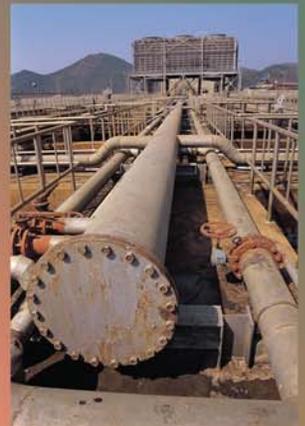


# U.S. International Trade Commission

*Inspector General Fiscal Year 2016 Annual Audit Plan*



**August 27, 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.*

*Commissioners*

*Meredith M. Broadbent, Chairman*

*Dean A. Pinkert, Vice Chairman*

*Irving Williamson*

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## 1.0 Introduction

This annual plan outlines the anticipated reviews to be performed by the Office of Inspector General for fiscal year 2016. The annual plan is generally based on the Office of Inspector General Five Year Strategic Plan that was issued in July of 2013, and addressed fiscal years 2014-2018. The annual planning process provides an opportunity to update the reviews planned for the upcoming fiscal year to address the changing needs and priorities of the Commission.

This document begins by identifying the mandatory reviews required to be performed by the Office of Inspector General, followed by planned reviews of the Commission's strategic operations. The next section identifies reviews related to Commission management challenges, and the final section contains the information technology reviews. There are individual plans within each section that provides background information, proposed objectives, criteria, benefit and scope. A listing of all the reviews planned for fiscal year 2016 is provided in Table 1.

While this document outlines the planned activities, we recognize that new initiatives, programs, issues, staffing, or other concerns may arise that require adjustments to the objective, priority, or schedule of the reviews.

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## 2.0 Mandatory Reviews

This section identifies audits that the Office of Inspector General must perform, as required by law, statute, or other regulation authority.

### 2.1 Audit of the Commission's FY 2016 Financial Statement

#### Background:

The Accountability of Tax Dollars Act of 2002 requires the Commission to prepare audited financial statements and subject those statements to an independent audit. These audited statements are required to be submitted to the Congress and the Office of Management and Budget (OMB). In order to comply with these requirements, the Commission needs a system to prepare a complete set of financial statements on a timely basis in accordance with U.S. generally accepted accounting principles. The statements are to result from an accounting system that is an integral part of an integrated financial management system containing sufficient structure, effective internal control, and reliable data. Financial reporting also consists of the policies and procedures related to the

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processing and summarizing of accounting entries, and the preparation of financial statements.

## Proposed Objective(s)

The objectives are:

- To render an opinion on whether the Commission's consolidated financial statements are presented fairly in all material respects;
- To issue conclusions based on the testing of internal controls; and
- To determine the extent of the Commission's compliance with laws and regulations related to financial statement preparation.

## Criteria

- OMB Bulletin 14-02, Audit Requirements for Federal Financial Statements
- OMB Circular A-136, Financial Reporting Requirements
- OMB Circular A-123, Management Accountability and Control
- GAO Government Auditing Standards
- GAO Standards for Internal Control in the Federal Government
- GAO/CIGIE Financial Audit Manual

## Benefit(s)

To provide reasonable assurance that the Commission is properly reporting financial transactions and can accurately produce end of year financial statements.

## Scope

The Office of Inspector General will contract with an independent auditor to conduct an audit of and report on the Commission's financial statements for each fiscal year. The Office of Inspector General will provide continuous monitoring and oversight of the work performed.

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## 2.2 Federal Information Security Management Act (FISMA) Review

### Background

The Federal Information Security Management Act of 2002 (FISMA) requires federal agencies to establish agency-wide risk-based information security programs that include periodic risk assessments, use of controls and techniques to comply with information security standards, training, periodic testing and evaluation, reporting, plans for remedial action, security incident response, and continuity of operation.

OMB dictates the format, contents, and submission requirements of the FISMA report each year.

### Proposed Objective(s)

Assess the adequacy of controls over information security and compliance with information security policies, procedures, standards, and guidelines as identified by OMB policy memorandum.

