

U.S. Consumer Product Safety Commission

# Fiscal Year 2017 Operating Plan

To implement the FY 2017 Performance Budget Request,  
submitted to Congress on February 9, 2016

---

Approved  
October 19, 2016



CPSC Stands for Safety

Our mission: *Keeping Consumers Safe*

An electronic version of this document is available at:  
[www.CPSC.gov/About-CPSC/Agency-Reports/Performance-and-Budget](http://www.CPSC.gov/About-CPSC/Agency-Reports/Performance-and-Budget)

# U.S. Consumer Product Safety Commission

## FY 2017 Operating Plan - Table of Contents

Page

### Section I - Budget & Performance Measure Tables

|                                                                  |   |
|------------------------------------------------------------------|---|
| Budget Table 1 – FY 2017 Operating Plan Summary of Changes ..... | 1 |
| Budget Table 2 – Funding and FTE by Major Organization .....     | 2 |
| Key Performance Measure Summary .....                            | 3 |

### Section II - Voluntary & Mandatory Standards

|                                   |   |
|-----------------------------------|---|
| Voluntary Standards Summary ..... | 5 |
| Mandatory Standards Summary ..... | 8 |

### Section III – Operating Plan Details for Mission Organizations

|                              |    |
|------------------------------|----|
| Hazard Identification .....  | 10 |
| Compliance .....             | 21 |
| Import Surveillance .....    | 26 |
| International Programs ..... | 29 |
| Communications .....         | 32 |
| Information Technology ..... | 37 |
| Other Offices .....          | 41 |

### Appendix

|                                       |    |
|---------------------------------------|----|
| CPSC 2016 – 2020 Strategic Plan ..... | 44 |
|---------------------------------------|----|

## Budget Table 1: FY 2017 Operating Plan Summary of Changes

(Dollars in millions)

|                                                                     | Dollars        | FTE        |
|---------------------------------------------------------------------|----------------|------------|
| <b>FY 2016 Enacted</b>                                              | <b>\$125.0</b> | <b>567</b> |
| <b>Program Adjustments for Critical Initiatives and Priorities:</b> |                |            |
| 1. Third Party Testing Burden Reduction/Assure Compliance           | -\$1.0         |            |
| 2. Maintain Current Levels in Safety Incident Data-Gathering        | \$0.5          |            |
| 3. Increase Port Presence - Import Surveillance                     | \$3.0          | 15         |
| 4. Healthy Children at Home, at Play, and in School                 | \$3.0          |            |
| <b>FY 2017 Operating Plan</b>                                       | <b>\$130.5</b> | <b>582</b> |

- 1. Third Party Testing Burden Reduction/Assure Compliance (-\$1.0 million):** Due to enactment of the FY 2016 Consolidated Appropriations Act, the CPSC has sufficient existing funding in FY 2017 to complete the planned work on potential related rulemaking, as well as to complete the ongoing Fourier-Transform Infrared (FTIR) spectroscopy commercialization analysis. The FY 2017 operating level has subsequently been adjusted by -\$1.0 million.
- 2. Maintain Current Levels in Safety Incident Data-Gathering (+\$0.5 million):** The \$0.5 million will support the contract cost escalation for the NEISS hospitals and coders' fees, improved functionality to enable Web-based data collection and follow-up of the reported incident data, and updated data retrieval capabilities from the NEISS Web page.
- 3. Increase Port Presence - Import Surveillance (+\$3.0 million):** The \$3.0 million additional funding for the Import Surveillance pilot program will add 15 full-time staff to support the program and expand the CPSC's presence at U.S. ports. This increase in staff will enable the CPSC to have staff coverage at 7 percent of U.S. ports, comprising approximately 65 percent of all consumer product import entry lines. This funding request supports the incremental salary costs for the 15 new staff, the field equipment those employees will need to perform their surveillance duties, and associated support costs.
- 4. Healthy Children at Home, at Play, and in School (+\$3.0 million):** The \$3.0 million will fund applied research on exposure to potential chronic hazards related to nanotechnology in consumer products and crumb rubber (artificial field turf and playgrounds).

Funding increases described in the table above will be deferred until Congress takes final action on the FY 2017 Request and a full-year appropriation is enacted.

For additional information, please see pages 4- 5 of the CPSC's FY 2017 Performance Budget Request (Request), submitted to Congress on February 9, 2016, available at: [www.cpsc.gov/About-CPSC/Agency-Reports/performance-and-budget](http://www.cpsc.gov/About-CPSC/Agency-Reports/performance-and-budget).

## Budget Table 2: Funding and FTE by Major Organization

The operating budget level for each organization in the FY 2017 Operating Plan (column 1) and the corresponding full-time equivalent (FTE) levels (column 2) are shown in the table below.

| (Dollars in Thousands)                                      | FY 2017 Operating Plan |                 |
|-------------------------------------------------------------|------------------------|-----------------|
| Budget Details – FY 2017 Salaries and Expenses              | Column 1<br>Budget     | Column 2<br>FTE |
| Commissioners                                               | \$ 165                 | 21              |
| Office of Hazard Identification & Reduction                 |                        | 170             |
| <i>Office of Hazard Identification</i>                      | \$ 3,226               |                 |
| <i>Laboratory Operations</i>                                | \$ 1,368               |                 |
| <i>Nanotechnology</i>                                       | \$ 4,000               |                 |
| <i>NEISS</i>                                                | \$ 2,750               |                 |
| Office of Compliance & Field Operations                     |                        |                 |
| <i>Compliance – HQ</i>                                      | \$ 363                 | 58              |
| <i>Compliance – Field Operations</i>                        | \$ 1,696               | 103             |
| Office of Import Surveillance                               | \$ 1,830               | 54              |
| Office of International Programs                            | \$ 721                 | 7               |
| Office of Financial Management, Planning & Evaluation       | \$ 1,616               | 27              |
| <i>Financial Audit</i>                                      | \$ 150                 |                 |
| Office of Information & Technology Services                 |                        | 42              |
| <i>Office of Information Technology</i>                     | \$ 80                  |                 |
| <i>IT Infrastructure</i>                                    | \$ 6,955               |                 |
| <i>Commission's Information Systems</i>                     | \$ 4,509               |                 |
| <i>Risk Assessment Methodology – Import</i>                 | \$ 2,600               |                 |
| Office of Human Resources Management                        | \$ 528                 | 11              |
| Office of Facilities Services (excludes Rent/Util/Security) | \$ 1,864               | 10              |
| Office of the Executive Director                            | \$ 84                  | 7               |
| Office of the General Counsel                               | \$ 608                 | 50              |
| Office of the Inspector General                             | \$ 136                 | 7               |
| Office of Communications                                    |                        | 10              |
| <i>Office of Communications</i>                             | \$ 1,650               |                 |
| <i>VGB PSSA Information &amp; Education</i>                 | \$ 1,030               |                 |
| Office of Legislative Affairs                               | \$ 15                  | 3               |
| Office of EEO & Minority Enterprise                         | \$ 43                  | 2               |
| <b>Centrally Managed Costs</b>                              |                        |                 |
| Salaries                                                    | \$ 82,944              |                 |
| Rent/Util/Security                                          | \$ 9,565               |                 |
| Representation Fund                                         | \$ 4                   |                 |
| <b>Total</b>                                                | <b>\$ 130,500</b>      | <b>582</b>      |

  

| Other Available Budgetary Resources- Prior Year                                    | Budget | FTE |
|------------------------------------------------------------------------------------|--------|-----|
| Burden Reduction/Assure Compliance <sup>1</sup> [Enacted in FY 2016 Appropriation] | \$ 485 |     |
| VGB Grants Program <sup>2</sup> [Enacted in FY 2014 Appropriation]                 | \$ 218 |     |

<sup>1</sup> Burden Reduction/Assure Compliance funding is a 2-year appropriation enacted in FY 2016. \$515K obligated as of August 31, 2016.

<sup>2</sup> No-year appropriation enacted in FY 2014. \$782K obligated as of August 31, 2016.

# Key Performance Measure Summary

As part of the FY 2017 Performance Budget Request to Congress (February 2016), the CPSC included in the Request the FY 2017 Budget Key Performance Measures, which aligned with the 2011-2016 Strategic Plan. Approval of the 2016-2020 Strategic Plan in April 2016<sup>3</sup> necessitated staff revising the measures, resulting in the Key Performance Measures (KMs) in the table below. The KMs are reported externally; Operating Measures (OPs) and Milestones are monitored and reported internally and are included in each mission organization's section of the Operating Plan.

| 2016-2020 Strategic Plan<br>Strategic Objective (SO) <sup>4</sup>                                | Key Performance Measure (KM) <sup>4</sup>                                                                                                                          | Lead Office | FY 2017 Target |
|--------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|----------------|
| Goal 1: Workforce    Cultivate the most effective consumer product safety workforce              |                                                                                                                                                                    |             |                |
| SO 1.1 Enhance effective strategic human capital planning and alignment                          | 2017KM1.1.01 Human capital strategic plan completed                                                                                                                | EXRM        | 1              |
| SO 1.2 Foster a culture of continuous development                                                | 2017KM1.2.01 Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey)                   |             | 71%            |
| SO 1.3 Attract and recruit a talented and diverse workforce                                      | 2017KM1.3.01 Percentage of hiring managers trained on recruitment                                                                                                  |             | 50%            |
| SO 1.4 Increase employee engagement                                                              | 2017KM1.4.01 Federal Employee Viewpoint Survey Employee Engagement Index Score                                                                                     |             | 70%            |
| Goal 2: Prevention    Prevent hazardous products from reaching consumers                         |                                                                                                                                                                    |             |                |
| SO 2.1 Improve identification and assessment of hazards to consumers                             | 2017KM2.1.01 Percentage of consumer product-related incident reports warranting follow-up actions                                                                  | EXHR        | Baseline       |
|                                                                                                  | 2017KM2.1.02 Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards*      |             | 11             |
|                                                                                                  | 2017KM2.1.03 Percentage of consumer product-related injury cases correctly captured at NEISS hospitals*                                                            |             | 90%            |
|                                                                                                  | 2017KM2.1.04 Number of collaborations established or maintained with other organizations to work on nanotechnology research or issues affecting consumer products* |             | 5              |
| SO 2.2 Lead efforts to improve the safety of consumer products before they reach the marketplace | 2017KM2.2.01 Number of voluntary standards activities in which CPSC staff actively participates*                                                                   | EXHR        | 75             |
|                                                                                                  | 2017KM2.2.02 Number of candidates for rulemaking prepared for Commission consideration*                                                                            |             | 23             |
|                                                                                                  | 2017KM2.2.03 Violation rate of target repeat offenders and first-time importers                                                                                    | EXIS        | Baseline       |
|                                                                                                  | 2017KM2.2.04 Percentage of foreign-based industry representatives indicating increased understanding after CPSC training*                                          | EXIP        | 90%            |
|                                                                                                  | 2017KM2.2.05 Percentage of foreign regulatory agency representatives indicating increased understanding of CPSC procedures after CPSC training*                    |             | 90%            |

<sup>3</sup> For an overview of the 2016-2020 Strategic Plan, please see the Appendix.

<sup>4</sup> Progress toward each strategic objective is measured by its corresponding KMs. The CPSC's new strategic plan listed a total of 16 KMs at the time of its approval. Of those 16 KMs, one has been deleted, and 14 new KMs have been created since the approval, resulting in a total of 29 KMs for FY 2017. Each new KM is marked with an asterisk (\*) in this table.

| 2016-2020 Strategic Plan<br>Strategic Objective (SO) <sup>4</sup>                                                         | Key Performance Measure (KM) <sup>4</sup>                                                                                                                                       | Lead Office | FY 2017 Target |
|---------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|----------------|
|                                                                                                                           | <b>2017KM2.2.06</b> Percentage of inbound exchange fellows indicating increased understanding of CPSC best practices after CPSC training*                                       |             | 100%           |
| <b>SO 2.3</b> Increase capability to identify and stop imported hazardous consumer products                               | <b>2017KM2.3.01</b> Percentage of consumer product imports, identified as high-risk, examined at import                                                                         | EXIS        | Baseline       |
|                                                                                                                           | <b>2017KM2.3.02</b> Percentage of import shipments processed through the Risk Assessment Methodology (RAM) pilot system that are cleared within one business day*               |             | 99%            |
|                                                                                                                           | <b>2017KM2.3.03</b> Percentage of consumer product import entries that are risk-scored by the CPSC                                                                              |             | Baseline       |
|                                                                                                                           | <b>2017KM2.3.04</b> Number of import examinations completed*                                                                                                                    |             | 40,000         |
| <b>Goal 3: Response</b> Respond quickly to address hazardous consumer products both in the marketplace and with consumers |                                                                                                                                                                                 |             |                |
| <b>SO 3.1</b> Rapidly identify hazardous consumer products for enforcement action                                         | <b>2017KM3.1.01</b> Percentage of cases for which a preliminary determination is made within 85 business days of the case opening                                               | EXC         | Baseline       |
|                                                                                                                           | <b>2017KM3.1.02</b> Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection                     |             | Baseline       |
| <b>SO 3.2</b> Minimize further exposure to hazardous consumer products                                                    | <b>2017KM3.2.01</b> Percentage of cases for which a corrective action is accepted within 60 business days of preliminary determination*                                         | EXC         | Baseline       |
|                                                                                                                           | <b>2017KM3.2.02</b> Percentage of cases for which a firm is first notified of a regulatory violation within 40 business days from sample collection*                            |             | Baseline       |
|                                                                                                                           | <b>2017KM3.2.03</b> Percentage of Fast-Track cases with corrective actions initiated within 20 business days*                                                                   |             | 90%            |
| <b>SO 3.3</b> Improve consumer response to consumer product recalls                                                       | <b>2017KM3.3.01</b> Recall effectiveness rate for all consumer product recalls during this fiscal year                                                                          | EXC         | Baseline       |
| <b>Goal 4: Communications</b> Communicate useful information quickly and effectively to better inform decisions           |                                                                                                                                                                                 |             |                |
| <b>SO 4.1</b> Improve usefulness and availability of consumer product safety information                                  | <b>2017KM4.1.01</b> Percentage of positive responses about usefulness of information received from CPSC communication channels                                                  | OCM         | Baseline       |
| <b>SO 4.2</b> Increase dissemination of useful consumer product safety information                                        | <b>2017KM4.2.01</b> Number of impressions of CPSC safety messages (millions)                                                                                                    | OCM         | 11,150         |
|                                                                                                                           | <b>2017KM4.2.02</b> Average number of business days between establishment of first draft and issuance of recall press release for the most timely 90% of recall press releases* |             | 18             |
|                                                                                                                           | <b>2017KM4.2.03</b> Number of CPSC social media safety messages with which stakeholders engage                                                                                  |             | Baseline       |
| <b>SO 4.3</b> Increase and enhance collaboration with stakeholders                                                        | <b>2017KM4.3.01</b> Number of collaboration activities initiated with stakeholder groups                                                                                        | OCM         | 25             |

*Notes:*

- **Baseline:** For new measures, data will be collected to establish a baseline value for FY 2017, and future annual targets will be established on the basis of that baseline value.
- Additional information on the agency's earlier key performance measures is provided on the CPSC's website at: [www.cpsc.gov/About-CPSC/Agency-Reports/performance-and-budget](http://www.cpsc.gov/About-CPSC/Agency-Reports/performance-and-budget). The most recent publication of detailed performance on those former performance measures can be found at: [www.cpsc.gov/Global/About-CPSC/Budget-and-Performance/FY2015APR.pdf](http://www.cpsc.gov/Global/About-CPSC/Budget-and-Performance/FY2015APR.pdf).

## Voluntary Standards Summary

---

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

*Statutory Requirement:* The CPSC’s statutory authority requires the agency to rely on voluntary standards rather than promulgate mandatory regulations, if compliance with a voluntary standard would eliminate or adequately reduce the risk of injury identified, and it is likely that there will be substantial compliance with the voluntary standard. CPSC staff works with organizations that coordinate the development of voluntary standards.

