



United States International Trade Commission

Annual Performance Plan, FY 2019–2020 and Annual Performance Report, FY 2018



Contents

Abbreviations and Acronyms	iii
Message from the Chairman	v
FY 2019 and 2020 Annual Performance Plan and FY 2018 Annual Performance Report	1
Mission Statement	1
Agency Information	1
Overview	1
Organizational Structure	4
Major Management Priorities, Challenges, and Risks	5
Reviews and Evaluations	6
Structure of the Report	7
Strategic Goal 1 Investigate and Decide: Make Sound, Objective, and Timely Determinations in Trade Remedy Proceedings	8
Strategic Objective 1.1 Reliable Process: Conduct expeditious and sound investigative proceedings	8
Strategic Objective 1.2 Clear Proceedings: Promote transparency and understanding of investigative proceedings	20
Strategic Goal 2 Inform: Provide Independent, Objective, and Timely Analysis and Information on Tariffs, Trade, and Competitiveness	30
Strategic Objective 2.1 Innovation: Improve analysis and information	30
Strategic Objective 2.2 Communication: Engage and respond to inform and support decision-making on U.S. trade matters	36
Management Goal Manage: Efficiently and Effectively Advance the Agency's Mission	46
Management Objective M1.1 People: Attract and develop a skilled, diverse, and flexible workforce	46
Management Objective M1.2 Money: Ensure good stewardship of taxpayer funds	54
Management Objective M1.3 Technology: Identify, deliver, and secure reliable enterprise information systems	61

Management Objective M1.4 Operational Effectiveness: Evaluate and improve processes and communication	69
Appendix A International Trade Commission Staff Offices	81
Appendix B Performance Data Sources	84
Appendix C Selected Workload Trends	104

Abbreviations and Acronyms

Acronyms	Term
AD/CVD	antidumping/countervailing duty
ALJ	Administrative Law Judge
AMCA	American Manufacturing Competitiveness Act of 2016
ATO	authority to operate
CAO	Chief Administrative Officer
CBP	U.S. Customs and Border Protection (DHS)
CCM	Cost Center Manager
CIO	Chief Information Officer
CFO	Chief Financial Officer
Commission	U.S. International Trade Commission
COR	Contracting Officer's Representative
DataWeb	Interactive Tariff and Trade Data System
DHS	Department of Homeland Security
EC	Office of Economics
EDIS	Electronic Document Information System
ER	Office of External Relations
ERM	enterprise risk management
FIN	Office of Finance
GC	Office of the General Counsel
GPRA	Government Performance and Results Act
HR	Office of Human Resources
HTS	Harmonized Tariff Schedule of the United States
ID	initial determination
IG	Inspector General
IND	Office of Industries
INV	Office of Investigations
IT	information technology
MTB	miscellaneous tariff bill
MTBPS	Miscellaneous Tariff Bill Petition System
NAFTA	North American Free Trade Agreement
NTM	nontariff measure
OALJ	Office of the Administrative Law Judges
OARS	Office of Analysis and Research Services
OAS	Office of Administrative Services
OB	Office of Budget
OCFO	Office of the Chief Financial Officer
OCIO	Office of the Chief Information Officer
OEEEO	Office of Equal Employment Opportunity
OIG	Office of Inspector General

Acronyms	Term
OMB	Office of Management and Budget
OP	Office of Operations
OUII	Office of Unfair Import Investigations
PR	Office of Procurement
SE	Office of the Secretary
SSS	Office of Security and Support Services
TATA	Office of Tariff Affairs and Trade Agreements
TBT	technical barriers to trade
TRAO	Trade Remedy Assistance Office
URAA	Uruguay Round Agreements Act
USITC	U.S. International Trade Commission
USTR	U.S. Trade Representative
WCO	World Customs Organization
WTO	World Trade Organization

Message from the Chairman

I am pleased to transmit the U.S. International Trade Commission's Annual Performance Plan for FY 2019–2020 and the Annual Performance Report for FY 2018. This combined report describes the agency's programmatic and management goals for FY 2019 and FY 2020, documents our performance and accomplishments for FY 2018, and discusses challenges going forward.

The Commission has critical responsibilities in international trade. First, it adjudicates trade disputes by determining whether unfairly and in some cases, - fairly traded imports - are injuring or are likely to injure a domestic industry, or whether imports infringe U.S. intellectual property rights. Second, it contributes to U.S. trade policy development by providing the President, the U.S. Trade Representative (USTR), and Congress with insightful and objective assessments of international trade agreements, preferential trade agreements, and other trade issues. Third, it facilitates trade by maintaining the Harmonized Tariff Schedule of the United States.

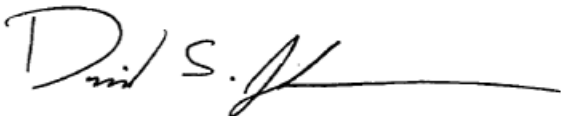
I provide a brief overview of the Commission's key accomplishments in FY 2018 below:

Key Accomplishments in FY 2018

- In FY 2018, the Commission completed 60 investigations and reviews under Title VII of the Tariff Act of 1930. In these proceedings, the Commission determines whether dumped or subsidized imports have materially injured, or are likely to cause material injury, to a domestic industry. The Commission also completed two safeguard investigations. During the year, these proceedings covered a wide range of products, such as different types of aluminum, iron, and steel products; ferroalloys such as silicon metal and silicomanganese; biodiesel; chemicals; textile products; agriculture products including ripe olives and fresh tomatoes; high tech and consumer goods including solar cells, large civil aircraft, and residential washers; other manufactured goods, such as wind towers and large power transformers; office supplies, such as staples and rubber bands; and wood and paper products such as softwood lumber, hardwood plywood, multilayered wood flooring, and uncoated groundwood paper. During the year, the Commission continued its efforts to streamline its investigative proceedings and reduce burdens on parties by refining its use of electronic data collection and analysis.
- In FY 2018, the Commission adjudicated 61 disputes under Section 337 of the Tariff Act of 1930. In these disputes, the Commission determines whether imports have infringed intellectual property rights or injured a domestic industry through unfair competition or other unfair acts such as trade secret misappropriation. These investigations are demanding, complex and often involve multiple parties, large numbers of patents and/or patent claims. Moreover, they often cover a wide range of technologies and products, such as mobile devices, tablets and other computer and telecommunication products, digital video receivers, LED lighting, height adjustable desks, packaging for fresh produce, fuel pumps, intraoral scanners, various types of beverage containers, amorphous metals, gaming consoles and jump ropes, among other products.

- During the year, the Commission continued to work to reduce the length of 337 investigations and proceedings. Going forward, the Commission plans to implement electronic service of documents and develop additional ways to make information in section 337 investigations more accessible to the public.
- In FY 2018, drawing on its economic modeling expertise and extensive international trade and industry knowledge, the Commission provided state-of-the-art economic analyses to the President, the USTR and Congress. These investigations covered a variety of topics, such as recent developments in U.S. trade and investment with sub-Saharan Africa, possible modifications to the Generalized System of Preferences, and advice on modifications to duty rates for certain motor vehicles under the U.S.-Korea Free Trade Agreement. In addition, the agency compiled the 2018 Harmonized Tariff Schedule and implemented an above average number of updates.
- During FY 2018, the Commission also took important steps to ensure that it used taxpayer dollars efficiently. Over the course of the fiscal year, the Commission improved the quality of its information collection process and analytic methodologies and worked to improve the timeliness of its determinations. The Commission also made significant improvements in its information technology security, human resources administration, and the management of its financial resources.
- In FY 2018, the Commission continued to improve internal controls for programmatic, administrative, and financial activities. By doing so, the Commission is better able to ensure that it expends government resources effectively and that its programmatic, administrative and financial reports contain accurate and complete information. In this regard, the agency continued to refine its enterprise risk management framework and to integrate further enterprise risk management into its planning and budgeting processes.
- Finally, we are proud that, in 2018, the Commission was again ranked as the second best small federal agency to work for, based on OPM's Federal Employee Viewpoint Survey.

During the past year, the Commission and its staff have excelled in carrying out our mission. Despite a very heavy workload in all of the agency's mission critical areas, the Commission met its deadlines and received positive feedback. I expect the Commission to continue to provide high-quality, cutting-edge analysis of international trade issues to the President and Congress, and to remain a highly regarded forum for the adjudication of intellectual property and trade disputes in the coming years.

A handwritten signature in black ink, appearing to read "David S. Johanson", followed by a long horizontal flourish.

David S. Johanson
March 18, 2019

FY 2019 and 2020 Annual Performance Plan and FY 2018 Annual Performance Report

The U.S. International Trade Commission's combined Annual Performance Plan and Annual Performance Report is based on the FY 2018–FY 2022 Strategic Plan. This report describes the specific performance goals and strategies we have laid out to make progress on our strategic goals and strategic objectives through FY 2022. It also compares our FY 2018 results with the performance goals we published in our FY 2018 Annual Performance Plan. Our planning process is carried out in accordance with the provisions of the Government Performance and Results Act of 1990 (GPRA), as amended by the GPRA Modernization Act of 2010, and related guidance from the Office of Management and Budget.

Mission Statement

Investigate and make determinations in proceedings involving imports claimed to injure a domestic industry or violate U.S. intellectual property rights; provide independent analysis and information on tariffs, trade and competitiveness; and maintain the U.S. tariff schedule.

Agency Information

Overview

International trade and investment affect the U.S. and global economies. Tariffs, non-tariff measures, trade disputes, and trade remedy actions can all influence the level and composition of global investment and trade. In addition, changes in technology have allowed firms to adjust their supply chains here and in other countries to improve competitiveness. Besides affecting the overall economy, trade and investment policy changes can have significant local effects on industries, workers, and consumers.

By law, the Commission analyzes the many ways that changes in trade and competitiveness affect U.S. economic growth, employment, and overall health of the U.S. economy. As an independent, nonpartisan agency, each year we fulfill our mandate to provide the House Committee on Ways and Means, the Senate Committee on Finance, the President, and, by delegation, the U.S. Trade Representative (USTR) with independent, objective, and timely analysis on trade and competitiveness issues. We deploy substantial expertise to supply objective, accurate, leading-edge insights to Congress and the Administration. Our reports reflect our capabilities in understanding, explaining, and estimating the effects of policy changes on producers, consumers, workers, and the U.S. economy as a whole.

The Commission also has specific responsibilities in the application of U.S. trade remedy laws. As the influence of trade in the U.S. and global economies has grown, the role we play in applying these laws to allegations of unfair trade has remained a mechanism on which U.S. firms can rely to ensure foreign firms are competing fairly. Our statutory obligation to timely determine import injury investigations contributes to the confidence of U.S. companies and workers in a fair and impartial international trading system. U.S. industries value timely resolution of allegations of unfair acts in import trade, such as complex intellectual property disputes. We also assist U.S. Customs and Border Protection (CBP), as needed, to support effective enforcement of Commission exclusion orders and antidumping, and countervailing duty orders.

Since its founding in 1916, the Commission has had a major role in maintaining and analyzing the nation's tariff schedule. Since 1988, we have been responsible for maintaining the official legal document that specifies the appropriate tariffs, if any, that apply to all imported goods. We ensure that the tariff schedule is up to date and accurate, reflecting all implemented trade agreements. We also chair the interagency Committee for Statistical Annotation of the Tariff Schedules. These efforts facilitate international trade by contributing to efficient clearance of goods through the nation's 328 ports of entry, enabling the accurate collection of tariff revenues, and permitting the collection and reporting of the nation's trade statistics. In an environment of rapidly changing technology and products, our representation of the United States at the World Customs Organization and our timely maintenance of the U.S. tariff schedule serve to improve the quality of trade information.

Our key statutory responsibilities are shown in box 1.1.

Box 1.1 Key statutory responsibilities**Tariff Act of 1930**

The Commission and the U.S. Department of Commerce (Commerce) are responsible for conducting antidumping (AD) and countervailing duty (CVD) (subsidy) investigations and five-year (sunset) reviews. Commerce determines whether specific imports are dumped or subsidized, and if so, the margin of dumping or amount of subsidy. The Commission determines whether a U.S. industry is materially injured or threatened with material injury by reason of the imports under investigation. If both Commerce and the Commission reach affirmative final determinations, Commerce will issue an antidumping duty order to offset the dumping or a countervailing duty order to offset the subsidy. (See Title VII, Tariff Act of 1930, 19 U.S.C. 1671 et seq.)

The Commission investigates unfair methods of competition and unfair acts involving imported articles, including infringement of U.S. patents, trademarks, and copyrights. If a violation is found, the Commission may issue a remedial order, typically an exclusion order, directing U.S. Customs and Border Protection (CBP) to prohibit the importation of infringing articles. (See section 337, Tariff Act of 1930, 19 U.S.C. 1337.)

Under section 332, the Commission investigates a wide variety of trade matters. Upon request from the House Committee on Ways and Means, the Senate Committee on Finance, or the President, and, by delegation, the U.S. Trade Representative (USTR), or upon its own motion, the Commission conducts fact-finding investigations and prepares reports on matters involving tariffs or international trade. (See section 332, Tariff Act of 1930, 19 U.S.C. 1332.)

The Commission also cooperates with the Secretary of the Treasury and the Secretary of Commerce to establish statistical subdivisions of the Harmonized Tariff Schedule (HTS) for articles imported into the United States and seeks to ensure that these statistical subdivisions are compatible with domestic statistical programs. (See section 484(f), Tariff Act of 1930, 19 U.S.C. 1484(f).)

Trade Act of 1974

The Commission advises the President as to the probable economic effect on domestic industries and consumers of modification of duties and other barriers to trade that may be considered for inclusion in any proposed trade agreement with foreign countries. (See section 131, Trade Act of 1974, 19 U.S.C. 2151.)

At times, certain articles may be designated as eligible for duty-free treatment when imported from designated developing countries. The Commission advises the President as to the probable economic effect on the domestic industry and on consumers of such designations. (See sections 131 and 503, Trade Act of 1974, 19 U.S.C. 2151, 2163.)

The Commission conducts “safeguard” investigations under section 202 of the Trade Act of 1974 concerning whether an article is being imported into the United States in such increased quantities as to be a substantial cause of serious injury, or the threat thereof, to the domestic industry producing a like or directly competitive article. (See 19 U.S.C. 2252.)

Omnibus Trade and Competitiveness Act of 1988

The Commission is responsible for compiling and publishing the HTS and for keeping it under review. The Commission is also responsible for recommending to the President modifications it considers necessary or appropriate to conform the HTS with amendments to the HS Convention, to ensure that the HTS is kept up to date, and to relieve unnecessary administrative burdens. (See section 1205, Omnibus Trade and Competitiveness Act of 1988, 19 U.S.C. 3005.)

Along with the Departments of Treasury and Commerce, the Commission is responsible for representing the U.S. government concerning the activities of the Customs Cooperation Council (now the World Customs Organization Council, or WCO) relating to the Harmonized System (HS) Convention covering the international classification of traded goods. We also work with the Departments of Treasury and Commerce to formulate U.S. government positions on technical and procedural issues relating to the Convention. (See section 1210, Omnibus Trade and Competitiveness Act of 1988, 19 U.S.C. 3010.)

Bipartisan Congressional Trade Priorities and Accountability Act of 2015

Under the Bipartisan Congressional Trade Priorities and Accountability Act of 2015, the Commission provides the President and the Congress with reports that assess the likely impact of trade agreements entered into with foreign countries. These reports assess an agreement’s impact on the U.S. economy as a whole, on specific sectors of the economy, and on the interests of U.S. consumers. (See section 105(c), Bipartisan Congressional Trade Priorities and Accountability Act of 2015, 19 U.S.C. 4204.)

American Manufacturing Competitiveness Act of 2016

The AMCA directed the Commission to create a system and processes to allow entities to request temporary duty suspensions or reductions and to provide for public comment on these requests. The Commission, with input from the Department of Commerce and other executive branch agencies, is required to review these requests and provide preliminary and final reports to the Congress recommending what action should be taken on these petitions.

Organizational Structure

Commissioners

The USITC is headed by six commissioners, who are nominated by the President and confirmed by the U.S. Senate. David S. Johanson, the senior Republican, is serving as Chairman of the Commission by operation of law. As of the date of issuance of this report, the Commission has no Vice Chairman. Other commissioners currently serving are, in order of seniority, Irving A. Williamson, Meredith M. Broadbent, Rhonda K. Schmidtlein, and Jason E. Kearns.¹

Each commissioner serves a term of nine years, unless appointed to fill an unexpired term. The terms are set by statute and are staggered such that a different term expires every 18 months.² A commissioner who has served for more than five years is ineligible for reappointment. A commissioner may, however, continue to serve after the expiration of his or her term until a successor is appointed and qualified. No more than three commissioners may be members of the same political party. The Chairman and the Vice Chairman are designated by the President and serve for a statutory two-year term. The Chairman may not be of the same political party as the preceding Chairman, nor may the President designate two commissioners of the same political party to serve as the Chairman and Vice Chairman. Currently three Democrats and two Republicans serve as commissioners.

USITC Staff

Our staff is organized into offices designed to support our mission. These include:

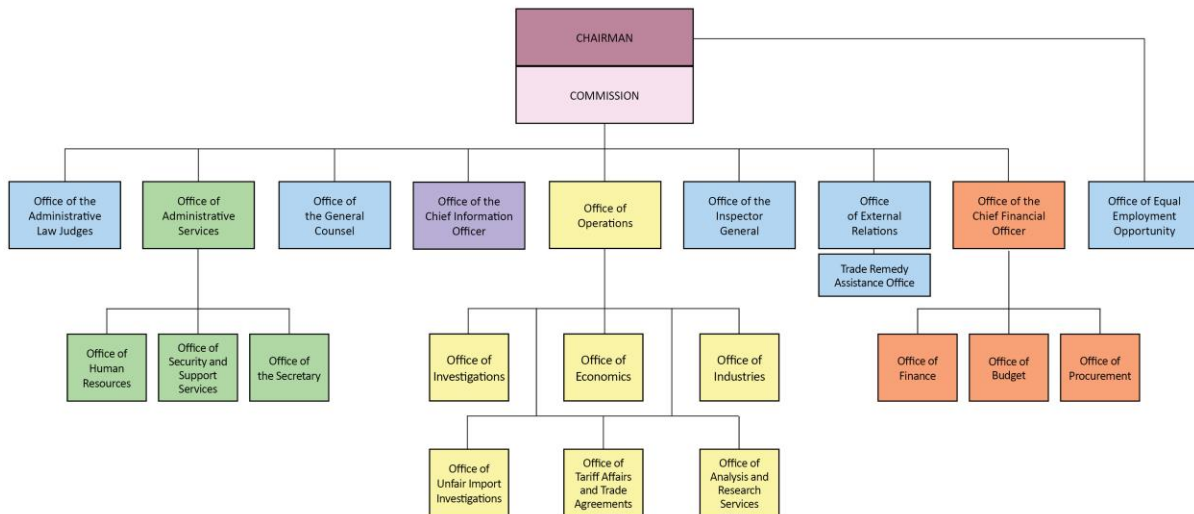
- Office of Operations (OP), and its subordinate Offices of Investigations (INV), Industries (IND), Economics (EC), Tariff Affairs and Trade Agreements (TATA), Unfair Import Investigations (OUII), and Analysis and Research Services (OARS);
- Office of the Administrative Law Judges (OALJ);
- Office of the General Counsel (GC);
- Office of External Relations (ER), which also houses the Trade Remedy Assistance Office (TRAQ);
- Office of the Chief Financial Officer (OCFO), and its subordinate Offices of Budget (OB), Finance (FIN), and Procurement (PR);
- Office of the Chief Information Officer (OCIO);
- Office of Administrative Services (OAS), and its subordinate Offices of the Secretary (SE), Human Resources (HR), and Security and Support Services (SSS);
- Office of Inspector General (OIG); and
- Office of Equal Employment Opportunity (OEEO).

See appendix A for more information on the individual offices of the USITC.

¹ Currently, there is one vacancy.

² 19 U.S.C §1330.

UNITED STATES INTERNATIONAL TRADE COMMISSION
Office-Level Organizational Chart



Major Management Priorities, Challenges, and Risks

The Commission recognizes the importance of improving the use of agency resources by continuing to include a management goal—“efficiently and effectively advance the agency’s mission”—in its FY 2018–2022 Strategic Plan. The plan highlights four priority areas: human resources, financial management, information technology, and operational effectiveness. Our priority areas and specific annual performance goals align well with various government-wide initiatives such as improving mission-support operations, strengthening cybersecurity, enhancing enterprise risk management, and ensuring open data. They also address government-wide challenges identified by the Government Accountability Office (GAO) pertaining to human capital management and IT acquisitions and operations. The Commission’s Inspector General (IG) has identified three management challenges: managing data, internal control, and IT management.

The IG noted that properly managed data are essential for the development of timely, reliable, and accurate reporting. Properly designed reports with relevant and timely information serve to help effectively manage day-to-day operations, support the decision-making process, evaluate performance, and communicate information across the organization. Furthermore, the IG noted that the Commission continues to recognize the importance of having strong internal controls and has taken action to address internal control weaknesses. The IG also noted that the Commission has shown continued commitment towards improving its enterprise risk management efforts and encouraged the Commission to continue these efforts. The

Commission has identified and begun to implement business systems that will automate and improve the effectiveness of the Commission's operations. These new systems include developing an integrated data system that covers Title VII and section 337 investigations, cataloging external administrative reports in a manageable database, and modernizing the Harmonized Tariff Schedule business processes and information systems.

Several of the annual performance goals supporting our strategic goals are designed to address these challenges, by focusing on improving cybersecurity and IT services, increasing access to various types of program and financial data to support our managers' decision making, and continuing efforts to update and improve internal controls. During FY 2018 and early FY 2019 we made significant progress. Notably, we strengthened our cybersecurity posture, completed important milestones to modernize our data center infrastructure, and continued to use business intelligence software to improve our reporting capabilities. Moreover, we received our eighth consecutive unmodified opinion from financial auditors operating independently under the authority of the IG. In FY 2019, we expect to continue to improve access to program and financial data to provide more than the basic financial management reports to agency managers.

Reviews and Evaluations

Each quarter, the commissioners, the leaders of each strategic or management objective, and other senior staff review progress on our strategic and management objectives and identify and discuss enterprise risks. These reviews, along with the evidence related to specific performance goals and associated risks identified by our managers, inform the development of our Annual Performance Plan and Congressional Budget Justification. We continue to evaluate how to improve our planning and enterprise risk management (ERM) processes and how to make more effective use of the data we collect. In FY 2018, we made significant progress on all of our strategic and management objectives. Appendix B describes our data sources for each of the strategic and management objectives, as well as our verification and validation process.

The President's Budget identifies the lower-priority program activities, as required under the GPRA Modernization Act, 31 U.S.C. § 1115(b) (10).

