

Spring Inspection Cycle Addendum to Work Plan Fiscal Years 2021-2022



Office of Inspector General
United States Department of State

OIG-ERM-21-02

Contents

| | |
|---|---|
| OIG Work Planning Process | 1 |
| Office of Inspections..... | 2 |
| Office of Overseas Contingency Operations Oversight | 6 |
| Appendix A: Abbreviations and Definitions | 7 |

OIG Work Planning Process

OIG assesses relative risks in the programs for which it has oversight authority. OIG does so to identify areas most in need of attention and, accordingly, to set priorities for the sequence and proportion of resources to be allocated. This work plan identifies the projects, priorities, and initiatives that will support OIG's ability to achieve its strategic goals and objectives through Fiscal Year (FY) 2022 by the following:

- Providing independent products and services that promote integrity and positive change.
- Engaging stakeholders to conduct effective oversight and addressing Department and USAGM priorities and challenges.
- Strengthening OIG's workforce and internal operations.

Work planning is a dynamic process, and adjustments are made throughout the year to meet priorities and to anticipate and respond to emerging issues by utilizing the available resources. The projects and plans presented here are contingent upon availability of funds, budget decisions, and priorities and are, therefore, subject to revision.

For inspections planned for Fall 2020 and Winter 2021, as well as other planned OIG work for FYs 2021-2022, please refer to OIG's previously published Work Plan for FYs 2021-2022, found here: <https://www.stateoig.gov/reports/strategic-and-work-plans/>

SPRING INSPECTION CYCLE ADDENDUM TO THE FY 2021-2022 WORK PLAN

Typically, the Office of Inspections' (ISP) annual planning process results in a full fiscal year of scheduled inspections. However, ISP is planning inspections on a rolling basis due to uncertainties caused by the COVID-19 pandemic. ISP will continue to assess evolving guidance related to the COVID-19 pandemic to plan for FY 2022 and beyond, as appropriate.

Office of Inspections

The Office of Inspections (ISP) is comprised of multidisciplinary teams responsible for carrying out OIG's mandate to inspect overseas missions and domestic entities of the Department and USAGM. Inspections are conducted to provide the Department with independent assessments that 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, whether U.S. interests are being 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; whether instances of fraud, waste, or abuse exist; and whether adequate steps for detection, correction, and prevention have been taken.

ISP reviews a variety of factors to create and implement a multi-tiered system for planning and conducting inspections. ISP seeks to target the Department's most significant vulnerabilities and to make its inspections as effective and efficient as possible. ISP's approach for planning overseas inspections incorporates factors that provide information on major functions at posts, including physical and information security, consular operations, and management platforms. In its inspection planning, ISP also considers the Department's major management and performance challenges:

- Protection of people and facilities
- Oversight of contracts, grants, and foreign assistance
- Information security and management
- Financial and property management
- Operating in contingency and critical environments
- Workforce management
- Promoting accountability through internal coordination and clear lines of authority

PLANNED INSPECTIONS FOR THE FY 2021 SPRING INSPECTION CYCLE

| Agency/Bureau | Project Title | Initiation Date |
|--|--|-----------------|
| Bureau of Administration (A) | <p><i>Inspection of the Bureau of Administration, Office of the Executive Director</i></p> <p>The Bureau of Administration, Office of the Executive Director (A/EX) is one of the largest administrative offices in the Department. A/EX manages the Department’s Working Capital Fund, supports human resources services for clients within and outside the bureau, and oversees the development of major IT systems. Staffed by 199 employees and contractors, A/EX manages annual funding of more than \$500 million. The preliminary objective of this inspection is to determine whether A/EX carried out its financial management, human resources, and IT functions consistent with requirements of law and regulation.</p> | Spring 2021 |
| Under Secretary for Civilian Security, Democracy, and Human Rights (J) | <p><i>Inspection of the Office to Monitor and Combat Trafficking in Persons</i></p> <p>The Office to Monitor and Combat Trafficking in Persons (TIP) leads the Department’s efforts to combat modern slavery through increasing global prosecution of traffickers, protection of victims, and prevention of trafficking. TIP also oversees the production of the Trafficking in Persons report which includes tier rankings that assess foreign governments’ levels of effort to address human trafficking. An Ambassador-at-Large leads TIP. The office has 62 direct-hire staff and manages an annual budget of about \$61 million in foreign assistance funding. The preliminary objectives of this inspection are to determine whether TIP: (1) effectively achieved policy goals and objectives related to trafficking issues; and (2) carried out its foreign assistance and operational functions consistent with requirements of law and regulation.</p> | Spring 2021 |

