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Office of Inspector General
United States Department of State

ISP-I-20-16

Office of Inspections

June 2020

Inspection of U.S. Mission to the United Nations and Other International Organizations in Geneva, Switzerland

BUREAU OF INTERNATIONAL ORGANIZATION AFFAIRS

UNCLASSIFIED



HIGHLIGHTS

Office of Inspector General
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What OIG Inspected

OIG inspected the executive direction, program and policy implementation, resource management, and information management operations of Mission Geneva.

What OIG Recommends

OIG made 20 recommendations: 18 to Mission Geneva, 1 to the Bureau of International Organization Affairs, and 1 to the Bureau of Global Talent Management.

In its comments on the draft report, the Department concurred with 18 recommendations and neither agreed nor disagreed with 2 recommendations. OIG considers all 20 recommendations resolved. The Department's response to each recommendation, and OIG's reply, can be found in the Recommendations section of this report. The Department's formal written responses are reprinted in their entirety in Appendix B.

June 2020

OFFICE OF INSPECTIONS

BUREAU OF INTERNATIONAL ORGANIZATION AFFAIRS

Inspection of U.S. Mission to the United Nations and Other International Organizations in Geneva, Switzerland

What OIG Found

- The Chargé d'Affaires and the acting Deputy Chief of Mission led the U.S. Mission to the United Nations and Other International Organizations in Geneva in a professional and collegial manner.
- The mission lacked documentation to support its 2019 Annual Chief of Mission Management Control Statement of Assurance.
- Mission Geneva and the Bureau of International Organization Affairs did not have shared procedures for promoting and tracking U.S. citizen employment at Geneva-based UN and other international organizations.
- Mission Geneva had deficiencies in its procurement program, including unauthorized commitments and poor contract administration. The mission did not complete reviews of blanket purchase agreements as required.
- Although the Information Management Office met customer needs, the mission did not always carry out information security responsibilities, putting the Department of State's information systems at risk of compromise.
- Spotlight on Success: The mission effectively integrated staff from all agencies represented at post, reflecting a "whole of government" approach to humanitarian, economic, and health issues.
- Spotlight on Success: A disarmament-focused exchange program, jointly organized by the U.S. missions in Geneva and Vienna, was a successful example of multilateral missions working together to advance shared policy goals.

CONTENTS

CONTEXT	1
Mission Organization and Staffing	2
EXECUTIVE DIRECTION	4
Tone at the Top and Standards of Conduct	4
Execution of Foreign Policy Goals and Objectives	4
Adherence to Internal Controls.....	5
Security and Emergency Planning.....	6
Equal Employment Opportunity Program	7
Developing and Mentoring Foreign Service Professionals	7
POLICY AND PROGRAM IMPLEMENTATION	7
Mission Policy Sections	8
Public Diplomacy	11
RESOURCE MANAGEMENT	13
General Services Operations.....	13
Facilities Management	16
Human Resources	17
Employee Association	18
INFORMATION MANAGEMENT	18
Information Management Operations.....	19
Records Management.....	21
RECOMMENDATIONS	22
PRINCIPAL OFFICIALS	28
APPENDIX A: OBJECTIVES, SCOPE, AND METHODOLOGY.....	29
APPENDIX B: MANAGEMENT RESPONSES	30
ABBREVIATIONS	37
OIG INSPECTION TEAM MEMBERS	38

CONTEXT

Geneva is home to more than 100 United Nations (UN) agencies and international organizations, as well as more than 170 diplomatic missions. The United States engages with these multilateral institutions through its Mission to the UN and Other International Organizations. The mission's principal institutional counterparts, along with the United States' direct contributions to each entity, are shown in Table 1, below. As the top donor to most of these entities, the United States enjoys excellent access to their senior leadership on operational, planning, and policy issues. However, because Geneva is one of the world's most expensive locales, the mission is challenged to constrain costs while maintaining active engagement on U.S. priorities with the many multilateral institutions located there.

Mission Geneva supports a sizeable visitor load that frequently includes cabinet-level and other senior officials attending a wide range of multilateral and bilateral meetings. The mission received nearly 17,000 visitors in 2018, of whom 10,000 were official U.S. delegates.

The mission last updated its 3-year Integrated Country Strategy in 2014.¹ In its FY 2021 Mission Resource Request, submitted in April 2019, Mission Geneva stated its overarching goals were to: 1) support reform at the Geneva-based UN agencies by maintaining U.S. influence and oversight of budgets and management controls; and 2) advance U.S. economic, security, human rights, global health, and humanitarian objectives through the Geneva-based UN agencies.

Table 1: U.S. Direct Contributions to Geneva-Based International Organizations

Recipient	FY 2018 Obligations (\$000)
International Committee of the Red Cross	476,200
International Federation of Red Cross and Red Crescent Societies	32,470
International Impartial and Independent Mechanism for Syria Accountability	348
International Labour Organization	110,373
International Organization for Migration	543,115
International Telecommunication Union	17,810
International Union for the Protection of New Varieties of Plants	283
Joint United Nations Programme on HIV/AIDS	11,353
Office of the United Nations High Commissioner for Human Rights	16,655
Office of the United Nations High Commissioner for Refugees	1,587,201
The Global Fund to Fight AIDS, Tuberculosis, and Malaria	925,000
United Nations Institute for Training and Research	629
United Nations Office for Disaster Risk Reduction	500
World Health Organization	392,701

¹ The Department advised the mission to defer submission of an Integrated Country Strategy until the arrival of a new ambassador. During the inspection, the mission prepared a new strategy draft in anticipation of the Ambassador's arrival in November 2019.

World Intellectual Property Organization	987
World Meteorological Organization	21,625
World Trade Organization	24,616
TOTAL	4,161,877

Source: Bureau of International Organization Affairs.

Mission Organization and Staffing

In FY 2019, Mission Geneva had 243 authorized positions, including 114 U.S. direct hire employees, 119 locally employed (LE) staff, and 10 eligible family members. The U.S. Permanent Representative to the UN, who reports to the Department of State's (Department) Bureau of International Organization Affairs (IO), is the sole designated Chief of Mission in Geneva. Two other U.S. delegations, led by ambassadors with distinct lines of authority, are co-located with the mission. The ambassador to the World Trade Organization leads a 13-person staff (including Departments of Commerce and Agriculture personnel) that reports directly to the U.S. Trade Representative in the Executive Office of the President. The ambassador to the Conference on Disarmament heads a 10-person staff that reports directly to the Department's Bureau of Arms Control, Verification, and Compliance. Mission Geneva provides shared management, security, and public diplomacy support services to the three U.S. delegations, and shared legal support, except to the World Trade Organization delegation, which has its own legal staff. The mission's organizational structure is shown in Figure 1, below.

Given the diverse nature of the multilateral institutions in Geneva, the mission includes personnel from numerous Department bureaus and Federal agencies with specialized technical and programmatic expertise. For example, the mission's Multilateral Economic and Political Affairs Section (MEPA) includes representatives from non-Department agencies including the Department of Health and Human Services, the U.S. Agency for International Development (USAID), and the U.S. Patent and Trademark Office. MEPA also hosted a senior position funded by the Department's Bureau of Near Eastern Affairs to support U.S. participation on the International Syria Support Group task forces on a ceasefire and humanitarian assistance under the auspices of the UN. The incumbent in this position also served as the co-chair of two Syria task forces and worked closely with the UN Office of the Special Envoy for Syria. The mission's Humanitarian Affairs Section, which reports to the Bureau of Population, Refugees and Migration, included a representative from USAID's Office of Foreign Disaster Assistance. The Legal Affairs Section had three officers assigned from the Department's Office of the Legal Adviser.

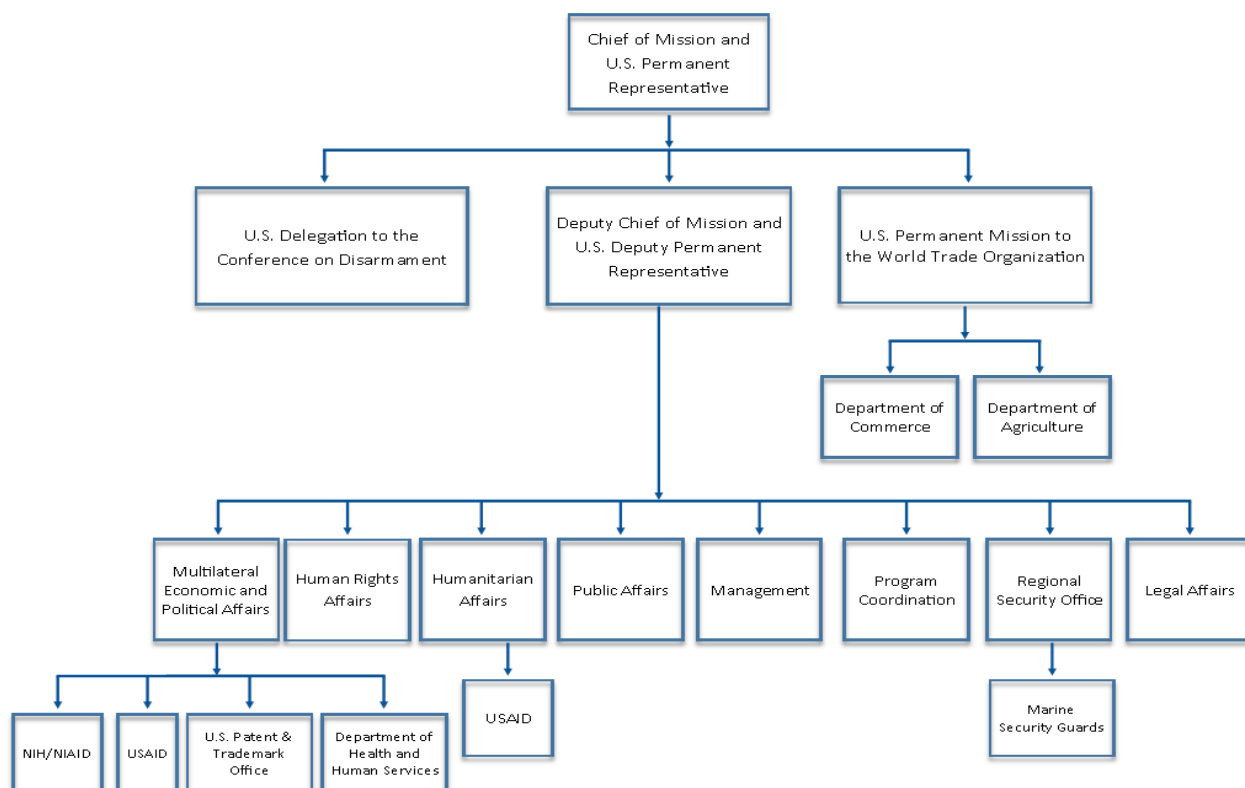
Although the U.S. withdrew from the Geneva-based UN Human Rights Council (UNHRC) in June 2018,² the mission maintained a four-person Human Rights Section to advance U.S. human

² In a joint press briefing, Secretary Pompeo and then-U.S. Ambassador to the UN Haley explained the United States' decision to withdraw from UNHRC. Pompeo cited UNHRC membership that included "some of the world's most serious offenders [of human rights abuses]," such as China, Democratic Republic of the Congo, Saudi Arabia, and Venezuela, and Haley cited the council's "chronic bias" against Israel.

rights priorities. The section did that through continued participation in the Universal Periodic Review, a mechanism that reviews the human rights records of all UN member states.

