

# DATA QUALITY INFORMATION

## STRATEGIC GOAL 1: PROTECT CONSUMERS

Objective 1.1: Identify fraud, deception, and unfair practices that cause the greatest consumer injury.

Performance Measure 1.1.1: Complaints collected and entered into the Consumer Sentinel Network Database.

Definition and background: This measure tracks complaints entered into the FTC's Consumer Sentinel Network (CSN) Database. Consumer Sentinel is an investigative tool that provides access to millions of consumer complaints to member law enforcement agencies. More information about CSN can be found at [www.ftc.gov/sentinel/index.shtml](http://www.ftc.gov/sentinel/index.shtml)

Data sources: The FTC's CSN database.

Verification and validation: Reports are run at least quarterly to determine the number of complaints that are entered into the CSN database.

Data limitations: The data in the CSN database is dependent on the complainant providing accurate and complete information. CSN data may be underreported because some people choose not to file a formal complaint, and some people may not know they are able to file a complaint with the FTC.

Performance Measure 1.1.2: The percentage of the FTC's consumer protection law enforcement actions that target the subject of consumer complaints.

Definition and background: This measure gauges how well the FTC's consumer protection law enforcement actions target the subject of concerns identified by consumers.

Calculation/Formula: Number of enforcement actions targeted consumer complaints compared to the total number of enforcement actions.

Data sources: The FTC's CSN database, LexisNexis CourtLink, the FTC website, and reports from the agency, Bureau Director's Office, divisions, and regional offices.

Verification and validation:

Objective 1.2: Stop fraud, deception, unfairness, and other unlawful practices through law enforcement.

Performance Measure 1.2. The percentage of all cases filed by the FTC that were successfully resolved through litigation, a settlement, or issuance of a default judgment.

Definition and background This measure gauges how well the FTC successfully resolves cases, including those that raise challenging legal and factual issues.

Calculation/Formula The number of successfully filed cases is divided by the total number of all federal court cases resolved in the current fiscal year. Data sources: LexisNexis CourtLink, the FTC





Performance Measure 1.4. The percentage of proposed Administrative Procedure Act (APA) rulemakings, conducted solely by the FTC, completed within nine months of receipt of final comments in the Final Notice of Proposed Rulemaking.

Definition and background: This measure helps the FTC ensure that the agency augments its enforcement and education efforts by conducting appropriate rulemakings.

Data sources: The Federal Register and the FTC website.

Verification and validation: A list of all rulemakings, the comment period close date, and the completion date of APA rulemakings is maintained in a spreadsheet. The spreadsheet is reviewed quarterly by headquarters and regional office management to verify the accuracy of the report and to ensure that all rulemakings are included in the report.

Data limitations: Review is necessary to avoid underreporting any rulemakings.

Objective 1.5: Protect American consumers in the global marketplace by providing sound policy and technical input to foreign governments and international organizations to promote sound consumer policy.

Performance Measure 1.5. Policy advice provided to foreign consumer protection and privacy agencies, directly and through international organizations, through substantive consultations, written submissions, or comments.

Definition and background: This measure tracks policy advice provided to foreign consumer protection and privacy agencies, directly and through international organizations. Policy advice is defined as substantive consultations, written submissions, or comments.

Data sources: Office of International Affairs weekly reports and internal tracking sheets.

Verification and validation: OIA staff report policy advice provided in weekly reports and internal logs. Staff review and compile the matters reported. Managers review these matters to ensure that they are sufficiently substantive to qualify for the measure and have not previously been counted.

Data limitations: Review is necessary to avoid double counting of particular matters and to ensure the instances of policy advice reported are sufficiently substantive.

Performance Measure 1.5. Technical assistance to foreign consumer protection and privacy authorities.

Definition and background: This measure tracks technical assistance provided to foreign consumer protection and privacy authorities.

Data sources: Office of International Affairs weekly reports and Technical Assistance calendar.

Verification and validation: OIA staff report technical assistance workshops, conferences, and other missions conducted. Staff review and compile the matters reported, and managers review these reports.

Data limitations: Review is necessary to ensure that reported items qualify as technical assistance missions.

## STRATEGIC GOAL 2: MAINTAIN COMPETITION

transaction remedies, restructured transaction remedies, ~~if first~~ transaction remedies in a significant percentage of substantial merger and nonmerger investigations.

Calculation/Formula The measure is calculated by taking the number of substantial investigations closed with an action divided by the total number of substantial investigations closed (with or without action).

