



# **U.S. CONSUMER PRODUCT SAFETY COMMISSION**

## **2013 PERFORMANCE BUDGET REQUEST**

*CPSC Stands for Safety*

**Submitted to Congress  
February 2012**



# U.S. CONSUMER PRODUCT SAFETY COMMISSION 2013 PERFORMANCE BUDGET REQUEST

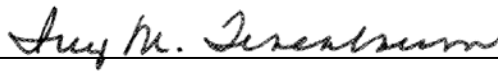
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## COMMISSIONERS' TRANSMITTAL STATEMENT

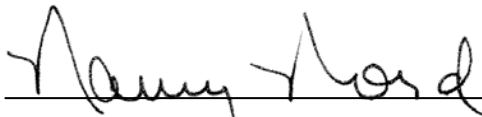
This Performance Budget for Fiscal Year (FY) 2013 is submitted by the Commissioners of the U.S. Consumer Product Safety Commission (CPSC).



Inez M. Tenenbaum  
Chairman



Robert S. Adler  
Vice Chairman



Nancy A. Nord  
Commissioner



Anne M. Northup  
Commissioner



**APPROPRIATION LANGUAGE (PROPOSED)****U.S. CONSUMER PRODUCT SAFETY COMMISSION  
SALARIES AND EXPENSES**

For necessary expenses of the 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, \$122,425,000, of which \$6,000,000 shall remain available until September 30, 2014, for CPSC headquarters relocation.





# U.S. CONSUMER PRODUCT SAFETY COMMISSION

## 2013 PERFORMANCE BUDGET OVERVIEW STATEMENT

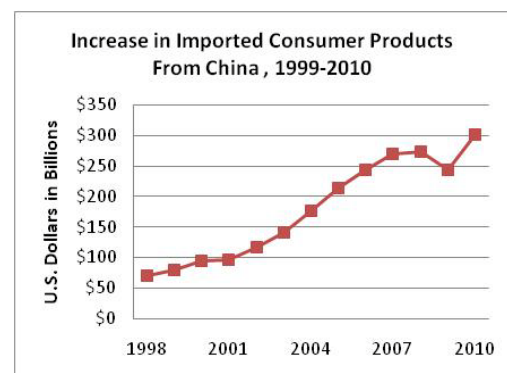
	FY13 CPSC Request	
<b>Annual Operating Request:</b>	\$	116,425,000
<b>Relocation – 2-year availability:</b>	\$	6,000,000
<b>Total Request:</b>	\$	122,425,000

### Summary of the CPSC Budget Request

The U.S. Consumer Product Safety Commission (CPSC) requests \$122,425,000 for FY 2013, with \$116,425,000 allocated for program work and \$6,000,000 available for two years to fund a potential relocation of the CPSC Headquarters. The CPSC will withdraw the requested funding for relocation if the U.S. General Services Administration (GSA) determines that a move is not cost-effective and the headquarter's staff remains at the current Bethesda, MD, location. Excluding funding for relocation, this request is a 1.7 percent increase above the 2012 appropriated funding level of \$114,500,000.

### Current Challenges

**Import Surveillance:** The marketplace of consumer goods has expanded rapidly in recent years, requiring the CPSC to take an increasingly global view of consumer product safety. Globalization and technology advances have expanded the range of products on the market, increasing the risks associated with these advancements and making the challenge of overseeing and regulating the thousands of product types within the agency's jurisdiction more complex. The value of U.S. imports under the CPSC's jurisdiction has skyrocketed, reaching about \$637 billion in 2010. The value of all imports



of consumer products from China and Hong Kong more than quadrupled from 1999 to 2010. Today, about 99 percent of toys, 96 percent of apparel, 95 percent of fireworks, and 78 percent of electrical products are manufactured in other countries. Moreover, four out of five consumer product recalls involve imported products, making imports a critical focus area for the CPSC. There are 327 ports of entry into the United States, and as of today, the CPSC has federal personnel at only 15 of those ports. With more than \$1.5 billion in container import shipments entering the United States each day, and as these shipments are received by more than 800,000 importers, monitoring the compliance of all imported consumer products is challenging.

**Enforcement:** An increase in imported products, coupled with additional regulatory requirements enacted as part of the Consumer Product Safety Improvement Act of 2008 (CPSIA), has resulted in an

increased need for enforcement in the domestic marketplace and at the ports. Thus, in the coming years, the work of the agency will shift toward increased enforcement activity along with a heightened effort to educate the regulated community on the best way to comply with the CPSC's rules and regulations. History demonstrates that enforcing a new rule takes more resources than enforcing an existing rule as the marketplace adapts and learns the new requirements.

**Rulemaking:** The CPSIA has increased the mission requirements of the CPSC, requiring new regulations and mandates to improve consumer product safety. Accordingly, because of this legislation, the CPSC has expedited the integration of its legacy IT systems to identify product hazards more efficiently. The Commission still has a significant amount of CPSIA-mandated rulemaking under development, including creating mandatory standards pursuant to Section 104 of the CPSIA for durable nursery products, such as play yards, swings, bassinets, and booster chairs.

**New Congressionally Mandated Requirements:** On August 12, 2011, the President signed H.R. 2715 (now Public Law 112-28) into law. P.L. 112-28 provides the CPSC with greater authority and discretion in enforcing consumer product safety laws, but also sets new mandates and requirements that the Commission must fulfill. The new law requires the CPSC, among other things, to: (1) complete within one year of enactment, a mandatory safety standard for all-terrain vehicles (ATVs); (2) undertake an assessment of third party testing requirements for children's products to determine where the costs of such testing can be reduced but still ensure compliance with safety standards, and implement or make recommendations to Congress regarding these cost-saving measures; and (3) consider alternative methods for small manufacturers to ensure compliance with any applicable consumer product safety rule or regulation or grant them exemptions from third party testing, if alternatives do not exist, or alternatives are not economically practicable (subject to limitations in P.L. 112-28).

**Information Technology:** As the CPSC continues to expand its global leadership role in safety, the agency has become a target for more cyber attacks. The cyber attacks are becoming more sophisticated, and the agency needs to assess network vulnerabilities and implement appropriate countermeasures to strengthen network security and defend against future attacks. In addition, the CPSC needs to comply with the Federal Information Security Management Act (FISMA), which requires a plan for the continuity of operations in the event of a disaster that could harm critical information technology systems and cripple or destroy critical business functions. A verified and secure disaster recovery site would allow critical systems, such as e-mail and [www.CPSC.gov](http://www.CPSC.gov), to be restored with minimal outage, and at the same time, allow less critical systems to be restored in a predictable timeframe.

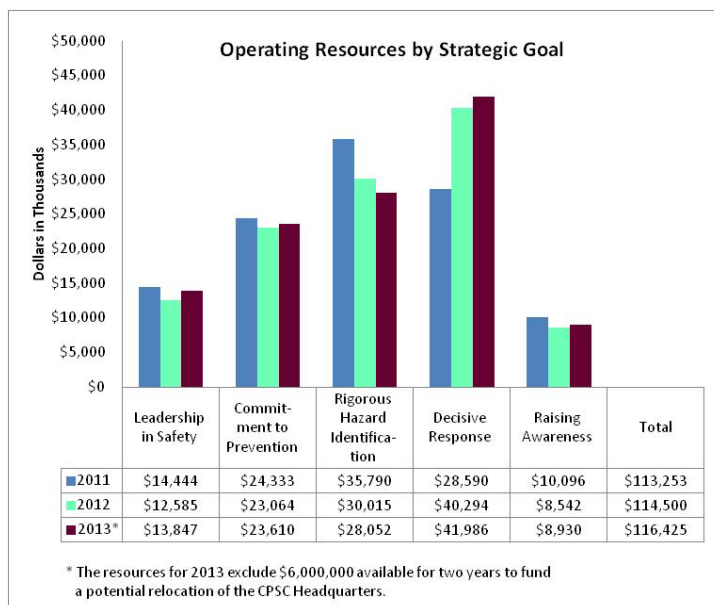
### CPSC STRATEGIC PLAN AND THE FY 2013 FUNDING REQUEST

The CPSC's 2011–2016 Strategic Plan guides the performance targets and funding proposals outlined in this request. The CPSC established five strategic goals: (1) leadership in safety; (2) commitment to prevention; (3) rigorous hazard identification; (4) decisive response; and (5) raising awareness. These goals constitute the overarching strategy for how the CPSC is working toward fulfilling its mission to protect the public against unreasonable risks of injury from consumer products through education, safety standards activities, regulation, and enforcement.

This request reflects CPSC's efforts to fund top priorities within baseline funding levels by reprioritizing and reallocating existing resources. Accordingly, CPSC's net increase over the FY2012 enacted appropriation of \$114.5 million is 1.7 percent, or \$1.925 million. A full accounting of the reallocation

and net additions relative to the FY2012 enacted appropriation is described in Table 2: Summary of Changes from the 2012 Enacted Budget.

**Leadership in Safety (\$13.8 million)** – The request for 2013 allocates \$13.8 million to work with international and domestic stakeholders to advance product safety. Activities under this strategic goal include outreach and capacity building to ensure that manufactured products meet U.S. safety requirements; also included are partnering with entities, such as state and federal authorities and colleges and universities in training and capacity-building work. In addition, the request includes funding for an exchange program with China and Canada to implement the CPSIA effectively and ensure that the United States remains a global leader in consumer product safety.



**Commitment to Prevention (\$23.6 million)** – The request for 2013 allocates \$23.6 million to develop and implement safety standards. CPSIA-mandated rulemaking will continue for years to come. Up to 20 potential rules are yet to be promulgated, and other non-CPSIA hazards need to be addressed. The \$23.6 million funding request supports ongoing work with the U.S. Department of Homeland Security’s Bureau of Customs and Border Protection (CBP) to facilitate interagency data sharing and cooperation, training costs for CPSC personnel associated with the CBP’s secure data systems, advance equipment purchases to support on-site data capture, and day-to-day operations of the import safety investigators.

**Rigorous Hazard Identification (\$28 million)** – The request for 2013 allocates \$28 million to ensure the timely and accurate detection of consumer product safety risks. This supports a request from business and research stakeholders to expand the [www.CPSC.gov](http://www.CPSC.gov) application programming interface database to include more specific information than what is currently available, including the addition of the consumer product model number to help ensure that the information is easier for the public to interpret correctly. This would allow retailers, for example, to identify recalled products on their store shelves quickly and remove them, if necessary. In addition, the CPSC has realized reduced costs in its efforts to update and renew IT systems because work is shifting from system development to operations and maintenance.

**Decisive Response (\$42 million)** – The request for 2013 allocates \$42 million for CPSC enforcement of CPSIA-mandated and other safety standards. This funding request also reflects a commitment to continuing an import surveillance pilot initiative. Import surveillance is a preventative strategy, intended to stop unlawful products before they are received into the United States, rather than relying on traditional compliance and recall efforts to remove violative products from the marketplace. The CPSC intends to continue its limited-scale pilot program to measure the efficacy of the surveillance approach and inform future resource requests to Congress. This funding request also supports ongoing regulatory compliance activities, including data analysis, investigations, and assessments of the level of compliance with new regulations. Regulatory areas include: public pool and spa requirements (with more than 300,000 pools

and spas across the nation); CPSIA-mandated requirements for cribs, toddler beds, play yards, bed rails, strollers, and swings; and Federal Hazardous Substances Act regulations for toys, bath seats, rattles, pacifiers, infant pillows, refuse bins, and refrigerators. The request also supports analysis of epidemiology data to determine if there are patterns of defects that might warrant conducting investigations of hazards, including evaluation of technical reports and in-depth field investigations.

**Raising Awareness (\$9 million)** – This request allocates \$9 million to provide the public with timely and targeted information about safety issues, and it includes funding to improve dissemination of information regarding violative products stopped at the ports. This will allow staff to inform foreign counterparts about trends and companies that continue to manufacture products that do not comply with the CPSC’s regulations and develop *industry-based* initiatives that lead to improved compliance.

### CROSS-CUTTING INVESTMENTS

**Information Technology** – The information technology infrastructure has core functions that cut across the five strategic goals and support the entire agency. Embedded within the funding request described above, the CPSC’s request includes \$1.7 million to improve the operational capabilities of the IT infrastructure, which benefits the entire agency. Planned improvements include complying with the Federal Information Security Management Act (FISMA), by developing an agency-wide disaster recovery contingency plan that outlines how the agency could continue to perform essential functions during an emergency situation; information system applications to compile and track operating data; funding for the first phase of an electronic document and records management system, compliant with National Archives and Records Administration requirements, as well as to assist with Electronic Discovery requirements; and funding to identify and address the risks to the confidentiality, integrity, and availability of the CPSC’s information, due to an increase in the number of cyber attacks.

**Potential Relocation (\$6 million)** – This request allocates \$6 million above the operating request level, available for two years, to fund a potential relocation of the CPSC’s Bethesda, MD, headquarter’s space when the lease expires in August 2013. The solicitation of a prospectus lease replacement is an open competition; thus, it is possible that another lessor could win the competitive bidding process, and GSA could select a different location for the CPSC’s headquarters. If this happened, the agency would incur costs not only to move to a new building, but also to restore to marketable conditions the building at the current lease location. It is anticipated that GSA will finalize its decision on the location of the headquarter’s space in FY 2012, with a move to new space, if required, to begin in the third quarter of FY 2013. If the GSA process resulted in the headquarters remaining at the current location, the CPSC will withdraw the relocation request.

### KEY ACCOMPLISHMENTS IN FISCAL YEAR 2011

FY 2011 saw a number of safety advances for the agency, and recent rulemaking has greatly improved the safety of children’s and other products. Most notably in FY 2011, the Commission approved:

- new mandatory crib safety standards that are considered to be the strongest in the world, the first major upgrade of the federal crib standards in 30 years;
- mandatory rules aimed at keeping drawstrings out of children’s upper outerwear, and requiring immersion protection devices on hair dryers;

- a new mandatory safety standard for toddler beds, and a notice of proposed rulemaking to create a federal safety standard for bed rails;
- rules that require most children's product manufacturers to test and certify those products to applicable safety standards, including lead and phthalates limits and (to the extent applicable) the mandatory toy safety standard;
- a total lead content limit of 100 parts per million for all children's products (made on or after August 14, 2011), representing one of the lowest levels in the world;
- continued exploration of technical solutions for the hazards associated with portable gas generators, which were involved in 591 carbon monoxide related-deaths between 1999 and 2010;
- continuation of activities related to the October 2009 advance notice of proposed rulemaking (ANPR) to address occupant protections and steering performance for Recreational Off-Highway Vehicles (ROVs), which were associated with more than 165 deaths from 2003–10; and
- proposed rulemaking for ATVs, aimed at establishing greater protections for young riders (ATVs are associated with more than 800 deaths a year).

### SUMMARY

The Commission recognizes this is an austere budget environment. With this in mind, the CPSC emphasized reprioritizing within its existing funding levels, shifting resources to higher priorities, and thereby, minimizing the request for additional appropriations.



## 2013 BUDGET: SUMMARY OF CHANGES FROM THE 2012 ENACTED BUDGET

	\$ (in 000)
<b>FY 2012 Enacted</b>	<b>\$114,500</b>
<b>2013 Offsets and Reprioritization of Base Funds</b>	
Information Technology Infrastructure	(\$3,675)
Salary and Expense Rebalancing to priorities below	(\$700)
<b>Subtotal, Offsets and Reprioritization of Base Funds</b>	<b>(\$4,375)</b>
<b>2013 Reprioritized Increments and Net Additions</b>	
<b>Programs and Support</b>	
Import Surveillance: Operations, CBP Data and Analysis	\$2,610
Compliance investigations (CPSIA enforcement)	\$480
Exchanges with safety specialists from China and Canada	\$70
Addition of model number to <a href="http://www.CPSC.gov">www.CPSC.gov</a> database	\$350
Product samples management, fireworks destruction contracts	\$120
Current Services	\$300
<b>Information Technology (IT):</b>	
Continuity of Operations plans (site location and other requirements)	\$400
Applications support (Web, research, budget)	\$560
Document/records management system	\$360
Security improvements to address risks of cyber attacks	\$250
IT Operations and Maintenance	\$800
<b>Subtotal, 2013 Reprioritized Increments and Net Additions</b>	<b>\$6,300</b>
<b>FY 2013 Budget Request</b>	<b>\$116,425</b>
Headquarters relocation, pending GSA Decision (two-year funds)	\$6,000
<b>FY 2013 Total Request</b>	<b>\$122,425</b>
Change from FY12 (excluding Relocation)	\$1,925
Change from FY12 (with Relocation)	\$7,925



## DETAIL OF 2013 SUMMARY OF CHANGES

### **2013 Offsets and Reprioritization of Base Funds:**

**Information Technology Infrastructure (-\$3.675M):** Funding is reallocated from project development to operations and maintenance and 2013 priorities (see below).

**Salary and Expense Reallocation (-\$.700M):** Baseline funding for existing salary and expense is reallocated to 2013 priorities (see below).

### **2013 Reprioritized Increments and Net Additions:**

#### ***Program Support***

**Import Surveillance Pilot (+\$2.610M):** To continue the import surveillance pilot program, including an increase of eight FTEs. Section 222 of the Consumer Product Safety Improvement Act of 2008 (CPSIA) requires the CPSC to formulate a methodology to identify products imported into the United States that are most likely to violate consumer product safety statutes and regulations enforced by the Commission. In developing the approach, Congress requested that the CPSC analyze how to integrate and leverage existing data and systems resident with Customs and Border Protection's (CBP) International Trade Data System (ITDS). The CPSC issued a staff report to Congress in September 2011, outlining the requirements to initiate a program of work. The CPSC has reprioritized resources within the baseline budget to continue the import surveillance pilot program, leveraging CBP's existing ITDS data. The pilot will enable continued processing, testing, and analysis of the CBP data and include the development of a prototype demonstration to verify the feasibility of the approach. The results of the pilot will be analyzed to develop plans and recommendations for the future direction of the program.

**Compliance investigations (+\$.480M):** For four additional FTEs to enforce CPSIA-mandated rulemaking both in the domestic marketplace and at the ports; to conduct investigations of hazards, including the evaluation of technical reports and in-depth field investigations; and to educate the regulated community on the best way to comply with the CPSC's rules and regulations.

**Exchanges with safety specialists from China and Canada (+\$.070M):** To support exchange programs with China and Canada, as part of implementing the CPSIA and consistent with the CPSC's vision to be the global leader in consumer product safety. Exchange programs would enable CPSC safety specialists to interact and learn from their counterparts in the safety agencies of foreign countries.

**Addition of model number to [www.CPSC.gov](http://www.CPSC.gov) database (+\$.350M):** To provide improved electronic access to CPSC's recall information as requested by the public. This recall information would be expanded to include a recalled product's model number, if available, so that retailers can more quickly remove recalled products from their shelves and websites.

**Product samples management, fireworks destruction contracts (+\$.120M):** To provide contract support for facilities services, sample management, and sample fireworks destruction.

**Current services (+\$.300M):** For increased rent charges from the General Services Administration (GSA); security monitoring services; Homeland Security government-wide fees; security background investigations; and software/hardware maintenance, supplies and materials.



***Information Technology (IT)***

**Continuity of Operations (COOP) Plan (+\$.400M):** To develop an agency-wide disaster recovery COOP plan to ensure that the agency can perform essential functions in the event of a government emergency.

**Applications support/Web, research, budget (+\$.560M):** To support the CPSC's ongoing need for contracting funds for IT applications to improve the efficiency of operations for various offices.

**Document/records management system (+\$.360M):** To comply with the National Archives and Records Administration requirements for electronic document and records management.

**Cyber Security (+\$.250M):** To address current cyber security weaknesses and to define and address the risks to confidentiality, integrity, and availability of the CPSC's data.

**IT Operations and Maintenance (+\$.800M):** To operate and maintain the agency's safety-related IT systems, including newly developed IT portfolios and case management.

## INFORMATION TECHNOLOGY STATUS AND REQUEST

The Consumer Product Safety Improvement Act of 2008 (CPSIA) directs the Commission to expedite efforts to upgrade and improve information technology (IT) systems in effect on the date of implementation. One of the fundamental components of the IT update and renewal was the creation of Triage and Integrated Product Teams (IPTs). The Triage and IPTs are implementing new critical business processes to ensure that all incident reports are reviewed and screened by subject matter experts, which will improve the ability to make optimal use of the limited number of investigations that the agency can conduct. These improvements contribute to the CPSC's mission, by streamlining the collection of incident reports, publicizing previously unavailable product safety information, improving timeliness of the CPSC's communication with businesses, and laying the foundation needed to review and triage incident reports consistently.

Other IT elements developed in 2011 include: improving product identification through more effective brand management, coding mandatory manufacturer reports and National Electronic Injury Surveillance System (NEISS) reports in the updated system, expanding the business portal in order to receive manufacturers' comments electronically on nonpublished incident reports, and automating the process to determine which incident reports will be assigned for investigation.

The IPTs will be able to create electronic portfolios of safety information, using case management to assign and receive status updates for tasks that flow through the agency. The use of safety information portfolios and centralized task assignment and tracking allows for efficient management of the high volume of incident reports that the agency receives; it also helps staff to identify emerging hazards more quickly. In 2012, staff will implement the first version of a case management system that will display related workflows of a task and allow for task tracking.

In 2013, the final year of significant IT development, staff will complete the automation of safety information portfolios and will retire key legacy systems. Retirement of key legacy systems will reduce the CPSC's overall IT operating and maintenance costs, and in turn, reduce agency-wide obligations. Additionally, staff will evaluate the feasibility and possible implementation of an automated targeting system that will enhance staff's ability to review the high volume of incident reports.

By the end of 2011, we implemented 55 percent of the milestones planned, obligated approximately \$29 million of \$37 million toward those milestones, and were more than half way through the 49 months of development. The milestones and costs are for contract dollars and do not include operations and maintenance. The IT program is on track to reduce its budget significantly in 2013, from more than \$10.2 million dollars in 2012, to about \$7.44 million in 2013.

### *Critical Updates to Information Technology Infrastructure*

The Commission will proceed with the plan for its IT infrastructure investment to remain steady state (with no major improvements) in 2012 as it did in 2011, while it focuses primarily on updating and renewing specific IT systems. Having remained steady state, some aspects of the IT infrastructure have become out of date, leaving IT systems more vulnerable to cyber attacks and other types of risks. Therefore, the CPSC requests funding for IT infrastructure, which will strengthen its cyber security, and its contingency plans. The CPSC's proposed IT critical infrastructure update consists of three major components.

- Based on the security profile of the agency's IT systems, the CPSC is required under the Federal Information Security Management Act (FISMA) to have a plan for continuity of operations and a verified and secure disaster recovery site for critical business functions. This will allow critical

systems, such as e-mail and [www.CPSC.gov](http://www.CPSC.gov), to be restored with minimal outage should our primary facility be out of service. In addition, this will allow less critical systems to be restored securely in a predictable timeframe.

- Development of an IT program or software occurs in stages or phases, including a development environment (used for developing an IT application), a test environment (where the software can be tested), and a production environment (where users actually run a live application). Ideally these environments should be separate and discrete because activities between each group should not interfere with each other. For example, in the development environment, an application is expected to change often and be broken for extended periods of time. During testing, developers should not be making changes to an application or the tests would be invalid. Currently, the CPSC's development, test and production environments are connected, which creates a risk that changes in the development or test environments could negatively impact the production environment. Staff will consider alternatives, including cloud-based computing solutions, that would separate development and testing from production to provide better protection for mission essential IT systems and help the CPSC's network meet current standards for resiliency and stability.
- As the CPSC continues to expand its global leadership role in safety, it has become a target for more cyber attacks. Cyber attackers are becoming more sophisticated. The CPSC requests funding for assessing network vulnerabilities and for implementing appropriate countermeasures to strengthen network security. Heightened network security will help protect confidential information and ensure continuity of operations for the CPSC.

**Commodity IT and Shared Services.** To make better use of the resources needed to support IT systems, the CPSC prefers to use shared services wherever possible. Repeatedly, the CPSC has leveraged OMB's Shared Lines of Business initiative. The agency uses the Shared Lines of Business initiatives for human resources, accounting services and systems, purchasing, rulemaking, electronic personnel documents, travel, and personnel background checks.

**IT Initiatives.** In addition to using shared services, the CPSC looks for opportunities to reach consumers and businesses through government-wide initiatives. The CPSC collaborates with other agencies that issue recalls at [www.Recalls.gov](http://www.Recalls.gov) and provides recall data through [www.USA.gov](http://www.USA.gov) for a free mobile app developed by GSA. The CPSC is also working to make incident report data published on [www.SaferProducts.gov](http://www.SaferProducts.gov) available to businesses and the public. The CPSC is participating in the government-wide Trusted Internet Connection and related network consolidation efforts, where agencies will reduce the number of direct connections to the Internet, thereby, improving network security.

**Cloud Computing.** Although the CPSC is a small agency, it has an active Capital Planning and Investment Control program that incorporates a variety of initiatives and priorities into the planning and acquisition of IT solutions. The CPSC has held the IT infrastructure investment in steady state as other safety initiatives, such as the development of electronic portfolios, have been developed. This strategy has been successful, allowing staff to focus on ensuring that a smaller number of larger initiatives succeeds. The CPSC will apply a cloud-first policy when analyzing alternatives to update the IT infrastructure investment. The CPSC will look for examples of similarly-size agencies that are using cloud computing successfully when drafting this approach.

## POTENTIAL CPSC HEADQUARTERS RELOCATION

The last year of the CPSC's lease for the headquarters location is FY 2013 (expiring August 2013). The CPSC anticipates that the General Services Administration (GSA) will finalize its decision on the CPSC's headquarters location in FY 2012 or FY 2013. The solicitation for a prospectus lease replacement is open competition; thus, there is the potential that another lessor will win the competitive bidding process and that GSA will select a location for the CPSC's headquarters that is different from the current Bethesda, MD, site. If this happens, the agency would incur the cost of moving to a new building, as well as the cost of restoring to marketable conditions the building at the current lease location.

The CPSC has a number of special needs for headquarters staff. The CPSC conducts its regulatory business through meetings, and by statute, it is required to open its meetings to the public, which requires access to suitable space. For example, external stakeholders attend CPSC hearings and meetings as observers of Commission decision making; interact with CPSC staff for guidance in adhering to the agency's regulations; and participate in workshops to provide their viewpoint to the Commission. Adequate conference rooms are another requirement. They allow the CPSC's multidisciplinary teams to meet and evaluate product safety hazards, including the review of physical product samples. Another requirement is storage for product samples, particularly products that are being considered for a recall, because these products are often evaluated over several days, and the chain of custody must be maintained.

If the CPSC were required to move its headquarters operations, numerous items would factor into the cost of the move, including: staff needs, furniture, telecommunications, moving expenses, construction costs above the tenant improvement allowance, project management, and storage costs. This request allocates \$6 million above the operating request level, available for two years, to fund a potential relocation of the CPSC's headquarters. If the GSA process results in no relocation, then the CPSC will withdraw the relocation request.

