



UNITED STATES
CONSUMER PRODUCT SAFETY COMMISSION
BETHESDA, MD 20814

The contents of this document will
be discussed at the Commission
Briefing scheduled for
February 10, 2016.

DATE: January 15, 2016

THIS MATTER IS NOT SCHEDULED FOR A BALLOT VOTE.

**A DECISIONAL MEETING FOR THIS MATTER IS SCHEDULED ON:
FEBRUARY 24, 2016**

This document has been electronically
approved and signed.

TO: The Commission
Todd A. Stevenson, Secretary

FROM: Patricia H. Adkins, Executive Director
Stephanie Tsacoumis, General Counsel

SUBJECT: Fiscal Year 2016 Operating Plan

The Executive Director, by the attached memorandum dated January 15, 2016,
requests approval of the attached Fiscal Year 2016 Operating Plan. Please indicate your
vote on the following options:

- I. Approve the Fiscal Year 2016 Operating Plan, as recommended by the Executive
Director.

(Signature)

(Date)

- II. Approve the Fiscal Year 2016 Operating Plan, with changes.
(Please specify.)

(Signature)

(Date)

III. Do not approve the Fiscal Year 2016 Operating Plan.

(Signature)

(Date)

IV. Take other action. (Please specify.)

(Signature)

(Date)

Attachment: Memorandum of January 15, 2016, from Patricia H. Adkins, Executive Director, to the Commission, *Fiscal Year 2016 Operating Plan*.



United States
Consumer Product Safety Commission
4330 East-West Highway
Bethesda, MD 20814

This document has been electronically
approved and signed.

DATE: January 15, 2016
TO: The Commission
THROUGH: Todd A. Stevenson, Secretary
Stephanie Tsacoumis, General Counsel
FROM: Patricia H. Adkins, Executive Director
SUBJECT: Fiscal Year (FY) 2016 Operating Plan

This memorandum requests Commission approval of the FY 2016 Operating Plan. The proposed Operating Plan is premised on the President's FY 2016 Budget Request (Request) with conforming adjustments to align with the Consolidated Appropriations Act of 2016, enacted on December 18, 2015. The FY 2016 Budget Request was for \$129.0 million and 567 full-time equivalent (FTE) employees. The enacted appropriation level is \$125.0 million, representing an increase of \$2.0 million from the FY 2015-enacted funding level of \$123.0 million.

CPSC -- FY 2016 Operating Plan Summary of Changes				
<i>in millions of dollars</i>		FY 2016 Requested	FY 2016 Enacted	Difference
FY 2015 Enacted		\$ 123.0	\$ 123.0	
Program Adjustments for Critical Initiatives and Priorities:				
1	Nanotechnology Research Center	\$ 5.0	\$ -	\$ (5.0)
2	Security (Cyber, Physical, Personnel)	\$ 1.0	\$ 1.0	\$ -
Congressionally Directed Initiative				
3	Third Party Testing Burden Reduction/Assure Compliance	\$ -	\$ 1.0	\$ 1.0
FY 2016 Enacted Operating Plan		\$ 129.0	\$ 125.0	\$ (4.0)

To align the FY 2016 Operating Plan with the current year-enacted appropriation of \$125.0 million, the staff recommends including the following changes, as illustrated and numerically labeled in the table above, from the FY 2015 operating level of \$123.0 million:

1. **Nanotechnology Research Center (\$0.0 million):** The \$5.0 million request for the new nanotechnology research center is not included in the Operating Plan; the enacted appropriation did not contain sufficient funding increases for the center.
2. **Security (+\$1.0 million):** The \$1.0 million requested to address immediate agency security requirements for cyber security, physical security at the laboratory, and personnel security for employee background clearances, as described in the FY 2016 Request, have been fully funded in the Operating Plan.
3. **Third Party Test Burden Reduction While Assuring Compliance (+\$1.0 million):** The Appropriations Act includes not less than \$1.0 million, available until September 30, 2017, to reduce the costs of third party testing associated with certification of children's products while assuring compliance; \$1.0 million has been allocated.

The FY 2016 Operating Plan is consistent with the priorities approved in the FY 2016 Request. Specifically, the staff-proposed FY 2016 Operating Plan emphasizes:

- Improving U.S. effectiveness at ports of entry in identifying and interdicting noncompliant trade;
- Empowering stakeholders and the public through education and information; and
- Implementing congressional requirements in a prudent and timely manner.

The FY 2016 Operating Plan includes:

- 1) Organization funding and FTE levels;
- 2) Voluntary and mandatory standards summaries;
- 3) A complete list of resourced projects by lead organization and accompanying descriptions;
- 4) Budget key and operating performance measures by organization; and
- 5) Major milestones by organization.

The substantive adjustments from the FY 2016 Request, relative to the Voluntary and Mandatory Standards Summary Tables (*i.e.*, additions, deletions, or adjustments), appear on pages 6 - 8 for voluntary standards and pages 9 - 10 for mandatory standards. In response to congressional direction on Recreational Off-Highway Vehicles (ROVs), all work on the mandatory standard rulemaking has stopped. The ROV study by the National Academies of Sciences is not required, at this time. Staff work on the ROV voluntary standard activities will continue.

Effective October 1, 2015, the CPSC reduced and consolidated a number of legacy project codes to reduce reporting and accounting workload. In most instances, the project codes affected were either not used, or had small, immaterial resource allocations. The Operating Plan annotates the projects that were consolidated within retained projects, as well as lists the legacy projects that will no longer appear.

Staff is available to brief the Commission before the Commission is asked to formally approve the Operating Plan. Once finalized and approved by the Commission, the FY 2016 Operating Plan will be posted on the CPSC's public website.

Attachment

FY 2016 Operating Plan

Fiscal Year 2016 | Operating Plan

DRAFT

XXXXXXXXXX
MMMMMM DD, 2016



CPSC Stands for Safety

Our Mission: Protecting the Public against unreasonable risks of injury from consumer products through education, safety standards activities, regulation, and enforcement.

An electronic version of this document is available at:

<http://www.CPSC.gov/Performance-and-Budget/>

U.S. Consumer Product Safety Commission

FY 2016 Operating Plan Table of Contents

	Page
Budget Tables	
Table 1 - FY 2016 Operating Plan Summary of Changes	1
Table 2 - Funding and FTE by Major Organization	2
Budget Key Performance Measures Summary	3
Voluntary & Mandatory Standards	
Voluntary Standards Summary	6
Mandatory Standards Summary	9
Operating Plan Details for Mission Organizations	
Hazard Identification	13
Compliance	23
Import Surveillance	29
International Programs	33
Communications	37
Information Technology	41
Other Offices (measures and milestones only)	44
Appendices	
Appendix A - Changes to Budget Key Performance Measures from the 2016 Budget Request	45
Appendix B - List of Consolidated FY 2015 MIS Projects	47

Table 1

FY 2016 Operating Plan Summary of Changes (Dollars in millions)

		FY 2016 Requested	FY 2016 Enacted	Difference
FY 2015 Enacted	\$	123.0	\$	123.0
Program Adjustments for Critical Initiatives and Priorities				
1. Nanotechnology Research Center	\$	5.0		\$ (5.0)
2. Security (cyber, physical, personnel)	\$	1.0	\$ 1.0	
Congressionally Directed Initiatives				
3. Third Party Testing Burden Reduction/Assure Compliance			\$ 1.0	\$ 1.0
FY 2016 Enacted Operating Plan	\$	129.0	\$ 125.0	\$ (4.0)

Table 2

Funding and FTE by Major Organization

The operating budget level for each organization at the FY 2016-Enacted level (column 1) and the corresponding full-time equivalent (FTE) levels (column 2) are shown in the table below.

(Dollars in Thousands)	FY 2016 Enacted	
Budget Details	Column 1 Budget	Column 2 FTE
Commissioners	\$ 165	21
Office of Hazard Identification & Reduction		167
<i>Office of Hazard Identification</i>	\$ 2,226	
<i>Laboratory Operations</i>	\$ 1,293	
<i>Burden Reduction/Assure Compliance*</i>	\$ 1,000	
<i>Nanotechnology</i>	\$ 2,000	
<i>NEISS</i>	\$ 2,150	
Office of Compliance & Field Operations		
<i>Compliance – HQ</i>	\$ 363	56
<i>Compliance – Field Operations</i>	\$ 1,646	103
Office of Import Surveillance	\$ 1,115	44
Office of International Programs	\$ 721	7
Office of Financial Management, Planning & Evaluation	\$ 1,515	27
<i>Financial Audit</i>	\$ 150	
Office of Information & Technology Services		42
<i>Office of Information Technology</i>	\$ 80	
<i>IT Infrastructure</i>	\$ 6,955	
<i>Commission's Information Systems</i>	\$ 4,509	
<i>Risk Assessment Methodology – Import</i>	\$ 3,600	
Office of Human Resources Management	\$ 528	11
Office of Facilities Services (excludes Rent/Util/Security)	\$ 1,864	10
Office of the Executive Director	\$ 84	7
Office of the General Counsel	\$ 608	50
Office of the Inspector General	\$ 136	7
Office of Communications		10
<i>Office of Communications</i>	\$ 1,900	
<i>VGB PSSA Information & Education</i>	\$ 1,000	
Office of Legislative Affairs	\$ 15	3
Office of EEO & Minority Enterprise	\$ 43	2
Centrally Managed Costs		
Salaries	\$ 79,765	
Rent/Util/Security	\$ 9,565	
Representation Fund	\$ 4	
Total	\$ 125,000	567
VGB Grants	Budget	FTE
No-year grants funding**	\$ 1,000	

* Burden Reduction/Assure Compliance funding is a 2-year appropriation.

**As of the end of December 2015, \$781.5K was obligated.

Budget Key Performance Measures Summary

The Budget Key Performance Measures are the measures that the agency submits with its Congressional Budget submission, as amended (see Appendix A).

