



U.S. Consumer Product Safety Commission

Fiscal Year 2014 Annual Performance Report

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



About this Report

This document is the CPSC's FY 2014 Annual Performance Report (APR). It is submitted in conjunction with the CPSC's FY 2016 Performance Budget Request (PBR) to Congress. An electronic version of this report is available on the agency's website, at: www.cpsc.gov/performance-and-budget.

The FY 2014 APR provides information on results achieved by CPSC programs during FY 2014 and progress made toward performance targets established for key performance measures. The performance measures indicate progress toward Strategic Goals and Strategic Objectives contained in the CPSC's FY 2011–FY 2016 Strategic Plan. Highlights of performance, as well as challenges, are presented.

The FY 2014 APR satisfies the annual performance reporting requirements contained in the GPRA Modernization Act of 2010 (GPRAMA), as well as Office of Management and Budget (OMB) Circular No. A-11 (Preparation, Submission, and Execution of the Budget) and No. A-136 (Financial Reporting Requirements).

Overview of the Agency

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

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

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

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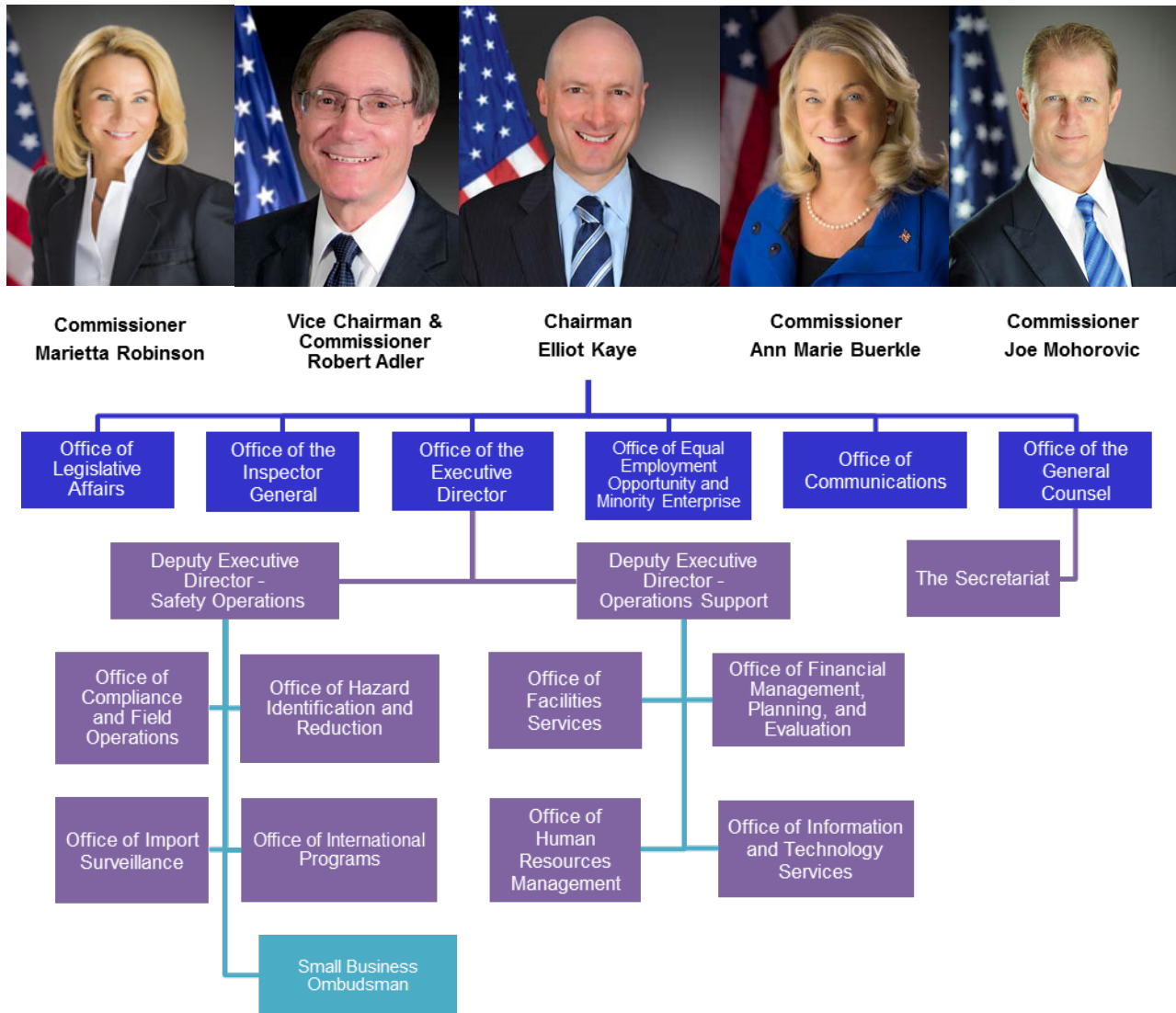
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CPSC Organizational Structure

The CPSC is a bipartisan commission that consists of five members appointed by the President with the advice and consent of the Senate. The Chairman is the principal executive officer of the Commission, which convenes regularly at meetings that are open to the public. The following depicts the organizational structure of the CPSC in FY 2014:

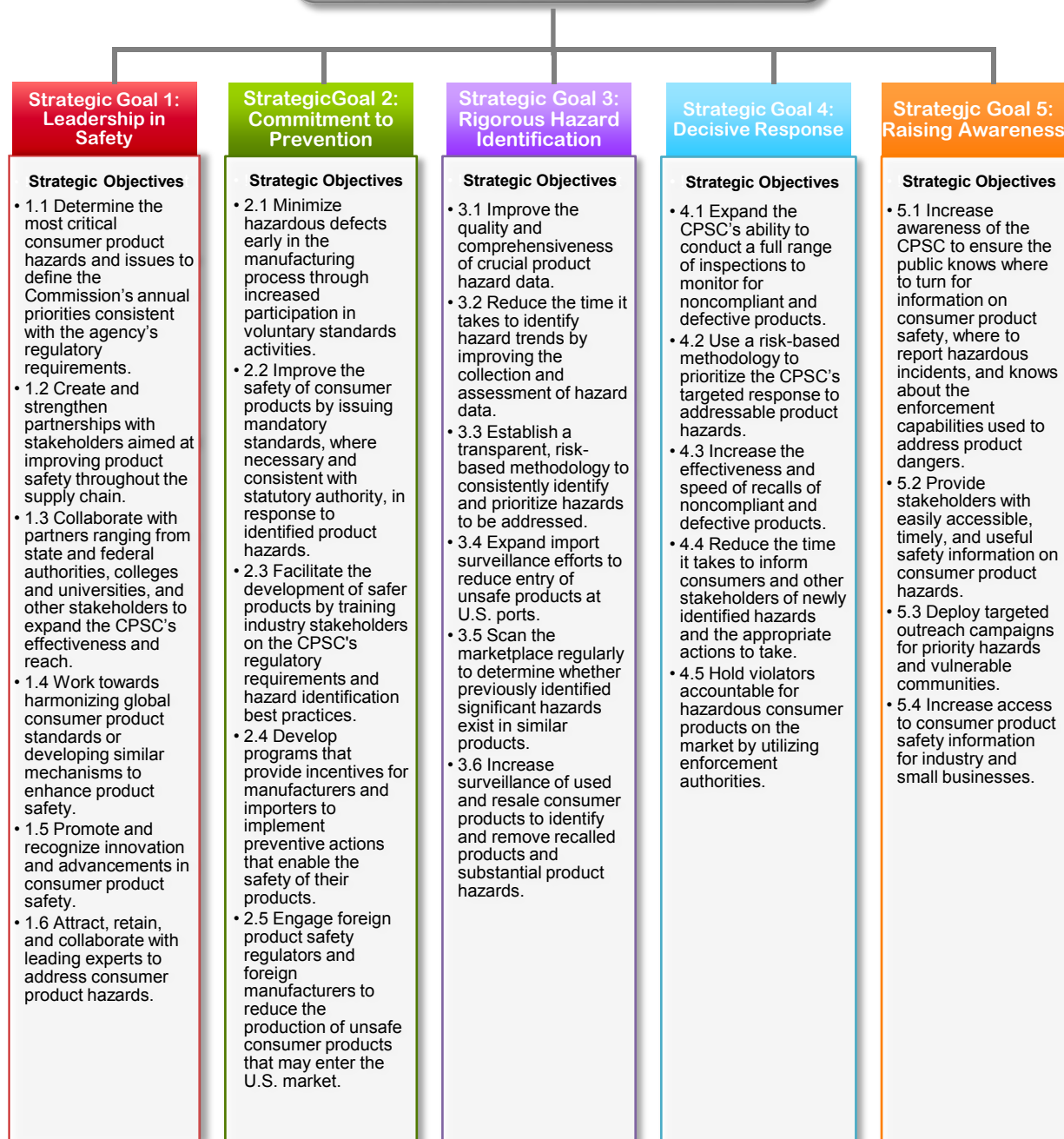


FY 2011 – FY 2016 Strategic Plan Summary

Vision: The CPSC is the recognized global leader in consumer product safety.

Below is a summary of the CPSC's current Strategic Plan, which lays out the CPSC's approach to execute the broad mission to help keep consumers safe and prevent hazardous consumer products from entering the marketplace. Within each goal, a range of programmatic objectives outline the actions the agency must carry out to accomplish and measure progress against each strategic goal.

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



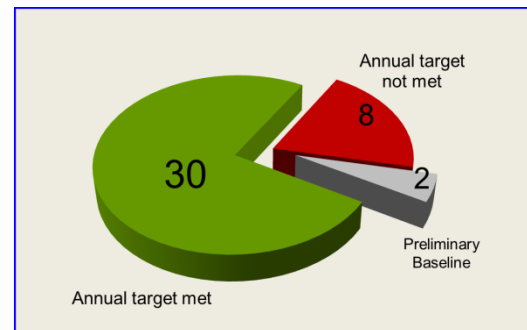
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Performance Summary: An Overview

During FY 2014, the CPSC tracked 40 performance measures. Of those 38 measures with established performance targets for FY 2014, the CPSC met the performance targets for 79 percent (30 performance measures) and did not meet the performance targets for 21 percent (8 performance measures). Overall, these results indicate progress toward achieving the CPSC's Strategic Goals.

Two performance measures (key measures 5.1.1 and 5.1.2) did not have established performance targets for FY 2014. These two measures were premised on the agency conducting a consumer awareness survey; the details of the survey are still being decided.

Figure 1: A snapshot of the CPSC's FY 2014 key performance measures



The FY 2014 results for the key performance measures are organized by the CPSC Strategic Goals (Figure 2) and are also organized by CPSC organization (Figure 3).