## 2011–2016 STRATEGIC PLAN SUMMARY

In 2010, the Commission launched a comprehensive strategic planning initiative to revise and update its existing Strategic Plan. The 2011–2016 Strategic Plan, which took effect in 2011, will shape performance reports over the next five years.

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



### Objectives for Strategic Goal One: Leadership in Safety

- 1.1 Determine the most critical consumer product hazards and issues to define the Commission's annual priorities consistent with the agency's regulatory requirements.
- 1.2 Create and strengthen partnerships with domestic and international stakeholders aimed at improving product safety throughout the supply chain.
- 1.3 Collaborate with partners ranging from state and federal authorities, colleges and universities, and other stakeholders to expand the CPSC's effectiveness and reach.
- 1.4 Work towards harmonizing global consumer product standards or developing similar mechanisms to enhance product safety.
- 1.5 Promote and recognize innovation and advancements in consumer product safety.
- 1.6 Attract, retain, and collaborate with leading experts to address consumer product hazards.

### Objectives for Strategic Goal Two: Commitment to Prevention

- 2.1 Minimize hazardous defects early in the manufacturing process through increased participation in voluntary standards activities.
- 2.2 Improve the safety of consumer products by issuing mandatory standards, where necessary and consistent with statutory authority, in response to identified product hazards.
- 2.3 Facilitate the development of safer products by training industry stakeholders on the CPSC regulatory requirements and hazard identification best practices.
- 2.4 Develop programs that provide incentives for manufacturers and importers to implement preventive actions that enable the safety of their products.
- 2.5 Engage foreign product safety regulators and foreign manufacturers to reduce the production of unsafe consumer products that may enter the U.S. market.

### Objectives for Strategic Goal Three: Rigorous Hazard Identification

- 3.1 Improve the quality and comprehensiveness of crucial product hazard data.
- 3.2 Reduce the time it takes to identify hazard trends by improving the collection and assessment of hazard data.
- 3.3 Establish a transparent, risk based methodology to consistently identify and prioritize hazards to be addressed.
- 3.4 Expand import surveillance efforts to reduce entry of unsafe products at U.S. ports.
- 3.5 Scan the marketplace regularly to determine whether previously identified significant hazards exist in similar products.
- 3.6 Increase surveillance of used and resale consumer products to identify and remove recalled products and substantial product hazards.

### Objectives for Strategic Goal Four: Decisive Response

- 4.1 Expand the CPSC's ability to conduct a full range of inspections to monitor for noncompliant and defective products.
- 4.2 Use a risk-based methodology to prioritize the CPSC's targeted response to addressable product hazards.
- 4.3 Increase the effectiveness and speed of stop sales and recalls of noncompliant and defective products.
- 4.4 Reduce the time it takes to inform consumers and other stakeholders of newly identified hazards and the appropriate actions to take.
- 4.5 Hold violators accountable for hazardous consumer products on the market by utilizing enforcement authorities.

### Objectives for Strategic Goal Five: Raising Awareness

- 5.1 Increase awareness of the CPSC to ensure the public knows where to turn for information on consumer product safety and knows about the enforcement capabilities used to address product dangers.
- 5.2 Provide stakeholders with easily accessible, timely, and useful safety information on consumer product hazards.
- 5.3 Deploy targeted outreach campaigns for priority hazards and vulnerable communities.
- 5.4 Increase access to consumer product safety information for industry and small businesses.

## APPROACHES TO PRODUCT SAFETY

The CPSC is an independent federal regulatory agency, created in 1972 by the Consumer Product Safety Act (CPSA). In addition to the CPSA, as amended by the Consumer Product Safety Improvement Act of 2008 (CPSIA), and H.R. 2715, now Public Law 112-28, the CPSC also administers other laws, such as the Federal Hazardous Substances Act, the Flammable Fabrics Act, the Child Safety Protection Act, the Poison Prevention Packaging Act, the Refrigerator Safety Act, the Virginia Graeme Baker Pool and Spa Safety Act, and the Children's Gasoline Burn Prevention Act.

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

As globalization and technological advances expand the range of products on the market, the risks and opportunities associated with these advancements make the challenge of overseeing and regulating the thousands of product types all the more complex. Some challenges include monitoring the growth of global supply chains that assemble products across a vast web of interconnected geographies; identifying product hazards among the hundreds of thousands of products entering U.S. ports in shipping containers; and effectively disseminating vital product safety information to the public.

Through the CPSIA, Congress provided the CPSC with important new authorities that are helping the agency address those challenges. This legislation empowers the agency at U.S. ports; directs that longstanding voluntary standards be turned into mandatory standards for various children's products; increases civil penalty amounts and enhances the CPSC's criminal penalty authorities; requires testing and certification of children's products; and establishes one of the lowest lead limits in the world for children's products. The establishment of the CPSC's office in Beijing during 2011 has allowed the agency to carry implementation of the Act directly to manufacturers in China and elsewhere in East Asia. Public Law 112-28 provides clarification on lead limits for children's products, as well as the application of third party testing requirements for small batch manufacturers and for certain specific products and more. The Commission has already issued Federal Register notices to effectuate mandates in Public Law 112-28.

In order to achieve its mission of protecting the public against unreasonable risks of injury from consumer products through education, safety standards activities, regulation, and enforcement, the CPSC uses a number of approaches that are captured under five strategic goals: (1) to provide leadership in safety; (2) to reinforce a commitment to prevention; (3) to engage in rigorous hazard identification; (4) to provide a decisive response to identified product hazards; and (5) to raise awareness of safety issues and CPSC capabilities.

### LEADERSHIP IN SAFETY

The CPSC will be at the forefront of advancing the agenda for consumer product safety. The value of U.S. imports under the CPSC's jurisdiction has skyrocketed in recent years, with imports from China—including those from Hong Kong—more than quadrupling from 1997 to 2010. Moreover, four out of every five consumer product recalls involve imported products, making imports a critical area of focus for the CPSC.

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<sup>1</sup> Product categories regulated by other federal agencies include: automobiles and boats; alcohol, tobacco, and firearms; food and drugs; pesticides; cosmetics; and medical devices.



Product safety can suffer in countries where domestic regulation is not effective and quality control systems are lacking. The CPSC uses its authority to encourage importers to ensure that their suppliers implement practices necessary to develop safe products. The CPSC also provides training and guidance to foreign manufacturers to help them meet U.S. product safety requirements, and it works toward harmonizing global consumer product standards. One of the ways the CPSC is reducing the number of unsafe imported products entering the U.S. marketplace is by strengthening bilateral and multilateral relationships with foreign regulators and manufacturers.

By establishing a clearly defined leadership agenda that lays out the CPSC's priorities for addressing consumer product safety hazards and mobilizing stakeholders, the Commission can target its limited resources and collaborate with domestic and international partners to improve product safety.

*Education, Global Outreach, and Small Business Ombudsman*

In 2010, the Commission created the Office of Education, Global Outreach, and Small Business Ombudsman. The office coordinates with, and provides education and outreach activities to, various domestic and international stakeholders, including manufacturers, retailers, resellers, small businesses, and foreign governments. The office will collaborate closely with institutions of higher learning in order to eliminate gaps in knowledge regarding supply chain integrity and thus, reduce recalls. Manufacturers now have a single source within the Commission for manufacturer-related safety information. The existence of this office facilitates the transfer of knowledge to industry, and ultimately, the office will contribute to creating safer products through better-educated manufacturers. Retailers and resellers benefit from the new office through the development of improved systems for informing them of product recalls and other important safety information. This office also works with foreign governments and regulatory bodies to help them increase their capacity to develop product surveillance strategies, product testing methods, and voluntary and mandatory product safety standards.

Small businesses have a full-time ombudsman in the new office, dedicated to responding to their concerns. For example, the ombudsman is charged with developing information and guidance tailored specifically to small batch manufacturers. The ombudsman works diligently to develop partnerships with associations and alliances that represent small manufacturers, sole proprietorships, and handcrafters. The ombudsman also raises concerns of the small business community within the agency and seeks solutions.

**COMMITMENT TO PREVENTION**

Preventing hazardous products from entering the marketplace is one of the most effective ways the CPSC can protect consumers. The CPSC does this by promoting the production of safe products through the development and implementation of safety standards.

*Voluntary Standards*

The statutes the CPSC administers require it to rely on voluntary standards to build safety into consumer products if the Commission determines that compliance with a voluntary standard is likely to result in the elimination or



an adequate reduction of the risk of injury identified, and provided there will be substantial compliance with the voluntary standard. Voluntary standards for consumer products are developed based on consensus within voluntary standards development organizations (SDOs), which are composed of industry, government, and consumer representatives. Many industry partners try to comply with the standards because they represent an agreement among industry and other SDO members. When CPSC staff members identify the need for a voluntary standard based on consumer product incident data, analysis of those data, and engineering reports, they submit a recommendation to an SDO. Typically, an SDO will organize a group, which then performs a technical assessment and prepares a draft standard for public comment. During this comment period, CPSC staff provides expert advice, technical assistance, and clarifying analyses. After evaluating and incorporating public comments received on the proposal, the group developing the standard's provisions votes on the final voluntary standard (the CPSC does not vote on the standard). Once the voluntary standard is approved, it usually becomes the recognized norm for that industry group and product type.

### *Mandatory Standards*

Mandatory standards are federal rules set by statute or regulation that define the requirements consumer products must meet. Mandatory standards typically take the form of performance requirements that consumer products must meet or warnings they must display in order to be imported, distributed, or sold in the United States. The CPSC may set a mandatory standard when it determines that compliance with a voluntary standard would not eliminate or adequately reduce a risk of injury or finds that it is unlikely that there will be substantial compliance with a voluntary standard.<sup>2</sup> The Commission may also promulgate a mandatory ban of a hazardous product when it determines that no feasible voluntary or mandatory standard would adequately protect the public from an unreasonable risk of injury. If the CPSC determines that a mandatory standard or ban is necessary, the Commission uses a highly participatory process to create the standard or ban, by soliciting comments from consumers, industry groups, government partners, and any other interested stakeholders. When a mandatory standard is promulgated by the CPSC, it applies across the entire chain of distribution, including manufacturers, distributors, and retailers. Mandatory standards and bans are enforceable by the CPSC. This allows the agency to stop products that do not meet federal requirements at the ports. In addition, it allows the CPSC to seek civil or criminal penalties for violations of the mandatory standards or bans.

To facilitate the development of safer products, the CPSC trains industry stakeholders about the CPSC's regulatory requirements and hazard identification best practices and provides incentives to manufacturers and importers to implement preventive actions that could result in safer consumer products. The CPSC also encourages foreign product safety regulators and foreign manufacturers to take action to reduce the production of unsafe consumer products that may enter the U.S. market.

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<sup>2</sup> The CPSIA requires the promulgation of mandatory standards for some products with existing voluntary standards, such as durable infant and toddler products, children's toys, and ATVs. For a complete list, please refer to the CPSIA at [www.CPSC.gov/cpsia.pdf](http://www.CPSC.gov/cpsia.pdf).

## RIGOROUS HAZARD IDENTIFICATION

The CPSC collects data on consumer product-related injuries and deaths, as well as economic and hazard exposure information on products under the CPSC's jurisdiction. Staff investigates specific injury cases to gain additional knowledge about injuries or hazards and how the reported product was involved. Staff analyzes this information to determine where hazards exist and how to address them. These activities reflect the Commission's commitment to making decisions based on appropriate data analyses. This work provides underlying support for all of the CPSC's safety activities.

### *Product-Related Injuries and Deaths*

Each year, the CPSC collects information about product-related injuries treated in hospital emergency rooms through its National Electronic Injury Surveillance System (NEISS). This unique system provides statistically valid national estimates of product-related injuries from a probability sample of hospital emergency rooms. Several foreign governments have modeled their national injury data collection systems on the CPSC's system.

The CPSC also collects mortality data. Each year, CPSC staff purchases, reviews, and processes about 8,000 death certificates from all 50 states and the District of Columbia, covering unintentional product-related deaths. The Medical Examiners and Coroners Alert Project (MECAP) collects and reviews approximately 5,500 additional reports from participating medical examiners and coroners throughout the country. Staff also collects and reviews about 6,600 news clips and 24,000 other reports of product-related injuries and deaths from consumers, lawyers, physicians, fire departments, and others.

Staff routinely reviews and analyzes this large volume of data to identify patterns and trends reflective of a potential emerging hazard. If analysts detect an increased frequency of reports for a given product or manufacturer, field investigators may conduct an in-depth investigation to understand better how the injuries occurred, identify the consumer product involved, and obtain other information relevant to the investigation.

The CPSC must determine quickly and accurately which hazards represent the greatest risks to consumer safety. Using a systematic approach, the CPSC aims to enhance the quality of crucial product hazard data and reduce the time it takes to identify trends. It does this by improving collection and assessment of hazard data, expanding import surveillance efforts, scanning the marketplace regularly, and increasing the surveillance of used consumer products offered for resale.

The CPSC is changing the way it approaches early warning detection by creating a single data source and resolving issues of siloed systems with disparate data. The CPSIA directs the Commission to expedite efforts to upgrade and improve IT systems in effect on the date of implementation. In response to that mandate, the Commission is developing a single, integrated Web-based environment, which will augment the CPSC's capability to monitor the safety of products. The new system improves the way the CPSC interacts with the business community, by using secure, electronic communication, rather than traditional methods, such as postal mail.

*Import Surveillance and Inspection*

In 2008, the CPSC implemented an Import Safety Initiative, including the establishment of a new Import Surveillance Division, to manage enforcement activities at the ports. The Import Surveillance Division is now the Office of Import Surveillance and Inspection. High-volume port locations have port investigators dedicated exclusively to ensuring import compliance. CPSC port investigators coordinate enforcement activities at non-located ports through the U.S. Customs and Border Protection Commercial Targeting and Analysis Center (CTAC) and non-located CPSC field investigators. These investigators call on the talents of CPSC compliance officers, attorneys, and technical staff to assist in border enforcement. More sampling, detention, and interdiction of unsafe products will result from this increased enforcement presence.

**DECISIVE RESPONSE**

Once hazardous products have been identified, the CPSC will take action to protect consumers, remove the products from the marketplace, and hold violators accountable.

*Compliance*

The CPSC takes a multifaceted approach to addressing incidents and injuries. Field staff investigates reports of incidents and injuries; conducts inspections of manufacturers, importers, and retailers; and identifies potential regulatory violations and product defects that could harm the public. The CPSC also responds to industry-generated reports, and technical staff determines which possible violations and defects warrant corrective action.

When a recall is necessary, compliance staff negotiates with the responsible firm to seek a voluntary recall, whenever possible. In 2011, CPSC staff completed 405 recalls (100 percent voluntary) involving millions of consumer product units that either violated mandatory standards, or were defective and presented a substantial risk of injury to the public. Industry has an opportunity to streamline the recall process by participating in the Fast-Track Recall Program<sup>3</sup> to remove hazardous products from the marketplace immediately.

*Civil Penalties*

When companies knowingly fail to report potentially hazardous products, as required, the CPSC can seek civil penalties. In 2011, the CPSC negotiated out-of-court settlements with five companies that agreed voluntarily to pay a combined \$3.26 million in civil penalties to the U.S. Treasury.

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<sup>3</sup> If a company suspects that a product could be hazardous, the company must report it to the CPSC. The Fast-Track Recall Program allows the company to propose a plan for a fast-track recall. If CPSC staff considers the firm's plan satisfactory—and it finds no other cause for concern in its review—it approves the plan and works with the firm to expedite the recall to begin within 20 days of the initial report to the CPSC. This removes dangerous products from the marketplace faster and saves the CPSC and the company time and money.

**RAISING AWARENESS**

The CPSC uses a wide array of communication channels and strategies to provide the public with timely and targeted information about safety issues and CPSC capabilities, including an increasing presence on the Internet and social media. The CPSC posts recalls and press releases in a format that allows blogs, TV stations, and other media to obtain information from the CPSC's website and, in seconds, have the information posted on their websites. A strong Web presence is a key component of successfully achieving the CPSC's safety mission. Consumers also have the option of logging onto [www.SaferProducts.gov](http://www.SaferProducts.gov) or calling the CPSC Hotline to report an incident, ask questions about recalls, or request safety information. The CPSC conveys safety messages to the public through various information and education campaigns. Some of the ongoing campaigns that staff promoted in 2011 include pool and spa safety, safe sleep environments for babies, and outreach targeted specifically to minority consumers.

*Pool and Spa Safety*

Supported by the Virginia Graeme Baker Pool and Spa Safety Act of 2008 (VGB Act), the CPSC continues to manage a national "Pool Safely" information and education program, designed to reduce drowning and entrapment deaths and near-drowning injuries. The multifaceted initiative includes major education efforts, along with press events, partnerships, outreach, and advertising programs.

*Safe Sleep*

To protect the most vulnerable users of consumer products—children and infants—the CPSC, in 2010, launched the Safe Sleep Campaign to achieve several objectives: seek removal of recalled and dangerous nursery products from homes; encourage parents and consumers to purchase new products that meet mandatory standards; and educate parents and caregivers about the most effective ways to make a nursery safe. On June 28, 2011, new federal safety standards for the manufacture and sale of cribs went into effect. The goal is to ensure that parents can have full confidence in the safety of their children's cribs.

*Minority Outreach*

The CPSC is committed to gaining a better understanding of whether particular racial or ethnic groups are affected disproportionately by product-related hazards, focusing on child death rates. In 2010, the CPSC organized a minority outreach team that developed materials and participated in community events in several cities. The activities and collaborative partnerships are designed specifically to increase awareness about four critical safety hazards that affect consumers in the home: (1) children's and infants' sleep environments, (2) poisonings, (3) pools and spas, and (4) TV and furniture tip over. The Neighborhood Safety Network (NSN) is a grassroots outreach program that provides timely lifesaving information to more than 3,000 organizations and individuals who, in turn, share CPSC safety posters and news alerts with underserved consumers who otherwise might be unlikely to receive information from the CPSC.

## LEADERSHIP IN SAFETY

### STRATEGIC GOAL 1: Take a leadership role in identifying and addressing the most pressing consumer product safety priorities and mobilizing action by our partners.

The CPSC will be at the forefront of advancing the agenda for consumer product safety. Working with key global and domestic stakeholders, the CPSC will mitigate the most pressing product safety hazards by effectively determining the actions necessary to address these priorities and clearly establishing accountability for progress.

**2013**

Total dollars increase by \$1,262,000 from the 2012 level (see Table 1).

#### RESOURCE CHANGES

<b>2011–2013 RESOURCES BY STRATEGIC GOAL (DOLLARS IN THOUSANDS)</b>			
<b>Goal</b>	<b>2011 Actual</b>	<b>2012 Enacted</b>	<b>2013 Request</b>
	<b>Amount</b>	<b>Amount</b>	<b>Amount</b>
<b>Leadership in Safety</b>	\$14,444	\$12,585	\$13,847

As international trade expands and supply chains become more global—making available an ever-growing number of consumer products that feature an increasingly wide spectrum of technologies and materials—the potential for new safety hazards will continue to grow. Regulatory agencies, standards organizations, and consumer and industry groups worldwide are working together more to address consumer product safety and manage their own diverse challenges and priorities.

- In 2009, more than 36.5 million people in the United States sought medical attention for injuries related to consumer products.
- Over the past five years, the CPSC handled an average of 480 product recalls annually, which involved 130 million recalled items from around the world.
- In the United States, there are approximately 700 active standards organizations, and more than 300 additional organizations are active internationally.

#### **Objective 1.1: Determine the most critical consumer product hazards and issues to define the Commission's annual priorities consistent with the agency's regulatory requirements.**

CPSC staff has been working to develop a risk-based methodology for identifying and prioritizing hazards to guide the Commission's work on addressing consumer product hazards. (For information related to this methodology, see objective 3.3). A pilot methodology has been developed and is being vetted among CPSC experts. Staff will continue to refine the methodology and test it in 2012. Pending successful development of the methodology, annual goals will be developed for Objective 1.1.

**Objective 1.2: Create and strengthen partnerships with stakeholders aimed at improving product safety throughout the supply chain.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b>International Cooperation</b>							
1. Review and update international cooperation program plans*	<b>Goal</b>	**	**	**	8	6	6
	<b>Actual</b>				8		
2. Hold leadership positions in international organizations	<b>Goal</b>	**	**	**	**	1	1
	<b>Actual</b>						
3. Conduct training exchanges with foreign regulatory partners	<b>Goal</b>	**	**	**	**	1	1
	<b>Actual</b>						

\* Beginning in 2013, some program plans are combined, so 2013 data are not comparable to the data for 2011 and 2012.

\*\* No goal established.

### **International Cooperation**

#### **1. Plans for International Engagement**

International cooperation increasingly is the means by which U.S. consumers are protected from hazardous and noncompliant consumer products because a product that cannot be sold legally anywhere in the world is much less likely to be manufactured. The Commission works with partners in the Western Hemisphere (especially Canada and Mexico); with the European Union (at both its central administration in Brussels and with its individual national governments); and with key supplier countries (particularly China and the emerging exporting countries in East Asia).

For countries characterized by developed consumer markets, the CPSC focuses on cooperation with government product safety agencies on requirements and common concerns about conformity assurance from supplier countries. This occurs on a bilateral basis and in international venues, such as the International Consumer Product Safety Caucus (ICPSC—an informal global organization of regulators dealing with select policy topics of emerging interest); the International Consumer Product Health & Safety Organization (ICPHSO—the largest and most active broad-based, professional, multistakeholder organization dealing with consumer product safety issues); and the Organization for Economic Cooperation and Development (OECD). For supplier countries, the CPSC's emphasis is on outreach and capacity building to ensure that manufactured products meet U.S. safety requirements. This includes cooperating with national product safety authorities, in-country training for suppliers, and working with other partners whenever possible. The CPSC also provides English and foreign language text, video, and interactive training for foreign suppliers via Web-based materials.

CPSC staff has developed international program plans to prioritize and manage the agency's international activities consistent with the Commission's stated priorities. Each program plan will be updated with specific objectives aimed at successful engagement in one area of the international program. Staff will report to the



Commission on the activities undertaken in each program area, explaining how those efforts support the Commission's agenda.

**Goal:** In 2013, staff will perform an annual program review, update its various program plans and report outcomes to the Commission. Staff will review and update the:

- Western Hemisphere program plan;
- Beijing Regional Office program plan;
- China program plan;
- East Asia-Pacific program plan;
- Europe and International Organizations program plan; and
- Internet Foreign Language plan.

## 2. Leadership Positions in International Organizations

As globalization of goods and services continues to expand, economies increasingly turn to cooperative forums as a vehicle for regulatory convergence, information sharing, and resolution of shared challenges. The CPSC holds an active vice chair position in the Working Party on Consumer Product Safety under the Committee on Consumer Policy, a standing committee in the OECD. CPSC staff also serves as colead on focus projects within the ICPSC. The ICPHSO hosts two major meetings each year and has a growing international membership.

**Goal:** During 2013, CPSC representatives will serve in leadership positions in the OECD Working Party on Consumer Product Safety and the ICPSC. CPSC will also assist the ICPHSO in programming global product safety issues into its biannual meetings.

## 3. Enhance Partnerships with Foreign Regulatory Partners through Training Exchanges

Extended training exchanges of one to three months' duration with selected CPSC partner agencies in foreign jurisdictions can cement regulatory cooperation and facilitate an exchange of expertise to the benefit of U.S. consumers. Extended training for developing country officials can help them ensure that CPSC requirements are met in situations in which it is their government's policy to enforce U.S. requirements on their U.S.-bound exports. Extended training can also help partner agencies understand CPSC procedures and policies better, with a potential for adoption and impact on consumer products made in their jurisdiction.

Expert training exchanges with our more experienced partner agencies also have the potential to convey useful expertise in both directions, whether through expertise on a specific subject, or the sharing of alternative methodologies. Costs for training exchanges with foreign agencies would be borne by the CPSC only in cases where the potential exists for significant benefits to U.S. consumers.

Each year, CPSC staff will engage in extended training exchanges with foreign partner agencies, at CPSC facilities or abroad, based

on a schedule determined during the previous year. The schedule will be developed, taking into account priorities and resource availability, and a committee of senior agency staff will review it.

**Goal:** During 2013, CPSC staff will conduct one extended training exchange with a foreign regulatory partner agency.

**Objective 1.3: Collaborate with partners ranging from state and federal authorities, colleges and universities, and other stakeholders to expand the CPSC’s effectiveness and reach.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b>Partnerships</b>							
4. Partner with state and federal authorities, colleges and universities, and other stakeholders	<b>Goal</b>	**	**	**	**	4	5
	<b>Actual</b>						
5. State partners: training for state designees	<b>Goal</b>	1	D <sup>†</sup>	1	1	1	1
	<b>Actual</b>	1		1	1		

\*\* No goal established.  
 † This goal was deferred.

**Partnerships**

**4. Partnerships with State and Federal Authorities, Colleges and Universities, and Other Stakeholders**

CPSC staff partners with U.S. and foreign stakeholders whenever interests and priorities coincide, and when resources and legal/ethical constraints permit. For example, the CPSC has conducted outreach to foreign jurisdictions in partnership with the U.S. Trade Development Agency, the American National Standards Institute (ANSI), and Johns Hopkins University. The CPSC also regularly provides speakers to appropriate industry association events in the United States and abroad, saving the agency the expense of organizing stand-alone training seminars.

**Goal:** During 2013, the CPSC will collaborate with at least two other federal agencies in training and capacity-building work with foreign jurisdictions, with scheduling and topics based upon trends and priorities identified during 2012.

**Goal:** During 2013, the CPSC will collaborate with at least two universities in training and capacity-building work with foreign jurisdictions, with scheduling and topics based upon trends and priorities identified during 2012.

**Goal:** During 2013, the CPSC will collaborate with at least one other foreign jurisdiction in training and capacity-building work in another target jurisdiction, with scheduling and topics based upon trends and priorities identified during 2012.

**5. State Partners: Training for State Designees**

State and local officials work with the CPSC on cooperative activities that complement those performed by CPSC field staff; states accomplish these activities with little or no cost to the CPSC. The CPSC state designee meeting provides a forum for states to meet with CPSC staff to discuss product safety issues in the states. These interactive meetings provide CPSC staff the opportunity to work with state and local officials, learn about



emerging hazards, and develop collaborative initiatives for promoting consumer product safety nationwide. States also have an opportunity to learn the latest information about consumer product safety. Webinars are another means to train officials.

**Goal:** In 2013, CPSC staff will host a state designee meeting or conduct webinars to train state officials.

**Objective 1.4: Work towards harmonizing global consumer product standards or developing similar mechanisms to enhance product safety.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<i>Harmonizing Global Consumer Product Standards</i>							
6. Lead international alignment initiative	<b>Goal Actual</b>	**	**	**	**	1	2

\*\* No goal established.