The public can access the volume at: www.whitehouse.gov/omb/budget.

Structure of the Report

The remainder of this report consists of three sections:

- **Strategic Goal 1: Investigate and Decide: Make Sound, Objective, and Timely Determinations in Trade Remedy Proceedings**
- **Strategic Goal 2: Inform: Provide Independent, Objective, and Timely Analysis and Information on Tariffs, Trade, and Competitiveness**
- **Management Goal: Manage: Efficiently and Effectively Advance the Agency's Mission**

Each section describes objectives and corresponding performance goals through FY 2020 along with the strategies used to make progress on these goals. The sections also highlight significant accomplishments, as well as areas in which we did not meet our annual targets, and list areas in which we will seek to improve performance in FY 2019 and future years.

Strategic Goal 1

Investigate and Decide: Make Sound, Objective, and Timely Determinations in Trade Remedy Proceedings

Commission determinations involving imports can affect competitive conditions, profitability, and employment in affected U.S. industries. The Commission's investigations often involve products that are critical to U.S. productivity, innovation, and competitiveness, and businesses may make important decisions as a result of Commission determinations. These investigations are generally requested by private sector entities, including businesses and trade associations operating in the United States, though petitions may also be filed by a labor union or by the Department of Commerce.

The Commission is responsible for administering and applying several U.S. trade remedy laws. These laws cover subsidized and dumped imports that injure U.S. industries; increased fairly traded imports that injure a domestic industry; and imports that infringe a domestic intellectual property right or otherwise unfairly injure a domestic industry. U.S. laws, court decisions, and U.S. international obligations require the Commission to reach its determinations based on transparent procedures and a well-developed record. The Commission, Administrative Law Judges, and Commission staff must consistently perform thorough investigations and make sound factual findings and legal conclusions. The record in each investigation must be developed and analyzed in an objectively unbiased manner, and the resulting determinations must be well-reasoned, timely, and consistent with the law. These efforts are challenged by the increasing complexity of our investigations, our heavy caseload, and resource constraints.

In FY 2018, our workload for import injury investigations was challenging, as the Commission completed two global safeguard investigations and the final phases of investigations stemming from petitions filed in FY 2017. For unfair import investigations, the Commission saw the highest level of active investigations in any previous fiscal year. See appendix C for more details.

Strategic Objective 1.1

Reliable Process: Conduct expeditious and sound investigative proceedings

The Commission is charged with conducting prompt, thorough, and independent investigations and engaging in sound decision making. Parties to our proceedings, which range from individual inventors or small businesses to large multinational corporations, seek reliable processes that ensure fair and timely decisions consistent with applicable U.S. law. Timely decisions are critical to our mission because our import injury investigations have specific statutory deadlines, and Congress requires the Commission to resolve section 337 investigations at the earliest practicable time. Moreover, participants in our investigations need timely decisions to relieve

the business uncertainties engendered by these disputes. Further, timely Commission determinations may affect U.S. business operations where fast-changing technology makes products obsolete in just a few years. For all these reasons, we have developed this strategic objective to ensure that our investigative and decision-making processes are expeditious and technically sound.

We will use a number of strategies to meet this strategic objective. First, we will ensure that Commission determinations are based on sufficient record evidence by examining feedback from agency decision makers as well as decisions of reviewing courts. Next, we will continue our efforts to meet external deadlines—for example, by delivering all import injury reports by the statutory deadlines. We also aim to shorten the average length of section 337 investigations, as well as to track the average length of time of investigation proceedings before the Administrative Law Judge and before the Commission to see whether procedural improvements can be made to shorten these two phases of an investigation. We will also complete ancillary proceedings within specified guidelines.

Furthermore, we are improving the efficiency of key labor-intensive investigative processes, such as processing data from the questionnaires that we send to market participants and collecting data on lost sales and lost revenue. In addition, we will continue to find and implement ways to reduce the costs to parties of participating in our proceedings.

This past fiscal year, we met most of the performance goals we set for Strategic Objective 1.1. We made strides in assessing whether various procedures increased efficiencies or reduced costs to parties. We continue to evaluate these programs and use the assessments to measure whether certain programs are helping us to meet our strategic objective.

The increasing and sustained high levels of investigative caseload over the last several years may make it difficult to achieve this strategic objective. We cannot control the number, timing, or breadth of investigation requests we receive. By statute, we must respond to investigation requests within a set time, potentially impacting progress on this objective.

The leader for this strategic objective is the Director of the Office of Unfair Import Investigations (OUII). The specific performance goals are set forth and summarized below.

Performance goal 1.11

Conclude investigations into alleged section 337 violations within timeframes that are consistent with the Uruguay Round Agreements Act implementing report by FY 2022^a

	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
Target (months) ^b	—	—	—	—	—	15
Results (months)	15.1	15.85	Pending	Pending	Pending	Pending
Status	On track to meet target	On track to meet target	Pending	Pending	Pending	Pending

^a S. Rep. No. 103–412, at 119 (1994).

^b Before FY 2016, the target was “12 months for uncomplicated investigations; 18 months for complicated ones.” See discussion in text below.

Performance indicator: annual average length of investigations concluded on the merits.

Other indicators relevant to the performance indicator:

- number of original investigations and ancillary proceedings instituted per fiscal year
- number of co-pending investigations
- number of subpoenas that are enforced

Table 1 Historical data

	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Annual average length of investigations concluded on the merits (in months)	18.4	13.7	16.5	19.7	17.1	15.6	15.8

Performance goal 1.11 is directed to shortening the average length of section 337 investigations. Specifically, we are seeking to reduce the average length of these investigations to 15 months by FY 2022. In FY 2018, we were above our goal average target date length at 15.85 months.

This year the Commission worked to try to resolve all investigations by the target date. We will continue to work towards reducing the average length of investigations on the merits while also providing technically sound determinations in all investigations. Various factors such as novel legal issues, unfair act claims of first impression, multiple new complaints filed closely together and overall caseload continue to have a significant impact on investigation length.

Performance goal 1.11(a)

FY 2014

Analyze section 337 investigation data and prepare report for Commission identifying possible steps to shorten average target dates

	FY 2014
Target	Completion of report
Results	Report completed
Status	Target met

Performance indicator: Report to Commission.

FY 2015

Develop most promising proposals from report to the Commission and prepare implementation plan by the end of FY 2015

FY 2015	
Target	Plan prepared for implementation
Results	Implementation plan developed
Status	Target met

Performance indicator: Implementation plan.

FY 2016

Implement most promising proposals from report to Commission by the end of FY 2016

FY 2016	
Target	Proposals implemented
Results	Proposals not implemented, but significant progress made
Status	Target not met

Performance indicator: Implementation of proposals.

FY 2017

Continue to implement promising proposals from FY 2015 report to Commission by the end of FY 2017

FY 2017	
Target	Proposals implemented
Results	Proposals not implemented, but significant progress made
Status	Target not met

Performance indicator: implementation of proposal (rulemaking).

FY 2018

Develop criteria to assess whether implemented proposals have been effective

FY 2018	
Target	Assessment criteria developed
Results	Criteria developed
Status	Target met

Performance indicator: Assessment criteria.

FY 2019–FY 2020

Assess whether implemented proposals have been effective

FY 2019		FY 2020
Target	Complete assessment and provide proposal, if warranted	Complete assessment and provide proposal, if warranted
Results	Pending	Pending
Status	Pending	Pending

Performance indicator: Assessment; proposal.

Our staff continued to focus in FY 2018 on ways to reduce the length of investigations through other means. This fiscal year, the Commission promulgated new rules regarding splitting up (“severing”) investigations based on complaints that involve multiple technologies or unrelated patents. In the coming year, we will be assessing how this new rule impacts the caseload and whether it helps reduce the length of investigations. Another new rule codifies an existing pilot program whereby the Commission orders the ALJs to decide a potentially dispositive issue (an issue that would resolve the entire case) within the first 100 days of an investigation. This new rule will be assessed under Performance goal 1.11(b).

Performance goal 1.11(b)

FY 2014

Establish criteria for assessment of section 337 early disposition pilot program

FY 2014	
Target	Criteria established
Results	Criteria established
Status	Target met

Performance indicator: Assessment criteria.

FY 2015

Measure effectiveness of early disposition pilot program

FY 2015	
Target	Information assessed
Results	Information assessed
Status	Target met

Performance indicator: Assessment of effectiveness.

FY 2016

Measure effectiveness of early disposition pilot program and implement changes if appropriate

FY 2016	
Target	Information assessed; improvements implemented
Results	Recommendations made
Status	Target met

Performance indicator: Assessment of effectiveness.

FY 2017

Measure effectiveness of early disposition program and implement changes if appropriate; consider developing mechanism to assess any other impacts of program

FY 2017	
Target	Information assessed; improvements implemented; mechanism developed
Results	Assessment completed and recommendations made
Status	Target met

Performance indicator: Report on assessment of effectiveness.

FY 2018–FY 2020

Measure effectiveness of early disposition program and implement changes if appropriate

	FY 2018	FY 2019	FY 2020
Target	Information assessed; improvements implemented	Information assessed; improvements implemented	Information assessed; improvements implemented
Results	Assessment completed, recommendations made, changes implemented	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Report on assessment of effectiveness.

In FY 2013, we launched two pilot programs aimed at reducing the length of section 337 investigations, increasing their efficiency, and lowering the cost of discovery in these investigations. The first program is the early disposition program, in which the Commission may direct the ALJ in an investigation to make findings on certain potentially dispositive issues within the first 100 days after the investigation is instituted. Examples of such issues include standing or the statute's domestic industry requirement. The second program is designed to ensure more efficient discovery (the process in which parties disclose required evidence to each other). In certain investigations, the ALJs require the parties to agree on certain threshold issues regarding electronic discovery early in the investigation and to make key initial disclosures as part of the procedural schedule.

During FY 2014, Commission staff identified assessment criteria for measuring whether these two programs are effective (1) in reducing the number of motions relating to electronic discovery and initial disclosures or (2) in resolving investigations early. In FY 2018, the Commission again used these criteria to measure the effectiveness and efficiency of these programs.

With regard to the electronic discovery and initial disclosure pilots, with five years of data the Commission is reviewing recommendations from the Office of Unfair Import Investigations to expand the pilot program or determine whether a rulemaking would be effective. With regard to the early disposition program, new rules were promulgated converting this pilot into a Commission Rule of Practice and Procedure. The Commission has determined to continue to evaluate the effectiveness of this procedure and continue to promote processes to make the Commission's application of this program more transparent. In FY 2019, we will continue to assess the effectiveness of the early disposition program using the criteria developed to monitor the pilot and will add additional criteria to monitor other aspects of the program.

Performance goal 1.11(c)

FY 2014

Establish criteria for assessment of section 337 e-discovery case management pilot program

	FY 2014
Target	Criteria established
Results	Criteria established
Status	Target met

Performance indicator: Assessment criteria.

FY 2015

Measure effectiveness of e-discovery case management and initial disclosure case management pilot program

	FY 2015
Target	Complete initial evaluation of pilot programs
Results	Initial evaluation completed
Status	Target met

Performance indicator: Assessment criteria.

FY 2016–FY 2020

Measure effectiveness of e-discovery case management and initial disclosure case management programs and implement improvements to these programs if appropriate

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	Programs assessed; improvements implemented	Programs assessed; improvements implemented	Programs assessed; improvements implemented	Programs assessed; improvements implemented	Programs assessed; improvements implemented
Results	Recommendations made	Recommendations made	Recommendations made	Pending	Pending
Status	Target met	Target met	Target met	Pending	Pending

Performance indicator: Assessment criteria.

Note: The initial disclosure case management program was a pilot program in FY 2016.

Performance goal 1.11(d)

Improve average time between section 337 Final ALJ Initial Determination (ID) and completion of Commission review

	FY 2018	FY 2019	FY 2020
Target	Average length of time between Final ID and completion of Commission review is less in FY 2018 than it was in FY 2017	Average length of time between Final ID and completion of Commission review is less in FY 2019 than it was in FY 2018	Average length of time between Final ID and completion of Commission review is less in FY 2020 than it was in FY 2019
Result	4.51 months (less than the 5 month average in FY 2017)	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Number of months between Final ID and completion of Commission review.

Performance goal 1.11(e)

Improve average time between institution of investigation and issuance of final ID

	FY 2018	FY 2019	FY 2020
Target	Establish average length of time between the institution of investigation and issuance of the final ID in FY 2018	Average length of time between the institution of an investigation and the issuance of the final ID is less in FY 2019 than it was in FY 2018	Average length of time between the institution of an investigation and the issuance of the final ID is less in FY 2020 than it was in FY 2019
Result	11.34 months	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Number of months between institution of investigation and issuance of Final ID.

In FY 2018, the Commission added performance goals to analyze the average length of time an investigation is before the Administrative Law Judge and the average time an investigation is before the Commission. This information allows the Commission and its stakeholders to assess in a more granular way whether improvements need to be made in various processes to increase efficiencies. During FY 2018, the time between the final ID and completion of the investigation improved. Also during the year we established an average length of time between institution and issuance of final ID.

We have also set a goal—performance goal 1.12—aimed at reducing the average length of ancillary proceedings (these proceedings happen after there has been a finding of violation) in unfair import investigations. Conducting these proceedings in a timely way is important to reduce the business uncertainty caused by these disputes in markets where fast-changing technologies quickly can make products obsolete.

During this fiscal year there were a number of ancillaries commenced and several completed on the merits, including one remand, one advisory, one modification, and one consolidated enforcement/rescission proceeding. Some of these ancillaries were placed in the Commission's pilot program on ancillaries and as a result the time for completion may have been modified to comply with the pilot timelines, which differ depending on the office assigned the ancillary placed in the pilot. This year we included pilot ancillaries in the averages for performance goal 1.12. In FY 2019, we intend to separate the pilot ancillaries from non-pilot ancillaries. We did not meet the Commission's performance targets for modifications and enforcement actions this year in part due to novel legal issues raised on appeal in the underlying original investigations.

Performance goal 1.12

Improve the timeliness of section 337 ancillary proceedings by meeting targets for or reducing the average length of ancillary proceedings as follows:

	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Modification								
Target (months)	6	6	6	6	6	6	6	6
Results (months)	1 day	None	None	2.9	1.6	7.9	Pending	Pending
Status	Target met	—	—	Target met	Target met	Target not met	Pending	Pending
Advisory								
Target (months)	12	9	9	9	9	9	9	9
Results (months)	—	5.8	None	2.3	4.2	None	Pending	Pending
Status	—	Target met	—	Target met	Target met	-	Pending	Pending
Enforcement								
Target (months)	12	12	12	12	12	12	12	12
Results (months)	8.7	12.7	None	None	None	17	Pending	Pending
Status	Target met	Target not met	—	—	—	Target not met	Pending	Pending
Federal Circuit remand ^a								
Target (months)	—	12	12	12	12	12	12	12
Results (months)	—	3.8	None ^b	9.0	8.7	None	Pending	Pending
Status	—	Target met	—	Target met	Target met	--	Pending	Pending
Consolidated ancillaries								
Target (months)	15	15	15	15	15	15	15	15
Results (months)	—	11.5	None	None	11.8	None	Pending	Pending
Status	—	Target met	—	—	Target met	--	Pending	Pending

^a Historical data on Federal Circuit remands are not readily available.

^b There was one remand completed on the merits during FY 2015; this remand of 31.34 months is not included in calculating the performance goal because the mandate issued before this performance goal was in place and the private parties requested an 18-month remand schedule.

Performance indicator: Length of ancillary proceedings concluded on the merits.

Contextual indicator: Whether evidentiary hearing is held; whether matter needs to be delegated to the ALJ.

Note: In FY 2011, the Commission met its targets for the three categories for which data were available (Modification, Advisory, and Enforcement). In FY 2012, the Commission met its target for advisories, but did not meet its target for consolidated ancillaries. Data were not available for the other categories in FY 2012. The full performance results for performance goal 1.12 for these years are reported in the Commission's Annual Performance Plan, FY 2018–2019 and Annual Performance Report, FY 2017.

Note: prior to FY 2019, the goal was: "Improve the timeliness of ancillary proceedings by reducing the average length of ancillary proceedings as follows."

We have also added a new performance goal (1.13) to track the time offices take to process ancillary proceedings in our pilot program for redesigned products to ensure we are meeting the goals set forth in that pilot for completion of advisories and modifications dealing with redesigned products. The Commission met the projected time frames for most ancillaries under the pilot with the exception of the Commission's performance targets for modifications under the pilot due to novel legal issues raised on appeal in the underlying original investigations.

Performance goal 1.13

Individual offices complete their portions of section 337 modifications and advisory proceedings under the pilot program within specified timeframes

	FY 2018	FY 2019	FY 2020
Modification: GC			
Target (months)	2–3 months	2–3 months	2–3 months
Results (months)	1.2	Pending	Pending
Status	Target met	Pending	Pending
Modification: OUII			
Target (months)	3–6 months	3–6 months	3–6 months
Results (months)	None	Pending	Pending
Status	—	Pending	Pending
Modification: ALJ			
Target (months)	6–9 months	6–9 months	6–9 months
Results (months)	10.4	Pending	Pending
Status	Not met	Pending	Pending
Advisory: GC			
Target (months)	2–3 months	2–3 months	2–3 months
Results (months)	None	Pending	Pending
Status	—	Pending	Pending
Advisory: OUII			
Target (months)	3–6 months	3–6 months	3–6 months
Results (months)	None	Pending	Pending
Status	—	Pending	Pending
Advisory: ALJ			
Target (months)	6–9 months	6–9 months	6–9 months
Results (months)	7.4	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Number of months to complete 337 modifications and advisory proceedings covered by the pilot program.

Performance goal 1.14

Issue and receive 95 percent of import injury investigation questionnaires electronically in 2015–20^a

	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	90% utilization	90% utilization	90% utilization	90% utilization	95% utilization	95% utilization
Result	96% utilization	98% utilization	99% utilization	99% utilization	99%	Pending
Status	Target met	Target met	Target met	Target met	Target met	Pending

^a Prior to FY 2018, the goal was to issue and receive 90% of the questionnaires electronically.

Performance indicator: Utilization rate (i.e., share of questionnaires transmitted and received electronically).

We continually evaluate our processes and procedures in import injury investigations and strive to make them more efficient. Data and other information for import injury investigations are collected via questionnaires sent to market participants. While questionnaires were traditionally sent and received in paper form, we have automated the process by transmitting and receiving digital questionnaires in order to extract information electronically, as well as encourage and support electronic submission through correspondence and website structure and management. Electronic extraction reduces staff time spent directly entering data, reduces data entry errors and permits staff to spend more time on analysis. In addition, transmitting questionnaires electronically can reduce the burden and cost for firms. During this fiscal year, we issued more than 99 percent of our questionnaires electronically and received 98 percent of questionnaire responses (filled-out questionnaires) electronically. Collectively, 99 percent of outbound and inbound questionnaires were in electronic format. Sustained high levels of electronic transmission for both outbound and inbound questionnaires reflects effective and systemic integration of procedures and processes. Continued increases are likely very limited due to a natural share of recipients who may remain more comfortable with paper/hard-copy correspondence and survey completion. We, therefore, intend to use our survey collection capabilities to shift resource focus to electronic or online collection of information in response to the Commission's notices of institution during the adequacy phase of sunset reviews.

Performance goal 1.15

Deliver 100 percent of import injury investigation determinations and reports by the statutory deadline

	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target (%)	100	100	100	100	100	100	100	100
Results (%)	100	99	100	100	100	100	Pending	Pending
Status	Target met	Target met ^a	Target met	Target met	Target met	Target met	Pending	Pending

^a For one investigation, the Commission determination was delivered by the statutory deadline, while the report was delivered after the deadline due to ministerial errors reported by Commerce.

Performance indicator: Submission of Commission determinations and reports to Commerce.

Note: The Commission met its targets for this goal in both FY 2011 and FY 2012. The full performance results for performance goal 1.15 (which was performance goal 1.14) for these years are reported in the Commission's Annual Performance Plan, FY 2018–2019 and Annual Performance Report, FY 2017.

During an ongoing import injury investigation and any ensuing litigation, uncertainty exists for the industry and markets affected. Making timely determinations and meeting statutory or court-mandated deadlines can help mitigate this uncertainty. In FY 2018, with elevated caseload levels, we continued to meet our statutory deadlines.

Performance goal 1.16

FY 2014

Develop and implement a process to evaluate and improve agency decision-making based on judicial and NAFTA panel remands during FY 2014

FY 2014	
Target	Process developed and implemented
Results	Evaluation process developed and implemented
Status	Target met

Performance indicator: Development and implementation of a process to evaluate and improve agency decision-making based on judicial and NAFTA panel remands during FY 2014.

FY 2015

Implement a process to evaluate and improve agency decision-making based on judicial and NAFTA panel remands during FY 2015

FY 2015	
Target	Process implemented
Results	Process implemented
Status	Target met

Performance indicator: Implemented evaluation process.

FY 2016–FY 2020

Continue using the evaluation process, and improve agency decision-making based on judicial and NAFTA panel remands

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	Evaluations completed and improvements made	Evaluations completed and improvements made	Evaluations completed and improvements made	Evaluations completed and improvements made	Evaluations completed and improvements made
Results	Evaluations completed and improvements made	Evaluations completed and improvements made	Evaluations completed and improvements made	Pending	Pending
Status	Target met	Target met	Target met	Pending	Pending

Performance indicator: Evaluations and improvements.

Our determinations in import injury investigations can be appealed to the U.S. Court of International Trade (CIT), the U.S. Court of Appeals for the Federal Circuit (Federal Circuit), and North American Free Trade Agreement (NAFTA) binational panels. In addition, certain determinations are subject to review under the dispute resolution procedures of the World Trade Organization (WTO). Determinations in unfair import investigations can be appealed to the Federal Circuit. We have statutory authority to represent ourselves before the CIT, the Federal Circuit, and NAFTA panels.³ The Commission strives to meet court-mandated deadlines in these matters and in FY 2018 we delivered all relevant documents on time. In FY 2018, as in

³ Commission staff also frequently provide technical assistance to the U.S. Trade Representative in dispute resolution proceedings of the WTO.

previous years, we evaluated these determinations to identify any common factors or issues that, if handled differently, could improve outcomes in these venues. Minimizing the number of issues that may be litigated could reduce the number of appeals or the time that it takes to conclude litigation, and lessen uncertainty in the affected markets. For FY 2019, we have again set goals to evaluate judicial and NAFTA panel reviews and to use that information to improve our decision-making in future investigations (performance goal 1.16).

