U.S. Consumer Product Safety Commission

Fiscal Year 2021 Operating Plan

Approved: November 10, 2020

Our Mission: *Keeping Consumers Safe*

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

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Budget Table 1
FY 2021 Operating Plan - Summary of Changes

(Dollars in millions)

		Dollars	FTE
FY 2020 Enacted		**$132.5**	**539**
Maintain Current Levels			
1.	Pay	$1.8	
2.	Non-Pay	$0.5	
Changes to Program			
3.	VGB Grants	-$1.3	
4.	OFR Chemicals Assessment	$1.5	
FY 2021 Operating Plan		**$135.0**	**539**

1. ***Pay*** **($1.8 million)**

   The FY 2021 Operating Plan allocates $1.8 million above the enacted FY 2020 level for personnel salary and benefits to maintain the FY 2020 enacted staffing level of 539 FTEs. The $1.8 million will cover the annualization of the 2.6 % pay raise in FY 2020, the 1% pay raise for FY 2021, as directed by the Office of Management and Budget (OMB), and other increases in payroll costs, such as within-grade increases (WGI), earned promotions, and locality pay adjustments.

2. ***Non-Pay*** **($0.5 million)**

   The FY 2021 Operating Plan allocates $0.5 million above the enacted FY 2020 level to maintain current levels for non-pay inflation items. The $0.5 million will fund known escalation amounts for IT audits and increased lease costs for FY 2021.

3. ***VGB Grants*** **(-$1.3 million)**

   The FY 2021 Operating Plan's operating budget level of $135 million does not include $1.3 million of no-year appropriation balances, provided in the FY 2020 and prior enacted appropriations, for Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) grants. The CPSC will continue awarding VGB Act grants using the available $1.3 million of unobligated no-year appropriation balances until they have been exhausted, after which the agency does not plan to issue additional grant awards.

4. ***Organohalogen Flame Retardant (OFR) Chemicals Assessment*** **($1.5 million)**

   The FY 2021 Operating Plan allocates $1.5 million above the enacted FY 2020 level to provide the CPSC with funding to implement research recommendations proposed by the National Academy of Sciences (NAS) in its 2019 report, "A Class Approach to Hazard Assessment of Organohalogen Flame Retardants." For FY 2021, the CPSC plans to assess toxicity of the first of the 14 identified subclasses of OFRs; the plan will be followed by toxicity assessment of the remaining subclasses over multiple years.

Funding changes described in the table above will be deferred until Congress takes final action on the FY 2021 *Request* and a full-year appropriation is enacted.

For additional information, please see pages 1–2 of CPSC's FY 2021 Performance Budget Request (*Request*), submitted to Congress on February 10, 2020, available at: www.cpsc.gov/About-CPSC/Agency-Reports/Performance-and-Budget.

Budget Table 2
Funding and FTE by Major Organization

Presented in the table below are the FY 2021 operating budget levels for each organization (column 1) and the corresponding FY 2021 operating full-time equivalent (FTE) level (column 2).

(Dollars in Thousands)	FY 2021 Operating Plan	
Budget Details: FY 2021 Salaries and Expenses	*Column 1* **FY 2021 Budget**	*Column 2* **FY 2021 FTE**
Commissioners	$ 164.8	21
Office of Hazard Identification & Reduction		160
Office of Hazard Identification	$ 3,916.9	
Laboratory Operations	$ 1,293.0	
NEISS	$ 2,400.0	
OFR Chemicals Assessment	$ 1,500.0	
Office of Compliance & Field Operations		
Compliance – HQ	$ 399.0	59
Compliance – Field Operations	$ 1,226.0	95
Office of Import Surveillance	$ 864.1	42
Office of International Programs	$ 720.3	7
Office of Financial Management, Planning & Evaluation	$ 1,989.0	27
Office of Information & Technology Services		40
Office of Information Technology	$ 80.0	
IT Infrastructure	$ 7,345.0	
CPSC's Information Systems	$ 6,991.0	
Risk Assessment Methodology – Import	$ 2,600.0	
Office of Human Resources Management	$ 527.5	11
Office of Facilities Services (excludes Rent/Utilities/Security)	$ 1,717.3	10
Office of the Executive Director	$ 83.9	8
Office of the General Counsel	$ 439.6	37
Office of the Inspector General	$ 512.5	7
Office of Communications		10
Office of Communications	$ 1,227.3	
Campaigns	$ 1,500.0	
Office of Legislative Affairs	$ 14.9	3
Office of EEO & Minority Enterprise	$ 42.9	2
Centrally Managed Costs		
Salaries	$ 87,426.0	
Rent/Util/Security	$ 10,015.0	
Representation Fund	$ 4.0	
Total	**$ 135,000**	**539**

Other Available Budgetary Resources - Prior Year	Budget	FTE
VGB Grants Program[1]	$ 1.4	

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[1] No-year funds: Amount available based on all obligations incurred prior to September 16, 2020 and new grants expected to be awarded by September 30, 2020.

Office of Hazard Identification and Reduction (EXHR)
Duane Boniface, Assistant Executive Director (AED)

1. Resource Summary

	FY 2021 Operating Plan	
	Budget (in thousands)	**FTE**
Office of Hazard Identification and Reduction	$ 3,916.9	160
Laboratory Operations	$ 1,293.0	
NEISS	$ 2,400.0	
OFR Chemicals Assessment	$ 1,500.0	
Total	**$ 9,109.9**	**160**

2. Overview and Priority Activities

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

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

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

FY 2021 Priority Activities:

- Improve EXHR's data analytic capabilities by identifying and executing use cases for applying machine learning techniques to unstructured data (automated data classification and anomaly detection) (Milestone EXHR-M04)
- Develop hospital sample modernization plan for the National Electronic Injury Surveillance System (NEISS) sample (Milestone EXHR-M03)
- Implement improved internal controls and related processes and procedures based on results of FY 2020 analyses (Milestone EXHR-M06)
- Focus on hazards to children by completing NPRs on clothing storage unit tip-overs and hazardous magnet sets and Final Rules on infant sleep products, crib bumpers, and crib mattresses (Mandatory Standards Table pages 16-17)
- Focus on potential safety issues associated with Internet of Things (IoT)/Connected products, Wearable-related products, rechargeable high-energy density batteries, electric scooters, other micromobility devices, Artificial Intelligence (AI), and 3D printing and continued involvement with the multi-federal agency working group (Milestone EXHR-M13, Milestone EXHR-M16)
- Work on standards review and improvement efforts on various products in the approved voluntary standards table, including IoT/Connected Products, Micromobility Devices, and Adult Portable Bed Rails (Voluntary Standards Table pages 13-15)
- Submit for Commission consideration rulemaking packages approved in the mandatory standards table (Mandatory Standards Table pages 16-17)
- Publish analyses approved in the epidemiological reports table (Epidemiological Reports Table page 18)
- Initiate recommendations of NAS to assess toxicity of OFRs (Milestone EXHR-M05)
- Conduct review of SaferProducts.gov incident reporting and posting trends and submit report to Commission (Milestone EXHR-M17)
- Conduct a staff analysis on processes to: 1) enhance agency data collection and analysis of product safety incidents, injuries and deaths to identify vulnerable populations that exist by using such identifiers, including but not limited to: race, age, gender, location or socioeconomic status; 2) allocate safety work to better address any existing safety disparities among such identified vulnerable populations; 3) enhance safety messaging to such newly identified vulnerable populations addressing applicable safety issues (Milestone EXHR-M18)

3. Annual Milestones

Note: Milestones are monitored and reported internally.

Control ID	FY 2021 Milestone Statement
EXHR-M01	Submitted written plan to Executive Director for establishing the capability for testing software embedded in consumer products, including Connected products (*e.g.*, IoT)
EXHR-M02	Recruited three new hospitals to join the National Electronic Injury Surveillance System (NEISS)
EXHR-M03	Provided hospital sample modernization plan to Commission for the National Electronic Injury Surveillance System (NEISS)
EXHR-M04	Provided report with review and recommendations to Executive Director based upon contractor-provided automated data classification capability
EXHR-M05	Submitted a status report to Executive Director on progress toward executing the staff plan for assessing the risks from OFR classes

Control ID	FY 2021 Milestone Statement
EXHR-M06	Provided staff training on revised Standard Operating Procedures (SOP) for delivery of data to the public to ensure that PII and/or Section 6 information is not transmitted in an unauthorized manner
EXHR-M07	Submitted status report to Commission on Chief Technologist review of CPSC capabilities and approaches to use of artificial intelligence/machine learning in consumer products
EXHR-M08	Submitted status report to Commission on Chief Analytics Officer review of potential for artificial intelligence/machine learning for CPSC analytics
EXHR-M09	Delivered briefing packages to Commission for the Voluntary Standards Annual Report and for the Mid-Year report
EXHR-M10	Submitted PPPA Petition briefing package
EXHR-M11	Developed draft Non-Animal Alternative Methods Guidance Document for Public Comment
EXHR-M12	Submitted staff report on the effects of COVID-19 Consumer Product-Related Injuries in 2020
EXHR-M13	Held stakeholder forum on the use of artificial intelligence/machine learning in consumer products
EXHR-M14	Submitted status report to Executive Director on Warning Label Comprehension and Interpretation by Consumers for Children's Sleep Environments
EXHR-M15	Expanded pilot for revision of Integrated Team processes to improve hazard identification capabilities and submitted report to Commission on progress
EXHR-M16	Completed technical report on evaluation of consumer-grade 3D printers for home-printed children's products
EXHR-M17	Completed report on review of SaferProducts.gov reporting and posting trends
EXHR-M18	Delivered briefing package to Commission setting forth staff's conclusions and recommendations on the identified vulnerable populations and on how the agency can better address any existing safety disparities in its data collection/analysis to address applicable safety issues

4. Project Descriptions

Listed in this section are EXHR's FY 2021 project descriptions. Resources are obligated for FY 2021 work to be performed by the program office under each project, as described below.

11179 - National Electronic Injury Surveillance System (NEISS)

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

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

These estimates inform both voluntary and mandatory standards development.

NEISS is also the source of data on incidents for follow-up investigations to identify and document hazard patterns associated with selected products under CPSC's jurisdiction. This project also includes coordination of NEISS activities that are funded by other federal agencies. A review of the NEISS hospital sample was initiated in FY 2019, and this review is being completed in FY 2020. In FY 2021, staff will analyze results of the review and prepare an action plan for the NEISS sample modernization, focusing on adding hospitals based on the FY 2020 analysis.

11282 - Mortality/Incident Data

This project includes collection of anecdotal, mortality, and incident data associated with

consumer products. This project covers resources for the identification and coding of:

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

Data on deaths associated with specific products and hazards provide important information to support hazard analysis and Office of Compliance and Field Operations (EXC) Section 15 action.

This project also provides support for collection of injury data from news clips; consumer complaints; federal, state, and local governments; fire departments; burn centers; and other sources. Included in this project is testing of the machine learning tool delivered in FY 2020 for automated pre-screening of incident reports.

12165 - Investigations

This project provides resources to conduct approximately 2,000 telephone investigations. This project also encompasses limited on-site investigations of product-related hazards that may take place if such work can proceed in the context of the COVID-19 pandemic. Because initial reports from consumer complaints, news clips, the Medical Examiners and Coroners Alert Project (MECAP), NEISS, and death certificates generally lack specific details about the incident and the product, follow-up investigations are needed to determine how injuries happen, and to provide specific information about the products involved.

This project covers the assignment, performance, review, and disposition of investigation reports.

13327 - Emerging Hazards

This project provides resources for active, systematic identification and evaluation of emerging product-related hazards. The project includes work on safety issues related to Artificial Intelligence (AI) in consumer products, including work on voluntary standards as directed by the Commission. The project leverages the Chief Technologist and Chief Analytics Officer to review and recommend additional emerging hazards and analytic capabilities to strengthen Hazard Assessment and Reduction performance.

13329 - Integrated Teams

This project focuses on the Integrated Teams' activities to coordinate and to assign incident reports to the relevant subject matter experts (SMEs), who then determine whether follow up actions are warranted. Activities include: initial review of the assigned incident, referral as necessary to an SME for further evaluation, review by the SME and/or assignment of the incident for an in-depth investigation (IDI), product safety assessment, corrective action, standards development, and/or public safety campaign. *Risk of Harm* assessments of reports submitted to SaferProducts.gov are also included in this project. To maximize the efficiency and effectiveness of this work, in FY 2020, the CPSC conducted a pilot program that shifted the focus of the Integrated Teams from coding individual incoming reports to analyzing the incident reports, focusing resources on identifying emerging patterns and trends. In FY 2021, this pilot will be expanded to all the teams.

13330 - Data Intake

This project provides resources for the Data Intake and Injury Information branch of CPSC's Directorate for Epidemiology, excluding the Clearinghouse.

13331 - Petitions, OLA Support, and Other Hazard Work

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

13332 – Clearinghouse

This project provides resources for the National Injury Information Clearinghouse. Efforts in FY 2021 will focus on process improvements, including implementation of an online data clearinghouse system to permit the public to directly obtain publicly releasable incident data in a customized form.

