



United States International Trade Commission

# Annual Performance Plan, FY 2014–2015

and

# Annual Performance Report, FY 2013



# CONTENTS

<b>MESSAGE FROM THE CHAIRMAN.....</b>	<b>1</b>
<b>PART I</b>	
<b>AGENCY AND MISSION INFORMATION .....</b>	<b>3</b>
Overview .....	3
Mission Statement .....	5
Organizational Structure.....	5
Structure of Report.....	6
Comparison of the FY 2014–2018 Strategic Plan with the FY 2009–2014 Strategic Plan.....	7
Major Management priorities and Challenges.....	8
Reviews and Evaluations .....	8
<b>PART II</b>	
<b>ANNUAL PERFORMANCE PLAN.....</b>	<b>9</b>
Strategic Goal 1	
Investigate and Decide: Produce Sound, Objective, and Timely Determinations in Investigative Proceedings .....	9
Strategic Goal 2	
Inform: Produce Objective High-Quality, and Responsive Tariff, Trade, and Competitiveness-Related Analysis and Information .....	18
Management Goal	
Achieve Agency-wide Efficiency and Effectiveness to Advance Agency Mission.....	25
Cross-cutting Objectives.....	34

<b>PART III</b>	
<b>ANNUAL PERFORMANCE REPORT.....</b>	<b>37</b>
Introduction .....	37
Import Injury Investigations .....	39
Intellectual Property-based Import Investigations .....	46
Industry and Economic Analysis.....	55
Tariff and Trade Information Services .....	63
Trade Policy Support.....	68
Commission Management Goals .....	72
<b>APPENDIX A</b>	
<b>U.S. INTERNATIONAL TRADE COMMISSION STAFF OFFICES .....</b>	<b>81</b>
<b>APPENDIX B</b>	
<b>FY 2013 INDUSTRY AND ECONOMIC ANALYSIS PUBLICATIONS .....</b>	<b>85</b>

## ACRONYMS

AD/CVD	antidumping/countervailing duty
AFR	Agency Financial Report
ALJ	Administrative Law Judge
APR	Annual Performance Report
CAO	Chief Administrative Officer
CBP	U.S. Customs and Border Protection (DHS)
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
FDI	foreign direct investment
FIN	Office of Finance
FTA	free trade agreement
GATT/WTO	General Agreement on Tariffs and Trade/World Trade Organization
GC	Office of the General Counsel
GPRA	Government Performance and Results Act
GSP	Generalized System of Preferences
GTAP	Global Trade Analysis Project (Purdue University)
HR	Office of Human Resources
HTS	Harmonized Tariff Schedule
ID	Initial Determination
IG	Inspector General
IND	Office of Industries
INV	Office of Investigations
I-O	input-output
IP	intellectual property
IPR	intellectual property rights
IT	information technology
ITDS	International Trade Data System
ITS	Information Technology Services

NAFTA	North American Free Trade Agreement
NAICS	North American Industry Classification System
NARA	National Archives and Records Administration
NTM	nontariff measure
OALJ	Office of the Administrative Law Judges
OARS	Office of Analysis and Research Services
OAS	Office of Administrative Services
OCFO	Office of the Chief Financial Officer
OCIO	Office of the Chief Information Officer
OEEEO	Office of Equal Employment Opportunity
OIG	Office of the Inspector General
OMB	Office of Management and Budget
OP	Office of Operations
OUII	Office of Unfair Import Investigations
PAR	Performance and Accountability Report
PR	Office of Procurement
SE	Office of the Secretary
SIC	Standard Industrial Classification
TATA	Office of Tariff Affairs and Trade Agreements
TEO	Temporary Exclusion Order
URAA	Uruguay Round Agreements Act
USAGE	U.S. Applied General Equilibrium
USITC	U.S. International Trade Commission
USTR	Office of the United States 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 2014–2015 and the Annual Performance Report for FY 2013. This combined report describes the agency's programmatic and management goals for FY 2014 and FY 2015, documents the Commission's programmatic performance for FY 2013, and discusses our accomplishments and challenges.

Consistent with its statutory mandate, the Commission makes determinations in proceedings involving imports claimed to injure a domestic industry or infringe U.S. intellectual property rights; provides independent tariff, trade and competitiveness-related analysis and information; and maintains the Harmonized Tariff Schedule of the United States. In carrying out its mission, the Commission contributes to the development of informed U.S. trade policy by providing the President, the U.S. Trade Representative, and the Congress with accurate, timely, and insightful information and objective analysis of the evolving range of international trade matters.

During FY 2013, the Commission completed its Strategic Plan for FY 2014–2018. The Plan identifies strategic goals, strategic objectives and long-term performance goals for the Commission's programmatic and management functions. The Commission will continue to review these goals and objectives annually.

I am proud to report that the Commission's workforce has shown an unwavering commitment to the quality and timeliness of its work in FY 2013, as highlighted below.



### Key Accomplishments

In FY 2013, the Commission:

- Adjudicated a continued high volume of investigations under Section 337 of the Tariff Act of 1930 concerning imports that infringe a domestic intellectual property right or, because of unfair competition or other unfair acts, injure a domestic industry. In FY 2013, the Commission instituted 52 investigations and continued to conduct investigations instituted during FY 2012. Section 337 investigations remains complex as many of them involve patents on cutting-edge technologies, large numbers of respondents, and large numbers of asserted patents or claims. The Commission began using a third courtroom to alleviate scheduling problems and facilitate expeditious completions of investigations. The Commission has also enacted a number of rule changes to improve the efficiency and speed of its proceedings and to reduce the costs and burdens on parties.
- Conducted investigations under Title VII of the Tariff Act of 1930 to determine if dumped or subsidized imports injured a domestic company or industry. During FY 2013, the Commission instituted 24 import injury investigations. Recent investigations continue to cover a wide range of products from various steel products and chemicals to residential washers, wind towers, and frozen warm-water shrimp.
- Implemented innovative technical approaches for fact-finding and probable economic effects investigations. To support informed trade policy development, the Commission provided state-of-the-art analysis to the U. S. Trade Representative (USTR) and Congress that drew on its economic modeling capabilities and international

trade and industry expertise. During FY 2013, the Commission instituted 10 new investigations, of which 7 were under Section 332 of the Tariff Act of 1930, and many research projects at the request of USTR or the Congress to assess the impact of proposed changes in trade policy and trade negotiations. Recent studies include the competitiveness of the U.S. olive oil industry, digital trade in the U.S. and global economies, the effects of the U.S.-Korea free trade agreement on small and medium enterprises, U.S. exports of used electronic products, and an overview of the U.S. and global remanufactured goods industries and markets. Many investigations required the Commission to collect primary data as little, or no, public information had been available.

- Continued to focus on performance improvement. The Commission continued to refine and expand its goals for carrying out its mission and ensuring that it uses taxpayer dollars efficiently. The Commission focused on improving: (a) the quality of its analytic capabilities and means of collecting information (b) the effectiveness of communication with its customers and the public, (c) procedural changes to reduce the cost and burden on parties in its investigations, and (d) the timeliness of its determinations. The Commission also made progress on its goals for improvements in important management areas of human resources, financial management, acquisitions, and information technology; these areas play a critical role in supporting the agency's mission and ensuring the effective use of agency resources.
- Invested in information technology and analytic resources. To meet the challenges of high workload and investigations and research into new, technically complex areas, the Commission continued to develop more automated data collection, data management and other business processes; these processes will enhance efficiency and better support programmatic and management activities. Of particular note, the agency made substantial progress in developing a modernized database system for maintaining the U.S. Tariff Schedule.
- Ranked as one of the top 10 best small federal agencies to work for, based on results from OPM's 2013 Federal Employee Viewpoint Survey. The Partnership for Public Service recognized the Commission as the most improved small agency following release of the survey results.

The Commission's management team continues to oversee the agency's assessment and strengthening of internal controls over its programs, operations, financial systems, and financial reporting; these efforts allow us to provide reasonable assurance that performance data and financial reports are based on accurate and complete data. While we recognize that we have more to do, we are determined to ensure that we efficiently manage the resources entrusted to us.

The Commission's staff succeeded in fulfilling the agency's mission in FY 2013 under challenging conditions, and I have no doubt that it has the commitment and dedication to do so in the years to come.



Irving A. Williamson  
March 7, 2014

# PART I

## AGENCY AND MISSION INFORMATION

### Overview

International trade and investment increasingly influence the U.S. economy. Trade in goods and services and foreign investment affect U.S. firms, workers, and consumers. As tariff rates have declined over the decades, nontariff measures and other policies have taken on greater prominence—influencing U.S. and foreign investment and the level and composition of U.S. imports and exports. Changes in technology have allowed firms to adjust their supply chains here and in other countries to increase competitiveness. In addition to affecting the overall economy, trade and investment policy changes have had a significant impact at the local level on industries and workers.

The U.S. International Trade Commission (USITC or Commission), by law, plays an important role in analyzing the many ways that changes in trade and competitiveness affect U.S. economic growth, employment, and the health of its economy. For decades, the Commission, an independent, nonpartisan agency, has fulfilled its mandate to provide Congress, the President, and the United States Trade Representative (USTR) with objective, thorough, and succinct analysis on the most critical trade issues of the day. The Commission has developed substantial expertise so as to provide objective, accurate, leading-edge insights for Congress and the Administration. The Commission's reports provide important information and reflect the Commission's expanding abilities to quantify the effects of policy changes on producers, consumers, employment, wages, and the U.S. economy as a whole.

The Commission also has important responsibilities in the application of U.S. trade laws. As the role of trade in the U.S. and global economies has grown, applying these laws with respect to allegations of unfair trade has remained an important mechanism for ensuring that U.S. firms can compete on a level playing field. The Commission's provision of sound and timely import injury determinations is critical to maintaining the confidence of U.S. companies and workers in a fair and impartial international trading system. The agency's timely resolution of complex intellectual property disputes can be of paramount economic importance to holders of valid intellectual property rights in the United States. The Commission works closely with U.S. Customs and Border Protection (CBP) to ensure effective enforcement of Commission exclusion orders.

Since 1916 the Commission has had a major role in analyzing and maintaining the nation's tariff schedule, and since 1988 has had the responsibility for maintaining the official legal document that specifies the appropriate tariff, if any, applied to imported goods. The Commission ensures that the tariff schedule is up to date and accurate, reflecting all implemented trade agreements. The Commission also chairs the interagency Committee for Statistical Annotation of the Tariff Schedules. These efforts facilitate international trade by ensuring efficient clearance of goods through the nation's 329 ports of entry, enable the accurate collection of tariff revenues, and permit the collection and reporting of the nation's trade statistics. In a rapidly changing technology and product environment, Commission participation in the World Customs Organization and timely maintenance of its trade classification systems serves to improve the quality of trade information.

The Commission's statutory responsibilities present both great opportunities and significant challenges. Key statutory responsibilities are shown in figure 1.1.

**Figure 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, then 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, most 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 President, the House Committee on Ways and Means, the Senate Committee on Finance, or 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, in cooperation with the Secretary of the Treasury and the Secretary of Commerce, establishes for statistical purposes an enumeration of articles imported into the United States and exported from the United States and seeks to establish comparability of such statistics with statistical programs for domestic production. (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)

With respect to articles that 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 designation. (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 (19 U.S.C. 2252).

**Omnibus Trade and Competitiveness Act of 1988**

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 informally known as the World Customs Organization Council, or WCO) relating to the Harmonized System Convention and 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)

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

**Trade Act of 2002**

Under the Bipartisan Trade Promotion Authority Act of 2002, the Commission provides the President and the Congress with reports that assess the likely impact on the U.S. economy as a whole and on specific sectors and the interests of U.S. consumers of trade agreements entered into with foreign countries. (See section 2104(f), Trade Act of 2002, 19 U.S.C. 3804(f)) The President's authority to enter into trade agreements with foreign countries under this act expired on June 30, 2007.

## Mission Statement

Consistent with its statutory mandate, the Commission makes determinations in proceedings involving imports claimed to injure a domestic industry or violate U.S. intellectual property rights; provides independent tariff, trade and competitiveness-related analysis and information; and maintains the U.S. tariff schedule.

## Organizational Structure

### COMMISSIONERS

The USITC is headed by six Commissioners, who are nominated by the President and confirmed by the U.S. Senate. Commissioner Irving A. Williamson, a Democrat, is serving as Chairman of the USITC for the term ending June 16, 2014. As of the date of issuance of this report, the Commission has no Vice Chairman. Commissioners currently serving are, in order of seniority, Shara L. Aranoff, Dean A. Pinkert, David S. Johanson, Meredith M. Broadbent, and F. Scott Kieff.

Each of the six Commissioners serves a term of nine years, unless appointed to fill an unexpired term. The terms are set by statute<sup>1</sup> and are staggered so that a different term expires every 18 months. 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 three Republicans serve as Commissioners.

### USITC STAFF

USITC staff is organized into offices designed to support the mission of the Agency. These include the:

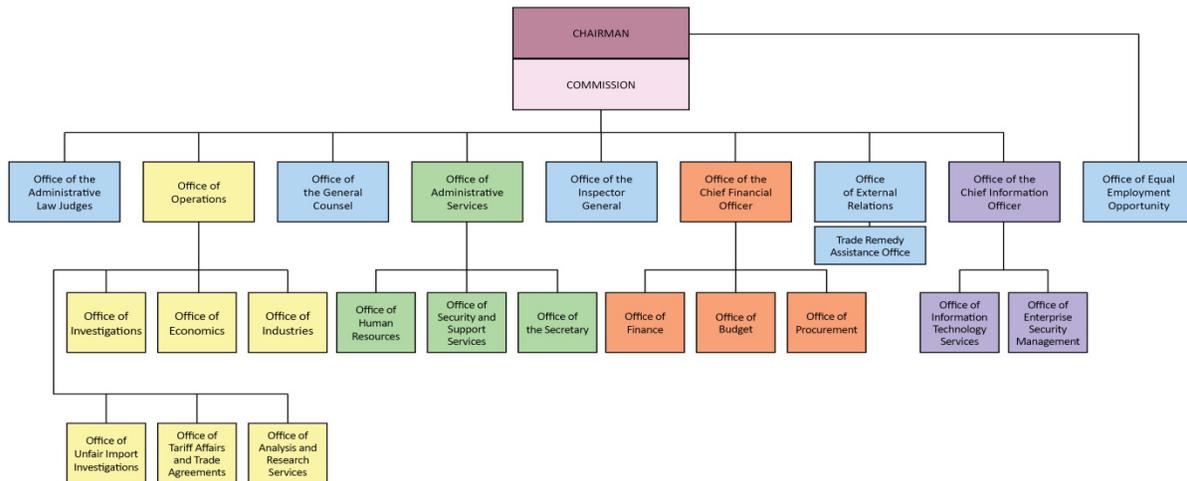
- Office of Operations (OP), and its subordinate Offices of Investigations (INV), Industries (IND), Economics (EC), Tariff Affairs and Trade Agreements (TATA), Unfair Import Investigations (OUII), and Analysis and Research Services (OARS);
- Office of the Administrative Law Judges(OALJ);
- Office of the General Counsel (GC);
- Office of External Relations (ER), and its subordinate office, the Trade Remedy Assistance Office (TRAO);
- 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), and its subordinate Offices of Enterprise Security Management (ESM) and Information Technology Services (ITS);
- Office of Administrative Services (OAS), and its subordinate Offices of the Secretary (SE), Human Resources (HR), and Security and Support Services (SSS);

<sup>1</sup> 19 U.S.C § 1330, Organization of Commission.

- Office of the Inspector General (IG); and
- Office of Equal Employment Opportunity (EEO).

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

**UNITED STATES INTERNATIONAL TRADE COMMISSION**  
**Office-Level Organizational Chart**



## Structure of Report

Part I of this report provides an overview of the agency and describes the relationship between the previous and current Strategic Plans; major management challenges and priorities; and reviews and evaluations.

Part II presents the Commission’s Annual Performance Plan (APP) for fiscal year FY 2014 and 2015. The APP is based on the Commission’s Strategic Plan for FY 2014–2018, which is being issued at the same time as this report. The APP sets forth specific performance goals for each strategic, management, or cross-cutting objective. In some cases, the performance goals span multiple years; in every case performance goals have annual targets or milestones. The APP describes the strategies the Commission will use to achieve these objectives and identify significant challenges and factors that can affect its progress.

Part III presents the Commission’s Annual Performance Report (APR) for FY 2013. The APR is based on the agency’s previous Strategic Plan and its APP for FY 2013. The APR includes information on the agency’s performance during FY 2013, describes steps the agency is taking to address performance gaps and to make progress in FY 2014–15. It also describes the relationship between the performance measures in force during FY 2013 and the performance goals that are in place for FY 2014.

This report is available at <http://www.usitc.gov/strategicplan.htm#performance>.

## Comparison of the FY 2014–2018 Strategic Plan with the FY 2009–2014 Strategic Plan

In developing its new Strategic Plan, the Commission made significant changes to its planning framework. The Strategic Plan sets forth two strategic goals (SGs) and one management goal (MG). For each of these goals, there are corresponding strategic objectives. In addition, the agency identified two cross-cutting objectives. Under the Strategic Plan that was in force during FY 2013, the Commission identified five strategic operations, with corresponding strategic goals, and four management goals. The following table shows the relationship between the old and new Strategic Plans.

<b>Table 1.1</b> Comparison of Strategic Plans	
<b>FY 2014–2018 Strategic and Management Goals and Objectives</b>	<b>FY 2013 Strategic Operations and Goals</b>
<p><b>SG 1</b> Investigate and Decide: Produce sound, objective, and timely determinations in investigative proceedings</p> <ul style="list-style-type: none"> <li>Reliable Process: Conduct expeditious and technically sound investigative proceedings</li> <li>Clear Proceedings: Promote transparency and understanding of investigative proceedings</li> </ul>	<p><u>Import Injury Investigations</u></p> <p>Support a rules-based international trading system by producing high-quality and timely import injury determinations based on the following—</p> <ul style="list-style-type: none"> <li>an effective exchange of information between the Commission and interested parties</li> <li>an appropriate investigative record, and</li> <li>transparent, fair, and equitably implemented procedures</li> </ul> <p><u>Intellectual Property-based Import Investigations</u></p> <p>Conduct intellectual property-based import investigations in an expeditious, technically sound, and transparent manner, and provide for effective relief when relief is warranted, to support a rules-based international trading system</p>
<p><b>SG 2</b> Inform: Produce objective, high-quality, and responsive tariff, trade and competitiveness-related analysis and information</p> <ul style="list-style-type: none"> <li>Timely: Deliver timely and accessible analysis and information</li> <li>Effective: Produce high-quality analysis and information and strategic insights to support the development of the U.S. trade agenda</li> </ul>	<p><u>Industry and Economic Analysis</u></p> <p>Enhance the quality and timeliness of its industry and economic analysis to support sound and informed trade policy formulation</p> <p><u>Tariff and Trade Information Services</u></p> <p>Improve the availability of and access to high-quality and up-to-date tariff and international trade information and technical expertise to support the executive and legislative branches, the broader trade community, and the public</p> <p><u>Trade Policy Support</u></p> <p>Provide enhanced support to the development of well-informed U.S. international trade policy by quickly responding to executive and legislative branch policymakers' needs for technical support, data, and analysis</p>
<p><b>MG</b> Achieve agency-wide efficiency and effectiveness to advance agency mission</p> <ul style="list-style-type: none"> <li>People: Efficiently and effectively recruit and develop highly qualified and flexible human capital</li> <li>Money: Provide good stewardship of taxpayer funds</li> <li>Technology: Deliver high-performing and secure networks and services</li> </ul>	<ul style="list-style-type: none"> <li>Improve effectiveness and efficiency of hiring and professional development practices</li> <li>Improve effectiveness and efficiency of acquisitions</li> <li>Improve financial management controls</li> <li>Use information technology to support productivity gains</li> </ul>

<b>Table 1.1</b> Comparison of Strategic Plans — (cont'd)	
<p><b>Cross-cutting Objectives:</b></p> <ul style="list-style-type: none"> <li>• Use feedback to improve agency operations and enhance employee and customer satisfaction</li> <li>• Improve the resource and performance management capabilities of Commission managers</li> </ul>	

## Major Management priorities and Challenges

The Commission identified three management priority areas in its FY 2014–2018 Strategic Plan: human resources, financial management, and information technology. High performance and goal attainment in each area is necessary to fulfill the agency’s mission and support various government-wide initiatives such as those to prevent improper payments, strengthen cybersecurity, and ensure open data.

The Commission’s priority areas align with management challenges identified by the Commission’s Inspector General (IG). The IG identified two management and performance challenges for FY 2014: strengthening internal controls and using information technology to improve staff productivity. A number of the performance goals supporting the agency’s strategic goals are designed to address these challenges. These performance goals are described in part II.

## Reviews and Evaluations

To assess progress toward achieving its goals, the Commission measures performance and takes steps to ensure that the performance data are accurate and reliable. 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 Commission conducts targeted program evaluations each year. During FY 2013, the Commission continued to assess changes stemming from an earlier, comprehensive review of its section 337 program and finished making recommended changes arising from a FY 2011 review of agency administrative functions. In addition, the Commission is continuing a long-term project to evaluate its internal business processes. The Commission has been using information generated by this effort as it evaluates the efficiency and quality of its operations. In addition, the Commission’s IG regularly conducts evaluations of different aspects of its operations.

The President’s Budget identifies the lower-priority program activities, where applicable, as required under the GPRA Modernization Act, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget>.

## **PART II**

# **ANNUAL PERFORMANCE PLAN**

The Commission's Annual Performance Plan is based on the FY 2014–2018 Strategic Plan. It describes the specific performance goals and strategies that the Commission has adopted to make progress on its strategic goals and strategic objectives. The Commission's 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.

### **Strategic Goal 1**

## **Investigate and Decide: Produce Sound, Objective, and Timely Determinations in Investigative Proceedings**

Given the importance of international trade to the U.S. economy, Commission determinations based on its investigative proceedings regarding imports can have significant impacts on competitive conditions, profitability, and employment in affected U.S. industries. The investigations also often involve products that are critical to U.S. productivity, innovation, and competitiveness. The investigations generally are requested by private sector entities operating in the United States and businesses may make important decisions as a result of Commission determinations.

The Commission is responsible for administering and applying U.S. laws concerning subsidized and dumped imports that injure a domestic industry, surges of 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, and Administrative Law Judges in unfair import investigations under section 337 (which are most often intellectual property-based), must consistently engage in thorough investigation and sound fact-finding. The record in each investigation must be examined in an objectively unbiased manner, and the resulting determinations must be well-reasoned, timely, and consistent with the law. The Commission is challenged in these efforts by the increasing complexity of its investigations, the variable and increased case load, scrutiny by reviewing courts and tribunals, and resource constraints.

### **STRATEGIC OBJECTIVE 1.1.**

## **RELIABLE PROCESS: CONDUCT EXPEDITIOUS AND TECHNICALLY SOUND INVESTIGATIVE PROCEEDINGS**

The Commission has a reputation for conducting prompt, thorough and independent investigations and sound decision-making. The Commission has determined that it is critical to retain and strengthen this confidence in Commission proceedings. In addition, parties to Commission investigative proceedings, who range from a single inventor to large multi-national corporations, seek reliable processes that ensure fair and timely decisions consistent with applicable U.S. laws. Timely decisions are critical to the Commission because import injury investigations have specific statutory deadlines, while section 337 investigations are expected to be resolved expeditiously. Moreover, participants in Commission investigations need timely decisions to relieve the business uncertainties these proceedings cause, especially as fast-changing technology can make a product obsolete in just

a few years. For all these reasons, the Commission has created this strategic objective to continue to provide an expeditious and technically sound investigative and decision-making process.

The Commission will employ a number of strategies to meet this strategic objective. First, it will ensure that its determinations are based on sufficient record evidence by focusing on feedback from agency decision-makers as well as reviewing courts. Next, it will continue its efforts to meet external deadlines—for example, by delivering all import injury reports by the statutory deadlines and all court documents by court-mandated deadlines. The Commission is also aiming to shorten the average length of section 337 investigations. Over the next several years, the Commission will review historical data to identify factors that contribute to the length of investigations. After this review, the Commission will design and adopt processes and procedures designed to handle section 337 investigations more efficiently. The Commission will also complete ancillary proceedings within specified guidelines.

Furthermore, the Commission will evaluate and improve the efficiency of key labor-intensive investigative processes, such as processing questionnaire data and collecting lost sales and lost revenue data. All the while, the Commission will continue to identify and implement ways to limit the costs to parties of participating in its proceedings.

The Commission’s efforts to meet this strategic objective may be hampered by budgetary constraints as well as the investigative caseload. The Commission cannot control the number, timing, or breadth of investigation requests it receives. By statute, the Commission must respond to those investigation requests in a timely way, potentially slowing progress on this objective.

The goal 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.