**6. International Alignment Initiative**

CPSC staff has the lead in an international pilot alignment initiative among staff from the central consumer product safety authorities of Australia, Canada, the European Union, and the United States. This is an ad hoc group not aligned formally with any existing multilateral forum. The participants will seek consensus positions on the hazards to children and potential solutions for three products: corded window coverings, chair-top booster seats, and baby slings. The goal of the initiative is to improve safety by bringing about highly effective and closely aligned safety requirements for these products to reduce injuries and save lives. The consensus positions could be considered and developed for implementation in each jurisdiction, according to its own preferred model, whether through regulation or voluntary standards.

**Goal:** During 2013, the CPSC will continue its leadership in the international alignment initiative.

**Goal:** During 2013, staff will prepare a report on the results or progress of the international alignment initiative and recommend methods to expand, refine, or otherwise address the CPSC's alignment efforts.

**Objective 1.5: Promote and recognize innovation and advancements in consumer product safety.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
7. Chairman's Commendation Circle Award Program	<b>Goal Actual</b>	**	**	**	**	1	1

\*\* No goal established.

**7. Chairman's Commendation Circle Award Program**

The Chairman's Commendation Circle Award recognizes the accomplishments of people or groups that have made substantial contributions in support of the CPSC mission to reduce product-related deaths and injuries and improve consumer product safety.

The award program focuses on individuals in organizations, businesses, state and local government, and other groups. Awards will be presented annually, and nominations will be accepted from members of the public, as well as CPSC employees.

**Goal:** In 2013, the Chairman’s Commendation Circle Award will be awarded to recognize people or groups that qualify by contributing directly and significantly to reducing deaths, preventing injuries, and improving consumer product safety.

**Objective 1.6: Attract, retain, and collaborate with leading experts to address consumer product hazards.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b>Hiring Reform</b>							
8. Reduce recruitment time using OPM’s End-to-End hiring process (number of days)	<b>Goal</b>	**	**	100	90	80	80
	<b>Actual</b>			92	75		
9. Develop and implement action items identified through the manager survey on the hiring process	<b>Goal</b>	**	**	1	1	1	1
	<b>Actual</b>			1	1		
10. Conduct focus groups for new employees on the hiring process	<b>Goal</b>	**	1	2	2	2	2
	<b>Actual</b>	1	1	2	5		
11. Track the percentage of vacancies that meet the standard of applicants receiving at least four notifications*	<b>Goal</b>	**	**	4	85%	90%	95%
	<b>Actual</b>			4	85%		
<b>Employee Wellness and Satisfaction</b>							
12. Conduct focus groups on the Employment Viewpoint Survey	<b>Goal</b>	**	**	6	6	6	6
	<b>Actual</b>			0	6		
13. Develop and implement action plan with improvements identified through the Employment Viewpoint Survey	<b>Goal</b>	**	**	1	1	1	1
	<b>Actual</b>			0	1		
14. Conduct on-site wellness activities	<b>Goal</b>	**	**	3	10	25	30
	<b>Actual</b>			8	26		
<b>Equal Employment Opportunity and Affirmative Employment</b>							
15. Target recruitment efforts to organizations serving underrepresented populations <sup>#</sup>	<b>Goal</b>	#	#	#	10%	11%	12%
	<b>Actual</b>	10%	9%	7%	19%		
16. Train managers and employees in EEO/AEP responsibilities <sup>###</sup>	<b>Goal</b>	5	5	5	5%	10%	15%
	<b>Actual</b>	7	7	8	9%		
17. Offer diversity programs to the CPSC workforce	<b>Goal</b>	5	5	6	10	6	6
	<b>Actual</b>	6	8	10	11		

\*\* No goal established.

\* In 2011, the method of reporting changed from counting the number of notifications to the percentage of applicants receiving at least four notifications. The data starting from 2011 are not comparable to prior data.

# In 2011, the method of reporting changed from the number of targeted recruitment efforts, to the percentage of total recruitment efforts that are targeted to organizations serving underrepresented populations. The “actual” data for 2008 to 2010 were restated using the new method.

### In 2011, the method of reporting changed from the number of training sessions conducted, to the percentage of employees trained. The data for 2008–10 cannot be restated.

**Hiring Reform**

**8. Reduce Recruitment Time**

In 2009, CPSC staff mapped the hiring process from the time a manager identifies the need for a new hire, to the employee’s first day on the job, as outlined in the U.S. Office of Personnel Management (OPM’s) End-to-End Hiring Plan. The CPSC found

the average to be about 115 days. Staff identified barriers and developed an action plan to reach the government-wide target of 80 days set by OPM. In 2010, staff initiated changes to the hiring process, addressed barriers encountered, and reduced the recruitment time to 92 days. In 2011, staff reduced the recruitment time further, to an average of 75 days for competitive examining hiring actions. In 2012, staff will maintain the streamlined recruitment process at an average of 80 days for competitive examining hiring actions.

**Goal:** In 2013, staff will maintain the streamlined recruitment process at an average of 80 days for all hiring actions.

### 9. Hiring Manager Involvement

In 2010, staff developed and initiated a hiring reform plan that addressed barriers to management involvement in the hiring process. The plan includes a new process for requesting extensions for hiring certificates, an automated process that alerts managers to the posting of each vacancy, and alerts them to the closing date, so that candidate interviews can be scheduled efficiently, and an automated process can be used to certify candidates. In 2011, staff implemented the hiring reform plan initiatives, including distributing the hiring tool kit, providing information on hiring flexibilities, updating interview questions, and outlining prohibited personnel actions, as well as merit system principles. In 2012, staff will implement changes identified in the 2011 action plan to address the barriers to the involvement of hiring managers in the hiring process.

**Goal:** In 2013, staff will implement changes identified in the action plan developed in 2012 to address the barriers to the involvement of hiring managers in the hiring process.

### 10. New Employee Focus Groups

CPSC staff routinely conducts surveys and focus groups with new employees to gather feedback to improve the hiring process. In 2010, staff contracted for a new entry-on-duty system that allows employees to review materials and submit forms electronically before on boarding. Employees are automatically surveyed electronically on the process once their onboard entry is completed. Each year, staff implements changes identified in the prior year's action plan and develops a revised action plan.

**Goal:** In 2013, staff will conduct two focus groups for new employees on the recruitment and orientation processes to determine if additional changes are needed.

### 11. Four-Point Status Update Notifications

In 2010, the CPSC implemented a new version of the online application system. The new system provides a real-time applicant status update at four different points of the application process. Applicants now are also able to view the status of an announcement by logging on to their USAJobs accounts and viewing the status updates provided by CPSC staff. In 2011, staff met the standard for vacancy applicants receiving at least four notifications 85 percent of the time. In 2012, staff will meet the

standard for vacancy applicants receiving at least four notifications 90 percent of the time.

**Goal:** In 2013, staff will meet the standard for vacancy applicants receiving at least four notifications 95 percent of the time.

### ***Employee Wellness and Satisfaction***

#### **12. Employee Viewpoint Survey– Focus Groups**

CPSC staff conducts annual Employee Viewpoint Surveys to monitor employee satisfaction and make improvements to address concerns, as necessary. In 2010 and 2011, the agency contracted with OPM to conduct focus groups to gather additional information on the results of the Employee Viewpoint Survey. In 2012 and 2013, staff will continue to monitor employee satisfaction and make improvements to address concerns.

**Goal:** In 2013, staff will conduct six focus groups to explore the results of the Employee Viewpoint Survey. Two of the focus groups will be with management employees, and four of the focus groups will be with nonmanagement employees.

#### **13. Employee Viewpoint Survey– Action Plan**

Each year since 2009, as required in the President's Hiring Reform Agenda, the CPSC has to identify 10 items on the Employee Viewpoint Survey where CPSC scored lower than the government-wide average and develop an action plan to address those items. In 2011, staff developed an action plan based on the 2010 Employee Viewpoint Survey after the focus groups conducted in October 2010 were completed. In 2012, staff will develop and implement an action plan to address employee satisfaction results of the Employee Viewpoint Survey that was conducted in 2011.

**Goal:** In 2013, staff will develop and implement an action plan to address employee satisfaction results of the Employee Viewpoint Survey conducted in 2012.

#### **14. On-site Wellness Activities**

In 2009, as part of President Obama's Hiring Reform agenda, CPSC staff completed an inventory of our wellness activities. Based on the inventory, CPSC staff developed wellness improvement targets and action plans. In 2010, staff conducted eight on-site wellness activities and provided access to an online wellness resource center to all employees. In 2011, CPSC staff conducted 26 different wellness activities, as well as all-employee access to a health and wellness online resource center. Through a partnership with a healthcare provider, we were able to maximize our resources to provide more activities than planned. In 2012, staff will conduct at least 25 on-site wellness activities and provide employees access to the Wellness Resources website.

**Goal:** In 2013, staff will conduct at least 30 on-site wellness activities and provide employees access to the Wellness Resources website.

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***Equal Employment Opportunity and Affirmative Employment*****15. Target Recruitment**

The CPSC seeks to ensure that the agency's workforce is reflective of the populations served by the agency. To do so, efforts are made to increase applicant pools so that the most qualified women, minorities, individuals with disabilities, and disabled veterans are represented. CPSC staff does this through outreach activities to ensure that vacancy announcements reach a wide variety of people. In 2011, staff targeted 10 percent of recruitment efforts to organizations serving underrepresented populations, and in 2012, staff will target 11 percent.

**Goal:** In 2013, selecting officials will target 12 percent of recruitment efforts to organizations serving underrepresented populations by providing the EEO office at least one recruitment source for outreach.

**16. EEO/AEP Training**

Training is an important activity in ensuring that the CPSC has a workforce reflective of our nation's diversity in which anyone can be recruited, promoted, and retained. A primary Equal Employment Opportunity (EEO) goal is to have a workplace where every person is treated with respect and dignity. Many EEO issues involve basic communications skills, as well as an awareness of how to deal with employees appropriately. Training about EEO and Affirmative Employment Plan (AEP) responsibilities is offered to CPSC staff. In 2011, approximately 9 percent of the CPSC workforce was trained about EEO/AEP responsibilities. In 2012, approximately 10 percent of the CPSC workforce will be trained.

**Goal:** In 2013, staff will train 15 percent of the workforce in EEO and EEO-related topics and responsibilities.

**17. Offer Diversity Programs**

This goal is driven by the need to promote opportunities for underrepresented groups and to break down barriers to equal opportunities in the workplace. In 2011, CPSC staff participated in 11 initiatives to promote representation of underrepresented groups and individuals with disabilities. In 2012, CPSC staff will offer six diversity programs. Examples of these initiatives are mentoring programs, summer volunteer programs, employee training programs, and disability and diversity awareness programs.

**Goal:** In 2013, staff will increase the participation of managers, supervisors, and employees by offering six initiatives to promote representation of underrepresented groups.



## COMMITMENT TO PREVENTION

### STRATEGIC GOAL 2: Engage public and private sector stakeholders to build safety into consumer products.

The CPSC will protect consumers by promoting the production of safe products and the development and implementation of safety standards. This will enable industry compliance with safety standards at various stages of consumer product development and distribution. By encouraging industry leaders and foreign safety agencies to focus on safety early in the global supply chain, the CPSC will help prevent hazards from entering consumer markets.

**2013** Total dollars increase by \$546,000 from the 2012 level (see Table 1).  
**RESOURCE CHANGES**

<b>2011–2013 RESOURCES BY STRATEGIC GOAL (DOLLARS IN THOUSANDS)</b>			
<b>Goals</b>	<b>2011 Actual</b>	<b>2012 Enacted</b>	<b>2013 Request</b>
	<b>Amount</b>	<b>Amount</b>	<b>Amount</b>
<b>Commitment to Prevention</b>	\$24,333	\$23,064	\$23,610

As the number of products available to United States consumers has grown, many of those products now come directly from trading partners outside of the United States. The challenge is that the majority of consumer product hazards and safety defects arise in the very early stages of the supply chain, including during product design and selection and use of raw materials. Additionally, given the range of products under the purview of domestic and international regulatory agencies, enforcement activities alone are unlikely to preclude preventing product hazards from occurring.

- In 2011, the CPSC screened almost 10,000 import samples at United States ports of entry.
- In 2011, the CPSC collected more than 1,800 import samples for testing at the CPSC laboratory.
- In 2010, imports from China, including Hong Kong, comprised about 47 percent of all United States imports of consumer products.

**Objective 2.1: Minimize hazardous defects early in the manufacturing process through increased participation in voluntary standards activities.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b>Voluntary Standards Activities</b>							
1. Present recommendations to voluntary standards or code organizations	<b>Goal</b>	4	1	0	1	1	3
	<b>Actual</b>	7	1	0	0		
2. Complete data analysis and technical review activities	<b>Goal</b>	*	*	*	6	0	9
	<b>Actual</b>				2		
3. Support voluntary standards and code revisions	<b>Goal</b>	72	39	61	60	66	68
	<b>Actual</b>	74	39	61	60		
<b>Nanotechnology Initiative</b>							
4. Complete data analysis and technical review activities related to application of nanotechnology in consumer products	<b>Goal</b>	**	**	**	10	10	10
	<b>Actual</b>				9		

\* Due to a new way of categorizing our work, the data starting from 2011 are not comparable to prior data.

\*\* No goal established.

**Voluntary Standards Activities**

**1. Prepare and present three recommendations to voluntary standards or code organizations.**

**Cook Tops**

Cooking equipment accounts for the largest percentage of fires associated with products under the CPSC's jurisdiction. Range and oven fires are associated with a large proportion of the deaths and injuries associated with cooking equipment.

In past years, staff conducted research into technologies to reduce the risk of food ignition on cook tops through implementation of a closed-loop heating element control system that monitors pan bottom temperatures and reduces the heating element's output. Staff has demonstrated successfully the temperature control system's ability to prevent fires in the various heating element designs for cook tops, (*i.e.*, gas, electric coil-type element, and electric smooth top ranges). Additional research is needed, and staff believes that potential candidates should be tested to the Technical Feasibility and Performance Goals developed by the Underwriters Laboratories (UL) Standards Technical Panel for Household Electric Ranges. In 2010, staff awarded a contract to design, fabricate, and test experimental control systems to detect and prevent food ignition on a cook top. This work continued through 2011, and in 2012, staff will monitor the completion of the contract.

**Goal:** In 2013, staff will develop proposals, if warranted, from the results of the contractor's work, for the voluntary standards for household electric ranges (UL 858) and household gas cooking appliances (ANSI Z21.1). The proposals will focus on the use of control systems to detect and prevent fires from unplanned ignition of food in pans on a cook top.

**Portable Electric Heaters**

During 2005–07, there were 1,100 fires, 30 deaths, 100 injuries, and \$50.9 million in property losses associated with portable



electric heaters. Temperature limiting controls (TLCs) are safety devices that disconnect electric power from the heating elements when an irregular operating condition occurs and the heater overheats. Unlike thermostats, which are designed to regulate temperatures under usual operating conditions, the TLC's activation temperature is set at a much higher range so that activation of the TLC is an indicator that the heater is not working properly. The TLC reset feature can be manual or automatic. Currently, the UL 1278 standard, Movable and Wall- or Ceiling-Hung Electric Room Heaters, allows the use of automatic TLCs, and they are almost universally used. Based on testing done by CPSC staff several years ago, staff believes that the use of manual temperature-limiting controls is preferred because resetting them after activation requires human intervention to fix the irregular operating condition, whereas automatic reset TLCs will continue to cycle on and off as the heater cools down and heats up during an irregular operating condition. In such a situation, a consumer could be unaware that the heater was not working properly and would not take action to fix the potentially hazardous condition.

**Goal:** In 2013, staff will develop and submit a ballot proposal for UL 1278, Movable and Wall- or Ceiling-Hung Electric Room Heaters. The proposal will recommend that manual reset temperature-limiting controls on portable electric heaters be required.

### Smoke Alarm Performance/Kitchen Fires

Smoke alarms are on the front line of kitchen fire safety. Cooking fires that occur when food is left unattended can grow rapidly; thus, early detection of the hazard—by working smoke alarms—is critical. Unfortunately, smoke alarms are susceptible to nuisance alarms from cooking aerosols, and sometimes they are removed or disconnected intentionally from power sources. A critical issue concerns how to maintain safety from kitchen fires while reducing nuisance alarms to a minimum. This will depend on the type of alarm and the optimal distance of the alarm from the kitchen. A contractor conducted full-scale experiments based on common fire scenarios to characterize the fire nuisance alarm signatures (aerosol properties, combustion gases, heat, velocity, and video signatures) at multiple locations in a test structure representing a kitchen and attached spaces. Initially, some work was performed at the bench scale, before proceeding to the large scale. The contractor is monitoring and recording the alarm status and the heat and gas sensors and writing a report on the analysis of fire and nuisance signatures and the performance of current technologies related to kitchen fires and nuisance alarms. In 2011, the contractor completed testing and provided to CPSC staff a draft report on the test results. In 2012, the contractor will provide a final report to the staff.

**Goal:** In 2013, staff will review the contractor report and draft and submit recommendations to voluntary and code standards, as appropriate.

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**2. Complete nine data analysis, collection, or technical review activities.****Bicycle Injuries**

Bicycle hazards account for an estimated 600,000 injuries requiring hospital treatment and 1,000 deaths annually. Staff will conduct a special study to determine current bicycle-related hazards. The study will identify current injury and hazard patterns associated with bicycle use. The data from this study will be used to evaluate staff-recommended changes to the existing bicycle standard (16 CFR part 1512), determine the effectiveness of active front and rear illumination, and evaluate helmet deterioration and frame durability. Staff will also collect data on electric-powered bicycles.

**Goal:** In 2013, staff will initiate the design of a special study to collect data on the current injury patterns associated with bicycle use.

**Circuit Breakers/  
Long Cable Runs**

Under this activity, in 2013, a contractor will study the effects of long cable runs, or long lengths of wire between a circuit breaker and the outlet into which appliances are plugged, on the thermal trip response of circuit breakers in residential electrical systems (*i.e.*, the ability to interrupt fault currents before thermal damage occurs to conductor insulation). Depending on the results of the work, the information may be used to support proposals to the National Electrical Code.

**Goal:** In 2013, staff will award a contract for the study of the effects of long cable runs on the thermal trip response of circuit breakers in residential electrical systems.

**Clothes Dryer Heat  
Isolation/Reduction**

During 2005–07, clothes dryers were associated with 6,900 fires, fewer than 10 deaths, 220 injuries, and \$91 million in property losses. According to the National Fire Protection Association, about 40 percent of the fires attributed to clothes dryers occurred outside of the drum. Reducing the surface temperature of components within the dryer, but outside the drum, potentially can reduce the combustibility of materials, such as accumulated lint.

**Goal:** In 2013, staff will investigate ways to reduce the temperature on surfaces within the dryer, but outside of the drum, without adversely affecting dryer performance. Among the methods to be considered for testing are the use of thermal insulation, relative humidity feedback, and direct detection of the temperature of the clothes dryer load. Staff will provide a draft report on the results of the investigation. If warranted, a proposal related to the UL and Gas Appliance Manufacturers Association voluntary standards for clothes dryers will be developed.

**Flame Retardants/Children's  
Exposure  
(two activities)**

Flame retardant (FR) chemical additives have been widely used to reduce the flammability of resins and polymers found in many consumer products. Many of these chemicals have been associated with adverse health effects in animals and humans. CPSC staff has

conducted toxicity reviews on several of these chemicals and found that many are considered toxic under the Federal Hazardous Substances Act. In addition, recent scientific studies have demonstrated a wide range of FR chemicals in a number of children's products.

**Goal:** In 2013, staff will (1) identify children's products that contain FR chemicals and determine which chemicals are most commonly used, (2) conduct a screening level risk assessment of FR chemicals in indoor atmospheres, and (3) continue to follow the potential health risks associated with the use of FR chemicals in all consumer products. Staff will prepare a draft status memorandum.

**Goal:** In 2013, staff will conduct exposure and migration studies for all relevant exposure pathways (oral, dermal, and inhalation) so that a quantitative assessment can be made of the levels of FR chemicals released from children's products. Staff also will conduct aging studies to assess the impact of environmental factors, such as heat and humidity, on the release of airborne particle-bound FR chemicals. Staff will prepare a draft status memorandum.

### Gas Fireplace Petition

In April 2011, CPSC received a petition requesting that the Commission begin rulemaking to require safeguards on gas fireplaces to prevent consumers from sustaining burns when coming into contact with the glass front. In 2011, staff conducted engineering and market analyses related to the product. In 2012, staff will prepare a briefing memorandum containing options for the Commission to consider when addressing the petition and will carry out any activities related to the Commission decision on the petition.

**Goal:** In 2013, depending on the Commission decision regarding the petition, staff will carry out mandatory or voluntary standards activities. A status report describing those activities will be prepared.

### Gas Grills

From 2005–07, propane-fired grills were associated with an annual average of 400 fires, resulting in annual averages of \$22.6 million in property losses, 20 injuries, and fewer than 10 deaths. Since 2006, the CPSC technical staff has conducted product safety assessments on a wide variety of gas grills; and since fall 2009, several manufacturers have recalled more than 500,000 units, due to leaks at the propane tank connections or incidents in which the product became engulfed in flames. The voluntary provisions of the Outdoor Cooking Gas Appliances standard (ANSI Z21.58) address many of the hazards associated with grill use. They were designed to be safeguards in preventing sustained fires or gas leaks by discontinuing propane flow. However, the number of recent gas grill recalls and fires warrant testing to determine why fires are occurring with gas grill products.

**Goal:** In 2013, staff will conduct testing of gas grill connectors to determine whether they meet the performance requirements in the voluntary standards.

### Portable Heaters/Proximity Sensing

During 2005–07, there were 1,100 fires, 30 deaths, 100 injuries, and \$50.9 million in property losses associated with portable electric heaters. Incidents involving these heaters often occur when combustibles are placed too close to the heater and catch fire. This project will explore the use of sensing technology that can determine whether ignitable objects are too close to the front of a portable heater.

**Goal:** In 2013, staff will research proximity sensing technologies and identify those that have potential applicability to portable electric heaters. Testing and evaluation of selected proximity sensing technologies will be conducted using sample heaters. Staff will prepare a technical report that provides the results of its testing and evaluation.

### Spray Foam/Exposure Studies

Many homeowners and government entities use insulation products, such as spray foams, to increase the energy efficiency of residential and nonresidential buildings. Promotion of the products through tax incentives and other programs is expected to lead to significant growth in the use of these products. In addition, some spray foam is used in arts and crafts projects. Consumers who use these spray foams can be exposed to isocyanates, which are believed to be a leading cause of work-related asthma. The CPSC has received complaints from consumers who claim that they have had to move out of their homes due to severe irritation or other effects associated with the use of these foams.

**Goal:** In 2013, staff will collaborate with the U.S. Environmental Protection Agency (EPA) and the National Institute for Occupational Safety and Health (NIOSH) to conduct exposure studies to: (1) identify potential consumer exposures to chemicals released during and after the application of spray foam in homes; (2) determine the potential health impacts of the foams; and (3) provide guidance on the safe use of spray polyurethane foam products. Work will carry over into FY 2014. Staff will prepare a draft project status memorandum in FY 2013.

## 3. *Support the development or revision of voluntary standards and codes.*

### Voluntary Standards

Staff participates in the voluntary standards process by providing expert advice, technical assistance, and information based on data analyses of how deaths, injuries, or incidents occurred.

**Goal:** In 2013, staff will support work on the voluntary standards or model codes for the following 68 products or codes:

air cleaners (ozone-generating)	infant carriers (handheld)
amusement rides (portable)	infant carriers (soft)

baby monitors	infant gates
bassinets/cradles	infant hammocks
bath seats	infant slings
batteries (e.g., lithium, electronic devices, toys, button)	infant swings
bed rails	infant tubs
beds (bunk)	infant walkers
beds (toddler)	ladders
bedside sleepers	lighters, cigarette
bicycles	mattresses
booster seats	mattresses, inflatable air
candles	mowers
chairs (high)	nanotechnology
chairs (youth)	National Electrical Code
changing tables	phthalates
child-resistant packaging	playground equipment (children under 2 yrs)
children's metal jewelry	playground equipment (home)
clothes dryers	playground equipment (public)
cookers, pressure	portable generators
cribs (commercial)	power equipment
cribs (full-size)	ranges (tip over)
cribs (non-full-size/play yards)	off-highway vehicles
drywall	scooters (motorized)
fuel tanks (leakage)	shopping carts
garage doors/gate operators	smoke alarms
glass front gas fireplaces	soccer goals
gas grills	stationary activity centers
gasoline containers (child-resistant closures)	strollers
headgear (recreational)	swimming pools/spas
heaters	toys
infant bedding/accessories	trampolines
infant bouncers	tree stands (hunting)
infant carriers (frame)	window coverings

#### **4. Nanotechnology Initiative—Complete 10 activities related to application of nanotechnology in consumer products.**

There is growing use of compounds or materials that have been produced using nanotechnologies that directly manipulate matter at the atomic level and fabricate materials that could not have been produced in the past. Efforts are under way to identify the potential release of nanoparticles from selected consumer products and to determine the potential health effects from such exposure.

##### **Airborne Nanoparticles from Consumer Products**

A collaborative research effort between the CPSC and the National Institute of Standards and Technology (NIST) will: (1) develop protocols to assess the potential release of nanoparticles

into the indoor air from various consumer products, and (2) determine the potential exposure to human occupants. Measurement protocols do not exist yet to characterize these particle emissions or to assess the properties of the emitted particles that may relate to any health impacts (*i.e.*, size, shape, and composition). In 2012, under a new interagency agreement (IAG) signed in 2011 between the CPSC and NIST, NIST will begin testing to assess the properties of nanosized particles. CPSC staff will complete a status report on the measurement protocols developed for laboratory testing for the release of nanoparticles from consumer products, as well as for in-use testing in actual residences.

**Goal:** In 2013, NIST will complete its testing to assess the properties of nanosized particles and provide a final report to the CPSC.

### **Enhancement of NLM Household Products Database**

The National Library of Medicine (NLM), the National Institutes of Health (NIH), and the U.S. Department of Health and Human Services (HHS) provide information online for thousands of consumer products in the Household Products Database (<http://householdproducts.nlm.nih.gov>). This database provides information to consumers, scientists, and other stakeholders on the chemicals contained in brand-name products and the potential health effects of these chemicals. In 2012, CPSC staff will continue to collaborate with the NLM to identify approaches to enhance NLM's database to provide information on nanomaterials in consumer products.

**Goal:** In 2013, CPSC staff will continue the collaboration with NLM to identify approaches to enhance the database to provide information on nanomaterials in consumer products, and staff will complete a status report on the implementation of the database.

### **Exposure and Risk Assessment of Nanomaterials in Consumer Products—Centers for Environmental Implications of Nanotechnology**

The National Science Foundation (NSF) and the EPA have funded and supported the development of two university-based Centers for Environmental Implications of Nanotechnology (CEIN). CPSC staff will support investigations at one of these centers, which use innovative techniques to characterize nanomaterials in selected consumer products and quantify exposures to humans. A project will also synthesize data to develop a risk assessment framework for nanomaterials used in consumer products. This project will involve an IAG among the NSF, the EPA, and the CPSC. In 2012, staff will prepare a status report on a literature search of previous findings and experimental procedures developed to quantify releases of, and consumer exposure to, nanomaterials from treated products. The literature search will include an assessment of the potential health risks resulting from aggregate exposures.