	ID	Office	Performance Measure Statement	FY 2016 Target
Strategic Goal 1: Leadership in Safety				
	1.2.2	International	Number of staff exchanges with foreign counterparts undertaken as part of the International Training Exchange Program	2
	1.2.4	Executive	Number of collaborations undertaken with domestic nongovernment organizations, such as trade associations, universities, or federations	2
	1.2.5	International	Number of training or outreach seminars for foreign manufacturers and overseas U.S. importer representatives conducted by CPSC staff	13
	1.6.1	Personnel	Employee retention rate	85%
	1.6.2	Personnel	Average hiring time (recruitment time using OPM's End-to-End hiring process) (days)	80
	1.6.3	Personnel	Training participation rate	90%
Strategic Goal 2: Commitment to Prevention				
	2.1.3	Hazard	Number of reports produced on the results of collaboration on nanotechnology issues affecting consumer products	5
	2.1.4	Hazard	Number of voluntary standards activities in which CPSC staff actively participates	70
	2.2.1	Hazard	Number of candidates for rulemaking prepared for Commission consideration	22
	2.3.1	Executive	Number of domestic training activities made available to industry stakeholders	7
Strategic Goal 3: Rigorous Hazard Identification				
	3.1.1	Hazard	Percentage of National Electronic Injury Surveillance System (NEISS) member hospitals evaluated at least once a year	98%
	3.1.2	Hazard	Percentage of consumer product-related injury cases correctly captured at NEISS hospitals	90%
	3.2.1	Hazard	Time from incident received to integrated team adjudication of incident report (business days)	10
	3.2.2	Hazard	Percentage of priority import regulated samples (excluding fireworks) tested within 30 days of collection	85%
	3.2.3	Hazard	Percentage of import and domestic fireworks samples tested within 60 days of collection	90%
	3.2.5	Hazard	Percentage of section 15 Product Safety Assessment requests that are completed within the Hazard Level Completion time assigned	90%
	3.2.6	Hazard	Percentage of all domestic and non-priority import regulated product samples (excluding fireworks) that are tested within 60 days of receipt at NPTEC	85%
	3.4.1	Import	Number of import examinations	30,000
	3.4.3	Import	Percentage of import shipments processed through the Risk Assessment Methodology (RAM) pilot system that are cleared within 1 business day	99%
	3.4.4	Import	Percentage of CPSC import entry hold requests acted on by CBP	86%

	ID	Office	Performance Measure Statement	FY 2016 Target
	3.4.7	Import	Percentage of entries sampled as identified through the Risk Assessment Methodology (RAM) pilot system	11%
	3.4.8	Import	Percentage of first-time violators who are engaged with a timely informed compliance inspection after violation determination	80%
	3.5.3	Hazard	Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards	11
	3.5.4	Compliance	Total number of products screened by CPSC field staff (excluding imports)	180,000
Strategic Goal 4: Decisive Response				
	4.1.1	Compliance	Number of establishment inspections conducted by CPSC field staff	3,000
	4.3.2	Compliance	Percentage of cases for which the corrective action is accepted within 60 business days of the preliminary determination	80%
	4.3.3	Compliance	Percentage of cases in which the firm is notified of a violation in a timely manner	90%
	4.3.4	Compliance	Percentage of Fast-Track cases with corrective actions initiated within 20 business days	90%
	4.3.5	Compliance	Percentage of all cases for which the preliminary determination is made within 85 business days of the full report receipt	70%
	4.4.2	Communications	Average number business days between establishment of first draft and issuance of recall press releases for the most timely 90% of all recall releases	19
	4.5.2	Compliance	Percentage of compliance defect investigation cases referred within 20 business days to the Office of the General Counsel (OGC) for review of firms' timely reporting pursuant to §15(b)	75%
Strategic Goal 5: Raising Awareness				
	5.2.1	Communications	Number of public information campaigns conducted by CPSC on targeted consumer product safety hazards	24
	5.2.2	Communications	Number of impressions of CPSC safety messages received by consumers on targeted consumer product safety hazards, excluding recalls (in millions)	8,500
	5.2.3	Communications	Number of media events involving collaborations with other federal, state or local governments; consumer advocacy organizations; medical or industry groups; or other stakeholders focused on a targeted hazard with high public concern	5
	5.3.1	Communications	Number of impressions of CPSC safety messages received by consumers on priority hazards in vulnerable communities, excluding recalls (in millions)	2,750
	5.3.4	Communications	Number of media events involving collaborations with other federal, state or local governments; consumer advocacy organizations; medical or industry groups; or other stakeholders that focused on a priority hazard in vulnerable communities	15

Note: Additional information on the agency's key performance measures is provided on the CPSC's website at: www.cpsc.gov/performance-and-budget. Here is the link to the most recent publication of the agency's detailed performance information: <http://www.cpsc.gov/Global/About-CPSC/Budget-and-Performance/SupplementalAppendixtoFY2014AnnualPerformanceReport.pdf>.

This page intentionally left blank.

Voluntary Standards Summary

A consumer product voluntary standard is a prescribed set of rules, conditions, or requirements concerning definitions of product-related terms; classification of components; specification of materials, performance, or operations; delineation of procedures; or measurement of quantity and quality in describing products, materials, systems, services, or practices relating to the safety of consumer products used in and around the home, outdoors, and in schools.

The CPSC's statutory authority requires the agency to rely on voluntary standards rather than promulgate mandatory standards if compliance with a voluntary standard would eliminate or adequately reduce the risk of injury identified and it is likely there will be substantial compliance with the voluntary standard. 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 such activity may continue in subsequent years, depending on the activities of the voluntary standards committees and the priorities of the Commission.

FY 2016 Activities: CPSC staff expects to participate actively in voluntary standards activities for the products listed in the table on the pages to follow. Active participation extends beyond monitoring or attendance at meetings and may include, among other things, providing injury data and hazard analyses; encouraging the development of new or revised voluntary safety 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. A list of these activities can be found at 16 C.F.R. §1031.7.

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

Voluntary Standards Summary

Product		FY 2016 Request	FY 2016 Op Plan
Voluntary Standards Activities Related to Existing CPSC Regulations Issued Under the CPSIA, as amended by Pub. L. No. 112-28, and including the Danny Keysar Child Product Safety Notification Act (Section 104 of the CPSIA)			
1	ATVs	•	•
2	Bassinets/Cradles	•	•
3	Bed Rails (Children's)	•	•
4	Bedside Sleepers	•	•
5	Child Frame Carriers	•	•
6	Commercial Cribs	•	•
7	Full-Size Cribs	•	•
8	Handheld Carriers, Handheld	•	•
9	Infant Bath Seats	•	•
10	Infant Swings	•	•
11	Infant Walkers	•	•
12	Non-Full-Size Cribs and Play Yards	•	•
13	Soft Carriers	•	•
14	Strollers	•	•
15	Toddler Beds	•	•
16	Toys	•	•
Voluntary Standards Activities Related to Existing CPSC Regulations			
17	Architectural Glazing	•	•
18	Bicycles		•
19	Child-Resistant Packaging	•	•
20	Fireworks	•	•
21	Garage Door Operators	•	•
22	Gasoline Containers	•	•
23	Swimming Pools/Spas (Drain Covers, VGB)	•	•
Voluntary Standards Activities Related to Petitions			
24	Adult Portable Bed Rails	•	•
25	Candles and Candle Accessories	•	•
26	Crib Bumpers	•	•
27	Torch Fuel Containers	•	•
Voluntary Standards Activities Related to Rule Review Projects			
28	Mattresses	•	•
Voluntary Standards Activities Related to Ongoing Rulemakings Under CPSIA, as amended by Pub. L. No. 112-28, and including the Danny Keysar Child Product Safety Notification Act (Section 104 of the CPSIA)			
29	Booster Seats	•	•
30	Changing Tables	•	•
31	Children's Folding (Youth) Chairs and Stools	•	•
32	High Chairs	•	•
33	Hook-on Chairs	•	•
34	Infant Bath Tubs	•	•
35	Infant Bouncers	•	•
36	Infant Gates and Other Enclosures	•	•
37	Infant Inclined Sleep Products	•	•
38	Infant Slings	•	•
39	Phthalates	•	•
40	Stationary Activity Centers	•	•
41	Window Coverings	•	•

Product		FY 2016 Request	FY 2016 Op Plan
Voluntary Standards Activities Related to Ongoing or Potential Rulemaking Activities			
42	Firepots and Fuel Gels	•	
43	Flammable Liquids (Material Handling) (now includes Fuel Gels)	•	•
44	Portable Fireplaces (now includes Firepots and Unvented Alcohol Appliances)	•	•
45	Portable Generators	•	•
46	Power Equipment (Table Saws)	•	•
47	Recreational Off-Highway Vehicles (ROVs)	•	•
48	Upholstered Furniture	•	•
Other Planned Voluntary Standards Activities			
49	Baby Monitors	•	•
50	Batteries, Button, Lithium, Cell	•	•
51	Carbon Monoxide (CO) Alarms	•	
52	Clothes Dryers	•	•
53	Cooktops	•	
54	Electric Heaters	•	
55	Flammable Refrigerants	•	•
56	Formaldehyde in MDF		•
57	Formaldehyde in Particleboard		•
58	Fuel Tanks, Leakage	•	•
59	Furnaces (CO Sensors)	•	•
60	Furniture Tip Overs	•	•
61	Gas Grills	•	
62	Gasoline Containers (Flame Arrestors)	•	•
63	Glass Front Gas Fireplaces	•	
64	Inflatable Play Devices (Constant Air)	•	•
65	Laundry and Dishwasher Packets	•	•
66	Mowers	•	•
67	Nanotechnology	•	•
68	National Electrical Code	•	•
69	Playground Equipment (Children under 2 years)	•	
70	Playground Equipment (Home)	•	•
71	Playground Equipment (Public)	•	•
72	Pools, Portable Unprotected (Child Drowning)	•	
73	Ranges (Tip Over)	•	•
74	Ranges, Gas (Control Panels)	•	•
75	Recreational Headgear	•	•
76	Slow Cookers	•	
77	Smoke Alarms	•	•
78	Spray Polyurethane Foam Insulation	•	•
79	Tents		•
80	Trampolines	•	
81	Washing Machines, Front Loading	•	
Grand Total		77	70*

* The difference between the FY 2016 Request total of 77 and the FY 2016 Op Plan total of 70 is due to the CPSC's change in the definition of "active participation" in voluntary standards, progress made in other voluntary standards activities, and new activities in voluntary standards.

Mandatory Standards Summary

Mandatory standards are federal rules set by statute or regulation that define requirements for consumer products. They 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.

The CPSC may set a mandatory standard when it determines that compliance with a voluntary standard would not eliminate or adequately reduce a risk of injury or finds that it is unlikely that there will be substantial compliance with a voluntary standard.¹ The Commission may also promulgate a mandatory ban of a hazardous product when it determines that no feasible voluntary or mandatory standard would adequately protect the public from an unreasonable risk of injury.

FY 2016 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 the work will include data analysis and technical activities supporting ongoing or potential future rulemaking activities.

Key to Table	
The term ANPR, NPR or FR indicates that a briefing package with a draft ANPR, draft NPR, or draft FR 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
BP	Briefing package
DA/TR	Data analysis and/or technical review
*	Carryover from FY 2015

¹ The CPSIA requires the Commission to promulgate mandatory standards by adopting existing voluntary standards (in whole or in part) for some products, such as durable infant or toddler products, children's toys, and all-terrain vehicles. For additional information, please refer to the CPSIA at: www.CPSC.gov/cpsia.pdf.

Mandatory Standards Summary

Items by Major Categories		FY 2016 Request	FY 2016 Op Plan
CPSIA, as amended by Pub. L. No. 112-28, and including Section 104, the Danny Keysar Child Product Safety Notification Act			
	ATVs	NPR	NPR
	Booster Seats	DA/TR	DA/TR
	Children's Folding Chairs	FR	FR
	High Chairs	FR	NPR*, FR
	Changing Tables	NPR	NPR
	Gates and Other Enclosures	NPR	NPR
	Hook-on Chairs	FR	FR
	Infant Bath Tubs	FR	FR
	Infant Bouncer Seats	FR	FR
	Infant Inclined Sleep Products	NPR	NPR
	Infant Slings	FR	FR
	Phthalates		FR*
	Stationary Activity Centers	NPR	DA/TR
Rule Review			
	Certificates of Compliance – 1110 Rule – E.O. 13659	FR	DA/TR
	Fireworks	NPR	BP*, NPR
	Lead	BP	BP
	1633 - Mattresses	BP	BP
	Rule Review Plan		BP
Other Ongoing or Potential Rulemaking-Related Activities			
	Architectural Glazing	FR	FR
	Adjudicatory Rules		NPR
	Adult Portable Bed Rails Petition	DA/TR	BP
	Bedclothes Flammability	BP	
	Burden Reduction/Assure Compliance (replaces Third Party Testing - Determinations)	FR	NPR, FR
	Crib Bumpers	DA/TR	BP*
	Firepots and Fuel Gels	DA/TR	DA/TR
	Flooring Petition		BP
	Garage Door Operators	FR	FR
	Information Disclosure Under Section 6b of the CPSIA – 1101 (OGC)		FR*
	Organohalogens Petition		BP
	Portable Generators	FR	NPR*
	Recreational Off-Highway Vehicles (ROVs)		
	Residential Elevators Petition	BP	BP
	Silk FFA Petition		BP
	Supplemental Mattresses for Play Yards Petition		BP
	Table Saws	NPR	NPR
	Upholstered Furniture	NPR	DA/TR
	Vacuum Diffuser Petition		BP
	Voluntary Recall (EXC/OCM)		FR*
	Voluntary Standards Participation (1031)		FR
	Window Coverings	DA/TR	DA/TR
Number of candidates for rulemaking (ANPR, NPR, and FR)		19	22

This page intentionally left blank.