U.S. Government executive branch employees who work in, or travel to, multilateral institutions in Geneva on official business fall under the authority of Mission Geneva's Ambassador. Other U.S. Government personnel assigned to UN agencies in Geneva, such as the World Health Organization, the UN Joint Programme on HIV/AIDS, and the UN Children's Fund, do not fall under Mission Geneva Chief of Mission authority. They do, however, receive mission support, including security and housing, through the International Cooperative Administrative Support Services (ICASS)³ program. By contrast, U.S. Government staff and official visitors working on bilateral U.S.-Swiss issues fall under the authority of the U.S. Ambassador to Switzerland, based at U.S. Embassy Bern, which provides consular services for all of Switzerland.

Figure 1: Organizational Structure of Mission Geneva



Source: OIG, based on information provided by Mission Geneva.

OIG evaluated the mission's policy implementation, resource management, and management controls consistent with Section 209 of the Foreign Service Act of 1980.⁴ A related classified

³ ICASS, established in 1997, is the principal means by which U.S. Government agencies share the cost of common administrative support services at more than 250 diplomatic and consular posts overseas. Through the ICASS working capital fund, service providers recover the cost of delivering administrative support services to other agencies at overseas missions, in accordance with 6 Foreign Affairs Manual 911 and 6 Foreign Affairs Handbook-5 H-013.2.

⁴ See Appendix A.

inspection report discusses the mission's security program and issues affecting the safety of mission personnel and facilities and certain aspects of policy implementation and the information management program.

EXECUTIVE DIRECTION

OIG assessed Mission Geneva's leadership based on interviews, staff questionnaires, review of documents, and observations of mission meetings and other activities during the on-site portion of the inspection.

Tone at the Top and Standards of Conduct

The Chargé d'Affaires (Chargé), ad interim, although assigned to Mission Geneva as the Deputy Chief of Mission (DCM), assumed the Chargé position upon his arrival in August 2018. A career member of the Senior Foreign Service, he most recently served as Director of the Office of Human Rights and Humanitarian Affairs in the Department's IO Bureau. His previous tours include assignments in Embassies Nairobi, Kenya; Kyiv, Ukraine; Windhoek, Namibia; and Maputo, Mozambique, where he was DCM. This was his second tour in Geneva. The Minister Counselor for Multilateral Economic and Political Affairs, who also assumed the acting DCM position upon his arrival in September 2018, is a career member of the Senior Foreign Service. His previous tours include an assignment as DCM at Embassy Vilnius, Lithuania. A newly confirmed ambassador arrived in November 2019, shortly after the completion of the on-site portion of the inspection.

The Chargé and the acting DCM set a positive, inclusive, and professional tone for the mission, consistent with Department leadership principles in 3 Foreign Affairs Manual (FAM) 1214. Mission staff consistently told OIG both were approachable, solicited input and feedback, and genuinely were concerned about the welfare of the U.S. and LE staff. The Chargé stressed the message "kindness matters" in his introductory meetings with incoming staff—a theme he and the acting DCM modeled in their interactions with the mission community. Staff members credited the Chargé with deepening the working relationship with the co-located U.S. delegations to the Conference on Disarmament and the World Trade Organization. OIG observed mission staff operating in a collegial and professional manner under the Chargé's and acting DCM's leadership. The Chargé demonstrated concern for LE staff interests and morale by listening to their concerns regarding salary and pensions and briefing them on the process by which they are determined.

OIG's review of vouchers for the mission's representational expenses found they complied with Department guidelines. The mission received and recorded gifts in accordance with the Department's guidance in 2 FAM 960.

Execution of Foreign Policy Goals and Objectives

Consistent with Department guidance in 18 FAM 301.2-1 and in the absence of a formal mission Integrated Country Strategy, the Chargé drew on input from Country Team members to identify

objectives aligned with the National Security Strategy and IO's Regional Bureau Strategy. The objectives were countering the influence of malign actors; exercising oversight to improve effectiveness, integrity, and transparency of UN Geneva organizations; and promoting the hiring of U.S. citizens by UN Geneva organizations.

OIG found the Chargé met his responsibilities under 2 FAM 113.1c(1) to represent the interests of the United States in international organizations. He met and communicated frequently with officials of multiple UN organizations and counterparts from other delegations to advance these objectives. His official calendar reflected 492 such events between August 2018 and October 2019, as well as attendance at more than 25 UN-hosted events and 38 national and memorial days. He also hosted 45 events for senior international and U.S. officials during the same timeframe.

Department officials highlighted to OIG the Chargé's expertise in navigating the multilateral environment and his extensive relationships, while mission staff appreciated his support for their work. He made representations to UN officials in support of Israel and Taiwan. Among several mission efforts to isolate and withdraw recognition of the former Maduro regime in Venezuela,⁵ the Chargé hosted events in honor of the Guaidó interim government's representative in Geneva and secured her participation at a mission-hosted event to draw attention to Maduro's human rights abuses. In another example, the Chargé played a constructive role in a U.S. Government effort to refocus the World Health Organization's approach to the 2018 Ebola outbreak in the Democratic Republic of the Congo. In addition, the Chargé and the acting DCM met with senior officials from several Geneva-based multilateral organizations to urge high standards of accountability for misconduct and for whistleblower protection.

Adherence to Internal Controls

OIG found that Mission Geneva's 2019 Annual Chief of Mission Management Control Statement of Assurance did not comply with Department guidance. The statement of assurance, which the mission submitted on August 15, 2019, identified a potential material weakness or significant deficiency regarding the physical security of the mission. However, the mission lacked documentation showing that all units within the mission conducted reviews to identify internal control deficiencies and take corrective action to mitigate vulnerabilities, as required by 2 FAM 022.8c(3) and the Department's Bureau of the Comptroller and Global Financial Services.⁶ OIG determined that some of the internal control issues identified by OIG, as described later in this report, could have been identified had the mission used the checklists included in the comptroller's guidance. Chiefs of mission are responsible for developing and maintaining appropriate systems of internal control for their organization, as described in 2 FAM 022.7.

⁵ The reelection of Nicolas Maduro in May 2018, widely viewed as unconstitutional and fraudulent, led the United States and 53 other countries to recognize National Assembly President, Juan Guaidó, as the constitutional interim President of Venezuela on January 23, 2019.

⁶ Cable 14 STATE 29422, "Your Role in Assuring Strong Management Controls and Oversight Over Embassy Operations," March 18, 2014.

Furthermore, the Government Accountability Office's *Standards for Internal Control in the Federal Government*⁷ requires documentation of internal control reviews and corrective actions. The Chargé did not require sections to submit completed comptroller checklists, nor did he discuss internal control issues with section heads prior to submitting the 2019 statement. Without a documented, comprehensive system of internal controls, the mission is at risk of not managing its activities and programs effectively, efficiently, economically, and with integrity.

Recommendation 1: Mission Geneva should prepare the Annual Chief of Mission Management Control Statement of Assurance in accordance with Department guidance. (Action: Mission Geneva)

Security and Emergency Planning

The Chargé's leadership of the mission's security program was consistent with the President's Letter of Instruction to the previous ambassador, which requires the chief of mission to take full and direct responsibility for the security of the mission and its personnel. To do this, the Chargé chaired the mission's Emergency Action Committee, which reviewed potential risks that could affect the health, safety, and security of mission employees and other U.S. Government personnel seconded to international organizations. The mission submitted to the Department its annual review of the security memorandum of agreement between the chief of mission and the Department of Defense geographic combatant commander, as required by 2 Foreign Affairs Handbook (FAH)-2 H-116.4b. Records OIG reviewed showed the mission conducted emergency drills as required by 12 FAH-1 H-762. The Chargé and the acting DCM both participated in the drills and met regularly with the Regional Security Officer.

During the inspection, OIG found the mission took steps to improve its capacity to respond to emergencies, in accordance with 12 FAH-1 H-720. First, although the mission required all U.S. Government personnel to participate in the monthly checks of the emergency and evacuation radio network, it was unable to accurately determine how many participated because of incomplete records on radio issuances. The mission corrected its records and issued radios as needed during the inspection. OIG reminded the Chargé and the acting DCM that 5 FAH-2 H-732.7a requires all users to actively participate in the testing upon issuance of a hand-held radio, and they agreed to personally follow up with non-participants. After they emphasized to mission employees the importance of radio tests, the mission achieved a 98 percent participation rate on the next test.

Second, the Chargé and the acting DCM agreed with an OIG suggestion to conduct a crisis management exercise, as described in 12 FAH-1 H-763.1b. Based on the mission's actions taken, OIG did not make a recommendation to address these issues.

⁷ Government Accountability Office, *Standards for Internal Control in the Federal Government* (GAO-14-704G, September 2014).

