



# United States International Trade Commission

## **Annual Performance Plan, FY 2018-2019 and Annual Performance Report, FY 2017**





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# Abbreviations and Acronyms

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

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

# Message from the Chairman

I am pleased to transmit the U.S. International Trade Commission's Annual Performance Plan for FY 2018–2019 and the Annual Performance Report for FY 2017. This combined report describes the agency's programmatic and management goals for FY 2018 and FY 2019, documents our performance and accomplishments for FY 2017, and discusses challenges going forward.

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

I provide a brief overview of the Commission's key accomplishments in FY 2017 below:

## Key Accomplishments in FY 2017

- In FY 2017, the Commission responded to requirements of the American Manufacturing Competitiveness Act of 2016 by deploying the Miscellaneous Tariff Bill Petition System (MTBPS) for the intake of all petitions to temporarily reduce or suspend tariffs on specific products and comments on those petitions. We received 3,162 petitions and 2,491 public comments. The Commission delivered its final MTB report on August 8, 2017 and in the report recommended 1,686 products for inclusion in the omnibus MTB legislation.
- In FY 2017, the Commission completed 66 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 aircraft; various steel, aluminum, and metal products; chemicals and fuels; agricultural products; textiles; and wood forest and paper products. The Commission has streamlined its investigative proceedings and reduced burdens on parties by refining its use of electronic data collection and analysis.
- In FY 2017, the Commission adjudicated 61 disputes under Section 337 of the Tariff Act of 1930. In these disputes, the Commission determines whether imports have infringed intellectual property rights or injured a domestic industry through unfair competition or other unfair acts like trade secret misappropriation. These investigations are demanding, complex and often involve multiple parties, large numbers of patents and/or patent claims. Moreover, they often cover a wide range of technologies and products, such as electronic devices, pharmaceutical and medical devices, transportation products, and consumer goods such as

hand dryers, height-adjustable desks, beverage brewing capsules, bulk containers, sheets, and air mattresses, among other things.

- During the year, the Commission continued to work to reduce the length of 337 investigations and proceedings. Going forward, the Commission plans to implement electronic service of documents and develop additional ways to make information in section 337 investigations more accessible to the public.
- In FY 2017, drawing on its economic modeling expertise and extensive international trade and industry knowledge, the Commission provided state-of-the-art economic analyses to the President, the USTR and Congress. These investigations covered a variety of topics, including examining the competitiveness of the U.S. aluminum industry, foreign barriers to global digital trade, and trade barriers affecting global supply chains. In addition, the agency compiled the 2017 Harmonized Tariff Schedule and its updates
- During FY 2017, the Commission also took important steps to ensure that it used taxpayer dollars efficiently. Over the course of the fiscal year, the Commission improved the quality of its information collection process and analytic methodologies and worked to improve the timeliness of its determinations. The Commission also made significant improvements in its information technology security, human resources administration, and the management of its financial resources.
- In FY 2017, the Commission continued to improve internal controls for programmatic, administrative, and financial activities. By doing so, the Commission is better able to ensure that it expends government resources effectively and that its programmatic, administrative and financial reports contain accurate and complete information. In this regard, the agency continued to refine its enterprise risk management framework and to further integrate enterprise risk management into its planning and budgeting processes.
- Finally, we are proud that, in 2017, the Commission was ranked as the second best small federal agency to work for, based on OPM's Federal Employee Viewpoint Survey.

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



Rhonda K. Schmidlein  
February 2018



# FY 2018 and 2019 Annual Performance Plan and FY 2017 Annual Performance Report

The U.S. International Trade Commission’s combined Annual Performance Plan and Annual Performance Report is based on the FY 2018–FY 2022 Strategic Plan. This report describes the specific performance goals and strategies we have laid out to make progress on our strategic goals and strategic objectives through FY 2022. It also compares our FY 2017 results with the performance goals we published in our FY 2017 Annual Performance Plan. Our planning process is carried out in accordance with the provisions of the Government Performance and Results Act of 1990 (GPRA), as amended by the GPRA Modernization Act of 2010, and related guidance from the Office of Management and Budget.

## Mission Statement

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

## Agency Information

### Overview

International trade and investment increasingly shape the U.S. and global economies. 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 the level and composition of U.S. investment and trade. 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 independent, objective, and timely analysis on many, 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, workers, 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 ensure foreign firms are competing fairly. Our statutory obligation to timely determine import injury investigations is critical to maintaining the confidence of U.S. companies and workers in a fair and impartial international trading system. Our sound investigation into and timely resolution of allegations of unfair acts in import trade, such as complex intellectual property disputes, can be of paramount economic importance to U.S. industries. We also assist to U.S. Customs and Border Protection (CBP), as needed, to support effective enforcement of Commission exclusion, antidumping, and countervailing duty orders.

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

Our key statutory responsibilities are shown in box 1.1.

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

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

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

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

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

**Trade Act of 1974**

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

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

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

**Omnibus Trade and Competitiveness Act of 1988**

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

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

**Bipartisan Congressional Trade Priorities and Accountability Act of 2015**

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

**American Manufacturing Competitiveness Act of 2016**

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

# Organizational Structure

## Commissioners

The USITC is headed by six Commissioners, who are nominated by the President and confirmed by the U.S. Senate. Rhonda K. Schmidlein, a Democrat, is serving as Chairman of the Commission for a term ending June 16, 2018. David S. Johanson, a Republican, is serving as Vice Chairman. Other Commissioners currently serving are, in order of seniority, Irving A. Williamson and Meredith M. Broadbent.<sup>1</sup>

Each Commissioner serves a term of nine years, unless appointed to fill an unexpired term. The terms are set by statute and are staggered such that a different term expires every 18 months.<sup>2</sup> 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 two Democrats and two Republicans serve as Commissioners.

## USITC Staff

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

- Office of Operations (OP), and its subordinate Offices of Investigations (INV), Industries (IND), Economics (EC), Tariff Affairs and Trade Agreements (TATA), Unfair Import Investigations (OUII), and Analysis and Research Services (OARS);
- Office of the Administrative Law Judges (OALJ);
- Office of the General Counsel (GC);
- Office of External Relations (ER), which also houses the Trade Remedy Assistance Office (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 (OIG); and
- Office of Equal Employment Opportunity (OEEO).

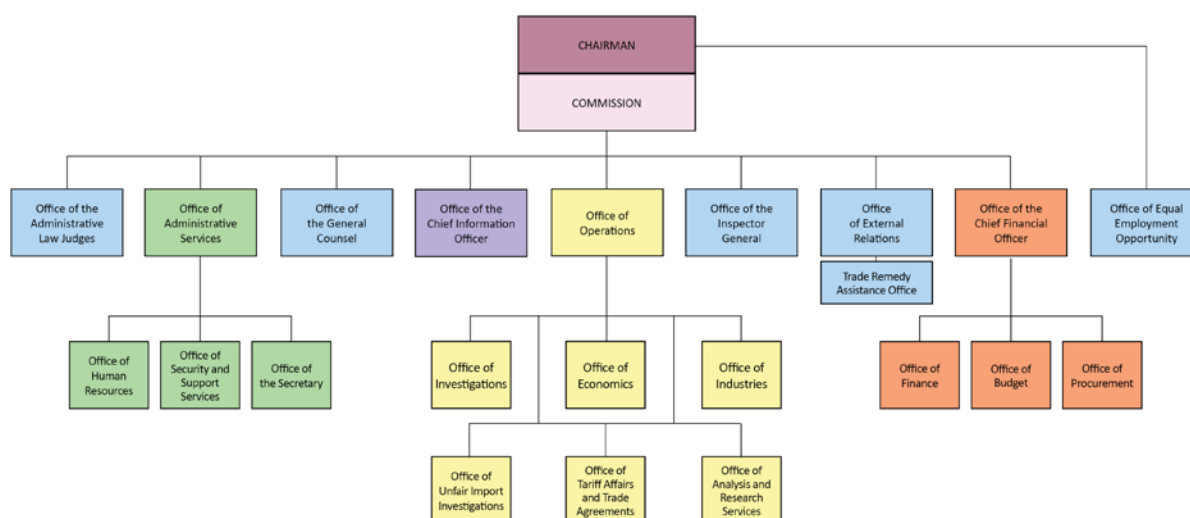
See appendix A for more information on the individual offices of the USITC.

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<sup>1</sup> Currently, there are two vacancies.

<sup>2</sup> 19 U.S.C §1330.

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



## Major Management Priorities, Challenges, and Risks

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

The Commission’s Inspector General (IG) has identified three management challenges: Internal Controls, IT management, and Data management. The IG noted that the Commission has recognized the importance of having strong internal controls and has taken action to address internal control weaknesses. However, despite the progress made over the past five years, the agency needs to continually monitor and review internal controls to ensure that controls work effectively and achieve the desired results. The IG also noted that the Commission has shown continued commitment towards improving its enterprise risk management efforts and encouraged the Commission to continue these efforts.

Several of the annual performance goals supporting our strategic goals are designed to address these challenges, by focusing on improving cybersecurity and IT services, increasing access to various types of program and financial data to support our managers’ decision making, and

continuing efforts to update and improve internal controls. During FY 2017 and early FY 2018 we made significant progress. Notably, we strengthened our cybersecurity posture, completed important milestones to modernize our data center infrastructure, and began to use business intelligence software to improve our reporting capabilities. Moreover, we received our seventh consecutive unmodified opinion from financial auditors operating independently under the authority of the IG. In FY 2018, we expect to continue to improve access to program and financial data to provide more than the basic financial management reports to agency managers.

We will continue to focus on upgrading our performance in these areas to fulfill our mission. In FY 2017, we continued to improve our enterprise risk management (ERM) process and more fully integrated ERM into our planning, evaluation, and budgeting processes. Over time, 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 more coordinated way.

## Reviews and Evaluations

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

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

The public can access the volume at: [www.whitehouse.gov/omb/budget](http://www.whitehouse.gov/omb/budget).

## Structure of the Report

The remainder of this report consists of three sections:

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

Each section describes objectives and corresponding performance goals through FY 2019, 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 2018 and future years.

# Strategic Goal 1

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

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

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, Administrative Law Judges, and Commission staff must consistently perform thorough investigations and make sound factual findings and legal conclusions. The record in each investigation must be developed and analyzed in an objectively unbiased manner, and the resulting determinations must be well-reasoned, timely, and consistent with the law. We are challenged in these efforts by the increasing complexity of our investigations, our variable caseload, and resource constraints.

In FY 2017, our workload for import injury investigations was at historic highs, including two global safeguard investigations, the first in 15 years, while the workload for unfair import investigations remained at elevated levels. See appendix C for more details.

### Strategic Objective 1.1

#### Reliable Process: Conduct expeditious and sound investigative proceedings

The Commission is charged with conducting prompt, thorough, and independent investigations and engaging in sound decision making. Parties to our proceedings, which range from individual inventors or small businesses to large multinational corporations, seek reliable processes that ensure fair and timely decisions consistent with applicable U.S. law. Timely decisions are critical to our mission because our import injury investigations have specific statutory deadlines, and 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 products obsolete in just a few years. For all these reasons, we have



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

We will use a number of strategies to meet this strategic objective. First, we will ensure that Commission determinations are based on sufficient record evidence by examining feedback from agency decision makers as well as decisions of reviewing courts. Next, we will continue our efforts to meet external deadlines—for example, by delivering all import injury reports by the statutory deadlines. We 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 most of 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 the investigative caseload as well as budgetary constraints. We cannot control the number, timing, or breadth of investigation requests we receive. By statute, we must respond to investigation requests within a set time, potentially impacting progress on this objective.

