



UNITED STATES  
**CONSUMER PRODUCT SAFETY COMMISSION**  
4330 EAST WEST HIGHWAY  
BETHESDA, MD 20814

COMMISSIONER PETER A. FELDMAN

May 8, 2019

The Honorable Frank Pallone, Jr.  
Chairman  
Committee on Energy and Commerce  
2125 Rayburn House Office Building  
Washington, DC 20515-6115

Dear Chairman Pallone:

Attached please find responses to the written questions for the record submitted by you and other Members of the Subcommittee in connection with the April 9, 2019, hearing entitled "Protecting Americans from Dangerous Products: Is the Consumer Product Safety Commission Fulfilling Its Mission?"

Thank you again for the opportunity to testify before the Subcommittee. Should you have any questions or require additional information, please do not hesitate to contact me or Christopher Hudgins, Director of Congressional Relations, at (301) 504-7853, or by e-mail at [chudgins@cpsc.gov](mailto:chudgins@cpsc.gov).

Sincerely,

A handwritten signature in blue ink that reads "Peter A. Feldman".

Peter A. Feldman

Attachments

cc: The Honorable Greg Walden  
Ranking Member  
Committee on Energy and Commerce

The Honorable Jan Schakowsky  
Chairman  
Subcommittee on Consumer Protection and Commerce

The Honorable Cathy McMorris Rodgers  
Ranking Member  
Subcommittee on Consumer Protection and Commerce

The Honorable Robin L. Kelly:

- 1. Do you think, given the current state of our nation’s gun violence epidemic, if the CPSC were empowered – under the law, and with adequate resources and funding – to regulate firearms it would have a demonstrable impact in reducing gun violence?**

The United States Consumer Product Safety (CPSC) currently lacks jurisdiction over firearms and ammunition. *See* 15 U.S.C. § 2052(a)(5)(E) (excluding these articles and their component parts from the definition of “consumer product”). Further, Congress restricted CPSC from promulgating regulations that restrict “the manufacture or sale of firearms, firearms ammunition, or components of firearms ammunition, including black powder or gunpowder for firearms.” 15 U.S.C. § 2080 note.

As a CPSC commissioner, my role is to enforce the law as it is written. I have pledged to faithfully execute the law without fear or favor and I take this commitment seriously.

- 2. What can we – as a committee and Congress – do additionally to further empower the CPSC to help keep us safe and tackle our nation’s gun violence epidemic, including increasing the Commission’s funding?**

Under its current statute, the CPSC lacks jurisdiction over firearms, ammunition, and certain component parts thereof.

With respect to increased funding, CPSC is a small agency with a broad mission and limited resources. There are specific areas where additional funding would be helpful, as reflected in the agency’s recent budget request to Congress for fiscal year 2020. A copy of that request is attached. Simply throwing more money at an agency isn’t always the right answer. I would like to explore how the agency can operate more efficiently, and would be happy to discuss further.

# Fiscal Year 2020

## Performance Budget Request to Congress



March 18, 2019

Our Mission: *Keeping Consumers Safe*



## About the Consumer Product Safety Commission (CPSC)

The Commission consists of five members appointed by the President with the advice and consent of the Senate. The Chairman is the head of the Commission and principal executive officer of the CPSC.

The CPSC is an independent federal regulatory agency with a public health and safety mission to protect the public from unreasonable risks of injury and death from consumer products.

The Consumer Product Safety Act (CPSA) created the CPSC in 1972. In addition to the CPSA, as amended by the Consumer Product Safety Improvement Act of 2008 (CPSIA), and Public Law No. 112-28, the CPSC administers the Federal Hazardous Substances Act, the Flammable Fabrics Act, the Poison Prevention Packaging Act, the Refrigerator Safety Act, the Virginia Graeme Baker Pool and Spa Safety Act, the Children's Gasoline Burn Prevention Act, the Labeling of Hazardous Art Materials Act, the Drywall Safety Act of 2012, and the Child Nicotine Poisoning Prevention Act.

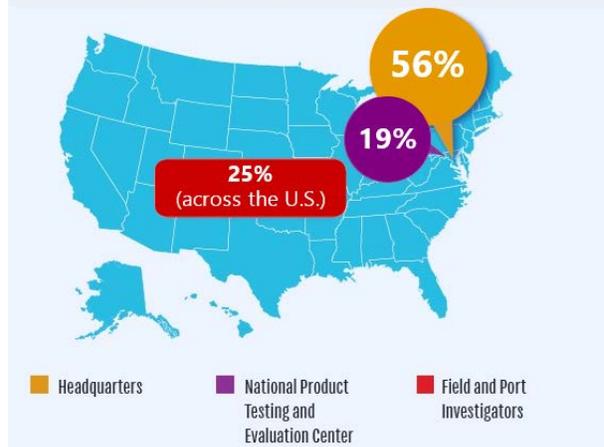
The CPSC has jurisdiction over thousands of types of consumer products used in and around the home, in recreation, and in schools, from children's toys to portable gas generators and toasters. Although our regulatory purview is quite broad, a number of product categories fall outside the CPSC's jurisdiction.<sup>1</sup>

The CPSC accomplishes its mission to protect consumers against the unreasonable risk of injury and death associated with consumer products by using analysis, regulatory policy, compliance and enforcement, and education to identify and address product safety hazards. This important work includes:

- **Hazard Identification and Assessment**—collecting information and developing injury and death statistics regarding the use of products under the CPSC's jurisdiction;
- **Voluntary Standards<sup>2</sup> and Mandatory Regulations<sup>3</sup>**—participating in the development and strengthening of voluntary standards and developing mandatory regulations;
- **Import Surveillance**—using a risk assessment methodology (RAM) to analyze import data to identify and interdict violative consumer products before they enter the United States;
- **Compliance and Enforcement**—enforcing compliance with mandatory regulations and removing defective products through compliance activities, such as recalls or other corrective actions, and litigating, when necessary;
- **Public Outreach**—educating consumers, families, industry, and state, local, and foreign governments about safety programs and alerts, recalls, emerging hazards, mandatory regulations, voluntary standards, and product safety requirements in the United States;
- **Intergovernmental Coordination**—coordinating work on product safety issues with other federal government stakeholders; and
- **Cooperation with Foreign Governments**—leveraging work with foreign government safety agencies, bilaterally and multilaterally, to improve safety for U.S. consumers.

### Employees by Location

One-quarter of the CPSC's workforce is stationed in the field, where staff focuses on compliance and enforcement, including inspections of imported shipments and retail establishments to identify harmful consumer products.



<sup>1</sup> Different federal agencies regulate other product categories, such as automobiles; boats; alcohol, tobacco, and firearms; foods, drugs, cosmetics, and medical devices; and pesticides.

<sup>2</sup> A "voluntary standard" is a consensus product standard and/or safety standard. See [www.cpsc.gov/Regulations-Laws--Standards/Voluntary-Standards](http://www.cpsc.gov/Regulations-Laws--Standards/Voluntary-Standards) for a description of CPSC Voluntary standards activities.

<sup>3</sup> A "mandatory regulation" is a mandatory standard and called a technical regulation.

# Table of Contents

## Budget Discussion

### Summary of Changes

FY 2020 Budget Adjustments .....	1
Table 1 – Summary of Changes from the FY 2019 Enacted .....	1
Proposed Appropriations Language .....	1

### Executive Summary

Budget Priorities .....	2
Budget Overview .....	3

### Budget Discussion by Strategic Goal

Strategic Plan .....	5
Table 2 – FY 2020 Request by Strategic Goal and Program Component .....	5
Strategic Goal 1 .....	6
Strategic Goal 2 .....	8
Strategic Goal 3 .....	12
Strategic Goal 4 .....	15

Strategic Crosscutting Priorities and Risks .....	18
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## Standards and Rulemakings

Voluntary Standards Summary .....	22
Mandatory Standards Summary .....	25

## Annual Performance Plan

2018–2022 Strategic Plan Summary .....	28
Key Performance Measure Summary .....	29
Annual Performance Plan Details .....	31

## Appendices

<b>Appendix A</b> – Unfunded Priorities previously submitted by the Commission .....	41
<b>Appendix B</b> – Technical Budget Tables	
Table 3 – Program and Financing Schedule .....	44
Table 4 – Object Classification Schedule and Personnel Summary .....	45
Table 5 – CPSC FTEs by Organization .....	46
Table 6 – Inspector General Budget Request .....	47
<b>Appendix C</b> – Acronyms .....	48
<b>Appendix D</b> – Organizational Structure .....	49

## Summary of Changes

### FY 2020 Budget Adjustments

#### Maintain Current Levels

- **Pay (\$0.8 million):** The CPSC will repurpose \$0.8 million to personnel salary and benefits to partially fund the inflationary personnel costs to maintain the required FY 2019 staffing level. As directed by the Office of Management and Budget (OMB), this amount assumes no pay raise in FY 2020 (see Appendix A on page 41 for additional information on the salary and benefits funding shortfall).

#### Changes to Program

- **Future Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) Grants (-\$0.8 million):** The CPSC will continue to award VGB Act grants using the available no-year appropriation balances provided in the FY 2018 and FY 2019 appropriations processes. No additional grants awards are planned after the current unobligated balances are exhausted.

**Table 1: Summary of Changes from the FY 2019 Enacted**  
(Dollars in millions)

	Dollars
<b>FY 2019 Enacted*</b>	<b>\$127.0</b>
<b>Maintain Current Levels:</b>	
➤ Pay	\$0.8
<b>Changes to Program:</b>	
➤ Future VGB Act Grants	-\$0.8
<b>Proposed FY 2020 CPSC Budget</b>	<b>\$127.0</b>

### Proposed Appropriations Language

#### U.S. Consumer Product Safety Commission Salaries and Expenses

For necessary expenses of the U.S. Consumer Product Safety Commission, including hire of passenger motor vehicles, services as authorized by 5 U.S.C. 3109, but at rates for individuals not to exceed the per diem rate equivalent to the maximum rate payable under 5 U.S.C. 5376, purchase of nominal awards to recognize non-federal officials' contributions to Commission activities, and not to exceed \$4,000 for official reception and representation expenses, \$127,000,000.

\* Due to the timing of the enactment of the full-year FY 2019 appropriation and the preparation of this document, OMB directed agencies to reflect the annualized amount under the continuing resolution for FY 2019 in technical budget tables (see Tables 3 and 4 in Appendix B [pp. 44-45]). In all other sections of this document, the FY 2019 level reflects the full-year enacted FY 2019 appropriation amount.

## Executive Summary

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### CPSC Budget Priorities

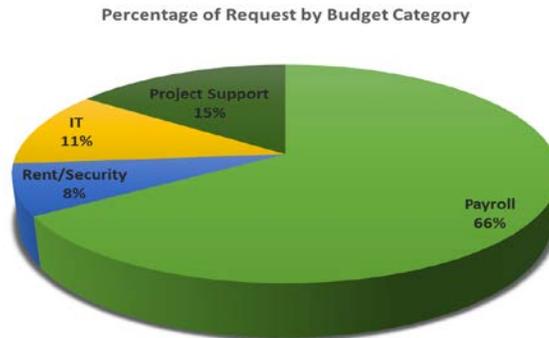
The U.S. Consumer Product Safety Commission (CPSC) requests \$127 million for FY 2020. The FY 2020 Performance Budget Request (*Request*) is the same as the FY 2019 enacted level. The FY 2020 *Request* supports the CPSC's mission of "Keeping Consumers Safe."

The CPSC is committed to working within the resources provided by Congress and is mindful of the fiscal constraints government-wide. To accomplish the CPSC's mission, and to achieve the agency's Strategic Goals, the CPSC bases this *Request* on four priorities:

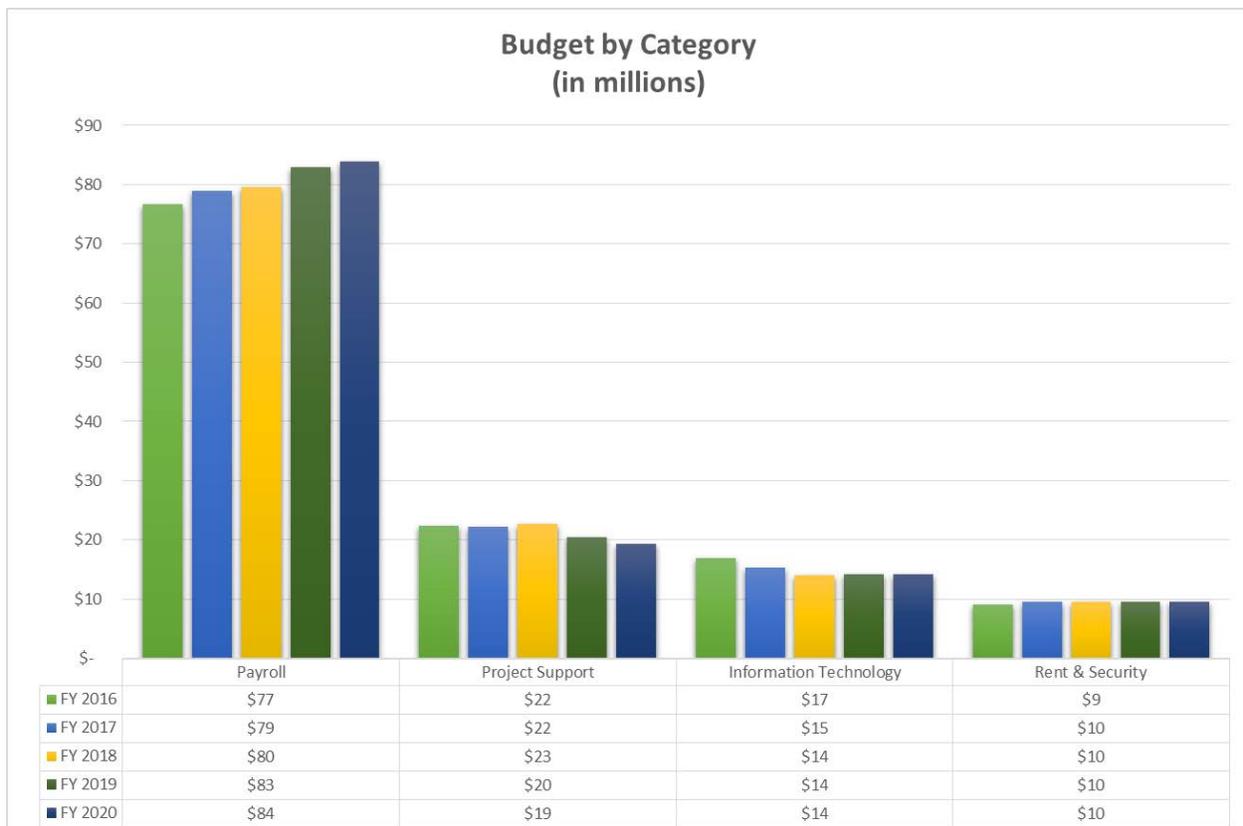
- **Focus on Risk:** The CPSC will prioritize its resources on the products with the highest consumer product safety risks. The CPSC will accomplish this by using data to guide decisions and policy; working with standards development organizations to develop voluntary standards; assessing mandatory standard-setting activities; and revisiting the efficacy of existing regulations, when necessary. To advance data-based decision-making, the CPSC will invest in analytical tools and technology and expand its data sources.
- **Import Surveillance:** The CPSC will continue to support import surveillance by operating, maintaining, and developing the Risk Assessment Methodology (RAM) system to identify and stop noncompliant imported products from entering the U.S. marketplace. The CPSC will accomplish this by allocating full-time staff to conduct inspections and clear compliant cargo quickly at the highest-volume ports of entry and by analyzing the ways in which e-commerce is evolving the global supply chain.
- **Collaboration, Education, and Outreach:** The CPSC will emphasize collaboration, education, and outreach by engaging all stakeholders through forums, advisory groups, seminars, webinars, technical stakeholder-to-government discussions, and workshops. In addition, the CPSC will continue to emphasize and expand the work of the agency's Small Business Ombudsman (SBO), use information and insight gained from workshops (*e.g.*, recall effectiveness and the Internet of Things [IoT]), proactively engage industry and international stakeholders at all levels, and provide information and education to consumers to enable informed decision making. The CPSC will collaborate with other federal agencies and industry through research and sharing data to leverage the broader stakeholder community to advance consumer product safety.
- **Data-Driven:** The CPSC will seek to expand the data analysis tools, sources, and types of analysis used to identify and assess hazards and inform solutions to address them. The CPSC will accomplish this by augmenting analytical and trend-assessment protocols and making better use of retailer reports. These efforts will expand and improve the CPSC's capabilities to identify and analyze emerging hazards and reinforce the data-driven nature of the agency's work.

