United States
International Trade Commission

Annual Performance Plan, FY 2016–2017 and Annual Performance Report, FY 2015

Contents

Abbreviations and Acronyms

Acronyms	Term
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
FIN	Office of Finance
GC	Office of the General Counsel
GPRA	Government Performance and Results Act
GSP	Generalized System of Preferences
GTAP	Global Trade Analysis Project (Center for Global Trade Analysis, Purdue University)
HR	Office of Human Resources
HTS	Harmonized Tariff Schedule of the United States
ID	initial determination
IG	Inspector General
IND	Office of Industries
INV	Office of Investigations
IP	intellectual property
IPR	intellectual property rights
IT	information technology
ITDS	International Trade Data System
NAFTA	North American Free Trade Agreement
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

Acronyms	Term
OEEO	Office of Equal Employment Opportunity
OIG	Office of 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
TBT	technical barriers to trade
TEO	temporary exclusion order
TRAO	Trade Remedy Assistance Office
URAA	Uruguay Round Agreements Act
USAGE	U.S. Applied General Equilibrium
USITC	U.S. International Trade Commission
USTR	U.S. Trade Representative
WCO	World Customs Organization
WTO	World Trade Organization

Message from the Chairman

I am pleased to transmit the U.S. International Trade Commission's Annual Performance Plan for FY 2016–2017 and the Annual Performance Report for FY 2015. This combined report describes the agency's programmatic and management goals for FY 2016 and FY 2017, documents our performance and accomplishments for FY 2015, and discusses challenges going forward.

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

I provide a brief overview of the Commission's key accomplishments in FY 2015 below:

Key Accomplishments in FY 2015

- In FY 2015, the Commission adjudicated 50 disputes under Section 337 of the Tariff Act of 1930. In these disputes, the Commission determines whether imports have infringed intellectual property rights or injured a domestic industry through unfair competition or other unfair acts like trade secret misappropriation. These investigations are demanding, complex and often involve multiple parties, large numbers of patents and/or patent claims. Moreover, they typically cover a wide range of technologies of cutting-edge technologies, such as LED lights, activity trackers, smart phones, smart televisions, tablets and other wireless devices, and semiconductors. During the year, the Commission continued to reduce the length of these investigations and proceedings, simplify the discovery process, and implement pilot programs designed to reduce the costs and burdens imposed on parties. The Commission is also working to implement electronic service of documents, and develop additional ways to make information in section 337 investigations more accessible to the public.

- In FY 2015, the Commission also completed 47 investigations and reviews under Title VII of the Tariff Act of 1930. In these proceedings, the Commission determines whether dumped or subsidized imports have materially injured, or are likely to cause material injury, to a domestic industry. During the year, these proceedings covered a wide range of products, such as sugar, tires, diamond sawblades, and shipping containers, as well as steel and chemical products. As in the section 337 area, the Commission has streamlined its Title VII proceedings and reduced burdens on parties by refining its use of electronic data collection and analysis.

- In FY 2015, drawing on its economic modeling expertise and extensive international trade and industry knowledge, the Commission provided state-of-the-art economic analyses to the President, the USTR and Congress. During the year, it prepared a comprehensive analysis of the global competitiveness of the U.S. rice industry, an assessment of the impact of recent changes in Indian trade and investment policies, and advice on the economic effects of providing duty reductions on environmental goods. It also began work on notable studies addressing the effects of U.S. restrictions on U.S. trade with Cuba, the economic effects of U.S. trade agreements concluded since 1984, and the likely impact of the Trans-Pacific Partnership on the U.S. economy.

- During FY 2015, the Commission also took important steps to ensure that it used taxpayer dollars efficiently. Over the course of the fiscal year, the Commission improved the quality of its information collection process and analytic methodologies, the effectiveness of communication with its customers and the public, and the timeliness of its determinations. The Commission also made significant improvements in its information technology security, human resources administration, and the management of its financial resources.

- In FY 2015, the Commission continued to improve internal controls for programmatic, administrative, and financial activities. By doing so, the Commission is better able to ensure that it expends government resources effectively and that its programmatic, administrative and financial reports contain accurate and complete data. In this regard, the agency has developed an enterprise risk management framework and begun integrating enterprise risk management into its planning and budgeting processes.

- Finally, we are proud that, in 2015, the Commission was again ranked as one of the 10 best small federal agencies to work for, based on OPM's Federal Employee Viewpoint Survey. In fact, the Commission improved its ranking in the survey this year.

During the past year, the Commission and its staff have done an excellent job in carrying out our mission. As it approaches its 100th anniversary in September 2016, the Commission will continue to provide high-quality, cutting-edge analysis of international trade issues to the President and Congress, and will remain a highly regarded forum for the adjudication of IP and trade disputes.

Meredith M. Broadbent

February 9, 2016

FY 2016 and 2017 Annual Performance Plan and FY 2015 Annual Performance Report

The U.S. International Trade Commission's combined Annual Performance Plan and Annual Performance Report is based on the FY 2014–FY 2018 Strategic Plan. This report describes the specific performance goals and strategies we have laid out to make progress on our strategic goals and strategic objectives through FY 2017. It also compares our FY 2015 results with the performance goals we published in our FY 2015 Annual Performance Plan. Our planning process is carried out in accordance with the provisions of the Government Performance and Results Act of 1990 (GPRA), as amended by the GPRA Modernization Act of 2010, and related guidance from the Office of Management and Budget.

Mission Statement

In accordance 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.

Agency Information

Overview

International trade and investment increasingly shape the U.S. economy. Trade in goods and services and foreign investment affect U.S. firms, workers, and consumers. As tariff rates have fallen over time, nontariff measures and other policies have become more prominent—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 improve competitiveness. Besides affecting the overall economy, trade and investment policy changes have had significant local impacts on industries and workers.

By law, the Commission plays an important role in analyzing the many ways that changes in trade and competitiveness affect U.S. economic growth, employment, and overall health of the U.S. economy. As an independent, nonpartisan agency, each year we fulfill our mandate to provide the House Committee on Ways and Means, the Senate Committee on Finance, the President, and, by delegation, the U.S. Trade Representative (USTR) with objective, thorough, and thoughtful analysis on various, and often critical, trade issues. We have developed substantial expertise so that we can supply objective, accurate, leading-edge insights to Congress and the Administration. Our reports reflect our expanding abilities to understand,

explain, and estimate the effects of policy changes on producers, consumers, employment, wages, and the U.S. economy as a whole.

The Commission also has specific responsibilities in the application of U.S. trade laws. As the influence of trade in the U.S. and global economies has grown, the role we play in applying these laws to allegations of unfair trade has remained a mechanism on which U.S. firms can rely to compete effectively. Our 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. Our timely resolution of complex intellectual property disputes can be of paramount economic importance to holders of valid U.S. intellectual property rights. We provide support to U.S. Customs and Border Protection (CBP), as needed, to enable effective enforcement of Commission exclusion orders.

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

Our statutory responsibilities present both great opportunities and significant challenges. Key statutory responsibilities are shown in box 1.1.

Box 1.1 Key statutory responsibilities

Tariff Act of 1930
The Commission and the U.S. Department of Commerce (Commerce) are responsible for conducting antidumping (AD) and countervailing duty (CVD) (subsidy) investigations and five-year (sunset) reviews. Commerce determines whether specific imports are dumped or subsidized, and if so, the margin of dumping or amount of subsidy. The Commission determines whether a U.S. industry is materially injured or threatened with material injury by reason of the imports under investigation. If both Commerce and the Commission reach affirmative final determinations, 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, typically an exclusion order, directing U.S. Customs and Border Protection (CBP) to prohibit the importation of infringing articles. (See section 337, Tariff Act of 1930, 19 U.S.C. 1337.)

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

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

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

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

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

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

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

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

Organizational Structure

Commissioners

The USITC is headed by six Commissioners, who are nominated by the President and confirmed by the U.S. Senate. Meredith M. Broadbent, a Republican, is serving as Chairman of the USITC for the term ending June 16, 2016. Dean A. Pinkert, a Democrat, is serving as Vice Chairman. Commissioners currently serving are, in order of seniority, Irving A. Williamson, David S. Johanson, F. Scott Kieff, and Rhonda K. Schmidtlein.

Each of the six Commissioners serves a term of nine years, unless appointed to fill an unexpired term. The terms are set by statute and are staggered with the intent that a different term expires every 18 months.[1] 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

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

- Office of Operations (OP), and its subordinate Offices of Investigations (INV), Industries (IND), Economics (EC), Tariff Affairs and Trade Agreements (TATA), Unfair Import Investigations (OUII), and Analysis and Research Services (OARS);
- Office of the Administrative Law Judges (OALJ);
- Office of the General Counsel (GC);
- Office of External Relations (ER), which also houses the Trade Remedy Assistance Office (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);
- Office of Administrative Services (OAS), and its subordinate Offices of the Secretary (SE), Human Resources (HR), and Security and Support Services (SSS);
- Office of Inspector General (IG); and
- Office of Equal Employment Opportunity (EEO).

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

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[1] 19 U.S.C §1330.

UNITED STATES INTERNATIONAL TRADE COMMISSION
Office-Level Organizational Chart
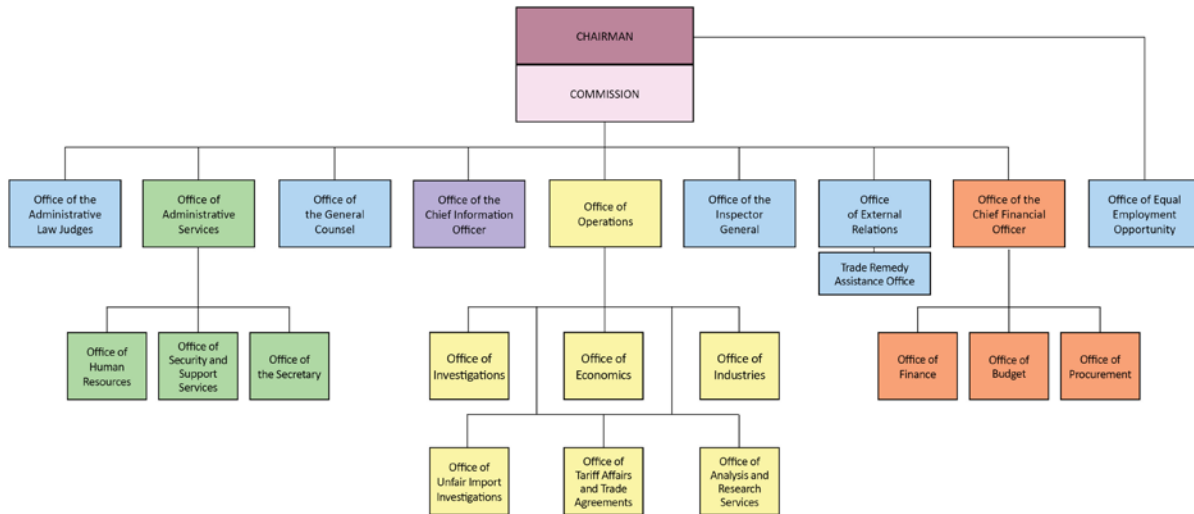
Major Management Priorities, Challenges, and Risks

The Commission identified three management priority areas in its FY 2014–FY 2018 Strategic Plan: human resources, financial management, and information technology. We will continue to focus on upgrading our performance in these areas to fulfill our mission and support government-wide initiatives such as those to prevent improper payments, strengthen cybersecurity, and ensure open data. In FY 2015, we made significant progress in developing an enterprise risk management (ERM) process and integrating ERM into our planning, evaluation, and budgeting processes. As we further develop and implement ERM, we expect to better detect and analyze external and internal factors that could keep us from fully achieving our objectives—and then to manage these risks in a coordinated way.

The Commission's priority areas are consistent with the management challenges noted by the agency's Inspector General (IG). The IG highlighted two management and performance challenges for FY 2015: internal controls and IT management. Several of the annual performance goals supporting our strategic goals are designed to address these challenges, by focusing on improving IT services, increasing access to various types of program data to support our managers' decision making, and continuing efforts to update and improve internal controls. Moreover, while we have received unqualified opinions from financial auditors operating independently under the authority of the IG for the past five years, we need to leverage our existing external reporting capabilities and use them to supply managers with the financial management data they need in a timely way. We expect to build on the incremental progress

achieved over the past few years so that we can provide more than the basic financial management reports to agency managers in FY 2016.

Reviews and Evaluations

Each quarter the Commissioners, the leaders of each strategic or management objective, and other senior staff review progress on our strategic and management objectives and identify and discuss enterprise risks. These reviews, along with the evidence related to specific performance goals and associated risks identified by our managers, inform development of our Annual Performance Plan. We continue to evaluate how to improve our strategic planning and ERM processes and how to make more effective use of the data we collect. Appendix B discusses our data sources for each of the strategic and management objectives and describes our verification and validation process.

The President's budget identifies 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: www.whitehouse.gov/omb/budget.

Structure of the Report

The remainder of this report consists of four sections—one for each of the strategic and management goals and one for our cross-cutting objectives. Each section describes objectives and corresponding performance goals through FY 2017, along with the strategies used to make progress on these goals. The sections also highlight significant accomplishments, as well as areas in which we did not meet our annual targets, and list areas in which we will seek to improve performance in FY 2016 and future years.