<p><b>Performance goal 1.11</b> Conclude investigations into alleged section 337 violations within timeframes that are consistent with the URAA implementing report by FY 2018</p>
<p><b>Performance indicator:</b> Length of original Section 337 investigations concluded on the merits  <b>Target:</b> Annual average of 12 months or less for less complicated investigations and annual average of 18 months or less for more complicated investigations  <b>Time period:</b> By FY 2018  <b>Potential indicators relevant to determining whether an investigation is “complicated”:</b></p> <ul style="list-style-type: none"> <li>• number of patents, trade secrets, and unfair acts (in Notice of Investigation)</li> <li>• whether the technology of the involved patents is overlapping or related</li> <li>• number of claims (in Notice of Investigation)</li> <li>• number of unrelated respondents accused (in Notice of Investigation)</li> <li>• category/type of the respondents (e.g., component manufacturers versus distributors or downstream manufacturers)</li> <li>• prior consideration of the patents in suit, trade secrets, or unfair acts in district court and/or in prior ITC investigations</li> <li>• whether the issue of public interest is delegated to the ALJ</li> </ul> <p><b>Other indicators relevant to the performance indicator:</b></p> <ul style="list-style-type: none"> <li>• number of original investigations and ancillary proceedings instituted per fiscal year</li> <li>• average number of co-pending investigations</li> <li>• number of subpoenas that are enforced</li> </ul>

<b>Performance goal 1.11</b> Conclude investigations into alleged section 337 violations within timeframes that are consistent with the URAA implementing report by FY 2018 — (cont'd)		
<b>Results</b>	<b>FY 2012</b>	<b>FY 2013</b>
Annual average length of investigations concluded on the merits (months)	16.5	19.7
<b>Related performance goals</b>		
<b>FY 2014</b>	<b>FY 2015</b>	
<b>Performance goal 1.11(a)</b> Analyze investigation data to identify factors contributing to investigation lengths and prepare report for Commission proposing ways to distinguish less and more complicated cases using objective measures of complexity	<b>Performance goal 1.11(a)</b> Implement classification of investigations into less or more complicated by the end of FY 2015	
<b>Performance indicator:</b> Report to Commission <b>Target:</b> Completion of report <b>Time period:</b> End of FY 2014	<b>Performance indicator:</b> Classification of investigations <b>Target:</b> Implementation of classification <b>Time period:</b> End of FY 2015	
<b>Performance goal 1.11(b)</b> Analyze investigation data and prepare report for Commission identifying possible steps to shorten average target dates	<b>Performance goal 1.11(b)</b> Implement most promising proposals from report to Commission by the end of FY 2015	
<b>Performance indicator:</b> Report to Commission <b>Target:</b> Completion of report <b>Time period:</b> End of FY 2014	<b>Performance indicator:</b> Implementation of proposals <b>Target:</b> Implementation <b>Time period:</b> End of FY 2015	
<b>Performance goal 1.11(c)</b> Establish criteria for assessment of early disposition pilot program	<b>Performance goal 1.11(c)</b> Measure effectiveness of early disposition pilot program	
<b>Performance indicator:</b> Assessment criteria <b>Target:</b> Criteria established <b>Time period:</b> End of FY 2014	<b>Performance indicator:</b> Measure effectiveness <b>Target:</b> Information assessed <b>Time period:</b> End of FY 2015	
<b>Performance goal 1.11(d)</b> Establish criteria for assessment of e-discovery case management pilot program	<b>Performance goal 1.11(d)</b> Measure effectiveness of e-discovery case management pilot program	
<b>Performance indicator:</b> Assessment criteria <b>Target:</b> Criteria established <b>Time period:</b> End of FY 2014	<b>Performance indicator:</b> Measure effectiveness <b>Target:</b> Information assessed <b>Time period:</b> End of FY 2015	

Performance goal 1.11 is directed to shortening the average length of section 337 investigations. Specifically, the Commission is seeking to reduce by FY 2018 the average length of these investigations to between 12 and 18 months depending on the extent to which an investigation is “complicated.” In FY 2014, the Commission will assess factors that may be relevant to determining the extent to which an investigation is “complicated.” Such factors may include:

- the number of patents, trade secrets, and unfair acts in the Notice of Institution and whether the technology of the involved patents is overlapping or related and whether the technology has been considered in prior agency or court litigation;

- the number of claims in the Notice of Institution for each investigation;
- the number of unrelated respondents accused in the Notice of Institution for each investigation and whether the respondents fall within certain categories, e.g., component manufacturers versus distributors or downstream manufacturers;
- and whether the issue of public interest is delegated to the ALJ.

Commission staff will analyze this information to determine the extent to which these factors or additional factors contribute to the length of section 337 investigations and report to the Commission (1) on ways to distinguish investigations that are more or less complicated using objective measures and (2) possible steps to shorten the average target dates. By the end of FY 2015, the Commission will then classify investigations as less or more complicated and implement promising proposals to shorten target dates.

In FY 2013, the Commission implemented two pilot programs aimed at reducing the length of section 337 investigations, increasing their efficiency, and reducing the cost of discovery in these investigations. The first of these programs is the Commission’s early disposition program, in which the Commission directs the ALJ to make findings on certain potentially dispositive issues such as domestic industry within the first 100 days after institution and before discovery on other issues. The second program is directed to making discovery more efficient. In certain investigations, ALJs will require each party to make key initial disclosures as part of the procedural schedule instead of waiting for the party to disclose this meaningful information on its own timetable. During FY 2014, Commission staff will identify assessment criteria for measuring whether these programs are effective. In FY 2015, the Commission will use these criteria to measure the effectiveness of the programs.

The Commission has also set a goal—performance goal 1.12—aimed at reducing the average length of ancillary proceedings in unfair import investigations in FY 2014 and FY 2015. Conducting these proceedings in a timely way, including shrinking the time taken by various ancillary proceedings, is important to mitigate the business uncertainty these investigations cause in markets where fast-changing technologies quickly can make products obsolete.

<p><b>Performance goal 1.12</b> Improve the timeliness of ancillary proceedings by reducing the average length of ancillary proceedings as follows:</p> <ul style="list-style-type: none"> <li>• modification: 6 month</li> <li>• advisory: 9 months</li> <li>• enforcement: 12 months</li> <li>• Federal Circuit remand: 12 months</li> <li>• consolidated ancillaries: 15 months</li> </ul>		
<p><b>Performance indicator:</b> Length of ancillary proceedings concluded on the merits  <b>Target:</b> Reduce the average length of ancillary proceedings, as noted above  <b>Time period:</b> FY 2016  <b>Contextual indicator:</b> Whether evidentiary hearing is held; whether matter needs to be delegated to the ALJ</p>		
<b>Results</b>	<b>FY 2012</b>	<b>FY 2013</b>
Length of ancillary proceedings: modifications		1 day
Length of ancillary proceedings: advisory	4.9 months	
Length of ancillary proceedings: enforcement		8.7 months
Length of ancillary proceedings: CAFC remand		
Length of ancillary proceedings: consolidated ancillaries	16.1 months	

The Commission continually evaluates its processes and procedures and strives to make them more efficient. Data for import injury investigations are collected via questionnaires sent to industry participants. While questionnaires traditionally have been sent and received in paper form, recent efforts by the Commission to automate the process by transmitting and receiving them electronically have made it possible to extract questionnaire data electronically. Electronic extraction cuts the staff time spent manually entering data, both allowing staff to spend more time on analysis and reducing data entry errors. In addition, electronic transmission of questionnaires can potentially reduce the burden and cost for firms. In FY 2014, the Commission will measure the share of questionnaires that are transmitted and received electronically, aiming at a 90 percent utilization rate by FY 2015 (performance goal 1.13).

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. The Commission will continue its efforts to meet all external deadlines for determinations, reports, and court related documents for FY 2014 and FY 2015 (performance goals 1.14 and 1.15).

Commission determinations in import injury and unfair import 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, and certain determinations are subject to review pursuant to the dispute resolution procedures of the World Trade Organization (WTO). The Commission has independent legal authority to represent itself before the CIT, the Federal Circuit, and NAFTA panels. While the Commission strives to meet all court mandated deadlines, it has no control over the length of time that litigation will take to be concluded. Trying to minimize the number of issues that may be litigated could potentially reduce the number of appeals or the time that it takes to conclude litigation activities, and lessen uncertainty in the affected markets. The Commission has set goals to evaluate judicial and NAFTA panel reviews and to use that information to improve the agency's decision-making in future investigations (performance goal 1.16).

**Performance goal 1.13** Increase the utilization of electronic questionnaires for import injury investigations to 90% by 2015

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

**Target:** 90% utilization

**Time period:** FY 2014–2015

FY 2014	FY 2015	
<b>Performance goal 1.14</b> Deliver 100% of import injury investigation determinations and reports by the statutory deadline	<b>Performance goal 1.14</b> Deliver 100% of import injury investigation determinations and reports by the statutory deadline	
<b>Performance indicators:</b> Submission of Commission determinations and reports to Department of Commerce <b>Target:</b> 100% delivered on time <b>Time period:</b> End of FY 2014	<b>Performance indicators:</b> Submission of Commission determinations and reports to Department of Commerce <b>Target:</b> 100% delivered on time <b>Time period:</b> End of FY 2015	
<b>Results</b>	<b>FY 2012</b>	<b>FY 2013</b>
Percentage of reports delivered on time	100	100

FY 2014	FY 2015	
<b>Performance goal 1.15</b> Deliver 100% of court documents related to import injury investigations by the mandated deadline.	<b>Performance goal 1.15</b> Deliver 100% of court documents related to import injury investigations by the mandated deadline.	
<b>Performance indicator:</b> Submissions to Court of International Trade (CIT), Federal Circuit, NAFTA panel, and/or WTO <b>Target:</b> 100% delivered on time <b>Time period:</b> End of FY 2014	<b>Performance indicator:</b> Submissions to CIT, Federal Circuit, NAFTA panel, and/or WTO <b>Target:</b> 100% delivered on time <b>Time period:</b> End of FY 2015	
<b>Results</b>	<b>FY 2012</b>	<b>FY 2013</b>
Percentage of court documents delivered on time	100	100

<b>Performance goal 1.16</b> Develop and implement a process to evaluate and improve agency decision-making based on judicial and NAFTA panel remands during FY 2014	<b>Performance goal 1.16</b> Continue using the evaluation process, and improve agency decision-making based on judicial and NAFTA panel remands	
<b>Performance indicator:</b> Evaluation process <b>Target:</b> Process developed and implemented <b>Time period:</b> FY 2014	<b>Performance indicator:</b> Evaluations and improvements <b>Target:</b> Evaluations completed and improvements made <b>Time period:</b> FY 2015	

## 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 decision-making process. The stakeholders can include parties to an investigation, their business partners, other market participants, the general public, other federal agencies, Congress, and foreign governments.

The Commission has created this strategic objective to promote greater transparency and a fuller understanding of its investigations for all stakeholders by ensuring that accurate public information about its investigative proceedings is easily accessible as soon as practicable.

The Commission will employ several strategies to meet this strategic objective. First, the Commission will use current and developing technologies to improve the flow of information to stakeholders by developing and deploying investigative databases. The Commission will also ensure that information on investigations is available on its Electronic Document Information System (EDIS) and its webpages in a timely way. The Commission will continue its outreach to bar groups and others to ensure that its processes and capabilities are understood. Finally, the Commission will regularly survey external stakeholders to obtain feedback on the effectiveness and efficiency of Commission processes and procedures.

This strategic objective may be affected by budgetary constraints as funding levels may limit Commission resources and the ability to fund technology-related projects.

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

The Commission has invested time and resources into developing a database for section 337 investigations to help with the efficient and accurate reporting of statistical information. The database also contains information that will help inform caseload management decisions. In FY 2014, the Commission will develop data extraction tools in an effort to make the information in the database more accessible to the public as well as internally. Also in FY 2014, the Commission will begin to work on a database for Title VII investigations so that in FY 2015 additional information in this area will be available to the public.

<b>Performance goal 1.21</b> Leverage existing and developing technologies to improve the flow of information to interested parties and the general public during FY 2014 -- FY 2018	
<b>Performance indicator:</b> Development and implementation of projects <b>Target:</b> Projects identified and implemented each year <b>Time period:</b> FY 2014–FY 2018	
<b>Related performance goals</b>	
<b>FY 2014</b>	<b>FY 2015</b>
<b>Performance goal 1.21(a)</b> Improve availability of investigation-related information by deploying search and data extraction tools for investigation databases by the end of FY 2014	<b>Performance goal 1.21(a)</b> Improve availability of investigation-related information by deploying search and data extraction tools for investigation databases by the end of FY 2015
<b>Performance indicator:</b> Search and data extraction tools available <b>Target:</b> Search and data extraction tools for section 337 information available <b>Time period:</b> End of FY 2014	<b>Performance indicator:</b> Search and data extraction tools available <b>Target:</b> Search and data extraction tools for Title VII information available <b>Time Period:</b> End of FY 2015

The availability of import injury investigation information directly relates to the strategic objective (1.2) of promoting transparency of investigative proceedings. Prompt availability of investigation information is important as it enhances the ability of parties to participate in import injury proceedings; fuller participation provides the Commission with 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. The Commission has set performance goals for FY 2014 and FY 2015 to ensure that import injury investigation information is available in a timely manner (performance goal 1.22).

Performance goal 1.23 is directed at ensuring that parties and the general public understand what the Commission can and cannot do and what its processes are. Conducting outreach helps potential participants in import injury and unfair import proceedings work more effectively with the agency.

The Commission has invested time and staff resources to evaluate its processes and procedures to assess their efficiency and effectiveness. Performance goal 1.24 is directed at engaging external stakeholders in this evaluation process. Surveys will be issued to external stakeholders each year to solicit feedback on potential improvements to existing Commission processes and procedures and the Commission will promptly apply what it learns.

As noted, the availability of investigative information is an important part of the Commission’s goal of promoting transparency. EDIS is a key component in making section 337 and import injury investigation documents available to parties and the public. Prompt availability of investigative record material is important as it enhances the ability of parties to participate in these proceedings, and thus provides the Commission with a more complete record upon which to make sound determinations. Performance goal 1.25 is directed at ensuring that these investigation documents are available in a timely way.

FY 2014	FY 2015
<b>Performance goal 1.22</b> Post information on import injury investigation case webpages within specific timeframe during FY 2014	<b>Performance goal 1.22</b> Post information on import injury investigation case webpages within specific timeframe during FY 2015
<b>Performance indicator:</b> Investigation-related information <b>Target:</b> 85% of information posted within 48 hours and 90% within 72 hours of issuance <b>Time period:</b> FY 2014	<b>Performance indicator:</b> Investigation-related information <b>Target:</b> 85% of information posted within 48 hours and 90% within 72 hours of issuance <b>Time period:</b> FY 2015

<b>Performance goal 1.23</b> Staff conducts outreach to bar groups and others to ensure they understand Commission capabilities and process	<b>Performance goal 1.23</b> Staff conducts outreach to bar groups and others to ensure they understand Commission capabilities and process	
<b>Performance indicator:</b> Outreach efforts <b>Target:</b> Efforts made each quarter <b>Time period:</b> FY 2014	<b>Performance indicator:</b> Outreach efforts <b>Target:</b> Efforts made each quarter <b>Time period:</b> FY 2015	
<b>Results</b>	<b>FY 2012</b>	<b>FY 2013</b>
Efforts made each quarter to conduct outreach	Outreach to other government agencies, U.S. companies and their counsel, and general public	Outreach to other government agencies, U.S. companies and their counsel, and general public

<b>Performance goal 1.24</b> Issue annual feedback survey to external stakeholders to assess effectiveness and efficiency of processes and procedures. Implement proposed new processes/procedures as appropriate	<b>Performance goal 1.24</b> Issue annual feedback survey to external stakeholders to assess effectiveness and efficiency of processes and procedures. Implement proposed new processes/procedures as appropriate
<b>Performance indicator:</b> Survey issuance; process/procedure updates <b>Targets:</b> Surveys issued annually; processes and/or procedures updated <b>Time period:</b> FY 2014	<b>Performance indicator:</b> Survey issuance; process/procedure updates <b>Targets:</b> Surveys issued annually; processes and/or procedures updated <b>Time period:</b> FY 2015

<b>Performance goal 1.25</b> Post documents to EDIS within specified time frames during FY 2014	<b>Performance goal 1.25</b> Post documents to EDIS within specified time frames during FY 2015			
<b>Performance indicator:</b> Percentage of documents posted <b>Targets:</b> 85% of documents processed within 24 hours and 95% within 48 hours. <b>Time period:</b> FY 2014	<b>Performance indicator:</b> Percentage of documents posted <b>Targets:</b> 85% of documents processed within 24 hours and 95% within 48 hours. <b>Time period:</b> FY 2015			
Results	FY 2012		FY 2013	
	24 hours	48 hours	24 hours	48 hours
Percentage of documents posted on time: import injury	96.3	99.3	96.7	98.7
Percentage of documents posted on time: section 337	98	99.7	97.8	98.7

## **Strategic Goal 2**

### **Inform: Produce Objective, High-Quality, and Responsive Tariff, Trade, and Competitiveness-Related Analysis and Information**

Policymakers need high quality information to evaluate complex trade-offs between competing policy goals and to inform and support decision-making. To fulfill its mission, the Commission must independently provide the highest caliber of information and analysis to U.S. policymakers in a timely manner to assist them when they are securing benefits for the United States in trade negotiations and when they enact legislation or take other policy actions that affect the U.S. economy and industry competitiveness.

The Commission has numerous statutory responsibilities to provide advice, analysis, data and other information, and reports to Congress, the President and the Office of the United States Trade Representative (USTR). In response to U.S. policymakers' requests, the Commission and its staff provide objective independent information and analysis on numerous topics, both through formal investigations and informal expert advice. The Commission's unique capabilities to collect, develop, and synthesize primary information and provide multidisciplinary analysis support the development of well-informed trade policy. To ensure that it develops and maintains the technical expertise it needs to fulfill its statutory requirements, the Commission also identifies priority research areas related to international trade, industry competitiveness, and the U.S. and global economies.

The Commission publishes and maintains the Harmonized Tariff Schedule of the United States (HTS), which serves the U.S. government as the basis for collecting customs duties, compiling trade data, and formulating many trade actions. The Commission plays a significant role in the development of the international nomenclature for goods in trade and in drafting classification provisions at the national level. The Commission also guides the development of the statistical categories used to monitor trade. As a whole, the HTS is vital to U.S. businesses, government agencies, and others involved in trade that depend upon accurate, current tariff rates and useful trade data.

#### **STRATEGIC OBJECTIVE 2.1.**

##### **TIMELY: DELIVER TIMELY AND ACCESSIBLE ANALYSIS AND INFORMATION**

The Commission recognizes the importance of providing policymakers with timely, accessible analysis and information to inform their decision-making. The trade and competitiveness information and analysis provided under this objective are often necessary for policymakers to meet negotiation schedules or make time-sensitive decisions. Changes in trade policy typically are made because the overall effects on the economy are positive, so providing support in a timely manner can increase those aggregate benefits. Besides being timely, such information must be presented clearly and be easily accessible. The Commission's customers also expect the agency to adhere to statutory deadlines, relevant regulations, and requested delivery dates.

One part of the Commission's mission is to maintain the HTS. Timely updates to the HTS give the public critical product-specific information enable the accurate collection of tariff revenues, and are integral to other government agencies' work. As technology and the global commercial environment change, the Commission will need to provide information to users in different ways. For example, the Commission has recently committed significant resources to improve the accuracy and usefulness of the electronic version of the HTS to ensure that tariff information is accessible and transparent as well as up to date.

The performance goals for this objective focus on two general areas: providing information in a more accessible and timely way (often by upgrading the content and performance of web-based products), and improving the efficiency with which information is provided (by improving of internal processes). To meet this objective, the Commission is developing and applying reliable information technology (IT) solutions to make Commission products more available, more effective, and more fully utilized. Strategies include the development of interactive electronic products—both those available on the agency’s website and those provided directly to policy makers. Internal evaluations have also revealed the need to develop more information on the cost of conducting investigations to better allocate resources as well as improve efficiency in production and delivery. Business process mapping is allowing the Commission to refine its internal processes and improve the efficiency and effectiveness of product delivery.

Work in support of several performance goals under this objective began during FY 2013. In many cases, necessary resources have already been dedicated and timelines established to meet performance targets (see tables below.)

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

<b>Performance goal 2.11</b> Improve utility of tariff and trade information for customers and the public by developing and implementing processes and tools to publish digital and interactive Commission products on the USITC website by FY 2018	
<b>Performance indicators:</b> <ul style="list-style-type: none"> <li>• Development of processes and tools to enable web publication of digital and interactive products</li> <li>• Implementation of solutions as measured by the number of digital and interactive Commission products published on the website by 2018</li> </ul> <b>Target:</b> Post five digital or interactive Commission products on the website by FY 2018 <b>Time period:</b> FY 2014 – FY 2018	
<b>Related performance goals</b>	
<b>FY 2014</b>	<b>FY 2015</b>
<b>Performance goal 2.11(a)</b> Develop and implement processes and tools to publish digital or interactive Commission products on the USITC website by FY 2014	<b>Performance goal 2.11(a)</b> Publish digital or interactive Commission products on the USITC website by FY 2015
<b>Performance indicator:</b> Processes and tools for digital or interactive web-posted Commission products <b>Target:</b> Process and tools developed to publish digital and/or interactive Commission products <b>Time period:</b> FY 2014	<b>Performance indicator:</b> Digital or interactive Commission products available for customers and the public on the website <b>Target:</b> Two digital or interactive Commission products available on USITC website <b>Time period:</b> FY 2015
<b>Performance goal 2.11(b)</b> Complete development and deploy modernized HTS system during FY 2014	<b>Performance goal 2.11(b)</b> Develop new trade data system to replace the DataWeb by end of FY 2015
<b>Performance indicator:</b> Modernized HTS system <b>Target:</b> Deploy new HTS system <b>Time period:</b> FY 2014	<b>Performance indicator:</b> Modernized trade data system <b>Target:</b> Deploy new trade data system <b>Time period:</b> end of FY 2015
<b>Results</b>	<b>FY 2013</b>
Development and implementation of HTS production system	Development of HTS production system began during third quarter, with continuous progress through remaining fiscal year.

<b>Performance goal 2.12</b> Improve the efficiency of timely delivery of Commission products by evaluating and implementing improved production processes by 2018	
<b>Performance indicators:</b> <ul style="list-style-type: none"> <li>• Number of processes evaluated</li> <li>• Improvements identified and implemented</li> <li>• Improved efficiency of delivery as measured by production personnel costs</li> </ul> <b>Target:</b> All major production processes evaluated; improved efficiency in producing and delivering Commission products <b>Time period:</b> FY 2014 – FY 2018	
<b>Related performance goals</b>	
<b>FY 2014</b>	<b>FY 2015</b>
<b>Performance goal 2.12(a)</b> Improve the efficiency of timely delivery of Commission products by evaluating and implementing improved production processes by 2014	<b>Performance goal 2.12(a)</b> Improve the efficiency of timely delivery of Commission products by evaluating and implementing improved production processes by 2015
<b>Performance indicator:</b> Number of major production processes evaluated; process improvements identified <b>Target:</b> Complete evaluation of four processes and begin to implement improvements <b>Time period:</b> FY 2014	<b>Performance indicator:</b> Number of processes evaluated; assessment from baseline; efficiency of timely delivery as measured by personnel costs <b>Target:</b> Implementation of process improvements identified in FY 2014 increases efficiency of timely delivery of Commission products; complete evaluation of two additional processes <b>Time period:</b> FY 2015
<b>Performance goal 2.12(b)</b> Improve processes to identify and correct errors at the pre-publication stage for HTS files during FY 2014	<b>Performance goal 2.12(b)</b> Improve processes to identify and correct errors at the pre-publication stage for HTS files during FY 2015
<b>Performance indicator:</b> Identified and corrected information <b>Target:</b> 95% of the updates made by the assigned analyst are found to be error free after the review process; the remaining 5% are identified and corrected in the review process <b>Time Period:</b> FY 2014	<b>Performance indicator:</b> Identified and corrected information <b>Target:</b> 96% of the updates made by the assigned analyst are found to be error free after the review process; the remaining 4% are identified and corrected in the review process <b>Time period:</b> FY 2015

<p><b>Performance goal 2.13</b> Increase 508 compliance of Commission reports by improving staff knowledge and procedures by September 30, 2014</p>		<p><b>Performance goal 2.13</b> All USITC- generated documents related to investigations requested during FY 2015 that are posted to the USITC website are 508 compliant</p>	
<p><b>Performance indicator:</b></p> <ul style="list-style-type: none"> <li>Percent of OP staff trained in production of 508-compliant documents</li> <li>Relevant production guidelines which provide instruction for producing 508 compliant documents (e.g., process and procedures manual for statutory reports)</li> <li>USITC-generated documents posted to the website related to investigations instituted in FY 2014</li> </ul> <p><b>Target:</b></p> <ul style="list-style-type: none"> <li>100% of OP staff trained in the production of 508 compliant documents</li> <li>Publishing guidelines for section 508 compliant documents developed</li> <li>50% 508 compliance</li> </ul> <p><b>Time period:</b> FY 2014</p>		<p><b>Performance indicator:</b> USITC-generated documents posted to the website related to investigations instituted in FY 2015</p> <p><b>Target:</b> 100% 508 compliance</p> <p><b>Time period:</b> FY 2015</p>	
<p><b>Performance goal 2.14</b> Develop on-line technical information modules for the public and staff by September 2014</p>		<p><b>Performance goal 2.14</b> Provide on-line technical information modules for the public and staff by September 2015 and continue to develop new modules</p>	
<p><b>Performance indicator:</b> Number of technical information modules developed by September 2014</p> <p><b>Target:</b> Two technical training modules developed by September 2014</p> <p><b>Time period:</b> FY 2014</p>		<p><b>Performance indicators:</b></p> <ul style="list-style-type: none"> <li>Number of training modules available on USITC website</li> <li>Number of new technical information e-learning modules under development by September 2015</li> </ul> <p><b>Target:</b> Two modules posted, one new module under development by September 2015</p> <p><b>Time period:</b> FY 2015</p>	
<p><b>Performance goal 2.15</b> Improve timeliness of tariff and customs information provided in response to emails submitted through on-line help system</p>		<p><b>Performance goal 2.15</b> Improve timeliness of tariff and customs information provided in response to emails submitted through on-line help system</p>	
<p><b>Performance indicator:</b> E-mail responses to HTS inquiries</p> <p><b>Target:</b> 90% of emails through on-line help system receive responses within 7 working days</p> <p><b>Time period:</b> FY 2014</p>		<p><b>Performance indicator:</b> E-mail responses to HTS inquiries</p> <p><b>Target:</b> 92% of emails received through on-line help system receive responses within 7 working days</p> <p><b>Time period:</b> FY 2015</p>	
<b>Results</b>		<b>FY 2012</b>	<b>FY 2013</b>
Email responses to HTS inquiries within 7 days (%)		97	90

## **STRATEGIC OBJECTIVE 2.2.**

### **EFFECTIVE: PRODUCE HIGH-QUALITY ANALYSIS AND INFORMATION AND STRATEGIC INSIGHTS TO SUPPORT THE DEVELOPMENT OF THE U.S. TRADE AGENDA**

Many of the requests the Commission receives from policy makers cover areas or issues that are new and have not been evaluated extensively by academics or policy analysts, or that deal with longstanding issues involving a complex array of views. The requests may involve applying different analytic approaches and cover topics that have limited publicly available data. These circumstances require the Commission to continuously improve and enhance its information collection processes and analytical methods, as well as the way it maintains and provides information. To accomplish this, the Commission must ensure appropriate acquisition of information, development of analytical tools, and investment in human capital.