Equal Employment Opportunity Program

OIG determined Mission Geneva's Equal Employment Opportunity (EEO) program complied with Department guidance in 3 FAM 1514.2. The mission posted in its facilities program-related materials, including contact information for its two EEO counselors and one LE staff liaison, a notice regarding sexual and discriminatory harassment, and information on the Federal Women's Program. At the time of the inspection, one Mission Geneva section was experiencing EEO-related issues, which mission leadership, the EEO counselors, the Human Resources Officer, and the immediate supervisors of the involved parties were taking steps to address. Where allegations of possible discrimination or harassment were brought to the attention of the inspection team, the Office of Inspections reported the allegations to OIG's Hotline for review and action, including potential referral to the proper Department entity. As a result, OIG did not make a recommendation to address this issue.

Developing and Mentoring Foreign Service Professionals

The Chargé oversaw the mission's First- and Second-Tour (FAST) employee development program, as directed by 3 FAM 2242.4. FAST employees positively described to OIG the Chargé's and the acting DCM's involvement in the program, including opportunities to accompany the leaders to high level meetings, interact with section heads, and take notes at Country Team meetings. Both leaders briefed FAST employees who had provided talking points for meetings on the outcomes. The Chargé hosted an event for FAST employees and included them in an ambassador-level reception, making sure they mingled with attendees. FAST employees also served as an EEO counselor, as an employee association board member, and as coordinator of a 2-day event with two international organizations to develop technology solutions to combat wildlife trafficking and poaching. OIG advised the Chargé, and he agreed, to engage mid-level officers in mentoring and coaching FAST employees to build the leadership and supervisory skills of the mission's mid-level employees, as suggested in Department guidance.⁸

POLICY AND PROGRAM IMPLEMENTATION

OIG assessed Mission Geneva's policy and program implementation through a review of the mission's four policy sections and its Public Diplomacy Section. OIG found the sections generally met Department requirements. However, OIG found two issues that the mission needed to address—inconsistent reporting and a lack of shared procedures regarding the promotion and tracking of U.S. citizen employment at UN agencies and other international organizations in Geneva. These matters are discussed below. Additional OIG observations on the work of the policy sections and the Public Diplomacy Section are noted below.

⁸ Cable 15 STATE 96434, "Promoting Professional and Leadership Development for Foreign Service Mid-Level Employees," August 14, 2015.

Mission Policy Sections

OIG reviewed section leadership and management, policy implementation, and reporting and advocacy of the Humanitarian Affairs, Human Rights Affairs, MEPA, and Legal Affairs⁹ sections at Mission Geneva. Washington stakeholders expressed satisfaction to OIG for the high quality of the sections' work. In the absence of a mission Integrated Country Strategy, each section used applicable objectives from IO's Regional Bureau Strategy and the Bureau of Population, Refugees, and Migration's Functional Bureau Strategy to direct their efforts.

Mission Lacked a Standard Operating Procedure on Reporting Significant Events

OIG found Mission Geneva lacked a standard operating procedure outlining the requirements for all U.S. Government personnel, based in or traveling to Geneva, to report on policy setting events or technical experts' meetings. As a result, in the 7 months prior to the inspection, OIG found "for the record" reporting on fewer than two-thirds of the events or meetings identified as significant in the MEPA and Humanitarian Affairs Sections' informal weekly reports to Washington.¹⁰ Department standards in 5 FAM 422.2 require official activities to be recorded to the extent necessary to facilitate making decisions and policies. Furthermore, according to 1 FAM 331.1(2), the IO Assistant Secretary provides guidance and support for U.S. Government participation in international organizations and technical agencies. However, OIG found IO also did not establish a standard operating procedure that outlined reporting requirements. While other agencies' personnel may have reported information to their own headquarters through informal channels, the Department's official record of these events was incomplete. Without input from all U.S. agency experts participating in multilateral events, the Department's records may not fully reflect the proceedings. This is particularly true for events where Department personnel do not attend all sessions. The lack of systematic and comprehensive reporting on U.S. participation in significant UN events may result in important information not reaching current and future policy makers.

Recommendation 2: Mission Geneva, in coordination with the Bureau of International Organization Affairs, should implement a standard operating procedure outlining requirements for official record reporting by all U.S. Government personnel participating in multilateral events. (Action: Mission Geneva, in coordination with IO)

Mission, Bureau Lacked Shared Procedure for Promoting, Tracking U.S. Employment at Multilateral Organizations

The mission and IO did not have shared procedures for promoting and tracking U.S. citizen employment at Geneva-based UN and other international organizations, despite both being

⁹ In addition to providing legal support to the mission, the Legal Affairs Section represents the mission on certain human rights committees of independent experts that monitor treaty implementation (also known as treaty bodies). The section also represents the mission in discussions among UN member states to reform the treaty body system.

¹⁰ The Human Rights Affairs Section submitted informal weekly reports only intermittently, and thus OIG omitted the section from its analysis.

involved in the process. OIG found the mission, led by the Chargé, engaged UN agencies at all levels to urge increased U.S. representation in their organizations, as outlined in the IO Regional Bureau Strategy Sub-Objective 3.4.3 to advocate for U.S. leadership and employment in multilateral organizations. OIG found IO also promoted U.S. citizen employment at these organizations but did not always communicate with the mission about its criteria for providing support for, or actions it took regarding, U.S. citizen candidates.

Although Mission Geneva had a standard operating procedure for vetting and advocating for U.S. applicants to these organization, it did not include IO. This absence of shared procedures sometimes created confusion about the U.S. Government's official position with respect to a candidate. OIG also noted these overlapping or conflicting efforts affected the mission's credibility with the organizations involved. Furthermore, despite the mission's close working relationships with the organizations, IO did not involve Mission Geneva in tracking and compiling data on U.S. citizen employment for the bureau's required annual report to Congress.¹¹ This approach proved inefficient since, at the time of the inspection in fall 2019, IO had yet to submit its 2018 report, which was due in June 2019.

Recommendation 3: The Bureau of International Organization Affairs, in coordination with Mission Geneva and the Office of the Legal Adviser, should implement a standard operating procedure for the promotion and efficient tracking of U.S. citizen employment at the United Nations and other international organizations that includes Mission Geneva. (Action: IO, in coordination with Mission Geneva and L)

Mission Effectively Adapted its Work in Support of Human Rights Following Withdrawal From UN Human Rights Council

Following the U.S. Government's withdrawal from UNHRC in June 2018, and the ensuing uncertainty about the mission's role, Mission Geneva effectively adapted its work to support human rights from outside the council. For example, during council sessions in 2019, the mission sponsored or co-sponsored side events to draw attention to human rights abuses in China's Xinjiang province as well in Nicaragua, Syria, and Venezuela. Officials from UN agencies, other diplomatic missions, and civil society organizations attended these events. Working with missions from like-minded governments that remained on the council, the mission helped secure a UNHRC decision to establish a fact-finding team to investigate the status of human rights in Venezuela. The mission's Human Rights Affairs Section also continued to participate in the council's Universal Periodic Reviews of UN member states' human rights practices, a mandate from the UN General Assembly.¹² To prepare for these reviews, which numbered

¹¹ Section 181 of the 1992-1993 Foreign Relations Authorization Act (Public Law 102-138), as amended by Section 308 of the Department of State Authorities Act, FY 2017 (Public Law 114-323), requires the Secretary to submit an annual report to Congress regarding the employment of U.S. citizens in certain international organizations.

¹² U.S. withdrawal from UNHRC did not affect the mission's participation in other Geneva-based human rights mechanisms. In addition to the Universal Periodic Reviews of UN member states' human rights records, the mission continued to work with treaty bodies that monitor implementation of multilateral human rights conventions to which the United States is party. The mission also engaged with certain independent human rights experts on thematic and country-specific issues.

about 40 per year, the section met with civil society representatives and human rights activists in Geneva, as well as with the Office of the High Commissioner for Human Rights. Department stakeholders expressed to OIG their high opinions of the section's engagement, advocacy, and reporting after the withdrawal from UNHRC.

Mission Worked to Improve Accountability, Transparency, and Management of Geneva-Based Organizations

OIG found Mission Geneva had some success in improving the accountability, transparency, and management of Geneva-based multilateral organizations, an IO Regional Bureau Strategy objective.¹³ For example, the mission's advocacy resulted in strengthening the inspector general function and risk management capacities at the UN High Commissioner for Refugees and the International Committee of the Red Cross, as well as effective resolution of employee misconduct at the International Organization for Migration. The mission also advocated for effective protection of whistleblowers,¹⁴ monitored the efforts of the UN Joint Programme on HIV/AIDS to address allegations of workplace harassment, and successfully pressed the International Telecommunications Union and the World Meteorological Organization to hire a shared ethics officer. In addition, the mission was making ongoing efforts to urge the UN Office in Geneva to control costs on its construction project.

Mission Sections Did Not Make Full Use of the On-Site Legal Affairs Staff

Mission Geneva did not make full use of the attorneys assigned to its Legal Affairs Section by the Office of the Legal Adviser. OIG found some sections took advantage of Legal Affairs' support on tasks ranging from negotiating language in international agreements to UN organization oversight. In addition, Legal Affairs staff attended the weekly MEPA staff meeting, which enhanced their awareness of issues that required immediate or future legal advice. However, other sections relied on the Office of the Legal Adviser's Washington staff, even though the mission's Legal Affairs Section could assist locally. Mission leadership agreed with OIG's advice that Legal Affairs staff should regularly attend other mission sections' staff meetings to expand their involvement in the work of all mission sections.

Spotlight on Success: Mission Geneva Adopted a "Whole of Government" Approach

Mission Geneva adopted a "whole of government" approach to staffing arrangements to meet its multifaceted and unique mandate. The mission's staff comprised experts from several Federal agencies, in addition to Department generalists, to represent the United

¹³ To support its efforts, the mission co-chaired the Geneva Group of representatives of 18 governments that provide significant funding to the UN and share an interest in promoting economy, accountability, and transparency.