Performance goal 1.17

Evaluate the paper burden of responding to AD/CVD adequacy phase notices of institution and develop and implement an option to reduce this burden

	FY 2019	FY 2020
Target	Report the number of responses filed; develop requirements to transition responses to notices from non-extractable to extractable formats	Conduct pilot project
Results	Pending	Pending
Status	Pending	Pending

Performance indicator: Number of responses filed; options to reduce reporting burden

Under current practice, the notice of institution, issued at the outset of each five-year review, is issued as a multi-page Federal Register notice. Responses to this notice, in turn, are provided in paper or PDF format, but are not extractable. In FY 2019, we intend to evaluate and develop online electronic options for submitting responses to the notice to reduce the reporting and processing burden associated with our current practice.

Strategic Objective 1.2

Clear Proceedings: Promote transparency and understanding of investigative proceedings

The Commission recognizes the importance of providing stakeholders in its investigative proceedings with information on the Commission's adjudicative process. Stakeholders may include parties to an investigation, their business partners, other market participants, the general public, other federal agencies, Congress, and foreign governments.

We have created this strategic objective to promote greater transparency and a fuller understanding of our investigations for all stakeholders by ensuring that accurate public information about our investigative proceedings is easily accessible as early as practicable in the course of an investigation.

This strategic objective may be affected by budget constraints, as funding levels may limit our staff resources and our ability to fund technology-related projects.

We have invested substantial time and resources into developing data systems for our trade remedy cases (performance goals 1.21(a) through 1.21(c)). In FY 2014, we introduced [337Info](#), a publicly available data system which offers a wide range of information about section 337 investigations. Among other things, it assists us with the efficient and accurate reporting of

statistical information and helps to inform caseload management decisions. It also provides members of the public with quick access to useful information about our investigations. Development of a similar data system for import injury (Title VII) investigations was deferred because of fiscal and personnel resource constraints including a new Congressional mandate. Specifically, in FY 2016, Congressional legislation expanded the USITC's role in the miscellaneous tariff bill (MTB) petition process by requiring us to, among other things, develop online tools and a web portal to successfully execute the agency's widened MTB responsibilities. This effort was completed in FY 2017. In FY 2018, staff resumed work on the import injury (Title VII) data system by reviewing and revising system requirements developed in FY 2016. Moreover, staff determined that it would be beneficial to develop an underlying data system for all types of Commission investigations rather than developing separate systems for each type. The focus in FY 2018 was to develop the requirements of the underlying system as well as to develop or revise requirements for the Title VII and section 337 components. In FY 2019, we expect development of the import injury (Title VII) data system (Performance Goals 1.21(a) and 1.21(c)) to be fully underway.

During FY 2019, we expect to employ several strategies to meet strategic objective 1.2. We plan to continue to improve the flow of information to stakeholders by continuing to ensure that information on investigations is made available expeditiously on our Electronic Document Information System (EDIS) and our webpages. In particular, we will also be redesigning the Commission's public website to improve the user experience in finding and accessing investigation-related information.

Two initiatives to modernize EDIS will improve the flow of investigative information, as well as external parties' access to it. One initiative—an effort to update EDIS filing and search capabilities—was completed and deployed in late FY 2018.⁴ The second initiative will allow us to serve documents containing controlled unclassified information (such as business proprietary or confidential business information) electronically to parties to an investigation (performance goal 1.21(b)). We expect to develop and implement the capability to serve public documents during FY 2019 and serve confidential documents by the end of FY 2020.

We have long recognized that communication with the wider community about our work is vital to our efforts. We will continue our outreach to the legal community, industry, and others to ensure that our processes and capabilities are understood. Finally, we will regularly survey external Title VII stakeholders to obtain feedback on the effectiveness and efficiency of our processes.

The leader for this strategic objective is the Director of the Office of Investigations (INV). The specific performance goals are set forth and summarized below.

⁴ Although this initiative is not tied to a specific performance goal, it is an important component of our overall effort to improve EDIS.

Performance goal 1.21

Leverage existing and developing technologies to improve the flow of information to interested parties and the general public during FY 2018–FY 2022

FY 2018–FY 2022	
Target	Projects identified and implemented each year
Results	See results of 1.21 (a) below
Status	Pending

Performance indicators: Development and implementation of projects.

Performance goal 1.21(a)

FY 2014

Improve availability of investigation-related information by deploying search and data extraction tools for investigation databases by the end of FY 2014

FY 2014	
Target	Search and data extraction tools for section 337 information available
Results	“337Info” application was deployed publicly on September 30, 2014.
Status	Target met

Performance indicator: Search and data extraction tools available.

FY 2015

Improve availability of investigation-related information by expanding development of investigation databases by the end of FY 2015

FY 2015	
Target	Title VII data system developed
Results	Selection of a vendor to develop the Title VII data system was delayed to FY 2016 as a result of resource constraints.
Status	Target not met

Performance indicator: Title VII data system.

FY 2016

Improve availability of investigation-related information by commencing development of the Title VII data system in FY 2016

FY 2016	
Target	Title VII data system under development by the end of the third quarter of FY 2016
Results	Development on the Title VII data system was deferred to FY 2017 due to reprioritization of resources to support the MTB mandate and to align with award of a new IT programming services contract.
Status	Deferred

Performance indicator: Title VII data system.

FY 2017

Improve availability of investigation-related information by commencing development of the Title VII data system by the end of FY 2017

FY 2017	
Target	Data management and query tools for Title VII data system under development by the end of FY 2017
Results	Commissioner vote database development under way. Development continuing on full system in FY 2018
Status	Target met

Performance indicator: Title VII data system.

FY 2018—FY 2020

Improve access to investigation-related information by completing development of data search and extraction tools for investigation data system

	FY 2018	FY 2019	FY 2020
Target	Data management and query tools for the Title VII data system under development in FY 2018, with completion in FY 2019	Complete development of investigation definition component of overall data system (Title VII, 337, and fact-finding); Develop components for votes and investigation data and query tools based on established priorities	Complete development of query tools for investigation data based on established priorities; prepare to add functionality to the Title VII component of the system to support business operations
Result	Database architecture development commenced	Pending	Pending
Status	Target not met	Pending	Pending

Performance indicators: Investigation data system; components developed or enhanced; tools developed and deployed.

Requirements for the import injury (Title VII) component of the investigation data system were initially defined during FY 2016, but we deferred development through FY 2017 to implement MTBPS. In FY 2018, additional refinement of requirements continued with some development efforts beginning. Although we began work on the underlying database design, software development on the query tools was not initiated. In FY 2019, we expect development of the investigation definition component of the investigation data system to be completed and work on developing data entry, vote recording, and search capabilities for Title VII investigations to be conducted based on agency-determined priorities. In FY 2020, system implementation will include additional enhancements to incorporate other investigation types, such as section 337 and fact finding. In addition, we expect to enhance EDIS by adding the capability for electronic service of public documents during FY 2019, to be followed by electronic service of confidential documents by the end of FY 2020.

Performance goal 1.21(b)

FY 2016

Improve flow of confidential information to authorized parties by deploying electronic service of documents by the end of FY 2016

FY 2016	
Target	Serve Commission documents to parties under Administrative Protective Order via electronic means
Results	This initiative was deferred to FY 2017–2018.
Status	Deferred

Performance indicator: Electronic service capability implemented and deployed.

FY 2017

Commence development of electronic service of public documents by the end of FY 2017 to improve the flow of information to parties

FY 2017	
Target	Begin developing capability to electronically serve public documents to parties
Results	IT software contract awarded, but substantive development work delayed until first quarter FY 2018 due to competing IT projects.
Status	Target not met

Performance indicator: Development of electronic service of public documents begun by end of FY 2017.

FY 2018

Employ electronic service of confidential documents by the end of FY 2018 to improve the flow of information to authorized parties

FY 2018	
Target	Serve Commission documents subject to Administrative Protective Order on the parties via electronic means
Results	Development of electronic service of documents was deferred to complete the EDIS re-engineering effort.
Status	Target not met

Performance indicator: Confidential electronic service capability implemented and deployed.

FY 2019

Employ electronic service of public documents by the end of FY 2019 to improve the flow of information to authorized parties

FY 2019	
Target	Serve Commission public documents on the parties via electronic means and finalize requirements for service of documents subject to Administrative Protective Orders
Results	Pending
Status	Pending

Performance indicator: Public electronic service capability implemented and deployed.

FY 2020

Employ electronic service of confidential documents by the end of FY 2020 to improve the flow of information to authorized parties

FY 2020	
Target	Serve Commission confidential documents subject to Administrative Protective Order on the parties via electronic means
Results	Pending
Status	Pending

Performance indicator: Confidential electronic service capability implemented and deployed.

In FY 2018, the EDIS system was re-engineered and deployed with new technologies and new secure-baselined infrastructure. This effort was needed to establish the secure platform for implementing the electronic service of confidential documents.

Performance goal 1.21(c)

FY 2018–FY 2020

Develop and implement strengthened functionality, capacity, and security for 337Info by the end of FY 2019

FY 2018	
Target	Functionality, capacity, and security improvements developed and implemented
Results	Enhancements identified and requirements begun
Status	Target partially met

Performance indicator: Improvements to 337Info implemented.

Based on analysis of requirements, staff determined that for consistency of investigative data systems across multiple business units, it would be beneficial and more efficient to develop a single robust platform by integrating further development of the 337info system with the integrated data system. In doing so, performance goal 1.21(c) is being merged with 1.21(a).

Performance goal 1.22

Post information on import injury investigation case webpages within specific timeframe

	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	85% of information posted within 48 hours and 90% within 72 hours of issuance	85% of information posted within 48 hours and 90% within 72 hours of issuance	85% of information posted within 48 hours and 90% within 72 hours of issuance	85% of information posted within 48 hours and 90% within 72 hours of issuance	85% of information posted within 48 hours and 90% within 72 hours of issuance	85% of information posted within 48 hours and 90% within 72 hours of issuance	85% of information posted within 48 hours and 90% within 72 hours of issuance
Results	Although over 90% of documents were posted, an efficient tracking system could not be developed.	Timely tracking process implemented midway through FY 2015, and posting targets were exceeded during the second half of the FY	Posting targets were met or exceeded during the FY	Posting targets met	Posting targets were met or exceeded during the FY	Pending	Pending
Status	Target partially met	Target partially met	Target met	Target met	Target met	Pending	Pending

Performance indicator: Investigation-related information posted.

The need to make statistical and procedural information in import injury investigations available to the parties and the public directly relates to our strategic objective 1.2—promoting transparency of investigative proceedings. Prompt availability of investigative information is important, as it enhances the ability of parties to participate in import injury proceedings; fuller participation gives us a more complete record upon which to base sound determinations. Furthermore, since affected U.S. industries can monitor progress on investigations, the information they gain about deadlines, determinations, and scope of investigations can help mitigate uncertainty in the marketplace. We have set performance goals through FY 2020 to ensure that information about our investigations is available in a timely way (performance goal 1.22).

We continued to track the posting of documents during FY 2018 and sought opportunities to do so more efficiently and comprehensively during the year. In FY 2018, the Commission posted more than 94 percent of documents issued by the agency or published in the Federal Register within two business days, and more than 98 percent within three business days.

Performance goal 1.23

Conduct outreach to bar groups and other stakeholders to ensure they understand Commission capabilities and processes

	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	Efforts made	Efforts made each quarter	Efforts made each quarter	Efforts made each quarter	Efforts made each quarter	Efforts made each quarter	Efforts made each quarter	Efforts made each quarter
Results	Outreach conducted	Outreach conducted	Outreach conducted	Outreach conducted	Outreach conducted	Outreach conducted	Pending	Pending
Status	Target met	Target met	Target met	Target met	Target met	Target met	Pending	Pending

Performance indicator: Outreach efforts.

Note: The Commission met its target for this goal in FY 2012. The full performance results for performance goal 1.23 for this year are reported in the Commission's Annual Performance Plan, FY 2018-2019 and Annual Performance Report, FY 2017.

Our staff devotes considerable time to explaining our investigative process to the public, including through regular outreach efforts. Staff members speak at various conferences on a variety of topics relating to import injury and unfair import investigations. They also attend these gatherings to make themselves available to discuss and answer questions about our procedures. During FY 2018, our staff once again conducted such outreach efforts throughout the fiscal year.

Performance goal 1.24

Issue regular feedback surveys to external stakeholders to assess effectiveness and efficiency of processes and procedures. Implement proposed new processes/procedures as appropriate

	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	Surveys issued annually; processes and/or procedures updated	Surveys issued annually; processes and/or procedures updated	Surveys issued	Surveys issued	Processes and/or procedures updated	Surveys issued	Processes and/or procedures updated
Results	Survey issued	Survey issued; procedure implemented	Shifted to bi-annual cycle	Survey issued and responses assessed.	Feedback incorporated into staff conference preparation process.	Pending	Pending
Status	Target partially met	Target met	Target not met	Target met	Target met	Pending	Pending

Performance indicator: Survey issuance; process/procedure updates.

We are exploring a variety of means of drawing insights from our investigation participants to improve the efficiency and effectiveness of our processes and procedures.

In FY 2016, we shifted from an annual to a two-year survey cycle in order to give staff more time to test and implement process changes. In FY 2017, we issued a survey on preliminary-phase investigation activities for import injury cases and examined the survey feedback. Survey respondents provided useful feedback including the need for clear communication between staff and counsel, particularly with respect to the organization of staff conferences. In FY 2018, we assessed feedback from the 2017 survey and incorporated feedback into staff conference procedures. In addition to continuing ongoing efforts to test alternate witness presentation order for conferences, we updated pre-conference team meeting procedures to reduce redundancy of staff questions and to streamline question coverage. In FY 2019, we will issue a new survey.

Performance goal 1.25

Post documents to EDIS within specified timeframes

	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Import injury: 24 hours								
Target (%)	80	85	85	85	85	85	85	85
Results (%)	96.7	97.3	95.8	95.9	95.8	94.3	Pending	Pending
Status	Target met	Target met	Target met	Target met	Target met	Target met	Pending	Pending
Import injury: 48 hours								
Target (%)	90	95	95	95	95	95	95	95
Results (%)	98.7	99.5	98.8	99.7	99.1	98.8	Pending	Pending
Status	Target met	Target met	Target met	Target met	Target met	Target met	Pending	Pending
Section 337: 24 hours								
Target (%)	80	85	85	85	85	85	85	85
Results (%)	97.8	96.7	98.3	96	96	95	Pending	Pending
Status	Target met	Target met	Target met	Target met	Target met	Target met	Pending	Pending
Section 337: 48 hours								
Target (%)	90	95	95	95	95	95	95	95
Results (%)	98.7	99.4	99.6	99.4	99.1	98.7	Pending	Pending
Status	Target met	Target met	Target met	Target met	Target met	Target met	Pending	Pending

Performance indicator: Percentage of documents posted.

Note: The Commission met its targets for this goal in both FY 2011 and FY 2012. The full performance results for performance goal 1.25 for these years are reported in the Commission's Annual Performance Plan, FY 2018–2019 and Annual Performance Report, FY 2017.

In an effort towards greater transparency as to the documents filed in its investigations, the Commission has set a goal to upload documents onto its Electronic Document System ("EDIS") within certain timeframes. We met this goal for FY 2018. Even with projected increases in investigative workload in section 337 and Title VII, and the start of the MTB program, we still anticipate meeting this performance goal in FY 2019.

Performance goal 1.26

Post public versions of confidential Section 337 final IDs and Commission opinions within specified timeframes

	FY 2018	FY 2019	FY 2020
Target	Average length of time to post public versions of confidential Section 337 Final IDs and Commission opinions is 30 days or less	Average length of time to post public versions of confidential Section 337 Final IDs and Commission opinions is 30 days or less	Average length of time to post public versions of confidential Section 337 Final IDs and Commission opinions is 30 days or less
Result	26 days to issue public final IDs and 23.7 day to issue public version of Commission Opinions	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Number of days between issuance of confidential Commission Section 337 opinions and posting of the public version.

Similar to performance goal 1.22, it is important to release public versions of Final IDs and Commission opinions in Section 337 investigations in a timely manner to allow the public to understand the Commission reasoning for its determination. Commission Rules require the Commission to issue public versions of these decisions within 30 days absent good cause.⁵ This goal ensures that we are meeting the requirement to timely issue these opinions.

During this fiscal year, the ALJs issued public versions of their final IDs and the Commission issued public versions of Commission opinions in compliance with the Commission Rules, on average.

⁵ 19 CFR 210.5(f).

Strategic Goal 2

Inform: Provide Independent, Objective, and Timely Analysis and Information on Tariffs, Trade, and Competitiveness

Policy makers need high-quality information to evaluate complex tradeoffs between competing policy goals and to inform and support their decision making. To fulfill its mission, the Commission must independently provide the highest caliber information and analysis to U.S. policy makers, whether they are engaged in trade negotiations or considering legislation or other trade-related policy actions that affect the U.S. economy and industry competitiveness.

By law, the Commission is responsible for providing advice, analysis, data, and other information to Congress, the President, and the Office of the U.S. Trade Representative (USTR). In response to U.S. policy makers' requests, we supply objective independent analysis on numerous topics. Our unique ability to collect, develop, and synthesize primary information and provide multidisciplinary analysis supports the development of well-informed trade policy. To ensure that we develop and maintain the technical expertise needed to fulfill our statutory responsibilities, we also identify and pursue priority research issues in international trade, industry competitiveness, and the U.S. and global economies.

In addition, we publish and maintain the Harmonized Tariff Schedule of the United States (HTS), which serves as the basis for collecting customs duties, compiling trade data, and formulating many trade actions. We play a significant role in developing the terminology used worldwide to classify traded goods ("trade nomenclature"). We also help U.S. businesses seeking U.S. classification information and guide the development of the statistical categories used to monitor trade. Our staff provides advice to all involved agencies on the implementation of tariff-related actions under U.S. laws and ensures that such actions are properly represented in the HTS. Our HTS-related work is vital to U.S. businesses, government agencies, and others involved in trade that depend upon accurate, current tariff rates and useful trade data.

In FY 2018, we instituted five fact-finding investigations and completed four, as well as produced reports for six recurring investigations that were instituted prior to FY 2018 (appendix C). Our staff continued to provide significant technical assistance to agency customers throughout the fiscal year.

Strategic Objective 2.1

Innovation: Improve analysis and information

Many of the requests we receive from policy makers cover emerging issues in the global trade environment, which have often not been evaluated extensively by academics or policy analysts. The requests may involve applying different analytic approaches and cover topics on which there is limited publicly available data. These circumstances require us to consistently improve

and enhance our information collection processes, analytical methods, and ways of maintaining and providing information. To accomplish this, we must ensure appropriate acquisition of reliable information, development of analytical tools, and investment in human capital.

Statutory and customer requirements drive our efforts to develop the knowledge and skills needed to anticipate policy makers’ priorities, detect emerging international trade issues, and develop or adopt advances in analytical techniques and methods. These efforts include developing new economic models and databases, enhancing analytical skills and tools, examining firm and industry behavior, and finding and acquiring new information resources and IT applications. Moreover, policy makers and other members of the trade community also rely on us to develop and maintain up-to-date nomenclature information. This includes tariff-related trade actions under U.S. trade laws, some of which were used for the first time in decades during the last year. Accurate tariff information is essential in collecting the right duties and generating accurate information on U.S. trade flows.

Policy makers’ needs for analysis of U.S. trade and competitiveness have become increasingly diverse and, in many cases, more complex. Our customers continue to have a strong interest in the analysis of tariff and non-tariff measures (NTMs) that U.S. companies face abroad and the effects of trade policies on key industries at home. Other areas of interest include investment policies, and measures affecting sales of services abroad, including digital trade.

In FY 2018, we focused on these areas of interest, while also conducting analytically complex investigations, such as examining modifications to tariff treatment for automobiles under the U.S.-Korea FTA, growth opportunities for U.S. trade and investment with sub-Saharan Africa, foreign barriers to global digital trade, and trade barriers affecting global supply chains. We plan to continue to build capacity in a portfolio of trade and competitiveness research, including both long-term foundational research and shorter-term, more applied analysis. We also will strive to do path-breaking analysis to support our ongoing and expected statutory investigations, for example, by analyzing the impact of trade on U.S. workers and U.S. regions, as well as the effects of foreign barriers to U.S. exports and investment.

The leader for this strategic objective is the Director of the Office of Industries.

Performance goal 2.11

Identify and prioritize areas to improve capabilities to analyze important new issues in trade and industry competitiveness through 2022

FY 2018–FY 2022	
Target	Capabilities developed in new areas annually
Results	Ongoing
Status	Ongoing

Performance indicators: Priority areas vetted and established annually through 2022.

Performance goal 2.11(a)

Identify and prioritize areas to enhance capabilities to analyze issues in trade and industry competitiveness

	FY 2017	FY 2018	FY 2019	FY 2020
Target	<p>Improved capabilities in priority areas such as:</p> <p>1. Modeling: Differentiate trade effects across different types of U.S. companies and different U.S. geographic regions; update and expand modeling of international investment; expand scope and flexibility of partial equilibrium and sector-specific analysis.</p> <p>2. Expanding research: Methods to assess industry competitiveness; trade in digital goods and services; behind-the-border NTMs affecting goods and services (TBTs, regulatory practices, conformity assessment, and standards); trade facilitation and customs issues; supply chains; effects of trade and trade policy on labor markets; and asymmetries in trade statistics</p> <p>3. Increase capabilities and knowledge related to trade-related agreements and U.S. trade relationships</p>	<p>Improved capabilities in priority areas such as:</p> <p>1. Expand research on: the effects of trade on different U.S. geographic regions; partial equilibrium and sector-specific analysis; the impact of trade on labor adjustments and costs; global supply chains; methods to assess industry competitiveness; trade in digital goods and services; and NTMs affecting goods and services.</p> <p>2. Increase expertise on trade-related agreements and U.S. trade relationships.</p>	<p>Improved capabilities in priority areas such as:</p> <p>1. Expand research on: gravity modeling of trade and trade policy; the effects of trade on different U.S. geographic regions and different types of firms; partial equilibrium and sector-specific analysis; impact of trade and trade policy on workers and wages; global supply chains; methods to assess industry competitiveness; trade in digital goods and services; NTMs affecting goods and services; foreign direct investment; and China.</p> <p>2. Increase expertise on trade-related agreements and U.S. trade relationships.</p>	<p>Improved capabilities in priority areas such as:</p> <p>1. Expand research on: gravity modeling of trade and trade policy; the effects of trade on different U.S. geographic regions and different types of firms; partial equilibrium and sector-specific analysis; impact of trade and trade policy on workers and wages; global supply chains; methods to assess industry competitiveness; trade in digital goods and services; NTMs affecting goods and services; foreign direct investment; and China.</p> <p>2. Increase expertise on trade-related agreements and U.S. trade relationships.</p>
Results	Significant improvements in capabilities in all priority areas	Significant improvements in capabilities in all priority areas	Pending	Pending
Status	Target met	Target met	Pending	Pending

Performance indicator: Priority areas identified and vetted.