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

## Performance goal 1.11

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

	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
Target (months) <sup>b</sup>	—	—	—	—	—	15
Results (months)	15.1	Pending	Pending	Pending	Pending	Pending
Status	On track to meet target	Pending	Pending	Pending	Pending	Pending

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

<sup>b</sup> 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	FY 2016
Annual average length of investigations concluded on the merits (in months)	18.4	13.7	16.5	19.7	17.1	15.6	15.8

Performance goal 1.11 is directed to shortening the average length of section 337 investigations. Specifically, we are seeking to reduce the average length of these investigations to 15 months by FY 2022. In FY 2017, we were slightly above our goal average target date length at 15.1

This year the Commission worked to resolve all investigations before the target date. We will continue to work towards reducing the average length of investigations on the merits while also providing technically sound determinations in all investigations. Various factors such as novel legal issues, cases of first impression, and new defenses or allegations added during the discovery phase of an investigation, multiple new complaints filed closely together and overall caseload continue to have a significant impact on investigation length.

Our staff continued to focus in FY 2017 on ways to reduce the length of investigations through other means. During FY 2015, we developed several proposed rules that were published in the *Federal Register* on September 24, 2015.<sup>3</sup> One proposal 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 received extensive public comments on these proposals that prompted further internal deliberation. These discussions had not concluded by the end of FY 2017.

## **Performance goal 1.11(a)**

### **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.

<sup>3</sup> 80 Fed. Reg. 57553 (September 24, 2015).

**FY 2015**

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

<b>FY 2015</b>	
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.

<b>FY 2016</b>	
Target	Proposals implemented
Results	Proposals not implemented, but significant progress made
Status	Target not met

Performance indicator: Implementation of proposals.

**FY 2017**

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

<b>FY 2017</b>	
Target	Proposals implemented
Results	Proposals not implemented, but significant progress made
Status	Target not met

Performance indicator: implementation of proposal (rulemaking).

**FY 2018**

Develop criteria to assess whether implemented proposals have been effective.

<b>FY 2018</b>	
Target	Assessment criteria developed
Results	Pending
Status	Pending

Performance indicator: Assessment criteria.

**FY 2019**

Assess whether implemented proposals have been effective.

<b>FY 2019</b>	
Target	Complete assessment and provide proposal, if warranted
Results	Pending
Status	Pending

Performance indicator: Assessment; proposal.

In FY 2013, we launched two pilot programs aimed at reducing the length of section 337 investigations, increasing their efficiency, and lowering the cost of discovery in these investigations. The first program is the early disposition program, in which the Commission may direct the ALJ in an investigation to make findings on certain potentially dispositive issues

within the first 100 days after the investigation is instituted. Examples of such issues include standing or 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 2017, the Commission again used these criteria to measure the effectiveness and efficiency of these programs. With four years of data there was a cognizable increase in the number of motions filed in the past year regarding e-discovery and contentions even among the ALJs piloting these rules. Recommendations were made to possibly expand the program to determine whether there would be an impact and, if so, what impact it would have. With regard to the early disposition program, recommendations were made and implemented to promote more transparency in the Commission's application of the pilot, such orders stating the reasons why the Commission denied a request to place an investigation in the early disposition program. In FY 2017, we again used these criteria to assess the effectiveness of these programs. In FY 2018, we will continue to assess the effectiveness of the early disposition program and consider whether additional criteria should be used to assess the program.

## Performance goal 1.11(b)

### 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	Recommendations made
Status	Target met

Performance indicator: Assessment of effectiveness.

**FY 2017**

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

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

Performance indicator: Report on assessment of effectiveness.

**FY 2018–FY 2019**

Measure effectiveness of early disposition program and implement changes if appropriate

	<b>FY 2018</b>	<b>FY 2019</b>
Target	Information assessed; improvements implemented	Information assessed; improvements implemented
Results	Pending	Pending
Status	Pending	Pending

Performance indicator: Report on Assessment of effectiveness.

**Performance goal 1.11(c)****FY 2014**

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

<b>FY 2014</b>	
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.

<b>FY 2015</b>	
Target	Complete initial evaluation of pilot programs
Results	Initial evaluation completed
Status	Target met

Performance indicator: Assessment criteria.

## FY 2016–FY 2019

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

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

Performance indicator: Assessment criteria.

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

In FY 2018, the Commission has added performance goals to analyze the average length of time the investigation is before the Administrative Law Judge and the average time the investigation is before the Commission. This information will allow the Commission and its stakeholders to assess whether improvements need to be made in various processes to increase efficiencies.

### Performance goal 1.11(d)

Improve average length of time between Final ID and completion of Commission review.

	FY 2018	FY 2019
Target	Average length of time between Final ID and completion of Commission review is less in FY 2018 than it was in FY 2017	Average length of time between Final ID and completion of Commission review is less in FY 2019 than it was in FY 2018
Result	Pending	Pending
Status	Pending	Pending

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

### Performance goal 1.11(e)

Improve average length of time between institution of investigation and issuance of Final ID.

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

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

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

During this fiscal year there were a number of ancillaries commenced and several completed on the merits during the fiscal year, including one remand, one advisory, one modification, and one consolidated enforcement/rescission proceeding. The average length of each type of ancillary proceeding fell within the Commission's performance targets. We have also added a

new performance goal (1.16) to track the time ancillary proceedings spend in our pilot program to ensure we are meeting the goals set forth in that pilot for completion of advisories and modifications.

## 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	FY 2018	FY 2019
Modification										
Target (months)	6	6	6	6	6	6	6	6	6	6
Results (months)	—	6.4	—	1 day	None	None	2.9	1.6	Pending	Pending
Status	—	Target not met	—	Target met	—	—	Target met	Target met	Pending	Pending
Advisory										
Target (months)	12	12	12	12	9	9	9	9	9	9
Results (months)	1.5	3.8	4.9	—	5.8	None	2.3	4.2	Pending	Pending
Status	Target met	Target met	Target met	—	Target met	—	Target met	Target met	Pending	Pending
Enforcement										
Target (months)	12	12	12	12	12	12	12	12	12	12
Results (months)	11.2	9.0	—	8.7	12.7	None	None	None	Pending	Pending
Status	Target met	Target Met	—	Target met	Target not met	—	—	—	Pending	Pending
Federal Circuit remand <sup>a</sup>										
Target (months)	—	—	—	—	12	12	12	12	12	12
Results (months)	—	—	—	—	3.8	None <sup>b</sup>	9.0	8.7	Pending	Pending
Status	—	—	—	—	Target met	—	Target met	Target met	Pending	Pending
Consolidated ancillaries										
Target (months)	15	15	15	15	15	15	15	15	15	15
Results (months)	—	—	16.0	—	11.5	None	None	11.8	Pending	Pending
Status	—	—	Target not met	—	Target met	—	—	Target met	Pending	Pending

<sup>a</sup> Historical data on Federal Circuit remands are not readily available.

<sup>b</sup> 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.

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, reducing data entry errors and permitting staff to spend more time on analysis. In addition, transmitting questionnaires electronically can reduce the burden and cost for firms. During this fiscal year, we issued more than 99 percent of our questionnaires electronically and received 98 percent of questionnaire responses (filled-out questionnaires) electronically. Collectively, 99 percent of outbound and inbound questionnaires were in electronic format. 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. We continue to assess the electronic questionnaire process to seek further efficiencies.

## Performance goal 1.13

Issue and receive 95 percent of import injury investigation questionnaires electronically in 2015–19.<sup>a</sup>

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

<sup>a</sup> Prior to FY 2018, the goal was to issue and receive 90% of the questionnaires electronically.

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

During an ongoing import injury investigation and any ensuing litigation, uncertainty exists for the industry and markets affected. Making timely determinations and meeting statutory or court-mandated deadlines can help mitigate this uncertainty. In FY 2017, with elevated caseload levels, we continued to meet our statutory deadlines.

## Performance goal 1.14

Deliver 100 percent 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	FY 2018	FY 2019
Target (%)	100	100	100	100	100	100	100	100	100	100
Results (%)	100	100	100	100	99	100	100	100	Pending	Pending
Status	Target met	Target met	Target met	Target met	Target met <sup>a</sup>	Target met	Target met	Target met	Pending	Pending

<sup>a</sup> 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.<sup>4</sup>

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. For FY 2018, we have again set goals to evaluate judicial and NAFTA panel reviews and to use that information to improve our decision-making in future investigations (performance goal 1.15).

## 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–FY 2019

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

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

Performance indicator: Evaluations and improvements.

<sup>4</sup> Commission staff also provide technical assistance to the U.S. Trade Representative in dispute resolution procedures of the WTO.

## Performance goal 1.16

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

	FY 2018	FY 2019
Modification: GC		
Target (months)	2-3 months	2-3 months
Results (months)	Pending	Pending
Status	Pending	Pending
Modification: OUII		
Target (months)	3-6 months	3-6 months
Results (months)	Pending	Pending
Status	Pending	Pending
Modification: ALJ		
Target (months)	6-9 months	6-9 months
Results (months)	Pending	Pending
Status	Pending	Pending
Advisory: GC		
Target (months)	2-3 months	2-3 months
Results (months)	Pending	Pending
Status	Pending	Pending
Advisory: OUII		
Target (months)	3-6 months	3-6 months
Results (months)	Pending	Pending
Status	Pending	Pending
Advisory: ALJ		
Target (months)	6-9 months	6-9 months
Results (months)	Pending	Pending
Status	Pending	Pending

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

## 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 data systems for our trade remedy cases (performance goal 1.21(a)). In FY 2014, we introduced [337Info](#), a publicly available data system which offers a wide range of information about section 337 investigations. Among other things, it assists us with the efficient and accurate reporting of statistical information and helps to inform caseload management decisions. It also provides members of the public with quick access to useful information about our investigations. Development of a similar data system for import injury investigations was deferred because of fiscal and personnel resource constraints including a new Congressional mandate. In FY 2016, Congressional legislation expanded the USITC's role in the miscellaneous tariff bill (MTB) petition process by requiring us to, among other things, develop online tools and a web portal to successfully execute the agency's widened MTB responsibilities. This effort was completed in FY 2017. In FY 2018, we expect development of the import injury (Title VII) data system to be fully underway.

During FY 2018, we expect to employ several strategies to meet strategic objective 1.2. We plan to continue to improve the flow of information to stakeholders by continuing to ensure that information on investigations is made available expeditiously on our Electronic Document Information System (EDIS) and our webpages.

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. Based on a successful security assessment on the new system, we expect to deploy enhanced EDIS capabilities in early FY 2018.<sup>5</sup> The second initiative will allow us to serve controlled unclassified information documents electronically to parties to an investigation (performance goal 1.21(b)). We expect to develop and implement the capability to serve public documents during FY 2018 and service of confidential documents by the end of FY 2018.

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.

In FY 2017 we issued a survey on preliminary-phase investigation activities for import injury cases and examined the survey feedback. In FY 2018 we will implement or modify process and procedures as appropriate based on these survey results.

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<sup>5</sup> Although this initiative is not tied to a specific performance goal, it is an important component of our overall effort to improve EDIS.

## Performance goal 1.21

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

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

Performance indicators: Development and implementation of projects.

### Performance goal 1.21(a)

#### FY 2014

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

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

Performance indicator: Search and data extraction tools available.

#### FY 2015

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

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

Performance indicator: Title VII data system.

#### FY 2016

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

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

Performance indicator: Title VII data system.

## FY 2017

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

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

Performance indicator: Title VII data system.

## FY 2018

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

FY 2018	
Target	Data management and query tools for the Title VII data system under development in FY 2018, with completion in FY 2019
Results	Pending
Status	Pending

Performance indicator: Title VII data system.

## FY 2019

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

FY 2019	
Target	Completion of data management and query tools for Title VII data system
Results	Pending
Status	Pending

Performance indicator: Tools developed.

## Performance goal 1.21(b)

### FY 2016

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

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

Performance indicator: Electronic service capability implemented and deployed.