### CPSC Budget Overview

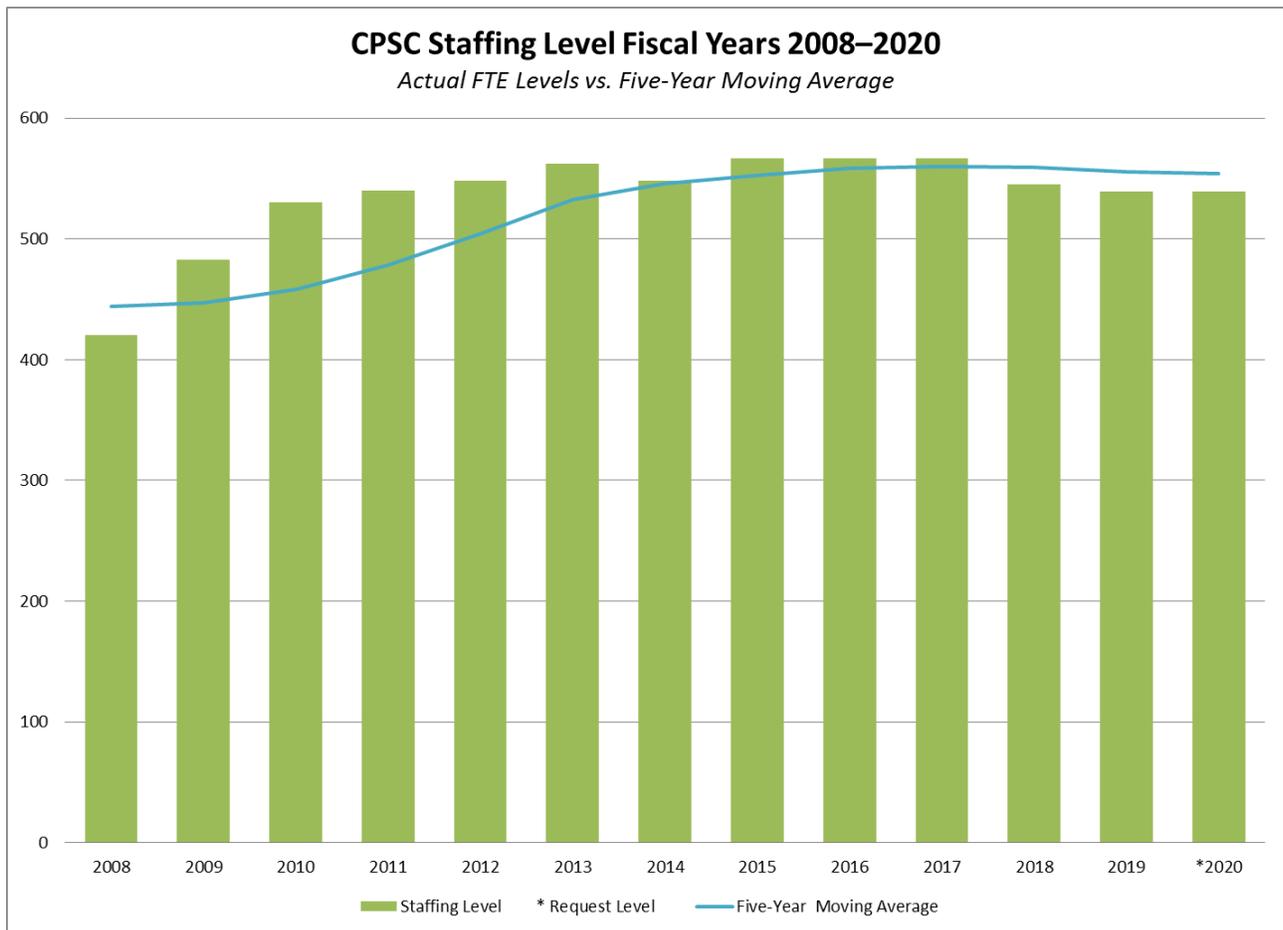
The CPSC is a small, independent agency with a vast responsibility to protect consumers against unreasonable risks of injury and death associated with consumer products. The CPSC has an enacted FY 2019 budget level of \$127 million and requests \$127 million for FY 2020. The requested FTE level remains unchanged at the FY 2019 estimated level of 539.



The FY 2020 *Request* consists of four categories of spending: personnel compensation and benefits (*i.e.*, payroll); project support; information technology (IT); and rent and security. The FY 2020 payroll of \$84 million funds 539 FTEs with the exception of some inflationary costs that are not included, as described in Appendix A (page 41). The \$19 million for project support covers contract, equipment, travel, training, and other non-IT expenses for mission operations and agency administration, including analysis of consumer products and operating costs for the agency’s field and port employees. The \$14 million is for IT systems, and \$10 million is for rent and security.



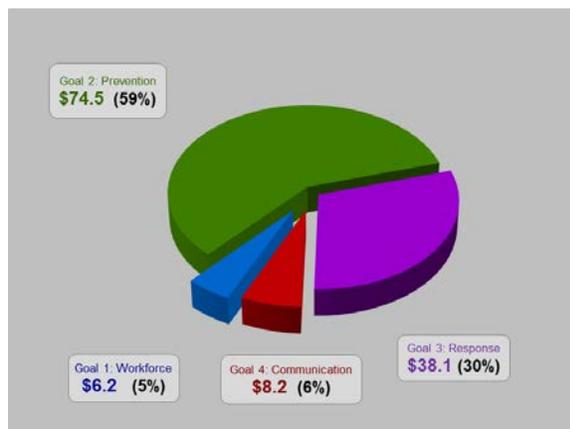
The CPSC, like all federal agencies, operates in a constrained fiscal environment. Unfortunately, the CPSC’s funding level has been insufficient to keep pace with the evolving consumer product marketplace and staying abreast of issues such as e-commerce, analysis of expanding data streams, and modernization of data analysis tools. Specifically, the agency has had insufficient funding to meet its rising payroll costs to maintain staff at prior years’ levels and also maintain the necessary IT systems, product analysis, and rent escalation costs. Consequently, the agency has made a number of unsustainable trade-offs, reallocating funding from capital investments and product analysis to cover rising payroll costs. Even with these shifts in funding, the agency cannot sustain the necessary workforce levels because payroll costs continue to move incrementally higher. The CPSC identified this funding shortfall risk through the agency’s Enterprise Risk Management (ERM) process (see page 20).



## Budget Discussion by Strategic Goal

### CPSC Strategic Plan

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 has four Strategic Goals designed to realize the vision and achieve its mission. The CPSC’s programs align with these Strategic Goals, and the agency implements them to achieve the goals outlined in the CPSC’s *2018–2022 Strategic Plan*. The Strategic Goals are:



Above: CPSC FY 2020 Request by Strategic Goal (in millions)

- **Workforce**—Cultivate the most effective consumer product safety workforce
- **Prevention**—Prevent hazardous products from reaching consumers
- **Response**—Respond quickly to address hazardous consumer products both in the marketplace and with consumers
- **Communication**—Communicate relevant information quickly and effectively to better inform decisions

The CPSC requests \$127 million for FY 2020.

**Table 2: FY 2020 Request by Strategic Goal and Program Component**  
(Dollars in thousands)

Agency Total	FY 2020 Request	=	Goal 1 Workforce	+	Goal 2 Prevention	+	Goal 3 Response	+	Goal 4 Communication
	\$127,000		\$6,152		\$74,482		\$38,145		\$8,221
Commissioners	\$3,429		\$206		\$2,297		\$686		\$240
Hazard Identification	\$32,447		\$0		\$27,023		\$5,424		\$0
Compliance & Field	\$24,324		\$0		\$1,460		\$22,864		\$0
Import Surveillance	\$6,918		\$0		\$6,918		\$0		\$0
International Programs	\$1,807		\$0		\$1,439		\$0		\$368
Communications	\$4,282		\$0		\$0		\$0		\$4,282
Information Technology	\$20,329		\$1,085		\$14,737		\$3,388		\$1,119
General Counsel	\$8,057		\$483		\$5,386		\$1,612		\$576
Agency Management and Support	\$14,591		\$3,736		\$7,970		\$2,015		\$870
Rent/Security	\$9,565		\$574		\$6,408		\$1,913		\$670
Inspector General	\$1,251		\$68		\$844		\$243		\$96



## Strategic Goal 1: Workforce (\$6.2 million)

The FY 2020 *Request* allocates \$6.2 million for Strategic Goal 1 —**Workforce**— focused on cultivating the most effective consumer product safety workforce. The CPSC’s approach to **Workforce** involves enhancing human capital planning and alignment, increasing opportunities for professional development, and improving recruitment strategies to attract talented, diverse, and committed staff. The strategy also emphasizes increasing employee engagement by promoting and rewarding staff innovation and creativity, strengthening leadership competencies, and increasing managers’ commitment to fostering employee engagement in the workplace.

### Mission Delivery for **Workforce**

The CPSC *cultivates the most effective consumer product safety workforce* through the following:

		2018 Actual	2019 Estimate	2020 Estimate
<b>Human Capital Planning &amp; Alignment</b>	Percentage of full-time equivalents (FTEs) utilized	97%	96%	96%
<b>Recruiting a talented &amp; diverse workforce</b>	Percentage of hiring managers trained on recruitment	82.6%	75%	80%

## Workforce Challenges

The CPSC faces potential skill gaps resulting from the use of new and emerging technologies in the design, manufacture, and operation of consumer products, as well as in mission-support functions, including IT, Procurement, and Human Resources.

To address the increasing use of emerging technologies in consumer products, the CPSC will need access to expertise in new technical areas and specializations. The consumer product marketplace is evolving rapidly with the development, application, and availability of products involving new technologies, such as the

Internet of Things, smart technology, robotics, artificial intelligence, virtual and augmented reality (AR/VR), and high-energy density power supplies (*e.g.*, lithium ion batteries).

The CPSC needs to expand staff expertise to build on initial efforts in these difficult to recruit technical areas and fulfill the agency’s mission to protect consumers from potential hazards in products that involve emerging technologies.

A shortage of talent in mission-support areas, particularly IT, Procurement, and Human Resources, is recognized across the federal government. The CPSC will look for creative ways to create a pipeline of highly skilled professionals to fill these positions. Through targeted recruitment, career paths, developmental and training opportunities, and special hiring authorities, the CPSC will establish and grow the resources needed to support the mission. In FY 2020, the CPSC will continue its ongoing efforts to develop an agency-wide data management and analytics strategy to support the CPSC mission. As part of that initiative, the CPSC will implement all applicable requirements of the OPEN Government Data Act, including hiring or designating a Chief Data Officer within the requested FTE level.

## FY 2020 Budget Initiatives and Activities

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The CPSC is a workforce-driven agency that relies on professional and technical expertise to accomplish the breadth of the agency's mission. The FY 2020 *Request* supports the CPSC's efforts to address many workforce challenges. The CPSC will work toward enhancing effective strategic human capital planning and alignment by continuing to implement its human capital strategic plan, completed in FY 2017. This will help align skills and competencies of the CPSC's workforce with the agency's evolving mission-related needs, enabling performance at higher levels. The agency will also train managers and administrative personnel on human capital reporting. The agency will train 80 percent of managers responsible for hiring on recruitment techniques and will work to achieve a 74 percent score for employee satisfaction with professional development opportunities and a 75 percent score for the Employee Engagement Index



*The CPSC recruits college students for summer internships to build a future generation of safety professionals.*

(EEI), as reported by the Federal Employee Viewpoint Survey (FEVS).

In working toward its objective of fostering a culture of continuous development, the CPSC will develop Individual Development Plans (IDPs) for employees and will continue the agency's mentoring program, which it launched in FY 2018. To train the workforce, the agency will deliver an agency-wide plan, based on assessment and focus groups identifying specific training needs. To attract and recruit a talented and diverse workforce, the agency will work on improving targeted recruitment and providing hiring managers with a diverse pool of highly qualified applicants. The agency will also continue implementing the Pathways recent graduate program. Lastly, the agency will work to increase employee engagement by providing informational opportunities on work-life balance, offering wellness programs, and training employees and supervisors on the telework program. The CPSC will also employ the agency's maximizing employee performance plan, train employees on performance, and train managers on effective performance management.



## Strategic Goal 2: Prevention (\$74.5 million)

The FY 2020 *Request* allocates \$74.5 million to Strategic Goal 2 —**Prevention**— focused on stopping hazardous products from reaching consumers. The agency educates manufacturers on safety requirements and works with foreign counterparts to help build safety into consumer products. The CPSC collaborates with standards development organizations (SDOs) to create and strengthen voluntary standards for consumer products. This involves building consensus through engagement among relevant stakeholders outside the agency. The CPSC develops new mandatory regulations, when necessary, and consistent with statutory authority, in response to identified product hazards.

Another major component of the CPSC's prevention approach is identifying and intercepting hazardous consumer products through import surveillance and inspection programs. The agency conducts establishment inspections of manufacturers, importers, and retailers; monitors Internet and resale markets; responds to industry-generated reports about potentially unsafe products; and tests products for compliance with specific voluntary and mandatory standards.