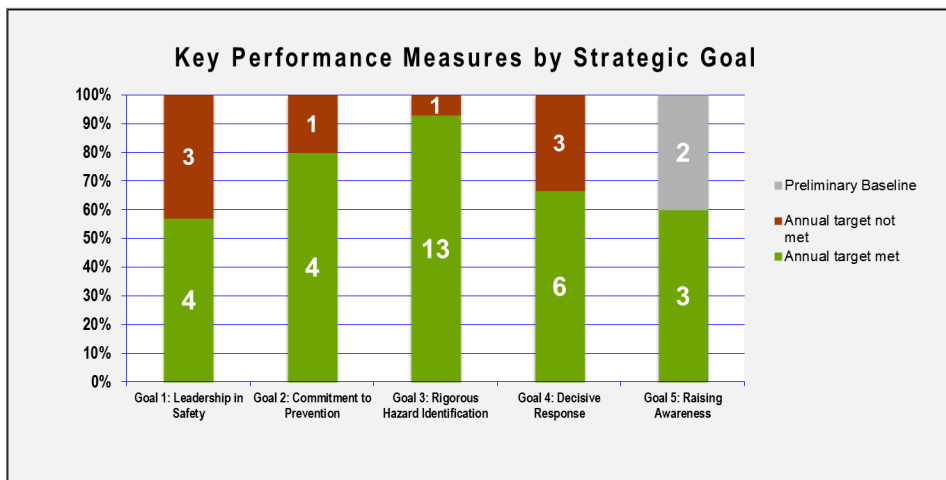


Figure 2: Summary of FY 2014 Results for Key Performance Measures by Strategic Goal

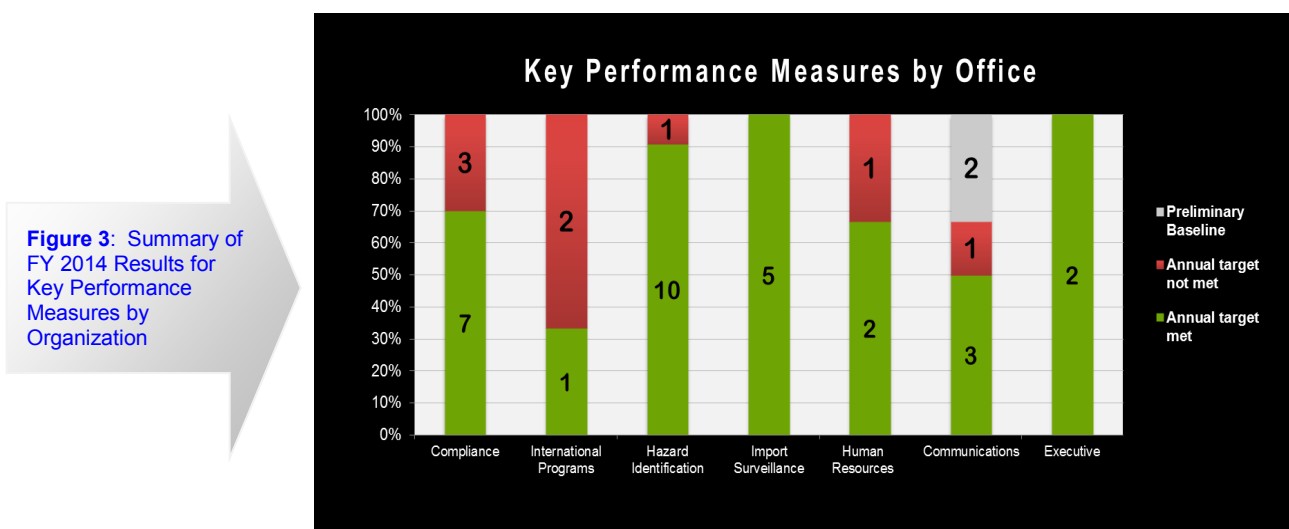


Figure 3: Summary of FY 2014 Results for Key Performance Measures by Organization

CPSC Key Performance Measures

The following table summarizes the CPSC's FY 2014 key performance measures.

Measure ID	Program	Performance Measure Statement	2010 Actual	2011 Actual	2012 Actual	2013 Actual	2014 Target	2014 Actual	2014 Target Met?
Strategic Goal 1: Leadership in Safety									
2014BK1.2.1	International	Number of training or outreach seminars for foreign manufacturers conducted by CPSC staff	3	3	8	12	3	34	✓
2014BK1.2.2	International	Number of staff exchanges with foreign counterparts undertaken as part of the Extended Training Exchange Program	--	--	2	2	3	2	✗
2014BK1.2.3	Executive	Number of new collaborations undertaken with domestic nongovernment organizations (NGOs) such as trade associations, universities, or federations	--	--	--	2	3	4	✓
2014BK1.4.1	International	Number of products on which CPSC had consultations with foreign counterparts	--	--	3	3	4	3	✗
2014BK1.6.1	Personnel	Employee retention rate	85.7%	84.9%	85.0%	84.7%	85%	81%	✗
2014BK1.6.2	Personnel	Average hiring time (recruitment time using U.S. Office of Personnel Management 's (OPM) End-to-End hiring process) (days)	92	75	75	73	80	78	✓
2014BK1.6.3	Personnel	Training participation rate	--	71.7%	73.6%	83.0%	85%	93%	✓
Strategic Goal 2: Commitment to Prevention									
2014BK2.1.1	Hazard	Number of voluntary standards activities supported or monitored by CPSC staff	61	60	70	74	83	83	✓
2014BK2.1.2	Hazard	Number of collaborations established or maintained with other organizations to work on nanotechnology research or issues affecting consumer products	4	8	8	4	5	6	✓
2014BK2.1.3	Hazard	Number of reports produced on the results of collaboration on nanotechnology issues affecting consumer products	1	1	9	11	5	11	✓
2014BK2.2.1	Hazard	Number of candidates for rulemaking prepared for Commission consideration	26	22	28	14	19	10	✗
2014BK2.3.1	Executive	Number of domestic training activities made available to industry stakeholders	--	--	--	14	7	23	✓
Strategic Goal 3: Rigorous Hazard Identification									
2014BK3.1.1	Hazard	Percentage of National Electronic Injury Surveillance System (NEISS) member hospitals evaluated at least once a year	100%	100%	98%	99%	98%	100%	✓
2014BK3.1.2	Hazard	Percentage of consumer product-related injury cases correctly captured at NEISS hospitals	90%	94%	92%	92%	90%	91%	✓
2014BK3.2.1	Hazard	Time from incident received to integrated team adjudication of incident report (business days)	--	--	--	6.5	10	3.4	✓
2014BK3.2.2	Hazard	Percentage of priority import regulated samples (excluding fireworks) tested within 30 days of collection	--	--	85%	92%	85%	98.8%	✓
2014BK3.2.3	Hazard	Percentage of priority import fireworks samples tested within 60 days of collection	93.0%	92.0%	99.7%	100.0%	90%	100%	✓
2014BK3.4.1	Import	Number of import examinations	7,011	9,923	18,131	26,523	22,000	28,007	✓
2014BK3.4.2	Import	Sample yield per 100 import entries examined as identified through the RAM pilot system	--	--	26.0	28.8	26.0	34.2	✓
2014BK3.4.3	Import	Percentage of import shipments processed through the RAM pilot system that are cleared within one business day	--	--	--	99.5%	99%	99.7%	✓
2014BK3.4.4	Import	Percentage of CPSC import entry hold requests acted on by U.S. Customs and Border Protection (CBP)	--	--	--	86%	86%	87.2%	✓

Measure ID	Program	Performance Measure Statement	2010 Actual	2011 Actual	2012 Actual	2013 Actual	2014 Target	2014 Actual	2014 Target Met?
2014BK3.4.5	Import	Establish an ITDS/RAM rule set to target intellectual property violations where a health and safety hazard is suspected in consumer product imports	--	--	--	--	Rule set established	Rule set completed	✓
2014BK3.5.1	Compliance	Total number of products screened by CPSC field staff	--	--	--	240,847	225,000	250,767	✓
2014BK3.5.2	Compliance	Number of consumer products screened by CPSC field staff through Internet surveillance activities	--	--	--	24,920	23,000	21,284	✗
2014BK3.5.3	Hazard	Number of annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards	13	14	11	11	10	10	✓
2014BK3.6.1	Compliance	Number of used/resale consumer products screened by CPSC field staff	--	--	--	180,808	170,000	209,662	✓
Strategic Goal 4: Decisive Response									
2014BK4.1.1	Compliance	Number of establishment inspections conducted by CPSC field staff	616	1,116	1,184	3,680	3,000	3,672	✓
2014BK4.1.2	Compliance	Percentage of products screened by CPSC field staff resulting in violations	--	--	--	6.9%	6%	6%	✓
2014BK4.1.3	Hazard	Total number of items/component parts from samples tested at National Product Testing and Evaluation Center (NPTEC) for specific standards and regulations	30,845	32,705	40,066	37,063	36,000	37,028	✓
2014BK4.3.1	Compliance	Percentage of all cases for which the preliminary determination is made within 85 business days of the case opening	--	--	--	84%	70%	60.6%	✗
2014BK4.3.2	Compliance	Percentage of cases for which the corrective action is accepted within 60 business days of the preliminary determination	96%	95%	98%	88%	80%	80.9%	✓
2014BK4.3.3	Compliance	Percentage of cases in which the firm is notified of a violation in a timely manner	--	--	--	94%	90%	97.1%	✓
2014BK4.3.4	Compliance	Percentage of Fast-Track cases with corrective actions initiated within 20 business days	95%	95%	99%	98%	90%	100%	✓
2014BK4.4.1	Communications	Average number of days from an established first draft of recall press release to the date the recall press release is issued (business days)	--	--	--	27.5	22	25.3*	✗
2014BK4.5.1	Compliance	Percentage of compliance defect investigation cases referred within 10 business days to Office of the General Counsel (OGC) for review of firms' timely reporting pursuant to Section 15(b)	--	--	--	57%	75%	63.3%	✗
Strategic Goal 5: Raising Awareness									
2014BK5.1.1	Communications	Percentage of the U.S. population that reports awareness of the CPSC	--	--	--	N/A	Preliminary Baseline**	N/A	N/A
2014BK5.1.2	Communications	Percentage of the U.S. consumers who report acting on a CPSC safety message	--	--	--	N/A	Preliminary Baseline**	N/A	N/A
2014BK5.2.1	Communications	Number of public information campaigns conducted by CPSC on targeted consumer product safety hazards	23	24	23	24	24	24	✓
2014BK5.2.2	Communications	Number of impressions of CPSC safety messages received by consumers on targeted consumer product safety hazards (in millions)	3,903	1,929	4,209	4,628	3,215	9,361	✓
2014BK5.3.1	Communications	Number of impressions of CPSC safety messages received by consumers on priority hazards in vulnerable communities (in millions)	206	751	437	1,395	425	2,408	✓

* The 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 is 20. Starting in FY 2015, the CPSC will begin to use this modified performance measure statement.

** Preliminary baseline data were not collected during FY 2013 and FY 2014. Key measures 5.1.1 and 5.1.2 were premised on the agency conducting a consumer awareness survey; the details of the survey are still being decided.

Note: Information on validation and verification of CPSC performance data, as well as the results of the 2013 APR performance audit, can be found in Appendix A (p. 33) of this document.

Performance Highlights by Strategic Goal

Strategic Goal 1: Leadership in Safety

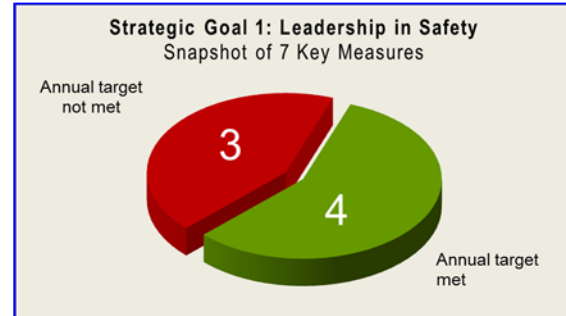
Take a leadership role in identifying and addressing the most pressing consumer product safety priorities and mobilizing action by our partners.

Challenges

Expansion of international trade, increasingly global supply chains, and technological advances have increased the spectrum of consumer products available to U.S. consumers. This has made the challenge more complex for the CPSC to oversee and regulate thousands of product types. The value of U.S. imports under CPSC jurisdiction has increased significantly in recent years. Product safety can suffer in countries where domestic regulation is not effective and quality control systems are lacking. Regulatory agencies, standards organizations, and consumer and industry groups worldwide are working to address consumer product safety across multiple geographies and priorities.

Strategies

The CPSC is at the forefront of advancing the agenda for consumer product safety globally and seeks to mitigate the most pressing product safety hazards by establishing a clearly defined leadership agenda and by working with key global



and domestic stakeholders. The CPSC uses a risk assessment tool to determine the most critical consumer product hazards and suggest priorities for agency work on hazard reduction. The CPSC trains and collaborates with domestic and international stakeholders, including manufacturers and regulators, effectively leveraging its resources to improve product safety. The agency provides education and outreach activities to manufacturers, retailers, resellers, small businesses, and foreign governments. The CPSC also looks for opportunities to align product safety requirements at the highest level with other jurisdictions, and recruits and retains leading experts to help accomplish its mission.

Results

The CPSC met or exceeded FY 2014 targets for four of the seven key performance measures for Strategic Goal 1 and did not meet FY 2014 targets for three key performance measures.