*FY 2017 Activities:* Voluntary standards activity is an ongoing process that may involve multiple revisions to a standard within 1 year or over multiple years; and such activity may continue in subsequent years, depending on the activities of the voluntary standards committees and priorities of the Commission.

CPSC staff expects to participate actively in voluntary standards activities for the products listed in the table on the pages to follow. Active participation extends beyond attendance at meetings and may include, among other things, providing injury data and hazard analyses; encouraging development or revision of voluntary standards; identifying specific risks of injury; performing research; developing health science data; performing laboratory technical assistance; and/or taking other actions that the Commission, in a particular situation, determines may be appropriate. A list of these activities can be found at 16 C.F.R. §1031.7.

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



## Voluntary Standards Summary Table

| Product                                                                                                                                                                                                                              |                                                 | FY 2017 Request | FY 2017 Op Plan |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------|-----------------|
| <b>Voluntary Standards Activities Related to Existing CPSC Regulations Issued Under the CPSIA, as amended by Pub. L. No. 112-28, and including the Danny Keysar Child Product Safety Notification Act (Section 104 of the CPSIA)</b> |                                                 |                 |                 |
| 1                                                                                                                                                                                                                                    | ATVs                                            | •               | •               |
| 2                                                                                                                                                                                                                                    | Bassinets/Cradles                               | •               | •               |
| 3                                                                                                                                                                                                                                    | Bed Rails (Children's)                          | •               | •               |
| 4                                                                                                                                                                                                                                    | Bedside Sleepers                                | •               | •               |
| 5                                                                                                                                                                                                                                    | Child Frame Carriers                            | •               | •               |
| 6                                                                                                                                                                                                                                    | Commercial Cribs                                | •               | •               |
| 7                                                                                                                                                                                                                                    | Full-Size Cribs                                 | •               | •               |
| 8                                                                                                                                                                                                                                    | Handheld Carriers                               | •               | •               |
| 9                                                                                                                                                                                                                                    | Infant Bath Seats                               | •               | •               |
| 10                                                                                                                                                                                                                                   | Infant Swings                                   | •               | •               |
| 11                                                                                                                                                                                                                                   | Infant Walkers                                  | •               | •               |
| 12                                                                                                                                                                                                                                   | Non-Full-Size Cribs and Play Yards              | •               | •               |
| 13                                                                                                                                                                                                                                   | Phthalates                                      | •               | •               |
| 14                                                                                                                                                                                                                                   | Soft Carriers                                   | •               | •               |
| 15                                                                                                                                                                                                                                   | Strollers                                       | •               | •               |
| 16                                                                                                                                                                                                                                   | Toddler Beds                                    | •               | •               |
| 17                                                                                                                                                                                                                                   | Toys                                            | •               | •               |
| <b>Voluntary Standards Activities Related to Existing CPSC Regulations</b>                                                                                                                                                           |                                                 |                 |                 |
| 18                                                                                                                                                                                                                                   | Child-Resistant Packaging                       | •               | •               |
| 19                                                                                                                                                                                                                                   | Fireworks                                       | •               | •               |
| 20                                                                                                                                                                                                                                   | Garage Door Operators                           | •               |                 |
| 21                                                                                                                                                                                                                                   | Gasoline Containers                             | •               | •               |
| 22                                                                                                                                                                                                                                   | Swimming Pools/Spas Drain Entrapment            | •               | •               |
| 23                                                                                                                                                                                                                                   | Swimming Pools/Spas Safety Vacuum Relief System |                 | •               |
| <b>Voluntary Standards Activities Related to Petitions</b>                                                                                                                                                                           |                                                 |                 |                 |
| 24                                                                                                                                                                                                                                   | Adult Portable Bed Rails                        | •               | •               |
| 25                                                                                                                                                                                                                                   | Candles and Candle Accessories                  | •               | •               |
| 26                                                                                                                                                                                                                                   | Crib Bumpers                                    | •               | •               |
| 27                                                                                                                                                                                                                                   | Torch Fuel Containers                           |                 | •               |
| <b>Voluntary Standards Activities Related to Rule Review Projects</b>                                                                                                                                                                |                                                 |                 |                 |
| 28                                                                                                                                                                                                                                   | Mattresses                                      | •               | •               |
| <b>Voluntary Standards Activities Related to Ongoing Rulemakings Under CPSIA, as amended by Pub. L. No. 112-28, and including the Danny Keysar Child Product Safety Notification Act (Section 104 of the CPSIA)</b>                  |                                                 |                 |                 |
| 29                                                                                                                                                                                                                                   | Booster Seats                                   | •               | •               |
| 30                                                                                                                                                                                                                                   | Changing Tables                                 | •               | •               |
| 31                                                                                                                                                                                                                                   | Children's Folding (Youth) Chairs and Stools    | •               | •               |
| 32                                                                                                                                                                                                                                   | High Chairs                                     | •               | •               |
| 33                                                                                                                                                                                                                                   | Hook-on Chairs                                  | •               | •               |
| 34                                                                                                                                                                                                                                   | Infant Bath Tubs                                | •               | •               |
| 35                                                                                                                                                                                                                                   | Infant Bouncers                                 | •               | •               |
| 36                                                                                                                                                                                                                                   | Infant Gates and Other Enclosures               | •               | •               |
| 37                                                                                                                                                                                                                                   | Infant Inclined Sleep Products                  | •               | •               |
| 38                                                                                                                                                                                                                                   | Infant Slings                                   | •               | •               |
| 39                                                                                                                                                                                                                                   | Stationary Activity Centers                     | •               | •               |
| 40                                                                                                                                                                                                                                   | Window Coverings                                | •               | •               |

| Product                                                                                     |                                                                             | FY 2017 Request       | FY 2017 Op Plan |
|---------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|-----------------------|-----------------|
| <b>Voluntary Standards Activities Related to Ongoing or Potential Rulemaking Activities</b> |                                                                             |                       |                 |
| 41                                                                                          | Flammable Liquids (Material Handling) (now includes Fuel Gels)              |                       | •               |
| 42                                                                                          | Portable Fireplaces (now includes Firepots and Unvented Alcohol Appliances) | •                     | •               |
| 43                                                                                          | Portable Generators                                                         | •                     | •               |
| 44                                                                                          | Power Equipment (Table Saws)                                                | •                     | •               |
| 45                                                                                          | Recreational Off-Highway Vehicles (ROVs)                                    | •                     | •               |
| 46                                                                                          | Upholstered Furniture                                                       | •                     | •               |
| <b>Other Planned Voluntary Standards Activities</b>                                         |                                                                             |                       |                 |
| 47                                                                                          | Baby Monitors                                                               | •                     | •               |
| 48                                                                                          | Batteries, Button, Lithium, Cell                                            | •                     | •               |
| 49                                                                                          | Carbon Monoxide (CO) Alarms                                                 | •                     | •               |
| 50                                                                                          | Clothes Dryers                                                              | •                     | •               |
| 51                                                                                          | Cooktops                                                                    | •                     |                 |
| 52                                                                                          | Electrical Heaters                                                          | •                     |                 |
| 53                                                                                          | Flammable Refrigerants                                                      | •                     | •               |
| 54                                                                                          | Formaldehyde in MDF                                                         |                       | •               |
| 55                                                                                          | Formaldehyde in Particleboard                                               |                       | •               |
| 56                                                                                          | Fuel Tanks, Leakage                                                         | •                     | •               |
| 57                                                                                          | Furnaces (CO Sensors)                                                       | •                     | •               |
| 58                                                                                          | Furniture Tip Overs                                                         | •                     | •               |
| 59                                                                                          | Gas Grills                                                                  | •                     |                 |
| 60                                                                                          | Gasoline Containers (Flame Arrestors)                                       | •                     | •               |
| 61                                                                                          | Glass Front Gas Fireplaces                                                  | •                     |                 |
| 62                                                                                          | Inflatable Play Devices                                                     | •                     | •               |
| 63                                                                                          | Laundry and Dishwasher Packets                                              | •                     | •               |
| 64                                                                                          | Mowers                                                                      | •                     |                 |
| 65                                                                                          | Nanotechnology                                                              | •                     | •               |
| 66                                                                                          | National Electrical Code                                                    | •                     | •               |
| 67                                                                                          | Non-Integral Firearm Locking Devices                                        |                       | •               |
| 68                                                                                          | Phthalate Testing Methods                                                   |                       | •               |
| 69                                                                                          | Playground Equipment (Children under 2 years)                               | •                     |                 |
| 70                                                                                          | Playground Equipment (Home)                                                 | •                     | •               |
| 71                                                                                          | Playground Equipment (Public)                                               | •                     | •               |
| 72                                                                                          | Playground Surfacing                                                        | •                     | •               |
| 73                                                                                          | Pools, Portable Unprotected (Child Drowning)                                | •                     | •               |
| 74                                                                                          | Ranges (Tip Over)                                                           | •                     |                 |
| 75                                                                                          | Ranges, Gas (Control Panels)                                                | •                     | •               |
| 76                                                                                          | Recreational Headgear                                                       | •                     | •               |
| 77                                                                                          | Safety Locks and other household child-inaccessibility devices              |                       | •               |
| 78                                                                                          | Self-balancing Scooters and Light Electric Vehicles                         |                       | •               |
| 79                                                                                          | Smoke Alarms                                                                | •                     | •               |
| 80                                                                                          | Spray Polyurethane Foam Insulation                                          | •                     | •               |
| 81                                                                                          | Tents                                                                       |                       | •               |
| 82                                                                                          | Trampolines                                                                 | •                     |                 |
| 83                                                                                          | Washing Machines, Front Loading                                             | •                     |                 |
| 84                                                                                          | Washing Machines, Top Loading                                               |                       | •               |
| 85                                                                                          | Youth-Resistant Firearm Security Containers                                 |                       | •               |
| <b>Grand Total</b>                                                                          |                                                                             | <b>73<sup>5</sup></b> | <b>75</b>       |

<sup>5</sup> The difference between the total of 74 on page 32 of CPSC's FY 2017 Performance Budget Request and the FY 2017 Request column total of 73 shown here is due to combining the Torch Fuel and Lamp Oil product standard and the Firepot and Fuel Gels product standard into one product standard.

# Mandatory Standards Summary

---

**Definition:** Mandatory regulations, also called technical regulations, are federal rules set by statute or regulation that define requirements for consumer products. They typically take the form of performance requirements that consumer products must meet or warnings they must display to be imported, distributed, or sold in the United States.

**Statutory Requirement:** The CPSC may set a mandatory regulation when it determines that compliance with a voluntary standard would not eliminate or adequately reduce a risk of injury or finds that it is unlikely that there will be substantial compliance with a voluntary standard.<sup>6</sup> The Commission may also promulgate a mandatory ban of a hazardous product when it determines that no feasible voluntary standard or mandatory regulation would adequately protect the public from an unreasonable risk of injury.

**FY 2017 Activities:** CPSC staff plans to work on the projects listed in the table on the next page. This work will involve continuation of rulemaking activities related to the CPSIA, as well as other laws, and the work will include data analysis and technical activities supporting ongoing or potential future rulemaking activities.

| Key to Table                                                                                                                                                                                               |                                       |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|
| The term ANPR, NPR, or FR indicates that a briefing package with a draft ANPR, draft NPR, or draft FR was or will be submitted to the Commission. It does not indicate the final action of the Commission. |                                       |
| <b>ANPR</b>                                                                                                                                                                                                | Advance notice of proposed rulemaking |
| <b>NPR</b>                                                                                                                                                                                                 | Notice of proposed rulemaking         |
| <b>FR</b>                                                                                                                                                                                                  | Final rule                            |
| <b>BP</b>                                                                                                                                                                                                  | Briefing package                      |
| <b>DA/TR</b>                                                                                                                                                                                               | Data analysis and/or technical review |
| *                                                                                                                                                                                                          | Carryover from FY 2016                |
| **                                                                                                                                                                                                         | To update reference in CFR to F963-16 |

---

<sup>6</sup> The CPSIA requires the Commission to promulgate mandatory regulations by adopting existing voluntary standards (in whole or in part) for some products, such as durable infant or toddler products, children's toys, and all-terrain vehicles. For additional information, please refer to the CPSIA at: <https://www.cpsc.gov/Regulations-Laws-Standards/Statutes/The-Consumer-Product-Safety-Improvement-Act>.

## Mandatory Standards Summary Table

| Items by Major Categories                                                                                                         |                                                                   | FY 2017 Request | FY 2017 Op Plan |
|-----------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|-----------------|-----------------|
| <b>CPSIA, as amended by Pub. L. No. 112-28, and including Section 104, the Danny Keysar Child Product Safety Notification Act</b> |                                                                   |                 |                 |
|                                                                                                                                   | ATVs - Conspicuity                                                | FR              | NPR             |
|                                                                                                                                   | ATVs - Other                                                      |                 | DA/TR           |
|                                                                                                                                   | Booster Seats                                                     | NPR             | NPR             |
|                                                                                                                                   | Changing Tables                                                   | FR              | FR              |
|                                                                                                                                   | Children's Folding (Youth) Chairs and Stools                      |                 | FR*             |
|                                                                                                                                   | Consumer Registration Requirement for Crib Bumpers                |                 | DA/TR           |
|                                                                                                                                   | Crib Bumpers                                                      |                 | DA/TR           |
|                                                                                                                                   | Gates and Other Enclosures                                        | FR              | NPR*            |
|                                                                                                                                   | High Chairs                                                       |                 | FR*             |
|                                                                                                                                   | Infant Bath Tubs                                                  |                 | FR*             |
|                                                                                                                                   | Infant Bouncer Seats                                              |                 | FR*             |
|                                                                                                                                   | Infant Inclined Sleep Products                                    | FR              | NPR*            |
|                                                                                                                                   | Infant Slings                                                     |                 | FR*             |
|                                                                                                                                   | Phthalates                                                        |                 | FR*             |
|                                                                                                                                   | Stationary Activity Centers                                       | FR              | NPR             |
| <b>Rule Review</b>                                                                                                                |                                                                   |                 |                 |
|                                                                                                                                   | Certificates of Compliance – 1110 Rule – E.O. 13659               | DA/TR           |                 |
|                                                                                                                                   | Fireworks                                                         | FR              | NPR*            |
|                                                                                                                                   | Lead                                                              | DA/TR           | BP*             |
|                                                                                                                                   | Mattresses                                                        | DA/TR           | BP*             |
| <b>Other Ongoing or Potential Rulemaking-Related Activities</b>                                                                   |                                                                   |                 |                 |
|                                                                                                                                   | Adjudicative Rules (OGC)                                          |                 | DA/TR           |
|                                                                                                                                   | Adult Portable Bed Rails Petition                                 | DA/TR           | BP              |
|                                                                                                                                   | Bedclothes Flammability                                           | DA/TR           |                 |
|                                                                                                                                   | Burden Reduction/Assure Compliance                                | NPR, FR         | NPR, FR         |
|                                                                                                                                   | F963 Toys                                                         |                 | BP, NPR**       |
|                                                                                                                                   | Flammability of Silk Petition                                     | DA/TR           |                 |
|                                                                                                                                   | Flooring Petition                                                 |                 | BP*             |
|                                                                                                                                   | FOIA Update (OGC)                                                 |                 | NPR             |
|                                                                                                                                   | FR Chemical Petition                                              | DA/TR           |                 |
|                                                                                                                                   | Furniture Tip-Over                                                |                 | BP*, ANPR       |
|                                                                                                                                   | Information Disclosure Under Section 6b of the CPSIA – 1101 (OGC) |                 | FR              |
|                                                                                                                                   | Methylene Chloride Petition                                       |                 | BP              |
|                                                                                                                                   | Organohalogens Petition                                           |                 | BP*             |
|                                                                                                                                   | Portable Fireplaces                                               | DA/TR           | DA/TR           |
|                                                                                                                                   | Portable Generators                                               | FR              | NPR*            |
|                                                                                                                                   | Recreational Off-Highway Vehicles (ROVs)                          |                 |                 |
|                                                                                                                                   | Residential Elevators Petition                                    | DA/TR           | BP*             |
|                                                                                                                                   | Substantial Product Hazard List – 15(j) Rule                      | NPR             |                 |
|                                                                                                                                   | Supplemental Mattresses Petition                                  | DA/TR           | BP*             |
|                                                                                                                                   | Table Saws                                                        | FR              | NPR*            |
|                                                                                                                                   | Upholstered Furniture                                             | FR              | DA/TR           |
|                                                                                                                                   | Vacuum Diffuser Petition                                          | DA/TR           |                 |
|                                                                                                                                   | Voluntary Recall (EXC/OCM)                                        |                 | FR*             |
|                                                                                                                                   | Voluntary Standards Participation (1031)                          | DA/TR           |                 |
|                                                                                                                                   | Window Coverings                                                  | NPR             | NPR             |
| <b>Number of candidates for rulemaking (ANPR, NPR, and FR)</b>                                                                    |                                                                   | <b>14</b>       | <b>23</b>       |