Note: The Commission met four of the five targets in FY 2014, and met the targets in FY 2015 and FY 2016 for this goal. The full performance results for performance goal 2.11(a) (formerly performance goal 2.22(a)) for these years are reported in the Commission's Annual Performance Plan, FY 2017-2018 and Annual Performance Report, FY 2016. For FY 2019 and FY 2020, the goal language has been changed from "building capacity to analyze new issues" to "improving capacity to analyze all issues."

In FY 2018, we significantly upgraded our economic modeling capabilities, in part by working with experts at several U.S. universities, including Clemson, Boston College and Purdue, and leading international institutions, such as the Center of Policy Studies in Melbourne, Australia,

and the Global Economic Partnership Agreement Research Consortium in Tokyo, Japan. We also worked with government agencies in the United States, such as the U.S. Department of Commerce's Bureau of Economic Analysis and Census Bureau, and the U.S. Department of Agriculture's Economic Research Service, and with agencies abroad, such as Statistics Canada, Mexico's INEGI, and China's National Bureau of Statistics, to improve statistics on trade in global supply chains. We updated our models to better estimate the effects of policies affecting U.S. workers and U.S. regions. Significant advances were made on understanding the effects of trade agreements on services trade and on sales by U.S. affiliates abroad. In addition, we organized and held a roundtable concerning services trade that brought academic, private sector, and industry experts together to discuss current issues pertaining to this subject.

During FY 2019 and FY 2020, we will focus on enhancing our capabilities for assessing the effects of emerging trade policy developments. In addition, we will continue to focus on global supply chains, effects of trade on U.S. workers, and digital trade throughout the period.

Performance goal 2.12

Improved analytical tools and new capabilities are reflected in statutory work products through FY 2022

	FY 2018–FY 2022
Target	Continuous improvement through FY 2022
Results	Pending
Status	Pending

Performance indicator: Share of staff research time reflected in statutory products.

Performance goal 2.12(a)

Improved analytical tools and new capabilities are reflected in statutory work products

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	Improved analytical tools and new capabilities are reflected in statutory work products	Improved analytical tools and new capabilities are reflected in statutory work products	Improved analytical tools and new capabilities are reflected in statutory work products	Improved analytical tools and new capabilities are reflected in statutory work products	Improved analytical tools and new capabilities are reflected in statutory work products
Results	84 percent of the strategic research generated in 2012 was used in statutory work products by 2016.	83 percent of the strategic research generated in 2014 was used in statutory work products by 2017.	87.7 percent of the strategic research generated in 2015 was used in statutory work products by 2018.	Pending	Pending
Status	Target met	Target met	Target met	Pending	Pending

Performance indicator: Share of staff research time reflected in statutory products.

Note: The Commission developed this goal in FY 2014, partially meeting targets for that year. It met the target for this goal in FY 2015. The full performance results for performance goal 2.12(a) (formerly performance goal 2.23(a)) for these years are reported in the Commission's Annual Performance Plan, FY 2017-2018 and Annual Performance Report, FY 2016. The result for FY 2016 was adjusted in last year's Annual Performance Report to reflect a revised approach to calculating these shares.

Assessing the extent to which staff research is used in subsequent statutory work products allows us to more effectively manage resources. Because research is forward-looking, it often takes some time before it is applied in requested work, so we examine the application of our strategic research over a rolling 3-year window. By the end of 2018, 87.7 percent of the strategic research hours generated in 2015 had produced work that was used in some statutory assignment.

Performance goal 2.13

Improve processes to identify and correct errors at the prepublication stage for HTS files through 2022

FY 2018–FY 2022	
Target	Determined each year
Results	Ongoing
Status	Ongoing

Performance indicators: Identified and corrected information.

Performance goal 2.13(a)

FY 2014

Improve processes to identify and correct errors at the prepublication stage for HTS files during FY 2014

FY 2014	
Target	95% of the updates are found to be error free after the review process; the remaining 5% are identified and corrected in the review process
Results	Total revisions to 2014 HTS were 8,602; 86 prepublication errors (99% error-free); 12 post publication errors (99.9% error-free)
Status	Target met

Performance indicator: Identified and corrected information.

Note: the performance goal for FY 2013 was to maintain accuracy of HTS information. The targets of 99% or greater accuracy of postproduction content and overall 97% or greater accuracy of postproduction content were both met.

FY 2015–FY 2017

Improve efficiency of HTS publication process to ensure accuracy of published version

	FY 2015	FY 2016	FY 2017
Target	96% of the updates are found to be error free after the review process; the remaining 4% are identified and corrected in the review process	HTS updates are at least 97% error-free on publication	HTS updates are at least 97% error-free on publication
Results	The target was not met in the first quarter using the older word processing-based system. During the 4th quarter, the new electronic HTS Data Management System replaced the older system, and HTS revisions were produced. Some discrepancies caused by a software problem were detected and subsequently fixed. We anticipate compliance with this target in FY 2016 due to the improved system.	95.1% error rate. Steps are being taken to upgrade the review function to improve the accuracy rate for the next cycle.	9,189 total changes made to HTS in FY 2017, with 198 error corrections and 8,991 legal changes. Total accuracy rate for FY 2017 is 97.85%, exceeding 97% target.
Status	Target not met	Target not met	Target met

Performance indicator: Identified and corrected information.

FY 2018–FY 2020

Improve the accuracy of published version of the HTS

	FY 2018	FY 2019	FY 2020
Target	HTS updates are at least 97% error-free on publication	HTS updates are at least 98% error-free on publication	HTS updates are at least 98% error-free on publication
Results	Individual changes made to the HTS during FY 2018 totaled 11,175. There were 37 technical corrections; the total accuracy rate was $11,138/11,175 = 99.7\%$.	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Identified and corrected information.

We have used the HTS Data Management System (DMS) to produce all updates of the HTS since FY 2016. We met our performance targets in FY 2017 and FY 2018. In FY 2018, the Commission issued a significantly higher number of versions of the HTS than it has in past years. In addition to the Basic Edition published annually on January 1, the agency issued an additional 12 revisions to implement multiple tariff increases for national security and other reasons.⁶ That pace is continuing into FY 2019. In contrast, in FY 2017, we published the Basic Edition and 2 subsequent revisions. Although the DMS worked reasonably well and allowed us to handle the high volume of revisions under tight deadlines, we plan to make improvements to the system over the next two years to address existing system limitations.

Performance goal 2.14

Improve the HTS Search function based on ongoing analysis of user search results during FY 2018–FY 2022

	FY 2018–FY 2022
Target	Analyze HTS search logs on a regular basis and improve the HTS search tool accordingly
Results	Ongoing
Status	Ongoing

Performance indicator: Reduction in “no results” outcomes.

⁶ The 12th revision was published on October 1, 2018.

Performance goal 2.14(a)

FY 2018–FY 2019

Analyze logs of “no results” HTS searches to develop a thesaurus of terms to add to the HTS Search database

	FY 2018	FY 2019
Target	Identify all search terms with more than 10 “no results” outcomes	Identify all search terms with more than 10 “no results” outcomes
Results	OCIO provided information on all searches for which a specific term provided “no results” more than 10 times for the year. This will enable TATA to provide a lexicon to OCIO in FY 2020 to pull into HTS Search, in compliance with the FY 2020 performance goal.	
Status	Target met	Pending

Performance indicator: HTS logs of “no results” HTS searches.

FY 2020

Based on available funding, develop and deploy capability within HTS Search to use terms in thesaurus to reduce “no results” outcomes

	FY 2020
Target	Develop and deploy capability in HTS Search to use thesaurus. Analyze results of “no results” searches, add new terms to thesaurus. Seek 5% reduction in “no results” searches.
Results	Pending
Status	Pending

Performance Indicator: HTS system capability developed.

The Office of the CIO generated the necessary collection of search terms that will enable the Office of Tariff Affairs and Trade Agreements to develop the thesaurus required for the successful accomplishment of the performance goal.

Strategic Objective 2.2

Communication: Engage and respond to inform and support decision-making on U.S. trade matters

The Commission recognizes the importance of providing policy makers with timely, accessible analysis and information to inform their decision making. Timely trade and competitiveness information and analysis are often necessary for policy makers to meet negotiation schedules or make time-sensitive decisions. Our customers expect us to adhere to statutory deadlines, relevant regulations, and requested delivery dates. Our information must also be presented clearly and be easily accessible. Under this strategic objective, we aim to improve the value of the tariff and trade information and analysis we provide by:

- engaging internal and external customers to inform them of our capabilities and understand their needs

- expanding our ability to produce digital and interactive products
- engaging with trade and industry experts to build knowledge and
- improving the transparency of our analysis and information

One part of our mission is maintaining the HTS. Timely updates to the HTS give the public critical product-specific information, enable the accurate collection of tariff revenues, and enable the correct tracking of tariff information that is critical to other government agencies' work. As technology and the global commercial environment change, we need to give users information in different ways. We were able to make important adjustments to the Data Management System during FY 2018 resulting in improved functionality when the staff needed it. As noted above, this year saw a significant increase in the number of revisions made to the HTS over FY 2017, so having a reliable, accurate system for securely inputting HTS information was critical to success. We plan to upgrade some basic functionality and improve HTS Search results for our customers in FY 2020.

The performance goals for this strategic objective focus on two general areas: engaging internal and external customers to understand their emerging priorities and needs, and providing information in a more accessible and timely way—often by upgrading the content and performance of web-based products. To meet this objective, we are developing and applying information technology (IT) solutions to make our products more accessible, flexible, and useful. This includes providing stakeholders interactive digital products so that data may be focused more narrowly on the interest of the consumer.

Strategies employed to advance these goals include engaging directly with customers and other interested stakeholders to obtain feedback on existing analytic methods and digital products, to assess emerging issues by engaging policy makers and industry representatives in roundtable discussions on emerging issues, to showcase new Commission research and digital products, and to make changes in response to feedback.

This strategic objective may be affected by resource constraints that limit our ability to fund technology-related projects. While meeting some of our FY 2019 goals may prove challenging, it is likely that we will meet most, if not all, targets.

The leader for this strategic objective is the Director of the Office of Tariff Affairs and Trade Agreements.

Performance goal 2.21

Engage Commission customers and other U.S. and international experts to enhance agency capabilities in order to provide effective and responsive analysis, data, and nomenclature services

FY 2018–FY 2022	
Target	Briefings and meetings with customers conducted after report delivery generate feedback
Results	Ongoing
Status	Ongoing

Performance indicator: Feedback provided during briefings and meetings.

Other indicator: Share of delivered, Commission customer requested products for which briefings are conducted.

Performance goal 2.21(a)

FY 2014

Engage Commission customers to enhance agency capabilities to provide effective and responsive analysis, data, and nomenclature services in FY 2014

FY 2014	
Target	Briefings and meetings with customers conducted after report delivery generate feedback; actions taken, as appropriate
Results	Briefings have been conducted for nine studies completed in FY 2014. Comments received were positive, so no corrective actions required. Feedback from meetings and briefings serves to inform research priorities set under performance goal 2.22 (changed to 2.11).
Status	Target met

Performance indicator: Feedback provided during briefings, meetings, and other engagements; actions taken.

FY 2015–FY 2017

Engage Commission customers and international and research organizations to improve analytical tools and to advance agency capabilities to provide effective and responsive analysis, data, and nomenclature services

	FY 2015	FY 2016	FY 2017
Target	Engagement with customers and other organizations related to Commission reports and other research efforts generates feedback; actions taken, as appropriate	Engagement with customers and other organizations related to Commission reports and other research efforts generates feedback; actions taken, as appropriate	Engagement with customers and other organizations related to Commission reports and other research efforts generates feedback; actions taken, as appropriate
Results	Post-delivery briefings were conducted for nine reports completed in FY 2015. Comments received were positive, so no corrective actions required. Briefings on Commission research and analytic capabilities and consultative meetings for ongoing studies were also held with USTR and oversight committee staff. Feedback from meetings and briefings informed research priorities set under performance goal 2.22 (changed to 2.11).	Post-delivery briefings were conducted for four reports concluded in FY 2016, including numerous briefings concerning the TPP report. Staff participated in meetings, forums, sessions and workshops concerning subjects such as best practices in trade policy modeling, measurement of trade in value added, and measures of e-commerce. Feedback from meetings and briefings informed research priorities set under performance goal 2.22 (changed to 2.11).	Post-delivery briefings were conducted for reports concluded in FY 2017, including numerous briefings concerning the Global Digital Trade report. Staff participated in meetings, forums, sessions and workshops concerning subjects such as best practices in trade policy modeling, measurement of trade in value added, and measures of e-commerce. Feedback from meetings and briefings informed research priorities set under performance goal 2.22 (changed to 2.11).
Status	Target met	Target met	Target met

Performance indicator: Feedback provided during briefings, meetings, and other engagements; actions taken.

FY 2018–FY 2020

Engage customers to understand their priorities and seek feedback on Commission work

	FY 2018	FY 2019	FY 2020
Target	Engagement with customers related to Commission reports and other research efforts generates feedback; actions taken, as appropriate	Engagement with customers related to Commission reports and other products generates feedback; actions taken, as appropriate	Engagement with customers related to Commission reports and other products generates feedback; actions taken, as appropriate.
Results	Post-delivery briefings were conducted for reports concluded in FY 2018, including numerous briefings concerning examining modifications to tariff treatment for automobiles under the U.S.-Korea FTA, and growth opportunities for U.S. trade and investment with sub Saharan Africa. Staff participated in meetings, forums, sessions and workshops concerning subjects such as best practices in trade policy modeling, measurement of trade in value added, and measures of e-commerce. Feedback from meetings and briefings informed research priorities set under performance goal 2.11.	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Feedback provided during briefings, meetings, and other engagements; actions taken.

Performance goal 2.21(b)

FY 2018–FY 2020

Engage non-customer experts to expand staff expertise, diversify knowledge base, and improve analytical tools to advance agency capabilities

	FY 2018	FY 2019	FY 2020
Target	Engagement with academics, NGOs, industry representatives, and other experts on issues related to trade research and analysis; actions taken, as appropriate.	Engagement with academics, NGOs, industry representatives, and other experts on issues related to trade research and analysis; actions taken, as appropriate.	Engagement with academics, NGOs, industry representatives, and other experts on issues related to trade research and analysis; actions taken, as appropriate.
Results	Engaged with academics, NGOs, and industry representatives on issues related to trade research and analysis	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Feedback provided during briefings, meetings, and other engagements; actions taken.

Performance goal 2.21(c)

FY 2018–FY 2020

Engage customers, industry experts, and other key stakeholders by hosting at least one trade issue roundtable per year

	FY 2018	FY 2019	FY 2020
Target	At least one roundtable hosted in FY 2018	At least one roundtable held in FY 2019	At least one roundtable held in FY 2020
Results	Held Services Roundtable	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Roundtables held.

For performance goal 2.21, we met our FY 2018 targets. Our staff regularly engaged our customers to discuss analytical capabilities and priorities. Staff provided several briefings on completed studies. Staff participated in numerous meetings with international research organizations and also met with statutory customers to discuss possible studies. Meetings with customers and international trade and research organizations helped set analytical priorities and enhanced our ability to provide effective analysis on topics of greatest interest to our customers.

Performance goal 2.22

Improve utility of tariff and trade information for customers and the public by developing and producing digital and interactive Commission products by FY 2022

FY 2018–FY 2022	
Target	Make five digital or interactive Commission products available to the public by FY 2022.
Results	Ongoing
Status	Ongoing

Performance indicators:

- Development of tools and knowledge to enable production of digital and interactive products.
- Implementation of solutions as measured by the number of digital and interactive Commission products produced by 2022.

Performance goal 2.22(a)

FY 2014

Develop and implement processes and tools to publish digital or interactive Commission products on the USITC website by FY 2014

FY 2014	
Target	Process and tools developed to publish digital and/or interactive Commission products
Results	Developed and published interactive product (FY 2015 target); did not develop a generic process, as such a process was found not to be practicable
Status	Target partially met

Performance indicator: Processes and tools for digital or interactive web-posted Commission products.

FY 2015

Publish new or updated digital or interactive Commission products in FY 2015

FY 2015	
Target	Two digital or interactive Commission products available to customers and the public
Results	The Commission produced two products this year that incorporated integrated interactive graphics and/or access to interactive data tools, including tutorials for their use.
Status	Target met

Performance indicator: New or updated digital or interactive Commission products produced for customers and the public.

FY 2016–FY 2020

Develop new digital or interactive Commission products during the fiscal year

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	One additional new or updated digital or interactive Commission product available to customers and the public	One additional new or updated digital or interactive Commission product available to customers and the public	One additional new or updated digital or interactive Commission product available to customers and the public	One additional new or updated digital or interactive Commission product available to customers and the public	One additional new or updated digital or interactive Commission product available to customers and the public
Results	Updated interactive graphics for <i>Trade Shifts</i> , and developed new interactive graphics for <i>Recent Trends in U.S. Services Trade</i>	Developed new interactive graphics for <i>Trade Shifts and Recent Trends in U.S. Services Trade</i>	Enhanced interactive graphics were published for <i>Trade Shifts 2017, Recent Trends in U.S. Services Trade, Year in Trade 2017</i> and a new interactive data portal was deployed for Gravity Data	Pending	Pending
Status	Target met	Target met	Target met	Pending	Pending

Performance indicator: New digital or interactive Commission product produced for customers and the public.

Performance goal 2.22(b)

FY 2014

Complete development and deploy modernized HTS system during FY 2014

	FY 2014
Target	Deploy new HTS system
Results	Development of new system was nearly complete, but awaiting accreditation and authority to operate.
Status	Target not met

Performance indicator: Modernized HTS system.

Note: The performance goal for FY 2013 was to develop an HTS database and interfaces to enable data maintenance and printable files that satisfy approved requirements of internal and external stakeholders. The target of developing this HTS database was partially met.

FY 2015

Develop new trade data system to upgrade the DataWeb by the end of FY 2015

	FY 2015
Target	Deploy new trade data system
Results	Development of the redesigned DataWeb system was delayed due to resource constraints and higher prioritization of EDIS redevelopment, development of the HTS Data Management System, and completion of a security controls assessment to obtain our Authority to Operate the HTS system.
Status	Target not met

Performance indicator: Modernized trade data system.

FY 2016

Develop new trade data system to upgrade the DataWeb by the end of FY 2016

FY 2016	
Target	Deploy new trade data system
Results	Development of the redesigned DataWeb system was delayed due to reprioritization of resources for the miscellaneous tariff bill petition system (MTBPS)
Status	Target not met

Performance indicator: Modernized trade data system.

FY 2017

Implement Miscellaneous Tariff Bill Petition System (MTBPS) to meet required statutory deadlines

FY 2017	
Target	Implement capability to receive MTB petitions and comments, process them, and deliver preliminary and final reports to Congress
Results	The MTBPS Portal was developed and deployed on October 14, 2016, and closed on December 12, 2016 as required by the AMCA. The Commission subsequently reopened the Portal twice to accept comments on the petitions from the public. Operation of the system was essentially flawless.
Status	Target met

Performance indicator: Deployment of MTBPS components.

FY 2018

Develop and implement strengthened functionality, capacity, and security, as needed, for the HTS Data Management System and DataWeb by the end of FY 2018

FY 2018	
Target	Functionality, capacity, and security improvements developed and implemented, as needed
Results	Beta release of reengineered DataWeb continued throughout 4th quarter. Legacy DataWeb was decommissioned October 31, 2018. New functionality includes commodity and country grouping, sortation of results, and rate provision breakouts. Also improvements were made to the HTS editor to include updates to facilitate implementation of the China 301 and MTB changes.
Status	Target met

Performance indicator: Improvements to data systems implemented.

FY 2019

Implement required functional enhancements to the Miscellaneous Tariff Bill Petition System (MTBPS) during FY 2019

FY 2019	
Target	Functionality and usability of MTBPS improved based on user feedback
Results	Pending
Status	Pending

Performance indicator: Deployment of updated system.

FY 2020

Upgrade DataWeb to provide enhanced reporting capabilities by the end of FY 2020

FY 2019	
Target	Functionality and usability of DataWeb improved based on user feedback
Results	Pending
Status	Pending

Performance indicator: Deployment of updated system.

In FY 2018, the Commission solicited feedback from public and government stakeholders on the MTB program and the MTBPS. In FY 2019, we will be making enhancements to MTBPS in preparation for another cycle of receiving and reviewing petitions for tariff relief beginning in early FY 2020.

Performance goal 2.23

Improve timeliness of tariff and customs information provided in response to emails submitted through online help system

	FY 2017	FY 2018	FY 2019	FY 2020
Target	95% of emails received through online help system receive responses within 7 working days	96% of emails received through online help system receive responses within 7 working days	97% of emails received through online help system receive responses within 7 working days	97% of emails received through online help system receive responses within 7 working days
Results	1,999 of 2,026 total email inquiries responded to in FY 2017 within 7 days of receipt for a 98.7% timely rate	For the full year 2,084 of 2,162 responded to within the 7 day window, for 96.4% compliance rate.	Pending	Pending
Status	Target met	Target met	Pending	Pending

Performance Indicator: Email responses to HTS inquiries.

Historical data

	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Target	80% of emails received through online help system receive responses within 7 working days	85% of emails received through online help system receive responses within 7 working days	90% of emails received through online help system receive responses within 7 working days	92% of emails received through online help system receive responses within 7 working days	94% of emails received through online help system receive responses within 7 working days
Percent response rate within 7 days	97	90	93	93	99

During FY 2018, we met our target by responding to over 96 percent of emails from the public within 7 working days. Commission staff were able to meet the target despite having to spend significantly more of their time on HTS revisions.

Performance goal 2.24

Improve the transparency of Commission fact-finding investigations by providing underlying data when appropriate

	FY 2018	FY 2019	FY 2020
Target	Publish non-proprietary data that underlie Commission estimates in fact-finding investigations completed in FY 2018	Publish non-proprietary input data that underlie Commission estimates in fact-finding investigations completed in FY 2019	Publish non-proprietary input data that underlie Commission estimates in fact-finding investigations completed in FY 2020
Results	Published non-proprietary input data for Investigation 332-564 (U.S. Trade and Investment with sub-Saharan Africa: Recent Developments)	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Information posted to the Commission's website.

During FY 2018, the Commission made available underlying data from its [investigation](#) on U.S. trade and investment with sub-Saharan Africa. We expect to continue this practice in future years to promote transparency and support international economic research.

Management Goal

Manage: Efficiently and Effectively Advance the Agency's Mission

The Commission is committed to continuous process improvement and support for the agency's strategic goals and mission. This plan's four management objectives support our management goal of advancing our mission in an efficient and effective way. The objectives align with four functional areas: human resources; budget, acquisitions, and finance; IT; and operational effectiveness. The performance goals identified for FY 2019 and 2020 reflect our management priorities.