### Criteria

- FISMA
- OMB Policy Memorandum

### Benefit(s)

To provide assurance to the Commission that the controls implemented to protect its information security are effective, and that the description of the Commission's information systems being provided to OMB by the Office of the Chief Information Officer is comprehensive and accurate.

### Scope

The Office of Inspector General will independently evaluate and report to OMB on how the Commission has established and implemented select elements of its information security program.

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## 2.3 Management Challenges Report

### Background

In 1998, members of Congress began annually requesting Inspectors General to identify the most serious management challenges facing their respective agencies. This request was later codified in the Reports Consolidation Act of 2000.

The Reports Consolidation Act of 2000 requires the Inspector General to submit a report to be included in Annual Financial Report that summarizes what the Inspector General consider to be the most serious management and performance challenges facing the Commission and assess the progress in addressing those challenges. The Inspector General is required to provide this report to the Chairman 30 days before the due date of the Agency Financial Report.

### Objective

To identify challenges to address in order to improve the performance, management, and accountability of the Commission.

### Criteria

- Reports Consolidation Act of 2000
- OMB Circular, A-136, Financial Reporting Requirements

### Benefit

To improve the effectiveness and efficiency of the Commission's operations.

### Scope

This report covers challenges from all of the Commission's operations and activities.

## 2.4 Report on Improper Payments

### Background

The Improper Payments and Recovery Act of 2010 (IPERA), requires agencies to review all programs and activities to identify areas that may be susceptible to significant improper payments. Additionally, it requires the Inspector General to determine if the Commission is in compliance with IPERA and submit a report each fiscal year to the

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head of the agency, the Committee on Homeland Security and Governmental Affairs, the Committee on Oversight and Governmental Reform, and the Comptroller General.

## Objective

Reduce improper payments made as a result of inadequate recordkeeping, inaccurate eligibility determinations, inadvertent processing errors, the lack of timely and reliable information, or fraud.

## Criteria

- Improper Payments Elimination and Recovery Act of 2010,
- OMB Circular A-123

## Benefit

Eliminate waste in the federal government as a result of the improper payments and establish methods to recapture improper payments.

## Scope

Review the Commission's improper payment reporting as submitted in the Annual Financial Report, along with any supporting documentation.

## **2.5 Charge Card Risk Assessment**

### Background

The Government Charge Card Abuse Prevention Act of 2012 requires the Inspector General of each agency to conduct an annual risk assessment of agency purchase cards, travel cards, fleet cards, and convenience checks. The results of the risk assessment will be used to determine the necessary scope, frequency, and number of audits, evaluations, or reviews of these programs.

The Charge Card Abuse Act directs the Inspector General to submit an annual purchase and travel card audit recommendation status report to the Director of OMB 120 days after the end of each fiscal year.

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## Objective

Ensure that the Commission has the proper controls in place to reduce risk of illegal, improper, or erroneous purchases and payments made using government-issued charge cards.

## Criteria

- Government Charge Card Abuse Prevention Act of 2012
- M-13-21, Implementation of Government Charge Card Abuse prevention Act of 2012
- OMB Circular A-123
- GSA Federal Acquisition Service Smart Bulletin, No. 021

## Benefit

To identify and mitigate risks associated with misuse of government-issued charge cards.

## Scope

The Office of Inspector General will review determine a specific area for review based on agency risks and OMB and GSA requirements. Each review will focus on a specific area within the Charge Card Management Program.

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### **3.0 USITC Strategic Goal Reviews**

This section will identify the planned audits of the areas that impact the strategic goals, objectives, and program operations of the Commission.

#### **3.1 Strategic Goal 1: Produce sound, objective, and timely determinations in investigative proceedings.**

## Background

The Commission is responsible for administering and applying U.S. laws concerning subsidized and dumped imports that injure a domestic industry, surges of fairly traded imports that injure a domestic industry, and imports that infringe a domestic intellectual property right or otherwise unfairly injure a domestic industry. The Commission is required to reach its determinations based on transparent procedures and a well-developed record.

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The Commission has identified two strategic objectives associated with this goal: (1) conduct expeditious and technically sound investigative proceedings; and (2) promote transparency and understanding of investigative proceedings.

