

U.S. International Trade Commission

Descriptive Evaluation of Reporting Requirements



OIG-ER-16-02

October 14, 2015



Office of Inspector General

The U.S. International Trade Commission is an independent, nonpartisan, quasi-judicial federal agency that provides trade expertise to both the legislative and executive branches of government, determines the impact of imports on U.S. industries, and directs actions against certain unfair trade practices, such as patent, trademark, and copyright infringement. USITC analysts and economists investigate and publish reports on U.S. industries and the global trends that affect them. The agency also maintains and publishes the Harmonized Tariff Schedule of the United States.

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UNITED STATES INTERNATIONAL TRADE COMMISSION
OFFICE OF INSPECTOR GENERAL
WASHINGTON, DC 20436

October 14, 2015

IG-NN-029

Chairman Broadbent:

This memorandum transmits the Office of Inspector General's report, *Descriptive Evaluation of USITC's Reporting Requirements*, OIG-ER-16-02. This report focused on describing many of the reporting requirements the Commission is required to follow.

This report is not being printed. It was designed to be posted on the Internet and hyper-linked to the source records. The comment provided by member of the Commission's senior staff have been incorporated into the report. Thank you for the courtesies extended to my staff during this review.

Philip M. Heneghan

Inspector General

U.S. International Trade Commission

Evaluation Report

How to Use This Descriptive Report

- This descriptive report provides a list of the reporting requirements that apply to the USITC.
- The requirements are divided into area sections that can be found in the initial table of contents.
- The initial table of contents is hyper-linked to each section of the report.
- Each section of the report has its own table of contents that lists the names of all the reports that apply to that specific area of the Commission.
- The table of contents for each section is also hyperlinked to the various reports that apply to those sections.
- Under each report are the frequency & due dates, description, recipient, and provisions of the US Code (U.S.C.), Code of Federal Regulations (C.F.R.), or other legal authority that pertains to such report.
- Each of the legal authorities is hyper-linked to an outside web page that provides the full text of the legal authority

U.S. International Trade Commission

Evaluation Report

[Office of Administration](#)

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U.S. International Trade Commission

Evaluation Report

Office of Administration

I. Human Resources / Program Management

- 1) [Occupational Safety and Health Act Report](#)
- 2) [Strategic Human Capital Plan](#)
- 3) [Student Loan Repayment Program](#)
- 4) [Disabled Veterans Affirmative Action Program \(DVAAP\) Plan](#)
- 5) [Antidiscrimination Policy: Minority Recruitment Program Report](#)
- 6) [Accountability Audit Schedule Report](#)
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- 8) [Annual Report Requirement Under Category Rating](#)
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- 10) [SES Performance Ratings and Awards Report](#)

II. Human Resources / Personnel

- 1) [Federal Employee Viewpoint Survey \(FEVS\)](#)
- 2) [Work Years and Personnel Cost Reports](#)
- 3) [Official Time Data Collection for Labor Management](#)
- 4) [Delegated Examining Unit Quarterly Workload Report](#)

III. Office of Secretary / Workforce Report

- 1) [Federal Civilian Employment \(113A\) & FTE Civilian Employment \(113G\) Reports](#)

IV. Office of Secretary / Freedom of Information Act

- 1) [Freedom of Information Act Report](#)

V. Front Office / Telework Data

- 1) [Call for Telework Data](#)

U.S. International Trade Commission

Evaluation Report

Office of Administration

I. Human Resources / Program Management

1) Occupational Safety and Health Act Report

Frequency / Due Date:

Annual / Jan. 1

Description:

Report describing the agency's occupational safety and health program of the previous fiscal year and objectives for the current fiscal year

Recipient:

Secretary of Labor

Citation:

[29 C.F.R. § 1960.71](#)

2) Strategic Human Capital Plan

Frequency / Due Date:

Quarterly (with updates) / Mar. 30

Description:

Report on human capital goals and objectives, workforce analysis, and performance measures and milestones

Recipient:

Office of Personnel Management

Citation:

[5 C.F.R. § 250.203\(a\)\(2\)](#)

3) Student Loan Repayment Program

Frequency / Due Date:

Annual / Mar. 31

Description:

Report on agency's use of Student Loan repayment incentive

Recipient:

Office of Personnel Management

Citation:

[5 C.F.R. § 537.110](#)

4) Disabled Veterans Affirmative Action Program (DVAAP) Plan

Frequency / Due Date:

Annual / Oct. 31

U.S. International Trade Commission

Evaluation Report

Description:

Report on basic policy, legal authority, and responsibilities of DVAAP plan

Recipient:

Office of Personnel Management

Citation:

[5 C.F.R. § 720.304](#)

5) Antidiscrimination Policy: Minority Recruitment Program Report

Frequency / Due Date:

Annual / Nov. 1

Description:

Report on minority recruitment program

Recipient:

Office of Personnel Management

Citation:

[5 C.F.R. § 720.207](#)