¹⁴ Mission Geneva supplied material on Geneva-based multilateral organizations to the Department for the Secretary's determinations under Section 7048(a) of the Consolidated Appropriations Act FY 2019 (P.L. 116-6). This section requires withholding 15 percent of U.S. contributions to any UN agency until the Secretary determines that, inter alia, the agency "is effectively implementing and enforcing policies and procedures which reflect best practices for the protection of whistleblowers from retaliation." Appropriations acts have contained similar provisions since 2014. Among Geneva organizations, in 2018, the Government withheld only funds for the World Intellectual Property Organization for non-compliance with section 7048(a).

States to the myriad UN and other international organizations in Geneva. This collaboration contributed to Government efficiency. For example, the co-location of a USAID representative in the Humanitarian Affairs Section reflected the longstanding collaboration between USAID and the Department on humanitarian issues and resulted in effective collaboration on oversight of humanitarian organizations and food aid coordination. More significantly, since 2016, personnel from four Federal agencies (Commerce, USAID, Health and Human Services, and the Department) worked together in a single Multilateral Economic and Political Affairs Section led by two senior Department officers. Personnel from the five specialized units within the section—Intellectual Property Rights, Labor and UN Reform, Peace and Security, Environment-Science-Technology, and Health—coordinated constantly and backstopped each other as U.S. priorities shifted and workloads fluctuated. Department staff appreciated their interagency colleagues’ depth of subject matter expertise. They, in turn, appreciated the Department’s guidance in addressing common political themes, including the need to counter the influence of malign state actors and improve UN governance across Geneva-based institutions. The diversity of the section staff led to the development and delivery of a coordinated U.S. response on these common political themes.

Public Diplomacy

OIG reviewed the Public Diplomacy Section’s strategic planning and reporting, resource and knowledge management, grants administration, and media engagement. Consistent with the narrower and specialized targeted audiences of a multilateral mission, the section oversaw no American Spaces¹⁵ and only a very modest exchange program. OIG found public diplomacy operations were well-focused on mission policy goals and closely integrated with all mission elements. The section also effectively met the media support demands of the mission’s high volume of Washington visitors. During the inspection, OIG worked with section staff to address some grants documentation issues and to ensure the Grants Officer Representative updated his expired certification. OIG’s additional observations are below.

Creative Digital and Video Content Supported the Mission’s Policy Agenda

OIG found the Public Diplomacy Section prioritized digital media with web and social media content that was timely, relevant, and visually appealing. Section leadership gave clear direction to a small but well-trained media team, actively supported by Information Management Section staff. The team creatively employed mobile technologies and a variety of software and cloud-based resources to produce short-form video and other graphic content that supported policy messaging on the mission’s digital outreach platforms. For example, the section supported a human rights-themed event in late June 2019, co-convened by the United States and the European Union, to present testimonies of Syrian female victims of arbitrary arrest and abuse. Using multiple cameras to live-stream the panel discussion, the section then edited the footage with additional supporting visuals to create short multilingual videos that each of the women and other stakeholders could share on their respective social media

¹⁵ American spaces are Department-operated or -supported public diplomacy facilities that host programs and use digital tools to engage foreign audiences in support of U.S. foreign policy objectives.

networks. With its skill at creating video content tailored to different audiences, the section helped the mission reach beyond its core Geneva-based audience to a wider range of relevant influencers—in this case, the Syrian diaspora and human rights activists.

Mission Did Not Compete Public Diplomacy Grant Awards

Mission Geneva did not compete any of its public diplomacy grants awarded during FY 2018 and FY 2019, despite Department guidance directing that grant-making offices and posts generally should conduct open competition for all grants of \$25,000 or more. The section awarded 34 grants totaling just over \$655,000 during that period, of which 10 were \$25,000 or more. OIG found the section's grants complied with formal guidelines because each grant had an appropriate sole source justification. Nevertheless, the Department's Federal Assistance Directive¹⁶ encourages open competition even when a grants officer attests that only one recipient organization is capable of carrying out the program because "open competition demonstrates the Department's commitment to transparency and fairness and often results in applications from new recipients that the bureau or post had not considered." Additionally, the Department considers it a best practice to openly re-compete recurring non-competitive grants every 2 to 3 years to determine if the potential partner organization applicant pool has expanded. OIG advised, and the section agreed, to announce one or more annual Notice of Funding Opportunities tied to its priority policy objectives, following the format and procedures outlined in the directive. The section also agreed to consider dedicating a portion of its available funding for a separate competitive small grants program that could help identify new and varied program partners, something section leadership cited as a persistent challenge in Geneva.

Spotlight on Success: Cooperating Across Multilateral Missions to Advance Shared Policy Goals

While most Public Diplomacy Sections have a limited set of issues and a clear host country audience around which to organize programming, Mission Geneva faces the challenge of how to program on global issues that involve multiple countries. The section found that working with other multilateral missions on a common issue could be a successful way to advance shared policy goals. In 2018, the section partnered with the Delegation to the Conference on Disarmament and the Public Diplomacy Section of the U.S. Mission to International Organizations in Vienna to develop and fund an exchange program focused on nuclear disarmament and related issues. The missions cooperatively selected delegates representing 11 key member states from Geneva and Vienna's respective multilateral disarmament organizations. As part of the program, the group traveled to Washington, New Mexico, and California for a comprehensive introduction to the U.S. approach to nuclear disarmament issues. In their evaluations, participants unanimously praised the "eye-opening" program for giving them a much better understanding of how and why the United States arrives at its policy positions.

¹⁶ The Department's Federal Assistance Directive (version 3, dated 2019) establishes internal guidance, policies, and procedures for all domestic and overseas grant-making bureaus, offices, and posts within the Department when administering Federal financial assistance. See 1 FAM 212.2.

RESOURCE MANAGEMENT

The Management Section is Mission Geneva's largest section, supporting the mission's approximately 243 employees. Except for the Human Resources Officer, who arrived in summer 2018, the section's entire leadership team arrived in summer 2019; the Management Counselor arrived at the end of September. His top priority was to establish work requirements for staff members and delineate responsibilities between the different office heads. OIG reviewed the Management Section's internal control systems in general services, facilities management, human resources, and financial management operations, and found the issues described below.

General Services Operations

Mission Geneva Incurred \$629,968 in Unauthorized Commitments Between 2006 and 2019

Between 2006 and 2019, Mission Geneva incurred unauthorized commitments totaling \$629,968 for fuel and taxi and ridesharing services. According to 14 FAM 215a, an unauthorized commitment occurs when a contractual agreement is not binding to the U.S. Government because the official involved lacked the necessary authority to sign the contract. Generally, only warranted contracting officers, acting within the limits of their warrants or acting upon specific authorization from the Bureau of Administration's Office of the Procurement Executive, may sign acquisition agreements. Unauthorized commitments may result in personal liability for the individual who made the commitment; moreover, vendors may not receive payment for services performed and goods delivered. Department guidance in 14 FAH-2 H-132.1b allows a post's contracting officer to ratify (i.e., approve) unauthorized commitments up to \$1,000; those above \$1,000 must be sent to the Procurement Executive for ratification. Relevant bureaus—in this case, IO—must also approve requests for ratification. The unauthorized commitments occurred due to lack of management oversight and controls. Although the two General Services Officers and the Financial Management Officer had learned that the fuel and service payments had been paid as a utility for years, the officers were unaware that they were procured without an obligating document until OIG brought it to their attention. During the inspection, the office established a procurement mechanism to obtain fuel and taxi and ridesharing services in accordance with Department standards. However, the unauthorized commitments should nonetheless be ratified to avoid potential violations of the Anti-Deficiency Act, to ensure vendors are paid, and to avoid any potential liability of the individuals involved.

Recommendation 4: Mission Geneva, in coordination with the Bureaus of International Organization Affairs and Administration, should ratify unauthorized commitments totaling \$629,968, in accordance with Department standards. (Action: Mission Geneva, in coordination with IO and A)

Mission Did Not Review Blanket Purchase Agreements Annually as Required

Mission Geneva did not conduct required annual reviews of its 46 blanket purchase agreements¹⁷ valued at \$3.7 million. According to Department of State Acquisition Regulation, Section 613.303-6, contracting officers must conduct an annual review to ensure authorized blanket purchase agreement procedures are followed and report the results of the review, including needed corrective action, to the head of the contracting activity. As an example, the mission in September 2019 renewed a blanket purchase agreement to lease computer equipment, but OIG found no evidence staff reviewed the agreement before signing it. In addition, OIG found no solicitation or scope of work that described the terms of the agreement, and no vendor signature on the agreement. Staff told OIG that because the renewal took place at the end of the fiscal year, they did not have enough time to review the agreement to determine whether to solicit other vendors or contact the existing vendor to sign the agreement. Nevertheless, without an annual review, the mission cannot guarantee the integrity of its procurement program or ensure it is obtaining the highest quality goods or services at the most competitive price.

Recommendation 5: Mission Geneva should conduct annual reviews of its blanket purchase agreements in accordance with Department standards. (Action: Mission Geneva)

Contracting Officer's Representatives Program Did Not Comply With Department Standards

Mission Geneva had five contracting officer's representatives (COR) with oversight responsibility of nine contracts, valued at \$9.3 million. OIG reviewed COR files for all nine contracts and found the following issues:

- One COR did not complete the proper training (14 FAH-2 H-143.1).
- CORs did not consistently complete their contracting performance assessments (14 FAH-2 H-142b(21) and Federal Acquisition Regulation 42.1502(a)).
- CORs reviewed invoices but did not always keep a record of them (14 FAH-2 H-142b(15)).

Guidance in 14 FAM 222c(1) and (2) states the COR is the primary individual assigned to monitor a contract and evaluate the contractor's performance, and 14 FAH-2 H-142 outlines those responsibilities, including monitoring the contractor's technical progress and contract-related expenditures. OIG determined the contracting officer did not review the COR files to ensure they contained the required documentation.¹⁸ Despite these issues, the mission provided sufficient information for OIG to assess that the work was completed as required by the contracts. Nonetheless, failure to properly maintain COR files risks the misuse or waste of U.S. Government funds.

¹⁷ A blanket purchase agreement is a simplified method of filling anticipated repetitive needs for supplies or services by establishing "charge accounts" with qualified sources of supply.

¹⁸ Department standards in 14 FAH-2 H-141b(16) state that the contracting officer is responsible for "[e]nsuring that the U.S. Government contract file contents are maintained properly."