Some of the strategies the Commission has identified to meet these objectives include reviewing feedback from internal and external stakeholders and analyzing historical data to find opportunities to improve the efficiency of their current processes; ensuring that accurate public information is easily accessible as soon as practicable; and leveraging technology to improve the flow of information.

## Audit Objective 1: Customer Service

Determine if the Commission has an effective process to monitor the impact of actions taken to resolve issues identified by feedback provided by internal and external stakeholders.

### Criteria:

- Standard operating procedures for monitoring, resolving, and tracking feedback.

### Benefit(s)

To inform the Commission whether: (1) the actions taken have been successful; (2) there were unexpected results; (3) further action is necessary.

### Scope

- Review processes and procedures for responding to feedback provided by stakeholders.

## Audit Objective 2: Data Integrity

Determine if the Commission has a process to validate the accuracy of data entered into the case management database.

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## Criteria

- Data validation procedures.
- Data standards.

## Benefit(s)

To provide reasonable assurance of the integrity of the data being used for decision-making purposes.

## Scope:

- Review the process and procedures for entering and validating data.
- Test controls to ensure they are working.

## Audit Objective 3: Unbiased Procedures

Determine if the Commission follows a standard methodology to determine the extent of participation by the Office of Unfair Import Investigations in a 337 investigation.

## Criteria

- Review the process and procedure for determining the extent of participation in 337 investigations.

## Benefit(s)

Provide reasonable assurance that the level of participation is determined in an objective and unbiased manner.

## Scope

- Review of Office of Unfair Import Investigation's methodology;
  - Review sample of 337 investigation documentation applying the methodology.
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## **3.2 Strategic Goal 2: Produce objective, high-quality, and responsive tariff, trade, and competitiveness-related analysis and information.**

### Background

The Commission has numerous statutory responsibilities to provide advice, analysis, data, and reports to the President, Congress, and USTR. Responding to new issues in international trade and industry competitiveness requires long-term planning, thoughtful investment, and effective employee development, recruitment, and retention methods.

The Commission has identified two strategic objectives associated with this goal: (1) deliver timely and accessible analysis and information; (2) produce high-quality analysis and information and strategic insights to support the development of the U.S. trade agenda.

Some of the strategies the Commission uses to meet these objectives include developing IT solutions to improve the availability and functionality of Commission products; engaging in regular communications with customers to gain understanding of their needs; evaluating its economic and analytical capabilities; and investing in human capital to maintain and develop technical expertise.

### Audit Objective 4: Accessibility of Information

Is the Commission's process for providing accessible information on its website efficient?

### Criteria

- Review of the process for providing final documents for posting;
- Review of the timeframes to get final documents posted.

### Benefit(s)

Ensure that the Commission is providing timely delivery and accessibility of reports to the public.

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## Scope

- Review Commission processes and procedures for creating web content;
  - Review timeframes from final report completed to actual posting on website.
- 

## **4.0 Other Reviews**

The Office of Inspector General intends to perform five reviews to determine the extent that the Commission has reasonable assurance of the effectiveness and efficiency of administrative operations.

### **4.1 Intragovernmental Payment and Collection (IPAC) Invoice Process**

#### Background

IPAC is used by the Commission to electronically pay for services and supplies to other federal entities. The system facilitates intragovernmental transactions by transferring funds from one federal agency to another on a real-time basis. The Commission uses the IPAC system to pay for services from other entities such as the Office of Personnel Management for employee benefits, General Services Administration for the lease of the building, National Business Center for financial services support, and Department of Homeland Security for security guards.

The IPAC system is a third party system, owned by the Department of Treasury. It was designed to provide an on-line billing and payment service. It is not an accounting system and is not intended to be a control over intragovernmental transactions.

#### Proposed Objective(s)

Determine if the Commission's process for reviewing and approving IPAC payments is effective.

#### Criteria

- Federal Intragovernmental Transactions Process (Treasury)
- Business Rules for Intragovernmental Transactions (OMB)
- Financial Management Manual

#### Benefit(s)

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This review will provide the Commission with information to reasonably understand whether the IPAC process is working properly and to ensure that the Commission has a procedure in place to properly approve invoices, reconcile payments, and resolve differences.