**Goal:** In 2013, the CEIN will complete the literature search. The CEIN will develop experimental procedures and models to: (1) quantify releases from, and consumer exposure to, nanomaterials

from treated products, and (2) assess potential health risks resulting from aggregate exposures. Staff will receive an interim report.

### **Nanomaterials in Spray and Aerosol Products (two activities)**

In 2008, the CPSC initiated an IAG with NIOSH to evaluate the particulate aerosol generated during use of an antimicrobial spray product containing titanium dioxide nanoparticles. Aerosol products containing nanoparticles have a wide variety of uses and applications, and there is concern about nanomaterial exposures during consumer use and in occupational settings and the environment.

#### *Identification of Nanomaterials*

This project will identify new aerosol products that have entered the market and the specific nanomaterials used in these aerosol products. In 2012, under an IAG between the CPSC and NIOSH, NIOSH will complete testing to identify nanomaterials used in new aerosol products and quantify releases from these products. In 2012, CPSC staff will complete a status report on the evaluation of the particulates generated during use of aerosol products containing nanoparticles.

**Goal:** In 2013, NIOSH will prepare a draft final report that describes the results of the evaluation of the particulates generated during use of aerosol products containing nanoparticles.

#### *Exposure and Inhalation Effects*

The CPSC has provided funding for the construction of a generation system and chamber to test the various aerosol products that are on the market, while NIOSH has provided the expertise and staff time for the evaluation. The project has been successful at identifying nanomaterials in products. In 2010, under an IAG between the CPSC and NIOSH, NIOSH conducted testing to determine the exposure impact of the antimicrobial sprays that contain nanomaterials. In 2011, these tests were conducted on additional products. In 2012, staff will complete an interim report on the exposure and health effects data generated in the evaluation of nanomaterials in newly selected aerosol products.

**Goal:** In 2013, staff will complete a draft report on the results of the testing on exposure and health effects of newly selected aerosol products containing nanomaterials.

### **Nanomaterials in Products and Public Health–Interagency Solicitation**

The federal agencies participating in the National Nanotechnology Initiative (NNI) have been encouraged by Congress to collaborate in research solicitations. The EPA began inviting participation by other federal agencies in its investigation solicitation program, the Science to Achieve Results program, as early as 2005. This allows agencies to use the existing EPA mechanism to identify the top experts in the field of nanotechnology public health and environmental safety. This solicitation will ensure that common public health concerns across agencies are met. This improves the quality of the data produced from these studies. The solicitation process will allow CPSC staff to develop research studies that



determine the potential impacts on public health of nanomaterial use in consumer products. In 2012, the CPSC will continue to collaborate with the EPA and other NNI agencies to develop solicitations for research on the potential health effects of nanomaterials in consumer products. In 2012, staff will complete a status report on solicitations and proposals developed to meet the CPSC's data needs.

**Goal:** In 2013, the EPA will provide a status report on the data generated from the investigation solicitation.

### **Nanotechnology Annual Data Update**

In March 2006, the Woodrow Wilson International Center for Scholars published an inventory of consumer products found on the Internet that were identified by manufacturers as nanotechnology products. A large number of products that are expected to contain nanomaterials likely fall under the regulatory authority of the CPSC. Without premarket notification, staff is unaware of the products that contain nanomaterials and the specific nanomaterials incorporated in these products. Because the Woodrow Wilson inventory is updated based on Internet searches, the CPSC has been maintaining its own more comprehensive database using proprietary business information acquired through contractor reports. Staff identifies products that claim or are believed to contain nanomaterials and maintains a database with detailed information on these products. In 2012, staff will continue to update this database.

**Goal:** In 2013, staff will continue to update its database on the overall use of nanomaterials in the marketplace. A report on the commercialization of nanomaterials and consumer products that contain nanomaterials will be completed by staff or by a contractor.

### **Nanotechnology Research on Nanomaterial Exposure, Risk and Consumer Products (three activities)**

Congress has requested that the federal agencies participating in the NNI collaborate on international nanotechnology research. The CPSC is participating in three collaborative research efforts addressing exposure and risk to consumers from nanomaterials in consumer products.

#### *Quantifying Nanomaterial Exposure and Developing Risk Models*

A consumer product-related project was identified as part of research collaboration between the EPA and similar agencies within the United Kingdom, where the countries agreed to solicit proposals for research into the potential environmental and public health impacts of nanomaterials and fund the most relevant studies. Internationally known experts in nanotechnology, environmental health and safety issues served as members of the moderating panel to select the research proposals. In 2010, CPSC staff participated in the process to select one particular research proposal to quantify exposure to consumers and to develop risk models to predict potential health effects. In 2011, the CPSC provided funding for this project. In 2012, CPSC staff will provide a status report on the data generated by the research quantifying



exposure to consumers and the development of risk models predicting potential health effects.

**Goal:** In 2013, staff will provide a status report on the activities and results generated by this collaborative research on quantifying nanomaterial exposure and developing risk models.

*Nanomaterials in Children's  
and Consumer Products*

The unique properties of nanomaterials are being exploited for use in consumer products, including room sprays, laundry detergents, wall paint, clothing textiles (such as shirts, pants, and underwear), and products intended for use by children (such as baby bottles, teething rings, and plush toys). Exposure associated with nanomaterials varies with the chemical form (metallic, salt) and the route of exposure (ingestion, inhalation, or dermal contact).

Evaluating potential exposures to consumers from the use of nanomaterial-enabled products is critical for assessing potential health effects. Results obtained from available studies are highly variable, precluding generalization of these studies to other consumer products. In 2011, through a collaborative effort among NIOSH, the EPA, and the CPSC, NIOSH conducted product testing to evaluate the exposure potential to one nanomaterial that is used in nanomaterial-enabled products (*i.e.*, nanosilver). In 2012, staff will complete a draft report on the use of nanosilver in selected products and the potential exposure to consumers.

**Goal:** In 2013, a literature search will be completed and experimental procedures will be developed to quantify releases and consumer exposures to nanomaterials from products treated with another type of nanomaterial. A special emphasis will be placed on the potential pathways of exposure to young children. Products testing and a final report will be completed.

*Nanoparticle Release from  
Consumer Products*

This project is a collaborative research effort between the CPSC and other federal agencies to develop protocols to assess the potential release of nanoparticles from selected consumer products and to determine their contributions to human exposure.

**Goal:** In 2013, CPSC staff will provide a draft report about this collaborative research effort.

**Objective 2.2: Improve the safety of consumer products by issuing mandatory standards, where necessary and consistent with statutory authority, in response to identified product hazards.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b>Mandatory Standards Activities</b>							
5. Prepare candidates for rulemaking	<b>Goal</b>	14	29	28	27	22	25
	<b>Actual</b>	10	27	26	22		
6. Complete data analysis and technical review activities	<b>Goal</b>	*	*	*	13	7	7
	<b>Actual</b>				9		

\* Due to a new way of categorizing our work, data prior to 2011 are not comparable to the 2011 data.

**Mandatory Standards Activities**

**5. Prepare for Commission consideration 25 candidates for rulemaking or other alternatives.**

**Candle Standards Petition**

In 2004, the National Association of State Fire Marshals (NASFM) petitioned the CPSC to issue mandatory standards for candles and candle accessories. CPSC staff sent an options briefing package to the Commission in July 2006, recommending that the Commission defer a decision on the petition. Deferring a decision on the petition would provide staff with additional time to continue working with ASTM in developing voluntary consensus standards for candle products and to assess the impact of the ASTM standards. In July 2006, the Commission voted to defer the petition, as recommended by staff. From 2006–10, staff, as directed by the Commission, worked with ASTM in developing voluntary performance standards for candles and associated products. In 2011, staff provided a status report on candle standards development activities. In 2012, staff will review recent incident data for the years since the candle standards were developed.

**Goal:** In 2013, staff will complete the necessary supporting research and prepare an options briefing package for Commission consideration.

**Durable Infant or Toddler Products**

The CPSIA requires the CPSC to study and develop safety standards for two durable infant and toddler products every six months, to begin no later than August 14, 2009.

*Safety Standards*

In 2010, the Commission issued final rules for baby bath seats and infant walkers and issued draft proposed rules for full-size cribs, non-full-size cribs, toddler beds, and bassinets/cradles. In December 2010, the Commission issued final rules for full-size and non-full-size cribs. In 2011, staff submitted briefing packages with draft notices of proposed rulemakings for bed rails and play yards for Commission consideration in March 2011, and August 2011, respectively. In 2012, staff plans to prepare for Commission consideration four briefing packages with draft proposed rules for swings, bedside sleepers, strollers, and infant hammocks. CPSC staff will also prepare for Commission consideration briefing packages with draft final rules for bed rails and play yards.

**Goal:** In 2013, staff will prepare four briefing packages with draft proposed rules for Commission consideration. Staff will also prepare four briefing packages with draft final rules for Commission consideration.

### *Laboratory Accreditation Requirements*

**Goal:** In 2013, staff will prepare, for Commission consideration, draft notices of requirements for laboratory accreditation for testing four children's products for compliance with durable infant products standards.

### **Firepots and Fuel Gels**

Firepots are relatively new, small portable decorative lighting products marketed for outdoor and indoor use. Preliminary testing and evaluation of firepots and gel fuels show that they pose a serious risk of burn injuries to consumers due to firepot design features, the burning and physical characteristics of the gel fuel, and gel fuel container packaging. Currently, staff is not aware of any voluntary or mandatory safety standards that directly address the risk of injury to consumers from firepots and gel fuels. In 2012, the Commission voted to issue an ANPR to address the injuries and deaths associated with this product.

**Goal:** In 2013, CPSC staff will prepare for Commission consideration a briefing package with an NPR, if appropriate.

### **Fireworks Amendments (Regulatory Options)**

In 2006, the Commission published an advance notice of proposed rulemaking (ANPR) seeking information and comments on the risk of injury associated with noncomplying fireworks, regulatory alternatives, and other possible ways to address the risks of injury. The primary focus of the ANPR dealt with the possible need to require manufacturer certification that consumer fireworks meet all applicable CPSC regulations. With the passage of the CPSIA in August 2008, certification became mandatory, and additional work on this program was deferred, due to CPSIA implementation priorities. In 2011, staff prepared a status report updating the progress of staff activities on the ANPR.

**Goal:** In 2013, staff will evaluate options in light of the new requirements under the CPSIA with respect to the ANPR and alternative standards approaches. If appropriate, staff will prepare a draft Notice of Proposed Rulemaking (NPR) briefing package for Commission consideration.

### **H.R. 2715**

H.R. 2715 was signed into law (Public Law 112-28) in August 2011, "to provide the Consumer Product Safety Commission with greater authority and discretion in enforcing the consumer product safety laws and for other purposes."

**Goal:** In 2013, CPSC staff will prepare briefing packages, if appropriate, for Commission consideration of petitions requesting exceptions from lead content limits.

**Goal:** In 2013, CPSC staff, if appropriate, will prepare a draft proposed rule for revisions to 16 CFR part 1107, Testing and Labeling.

**Goal:** In 2013, CPSC staff will continue work begun in 2012 to identify and evaluate alternative testing requirements, if appropriate, consistent with the relevant provisions of P.L. 112-28.

### Phthalates and Phthalate Substitutes

As required by the CPSIA, the Commission appointed a Chronic Hazard Advisory Panel (CHAP) in 2010, to review the potential effects on children's health of phthalates and phthalate alternatives in children's toys and child care articles. The CHAP will consider the cumulative effects of exposure to multiple phthalates from all sources, including personal care products. The CPSIA mandated that the CHAP have 18 months to complete its examination and an additional 180 days to complete its final report. The CHAP will recommend to the Commission whether any additional phthalates or phthalate alternatives should be declared banned hazardous substances. The CPSIA requires the Commission to promulgate a final rule within 180 days of receiving a report from the CHAP. In 2012, staff will continue to provide scientific and administrative support for the CHAP. Pending completion of the CHAP's report to the Commission, staff will provide a briefing package to the Commission for its consideration of whether to continue the interim ban that the CPSIA established, effective February 10, 2009, for certain phthalates, or whether to regulate other phthalates or phthalate substitutes.

**Goal:** In 2013, staff will complete any rulemaking or other activities undertaken because of the CHAP's recommendations.

### Poison Prevention

The Poison Prevention Packaging Act (PPPA) authorizes the Commission to issue child-resistant packaging requirements for hazardous household substances (*e.g.*, drugs or other chemicals). To reduce injuries and deaths of children associated with ingestion of household chemicals, staff continues to monitor the need for child-resistant packaging of additional hazardous household substances. In 2012, staff will update one or more pending PPPA projects and prepare a briefing package for Commission consideration on whether to initiate rulemaking for at least one hazardous substance.

**Goal:** In 2013, staff will update the scientific data for one or more PPPA projects that were deferred. Staff will prepare briefing packages for Commission consideration, if appropriate.

### Recreational Off-Highway Vehicles

Recreational off-highway vehicles (ROVs) are a relatively new product category with a significant injury rate. In 2009, the Recreational Off-Highway Vehicle Association developed a draft voluntary standard. CPSC staff reviewed the draft standard and concluded that it did not adequately address lateral stability, vehicle handling, and occupant protection. The Commission voted

to publish an ANPR to address the significant numbers of deaths and injuries. In 2010, staff conducted technical studies to develop performance requirements to address vehicle stability, handling, and occupant protection. Staff is conducted additional testing in 2011. In 2012, CPSC staff will complete evaluations to identify contributing factors to vehicle rollover; the ways in which occupants are ejected; and minimum rollover protection methods, such as restraints, handholds, footholds, and vehicle structure.

**Goal:** In 2013, staff will prepare for Commission consideration a briefing package with a draft proposed rule for ROVs. If the Commission votes to issue an NPR, staff will review the comments submitted in response to it.

### Rule Review

In the spirit of President Obama's direction in Executive Orders (E.O.s) 13579 and 13563 (supplements to E.O. 12866 first established in September 1993), the CPSC is moving forward with reviewing existing CPSC rules and working to reinvigorate the CPSC's voluntary review process for existing rules. The CPSC intends for the reviews to be broader than the reviews contemplated by the Executive Orders and the Regulatory Flexibility Act<sup>4</sup> (RFA) because our analysis will not be limited only to regulations that have a significant economic impact on a substantial number of small entities, nor limited to significant regulations as defined in E.O. 12866.

**Goal:** In 2013, staff will initiate and complete two rule reviews and will prepare recommendations, as necessary, for the Commission to consider in amending the regulations.

### Table Saws

In 2006, the CPSC granted a petition to proceed with a rulemaking process that could result in a mandatory safety standard for table saws to reduce the risk of blade contact injury, and directed staff to draft an ANPR. The Commission did not vote on the ANPR before it lost its quorum. However, the Commission directed the staff to initiate a project to collect additional information on emerging injury-reduction technology to prevent and reduce blade contact injuries; the project was ongoing through 2010. In 2011, the CPSC released an updated study based on data from the CPSC's NEISS, which estimated that there were 66,900 emergency department-treated injuries in the United States during the calendar years 2007–08 related to table/bench saw operator blade contact. The Commission voted to issue an ANPR and it was published in the Federal Register on October 11, 2011. See [www.CPSC.gov/businfo/frnotices/fr12/tablesawANPR.pdf](http://www.CPSC.gov/businfo/frnotices/fr12/tablesawANPR.pdf). In 2012, CPSC staff will test and evaluate technologies that address table saw blade contact injuries, respond to comments submitted in response to the table saw ANPR, and begin to develop

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<sup>4</sup> A key requirement of the law is that agencies must analyze the impact of their regulatory actions on small entities and, where the regulatory impact is likely to be "significant", affecting a "substantial number" of these small entities, seek less burdensome alternatives for them.

performance requirements for an NPR, if appropriate, to address blade contact injuries associated with table saws.

**Goal:** In 2013, staff will follow Commission direction and prepare, for Commission consideration, a briefing package with an NPR regarding a performance standard for table saws, if appropriate.

### **Upholstered Furniture**

Ignitions of upholstered furniture are a leading cause of residential fire deaths from consumer products under the CPSC's jurisdiction. The Commission published an NPR in 2008, to address the risk of fire from cigarette-ignited and small, open-flame-ignited fires. From 2009–11, staff conducted large-scale testing of furniture with and without complying fire barriers; initiated work to develop standard cigarette and flexible foam test materials specified in the NPR; and performed other technical work to address issues raised in public comments on the NPR. In 2012, CPSC staff will continue technical research to support a possible rule and address public comments, including cooperative studies with the California state government on materials flammability performance.

**Goal:** In 2013, staff will complete the necessary supporting research and possibly prepare a final rule briefing package for Commission consideration.

## **6. Complete seven data analysis and technical review activities**

### **Bedclothes (Open Flame)**

The Commission published an ANPR for bedclothes in 2005. Bedclothes contribute substantially to the complexity and magnitude of the mattress fire hazard. Making bedclothes less flammable could reduce their contribution to mattress fires and limit the impact of the fire hazard by decreasing the threat of flashover. In 2010, the European Committee for Standardization proposed revisions to the flammability standard for bedclothes (EN ISO 12952, parts 1 and 3). The revisions included a proposal to develop a new part to the standard to assess large ignition sources. In 2011, staff continued to monitor international standards development activities.

**Goal:** In 2013, staff will evaluate ANPR comments, analyze the addressable deaths and injuries, and begin an initial evaluation of options for reducing bedclothes flammability. This will include an analysis of the technical feasibility of a standard and its business impact.

### **Cigarette Ignition Risk**

The majority of fire deaths are caused by cigarettes igniting soft furnishings. The current CPSC regulation for mattresses and mattress pads and the proposed standard for the flammability of upholstered furniture use a cigarette as the source of ignition. The standard cigarette used by the CPSC in these regulations is an unfiltered, conventional cigarette. All states have adopted fire safety standards to require reduced ignition propensity (RIP)



cigarettes. As RIP cigarettes saturate the market, the fire hazard associated with smoldering cigarettes may change.

Previous work in this project included measuring the ignition strength of cigarettes to evaluate performance differences of RIP and conventional cigarettes of the same brands. Data from this work were used to develop a test program to examine the effects of RIP cigarettes on ignition behavior of interior furnishings. In 2010, staff awarded a contract for evaluating the ignition propensity of mattresses and mattress pads using RIP and conventional cigarettes as the ignition sources. In 2011, staff commenced testing under this contract. In 2011, a contractor conducted an evaluation of RIP and conventional cigarettes on mattresses and mattress pads and submitted preliminary data to CPSC staff. In 2012, staff will analyze contractor data and continue the test program evaluating the ignition propensity of RIP and conventional cigarettes on residential soft furnishings.

**Goal:** In 2013, staff will complete evaluations of RIP cigarettes and prepare a status report to provide input to regulatory development projects.

#### **Cigarette Lighters (Special Study)**

Several fire safety organizations have requested that the CPSC prohibit the sale of novelty lighters, due to the risk of death and injury posed to children. Current CPSC data systems do not provide sufficient information to determine the involvement of novelty lighters in reported incidents. A special study is needed to provide an enhanced database of fire incidents to supplement anecdotal information.

**Goal:** In 2013, a special study methodology and questionnaire for fire departments will be developed to obtain data on the types of lighters (novelty and non-novelty) involved in fire incidents.

#### **Durable Nursery Products Exposure Survey**

The CPSIA requires the CPSC to evaluate the existing voluntary standards for durable infant or toddler products and to promulgate mandatory standards substantially the same as, or more stringent than, the applicable voluntary standard. To evaluate the current voluntary standards effectively, CPSC staff requires baseline data to measure the potential future impacts of the CPSIA mandatory requirements on children's products. Staff will conduct an exposure survey to gather this baseline data.

From 2009–11, staff developed the questionnaire and sample design and awarded a contract to conduct the survey. In 2012, CPSC staff will seek survey approval, finalize the survey questionnaire and design, and conduct the survey,

**Goal:** In 2013, contingent upon contractor completion of data collection, preparation of data files, and a survey methodology report, staff will begin analyzing the data collected. A draft status memorandum will be prepared.

**Fabric Softeners and Flammability Testing**

In the past, CPSC staff has examined the effects of fabric softeners on textile flammability; however, these studies were limited in scope and occurred more than a decade ago. This study will provide guidance to CPSC staff on the impact of fabric softeners on apparel flammability.

**Goal:** In 2013, staff will conduct a review of available literature and data.

**Portable Generators**

As of February 2011, the CPSC databases contain records of at least 591 deaths from carbon monoxide (CO) poisoning associated with consumer use of generators in 1999–2010. Based on estimates through 2007, there appears to be an upward trend in the percentage of the total estimated nonfire, consumer product-related CO poisoning deaths that are specifically associated with generators since 1999. In 2005 and 2006, generators were associated with 46 percent of the estimated CO deaths. In 2011, staff drafted an informational package on the technology demonstration of a prototype, low CO-emission portable generator. This package included staff's summary of the development, durability program, and end-of-life emission testing of the prototype generator; it also included staff's assessment of the ability of the prototype to reduce the CO poisoning hazard, based on analysis of empirical results obtained from testing the prototype in scenarios that are typical of those that cause consumer fatalities. In 2012, staff will finalize and release the report and solicit stakeholder comments.

**Goal:** In 2013, staff will draft a status report containing the comments received on the staff package on the prototype, low CO-emission portable generator technology demonstration program. This report will include, where appropriate, staff's evaluation of the comments to support possible development of a draft proposed rule.

**Surrogate Smoldering Ignition Source**

Federal regulations for smoldering ignition of mattresses and mattress pads (16 CFR part 1632) and a proposed rule for upholstered furniture (proposed 16 CFR part 1634) require a standard cigarette ignition source: a conventional, unfiltered cigarette with specific physical characteristics (length, density, and weight). This type of cigarette is no longer produced, and a standard reference material was developed as a temporary replacement. There is a need to develop a long-term solution so that all stakeholders can transition seamlessly to the next generation of standard ignition source. Past work by CPSC staff indicated that there are alternatives to cigarettes that may be suitable for use as a standard ignition source.

In 2010, the CPSC initiated an IAG with NIST to develop a surrogate ignition source for use in the applicable standards. In 2011, NIST provided a status report on its analysis of a literature review of relevant studies and on potential surrogate ignition



sources. In 2012, CPSC staff will review the report prepared by NIST on an assessment of candidate smoldering ignition sources for possible use in existing and proposed regulations.

**Goal:** In 2013, staff will prepare a status report on candidate smoldering ignition sources for possible use in existing and proposed regulations.

**Objective 2.3: Facilitate the development of safer products by training industry stakeholders on the CPSC regulatory requirements and hazard identification best practices.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b><i>Provide Guidance to Industry Stakeholders</i></b>							
7. ATV action plan guidance review within 60 days (CPSIA sec. 232)	<b>Goal</b>	**	100%	100%	100%	100%	100%
	<b>Actual</b>		100%	100%	100%		
8. Guidance and information dissemination for small businesses*	<b>Goal</b>	**	3	1	1	1	1
	<b>Actual</b>		3	1	1		
9. Industry guidance documents	<b>Goal</b>	5	10	6	6	6	6
	<b>Actual</b>	6	11	10	11		
10. Develop education materials for industry	<b>Goal</b>	**	**	**	**	2	3
	<b>Actual</b>						
<b><i>Provide Training and Outreach to Industry and Other Stakeholders</i></b>							
11. Conduct outreach or training events for U.S. importers	<b>Goal</b>	2	3	3	6	6	6
	<b>Actual</b>	3	10	8	9		

\*\* No goal established.

\* Goal statement revised to reflect variation in mode of information dissemination over time.

***Provide Guidance to Industry Stakeholders***

**7. ATV Action Plan Guidance (CPSIA)**

The CPSIA requires CPSC staff to review and approve all-terrain vehicle (ATV) action plans (Letters of Undertaking), which are written plans that describe the actions a manufacturer or distributor agrees to undertake to promote ATV safety.

**Goal:** In 2013, staff will review (analyze for acceptability) 100 percent of ATV action plans from manufacturers or distributors within 60 days of receipt.

**8. Small Business Guidance (Ombudsman)**

Businesses (both small and large) are required to comply with the requirements of the CPSIA and Public Law 112-28. The Small Business Ombudsman is the CPSC's contact point for small businesses. CPSC staff has disseminated information to aid small businesses in complying with the CPSIA and the CPSC's enforcement policies using different mechanisms over the past few years, including producing publications, conducting webinars, and updating information on the CPSC's website.

**Goal:** In 2013, CPSC staff will target small businesses in two industries by conducting focused outreach on safety regulations, including attending and presenting at relevant trade shows and producing corresponding written materials.

## 9. Industry Guidance for CPSC Regulations

The CPSIA greatly expanded CPSC's authority to regulate safety in consumer products. Staff is developing guidance to facilitate industry transition to the new legislation.

**Goal:** In 2013, staff will develop six guidance documents to explain regulations and other policies or procedures to assist industry in complying with CPSC regulations.

## 10. Develop Education Materials for Industry

### *FFA Regulations*

The FFA regulations were enacted to reduce the unreasonable risk of burn injuries and deaths from fires related to certain textile products. With the implementation of third party certification for children's products as required by the CPSIA, a full set of laboratory manuals supporting all of the FFA regulations will aid CPSC stakeholders. This project will ensure that there are current, updated laboratory manuals for all FFA regulations. In 2010, staff finalized the laboratory test manual for 16 CFR parts 1615 and 1616, the children's sleepwear flammability standards. In 2011, staff worked on notice of requirements issues for lab accreditation related to the FFA. In 2012, staff will prepare an updated laboratory test manual for 16 CFR part 1632, Standard for the Flammability of Mattresses and Mattress Pads.

**Goal:** In 2013, staff will prepare a draft laboratory manual for Carpet and Rug Flammability (16 CFR parts 1630 and 1631).

### *Chemical Hazard Guidance*

With respect to chemical hazards, there have been a number of advances in toxicology that are used to determine the potential health effects of chemicals. It is critical that CPSC regulations and guidance documents address these new tools and approaches and provide manufacturers and other stakeholders with information on how CPSC staff may incorporate the data derived from these advanced tools into its product safety assessments.

**Goal:** In 2013, staff will review, and if necessary, update at least two chemical hazard guidance documents.

## *Provide Training and Outreach to Industry and Other Stakeholders*

### 11. Outreach or Training Events for United States Importers

In order to increase U.S. importers' cooperation with U.S. product compliance efforts, it is essential to convey sufficient understanding of the U.S. regulatory environment as it applies to imports. Outreach or training events that explain U.S. statutory and regulatory requirements and present useful techniques, regulatory best practices, and relevant experience, increase the chances of effective cooperation and the level of compliance.