Management Objective M1.1

People: Attract and develop a skilled, diverse, and flexible workforce

To carry out our mission in a constantly evolving business environment, we must recruit and develop a workforce equipped to meet the demands of our workload. Efficiency and effectiveness in all human capital management practices are vital to our ability to position ourselves as an attractive employer in a highly competitive labor market. Shortening hiring action completion times, maintaining highly accurate records, and striving to maximize stakeholder satisfaction with human capital management practices contribute to optimal efficiency and effectiveness. We will continue to emphasize the need for improved performance in these areas. The Commission regularly seeks feedback from its customers and employees on various aspects of its operations. Among other information sources, we use results from the Federal Employee Viewpoint Survey (FEVS) to prioritize improvements to agency operations.

The Chief Human Capital Officer (CHCO) is the leader for this strategic objective and for each of the performance goals identified below. These include (1) a Position Description Update Project, (2) a Recruitment Workgroup to develop strategies for increasing on-board staffing to meet record workload, (3) development and utilization of "skill sharing" tools to maximize staff flexibility, and (4) sponsoring selected employees for participation in a variety of leadership development programs.

Up-to-date and accurate position descriptions (PDs) are central to ensuring that the Commission can accurately evaluate and develop its workforce. In recent years, due to other priorities and lack of resources, the agency's position descriptions had not been regularly updated to reflect the current duties and requirements for many positions. Maintaining this information is crucial to ensuring mission accomplishment. The Commission convened a working group to update all of its current position descriptions and developed a repository for supervisors to access and review them. The working group is presently updating critical position

descriptions, has already deployed the repository in which the position descriptions will be housed, and has met the first year target of updating 25 percent of the current staff PDs.

Commission workload is currently at record levels and shows no signs of abatement. Additional staff are needed in virtually all major trade areas, as well as the Office of the CIO. The Commission has historically had great difficulty in meeting goals for an expanded workforce. Departures and budget uncertainty have often offset hiring initiatives. Current and projected workload levels make it imperative to add staff resources in critical areas. Assuming a favorable budget environment, we plan to increase on board staffing from its current level of just above 390, to 420 by the end of FY 2019 and to 440 by the end of FY 2020.

The Recruitment Workgroup is tasked with developing strategies to help the Commission achieve those goals. The expansion of staff resources provides an opportunity to expand outreach and other recruitment efforts to develop a more diverse workforce while ensuring mission accomplishment. The Recruitment Workgroup, in consultation with the Director of EEO and the Diversity & Inclusion Council, will identify strategies to be employed agency wide and by particular offices to improve the diversity of the applicant pool and, in turn, the diversity of the new group of hires. Progress has already occurred with respect to veteran hiring, previously an under-represented group. Targeted outreach to other underrepresented groups can be combined with a nationwide recruitment strategy to ensure the pool of applicants is more diverse. Ensuring diversity in the group of people doing the hiring for each office should also help communicate to prospective employees that diversity is valued by management. The Commission should also consider using recruitment incentives as a means to increase diversity, to the extent permitted by law.

With regard to the existing workforce, there are presently two initiatives the Commission is pursuing to improve job skills and diversity of opinions and viewpoints. First, the Commission is exploring ways to better identify and implement project-based or rotational/developmental details. A working group of staff from across the agency are presently developing and testing a new "Skill Sharing" tool to help connect project teams and offices with employees in other offices who may have skills not typically required by their primary duties to better accomplish projects facing skill gaps. Additionally, the Commission has launched an initiative to sponsor opportunities for staff to participate in a variety of leadership development programs.

Stakeholders' satisfaction with hiring practices and career development reflects their perception of the efficiency and effectiveness of our performance in those areas (performance goals M1.11, M1.12, and M1.14). Low satisfaction in any area signals a need for corrective action, whether by remedial efforts within HR or educational efforts with stakeholders to ensure they are familiar with human capital management processes. Feedback from stakeholders via intermittent and annual surveys helps us to see which facets of the hiring and career development processes stakeholders are most concerned about, and therefore helps us focus our remedial actions. We will continue our efforts to elicit feedback from stakeholders during the upcoming fiscal years to gauge satisfaction in hiring and career development.

Performance goal M1.11

Improve employee satisfaction and commitment to the agency as measured by the FEVS by achieving continuous improvement through FY 2022.

Performance goal M1.11(a)

FY 2014

Improve agency results as measured by the FEVS by achieving continuous improvement by FY 2014

FY 2014	
Target	1 percentage point improvement in overall agency-wide results over FY 2013 levels
Results	67.74% positive response rate to all questions on the FEVS, a 2 percentage point improvement over FY 2013.
Status	Target met

Performance indicator: FEVS results.

FY 2015–FY 2019

Improve agency results in specific areas measured in the FEVS

	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	Identify specific areas within FEVS for improvement based on FY 2014 FEVS set baseline	Improvement over FY 2015 baseline on identified questions	Improvement over FY 2016 results on identified questions	Improvement over FY 2017 results on identified questions	Improvement over FY 2018 results on identified questions
Results	Commission identified Employee Engagement Index and Global Satisfaction Index as the measures of performance in this area. Baselines set at 73 percent and 70 percent respectively.	Employee Engagement Index 2015 Result: 73% 2016 Result: 77% Improvement = +4% Global Satisfaction Index 2015 Result: 70% 2016 Result: 74% Improvement=+4%	Global Satisfaction 2016 = 74.48% 2017 = 74.06% Decrease of -0.41 Employee Engagement 2016 = 77.31% 2017 = 78.53 Improvement of 1.22%	Global Satisfaction = 5.37% positive response increase over 2017 Employee Engagement = 4.29% positive response increase over 2017	Pending
Status	Target met	Target met	Target partially met	Target met	Pending

Performance indicator: FEVS results.

FY 2020

Maintain agency results in specific areas measured in the FEVS

FY 2020	
Target	Maintain FY 2019 results
Results	Pending
Status	Pending

Performance indicator: FEVS results.

Performance goal M1.11(b)

FY 2020

Improve results of bottom 20 percent of assessable offices as measured by the FEVS employee engagement index in FY 2019

	FY 2020
Target	Improvement of 5 percent over FY 2019 results on identified questions that comprise employee engagement index (EEI) for bottom 20 percent of assessable offices or aggregations of offices with too few responses to be listed separately.
Results	Pending
Status	Pending

Performance indicator: FEVS results.

Performance goal M1.12

Increase stakeholder satisfaction with the extent to which recruiting efforts bring in the right human capital in an efficient way

	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	1) Improvement of 5 percentage points over the FY 2013 average in the rate of positive responses to survey questions about hiring process efficiency and the effectiveness of recruitment efforts 2) HR help desk implemented	Set baseline for Federal Employee Viewpoint Survey (FEVS) questions related to this area	Improvement over the FY 2015 average in the rate of positive responses to FEVS questions	Improvement over FY 2016 average in rate of positive responses to FEVS questions, or, if 2016 results indicate widespread satisfaction, maintain 2016 satisfaction level	Improvement over FY 2017 average in rate of positive responses to FEVS questions, or, if 2017 results indicate widespread satisfaction, maintain 2017 satisfaction level	Improvement over FY 2018 average in rate of positive responses to FEVS questions, or, if 2018 results indicate widespread satisfaction, maintain 2018 satisfaction level	Improvement over FY 2019 average in rate of positive responses to FEVS questions, or, if 2019 results indicate widespread satisfaction, maintain 2019 satisfaction level
Results	61.5% positive response rate (a 3 percentage point improvement over FY 2013) HR help desk project postponed indefinitely as other agency priorities took precedence.	Identified 3 FEVS questions (21, 27 and 29) most relevant to hiring practice and determined the USITC's current average score for the three to be 73%. This is baseline over which improvement is sought during 2016.	+3.3 percentage point improvement over FY 2015 score (2015 Average: 73.2% 2016 Average 76.6% = +3.3%).	FY 2017 Index Average = 78.17% 1.6% improvement over 2016 score of 76.57%	5.37% positive response increase over 2017	Pending	Pending
Status	Target not met	Target met	Target met	Target met	Target met	Pending	Pending

Performance indicators (FY 2014): Results of FY 2014 management survey; results of the CAO/CFO customer service survey; implementation of HR help desk. Performance indicators (FY 2015, 2016, 2017, 2018, 2019, and 2020): FEVS annual survey. Note: The FY 2012 performance goal established a customer service baseline of satisfaction with hiring practices (53%; target met). The FY 2013 performance goal was to improve upon the FY 2012 baseline. This target was not met, as the positive response rate was 42.4%. In FY 2013, the agency also separately surveyed managers to gather feedback on hiring practices. The FY 2014 target was to improve by 5 percentage points over the average of responses from the two surveys. Because of timing and resource constraints, the customer service survey was discontinued. Thus, the results reported above for FY 2014 are based solely on results from the management survey. Performance indicator (FY 2015–FY 2018): The Commission chose to use the FEVS to gauge stakeholder satisfaction with agency recruiting efforts.

Performance goal M1.13

All position descriptions for onboard personnel are reviewed and revised within the last four years to ensure that they are up to date (FY 2018–2022)

	FY 2018	FY 2019	FY 2020
Target	At least 25% of out-of-date position descriptions are reviewed and revised	At least 25% of out-of-date position descriptions are reviewed and revised	At least 25% of out-of-date position descriptions are reviewed and revised
Results	Classified PDs for 101 people in FY 2018. of about 380 employees	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Reviewed/revised position descriptions.

Performance goal M1.14

Improve stakeholder satisfaction regarding opportunities for professional development to help retain human capital

	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	5 percentage point improvement in positive response rate to relevant survey questions over FY 2013 average	Set baseline for FEVS questions related to this area	Improvement over FY 2015 results baseline on FEVS questions related to this area	Improvement over FY 2016 average in rate of positive responses to FEVS questions or, if 2016 result indicates widespread satisfaction, maintain 2016 satisfaction level	Improvement over FY 2017 average in rate of positive responses to FEVS questions, or, if 2017 result indicates widespread satisfaction, maintain 2017 satisfaction level	Improvement over FY 2018 average in rate of positive responses to FEVS questions, or, if 2018 result indicates widespread satisfaction, maintain 2018 satisfaction level	Improvement over FY 2019 average in rate of positive responses to FEVS questions, or, if 2019 result indicates widespread satisfaction, maintain 2019 satisfaction level
Results	41.7% (a 6.2 percentage-point decrease in positive response rate from FY 2013)	Identified six questions (1, 18, 43, 47, 67, 68) most relevant to stakeholder satisfaction with career development and determined the current average to be 65%. This is baseline over which improvement is sought during 2016	2.9 percentage point improvement over FY 2015 score (2015 Average: 65.3% 2016 Average: 68.2%).	FY 2017 Index Average = 68.85% 0.7 percentage point improvement over 2016 score of 68.15%	4.29 percentage point increase over 2017 in positive response	Pending	Pending
Status	Target not met.	Target met	Target met	Target met	Target Met	Pending	Pending

Performance indicators (FY 2014): Results of FY 2014 CAO and CFO customer service survey and FY 2014 management survey. Performance indicator (FY 2015, 2016, 2017, 2018, 2019, and 2020): Results of FY 2015, 2016, 2017, 2018, 2019, and 2020 FEVS questions related to this area.

Note: FY 2012 results: Met the target to establish a baseline for stakeholder satisfaction (31%). In FY 2013, did not meet the goal to improve stakeholder satisfaction over FY 2012 by 10% as survey responses indicated 31.1% of stakeholders were satisfied. In FY 2015, the Commission chose to use the FEVS to gauge stakeholder satisfaction with career development efforts. The most relevant FEVS questions were identified and the 2015 positive response rate score used as a baseline to improve upon in 2016.

Performance goal M1.15

Foster an inclusive workplace environment by improving training and development opportunities through FY 2022.

Performance goal M1.15(a)

Identify and implement project-based or rotational/developmental details within the Commission

	FY 2018	FY 2019	FY 2020
Target	Provide opportunities for staff across the agency to apply for details	Provide opportunities for staff across the agency to apply for details	Provide opportunities for staff across the agency to apply for details
Results	OP's Pilot of Skill Share tool underway. Will transition the tool to broader use in FY19.	Pending	Pending
Status	Target partially met	Pending	Pending

Performance indicator: Number of Commission project-based or rotational/development details.

Performance goal M1.15(b)

Sponsor opportunities for Commission staff to participate in a variety of leadership development programs

	FY 2018	FY 2019	FY 2020
Target	Sponsor at least two individuals at the Commission in FY 2018	Sponsor at least two individuals at the Commission in FY 2019	Sponsor at least two individuals at the Commission in FY 2020
Results	The Commission has sponsored 12 staff members to participate in the Partnership for Public Service's Excellence in Government Fellowship, which focuses on developing new Federal leaders. Additionally, USITC sent a candidate to the International Career Advancement Program at the Aspen Institute.	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Number of individuals sponsored by the Commission.

In FY 2018, we fully met all but one tracked performance goal related to Management Objective M1.1.

For FY 2019 and 2020, we will strive to continue the general upward trend we have made in overall employee satisfaction with management and the workplace since the agency began tracking FEVS results as part of its Annual Performance Planning cycle. In FY 2018 for performance goals M1.11(a), M1.12, and M1.14 (related to Global Satisfaction and Employee Engagement, hiring practices and career development), employees' positive response rates improved by over four percent each. The agency has generally improved performance each year and expects to continue that trend.

FY 2018 was the inaugural year for the USITC's position description classification project, the goal of which is to build a library of up-to-date position descriptions for every employee in the agency over four years. The USITC exceeded its first-year target of updating position

descriptions for more than 25 percent of its employees. The progress on the project continues, with the project team meeting weekly to ensure classification efforts keep pace.

The only area the Commission did not meet its target for 2018 is improving its training and development opportunities. In FY 2018, the Commission hoped to launch an employee-developed and designed application for sharing skills. While the application was developed and successfully tested, some particular technical issues and policy issues prevented it from being deployed during FY 2018. The Commission will review its approach in FY 2019 and decide whether to continue development and testing of the current application or try a different approach. The Commission did, however, greatly exceed its target for sponsoring opportunities for staff to participate in leadership development programs. In FY 2018, 12 members of its staff participating in a year-long Excellence in Government fellowship for future government leaders put on by the Partnership for Public Service. Additionally, the agency sent one of its office directors to the International Career Advancement Program at the Aspen Institute.

Management Objective M1.2

Money: Ensure good stewardship of taxpayer funds

Financial oversight and stewardship of appropriated funds are fundamental to the accountability and transparency that taxpayers demand and the President has directed federal agencies to improve, and to deliver high-quality services. To accomplish this objective, we have created three performance goals: (1) improve our financial management reports, (2) improve the efficiency and effectiveness of the acquisition process, and (3) maintain an annual unmodified audit opinion on our financial statements. The Chief Financial Officer (CFO) is the leader for this management objective.

The strategies to achieve these performance goals are as follows:

- Evaluate the relevance of our financial management reports; ensure that the data in all financial management reports are consistent with our financial accounts, and ensure timely issuance of relevant financial data that meet our managers' informational needs.
- Review our contract award processes and contract files on a quarterly basis to ensure that the Office of Procurement's acquisition process meets the needs of its customers in a timely way and that the files are accurate and complete.
- Ensure that financial controls are documented, implemented, and reviewed and refined on a regular basis to maintain an annual unmodified audit opinion.

During FY 2018, the Office of the CFO (OCFO) again refined and expanded its financial management practices and reporting capabilities. Building upon lessons learned and feedback received during the successful introduction of a new budget request process the previous year, managers were required to clearly link their personnel and non-personnel requests to performance goals. Also, the Commission's management committees took a more active role, balancing requests with risks and financial reality. OCFO personnel continued to expand their knowledge of and familiarity with the Commission's Business Intelligence (BI) tool, producing reports that increasingly met the financial management needs of managers.

The Director of Procurement continued to review contract activity each quarter to determine the extent to which established PALT deadlines were exceeded, and continued to provide weekly reports on the status of, and the activity on, each outstanding procurement request. Since PALT deadlines are only one measure of customer satisfaction with the procurement process, customers' satisfaction with the procurement process was also gauged through a survey. Finally, the training was again offered to CORs, and a new procedure for reviewing COR files was introduced.

The Director of Finance continued to review, document, and test accounting processes each quarter to ensure that key financial controls have been identified and are working as documented. These financial process and control evaluations supported the achievement of our eighth consecutive unmodified financial audit opinion during FY 2018. Additionally, during the year a new requisition process was introduced that eliminated paper forms, thereby reducing input errors and increasing efficiency.

The three long-term goals described above and shown in the charts below demonstrate our commitment to provide good stewardship of taxpayer funds.

Performance goal M1.21

Provide accurate, timely, insightful and relevant financial management reports to agency leadership on a monthly basis through FY 2022

FY 2018–FY 2022	
Target	Consistent reports; reports issued monthly; positive feedback from agency leadership about relevance and accuracy of reports
Results	Pending
Status	Pending

Performance indicators: Financial management reports that are fully consistent and timely; feedback is received from cost center managers and office directors on relevance of reports.

Performance goal M1.21(a)

Issue financial management reports that meet the needs of managers throughout the Commission

	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	Accurate reports	Accurate reports	Accurate, useful reports	Accurate, useful reports	Accurate, useful reports	Accurate, reports
Results	Reports were accurate.	Reports were accurate.	Reports were accurate, and increasingly useful	Reports were accurate; more detailed reports requested	Pending	Pending
Status	Target met	Target met	Target partially met	Target partially met	Pending	Pending

Performance indicator: Reports are fully consistent with financial accounts; reports reflect improvements in response to user feedback.

Performance goal M1.21(b)

Issue monthly financial management reports on a timely basis

	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	Reports issued monthly	Reports issued monthly	Reports issued monthly	Reports issued monthly	Reports issued monthly	Reports issued timely, at least monthly
Results	Reports were timely.	Reports were timely.	Reports were timely.	Reports were timely	Pending	Pending
Status	Target met	Target met	Target met	Target met	Pending	Pending

Performance indicator: Timely issuance of reports.

Most of the targets for the M 1.21 sub goals were met in FY 2018. The OCFO, working with the OCIO, was able to produce an increasing number of reports within the given timeframes using the Business Intelligence tool that increasingly meet the financial management needs of Commission Cost Center Managers and office directors. We will continue to use the software to develop improved reports that will allow managers access to information that until now was difficult to obtain. Such access facilitates informed operational and business decisions.

Performance goal M1.22

Improve effectiveness and efficiency of acquisitions during FY 2018–FY 2022 by making continuous process improvements

	FY 2018–FY 2022
Target	Quarterly review reports demonstrate incremental improvements in effectiveness and efficiency of acquisitions
Results	Pending
Status	Pending

Performance indicators: Timeliness and accuracy of procurement actions; cost savings to the government.

Other indicator: Customer feedback.

Performance goal M1.22(a)

FY 2014–FY 2016

Reduce the share of procurement actions that exceed the Procurement Action Lead Time (PALT)

	FY 2014	FY 2015	FY 2016
Target	Quarterly PALT reviews that show a 6% reduction of procurement actions that exceed the PALT in FY 2014	Quarterly PALT reviews that show a 4% reduction of procurement actions that exceed the PALT in FY 2015 from the FY 2014 level	Quarterly PALT reviews that show a 2% reduction of procurement actions that exceed the PALT in FY 2016 from the FY 2015 level
Results	Reducing the number of procurement actions that exceeded the PALT by 6% from FY 2013 levels required that no more than 3.8% of these actions exceeded the PALT. Total FY 2014 procurement actions exceeding PALT were 4.1 percent.	Although the Office of Procurement was on target through first three quarters, many actions exceeded the PALT in Q4, and as a result, the target was not met.	During FY 2016, 90.5% of procurement actions met the PALT.
Status	Target not met	Target not met	Target not met

Performance indicator: Share of procurement actions that exceed the PALT.

FY 2017–FY 2020

97% of procurement actions meet the PALT

	FY 2017	FY 2018	FY 2019	FY 2020
Target	Quarterly PALT reviews show that 97% of procurement actions meet the PALT in FY 2017	Quarterly PALT reviews show that 97% of procurement actions meet the PALT in FY 2018	Quarterly PALT reviews show that 97% of procurement actions meet the PALT in FY 2019	Quarterly PALT reviews show that 97% of procurement actions met the PALT in FY 2020
Results	92.2% of actions met the PALT	95.7% of actions met the PALT	Pending	Pending
Status	Target not met	Target not met	Pending	Pending

Performance indicator: Share of procurement actions that exceed the PALT.

Performance goal M1.22(b)

FY 2014

Reduce by 6% the number of contract files that require correction in FY 2014

	FY 2014
Target	Quarterly contract file reviews that show a 6% reduction in the number of files that require correction
Results	Of the 284 procurement actions during FY 2014, 8 required correction (2.8 percent). This was less than the not-to-exceed rate of 10 corrections.
Status	Target met

Performance indicator: Number of contract files requiring correction.

FY 2015–FY 2020

Provide accurate, weekly electronic status reporting of all current/pending procurement actions to Cost Center Managers (CCMs) and Contracting Officer Representatives (CORs) during each fiscal year

	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	Accurate, up-to-date reports issued weekly	Accurate, up-to-date reports issued weekly	Accurate, up-to-date reports issued weekly	Accurate, up-to-date reports issued weekly	Accurate, up-to-date reports issued weekly	Accurate, up-to-date reports issued weekly
Results	Requisition reports, which contained the detailed status of every active procurement action, were issued on a weekly basis during FY 2015.	Requisition reports, which contained the detailed status of every active procurement action, were issued on a weekly basis during FY 2016.	Accurate reports were issued weekly	Accurate reports were issued weekly	Pending	Pending
Status	Target met	Target met	Target met	Target met	Pending	Pending

Performance indicators: Reports are timely, accurate, and up to date.

Other indicator: Customer feedback.

Performance goal M1.22(c)

FY 2014–FY 2015

Refine PALT timelines and reduce timelines to enhance procurement's efficiency in contributing to the agency's mission

	FY 2014	FY 2015
Target	PALT timelines are refined and reduced by 3%	PALT timelines are refined and reduced by 5% from the FY 2014 levels
Results	All PALT timelines reduced by at least 3 percent.	All PALT timelines were reduced by 5 percent from 2014 levels.
Status	Target met	Target met

Performance indicators: PALT timelines.