Operating Plan Details for Mission Organizations

Office	Page
Hazard Identification	13
Compliance	23
Import Surveillance	29
International Programs	33
Communications	37
Information Technology	41
Other Offices (milestones and measures only)	44

Note: Some of the Management Information System (MIS) projects listed in the FY 2015 Operating Plan* were consolidated in FY 2016. For the complete list of consolidated FY 2015 MIS projects, please refer to Appendix B (p. 47 - 48).

* The CPSC's FY 2015 Operating Plan, which was approved by the Commission on December 12, 2014, can be viewed at: <http://www.cpsc.gov/performance-and-budget>.

1. Resource Summary

	FY 2016 Enacted	
	Budget (in thousands)	FTE
Office of Hazard Identification	\$ 2,226	167
Laboratory Operations	\$ 1,293	
Burden Reduction/Assure Compliance*	\$ 1,000	
Nanotechnology	\$ 2,000	
NEISS	\$ 2,150	
Total	\$ 8,669	167

*Burden Reduction/Assure Compliance funding is a two-year appropriation

2. Overview and Key Priorities

The Office of Hazard Identification and Reduction (EXHR) is responsible for managing the CPSC's Hazard Identification and Analysis (HIA) Program and its Hazard Assessment and Reduction (HAR) Program. EXHR develops and implements the agency's annual operating plan for those two hazard programs. The operating plan generally includes the following activities:

- Collection and analysis of data to identify hazards and hazard patterns;
- Coordination of and participation in the activities of voluntary standards organizations;
- Technical work and research related to the agency's rulemaking proceedings;
- Technical work and laboratory testing to support Hazard Reduction, Compliance, and Import Surveillance programs; and
- Evaluation of petitions submitted to the Commission.

FY 2016 Key Priorities: EXHR has line authority over the Directorates for Epidemiology, Health Sciences, Economic Analysis, Engineering Sciences, and Laboratory Sciences. In FY 2016, EXHR's key priorities will be:

- 1) Maintaining data collection systems, including mortality and incident data collection and follow-up investigations;
- 2) Meeting the mandatory requirements of the Consumer Product Safety Improvement Act of 2008 (CPSIA) and Public Law (Pub. L.) No. 112-28, including developing for Commission consideration an FR on specified phthalates
- 3) Continue rulemaking on ongoing persistent hazards such as ATVs and window coverings; and
- 4) Maintaining and safely operating the National Product Testing and Evaluation Center (NPTEC).

3. Strategic Plan Alignment and Project Summary

FY 2016 Project		Strategic Goal
11179	National Electronic Injury Surveillance System (NEISS)	3
11282	Mortality/Incident Data	3
12165	Investigations	3
13327	Emerging Hazards	3

FY 2016 Project		Strategic Goal
13329	Integrated Teams	3
13330	Data Intake and Clearinghouse	3
13331	Petitions, OLA Support, and Other Unplanned Hazard Work	3
14125	Economics Studies	3
21498	Upholstered Furniture Flammability Rulemaking	3
21518	Electrical Hazards: Voluntary Standards and Codes	2
21725	Fire Hazards/Voluntary Codes and Standards	2
21726	Fire Hazards: Rulemaking Activities	2
22560	Children's/Nursery Product Hazards: Voluntary Standards	2
22637	All-Terrain Vehicles (ATVs)	2
22638	Recreational Off-Highway Vehicles (ROVs)	2
22640	Older Consumer Safety Hazards	2
22644	Window Coverings Petition	2
22646	Table Saws	2
22666	Mechanical Hazards: Voluntary Codes and Standards	2
22667	Mechanical Hazards: Rulemaking Activities (General Use Products)	2
22727	Children's/Nursery Product Hazards: Rulemaking Activities	2
23258	Chemical Hazards: Voluntary Standards	2
23259	Chemical Hazards: Rulemaking Activities	2
23335	Combustion (Carbon Monoxide) Hazards: Voluntary Standards Activities	2
23336	Combustion (Carbon Monoxide) Hazards: Rulemaking Activities	2
23704	Nanotechnology	2
24013	Laboratory Equipment and Operations Support	2
24505	EXHR Project Support	2
25720	Regulatory Management	2
25723	Lab Accreditation (CPSIA § 102)	2
25727	Burden Reduction-/Assure Compliance	2
25777	EXHR Leadership and Administration	2

11179 - National Electronic Injury Surveillance System (NEISS)

This ongoing project includes activities associated with the NEISS. These activities provide the initial hazard and injury reports that support virtually all Commission actions. The NEISS activity covers the annual reporting of approximately 400,000 injury reports from a statistical sample of about 96 hospital emergency departments. The NEISS estimates of the frequency and severity of injury represent

uniquely valuable data to support Commission decision making.

The NEISS is also the major source of investigations that identify and document the hazard patterns associated with products under CPSC jurisdiction. This project also includes coordination of the NEISS activities that are funded by other federal agencies. This project provides technical statistical support to help ensure that:

- Hazard/injury data are collected appropriately;

- Estimates are made using valid statistical techniques; and
- Data are released in an accurate and verifiable manner.

11282 - Mortality/Incident Data

This ongoing project includes two major activities: gathering mortality data and gathering incident data. This project covers resources for and receipt of:

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

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

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

12165 - Investigations

This ongoing project provides resources for about 2,000 telephone investigations and for on-site investigations of product-related hazards identified by CPSC staff for in-depth study.

Because initial reports from consumer complaints, news clips, the Medical Examiners and Coroners 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 in incidents. This project covers the assignment, performance, review, and disposition of investigation reports. The resulting reports are available for use by analysts inside and outside of the CPSC.

13327 - Emerging Hazards

This project provides resources for active, systematic identification and evaluation of a variety of product-related hazards, as well as responses to petitions. Also included in this project is the *Predictive Modeling* proof-of-concept.

Note: Starting in FY 2016, this project now includes work previously described under FY 2015 Project 13326 – “Human Factors (HF) Standard Practice.”

13329 - Integrated Teams

This project focuses on the tasking and coordinating of activities pertaining to incident reports that have been assigned to the Integrated Teams by an intake and triage process. Activities include: initial review of the assigned incident, referral as necessary to a subject matter expert (SME) for further evaluation, review by the SME and/or assigning the incident for an in-depth investigation (IDI), a product safety assessment, corrective action, standards development, and/or a public safety campaign.

13330 - Data Intake and Clearinghouse

This project provides resources for the Data Intake and Injury Information branch of the CPSC Directorate for Epidemiology, which includes the National Injury Information Clearinghouse, a unit responsible for:

- 1) Performing coding, data entry, and quality control of reports to be included in the CPSC's public database (www.SaferProducts.gov) and/or its internal database;
- 2) Requesting verification of reports and consent for publication from submitters;
- 3) Determining eligibility of reports for posting on www.SaferProducts.gov;
- 4) Providing notification to manufacturers under Sections 6(c) and 6A of the Consumer Product Safety Act (CPSA) of reports which describe a hazardous incident or safety concern associated with one of their products;
- 5) Processing confidential information claims, claims of material inaccuracy, and general comments related to reports posted or to be posted on www.SaferProducts.gov;
- 6) Providing customer support to users of the CPSC's Business Portal;
- 7) Responding to requests for injury data; and
- 8) Developing computer programs used for reporting on database operations and status.

13331 - Petitions, OLA Support, and Other Unplanned Hazard Work

This project provides resources for activities related to hazard-related project work pertaining to petitions that are submitted by consumers and other outside parties. Once the petitions are docketed, they are evaluated by CPSC staff, which then provides to the Commission a briefing

package (BP) with 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 unplanned hazard work.

14125 - Economics Studies

This multi-element project provides resources for specialized economic information and reports for hazard project teams, other project teams and offices, Commissioners, Congress, other agencies, and the public, on an as-needed basis. Upon request, the project also provides data or support services to intra- and inter-agency task forces and fills other one-time requests. Project staff develops and maintains economic models to be able to provide: injury cost estimates, estimates of product life, and numbers in use; general and small business impacts of the CPSC's actions (e.g., impacts on production costs, competition); environmental impacts of CPSC's actions; labeling and recall costs; and international trade statistics. The project also provides resources for maintaining economic models through periodic review to determine that methodological approaches are current and adequate for use by CPSC staff.

21498 - Upholstered Furniture Flammability Rulemaking

This project provides resources for developing a rule to reduce the fire risk from ignitions of upholstered furniture. In FY 2016, staff will continue to develop performance standards to address the hazards associated with upholstered furniture fires.

21518 - Electrical Hazards: Voluntary Standards and Codes

This project provides resources for the following voluntary standards activities:

- Consideration of Clothes Dryer Temperature-Limiting Proposal for UL 2158
- Early consultation initiative on portable electronic power supplies
- Electrical fire voluntary standards support
- Electrocution fire voluntary standards support
- Study of scope of unprotected lithium-ion and lithium polymer cells and batteries

Note: Starting in FY 2016, this project will include work previously described under FY 2015 Project 21660 – “Electrical Hazards: Voluntary Codes and Standards (Fire).”

21725 - Fire Hazards: Voluntary Codes and Standards

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

- 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 maintaining FFA, FHSA, and CPSC regulations current and consistent with the CPSC fire hazard program goals and industry practices. Activities for FY 2016 include:

- Portable Fireplaces
- Fireworks

Note: Starting in FY 2016, this project now includes work previously described under the following FY 2015 projects listed in the FY 2015 Operating Plan:

21103 – Fireworks Regulatory Options: Rule Review

21146 – Bedclothes (open-flame ignition)

21636 – Firepots and Gel Fuel Rulemaking

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 may include:

- Furniture tip-over incident data
- Annual nursery equipment injury updates
- Annual toy report
- Juvenile products voluntary standards monitoring
- Voluntary standards for children's products
- Staff's preparation of an annual report that provides an identification and analysis of nursery product injuries and fatalities involving children younger than the age of 5 years
- Continued activities related to an update to the *Age Determination Guidelines* manual (used by CPSC staff, industry, and third party testing firms) to conduct age determinations.

Note: Starting in FY 2016, this project now includes work previously described under the following FY 2015 projects listed in the FY 2015 Operating Plan:

22642 – Child Hazard Drowning

22643 – Crib Bumpers

22637 - All-Terrain Vehicles (ATVs)

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

FY 2016 activities under this project include:

- Annual ATV death and injury data update report, with data on ATV deaths, by state, relative risk of death, by year, and injuries distributed, by year and age grouping;
- Continued technical work on passengers and stability
- ATV rulemaking activities: NPR.