**FY 2017**

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

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

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

**FY 2018**

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

<b>FY 2018</b>	
Target	Serve Commission documents subject to Administrative Protective Order on the parties via electronic means
Results	Pending
Status	Pending

Performance indicator: Confidential electronic service capability implemented and deployed.

**Performance goal 1.21(c)****FY 2018–FY 2019**

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

	<b>FY 2018</b>	<b>FY 2019</b>
Target	Functionality, capacity, and security improvements developed and implemented	Full search capabilities for added information implemented
Results	Pending	Pending
Status	Pending	Pending

Performance indicator: Improvements to 337Info implemented.

Although we finalized requirements for our Title VII investigation data system during FY 2016, we deferred development as a result of budgetary and resource constraints, in large part due to the MTB mandate. We expect to make substantial progress on system development in FY 2018 and to complete the system in FY 2019. In addition, we expect to enhance EDIS by adding the capability for electronic service of public documents during FY 2018, to be followed by the inclusion of confidential documents by the end of FY 2018. This project was also deferred in FY 2016 due largely to the MTB mandate.

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 2019 to

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

## Performance goal 1.22

Post information on import injury investigation case webpages within specific timeframe

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

Performance indicator: Investigation-related information posted.

We continued to track the posting of documents during FY 2017 and sought opportunities to do so more efficiently and comprehensively during the year. In FY 2017, the Commission posted more than 94 percent of documents issued by agency or published in the Federal Register within two business days, and more than 95 percent within three business days.

## Performance goal 1.23

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

	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
Target	Efforts made	Efforts made	Efforts made each quarter	Efforts made each quarter	Efforts made each quarter	Efforts made each quarter	Efforts made each quarter	Efforts made each quarter
Results	Outreach conducted	Outreach conducted	Outreach conducted	Outreach conducted	Outreach conducted	Outreach conducted	Pending	Pending
Status	Target met	Target met	Target met	Target met	Target met	Target met	Pending	Pending

Performance indicator: Outreach efforts.

Our staff devotes considerable time to explaining our investigative process to the public, including through regular outreach efforts. Staff members speak at various conferences on a variety of topics relating to import injury and unfair import investigations. They also attend these gatherings to make themselves available to discuss and answer questions about our procedures. During FY 2017, our staff once again conducted such outreach efforts throughout the fiscal year.

## Performance goal 1.24

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

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

Performance indicator: Survey issuance; process/ procedure updates.

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

In FY 2016, we shifted from an annual to a two-year survey cycle in order to give staff more time to test and implement process changes. We issued a survey in FY 2017 and identified areas for process changes and procedural improvements. We plan to update processes and procedures as appropriate by FY 2018. The next survey will be issued in FY 2019.

## 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	FY 2018	FY 2019
Import Injury: 24 Hours										
Target (%)	75	80	80	80	85	85	85	85	85	85
Results (%)	92.1	92.8	96.3	96.7	97.3	95.8	95.9	95.8	Pending	Pending
Status	Target met	Target met	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	95	95
Results (%)	98.6	99.4	99.3	98.7	99.5	98.8	99.7	99.1	Pending	Pending
Status	Target met	Target met	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	85	85	85
Results (%)	89.7	94.4	98.0	97.8	96.7	98.3	96	96	Pending	Pending
Status	Target met	Target met	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	95	95	95
Results (%)	97.0	99.4	99.7	98.7	99.4	99.6	99.4	99.1	Pending	Pending
Status	Target met	Target met	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. While FY 2017 presented a significant challenge, as the Commission processed petitions associated with the new requirements of the AMCA, we were able to meet our targets.

## Performance goal 1.26

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

	FY 2018	FY 2019
Target	Average length of time to post public versions of confidential Section 337 Final IDs and Commission opinions is 30 days or less	Average length of time to post public versions of confidential Section 337 Final IDs and Commission opinions is 30 days or less
Result	Pending	Pending
Status	Pending	Pending

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

Similar to performance goal 1.22, it is important to release public versions of Final IDs and Commission opinions in Section 337 investigations in a timely manner to allow the public to understand the Commission reasoning for its determination. Commission Rules require the Commission to issue public versions of these decisions within 30 days unless there is good cause.<sup>6</sup> This goal ensures that we are meeting the requirement to timely issue these opinions.

<sup>6</sup> 19 CFR 210.5(f).

## Strategic Goal 2

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

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

By law, the Commission is responsible for providing advice, analysis, data, and other information to Congress, the President, and the Office of the U.S. Trade Representative (USTR). In response to U.S. policy makers' requests, we supply objective independent analysis on numerous topics, 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 U.S. businesses seeking U.S. classification information 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 2017, we instituted five fact-finding investigations and completed five, as well as produced reports for seven recurring investigations that were instituted prior to FY 2017 (appendix C). Our staff continued to provide significant technical assistance to agency customers throughout the fiscal year.

In May 2016, Congress passed the American Manufacturing Competitiveness Act, (AMCA), which required the Commission to establish a new petition-based process for providing recommendations to Congress concerning suspension or reduction of duties on imported goods for which there is no domestic availability or insufficient domestic availability.

A multi-office working group collaborated to develop the Miscellaneous Tariff Bill Petition System (MTBPS) that was deployed on October 14, 2016, for the intake of all petitions. The intake period closed on December 12, 2016 as required by the AMCA. A total of 3,162 petitions were filed, of which 638 were withdrawn and 2,524 were accepted for processing. The MTBPS was further developed to permit the filing of comments on petitions. A total of 1,844 comments were received involving 863 petitions. Commission staff analyzed and made

recommendations on all petitions for the Commission to consider. The Commission approved preliminary reports on 2,524 petitions that were delivered to the relevant Congressional Committees on June 9. Approximately one-third of the petitions were not recommended for inclusion in omnibus tariff legislation due to failure to meet AMCA requirements or because of domestic producer objections. From June 12 through 21, 2017, the Commission opened an additional comment period for such petitions, receiving 644 comments, 38 of which were later withdrawn, on 411 petitions. The Commission successfully met all requirements of AMCA, delivering its final MTB report on August 8, 2017, containing 1,686 reports recommended for inclusion in the omnibus MTB legislation.

## **Strategic Objective 2.1**

### **Innovation: Improve analysis and information**

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, analytical methods, and ways of maintaining and providing 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, and develop or adopt advances in analytical techniques and methods. 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 information on U.S. trade flows, and providing certainty to businesses.

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 2017, we focused on these areas of interest, while also conducting analytically complex investigations, such as examining global competitiveness in the aluminum industry, foreign barriers to global digital trade, and trade barriers affecting global supply chains. We build capacity in a portfolio of trade and competitiveness research, including both long-term foundational research and shorter-term, more applied analysis. We do path-breaking analysis to support our ongoing and expected statutory investigations, for example, by analyzing the

impact of trade on U.S. workers and U.S. regions, as well as the effects of foreign barriers to U.S. exports and investment.

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

## Performance goal 2.11

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

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

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

### Performance goal 2.11(a)

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

	FY 2017	FY 2018	FY 2019
Target	<p>Improved capabilities in priority areas such as:</p> <ol style="list-style-type: none"> <li><b>Modeling:</b> Differentiate trade effects across different types of U.S. companies and different U.S. geographic regions; update and expand modeling of international investment; expand scope and flexibility of partial equilibrium and sector-specific analysis.</li> <li><b>Expanding research:</b> Methods to assess industry competitiveness; trade in digital goods and services; behind-the-border NTMs affecting goods and services (TBTs, regulatory practices, conformity assessment, and standards); trade facilitation and customs issues; supply chains; effects of trade and trade policy on labor markets; and asymmetries in trade statistics</li> <li><b>Increase capabilities and knowledge related to trade-related agreements and U.S. trade relationships</b></li> </ol>	<p>Improved capabilities in priority areas such as:</p> <ol style="list-style-type: none"> <li><b>Expand research on:</b> the effects of trade on different U.S. geographic regions; partial equilibrium and sector-specific analysis; the impact of trade on labor adjustments and costs; global supply chains; methods to assess industry competitiveness; trade in digital goods and services; and NTMs affecting goods and services.</li> <li><b>Increase expertise on trade-related agreements and U.S. trade relationships.</b></li> </ol>	<p>Improved capabilities in priority areas such as:</p> <ol style="list-style-type: none"> <li><b>Expand research on:</b> the connection between trade and investment; partial equilibrium and sector-specific analysis; the impact of trade on U.S. workers; global supply chains; methods to assess industry competitiveness; trade in digital goods and services; and NTMs affecting goods and services.</li> <li><b>Increase expertise on trade-related agreements and U.S. trade relationships.</b></li> </ol>
Results	Significant improvements in capabilities in all priority areas	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: Priority areas identified and vetted.

Note: The Commission met four of the five targets in FY 2014, and met the targets in FY 2015 and FY 2016 for this goal. The full performance results for performance goal 2.11(a) (formerly performance goal 2.22(a)) for these years are reported in the Commission's Annual Performance Plan, FY 2017-2018 and Annual Performance Report, FY 2016.

In FY 2017, we significantly upgraded our economic modeling capabilities, in part by working with experts at several U.S. universities, including Clemson, Drexel, George Mason, Hope College, Purdue, and Washington and Lee, and leading international institutions, such as the Center of Policy Studies in Melbourne, Australia, and the Global Economic Partnership Agreement Research Consortium in Tokyo, Japan. We also worked with government agencies in the United States, such as the U.S. Department of Commerce's Bureau of Economic Analysis and Census Bureau, and the U.S. Department of Agriculture's Economic Research Service, and with agencies abroad, such as Statistics Canada, Mexico's INEGI, and China's National Bureau of Statistics, to improve statistics on trade in global supply chains. We updated our models to better estimate the effects of policies affecting U.S. workers, U.S. regions, and the U.S. trade deficit. Significant advances were made on understanding the effects of trade agreements on services trade and on sales by U.S. affiliates abroad. In addition, we organized and held roundtables concerning labor and services trade that brought academic, private sector, and industry experts together to discuss current issues pertaining to these subjects.

During FY 2018 and FY 2019, we will focus on enhancing our capabilities for assessing the effects of trade policy developments. In addition, we will continue to focus on global supply chains, effects of trade on U.S. workers, and digital trade throughout the period.

## Performance goal 2.12

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

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

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

### Performance goal 2.12(a)

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

	FY 2016	FY 2017	FY 2018	FY 2019
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	84 percent of the strategic research generated in 2012 was used in statutory work products by 2016.	83 percent of the strategic research generated in 2014 was used in statutory work products by 2017.	Pending	Pending
Status	Target met	Target met	Pending	Pending

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

Note: The Commission developed this goal in FY 2014, partially meeting targets for that year. It met the target for this goal in FY 2015. The full performance results for performance goal 2.12(a) (formerly performance goal 2.23(a)) for these years are reported in the Commission's Annual Performance Plan, FY 2017-2018 and Annual Performance Report, FY 2016. The result for FY 2016 was reported as 85 percent in last year's Annual Performance Report; the number has changed slightly to reflect the current approach to calculating these shares.

Assessing the extent to which staff research is used in subsequent statutory work products allows us to more effectively manage resources. In FY 2017, 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, so we examine the application of our strategic research over a rolling 3-year window. By the end of 2017, 83 percent of the strategic research hours generated in 2014 had produced work that was used in some statutory assignment.

The Commission examined how its major reports in FY 2017 had been cited by outside sources. The Aluminum report was published in July 2017. In the first four months after publication, the report was cited 12 times by key stakeholders (Congress, USTR, and U.S. government agencies), think tanks, and industry and trade associations. The Import Restraints report and the CBERA report, both released in September 2017, were cited 8 and 7 times, respectively, by stakeholders in the first two months after publication. Tracking use of Commission reports is challenging, because standard news and citation services do not cover the breadth of stakeholders interested in our reports.