Strategic Goal 1
Investigate and Decide: Produce Sound, Objective, and Timely Determinations in Investigative Proceedings

Commission determinations involving imports can have significant impacts on competitive conditions, profitability, and employment in affected U.S. industries. Our investigations are generally requested by private sector entities operating in the United States. They often involve products that are critical to U.S. productivity, innovation, and competitiveness, and businesses may make important decisions as a result of Commission determinations.

The Commission is responsible for administering and applying several U.S. trade laws. These laws cover subsidized and dumped imports that injure U.S. industries; 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 perform thorough investigations and make sound factual findings and legal conclusions. The record in each investigation must be developed and analyzed in an objectively unbiased manner, and the resulting determinations must be well-reasoned, timely, and consistent with the law. We are challenged in these efforts by the increasing complexity of our investigations, our variable caseload, and resource constraints.

 In FY 2015, our workload for these types of investigations was similar to that of FY 2014. See appendix C for more details.

Strategic Objective 1.1.
Reliable Process: Conduct Expeditious and Technically Sound Investigative Proceedings

The Commission is charged with conducting prompt, thorough, and independent investigations and engaging in sound decision making. Parties to our proceedings, which range from individual inventors or small businesses to large multinational corporations, seek reliable processes that ensure fair and timely decisions consistent with applicable U.S. law. Timely decisions are critical to our mission because our import injury investigations have specific statutory deadlines, and we are expected by Congress to resolve our section 337 investigations at the earliest practicable time. Moreover, participants in our investigations need timely decisions to relieve the business uncertainties engendered by these disputes, especially since fast-changing technology can make a product obsolete in just a few years. For all these reasons, we have

developed this strategic objective to ensure that our investigative and decision-making processes are expeditious and technically sound.

We will use a number of strategies to meet this strategic objective. First, we will ensure that Commission determinations are based on sufficient record evidence by examining feedback from agency decision makers as well as decisions of reviewing courts. Next, we will continue our efforts to meet external deadlines—for example, by delivering all import injury reports by the statutory deadlines. We are also aiming to shorten the average length of section 337 investigations. We have already reviewed historical data to pinpoint factors that may lengthen these investigations. Based on this review, we are developing procedures to handle section 337 investigations more efficiently. We will also complete ancillary proceedings within specified guidelines.

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

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

Our efforts to meet this strategic objective may be hampered by budgetary constraints as well as the investigative caseload. We cannot control the number, timing, or breadth of investigation requests we receive. By statute, we must respond to investigation requests within a set time, potentially impacting progress on this objective.

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

Performance goal 1.11

Conclude investigations into alleged section 337 violations within timeframes that are consistent with the Uruguay Round Agreements Act implementing report by FY 2018. [a]

	FY 2015	FY 2016	FY 2017	FY 2018
Target (months)[b]	—	—	—	15 months annual average
Results (months)	15.6	Pending	Pending	Pending
Status	On track to meet target	Pending	Pending	Pending

[a] S. Rep. No. 103-412, at 119 (1994)

[b] Before FY 2016, the target was "12 months for uncomplicated investigations; 18 months for complicated ones." See discussion in text below.

Performance indicator: length of investigations concluded on the merits

Other indicators relevant to the performance indicator:
- number of original investigations and ancillary proceedings instituted per fiscal year
- average number of co-pending investigations
- number of subpoenas that are enforced

Table 1: Historical data

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

Performance goal 1.11(a)

FY 2014

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.

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

Performance indicator: Report to Commission

FY 2015

Develop and approve possible options for classification of investigations into more or less complicated categories by the end of FY 2015.

	FY 2015
Target	Develop classifications
Results	Case analysis completed
Status	Target met

Performance indicator: Classification of investigations

Performance goal 1.11(b)

FY 2014

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

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

Performance indicator: Report to Commission

FY 2015

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

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

Performance indicator: Implementation plan

FY 2016

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

	FY 2016
Target	Proposals implemented
Results	Pending
Status	Pending

Performance indicator: Implementation of proposals

FY 2017

Develop criteria to assess whether implemented proposals have been effective.

	FY 2017
Target	Assessment criteria developed
Results	Pending
Status	Pending

Performance indicator: Assessment criteria

Performance goal 1.11(c)

FY 2014

Establish criteria for assessment of early disposition pilot program.

	FY 2014
Target	Criteria established
Results	Criteria established
Status	Target met

Performance indicator: Assessment criteria

FY 2015

Measure effectiveness of early disposition pilot program.

	FY 2015
Target	Information assessed
Results	Information assessed
Status	Target met

Performance indicator: Assessment of effectiveness

FY 2016

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

	FY 2016
Target	Information assessed; improvements implemented
Results	Pending
Status	Pending

Performance indicator: Assessment of effectiveness

FY 2017

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

	FY 2017
Target	Information assessed; improvements implemented
Results	Pending
Status	Pending

Performance indicator: Assessment of effectiveness

Performance goal 1.11(d)

FY 2014

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

	FY 2014
Target	Criteria established
Results	Criteria established
Status	Target met

Performance indicator: Assessment criteria

FY 2015

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

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

Performance indicator: Assessment criteria

FY 2016

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

	FY 2016
Target	Programs assessed and improvements implemented
Results	Pending
Status	Pending

Performance indicator: Assessment criteria

FY 2017

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

	FY 2017
Target	Programs assessed and improvements implemented
Results	Pending
Status	Pending

Performance indicator: Assessment criteria

Performance goal 1.11 is directed to shortening the average length of section 337 investigations. Specifically, we are seeking to reduce the average length of these investigations to 15 months by FY 2018, changing from our previous goal of 12 months if uncomplicated and 18 months if complicated.   In FY 2015, we successfully reduced our target date length to 15.6 months from the 17.1-month average of the previous year.

In FY 2014 and FY 2015, we assessed several groups of factors that may play a role in making an investigation "complicated." They may include the claims at issue in the investigation, the respondents involved, or the investigation's scope:

- The number of patents, trade secrets, and unfair acts in the Notice of Investigation; whether the technology of the involved patents is overlapping or related; whether the technology has been considered in prior agency or court litigation; and the number of claims in the Notice of Investigation for each investigation.
- The number of unrelated respondents named in the Notice of Investigation for each investigation and whether the respondents fall within certain categories, e.g., component manufacturers versus distributors or downstream manufacturers.
- Whether the ALJ is directed to conduct fact-finding and address the issue of public interest in the recommended determination (RD).

After extensive analysis over the last two years, we concluded that while these factors may affect an investigation's length, we cannot use them at the time a complaint is filed to reliably predict how long the investigation will last.

We also performed a case study analysis on the investigations with the longest target dates over the past several years. This study found several factors that increased the length of those investigations, particularly novel legal issues, cases of first impression, and new defenses or allegations added during the discovery phase of an investigation. But, these were not factors that are apparent in the early stages of the investigation. As a result, we have concluded that labeling investigations as more or less complicated at the time they are instituted (launched) or within the 45-day deadline for establishing a target date is not practicable, and we are removing this performance goal.

Our staff continued to focus in FY 2015 on ways to reduce the length of investigations through other means. During the fiscal year, we developed potential strategies to reduce target date length. One would permit us to split up ("sever") investigations involving multiple technologies or unrelated patents. Another would allow the parties or ALJs to determine whether a potentially dispositive issue (an issue that would resolve the case) should be decided early in an investigation. We added these changes to a proposed rulemaking. These proposed rules were published in the *Federal Register* on September 24, 2015.[2] After reviewing all the public comments, by the end of FY 2016 we expect to implement any promising proposals to shorten target dates.

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

During FY 2014, Commission staff identified assessment criteria for measuring whether these two programs are effective (1) in reducing the number of motions relating to electronic discovery and contentions or (2) in resolving investigations early. In FY 2015, the Commission used these criteria to measure the effectiveness and efficiency of these programs. We will again use these criteria to assess the effectiveness of these programs in FY 2016 and determine whether improvements need to be made.

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

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[2] 80 Fed. Reg. 57553 (September 24, 2015).

Performance goal 1.12

Improve the timeliness of ancillary proceedings by reducing the average length of ancillary proceedings as follows:

	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Modification								
Target (months)	6	6	6	6	6	6	6	6
Results (months)	—	6.4	—	1 day	None	None	Pending	Pending
Status	—	Target not met	—	Target met	—	—	Pending	Pending
Advisory								
Target (months)	12	12	12	12	9	9	9	9
Results (months)	1.5	3.8	4.9	—	5.8	None	Pending	Pending
Status	Target met	Target met	Target met	—	Target met	—	Pending	Pending
Enforcement								
Target (months)	12	12	12	12	12	12	12	12
Results (months)	11.2	9.0	—	8.7	12.7	None	Pending	Pending
Status	Target met	Target Met	—	Target met	Target not met	—	Pending	Pending
Federal Circuit remand [a]								
Target (months)	—	—	—	—	12	12	12	12
Results (months)	—	—	—	—	3.8	None[b]	Pending	Pending
Status	—	—	—	—	Target met	—	Pending	Pending
Consolidated ancillaries								
Target (months)	15	15	15	15	15	15	15	15
Results (months)	—	—	16.0	—	11.5	None	Pending	Pending
Status	—	—	Target not met	—	Target met	—	Pending	Pending

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

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

Performance indicator: Length of ancillary proceedings concluded on the merits

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

During this fiscal year there were no ancillaries completed on the merits. Thus, there are no results to report. The one Federal Circuit remand completed during the fiscal year was an anomaly and was not considered in measuring this goal. In that investigation, the mandate issued from the Federal Circuit before the performance goal was put into place. In addition, once the remand was assigned to the ALJ, the private parties specifically requested that the target date be set for 18 months from that point. This alone would put the target date for completion well beyond the 12-month target. For these reasons, this remand did not meet the criteria of the performance goal.

We continually evaluate our processes and procedures and strive to make them more efficient. Data and other information for import injury investigations are collected via questionnaires

sent to market participants. While questionnaires were traditionally sent and received in paper form, we have automated the process by transmitting and receiving digital questionnaires in order to extract qualitative and quantitative information electronically. Electronic extraction reduces staff time spent directly entering data, permitting staff to spend more time on analysis and reducing data entry errors. In addition, transmitting questionnaires electronically can reduce the burden and cost for firms. During this fiscal year, we issued 99 percent of our questionnaires electronically and received 98 percent of questionnaire responses (filled-out questionnaires) electronically. Collectively, 98 percent of outbound and inbound questionnaires were in electronic format. Our correspondence routinely directs questionnaire recipients to the case-specific portion of the agency website, where questionnaires for investigations and reviews are promptly posted for easy reference, retrieval, and ultimately electronic transmission.

Performance goal 1.13

Issue and receive 90 percent of questionnaires for import injury investigations electronically in 2015–17.

	FY 2014	FY 2015	FY 2016	FY 2017
Target	90% utilization	90% utilization	90% utilization	90% utilization
Result	96% utilization	98% utilization	Pending	Pending
Status	Target met	Target met	Pending	Pending

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

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. During FY 2015, all import injury investigation and review determinations and reports were issued by the statutory deadline.

Performance goal 1.14

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

	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Target (%)	100	100	100	100	100	100	100	100
Results (%)	100	100	100	100	99	100	Pending	Pending
Status	Target met	Target met	Target met	Target met	Target met[a]	Target met	Pending	Pending

[a] For one investigation, the Commission determination was delivered by the statutory deadline, while the report was delivered after the deadline due to ministerial errors reported by Commerce.
Performance indicator: Submission of Commission determinations and reports to Commerce

Our determinations in import injury investigations can be appealed to the U.S. Court of International Trade (CIT), the U.S. Court of Appeals for the Federal Circuit (Federal Circuit), and North American Free Trade Agreement (NAFTA) binational panels. In addition, certain determinations are subject to review under the dispute resolution procedures of the World Trade Organization (WTO). Determinations in unfair import investigations can be appealed to

the Federal Circuit. We have statutory authority to represent ourselves before the CIT, the Federal Circuit, and NAFTA panels.

As in previous years, we delivered all relevant documents by court-mandated deadlines. However, while we strive to meet all such deadlines, we have no control over the length of time that litigation lasts. Trying to minimize the number of issues that may be litigated could reduce the number of appeals or the time that it takes to conclude litigation, and lessen uncertainty in the affected markets. We have set goals to evaluate judicial and NAFTA panel reviews and to use that information to improve our decision-making in future investigations (performance goal 1.15).

Performance goal 1.15

FY 2014

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

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

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

FY 2015

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

	FY 2015
Target	Process implemented
Results	Process implemented
Status	Target met

Performance indicator: Implemented evaluation process

FY 2016

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

	FY 2016
Target	Evaluations completed and improvements made
Results	Pending
Status	Pending

Performance indicator: Evaluations and improvements

FY 2017

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

	FY 2017
Target	Evaluations completed and improvements made
Results	Pending
Status	Pending

Performance indicator: Evaluations and improvements

Strategic Objective 1.2
Clear Proceedings: Promote Transparency and Understanding of Investigative Proceedings

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

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

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

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

We have invested substantial time and resources into developing databases for our trade remedy cases. In FY 2014, we introduced [337Info](#), a data system which offers a wide range of information about section 337 investigations. Among other things, it assists us with the efficient and accurate reporting of statistical information and helps to inform caseload management decisions. At first 337Info was available only to internal users, but at the end of FY 2014, we made it available to the public. In FY 2015, we dedicated resources to refine the requirements for a similar data system for import injury investigations, but deferred system development to FY 2016 because of resource constraints (performance goal 1.21(a)).