Mission Delivery for <i>Prevention</i>				
The CPSC <i>prevents hazardous products from reaching consumers</i> through the following activities:				
		2018 Actual	2019 Estimate	2020 Estimate
<b>Data Analysis &amp; Statistics</b>	Incident data cases received from Hospitals	370,000	403,000	411,000
<b>Laboratory</b>	Potentially hazardous products tested	31,082	31,000	31,000
<b>Voluntary Standards Activities</b>	Number of voluntary standards in which CPSC actively participates, in collaboration with SDOs	77	74	72
<b>Import Surveillance</b>	Number of ports with CPSC presence	19	17	17

### Safety Standards: Voluntary & Mandatory

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

The CPSC devotes significant resources under the *Prevention* Strategic Goal to work on voluntary standards. This effort helps to minimize consumer product hazards by integrating safety into the product design and manufacturing stages.

The agency collaborates with SDOs to establish voluntary standards by building consensus on product safety standards among relevant external stakeholders. The CPSC develops new mandatory regulations only when necessary and when consistent with statutory authority.

### Import Surveillance

Two key elements of the CPSC's Import Surveillance program are:

- **CPSC port investigators** are co-located with U.S. Customs and Border Protection (CBP) at U.S. ports of entry. Port investigators identify and interdict noncompliant consumer products from entering the United States.
- **Risk Assessment Methodology (RAM)**, required by Section 222 of the CPSIA, enables the CPSC to identify products imported into the United States that are most likely to violate consumer product voluntary standards and mandatory regulations.

Given that imports represent slightly more than half of available consumer products in the United States and three-quarters of consumer products identified as noncompliant, import surveillance is a crucial part of the CPSC's *Prevention* work.

## FY 2020 Budget Initiatives and Activities

FY 2020 budget initiatives and activities that contribute to effective *Prevention* funded by this *Request* include:

### Data Collection and Analysis

The CPSC is a data-driven agency. The CPSC collects and analyzes a wide range of data from multiple sources and uses that information to provide a factual basis for identifying emerging hazards, characterizing the number and types of hazards presented by a consumer product or product class, developing voluntary and mandatory standards, and testing products to evaluate safety and compliance with established standards.

Several obstacles constrain the effective collection and use of data. Those obstacles are: (1) difficulty in identifying emerging risks, as compared to known hazards; (2) need for new sources of data on consumer product hazards to inform agency work; (3) insufficient e-commerce data and analysis; and (4) refinement and automation of report processing of hazard data received from retailers relative to identifying emerging risks. The CPSC has formulated initiatives to begin addressing these obstacles, but cannot begin work within the proposed funding level. In response to these obstacles, the agency first recommends augmenting its injury and incident surveillance with a dynamic, ongoing, omnibus survey initiative. Data collected through this survey would support quantification of exposure and risk presented by consumer products from a probability-based sample of consumers. In addition, potential new data sources would include urgent care centers and state and national healthcare databases. The proposal would enhance the CPSC's data analytic capabilities by improving the speed and efficiency of reviewing incidents and other reports, increasing analysis of unstructured data, and assessing opportunities to apply machine learning. Second, to ensure that the CPSC captures emerging consumer product hazards that might be associated with injuries seen in urgent care centers, the CPSC recommends a pilot initiative with approximately 20 urgent care centers to obtain their incident data on consumer product-related visits. The pilot would assess whether there are consumer product hazards that the agency is

## National Electronic Injury Surveillance System

The CPSC collects information on product-related injuries treated in hospital emergency departments (EDs) through the NEISS. This system provides statistically valid national estimates of product-related injuries from a probability sample of hospital EDs and identifies safety issues that may require additional analysis or corrective action. The CPSC collects NEISS data through a national network of healthcare providers under contract with the CPSC and uses the data to identify safety issues that may require additional analysis or corrective action. Other government agencies, consumer advocate organizations, and medical journals also use NEISS data. In FY 2018, the CPSC collected and reviewed 741,000 NEISS cases, 9,400 death certificates, and 3,700 medical examiner and coroner reports.

unable to identify through traditional data collection efforts (*i.e.*, emergency room data). The pilot would ultimately inform whether the CPSC should expand data-collection efforts to include urgent care centers. There are currently 8,774 urgent care centers across the United States; the CPSC collects no data from those centers.

### Port Presence

Currently, the CPSC staffs approximately 5 percent of U.S. ports, covering about 67 percent of all risk-scored consumer product import entry lines. In FY 2020, the CPSC will continue co-locating staff with CBP officers at ports to identify and take action on noncompliant consumer product imports. Staff at the ports will expedite clearance and entry of compliant consumer product cargo, benefiting compliant industry groups. At the FY 2020 *Request* level, the CPSC will match FY 2019 levels by co-locating personnel at approximately 5 percent of all U.S. ports.

### Risk Assessment Methodology (RAM)/Import Surveillance

The agency will continue to emphasize import surveillance by operating the RAM targeting system to identify and stop noncompliant imported products from entering the U.S. marketplace. The FY 2020 *Request* level includes baseline funding to

expand incrementally RAM capabilities. Ongoing and planned enhancements include: (1) CPSC’s new capability of sharing forms electronically with the trade through the Automated Commercial Environment (ACE). ACE is CBP’s system that serves as an interface between importers and federal government agencies that are involved in importing goods into the United States; and (2) new business intelligence features for automated analytics of import data collected by the CPSC.

**Informed Compliance Inspection (ICI) Education and Outreach**

Providing outreach and education to the trade community continues to be an important part of the CPSC’s FY 2020 strategy in working toward preventing hazardous products from reaching consumers. As part of this work, the CPSC conducts ICIs with first-time violators to provide information and resources so that future importations comply with U.S. consumer product laws and regulations.

**International Outreach and Education**

The CPSC works to improve compliance with U.S. voluntary and mandatory standards through outreach and education aimed at foreign manufacturers and regulators. The agency provides education and exchange of best practices to help ensure that foreign suppliers meet U.S. safety requirements. This reduces the need for remedial action or recalls later, benefiting both the U.S. consumer and the manufacturer. In addition, the CPSC maintains a full-time presence in China, with one employee stationed in Beijing.

**Hazards Research Collaborations and Testing**

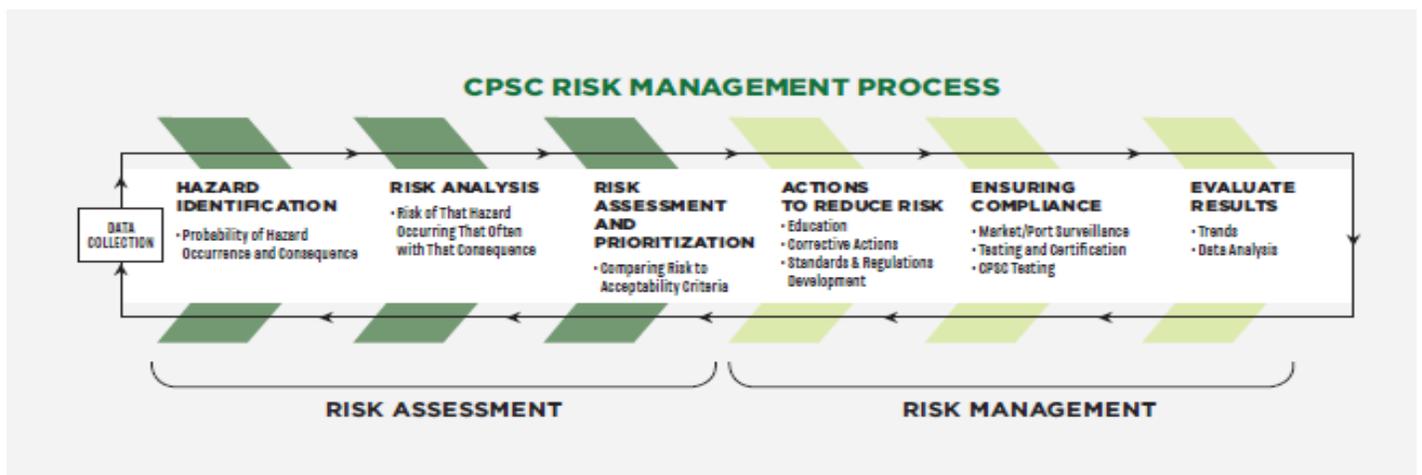
The CPSC’s National Product Testing and Evaluation Center (NPTEC) provides the technical capability to test and analyze consumer product samples the agency collects to determine whether

risks exist from defects or the presence of regulatory violations. In FY 2020, a number of key analytical capital equipment items are due for life-cycle replacement. These items include X-Ray Fluorescence (XRF) spectrometry equipment, deployed at the NPTEC and at ports. The CPSC uses XRF spectrometry to screen and determine levels of lead and other metals in children’s products. The CPSC must also replace its Direct Analysis in Real Time Mass Spectrometry (DART-MS) device for the chemistry laboratory. The CPSC uses DART-MS to screen products for chemicals. The CPSC will also replace Multi-Component Gas Analyzers in the flammability and combustion laboratories; the agency uses this equipment to measure combustion emissions (e.g., carbon monoxide) from fossil fuel-powered appliances.

The CPSC plans to continue testing on rechargeable high-energy density batteries, all-terrain vehicles (ATVs), and nanotechnology research that is coordinated with other federal agencies.

**Voluntary Standards**

The CPSC participates in the voluntary standards process to reduce the risks associated with hazardous consumer products. In many cases, the CPSC’s statutory authority requires the agency to rely on voluntary standards, rather than promulgate mandatory standards, if compliance with a voluntary standard is likely to eliminate or adequately reduce the risk of injury identified, and it is likely that there will be substantial compliance with the voluntary standard. The agency details its proposed voluntary standards participation work on pages 22-24.



**Mandatory Standards**

Absent the criteria described above for voluntary standards, the agency has the authority to promulgate mandatory standards. The CPSC will

continually evaluate the rulemaking agenda and focus the agency's resources on the products presenting the highest consumer product safety risks. The agency details its proposed mandatory standards work on pages 25-26.



## Strategic Goal 3: Response (\$38.1 million)

The FY 2020 *Request* allocates \$38.1 million in support of Strategic Goal 3—**Response**—focused on timely investigation of reports of hazardous consumer products, both in the marketplace and with consumers.

The CPSC's *Office of Compliance and Field Operations* ("Compliance & Field") is CPSC's Goal Leader for Strategic Goal 3—**Response**. The Compliance & Field office has field investigators located across the country; the office is responsible for enforcing rules and conducting surveillance to ensure that hazardous products do not enter or remain in the distribution chain.

Essential elements under **Response** that are led by the Office of Compliance and Field Operations are: (1) identifying hazardous products that are in the marketplace and consumers' hands by investigating reported incidents and conducting establishment inspections; (2) removing the identified hazardous products by working with firms to negotiate corrective actions, including a voluntary recalls, and working with firms to improve consumer response to consumer product recalls.

### Mission Delivery for **Response**

The CPSC *responds quickly to address hazardous consumer products* through the following:

	2018 Actual	2019 Estimate	2020 Estimate
Fast-Track Recalls	199	200	200
Regulatory Recalls	30	25	25
Defect Recalls	36	50	35
Investigations/Inspections	4,822	4,500	4,500

## Identify Hazardous Products

CPSC field investigators identify hazardous consumer products through:

- **Investigating reported incidents and injuries:** To pursue possible defective product leads, CPSC field investigators analyze various incident and injury reports made by medical examiners, fire/police officials, consumers, and state and local governments.
- **Conducting inspections of establishments:** To identify potential regulatory violations of products under CPSC's jurisdiction, as well as product defects that could be harmful, CPSC field investigators conduct inspections of various marketplace establishments, including manufacturers, importers, and retailers and distributors.

One-fourth of CPSC's workforce of approximately 540 employees is stationed in the field, where field staff focuses on *identifying hazardous consumer products*.

*A hazardous consumer product is a consumer product that could harm the public and is defective or noncompliant with CPSC's regulations.*

## Remove Hazardous Products *to Protect Consumers*

Once CPSC field staff has identified a hazardous product, the CPSC takes action to protect consumers by working with the recalling firm in devising a corrective action plan (CAP).<sup>\*</sup> Typically, the CPSC negotiates a CAP with a firm before issuing a recall notice to the public.

<sup>\*</sup>*Example of a CAP: CPSC's Fast-Track Program - Allows an eligible firm to implement a consumer-level voluntary recall within 20 business days of submitting an initial report to the CPSC. The firm would immediately stop sale and distribution of the potentially hazardous product.*

After identifying a hazardous product, the CPSC works to protect consumers by collaborating with firms to remove the harmful product from the marketplace and consumers' hands.

- **Removing harmful products from the *Marketplace*:** Once the CPSC issues a recall, the recalling firm implements its CAP, which involves removing as many harmful products as possible from the distribution chain.
- **Removing harmful products from *Consumers' Hands*:** In addition to removing products from the marketplace, and as part of a corrective action, the recalling firm also collaborates with CPSC to retrieve the harmful products from consumers' possession by notifying consumers of the recall and providing information on specific remedies that consumers may pursue. The success of this remedial action is dependent on consumer response rates to recalls, and the CPSC strives to achieve its strategic objective of improving consumer response to consumer product recalls.

**Consumer Response to Recall:** The CPSC's Strategic Plan outlines performance goals and initiatives to focus on improving consumer response to recalls. Examples include:

- Requesting firms to Tweet a recall notice, as a way to enhance the recall notice
- Increasing the number of consumers who could receive recall updates through retailer loyalty membership contact information

## FY 2020 Budget Initiatives and Activities

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The FY 2020 budget initiatives and activities that contribute to effective *Response* funded by this *Request* include:

### Outreach

Communicating safety responsibilities and educating industry on its safety obligations are cost-effective methods of achieving compliance and reducing injuries and deaths. The CPSC will prioritize outreach and education by engaging industry stakeholders through events such as forums and workshops to listen to concerns and collaborate on solutions.

### Field Investigator Responsibilities

Currently, the CPSC has field investigators and other field staff located in 33 states (not including port investigators). The field staff is responsible for carrying out investigative, compliance, consumer information, and marketplace surveillance activities within geographic areas. The field staff conducts inspections of manufacturers, importers, wholesalers, and retailers and is a key industry outreach conduit to encourage compliance with the laws and regulations administered by the CPSC. The field staff coordinates with federal, state, and local government offices to identify consumer product-related incidents, conducts on-site investigations of incidents involving serious injuries or deaths, and routinely screens the retail marketplace and Internet websites for dangerous products, new and used. Field investigators also provide support by intermittently covering ports of entry, as resources permit, where the CPSC does not have a permanent physical presence.

Field investigators work with state and local governments nationwide through compliance, outreach, and education to increase dissemination of consumer product safety information and improve consumer response to product recalls. Another goal is to help states build capacity by adopting safety initiatives and routinely checking for recall notifications to keep consumers safe from dangerous or defective products.

### In-Depth Incident (IDI) Reports

A critical function of our Field Investigations team involves performing comprehensive reviews of incidents, including evaluating human and environmental incident factors and reporting on specific details required to evaluate product risks. These investigative data provide the evidentiary foundation for regulations, standards, educational programs, corrective actions, and recommended programs for state and local agencies.