“Substantial investigations” comprises all second request and/or compulsory process merger

Data limitations The data is dependent on the estimates of volume of commerce made by staff in accordance with the appropriate applicable estimation formulas. Additionally, a five year average is used because the total volume of commerce in an individual year may be heavily influenced by significant cases in that year.

Performance Measure 2.1. ~~C~~ Consumer savings of at least thirteen times the amount of ~~\$50~~ <sup>\$100</sup> million allocated to the merger program.

Definition and background:

Data sources The lead attorney estimates consumer savings for a particular case using the appropriate applicable estimation formula. The FTC's financial system provides the amount of resources expended on the nonmerger program.

Verification and validation See measure 2.1.1.

Data limitations See measure 2.1.2.

Performance Measure 2.1. The percentage of cases in which the FTC had at least one substantive contact with a foreign antitrust authority in which the agencies followed the analytical approach and reached compatible outcomes.

Definition and background This measure tracks the cases in which the Bureau of Competition lyjh5jl 5ustrack3(r



Verification and validation Data is received from staff attorneys, internal databases and press releases. The data is entered into a bureau database by staff, and reviewed monthly by analysts, attorneys, economists, and senior management.

Data limitations Review is necessary to ensure that all competition-related workshops, hearings and conferences are identified.

Performance Measure 2.3.2: Reports and studies issued on key competition-related topics.

Definition and background The measure tracks competition policy related activities such as research, reports, and studies that enhance consumers' knowledge of competition issues. The measure is calculated by counting the number of the reports and studies issued by the FTC.

Data sources Information on studies and reports on significant competition-related issues is taken from the FTC's website [www.ftc.gov/be/research.shtml](http://www.ftc.gov/be/research.shtml) and [www.ftc.gov/reports/index.shtml](http://www.ftc.gov/reports/index.shtml)

Verification and validation See measure 2.3.1.

Data limitations See measure 2.3.1.

Performance Measure 2.3.3: Advocacy comments and amicus briefs on competition issues filed with entities including federal and state legislatures, agencies or courts.

Definition and background This measure tracks the number of advocacy comments and amicus briefs on competition matters filed with entities including federal and state legislatures, agencies, or courts to measure the output of the FTC's advocacy activities relating to competition matters.

Performance Measure 2.3.5: The volume of traffic on [www.ftc.gov](http://www.ftc.gov) relating to competition research, reports, and advocacy.

Definition and background This measure ensures the agency's policy related activities enhance consumer benefit by providing practitioners and consumers with opportunities to interact with the staff and to learn about the agency's enforcement and policy priorities. The measure is calculated by summing the views registered on the website of a subset of the competition related pages that pertain to advocacy, research, and international activities.

Data sources The agency's software that monitors traffic on the FTC's external website, the Office of International Affairs, and the Office of Policy Planning.

Verification and validation See measure 2.3.1.

Data limitations The analysis is dependent on the accuracy of the measurements made by the web tracking software, and the presence of internal and external traffic filters. The data is also dependent on the accurate identification of relevant FTC web based materials.

Objective 2.4: Protect American consumers in the global marketplace by providing sound policy recommendations and technical advice to foreign governments and international organizations to promote sound competition policy.

Performance Measure 2.4.1: Policy advice provided to foreign competition agencies, directly and through international organizations, through substantive consultations, written submissions, or comments.

Definition and background This measure tracks the policy advice provided to foreign competition agencies, directly and through international organizations, through substantive consultations, written submissions, or comments excluding casual contacts.

Data sources Office of International Affairs weekly reports.

Verification and validation Agency staff create a draft list of events that fall within the scope of the measure, which is then submitted to attorneys for review. Managers review and ensure that the matters reported qualify as substantive policy advice.

Data limitations Review is necessary to ensure that instances of policy advice reported are sufficiently substantive.

Performance Measure 2.4.2: Technical assistance provided to foreign competition authorities.

Definition and background This measure tracks the number of long term and short term technical assistance missions and international fellows and interns hosted.

Data sources Office of International Affairs weekly reports and Technical Assistance calendar.

Verification and validation See measure 2.4.1.

Data limitations Review is necessary to ensure that reported items qualify as technical assistance missions.

### STRATEGIC GOAL 3: ADVANCE PERFORMANCE

Objective 3.1: Provide effective human resources management.

Performance Measure 3.1.1: The extent to which employees believe their organizational culture promotes improvement in processes, products and services, and organizational outcomes.

Definition and background This measure gauges the extent employees believe their organizational culture promotes improvement in processes, products and services, and organizational outcomes so that the FTC has a strong foundation of organizational, individual, and management excellence driving mission success.

