



United States
International Trade Commission

**Annual
Performance
Plan,
FY 2015–2016
and
Annual
Performance
Report, FY 2014**



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Abbreviations and Acronyms

Acronyms	Term
AD/CVD	antidumping/countervailing duty
AFR	Agency Financial Report
ALJ	Administrative Law Judge
APR	Annual Performance Report
CAO	Chief Administrative Officer
CBP	U.S. Customs and Border Protection (DHS)
CIO	Chief Information Officer
CFO	Chief Financial Officer
Commission	U.S. International Trade Commission
COR	Contracting Officer's Representative
DataWeb	interactive tariff and trade data system
DHS	Department of Homeland Security
EC	Office of Economics
EDIS	Electronic Document Information System
ER	Office of External Relations
FIN	Office of Finance
GC	Office of the General Counsel
GPRA	Government Performance and Results Act
GSP	Generalized System of Preferences
GTAP	Global Trade Analysis Project (Center for Global Trade Analysis, Purdue University)
HR	Office of Human Resources
HTS	Harmonized Tariff Schedule
ID	Initial Determination
IG	Inspector General
IND	Office of Industries
INV	Office of Investigations
IP	intellectual property
IPR	intellectual property rights
IT	information technology
ITDS	International Trade Data System
NAFTA	North American Free Trade Agreement
NARA	National Archives and Records Administration
NTM	nontariff measure
OALJ	Office of the Administrative Law Judges
OARS	Office of Analysis and Research Services
OAS	Office of Administrative Services
OCFO	Office of the Chief Financial Officer

OCIO	Office of the Chief Information Officer
OEEEO	Office of Equal Employment Opportunity
OIG	Office of the Inspector General
OMB	Office of Management and Budget
OP	Office of Operations
OUII	Office of Unfair Import Investigations
PAR	Performance and Accountability Report
PR	Office of Procurement
SE	Office of the Secretary
SIC	Standard Industrial Classification
TATA	Office of Tariff Affairs and Trade Agreements
TBT	Technical Barriers to Trade
TEO	Temporary Exclusion Order
TRAO	Trade Remedy Assistance Office
URAA	Uruguay Round Agreements Act
USAGE	U.S. Applied General Equilibrium
USITC	U.S. International Trade Commission
USTR	Office of the United States Trade Representative
WCO	World Customs Organization
WTO	World Trade Organization

Message from the Chairman

I am pleased to transmit the U.S. International Trade Commission's Annual Performance Plan for FY 2015–2016 and the Annual Performance Report for FY 2014. This combined report describes the agency's programmatic and management goals for FY 2015 and FY 2016, documents our performance and accomplishments for FY 2014, and discusses challenges going forward.

The Commission has critical responsibilities in international trade. First, it adjudicates trade disputes by determining whether fairly and unfairly-traded imports have injured 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 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 2014 below:

Key Accomplishments in FY 2014

- In FY 2014, the Commission adjudicated a large number of disputes under Section 337 of the Tariff Act of 1930, determining whether imports infringed intellectual property rights or injured a domestic industry through unfair competition or other unfair acts like trade secret misappropriation. These investigations are demanding and complex, often involving multiple parties, large numbers of claims, and cutting-edge technologies such as smart phones, tablets and other wireless devices, semiconductors, and set-top boxes. During the year, the Commission worked to streamline its proceedings by reducing the length of these investigations and proceedings, by simplifying the discovery process, and by implementing several pilot programs to reduce costs and burdens for the parties. The Commission also launched a new section 337 information system, known as "337Info," which makes detailed information regarding section 337 proceedings more readily available to the public.
- In FY 2014, the Commission conducted a significant number of 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. These proceedings covered a wide range of products, such as sugar, solar panels, hardwood plywood, and uranium, as well as steel, agricultural and chemical products. As in the section 337 area, the Commission worked to streamline its Title VII proceedings and reduce burdens on the parties by using electronic data collection and analysis more frequently.

- In FY 2014, 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, such as a landmark study on the impact of digital trade in the U.S. and global economies. Other important studies prepared by the Commission included reports on the effects of trade, investment, and industrial policies in India on the U.S. economy, the trade and investment performance of countries covered by the African Growth and Opportunity Act, and trade barriers for U.S. small and medium enterprises in the EU market. The Commission used its extensive investigatory experience to survey industry and market participants to develop the original data needed for its analysis.
- During FY 2014, the Commission took important steps to ensure that it used taxpayer dollars efficiently. Over the course of the fiscal year, the Commission improved the quality of its information collection process and analytic methodologies, the effectiveness of communication with its customers and the public, and the timeliness of its determinations. The Commission also made significant improvements in information technology security, human resources administration, and financial management.
- In FY 2014, the Commission continued to improve internal controls for programmatic, administrative, and financial activities. These controls help ensure that the Commission expends government resources effectively and that its programmatic, administrative and financial reports contain accurate and complete data.
- Finally, we are proud that, in 2014, the Commission was ranked one of the 10 best small federal agencies to work for, based on OPM's 2013 Federal Employee Viewpoint Survey.

During the past year, the Commission and its staff have succeeded in fulfilling the agency's mission. I have no doubt that the Commission and its staff will continue to do so in the years to come. As it approaches its 100th anniversary in 2016, the Commission will continue to invest in expanding its expertise by providing high-quality, cutting-edge analyses of trade issues affecting the United States' economy and its trading relationships with other nations, and by remaining a highly regarded forum for the adjudication of IP and trade disputes.



Meredith M. Broadbent
February 2, 2015

FY 2015 and 2016 Annual Performance Plan and FY 2014 Annual Performance Report

The Commission's combined Annual Performance Plan and Annual Performance Report is based on the FY 2014–2018 Strategic Plan. It describes the specific performance goals and strategies that the Commission has adopted to make progress on its strategic goals and strategic objectives. The report describes specific performance goals the Commission has established through FY 2016 and compares FY 2014 results with the performance goals published in the agency's FY 2014 Annual Performance Plan. The Commission's planning process is carried out in accordance with the provisions of the Government Performance and Results Act of 1990 (GPRA), as amended by the GPRA Modernization Act of 2010, and related guidance from the Office of Management and Budget.

Agency and Mission Information

Overview

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

The U.S. International Trade Commission (USITC or Commission), by law, plays an important role in analyzing the many ways that changes in trade and competitiveness affect U.S. economic growth, employment, and the health of its economy. The Commission, an independent, nonpartisan agency, each year fulfills its mandate to provide the House Committee on Ways and Means, the Senate Committee on Finance, the President, and, by delegation, the United States Trade Representative (USTR) with objective, thorough, and thoughtful analysis on the most critical trade issues. The Commission has developed substantial expertise so as to provide objective, accurate, leading-edge insights for Congress and the Administration. The Commission's reports reflect the Commission's expanding abilities to understand, explain, and estimate the effects of policy changes on producers, consumers, employment, wages, and the U.S. economy as a whole.

The Commission also has specific responsibilities in the application of U.S. trade laws. As the role of trade in the U.S. and global economies has grown, applying these laws to allegations of

unfair trade has remained a mechanism on which U.S. firms can rely to compete effectively. The Commission's provision of sound and timely import injury determinations is critical to maintaining the confidence of U.S. companies and workers in a fair and impartial international trading system. The agency's timely resolution of complex intellectual property disputes can be of paramount economic importance to holders of valid U.S. intellectual property rights. The Commission provides support to U.S. Customs and Border Protection (CBP), as needed, to enable effective enforcement of Commission exclusion orders.

Since 1916, the Commission has had a major role in maintaining and analyzing the nation's tariff schedule. Since 1988, the Commission has been responsible for maintaining the official legal document that specifies the appropriate tariffs, if any, that apply to all imported goods. The Commission ensures that the tariff schedule is up to date and accurate, reflecting all implemented trade agreements. The Commission also chairs the interagency Committee for Statistical Annotation of the Tariff Schedules. These efforts facilitate international trade by 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, Commission representation of the United States at the World Customs Organization and timely maintenance of the U.S. tariff classification system serve to improve the quality of trade information.

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

Box 1.1 Key statutory responsibilities

Tariff Act of 1930

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

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

Under section 332, the Commission investigates a wide variety of trade matters. Upon request from the President, 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, in cooperation with the Secretary of the Treasury and the Secretary of Commerce, establishes for statistical purposes an enumeration of articles imported into the United States and exported from the United States and seeks to establish comparability of such statistics with statistical programs for domestic production. (See section 484(f), Tariff Act of 1930, 19 U.S.C. 1484(f))

Trade Act of 1974

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

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

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

Omnibus Trade and Competitiveness Act of 1988

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

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

Trade Act of 2002

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

Mission Statement

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

Organizational Structure

Commissioners

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

Each of the six Commissioners serves a term of nine years, unless appointed to fill an unexpired term. The terms are set by statute and are staggered with the intent that a different term expires every 18 months.¹ A Commissioner who has served for more than five years is ineligible for reappointment. A Commissioner may, however, continue to serve after the expiration of his or her term until a successor is appointed and qualified. No more than three Commissioners may be members of the same political party. The Chairman and the Vice Chairman are designated by the President and serve for a statutory two-year term. The Chairman may not be of the same political party as the preceding Chairman, nor may the President designate two Commissioners of the same political party to serve as the Chairman and Vice Chairman. Currently three Democrats and three Republicans serve as Commissioners.

USITC Staff

Commission staff is organized into offices designed to support the mission of the USITC. 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);

¹ 19 U.S.C §1330.