During the next few years, we expect to employ several strategies to meet this strategic objective. We plan to continue to improve the flow of information to stakeholders by developing and deploying investigative databases. We will also continue to ensure that information on investigations is made available on our Electronic Document Information System (EDIS) and our webpages in a timely way.

Two initiatives will improve the flow of investigative information, as well as external parties' access to it. One initiative—an effort to update EDIS filing and search capabilities—is already underway. After we conduct a full security assessment on the new system, we expect to deploy it in FY 2016.[3] The second initiative will allow us to serve controlled unclassified information documents electronically to parties to an investigation. This initiative is planned for FY 2016 (performance goal 1.21(b)).

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

Performance goal 1.21

Leverage existing and developing technologies to improve the flow of information to interested parties and the general public during FY 2014–FY 2018

	FY 2014–FY 2018
Target	Projects identified and implemented each year
Results	See results of 1.21 (a) below
Status	Pending

Performance indicators: Development and implementation of projects

Performance goal 1.21(a)

FY 2014

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

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

Performance indicator: Search and data extraction tools available

FY 2015

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

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

Performance indicator: Title VII data system

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

FY 2016

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

	FY 2016
Target	Title VII data system under development by the end of the third quarter of FY 2016
Results	Pending
Status	Pending

Performance indicator: Title VII data system

FY 2017

Improve availability of investigation-related information by deploying search and data extraction tools for investigation databases by the end of FY 2017

	FY 2017
Target	Search and data extraction tools for Title VII information evaluated and deployed
Results	Pending
Status	Pending

Performance indicator: Search and data extraction tools evaluated and deployed

Performance goal 1.21(b)

FY 2016

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

	FY 2016
Target	Serve Commission documents to parties under Administrative Protective Order via electronic means
Results	Pending
Status	Pending

Performance indicator: Electronic service capability implemented and deployed

Although we finalized requirements for our Title VII investigation data system during FY 2015, we deferred development to FY 2016. We expect to make substantial progress on system development in FY 2016 and fully deploy the system in FY 2017. In addition, we expect to enhance EDIS by adding the capability for electronic service of documents by the end of FY 2016.

The need to make statistical and procedural information in import injury investigations available to the parties and the public directly relates to our strategic objective 1.2—promoting transparency of investigative proceedings. Prompt availability of investigative information is important, as it enhances the ability of parties to participate in import injury proceedings; fuller participation gives us a more complete record upon which to base sound determinations. Furthermore, since affected U.S. industries can monitor progress on investigations, the information they gain about deadlines, determinations, and scope of investigations can help mitigate uncertainty in the marketplace. We have set performance goals through FY 2017 to

ensure that information about our import injury investigations is available in a timely way (performance goal 1.22).

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

We have invested time and staff resources in evaluating our processes to gauge their efficiency and effectiveness. Performance goal 1.24 is directed at engaging external stakeholders in this evaluation process. We will send surveys to our external stakeholders biennially to ask for feedback on potential improvements to existing Commission processes and procedures, and we will promptly apply what we learn.

EDIS is a key component in making section 337 and import injury investigation documents available to parties and the public. As noted above, when investigative record material is promptly available, it enhances the ability of parties to participate in our proceedings, creating a more robust record on which the Commission bases its determinations. Performance goal 1.25 is directed at ensuring that these investigation documents are available on a timely basis.

Performance goal 1.22

Post information on import injury investigation case webpages within specific timeframe

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

Performance indicator: Investigation-related information posted

We made progress tracking the posting of documents during FY 2014, although transitioning to a new web-posting platform complicated our ability to do so efficiently and comprehensively during the year. In FY 2015, we expanded the content provided on our import injury case pages. Moreover, in the second half of FY 2015 we launched a process for tracking postings to insure prompt availability of case-related public documents, including those we issue and those the *Federal Registar* publishes. More than 90 percent of Commission-issued documents were posted within two business days, and nearly 94 percent within three business days, while 97 percent of Federal Register documents were posted within two business days.

Performance goal 1.23

Staff conducts outreach to bar groups and others to ensure they understand Commission capabilities and process.

	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Target	Efforts made	Efforts made	Efforts made each quarter	Efforts made each quarter	Efforts made each quarter	Efforts made each quarter
Results	Outreach conducted	Outreach conducted	Outreach conducted	Outreach conducted	Pending	Pending
Status	Target met	Target met	Target met	Target met	Pending	Pending

Performance indicator: Outreach efforts

Our staff devotes a good deal of time to explaining our investigative process to the public, including through regular outreach efforts. Staff members speak at various conferences on a variety of topics relating to import injury and unfair import investigations. They also attend these gatherings to make themselves available to discuss and answer questions about our procedures. During FY 2015, our staff once again conducted such outreach efforts throughout the fiscal year.

Performance goal 1.24

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

	FY 2014	FY 2015	FY 2016	FY 2017
Target	Surveys issued annually; processes and/or procedures updated	Surveys issued annually; processes and/or procedures updated	Surveys issued	Processes and/or procedures updated
Results	Survey issued	Survey issued; procedure implemented	Pending	Pending
Status	Target partially met	Target met	Pending	Pending

Performance indicator: Survey issuance; process/ procedure updates

We are exploring a variety of means of drawing insights from our investigation participants to improve the efficiency and effectiveness of our processes and procedures. In FY 2015, we issued a feedback survey to trade counsel and others who recently had participated in Title VII investigations. The survey sought participants' views on our electronic questionnaire processes. We used the information we obtained to further improve our processes in late FY 2015, when we began to issue an Excel tool that lets users "push" data into and "pull" data out of our MS Word-based questionnaires. This tool has been made available to counsel in ongoing investigations and full reviews. We have requested feedback and will continue to evaluate the reception, usage, and satisfaction with this tool.

Beginning in FY 2016, we have shifted from an annual to two-year survey cycle in order to give staff more time to test and implement process changes. We plan to issue a survey in FY 2016, and update processes and procedures as appropriate by FY 2017.

Performance goal 1.25

Post documents to EDIS within specified timeframes.

	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Import Injury: 24 Hours								
Target (%)	75	80	80	80	85	85	85	85
Results (%)	92.1	92.8	96.3	96.7	97.3	95.8	Pending	Pending
Status	Target met	Target met	Target met	Target met	Target met	Target met	Pending	Pending
Import Injury: 48 Hours								
Target (%)	85	90	90	90	95	95	95	95
Results (%)	98.6	99.4	99.3	98.7	99.5	98.8	Pending	Pending
Status	Target Met	Target Met	Target Met	Target Met	Target Met	Target met	Pending	Pending
Section 337: 24 Hours								
Target (%)	75	80	80	80	85	85	85	Update
Results (%)	89.7	94.4	98.0	97.8	96.7	98.3	Pending	Pending
Status	Target Met	Target Met	Target Met	Target Met	Target Met	Target met	Pending	Pending
Section 337: 48 Hours								
Target (%)	85	90	90	90	95	95	95	Update
Results (%)	97.0	99.4	99.7	98.7	99.4	99.6	Pending	Pending
Status	Target Met	Target Met	Target Met	Target Met	Target Met	Target met	Pending	Pending

Performance indicator: Percentage of documents posted

We continue to meet our goal of posting documents to EDIS in a specified timeframe. Having investigative records promptly available makes it easier for participants in our investigations to meet their investigation-related obligations, and also helps the public understand what is happening in investigations.

Strategic Goal 2
Inform: Produce Objective, High-Quality, and Responsive Tariff, Trade, and Competitiveness-Related Analysis and Information

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

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

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

In FY 2015, we instituted fewer fact-finding investigations than in FY 2014 (appendix C). However, our staff provided a heavy volume of technical assistance to agency customers throughout the fiscal year.

Strategic Objective 2.1
Timely: Deliver Timely and Accessible Analysis and Information

The Commission recognizes the importance of providing policy makers with timely, accessible analysis and information to inform their decision making. Timely trade and competitiveness information and analysis are often necessary for policy makers to meet negotiation schedules

or make time-sensitive decisions. Our customers expect us to adhere to statutory deadlines, relevant regulations, and requested delivery dates. Our information must also be presented clearly and be easily accessible. Under this strategic objective, we aim to improve the value of the tariff and trade information we provide by:

- expanding our ability to produce digital and interactive products
- evaluating and improving all our major production processes
- making our reports more accessible by complying more fully with section 508 of the Rehabilitation Act of 1973 ((29 U.S.C. 794d)
- developing and implementing online technical information modules

One part of our mission is maintaining the HTS. Timely updates to the HTS give the public critical product-specific information, enable the accurate collection of tariff revenues, and are integral to other government agencies' work. As technology and the global commercial environment change, we need to give users information in different ways. For example, we committed significant resources in the last two fiscal years to develop a data management system for the HTS. The new system lets us electronically update the HTS to ensure that tariff information is accessible, transparent, and up to date. The system replaced two manually updated systems in FY 2015, integrating all HTS information and making it accessible in web-compatible and other formats. To maximize benefits and use, we foresee enhancing the new system in the future by improving its search features, report generation, and other functionality.

The performance goals for this strategic 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 internal processes). To meet this objective, we are developing and applying information technology (IT) solutions to make our products more accessible and useful. Strategies include the creation of interactive digital products that we can make available on our website and/or can provide directly to policy makers.

Internal evaluations have also revealed the need to develop more information about the cost of conducting investigations so that we can allocate our resources better and can produce and deliver our products more efficiently. We have been working to meet this need both by conducting extensive business process mapping and by further digitizing our internal information. These efforts support day-to-day management and business process evaluation and improvement, as well as making our historic information more accessible and useful.

This strategic objective may be affected by resource constraints that may limit our ability to fund technology-related projects. In FY 2015 we did not meet all performance goals for Strategic Objective 2.1, though we made significant progress on them. While meeting some of our FY 2016 goals may prove challenging, it is likely that we will meet most, if not all, targets.

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

Performance goal 2.11

Improve utility of tariff and trade information for customers and the public by developing and producing digital and interactive Commission products by FY 2018.

	FY 2014–FY 2018
Target	Make five digital or interactive Commission products available to the public by FY 2018.
Results	Ongoing
Status	Ongoing

Performance indicators:

• Development of tools and knowledge to enable production of digital and interactive products

• Implementation of solutions as measured by the number of digital and interactive Commission products produced by 2018

Performance goal 2.11(a)

FY 2014

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

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

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

FY 2015

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

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

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

FY 2016

Develop new digital or interactive Commission products during FY 2016.

	FY 2016
Target	One additional new or updated digital or interactive Commission product available to customers and the public
Results	Pending
Status	Pending

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

FY 2017

Develop new digital or interactive Commission products and publish new products during FY 2017

	FY 2017
Target	One additional new or updated digital or interactive Commission product available to customers and the public
Results	Pending
Status	Pending

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

In FY 2015 we produced *Shifts in Merchandise Trade*, a web-based product, incorporating interactive graphics. We also updated and expanded our interactive *Data Analysis Tools*, which support the *Shifts in Merchandise Trade* and *Year in Trade* reports. In addition, we provided a manipulable spreadsheet version of the tables produced for the annual compilation of our *Textile and Apparel Imports from China* report.

Performance goal 2.11(b)

FY 2014

Complete development and deploy modernized HTS system during FY 2014.

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

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

FY 2015

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

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

Performance indicator: Modernized trade data system

FY 2016

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

	FY 2016
Target	Deploy new trade data system
Results	Pending
Status	Pending

Performance indicator: Modernized trade data system

FY 2017

Enhance the HTS data management system and the DataWeb by the end of FY 2017.

	FY 2017
Target	Enhance HTS data management , search, document generation, reporting functions, and further develop DataWeb, as needed
Results	Pending
Status	Pending

Performance indicator: Modernized trade data system

While we were not able to complete the redesign of the DataWeb in FY 2015, we expect to do so in FY 2016. In FY 2015, we deployed the HTS Data Management System, after completing system development and gaining an Authority to Operate for the system. The new HTS system, which replaced a word processing-based system, allows more efficient and effective maintenance of the HTS. In addition, it will provide the tariff backbone for redesigned DataWeb system.

Performance goal 2.12

Improve the production and delivery of Commission products by evaluating and implementing improved production processes by 2018.

	FY 2014–FY 2018
Target	All major production processes evaluated; improved efficiency in producing and delivering Commission products
Results	Pending
Status	Pending

Performance indicators:
• Number of processes identified
• Process changes identified, implemented, and evaluated

Performance goal 2.12(a)

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

	FY 2014	FY 2015	FY 2016	FY 2017
Target	Complete evaluation of four processes and begin to implement improvements	Implement process changes identified in FY 2014; evaluate effectiveness of changes; complete evaluation of two additional processes	Implement process changes identified in FY 2015; evaluate effectiveness of changes; complete evaluation of one additional process	Implement process changes identified in FY 2016; evaluate effectiveness of changes; complete evaluation of one additional process
Results	Evaluated or mapped four production processes: sec. 332 investigation review; sec. 1205 investigations; technical assistance; and the new HTS system production environment. Began implementing changes related to the technical assistance process.	Two processes newly mapped (484(f), Executive Briefings on Trade). Changes to 1205 process evaluated and revised; 332 cost estimating tool evaluated and slightly revised.	Pending	Pending
Status	Target met	Target met	Pending	Pending

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

During FY 2015, agency staff evaluated procedures for the conduct of 484(f) requests and processes for the production of the Executive Briefings on Trade Series. Staff also made significant progress on updating procedures pertaining to the conduct of agency fact finding investigations, taking into account the results of an internal process review conducted in FY 2014. In addition, the agency completed evaluation of processes associated with sec. 1205 investigations and implemented revised procedures during FY 2015.