14125 - Economics Studies

This project provides resources for specialized economic information and reports for hazard project teams, other project teams and offices, Commissioners, Congress, other agencies, and the

public, on an as-needed basis. The project also provides data or support services to intra- and inter-agency task forces, as needed, and fills other one-time requests. This project provides resources for CPSC staff to develop and maintain economic models and to collect information to provide: injury cost estimates; estimates of product life and the number of products in use; general and small business impacts of CPSC actions (*e.g.*, impacts on production costs, competition); environmental impacts of CPSC actions; labeling and recall costs; and international trade statistics. The project also provides resources for maintaining economic models through periodic review to determine that the methodological approaches are current and adequate for use by CPSC staff. In FY 2021, this project will support work for rule review related to the testing rules (16 CFR Parts 1107 and 1109). Staff also will continue the study on the children's value of statistical life (VSL) by working with the contractor on a series of cognitive interviews and focus groups with parents to complete the OMB package for the proposed survey.

21518 - Electrical Hazards: Voluntary Standards and Codes

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

- Improving electrical voluntary standards, including those for micromobility devices (e-scooters, hoverboards, e-bicycles)
- Pursuing expanded voluntary standards for Wearable products and IoT
- Supporting revision and implementation of the National Electrical Code (NEC)

❖ **Batteries:** In FY 2021, CPSC staff will continue to identify and review new technologies that have the potential to improve battery safety. Staff will also collaborate with stakeholders and SDOs to enhance the safety of batteries in consumer products.

❖ **CO and Smoke Alarm Survey:** CPSC staff has been collaborating with public and private organizations to conduct a National In-Home Smoke and CO Alarm Survey because information from the last survey, conducted in 1992, is largely obsolete. In the initial rollout of the survey, the contractor experienced

inadequate response rates necessitating a new survey procedure. The contractor conducted a pilot study of the new door-to-door process in the Washington, D.C. metropolitan area in early 2020 with more success. Due to the COVID-19 pandemic, staff is working with the contractor to determine further modifications to collect useful information without direct face-to-face interaction.

21725 - Fire Hazards: Voluntary Codes and Standards

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

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

21726 - Fire Hazards: Rulemaking Activities

This project provides resources for rulemaking activities related to keeping the Flammable Fabrics Act (FFA), Federal Hazardous Substances Act (FHSA), and CPSA regulations current and consistent with fire hazard program goals and industry practices. Activities for FY 2021 include:

- Review of certain 16 CFR Part 1610 (General Wearing Apparel) provisions
- Review of 16 CFR Part 1632 (Mattress and Mattress Pad Flammability) provisions, including an FR on the Standard Reference Materials (SRM) Cigarette Reference Update and related testing requirements and conduct data analysis and technical review work to advance the 2001 ANPR)

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

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

- Preparation of annual toy injury report
- Research and analysis of products posing hazards primarily to children
- Collaborations with stakeholders to improve safety of children

- Development of voluntary standards for juvenile products
- Participation in voluntary standards meetings for children's products
- Preparation of an annual report that identifies and analyzes nursery product injuries and fatalities involving children younger than the age of 5 years
- Evaluation of consumer 3D printers and materials used for Additive Manufacturing, as they relate to producing children's products, such as toys and rattles, as well as evaluation of the end products related to mechanical, chemical, and flammability provisions
- Review of the results of the magnet strength measurement research and magnet testing methodologies and corresponding assessment of the need to update current test methods
- Research and analysis on warning label comprehension and interpretation by consumers for children's sleep environments
- Updating the *Age Determination Guidelines* by incorporating additional toys not currently covered by the guidelines

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

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

FY 2021 activity under this project will include continued technical work and collaboration with stakeholders on stability/handling, occupant protection during rollover, and fire hazards.

22640 - Older Consumer Safety Hazards

This project provides resources for Adult Portable Bed Rails Petition follow-on activities (collection and testing of samples to assess compliance with the voluntary standard) and for activities related to an FY 2014 staff hazard screening report that focused on senior safety, including ways in which the CPSC can better address the senior population risks associated with the use of consumer products. In FY 2021, staff will prepare an annual report on senior safety hazards, continue work on voluntary standards changes for Adult Portable Bed Rails, Flooring, and Bath Tubs, and, work with

Office of Communications (OCM) to develop education campaigns to raise awareness of potential dangers of senior clothing fires and senior trips and falls.

22646 - Table Saws: Rulemaking Activities

This project provides resources for activities associated with post-NPR work, including data collection based on NEISS incidents, as appropriate, to address table saw blade-contact injuries. In FY 2021, CPSC staff will develop a final rule briefing package.

22666 - Mechanical Hazards: Voluntary Codes and Standards

CPSC staff will participate in activities related to the development and revision of voluntary standards for consumer products under CPSC's jurisdiction. Among these products are ATVs, recreational head protection gear, bicycles, swimming pools, washing machines, micromobility devices (e-scooters, hoverboards, e-bicycles), and playground surfacing, as well as considerations for potential mechanical hazards from 3D-printed products. Additionally, staff will submit an annual off-highway vehicle (OHV) death and injury data update report, with data on OHV deaths, by state; relative risk of death, by year; injuries distributed, by year; and age grouping and additional information on other OHV incidents.

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

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

In FY 2021, staff will submit an NPR for clothing storage unit tip-over resistance.

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

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

This project includes work on developing Final Rules for crib bumpers, crib mattresses, and infant sleep products. In accordance with Pub. L. No. 112-18, existing rules are updated when the

voluntary standard organization notifies the CPSC of a new standard; that work is included here. Also, staff will begin data acquisition and technical reviews in support of rulemaking for magnet sets.

23258 - Chemical Hazards: Voluntary Standards

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

This project also includes work on:

- Playground surfaces manufactured from recycled rubber
- Phthalate alternatives in children's toys and child care articles
- Non-Animal Alternative Methods
- Other chemical hazards
- Interagency coordination

23259 - Chemical Hazards: Rulemaking Activities

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

❖ **OFRs:** In response to Petition HP15-1, the Commission voted to grant the petition to ban the use of additive, non-polymeric OFRs in certain children's products, residential upholstered furniture, mattresses and mattress pads, and the plastic casings of electronic devices. In FY 2019, staff received a scoping and feasibility study of OFRs from the National Academies of Sciences, Engineering, and Medicine (NASEM). The NASEM study provided a plan for identifying and applying accepted scientific methods for assessing the toxicity of OFRs as a class, to be used by the CPSC in its rulemaking efforts. The NASEM identified 14 OFR subclasses that would need to be evaluated separately.

  o In FY 2020, staff evaluated the NAS study, and developed proposals for methods to collect and analyze data and other information to perform risk assessment.

  o In FY 2021, staff will begin to implement the NAS plan to assess the potential risks of the OFR subclasses. Staff will begin the hazard assessment step of the risk assessment process for one subclass, and will initiate

other activities related to collecting and analyzing hazard and exposure data and other information for other subclasses.

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

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

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

- Research on CO death estimates for all combustion products
- Determination of CO fatalities associated with engine-driven tools and portable generator use
- CO voluntary standards support, including portable generator voluntary standard development
- Gas appliances (CO sensors) research
- Collaboration with voluntary standards organizations and development of an ANPR to provide requirements to address fire hazards in off-road vehicles (ROVs, ATVs, and Utility Task Vehicles [UTVs])

In FY 2021, CPSC staff will continue to execute a plan to estimate the effectiveness of requirements for CO safety shutdown systems in voluntary standards for portable generators. Staff also will gather and share additional data on CO sensor accelerated life testing (ALT) and CO sensor technology use in other countries with the ANSI Z21/83 Technical Committee to support the development of voluntary standards for addressing CO hazards from gas appliances.

23336 - Combustion (Carbon Monoxide) Hazards: Rulemaking Activities

This project provides resources for addressing the hazards of CO poisoning associated with portable generators and gas appliances (CO sensors). In FY 2021, CPSC staff will continue to execute the simulation and analysis plan in partnership with NIST to evaluate the adequacy of the voluntary standards for portable generators. CPSC staff will also continue gathering data on CO sensors (durability, life span, use in other countries, etc.) on the feasibility of developing performance requirements for CO hazards from gas appliances in the United States, including: Gas Appliance CO Sensors Testing, and to analyze the comments to the ANPR.

23704 - Nanotechnology

The purpose of this project and its associated activities is to advance voluntary standards work through the development of methods to characterize and quantify the release of nanomaterials from consumer products. In addition, activities focus on determining potential consumer exposures to, or the health effects of, exposure to nanomaterials during consumer use.

In FY 2021, CPSC staff will continue reviewing reports and publications from CPSC-funded nanotechnology research and working with other federal agencies under the National Nanotechnology Initiative (NNI).

Research activities will include: (1) continuing the collaborations to characterize the use/release of nanomaterials during the lifecycle of additive manufacturing (AM) systems (2) a risk assessment of silver nanoparticles.

24013 - Laboratory Equipment and Operations Support

This project provides resources required for safe and efficient operation of CPSC laboratories within the National Product Testing and Evaluation Center (NPTEC), including the upgrade and purchase of new equipment, and the replacement of testing and lab support equipment. Resources are also used for the calibration and maintenance of equipment/test instruments, services and equipment for hazardous waste management, operational safety and compliance with applicable environmental and occupational safety and health

requirements, support for facility modifications to address new equipment and/or testing capabilities, materials associated with the construction of test fixtures, and consumables and supplies to support sample and product testing for ongoing programs and projects under EXHR, EXC, OCM, and Office of International Programs (EXIP).

24505 - EXHR Project Support

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

25720 - Regulatory Management

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

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

25723 - Lab Accreditation (CPSIA § 102)

In FY 2021, staff will continue the following activities:

- Administer the requirements for accreditation of third party conformity assessment bodies to assess conformity with a children's product safety rule
- Prepare a draft Direct Final Rule (DFR), updating the version of ISO 17025 incorporated by reference in 16 CFR Parts 1107 and 1112 deferred from FY 2020 given industry changes in response to COVID-19
- Manage the application review process and the periodic audit of third party conformity assessment bodies as a condition for continuing accreditation by the CPSC

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

25727 - Burden Reduction

This project provides funding for ongoing efforts towards potentially providing meaningful reduction of third party testing costs of children's products, among other things, consistent with ensuring statutory compliance.

In FY 2021, CPSC staff will continue to explore recommendations for potential determinations on testing exemptions for spandex fibers for Commission consideration, if applicable.

25777 - EXHR Leadership and Administration

This project provides resources for EXHR directorate leadership, travel, transportation, printing, and purchases of supplies to support EXHR operation. This includes efforts to review and refine internal controls across EXHR lines of operation.

34351/34352 - Import Activities: Regulated/ Defects

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

5. Summary of Key Performance Measures

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

Control ID	Key Performance Measure Statement	FY 2021 Target
2021KM2.1.02	Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards	11
2021KM2.1.03	Percentage of consumer product-related injury cases correctly captured at NEISS hospitals	90%
2021KM2.2.01	Number of voluntary standards activities in which CPSC actively participates	78
2021KM2.2.02	Number of candidates for rulemaking prepared for Commission consideration	10

6. Summary of Operating Performance Measures

Note: Operating Performance Measures are monitored and reported internally.

Control ID	Operating Performance Measure Statement	FY 2021 Target
2021OP01	Percentage of National Electronic Injury Surveillance System (NEISS) member hospitals evaluated at least once a year	98%
2021OP03	Number of incident reports collected from medical examiners and coroners	3,000
2021OP04	Number of incident reports obtained from news clips	6,000
2021OP05	Percentage of incident report verification requests mailed - either email or postal mail - within 2 business days	95%
2021OP06	Percentage of reports from eligible sources for which clerical coding is completed within 1 business day following receipt	95%
2021OP07	Percentage of notifications sent to manufacturers named in all reports eligible for the public database within 5 business days of eligibility determination	95%
2021OP08	Percentage of cases in which staff reviews or refers comments and claims from manufacturers, importers, and private labelers within 1 business day	95%
2021OP09	Percentage of business registration requests for www.SaferProducts.gov processed within 2 business days	85%
2021OP10	Percentage of headquarters telephone investigations of NEISS cases completed in fewer than 45 business days	98%
2021OP11	Percentage of completed product investigation reports provided to manufacturers within 50 business days of receiving the report	75%
2021OP12	Percentage of supporting statements for Paperwork Reduction Act (PRA) renewals submitted to the Office of the General Counsel (OGC) no less than 4 months before OMB control number expiration date	85%
2021OP15	Number of voluntary standards activities, in which CPSC staff participated, that result in a revised standard that reduces the risk of injury associated with products covered by the standard	10
2021OP17	Average number of business days from incident received to Integrated Team adjudication of incident report	10
2021OP18	Percentage of Section 15 Product Safety Assessment requests that are completed within the Hazard Level Completion time assigned	90%
2021OP19	Percentage of priority import regulated samples (excluding fireworks) tested within 30 days of collection	85%
2021OP20	Percentage of import and domestic fireworks samples tested within 60 days of collection	90%
2021OP21	Percentage of all domestic and non-priority import regulated product samples (excluding fireworks) that are tested within 60 days of receipt at NPTEC	85%
2021OP22	Number of work-related injuries and illnesses per 100 NPTEC employees in a year (incident rate)	4
2021OP101	Percentage of independent third party laboratory application requests completed within 45 days	90%
2021OP104	Number of Integrated Product Team analytic reports based on incident reporting and advance analytics	Baseline

7. Voluntary Standards Summary

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

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

Voluntary Standards Process & CPSC Participation: CPSC staff works with organizations that coordinate the development of voluntary standards. Voluntary standards activity is an ongoing process that may involve multiple revisions to a standard within 1 year, or over multiple years; and staff participation may continue in subsequent years, depending on the activities of the voluntary standards committees and priorities of the Commission.