22638 - Recreational Off-Highway Vehicles (ROVs)

This project provides resources for continued staff activities related to active participation in the ANSI/ROHVA and ANSI/OPEI Voluntary Standards for ROVs, but, consistent with congressional direction, no staff activities to finalize a mandatory regulatory standard for ROVs.

22640 - Older Consumer Safety Hazards

This project provides resources for activities that follow from an FY 2014 staff hazard screening report that focused on senior safety, including activities to solicit information on ways in which the CPSC can better address the risk to the senior population associated with the use of consumer products.

Note: Starting in FY 2016, this project now includes work previously described under FY 2015 Project 22641 – “Adult Bed Rails Petition.”

22644 - Window Coverings Petition

This project provides resources for activities related to carrying out the Commission’s direction in granting a petition from Parents for Window Blind Safety and eight other organizations, requesting that the CPSC initiate rulemaking to mandate a standard that prohibits any window covering cords where a feasible cordless alternative exists, and for instances in which a feasible cordless alternative does not exist, requires that all cords be made inaccessible through the use of passive guarding devices.

22646 - Table Saws

This project provides resources for activities associated with drafting an NPR to address table

saw blade contact injuries and for participating in the revision of voluntary standards.

22666 - Mechanical Hazards: Voluntary Codes and Standards

In FY 2016, CPSC staff will participate in activities related to the development and revision of voluntary standards for consumer products under CPSC jurisdiction. Among these products are All-Terrain Vehicles (ATVs), bicycles, garage door operators, adult bed rails, power equipment (table saws), riding mowers, recreational headgear, gas cans, inflatable play devices, and playground equipment (public and for children younger than 2 years old).

Note: Starting in FY 2016, this project now includes work previously described under FY 2015 Project 22639 – “Garage Door Operators.”

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

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

- *Garage Door Operators:* In December 2013, the Commission approved changes to entrapment protection provisions in UL 325 “Standard for Safety for Door, Drapery, Gate, Louver, and Window Operators and Systems,” to be incorporated into 16 C.F.R. part 1211. In FY 2015, staff prepared an NPR to amend 16 C.F.R. part 1211.

In FY 2016, CPSC staff will prepare a final rule (FR) briefing package and a draft *Federal Register* notice for Commission approval.

- *Architectural Glazing:* In May 2015, the Commission approved an NPR to amend 16 C.F.R. part 1201. In FY 2016, CPSC staff will prepare an FR briefing package and a draft *Federal Register* notice for Commission approval.

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. The Commission can prioritize its work on these products, but must promulgate two rules every 6 months until all of the subject products have a mandatory safety standard.

This project covers DA/TR and rulemaking activities related to these products: booster seats, children's folding chairs and stools, high chairs, changing tables, gates and other enclosures, hook-on chairs, infant bath tubs, infant bouncer seats, annual submersion injury update, pool and spa drain entrapment update, age determination guidelines, crib bumpers, infant inclined sleep products, infant slings, product registration cards and recall effectiveness, and stationary activity centers.

In addition, this project covers activities to complete analysis of the data gathered from the durable nursery products exposure survey.

Note: Starting in FY 2016, this project now includes work previously described under FY 2015 Project 22728 – “Toy Safety (CPSIA § 106).”

23258 - Chemical Hazards: Voluntary Standards

This project provides resources for the following voluntary standards activities:

- Flame-retardant chemicals in children's products
- Playground mulch and other playground surface materials manufactured from recycled materials
- Formaldehyde emissions from furniture made with laminated wood
- Voluntary standards on chemical hazards

This project includes research as part of a crumb rubber interagency task force.

Additionally, this project includes research activities related to potential exposure to chemicals released during and after the application of spray foam insulation and potential chemical hazards related to wearable technology.

23259 - Chemical Hazards: Rulemaking Activities

This project provides resources for rulemaking activities related to:

- Lead (CPSIA §101)
- Phthalates Final Rule (CPSIA §108)
- Poisoning Prevention (PPPA)

The project also involves participation, as needed, in meetings with federal partners about issues related to the United Nations' Globally Harmonized System of Classification and Labeling of Chemicals (GHS).

Note: Starting in FY 2016, this project now includes work previously described under the following FY 2015 projects listed in the FY 2015 Operating Plan:

23447 – Poison Prevention Packaging Act (PPPA)

23705 – Lead (CPSIA § 101)

23706 – Phthalates (CPSIA § 108)

23335 - Combustion (Carbon Monoxide)

Hazards: Voluntary Standards Activities

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

- CO death estimates on all combustion products
- CO fatalities associated with engine-driven tools and portable generator use
- CO voluntary standards support
- Gas appliances (CO sensors)
- Gasoline fuel leakage from gasoline-powered equipment standards development

23336 - Combustion (Carbon Monoxide)

Hazards: Rulemaking Activities

This project provides resources for addressing the hazards of carbon monoxide (CO) poisoning associated with portable generators. Staff will pursue technical and non-technical means, and efforts will include:

- Testing to evaluate technologies to protect against or reduce CO emissions from small utility engines;
- Modeling of current and reduced CO engines emissions rates to assess the health hazard for indoor occupants exposed to the engine exhaust when the generator is running in various locations in the incident data reported to CPSC;
- Updating incident data associated with portable generators; and
- Development of an NPR in FY 2016

23704 - Nanotechnology

Nanotechnology is a rapidly developing field and will have a significant impact on a number of consumer products regulated by the CPSC. In the discussion of the Reauthorization of Appropriations (Section 201), of the conference report on H.R. 4040, CPSIA of 2008, Congress stated that it recognizes nanotechnology as a new technology used in the manufacture of consumer products, and that the Conferees expect the CPSC to review the use of

nanomaterials in consumer products. Other stakeholders have emphasized the importance of adequately addressing potential health and safety implications of nanomaterials. CPSC staff will undertake the following activities/programs in FY 2016:

- Collaborating with state and federal authorities, colleges and universities, and other stakeholders to expand the CPSC's effectiveness and reach to address consumer exposures to nanomaterials throughout the life-cycle of the material.
- Working with the National Institute for Standards and Technology (NIST) to develop protocols to assess the potential release of nanoparticles from selected consumer products and determine their contributions to human exposure.
- Maintaining a nanotechnology consumer product database containing products that claim to have or are believed to contain nanomaterials.
- Continuing to characterize the release of nanomaterials into indoor air and determine the potential exposures to consumers.
- Collaborating with the NSF- and the EPA-funded Centers for Environmental Implications of Nanotechnology to investigate human exposures to nanomaterials, including those released from consumer products.

24013 - Laboratory Equipment and Operations Support

This project provides resources required for safe and efficient operation of CPSC laboratories within the NPTEC, including upgrade and purchase of new equipment, replacement of testing and lab support equipment, calibration and maintenance of equipment/test instruments, services and equipment for hazardous waste management, operational safety and compliance with applicable environmental and occupational safety and health requirements, support for facility modifications to address needed 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 Hazard Reduction, Compliance, International Programs, and Communications programs and projects.

24505 - EXHR Project Support

This project provides resources to support unforeseen EXHR activities or needs, which may

include providing funds for outside expertise, peer review of technical reports, specialized testing, various test equipment, supplies, and samples.

25720 - Regulatory Management

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

- 16 C.F.R. part 1031 Voluntary Standards Participation Rule
- Paperwork Reduction Act (PRA) support
- E-filing of Certificates pilot support
- HAR legal/Regulatory Flexibility Act (RFA) support
- Rule Review - BP

Note: Starting in FY 2016, this project now includes work previously described under the following FY 2015 projects listed in the FY 2015 Operating Plan:

25547 – Rule Review

25722 – HAR Legal/RFA Support

25725 – Voluntary Standards Program Coordination

25726 – Paperwork Reduction (PRA) Support

25728 – 1110 Rule

25723 - Lab Accreditation (CPSIA §102)

In FY 2016, staff will engage in the following activities:

- Administer the requirements for accreditation of third party conformity assessment bodies to assess conformity with a children's product safety rule; and
- Manage the application review process and the periodic audit of third party conformity assessment bodies as a condition for continuing accreditation by the CPSC.

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

25727 - Burden Reduction/Assure Compliance

This project provides funding, as specified by Congress in the Consolidated Appropriations Act 2016, for ongoing efforts toward potentially providing meaningful reduction of third party testing costs of children's products consistent with assuring compliance with all applicable rules, regulations, bans, and standards. During the fiscal year, and within the available funding level, staff will prepare for Commission consideration draft *Federal Register* notices and

supporting briefing packages that address reduction of third party testing costs on as many of the following categories staff determines that a reduction in third party testing costs can be accomplished consistent with assuring compliance:

- Determinations Expansion – Heavy Metals in Toys (FR)
- Determinations Expansion – Specific Plastics (NPR)
- Determinations Expansion – Lead (FR)

Staff will also continue to work on advancing the state of technology for Fourier Transform

Infrared Spectroscopy (FTIR) for phthalates testing.

25777 - EXHR Leadership and Administration

This activity provides resources for EXHR travel, supplies, and other organizational support.

Note: Starting in FY 2016, this project now includes work previously described under the following FY 2015 projects:

25100 – EXHR Training

25376 – Hazard Assessment and Reduction (HAR) Management

25377 – EXHR Directorate Division Management

4. Summary of Budget Key Performance Measures

Control ID	Performance Measure Statement	FY 2016 Target
2016BK2.1.3	Number of reports produced on the results of collaboration on nanotechnology issues affecting consumer products	5
2016BK2.1.4	Number of voluntary standards activities in which CPSC staff actively participates	70
2016BK2.2.1	Number of candidates for rulemaking prepared for Commission consideration	22
2016BK3.1.1	Percentage of National Electronic Injury Surveillance System (NEISS) member hospitals evaluated at least once a year	98%
2016BK3.1.2	Percentage of consumer product-related injury cases correctly captured at NEISS hospitals	90%
2016BK3.2.1	Time from incident received to integrated team adjudication of incident report (business days)	10
2016BK3.2.2	Percentage of priority import regulated samples (excluding fireworks) tested within 30 days of collection	85%
2016BK3.2.3	Percentage of import and domestic fireworks samples tested within 60 days of collection	90%
2016BK3.2.5	Percentage of section 15 Product Safety Assessment requests that are completed within the Hazard Level Completion time assigned	90%
2016BK3.2.6	Percentage of all domestic and non-priority import regulated product samples (excluding fireworks) that are tested within 60 days of receipt at NPTEC	85%
2016BK3.5.3	Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards	11

5. Summary of Operating Plan Performance Measures

Control ID	Performance Measure Statement	FY 2016 Target
2016OP01	Number of work-related injuries and illnesses per 100 National Product Testing and Evaluation Center employees in a year (incident rate)	5
2016OP02	Number of incident reports collected from medical examiners and coroners	4,500
2016OP03	Number of incident reports obtained from news clips	6,000
2016OP04	Percentage of incident report verification requests mailed - either email or postal mail - within 2 business days	95%
2016OP06	Percentage of reports from eligible sources for which clerical coding is completed within 1 business day following receipt	95%
2016OP07	Percentage of notifications sent to manufacturers named in all reports eligible for the public database within 5 business days of eligibility determination	95%
2016OP08	Percentage of cases in which staff reviews or refers comments and claims from manufacturers, importers, and private labelers within 1 business day	95%
2016OP09	Percentage of business registration requests for www.SaferProducts.gov processed within 2 business days	80%
2016OP10	Percentage of headquarters telephone investigations of NEISS cases completed in fewer than 45 business days	98%
2016OP53	Percentage of completed product investigation reports provided to manufacturers within 50 business days of receiving the report	75%
2016OP59	Percentage of supporting statements for Paperwork Reduction Act renewals submitted to the Office of the General Counsel no less than 4 months before OMB control number expiration date	85%
2016OP65	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.	Baseline
2016OP66	Number of collaborations established or maintained with other organizations to work on nanotechnology research or issues affecting consumer products	5