## Office of Hazard Identification and Reduction (EXHR)

George Borlase, AED

### 1. Resource Summary

|                                                 | FY 2017 Operating Plan   |            |
|-------------------------------------------------|--------------------------|------------|
|                                                 | Budget<br>(in thousands) | FTE        |
| Office of Hazard Identification and Reduction   | \$ 3,226                 | 170        |
| Laboratory Operations                           | \$ 1,368                 |            |
| Nanotechnology                                  | \$ 4,000                 |            |
| NEISS                                           | \$ 2,750                 |            |
| <b>Total</b>                                    | <b>\$ 11,344</b>         | <b>170</b> |
| Burden Reduction/Assure Compliance <sup>7</sup> | \$ 485                   |            |

### 2. Overview and Key Priorities

The Office of Hazard Identification and Reduction (EXHR) is a Co-Goal Leader for Strategic Goal 2 (Prevention) and Strategic Goal 3 (Response) and is responsible for managing the CPSC's Hazard Identification and Analysis (HIA) Program and its Hazard Assessment and Reduction (HAR) Program. EXHR develops and implements the agency's annual operating plan for those two hazard programs. The operating plan generally includes the following activities:

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

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

#### FY 2017 Priority Activities<sup>8</sup>:

- Enhance software (server SAS, text mining, and pattern recognition) (SO 2.1)
- Recruit new hospitals to join NEISS (SO 2.1)
- Initiate the establishment of the NIEHS-led nanotechnology center (SO 2.1)
- Conduct a hazard analysis and quantitative risk assessment on crumb rubber in playgrounds (SO 2.1)
- Develop a staff Voluntary Standards Training program (SO 2.2)

<sup>7</sup> 2-year appropriation of \$1M enacted in FY 2016. \$515K obligated as of August 31, 2016.

<sup>8</sup> Each of the priority activities ties to a strategic objective (SO), annotated at the bullet-point ending. For the complete list of FY 2017 Priority Activities, please see the Appendix.

### 3. Strategic Plan Alignment and Project Summary

| FY 2017 Project |                                                                      | Strategic Goal |
|-----------------|----------------------------------------------------------------------|----------------|
| 11179           | National Electronic Injury Surveillance System (NEISS)               | 2              |
| 11282           | Mortality/Incident Data                                              | 2              |
| 12165           | Investigations                                                       | 2              |
| 13327           | Emerging Hazards                                                     | 2              |
| 13329           | Integrated Teams                                                     | 2              |
| 13330           | Data Intake and Clearinghouse                                        | 2              |
| 13331           | Petitions, OLA Support, and Other Unplanned Hazard Work              | 2              |
| 14125           | Economics Studies                                                    | 2              |
| 21498           | Upholstered Furniture Flammability Rulemaking                        | 2              |
| 21518           | Electrical Hazards: Voluntary Standards and Codes                    | 2              |
| 21725           | Fire Hazards/Voluntary Codes and Standards                           | 2              |
| 21726           | Fire Hazards: Rulemaking Activities                                  | 2              |
| 22560           | Children's/Nursery Product Hazards: Voluntary Standards              | 2              |
| 22637           | All-Terrain Vehicles (ATVs)                                          | 2              |
| 22638           | Recreational Off-Highway Vehicles (ROVs)                             | 2              |
| 22640           | Older Consumer Safety Hazards                                        | 2              |
| 22644           | Window Coverings Petition                                            | 2              |
| 22646           | Table Saws                                                           | 2              |
| 22666           | Mechanical Hazards: Voluntary Codes and Standards                    | 2              |
| 22667           | Mechanical Hazards: Rulemaking Activities (General Use Products)     | 2              |
| 22727           | Children's/Nursery Product Hazards: Rulemaking Activities            | 2              |
| 23258           | Chemical Hazards: Voluntary Standards                                | 2              |
| 23259           | Chemical Hazards: Rulemaking Activities                              | 2              |
| 23335           | Combustion (Carbon Monoxide) Hazards: Voluntary Standards Activities | 2              |
| 23336           | Combustion (Carbon Monoxide) Hazards: Rulemaking Activities          | 2              |
| 23704           | Nanotechnology                                                       | 2              |
| 24013           | Laboratory Equipment and Operations Support                          | 2              |
| 24505           | EXHR Project Support                                                 | 2              |
| 25720           | Regulatory Management                                                | 2              |
| 25723           | Lab Accreditation (CPSIA § 102)                                      | 2              |
| 25727           | Burden Reduction/Assure Compliance                                   | 2              |
| 25777           | EXHR Leadership and Administration                                   | 2              |
|                 | Program to Support Consumer Input in Voluntary Standards Proceedings | 2              |
|                 | Import Activities                                                    | 2              |

### **11179 - National Electronic Injury Surveillance System (NEISS)**

This project includes activities associated with the NEISS. These activities provide the initial hazard and injury reports that support virtually all Commission actions. The NEISS activity covers the identification and abstraction of approximately 400,000 consumer product related injury reports annually from medical records. These records, from a statistical probability sample of about 96 hospital emergency departments, support national estimates of the number, severity, and related consumer product injury trends. These estimates inform both voluntary and mandatory standards development.

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

- Quality and capture of consumer product hazard/injury incident data;
- Statistically sound national injury estimates; and
- Publicly available incident data and annual characterizations of injury and hazard patterns.

For FY 2017, the CPSC has requested funds to enhance the functionality and utility of consumer product-related emergency department treated injury information collected from NEISS hospitals. These enhancements include two feasibility assessment projects and one project to expand selected fields of information captured from medical records:

- Assess and, if feasible, implement a new mode of collecting hazard scenario information for selected cases, in addition to the telephone interviews, which are currently the only mode of information collection. This mode will increase overall response rates by making available an Internet collection mode to target population subgroups that are less likely to participate by telephone and more likely to respond via a secure Internet inquiry.
- Assess the feasibility of statistical modeling of NEISS injury data in conjunction with

population data from the U.S. Census Bureau and Healthcare Cost and Utilization Project (HCUP) data from the U.S. Department of Health and Human Services (HHS) to produce consumer product-related seasonal, regional, or sociodemographic group injury estimates. This method, known as small area estimation, will likely facilitate targeted mitigation strategies, thus increasing efficacy and reducing costs.

- Expand the amount of information abstracted from emergency department medical records. This includes expanding the length of the narrative field; modifying race and ethnicity variables to align with those used by the U.S. Census Bureau; and adding the ability to capture secondary injuries.

Although these proposed FY 2017 enhancements to NEISS will expand the types of technically sound and scientifically defensible injury estimates available to support Commission decision, the projects will be deferred until Congress takes final action on the FY 2017 Request and a full-year appropriation is enacted.

### **11282 - Mortality/Incident Data**

This project includes collection of anecdotal, mortality, and incident data associated with consumer products. This project covers resources for the identification and coding of:

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

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

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

### **12165 - Investigations**

This project provides resources for about 2,000 telephone investigations and on-site investigations of product-related hazards identified by CPSC staff for in-depth study. Because initial reports from consumer complaints, news clips, the Medical Examiners and Coroners Project (MECAP), NEISS, and

death certificates generally lack specific details about the incident and the product, follow-up investigations are needed to determine how injuries happen, and to provide specific information about the products involved in incidents. This project covers the assignment, performance, review, and disposition of investigation reports. The resulting reports are available for use by analysts inside and outside of the CPSC.

#### **13327 - Emerging Hazards**

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

#### **13329 - Integrated Teams**

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

#### **13330 - Data Intake and Clearinghouse**

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

- Performing coding, data entry, and quality control of reports to be included in the CPSC's public database ([www.SaferProducts.gov](http://www.SaferProducts.gov)) and/or its internal database;
- Requesting verification of reports and consent for publication from submitters;
- Determining eligibility of reports for posting on [www.SaferProducts.gov](http://www.SaferProducts.gov);
- Providing notification to manufacturers under Sections 6(c) and 6A of the Consumer Product Safety Act (CPSA) of reports that describe a hazardous incident or safety concern associated with one of their products

- Processing confidential information claims, claims of material inaccuracy, and general comments related to reports posted or to be posted on [www.SaferProducts.gov](http://www.SaferProducts.gov);
- Providing customer support to users of the CPSC's Business Portal;
- Responding to requests for injury data; and
- Developing computer programs used for reporting on database operations and status.

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

This project provides resources for activities related to hazard-related project work pertaining to petitions that are submitted by consumers and other outside parties. Once the petitions are docketed, they are evaluated by CPSC staff, who then provides to the Commission a briefing package (BP) with an initial recommendation to grant, deny, or defer the petition. This project also includes responding to requests for information from the Office of Legislative Affairs (OLA), as well as any other unplanned hazard work.

#### **14125 - Economics Studies**

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

#### **21498 - Upholstered Furniture Flammability Rulemaking**

This project provides resources for developing standards to reduce the fire risk from ignitions of upholstered furniture.

In FY 2017, staff will work with California Bureau of Electronic and Appliance Repair,



Home Furnishings and Thermal Insulation (BEARHFTI) staff, as well as in the voluntary standard developments organizations, to improve upon and further refine the technical aspects of 117-2013. While pursuing fire safety through voluntary standards efforts, staff shall support development of a voluntary standard that can be achieved without exposure to toxic chemicals either from the furniture itself or through combustion of the furniture.

#### **21518 - Electrical Hazards: Voluntary Standards and Codes**

This project provides resources for the following voluntary standards activities:

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

The Commission also has directed staff to perform additional work to address the emerging and ongoing hazards associated with high energy density batteries, including but not limited to enforcement, voluntary and mandatory standards work, import surveillance and compliance, and industry, interagency and intergovernmental cooperation. This project shall address the emerging and ongoing hazards associated with devices powered by high energy density batteries, including but not limited to lithium-ion, lithium polymer and lithium iron phosphate batteries, as well as system safety features that ensure high energy density batteries, battery packs, safety circuits, end products and chargers all work together to achieve safe operation for the intended application. This work will inform future budgets and operating plans.

#### **21725 - Fire Hazards: Voluntary Codes and Standards**

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

- Fire loss estimate annual data update;
- Fire voluntary standards; and
- Fireworks annual data update.

#### **21726 - Fire Hazards: Rulemaking Activities**

This project provides resources for rulemaking activities related to maintaining FFA, FHSA, and CPSC regulations current and consistent with the CPSC fire hazard program goals and industry practices. Activities for FY 2017 include:

- Portable Fireplaces; and
- Fireworks NPR.

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

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

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

#### **22637 - All-Terrain Vehicles (ATVs)**

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

FY 2017 activities under this project include:

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

### **22638 - Recreational Off-Highway Vehicles (ROVs)**

Consistent with Congressional direction, there are no staff activities to finalize a mandatory regulatory standard for ROVs at this time.

### **22640 - Older Consumer Safety Hazards**

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

### **22644 - Window Coverings**

This project provides resources for activities related to the rulemaking to mandate a standard to address the risk of strangulation from corded window coverings.

### **22646 - Table Saws**

This project provides resources for activities associated with completing the NPR and post-NPR work as appropriate to address table saw blade contact injuries.

### **22666 - Mechanical Hazards: Voluntary Codes and Standards**

In FY 2017, CPSC staff will participate in activities related to the development and revision of voluntary standards for consumer products under CPSC jurisdiction. Among these products are All-Terrain Vehicles (ATVs), ROVs, bicycles, garage door operators, adult bed rails, power equipment (table saws), riding mowers, recreational headgear, gas cans, inflatable play devices, and playground equipment.

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

This project is for developing regulations to reduce deaths and injuries from mechanical hazards associated with products not specifically intended for children. Planned FY 2017 activities include submission of a BP on furniture tip-overs and an advanced notice of proposed rulemaking (ANPR).

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

Section 104 of the CPSIA, the Danny Keysar Child Product Safety Notification Act, requires the CPSC to study and develop safety

standards for durable infant and toddler products. The Commission can prioritize its work on these products, but must promulgate two rules every six months until all of the subject products have a mandatory safety standard.

This project covers rulemaking activities related to these products: booster seats, children's folding chairs and stools, high chairs, changing tables, gates and other enclosures, infant bath tubs, infant bouncer seats, infant inclined sleep products, infant slings, stationary activity centers, and crib bumpers.

The Commission has directed staff to initiate a rulemaking under section 104 of the CPSIA to promulgate a mandatory consumer product safety standard that will address the risk of injury associated with the use of padded crib bumpers. This project shall produce:

- An NPR package in FY 2018 that proposes to include crib bumpers as “durable infant or toddler products” requiring consumer registration under section 104(d) of the CPSIA; and
- An NPR package in FY 2018 that proposes a mandatory consumer product safety standard for crib bumpers under section 104 of the CPSIA that is more stringent than the current ASTM voluntary standard and will further reduce the risk of injury associated with this product. This package shall address all or as many as possible of the following hazard patterns associated with padded crib bumpers: (1) suffocation; (2) wedging and entrapment; (3) falls; (4) use patterns such as installation difficulties, using crib bumpers for children past the recommended age and using crib bumpers outside of a crib; and (5) mixed messaging about padded objects in cribs. In developing a proposed standard, staff shall, at a minimum: (1) develop a performance requirement and test method to show that a crib bumper is firm enough not to conform to the face of an infant, based on known anthropometric parameters; (2) develop a performance requirement and test method based on known infant inhalation and exhalation requirements and anthropometric parameters to demonstrate that a crib bumper matches or exceeds the airflow characteristics of mesh or mesh-like materials, taking into account the safety of

infants with compromised breathing; and (3) compose warnings and instructions on the product that explain all of the types of cribs on which the product can and cannot be installed, clear advice about how to install the product and at what age of the child to stop using the product.

This project also includes activities related to *Age Determination Guidelines*.

#### **23258 - Chemical Hazards: Voluntary Standards**

This project provides resources for the following voluntary standards activities:

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

This project includes research as part of a crumb rubber interagency taskforce, including conducting a hazard analysis and quantitative risk assessment (note: additional funding for crumb rubber was included in the FY 2017 Request and work associated with that funding will be deferred until Congress takes final action on the FY 2017 Request and a full-year appropriation is enacted). Additionally, this project includes voluntary standards activity related to the torch fuel containers petition.

#### **23259 - Chemical Hazards: Rulemaking Activities**

This project provides resources for rulemaking activities related to:

- Lead (CPSIA §101); and
- Phthalates Final Rule (CPSIA §108).

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

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

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

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

#### **23336 - Combustion (Carbon Monoxide) Hazards: Rulemaking Activities**

This project provides resources for addressing the hazards of carbon monoxide (CO) poisoning associated with portable generators. Staff will complete the NPR and begin post-NPR work, as appropriate.