FY 2021 Activities: CPSC staff participates actively in voluntary standards activities for identified products listed in the table on the pages to follow. Active participation extends beyond attendance at meetings and may include, among other activities, providing injury data and hazard analyses; encouraging development or revision of voluntary standards; identifying specific risks of injury; performing research; developing health science data; performing laboratory technical assistance; and/or taking other actions that the Commission, in a particular situation, determines may be appropriate.

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

Voluntary Standards Summary Table

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

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[2] "Flame Mitigation Devices (FMDs) on Disposable Fuel Containers", as listed in the FY 2021 Performance Budget Request (*Request*) (published February 10, 2020), has been revised to "Fire Safety of Portable Fuel Containers and Gasoline Cans" in this document. Also, "Gasoline Containers FMDs", as listed in the FY 2021 *Request*, has been merged into "Fire Safety of Portable Fuel Containers and Gasoline Cans" in this document.

	Product	FY 2021 *Request*	FY 2021 Operating Plan
42	Gas Appliances – CO Sensors	•	•
43	Infant Inclined Sleep Products	•	•
44	Portable Generators	•	•
45	Recreational Off-Highway Vehicles (ROVs)	•	•
46	Table Saws	•	•
47	Upholstered Furniture	•	•
48	Window Coverings	•	•
Other Planned Voluntary Standards Activities			
49	Additive Manufacturing/3D Printing	•	•
50	Amusement Rides, Trampoline Parks, and Adventure Attractions	•	•
51	Artificial Intelligence (AI)	•	•
52	Bath Tubs (Adult)	•	•
53	Batteries, Fire (High-Energy Density)	•	•
54	Batteries, Ingestion (Button)	•	•
55	Carbon Monoxide (CO) Alarms	•	•
56	Clothes Dryers	•	•
57	Electric Heaters		•
58	Flammable Refrigerants	•	•
59	Gas Grills[3]	•	
60	Gasoline Containers FMDs[2]	•	
61	Gas Ranges		•
62	Internet of Things (IoT) / Connected Products	•	•
63	Liquid Laundry Packets	•	•
64	LP Gas Appliances[3] [formerly LP Gas Outdoor Fire Pit]	•	•
65	Mowers	•	•
66	Nanotechnology	•	•
67	National Electrical Code	•	•
68	Playground Equipment (Home)	•	•
69	Playground Equipment (Public)	•	•
70	Playground Surfacing	•	•
71	Pools, Portable Unprotected (Child Drowning)	•	•
72	Pressure Cookers	•	•
73	Recreational Headgear Sensors[4]	•	
74	Safety Locks and Other Household Child-Inaccessibility Devices	•	•
75	Self-balancing Scooters and Light Electric Vehicles / Micromobility Devices	•	•
76	Smoke Alarms	•	•
77	Sports Protective Gear/Football Helmets[4]	•	
78	Sports/Recreational Head Gear/Helmets and Sensors[4]		•
79	Spray Polyurethane Foam Insulation	•	•
80	Tents	•	•
81	Washing Machines	•	•
82	Wearables	•	•
Grand Total		**79**	**78**

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[3] "LP Gas Outdoor Fire Pit", as listed in the FY 2021 *Request*, has been revised to "LP Gas Appliances" in this document. Also, "Gas Grills", as listed in the FY 2021 *Request*, has been merged into "LP Gas Appliances" in this document.

[4] "Recreational Headgear Sensors" and "Sports Protective Gear/Football Helmets", as listed in the FY 2021 *Request*, have been merged into "Sports/Recreational Head Gear/Helmets and Sensors" in this document.

8. Mandatory Standards Summary

Definition: Mandatory regulations, established by statute or promulgated by the Commission, set forth requirements for consumer products. The requirements typically take the form of performance requirements that consumer products must meet, or warnings they must display, to be imported, distributed, or sold in the United States.

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

FY 2021 Activities: CPSC staff plans to work on the projects listed in the table on the next page. This work will involve continuation of rulemaking activities related to the CPSIA, as well as other laws, and it will include data analysis and technical activities supporting ongoing or potential future rulemaking activities.

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

Mandatory Standards Summary Table

Items by Major Categories		FY 2021 *Request*	FY 2021 Operating Plan
CPSIA, as amended by Pub. L. No. 112-28, and including Section 104 of the CPSIA			
	ATVs (All-Terrain Vehicles) – Other	DA/TR	DA/TR
	Crib Bumpers		FR
	Crib Mattresses (include Supplemental and Aftermarket)	FR	FR
	Infant Sleep Products	FR	FR
Rule Review			
	Full Size and Non-Full Size Cribs Regulatory Flexibility Act 10-Year Rule Review	DA/TR	
	Lead	DA/TR	DA/TR
	Mattress 16 CFR Part 1632, ANPR Follow-up Rule Review (Ticking Substitution, Recordkeeping)	DA/TR	DA/TR
	Mattress 16 CFR Part 1632 SRM Cigarette Reference Update	FR	FR
	Rule Review of 16 CFR Parts 1107 and 1109		BP
Burden Reduction			
	General Wearing Apparel 16 CFR Part 1610 Burden Reduction/Review	DA/TR	DA/TR
Other Ongoing or Potential Rulemaking-Related Activities			
	Adult Portable Bed Rails Petition	DA/TR	DA/TR
	Clothing Storage Units Tip-Over	FR	NPR
	Furnaces (CO Hazards)	NPR	DA/TR
	Lab Accreditation IBR Update		DFR
	Magnet Sets	DA/TR	NPR
	Off-Highway Vehicle (OHV) Fire and Debris Penetration Hazards	DA/TR	ANPR
	Organohalogens Petition	DA/TR	DA/TR
	Portable Generators	DA/TR	DA/TR
	PPPA Exemption Petition		BP
	ROV Rulemaking Termination Package		DA/TR[5]
	Table Saws	DA/TR	FR
	Upholstered Furniture	DA/TR	DA/TR
	Walk-behind Power Lawn Mowers Petition[6]	DA/TR	
	Window Coverings	DA/TR	NPR
Number of candidates for rulemaking (ANPR, NPR, FR, and DFR)		**5**	**10**

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[5] The ROV Rulemaking Termination Package is currently pending Commission action. As such, the "DA/TR" status may change after the publication of this document.

[6] The petitioner has withdrawn the petition.

9. Epidemiological Reports Table

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

FY 2021 Activities: CPSC staff plans to work on the reports listed in the table below. This work will involve analysis of incident data to characterize risk to inform a range of CPSC projects and initiatives. Draft reports for each of the following will be submitted into Assistant Executive Director (AED) clearance in FY 2021:

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

Office of Compliance and Field Operations (EXC)
Robert Kaye, Assistant Executive Director (AED)

1. Resource Summary

	FY 2021 Operating Plan	
	Budget (in thousands)	**FTE**
Compliance - HQ	$ 399	59
Compliance - Field	$ 1,226	95
Total	**$ 1,625**	**154**

2. Overview and Priority Activities

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

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

FY 2021 Priority Activities:

- Work with Office of Information & Technology Service (EXIT) and contractor to develop and analyze alternatives to develop an improved platform to replace or enhance the Integrated Field System (IFS) based on results of phase one (Business Process Review [BPR]) (Milestone EXC-M02)

- Hire and train staff, and implement new case intake and assignment processes for EXC's newly established Enforcement and Litigation Division (CEL) to strengthen substantial product hazard investigations, administrative litigation, civil penalty investigations, and to support other enforcement activities in EXC (Milestone EXC-M07)

- Consolidate EXC's Internet Surveillance Unit (ISU) under one supervisor to more strategically and effectively address increased volume of compliance work related to e-commerce, including counterfeit products that pose a safety risk (Milestone EXC-M08)

- Develop two additional internal enforcement guides related to one durable nursery product and one chemical or mechanical product (Milestone EXC-M01)

- Incorporate stakeholder input and continue to develop a new, user-friendly online Fast-Track portal to improve the user experience and ensure the agency receives necessary and consistent information at the outset of Fast-Track cases (Milestone EXC-M03)

- Prioritize e-commerce sampling to support regulatory enforcement in the areas of toy labeling, PPPA, bicycle helmets, and durable nursery products (Milestone EXC-M05)

- Take appropriate enforcement actions to address hazardous products on e-commerce platforms, including focusing on the distinct roles and activities of particular platforms (Milestone EXC-M08)

- Prioritize regulatory enforcement activities, including violations related to PPPA and ATV Action Plans (Milestone EXC-M09)

- Enforce the Child Nicotine Poisoning Prevention Act, including removal of noncompliant liquid nicotine containers from commerce (Milestone EXC-M09)

- Conduct outreach in cooperation with State and local officials to expand the reach of OCM's safety messages targeting underserved and under-represented populations (Milestone EXC-M04)

- Support the agency's enterprise data strategy development and implementation

3. Annual Milestones

Note: Milestones are monitored and reported internally.

Control ID	FY 2021 Milestone Statement
EXC-M01	Developed two additional internal enforcement guides related to one durable nursery product and one chemical or mechanical product
EXC-M02	Developed an Analysis of Alternatives to IFS based on results of the Business Process Review (BPR) that was completed in FY 2020
EXC-M03	Completed initial internal user acceptance testing for new, user-friendly Fast-Track online portal by end of FY2021
EXC-M04	Conducted two outreach initiatives in cooperation with State and local officials to expand the reach of OCM's safety messages targeting underserved and under-represented populations
EXC-M05	Conducted e-commerce sampling focused on toy labeling, PPPA, bicycle helmets, and durable nursery products
EXC-M06	Developed a database of ATV Action Plan holders to enhance enforcement of ATV regulations
EXC-M07	Refined allocation of staff resources, offered needed training, and implemented workflow processes within EXC's newly established Enforcement and Litigation Division (CEL)
EXC-M08	Reorganized EXC's Internet Surveillance Unit (ISU) to centralize ISU personnel on a single team under one ISU supervisor to address increased volume of compliance work related to e-commerce, including counterfeit and/or noncompliant products that pose a safety risk
EXC-M09	Prioritized regulatory enforcement programs related to PPPA, CNPPA, and ATV Action Plan violations including by using investigative methods available in a COVID-impacted environment

4. Project Descriptions

Listed in this section are EXC's FY 2021 project descriptions. Resources are obligated for FY 2021 work to be performed by the program office under each project, as described below.

31100 - Fire Hazards
This project provides resources for compliance enforcement and remediation activities to address risks to consumers from fire hazards associated with consumer products.

31102 - Fire Hazards: Non-regulated
This project provides resources for evaluating and analyzing epidemiology data to determine if there is a pattern of defect to warrant opening a case; conducting investigations of hazards, including evaluation of technical reports and in-depth field investigations; and executing consumer product recalls.

31103 - Fire Hazards: Regulated
This project provides resources for monitoring compliance with mandatory standards for products that the CPSC regulates. Additionally, the project provides resources for determining potential products of focus for the annual investigative program agenda.

31163 – Fireworks: Regulated
This project provides resources for compliance enforcement and remediation activities to stop the sale of fireworks that fail to comply with applicable FHSA requirements.

31183 – Lighters: Regulated
This project provides resources for compliance enforcement and remediation activities to stop the sale of cigarette lighters and multipurpose lighters that fail to comply with applicable CPSA and FHSA requirements.

31600 - Electrocution Hazards
This project provides resources for compliance enforcement and remediation activities that address defective products that present risks of electrocution.

31602 - Electrocution Hazards: Non-Regulated
This project provides resources for electrocution hazards associated with products not covered by mandatory regulations or standards that may involve a substantial product hazard.

31603 - Electrocution Hazards: Regulated
This project provides resources for electrocution hazards associated with products covered by mandatory regulations or standards.

32200 - Mechanical Hazards to Children
This project provides resources for compliance enforcement and remediation activities to address risks to children from products that present mechanical hazards. Included in this project are children's articles regulated under the FHSA and products that may present substantial product hazards (excludes drowning).

32202 - Mechanical Hazards to Children: Non-Regulated
This project provides resources for compliance activities to address mechanical hazards to children not covered by mandatory regulations or standards that may involve a substantial product hazard (excludes head injuries).

32203 - Mechanical Hazards to Children: Regulated
This project provides resources for compliance activities to address mechanical hazards to children associated with household products covered by mandatory regulations or standards (excludes drowning).

32223 - Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) (Pub. L. No. 110-140)
This project provides resources for compliance and remediation and state and local educational activities to address risks of drowning and entrapment hazards in pools and spas.

32253 - All-Terrain Vehicles (ATVs) (CPSIA § 232): Compliance Enforcement
This project provides resources for monitoring compliance with mandatory standards for ATVs. Additionally, the project provides resources for processing applications for ATV Action Plans, and the monitoring of compliance with Commission-approved ATV Action Plans.

In FY 2021, the CPSC will continue developing a database to store information on ATV Action Plan holders. This will enhance the agency's

enforcement of ATV regulations by streamlining the process of monitoring the ATV Action Plan holders.

