for Improving Performance						
Effective January 2020, EXC's former Defects Division has been replaced with a new Enforcement and Litigation Division, responsible for substantial product hazard investigations, administrative litigation, and civil penalty work. This new division integrates attorneys at the line and supervisory levels, which will strengthen EXC's ability to efficiently and effectively make analytically sound substantial product hazard determinations. In conjunction with these changes, EXC plans to recommend changing this measure to better reflect effective work on substantial hazard matters, including better accounting for complex cases that may require significantly more time (and resources) before reaching a PD.						
Data Source						
CPSC's Dynamic Case Management (DCM) System						
Data Collection Method and Computation						
Data are collected from DCM on all Compliance Action-initiated cases and non-Fast-Track reported cases that went to PD involving products under hazard categories A, B, or C. These classification categories are based on the severity of the most likely injury resulting from the hazard, and the likelihood that such injury will occur. The number of business days is calculated as the number of business days between the Case Creation Date and the PD Date. See also <i>Definition of Performance Measure</i> field above for the computation of this measure.						
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			
2019KM3.1.02			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						
Definition of Performance Measure						
The number of cases for which a sample is determined to have a regulatory violation within the fiscal year and the determination was made within 35 business days of the date of the sample collection, divided by the number of cases for which a sample is determined to have a regulatory violation within the fiscal year. Samples collected in the field and at the ports are sent to the CPSC's National Product Testing and Evaluation Center (NPTEC) for analysis; and 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.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
--	--	87%	88.8%	85.1%	85%	✓
Analysis						
The FY 2019 actual result was 85.1%, slightly exceeding the target of 85%. Going forward, this measure will exclude fireworks cases due to their unique and lengthy processes.						
Plan(s) for Improving Performance						
The CPSC began work on a Business Process Review (BPR) to modernize its enforcement business processes in FY 2019, and will continue work to develop a business process efficiency plan as well as a technical modernization plan to improve CPSC's ability to enforce consumer product safety requirements in FY 2020.						
Data Source						
CPSC's Integrated Field System (IFS)						
Data Collection Method and Computation						
IFS 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. See also <i>Definition of Performance Measure</i> field above for the computation of this measure.						
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			
2019KM3.2.02*			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						
Definition of Performance Measure						
The number of cases for which a firm was first notified of a violation within the fiscal year and was notified within 40 business days of the date a sample was collected, divided by the number of cases for which a firm was first notified of a violation within the fiscal year. The firm is initially notified of a violation via phone or email, and written confirmation is obtained and the date is entered into IFS under Notify Date. However, if written confirmation is not obtained, the Letter of Advice (LOA) date will serve as the 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.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
--	--	86%	87.2%	85.5%	85%	✓
Analysis						
The FY 2019 actual result was 85.5%, slightly exceeding the target of 85%. Going forward, this measure will exclude fireworks cases due to their unique and lengthy processes.						
Plan(s) for Improving Performance						
The CPSC began work on a Business Process Review (BPR) to modernize its enforcement business processes in FY 2019, and will continue work to develop a business process efficiency plan, as well as a technical modernization plan to improve CPSC's ability to enforce consumer product safety requirements in FY 2020.						
Data Source						
CPSC's Integrated Field System (IFS)						
Data Collection Method and Computation						
IFS tracks the date of sample collection and the date of company notification. An <i>ad hoc</i> report in the system runs the computation. See also <i>Definition of Performance Measure</i> field above for the computation of this measure.						
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			
2019KM3.2.03*			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						
Definition of Performance Measure						
The number of Fast-Track cases with a Corrective Action Plan (CAP) Accept date within the fiscal year for which a firm had a Stop Sale date within 20 business days of the Case Opening date, divided by the number of Fast-Track cases with a CAP Accept date within the fiscal year. A Case Opening 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 to stop sale or distribution of affected products, and is considered to be 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.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
97.3%	99.1%	98%	95.9% ²³	97.4%	90%	✓
Analysis						
The CPSC exceeded the FY 2019 target of 90%; the actual result was 97.4%.						
Plan(s) for Improving Performance						
The critical measurement period between Case Opening date and Stop Sale date as defined (see <i>Definition of Performance Measure</i> field above) tracks corrective actions initiated by firms (<i>i.e.</i> , product discontinued or stop sale issued), but does not track the corrective actions by firms at the consumer recall level. For FY 2020, the CPSC has a Priority Activity to seek feedback from stakeholders on potential Fast-Track program changes as well as improve upon this measure by replacing it with a more meaningful and useful measure.						
Data Source						
CPSC's Dynamic Case Management (DCM) System						
Data Collection Method and Computation						
The CPSC collects data from DCM on all Fast-Track reported cases where the firm stopped sale. See also <i>Definition of Performance Measure</i> field above for the computation of this measure.						
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. Many cases fell 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.						