FY 2016

Refine and reduce PALT timelines to the extent possible by the end of FY 2016 to enhance procurement's efficiency in contributing to the agency's mission, and gauge management satisfaction with procurement process via internal survey

	FY 2016
Target	PALT timelines are refined and reduced, as appropriate; gauge management satisfaction with procurement process through internal surveys
Results	PALT timelines were reviewed and reduced as appropriate. We do not expect to reduce them further over the next few years. The survey results showed improvement from 2015 levels, as 80 percent of those responding were very satisfied with the procurement process (67 percent in FY 2015), with the remaining 20 percent satisfied with the process (33 percent in FY 2015).
Status	Target met

Performance indicators: PALT timelines.

FY 2017–FY 2020

Gauge satisfaction with procurement process, including efforts to incorporate suggestions/feedback into process, via internal surveys

	FY 2017	FY 2018	FY 2019	FY 2020
Target	Gauge satisfaction with procurement process, including efforts to incorporate suggestions/feedback into process, through internal surveys	Improve satisfaction level relative to performance in FY 2017	Improve satisfaction level relative to performance in FY 2018	At least maintain satisfaction level relative to FY 2019
Results	Pending—delay in issuing survey	Although the results of the survey were essentially the same as previous results, there was a much larger response rate, suggesting broader satisfaction with the process	Pending	Pending
Status	Target not met	Target met	Pending	Pending

Performance indicators: Survey results.

Performance goal M1.22(d)

Ensure that all agency Contract Officer Representatives (CORs) have been properly trained and are maintaining proper COR files

	FY 2018	FY 2019	FY 2020
Target	At least 70% of sampled COR files are maintained properly	At least 85% of sampled COR files are maintained properly.	At least 85 % of sampled COR files are maintained properly, and COR training is offered as needed
Results	Two well-attended on-site COR training classes were offered. While the sampling of COR files was delayed until FY 2019, new online COR workspaces were created during the FY and are ready for use.	Pending	Pending
Status	Target partially met	Pending	Pending

Performance Indicator: Random Sampling of Contract Files for Q2/Q3.

The Commission made solid progress improving its acquisition processes in FY 2018. We met our goal for issuing timely and accurate reports. Although the stretch goal of 97 percent of procurement actions meeting the PALT was not met, the fact that we achieved 95.3 percent was an excellent result, given that the office was not fully staffed until late in the fiscal year. Next, the response rate for the procurement survey was much higher than the previous one, and the results were again overwhelmingly positive. With regards to ensuring that CORs are properly trained and maintaining the proper records and files, two on-site well-attended COR training classes were offered. Finally, while sample COR files were not reviewed for completeness, online COR workspaces were created and are ready to be utilized.

Performance goal M1.23

Maintain a robust and effective system of financial management and internal controls to achieve an annual unmodified audit opinion on the agency's financial statements from FY 2018 through FY 2022

FY 2018–FY 2022	
Target	Unmodified audit opinion
Results	Pending
Status	Pending

Performance indicator: Audit opinion on the agency financial statements.

Performance goal M1.23(a)

Maintain a robust system of financial management and internal controls to achieve an annual unmodified audit opinion on the agency's financial statements

	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	Unmodified audit opinion	Unmodified audit opinion	Unmodified audit opinion	Unmodified audit opinion	Unmodified audit opinion	Unmodified audit opinion	Unmodified audit opinion
Results	Unmodified audit opinion	Unmodified audit opinion	Unmodified audit opinion	Unmodified audit opinion	Unmodified audit opinion	Pending	Pending
Status	Target met	Target met	Target met	Target met	Target met	Pending	Pending

Performance indicators: Audit opinion on the agency financial statements.

The goal of obtaining an unmodified audit opinion was again met. In order to ensure we continue to receive an unmodified opinion, we constantly review, document, test, and refine our financial management practices.

Performance goal M1.24

Develop and implement a budget process that broadly increases Commission participation and responsibility at all levels, and that clearly links budget formulation with performance planning

	FY 2018	FY 2019	FY 2020
Target	Managers at all levels project workloads; estimate and justify the personnel and other resources needed; and clearly link budget formulation to performance planning to provide justification for requests	Managers at all levels project workloads; estimate and justify the personnel and other resources needed; and clearly link budget formulation to performance planning to provide justification for requests	Managers at all levels project workloads; estimate and justify the personnel and other resources needed; and clearly link budget formulation to performance planning to provide justification for requests
Results	Managers at all levels projected workloads, estimated and justified the personnel and other resources needed, and clearly linked budget formulation to performance planning to provide justification for requests. Moreover, changes made to the process this year were all well received and made the process that much more transparent and inclusive.	Pending	Pending
Status	Target met	Pending	Pending

Performance indicators: Increased participation by managers in budget process; documentation to support resource requests.

The goal was met as broader management participation and various process changes led to a more transparent and inclusive process and an improved end product.

Management Objective M1.3

Technology: Identify, deliver, and secure reliable enterprise information systems

High performing IT services are critical to accomplishing the agency's mission. To support the Commission and government-wide goals and objectives, the Commission will continue to provide technology, security, infrastructure, planning, consulting, acquisition, implementation, testing, and ongoing technical support for IT services.

The Commission met several information technology (IT) goals for FY 2018 and looks to continue that momentum by finalizing several key initiatives early in FY 2019 and continuing progress on additional modernization projects which advance the agency's cybersecurity posture and improve its operating efficiency. Of particular note are those initiatives which address government-wide cybersecurity priorities including:

- Deployment of HSPD-12 for remote access
- Ensuring all our systems have a valid Authority to Operate
- Retirement of older systems lacking a security configuration baseline

We recognize the importance of effective information resources management and are focusing significant effort and resources on addressing our needs in this area, including priorities contained in various federal initiatives.

Our management objective M1.3 is intended to ensure that IT resources support our mission. Our IT performance goals for FY 2019 and 2020 quantify how the Office of the Chief Information Officer (OCIO) intends to support this objective. The CIO is the leader for this management objective.

Performance goal M1.31 strives to maintain a high level of delivery and support of IT services. Building on the baseline established in FY 2014 and improvements made in FY 2015 through FY 2018, we continued measuring the availability of important IT systems to ensure they are able to consistently support our mission. The goal for FY 2019 and 2020 is to ensure critical IT systems are available at a high level such that the agency is able to conduct its operations with little to no impact on efficiency and capability. Efforts toward improving and ensuring high availability of critical systems include migration of email services to a cloud provider in FY 2018 and SharePoint services in FY 2019. Additionally, the OCIO will continue to seek user feedback on delivery and support of IT services through surveys, open houses or other meetings to identify and prioritize suggested improvements.

Performance goal M1.32 endeavors to ensure agency IT security by complying with federal cybersecurity priorities. In FY 2018 the agency enhanced its procedures for implementing

security configuration baselines for new desktop workstations and servers (both Windows and Linux) which comprise agency-wide systems. As indicated through improved monitoring, significant improvement was made to easily exceed the goal of implementing over 95% of security configuration settings. In FY 2018, we switched to a Virtual Private Network (VPN) capability requiring HSPD-12 authentication for remote access, replacing our existing Citrix remote access capability. In FY 2017 the Commission only had a valid Authority to Operate (ATO) for one of its identified systems, and deemed addressing this material weakness as a high priority. In FY 2018, the Commission reassessed its IT systems, reducing the number to three. During that time, the ATOs for EDIS and the HTS Search and DMS were renewed and the independent security control assessment for ITCNet was scheduled for FY 2019.

Performance goal M1.31

Improve delivery of IT solutions to better **support Commission customers through 2022**

FY 2018–FY 2022	
Target	Continuation of program
Results	See M1.31 (a)
Status	Pending

Performance indicators: Continued refinement of program for tracking percentage availability to users of IT systems that are important to internal and external customers.

Performance goal M1.31(a)

FY 2014

Develop and implement program for tracking systems availability to users by end of third quarter FY 2014

FY 2014	
Target	Development and implementation of program
Results	The program and standards to measure availability of critical systems were implemented in FY 2014.
Status	Target met

Performance indicators: Development of program for defining and tracking percentage availability to users of important IT systems, and implementation of program by end of third quarter FY 2014.

FY 2015

Improve system availability to users of important IT systems over FY 2014 baseline by end of FY 2015

FY 2015	
Target	Improvement over FY 2014 baseline
Results	The average is by fiscal year. Comparable data weren't available. Data were captured for 4 months in FY 2014 versus 12 months in FY 2015.
Status	Target not met

Performance indicator: Percentage of availability to users of important IT systems.

FY 2016

Maintain or improve system availability to users of important IT systems over FY 2015 levels by end of FY 2016

FY 2016	
Target	Maintain or improve over previous FY
Results	System uptime improved in FY 2016 over FY 2015 for all six systems measured.
Status	Target met

Performance indicator: Percentage of availability to users of important IT systems.

FY 2017–FY 2020

Maintain high level of system availability to users of important IT systems

	FY 2017	FY 2018	FY 2019	FY 2020
Target	Maintain system uptime of at least an average of 99.0% availability for all measured systems.	Maintain system uptime of at least an average of 99.0% availability for all measured systems excluding scheduled maintenance.	Maintain system uptime of at least an average of 99.0% availability or meeting SLA for cloud-based services for all measured systems excluding scheduled maintenance.	Maintain system uptime of at least an average of 99.0% availability or meeting SLA for cloud-based services for all measured systems excluding scheduled maintenance.
Results	Five of six measured systems exceeded the baseline of 99.0% availability, which did not meet the target of all measured systems. Email availability was measured at 98.66% available	Four of six measured systems exceeded the baseline of 99.0% availability, which did not meet the target of all measured systems. Not meeting the baseline availability were Email at 96.23% and SharePoint at 98.21%.	Pending	Pending
Status	Target not met	Target not met	Pending	Pending

Performance indicators: Percentage of availability to users of the following systems: Local Area Network (LAN), Remote Access, EDIS, HTS, and SharePoint. Meeting SLA for Cloud Email service.

Note: When services move to the cloud this uptime performance indicator may be modified to reflect the contractual SLA.

Performance goal M1.32

Ensure a robust security posture by successfully developing capabilities consistent with government-wide cyber security priorities

FY 2018–FY 2022	
Target	Priorities established annually
Results	Pending
Status	Pending

Performance indicators: Development of capabilities consistent with government-wide priorities.

Performance goal M1.32(a)

FY 2015–FY 2016

Implement and verify security configuration baselines for 100% of new enterprise-wide operating systems

	FY 2015	FY 2016
Target	100% of new production environment hosts have an approved secure baseline configuration	100% of new production environment hosts have an approved secure baseline configuration
Results	Baseline configuration settings were successfully applied to 98% of all new hosts. Successful application of the baseline configuration to the remaining new hosts and existing legacy systems is underway.	Baseline configuration settings were successfully applied to 98% of all new hosts. Successful application of the baseline configuration to the remaining new hosts is underway.
Status	Target not met	Target not met

Performance indicators: Scans of production devices.

FY 2017

Implement and verify United States Government Configuration Baseline (USGCB) for 100% of new workstations running Windows operating systems

	FY 2017
Target	100% of new Windows workstations have an approved secure baseline configuration applied when deployed.
Results	99.92% of 41,584 security configuration baseline settings across 134 new workstations were compliant, just missing the goal of 100% compliance
Status	Target not met

Performance indicator: Scans of production devices.

FY 2018

Implement and verify secure configuration on workstations and servers for 95% of baseline settings

	FY 2018
Target	Secure configuration baselines on workstations and servers implementing 95% of baseline settings.
Results	99.24% of 94,332 baseline security configuration settings passed for 483 new workstations and servers, exceeding the goal by 4.24%
Status	Target met

Performance indicator: Scans of production devices. Reported as a percent of total configuration baseline settings.

FY 2019–FY 2020

Implement and verify secure configuration baselines on all new workstations and servers for 100% of baseline settings

	FY 2019	FY 2020
Target	Secure configuration baselines on 100% of new workstations and servers implementing 100% of baseline settings.	Secure configuration baselines on 100% of new workstations and servers implementing 100% of baseline settings.
Results	Pending	Pending
Status	Pending	Pending

Performance indicators: Scans of new production devices show 100% compliance of baseline settings upon delivery to production. Reported as a percent of number of new devices issued which are 100% compliant. If one setting fails when issued, then the device is not compliant.

Performance goal M1.32(b)

FY 2016–FY 2019

Ensure Commission information systems have a valid Authorization to Operate

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020
Target	100% (subject to availability of resources)	100% (subject to availability of resources)	100%	100%	100%
Results	One out of five (20%) Commission information systems have a valid Authorization to Operate (ATO).	One out of six (16.67%) Commission information systems have a valid ATO.	One out of three (33.33%) Commission information systems have a valid ATO.	Pending	Pending
Status	Target not met	Target not met	Target not met	Pending	Pending

Performance indicator: Number of Commission information systems with an ATO divided by the total number of Commission information systems.

Performance goal M1.32(c)

FY 2017–FY 2018

HSPD-12 required for remote access to the network

	FY 2017	FY 2018
Target	95% (on average) of required users consistently enabled	95% (on average) of HSPD-12 users consistently enabled
Results	Pilot deployment in place	Remote access requires VPN using HSPD-12 PIV card.
Status	Target not met	Target met

Performance indicators: Percentage of accounts of HSPD-12 holders requiring HSPD-12 for login to systems.

Performance goal M1.32(d)

FY 2019–FY 2020

Maintain and verify secure configuration baselines on all baselined workstations and servers for 99% of baseline settings

	FY 2019	FY 2020
Target	99% of secure configuration baseline settings maintained on all baselined workstations and servers.	99% of secure configuration baseline settings maintained on all baselined workstations and servers.
Results	Pending	Pending
Status	Pending	Pending

Performance indicators: Scans of production devices which were baseline upon issuance. Reported as a percent of total configuration baseline settings which are compliant.

Performance goal M1.32(e)

FY 2019–FY 2020

Reduce the number of production workstations and servers without secure configuration baselines applied

	FY 2019	FY 2020
Target	Reduce the inventory of non-baselined workstations and servers by 40% from the beginning year inventory.	Reduce the inventory of non-baselined workstations and servers by 40% from the beginning year inventory.
Results	Pending	Pending
Status	Pending	Pending

Performance indicators: Non-baselined servers and workstations removed from production. Reported as a percent reduction in the number of non-baselined workstations and servers from the beginning of the year.

Note: Inventory established as of October 1, 2018.

Performance goal M1.33

Improve integrity, delivery, and usability of USITC information assets by enabling access to 100% of the Commission's major datasets using Open Data-compliant machine-readable formats by the end of FY 2022.⁷

Performance goal M1.33(a)

FY 2018 – FY 2020

All new major systems deployed to production will be Open Data compliant

	FY 2018	FY 2019	FY 2020
Target	Public data behind all new major systems deployed to production in FY 2018 will be available in machine-readable format and accessible on the USITC Open Data webpage	Public data behind all new major systems deployed to production in FY 2019 will be available in machine-readable format and accessible on the USITC Open Data webpage	Public data behind all new major systems deployed to production in FY 2020 will be available in machine-readable format and accessible on the USITC Open Data webpage
Results	Updates were implemented to include all new 2018 datasets on the Open Data webpage, but technical issues have prevented all the data from currently appearing on the data.gov website.	Pending	Pending
Status	Target partially met	Pending	Pending

Performance indicator: Availability of information systems providing Open Data.

Note: The Commission deferred action on this goal in FY 2016 and did not meet its target for this goal in FY 2017. The full performance results for performance goal M1.33 (a) for these years are reported in the Commission's Annual Performance Plan, FY 2018-2019 and Annual Performance Report, FY 2017.

Performance goal M1.34

Utilize cloud services where feasible to reduce infrastructure resource requirements, increase flexibility to scale solutions as needed, and expand solution options for business units

	FY 2018–FY 2022
Target	Determined annually
Results	Ongoing
Status	Ongoing

Performance indicators: Identified services and infrastructure are fully migrated to the cloud provider.

FY 2018

Research, procure, and implement cloud-based email solution

	FY 2018
Target	All staff able to utilize email solution and access migrated content. Determine priorities for FY 2019.
Results	Cloud-based email services were acquired and most email accounts were migrated by the end of FY 2018.
Status	Target met

Performance indicator: Email services fully migrated to cloud provider.

⁷ Originally, we set this goal for completion in FY 2015.

FY 2019

Research, procure, and implement cloud-based solutions for surveys and Office 365

FY 2019	
Target	Acquire and utilize cloud-based services for issuing surveys and providing Microsoft Office 365. Determine priorities for FY 2020.
Results	Pending
Status	Pending

Performance indicator: Contract for service to create and issue surveys and receive responses awarded. Survey service enabled and utilized. In-house survey tool de-commissioned. Contract to provide Microsoft Office 365 services awarded and utilized by staff.

FY 2020

Implement cloud-based solutions identified in FY 2019

FY 2020	
Target	Implement priorities established at the end of FY 2019
Results	Pending
Status	Pending

Performance indicator: Priorities established in FY 2019 implemented.

In FY 2018, only one of our annual information technology targets was met, with the remainder either narrowly missed or in progress to be met shortly. We missed our system availability goal of 99% for two of six measured systems. Both of these systems (email and SharePoint) are at the forefront of the Commission's cloud migration strategy. The email migration to the cloud was successfully completed in December 2018 and the SharePoint migration will begin in early 2019. We met our goal requiring HSPD-12 compliant credentials for remote access.

We made substantial progress towards meeting our goals for applying security configuration baselines to the operating systems of all new production environment hosts, including laptop workstations and servers. The point-in-time measurements taken for these goals indicated we were compliant on 99.24% of baseline settings for our laptop workstations, and servers. In FY 2018 all new datasets were made available in a machine readable format on the Commission's Open Data webpage. Minor technical issues on the data.gov are currently preventing the data from appearing on that website. We plan to work with data.gov resources to resolve the technical issue preventing our data from appearing on the website in 2019.

In FY 2019, in addition to its goal to measure compliance of applying security configuration baselines on new workstations and servers, the agency added new goals to further track its security compliance across all baselined devices in its IT environment and to reduce the number of old devices which do not have baselines applied. Another goal was also added to align with the federal cloud computing strategy and a more recent Executive Order to migrate more IT services to the cloud, with cloud-based solutions being planned for surveys and Office 365 in FY 2019.

Management Objective M1.4

Operational Effectiveness: Evaluate and improve processes and communication

Operational effectiveness is about continually improving functional performance. To accomplish this, managers lead and control the functional activities within the agency, and continually measure and improve the processes for which they are responsible.

Strategies we will continue to use in order to meet this management objective include:

- using ERM to identify risks and establish priorities to inform decision makers
- refocusing available resources to support agency-wide policy development
- investing and modernizing our IT infrastructure and management systems

The Commission recognizes that resource constraints, unexpected external requirements, and other priorities may slow efforts to fully accomplish all of its planned initiatives in the near future. However, we believe that recent developments—in particular expanded IT capabilities both within and outside of the OCIO, and increased managerial focus on this and related issues—may mitigate these constraints.

In addition, the Commission is committed to maintaining a safe and secure operating environment for all its employees. We will continue to cultivate a culture of awareness of physical and personnel safety and security concerns. Strategies to promote physical and personnel safety and security include:

- Communicating important security information to promote employee confidence with the agency's security posture
- Providing information regarding employee health and safety to address employee concerns about the Commission's working environment
- Providing agency-wide training for employees on security threats in FY 2019
- Maintaining progress on the Position Description Review Project while fully integrating the review of position risk and sensitivity designations into that periodic review

The leader for this management objective is the Director of Operations.

Performance goal M1.41

Improve the efficiency and timely delivery of Commission products by evaluating and implementing improved processes of the agency through FY 2022.

Performance goal M1.41(a)

FY 2017

Improve the efficiency and timely delivery of Commission products by evaluating and implementing improved production processes

FY 2017	
Target	Implement new processes or process improvements, where identified; evaluate effectiveness of new or amended processes; complete evaluation of one additional process.
Results	Identified and implemented process improvements for fact-finding investigations based on input from project teams and management. Conducted process mapping for Round Tables and the 484f Committee.
Status	Target met

Performance indicators: Number of major production processes identified; process improvements identified, implemented, and evaluated.

Note: Performance goal M1.41 (a) was changed for FY 2018 and FY 2019 to more broadly cover Commission production and operational processes. FY 2017 performance results for this performance goal (formerly performance goal 2.12(b)) are reported above. FY 2014-FY 2016 performance results for performance goal 2.12(b) are reported in the Commission's Annual Performance Plan, FY 2017-2018 and Annual Performance Report, FY 2016.

FY 2018–FY 2020

Improve the production and timely delivery of Commission products and identify other process improvements that can be made throughout the agency by evaluating and implementing improved processes

	FY 2018	FY 2019	FY 2020
Target	Use internal and external performance audits, as well as performance management, ERM, and annual Statement of Assurance reporting activities to identify agency processes most in need of improvement; evaluate and implement new processes or process improvements, where identified; evaluate effectiveness of new or amended processes.	Use internal and external performance audits, as well as performance management, ERM, and annual Statement of Assurance reporting activities to identify agency processes most in need of improvement; evaluate and implement new processes or process improvements, where identified; evaluate effectiveness of new or amended processes	Use internal and external performance audits, as well as performance management, ERM, and annual Statement of Assurance reporting activities to identify agency processes most in need of improvement; evaluate and implement new processes or process improvements, where identified; evaluate effectiveness of new or amended processes
Results	Continued refinement of various agency processes such as those pertaining to fact-finding investigations, records retention, budget formulation, and the MTB petitions.	Pending	Pending
Status	Target met	Pending	Pending

Performance indicators: Number of major processes identified; process improvements identified, implemented, and evaluated.

During FY 2018, agency staff continued to improve processes and tools for fact-finding reports. In particular, staff evaluated a new formatting tool that helps streamline the report production process. Staff across the agency also developed a new budget formulation process that more effectively integrates our performance planning and enterprise risk management. In addition, we began to evaluate the MTB petition process and will be making adjustments to it in preparation for the cycle that begins in FY 2020.

Over the next few years, the Commission will continue to focus efforts on improving the production and delivery of Commission products and identifying other operational improvements that can be made to agency processes. The Commission will use a number of methods such as internal and external performance audits, as well as performance management, ERM, and annual Statement of Assurance reporting activities to identify areas most in need of improvement. The agency will also evaluate the effectiveness of the process changes to determine whether the changes resulted in expected improvements in the quality or efficiency of the agency's operations.

Performance goal M1.42

Maintain an agency portfolio of enterprise risks through FY 2022.

Performance goal M1.42(a)

100% of offices throughout the agency conduct assessments for new risks and review of 100% of previously identified risks at least on a quarterly basis (FY 2018–FY 2022)

	FY 2018	FY 2019	FY 2020
Target	100% of offices throughout the agency conduct assessments for new risks and review of all previously identified risks at least on a quarterly basis	100% of offices throughout the agency conduct assessments for new risks and review of all previously identified risks at least on a quarterly basis	100% of offices throughout the agency conduct assessments for new risks and review of all previously identified risks at least on a quarterly basis
Results	Office Directors performed ongoing assessments to identify, manage, and update risks in the Enterprise Risk Management (ERM) database. Performance of this assessment/review was documented within the ERM database and provided to the Performance Management and Strategic Planning Committee for further discussion as exemplified in the results for performance goal M1.42(b)	Pending	Pending
Status	Target met	Pending	Pending

Performance indicators: Office Directors' certification of quarterly assessment for new risks/review of previously identified risks. Performance of this assessment/review is documented within the ERM database.