## Scope

- Review internal procedures for processing IPAC payments.
  - Review IPAC invoices, supporting documentation, and financial reports for a period of at least 12 months.
- 

## **4.2 Warehouse Management**

### Background

The three objectives of internal control are to ensure the effectiveness and efficiency of: (1) operations, (2) reliability of financial reporting, and (3) compliance with applicable laws and regulations. The safeguarding of assets is a subset of all of these objectives. The Commission has a responsibility to establish controls that reasonably ensure that property and other assets are safeguarded against waste, loss, unauthorized use, and misappropriation.

### Proposed Objective(s)

Determine if the Commission has policies and procedures in place for receiving and distributing items from the warehouse.

### Criteria

- Office of Management and Budget Circular A-123

### Benefit(s)

To ensure the appropriate systems are in place for maintaining accountability and control of the Commission's assets.

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## Scope:

- Acquisition, receipt, assignment, and disposition of assets;
  - Inventory of assets;
  - Physical controls over access to assets;
  - Logical controls over access to inventory systems.
- 

## 4.3 Security Clearances

### Background

In order to perform its function, the Commission's work force must hold the proper security clearance for handling information such as Confidential Business Information (CBI) and National Security Information (NSI). Because access to this information is critical to the business of the Commission, it is important that access to this information is properly granted to employees.

### Proposed Objective(s)

- Assess the security clearance status of the Commission's employees, in light of the Commission's needs.
- Assess whether the Commission's offices have the appropriate number of employees with the proper security clearance.

### Criteria

- Executive Order 12958
- Executive Order 12968

### Benefit(s)

Provide assurance that the Commission's work force holds the proper security clearance to access the information needed to efficiently perform the Commission's function.

### Scope

Review the security clearance status of the employees in all the Commission's offices, in light of the security clearance's requirements of current and expected workload.

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## 4.4 Continuity of Operations Plan (COOP)

### Background

The Commission is required to have a viable continuity capability to ensure the continued performance of essential functions in the event of a wide range of emergencies. The Commission's COOP plan should identify the essential functions and services of the Commission along with the associated capabilities required to continue to perform the work. These functions are activities performed by staff to accomplish the mission of the Commission and serve its stakeholders. These essential functions and associated capabilities should serve as the basis for the COOP plan.

### Proposed Objective(s)

Determine if the Commission's Business Continuity of Operations (COOP) Plan has identified and prioritized the essential functions and services for the Commission and has accounted for all the capabilities required to continue to perform these functions in the event of a contingency.

### Criteria

- Federal Continuity Directive 1
- Federal Continuity Directive 2
- Federal Preparedness Circular 65

### Benefit(s)

The Commission has the ability to restore essential functions and services in the event of a contingency.

### Scope

- COOP Planning
- 

## 5.0 Information Technology Reviews

The OIG plans to assess the adequacy and effectiveness of controls over information security, and compliance with information security policies, procedures, standards, and guidelines.

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## 5.1 Patching

### Background

The protection of the Commission's information systems is dependent on maintaining a secure, patched state of applications and operating systems on all networked devices. Because patches are continuously released, an effective patch management program implements a system to continuously monitor patch levels and apply required patches to all networked devices. Systems that remain unpatched present a material risk to the Commission.

### Proposed Objective(s)

The objective of this audit is to assess the effectiveness of the CIO's patching process for all systems on its network.

### Criteria

- NIST 800-40 and US-CERT

### Benefit(s)

To provide assurance to the Commission that its risk due to known exploits is being mitigated through the comprehensive and timely application of software patches.

### Scope

This audit will encompass all networked hosts to determine the update/patch state of all software, including operating systems and both major and minor applications. The device list shall include but is not limited to all servers, workstations, routers, printers, email gateways, firewalls and any other network or security devices.