Customers' requirements drive Commission research efforts to develop knowledge and skills sufficient to anticipate policymakers' priorities, identify emerging international trade issues, develop or adopt advances in analytical techniques and methods, and understand shifting public policy priorities. The efforts includes ongoing evaluation and development of new economic models and databases, evolving analytical skills and understanding of firm and industry behavior, and identifying new information resources and new IT applications. Moreover, policy makers and others in the trade community also rely on the Commission to develop and maintain up-to-date nomenclature information. Accurate tariff information is essential in collecting appropriate duties, generating accurate data on U.S. trade flows, and providing certainty to businesses.

Performance goals for this Objective place an emphasis on ongoing dialog with customers to gain the best understanding possible about their interests and needs. Commission staff pursues a strategy of periodic personal engagement with internal and external customers both to inform them of capabilities and to seek feedback on work. This dialog enhances the ability to meet quality-related expectations, anticipate policymakers' needs, and proactively develop expertise and tools that might be needed to meet requests for assistance. Information gathered from customers, including feedback on delivered products, helps prioritize research and knowledge development activities to efficiently increase our effectiveness. The Commission will continue to assess and prioritize its resources, its efforts to engage customers, and its participation in international and other institutional efforts to identify and address trade-related measures such as nontariff measures (NTMs) and nomenclature.

In the past, progress on goals similar to those covered in this objective has been hampered by two challenges. Although discussions with statutory customers are typically very fruitful, it can be difficult for legislative and executive branch trade policymakers and staff to find time for detailed discussions about the strategic direction of their trade agendas. This situation makes it somewhat difficult to accurately focus resources to meet future requests. Also, high vacancy rates in the Offices of Economics and Industries have made it difficult to devote adequate resources to proactive knowledge development.

The performance targets for this Objective focus on collecting feedback from both internal and external customers, identifying and vetting priority areas for research and knowledge development, and developing tools to track the inclusion of new knowledge and skills in requested work products. Key performance goal milestones occur after delivery of requested investigations, when the opportunity for specific feedback is present. Outreach efforts at these times are essential to meeting performance targets.

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

<b>Performance goal 2.21</b> Engage Commission customers to enhance agency capabilities to provide effective and responsive analysis, data, and nomenclature services through 2018	
<p><b>Performance indicators:</b> Feedback provided during briefings and meetings</p> <p><b>Target:</b> Briefings and meetings with customers conducted after report delivery generate feedback</p> <p><b>Time period:</b> FY 2014–FY 2018</p> <p><b>Other indicator:</b> Share of delivered, Commission customer requested products for which briefings are requested and delivered</p>	
<b>Related performance goals</b>	
<b>FY 2014</b>	<b>FY 2015</b>
<b>Performance goal 2.21(a)</b> Engage Commission customers to enhance agency capabilities to provide effective and responsive analysis, data, and nomenclature services in 2014	<b>Performance goal 2.21(a)</b> Engage Commission customers to enhance agency capabilities to provide effective and responsive analysis, data, and nomenclature services in 2015
<p><b>Performance indicators:</b> Feedback provided during briefings and meetings; actions taken</p> <p><b>Targets:</b> Briefings and meetings with customers conducted after report delivery generate feedback; actions taken, as appropriate</p> <p><b>Time period:</b> FY 2014</p> <p><b>Other Indicator:</b> Share of delivered, customer requested products for which briefings are requested and delivered</p>	<p><b>Performance indicators:</b> Feedback provided during briefings and meetings; actions taken</p> <p><b>Targets:</b> Briefings and meetings with customers conducted after report delivery generate feedback; actions taken, as appropriate</p> <p><b>Time period:</b> FY 2015</p> <p><b>Other Indicator:</b> Share of delivered, customer requested products for which briefings are requested and delivered</p>
<b>Performance goal 2.22</b> Based largely on customer input, continually identify and prioritize areas to improve capabilities to analyze important new issues in trade and industry competitiveness through 2018	
<p><b>Performance indicators:</b> Priority areas vetted and established annually through 2018</p> <p><b>Target:</b> Capabilities developed in new areas annually</p> <p><b>Time period:</b> FY 2014–FY 2018</p>	
<b>Related performance goals</b>	
<b>FY 2014</b>	<b>FY 2015</b>
<b>Performance goal 2.22(a)</b> Based largely on customer input, continually identify and prioritize areas to enhance capabilities to analyze new issues in trade and industry competitiveness	<b>Performance goal 2.22(a)</b> Based largely on customer input, continually identify and prioritize areas to improve capabilities to analyze new issues in trade and industry competitiveness
<p><b>Performance indicator:</b> Priority areas identified and vetted</p> <p><b>Target:</b> Enhanced capabilities developed in priority areas such as:</p> <ol style="list-style-type: none"> <li>1. Global modeling including analysis of differential household effects</li> <li>2. Economic and trade effects of energy markets, technologies, and related services</li> <li>3. Behind-the-border nontariff measures (NTMs) such as technical barriers to trade (TBTs) and standards; trade facilitation and customs issues</li> <li>4. Supply chains</li> <li>5. Analysis of the effects of integration within the North American markets</li> </ol> <p><b>Time period:</b> FY 2014</p>	<p><b>Performance indicator:</b> Priority areas identified and vetted</p> <p><b>Target:</b> Improved capabilities developed in priority areas such as:</p> <ol style="list-style-type: none"> <li>1. Global modeling including analysis of state-specific effects</li> <li>2. Economic and trade effects of energy markets, technologies, and related services</li> <li>3. Behind-the-border NTMs such as TBTs and standards; trade facilitation and customs issues</li> <li>4. Supply chains</li> <li>5. Product space analysis</li> </ol> <p><b>Time period:</b> FY 2015</p>

<b>Performance goal 2.23</b> Improved analytical tools and new capabilities are reflected in statutory work products through FY 2018	
<b>Performance indicators:</b> Share of staff research products reflected in statutory products <b>Target:</b> Continuous improvement through FY 2018 <b>Time period:</b> FY 2014 – FY 2018	
<b>Related performance goals</b>	
<b>FY 2014</b>	<b>FY 2015</b>
<b>Performance goal 2.23(a)</b> Improved analytical tools and new capabilities are reflected in statutory work products  <b>Performance indicator:</b> Share of staff research products reflected in statutory products <b>Target:</b> 5-year database of staff products developed; baseline established for share of staff products shown to have information and/or techniques that have informed, been used in, or been referenced in customer requested products <b>Time period:</b> FY 2014	<b>Performance goal 2.23(a)</b> Improved analytical tools and new capabilities are reflected in statutory work products  <b>Performance indicator:</b> Share of staff research products reflected in statutory products <b>Target:</b> 5% improvement over baseline <b>Time period:</b> FY 2015

<b>Performance goal 2.24</b> Obtain feedback from internal customers regarding Commission products and take action in areas needing improvement through FY 2018		
<b>Performance indicators:</b> 1. Feedback obtained 2. Action taken, as appropriate <b>Target:</b> 100% <b>Time period:</b> FY 2014–FY 2018		
<b>Related performance goals</b>		
<b>FY 2014</b>	<b>FY 2015</b>	
<b>Performance goal 2.24(a)</b> Obtain feedback from internal customers regarding Commission products and take action in areas needing improvement during FY 2014  <b>Performance indicators:</b> 1. Feedback obtained 2. Action taken, as appropriate <b>Target:</b> 100% <b>Time period:</b> FY 2014	<b>Performance goal 2.24(a)</b> Obtain feedback from internal customers regarding Commission products and take action in areas needing improvement during FY 2015  <b>Performance indicators:</b> 1. Feedback obtained 2. Action taken, as appropriate <b>Target:</b> 100% <b>Time period:</b> FY 2015	
<b>Results</b>	<b>FY 2012</b>	<b>FY 2013</b>
Feedback obtained, Action taken	Internal review procedures examined in response to feedback	Feedback generally positive

## Management Goal

# Achieve Agency-wide Efficiency and Effectiveness to Advance Agency Mission

The Commission is committed to continuous process improvement and support for the Commission's strategic goals and mission. The three management objectives support the management goal to advance the agency's mission in an efficient and effective way. The objectives align with three functional areas: human resources; budget, acquisitions, and finance; and IT. Performance goals identified for FY 2014 and 2015 reflect agency management priorities.

### MANAGEMENT OBJECTIVE M1.1.

#### PEOPLE: EFFICIENTLY AND EFFECTIVELY RECRUIT AND DEVELOP HIGHLY QUALIFIED AND FLEXIBLE HUMAN CAPITAL

For the Commission to carry out its mission in a constantly evolving business environment, the Commission must recruit and develop a workforce equipped to meet the demands of the agency's workload. Efficiency and effectiveness in all human capital management practices are vital to ensure the Commission continually positions itself as an attractive employer in a highly competitive labor market. Streamlining processes, 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. The Commission will continue to emphasize the need for improved performance in these areas. The Chief Human Capital Officer is the Goal Leader for this strategic objective and for each of the performance goals identified below.

During FY 2014-2018, the Commission will streamline its human capital management practices by moving all major human capital activities currently using paper processes (hiring, career development, benefits counseling, etc.) to electronic processes (performance goal M1.11). This step will increase efficiency by shortening processing times, as there will be no more hard copy forms to be completed or hand delivered between internal offices. It will increase effectiveness by promoting transparency, enhancing document tracking capability, and improving record keeping through enhanced auditability. The agency will determine success in this area by identifying and beginning conversion of all current paper processes by the end of FY 2014 and tracking and reporting on the progress toward conversion for each over the next five years.

Using the Office of Personnel Management's 80 day end-to-end hiring model as a starting point, the Commission has developed its own service level agreements for processing hiring actions in order to improve processing completion times and provide greater transparency to all stakeholders involved in the hiring process (performance goal M1.12). Implementing service level agreements will promote greater efficiency by allowing the Office of Human Resources (HR) to better plan and prioritize its workload. It will also provide specific and reasonable performance expectations for stakeholders. The agreements will also promote greater effectiveness in hiring practices by illuminating recurring issues, both internal and external to the Commission, that might impede the processing of hiring actions. The Commission will strive to meet 80 percent of its service level agreements during FY 2014 and improve upon that number by 5 percentage points during FY 2015.

Accurate and auditable recordkeeping plays a crucial role in human capital management practices (performance goal M1.14). This is particularly true in the area of hiring and recruitment, where improper record keeping practices could put the Commission at risk of losing delegated examining authority as well as negatively impacting the efficiency and effectiveness of hiring actions. Improving record keeping will also minimize the incidence of inadvertent error in pay and benefits determinations that may adversely impact Commission employees. As

discussed above, the agency will be working to convert to an entirely electronic process over the next five years. In the interim, however, all hiring action case files will continue to be maintained in paper form and reviewed quarterly to ensure completeness and accuracy. The Commission will continue working to improve record keeping related to human capital management over the coming fiscal years and will track progress by reviewing the completeness and accuracy of hiring action case files on a quarterly and annual basis. Files found to be incomplete or inaccurate during quarterly reviews will be corrected, and progress toward the performance goal will be evaluated during a year-end review of all files. During FY 2014 the Commission hopes to improve by 5 percentage points over the FY 2013 result and then improve by another percentage point during FY 2015.

Stakeholder satisfaction levels with hiring practices and career development reflect stakeholder’s perception of the efficiency and effectiveness of the Commission’s performance in those areas (performance goals M1.13 and M1.15). Low levels of satisfaction evidence a perception of ineffectiveness and inefficiency in Commission human capital management practices among stakeholders, indicating the need for corrective action, whether that be remedial efforts within HR or educational efforts with stakeholders to ensure familiarity with human capital management processes. Feedback provided by stakeholders via intermittent and annual surveys helps the agency determine which facets of the hiring and career development processes stakeholders are most concerned about. The Commission will continue its efforts to elicit feedback from stakeholders during the upcoming fiscal years to gauge satisfaction in hiring and career development. During FY 2014, the agency hopes to improve stakeholder satisfaction by 5 percentage points over FY 2013 results and then improve by another 5 percentage points during FY 2015.

<b>Performance goal M1.11</b> Convert all major human capital management paper processes to electronic processes over the next five years	
<b>Performance indicator:</b> Total number of paper processes remaining in each of the 5 main human capital management areas (Recruitment, Training/Development, Performance Management, Benefits/Retirement Counseling, and Out-Processing/Details/Transfers) <b>Target:</b> Eliminate all paper processes in each major area listed above by FY 2018 <b>Time period:</b> FY 2014–18	
<b>Related performance goals</b>	
<b>FY 2014</b>	<b>FY 2015</b>
<b>Performance goal M1.11(a)</b>	<b>Performance goal M1.11(a)</b>
<b>Performance indicator:</b> Total number of paper processes remaining in each of the 5 main human capital management areas (Recruitment, Training/Development, Performance Management, Benefits/Retirement Counseling, and Out-Processing/Details/Transfers) <b>Target:</b> Progress toward eliminating all paper processes in each major area <b>Time period:</b> FY 2014	<b>Performance indicator:</b> Total number of paper processes remaining in each of the 5 main human capital management areas (Recruitment, Training/Development, Performance Management, Benefits/Retirement Counseling, and Out-Processing/Details/Transfers) <b>Target:</b> Progress toward eliminating all paper processes in each major area <b>Time period:</b> FY 2015

FY 2014	FY 2015
<b>Performance goal M1.12</b> Complete hiring actions with service level agreements within the time frame specified (generally, 80 days) in order to improve overall vacancy rate and better achieve agency mission	<b>Performance goal M1.12</b> Complete hiring actions with service level agreements within the time frame specified (generally, 80 days) in order to improve overall vacancy rate and better achieve agency mission
<b>Performance indicator:</b> number of hiring actions with service-level agreements between HR and hiring officials which are completed in the time frame set forth in the service-level agreement <b>Target:</b> 80% or more hiring actions completed within the time frame set forth in the service-level agreement <b>Time period:</b> End of FY 2014	<b>Performance indicator:</b> number of hiring actions with service-level agreements between HR and the hiring officials which are completed in the time frame set forth in the service-level agreement <b>Target:</b> 85% or more hiring actions completed within the time frame set forth in the service-level agreement <b>Time period:</b> End of FY 2015

FY 2014	FY 2015	
<b>Performance goal M1.13</b> Increase stakeholder satisfaction with the extent to which recruiting efforts bring in the right human capital in an efficient manner during FY 2014	<b>Performance goal M1.13</b> Increase stakeholder satisfaction with the extent to which recruiting efforts bring in the right human capital in an efficient manner during FY 2015	
<b>Performance indicators:</b> (1) Results of FY 2014 Chief Administrative Officer and Chief Financial Officer customer service survey and FY 2014 management survey; (2) implementation of HR help desk <b>Target:</b> (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) help desk implemented <b>Time period:</b> End of FY 2014 <b>Other indicators:</b> HR service follow-up surveys	<b>Performance indicators:</b> (1) Results of FY 2015 Chief Administrative Officer and Chief Financial Officer customer service survey; (2) help desk evaluation <b>Target:</b> (1) Improvement of 5 percentage points over the FY 2014 average in the rate of positive responses to survey questions about hiring process efficiency, and the effectiveness of recruitment efforts; (2) help desk implemented <b>Time period:</b> End of FY 2015 <b>Other indicators:</b> HR service follow-up surveys, management surveys	
<b>Results</b>	<b>FY 2012</b>	<b>FY 2013</b>
Percent satisfied	53	42.4

FY 2014	FY 2015	
<b>Performance goal M1.14</b> Improve accuracy and completeness of hiring case files by 5 percentage points over FY 2013 levels	<b>Performance goal M1.14</b> Improve accuracy and completeness of hiring case files by 1 percentage points over FY 2014 levels	
<b>Performance indicator:</b> Results of review of all hiring actions completed during FY 2014 <b>Target:</b> 5 percentage point increase over FY 2013 average in hiring case files that are complete and accurate upon closing of hiring actions <b>Time period:</b> End of FY 2014	<b>Performance indicator:</b> Results of review of all hiring actions completed during FY 2015 <b>Target:</b> 1 percentage point increase over FY 2014 average <b>Time period:</b> End of FY 2015	
<b>Results</b>	<b>FY 2012</b>	<b>FY 2013</b>
Hiring actions completed -- % accurate	88	NA

FY 2014	FY 2015	
<b>Performance goal M1.15</b> Improve stakeholder satisfaction over FY 2013 levels regarding opportunities for professional development to help retain human capital	<b>Performance goal M1.15</b> Improve stakeholder satisfaction over FY 2014 levels regarding opportunities for professional development to help retain human capital	
<b>Performance indicator:</b> results of FY 2014 CAO and CFO customer service survey and FY 2014 management survey <b>Target:</b> 5 percentage point improvement in positive response rate to relevant survey questions over FY 2013 average <b>Time period:</b> End of FY 2014 <b>Other indicators:</b> HR service follow-up surveys	<b>Performance indicator:</b> results of FY 2015 CAO and CFO customer service survey and FY 2015 management survey <b>Target:</b> 5 percentage point improvement in positive response rate to relevant survey questions over FY 2014 average <b>Time period:</b> End of FY 2015 <b>Other indicators:</b> HR service follow-up surveys	
<b>Results</b>	<b>FY 2012</b>	<b>FY 2013</b>
Percent satisfied	31	31.1

## MANAGEMENT OBJECTIVE M1.2.

### MONEY: PROVIDE GOOD STEWARDSHIP OF TAXPAYER FUNDS

Financial oversight and stewardship of appropriated funds are fundamental to establishing the accountability and transparency that taxpayers demand and the President has directed federal agencies to improve, while maintaining and delivering high-quality services. To accomplish this objective, the Commission has created three performance goals: (1) improve the agency’s internal budget reports, (2) improve the efficiency and effectiveness of the acquisition process, and (3) maintain an annual unqualified audit opinion on the agency’s financial statements. The CFO is the goal leader for this management objective.

The strategies to achieve these performance goals are:

- Evaluate the relevance of budget reports within the Commission; ensure that budgetary information is consistent with the financial accounts, and ensure timely issuance of budgetary data to ensure accurate financial management.
- Review contract award processes and contract files on a quarterly basis to improve the timeliness and accuracy of acquisition actions.
- Ensure that financial controls are documented and consistently reviewed to maintain an annual unqualified audit opinion.

The relevance of budget reports provided to senior managers will be gauged through discussion and feedback between the Budget Director and senior managers. During FY 2014, such discussions and feedback will be documented to ensure an accurate requirements document. A review of the requirements will result in a plan to satisfy senior management needs for more in-depth and relevant budgetary information. Based on these discussions and documented requirements the Budget Director will modify the agency’s budget reports to the extent possible, subject to funding availability. Prior to the release of monthly and quarterly budget reports, the Budget Director will coordinate with the accounting staff to ensure that all data agree with the financial accounts. The Budget Director will then make all reports available to senior management after any transactional adjustments have been made and the accounts are closed and available for reporting purposes.

The Director of Procurement will review contract decisions each quarter to determine if they have exceeded the established Procurement Action Lead Times (PALT). In addition, all contracts awarded within a quarter will be reviewed to ensure their accuracy. During FY 2014, the quarterly review of contract processing time will continue to be gauged against the PALT to measure the efficiency of acquisition actions. In addition, the quarterly review of contract files will continue into FY 2014 as an internal control procedure. To consistently improve contract processing times and lessen contract file errors, the agency will seek to upgrade the current contract writing database to allow for the automated capability to create contract clauses, incorporate Federal Acquisition Regulations (FAR) updates, provide automatic interfaces with federally mandated procurement-related reporting sites, and initiate integration with the accounting system. To upgrade the current standalone database requires additional funding, so budget constraints may impede the achievement of this goal.

The Director of Finance will review the agency's accounting processes each quarter to ensure that key financial controls have been identified and are working as documented. Based on these quarterly reviews, changes may be made to processes as well as to key controls. In addition, the Director of Finance will ensure that quarterly key control testing is accomplished and that any test failures are corrected within 14 business days. Financial process and control evaluations will support the achievement of an annual unqualified financial audit opinion.

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

<b>Performance goal M1.21</b> Provide accurate, timely, insightful and relevant budget reports to agency leadership on a monthly basis through FY 2018.		
<b>Performance indicators:</b> Budget reports that are fully consistent with financial accounts; reports are timely; feedback is received from cost center managers and office directors on relevance of reports		
<b>Target:</b> Consistent reports; reports issued monthly; positive feedback from agency leadership about relevance of reports		
<b>Time period:</b> Monthly, through FY 2018		
<b>Other indicators:</b> Feedback from cost center managers and office directors on timeliness.		
<b>Related performance goals</b>		
<b>FY 2014</b>	<b>FY 2015</b>	
<b>Performance goal M1.21(a)</b>	<b>Performance goal M1.21(a)</b>	
<b>Performance indicator:</b> Budget reports that are fully consistent with financial accounts; timely issuance of reports; feedback from cost center managers and office directors on relevance of reports	<b>Performance indicator:</b> Budget reports that are fully consistent with the financial accounts; timely issuance of reports; feedback from cost center managers and office directors on relevance of reports	
<b>Target:</b> Accurate reports; reports issued monthly; positive feedback from agency leadership regarding relevance of reports	<b>Target:</b> Accurate reports; reports issued monthly; positive feedback from agency leadership regarding relevance of reports	
<b>Time period:</b> End of FY 2014	<b>Time period:</b> Monthly, through FY 2015	
<b>Other indicators:</b> Feedback from cost center managers and office directors on timeliness	<b>Other indicators:</b> Feedback from cost center managers and office directors on timeliness	
<b>Results</b>	<b>FY 2012</b>	<b>FY 2013</b>
Reports issued	Baseline established	Timely issuance

<b>Performance goal M1.22</b> Improve effectiveness and efficiency of acquisitions during FY 2014 - FY 2018 by making continuous process improvements		
<b>Performance indicator:</b> Timeliness and accuracy of procurement actions; cost savings to the government <b>Target:</b> Quarterly review reports demonstrate incremental improvements in effectiveness and efficiency of acquisitions <b>Time period:</b> FY 2014 –18 <b>Other indicator:</b> Customer feedback		
<b>Related performance goals</b>		
<b>FY 2014</b>	<b>FY 2015</b>	
<b>Performance goal M1.22 (a)</b> Reduce by 6% the share of procurement actions that exceed the Procurement Action Lead Time (PALT) in FY 2014	<b>Performance goal M1.22 (a)</b> Reduce by 4% the share of procurement actions that exceed the PALT in FY 2015	
<b>Performance indicator:</b> share of procurement actions that exceed the PALT <b>Target:</b> Quarterly PALT reviews that show a 6% reduction of procurement actions that exceed PALT <b>Time period:</b> FY 2014	<b>Performance indicator:</b> share of procurement actions that exceed the PALT <b>Target:</b> Quarterly PALT reviews that show a 4% reduction of procurement actions that exceed PALT <b>Time period:</b> FY 2015	
<b>Results</b>	<b>FY 2012</b>	<b>FY 2013</b>
Percent of actions within established PALT	90	96
<b>Performance goal M1.22 (b)</b> Reduce by 6% the number of contract files that require correction in FY 2014	<b>Performance goal M1.22 (b)</b> Reduce by 4% the number of contract files that require correction in FY 2015	
<b>Performance indicator:</b> number of contract files requiring correction <b>Target:</b> Quarterly contract file reviews that show a 6% reduction in the number of files that require correction <b>Time period:</b> FY 2014	<b>Performance indicator:</b> number of contract files requiring correction <b>Target:</b> Quarterly contract file reviews that show a 4% reduction in the number of files that require correction <b>Time period:</b> FY 2015	
<b>Performance goal M1.22(c)</b> Refine PALT timelines and reduce timelines by 3% by the end of FY 2014 to enhance procurement’s efficiency in contributing to the agency’s mission	<b>Performance goal M1.22(c)</b> Refine PALT timelines and reduce timelines by 5% by the end of FY 2015 to enhance procurement’s efficiency in contributing to the agency’s mission	
<b>Performance indicator:</b> PALT timelines <b>Target:</b> PALT timelines are refined and reduced by 3% <b>Time period:</b> FY 2014	<b>Performance indicator:</b> PALT timelines <b>Target:</b> PALT timelines are refined and reduced by 5% <b>Time period:</b> FY 2015	
<b>Performance goal M1.23</b> Maintain a robust system of financial management and internal controls to achieve an annual unqualified audit opinion on the agency’s financial statements from yearend FY 2014 through yearend FY 2018		
<b>Performance indicator:</b> Audit opinion on the agency financial statements <b>Target:</b> Unqualified <b>Time period:</b> Yearend FY 2014 through yearend FY 2018		
<b>Related performance goals</b>		
<b>FY 2014</b>	<b>FY 2015</b>	
<b>Performance goal M1.23(a)</b>	<b>Performance goal M1.23(a)</b>	
<b>Performance indicator:</b> Audit opinion on the agency financial statements <b>Target:</b> Unqualified audit <b>Time period:</b> Yearend FY 2014	<b>Performance indicator:</b> Audit opinion on the agency financial statements <b>Target:</b> Unqualified audit <b>Time period:</b> Yearend FY 2015	

## MANAGEMENT OBJECTIVE M1.3.

### TECHNOLOGY: DELIVER HIGH-PERFORMING AND SECURE NETWORKS AND SERVICES

The Commission's information technology (IT) goals for FY 2014 and FY 2015 are generally consistent with those in FY 2013. Key differences include:

- Expanding the set of IT systems that are tracked for availability
- Establishing a goal for review and update of IT management policies and procedures
- Focusing on accomplishment of government-wide cybersecurity priorities
- Making all external information systems data available in formats consistent with Open Data policy

The Commission's management objective M1.3 is intended to ensure that IT resources support the mission of the agency. The Commission's IT performance goals for FY 2014 quantify how the Office of the Chief Information Officer (OCIO) intends to support this objective. The Commission's CIO is the goal leader for this management objective.