**Goal:** In 2013, staff will conduct six outreach or training events for U.S. importers.

**Objective 2.4: Develop programs that provide incentives for manufacturers and importers to implement preventive actions that enable the safety of their products.**

Annual goals for this objective are under development.

**Objective 2.5: Engage foreign product safety regulators and foreign manufacturers to reduce the production of unsafe consumer products that may enter the U.S. market.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<i>International Training</i>							
12. Conduct outreach or training for foreign manufacturers	<b>Goal</b>	2	3	3	3	3	1
	<b>Actual</b>	3	3	3	3		
13. Conduct outreach or training for foreign government regulators*	<b>Goal</b>	3	3	3	3	1	1
	<b>Actual</b>	3	3	3	3		

\* Due to change in method of measuring this goal, data for 2013 are not comparable to data prior to 2013.

***International Training***

**12. Training for Foreign Manufacturers**

The CPSC's emphasis on manufacturing outreach focuses on economies that account for most of the hazardous or noncompliant imported products and emerging economies whose exports of high-risk consumer products to the United States are increasing. CPSC staff designs and implements programs to train industry representatives and government product safety officials on U.S. requirements. The programs, which include both in-person and Internet-based training, emphasize the need to follow CPSC testing requirements and to rely on proven international best practices.

**Goal:** During 2013, CPSC staff will conduct or facilitate training for industry stakeholders in China, Southeast Asia, or Latin America, with scheduling and topics to be based on trends and priorities identified during 2012.

**13. Training for Foreign Government Regulators**

To increase foreign government cooperation with U.S. product compliance efforts, it is essential to convey sufficient understanding of U.S. regulatory requirements. Outreach or training events that present regulatory best practices and relevant experience increase the chances of effective bilateral cooperation.

**Goal:** During 2013, CPSC staff will conduct or facilitate training for foreign consumer product safety regulators, with jurisdictions, scheduling, and topics to be based on trends and priorities identified during 2012.



## RIGOROUS HAZARD IDENTIFICATION

### STRATEGIC GOAL 3: Ensure timely and accurate detection of consumer product safety risks to inform agency priorities.

The CPSC must quickly and accurately determine which hazards represent the greatest risks to consumer safety. Using a systematic and transparent framework, based in science, to assess and track hazard data in a consistent manner, the CPSC will proactively detect safety threats for the thousands of product types under its jurisdiction. Using reliable data, the CPSC will continuously identify hazards that represent the greatest addressable risks to guide the agency's efforts and resources.

**2013**

Total dollars decrease by \$1,963,000 from the 2012 level (see Table 1).

#### RESOURCE CHANGES

<b>2011–2013 RESOURCES BY STRATEGIC GOAL (DOLLARS IN THOUSANDS)</b>			
Goal	2011 Actual Amount	2012 Enacted Amount	2013 Request Amount
<b>Rigorous Hazard Identification</b>	\$35,790	\$30,015	\$28,052

Information on injuries, deaths, and other consumer product safety incidents comes from a wide range of sources, including consumers and consumer groups, hospitals and clinics, and industry. This diversity of information providers makes it challenging to monitor, standardize, and compare safety data to track known hazards and to identify new ones. To improve the processing of the voluminous data, the Commission will update and renew its information technology infrastructure.

- Each year, the CPSC collects more than 360,000 National Electronic Injury Surveillance System reports, 8,000 death certificates, and more than 23,000 manufacturer and retailer reports on product safety concerns.
- In 2011, the CPSC received about 13,000 incident reports from the [www.CPSC.gov](http://www.CPSC.gov) and [www.SaferProducts.gov](http://www.SaferProducts.gov) websites and the Hotline.
- The CPSC receives numerous formal congressional inquiries each year, as well as hundreds of other consumer, media, and federal and state inquiries related to product hazards.

**Objective 3.1: Improve the quality and comprehensiveness of crucial product hazard data.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b>Information Technology Infrastructure Update and Renewal</b>							
1. Information Technology Infrastructure Update and Renewal	<b>Goal</b>	**	3	6	4	2	4
	<b>Actual</b>		3	6	4		
<b>Data Analyses of Product Hazards</b>							
2. Updates to the Injury Cost Model	<b>Goal</b>	**	**	**	**	**	1
	<b>Actual</b>						
<b>Data Collection of Product Hazards</b>							
3. Capture product-related cases reported by hospitals	<b>Goal</b>	90%	90%	90%	90%	90%	90%
	<b>Actual</b>	91%	88%	90%	94%		
4. Monitor/evaluate hospitals in the NEISS sample	<b>Goal</b>	95%	98%	98%	98%	98%	98%
	<b>Actual</b>	100%	100%	100%	100%		
5. Sustain the number of incident reports collected from medical examiners and coroners	<b>Goal</b>	4,500	4,500	4,500	4,500	4,500	4,500
	<b>Actual</b>	4,606	4,358	5,524	5,136		
6. Collect incident reports from news clips	<b>Goal</b>	7,800	7,200	7,200	6,000	6,000	6,000
	<b>Actual</b>	7,402	7,528	6,598	6,207		
7. Mail incident information for verification to submitters within two business days	<b>Goal</b>	**	**	**	95%	95%	95%
	<b>Actual</b>				82%		
8. Provide manufacturers with investigation reports within 25 business days	<b>Goal</b>	**	**	**	95%	95%	95%
	<b>Actual</b>				65%		
9. Ensure proper coding/redaction of reports within one business day	<b>Goal</b>	**	**	**	95%	95%	95%
	<b>Actual</b>				94%		
10. Notify manufacturers within five business days	<b>Goal</b>	**	**	**	95%	95%	95%
	<b>Actual</b>				95%		
11. Review manufacturer comments within five business days <sup>#</sup>	<b>Goal</b>	**	**	**	95%	80%	80%
	<b>Actual</b>				97%		
12. Process business registration requests for <a href="http://www.SaferProducts.gov">www.SaferProducts.gov</a> within two business days	<b>Goal</b>	**	**	**	80%	80%	80%
	<b>Actual</b>				63%		
<b>Data Collection Focused on Minorities</b>							
13. Leverage other federal collection efforts <sup>##</sup>	<b>Goal</b>	**	**	1	50	50	50
	<b>Actual</b>			1	50		
14. Collect race and ethnicity data (percent of questionnaires that contain demographic questions)	<b>Goal</b>	**	**	80%	90%	100%	100%
	<b>Actual</b>			90%	64%		

\*\* No goal established.

# In 2012, the method of reporting changed from one business day to five business days. The data starting from 2012 are not comparable to the data prior to 2012.

## Measurement changed from reviewing data systems (2010) to contacting individual states (2011). Therefore, data from 2010 will not be comparable to data from 2011.

**Information Technology Infrastructure Update and Renewal**

**1. Information Technology Infrastructure Update and Renewal**

The CPSIA directs the Commission to expedite efforts to upgrade and improve information technology systems. To address these mandates, CPSC staff created a new system to consolidate the CPSC’s siloed systems into a single, integrated, Web-based environment to enhance the efficiency and effectiveness of CPSC staff’s consumer product safety work; and to foster more rapid dissemination of information.

In 2011, CPSC staff reengineered the business processes and supporting systems related to the intake and triage of reported incidents. Incident sources include the National Electric Injury

Surveillance System (NEISS) reports required under Section 15 of the CPSA, death reports, and other incident reports.

In 2012 and 2013, staff will reengineer the business processes and supporting systems related to investigations and compliance operations. The new system will help staff manage the information collected from consumers and businesses by creating “portfolios” of related incidents, investigations, safety assessments, and other information. By centralizing task assignment and tracking, staff will be able to retire the legacy systems and efficiently manage the high volume of incident reports the agency receives. Retirement of the legacy systems is critical to a reduction in long-term operations and maintenance costs, elimination of unsupported technologies, and an increase in staff efficiency.

**Goal:** In 2013, staff will update and automate the internal processing of incident reports by developing a system to manage the intake and triage of incident reports that will include risk-targeting capabilities.

**Goal:** In 2013, staff will complete the implementation of the electronic portfolio aspects of the new system by converting key legacy systems to support the new business processes.

**Goal:** In 2013, staff will provide to the public published incident reports, including business comments and related documentation, via an application programming interface.

**Goal:** In 2013, staff will prepare a report to assess the methods and resource requirements of allowing licensors to comment on reports submitted to the SaferProducts.gov website, including a pilot program, if appropriate.

### ***Data Analyses of Product Hazards***

#### **2. Updates to the Injury Cost Model**

Staff conducts economic studies to develop hazard exposure data and maintains econometric models and economic information to provide analyses of general, small business, and environmental impacts of CPSC actions. Model maintenance includes periodic review to ensure that methodological approaches and models are current and adequate for use by the CPSC. Previous contract research studies on the Commission’s injury cost model resulted in findings that need to be implemented into the model. These findings include implementation of new estimates of medically attended injuries with confidence intervals, and the integration of new quality-adjusted, life-year estimates into the injury cost model reports.

**Goal:** In 2013, staff will implement the findings of previous contract research studies on the Commission’s injury cost model. Staff will prepare a draft status report describing the updates to the injury cost model.

**Data Collection of Product Hazards****3. Capturing Product-Related Cases**

Each year, staff collects information about product-related injuries treated in hospital emergency rooms through the National Electronic Injury Surveillance System (NEISS). A high reporting percentage is necessary to ensure the integrity of the injury estimates developed by CPSC staff. Remedial action would be implemented in any hospital that is missing significant numbers of reportable cases.

**Goal:** In 2013, NEISS hospitals will report more than 90 percent of the product-related cases, as documented by audits in each hospital.

**4. Monitoring Hospitals**

Evaluation visits provide CPSC staff an opportunity to review hospital records and ensure that hospital coders are capturing and reporting data on the highest possible percentage of reportable cases.

**Goal:** In 2013, staff will conduct at least one evaluation visit at 98 percent of the hospitals in the NEISS sample.

**5. Medical Examiner and Coroner's Reports**

Reports from medical examiners and coroners provide critical information on product-related deaths. The data are especially valuable because, unlike death certificates, they are generally received soon after an incident, and they provide some detail on how the incident occurred.

**Goal:** In 2013, staff will obtain 4,500 reports from medical examiners and coroners.

**6. News Clips**

The CPSC relies on clips from newspapers in all 50 states and the District of Columbia to identify incidents. News clips are provided by two sources: (1) news reports purchased under clipping service contracts, and (2) news reports from the Internet and other sources obtained by staff. News clips provide many reports of product-related deaths, serious injuries, and hazardous fires. The reports fill gaps in reporting from other data systems and provide a very important source of incidents to investigate in support of hazard identification and analysis activities.

**Goal:** In 2013, staff will obtain 6,000 incident reports from news clips. Recently, it has been more difficult to obtain news clippings because fewer news-clipping services are in business.

**7. Submitter Verification Requests**

The CPSC contacts submitters of reports received by phone or mail to request verification of incident information and ask about their preferences regarding publication of the reports in the CPSC's public database and release of contact information to the manufacturer. Requests for verification are mailed to consumers within two business days after clerical coding is completed.



**Goal:** In 2013, staff will mail incident report verification requests within two business days 95 percent of the time.

### 8. Manufacturer IDI Mailing

Investigation reports from CPSC's field staff are sent to manufacturers whose products are named in these reports. Manufacturer responses are also provided electronically to staff for review.

**Goal:** In 2013, staff will provide completed investigation reports to manufacturers on identified products within 25 business days of receiving the reports 95 percent of the time.

### 9. Clerical Coding

The CPSC receives reports via [www.SaferProducts.gov](http://www.SaferProducts.gov), the Hotline, e-mail, fax, or postal mail. CPSC staff must code some data for reports received via [www.SaferProducts.gov](http://www.SaferProducts.gov) and the Hotline and redact personally identifiable information from narrative fields. Reports received by e-mail, fax, or postal mail must be fully coded by staff and entered into CPSC's database. Eligible sources are those that may qualify for posting on [www.SaferProducts.gov](http://www.SaferProducts.gov) and do not include death certificates, news clips, retailer reports, or manufacturer reports.

**Goal:** In 2013, staff will complete clerical coding of all reports from eligible sources by one business day following receipt 95 percent of the time.

### 10. Manufacturer Notifications

One of the requirements prior to publishing a report online is that the CPSC notify the manufacturer, importer, or private labeler of the report and allow the company the opportunity to provide comments to be published with the report.

**Goal:** In 2013, staff will send notifications to manufacturers named in all eligible reports within five business days (after the report is determined to be eligible for the database) 95 percent of the time.

### 11. Review Manufacturer Comments and Claims

At any time after notification, manufacturers, importers, and private labelers may submit comments, claims of materially inaccurate information, or claims of confidential information. The Clearinghouse is responsible for processing these comments and claims, obtaining technical and legal support from other CPSC staff as necessary.

**Goal:** In 2013, staff will review comments and claims within five business days 80 percent of the time.

### 12. Process Registration Requests for [www.SaferProducts.gov](http://www.SaferProducts.gov) Business Accounts

Businesses may request an account on [www.SaferProducts.gov](http://www.SaferProducts.gov) so that they may receive notifications electronically and review reports online, allowing them more time to review, verify, and respond to reports prior to publication. The Clearinghouse validates and approves or denies account requests.

**Goal:** In 2013, staff will complete processing or send validation letters to registrants within two business days 80 percent of the time.

**Data Collection Focused on Minorities**

**13. Leverage Other Federal Data Collection Efforts**

A Government Accountability Office report issued in 2009, which focused on better data collection for minorities, recommended that the CPSC leverage other federal injury data collection efforts, such as those of the Maternal and Child Health Bureau Child Death Review Case Reporting Systems of the U.S. Department of Health and Human Services. Through data-user agreements, this system collects information from individual state child death review teams. In 2010, CPSC staff reviewed the child death systems to determine what information would be useful for CPSC staff in analyzing consumer product-related deaths and what states contribute the largest numbers of reports.

**Goal:** In 2013, the CPSC will continue to work with each state to gain access to or have the state report to CPSC the data identified in 2010. Staff will prepare a draft memorandum listing the progress made with acquiring the identified data.

**14. Race and Ethnicity Data Collection**

Annually, CPSC staff conducts up to 1,000 follow-up telephone interviews with injured persons treated in NEISS hospitals. Staff develops standardized questionnaires to collect additional information of interest to CPSC analysts that is not found on the NEISS record. In 2010, the CPSC developed and included a core set of demographic questions on race and ethnicity.

**Goal:** In 2013, 100 percent of NEISS questionnaires collected by CPSC staff will include the core demographic questions.

**Objective 3.2: Reduce the time it takes to identify hazard trends by improving the collection and assessment of hazard data.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b>Technology Development</b>							
15. Study the measurement of lead in paint through x-ray fluorescence and alternative technologies (CPSIA sec. 101)	<b>Goal</b>	**	1	1	1	1	1
	<b>Actual</b>		1	1	1		
<b>Information Technology Improvements for Data Collection</b>							
16. Use Web-based applications to improve communication with businesses	<b>Goal</b>	0	1	1	1	1	1
	<b>Actual</b>	0	0	1	1		
17. Improve access and transfer of information with other government organizations	<b>Goal</b>	1	1	1	1	1	1
	<b>Actual</b>	1	0	0	1		
18. Early Warning System	<b>Goal</b>	1	1	1	1	1	1
	<b>Actual</b>	1	1	1	1		

\*\* No goal established.

Annual Goals Summary (continued)		2008	2009	2010	2011	2012	2013
<b>Efficiency of Data Collection</b>							
19. Complete headquarters telephone investigations in less than 45 business days	<b>Goal</b>	90%	98%	98%	98%	98%	98%
	<b>Actual</b>	99%	99%	100%	100%		
20. Complete fire investigations as on-site or other in less than 45 business days	<b>Goal</b>	95%	95%	95%	95%	95%	95%
	<b>Actual</b>	98%	98%	97%	98%		
21. Complete nonfire investigations as on-site or other in less than 45 business days	<b>Goal</b>	93%	93%	93%	93%	93%	93%
	<b>Actual</b>	95%	97%	95%	95%		
<b>Hotline Services (1-800-638-2772)</b>							
22. Process incident reports within eight working hours	<b>Goal</b>	95%	99%	98%	98%	99%	99%
	<b>Actual</b>	100%	100%	100%	100%		
23. Respond to voicemail messages the next business day	<b>Goal</b>	95%	98%	98%	98%	98%	98%
	<b>Actual</b>	100%	99%	54%	54%		
<b>Collaborative Data Collection Efforts</b>							
24. Collaborate with foreign regulatory partners to identify emerging hazards	<b>Goal</b>	**	**	**	**	2	1
	<b>Actual</b>						

\*\* No goal established.

### Technology Development

#### 15. Technology for Measuring Lead in Paint

The CPSIA required the CPSC to conduct a study, by August 2009, on x-ray fluorescence (XRF) technology or other alternative methods for measuring lead in paint to evaluate the effectiveness, precision, and reliability of such measurement technologies. In August 2009, staff posted a report online that concluded that the ability of XRF to measure lead content in painted films on children's products at the limits required under the CPSIA was at that time limited due to the unavailability of standard reference materials. The CPSIA requires periodic review and, specifically, an ongoing effort to study and encourage further development of alternative methods for measuring lead in paint and other surface coatings that can detect effectively, precisely, and reliably lead levels at or below the level specified in the legislation or any lower level established by regulation. In 2012, staff will prepare a final report with an update on staff efforts on the continuing study of XRF and other technologies and the development of standard reference materials.

**Goal:** In 2013, if needed, staff will conduct the periodic review required by the CPSIA to evaluate the effectiveness of XRF and other alternative technologies for the measurement of lead in paint, including voluntary standards development and standard reference material development with the National Institute of Standards and Technology (NIST).

### Information Technology Improvements for Data Collection

#### 16. Communication with Businesses

The CPSC has initiatives to reduce the burden on businesses by adopting processes that dramatically reduce redundant data collection, providing one-stop streamlined support for businesses, and enabling digital communications with businesses.

**Goal:** In 2013, staff will automate and consolidate the collection of incident reports from businesses, including voluntary retailer reports and business self-reports required by Section 15 of the CPSA.

### 17. Communication with Government

The CPSC will continue initiatives that enable sharing and integration of federal, state, and local data to leverage investments in IT systems and to provide improved integration of key government operations. The CPSC is collaborating with the U.S. Department of Homeland Security's Customs and Border Protection (CBP) to receive import entry data for products within the CPSC's jurisdiction through CBP's International Trade Data System (ITDS). This involves setting up a system to test entry data. Using entry data, CPSC staff will target potentially violative products and collaborate with CBP to hold, investigate, and refuse entry to identified products. This collaboration will help the CPSC target potentially violative products before they enter the country, demonstrate CBP support for its partner agencies, and it is expected to improve communications between the CPSC and CBP. In 2012, the CPSC will complete the design of an interface for data exchange with CBP's ITDS to track incoming shipments. In 2013, to reduce violative products imported into the United States, the CPSC will develop a new targeting system that will be accompanied by recommendations for an increase in port, headquarters, and laboratory support staff to increase the number of ports covered and the amount of import records examined.

**Goal:** In 2013, staff will identify the requirements for and design a full production import targeting system.

### 18. Early Warning System

In 2010, staff continued to apply the Early Warning System (EWS) processes and procedures for products found in the sleeping environments of children. Staff used the information in the EWS pilot to characterize hazard scenarios and injury severity in support of the development of crib and bassinet regulations. Staff applied lessons learned from the pilot to build functions from EWS into a new system, which was put into operation in 2011. The optimized EWS functions were expanded to cover more product types, additional incident report types, and new triage and integrated product team business processes. In 2012, staff will automate the portfolios (cases) of incidents identified in EWS for investigations.

**Goal:** In 2013, staff will continue to collaborate with the IT contractors who will develop the additional features or modules for the new system.

### *Efficiency of Data Collection*

### 19. Efficiency of Telephone Investigations (Headquarters)

Headquarters' telephone investigations provide valuable information on specific NEISS cases of interest to CPSC analysts. Analysts must receive these data as quickly as possible to support hazard reduction activities.

**Goal:** In 2013, staff will complete at least 98 percent of telephone investigations in fewer than 45 business days.

**20. Efficiency of On-site and Other Fire Investigations (Field)**

On-site and other fire investigations by field staff provide valuable information on cases of interest to CPSC compliance officers and analysts. Analysts must receive these data as quickly as possible to support hazard reduction activities.

**Goal:** In 2013, field staff will complete at least 95 percent of on-site and other fire investigations (not including telephone investigations) in fewer than 45 business days.

**21. Efficiency of On-Site and Other Nonfire Investigations (Field)**

On-site and other nonfire investigations by field staff provide valuable information on cases of interest to CPSC compliance officers and analysts. Analysts must receive these data as quickly as possible to support hazard reduction activities.

**Goal:** In 2013, field staff will complete at least 93 percent of on-site and other nonfire investigations (not including telephone investigations) in fewer than 45 business days.

**Hotline Services (1-800-638-2772)**

**22. Efficiency of Responding to Incident Reports**

Consumers may make a complaint of an unsafe product or product-related injury through the Hotline. In 2011, the CPSC Hotline staff received 3,881 incident reports that were processed within eight hours 100 percent of the time. Staff uses these complaints to look for emerging hazards and to support studies of specific product hazards.

**Goal:** In 2013, the CPSC's Hotline staff will process product incident reports within eight working hours, 99 percent of the time.

**23. Efficiency of Responding to Voicemail Messages**

A contractor is helping the Hotline maintain high levels of customer satisfaction through administering a performance-based contract for a call and e-mail center that deals directly with the public. Under this type of contract, CPSC staff evaluates the performance and renews the contract, only if the performance level meets or exceeds the standards set forth in the contract. This includes maintaining the Hotline's automated message system, maintaining the system for responding to e-mail messages, and preparing reports on consumer usage of these systems. In 2011, the CPSC Hotline received a total of 3,329 voice messages and they were responded to within one business day 99 percent of the time.

**Goal:** In 2013, the CPSC's Hotline staff will respond to voicemail messages the next business day, 98 percent of the time.

**Collaborative Data Collection Efforts****24. Increased capacity of foreign regulatory partners to identify emerging hazards**

Because a large proportion of consumer products used in the United States originate from foreign jurisdictions, U.S. consumers benefit from increased vigilance by regulators in those jurisdictions. To the extent that foreign regulators have the capacity to identify hazard trends early in their own markets, they can intervene with manufacturers to correct product safety issues. By helping other jurisdictions to identify and move against hazardous products, the CPSC reduces the economic incentives for production of those products that potentially end up in the hands of U.S. consumers. The CPSC's Extended Training Exchange Program provides a mechanism for training foreign regulators in techniques for collecting and assessing hazard data, allowing them to identify hazard trends better.

**Goal:** During 2013, CPSC staff will coordinate relevant extended training exchanges at the CPSC on collecting and assessing hazard data for one or more foreign regulators, with scheduling and topics based on recommendations of the Staff Exchange Committee.

**Objective 3.3: Establish a transparent, risk-based methodology to consistently identify and prioritize hazards to be addressed.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b>Import Surveillance</b>							
25. Develop risk-based methodology	<b>Goal Actual</b>	**	**	**	**	**	1

\*\* No goal established.

**25. Risk-Based Methodology**

CPSC staff has been working to develop a risk-based methodology for identifying and prioritizing hazards in order to guide the Commission's work in addressing consumer product hazards. A pilot methodology has been developed and is being vetted among CPSC experts.

**Goal:** In 2013, staff will further use a risk-based methodology to identify and prioritize rulemaking and other hazards activities not prescribed by statute, to be addressed in accordance with 16 CFR 1009.8.

**Objective 3.4: Expand import surveillance efforts to reduce entry of unsafe products at U.S. ports.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b>Import Surveillance</b>							
26. Cross-train other federal agencies' staff to identify hazardous imported products	<b>Goal Actual</b>	4 6	6 6	6 9	6 11	6	6
27. Screen children's imported products for lead (CPSIA sec. 101)	<b>Goal Actual</b>	**	500 715	1,000 5,321	3,500 6,956	5,000	6,000
28. Screen products at the ports (number of models)	<b>Goal Actual</b>	**	**	2,000 7,088	5,000 9,920	7,000	8,500

\*\*No goal established.

Annual Goals Summary (continued)		2008	2009	2010	2011	2012	2013
29. National operations conducted through CTAC	<b>Goal</b>	**	**	**	**	11	11
	<b>Actual</b>			2	10		
30. Conduct informed compliance inspections with importers	<b>Goal</b>	**	**	**	**	20	20
	<b>Actual</b>						
31. Implement an import enforcement program to address 15(j) hazards at ports of entry	<b>Goal</b>	**	**	**	**	1	1
	<b>Actual</b>						

\*\* No goal established.

### **Import Surveillance**

#### **26. Cross-Train Other Federal Agencies**

CPSC staff works with other federal agencies to inspect shipments of imported consumer goods.

**Goal:** In 2013, CPSC staff will cross-train other federal agencies' staff working at six ports to identify hazardous imported products.

#### **27. Screen Children's Imported Products for Lead (CPSIA sec. 101)**

Beginning on August 14, 2009, children's products with a lead content of more than 300 parts per million (ppm) or with a surface coating containing more than 90 ppm of lead were banned. Effective August 14, 2011, a new and lower total lead content limit of 100 ppm in children's products went into effect.

**Goal:** In 2013, staff will screen 6,000 models of children's products for compliance with the lead content limit.

#### **28. Screen Imported Consumer Products**

Members of the Office of Import Surveillance and Inspection are the CPSC's front line in identifying imported products that violate the CPSC regulatory requirements or that contain defects that present a significant risk of injury. These investigators screen products and ship samples to other CPSC locations for final determinations.

**Goal:** In 2013, CPSC staff will screen 8,500 models of imported consumer products at the ports.

#### **29. National Operations Conducted through CTAC**

CPSC's collaboration with U.S. Customs and Border Protection (CBP) at the Commercial Targeting and Analysis Center (CTAC) allows national oversight and a much higher level of interagency coordination on product risks at importation. In the two fiscal years that the CPSC has been participating, several coordinated operations have been planned and executed successfully. National operations designed and coordinated through CTAC optimize federal government response to risks to the public. In 2012, 11 national operations on products regulated by the CPSC will be managed out of CTAC.

**Goal:** In 2013, CPSC staff stationed at CTAC will maintain 11 national operations established in 2012.

#### **30. Conduct Informed Compliance Inspections**

In cooperating with CBP at the ports and through its information center, the CPSC gains opportunities to collaborate, develop, and deliver outreach on adhering to safety standards to specific industries and foreign entities. In 2011, the CPSC conducted an



analysis of children's product importers that have had a history of noncompliance with safety standards. The CPSC continues to target these importers for safety assessment and is implementing an outreach effort to raise compliance with CPSC laws.

**Goal:** In 2013, CPSC staff will perform 20 targeted outreach inspections of importers of children's products that have a history of noncompliance.