## Performance goal 2.13

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

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

Performance indicators: Identified and corrected information.

## Performance goal 2.13(a)

### FY 2014

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

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

Performance indicator: Identified and corrected information.

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

## FY 2015

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	95.1% error rate. Steps are being taken to upgrade the review function to improve the accuracy rate for the next cycle.
Status	Target not met

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 97% error-free on publication
Results	9,189 total changes made to HTS in FY 2017, with 198 error corrections and 8,991 legal changes. Total accuracy rate for FY 2017 is 97.85%, exceeding 97% target.
Status	Target met

Performance indicator: Identified and corrected information.

## FY 2018–FY 2019

Improve the accuracy of published version of the HTS.

	FY 2018	FY 2019
Target	HTS updates are at least 97% error-free on publication	HTS updates are at least 98% error-free on publication
Results	Pending	Pending
Status	Pending	Pending

Performance indicator: Identified and corrected information.

We used the HTS Data Management System to produce all updates of the HTS in FY 2016 and FY 2017. While we narrowly missed our target in FY 2016 for this goal, the accuracy rate improved during the year, allowing us to meet the target in FY 2017. Using information from the new system, we were able to diagnose and fix several technical system issues that diminished accuracy and have made a number of both system changes and process changes in response. Adding tools for electronic review and providing additional staff training on system use resulted in improved performance during FY 2017.

## Performance goal 2.14

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

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

Performance indicator: Reduction in “no results” outcomes.

### Performance goal 2.14(a)

#### FY 2018

Analyze logs of “no results” HTS searches for FY 2017 to develop a thesaurus of terms to add to the HTS Search database

	FY 2018
Target	Identify all search terms with more than 10 “no results” outcomes
Results	Pending
Status	Pending

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

#### FY 2019

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

	FY 2019
Target	Develop and deploy capability in HTS Search to use thesaurus.
Results	Pending
Status	Pending

Performance Indicator: HTS system capability developed.

## Strategic Objective 2.2

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

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

- engaging internal and external customers to inform them of our capabilities and understand their needs
- expanding our ability to produce digital and interactive products



- engaging with trade and industry experts to build knowledge and
- improving the transparency of our analysis and information

One part of our mission is maintaining the HTS. Timely updates to the HTS give the public critical product-specific information, enable the accurate collection of tariff revenues, and enable the correct tracking of tariff information that is critical to other government agencies' work. As technology and the global commercial environment change, we need to give users information in different ways. In FY 2015 we developed and deployed the HTS Data Management System, which required significant time for professional and contractor staff. In FY 2016 and most of FY 2017, little funding was expended to maintain the system due to the overwhelming need to develop and deploy a new Miscellaneous Tariff Bill Petition System. However, some contractor resources were deployed to assist bug fixing and related maintenance to bring the HTS DMS system into alignment with its operating specifications. We will be seeking to ensure the system remains up-to-date in FY 2018 and we hope to upgrade some basic functionality and improve HTS Search results for our customers in FY 2019.

The performance goals for this strategic objective focus on two general areas: engaging internal and external customers to better understand their interests and needs, and providing information in a more accessible and timely way (often by upgrading the content and performance of web-based products). To meet this objective, we are developing and applying information technology (IT) solutions to make our products more accessible and useful. Strategies include providing interactive digital products on our website.

This strategic objective may be affected by resource constraints that limit our ability to fund technology-related projects. While meeting some of our FY 2018 goals may prove challenging, it is likely that we will meet most, if not all, targets.

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

## Performance goal 2.21

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

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

Performance indicator: Feedback provided during briefings and meetings.

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

## Performance goal 2.21(a)

### FY 2014

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

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

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

### FY 2015

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 performance goal 2.22 (changed to 2.11).
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	Post-delivery briefings were conducted for four reports concluded in FY 2016, including numerous briefings concerning the TPP report. Staff participated in meetings, forums, sessions and workshops concerning subjects such as best practices in trade policy modeling, measurement of trade in value added, and measures of e-commerce. Feedback from meetings and briefings informed research priorities set under performance goal 2.22 (changed to 2.11).
Status	Target met

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	Post-delivery briefings were conducted for reports concluded in FY 2017, including numerous briefings concerning the Global Digital Trade report. Staff participated in meetings, forums, sessions and workshops concerning subjects such as best practices in trade policy modeling, measurement of trade in value added, and measures of e-commerce. Feedback from meetings and briefings informed research priorities set under performance goal 2.22 (changed to 2.11).
Status	Target met

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

## FY 2018–FY 2019

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

	FY 2018	FY 2019
Target	Engagement with customers related to Commission reports and other research efforts generates feedback; actions taken, as appropriate	Engagement with customers related to Commission reports and other research efforts generates feedback; actions taken, as appropriate
Results	Pending	Pending
Status	Pending	Pending

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

## Performance goal 2.21(b)

### FY 2018–FY 2019

Engage non-customer experts to expand staff expertise, diversify knowledge base, and improve analytical tools to advance agency capabilities in FY 2018.

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

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

## Performance goal 2.21(c)

### FY 2018–FY 2019

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

	FY 2018	FY 2019
Target	At least one roundtable hosted in FY 2018	At least one roundtable held in FY 2019
Results	Pending	Pending
Status	Pending	Pending

Performance indicator: Roundtables held.

For performance goal 2.21, we met our FY 2017 targets. Our staff regularly engaged our customers to discuss analytical capabilities and priorities. Staff provided 15 briefings on completed studies, primarily for three studies: Aluminum: Competitive Conditions Affecting the U.S. Industry; Global Digital Trade 1: Market Opportunities and Key Trade Restrictions; and the Economic Effects of Significant U.S. Import Restraints Ninth Update. Staff participated in 22 meetings that engaged international research organizations and had 12 meetings with statutory customers to discuss possible studies. Meetings with customers and international trade and research organizations helped set analytical priorities and enhanced our ability to provide effective analysis on topics of greatest interest to our customers.

## Performance goal 2.22

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

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

Performance indicators:

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

## Performance goal 2.22(a)

### FY 2014

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

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

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

## FY 2015

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

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

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

## FY 2016–FY 2019

Develop new digital or interactive Commission products during the fiscal year.

	FY 2016	FY 2017	FY 2018	FY 2019
Target	One additional new or updated digital or interactive Commission product available to customers and the public	One additional new or updated digital or interactive Commission product available to customers and the public	One additional new or updated digital or interactive Commission product available to customers and the public	One additional new or updated digital or interactive Commission product available to customers and the public
Results	Updated interactive graphics for <i>Trade Shifts</i> , and developed new interactive graphics for <i>Recent Trends in U.S. Services Trade</i>	Developed new interactive graphics for <i>Trade Shifts and Recent Trends in U.S. Services Trade</i>	Pending	Pending
Status	Target met	Target met	Pending	Pending

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

In FY 2017 we produced [\*Shifts in Merchandise Trade\*](#) and [\*Recent Trends in U.S. Services Trade\*](#), web-based products that incorporate interactive graphics.

## Performance goal 2.22(b)

### FY 2014

Complete development and deploy modernized HTS system during FY 2014.

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

Performance indicator: Modernized HTS system.

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

## FY 2015

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

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

Performance indicator: Modernized trade data system.

## FY 2016

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

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

Performance indicator: Modernized trade data system.

## FY 2017

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

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

Performance indicator: Deployment of MTBPS components.

## FY 2018

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

FY 2018	
Target	Functionality, capacity, and security improvements developed and implemented, as needed
Results	Pending
Status	Pending

Performance indicator: Improvements to data systems implemented.

We began the redesign of the DataWeb in FY 2016 and expect to release the final version of the system during FY 2018. Progress on the DataWeb was delayed because we had to divert resources to the MTBPS in FY 2017. During FY 2019, we expect to refine the MTBPS based on user feedback.

## Performance goal 2.23

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

	FY 2017	FY 2018	FY 2019
Target	95% of emails received through online help system receive responses within 7 working days	96% of emails received through online help system receive responses within 7 working days	96% of emails received through online help system receive responses within 7 working days
Results	1,999 of 2,026 total email inquiries responded to in FY 2017 within 7 days of receipt for a 98.7% timely rate	Pending	Pending
Status	Target met	Pending	Pending

Performance Indicator: Email responses to HTS inquiries.

### Historical data

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

## Performance goal 2.24

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

	FY 2018	FY 2019
Target	Publish non-proprietary data that underlie Commission estimates in fact-finding investigations completed in FY 2018	Publish non-proprietary data that underlie Commission estimates in fact-finding investigations completed in FY 2018
Results	Pending	Pending
Status	Pending	Pending

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

## **Management Goal**

### **Manage: Efficiently and Effectively Advance the Agency's Mission**

The Commission is committed to continuous process improvement and support for the agency's strategic goals and mission. This plan's four management objectives support our management goal of advancing our mission in an efficient and effective way. The objectives align with four functional areas: human resources; budget, acquisitions, and finance; IT; and operational effectiveness. The performance goals identified for FY 2018 and 2019 reflect our management priorities.

### **Management Objective M1.1**

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

To carry out our mission in a constantly evolving business environment, we must recruit and develop a workforce equipped to meet the demands of our workload. Efficiency and effectiveness in all human capital management practices are vital to our ability to position ourselves as an attractive employer in a highly competitive labor market. Shortening hiring action completion times, maintaining highly accurate records, and striving to maximize stakeholder satisfaction with human capital management practices contribute to optimal efficiency and effectiveness. We will continue to emphasize the need for improved performance in these areas. The Chief Human Capital Officer is the leader for this strategic objective and for each of the performance goals identified below.

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.

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 M1.16). Implementing service level agreements promotes greater efficiency by allowing the Office of Human Resources (HR) to better plan and prioritize its workload. It also provides specific and reasonable performance expectations for stakeholders. The agreements 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 M1.17). 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 disadvantage 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 M1.11, M1.12, and M1.14). Low satisfaction in any area signals a need for corrective action, whether by remedial efforts within HR or educational efforts with stakeholders to ensure they are familiar with human capital management processes. Feedback from stakeholders via intermittent and annual surveys helps us to see which facets of the hiring and career development processes stakeholders are most concerned about, and therefore helps us focus our remedial actions. We will continue our efforts to elicit feedback from stakeholders during the upcoming fiscal years to gauge satisfaction in hiring and career development.

## Performance goal M1.11

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

### Performance goal M1.11(a)

#### FY 2014

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

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

Performance indicator: FEVS results.

#### FY 2015

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	Employee Engagement Index 2015 Result: 73% 2016 Result: 77% Improvement = +4%
	Global Satisfaction Index 2015 Result: 70% 2016 Result: 74% Improvement=+4%
Status	Target met

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	Global Satisfaction 2017 = 74.06% 2016 = 74.48% Decrease of -0.41
	Employee Engagement 2017 = 78.53 2016 = 77.31% Improvement of 1.22%
Status	Target partially met

Performance indicator: FEVS results.

## FY 2018

Improve agency results in specific areas measured in the FEVS.

FY 2018	
Target	Improvement over FY 2017 results on identified questions
Results	Pending
Status	Pending

Performance indicator: FEVS results.

## FY 2019

Improve agency results in specific areas measured in the FEVS.

FY 2019	
Target	Improvement over FY 2018 results on identified questions
Results	Pending
Status	Pending

Performance indicator: FEVS results.

## Performance goal M1.12

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

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

Performance indicators (FY 2014): Results of FY 2014 management survey; results of the CAO/CFO customer service survey; implementation of HR help desk. Performance indicators (FY 2015, 2016, 2017, 2018 and 2019): FEVS annual survey.

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

Performance indicator (FY 2015–FY 2017): The Commission chose to use the FEVS to gauge stakeholder satisfaction with agency recruiting efforts.