6) Accountability Audit Schedule Report

Frequency / Due Date:

Annual / Dec. 15

Description:

Report on human capital management systems for mission alignment, effectiveness, efficiency, and compliance with merit system principles, law, and regulations; including an independent audit process with periodic review of human resources transactions to insure legal and regulatory compliance

Recipient:

Office of Personnel Management

Citation:

[5 C.F.R. § 250.203\(a\)\(2\)\(v\)](#)

7) Evaluation Plan Report

Frequency / Due Date:

Annual / Dec. 15

Description:

Report on summary of audit evaluation methodology and workforce profile

Recipient:

Office of Personnel Management

Citation:

[5 C.F.R. § 250.203\(a\)\(2\)\(v\)-\(vii\)](#)

U.S. International Trade Commission

Evaluation Report

8) Annual Report Requirement Under Category Rating

Frequency / Due Date:

Annual / Apr. 30

Description:

Report on how many of each category of employee was hired, including the number of experts and consultants appointed

Recipient:

Office of Personnel Management

Citation:

[5 C.F.R. § 337.305](#)

9) Personal Identity Verification Credentials Quarterly Report

Frequency / Due Date:

Quarterly / Mar. 1

Description:

Report on the number of Personal Identity Verification Credentials issued

Recipient:

Office of Management and Budget

Citation:

[OMB M-07-06](#)

10) SES Performance Ratings and Awards Report

Frequency / Due Date:

Annual / Nov. 11

Description:

Reports award data to the Central Personnel Data File

Recipient:

Office of Personnel Management

Citation:

[5 C.F.R. § 451.106\(g\)](#)

II. Human Resources / Personnel

1) Federal Employee Viewpoint Survey (FEVS)

Frequency / Due Date:

Annual / July 1

Description:

Report on employee perspective and feedback to the effectiveness of USITC's strategic management of human capital

U.S. International Trade Commission

Evaluation Report

Recipient:

Office of Personnel Management

Citation:

[5 C.F.R. § 250.303](#)

2) Work Years and Personnel Cost Reports

Frequency / Due Date:

Annual / Aug. 31

Description:

Report on USITC's total work years

Recipient:

Office of Personnel Management

Citation:

[OPM Forms 1351 A, B, C](#)

3) Official Time Data Collection for Labor Management

Frequency / Due Date:

Annual / Jan. 6

Description:

Report on the use of union representatives time on union matters

Recipient:

Office of Personnel Management

Citation:

[5 U.S.C. § 7131](#)

4) Delegated Examining Unit Quarterly Workload Report

Frequency / Due Date:

Quarterly / Jan. 15

Description:

Report on all applicants and hires that applied and were hired at USITC under the "delegated examining" process

Recipient:

Office of Personnel Management

Citation:

[5 U.S.C. § 1104](#)

III. Office of Secretary / Workforce Report

1) Federal Civilian Employment (113A) & FTE Civilian Employment (113G) Reports

Frequency / Due Date:

Monthly / Jan. 1

U.S. International Trade Commission

Evaluation Report

Description:

Report on monthly Federal civilian workforce statistics

Recipient:

Office of Personnel Management

Citation:

[OMB Circular A-11 \(Section 85\)](#)

IV. Office of Secretary / Freedom of Information Act

1) Freedom of Information Act Report

Frequency / Due Date:

Annual / Feb. 1

Description:

Report on Freedom of Information Act activities for previous fiscal year

Recipient:

Attorney General

Citation:

[5 U.S.C. § 552\(7\)](#)

V. Front Office / Telework Data

1) Call for Telework Data

Frequency / Due Date:

Annual / Dec. 9

Description:

Report on the collection of agency telework participation, program characteristics, and outcomes related to telework implementation

Recipient:

Office of Personnel Management

Citation:

[PL 111-292](#)

U.S. International Trade Commission

Evaluation Report

Office of Chief Information Officer

I. Security

- 1) [Cybersecurity Report](#)
- 2) [Federal Information Security Management Act \(FISMA\) Report](#)

II. Management

- 1) [Agency Section 508 Self-Assessment report](#)
- 2) [E-Government Report](#)
- 3) [Records Management: Self-Assessment](#)
- 4) [Senior Agency Official for Records Management Report](#)

U.S. International Trade Commission

Evaluation Report

Office of Chief Information Officer

I. Security

1) Cybersecurity Report

Frequency / Due Date:

Annual / Jan. 15

Description:

Report describing any cyber-attacks against the agency and their consequences, the steps taken in response, the agency's cybersecurity policies and procedures, and outreach efforts to increase awareness among employees and contractors of cybersecurity risks

Recipient:

Congressional Committees

Citation:

[Consolidated and Further Continuing Appropriations Act of 2015](#)

2) Federal Information Security Management Act (FISMA) Report

Frequency / Due Date:

Annual / Nov. 15

Description:

Report showing annual FISMA metrics which are used by OMB and National Security Council staff to assess the implementation of agency information security capabilities and to measure overall program effectiveness in reducing risks

Recipient:

Office of Management and Budget (OMB)

Citation:

[OMB M-15-01](#)

II. Management

1) Agency Section 508 Self-Assessment report

Frequency / Due Date:

Bi-annual / Feb. 28 & Aug. 30

Description:

Report defining the Commission's Section 508 program maturity level

Recipient:

CIO Council Accessibility Community of Practice (CIOC-ACOP)

Citation:

[Rehabilitation Act – Section 508](#)

U.S. International Trade Commission

Evaluation Report

2) E-Government Report

Frequency / Due Date:

Annual / Dec. 15

Description:

Report on annual update on E-Government initiatives

Recipient:

Office of Management and Budget (OMB)

Citation:

[44 U.S.C. §3606](#)

3) Records Management: Self-Assessment

Frequency / Due Date:

Annual / Dec. 31

Description:

Report on Commission's compliance with primary NARA record keeping requirements for federal agencies

Recipient:

National Archives and Records Administration (NARA)

Citation:

[36 C.F.R. Subchapter B](#)

4) Senior Agency Official for Records Management Report

Frequency / Due Date:

Annual / June 15

Description:

Report responding to records management questions sent annually to Senior Agency Official (SAO) for response

Recipient:

National Archives and Records Administration (NARA)

Citation:

[Managing Government Records Directive \(M-12-18\)](#)

U.S. International Trade Commission

Evaluation Report

Office of Equal Employment Opportunity

I. Agency Plans & Statistical Reports

- 1) [Annual Federal EEO Statistical Report of Discrimination Complaints EEOC Form 462](#)
- 2) [Equal Employment Opportunity \(EEO\) Program Structure, Accomplishments and Workforce Analysis \(MD – 715\)](#)
- 3) [Federal Equal Opportunity Recruitment Program \(FEORP\)](#)

II. No FEAR Act

- 1) [No FEAR Act Report](#)

III. Disabled Veterans Affirmative Action Program (DVAAP)

- 1) [Disabled Veterans Affirmative Action Program \(DVAAP\) Plan](#)

U.S. International Trade Commission

Evaluation Report

Office of Equal Employment Opportunity

I. Agency Plans & Statistical Reports

1) Annual Federal EEO Statistical Report of Discrimination Complaints EEOC Form 462

Frequency / Due Date:

Annual / Oct. 31

Description:

Report on EEO complaints and Alternative Dispute Resolutions (ADR) activities

Recipient:

Equal Employment Opportunity Commission (EEOC)

Citation:

[29 C.F.R. § 1614.602](#)

2) Equal Employment Opportunity (EEO) Program Structure, Accomplishments and Workforce Analysis (MD – 715)

Frequency / Due Date:

Annual / Between Jan. 1 – Mar. 31 (varies)

Description:

Report on agency plans, accomplishments, and progress toward establishing and maintaining a model EEO program as intended by Title VII and Section 501 of the Rehabilitation Act based on six essential elements of performance

Recipient:

Equal Employment Opportunity Commission (EEOC)

Citation:

[EEOC Management Directive 715](#)

3) Federal Equal Opportunity Recruitment Program (FEORP)

Frequency / Due Date:

Annual / Oct. 31

Description:

Report data on agency workforce and how it compares to both the Federal Civilian Workforce (FCW) and the Relevant Civilian Labor Force (RCLF); and identifies specific actions that the Board will undertake in the upcoming years to address areas where underrepresentation of women and minorities exist in the agency workforce

Recipient:

Equal Employment Opportunity Commission (EEOC)

Citation:

[5 C.F.R. § 720.101](#)

U.S. International Trade Commission

Evaluation Report

II. No FEAR Act

1) No FEAR Act Report

Frequency / Due Date:

Bi-annual / Within 180 days after end of fiscal year

Description:

Report on the number of EEO cases; status/disposition; amount of reimbursement required to Department of Justice (DOJ), number of employees disciplined for EEO law infraction

Recipient:

Equal Employment Opportunity Commission (EEOC)

Citation:

[No FEAR Act](#)

III. Disabled Veterans Affirmative Action Program (DVAAP)

1) Disabled Veterans Affirmative Action Program (DVAAP) Plan

Frequency / Due Date:

Annual / Oct. 31

Description:

Report on basic policy, legal authority, and responsibilities on DVAAP plan

Recipient:

Equal Employment Opportunity Commission (EEOC)

Citation:

[Disabled Veterans Affirmative Action Program](#)

U.S. International Trade Commission

Evaluation Report

Office of Finance

I. Financial Statements

- 1) [Annual Financial Report](#)
- 2) [Financial Statements](#)
- 3) [Unaudited Interim Financial Statements](#)
- 4) [Government Wide Financial Report System \(GFRS\) Annual Report](#)
- 5) [Government wide Treasury Account Symbol Adjusted Trial Balance System \(GTAS\)](#)