### 31. Implement an Import Enforcement Program to Address 15(j) Hazards at Ports of Entry

The CPSC coordinates enforcement efforts in response to safety standards in effect including those newly developed, such as section 15(j) rules for substantial product hazards. The Commission may specify, by rule, for any consumer product or class of consumer products, characteristics whose existence or absence shall be deemed a substantial product hazard, if the Commission determines that such characteristics are readily observable and have been addressed by voluntary standards; and such standards have been effective in reducing the risk of injury from consumer products and that there is substantial compliance with such standards. CPSC staff will work with CBP to stop dangerous products from entering the United States.

**Goal:** In 2013, CPSC staff will implement one enforcement program based on a completed 15(j) rule.

**Objective 3.5: Scan the marketplace regularly to determine whether previously identified significant hazards exist in similar products.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
32. Complete product hazard scans	<b>Goal</b>	9	11	12	15	11	14
	<b>Actual</b>	9	9	12	12		

### 32. Complete 14 Product Hazard Scans

#### ATV Annual Data Update

In calendar year 2010, there were an estimated 115,000 ATV-related emergency department-treated injuries in the United States; of these, 25 percent were children under 16 years old.

**Goal:** In 2013, staff will prepare its annual all-terrain vehicle (ATV) death and injury data update report. The report also includes data on deaths by state, relative risk of death by year, and injuries distributed by year and age grouping.

#### Chemical Toxicity Assessment (two activities)

Staff addresses a variety of products and hazards related to chemical toxicity by continuing ongoing activities and initiating new activities, depending on the identification of emerging hazards. The topics will vary but may include the following: lung injuries and fatalities from aerosol waterproofing products, chronic hazard guideline updates, indoor air quality, and metals assessment.



**Goal:** In 2013, staff will complete at least two risk assessments, technical review activities, or guidance documents related to chemical toxicity.

**Carbon Monoxide-Related Annual Updates (two activities)**

Carbon monoxide (CO) is a colorless, odorless, and poisonous gas that results from the incomplete combustion of fuels, such as natural or liquefied petroleum gas, gasoline, oil, wood, coal, and other fuels. During 2007, there were an estimated 183 carbon monoxide poisoning deaths associated with the use of a consumer product under the CPSCs jurisdiction. Most consumer product related CO poisoning deaths are associated with the use of heating systems and portable generators.

**Goal:** In 2013, staff will prepare its annual report on estimated carbon monoxide (CO) fatalities associated with consumer products.

**Goal:** In 2013, staff will prepare its annual report on fatal CO incidents for generators and engine driven tools.

**Fire-Related Annual Updates (two activities)**

*Residential Fire Losses*

The number of residential deaths and injuries and the value of property losses from fire remain high. Over the three-year period from 2006–08, there were an estimated annual average of 386,300 fires, 2,390 deaths, 12,530 injuries, and \$6.92 billion in property losses.

**Goal:** In 2013, staff will prepare its annual report of residential fire losses.

*Fireworks*

Fireworks were involved in an estimated 8,600 injuries treated in U.S. hospital emergency departments during calendar year 2010. Injuries to children were a major component of total fireworks-related injuries, with children under 15 years of age accounting for approximately 40 percent of the estimated injuries.

**Goal:** In 2013, staff will prepare its annual report on deaths and injuries associated with fireworks.

**Nursery Equipment Annual Update**

In 2010, there were an estimated 81,700 emergency department-treated injuries associated with, but not necessarily caused by, nursery products among children under age five; and during the three-year period from 2006–08, CPSC staff has reports of 304 deaths—an annual average of 101 deaths—associated with nursery products among children under five years old.

**Goal:** In 2013, staff will prepare its annual report of nursery product-related injuries and deaths to children under the age of five.

**Pediatric Poisonings**

U.S. child fatalities have declined substantially since the PPPA became law, from 216 in 1972, to an annual average of 36 fatalities from 2006–08. To maintain this outcome, staff continues

to monitor poisoning data and assess the need for child-resistant packaging.

**Goal:** In 2013, staff will prepare its annual report on unintentional pediatric poisonings.

### Persons 65 Years of Age and Older Annual Data Report

According to recent government estimates, Americans age 65 years of age and older currently make up more than 12 percent of our population and are expected to comprise nearly 20 percent of the total U.S. population by 2030. Previous CPSC staff reports have estimated that this demographic group enters hospital emergency rooms with consumer-product related injuries at a rate significantly greater than that of the rest of the U.S. population. This disparity is even larger for adults 75 years of age and older.

**Goal:** In 2013, staff will prepare an annual report on consumer product-related injuries and deaths for persons 65 years of age and older.

### Submersion Annual Data Update (three activities)

There were, on average, 5,100 pool- or spa-related emergency department (ED) treated submersion injuries each year for 2008 through 2010, and 383 pool- or spa-related fatalities reported per year for 2006 through 2008, which involved children younger than 15 years of age. Seventy-six percent of the reported fatalities and 79 percent of the ED-treated injuries involved children younger than five years of age. From 1999 through 2010, CPSC staff is aware of 97 circulation entrapments associated with the use of pools, spas, or whirlpool tubs. Seventy-nine percent of the entrapments involved individuals younger than 18 years old. For 2005–09, CPSC staff received reports of 660 nonpool and nonspa product-related submersion incidents involving children younger than five years old. The majority of these reported nonfatal incidents and the reported fatalities were associated with bathing products such as bathtubs and baby bath seats.

**Goal:** In 2013, staff will update its annual report on pool submersion incidents involving children under five years of age.

**Goal:** In 2013, staff will update its annual report on circulation/suction entrapments associated with pools, spas, and whirlpool tubs.

**Goal:** In 2013, staff will update its annual report on submersions related to nonpool and nonspa products.

### Toys Annual Update

Toy-related deaths to children younger than 15 years old numbered 15 and 17 in 2009 and 2010, respectively. In 2010, an estimated 251,700 toy-related injuries were treated in U.S. hospital emergency departments.

**Goal:** In 2013, staff will prepare its annual update on toy-related deaths and injuries.

**Objective 3.6: Increase surveillance of used and resale consumer products to identify and remove recalled products and substantial product hazards.**

Annual goals for this objective are under development.



## DECISIVE RESPONSE

### STRATEGIC GOAL 4: Use the CPSC's full range of authorities to quickly remove hazards from the marketplace.

Once hazardous products have been identified, the CPSC will take action to protect consumers, remove the products from the marketplace, and hold violators accountable. To do this, the CPSC will determine the level of risk posed by the product hazard and select the appropriate course of action and commensurate level of resources to address the risk.

#### 2013

Total dollars increase by \$1,692,000 from the 2012 level (see Table 1).

#### RESOURCE CHANGES

<b>2011-2013 RESOURCES BY STRATEGIC GOAL (DOLLARS IN THOUSANDS)</b>			
<b>Goals</b>	<b>2011 Actual Amount</b>	<b>2012 Enacted Amount</b>	<b>2013 Request Amount</b>
<b>Decisive Response</b>	\$28,590	\$40,294	\$41,986

The longer a hazardous product remains on store shelves and in homes, the greater the potential for that product to cause injuries and deaths. Moreover, both industry and consumer groups demand that response and enforcement efforts are predictable and are carried out in a consistent manner. The passage of the CPSIA legislation expanded the CPSC's rulemaking and regulatory authorities, but also increased the number of enforcement functions the agency must now carry out.

- About 500,000 retail firms sell consumer products in the United States.
- The CPSC addresses, on average, 900 violations of consumer product safety rules each year.
- In 2011, the CPSC negotiated \$3.26 million in civil penalties through out-of-court settlements.

**Objective 4.1: Expand CPSC's ability to conduct a full range of inspections to monitor for noncompliant and defective products.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b>Conduct Inspections and Enforce CPSC Regulations</b>							
1. Enforce new CPSIA rules	<b>Goal</b>	**	**	5	8	16	16
	<b>Actual</b>			5	8		
2. Enforce the Virginia Graeme Baker Pool and Spa Safety Act	<b>Goal</b>	**	1	1	1	1	1
	<b>Actual</b>		1	1	1		
3. Enforce the Children's Gasoline Burn Prevention Act	<b>Goal</b>	**	**	1	1	1	1
	<b>Actual</b>			1	1		
4. Increase the number of establishment inspections by field staff	<b>Goal</b>	400	400	400	500	650	600
	<b>Actual</b>	463	454	585	1,064		

\*\* No goal established.

**Conduct Inspections and Enforce CPSC Regulations**

**1. Enforcement Activities (CPSIA)**

In 2011, CPSC staff work started to evolve from developing CPSIA-mandated rules to enforcing those rules. Experience shows that enforcing a new rule takes considerably more resources than enforcing an existing rule. CPSC staff will enforce new CPSIA rules through establishment inspections, retail surveillance, and port surveillance.

**Goal:** In 2013, CPSC staff will develop and implement field enforcement programs for each of the 16 programs listed below:

- durable infant or toddler rules
  - registration cards
  - cribs
  - toddler beds
  - bath seats
  - baby walkers
- ATV rule
  - state undercover surveillance
  - action plan verification
- certification and third party testing rules
  - all imported regulated products requiring a General Certificate of Conformity (GCC)
  - children's products requiring third party testing certification as well as GCC
- toy standards
  - requirements of ASTM 963
  - tracking labels
  - certification and third party testing
- tracking labels
  - all children's product rules incorporating tracking label requirement
- phthalates
  - includes checking for tracking label and third party testing
- lead
  - 100 ppm

- section15 (j) generic defect rules
  - hair dryers and children’s outerwear

**2. Pool and Spa Safety Act Enforcement**

The Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) requires public pools to be equipped with compliant anti-entrapment drain covers and, in certain instances, with additional anti-entrapment devices or systems. During 2009–10, states under contract with the CPSC worked cooperatively with the CPSC staff to conduct inspections of pools and spas to verify compliance with the VGB Act. This allowed CPSC staff to conduct inspections in other locations, thus leveraging our resources and expanding the reach of our enforcement activities. In addition, to make compliance of the VGB Act easy to understand, the Commission staff has provided guidelines, conducted webinars, and disseminated information to states to educate consumers, pools owners, and operators about the requirements of the VGB Act.

**Goal:** In 2013, staff will enforce the VGB Act by inspecting public pools and spas and continuing the enforcement program with states contracted to support this initiative.

**3. Children’s Gasoline Burn Prevention Act Enforcement**

The Children’s Gasoline Burn Prevention Act requires each portable gasoline containers manufactured on or after January 17, 2009, for sale in the United States, to conform to the child-resistance requirements for closures on portable gasoline containers, as specified in the standard ASTM F2517-05.

**Goal:** In 2013, staff will implement an enforcement program to monitor compliance with the requirements of the Children’s Gasoline Burn Prevention Act.

**4. Establishment Inspections**

The primary purpose of an on-site field inspection of a manufacturing facility, importer, distributor, or a retailer is to gain firsthand knowledge of a particular product or product type to determine whether it complies with federal regulations or contains a defect that could create a substantial product hazard.

**Goal:** In 2013, field staff will conduct 600 establishment inspections.

**Objective 4.2: Use a risk-based methodology to prioritize the CPSC’s targeted response to addressable product hazards.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<i>Import Surveillance and Inspection</i>							
5. Develop Risk Assessment Methodology	<b>Goal</b>	1	1	1	1	1	2
	<b>Actual</b>	1	0	0	1		
6. Apply the Pilot System Methodology to Improve the Targeting Effectiveness Rate	<b>Goal</b>	**	**	**	**	TBD†	+ 2%†
	<b>Actual</b>						

\*\* No goal established.

† TBD (To be determined)–Evaluation of pilot data is required to measure a baseline rate. The 2013 goal will increase the targeting effectiveness rate by two percentage points.

### **Import Surveillance and Inspection**

Section 222 of the Consumer Product Safety Improvement Act of 2008 (CPSIA) requires the CPSC to formulate a targeting methodology system to identify products imported into the United States that are most likely to violate consumer product safety statutes and regulations enforced by the Commission. In developing the new system, Congress requested that the CPSC analyze how to integrate this system with the International Trade Data System (ITDS) utilized by the Department of Homeland Security's Bureau of Customs and Border Protection (CBP). The CPSC is the first partner government agency to adopt the Web service capability that allows us to receive entry data directly from CBP, which allows the two agencies to interface.

The ITDS/CPSC targeting system combined information system is where the CPSC aligns with CBP. Other full-production system components will include the development of standardized reporting for subject matter experts, analytical support for targeting operations and casework involving specific risk elements, and rule set modeling, such as data governance and management controls. Full production of the targeting system will enable CPSC staff to systematically analyze 100 percent of imported line entries, identify the highest risk shipments as indicated by targeting rules, and ensure that adequate resources are dedicated to those shipments.

#### **5. Develop Targeting System Methodology**

In 2010, CPSC staff awarded a contract for the development of a proof of concept to assess the viability of an approach to create CPSC's targeting system at the ports. In 2011, CPSC staff sent a report to Congress on its development. In addition, CPSC staff worked with contractors to develop a pilot system. In 2012, the CPSC will partner with CBP to test the pilot system that involves merging data from CBP with CPSC case data to produce a baseline rate of effectiveness for targeting.

**Goal:** In 2013, CPSC staff will transition from the pilot system to initial development of the full-production system, if warranted based on results from the 2012 pilot.

**Goal:** In 2013, CPSC staff will continue development of the targeting system components, as necessary, to improve targeting and risk management as part of the agencies ongoing import surveillance program.

#### **6. Improve the Targeting Effectiveness Rate**

Once the pilot system is set up at the ports, CPSC staff will work with CBP staff to increase the effectiveness rate for examinations (the number of violative samples found per examination). A baseline effective rate will be calculated for 2012.

**Goal:** In 2013, CPSC staff will work with CBP to apply the pilot methodology to increase the 2012 effective rate by two percent.

### **Objective 4.3: Increase the effectiveness and speed of recalls of noncompliant and defective products.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b>Efficiency of Recalls and Corrective Actions</b>							
7. Preliminary determination within 85 business days (fire hazards; unregulated products)	<b>Goal</b>	70%	70%	70%	70%	70%	70%
	<b>Actual</b>	79%	62%	86%	88%		



Annual Goals Summary (Continued)		2008	2009	2010	2011	2012	2013
8. Corrective action within 35 business days of notice of violation for regulated products							
Corrective action (fire hazards)	Goal	82%	80%	80%	80%	80%	80%
	Actual	96%	89%	90%	94%		
Corrective action (children and other hazards)	Goal	88%	80%	80%	80%	80%	80%
	Actual	96%	96%	88%	84%		
9. Corrective action within 60 business days of notice of violation for unregulated products							
Corrective action (fire hazards)	Goal	82%	80%	80%	80%	80%	80%
	Actual	85%	94%	93%	93%		
Corrective action (children and other hazards)	Goal	82%	80%	80%	80%	80%	80%
	Actual	91%	91%	91%	79%		
10. Initiate a Fast-Track recall within 20 days	Goal	90%	90%	90%	90%	90%	90%
	Actual	96%	93%	95%	95%		
11. Conduct recall checks within 90 days or less	Goal	**	**	90%	90%	90%	90%
	Actual	100%	100%	100%	100%		

\*\* No goal established.

**Efficiency of Recalls and Corrective Actions**

**7. Efficiency of Preliminary Determinations (Fire Hazards; Unregulated Products)**

Compliance officers open fire-related investigations based upon reports from a manufacturer, importer, or retailer of possible defects that could present a hazard. Compliance officers also open fire-related investigations on their own initiative, after following up on consumer complaints, newspaper accounts, or information from CPSC surveillance activity. Each investigation involves a thorough review of information from the company and other sources, as well as analysis by the CPSC’s technical experts. Investigations culminate in a staff preliminary determination that there is, or is not, a product defect that presents a hazard requiring further action.

**Goal:** In 2013, staff will make 70 percent of fire-related “preliminary determinations” within 85 business days from the case opening date.

**8. Efficiency of Corrective Actions (Regulated Products)**

Compliance staff regularly conducts surveillance to check compliance of products with CPSC mandatory standards. Samples collected by investigators in the field and at the ports are sent to the CPSC National Product Testing and Evaluation Center for analysis. Often, CPSC technical experts conduct additional technical analysis. When it is determined that a product violates CPSC standards, a compliance officer sends a letter of advice (LOA) to the manufacturer, importer, or retailer. For violations posing a serious risk of injury, staff will seek a consumer-level recall (unless the sample was collected at a port of entry and no products have been distributed within the United States). For less serious violations, staff may seek a lesser corrective action, such as stopping sale of the violative products and correction of future production.

**Goal:** In 2013, CPSC staff will obtain 80 percent of fire-related corrective actions within 35 business days after an LOA is issued.

**Goal:** In 2013, CPSC staff will obtain 80 percent of children's and other hazards corrective actions within 35 business days after an LOA is issued.

### 9. Efficiency of Corrective Actions (Unregulated Products)

Each investigation involving a hazard will culminate in a preliminary determination that a product is or is not defective and a determination of whether the defect presents a hazard. If the product is determined to be defective and deemed to present a substantial hazard, the compliance officer begins negotiating with the responsible company to obtain a voluntary corrective action. For defects with hazards that pose a risk of serious injury, the compliance officer seeks a consumer-level recall, which usually involves a free repair or replacement of the product or a refund of the purchase price. For less serious hazards, the corrective action may involve stopping sale of the product and correcting future production.

**Goal:** In 2013, CPSC staff will negotiate and commence 80 percent of fire-related corrective actions within 60 business days after a firm is notified of staff's preliminary determination.

**Goal:** In 2013, CPSC staff will negotiate and commence 80 percent of children's and other hazards corrective actions within 60 business days after a firm is notified of staff's preliminary determination.

### 10. Fast-Track Timeliness

The CPSC's Fast-Track Program is designed for firms that file electronic reports and initiate corrective actions within 20 working days of the date of their report. A firm wishing to participate in the program must be ready to negotiate the corrective action plan (CAP) immediately, along with negotiating the wording of the press release.

**Goal:** In 2013, CPSC staff will complete a technical review and initiate a corrective action within 20 days 90 percent of the time for the Fast-Track Program.

### 11. Product Safety Activities (State Partners Program)

Pursuant to the CPSIA, it is illegal to sell a recalled product. To ensure that recalled products are removed from the marketplace, CPSC staff conducts recall checks, in cooperation with state and local partners, by visiting retail stores and other establishments to verify that the products are not available for sale as well as conducting Internet checks.

**Goal:** In 2013, CPSC staff will conduct 90 percent of recall checks in cooperation with state or local partners within 90 days or less of assignment.

**Objective 4.4: Reduce the time it takes to inform consumers and other stakeholders of newly identified hazards and the appropriate actions to take.**

Additional annual goals for this objective are under development.

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b>Notification to Stakeholders</b>							
12. Provide notification to states within one business day (CPSIA sec. 207)	<b>Goal Actual</b>	**	95% 100%	95% 99%	95% 100%	97%	96%

\*\* No goal established.

**Notification to Stakeholders**

**12. Efficiency of Notification to States**

The CPSC is required to notify each state health department or designated agency whenever it is notified of a voluntary corrective action taken by a manufacturer or the Commission issues a mandatory order under section 15(c) or (d) with respect to any product.

**Goal:** In 2013, staff will notify state health departments or designated agencies of voluntary corrective actions within one business day, 96 percent of the time.

**Objective 4.5: Hold violators accountable for hazardous consumer products on the market by utilizing enforcement authorities.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b>International Regulator Notification</b>							
13. Inform foreign government about corrective actions	<b>Goal Actual</b>	**	**	**	**	100%	100%
<b>Using Enforcement Authorities</b>							
14. Review and track cases for alleged prohibited acts within one year (CPSIA)	<b>Goal Actual</b>	**	**	**	**	90%	90%
15. Coordinate with state attorneys general on litigation (CPSIA sec. 218)	<b>Goal Actual</b>	**	1 1	1 1	1 1	1	1

\*\* No goal established.

**International Regulator Notification**

**13. Inform Foreign Regulators about Corrective Actions**

While most of the CPSC's product safety regulatory partners abroad do not have specific authority to intervene in matters concerning products made for export, our Chinese partner does. Regulators in other exporting jurisdictions may act if a local manufacturer also supplies the domestic market with the same product that also does not meet local requirements. The CPSC uses the enforcement authorities of our foreign partner agencies by informing them about recalled and interdicted products originating from their jurisdictions. The CPSC requests intervention toward corrective action with manufacturers, as appropriate, in each case.

**Goal:** During 2013, in each case where a recall announcement or stoppage report identifies the country of manufacture, CPSC staff will notify the relevant foreign government about the product manufactured in its jurisdiction that was recalled or stopped at port in the United States and will request intervention, as appropriate.

***Using Enforcement Authorities*****14. Efficiency of Civil Penalty or Other Legal Action (CPSIA)**

CPSC staff reviews and tracks cases involving the alleged sale, offer for sale, manufacture for sale, distribution into commerce, and import into or export out of the United States, of any consumer product or other product or substance that is under a voluntary corrective action, subject to an order issued by the Commission, or that has been deemed a banned hazardous substance. Staff also reviews and tracks cases in which a product allegedly bears a certification mark that is false or misleading; misrepresents which product is subject to an action; or bears certification due in any part from the exercise, or attempt to exercise, undue influence on a third party conformity assessment body.

**Goal:** In 2013, staff will evaluate the merits of 90 percent of the cases referred to the Division of Compliance for a civil penalty or other appropriate legal action, within one year of referral.

**15. Coordination of Litigation with State Attorneys General (CPSIA)**

The CPSIA allows state attorneys general to bring injunctive actions alleging a violation of specific acts prohibited by the Consumer Product Safety Act, as amended by the CPSIA and its safety rules on behalf of the residents of their states. In 2010, staff increased efforts to enhance its ongoing enforcement and information activities in a coordinated way with state attorneys general.

**Goal:** In 2013, staff will monitor any cases filed by state attorneys general and make recommendations to the Commission on whether to intervene.

## RAISING AWARENESS

### STRATEGIC GOAL 5: Promote a public understanding of product risks and CPSC capabilities.

The CPSC will use a wide array of communication channels and strategies to provide the public with timely and targeted information about safety issues and CPSC capabilities. This information will empower consumers to make informed choices about the products they purchase and how to safely use them, to be aware of hazardous products in the market, and to act quickly if they own a recalled product. Additionally, the information will make industry aware of the hazards they must address to maintain safe products.

#### 2013

Total dollars increase by \$388,000 from the 2012 level (see Table 1).

#### RESOURCE CHANGES

<b>2011–2013 RESOURCES BY STRATEGIC GOAL (DOLLARS IN THOUSANDS)</b>			
<b>Goals</b>	<b>2011 Actual Amount</b>	<b>2012 Enacted Amount</b>	<b>2013 Request Amount</b>
<b>Raising Awareness</b>	\$10,096	\$8,542	\$8,930

Consumers, advocates, industry, and partner government agencies each desire useful and timely information about product safety issues in order to make informed choices. However, these audiences have different information needs, and each responds best to different methods of communicating information. With the rapid increase in the use of social media and Web-based communications, the options for conveying consumer product safety information continue to grow.

- The CPSC has to make the public aware of hundreds of new product safety issues each year.
- By 2050, the population of the United States is forecasted to reach 438 million, with nonnative English-speaking immigrants accounting for the majority of that growth.<sup>5</sup>
- The CPSC uses a variety of new media platforms to reach the public. In 2011, those included the CPSC website which received over 50 million visits; e-mail alerts received by about 315,000 consumer and news organizations; 11,600 followers on Twitter; and the recalls “app,” created by the U.S. General Services Administration for the Android viewed by 585,000 consumers; and Web pages (hosted by Parent Dish, Widgetbox, Product Safety Letter, and the Los Angeles Fire Department, and others) that provided real-time recall information via CPSC’s free recall widget visited by another 25 million consumers.

<sup>5</sup> Jeffrey S. Passel and D’Vera Cohn. *U.S. Population Projections: 2005–2050*. Pew Research Center, 11 February 2008.

**Objective 5.1: Increase awareness of the CPSC to ensure the public knows where to turn for information on consumer product safety, where to report hazardous incidents, and knows about the enforcement capabilities used to address product dangers.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b>Outreach</b>							
1. CPSC website visits (in millions)	Goal	38.8	40.0	41.0	54.0	55.0	56.0
	Actual	40.5	39.8	53.6	51.4		
2. Awareness Surveys (measure agency recognition)	Goal	**	**	**	**	2	2
	Actual						
3. Social media platforms	Goal	**	**	**	**	2	2
	Actual						
4. CPSC on Twitter	Goal	**	**	**	**	15,000	25,000
	Actual						
5. Recall press releases	Goal	**	**	**	**	**	TBD
	Actual						
<b>Communication Tools Improvements</b>							
6. CPSC website	Goal	**	**	**	**	1	1
	Actual						
7. <a href="http://www.SaferProducts.gov">www.SaferProducts.gov</a> website	Goal	**	**	**	**	1	1
	Actual						

\*\* No goal established. TBD (To be determined)

## Outreach

### 1. CPSC Website Visits

The number of visits to the CPSC website ([www.CPSC.gov](http://www.CPSC.gov)) has grown rapidly from about 200,000 visits in 1997, to over 50 million visits in 2011. In 2011, the CPSC's website was enhanced to improve public access to important safety information. The new website, which started out simply allowing the retrieval of basic information, such as press releases (usually announcing product recalls) and the Commission's public meeting calendar, will give the Commission's Web presence a long overdue "facelift" and will create a technologically updated framework for rapid publication of the CPSC's many existing education and information-sharing campaigns. Additional features include links to the CPSC's social media sites, recall widgets, information centers, and extensive information on the CPSIA.

**Goal:** In 2013, there will be 56 million visits to the CPSC's website.

### 2. Awareness Surveys

Field surveys will be conducted to measure and assess consumer awareness of the agency, the safety issues we work on, how the work we do impacts consumers, and the level of consumer response to recalls and safety hazards communicated by the agency.

**Goal:** In 2013, the CPSC will work with a contractor to conduct at least one field survey of consumer awareness of the CPSC every six months.

### 3. Social Media Platforms

Social media platforms (OnSafety blog, Twitter, YouTube, Flickr, Widgets, Phone Apps) are the CPSC's primary online

communication tool for engaging with the public. In 2012, CPSC staff will continue to post safety information to our various social media platforms on a weekly basis and attempt to expand our social media presence to the extent permitted by the acts we administer. Staff will use new tools, such as contests to build apps, to disseminate our messages to more people online. CPSC videos will post to YouTube and other video platforms. Staff will continue to explore alternative delivery systems of CPSC messages and announcements, in addition to e-mail.

**Goal:** In 2013, CPSC will establish a presence on two new social or mobile media platforms to promote CPSC's safety programs, recalls, and alerts.

#### 4. CPSC on Twitter

In 2011, there were about 11,000 Twitter followers of @OnSafety. When CPSC's safety information is shared by our Twitter followers, there is the potential for hundreds of thousands to millions of online consumers to receive our tips, recalls, and warnings.