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

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

32277 - EXC Leadership and Administration

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

32400 - Mechanical Hazards

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

32402 - Mechanical Hazards: Non-Regulated

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

32403 - Mechanical Hazards: Regulated

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

33700 - Chemical Hazards

This project provides resources for compliance enforcement and remediation activities to address risks to consumers from chemical hazards. Areas covered include FHSA labeling enforcement, lead hazards not addressed under the CPSIA, art materials, and emerging chemical hazard investigation.

33702 - Chemical Hazards: Non-Regulated

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

33703 - Chemical Hazards: Regulated

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

33777 – Compliance Field Investigation (CFI) Leadership and Administration

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

34301 - State/Local Programs

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

34381 - Internet Surveillance Program Support

This project provides resources for activities to conduct undercover Internet surveillance and monitoring of products sold to consumers via the Internet that have been recalled or that may otherwise violate a Commission rule or standard. Tasks include time to conduct Internet surveillance to review products sold online by various retailers, manufacturers, importers online, and/or third-party platform providers, and to follow up on consumer/trade complaints. In FY 2021, the CPSC will prioritize staffing and other resources to address the increase in e-commerce-related compliance activities.

34382 – Fast-Track Program

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

In FY 2021, with stakeholder input, the agency will continue development of a new online portal to

improve the user experience for businesses or other stakeholders in reporting and submitting Fast-Track recall cases.

34789 – Recall Effectiveness
This project provides resources to evaluate means for increasing effectiveness of product safety recalls at the consumer level.

34792 – Business Process Review (BPR)
This project provides resources to review our business processes for a full rebuild of the Integrated Field System (IFS), which is CPSC's database system that contains information about field activities, regulated products compliance, and recalls. This includes a review of regulatory case files, the defect case management system, sample assignment and retention, export notification procedures, and testing results of samples. In FY 2021, EXC will develop an Analysis of Alternatives

to IFS based on results of the BPR that was completed in FY 2020.

34351/34352 - Import Activities: Regulated/ Defects
In coordination with EXIS, EXC provides technical review of hazards identified at ports of entry and negotiates Corrective Action Plans (CAPs) with firms on products that have a violation at time of import. The Field currently monitors ports of entry where EXIS teams do not have a full-time presence; these are ports that have a lower volume of imported goods under CPSC's jurisdiction.

52679 – Prohibited Acts (CPSA §§ 19 and 20)
This project provides resources to review cases for potential civil and criminal penalties based on firms' commission of prohibited acts set forth in CPSA, FHSA, and FFA and other statutes administered by the CPSC.

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

Control ID	Key Performance Measure Statement	FY 2021 Target
2021KM3.1.01	Percentage of cases for which a preliminary determination is made within 85 business days of the case opening (Hazard Priorities A, B, and C)	65%
2021KM3.1.02	Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection (excludes fireworks)	85%
2021KM3.1.03	Percentage of fireworks cases for which a compliance determination of a regulatory violation is made within 70 business days of sample collection	85%
2021KM3.2.02	Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection (excludes fireworks)	85%
2021KM3.2.03	Percentage of Fast-Track cases with corrective actions initiated within 20 business days of the case opening	90%
2021KM3.2.05	Percentage of fireworks cases for which a firm is notified of a regulatory violation within 75 business days from sample collection	85%
2021KM3.2.06	Percentage of cases for which a corrective action plan (CAP) is accepted or public notice of hazard is issued within 90 business days of a Preliminary Determination (Hazard Priorities A, B, and C)	Baseline
2021KM3.3.01	Recall effectiveness rate for all consumer product recalls	25%

6. Summary of Operating Performance Measures

Note: Operating Performance Measures are monitored and reported internally.

Control ID	Operating Performance Measure Statement	FY 2021 Target
2021OP23	Percentage of non-HAZMAT samples collected for evaluation that are shipped within 5 business days of collection	85%
2021OP24	Percentage of field investigations for Compliance completed in fewer than 45 business days	95%
2021OP26	Percentage of cases for which a compliance determination of a regulatory violation is made within 5 business days of completed sample evaluations (excludes fireworks)	85%
2021OP27	Percentage of cases where a Full Report request is initiated within 5 business days of case opening	90%
2021OP28	Percentage of cases for which a firm is first notified of a regulatory violation within 30 business days from compliance determination of a violation	90%
2021OP29	Percentage of recall effectiveness checks assigned within 10 business days of CAP acceptance	85%
2021OP103	Percentage of fireworks cases for which a compliance determination of a regulatory violation is made within 10 business days of completed sample evaluations	85%
2021OP105	Percentage of recalls in which the firm agrees to use social media to communicate a recall	Baseline
2021OP107	Percentage of correction action plans (CAPs) in cases with a Preliminary Determination (Hazard Priorities A, B, and C) including direct notice to known consumers and a request for direct notice and follow-up with distributors and retailers	90%

Office of Import Surveillance (EXIS)
James Joholske, Assistant Executive Director (AED)

1. Resource Summary

	FY 2021 Operating Plan	
	Budget (in thousands)	**FTE**
Import Surveillance[7]	$ 864.1	42

2. Overview and Priority Activities

The Office of Import Surveillance (EXIS) is a co-Goal Leader for Strategic Goal 2 (Prevention) and is responsible for coordinating with the U.S. Department of Homeland Security's (DHS) U.S. Customs and Border Protection (CBP) to prevent noncompliant or hazardous products from entering the United States. EXIS has 32 investigators co-located at select ports of entry that account for approximately 72 percent of consumer product import entry lines that are risk-scored in the Risk Assessment Methodology (RAM) system. The CPSC also collaborates with CBP at the Commercial Targeting and Analysis Center (CTAC) to implement national operations designed to coordinate and optimize the federal government's response to product risk at importation.

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

FY 2021 Priority Activities:
- Provide training to the import community on CPSC's requirements through participation in trade events (Milestone EXIS-M01)
- Conduct individual education outreach to importers after their first violation of a CPSC requirement in an effort to avoid future noncompliance (Operating Measure 2021OP32)
- Train partner federal agencies on CPSC's requirements and priorities to maximize collaboration on enforcement at ports of entry (Operating Measure 2021OP33)
- Identify and examine potentially noncompliant consumer products, including counterfeit products that also pose a safety risk, through maximization of port presence. *In-person shipment examinations at ports may be impacted due to COVID-19. EXIS has developed and implemented mitigating procedures that allow for remote examinations of products, in coordination with CBP and importers.* (Milestone EXIS-M03, Milestone EXIS-M05)
- Support the Border Interagency Executive Council (BIEC) in implementing the International Trade Data System (ITDS) (Milestone EXIS-M08)
- Coordinate with other CPSC offices regarding the state of e-commerce, focusing on possible data sources, including leveraging Intellectual Property Rights seizure data, available to risk-assess large volumes of small shipments, staffing requirements to support exams of e-commerce shipments at their corresponding ports of entry, and potential partnership opportunities with the trade and other government entities to facilitate e-commerce enforcement (Milestone EXIS-M06)
- Conduct an e-commerce pilot in coordination with CBP at an express carrier facility, building upon information gathered in the initial pilot conducted in FY 2020 (Milestone EXIS-M04)
- Implement a policy that expedites enforcement actions on certain noncompliant imported products at ports of entry (Milestone EXIS-M02, Milestone EXIS-M07)
- Support the agency's enterprise data strategy development and implementation

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

3. Annual Milestones

Note: Milestones are monitored and reported internally.

Control ID	FY 2021 Milestone Statement
EXIS-M01	Provided import surveillance training jointly with CPSC's Small Business Ombudsman to importers, including those identified as first-time violators
EXIS-M02	Implemented a policy that expedites enforcement actions on certain noncompliant imported products at ports of entry
EXIS-M03	Continued to implement a national program to target all 15(j) rules through CPSC's co-location at CTAC
EXIS-M04	Conducted an e-commerce pilot in coordination with CBP at an express carrier facility and provided an evaluation report of findings
EXIS-M05	Continued to implement an exam screening program for identified priority Section 104 products
EXIS-M06	Coordinate with other CPSC offices regarding the state of e-commerce, including data sources available for risk assessment, staffing needs to support examinations, and potential partnership opportunities with the trade and other government entities
EXIS-M07	Implemented the import surveillance component for FY 2021 compliance enforcement programs
EXIS-M08	Supported implementation of the International Trade Data System (ITDS) through participation in Border Interagency Executive Council (BIEC) working group and Principals' meetings

4. Project Descriptions

Listed in this section are EXIS's FY 2021 project descriptions. Resources are obligated for FY 2021 work to be performed by the program office under each project, as described below.

34341 – Import Emerging Risk Coordination (e-commerce)

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

34351 - Import: Regulated

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

34352 - Import: Defects

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

34353 - Import: Mission Support Activities

This project provides resources to support the agency's import surveillance mission and includes activities performed by CPSC's operations support staff.

34360 - Commercial Targeting and Analysis Center (CTAC) Support

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

34377 - EXIS Leadership and Administration

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

5. Summary of Key Performance Measures

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

Control ID	Key Performance Measure Statement	FY 2021 Target
2021KM2.2.07	Percentage of firms that are engaged with a timely establishment inspection after being identified as a repeat offender	75%
2021KM2.3.01	Percentage of consumer product imports, identified as high-risk, examined at import	80%
2021KM2.3.02	Percentage of import shipments processed through the Risk Assessment Methodology (RAM) system that are cleared within 1 business day	99%
2021KM2.3.04	Number of import examinations completed	32,000

6. Summary of Operating Performance Measures

Note: Operating Performance Measures are monitored and reported internally.

Control ID	Operating Performance Measure Statement	FY 2021 Target
2021OP32	Percentage of first-time violators who are engaged with a timely informed compliance inspection after violation determination	80%
2021OP33	Number of ports at which CPSC will cross-train other federal agencies' staff to identify hazardous imported products	17
2021OP35	Percentage of priority import regulated samples completed within 60 days (from collection date to CBP Notification date)	90%

Office of International Programs (EXIP)

Richard O'Brien, Director

1. Resource Summary

	FY 2021 Operating Plan	
	Budget (in thousands)	FTE
Office of International Programs	$ 720.3	7

2. Overview and Priority Activities

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

FY 2021 Priority Activities:

- Train foreign-based industry representatives on U.S. product safety requirements and train foreign government product safety officials on CPSC policies, procedures, and best practices based on priority topics, as indicated by annual data analysis (Milestone EXIP-M02)

- Improve cooperation with international partners on product safety policy to reduce the manufacture and international trade in hazardous products (Milestone EXIP-M03)

- Focus on using every means at its disposal to deliver electronically, to suppliers in China and other exporting countries, a range of training and informational material useful for meeting U.S. product safety requirements until CPSC presence at the Beijing office resumes (Milestone EXIP-M04)

- Present the agency's product safety messaging at international forums in which the CPSC represents the U.S. government, with the aim of reducing the manufacture and international trade in hazardous products (Milestone EXIP-M05)

- Continue production of product safety video series for Chinese manufacturers – Topics selected through annual data analysis (Milestone EXIP-M06)

- Provide timely information about recalls directly to foreign regulators and other stakeholders via the OECD's *GlobalRecalls* portal (Milestone EXIP-M07)

- Work with a foreign partner agency to define a specific project of mutual interest that can be accomplished by collaborating remotely, via scheduled video meetings and email consultations, over a period of several months (Milestone EXIP-M08)

- Support the agency's enterprise data strategy development and implementation (Milestone EXIP-M09)

3. Annual Milestones

Note: Milestones are monitored and reported internally.

Control ID	FY 2021 Milestone Statement
EXIP-M01	Updated program plans for FY 2021 with outcomes for each program area
EXIP-M02	Produced 10 events (in-person or virtual), explaining CPSC safety requirements, best practices, and regulatory policies to foreign government officials
EXIP-M03	Conducted two Annual Buyer's Training Seminars for industry-purchasing managers in China and Vietnam (one each) on topics selected through annual data analysis
EXIP-M04	Produced 13 (in-person or virtual) training events on CPSC product safety requirements for foreign-based industry representatives
EXIP-M05	Participated in the North America Consumer Product Safety Summit to be held in Ottawa during June 2021 among the three national product safety authorities
EXIP-M06	Produced two new episodes of product safety video series in Chinese language and posted videos on the Web
EXIP-M07	Provided timely information about recalls directly to foreign regulators and other stakeholders via the OECD's *GlobalRecalls* portal
EXIP-M08	Completed one special project of mutual interest with a foreign regulatory partner, aimed at reducing manufacture and trade of hazardous consumer products
EXIP-M09	Contributed to the agency's enterprise data strategy development and implementation through customer consultations with EXIT on resource requirements

4. Project Descriptions

Listed in this section are EXIP's FY 2021 project descriptions. Resources are obligated for FY 2021 work to be performed by the program office under each project, as described below.

53148 - Overseas Office
This project provides resources for operations of CPSC's office in Beijing, China to promote compliance with U.S. product safety requirements among exporters in Asia, especially China, and to coordinate with product safety regulators in the region.

53149 - International Program
This project provides resources for supervising the work of CPSC's international programs.

53152 - China Program
China is the largest supplier of consumer product imports to the United States. EXIP's China Program is focused on outreach to consumer product suppliers in China and engagement with CPSC's government counterparts in China. The program provides training and guidance for Chinese and American manufacturing professionals, as well as resources for encouraging manufacturing practices that result in safer consumer products. This project includes resources for intergovernmental meetings and industry training events.