Recommendation 6: Mission Geneva should bring its contracting officer's representative program into compliance with Department standards. (Action: Mission Geneva)

Mission Did Not Fully Comply With Department's Motor Vehicle Safety Standards

Mission Geneva did not adhere to the Department's Overseas Motor Vehicle Safety Standards, which require safety training and medical clearances for all drivers and incidental (self-drive) operators. Specifically, of the 132 professional and incidental drivers, 23 lacked safety training and 21 lacked medical clearances. According to 14 FAM 433.4a and 14 FAM 433.5a, the motor vehicle accountable officer is responsible for ensuring that all chauffeurs and incidental drivers are medically certified and complete safety training before they can operate official vehicles. OIG found the mission did not implement controls to ensure that only properly trained and medically cleared drivers operated official vehicles. Insufficient oversight of motor pool operations increases the risk of vehicular accidents that can injure occupants, damage U.S. Government property, and create liability for the mission.

Recommendation 7: Mission Geneva should comply with Department overseas motor vehicle safety training and medical clearance requirements for chauffeurs and incidental drivers. (Action: Mission Geneva)

Some Residential Leases Did Not Meet Department Standards

OIG found that Mission Geneva's leases for several dedicated residences did not comply with Department standards. Specifically, leases for three residences—Marine Security Guard detachment, Ambassador to the Conference on Disarmament, and Ambassador to the World Trade Organization—did not use the Department's model lease, as required by 15 FAM 341.¹⁹ Mission staff told OIG that when the lease agreements came up for renewal, they did not review or modify the terms to align with the model lease. Failure to follow the model lease improperly transfers responsibilities from property owners to the mission and leaves the mission vulnerable to unanticipated costs for residence repairs.

Recommendation 8: Mission Geneva should bring leases for dedicated residences into compliance with Department standards. (Action: Mission Geneva)

Mission's Conference Services Staff Organized Non-Official Events in Violation of U.S. Government Regulations

The mission's Conference Services staff, located within the Management Section, organized non-official events for mission employees using U.S. Government resources in violation of Federal regulations. According to 5 Code of Federal Regulations Sections 2635.704(a) and 2635.705(a), employees may not use Government property or official time for other than

¹⁹ The mission signed the lease for the Marine Security Guard residence in 1983, for the Ambassador to the Conference on Disarmament's residence in 2011, and for the Ambassador to the World Trade Organization's residence in 2008. The Department began requiring use of the model lease in 1996.

authorized purposes. OIG found the mission held 46 non-official events such as birthday parties, brunches, and happy hours in 2018 and 2019. While employees covered the cost of food and beverages, they did not cover the staff member's salaries or the use of mission equipment, for example, for food preparation. ICASS pays Conference Services staff to organize conferences and official representational events. Staff members told OIG the practice began as a way to enhance the morale of mission employees. However, using the Conference Services staff for unofficial events for mission employees is an inappropriate use of Government resources.

Recommendation 9: Mission Geneva should cease the use of Conference Services staff for non-official events in accordance with Government regulations (Action: Mission Geneva)

Facilities Management

Mission Residences Did Not Meet Department Fire Standards

Mission Geneva leased 29 residences in high-rise buildings that did not meet Department fire standards. According to 15 FAM 813.7, apartments in high-rise buildings are required to have at least two means of egress, a fire detection and alarm system, and a building-wide sprinkler system. OIG found that each of the 29 residences failed to comply with at least one of these requirements. Department guidance further states that if, after a search for compliant properties, a mission cannot find any that meet minimal equivalency fire standards, the chief of mission or the deputy chief of mission may make an informed decision and lease the property despite noncompliance with Department standards. However, OIG found that the mission did not conduct the required search to identify residences that meet fire standards before the acting DCM signed fire waivers to allow the residences to be occupied. Failure to comply with these standards raises the risk of injury and property damage in a fire.

Recommendation 10: Mission Geneva, in coordination with the Bureau of Overseas Buildings Operations, should establish a corrective action plan to either mitigate the risk at existing residences or relocate employees to residences that meet Department fire standards. (Action: Mission Geneva, in coordination with OBO)

Unauthorized Use of Shipping Containers for Storage

Mission Geneva used 12 shipping containers for storage in lieu of a warehouse and 1 as a locker room for local guards, contrary to Department standards. Cable 18 STATE 98976²⁰ states the Department does not support the use of shipping containers to accommodate functional space needs such as storage or locker space, unless approved by the Bureau of Overseas Buildings Operations. OIG found no evidence of bureau approval. Although previously unaware of the requirement, the mission during the inspection reported the shipping containers to the bureau and was awaiting a response. Therefore, OIG did not make a recommendation to address this issue.

²⁰ Cable 18 STATE 98976, "Shipping Containers and Portable Structure Use and Occupancy Requirement," September 27, 2018.

Mission Safety, Health, and Environmental Management Program Did Not Fully Comply With Department Standards

OIG identified elements of Mission Geneva's safety, health and environmental management program that did not comply with Department standards. First, the Post Occupational Safety and Health Officer did not perform the required annual inspection of all office work areas and semi-annual inspections of "increased-risk"²¹ work areas and operations, as required by 15 FAM 962. Additionally, the Assistant Post Occupational Safety and Health Officer, the primary person responsible for conducting inspections, last attended training in 2013, despite a 15 FAM 931b requirement to complete training every 5 years. OIG determined that they were unaware of these requirements. Failure to follow safety, health, and environmental management requirements risks harm to personnel.

Recommendation 11: Mission Geneva should bring the safety, health, and environmental management program into compliance with Department standards. (Action: Mission Geneva)

Human Resources

Local Compensation Plan Did Not Comply With Swiss Labor Law

The mission's local compensation plan did not comply with Swiss labor law or reflect prevailing practice, as required by 3 FAM 7224.2-1a. Specifically, the mission did not define eligibility requirements for an annual bonus or determine how it was to be paid. Furthermore, the plan's annual bonus amount did not comply with Swiss law. Separately, the Bureau of Global Talent Management (formerly the Bureau of Human Resources) Office of Overseas Employment told OIG several other provisions, such as the mission's LE staff health insurance plan and the local leave plan, needed to be incorporated into the local compensation plan.

Guidance in 3 FAM 7224.2-1a requires LE staff programs to conform as closely as possible to local law and customs but be administered in accordance with U.S. laws and regulations. Section management told OIG they were unaware these provisions in Swiss labor law had not been addressed in the local compensation plan. Without an accurate local compensation plan, LE staff may not receive benefits to which they are entitled.

Recommendation 12: Mission Geneva, in coordination with the Bureau of Global Talent Management, should update its local compensation plan to comply with Government of Switzerland labor law in accordance with Department standards. (Action: Mission Geneva, in coordination with GTM)

²¹ According to 15 FAM 962e, an increased-risk work area is a workplace or environment with a high potential for mishaps or occupational illnesses, including activities involving machines, electrical or electronic functions, construction, maintenance, and repair.

Locally Employed Staff Did Not Have Disability Insurance Plan

Mission Geneva did not have a disability insurance plan for its LE staff, even though employer-provided disability insurance is a prevailing practice in Switzerland. According to 3 FAM 7523(3), revisions to local compensation plans may become necessary based on prevailing practice to incorporate newly authorized benefits. The mission was aware of the need to supply disability insurance for its LE staff and in February 2019 submitted a request to the Bureau of Global Talent Management Office of Overseas Employment for approval to proceed with a solicitation for an insurance provider. At the time of the inspection, the mission had yet to receive a response. Because disability coverage had not been incorporated into the local compensation plan, LE staff were not receiving a benefit that was prevailing practice in Switzerland and had to pay for their own disability insurance.

Recommendation 13: The Bureau of Global Talent Management should respond to Mission Geneva's request to implement a disability insurance plan for locally employed staff. (Action: GTM)

Employee Association

Employee Association Board Did Not Provide Sufficient Oversight

The mission's American Government Employee Association board did not sufficiently oversee the association's operations. OIG found the board did not conduct monthly cash counts of monies collected from sales at the association's shop or unannounced inventory spot checks, as required by 6 FAM 531d. In addition, OIG found some accounting errors in the association's records. The association had a cumulative net loss of \$30,119 as of December 31, 2018, and continued to lose money in 2019. For the 3-month period ending September 2019, the association had a net loss of \$4,387. According to 6 FAM 531.4, employee associations must operate using sound business practices while providing goods and services to their members at a fair price. Pricing must allow for a profit margin that enables the organization to maintain solvency and ensure that its activities exist for future members. OIG determined the board did not designate board members to conduct the required cash counts and inventory checks. The board's failure to exercise adequate oversight in the financial management and operation of the employee association puts its assets and operations at risk and could lead to further loss of income and potential closure of the association.

Recommendation 14: Mission Geneva should direct the American Government Employee Association board to meet its oversight responsibilities, in compliance with Department standards. (Action: Mission Geneva)

INFORMATION MANAGEMENT

OIG reviewed Mission Geneva's information management (IM) operations, including classified, unclassified, and dedicated internet network computer operations; classified communications security; emergency communications preparedness; radio and telephone programs; mail and

pouch services; and records management. During the course of the inspection, OIG advised staff on issues related to employee training for handling personally identifiable information; shared and users' folders access control; emergency and evacuation radio issuance processes; telephone passwords and maintenance log management; incident response standard operating procedures; and media storage and classification markings. OIG found the section met customers' needs and implemented most required information management and security controls in accordance with Department policies and applicable laws throughout the mission, with the exceptions noted below and in the related classified report.

Information Management Operations

Information Systems Security Officers Did Not Perform All Duties

The mission's unclassified and classified Information Systems Security Officers (ISSO) did not perform all information systems security duties as required in 12 FAM 613.4. For example, the ISSOs did not scan user emails and folders and section folders or monitor the dedicated internet network. OIG determined mission ISSOs audited only 16 of the 265 workstations from August 2018 to July 2019. OIG also found unapproved hardware and software operating on the dedicated internet network. Furthermore, ISSOs were unaware, until OIG brought it to their attention, that two leased copier machines in the Management Section and mailroom were connected to the dedicated internet network without the approval of a local IT Configuration Control Board, contrary to 5 FAM 862.1. OIG previously addressed the non-performance of ISSO duties across the Department and issued a management assistance report²² in May 2017 that highlighted widespread failures to perform ISSO duties. In a subsequent cable,²³ the Bureau of Information Resource Management requested that embassy management work with ISSOs to ensure performance of their duties by prioritizing resources to make sure that cybersecurity needs were met and documented. Previous and current mission information management officers did not provide adequate oversight to ensure the ISSOs performed their duties. Failure to perform required ISSO responsibilities leaves Department networks vulnerable to potential unauthorized access and malicious activity.