## Performance goal M1.13

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

	FY 2018	FY 2019
Target	At least 25% of out-of-date position descriptions are reviewed and revised	At least 25% of out-of-date position descriptions are reviewed and revised
Results	Pending	Pending
Status	Pending	Pending

Performance indicator: Reviewed/revised position descriptions.

## Performance goal M1.14

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

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

Performance indicators (FY 2014): Results of FY 2014 CAO and CFO customer service survey and FY 2014 management survey.

Performance indicator (FY 2015, 2016, 2017, 2018, and 2019): Results of FY 2015, 2016, 2017, 2018, and 2019 FEVS questions related to this area.

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

## Performance goal M1.15

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

### Performance goal M1.15(a)

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

	FY 2018	FY 2019
Target	Provide opportunities for staff across the agency to apply for details	Provide opportunities for staff across the agency to apply for details
Results	Pending	Pending
Status	Pending	Pending

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

### Performance goal M1.15(b)

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

	FY 2018	FY 2019
Target	Sponsor at least two individuals at the Commission in FY 2018	Sponsor at least two individuals at the Commission in FY 2019
Results	Pending	Pending
Status	Pending	Pending

Performance indicator: Number of individuals sponsored by the Commission.

## Performance goal M1.16

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	Improvement over the FY 2016 actual result
Results	80.6% aggregate SLAs met (est.)	83.4% of SLAs met	90.7% SLAs met	100% of SLA's met
Status	Target met	Target not met	Target met	Target met

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 M1.17

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	97.24% file accuracy	94.1% file accuracy	98% file accuracy
Status	Target met	Target met	Target not met	Target met

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%.

In FY 2017, we fully met four of the five tracked performance goals related to Management Objective M1.1. We partially met M1.11(a). M1.13 and M1.15 will not be tracked until beginning in FY 2018.

For FY 2018 and 2019, we will strive to continue the general upward trend we have made in overall employee satisfaction with management and the workplace since the agency began tracking FEVS results as part of its Annual Performance Planning cycle. While the USITC only partially met its goal of improving positive scores on its FEVS Global Satisfaction and Employee Engagement Indices, the agency has generally improved performance each year and expects to continue that trend.

We met our goal related to service level agreements. In FY 2017, the USITC met 100 percent of its service level agreements for recruitment actions. This is an almost 10 percentage point improvement over 2015.

The FY 2017 result for M1.17 (formerly M1.14) maintained a high level of excellence at 100 percent file completeness. Due to the success that we have had in this area, the agency will retire this performance goal as of this year, opting instead to pursue updating all agency position descriptions (M1.13) and promoting intra-agency rotational opportunities (M1.15) in the coming years.

To gauge satisfaction with hiring practices, the USITC tracks the positive response rates for the following FEVS 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 2016 average for those three questions was 76.57 percent, which we improved upon in FY 2017 with a score of 78.17 percent, an increase of over 1.5 percentage points. This met our goal of improvement over the 2016 result.

For career development, we identified the following FEVS 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 2016 average for those six questions was 68.15 percent, which we improved upon in FY 2017 with a score of 68.85 percent, an increase of .7 percentage points. This met our goal of improvement over the 2016 result.

## **Management Objective M1.2**

### **Money: Ensure good stewardship of taxpayer funds**

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

The strategies to achieve these performance goals are as follows:

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

During FY 2017, the Office of the CFO (OCFO) continued to expand its financial management reporting capabilities. It refined the existing budget line item report and reduced the time necessary to build the report. Also, OCFO and OCIO personnel working together were able to generate a prototype budget line item report using the Business Intelligence (BI) software purchased in 2016. The next step is to determine how to best load and manage the tool in a production environment. Once security and administrative rights have been established, the tool can go live. After that, the report can be modified and/or other reports can be created that

include data requested by CCMs (period of performance, previous FY monies used to pay invoices).

During FY 2017, the Director of Procurement continued to review contract activity each quarter to determine the extent to which established PALT deadlines were exceeded, continued to reduce the timelines to the extent possible, and continued to provide weekly reports on the status of, and the activity on, each outstanding procurement request. It also gauged customers' satisfaction with the procurement process using an informal survey, though issuance of the survey was delayed to FY 2018. 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 seventh consecutive unmodified financial audit opinion during FY 2017. Looking forward to FY 2018, and in addition to continuing our normal review and testing processes, we plan on reviewing our requisition process in an effort to reduce input errors and make it more efficient.

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

## Performance goal M1.21

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

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

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

## Performance goal M1.21(a)

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

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

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



## Performance goal M1.21(b)

Issue monthly financial management reports on a timely basis.

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

Performance indicator: Timely issuance of reports.

## Performance goal M1.21(c)

Gauge management satisfaction via the use of discussion groups, and incorporate suggestions and feedback to improve financial management reports.

	FY 2015	FY 2016	FY 2017
Target	Management satisfaction with efforts to incorporate their suggestions and feedback into budget reports, as reflected in management survey responses	Management satisfaction with efforts to incorporate their suggestions and feedback into budget reports, as reflected in management survey responses	Management satisfaction with efforts to incorporate suggestions and feedback into budget reports
Results	Survey was not issued.	Survey was not issued.	Instead of issuing a survey the OCFO discussed the reports directly with the managers using them
Status	Target not met	Target not met	Target met

Performance indicator: Feedback results; steps taken to improve reports.

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 2017 targets for the M1.21 sub goals were met. The OCFO issued reports within the given timeframes, and has continued to take steps to meet the financial management reporting needs of offices throughout the Commission. Instead of issuing the management survey, the OCFO took the more efficient step of meeting directly with managers throughout the Commission to discuss their reporting needs. During FY 2017, the OCFO, working with the OCIO, was able to produce a prototype budget line item report using the recently purchased Business Intelligence software. The next step is to determine how to best load and manage the tool in a production environment. Once security and administrative rights have been established, the tool can go live. After that, the report can be modified and/or other reports can be created that include data requested by managers throughout the Commission.

## Performance goal M1.22

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

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

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

Other indicator: Customer feedback.

## Performance goal M1.22(a)

### FY 2014

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
Results	Although the Office of Procurement was on target through first three quarters, many actions exceeded the PALT in Q4, and as a result, the target was not met.
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	During FY 2016, 90.5% of procurement actions met the PALT.
Status	Target not met

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

### FY 2017–FY 2019

97% of procurement actions meet the PALT.

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

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

## Performance goal M1.22(b)

### FY 2014

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

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

Performance indicator: Number of contract files requiring correction.

### FY 2015

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

FY 2016	
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 2016.
Status	Target met

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

Other indicator: Customer feedback.

### FY 2017–FY 2019

Provide accurate, weekly electronic status reporting of all current/pending procurement actions to CCMs and CORs during each fiscal year.

	FY 2017	FY 2018	FY 2019
Target	Accurate, up-to-date reports issued weekly	Accurate, up-to-date reports issued weekly	Accurate, up-to-date reports issued weekly
Results	Accurate reports were issued weekly	Pending	Pending
Status	Target met	Pending	Pending

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

Other indicator: Customer feedback.

## Performance goal M1.22(c)

### FY 2014

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

Performance indicators: PALT timelines.

### FY 2017–FY 2019

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

	FY 2017	FY 2018	FY 2019
Target	Gauge satisfaction with procurement process, including efforts to incorporate suggestions/feedback into process, through internal surveys	Improve satisfaction level relative to performance in FY 2017	Improve satisfaction level relative to performance in FY 2018
Results	Pending—delay in issuing survey	Pending	Pending
Status	Target not met	Pending	Pending

Performance indicators: Survey results.

## Performance goal M1.22(d)

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

	FY 2018	FY 2019
Target	At least 70% of sampled COR files are maintained properly	At least 85% of sampled COR files are maintained properly.
Results	Pending	Pending
Status	Pending	Pending

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

We continue to take actions to improve our acquisition processes. During FY 2017, we met our goal for issuing timely and accurate reports. However, we did not meet our goal that 3 percent or less of procurement actions exceeded the PALT. As in past years, fourth-quarter (Q4) activity was higher than in other quarters, with over 40 percent of all actions processed during the period. This, coupled with the fact that the Office of Procurement was only able to replace one of the two senior contracting officers that left the Commission early in the fiscal year, resulted in the goal not being met. The Office of Procurement was not able to issue its survey due to a technical issue, but we have no evidence that the survey results would have decreased, or decreased by any meaningful measure.

## Performance goal M1.23

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

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

Performance indicator: Audit opinion on the agency financial statements.

## Performance goal M1.23(a)

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

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

Performance indicators: Audit opinion on the agency financial statements.

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

## Performance goal M1.24

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

	FY 2018	FY 2019
Target	Managers at all levels project workloads; estimate and justify the personnel and other resources needed; and clearly link budget formulation to performance planning to provide justification for requests	Managers at all levels project workloads; estimate and justify the personnel and other resources needed; and clearly link budget formulation to performance planning to provide justification for requests
Results	Pending	Pending
Status	Pending	Pending

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

## Management Objective M1.3

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

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

The Commission met several information technology (IT) goals for FY 2017 and looks to continue that momentum by finalizing several key initiatives early in FY 2018 and continuing progress on additional modernization projects which advance the agency's cybersecurity posture and improve its operating efficiency. Of particular note are those initiatives which address government-wide cybersecurity priorities including:

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

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

Our management objective M1.3 is intended to ensure that IT resources support our mission. Our IT performance goals for FY 2018 and 2019 quantify how the Office of the Chief Information Officer (OCIO) intends to support this objective. The CIO is the leader for this management objective.

Performance goal M1.31 strives to maintain a high level of delivery and support of IT services. Building on the baseline established in FY 2014 and improvements made in FY 2015 and FY 2016, we continued measuring the availability of important IT systems to ensure they are able to consistently support our mission. The goal for FY 2018 and 2019 is to ensure critical IT systems are available at a high level such that the agency is able to conduct its operations with little to no impact on efficiency and capability. Additionally, the OCIO will continue to seek user

feedback on delivery and support of IT services through surveys, open houses or other meetings to identify and prioritize suggested improvements.

Performance goal M1.32 endeavors to ensure agency IT security by complying with federal cybersecurity priorities. In FY 2017 the agency implemented security configuration baselines for new servers which comprise agency-wide systems as well as desktop configurations for individual users. Also in FY 2017, we fully deployed the Trusted Internet Connection and the accompanying Einstein 3A capability. In FY 2017, we established a pilot Virtual Private Network (VPN) capability requiring HSPD-12 authentication for remote access. In FY 2018, we will replace our existing Citrix remote access capability with VPN. In FY 2016 the Commission only had a valid Authority to Operate (ATO) for one of its five identified systems. In FY 2017, the Commission deemed this material weakness as a high priority and planned to conduct independent security control assessments and issue ATOs on at least two of those existing systems as well as any new systems that go into production. This will continue through FY2018.

## Performance goal M1.31

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

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

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

## Performance goal M1.31(a)

### FY 2014

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

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

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

### FY 2015

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

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

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

## FY 2016

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

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

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

## FY 2017

Maintain high level of system availability to users of important IT systems during FY 2017.

FY 2017	
Target	Maintain system uptime of at least an average of 99.0% availability for all measured systems.
Results	Five of six measured systems exceeded the baseline of 99.0% availability, which did not meet the target of all measured systems. Email availability was measured at 98.66% available
Status	Target not met

Performance indicator: Percentage of availability to users of the following systems: Local Area Network (LAN), Citrix, Email (Outlook), EDIS, DataWeb, and SharePoint.

## FY 2018

Maintain high level of system availability to users of important IT systems during FY 2018.

FY 2018	
Target	Maintain system uptime of at least an average of 99.0% availability for all measured systems excluding scheduled maintenance.
Results	Pending
Status	Pending

Performance indicator: Percentage of availability to users of the following systems: Local Area Network (LAN), Remote Access, Email (Outlook), EDIS, HTS, and SharePoint.