Performance goal M1.31 strives to improve delivery and support of IT services. While the OCIO has been measuring system availability for important IT systems for some time, the plan for FY 2014 and beyond is to expand the definition of the "important IT systems" —i.e., the systems whose availability is to be measured. The goal for FY 2014 is to obtain a baseline measure for this expanded set of IT systems and then improve on the baseline in subsequent years.

The OCIO continues to issue a wide range of surveys that assess the contribution of IT resources to mission accomplishment. In FY 2014, the OCIO plans to continue using these survey mechanisms and will seek user feedback on targeted issues during this timeframe as well. Work on both of these performance goals will be implemented by several OCIO frontline managers, as the goals cut across various components and functions of the network and software systems.

Performance goal M1.32 endeavors to ensure agency IT security by complying with federal cybersecurity priorities. In FY 2014, the agency plans to deliver the Trusted Internet Connection and, in FY 2015, the agency plans to deploy HSPD-12 capability. The primary external factors that affect achievement of this goal are budget-related. Both initiatives require substantial capital investment. This goal will be led by the CIO.

As part of performance goal M1.33, the OCIO plans to update its policies and procedures and achieve a low risk rating on the annual National Archives and Records Administration (NARA) self-assessment. This effort will be led by the OCIO's Records Manager. Many of the OCIO policies and procedures require updating. The OCIO plans to review and update one-third of these each year.

Performance goal M1.34 strives to improve integrity, delivery and usability of the Commission's information assets by enabling access to 100 percent of the agency's primary data sets by 2015. The OCIO has identified and categorized all data assets currently created and collected by the Commission which are eligible to be shared with other agencies and the public. Presently, one-third of these data assets are available externally in a machine-readable format. It is the Commission's goal to have two-thirds of total data assets available externally in a machine-readable format by the end of calendar year 2014, with the remaining third available externally in that format by the end of calendar year 2015. This goal will be achieved by the E-Business Division Manager and Chief Data Architect.

<b>Performance goal M1.31</b> Improve delivery of IT solutions to better support the Commission customers through 2018.		
<p><b>Performance Indicator:</b> Development and implementation of program for tracking percentage availability to users of IT systems that are important to internal and external customers</p> <p><b>Target:</b> Implementation of program; regular improvement in percentage availability</p> <p><b>Time period:</b> Through FY 2018</p>		
Related performance goals		
FY 2014	FY 2015	
<b>Performance goal M1.31(a)</b> Develop and implement program for tracking systems availability to users by end of third quarter FY 2014	<b>Performance goal M1.31(a)</b> Improve system availability to users of important IT systems over FY 2014 baseline by end of FY 2015	
<p><b>Performance indicator:</b> 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</p> <p><b>Target:</b> Development and implementation of program</p> <p><b>Time period:</b> FY 2014</p>	<p><b>Performance indicator:</b> Percentage of availability to users of important IT systems</p> <p><b>Target:</b> Improvement over FY 2014 baseline</p> <p><b>Time period:</b> FY 2015</p>	
<b>Performance goal M1.31(b)</b> Assess effectiveness of improvements made to IT service delivery in FY 2014	<b>Performance goal M1.31(b)</b> Assess effectiveness of improvements made to IT service delivery and prioritize future system development in FY 2015	
<p><b>Performance indicators:</b></p> <ul style="list-style-type: none"> <li>Assessment of the extent to which IT-related services are meeting stakeholders' requirements and helping improve stakeholder productivity, as measured by regular structured feedback</li> <li>assessment of measures taken to address concerns (or deficiencies)</li> </ul> <p><b>Target:</b></p> <ul style="list-style-type: none"> <li>Develop and implement action plans for improvements in priority areas;</li> <li>5 percentage point improvement in priority areas over the FY 2013 OCIO customer satisfaction survey scores</li> </ul> <p><b>Time period:</b> FY 2014</p>	<p><b>Performance indicators:</b></p> <ul style="list-style-type: none"> <li>Assessment of the extent to which IT-related services and improvements to them are meeting stakeholders' requirements and are helping to improve stakeholder productivity, as measured by regular structured feedback</li> <li>identification of needed new systems</li> </ul> <p><b>Targets:</b></p> <ul style="list-style-type: none"> <li>Develop and implement action plans for improvements in priority areas; 5 percentage point improvement in priority areas over the FY2014 CIO customer satisfaction survey</li> <li>Develop priorities for new systems to develop in FY 2016</li> </ul> <p><b>Time period:</b> FY 2015</p>	
	FY 2012	FY 2013
Feedback survey	NA	Survey developed and implemented.

<b>Performance goal M1.32</b> Ensure a robust security posture by successfully developing capabilities consistent with government-wide cyber security priorities	
<b>Performance indicator:</b> Development of capabilities consistent with government-wide priorities <b>Target:</b> Priorities established annually <b>Time period:</b> FY 2014–16	
<b>Related performance goals</b>	
<b>FY 2014</b>	<b>FY 2015</b>
<b>Performance goal M1.32(a)</b> Deploy Trusted Internet Connection during FY 2014	<b>Performance goal M1.32(a)</b> Deploy HSPD-12 during FY 2015
<b>Performance indicator:</b> Deployment of Trusted Internet Connection <b>Target:</b> Initial operating capability of Einstein <b>Time period:</b> FY 2014	<b>Performance indicator:</b> Deployment of HSPD-12 <b>Target:</b> Initial operating capability of HSPD-12 <b>Time period:</b> FY 2015

<b>Performance goal M1.33</b> Maintain effective IT service delivery management process by developing new and updating existing IT management policies and achieving low risk score from NARA through 2018		
<b>FY 2014</b>	<b>FY 2015</b>	
<b>Performance goal M1.33(a)</b> Create, review, and update IT management policies and procedures by end of FY 2014 to support effective IT service delivery management	<b>Performance goal M1.33(a)</b> Review, and update IT management policies and procedures by end of FY 2015 to support effective IT service delivery management	
<b>Performance indicator:</b> All IT management policies and procedures <b>Target:</b> Review 1/3 of controls annually <b>Time period:</b> FY 2014	<b>Performance indicator:</b> All IT management policies and procedures <b>Target:</b> Review 1/3 of controls annually <b>Time period:</b> FY 2015	
<b>Performance goal M1.33(b)</b> Achieve low risk score on annual NARA assessment in FY 2014	<b>Performance goal M1.33(b)</b> Achieve low risk score on annual NARA assessment in FY 2015	
<b>Performance indicator:</b> Annual NARA assessment of the records management program <b>Target:</b> Achieve low risk score on annual NARA assessment <b>Time period:</b> FY 2014	<b>Performance indicator:</b> Annual NARA assessment of the records management program <b>Target:</b> Achieve low risk score on annual NARA assessment <b>Time period:</b> FY 2015	
<b>Results</b>	<b>FY2012</b>	<b>FY2013</b>
NARA assessment score of the records management program	95%	94%

<b>Performance goal M1.34</b> Improve integrity, delivery and usability of USITC information assets by enabling access to 100% of the Commission's major data sets (i.e., HTS, EDIS, and trade) using Open Data compliant machine readable formats by 2015.	
<b>FY 2014</b>	<b>FY 2015</b>
<b>Performance goal M1.34(a)</b> Increase availability of information system providing Open Data to 65% of information assets by end of 2014.	<b>Performance goal M1.34(a)</b> 100% of availability of information systems providing Open Data by end of 2015
<b>Performance indicator:</b> Availability of information systems providing Open Data <b>Target:</b> 65% of information assets <b>Time period:</b> CY 2014	<b>Performance indicator:</b> Availability of information systems providing Open Data <b>Target:</b> 100% of information assets <b>Time period:</b> CY 2015

## Cross-cutting Objectives

The Commission set forth two cross-cutting objectives in its FY 2014–2018 Strategic Plan. Both support improvements in various aspects of the agency's operations.

### CROSS-CUTTING OBJECTIVE 1 (C.1).

#### USE FEEDBACK TO IMPROVE AGENCY OPERATIONS AND ENHANCE EMPLOYEE AND CUSTOMER SATISFACTION

The Commission regularly seeks feedback from its customers and employees on various aspects of its operations. Among other information sources, the agency uses results from the Federal Employee Viewpoint Survey (FEVS) to prioritize improvements to agency operations.

The Commission also uses feedback from the public to improve the functionality and utility of information it provides on its website and through web applications. Over time, the website is becoming the agency's principal vehicle for providing information to the public.

For FY 2014 and 2015, the Commission will continue to build on gains it has made in overall employee satisfaction with management and the workplace. The agency also plans to seek feedback from users of its website and for the first time to obtain specific feedback from users of EDIS. The Commission also plans to undertake a comprehensive review of all of its feedback surveys, with the aim of improving administration, ease of use, and the quality of resulting information. The goal leader for this cross-cutting objective is the Director of Operations.

<b>Performance goal C.11</b> Improve employee satisfaction and commitment to the agency as measured by the FEVS by achieving continuous improvement by FY 2018	
<b>Performance indicator:</b> FEVS results <b>Target:</b> 5 percentage point improvement in overall agency-wide results over FY 2013 levels <b>Time period:</b> By FY 2018	
<b>Related performance goals</b>	
<b>FY 2014</b>	<b>FY 2015</b>
<b>Performance goal C.11 (a)</b> Improve agency results as measured by the FEVS by achieving continuous improvement by FY 2014.	<b>Performance goal C.11 (a)</b> Improve agency results as measured by the FEVS by achieving continuous improvement by FY 2015.
Performance indicator: FEVS results Target: 1 percentage point improvement in overall agency-wide results over FY 2013 levels Time period: FY 2014	Performance indicator: FEVS results Target: 1 percentage point improvement in overall agency-wide results over FY 2014 levels Time period: by FY 2015

<b>Performance goal C.12</b> Develop and implement best practices for internal and customer feedback surveys and other instruments that measure satisfaction to improve information quality by the end of FY 2014
<b>Performance indicator:</b> Guidelines and technical capabilities <b>Target:</b> Guidelines and technical capabilities developed and implemented <b>Time period:</b> end of FY 2014

FY 2014	FY 2015	
<b>Performance goal C.13</b> Make continuous improvements to the Commission's web presence that lead to improvements in user satisfaction	<b>Performance goal C.13</b> 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	
Performance indicator: ForeSee Survey Results Target: Overall satisfaction consistent with the average for other executive branch agencies Time period: FY 2014	Performance indicator: ForeSee Survey Results, assessment of use of new technologies Target: Overall satisfaction consistent with the average for other executive branch agencies; annual assessments of technology portfolio with identified needs articulated in planning and scoping documents Time period: FY 2015	
<b>Results</b>	<b>FY 2012</b>	<b>FY 2013</b>
Satisfaction score for Commission's website	72	72

<b>Performance goal C.14</b> Increase stakeholder satisfaction with EDIS	
<b>Performance indicator:</b> Method of obtaining EDIS user feedback; baseline for user satisfaction <b>Target:</b> Develop survey method; establish user satisfaction baseline <b>Time period:</b> FY 2014–FY2015	
<b>Related performance goals</b>	
<b>FY 2014</b>	<b>FY 2015</b>
<b>Performance goal C.14 (a)</b> Increase stakeholder satisfaction with EDIS	<b>Performance goal C.14(a)</b> Increase stakeholder satisfaction with EDIS
<b>Performance indicator:</b> Method of obtaining EDIS user feedback <b>Target:</b> Develop survey method <b>Time period:</b> FY 2014	<b>Performance indicators:</b> Baseline for user satisfaction. <b>Target:</b> Establish user satisfaction baseline <b>Time period:</b> FY 2015

## CROSS-CUTTING OBJECTIVE 2 (C.2).

### IMPROVE THE RESOURCE AND PERFORMANCE MANAGEMENT CAPABILITIES OF COMMISSION MANAGERS

The Commission has made significant improvements in the management of its administrative and program operations in recent years. It continues to set performance goals aimed at incremental automation and consolidation of financial, administrative, and operational information. However, the Commission recognizes that there are limits to this approach. Over the next five years, the Commission’s goal is to improve the resource and performance management capabilities of agency managers by implementing an integrated enterprise management system to enhance overall agency efficiency and effectiveness. In FY 2014, the agency will focus on defining the scope of the system. The goal leader for this cross-cutting objective is the Chief Administrative Officer.

<b>Performance goal C.21</b> Improve resource use, performance management, and internal controls by implementing an enterprise management system consisting of electronic business processes and integrated financial and personnel data by FY 2018	
<b>Performance indicator:</b> Deployment of enterprise management system <b>Target:</b> System in use by end of FY 2018 <b>Time period:</b> FY 2014–18	
<b>Related performance goals</b>	
<b>FY 2014</b>	<b>FY 2015</b>
<b>Performance goal C.21 (a)</b> Establish cross-agency requirements development team and define the scope of the system by end of FY 2014	<b>Performance goal C.21(a)</b> Complete development of system requirements by end of FY 2015
<b>Performance indicator:</b> Requirements development process <b>Target:</b> Establish team and define system scope <b>Time period:</b> FY 2014	<b>Performance indicators:</b> System requirements <b>Target:</b> Requirements developed <b>Time period:</b> FY 2015

# PART III

## ANNUAL PERFORMANCE REPORT

### Introduction

The *Annual Performance Report* for FY 2013 compares FY 2013 results with the performance goals and measures first published in the USITC's FY 2013 *Annual Performance Plan*, which were included in the Commission's FY 2013 *Budget Justification*. After assessing its FY 2012 performance, the USITC revised some of its performance measures and published these revisions with its FY 2014 *Budget Justification*. This report provides an update on agency performance and is intended to satisfy the reporting requirements of the Government Performance and Results Act of 1993 (GPRA) as amended by the GPRA Modernization Act of 2010.

### STRATEGIC OPERATIONS AND GOALS

The Commission's *Strategic Plan* for FY 2009–2014 established a performance framework consisting of five strategic operations and corresponding strategic goals as shown below. These operations reflect the mission and mandates of the Commission.

Strategic Operation	Strategic Goal
Import Injury Investigations	Support a rules-based international trading system by producing high-quality and timely import injury determinations based on the following— <ul style="list-style-type: none"> <li>• an effective exchange of information between the Commission and interested parties</li> <li>• an appropriate investigative record, and</li> <li>• transparent, fair, and equitably implemented procedures</li> </ul>
Intellectual Property-based Import Investigations	Conduct intellectual property-based import investigations in an expeditious, technically sound, and transparent manner, and provide for effective relief when relief is warranted, to support a rules-based international trading system
Industry and Economic Analysis	Enhance the quality and timeliness of its industry and economic analysis to support sound and informed trade policy formulation
Tariff and Trade Information Services	Improve the availability of and access to high-quality and up-to-date tariff and international trade information and technical expertise to support the executive and legislative branches, the broader trade community, and the public
Trade Policy Support	Provide enhanced support to the development of well-informed U.S. international trade policy by quickly responding to executive and legislative branch policymakers' needs for technical support, data, and analysis

For each of the strategic goals, the Commission's *Strategic Plan* for FY 2009–2014 identified performance goals and strategies to meet these goals. Within this framework, the Commission developed annual measures and targets that provide senior leaders, managers, and stakeholders with data and other information necessary to assess whether progress was made toward the performance goals and longer-term strategic goals. This information also informed budget formulation for future years.

In its 2012 Addendum to its *Strategic Plan*, the Commission set out four management goals to address management challenges facing the agency as well as concerns that are the subject of government-wide initiatives. The management goals are:

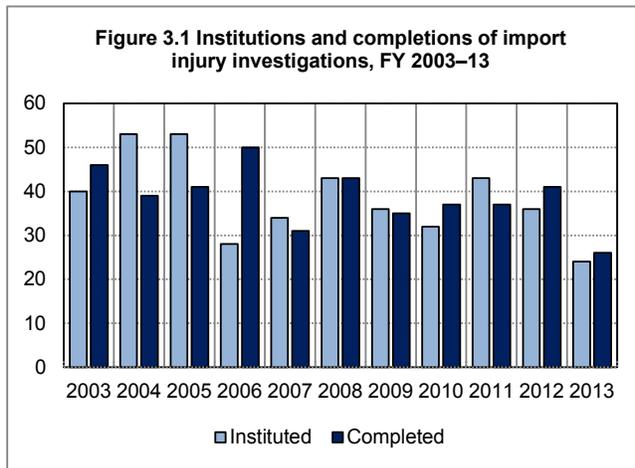
- Improve effectiveness and efficiency of hiring and professional development practices
- Improve effectiveness and efficiency of acquisitions
- Improve financial management controls
- Use information technology to support productivity gains

## **ORGANIZATION OF PERFORMANCE RESULTS**

The remainder of part III consists of six sections—one each for the five strategic goals and one for the management goals. Each section presents the Commission's performance goals, annual measures, and targets. The sections highlight significant accomplishments, as well as areas in which the Commission did not meet its performance goals and annual targets. The sections also identify areas in which the Commission will seek to improve performance in FY 2014 and future years.

## Import Injury Investigations

The Commission conducts investigations into the effects of unfairly traded imports or an increase in imports on a U.S. industry including, antidumping and countervailing duty (AD/CVD) investigations, five year (sunset) reviews, and changed circumstances reviews; global safeguard and market disruption investigations; safeguard investigations pursuant to various statutes implementing free trade agreements; and World Trade Organization (WTO) consistency proceedings requested by USTR. The Commission also participates in appellate litigation to defend Commission decisions.

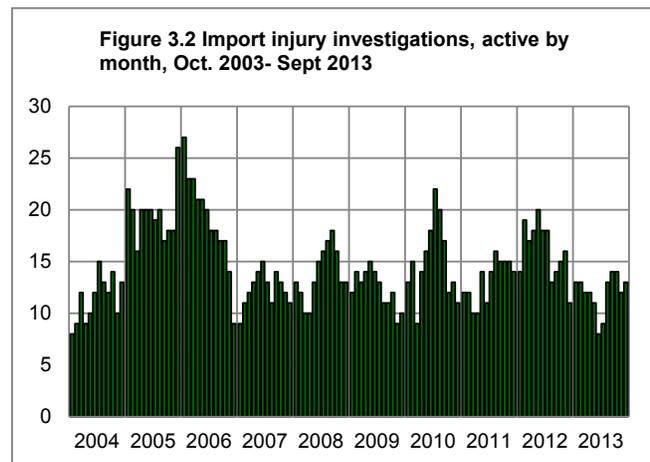


While maintaining timeliness and meeting all statutory deadlines, the Commission set performance goals and annual measures and targets to continue to improve its investigative process to increase efficiency, reduce the burden on industry participants in investigations, and make information from import injury investigations more accessible to investigation participants and the general public. In FY 2013, the Commission met or exceeded five of the six targets it set for import injury investigation activity, while partially meeting the other target.

Predicting and managing workload for import injury investigations is challenging as workload is determined by the number and complexity of on-

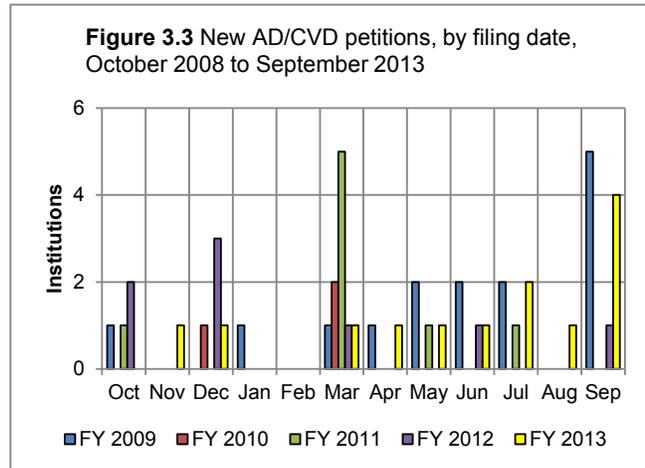
going investigations, both new filings and reviews of existing orders. The Commission does not control when new petitions are filed and it must institute new investigations as soon as these petitions are filed. Since all import injury deadlines are dictated by statute, the agency has only limited control of investigation schedules. This often makes workload very uneven with peak periods of work for different cases overlapping.

The overall number of institutions and completions of import injury investigations in FY 2013 fluctuate, but are generally consistent with historical averages (figures 3.1 and 3.2). In FY 2013, new petition filings and workload, as measured by monthly active investigations, were significantly higher than the previous three years. While new petition filings were significantly higher in FY 2013 and occurred in almost each month of FY 2013, the previously experienced pattern of increased concentration of filings at or near the end of a quarter continued (figure 3.3).



## IMPROVING THE QUALITY AND EFFICIENCY OF INVESTIGATIONS

Import injury investigations are filed by U.S. industries which allege that they are being injured by reason of unfairly traded imports (AD/CVD) or by increases in imports (safeguards). Commission determinations affect interested parties, businesses, and communities in the United States and overseas. These determinations are based on record information reflected in staff reports and memoranda for which completeness and accuracy is crucial. The Commission strives to compile straightforward, comprehensive records of information for each import injury investigation so that Commission determinations are sound and can withstand judicial scrutiny. Performance goal 1 is intended to ensure that effective documentation is supplied so that an appropriate record is compiled. During FY 2013, the Commission met its target with regard to this goal.<sup>2</sup>



<b>Performance goal 1:</b> Improve the quality and efficiency of the investigative process by conducting internal and external reviews, including review of draft investigation and litigation documents.																	
	FY 2013	FY 2014															
<b>Measure</b>	Written feedback from Commissioners and their aides concerning staff efforts to compile the record and to identify, explain, and analyze important factual and legal issues.	NA See performance goal 1.24 (Part II above)															
<b>Targets</b>	Meet or exceed 82% positive feedback.	NA															
<b>Results</b>	<p>Positive feedback rating from Commissioners</p> <table border="1"> <caption>Data for Results Chart: Positive feedback rating from Commissioners</caption> <thead> <tr> <th>Fiscal Year</th> <th>Rating (%)</th> <th>Target (%)</th> </tr> </thead> <tbody> <tr><td>FY 2010</td><td>95</td><td>82</td></tr> <tr><td>FY 2011</td><td>85</td><td>82</td></tr> <tr><td>FY 2012</td><td>90</td><td>82</td></tr> <tr><td>FY 2013</td><td>90</td><td>82</td></tr> </tbody> </table>		Fiscal Year	Rating (%)	Target (%)	FY 2010	95	82	FY 2011	85	82	FY 2012	90	82	FY 2013	90	82
Fiscal Year	Rating (%)	Target (%)															
FY 2010	95	82															
FY 2011	85	82															
FY 2012	90	82															
FY 2013	90	82															
<b>Source</b>	GC and INV.																

<sup>2</sup> For FY 2014, the focus will be on obtaining feedback from external sources. While internal feedback from Commissioners will still be gathered and analyzed, focusing on feedback from external sources will provide information on the efficiency of investigations from industry participants.

## MEETING STATUTORY AND ADMINISTRATIVE DEADLINES

Timely action and compliance with applicable laws and court orders have always been and will continue to be a critical goal for the Commission. Meeting statutory deadlines is important as timely determinations by the Commission ensure that any unfair trade is remedied expeditiously, keeping uncertainty in the marketplace and costs to participants to a minimum. In addition, any delays or missed deadlines by the Commission would disrupt the actions of other agencies that have statutory responsibilities related to these investigations. Performance goal 2 is intended to ensure that the Commission is meeting the deadlines for import injury investigations.