Performance goal M1.42(b)

100% of identified agency risks are reviewed by the Performance Management and Strategic Planning Committee at least on a quarterly basis (FY 2018–FY 2022)

	FY 2018	FY 2019	FY 2020
Target	PMSPC reviews 100% of identified risks at least on a quarterly basis	PMSPC reviews 100% of identified risks at least on a quarterly basis	PMSPC reviews 100% of identified risks at least on a quarterly basis
Results	The Committee used the risk profile developed from the risks identified by Office Directors in the ERM database to rank risks from an agency-wide perspective. Risks were discussed, prioritized, and reviewed to provide the Chairman an assessment of the risks the agency faces arising from its operations and mission-support activities.	Pending	Pending
Status	Target met	Pending	Pending

Performance indicators: PMSPC-generated quarterly top agency risk summary for Chairman's review.

The Commission uses an Enterprise Risk Management (ERM) framework to manage risks and consider opportunities related to achievement of objectives. This framework allows the Commission to monitor risks in all areas of the agency and better ensure organizational efficiency and effectiveness. During FY 2018, senior executives and managers regularly assessed agency risks and used that information to inform planning and budget formulation decisions.

Performance goal M1.43

Redesign policies and procedures for managing the system of internal rules and update all content within it through FY 2022.

Performance goal M1.43(a)

FY 2018

Obtain Commission approval and begin implementation of proposed system of internal rules

	FY 2018
Target	Obtain Commission approval for new system of internal rules, issue or update mission and function Statement Directives for all USITC offices, issue or update all committee charter Directives for all agency-wide management committees, issue System of Internal Rules Handbook.
Results	Commission approved new system. Multiple Directives and Designation issued.
Status	Target partially met

Performance indicator: Approved and recorded Directives establishing the new system of internal rules, approved and recorded Directives containing Mission and Functions statements for all USITC offices and agency-wide activities.

FY 2019

Implement a new electronic repository of record that ensures accessibility and usability of rules and update of internal rules and update, issue, and consolidate most critical policies and procedures

FY 2019

Target	Fully deploy new internal rules application with improved metadata and search; identify and issue or update most critical policy Directives; identify and reissue most critical policies currently in Administrative Orders as (or consolidate into) Directives; and identify and issue most critical procedures as Handbooks.
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Results	Pending
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Status	Pending
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Performance indicator: Repository of record for the system of internal rules deployed to all USITC employees, USITC Administrative action tracking tool, tentatively called "Workhorse", currently in development.

FY 2020

Update, issue, and consolidate most critical policies and procedures

FY 2020

Target	Identify and issue or update most critical policy Directives, identify and reissue most critical policies currently in Administrative Orders as (or consolidate into) Directives, and identify and issue most critical procedures as Handbooks.
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Results	Pending
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Status	Pending
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Performance indicator: New and updated most critical policy Directives; most critical procedures Handbooks

The Commission's system of internal rules communicates policies, procedures, guidance, and other material related to the activities of the agency. Policies delegate authority, designate roles, assign responsibilities and require accountability to meet the objectives of the Commission. Policies also set the tone for employee conduct and expected behavior and set the direction for how the Commission complies with certain laws and regulations in its daily operations. For policies to be effective they should be current, relevant, readily accessible, and easily understood. The agency strives to provide personnel with information in the right place, at the right time, and in a useful format. The Commission has convened an agency-wide management committee to review and update all of its internal rules, and to review policies on a scheduled cycle.

Although considerable progress was made, the development of Mission and Functions Statements raised more legal issues than anticipated, which led to more time spent on development than expected. The first set of Mission and Functions statements were approved early in Q2 FY 2019. The remaining Mission and Functions Statements, key policy Directives, and the System of Internal Rules Handbook are planned for completion in 2019.

Performance goal M1.44

Improve 508 compliance of agency information through FY 2022.

FY 2015

All USITC-generated documents related to fact-finding investigations requested during FY 2015 that are posted to the USITC website are 508 compliant

FY 2015	
Target	100% 508 compliance
Results	In addition to all fact finding investigations requested during FY 2015 being produced in 508-compliant formats, the Commission also produced several other compliant reports.
Status	Target exceeded

Performance indicator: USITC-generated documents posted to the website related to investigations requested in FY 2015.

FY 2016

USITC-generated documents related to fact-finding investigations requested in FY 2016 and recurring reports and staff research products initiated in FY 2016 are 508 compliant

FY 2016	
Target	100% 508 compliance for fact finding investigation documents posted to the USITC website; 100% 508 compliance for staff research products (<i>Journal of International Commerce and Economics</i> and working papers) posted to the USITC website
Results	All requested reports and recurring reports completed during the period were 508 compliant. All working papers initiated during FY 2016 were 508 compliant. JICE articles initiated and published during the fiscal year were also 508 compliant.
Status	Target met

Performance indicator: USITC-generated documents posted to the website related to investigations requested in FY 2016; staff research initiated in FY 2016.

FY 2017

USITC-generated documents related to fact-finding investigations requested in FY 2017 and recurring reports and staff research products initiated in FY 2017 are 508 compliant

FY 2017	
Target	100% 508 compliance for fact finding investigation documents posted to the USITC website; 100% 508 compliance for staff research products (JICE and working papers) posted to the USITC website
Results	All fact-finding investigations, staff working papers, and JICE articles were 508-compliant
Status	Target met

Performance indicator: USITC-generated documents posted to the website related to investigations requested in FY 2017.

FY 2018–FY 2020

Improve 508 compliance of public information

	FY 2018	FY 2019	FY 2020
Target	100% 508 compliance for fact-finding investigation documents posted to the USITC website; 100% 508 compliance for staff research products (JICE and working papers) posted to the USITC website; develop templates to expand scope of compliance	Continue to develop templates or processes for additional types of public documents; Use templates developed in FY 2018 to produce a wider range of 508 compliant documents	Continue to develop templates or processes for additional types of public documents; Use templates developed in FY 2019 to produce a wider range of 508 compliant documents
Results	All fact-finding investigations, staff working papers, and JICE articles were 508-compliant; Commission staff developed a plan to bring Title VII investigation documents into compliance.	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator:

- USITC.gov content analysis report
- Number of templates created for 508 conversions

In FY 2018 we continued to publish 508-compliant fact-finding reports as well as various staff publications. Commission staff also evaluated Title VII publications and developed a plan to bring those documents into full compliance.

Over the next few years, the Commission will continue its efforts to increase the accessibility of the written materials it provides the public by gaining full 508 compliance for its public documents. This supports its broader efforts to improve transparency and customer service.

Performance goal M1.45

Improve resource use, performance management, and internal controls by utilizing business intelligence software to develop and provide Commission managers with useful management reports through FY 2022.

Performance goal M1.45(a)

FY 2017

Using recently acquired business intelligence software, determine the reporting needs of managers, set a schedule to deliver the reports, and begin development and delivery of selected reports by the end of FY 2017

FY 2017	
Target	Identification of reporting needs and schedule completed; selected reports developed and delivered
Results	Reporting needs documented, prototype for budget report developed
Status	Target partially met

Performance indicator: Development and deployment milestones; effective reports.

Note: In FY 2014, 2015, and FY 2016, the agency established goals to improve agency-wide reporting to support more effective enterprise management. Resource constraints slowed progress toward meeting the goal of developing an enterprise management system. For additional detail, see the Commission's Annual Performance Plan FY 2017–2018 and Annual Performance Report, FY 2016, performance goal C2.1 (a).

FY 2018–FY 2020

Continue to identify, refine, and deliver agency-wide management reports

	FY 2018	FY 2019	FY 2020
Target	Timely delivery of and continual improvement of management reports identified in FY 2017; continued development of new reports based on feedback from managers	Timely delivery of and continual improvement of management reports; continued development of new reports based on feedback from managers	Timely delivery of, and continual improvement of management reports; continued development of new reports based on feedback from managers
Results	While reports were accurate, we continue to work on timeliness and the ability to provide more detailed reports	Pending	Pending
Status	Target partially met	Pending	Pending

Performance indicators: Effective and timely management reports; feedback results from managers.

In recent years the Commission has made significant improvements in the management of its administrative and program operations. Over the next few years, our goal is to enhance our overall efficiency and effectiveness by improving resource and performance management information. We have made, and continue to make, incremental improvements in our ability to capture and report financial and operational data that meet the needs of our managers. We recognize that resource constraints and other priorities may impede our ability to procure a new system or systems that fully address our reporting needs in the near future. However, we believe that recent developments—in particular expanded IT capabilities both within and

outside of the OCIO, and increased managerial focus on this and related issues—may alleviate these constraints.

After obtaining business intelligence software in FY 2016, we developed pilot reports throughout 2017 which allowed us to extract information and develop reports without investing in a new system. During FY 2018 the Commission built upon these successes and was able to produce an increasing number of reports using the Business Intelligence tool that better meet the financial management needs of Commission Cost Center Managers and office directors. We will continue to use the software to develop improved reports that will allow managers access to information that until now was difficult to obtain. Such access facilitates informed operational and business decisions.

Performance goal M1.46

Make continuous improvements to the Commission’s web presence, including use of other evolving technologies (e.g., mobile applications, streaming video, rich Internet capabilities) that benefit Commission customers and lead to improvements in user satisfaction

	FY 2017	FY 2018	FY 2019	FY 2020
Target	Overall satisfaction with Commission’s website is consistent with the average for other executive branch agencies (not more than 3 points less than the average benchmark score for executive branch agencies); needs identified in annual assessments of technology portfolio are incorporated into planning and scoping documents	Overall satisfaction with Commission’s website is consistent with the average for other executive branch agencies (not more than 3 points less than the average benchmark score for executive branch agencies); needs identified in annual assessments of technology portfolio are incorporated into planning and scoping documents	Overall satisfaction with Commission’s website is consistent with the average for other executive branch agencies (not more than 3 points less than the average benchmark score for Executive Branch federal agencies); needs identified in annual assessments of technology portfolio are incorporated into planning and scoping documents	Overall satisfaction with Commission’s website is consistent with the average for other executive branch agencies (not more than 3 points less than the average benchmark score for Executive Branch federal agencies); needs identified in annual assessments of technology portfolio are incorporated into planning and scoping documents
Results	USITC score of 71.1 is within +3 of benchmark score of 73.7 for executive branch federal agencies.	USITC score of 72.0 is within +3 of benchmark score of 72.7 for executive branch federal agencies	Pending	Pending
Status	Target met	Target met	Pending	Pending

Performance indicator: ForeSee survey results, assessment of use of new technologies.

Note: The Commission did not meet its target for this goal in FY 2015, but did meet its target for this goal in FY 2016. The full performance results for performance goal M1.47 for these years are reported in the Commission’s Annual Performance Plan, FY 2018–2019 and Annual Performance Report, FY 2017.

The Commission met its goal for user satisfaction with the public website, as measured using the score obtained through the Foresee survey service. Our user satisfaction score of 73.0 was only 0.7 points lower than the overall satisfaction score for all executive branch agencies (as measured by Foresee), which is used as the benchmark, and within the 3 point range of variability.

The Commission will continue to use feedback from the public to improve the functionality and usefulness of information it provides through its website and web applications. In FY 2018, the Commission began redesigning the agency's website, incorporating results from an independent website usability study as well as user feedback, to improve access to information and increase user satisfaction. Deployment of the new website is planned for FY 2019. In FY 2019, a new application to make detailed information related to both Title VII and Section 337 investigations available will be developed, and efforts will continue to gather information to improve user's ability to determine tariff rates using the HTS Search application, the most frequently used web service of the Commission.

Performance goal M1.47

Monitor and ensure the safety and security of our workplace through FY 2022.

Performance goal M1.47(a)

FY 2018–FY 2020

Improve awareness of physical and personnel safety and security policies and procedures

	FY 2018	FY 2019	FY 2020
Target	Develop and hold at least one physical and personnel safety and security training session annually. Develop and disseminate regular agency-wide updates on physical and personnel safety and security issues.	Hold at least one physical and personnel safety and security training session annually. Disseminate regular agency-wide updates on physical and personnel safety and security issues.	Hold at least one physical and personnel safety and security training session annually. Disseminate regular agency-wide updates on physical and personnel safety and security issues.
Results	Held two training courses with two sessions for each.	Pending	Pending
Status	Target met	Pending	Pending

Performance indicators: Physical and personnel safety and security sessions and updates.

Performance goal M1.47(b)

FY 2018–FY 2020

Ensure the appropriate security investigation for new employees and the appropriate reinvestigation for current employees based on the risk and sensitivity designation of their positions

	FY 2018	FY 2019	FY 2020
Target	Coordinate and track the review of position risk and sensitivity designations with the Office of Human Resources four-year review of position descriptions.	Coordinate and track the review of position risk and sensitivity designations with the Office of Human Resources four-year review of position descriptions.	Coordinate and track the review of position risk and sensitivity designations with the Office of Human Resources four-year review of position descriptions.
Results	Reviewed PDs for 101 people in FY 2018.out of under 400 employees.	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Reviews of position risk and sensitivity designations.

Performance goal M1.47(c)

FY 2018–FY 2022

Track results from the Federal Employee Viewpoint Survey related to safety

	FY 2018	FY 2019	FY 2020
Target	85% favorable response rate for agency FEVS question "Employees are protected from health and safety hazards on the job"	85% favorable response rate for agency FEVS question "Employees are protected from health and safety hazards on the job"	85% favorable response rate for agency FEVS question "Employees are protected from health and safety hazards on the job"
Results	FY 2018 response rate was 89.5%	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Annual FEVS results.

Performance goal M1.47(d)

FY 2018–FY 2020

Track results from the Federal Employee Viewpoint Survey related to security

	FY 2018	FY 2019	FY 2020
Target	75% favorable response rate for agency FEVS question "My organization has prepared employees for security threats"	80% favorable response rate for agency FEVS question "My organization has prepared employees for security threats"	80% favorable response rate for agency FEVS question "My organization has prepared employees for security threats"
Results	FY 2018 response rate was 73.8%	Pending	Pending
Status	Target not met	Pending	Pending

Performance indicator: Annual FEVS results.

In FY 2018, the Commission met 3 of the 4 performance goals. The Commission improved employee awareness of physical and personnel safety and security by providing relevant training sessions and disseminating regular updates on safety and security issues (Performance goal M1.47(a)). More specifically, the Commission held two sessions each of two different training programs (First Aid and Stop the Bleeding) during the year, as well as regular updates via e-mail regarding security and safety issues. The Commission took necessary steps to ensure appropriate personnel security investigations for all employees by integrating personnel security efforts into the agency-wide position description review project (Performance goal M1.47(b)). This ensures that security designations will be updated at least once every four years.

The final two performance goals were tied to FEVS results regarding employee views on security issues. Performance goal M1.47(c) required an 85 percent favorable response rate on the FEVS regarding whether "Employees are protected from health and safety hazards on the job." The Commission achieved a score of 89.5 percent, exceeding the target. For performance goal M1.47(d), the target response rate for the question "My organization has prepared employees for security threats" was 75 percent. The Commission's score dropped slightly and reached only 73.8 percent. Despite this decline, we have increased the target to 80 percent for FYs 2019 and 2020, as we believe this is a viable target. The failure to reach 75 percent in FY

2018 likely stems from factors, such as (1) the focus of continuity exercises in recent years on table-top exercises just involving management and (2) the rapid turnover in staff in the last three to four years resulting in many new employees not having participated in an agency-wide security exercise. Staging an agency-wide security exercise in the early spring of 2019 should fill that gap and raise our FEVS scores to the desired goal.

Appendix A

International Trade Commission Staff Offices

Office of the Administrative Law Judges

The Commission's **administrative law judges (ALJs)** hold hearings and make initial determinations in investigations under section 337 of the Tariff Act of 1930. If, after receipt of a complaint, the Commission decides to institute an investigation, the matter is referred to this office. The Chief ALJ assigns each case on a rotational basis to one of our ALJs. After a discovery process, a formal evidentiary hearing is held in accordance with the Administrative Procedure Act (APA) (5 U.S.C. § 551 et seq.). The ALJ considers the evidentiary record and the arguments of the parties and makes an initial determination (ID), including findings of fact and conclusions of law. The ID becomes the Commission's determination unless the Commission determines to review it. Upon review, the Commission may affirm, reverse, modify, set aside or remand the matter back to the ALJ for further proceedings. Temporary relief may be granted under the statute.

Office of the General Counsel

The **General Counsel (GC)** serves as the Commission's chief legal advisor. The GC and the staff attorneys provide legal advice and support to the commissioners and staff on investigations and research studies, represent the Commission in court and before dispute resolution panels and administrative tribunals, and provide assistance and advice on general administrative matters, including personnel, labor relations, and contract issues.

Office of Operations

The Commission's core of investigative, industry, economic, nomenclature, and technical expertise is found within the **Office of Operations (OP)**. The following six offices are under the supervision of the Director of Operations:

The **Office of Economics (EC)** conducts investigations primarily under section 332 of the Tariff Act of 1930, section 131 of the Trade Act of 1974, and section 2104 of the Trade Act of 2002. EC also provides expert economic analysis for import injury investigations, as well as other industry and economic analysis products.

The **Office of Industries (IND)** conducts investigations primarily under section 332 of the Tariff Act of 1930, section 131 of the Trade Act of 1974, and section 2104 of the Trade Act of 2002. IND maintains technical expertise related to the performance and global competitiveness of industries and the impact of international trade on those industries for these studies and for import injury investigations.

The **Office of Investigations (INV)** supports the Commission's mandate to conduct import injury investigations, including those specified in the Tariff Act of 1930, the Trade Act of 1974, the

North American Free Trade Agreement (NAFTA) Implementation Act of 1993, and the Uruguay Round Agreements Act (URAA) of 1994.

The **Office of Tariff Affairs and Trade Agreements (TATA)** implements the Commission's responsibilities with respect to the Harmonized Tariff Schedule of the United States and the International Harmonized System.

The **Office of Unfair Import Investigations (OUII)** participates in adjudicatory investigations, usually involving patent and trademark infringement, conducted under section 337 of the Tariff Act of 1930, both during the pre-institution phase and as a party with no commercial interest in the outcome.

The **Office of Analysis and Research Services (OARS)** provides research and investigative support. It comprises our main library, as well as editorial and statistical services.

Office of External Relations

The **Office of External Relations (ER)** develops and maintains liaison between the Commission and our external customers and is our point of contact with USTR and other executive branch agencies, Congress, foreign governments, international organizations, the public, and the media. Our Trade Remedy Assistance Office (TRAO), located in ER, provides information about the benefits and remedies available under U.S. trade laws and assists small businesses seeking relief under those laws.

Office of the Chief Information Officer

The **Office of the Chief Information Officer (OCIO)** provides information technology leadership, a comprehensive services and applications support portfolio, and a sound technology infrastructure to the Commission and our customers. The OCIO seeks to promote, deliver, and manage the secure and efficient application of technology to our business activities. OCIO comprises a front office and five divisions: Cybersecurity, Service Delivery, Systems Engineering, Network Support, and Data Management.

Office of the Chief Financial Officer

The **Office of the Chief Financial Officer (OCFO)** compiles the Commission's annual budget, prepares the appropriation and authorization requests, and closely monitors budget execution. The OCFO also provides support for acquisitions and is responsible for financial reporting. In addition, the OCFO manages our internal control program in accordance with law and related guidance. Component offices include the Office of Budget, Office of Procurement, and the Office of Finance.

Office of Administrative Services

The **Office of Administrative Services (OAS)** provides human resource services—including collective bargaining with union representatives; information and document management; management of work-life issues; and facilities management services. In addition, it is

responsible for all of our physical and personnel security matters. Component offices include Human Resources, Security and Support Services, and the Office of the Secretary.

Office of Inspector General

The **Office of Inspector General (OIG)** provides audit, evaluation, inspection, and investigative support services covering all Commission programs and strategic operations. The mission of the OIG is to promote and preserve our effectiveness, efficiency, and integrity. The OIG's activities are planned and conducted based on requirements of laws and regulations, requests from management officials, and allegations received from Commission personnel and other sources.

Office of Equal Employment Opportunity

The **Office of Equal Employment Opportunity (OEEO)** administers the Commission's affirmative action program. The Director advises the Chairman, the commissioners, and USITC managers on all EEO issues; manages and coordinates all EEO activities in accordance with relevant EEO laws and EEO Commission regulations; evaluates the sufficiency of our EEO programs and recommends improvements or corrections, including remedial and disciplinary action; encourages and promotes diversity outreach; and monitors recruitment activities to assure fairness in agency hiring practices.

Appendix B

Performance Data Sources

To assess progress toward achieving our goals, the Commission measures performance and takes steps to ensure that the performance data are accurate, reliable, and valid. We do so through quarterly performance reviews and verification. Validation and verification of performance data contribute to accuracy and reliability and help to ensure that the information is credible. Validation ensures that performance data actually measure what they are supposed to measure. Verification involves reviewing and substantiating the accuracy of the data.

The following tables show the indicators, target, lead office and data sources for each FY 2018 performance goal.