II. Management

- 1) [Financial Management Status Report](#)

III. Charge Cards

- 1) [Agency Charge Cards](#)
- 2) [Charge Card Management Plan](#)

IV. Travel

- 1) [Premium Class Travel Report](#)

V. Receivables Due from the Public

- 1) [Report of Receivable Dues from the Public](#)

VI. Procurement

- 1) [Inventory and Analysis of Service Contracts](#)
- 2) [Inventories of Commercial and Inherently Governmental Activities](#)

U.S. International Trade Commission

Evaluation Report

Office of Finance

I. Financial Statements

1) Annual Financial Report

Frequency / Due Date:

Annual / Nov. 15

Description:

Audited financial statement, balance sheet, state of net cost, statement of changes in net position, statement of budgetary resources, statement of custodial activity, notes to the financial statements, financial summary

Recipient:

Congress, President, & Office of Management and Budget (OMB)

Citation:

[31 U.S.C. § 3515](#)

2) Financial Statements

Frequency / Due Date:

Annual / Nov. 15

Description:

Audited financial statements for the preceding fiscal year

Recipient:

Congress, President, & Office of Management and Budget (OMB)

Citation:

[31 U.S.C. § 3515](#)

3) Unaudited Interim Financial Statements

Frequency / Due Date:

Quarterly/ Jan. 21, Apr. 21, July 21, Oct. 21

Description:

Report including balance sheet, statement of net cost, statement of budgetary resources

Recipient:

Office of Management and Budget (OMB)

Citation:

[OMB Bulletin No. 01-09](#)

4) Government Wide Financial Report System (GFRS) Annual Report

Frequency / Due Date:

Annual / Nov. 15

U.S. International Trade Commission

Evaluation Report

Description:

Report on Agency's closing package information and links comparative, audited, consolidated, department-level financial statements to the Federal Register and resolves material deficiencies identified by the U.S. Government Accountability Office (GAO)

Recipient:

Department of Treasury

Citation:

[Government Wide Financial Report System](#)

5) Government wide Treasury Account Symbol Adjusted Trial Balance System (GTAS)

Frequency / Due Date:

Monthly

Description:

Report submitting bulk file of the agency adjusted trial balance proprietary and budgetary data

Recipient:

Department of Treasury

Citation:

[Treasury Financial Manual \(TFM\) Chapter 4700](#)

II. Management

1) Financial Management Status Report

Frequency / Due Date:

Annual / Dec. 31

Description:

Reporting regarding accounting and administrative controls compliance

Recipient:

Office of Management and Budget (OMB)

Citation:

[35 U.S.C. §3512](#)

III. Charge Cards

1) Agency Charge Cards

Frequency / Due Date:

Quarterly / Jan. 15

Description:

Report assessing the creditworthiness of first-time IBA travel charge card applicants prior to issuing a card

U.S. International Trade Commission

Evaluation Report

Recipient:

Office of Management and Budget (OMB)

Citation:

[OMB Circular No. A-123, App. B](#)

2) Charge Card Management Plan

Frequency / Due Date:

Annual / Jan. 31

Description:

Report on written policies and procedures for the appropriate use of charge cards

Recipient:

Office of Management and Budget (OMB)

Citation:

[OMB Circular A-123, App. B](#)

IV. Travel

1) Premium Class Travel Report

Frequency / Due Date:

Annual / Nov. 30

Description:

Report on all instances in which the Commission authorized / approved the use of first class transportation accommodations

Recipient:

U.S. General Service Administration (GSA)

Citation:

[41 C.F.R. § 300-70.1](#)

V. Receivables Due from the Public

1) Report of Receivable Dues from the Public

Frequency / Due Date:

Quarterly

Description:

Report on the status of receivables, debt management tool and technique performance data, number of receivables, dollar amount of receivables

Recipient:

Department of Treasury

Citation:

[Treasury Reports on Receivables](#)

U.S. International Trade Commission

Evaluation Report

VI. Procurement

1) Inventory and Analysis of Service Contracts

Frequency / Due Date:

Annual / Jan. 30

Description:

Report containing the inventory of service contracts and analyzes inventory to determine if mix of employees and contractors need rebalancing

Recipient:

Office of Management and Budget (OMB)

Citation:

[OMB OFPP Memo \(Dec. 19, 2011\)](#)

2) Inventories of Commercial and Inherently Governmental Activities

Frequency / Due Date:

Annual / June 30

Description:

Report containing the Commission's inventories of commercial activities performed by Federal Employees

Recipient:

Office of Management and Budget (OMB)

Citation:

[P.L. 105-270](#)