Performance goal 2: Meet statutory and court deadlines.																		
	FY 2013	FY 2014																
<b>Measure</b>	Submit all reports, determinations, memoranda, draft opinions, and briefs by the statutory or court deadline.	See performance goals 1.14 and 1.15 (part II above)																
<b>Targets</b>	100%	100%																
<b>Results</b>	<table border="1"> <caption>Percentage of reports delivered on time*</caption> <thead> <tr> <th>Fiscal Year</th> <th>Percentage of reports on time</th> </tr> </thead> <tbody> <tr> <td>FY 2007</td> <td>~99.8%</td> </tr> <tr> <td>FY 2008</td> <td>~99.8%</td> </tr> <tr> <td>FY 2009</td> <td>~99.5%</td> </tr> <tr> <td>FY 2010</td> <td>~99.8%</td> </tr> <tr> <td>FY 2011</td> <td>~99.5%</td> </tr> <tr> <td>FY 2012</td> <td>~99.8%</td> </tr> <tr> <td>FY 2013</td> <td>~99.8%</td> </tr> </tbody> </table> <p>*Prior to FY 2012, data included internal deadlines.</p>		Fiscal Year	Percentage of reports on time	FY 2007	~99.8%	FY 2008	~99.8%	FY 2009	~99.5%	FY 2010	~99.8%	FY 2011	~99.5%	FY 2012	~99.8%	FY 2013	~99.8%
Fiscal Year	Percentage of reports on time																	
FY 2007	~99.8%																	
FY 2008	~99.8%																	
FY 2009	~99.5%																	
FY 2010	~99.8%																	
FY 2011	~99.5%																	
FY 2012	~99.8%																	
FY 2013	~99.8%																	
<b>Source</b>	GC and INV.																	

Whether measuring the timely issuance of documents internally (the target through FY 2011) or meeting statutory or court deadlines, the Commission has generally met this goal in recent years. Since FY 2007, the Commission has issued 1,178 documents with 1,176 (99.8 percent) being submitted by the deadline. As noted, meeting statutory deadlines is critically important and the Commission's issuance of staff reports to interested parties both support a transparent process and allows parties the opportunity to present their best arguments to the Commission. This in turn provides the Commission with a comprehensive record upon which to make sound determinations.

## IMPROVING INFORMATION COLLECTION

The Commission continually looks for ways to improve its investigation processes to ensure that import injury determinations are based on an effective exchange of information between the agency and interested parties, and that procedures are efficient and fair, resulting in sound and timely determinations. Performance goal 3 is intended to ensure that the Commission's processes and procedures for import injury investigations undergo frequent evaluation, with improvements being made on a continuous basis. The Commission has made progress

in this area over the past several years, and in FY 2013, it completed or began implementing several significant improvements. For FY 2014, the Commission has added goals to better quantify these improvements.

During FY 2013, the Commission continued to take steps to assess and improve its information collection processes. The Commission used email as its primary method to transmit questionnaires to interested parties and other responding firms. The Commission also continued its practice of regularly evaluating questionnaires to reduce the burden on responding firms—for example, by eliminating unnecessary questions and streamlining others. Changes made to the questionnaires during FY 2013, including auto-population and auto-computations in parts of the questionnaire, have reduced adding errors and have saved time for questionnaire respondents and ITC auditors. Based on feedback from several sources, the Commission is evaluating more efficient methods to collect data on lost sales and lost revenue from U.S. producers. Current practice includes collecting numerous data points for each allegation, and firms often find these data difficult to provide. An internal working group is exploring alternative ways to collect these data, with a goal of reducing the burden on responding firms while continuing to provide Commissioners with useful data for their determinations; a survey will be sent to external parties in FY 2014 soliciting feedback on the collection of this information.

Commission staff also continued to make significant progress on making questionnaire processing fully electronic in FY 2014. Shifting entirely to this method will improve efficiency, as it will allow Commission staff to devote more time to analytical activities and will reduce data entry errors as well.

While the Commission made strides in improving methods of gathering and processing investigative data, one portion of this goal, the issuance of a survey to investigation participants, was not completed in FY 2013. Staff prepared and field tested a survey to be sent to external parties. However, because of the ongoing changes in the way the agency gathers and processes data, distribution of the survey to external parties was pushed back to ensure that the survey reflected the new practices. Obtaining feedback from external parties that are involved in import injury investigations is valuable in ensuring that the Commission’s procedures are efficient and fair. During FY 2014, the Commission will evaluate feedback provided by external parties and will seek to implement viable process improvements.

<b>Performance goal 3: Improve the development of investigative records.</b>		
	<b>FY 2013</b>	<b>FY 2014</b>
<b>Measure</b>	Make progress on improving methods of gathering and processing investigative data, such as streamlining questionnaires.	See performance goal 1.13 (Part II above)
<b>Targets</b>	Increase the use of electronic delivery of questionnaires to industry participants. Increase electronic processing of questionnaire data.	See performance goal 1.13 (part II above)

<b>Performance goal 3: Improve the development of investigative records. — cont'd</b>			
<b>Results</b>	<b>Year</b>	<b>Summary of Progress</b>	<b>Target</b>
	FY 2013	Progress was made in implementing new data processes and streamlining questionnaires to improve data extraction. Changes to instruction books and letters encouraged electronic submission of questionnaires. While not quantifiable for this FY, information from staff indicates an increase in the number of questionnaires submitted electronically.	Target met
	FY 2012	Improved use of electronic data extraction for respondent's questionnaires.	Partially met
	FY 2011	Streamlined respondents' questionnaires, made better use of electronic delivery methods to improve productivity.	Met
	FY 2010	Began distributing CD's with electronic versions of the questionnaires to respondents, rather than paper copies, to improve response rate and accuracy, and reduce paper use.	Met
	FY 2009	Examined generic questionnaires to ensure that data requests were clear and that ambiguous or unnecessary questions were eliminated.	Met
<b>Source</b>	INV and OCIO.		

## IMPROVING TRANSPARENCY AND ACCESS TO INFORMATION

The Commission strives to improve access to information about its import injury investigations. Performance goal 4 is intended to ensure that the Commission's import injury processes and procedures are transparent to interested parties and the general public. The measures used to evaluate the Commission's performance in this regard seek to determine whether the information the Commission offers the public (via the website) or interested parties to investigations (via the agency's Electronic Document Information System or EDIS) is readily available and informative. Commission staff's outreach work is another facet of the Commission's efforts to improve public access to information; this outreach is aimed at helping potential participants in import injury proceedings in their interactions with the agency.

<b>Performance goal 4: Improve the scope, quality, and transparency of information regarding investigations that is made available to investigative participants and the public.</b>		
	FY 2013	FY 2014
<b>Measure</b>	(a) Staff conducts outreach to industry groups and others to ensure they understand Commission capabilities and process.	See performance goal 1.23 (part II above)
<b>Targets</b>	Outreach conducted	See performance goal 1.23 (part II above)

<b>Performance goal 4:</b> Improve the scope, quality, and transparency of information regarding investigations that is made available to investigative participants and the public. — cont'd																																		
<b>Results</b>	FY 2011 through 2013: Outreach to other government agencies, U.S. companies and their counsel, and the general public (target met).																																	
<b>Source</b>	INV.																																	
	FY 2013	FY 2014																																
<b>Measure</b>	(c) Make documents filed on EDIS available promptly.	See performance goal 1.25 (part II above)																																
<b>Targets</b>	80% availability in 24 hours, 90% in 48 hours.	See performance goal 1.25 (part II above)																																
<b>Results</b>	<div style="display: flex; justify-content: space-around;"> <div style="text-align: center;"> <p><b>Actual processing within 24 hours</b></p> <table border="1"> <caption>Actual processing within 24 hours</caption> <thead> <tr><th>Fiscal Year</th><th>Percent</th></tr> </thead> <tbody> <tr><td>FY2007</td><td>55</td></tr> <tr><td>FY2008</td><td>80</td></tr> <tr><td>FY2009</td><td>85</td></tr> <tr><td>FY2010</td><td>92</td></tr> <tr><td>FY2011</td><td>92</td></tr> <tr><td>FY2012</td><td>95</td></tr> <tr><td>FY2013</td><td>95</td></tr> </tbody> </table> </div> <div style="text-align: center;"> <p><b>Actual processing within 48 hours</b></p> <table border="1"> <caption>Actual processing within 48 hours</caption> <thead> <tr><th>Fiscal Year</th><th>Percent</th></tr> </thead> <tbody> <tr><td>FY2007</td><td>75</td></tr> <tr><td>FY2008</td><td>90</td></tr> <tr><td>FY2009</td><td>92</td></tr> <tr><td>FY2010</td><td>98</td></tr> <tr><td>FY2011</td><td>98</td></tr> <tr><td>FY2012</td><td>98</td></tr> <tr><td>FY2013</td><td>98</td></tr> </tbody> </table> </div> </div>		Fiscal Year	Percent	FY2007	55	FY2008	80	FY2009	85	FY2010	92	FY2011	92	FY2012	95	FY2013	95	Fiscal Year	Percent	FY2007	75	FY2008	90	FY2009	92	FY2010	98	FY2011	98	FY2012	98	FY2013	98
Fiscal Year	Percent																																	
FY2007	55																																	
FY2008	80																																	
FY2009	85																																	
FY2010	92																																	
FY2011	92																																	
FY2012	95																																	
FY2013	95																																	
Fiscal Year	Percent																																	
FY2007	75																																	
FY2008	90																																	
FY2009	92																																	
FY2010	98																																	
FY2011	98																																	
FY2012	98																																	
FY2013	98																																	
<b>Source</b>	OAS.																																	

The Commission met all targets for performance goal 4 in FY 2013. The performance measure focusing on staff outreach to industry groups was set in FY 2011 to track the Commission’s outreach to assist potential participants in import injury proceedings in their interaction with the agency. During FY 2013, the Commission conducted numerous contact/outreach efforts with other U.S. government agencies, including the Department of Commerce, the Department of Labor, and the Government Accountability Office. Also during FY 2013, Commission staff provided information on import injury investigation procedures to various U.S. industry representatives as well as to representatives of foreign governments, including Canada, China, and the European Union. In addition to making formal presentations on import injury investigations, Commission staff responded to numerous inquiries via phone or email.

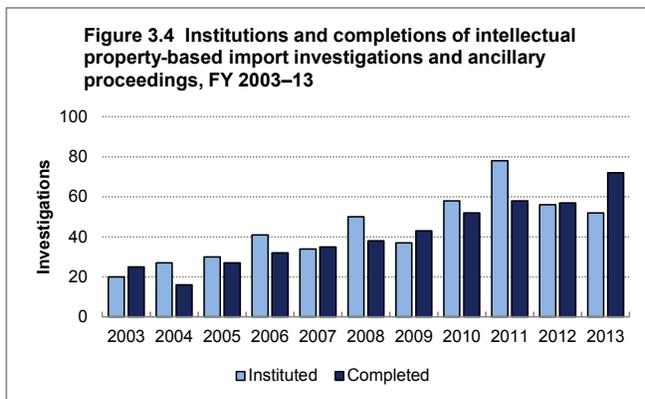
The availability of investigative record materials directly relates to the Commission's strategic goal for import injury investigations. Specifically, this goal supports the "effective exchange of information between the Commission and interested parties; an appropriate investigative record; and transparent, fair, and equitably implemented procedures." The Commission met its targets with regard to availability of investigative record materials. In FY 2013, 96.7 percent of these documents were processed and posted on EDIS within 24 hours of filing and 98.7 percent were available within 48 hours, as shown above. As noted earlier, prompt availability of this material is important as it enhances parties' ability to participate in import injury proceedings, and thus provides the Commission with a complete record upon which to make sound determinations.

# Intellectual Property-based Import Investigations

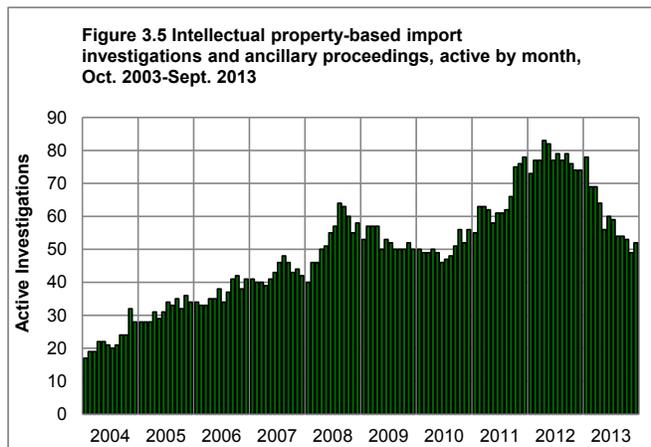
## OVERVIEW

Intellectual Property-based Import Investigations involve the adjudication of complaints brought under section 337 of the Tariff Act of 1930 that allege infringement of U.S. intellectual property rights (IPR) and other unfair methods of competition and unfair acts by imported goods.<sup>3</sup> These investigations are usually based on claims of patent infringement, and often involve complex technologies and multiple accused infringers. Proceedings to determine whether there has been a violation of section 337 are conducted in accordance with the Administrative Procedure Act (APA), which gives the parties the opportunity to conduct discovery, to present evidence, and to make legal arguments before the administrative law judges (ALJs) and the Commission.<sup>4</sup> The procedures employed in these investigations are designed to offer the parties timely adjudications.

The Commission’s activities extend beyond the initial adjudication of complaints alleging violations of section 337. Although Customs and Border Protection (CBP) is responsible for enforcing Commission exclusion orders prohibiting infringing imports from entering the United States, the Commission works to support enforcement by conducting enforcement, modification, and advisory opinion proceedings regarding outstanding remedial orders, and providing information to CBP in support of their exclusion order enforcement activities. The Commission also defends its section 337 determinations in appellate proceedings before the U.S. Court of Appeals for the Federal Circuit.



Patent holders have increasingly sought relief under section 337 for infringement involving imported goods. Although the number of investigations instituted in FY 2013 that were based on new section 337 complaints was below the historic level of FY 2011, it remained relatively high; 39 new investigations, as well as 13 new ancillary proceedings (figure 3.4). In total, 124 investigations and ancillary proceedings were active during the course of FY 2013, as compared to 103 in FY 2010. As shown in figure 3.5 below, the number of active proceedings per month has nearly tripled since FY 2004, with an average of 60 per month in FY 2013 as compared to an average of 22 active per month in 2004.



Not only has the number of new complaints remained at relatively high levels, but the nature of the investigations remains complex. Patents involving cutting edge technologies, most often in the electronics and tele-

<sup>3</sup> 19 U.S.C. §1337.

<sup>4</sup> 5 U.S.C. §§551 et seq.

communications industries, have comprised a large percentage of the docket in recent years. Moreover, these investigations have increasingly involved large numbers of respondents, as well as large numbers of asserted patents and claims.

The Commission established four performance goals for Intellectual Property-based Import Investigations. The first goal, which reflects the importance of adherence to legal requirements and the need for expeditious resolution of intellectual property disputes, is directed to meeting certain key statutory and administrative deadlines and improving the timeliness of section 337 proceedings. The second goal, which reflects the need to ensure that information regarding section 337 proceedings is promptly available to the parties and the public, is directed to improving transparency and access to information concerning section 337 investigations. The third goal, which reflects the need for effective relief when the Commission determines that an exclusion order is warranted, is directed toward facilitating the enforcement of exclusion orders. The fourth goal, which reflects the need to consider public interest factors enumerated in section 337, is directed toward improving the process of gathering information relevant to the public interest factors. Notwithstanding the growth in the section 337 caseload, particularly in the last three years, and the resulting pressure on personnel who work on section 337 matters, the Commission continued to meet the majority of its targets in FY 2013.

In addition to investigative activities, the Commission also promulgated new rules during FY 2013.<sup>5,6</sup> These rules included, among other things, limits on the numbers of interrogatories and depositions, and new procedures relating to the electronic filing of motions and other items. Additionally, during FY 2013, the Commission promulgated rules to streamline discovery of electronically stored information or “e-discovery,” such as e-mails and source code, while preserving the opportunity for fair and efficient discovery for all parties.

In FY 2013, the Commission also initiated two pilot programs directed at improving the efficiency of section 337 investigations. The first pilot program requires that certain threshold issues, such as importation or domestic industry, to be decided in an expedited manner (i.e., within the first 100 days of institution) before completing disposition on all other issues. The second pilot program is directed to further streamlining the discovery process by requiring the parties to make specific initial discovery disclosures at specified times during an investigation.

The performance goals for Intellectual Property-based Import Investigations and the Commission’s experience in meeting those goals are discussed below.

## **MEETING STATUTORY AND ADMINISTRATIVE DEADLINES AND IMPROVING TIMELINESS**

The Commission focuses on timeliness and speed in the administration of section 337 proceedings. This reflects the fact that intellectual property holders often file complaints under section 337 because they desire a relatively quick resolution to their dispute. Such disputes often take many years to resolve in other forums. Speed of adjudication is highly valued in areas where technology changes rapidly, such as telecommunications and mobile-computing, which account for a large portion of the section 337 docket. Speedy resolution is also desired because pending IP disputes can lead to uncertainty in the marketplace that can affect customer purchasing decisions and strategic business decisions.

---

<sup>5</sup> The Federal Register notice, published on April 19, 2013, regarding these new rules can be accessed at [http://www.usitc.gov/secretary/fed\\_reg\\_notices/rules/MISC\\_040\\_notice04112013dbl.pdf](http://www.usitc.gov/secretary/fed_reg_notices/rules/MISC_040_notice04112013dbl.pdf)

<sup>6</sup> The Federal Register notice, published on May 21, 2013, regarding these new rules can be accessed at [http://www.usitc.gov/secretary/fed\\_reg\\_notices/rules/Rules\\_notice05152013sgl.pdf](http://www.usitc.gov/secretary/fed_reg_notices/rules/Rules_notice05152013sgl.pdf)

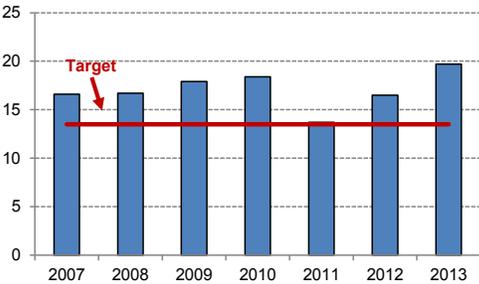
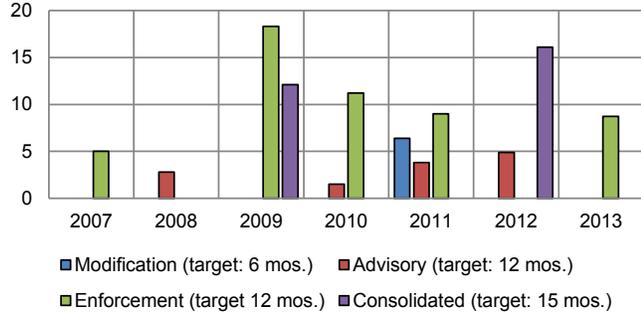
As shown in the following table, and discussed further below, the Commission’s overall performance with respect to meeting deadlines was strong. This was true even though the average length of section 337 investigations in FY 2013 increased and targets for this measure were not fully met this year.

The Commission designs investigative schedules to promote rapid adjudications. In FY 2013, the Commission set statutory and key administrative deadlines in 124 active investigations and met the deadlines. These deadlines govern the institution of investigations, the setting of target dates, the issuance of initial determinations (IDs) and final determinations by the judges and the Commission, respectively, and the filing of appellate briefs.

The average length of section 337 investigations in FY 2013 was 19.7 months. This exceeded the target, which was to remain within the timeframe of 12–18 months consistent with the Uruguay Round Agreement implementing report.<sup>7</sup>

<b>Performance goal 1: Meet statutory and key administrative and court deadlines, conclude Section 337 investigations expeditiously, and reduce the average time to conclude ancillary proceedings.</b>		
	FY 2013	FY 2014
<b>Measure</b>	(a) Complete the following actions on or before prescribed deadlines: <ul style="list-style-type: none"> <li>• Institute new investigations;</li> <li>• Establish target dates for the completion of investigations;</li> <li>• Issue TEO and Initial Determinations;</li> <li>• Make TEO and Final Determinations; and</li> <li>• File appellate briefs.</li> </ul>	NA
<b>Targets</b>	100% of actions timely.	NA
<b>Results</b>	During FY 2008--13, the Commission generally met this target. In FY 2013, the Commission met all of its internal deadlines, with one action intentionally delayed beyond the targeted date to facilitate settlement by the parties. Deadlines missed in previous years: FY 2012, 6; FY 2011, 4; FY 2010, 0; FY 2009, 0; FY 2008, 3.	
<b>Source</b>	OUII and GC.	
	FY 2013	FY 2014
<b>Measure</b>	(b) Conclude investigations into alleged section 337 violations within timeframes that are consistent with the URAA implementing report.	See performance goals 1.11, 1.11(a), 1.11(b), 1.11(c), and 1.11(d) in part II above.
<b>Targets</b>	Average length of investigations is within timeframes.	See performance goals 1.11, 1.11(a), 1.11(b), 1.11(c), and 1.11(d) in part II above.

<sup>7</sup> S. Rep. No. 103-412, at 119 (1994).

<b>Performance goal 1:</b> Meet statutory and key administrative and court deadlines, conclude Section 337 investigations expeditiously, and reduce the average time to conclude ancillary proceedings. — cont'd																	
<b>Results</b>	<p style="text-align: center;">Average investigation length in months</p>  <table border="1"> <caption>Average investigation length in months</caption> <thead> <tr> <th>Year</th> <th>Average Length (Months)</th> </tr> </thead> <tbody> <tr><td>2007</td><td>16.5</td></tr> <tr><td>2008</td><td>16.5</td></tr> <tr><td>2009</td><td>17.5</td></tr> <tr><td>2010</td><td>18.5</td></tr> <tr><td>2011</td><td>13.5</td></tr> <tr><td>2012</td><td>16.5</td></tr> <tr><td>2013</td><td>19.5</td></tr> </tbody> </table>	Year	Average Length (Months)	2007	16.5	2008	16.5	2009	17.5	2010	18.5	2011	13.5	2012	16.5	2013	19.5
Year	Average Length (Months)																
2007	16.5																
2008	16.5																
2009	17.5																
2010	18.5																
2011	13.5																
2012	16.5																
2013	19.5																
<b>Source</b>	OUII and GC.																
	<table border="1"> <thead> <tr> <th></th> <th>FY 2013</th> <th>FY 2014</th> </tr> </thead> <tbody> <tr> <td><b>Measure</b></td> <td>(c) Ensure that the average length of ancillary proceedings is no more than the following:                             <ul style="list-style-type: none"> <li>• modification: 6 months.</li> <li>• advisory: 12 months.</li> <li>• enforcement: 12 months.</li> <li>• consolidated ancillaries: 15 months.</li> </ul> </td> <td>See performance goal 1.12 (part II above)</td> </tr> <tr> <td><b>Targets</b></td> <td>Average length of proceedings is within timeframes.</td> <td>See performance goal 1.12 (part II above)</td> </tr> </tbody> </table>		FY 2013	FY 2014	<b>Measure</b>	(c) Ensure that the average length of ancillary proceedings is no more than the following: <ul style="list-style-type: none"> <li>• modification: 6 months.</li> <li>• advisory: 12 months.</li> <li>• enforcement: 12 months.</li> <li>• consolidated ancillaries: 15 months.</li> </ul>	See performance goal 1.12 (part II above)	<b>Targets</b>	Average length of proceedings is within timeframes.	See performance goal 1.12 (part II above)							
	FY 2013	FY 2014															
<b>Measure</b>	(c) Ensure that the average length of ancillary proceedings is no more than the following: <ul style="list-style-type: none"> <li>• modification: 6 months.</li> <li>• advisory: 12 months.</li> <li>• enforcement: 12 months.</li> <li>• consolidated ancillaries: 15 months.</li> </ul>	See performance goal 1.12 (part II above)															
<b>Targets</b>	Average length of proceedings is within timeframes.	See performance goal 1.12 (part II above)															
<b>Results</b>	<p style="text-align: center;">Average length of ancillary proceedings FY 2007–13*</p>  <p style="text-align: center;">*In FY 2013, one modification proceeding was concluded in one day.</p>																
<b>Source</b>	OUII and GC.																

Before the URAA was passed in 1994, the statute required section 337 investigations to be completed in 12 to 18 months. During the three-year period before the URAA was enacted, the Commission’s average completion time was 13.5 months for investigations in which the Commission rendered a final decision on the merits

of the existence of a violation.<sup>8</sup> As the number of new complaints has sharply increased in recent years, not surprisingly, adherence to the pre-URAA timeframe has proven to be a challenge. The difficulty is evident in table 3.1 below, which summarizes the length of investigations for each of the six years 2008–13. Although the Commission came close to meeting the target in FY 2011, it did not do so in other years. The average length of investigations that proceeded to a decision on merits this year continued to increase instead of decrease.