53153 - European / International Organizations Program
The CPSC works with counterpart agencies of the European Union (EU) and participates in product safety groups within international organizations, such as the OECD. The CPSC's work with the EU consists of joint efforts to improve the safety of consumer products imported from common supplier jurisdictions.

53154 - Selected Asia Pacific Program
This program covers CPSC's work with Australia, New Zealand, Japan, South Korea, and Taiwan. Resources are used for developing closer relations with these jurisdictions. The program is aimed at

improving the safety of products from the region's manufacturers and partnering with key governments to cooperate on product safety policies. This project includes resources for intergovernmental meetings and industry training events.

53155 - Southeast Asia Program

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

53156 - Western Hemisphere Program

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

53177- EXIP Leadership and Administration

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

5. Summary of Key Performance Measures

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

Control ID	Key Performance Measure Statement	FY 2021 Target
2021KM2.2.08	Recalls per Billion Dollars in Consumer Product Imports for Top 50 Import Sources Countries or Administrative Areas	< 0.33

6. Summary of Operating Performance Measures

Note: Operating Performance Measures are monitored and reported internally.

Control ID	Operating Performance Measure Statement	FY 2021 Target
2021OP36	Number of training or outreach seminars for foreign-based industry representatives conducted by CPSC staff	13
2021OP37	Number of trainings for foreign regulatory agencies conducted by CPSC staff	10
2021OP108	Number of special projects completed with a foreign regulatory partner, aimed at reducing manufacture and trade of hazardous consumer products	1

Office of Communications (OCM)

Joseph Martyak, Director

1. Resource Summary

	FY 2021 Operating Plan	
	Budget (in thousands)	**FTE**
Office of Communications	$ 1,227.3	10
Campaigns	$ 1,500.0	
Total	**$ 2,727.3**	**10**

2. Overview and Priority Activities

The Office of Communications (OCM) is the Goal Leader for Strategic Goal 4 (Communications) and is responsible for raising public awareness through timely and targeted information about consumer product safety issues and helping to empower individual citizens with information. This includes outreach on product safety hazards associated with deaths or injuries, and notifying the public about recalls and new Commission-implemented safety requirements. OCM uses a variety of channels to reach the public, including traditional, digital, and social media, as well as events or activities. OCM also uses syndicating tools to ensure that recalls and safety messages are widely distributed within seconds to the media and other communication channels.

FY 2021 Priority Activities:

- Explore innovative avenues for raising awareness of safety issues, including new online and social media communication

- Continue outreach campaigns for a variety of safety issues, including Anchor It!, *Pool Safely*, Safe to Sleep®, window coverings, ATV/ROV Safety, carbon monoxide, magnets, COVID-related safety, micromobility, brain safety/youth sports (Milestone OCM-M01)

- Create and/or expand outreach campaigns for a variety of product safety issues, including DIY/home improvements, hazardous counterfeits, senior safety, emerging/unexpected hazards, and CPSC branding (including SaferProducts.gov) (Milestone OCM-M03, Milestone OCM-M04)

- Produce an implementation plan for the Commission outlining the media strategy for each of the Information and Education Campaigns (MIS 42549, 42616). The plan shall include, as appropriate, for each campaign: Goals and Objectives, Data, Target Audience(s), Communications Activities, and Key Performance Indicators. (Milestone OCM-M05)

- Expand social media engagement with CPSC safety messages and recalls (Milestone OCM-M02)

- Conduct community outreach events/activities (including virtual or digital events as necessary) to reach at-risk consumers aimed at raising awareness of and preventing injuries and deaths from hazards associated with consumer products

3. Annual Milestones

Note: Milestones are monitored and reported internally.

Control ID	FY 2021 Milestone Statement
OCM-M01	Implemented findings from Anchor It! effectiveness survey in the outreach campaign
OCM-M02	Produced three new video products in FY 2021 for use on CPSC social media or websites with contracted stock footage
OCM-M03	Continued implementation of new branding for CPSC publications, documents, and alerts in FY 2021
OCM-M04	In FY 2021, developed communications activity on up to three emerging hazards and posted the activity on CPSC's website or social media site
OCM-M05	Presented to the Commission, no later than six weeks after the passage of the FY 2021 Operating Plan, an implementation plan for each of the Information and Education Campaigns OCM plans to undertake

4. Project Descriptions

Listed in this section are OCM's FY 2021 project descriptions. Resources are obligated for FY 2021 work to be performed by the program office under each project, as described below.

42286 - Distribution Services
This project provides resources for contracting services for storage and distribution of all of CPSC's print publications.

42549 – Information and Education (I&E) Outreach Campaigns
This project provides resources for the following I&E campaigns: Anchor It!, Pool Safely, Safe to Sleep®, window coverings, ATV/ROV safety, carbon monoxide, magnets, COVID-related safety, micromobility, brain safety/youth sports, DIY/home improvement, hazardous counterfeits, senior safety, emerging/unexpected hazards, and CPSC branding.

42616 - Seasonal Programs
This project provides resources to conduct work on safety messaging for seasonal issues, including holiday safety, weather-related issues, and assorted time-of-year safety issues.

44201 - Hotline
This project provides resources for contracting services to manage and operate the CPSC Hotline, including the intake and processing or reporting of calls, emails, and consumer incident reports.

44563 - Recalls/Alerts
This project provides resources to announce and raise consumer awareness about product safety recalls.

44565 - Media Relations
This project provides resources for newswire distribution of CPSC news releases and announcements, including Spanish translation and distribution services.

44577 - Communications Administration
This project provides resources for OCM travel, transportation, printing, and purchases of supplies, samples, and equipment to support OCM operations.

44699 - Video Communication
This project provides resources for contracting video production services. The contractor will create, record, edit, and distribute public service announcements, video news releases, and satellite and radio media tours to broadcast stations nationwide.

44792 - Hearing Room Operations and Maintenance
This project provides resources for use and maintenance of the CPSC headquarters' hearing room equipment and materials. Additionally, the project provides resources for contracting captioning and transcription services for conferences, meetings, and other activities held in the Commission hearing room (that are not otherwise handled by the Division of the Secretariat [OS]).

44793 - Digital Communications
This project provides resources for the development, production, and distribution of CPSC product safety messages via online platforms.

44795 - Media Monitoring
This project provides resources for contracting news monitoring services, including reports of news coverage involving CPSC actions, as well as news from TV, radio, print, and online sources.

44796 – Innovative Strategies
This project provides resources for the following:
- A contractor's report to the Director of OCM recommending innovative strategies on new or existing safety campaigns

- The initiation of at least three innovative strategies
- An end-of-year report update with case studies of the strategies used. Examples could include:
  - Working with national magazines to include safety-related content
  - Working on safety messaging for TV and film
  - Safety messaging collaborations with retailers
  - The use of influencers
  - Continued development of CPSC App content

5. Summary of Key Performance Measures

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

Control ID	Key Performance Measure Statement	FY 2021 Target
2021KM4.1.02	Number of engagements with CPSC safety messaging on social media channels by stakeholders (in millions)	3
2021KM4.2.04	Number of national media placements of CPSC stories	10
2021KM4.2.06	Percentage of recall press releases cycled through the Office of Communications in 2 business days or less once received from the Office of Compliance & Field Operations	80%

6. Summary of Operating Performance Measures

Note: Operating Performance Measures are monitored and reported internally.

Control ID	Operating Performance Measure Statement	FY 2021 Target
2021OP41	Number of messages sent to Neighborhood Safety Network (NSN)	24
2021OP43	Number of visits to CPSC websites (in millions)	12
2021OP44	Number of followers on Twitter and other CPSC social media accounts signed up to receive CPSC safety messages in English and Spanish	130,000
2021OP45	Number of community outreach activities (including virtual or digital) conducted	10
2021OP46	Number of pool and spa safety information and education activities (including virtual or digital) conducted	4
2021OP48	Number of furniture and television tip-over prevention activities (including virtual or digital) conducted	4
2021OP49	Number of Safe to Sleep® activities (including virtual or digital) conducted	7
2021OP51	Percentage of voicemail messages responded to by Hotline staff by the next business day	98%
2021OP52	Percentage of incoming calls to Hotline operators that are abandoned	< 5%
2021OP53	Percentage of incoming calls sent to Hotline operators that are answered within 30 seconds	80%

Office of Information & Technology Services (EXIT)

James Rolfes, Chief Information Officer (CIO) and Chief Data Officer (CDO)

1. Resource Summary

	FY 2021 Operating Plan	
	Budget (in thousands)	**FTE**
Office of Information Technology	$ 80	40
IT Infrastructure	$ 7,345	
CPSC's Information Systems	$ 6,991	
Risk Assessment Methodology – Import	$ 2,600	
Total	**$ 17,016**	**40**

2. Overview and Priority Activities

The Office of Information & Technology Services (EXIT) provides information resource management products and services to support directly and indirectly all agency programs for overall mission achievement. EXIT is responsible for the development, implementation, operations, maintenance, and protection of all information technology, networks, and systems for the CPSC. EXIT is also responsible for policy, planning, and compliance activities related to the effective management of information and technology, as required by law, regulation, and policy, including, but not limited to, Office of Management and Budget (OMB) Circulars No. A-11 and No. A-130, Clinger Cohen Act of 1996 (CCA), Federal Information Technology Acquisition Reform Act (FITARA), Federal Information Security Management Act (FISMA), Government Paperwork Elimination Act (GPEA), Section 508 of the Rehabilitation Act, the E-Government Act of 2002, and the Foundations of Evidence-Based Policy Making Act of 2018.

FY 2021 Priority Activities:

- Establish a Data Lake and implement data governance and enhanced data reporting and visualization capabilities (Milestone EXIT-M02, Milestone EXIT-M03)
- Update the agency's internet platform and implement site-wide design changes to improve overall customer experience in compliance with the 21st Century IDEA (Milestone EXIT-M01)
- Maintain focus on protection of CPSC data and systems by continuing improvements on security management practices: specific initiatives include review of System of Records Notices (SORN) practices and processes, cloud back up, and vulnerability scanning in support of continuous diagnostics and monitoring (CDM) (Milestone EXIT-M04)
- Continue expansion of the use of shared services and cloud-based service offerings (Milestone EXIT-M05)

3. Annual Milestones

Note: Milestones are monitored and reported internally.

Control ID	FY 2021 Milestone Target
EXIT-M01	Implemented updated platform and redesign to CPSC's website
EXIT-M02	Established an agency Data Lake to store and provide access to agency data assets for analytical and reporting purposes
EXIT-M03	Provided unified enterprise reporting capability that enables improved user-driven exploration and analysis.
EXIT-M04	Implemented improved cybersecurity infrastructure monitoring capabilities
EXIT-M05	Implemented cloud backup solution

4. Project Descriptions

Listed in this section are EXIT's FY 2021 project descriptions. Resources are obligated for FY 2021 work to be performed by the program office under each project, as described below:

13328 - Consumer Product Safety Risk Management System (CPSRMS)

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

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

In FY 2021, with stakeholder input, EXIT will initiate development of a new online portal to improve user experience for businesses and other stakeholders in reporting and submitting Fast-Track recall cases. The project will include integration with the DCM system.

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

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

- Intended for import into the United States
- Likely to include consumer products in violation of CPSC statutes

This project includes activities to evaluate, assess, and share information with CBP about shipments of consumer products intended for import into the customs territory of the United States. In FY 2021, EXIT will continue to maintain existing functionality in RAM 2.0, as well as expand incrementally RAM functionality. Enhancements include:

(1) Sharing forms electronically with the trade through CBP's Automated Commercial Environment (ACE) system
(2) Further enhancing targeting methodologies to identify high-risk entities
(3) Implementing infrastructure improvements and processes to prepare for cloud migration in the future. The improvements include:
   - o System load testing
   - o Updating the design frameworks
   - o Integrating multiple code repositories
   - o Improving system development processes, testing procedures, and security enhancements
   - o Enabling single sign-on to improve user experience and security

54174 - EXIT Leadership and Administration
This project provides resources for EXIT travel, transportation, printing, and purchases of supplies, samples, and equipment to support EXIT operations.

54575 - IT Security
This project provides resources for implementation and management of CPSC's IT Security program, which involves maintaining a secure information environment throughout the CPSC and ensuring information system confidentiality, integrity, and availability.

In FY 2021, EXIT will enhance its system vulnerability identification capabilities by improving the scanning process for the agency's public websites. EXIT will also deploy automated scanning agents to all critical agency systems to improve continuous monitoring capabilities. Those agents will extend vulnerability scanning coverage and provide visibility into mobile endpoints. Privacy improvements for FY 2021 will include a review and update of the agency's System of Records Notices (SORN) and a review and update of related processes and procedures.

99933 - Voice/Data Telecommunications
This project provides resources for services, including: voice (local and long distance), cellular, wide area network (WAN), local dedicated data lines, domain, and Web streaming; telecom equipment; and maintenance and repairs, which are administered by EXIT. In FY 2021, EXIT will continue to expand its modernized phone capabilities by planning the integration of all the conference room phones into a new infrastructure.

99945 - Capital Replacement
This project provides resources for annual investment and maintenance costs of IT-based systems. This includes upgrading hardware and software assets and replacing aging systems, such as user laptops and computer monitors, server hardware, routers, switches, desktop telephones, and Network Attached Storage systems.