#### **23704 - Nanotechnology**

Nanotechnology is a rapidly developing field and will have a significant impact on a number of consumer products regulated by the CPSC. In the discussion of the Reauthorization of Appropriations (Section 201), of the conference report on H.R. 4040, CPSIA of 2008, Congress stated that it recognizes nanotechnology as a new technology used in the manufacture of consumer products, and that the Conferees expect the CPSC to review the use of nanomaterials in consumer products. Other stakeholders have emphasized the importance of adequately addressing potential health and safety implications of nanomaterials. The CPSC requested an additional \$3 million as part of the Healthy Children initiative in the FY 2017 Request to partner with the National Institute of Environmental Health Science (NIEHS) on a nanotechnology center focused on environment, health, and safety to conduct applied research on exposure to potential chronic hazards related to nanotechnology in consumer products. CPSC staff will undertake the following activities/programs in FY 2017:

- Collaborate with state and federal authorities, colleges and universities, and other stakeholders to expand the CPSC's effectiveness and reach to address consumer exposures to nanomaterials throughout the life-cycle of the materials;
- Work with the National Institute for Standards and Technology (NIST) to develop protocols to assess the potential release of nanoparticles from selected consumer products and determine their contributions to human exposure;

- Maintain a nanotechnology consumer product database of products that claim to have or are believed to contain nanomaterials;
- Continue to characterize the release of nanomaterials into indoor air and determine the potential exposures to consumers;
- Collaborate with the NSF- and the EPA-funded Centers for Environmental Implications of Nanotechnology to investigate human exposures to nanomaterials, including those released from consumer products; and
- Partner with NIEHS on a nanocenter focused on environment, health, and safety (pending new appropriations).

#### **24013 - Laboratory Equipment and Operations Support**

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

#### **24505 - EXHR Project Support**

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

#### **25720 - Regulatory Management**

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

- Paperwork Reduction Act (PRA) support
- E-filing of Certificates pilot support; and
- HAR legal/Regulatory Flexibility Act (RFA) support.

#### **25723 - Lab Accreditation (CPSIA §102)**

In FY 2017, staff will engage in the following activities:

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

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

#### **25727 - Burden Reduction/Assure Compliance**

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

- Determinations Expansion – Specified Plastics (FR); and
- Determinations Expansion – Manufactured Woods (NPR).

Staff will also continue to work on advancing the state of technology of Fourier Transform Infrared Spectroscopy (FTIR) for phthalates testing.

#### **25777 - EXHR Leadership and Administration**

This project provides resources for EXHR travel, transportation, printing, and purchases of supplies to support EXHR operation.

#### **Program to Support Consumer Input in Voluntary Standards Proceedings**

The Commission has directed staff, consistent with 16 CFR § 1031.7(11) and any other applicable authorities, to develop a protocol subject to Commission approval, prior to the Commission consideration of the FY 2017 Mid-Year Review, for allocating appropriate resources

to consumers and consumer organizations so that they may provide technical and other valuable input to the development of certain voluntary standards identified by the Commission for agency participation. The protocol shall describe circumstances in which resources shall be allocated, at the discretion of CPSC staff, in accordance with procedures and protocols established by staff, to consumers or consumer organizations involved in the development of those voluntary standards identified by the Commission for agency participation, provided the CPSC Voluntary Standards Coordinator certifies that the standards development

organization meets the criteria for CPSC participation in accordance with 16 CFR §1031.5.

#### **Import Activities**

Support of the Import Surveillance program by EXHR resources for lab operations, including the routine testing of import samples; training EXIS staff on conducting product screening, using template kits and portable analytical devices; and managing/coordinating procurement, delivery, user training, and repairs of X-ray fluorescence (XRF) and FTIR devices used for high-volume screening at the ports.

#### **4. Summary of Key Performance Measures**

Note: Key Measures are reported externally in the Performance Budget Request and CPSC year-end reports.

| <b>Control ID</b>   | <b>Performance Measure Statement</b>                                                                                                                 | <b>FY 2017 Target</b> |
|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|
| <b>2017KM2.1.01</b> | Percentage of consumer product-related incident reports warranting follow-up actions                                                                 | Baseline              |
| <b>2017KM2.1.02</b> | Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards      | 11                    |
| <b>2017KM2.1.03</b> | Percentage of consumer product-related injury cases correctly captured at NEISS hospitals                                                            | 90%                   |
| <b>2017KM2.1.04</b> | Number of collaborations established or maintained with other organizations to work on nanotechnology research or issues affecting consumer products | 5                     |
| <b>2017KM2.2.01</b> | Number of voluntary standards activities in which CPSC staff actively participates                                                                   | 75                    |
| <b>2017KM2.2.02</b> | Number of candidates for rulemaking prepared for Commission consideration                                                                            | 23                    |

#### **5. Summary of Operating Plan Performance Measures**

Note: Operating Performance Measures are monitored and reported internally.

| <b>Control ID</b> | <b>Performance Measure Statement</b>                                                                                 | <b>FY 2017 Target</b> |
|-------------------|----------------------------------------------------------------------------------------------------------------------|-----------------------|
| <b>2017OP01</b>   | Percentage of National Electronic Injury Surveillance System (NEISS) member hospitals evaluated at least once a year | 98%                   |
| <b>2017OP02</b>   | Number of reports produced on the results of collaboration on nanotechnology issues affecting consumer products      | 5                     |
| <b>2017OP03</b>   | Number of incident reports collected from medical examiners and coroners                                             | 4,500                 |
| <b>2017OP04</b>   | Number of incident reports obtained from news clips                                                                  | 6,000                 |

## Hazard Identification Operating Plan Details – George Borlase, AED

| Control ID | Performance Measure Statement                                                                                                                                                                          | FY 2017 Target |
|------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| 2017OP05   | Percentage of incident report verification requests mailed - either email or postal mail - within 2 business days                                                                                      | 95%            |
| 2017OP06   | Percentage of reports from eligible sources for which clerical coding is completed within 1 business day                                                                                               | 95%            |
| 2017OP07   | Percentage of notifications to manufacturers named in all reports eligible for the public database sent within 5 business days of eligibility determination                                            | 95%            |
| 2017OP08   | Percentage of cases in which staff reviews or refers comments and claims from manufacturers, importers, and private labelers within 1 business day                                                     | 95%            |
| 2017OP09   | Percentage of business registration requests for <a href="http://www.SaferProducts.gov">www.SaferProducts.gov</a> processed within 2 business days                                                     | 85%            |
| 2017OP10   | Percentage of headquarters telephone investigations of NEISS cases completed in fewer than 45 business days                                                                                            | 98%            |
| 2017OP11   | Percentage of completed product investigation reports provided to manufacturers within 50 business days of receiving the report                                                                        | 75%            |
| 2017OP12   | Percentage of supporting statements for Paperwork Reduction Act renewals submitted to the Office of the General Counsel no less than 4 months before OMB control number expiration date                | 85%            |
| 2017OP13   | Number of standards implemented/updated for chronic hazards                                                                                                                                            | Baseline       |
| 2017OP14   | Number of chronic hazard risk assessments completed                                                                                                                                                    | Baseline       |
| 2017OP15   | Number of voluntary standards activities, in which CPSC staff participated, that result in a revised standard that reduces the risk of injury associated with products covered by the standard         | Baseline       |
| 2017OP16   | Number of collaborations undertaken with domestic nongovernment organizations, such as trade associations, universities, or federations                                                                | Baseline       |
| 2017OP17   | Average number of business days from incident received to integrated team adjudication of incident report                                                                                              | 10             |
| 2017OP18   | Percentage of Section 15 Product Safety Assessment requests that are completed within the Hazard Level Completion time assigned                                                                        | 90%            |
| 2017OP19   | Percentage of priority import regulated samples (excluding fireworks) tested within 30 days of collection                                                                                              | 85%            |
| 2017OP20   | Percentage of import and domestic fireworks samples tested within 60 days of collection                                                                                                                | 90%            |
| 2017OP21   | Percentage of all domestic and non-priority import regulated product samples (excluding fireworks) that are tested within 60 days of receipt at National Product Testing and Evaluation Center (NPTEC) | 85%            |
| 2017OP22   | Number of work-related injuries and illnesses per 100 NPTEC employees in a year (incident rate)                                                                                                        | 5              |

## 6. Annual Milestones

Note: Milestones are monitored and reported internally.

| Control ID     | FY 2017 Milestone Statement                                                                                          |
|----------------|----------------------------------------------------------------------------------------------------------------------|
| <b>2017M01</b> | Initial Operating Capability (IOC) completed for SAS enhancements—Server SAS, Text Mining, and Pattern Recognition   |
| <b>2017M02</b> | Three new hospitals recruited to join NEISS                                                                          |
| <b>2017M03</b> | Functionality and feature enhancements of NEISS online site completed                                                |
| <b>2017M04</b> | Establishment of the National Institute of Environmental health Sciences (NIEHS)-led nanotechnology center initiated |
| <b>2017M05</b> | Hazard analysis and quantitative risk analysis of crumb rubber in playgrounds conducted                              |
| <b>2017M06</b> | Briefing package prepared – Flooring petition                                                                        |
| <b>2017M07</b> | Staff Voluntary Standards Training program developed                                                                 |
| <b>2017M08</b> | Briefing package prepared – Supplemental Mattresses Petition                                                         |
| <b>2017M09</b> | Briefing package prepared – Residential Elevators Petition                                                           |
| <b>2017M10</b> | Briefing package prepared – Adult Portable Bed Rails Petition                                                        |
| <b>2017M11</b> | Briefing package prepared – Organohalogens Petition                                                                  |
| <b>2017M12</b> | Briefing package prepared – Lead Rule Review                                                                         |
| <b>2017M13</b> | Briefing package prepared – Mattresses Rule Review                                                                   |
| <b>2017M14</b> | Briefing package prepared – ASTM F963 Revision                                                                       |
| <b>2017M15</b> | Briefing package prepared – Upholstered Furniture rulemaking                                                         |
| <b>2017M16</b> | Briefing package prepared – Methylene Chloride petition                                                              |
| <b>2017M17</b> | Briefing package prepared – Furniture tip-over                                                                       |

## Office of Compliance and Field Operations (EXC)

DeWane Ray, Acting AED

### 1. Resource Summary

|                  | FY 2017 Operating Plan   |            |
|------------------|--------------------------|------------|
|                  | Budget<br>(in thousands) | FTE        |
| Compliance HQ    | \$ 363                   | 58         |
| Compliance Field | \$ 1,696                 | 103        |
| <b>Total</b>     | <b>\$ 2,059</b>          | <b>161</b> |

### 2. Overview

The Office of Compliance and Field Operations (EXC) is a Co-Goal Leader for Strategic Goal 3 (Response) and is responsible for enforcing rules, as well as conducting surveillance, to ensure that hazardous products do not enter or remain in the distribution chain. Enforcement of existing rules and targeted surveillance activities allow for a multidisciplinary approach to enforcement. Early in the process, staff endeavors to identify products that present a risk, which requires close and frequent interaction with technical and epidemiological staff. Once hazardous products have been identified, the CPSC takes action to protect consumers, remove the product from the marketplace, and hold violators accountable. Continued rulemaking under the CPSIA also requires enforcement activities to help ensure stakeholders are well informed of the requirements, provide for a level playing field, and confirm that stakeholders meet the mandated requirements.

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

#### FY 2017 Priority Activities:

- Explore establishing a triage team to prioritize Section 15 cases (SO 3.1)
- Conduct research on the submission of incident data from third party platform and eCommerce websites (SO 3.1)
- Provide recalling firms the ability to submit monthly progress reports online (SO 3.2)
- Review recall monitoring data (SO 3.2)
- Train foreign regulators on U.S. requirements (SO 3.2)
- Evaluate recall data to determine areas of improvement as it relates to recall effectiveness and to identify effective recall remedies (SO 3.3)
- Evaluate alternative methods of notifying affected consumers about a recall (SO 3.3)
- Implement tracking label enforcement policy at U.S. ports of entry (SO 2.3)



### 3. Strategic Plan Alignment and Project Summary

| FY 2017 Project |                                                                                                                                     | Strategic Goal |
|-----------------|-------------------------------------------------------------------------------------------------------------------------------------|----------------|
| 31100           | Fire Hazards                                                                                                                        | 3              |
| 31102           | Fire Hazards: Section 15                                                                                                            | 3              |
| 31103           | Fire Hazards: Regulated                                                                                                             | 3              |
| 31163           | Fireworks                                                                                                                           | 3              |
| 31183           | Lighters                                                                                                                            | 3              |
| 31600           | Electrocution Hazards                                                                                                               | 3              |
| 31602           | Electrocution Hazards: Section15                                                                                                    | 3              |
| 31603           | Electrocution Hazards: Regulated                                                                                                    | 3              |
| 32200           | Mechanical Hazards to Children                                                                                                      | 3              |
| 32202           | Mechanical Hazards to Children: Section 15                                                                                          | 3              |
| 32203           | Mechanical Hazards to Children: Regulated                                                                                           | 3              |
| 32223           | Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) (Pub. L. No. 110-140)                                                       | 3              |
| 32253           | All-Terrain Vehicles (ATVs) (CPSIA § 232): Compliance Enforcement                                                                   | 3              |
| 32272           | Substantial Product Hazard List and Destruction of Noncompliant Imported Products (CPSIA § 223): Section 15(j) Generic Defect Rules | 3              |
| 32277           | EXC Leadership and Administration                                                                                                   | 3              |
| 32400           | Mechanical Hazards                                                                                                                  | 3              |
| 32402           | Mechanical Hazards: Section15                                                                                                       | 3              |
| 32403           | Mechanical Hazards: Regulated                                                                                                       | 3              |
| 33700           | Chemical Hazards                                                                                                                    | 3              |
| 33702           | Chemical Hazards: Section15                                                                                                         | 3              |
| 33703           | Chemical Hazards: Regulated                                                                                                         | 3              |
| 33777           | CFI Leadership and Administration                                                                                                   | 3              |
| 34301           | State/Local Programs                                                                                                                | 3              |
| 34381           | Internet Surveillance Program Support                                                                                               | 3              |
|                 | Import Activities                                                                                                                   | 2              |

#### 31100 - Fire Hazards

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

#### 31102 - Fire Hazards: Section 15

This project provides resources for evaluating and analyzing incoming epidemiology data, to determine if there is a pattern of defect that might warrant opening a case; conducting investigations of hazards, including evaluation of technical reports and in-depth field investigations; and executing consumer product recalls. The project also provides resources for

engaging with management and the Office of the General Counsel (OGC) to assist in final negotiations.

#### 31103 - Fire Hazards: Regulated

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

**31163 - Fireworks**

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

**31183 - Lighters**

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

**31600 - Electrocution Hazards**

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

**31602 - Electrocution Hazards: Section 15**

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

**31603 - Electrocution Hazards: Regulated**

This project provides resources for electrocution hazards associated with products covered by mandatory regulations or standards.

**32200 - Mechanical Hazards to Children**

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

**32202 - Mechanical Hazards to Children: Section 15**

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

**32203 - Mechanical Hazards to Children: Regulated**

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

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

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

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

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

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

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

**32277 - EXC Leadership and Administration**

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

**32400 - Mechanical Hazards**

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

**32402 - Mechanical Hazards: Section 15**

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

**32403 - Mechanical Hazards: Regulated**

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

**33700 - Chemical Hazards**

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

hazards. Areas covered include FHSA labeling enforcement, lead hazards not addressed under CPSIA, art materials, and emerging chemical hazard investigation.

#### **33702 - Chemical Hazards: Section 15**

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

#### **33703 - Chemical Hazards: Regulated**

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

#### **33777 - CFI Leadership and Administration**

This project provides resources for Compliance Field Investigation (CFI) travel, transportation, printing, and purchases of supplies, samples, and equipment to support CFI operations.

#### **34301 - State/Local Programs**

This project provides funding for the CPSC-hosted State and Local Training Caucus. This activity provides training and gives States the

most current information about the CPSIA and consumer product safety.

#### **34381 - Internet Surveillance Program Support**

This project provides resources for activities to conduct undercover Internet surveillance and monitoring of products sold to consumers via the world-wide web that have been recalled or which may otherwise violate a Commission rule or standard. Tasks include time to conduct Internet surveillance to review products sold by various retailers, manufacturers, and importers online, and to follow-up on consumer/trade complaints.

