

**ETHICS PROGRAM INSPECTION REPORT**

Agency: U.S. Commission on Civil Rights (USCCR)

Report No.: 22-59I

Date: September 28, 2022

Period Covered by Review: January 1, 2021 through December 31, 2021

**UNITED STATES OFFICE OF  
GOVERNMENT ETHICS**Preventing Conflicts of Interest  
in the Executive Branch

1.0	AGENCY DATA	
	EMPLOYEES	
1.1	Number of full-time agency employees.	54
1.2	Number of Presidentially appointed, Senate-confirmed (PAS) public financial disclosure reports required to be filed.	N/A
1.3	Number of non-PAS public financial disclosure reports required to be filed.	18
1.4	Number of confidential financial disclosure reports required to be filed.	3
	ETHICS PROGRAM	
1.5	Title of Designated Agency Ethics Official (DAEO).	General Counsel
1.6	Grade level of DAEO.	GS-15
1.7	Title of Alternate DAEO (ADAEO).	Senior Attorney Advisor
1.8	Grade level of ADAEO.	GS-14
1.9	Title of the primary, day-to-day ethics program administrator.	General Counsel and Senior Attorney Advisor (shared)
1.10	Grade level of the primary, day-to-day ethics program administrator.	GS-15 and GS-14
1.11	Current number of full-time ethics officials.	0
1.12	Current number of part-time ethics officials.	4
1.13	Number of reporting levels between the DAEO and the agency head.	1
	COMMENTS	
	(1.2) The U.S. Commission on Civil Rights (USCCR) does not have any PAS positions. (1.9 and 1.10) The General Counsel and a Senior Attorney Advisor share primary, day-to-day administrative duties.	

2.0	LEADERSHIP			
	COMPLIANCE REQUIREMENTS	Yes	No	N/A
2.1	OGE has received an up-to-date designation from the agency head naming the DAEO. <i>See</i> 5 C.F.R. § 2638.107(a).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2	OGE has received an up-to-date designation from the agency head naming the ADAEO. <i>See</i> 5 C.F.R. § 2638.107(a).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	COMMENTS			
	(2.2) OGE did not initially have an up-to-date designation for the USCCR's ADAEO. The USCCR provided one during the inspection.			

3.0	PUBLIC FINANCIAL DISCLOSURE (OGE Form 278e, OGE Form 278-T)			
	COMPLIANCE REQUIREMENTS	Yes	No	N/A
	The agency has written policies and procedures in place governing: <i>See</i> 5 U.S.C. app. IV, § 402(d)(1).			
3.1	• Collection of public financial disclosure reports.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2	• Review/evaluation of public financial disclosure reports.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3	• Public availability of public financial disclosure reports.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.4	The agency can demonstrate that late filing fees are collected or, where appropriate, waivers are issued when public filers do not timely file financial disclosure reports.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**ETHICS PROGRAM INSPECTION REPORT**

Agency: U.S. Commission on Civil Rights (USCCR)