Performance goal 2.12(b)

FY 2014

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

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

Performance indicator: Identified and corrected information

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

FY 2015

Improve efficiency of HTS publication process in FY 2015 to ensure accuracy of published version.

	FY 2015
Target	96% of the updates are found to be error free after the review process; the remaining 4% are identified and corrected in the review process
Results	The target was not met in the first quarter using the older word processing-based system. During the 4th quarter, the new electronic HTS Data Management System replaced the older system, and HTS revisions were produced. Some discrepancies caused by a software problem were detected and subsequently fixed. We anticipate compliance with this target in FY 2016 due to the improved system.
Status	Target not met

Performance indicator: Identified and corrected information

FY 2016

Improve efficiency of HTS publication process in FY 2016 to ensure accuracy of published version.

	FY 2016
Target	HTS updates are at least 97% error-free on publication
Results	Pending
Status	Pending

Performance indicator: Identified and corrected information

FY 2017

Improve efficiency of HTS publication process in FY 2017 to ensure accuracy of published version.

	FY 2017
Target	HTS updates are at least 98% error-free on publication
Results	Pending
Status	Pending

Performance indicator: Identified and corrected information

During the first quarter, several chapters in the HTS were not updated correctly for the 2015 edition of the HTS, though our staff identified and corrected the information online within a week. The new HTS Data Management System, which was in use during the fourth quarter of FY 2016, has more extensive and effective internal quality controls.

Performance goal 2.13

FY 2014

Increase section 508 compliance of Commission reports by improving staff knowledge and procedures by the end of FY 2014.

	FY 2014
Target	• 100% of OP staff trained in the production of 508-compliant documents • Publishing guidelines for section 508-compliant documents developed • 50% 508 compliance
Results	Target 1: Key personnel trained, though not at 100% of OP staff. Target 2: Publishing guidelines developed and tested. Target 3: All USITC-generated reports posted to the website related to investigations instituted during FY 2014 were 508 compliant.
Status	Target 1: partially met. Target 2: met. Target 3: met.

Performance indicators:
• Percent of OP staff trained in production of 508-compliant documents
• Relevant production guidelines which provide instruction for producing 508-compliant documents (e.g., process and procedures manual for statutory reports)
• USITC-generated documents posted to the website related to investigations instituted in FY 2014

FY 2015

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

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

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

FY 2016

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

	FY 2016
Target	100% 508 compliance for investigation documents posted to the USITC website; 100% 508 compliance for staff research products (*Journal of International Commerce and Economic*s and working papers) posted to the USITC website
Results	Pending
Status	Pending

Performance indicator: USITC-generated documents posted to the website related to investigations requested in FY 2016

FY 2017

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

	FY 2017
Target	100% 508 compliance for investigation documents posted to the USITC website; 100% 508 compliance for staff research products (JICE and working papers) posted to the USITC website
Results	Pending
Status	Pending

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

In addition to all reports initiated during the fiscal year, several other reports, including recurring reports and reports initiated during FY 2014 but published in FY 2015, were produced in section 508-compliant formats.

Performance goal 2.14

FY 2014

Develop online technical information modules for the public and staff by the end of FY 2014.

	FY 2014
Target	Two technical training modules developed by September 2014
Results	Structure for training developed, content drafted, and software acquired.
Status	Target not met.

Performance indicator: Number of technical information modules developed by September 2014

FY 2015

Provide online technical information modules for the public and staff by the end of FY 2015 and continue to develop new modules.

	FY 2015
Target	Two modules posted, one new module under development by September 2015
Results	Progress made on the two modules under development (Rules of Origin, Analyst orientation training) but not concluded.
Status	Target not met

Performance indicators:
• Number of training modules available on USITC website
• Number of new technical information modules under development by September 2015

FY 2016

Provide online technical information modules for the public and staff by the end of FY 2016 and continue to develop new modules.

	FY 2016
Target	One module posted, one new module under development by September 2016
Results	Pending
Status	Pending

Performance indicators:
• Number of training modules available on USITC website
• Number of new technical information modules under development by September 2016

Although some progress was made on the technical information modules in FY 2015, the staff experts assigned to develop the Rules of Origin module and the Analyst Training module also had higher-priority assignments that prevented these development efforts. We expect to complete both modules during 2016.

Performance goal 2.15

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

	FY 2015	FY 2016	FY 2017
Target	92% of emails received through online help system receive responses within 7 working days	94% of emails received through online help system receive responses within 7 working days	95% of emails received through online help system receive responses within 7 working days
Results	Commission staff responded to 93% of HTS email inquiries within 7 working days of receipt in FY 2015.	Pending	Pending
Status	Target met	Pending	Pending

Performance Indicators: Email responses to HTS inquiries

Historical data

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

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 we receive from policy makers cover areas or issues that 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 on which there is limited publicly available data. These circumstances require us to consistently improve and enhance our information collection processes and analytic methods, as well as the way we maintain and provide information. To accomplish this, we must ensure appropriate acquisition of information, development of analytical tools, and investment in human capital.

Customer requirements drive our efforts to develop the knowledge and skills needed to anticipate policy makers' priorities, detect emerging international trade issues, develop or adopt advances in analytical techniques and methods, and understand shifting public policy priorities. These efforts include developing new economic models and databases, enhancing analytical skills, examining firm and industry behavior, and finding and acquiring new information resources and IT applications. Moreover, policy makers and other members of the trade community also rely on us to develop and maintain up-to-date nomenclature information. Accurate tariff information is essential in collecting the right duties, generating accurate data on U.S. trade flows, and providing certainty to businesses.

Performance goals for this strategic objective emphasize ongoing dialog with internal and external customers to better understand their interests and needs. Our strategy involves periodic personal engagement with internal and external customers, both to inform them of our capabilities and to seek feedback on delivered work. This dialog enhances our ability to pinpoint and prioritize areas for research and knowledge development, meet quality-related expectations, anticipate policy makers' needs, and proactively develop relevant and necessary expertise and tools. Information gathered from customers, including feedback on delivered products, helps us prioritize research and knowledge development activities to increase both our efficiency and our effectiveness.

Policy makers' needs for analysis of U.S. trade and competitiveness have become increasingly diverse and, in many cases, more complex. Our customers continue to have a strong interest in the analysis of barriers that U.S. companies face abroad, whether the barriers are encountered at international borders or affect U.S. affiliates operating in other countries. Other areas of interest include intellectual property regimes and measures affecting sales of services abroad, including digital trade.

In FY 2015, we focused on these areas of interest, while also conducting analytically complex investigations, such as examining changing relations with Cuba; evaluating the effects of trade, investment, and industrial policies in India on the U.S. economy; reviewing recent, significant changes to India's trade and investment policies; and assessing the impact of trade agreements in place since 1984 on the U.S. economy. In addition, our staff carried out preliminary work on analyzing the effects of the Trans-Pacific Partnership (TPP). We build capacity in a portfolio of trade and competitiveness research, including both long-term foundational research and shorter-term, more applied analysis. In this period of high demand for our resources and limitations in staffing, our research portfolio has focused more on nearer-term objectives that directly support our ongoing or expected statutory investigations.

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

Performance goal 2.21

Engage Commission customers to enhance agency capabilities to provide effective and responsive analysis, data, and nomenclature services through 2018.

	FY 2014–FY 2018
Target	Briefings and meetings with customers conducted after report delivery generate feedback
Results	Ongoing
Status	Ongoing

Performance indicators: Feedback provided during briefings and meetings
Other indicator: Share of delivered, Commission customer requested products for which briefings are conducted

Performance goal 2.21(a)

FY 2014

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

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

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

FY 2015

Engage Commission customers and international and research organizations to improve analytical tools and to advance agency capabilities to provide effective and responsive analysis, data, and nomenclature services in FY 2015.

	FY 2015
Target	Engagement with customers and other organizations related to Commission reports and other research efforts generates feedback; actions taken, as appropriate
Results	Post-delivery briefings were conducted for nine reports completed in FY 2015. Comments received were positive, so no corrective actions required. Briefings on Commission research and analytic capabilities and consultative meetings for ongoing studies were also held with USTR and oversight committee staff. Feedback from meetings and briefings informed research priorities set under 2.22.
Status	Target met

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

FY 2016

Engage Commission customers and international and research organizations to improve analytical tools and to advance agency capabilities to provide effective and responsive analysis, data, and nomenclature services in FY 2016.

	FY 2016
Target	Engagement with customers and other organizations related to Commission reports and other research efforts generates feedback; actions taken, as appropriate
Results	Pending
Status	Pending

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

FY 2017

Engage Commission customers and international and research organizations to improve analytical tools and to advance agency capabilities to provide effective and responsive analysis, data, and nomenclature services in FY 2017.

	FY 2017
Target	Engagement with customers and other organizations related to Commission reports and other research efforts generates feedback; actions taken, as appropriate
Results	Pending
Status	Pending

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

For performance goal 2.21, we met our FY 2015 targets. Our staff regularly engaged our customers to discuss analytical capabilities and priorities, as well as issues such as digital trade, India, Cuba, the Generalized System of Preferences (GSP), and the economic effects of U.S. free trade agreements. Meetings with customers and international trade and research organizations enhanced our ability to provide effective analysis on topics of greatest interest to our customers.

Performance goal 2.22

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.

	FY 2014–FY 2018
Target	Capabilities developed in new areas annually
Results	Ongoing
Status	Ongoing

Performance indicators: Priority areas vetted and established annually through 2018

Performance goal 2.22(a)

Based largely on customer input, continually identify and prioritize areas to enhance capabilities to analyze new issues in trade and industry competitiveness.

	FY 2014	FY 2015	FY 2016	FY 2017
Target	Enhanced capabilities developed in priority areas such as: 1. Global modeling, including analysis of differential household effects 2. Economic and trade effects of energy markets, technologies, and related services 3. Behind-the-border nontariff measures (NTMs) such as technical barriers to trade (TBTs) and standards; trade facilitation and customs issues 4. Supply chains 5. Analysis of the effects of integration within the North American markets	Improved capabilities in priority areas such as: 1. Advancing modeling efforts, such as global modeling including analysis of distributional effects of trade on U.S. households 2. Expand analysis of emerging issues and research areas, such as economic and trade effects of energy markets, technologies, and related services; behind-the-border NTMs affecting goods and services such as TBTs and standards; trade facilitation and customs issues; supply chains; and product space analysis 3. Increase capabilities and knowledge related to unilateral, bilateral, regional, and multilateral trade-related agreements	Improved capabilities in priority areas such as: 1. Modeling: improve baseline projections for modeling of U.S. and global economies; enhance partial equilibrium models; improve modeling of supply chain relationships; 2. Expanding research: economic and trade effects of energy markets, technologies, and related services; behind-the-border NTMs affecting goods and services (TBTs, regulatory practices, and standards); trade facilitation and customs issues; effects of trade and trade policy on labor markets 3. Increase capabilities and knowledge related to unilateral, bilateral, regional, and multilateral trade-related agreements	Improved capabilities in priority areas such as: 1.Modeling: differentiating effects for different types of U.S. companies 2. Expanding research: methods to assess industry competitiveness; trade in digital goods and services; behind-the-border NTMs affecting goods and services (TBTs, regulatory practices, conformity assessment, and standards); trade facilitation and customs issues; supply chains; and effects of trade and trade policy on labor markets 3. Increase capabilities and knowledge related to unilateral, bilateral, regional, and multilateral trade-related agreements
Results	Significant capabilities developed in all priority areas. Progress on enhancing model capabilities to better represent households is ongoing, with expected completion in FY 2015.	Capabilities improved significantly in all priority areas	Pending	Pending
Status	Four of five targets met	Target met	Pending	Pending

Performance indicator: Priority areas identified and vetted

In FY 2015, we significantly upgraded our economic modeling capabilities, in part by working with experts at several U.S. universities, including Purdue and Wisconsin, and leading international institutions, such as the Center of Policy Studies in Melbourne, Australia, and the International Trade Centre in Geneva, Switzerland. We also worked with government agencies in the United States and abroad, such as the Bureau of Economic Analysis and the Census Bureau in the United States and the Ministry of Commerce and the National Bureau of Statistics in China, to improve statistics on trade in global supply chains. We updated our models to better estimate the effects of policies affecting energy markets, dairy markets, sales by U.S. affiliates abroad, and income distribution in U.S. households. Significant advances were also

made with respect to understanding nontariff measures (NTMs), supply chains, restrictions to trade in telecom services, trade in environmental goods, and trade agreements such as the North American Free Trade Agreement (NAFTA) and TPP. In addition, we organized and held roundtables concerning digital trade, services, and trade facilitation that brought academic, private sector, and policy experts together to discuss current issues pertaining to these subjects.

During FY 2016 and FY 2017, we will focus on enhancing our technical competencies for assessment of trade policy developments. In addition, we will continue to focus on various aspects of trade in services and digital trade throughout the period.

Performance goal 2.23

Improved analytical tools and new capabilities are reflected in statutory work products through FY 2018.