Data sources The Federal Employee Viewpoint Survey is administered annually by the U.S. Office of Personnel Management (OPM). The Federal Employee Viewpoint Survey is a tool that measures

employees' perceptions of whether, and to what extent, conditions that characterize successful organizations are present. This survey was administered for the first time in 2002, and then repeated in 2004, 2006, 2008, 2010, 2011, and most recently in 2012. OPM transmits the agency results to the FTC's Human Capital Management Office.

Verification and validation Data collected is weighted by statisticians to produce survey estimates that accurately represent the survey population and adjust for differences between the characteristics of the survey respondents and the population of federal employees. The weights developed take into account the variable probabilities of selection across sample domains, nonresponse, and known demographic characteristics of the survey population.

Data limitations The survey results represent a snapshot in time of people's perceptions of the workforce. The Governmentwide results have a plus or minus 1 percent margin of error.

Performance Measure 3.1: The extent employees think the organization has the talent necessary to achieve organizational goals.

Definition and background: This measure gauges the extent employees think the organization has the talent necessary to achieve organizational goals so that the FTC has a strong foundation of organizational, individual, and management excellence driving mission success.

Data sources See measure 3.1.1.

Verification and validation See measure 3.1.1.

Data limitations See measure 3.1.1.

Objective 3.2: Provide effective infrastructure and security management.

Performance Measure 3.2.1: A favorable Continuity of Operations (CO) rating.

Definition and background The FTC ensures a safe and secure workplace through the development and

Calculation/Formula This measure is calculated by dividing the number of minutes of unscheduled system outages per month by the number of total minutes per month.

Data sources System and network engineers record system or component outage data as part of the OCIO's Change Management procedure.

Verification and validation Outage timeframes are verified by correlating outages to system alerts and data recorded in the change management database.

Data limitations The agency uses a manual tracking process to record the outage data in a spreadsheet. The reliability of the data depends on compliance with the change management procedure. The agency is currently working to implement SolarWinds network performance monitoring tool that will provide early warning notifications regarding changes to application performance and generate outage and downtime data.

Objective 3.3: Provide effective information resources management.

Performance Measure 3.1: The percentage of Commission approved documents in the FTC's ongoing and newly initiated proceedings available via the Internet within 15 days of becoming part of the public record.

Definition and background This performance measure was created in an effort to promote agency transparency and ensure that documents the Commission approves are made available to the public in a timely manner. The Commission approves public documents by majority vote. These votes are tracked by the Office of the Secretary (OS) and are counted each quarter. Once the Commission approves a public document, the Office of Public Affairs works with agency staff to determine whether to publish a news release announcing the document. OS works to make sure the document is posted to [www.ftc.gov](http://www.ftc.gov) at the same time as the news release or, if there is no news release, as soon as feasible. The agency sometimes waits to post a specific document to [www.ftc.gov](http://www.ftc.gov) in order to maximize consumer impact by posting it in conjunction with several related matters.

Calculation/Formula To arrive at the performance measure, we count the total number of Commission votes on public documents. Next, we count the number of public documents that were posted to [www.ftc.gov](http://www.ftc.gov) within 15 days after Commission approval. Then, we divide this number by the total number of public documents to arrive at a percentage. We do not include any documents that a court has placed under seal until the court lifts the seal, because documents under seal are not available to the public. Also, we do not count as "posted to the Internet" documents that are unavailable on [www.ftc.gov](http://www.ftc.gov), even if they are available elsewhere on the Internet (e.g., in electronic filing systems used by the federal courts).

Data sources The data is compiled from Commission voting records, FTC news releases, and FTC Web Team confirmations that documents have been posted to [www.ftc.gov](http://www.ftc.gov).

Verification and validation Agency staff and management verify that the data showing all Commission approved public documents for a specific quarter is complete and accurate by reviewing the actual Commission votes. We verify the accuracy of the date a document is posted to [www.ftc.gov](http://www.ftc.gov) by checking the date against the FTC Web Team confirmation that the document has been posted. At the time a document is posted to [www.ftc.gov](http://www.ftc.gov), we test the web link to the document to confirm it is operational. The FTC's OS management reviews the source materials and counts to make data is complete and accurate.

Data limitations This measure only includes Commission approved public documents.

Objective 3.4: Provide effective financial and acquisition management.

Performance Measure 3.4. Independent auditor's financial statement audit results.

Definition and background Independent auditor's opinion based on auditor's review and tes0.011 in w anc7c(y)1