Report No.: 22-591

Date: September 28, 2022

Period Covered by Review: January 1, 2021 through December 31, 2021

**UNITED STATES OFFICE OF  
GOVERNMENT ETHICS**Preventing Conflicts of Interest  
in the Executive Branch

3.5	Public financial disclosure reports are securely maintained. <i>See</i> OGE/GOVT-1.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.6	Public financial disclosure reports are retained in accordance with the retention requirements. <i>See</i> 5 C.F.R. § 2634.603(g)(1).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3.7	There is reasonable assurance that the lead human resources official or designee promptly (no later than 15 days after appointment) notifies the DAEO of all appointments to positions that require incumbents to file public financial disclosure reports. <i>See</i> 5 C.F.R. § 2638.105(a)(1).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.8	There is reasonable assurance that the lead human resources official or designee promptly (no later than 15 days after termination) notified the DAEO of terminations of employees in positions that require incumbents to file public financial disclosure reports. <i>See</i> 5 C.F.R. § 2638.105(a)(2).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>DATA ANALYSIS</b>	<b>%</b>		
3.9	Percentage of sampled non-PAS new entrant reports filed timely. <i>See</i> 5 C.F.R. § 2634.201(b).	0%		
3.10	Percentage of sampled non-PAS annual reports filed timely. <i>See</i> 5 C.F.R. § 2634.201(a).	75%		
3.11	Percentage of sampled non-PAS termination reports filed timely. <i>See</i> 5 C.F.R. § 2634.201(e).	N/A		
3.12	Percentage of sampled non-PAS public financial disclosure reports reviewed within 60 days of receipt. <i>See</i> 5 C.F.R. § 2634.605(a).	82%		
3.13	Percentage of sampled non-PAS public financial disclosure reports certified within 60 days of receipt. <i>See</i> 5 C.F.R. § 2634.605(a).	82%		
3.14	Percentage of sampled PAS annual reports filed timely. <i>See</i> 5 C.F.R. § 2634.201(a).	N/A		
3.15	Percentage of sampled PAS termination reports filed timely. <i>See</i> 5 C.F.R. § 2634.201(e).	N/A		
3.16	Percentage of sampled PAS annual and termination reports reviewed within 60 days of receipt. <i>See</i> 5 C.F.R. § 2634.605(a).	N/A		
3.17	Percentage of sampled PAS annual and termination reports certified within 60 days of receipt. <i>See</i> 5 C.F.R. § 2634.605(a).	N/A		
	<b>COMMENTS</b>			
	(3.6) During the course of the review, the USCCR found and deleted 28 public financial disclosure reports that exceeded the retention period. The USCCR is now in compliance with retention requirements. (3.9) Two new entrant public reports were required to be filed in 2021. They were filed one day and five days late, respectively. (3.10) Six out of eight (75%) annual reports were filed timely. (3.11) No termination reports were required to be filed in 2021. (3.14 – 3.17) The USCCR does not have any PAS positions.			

<b>4.0</b>	<b>CONFIDENTIAL FINANCIAL DISCLOSURE</b>			
	<b>COMPLIANCE REQUIREMENTS</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
	The agency has written policies and procedures in place governing: <i>See</i> 5 U.S.C. app. IV, § 402(d)(1).			
4.1	• Collection of confidential financial disclosure reports.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.2	• Review/evaluation of confidential financial disclosure reports.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.3	Confidential financial disclosure reports are securely maintained. <i>See</i> OGE/GOVT-2.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.4	Confidential financial disclosure reports are retained in accordance with the retention requirements. <i>See</i> 5 C.F.R. § 2634.604.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.5	The agency's OGE-approved alternative confidential financial disclosure system complies with plans approved by OGE. <i>See</i> 5 C.F.R. § 2634.905(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

**ETHICS PROGRAM INSPECTION REPORT**

Agency: U.S. Commission on Civil Rights (USCCR)

Report No.: 22-591

Date: September 28, 2022

Period Covered by Review: January 1, 2021 through December 31, 2021

**UNITED STATES OFFICE OF  
GOVERNMENT ETHICS**Preventing Conflicts of Interest  
in the Executive Branch

4.6	There is reasonable assurance that the lead human resources official or designee promptly (no later than 15 days after appointment) notifies the DAEO of all appointments to positions that require incumbents to file confidential financial disclosure reports. <i>See</i> 5 C.F.R. § 2638.105(a)(1).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>DATA ANALYSIS</b>	<b>%</b>		
4.7	Percentage of sampled confidential new entrant reports filed timely. <i>See</i> 5 C.F.R. § 2634.903(b).	N/A		
4.8	Percentage of sampled confidential annual reports filed timely. <i>See</i> 5 C.F.R. § 2634.903(a).	100%		
4.9	Percentage of sampled reports reviewed within 60 days of receipt. <i>See</i> 5 C.F.R. § 2634.605(a).	100%		
4.10	Percentage of sampled confidential financial disclosure reports certified within 60 days of receipt. <i>See</i> 5 C.F.R. §§ 2634.605(a) and 2634.909(a).	100%		
	<b>COMMENTS</b>			
	(4.4) During the course of the review, the USCCR found and deleted three confidential reports that exceeded the retention period. The USCCR is now in compliance with retention requirements. (4.5) The USCCR does not have an OGE-approved alternative confidential financial disclosure system. (4.7) No confidential new entrant reports were required to be filed at the USCCR in 2021.			