99947 - Programming Support
This project provides resources for contract programmers, database administrator services, and services associated with system design and requirements development to support the agency's IT applications. In FY 2021, EXIT will modernize the

NEISS hospital application, to address technology obsolescence and ongoing support risks and provide improved usability.

❖ **IT Modernization of IFS:** The Office of Compliance and Field Operations (EXC) initiated a Business Process Review (BPR) for future IT modernization of the Integrated Field System (IFS) during FY 2019. In FY 2020, EXC evaluated the results of the BPR to create functional requirements necessary for system development. In FY 2021, EXIT will support EXC by aligning their functional requirements with approved agency technology platforms.

99951 - User Support
This project provides resources for supporting end users of the agency's equipment, software, systems, and services (*e.g.*, Help Desk support, software licensing, and printer maintenance). In FY 2021, EXIT will update end user capabilities by providing mobile thin-client technology. This will also improve endpoint security and hardware support. Additionally, EXIT will complete the migration of end-user desktops to the Windows 10 environment.

99952 - Network Management
This project provides resources for supporting management of the agency's IT infrastructure, which includes operations and maintenance of networks, servers, and other IT equipment and systems. In FY 2021, EXIT will continue its migration to the cloud by transitioning from legacy on-premise tape backup to cloud backup to streamline operations and recoverability.

99953 - Website Management
This project provides resources for operating and maintaining CPSC's websites to meet the needs of the agency, consumers, businesses, and other stakeholders who seek relevant information about CPSC activities.

In FY 2021, EXIT will continue to operate and maintain agency websites and will modernize CPSC.gov by updating the agency's core internet platform and applying site-wide design changes to improve visitor usability.

99954 - IT Business Applications
This project provides resources for systems, including those from shared services providers that support CPSC's Office of Human Resources

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

99955 – Enterprise and Data Architecture

This project provides resources associated with developing an enterprise-wide framework for software, hardware, and data. This would include cataloging and maintaining an inventory of software and hardware assets, capabilities, and data elements. In FY 2021, EXIT will establish an agency Data Lake to store and provide access to agency data sets for analytical and reporting purposes. It will include implementation of data management and governance best practices. EXIT will demonstrate tangible benefits of these

approaches to the agency through implementation of streamlined reporting and visualization solutions for complex data report production that currently relies on labor-intensive manual approaches for data preparation and processing.

Additionally, in FY 2021, EXIT will continue meeting with partner organizations to support the Data Management Working Group (DMWG) and address agency data challenges and needs. EXIT will also develop an agency comprehensive data inventory, update the Federal Data Catalog (Data.gov), and update the agency Open Data Plan to comply with the Foundations for Evidence-based Policymaking Act of 2018.

5. Summary of Key Performance Measures - None

6. Summary of Operating Performance Measures

Note: Operating Performance Measures are monitored and reported internally.

Control ID	Operating Performance Measure Statement	FY 2021 Target
2021OP65	Percentage of operating uptime for IT systems	97%
2021OP66	Percentage of operating uptime for IT networks	98%
2021OP91	Percentage of critical vulnerabilities addressed from U.S. CERT (United States Computer Emergency Readiness Team) within 3 business days	100%

Other Offices
(Milestones and measures only)

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

1. Summary of Key Performance Measures

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

Office	Control ID	Key Performance Measure Statement	FY 2021 Target
EXRM	2021KM1.1.02	Percentage of full-time equivalents (FTEs) utilized	96%
EXRM	2021KM1.2.01	Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey)	70%
EXRM	2021KM1.3.01	Percentage of hiring managers trained on recruitment	80%
EXRM	2021KM1.4.01	High-performing Federal Workforce - Employee Engagement Index Score	70%

2. Summary of Operating Performance Measures

Note: Operating Plan Measures are monitored and reported internally.

Office	Control ID	Operating Performance Measure Statement	FY 2021 Target
EXRM	2021OP69	Percentage of employees who agree that the work unit has the job relevant knowledge and skills necessary to accomplish organizational goals	76%
EXRM	2021OP71	Percentage of managers and administrative personnel who have been trained on human capital analytics and reporting	90%
EXRM	2021OP72	Percentage of managers and administrative personnel granted access to human capital reporting	80%
EXRM	2021OP73	Percentage of managers and employees trained on MIS reporting through WebTA	95%
EXRM	2021OP75	Percentage of employees with Individual Development Plans (IDPs) in place	50%
EXRM	2021OP76	Number of developmental opportunities available to employees through the Agency Training plan	30
EXRM	2021OP77	Cumulative percentage of employees that participate in the Agency Coaching Program	16%
EXRM	2021OP78	Percentage of Pathways Recent Grad appointments converted to permanent status	70%
EXRM	2021OP80	Percentage of vacancies filled through first announcement	75%
EXRM/ OEEO	2021OP81	Number of diversity outreach activities conducted	30
EXRM	2021OP82	Percentage of employees who agree that creativity and innovation are rewarded	50%
EXRM	2021OP83	Number of informational opportunities on work-life balance provided to employees and managers	30
EXRM	2021OP84	Number of wellness events offered	30

Office	Control ID	Operating Performance Measure Statement	FY 2021 Target
EXRM	2021OP85	Percentage of employees who are satisfied with the health and wellness programs in CPSC	88%
EXRM	2021OP92	Average score of hiring managers satisfied with applicant listing	7.5
EXRM	2021OP93	Percentage of vacancies that use Listservs for targeted recruitment	50%
EXRM	2021OP94	Percentage of managers trained on effective performance management	80%
EXRM	2021OP95	Percentage of employees trained on performance policy	80%
OEEO	2021OP87	Percentage of annual Equal Employment Opportunity (EEO) complaints closed within required timeframes	100%
OEEO	2021OP96	Percentage of employees trained in diversity and inclusion	50%
OEX	2021OP88	Number of domestic training and outreach activities delivered to industry stakeholders by the Small Business Ombudsman (SBO)	12
OEX	2021OP98	Percentage of respondents providing positive feedback on the usefulness of safety information provided by CPSC staff	85%
OEX	2021OP106	Percentage of inquiries to the Consumer Ombudsman resolved within 5 business days	80%

3. Annual Milestones

Note: Milestones are monitored and reported internally.

Office	Control ID	FY 2021 Milestone Statement
EXRM	EXRM-M01	Continued to implement Agency Coaching Program
EXRM	EXRM-M02	FY 2021 Human Capital activities completed
EXRM	EXRM-M03	Held quarterly meetings for CPSC user group to assess user needs, share best practices, and communicate system changes
EXRM	EXRM-M04	Continued to provide training to employees and managers on IDPs
EXRM	EXRM-M05	Implemented plan to increase hiring managers' participation in the hiring process
EXRM	EXRM-M06	Continued utilization of CPSC recruitment video for outreach and marketing
EXRM	EXRM-M07	FY 2021 action plan from the Employee Engagement Initiative developed
EXRM/ OEEO	EXRM-M08	Annual plan for attending career fairs implemented
EXRM	EXRM-M09	Continued to provide training for employees and supervisors on the telework program
EXRM	EXRM-M10	FY 2021 Plan for informational opportunities for work-life issues developed
EXRM	EXRM-M11	Annual plan for wellness activities developed

4. VGB Act Grants

Office		FY 2021 Project
EXFM	22662	Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) (Pub L. No.110-140) – Grants Administration

Appendix A
Summary of CPSC's FY 2021 Key Performance Measures

The table below presents CPSC's FY 2021 Key Performance Measures (KMs), comparing KMs that were submitted as part of the FY 2021 *Request* (February 2020) with KMs that are included in this document, the FY 2021 Operating Plan (October 2020). The rightmost column indicates KM change(s) that occurred between publications of the FY 2021 *Request* and the FY 2021 Operating Plan—discontinuation, replacement, or revision to the KM's measure statement and/or annual target.

Strategic Objective (SO)	Key Performance Measure (KM)	Lead Office	FY 2021 *Request*	FY 2021 Op Plan	Changes from *Request* to Operating Plan
Goal 1: Workforce Cultivate the most effective consumer product safety workforce					
SO 1.1 Enhance effective strategic human capital planning and alignment	**2021KM1.1.02** Percentage of full-time equivalents (FTEs) utilized	EXRM	96%	96%	N/A
SO 1.2 Foster a culture of continuous development	**2021KM1.2.01** Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey)		70%	70%	N/A
SO 1.3 Attract and recruit a talented and diverse workforce	**2021KM1.3.01** Percentage of hiring managers trained on recruitment		80%	80%	N/A
SO 1.4 Increase employee engagement	**2021KM1.4.01** High-performing Federal Workforce – Employee Engagement Index Score		70%	70%	N/A
Goal 2: Prevention Prevent hazardous products from reaching consumers					
SO 2.1 Improve identification and assessment of hazards to consumers	**2021KM2.1.01** Percentage of consumer product-related incident reports warranting follow-up actions	EXHR	25%		Discontinued
	2021KM2.1.02 Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards		11	11	N/A
	2021KM2.1.03 Percentage of consumer product-related injury cases correctly captured at NEISS hospitals		90%	90%	N/A
SO 2.2 Lead efforts to improve the safety of consumer products before they reach the marketplace	**2021KM2.2.01** Number of voluntary standards activities in which CPSC actively participates	EXHR	79	78	Revised Target
	2021KM2.2.02 Number of candidates for rulemaking prepared for Commission consideration		5	10	Revised Target
	2021KM2.2.07 Percentage of firms that are engaged with a timely establishment inspection after being identified as a repeat offender	EXIS	75%	75%	N/A
	2021KM2.2.08 *FY 2021 Request (previous):* Recalls per Billion Dollars in Consumer Product Imports for Top 50 Import Sources Nations *FY 2021 Operating Plan Revision:* Recalls per Billion Dollars in Consumer Product Imports for Top 50 Import Sources Countries or Administrative Areas	EXIP	< 0.33	< 0.33	Revised Statement

Strategic Objective (SO)	Key Performance Measure (KM)	Lead Office	FY 2021 *Request*	FY 2021 Op Plan	Changes from *Request* to Operating Plan
SO 2.3 Increase capability to identify and stop imported hazardous consumer products	**2021KM2.3.01** Percentage of consumer product imports, identified as high-risk, examined at import	EXIS	80%	80%	N/A
	2021KM2.3.02 Percentage of import shipments processed through the Risk Assessment Methodology (RAM) system that are cleared within 1 business day		99%	99%	N/A
	2021KM2.3.04 Number of import examinations completed		32,000	32,000	N/A
Goal 3: Response Respond quickly to address hazardous consumer products both in the marketplace and with consumers					
SO 3.1 Rapidly identify hazardous consumer products for enforcement action	**2021KM3.1.01** *FY 2021 Request (previous):* Percentage of cases for which a preliminary determination is made within 85 business days of the case opening *FY 2021 Operating Plan Revision:* Percentage of cases for which a preliminary determination is made within 85 business days of the case opening (Hazard Priorities A, B, and C)	EXC	65%	65%	Revised Statement
	2021KM3.1.02 Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection (excludes fireworks)		85%	85%	N/A
	2021KM3.1.03 Percentage of fireworks cases for which a compliance determination of a regulatory violation is made within 70 business days of sample collection		85%	85%	N/A
SO 3.2 Minimize further exposure to hazardous consumer products	**2021KM3.2.02** Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection (excludes fireworks)	EXC	85%	85%	N/A
	2021KM3.2.03 Percentage of Fast-Track cases with corrective actions initiated within 20 business days of the case opening		90%	90%	N/A
	2021KM3.2.04 *FY 2021 Request (previous):* Percentage of cases for which a corrective action is accepted within 90 business days of preliminary determination *FY 2021 Operating Plan:* Replaced by 3.2.06		60%		Replaced by 3.2.06
	2021KM3.2.05 Percentage of fireworks cases for which a firm is notified of a regulatory violation within 75 business days from sample collection		85%	85%	N/A
	2021KM3.2.06 *FY 2021 Request (previous):* None *FY 2021 Operating Plan Replacement:* Percentage of cases for which a corrective action plan (CAP) is accepted or public notice of hazard is issued within 90 business days of a Preliminary Determination (Hazard Priorities A, B, and C)			Baseline	Replaces 3.2.04

Strategic Objective (SO)	Key Performance Measure (KM)	Lead Office	FY 2021 *Request*	FY 2021 Op Plan	Changes from *Request* to Operating Plan
SO 3.3 Improve consumer response to consumer product recalls	**2021KM3.3.01** Recall effectiveness rate for all consumer product recalls	EXC	25%	25%	N/A
Goal 4: Communication	Communicate useful information quickly and effectively to better inform decisions				
SO 4.1 Improve usefulness and availability of consumer product safety information	**2021KM4.1.02** *FY 2021 Request (previous):* Number of engagements with CPSC safety messaging on social media channels by stakeholders (in thousands) *FY 2021 Operating Plan Revision:* Number of engagements with CPSC safety messaging on social media channels by stakeholders (in millions)	OCM	860	3	Revised Target and Statement
SO 4.2 Increase dissemination of useful consumer product safety information	**2021KM4.2.04** Number of national media placements of CPSC stories	OCM	6	10	Revised Target
	2021KM4.2.05 *FY 2021 Request (previous):* Percentage of recall press releases issued in 22 business days or less from first draft *FY 2021 Operating Plan:* Replaced by 4.2.06		60%		Replaced by 4.2.06
	2021KM4.2.06 *FY 2021 Request (previous):* None *FY 2021 Operating Plan Replacement:* Percentage of recall press releases cycled through OCM in 2 business days or less once received from EXC			80%	Replaces 4.2.05
SO 4.3 Increase and enhance collaboration with stakeholders					

Appendix B
Summary of CPSC's FY 2021 Projects

Numerically listed in the table below are FY 2021 projects of the following CPSC organizations: EXHR, EXC, EXIS, EXIP, OCM, EXIT, and EXFM (Project 22662 only). Resources are obligated for FY 2021 work to be performed by the lead program office (and contributing program offices, if applicable) under each project below.