	FY 2014–FY 2018
Target	Continuous improvement through FY 2018
Results	Pending
Status	Pending

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

Performance goal 2.23(a)

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

	FY 2014	**FY 2015**	**FY 2016**	**FY 2017**
Target	Improved analytical tools and new capabilities are reflected in statutory work products	Improved analytical tools and new capabilities are reflected in statutory work products	Improved analytical tools and new capabilities are reflected in statutory work products	Improved analytical tools and new capabilities are reflected in statutory work products
Results	New methodology developed using labor cost database. Labor cost data collected and concorded between research inputs and statutory outputs. Tentative baseline developed: Shares of research used over 4 year time horizon calculated.	Improved techniques were used to apply the approach developed in previous year. Results are robust and confirm anecdotal analysis of research application to requested work.	Pending	Pending
Status	Target partially met	Target met	Pending	Pending

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

Assessing the extent to which staff research is used in subsequent statutory work products allows our management to more effectively manage resources. In FY 2015, staff developed an improved approach to measure this use of staff research. Because research is forward-looking, it often takes some time before it is applied in requested work. For example, less than half (43 percent) of staff research undertaken in 2015 was used in fact-finding investigations and

technical support undertaken in 2015, as there was only one year (or less) to apply it. However, 92 percent of staff research undertaken in 2012 had been used in investigations and technical support provided during the four years ending with 2015. In FY 2016, the Commission also will begin to track citations to reports and other publications it makes available to the public to gauge the extent to which external customers and the public use agency information and analysis.

Management Goal
Achieve Agency-wide Efficiency and Effectiveness to Advance Agency Mission

The Commission is committed to continuous process improvement and support for the agency's strategic goals and mission. This plan's three management objectives support our management goal of advancing our mission in an efficient and effective way. The objectives align with three functional areas: human resources; budget, acquisitions, and finance; and IT. The performance goals identified for FY 2016 and 2017 reflect our management priorities.

Management Objective M1.1
People: Efficiently and Effectively Recruit and Develop Highly Qualified and Flexible Human Capital

To carry out our mission in a constantly evolving business environment, we must recruit and develop a workforce equipped to meet the demands of our workload. Efficiency and effectiveness in all human capital management practices are vital to our ability to position ourselves as an attractive employer in a highly competitive labor market. 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. We will continue to emphasize the need for improved performance in these areas. The Chief Human Capital Officer is the Leader for this strategic objective and for each of the performance goals identified below.

During FY 2014–FY 2018, we will streamline our 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, because 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.

Using the Office of Personnel Management's 80-day end-to-end hiring model as a starting point, we have developed our own service level agreements for processing hiring actions in order to complete processing sooner and make the hiring process more transparent to all stakeholders involved in it (performance goal M1.12). Implementing service level agreements promotes 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 help make hiring practices more effective by

illuminating recurring issues (both internal and external to the Commission) that might impede the processing of hiring actions.

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 undermining the efficiency and effectiveness of hiring actions. Improving record keeping will also cut down on inadvertent errors in pay and benefits determinations that may harm our employees. While we work to convert to an entirely electronic process over the next five years, all hiring action case files will continue to be maintained in paper form and reviewed quarterly to ensure completeness and accuracy. 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.

Stakeholders' satisfaction with hiring practices and career development reflects their perception of the efficiency and effectiveness of our performance in those areas (performance goals M1.13 and M1.15). Low satisfaction in any area signals a need for corrective action, whether by remedial efforts within HR or educational efforts with stakeholders to ensure they are familiar with human capital management processes. Feedback from stakeholders via intermittent and annual surveys helps us to see which facets of the hiring and career development processes stakeholders are most concerned about, and therefore helps us focus our remedial actions. We will continue our efforts to elicit feedback from stakeholders during the upcoming fiscal years to gauge satisfaction in hiring and career development.

Performance goal M1.11

Convert all major human capital management paper processes to electronic processes over the next five years.

	FY 2014–FY 2018
Target	Identify and improve efficiency in areas of Human Capital Management deemed most impactful to mission accomplishment
Results	Progress toward goal (see M1.11(a) below)
Status	Progress towards goal

Performance indicators: 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)

Performance goal M1.11(a)

Identify and convert paper processes found to be inefficient to more efficient electronic processes.

	FY 2014	FY 2015	FY 2016	FY 2017
Target	Progress toward eliminating all paper processes in each major area	Progress toward eliminating all paper processes in each major area	Progress toward eliminating all paper processes in each major area	Progress toward identifying and replacing inefficient processes with streamlined and effective processes.
Results	Progress towards goal. Electronic service level agreements and Out-Processing Dashboard deployed.	Progress towards goal. Development of training form commenced and procurement of Workforce Transformation and Tracking System completed in FY 2015.	Pending	Pending
Status	Target met	Target met	Pending	Pending

Performance indicators: 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)

Note: This goal was modified in order to focus on processes that would most benefit from conversion to electronic processes.

Performance goal M1.12

Complete hiring actions with service level agreements within the timeframe specified (generally, 80 days) in order to improve overall vacancy rate and better achieve agency mission.

	FY 2014	FY 2015	FY 2016	FY 2017
Target	80% or more hiring actions completed within the timeframe set forth in the service level agreement (SLA)	85% of hiring actions completed within time frame set forth in service level agreement or 5% increase over FY 2014 actual result	Maintain 85% target from 2015 or a 5% improvement over 2015 actual result	90% of hiring actions completed within timeframe set forth in service level agreement or 5% over FY 2016 actual result
Results	80.6% aggregate SLAs met (est.)	83.4% of SLAs met	Pending	Pending
Status	Target met	Target not met	Pending	Pending

Performance indicator: Number of hiring actions with service level agreements between HR and hiring officials which are completed in the timeframe set forth in the service level agreement

Note: The performance goal and indicator were changed for FY 2014 from FY 2013. In FY 2013, the goal was to improve the timeliness in delivery of certified candidate lists to selecting officials from the receipt of completed hiring request. In FY 2014, the agency implemented an "electronic service level agreement" for use in hiring actions signed by both an HR representative and the selecting official.

Performance goal M1.13

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

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

Performance indicators (FY 2014): Results of FY 2014 management survey; results of the CAO/CFO customer service survey; implementation of HR help desk. Performance indicators (FY 2015, 2016, and 2017): FEVS annual survey.

Note: The FY 2012 performance goal established a customer service baseline of satisfaction with hiring practices (53%; target met). The FY 2013 performance goal was to improve upon the FY 2012 baseline. This target was not met, as the positive response rate was 42.4%. In FY 2013, the agency also separately surveyed managers to gather feedback on hiring practices. The FY 2014 target was to improve by 5 percentage points over the average of responses from the two surveys. Because of timing and resource constraints, the customer service survey was discontinued. Thus, the results reported above for FY 2014 are based solely on results from the management survey.

Performance goal M1.14

Improve accuracy and completeness of hiring case files.

	FY 2014	FY 2015	FY 2016	FY 2017
Target	5 percentage point increase over FY 2013 average in hiring case files that are complete and accurate upon closing of hiring actions	Improvement over FY 2014 average	Improvement over FY 2015 average	If file completeness targets are met in in 2015 and 2016, set new goal and target and establish baseline. If not, improvement over FY 2016 average.
Results	92.5% file accuracy	93% file accuracy	Pending	Pending
Status	Target met	Target met	Pending	Pending

Performance indicator: Results of review of all hiring actions completed
FY 2012: Baseline established at 88% of all files tested and found to be complete and accurate (target met).
FY 2013: Comparison between baseline and 2013 results was not possible, as new, improved procedures were implemented. FY 2013 baseline based on new procedures: 80.7%.

Performance goal M1.15

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

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

Performance indicators (FY 2014): Results of FY 2014 CAO and CFO customer service survey and FY 2014 management survey
Performance indicator (FY 2015, 2016, and 2017): Results of FY 2015, 2016, and 2017 FEVS questions related to this area.
Note: FY 2012 results: Met the target to establish a baseline for stakeholder satisfaction (31%). In FY 2013, did not meet the goal to improve stakeholder satisfaction over FY 2012 by 10% as survey responses indicated 31.1% of stakeholders were satisfied.

In FY 2015, we met four of our five performance goals related to Management Objective M1.1. To meet the long-term goal of improving the efficiency and effectiveness of human resource action processing, we have begun developing a new electronic training form and procedure for training requests that is less burdensome on the requestor while also considerably streamlining

the process of extracting the necessary information for reporting. We also procured the Workforce Transformation and Tracking System (WTTS) as our primary personnel system, giving the Office of Human Resources a much better tool for tracking and reporting than the prior system.

We narrowly missed our goal for meeting service level agreements. However, most actions that were not completed in the time anticipated were delayed in the final stage of the hiring process in which candidates are selected. This stage has many complicating factors outside our control. During the stages where we were entirely in control of the process, the agreements were almost always met.

We once again met our goal for file completeness and accuracy in hiring action case files. We will continue to seek improvement in this area as the accuracy of our records is paramount to ensuring the efficiency and efficacy of our work as well as the information security of our employees and applicants.

In FY 2015, we used the Federal Employee Viewpoint Survey (FEVS) to gauge stakeholder satisfaction about our hiring practices and career development. For hiring practices, we identified the following questions as most relevant to gauging stakeholder satisfaction:

- (21) My work unit is able to recruit people with the right skills.
- (27) The skill level in my work unit has improved in the past year.
- (29) The workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals.

The FY 2015 average for those three questions was 73 percent, which we will seek to improve upon in FY 2016. For career development, we identified the following questions as most relevant to gauging stakeholder satisfaction:

- (1) I am given a real opportunity to improve my skills in my organization.
- (18) My training needs are assessed.
- (43) My supervisor/team leader provides me with opportunities to demonstrate my leadership skills.
- (47) Supervisors in my work unit support employee development.
- (67) How satisfied are you with your opportunity to get a better job in your organization?
- (68) How satisfied are you with the training you receive for your present job?

The FY 2015 average for those six questions was 65 percent, which, again, we will seek to improve upon in FY 2016.

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, we have created three performance goals: (1) improve our financial management reports, (2) improve the efficiency and effectiveness of the acquisition process, and (3) maintain an annual unqualified audit opinion on our financial statements. The Chief Financial Officer (CFO) is the leader for this management objective.

The strategies to achieve these performance goals are as follows:

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

The Office of the CFO (OCFO) engaged senior managers throughout the Commission during FY 2015 in order to accurately document management's needs and develop a plan to satisfy them. During the period, the OCFO modified existing financial management reports to the extent possible in order to meet these requirements. The OCFO planned to issue surveys to gauge satisfaction with the financial management reports during FY 2015, but it was unable to do so. Even without the surveys, the OCFO is aware that the reports do not meet the needs of every office in the Commission. The OCFO had planned to refine its management reporting capabilities during FY 2015, but personnel vacancies slowed its progress. The OCFO expects to overcome these difficulties in FY 2016 and demonstrate solid progress in this area.

During FY 2015 the Director of Procurement continued to review contract activity each quarter to determine the extent to which established Procurement Action Lead Times (PALT) were exceeded. At the same time, the Director of Procurement reviewed the PALT timelines both to reduce them, to the extent possible, and to make them more transparent. Also, in an effort to provide managers throughout the agency with accurate, timely information about their procurement actions, reports that contained details on the activity on, and status of, each procurement request were sent out weekly.

The quarterly review of contract files continued during FY 2015 and was documented, as an internal control procedure. In addition, the Office of Procurement upgraded its contract writing system during FY 2015. While staff members are still learning the capabilities of the system, it is

expected to improve contract processing times, allow the office to automate the creation of contract clauses, incorporate Federal Acquisition Regulations (FAR) updates, and provide automatic interfaces with federally mandated procurement-related reporting sites.

During FY 2016, the Director of Procurement will continue to review contract activity each quarter to determine the extent to which established PALT deadlines are exceeded, will continue to reduce the timelines to the extent possible, and will continue to provide weekly reports on the status of, and the activity on, each outstanding procurement request. Additionally, and in an effort to promote transparency, the office will begin reporting the two-year average processing time for each procurement type (e.g., Open Market supplies $3,001 to $25,000, Interagency Agreements). It will also gauge customers' satisfaction with the procurement process using internal surveys. Finally, while the office will continue to review its contract files to determine whether they comply with the FAR every quarter, the results will no longer be a performance goal.

The Director of Finance reviews 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 are occasionally made to processes as well as to key controls. In addition, the Director of Finance ensures that quarterly key control testing is accomplished and that any test failures are corrected within 14 business days. Financial process and control evaluations supported the achievement of our fifth consecutive unqualified financial audit opinion.

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

Performance goal M1.21

Provide accurate, timely, insightful and relevant financial management reports to agency leadership on a monthly basis through FY 2018.

	FY 2014 – FY 2018
Target	Consistent reports; reports issued monthly; positive feedback from agency leadership about relevance of reports.
Results	Pending
Status	Pending

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

Performance goal M1.21(a)

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

	FY 2014
Target	Accurate reports; reports issued monthly; positive feedback from agency leadership regarding relevance of reports.
Results	All reports were issued on a timely basis, and were consistent with financial accounts. The steps taken to incorporate manager feedback in the financial management reports received positive feedback from agency managers.
Status	Target met

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

Performance goal M1.21(a)

Issue financial management reports that are consistent with the financial system and that meet the needs of managers throughout the Commission.