Office of the Chief Financial Officer (OCFO), and its subordinate Offices of Budget (OB), Finance (FIN), and Procurement (PR);

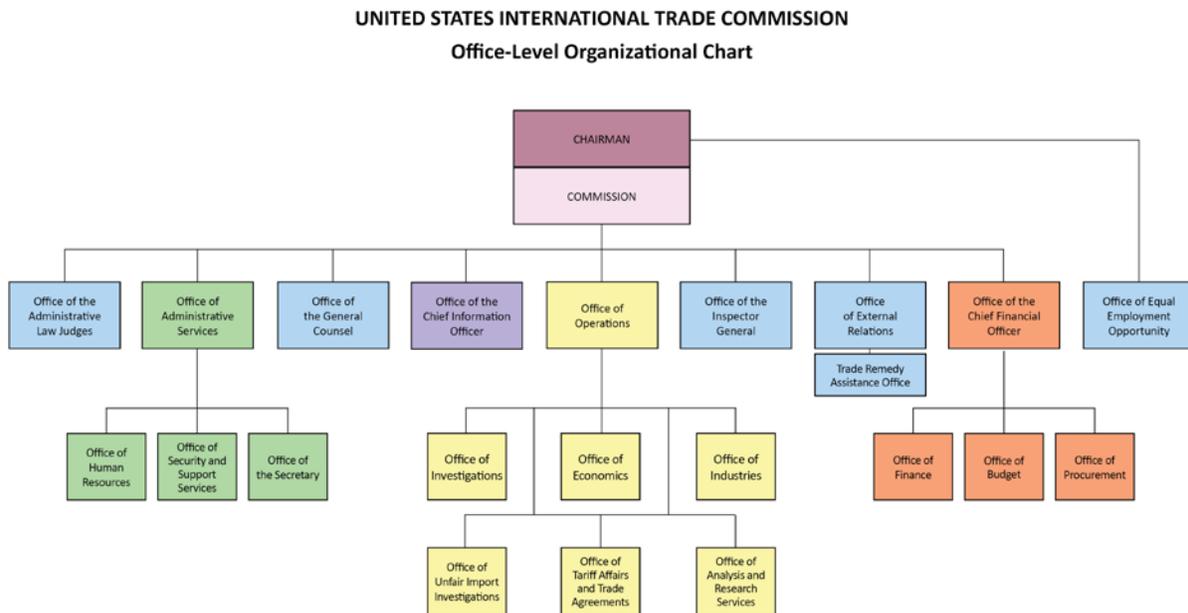
Office of the Chief Information Officer (OCIO);

Office of Administrative Services (OAS), and its subordinate Offices of the Secretary (SE), Human Resources (HR), and Security and Support Services (SSS);

Office of the Inspector General (IG); and

Office of Equal Employment Opportunity (EEO).

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



Major Management Priorities, Challenges, and Risks

The Commission identified three management priority areas in its FY 2014–2018 Strategic Plan: human resources, financial management, and information technology. The Commission believes that improving its performance in these areas is necessary to fulfill the agency’s mission and support various government-wide initiatives such as those to prevent improper payments, strengthen cybersecurity, and ensure open data. The agency is in the process of integrating enterprise risk management into its planning and evaluation processes.

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

Reviews and Evaluations

The Commission and its goal leaders and other senior staff review progress on the agency's strategic and management objectives quarterly. These reviews, along with the evidence related to specific performance goals, inform development of the Commission's Annual Performance Plan. The agency continues to evaluate how to improve its strategic planning process and how to make more effective use of the data it collects. Appendix B provides information on data sources for each of the strategic and management objectives and describes the agency's verification and validation process.

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

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

Structure of the Report

The remainder of this report consists of four sections—one for each of the strategic and management goals and one for the Commission's cross-cutting objectives. Each section describes objectives and corresponding performance goals through FY 2016, and the strategies used to make progress on these goals. The sections also highlight significant accomplishments, as well as areas in which the Commission did not meet its annual targets, and identify areas in which the Commission will seek to improve performance in FY 2015 and future years.

Strategic Goal 1

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

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

The Commission is responsible for administering and applying U.S. laws regarding subsidized and dumped imports that injure U.S. industries, fairly traded imports that injure a domestic industry, and imports that infringe a domestic intellectual property right or otherwise unfairly injure a domestic industry. U.S. laws, court decisions, and U.S. international obligations require the Commission to reach its determinations based on transparent procedures and a well-developed record. The Commission, and Administrative Law Judges in unfair import investigations under section 337 (which are most often intellectual property-based), must consistently perform thorough investigations and make sound factual findings. 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. The Commission is challenged in these efforts by the increasing complexity of its investigations, the variable caseload, and resource constraints.

In FY 2014, investigative workload associated with these types of investigations was similar to that of FY 2013. See appendix C for more detail.

Strategic Objective 1.1.

Reliable Process: Conduct Expeditious and Technically Sound Investigative Proceedings

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

objective to ensure that it provides expeditious and technically sound investigative and decision-making processes.

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

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

During FY 2014, the Commission made notable progress on aspects of this strategic objective. It met annual performance goals related to reducing the length of investigations, improving the efficiency of various types of investigative proceedings, and reducing the burden on investigation participants.

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

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

Performance goal 1.11

Conclude investigations into alleged section 337 violations within timeframes that are consistent with the URAA implementing report by FY 2018.^a

	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Target (months)	—	—	—	—	12 months for uncomplicated; 18 months for complicated
Results (months)	See 1.11a, 1.11b, 1.11c, and 1.11d	Pending	Pending	Pending	Pending
Status	Pending	Pending	Pending	Pending	Pending

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

Factors (indicators) that may be relevant to determining whether an investigation is “complicated”:

- number of patents, trade secrets, and unfair acts (in Notice of Investigation)
- whether the technology of the involved patents is overlapping or related
- number of claims (in Notice of Investigation)
- number of unrelated respondents accused (in Notice of Investigation)
- category/type of the respondents (e.g., component manufacturers versus distributors or downstream manufacturers)
- prior consideration of the patents in suit, trade secrets, or unfair acts in district court and/or in prior ITC investigations
- whether the issue of public interest is delegated to the ALJ

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
Annual average length of investigations concluded on the merits (in months)	18.4	13.7	16.5	19.7	17.1

Performance goal 1.11(a)

FY 2014

Analyze investigation data to identify factors contributing to investigation lengths and prepare report for Commission proposing ways to distinguish less and more complicated cases using objective measures of complexity.

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

Performance indicator: Report to Commission

FY 2015

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

FY 2015	
Target	Develop classifications
Results	Pending
Status	Pending

Performance indicator: Classification of investigations

FY 2016

Implement classification of investigations into more or less complicated categories by the end of FY 2016.

FY 2016	
Target	Implementation of classification
Results	Pending
Status	Pending

Performance indicator: Classification of investigations

Performance goal 1.11(b)

FY 2014

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

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

Performance indicator: Report to Commission

FY 2015

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

FY 2015	
Target	Plan prepared for implementation
Results	Pending
Status	Pending

Performance indicator: Implementation plan

FY 2016

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

FY 2016	
Target	Proposals implemented
Results	Pending
Status	Pending

Performance indicator: Implementation of proposals

Performance goal 1.11(c)

FY 2014

Establish criteria for assessment of early disposition pilot program.

FY 2014	
Target	Criteria established
Results	Criteria established
Status	Target met

Performance indicator: Assessment criteria

FY 2015

Measure effectiveness of early disposition pilot program.

FY 2015	
Target	Information assessed
Results	Pending
Status	Pending

Performance indicator: Assessment of effectiveness

FY 2016

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

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

Performance indicator: Assessment of effectiveness

Performance goal 1.11(d)

FY 2014

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

FY 2014	
Target	Criteria established
Results	Criteria established
Status	Target met

Performance indicator: Assessment criteria

FY 2015

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

FY 2015	
Target	Complete initial evaluation of pilot programs
Results	Pending
Status	Pending

Performance indicator: Assessment criteria

FY 2016

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

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

Performance indicator: Assessment criteria

Performance goal 1.11 is directed to shortening the average length of section 337 investigations. Specifically, the Commission is seeking to reduce by FY 2018 the average length of these investigations to between 12 and 18 months, depending on the extent to which an investigation is “complicated,” if practicable. In FY 2014, the Commission made significant progress in completing the backlog of investigations from the last several years of historically high filings. While still managing 100 active investigations, the Commission completed 59 investigations and reduced the average target date length.

In FY 2014, the Commission assessed factors that may be relevant to determining the extent to which an investigation is “complicated.” Such factors include the following:

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

Commission staff analyzed this information to determine the extent to which these factors or additional factors contribute to the length of section 337 investigations. Initial results of this analysis were inconclusive. Commission staff will continue this analysis and also focus in FY 2015 on ways to reduce the length of investigations through other means. By the end of FY 2015, the Commission expects to develop the most promising recommendations and prepare an implementation plan for those recommendations. By the end of FY 2016, the Commission expects to classify investigations as less or more complicated and implement promising proposals to shorten target dates.

In FY 2013, the Commission implemented two pilot programs aimed at reducing the length of section 337 investigations, increasing their efficiency, and reducing the cost of discovery in these investigations. The first program is the Commission’s early disposition program, in which the Commission directs the ALJ to make findings on certain potentially dispositive issues such as standing or domestic industry within the first 100 days after institution. The second program is

designed to make discovery more efficient. 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 programs are effective (1) in reducing the number of motions relating to electronic discovery and contentions or (2) in resolving investigations early. In FY 2015 and 2016, the Commission will use these criteria to measure the effectiveness and efficiency of these programs.