#### **Import Activities**

The Office of Compliance and Field Operations provides technical review of hazards identified at ports of entry and negotiates corrective action plans with firms on products that produce a violation at time of import. The field currently supports ports of entry where the EXIS teams do not have a full time presence, typically ports that have a lower volume of imported goods under CPSC jurisdiction. CPSC Field Investigators are alerted directly by CBP via the Commercial Targeting and Analysis Center (CTAC) about incoming shipments that might be of interest to CPSC.

## **4. Summary of Key Performance Measures**

Note: Key Measures are reported externally in the Performance Budget Request and CPSC year-end reports.

| Control ID          | Performance Measure Statement                                                                                                           | FY 2017 Target |
|---------------------|-----------------------------------------------------------------------------------------------------------------------------------------|----------------|
| <b>2017KM3.1.01</b> | Percentage of cases for which a preliminary determination is made within 85 business days of the case opening                           | Baseline       |
| <b>2017KM3.1.02</b> | Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection | Baseline       |
| <b>2017KM3.2.01</b> | Percentage of cases for which a corrective action is accepted within 60 business days of preliminary determination                      | Baseline       |
| <b>2017KM3.2.02</b> | Percentage of cases for which a firm is first notified of a regulatory violation within 40 business days from sample collection         | Baseline       |
| <b>2017KM3.2.03</b> | Percentage of Fast-Track cases with corrective actions initiated within 20 business days                                                | 90%            |
| <b>2017KM3.3.01</b> | Recall effectiveness rate for all consumer product recalls during this fiscal year                                                      | Baseline       |

## 5. Summary of Operating Plan Performance Measures

Note: Operating Performance Measures are monitored and reported internally.

| Control ID | Performance Measure Statement                                                                                                                         | FY 2017 Target |
|------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| 2017OP23   | Percentage of samples collected for evaluation which are shipped within 5 business days of collection                                                 | Baseline       |
| 2017OP24   | Percentage of field investigations (not including ATV and pool data collection investigations) completed in fewer than 45 business days               | 95%            |
| 2017OP25   | Percentage of cases for which a preliminary determination is made within 10 business days of completed product safety assessments                     | Baseline       |
| 2017OP26   | Percentage of cases for which a compliance determination of a regulatory violation is made within 5 business days of completed sample evaluations     | Baseline       |
| 2017OP27   | Percentage of cases where a Full Report request is sent within 5 business days of case opening                                                        | Baseline       |
| 2017OP28   | Percentage of cases for which a firm is first notified of a regulatory violation within 30 business days from compliance determination of a violation | 90%            |
| 2017OP29   | Percentage of recall effectiveness checks assigned within 10 business days of CAP acceptance                                                          | Baseline       |
| 2017OP30   | Perform analysis of recall data to determine most effective remedies                                                                                  | 1              |
| 2017OP31   | Perform analysis of recall data to determine areas for improving recall effectiveness                                                                 | 1              |

## 6. Annual Milestones

Note: Milestones are monitored and reported internally.

| Control ID | FY 2017 Milestone Statement                                                                                               |
|------------|---------------------------------------------------------------------------------------------------------------------------|
| 2017M18    | Report on solutions for submission of incident data from third party platform and e-commerce sites prepared               |
| 2017M19    | Establish contacts with government officials in states and U.S. territories where CPSC does not have an official presence |
| 2017M20    | Research on options for establishing a triage team to prioritize Section 15 cases completed                               |
| 2017M21    | Capability to submit electronically monthly progress reports from recalling firms implemented                             |
| 2017M22    | International fellow training on U.S. requirements                                                                        |
| 2017M23    | Conduct requirements analysis for automating regulatory case files                                                        |

## Office of Import Surveillance (EXIS)

DeWane Ray, Acting Director

### 1. Resource Summary

|                                  | FY 2017 Operating Plan   |     |
|----------------------------------|--------------------------|-----|
|                                  | Budget<br>(in thousands) | FTE |
| Import Surveillance <sup>9</sup> | \$ 1,830                 | 54  |

### 2. Overview and Key Priorities

The Office of Import Surveillance (EXIS) is a Co-Goal Leader for Strategic Goal 2 (Prevention) and is responsible for coordinating with the U.S. Department of Homeland Security's Customs and Border Protection (CBP) to prevent violative or hazardous products from entering the United States. CPSC investigators are co-located at select ports of entry to target and screen incoming shipments of consumer products. The CPSC also collaborates with CBP at the Commercial Targeting and Analysis Center (CTAC) to implement national operations designed to optimize the federal government's response to product risk at importation.

During 2015, more than 192,000 importers brought into the United States consumer products under CPSC jurisdiction having a total estimated value of approximately \$754 billion. That averages to more than \$2 billion per day under CPSC jurisdiction. Since 2008, four out of five product recalls in the United States involve an imported product. American consumers could run a higher risk of injury and death, and domestic manufacturers could face a competitive disadvantage when product imports do not comply with federal or consensus safety standards or violate intellectual property laws, while also posing a health and safety risk.

To face this immense challenge, the CPSC initiated a highly innovative International Trade Data System/Risk Assessment Methodology (RAM) pilot system, which uses the CPSC's unique data, along with data from CBP, to quickly target certain high-risk consumer products arriving at U.S. ports of entry. The initial pilot RAM 1.0 targeting system is transitioning into pilot RAM 2.0.

Since implementation in 2011, the results of the pilot program have been positive. In 2015, more than 7.6 million violative or potentially hazardous non-fireworks<sup>10</sup> consumer product units were stopped from entering commerce, more than 40 times the number of units identified by the CPSC in 2007. The pilot has also benefited compliant trade. From the introduction of the pilot RAM through 2015, the CPSC has seen a 33 percent reduction in the rate of compliant shipments held.

#### FY 2017 Key Priorities:

- Support the "Single Window" platform by implementing a pilot program to collect targeting/enforcement data with volunteers from the trade. With Commission approval, the CPSC Partner Government Agency (PGA) Message Set pilot would be migrated to the "beta" testing phase, provided the "alpha" phase proves successful. The CPSC will continue to provide support to CBP's Automated Commercial Environment (ACE), which is an interface connecting CBP, the trade

<sup>9</sup> Funding for the information technology (IT) elements of the pilot-scale Import Surveillance Risk Assessment Methodology (RAM) targeting system is included in the Office of Information and Technology Services' (EXIT) budget.

<sup>10</sup> Unit counts for fireworks shipments are highly variable and represent a small number of the shipments stopped for examination.

community, and other federal government agencies to manage the admissibility of goods entering the country. (SO 2.3)

- Work with EXIT in transitioning to pilot RAM 2.0 from pilot RAM 1.0, as well as supporting additional functionality in pilot RAM 2.0 (SO 2.3)
- Hire and train 10 staff, an increase of approximately 25 percent of EXIS current staffing levels. This will be deferred until Congress takes final action on the FY 2017 Request and a full-year appropriation is enacted. (SO 2.3)
- Adapt to the reorganization of CBP's new business processing and targeting functionality, including coordination with CBP's Center of Excellence and Expertise (CEE) (SO 2.3)

### 3. Strategic Plan Alignment and Project Summary

| FY 2017 Project |                                                                           | Strategic Goal |
|-----------------|---------------------------------------------------------------------------|----------------|
| 34340           | PGA Message Set                                                           | 2              |
| 34351           | Import: Regulated                                                         | 2              |
| 34352           | Import: Defect                                                            | 2              |
| 34353           | Import: Mission Support Activities                                        | 2              |
| 34360           | Commercial Targeting and Analysis Center (CTAC) Support                   | 2              |
| 34370           | Importer Self-Assessment - Product Safety (ISA-PS)/Trusted Trader Program | 2              |
| 34377           | EXIS Leadership and Administration                                        | 2              |

#### 34340 - PGA Message Set

This project provides resources for activities to evaluate and assess a test platform to manage exchange of electronic data with CBP for targeting purposes. The data will be provided from industry. The CPSC's pilot program would enable the trade to file data useful for targeting electronically with CBP's ITDS/ACE Modernization Single Window platform for collecting such information. In FY 2017, the CPSC will evaluate the results of the alpha pilot that involves voluntary trade participants. If warranted and approved by the Commission, the pilot program will be transitioned to the beta phase to test the alpha phase-identified features.

#### 34351 - Import: Regulated

This project provides resources for Import Surveillance activities related to products covered by mandatory regulations or standards. These activities include surveillance, screening, sampling, reviewing documents, and any other activity associated with products in import status.

#### 34352 - Import: Defects

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

#### 34353 - Import: Mission Support Activities

This project provides resources to support the agency's Import Surveillance mission and includes activities performed by the CPSC's Operations Support staff.

#### 34360 - Commercial Targeting and Analysis Center (CTAC) Support

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

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

This project provides resources to support the ongoing ISA-PS project, including annual recertification of exiting members and evaluation of any new applicants. This project also provides resources to monitor CBP's progress towards development of a new Trusted Trader Program. This includes meeting

with CBP, other federal agencies, and the trade to obtain input on program features.

### 34377 - EXIS Leadership and Administration

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

## 4. Summary of Key Performance Measures

Note: Key Measures are reported externally in the Performance Budget Request and CPSC year-end reports.

| Control ID   | Performance Measure Statement                                                                                                                | FY 2017 Target |
|--------------|----------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| 2017KM2.2.03 | Violation rate of target repeat offenders and first-time importers                                                                           | Baseline       |
| 2017KM2.3.01 | Percentage of consumer product imports, identified as high-risk, examined at import                                                          | Baseline       |
| 2017KM2.3.02 | Percentage of import shipments processed through the Risk Assessment Methodology (RAM) pilot system that are cleared within one business day | 99%            |
| 2017KM2.3.03 | Percentage of consumer product import entries that are risk-scored by the CPSC                                                               | Baseline       |
| 2017KM2.3.04 | Number of import examinations completed                                                                                                      | 40,000         |

## 5. Summary of Operating Performance Measures

Note: Operating Performance Measures are monitored and reported internally.

| Control ID | Performance Measure Statement                                                                                                 | FY 2017 Target |
|------------|-------------------------------------------------------------------------------------------------------------------------------|----------------|
| 2017OP32   | Percentage of first-time violators who are engaged with a timely informed compliance inspection after violation determination | 80%            |
| 2017OP33   | Number of ports at which CPSC will cross-train other federal agencies' staff to identify hazardous imported products          | 24             |
| 2017OP34   | Percentage of CPSC import entry hold requests acted on by CBP                                                                 | 86%            |
| 2017OP35   | Percentage of priority import regulated samples completed within 60 days (from collection date to CBP Notification date)      | Baseline       |

## 6. Annual Milestones

Note: Milestones are monitored and reported internally.

| Control ID | FY 2017 Milestone Statement                                                                                                                               |
|------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2017M24    | An import compliance measurement program developed                                                                                                        |
| 2017M25    | A national program implemented for targeting all 15(j) rules                                                                                              |
| 2017M26    | Results of the alpha pilot involving voluntary trade participants (which was initiated to collected targeting/ enforcement data) electronically evaluated |
| 2017M27    | Pilot program transitioned to a beta phase, if warranted and approved by the Commission                                                                   |



## Office of International Programs (EXIP)

Richard O’Brien, Director

### 1. Resource Summary

|                                  | FY 2017 Operating Plan   |     |
|----------------------------------|--------------------------|-----|
|                                  | Budget<br>(in thousands) | FTE |
| Office of International Programs | \$ 721                   | 7   |

### 2. Overview and Key Priorities

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

#### FY 2017 Priority Activities:

- Improve cooperation with European authorities on product safety policy (SO 2.2)
- Expand overseas training of U.S. product safety requirements for foreign suppliers and buyers and sourcing professionals representing U.S. importers (SO 2.2)
- Support activities of CPSC Beijing Office in providing a full program of product safety training for industry and effective coordination with Chinese government product safety authorities (SO 2.2)
- Provide the agency’s product safety messaging at international fora in which the CPSC represents the U.S. government (SO 2.2)
- Conduct training for industry representatives outside the United States with focus on consumer products as warranted by recent trends (SO 2.2)
- Coordinate an annual joint outreach campaign with OECD (SO 2.2)
- Develop and implement the first CPSC industry training seminar in China with a focus on design (SO 2.2)
- Produce four new episodes of the product safety video series for Chinese manufacturers (SO 2.2)
- Conduct training for foreign counterpart regulators (SO 4.3)
- Administer International Training Exchange Program with foreign counterpart regulators (SO 4.3)

### 3. Strategic Plan Alignment and Project Summary

| FY 2017 Project |                       | Strategic Goal |
|-----------------|-----------------------|----------------|
| 53148           | Overseas Office       | 2              |
| 53149           | International Program | 2              |
| 53152           | China Program         | 2              |



| FY 2017 Project |                                              | Strategic Goal |
|-----------------|----------------------------------------------|----------------|
| <b>53153</b>    | European/International Organizations Program | 2              |
| <b>53154</b>    | Selected Asia Pacific Program                | 2              |
| <b>53155</b>    | Southeast (SE) Asia Program                  | 2              |
| <b>53156</b>    | Western Hemisphere Program                   | 2              |
| <b>53177</b>    | EXIP Leadership and Administration           | 2              |

#### **53148 - Overseas Office**

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

#### **53149 - International Program**

This project provides resources for supervising the performance of the various initiatives of the CPSC’s international programs.

#### **53152 - China Program**

The EXIP’s China Program is focused on outreach to consumer product suppliers in China and engagement with the CPSC’s counterpart agency in China - the General Administration of Quality Supervision, Inspection and Quarantine (AQSIQ). The program provides training and guidance for Chinese and American manufacturing professionals, as well as resources for encouraging manufacturing practices that result in safer consumer products.

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

#### **53153 - European / International Organizations Program**

The CPSC works with counterpart agencies of the European Union (EU) and participates in product safety groups within international organizations, such as the Organisation for Economic Co-operation and Development (OECD). The CPSC’s work with the EU consists of joint efforts to improve the safety of consumer products imported from developing countries.

#### **53154 - Selected Asia Pacific Program**

This program covers the CPSC’s work with Australia, New Zealand, Japan, South Korea, and Taiwan. Resources are used for developing closer relations with these jurisdictions. The program is aimed at improving the safety of products from the region’s manufacturers and partnering with key governments to cooperate on product safety policies.

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

#### **53155 - Southeast (SE) Asia Program**

The Southeast (SE) Asia Program consists of field training conducted for manufacturers and cooperative activities with governments in the following countries: Vietnam, Singapore, Malaysia, and Indonesia. The agency conducts specific training programs targeted toward consumer product export industries in furniture construction, textiles, and shoe manufacturing.