<b>5.0</b>	<b>NOTICES TO PROSPECTIVE EMPLOYEES</b>			
	<b>COMPLIANCE REQUIREMENTS</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
	Written offers of employment for positions covered by the Standards of Conduct provide: <i>See</i> 5 C.F.R. § 2638.303.			
5.1	• A statement regarding the agency's commitment to government ethics.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5.2	• Notice that the individual will be subject to the Standards of Conduct and the criminal conflict of interest statutes as an employee.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5.3	• Contact information for an appropriate agency ethics office or an explanation of how to obtain additional information on applicable ethics requirements.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.4	• Where applicable, notice of the time frame for completing initial ethics training.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5.5	• Where applicable, a statement regarding financial disclosure requirements and an explanation that new entrant reports must be filed within 30 days of appointment.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5.6	The agency has established written procedures for issuing the notice to prospective employees. <i>See</i> 5 C.F.R. § 2638.303(c).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.7	The agency's written procedures are reviewed by the DAEO each year. <i>See</i> 5 C.F.R. § 2638.303(c).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.8	The agency can demonstrate that there is an effective process for ensuring all covered employees receive the required information with their written offer of employment. <i>See</i> 5 C.F.R. § 2638.303.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>COMMENTS</b>				
<p>(5.1, 5.2, 5.4, 5.5) The USCCR's notices to prospective employees who would not be required to file financial disclosure reports meet compliance requirements. However, OGE examined a notice the USCCR provided to a prospective employee who would be required to file public financial disclosure reports which appeared to be identical to the notice the USCCR sends to new supervisors. (These notices are, addressed in the next section.) As such, it only met the requirement to provide contact information for how to obtain additional information regarding ethics-related issues.</p> <p>(5.6) The USCCR did not have formal written procedures prior to this inspection. However, the USCCR developed written procedures which fully meet requirements during the course of the inspection. The DAEO will review these procedures annually, as required.</p>				

**ETHICS PROGRAM INSPECTION REPORT**

Agency: U.S. Commission on Civil Rights (USCCR)

Report No.: 22-591

Date: September 28, 2022

Period Covered by Review: January 1, 2021 through December 31, 2021

**UNITED STATES OFFICE OF  
GOVERNMENT ETHICS**Preventing Conflicts of Interest  
in the Executive Branch**6.0 NOTICES TO NEW SUPERVISORS**

<b>COMPLIANCE REQUIREMENTS</b>		<b>Yes</b>	<b>No</b>	<b>N/A</b>
The agency must provide each employee upon initial appointment to a supervisory position with: <i>See</i> 5 C.F.R. § 2638.306.				
6.1	• Contact information for the agency's ethics office.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2	• The text of 5 C.F.R. § 2638.103.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3	• A copy of, a hyperlink to, or the address of a Web site containing the Principles of Ethical Conduct.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
6.4	• Other information the DAEO deems necessary.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.5	The agency has established written procedures for supervisory ethics notices. <i>See</i> 5 C.F.R. § 2638.306(d).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.6	The agency's written procedures are reviewed by the DAEO each year. <i>See</i> 5 C.F.R. § 2638.306(d).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.7	The agency can demonstrate that there is an effective process for ensuring that new supervisors receive the required information within one year of appointment. <i>See</i> 5 C.F.R. § 2638.306(b).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>COMMENTS</b>				
(6.3) The supervisory notices provided to OGE did contain hyperlinks to a website with the Principles of Ethical Conduct. However, the hyperlinks led to webpages no longer accessible and thus did not provide the required content.				