	FY 2021 Project	Strategic Goal	Office
11179	National Electronic Injury Surveillance System (NEISS)	2	EXHR
11282	Mortality/Incident Data	2	EXHR
12165	Investigations	2	EXHR
13327	Emerging Hazards	2	EXHR
13328	Consumer Product Safety Risk Management System (CPSRMS)	2	EXIT
13329	Integrated Teams	2	EXHR
13330	Data Intake	2	EXHR
13331	Petitions, OLA Support, and Other Hazard Work	2	EXHR
13332	Clearinghouse	2	EXHR
14125	Economics Studies	2	EXHR
21518	Electrical Hazards: Voluntary Standards and Codes	2	EXHR
21725	Fire Hazards: Voluntary Codes and Standards	2	EXHR
21726	Fire Hazards: Rulemaking Activities	2	EXHR
22560	Children's/Nursery Product Hazards: Voluntary Standards	2	EXHR
22637	All-Terrain Vehicles (ATVs): Rulemaking Activities	2	EXHR
22640	Older Consumer Safety Hazards	2	EXHR
22646	Table Saws: Rulemaking Activities	2	EXHR
22666	Mechanical Hazards: Voluntary Codes and Standards	2	EXHR
22667	Mechanical Hazards: Rulemaking Activities (General Use Products)	2	EXHR
22727	Children's/Nursery Product Hazards: Rulemaking Activities	2	EXHR
23258	Chemical Hazards: Voluntary Standards	2	EXHR
23259	Chemical Hazards: Rulemaking Activities	2	EXHR
23335	Combustion (Carbon Monoxide) Hazards: Voluntary Standards Activities	2	EXHR
23336	Combustion (Carbon Monoxide) Hazards: Rulemaking Activities	2	EXHR
23704	Nanotechnology	2	EXHR
24013	Laboratory Equipment and Operations Support	2	EXHR
24505	EXHR Project Support	2	EXHR
25720	Regulatory Management	2	EXHR
25723	Lab Accreditation (CPSIA § 102)	2	EXHR

	FY 2021 Project	Strategic Goal	Office
25727	Burden Reduction	2	EXHR
25777	EXHR Leadership and Administration	2	EXHR
22662	Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) (Pub L. No. 110-140) – Grants Administration	4	EXFM
31100	Fire Hazards	3	EXC
31102	Fire Hazards: Non-regulated	3	EXC
31103	Fire Hazards: Regulated	3	EXC
31163	Fireworks: Regulated	3	EXC
31183	Lighters: Regulated	3	EXC
31600	Electrocution Hazards	3	EXC
31602	Electrocution Hazards: Non-regulated	3	EXC
31603	Electrocution Hazards: Regulated	3	EXC
32200	Mechanical Hazards to Children	3	EXC
32202	Mechanical Hazards to Children: Non-regulated	3	EXC
32203	Mechanical Hazards to Children: Regulated	3	EXC
32223	Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) (Pub. L. No. 110-140)	3	EXC
32253	All-Terrain Vehicles (ATVs) (CPSIA § 232): Compliance Enforcement	3	EXC
32272	Substantial Product Hazard List and Destruction of Noncompliant Imported Products (CPSIA § 223): Section 15(j) Generic Defect Rules	3	EXC
32277	EXC Leadership and Administration	3	EXC
32400	Mechanical Hazards	3	EXC
32402	Mechanical Hazards: Non-regulated	3	EXC
32403	Mechanical Hazards: Regulated	3	EXC
33700	Chemical Hazards	3	EXC
33702	Chemical Hazards: Non-regulated	3	EXC
33703	Chemical Hazards: Regulated	3	EXC
33777	Compliance Field Investigation (CFI) Leadership and Administration	3	EXC
34310	Risk Assessment Methodology (RAM) (CPSIA § 222)	2	EXIT
34301	State/Local Programs	3	EXC
34381	Internet Surveillance Program Support	3	EXC
34382	Fast-Track Program	3	EXC
34789	Recall Effectiveness	3	EXC
34792	Business Process Review (BPR)	3	EXC
34341	Import Emerging Risk Coordination (e-commerce)	2	EXIS
34351	Import: Regulated	2	EXIS (Lead) EXHR, EXC (Contributing)

FY 2021 Project		Strategic Goal	Office
34352	Import: Defects	2	EXIS (Lead) EXHR, EXC (Contributing)
34353	Import: Mission Support Activities	2	EXIS
34360	Commercial Targeting and Analysis Center (CTAC) Support	2	EXIS
34377	EXIS Leadership and Administration	2	EXIS
42286	Distribution Services	4	OCM
42549	Information and Education (I&E) Outreach Campaigns	4	OCM
42616	Seasonal Programs	4	OCM
44201	Hotline	4	OCM
44563	Recalls/Alerts	4	OCM
44565	Media Relations	4	OCM
44577	Communications Administration	4	OCM
44699	Video Communication	4	OCM
44792	Hearing Room Operations and Maintenance	4	OCM
44793	Digital Communications	4	OCM
44795	Media Monitoring	4	OCM
44796	Innovative Strategies	4	OCM
52679	Prohibited Acts (CPSA §§ 19 and 20)	3	EXC
53148	Overseas Office	2	EXIP
53149	International Program	2	EXIP
53152	China Program	2	EXIP
53153	European/International Organizations Program	2	EXIP
53154	Selected Asia Pacific Program	2	EXIP
53155	Southeast Asia Program	2	EXIP
53156	Western Hemisphere Program	2	EXIP
53177	EXIP Leadership and Administration	2	EXIP
54174	EXIT Leadership and Administration	All	EXIT
54575	IT Security	All	EXIT
99933	Voice/Data Telecommunications	All	EXIT
99945	Capital Replacement	All	EXIT
99947	Programming Support	All	EXIT
99951	User Support	All	EXIT
99952	Network Management	All	EXIT
99953	Website Management	All	EXIT
99954	IT Business Applications	All	EXIT
99955	Enterprise and Data Architecture	All	EXIT

Appendix C

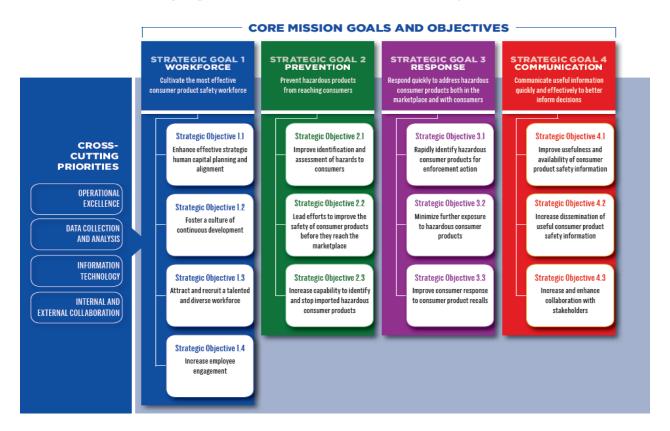## CPSC 2018–2022 Strategic Plan: Operating Plan Alignment

The CPSC's mission of "Keeping Consumers Safe" is grounded in the statutes that authorize the work of the agency. The agency's overarching vision is "A nation free from unreasonable risks of injury and death from consumer products." In FY 2021, the CPSC will work to achieve four strategic goals that will contribute to realizing the vision and achieving the mission. The CPSC's programs will align with the strategic goals, and staff will implement strategies to achieve the four strategic goals, which are described in more detail on the pages that follow: Workforce, Prevention, Response, and Communication. The information in this appendix shows the alignment of strategic initiatives and priority activities corresponding to the preceding sections of this Operating Plan with the *2018–2022 Strategic Plan*.

The CPSC's Strategic Plan contains strategic objectives that reflect the key component outcomes necessary to achieve each of the strategic goals. The strategic objectives are underpinned by performance goals and strategic initiatives, which define additional outcomes, outputs, and activities that the CPSC will implement and pursue within each strategic objective. Proposed FY 2021 key performance measures are identified for monitoring and reporting on FY 2021 progress toward achieving the strategic objectives.

The CPSC's Strategic Plan sets the framework for all subsequent agency planning, communication, management, and reporting. The Strategic Plan provides direction for resource allocation, program design, and management decisions and defines the evidence and performance data that will be used to monitor and assess program effectiveness.

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

CORE MISSION GOALS AND OBJECTIVES

CROSS-CUTTING PRIORITIES
- OPERATIONAL EXCELLENCE
- DATA COLLECTION AND ANALYSIS
- INFORMATION TECHNOLOGY
- INTERNAL AND EXTERNAL COLLABORATION

STRATEGIC GOAL 1 WORKFORCE
Cultivate the most effective consumer product safety workforce

- **Strategic Objective 1.1** — Enhance effective strategic human capital planning and alignment
- **Strategic Objective 1.2** — Foster a culture of continuous development
- **Strategic Objective 1.3** — Attract and recruit a talented and diverse workforce
- **Strategic Objective 1.4** — Increase employee engagement

STRATEGIC GOAL 2 PREVENTION
Prevent hazardous products from reaching consumers

- **Strategic Objective 2.1** — Improve identification and assessment of hazards to consumers
- **Strategic Objective 2.2** — Lead efforts to improve the safety of consumer products before they reach the marketplace
- **Strategic Objective 2.3** — Increase capability to identify and stop imported hazardous consumer products

STRATEGIC GOAL 3 RESPONSE
Respond quickly to address hazardous consumer products both in the marketplace and with consumers

- **Strategic Objective 3.1** — Rapidly identify hazardous consumer products for enforcement action
- **Strategic Objective 3.2** — Minimize further exposure to hazardous consumer products
- **Strategic Objective 3.3** — Improve consumer response to consumer product recalls

STRATEGIC GOAL 4 COMMUNICATION
Communicate useful information quickly and effectively to better inform decisions

- **Strategic Objective 4.1** — Improve usefulness and availability of consumer product safety information
- **Strategic Objective 4.2** — Increase dissemination of useful consumer product safety information
- **Strategic Objective 4.3** — Increase and enhance collaboration with stakeholders

Operating Plan Details by Strategic Goal

Strategic Goal 1: Workforce

Cultivate the most effective consumer product safety workforce

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

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

- Having a workforce with the knowledge, skills, and abilities to meet new, innovative, and emerging product safety challenges;

- Aligning personnel resources to agency priorities;

- Maintaining a global presence to address global marketplace issues;

- Increasing employee engagement; and

- Strengthening knowledge transfer through succession planning.

STRATEGIC OBJECTIVE 1.1
Enhance effective strategic human capital planning and alignment

STRATEGIC OBJECTIVE 1.2
Foster a culture of continuous development

STRATEGIC OBJECTIVE 1.3
Attract and recruit a talented and diverse workforce

STRATEGIC OBJECTIVE 1.4
Increase employeee engagement

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

Strategic Objective 1.1
Enhance effective strategic human capital planning and alignment

PG1.1.1 Improve human capital infrastructure	**SI1**: Implement change management in human capital infrastructure	**FY 2021 Priority Activities** **EXRM** • Implement the human capital strategic plan • Coordinate a human capital reporting users group for best practices • Train managers and administrative personnel on human capital reporting
PG1.1.2 Enhance human capital resource allocation reporting	**SI2**: Train supervisors on making a business case for position management	
	SI3: Improve human capital resource tracking and reporting	

Strategic Objective 1.2
Foster a culture of continuous development

PG1.2.1 Encourage and support professional development	**SI4**: Implement individual development plans	**FY 2021 Priority Activities** **EXRM** • Execute agency-wide training plan based on assessment and focus groups • Continue implementation of Individual Development Plans (IDPs) for employees • Continue agency coaching program
	SI5: Implement coaching and mentoring programs	
PG1.2.2 Deliver high quality, targeted development opportunities	**SI6**: Conduct training needs assessment	
	SI7: Develop and implement agency-wide training plan	
	SI8: Develop and implement plan to strengthen leadership competencies through training on accountability, decision making, and maximizing workforce performance	

Strategic Objective 1.3
Attract and recruit a talented and diverse workforce

PG1.3.1 Improve targeted assessments to recruit talent	**SI9**: Establish a manager training program on developing and utilizing assessment tools	**FY 2021 Priority Activities** **EXRM** • Increase hiring managers' participation in hiring process • Provide hiring managers with highly qualified applicants • Provide hiring managers with a diverse applicant pool • Provide successful Pathways Recent Graduates Program • Improve targeted recruitment
PG1.3.2 Increase targeted outreach to increase diversity	**SI10**: Implement a new and enhanced marketing/outreach strategy	
	SI11: Advance relationships with colleges and universities and other recruitment sources	

Strategic Objective 1.4
Increase employee engagement

PG1.4.1 Promote and recognize performance excellence	**SI12**: Research, develop, and implement a performance management policy that encourages and recognizes excellence	**FY 2021 Priority Activities** **EXRM** • Maintain effective performance management by supervisors • Train employees to be knowledgeable and proactive on performance management principles • Increase work-life employee satisfaction • Provide a robust agency wellness program • Assess performance management results • Implement the agency's FEVS Actions Plan to improve the bottom 20% **EEO** • Continue providing opportunities for training on diversity and inclusion
	SI13: Train supervisors and Human Resources staff on managing employee performance and conduct	
PG1.4.2 Build commitment to employee engagement	**SI16**: Implement agency employee engagement initiative	
	SI17: Provide diversity and inclusion training to the workforce	
PG1.4.3 Promote work life balance	**SI18**: Develop and provide training and informational opportunities on work-life balance to the workforce	

Strategic Goal 2: Prevention

Prevent hazardous products from reaching consumers

The CPSC is charged with protecting the public from unreasonable risks of injury and death from a vast array of consumer products supplied through expanding global markets. Efforts to increase manufacturing of safe consumer products, combined with improved mechanisms to identify hazardous products before they enter the marketplace, are the most effective ways to prevent hazardous products from reaching consumers.