6. Annual Milestones

Control ID	FY 2016 Milestone Target
2016M01	Three new hospitals recruited to participate in NEISS
2016M02	Briefing package prepared – Adult Portable Bed Rails Petition
2016M03	Briefing package prepared – Residential Elevators Petition
2016M04	Briefing package prepared – Silk FFA Petition
2016M05	Briefing package prepared – Rule Review Plan

Control ID	FY 2016 Milestone Target
2016M06	Briefing package prepared – Vacuum Diffuser Petition
2016M07	Briefing package prepared – Crib Bumpers
2016M08	Briefing package prepared – Supplemental Mattresses for Play Yards Petition
2016M09	Briefing package prepared – Organohalogens Petition
2016M10	Briefing package prepared – 1633 - Mattresses Rule Review
2016M11	A report prepared on findings from the FY 2015 Nanotechnology QEEN Conference
2016M12	Briefing package prepared – ROV Voluntary Standards Revision Evaluation

1. Resource Summary

	FY 2016 Enacted	
	Budget (in thousands)	FTE
Compliance HQ	\$ 363	56
Compliance Field	\$ 1,646	103
Total	\$ 2,009	159

2. Overview and Key Priorities

The Office of Compliance and Field Operations (EXC) 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 allow for a multidisciplinary approach to enforcement. Early in the process, staff endeavors to identify products that present a risk, which requires close and frequent interaction with technical and epidemiological staff. Once hazardous products have been identified, the CPSC takes action to protect consumers, remove the product from the marketplace, and hold violators accountable. Continued rulemaking under the CPSIA also requires enforcement activities to help ensure stakeholders are well informed of the requirements, provide for a level playing field, and confirm that stakeholders meet the mandated requirements.

Compliance efforts also support ongoing regulatory compliance activities, including data analysis, investigations, and assessments of the level of compliance with new regulations. Regulatory areas include: public pool and spa requirements (there are more than 300,000 public pools and spas across the nation under CPSC jurisdiction); CPSIA-mandated requirements for cribs, toddler beds, play yards, bath seats, bed rails, strollers, and swings; Federal Hazardous Substances Act (FHSA) regulations for toys, rattles, pacifiers, and infant pillows; refuse bins; and refrigerators. The plan also supports analysis of epidemiology data to determine if there are patterns of defects that might warrant conducting investigations of hazards, including evaluation of technical reports and in-depth field investigations.

FY 2016 Key Priorities: In FY 2016, EXC's key priorities will be:

- 1) Continued improvements in Internet surveillance capabilities; and
- 2) Further enhancements in recall effectiveness.

3. Strategic Plan Alignment and Project Summary

FY 2016 Project		Strategic Goal
31100	Fire Hazards	4
31102	Fire Hazards: Section 15	4
31103	Fire Hazards: Regulated	4
31163	Fireworks	4
31183	Lighters	4
31600	Electrocution Hazards	4
31602	Electrocution Hazards: Section 15	4
31603	Electrocution Hazards: Regulated	4
32200	Mechanical Hazards to Children	4

FY 2016 Project		Strategic Goal
32202	Mechanical Hazards to Children: Section 15	4
32203	Mechanical Hazards to Children: Regulated	4
32223	Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) (Pub. L. No. 110-140)	4
32253	All-Terrain Vehicles (ATVs) (CPSIA § 232): Compliance Enforcement	4
32272	Substantial Product Hazard List and Destruction of Noncompliant Imported Products (CPSIA § 223): Section 15(j) Generic Defect Rules	4
32277	EXC Leadership and Administration	4
32400	Mechanical Hazards	4
32402	Mechanical Hazards: Section15	4
32403	Mechanical Hazards: Regulated	4
33700	Chemical Hazards	4
33702	Chemical Hazards: Section15	4
33703	Chemical Hazards: Regulated	4
33777	CFI Leadership and Administration	4
34301	State/Local Programs	4
34381	Internet Surveillance Program Support	4

31100 - Fire Hazards

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

31102 - Fire Hazards: Section 15

This project provides resources for evaluating incoming data, conducting investigations of hazards, including evaluation of technical reports and in-depth field investigations, and executing consumer product recalls. This project also provides resources for engaging with management and the Office of the General Counsel (OGC) to assist in final negotiations, such as ongoing investigatory work, additional evidence gathering, briefings to Commissioners on the status of a case from a compliance standpoint.

31103 - Fire Hazards: Regulated

This project provides resources for monitoring compliance with CPSC mandatory standards for the industries that the agency regulates. Additionally, the project provides resources for determining potential items or focus to be added to the annual investigative program agenda; the determination would be based on reviewing

overall compliance in combination with incident reports.

31163 - Fireworks

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

31183 - Lighters

This project provides resources for compliance enforcement and remediation activities to stop the sale of cigarette lighters and multi-purpose 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: Section 15

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

31603 - 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.

32202 - Mechanical Hazards to Children: Section 15

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

Note: Starting in FY 2016, this project now includes work previously described under FY 2015 Project 32252 – “Mechanical Hazards to Children Drowning.”

32203 - Mechanical Hazards to Children: Regulated

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

Note: Starting in FY 2016, this project now includes work previously described under the following FY 2015 projects:

32213 – Tracking Labels (CPSIA §103)

32233 – Durable Children’s Products/Registration: Compliance (CPSIA §104)

32243 – Certification Enforcement (CPSIA §102)

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

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

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

This project provides resources for monitoring compliance for CPSC for mandatory standards within the industries that the agency regulates. Additionally, the project provides resources for determining potential items or focus to be added to the annual investigative program agenda; the determination would be based on reviewing overall compliance, in combination with incident reports.

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

This project supports compliance enforcement and remediation activities to monitor and assess products subject to a 15(j) determination under the CPSA (15 U.S.C. § 2064). For example, enforcement activities may be directed toward products with drawstrings to determine whether their characteristics present a substantial product hazard, as discussed in Section 15(a) (2) (15 U.S.C. § 2064).

32277 - EXC Leadership and Administration

This project provides resources for the overall direction and proper implementation of the compliance program, as well as the administrative management of EXC. This project also provides resources to enhance the effectiveness of the product safety recalls through actions such as shortening the length of time it takes to alert the public to a product recall, identifying priority recalls so that the agency can provide enhanced monitoring of those critical recalls, expanding the use of social media by the CPSC to reach targeted audiences, and urging recalling firms to use social media and search engine optimization to broaden the notice of safety recalls to reach as many owners of recalled products as possible.

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

Note: Starting in FY 2016, this project now includes work previously described under the following FY 2015 projects:

34380 – Compliance Management

34789 – Recall Effectiveness

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, and power equipment.

32402 - Mechanical Hazards: Section 15

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

32403 - Mechanical Hazards: Regulated

This project provides resources for compliance enforcement and remediation activities to address risks to consumers from mechanical hazards. The project does not include resources to address risks primary to children from products that present mechanical hazards. The project encompasses sports and recreational equipment, household goods, and power equipment that are subject to mandatory regulations or standards.

Note: Starting in FY 2016, this project now includes work previously described under FY 2015 Project 31193 – “Children’s Gasoline Burn Prevention Act (Pub. L. No. 110-278).”

33700 - Chemical Hazards

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

33702 - Chemical Hazards: Section 15

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

Note: Starting in FY 2016, this project now includes work previously described under FY 2015 Project 33762 – “Carbon Monoxide (CO) Hazards: Section 15.”

33703 - Chemical Hazards: Regulated

This project provides resources for compliance activities to address chemical hazards covered by mandatory regulations or standards.

Note: Starting in FY 2016, this project now includes work previously described under the following FY 2015 projects:

33713 – Phthalates Compliance (CPSIA §108)

33763 – Poison Prevention Packaging Act (PPPA) Hazards

33803 – Lead Compliance (CPSIA §101)

33777 - CFI Leadership and Administration

This project provides resources for time spent on monitoring, managing, and evaluating CFI office staff and for time spent on administrative support. This project also provides resources for travel, transportation, printing, and purchases of supplies, samples, and equipment to support CFI operations.

34301 - State/Local Programs

This project provides resources for the CPSC-hosted State and Local Training Caucus. This project also provides resources for training to states, as well as providing states with the most current information on the CPSIA and consumer product safety.

34381 - Internet Surveillance Program Support

This project supports activities to conduct undercover Internet surveillance activities, as well as monitoring of products sold to consumers via the Internet that have been recalled or may otherwise violate a CPSC rule or standard. The project includes time to conduct Internet surveillance to review products sold by various retailers, manufacturers, and importers online and to conduct follow-up on consumer/trade complaints.

4. Summary of Budget Key Performance Measures

Control ID	Performance Measure Statement	FY 2016 Target
2016BK3.5.4	Total number of products screened by CPSC field staff (excluding imports)	180,000
2016BK4.1.1	Number of establishment inspections conducted by CPSC field staff	3,000
2016BK4.3.2	Percentage of cases for which the corrective action is accepted within 60 business days of the preliminary determination	80%
2016BK4.3.3	Percentage of cases in which the firm is notified of a violation in a timely manner	90%
2016BK4.3.4	Percentage of Fast-Track cases with corrective actions initiated within 20 business days	90%
2016BK4.3.5	Percentage of all cases for which the preliminary determination is made within 85 business days of the full report receipt	70%
2016BK4.5.2	Percentage of compliance defect investigation cases referred within 20 business days to the Office of the General Counsel (OGC) for review of firms' timely reporting pursuant to §15(b)	75%

5. Summary of Operating Plan Performance Measures

Control ID	Performance Measure Statement	FY 2016 Target
2016OP17	Percentage of corrective actions obtained within 35 business days after an LOA is issued (Regulated Products)	85%
2016OP21	Percentage of recall checks conducted in cooperation with state or local partners within 90 calendar days of assignment	90%
2016OP60	Percentage of investigations (not including ATV and pool data collection investigations) completed in fewer than 45 business days	95%
2016OP61	Total number of products screened by CPSC field staff at import	3,500

6. Annual Milestones

Control ID	FY 2016 Milestone Target
2016M12	Initiate a process to help ensure that use of social media coincides with a firm's recall press release
2016M13	A regional training conducted for State Designees.
2016M14	Workshops conducted for PPPA and Sleepwear

This page intentionally left blank.

1. Resource Summary

	FY 2016 Enacted	
	Budget (in thousands)	FTE
Import Surveillance*	\$ 1,115	44

* Funding for the information technology (IT) elements of the pilot-scale Import Surveillance Risk Assessment Methodology (RAM) targeting system is included in the Office of Information and Technology Services' (EXIT) budget.

2. Overview and Key Priorities

The Office of Import Surveillance (EXIS) is responsible for coordinating with the U.S. Department of Homeland Security's Customs and Border Protection (CBP) to prevent violative or hazardous products from entering the United States. CPSC investigators are co-located at select ports of entry to target and screen incoming shipments of consumer products. The CPSC also collaborates with CBP at the Commercial Targeting and Analysis Center (CTAC) to implement national operations designed to optimize the federal government's response to product risk at importation.