Recommendation 15: Mission Geneva should require Information Systems Security Officers to perform their duties in accordance with Department guidance. (Action: Mission Geneva)

Leasing Non-U.S. Government Computer Equipment Created Security Vulnerabilities

Mission Geneva leased computer equipment, such as laptops and desktops, for visiting U.S. Government representatives without considering security requirements. According to 12 FAH-10 H-342.3-1(1)(a), management needs to assure the protection of U.S. Government information from unauthorized access when acquiring technology services. Mission Geneva's leasing arrangement prevented IM staff from meeting this requirement because the staff did not have direct control of the equipment. Section staff told OIG they had not considered the IT

²² OIG, *Management Assistance Report: Non-Performance of Information Systems Security Officer Duties by Overseas Personnel* (ISP-17-24, May 2017).

²³ Cable 17 STATE 104970, "Documenting Information Systems Security Officer (ISSO) Duties," October 18, 2017.

vulnerabilities associated with this arrangement until OIG brought it to their attention. Using computer equipment that is not within the control of mission IM staff creates the potential for loss of integrity and confidentiality of U.S. Government information.

Recommendation 16: Mission Geneva should stop leasing computer equipment for visiting officials. (Action: Mission Geneva)

Local Information Technology Configuration Control Board Did Not Perform Duties as Required

Mission Geneva established a local IT Configuration Control Board as required by 5 FAM 862.1, to ensure that hardware, software, or network components installed on the mission's computer networks did not adversely affect the existing IT infrastructure. However, OIG found the board did not consistently review, approve, document, or report locally installed hardware and software in iMATRIX,²⁴ as required by 5 FAM 862.1c. As a result, OIG found locally procured hardware and software on the mission's IT networks that was being used without board review and approval. Additionally, the board did not develop or implement lifecycle management processes to continually monitor the hardware and software on the mission's IT networks. Thus, the mission did not regularly dispose of older hardware or perform patch management. Without consistently identifying and controlling hardware and software operating on the mission's networks, IM managers could not ensure information and network security.

Recommendation 17: Mission Geneva should require its local Information Technology Configuration Control Board to comply with Department standards. (Action: Mission Geneva)

Information Technology Contingency Planning Did Not Meet Department Standards

Mission Geneva did not complete and annually test the mission's classified and unclassified IT contingency plans, as required by 12 FAH-10 H-232.3-1b(1-3). Department guidelines require management to develop and test IT contingency plans annually for effectiveness and to determine the mission's readiness to execute them during unplanned system outages or disruptions. IM staff did not plan time for updating and testing the plans. Inadequate contingency planning and testing prevents section managers from mitigating the risk of system and service disruptions.

Recommendation 18: Mission Geneva should complete information technology contingency plans for the unclassified and classified networks and test the plans in accordance with Department standards. (Action: Mission Geneva)

²⁴ iMATRIX is the Department's tool for organizing and tracking its IT investments, projects, and assets, including services, systems, and products.

Information Technology Contingency Plan Training Not Conducted

Because Mission Geneva did not have classified and unclassified IT contingency plans, it also did not conduct the required initial and annual refresher IT contingency training for employees with those responsibilities. According to 12 FAH-10 H-232.2-1, management must ensure that such training is delivered to employees based on their roles and responsibilities as defined in the IT contingency plans. Failure to meet these requirements impedes the mission's ability to effectively respond to unplanned systems outages or disruptions.

Recommendation 19: Mission Geneva should implement a plan to conduct initial and annual refresher information technology contingency training for employees with information technology contingency planning responsibilities. (Action: Mission Geneva)

Records Management

Records Management Program Did Not Comply With Department Standards

Mission Geneva's records management program did not comply with Department standards in 5 FAH-4 H-215.3 and 5 FAM 433 for records oversight and retirement. OIG found the mission did not retire program and principal officers' records on schedule. Additionally, the records coordinator officer did not update the mission's records management policy to reflect July 2019 revisions to the Department's guidance. Furthermore, the officer did not delegate records management responsibility to each section, as required by 5 FAH-4 H-215.3-2b. OIG found the records management officer did not receive formal records management training, nor did he provide guidance and training to other personnel. Without a records management program that complies with Department standards, the mission is vulnerable to inefficient information retrieval and potential loss of critical documentation.

Recommendation 20: Mission Geneva should implement a records management program that complies with Department standards. (Action: Mission Geneva)

RECOMMENDATIONS

OIG provided a draft of this report to Department stakeholders for their review and comment on the findings and recommendations. OIG issued the following recommendations to Mission Geneva, the Bureau of International Organization Affairs, and the Bureau of Global Talent Management. The Department's complete responses can be found in Appendix B.¹ The Department also provided technical comments that were incorporated into this report, as appropriate.

Recommendation 1: Mission Geneva should prepare the Annual Chief of Mission Management Control Statement of Assurance in accordance with Department guidance. (Action: Mission Geneva)

Management Response: In its April 30, 2020, response, Mission Geneva concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that the Annual Chief of Mission Management Control Statement of Assurance was prepared in accordance with Department guidance.

Recommendation 2: Mission Geneva, in coordination with the Bureau of International Organization Affairs, should implement a standard operating procedure outlining requirements for official record reporting by all U.S. Government personnel participating in multilateral events. (Action: Mission Geneva, in coordination with IO)

Management Response: In its April 30, 2020, response, Mission Geneva concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation of a standard operating procedure outlining requirements for official record reporting by all U.S. Government personnel participating in multilateral events.

Recommendation 3: The Bureau of International Organization Affairs, in coordination with Mission Geneva and the Office of the Legal Adviser, should implement a standard operating procedure for the promotion and efficient tracking of U.S. citizen employment at the United Nations and other international organizations that includes Mission Geneva. (Action: IO, in coordination with Mission Geneva and L)

¹ OIG faced delays in completing this work because of the COVID-19 pandemic and resulting operational challenges. These challenges included the inability to conduct most in-person meetings, limitations on our presence at the workplace, difficulty accessing certain information, prohibitions on travel, and related difficulties within the agencies we oversee, which also affected their ability to respond to our requests.

Management Response: In its April 30, 2020, response coordinated with Mission Geneva, the Bureau of International Organization Affairs concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation of a standard operating procedure for the promotion and efficient tracking of U.S. citizen employment at the United Nations and other international organizations that includes Mission Geneva.

Recommendation 4: Mission Geneva, in coordination with the Bureaus of International Organization Affairs and Administration, should ratify unauthorized commitments totaling \$629,968, in accordance with Department standards. (Action: Mission Geneva, in coordination with IO and A)

Management Response: In its April 30, 2020, response, Mission Geneva concurred with this recommendation. The mission noted that vendors for diplomatic tax-free fuel, local taxi, and ridesharing have been fully paid for the periods in question from 2006 to 2019. Additionally, the mission noted that with all commitments paid, the Office of the Procurement Executive indicated that historical ratification (including back to 2006 for the diplomatic tax-free fuel program) would be unusual and operationally unnecessary, as all invoices have already been paid. Mission Geneva reported that it would document total payments made without appropriate obligating documents and actions it has taken to ensure the fuel, taxi, and ridesharing programs are and will remain compliant with Department standards.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts that Mission Geneva documented total payments made without obligating documents and actions it has taken to ensure fuel, taxi, and ridesharing programs comply with Department standards.

Recommendation 5: Mission Geneva should conduct annual reviews of its blanket purchase agreements in accordance with Department standards. (Action: Mission Geneva)

Management Response: In its April 30, 2020, response, Mission Geneva concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that annual reviews of Mission Geneva's blanket purchase agreements were conducted in accordance with Department standards.

Recommendation 6: Mission Geneva should bring its contracting officer's representative program into compliance with Department standards. (Action: Mission Geneva)

Management Response: In its April 30, 2020, response, Mission Geneva concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Mission Geneva's contracting officer's representative program complies with Department standards.

Recommendation 7: Mission Geneva should comply with Department overseas motor vehicle safety training and medical clearance requirements for chauffeurs and incidental drivers. (Action: Mission Geneva)

Management Response: In its April 30, 2020, response, Mission Geneva concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Mission Geneva complies with Department overseas motor vehicle safety training and medical clearance requirements for chauffeurs and incidental drivers.

Recommendation 8: Mission Geneva should bring leases for dedicated residences into compliance with Department standards. (Action: Mission Geneva)

Management Response: In its April 30, 2020, response, Mission Geneva concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that leases for dedicated Mission Geneva residences comply with Department standards.

Recommendation 9: Mission Geneva should cease the use of Conference Services staff for non-official events in accordance with Government regulations (Action: Mission Geneva)

Management Response: In its April 30, 2020, response, Mission Geneva concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Mission Geneva ceased the use of Conference Services staff for non-official events in accordance with Government regulations.

Recommendation 10: Mission Geneva, in coordination with the Bureau of Overseas Buildings Operations, should establish a corrective action plan to either mitigate the risk at existing residences or relocate employees to residences that meet Department fire standards. (Action: Mission Geneva, in coordination with OBO)

Management Response: In its April 30, 2020, response, Mission Geneva concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Mission Geneva established a corrective action plan to either mitigate the risk at existing residences or relocate employees to residences that meet Department fire standards.

Recommendation 11: Mission Geneva should bring the safety, health, and environmental management program into compliance with Department standards. (Action: Mission Geneva)

Management Response: In its April 30, 2020, response, Mission Geneva concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Mission Geneva's safety, health, and environmental management program complies with Department standards.