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

## FY 2019

Maintain high level of system availability to users of important IT systems during FY 2019.

FY 2019	
Target	Maintain system uptime of at least an average of 99.0% availability for all measured systems excluding scheduled maintenance.
Results	Pending
Status	Pending

Performance indicator: Percentage of availability to users of the following systems: Local Area Network (LAN), Remote Access, Email (Outlook), EDIS, HTS, and SharePoint.

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



## Performance goal M1.32

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

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

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

## Performance goal M1.32(a)

### FY 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	HSPD-12 initial operating capability completed. However, Trusted Internet Connection (TIC) was not deployed until early Q1 FY 2017.
Status	Target not met

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

### FY 2017

Deploy Trusted Internet Connection in the first quarter of FY 2017.

FY 2017	
Target	Completion of operating capability
Results	TIC/Einstein 3A deployed and in production in November, 2016.
Status	Target met

Performance indicator: Deployment and activation of Trusted Internet Connection.

## 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: Scans of production 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	Baseline configuration settings were successfully applied to 98% of all new hosts. Successful application of the baseline configuration to the remaining new hosts is underway.
Status	Target not met

Performance indicator: Scans of production devices.

### FY 2017

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

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

Performance indicator: Scans of production devices.

### FY 2018

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

FY 2018	
Target	Secure configuration baselines on workstations and servers implementing 95% of baseline settings.
Results	Pending
Status	Pending

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

**FY 2019**

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

<b>FY 2019</b>	
Target	Secure configuration baselines on workstations and servers implementing 95% of baseline settings.
Results	Pending
Status	Pending

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

**Performance goal M1.32(c)****FY 2017**

Apply and verify secure configuration baseline settings on 100% of new servers following NIST guidance.

<b>FY 2017</b>	
Target	100% of new servers are configured according to NIST guidance when deployed.
Results	92.59% of 11,629 security configuration baseline settings across 68 new servers were compliant
Status	Target not met

Performance indicator: Scans of production devices.

**Performance goal M1.32(d)****FY 2016–FY 2019**

Ensure Commission information systems have a valid Authorization to Operate

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

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

**Performance goal M1.32(e)****FY 2017**

HSPD-12 required for remote access to the network

<b>FY 2017</b>	
Target	95% (on average) of required users consistently enabled
Results	Pilot deployment in place
Status	Target not met

Performance indicator: Percentage of privileged accounts requiring HSPD-12 for login to systems.

**FY 2018****HSPD-12 required for remote access to the network**

<b>FY 2018</b>	
Target	95% (on average) of HSPD-12 users consistently enabled
Results	Pending
Status	Pending

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

**FY 2019****HSPD-12 required for remote access to the network**

<b>FY 2019</b>	
Target	95% (on average) of HSPD-12 users consistently enabled
Results	Pending
Status	Pending

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

**Performance goal M1.33**

Improve integrity, delivery, and usability of USITC information assets by enabling access to 100% of the Commission's major datasets using Open Data-compliant machine-readable formats by the end of FY 2022.<sup>7</sup>

**Performance goal M1.33(a)****FY 2014**

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

<b>FY 2014</b>	
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.

<b>FY 2015</b>	
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.

<sup>7</sup> Originally, we set this goal for completion in FY 2015.

## FY 2016–FY 2019

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

	FY 2016	FY 2017	FY 2018	FY 2019
Target	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	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	Data behind all new major systems deployed to production in FY 2018 will be available in machine-readable format and accessible on the USITC Open Data webpage	Data behind all new major systems deployed to production in FY 2019 will be available in machine-readable format and accessible on the USITC Open Data webpage
Results	Development on new systems deferred, as resources were redirected to develop the MTBPS.	For the only new system in FY2017, MTBPS, petition data were made available but public comment data were not made available in machine-readable format on the USITC Open Data webpage.	Pending	Pending
Status	Deferred	Target not met	Pending	Pending

Performance indicator: Availability of information systems providing Open Data.

## Performance goal M1.34

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

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

Performance indicators: TBD

## FY 2018

Research, procure, and implement cloud-based email solution.

	FY 2018
Target	All staff able to utilize email solution and access migrated content. Determine priorities for FY 2019.
Results	Pending
Status	Pending

Performance indicator: Email services fully migrated to cloud provider.

## FY 2019

### Implement cloud-based solutions selected in FY 2018

FY 2019	
Target	Implement priorities established at the end of FY 2018
Results	Pending
Status	Pending

Performance indicator: Priority established in FY 2018 implemented.

In FY 2017, only one of our annual information technology targets were met, with the remainder either narrowly missed or in progress to be met shortly. We missed our system availability goal of 99% for one of six measured systems, with that one system being just under the target by 0.34% for the year and slated for migration to the cloud. We met our goal of deploying the Trusted Internet Connection and Einstein 3A. And while not fully meeting goal M1.32 (e) by requiring use of HSPD-12 for remote access, we have issued the necessary HSPD-12 capable laptops to all agency users and deployed a pilot implementation requiring HSPD-12. Full implementation is planned for Q2 of FY 2018.

We made substantial progress towards meeting our goals for applying security configuration baselines to the operating systems of all new production environment hosts, including laptop workstations and servers. The point-in-time measurements taken for these goals indicated we were compliant on 99.92% of baseline settings for our laptop workstations, and 92.59% of baseline settings for servers. In FY 2018, we plan to combine these as one goal and align it with compliance measurements taken by the DHS CDM program to be consistent with government-wide security standards. In FY 2017, we missed meeting our Open Data compliance goal by only making the MTB petition data available in machine-readable format but not including the public comment data. We expect to achieve this goal in FY 2018 as we are due to release a re-engineered version of EDIS and a new Title VII data access system, both of which are planned to be Open Data compliant when officially deployed.

In FY 2018, the agency added a new goal to reduce its data center footprint and to migrate appropriate systems to the cloud by initially migrating its email solution to a cloud-based provider.

## Management Objective M1.4

### Operational Effectiveness: Evaluate and improve processes and communication

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

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

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

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

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

## Performance goal M1.41

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

### Performance goal M1.41(a)

#### FY 2017

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

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

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

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

#### FY 2018–FY 2019

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

	FY 2018	FY 2019
Target	Use internal and external performance audits, as well as performance management, ERM, and annual Statement of Assurance reporting activities to identify agency processes most in need of improvement; evaluate and implement new processes or process improvements, where identified; evaluate effectiveness of new or amended processes.	Use internal and external performance audits, as well as performance management, ERM, and annual Statement of Assurance reporting activities to identify agency processes most in need of improvement; evaluate and implement new processes or process improvements, where identified; evaluate effectiveness of new or amended processes
Results	Pending	Pending
Status	Pending	Pending

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

During FY 2017, agency staff continued to improve processes and tools for fact-finding reports. These changes improved tracking of report production costs and clarified processes to ensure more consistent application from report to report. Staff across the agency also successfully implemented the new MTB petition system and processes, with the Commission issuing its final report in August 2017. In FY 2018, we expect to evaluate this process and make adjustments as appropriate.

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

## Performance goal M1.42

Maintain an agency portfolio of enterprise risks through FY 2022.

### Performance goal M1.42(a)

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

	FY 2018	FY 2019
Target	100% of all offices throughout the agency conduct assessments for new risks and review of 100% of previously identified risks at least on a quarterly basis	100% of all offices throughout the agency conduct assessments for new risks and review of 100% of previously identified risks at least on a quarterly basis
Results	Pending	Pending
Status	Pending	Pending

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

### Performance goal M1.42(b)

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

	FY 2018	FY 2019
Target	100% of all offices throughout the agency conduct assessments for new risks and review of 100% of previously identified risks at least on a quarterly basis	100% of all offices throughout the agency conduct assessments for new risks and review of 100% of previously identified risks at least on a quarterly basis
Results	Pending	Pending
Status	Pending	Pending

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



The Commission uses an Enterprise Risk Management (ERM) framework to manage risks and consider opportunities related to achievement of objectives. This framework allows the Commission to monitor risks in all areas of the agency and better ensure organizational efficiency and effectiveness.

## Performance goal M1.43

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

### Performance goal M1.43(a)

#### FY 2018

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

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

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

#### FY 2019

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

	FY 2019
Target	Fully deploy new internal rules application with improved metadata and search and identify and issue or update most critical policy Directives, identify and reissue most critical policies currently in Administrative Orders as (or consolidate into) Directives, and identify and issue most critical procedures as Handbooks.
Results	Pending
Status	Pending

Performance indicator: Repository of record for the system of internal rules deployed to all USITC employees, USITC Administrative action tracking tool, tentatively called "Workhorse", currently in development.

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

## Performance goal M1.44

Improve 508 compliance of agency information through FY 2022.

### FY 2015

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

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

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

### FY 2016

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

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

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

### FY 2017

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

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

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

## FY 2018–FY 2019

Improve 508 compliance of public information.

	FY 2018	FY 2019
Target	100% 508 compliance for fact-finding investigation documents posted to the USITC website; 100% 508 compliance for staff research products (JICE and working papers) posted to the USITC website; develop templates to expand scope of compliance	Continue to develop templates or processes for additional types of public documents; Use templates developed in FY 2018 to produce a wider range of 508 compliant documents
Results	Pending	Pending
Status	Pending	Pending

Performance indicator:

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

At the end of the performance period, all fact-finding reports completed during the period were compliant. All working papers and JICE articles initiated during the period were compliant.

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

## Performance goal M1.45

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

	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 converting paper processes found to be inefficient to more efficient electronic processes.
Results	Progress toward goal. Development of training form commenced and procurement of Workforce Transformation and Tracking System completed in FY 2015.	A major initiative toward meeting this goal had to be abandoned due to external forces beyond the control of the USITC.	The agency began using an electronic learning management system during the fiscal year. The system eliminates paper based training forms and allows for electronic tracking.
Status	Target met	Deferred	Target met

Performance indicators: Improvements made to processes in the 5 main human capital management areas (recruitment, training/development, performance management, benefits/retirement counseling, and out-processing /details/ transfers).

In FY 2017, the Commission deployed an electronic learning management system. During FY 2018–FY 2022, we will continue to streamline the business practices of the agency that rely on inefficient paper processes and convert to electronic processes, where efficiencies can be gained.

## Performance goal M1.46

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

### Performance goal M1.46(a)

#### FY 2017

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

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

Performance indicator: Development and deployment milestones; effective reports.

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

#### FY 2018–FY 2019

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

	FY 2018	FY 2019
Target	Timely delivery of and continual improvement of management reports identified in FY 2017; continued development of new reports based on feedback from managers	Timely delivery of and continual improvement of management reports identified in FY 2017; continued development of new reports based on feedback from managers
Results	Pending	Pending
Status	Pending	Pending

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

In recent years the Commission has made significant improvements in the management of its administrative and program operations. Over the next 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.

As mentioned above, we obtained business intelligence software in FY 2016 and developed pilot reports throughout 2017 which allow us to extract information and develop reports

without investing in a new system. During FY 2017 the OCFO, working with the OCIO, was able to produce a prototype budget line item report using the BI software. The next step is to determine how to best load and manage the tool in a production environment. Once security and administrative rights have been established, the tool can go live. After that, the report can be modified and/or other reports can be created that include data requested by managers throughout the omission. During FY 2018, we will be using the software to develop improved reports that will allow managers access to information that until now was difficult to obtain. Such access facilitates informed operational and business decisions.