During FY 2014, more than 232,000 importers brought into the United States consumer products under CPSC jurisdiction having a total estimated value of approximately \$741 billion. That averages to more than \$2 billion per day. Since 2008, four out of five product recalls in the United States involve an imported product. American consumers could run a higher risk of injury and death, and domestic manufacturers could face a competitive disadvantage when product imports do not comply with federal or consensus safety standards or violate intellectual property laws, while also posing a health and safety risk.

To face this immense challenge, the CPSC initiated a highly innovative International Trade Data System/Risk Assessment Methodology (ITDS/RAM) pilot system, which uses the CPSC's unique data, along with data from CBP, to quickly target certain high-risk consumer products arriving at U.S. ports of entry.

Since implementation in 2011, the results of the pilot program have been positive. In 2015, more than 7.6 million violative or potentially hazardous non-fireworks** consumer product units were stopped from entering commerce, more than 40 times the number of units identified by the CPSC in 2007. The pilot has also benefited compliant trade. From the introduction of the RAM pilot through 2015, the CPSC has seen a 33 percent reduction in the rate of compliant shipments held.

FY 2016 Key Priorities: In FY 2016, EXIS's key priorities will be:

- 1) Continued monitoring of the improvement in targeting effectiveness associated with the ITDS/RAM pilot system.
- 2) Supporting the "Single Window" platform and coordinating implementation of a pilot program to collect targeting/enforcement data with volunteers from the trade. A Partner Government Agency (PGA) Message Set pilot will be initiated to evaluate and assess a test information exchange platform for the electronic filing of targeting/enforcement data. The CPSC will continue to provide support to CBP's Automated Commercial Environment (ACE), which is an interface connecting CBP, the trade community, and other federal government agencies to manage the admissibility of goods entering the country.
- 3) Evaluating the results of the Full Production RAM Requirements Analysis. There is an ongoing analysis to define the full production RAM requirements, consistent with the U.S. Government *Single Window* initiative. The CPSC will evaluate the results of that requirements analysis and prepare an updated pilot to full production implementation proposal.

** Unit counts for fireworks shipments are highly variable and represent a small number of the shipments stopped for examination.

3. Strategic Plan Alignment and Project Summary

FY 2016 Project		Strategic Goal
34340	Electronic Filing of Import Targeting Data	3
34351	Import: Regulated	3
34352	Import: Defects	3
34353	Import: Mission Support Activities	3
34360	Commercial Targeting and Analysis Center (CTAC) Support	3
34370	Importer Self Assessment - Product Safety (ISA-PS)/Trusted Trader Program	3
34377	EXIS Leadership and Administration	3

34340 - Electronic Filing of Import Targeting Data

This project provides resources for activities to evaluate and assess a test platform to manage an exchange of electronic data with CBP for targeting purposes. The data will be provided from industry. The CPSC's pilot program would enable the trade to file data useful for targeting electronically with CBP's ITDS/ACE Modernization *Single Window* platform for collecting such information.

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.

Note: Starting in FY 2016, this project now includes work previously described under the following FY 2015 projects:

- 31110** – Import Activities: Fire Hazards
- 31610** – Import Activities: Electrocuting Hazards
- 32210** – Import Activities: Mechanical Hazards
- 33710** – Import Activities: Chemical Hazards
- 34330** – Import Compliance Casework
- 34333** – Import Case Referral

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 the CPSC's Operations Support staff.

34360 - Commercial Targeting and Analysis Center (CTAC) Support

This project provides resources used for staffing and supporting CTAC, which is the agency's mechanism for conducting joint import enforcement programs with CBP. The CTAC serves as the central location for the agency targeting effort in support of agency enforcement plans and RAM, as required under Section 222 of the CPSIA.

34370 - Importer Self Assessment - Product Safety (ISA-PS)/Trusted Trader Program

This project provides resources for supporting the development of a risk-based Trusted Trader Program for the CPSC in coordination with CBP. The project also provides resources for staff time to support the ongoing ISA-PS project, which includes time spent on the following activities:

- Meeting with other federal agencies and the trade to obtain input on program features;
- Conducting both domestic and foreign visits of importers, manufacturers, and suppliers, as needed; and
- Attending conferences to educate the trade on a program and to evaluate the program(s).

34377 - EXIS Leadership and Administration

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

Note: Starting in FY 2016, this project now includes work previously described under FY 2015 Project 34350 – “Import Surveillance.”

4. Summary of Budget Key Performance Measures

Control ID	Performance Measure Statement	FY 2016 Target
2016BK3.4.1	Number of import examinations	30,000
2016BK3.4.3	Percentage of import shipments processed through the Risk Assessment Methodology (RAM) pilot system that are cleared within 1 business day	99%
2016BK3.4.4	Percentage of CPSC import entry hold requests acted on by CBP	86%
2016BK3.4.7	Percentage of entries sampled as identified through the Risk Assessment Methodology (RAM) pilot system	11%
2016BK3.4.8	Percentage of first-time violators who are engaged with a timely informed compliance inspection after violation determination	80%

5. Summary of Operating Performance Measures

Control ID	Performance Measure Statement	FY 2016 Target
2016OP22	Number of ports at which CPSC will cross-train other federal agencies' staff to identify hazardous imported products	20
2016OP67	Percentage increase in targeting exams that are high risk	Baseline

6. Annual Milestones

Control ID	FY 2016 Milestone Target
2016M15	Effectiveness evaluation conducted of CTAC programs
2016M16	Training conducted for Import Surveillance operations at a port location(s)
2016M17	A national program implemented for targeting all 15J rules
2016M18	An import compliance program developed and implemented with CBP
2016M19	Trade participants recruited and an alpha pilot initiated to collect targeting/enforcement data electronically

This page intentionally left blank.

1. Resource Summary

	FY 2016 Enacted	
	Budget (in thousands)	FTE
Office of International Programs	\$ 721	7

2. Overview and Key Priorities

The Office of International Programs (EXIP) is responsible for carrying out educational and outreach activities to international stakeholders. EXIP activities are focused on foreign governments and foreign manufacturers, as well as on conducting cooperative programs, training, and informational activities in foreign countries of interest to the CPSC. EXIP will continue to place emphasis on cooperation with multilateral organizations, China, and geographical regions and countries of special interest to the agency. In maintaining ties and working with its overseas partners, EXIP will make efficient use of its resources by communicating with its partners via digital video conferencing (DVC) and webinars, as appropriate, as well as collaborating with other U.S. government agencies that operate overseas (e.g., the U.S. Agency for International Development (USAID)).

FY 2016 Key Priorities: In FY 2016, EXIP's key priorities will be:

- 1) Increasing cooperation on product safety policy with authorities in Mexico and Canada;
- 2) Expanding overseas training of U.S. product safety requirements for buyers and sourcing professionals representing U.S. importers;
- 3) Supporting activities of CPSC Beijing Office to help provide for a full program of product safety training for industry and effective coordination with Chinese government product safety authorities; and
- 4) Working to provide multilateral product safety fora in which the CPSC represents the U.S. government.

3. Strategic Plan Alignment and Project Summary

FY 2016 Project		Strategic Goal
53148	Overseas Office	1
53149	International Program	1
53152	China Program	1
53153	European/International Organizations Program	1
53154	Selected Asia Pacific Program	1
53155	Southeast (SE) Asia Program	1
53156	Western Hemisphere Program	1
53177	EXIP Leadership and Administration	1

53148 - Overseas Office

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

53149 - International Program

This project provides resources for supervising the performance of the various initiatives of the CPSC's international programs. This program supports a staff of six.

Note: Starting in FY 2016, this project now includes work previously described under FY 2015 Project 25375 – "International Program Support."

53152 - China Program

The largest of EXIP's programs, the China Program is focused on outreach to consumer product suppliers in China and engagement with the CPSC's counterpart agency in China - the General Administration of Quality Supervision, Inspection and Quarantine (AQSIQ). 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 Organisation for Economic Co-operation and Development (OECD). The CPSC's work with the EU consists of joint efforts to improve the safety of consumer products imported from developing countries.

53154 - Selected Asia Pacific Program

This program covers the 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.

Through the CPSC's Extended Training Exchange Program, the agency was fortunate to host the program's first foreign official from the Australian Competition and Consumer Commission (ACCC) during FY 2012, and an official from the Korea Consumer Agency during FY 2015. The CPSC also sent an employee on an exchange program detail to the ACCC during FY 2015. For FY 2016, EXIP will conduct two training exchanges, which consist of one outbound exchange to Europe and one inbound exchange from Taiwan.

This project includes resources for intergovernmental meetings and industry training events.

53155 - Southeast (SE) Asia Program

The Southeast (SE) Asia Program consists of field training conducted for manufacturers and cooperative activities with governments 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 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 Organization of American States (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, supplies, and other organizational support.

Note: Starting in FY 2016, this project now includes work previously described under the following FY 2015 projects:

53146 – Education and Global Outreach

53151 – Child Care Safety Program

4. Summary of Budget Key Performance Measures

Control ID	Performance Measure Statement	FY 2016 Target
2016BK1.2.2	Number of staff exchanges with foreign counterparts undertaken as part of the International Training Exchange Program	2
2016BK1.2.5	Number of training or outreach seminars for foreign manufacturers and overseas U.S. importer representatives conducted by CPSC staff	13

5. Summary of Operating Plan Performance Measures – None

6. Annual Milestones

Control ID	FY 2016 Milestone Target
2016M21	Six international cooperation business plans reviewed and updated. The program plans are for (1) the Western Hemisphere, (2) Beijing Regional Office, (3) China, (4) East Asia-Pacific, (5) Europe and International Organizations, and (6) Internet Foreign Language
2016M22	Leadership positions in international organizations held in the Organization for Economic Cooperation and Development Working Party on Consumer Product Safety, and in the Consumer Safety and Health Network (CSHN) of the Organization of American States
2016M23	Six training or best practice briefing events for foreign consumer product safety regulators conducted or facilitated

This page intentionally left blank.

1. Resource Summary

	FY 2016 Enacted	
	Budget (in thousands)	FTE
Office of Communications	\$ 1,900	10
<i>Pool Safely</i> Campaign (Pursuant to Section 1407 of VGB Act)	\$ 1,000	
Total	\$ 2,900	10

2. Overview and Key Priorities

The Office of Communications' (OCM) work is primarily linked to Strategic Goal 5—Raising Awareness. OCM contributes to the CPSC's mission through three key efforts: implementing safety education and prevention programs, managing content uploading to CPSC's website, and announcing product recalls. Priority programs of OCM's effort in implementing safety education and prevention programs include: overseeing the performance of *Pool Safety* Grant Program awardees [pursuant to Section 1405 of the Virginia Graeme Baker Pool and Spa Safety Act (VGB Act)]; expanding and enhancing the nationally recognized *Pool Safely* campaign (pursuant to Section 1407 of the VGB Act); continuing to run the largest furniture and TV tip-over prevention campaign in the country; coordinating a national Safe to Sleep® campaign with the National Institutes of Health (NIH) and the Health Resources and Services Administration (HRSA); and conducting a robust Minority Outreach campaign, which includes the Neighborhood Safety Network (NSN) program with more than 9,000 members.

Additionally, OCM staff conducts at least 24 targeted public information efforts each year, covering a variety of hazards, ranging from brain safety in youth sports to safety during the holiday season, and from import surveillance to fire safety. To support these programs and other CPSC offices, OCM manages content on the agency's website; creates, manages, and distributes materials from a library of more than 200 safety publications; and produces and/or webcasts about 100 video presentations, media events, and meetings each year. In addition, the office is responsible for content development and management of additional CPSC websites; disseminates information via several social media platforms and listservs; and translates materials into Spanish.