	FY 2015	FY 2016	FY 2017
Target	Accurate reports	Accurate reports	Accurate useful reports
Results	Reports were accurate	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Reports that are timely, fully consistent with financial accounts, and receive positive feedback

Performance goal M1.21(b)

Issue timely financial management reports.

	FY 2015	FY 2016	FY 2017
Target	Reports issued monthly	Reports issued monthly	Reports issued monthly
Results	Reports were timely	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Timely issuance of reports

Performance goal M1.21(c)

Gauge management satisfaction via the use of internal surveys, and use survey feedback to improve financial management reports.

	FY 2015	FY 2016	FY 2017
Target	Management satisfaction with efforts to incorporate their suggestions/feedback into budget reports, as reflected in management survey responses	Management satisfaction with efforts to incorporate their suggestions/feedback into budget reports, as reflected in management survey responses	Management satisfaction with efforts to incorporate their suggestions/feedback into budget reports, as reflected in management survey responses
Results	Survey was not issued	Pending	Pending
Status	Target not met	Pending	Pending

Performance indicator: Survey results

Note: Goal was changed from "Gauge management satisfaction via the use of internal surveys, and incorporate survey feedback to improve financial management reports."

Most of the FY 2015 targets for the M1.21 subgoals were met. While the OCFO issued reports within the given timeframes, and it continued to take steps to meet the financial management reporting needs of offices throughout the Commission, such as working with individual offices to increase the usefulness of travel and training reports, the planned management survey was not issued. Even though the survey was not issued, the OCFO is aware that it is not meeting the financial management reporting needs of some offices in the Commission. During FY 2016, once the OCFO has determined the needs of Offices within the Commission, it will work with its shared service provider to create reports that meet the needs.

Performance goal M1.22

Improve effectiveness and efficiency of acquisitions during FY 2014–FY 2018 by making continuous process improvements.

	FY 2014–FY 2018
Target	Quarterly review reports demonstrate incremental improvements in effectiveness and efficiency of acquisitions
Results	Pending
Status	Pending

Performance indicators: Timeliness and accuracy of procurement actions; cost savings to the government
Other indicator: Customer feedback

Performance goal M1.22(a)

FY 2014

Reduce by 6% the share of procurement actions that exceed the Procurement Action Lead Time (PALT) in FY 2014.

	FY 2014
Target	Quarterly PALT reviews that show a 6% reduction of procurement actions that exceed the PALT in FY 2014
Results	Reducing the number of procurement actions that exceeded the PALT by 6% from FY 2013 levels required that no more than 3.8% of these actions exceeded the PALT. Total FY 2014 procurement actions exceeding PALT were 4.1 percent.
Status	Target not met

Performance indicators: Share of procurement actions that exceed the PALT

FY 2015

Reduce by 4% the share of procurement actions that exceed the PALT in FY 2015.

	FY 2015
Target	Quarterly PALT reviews that show a 4% reduction of procurement actions that exceed the PALT in FY 2015 from the FY 2014 level
Status	Target not met

Performance indicators: Share of procurement actions that exceed the PALT

FY 2016

Reduce by 2% the share of procurement actions that exceed the PALT in FY 2016.

	FY 2016
Target	Quarterly PALT reviews that show a 2% reduction of procurement actions that exceed the PALT in FY 2016 from the FY 2015 level
Results	Pending
Status	Pending

Performance indicators: Share of procurement actions that exceed the PALT

FY 2017

Reduce by 2% the share of procurement actions that exceed the PALT in FY 2017.

	FY 2017
Target	Quarterly PALT reviews that show a 2% reduction of procurement actions that exceed the PALT in FY 2017 from the FY 2016 level
Results	Pending
Status	Pending

Performance indicators: Share of procurement actions that exceed the PALT

Performance goal M1.22(b)

FY 2014

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

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

Performance indicator: Number of contract files requiring correction

FY 2015

Provide accurate, weekly electronic status reporting of all current/pending procurement actions to Cost Center Managers (CCMs) and Contract Officer Representatives (CORs) during FY 2015.

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

Performance indicators: Reports are timely, accurate, and up to date
Other indicator: Customer feedback

FY 2016

Provide accurate, weekly electronic status reporting of all current/pending procurement actions to Cost Center Managers (CCMRs) and CORs during FY 2016.

	FY 2016
Target	Accurate, up-to-date reports issued weekly
Results	Pending
Status	Pending

Performance indicators: Reports are timely, accurate, and up to date
Other indicator: Customer feedback

FY 2017

Provide accurate, weekly electronic status reporting of all current/pending procurement actions to Cost Center Managers (CCMRs) and CORs during FY 2017.

	FY 2017
Target	Accurate, up-to-date reports issued weekly
Results	Pending
Status	Pending

Performance indicators: Reports are timely, accurate, and up to date
Other indicator: Customer feedback

Performance goal M1.22(c)

FY 2014

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.

	FY 2014
Target	PALT timelines are refined and reduced by 3%
Results	All PALT timelines reduced by at least 3 percent.
Status	Target met

Performance indicators: PALT timelines

FY 2015

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.

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

Performance indicators: PALT timelines

FY 2016

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

	FY 2016
Target	PALT timelines are refined and reduced, as appropriate; gauge management satisfaction with procurement process through internal surveys
Results	Pending
Status	Pending

Performance indicators: PALT timelines

FY 2017

Gauge management satisfaction with procurement process via internal surveys.

	FY 2017
Target	Gauge management satisfaction with procurement process through internal surveys
Results	Pending
Status	Pending

Performance indicators: Survey results

We continue to take actions to improve our acquisition processes. During FY 2015, we met our goals for reducing PALT timeframes and issuing timely and accurate reports. However, we did not meet our goal to reduce the number of procurement actions that exceeded the PALT timeframes established for the year. As in past years, fourth-quarter (Q4) activity was higher than in other quarters, with 45 percent of all actions processed during the period. In an effort to reduce this surge in procurement actions during Q4 in the future, during FY 2016 the OCFO will identify October 1 renewals (which accounted for over 25 percent of all Q4 actions) and work with offices to process these actions during the third quarter (Q3). This should reduce the Q4 surge and the resulting delays.

Performance goal M1.23

Maintain a robust and effective 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.

	FY 2014–FY 2018
Target	Unqualified audit opinion
Results	Pending
Status	Pending

Performance indicators: Audit opinion on the agency financial statements

Performance goal M1.23(a)

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

	FY 2014	FY 2015	FY 2016	FY 2017
Target	Unqualified audit opinion	Unqualified audit opinion	Unqualified audit opinion	Unqualified audit opinion
Results	Unqualified audit opinion	Unqualified audit opinion	Pending	Pending
Status	Target met	Target met	Pending	Pending

Performance indicators: Audit opinion on the agency financial statements

The goal of obtaining an unqualified audit opinion was met. We are constantly testing, reviewing and refining our financial management practices to ensure we can continue to maintain our unqualified audit opinion.

Management Objective M1.3
Technology: Deliver High-Performing and Secure Networks and Services

The Commission's information technology (IT) goals for FY 2016 and FY 2017 are generally consistent with those in FY 2015. Key differences focus on furthering accomplishment of government-wide cybersecurity priorities including:

- Deployment of Trusted Internet Connection

- Deployment of HSPD-12

- Ensuring all our systems have a valid Authority to Operate

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

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

Our management objective M1.3 is intended to ensure that IT resources support our mission. Our IT performance goals for FY 2016 quantify how the Office of the Chief Information Officer (OCIO) intends to support this objective. Our CIO is the Leader for this management objective.

Performance goal M1.31 strives to improve delivery and support of IT services. Building on the baseline established in FY 2014 and expanded in FY 2015 to include additional systems, we will continue measuring the availability of important IT systems to ensure they are able to consistently support our mission. The goal for FY 2016 and 2017 is to maintain or improve over the previous year's measurement.

The OCIO continues to issue a wide range of surveys that assess the contribution of IT resources to mission accomplishment. In FY 2016, we plan to continue using these survey mechanisms and will seek user feedback on targeted issues through open houses or other meetings during this timeframe as well.

Performance goal M1.32 endeavors to ensure agency IT security by complying with federal cybersecurity priorities. In FY 2015, we added a cybersecurity goal to implement and verify security configuration baselines for all new agency-wide operating systems, in alignment with a federal cross-agency priority cybersecurity goal. Also In FY 2015, we completed all necessary acquisition activities to implement the Trusted Internet Connection, but delayed deployment until final legal review of the connection is completed. Upon satisfactory completion of this review, we will deploy Trusted Internet Connection in FY 2016. In FY 2016, we plan to complete the deployment of HSPD-12 agency-wide to improve user authentication services. Resource constraints were the primary external factors that affected achievement of this goal in FY 2015.

As part of performance goal M1.33, we plan to continue to review and, when needed, update our policies and procedures. We will review and update one-third of these each year and plan to add several new policies addressing cybersecurity and accessibility requirements.

Performance goal M1.31

Improve delivery of IT solutions to better support Commission customers through 2018.

	FY 2014–FY 2018
Target	Implementation of program; regular improvement in percentage availability
Results	See M1.31 (a)
Status	Pending

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

Performance goal M1.31(a)

FY 2014

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

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

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

FY 2015

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

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

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

FY 2016

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

	FY 2016
Target	Maintain or improve over previous FY
Results	Pending
Status	Pending

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

FY 2017

Maintain or improve system availability to users of important IT systems over FY 2016 levels by end of FY 2017.

	FY 2017
Target	Maintain or improve over previous FY
Results	Pending
Status	Pending

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

Performance goal M1.31(b)

FY 2014

Assess effectiveness of improvements made to IT service delivery in FY 2014.

	FY 2014
Target	• Develop and implement action plans for improvements in priority areas • 5 percentage point improvement in priority areas over the FY 2013 OCIO customer satisfaction survey scores
Results	Revised OCIO Customer satisfaction survey deployed. Survey was revised to substantially improve the data-capture process and information quality. A new baseline of 69% satisfied was established. This provides a better foundation on which to assess improvements in future years.
Status	Target partially met

Performance indicators:
• Assessment of the extent to which IT-related services are meeting stakeholders' requirements and helping improve stakeholder productivity, as measured by regular structured feedback
• Assessment of measures taken to address concerns (or deficiencies)

Note: The performance goal for FY 2013 was to increase stakeholder assessment of the contribution of IT resources to mission accomplishment. The target was to develop and apply a survey and achieve a score indicating significant contributions. In FY 2013, the survey was developed and implemented.

FY 2015

Assess effectiveness of improvements made to IT service delivery and prioritize future system development in FY 2015.

	FY 2015
Target	• Develop and implement action plans for improvements in priority areas • 5 percentage point improvement in priority areas over the FY2014 CIO customer satisfaction survey • Develop priorities for new systems to develop in FY 2016
Results	Results from initial survey were 85% positive. Following results were 86% positive.
Status	Target not met

Performance indicators:
• 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
• Identification of needed new systems

FY 2016

Assess effectiveness of improvements made to IT service delivery and prioritize future system development in FY 2016.

	FY 2016
Target	Maintain or improve over previous survey results
Results	Pending
Status:	Pending

Performance indicators:
• 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
• Identification of needed new systems

FY 2017

Assess effectiveness of improvements made to IT service delivery and prioritize future system development in FY 2017

	FY 2017
Target	Maintain or Improve over previous survey results
Results	Pending
Status:	Pending

Performance indicators:
• 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
• Identification of needed new systems

Performance goal M1.32

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

	FY 2014–FY 2017
Target	Priorities established annually
Results	Pending
Status	Pending

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

Performance goal M1.32(a)

FY 2014

Deploy Trusted Internet Connection during FY 2014.

	FY 2014
Target	Initial operating capability of Einstein
Results	Not deployed. Acquisition and implementation process underway. Scheduled to be completed in January 2015
Status	Target not met

Performance indicator: Deployment of Trusted Internet Connection

FY 2015

Deploy HSPD-12 during FY 2015.

	FY 2015
Target	Initial operating capability of HSPD-12
Results	Initial operating capability achieved for all users in OCIO
Status	Target met

Performance indicator: Deployment of HSPD-12

FY 2016

Deploy Trusted Internet Connection and HSPD-12 during FY 2016.

	FY 2016
Target	Completion of operating capability
Results	Pending
Status	Pending

Performance indicator: Deployment of Trusted Internet Connection; deployment of HSPD-12

Performance goal M1.32(b)

FY 2015

Implement and verify security configuration baselines for 100% of new enterprise-wide operating systems in FY 2015.

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

Performance indicator: Network scans of production network devices

FY 2016

Implement and verify security configuration baselines for 100% of new enterprise-wide operating systems in FY 2016.

	FY 2016
Target	100% of new production environment hosts have an approved secure baseline configuration
Results	Pending
Status	Pending

Performance indicator: Network scans of production network devices

FY 2017

Implement and verify security configuration baselines for 100% of new enterprise-wide operating systems and for 100% of upgraded production network devices in FY 2017.

	FY 2017
Target	100% of new production environment hosts continue to have an approved secure baseline configuration; 100% of upgraded production network devices have an approved secure baseline configuration applied.
Results	Pending
Status	Pending

Performance indicator: Network scans of production network devices

Performance goal M1.32(c)

FY 2016

Ensure Commission information systems have a valid Authorization to Operate

	FY 2016
Target	100% (subject to availability of resources)
Results	Pending
Status	Pending

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

FY 2017

Ensure Commission information systems have a valid Authorization to Operate

	FY 2017
Target	100% (subject to availability of resources)
Results	Pending
Status	Pending

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

Performance goal M1.33

Maintain an effective IT service delivery management process by developing new and updating existing IT management policies through 2018.