Recommendation 12: Mission Geneva, in coordination with the Bureau of Global Talent Management, should update its local compensation plan to comply with Government of Switzerland labor law in accordance with Department standards. (Action: Mission Geneva, in coordination with GTM)

Management Response: In its April 30, 2020, response, Mission Geneva neither agreed nor disagreed with this recommendation. However, the mission noted its plan has been reviewed by local legal counsel and the Bureau of Global Talent Management and, other than the issue of the short-term disability insurance plan, was found to comply with Swiss law and prevailing practice.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Mission Geneva's local compensation plan complies with Government of Switzerland labor law, in accordance with Department standards.

Recommendation 13: The Bureau of Global Talent Management should respond to Mission Geneva's request to implement a disability insurance plan for locally employed staff. (Action: GTM)

Management Response: In its May 29, 2020, response, the Bureau of Global Talent Management concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that the Bureau of Global Talent Management responded to Mission Geneva's request to implement a disability insurance plan for locally employed staff.

Recommendation 14: Mission Geneva should direct the American Government Employee Association board to meet its oversight responsibilities, in compliance with Department standards (Action: Mission Geneva)

Management Response: In its April 30, 2020, response, Mission Geneva concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Mission Geneva directed the American Government Employee Associate board to meet its oversight responsibilities, in compliance with Department standards.

Recommendation 15: Mission Geneva should require Information Systems Security Officers to perform their duties in accordance with Department guidance. (Action: Mission Geneva)

Management Response: In its April 30, 2020, response, Mission Geneva concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Mission Geneva's Information Systems Security Officers performed their duties in accordance with Department guidance.

Recommendation 16: Mission Geneva should stop leasing computer equipment for visiting officials. (Action: Mission Geneva)

Management Response: In its April 30, 2020, response, Mission Geneva neither agreed nor disagreed with this recommendation. However, the mission noted it suspended leasing computer equipment for visiting officials while awaiting further guidance from the Bureau of Information Resource Management and International Organization Affairs. The mission indicated it is concerned that, in the absence of post oversight in the process for providing contracted IT equipment, visiting delegations will use of hotel business centers or other publicly available IT resources, which would potentially pose greater information security vulnerabilities than using equipment leased from post.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Mission Geneva stopped leasing computer equipment for visiting officials or that it followed guidance provided by the Bureau of Information Resource Management and International Organization Affairs.

Recommendation 17: Mission Geneva should require its local Information Technology Configuration Control Board to comply with Department standards. (Action: Mission Geneva)

Management Response: In its April 30, 2020, response, Mission Geneva concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Mission Geneva's local Information Technology Configuration Control Board complies with Department standards.

Recommendation 18: Mission Geneva should complete information technology contingency plans for the unclassified and classified networks and test the plans in accordance with Department standards. (Action: Mission Geneva)

Management Response: In its April 30, 2020, response, Mission Geneva concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Mission Geneva completed and tested its information technology contingency plans for unclassified and classified networks.

Recommendation 19: Mission Geneva should implement a plan to conduct initial and annual refresher information technology contingency training for employees with information technology contingency planning responsibilities. (Action: Mission Geneva)

Management Response: In its April 30, 2020, response, Mission Geneva concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Mission Geneva implemented a plan to conduct initial and annual refresher information technology contingency training for appropriate employees.

Recommendation 20: Mission Geneva should implement a records management program that complies with Department standards. (Action: Mission Geneva)

Management Response: In its April 30, 2020, response, Mission Geneva concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Mission Geneva implemented a records management program that complies with Department standards.

PRINCIPAL OFFICIALS

Title	Name	Arrival Date
Chiefs of Mission¹		
Chargé d’Affaires, <i>ad interim</i>	Mark Cassayre	08/2018
Acting Deputy Chief of Mission	Howard Solomon	09/2018
Heads of Delegation		
Ambassador to the Conference on Disarmament	Robert Wood	07/2014
Ambassador to the World Trade Organization	Dennis Shea	03/2018
Chiefs of Sections		
Management	Martin Hohe	09/2019
Human Rights Affairs	Daniel Kronenfeld	07/2019
Multilateral Economic and Political Affairs	Seneca Johnson, Acting	08/2019
Humanitarian Affairs	Tressa Finerty	08/2017
Legal Affairs	James Bischoff	08/2018
Public Affairs	Joseph Kruzich	09/2019
Regional Security	Terrie Lora	07/2018

Source: Generated by OIG from data provided by Mission Geneva.

¹ These were the leaders in place at the time of the inspection. Immediately following the on-site portion of the inspection in November 2019, the newly confirmed Ambassador, Andrew Bremberg, arrived at the mission. Mark Cassayre reverted to Deputy Chief of Mission, and Howard Solomon reverted to chief of Multilateral Economic and Political Affairs.

APPENDIX A: OBJECTIVES, SCOPE, AND METHODOLOGY

This inspection was conducted from September 3 to December 23, 2019, in accordance with the Quality Standards for Inspection and Evaluation, as issued in 2012 by the Council of the Inspectors General on Integrity and Efficiency, and the Inspector's Handbook, as issued by the Office of Inspector General (OIG) for the Department and the U.S. Agency for Global Media (USAGM).

Objectives and Scope

The Office of Inspections provides the Secretary of State, the Chief Executive Officer of USAGM, and Congress with systematic and independent evaluations of the operations of the Department and USAGM. Inspections cover three broad areas, consistent with Section 209 of the Foreign Service Act of 1980:

- **Policy Implementation:** whether policy goals and objectives are being effectively achieved and U.S. interests are accurately and effectively represented; and whether all elements of an office or mission are being adequately coordinated.
- **Resource Management:** whether resources are being used and managed with maximum efficiency, effectiveness, and economy; and whether financial transactions and accounts are properly conducted, maintained, and reported.
- **Management Controls:** whether the administration of activities and operations meets the requirements of applicable laws and regulations; whether internal management controls have been instituted to ensure quality of performance and reduce the likelihood of mismanagement; and whether instances of fraud, waste, or abuse exist and whether adequate steps for detection, correction, and prevention have been taken.

Methodology

In conducting inspections, OIG uses a risk-based approach to prepare for each inspection; reviews pertinent records; circulates surveys and compiles the results, as appropriate; conducts interviews with Department and on-site personnel; observes daily operations; and reviews the substance of the report and its findings and recommendations with offices, individuals, and organizations affected by the review. OIG uses professional judgment, along with physical, documentary, testimonial, and analytical evidence collected or generated, to develop findings, conclusions, and actionable recommendations.

APPENDIX B: MANAGEMENT RESPONSES



THE PERMANENT MISSION
OF THE
UNITED STATES OF AMERICA
TO THE
UNITED NATIONS AND OTHER INTERNATIONAL ORGANIZATIONS
IN GENEVA

April 30, 2020

UNCLASSIFIED

THRU: IO – Acting Assistant Secretary Pamela D. Pryor
TO: OIG – Sandra Lewis, Assistant Inspector General for Inspections
FROM: U.S. Mission Geneva – Ambassador Andrew Bremberg

SUBJECT: Response to Draft OIG Report – Inspection of Mission Geneva

U.S. Mission Geneva thanks the Office of the Inspector General (OIG) for the opportunity to review the draft report from its inspection of Mission Geneva in October 2019. The Mission has reviewed the draft and offers the following comments with respect to the recommendations provided by OIG:

OIG Recommendation 1: Mission Geneva should prepare the Annual Chief of Mission Management Control Statement of Assurance in accordance with Department guidance. (Action: Mission Geneva)

Management Response: Post concurs with the recommendation and has established a standard operating procedure (SOP) for the annual assessment to ensure it is conducted in accordance with Department guidance.

OIG Recommendation 2: Mission Geneva, in coordination with the Bureau of International Organization Affairs, should implement a standard operating procedure outlining requirements for official record reporting by all U.S. Government personnel participating in multilateral events. (Action: Mission Geneva, in coordination with IO)

Management Response: Post concurs and has established a standard operating procedure (SOP) for reporting and coordinated with the IO Bureau to address the recommendation using the following model. USUN Geneva will formally report, or work with Washington-based

delegations to formally report, on all significant UN meetings where the United States is a participant to ensure a full diplomatic record. Control officers will ensure that heads of delegations understand that they, working with the Mission, are responsible for ensuring there is a formal diplomatic record of negotiations. Technical-level meetings may be reported through section weekly updates, which are sent via record emails, or front-channel cables as appropriate. Meetings with UN principals, or discussions that have a direct bearing on U.S. policy, will be reported via front-channel cable. If visiting delegations handle their own reporting they are responsible for abiding by the same guidelines and Post will coordinate with the IO Bureau to ensure reporting is done accordingly.

Recommendation 3: The Bureau of International Organization Affairs, in coordination with Mission Geneva and the Office of the Legal Adviser, should implement a standard operating procedure for the promotion and efficient tracking of U.S. citizen employment at the United Nations and other international organizations that includes Mission Geneva. (Action: IO, in coordination with Mission Geneva and L)

Management Response: The Bureau of International Organization Affairs (IO) and Mission Geneva concur with OIG Recommendation 3. IO is currently working in coordination with Mission Geneva and the Office of the Legal Adviser (L) to draft and implement a standard operating procedure for the promotion and efficient tracking of U.S. citizen employment at the United Nations and other international organizations. IO and Mission Geneva have already taken steps to improve coordination with IO on high-level candidate advocacy through regular communication and standardized tracking.

Recommendation 4: Mission Geneva, in coordination with the Bureau of International Organization Affairs and Administration, should ratify unauthorized commitments totaling \$629,968, in accordance with Department standards. (Action: Mission Geneva, in coordination with IO and A)

Management Response: Post concurs and has initiated action to address the recommendation. As indicated in the narrative for Recommendation 4, Mission Geneva has since established appropriate procurement mechanisms for fuel, taxi, and ridesharing services. Subsequent to the OIG inspection and following the guidance in 14 FAH-2, As authorized by the Office of the Procurement Executive (A/OPE) on November 27, 2019, post ratified commitments to pay \$6,300 in outstanding September-October 2019 invoices for fuel service. Also following 14-FAH-2, Post ratified outstanding commitments under \$1,000 for taxi services. Post then paid its remaining 2019 ridesharing invoices based on documented Contracting Officer direction of the commitment and an appropriate U.S. government purchase order. Following these actions, vendors for diplomatic tax-free fuel, local taxi, and ridesharing have been fully paid for the periods in question spanning 2006-2019. With all commitments paid, the Office of the Procurement Executive indicated that historical ratification (including back to 2006 for the diplomatic tax-free fuel program) would be unusual and operationally unnecessary, as all invoices have already been paid. Mission Geneva, in keeping with the purpose of the recommendation, will draft a Record Email to the OIG with copies to the EUR-IO Executive Director and the Office of the Procurement Executive documenting: (1) total payments made by

Post without appropriate obligating documents in place; and (2) actions Post has taken to ensure the fuel, taxi, and ridesharing programs are and will remain fully compliant.