OCM's efforts regarding announcing product recalls leads to CPSC issuing about 300 recall announcements each year, which are amplified by media and social media coverage. OCM provides graphics support for agency programs and events, such as NSN posters and Safety Summit announcement materials. In addition, OCM monitors media and social media coverage of agency-related announcements; and manages the contract for the agency's customer service Hotline.

FY 2016 Key Priorities: In FY 2016, OCM's key priorities will be:

- 1) Pursuing new opportunities to raise awareness of the four priority programs – *Pool Safely*, Anchor It!, Safe to Sleep®, and Minority/Community Outreach
- 2) Developing new messages, activities, and events surrounding the 24 targeted programs
- 3) Improving measures for reducing the time between recall news release first drafts and the issuance date; and
- 4) Implementing new processes to streamline operations of agency websites and expand content visibility.

3. Strategic Plan Alignment and Project Summary

FY 2016 Project		Strategic Goal
42286	Distribution Services	5
42549	Child Safety	5
42616	Ongoing/Seasonal Programs	5
44201	Hotline	3
44522	Special Projects	5
44563	Recalls/Alerts	5
44565	Media Relations	5
44577	Communications Operations	5
44699	Video Communication	5
44790	Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) (Pub. L. No. 110-140)	5
44792	Hearing Room Operations and Maintenance	5
44793	Digital Communications	5
44794	Minority Outreach	5
44795	Media Monitoring	5

42286 - Distribution Services

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

42549 - Child Safety

This project provides resources for:

- Information and education campaigns such as Safe to Sleep®, toy safety, and tip-over protection; and
- Raising awareness about a variety of issues affecting the vulnerable population.

42616 - Ongoing/Seasonal Programs

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

44201 - Hotline

This project includes resources for contract services to manage and operate the CPSC Hotline, including the intake and reporting of calls, e-mails, consumer incident reports, and publication orders.

44522 - Special Projects

This project provides resources for the 24 targeted partnership programs that are not funded by other OCM projects.

44563 - Recalls/Alerts

This project provides resources for any effort by OCM to take advantage of opportunities to raise awareness about product 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 Operations

This project includes resources for management of OCM projects, budget, and contracts.

44699 - Video Communication

This project includes resources for contracting video production services for TV news feature. Contractor will record, edit, and distribute CPSC news contents via satellite broadcast several times a year to television (TV) stations nationwide.

44790 - Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) (Pub. L. No. 110-140)

This project provides resources for the *Pool Safely* information and education campaign to prevent child drownings and drain entrapments in pools and spas.

44792 - Hearing Room Operations and Maintenance

This project provides resources for maintenance of hearing room equipment and materials. Additionally, the project includes service contracts for captioning and transcription of conferences, meetings, and other activities held in the Commission Hearing Room.

44793 - Digital Communications

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

44794 - Minority Outreach

This project provides resources to support the CPSC's extensive efforts to reach minority and underserved consumers with safety messages related to poison prevention, tip-over prevention, drowning prevention, and creating a safe sleep environment for babies.

Although CPSC safety messages receive substantial coverage by mainstream media,

many minority consumers, including those who are disproportionately affected by product hazards, may not be receiving the life-saving messages. The CPSC collaborates with media and grassroots organizations that serve minority and underserved populations to increase awareness about critical safety hazards in these communities.

44795 - Media Monitoring

This project contracts news monitoring services, including reports of news coverage involving CPSC actions, and news from TV, radio, print, and online sources.

4. Summary of Budget Key Performance Measures

Control ID	Performance Measure Statement	FY 2016 Target
2016BK4.4.2	Average number of business days between establishment of first draft and issuance of recall press release for the most timely 90% of all recall press releases	19
2016BK5.2.1	Number of public information campaigns conducted by CPSC on targeted consumer product safety hazards	24
2016BK5.2.2	Number of impressions of CPSC safety messages received by consumers on targeted consumer product safety hazards, excluding recalls (in millions)	8,500
2016BK5.2.3	Number of media events involving collaborations with other federal, state or local governments; consumer advocacy organizations; medical or industry groups; or other stakeholders focus on a targeted hazard with high public concern	5
2016BK5.3.1	Number of impressions of CPSC safety messages received by consumers on priority hazards in vulnerable communities, excluding recalls (in millions)	2,750
2016BK5.3.4	Number of media events involving collaborations with other federal, state or local governments; consumer advocacy organizations; medical or industry groups; or other stakeholders that focus on a priority hazard in vulnerable communities	15

5. Summary of Operating Plan Performance Measures

Control ID	Performance Measure Statement	FY 2016 Target
2016OP28	Percentage of voicemail messages responded to by Hotline staff the next business day	98%
2016OP30	Number of new social media platforms for which CPSC established a presence to promote CPSC programs, recalls, and alerts	2
2016OP31	Number of followers on Twitter signed up to receive CPSC safety messages in English and Spanish	40,000
2016OP32	Number of impressions of messages related to import safety campaigns received by consumers, excluding recalls (in millions)	2,500
2016OP33	Number of impressions of fire safety messages received by consumers, excluding recalls (in millions)	1,500
2016OP34	Number of impressions of carbon monoxide safety messages received by consumers, excluding recalls (in millions)	150

Control ID	Performance Measure Statement	FY 2016 Target
2016OP35	Number of impressions of safety messages related to children's products and other hazards received by consumers, excluding recalls (in millions)	5,000
2016OP38	Number of impressions of safety messages focused on effects of safety hazards on minority audiences in print, broadcast, radio and social media, excluding recalls (in millions)	110
2016OP39	Number of impressions of CPSC safety messages related to drowning and drain entrapment prevention in pools and spas received by consumers (in millions)	2,000
2016OP41	Number of impressions of CPSC safety messages related to Safe to Sleep® received by consumers through information and education activities, excluding recalls (in millions)	75
2016OP42	Number of submissions for biennial contest in which students submit posters recognizing the dangers of carbon monoxide (next contest will be held in FY 2017)	N/A
2016OP43	Number of visits to CPSC's websites (in millions)	35
2016OP54	Number of messages sent to Neighborhood Safety Network (NSN)	24
2016OP57	Number of pool and spa safety information and education activities conducted	6
2016OP63	Number of activities which involve CPSC promoting Safe to Sleep® messages for child safety, in collaboration with the National Institute of Child Health and Human Development (NICHD), Health Resources and Services Administration (HRSA), and other organizations	3
2016OP64	Number of Virginia Graeme Baker (VGB) grants issued	5
2016OP68	Number of impressions received by consumers related to consumer product recalls announced by CPSC (in millions)	7,000
2016OP69	Number of impressions of safety messages focused on the prevention of furniture and television tip-overs in print, broadcast, radio and social media, excluding recalls (in millions)	400
2016OP70	Number of furniture and television tip-over prevention activities conducted	3
2016OP71	Number of minority outreach activities involving CPSC staff collaborating with organizations to educate underserved communities about drowning prevention, poison prevention, television/furniture tip-overs, and safe sleep for babies	7
2016OP72	Percentage of incoming calls to Hotline operators that are abandoned	5%
2016OP73	Percentage of incoming calls to Hotline operators that are answered within 30 seconds.	85%

6. Annual Milestones

Control ID	FY 2016 Milestone Target
2016M24	Biannual field survey of consumer awareness of the CPSC conducted
2016M25	Recall release workflow automated from assignment to publication to extent possible with current technology.
2016M26	Recall distribution to selected listservs automated

1. Resource Summary

	FY 2016 Enacted	
	Budget (in thousands)	FTE
Office of Information Technology	\$ 80	42
IT Infrastructure	\$ 6,955	
Commission's Information Systems	\$ 4,509	
Risk Assessment Methodology - ITDS	\$ 3,600	
Total	\$ 15,144	42

2. Overview and Key Priorities

The Office of Information and Technology Services (EXIT) is responsible for general policy and planning issues related to the dissemination of information by the CPSC, including, but not limited to Office of Management and Budget (OMB) Circular A-130, the Federal Information Security Management Act (FISMA), the Government Paperwork Elimination Act (GPEA), Section 508 of the Americans with Disabilities Act (ADA), and the E-Government Act; the design, implementation, and support of the agency's information technology system needs; maintaining or providing access to administrative applications for the agency's business processes, such as payroll, procurement, personnel, budget, information management, and work tracking; and administration of the network, telephone systems, and Help Desk. EXIT's key priorities are to provide secure access to CPSC data, provide tools to analyze the data, and to protect CPSC data.

FY 2016 Key Priorities: In FY 2016, EXIT's key priorities will be:

- 1) Working to provide access to CPSC data by continuing to virtualize information technology (IT) systems such as desktop environment with Virtual Desktop Infrastructure (VDI).
- 2) Continuing to provide coordination, project management, maintenance and development of technology and data management aspect of the pilot-scale Risk Assessment Methodology (RAM) and e-filing work undertaken by the CPSC in FY 2016. Specific activities will include the development of formal business and technical requirements, budget projections and a product roadmap for a future full-scale RAM implementation; the transition of current pilot-scale RAM functionality to a non-proprietary platform to enable greater flexibility in support and to position the system for future development; and the technical implementation of the e-filing pilot to evaluate the feasibility and ramifications of electronic submission of product evaluation information.
- 3) Continuing to provide tools, such as an upgraded statistical software package that will enable the CPSC to handle large processing tasks better, produce *Predictive* models, and make better and more consistent use of narrative data and reports in the analyses. This will enable CPSC staff to understand and identify unreasonable hazards associated with consumer products.
- 4) Working to protect CPSC data by continuing to implement mandated IT security requirements, such as continuous monitoring; improving the agency's security incident response capabilities; and leveraging the latest technologies, such as rogue device detection.

3. Strategic Plan Alignment and Project Summary

FY 2016 Project		Strategic Goal
13328	Consumer Product Safety Risk Management System (CPSRMS)	3
34310	Risk Assessment Methodology (RAM) (CPSIA § 222)	3
54174	EXIT Leadership and Administration	All
54575	IT Security	All
54576	IT Infrastructure	All
54577	Commission Information Systems	All
99933	Voice Telecommunications	All
99945	Capital Replacement	All
99947	Programming Support	All
99949	Telecommunications Data	All
99951	User Support	All
99952	Network Management	All
99953	Website Management and Security	All
99954	IT Business Applications	All

13328 - Consumer Product Safety Risk Management System (CPSRMS)

This project provides resources for the Consumer Product Safety Risk Management System (CPSRMS), which will provide a single, integrated Web-based environment to accommodate a searchable database for consumers; enhance the efficiency and effectiveness of CPSC staff's consumer product safety work by providing a system to identify hazard trends quickly (Early Warning System); and enable more rapid and increased dissemination of information. This enhances the CPSC's ability to increase consumer product safety, reduce injuries, save lives, and inform the public of both consumer product hazards and ways to provide product incident information to CPSC staff.

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

Activities to maintain the pilot proof-of-concept and begin the development of the production environment of a risk assessment methodology (RAM) for the identification of shipments of consumer products that are:

- Intended for import into the United States; and
- Likely to include consumer products in violation of Section 17(a) of the CPSA (15 U.S.C. § 2066(a)) or other import provisions enforced by the CPSC.

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. This is an initial phase in the delivery of a secure and stable production system and will serve as the requisite for the full-scale RAM.

54174 - EXIT Leadership and Administration

This project provides resources for the operations of EXIT. Includes training and travel.