| Agency/Bureau | Project Title | Initiation Date |
|--|--|-----------------|
| Bureau of East Asian and Pacific Affairs (EAP) | <p><i>Inspection of the Office of East Asian and Pacific Affairs</i></p> <p>The Bureau of East Asia and Pacific Affairs (EAP) is responsible for the planning, coordination, and implementation of policy decisions, public diplomacy activities, and administrative support to the overseas missions in the 31 countries in its geographic region. EAP's Assistant Secretary directs 209 domestic staff and oversees the administration of the bureau's \$1.3 billion budget, which consists of operational and foreign assistance funding. The preliminary objectives of this inspection are to determine whether EAP: (1) effectively achieved policy goals and objectives; and (2) carried out its policy implementation, public diplomacy, and administrative functions consistent with requirements of law and regulation.</p> | Spring 2021 |
| Bureau of Diplomatic Security (DS) | <p><i>Inspection of the Bureau of Diplomatic Security, Office of Protection</i></p> <p>The Bureau of Diplomatic Security, Office of Protection (DS/DO/P) manages and directs protective security for the Secretary, other official representatives of the United States, and visiting foreign dignitaries. DS/DO/P also coordinates U.S. Government resources related to security for major international events, such as the Olympics and international conferences. DS/DO/P has 126 staff and an annual budget of nearly \$60 million. The preliminary objective of this inspection is to determine whether DS/DO/P carried out its protection and administrative functions consistent with requirements of law and regulation.</p> | Spring 2021 |
| Bureau of Consular Affairs (CA) | <p><i>Inspection of the Bureau of Consular Affairs, Office of Consular Systems and Technology Compliance Follow-Up Review</i></p> <p>The mission of the Bureau of Consular Affairs, Office of Consular Systems and Technology (CA/CST) is to design, develop, and deploy consular systems, databases, and infrastructure, including modernization efforts to update and integrate consular operations. CA/CST maintains many legacy systems which are functioning well beyond their designed lifespan. OIG inspected the Bureau of Consular Affairs, Office of</p> | Spring 2021 |

| Agency/Bureau | Project Title | Initiation Date |
|--|---|-----------------|
| | <p>Consular Systems and Technology (CA/CST) in 2016. The preliminary objective of this inspection is to determine whether CA fully implemented the recommendations in the December 2016 inspection report (ISP-I-17-04) and, if not, what further steps must CA take to fully meet the intent of the recommendations.</p> | |
| Bureau of European Affairs (EUR) | <p><i>Inspection of U.S. Consulate General Curacao</i></p> <p>The objectives for this inspection are to assess the Consulate General’s policy implementation, resource management, and management controls. OIG intends to conduct the inspection remotely.</p> | Spring 2021 |
| EUR | <p><i>Inspection of Embassy Luxembourg, Luxembourg</i></p> <p>The objectives for this inspection are to assess the embassy’s policy implementation, resource management, and management controls. OIG intends to conduct the inspection remotely.</p> | Spring 2021 |
| EUR | <p><i>Inspection of Embassy Reykjavik, Iceland</i></p> <p>The objectives for this inspection are to assess the embassy’s policy implementation, resource management, and management controls. OIG intends to conduct the inspection remotely.</p> | Spring 2021 |
| Bureau of Western Hemisphere Affairs (WHA) | <p><i>Inspection of Embassy Asuncion, Paraguay</i></p> <p>The objectives for this inspection are to assess the embassy’s policy implementation, resource management, and management controls. OIG intends to conduct the inspection remotely.</p> | Spring 2021 |