Recommendation 5: Mission Geneva should conduct annual reviews of its blanket purchase agreements in accordance with Department standards. (Action: Mission Geneva)

Management Response: Post concurs and completed action to resolve the recommendation. Post has reviewed and updated all current Blanket Purchase Agreements and will conduct annual reviews as required.

Recommendation 6: Mission Geneva should bring its contracting officer's representative program into compliance with Department standards. (Action: Mission Geneva)

Management Response: Post concurs and has completed action to address the recommendation. All current Contracting Officer Representatives at Post have current documented training, and the previously untrained employee no longer handles COR duties. Beginning November 2019, Post added one experienced Procurement Agent whose portfolios include tracking COR certifications and training.

Recommendation 7: Mission Geneva should comply with Department overseas motor vehicle safety training and medical clearance requirements for chauffeurs and incidental drivers. (Action: Mission Geneva)

Management Response: Post concurs and has completed action to address the recommendation. Post verifies the driver's license, driving-specific health certification from Post's Health Unit, and current Smith System defensive driver training for all chauffeurs and incidental drivers.

Recommendation 8: Mission Geneva should bring leases for dedicated residences into compliance with Department standards. (Action: Mission Geneva)

Management Response: Post concurs and has initiated action to address the recommendation. Regarding the lease for the Conference on Disarmament Ambassador's residence, the lease is pending renewal with the Bureau of Overseas Building Operations (OBO) but the landlord has agreed to sign the Department's lease with a start date of October 1, 2020. With respect to the USTR Ambassador's residence, L/BA advised post that USTR has its own authority to sign leases and post cannot compel it to use the model lease. Post will request that USTR consider using the Department's model lease, recognizing this is a decision USTR will make. For the Marine Security Guard Quarters lease, the State of Geneva has refused to sign the model lease. Post has informed OBO of this decision and requested guidance. N.B. - the Mission has leased this property from the State of Geneva since 1982.

Recommendation 9: Mission Geneva should cease the use of Conference Services staff for nonofficial events in accordance with Government regulations (Action: Mission Geneva)

Management Response: Post concurs and has initiated action to address the recommendation. Mission Geneva has prepared a management policy outlining how Conference Services staff are only permitted to support representational and other qualifying official events. As an additional management control, a U.S. Direct Hire employee in the General Services Office will conduct regular reviews of all events to ensure they comply with the new policy.

Recommendation 10: Mission Geneva, in coordination with the Bureau of Overseas Buildings Operations, should establish a corrective action plan to either mitigate the risk at existing residences or relocate employees to residences that meet Department fire standards. (Action: Mission Geneva, in coordination with OBO)

Management Response: Post concurs with this recommendation. The Mission is terminating leases for non-compliant residences as they are vacated and post will eliminate non-compliant properties from the portfolio as compliant properties become available for lease.

Recommendation 11: Mission Geneva should bring the safety, health, and environmental management program into compliance with Department standards. (Action: Mission Geneva)

Management Response: Post concurs with this recommendation and has initiated action to resolve it. The maintenance supervisor and Facilities Manager have completed a thorough inspection of the Chancery. When the official data call comes out through Global Maintenance Management System (GMMS), it will be completed in a timely manner. The Assistant Post Occupational Safety and Health Officer (APOSHO) is signed up for POSHO assistant training this year; however, this training has been delayed by the current COVID-19 restrictions.

Recommendation 12: Mission Geneva, in coordination with the Bureau of Global Talent Management, should update its local compensation plan to comply with Government of Switzerland labor law in accordance with Department standards. (Action: Mission Geneva, in coordination with DGT)

Management Response: Post welcomes GTM/OE input on post's local compensation plan. The current plan has been reviewed by local legal counsel and GTM/OE and other than the open issue of short term disability, it was found in compliance with Swiss law and prevailing practice.

Recommendation 13: The Bureau of Global Talent Management should respond to Mission Geneva's request to implement a disability insurance plan for locally employed staff. (Action: DGT)

Management Response: Post concurs with the recommendation and looks forward to working with GTM/OE.

Recommendation 14: Mission Geneva should direct the American Government Employee Association board to meet its oversight responsibilities, in compliance with Department standards (Action: Mission Geneva)

Management Response: Post concurs and has completed action to address the recommendation. Management and the American Government Employee Association (AGEA) Board have taken action to correct deficiencies in oversight. The Board conducts monthly cash counts of monies collected from sales at the association's shop, with hard copies in the AGEA office and electronic copies on the shared drive. Unannounced inventory spot checks are being conducted on a monthly basis, with hard copies saved by the AGEA Manager in the office. Moreover, the AGEA Manager received extensive training from the previous Assistant Management officer on the accounting system to prevent future errors.

Recommendation 15: Mission Geneva should require Information Systems Security Officers to perform their duties in accordance with Department guidance. (Action: Mission Geneva)

Management Response: Post concurs and has completed action to address the recommendation. Information Systems Security Officer (ISSO) duties are being performed by ISSOs, documented and up to date. ISSOs have created a baseline for hardware and software and all approvals are up to date. The copiers mentioned in the OIG's report are no longer connected to the DIN.

Recommendation 16: Mission Geneva should stop leasing computer equipment for visiting officials. (Action: Mission Geneva)

Management Response: Post has suspended leasing of computer equipment for visiting officials while we seek further guidance from IRM and EUR-IO/EX. Post is concerned that in the absence of post oversight in the process for providing contracted IT equipment, visiting delegations will make use of hotel business centers or other publicly available IT resources, which would potentially pose greater information security vulnerabilities than using equipment leased from post.

Recommendation 17: Mission Geneva should require its local Information Technology Configuration Control Board to comply with Department standards. (Action: Mission Geneva)

Management Response: Post concurs and has completed action to address the recommendation. The Information Technology Configuration Control Board (ITCCB) charter has been revised and includes all of the relevant members to approve hardware and software properly. Moreover, ITCCB decisions are being properly documented. Old software has been removed and old hardware has been disposed of.

Recommendation 18: Mission Geneva should complete information technology contingency plans for the unclassified and classified networks and test the plans in accordance with Department standards. (Action: Mission Geneva)

Management Response: Post concurs and has completed action to address the recommendation. Contingency plans have been updated for both the unclassified and classified networks. Testing still needs to take place. Priority will be given to testing and to

formulating contingency plans once post returns to normal operations following the COVID-19 crisis.

Recommendation 19: Mission Geneva should implement a plan to conduct initial and annual refresher information technology contingency training for employees with information technology contingency planning responsibilities. (Action: Mission Geneva)

Management Response: Post concurs and has initiated action to address the recommendation. Contingency plan testing will be performed as soon as we are back to normal operations following lifting of the COVID-19 restrictions. Personnel will be trained during contingency plan testing.

Recommendation 20: Mission Geneva should implement a records management program that complies with Department standards. (Action: Mission Geneva)

Management Response: Post concurs and has initiated action to address the recommendation. Records management schedules are being maintained by the IPC. IPC conducted training for Office Managers and other relevant personnel on records management requirements, and will conduct future training on a periodic basis as new personnel arrive at the Mission. Front Office records management was completed and electronic and paper files were sent to Washington for retirement. Other offices retired records according to their agency requirements. Capstone persons were updated and verified by Washington. IPC will organize records management training as soon as post returns to normal operations.

To conclude, I wish to thank Ambassador Prahar and the OIG team for the careful manner in which it conducted the inspection of Mission Geneva. For any future inquiries or follow-up, the point of contact for this memorandum is Management Counselor Martin Hohe.

Bureau of Global Talent Management

Response to OIG Inspection Report of U.S. Mission to the UN and International Organizations in Geneva

ISP-I-20-16

Recommendation 12: Mission Geneva, in coordination with the Bureau of Global Talent Management, should update its local compensation plan to comply with Government of Switzerland labor law in accordance with Department standards. (Action: Mission Geneva, in coordination with DGT)

Management Response (5/29/2020): GTM/OE is not aware of any pending formal requests for LCP revisions based on law. It has always been the policy of GTM/OE that post is required to notify OE whenever there is a change in the local law that directly impact LE Staff and may warrant a revision to the Mission LCP. In this case, post has not notified OE of the need for all necessary LCP revisions. GTM/OE will therefore take the necessary action and reach out to post to initiate the LCP revisions. Upon receipt of the necessary legal documentation from post management, OE will work with post to update post's local compensation plan as appropriate.

Recommendation 13: The Bureau of Global Talent Management should respond to Mission Geneva's request to implement a disability insurance plan for locally employed staff. (Action: DGT)

Management Response (5/29/2020): GTM concurs with the recommendation. GTM/OE authorized the necessary benefit levels (20 STATE 42096), and post should proceed to solicit competitive proposals from local insurance carriers on a short term "income replacement" disability plan for Locally Employed Staff. Upon completion of the procurement process and selection of a vendor, post must notify OE and A/OPE so the necessary authorization of the new contract will be sent.

ABBREVIATIONS

COR	Contracting Officer's Representative
DCM	Deputy Chief of Mission
EEO	Equal Employment Opportunity
FAH	Foreign Affairs Handbook
FAM	Foreign Affairs Manual
FAST	First- and Second-Tour
IM	Information Management
IO	Bureau of International Organization Affairs
ISSO	Information Systems Security Officer
LE	Locally Employed
MEPA	Multilateral Economic and Political Affairs Section
UNHRC	UN Human Rights Council
USAID	U.S. Agency for International Development

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