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

#### **53156 - Western Hemisphere Program**

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

#### **53177- EXIP Leadership and Administration**

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

#### 4. Summary of Key Performance Measures

Note: Key Measures are reported externally in the Performance Budget Request and CPSC year-end reports.

| Control ID   | Performance Measure Statement                                                                                                     | FY 2017 Target |
|--------------|-----------------------------------------------------------------------------------------------------------------------------------|----------------|
| 2017KM2.2.04 | Percentage of foreign-based industry representatives indicating increased understanding after CPSC training                       | 90%            |
| 2017KM2.2.05 | Percentage of foreign regulatory agency representatives indicating increased understanding of CPSC procedures after CPSC training | 90%            |
| 2017KM2.2.06 | Percentage of inbound exchange fellows indicating increased understanding of CPSC best practices after CPSC training              | 100%           |

#### 5. Summary of Operating Plan Performance Measures

Note: Operating Performance Measures are monitored and reported internally.

| Control ID | Performance Measure Statement                                                                                | FY 2017 Target |
|------------|--------------------------------------------------------------------------------------------------------------|----------------|
| 2017OP36   | Number of training or outreach seminars for foreign-based industry representatives conducted by CPSC staff   | 13             |
| 2017OP37   | Number of trainings for foreign regulatory agencies conducted by CPSC staff                                  | 10             |
| 2017OP38   | Number of staff exchanges with foreign counterparts undertaken under International Training Exchange Program | 2              |
| 2017OP39   | Number of global campaigns launched                                                                          | 1              |

#### 6. Annual Milestones

Note: Milestones are monitored and reported internally.

| Control ID | FY 2017 Milestone Statement                                                                                                                                    |
|------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2017M28    | “Design for Safety” training seminars for China-based consumer product industry representatives initiated                                                      |
| 2017M29    | Program plans updated with outcomes for each area                                                                                                              |
| 2017M30    | Second buyers training conducted in Vietnam                                                                                                                    |
| 2017M31    | Participate in the annual OECD global product safety awareness campaign                                                                                        |
| 2017M32    | Four new episodes of the product safety video series in Chinese language produced and posted on the Web                                                        |
| 2017M33    | Training conducted for foreign counterpart regulators on consumer product safety best practices, addressing special areas of concern and emerging technologies |

## Office of Communications (OCM)

Scott Wolfson, Director

### 1. Resource Summary

|                                                                   | FY 2017 Operating Plan   |           |
|-------------------------------------------------------------------|--------------------------|-----------|
|                                                                   | Budget<br>(in thousands) | FTE       |
| Office of Communications                                          | \$ 1,650                 | 10        |
| <i>Pool Safely</i> Campaign (Pursuant to Section 1407 of VGB Act) | \$ 1,030                 |           |
| <b>Total</b>                                                      | <b>\$ 2,680</b>          | <b>10</b> |

### 2. Overview and Key Priorities

The Office of Communications (OCM) is the Goal Leader for Strategic Goal 4—Communications. OCM contributes to the CPSC's mission through three key efforts: developing and implementing education and media outreach programs related to a variety of product safety hazards; managing content on [www.CPSC.gov](http://www.CPSC.gov); and announcing product recalls. Priority programs of OCM's effort in implementing safety education and prevention programs include: continuing running Anchor It!, the largest furniture and TV tip-over prevention campaign in the country; overseeing the performance of *Pool Safely* Grant Program awardees (pursuant to Section 1405 of the Virginia Graeme Baker Pool and Spa Safety Act (VGB Act)); expanding and enhancing the award-winning *Pool Safely* campaign (pursuant to Section 1407 of the VGB Act); coordinating a national Safe to Sleep® campaign with the National Institutes of Health (NIH) and the Health Resources and Services Administration (HRSA); and conducting a robust Minority Outreach campaign, which includes the Neighborhood Safety Network (NSN) program with more than 9,000 members.

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

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

#### FY 2017 Priority Activities:

- Conduct an overview of best practices by federal agencies and private sector (SO 4.1)
- Conduct a focus group to assess CPSC messaging on one topic (SO 4.1)
- Monitor media impressions of and social media engagement with CPSC safety messages (SO 4.1)
- Develop a plan to rebrand publications and alerts (SO 4.2)
- Use national awareness survey data to communicate with consumers more effectively (SO 4.2)

- Conduct community outreach events aimed at raising awareness and preventing injuries from four priority hazard areas – child drownings, child poisonings, furniture/TV tip-overs, and baby safety when sleeping (SO 4.2)
- Develop new messages, activities, and events surrounding 24 targeted safety programs (SO 4.2)
- Develop a CPSC collaboration plan across agency divisions to increase and enhance collaborations with stakeholders (SO 4.3)
- Complete closeout of the five *Pool Safely* grant awards (SO 4.3)

### 3. Strategic Plan Alignment and Project Summary

| FY 2017 Project |                                                                               | Strategic Goal |
|-----------------|-------------------------------------------------------------------------------|----------------|
| 42286           | Distribution Services                                                         | 4              |
| 42549           | Child Safety                                                                  | 4              |
| 42616           | Ongoing/Seasonal Programs                                                     | 4              |
| 44201           | Hotline                                                                       | 4              |
| 44522           | Special Projects                                                              | 4              |
| 44563           | Recalls/Alerts                                                                | 4              |
| 44565           | Media Relations                                                               | 4              |
| 44577           | Communications Leadership and Administration                                  | 4              |
| 44699           | Video Communication                                                           | 4              |
| 44790           | Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) (Pub. L. No. 110-140) | 4              |
| 44792           | Hearing Room Operations and Maintenance                                       | 4              |
| 44793           | Digital Communications                                                        | 4              |
| 44794           | Minority Outreach                                                             | 4              |
| 44795           | Media Monitoring                                                              | 4              |

#### 42286 - Distribution Services

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

#### 42549 - Child Safety

This project provides resources for:

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

#### 42616 - Ongoing/Seasonal Programs

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

#### 44201 - Hotline

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

#### 44522 - Special Projects

This project provides resources for the 24 targeted public information and collaboration activities that are not funded by other OCM projects.

#### 44563 - Recalls/Alerts

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

**44565 - Media Relations**

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

**44577 - Communications Leadership and Administration**

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

**44699 - Video Communication**

This project provides resources for contracting video production services. Contractor will record, edit, and distribute public service announcements, video news releases, and satellite media tours to broadcast stations nationwide.

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

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

**44792 - Hearing Room Operations and Maintenance**

This project provides resources for maintenance of hearing room equipment and materials. Additionally, the project provides resources for contracting captioning and transcription services

for conferences, meetings, and other activities held in the Commission Hearing Room.

**44793 - Digital Communications**

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

**44794 - Community/Minority Outreach**

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

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

**44795 - Media Monitoring**

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

**4. Summary of Key Performance Measures**

Note: Key Measures are reported externally in the Performance Budget Request and CPSC year-end reports.

| Control ID          | Performance Measure Statement                                                                                                                              | FY 2017 Target |
|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| <b>2017KM4.1.01</b> | Percentage of positive responses about usefulness of information received from CPSC communication channels                                                 | Baseline       |
| <b>2017KM4.2.01</b> | Number of impressions of CPSC safety messages (millions)                                                                                                   | 5,800          |
| <b>2017KM4.2.02</b> | Average number of business days between establishment of first draft and issuance of recall press release for the most timely 90% of recall press releases | 18             |
| <b>2017KM4.2.03</b> | Number of CPSC social media safety messages with which stakeholders engage                                                                                 | Baseline       |
| <b>2017KM4.3.01</b> | Number of collaboration activities initiated with stakeholder groups                                                                                       | 25             |

## 5. Summary of Operating Plan Performance Measures

Note: Operating Performance Measures are monitored and reported internally.

| Control ID | Performance Measure Statement                                                                                                                                               | FY 2017 Target |
|------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| 2017OP40   | Number of events at which CPSC collects information from stakeholders on usefulness of CPSC consumer product safety messages                                                | 10             |
| 2017OP41   | Number of messages sent to Neighborhood Safety Network (NSN)                                                                                                                | 24             |
| 2017OP42   | Number of new NSN members                                                                                                                                                   | 350            |
| 2017OP43   | Number of visits to CPSC websites (in millions)                                                                                                                             | 35             |
| 2017OP44   | Number of followers on Twitter signed up to receive CPSC safety messages in English and Spanish                                                                             | 45,000         |
| 2017OP45   | Number of community outreach activities conducted                                                                                                                           | 9              |
| 2017OP46   | Number of pool and spa safety information and education activities conducted                                                                                                | 8              |
| 2017OP47   | Number of consumers who have taken the Pool Safely Pledge                                                                                                                   | 20,000         |
| 2017OP48   | Number of furniture and television tip-over prevention activities conducted                                                                                                 | 4              |
| 2017OP49   | Number of Safe to Sleep® activities conducted                                                                                                                               | 6              |
| 2017OP50   | Number of new social media platforms for which CPSC establishes a presence to promote CPSC programs, recalls, and alerts                                                    | 2              |
| 2017OP51   | Percentage of voice mail messages responded to by Hotline staff the next business day                                                                                       | 98%            |
| 2017OP52   | Percentage of incoming calls to Hotline operators that are abandoned                                                                                                        | 5%             |
| 2017OP53   | Percentage of incoming calls sent to Hotline operators that are answered within 30 seconds                                                                                  | 85%            |
| 2017OP54   | Number of audience impressions related to consumer product recalls announced by CPSC (in millions)                                                                          | 10,000         |
| 2017OP55   | Number of audience impressions of CPSC safety messages on priority hazards in vulnerable communities, excluding recalls (in millions)                                       | 3,240          |
| 2017OP56   | Number of audience impressions of CPSC safety messages on targeted consumer product safety hazards, excluding recalls (in millions)                                         | 2,600          |
| 2017OP57   | Number of audience impressions of CPSC fire safety messages, excluding recalls (in millions)                                                                                | 1,600          |
| 2017OP58   | Number of audience impressions of CPSC carbon monoxide safety messages, excluding recalls (in millions)                                                                     | 175            |
| 2017OP59   | Number of audience impressions of CPSC safety messages related to children & other, excluding recalls (in millions)                                                         | 740            |
| 2017OP60   | Number of audience impressions of CPSC safety messages related to Safe to Sleep® through information and education activities, excluding recalls (in millions)              | 80             |
| 2017OP61   | Number of audience impressions of <i>Pool Safely</i> safety messages related to drowning and drain entrapment prevention in pools and spas, excluding recalls (in millions) | 1,750          |

| Control ID      | Performance Measure Statement                                                                                                                      | FY 2017 Target |
|-----------------|----------------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| <b>2017OP62</b> | Number of audience impressions of CPSC safety messages related to tip-over prevention/Anchor It!, excluding recalls (in millions)                  | 800            |
| <b>2017OP63</b> | Number of audience impressions of CPSC safety messages focused on effects of safety hazards on minority audiences, excluding recalls (in millions) | 110            |
| <b>2017OP64</b> | Number of audience impressions of CPSC safety messages on ATV/ROV safety, excluding recalls (in millions)                                          | 55             |

## 6. Annual Milestones

Note: Milestones are monitored and reported internally.

| Control ID     | FY 2017 Milestone Statement                                                                                             |
|----------------|-------------------------------------------------------------------------------------------------------------------------|
| <b>2017M34</b> | Focus group conducted to assess CPSC messaging on one topic                                                             |
| <b>2017M35</b> | Rebranding plan of publications and alerts to align with other communications platforms completed                       |
| <b>2017M36</b> | Research on strategies in the public and private sectors to reach most-at-risk consumers with safety messages initiated |
| <b>2017M37</b> | One communication activity on an emerging hazard developed and posted on CPSC's website                                 |
| <b>2017M38</b> | Closeout of the five <i>Pool Safely</i> grant awards completed                                                          |
| <b>2017M39</b> | Cross-agency collaboration plan developed and put in place                                                              |
| <b>2017M40</b> | Reporting mechanism to document collaboration activities developed                                                      |
| <b>2017M41</b> | Establish new contract to continue CPSC Hotline beyond FY 2017                                                          |



## Office of Information Technology (EXIT)

James Rolfes, CIO

### 1. Resource Summary

|                                    | FY 2017 Operating Plan   |           |
|------------------------------------|--------------------------|-----------|
|                                    | Budget<br>(in thousands) | FTE       |
| Office of Information Technology   | \$ 80                    | 42        |
| IT Infrastructure                  | \$ 6,955                 |           |
| Commission's Information Systems   | \$ 4,509                 |           |
| Risk Assessment Methodology - ITDS | \$ 2,600                 |           |
| <b>Total</b>                       | <b>\$ 14,144</b>         | <b>42</b> |

### 2. Overview and Key Priorities

The Office of Information and Technology Services (EXIT) provides information resource management products and services to directly and indirectly support all agency programs for overall mission achievement. EXIT is responsible for the development, implementation, operations, maintenance, and protection of all information technology, networks, and systems for the CPSC. EXIT is also responsible for policy, planning, and compliance activities related to the effective management of information and technology as required by law, regulation and policy including, but not limited to, the Clinger-Cohen Act (CCA), Office of Management and Budget (OMB) Circular A-130, OMB Circular A-11, the Federal Information Technology Acquisition Reform Act (FITARA), the Federal Information Security Management Act (FISMA), the Government Paperwork Elimination Act (GPEA), Section 508 of the Rehabilitation Act, and the E-Government Act.

#### FY 2017 Priority Activities:

- Improving flexibility, scalability, and resiliency of CPSC information systems by continuing to virtualize information management capabilities, including the computing desktop environment, supporting systems, and databases: Specific initiatives include the extended rollout of the CPSC Virtual Desktop Infrastructure (VDI) and SQL server database virtualization to increase performance and resiliency. (Agency-wide)
- Increasing transparency, accountability, and overall management effectiveness through improved processes, performance measurement, and communications: Specific initiatives include the implementation of new operating performance measures and streamlined governance processes to inform project customers of review and approval status. (Agency-wide)
- Expanding CPSC mission capabilities through collaboration with program areas to solve information management challenges: Specific initiatives include providing ongoing support for the Risk Assessment Methodology (RAM) pilot system capabilities, evaluating capabilities of Big Data solutions, developing an Internet Surveillance Widget, developing requirements and a plan for Regulated Case Management, enabling web-based monthly progress report submissions, and implementing server-based SAS. (Agency-wide)
- Maintaining focus on protection of CPSC data and systems by continuing improvements on security management practices: Specific initiatives include security planning and review integration at key points in system development life cycles, focus on the resolution of identified security vulnerabilities, and the implementation of advanced persistent threat and alert capabilities. (Agency-wide)



- Transition from pilot RAM 1.0 to pilot RAM 2.0 (SO 2.3)
- Support pilot RAM 2.0 enhancements (SO 2.3)
- Operate and maintain pilot RAM 2.0 (SO 2.3)
- Operate and maintain agency websites (SO 4.1)

### 3. Strategic Plan Alignment and Project Summary

| FY 2017 Project |                                                         | Strategic Goal |
|-----------------|---------------------------------------------------------|----------------|
| 13328           | Consumer Product Safety Risk Management System (CPSRMS) | 2              |
| 34310           | Risk Assessment Methodology (RAM) (CPSIA § 222)         | 2              |
| 54174           | EXIT Leadership and Administration                      | All            |
| 54575           | IT Security                                             | All            |
| 99933           | Voice/Data Telecommunications                           | All            |
| 99945           | Capital Replacement                                     | All            |
| 99947           | Programming Support                                     | All            |
| 99951           | User Support                                            | All            |
| 99952           | Network Management                                      | All            |
| 99953           | Website Management                                      | All            |
| 99954           | IT Business Applications                                | All            |

#### 13328 - Consumer Product Safety Risk Management System (CPSRMS)

This project provides resources for activities associated with development of the Consumer Product Safety Risk Management System (CPSRMS). The CPSRMS is a comprehensive system consisting of three core components:

- Public and business portals ([www.SaferProducts.gov](http://www.SaferProducts.gov));
- Review, analysis, and decision support system (CPSC360); and
- Dynamic Case Management System (DCM).

The system will continue to improve the management of investigations and give CPSC the capability to assess, predict, and act on product risks. The CPSRMS will also continue to allow instant communication between the Commission and the public.

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

This project provides resources for activities to operate, maintain, and develop a risk assessment methodology (RAM) for the

identification of shipments of consumer products that are:

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

This project includes activities to evaluate, assess, and share information with CBP about shipments of consumer products intended for import into the customs territory of the United States. In FY 2017, the CPSC will implement across the agency the pilot RAM 2.0, which transitions from the initial pilot RAM 1.0 system. RAM 1.0 and RAM 2.0 will run in parallel for a short period to establish functionality and assist in translation of targeting capabilities. Also, additional functionalities will be implemented in pilot RAM 2.0.

#### 54174 - EXIT Leadership and Administration

This project provides resources for EXIT travel, transportation, printing, and purchases of

supplies, samples, and equipment to support EXIT operations.

#### **54575 - IT Security**

This project provides resources for implementation and management of the CPSC's IT Security program, which involves maintaining a secure information environment throughout the CPSC and ensuring information system confidentiality, integrity, and availability. In FY 2017, EXIT will address FISMA requirements by conducting and documenting a Business Impact Analysis (BIA); developing the following plans/documents for the Group Support System Local Area Network (GSS LAN) and major applications – system contingency plans, configuration management plans, and baseline configuration documents; and developing an agency-wide risk management strategy.