Strategic Objective 1.1

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
1.11	Conclude investigations into alleged section 337 violations within timeframes that are consistent with the Uruguay Round Agreements Act implementing report by FY 2022.	Length of investigations concluded on the merits	15 month annual average	OUII	Spreadsheets maintained by OUII and OGC and 337Info
1.11(a)	Develop criteria to assess whether implemented proposals have been effective.	Assessment criteria	Assessment criteria developed	GC	Notice of Proposed Rulemaking, comments received from same and final rules package
1.11(b)	Measure effectiveness of early disposition program and implement changes if appropriate.	Report on assessment of effectiveness	Information assessed, improvements implemented	OUII	337Info, EDIS
1.11(c)	Measure effectiveness of e-discovery case management and initial disclosure case management programs and implement improvements to these programs if appropriate.	Assessment criteria	Programs assessed and improvements implemented	OUII	337Info, EDIS
1.11(d)	Improve average length of time between Final ID and completion of Commission review.	Number of months between Final ID and completion of Commission review	Average length of time between Final ID and completion of Commission review is less in FY 2018 than it was in FY 2017	OUII	337Info, EDIS
1.11(e)	Improve average length of time between institution of investigation and issuance of Final ID.	Number of months between institution of investigation and issuance of Final ID	Establish average length of time between the institution of investigation and issuance of the Final ID in FY 2018	OUII	337Info, EDIS
1.12	Improve the timeliness of ancillary proceedings by reducing the average length of ancillary proceedings	Length of ancillary proceedings concluded on the merits	Modification--6 months Advisory--9 months Enforcement--12 months Fed Circuit remand--12 months Consolidated ancillaries--15 months	GC	Data gathered by OGC and 337Info
1.13	Individual offices complete their portions of Section 337 modifications and advisory proceedings under the pilot program within specified timeframe.	Number of months to complete 337 modifications and advisory proceedings covered by the pilot program	Modification (GC)—2-3 months Modification (OUII)—3-6 months Modification (ALJ)—6-9 months Advisory (GC)—2-3 months	GC	Data gathered by GC and 337Info

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
			Advisory (OUII)—3-6 months Advisory (ALI)—6-9 months		
1.14	Issue and receive 95 percent of questionnaires for import injury investigations electronically in 2015-19.	Utilization rate (i.e., share of questionnaires transmitted and received electronically)	95% utilization	INV	Spreadsheet created to reflect information provided directly by staff and retrieved from questionnaire extraction files
1.15	Deliver 100% of import injury investigation determinations and reports by the statutory deadline	Submission of Commission determinations and reports to Department of Commerce	100% delivered by statutory deadline	INV	Log maintained by INV
1.16	Continue using the evaluation process, and improve agency decision-making based on judicial and NAFTA panel remands.	Evaluations and improvements	Evaluations completed and improvements made	GC	Remands

Strategic Objective 1.2

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
1.21	Leverage existing and developing technologies to improve the flow of information to interested parties and the general public during FY 2018 - FY 2022	Development and implementation of projects	Projects identified and implemented each year	INV	
1.21(a)	Improve access to investigation-related information by completing development of data search and extraction tools for investigation data system.	Title VII data system	Data management and query tools for the Title VII data system under development in FY 2018, with completion in FY 2019	INV/OCIO	Creation of Track 7; information input by various offices
1.21(b)	Employ electronic service of confidential documents by the end of FY 2018 to improve the flow of information to authorized parties.	Confidential electronic service capability implemented and deployed	Serve Commission documents subject to Administrative Protective Order on the parties via electronic means	SE/OCIO	Service Lists and other related information retained in EDIS
1.21(c)	Develop and implement strengthened functionality, capacity, and security for 337Info by the end of FY 2019.	Improvements to 337Info implemented	Functionality, capacity, and security improvements developed and implemented	OUII, GC,OCIO, SE	Record of milestones met, other supporting documents
1.22	Post information on import injury investigation case webpages within specific timeframe	Investigation-related information posted	85% of information posted within 48 hours and 90% within 72 hours of issuance	INV	Spreadsheets created to track {1} FR notices and {2} all other posted information
1.23	Conduct outreach to bar groups and other stakeholders to ensure they understand Commission capabilities and processes.	Outreach efforts	Efforts made each quarter	INV	Logs maintained by various offices tracking outreach efforts
1.24	Issue regular feedback surveys to external stakeholders to assess effectiveness and efficiency of processes and procedures. Implement proposed new processes/procedures as appropriate.	Survey issuance; process/procedure updates	Processes and/or procedures updated	INV	Initial survey as issued; tabulation and analysis of responses

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
1.25	Post documents to EDIS within specified time frames.	Percentage of documents posted	24 hrs.: 85% 48 hrs.: 95%	SE	Metrics maintained and reported on by SE with assistance from CIO from data in EDIS
1.26	Post public versions of confidential Section 337 Final IDs and Commission opinions within specified timeframes.	Number of days between issuance of confidential Commission Section 337 opinions and posting of the public version	Average length of time to post public versions of confidential Section 337 Final IDs and Commission opinions is 30 days or less	OUII	EDIS

Strategic Objective 2.1

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
2.11	Identify and prioritize areas to improve capabilities to analyze important new issues in trade and industry competitiveness through 2022.	Priority areas vetted and established annually through 2022	Capabilities developed in new areas annually	ID/EC	
2.11(a)	Identify and prioritize areas to enhance capabilities to analyze new issues in trade and industry competitiveness.	Priority areas identified and vetted	Improved capabilities in priority areas such as: 1. Expand research on: the effects of trade on different U.S. geographic regions; partial equilibrium and sector-specific analysis; impact of trade on labor adjustments and costs; global supply chains; methods to assess industry competitiveness; trade in digital goods and services; NTMs affecting goods and services. 2. Increase expertise on trade-related agreements and U.S. trade relationships.	ID/EC	Joint EC/ID research spreadsheet; meeting documentation
2.12	Improved analytical tools and new capabilities are reflected in statutory work products through FY 2022.	Share of staff research products reflected in statutory products	Continuous improvement through FY 2022	ID/EC	
2.12(a)	Improved analytical tools and new capabilities are reflected in statutory work products.	Share of staff research time reflected in statutory products	Improved analytical tools and new capabilities are reflected in statutory work products	EC/ID	Labor Cost Code database; work product content database
2.13	Improve processes to identify and correct errors at the prepublication stage for HTS files through 2022.	Identified and corrected information	Determined each year	TATA	Logs show percentage of errors found during review and percentage of errors identified post-publication
2.13(a)	Improve the accuracy of published version of the HTS.	Identified and corrected information	HTS updates are at least 97% error-free on publication	TATA	Logs show percentage of errors found during review and percentage of errors identified post-publication

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
2.14	Improve the HTS Search function based on ongoing analysis of user search results during FY 2018–FY 2022.	Reduction in “no results” outcomes	Analyze HTS search logs on a regular basis and improve the HTS search tool accordingly	TATA	HTS search logs; record of improvements
2.14(a)	Analyze logs of “no results” HTS searches for FY 2017 to develop a thesaurus of terms to add to the HTS Search database	HTS logs of “no results” HTS searches.	Identify all search terms with more than 10 “no results” outcomes	TATA	HTS search logs; record of changes to thesaurus

Strategic Objective 2.2

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
2.21	Engage Commission customers and other U.S. and international experts to enhance agency capabilities in order to provide effective and responsive analysis, data, and nomenclature services.	Feedback provided during briefings and meetings	Briefings and meetings with customers conducted after report delivery generate feedback	ID/EC	
2.21(a)	Engage customers to understand their priorities and seek feedback on Commission work.	Feedback provided during briefings, meetings, and other engagements; actions taken	Engagement with customers related to Commission reports and other research efforts generates feedback; actions taken, as appropriate	ID/EC	Meeting documentation
2.21(b)	Engage non-customer experts to expand staff expertise, diversify knowledge base, and improve analytical tools to advance agency capabilities in FY 2018.	Feedback provided during briefings, meetings, and other engagements; actions taken	Engagement with academics, NGOs, industry representatives, and other experts on issues related to trade research and analysis; actions taken, as appropriate.	ID/EC	Meeting documentation
2.21(c)	Engage customers, industry experts, and other key stakeholders by hosting at least one trade issue roundtable per year	Roundtables held	At least one roundtable hosted in FY 2018	ID/EC	Roundtable documentation (invite lists, agenda, etc.)
2.22	Improve utility of tariff and trade information for customers and the public by developing and producing digital and interactive Commission products by FY 2022.	Development of tools and knowledge to enable production of digital and interactive products; Implementation of solutions as measured by the number of digital and interactive Commission products produced by 2018	Make five digital or interactive Commission products available to the public by FY 2022.	EC/ID	
2.22(a)	Develop new digital or interactive Commission products during the fiscal year.	New digital or interactive Commission product produced	One additional new or updated digital or interactive Commission product available to customers and the public	EC/ID/OARS	Publications, Web products

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
		for customers and the public			
2.22(b)	Develop and implement strengthened functionality, capacity, and security, as needed, for the HTS Data Management System and DataWeb by the end of FY 2018.	Improvements to data systems implemented.	Functionality, capacity, and security improvements developed and implemented, as needed	OP/CIO	HTS DMS and/or DataWeb documentation
2.23	Improve timeliness of tariff and customs information provided in response to emails submitted through online help system.	Email responses to HTS inquiries	96% of emails received through online help system receive responses within 7 working days	TATA	Data compiled by staff and aggregated for reporting purposes
2.24	Improve the transparency of Commission fact-finding investigations by providing underlying data when appropriate.	Information posted to the Commission's website.	Publish non-proprietary data that underlie Commission estimates in fact-finding investigations completed in FY 2018	EC, ID	Publications, data.gov (https://catalog.data.gov/dataset/usitc-inv-no-332-564-source-data)

Management Objective 1.1

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.11	Improve employee satisfaction and commitment to the agency as measured by the FEVS by achieving continuous improvement by FY 2022.			OAS	FEVS
M1.11(a)	Improve agency results in specific areas measured in the FEVS.	FEVS results	Improvement over FY 2017 results on identified questions	OAS	FEVS
M1.12	Increase stakeholder satisfaction with the extent to which recruiting efforts bring in the right human capital in an efficient way.	FEVS annual survey	Improvement over FY 2017 average in rate of positive responses to FEVS questions, or, if 2017 results indicate widespread satisfaction, maintain 2017 satisfaction level	OAS	FEVS
M1.13	All position descriptions for onboard personnel are reviewed and revised within the last four years to ensure that they are up to date (FY 2018-2022).	Reviewed/revised position descriptions	At least 25% of current staff as of 10/1/2017 with out-of-date position descriptions will have their PDs reviewed and revised	OAS	OF-8 (This is the cover sheet of a PD and provides information on the date issued).
M1.14	Improve stakeholder satisfaction regarding opportunities for professional development to help retain human capital.	Results of FY 2018 FEVS questions related to this area.	Improvement over FY 2017 average in rate of positive responses to FEVS questions, or, if 2017 result indicates widespread satisfaction, maintain 2017 satisfaction level	OAS	FEVS
M1.15	Foster an inclusive workplace environment by improving training and development opportunities through FY 2022.				

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.15(a)	Identify and implement project-based or rotational/developmental details within the Commission.	Number of Commission project-based or rotational/development details	Provide opportunities for staff across the agency to apply for details	OAS/HR	Records (log) maintained by HR
M1.15(b)	Sponsor opportunities for Commission staff to participate in a variety of leadership development programs	Number of individuals sponsored by the Commission	Sponsor at least two individuals at the Commission in FY 2018	OAS/HR	Records compiled by HR training officer

Management Objective 1.2

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.21	Provide accurate, timely, insightful and relevant financial management reports to agency leadership on a monthly basis through FY 2022	Financial management reports that are fully consistent and timely; feedback is received from cost center managers and office directors on relevance of reports	Consistent reports; reports issued monthly; positive feedback from agency leadership about relevance and accuracy of reports	OCFO (Budget, Finance, Procurement)	- Oracle Federal Financials (OFF) - Labor Cost Database - OCFO SharePoint Site - Labor cost reports developed by OARS
M1.21(a)	Issue financial management reports that meet the needs of managers throughout the Commission.	Reports are fully consistent with financial accounts; reports reflect improvements in response to user feedback	Accurate reports	OCFO (Budget, Finance, Procurement)	- OFF - Labor Cost Database --Finance and Budget Committee meetings --Labor cost reports developed by OARS
M1.21(b)	Issue monthly financial management reports on a timely basis.	Timely issuance of reports	Reports issued monthly	OCFO (Budget, Finance, Procurement)	- OFF - Labor Cost Database --OCFO SharePoint site - Discussions with office Directors and CCMS - Finance and Budget Committee meetings
M1.22	Improve effectiveness and efficiency of acquisitions during FY 2018–FY 2022 by making continuous process improvements.	Timeliness and accuracy of procurement actions; cost savings to the government	Quarterly review reports demonstrate incremental improvements in effectiveness and efficiency of acquisitions	OCFO (Procurement, Internal Control/Risk Management)	- PRISM - Federal Procurement Data System - Next Generation (FPDS-NG) - Procurement Action Lead Times (PALT) - Contract files

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.22(a)	97% of procurement actions meet the PALT.	Share of procurement actions that exceed the PALT	Quarterly PALT reviews show that 97% of procurement actions meet the PALT in FY 2018	OCFO (Procurement, Internal Control/Risk Management)	- PRISM - OFF - Contract files - Procurement log - PALT data
M1.22(b)	Provide accurate, weekly electronic status reporting of all current/pending procurement actions to CCMs and CORs during each fiscal year.	Reports are timely, accurate, and up to date	Accurate, up-to-date reports issued weekly	OCFO (Procurement, Internal Control/Risk Management)	- PRISM - Federal Procurement Data System - Next Generation (FPDS-NG) - Weekly Requisition Reports - Contract files - Procurement log
M1.22(c)	Gauge satisfaction with procurement process, including efforts to incorporate suggestions/feedback into process, via internal surveys.	Survey results	Improve satisfaction level relative to performance in FY 2017	OCFO (Procurement, Internal Control/Risk Management)	Internal survey developed by OARS
M1.22(d)	Ensure that all agency Contract Officer Representatives (CORs) have been properly trained and are maintaining proper COR files	Random Sampling of Contract Files for Q2/Q3	At least 70% of sampled COR files are maintained properly	OCFO (Procurement)	Contract files - COR files - Training slides - Training attendance log - Control file sampling records
M1.23	Maintain a robust and effective system of financial management and internal controls to achieve an annual unmodified audit opinion on the agency's financial statements from FY 2018 through FY 2022.	Audit opinion on the agency financial statements	Unmodified audit opinion	OCFO	- OFF - Concur - OCFO - SharePoint Site - Contract files - Reconciliations - Purchase Card Log

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.23(a)	Maintain a robust system of financial management and internal controls to achieve an annual unmodified audit opinion on the agency's financial statements.	Audit opinion on the agency financial statements	Unmodified audit opinion	OCFO	<ul style="list-style-type: none"> - OFF - Concur - OCFO - SharePoint Site - Contract files - Reconciliations - Purchase Card Log
M1.24	Develop and implement a budget process that broadly increases Commission participation and responsibility at all levels, and that clearly links budget formulation with performance planning	Increased participation by managers in budget process; documentation to support resource requests.	Managers at all levels project workloads; estimate and justify the personnel and other resources needed; and clearly link budget formulation to performance planning to provide justification for requests	OCCFO	<ul style="list-style-type: none"> -Budget and Finance Committee meeting minutes -PMSPC meeting minutes -Budget files -ERM database -Budget templates, personnel costs

Management Objective 1.3

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.31	Improve delivery of IT solutions to better support Commission customers through 2022.	Development and implementation of program for tracking percentage availability to users of IT systems that are important to internal and external customers	Continuation of program	OCIO	QASP and Manage Engine data
M1.31(a)	Maintain high level of system availability to users of important IT systems during FY 2018.	Percentage of availability to users of the following systems: Local Area Network (LAN), Remote Access, Email (Outlook), EDIS, HTS, and SharePoint	Maintain system uptime of at least an average of 99.0% availability for all measured systems excluding scheduled maintenance.	OCIO	Data are pulled via What's Up Gold monitoring tool.
M1.32	Ensure a robust security posture by successfully developing capabilities consistent with government-wide cyber security priorities.	Development of capabilities consistent with government-wide priorities	Priorities established annually	OCIO	
M1.32(a)	Implement and verify secure configuration on workstations and servers for 95% of baseline settings.	Scans of production devices. Reported as a percent of total configuration baseline settings.	Secure configuration baselines on workstations and servers implementing 95% of baseline settings	OCIO	Network scans of production network devices
M1.32(b)	Ensure Commission information systems have a valid Authorization to Operate	Number of Commission information systems with an ATO divided by the total number of Commission information systems	100%	OCIO	ATO memos
M1.32(c)	HSPD-12 required for remote access to the network	Percentage of accounts of HSPD-12 holders requiring HSPD-12 for login to systems	95% (on average) of HSPD-12 users consistently enabled	OCIO	Network security scans
M1.33	Improve integrity, delivery, and usability of USITC information assets by enabling access to 100% of the Commission's major datasets using Open Data-compliant machine-readable formats by the end of FY 2022.			OCIO	See below.

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.33(a)	All new major systems deployed to production will be Open Data compliant.	Availability of information systems providing Open Data	Data behind all new major systems deployed to production in FY 2018 will be available in machine-readable format and accessible on the USITC Open Data webpage	OCIO	Open data internet links pointing to EDIS, HTS, investigation data (337Info, Title VII, fact-finding), as these components are deployed. Note that trade data in DataWeb are not included since these data are from Census.
M1.34	Research, procure, and implement cloud-based email solution.	Email services fully migrated to cloud provider	All staff able to utilize email solution and access migrated content. Determine priorities for FY 2019.	OCIO	Local MS Exchange servers disabled.

Management Objective 1.4

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.41	Improve the efficiency and timely delivery of Commission products by evaluating and implementing improved processes of the agency through FY 2022.			OP/OCFO	See below
M1.41(a)	Improve the production and timely delivery of Commission products and identify other process improvements that can be made throughout the agency by evaluating and implementing improved processes.	Number of major processes identified; process improvements identified, implemented, and evaluated.	Use internal and external performance audits, as well as performance management, ERM, and annual Statement of Assurance reporting activities to identify agency processes most in need of improvement; evaluate and implement new processes or process improvements, where identified; evaluate effectiveness of new or amended processes.	OP/OCFO	Document, with changes identified in FY 2018; document implementation; assessment of impact of changes
M1.42	Maintain an agency portfolio of enterprise risks through FY 2022.				
M1.42(a)	100% of all offices throughout the agency conduct assessments for new risks and review of 100% of previously identified risks at least on a quarterly basis (FY 2018–FY 2022).	Office Directors' certification of quarterly assessment for new risks/review of previously identified risks. Performance of this assessment/review is documented within the ERM database.	100% of all offices throughout the agency conduct assessments for new risks and review of 100% of previously identified risks at least on a quarterly basis	OP, OCFO	ERM Quarterly Certification Report
M1.42(b)	100% of all identified agency risks are reviewed by the Performance Management and Strategic Planning Committee at least on a quarterly basis (FY 2018–FY 2022).	PMSPC-generated quarterly top agency risk summary for Chairman's review.	100% of all identified agency risks are reviewed by the Performance Management and Strategic Planning Committee at least on a quarterly basis	OP, OCFO	PMSPC meeting minutes, email, ERM report

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.43	Redesign policies and procedures for managing the system of internal rules and update all content within it through FY 2022.			OAS	
M1.43(a)	Obtain Commission approval and begin implementation of proposed system of internal rules.	Approved and recorded Directives establishing the new system of internal rules, approved and recorded Directives containing Mission and Functions statements for all USITC offices and agency-wide activities.	Obtain Commission approval for new system of internal rules, issue or update mission and function Statement Directives for all USITC offices, issue or update all committee charter Directives for all agency-wide management committees, issue System of Internal Rules Handbook.	OAS	System of internal rules-- contents include information responsive to target.
M1.44	Improve 508 compliance of public information.	USITC.gov content analysis report; Number of templates created for 508 conversions	100% 508 compliance for fact-finding investigation documents posted to the USITC website; 100% 508 compliance for staff research products (JICE and working papers) posted to the USITC website; develop templates to expand scope of compliance	OP, ID, EC, TATA. Templates and other documents: INV, GC, OUII, OCFO, ER, OARS	508-compliant documents posted to website; templates
M1.45	Improve resource use, performance management, and internal controls by utilizing business intelligence software to develop and provide Commission managers with useful management reports through FY 2022.			OCFO	Personnel, payroll, financial, project-related, records-related

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.45(a)	Continue to identify, refine, and deliver agency-wide management reports	Effective and timely management reports; feedback results from managers	Timely delivery of and continual improvement of management reports identified in FY 2017; continued development of new reports based on feedback from managers	OCFO	Personnel, payroll, financial, project-related records-related.
M1.46	Make continuous improvements to the Commission's web presence, including use of other evolving technologies (e.g., mobile applications, streaming video, rich Internet capabilities) that benefit Commission customers and lead to improvements in user satisfaction.	ForeSee Survey Results, assessment of use of new technologies	Overall satisfaction with Commission's website is consistent with the average for other executive branch agencies (not more than 3 points less than the average benchmark score for Executive Branch federal agencies); needs identified in annual assessments of technology portfolio are incorporated into planning and scoping documents	CIO	ForeSee
M1.47	Monitor and ensure the safety and security of our workplace through FY 2022.				
M1.47(a)	Improve awareness of physical and personnel safety and security policies and procedures.	Physical and personnel safety and security sessions and updates	Develop and hold at least one physical and personnel safety and security training session annually. Develop and disseminate regular agency-wide updates on physical and personnel safety and security issues.	OAS/OSSS	Documentation from Outlook
M1.47(b)	Ensure the appropriate security investigation for new employees and the appropriate reinvestigation for current employees based on the risk and sensitivity designation of their positions.	Reviews of position risk and sensitivity designations	Coordinate and track the review of position risk and sensitivity designations with the Office of Human Resources four-year review of position descriptions.	OAS/OSSS	HR maintains source documents

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.47(c)	Track results from the Federal Employee Viewpoint Survey related to safety	Annual FEVS results	85% favorable response rate for agency FEVS question “Employees are protected from health and safety hazards on the job”	OAS/OSSS	FEVS
M1.47(d)	Track results from the Federal Employee Viewpoint Survey related to safety	Annual FEVS results	75% favorable response rate for agency FEVS question “My organization has prepared employees for security threats”	OAS/OSSS	FEVS

Appendix C

Selected Workload Trends

Table C.1 Summary of Import Injury Investigations, FY 2010–2018

	2010	2011	2012	2013	2014	2015	2016	2017	2018
Instituted									
Preliminary Title VII	3	8	8	13	9	12	18	21	18
Final Title VII	12	2	12	5	15	10	16	15	21
Other	0	2	0	1	0	1	1	2	0
Full Review	9	12	7	10	7	8	11	8	7
Expedited Review	8	19	9	9	11	16	11	20	10
Total	32	43	36	38	42	47	57	66	56
Completed									
Preliminary Title VII	8	8	7	9	13	11	19	17	18
Final Title VII	11	6	8	7	9	12	13	19	18
Other	0	2	0	1	0	1	1	0	2
Full Review	10	9	9	10	7	9	6	11	11
Expedited Review	8	12	17	3	15	14	12	15	13
Total	37	37	41	30	44	47	51	62	62

Table C.2 Summary of Unfair Import Investigations and Ancillary Proceedings, FY 2010–2018

Status	2010	2011	2012	2013	2014	2015	2016	2017	2018
Instituted	58	78	56	52	49	47	79	64	74
Completed	52	58	57	72	59	50	64	61	61

**Table C.3 Summary of Industry and Economic Analysis Investigations,
FY 2010–2018**

Status	2010	2011	2012	2013	2014	2015	2016	2017	2018
Instituted	16	8	9	10	8	5	7	5	5
Completed	13	11	6	12	10	9	9	5	4