Table 1: Strategic Goal 1 Key Performance Measures

Measure ID	Measure Statement	2010 Actual	2011 Actual	2012 Actual	2013 Actual	2014 Target	2014 Actual	2014 Target Met?	Trend
1.2.1	Number of training or outreach seminars for foreign manufacturers conducted by CPSC staff	3	3	8	12	3	34	✓	
1.2.2	Number of staff exchanges with foreign counterparts undertaken as part of the Extended Training Exchange Program	--	--	2	2	3	2	✗	
1.2.3	Number of new collaborations undertaken with domestic nongovernment organizations (NGOs) such as trade associations, universities, or federations	--	--	--	2	3	4	✓	
1.4.1	Number of products on which CPSC had consultations with foreign counterparts	--	--	3	3	4	3	✗	
1.6.1	Employee retention rate	85.7%	84.9%	85.0%	84.7%	85%	81%	✗	
1.6.2	Average hiring time (recruitment time using U.S. Office of Personnel Management's (OPM) End-to-End hiring process) (days)	92	75	75	73	80	78	✓	
1.6.3	Training participation rate	--	71.7%	73.6%	83.0%	85%	93%	✓	

Discussion of Performance Results

Training and Collaborations

The CPSC is at the forefront of advancing the agenda for consumer product safety to improve product safety throughout the supply chain by creating and strengthening collaborations with the agency's domestic and international stakeholders. The agency exceeded FY 2014 targets for two key measures (1.2.1 and 1.2.3) and did not meet the FY 2014 targets for two key measures (1.2.2 and 1.4.1).

✓ **Key Measure 1.2.1: Number of training or outreach seminars for foreign manufacturers conducted by CPSC staff**

Why we measure this: The CPSC conducts training and outreach seminars for foreign manufacturers of imported consumer products to help them comply with U.S. safety requirements. This approach is intended to reduce the need for subsequent remedial action or recalls.

Result & Explanation: The CPSC exceeded the target of three planned seminars for foreign manufacturers for key measure 1.2.1. During FY 2014, the CPSC conducted 34 seminars for manufacturers from several different countries around the world, including China, Korea, Vietnam, Indonesia, Peru, Mexico, and Taiwan.

✗ **Key Measure 1.2.2: Number of staff exchanges with foreign counterparts undertaken as part of the Extended Training Exchange Program**

Why we measure this: Foreign regulators are key stakeholders because they regulate manufacturers in their jurisdictions. Exchange programs with foreign officials contribute to improved product safety. To the extent that unsafe products are not manufactured anywhere in the world, they will not find their way into the hands of U.S. consumers.

Result & Explanation: In FY 2014, the CPSC achieved two training exchanges, falling short of the three training exchanges planned for the fiscal year. Unexpected vacancies during FY 2014 resulted in fewer outbound exchanges. The CPSC coordinated an extended training exchange at the CPSC for an employee from Vietnam's consumer product regulatory agency, who focused on compliance strategies and procedures. The CPSC

also sent a CPSC official on a training exchange to Health Canada to work on cooperative approaches to hazard identification.

Quick Fact

expert consultation to product safety officials from 20 foreign jurisdictions.

✓ **Key Measure 1.2.3: Number of new collaborations undertaken with domestic nongovernment organizations (NGOs) such as trade associations, universities, or federations**

Why we measure this: Increased collaboration with domestic NGOs, such as trade associations, universities, federations, or other organizations that are involved in consumer product safety activities, will contribute to improvements in product quality, safety design, and overall consumer safety.

Result & Explanation: The agency exceeded the FY 2014 target of conducting three new collaborations by establishing four collaborations with the following organizations:

- The Crafts & Hobby Association (CHA);
- The Central Hockey League (CHL);
- RadTech International – The UV & EB Technology Association; and
- Office of Innovation Development of the U.S. Patent and Trademark Office (USPTO).

✗ **Key Measure 1.4.1: Number of products on which CPSC had consultations with foreign counterparts**

Why we measure this: The CPSC conducts discussions with foreign consumer product regulatory agencies about potential alignment of safety requirements for specific consumer products as part of the CPSC's strategy to work toward common approaches globally to achieve high levels of consumer product safety. These activities also demonstrate the CPSC's leadership role.

Result & Explanation: The CPSC conducted discussions for three products, falling short of meeting the FY 2014 target of conducting discussions for four products. The three products were baby slings, detergent pods, and coin cell batteries, which were discussed with foreign regulatory counterpart agencies from Australia, Canada, and the European Commission.

Quick Fact

In August 2014, the CPSC initiated a product safety buyer training program for sourcing professionals based in China, who purchase consumer goods for export to the United States.

Effective Human Resources Programs

The following three key measures track progress toward the CPSC's performance in the area of attracting, retaining, and collaborating with leading experts to address consumer product hazards. The CPSC exceeded FY 2014 performance targets for two key performance measures (1.6.2 and 1.6.3) and did not meet the FY 2014 target for one key performance measure (1.6.1).

X Key Measure 1.6.1: Employee retention rate

Why we measure this: This is a measure of employee retention, which contributes to achieving the goal of having a high-performance

workforce. Research shows that employees who are retained for at least two years have completed agency orientation and basic training, fully understand the agency mission and expectations, and consequently are vested, engaged employees.

Result & Explanation: The CPSC's employee retention rate during FY 2014 was 81 percent, falling short of the target of 85 percent.

The total number of new hires was lower than expected, and this resulted in each employee departure having a marginally greater impact on the retention rate result. In addition, the measure result includes involuntary employee departures; the agency would have met the FY 2014 target had involuntary departures been excluded from the calculation. This performance measure is being revised starting next year to exclude involuntary separations to give a more accurate analysis of agency retention rate.

The CPSC Joins International Effort to Prevent Button Battery-Related Injuries and Deaths

In an effort to make button battery safety a global priority, the CPSC teamed up with counterparts from 12 countries and jurisdictions at the International Product Safety Week 2014 event, held in Brussels, Belgium in June 2014. The hashtag #worldbatterysafety helped unite all of the participating nations around a common theme.

Larger button batteries, also known as coin cell batteries, are used in an increasing number of small electronics around the home, including keyless entry devices, scales, and calculators. These and other small electronics are frequently left within a child's reach. Incidents of young children and seniors unintentionally swallowing the batteries have resulted in thousands of reports of injuries worldwide.

The consequences of swallowing a coin size battery can be immediate and devastating. Fatal chemical burns from a coin cell battery lodged in the throat can occur in as little as two hours.

The CPSC reached out to battery manufacturers and is encouraged by recent efforts that have resulted in new safety warnings and packaging changes. The CPSC is working with industry, public health officials, and the global community to continue the progress of preventing coin cell battery-related incidents.

International
Product Safety
Week 2014



"International Product Safety Week 2014" Image (above): Courtesy of the European Commission (<http://ec.europa.eu>)

✓ **Key Measure 1.6.2: Average hiring time**
(recruitment time using U.S. Office of Personnel
Management's (OPM) End-to-End hiring
process) (days)

Why we measure this: Average hiring time is a measure of how quickly the agency recruits its workforce, which contributes to achieving the goal of having a high-performing workforce.

Result & Explanation: For FY 2014, hiring continued to be a priority for CPSC managers, and the CPSC achieved an average hiring time of 78 days, exceeding the FY 2014 target of 80 days. The agency exceeded the target by utilizing

different hiring authorities, as well as an automated applicant intake system.

✓ **Key Measure 1.6.3: Training participation rate**

Why we measure this: The training participation rate is a measure of the goal of developing a high-performing workforce.

Result & Explanation: In FY 2014, the CPSC achieved a 93 percent training participation rate, exceeding the FY 2014 target of 85 percent staff training participation rate. The agency was able to achieve the high rate by providing on-site and web-based training, and allocating dedicated training funds to component organizations within the CPSC.

Strategic Goal 2: Commitment to Prevention

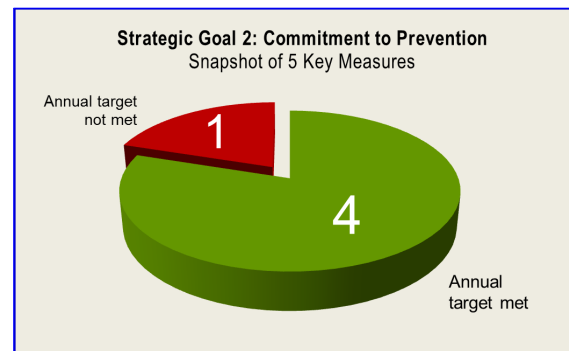
Engage public and private sector stakeholders to build safety into consumer products.

Challenges

The value of consumer product imports under the CPSC's jurisdiction grew from \$411 billion in 2002 to \$723 billion in 2013, an increase of 76 percent over the period. Many consumer product hazards and safety defects arise in the very early stages of the supply chain, including product design and the selection and use of raw materials. Given the large volume and diversity of products under the jurisdiction of domestic and foreign regulatory agencies, enforcement activities alone are unlikely to succeed in preventing product hazards from occurring.

Strategies

Preventing hazards from entering the marketplace is one of the most effective ways the CPSC can protect consumers. The CPSC participates in the development of new safety standards, creates regulations, and educates manufacturers on safety requirements to build safety into consumer products. The CPSC works with voluntary standards organizations to create and strengthen voluntary safety standards for consumer products. Because their development involves the consensus agreement of relevant stakeholders, voluntary standards are an effective means to address the



injuries and deaths associated with the use of consumer products. The CPSC has made significant progress toward creating stronger mandatory standards under the CPSIA. The CPSC provides guidance and educational materials to explain federal safety regulations and conducts training and outreach events. The CPSC develops incentive programs to encourage industry to build safer consumer products and engages with foreign product safety regulators and foreign manufacturers to reduce the production of unsafe consumer products that may enter the U.S. market. By encouraging industry leaders and foreign safety agencies to focus on safety early in the global supply chain, the CPSC helps prevent hazards from entering consumer markets.

Results

The CPSC met or exceeded FY 2014 targets for four of the five key performance measures for Strategic Goal 2 and did not meet the FY 2014 target for one key performance measure.

Table 2: Strategic Goal 2 Key Performance Measures

Measure ID	Measure Statement	2010 Actual	2011 Actual	2012 Actual	2013 Actual	2014 Target	2014 Actual	2014 Target Met?	Trend
2.1.1	Number of voluntary standards activities supported or monitored by CPSC staff	61	60	70	74	83	83	✓	
2.1.2	Number of collaborations established or maintained with other organizations to work on nanotechnology research or issues affecting consumer products	4	8	8	4	5	6	✓	
2.1.3	Number of reports produced on the results of collaboration on nanotechnology issues affecting consumer products	1	1	9	11	5	11	✓	
2.2.1	Number of candidates for rulemaking prepared for Commission consideration	26	22	28	14	19	10	✗	
2.3.1	Number of domestic training activities made available to industry stakeholders	--	--	--	14	7	23	✓	

Discussion of Performance Results

Standards Activities

The CPSC contributes to preventing future incidents by improving product design standards to address hazards identified through hazard analysis. Key measures 2.1.1 and 2.2.1 track the CPSC's progress toward its standards activities.

✓ **Key Measure 2.1.1: Number of voluntary standards activities supported or monitored by CPSC staff**

Why we measure this: The CPSC works to minimize hazardous defects through participation in voluntary standards activities. The CPSC's statutory authority requires the agency to rely on voluntary standards rather than promulgate mandatory standards, if compliance with a voluntary standard would eliminate or adequately reduce the risk of injury identified and it is likely that there will be substantial compliance with the voluntary standard.

In FY 2014, the CPSC worked with numerous standards development organizations (SDOs) to complete 36 new, revised, or reaffirmed voluntary standards. The CPSC continued working very closely with all of the American Society for Testing and Materials (ASTM) subcommittees on durable nursery product voluntary standards. The CPSC reached out to Underwriters Laboratories (UL) to initiate a task group to develop testing requirements for reduced carbon monoxide (CO) emissions from portable generators. The CPSC also was active in the ASTM subcommittee developing new industry performance standards for adult portable bed rails.

Result & Explanation: The CPSC met the FY 2014 target of supporting 83 voluntary standards.

✗ **Key Measure 2.2.1: Number of candidates for rulemaking prepared for Commission consideration**

Why we measure this: Safety standards address hazards associated with the use of consumer products. Consumer products that have been designed and manufactured to meet mandatory safety standards help prevent future hazards from occurring.