U.S. International Trade Commission

Evaluation Report

Office of General Counsel

I. Ethics

- 1) [Annual Agency Ethics Report](#)
- 2) [Compliance with President's Ethics Pledge](#)
- 3) [Transmittal of President-appointed Senate confirmed \(PAS\) and Designated Agency Ethics Officer \(DAEO\) SF-278s](#)
- 4) [Notice of Actions Taken to Comply with Ethics Agreement by President appointed Senate confirmed appointees](#)
- 5) [Reports of referrals for possible prosecution](#)

II. Gifts/Travel

- 1) [Receipt of Travel Related payments from non-Federal Sources](#)
- 2) [Gifts to Foreign individuals Report](#)
- 3) [Receipt/Disposition of Gifts and Decorations from Foreign Government](#)

III. APO Breach

- 1) [Notice on Administrative Protective Order \(APO\) Breaches](#)

U.S. International Trade Commission
Evaluation Report

Office of General Counsel

I. Ethics

1) Annual Agency Ethics Report

Frequency / Due Date:

Annual / Feb. 1

Description:

Report containing information about the agency's ethics program

Recipient:

Office of Government Ethics (OGE)

Citation:

[5 C.F.R. §2638.602](#)

2) Compliance with President's Ethics Pledge

Frequency / Due Date:

Annual / Feb. 1

Description:

Report informing Office of Government Ethics (OGE) of the numbers of the official who are subject to the Pledge and how many have signed and whether there was non-compliance

Recipient:

Office of Government Ethics (OGE)

Citation:

[Executive Order 13490](#)

3) Transmittal of President-appointed Senate confirmed (PAS) and Designated Agency Ethics Officer (DAEO) SF-278s

Frequency / Due Date:

Annual / Upon review and certification

Description:

Public financial disclosure forms

Recipient:

Office of Government Ethics (OGE)

Citation:

[5 U.S.C. App. §103\(c\)](#)

U.S. International Trade Commission

Evaluation Report

4) Notice of Actions Taken to Comply with Ethics Agreement by President appointed Senate confirmed appointees

Frequency / Due Date:

As needed / Within 3 months of Senate Confirmation

Description:

Office of Government Ethics (OGE) notified of action taken by President appointed Senate Confirmed appointees (PAS) employee to comply with ethnic agreements

Recipient:

Office of Government Ethics (OGE)

Citation:

[5 C.F.R. § 2634.802\(b\)](#)

5) Reports of referrals for possible prosecution

Frequency / Due Date:

As needed / As needed

Description:

Reports of Referral and Disposition of Reports of Referral to OGE (Director the Office of Government Ethics) of the disposition of a referral to DOJ of a conflict of interest (in coordination between OIG and OGC, as needed)

Recipient:

Office of Government Ethics (OGE)

Citation:

[5 C.F.R. § 2638.603](#)

II. Gifts/Travel

1) Receipt of Travel Related payments from non-Federal Sources

Frequency / Due Date:

Semi-Annual / May 31 & Nov. 30

Description:

Report payments of more than \$250 accepted under 31 U.S.C. § 1353 with respect to employees of the agency

Recipient:

Office of Government Ethics (OGE)

Citation:

[41 C.F.R. § 304-6](#)

2) Gifts to Foreign individuals Report

Frequency / Due Date:

Annual / Nov. 7 (varies)

U.S. International Trade Commission

Evaluation Report

Description:

Reports on gifts to foreign individuals

Recipient:

Department of State (DOS)

Citation:

[22 U.S.C. § 2694](#); Annual request from DOS

3) Receipt/Disposition of Gifts and Decorations from Foreign Government

Frequency / Due Date:

Annual / Jan. 31

Description:

Report of gifts from foreign governments

Recipient:

Department of State (DOS)

Citation:

[5 U.S.C. § 7342\(f\)\(1\)](#)

III. APO Breach

1) Notice on Administrative Protective Order (APO) Breaches

Frequency / Due Date:

Annual / During the year following the calendar year

Description:

Summarizes actions taken in response to alleged breach of APOs during a calendar year

Recipient:

Federal register

Citation:

Conference Report to Customs and Trade Act of 1990

U.S. International Trade Commission

Evaluation Report

Office of Inspector General

I. Management

- 1) [IG Semiannual Report](#)
- 2) [Management and Performance Challenges Report](#)
- 3) [Federal Entities Report](#)
- 4) [IG Lobbying Report](#)

II. Financial

- 1) [Charge Card Annual Risk Assessment](#)
- 2) [Improper Payment Elimination and Recovery Improvement Act Report \(IPERIA\)](#)
- 3) [Financial Statement Audit](#)
- 4) [Report on Internal Control](#)
- 5) [Report on Compliance with Law, Regulations, Contracts, and Grant Agreements](#)
- 6) [Digital Accountability and Transparency Report](#)

III. Information Technology

- 1) [Annual Cyberscope Assessment](#)

IV. Criminal / Ethics

- 1) [Reports of referrals for possible prosecution](#)

U.S. International Trade Commission
Evaluation Report

Office of Inspector General

I. Management

1) IG Semiannual Report

Frequency / Due Date:

Semiannual / Apr. 30 & Oct. 31

Description:

Report summarizing the activities of the office during the immediately preceding six-month periods ending Mar. 31 and Sept. 30

Recipient:

Agency Head

Citation:

[5 U.S.C. App. 5 § 5](#)

2) Management and Performance Challenges Report

Frequency / Due Date:

Annual / Due 30 days before due date of Agency Financial Report (AFR)

Description:

Report on the completeness, timeliness, quality, and accuracy of each agency's standardized spending data

Recipient:

Office of Management and Budget (OMB)

Citation:

[Public Law 106-531](#)

3) Federal Entities Report

Frequency / Due Date:

Annual / Oct. 31

Description:

Report regarding agency formation and maintain IG compliance

Recipient:

Office of Management and Budget (OMB) & Congress

Citation:

[5 U.S.C. App. 3 § 8G\(F\)\(2\)](#)

4) IG Lobbying Report

Frequency / Due Date:

Annual / Sept. 30

U.S. International Trade Commission

Evaluation Report

Description:

Report on the evaluation of compliance of the agency with, and the effectiveness of the requirements herein

Recipient:

Congress

Citation:

[15 C.F.R. 28.605](#)

II. Financial

1) Charge Card Annual Risk Assessment

Frequency / Due Date:

Annual / Jan. 31

Description:

Report regarding the progress in implementing audit recommendation

Recipient:

Agency Head & Office of Management and Budget (OMB)

Citation:

[OMB M-13-21](#)

2) Improper Payment Elimination and Recovery Improvement Act Report (IPERIA)

Frequency / Due Date:

Annual 180 days after agency submission of AFR

Description:

Report on the assessment and recommendation of the IPERIA program

Recipient:

Congress

Citation:

[PL 112-248](#)

3) Financial Statement Audit

Frequency / Due Date:

Annual / No later than 45 days after the fiscal year ends

Description:

Audit reporting on basic financial statements, internal control over financial reporting, and compliance with applicable laws, regulations, contracts, and grant agreements

Recipient:

Agency Head & Office of Management and Budget (OMB)

Citation:

[OMB M-14-02](#)

U.S. International Trade Commission

Evaluation Report

4) Report on Internal Control

Frequency / Due Date:

Annual / No later than 45 days after the fiscal year ends

Description:

Report on internal control and compliance the relevant information

Recipient:

Agency Head & Office of Management and Budget (OMB)

Citation:

[OMB A-123](#)

5) Report on Compliance with Law, Regulations, Contracts, and Grant Agreements

Frequency / Due Date:

Annual / No later than 45 days after the fiscal year ends

Description:

Report on agency's compliance with applicable laws, regulations, contracts, and grant agreements

Recipient:

Agency Head & Office of Management and Budget (OMB)

Citation:

[OMB M-14-02](#)

6) Digital Accountability and Transparency Report

Frequency / Due Date:

1. No later than two years and six months after enactment
2. Report twice more on these issues along with its regular financial audits, on alternating years

Description:

Report on the completeness, timeliness, quality, and accuracy of each agency's standardized spending data

Recipient:

Head of government operations, chairman of the committee on government operations of the House, chairman of the committee of government affairs of the State

Citation:

[FFATA Sec. 6\(a\)\(2\)\(A\)-\(B\)](#)

III. Information Technology

1) Annual Cyberscope Assessment

Frequency / Due Date:

Annual / Nov. 14

U.S. International Trade Commission

Evaluation Report

Description:

Report on the evaluation of the agency's program including testing the effectiveness of a representative subset of the agency's information system

Recipient:

Congress & Office of Management and Budget (OMB)

Citation:

[OMB M-15-01](#)

IV. Criminal / Ethics

1) Reports of referrals for possible prosecution

Frequency / Due Date:

As needed / As needed

Description:

- Refers to DOJ (AG) or appropriate investigative agency allegations or complaints for possible prosecution (by OIG)
- Reports of Referral and Disposition of Reports of Referral to OGE (Director the Office of Government Ethics) of the disposition of a referral to DOJ of a conflict of interest (in coordination between OIG and OGC, as needed)

Recipient:

Department of Justice (DOJ); Office of Government Ethics (OGE)

Citation:

[5 C.F.R. § 2638.603](#)

U.S. International Trade Commission

Evaluation Report

Office of Operations

I. Management

- 1) USITC Strategic Plan
- 2) Annual Performance Report
- 3) Annual Performance Plan
- 4) Draft Annual Performance Plan
- 5) Lower Priority Programs
- 6) Unnecessary or Duplicative Reports

U.S. International Trade Commission

Evaluation Report

Office of Operations

I. Management

1) USITC Strategic Plan

Frequency / Due Date:

Every four years / First Monday in Feb.

Description:

Report on agency's strategic plan including mission statement, vision, strategic goals, and objectives covering the agency's programs and major management areas

Recipient:

Congress

Citation:

[OMB A-11](#)

2) Annual Performance Report

Frequency / Due Date:

Annual / First Monday in Feb.