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

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
Modification							
Target (months)	6	6	6	6	6	6	6
Results (months)	—	6.4	—	1 day	none	Pending	Pending
Status	—	Target not met	—	Target met	—	Pending	Pending
Advisory							
Target (months)	12	12	12	12	9	9	9
Results (months)	1.5	3.8	4.9	—	5.8	Pending	Pending
Status	Target met	Target met	Target met	—	Target met	Pending	Pending
Enforcement							
Target (months)	12	12	12	12	12	12	12
Results (months)	11.2	9.0	—	8.7	12.7	Pending	Pending
Status	Target met	Target Met	—	Target met	Target not met	Pending	Pending
Federal Circuit remand ^a							
Target (months)	—	—	—	—	12	12	12
Results (months)	—	—	—	—	3.8	Pending	Pending
Status	—	—	—	—	Target met	Pending	Pending
Consolidated ancillaries							
Target (months)	15	15	15	15	15	15	15
Results (months)	—	—	16.0	—	11.5	Pending	Pending
Status	—	—	Target not met	—	Target met	Pending	Pending

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

Performance indicator: Length of ancillary proceedings concluded on the merits

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

During FY 2014, the Commission met many of the targets relating to length of ancillary proceedings but did not meet the target of length of enforcement actions. The lengths of all investigations, including the two enforcement actions, were impacted by the government shutdown.

The Commission continually evaluates its processes and procedures and strives to make them more efficient. Data for import injury investigations are collected via questionnaires sent to industry participants. While questionnaires traditionally have been sent and received in paper form, recent efforts by the Commission to automate the process by transmitting and receiving them electronically have made it possible to extract questionnaire data electronically. Electronic extraction reduces staff time spent manually entering data, both allowing staff to spend more time on analysis and reducing data entry errors. In addition, electronic transmission of questionnaires can potentially reduce the burden and cost for firms. In FY 2014, the Commission measured the share of questionnaires that are transmitted and received electronically, aiming at a 90 percent utilization rate by FY 2015 (performance goal 1.13). The Commission met this goal with 97 percent of all questionnaires sent electronically and 94 percent received electronically for an overall result of 96 percent.²

Performance goal 1.13

Increase the utilization of electronic questionnaires for import injury investigations to 90% by 2015.

	FY 2014–2015
Target	90% utilization
Result	96% utilization
Status	Target met

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. The Commission continued its efforts to meet all external deadlines for determinations, reports, and court related documents for FY 2014 (performance goals 1.14 and 1.15). During FY 2014 the Commission met performance goal 1.14 with one exception. The sole instance involved an investigation where Commerce announced significant amendments to its dumping determination that affected the volume of the subject imports subject to investigation by the Commission less than two days before the Commission’s vote in the investigation. Although the Commission’s determination was delivered by the statutory deadline, the errors made it difficult for the Commission to issue its opinion/report by the deadline.

² Information provided by questionnaire respondents suggests that the time spent responding to Commission surveys has declined by around 25% since the agency switched to electronic questionnaires.

Performance goal 1.14

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

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

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

Performance indicator: Submission of Commission determinations and reports to Commerce

Performance goal 1.15

Deliver 100% of court documents related to import injury investigations by the mandated deadline.

	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014
Target (%)	100	100	100	100	100
Results (%)	100	100	100	100	100
Status	Target met				

Performance indicator: Submissions to Court of International Trade (CIT), Federal Circuit, NAFTA panel, and/or WTO

Commission 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, and certain determinations are subject to review pursuant to the dispute resolution procedures of the World Trade Organization (WTO). Determinations in unfair import investigations can be appealed to the Federal Circuit. The Commission has statutory authority to represent itself before the CIT, the Federal Circuit, and NAFTA panels. Consistent with prior years, the Commission met its goal during FY 2014 of delivering all relevant court related documents on time (performance goal 1.15). The Commission is discontinuing this performance goal in FY 2015 to streamline its reporting, as the agency has routinely met its targets. However, it will continue to track the timeliness of its submissions to ensure that 100 percent of court-mandated deadlines are met.

While the Commission strives to meet all court mandated deadlines, it has 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. The Commission has set goals to evaluate judicial and NAFTA panel reviews and to use that information to improve the agency's decision-making in future investigations (performance goal 1.16).

Performance goal 1.16

FY 2014

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

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

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

FY 2015

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

	FY 2015
Target	Process implemented
Results	Pending
Status	Pending

Performance indicator: Implemented evaluation process

FY 2016

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

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

Performance indicator: Evaluations and improvements

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

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

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

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

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

The Commission has invested substantial time and resources into developing a database for section 337 investigations, Unfair Import Investigations Information System (337Info), to assist with the efficient and accurate reporting of statistical information. The database also contains information that will help inform caseload management decisions. In FY 2014, the Commission developed data extraction tools (a user interface) to make the information in the database more accessible to the public and internal users. At the end of FY 2014, the Commission made 337Info available to the public. Also in FY 2014, the Commission began defining the requirements for a Title VII investigations database to be developed in FY 2015, so that in FY 2016 additional information in this area will be available to the public (performance goal 1.21(a)).

The Commission will employ several strategies to meet this strategic objective. First, the Commission will use existing and developing technologies to improve the flow of information to stakeholders by developing and deploying investigative databases. The Commission will also continue to ensure that information on investigations is available on its Electronic Document Information System (EDIS) and its webpages in a timely way. An effort to update EDIS filing and search capabilities is underway and expected to be deployed in FY 2015. Implementing the capability to serve confidential (but not classified) documents electronically is planned for FY 2016 (performance goal 1.21(b)). Both of these initiatives will improve the flow of and access by external parties to investigative information. The Commission will continue its outreach to the legal community, industry, and others to ensure that its processes and capabilities are understood. Finally, the Commission will regularly survey external stakeholders to obtain feedback on the effectiveness and efficiency of Commission processes.

Performance goal 1.21

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

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

Performance indicators: Development and implementation of projects

Performance goal 1.21(a)

FY 2014

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

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

Performance indicator: Search and data extraction tools available

FY 2015

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

FY 2015	
Target	Title VII data system developed
Results	Pending
Status	Pending

Performance indicator: Title VII data system

FY 2016

Improve availability of investigation-related information by deploying search and data extraction tools for investigation databases by the end of FY 2016

FY 2016	
Target	Search and data extraction tools for Title VII information evaluated and deployed
Results	Pending
Status	Pending

Performance indicator: Search and data extraction tools evaluated and deployed

Performance goal 1.21(b)

FY 2016

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

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

Performance indicator: Electronic service capability implemented and deployed

The availability of statistical and procedural information in import injury investigations directly relates to the strategic objective 1.2 of 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 provides the Commission with a more complete record upon which to base sound determinations. Furthermore, since affected

U.S. industries can monitor progress on investigations, the information they gain about deadlines, determinations, and scope of investigations can help mitigate uncertainty in the marketplace. The Commission has set performance goals through FY 2016 to ensure that import injury investigation information is available in a timely manner (performance goal 1.22).

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

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

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

Performance goal 1.22

Post information on import injury investigation case webpages within specific timeframe

	FY 2014	FY 2015	FY 2016
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
Results	Although over 90% of documents were posted, an efficient tracking system could not be developed.	Pending	Pending
Status	Target partially met	Pending	Pending

Performance indicator: Investigation-related information posted

The Commission made progress tracking the posting of documents during FY 2014. Transitioning to a new web-posting platform complicated the agency’s ability to track efficiently and comprehensively the timeliness of document posting during the year.

Performance goal 1.23

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

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

Performance indicator: Outreach efforts

Conducting outreach helps potential participants in import injury and unfair import proceedings work more effectively with the agency. During FY 2014, Commission staff participated in panel discussions, attended conferences, and met with outside counsel, representatives from other U.S. government agencies, and individuals from foreign government entities to share information about the Commission's processes.

Performance goal 1.24

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

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

Performance indicator: Survey issuance; process/ procedure updates

During FY 2014 the Commission issued a survey to outside counsel to gather feedback on potential ways to improve the methods of gathering and processing investigative data related lost sales and lost revenue allegations. Feedback was received from a number of firms and staff will evaluate and implement changes, as appropriate, in FY 2015.

Performance goal 1.25

Post documents to EDIS within specified time frames.

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

Performance indicator: Percentage of documents posted

During FY 2014 the Commission met its goals with regard to posting documents to EDIS within 24 and 48 hours for both section 337 and Title VII investigations.

Strategic Goal 2

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

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

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

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

In FY 2014, investigative workload associated with this strategic goal was similar to that of FY 2013. See appendix C for more detail regarding formal investigations.

Strategic Objective 2.1

Timely: Deliver Timely and Accessible Analysis and Information

The Commission recognizes the importance of providing policymakers with timely, accessible analysis and information to inform their decision-making. Timely trade and competitiveness information and analysis are often necessary for policymakers to meet negotiation schedules or make time-sensitive decisions. The Commission's customers expect the agency to adhere to statutory deadlines, relevant regulations, and requested delivery dates. Such information must also be presented clearly and be easily accessible. This strategic objective seeks to improve the value of tariff and trade information by acquiring the ability to produce digital and interactive Commission products; evaluate and implement improvements in all major Commission production processes; improve accessibility to Commission reports by increasing compliance with section 508 of the Rehabilitation Act of 1973; and develop and implement on-line technical information modules.³

One part of the Commission's mission is maintenance of the HTS. Timely updates to the HTS give the public critical product-specific information, enable the accurate collection of tariff revenues, and are integral to other government agencies' work. As technology and the global commercial environment change, the Commission will need to provide information to users in different ways. For example, the Commission has recently committed significant resources to update the electronic version of the HTS to ensure that tariff information is accessible, transparent, and up-to-date. To insure maximum benefit and use of this new database, the Commission foresees acquiring certain enhancements to the system in the future to improve search features, document generation, and other functionality.