Quick Facts

Between the CPSIA passage in 2008 and the end of FY 2014, the CPSC completed 172 CPSIA-related rulemaking activities, of which 43 were final rules (FRs). During FY 2014, the CPSC completed six FRs.

Result & Explanation: In FY 2014, the CPSC prepared ten candidates for rulemaking for Commission consideration, falling short of the target of 19 candidates. The shortfall was due to a variety of factors, including:

- (1) Unanticipated delays and changes in voluntary standards organizations' balloting, approval, and publication schedules, and
- (2) Unanticipated technical complexity that required CPSC personnel to spend additional time in review and evaluation.

Notably, of the ten rulemaking candidates prepared in FY 2014, three were prepared in the first quarter of 2014, three were prepared in the second quarter, two were prepared in the third quarter, and two were prepared in the last quarter of FY 2014. The candidates for rulemaking prepared during FY 2014 for Commission consideration include Final Rules (FR) and Notice of Proposed Rulemakings (NPR). The FR candidates include rulemakings for bedside sleepers, soft infant carriers, infant handheld carriers, strollers, review of caps intended for use in toy guns rule, rare earth magnet sets, and the revision of the supplemental definition of strong sensitizer. The NPR candidates include rulemakings for frame infant carriers, infant slings, and recreational off-road vehicles (ROVs).

Nanotechnology Safety

The CPSC collaborates with other federal agencies to support the development of exposure and risk assessments of nanomaterials, to collect information on consumer products reported to contain nanomaterials, and to flag reports of incidents that involve nanotechnology and consumer products. Since 2003, the CPSC has participated in the U.S. federal government's multiyear, multibillion dollar National Nanotechnology Initiative (NNI), a collaborative effort among 25 federal departments and agencies with nanotechnology-related activities (see www.nano.gov). Key measures 2.1.2 and 2.1.3

report the CPSC's results on its nanotechnology work.

✓ **Key Measure 2.1.2: Number of collaborations established or maintained with other organizations to work on nanotechnology research or issues affecting consumer products**

Why we measure this: Due to the complexity of nanotechnology, the Government Accountability Office (GAO) and other entities have advised federal agencies working on nanotechnology to collaborate and monitor progress. The CPSC's collaboration with other organizations on nanotechnology research and issues affecting consumer products is expected to contribute to the responsible development of consumer products containing nanomaterials.

Result & Explanation: In FY 2014, the CPSC established six nanotechnology collaborations, exceeding the FY 2014 target of five collaborations. For FY 2014, the CPSC established nanotechnology collaborations through Interagency Agreements (IAGs) with other federal agencies, such as the National Institute of Technology (NIST), the U.S. Food and Drug Administration (FDA), and the U.S. Centers for Disease Control and Prevention (CDC).

✓ **Key Measure 2.1.3: Number of reports produced on the results of collaboration on nanotechnology issues affecting consumer products**

Why we measure this: The purpose of the CPSC's collaborative efforts on nanotechnology issues is to produce reports and manuscripts that provide data on nanomaterials used in or released from consumer products and describe robust methods that can be used by stakeholders to test products containing nanomaterials. The data should be made available, when appropriate, to assist stakeholders in addressing nanomaterial safety and ultimately should contribute to improved safety of nanomaterial use in consumer products.

Result & Explanation: With 11 reports on nanotechnology issues affecting consumer products completed during FY 2014, the CPSC exceeded the target of completing five reports on the results of collaboration. This was due in part to research initiated prior to FY 2014. The FY 2014 nanotechnology research reports covered a wide range of materials, including carbon nanotubes, nanosilver, nano titanium, nano silica, nano

alumina. The consumer products included textiles, paint, floor finishes, pressure treated wood, children's products, sports equipment, cooking utensils, cookware, and laser printers.

Research indicates that exposures to nanomaterials from different products vary widely, and no broad statements can be made regarding consumer exposure. The exposure from some nanomaterials in consumer products, as in the case of printer toner, may be much higher than other consumer products, such as nanosilver in textiles. Results from these studies demonstrate that although testing for consumer exposure to nanomaterials is challenging, small gains have been made in developing robust test methods for measuring consumer exposure to nanomaterials.

The pace of the development of the test methods has not kept up with the pace of incorporating nanomaterials into the consumer product marketplace. As a result, the CPSC is proposing, as part of the FY 2016 appropriations process, to establish a nanotechnology center comprised of a consortium of scientists to develop the needed robust testing methods to quantify and characterize the presence, release, and mechanisms of consumer exposure to nanomaterials from consumer products.

CPSC Training for Stakeholders

Part of the CPSC's strategy in facilitating the development of safer products is training industry stakeholders on CPSC regulatory requirements and hazard identification best practices.

✓ **Key Measure 2.3.1: Number of domestic training activities made available to industry stakeholders**

Why we measure this: Increasing the number of training activities made available to industry stakeholders on CPSC regulatory requirements and hazard identification best practices will ultimately facilitate development of safer products.

Result & Explanation: During FY 2014, the CPSC conducted 23 domestic training activities for stakeholders in a variety of industries. The CPSC exceeded the target of seven training activities by experimenting with collaborations with other federal agencies.

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Strategic Goal 3: Rigorous Hazard Identification

Ensure timely and accurate detection of consumer product safety risks to inform agency priorities.

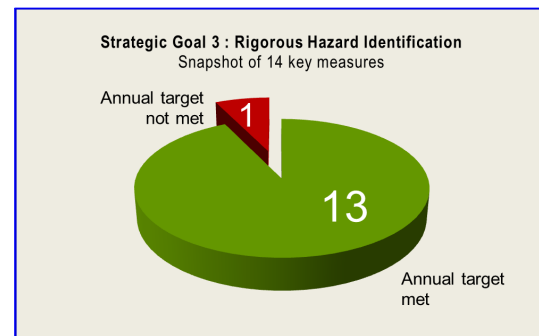
Challenges

The CPSC must determine quickly and accurately which product hazards represent the greatest risks to consumer safety. Information on injuries, deaths, and other consumer product safety incidents comes from a wide range of sources, including consumers and consumer groups, hospitals and clinics, industry, and the press. Used and resale consumer products must also be monitored to prevent previously identified hazardous products from re-entering the marketplace. A large amount of data must be analyzed to identify patterns and trends that reflect potential emerging hazards. Moreover, the CPSC must determine which addressable hazards present the greatest risk to the consumer to maximize limited resources.

Strategies

The CPSC uses a systematic approach to enhance the quality of crucial product hazard data and reduce the time needed to identify trends. The agency's approach includes improving collection and assessment of hazard data, scanning the marketplace regularly, expanding import surveillance efforts, and increasing surveillance of used consumer products offered for resale.

The CPSC has made significant investments in information technology to enhance and streamline hazard detection processes and improve analytic



capabilities. This includes development of the CPSIA-mandated public database (www.SaferProducts.gov) that enables consumers and others to submit reports of harm and view publicly reported incident information in a Web-based, searchable format. The CPSC collaborates with U.S. Customs and Border Protection (CBP) to improve import surveillance at ports, and the CPSC developed a pilot Risk Assessment Methodology (RAM) surveillance system that enables the CPSC to systematically analyze import line entries to identify the high risk shipments most likely to contain a product safety violation. The CPSC also monitors the marketplace, including brick and mortar and Web-based businesses, for potentially hazardous consumer products.

Quick Fact

The CPSC received nearly 100,000 calls to the CPSC Hotline in FY 2014.

Results

The CPSC met or exceeded FY 2014 targets for 13 of the 14 key performance measures for Strategic Goal 3 and did not meet the FY 2014 target for one key performance measure.

Table 3: Strategic Goal 3 Key Performance Measures

Measure ID	Measure Statement	2010 Actual	2011 Actual	2012 Actual	2013 Actual	2014 Target	2014 Actual	2014 Target Met?	Trend
3.1.1	Percentage of National Electronic Injury Surveillance System (NEISS) member hospitals evaluated at least once a year	100%	100%	98%	99%	98%	100%	✓	
3.1.2	Percentage of consumer product-related injury cases correctly captured at NEISS hospitals	90%	94%	92%	92%	90%	91%	✓	
3.2.1	Time from incident received to integrated team adjudication of incident report (business days)	--	--	--	6.5	10	3.4	✓	
3.2.2	Percentage of priority import regulated samples (excluding fireworks) tested within 30 days of collection	--	--	85%	92%	85%	98.8%	✓	

Measure ID	Measure Statement	2010 Actual	2011 Actual	2012 Actual	2013 Actual	2014 Target	2014 Actual	2014 Target Met?	Trend
3.2.3	Percentage of priority import fireworks samples tested within 60 days of collection	93.0%	92.0%	99.7%	100.0%	90%	100%	✓	
3.4.1	Number of import examinations	7,011	9,923	18,131	26,523	22,000	28,007	✓	
3.4.2	Sample yield per 100 import entries examined as identified through the RAM pilot system	--	--	26.0	28.8	26.0	34.2	✓	
3.4.3	Percentage of import shipments processed through the RAM pilot system that are cleared within one business day	--	--	--	99.5%	99%	99.7%	✓	
3.4.4	Percentage of CPSC import entry hold requests acted on by U.S. Customs and Border Protection (CBP)	--	--	--	86%	86%	87.2%	✓	
3.4.5	Establish an International Trade Data System (ITDS)/ RAM rule set to target intellectual property violations where a health and safety hazard is suspected in consumer product imports	--	--	--	--	Rule set established	Rule set completed	✓	
3.5.1	Total number of products screened by CPSC field staff	--	--	--	240,847	225,000	250,767	✓	
3.5.2	Number of consumer products screened by CPSC field staff through Internet surveillance activities	--	--	--	24,920	23,000	21,284	✗	
3.5.3	Number of annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards	13	14	11	11	10	10	✓	
3.6.1	Number of used/resale consumer products screened by CPSC field staff	--	--	--	180,808	170,000	209,662	✓	

Discussion of Performance Results

National Electronic Injury Surveillance System (NEISS)

The CPSC met the FY 2014 targets for key measures 3.1.1 and 3.1.2, which are related to the National Electronic Injury Surveillance System (NEISS), a unique system that provides statistically valid national estimates of product-related injuries from a probability sample of hospital emergency rooms. NEISS is a critical component for achieving the CPSC's strategy of improving the quality and completeness of product hazard data.

Did you know?

The NEISS data are available to anyone with an Internet connection and can be accessed on the CPSC website at: <http://www.cpsc.gov/en/Research--Statistics/NEISS-Injury-Data/>



Key Measure 3.1.1: Percentage of NEISS member hospitals evaluated at least once a year

Why we measure this: Evaluation visits are conducted at most NEISS hospitals every year to provide the CPSC the opportunity to review hospital records and to verify that hospital coders are correctly capturing and coding reportable cases.

Result & Explanation: The CPSC exceeded the FY 2014 target of 98 percent, evaluating 100 percent of NEISS member hospitals.

Quick Facts

During FY 2014, the CPSC collected more than 373,000 NEISS reports and more than 10,000 death certificates and medical examiner and coroner reports.



Key Measure 3.1.2: Percentage of consumer product-related injury cases correctly captured at NEISS hospitals

Why we measure this: Evaluation visits are conducted at NEISS hospitals to determine the percentage of reported consumer product-related cases captured correctly by hospital coders, an

Opened in June 2011, the CPSC's NPTEC is located in Rockville, MD, which is within close proximity to Washington, D.C. The NPTEC consists of several modernized laboratory facilities and testing equipment. Below are pictures of some of the laboratory facilities within the NPTEC.

Combustion Products Test Lab



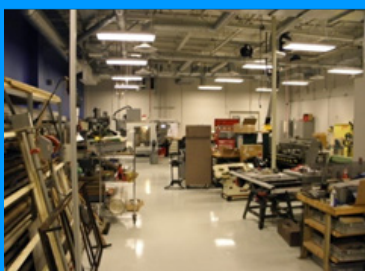
Conference Room



Outdoor Power Sports Lab



Bicycle Helmets (Impact) Lab



Machine Shop



Flammability/Fire Test Lab

Above: NPTEC Laboratory Facilities

indicator of the quality of consumer product-related incident data provided by the hospitals.