Performance goal M1.33(a)

FY 2014

Create, review, and update IT management policies and procedures by end of FY 2014 to support effective IT service delivery management.

	FY 2014
Target	Review 1/3 of controls annually
Results	42 of 102 existing policies reviewed in FY 2014
Status	Target met

Performance indicator: All IT management policies and procedures

FY 2015

Review and update IT management policies and procedures by end of FY 2015 to support effective IT service delivery management.

	FY 2015
Target	Review 1/3 of controls annually
Results	77 of 118 existing policies reviewed and new policies drafted in FY 2015
Status	Target met

Performance indicator: All IT management policies and procedures

FY 2016

Review and update IT management policies and procedures by end of FY 2016 to support effective IT service delivery management.

	FY 2016
Target	Review 1/3 of controls annually
Results	Pending
Status	Pending

Performance indicator: All IT management policies and procedures

FY 2017

Review and update IT management policies and procedures by end of FY 2017 to support effective IT service delivery management

	FY 2017
Target	Review 1/3 of controls annually
Results	Pending
Status	Pending

Performance indicator: All IT management policies and procedures

Performance goal M1.34

Improve integrity, delivery, and usability of USITC information assets by enabling access to 100% of the Commission's major datasets (i.e., HTS, EDIS, and trade) using Open Data-compliant machine-readable formats by 2015.

Performance goal M1.34 (a)

FY 2014

Increase availability of information system providing Open Data to 65% of information assets by end of 2014.

	FY 2014
Target	65% of information assets
Results	1 of 3 identified systems make data available in machine-readable format, but second system will go online in Q2 FY 2015. In FY 2014, a fourth was already online.
Status	Target not met

Performance indicator: Availability of information systems providing Open Data

FY 2015

100% of availability of information systems providing Open Data by end of 2015.

	FY 2015
Target	100% of information assets
Results	2 of 3 identified datasets (HTS and EDIS) made available in machine-readable format and posted in JSON format on USITC Open Data webpage, as required. 337Info dataset was also posted. Trade dataset will be made available in FY 2016.
Status	Target not met

Performance indicator: Availability of information systems providing Open Data

FY 2016

All new major systems deployed to production in FY 2016 will be Open Data compliant.

	FY 2016
Target	The data behind all new major systems deployed to production in FY 2016 will be available in machine-readable format and accessible on the USITC Open Data webpage
Results	Pending
Status	Pending

Performance indicator: Availability of information systems providing Open Data

FY 2017

All new major systems deployed to production in FY 2017 will be Open Data compliant..

	FY 2017
Target	The data behind all new major systems deployed to production in FY 2017 will be available in machine-readable format and accessible on the USITC Open Data webpage.
Results	Pending
Status	Pending

Performance indicator: Availability of information systems providing Open Data

In FY 2015, we met or made substantial progress on the majority of our annual information technology targets. We met two of our targets in FY 2015, while the remaining are in progress or not met. We met our FY 2015 goal to review and update our IT management policies. More than one-third of OCIO's policies and procedures have been reviewed and additional policies and procedures have been created. To help ensure a robust security posture, we met our goal to achieve initial operating capability of HSPD-12. In order to log onto the USITC network, privileged users and domain users within OCIO are required to use their HSPD-12 PIV card.

We made substantial progress implementing and verifying security configuration baselines for our new production environment hosts, though we did not fully meet our target. Security configuration baselines consist of applying several security settings at the operating system level to enterprise systems. Although applied to all new systems, several of the configurations settings were not successfully applied to all hosts due to configuration settings on the host. These configuration settings issues are being analyzed and will be corrected to ensure that they are compliant. We made substantial progress on our goal to make our major systems Open Data compliant, but was not able to reach our goal due to resource constraints. During FY 2015, EDIS and HTS data were made available in JSON format on the USITC Open Data website. We expect to achieve this goal in FY 2016 when the DataWeb is reengineered and data are made available in JSON format.

We made significant progress in tracking systems availability by the end of fiscal year 2015. However, because we established our baseline only at the end of FY 2014, we did not have enough data to assess whether we had reached our FY 2015 target. In fiscal year 2015, OCIO solicited feedback to assess the effectiveness of improvements made to IT service delivery and prioritize future system development. We showed improvement in overall satisfaction, but fell

short of our FY 2015 user satisfaction goal for IT service and delivery. A baseline of 85 percent satisfaction was established from FY 2014 results. A survey conducted early in FY 2015 showed results of 86 percent positive. A follow-up survey was issued early in Q1 FY 2016 to measure the previous six months' results. We analyzed results from the first 2015 survey for areas of improvement, and developed and implemented an action plan for one of the problem areas highlighted in the user survey feedback. The action plan resulted in positive feedback from the user community on the workstation performance issue.

Cross-cutting Objectives

The Commission set forth two cross-cutting objectives in our FY 2014–FY 2018 Strategic Plan. Both support improvements in various aspects of our 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, we use results from the Federal Employee Viewpoint Survey (FEVS) to prioritize improvements to agency operations.

We also use feedback from the public to improve the functionality and utility of information we provide on our website and through web applications. Over time, the website is becoming our principal vehicle for providing information to the public.

For FY 2016 and 2017, we will continue to build on gains we have made in overall employee satisfaction with management and the workplace. We also plan to seek feedback from users of our website and, for the first time, to obtain specific feedback from users of EDIS. The Leader for this cross-cutting objective is the Chief Administrative Officer.

Performance goal C.11

Improve employee satisfaction and commitment to the agency as measured by the FEVS by achieving continuous improvement by FY 2018.

Performance goal C.11 (a)

FY 2014

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

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

Performance indicator: FEVS results

FY 2015

Improve agency results in specific areas measured in the FEVS.

	FY 2015
Target	Identify specific areas within FEVS for improvement based on FY 2014 FEVS set baseline
Results	Commission identified Employee Engagement Index and Global Satisfaction Index as the measures of performance in this area. Baselines set at 73 percent and 70 percent respectively.
Status	Target met

Performance indicator: FEVS results

FY 2016

Improve agency results in specific areas measured in the FEVS.

	FY 2016
Target	Improvement over FY 2015 baseline on identified questions
Results	Pending
Status	Pending

Performance indicator: FEVS results

FY 2017

Improve agency results in specific areas measured in the FEVS.

	FY 2017
Target	Improvement over FY 2016 results on identified questions
Results	Pending
Status	Pending

Performance indicator: FEVS results

Performance goal C.12

FY 2014

Make continuous improvements to the Commission's web presence that lead to improvements in user satisfaction.

	FY 2014
Target	Overall satisfaction consistent with the average for other executive branch agencies
Results	USITC score of 71 is within +2 of benchmark score of 73 for executive branch federal agencies
Status	Target met

Performance indicator: ForeSee Survey Results

FY 2015

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

	FY 2015
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
Results	USITC score of 69 is not within +3 of benchmark score of 73 for executive branch federal agencies
Status	Target not met

Performance indicator: ForeSee Survey Results, assessment of use of new technologies

FY 2016

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

	FY 2016
Target	Overall satisfaction consistent with the average for other executive branch agencies (not more than 3 points less than the average benchmark score for Executive Branch federal agencies); annual assessments of technology portfolio with identified needs articulated in planning and scoping documents
Results	Pending
Status	Pending

Performance indicator: ForeSee Survey Results, assessment of use of new technologies

FY 2017

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

	FY 2017
Target	Overall satisfaction consistent with the average for other executive branch agencies (not more than 3 points less than the average benchmark score for Executive Branch federal agencies); annual assessments of technology portfolio with identified needs articulated in planning and scoping documents
Results	Pending
Status	Pending

Performance indicator: ForeSee Survey Results, assessment of use of new technologies

Table 2: Historical data

	FY 2012	FY 2013
Satisfaction score for Commission's website	72	72

Performance goal C.13

Increase stakeholder satisfaction with EDIS.

	FY 2014–FY 2018
Target	Develop survey method; establish user satisfaction baseline
Results	Pending
Status	Pending

Performance indicators: method of obtaining EDIS user feedback; baseline for user satisfaction

Performance goal C.13 (a)

Increase stakeholder satisfaction with EDIS.

	FY 2014	FY 2015	FY 2016	FY 2017
Target	Develop survey method	Establish user satisfaction baseline	Improve on the previous year's user satisfaction score	Improve on the previous year's user satisfaction score
Results	Developed and deployed survey and began gathering results. Established baseline from results received in FY 2014.	Improved on FY 2014 baseline score of 3.52 to 3.90 in FY 2015, an increase of 0.38	Pending	Pending
Status	Target met	Target met	Pending	Pending

FY 2014 Performance indicator: Method of obtaining EDIS user feedback
FY 2015 Performance indicator: Baseline for user satisfaction
FY 2016 Performance indicator: User satisfaction score as measured through EDIS user satisfaction survey
FY 2017 Performance indicator: User satisfaction score as measured through EDIS user satisfaction survey

We chose the Employee Engagement and Global Satisfaction indices used by the Office of Personnel Management as the measures for Performance Goal C.11(a). The baselines were set at 73 percent and 70 percent respectively. We will seek to improve upon these baselines during FY 2016. The satisfaction score for the public website (Performance Goal C.12), as measured using the Foresee survey service, was 69. This was more than three points lower than the overall satisfaction score for all Executive Branch agencies (as measured by Foresee), which is used as the benchmark. We plan to begin an effort to redesign our public website in FY 2016 in an effort to improve user satisfaction. For the web-based EDIS application (Performance Goal C.13), the satisfaction score was measured as 3.90 on a 0–5 scale, which was an improvement of 0.38 over the benchmark score established in FY 2014. Development is underway to implement an updated version of EDIS in FY 2016. The new version will employ more modern user interface features to continue the trend of improving user satisfaction.

Cross-Cutting Objective 2 (C.2) Improve the Resource and Performance Management Capabilities of Commission Managers

In recent years the Commission has made significant improvements in the management of its administrative and program operations. Over the next four years, our goal is to enhance our overall efficiency and effectiveness by improving resource and performance management information. We have made, and continue to make, incremental improvements in our ability to capture and report financial and operational data that meets the needs of our managers. We recognize that resource constraints and other priorities, may impede our ability to procure a new system or systems that fully address our reporting needs in the near future. However, we believe that recent developments—in particular expanded IT capabilities both within and outside of the OCIO, and increased managerial focus on this and related issues—may alleviate these constraints. We will continue to explore systems for potential integration into an enterprise management system (EMS), and we will work towards making concrete progress in specific areas. Our EMS likely will consist of integrated IT systems or components that all share data, with a common reporting interface that can relate data from all systems. In FY 2016, we will focus on determining the specific needs of our managers. The leader for this cross-cutting objective is the Chief Operating Officer.

Performance goal C.21

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 2019.

	FY 2018
Target	System in use by end of FY 2019
Results	Pending
Status	Pending

Performance indicators: Deployment of enterprise management system

Performance goal C.21 (a)

FY 2014

Establish cross-agency requirements development team and define the scope of the system by end of FY 2014.

	FY 2014
Target	Establish team and define system scope
Results	Team established and scope defined
Status	Target met

Performance indicator: Requirements development process

68

FY 2015

Complete development and evaluation of system requirements by end of FY 2015.

	FY 2015
Target	Requirements developed and risks/costs/benefits evaluated
Results	Development and evaluation of system requirements not completed
Status	Target not met

Performance indicator: System requirements

FY 2016

Complete development and evaluation of specific system requirements focused on the internal reporting needs of managers by the end of FY 2016.

	FY 2016
Target	Complete assessment of management's data and reporting needs
Results	Pending
Status	Pending

Performance indicator: Back end reporting documents for components of the EMS.

FY 2017

Complete plan to acquire the tools or system components necessary to support management reporting requirements by the end of FY 2017.

	FY 2017
Target	Acquisition plan completed
Results	Pending
Status	Pending

Performance indicator: Acquisition plan

FY 2018

Acquire or develop enterprise management system components by the end of FY 2018.

	FY 2018
Target	System development complete
Results	Pending
Status	Pending

Performance indicator: Completed system or system components

FY 2019

Test and deploy enterprise management system components by the end of FY 2019.

	FY 2017
Target	System tested and deployed
Results	Pending
Status	Pending

Performance indicator: Effective management reports

Appendix A
International Trade Commission Staff Offices

Office of the Administrative Law Judges

The Commission's **administrative law judges (ALJs)** hold hearings and make initial determinations in investigations under section 337 of the Tariff Act of 1930. If, after receipt of a 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 our 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 of Operations:

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

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

The **Office of Investigations (INV)** supports the Commission's mandate to conduct import injury investigations, including those specified in the Tariff Act of 1930, the Trade Act of 1974, the North American Free Trade Agreement (NAFTA) Implementation Act of 1993, and the Uruguay Round Agreements Act (URAA) of 1994.

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

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

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

Office of External Relations

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

Office of the Chief Information Officer

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

Office of the Chief Financial Officer

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

Office of Administrative Services

The **Office of Administrative Services (OAS)** provides human resource services—including collective bargaining with union representatives; information and document management; management of work-life issues; and facilities management services. In addition, it is responsible for all of our physical and personnel security matters. Component offices include Human Resources, Security and Support Services, and the Office of the Secretary.