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## 5.2 Penetration Testing

### Background

The external perimeter of a network serves as the primary defense against attack. The perimeter typically consists of border routers, firewalls, web servers, email servers, anti-spam appliances, DNS servers, and other devices. No matter how well a given system may have been developed, the nature of today's complex systems with large volumes of

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code, complex internal interactions, interoperability with uncertain external components, and unknown interdependencies means that exploitable flaws will always be present or surface over time. Accordingly, security testing must fill the gap between the state of the art in system development and actual operation of these systems. Security testing is important for understanding, calibrating, and documenting the operational security posture of an organization. Organizations that have an organized, systematic, comprehensive, on-going, and priority driven security testing regimen are in a much better position to make prudent investments to enhance the security posture of their systems.

## Proposed Objective(s)

Determine the effectiveness of the Commission's security perimeter through external penetration testing.

## Criteria

- NIST SP 800-42, 800-53A (Appendix G), 800-115, 800-81

## Benefit(s)

To provide assurance to the Commission that it is implementing effective controls to protect its perimeter.

## Scope

This audit will include all externally available hosts. The device list shall include, but is not limited to all servers, workstations, routers, email gateways, and firewalls. The access types attempted will include login attempts for the purposes of information gathering, privilege escalation, and establishment of jumping points to other areas of the Commission's network.

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## **5.3 Wireless Security**

### Background

The ability to be mobile within the workspace is gaining increased focus and resources. It provides a more flexible work environment, and encourages collaboration. In organizations where external parties are frequently on the premises, these technologies

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can provide public network access and improve the efficiency of work being performed by these parties. Technologies enabling wireless communications must simultaneously provide performance, reliability, and security. The security of these systems is influenced by a multitude of parameters and technology standards. The end result of these security technologies should be a network that only allows access to corporate data to those with permission to access it, and should not allow external parties to negatively impact the performance of the network to the organization or its staff.

## Proposed Objective(s)

Determine whether the private wireless network is secure, and whether public network access receives a lower priority of bandwidth.

## Criteria

- NIST Special Publications 800-153, 800-120

## Benefit(s)

Provide assurance that the wireless network benefits organization staff and the public while securing the assets of the organization.

## Scope

All private and public wireless resources provided by the Commission.

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## **5.4 Incident Response**

### Background

Security incident response is the means of responding to security incidents after they have occurred and have been identified. The main purpose of response should be to identify the cause of the incident to enable measures that can be taken to reduce future risk.

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## Proposed Objective(s)

Determine whether the incident response process effectively reduces risk.

## Criteria

- NIST Special Publication 800-61 revision 2

## Benefit(s)

Reduced future risk; increased management knowledge of causes of risk.

## Scope

Review the records of incident responses, number and types of requests that are escalated, problem resolutions, and the timeframes for resolving reported problems.

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## **5.5 Web Application Security**

### Background

The Commission uses Internet-based web applications for vital business functions, such as HTS (Harmonized Tariff Schedule) and EDIS (Electronic Document Information Systems). Because these systems are critical to the business of the Commission, it is important that these systems are secure, and that confidential information entered into these applications cannot be intercepted or altered surreptitiously.

### Proposed Objective(s)

Assess security posture of one of the Commission's web-based business applications.

### Criteria

- NIST Special Publication 800-95

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## Benefit(s)

Provide assurance that data entered in the Commission's web applications is secure.

## Scope

One or more of the Commission's web applications.

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## **5.6 Help Desk Ticket Processing**

### Background

The Office of the Chief Information Office is responsible for ensuring that the IT infrastructure, systems, and applications are running smoothly to support the Commission's business operations. The help desk is a service provided by the Office of the Chief Information Officer designed to respond to information technology issues encountered by Commission employees and contractors. The help desk is called upon by users experiencing a wide range of technical issues such as; printer problems, forgotten passwords, server access, or other issues associated with individual applications, hardware, and systems.

### Proposed Objective(s)

To determine if the help desk is effectively responding to open help desk tickets.

### Criteria

Resolving problems within established timeframes, service level agreements, or industry standards and taking action to prevent reoccurrence of the same problem.

### Benefit(s)

To ensure the Commission is achieving operational efficiencies through the effective delivery of problem resolution services that are provided by the help desk.