**Goal:** In 2013, there will be 25,000 followers on Twitter who sign up to receive the CPSC safety messages via @OnSafety.

#### 5. Recall Press Releases

**Goal:** In 2013, press releases announcing recalls will be released in a timely manner (generally within 7 business days unless circumstances relating to the recall warrant a longer period) after the firm and the Office of Compliance have agreed to the terms of the corrective action plan, including the terms of the public announcement..

### *Communication Tools Improvements*

#### 6. CPSC Website

The CPSC will build [www.CPSC.gov](http://www.CPSC.gov) into an up-to-date website that serves consumers and businesses and reflects the CPSC's identity and strategy. Design refinements will be based on evaluation of new ways to use the Web and website survey feedback. All content will be easier to search, resulting in more people finding the CPSC's information more readily through external search engines. The CPSC will build in and publish more tools, such as widgets, apps, and feeds to disseminate information.

**Goal:** Based on the level of funding available to support Web service operations, in 2013, staff will manage and direct Web content requests from within the agency, including the migration of existing and integration of new Web postings. The selected content management software system will enhance the access and use of [www.CPSC.gov](http://www.CPSC.gov) on mobile platforms.

#### 7. [www.SaferProducts.gov](http://www.SaferProducts.gov) Website

The website [www.SaferProducts.gov](http://www.SaferProducts.gov) is where the public can report risks of harm and find consumer product recall information. It is also where businesses can submit comments and other information electronically. In 2012, staff will continue to refine the design and functionality of [www.SaferProducts.gov](http://www.SaferProducts.gov). Staff will



evaluate information generated from safety related information, including incident reports, recalls and consumer education materials, and from there decide whether and/or how to disseminate that information in multiple platforms.

**Goal:** In 2013, the CPSC will develop an option for frequent users of www.SaferProducts.gov, which will create a customized view that is limited to the content they specify.

**Objective 5.2: Provide stakeholders with easily accessible, timely, and useful safety information on consumer product hazards.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b>Import Surveillance Efforts</b>							
8. Public Announcement of Products Stopped at Ports	<b>Goal</b>	**	**	**	**	**	1
	<b>Actual</b>						
<b>Outreach Effectiveness</b>							
9. Consumer outreach for imports impressions (in millions)*	<b>Goal</b>	450	200	350	750	750	1,000
	<b>Actual</b>	185	530	1,828	544		
10. Consumer outreach for fire hazards impressions (in millions)*	<b>Goal</b>	200	150	150	300	400	450
	<b>Actual</b>	103	117	447	476		
11. Consumer outreach for CO hazards impressions (in millions)*	<b>Goal</b>	25	15	8	75	85	85
	<b>Actual</b>	1	4	68	158		
12. Consumer outreach for children’s and other hazards impressions (in millions)*	<b>Goal</b>	450	300	375	750	1,100	1,100
	<b>Actual</b>	334	550	1,560	751		
13. Conduct public information efforts/partnerships	<b>Goal</b>	21	21	22	24	23	25
	<b>Actual</b>	21	21	22	24		

\*\* No goal established.

\* Beginning in 2010, the data include social media and online news media, and are not directly comparable to the data for prior years.

**Import Surveillance Efforts**

**8. Public Announcement of Products Stopped at Ports**

Data on trends in violative products stopped at the ports and results of import surveillance efforts could be useful to stakeholders, such as other government agencies, including foreign counterparts, and the public.

**Goal:** In 2013, CPSC staff will create a statement of work for a contractor to develop an automated quarterly import stoppage report to summarize import stoppage statistics and provide detailed information about violative products that never reached the hands of consumers. An aggregated version of the report will be available to the public and shared with relevant foreign counterparts.

**Outreach Effectiveness**

**9. Reaching Consumers on Import Safety**

In 2011, about 544 million impressions related to messages on import safety were achieved through newspaper stories, radio stories, social media outreach, TV appearances, and video broadcasts. The CPSC experienced a sharp decline from 2010–11 in the number of impressions of import safety-related stories due to a reduction in high profile and emerging hazard-related stories regarding imported consumer products. Coverage of a CPSC-



AQSIQ meeting in Shanghai was significant, but unmeasured in China, and there was no U.S. coverage.

**Goal:** In 2013, the CPSC will use communication tools, such as newspaper and radio stories, social media outreach, TV and radio appearances, and video broadcasts with one billion impressions of CPSC safety messages related to import safety campaigns and recalls to reach consumers.

#### **10. Reaching Consumers on Fire Hazards**

In 2011, about 476 million impressions related to fire safety messages were achieved through newspaper stories, radio stories, social media outreach, TV appearances, and video broadcasts.

**Goal:** In 2013, the CPSC will use communication tools, such as newspaper and radio stories, social media outreach, TV and radio appearances, interviews on national television networks, and video news releases to national and local television networks to reach consumers with 450 million impressions of CPSC fire safety messages.

#### **11. Reaching Consumers on CO Hazards**

In 2011, about 158 million impressions related to carbon monoxide safety messages were achieved through newspaper stories, radio stories, social media outreach, TV appearances, and video broadcasts.

**Goal:** In 2013, the CPSC will use communication tools, such as newspaper and radio stories, social media outreach, TV and radio appearances, interviews on national television networks, and video news releases to national and local television networks to reach consumers with 85 million impressions of CPSC CO safety messages.

#### **12. Reaching Consumers on Children's and Other Hazards**

In 2011, about 751 million impressions related to children's product safety messages were achieved through newspaper stories, radio stories, social media outreach, TV appearances, and video broadcasts.

**Goal:** In 2013, the CPSC will use communication tools, such as newspaper and radio stories, social media outreach, TV and radio appearances and interviews on national television networks, and video news releases to national and local television networks to reach consumers with 1.1 billion impressions of safety messages related to children's and other hazards.

#### **13. Conduct public information efforts/partnerships:**

CPSC staff conducts a variety of public information efforts, using different media and working with various partners to inform the public about hazardous consumer products. In 2013, staff will conduct 25 such campaigns as described below.

##### **ATV Safety (two activities)**

Staff carries out an all-terrain vehicle (ATV) rapid response program as the cornerstone of its ATV education activities. Rapid response focuses on fatalities involving children and adults as a

means of preventing future incidents. When media reports of fatalities are received, CPSC-prepared materials are sent to the media covering the incident. In addition, staff makes television outlets aware of available CPSC videos and directs all media to resources on the CPSC's ATV website. The CPSC's ATV website received about 302,000 visits in 2011.

**Goal:** In 2013, the CPSC will continue to provide biweekly updates on the ATV Information Center, which is available at [www.ATVSafety.gov](http://www.ATVSafety.gov). The information provided will include death and injury data, news items, industry developments, and changes to state laws.

**Goal:** In 2013, to carry out the CPSC's ATV Rapid Response program, the CPSC will use TV and radio PSAs, along with one-page summaries for the media to communicate with reporters located in the community impacted by breaking news of an ATV-related fatality. In addition, the CPSC will use its own social media sites and communicate with industry- and rider-supported social media sites to promote safe ATV riding.

### Back-to-School Safety

From biking to school to engaging in playground activities, and from playing soccer to using art materials, children can face numerous hazards on their way to and from school and while at school. The CPSC uses a Back-to-School safety message each year before children return to the classroom that advises parents and school administrators of certain preventable injury risks to children.

**Goal:** In 2013, the CPSC will use tools, such as a press availability, news release, YouTube video, e-mail message from the Chairman to school districts, NSN message, Back-to-School Safety Checklist, and social media platforms to keep parents informed about the risks posed to children headed to school and while they are at school.

### Bicycle/Helmet Safety

In 2007, the latest year for which data are available, more than 700 people were killed in bicycle-related incidents.

**Goal:** In 2013, the CPSC will communicate with the public about the need to wear helmets when riding bikes and other wheeled recreational vehicles and toys. The message will be communicated through various activities, such as issuing a news release (print or broadcast), disseminating a public safety announcement, rereleasing NSN posters on bike and helmet safety, tweeting, posting a YouTube video, or collaborating with agencies, including the National Highway Traffic Safety Administration.

### CO Alarms

While a large percentage of consumers' homes are equipped with smoke alarms, it is estimated that far fewer have working CO alarms in their homes. The CPSC strongly supports the installation and maintenance of CO alarms in homes.

**Goal:** In 2013, through activities, such as partnerships, posters, news releases, or Tweets, the CPSC will continue its CO alarm messaging in connection with a daylight saving time news release. This release, which is issued twice a year, will recommend that consumers change the batteries in their smoke alarms and CO alarms at least once every year. Staff will use communication tools, such as a blog, YouTube, Twitter, or the website [www.FireSafety.gov](http://www.FireSafety.gov), to promote any new developments in technology aimed at making CO alarms even more effective.

### CO Poster Project

This is a multiyear project. It includes a contest for middle school students to create posters to teach other students and their families about CO poisoning hazards. The contest is administered and judged by CPSC staff. Developing partnerships with local, state, and federal governments, fire departments, health care providers, and low-income housing programs can assist in support and advocacy for CO alarm use and CO awareness. In 2010, staff developed contest rules and judging criteria. Staff also publicized the contest to generate school interest in contest participation. In 2011, the contest winners were announced, and the finalists' posters were exhibited on the CPSC's website.

**Goal:** In 2013, staff plans to sponsor a second national CO safety poster contest for middle school students to raise awareness of the dangers of CO in the home.

### Fireworks Safety

In 2010, there were three deaths and an estimated 8,600 emergency room visits for injuries resulting from fireworks-related incidents. Most fireworks injuries occurred to consumers younger than 20 years of age and resulted in the loss of a limb in some cases. The CPSC works closely with federal partners to enforce fireworks regulations, prosecute manufacturers and distributors of illegal explosives, and educate the public about the risks associated with fireworks.

**Goal:** In 2013, the CPSC will conduct a national safety campaign for the Fourth of July to increase public awareness of the dangers associated with legal and illegal fireworks. This campaign will include activities, such as a press conference, video news release, Tweets, YouTube or viral video, and a message to the NSN. Possible partners include the U.S. Department of Justice; the Bureau of Alcohol, Tobacco, Firearms and Explosives; and Customs and Border Protection.

### Halloween Hazards

There are flammability hazards associated with Halloween costumes and a risk of fire-related injuries associated with homemade children's costumes, jack-o-lanterns, and other Halloween decorations. The CPSC provides the public with safety tips and works to keep children and families safe during Halloween celebrations by enforcing the Flammable Fabrics Act and recalling hazardous costumes and products at Halloween and throughout the year.

**Goal:** In 2013, the CPSC will remind consumers of the flammability hazards associated with Halloween costumes by conducting activities, such as issuing a news release, producing a video for YouTube, posting a safety message on Twitter, or conducting TV and radio interviews.

### **Holiday Decoration Hazards**

During November and December 2010, CPSC estimates that more than 13,000 people were treated in emergency departments nationwide due to injuries involving holiday decorations. This is an increase from 10,000 in 2007, and 12,000 in 2008 and 2009. Between 2006 and 2008, there was an annual average of four deaths and \$18 million in property damage related to Christmas tree fires. During this same time period, CPSC received reports of about 130 deaths and \$360 million in property losses related to candle fires.

**Goal:** In 2013, for the winter holiday season, the CPSC will reissue its annual news release, warning consumers about the risk of fire from defective decorative holiday light strings and natural trees. In addition, we will provide tips on the safe use of candles and fireplaces. Staff will also conduct activities, such as posting a blog, sending safety messages on Twitter, or sharing viral video on YouTube.

### **Holiday Shopping/Toy Safety**

Every holiday season, staff continues efforts to educate parents and caregivers on suitable products and age appropriate toys. Staff will also continue at that time of year to encourage consumers to be aware of various websites that can assist them in identifying recalled products. As part of the drive to remove dangerous products from homes, staff will continue to build upon the success of the agency website, [www.CPSC.gov](http://www.CPSC.gov), and the [www.Recalls.gov](http://www.Recalls.gov) website for notifying consumers about recalled products.

**Goal:** In 2013, the CPSC will use communication tools, such as a video news release, social media outreach, an NSN safety poster, a press conference, or materials to educate parents and grandparents about shopping for safe toys. The CPSC's messaging will include information about how the CPSIA requirements for lead, phthalates, and toy standards continue to make toys safer.

### **Home Heating (CO Hazards)**

To remind the public of the continuing threat of CO in the home, the CPSC will highlight the need for routine maintenance of gas appliances.

**Goal:** In 2013, at the beginning of the home heating season, the CPSC will issue a seasonal warning about CO hazards associated with home heating equipment. The CPSC will remind consumers of specific issues, including the need to have a routine furnace checkup; these reminders will be accomplished through activities such as news releases, audio news releases, postings on social media sites, publications, or other similar media instruments.

**Home Heating (Fire Hazards)**

**Goal:** In 2013, at the beginning of the home heating season, the CPSC will conduct activities, such as issuing a news release (print or broadcast) or posting messages on social media platforms to warn consumers about the fire hazards from home heating equipment, especially space heaters.

**In-Home Drowning Prevention**

On average, more than 75 non-pool or spa drowning deaths involving children younger than three years old occur inside or around homes each year.

**Goal:** In 2013, to help prevent young children from drowning, the CPSC, at the end of the summer, will focus on addressing the hazard associated with standing water in places such as buckets and bathtubs. As part of this effort to reduce in-home drownings, the CPSC will use tools, such as issuing a news release, conducting media interviews, communicating via social media sites, distributing a video, or issuing a poster for NSN members.

**Import Safety**

**Goal:** In 2013, the CPSC will conduct four activities, such as issuing quarterly press releases informing the public of products that were seized by the Office of Import Surveillance and Inspection inspectors of products that never reached the marketplace or got into the hands of consumers. Staff may also participate through social media in news stories and publicity about product seizures.

**Imported Products**

**Goal:** In 2013, the CPSC will undertake two activities, such as conducting local and/or national interviews, issuing press releases, using social media, and/or using partnerships with CBP to inform consumers about a particular imported consumer product posing a hazard to the public or presenting a potential safety risk.

**Natural Disaster Preparedness**

When hurricanes, ice storms, and natural disasters strike, CO poisonings involving portable generator use may occur. To notify consumers of this hazard, the CPSC implements a rapid response program in two parts: first, as a storm is arriving, the CPSC sends prepared, CO safety information into the media market. In the aftermath of the storm, the CPSC communicates with the media once again if there is a CO-related fatality or when consumers are hospitalized because of an incident. In addition, the CPSC's CO materials are used regularly by response organizations like the Federal Emergency Management Agency, the U.S. Environmental Protection Agency, and state emergency management organizations.

**Goal:** In 2013, the CPSC will use communication tools, such as print news releases, audio news releases, social media sites, or video news releases to address CO poisoning hazards prior to, and in the aftermath of, hurricanes, tornadoes, floods, or blizzards.

**Persons 65 Years of Age and Older**

According to recent government estimates, Americans age 65 years of age and older currently make up more than 12 percent of

our population and are expected to comprise nearly 20 percent of the total U.S. population by 2030. Previous CPSC staff reports have estimated that this demographic group enters hospital emergency rooms with consumer-product related injuries at a rate significantly greater than that of the rest of the U.S. population. This disparity is even larger for adults 75 years of age and older.

**Goal:** In 2013, the CPSC will use communication tools, such as news releases, social media outreach, an educational video, a message to Neighborhood Safety Network members, and creating a new or revising an existing publication, to educate adults 65 years of age and older and their caregivers regarding consumer product related hazards.

### Poison Prevention

**Goal:** In 2013, during National Poison Prevention Week, the CPSC will continue to support the efforts of the Poison Prevention Council by issuing a news release to promote child-resistant packaging and other poison prevention measures. The CPSC will carry out activities, such as updating the online poison prevention information center, conducting media interviews, posting messages on social media platforms, or disseminating a safety message to NSN members. Finally, the CPSC will partner with the Poison Prevention Council and others in the public/private sector to establish a new poison prevention strategy, such as the development of a public service announcement.

### Portable Gas Generators

During times of power loss, homeowners may be exposed to CO because of the incorrect use of portable gas generators to provide power to their homes.

**Goal:** In 2013, the CPSC will promote generator safety, using at least one communication tool, such as a news release, a video, Tweets, or safety materials to help reduce generator-related deaths and poisonings.

### Recall Round-Up

To extend the reach of recall announcements, CPSC staff will syndicate to broadcast outlets monthly interviews on the top recalls of the month. These interviews are offered live, or as a downloadable package.

**Goal:** In 2013, staff will reach at least 100 stations using the CPSC's monthly recall round-up broadcasts, and possibly, will air an annual round-up event with partner organizations.

### Safety Publication Update

Some of the CPSC's electrical, nursery, and mechanical/recreational brochures and product safety alerts (both in print and on the website) are outdated because they may depict older products that do not comply with more recent standards, contain outdated epidemiological information, refer to codes and standards that have been revised, or refer to organizations that have changed names. The Safety Publication Update, a project started as a pilot



in 2009, is intended to update CPSC safety publications and online documents regularly.

**Goal:** In 2013, staff will update three safety publications addressing children's hazards, fire and electrical hazards, mechanical hazards, sports and recreational hazards, or chemical and combustion hazards.

### Smoke Alarm Education

Fire departments responded to an estimated 386,300 residential fires nationwide. The fires resulted in an estimated 2,390 civilian deaths, 12,530 injuries, and \$6.92 billion in property losses annually, on average, from 2006–08. In addition to changing batteries every year, CPSC recommends that consumers test their smoke alarms monthly and place alarms on every level of the home, outside sleeping areas, and inside each bedroom.

**Goal:** In 2013, in a continuing effort to remind consumers that smoke alarms save lives, the CPSC will issue a news release in the spring and in the fall to emphasize that consumers need to have and maintain smoke alarms in their homes. Staff will also contact national and local media to encourage media outlets to remind consumers to check to see that their smoke alarms are in working order. Staff will use communication tools, such as blogging, YouTube, Twitter, or the website, [www.FireSafety.gov](http://www.FireSafety.gov), to promote any new developments in technology aimed at making smoke alarms more effective.

### Tip Over Prevention (two activities)

For 2008–10, an estimated annual average of 43,400 people were treated in U.S. hospital emergency departments for injuries involving instability of furniture, appliances, and televisions. CPSC staff also has reports of 293 fatalities occurring between 2000–10; 84 percent of these fatalities were to children ranging in age from one month to eight years old. In 2012, an action group will develop recommended language for standardizing mechanical safeguards in voluntary standards, and in addition, develop draft public education messages and other prevention strategies for discussion with stakeholders that may be used for consumer education materials.

**Goal:** In 2013, the project includes identifying stakeholders who have the greatest interest and influence on tip over prevention and helping them to organize an action group to undertake prevention efforts, such as, but not limited to, developing industry standards, and raising public awareness. The action group will coordinate tip over prevention strategies based on the solutions developed in 2012. Staff will prepare a draft status memorandum discussing the activities of the action group.

**Goal:** In 2013, the CPSC will continue its work to alert parents to the dangers of televisions, heavy furniture, and freestanding ovens tipping over and crushing young children. The CPSC will communicate this hazard through one or more of the following

communication tools: issuing a previously recorded, dramatic video news release on YouTube; conducting media interviews; working with retailers of TVs and furniture; or working with parents who have lost a child or had a child injured in a tip over incident.

**Window Covering Cords**

Window covering pull cords present a strangulation hazard to children. About once a month, a child between 7 months old and 10 years old dies from window cord strangulation, and another child suffers a near strangulation.

**Goal:** In 2013, the CPSC will inform parents of the risks involved with window covering pull cords through tools such as issuing news releases; updating the public on any new standards, either domestically or in collaboration with foreign regulators; conducting media interviews; distributing a video; responding rapidly to local media in the case of a fatality; using social media tools; working with families who have lost a child in a strangulation incident; or issuing a safety alert to NSN members.

**Objective 5.3: Deploy targeted outreach campaigns for priority hazards and vulnerable communities.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
<b>Minority Outreach Program</b>							
14. Conduct minority outreach tour to cities	<b>Goal</b>	**	**	5	6	4	5
	<b>Actual</b>			7	6		
15. Conduct minority awareness campaign	<b>Goal</b>	**	**	**	**	1	1
	<b>Actual</b>						
16. Neighborhood Safety Network membership	<b>Goal</b>	**	**	7,500	5,000	7,500	8,500
	<b>Actual</b>			3,600	2,745		
17. Minority outreach (in millions) <sup>#</sup>	<b>Goal</b>	**	**	5	10	15	22
	<b>Actual</b>			8	34		
<b>Pool and Spa Safety Information and Education Campaign</b>							
18. Consumer outreach messages (in millions) <sup>#</sup>	<b>Goal</b>	**	60	90	200	75	50
	<b>Actual</b>		80	198	590		
19. Conduct public information efforts/partnerships	<b>Goal</b>	**	2	3	5	1	1
	<b>Actual</b>		2	3	7		
20. Website management	<b>Goal</b>	**	**	1	1	1	1
	<b>Actual</b>			1	1		
21. Rapid Response Initiative: contact local media within three business days <sup>###</sup>	<b>Goal</b>	**	**	90%	90%	60%	60%
	<b>Actual</b>			100%	100%		
<b>Safe Sleep Campaign</b>							
22. Safe Sleep for Babies video	<b>Goal</b>	**	**	**	1	1	1
	<b>Actual</b>				1		
23. Crib safety mandatory standard awareness	<b>Goal</b>	**	**	**	3	3	3
	<b>Actual</b>				3		
24. Safe sleep environments public information efforts	<b>Goal</b>	**	**	**	1	1	1
	<b>Actual</b>				1		
25. Consumer outreach messages (in millions)	<b>Goal</b>	**	**	**	100	110	120
	<b>Actual</b>				127		

\*\* No goal established.

# Beginning in 2010, the data include social media and online news media. In 2011, the data also include radio media, and are not directly comparable to the data for prior years.

### Beginning in 2012, the number of days to contact local media changed from one business day to three business days.



### **Minority Outreach Program**

The Government Accountability Office completed a study assessing disparities in the risk and incidence of preventable injuries and deaths among certain racial minority children. The final report of its findings, *Consumer Product Safety Commission: Better Data Collection and Assessment of Consumer Information Efforts Could Help Protect Minority Children*, was issued on August 5, 2009. CPSC staff is implementing a grassroots-based Minority Outreach Campaign aimed at increasing awareness among minority and underserved consumers about critical safety hazards in the home.

#### **14. Community Tour**

CPSC staff will take the minority outreach effort directly to organizations that serve minority populations by participating in community events, fairs, and conferences. These events host thousands of local attendees and organization leaders and will enable staff to reach thousands of consumers at the events and through follow up with local branches directly. The Minority Outreach program is focused primarily on delivering safety messages regarding safe sleep, poison prevention, TV/furniture tip over, and drowning prevention.

**Goal:** In 2013, CPSC staff will visit at least five cities to execute multiple outreach activities in conjunction with community events, fairs, and conferences, such as the annual National Council of La Raza and National Urban League conferences. Staff will conduct activities, such as interactive demonstrations of hazards, provide handouts of publications and safety materials, sign up consumers for CPSC's services, and form new partnerships.

#### **15. Minority Outreach Awareness Campaign**

CPSC staff will promote and sponsor minority media efforts, and disseminate messaging through electronic information resources. In 2011, staff will develop a contact list of 100 minority-targeted media and grassroots organizations that will disseminate CPSC safety messages and extend the outreach efforts of the CPSC.

**Goal:** In 2013, CPSC staff will expand the contact list to contain 250 minority-targeted media and grassroots organizations receiving messages for minority audiences. In addition, staff will extend the reach of CPSC messages to minority audiences by creating and disseminating at least three targeted videos in English and Spanish, translating at least 40 news releases into Spanish, and posting minority-targeted blog entries.

#### **16. Neighborhood Safety Network Membership**

The Neighborhood Safety Network (NSN) is a grassroots outreach program that provides timely, lifesaving information to member organizations and individuals who, in turn, share CPSC safety posters and news alerts with underserved consumers who might otherwise never hear or receive the information from the CPSC.

**Goal:** In 2013, CPSC staff will increase membership in the NSN to 8,500.

#### **17. Reaching Minority Consumers**

**Goal:** In 2013, CPSC staff will reach 22 million minority consumers through safety messages in print, radio, Internet, and broadcast media, and social media.

### ***Virginia Graeme Baker Pool and Spa Safety Act—Education and Outreach***

The Virginia Graeme Baker Pool and Spa Safety Act (VGB Act), which became effective in December 2008, addresses the hazards of child drowning and drain entrapment and requires a targeted education campaign that focuses on these hazards. The VGB Act mandates retrofitting the nation's public pools with compliant anti-entrapment drain covers, and in certain instances, with additional anti-entrapment devices/systems. The CPSC is working to achieve high compliance with this new law.

#### **18. Consumer Outreach**

**Goal:** In 2013, 50 million impressions of CPSC safety messages related to pool and spa safety will be received by consumers and key stakeholders through activities such as: TV appearances and interviews on national and local television networks, public service announcements, newspaper articles, social media outreach, video news releases, a rapid response program, advertisements, and other communications tools. This target was reduced from prior year target levels due to the assumption that the CPSC will not have a contract with a public relations firm in 2013, as it did in 2011, to assist in the outreach activities.

#### **19. Public Information and Education Campaign**

**Goal:** In 2013, staff will conduct at least three information and education activities to address child drowning and entrapment in residential and public pools and spas. These activities may include a special program surveying at least 25 states on their pool codes and providing education programs on establishing layers of protection and compliance with the VGB Act; hosting press events in states that have adopted all or some of the requirements of the VGB Act; conducting a webinar for key stakeholders; hosting a national press event with congressional leaders; using online toolkits on pool and spa safety; disseminating the Pool Safely PSAs; or using blog and other social media to communicate with the pool and spa community.

#### **20. [www.PoolSafely.gov](http://www.PoolSafely.gov) Website Management**

In 2010, the CPSC launched [www.PoolSafely.gov](http://www.PoolSafely.gov), the homepage of *Pool Safely: Simple Steps Save Lives*, a national public education campaign to reduce childhood drownings, submersion injuries, and entrapments. The website will serve the needs of an increasingly diverse online audience, both demographically and technologically, and will include interactive video, animation, training materials and presentations, and safety information related to drowning and drain entrapment prevention and compliance with the VGB Act.

**Goal:** In 2013, CPSC staff will maintain, manage, and expand the [www.PoolSafely.gov](http://www.PoolSafely.gov) website to improve its ease of use and increase visits by parents, children, industry, and water safety organizations. Annual drowning and submersion data, snapshot data based on media reports, new publications or training materials, new stories of best practices, and lessons learned in drowning prevention will be added to the site.

#### **21. Rapid Response Initiative**

In 2009, CPSC staff started a daily rapid response pool safety initiative in response to breaking news stories about drowning or

entrapment incidents, using these as educational opportunities to inform the media on a regular basis about pool and spa safety and providing them with materials and data for their audiences. In 2012, the target was reduced, due to the operation of the program shifting from contract staff in a public relations firm to agency staff.