The performance goals for this strategic objective focus on two general areas: providing information in a more accessible and timely way (often by upgrading the content and performance of web-based products), and improving the efficiency with which information is provided (by improving internal processes). To meet this objective, the Commission is developing and applying information technology (IT) solutions to make Commission products more accessible and useful for users. Strategies include the development of interactive digital products—both those available on the agency's website and those provided directly to policy makers.

Internal evaluations have also revealed the need to develop more information about the cost of conducting investigations to allow the Commission to allocate resources better, and to improve efficiency in production and delivery. Business process mapping supports Commission efforts to refine its internal processes and improve the efficiency and effectiveness of product delivery. More broadly, the agency is focusing efforts to digitize internal information. This effort supports

³ 29 U.S.C. 794d.

day-to-day management and business process evaluation. It also enhances accessibility and utility of historic information.

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

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

Performance goal 2.11

Improve utility of tariff and trade information for customers and the public by developing and implementing processes and tools to produce digital and interactive Commission products by FY 2018.

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

Performance indicators:

- Development of processes and tools to enable production of digital and interactive products
- Implementation of solutions as measured by the number of digital and interactive Commission products produced by 2018

Performance goal 2.11(a)

FY 2014

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

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

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	Pending
Status	Pending

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

FY 2016

Advance the development and implementation of processes or tools to produce digital or interactive Commission products and publish new products during FY 2016.

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

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

The Commission developed and included two interactive dashboards in the electronic version of the *Year in Trade* report. These Excel-based tools allow users to manipulate trade data in response to specific interests. Similar tools are being examined for another Commission report to be published in FY 2015.

Performance goal 2.11(b)

FY 2014

Complete development and deploy modernized HTS system during FY 2014.

FY 2014	
Target	Deploy new HTS system
Results	Development of new system is 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	Pending
Status	Pending

Performance indicator: Modernized trade data system

The Commission's project to redesign the process it employs for maintaining the HTS, which includes updating capability, quality control, and a documented tracking system for all modifications, was near completion at the end of FY 2014. After delays due to funding uncertainty, data conversion, and unexpected compliance issues, the Commission expects the new electronic HTS system to be accessible by the end of FY 2015. The agency also expects to deploy a substantially revised and enhanced version of the DataWeb during FY 2015. Both systems will be compliant with Open Data requirements.

Performance goal 2.12

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

FY 2014–FY2018	
Target	All major production processes evaluated; improved efficiency in producing and delivering Commission products
Results	Pending
Status	Pending

Performance indicators:

- Number of processes identified
- Process changes identified, implemented, and evaluated

Performance goal 2.12(a)

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

	FY 2014	FY 2015	FY 2016
Target	Complete evaluation of four processes and begin to implement improvements	Implement process changes identified in FY 2014; evaluate effectiveness of changes; complete evaluation of two additional processes	Implement process changes identified in FY 2015; evaluate effectiveness of changes; complete evaluation of two additional processes
Results	Four production processes evaluated or mapped: sec. 332 investigation review; sec. 1205 investigations; technical assistance; and the new HTS system production environment. Began implementing changes related to the technical assistance process.	Pending	Pending
Status	Target met	Pending	Pending

Performance indicators: number of major production processes evaluated; Process improvements identified, implemented, and evaluated

Performance goal 2.12(b)

FY 2014

Improve processes to identify and correct errors at the pre-publication 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 post-production content and overall 97% or greater accuracy of post-production 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	Pending
Status	Pending

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 99.5% error-free on publication
Results	Pending
Status	Pending

Performance indicator: identified and corrected information

During FY 2014, the agency continued to focus on interim process improvements designed to improve production efficiencies and reduce the number of published errors in HTS updates. The new HTS system has built-in production controls that support process management. Thus in FY 2016, the agency's performance goal will focus on ensuring accuracy at the time of publication.

Performance goal 2.13

FY 2014

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

FY 2014	
Target	<ul style="list-style-type: none"> • 100% of OP staff trained in the production of 508-compliant documents • Publishing guidelines for section 508-compliant documents developed • 50% 508 compliance
Results	Target 1: Key personnel trained, though not at 100% of OP staff. Target 2: Publishing guidelines developed and tested. Target 3: All USITC-generated reports posted to the website related to investigations instituted during FY 2014 were 508 compliant.
Status	Target 1: partially met. Target 2: met. Target 3: met.

Performance indicators:

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

FY 2015

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

FY 2015	
Target	100% 508 compliance
Results	Pending
Status	Pending

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

FY 2016

All USITC- generated documents related to investigations requested during FY 2016 that are posted to the USITC website are 508 compliant.

FY 2016	
Target	100% 508 compliance
Results	Pending
Status	Pending

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

During FY 2014, the Commission focused considerable resources on improving the accessibility of its products by publishing several reports with enhanced content for users with visual challenges, while providing training to, and developing internal guidelines for, content creators. The agency will continue this effort in FY 2015 and FY 2016.

Performance goal 2.14

FY 2014

Develop on-line technical information modules for the public and staff by the end of FY 2014.

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

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

FY 2015

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

FY 2015	
Target	Two modules posted, one new module under development by September 2015
Results	Pending
Status	Pending

Performance indicators:

- Number of training modules available on USITC website
- Number of new technical information modules under development by September 2015

During FY 2014, the Commission made progress on its goal to develop on-line training modules. However, it did not meet its publishing target as staff responsible for the training modules were assigned to higher-priority projects. The agency expects to release these modules, which are designed to improve knowledge management and consistency of analysis, in FY 2015.

Performance goal 2.15

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

	FY 2014	FY 2015	FY 2016
Target	90% of emails through on-line help system receive responses within 7 working days	92% of emails received through on-line help system receive responses within 7 working days	94% of emails received through on-line help system receive responses within 7 working days
Results	Of 1,768 email inquiries received, 1,645 were responded to within 7 days (93%).	Pending	Pending
Status	Target met.	Pending	Pending

Performance Indicator: E-mail responses to HTS inquiries

Historical data

	FY 2012	FY 2013
Percent response rate within 7 days	97	90

Strategic Objective 2.2 Effective: Produce High-Quality Analysis and Information and Strategic Insights to Support the Development of the U.S. Trade Agenda

Many of the requests the Commission receives from policy makers cover areas or issues that 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 the Commission to improve and enhance continuously its information collection processes and analytic methods, as well as the way it maintains and provides information. To accomplish this, the Commission must ensure appropriate acquisition of information, development of analytical tools, and investment in human capital.

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

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

The performance targets for this objective have focused on collecting feedback from both internal and external customers, identifying and vetting priority areas for research and knowledge development, and developing tools to track the inclusion of new knowledge and skills in requested work products. Key performance goal milestones occur after delivery of requested investigations, when the opportunity for specific feedback is present. Outreach efforts, unrelated to specific reports, are being expanded to develop improved insight into the existing and emerging interests of our customers.

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

Performance goal 2.21

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

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

Performance indicators: Feedback provided during briefings and meetings

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

Performance goal 2.21(a)

FY 2014

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

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

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

FY 2015

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

FY 2015	
Target	Engagement with customers and other organizations related to Commission reports and other research efforts generates feedback; actions taken, as appropriate
Results	Pending
Status	Pending

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

FY 2016

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

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

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

In addition to collecting feedback from briefings, the Commission began to engage in more proactive efforts to ascertain the interests of our statutory customers. These efforts are being undertaken to better inform the process of prioritizing our self-initiated research efforts. Such efforts include scheduling meetings to discuss research interests reviewing policymakers' public statements on trade and competitiveness issues, and examining trade-related legislative bills to acquire better information on policymakers' interests.

Performance goal 2.22

Based largely on customer input, continually identify and prioritize areas to improve capabilities to analyze important new issues in trade and industry competitiveness through 2018.

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

Performance indicators: Priority areas vetted and established annually through 2018

Performance goal 2.22(a)

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

	FY 2014	FY 2015	FY 2016
Target	Enhanced capabilities developed in priority areas such as: 1. Global modeling including analysis of differential household effects 2. Economic and trade effects of energy markets, technologies, and related services 3. Behind-the-border nontariff measures (NTMs) such as technical barriers to trade (TBTs) and standards; trade facilitation and customs issues 4. Supply chains 5. Analysis of the effects of integration within the North American markets	Improved capabilities in priority areas such as: 1. Advancing modeling efforts, such as global modeling including analysis of distributional effects of trade on U.S. households 2. Expand analysis of emerging issues and research areas, such as economic and trade effects of energy markets, technologies, and related services; behind-the-border NTMs affecting goods and services such as TBTs and standards; trade facilitation and customs issues; supply chains; product space analysis 3. Increase capabilities and knowledge related to unilateral, bilateral, regional, and multilateral trade-related agreements	Improved capabilities in priority areas such as: 1. Advancing modeling efforts, such as including baseline projections for modeling of U.S. and global economies; updating of probable economic effect analytical framework 2. Expand analysis of emerging issues and research areas, such as economic and trade effects of energy markets, technologies, and related services; behind-the-border NTMs affecting goods and services such as TBTs and standards; trade facilitation and customs issues; effect of trade and trade policy on labor markets 3. Increase capabilities and knowledge related to unilateral, bilateral, regional, and multilateral trade-related agreements
Results	Significant capabilities developed in all priority areas. Progress on enhancing model capabilities to better represent households is ongoing, with expected completion in FY 2015.	Pending	Pending
Status	Four of five targets met	Pending	Pending

Performance indicator: Priority areas identified and vetted

The efforts undertaken under goal 2.21 have largely validated the priority areas set forth for self-initiated research and capacity building in FY 2014 and 2015. Advancing the quantitative tools used for analysis, developing a better understanding of factors affecting trade flows and industry competitiveness, and expanding knowledge of the structure and effects of existing and proposed trade-related agreements will continue to be areas of focus.