Office of Overseas Contingency Operations Oversight

OIG has joint responsibility to oversee current and future overseas contingency operations (OCOs) under Section 8L of the IG Act, which provides for designation of a lead inspector general (Lead IG) for each OCO from among the inspectors general of the Department of Defense (DoD), the Department, and the U.S. Agency for International Development (USAID).

OIG's Office of Overseas Contingency Operations Oversight collaborates with DoD and USAID Offices of Inspector General, and coordinates OCO oversight planning and execution within OIG to fulfill joint Lead IG responsibilities. As of October 2020, there are two OCOs requiring Lead IG oversight: Operation Inherent Resolve to defeat the Islamic State of Iraq and Syria (ISIS) in those two nations and Operation Freedom's Sentinel to train, advise, and assist Afghan security forces and conduct counterterrorism missions against the remnants of al-Qaeda, ISIS, and other terrorist groups in Afghanistan. Lead IG activities in support of each OCO include (1) joint strategic planning to provide comprehensive oversight of all OCO-related programs and operations; (2) program management to track, monitor, and update OCO-related information; and (3) collaboration to collect and analyze interagency information and prepare quarterly reports for Congress on the whole-of-government effort in support of each OCO.

The three Offices of Inspector General conduct joint and individual audits, inspections, evaluations, and investigations to provide independent, effective oversight of all programs and operations of the U.S. Government that support each OCO. OIG also inspects leadership, policy implementation, and resource management at overseas embassies and domestic bureaus related to OIG's Lead IG oversight mandate.

Specific projects planned for the FY 2021 spring inspection cycle in support of OIG's OCO oversight mission are, to the extent permissible in an unclassified setting, listed in the table below. The listed projects are described in more detail in the preceding pages of this addendum.

Planned FY 2021 Spring Inspection Cycle OIG Oversight Activities in Support of the Lead IG OCO Oversight Mandate

- Inspection of the Bureau of Administration, Office of the Executive Director
- Inspection of the Office to Monitor and Combat Trafficking in Persons
- Inspection of the Bureau of Diplomatic Security, Office of Protection
- Inspection of the Bureau of Consular Affairs, Office of Consular Systems and Technology Compliance Follow-Up Review

Appendix A: Abbreviations and Definitions

| Identifier | Definition |
|-------------------|---|
| A | Bureau of Administration |
| AUD | Office of Audits |
| CA | Bureau of Consular Affairs |
| CST | Office of Consular Systems and Technology |
| Department | Department of State |
| DoD | Department of Defense |
| DS | Bureau of Diplomatic Security |
| EAP | Bureau of East Asian and Pacific Affairs |
| ESP | Evaluations and Special Projects |
| EUR | Bureau of European Affairs |
| FY | Fiscal Year |
| INV | Office of Investigations |
| ISIS | Islamic State of Iraq and Syria |
| ISP | Office of Inspections |
| J | Under Secretary for Civilian Security, Democracy, and Human Rights |
| OCO | Overseas Contingency Operations |
| OIG | Office of Inspector General |
| TIP | Office to Monitor and Combat Trafficking in Persons |
| USAGM | U.S. Agency For Global Media (Formerly the Broadcasting Board of Governors) |
| USAID | U.S. Agency For International Development |
| WHA | Bureau of Western Hemisphere Affairs |



HELP FIGHT

FRAUD, WASTE, AND ABUSE

1-800-409-9926
stateoig.gov/HOTLINE

If you fear reprisal, contact the
OIG Whistleblower Coordinator to learn more about your rights.
WPEAOmbuds@stateoig.gov