#### **99933 - Voice/Data Telecommunications**

This project provides resources for services including voice local and long distance, cellular, wide area network (WAN), local dedicated data lines, domain and web streaming; telecom equipment; and maintenance and repairs, which are administered by EXIT.

#### **99945 - Capital Replacement**

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

#### **99947 - Programming Support**

This project provides resources for contract programmers and database administrator services to support the agency's IT applications.

#### **99951 - User Support**

This project provides resources for supporting end users of the agency's equipment, software, systems, and services (e.g., Help Desk support, software licensing, and printer maintenance).

#### **99952 - Network Management**

This project provides resources for supporting management of the agency's IT infrastructure, which includes the operation and maintenance of networks, servers, and other IT equipment and systems. In FY 2017, EXIT will continue to virtualize systems, including servers and desktop environments.

#### **99953 - Website Management**

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

#### **99954 - IT Business Applications**

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

## **4. Summary of Key Performance Measures – None**

## **5. Summary of Operating Plan Performance Measures**

Note: Operating Performance Measures are monitored and reported internally.

| Control ID      | Performance Measure Statement                  | FY 2017 Target |
|-----------------|------------------------------------------------|----------------|
| <b>2017OP65</b> | Percentage of operating uptime for IT systems  | 95%            |
| <b>2017OP66</b> | Percentage of operating uptime for IT networks | 97%            |
| <b>2017OP67</b> | Percentage of cellular phone devices upgraded  | 50%            |

## 6. Annual Milestones

Note: Milestones are monitored and reported internally.

| Control ID | FY 2017 Milestone Target                                                                                                                       |
|------------|------------------------------------------------------------------------------------------------------------------------------------------------|
| 2017M42    | IT customer satisfaction survey administered                                                                                                   |
| 2017M43    | Baseline for the percentage of completed Plan of Action and Milestones established                                                             |
| 2017M44    | Baseline established for the percentage of critical vulnerabilities addressed from U.S. CERT (United States Computer Emergency Readiness Team) |
| 2017M45    | Advanced persistent threat and alert capabilities implemented                                                                                  |
| 2017M46    | HQ, Field, and NPTEC standard users (using standard software and configurations) transitioned to VDI                                           |
| 2017M47    | SQL Servers transitioned to Virtual Environment                                                                                                |
| 2017M48    | Automated recall press release workflow and approval process implemented                                                                       |
| 2017M49    | Draft report on evaluation of the capabilities of Big Data solutions completed                                                                 |
| 2017M50    | Transition from pilot RAM 1.0 to pilot RAM 2.0 completed                                                                                       |
| 2017M51    | Two-way Action Messaging implemented in pilot RAM 2.0                                                                                          |
| 2017M52    | Capability to submit electronically monthly progress reports from recalling firms implemented                                                  |
| 2017M53    | An evaluation of product identification capabilities and of the benefits of standardization completed                                          |

## Other Offices

(Milestones and measures only)

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

### 1. Summary of Key Performance Measures

Note: Key Measures are reported externally in the Performance Budget Request and CPSC year-end reports.

| Office | Control ID   | Performance Measure Statement                                                                                                       | FY 2017 Target |
|--------|--------------|-------------------------------------------------------------------------------------------------------------------------------------|----------------|
| EXRM   | 2017KM1.1.01 | Human capital strategic plan completed                                                                                              | 1              |
| EXRM   | 2017KM1.2.01 | Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey) | 71%            |
| EXRM   | 2017KM1.3.01 | Percentage of hiring managers trained on recruitment                                                                                | 50%            |
| EXRM   | 2017KM1.4.01 | Federal Employee Viewpoint Survey Employee Engagement Index Score                                                                   | 70%            |

### 2. Summary of Operating Plan Performance Measures

Note: Operating Plan Measures are monitored and reported internally.

| Office | Control ID | Performance Measure Statement                                                                                                               | FY 2017 Target |
|--------|------------|---------------------------------------------------------------------------------------------------------------------------------------------|----------------|
| EXRM   | 2017OP68   | Percentage of Full Time Employees (FTEs) utilized                                                                                           | 90%            |
| EXRM   | 2017OP69   | Percentage of employees who agree that the workforce has the job relevant knowledge and skills necessary to accomplish organizational goals | 76%            |
| EXRM   | 2017OP70   | Percentage of managers trained on position management                                                                                       | 50%            |
| EXRM   | 2017OP71   | Percentage of managers who have been trained on human capital analytics and reporting                                                       | 50%            |
| EXRM   | 2017OP72   | Percentage of managers granted access to human capital reporting                                                                            | 50%            |
| EXRM   | 2017OP73   | Percentage of managers and employees trained on MIS reporting through WebTA                                                                 | 50%            |
| EXRM   | 2017OP74   | Number of employee focus groups on training needs conducted                                                                                 | 3              |
| EXRM   | 2017OP75   | Percentage of employees with Individual Development Plans (IDPs) in place                                                                   | 25%            |
| EXRM   | 2017OP76   | Number of developmental opportunities available to employees through the Agency Training plan                                               | 25             |

## Other Offices' Operating Plan Performance Measures and Milestones

| Office | Control ID | Performance Measure Statement                                                                                                | FY 2017 Target |
|--------|------------|------------------------------------------------------------------------------------------------------------------------------|----------------|
| EXRM   | 2017OP77   | Percentage of employees that participate in the Pilot Coaching Program                                                       | 5%             |
| EXRM   | 2017OP78   | Percentage of Pathways Recent Grad appointments converted to permanent status                                                | 70%            |
| EXRM   | 2017OP79   | Percentage of hiring managers satisfied with applicant listing                                                               | Baseline       |
| EXRM   | 2017OP80   | Percentage of vacancies filled through first announcement                                                                    | Baseline       |
| EXRM   | 2017OP81   | Number of diversity outreach activities conducted                                                                            | 25             |
| EXRM   | 2017OP82   | Percentage of employees who agree that creativity and innovation are rewarded                                                | 48%            |
| EXRM   | 2017OP83   | Number of informational opportunities on work-life balance provided to employees and managers                                | 25             |
| EXRM   | 2017OP84   | Number of wellness events offered                                                                                            | 30             |
| EXRM   | 2017OP85   | Percentage of employees who are satisfied with the health and wellness programs in CPSC                                      | 88%            |
| OEE0   | 2017OP86   | Percentage of employees trained in the New IQ                                                                                | 50%            |
| OEE0   | 2017OP87   | Percentage of Equal Employment Opportunity (EEO) informal complaints resolved during the fiscal quarter                      | 50%            |
| OEX    | 2017OP88   | Number of domestic training and outreach activities delivered to industry stakeholders by the Small Business Ombudsman (SBO) | 11             |

### 3. Annual Milestones

Note: Milestones are monitored and reported internally.

| Office | Control ID | FY 2017 Milestone Statement                                                                               |
|--------|------------|-----------------------------------------------------------------------------------------------------------|
| EXRM   | 2017M54    | Research on best practices for human capital infrastructure at other agencies and organizations completed |
| EXRM   | 2017M55    | Formal CPSC succession plan developed                                                                     |
| EXRM   | 2017M56    | Formal CPSC succession plan adopted                                                                       |
| EXRM   | 2017M57    | Monthly manager reports and quarterly workforce management reports instituted                             |
| EXRM   | 2017M58    | Developed IDP model established                                                                           |
| EXRM   | 2017M59    | Pilot Agency Coaching Program launched                                                                    |
| EXRM   | 2017M60    | Agency-wide training needs assessment survey conducted                                                    |

## Other Offices' Operating Plan Performance Measures and Milestones

| Office        | Control ID | FY 2017 Milestone Statement                                                                                                               |
|---------------|------------|-------------------------------------------------------------------------------------------------------------------------------------------|
| EXRM          | 2017M61    | Content designed for focus groups on training needs                                                                                       |
| EXRM          | 2017M62    | CPSC recruitment video produced                                                                                                           |
| EXRM          | 2017M63    | Research on best practices in developing recruitment assessment tools completed                                                           |
| EXRM          | 2017M64    | Email listservs for targeted recruitment developed                                                                                        |
| EXRM          | 2017M65    | New and enhanced marketing and outreach recruitment strategy developed                                                                    |
| EXRM          | 2017M66    | Award policy that encourages and recognizes innovation adopted                                                                            |
| EXRM          | 2017M67    | Informational or training opportunities for work-life developed                                                                           |
| EXRM          | 2017M68    | FY 2017 action plan from the Employee Engagement Initiative developed                                                                     |
| EXRM/<br>OEEO | 2017M69    | Annual plan for attending career fairs developed                                                                                          |
| OEEO          | 2017M70    | Pilot new mentoring program launched                                                                                                      |
| OEEO          | 2017M71    | Internal Flash mentoring program for new employees continued                                                                              |
| OEX           | 2017M72    | A system for soliciting feedback from industry stakeholders developed to rate the usefulness of safety information provided by CPSC staff |

## CPSC 2016 - 2020 Strategic Plan: Operating Plan Alignment

The CPSC's 2016 - 2020 Strategic Plan was approved on April 29, 2016. The CPSC's mission of "Keeping Consumers Safe" is grounded in the statutes that authorize the work of the agency. The agency's overarching vision is "A nation free from unreasonable risks of injury and death from consumer products." The CPSC will work to achieve four strategic goals that will contribute to realizing the vision and achieving the mission. The CPSC's programs will align with the strategic goals, and staff will implement strategies to achieve the four strategic goals, which are described in further detail on the pages that follow: Workforce, Prevention, Response, and Communication. The information in this appendix shows the alignment of strategic initiatives and priority activities corresponding to the preceding sections of this Operating Plan with the 2016 - 2020 Strategic Plan.

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

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



## Operating Plan Details by Strategic Goal

---

### Strategic Goal 1: Workforce

*Cultivate the most effective consumer product safety workforce*

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

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

- Having a workforce with the knowledge, skills, and abilities to meet new, innovative, and emerging product safety challenges;
- Aligning staff resources to agency priorities;
- Maintaining a global presence to address global marketplace issues;
- Increasing employee engagement; and
- Strengthening knowledge transfer through succession planning.

#### STRATEGIC OBJECTIVE 1.1

Enhance effective strategic human capital planning and alignment

#### STRATEGIC OBJECTIVE 1.2

Foster a culture of continuous development

#### STRATEGIC OBJECTIVE 1.3

Attract and recruit a talented and diverse workforce

#### STRATEGIC OBJECTIVE 1.4

Increase employee engagement



**Table 1: Strategic Goal 1 – Strategic Initiatives and FY 2017 Priority Activities**

| 2016-2020 Strategic Plan<br>Performance Goals (PG),<br>Strategic Initiatives (SI)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | FY 2017<br>Priority Activity |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|
| SO 1.1 Enhance effective strategic human capital planning and alignment                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                              |
| <p><b>PG1.1.1</b> Improve human capital infrastructure</p> <ul style="list-style-type: none"><li>• <b>SI1:</b> Benchmark best practices at other federal agencies and private sector organizations</li><li>• <b>SI2:</b> Implement change management in human capital infrastructure</li></ul> <p><b>PG1.1.2</b> Enhance human capital resource allocation reporting</p> <ul style="list-style-type: none"><li>• <b>SI3:</b> Train supervisors on making a business case for position management</li><li>• <b>SI4:</b> Improve human capital resource tracking and reporting</li></ul>                                                                                                                                                                                                                                                                                                                   | <p><b>EXRM</b></p> <ul style="list-style-type: none"><li>• Research on best practices for human capital infrastructure at other agencies and organizations</li><li>• Develop and adopt formal CPSC succession plan</li><li>• Develop monthly manager reports and quarterly workforce management reports</li><li>• Grant managers access to human capital reporting</li><li>• Provide training on position management for managers</li><li>• Provide training on MIS reporting through WebTA for employees and managers</li></ul> |                              |
| SO 1.2 Foster a culture of continuous development                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                              |
| <p><b>PG1.2.1</b> Encourage and support professional development</p> <ul style="list-style-type: none"><li>• <b>SI5:</b> Perform best practice research across other federal and private sector organizations</li><li>• <b>SI6:</b> Develop and implement individual development plans</li><li>• <b>SI7:</b> Implement coaching and mentoring programs</li></ul> <p><b>PG1.2.2</b> Deliver high quality, targeted development opportunities</p> <ul style="list-style-type: none"><li>• <b>SI8:</b> Conduct training needs assessment</li><li>• <b>SI9:</b> Develop agency-wide training plan</li></ul>                                                                                                                                                                                                                                                                                                  | <p><b>EXRM</b></p> <ul style="list-style-type: none"><li>• Research on best practices for human capital infrastructure at other agencies and organizations</li><li>• Develop and adopt formal CPSC succession plan</li><li>• Develop monthly manager reports and quarterly workforce management reports</li><li>• Grant managers access to human capital reporting</li><li>• Provide training on position management for managers</li><li>• Provide training on MIS reporting through WebTA for employees and managers</li></ul> |                              |
| SO 1.3 Attract and recruit a talented and diverse workforce                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                              |
| <p><b>PG1.3.1</b> Improve targeted assessments to recruit talent</p> <ul style="list-style-type: none"><li>• <b>SI10:</b> Research best practices at other federal agencies and private sector organizations in developing assessment tools</li><li>• <b>SI11:</b> Establish a manager training program on developing and utilizing assessment tools</li></ul> <p><b>PG 1.3.2</b> Increase targeted outreach to increase diversity</p> <ul style="list-style-type: none"><li>• <b>SI12:</b> Create a new and enhanced marketing/outreach strategy</li><li>• <b>SI13:</b> Advance relationships with colleges and universities</li></ul>                                                                                                                                                                                                                                                                  | <p><b>EXRM</b></p> <ul style="list-style-type: none"><li>• Produce CPSC recruitment video</li><li>• Develop targeted email listservs to be utilized for vacancy announcements</li><li>• Research best practices in developing recruitment assessment tools</li><li>• Create a new and enhanced marketing/outreach strategy</li></ul> <hr/> <p><b>OEE0/EXRM</b></p> <ul style="list-style-type: none"><li>• Develop annual plan for career fairs to attend</li></ul>                                                              |                              |
| SO 1.4 Increase employee engagement                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                              |
| <p><b>PG1.4.1</b> Promote and recognize innovation and creativity</p> <ul style="list-style-type: none"><li>• <b>SI14:</b> Research, develop, and implement an award policy that encourages and recognizes innovation</li><li>• <b>SI15:</b> Train workforce on problem solving and framing methods to encourage innovation through alternative approaches</li></ul> <p><b>PG1.4.2</b> Build commitment to employee engagement</p> <ul style="list-style-type: none"><li>• <b>SI16:</b> Implement agency employee engagement initiative</li><li>• <b>SI17:</b> Train the workforce on New IQ</li></ul> <p><b>PG1.4.3</b> Promote work-life balance</p> <ul style="list-style-type: none"><li>• <b>SI18:</b> Develop and provide training and informational opportunities on work-life balance to the workforce</li><li>• <b>SI19:</b> Provide wellness and safety activities for the workforce</li></ul> | <p><b>EXRM</b></p> <ul style="list-style-type: none"><li>• Develop and implement an award policy that encourages and recognizes innovation</li><li>• Develop informational or training opportunities for work-life issues</li><li>• Implement the action plans from the Employee Engagement Initiative</li></ul> <hr/> <p><b>OEE0</b></p> <ul style="list-style-type: none"><li>• Launch New IQ Training</li></ul>                                                                                                               |                              |

## Strategic Goal 2: Prevention

### *Prevent hazardous products from reaching consumers*

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

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

- Providing surveillance for the myriad of consumer products imported and domestically manufactured under CPSC jurisdiction;
- Advancing data analysis and research capability to identify existing and potential emerging consumer product hazards, particularly those linked to rapid advances in technology, such as the use of nanoparticles;
- Addressing changes in traditional manufacturing methods, such as additive manufacturing using 3-D printers, and eCommerce sales and distribution options;
- Helping develop voluntary standards and adopting mandatory regulations to address existing product hazards and product hazards resulting from new technologies; and
- Identifying, researching, and informing the public about chemical or chronic hazards in consumer products.