**7.0 INITIAL ETHICS TRAINING**

	COMPLIANCE REQUIREMENTS	Yes	No	N/A
	Each new employee of the agency subject to the Standards of Conduct must complete initial ethics training. <i>See</i> 5 C.F.R. § 2638.304.			
7.1	The training presentation(s) addressed concepts related to conflicts of interest, impartiality, misuse of position and gifts. <i>See</i> 5 C.F.R. § 2638.304(e)(1).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2	The agency provided new employees with either the following written materials or written instruction for accessing them: The summary of the Standards of Conduct distributed by the Office of Government Ethics or an equivalent summary prepared by the agency; provisions of any supplemental agency regulation that the DAEO determines to be relevant or a summary of those provisions; such other written materials as the DAEO determines should be included; instructions for contacting the agency's ethics officials. <i>See</i> 5 C.F.R. § 2638.304(e)(2).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3	The agency has established written procedures for initial ethics training. <i>See</i> 5 C.F.R. § 2638.304(f).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.4	The agency's written procedures are reviewed by the DAEO each year. <i>See</i> 5 C.F.R. § 2638.304(f).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	DATA ANALYSIS	%		
7.5	Percentage of new employees who received initial ethics training. <i>See</i> 5 C.F.R. § 2638.304.	82%		
7.6	Percentage of new employees who received initial ethics training within three months of appointment. <i>See</i> 5 C.F.R. § 2638.304(b).	82%		
	COMMENTS			
	(7.1) The USCCR used separate presentations for public filers and non-public filers. While the training for public filers contained all of the required content, the presentation for non-public filers did not have a section dedicated to impartiality but appeared to partially address the concept in places. OGE suggests that in future trainings, the DAEO make certain to highlight each of the four required topics through discussion questions or summary statements to ensure that each concept is more fully addressed.			

**ETHICS PROGRAM INSPECTION REPORT**

Agency: U.S. Commission on Civil Rights (USCCR)

Report No.: 22-59I

Date: September 28, 2022

Period Covered by Review: January 1, 2021 through December 31, 2021

**UNITED STATES OFFICE OF  
GOVERNMENT ETHICS**Preventing Conflicts of Interest  
in the Executive Branch

8.0 ANNUAL ETHICS TRAINING						
COMPLIANCE REQUIREMENTS			Yes	No	N/A	
	Each calendar year, public filers, confidential filers, and certain other employees must complete ethics training which meets specified requirements. <i>See</i> 5 C.F.R. §§ 2638.307 and 2638.308.					
8.1	The training presentation(s) addressed concepts related to financial conflicts of interest, impartiality, misuse of position and gifts. <i>See</i> 5 C.F.R. §§ 2638.307(e)(1) and 2638.308(f)(1).			<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.2	The agency provided employees with either the following written materials or written instruction for accessing them: The summary of the Standards of Conduct distributed by the Office of Government Ethics or an equivalent summary prepared by the agency; provisions of any supplemental agency regulation that the DAEO determines to be relevant or a summary of those provisions; such other written materials as the DAEO determines should be included; instructions for contacting the agency's ethics officials. <i>See</i> 5 C.F.R. § 2638.304(e)(2).			<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.3	The agency's annual ethics training complies with the formatting requirements for public filers, confidential filers, and certain other employees. <i>See</i> 5 C.F.R. §§ 2638.307(d) and 2638.308(e).			<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.4	The agency's program for annual ethics training complies with the tracking requirements for public filers, confidential filers, and certain other employees. <i>See</i> 5 C.F.R. §§ 2638.307(f) and 2638.308(g).			<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.5	The agency can demonstrate it has an effective process for ensuring covered public filers, other than those whose pay is set at Level I or Level II of the Executive Schedule, complete live annual ethics training at least once every two years. <i>See</i> 5 C.F.R. § 2638.308(e)(2).			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
DATA ANALYSIS				Training Format		
				Live	Interactive	
	Percentage of public filers who completed annual ethics training before the end of the calendar year. <i>See</i> 5 C.F.R. § 2638.308(a).					
8.6	• Executive Schedule Level I and Level II. <i>See</i> 5 C.F.R. § 2638.308(e)(1).			N/A	N/A	
8.7	• Other PAS and Equivalent. <i>See</i> 5 C.F.R. § 2638.308(e)(2).			N/A	N/A	
8.8	• SES and Equivalent. <i>See</i> 5 C.F.R. § 2638.308(e)(3).			11%	89%	
	Percentage of confidential filers and certain other employees who completed annual ethics training before the end of the calendar year. <i>See</i> 5 C.F.R. § 2638.307(a)(d).					
8.9	• Employees required to file an annual confidential financial disclosure report. <i>See</i> 5 C.F.R. § 2638.307(a)(1).			N/A	100%	
8.10	• Employees appointed by the President. <i>See</i> 5 C.F.R. § 2638.307(a)(2).			N/A	N/A	
8.11	• Employees of the Executive Office of the President. <i>See</i> 5 C.F.R. § 2638.307(a)(2).			N/A	N/A	
8.12	• Contracting officers described in 41 U.S.C. § 2101. <i>See</i> 5 C.F.R. § 2638.307(a)(3).			N/A	N/A	
8.13	• Other employees designated by the head of the agency. <i>See</i> 5 C.F.R. § 2638.307(a)(4).			N/A	N/A	
COMMENTS						
(8.6) USCCR does not have any Executive Schedule Level I and Level II employees. (8.7) USCCR does not have any PAS or equivalent employees who are required to file public financial disclosure reports. (8.8) The administrative head of the agency received live Zoom training, while all other public filers in this category completed interactive ethics training in 2021. (8.10 – 8.13) The USCCR does not have any employees in these categories.						