## Performance goal M1.47

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	FY 2016	FY 2017	FY 2018	FY 2019
Target	Overall satisfaction with Commission's website is consistent with the average for other executive branch agencies; needs identified in annual assessments of technology portfolio are incorporated into planning and scoping documents	Overall satisfaction with Commission's website is consistent with the average for other executive branch agencies (not more than 3 points less than the average benchmark score for Executive Branch federal agencies); needs identified in annual assessments of technology portfolio are incorporated into planning and scoping documents	Overall satisfaction with Commission's website is consistent with the average for other executive branch agencies (not more than 3 points less than the average benchmark score for Executive Branch federal agencies); needs identified in annual assessments of technology portfolio are incorporated into planning and scoping documents	Overall satisfaction with Commission's website is consistent with the average for other executive branch agencies (not more than 3 points less than the average benchmark score for executive branch agencies); needs identified in annual assessments of technology portfolio are incorporated into planning and scoping documents	Overall satisfaction with Commission's website is consistent with the average for other executive branch agencies (not more than 3 points less than the average benchmark score for Executive Branch federal agencies); needs identified in annual assessments of technology portfolio are incorporated into planning and scoping documents
Results	USITCs score of 69 is not within +3 of benchmark score of 73 for executive branch federal agencies.	USITCs score of 72 is within +3 of benchmark score of 74 for executive branch federal agencies.	USITCs score of 71.1 is within +3 of benchmark score of 73.7 for executive branch federal agencies.	Pending	Pending
Status	Target not met	Target met	Target met	Pending	Pending

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

The Commission met its goal for user satisfaction with the public website (previously Performance Goal C.12), as measured using the score obtained through the Foresee survey service. Our user satisfaction score of 71.1 was only 2.6 points lower than the overall satisfaction score for all executive branch agencies (as measured by Foresee), which is used as the benchmark, and within the 3 point range of variability.

The Commission will continue to use feedback from the public to improve the functionality and usefulness of information it provides through its website and web applications. In FY 2018, the Commission will undertake a re-design of the agency's website, making use of results from an

independent website usability study as well as user feedback, to improve access to information and increase user satisfaction. In addition, development of new web applications and updates to existing ones are planned for FY 2018 to improve the ability of users to access information. A modernized version of the Electronic Document Information System (EDIS), a web application used by participants in the agency's various types of investigations both for submissions to the Commission and for information access, is planned for deployment in FY 2018. Also, a new application to make detailed information related to Title VII investigations will be developed in FY 2018, as well as gathering of information to improve user's ability to determine tariff rates using the HTS Search application, who are the most frequent users of any of the Commission's web services.

## Performance goal M1.48

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

### Performance goal M1.48(a)

#### FY 2018

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

FY 2018	
Target	Develop and hold at least one physical and personnel safety and security training session annually. Develop and disseminate regular agency-wide updates on physical and personnel safety and security issues.
Results	Pending
Status	Pending

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

#### FY 2019

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

FY 2019	
Target	Hold at least one physical and personnel safety and security training session annually. Disseminate regular agency-wide updates on physical and personnel safety and security issues.
Results	Pending
Status	Pending

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

## Performance goal M1.48(b)

### FY 2018–FY 2019

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

	FY 2018	FY 2019
Target	Coordinate and track the review of position risk and sensitivity designations with the Office of Human Resources four-year review of position descriptions.	Coordinate and track the review of position risk and sensitivity designations with the Office of Human Resources four-year review of position descriptions.
Results	Pending	Pending
Status	Pending	Pending

Performance indicator: Reviews of position risk and sensitivity designations.

## Performance goal M1.48(c)

### FY 2018 – FY 2022

Track results from the Federal Employee Viewpoint Survey related to safety

	FY 2018	FY 2019
Target	85% favorable response rate for agency FEVS question “Employees are protected from health and safety hazards on the job”	85% favorable response rate for agency FEVS question “Employees are protected from health and safety hazards on the job”
Results	Pending	Pending
Status	Pending	Pending

Performance indicator: Annual FEVS results.

## Performance goal M1.48(d)

### FY 2018–FY 2019

Track results from the Federal Employee Viewpoint Survey related to security

	FY 2018	FY 2019
Target	75% favorable response rate for agency FEVS question “My organization has prepared employees for security threats”	75% favorable response rate for agency FEVS question “My organization has prepared employees for security threats”
Results	Pending	Pending
Status	Pending	Pending

Performance indicator: Annual FEVS results.

The Commission is committed to maintaining a safe and secure operating environment for all its employees. The Commission will continue to cultivate a culture of awareness of physical and personnel safety and security concerns. Strategies to promote physical and personnel safety and security may include, but are not limited to:

- Communication of important security information to promote employee confidence with Commission’s security posture;
- Dissemination of information regarding employee health and safety to address employee concerns about the Commissions working environment.

## Performance goal M1.49

Increase stakeholder satisfaction with EDIS.

	<b>FY 2014</b>	<b>FY 2015</b>	<b>FY 2016</b>	<b>FY 2017</b>
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	EDIS survey not issued pending deployment of re-engineered version in FY 2017.	EDIS survey not issued as deployment of EDIS 3.10 was delayed.
Status	Target met	Target met	Deferred	Deferred

FY 2014 Performance indicator: Method of obtaining EDIS user feedback.

FY 2015 Performance indicator: Baseline for user satisfaction.

FY 2016–2017 Performance indicator: User satisfaction score as measured through EDIS user satisfaction survey.

Although the Commission planned to issue a user satisfaction survey for its web-based EDIS application in FY 2017 (previously Performance Goal C1.13), it deferred issuance because deployment of the new, re-engineered version of the system was delayed until FY 2018. The new version will employ more modern user interface features to continue the trend of improving user satisfaction.



## 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 indicators, target, lead office and data sources for each FY 2017 performance goal.

## Strategic Objective 1.1

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
1.11	Conclude investigations into alleged section 337 violations within timeframes that are consistent with the Uruguay Round Agreements Act implementing report by FY 2022.	Length of investigations concluded on the merits	15 month annual average	OUII	Spreadsheets maintained by OUII and OGC and 337Info
1.11(a)	Continue to implement promising proposals from FY 2015 report to Commission by the end of FY 2017	Implementation of proposal (rulemaking)	Proposals implemented	GC	Notice of Proposed Rulemaking, comments received from same and final rules package
1.11(b)	Measure effectiveness of early disposition program and implement changes if appropriate; consider developing mechanism to assess any other impacts of program.	Report on assessment of effectiveness	Information assessed, improvements implemented; mechanism developed	OUII	337Info, EDIS
1.11(c)	Measure effectiveness of e-discovery case management and initial disclosure case management programs and implement improvements to these programs if appropriate.	Assessment criteria	Programs assessed and improvements implemented	OUII	337Info, EDIS
1.12	Improve the timeliness of ancillary proceedings by reducing the average length of ancillary proceedings	Length of ancillary proceedings concluded on the merits	Modification--6 months Advisory--9 months Enforcement--12 months Fed Circuit remand--12 months Consolidated ancillaries--15 months	GC	Data gathered by OGC and 337Info
1.13	Issue and receive 90 percent of questionnaires for import injury investigations electronically in 2015-19.	Utilization rate (i.e., share of questionnaires transmitted and received electronically)	90% utilization	INV	Spreadsheet created to reflect information provided directly by staff and retrieved from questionnaire extraction files
1.14	Deliver 100% of import injury investigation determinations and reports by the statutory deadline	Submission of Commission determinations and reports to Department of Commerce	100% delivered by statutory deadline	INV	Log maintained by INV
1.15	Continue using the evaluation process, and improve agency decision-making based on judicial and NAFTA panel remands.	Evaluations and improvements	Evaluations completed and improvements made	GC	Remands

## Strategic Objective 1.2

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
1.21	Leverage existing and developing technologies to improve the flow of information to interested parties and the general public during FY 2014 - FY 2022	Development and implementation of projects	Projects identified and implemented each year	INV	
1.21a	Improve availability of investigation-related information by commencing development of the Title VII data system by the end of FY 2017.	Title VII data system	Data management and query tools for Title VII data system under development by the end of FY 2017	INV/OCIO	Creation of Title VII system; information input by various offices
1.21b	Commence development of electronic service of public documents by the end of FY 2017 to improve the flow of information to parties	Development of electronic service of public documents begun by end of FY 2017	Begin developing capability to electronically serve public documents to parties	SE/OCIO	Service Lists and other related information retained in EDIS
1.22	Post information on import injury investigation case webpages within specific timeframe	Investigation-related information posted	85% of information posted within 48 hours and 90% within 72 hours of issuance	INV	Spreadsheets created to track {1} FR notices and {2} all other posted information
1.23	Conduct outreach to bar groups and other stakeholders to ensure they understand Commission capabilities and processes.	Outreach efforts	Efforts made each quarter	INV	Logs maintained by various offices tracking outreach efforts
1.24	Issue regular feedback surveys to external stakeholders to assess effectiveness and efficiency of processes and procedures. Implement proposed new processes/procedures as appropriate.	Survey issuance; process/procedure updates	Surveys issued	INV	Initial survey as issued; tabulation and analysis of responses
1.25	Post documents to EDIS within specified time frames.	Percentage of documents posted	24 hrs.: 85% 48 hrs.: 95%	SE	Metrics maintained and reported on by SE with assistance from CIO from data in EDIS

## Strategic Objective 2.1

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
2.11	Identify and prioritize areas to improve capabilities to analyze important new issues in trade and industry competitiveness through 2022.	Priority areas vetted and established annually through 2022	Capabilities developed in new areas annually	IND/EC	Joint EC/ID research spreadsheet; meeting documentation; TPA priority gap closing documents
2.11(a)	Identify and prioritize areas to enhance capabilities to analyze new issues in trade and industry competitiveness.	Priority areas identified and vetted	Improved capabilities in priority areas such as: 1. Modeling: Differentiate trade effects across different types of U.S. companies and different U.S. geographic regions; update and expand modeling of international investment; expand scope and flexibility of partial equilibrium and sector-specific analysis. 2. Expanding research: Methods to assess industry competitiveness; trade in digital goods and services; behind-the-border NTMs affecting goods and services (TBTs, regulatory practices, conformity assessment, and standards); trade facilitation and customs issues; supply chains; effects of trade and trade policy on labor markets; and asymmetries in trade statistics. 3. Increase capabilities and knowledge related to trade-related agreements and U.S. trade relationships.	IND/EC	Joint EC/ID research spreadsheet; meeting documentation; TPA priority gap closing documents
2.12	Improved analytical tools and new capabilities are reflected in statutory work products through FY 2022.	Share of staff research time reflected in statutory products	Continuous improvement through FY 2018	IND/EC	
2.12(a)	Improved analytical tools and new capabilities are reflected in statutory work products.	Share of staff research time reflected in statutory products	Improved analytical tools and new capabilities are reflected in statutory work products	EC/IND	Database document
2.13	Improve processes to identify and correct errors at the prepublication stage for HTS files through 2022.	Identified and corrected information	Target determined each year	TATA	Data Management System logs

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
2.13(a)	Improve efficiency of HTS publication process in FY 2017 to ensure accuracy of published version.	Identified and corrected information	HTS updates are at least 97% error-free on publication	TATA	Logs show percentage of errors found during review and percentage of errors identified post-publication