54575 - IT Security

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

54576 - IT Infrastructure

This project provides resources for the CPSC IT infrastructure environments, including telecommunications, hardware/software licensing, Help Desk, security, and other general operations and maintenance activities.

54577 - Commission Information Systems

This project provides resources for the planning, implementation, operation, and maintenance of the CPSC's database applications.

99933 - Voice Telecommunications

This project provides resources for essential telephonic voice communication, including agency-wide long distance service, local Washington, D.C. area service for CPSC headquarters, NPTEC, and the CPSC warehouse in Gaithersburg, MD, as well as Blackberries. Also included are installation, repair, and maintenance services.

99945 - Capital Replacement

This project provides resources for desktop computer replacements or software upgrades, server and telephone system upgrades, wireless equipment replacement, video conferencing equipment replacement, and related equipment.

99947 - Programming Support

This project provides resources for contract programmers and database administrator services to support information system applications for various organizations within the CPSC.

99949 - Telecommunications Data

This project provides resources for Wide Area Network (WAN) data lines, Web streaming, Internet, and website domain charges.

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). This project is for non-salary resources only.

99952 - Network Management

This project provides resources for supporting management of the agency's IT infrastructure, which includes the operation and maintenance of networks, servers, and other IT equipment and systems. This project is for non-salary resources only.

99953 - Website Management and Security

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

99954 - IT Business Applications

This project provides resources for systems, including those from Shared-Service providers that support the CPSC's Office of Human Resources Management (EXRM) and Office of Financial Management, Planning, and Evaluation (EXFM) business areas. This project is for non-salary resources only.

4. Summary of Budget Key Performance Measures – None

5. Summary of Operating Plan Performance Measures – None

6. Annual Milestones

Control ID	FY 2016 Milestone Target
2016M27	75 percent of CPSC's HQ employees transitioned to Virtual Desktop Infrastructure (VDI) environment
2016M28	Transition Federal Information Security Management Act (FISMA) management processes into a centralized, structured, consolidated governance application
2016M29	A Privileged User Manager solution implemented and deployed that restricts network administrative privileges; audits and records administrator activities; and requires multi-factor authentication before privileges can be used

Other Offices

(milestones and measures only)

The Office of Human Resources Management (EXRM), the Office of the Executive Director (OEX), the Office of EEO and Minority Enterprise (OEEO), and the Office of the General Counsel (OGC) also have some budget key and operating performance measures and annual milestones, which are listed below:

1. Summary of Budget Key Performance Measures

Office	Control ID	Performance Measure Statement	FY 2016 Target
EXRM	2016BK1.6.1	Employee retention rate	85%
EXRM	2016BK1.6.2	Average hiring time (recruitment time using OPM's End-to-End hiring process) (days)	80
EXRM	2016BK1.6.3	Training participation rate	90%
OEX	2016BK1.2.4	Number of collaborations undertaken with domestic nongovernment organizations such as trade associations, universities, or federations	2
OEX	2016BK2.3.1	Number of domestic training activities made available to industry stakeholders	7

2. Summary of Operating Plan Performance Measures

Office	Control ID	Performance Measure Statement	FY 2016 Target
OEEO	2016OP48	Percentage of Equal Employment Opportunity (EEO) informal complaints resolved during the fiscal year	60%
OEEO	2016OP49	Percentage of recruitment efforts targeted to organizations serving underrepresented populations	30%
OEEO	2016OP50	Percentage of supervisors/employees who received voluntary Equal Employment Opportunity and diversity-related training	70%
OEEO	2016OP51	Number of initiatives offered to managers, supervisors, and employees to promote representation of underrepresented groups	8
OGC	2016OP52	Percentage of cases referred to Division of Compliance for a civil penalty or other appropriate legal action that are evaluated within one year of referral	90%

3. Annual Milestone

Office	Control ID	FY 2016 Milestone Target
OEX	2016M30	Outreach on safety regulations conducted (including attending and presenting at trade shows and producing written materials) to target domestic small businesses in three industries

Appendices

Appendix A

Changes to Budget Key Performance Measures from the 2016 Performance Budget Request (issued February 2015)

The table below summarizes changes to FY 2016 key performance measures that occurred between publications of the FY 2016 PBR (February 2015) and this document, the FY 2016 Operating Plan. Changes to the FY 2016 performance measures include revisions to performance measure statements and/or annual targets.

Office	FY 2016 Performance Measure Statement	Target	
		FY 2016 PBR	FY 2016 Op Plan
EXIP	BK1.2.1: Number of training or outreach seminars for foreign manufacturers conducted by CPSC staff Replace with BK1.2.5: Number of training or outreach seminars for foreign manufacturers and overseas U.S. importer representatives conducted by CPSC staff	13	13
EXIP	BK1.2.2: Number of staff exchanges with foreign counterparts undertaken as part of the Extended Training Exchange Program Update BK1.2.2: Number of staff exchanges with foreign counterparts undertaken as part of the International Training Exchange Program	3	2
OEX	BK1.2.4: Number of collaborations undertaken with domestic nongovernment organizations such as trade associations, universities, or federations	3	2
EXHR	BK2.1.2: Number of collaborations established or maintained with other organizations to work on nanotechnology research or issues affecting consumer products Delete as a Budget Key measure, but add as an Operating measure (OP66)	5	5
EXHR	BK2.1.4: Number of voluntary standards activities in which CPSC staff actively participates	77	70
EXHR	BK2.1.5: Establish CPSC's Center for Consumer Product Applications and Safety Implications of Nanotechnology (CPASION) to develop robust methods in identifying and characterizing nanomaterials in consumer products; to understand their effects on human exposure; and to develop scientists to advance nanomaterials in consumer product safety research Delete BK2.1.5 for FY 2016	Establish Center	Delete
EXHR	BK2.2.1: Number of candidates for rulemaking prepared for Commission consideration	19	22
EXHR	BK3.2.4: Percentage of all regulated non-import product samples that are tested within 90 days of receipt at NPTEC Replace with BK3.2.6: Percentage of all domestic and non-priority import regulated product samples (excluding fireworks) that are tested within 60 days of receipt at NPTEC	TBD	85%
EXHR	BK3.2.5: Percentage of section 15 Product Safety Assessment requests that are completed within the Hazard Level Completion time assigned	TBD	90%
EXIS	BK3.4.6: Percentage of first-time violators who are engaged with an informed compliance inspection within 30 days of violation determination Replace with BK3.4.8: Percentage of first-time violators who are engaged with a timely informed compliance inspection after violation determination	TBD	80%

Appendices

Office	FY 2016 Performance Measure Statement	Target	
		FY 2016 PBR	FY 2016 Op Plan
EXIS	BK3.4.7: Percentage of entries sampled as identified through the Risk Assessment Methodology (RAM) pilot system	TBD	11%
EXHR	BK3.5.3: Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards	10	11
EXC	BK3.5.4: Total number of products screened by CPSC field staff (excluding imports)	200,000	180,000
EXC	BK4.3.1: Percentage of all cases for which the preliminary determination is made within 85 business days of the case opening Replace with BK4.3.5: Percentage of all cases for which the preliminary determination is made within 85 business days of the full report receipt	70%	70%
OCM	BK4.4.2: Average number of business days between establishment of first draft and issuance of recall press release for the most timely 90% of all recall press releases	20	19
OCM	BK5.2.2: Number of impressions of CPSC safety messages received by consumers on targeted consumer product safety hazards (in millions) Update BK5.2.2: Number of impressions of CPSC safety messages received by consumers on targeted consumer product safety hazards, excluding recalls (in millions)	6,500	8,500
OCM	BK5.3.1: Number of impressions of CPSC safety messages received by consumers on priority hazards in vulnerable communities (in millions) Update BK5.3.1: Number of impressions of CPSC safety messages received by consumers on priority hazards in vulnerable communities, excluding recalls (in millions)	1,795	2,750

Appendix B

List of Consolidated FY 2015 MIS Projects

The table below is a compilation of FY 2015 Management Information System (MIS) projects that were consolidated in FY 2016. Column B shows FY 2015 MIS Project codes that have been consolidated within retained FY 2016 MIS Project codes (Column A).

Column A		Column B	
FY 2016 Project (Active)		FY 2015 Project (Consolidated)	
13327	Emerging Hazards	13326	Human Factors (HF) Standard Practice
21518	Electrical Hazards: Voluntary Standards and Codes	21660	Electrical Hazards: Voluntary Codes and Standards (Fire)
21726	Fire Hazards: Rulemaking Activities	21022	Mattresses, Cigarette Ignition Standard
		21103	Fireworks Regulatory Options: Rule Review
		21146	Bedclothes (open flame ignition)
		21249	Cigarette Lighter Standard
		21618	General Wearing Apparel Standard
		21635	Cigarette Ignition Risk
22560	Children's / Nursery Product Hazards: Voluntary Standards	21636	Firepots and Gel Fuel Rulemaking
		22079	Crib Slats
		22173	Non-Programmed Hazard Work
		22190	Baby Bath Seats
		22588	Bed Rails
		22642	Child Hazard Drowning
22640	Older Consumer Safety Hazards	22641	Adult Bed Rails Petition
22666	Mechanical Hazards: Voluntary Codes and Standards	22639	Garage Door Operators
22727	Children's / Nursery Product Hazards: Rulemaking Activities	22726	Infant Cushions
		22728	Toy Safety (CPSIA §106)
23259	Chemical Hazards: Rulemaking Activities	23364	Lead in Jewelry
		23447	Poison Prevention Packaging Act (PPPA)
		23705	Lead (CPSIA § 101)
		23706	Phthalates (CPSIA § 108)
25720	Regulatory Management	25547	Rule Review
		25722	HAR Legal/RFA Support
		25725	Voluntary Standards Program Coordination
		25726	Paperwork Reduction (PRA) Support
		25728	1110 Rule

Appendices

Column A		Column B	
FY 2016 Project (Active)		FY 2015 Project (Consolidated)	
25777	EXHR Leadership and Administration	25100	EXHR Training
		25376	Hazard Assessment and Reduction (HAR) Management
		25377	EXHR Directorate Division Management
32202	Mechanical Hazards to Children: Section 15	32252	Mechanical Hazards to Children Drowning
32203	Mechanical Hazards to Children: Regulated	32213	Tracking Labels (CPSIA §103)
		32233	Durable Children's Products / Registration: Compliance (CPSIA §104)
		32243	Certification Enforcement (CPSIA §102)
32277	EXC Leadership and Administration	34380	Compliance Management
		34789	Recall Effectiveness
32403	Mechanical Hazards: Regulated	31193	Children's Gasoline Burn Prevention Act (P.L. 110-278)
33702	Chemical Hazards: Section 15	33762	Carbon Monoxide (CO) Hazards: Section 15
33703	Chemical Hazards: Regulated	33713	Phthalates Compliance (CPSIA §108)
		33763	Poison Prevention Packaging Act (PPPA) Hazards
		33803	Lead Compliance (CPSIA §101)
34351	Import: Regulated	31110	Import Activities: Fire Hazards
		31610	Import Activities: Electrocution Hazards
		32210	Import Activities: Mechanical Hazards
		33710	Import Activities: Chemical Hazards
		34330	Import Compliance Casework
		34333	Import Case Referral
34377	EXIS Leadership and Administration	34350	Import Surveillance
53149	International Program	25375	International Program Support
53177	EXIP Leadership and Administration	53146	Education and Global Outreach
		53151	Child Care Safety Program

This page intentionally left blank.

U.S. Consumer Product Safety Commission
Bethesda, MD 20814