<b>TABLE 3.1 Length of investigations, FY 2008–13</b>				
<b>Fiscal Year</b>	<b>Investigations completed<sup>a</sup></b>	<b>Completion time (in months)</b>		
		<b>Shortest</b>	<b>Longest</b>	<b>Average</b>
2008	15 (5 instituted in 2006, 9 in 2007, 1 in 2008)	6.0	28.0	16.7
2009	16 (1 instituted in 2006, 6 in 2007, 9 in 2008)	3.5	28.5	17.9
2010	22 (1 instituted in 2004, 1 in 2007, 11 in 2008, 8 in 2009, 1 in 2010) <sup>b</sup>	6.4	25.4 <sup>b</sup>	18.4
2011	17 (1 instituted in 2008, 1 in 2009, 12 in 2010, 3 in 2011)	5.2	24.2	13.7
2012	22 (9 instituted in 2010, 11 in 2011, 2 in 2012)	2.6	28.9	16.5
2013	21 (17 instituted in 2011, 3 in 2012, 1 in 2013)	4.3	30.1	19.7

Source: OUII.

<sup>a</sup> Investigations in which the Commission rendered a final decision on the merits of the existence of a violation. Thus, these data do not include, for example, cases which settled before a final decision. The data also do not include ancillary proceedings.

<sup>b</sup> One investigation that concluded in FY 2010 had been pending since 2004. Because of the anomalous length of this investigation, which involved protracted district court subpoena enforcement proceedings as well as a subsequent remand back to the ALJ by the Commission, this investigation was not included in calculating the average length of investigations that concluded during FY 2010.

The Commission took several steps in past years to address the length of 337 investigations. For instance because the scheduling of trials became increasingly problematic as the caseload grew, the Commission expanded its ALJ corps to handle the increased caseload. The Commission also sought to expand its courtroom space to ensure expeditious hearings for adjudications of section 337 complaints. And, in an effort to conserve Commission and private party resources, during FY 2013, the Commission continued to refine its mediation program, which was launched in FY 2009, to facilitate more settlements and streamline investigations. In FY 2013, the Commission's internal working group, which includes the ALJs, as well as members of OUII, OGC and the Commissioners' offices, considered ways in which target dates for completion of section 337 proceedings might be reduced. In FY 2013, the Commission instituted a pilot program designed to identify a single case dispositive issue (e.g. importation or domestic industry) on which an evidentiary hearing and determination could occur within 100 days of institution of the investigations. For FY 2014 the Commission is considering whether there are additional ways to shorten the length of investigations, and is examining the composition of its existing investigations to determine whether certain cases are more complicated than others and therefore warrant a longer target date whereas less complicated matters would merit shorter target dates.

While target dates are not statutorily required for advisory opinion and modification proceedings, the Commission has adopted timeliness targets for these ancillary proceedings, as well as for enforcement proceedings, which play an important role in enforcing Commission remedies. Although one consolidated proceeding extended slightly beyond the targeted timeframe, the consolidation allowed the Commission to address three matters

<sup>8</sup> In total, 36 new section 337 investigations were instituted during this three-year period, and only 13 of those investigations were ultimately litigated to a final decision on the merits.

more efficiently than considering them separately. For FY 2014 the Commission is modifying these timeframes, setting a goal for completion of advisory investigations in 9 months instead of 12 months. The Commission is also setting a timeline for completion of remands from the Court of Appeals for the Federal Circuit.

## IMPROVING TRANSPARENCY AND ACCESS TO INFORMATION

The Commission strives to improve access to information regarding section 337 investigations. Improving the scope, quality and transparency of information available to litigants and the public regarding section 337 investigations has been and will continue to be an important objective of the Commission. In FY 2014 and FY 2015 the Commission is adding a performance goals centered on the timely release of statistical information regarding section 337 investigations.

Performance goal 2: Improve the scope, quality, and transparency of information regarding section 337 investigations that is made available to investigative participants and the public.																																		
	FY 2013	FY 2014																																
<b>Measure</b>	(a) Make documents filed on EDIS available promptly.	See performance goal 1.25 (part II above)																																
<b>Targets</b>	80% availability in 24 hours, 90% in 48 hours.	See performance goal 1.25 (part II above)																																
<b>Results</b>	<p>Actual processing within 24 hours</p> <table border="1"> <caption>Actual processing within 24 hours</caption> <thead> <tr> <th>Fiscal Year</th> <th>Percent</th> </tr> </thead> <tbody> <tr><td>FY 2007</td><td>50</td></tr> <tr><td>FY 2008</td><td>80</td></tr> <tr><td>FY 2009</td><td>90</td></tr> <tr><td>FY 2010</td><td>90</td></tr> <tr><td>FY 2011</td><td>95</td></tr> <tr><td>FY 2012</td><td>95</td></tr> <tr><td>FY 2013</td><td>95</td></tr> </tbody> </table>	Fiscal Year	Percent	FY 2007	50	FY 2008	80	FY 2009	90	FY 2010	90	FY 2011	95	FY 2012	95	FY 2013	95	<p>Actual processing within 48 hours</p> <table border="1"> <caption>Actual processing within 48 hours</caption> <thead> <tr> <th>Fiscal Year</th> <th>Percent</th> </tr> </thead> <tbody> <tr><td>FY 2007</td><td>80</td></tr> <tr><td>FY 2008</td><td>95</td></tr> <tr><td>FY 2009</td><td>95</td></tr> <tr><td>FY 2010</td><td>95</td></tr> <tr><td>FY 2011</td><td>95</td></tr> <tr><td>FY 2012</td><td>95</td></tr> <tr><td>FY 2013</td><td>95</td></tr> </tbody> </table>	Fiscal Year	Percent	FY 2007	80	FY 2008	95	FY 2009	95	FY 2010	95	FY 2011	95	FY 2012	95	FY 2013	95
Fiscal Year	Percent																																	
FY 2007	50																																	
FY 2008	80																																	
FY 2009	90																																	
FY 2010	90																																	
FY 2011	95																																	
FY 2012	95																																	
FY 2013	95																																	
Fiscal Year	Percent																																	
FY 2007	80																																	
FY 2008	95																																	
FY 2009	95																																	
FY 2010	95																																	
FY 2011	95																																	
FY 2012	95																																	
FY 2013	95																																	
<b>Source</b>	OAS.																																	
	FY 2013	FY 2014																																
<b>Measure</b>	(b) Staff conducts outreach to bar groups and others to ensure they understand Commission capabilities and process.	See performance goal 1.23 (part II above)																																
<b>Targets</b>	Outreach efforts made.	See performance goal 1.23 (part II above)																																
<b>Results</b>	FY 2011 through 2013: Outreach to bar groups, law students, and foreign officials (target met).																																	
<b>Source</b>	OUII and GC.																																	

The first measure pertaining to performance goal 2 focuses on the availability of Commission filings on EDIS. As noted in the earlier discussion of import injury investigations, the Commission provides an electronic option for filing documents with the Commission and gives nearly real-time public access to information and updates through EDIS. The timeframe targets for making investigative record materials available on EDIS are intended to ensure that both investigation participants and the public have quick access to information pertaining to section 337 proceedings and thereby enhance their ability to understand and participate in such proceedings. These targets relate directly to the Intellectual Property-based Import Investigations’ strategic goal of conducting transparent investigations.

As shown in the figures above, the availability targets for section 337 documents on EDIS were again met in FY 2013, with 24-hour availability rates of 97.8 percent and 48-hour availability rates of 98.7 percent. For FY 2014, the Commission is raising the first target from 80 percent to 85 percent; the second target, from 85 percent to 95 percent.

Additionally, during FY 2013, Commission personnel from OCIO, Docket Services, and several offices at the Commission that are involved in the section 337 process worked to develop a database that will serve as an internally searchable repository for information about section 337 proceedings. This database, which will improve the efficiency of information gathering and reporting by the Commission, will ultimately produce a replacement to the Section 337 Investigational History on the Commission’s website, allowing the public to access substantially more information about past and on-going proceedings than has been previously available.

To further expand the information available to litigants and members of the public, the Commission set a target for outreach by Commission staff. This measure addresses efforts by staff to reach out to bar groups and others to educate them about the Commission’s capabilities and the section 337 process. During FY 2013, the outreach target was satisfied as representatives from a number of Commission offices, including Commissioners themselves and staff in OALJ, GC, OUII and SE, have provided information on section 337 requirements, procedures, and remedies to visiting representatives of foreign governments, in formal presentations to bar groups that include industry representatives, and in a variety of other settings.

### **FACILITATING EXCLUSION ORDER ENFORCEMENT**

Exclusion orders, which direct CCBP to prohibit infringing goods from entering the United States, are generally viewed as a powerful form of remedy and an important feature of section 337. Actively facilitating the enforcement of exclusion orders is directly related to the Commission’s mandate to provide effective relief when relief is warranted in section 337 proceedings. Performance goal 3 is focused on facilitating the prompt enforcement of exclusion orders.

<b>Performance goal 3: Actively facilitate enforcement of exclusion orders.</b>		
	<b>FY 2013</b>	<b>FY 2014</b>
<b>Measure</b>	(a) Provide terms of proposed exclusion orders to CBP and, consider any feedback received from CBP before submitting them to the Commission, and give CBP scheduling information for section 337 proceedings on a quarterly basis.	NA

<b>Performance goal 3: Actively facilitate enforcement of exclusion orders. — cont'd</b>		
	FY 2013	FY 2014
<b>Targets</b>	Information provided in 100% of cases.	NA
<b>Results</b>	This target has been met for FY 2008 through FY 2013. OUII has provided CBP with scheduling information for Section 337 proceedings on a quarterly basis. It was OUII's historical practice to provide proposed exclusion orders to CBP before submitting them to the Commission. However, in FY- 2011 OUII began tracking the submission of proposed exclusion orders to CBP before final submission to the Commission, for proceedings in which it is a participant, in addition to providing quarterly scheduling information for Section 337 proceedings to CBP.	
<b>Source</b>	OUII and GC.	
	FY 2013	FY 2014
<b>Measure</b>	(b) Conduct a survey regarding the effectiveness of outstanding exclusion orders.	NA
<b>Targets</b>	Survey questionnaires distributed	NA
<b>Results</b>	FY 2013: Draft survey was submitted to the Office of Management and Budget for authorization to distribute questionnaires in September 2013. OMB did not authorize until October 2013. Survey was distributed in November 2013 (target not met). FY 2012: NA. FY 2011: Recommendations based on survey responses formulated and implemented (target met). FY 2010: Survey conducted (target met). FY 2009: NA. FY 2008: NA.	
<b>Source</b>	OUII.	

The Commission was successful in meeting its FY 2013 target regarding the transmittal of scheduling information to CBP regarding pending section 337 matters, as well as providing information to CBP regarding exclusion orders. The intent of this measure was to improve communications with CBP by giving CBP an opportunity to comment on orders that may raise special enforcement concerns, as well as bolster enforcement by alerting CBP to upcoming orders so it can begin enforcing them as soon as possible. The Commission will continue to maintain effective communications with CBP going forward.

The Commission also conducts periodic surveys of exclusion holders to help assess the effectiveness of section 337 exclusion orders and strengthen Commission procedures relating to the issuance of exclusion orders. In FY 2013, the Commission initiated another such survey, intending to distribute the surveys in FY 2013. By the close of FY 2013, the Commission had drafted the survey and was waiting authorization from the Office of Management and Budget (OMB) to distribute it. The Commission distributed the survey in November 2013 (i.e., in FY 2014). The results of the FY 2014 survey will be posted on the Commission's website, and Commission personnel will make recommendations to the Commission based on those results.

## **DEVELOPING PUBLIC INTEREST INFORMATION**

The goal of developing public interest information was added to the FY 2011 performance plan in response to comments from one of its statutory customers. It is intended to speed both the identification of potential public interest issues in section 337 investigations and the development of information regarding these issues, where appropriate.

The measure for this goal was satisfied in both FY 2011 and FY 2012. At the beginning of FY 2011, the Commission issued a notice of proposed rulemaking, in which it requested comments on several proposed rules that would provide for the filing of comments concerning the public interest by the parties and by the public at several stages of the investigation. After consideration of the public comments, the Commission decided to enact final rules regarding public interest comment procedures. This rule-making effort culminated with the publication of public interest rules on October 19, 2011.<sup>9</sup> The Commission did not adopt a performance goal or measure relating to public interest submissions or associated rulemaking for FY 2013. For FY 2014, the Commission determined not to measure or to assess the impact of the public interest rules on section 337 investigations. Rather, the Commission will look at the impact of these rules as an indicator of how complex an investigation may be.

---

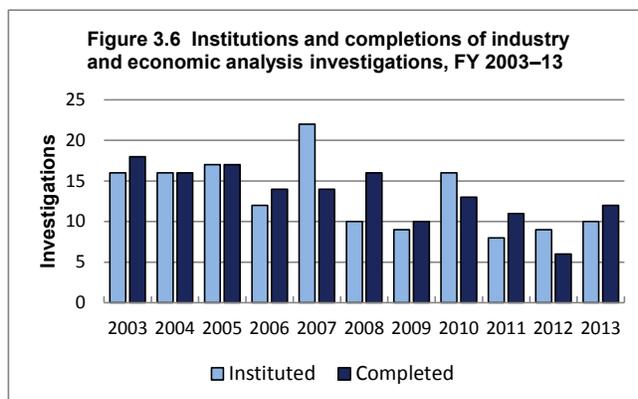
<sup>9</sup> 76 Fed. Reg. 64803. [http://usitc.gov/secretary/fed\\_reg\\_notices/rules/finalrules210.pdf](http://usitc.gov/secretary/fed_reg_notices/rules/finalrules210.pdf).

## Industry and Economic Analysis

### OVERVIEW

The Commission's industry and economic analysis aims to provide policymakers in the legislative and executive branches with a sound foundation as they consider policy decisions. As a recognized leader in analyzing all aspects of international trade and industry competitiveness, the Commission provides its external customers with high quality, objective analysis, information, and data that are both timely and relevant to U.S. trade policy. In FY 2013, the Commission produced 18 analytic reports under various statutory authorities, covering a wide range of complex topics; figures 3.6 and 3.7 show trends for these investigations and appendix B lists publically available reports.

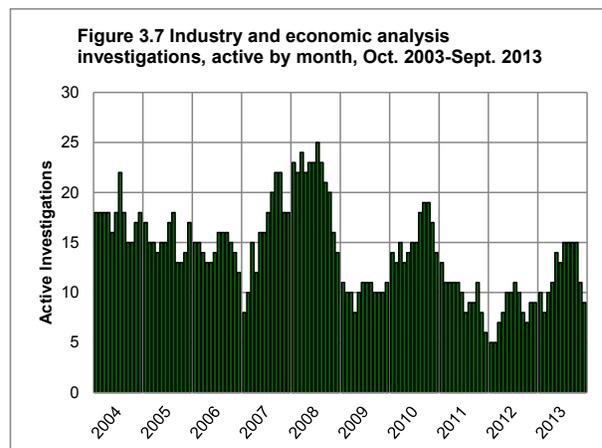
Investigations conducted by the Commission under Operation 3 are provided to requestors as either confidential or public reports. They generally fall into three broad categories: general fact-finding and analytical investigations; probable economic effect investigations; and assessments of negotiated trade agreements.



The Commission met 10 of its 11 FY 2013 performance goals related to improving the efficiency of research and delivery of its products, expanding its capability to address new areas of interest to policymakers, and ensuring the effectiveness and usefulness of the analysis and information that it provides. Two of three targets related to performance goal 1 were met and all of the targets related to performance goals 2 and 3 were met.

The targets that were met involved processes for communication with customers, expanding the Commission's capability to provide pertinent advice to customers, and ensuring the timeliness and relevance of products. The target that was not met relied on responses from statutory customers to requests for feedback on products delivered to them. Although all feedback received was positive, in some cases the Commission received no feedback, which lowered a satisfaction metric targeted for increase.

The Commission's ongoing challenge in the development and delivery of objective, specialized analysis and information—a central component of the Commission's mission—largely centers on ensuring sufficient skilled human capital and data resources. The Commission met targets related directly to that critical need.



## IMPROVING RESEARCH METHODS

The objective of the Commissions' first performance goal is to improve the effectiveness and efficiency of the research program and to deliver high-quality, responsive analysis and information that meet policymakers' needs. In FY 2013, Commission staff successfully met two of the goal's three targets.

Feedback from both customers and Commissioners was used to evaluate the quality of delivered reports and improve the internal review process. Eighteen statutory reports were delivered during FY 2013. Feedback was universally positive, though the agency did not receive feedback on all of these reports.

<b>Performance goal 1: Develop and improve efficient and effective research methods and deliver products that meet customer requirements.</b>																
	FY 2013	FY 2014														
<b>Measure</b>	(a) Staff from executive branch and/or congressional customers provides positive characterization of statutory reports (e.g., informative, well done).	See performance goal 2.21(a) in part II above														
<b>Targets</b>	2% improvement over previous year.	See performance goal 2.21(a) in part II above														
<b>Results</b>	<p style="text-align: center;"><b>Positive ratings received from customers on requested reports</b></p> <table border="1"> <caption>Positive ratings received from customers on requested reports</caption> <thead> <tr> <th>Fiscal Year</th> <th>Percent</th> </tr> </thead> <tbody> <tr> <td>FY 2008</td> <td>82</td> </tr> <tr> <td>FY 2009</td> <td>40</td> </tr> <tr> <td>FY 2010</td> <td>75</td> </tr> <tr> <td>FY 2011</td> <td>48</td> </tr> <tr> <td>FY 2012</td> <td>73</td> </tr> <tr> <td>FY 2013</td> <td>61</td> </tr> </tbody> </table>		Fiscal Year	Percent	FY 2008	82	FY 2009	40	FY 2010	75	FY 2011	48	FY 2012	73	FY 2013	61
Fiscal Year	Percent															
FY 2008	82															
FY 2009	40															
FY 2010	75															
FY 2011	48															
FY 2012	73															
FY 2013	61															
<b>Notes/ Source</b>	Note: The numerator for this measure is positive responses. The denominator is the number of reports delivered. There were no negative responses in FY 2013, a common result. Feedback provided by customers, reported by ER.															
	FY 2013	FY 2014														
<b>Measure</b>	(b) Deliver all section 332 reports to requesters on time.	NA														
<b>Targets</b>	100% timely.	NA														

<b>Performance goal 1:</b> Develop and improve efficient and effective research methods and deliver products that meet customer requirements. — cont'd																
<b>Results</b>	<p>Percentage of reports delivered on time</p> <table border="1"> <thead> <tr> <th>Fiscal Year</th> <th>Percentage of reports delivered on time</th> </tr> </thead> <tbody> <tr> <td>FY 2008</td> <td>100</td> </tr> <tr> <td>FY 2009</td> <td>100</td> </tr> <tr> <td>FY 2010</td> <td>100</td> </tr> <tr> <td>FY 2011</td> <td>100</td> </tr> <tr> <td>FY 2012</td> <td>100</td> </tr> <tr> <td>FY 2013</td> <td>100</td> </tr> </tbody> </table>	Fiscal Year	Percentage of reports delivered on time	FY 2008	100	FY 2009	100	FY 2010	100	FY 2011	100	FY 2012	100	FY 2013	100	
Fiscal Year	Percentage of reports delivered on time															
FY 2008	100															
FY 2009	100															
FY 2010	100															
FY 2011	100															
FY 2012	100															
FY 2013	100															
<b>Source</b>	EC and ER.															
	<table border="1"> <thead> <tr> <th></th> <th>FY 2013</th> <th>FY 2014</th> </tr> </thead> <tbody> <tr> <td><b>Measure</b></td> <td>(c) Based on Commissioners' feedback, especially on report quality and fully addressing Commission customers' requests, take action in areas needing improvement.</td> <td>See performance goal 2.24 (part II above)</td> </tr> <tr> <td><b>Targets</b></td> <td>Action taken.</td> <td>See performance goal 2.24 (part II above)</td> </tr> <tr> <td><b>Results</b></td> <td colspan="2">           FY 2013: Target met.            FY 2012: Target met. The target was to seek and address Commission feedback on investigations, which staff did on every instance of receiving feedback.            FY 2011: Developed baseline for feedback.         </td> </tr> <tr> <td><b>Source</b></td> <td colspan="2">EC.</td> </tr> </tbody> </table>		FY 2013	FY 2014	<b>Measure</b>	(c) Based on Commissioners' feedback, especially on report quality and fully addressing Commission customers' requests, take action in areas needing improvement.	See performance goal 2.24 (part II above)	<b>Targets</b>	Action taken.	See performance goal 2.24 (part II above)	<b>Results</b>	FY 2013: Target met. FY 2012: Target met. The target was to seek and address Commission feedback on investigations, which staff did on every instance of receiving feedback. FY 2011: Developed baseline for feedback.		<b>Source</b>	EC.	
	FY 2013	FY 2014														
<b>Measure</b>	(c) Based on Commissioners' feedback, especially on report quality and fully addressing Commission customers' requests, take action in areas needing improvement.	See performance goal 2.24 (part II above)														
<b>Targets</b>	Action taken.	See performance goal 2.24 (part II above)														
<b>Results</b>	FY 2013: Target met. FY 2012: Target met. The target was to seek and address Commission feedback on investigations, which staff did on every instance of receiving feedback. FY 2011: Developed baseline for feedback.															
<b>Source</b>	EC.															

The Commission strives to deliver all requested products in a timely way so that policymakers have the analysis and information needed to assist in sound policy formulation. In FY 2013, the Commission met the target. However, the Commission again encountered challenges that suggest the need to consider whether longer delivery times for some reports may be helpful in ensuring error-free, high-quality products.

## EXPANDING RESEARCH CAPABILITIES

Performance goal 2 assists the Commission in expanding and refining research capabilities, tools, and methods to enable it to respond quickly, efficiently, and effectively to requests for analysis and information about new issues and areas related to trade and competitiveness. The Commission regularly evaluates its research priorities and annually confirms or revises targets in light of policymakers' priorities and the availability of new methods and tools. This goal and its targets provide information about progress in the development and dissemination of critical knowledge and skills, which are core components for mission accomplishment.

Commission research is disseminated in several venues, including presentations at professional conferences and in published papers. These activities help develop staff knowledge and skills by providing feedback on research methods and helping to identify and refine research topics.

The Commission identifies priority areas to focus on developing new knowledge. Proactively developing such knowledge allows the Commission to efficiently and effectively respond to requests from its congressional and executive branch customers and to petitions filed by U.S. industries. In FY 2013, the Commission staff met internally to review and prioritize current research initiatives. Ideas are generated through feedback and interaction with several external entities, and input from Commissioners. For the upcoming year, the Commission intends to develop a database to better track these effort and their impact on requested work from our customers.

Commission staff research under development for the past few years contributed significantly to the agency's FY 2013 update of the Import Restraints study (332-325). The research concerned global value chain analysis, the most recent restructuring of the USAGE model (USAGE 2.0), and extended coverage of U.S. labor and households in USAGE. Previous staff research efforts also supported several title VII investigations related to renewable energy products. Commission staff also expanded analytic capabilities based on very detailed data sources, such as retail transaction and export transaction data.

Anticipating future requests, the Commission identified five priority research areas for FY 2013 (measure 2b); targets relating to developing research tools or publications were met in each of these areas including (1) U.S. trade modeling with USAGE 2.0; (2) environmental and energy issues in trade; (3) emerging markets, especially India and their rapidly growing firms; U.S. exports of advanced technology goods, Brazil's energy sector, China's exports and their distribution by firm ownership; (4) global supply chain analysis; and (5) behind-the-border measures and cross-industry issues such as NTMs. Most importantly, the integration of data based on the North American Industry Classification System (NAICS) into the USAGE model, an important upgrade to one research tool, was finished during FY 2013. Because the NAICS nomenclature changes over time, integration will continue to be an ongoing effort.