### Recall Effectiveness

To remove hazardous products quickly from the marketplace, the CPSC seeks to reduce the time needed to conduct investigations and negotiate corrective actions, as well as to notify firms of violative or potentially hazardous products. Firms that conduct recalls submit Monthly Progress Reports that convey the impact of the messaging sent to consumers and provide information on any additional incidents or injuries identified after the firm issued the recall. The CPSC recently created the ability to file these reports electronically in lieu of paper and email. The goal is to collect better data to evaluate effectiveness of recalls.

### VGB Act Grant Program

Through the VGB Act Grant Program, the CPSC provides qualifying state and local governments that meet certain requirements (including proper suction outlet covers, back-up anti-entrapment systems, and fencing for public and residential pools and spas) with assistance for education, training, and enforcement of those pool safety requirements. The CPSC's *Request* level for FY 2020 does not include funds for VGB grants and associated administrative costs. The CPSC will continue to award VGB Act grants using the existing unobligated no-year appropriations provided in the FY 2018 and FY 2019 appropriations.

### Child Nicotine Poisoning Prevention Act Enforcement

Under the child Nicotine Poisoning Prevention Act of 2015 (CNPPA), Pub. L. No. 114-116, the Commission is charged to enforce regulations

requiring that nicotine provided in a liquid nicotine container sold, offered for sale, manufactured for sale, distributed in commerce, or imported into the United States to be in "special packaging." The Commission contemplates using a portion of the FY 2020 request allocation for response to support

identification and removal of hazardous product that does not comply with the special packing requirements of 16 C.F.R. 1700.15.



## Strategic Goal 4: Communication (\$8.2 million)

The FY 2020 *Request* allocates \$8.2 million in support of Strategic Goal 4—**Communication**—focused on communicating useful information quickly and effectively to inform better decision making. The CPSC uses a wide array of communication channels and strategies to provide timely, targeted information about consumer product safety to the public, industry, and other stakeholders.

### Mission Delivery for **Communication**

The CPSC *communicates with consumers quickly and effectively* through the following:

		2018 Actual	2019 Estimate	2020 Estimate
<b>Campaigns</b>	Focused public information campaigns	2	2	2
<b>Social Media</b>	Engagements with the public on social media	831,367	320,000	820,000
<b>Small Business Ombudsman</b>	Inquiries from industry stakeholders	2,386	2,300	2,500

### Serving as the go-to source of life-saving consumer product safety information *for the public and business education*

The CPSC strives to be the primary source of consumer product safety information for consumers, businesses, and fellow regulators.

Parents concerned about the safety of a product, small business owners looking for guidance on safety regulations, and large-scale manufacturers navigating the complexities of international trade all benefit from the CPSC’s outreach and education resources.

The agency strives to improve the usefulness and availability of safety messages through critical assessment of the CPSC’s outreach efforts and investment in new and innovative tools. For instance, the agency is continuously evaluating its website infrastructure to identify areas for improvement and optimizing its digital content in an attempt to reach a broader audience with accurate and actionable information.

The CPSC measures the usefulness of its messaging through evaluative tools. Examples include tracking visits to CPSC websites and downloads of CPSC safety information, and monitoring social media engagement and public sentiment toward CPSC messages through public relations monitoring services.

### Disseminating information *through targeted approaches*

The CPSC works to increase dissemination of consumer product information through targeted approaches, including:

- **Leveraging technology to enhance and expedite the agency’s communication of safety information.** Examples: Keeping the CPSC’s website infrastructure updated to reflect best practices and implementing data visualization software to improve communication of CPSC’s injury data to the public.
- **Conducting outreach campaigns on priority hazards.** Examples: Conducting the *Pool Safely* campaign to reduce childhood drownings, and the Anchor It! campaign for furniture tip-overs.
- **Strategically expanding communications.** Example: Micro-targeting for vulnerable and at-risk communities, (such as minority groups, low-income families, children, and the elderly), and for communities in areas affected by natural disasters (*e.g.*, hurricanes, flooding, and tornados).

The agency has diverse audiences that have different information needs and respond to different methods of communication. The CPSC enhances dissemination of safety information by tailoring its messaging to specific audiences. The agency uses a wide range of methods to disseminate safety information, including:

- Website content for product safety information and business education, available in multiple languages
- Printed safety education materials, some of which are available in Spanish
- Tweets in English and Spanish languages
- Videos on safety tips
- Webinar videos for small businesses

## FY 2020 Budget Initiatives and Activities

The FY 2020 budget initiatives and activities that contribute to effective *Communication* funded by this *Request* include:

### Public Information and Education Campaigns

Consumers, safety advocates, industry, and state and local government agencies need high-quality information about consumer product safety. Consumers need safety information to make 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. State and local government agencies need high-quality information to establish new safety requirements that advance consumer safety. In FY 2020, the CPSC will strive to provide its stakeholders with high-quality information and accurate data.



*“Anchor It!” is the CPSC’s national public education campaign aimed at preventing furniture and TV tip-overs from killing and seriously injuring children*

### Small Business Ombudsman (SBO)

In FY 2020, the CPSC will continue its outreach to small businesses to help guide them through federal consumer product safety laws and rules. These outreach efforts are an important component of the agency’s education and compliance strategy. The CPSC’s SBO is the

dedicated contact for small businesses and provides information and guidance tailored to small businesses. The SBO continues to develop “plain English” regulatory guidance, webinar series, in-person presentations, and technology enhancements, using easy-to-understand formats for manufacturers and retailers.

In FY 2018, the SBO partnered with the CPSC’s Office of Import Surveillance to offer collaborative trainings to customs brokers, importers, manufacturers, safety professionals, and other stakeholders on-site, near U.S. port locations. The trainings occurred in June 2018 in Seattle, WA, and included presentations on the CPSC’s product safety requirements and processing imports by CPSC investigators co-located at U.S. ports of entry. In addition, CPSC offered hands-on demonstrations of how we screen products when they enter the United States. The SBO highlighted business resources available to stakeholders, and attendees were able to speak directly with port investigators inspecting their products entering the ports of Seattle and Tacoma.

### Burden Reduction

For the regulated community, especially small businesses, ensuring compliance with the CPSC’s requirements and practices requires both administrative time and expense to complete applicable third party testing. The CPSC received stakeholder input through a Request for Information (RFI), reviewed the responses, and identified actions to reduce burden. The CPSC will continue to consider ways to adopt burden reduction measures in FY 2020.

### Internet and Social Media

The CPSC uses a variety of platforms to reach the public, including websites (*e.g.*, [cpsc.gov](http://cpsc.gov), [SaferProducts.gov](http://SaferProducts.gov), [PoolSafely.gov](http://PoolSafely.gov), and [AnchorIt.gov](http://AnchorIt.gov)); social media; email alerts; and videos. The CPSC posts recalls and press releases in an RSS news feed format, which enables users to access updates to online content in a standardized, computer-readable format. This enables blogs, TV

stations, and other media to obtain information from CPSC websites, and, in seconds, have the information posted on their websites. In FY 2020, the CPSC will continue to have a strong social media and Web presence as a key component of achieving its safety mission.

### Media

In FY 2020, the CPSC will continue working to engage the media to generate coverage for major recalls and safety campaigns, including furniture and TV tip-over prevention, drowning prevention, fireworks injury prevention, holiday toy and decoration safety, and residential fires, among others.

### Consumer Hotline

The CPSC's Consumer Hotline (1-800-638-2772) provides a much relied-upon service to the public, businesses, and consumers. In FY 2018, the CPSC's Hotline services received nearly 40,900 calls and more than 4,800 emails. The phone calls and emails collected more than 1,380 consumer product incident reports and resulted in processing of 103,710 orders for safety materials. In May 2018, CPSC streamlined its telephone communication

with the public and other stakeholders, by consolidating calls to a single 800 number for the Hotline, which was renamed "Consumer Hotline and General Information." The CPSC will continue to operate the Consumer Hotline and General Information number in FY 2020. CPSC encourages consumers to contact the Hotline for information and assistance on product safety issues and to file incident reports.

#### About the "Regulatory Robot"

The CPSC designed the Regulatory Robot as an online, interactive, free resource for small businesses manufacturing or importing consumer products into the United States. The Web-based Robot asks the user a series of questions to determine what requirements may apply to the user's product. In FY 2018, the Robot underwent updates to simplify the user experience. These updates enable it to run on smartphones and tablets, and add multi-lingual capacity in Chinese (simplified), Spanish, Vietnamese, and Bahasa Indonesian for certain product categories.



## Strategic Crosscutting Priorities and Risks

### Crosscutting Priorities

The CPSC's *2018–2022 Strategic Plan* identified four crosscutting strategic priorities that are integral to enabling the mission: Operational Excellence, Data Collection and Analysis, Information Technology (IT), and Internal and External Collaboration. These priorities are fundamental to how the agency will achieve the Strategic Plan goals.

### FY 2020 Budget Initiatives and Activities

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#### Information Technology

The agency supports the operations, maintenance, and development of mission delivery IT systems. This includes the Consumer Product Safety Risk Management System (CPSRMS), the import surveillance RAM system, and the Dynamic Case Management system (DCM), among others. These mission applications are the backbone of the CPSC's data and analytical capabilities. The CPSC categorizes its IT functions as follows:

- **Programming Support:** Providing programming support for the agency's IT applications and administering databases. These include, but are not limited to, the Integrated Field System (IFS), the PC-NEISS application, the CPSRMS, the RAM system, the DCM, SaferProducts.gov, and the Sample Tracking application. The agency will continue to maintain and support these applications in FY 2020 but will not be able to modernize incrementally the IFS, SaferProducts.gov, or legacy platform applications. This is an operational risk identified by the CPSC's Enterprise Risk Management (ERM) process and will require remediation in future budget cycles.
- **IT Security:** Maintaining a secure information environment throughout the CPSC and ensuring information systems confidentiality, integrity, and availability. In FY 2020, the CPSC will address as many identified internal control gaps in IT security as funding permits. However, CPSC

cannot address all IT security requirements at the proposed funding level.

- **Website Management:** 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.
- **Communications:** Providing voice (telephonic), cellular, wide area network (WAN), local dedicated data lines, domain, and Web streaming services; telecommunications equipment; and maintenance and repair work. In FY 2020, the CPSC will complete the transition to the U.S. General Services Administration's (GSA's) new enterprise telecommunications and networking solution.
- **Capital Replacement:** Upgrading hardware and software assets and replacing aging systems, such as user laptops and computer monitors, server hardware, routers, switches, and Network Attached Storage (NAS) systems. In FY 2020, CPSC's Office of Information & Technology Services will replace the most critical equipment at or approaching end of life.
- **User Support:** Supporting end users of the agency's equipment, software, systems, and services (*e.g.*, Help Desk support, software licensing, and printer maintenance). In FY 2020, the agency will support users by provisioning hardware and software; maintaining laptops, printers, telephones, and other devices; and troubleshooting IT issues.
- **Enterprise Data Management and Coordination:** In addition to providing critical day-to-day support for agency operations, the insights gained through program area partnership in the development and enhancement of agency IT Systems affords opportunities to increase the use and reuse of agency data assets by both internal staff and the public. Activities intended to improve the CPSC's data management and analytical capabilities are coordinated through a cross-program team comprised of IT and program area data leads. These activities include coordination of data standards, expansion of

approaches for data sharing, improvements to data quality, and the exploration of new and innovative approaches to help the CPSC meet its current and future information management needs.

#### Other Administrative Functions

- **Expanded Shared Services:** The CPSC already uses administrative shared services to deliver financial management reporting and systems, travel, human resources systems, payroll, and overflow acquisition support services. The CPSC is analyzing areas to expand the use of shared services to increase efficiency, reduce personnel turnover risk in hard-to-fill positions, reduce technology obsolescence risk, and improve internal controls. During FY 2018, the agency studied the possibility of expanding shared services to include acquisition systems, some acquisition support services, and integration of acquisition and financial management systems within a single shared services provider. Because of this study, the CPSC established a shared services agreement with the Department of

Treasury's Administrative Resource Center (ARC) within the Bureau of the Fiscal Service. This agreement replaces the shared services agreement the CPSC currently has with the Department of Transportation for similar services. The CPSC expects this new agreement to result in cost savings totaling more than \$3 million over 5 years when fully implemented. The CPSC incorporated the expected cost savings in the FY 2020 *Request* level to offset some anticipated cost growth in non-pay inflation.

- **Facilities Services:** In FY 2020, the CPSC will operate in three GSA-leased facilities: the CPSC Headquarters, the National Product Testing and Evaluation Center (NPTEC), and the Sample Storage Warehouse facility. The CPSC expects rent, security, and utility expenses at these three locations to be nearly \$10 million. The lease for NPTEC will expire in FY 2020, and the CPSC is currently working with GSA to secure a new lease. The CPSC does not contemplate any additional leases for FY 2020.

## Enterprise Risk Management

The CPSC develops the agency’s Annual Performance Plan (APP) within a broader enterprise risk management (ERM) framework, in accordance with OMB Circular No. A-123, *Management’s Responsibility for Enterprise Risk Management and Internal Control*. ERM is an effective, agency-wide approach to addressing an organization’s significant risks, by considering the impact of risks on the entire enterprise rather than risks only within silos. This approach provides insight about how to prioritize resource allocations to ensure mission delivery. The CPSC develops the APP within the agency’s broader ERM framework because ERM improves agency capacity to make risk-aware decisions that have an impact on agency priorities, resource allocation, and performance. This approach also enhances CPSC’s ability to manage risks and challenges related to delivering the organization’s mission and achieving strategic objectives.

<b>Risks</b>	
<b>Budget Risk</b>	<ul style="list-style-type: none"> <li>• Availability of budget funds to maintain staffing levels (personnel salary and benefits) and cover non-pay inflationary increases</li> <li>• Availability of resources to respond to the changing environment (see external risk)</li> <li>• Availability of resources for port investigators to staff ports</li> </ul>
<b>External/Market Risk</b>	<ul style="list-style-type: none"> <li>• Technological advances in consumer products (e.g., use of emerging technologies such as nanotechnology and the Internet of Things)</li> <li>• Changes in the way consumers shop (e.g., purchasing consumer products directly through e-commerce vs. in traditional stores), with potential effects on the CPSC’s ability to monitor the marketplace for hazardous products and identify emerging risks</li> <li>• Changes in where consumers seek treatment for injuries from consumer products (e.g., urgent care centers vs. hospital emergency rooms), with potential effects on the comprehensiveness of CPSC death and injury data</li> </ul>
<b>Operational Risk</b>	<ul style="list-style-type: none"> <li>• Availability of resources to update and modernize incrementally existing IT systems critical to the agency’s mission work, including cyber security</li> </ul>
<b>Workforce Risk</b>	<ul style="list-style-type: none"> <li>• Availability of workforce with needed expertise in new technical specializations to address emerging technologies in designing and manufacturing consumer products</li> </ul>



# Voluntary Standards Summary

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## Definition

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

## CPSC’s Statutory Requirement

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

## Voluntary Standards Process & CPSC Participation

CPSC staff works with organizations that coordinate the development of voluntary standards. Voluntary standards activity is an

ongoing process that may involve multiple revisions to a standard within 1 year or over multiple years; and staff participation may continue in subsequent years, depending on the activities of the voluntary standards committees and priorities of the Commission.