²³ 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			
2019KM3.2.04			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 is accepted within 90 business days of preliminary determination						
Definition of Performance Measure						
The number of cases for which a Corrective Action Plan (CAP) was accepted within the fiscal year, and it was accepted within 90 business days of the PD date, divided by the number of cases for which a CAP has been accepted within the fiscal year where a PD is made. PD is the determination made by a panel of managers about whether there is enough evidence to preliminarily determine the existence of a substantial potential hazard. 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 the CPSC's negotiation of CAPs with companies. More timely negotiation of CAPs contribute to the efficiency and speed of recalls for noncompliant and defective products.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
--	--	--	92.7%	76.9%	60%	✓
Analysis						
The CPSC exceeded the FY 2019 target of 60%; the actual result was 76.9%, which was lower than the 92.7% result in FY 2018. This number may fluctuate depending on the number of more complex, contested matters in a given year.						
Plan(s) for Improving Performance						
Effective January 2020, EXC's former Defects Division has been replaced with a new Enforcement and Litigation Division, responsible for substantial product hazard investigations, administrative litigation, and civil penalty work. This new division integrates attorneys at the line and supervisory levels, which will strengthen EXC's ability to efficiently and effectively make analytically sound substantial product hazard determinations and negotiate CAPs. In conjunction with these changes, EXC plans to recommend changing this measure to better reflect effective work on substantial hazard matters, including better accounting for complex cases that may require significantly more time (and resources) before reaching a CAP.						
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 (RP) cases, where a CAP is accepted. See also <i>Definition of Performance Measure</i> field above for the computation of this measure.						
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		
2019KM3.3.01*				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						
Total number recalled products within the fiscal year that were corrected, divided by the total number of products recalled within the fiscal year. The CPSC deems a case to be closed when the last action is taken via reports of significant improvement and collection of recall products, a decision is made not to do a recall, or for other unique reasons or circumstances.						
Rationale for Performance Measure						
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.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
--	--	41%	17.4%	21.4%	25%	✗
Analysis						
The target was 25%; the FY 2019 actual result was 21.4%. The CPSC did not meet the target because of the volatility in the recall rates, which are highly dependent on the type of product and number of units involved in the recall.						
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. Data from this source are entered into DCM. The data evaluated for this effort were DCM-closed cases for FY 2019. See also <i>Definition of Performance Measure</i> field above for the computation of this measure.						
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			
2019KM4.1.02			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 thousands)						
Definition of Performance Measure						
Number of stakeholder engagements with CPSC safety messages on Twitter, Instagram, and Facebook, as measured by social media monitoring services						
Rationale for Performance Measure						
Engagement refers to consumers who are sharing, forwarding, and/or re-tweeting CPSC safety messages.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
--	--	285	831	1,468	320	✓
Analysis						
The CPSC exceeded the FY 2019 target with more than 1.4 million engagements achieved through use of enhanced social media tools to grow the number of followers across media platforms and increase availability and dissemination of consumer product safety information.						
Plan(s) for Improving Performance						
The CPSC will continue to design and develop new online and social media communication to disseminate through social media and drive more engagement with CPSC safety messages.						
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			
2019KM4.2.01			Communications			
Strategic Goal						
Goal 4: Communication						
Strategic Objective						
4.2: Increase dissemination of useful consumer product safety information						
Performance Measure Statement						
Number of impressions of CPSC safety messages (in millions)						
Definition of Performance Measure						
The number of impressions is an estimate of potential reach of CPSC safety messages. Impressions are defined as an estimate of the number of individuals that visit a publication's website or the number of viewers that are in TV station markets across the U.S. The CPSC gathers impressions on specific placements in publications or TV markets where CPSC consumer product safety messages or stories on targeted and priority consumer product safety hazards, excluding recalls, have appeared. This includes people who have seen or heard messages delivered via TV, radio, newspaper, online and social media, billboards, and public events.						
Rationale for Performance Measure						
This performance indicator tracks the number of impressions of CPSC safety messages. The number of impressions is an estimate of the potential reach of CPSC safety messages. There is a direct relationship between the number of estimated viewers exposed to a safety message and the level of awareness of the message in the general population.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
--	--	6,314.8	7,597.8	4,689	4,000	✓
Analysis						
In FY 2019, more than 4.6 billion impressions of targeted CPSC safety messages were received by targeted audiences on priority and targeted hazards, exceeding the target of 4 billion impressions.						
Plan(s) for Improving Performance						
The agency had gradually shifted resources from tracking the number of impressions by decreasing the annual targets in recent years to measuring social media engagement (see 2019KM4.1.02), which is a better gauge of direct consumer response to CPSC messaging. This measure has been discontinued in FY 2020.						
Data Source						
Contracted media monitoring companies						
Data Collection Method and Computation						
Data provided by contracted media monitoring companies that subscribe to media measurement tools are used by a broad spectrum of companies, such as advertisers, agencies, and research firms that need reliable audience data. The sum is the number of estimated viewers of CPSC safety messages related to consumer product hazards during the fiscal year.						
Data Limitations and Implications of the Reported Results						
Impressions are reasonable estimates of the potential size of the audience to which a message was delivered, but impressions are not necessarily an indicator of how effective the message was at influencing audience behavior.						