Description:

Report on the progress the agency has made with respect to its annual performance goals

Recipient:

Congress

Citation:

[OMB A-11](#)

3) Annual Performance Plan

Frequency / Due Date:

Annual / First Monday in Feb.

Description:

Report describing agency's strategic goals and the objectives for the program and management areas and provides specific performance goals for each of the objectives

Recipient:

Congress

Citation:

[OMB A-11](#)

4) Draft Annual Performance Plan

Frequency / Due Date:

Annual / Early Sept.

U.S. International Trade Commission

Evaluation Report

Description:

Draft report describing agency's strategic goals and the objectives for the program and management areas and provides specific performance goals for each of the objectives

Recipient:

Office of Management and Budget (OMB)

Citation:

[OMB A-11](#)

5) Lower Priority Programs

Frequency / Due Date:

Annual / Early Sept. (subject to alternative guidance)

Description:

Submission of federal program inventory

Recipient:

Office of Management and Budget (OMB)

Citation:

[OMB A-11](#)

6) Unnecessary or Duplicative Reports

Frequency / Due Date:

Annual / Early Sept. (subject to alternative guidance)

Description:

Submission of the elimination of unnecessary agency plans and reports

Recipient:

Office of Management and Budget (OMB)

Citation:

[OMB A-11](#)

U.S. International Trade Commission
Evaluation Report

Office of Security and Support Services

I. Security Division / Continuity of Operations

- 1) Monthly Readiness Reporting Submission

II. Security Division / Information Security

- 1) Report on Cost Estimates for Security Classification Activities
- 2) Agency Security Classification Management Program Data Report (SF 311)
- 3) Agency Annual Self-Inspection Program Data
- 4) Key Information Sharing and Safeguarding Indicators (KISSI) Report

III. Security Division / Personnel Security

- 1) Agency PR Backlog Quarterly Report

IV. Security Division / Physical Security & Safety

- 1) Occupational Safety & Health Administration Report
- 2) Occupational Injury / Illness Data Report

V. Support Services Division

- 1) Report of Exchange/Sale Transaction of Property
- 2) Report of Personal Property Furnished to Non-Federal Recipients
- 3) Federal Fleet Report
- 4) Vehicle Fleet Report
- 5) Federal Employees Clean Air Incentives Report

U.S. International Trade Commission

Evaluation Report

Office of Security and Support Services

I. Security Division / Continuity of Operations

1) Monthly Readiness Reporting Submission

Frequency / Due Date:

Monthly / End of the month

Description:

Report on the continuity and readiness posture of the agency during normal and all hazardous condition

Recipient:

Federal Emergency Management Agency (FEMA) – Continuity of Operations Division

Citation:

[National Continuity Policy Implementation Plan](#)

II. Security Division / Information Security

1) Report on Cost Estimates for Security Classification Activities

Frequency / Due Date:

Annual / Feb. 28

Description:

Report on cost estimates for federal government security classification activities

Recipient:

National Archives and Records Administration (NARA) – Information Security Oversight Office (ISOO)

Citation:

[32 C.F.R. § 2001.90\(d\)](#)

2) Agency Security Classification Management Program Data Report (SF 311)

Frequency / Due Date:

Annual / Nov. 15

Description:

Report on statistics related to the agency security classification programs

Recipient:

National Archives and Records Administration (NARA) – Information Security Oversight Office (ISOO)

Citation:

[32 C.F.R. §2001.80\(d\)\(1\)](#)

U.S. International Trade Commission

Evaluation Report

3) Agency Annual Self-Inspection Program Data

Frequency / Due Date:

Annual / Nov. 2

Description:

Report on self-inspections to evaluate the effectiveness of agency programs covering original classification, derivative classification, declassification, safeguarding, security violations, security education and training, and management and oversight

Recipient:

National Archives and Records Administration (NARA) – Information Security Oversight Office (ISOO)

Citation:

[Executive Order 13526](#)

4) Key Information Sharing and Safeguarding Indicators (KISSI) Report

Frequency / Due Date:

Quarterly / 15th of the quarter

Description:

Assessment questions that address various aspect of network security and safeguards

Recipient:

National Archives and Records Administration (NARA) – Information Security Oversight Office (ISOO)

Citation:

[Executive Order 13587](#)

III. Security Division / Personnel Security

1) Agency PR Backlog Quarterly Report

Frequency / Due Date:

Quarterly / 15th of the month

Description:

Report on periodic reinvestigation for security clearances

Recipient:

Office of the Director of National Intelligence (ODNI)

Citation:

[Director of National Intelligence \(DNI\) Memo: Strategy to Reduce the Periodic Reinvestigation Backlog Using a Risk-based Approach, September 2014](#)

U.S. International Trade Commission

Evaluation Report

IV. Security Division / Physical Security & Safety

1) Occupational Safety & Health Administration Report

Frequency / Due Date:

Annual / May 1

Description:

Report addressing occupational accidents, injuries and illness, and agency's program for providing safe and healthful places and conditions of employment

Recipient:

Department of Labor (DOL) – Occupational Safety & Health Administration (OSHA)

Citation:

[29 C.F.R. § 1960.71\(b\)](#)

2) Occupational Injury / Illness Data Report

Frequency / Due Date:

Annual / May 1

Description:

Report on agency injuries and illnesses

Recipient:

Department of Labor (DOL) – Occupational Safety & Health Administration (OSHA)

Citation:

[78 F.R. 47180](#)

V. Support Services Division

1) Report of Exchange/Sale Transaction of Property

Frequency / Due Date:

90 calendar days after the close of each fiscal year

Description:

Report on the exchange / sale transaction made during the fiscal year

Recipient:

General Service Administration (GSA)

Citation:

[41 C.F.R. §102-39.85](#)

2) Report of Personal Property Furnished to Non-Federal Recipients

Frequency / Due Date:

90 calendar days after the close of each fiscal year

Description:

Report on personal property furnished to non-federal recipients

U.S. International Trade Commission

Evaluation Report

Recipient:

General Service Administration (GSA)

Citation:

[41 C.F.R. §102-36.300](#)

3) Federal Fleet Report

Frequency / Due Date:

Annual (fiscal year) / FAST submission window Oct.-Dec.

Description:

Report on agency motor vehicle inventory, cost, and use data

Recipient:

General Service Administration (GSA)

Citation:

[41 C.F.R. § 102-34.335](#)

4) Vehicle Fleet Report

Frequency / Due Date:

Annual / Sept. 30

Description:

Inventory of the total number of vehicles owned, permanently retired, and purchased during the fiscal year

Recipient:

Committees on Appropriations of the House of Representatives and the Senate

Citation:

[S. 2437 Report No. 113-181](#)

5) Federal Employees Clean Air Incentives Report

Frequency / Due Date:

Every two years

Description:

Report on programs to encourage commuting other than by single-occupancy vehicles, participation, and cost

Recipient:

Congress

Citation:

[5 U.S.C. §7905\(d\)\(3\)](#)

U.S. International Trade Commission

Evaluation Report

Objective, Scope, and Methodology

Objectives:

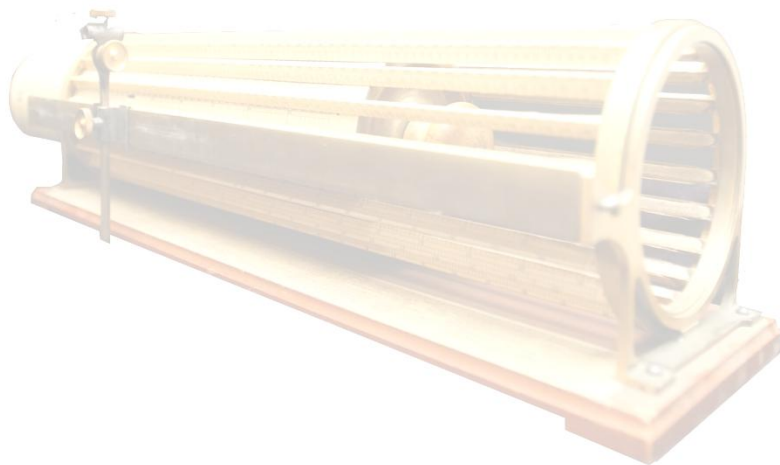
Determine the accuracy of the Commission's reporting requirements report.

Scope

The descriptive report will review the relevant organic statutes, OMB circular, regulations, directives, other relevant authorities applicable to the ITC, and existing descriptive report of ITC governing laws.

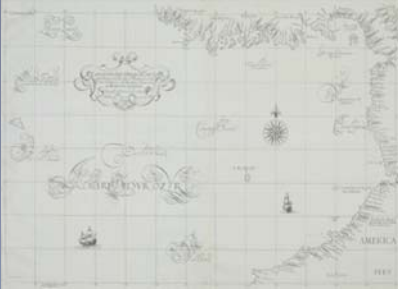
Methodology

- Compile research of relevant authorities from existing descriptive report of ITC governing laws, legal research database, the OMB website, and other relevant sources.
 - Identify which plans and reports are outdated or duplicative and refine the report.
- Conduct interviews with specific office managers and personnel to gain an understanding of their knowledge which reports are applicable to their office.
- Compare independent research with information gathered from office managers and personnel.



“Thacher’s Calculating Instrument” developed by Edwin Thacher in the late 1870s. It is a cylindrical, rotating slide rule able to quickly perform complex mathematical calculations involving roots and powers quickly. The instrument was used by architects, engineers, and actuaries as a measuring device.

To Promote and Preserve the Efficiency, Effectiveness, and Integrity of the U.S. International Trade Commission



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