CPSC staff participates actively in voluntary standards activities for identified products. 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.

## FY 2020 Activities

The table on the next page lists voluntary standards activities for FY 2020.

### Key to Table

- Denotes active participation in related voluntary standards activities.

## Voluntary Standards Table

Product		FY 2019 Op Plan	FY 2020 Request
<b>Voluntary Standards Activities Related to Existing CPSC Regulations</b>			
1	ATVs (All-Terrain Vehicles)	•	•
2	Bassinets/Cradles	•	•
3	Bedside Sleepers	•	•
4	Bicycles	•	•
5	Carriages and Strollers	•	•
6	Child-Resistant Packages	•	•
7	Children's Folding Chairs and Stools	•	•
8	Commercial Cribs	•	•
9	Fireworks	•	•
10	Frame Child Carriers	•	•
11	Full-Size Cribs	•	•
12	Gasoline Containers, Child Resistance	•	•
13	Handheld Infant Carriers	•	•
14	High Chairs	•	•
15	Infant Bath Seats	•	•
16	Infant Bath Tubs	•	•
17	Infant Bouncer Seats	•	•
18	Infant Swings	•	•
19	Infant Walkers	•	•
20	Non-Full-Size Cribs and Play Yards	•	•
21	Portable Bed Rails (Children's)	•	•
22	Portable Hook-on Chairs	•	•
23	Sling Carriers (Infant and Toddler)	•	•
24	Soft Infant and Toddler Carriers	•	•
25	Swimming Pools/Spas Drain Entrapment	•	•
26	Swimming Pools/Spas Safety Vacuum Relief System	•	•
27	Toddler Beds	•	•
28	Toys	•	•
<b>Voluntary Standards Activities Related to Petitions</b>			
29	Adult Portable Bed Rails	•	
30	Candles and Candle Accessories	•	•
<b>Voluntary Standards Activities Related to Ongoing or Potential Rulemaking Activities</b>			
31	Booster Seats	•	•
32	Changing Products [formerly Changing Tables]	•	•
33	Clothing Storage Units [formerly Furniture Tip-overs]	•	•
34	Crib Bumpers (Infant Bedding)	•	•
35	Crib Mattresses (Include Supplemental and Aftermarket Mattresses)	•	•
36	Flame Mitigation Devices (FMDs) on Disposable Fuel Containers [formerly "Flammable Liquids (Material Handling) (now includes Fuel Gels)"]	•	•
37	Gas Appliances – CO Sensors [formerly Furnaces (CO Sensors)]	•	•
38	Gates and Expandable Enclosures	•	•
39	Infant Inclined Sleep Products	•	•
40	Portable Fireplaces	•	•
41	Portable Generators	•	•
42	Recreational Off-Highway Vehicles (ROVs)	•	•
43	Stationary Activity Centers	•	•
44	Table Saws [formerly Power Equipment (Table Saws)]	•	•
45	Upholstered Furniture	•	•
46	Window Coverings	•	•
<b>Other Planned Voluntary Standards Activities</b>			
47	Amusement Rides, Trampoline Parks, and Adventure Attractions	•	•
48	Bath Tubs (Adult)	•	•
49	Batteries, Fire (High-Energy Density)	•	•
50	Batteries, Ingestion (Button)	•	•

Product		FY 2019 Op Plan	FY 2020 <i>Request</i>
51	Carbon Monoxide (CO) Alarms	•	•
52	Clothes Dryers	•	•
53	Electric Fans	•	
54	Flammable Refrigerants	•	•
55	Gas Grills	•	•
56	Gasoline Containers FMDs	•	•
57	Internet of Things	•	•
58	Liquid Laundry Packets	•	•
59	LP Gas Outdoor Fire Pit	•	•
60	Nanotechnology	•	•
61	National Electrical Code	•	•
62	Playground Equipment (Home)	•	•
63	Playground Equipment (Public)	•	•
64	Playground Surfacing	•	•
65	Pools, Portable Unprotected (Child Drowning)	•	•
66	Pressure Cookers	•	•
67	Recreational Headgear Sensors	•	•
68	Safety Locks and Other Household Child-Inaccessibility Devices	•	•
69	Self-balancing Scooters and Light Electric Vehicles	•	•
70	Smoke Alarms	•	•
71	Sports Protective Gear/Football Helmets	•	•
72	Spray Polyurethane Foam Insulation	•	•
73	Tents	•	•
74	Washing Machines	•	•
<b>Grand Total</b>		<b>74</b>	<b>72</b>

## Mandatory Standards Summary

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### Definition

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

### CPSC's Statutory Requirement

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

### FY 2020 Activities

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

Note: The terms ANPR, NPR, FR, and DFR indicate submission of a briefing package with a draft ANPR, draft NPR, draft FR, or draft DFR to the Commission. It does not indicate the final action of the Commission.

Key to Table	
ANPR	Advance Notice of Proposed Rulemaking
NPR	Notice of Proposed Rulemaking
FR	Final Rule
DFR	Direct Final Rule
BP	Briefing Package
DA/TR	Data Analysis and/or Technical Review

\*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: [www.cpsc.gov/regulations-laws--standards/statutes/the-consumer-product-safety-improvement-act](http://www.cpsc.gov/regulations-laws--standards/statutes/the-consumer-product-safety-improvement-act).

**Mandatory Standards Table**

Items by Major Categories		FY 2019 Op Plan	FY 2020 Request
<b>CPSIA, as amended by Pub. L. No. 112-28, and including Section 104 of the CPSIA</b>			
	ATVs – Other	DA/TR	DA/TR
	Consumer Registration Card Rule Updates	FR	
	Crib Bumpers	NPR	FR
	Crib Mattresses (include Supplemental and Aftermarket)	NPR	FR
	Gates and Other Enclosures	NPR	FR
	Infant Inclined Sleep Products	DA/TR	DA/TR
	Stationary Activity Centers	FR	
<b>Rule Review</b>			
	Lead	DA/TR	DA/TR
	Mattress 16 CFR 1632 Rule Review		DA/TR
<b>Burden Reduction</b>			
	Burden Reduction Manufactured Fibers	NPR	FR
<b>Other Ongoing or Potential Rulemaking-Related Activities</b>			
	Adjudicative Rules	NPR	FR
	Adult Portable Bed Rails Petition	BP	
	Customs Value for Refillable Cigarette Lighters	DFR	
	F963 Toys	BP, DFR	
	Flooring Petition	BP	DA/TR
	FOIA Update	FR	
	Furnaces (CO Sensors)	ANPR	DA/TR
	Furniture Tip-Over	DA/TR	NPR
	Helmet Petition	BP	DA/TR
	Lab Accreditation IBR Update	DFR	DFR
	Magnet Sets Petition	BP	DA/TR
	Organohalogens Petition	DA/TR	DA/TR
	Portable Fireplaces	DA/TR	DA/TR
	Portable Generators	BP	DA/TR
	Recreational Off-Highway Vehicles (ROVs)	DA/TR	DA/TR
	Table Saws	BP	DA/TR
	Upholstered Furniture	BP	DA/TR
	Window Coverings	DA/TR	DA/TR
<b>Number of candidates for rulemaking (ANPR, NPR, DFR, and FR)</b>		<b>12</b>	<b>7</b>



# Annual Performance Plan

## 2018–2022 Strategic Plan Summary

The CPSC’s FY 2020 Performance Budget Request and the included FY 2020 Annual Performance Plan (APP) align with the *2018-2022 Strategic Plan*. The CPSC’s *2018–2022 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 used to monitor and assess program effectiveness.

The CPSC has formulated strategic objectives within each Strategic Goal, and these objectives reflect the key component outcomes necessary to achieve each of the Strategic Goals. Performance goals and strategic initiatives underpin the strategic objectives. The goals and initiatives define additional outcomes, outputs, and activities that the CPSC will implement and pursue within each strategic objective. The CPSC has identified the FY 2020 key performance measures for monitoring and reporting on progress toward achieving the strategic objectives. We list an overview of the key measures on pages 29–30. We describe APP details by Strategic Goal on pages 31–40. Included is a discussion of agency strategies and approaches for achieving strategic objectives; FY 2019 and FY 2020 annual targets for each key measure, where applicable; actual data for FY 2016, FY 2017, and FY 2018 for each key measure, where applicable; and FY 2020 priority activity alignment to the CPSC’s strategic objectives.

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



## Key Performance Measure Summary

Below is an overview of the CPSC's key performance measures for FY 2020.

Strategic Objective (SO)	Key Performance Measure (KM)	Lead Office	FY 2019 Target	FY 2020 Target
<b>Goal 1: Workforce</b> Cultivate the most effective consumer product safety workforce				
<b>SO 1.1</b> Enhance effective strategic human capital planning and alignment	<b>2020KM1.1.02</b> Percentage of full-time equivalents (FTEs) utilized	Human Resource	96%	96%
<b>SO 1.2</b> Foster a culture of continuous development	<b>2020KM1.2.01</b> Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey)		74%	74%
<b>SO 1.3</b> Attract and recruit a talented and diverse workforce	<b>2020KM1.3.01</b> Percentage of hiring managers trained on recruitment		75%	80%
<b>SO 1.4</b> Increase employee engagement	<b>2020KM1.4.01</b> Federal Employee Viewpoint Survey Employee Engagement Index Score		75%	75%
<b>Goal 2: Prevention</b> Prevent hazardous products from reaching consumers				
<b>SO 2.1</b> Improve identification and assessment of hazards to consumers	<b>2020KM2.1.01</b> Percentage of consumer product-related incident reports warranting follow-up actions	Hazard Identification	25%	25%
	<b>2020KM2.1.02</b> Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards		11	11
	<b>2020KM2.1.03</b> Percentage of consumer product-related injury cases correctly captured at NEISS hospitals		90%	90%
	<b>2020KM2.1.04</b> Number of collaborations established or maintained with other organizations to work on nanotechnology research or issues affecting consumer products		3	3
<b>SO 2.2</b> Lead efforts to improve the safety of consumer products before they reach the marketplace	<b>2020KM2.2.01</b> Number of voluntary standards activities in which CPSC actively participates	Hazard Identification	74	72
	<b>2020KM2.2.02</b> Number of candidates for rulemaking prepared for Commission consideration		12	7
	<b>2020KM2.2.07</b> Percentage of firms that are engaged with a timely establishment inspection after being identified as a repeat offender	Import	75%	75%
<b>SO 2.3</b> Increase capability to identify and stop imported hazardous consumer products	<b>2020KM2.3.01</b> Percentage of consumer product imports, identified as high-risk, examined at import	Import	80%	80%
	<b>2020KM2.3.02</b> Percentage of import shipments processed through the Risk Assessment Methodology (RAM) system that are cleared within 1 business day		99%	99%
	<b>2020KM2.3.03</b> Percentage of consumer product import entries that are risk-scored by the CPSC		4%	Discontinued
	<b>2020KM2.3.04</b> Number of import examinations completed		32,000	32,000

Strategic Objective (SO)	Key Performance Measure (KM)	Lead Office	FY 2019 Target	FY 2020 Target
<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>2020KM3.1.01</b> Percentage of cases for which a preliminary determination is made within 85 business days of the case opening	Compliance	65%	65%
	<b>2020KM3.1.02</b> Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection		85%	85%
<b>SO 3.2</b> Minimize further exposure to hazardous consumer products	<b>2020KM3.2.02</b> Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection	Compliance	85%	85%
	<b>2020KM3.2.03</b> Percentage of Fast-Track cases with corrective actions initiated within 20 business days		90%	90%
	<b>2020KM3.2.04</b> Percentage of cases for which a corrective action is accepted within 90 business days of preliminary determination		60%	60%
<b>SO 3.3</b> Improve consumer response to consumer product recalls	<b>2020KM3.3.01</b> Recall effectiveness rate for all consumer product recalls	Compliance	25%	25%
<b>Goal 4: Communication</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>2020KM4.1.02</b> Number of engagements with CPSC safety messaging on social media channels by stakeholders <sup>4</sup> (in thousands)	Communications	320	820
<b>SO 4.2</b> Increase dissemination of useful consumer product safety information	<b>2020KM4.2.01</b> Number of impressions of CPSC safety messages (in millions)	Communications	4,000	4,200
	<b>2020KM4.2.02</b> Average number of business days between establishment of first draft and issuance of recall press release for the timeliest 90% of recall press releases		18	18
<b>SO 4.3</b> Increase and enhance collaboration with stakeholders	<b>2020KM4.3.01</b> Number of collaboration activities initiated with stakeholder groups	Communications	28	29

<sup>4</sup> "Engagements" refer to the number of interactions (likes, shares, comments) with CPSC social media content.

# Annual Performance Plan Details

## Agency Strategy, Performance Measures, and Targets

### Strategic Goal 1: Workforce

*Cultivate the most effective consumer product safety workforce*

#### Agency Strategy

A highly trained, diverse, and engaged workforce is critical to meeting the dynamic challenges of the consumer product safety landscape and to achieving the CPSC’s life-saving mission. CPSC staff’s knowledge about product safety, their commitment to the agency’s mission, and a proactive attitude make achieving the mission possible. The FY 2020 APP will address the following key *Workforce* challenges:

- Recruiting and retaining a workforce with the knowledge, skills, and abilities to meet new, innovative, and emerging product safety challenges;
- Aligning personnel resources with agency priorities;
- Maintaining a global presence to address worldwide 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

Strategic Objective (SO)	Key Performance Measure (KM)	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Target	FY 2020 Target
<b>Goal 1: Workforce</b> Cultivate the most effective consumer product safety workforce						
<b>SO 1.1</b> Enhance effective strategic human capital planning and alignment <i>Lead Office: Human Resource</i>	<b>2020KM1.1.02</b> Percentage of full-time equivalents (FTEs) utilized			97%	96%	96%
<b>SO 1.2</b> Foster a culture of continuous development <i>Lead Office: Human Resource</i>	<b>2020KM1.2.01</b> Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey)		72.5%	68.1%	74%	74%
<b>SO 1.3</b> Attract and recruit a talented and diverse workforce <i>Lead Office: Human Resource</i>	<b>2020KM1.3.01</b> Percentage of hiring managers trained on recruitment		56.1%	82.6%	75%	80%
<b>SO 1.4</b> Increase employee engagement <i>Lead Office: Human Resource</i>	<b>2020KM1.4.01</b> Federal Employee Viewpoint Survey Employee Engagement Index Score	70%	73%	69%	75%	75%

**CPSC’s Approach to *Workforce***

The CPSC’s approach to cultivating an effective workforce involves enhancing human capital planning and alignment, increasing opportunities for professional development, and improving recruitment strategies to attract talented, diverse, and committed staff. The strategy also emphasizes increasing employee engagement by promoting and rewarding staff innovation and creativity, increasing managers’ commitment to fostering employee engagement in the workplace, and promoting a healthy work-life balance.