#### STRATEGIC OBJECTIVE 2.1

Improve identification and assessment of hazards to consumers

#### STRATEGIC OBJECTIVE 2.2

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

#### STRATEGIC OBJECTIVE 2.3

Increase capability to identify and stop imported hazardous consumer products

**Table 2: Strategic Goal 2 – Strategic Initiatives and FY 2017 Priority Activities**

| 2016-2020 Strategic Plan<br>Performance Goals (PG),<br>Strategic Initiatives (SI)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | FY 2017<br>Priority Activity                                                                                                                                                                                                                                                                                                                                               |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>SO 2.1</b> Improve identification and assessment of hazards to consumers                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                            |
| <p><b>PG2.1.1</b> Increase agency capacity to analyze hazard data</p> <ul style="list-style-type: none"> <li>• <b>SI1:</b> Enhance IT solutions and data-mining techniques to improve data collection and analysis</li> <li>• <b>SI2:</b> Identify alternative sources of data that will assist in hazard analysis and monitoring</li> </ul> <p><b>PG2.1.2</b> Improve quality and specificity of hazard information</p> <ul style="list-style-type: none"> <li>• <b>SI3:</b> Promote a universal product identifier to improve product traceability</li> <li>• <b>SI4:</b> Research and implement methods for improving completeness of data submitted to the CPSC</li> <li>• <b>SI5:</b> Research and implement methods to increase the number of incident samples available for analysis</li> </ul> <p><b>PG2.1.3</b> Improve agency capacity to identify and assess chronic hazards</p> <ul style="list-style-type: none"> <li>• <b>SI6:</b> Develop a plan to enhance chronic hazard assessments</li> <li>• <b>SI7:</b> Enhance coordination with relevant federal agencies working on chronic hazards</li> </ul> | <p><b>EXHR</b></p> <ul style="list-style-type: none"> <li>• Enhance software (server SAS, text mining and pattern recognition)</li> <li>• Recruit new hospitals to join NEISS</li> <li>• Initiate the establishment of the NIEHS-led nanotechnology center</li> <li>• Conduct a hazard analysis and quantitative risk assessment on crumb rubber in playgrounds</li> </ul> |

| 2016-2020 Strategic Plan<br>Performance Goals (PG),<br>Strategic Initiatives (SI)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | FY 2017<br>Priority Activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>SO 2.2</b> Lead efforts to improve the safety of consumer products before they reach the marketplace                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <p><b>PG2.2.1</b> Increase manufacturers', importers', and retailers' use of consumer product safety best practices</p> <ul style="list-style-type: none"> <li>• <b>SI8:</b> Deliver training events and collaborate on consumer product safety best practices with foreign manufacturers and domestic manufacturers, importers, and retailers</li> <li>• <b>SI9:</b> Finalize Trusted Trader Program</li> </ul> <p><b>PG2.2.2</b> Participate actively in the development of consumer product voluntary standards and develop mandatory regulations for products that pose an unreasonable risk of injury</p> <ul style="list-style-type: none"> <li>• <b>SI10:</b> Conduct research, as appropriate, to enable development and improvement of consumer product voluntary standards and mandatory regulations</li> <li>• <b>SI11:</b> Develop a process to facilitate the frequent monitoring and assessment of the effectiveness of standards and mandatory regulations</li> <li>• <b>SI12:</b> Enhance staff training and internal operations to improve the voluntary consensus standards development process</li> <li>• <b>SI13:</b> Identify and target top consumer product hazards, based on risk and addressability</li> </ul> <p><b>PG2.2.3</b> Engage federal, state and foreign governments on product safety</p> <ul style="list-style-type: none"> <li>• <b>SI14:</b> Deliver targeted federal, state, and foreign government outreach, (e.g., summits, trainings, staff exchanges, and best practice exchanges)</li> <li>• <b>SI15:</b> Improve international information-sharing capability</li> </ul> <p><b>PG2.2.4</b> Increase efforts to drive the discovery and innovation of safety solutions</p> <ul style="list-style-type: none"> <li>• <b>SI16:</b> Develop initiatives to drive the discovery and innovation of safety solutions for acute and chronic hazards, emerging technologies, and product trends with potential to affect consumer product safety</li> </ul> | <p><b>EXHR</b></p> <ul style="list-style-type: none"> <li>• Develop a staff Voluntary Standards Training program</li> </ul> <p><b>EXIP</b></p> <ul style="list-style-type: none"> <li>• Improve cooperation with European authorities on product safety policy</li> <li>• Expand overseas training of U.S. product safety requirements for foreign suppliers and buyers and sourcing professionals representing U.S. importers</li> <li>• Support activities of CPSC Beijing Office in providing a full program of product safety training for industry and effective coordination with Chinese government product safety authorities</li> <li>• Provide the agency's product safety messaging at international fora in which the CPSC represents the U.S. government</li> <li>• Conduct training for industry representatives outside the United States with focus on consumer products as warranted by recent trends</li> <li>• Coordinate an annual joint outreach campaign with OECD</li> <li>• Develop and implement first CPSC industry training seminar in China with focus on design</li> <li>• Produce four new episodes of product safety video series for Chinese manufacturers</li> </ul>                                             |
| <b>SO 2.3</b> Increase capability to identify and stop imported hazardous consumer products                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <p><b>PG2.3.1</b> Fully implement the CPSC's risk assessment methodology</p> <ul style="list-style-type: none"> <li>• <b>SI17:</b> Implement full-production RAM compliant with the U.S. government's "Single Window" initiative</li> </ul> <p><b>PG2.3.2</b> Decrease time required to process imported products subject to inspection</p> <ul style="list-style-type: none"> <li>• <b>SI18:</b> Develop and uniformly implement enforcement guidelines for admissibility determinations for imported products</li> <li>• <b>SI19:</b> Fund and Implement products covered under section 15(j) and develop methods to facilitate the identification of defective products at ports of entry</li> <li>• <b>SI20:</b> Streamline compliance notification to importers of noncompliant products electronically through the CPSC's RAM system, which will be integrated into the U.S. government's "Single Window" initiative</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <p><b>EXC</b></p> <ul style="list-style-type: none"> <li>• Implement tracking label enforcement policy at U.S. ports of entry</li> </ul> <p><b>EXIS</b></p> <ul style="list-style-type: none"> <li>• Support the "Single Window" platform by implementing a pilot program to collect targeting/enforcement data with volunteers from the trade: With Commission approval, the CPSC Partner Government Agency (PGA) Message Set pilot would be migrated to the "beta" testing phase, provided the "alpha" phase proves successful.</li> <li>• Work with EXIT in transitioning to pilot RAM 2.0 from pilot RAM 1.0, as well as supporting additional functionality in pilot RAM 2.0</li> <li>• Hire and train 10 staff, an increase of approximately 25 percent of EXIS current staffing levels (pending final FY 2017 appropriations)</li> <li>• Adapt to the reorganization of CBP's new business processing and targeting functionality, including coordination with CBP's Center of Excellence and Expertise (CEE)</li> </ul> <p><b>EXIT</b></p> <ul style="list-style-type: none"> <li>• Transition from pilot RAM 1.0 to pilot RAM 2.0</li> <li>• Support pilot RAM 2.0 enhancements</li> <li>• Operate and maintain pilot RAM 2.0</li> </ul> |

## Strategic Goal 3: Response

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

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

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

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

### STRATEGIC OBJECTIVE 3.1

Rapidly identify hazardous consumer products for enforcement action

### STRATEGIC OBJECTIVE 3.2

Minimize further exposure to hazardous consumer products

### STRATEGIC OBJECTIVE 3.3

Improve consumer response to consumer product recalls

**Table 3: Strategic Goal 3 – Strategic Initiatives and FY 2017 Priority Activities**

| 2016-2020 Strategic Plan<br>Performance Goals (PG),<br>Strategic Initiatives (SI)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | FY 2017<br>Priority Activity                                                                                                                                                                                                                                                                        |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>SO 3.1</b> Rapidly identify hazardous consumer products for enforcement action                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                     |
| <p><b>PG3.1.1</b> Improve collection, prioritization, and assessment of data on potential consumer product hazards</p> <ul style="list-style-type: none"> <li>• <b>SI1:</b> Determine the feasibility of implementing an e-filing process for manufacturers, importers, retailers, distributors, and third party platform providers to submit incident data and/or Section 15(b) reports</li> <li>• <b>SI2:</b> Review current processes and identify opportunities to refine sample analysis priorities and reduce processing time</li> <li>• <b>SI3:</b> Use multidisciplinary teams to address high-priority cases quickly</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <p><b>EXC</b></p> <ul style="list-style-type: none"> <li>• Explore establishing a triage team to prioritize Section 15 cases</li> <li>• Conduct research on the submission of incident data from third party platform and eCommerce websites</li> </ul>                                             |
| <b>SO 3.2</b> Minimize further exposure to hazardous consumer products                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                     |
| <p><b>PG3.2.1</b> Increase speed of corrective actions</p> <ul style="list-style-type: none"> <li>• <b>SI4:</b> Explore the feasibility of an expedited approach to CAPs for lower-level consumer product hazards</li> </ul> <p><b>PG3.2.2</b> Improve effectiveness of corrective actions</p> <ul style="list-style-type: none"> <li>• <b>SI5:</b> Implement electronic submission of progress reports from recalling firms</li> <li>• <b>SI6:</b> Review the CPSC corrective action monitoring process to address priority recalls and achieve operational efficiencies</li> <li>• <b>SI7:</b> To the limits of the CPSC's authorities, inform foreign product safety regulators about interventions undertaken in the United States and encourage them to take appropriate steps</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                   | <p><b>EXC</b></p> <ul style="list-style-type: none"> <li>• Provide recalling firms the ability to submit monthly progress reports online</li> <li>• Review recall monitoring data</li> <li>• Train foreign regulators on U.S. requirements</li> </ul>                                               |
| <b>SO 3.3</b> Improve consumer response to consumer product recalls                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                     |
| <p><b>PG3.3.1</b> Increase consumer motivation</p> <ul style="list-style-type: none"> <li>• <b>SI8:</b> Conduct additional recall effectiveness checks throughout a recall to determine if a corrective action is effective</li> <li>• <b>SI9:</b> Request firms to use incentives, enhanced notices, and an effectiveness evaluation as part of a CAP</li> </ul> <p><b>PG3.3.2</b> Improve direct contact with consumers</p> <ul style="list-style-type: none"> <li>• <b>SI10:</b> Explore technological solutions that inform consumers about recalled durable infant and toddler products</li> <li>• <b>SI11:</b> Increase the number of consumers signed up for recall updates via email</li> </ul> <p><b>PG3.3.3</b> Improve understanding of consumer response</p> <ul style="list-style-type: none"> <li>• <b>SI12:</b> Enhance interagency collaboration (domestic and foreign) on best practices to increase consumer response</li> <li>• <b>SI13:</b> Identify and test strategies to evaluate the effectiveness of initiatives to change consumer behavior</li> <li>• <b>SI14:</b> Meet with industry, consumer groups, and other government agency stakeholders to discuss how to increase response rates</li> </ul> | <p><b>EXC</b></p> <ul style="list-style-type: none"> <li>• Evaluate recall data to determine areas of improvement as it relates to recall effectiveness and to identify effective recall remedies</li> <li>• Evaluate alternative methods of notifying affected consumers about a recall</li> </ul> |

## Strategic Goal 4: Communication

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

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

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

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

### STRATEGIC OBJECTIVE 4.1

Improve usefulness and availability of consumer product safety information

### STRATEGIC OBJECTIVE 4.2

Increase dissemination of useful consumer product safety information

### STRATEGIC OBJECTIVE 4.3

Increase and enhance collaboration with stakeholders



**Table 4: Strategic Goal 4 - Strategic Initiatives and FY 2017 Priority Activities**

| 2016-2020 Strategic Plan<br>Performance Goals (PG),<br>Strategic Initiatives (SI)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | FY 2017<br>Priority Activity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>SO 4.1</b> Improve usefulness and availability of consumer product safety information                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <p><b>PG4.1.1</b> Implement evaluation tools to measure message usefulness</p> <ul style="list-style-type: none"> <li><b>SI1:</b> Assess the utility of CPSC safety messages using best practices from federal and private sectors</li> <li><b>SI2:</b> Identify best practices from federal and private sectors for assessing the utility of safety information</li> </ul> <p><b>PG4.1.2</b> Implement enhanced tools to increase availability of safety information</p> <ul style="list-style-type: none"> <li><b>SI3:</b> Design and develop new online communications and printed materials</li> <li><b>SI4:</b> Improve <a href="http://www.CPSC.gov">www.CPSC.gov</a> search functions, Frequently Asked Questions on <a href="http://www.CPSC.gov">www.CPSC.gov</a>, and mobile compatibility</li> </ul>                                                                                                                                                                                                                                                                                                   | <p><b>OCM</b></p> <ul style="list-style-type: none"> <li>Conduct an overview of best practices by federal agencies and private sector</li> <li>Conduct focus group to assess CPSC messaging on one topic</li> <li>Monitor media impressions of and social media engagement with CPSC safety messages</li> </ul> <hr/> <p><b>EXIT</b></p> <ul style="list-style-type: none"> <li>Operate and maintain agency websites</li> </ul>                                                                                                       |
| <b>SO 4.2</b> Increase dissemination of useful consumer product safety information                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <p><b>PG4.2.1</b> Expand and enhance the CPSC “brand”</p> <ul style="list-style-type: none"> <li><b>SI5:</b> Identify and implement specific strategies to enhance the CPSC “brand”</li> <li><b>SI6:</b> Implement survey to collect data on public awareness of how the CPSC keeps consumers safe</li> </ul> <p><b>PG4.2.2</b> Expand communications with targeted audiences</p> <ul style="list-style-type: none"> <li><b>SI7:</b> Explore strategies to communicate and interact directly with the most at-risk consumers (micro-targeting strategies)</li> </ul> <p><b>PG4.2.3</b> Increase use of enhanced communication technology to advance consumer safety</p> <ul style="list-style-type: none"> <li><b>SI8:</b> Enhance CPSC websites to make them compatible with mobile devices</li> </ul> <p><b>PG4.2.4</b> Increase timeliness of CPSC information dissemination</p> <ul style="list-style-type: none"> <li><b>SI9:</b> Develop new and enhanced safety alerts, posters, blogs, and toolkits that can be disseminated quickly to respond to known and emerging consumer product hazards</li> </ul> | <p><b>OCM</b></p> <ul style="list-style-type: none"> <li>Develop plan to rebrand publications and alerts</li> <li>Use national awareness survey data to communicate with consumers more effectively</li> <li>Conduct community outreach events aiming at raising awareness and preventing injuries from four priority hazard areas – child drownings, child poisonings, furniture/TV tip-overs, and baby safety when sleeping</li> <li>Develop new messages, activities, and events surrounding 24 targeted safety program</li> </ul> |
| <b>SO 4.3</b> Increase and enhance collaborations with stakeholders                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <p><b>PG4.3.1</b> Increase agency-wide collaboration capacity</p> <ul style="list-style-type: none"> <li><b>SI10:</b> Develop an agency reporting mechanism and system for documenting collaboration activities</li> <li><b>SI11:</b> Develop annual agency collaboration plan</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <p><b>EXIP</b></p> <ul style="list-style-type: none"> <li>Conduct training for foreign counterpart regulators</li> <li>Administer International Training Exchange Program with foreign counterpart regulators</li> </ul> <hr/> <p><b>OCM</b></p> <ul style="list-style-type: none"> <li>Develop CPSC collaboration plan across agency divisions to increase and enhance collaborations with stakeholders</li> <li>Complete closeout of the five <i>Pool Safely</i> grant awards</li> </ul>                                            |

**U.S. Consumer Product Safety Commission**

Bethesda, MD 20814