Result & Explanation: The CPSC exceeded its FY 2014 target of 90 percent; 91 percent of product-related injury cases at NEISS hospitals were captured correctly.

National Product Testing and Evaluation Center (NPTEC)

Key Measures 3.2.2 and 3.2.3 are related to NPTEC testing. The NPTEC, which opened in June 2011, consists of several modernized



Above: NPTEC's opening in June 2011

laboratory facilities and testing equipment and enhances the CPSC's ability to protect consumers from harm by expanding and accelerating the CPSC's testing and research capabilities.

The work of CPSC scientists and engineers at the NPTEC supports agency strategies of improving the quality and comprehensiveness of crucial product hazard data and reducing the time to

identify hazard trends by improving collection and assessment of hazard data.



Key Measure 3.2.2: Percentage of priority import regulated samples (excluding fireworks) tested within 30 days of collection¹

Why we measure this: This performance measure tracks the timeliness with which the CPSC processes imported non-fireworks samples, measured from initial collection at U.S. ports, through processing and testing of samples, to when the NPTEC report is made available for action by case compliance personnel. Processing and testing samples is critical to the hazard identification and compliance enforcement processes.

Result & Explanation: The agency exceeded its FY 2014 target of 85 percent; the CPSC achieved 98.8 percent of testing priority import regulated samples

¹ Fireworks testing is excluded from this measure and has its own separate measure because the nature of fireworks functional testing requires that it be done at a remote, secure test site owned and operated by the U.S. Army. It also requires the CPSC to schedule firing range time with the Department of Defense (DOD) test site to conduct the testing. To meet these requirements, the CPSC's fireworks testing has been established on a 60-day timeframe based on agreements between CBP and the CPSC.

(excluding fireworks) within 30 days of collection. The success is a result of improved coordination across operating units to increase efficiency, better utilization of existing testing capacity, and more effective scheduling practices by CPSC personnel in emphasizing testing of toys/children's imports.

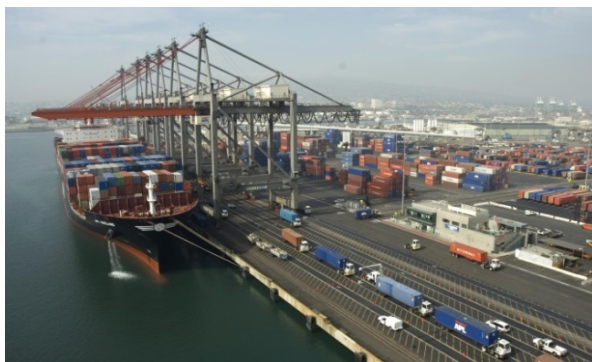
✓ **Key Measure 3.2.3: Percentage of priority import fireworks samples tested within 60 days of collection**

Why we measure this: This performance measure tracks the timeliness that the CPSC processes imported fireworks samples, measured from initial collection at U.S. ports, through processing and testing of samples, and to when the NPTEC report is made available for action by case compliance personnel. Processing and testing samples is critical to the hazard identification and compliance enforcement processes.

Result & Explanation: The CPSC exceeded its FY 2014 target of 90 percent by testing 100 percent of priority import fireworks samples within 60 days of collection.

Import Surveillance

Expansion of international trade and increasingly global supply chains have contributed to increased imports of consumer products to the United States.



Above: A U.S. port of entry.

During calendar year 2013, approximately \$723 billion worth of consumer products under CPSC jurisdiction entered the United States, averaging nearly \$2 billion per day. More than 80 percent of product recalls in the United States during FY 2013 involved an imported product, making import surveillance a critical focus area for the CPSC. Currently, the CPSC has only 21 federal inspectors colocated with CBP at a small portion of the 327 U.S. ports of entry.

Import Surveillance Mission: To identify and interdict violative and potentially hazardous consumer products at U.S. ports of entry while expediting the entry release of compliant trade.

Statutory Requirement: In response to congressional direction in Section 222 of the CPSIA, the CPSC initiated a pilot RAM surveillance system to begin identifying certain products imported into the United States that are most likely to violate consumer product safety statutes and regulations or that contain defects.

RAM Pilot: The pilot system, which was initiated in October 2011, integrates a limited set of data routinely collected by CBP with data used in the CPSC's RAM system. Certain high-risk imports are identified based on a predetermined rule set and stopped at the port for inspection. If a violation is found, the shipment is denied entry into the United States, preventing a public safety concern before the product enters the marketplace.

Pilot Results: In 2014, nearly 3.9 million violative or potentially hazardous consumer product units were stopped from entering commerce, more than 20 times the number of units identified in 2007. The pilot has also benefited compliant trade.

Cross-Agency Collaboration with CBP: Additional information on the CPSC's collaboration with CBP can be found on p. 29 of this report.

FY 2014 Progress on Import Surveillance: The CPSC has assessed the effectiveness of the pilot import surveillance program with five key performance measures. For FY 2014, the CPSC met or exceeded its annual targets for all five measures.

✓ **Key Measure 3.4.1: Number of import examinations**

Why we measure this: The total number of import examinations performed by the CPSC is a measure of surveillance at U.S. ports to reduce entry of unsafe consumer products.

Result & Explanation: In FY 2014, the CPSC screened more than 28,000 imported products, exceeding the target of 22,000 screenings.

✓ **Key Measure 3.4.2: Sample yield per 100 import entries examined as identified through the RAM pilot system**

Why we measure this: This measure is an indicator of the effectiveness of import surveillance efforts using the pilot RAM system. Entries examined and suspected of containing a violation or hazard are sampled. The pilot RAM system, which is a risk analysis algorithm, is expected to result in more violative samples being collected per entry examined. This measures the effectiveness of the agency's RAM system and approach.

Result & Explanation: The actual sample yield was 34.2 in FY 2014, exceeding the target of 26.0.



Above: CPSC and CBP Officers coordinate product examinations.

✓ **Key Measure 3.4.3: Percentage of import shipments processed through the RAM pilot system that are cleared within 1 business day**

Why we measure this: The percentage of import shipments that are cleared within one business day is a measure of how successful the CPSC is at quickly processing compliant imports of consumer products and thereby facilitating legitimate trade.

Result & Explanation: Baseline data were collected for this measure during FY 2013 and used to set the FY 2014 target for this key measure. The FY 2014 target of 99 percent was exceeded; the actual result was 99.7 percent of import shipments cleared within one business day. This indicates that the CPSC's import surveillance work is conducted efficiently and compliant imports are released quickly.

**Import Surveillance Pilot
Success Story**

Since October 2012, CPSC investigators have targeted, examined, and stopped nearly 5.7 million noncompliant units of toy shipments for violations of mandatory U.S. product safety standards.

✓ **Key Measure 3.4.4: Percentage of CPSC import entry hold requests acted on by CBP**

Why we measure this: The percentage of CPSC import entry hold requests on which CBP acts reflects CBP cooperation with the CPSC's identification of specific import entries likely to contain noncompliant products. The percentage is expected to increase with full implementation of the RAM and expanded CPSC physical presence at ports.

Result & Explanation: Baseline data were collected for this measure in FY 2013. The baseline data were used to establish the FY 2014 target of 86 percent. In FY 2014, the agency exceeded the target with a result of 87.2 percent of CPSC import entry hold requests acted on by CBP.

✓ **Key Measure 3.4.5: Establish an ITDS/RAM rule set to target intellectual property violations where a health and safety hazard is suspected in consumer product imports**

Why we measure this: Intellectual property rights violations in consumer products are a potential indicator of consumer product safety violations.

Result & Explanation: The CPSC met the FY 2014 target for this key measure by successfully testing, then establishing, the rule set to identify intellectual property rights violations in consumer products where a health and safety hazard is suspected in consumer product imports.

Marketplace Surveillance

The CPSC scans the marketplace regularly to determine whether previously identified significant hazards exist in similar products. The CPSC also works on increasing surveillance of used and resale consumer products to identify and remove recalled products and substantial product hazards. Baseline data that were collected during FY 2013 helped the agency establish FY 2014 targets for the two key performance measures in this area (3.5.1 and 3.5.2). The agency exceeded its FY

2014 targets for key measures 3.5.1 and 3.6.1. The agency did not meet the FY 2014 target for key measure 3.5.2.

✓ **Key Measure 3.5.1: Total number of products screened by CPSC field staff**

Why we measure this: The CPSC tracks the total number of product units screened to measure the extent of the CPSC's field surveillance activities at traditional retail and secondhand stores, over the Internet, and at import.

Result & Explanation: The baseline data collected in FY 2013 were used to establish the FY 2014 target of 225,000. The CPSC exceeded the target by screening more than 250,000 consumer products in FY 2014.

✗ **Key Measure 3.5.2: Number of consumer products screened by CPSC field staff through Internet surveillance activities**

Why we measure this: The number of products screened over the Internet measures the CPSC's surveillance of Internet sales of consumer products.

Result & Explanation: In FY 2014, the CPSC screened approximately 21,300 consumer products (in units) through Internet surveillance activities, seven percent below the FY 2014 target of 23,000. The target was not achieved as a result of the October 2013 government shutdown during which Internet surveillance did not occur.

Quick Fact

In FY 2014, the CPSC's Internet Surveillance unit contacted approximately 8,935 firms and individuals who were attempting to sell banned or previously recalled consumer products via the Internet, halting sales and keeping dangerous products out of the marketplace.

✓ **Key Measure 3.6.1: Number of used/resale consumer products screened by CPSC field staff**

Why we measure this: The number of used or resale consumer products screened measures CPSC surveillance of used or resale consumer products. This measure informs the effectiveness of CPSC work to educate consumers and retailers on secondhand/used consumer products that have previously been recalled or banned and should not be resold.

Result & Explanation: The FY 2014 target was 170,000 products screened. The CPSC exceeded the FY 2014 target by screening nearly 210,000 used/resale consumer products. The CPSC exceeded the annual target by increasing surveillance of secondhand and thrift stores during the fourth quarter.

Quick Facts

In FY 2014, www.SaferProducts.gov received more than 2.4 million visits and nearly 33 million page views.

Other Key Measures

✓ **Key Measure 3.2.1: Time from incident received to integrated team adjudication of incident report (business days)**

Why we measure this: Timely review of incoming incident reports is critical to identification of emerging hazards from the use of consumer products. The CPSC measures the average time from receipt of an incident report to determination of whether the incident report is actionable by the agency.

Result & Explanation: The FY 2014 target was 10 days. In FY 2014, the CPSC exceeded the FY 2014 targeted performance. The average time from incident report receipt to determination was 3.4 days.

✓ **Key Measure 3.5.3: Number of annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards**

Why we measure this: This key measure informs the CPSC's strategy for hazard identification by scanning the marketplace to determine whether previously identified significant hazards are evidenced in similar products. The CPSC publishes annual statistical reports on the number of reported deaths and estimates on the number of emergency room treated injuries associated with a consumer product hazard or category. The data are analyzed and trends and correlations are identified. This information is then used to direct agency actions and decisions to remedy significant hazards, and to inform the public through information and education campaigns.

Result & Explanation: The FY 2014 target was 10 annual reports. The CPSC met the target.

Strategic Goal 4: Decisive Response

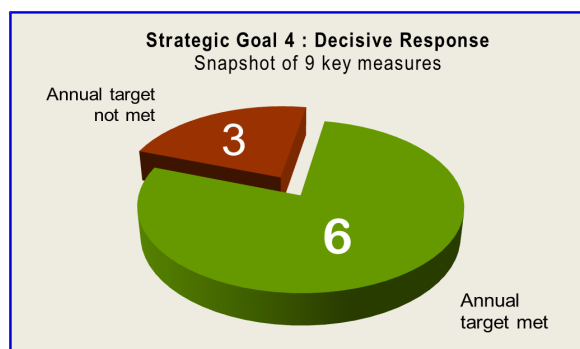
Use the CPSC's full range of authorities to quickly remove hazards from the marketplace.

Challenges

The longer a hazardous consumer product remains on store shelves or in homes, the greater the potential for that hazard to cause injuries and deaths. Once hazardous products have been identified, the CPSC takes action to protect consumers, remove the products from the marketplace, and hold violators accountable. Industry and consumer groups demand a timely and complete response. Enforcement efforts must be predictable and carried out in a consistent manner.