**Performance Goals (PG), Strategic Initiatives (SI), and FY 2020 Priority Activities**

**Strategic Objective 1.1**

Enhance effective strategic human capital planning and alignment

<b>PG1.1.1</b> Improve human capital infrastructure	<b>SI1:</b> Implement change management in human capital infrastructure	<p><b>FY 2020 Priority Activities</b></p> <p><b>Human Resources</b></p> <ul style="list-style-type: none"> <li>Implement the human capital strategic plan</li> <li>Coordinate a human capital reporting users group for best practices</li> <li>Train managers and administrative personnel on human capital reporting</li> </ul>
<b>PG1.1.2</b> Enhance human capital resource allocation reporting	<b>SI2:</b> Train supervisors on making a business case for position management	
	<b>SI3:</b> Improve human capital resource tracking and reporting	

**Strategic Objective 1.2**

Foster a culture of continuous development

<b>PG1.2.1</b> Encourage and support professional development	<b>SI4:</b> Implement individual development plans	<p><b>FY 2020 Priority Activities</b></p> <p><b>Human Resources</b></p> <ul style="list-style-type: none"> <li>Execute agency-wide training plan based on assessment and focus groups</li> <li>Develop Individual Development Plans (IDPs) for employees</li> <li>Continue agency mentoring program</li> </ul>
	<b>SI5:</b> Implement coaching and mentoring programs	
<b>PG1.2.2</b> Deliver high-quality, targeted development opportunities	<b>SI6:</b> Conduct training needs assessment	
	<b>SI7:</b> Develop and implement agency-wide training plan	
	<b>SI8:</b> Develop and implement plan to strengthen leadership competencies through training on accountability, decision making, and maximizing workforce performance	

**Strategic Objective 1.3**

Attract and recruit a talented and diverse workforce

<b>PG1.3.1</b> Improve targeted assessments to recruit talent	<b>SI9:</b> Establish a manager training program on developing and utilizing assessment tools	<p><b>FY 2020 Priority Activities</b></p> <p><b>Human Resources</b></p> <ul style="list-style-type: none"> <li>Increase hiring managers’ participation in developing applicant assessments</li> <li>Provide hiring managers with highly qualified applicants</li> <li>Provide hiring managers with a diverse applicant pool</li> <li>Provide successful Pathways Recent Graduates Program</li> <li>Improve targeted recruitment</li> </ul>
<b>PG1.3.2</b> Increase targeted outreach to increase diversity	<b>SI10:</b> Implement a new and enhanced marketing/outreach strategy	
	<b>SI11:</b> Advance relationships with colleges and universities and other recruitment sources	

**Strategic Objective 1.4**

Increase employee engagement

<b>PG1.4.1</b> Promote and recognize performance excellence	<b>SI12:</b> Research, develop, and implement a performance management policy that encourages and recognizes excellence	<p><b>FY 2020 Priority Activities</b></p> <p><b>Human Resources</b></p> <ul style="list-style-type: none"> <li>Train managers on effective performance management</li> <li>Train all employees on performance management system</li> <li>Increase work-life employee satisfaction</li> <li>Provide a robust agency wellness program</li> <li>Implement the agency’s maximizing employee performance plan</li> <li>Implement the agency’s FEVS Actions Plan to improve the bottom 20%</li> </ul> <p><b>Equal Employment Opportunity</b></p> <ul style="list-style-type: none"> <li>Develop workplace training curriculum on diversity and inclusion</li> </ul>
	<b>SI13:</b> Train supervisors and Human Resources staff on managing employee performance and conduct	
<b>PG1.4.2</b> Build commitment to employee engagement	<b>SI16:</b> Implement agency employee engagement initiative	
	<b>SI17:</b> Provide diversity and inclusion training to the workforce	
<b>PG1.4.3</b> Promote work-life balance	<b>SI18:</b> Develop and provide training and informational opportunities on work-life balance to the workforce	
	<b>SI19:</b> Provide wellness and safety activities for the workforce	

## Strategic Goal 2: Prevention

*Prevent hazardous products from reaching consumers*

### Agency Strategy

The CPSC's charge is to protect the public from unreasonable risks of injury and death from a vast array of consumer products increasingly supplied through expanding global markets. Efforts to ensure the manufacture 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 FY 2020 APP will address key challenges to *Prevention* of consumer product-related injuries, including:

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



Strategic Objective (SO)	Key Performance Measure (KM)	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Target	FY 2020 Target
<b>Goal 2: Prevention</b> Prevent hazardous products from reaching consumers						
<b>SO 2.1</b> Improve identification and assessment of hazards to consumers  Lead Office: Hazard Identification	<b>2020KM2.1.01</b> Percentage of consumer product-related incident reports warranting follow-up actions		25%	26%	25%	25%
	<b>2020KM2.1.02</b> Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards	11	11	10	11	11
	<b>2020KM2.1.03</b> Percentage of consumer product-related injury cases correctly captured at NEISS hospitals	91%	92.4%	93%	90%	90%
	<b>2020KM2.1.04</b> Number of collaborations established or maintained with other organizations to work on nanotechnology research or issues affecting consumer products		7	9	3	3
<b>SO 2.2</b> Lead efforts to improve the safety of consumer products before they reach the marketplace  Lead Offices: Hazard Identification, Import Surveillance	<b>2020KM2.2.01</b> Number of voluntary standards activities in which CPSC actively participates	71	76	77	74	72
	<b>2020KM2.2.02</b> Number of candidates for rulemaking prepared for Commission consideration	10	18	19	12	7
	<b>2020KM2.2.07</b> Percentage of firms that are engaged with a timely establishment inspection after being identified as a repeat offender			73%	75%	75%
<b>SO 2.3</b> Increase capability to identify and stop imported hazardous consumer products  Lead Office: Import Surveillance	<b>2020KM2.3.01</b> Percentage of consumer product imports, identified as high-risk, examined at import		88.5%	89%	80%	80%
	<b>2020KM2.3.02</b> Percentage of import shipments processed through the Risk Assessment Methodology (RAM) system that are cleared within 1 business day	99.8%	99.8%	99.8%	99%	99%
	<b>2020KM2.3.03</b> Percentage of consumer product import entries that are risk-scored by the CPSC		4.2%	3%	4%	Discontinued
	<b>2020KM2.3.04</b> Number of import examinations completed	36,523	38,726	41,117	32,000	32,000

## CPSC's Approach to *Prevention*

The CPSC uses several means to try to prevent injury or harm from consumer products. The overall approach is to prevent hazardous products from reaching consumers by: (1) working at the national and international level to help ensure that hazards are appropriately addressed by voluntary standards or mandatory regulations; (2) providing technical information to industry to support voluntary standards development; and (3) allocating inspection, surveillance, and enforcement resources effectively to identify and remove hazardous products from the marketplace.

The CPSC educates manufacturers on safety requirements and works with foreign regulatory counterparts to help build safety into consumer products. The agency also collaborates with standards development organizations to create and strengthen voluntary standards for consumer products, which involves building consensus among relevant stakeholders. The CPSC develops new mandatory regulations when necessary and consistent with statutory authority, in response to identified product hazards. Another major component of the CPSC's prevention approach is identification and interception of hazardous consumer products through import surveillance and inspection programs. The agency conducts establishment inspections of manufacturers, importers, and retailers; monitors Internet and resale markets; responds to industry-generated reports about potentially unsafe products; and tests products for compliance with specific standards and mandatory regulations.

## Performance Goals (PG), Strategic Initiatives (SI), and FY 2020 Priority Activities

### Strategic Objective 2.1

Improve identification and assessment of hazards to consumers

<p><b>PG2.1.1</b> Increase agency capacity to analyze hazard data</p>	<p><b>SI1:</b> Enhance IT solutions and data-mining techniques to improve data collection and analysis</p>	<p><b>FY 2020 Priority Activities</b></p> <p><b>Hazard Identification</b></p> <ul style="list-style-type: none"> <li>• Improve CPSC's Office of Hazard Identification &amp; Reduction's data analytic capabilities by expanding the use of advanced analysis software tools (server SAS, text mining, and pattern recognition)</li> <li>• Improve the richness of CPSC's Office of Hazard Identification &amp; Reduction's data collection by enhancing the functionality and utility of consumer product-related emergency department-treated injury information collected from NEISS hospitals</li> <li>• Seek additional data sources that can signal emerging hazards and provide useful insights about known product hazards</li> </ul>
<p><b>PG2.1.2</b> Improve quality and specificity of hazard information</p>	<p><b>SI2:</b> Identify alternative sources of data that will assist in hazard analysis and monitoring</p>	
<p><b>PG2.1.3</b> Improve agency capacity to identify and assess emerging hazards</p>	<p><b>SI3:</b> Research and implement methods for improving completeness of data submitted to the CPSC</p>	
<p><b>PG2.1.4</b> Improve agency capacity to identify and assess chronic hazards</p>	<p><b>SI4:</b> Research and implement methods to increase the number of incident samples available for analysis</p>	
	<p><b>SI5:</b> Promote a universal product identifier to improve product traceability</p>	
	<p><b>SI6:</b> Develop a plan to enhance the identification and characterization of emerging hazards</p>	<p><b>SI7:</b> Enhance coordination with relevant federal agencies, standards development organizations, and other stakeholders working on emerging hazards</p>

### Strategic Objective 2.2

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>	<p><b>SI8:</b> Work to align CPSC's Trusted Trader Program with CBP's One U.S. Government Trusted Trader Program</p>	<p><b>FY 2020 Priority Activities</b></p> <p><b>Hazard Identification</b></p> <ul style="list-style-type: none"> <li>Focus on preventing hazards by collaborating with businesses and stakeholders through training and seminars to better design safety into consumer products from the outset</li> <li>Enhance capabilities and collaborations on testing and standards development for rechargeable high-energy density batteries, including lithium-ion cells, battery packs, and end-products</li> <li>Submit for Commission consideration rulemaking packages approved in the mandatory standards table.</li> <li>Continue focus on increased collaboration and coordination with all interested stakeholders, including domestic and foreign government partners, to address potential safety issues with Internet of Things (IoT), Wearable-related products, and 3-D printing</li> <li>Focus on reviewing and refining internal processes and their execution, including Integrated Product Team and Product Safety Assessment efforts</li> </ul> <p><b>Import Surveillance</b></p> <ul style="list-style-type: none"> <li>Engage import community, including training of first-time violators</li> <li>Collaborate with and train partner federal agencies</li> </ul> <p><b>International Programs</b></p> <ul style="list-style-type: none"> <li>Train foreign-based industry representatives on U.S. product safety requirements and train foreign government product safety officials on CPSC policies, procedures, and best practices based on priority topics</li> <li>Improve cooperation with international partners on product safety policy</li> <li>Continue overseas training on U.S. product safety requirements for 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>Present the agency's product safety messaging at international forums in which the CPSC represents the U.S. government</li> <li>Continue production of the product safety video series for Chinese manufacturers</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>	<p><b>SI9:</b> Deliver training events and collaborate on consumer product safety best practices with foreign manufacturers and domestic manufacturers, importers, and retailers</p>	
<p><b>PG2.2.3</b> Engage federal, state and foreign governments on product safety</p>	<p><b>SI10:</b> Identify and target top consumer product hazards, based on risk and addressability</p>	
<p><b>PG2.2.4</b> Increase efforts to drive the discovery and innovation of safety solutions</p>	<p><b>SI11:</b> Develop a process to facilitate the frequent monitoring and assessment of the effectiveness of standards and mandatory regulations</p>	
	<p><b>SI12:</b> Conduct research, as appropriate, to enable development and improvement of consumer product voluntary standards and mandatory regulations</p>	
	<p><b>SI13:</b> Enhance training and internal operations to improve the voluntary consensus standards development process</p>	

### Strategic Objective 2.3

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>	<p><b>SI17:</b> Incrementally develop the RAM surveillance system to align with the U.S. government's "Single Window" initiative</p>	<p><b>FY 2020 Priority Activities</b></p> <p><b>Import Surveillance</b></p> <ul style="list-style-type: none"> <li>Identify and examine shipments likely to contain consumer products in violation of CPSC's requirements through maximization of port presence</li> <li>With respect to e-commerce, determine next action steps based on: (1) recommendations identified by the e-commerce assessment study, which was completed in FY 2019 to determine the scope of e-commerce, as it relates to CPSC's jurisdiction (2) efforts in this area that are being performed by other federal government agencies and foreign governments</li> <li>Support ongoing activities that contribute to the "Single Window" platform by:             <ul style="list-style-type: none"> <li>Continuing to provide support to CBP's Automated Commercial Environment (ACE), which is an interface connecting CBP, the trade community, and other federal government agencies to manage the admissibility of goods entering the country</li> <li>Maintaining existing functionality in RAM 2.0, as well as expanding incrementally RAM functionality. Enhancements include: (1) CPSC's new capability in sharing forms electronically with the trade through CBP's ACE system (2) new business intelligence features for automated analytics of import data collected by the CPSC</li> <li>Supporting the Border Interagency Executive Council (BIEC) in implementing the International Trade Data System (ITDS)</li> </ul> </li> <li>Implement the Trade Facilitation and Trade Enforcement Act (TFTEA) via the established Import Safety Working Group</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>Information Technology</b></p> <ul style="list-style-type: none"> <li>Operate and maintain RAM 2.0</li> </ul>
<p><b>PG2.3.2</b> Decrease time required to process imported products subject to inspection</p>	<p><b>SI18:</b> Incrementally develop and improve the RAM targeting system to identify noncompliant and defective products at ports of entry</p>	
	<p><b>SI19:</b> Develop and uniformly implement enforcement guidelines for admissibility determinations for imported products</p>	
	<p><b>SI20:</b> Streamline compliance notification to importers of noncompliant products</p>	

## Strategic Goal 3: Response

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

### Agency Strategy

The CPSC learns about potential consumer product hazards from many sources, including incident reports, consumer complaints, the agency’s Hotline (1-800-638-2772), [www.SaferProducts.gov](http://www.SaferProducts.gov), Internet reports, and firm 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 staff identifies potential product defects, the CPSC must act quickly to address the most hazardous consumer products that have entered the marketplace or gotten into the hands of consumers. The FY 2020 APP will address the following key *Response* challenges:

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

**STRATEGIC OBJECTIVE 3.1**  
Rapidly identify hazardous consumer products for enforcement action

**STRATEGIC OBJECTIVE 3.2**  
Minimize further exposure to hazardous consumer products

**STRATEGIC OBJECTIVE 3.3**  
Improve consumer response to consumer product recalls

Strategic Objective (SO)	Key Performance Measure (KM)	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Target	FY 2020 Target
<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>Lead Office:</b> Compliance	<b>2020KM3.1.01</b> Percentage of cases for which a preliminary determination is made within 85 business days of the case opening		74%	75%	65%	65%
	<b>2020KM3.1.02</b> Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection		87%	88.8%	85%	85%
<b>SO 3.2</b> Minimize further exposure to hazardous consumer products  <b>Lead Office:</b> Compliance	<b>2020KM3.2.02</b> Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection		86%	87.2%	85%	85%
	<b>2020KM3.2.03</b> Percentage of Fast-Track cases with corrective actions initiated within 20 business days	99.1%	98%	95.9%	90%	90%
	<b>2020KM3.2.04</b> Percentage of cases for which a corrective action is accepted within 90 business days of preliminary determination			92.7%	60%	60%
<b>SO 3.3</b> Improve consumer response to consumer product recalls  <b>Lead Office:</b> Compliance	<b>2020KM3.3.01</b> Recall effectiveness rate for all consumer product recalls		41%	17.4%	25%	25%

## CPSC's Approach to *Response*

To decrease the time required to identify and remove potentially hazardous products from the marketplace, the CPSC will redesign the procedures used to process and analyze incoming product hazard-related data. The CPSC will strive to improve its ability to act upon the information and quickly remove potentially hazardous products from the marketplace. The CPSC will improve its recall monitoring process and work with industry to increase consumer awareness of product recalls as they occur. Improving the consumer response to consumer product recalls is critical to success in achieving this Strategic Goal. The CPSC will work with consumers and other interested parties to increase the number of consumers receiving recall notices directly from the CPSC and recalling firms and retailers. CPSC will seek to improve the effectiveness of product recalls include tools such as expanding the CPSC's use of social media, urging recalling firms to use social media to broaden the notice of recalls, and conducting consumer focus group research on why and when consumers respond to recalls.