**ETHICS PROGRAM INSPECTION REPORT**

Agency: U.S. Commission on Civil Rights (USCCR)

Report No.: 22-59I

Date: September 28, 2022

Period Covered by Review: January 1, 2021 through December 31, 2021

**UNITED STATES OFFICE OF  
GOVERNMENT ETHICS**Preventing Conflicts of Interest  
in the Executive Branch**9.0 ETHICS ADVICE AND COUNSELING****COMPLIANCE REQUIREMENT****Yes****No****N/A**9.1 Based on a sample collected by OGE, guidance provided by agency ethics officials to employees appears to be consistent with applicable laws and regulations. *See* 5 C.F.R. § 2638.104(c)(4).☒☐☐**COMMENTS**

None.

**10.0 SPECIAL GOVERNMENT EMPLOYEES (SGE) SERVING ON ADVISORY COMMITTEES AND BOARDS****Public Financial Disclosure**

10.1 Number of SGEs serving on Advisory Committees and Boards.

8

**DATA ANALYSIS****%**10.2 Percentage of sampled public new entrant reports filed timely. *See* 5 C.F.R. § 2634.201(b).

N/A

10.3 Percentage of sampled public annual reports filed timely. *See* 5 C.F.R. § 2634.201(a).

100%

10.4 Percentage of sampled public termination reports filed timely. *See* 5 C.F.R. § 2634.201(e).

N/A

10.5 Percentage of sampled reports reviewed within 60 days of receipt. *See* 5 C.F.R. § 2634.605(a).

86%

10.6 Percentage of sampled reports certified within 60 days of receipt. *See* 5 C.F.R. § 2634.605(a).

86%

**Ethics Training****COMPLIANCE REQUIREMENTS****Yes****No****N/A**Required ethics training must be provided to each SGE. *See* 5 C.F.R. §§ 2638.304 and 2638.307.10.6 The training presentation(s) addressed concepts related to conflicts of interest, impartiality, misuse of position and gifts. *See* 5 C.F.R. § 2638.304(e)(1).☒☐☐10.7 The agency provided employees with either the following written materials or written instruction for accessing them: The summary of the Standards of Conduct distributed by the Office of Government Ethics or an equivalent summary prepared by the agency; provisions of any supplemental agency regulation that the DAEO determines to be relevant or a summary of those provisions; such other written materials as the DAEO determines should be included; instructions for contacting the agency's ethics officials. *See* 5 C.F.R. § 2638.304(e)(2).☒☐☐**DATA ANALYSIS****%**10.8 Percentage of SGEs who received initial ethics training. *See* 5 C.F.R. § 2638.304.

100%

10.9 Percentage of SGEs who received initial ethics training timely. *See* 5 C.F.R. § 2638.304(b)(2).

100%

10.10 Percentage of SGEs who received annual ethics training. *See* 5 C.F.R. § 2638.307(d)(2).

100%

**COMMENTS**

(10.2-10.5) USCCR is headed by eight Commissioners: four appointed by the President and four by Congress. These Commissioners, who serve 6-year terms, are classified as SGEs. In accordance with § 2634.202(c), Commissioners are required to file public financial disclosure reports (new entrant, annual, or termination) if they work more than 60 days in a calendar year. All eight were required to file public reports during 2021.