Strategies

The CPSC takes a multifaceted approach to addressing incidents and injuries. CPSC personnel investigate reports of incidents and injuries; conduct inspections of manufacturers, importers, and retailers; and identify potential regulatory violations and product defects that could harm the public. The CPSC conducts hundreds of establishment inspections every year, screens consumer products, responds to industry-generated reports, and tests products and component parts for compliance with specific standards and regulations. The CPSC identifies violations and defects that warrant



corrective action. When a recall is necessary, a compliance action is taken. The CPSC works to reduce the time necessary to conduct investigations and negotiate corrective actions, including voluntary recalls, as well as notify firms about violative or potentially hazardous products. Industry can participate in a streamlined recall process through the Fast-Track Recall Program. This expedited recall process aims at removing potentially dangerous products from the marketplace more quickly, saving the company and the CPSC time and resources. The CPSC also holds violators accountable for hazardous consumer products. When companies fail to report potentially hazardous products as required, the CPSC uses its enforcement authority to seek civil, and in some cases, criminal penalties.

Results

The CPSC met or exceeded FY 2014 targets for six of the nine key performance measures for Strategic Goal 4 and did not meet FY 2014 target for three key performance measures.

Table 4: Strategic Goal 4 Key Performance Measures

Measure ID	Measure Statement	2010 Actual	2011 Actual	2012 Actual	2013 Actual	2014 Target	2014 Actual	2014 Target Met?	Trend
4.1.1	Number of establishment inspections conducted by CPSC field staff	616	1,116	1,184	3,680	3,000	3,672	✓	
4.1.2	Percentage of products screened by CPSC field staff resulting in violations	--	--	--	6.9%	6%	6%	✓	
4.1.3	Total number of items/component parts from samples tested at National Product Testing and Evaluation Center (NPTEC) for specific standards and regulations	30,845	32,705	40,066	37,063	36,000	37,028	✓	
4.3.1	Percentage of all cases for which the preliminary determination is made within 85 business days of the case opening	--	--	--	84%	70%	60.6%	✗	
4.3.2	Percentage of cases for which the corrective action is accepted within 60 business days of the preliminary determination	96%	95%	98%	88%	80%	80.9%	✓	
4.3.3	Percentage of cases in which the firm is notified of a violation in a timely manner	--	--	--	94%	90%	97.1%	✓	
4.3.4	Percentage of Fast-Track cases with corrective actions initiated within 20 business days	95%	95%	99%	98%	90%	100%	✓	
4.4.1	Average number of days from an established first draft of recall press release to the date the recall press release is issued (business days)	--	--	--	27.5	22	25.3	✗	
4.5.1	Percentage of compliance defect investigation cases referred within 10 business days to Office of the General Counsel (OGC) for review of firms' timely reporting pursuant to Section 15(b)	--	--	--	57%	75%	63.3%	✗	

Discussion of Performance Results

Inspections, Surveillance, and Monitoring for Noncompliant and Defective Products

To remove consumer product hazards from the marketplace, the CPSC conducts inspections, screens products offered for sale throughout the domestic consumer product supply chain, and tests products for compliance with consumer product safety standards. The CPSC met or exceeded FY 2014 targets for three key performance measures used to monitor progress toward this objective.

✓ **Key Measure 4.1.1: Number of establishment inspections conducted by CPSC field staff**

Why we measure this: The number of establishment inspections conducted measures CPSC surveillance of the domestic consumer product supply chain. Establishment inspections are one of the key enforcement tools used by the CPSC to monitor whether industry is manufacturing, importing, and distributing consumer products that meet federal regulations. Inspections are also used to conduct defect investigations of consumer products that may pose an unreasonable risk of serious injury or death.

Result & Explanation: The FY 2014 target was 3,000 inspections. The CPSC conducted nearly 3,700 inspections of importers, manufacturers, wholesalers, and retailers, exceeding the target. The target was exceeded as a result of expanding the initial surveillance activities of the secondhand/thrift retail market.

✓ **Key Measure 4.1.2: Percentage of products screened by CPSC field staff resulting in violations**

Why we measure this: This measures CPSC success in identifying previously recalled or banned products being offered for sale throughout the domestic consumer product supply chain. The CPSC halts the sale of these products when identified.

Result & Explanation: The CPSC collected baseline data in FY 2013 to establish the FY 2014 target. The target was a six percent screened product violation rate. The CPSC met the target.

Quick Facts

During FY 2014, the CPSC conducted 387 recalls, involving approximately 119 million units and negotiated more than \$4 million in civil penalties through out-of-court settlements.

✓ **Key Measure 4.1.3: Total number of items/component parts from samples tested at NPTEC for specific standards and regulations**

Why we measure this: The CPSC's Laboratory Sciences division evaluates domestic and imported product samples, testing the samples against safety standards to identify noncompliant and defective products. This measures the CPSC's capacity and capability to evaluate consumer products.

Result & Explanation: The FY 2014 target was 36,000 sample tests. The actual result was more than 37,000 items/component parts from samples tested. The actual result exceeded the target. Although the government shutdown in October 2013 resulted in the CPSC halting sample tests during that time, a larger volume of samples were tested in the second half of the fiscal year and resulted in the CPSC exceeding the target.

Increasing Efficiency and Speed of Recalls

Another CPSC strategy to achieve Strategic Goal 4 is to increase the efficiency and speed of recalls of noncompliant and defective products. Increased efficiency in CPSC case work in turn contributes to the efficiency and speed of recalls for noncompliant and defective products. The CPSC exceeded FY 2014 targets for three key measures (4.3.2, 4.3.3, and 4.3.4), and did not meet the FY 2014 target for two key measures (4.3.1 and 4.4.1).

✗ **Key Measure 4.3.1: Percentage of all cases for which the preliminary determination is made within 85 business days of the case opening**

Why we measure this: This is a measure of the timeliness of CPSC case work (excludes Fast-Track recalls). Making preliminary determinations

quickly contributes to the efficiency and speed of recalls for noncompliant and defective products.
Result & Explanation: In FY 2014, the target was 70 percent of preliminary determinations are made within 85 business days. The CPSC result was 60.6 percent. The CPSC did not meet the target. The October 2013 government shutdown, as well as abnormally adverse winter weather conditions, were the primary factors in not meeting the target.

✓ **Key Measure 4.3.2: Percentage of cases for which the corrective action is accepted within 60 business days of the preliminary determination**

Why we measure this: This performance measure reports on the timeliness of the CPSC's negotiations of Corrective Action Plans (CAPs) with companies (excludes Fast-Track cases). More timely negotiations of CAPs contribute to the efficiency and speed of recalls for noncompliant and defective products.

Result & Explanation: The FY 2014 target was 80 percent. The result was 80.9 percent. The CPSC marginally exceeded the target. The CPSC result is attributed to collaboration with outside firms, improved internal controls, improved case work and negotiation, more staff cross-training, and efficient resource allocation.

✓ **Key Measure 4.3.3: Percentage of cases in which the firm is notified of a violation in a timely manner**

Why we measure this: This measures the timeliness of CPSC notices to firms of violations. "Timely" is defined as notification occurring within 30 business days after the violation.

Result & Explanation: Baseline data were collected in FY 2013. The baseline data were used to establish the FY 2014 target of 90 percent of the notifications being "timely." The result was 97.1 percent. The result exceeded the targeted performance.

✓ **Key Measure 4.3.4: Percentage of Fast-Track cases with corrective actions initiated within 20 business days**

Why we measure this: Industry has an opportunity to participate in a streamlined recall process through the Fast-Track Product Recall Program, which can remove potentially dangerous products

from the marketplace more quickly and save both the company and the CPSC time and resources. To take advantage of the Fast-Track program, an eligible firm must commit to implementing a consumer-level voluntary recall within 20 business days of the case opening. The percentage of Fast-Track cases opened that result in a CAP within 20 business days of the case opening measures the timeliness that expedited cases move from report to resolution. Increasing the processing timeliness of cases contributes to the efficiency of recalls.

Result & Explanation: The FY 2014 target was 90 percent. The actual result was 100 percent, exceeding the target. The target was exceeded by assigning additional personnel to the Fast-Track team.

✗ **Key Measure 4.4.1: Average number of days from an established first draft of recall press release to the date the press release is issued (business days)**

Why we measure this: This measures progress toward reducing the time to inform consumers and stakeholders of product-specific hazards and the actions consumers should take. Reducing the average time for the CPSC to issue press releases announcing product recalls gets product hazard information to consumers more quickly and reduces the risk of harm. This is a challenging performance measure due to high variability and logistical challenges that recalling firms may face prior to the announcement of the recall.

Result & Explanation: Baseline data were collected in FY 2013. The baseline data were used to establish the FY 2014 target of 22 days. The result was 25.3 days. The CPSC did not meet the target. However, the average number of days between establishment of first draft and issuance of recall press release for the most timely 90 percent of all recall press releases was 20 days, exceeding the annual target. Starting in FY 2015, the CPSC will use this refined performance measure calculation.

Quick Facts

In FY 2014, the CPSC sent 2,017 Notices of Noncompliance and negotiated 358 CAPs to address safety in consumer products.

Other Key Measure

Key Measure 4.5.1: Percentage of compliance defect investigation cases referred within 10 business days to the Office of the General Counsel (OGC) for review of firms' timely reporting pursuant to Section 15(b)

Why we measure this: Under the CPSA, stakeholders have statutory obligation to report information that a product contains a defect that could create a substantial product hazard or a product could create an unreasonable risk of injury. CPSC Compliance Officers investigate reports and also incidents where no report was submitted but should have been. When a CAP is negotiated with and accepted by the stakeholder, Compliance Officers formally refer cases to the CPSC's Office of the General Counsel (OGC) when facts point to a stakeholder who has failed to meet the reporting obligation under the law. Compliance Officers refer a Compliance Defect Investigation case to the OGC for review and determination of whether the firm reported as required under Section 15(b).

Referring cases to the OGC for follow-up review in a timely manner contributes to the CPSC's ability to hold violators accountable for hazardous consumer products in the market.

Result & Explanation: Baseline data were collected in FY 2013. The baseline data were used to establish an FY 2014 target of 75 percent. The FY 2014 result was 63.3 percent. The CPSC did not meet the target.

The FY 2014 target was not met due to procedural changes that increased the number of days required to complete the referral process from 10 days to 20 days. Starting in FY 2015, the CPSC is using the updated key measure 4.5.2 to track compliance defect investigation cases referred to OGC:

FY 2015 Key Measure ID: 2015BK4.5.2

FY 2015 Key Measure Statement: "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 Section 15(b)"

Strategic Goal 5: Raising Awareness

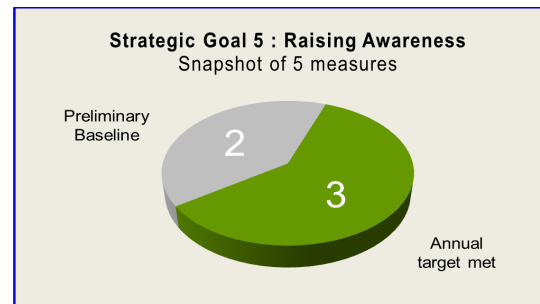
Promote a public understanding of product risks and CPSC capabilities.

Challenges

Raising awareness of product risks is crucial to empowering consumers to make informed safety choices. Useful, timely information helps make consumers aware of hazardous products in the marketplace and can lead them to act quickly if they own recalled products. Minority, vulnerable, and underserved groups who might not otherwise receive safety messages, or who may be affected disproportionately by particular product-related hazards, must be reached. In addition, industry, safety advocates, and partner government agencies need high-quality information about consumer product safety issues. However, the diverse audiences have different information needs and respond to different methods of communication.

Strategies

The CPSC uses many communication channels and strategies to provide the public with timely and targeted information about safety issues and CPSC capabilities. The CPSC disseminates safety messages through press releases, earned media stories online, in newspapers, on the radio and on TV, and video broadcasts. The CPSC has continued to expand its use of social media to disseminate information via the CPSC's *OnSafety* blog, Twitter, Google+, YouTube, Flickr, and



Widgets. The CPSC conducts public information campaigns on a variety of consumer product-related hazards, as well as outreach on specific high-profile topics, such as pool and spa drowning and drain entrapment prevention, and Safe to Sleep® for babies. CPSC public information efforts involve working with a variety of stakeholders, including collaborations with other government agencies and nonprofit organizations.