## Performance Goals (PG), Strategic Initiatives (SI), and FY 2020 Priority Activities

### Strategic Objective 3.1

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>	<p><b>SI1:</b> Review current processes and identify opportunities to refine sample analysis priorities and reduce processing time</p> <p><b>SI2:</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</p>	<p><b>FY 2020 Priority Activities</b></p> <p><b>Compliance &amp; Field</b></p> <ul style="list-style-type: none"> <li>Continue development of enforcement guides for additional durable infant and toddler products (104 rules)</li> <li>Maintain and enhance critical enforcement and investigative standards and skills through an all-hands Compliance &amp; Field training</li> <li>Assess current processes and resources available for future Business Process Review (BPR) and IT Modernization of Integrated Field System (IFS)</li> </ul>
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### Strategic Objective 3.2

Minimize further exposure to hazardous consumer products

<p><b>PG3.2.1</b> Increase speed of corrective actions</p>	<p><b>SI3:</b> Explore the feasibility of an expedited approach to CAPs for lower-level consumer product hazards</p>	<p><b>FY 2020 Priority Activities</b></p> <p><b>Compliance &amp; Field</b></p> <ul style="list-style-type: none"> <li>Migrate Recall Check assignment process to IFS with an interface in Dynamic Case Management (DCM): This will streamline the recall effectiveness checks (REC) assignment process and automate certain functions, reducing resources and reducing IT footprint</li> <li>Continue to triage low-level hazards and other Section 15 reports to further maximize resources</li> </ul>
<p><b>PG3.2.2</b> Improve effectiveness of corrective actions</p>	<p><b>SI4:</b> Regularly publish electronic submissions of progress reports from recalling firms</p> <p><b>SI5:</b> Review the CPSC corrective action monitoring process to address priority recalls and achieve operational efficiencies</p> <p><b>SI6:</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</p>	

### Strategic Objective 3.3

Improve consumer response to consumer product recalls

<p><b>PG3.3.1</b> Increase consumer motivation</p>	<p><b>SI7:</b> Request firms to use enhanced notices and an effectiveness evaluation as part of a CAP</p>	<p><b>FY 2020 Priority Activities</b></p> <p><b>Compliance &amp; Field</b></p> <ul style="list-style-type: none"> <li>Implement any approved options derived from assessment of the Request for Information (RFI) on Recall Effectiveness</li> <li>Continue State and Local collaboration on best practices to increase consumer response</li> <li>Request firms to use notification methods to the best of their abilities to maximize consumer reach</li> </ul> <p><b>International Programs</b></p> <ul style="list-style-type: none"> <li>Provide timely information about recalls directly to foreign regulators and other stakeholders via the Organisation for Economic Cooperation and Development's (OECD's) <i>Global Recalls</i> portal</li> </ul>
<p><b>PG3.3.2</b> Improve direct contact with consumers</p>	<p><b>SI8:</b> Increase the number of consumers signed up for recall updates via email</p>	
<p><b>PG3.3.3</b> Improve understanding of consumer response</p>	<p><b>SI9:</b> Meet with industry, consumer groups, and other government agency stakeholders to discuss how to increase response rates</p> <p><b>SI10:</b> Enhance domestic interagency collaboration on best practices to increase consumer response</p>	

## Strategic Goal 4: Communication

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

### Agency Strategy

Consumers, safety advocates, industry, and government regulators need high-quality information about consumer product safety. Consumers need safety information to make informed decisions for themselves and their families. Safety advocates rely on accurate data to shape their policy recommendations. The regulated community 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 FY 2020 APP will address key challenges to the agency's *Communication* strategy, which include:

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

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

**STRATEGIC OBJECTIVE 4.2**  
Increase dissemination of useful consumer product safety information

**STRATEGIC OBJECTIVE 4.3**  
Increase and enhance collaboration with stakeholders

Strategic Objective (SO)	Key Performance Measure (KM)	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Target	FY 2020 Target
<b>Goal 4: Communication</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>Lead Office:</b> Communications	<b>2020KM4.1.02</b> Number of engagements with CPSC safety messaging on social media channels by stakeholders <sup>5</sup> (in thousands)		285	831	320	820
<b>SO 4.2</b> Increase dissemination of useful consumer product safety information  <b>Lead Office:</b> Communications	<b>2020KM4.2.01</b> Number of impressions of CPSC safety messages (in millions)		6,314.8	7,597.8	4,000	4,200
	<b>2020KM4.2.02</b> Average number of business days between establishment of first draft and issuance of recall press release for the timeliest 90% of recall press releases	17.8	17.5	17.3	18	18
<b>SO 4.3</b> Increase and enhance collaboration with stakeholders  <b>Lead Office:</b> Communications	<b>2020KM4.3.01</b> Number of collaboration activities initiated with stakeholder groups		28	47	28	29

<sup>5</sup> "Engagements" refer to the number of interactions (likes, shares, comments) with CPSC social media content.

## CPSC's Approach to *Communication*

The CPSC uses a wide array of communication channels and strategies to provide timely, targeted information about consumer product safety to the public, industry, and other stakeholders. The agency disseminates safety messages through workshops and training sessions; listserv messages; press releases; public service announcements and video news releases; newspaper, radio, and TV interviews; and, increasingly, social media adhering to disclosure protocols. The CPSC will improve the usefulness and availability of safety messages by collecting and analyzing data, and designing and applying new and innovative communication tools. Dissemination of more useful and timely consumer product safety information will strengthen agency brand, enable communication in mobile environments, and aid micro-targeting to reach the most at-risk populations. An additional element of the CPSC's strategy involves strengthening collaborations with stakeholder groups, including other government agencies and nonprofit organizations. This may include collaboration on information and education campaigns on product safety.

## Performance Goals (PG), Strategic Initiatives (SI), and FY 2020 Priority Activities

### Strategic Objective 4.1

Improve usefulness and availability of consumer product safety information

<p><b>PG4.1.1</b> Implement evaluation tools to measure message usefulness</p>	<p><b>SI1:</b> Identify best practices from federal and private sectors for assessing the utility of safety information</p> <p><b>SI2:</b> Assess the utility of CPSC safety messages using best practices from federal and private sectors</p>	<p><b>FY 2020 Priority Activities</b></p> <p><b>Communications</b></p> <ul style="list-style-type: none"> <li>Use results of Anchor It! effectiveness survey to improve the campaign's messaging</li> <li>Design and develop new online and social media communication</li> <li>Assess and implement applicable best practices by federal and private sector to improve the utility of CPSC safety information.</li> </ul> <p><b>Information Technology</b></p> <ul style="list-style-type: none"> <li>Operate and maintain agency websites</li> </ul>
<p><b>PG4.1.2</b> Implement enhanced tools to increase availability of safety information</p>	<p><b>SI3:</b> Design and develop new communication materials</p>	

### Strategic Objective 4.2

Increase dissemination of useful consumer product safety information

<p><b>PG4.2.1</b> Expand and enhance the CPSC "brand"</p>	<p><b>SI4:</b> Identify and implement specific strategies to enhance the CPSC "brand"</p>	<p><b>FY 2020 Priority Activities</b></p> <p><b>Communications</b></p> <ul style="list-style-type: none"> <li>Expand media impressions of and social media engagement with CPSC safety messages and recalls</li> <li>Implement a new brand for CPSC publications</li> <li>Conduct community outreach events to reach at-risk consumers aimed at raising awareness and preventing injuries from four priority hazard areas—furniture/TV tip-overs, Safe to Sleep®, child drownings, and child poisonings</li> <li>Track timeliness of recall press releases</li> <li>Develop one communications activity on a major emerging hazard</li> <li>Expand communication with targeted audiences for the Anchor It! tip-over prevention campaign</li> <li>SaferProducts.gov research, redesign, and relaunch, including mobile-compatible responsive design</li> </ul> <p><b>International Programs</b></p> <ul style="list-style-type: none"> <li>Participate in the annual OECD global consumer information campaigns</li> </ul>
<p><b>PG4.2.2</b> Expand communications with targeted audiences</p>	<p><b>SI5:</b> Explore strategies to communicate and interact directly with the most at-risk consumers (micro-targeting strategies)</p>	
<p><b>PG4.2.3</b> Increase use of enhanced communication technology to advance consumer safety</p>	<p><b>SI6:</b> Enhance CPSC websites to maintain online best practices</p>	
<p><b>PG4.2.4</b> Increase timeliness of CPSC information dissemination</p>	<p><b>SI7:</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</p>	

### Strategic Objective 4.3

Increase and enhance collaborations with stakeholders

<p><b>PG4.3.1</b> Increase agency-wide collaboration capacity</p>	<p><b>SI8:</b> Increase the number of collaborations</p>	<p><b>FY 2020 Priority Activities</b></p> <p><b>International Programs</b></p> <ul style="list-style-type: none"> <li>Administer International Training Exchange Program with foreign counterpart regulators</li> </ul> <p><b>Communications</b></p> <ul style="list-style-type: none"> <li>Continue with CPSC-wide collaboration plan across agency divisions to increase and enhance collaborations with stakeholders</li> </ul>
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## Appendix A: Unfunded Priorities previously submitted by the Commission

➤ **Pay Inflation (\$1.0 million):** The FY 2020 *Request* does not fully fund payroll costs. The CPSC would require an additional \$1.0 million to fully fund all inflationary factors for personnel salary and benefits for 539 full-time equivalents (FTEs), consistent with the FY 2019-enacted staffing level. The additional \$1.0 million funding requirement includes unfunded inflation and annualization adjustments for the FY 2019 pay raise in FY 2020; CPSC did not receive full funding for the FY 2019 pay raise. The FY 2020 salary and expense requirement assumes no pay raises in FY 2020. A 2-percent pay raise would create an additional shortfall of approximately \$1.5 million that is in addition to the \$1 million shortfall described here.

Unfunded Priorities	in \$M
➤ Pay Inflation	\$1.0
➤ Non-Pay Inflation	\$2.2
➤ Expand Data Analysis	\$2.0
➤ IT Systems and Security	\$2.0
➤ Future VGB Act Grants	\$0.8
<b>Total Unfunded Priorities</b>	<b>\$8.0</b>

➤ **Non-Pay Inflation (\$2.2 million):** The FY 2020 *Request* does not fully fund all upcoming contracts and other non-pay inflation. The CPSC would require an additional \$2.2 million above the *Request* to fully fund non-pay inflation items, including contracts, equipment, travel, training, rent, and security. To calculate the non-pay adjustment needed to maintain current levels, the CPSC aggregated the actual escalations, as specified in large, recurring contracts and agreements, and applied, where the escalations are unknown or unspecified, the inflation rate of 1.9 percent, as specified by OMB.

➤ **Expand Data Analysis (\$2.0 million):** The FY 2020 *Request* does not fully fund the agency's data analysis needs and priorities. The CPSC would require an additional \$2 million to fund initiation of new and enhanced data capabilities to support the agency's "data-driven" and "collaboration" priorities (see page 2). Increased investment in the collection, management, and analysis of high-quality data is critical to achieving Strategic Goals 2 and 3 and accomplishing the mission. Although the CPSC regularly collects and analyzes data from traditionally reliable sources (*e.g.*, hospital emergency rooms and consumer-reported incidents), the CPSC could use additional data sources to improve identification of emerging hazards and to characterize better the level of consumer risk. These additional data sources include exposure surveys and market scans; incident data from urgent care centers; and e-commerce marketplace platforms. In addition, CPSC hazard analysis would benefit from refining the data currently submitted to the Retailer Reporting program to improve its usefulness in identifying potential hazards.

- **Exposure Surveys and Market Scans:** To address the difficulty in identifying emerging risks and better characterize the level of consumer risk, the CPSC requires additional funding to augment its injury and incident surveillance with a dynamic, ongoing, omnibus survey initiative. Data collected through this proposed survey would support quantification of exposure and risk presented by consumer products from a probability-based sample of consumers. This will be a multiyear initiative to design, develop, and implement an exposure survey process with the flexibility to add modules for different product categories or to collect specific product exposure information. This proposal would also enhance the CPSC's data analytic capabilities by improving the speed and efficiency of reviewing incidents and other reports, increasing analysis of unstructured data, and assessing opportunities to apply machine learning.
- **Urgent Care Centers Pilot:** The CPSC continuously collects data from a probability sample of about 100 hospitals nationally as part of the National Electronic Injury Surveillance System (NEISS). This enables the CPSC to make statistically valid national estimates of injuries seen in emergency

departments each year. The CPSC not only uses these hospital data to inform decision-making at the agency, but it also makes the data available (subject to certain statutory limitations) to the public and broader stakeholder community. However, CPSC cannot capture all consumer product injuries from data obtained from hospital emergency department visits. Industry sources estimate that as many as 85 million injured people visit urgent care centers each year.<sup>6</sup> Currently, the CPSC lacks data on those 85 million visits, some that likely involve consumer product-related injuries. To ensure that the CPSC captures emerging consumer product hazards that might be associated with injuries seen in urgent care centers, the CPSC envisions a pilot initiative to collect incident data from urgent care centers on consumer product-related visits. The objective of the pilot initiative would be to ascertain whether unique injury patterns associated with consumer products exist that are not reflected in the NEISS data collection efforts, and if so, whether expanding data collection to include urgent care centers more broadly is warranted.

