

DATA QUALITY INFORMATION

STRATEGIC GOAL 1– PROTECT CONSUMERS

Objective 1.1– Identify and take actions to address deceptive or unfair practices that harm consumers.

Performance Goal 1.1.1: Percentage of the FTC’s consumer protection law enforcement actions that targeted the subject of consumer complaints to the FTC

Definition and background: This measure gauges how well the FTC’s consumer protection law enforcement actions targeted the subject of consumer complaints.

Data sources: Reports from the U.S. Department of the Interior Federal Consulting Group, which is the executive agent for the American Customer Satisfaction Index (ACSI).

Verification and validation: Measurement is generated by an outside source based on industry standard practices.

Data limitations: There are no significant data limitations.

Performance Goal 1.1.3: Total consumer savings compared to the amount of FTC resources allocated to consumer protection law enforcement.

Definition and background: This measure tracks how much money the FTC enforcement efforts save consumers each year. The FTC has found that typically when it files a complaint in federal district court and obtains a court order, the defendants stop their practices. If they fail to comply with an order, they are subject to contempt proceedings. By stopping these practices, the agency prevents further consumer losses caused by these defendants.

Calculation/Formula: The sum of the estimated consumer savings generated divided by the amount of money the FTC returned to consumers, divided by the

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 are 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 to file a complaint with the FTC.

Indicator: The percent of redress cases in which the FTC distributes redress dollars designated for distribution to consumers within six months.

Definition and background: This measure ensures that the FTC returns redress dollars to consumers as quickly as possible. Dollars are considered “designated for distribution” when the FTC is in receipt of all funds, legal issues are resolved, and a usable claimant list is ready.

Calculation/Formula: When a redress distribution occurs, the date designated for distribution in the redress case status report is checked to determine whether or not redress occurred within six months. The percentage is determined by dividing the number of cases of redress distribution that occurred within six months by the total number of redress distributions in a quarter.

Data sources: BCP’s open redress case status reports.

Verification and validation: When a redress distribution occurs, the date of the distribution is checked and verified to determine whether or not the redress occurred within six months.

Data limitations: There are no significant data limitations.

Objective 12 – Provide the public with knowledge and tools to prevent harm to consumers

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Performance Goal 1.2.3: Number of workshops and conferences the FTC convened to address consumer protection problems.

Definition and background: This measure helps the FTC ensure that enforcement and education efforts are augmented by encouraging discussions among all interested parties through empirical research on novel or challenging consumer protection problems.

Data sources: The FTC website and reports from the agency, BCP Director's office division, and regional offices.

Verification and validation: A list of all workshops and conferences is maintained in a spreadsheet by BCP staff. The spreadsheet is reviewed quarterly by headquarters and regional office management to ensure the report is comprehensive and accurate.

Data limitations: Review is necessary to avoid underreporting any workshops or conferences.

Performance Goal 1.2.4: Number of consumer protection reports the FTC released.

Definition and background: FTC staff prepare reports regarding current important topics in consumer protection, and these reports are the basis for this measure. Consumer protection reports provide information to policy makers, both internally and externally, to help them understand important contemporary issues. Reports to be counted as part of this measure include Commission and Staff Reports that contain analysis of data or workshops held by the FTC. Information only reports that simply report data without further analysis (e.g., the FTC Cigarette Report, FTC Smokeless Tobacco Report, and various data books such as the Consumer Sentinel Network Data Book, the Do Not Call Registry Data Book, etc).

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Indicator: Social media subscribers and followers.

Definition and background The Division of Consumer and Business Education (DCBE) tracks the number of subscribers and followers to help determine the extent of consumer and business outreach via social networks. The information is compiled monthly.

Data sources DCBE staff visit each social network site or subscriber configuration page for the updated number of subscribers/followers each month. This information is compiled in a shared spreadsheet that totals the figures for each month.

Verification and validation DCBE staff are responsible for accurately entering, verifying, and validating the data.

Data limitations: Social network sites can only provide the number of current users as of the date the information is accessed. It is possible the number is higher or lower at various times during each month.

Objective 1.3– Collaborate with domestic and international partners to enhance consumer protection.

Performance Goal 1.3.1: Number of investigations or cases in which the FTC and other U.S. federal, state and local government agencies shared evidence or information that contributed to FTC law enforcement actions or enhanced consumer protection.

which the FTC

addressed in the FTC's brief. Such cases cannot fairly be characterized as either successful or unsuccessful. Comments on potential rulemakings may also be deemed moot if no proposed rule has been released after three or more years. Advocacy relating to both consumer protection and competition are counted in both this performance goal and in performance goal 2.2.3.

Calculation/Formula This measure is calculated as the sum of "successful" and "partially successful" advocacies resolved in the fiscal year, divided by the total number of advocacies resolved in the fiscal year including advocacies that are "unsuccessful." That is: (successful advocacies + partially successful advocacies) / (successful advocacies + partially successful advocacies + unsuccessful advocacies).

Data sources Internal matter records of advocacy comments and amicus briefs filed (e.g., records available in the FTC's document management system), feedback from advocacy recipients, and other publicly available information regarding the outcomes of advocacy matters (e.g., legislative materials, regulatory decisions, court decisions, news articles). Data for this goal are typically available four months after the close of the fiscal year.

Verification and validation Review of internal matter records of advocacy comments and amicus briefs filed (e.g., records available in the FTC's document management system) and confirmation of data with staff having responsibilities for advocacy matters, follow-up with advocacy recipients, and review of publicly available information regarding the outcomes of advocacy matters.