The Office of Hazard Identification & Reduction (EXHR) and the Office of Import Surveillance (EXIS) are the CPSC mission organizations that have been tasked as the co-Goal Leaders for addressing key challenges to *Prevention* of consumer product-related injuries, including:

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

STRATEGIC OBJECTIVE 2.1
Improve identification and assessment of hazards to consumers

STRATEGIC OBJECTIVE 2.2
Lead efforts to improve the safety of consumer products before they reach the marketplace

STRATEGIC OBJECTIVE 2.3
Increase capability to identify and stop imported hazardous consumer products

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

Strategic Objective 2.1
Improve identification and assessment of hazards to consumers

PG2.1.1 Increase agency capacity to analyze hazard data	**SI1**: Enhance IT solutions and data-mining techniques to improve data collection and	
	SI2: Identify alternative sources of data that will assist in hazard analysis and monitoring	
PG2.1.2 Improve quality and specificity of hazard information	**SI3**: Research and implement methods for improving completeness of data submitted to the CPSC	
	SI4: Research and implement methods to increase the number of incident samples available for analysis	
	SI5: Promote a universal product identifier to improve product traceability	
PG2.1.3 Improve agency capacity to identify and assess emerging hazards	**SI6**: Develop a plan to enhance the identification and characterization of emerging hazards	**SI7**: Enhance coordination with relevant federal agencies, standards development organizations, and other stakeholders working on emerging hazards
PG2.1.4 Improve agency capacity to identify and assess chronic hazards		

FY 2021 Priority Activities

- Improve EXHR's data analytic capabilities by identifying and executing use cases for applying machine learning techniques to unstructured data (automated data classification and anomaly detection)
- Develop hospital sample modernization plan for the NEISS sample
- Implement improved internal controls and related processes and procedures, implementing results of FY 2020 analyses
- Publish analyses approved in the epidemiological reports table
- Conduct review of SaferProducts.gov reporting and report posting and report to the Commission
- Conduct a staff analysis on processes to: 1) enhance agency data collection and analysis of product safety incidents, injuries and deaths to identify vulnerable populations that exist by using such identifiers, including but not limited to: race, age, gender, location or socioeconomic status; 2) allocate safety work to better address any existing safety disparities among such identified vulnerable populations; 3) enhance safety messaging to such newly identified vulnerable populations addressing applicable safety issues

Strategic Objective 2.2
Lead efforts to improve the safety of consumer products before they reach the marketplace

PG2.2.1 Increase manufacturers , importers , and retailers use of consumer product safety best practices

SI9: Deliver training events and collaborate on consumer product safety best practices with foreign manufacturers and domestic manufacturers, importers, and retailers

PG2.2.2 Participate actively in the development of consumer product voluntary standards and develop mandatory regulations for products that pose an unreasonable risk of injury

SI11: Develop a process to facilitate the frequent monitoring and assessment of the effectiveness of standards and mandatory regulations

SI12: Conduct research, as appropriate, to enable development and improvement of consumer product voluntary standards and mandatory regulations

PG2.2.3 Engage federal, state and foreign governments on product safety

SI14: Deliver targeted federal, state, and foreign government outreach, (*e.g.,* summits, trainings, staff exchanges, and best practice exchanges)

SI15: Improve international information-sharing capability

PG2.2.4 Increase efforts to drive the discovery and innovation of safety solutions

SI16: Develop initiatives to drive the discovery and innovation of safety solutions for hazards, emerging technologies, and product trends with potential to affect consumer product safety

Strategic Objective 2.3
Increase capability to identify and stop imported hazardous consumer products

PG2.3.1 Fully implement the CPSC's risk assessment methodology	**SI17**: Incrementally develop the RAM surveillance system to align with the U.S. government's "Single Window" initiative
	SI18: Incrementally develop and improve the RAM targeting system to identify noncompliant and defective products at ports of entry
PG2.3.2 Decrease time required to process imported products subject to inspection	**SI19**: Develop and uniformly implement enforcement guidelines for admissibility determinations for imported products

FY 2021 Priority Activities

EXIS

- Identify and examine potentially noncompliant consumer products, including counterfeit products that also pose a safety risk, through maximization of port presence. *In-person shipment examinations at ports may be impacted due to COVID-19. EXIS has developed and implemented mitigating procedures that allow for remote examinations of products, in coordination with CBP and importers.*

- Coordinate with other CPSC offices regarding the state of e-commerce, focusing on possible data sources, including leveraging Intellectual Property Rights seizure data, available to risk-assess large volumes of small shipments, staffing requirements to support exams of e-commerce shipments at their corresponding ports of entry, and potential partnership opportunities with the trade and other government entities to facilitate e-commerce enforcement

- Support the BIEC in implementing the ITDS

- Conduct an e-commerce pilot in coordination with CBP at an express carrier facility, building upon information gathered in the initial pilot conducted in FY 2020

- Implement a policy that expedites enforcement actions on certain noncompliant imported products at ports of entry

Strategic Goal 3: Response

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

The CPSC learns about potential consumer product hazards from many sources, including incident reports, consumer complaints, the agency's Hotline (1-800-638-2772), www.SaferProducts.gov, Internet reports, and company reports. Additionally, field staff investigates reports of incidents and injuries; conducts inspections of manufacturers, importers, and retailers; and identifies potential regulatory violations and product hazards. When potential product defects are identified, the CPSC must act quickly to address the most hazardous consumer products that have made their way into the marketplace or into the hands of consumers.

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

STRATEGIC OBJECTIVE 3.1
Rapidly identify hazardous consumer products for enforcement action

STRATEGIC OBJECTIVE 3.2
Minimize further exposure to hazardous consumer products

STRATEGIC OBJECTIVE 3.3
Improve consumer response to consumer product recalls

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

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

Strategic Objective 3.1
Rapidly identify hazardous consumer products for enforcement action

PG3.1.1 Improve collection, prioritization, and assessment of data on potential consumer product hazards	**SI1**: Review current processes and identify opportunities to refine sample analysis priorities and reduce processing time	**FY 2021 Priority Activities** **EXC**
	SI2: Determine the feasibility of implementing an eFiling process for manufacturers, importers, retailers, distributors, and third party platform providers to submit incident data and/or Section 15(b) reports	

FY 2021 Priority Activities
EXC
- Work with EXIT and contractor to develop and analyze alternatives to develop an improved platform to replace or enhance the IFS based on results of phase one (BPR)
- Hire and train staff, and implement new case intake and assignment processes for EXC's newly established Enforcement and Litigation Division (CEL) to strengthen substantial product hazard investigations, administrative litigation, civil penalty investigations, and to support other enforcement activities in EXC
- Consolidate EXC's Internet Surveillance Unit (ISU) under one supervisor to more strategically and effectively address increased volume of compliance work related to e-commerce, including counterfeit products that pose a safety risk

Strategic Objective 3.2
Minimize further exposure to hazardous consumer products

PG3.2.1 Increase speed of corrective actions	**SI3**: Explore the feasibility of an expedited approach to CAPs for lower-level consumer product hazards	
PG3.2.2 Improve effectiveness of corrective actions	**SI4**: Regularly publish electronic submissions of progress reports from recalling firms	
	SI5: Review the CPSC corrective action monitoring process to address priority recalls and achieve operational efficiencies	
	SI6: To the limits of the CPSC's authorities, inform foreign product safety regulators about interventions undertaken in the United States and encourage them to take appropriate steps	

FY 2021 Priority Activities
EXC
- Develop two additional internal enforcement guides related to one durable nursery product and one chemical or mechanical product
- Incorporate stakeholder input and continue to develop a new, user-friendly online Fast-Track portal to improve the user experience and ensure the agency receives necessary and consistent information at the outset of Fast-Track cases
- Prioritize e-commerce sampling to support regulatory enforcement in the areas of toy labeling, PPPA, bicycle helmets, and durable nursery products
- Take appropriate enforcement actions to address hazardous products on e-commerce platforms, including focusing on the distinct roles and activities of particular platforms
- Prioritize regulatory enforcement activities, including violations related to PPPA and ATV Action Plans
- Enforce the CNPPA, including removal of noncompliant liquid nicotine containers from commerce

Strategic Objective 3.3
Improve consumer response to consumer product recalls

PG3.3.1 Increase consumer motivation	**SI7**: Request firms to use enhanced notices and an effectiveness evaluation as part of a CAP	
PG3.3.2 Improve direct contact with consumers	**SI8**: Increase the number of consumers signed up for recall updates via email	
PG3.3.3 Improve understanding of consumer response	**SI9**: Meet with industry, consumer groups, and other government agency stakeholders to discuss how to increase response rates	
	SI10: Enhance domestic interagency collaboration on best practices to increase consumer response	

FY 2021 Priority Activities

EXIP
- Provide timely information about recalls directly to foreign regulators and other stakeholders via the OECD's *GlobalRecalls* portal

Strategic Goal 4: Communication

Communicate useful information quickly and effectively to better inform decisions

Consumers, safety advocates, industry, and government regulators need high-quality information about consumer product safety. Consumers need safety information to make more informed decisions for themselves and their families. Safety advocates rely on accurate data to shape their policy recommendations. Industry needs information to stay in compliance with safety requirements. Foreign regulators and state and local government agencies also need high-quality information to establish new safety requirements that advance consumer safety. These diverse audiences have different information needs and respond to different methods of communication.

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

STRATEGIC OBJECTIVE 4.2
Increase dissemination of useful consumer product safety information

STRATEGIC OBJECTIVE 4.3
Increase and enhance collaboration with stakeholders

The Office of Communications (OCM) is the CPSC mission organization that has been tasked as the Goal Leader for addressing the following key challenges to the agency's *Communication* strategy:

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

Strategic Objective 4.1
Improve usefulness and availability of consumer product safety information

PG4.1.1 Implement evaluation tools to measure message usefulness	**SI1**: Identify best practices from federal and private sectors for assessing the utility of	• Upon request by any Commissioner, provide timely updates to the Commission, including information to support any safety claim made in OCM press releases, social media posts, safety campaigns, and other
PG4.1.2 Implement enhanced tools to increase availability of safety information	**SI3**: Design and develop new	

Strategic Objective 4.2
Increase dissemination of useful consumer product safety information

PG4.2.1 Expand and enhance the CPSC "brand		**FY 2021 Priority Activities**
		OCM
		• Continue outreach campaigns for a variety of product safety issues, including: Anchor It!; *Pool Safely*, Safe to Sleep®; Window Coverings; ATV/ROV Safety; Carbon Monoxide; Magnets; COVID-Related Safety; Micromobility; and Brain Safety/Youth Sports
PG4.2.2 Expand communications with targeted audiences		• Create and/or expand outreach campaigns for a variety of product safety issues, including: DIY/Home Improvement; Hazardous Counterfeits; Senior Safety; Emerging/Unexpected Hazards; and CPSC Branding (including SaferProducts.gov)
PG4.2.3 Increase use of enhanced communication technology to advance consumer safety		• Produce an implementation plan for the Commission outlining the media strategy for each of the Information and Education Campaigns. The plan shall include, as appropriate, for each campaign: Goals and Objectives, Data, Target Audience(s), Communications Activities, and Key Performance Indicators.
		• Expand social media engagement with CPSC safety messages and recalls
PG4.2.4 Increase timeliness of CPSC information dissemination	**SI7**: Develop new and enhanced safety alerts, posters, blogs, and toolkits that can be disseminated quickly to respond to known and emerging consumer product hazards	• Conduct community outreach events/activities (including virtual or digital events as necessary) to reach at-risk consumers aimed at raising awareness of and preventing injuries and deaths from hazards associated with consumer products
		EXC
		• Conduct outreach in cooperation with State and local officials to expand the reach of CPSC safety messages targeting underserved and under-represented populations
		EXIT
		• Update the agency's internet platform and implement site-wide design changes to improve overall customer experience in compliance with the 21st Century IDEA

Strategic Objective 4.3
Increase and enhance collaborations with stakeholders

		FY 2021 Priority Activities
		EXIP
		• Work with a foreign partner agency to define a specific project of mutual interest that can be accomplished by collaborating remotely, via scheduled video meetings and email consultations, over a period of several months

U.S. Consumer Product Safety Commission

Bethesda, MD 20814