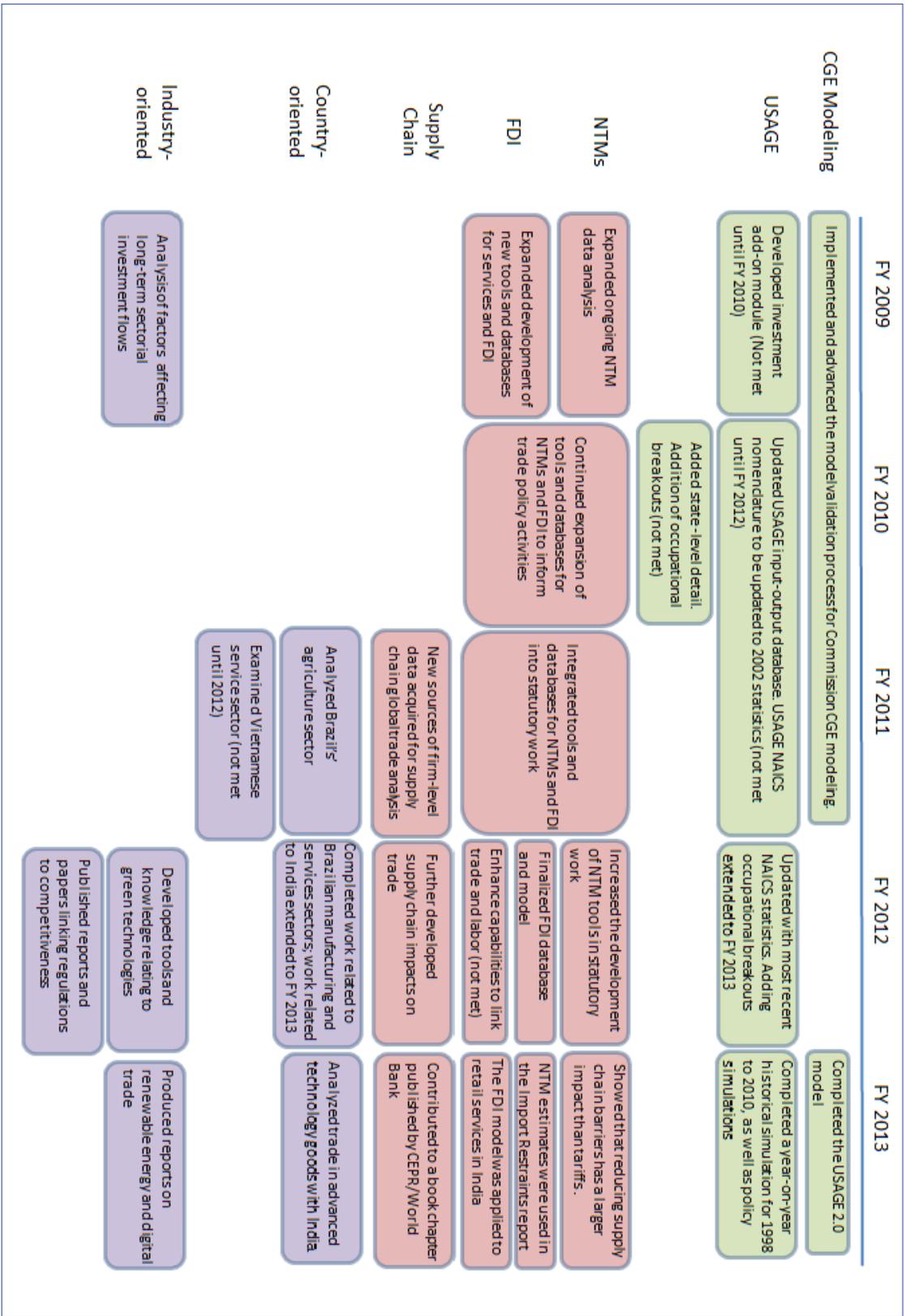
During the year, staff made progress on research about the linkages between climate policies and fiscal constraints and the liberalization of retail services in India. In addition, Commission staff continued to expand in-depth research on global supply chain issues, including work describing how examining trade on a value-added basis contributes to the understanding of trade in intermediate products and supply chain networks. Meanwhile staff updated the CoRe NTMs database and used supply chain concepts to analyze the costs of NTMs, regulation and competitiveness, and energy and environmental technologies and services. Because data and analysis are lacking in these new areas, such research supports both the Commission's own statutory work and research initiatives in the international trade community.

In FY 2014, research will focus on (1) enhancing the household sector of the USAGE model; (2) examining the economic and trade effects of energy markets, technologies, and related services; (3) assessing trade facilitation and customs issues, technical barriers to trade and standards; (4) conducting further research on supply chains; and (5) analyzing the effects of integration within the North American markets.

<b>Performance goal 2:</b> Expand the Commission's capacity to anticipate and address new issues and areas for industry and economic analysis.		
	FY 2013	FY 2014
<b>Measure</b>	(a) Continue to enhance the Commission's capacity to efficiently respond to, and anticipate, new areas of analysis or data needs for internal and external customers.	See performance goals 2.21(a), 2.22(a), and 2.23(a) in part II above.
<b>Targets</b>	(i) Continue refinement of staff research priorities, incorporating input from internal and external customers and external stakeholders. (ii) Demonstrate the contribution of staff research to Commission responses to customer requests.	See performance goals 2.21(a), 2.22(a), and 2.23(a) in part II above
<b>Results</b>	<p>FY 2013:</p> <ul style="list-style-type: none"> <li>Developed lists of current strategic research projects, identifying the customer, initiation date, and strategic plan alignment. Reassessed quarterly.</li> <li>Prior staff research on the services NTM database was used in the FY 2013 Import Restraints (332-325) study. Previous research on survey methodologies was used for two studies: Re-manufactured Goods (332-525) and Used Electronic Products: An Examination of U.S. Exports (332-528). Prior staff research on global value chain analysis was used in responses to technical assistance requests.</li> </ul> <p>FY 2012: Documented the process by which staff and management determine worthwhile research areas and issues. Includes feed forward and feedback loops from internal and external customers.</p> <p>FY 2011: Discussed research initiatives and received feedback from the Commission and other internal customers.</p>	
<b>Source</b>	EC.	
	FY 2013	FY 2014
<b>Measure</b>	(b) Expand economic and analytical tools and skills in the areas listed in the targets.	See performance goal 2.22(a) in part II above
<b>Targets</b>	<ul style="list-style-type: none"> <li>Global modeling in areas such as foreign direct investment (FDI) and launching the USAGE 2.0 model with annual snapshots of U.S. economic activity.</li> <li>Environmental issues in trade, such as environmental services and renewable energy services;</li> <li>Emerging markets, such as India, Brazil, China, and Mexico;</li> <li>Supply chains, such as extending analysis to new industries, organizational structures and locations; and</li> <li>Behind-the-border measures and cross-industry issues, such as IPR protection and NTMs.</li> </ul>	See performance goal 2.22(a) in Part II above

<b>Performance goal 2:</b> Expand the Commission's capacity to anticipate and address new issues and areas for industry and economic analysis. — cont'd	
<b>Results</b>	See figure 3.8.
<b>Source</b>	EC and IND.

Figure 3-8: Industry and Economic Analysis research initiatives



Source: Initiatives implemented as reported by EC.

## IMPROVING TRANSPARENCY AND ACCESS TO INFORMATION

The measure for this performance goal was reconsidered for FY 2013 to focus it more clearly on the focus of the performance goal. The Commission emphasized improvements in direct communication with the customers defined by statute as primary customers to ensure a mutual understanding of Commission capabilities and customer needs. As a result, the Commission delivered reports related to ongoing areas of interest, such as the Information Technology Agreement and how small and medium enterprises are affected by trade agreements, as well as entirely new areas of investigation, such as digital trade and trade in used electronics.

<b>Performance goal 3:</b> Improve the Commission’s communications with its customers to ensure that they understand the agency’s capabilities and are able to benefit from its expertise.		
	FY 2013	FY 2014
<b>Measure</b>	Regular outreach meetings with Commission’s statutory customers leading to requests for investigations and technical assistance or new statutory requirements.	See performance goal 2.21 (part II above)
<b>Targets</b>	Requests received.	See performance goal 2.21 (part II above)
<b>Results</b>	FY 2013: Commission staff responded to 164 technical assistance requests. The Commission also received 9 requests for investigations under various sections of trade laws (332, 131, and 103). In addition, USTR requested 4 additional studies in a letter dated September 30, 2013, which was not received by the Commission until October 17, 2013, due to the government shutdown (target met).	
<b>Source</b>	EC.	

## Tariff and Trade Information Services

### OVERVIEW

Tariff and Trade Information Services covers a variety of functions. Besides maintaining and publishing the Harmonized Tariff Schedule of the United States (HTS),<sup>10</sup> the Commission:

- provides Congress with information on legislation affecting the HTS;
- participates in the U.S. delegation to the World Customs Organization (WCO) in its work on the international Harmonized System;<sup>11</sup>
- chairs the interagency Committee for Statistical Annotation of the Tariff Schedules (“484(f) Committee”);<sup>12</sup> and
- provides related technical assistance, trade data, and online services to the public and government officials.

The HTS is the basis for U.S. Customs and Border Protection (CBP) to classify goods, assess duties, and carry out the customs laws. Other government agencies rely on it to enforce regulations affecting imports. Importers file import entry documents using the HTS, while the U.S. Census Bureau compiles monthly and annual trade statistics using the HTS and the related Schedule B.

In addition to the published HTS, the Commission maintains the agency’s DataWeb, used to organize U.S. import and export data for analysis, and the HTS tariff database, reflecting both normal trade relations rates and special duty rates, including staged rates applicable under free trade agreements. Commission staff also maintains an online reference tool for keyword searching the HTS to identify potential product classification. At least 70 percent of the visits to the Commission website involve searches for tariff-related information via one of these services, including the official HTS.

This area likewise includes support for trade agreements activity by USTR, which varies depending on the level and number of ongoing negotiations, and work on proposals for modifications to the Harmonized System, which USTR authorizes to be sent to the WCO. During FY 2013, the Office of Tariff Affairs and Trade Agreements prepared the basic annual version of the HTS, as well as one electronic revision. The Commission also assisted USTR with the annual review of actions relating to products covered by the Generalized System of Preferences. In FY 2013, the Commission began work on a modernized HTS production system to enable accessible, timely updates to the electronic HTS.

### IMPROVING TRANSPARENCY AND ACCESS TO INFORMATION

The Commission established performance goal 1 to ensure continued efforts to improve the utility, accuracy, and dissemination of the tariff and trade information it provides. The targets established for this performance goal involve providing accurate and timely tariff and trade information and technical services to customers and the public. During FY 2013, the Commission improved the processes used in preparing the HTS, updated its keyword search tool, and started work on a modernized HTS production system. The Commission met almost all targets set for FY 2013.

<sup>10</sup> Pursuant to the Omnibus Trade and Competitiveness Act of 1988, section 1207 (19 U.S.C. 3007).

<sup>11</sup> *Ibid.*, sections 1205 and 1206 (19 U.S.C 3005-3006).

<sup>12</sup> Pursuant to section 484(f) of the Tariff Act of 1930, as amended (19 U.S.C. 1484).

<b>Performance goal 1: Increase the utility and improve the dissemination of tariff and trade information services to customers.</b>												
	FY 2013	FY 2014										
<b>Measure</b>	(a) Maintain accuracy of HTS information.	See performance goal 2.12(b) in part II above										
<b>Targets</b>	<ul style="list-style-type: none"> <li>99% or greater accuracy of post-production substantive content (rates and nomenclature).</li> <li>97% or greater overall accuracy of post-production content.</li> </ul>	See performance goal 2.12(b) in part II above										
<b>Results</b>	FY 2013: 99.9% accuracy of substantive content. 99.7% accuracy of total content.											
<b>Source</b>	TATA.											
	FY 2013	FY 2014										
<b>Measure</b>	(c) Make continuous improvements to the Commission's web presence that lead to improvements in user satisfaction.	See performance goal C.13 (part II above)										
<b>Targets</b>	Overall satisfaction consistent with that for other government agencies.	See performance goal C.13 (part II above)										
<b>Results</b>	FY 2013: Achieved satisfaction score of 72, which is consistent with the average for the federal government (73) and the average for executive branch agencies (73), as the scores fall within a range that would not represent a statistically significant difference.											
<b>Source</b>	ForeSee results.											
	FY 2013	FY 2014										
<b>Measure</b>	(d) Improve success rate of users' keyword searches on HTS Online Reference Tool.	NA										
<b>Targets</b>	70% of searches successful.	NA										
<b>Results</b>	<p style="text-align: center;"><b>Successful keyword searches on HTS Online Reference Tool</b></p> <table border="1"> <caption>Successful keyword searches on HTS Online Reference Tool</caption> <thead> <tr> <th>Fiscal Year</th> <th>Percent</th> </tr> </thead> <tbody> <tr> <td>FY 2011</td> <td>~73%</td> </tr> <tr> <td>FY 2012</td> <td>~71%</td> </tr> <tr> <td>FY 2013</td> <td>~73%</td> </tr> <tr> <td>Target</td> <td>70%</td> </tr> </tbody> </table>		Fiscal Year	Percent	FY 2011	~73%	FY 2012	~71%	FY 2013	~73%	Target	70%
Fiscal Year	Percent											
FY 2011	~73%											
FY 2012	~71%											
FY 2013	~73%											
Target	70%											

<b>Performance goal 1:</b> Increase the utility and improve the dissemination of tariff and trade information services to customers. — cont'd		
<b>Source</b>	OCIO.	
	FY 2013	FY 2014
<b>Measure</b>	(b) Minimize difference between the CBP's HTS database and the Commission's online versions of HTS.	NA
<b>Targets</b>	Less than 1% difference.	NA
<b>Results</b>	FY 2013: 24 lines out of 10,713 eight-digit line items were different between the Automated Customs System (ACS) maintained by CBP and the HTS maintained by the Commission. The Commission coordinated with CBP to reconcile all differences. (Target met.) FY 2012: 7 lines out of 10,711 eight-digit line items were different between the ACS and the HTS. The Commission coordinated with CBP to reconcile all differences. (Target met.) FY 2011: 141 lines out 10,449 eight-digit line items were different between the ACS and the HTS. The Commission coordinated with CBP to reconcile all differences. (Target met.)	
<b>Source</b>	TATA.	

The Commission's focus in FY 2014 will continue to be on the accuracy of the official HTS and associated products and improving the public's access to this and other agency information via its website. Because approximately 70 percent of website utilization is accounted for by the tariff and trade webpages, the Commission will focus on feedback in this area as it rolls out improvements generated by the new HTS database system. Performance in other measures noted above will be improved with the help of internal controls and the new HTS production system.

## IMPROVING NOMENCLATURE AND RELATED SERVICES

The Commission strives to provide timely, effective, and responsive nomenclature, trade data, and related technical services to customers so they can better accomplish their transactions or policy goals. The Commission met all but one of its targets for this performance goal in FY 2013. No legislative reports were submitted to Congress during 2013. The Commission is no longer measuring email feedback (measure a) but will continue to monitor the reactions it receives. Instead, the focus will be on the timeliness of staff responses, given the time-sensitive nature of the questions posed by outside customers (measure b).

<b>Performance goal 2:</b> Provide timely, effective, and responsive nomenclature, trade data, and related technical services to customers.		
	FY 2013	FY 2014
<b>Measure</b>	(a) Positive feedback on Commission responses to email requests concerning HTS.	NA
<b>Targets</b>	95% or greater positive feedback.	NA

<b>Performance goal 2:</b> Provide timely, effective, and responsive nomenclature, trade data, and related technical services to customers. — cont'd											
<b>Results</b>	<p style="text-align: center;"><b>Positive feedback on Commission responses to HTS email requests</b></p> <p style="text-align: center;">Note: FY 2011 target was to establish a baseline</p>										
<b>Source</b>	TATA.										
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;"></th> <th style="width: 50%;">FY 2014</th> </tr> </thead> <tbody> <tr> <td style="background-color: #0070C0; color: white;"><b>Measure</b></td> <td>See performance goal 2.15 (part II above)</td> </tr> <tr> <td style="background-color: #0070C0; color: white;"><b>Targets</b></td> <td>See performance goal 2.15 (part II above)</td> </tr> <tr> <td style="background-color: #0070C0; color: white;"><b>Results</b></td> <td>                     FY 2013: 90% of responses made within 7 days.                      FY 2012: 97% response within 7 days.                      FY 2011: Established semi-automated tracking system (met target).                 </td> </tr> <tr> <td style="background-color: #0070C0; color: white;"><b>Source</b></td> <td>TATA.</td> </tr> </tbody> </table>		FY 2014	<b>Measure</b>	See performance goal 2.15 (part II above)	<b>Targets</b>	See performance goal 2.15 (part II above)	<b>Results</b>	FY 2013: 90% of responses made within 7 days. FY 2012: 97% response within 7 days. FY 2011: Established semi-automated tracking system (met target).	<b>Source</b>	TATA.
	FY 2014										
<b>Measure</b>	See performance goal 2.15 (part II above)										
<b>Targets</b>	See performance goal 2.15 (part II above)										
<b>Results</b>	FY 2013: 90% of responses made within 7 days. FY 2012: 97% response within 7 days. FY 2011: Established semi-automated tracking system (met target).										
<b>Source</b>	TATA.										
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;"></th> <th style="width: 50%;">FY 2014</th> </tr> </thead> <tbody> <tr> <td style="background-color: #0070C0; color: white;"><b>Measure</b></td> <td>NA</td> </tr> <tr> <td style="background-color: #0070C0; color: white;"><b>Targets</b></td> <td>NA</td> </tr> <tr> <td style="background-color: #0070C0; color: white;"><b>Results</b></td> <td>                     FY 2013: NA, as no congressional requests were received.                      FY 2012: Exceeded 65-day internal timeframe. Congressional staff requested 1395 reports on or about May 2 for delivery by September 1. 1325 reports delivered by September 1, 5 delivered after the deadline and the rest were withdrawn.                      FY 2011: NA. No legislative reports were processed in FY 2011 because no omnibus trade bill was introduced in Congress that required advice from the Commission.                 </td> </tr> <tr> <td style="background-color: #0070C0; color: white;"><b>Source</b></td> <td>TATA.</td> </tr> </tbody> </table>		FY 2014	<b>Measure</b>	NA	<b>Targets</b>	NA	<b>Results</b>	FY 2013: NA, as no congressional requests were received. FY 2012: Exceeded 65-day internal timeframe. Congressional staff requested 1395 reports on or about May 2 for delivery by September 1. 1325 reports delivered by September 1, 5 delivered after the deadline and the rest were withdrawn. FY 2011: NA. No legislative reports were processed in FY 2011 because no omnibus trade bill was introduced in Congress that required advice from the Commission.	<b>Source</b>	TATA.
	FY 2014										
<b>Measure</b>	NA										
<b>Targets</b>	NA										
<b>Results</b>	FY 2013: NA, as no congressional requests were received. FY 2012: Exceeded 65-day internal timeframe. Congressional staff requested 1395 reports on or about May 2 for delivery by September 1. 1325 reports delivered by September 1, 5 delivered after the deadline and the rest were withdrawn. FY 2011: NA. No legislative reports were processed in FY 2011 because no omnibus trade bill was introduced in Congress that required advice from the Commission.										
<b>Source</b>	TATA.										

<b>Performance goal 2:</b> Provide timely, effective, and responsive nomenclature, trade data, and related technical services to customers. — cont'd		
	FY 2013	FY 2014
<b>Measure</b>	(d) Updated HTS posted to website within 2 working days of effective date.	NA
<b>Targets</b>	Posting in 2 working days.	NA
<b>Results</b>	FY 2013: Target dates met Q1–Q3. Files were posted after the acceptable effective date period in Q4 to ensure that updates reflected Presidential proclamation at the end of the quarter. Production, review and posting all proceeded efficiently and on schedule. FY 2012: All updates to the HTS were prepared and posted within 2 days of the effective date of the proclamation or other applicable legal instrument. FY 2011: The 2011 HTS and revisions posted on or before effective date.	
<b>Source</b>	TATA	
	FY 2013	FY 2014
<b>Measure</b>	(e) Promptly process requests to the 484(f) Committee and notify requesters of receipt and actions taken.	NA
<b>Targets</b>	<ul style="list-style-type: none"> <li>• Acknowledge request within 5 working days of receipt;</li> <li>• Notify petitioners electronically of Committee decisions within 5 working days;</li> <li>• Notify petitioners in writing within 5 working days after implementation of statistical modifications of the HTS</li> </ul>	NA
<b>Results</b>	FY 2013: 14 requests received; all notifications were within 5 working days FY 2012: 18 requests received during FY 2012 and all steps listed above were completed within the deadlines. FY 2011: Target partially met. By the end of the FY, all steps listed above were completed within the deadlines.	
<b>Source</b>	TATA.	

Several measures have been used to track the quality and timeliness of the tariff nomenclature expertise that the Commission offers its stakeholders. The first two measures pertain to Commission responses to online inquiries from the public through the agency website's "HTS help" function; in FY 2013, the number of such responses was about 3,200. Unsolicited feedback received from customers has been almost unanimously positive. Two streams of email information are tracked, one from online Helpline functionality and the other from direct communications between the public and Commission staff.

The Commission dropped other measures previously used because the new HTS production system and sufficient management controls are expected to assure performance.

## Trade Policy Support

### OVERVIEW

The Commission provides trade policymakers with technical expertise, information, and objective analysis on international trade and competitiveness issues in order to support the development of well-informed U.S. international trade policy. The support provided is entirely driven by customer requests. For FY 2013, the Commission set performance goals aimed at ensuring timely, effective responses to requests and ensuring that customers are aware of the agency’s capabilities so they can benefit from its expertise. The Commission met four of the six targets and made progress on the remaining two.

The Commission’s ability to respond quickly to requests for trade policy support from both the legislative and executive branches both complements and draws upon work in all other strategic operations and is primarily performed pursuant to 19 U.S.C. § 1332. This support encompasses information and analysis on current issues related to trade and competitiveness, technical advice on draft legislation, informal briefings and meetings, temporary reassignments (details) of personnel to other government units, support of litigation activities before World Trade Organization bodies, and assistance to trade delegations and negotiating teams. To implement legislation on trade policy decisions that modify the HTS, the Commission also drafts Presidential proclamations, memoranda, executive orders, and final decisions issued by various agencies.

With the adoption of a new Strategic Plan beginning in FY 2014, Trade Policy Support, along with Industry and Economic Analysis and Tariff and Trade Information Services are mostly covered by a single strategic goal (SG2). Although none of the Trade Policy Support performance goals described below carry over directly, the FY 2014–15 annual performance plan contains performance goals that maintain the same general concepts of ensuring high levels of customer interaction and delivering timely, effective information in an efficient manner.

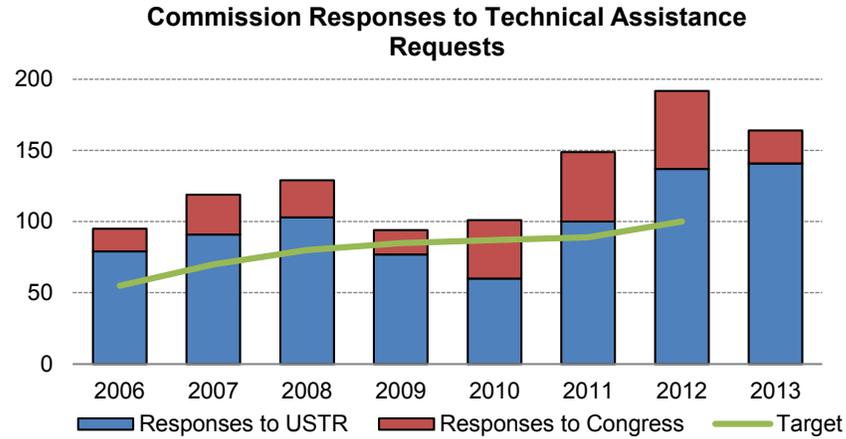
### IMPROVING THE TIMELINESS AND EFFECTIVENESS OF TRADE POLICY SUPPORT

Providing enhanced real-time, efficient, and effective technical information and analysis to support the agency’s primary customers is integral to the agency’s mission. The Commission has established four measures for this performance goal. The measures focus on improving or monitoring the responsiveness of the Commission to customer requests.

<b>Performance goal 1:</b> Provide enhanced real-time, efficient, and effective technical information and analysis to support organizations involved in trade policy formulation.		
	FY 2013	FY 2014
<b>Measure</b>	(a) Respond to requests from the USTR and members of Congress and their staffs, for technical assistance and analysis on tariff, industry, or trade issues.	NA
<b>Targets</b>	Responses delivered.	NA

**Performance goal 1:** Provide enhanced real-time, efficient, and effective technical information and analysis to support organizations involved in trade policy formulation. — cont'd

**Results**



Note: The metric was changed in FY 2012 from issue areas addressed to responses, a more objective measure, but one that created a break in the series. A numerical target was eliminated for FY 2013.

**Source**

IND.

	FY 2013	FY 2014
<b>Measure</b>	(b) Establish capability for and procedures to enhance electronic delivery of classified products.	NA
<b>Targets</b>	Capability established.	NA
<b>Results</b>	FY 2013: Progress made, but target not fully met. FY 2012: Progress made, but capability not yet established. FY 2011: Capability not established.	
<b>Source</b>	ER and OCIO.	
	FY 2013	FY 2014
<b>Measure</b>	(c) Efficiently utilize database to track technical assistance requests.	NA
<b>Targets</b>	All offices providing technical assistance use the database appropriately.	NA

<b>Performance goal 1:</b> Provide enhanced real-time, efficient, and effective technical information and analysis to support organizations involved in trade policy formulation. — cont'd		
<b>Results</b>	FY 2013: Full utilization of the database was delayed (target not met). FY 2012: Database tested and initial revisions implemented. Data entry procedures tested. Identified necessary steps before full rollout is implemented (target not met). FY 2011: Progress made toward developing a software-based tracking system, although development and tests were not completed (target partially met).	
<b>Source</b>	IND.	
	FY 2013	FY 2014
<b>Measure</b>	(d) Issue 96% of responses to Congressional letters on time, in accordance with internal procedures.	NA
<b>Targets</b>	96% timely.	NA
<b>Results</b>	FY 2013: 96% on time. FY 2012: 100% on time. FY 2011: 100% on time.	
<b>Source</b>	ER and GC.	

Technical assistance is provided primarily to help inform the requestors' decision-making when they are considering potential or proposed legislation or policy options. Such information may result in requestors developing, supporting, opposing, or revising their stance on an issue. Performance goal 1 aids performance improvement efforts by focusing on the agency's responsiveness to the requests of customers and implementing internal controls related to the handling of requests and responses. The two targets that deal directly with the products delivered to customers were both met. The Commission responded to over 164 requests for technical assistance products and met its target for timely responses to congressional correspondence. The targets that were not met address improvements in internal Commission record keeping and establishing an electronic delivery system for delivering highly sensitive products. The Commission expects to complete these initiatives in FY 2014.