Office of Inspector General

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

Office of Equal Employment Opportunity

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

Appendix B
Performance Data Sources

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

The following tables show the lead office and data sources for each FY 2015 performance goal.

Strategic Objective 1.1

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
1.11(a)	Develop and approve possible options for classification of investigations into more or less complicated categories by the end of FY 2015; Classification of investigations	Develop classifications	GC	337info, EDIS, complaints, and IMs
1.11(b)	Develop most promising proposals from report to the Commission and prepare implementation plan by the end of FY 2015; Implementation plan	Plan prepared for implementation	GC	337info, EDIS, complaints, and IMs
1.11(c)	Measure effectiveness of early disposition pilot program; Assessment of effectiveness	Information assessed	OUII	337info and EDIS
1.11(d)	Measure effectiveness of e-discovery case management and initial disclosure case management pilot program; Assessment criteria	Complete initial evaluation of pilot programs	OUII	337info and EDIS
1.12	Improve the timeliness of ancillary proceedings by reducing the average length of ancillary proceedings; Length of ancillary proceedings concluded on the merits	Reduce the average length of ancillary proceedings (months): -modification (6) -advisory (9) -enforcement (12) -Fed. Circuit remands (12) -Consolidated (15)	GC	Data gathered by GC and 337info
1.13	Increase the utilization of electronic questionnaires for import injury investigations to 90% by 2015; Utilization rate (i.e., share of questionnaires transmitted and received electronically)	90% utilization	INV	Database created and information pulled from questionnaire extraction files and from information received from staff (i.e., investigators)
1.14	Deliver 100% of import injury investigation determinations and reports by the statutory deadline; Submission of Commission determinations and reports to Commerce	100%	INV	Log maintained by INV
1.15	Implement a process to evaluate and improve agency decision-making based on judicial and NAFTA panel remands during FY 2015: Implemented evaluation process	Process implemented	GC	Remands

Strategic Objective 1.2

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
1.21a	Improve availability of investigation-related information by expanding development of investigation databases by the end of FY 2015; Title VII data system	Title VII data system developed	INV	Creation of Track 7; information input by various offices
1.22	Post information on import injury investigation case webpages within specific timeframe; Investigation-related information posted	85% of information posted within 48 hours and 90% within 72 hours of issuance	INV	Log developed/maintained by INV
1.23	Staff conducts outreach to bar groups and others to ensure they understand Commission capabilities and process; Outreach efforts	Efforts made each quarter	INV	Logs maintained by various offices tracking outreach efforts
1.24	Issue annual feedback survey to external stakeholders to assess effectiveness and efficiency of processes and procedures. Implement proposed new processes/procedures as appropriate; Survey issuance; process/ procedure updates	Surveys issued annually; processes and/or procedures updated	INV	Survey responses; process revisions
1.25	Post documents to EDIS within specified time frames; Percentage of documents posted	85% of documents processed within 24 hours and 95% within 48 hours.	SE	Metrics maintained and reported on by SE with assistance from CIO

Strategic Objective 2.1

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
2.11(a)	Publish new or updated digital or interactive Commission products in FY 2015; New or updated digital or interactive Commission products produced for customers and the public	Two digital or interactive Commission products available to customers and the public	EC/IND	Publications
2.11(b)	Develop new trade data system to upgrade the DataWeb by the end of FY 2015; Modernized trade data system	Deploy new trade data system	OARS/CIO	DataWeb (reprogrammed system)
2.12(a)	Improve the efficiency of timely delivery of Commission products by evaluating and implementing improved production processes; Number of major production processes evaluated; Process improvements identified, implemented, and evaluated	Implement process changes identified in FY 2014; evaluate effectiveness of changes; complete evaluation of two additional processes	IND	Document, with changes identified in FY 2014; document implementation; assessment of impact of changes
2.12(b)	Improve efficiency of HTS publication process in FY 2015 to ensure accuracy of published version; Identified and corrected information	96% of the updates are found to be error free after the review process; the remaining 4% are identified and corrected in the review process	TATA	Logs show percentage of errors found during review and percentage of errors identified post-publication
2.13	All USITC-generated documents related to investigations requested during FY 2015 that are posted to the USITC website are 508 compliant; USITC-generated documents posted to the website related to investigations requested in FY 2015	100% 508 compliance	IND/EC	508-compliant documents posted to website
2.14	Provide on-line technical information modules for the public and staff by the end of FY 2015 and continue to develop new modules; Number of training modules available on USITC website; Number of new technical information e-learning modules under development by September 2015	Two modules posted, one new module under development by September 2015	IND	Modules available on website; module under development
2.15	Improve timeliness of tariff and customs information provided in response to emails submitted through online help system; Email responses to HTS inquiries	92% of emails through online help system receive responses within 7 working days	TATA	Data compiled by staff and aggregated for reporting purposes

Strategic Objective 2.2

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
2.21(a)	Engage Commission customers and international and research organizations to improve analytical tools and to advance agency capabilities to provide effective and responsive analysis, data, and nomenclature services in FY 2015; Feedback provided during briefings, meetings, and other engagements; actions taken	Engagement with customers and other organizations related to Commission reports and other research efforts generating feedback; actions taken as appropriate	IND/EC	Meeting notes
2.22(a)	Based largely on customer input, continually identify and prioritize areas to enhance capabilities to analyze new issues in trade and industry competitiveness; Priority areas identified and vetted	Improved capabilities in priority areas such as: 1. Advancing modeling efforts, such as global modeling including analysis of distributional effects of trade on U.S. households 2. Expand analysis of emerging issues and research areas, such as economic and trade effects of energy markets, technologies, and related services; behind-the-border NTMs affecting goods and services such as TBTs and standards; trade facilitation and customs issues; supply chains; product space analysis 3. Increase capabilities and knowledge related to unilateral, bilateral, regional, and multilateral trade-related agreements	IND/EC	Joint EC/ID research spreadsheet; meeting documentation; TPA priority gap closing documents
2.23(a)	Improved analytical tools and new capabilities are reflected in statutory work products; Share of staff research products reflected in statutory products	Improved analytical tools and new capabilities are reflected in statutory work products	EC/IND	Database document

Management Objective 1.1

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
M1.11(a)	Identify and convert paper processes found to be inefficient to more efficient electronic processes; 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)	Progress toward eliminating all paper processes in each major area	OAS	HR records, HR systems (personnel system, payroll system, etc.), SharePoint or successor document management system
M1.12	Complete hiring actions with service level agreements within the timeframe specified (generally, 80 days) in order to improve overall vacancy rate and better achieve agency mission; 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	85% of hiring actions completed within the time frame set forth in the service level agreement, or 5% increase over FY 2014 actual result	OAS	Hiring process data
M1.13	Increase stakeholder satisfaction with the extent to which recruiting efforts bring in the right human capital in an efficient manner; FEVS annual survey	Set baseline for FEVS questions related to this area	OAS/CFO	OAS and CFO annual management survey, HR after-action follow-up survey
M1.14	Improve accuracy and completeness of hiring case files; Results of review of all hiring actions completed	Improvement over FY 2014 average	OAS	HR case files
M1.15	Improve stakeholder satisfaction regarding opportunities for professional development to help retain human capital; Results of FY 2015 FEVS questions related to this area	Set baseline for FEVS questions related to this area.	OAS	OAS and CFO annual customer service survey, FEVS

Management Objective 1.2

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
M1.21(a)	Issue financial management reports that are consistent with the financial system; Reports that are timely, fully consistent with financial accounts, and receive positive feedback	Accurate reports	OCFO	- Oracle Federal Financials (OFF) - Labor Cost Database (if special requests are received) - OCFO SharePoint Site
M1.21(b)	Issue timely financial management reports; Timely issuance of reports;	Reports issued monthly	OCFO	- OFF - Labor cost database - OCFO SharePoint site - Discussions with office directors and CCMs - Finance and Budget Committee meetings
M1.21(c)	Gauge management satisfaction via the use of internal surveys and use survey feedback to improve financial management reports; Survey results	Management satisfaction with efforts to incorporate their suggestions/feedback into budget reports, as reflected in management survey responses	OCFO	Survey responses
M1.22(a)	Reduce by 4% the share of procurement actions that exceed the Procurement Action Lead Time (PALT) in FY 2015; Share of procurement actions that exceed the PALT	Quarterly PALT reviews that show a 4% reduction of procurement actions that exceed the PALT in FY 2015 from the FY 2014 level	OCFO	- PRISM - OFF - Contract files - Procurement log
M1.22(b)	Provide accurate, weekly electronic status reporting of all current/pending procurement actions to Cost Center Managers (CCMs) and CORs during FY 2015; Reports are timely, accurate, and up-to-date	Accurate, up-to-date reports issued weekly	OCFO	- PRISM - Federal Procurement Data System—Next Generation (FPDS-NG) - Weekly requisition reports - Contract files - Procurement log

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
M1.22(c)	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; PALT timelines	PALT timelines are refined and reduced by 5% from the FY 2014 levels	OCFO	Federal Acquisition Regulation (FAR)
M1.23(a)	Maintain a robust system of financial management and internal controls to achieve an annual unqualified audit opinion on the agency's financial statements; Audit opinion on the agency financial statements	Unqualified audit opinion	OCFO	- Oracle Federal Financials - Concur - OCFO SharePoint Site - Contract files - Reconciliations - Purchase Card Log

Management Objective 1.3

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
M1.31(a)	Improve system availability to users of important IT systems over FY 2014 baseline by end of FY 2015; Percentage of availability to users of important IT systems	Improvement over FY 2014 baseline	OCIO	Quality Assurance Surveillance Plan (QASP)
M1.31(b)	Assess effectiveness of improvements made to IT service delivery and prioritize future system development in FY 2015; • Assessment of the extent to which IT-related services are meeting stakeholders' requirements and helping improve stakeholder productivity, as measured by regular structured feedback • Identification of needed new systems	Develop and implement action plans for improvements in priority areas; 5 percentage point improvement in priority areas over the FY 2014 OCIO customer satisfaction survey scores; Develop priorities for new systems to develop in FY 2016	OCIO	CIO Customer Service Survey
M1.32(a)	Deploy HSPD-12 during FY 2015; Deployment of HSPD-12	Initial operating capability of HSPD-12	OCIO	Deployment date from contractor
M1.32(b)	Implement and verify security configuration baselines for 100% of new enterprise-wide operating systems in FY 2015; Network scans of production network devices	100% of new production environment hosts have an approved secure baseline configuration	OCIO	Nessus Scanning Tool
M1.33(a)	Review and update IT management policies and procedures by end of FY 2015 to support effective IT service delivery management; All IT management policies and procedures	Review 1/3 of controls annually	OCIO	Policy and Procedure Spreadsheet
M1.34(a)	100% of availability of information systems providing Open Data by end of 2015; Availability of information systems providing Open Data	100% of information assets	OCIO	Open Data Internet links pointing to EDIS, HTS, DataWeb

Cross-Cutting Objective 1

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
C.11 (a)	Improve agency results in specific areas measured in the FEVS; FEVS results	Identify specific areas within FEVS for improvement based on FY 2014 FEVS set baseline	OAS	FEVS
C.12	Make continuous improvements to the Commission's web presence, including use of other evolving technologies (e.g., mobile applications, streaming video, rich internet capabilities), that benefit Commission customers and lead to improvements in user satisfaction; ForeSee Survey Results and assessment of use of new technologies	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	CIO	ForeSee
C.13 (a)	Increase stakeholder satisfaction with EDIS; Baseline for user satisfaction	Establish user satisfaction baseline	OAS (SE)/OCIO	EDIS users (internal and external)

Cross-Cutting Objective 2

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
C.21 (a)	Complete development and evaluation of system requirements by end of FY 2015; System requirements	Requirements developed and risks/costs/benefits evaluated	OAS	Teamsite (SharePoint), MS Outlook, team work product

Appendix C
Selected Workload Trends

Table C.1 Summary of Import Injury Investigations, FY 2010 – 2017

	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Estimate	FY 2017 Estimate
Instituted								
Preliminary Title VII	3	8	8	13	9	12	11	10
Final Title VII	12	2	12	5	15	10	13	10
Other	0	2	0	1	0	1	2	1
Full Review	9	12	7	10	7	8	13	13
Expedited Review	8	19	9	9	11	16	11	12
Total	32	43	36	38	42	47	50	46
Completed								
Preliminary Title VII	8	8	7	9	13	11	13	10
Final Title VII	11	6	8	7	9	12	13	12
Other	0	2	0	1	0	1	2	1
Full Review	10	9	9	10	7	9	10	10
Expedited Review	8	12	17	3	15	14	12	15
Total	37	37	41	30	44	47	50	48

Table C.2 Summary of Unfair Import Investigations and Ancillary Proceedings, FY 2010–FY 2017

Status	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Estimate	FY 2017 Estimate
Instituted	58	78	56	52	49	47	47	47
Completed	52	58	57	72	59	50	48	48

Table C.3 Summary of Industry and Economic Analysis Investigations, FY 2010–FY 2017

Status	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Estimate	FY 2017 Estimate
Instituted	16	8	9	10	8	5	9	9
Completed	13	11	6	12	10	9	9	9

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