Control ID				Program		
2019KM4.2.02				Communications		
Strategic Goal						
Goal 4: Communication						
Strategic Objective						
4.2: Increase dissemination of useful consumer product safety information						
Performance Measure Statement						
Average number of business days between establishment of first draft and issuance of recall press release for the timeliest 90% of recall press releases						
Definition of Performance Measure						
The total number of business days between establishment of first draft and issuance of recall press release for the most timely 90% of all recall press releases, divided by the total number of those recall press releases.						
Rationale for Performance Measure						
This performance measure monitors progress toward reducing the time it takes to inform consumers and stakeholders of product-specific hazards and the actions consumers should take to receive a free remedy. Reducing the average time it takes the CPSC to issue press releases announcing product recalls will get product hazard information to consumers more quickly and reduce the risk of harm.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
16	17.8	17.5	17.3	17.8	<18	✓
Analysis						
The CPSC took an average of 17.8 business days to issue a recall press release, slightly faster than the FY 2019 target of 18 business days.						
Plan(s) for Improving Performance						
Offices within the CPSC collaborated to improve the timeliness of disseminating recall press releases. Timely recall press release dissemination is also dependent on companies' timely responses during recall release negotiations. In FY 2020, this measure will be replaced to track the percentage of recall press releases issued within 22 business days from first draft.						
Data Source						
CPSC News Release Performance (Tracking) Log						
Data Collection Method and Computation						
Data on recall announcements are tracked and transferred to a performance log that compiles Office of Communications' dates for First Draft and Date Issued for a recall. The average number of business days for 90% of recall releases (Fast-Track and Non-Fast-Track) is calculated. Recall alerts are excluded from this measure.						
Data Limitations and Implications of the Reported Results						
There is high variability in the determination of the recall release issuance date, due to logistical challenges that recalling firms may face before announcing the recall.						

Control ID			Program			
2019KM4.3.01*			Communications			
Strategic Goal						
Goal 4: Communication						
Strategic Objective						
4.3: Increase and enhance collaboration with stakeholders						
Performance Measure Statement						
Number of collaboration activities initiated with stakeholder groups						
Definition of Performance Measure						
Collaborations with stakeholders are activities that involve communicating product safety information, and may include activities involving a Memorandum of Understanding (MOU) or an IAA, as well as special working groups with other agencies or groups, to communicate safety issues. An example is a working group on lithium-ion battery safety that involved CPSC offices and outside group/agency collaborators.						
Rationale for Performance Measure						
This is an effort to keep track of collaborations with external stakeholders by different CPSC offices, with the goal of streamlining activities across offices and improving coordination and awareness.						
2015 Actual	2016 Actual	2017 Actual	2018 Actual	2019 Actual	2019 Target	Target Met?
--	--	28	47	93	28	✓
Analysis						
The CPSC had 93 collaboration activities with stakeholders in FY 2019, exceeding the target of 28. Examples include: collaboration with actor and Instagram chef Tia Mowry to promote CPSC's <i>Pool Safely</i> drowning prevention campaign messages by creating and launching a new water safety public service announcement video "Water Watchers," along with the significance of layers of protection when it comes to drowning prevention (Ms. Mowry twice retweeted our messages about the video to her 1.9 million followers); addition of 32 new organizations/community safety leaders to the <i>Pool Safely</i> campaign; and addition of 9 new advocates to the Anchor It! campaign to promote furniture and TV tip-over prevention. CPSC staff throughout the agency collaborated with external stakeholders on a variety of projects, partnerships, speeches, and working groups toward meeting this measure's target.						
Plan(s) for Improving Performance						
This measure has been discontinued in FY 2020.						
Data Source						
Data are entered to a shared spreadsheet monitored by the Office of Communications team.						
Data Collection Method and Computation						
Data on collaboration activities are kept in a spreadsheet on SharePoint.						
Data Limitations and Implications of the Reported Results						
Each collaboration activity varies widely from one to another and it is counted based on the number of stakeholders. They range from having an interagency agreement with another federal agency or a contract with an academia on a specific safety topic, partnering with stakeholders at an outreach event, to a technical meeting with outside stakeholders.						

Appendix D: Acronyms

APR	Annual Performance Report
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
CPSC	U.S. Consumer Product Safety Commission
CPSIA	Consumer Product Safety Improvement Act
CPSRMS	Consumer Product Safety Risk Assessment Management System
DCM	Dynamic Case Management System
EDAS	Enterprise Data Analytics Strategy
EI	Employee Engagement Index
EPA	U.S. Environmental Protection Agency
FEVS	Federal Employee Viewpoint Survey
FTE	Full-time Equivalent
FY	Fiscal Year
IAA	Interagency Agreement
IFS	Integrated Field System
IPT	Integrated Product Team
ITDS	International Trade Data System
NEISS	National Electronic Injury Surveillance System
NIST	National Institute of Standards and Technology
NNCO	National Nanotechnology Coordination Office
NNI	National Nanotechnology Initiative
OMB	Office of Management and Budget
PBR	Performance Budget Request
RAM	Risk Assessment Methodology
SDR	Strategic Data Review

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