Results

The CPSC met or exceeded FY 2014 targets for three of the five key performance measures for Strategic Goal 5. Preliminary baseline data were not collected for the two remaining key performance measures (5.1.1 and 5.1.2) in FY 2014.

Success through Social Media

The CPSC uses a variety of social media to disseminate consumer product safety messages, including Twitter. In FY 2014, there were an estimated 34,000 Twitter followers of CPSC safety messages through the @USCPSC, @PoolSafely, @CPSCSmallBiz and @SeguridadConsum accounts.

Table 5: Strategic Goal 5 Key Performance Measures

Measure ID	Measure Statement	2010 Actual	2011 Actual	2012 Actual	2013 Actual	2014 Target	2014 Actual	2014 Target Met?	Trend
5.1.1	Percentage of the U.S. population that reports awareness of the CPSC	--	--	--	N/A	Preliminary Baseline	N/A	N/A	
5.1.2	Percentage of the U.S. consumers who report acting on a CPSC safety message	--	--	--	N/A	Preliminary Baseline	N/A	N/A	
5.2.1	Number of public information campaigns conducted by CPSC on targeted consumer product safety hazards	23	24	23	24	24	24	✓	
5.2.2	Number of impressions of CPSC safety messages received by consumers on targeted consumer product safety hazards (in millions)	3,903	1,929	4,209	4,628	3,215	9,361	✓	
5.3.1	Number of impressions of CPSC safety messages received by consumers on priority hazards in vulnerable communities (in millions)	206	751	437	1,395	425	2,408	✓	

Discussion of Performance Results

CPSC Outreach Efforts

The CPSC provides stakeholders with easily accessible, timely, and useful safety information on consumer product hazards and implements targeted outreach campaigns for priority hazards and vulnerable communities. The CPSC met or exceeded the FY 2014 targets for three key measures used to track progress toward these objectives.

✓ **Key Measure 5.2.1: Number of public information campaigns conducted by CPSC on targeted consumer product safety hazards**

Why we measure this: The CPSC conducts public information campaigns on high-concern consumer product safety issues. A campaign, which may be conducted by the CPSC alone, or may involve collaborations, consists of multiple communications products on a single issue that are distributed to audiences using an assortment of traditional and new media.

Result & Explanation: The CPSC met the FY 2014 target of 24 public information campaigns conducted on specific hazards.

✓ **Key Measure 5.2.2: Number of impressions of CPSC safety messages received by consumers on targeted consumer product safety hazards (in millions)**

Why we measure this: This performance indicator tracks the number of impressions^{2, 3} received by consumers of CPSC safety messages. The number of impressions is measured to determine the number of people who have been exposed to particular CPSC consumer product safety messages. This includes the estimated number of people who have seen or heard messages delivered via TV, radio, newspaper, online and social media, billboards, and public events. There

² “Impressions” represent the estimated number of people hearing or seeing CPSC safety messages via TV and radio broadcasts, online stories, and social media mentions. The data for the estimates are collected using standard media measurement tools used by advertisers, agencies, and research firms that need reliable audience data.

³ For information on validation and verification of CPSC performance data, see Appendix A (p. 33).

is a direct relationship between the number of times people are exposed to a safety message and the level of awareness of the message in the general population. The number of impressions provides an estimate of the extent of consumer awareness.

Result & Explanation: In FY 2014, consumers received approximately 9.4 billion impressions of CPSC safety messages, exceeding the target of 3.2 billion impressions. High interest in recall announcements of children’s and imported products, as well as collaboration efforts, resulted in a significant increase in impressions.

✓ **Key Measure 5.3.1: Number of impressions of CPSC safety messages received by consumers on priority hazards in vulnerable communities (in millions)**

Why we measure this: The CPSC’s communication strategy includes a focus on deploying targeted outreach campaigns that aim to prevent deaths and injuries from hazards that disproportionately impact vulnerable communities. Priority hazards include drowning and drain entrapment prevention in pools and spas, Safe to Sleep®, TV/furniture tip-overs, and poison prevention. Vulnerable communities include minority and underrepresented population groups, such as children, low-income, and limited English-speaking audiences.

Result & Explanation: In FY 2014, consumers received 2.4 billion impressions^{2, 3}, exceeding the performance target of 425 million impressions. The significant increase in impressions was due to increased media attention to the agency’s Safe to Sleep® and minority outreach campaigns, as well as a higher number of messages related to pool and spa drowning and drain entrapment that were generated during the second half of FY 2014.



Survey of Consumer Awareness

The CPSC has developed a proposed survey to collect data on progress toward its goal of increasing awareness of the CPSC. The planned survey has been designed to provide valuable outcome-level data on the impact of CPSC

information dissemination efforts. It will guide the agency in obtaining baseline data of consumer awareness of CPSC safety messages and the extent to which consumers act on CPSC safety messages. Two performance measures (key measures 5.1.1 and 5.1.2) did not have established performance targets for FY 2014. These two measures were premised on the agency conducting a consumer awareness survey.

Key Measure 5.1.1: Percentage of the U.S. population that reports awareness of the CPSC (Preliminary Baseline)

Why we measure this: This is a direct measure of consumer awareness of the CPSC and its work on improving consumer product safety. The survey will be used to gather information about consumer awareness of CPSC messages. Consumer

awareness of consumer product safety issues is assumed to have a direct, positive relationship to consumer safety.

Result & Explanation: Baseline data were not available in FY 2014.

Key Measure 5.1.2: Percentage of the U.S. consumers who report acting on a CPSC safety message (Preliminary Baseline)

Why we measure this: This measures the extent to which consumers take actions based on their awareness of the CPSC and its safety messages. Increased consumer actions should contribute to improvements in consumer safety.

Result & Explanation: Baseline data were not available in FY 2014.

Agency Priorities & Management Challenges

Priority 1: Improving U.S. effectiveness at ports of entry in identifying and interdicting noncompliant trade.

Import Surveillance: During calendar year 2013, more than 235,000 importers brought into the United States imports of consumer products under CPSC jurisdiction, having a total estimated value of approximately \$723 billion. That averages nearly \$2 billion per day in imports of consumer products under CPSC jurisdiction. More than 80 percent of product recalls in the United States during FY 2013 involved an imported product. The CPSIA was enacted, in part, in reaction to identification of a large number of noncompliant imported products for children. To address this priority, the CPSC included in its FY 2016 PBR (submitted concurrently with this document) a proposal to expand the import surveillance program.

Priority 2: Implementing congressional requirements in a prudent and timely manner.

CPSIA: The CPSIA increased the mission requirements of the CPSC, requiring new regulations and mandates to improve consumer product safety. The Danny Keysar Child Product Safety Notification Act (Section 104 of the CPSIA) requires the CPSC to study and develop safety standards for at least two durable infant or toddler products every six months.

CPSIA-mandated rulemaking is ongoing, and the agency will consider four CPSIA Section 104 draft proposed rules in FY 2016: children's folding chairs, high chairs, hook-on chairs, and infant bathtubs. Furthermore, in FY 2016, the CPSC will consider draft notices of proposed rulemaking (NPRs) for changing tables, infant gates and other enclosures, infant inclined sleep products, and stationary activity centers.

Priority 3: Identifying emerging technology and consumer safety issues in nanotechnology.

Nanotechnology: Results from nanotechnology research and development (R&D) are rapidly being

deployed and commercialized into consumer products, including products for children. Global trading partners are investing in the manufacturing infrastructure, including the Chinese nanotechnology commercialization hub called Nanopolis Suzhou, to produce and export new products to the United States. To help facilitate the safe commercialization of this new technology, it is important that the requisite testing methods for characterizing and quantifying nanotechnology materials in consumer products, identifying and quantifying consumer exposures, and assessing the potential health risks, be developed. The CPSC has a unique role regarding the risks to consumers posed by nanotechnology and has proposed in the FY 2016 PBR a Nanotechnology Research Center in collaboration with the National Science Foundation (NSF) to develop the required capabilities.

Priority 4: Empowering stakeholders and the public through education and information.

Public Outreach: Communicating safety responsibilities to industry and educating the public on safety best practices and recalled products continue to be regarded as cost-effective methods for reducing injuries and deaths. Useful, timely information helps make consumers aware of hazardous products in the marketplace and can instruct consumers to act quickly if they own recalled products. Continuing to reach consumers and businesses, including at-risk communities and constituents, is an ongoing priority.

Management Challenges

Management challenges identified by the CPSC's Inspector General are found on pages 50–52 of the *FY 2014 Agency Financial Report* (AFR), which can be found at: www.cpsc.gov/performance-and-budget.

Cross-Agency Collaborations

Collaboration with CBP on Import Surveillance

Import Surveillance: The CPSIA directed the CPSC to create a RAM system to identify products imported into the United States that are most likely to violate consumer product safety statutes and regulations or contain defects. In October 2011, the CPSC launched a pilot, which integrates data collected by CBP with data used in CPSC surveillance systems.

The CPSC has proposed a full-scale national program to address the risks posed by noncompliant imports. The CPSC program is aligned with the International Trade Data System (ITDS) Single Window, and the fully implemented CPSC RAM targeting system would rely upon existing data collected by CBP. The OMB-directed “Shared-First” approach increases communication among collaborating government agencies and the trade community to avoid unnecessary entry delays for compliant cargo. In addition, this approach is designed to improve notification of responsible agencies when noncompliant cargo is identified. The CPSC is a member of the 10-agency Border Interagency Executive Council (BIEC) led by the Department of Homeland Security (DHS), the parent agency of CBP.

Collaboration with National Nanotechnology Initiative (NNI)

Nanotechnology: Results from nanotechnology R&D are rapidly being commercialized into consumer products, including products for children. Global trading partners are investing in the manufacturing infrastructure to produce and export these new products to the United States.

Since 2003, the CPSC has participated in the National Nanotechnology Initiative (NNI), a U.S. government R&D initiative involving the nanotechnology-related activities of 25 departments and independent agencies, including the CPSC. The multiyear, multibillion dollar global R&D effort is rapidly maturing, and there is increased emphasis on promoting the commercialization of products containing

nanoscale materials (*i.e.*, nanomaterials)(see: www.nano.gov). The CPSC has a special focus on the health and safety issues associated with nanomaterial use in consumer products, a role that is expected to become more prevalent as the use of nanomaterials in consumer products increases. The CPSC is involved in a number of specific collaborative activities with NNI members, including research agencies, such as the NSF, the National Institute for Occupational Safety and Health (NIOSH), and regulatory agencies, such as the U.S. Environmental Protection Agency (EPA) and the FDA.

These collaborative activities provide support for studies on the releases of nanomaterials from consumer products and potential exposures to humans, collection of information on products reported to contain nanomaterials, and working towards identifying incidents of harm involving consumer products that contain nanomaterials.

To facilitate further the safe commercialization of this new technology, the CPSC has included in its FY 2016 PBR a proposal to develop a Nanotechnology Research Center in collaboration with the National Science Foundation (NSF).

Collaboration with Centers for Disease Control and Prevention (CDC) on Data Collection through the NEISS

NEISS: The CPSC collects information about consumer product-related injuries treated in hospital emergency rooms through the NEISS. The CPSC has a national network of hospitals that collect and submit the information to the CPSC to derive statistically valid national estimates of product-related injuries. The NEISS data are publicly available on the CPSC website at: <http://www.cpsc.gov/en/Research--Statistics/NEISS-Injury-Data/>.

The NEISS data are a critically important component in the CPSC’s data-driven approach to identifying emerging trends and consumer product hazards. The CDC provides funding to the CPSC to support the collection of additional, CDC-defined data through the NEISS system on non-consumer product-related injuries. These

comprehensive data on all trauma-related injuries (not just consumer product-related injuries) are available to other federal agencies, researchers, and the public.

Collaborations with Various Federal Agencies on Shared Services

Shared Services: The CPSC supports, and has designed its operating model around, the use of federal shared services to lower costs, improve service delivery, and benefit from economies of scale not available to small agencies with limited purchasing power. The CPSC leverages shared services for:

- **Financial Management System and Operations:** Financial Accounting System (Oracle) and Accounting Services provided by the Enterprise

Service Center (ESC), Department of Transportation (DOT).