Data limitations The usefulness of following up with advocacy recipients depends on the responsiveness of individual recipients, and the availability of other publicly available information typically varies depending on the particular advocacy matter.

Indicator: Advocacy comments and amicus briefs on consumer protection matters 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 consumer protection matters filed with entities including federal and state legislatures, agencies, and courts to measure the output of the FTC's advocacy activities relating to consumer protection matters.

Data sources Internal matter records of advocacy comments and amicus briefs filed (e.g., records available in the FTC's document management system).

Verification and validation Review of internal matter records of advocacy comments and amicus briefs filed (e.g., records available in the FTC's document management system) and confirmation of data with staff having responsibilities for advocacy matters.

Data limitations

STRATEGIC GOAL 2: MAINTAIN COMPETITION

Objective 2.1 – Identify and take actions to address anticompetitive mergers and practices that harm consumers.

Performance Goal 2.1.1: Percentage of actions taken to maintain competition in substantial merger and nonmerger investigations

Definition and background: This measure ensures that FTC actions promote vigorous competition by preventing anticompetitive mergers and stopping business practices that diminish competition. This measure reflects actions to promote competition, including litigated victories, consent orders, abandoned transactions, or restructured transactions (either through a fix-it-first approach or through restructuring) a significant percentage of substantial merger and nonmerger investigations.

Calculation/Formula: $\frac{\text{Number of actions taken to maintain competition}}{\text{Total number of actions taken}}$

Data sourcesThe lead attorney estimates consumer savings for a particular case using the applicable estimation formula and submits it to ~~BE~~ concurrence. The FTC's financial system provides the amount of resources expended on the merger program.

Verification and validationSee goal 2.1.1.

Data limitations See goal 2.1.2.

Performance Goal 2.14: Consumer savings through nonmerger actions taken to maintain competition.

Definition and backgroundThis measure ensures that the ~~FTC~~

Indicator: Average total sales for the current year plus previous four fiscal years

Data Limitations Reports are issued in discrete units and require substantial effort over multiple years. Therefore, yearly production can vary substantially.

Performance Goal 2.2.3 Percentage of competition advocacy matters filed with entities including federal and state legislatures, agencies, or courts that were successful, in whole or in part.

Definition and background This measure evaluates the success rate for competition advocacies filed by the FTC. For this measure:

- o An advocacy is counted as “successful” if the vast majority of issues are resolved in accordance with the FTC’s comments and advocacy.
- o An advocacy is counted as “partially successful” if some issues are resolved in accordance with the FTC’s comments and advocacy. This might be the case, for example, when the FTC comments on several provisions of a proposed regulation or bill and some, but not all, of the relevant provisions are revised in a way that appears to address the FTC’s expressed concerns. This happens frequently.
- o An advocacy is counted as “unsuccessful” if the vast majority of issues are not resolved in

Indicator: Advocacy comments and amicus briefs on competition matters 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.

Calculation/Formula: Review internal matter records of advocacy comments and amicus briefs filed in past fiscal years to estimate the number of such items typically filed per each fiscal year.

Data sources: Internal matter records of advocacy comments and amicus briefs filed (e.g., records available in the FTC's document management system).

Verification and validation: Review internal matter records of advocacy comments and amicus briefs filed

Performance Goal 2.3.2

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

Data limitations The agency uses a manual tracking process to record the outage data. The reliability of the data depends on compliance with the change management protocols. The agency continues to increase the usage of automated infrastructure and application monitoring tools and configure these tools to provide useful and proactive reporting and alerts.

Performance Goal B.1.3 Achieve a favorable (unmodified) audit opinion from the agency's independent financial statement auditors.

Definition and background Independent auditor's opinion based on auditor review and tests of internal controls over operations and financial reporting and the determination that the financial statements and notes are fairly presented. The measure formula is 100% if an unmodified or "clean" opinion (the financial statements are fairly presented) is achieved or 0% for all other opinion types (qualified, adverse, disclaimer).

Data sources Independent auditor's opinion of year-end financial statements.

Verification and validation FTC's independent auditors render their opinion to the agency.

Data limitations There are no significant data limitations.

Performance Goal B.1.4: Average number of days for the FTC to release information in response to a simple FOIA request.

Definition and background The FTC receives a number of requests that upon initial review appear to be unresponsive. 0% of 1

Definition and background: This measure identifies quarterly and annual awards of contract dollars to small business entities against total dollars available for small business awards in whole or part. The accumulation, ratio analysis, and agency targets are managed by the internal operations of the Federal Procurement Data System Next Generation (FPDSNG) application, through which the measure is reported, are managed by GSA.

Calculation/FormulaFPDSNG report sent to FTC.

Data sourcesFPDSNG, found at www.fpds.gov

Verification and validationFTC's acquisition staff performs a statistical analysis annually and certifies the statistical validity of the FPDSNG data.

Data limitations: There are no significant data limitations.

Objective 3.2– Cultivate a high-performing, diverse, and engaged workforce.

Performance Goal 3.2.1: FTC achieves a high ranking in the "Best Places to Work in the Federal Government."

Definition and backgroundThis ranking is an important tool for ensuring that employee satisfaction is a top priority for managers and leaders. The Partnership for Public Service uses data from the

Personnel Management's Federal Employee Viewpoint Survey (FEVS) to rank agencies and their

subcomponents according to a Best Places to Work index.

Data limitations The survey results represent a snapshot in time of the perceptions of the workforce. The government