## Strategic Objective 2.2

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
2.21	Engage Commission customers and other U.S. and international experts to enhance agency capabilities in order to provide effective and responsive analysis, data, and nomenclature services.	Feedback provided during briefings and meetings; Other indicator: Share of delivered, Commission customer requested products for which briefings are conducted	Briefings and meetings with customers conducted after report delivery generate feedback	IND/EC	
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 2017.	Feedback provided during briefings, meetings, and other engagements; actions taken	Engagement with customers and other organizations related to Commission reports and other research efforts generates feedback; actions taken, as appropriate	IND/EC	Meeting documentation
2.22	Improve utility of tariff and trade information for customers and the public by developing and producing digital and interactive Commission products by FY 2022.	Development of tools and knowledge to enable production of digital and interactive products; Implementation of solutions as measured by the number of digital and interactive Commission products produced by 2022	Make five digital or interactive Commission products available to the public by FY 2022	OARS/EC/IND	
2.22(a)	Develop new digital or interactive Commission products during FY 2017.	New digital or interactive Commission products produced for customers and the public	One additional new or updated digital or interactive Commission product available to customers and the public	OARS/EC/IND	Publications
2.22(b)	Implement Miscellaneous Tariff Bill Petition System to meet required statutory deadlines.	Deployment of MTBPS components	Implement capability to receive MTB petitions and comments, process them, and deliver preliminary and final reports to Congress.	OP/CIO	MTBPS petitions and ID, TATA analysis
2.23	Improve timeliness of tariff and customs information provided in response to emails submitted through on-line help system.	E-mail responses to HTS inquiries	95% of emails received through on-line help system receive responses within 7 working days	TATA	Data compiled by staff and aggregated for reporting purposes

## Management Objective 1.1

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.11	Improve employee satisfaction and commitment to the agency as measured by the FEVS by achieving continuous improvement through FY 2022	FEVS results	Targets determined each year	OAS	FEVS
M1.11(a)	Improve agency results in specific areas measured in the FEVS.	FEVS results	Improvement over FY 2016 results on identified questions	OAS	FEVS
M1.12	Increase stakeholder satisfaction with the extent to which recruiting efforts bring in the right human capital in an efficient way.	FEVS annual survey	Improvement over FY 2016 average in rate of positive responses to FEVS questions, or, if 2016 result indicates widespread satisfaction, maintain 2016 satisfaction level.	OAS/HR	FEVS
M1.14	Improve stakeholder satisfaction regarding opportunities for professional development to help retain human capital	Results of FY 2017 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.	OAS/HR	FEVS
M1.16	Complete hiring actions with service level agreements within the time frame specified (generally, 80 days) in order to improve overall vacancy rate and better achieve agency mission.	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	Improvement over the FY 2016 actual result	OAS/HR	Hiring process data
M1.17	Improve accuracy and completeness of hiring case files.	Results of review of all hiring actions completed	If file completeness targets are met in 2015 and 2016, set new goal and target and establish baseline. If not, improvement over FY 2016 average.	OAS/HR	HR Case Files

## Management Objective 1.2

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.21	Provide accurate, timely, insightful and relevant financial management reports to agency leadership on a monthly basis through FY 2022.	Financial management reports that are fully consistent and timely; feedback is received from cost center managers and office directors on relevance of reports	Consistent reports; reports issued monthly; positive feedback from agency leadership about relevance and accuracy of reports.	OCFO (OB, FIN, PR)	- Oracle Federal Financials (OFF) - Labor Cost Database - OCFO SharePoint Site - Labor cost reports developed by OARS
M1.21(a)	Issue financial management reports that meet the needs of managers throughout the Commission.	Reports are fully consistent with financial accounts; reports reflect improvements in response to user feedback	Accurate useful reports	OCFO (OB, FIN, PR)	- OFF - Labor Cost Database - Finance and Budget Committee meetings - Labor cost reports developed by OARS
M1.21(b)	Issue monthly financial management reports on a timely basis.	Timely issuance of reports	Reports issued monthly	OCFO (OB, FIN, PR)	- OFF - Labor Cost Database - Finance and Budget Committee meetings - Labor cost reports developed by OARS
M1.21(c)	Gauge management satisfaction via the use of discussion groups, and incorporate suggestions and feedback to improve financial management reports.	Feedback results; steps taken to improve reports	Management satisfaction with efforts to incorporate their suggestions/feedback into budget reports	OCFO (OB, FIN, PR)	- Internal surveys
M1.22	Improve effectiveness and efficiency of acquisitions during FY 2014 – FY 2022 by making continuous process improvements.	Timeliness and accuracy of procurement actions; cost savings to the government	Quarterly review reports demonstrate incremental improvements in effectiveness and efficiency of acquisitions	OCFO (PR, Internal Control/Risk Management)	- PRISM - Federal Procurement Data System - Next Generation (FPDS-NG) - Procurement Action Lead Times (PALT) - Contract files

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.22(a)	97% of procurement actions meet the PALT in FY 2017	Share of procurement actions that exceed the PALT	Quarterly PALT reviews show that 97% of procurement actions meet the PALT in FY 2017	OCFO (PR, Internal Control/Risk Management)	- PRISM - OFF - Contract files - Procurement log - PALT data
M1.22(b)	Provide accurate, weekly electronic status reporting of all current/pending procurement actions to CCMs and CORs during FY 2017.	Reports are timely, accurate, and up-to-date	Accurate, up-to-date reports issued weekly	OCFO (PR, Internal Control/Risk Management)	- PRISM - Federal Procurement Data System - Next Generation (FPDS-NG) - Weekly Requisition Reports - Contract files - Procurement log
M1.22(c)	Gauge satisfaction with procurement process, including efforts to incorporate suggestions/feedback into process, via internal surveys.	Survey results	Gauge satisfaction with procurement process, including efforts to incorporate suggestions/feedback into process, through internal surveys	OCFO (PR, Internal Control/Risk Management)	Federal Acquisition Regulation (FAR)
M1.23	Maintain a robust and effective system of financial management and internal controls to achieve an annual unmodified audit opinion on the agency's financial statements from FY 2014 through FY 2022.	Audit opinion on the agency financial statements	Unmodified audit opinion	OCFO	- OFF - Concur - FedTraveler - OCFO - SharePoint Site - Contract files - Reconciliations - Purchase Card Log
M1.23(a)	Maintain a robust system of financial management and internal controls to achieve an annual unmodified audit opinion on the agency's financial statements.	Audit opinion on the agency financial statements	Unmodified audit opinion	OCFO	- OFF - Concur - FedTraveler - OCFO - SharePoint Site - Contract files - Reconciliations - Purchase Card Log

## Management Objective 1.3

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.31	Improve delivery of IT solutions to better support Commission customers through 2022.	Continued refinement of program for tracking percentage availability to users of IT systems that are important to internal and external customers	Continuation of program	OCIO	QASP
M1.31(a)	Maintain high level of system availability to users of important IT systems during FY 2017.	Percentage of availability to users of the following systems: Local Area Network (LAN), Citrix, Email (Outlook), EDIS, DataWeb, and SharePoint	Maintain system uptime of at least an average of 99.0% availability for all measured systems	OCIO	OCIO Dashboard. Data are collected via What's Up Gold monitoring tool.
M1.32	Ensure a robust security posture by successfully developing capabilities consistent with government-wide cyber security priorities.	Development of capabilities consistent with government-wide priorities	Priorities established annually	OCIO	
M1.32(a)	Deploy Trusted Internet Connection in the first quarter of FY 2017	Deployment and activation of Trusted Internet Connection	Completion of operating capability	OCIO	USITC and CenturyLink emails
M1.32(b)	Implement and verify United States Government Configuration Baseline (USGCB) for 100% of new workstations running Windows operating systems	Scans of production devices	100% of new Windows workstations have an approved secure baseline configuration applied when deployed	OCIO	Network scans of production network devices
M1.32(c)	Apply and verify secure configuration baseline settings on 100% of new servers following NIST guidance.	Scans of production devices	100% of new servers are configured according to NIST guidance when deployed	OCIO	Scans of production network devices
M1.32(d)	Ensure Commission information systems have a valid Authorization to Operate.	Number of Commission information systems with an ATO divided by the total number of Commission information systems	100% (subject to availability of resources)	OCIO	ATO memos
M1.32(e)	HSPD-12 required for remote access to the network	Percentage of privileged accounts requiring HSPD-12 for login to systems	95% (on average) of required users consistently enabled	OCIO	
M1.33	Improve integrity, delivery and usability of USITC information assets by enabling access to 100% of the Commission's major datasets using Open Data-compliant machine-readable formats by the end of 2022.			OCIO	Open data internet links pointing to major data sets

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.33(a)	All new major systems deployed to production in FY 2017 will be Open Data compliant	Availability of information systems providing Open Data	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	OCIO	Open data internet links pointing to EDIS, HTS, DATAWEB

## Management Objective 1.4

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
M1.41	Improve the efficiency and timely delivery of Commission products by evaluating and implementing improved production processes of the agency through 2022.	Number of processes identified; process changes identified, implemented, and evaluated.	All major production processes evaluated; improved efficiency in producing and delivering Commission products	IND/EC/OP	
M1.41(a)	Improve the efficiency and 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 new processes or process improvements, where identified; evaluate effectiveness of new or amended processes; complete evaluation of one additional process	IND/EC/OP	Document, with changes identified in FY 2016; document implementation; assessment of impact of changes
M1.44	USITC-generated documents related to investigations requested in FY 2017 and recurring reports and staff research products initiated in FY 2017 are 508 compliant.	USITC-generated documents posted to the website related to investigations requested in FY 2017	100% 508 compliance for fact-finding investigation documents posted to the USITC website; 100% 508 compliance for staff research products (JICE and working papers) posted to the USITC website	IND/EC	508-compliant documents posted to website
M1.45	Identify and convert those paper processes found to be inefficient to more efficient electronic processes.	Improvements made to processes in the 5 main human capital management areas (recruitment, training/development, performance management, benefits/retirement counseling, and out-processing /details/ transfers)	Progress toward converting paper processes found to be inefficient to more efficient electronic processes	OAS	HR records, HR systems (personnel system, payroll system, etc.), SharePoint or successor document management system.
M1.46	Improve resource use, performance management, and internal controls by utilizing business intelligence software to develop and provide Commission managers with useful management reports through FY 2022		Targets determined annually	OP/OCFO	Prototype reports
M1.46(a)	Using recently acquired Business Intelligence software, determine the reporting needs of managers, set a schedule to deliver the reports, and begin development	Development and deployment milestones; effective reports	Identification of reporting needs and schedule completed; selected reports developed and delivered	OP/OCFO	MS Outlook, prototype reports

Goal Number	Performance Goal	Indicators	Target	Lead Office	Data Sources
	and delivery of selected reports by the end of FY 2017				
M1.47	Make continuous improvements to the Commission's web presence, including use of other evolving technologies (e.g., mobile applications, streaming video, rich internet capabilities) that benefit Commission customers and lead to improvements in user satisfaction.	ForeSee survey results, assessment of use of new technologies	Overall satisfaction with Commission's website is consistent with the average for other executive branch agencies (not more than 3 points less than the average benchmark score for executive branch agencies); needs identified in annual assessments of technology portfolio are incorporated into planning and scoping documents	OCIO	ForeSee
M1.49	Increase stakeholder satisfaction with EDIS	User satisfaction score as measured through EDIS user satisfaction survey	Improve on the previous year's user satisfaction score	OCIO/SE	Survey results



## 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 Actual	FY 2017 Actual
<b>Instituted</b>								
Preliminary Title VII	3	8	8	13	9	12	18	21
Final Title VII	12	2	12	5	15	10	16	15
Other	0	2	0	1	0	1	1	2
Full Review	9	12	7	10	7	8	11	8
Expedited Review	8	19	9	9	11	16	11	20
Total	32	43	36	38	42	47	57	66
<b>Completed</b>								
Preliminary Title VII	8	8	7	9	13	11	19	17
Final Title VII	11	6	8	7	9	12	13	19
Other	0	2	0	1	0	1	1	0
Full Review	10	9	9	10	7	9	6	11
Expedited Review	8	12	17	3	15	14	12	15
Total	37	37	41	30	44	47	51	62

**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 Actual	FY 2017 Actual
Instituted	58	78	56	52	49	47	79	64
Completed	52	58	57	72	59	50	64	61

**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 Actual	FY 2017 Actual
Instituted	16	8	9	10	8	5	7	5
Completed	13	11	6	12	10	9	9	5







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