**Goal:** In 2013, CPSC staff will contact local media within three business days of learning of a pool or spa drowning, near drowning, or entrapment, 60 percent of the time during the Memorial Day to Labor Day summer swim season.

### **Safe Sleep Campaign**

In 2010, staff initiated the Safe Sleep campaign to warn new parents and caregivers about the dangers of pillows and soft bedding in a baby's sleep environment, to publicize crib recalls, and to produce and promote educational information surrounding CPSC crib standards.

### **22. Safe Sleep for Babies**

The "Safe Sleep for Babies" video is provided to hospitals, pediatrician's offices, and websites for parents. The video urges parents to keep soft bedding out of sleep environments, to keep babies on their backs when sleeping, and not to use a recalled crib. The video is produced in a long version and a short version, translated into Spanish, and tailored for minority families. The CPSC worked with Keeping Babies Safe, the American Academy of Pediatrics, and other partners to help distribute the video.

**Goal:** In 2013, staff will promote the "Safe Sleep for Babies" video, using communication tools, such as new publications, distribution of the video, press releases, radio interviews, print and online stories, a message to NSN members, a special information center online, and other social media platforms. Activities will include visits to at least three conferences or Safe Sleep meetings, such as the *Cribs for Kids* conference in Pittsburgh, PA, or partnerships with the U.S. Department of Health and Human Services, the National Institutes of Health, and the Centers for Disease Control and Prevention.

### **23. Crib Safety Mandatory Standards**

In June 2011, new mandatory standards for the manufacture and sale of cribs went into effect. In December 2012, public accommodations, including child care centers, Head Start centers, and hotels and motels will be required to provide cribs that meet the new standards.

**Goal:** In 2013, staff will conduct three activities to publicize requirements that child care centers, Head Start centers, and hotels and motels must meet by December 28, 2012, by using communication tools such as: print and broadcast stories, social media outreach, TV and radio appearances, teleconferences, and contacts through trade organizations.

**24. Safe Sleep Environment**

CPSC staff conducts information and education activities to warn parents and caregivers of important safety information related to the use of products in the sleeping environment.

**Goal:** In 2013, staff will warn consumers about the dangers associated with infant slings, sleep positioners, and baby monitor cords, using communication tools such as press releases, media interviews, social media, videos, and safety alerts.

**25. Reaching Consumers on Safe Sleep**

CPSC staff promotes and sponsors minority media efforts and electronic information resources.

**Goal:** In 2013, consumers will view, read, or hear 120 million safety messages related to Safe Sleep information and education activities.

**Objective 5.4: Increase access to consumer product safety information for industry and small businesses.**

Annual Goals Summary		2008	2009	2010	2011	2012	2013
26. Participate in public or webcast meetings for stakeholders to learn about the CPSIA	<b>Goal</b>	**	9	6	10	6	10
	<b>Actual</b>		12	13	14		

\*\* No goal established.

**26. Public or Webcast Meetings**

**Goal:** In 2013, staff will participate in 10 meetings (public or via webcast) to address questions about the CPSIA and allow for an open dialogue with stakeholders. In these meetings, sections of the CPSIA of most interest to stakeholders will be explained, and discussion will be encouraged through question and answer sessions.

## VERIFICATION AND VALIDATION OF PERFORMANCE DATA

This section describes CPSC processes and criteria for ensuring that data used to measure progress toward performance goals are reasonably accurate and reliable. The CPSC collects performance data from a variety of internal and external data sources. CPSC staff uses a number of tools, procedures, and standards to try to verify and validate data for performance indicators that track progress toward the strategic goals of the 2011–16 Strategic Plan, as well as performance indicators for annual performance goals. These mechanisms include the following:

Individual Responsibility for Strategic Goal Performance Measures: Each strategic goal performance measure is assigned to a specific CPSC staff person (sometimes more than one person, if several offices are involved), who is responsible for documenting and reporting on the measure. The responsible staff ensures that data for the performance indicator are collected and analyzed in a timely manner and assesses the quality of the reported data.

Section 6(b)(6) Clearance Procedures: The CPSC has an internal directive specifying clearance procedures for providing information to the public that reflects on the safety of consumer products.<sup>6</sup> The procedures, developed under the authority of Section 6(b)(6) of the Consumer Product Safety Act (15 U.S.C. 2055(b)(6)), are designed to ensure that such information is accurate. All reports, including annual performance plans and performance and accountability reports, go through an internal clearance process by relevant offices, prior to being issued. For information that is to be disclosed, the clearance procedures require careful review and written approval by each Assistant or Associate Executive Director (AED) and office director whose area of responsibility is involved in the disclosure, in order to eliminate inaccurate or misleading statements. The process also involves editorial review, as well as review by the Office of the Executive Director and the Office of General Counsel. The 6(b)(6) clearance process helps ensure that data reported for performance indicators are reasonably accurate.

Internal Controls Letters of Assurance: The CPSC annually evaluates and reports on internal controls and financial systems, as required under the Federal Managers' Financial Integrity Act. Senior managers report annually to their supervisors via letters of assurance, on the integrity of internal controls for their organizations' major programs, functions, and activities. These include a statement of reasonable assurance on the adequacy of controls for ensuring that decisions are made based on timely and reliable information, based on their management knowledge gained from daily operation of programs and systems, as well as reviews and assessments performed throughout the fiscal year. The Chairman of the Commission includes in the annual Performance and Accountability Report a similar assurance statement, which involves a statement on the completeness and reliability of performance data.

Milestone Tracking Systems and Databases Maintained by the CPSC: The CPSC maintains a variety of data tracking systems for performance indicators, ranging from simpler milestone systems that track internal records, to more sophisticated electronic database systems that are maintained either directly by CPSC staff, or through contracts. Examples of milestone tracking systems include: semiannual voluntary standards tracking reports and records of Commission briefings. Examples of databases maintained directly by CPSC or through contractors include: the Compliance Corrective Action (CCA) database, which tracks preliminary determinations and corrective actions for unregulated products; the Integrated Field System (IFS), which tracks regulated product cases; the Inventory of Web publications database, which tracks the numbers of publications viewed or downloaded; and data systems for tracking injuries and/or deaths, including the National Electronic Injury Surveillance System (NEISS), Injury/Potential Injury Incident (IPII) File, In-Depth Investigations (INDP) File, and the Death Certificate (DTHs) File. Internal consistency checks, required fields, automatic generation of data reports, and review by senior managers are used to improve data accuracy and reliability.

<sup>6</sup> Section 6(b)(6) does not apply to the new publicly available consumer product safety information database.

External Assessments: The Division of Planning, Budget and Evaluation conducts more in-depth reviews of program office data accuracy and quality for selected performance measures on an ad hoc basis, time and resources permitting.

Independent Data Sources: These include outside sources such as Nielson ratings of major television networks, which are used to determine the number of U.S. consumers estimated to have been reached through TV appearances and interviews on national television networks, and computer programming that links Web statistics (Web trends) to publications by hazard, to determine the number of e-publications viewed on the CPSC's website. Because these data sources are external, the CPSC relies on managers' and technical experts' judgments of the quality of the data and documentation.

Data Quality Standards: CPSC staff aims for quality standards for data and performance measures that are based on best practices to help ensure that performance data are reasonably accurate and reliable. The following factors may be applied in the process of assessing potential data sources and developing performance measures.

- Data source identified—The source or system that provides the data for each performance measure should be identified and documented clearly.
- Definition of performance measure—The performance measure should be defined clearly, with all terms explained.
- Assessment of data source—The data source should be assessed using criteria, such as the following:
  - Validity—The data for the performance measure are valid (the indicator measures what it is supposed to measure).
  - Accuracy—Data are accurate.
  - Reliability—The measure produces the same result under similar conditions.
  - Completeness—Data are complete.
  - Timeliness—Data are expected to be available from the source in time for performance reporting schedules.
  - Data entry—Data entry methodology is documented and followed.
  - Limitations—Any limitations are explained and steps to compensate for them are identified. (e.g., missing records, possible double counting, incomplete data).

Note: for a data source that is external to the CPSC, it may be difficult to assess all of the dimensions of quality listed above.

- Calculation method – The method of calculation for the performance measure should be documented fully, including definitions of all terms, specification of formulas, identification of units of measurement, and instructions for any rounding. Each staff person involved in the collection and calculation of the data should be trained in the method of calculation. The same method of calculation should be used over time.

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## SOCIETAL COST ESTIMATION

The CPSC is charged with protecting the public from unreasonable risks of injury or death associated with the use of the thousands of consumer products under the agency's jurisdiction. At an aggregate level, there have been roughly 35 million medically attended injuries, 32,000 deaths and \$6.7 billion in property damage associated with, but not necessarily caused by, consumer products annually. The annual societal costs of deaths, injuries, and property damage from products under the CPSC's jurisdiction are estimated at more than \$900 billion.

To estimate the societal costs of medically attended injuries, the CPSC employs the Injury Cost Model (ICM), which uses empirically derived relationships between emergency department injuries reported through NEISS and those treated in other settings (e.g., doctor's offices, clinics). The costs of medically attended injuries are comprised of four major components: medical costs, work loss, pain and suffering, and legal costs. The methods used to estimate these four broadly defined components are described in detail in the *U.S. Consumer Product Safety Commission's Revised Injury Cost Model*, Miller et. al., Public Services Research Institute, Calverton, MD, December 2000.

The cost of fatalities is estimated by applying a value of statistical life (VSL) to the number of deaths. CPSC staff uses a VSL of \$5.0 million, an estimate that is consistent with the results of research employing the "willingness to pay" methodology.

The estimate for average annual property damage (\$6.7 billion from 2006 data in constant 2008 dollars) comes from data on residential fires collected by the National Fire Protection Association in an annual survey. The property damage estimate does not include costs associated with fires that are not reported to a fire department, nor does it include goods destroyed or damaged when an incident other than fire occurs.

The estimate of societal costs does not include the costs of illnesses and deaths resulting from chemical or bacterial exposure from use of consumer products.

The estimates of societal costs are adjusted periodically to reflect methodological changes, changes in the price level, and changes in the estimates of deaths, medically attended injuries, and property damage.



## PROCESSES AND TECHNOLOGIES NEEDED TO MEET THE PERFORMANCE GOALS

This section reviews the (A) processes, (B) technologies (capital assets), (C) treatment of major management problems, (D) accountability, and (E) methodology for allocating the CPSC's budget request to strategic goal activities in the annual performance plan.

### A. Processes

We plan to achieve our annual goals by continuing our current operational processes. These are described more fully under the Approaches to Product Safety section (refer to page 15). In summary, our processes involve the following hazard reduction activities:

- participating in the voluntary standards process or developing mandatory safety standards, where necessary;
- rigorously identifying hazards;
- conducting compliance activities, such as recalls, corrective actions, and enforcement of existing regulations; and
- distributing information to the public on how to avoid product hazards.

### B. Capital Assets/Capital Programming

We have one remaining major recurring capital asset acquisition identified in support of our performance goals: continued investment in IT. Our investment in updating and renewing IT systems has a direct impact on our ability to achieve our mission and strategic goals.

We use IT to speed access to injury and death information; to set priorities for using our resources; to support various voluntary and mandatory approaches to reducing hazards; and to reduce hazards to American consumers more quickly. In addition, automating various tracking, planning, and mission-critical systems needed to accomplish organizational tasks has saved thousands of administrative staff hours, thus expanding staff time devoted to injury reduction activities. This has benefited the various CPSC programs established to carry out the Commission's mission. The effective governance of IT dramatically improves the chances that IT projects will succeed and that limited IT resources are allocated appropriately. Since 2009, the CPSC has implemented an IT Capital Investment governance process, including a Capital Planning and Investment Control, Enterprise Architecture, Project Management Office, and Independent Verification and Validation. These services have been instrumental in guiding the IT infrastructure and eventual retirement of stove-piped legacy systems. In 2012 and in 2013, we are streamlining the cost of these services, to align with the shift from development of the new system to operations and maintenance.

The agency has completed a major capital asset acquisition with the occupancy in May 2011, of its new National Product Testing and Evaluation Center, a modern building designed as an integrated laboratory, office, and sample storage facility. While the outfitting of the new facility was completed in 2011, each year we must invest in planned replacement of testing equipment.

### C. Treatment of Major Management Problems and High-Risk Areas

We do not have any known major problems of fraud and mismanagement in our programs and operations. We can address problems of fraud and mismanagement in programs and operations, if they



were to arise, through the CPSC's: (1) Office of Inspector General, responsible for audits, inspections, special reports, and investigations; (2) Office of the Chairman, responsible for the annual Federal Financial Managers Improvement Act report to the President and Congress; and (3) the Senior Management Council, responsible for internal control reviews and annual letters of assurance. In 2011, the Commission produced financial statements that received a "clean opinion" from the Inspector General.

#### **D. Accountability**

The Commission's budget review process, annual Performance and Accountability report, and staff performance appraisals are the primary methods for assigning accountability to managers and staff for achievement of objectives. Each year during the budget and operating plan process, we link the Strategic Plan and the Performance Budget. The Executive Director of the Commission and the directors for all of the offices are responsible for these linkages. Finally, the Commission stresses the achievement of the Strategic Plan's objectives as an important consideration in the performance appraisals of Commission managers. In addition, the Commission's Inspector General conducts an annual audit program of various aspects of Commission operations, including auditing portions of the annual performance plan.

#### **E. Resource Allocation to Accomplish Annual Goals**

For 2013, the CPSC total funding request is \$122.425 million, which includes \$6 million to fund a potential relocation of the CPSC's headquarters, with a staff level of 560 FTEs. The \$6 million, two-year funds, will be withdrawn if the GSA process results in a decision of no relocation. The CPSC is a staff-intensive organization, with 70 percent of total resources devoted to the compensation and office space of professional and technical staff, who identify hazards, investigate those hazards, take action to reduce those hazards, and inform the public about avoiding those hazards.

**Allocation Methodology:** Resources in the annual Performance Budget are allocated between our five strategic goal areas. We estimated the resource allocation for each strategic goal by:

- Determining the direct costs for each strategic goal for those activities classified under each goal in the budget (*e.g.*, resources for the incident report database were applied directly to the goal for rigorous hazard identification). Most of the Commission's costs are direct costs, such as salary, contract support, and operating costs.
- Distributing proportionately indirect costs, such as administration and space rent, to the strategic goals for each program.

#### **F. Lower-Priority Program Activities**

The 2013 Cuts, Consolidations, and Savings (CSS) Volume of the President's Budget identifies the lower-priority program activities under the GPRA Modernization Act, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget>.

## VOLUNTARY AND MANDATORY STANDARDS SUMMARY

	<b><u>2011</u></b> <b><u>Actual</u></b>	<b><u>2012</u></b> <b><u>Request*</u></b>	<b><u>2013</u></b> <b><u>Request*</u></b>
<b>Voluntary Standards Under Development</b> .....	60	66	68
<b>Mandatory Standards Under Development</b> .....	22	22	25

\* It is anticipated that these numbers will change to reflect changes in activities during the operating plan period.

**TABLE 1**  
**2011 TO 2013 RESOURCES BY STRATEGIC GOAL**  
(DOLLARS IN THOUSANDS)

	<u>2011 Actual</u>	<u>2012 Enacted*</u>	<u>2013 Request</u>	<u>2013 Change from 2012</u>	<u>Percent Change</u>
<b>Strategic Goals:</b>					
Leadership in Safety	\$14,444	\$12,585	\$13,847	\$1,262	
Commitment to Prevention	\$24,333	\$23,064	\$23,610	\$546	
Rigorous Hazard Identification	\$35,790	\$30,015	\$28,052	(\$1,963)	
Decisive Response	\$28,590	\$40,294	\$41,986	\$1,692	
Raising Awareness	\$10,096	\$8,542	\$8,930	\$388	
<b>Subtotal</b>	<b>\$113,253</b>	<b>\$114,500</b>	<b>\$116,425</b>	<b>\$1,925</b>	<b>1.7%</b>
<b>Relocation Funds:</b>					
Lab Modernization	\$2,120	--	--	--	
Potential Headquarter Relocation	--	--	\$6,000	\$6,000	
<b>Total All Funds</b>	<b>\$115,373</b>	<b>\$114,500</b>	<b>\$122,425</b>	<b>\$7,925</b>	<b>6.9%</b>
<b>Personnel Summary:</b>					
<b>Full-Time Equivalent</b>	<b>542</b>	<b>548</b>	<b>560</b>	<b>12</b>	

\* The \$114,500,000 includes \$114,000,000 in one-year funds and \$500,000 from two-year funds for Virginia Graeme Baker Pool and Spa Safety Act Grant program. In 2012, CPSC also has \$998,000 available for VGB grants carried over from the 2011 appropriation.

**TABLE 2**  
**2013 BUDGET: SUMMARY OF CHANGES**  
**FROM THE 2012 ENACTED BUDGET**

	\$ (in 000)
<b>FY 2012 Enacted</b>	<b>\$114,500</b>
<b>2013 Offsets and Reprioritization of Base Funds</b>	
Information Technology Infrastructure	(\$3,675)
Salary and Expense Rebalancing to priorities below	(\$700)
<b>Subtotal, Offsets and Reprioritization of Base Funds</b>	<b>(\$4,375)</b>
<b>2013 Reprioritized Increments and Net Additions</b>	
<b>Programs and Support</b>	
Import Surveillance: Operations, CBP Data and Analysis	\$2,610
Compliance investigations (CPSIA enforcement)	\$480
Exchanges with safety specialists from China and Canada	\$70
Addition of model number to <a href="http://www.CPSC.gov">www.CPSC.gov</a> database	\$350
Product samples management, fireworks destruction contracts	\$120
Current Services	\$300
<b>Information Technology (IT):</b>	
Continuity of Operations plans (site location and other requirements)	\$400
Applications support (Web, research, budget)	\$560
Document/records management system	\$360
Security improvements to address risks of cyber attacks	\$250
IT Operations and Maintenance	\$800
<b>Subtotal, 2013 Reprioritized Increments and Net Additions</b>	<b>\$6,300</b>
<b>FY 2013 Budget Request</b>	<b>\$116,425</b>
Headquarters relocation, pending GSA Decision (two-year funds)	\$6,000
<b>FY 2013 Total Request</b>	<b>\$122,425</b>
Change from FY12 (excluding Relocation)	\$1,925
Change from FY12 (with Relocation)	\$7,925

## PROGRAM AND FINANCING SCHEDULE

(DOLLARS IN THOUSANDS)

	<u>2011</u> <u>Actual</u>	<u>2012</u> <u>Enacted</u>	<u>2013</u> <u>Request</u>
<b>Obligations by Program Activity:</b>			
Leadership in Safety .....	14,444	12,585	13,847
Commitment to Prevention .....	24,333	23,064	23,610
Rigorous Hazard Identification .....	35,790	30,015	28,052
Decisive Response .....	28,590	40,294	41,986
Raising Awareness .....	10,096	8,542	8,930
Laboratory Modernization .....	2,120	0	0
Headquarters Relocation .....	0	0	6,000
Direct Program Activities, subtotal .....	<u>115,373</u>	<u>114,500</u>	<u>122,425</u>
Direct Program Activities, subtotal .....	115,373	114,500	122,425
Reimbursable Program .....	<u>3,056</u>	<u>3,400</u>	<u>3,500</u>
Total New Obligations .....	<u>118,429</u>	<u>117,900</u>	<u>125,925</u>
<b>Budgetary Resources:</b>			
Unobligated balance:			
Unobligated balance brought forward, Oct. 1 .....	4,123	998	0
Budget Authority:			
Appropriations, discretionary			
Appropriation .....	114,788	114,500	122,425
Spending Authority from offsetting collections, discretionary:			
Collected .....	3,056	3,400	3,500
Budget Authority (total) .....	<u>117,844</u>	<u>117,900</u>	<u>125,925</u>
Total budgetary resources available .....	121,967	118,898	125,925
Memorandum (nonadd) entries:			
Unobligated balance expiring .....	-2,540	0	0
Unexpired unobligated balance, end of year .....	998	0	0
<b>Change in obligated balance:</b>			
Obligated balance, start of year (net):			
Unpaid obligations, brought forward, Oct. 1(gross) .....	57,665	34,049	23,213
Obligations incurred, unexpired accounts .....	118,429	117,900	125,925
Obligations incurred, expired accounts .....	838	0	0
Outlays (gross) .....	-141,248	-128,736	-125,638
Recoveries of prior year unpaid obligations, expired .....	-1,635	0	0
Obligated balance, end of year (net):			
Unpaid obligations, end of year (gross) .....	34,049	23,213	23,501
<b>Budget authority and outlays, net:</b>			
Discretionary:			
Budget authority, gross .....	117,844	117,900	125,925
Outlays, gross:			
Outlays from new discretionary authority .....	92,994	98,092	104,745
Outlays from discretionary balances .....	48,254	30,644	20,892
Outlays, gross (total) .....	<u>141,248</u>	<u>128,736</u>	<u>125,638</u>
Offsets against gross budget authority and outlays:			
Offsetting collections (collected) from:			
Federal sources .....	-3,056	-3,400	-3,500
Budget authority, net (discretionary) .....	<u>114,788</u>	<u>114,500</u>	<u>122,425</u>
Outlays, net (discretionary) .....	146,828	125,336	122,138
Budget authority, net (total) .....	114,788	114,500	122,425
Outlays, net (total) .....	146,828	125,336	122,138

## OBJECT CLASSIFICATION SCHEDULE

(DOLLARS IN THOUSANDS)

	<u>2011</u> <u>Actual</u>	<u>2012</u> <u>Enacted</u>	<u>2013</u> <u>Request</u>
<b>Direct Obligations:</b>			
Personnel Compensation:			
11.1 Full-Time Permanent .....	\$50,228	\$51,443	\$53,001
11.3 Other than Full-Time Permanent .....	4,086	4,215	4,215
11.5 Other Personnel Compensation.....	862	868	868
11.8 Special Person Services Payment .....	49	0	0
11.9 Total Personnel Compensation .....	55,225	56,526	58,084
Personnel Benefits:			
12.1 Civilian .....	14,829	15,527	15,994
12.7 Federal Employees Compensation Act.....	145	0	0
13.0 Benefits for Former Personnel.....	2	10	10
Subtotal, Compensation and Benefits .....	70,201	72,063	74,088
21.0 Travel and Transportation of Persons .....	1,391	1,565	1,565
22.0 Transportation of Things .....	87	95	95
23.1 Rental Payments to GSA .....	6,271	8,021	8,106
23.2 Rental Payments to Others.....	8	1	1
23.3 Communication, Utilities and Miscellaneous Charges .....	1,361	685	685
24.0 Printing and Reproduction .....	483	301	301
25.1 Advisory and Assistance Services .....	525	202	202
25.2 Other Services.....	21,683	24,076	23,786
25.3 Purchases from Other Federal Agencies .....	3,655	2,339	8,444
25.4 Operation and Maintenance of Facilities .....	1,593	333	333
25.5 Research and Development.....	856	2,000	2,000
25.7 Operation and Maintenance of Equipment .....	1,639	731	731
26.0 Supplies and Materials.....	1,059	577	577
31.0 Equipment.....	4,557	1,507	1,507
42.0 Insurance Claims and Indemnities .....	4	4	4
99.0 Subtotal, Direct Obligations.....	115,373	114,500	122,425
<b>Reimbursable Obligations:</b>			
11.1 Full-Time Permanent .....	17	0	0
12.1 Civilian .....	4	0	0
21.0 Travel and Transportation of Persons .....	43	0	0
25.0 Other Services.....	2,992	3,400	3,500
Subtotal, Reimbursable Obligations .....	3,056	3,400	3,500
99.9 Total Obligations .....	118,429	117,900	125,925

## PERSONNEL SUMMARY

**Direct:**

Total Compensable Work Years:

Full-Time Equivalent Employment .....	542	548	560
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## INSPECTOR GENERAL (IG) BUDGET REQUEST (DOLLARS IN THOUSANDS)

In compliance with P.L. 110-409, the Inspector General Reform Act of 2008, the following information is presented:

<b>Resource</b>	<b>2011 <u>Actual</u></b>	<b>2012 <u>Enacted</u></b>	<b>CPSC 2013 <u>Request</u></b>
FTEs.....	6.5	7	8
Compensation .....	\$792.0	\$861.6	\$1,044.5
Contracts .....	\$59.2	\$100.0	\$100.0
Operating Costs.....	\$2.3	\$15.9	\$23.7
Training.....	\$12.3	\$15.0	\$16.0
IG Council Contribution .....	\$ .9	\$3.0	\$3.4
<b>Total Amount</b> .....	<u>\$866.7</u>	<u>\$995.5</u>	<u>\$1,199.1</u>

The CPSC Inspector General certifies that the amount requested for training satisfies all known IG training requirements for fiscal year 2013.

## ACRONYMS

ACE	Automated Commercial Environment
ANPR	Advance Notice of Proposed Rulemaking
ANSI	American National Standards Institute
ASTM	ASTM International, formerly American Society for Testing and Materials
ATV	All-Terrain Vehicle
CBP	Customs and Border Protection
CDC	Centers for Disease Control and Prevention
CEIN	Centers for Environmental Implications of Nanotechnology
CFR	Code of Federal Regulations
CHAP	Chronic Hazard Advisory Panel
CO	Carbon Monoxide
COTS	Commercial Off-the-Shelf
CPSA	Consumer Product Safety Act
CPSC	Consumer Product Safety Commission
CPSIA	Consumer Product Safety Improvement Act of 2008
EEO/AEP	Equal Employment Opportunity/Affirmative Employment Program
EPA	Environmental Protection Agency
EWS	Early Warning System
FFA	Flammable Fabric Act
FR	Flame Retardant
FTE	Full-Time Equivalent
FY	Fiscal Year
GSA	General Services Administration
IAG	Interagency Agreement
ICPHSO	International Consumer Product Health & Safety Organization
ICPSC	International Consumer Product Safety Caucus
IG	Inspector General
IT	Information Technology
ITDS	International Trade Data System
LOA	Letter of Advice
NEISS	National Electronic Injury Surveillance System
NIOSH	National Institute for Occupational Safety and Health
NIST	National Institute of Standards and Technology
NLM	National Library of Medicine
NNI	National Nanotechnology Initiative
NPR	Notice of Proposed Rulemaking
NPTEC	National Product Testing and Evaluation Center
NSF	National Science Foundation
NSN	Neighborhood Safety Network
OECD	Organization for Economic Cooperation and Development
OPM	Office of Personnel Management
PPPA	Poison Prevention Packaging Act
RIP	Reduced Ignition Propensity
ROV	Recreational Off-Highway Vehicle
SDO	Standards Development Organization
TLC	Temperature Limiting Control
UL	Underwriters Laboratories, Inc.
VGB Act	Virginia Graeme Baker Pool and Spa Safety Act
20XX	Years mentioned refer to fiscal years except for deaths, injuries and associated property losses, which are on a calendar year basis.



**U.S. CONSUMER PRODUCT SAFETY COMMISSION  
BETHESDA, MD 20814**