Performance goal 2.23

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

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

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

Performance goal 2.23(a)

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

	FY 2014	FY 2015	FY 2016
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
Results	New methodology developed using labor cost database. Labor cost data collected and concorded between research inputs and statutory outputs. Tentative baseline developed: Shares of research used over 4 year time horizon calculated.	Pending	Pending
Status	Target partially met	Pending	Pending

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

This goal examines the Commission’s past performance in allocating resources to develop knowledge in areas anticipated to be of interest to policymakers. The expanded outreach efforts described in goal 2.21 are designed to support improvement in this goal.

Performance goal 2.24

Obtain feedback from internal customers regarding Commission products and take action in areas needing improvement through FY 2018.

	FY 2014–FY 2018
Target	100%
Results	Target met for FY 2014
Status	Terminated

Performance indicators: Feedback obtained; action taken, as appropriate

Performance goal 2.24(a)

Obtain feedback from internal customers regarding Commission products and take action in areas needing improvement.

	FY 2012	FY 2013	FY 2014
Target	100%	100%	100%
Results	Feedback obtained and actions taken	Feedback obtained and actions taken	Feedback obtained through review and approval of 15 reports. Feedback was addressed before report delivery/publication
Status	Target met	Target met	Target met

Performance indicators: Feedback obtained; action taken, as appropriate

This performance goal has been discontinued following the FY 2014 performance year, as the agency has routinely met its targets. The Commission will continue to monitor processes and take action, as appropriate.

Management Goal

Achieve Agency-wide Efficiency and Effectiveness to Advance Agency Mission

The Commission is committed to continuous process improvement and support for the Commission's strategic goals and mission. The three management objectives support the management goal to advance the agency's mission in an efficient and effective way. The objectives align with three functional areas: human resources; budget, acquisitions, and finance; and IT. Performance goals identified for FY 2015 and 2016 reflect agency management priorities.

Management Objective M1.1

People: Efficiently and Effectively Recruit and Develop Highly Qualified and Flexible Human Capital

For the Commission to carry out its mission in a constantly evolving business environment, the Commission must recruit and develop a workforce equipped to meet the demands of the agency's workload. Efficiency and effectiveness in all human capital management practices are vital aspects of the Commission's ability to position itself as an attractive employer in a highly competitive labor market. Streamlining processes, shortening hiring action completion times, maintaining highly accurate records, and striving to maximize stakeholder satisfaction with human capital management practices contribute to optimal efficiency and effectiveness. The Commission will continue to emphasize the need for improved performance in these areas. The Chief Human Capital Officer is the Goal Leader for this strategic objective and for each of the performance goals identified below.

During FY 2014–2018, the Commission will streamline its human capital management practices by moving all major human capital activities currently using paper processes (hiring, career development, benefits counseling, etc.) to electronic processes (performance goal M1.11). This step will increase efficiency by shortening processing times, as there will be no more hard copy forms to be completed or hand delivered between internal offices. It will increase effectiveness by promoting transparency, enhancing document tracking capability, and improving record keeping through enhanced auditability. In FY 2014, the agency began addressing this goal by identifying key processes for conversion from paper and rolled out its first electronic solution for out-processing departing federal employees. In 2015, the USITC will use the list of identified processes as a guide toward achieving this goal and set a target to convert additional paper processes.

Using the Office of Personnel Management's 80 day end-to-end hiring model as a starting point, the Commission has developed its own service level agreements for processing hiring

actions in order to improve processing completion times and provide greater transparency to all stakeholders involved in the hiring process (performance goal M1.12). Implementing service level agreements promotes greater efficiency by allowing the Office of Human Resources (HR) to better plan and to prioritize its workload. It will also provide specific and reasonable performance expectations for stakeholders. The agreements will also promote greater effectiveness in hiring practices by illuminating recurring issues (both internal and external to the Commission) that might impede the processing of hiring actions.

Accurate and auditable recordkeeping plays a crucial role in human capital management practices (performance goal M1.14). This is particularly true in the area of hiring and recruitment, where improper record keeping practices could put the Commission at risk of losing delegated examining authority as well as negatively impacting the efficiency and effectiveness of hiring actions. Improving record keeping will also minimize the incidence of inadvertent error in pay and benefits determinations that may adversely impact Commission employees. While the agency works 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 reflect their perception of the efficiency and effectiveness of the Commission's performance in those areas (performance goals M1.13 and M1.15). Low levels of satisfaction evidence a perception of ineffectiveness and inefficiency in Commission human capital management practices among stakeholders, indicating the need for corrective action, whether by remedial efforts within HR or educational efforts with stakeholders to ensure familiarity with human capital management processes. Feedback provided by stakeholders via intermittent and annual surveys helps the agency determine which facets of the hiring and career development processes stakeholders are most concerned about, and therefore helps to focus remedial actions. The Commission will continue its efforts to elicit feedback from stakeholders during the upcoming fiscal years to gauge satisfaction in hiring and career development.

Performance goal M1.11

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

FY 2014–FY 2018	
Target	Eliminate all paper processes in each major area listed above by FY 2018
Results	Progress toward goal (see M1.11(a) below).
Status	Progress towards goal.

Performance indicators: Total number of paper processes remaining in each of the 5 main human capital management areas (Recruitment, Training/Development, Performance Management, Benefits/Retirement Counseling, and Out-processing /Details/ Transfers)

Performance goal M1.11(a)

Convert all major human capital management paper processes to electronic processes.

	FY 2014	FY 2015	FY 2016
Target	Progress toward eliminating all paper processes in each major area	Progress toward eliminating all paper processes in each major area	Progress toward eliminating all paper processes in each major area
Results	Progress towards goal. Electronic Service Level Agreements and Out-Processing Dashboard deployed.	Pending	Pending
Status	Target met	Pending	Pending

Performance indicators: Total number of paper processes remaining in each of the 5 main human capital management areas (Recruitment, Training/Development, Performance Management, Benefits/Retirement Counseling, and Out-processing /Details/ Transfers)

Performance goal M1.12

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.

	FY 2014	FY 2015	FY 2016
Target	80% or more hiring actions completed within the time frame 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
Results	80.6% aggregate SLA's met (est.)	Pending	Pending
Status	Target met	Pending	Pending

Performance indicator: 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

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

Performance goal M1.13

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

	FY 2014	FY 2015	FY 2016
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) help desk implemented	Set baseline for FEVS questions related to this area.	Improvement over the FY 2015 average in the rate of positive responses to FEVS questions
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.	Pending	Pending
Status	Target not 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 and 2016): 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.

In FY 2014, the Commission took steps to refocus and consolidate efforts to collect and address internal customer feedback. Low response rates to internal surveys lead to questions regarding the utility of survey results. Although the Commission continues to retain its customer satisfaction goal regarding hiring practices in FY 2015 and 2016, it will base its assessment of progress on results from the Federal Employee Viewpoint survey (FEVS).

Performance goal M1.14

Improve accuracy and completeness of hiring case files.

	FY 2014	FY 2015	FY 2016
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
Results	92.5% file accuracy	Pending	Pending
Status	Target met	Pending	Pending

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

Performance goal M1.15

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

	FY 2014	FY 2015	FY 2016
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.
Results	41.7% (a 6.2 percentage-point decrease in positive response rate from FY 2013)	Pending	Pending
Status	Target not met.	Pending	Pending

Performance indicators (2014): Results of FY 2014 CAO and CFO customer service survey and FY 2014 management survey
Performance indicator (FY 2015 and 2016): Results of FY 2015 and 2016 FEVS on 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.

As noted above, the Commission took steps during FY 2014 to refocus and consolidate efforts to collect and address internal customer feedback. Low response rates to internal surveys reduced the utility of survey results. Although the Commission continues to retain its customer satisfaction goal regarding training in FY 2015 and 2016, it will base its assessment of progress on results from the FEVS.

Management Objective M1.2

Money: Provide Good Stewardship of Taxpayer Funds

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

The strategies to achieve these performance goals are as follows:

- Evaluate the relevance of financial management reports within the Commission; ensure that budgetary information is consistent with the financial accounts, and ensure timely issuance of relevant financial data that meet the informational needs of management.
- Review contract award processes and contract files on a quarterly basis to ensure that the acquisition process meets the needs of its customers in a timely manner and that the files are accurate and complete.

- Ensure that financial controls are documented, implemented, and reviewed and refined on a regular basis to maintain an annual unqualified audit opinion.

The Office of the CFO will engage senior managers throughout the Commission during FY 2015 in order to document accurately management's needs and develop a plan to satisfy them. The Office of the CFO will modify existing financial management reports to the extent possible, subject to funding availability, in order to meet the requirements.

During FY 2015 the Director of Procurement will continue to review contract activity each quarter to determine the extent to which established Procurement Action Lead Times (PALT) were exceeded. At the same time, the Director of Procurement will review the PALT timelines to reduce them to the extent possible, and make them more transparent. Also, in an effort to provide managers throughout the agency with accurate, timely information about their procurement actions, reports that contain details on the activity on, and status of, each procurement request will be sent out on a weekly basis. The quarterly review of contract files will continue into FY 2015 and will be documented, as an internal control procedure. Lastly, the Office of Procurement is seeking to upgrade its current contract writing system. The new system is expected to improve contract processing times, allow for the automated capability to create contract clauses, incorporate Federal Acquisition Regulations (FAR) updates, and provide automatic interfaces with federally mandated procurement-related reporting sites.

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

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

Performance goal M1.21

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

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

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

In FY 2012, a baseline was established. In FY 2013, financial reports were issued in a timely manner.