## ETHICS PROGRAM INSPECTION REPORT

Agency: U.S. Commission on Civil Rights (USCCR)

Report No.: 22-591

Date: September 28, 2022

Period Covered by Review: January 1, 2021 through December 31, 2021

## UNITED STATES OFFICE OF GOVERNMENT ETHICS

Preventing Conflicts of Interest  
in the Executive Branch

### ISSUES IDENTIFIED AND RESOLVED DURING THE INSPECTION

Element	ISSUE
2.2	<p><u>ISSUE:</u> Prior to the start of the inspection, the Commission had not provided OGE with an up-to-date designation for their ADAEO. In response to a request from OGE, the Commission promptly provided an up-to date designation that met applicable requirements.</p> <p><u>AGENCY RESPONSE:</u> This issue has been resolved and USCCR will use best practices moving forward to ensure compliance with OGE regulatory requirements.</p>
3.6	<p><u>ISSUE:</u> The Commission had 28 public financial disclosure reports that were retained beyond the retention period. In response to a request from OGE, the Commission deleted these reports and is now in compliance with retention requirements.</p> <p><u>AGENCY RESPONSE:</u> This issue has been resolved and USCCR will use best practices moving forward to ensure compliance with OGE regulatory requirements.</p>
4.4	<p><u>ISSUE:</u> The Commission had three confidential disclosure reports that exceeded the retention period. In response to a request from OGE, the Commission deleted these reports and is now in compliance with retention requirements.</p> <p><u>AGENCY RESPONSE:</u> This issue has been resolved and USCCR will use best practices moving forward to ensure compliance with OGE regulatory requirements.</p>
5.6 - 5.8	<p><u>ISSUE:</u> The Commission did not have written procedures for issuing notices to prospective employees when OGE began its inspection. The agency drafted procedures during the course of the review that meet all applicable requirements.</p> <p><u>AGENCY RESPONSE:</u> This issue has been resolved and USCCR will use best practices moving forward to ensure compliance with OGE regulatory requirements.</p>
6.5 - 6.7	<p><u>ISSUE:</u> The Commission did not have written procedures for issuing notices to new supervisors when OGE began its inspection. The agency drafted procedures during the course of the review that meet all applicable requirements.</p> <p><u>AGENCY RESPONSE:</u> This issue has been resolved and USCCR will use best practices moving forward to ensure compliance with OGE regulatory requirements.</p>



**ETHICS PROGRAM INSPECTION REPORT**

Agency: U.S. Commission on Civil Rights (USCCR)

Report No.: 22-59I

Date: September 28, 2022

Period Covered by Review: January 1, 2021 through December 31, 2021

**UNITED STATES OFFICE OF  
GOVERNMENT ETHICS**Preventing Conflicts of Interest  
in the Executive Branch**RECOMMENDATIONS**

#	Element	RECOMMENDATION	Compliance Due
1	3.9, 3.10	<p><u>RECOMMENDATION:</u> Ensure public financial disclosure reports are filed timely.</p> <p><u>AGENCY RESPONSE:</u> USCCR's disclosure system, FD Online, sends automated reminders to filers and the DAEO and ADAEO email filers to remind them of upcoming due dates and consequences for not timely filing.</p> <p><u>OGE COMMENT:</u> OGE comment to agency's response, if necessary</p>	
2	5.1, 5.2, 5.4, 5.5	<p><u>RECOMMENDATION:</u> Ensure that all required notices and information are provided to prospective employees and those being appointed to supervisory positions. (E.g., a prospective employee offered a supervisory position that includes a requirement to file annual financial disclosures must be provided with the required notice to prospective employees and the required notice to new supervisors. Those notices would also have to include the information relevant to financial disclosure reporting requirements.)</p> <p><u>AGENCY RESPONSE:</u> On July 21, 2022, at OGE's behest, the DAEO established a new written agencywide policy to notify prospective employee and those being appointed to supervisory positions of all requirements contained in 5 CFR Subpart C, including, but not limited to, §§ 2638.303, 2638.306.</p> <p><u>OGE COMMENT:</u> OGE comment to agency's response, if necessary</p>	
3	6.3	<p><u>RECOMMENDATION:</u> Ensure the required notice to new supervisors is updated to include a hyperlink to a live website containing the Principles of Ethical Conduct.</p> <p><u>AGENCY RESPONSE:</u> On July 21, 2022, at OGE's behest, the DAEO established a new written agencywide policy to notify prospective employee of all requirements contained in 5 CFR Subpart C, including, but not limited to, § 2638.306.</p> <p><u>OGE COMMENT:</u> OGE comment to agency's response, if necessary</p>	