## IMPROVING COMMUNICATION WITH STATUTORY CUSTOMERS

The second performance goal focuses on ensuring that the Commission's statutory customers are aware of the kinds of assistance they can seek and that they are able to benefit fully from the Commission's expertise. To this end, the Commission seeks customer feedback on the usefulness of assistance that has been provided and reaches out to new staff working for our statutory customers.

<b>Performance goal 2:</b> Ensure that the Commission's customers are fully informed of the agency's capabilities and are able to benefit from its expertise.		
	FY 2013	FY 2014
<b>Measure</b>	(a) Focus outreach activities regarding Commission capabilities on new congressional oversight committee staff.	NA
<b>Targets</b>	FY 2013 Contacts made with new staff.	FY 2014 NA
<b>Results</b>	FY 2013: Developed 7 new contacts, including new oversight Committee staff. FY 2012: Developed 15 new contacts, including new oversight Committee staff. FY 2011: Developed 12 new contacts, including new oversight Committee staff.	
<b>Source</b>	IND and ER.	
	FY 2013	FY 2014
<b>Measure</b>	(b) Seek feedback from USTR regarding satisfaction with technical assistance products.	NA
<b>Targets</b>	Feedback sought.	NA
<b>Results</b>	FY 2013: Feedback solicited, though not received, from USTR. FY 2012: Feedback solicited, though not received, from USTR. FY 2011: Feedback received from USTR.	
<b>Source</b>	IND and ER.	

The Commission reaches out to its principal customers—USTR, the Senate Finance Committee, and the House Ways and Means Committee—to ensure that new staff members at those organizations are aware of the types of technical support the Commission can provide. As the Commission develops new capabilities, agency staff also communicates with customers to inform them of these enhancements. In FY 2013 the Commission met its target to conduct outreach with its oversight committees. Agency efforts to obtain feedback from USTR on a regular basis were less successful. For FY 2014, Commission staff will continue to focus on improving communication with agency customers and using their feedback to inform ongoing quality improvement efforts.

## Commission Management Goals

### OVERVIEW

Improving performance of support functions is integral to mission accomplishment. The Commission set management goals beginning in FY 2012 to address management challenges in the areas of Human Resources, Acquisitions, Financial Management, and Information Technology. The goals and FY 2013 performance are described below.

### IMPROVING HIRING AND PROFESSIONAL DEVELOPMENT PRACTICES

The Commission seeks to employ and retain the most highly skilled professional staff possible in order to achieve its mission. To ensure the best candidates are selected in a timely manner and that its current workforce maintains the skills to best align with its mission, the Commission has enhanced efforts to monitor and improve performance with regard to its hiring and professional development practices. Specifically, the Commission is focusing on increasing efficiency in the processing of hiring actions, improving customer satisfaction with hiring practices and professional development and maintaining complete and accurate hiring records. The Commission also hopes to achieve greater efficiency and effectiveness in its human capital management by converting all human capital related paper processes to electronic processes by FY 2018. Progress toward this goal will be included as an official performance goal for the Commission beginning in FY 2014.

The FY 2013 results for the Commission's human capital management goals are as follows:

<b>Management goal:</b> Improve effectiveness and efficiency of hiring and professional development practices.		
	FY 2013	FY 2014
<b>Measure</b>	(a) Improve timeliness in delivery of certified candidate lists to selecting officials from the receipt of completed hiring request.	See performance goal M1.12 (part II above)
<b>Targets</b>	Improve timeliness in delivering lists by 5% over FY 2012.	See performance goal M1.12 (part II above)
<b>Results</b>	<p>FY 2013: The FY 2013 average of 72.1 days from hiring action to issuance of certified list was higher than the baseline of 59.5 days (target not met).</p> <p>FY 2012: Although substantial progress was made toward establishing the baseline, it was not established by the targeted deadline. In early October 2012, a baseline of 59.5 days for delivering certified candidate lists to selecting officials (from the receipt of completed hiring request) was established.</p>	
<b>Source</b>	Office of Human Resources (HR).	
	FY 2013	FY 2014
<b>Measure</b>	(b) Improve upon FY 2012 baseline of relevant stakeholder satisfaction with hiring practices.	See performance goal M1.13 (part II above)
<b>Targets</b>	5% increase in stakeholder satisfaction over FY 2012 level.	See performance goal M1.13 (part II above)

<b>Management goal:</b> Improve effectiveness and efficiency of hiring and professional development practices. — cont'd		
<b>Results</b>	FY 2013: 42.4% positive response rate for the annual Office of Administrative Services (OAS) customer service survey related to stakeholder satisfaction with hiring practices (target not met). FY 2012: Baseline established as 53% customer service satisfaction with hiring practices (target met).	
<b>Source</b>	OAS.	
	FY 2013	FY 2014
<b>Measure</b>	(c) Improve accuracy of records regarding hiring procedures, based on internal review.	See performance goal M1.14 (part II above)
<b>Targets</b>	Improve on FY 2012 baseline by 5%.	See performance goal M1.14 (part II above)
<b>Results</b>	FY 2013: Comparison between 2012 baseline and 2013 results was not possible, as procedures changed. New procedures represent a significant improvement (target partially met). FY 2012: Baseline established as 88% of all files tested found to be complete and accurate (target met).	
<b>Source</b>	OAS.	
	FY 2013	FY 2014
<b>Measure</b>	(d) Improve satisfaction with professional development opportunities.	See performance goal M1.15 (part II above)
<b>Targets</b>	10% increase in stakeholder satisfaction over FY 2012 level.	See performance goal M1.15 (part II above)
<b>Results</b>	FY 2013: 31.1% positive response rate for questions on the FY 2013 annual OAS customer service survey related to customer satisfaction with hiring practices (target not met). FY 2012: Baseline customer satisfaction level established as 31% positive customer service rating for professional development services (target met).	
<b>Source</b>	OAS.	

As the data above indicate, the Commission faced challenges meeting the targets set for FY 2013. With regard to recruiting, the Commission set a goal of improving the effectiveness of the hiring process and moving toward achieving hiring times that fit within the Office of Personnel Management's (OPM) End-to-End Hiring Initiative to contribute to agency efforts to employ and retain qualified staff. The agency did not achieve its targeted improvement in processing times during 2013. After review of the hiring actions conducted during FY 2013, the Commission has decided that improving in this area will require both continued emphasis on streamlining processes and a reconsideration of the measure used to determine processing efficiency. The hiring process is very complex, with multiple contributors and stakeholders and the measure in use does not adequately capture information vital to determining where problem areas exist in the Commission's hiring process. In response

to this, the Commission is adopting a new measure for 2014 that gauges improvement in the efficiency and effectiveness of hiring practices by the number of service level agreements entered into between HR and selecting officials that are completed within the agreed on period. The Commission believes that monitoring and improving processing efficiency for hiring actions will aid in this effort by helping to prevent loss of high-quality candidates due to unnecessary delays in hiring.

Improving the completeness and accuracy of record-keeping practices also serves to decrease the likelihood of delays and errors in processing hiring actions, which could prevent the agency from hiring the most desirable candidates. For this reason, the Commission reviews its hiring action files for accuracy and completeness. During FY 2013 the Commission made significant improvements in this area and hopes to improve upon this success during FY 2014.

Assessing and improving overall satisfaction with hiring and professional development practices among Commission managers and staff also offers the agency ways to improve its efforts to recruit and retain staff with mission-critical skills and to improve employee morale. Internal feedback provides valuable information regarding the effectiveness of current practices and procedures and their impact on the quality of the candidate pools and the quality of professional development guidance and opportunities. In FY 2013, stakeholder satisfaction in both areas did not meet improvement targets, however there were questions regarding the measures used to make a determination of stakeholder satisfaction with recruitment and career development. Because of this, the Commission will expand its data-gathering efforts in these areas during FY 2014 to better determine where the highest levels of dissatisfaction are. Based upon the results of these more detailed reviews, and to the extent financial and staff resources are available, efforts will be made to improve satisfaction levels in the coming fiscal years.

## ACQUISITIONS

During FY 2013 the Commission established three measures and targets related to improving the effectiveness and efficiency of acquisitions. All three focus on the timeliness, quality, and accuracy of acquisition information. The goal to provide timely, accurate, and complete acquisition data continues into FY 2014 as the agency strives to complete procurement actions more efficiently and effectively.

<b>Management goal:</b> Improve effectiveness and efficiency of acquisitions.		
	FY 2013	FY 2014
<b>Measure</b>	(a) Improve timeliness of key elements in procurement process	See performance goals M1.22(a) and M1.22(c) in part II above
<b>Targets</b>	Improve timeliness in accomplishing key elements by 5% over baseline	See performance goals M1.22(a) M1.22(c) in part II above
<b>Results</b>	FY 2013: The Office of Procurement exceeded the FY2013 established target of processing 95% of procurement actions within the ranges established on the agency's Procurement Action Lead Time (PALT) policy. FY 2012: Baseline of 90% of procurement actions were processed within date ranges established on the PALT (target met).	
<b>Source</b>	Office of Procurement (PR).	

<b>Management goal:</b> Improve effectiveness and efficiency of acquisitions. — cont'd		
	FY 2013	FY 2014
<b>Measure</b>	(b) Improve stakeholder satisfaction with acquisition process	NA
<b>Targets</b>	5 percentage point increase in stakeholder satisfaction over FY 2012 level	NA
<b>Results</b>	FY 2013: The Office of Procurement exceeded the FY 2013 established target of 67% (62% FY 2012 base plus 5 percentage point increase). The office received an overall rating of 70% for FY 2013 customer satisfaction. FY 2012: Established a baseline of 62% user satisfaction (target met).	
<b>Source</b>	PR.	
	FY 2013	FY 2014
<b>Measure</b>	(c) Ensure completeness and accuracy of contract files.	See performance goal M1.22(b) in part II above
<b>Targets</b>		See performance goal M1.22(b) in part II above
<b>Results</b>	FY 2013: 96 % of procurement actions were processed within the PALT ranges. FY 2012: Baseline of 90 established (target met).	
<b>Source</b>	PR, Office of Finance (FIN), contracting officer's representatives (CORs), and cost center managers, as reported by PR.	

The Commission met all FY 2013 targets associated with the three measures set forth for this management goal. The first target was met by building upon the previously developed Procurement Action Lead Time (PALT) document. The PALT document was developed in FY 2012 by analyzing the lead times of other agencies with a similar acquisition profile to the Commission and a "Procurement Log" which tracked the dates of receipt of requisition and award of contract for various completed acquisition actions. The PALT baselines, combined with internal agency feedback, resulted in more efficient and effective acquisition workflows. During FY 2013, the acquisition processes were strengthened to ensure contract processing was well within the timelines of the PALT. Ninety-six percent of the procurement actions were completed within procurement action lead times; internal customer satisfaction exceeded the established target of 67% by 3 percentage points.

The final measure was designed to ensure the accuracy and completeness of the Commission's acquisition files. During FY 2013, the Commission tested all awarded contract files, on a quarterly basis, for completeness and accuracy, and all errors were corrected and noted in the respective files. Not only did this quality control review result in more accurate contract files, the accounting system was updated to reflect correct contract data.

Much has been accomplished during FY 2013 in the area of acquisition processes. Based on the results of the three FY 2013 measures, the Commission will move forward in FY 2014 by continually reviewing acquisition processes and consistently performing contract file reviews to achieve accurate acquisition data.

## IMPROVING FINANCIAL MANAGEMENT CONTROLS

The Commission’s goal to improve financial management controls during FY 2013 was intended to ensure that the underlying financial processes fully supported accurate and timely financial reporting within the Commission, as well as to the Office of Management and Budget and Congressional committees. The Commission met all targets associated with the three measures set forth for this management goal.

<b>Management goal:</b> Improve financial management controls.		
	FY 2013	FY 2014
<b>Measure</b>	(a) Provide recurring financial system reports to Office Directors and Cost Center Managers (CCMs) throughout the agency that are useful in managing operations	See performance goal 1.21(a) in part II above
<b>Targets</b>	Enhance reports based on Director and CCM feedback	See performance goal 1.21(a) in part II above
<b>Results</b>	FY 2013: FY 2013 reports were enhanced based on the feedback received. Additionally, the office improved accessibility to financial reports through the use of SharePoint (target met). FY 2012: 100 percent of reports were issued to auditors when requested. Baseline established of 14 days to provide internal management reports after monthly financial accounts are closed (target met).	
<b>Source</b>	Office of the Chief Financial Officer (OCFO).	
	FY 2013	FY 2014
<b>Measure</b>	(b) Work toward mitigating material weaknesses and significant deficiencies in the annual audit	See performance goal M1.23(a) in part II above
<b>Targets</b>	Mitigate material weaknesses by 30%	See performance goal M1.23(a) in part II above
<b>Results</b>	FY 2013: Target met. FY 2012: Target met. Baseline of 95 percent confidence level of elimination of improper payment established.	
<b>Source</b>	OCFO.	
	FY 2013	FY 2014
<b>Measure</b>	(c) Continue to assess the level of compliance and document the internal control structure	NA
<b>Targets</b>	FY 2013 Identify and document internal controls	FY 2014 NA

<b>Management goal:</b> Improve financial management controls. — cont'd	
<b>Results</b>	<p>FY 2013: OCFO updated the Financial Management Manual. Documentation is in compliance with applicable laws, regulations, standards, and guidelines as well as current business processes (target met).</p> <p>FY 2012: Compliance program established, documented and assessed to ensure complete and accurate accounting system with open contracts (target met).</p>
<b>Source</b>	OCFO.

The first FY 2013 target—enhanced reports based on senior management feedback—was met. Additionally, the Director of Finance improved accessibility to all financial reports through the use of the Commission’s Share-Point site. The measure to provide recurring financial system reports to office directors and CCMs throughout the agency has been redefined as a FY 2014 goal under the Budget Director. The second measure—mitigating material weaknesses and significant deficiencies in the annual audit—was met as well, and the result was a FY 2013 unqualified audit opinion with zero material weaknesses and zero significant deficiencies. The third measure was to assess the level of compliance and document the internal control structure. The supporting target of identifying and documenting financial internal controls was met and will continue to be an ongoing process within the OCFO.

The OCFO initiated the start of a financial management transformation during FY 2013. The Chief Financial Officer continues to address staff requirements to ensure that the skills needed to address financial management and internal control issues can be consistently obtained. OCFO will continue to document, refine, and test financial processes in an effort to ensure timely and accurate financial reporting.

The Director of Finance will manage the FY 2014 goal of maintaining an annual unqualified audit opinion. Consistent review and modifications to financial processes should ensure an unqualified opinion going forward.

## INFORMATION TECHNOLOGY (IT)

The Commission's goal to improve IT resources is intended to ensure that these resources support the agency's mission by interacting with stakeholders and implementing management controls which align with federal policies, standards and guidelines for protecting its information systems. The six measures and targets for FY 2013 quantify how the OCIO supports this goal. As described below, the Commission met five of its targets in FY 2013, with the sixth target being partially met, and it established baselines where none existed through the dedicated efforts of its staff. It will continue striving to improve the delivery of IT solutions to better support the Commission's customers through 2015.

In an effort to maintain effective delivery of IT service [Measure 4.a], during FY 2013 the OCIO solicited stakeholder feedback on numerous topics. The feedback was expected to help OCIO to identify and prioritize new IT initiatives, or update existing services to meet user needs and improve management policies. Along with continuous surveys of service desk use and IT development support, OCIO distributed surveys on mobile device preferences and overall OCIO services. The surveys assessing the contribution of IT resources to mission accomplishment indicated the target was met, with the results being generally positive for a majority of the respondents.

For over a decade, the Commission had struggled with a management mandate to provide itself with a disaster recovery (DR) and continuity of operations (COOP) solution to ensure that the agency had the capacity to resume IT operations in the event of a failure at the headquarters facility. For that reason, the Commission established a one-time measure [measure 4.b] in FY 2013 to see to it that this challenge was overcome and a DR site established. During the first half of the year, OCIO delivered the Commission's first DR/COOP capability, ensuring access to critical data, systems, and information in times of emergency.

The implementation of this second data processing facility not only required the initial steps of design, acquisition, development, testing, and deployment, but also required doubling the Commission's network processing and support capability, as data are constantly replicated to the DR site. To make this possible, many core technology platforms and critical systems supporting the Commission's daily activities were upgraded with more current technologies. These included e-mail, file sharing, remote access, printing service, and all of the Commission's major software applications such as EDIS, DataWeb, and HTS Search. External access to these systems was brought into compliance with the Federal encryption standard. These upgrades were necessary to mitigate significant security risks (some platforms being ten years old), to achieve needed cost savings, and to maintain Commission productivity should a COOP situation occur. The additional hardware and software used by the DR site continues to be managed and maintained without increases to OCIO staff levels.

Through compliance with required practices for effectively managing information records, the Commission met its target [measure 4.c] of significantly raising its self-assessed score in FY 2013 over the previous year's baseline. Highlights of the year were consolidation of most electronic records into a single file share, which now serves as a records repository, and the establishment of an annual records management training program.

Ensuring the security of its network and associated information is an ongoing top priority for the Commission as it continuously seeks to evolve its risk-based security program with improvements to reduce IT systems vulnerability. In FY 2013, the Office of Enterprise Security Management (ESM) coordinated with the Department of Homeland Security's (DHS) Cyber Hygiene Program to begin conducting weekly perimeter scans of our network. OCIO has used these scans to close vulnerabilities on perimeter services. ESM also acquired approval to access the Homeland Security Data Network (HSDN) via DHS to allow secure transfer of national security materials. Finally ESM coordinated with other OCIO divisions to review and redesign the agency's current network infrastructure to provide a more secure and manageable network footprint. For FY 2014 the Commis-

sion set forth a new performance goal to ensure the Commission's compliance with federal requirements for establishing other security procedures. These include deploying the Trusted Internet Connection (TIC) in FY 2014 to establish an additional layer of monitoring and security on all internet traffic into and out of the Commission, and deploying the initial operating capability of HSPD-12 at the Commission in FY 2015 to better manage internal authentication and access to the network and its systems.

In its effort to support productivity gains for Commission staff [measure 4.d], FY 2013 ESM both initiated and made significant progress in developing the new IT platform to manage and access the Harmonized Tariff Schedule (HTS). Using an agile and collaborative development approach, the HTS project team has been developing software functionality which aligns with and supports actions taken to implement an improved and more efficient process within the Office of Tariff Affairs and Trade Agreements for managing the HTS. This goal was considered to be only partially met as startup of the HTS development project was delayed because funding and project approval were provided later than anticipated. Full implementation is expected in the second quarter of FY 2014.

The Commission met its target [measure 4.e] of maintaining a very high level of availability for its major network and software systems in FY 2013. Most outage time was planned to accommodate software or operating system upgrades, was conducted during non-business hours, and was significantly reduced in FY 2013 as a result of system and architectural upgrades. The Commission will continue to track this measure in FY 2014 but will expand this metric to include more systems. In addition, it will add another measure of the agency's ability to provide transparent, real-time access to major data sets in machine-readable format as stipulated in the Open Data policy.

<b>Management goal:</b> Improve IT resources.		
	FY 2013	FY 2014
<b>Measure</b>	(a) Increase stakeholder assessment of the contribution of IT resources to mission accomplishment.	See performance goal M1.31(b) in part II above
<b>Targets</b>	Develop and apply survey; achieve score indicating significant contributions.	See performance goal M1.31(b) in part II above
<b>Results</b>	FY 2013: Survey developed and applied; results generally positive for majority of respondents (target met).	
<b>Source</b>	OCIO.	
	FY 2013	FY 2014
<b>Measure</b>	(b) Establish initial operating capability of the disaster recovery site.	
<b>Targets</b>	Deliver initial operating capacity	NA
<b>Results</b>	FY 2013: Disaster recovery site fully online (target met).	
<b>Source</b>	OCIO.	

<b>Management goal: Improve IT resources. — cont'd</b>		
	FY 2013	FY 2014
<b>Measure</b>	(c) Effectively manage Commission records.	See performance goals M1.33(a) and M1.33(b) in part II above
<b>Targets</b>	Achieve 80% score on annual NARA self-assessment.	See performance goals M1.33(a) and M1.33(b) in part II above
<b>Results</b>	FY 2013: Target met. FY2013 average 94% exceeded the baseline of 80%. FY 2012: Target met. Baseline score on the annual NARA self-assessment set at 80%.	
<b>Source</b>	OCIO.	
	FY 2013	FY 2014
<b>Measure</b>	(d) Use information technology to support productivity gains.	See performance goal 2.11(b) in part II above
<b>Targets</b>	<ul style="list-style-type: none"> <li>Develop an HTS database and interfaces to enable data maintenance and printable files that satisfy approved requirements of internal and external stakeholders.</li> <li>Work with other office directors to develop other productivity enhancements consistent with available resources.</li> </ul>	<p>See performance goal 2.11(b) in Part II above</p> <p>See performance goals 1.13, 1.21(a), and 2.11(a) in part II above.</p>
<b>Results</b>	<p>FY 2013: Target partially met:</p> <ul style="list-style-type: none"> <li>Delays related to funding uncertainty; steady progress since project began, with implementation expected in 2nd quarter FY 2014</li> <li>Lack of available resources slowed efforts to develop other productivity enhancements</li> </ul> <p>FY 2012: One hundred percent of the agency's IT systems had a valid authority to operate in 2012 (Target met).</p>	
<b>Source</b>	OCIO.	
	FY 2013	FY 2014
<b>Measure</b>	(e) Ensure system availability for all major USITC platforms.	See performance goal M1.31(a) in part II above
<b>Targets</b>	95%.	See performance goal M1.31(a) in part II above
<b>Results</b>	<p>FY 2013: Target met. Average score for FY 2013 was 99%.</p> <p>FY 2012: Target met. Baseline set at 95% network and system availability for all major USITC platforms (CNIF, DataWeb, and EDIS).</p>	
<b>Source</b>	OCIO.	

# APPENDIX A

## U.S. 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 petition, 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 the Commission's six 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 or send the matter back to the ALJ for further consideration. Temporary relief may be granted in certain cases.

#### 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:

- 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. The Office of Industries maintains technical expertise related to the performance and global competitiveness of U.S. industries and the impact of international trade on those industries for these studies and import injury investigations.

- The **Office of Investigations (INV)** conducts import injury investigations to fulfill the Commission's investigative mandates, 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 HTS 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 the library, editorial, knowledge resources, and statistical services.

## Office of External Relations

The **Office of External Relations (ER)** develops and maintains liaison between the Commission and its diverse external customers and is the point of contact with USTR and other executive branch agencies, Congress, foreign governments, international organizations, the public, and the media. The Commission's 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 its customers. Through its staff and subsidiary offices, the OCIO seeks to promote, deliver, and manage the secure and efficient application of technology to the Commission's business activities. Component offices include Information Technology Services (ITS) and Enterprise Security Management (ESM).

## 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 the Commission's internal control program in accordance with FMFIA 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; facilities management services, and is responsible for all Commission 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 the effectiveness, efficiency, and integrity of the Commission. The OIG 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 Commission, 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 the Agency's 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

## FY 2013 INDUSTRY AND ECONOMIC ANALYSIS PUBLICATIONS

### FY 2013 Industry and Economic Analysis Publications

*The Information Technology Agreement: Advice and Information on the Proposed Expansion, Part I*  
USITC Investigation No. 332-532, Publication 4355, October 2012

*Remanufactured Goods: An Overview of the U.S. and Global Industries, Markets, and Trade*, USITC  
Investigation No. 332-525, Publication 4356, November 2012

*Used Electronic Products: An Examination of U.S. Exports*, USITC Investigation No. 332-528, Publication  
4379, February 2013

*Environmental and Related Services*, USITC Investigation No. 332-533, Publication 4389, March 2013

*The Information Technology Agreement: Advice and Information on the Proposed Expansion, Part 2*, USITC  
Investigation No. 332-536, Publication 4382, March 2013

*Advice Concerning Possible Modifications to the U.S. Generalized System of Preferences, 2012: Review of Additions  
and Competitive Need Limitation Waivers*, USITC Investigation No. 332-538, Publication 4391, April 2013

*Textile and Apparel Imports from China: Statistical Reports*, USITC Investigation No. 332-501, Publication  
4394, May 2013

*U.S.-Korea Free Trade Agreement: Effects on U.S. Small and Medium-Sized Enterprises*, USITC Investigation No.  
332-539, Publication 4393, May 2013

*Earned Import Allowance Program: Evaluation of the Effectiveness of the Program for Certain Apparel from the  
Dominican Republic; Fourth Annual Review*, USITC Investigation No. 332-503, Publication 4417, July 2013

*Recent Trends in U.S. Services Trade*, USITC Investigation No. 332-345, Publication 4412, July 2013

*The Year in Trade 2012*, USITC Investigation No. 161-001, Publication 4416, July 2013

*Digital Trade in the U.S. and Global Economies, Part 1*, USITC Investigation No. 332-531, Publication 4415,  
August 2013

*Olive Oil: Conditions of Competition between U.S. and Major Foreign Supplier Industries*, USITC Investigation  
No. 332-537, Publication 4419, August 2013

*Caribbean Basin Economic Recovery Act: Impact on U.S. Industries and Consumers and on Beneficiary Countries,  
Twenty-first Report, 2011–12*, USITC Investigation No. 332-227, Publication 4428, September 2013

*Renewable Energy and Related Services: Recent Developments*, USITC Investigation No. 332-534, Publication  
4421, September 2013



500 E Street, SW  
Washington, DC 20436