Performance goal M1.21(a)

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

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

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

The Office of the CFO took steps during FY 2014 to incorporate manager feedback in the financial management reports. The Office of the CFO began meeting with managers throughout the Commission in order to determine their specific financial information needs. This process is expected to result in much improved financial management reports during FY 2015. Also, the Office of the CFO began to explore alternate reporting technologies and tools in order to automate to the extent possible the monthly financial reports. This process is expected to reduce the time needed to issue financial management reports during FY 2015. These steps have received positive feedback from agency managers.

Performance goal M1.21(a)

Issue financial management reports that are consistent with the financial system.

	FY 2015	FY 2016
Target	Accurate reports	Accurate reports
Results	Pending	Pending
Status	Pending	Pending

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

Performance goal M1.21(b)

Issue timely financial management reports.

	FY 2015	FY 2016
Target	Reports issued monthly	Reports issued monthly
Results	Pending	Pending
Status	Pending	Pending

Performance indicator: Timely issuance of reports

Performance goal M1.21(c)

Improve management satisfaction with efforts to incorporate feedback into financial management reports.

	FY 2015	FY 2016
Target	Management satisfaction with efforts to incorporate their suggestions/feedback into budget reports, as reflected in management survey responses	Management satisfaction with efforts to incorporate their suggestions/feedback into budget reports, as reflected in management survey responses
Results	Pending	Pending
Status	Pending	Pending

Performance goal M1.22

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

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

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

Other indicator: Customer feedback

Performance goal M1.22(a)

FY 2014

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

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

Performance indicators: Share of procurement actions that exceed the PALT

FY 2015

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

FY 2015	
Target	Quarterly PALT reviews that show a 4% reduction of procurement actions that exceed the PALT in FY 2015 from the FY 2014 level
Results	Pending
Status	Pending

Performance indicators: Share of procurement actions that exceed the PALT

FY 2016

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

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

Performance indicators: Share of procurement actions that exceed the PALT

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 CORs during FY 2015.

FY 2015	
Target	Accurate, up-to-date reports issued weekly
Results	Pending
Status	Pending

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

FY 2016

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

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

Results	Pending
Status	Pending

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

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	Pending
Status	Pending

Performance indicators: PALT timelines

FY 2016

Refine PALT timelines and reduce timelines to the extent possible by the end of FY 2016 to enhance procurement’s efficiency in contributing to the agency’s mission.

FY 2016	
Target	PALT timelines are refined and reduced, as appropriate
Results	Pending
Status	Pending

Performance indicators: PALT timelines

While the target for performance goal 1.22(a) was not met, the agency made substantial progress during FY 2014 in reducing its exceed rate—during the first half of FY 2014 the rate was 6.0 percent and during the second half it was 3.0 percent. The agency is building on its performance during the second half of FY 2014 to ensure the goal is met in FY 2015. The agency met its target for performance goal 1.22(b) in FY 2014; it continues to monitor its procurement actions with an aim to reduce the error rate to close to zero. The agency will also continue its efforts to complete procurement actions in as little time as possible in future years.

Performance goal M1.23

Maintain a robust and effective system of financial management and internal controls to achieve an annual unqualified audit opinion on the agency’s financial statements from yearend FY 2014 through yearend FY 2018.

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

Performance indicators: Audit opinion on the agency financial statements

Performance goal M1.23(a)

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

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

Performance indicators: Audit opinion on the agency financial statements

The agency is constantly testing, reviewing and refining its financial management practices in order to ensure it can maintain its unqualified audit opinion.

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

The Commission’s information technology (IT) goals for FY 2015 and FY 2016 are generally consistent with those in FY 2014. Key differences include:

- Expanding focus on accomplishment of government-wide cybersecurity priorities
- Eliminating measurement of National Archives and Records Administration (NARA) review of records management self-inspection

The Commission recognizes the importance of effective information resources management and is focusing significant effort and resources to address the agency’s needs in this area, including priorities identified by the IG and various federal initiatives.

The Commission’s management objective M1.3 is intended to ensure that IT resources support the mission of the agency. The Commission’s IT performance goals for FY 2015 quantify how the Office of the Chief Information Officer (OCIO) intends to support this objective. The Commission’s CIO is the goal leader for this management objective.

Performance goal M1.31 strives to improve delivery and support of IT services. While the agency has been measuring system availability for important IT systems for some time, the plan in FY 2014 expanded the definition of the “important IT systems” —i.e., the systems whose availability is to be measured—and obtained a baseline measure. The goal for FY 2015 and 2016 is to achieve annual improvement of the baseline measurement.

The OCIO continues to issue a wide range of surveys that assess the contribution of IT resources to mission accomplishment. In FY 2015, the agency plans to continue using these survey mechanisms and will seek user feedback on targeted issues during this timeframe as well.

Performance goal M1.32 endeavors to ensure agency IT security by complying with federal cybersecurity priorities. In FY 2014, the agency began acquisition of the Trusted Internet Connection (TIC) but was unable to complete the implementation of that capability within the performance period. Implementation of that capability is underway and scheduled to be completed in early FY 2015. In FY 2015, the agency plans to deploy HSPD-12 capability to improve user authentication services. Also in FY 2015, the agency is adding a cybersecurity goal that rounds out conformance with a federal cross-agency priority (CAP) cybersecurity goal. The primary external factors that affect achievement of this goal are budget- related. Both initiatives require substantial capital investment. The CIO will lead this goal.

As part of performance goal M1.33, the agency plans to continue to review and, when needed, update its policies and procedures. The Commission will review and update one-third of these each year. FY 2014 also marks the final year in which the agency will establish targets pertaining to the annual National Archives and Records Administration (NARA) self-assessment, as it focuses on areas such as cybersecurity.

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

Performance goal M1.31

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

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

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

Performance goal M1.31(a)

FY 2014

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

FY 2014	
Target	Development and implementation of program
Results	The program and standards to measure availability of critical systems was 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	Pending
Status	Pending

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

FY 2016

Improve system availability to users of important IT systems over FY 2015 baseline by end of FY 2016.

FY 2016	
Target	Improvement over FY 2015
Results	Pending
Status	Pending

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

Performance goal M1.31(b)

FY 2014

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

FY 2014	
Target	<ul style="list-style-type: none"> • Develop and implement action plans for improvements in priority areas; • 5 percentage point improvement in priority areas over the FY 2013 OCIO customer satisfaction survey scores
Results	Revised OCIO Customer satisfaction survey deployed. Survey was revised to substantially improve the data capture process and information quality. A new baseline of 69% satisfied was established. This provides a better foundation on which to assess improvements in future years.
Status	Target partially met

Performance indicators:

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

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

FY 2015

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

FY 2015	
Target	<ul style="list-style-type: none"> • Develop and implement action plans for improvements in priority areas • 5 percentage point improvement in priority areas over the FY2014 CIO customer satisfaction survey • Develop priorities for new systems to develop in FY 2016
Results	Pending
Status	Pending

Performance indicators:

- Assessment of the extent to which IT-related services and improvements to them are meeting stakeholders' requirements and are helping to improve stakeholder productivity, as measured by regular structured feedback
- Identification of needed new systems

FY 2016

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

FY 2016	
Target	<ul style="list-style-type: none"> • Develop and implement action plans for improvements in priority areas • 5 percentage point improvement in priority areas over the FY2015 CIO customer satisfaction survey • Develop priorities for new systems to develop in FY 2017
Results	Pending
Status:	Pending

Performance indicators:

- Assessment of the extent to which IT-related services and improvements to them are meeting stakeholders' requirements and are helping to improve stakeholder productivity, as measured by regular structured feedback
- Identification of needed new systems

Performance goal M1.32

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

FY 2014–FY 2016	
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	Pending
Status	Pending

Performance indicator: Deployment of HSPD-12

FY 2016

Ensure security areas identified in the Department of Homeland Security (DHS) Continuous Diagnostics and Mitigation (CDM) program are addressed.

FY 2016	
Target	Develop an FY 2016 plan to address security areas identified in the DHS CDM program Achieve 90% of plan milestones by the end of FY 2016
Results	Pending
Status	Pending

Performance indicator: Plan milestones are met

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	Pending
Status	Pending

Performance indicator: Network scans of production network devices

FY 2016

Ensure security areas identified in annual FISMA metrics are addressed.

FY 2016	
Target	<ul style="list-style-type: none"> Develop an FY 2016 plan to address security areas identified FISMA reporting metrics (e.g. Inventory, Information Security Continuous Monitoring, Anti-Phishing and Malware Defense, Data Protection, Network Defense, Boundary Protection, Training and Education, and Incident Response) Achieve 90% of FISMA plan targets by end of FY 2016
Results	Pending
Status	Pending

Performance indicator: Plan milestones are met

Performance goal M1.33

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

Performance goal M1.33(a)

FY 2014

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

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

Performance indicator: All IT management policies and procedures

FY 2015

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

FY 2015	
Target	Review 1/3 of controls annually
Results	Pending
Status	Pending

Performance indicator: All IT management policies and procedures

FY 2016

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

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

Performance indicator: All IT management policies and procedures

Performance goal M1.33(b)

Achieve low risk score on annual NARA assessment in FY 2014.

FY 2014	
Target	Achieve low risk score on annual NARA assessment
Results	Assessment score is 97/100
Status	Target met

Performance indicator: Annual NARA assessments of the records management program

Note: The performance goal for FY 2012 was to establish a baseline on NARA self-assessment. The performance goal for FY 2013 was to effectively manage Commission records, with a target of achieving an 80% score on the annual NARA self-assessment. This target was met, with a 94% score.