- **e-commerce:** The Internet has changed the way consumers purchase and receive consumer products. Consumers can purchase products directly from a manufacturer or distributor located virtually anywhere in the world and can have those products shipped directly to their homes and businesses. In addition, the Trade Facilitation and Trade Enforcement Act of 2015 (TFTEA) raised the *de minimis* value of these direct-to-consumer shipments from \$200 to \$800. The increase in the *de minimis* value lessens the amount of data on direct-to-consumer shipments that would have been available for analysis by CPSC and diminishes the U.S. government's ability to inspect contents of those shipments, thus making it more challenging for the CPSC to identify violative imports. These trends pose new challenges for the CPSC in monitoring the marketplace for emerging hazards. The CPSC requires additional funding to address e-commerce. CPSC would use the funding to expand data analysis to implement initiatives, outlined in the agency's Strategic Goal 2, to analyze and modernize the agency's approaches to addressing the evolving e-commerce supply chain.
- **Retailer Reporting:** The CPSC collects data from a small group of retailers through a program designed for the participants to share information associated with consumer product incidents. Currently, CPSC's capacity for reviewing a large number of reports received through this program is inadequate. This presents challenges that limit the value of the potential data that the CPSC could collect. Moreover, additional retailers have expressed strong interest in joining the Retailer Reporting program, but the CPSC currently does not have the capacity to process additional reports from potential participants. As part of the initiative to expand data analysis, the CPSC requires additional funding to refine and further automate the processing of reports to make them useful, thereby enabling CPSC to receive and analyze a relevant and manageable data set and potentially expand the program to new participants.
- **IT Systems and Security (\$2.0 million):** The FY 2020 *Request* does not fully fund IT Systems and Security requirements. The CPSC requires an additional \$2 million to fund the agency's immediate needs for the data-driven and focus-on-risk priorities (see page 2). The CPSC's IT systems store and compute critical consumer product safety-related data to guide the agency's mission work. The CPSC requests additional funding to incrementally modernize existing mission systems and to continue remediating systems security issues.
  - **Incremental Systems Modernization:** The CPSC lacked sufficient funding in recent budget cycles to adequately update and incrementally modernize many existing mission-facing IT systems. The

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<sup>6</sup> Urgent Care Association (UCA), [www.ucaoa.org/blogpost/1341055/268108/URGENT-CARE--BRINGING-OUR-VALUE-PROPOSITION-TO-THE-PAYER-COMMUNITY?hhSearchTerms=%2285+and+million%22&terms](http://www.ucaoa.org/blogpost/1341055/268108/URGENT-CARE--BRINGING-OUR-VALUE-PROPOSITION-TO-THE-PAYER-COMMUNITY?hhSearchTerms=%2285+and+million%22&terms), accessed February 21, 2019.

agency requires additional baseline funding to enable a multiyear effort to implement a number of incremental improvements to our existing mission systems. Existing systems requiring near-term improvements include the Integrated Field System (IFS), SaferProducts.gov, legacy platform applications, and the public website. The IFS, last updated in 2005, requires a new framework and capability to process, store, share, and manage work involving sensitive regulated case files, and this is the first system the CPSC would focus on with additional funding. Currently, the information in IFS is processed and shared manually at several points in the case-file management process. This process is inefficient for Compliance field staff located across the United States, who lack access to physical files located at headquarters. IFS enhancements funded by this proposal would digitize files, create automated workflows, and add the necessary security protocols to share sensitive information securely through the IFS system. The agency is conducting a *business process review* (BPR) analysis to formulate the full scope of processes across the agency affected by the proposed IFS enhancements. In addition to IFS, the CPSC would incorporate this funding into its IT baseline for future cycles to support other priority incremental enhancements. These other priority incremental enhancements include modernizing SaferProducts.gov by adding improved mobile-friendly features to coincide with how consumers interact with the CPSC through smartphones; updating soon-to-be obsolete technologies for smaller CPSC applications that are part of our legacy platform; and updating the agency's public website, cpsc.gov, to improve brand and interface consistency to make the website easier to use.

- **IT Security:** A Security Control Assessment, completed in May 2017, identified internal control deficiencies resulting from incomplete or missing standard operating procedure (SOP) documents. These documents are required for achieving efficiency, effectiveness, and uniformity in implementing routine information systems security controls. The agency lacks the capacity to address these deficiencies, which creates a risk for the CPSC's IT operations. To mitigate the risks and improve compliance with federal IT security mandates, the CPSC requires additional funding to remediate the internal control issues within the General Support System Local Area Network (GSS LAN).
- **Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) Grant Program (+\$0.8 million):** The FY 2019 Consolidated Appropriations Act included \$0.8 million, available until expended, to fund grants established by the VGB Act, Public Law No. 110-140, Title XIV. The CPSC plans to execute that grant funding, along with \$1.3M in FY 2018 carryover grant funding, throughout FY 2019 and FY 2020 through new grant awards. The agency does not plan to award additional grants once the existing carryover balances have been exhausted.

## Appendix B: Technical Budget Tables

### Table 3

#### Program and Financing Schedule

(Dollars in millions)

	<b>FY 2018</b> <b><u>Actual</u></b>	<b>FY 2019</b> <b><u>Estimate</u></b>	<b>FY 2020</b> <b><u>Request</u></b>
<b>Obligations by Program Activity:</b>			
Consumer Product Safety Commission	\$126	\$126	\$127
Direct program activities, subtotal	\$126	\$126	\$127
Reimbursable program	\$3	\$3	\$3
<i>Total new obligations</i>	\$129	\$129	\$130
<b>Budgetary Resources:</b>			
Unobligated balance:			
Unobligated balance brought forward, Oct 1	\$2	\$2	\$2
Budget authority:			
Appropriations, discretionary:			
Appropriation	\$126	\$126	\$127
Spending authority from offsetting collections, discretionary:			
Collected	\$3	\$3	\$3
Budget authority (total)	\$129	\$129	\$130
<i>Total budgetary resources available</i>	\$131	\$131	\$132
<b>Change in Obligated Balance:</b>			
Obligated balance, start of year (net):			
Unpaid obligations, brought forward, Oct 1 (gross)	\$36	\$33	\$33
Obligations incurred, unexpired accounts	\$129	\$129	\$130
Obligations incurred, expired accounts			
Outlays (gross)	-\$131	-\$129	-\$132
Recoveries of prior year unpaid obligations, expired			
Obligated balance, end of year (net):			
<i>Unpaid obligations, end of year (gross)</i>	\$33	\$33	\$31
<b>Budget Authority and Outlays, net:</b>			
Discretionary:			
Budget authority, gross	\$129	\$129	\$130
Outlays, gross:			
Outlays from new discretionary authority	\$100	\$103	\$104
Outlays from discretionary balances	\$31	\$26	\$28
Outlays, gross (total)	\$131	\$129	\$132
Offsets against gross budget authority and outlays:			
Offsetting collections (collected) from:			
Federal sources	-\$3	-\$3	-\$3
<i>Budget authority, net (total)</i>	\$126	\$126	\$127
<i>Outlays, net (total)</i>	\$128	\$126	\$129

## Table 4 Object Classification Schedule and Personnel Summary

(Dollars in millions)

	<b>FY 2018 <u>Actual</u></b>	<b>FY 2019 <u>Estimate</u></b>	<b>FY 2020 <u>Request</u></b>	
<b>Direct Obligations:</b>				
11	Personnel Compensation	\$61	\$63	\$65
12	Personnel Benefits	18	19	19
21	Travel and Transportation of Persons	1	1	1
23	Rent, Communications, and Utilities	11	10	10
24	Printing and Reproduction	0	0	0
25	Other Services	31	29	29
26	Supplies and Materials	1	1	1
31	Equipment	2	2	2
41	Grants	1	1	0
99	<i>Subtotal, Direct Obligations</i>	<u>\$126</u>	<u>\$126</u>	<u>\$127</u>
<b>Reimbursable Obligations:</b>				
		<u>\$3</u>	<u>\$3</u>	<u>\$3</u>
<b>Total Obligations:</b>				
99.9	Total Obligations	<u><u>\$129</u></u>	<u><u>\$129</u></u>	<u><u>\$130</u></u>
<b>Personnel Summary:</b>				
Total Direct Compensable Work Years:				
	Full-Time Equivalent Employment	530	539	539

**Table 5**  
CPSC FTEs by Organization

	<b>FY 2018</b> <b><u>Actual</u></b>	<b>FY 2019</b> <b><u>Estimate</u></b>	<b>FY 2020</b> <b><u>Request</u></b>
Chairman & Commissioners	16	21	21
Hazard Identification and Reduction	156	160	160
Compliance and Field Operations	149	147	147
Import Surveillance	40	39	39
International Programs	8	7	7
Communications	11	10	10
Information Technology	38	40	40
General Counsel	45	48	48
Agency Management and Support *	60	60	60
Inspector General	7	7	7
<b>Total</b>	<b>530</b>	<b>539</b>	<b>539</b>

\* Agency Management includes Financial Management, Planning, and Evaluation; Facilities Services; Human Resources Management; EEO & Minority Enterprise; Executive Director; and Legislative Affairs.

## Table 6

### Inspector General Budget Request

(Dollars in thousands)

The information presented below complies with the Inspector General Act, as amended:

<b><u>Resource</u></b>	<b><u>FY 2018 Actual</u></b>	<b><u>FY 2019 Estimate</u></b>	<b><u>FY 2020 Request</u></b>
FTEs	7	7	7
Salaries & Expenses	\$1,022	\$1,050	\$1,086
Contracts & Operating Expenses	\$121	\$121	\$150
Training	\$15	\$15	\$15
Total Amount	\$1,158	\$1,186	\$1,251

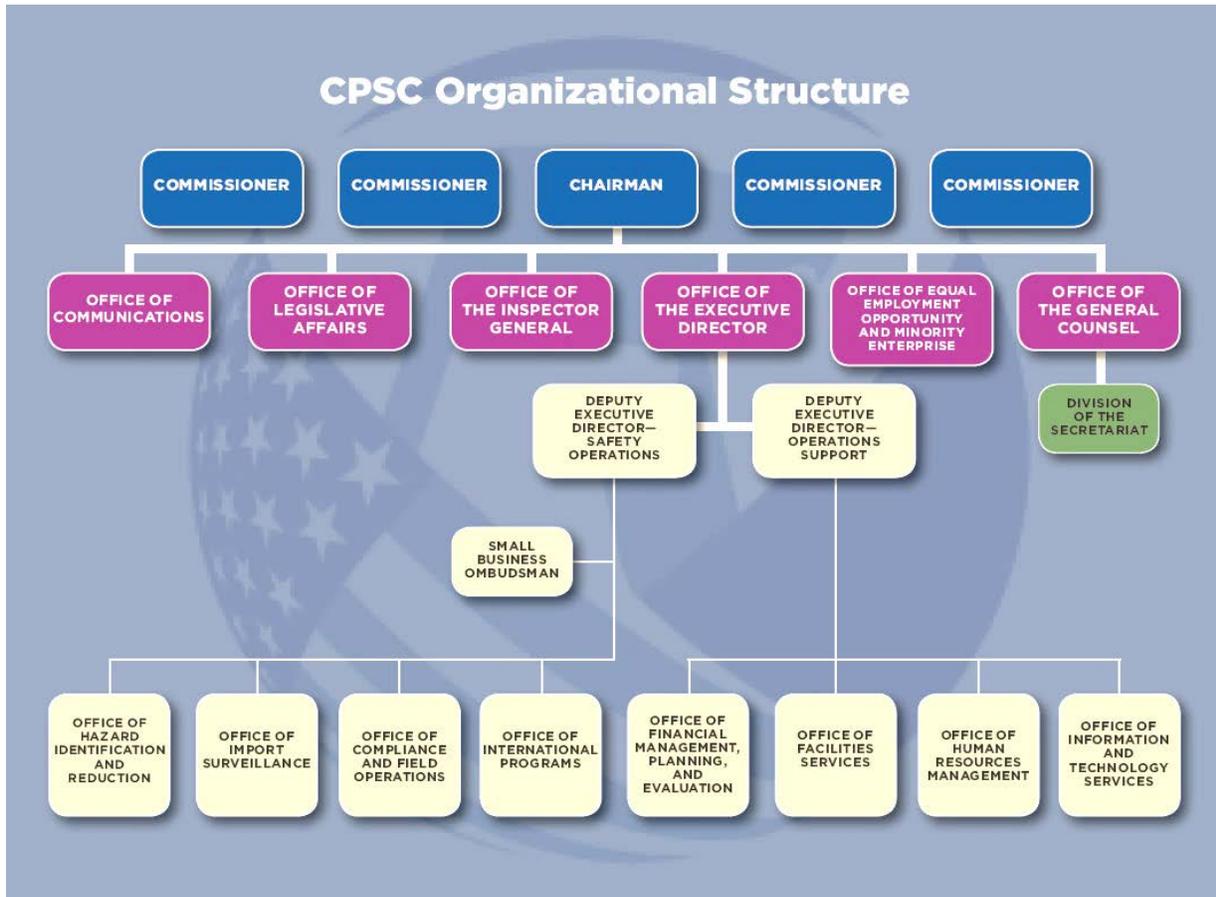
The CPSC's Inspector General (IG) certifies that the amount requested for training satisfies all known IG training requirements for FY 2020. The IG further certifies that in accordance with procedures developed by the Council of the Inspectors General on Integrity and Efficiency (CIGIE), the sum of \$3,000.00 will be set aside out of "Contracts and Operating Expenses" to provide the resources necessary to support CIGIE through the annual dues-paying process.

## Appendix C: Acronyms

AFR	Agency Financial Report
ANPR	Advance Notice of Proposed Rulemaking
APP	Annual Performance Plan
ATV	All-Terrain Vehicle
BP	Briefing Package
BPR	Business Process Review
CAP	Corrective Action Plan
CBP	U.S. Customs and Border Protection
CO	Carbon Monoxide
CPSA	Consumer Product Safety Act
CPSC	U.S. Consumer Product Safety Commission
CPSIA	Consumer Product Safety Improvement Act
CPSRMS	Consumer Product Safety Risk Management System
DA/TR	Data Analysis and/or Technical Review
DFR	Direct Final Rule
ED	Emergency Department
E EI	Employee Engagement Index
ERM	Enterprise Risk Management
FEVS	Federal Employee Viewpoint Survey
FISMA	Federal Information Security Management Act
FR	Final Rule
FTE	Full-time Equivalent
FY	Fiscal Year
ICI	Informed Compliance Inspection
IDI	In-Depth Incident
IG	Inspector General
IT	Information Technology
IoT	Internet of Things
KM	Key Performance Measure
NEISS	National Electronic Injury Surveillance System
NIST	National Institute of Standards and Technology
NPR	Notice of Proposed Rulemaking
NPTEC	National Product Testing and Evaluation Center
OECD	Organisation for Economic Cooperation and Developments
OPM	U.S. Office of Personnel Management
PG	Performance Goal
RAM	Risk Assessment Methodology
ROV	Recreational Off-Highway Vehicle
SBO	Small Business Ombudsman
SDO	Standards Development Organization
SI	Strategic Initiative
SO	Strategic Objective
VGB Act	Virginia Graeme Baker Pool and Spa Safety Act

## Appendix D: Organizational Structure

This chart depicts the organizational structure of the CPSC:



**U.S. Consumer Product Safety Commission**  
Bethesda, Maryland 20814