- **Payroll:** Payroll and related human resource (HR) system services through the U.S. Department of Interior (DOI).
- **Acquisition:** Program Support Center (PSC) of the U.S. Department of Health and Human Services (HHS) to supplement procurement operating capacity.
- **Wireless:** Wireless service and devices managed by DOT/Federal Aviation Administration (FAA).
- **www.GrantSolutions.gov:** Through the Denali Commission, the HHS-administered Grants Center of Excellence (COE) provides data capture and workflow capabilities to support the CPSC's Virginia Graeme Baker (VGB) Act grant issuance.

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Evaluation & Research

Key Performance Measures

During fiscal years 2012–2013, the CPSC extensively reviewed the more than 180 existing annual goals and measures reported in the FY 2013 PBR and identified a core set of 40 key performance measures that quantitatively describe progress in implementing the strategic plan. The key performance measures form a manageable set of tools for monitoring and reporting progress toward the agency's strategic goals and strategic objectives and facilitate using evidence in management and resource decisions across the agency. The key performance measures continue to form the foundation of the performance information in the FY 2016 PBR.

Strategic Data Review Meetings

The CPSC implements a number of different mechanisms to review financial and performance data and manage programs during the course of the fiscal year. The Chief Financial Officer's (CFO's) office produces a monthly Resource Summary Report (RSR) for senior managers' use, which summarizes the status of the agency's financial and human resources. Financial data presented in the report include the current fiscal year's annual funding level, cumulative allowances, cumulative funds obligated, and expended obligations, as well as information on onboard staffing levels. Another helpful agency practice has been conducting a midyear review process, during which the fiscal year budget request and corresponding planned programs are reviewed for potential midyear adjustments based on new information or emerging priorities of the agency. The agency also conducts periodic Strategic Data Review (SDR) meetings. These

are data-driven, interim progress reviews to determine agency performance toward meeting the strategic objectives and priorities of the agency. The information is analyzed in the meeting, and managers report to their peers on progress toward goals. Managers also identify constraints or problems for discussion by the group, and follow-up actions are assigned.

Evaluation Plan

The CPSC is in the early stages of developing a multiyear evaluation plan. As part of this process, the agency will identify critical questions about implementation, efficiency, and/or impact of agency programs, and will use this information to develop a list of priority programs for evaluation. A multiyear evaluation plan will be developed, which will address, subject to availability of resources for evaluation, key questions and contribute to developing future program strategies to accomplish the CPSC's mission.

Importance of Data and Evidence in Determining Program Priorities

The CPSC is a data-driven agency. The agency regularly collects and analyzes a wide range of data from multiple sources (e.g., NEISS) that are relevant to its mission and uses that information to shape program strategies and select priorities. For example, the CPSC systematically reviews and analyzes data on injury and death incidents related to consumer products to develop the CPSC's hazard mitigation strategies. The CPSC receives data from NEISS, as well as from death certificates, Medical Examiner and Coroners Alert Project (MECAP) reports, incident reports, and www.SaferProducts.gov.

Appendix A

CPSC Performance: Data Limitations, Validation & Verification

The CPSC needs accurate data to properly assess agency progress toward its strategic and performance goals, and to make good management decisions. The CPSC bases its assurance that the performance data presented in this report are complete, reliable and accurate based upon the following procedure:

(1) The agency develops performance measures through its strategic planning and annual planning processes.

(2) The CPSC's component organizations follow a standard reporting procedure to assure that data used in the calculation of performance measures are accurate and reliable, including adequately documenting required **performance measure attributes**, such as:

- the performance measure definition;
- the data collection methods;
- the calculation procedure;
- the source of the data; and
- the data limitations of the information used in the calculation and the limitations of the reported results.

(3) The component organizations calculate and report the performance measures to the Office of Financial Management, Planning, and Evaluation (EXFM) using the Performance Management Database (PMD), and the final performance measures and results are approved by agency managers. The results in this report are drawn directly from the PMD.

(4) Managers of major organizational units within CPSC submit annual statements of assurance on the operating effectiveness of general and program level internal controls for their areas of responsibility. Those statements of assurance identify deficiencies or weaknesses in program level internal controls where they exist, including reported performance results. Program

managers maintain supporting documentation upon which their assurance is based.

This procedure helps to assure that the data used in the calculation of performance measures are accurate and reliable and that internal controls are maintained and functioning.

Data Limitations: While the agency does have reasonably reliable processes, procedures, and systems to collect performance data and their supporting attributes, the completeness of that information is, in some instances, uneven and incomplete. Managers often report the interim and final performance results in a timely manner, but do not adequately report the supporting **performance measure attributes** described in Step 2 in this appendix. This incomplete reporting of the performance measure attributes limits the agency's ability to verify and validate the reported results. Subsequently, some reported results are accepted based on the manager's assertion rather than a systematic verification and validation by EXFM. This creates an inherent limitation on the reported results. Data limitations for each performance measure⁴ are required to be reported in the PMD. However, data limitations are not consistently reported in the database, and, in turn, the presentation of data limitations is uneven or unavailable in the *Supplemental Appendix* for some performance measures.

Additional information on the detailed attributes for each performance measure can be found in the *Supplemental Appendix to the FY 2014 Performance Budget Request* on the CPSC's

⁴ For instance, Key Measures 5.2.2 and 5.3.1 report the number of impressions for CPSC safety messages. These performance measures are based on estimates of the sizes of audiences that are exposed to or receive CPSC safety messages. The CPSC is currently reviewing the extent to which this is a valid measure of the numbers of individuals who receive CPSC safety information, as well as the extent of potential double-counting of safety messages.

website at: www.cpsc.gov/performance-and-budget.

**Performance Audit of the Reliability of CPSC
Performance Data: 2013 APR**

The CPSC's Office of Inspector General (OIG) retained the services of an independent certified public accounting firm to assess the CPSC's compliance with GPRA and GPRAMA, and to determine whether the performance data published in the CPSC's FY 2013 APR complied with established guidance and was reliable. The firm conducted audit field work from April to September, and completed the audit in November 2014. The OIG issued a report detailing the results of the performance audit in December 2014 (Report's URL: <https://www.cpsc.gov/Global/About-CPSC/OIG/GPRA-Final-Audit-Report-2014.pdf>).

Audit Conclusions: The auditors stated, "We found CPSC had made significant progress in its

implementation of GPRAMA requirements, especially in making changes to comply with revised reporting requirements." The auditors also stated that, "While we found some policies and procedures had been developed, their lack of full implementation hindered the agency's ability to verify and validate the accuracy and reliability of the performance data reported in the FY 2013 APR."

Audit Recommendation: The CPSC is committed to improving the completeness, reliability, and accuracy of its performance data consistent with OMB guidance and where it is cost effective to do so. CPSC management generally concurred with the audit recommendations and is working on the refinements to policies and procedures that will specifically improve the completeness of the reported performance measure attributes contributing to the verification and validation of the final reported result.

Appendix B: Changes to FY 2014 Performance Measure Targets

In accordance with OMB Circular A-11, this section of the FY 2014 APR summarizes changes to the FY 2014 key performance measures that occurred between the publications of the FY 2014 PBR (April 2013) and this document, the FY 2014 APR (February 2015).

Changes to the FY 2014 key performance measures were FY 2014 target changes, which were consequential of the enactment of the CPSC FY 2014 annual appropriation. For each key measure, the change to the FY 2014 target from the publication of the 2014 PBR to the publication of the 2014 APR is listed in the table below.

Measure ID	Program	FY 2014 Performance Measure Statement	FY 2014 Target	
			FY 2014 PBR	FY 2014 APR
2014BK1.2.2	International	Number of staff exchanges with foreign counterparts undertaken as part of the Extended Training Exchange Program	4	3
2014BK2.1.1	Hazard	Number of voluntary standards activities supported or monitored by CPSC staff	69	83
2014BK2.1.2	Hazard	Number of collaborations established or maintained with other organizations to work on nanotechnology research or issues affecting consumer products	8	5
2014BK2.1.3	Hazard	Number of reports produced on the results of collaboration on nanotechnology issues affecting consumer products	7	5
2014BK2.2.1	Hazard	Number of candidates for rulemaking prepared for Commission consideration	13	19
2014BK2.3.1	Executive	Number of domestic training activities made available to industry stakeholders	25	7
2014BK3.2.2	Hazard	Percentage of priority import regulated samples (excluding fireworks) tested within 30 days of collection	95%	85%
2014BK3.4.1	Import	Number of Import Examinations	20,000	22,000
2014BK3.4.2	Import	Sample yield per 100 import entries	30	26.0
2014BK3.4.3	Import	Percentage of import shipments cleared within 1 business day	TBD	99%
2014BK3.4.4	Import	Percentage of CPSC import entry hold requests acted on by CBP	TBD	86%
2014BK3.5.1	Compliance	Total number of products screened by CPSC field staff	TBD	225,000
2014BK3.5.2	Compliance	Number of consumer products screened by CPSC field staff through Internet surveillance activities	TBD	23,000
2014BK3.5.3	Hazard	Number of annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards	11	10
2014BK3.6.1	Compliance	Number of used/resale consumer products screened by CPSC field staff	TBD	170,000
2014BK4.1.1	Compliance	Number of establishment inspections conducted by CPSC field staff	1,000	3,000
2014BK4.1.2	Compliance	Percentage of products screened by CPSC field staff resulting in violations	TBD	6%
2014BK4.1.3	Hazard	Total number of items/component parts from samples tested at National Product Testing and Evaluation Center (NPTEC) for specific standards and regulations	37,000	36,000
2014BK4.3.3	Compliance	Percentage of cases in which the firm is notified of a violation in a timely manner	TBD	90%
2014BK4.4.1	Communications	Average number of days first draft of recall press completed to recall press release issued	TBD	22
2014BK4.5.1	Compliance	Percentage of compliance defect investigation cases referred within 10 business days to Office of the General Counsel (OGC) for review of firms' timely reporting pursuant to Section 15(b)	TBD	75%
2014BK5.1.1	Communications	Percentage of the population that reports awareness of the CPSC	TBD	Preliminary Baseline
2014BK5.1.2	Communications	Percentage of consumers who report acting on a CPSC safety message	TBD	Preliminary Baseline
2014BK5.2.1	Communications	Number of public information campaigns conducted by CPSC on specifically identified consumer product safety hazards	24	24
2014BK5.2.2	Communications	Number of impressions of CPSC safety messages received by consumers on targeted consumer product safety hazards (in millions)	3,030	3,215
2014BK5.3.1	Communications	Number of impressions of CPSC safety messages received by consumers on priority hazards in vulnerable communities (in millions)	220	425

Appendix C: Acronyms

AFR	Agency Financial Report
APP	Annual Performance Plan
APR	Annual Performance Report
ASTM	American Society for Testing and Materials
ATV	All-Terrain Vehicle
BIEC	Border Interagency Executive Council
CAP	Corrective Action Plan
CBP	U.S. Customs and Border Protection
CDC	U.S. Centers for Disease Control and Prevention
CPSA	Consumer Product Safety Act
CPSC	U.S. Consumer Product Safety Commission
CPSIA	Consumer Product Safety Improvement Act
DHS	U.S. Department of Homeland Security
DOT	U.S. Department of Transportation
EXFM	Office of Financial Management, Planning, and Evaluation
FDA	U.S. Food and Drug Administration
FR	Final Rule
FTE	Full-Time Equivalent
FY	Fiscal Year
GPRA	Government Performance and Results Act of 1993
GPRAMA	GPRA Modernization Act of 2010
HHS	U.S. Department of Health and Human Services
IAG	Interagency Agreement
ITDS	International Trade Data System
NEISS	National Electronic Injury Surveillance System
NGO	Nongovernment Organization
NNI	National Nanotechnology Initiative
NPR	Notice of Proposed Rulemaking
NPTEC	National Product Testing and Evaluation Center
NSF	National Science Foundation
OGC	Office of the General Counsel
OMB	Office of Management and Budget
PBR	Performance Budget Request
R&D	Research & Development
RAM	Risk Assessment Methodology
SOP	Standard Operating Procedure

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