Performance goal M1.34

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

Performance goal M1.34 (a)**FY 2014**

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

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

Performance indicator: Availability of information systems providing Open Data

FY 2015

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

	FY 2015
Target	100% of information assets
Results	Pending
Status	Pending

Performance indicator: Availability of information systems providing Open Data

At the end of FY 2014, EDIS and 337info were both compliant with Open Data requirements. The agency expects the new HTS system to be operating in the second quarter of FY 2015 and a revised version of the DataWeb by the end of FY 2015.

Cross-cutting Objectives

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

Cross-Cutting Objective 1 (C.1) Use Feedback to Improve Agency Operations and Enhance Employee and Customer Satisfaction

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

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

For FY 2015 and 2016, the Commission will continue to build on gains it has made in overall employee satisfaction with management and the workplace. The agency also plans to seek feedback from users of its website and for the first time to obtain specific feedback from users of EDIS. The Commission also plans to undertake a comprehensive review of all of its feedback surveys, with the aim of improving administration, ease of use, and the quality of resulting information. The goal leader for this cross-cutting objective is the Director of Operations.

Performance goal C.11

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

Performance goal C.11 (a)

FY 2014

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

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

Performance indicator: FEVS results

FY 2015

Improve agency results in specific areas measured in the FEVS.

FY 2015	
Target	Identify specific areas within FEVS for improvement based on FY 2014 FEVS set baseline
Results	Pending
Status	Pending

Performance indicator: FEVS results

FY 2016

Improve agency results in specific areas measured in the FEVS.

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

Performance indicator: FEVS results

Performance goal C.12

Develop and implement best practices for internal and customer feedback surveys and other instruments that measure satisfaction to improve information quality by the end of FY 2014.

FY 2014	
Target	Guidelines and technical capabilities developed and implemented
Results	Agency guidelines were developed and made available to staff. Technical capabilities were provided to staff to improve effectiveness of surveys.
Status	Target met

Performance indicators: Guidelines and technical capabilities

Performance goal C.13

FY 2014

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

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

Performance indicator: ForeSee Survey Results

FY 2015

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

FY 2015	
Target	Overall satisfaction consistent with the average for other executive branch agencies; annual assessments of technology portfolio with identified needs articulated in planning and scoping documents
Results	Pending
Status	Pending

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

FY 2016

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

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

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

Table 2: Historical data

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

Performance goal C.14

Increase stakeholder satisfaction with EDIS.

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

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

Performance goal C.14 (a)

Increase stakeholder satisfaction with EDIS.

	FY 2014	FY 2015	FY 2016
Target	Develop survey method	Establish user satisfaction baseline	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.	Pending	Pending
Status	Target met	Pending	Pending

FY 2014 Performance indicator: Method of obtaining EDIS user feedback

FY 2015 Performance indicator: Baseline for user satisfaction.

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

During FY 2014, the Commission exceeded its goal as it developed, deployed, and began assessing responses to its stakeholder satisfaction survey prior to the end of the fiscal year. The agency continues to collect and assess responses to the survey in FY 2015 and is in the process of establishing a baseline.

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

The Commission has made significant improvements in the management of its administrative and program operations in recent years. It continues to set performance goals aimed at incremental automation and consolidation of financial, administrative, and operational information. However, the Commission recognizes that there are limits to this incremental approach. Over the next five years, the Commission's goal is to enhance overall agency efficiency and effectiveness by improving resource and performance management information. The Commission will institute a framework for evaluating agency processes and systems for potential integration into an enterprise management system (EMS). The EMS likely will be an integration of multiple IT systems that all share data with a common reporting interface that is capable of relating data from all systems. In FY 2015, the agency will focus on developing and finalizing framework requirements. The goal leader for this cross-cutting objective is the Chief Administrative Officer.

Performance goal C.21

Improve resource use, performance management, and internal controls by implementing an enterprise management system consisting of electronic business processes and integrated financial and personnel data by FY 2018.

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

Performance indicators: Deployment of enterprise management system

Performance goal C.21 (a)

FY 2014

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

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

Performance indicator: Requirements development process

FY 2015

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

FY 2015	
Target	Requirements developed and risks/costs/benefits evaluated
Results	Pending
Status	Pending

Performance indicator: System requirements

FY 2016

Build or procure system reporting interface by end of FY 2016.

FY 2016	
Target	Build or procure reporting interface
Results	Pending
Status	Pending

Performance indicator: Reporting interface

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 the Commission's six ALJs. After a discovery process, a formal evidentiary hearing is held in accordance with the Administrative Procedure Act (APA) (5 U.S.C. 551 et seq.). The ALJ considers the evidentiary record and the arguments of the parties and makes an initial determination (ID), including findings of fact and conclusions of law. The ID becomes the Commission's determination unless the Commission determines to review it or send the matter back to the ALJ for further consideration. Temporary relief may be granted in certain cases.

Office of the General Counsel

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

Office of Operations

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

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

The **Office of Industries (IND)** conducts investigations primarily under section 332 of the Tariff Act of 1930, section 131 of the Trade Act of 1974, and section 2104 of the Trade Act of 2002. The Office of Industries maintains technical expertise related to the performance and global competitiveness of industries and the impact of international trade on those industries for these studies and 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 the agency's 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 its external customers and is the point of contact with USTR and other executive branch agencies, Congress, foreign governments, international organizations, the public, and the media. The Commission's Trade Remedy Assistance Office (TRAO), located in ER, provides information about the benefits and remedies available under U.S. trade laws and assists small businesses seeking relief under those laws.

Office of the Chief Information Officer

The **Office of the Chief Information Officer (OCIO)** provides information technology leadership, a comprehensive services and applications support portfolio, and a sound technology infrastructure to the Commission and its customers. The OCIO seeks to promote, deliver, and manage the secure and efficient application of technology to the Commission's 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 the Commission's 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; facilities management services; and is responsible for all Commission physical and personnel security matters. Component offices include Human Resources, Security and Support Services, and the Office of the Secretary.

Office of Inspector General

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

Office of Equal Employment Opportunity

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

Appendix B

Performance Data Sources

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

The following tables show the lead office and data sources for each FY 2014 performance goal.

Strategic Objective 1.1

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
1.11(a)	Analyze investigation data to identify factors contributing to investigation lengths and prepare report for Commission proposing ways to distinguish less and more complicated cases using objective measures of complexity; Report to Commission	Completion of report	GC	337info, EDIS, complaints, and IMs
1.11(b)	Analyze investigation data and prepare report for Commission identifying possible steps to shorten average target dates; Report to Commission	Completion of report	GC	337info, EDIS, complaints, and IMs
1.11(c)	Establish criteria for assessment of early disposition pilot program; Assessment criteria	Criteria established	OUII	337info, EDIS, complaints, IMs
1.11(d)	Establish criteria for assessment of e-discovery case management pilot program; Assessment criteria	Criteria established	OUII	337info, EDIS, complaints, IMs
1.12	Improve the timeliness of ancillary proceedings by reducing the average length of ancillary proceedings; Length of ancillary proceedings concluded on the merits	Reduce the average length of ancillary proceedings (months): -modification (6) -advisory (9) -enforcement (12) -Fed. Circuit remands (12) -Consolidated (15)	GC	Data compiled by GC and 337info
1.13	Increase the utilization of electronic questionnaires for import injury investigations to 90% by 2015; Utilization rate (i.e., share of questionnaires transmitted and received electronically)	90% utilization	INV	Questionnaire extraction files, information provided by INV staff
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%	INV	Log maintained by INV
1.15	Deliver 100% of court documents related to import injury investigations by the mandated deadline; Submissions to Court of International Trade (CIT), Federal Circuit, NAFTA panel, and/or WTO	100%	GC	Log maintained by GC
1.16	Develop and implement a process to evaluate and improve agency decision-making based on judicial and NAFTA panel remands during FY 2014	Process developed and implemented	GC	GC, other staff input

Strategic Objective 1.2

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
1.21a	Improve availability of investigation-related information by deploying search and data extraction tools for investigation databases by the end of FY 2014; Search and data extraction tools available	Search and data extraction tools for section 337 information available	OUII	development of 337info; information supplied by various offices from source documents
1.22	Post information on import injury investigation case webpages within specific timeframe; Investigation-related information posted	85% of information posted within 48 hours and 90% within 72 hours of issuance	INV	Log developed/maintained by INV
1.23	Staff conducts outreach to bar groups and others to ensure they understand Commission capabilities and process; Outreach efforts	Efforts made	GC	Logs maintained by various offices tracking outreach efforts
1.24	Issue annual feedback survey to external stakeholders to assess effectiveness and efficiency of processes and procedures. Implement proposed new processes/procedures as appropriate; Survey issuance; process/ procedure updates	Surveys issued annually; processes and/or procedures updated	INV	Survey developed by INV and OARS, stakeholder responses
1.25	Post documents to EDIS within specified time frames during FY 2014; Percentage of documents posted	85% of documents processed within 24 hours and 95% within 48 hours.	SE	Metrics maintained and reported on by SE with assistance from CIO