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## Scope

Review the records of reported incidents from the automated help desk system to assess the types of requests that are received, the number and types of requests escalated, problem resolutions, and timeframes for resolving reported problems.

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## **5.7 Assess Infrastructure Fault Notification**

### Background

The infrastructure composing the Commission's network relies on an interconnected set of hardware and applications from multiple vendors, each with its own specific areas of risk and mitigation. Detection and resolution of failures of this hardware and software are an important aspect of managing the network. The use of automated tools provide a way to immediately alert technicians of failures, which in turn helps to isolate the problem, provide quicker resolution, and minimize disruption to the end users.

### Proposed Objective(s)

To determine if the CIO receives automated system alerts whenever infrastructure services or hardware fails.

### Criteria

Automated systems should alert for failures in infrastructure services or hardware.

### Benefit(s)

To provide assurance of detection and notification for infrastructure faults to ensure that networks are operating as designed and providing optimal services to end users.

### Scope

All infrastructure systems and associated hardware.

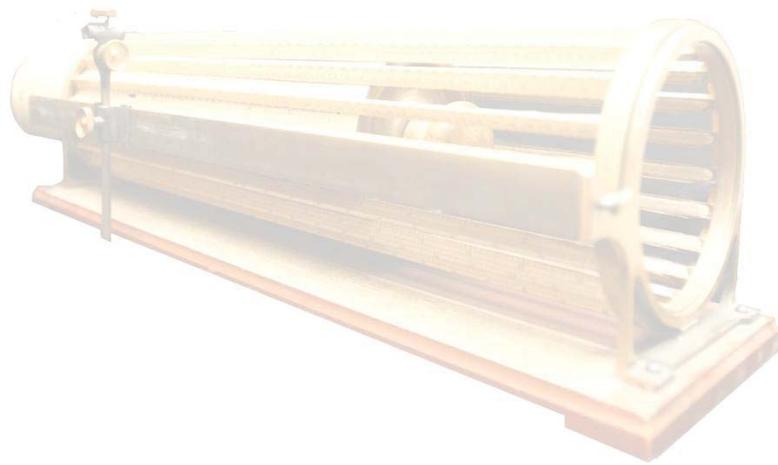
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**Table 1: OIG FY 2016 Annual Audit List**

	Operational Area	Proposed Objective
1	Finance	Provide an opinion on the Commission's financial statements, report on compliance with laws and regulations and report on internal controls.
2	CIO	Determine the effectiveness of the Commission's information system security program.
3	Commission	Identify the most serious management and performance challenges facing the Commission.
4	CFO	Determine if the Commission complies with the requirements of IPERA.
5	CFO	Assess risks of the Commission's government charge card program.
6	Operations	Determine if the Commission has an effective process to monitor the impact of actions taken to resolve issues identified by feedback provided by internal and external stakeholders.
7	Operations	Determine if the Commission has a process to validate the accuracy of data entered into the case management database.
8	Operations	Determine if the Commission follows a standard methodology to determine the extent of the Office of Unfair Import Investigations participation in a 337 investigation.
9	Operations	Determine if the Commission's process for distributing accessible information on its website is efficient.
10	Commission	Determine if the Commission's process for reviewing and approving IPAC payments is effective.
11	Facilities	Determine if the Commission has policies and procedures in place for receiving and distributing items from the warehouse.
12	Commission	Assess the adequacy of security clearances for Commission personnel.
13	CIO	Determine if the Commission is effectively patching its systems.
14	CIO	Determine the effectiveness of the Commission's security perimeter through external penetration testing.
15	CIO	Determine whether the private wireless network is secure, and whether public network access receives a lower priority of bandwidth.
16	CIO	Determine if the Commission's Business Continuity of Operations (COOP) Plan follows the guidance as provided in Federal Preparedness Circular 65.
17	CIO	Determine if the Commission's incident response process effectively reduces risk.
18	CIO	Assess the security posture of one of the Commission's web-based business applications.
19	CIO	Determine if the CIO is effectively responding to open help desk tickets.
20	CIO	Determine the extent that the CIO receives automated system alerts when infrastructure services or hardware fail.



*“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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