Strategic Objective 2.1

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
2.11(a)	Develop and implement processes and tools to publish digital or interactive Commission products on the USITC website by FY 2014; Processes and tools for digital or interactive web-posted Commission products	Process and tools developed to publish digital and/or interactive Commission products	EC/IND	Publications
2.11(b)	Complete development and deploy modernized HTS system during FY 2014; Modernized HTS system	Deploy new HTS system	TATA/CIO	Existing files containing all HTS information and data, converted into electronic database system
2.12(a)	Improve the efficiency of timely delivery of Commission products by evaluating and implementing improved production processes; Number of major production processes evaluated; Process improvements identified, implemented, and evaluated	Complete evaluation of four processes and begin to implement improvements	IND	4 "as is" process maps, at least one "to be" map
2.12(b)	Improve processes to identify and correct errors at the pre-publication stage for HTS files during FY 2014; Identified and corrected information	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	TATA	Current process includes internal controls to correct errors, new HTS system logs provide information on inputs and corrections
2.13	Increase 508 compliance of Commission reports by improving staff knowledge and procedures by the end of FY 2014; Percent of OP staff trained in production of 508-compliant documents; Relevant production guidelines which provide instruction for producing 508 compliant documents (e.g., process and procedures manual for statutory reports); USITC-generated documents posted to the website related to investigations instituted in FY 2014; Relevant production guidelines which provide instruction for producing 508 compliant documents (e.g., process and procedures manual for statutory reports); USITC-generated documents posted to the website related to investigations instituted in FY 2014	100% of OP staff trained in the production of 508 compliant documents; Publishing guidelines for section 508 compliant documents developed; 50% 508 compliance	IND/EC	Training sign-in sheets; completed guidelines; website
2.14	Develop on-line technical information modules for the public and staff by the end of FY 2014; Number of technical information modules developed by September 2014	Two technical training modules developed by September 2014	IND	Information from staff, relevant source documents

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
2.15	Improve timeliness of tariff and customs information provided in response to emails submitted through on-line help system; E-mail responses to HTS inquiries	90% of emails through on-line help system receive responses within 7 working days	TATA	Logs maintained by TATA

Strategic Objective 2.2

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
2.21(a)	Engage Commission customers to enhance agency capabilities to provide effective and responsive analysis, data, and nomenclature services in FY 2014; Feedback provided during briefings and meetings; actions taken	Briefings and meetings with customers conducted after report delivery generate feedback; actions taken as appropriate	ER/IND	Meeting notes
2.22(a)	Based largely on customer input, continually identify and prioritize areas to enhance capabilities to analyze new issues in trade and industry competitiveness; Priority areas identified and vetted	Enhanced capabilities developed in priority areas such as: <ol style="list-style-type: none"> 1. Global modeling including analysis of differential household effects 2. Economic and trade effects of energy markets, technologies, and related services 3. Behind-the-border nontariff measures (NTMs) such as technical barriers to trade (TBTs) and standards; trade facilitation and customs issues 4. Supply chains 5. Analysis of the effects of integration within the North American markets 	IND/EC	Joint EC/ID research spreadsheet; meeting documentation
2.23(a)	Improved analytical tools and new capabilities are reflected in statutory work products; Share of staff research products reflected in statutory products	Improved analytical tools and new capabilities are reflected in statutory work products	EC/IND	Database drawing on labor cost information, citations, other relevant information
2.24(a)	Obtain feedback from internal customers regarding Commission products and take action in areas needing improvement; 1. Feedback obtained 2. Action taken, as appropriate	100%	EC/IND	Feedback from Commissioner offices

Management Objective 1.1

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
M1.11(a)	Convert all major human capital management paper processes to electronic processes; Total number of paper processes remaining in each of the 5 main human capital management areas (Recruitment, Training/ Development, Performance Management, Benefits/ Retirement Counseling, and Out-Processing/Details/ Transfers)	Progress toward eliminating all paper processes in each major area	OAS	OAS records
M1.12	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	80% or more hiring actions completed within the time frame set forth in the service-level agreement (SLA)	OAS	Logs maintained by OAS
M1.13	Increase stakeholder satisfaction with the extent to which recruiting efforts bring in the right human capital in an efficient manner; Results of FY 2014 management survey; results of the CAO/CFO customer service survey; implementation of HR help desk.	(1) Improvement of 5 percentage points over the FY 2013 average in the rate of positive responses to survey questions about hiring process efficiency, and the effectiveness of recruitment efforts; (2) help desk implemented	OAS, CIO	OAS and CFO annual management survey, HR after-action follow-up survey
M1.14	Improve accuracy and completeness of hiring case files; Results of review of all hiring actions completed	5 percentage point increase over FY 2013 average in hiring case files that are complete and accurate upon closing of hiring actions	OAS	HR case files
M1.15	Improve stakeholder satisfaction over FY 2013 levels regarding opportunities for professional development to help retain human capital; results of FY 2014 CAO and CFO customer service survey and FY 2014 management survey	5 percentage point improvement in positive response rate to relevant survey questions over FY 2013 average	OAS	OAS and CFO annual management survey, HR after-action follow-up survey

Management Objective 1.2

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
M1.21(a)	Provide accurate, timely, insightful and relevant financial management reports to agency leadership on a monthly basis.; Financial management reports that are fully consistent and timely; feedback is received from cost center managers and office directors on relevance of reports	Accurate reports; reports issued monthly; positive feedback from agency leadership regarding relevance of reports.	OCFO	Oracle Federal Financials, Labor cost information - OCFO SharePoint Site
M1.22(a)	Reduce by 6% the share of procurement actions that exceed the Procurement Action Lead Time (PALT) in FY 2014; Share of procurement actions that exceed the PALT	Quarterly PALT reviews that show a 6% reduction of procurement actions that exceed the PALT in FY 2014	OCFO	- PRISM - Federal Procurement Data System - Next Generation (FPDS-NG) - PALT - Contract files
M1.22(b)	Reduce by 6% the number of contract files that require correction in FY 2014; number of contract files requiring correction	Quarterly contract file reviews that show a 6% reduction in the number of files that require correction	OCFO	- PRISM - Federal Procurement Data System - Next Generation (FPDS-NG) - PALT - Contract files
M1.22(c)	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; PALT timelines	PALT timelines are refined and reduced by 3%	OCFO	Federal Acquisition Regulation (FAR)
M1.23(a)	Maintain a robust system of financial management and internal controls to achieve an annual unqualified audit opinion on the agency's financial statements; Audit opinion on the agency financial statements	Unqualified audit opinion	OCFO	- Oracle Federal Financials - Concur - FedTraveler - OCFO SharePoint Site - Contract files - Reconciliations - Purchase Card Log -PRISM

Management Objective 1.3

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
M1.31(a)	Develop and implement program for tracking systems availability to users by end of third quarter FY 2014; 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	Development and implementation of program	OCIO	Quality Assurance Surveillance Plan, various log files, Watcher
M1.31(b)	Assess effectiveness of improvements made to IT service delivery in FY 2014; <ul style="list-style-type: none"> • assessment of the extent to which IT-related services are meeting stakeholders' requirements and helping improve stakeholder productivity, as measured by regular structured feedback • assessment of measures taken to address concerns (or deficiencies) 	Develop and implement action plans for improvements in priority areas; 5 percentage point improvement in priority areas over the FY 2013 OCIO customer satisfaction survey scores	OCIO	CIO Customer Service Survey
M1.32(a)	Deploy Trusted Internet Connection during FY 2014; Deployment of Trusted Internet Connection	Initial operating capability of Einstein	OCIO	Deployment date from contractor
M1.33(a)	Create, review, and update IT management policies and procedures by end of FY 2014 to support effective IT service delivery management; All IT management policies and procedures	Review 1/3 of controls annually	OCIO	Policy and Procedure Spreadsheet
M1.33(b)	Achieve low risk score on annual NARA assessment in FY 2014; Annual NARA assessment of the records management program	Achieve low risk score on annual NARA assessment	OCIO	NARA Assessment Report
M1.34(a)	Increase availability of information system providing Open Data to 65% of information assets by end of 2014; Availability of information systems providing Open Data	65% of information assets	OCIO	open data internet links pointing to EDIS, HTS, DATAWEB

Cross-Cutting Objective 1

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
C.11 (a)	Improve agency results as measured by the FEVS by achieving continuous improvement by FY 2014; FEVS results	1 percentage point improvement in overall agency-wide results over FY 2013 levels	OAS	FEVS
C.12	Develop and implement best practices for internal and customer feedback surveys and other instruments that measure satisfaction to improve information quality by the end of FY 2014; Guidelines and technical capabilities	Guidelines and technical capabilities developed and implemented	OARS/CIO	
C.13	Make continuous improvements to the Commission's web presence that lead to improvements in user satisfaction; ForeSee Survey Results	Overall satisfaction consistent with the average for other executive branch agencies	CIO	ForeSee
C.14 (a)	Increase stakeholder satisfaction with EDIS; Method of obtaining EDIS user feedback	Develop survey method	OAS (SE)/OCIO	EDIS users (internal & external)

Cross-Cutting Objective 2

Goal Number	Performance Goals and Indicator	Target	Lead Office	Data Sources
C.21 (a)	Establish cross-agency requirements development team and define the scope of the system by end of FY 2014; Requirements development process	Establish team and define system scope	OAS	OAS project records

Appendix C

Selected Workload Trends

Table C.1 Summary of Import Injury Investigations, FY 2010 – 2016

	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Instituted							
Preliminary Title VII	3	8	8	13	9	10	10
Final Title VII	12	2	12	5	15	12	8
Other	0	2	0	1	0	1	1
Full Review	9	12	7	10	7	10	13
Expedited Review	8	19	9	9	11	15	12
Total	32	43	36	38	42	48	44
Completed							
Preliminary Title VII	8	8	7	9	13	10	10
Final Title VII	11	6	8	7	9	14	10
Other	0	2	0	1	0	1	1
Full Review	10	9	9	10	7	11	8
Expedited Review	8	12	17	3	15	13	14
Total	37	37	41	30	44	49	43

Table C.2 Summary of Unfair Import Investigations and Ancillary Proceedings, FY 2010 – 2016

Status	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Instituted	58	78	56	52	49	45	45
Completed	52	58	57	72	59	50	48

Table C.3 Summary of Industry and Economic Analysis Investigations, FY 2010–2016

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

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