

UNCLASSIFIED



Office of Inspector General
United States Department of State

ISP-I-20-09

Office of Inspections

January 2020

Inspection of Embassy Pretoria and Constituent Posts, South Africa

BUREAU OF AFRICAN AFFAIRS

UNCLASSIFIED



HIGHLIGHTS

Office of Inspector General
United States Department of State

ISP-I-20-09

What OIG Inspected

OIG inspected the executive direction, program and policy implementation, the President's Emergency Plan for AIDS Relief program, and resource management operations of Embassy Pretoria. The inspection included Consulates General Cape Town, Durban, and Johannesburg.

What OIG Recommended

OIG made 21 recommendations: 20 to Embassy Pretoria and 1 to the Office of the U.S. Global AIDS Coordinator and Health Diplomacy.

In its comments on the draft report, the Department concurred with 20 recommendations and neither agreed nor disagreed with 1 recommendation. OIG considers all 21 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.

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What OIG Found

- The Chargé d'Affaires and acting Deputy Chief of Mission led Mission South Africa in a professional and collaborative manner, promoting unity of effort and enlisting the three Consuls General to advance U.S. interests.
- The mission's \$730 million program to implement the President's Emergency Plan for AIDS Relief was hindered by interagency conflicts and implementation challenges, putting the success of the program at risk.
- The Front Office supported Equal Employment Opportunity (EEO) principles and implemented all EEO program requirements, but OIG found several pockets in the mission where employees reported behavior that did not meet Department of State standards for EEO and civility in the workplace.
- The mission developed its Integrated Country Strategy through a logical and inclusive process but did not track its implementation.
- Although the Front Office conducted the required Statement of Assurance on internal controls, OIG found many long-standing deficiencies that needed attention.
- The Political and Economic Sections provided valuable reporting but could better link their work to the Integrated Country Strategy.
- Consular operations across the mission did not adhere to several basic consular management controls, and one consulate general did not perform any of its consular crisis preparedness duties.
- The mission did not meet Department standards for managing furniture, other property, supplies, and motor pool operations.
- Basic information technology needs were being met by the information management staff, but staff did not complete key security duties, which increased the risk of data loss or breaches.

CONTENTS

CONTEXT	1
EXECUTIVE DIRECTION	3
Tone at the Top and Standards of Conduct	3
Equal Employment Opportunity and Workplace Civility	4
Execution of Foreign Policy Goals and Objectives	4
Adherence to Internal Controls.....	6
Security and Emergency Planning.....	7
Developing and Mentoring Foreign Service Professionals	7
POLICY AND PROGRAM IMPLEMENTATION	8
Political and Economic Sections.....	8
Public Diplomacy.....	10
President’s Emergency Plan for AIDS Relief.....	13
Consular Affairs	17
RESOURCE MANAGEMENT	21
Human Resources.....	21
General Management and General Services	21
Financial Management.....	25
Information Management.....	25
RECOMMENDATIONS	29
PRINCIPAL OFFICIALS	35
APPENDIX A: OBJECTIVES, SCOPE, AND METHODOLOGY.....	36
APPENDIX B: MANAGEMENT RESPONSES	37
ABBREVIATIONS	46
OIG INSPECTION TEAM MEMBERS	47

CONTEXT

South Africa is a multi-racial southern African country with a population of approximately 55 million. The country is twice the size of Texas and has extensive coastlines on both the Atlantic and Indian Oceans. After a long history of racial division, including the system of apartheid, South Africa held its first multi-racial election in 1994. Since then, the governing African National Congress party has struggled to address apartheid-era imbalances in housing, education, and health care. Other key problems include public corruption and widespread violent crime.

U.S. bilateral relations with South Africa are both extensive and challenging. There are strong ties between businesses, universities, cultural and research institutions, and non-governmental organizations based on shared values and common interests. However, the United States and South Africa differ frequently over foreign policy issues. For example, South Africa often opposes U.S. positions in international forums such as the United Nations, abstaining from votes or siding with China and Russia. Government-to-government relations have been difficult at times because some South African Government officials have lingering disaffection toward the U.S. Government based on some U.S. policies during the apartheid era. As a result, Embassy Pretoria's access to senior officials within the South African Government and ruling party is limited. However, the relationship remains important because of South Africa's influence throughout the continent due to its political, trade, and investment ties, and its active role within the African Union. The current President, Cyril Ramaphosa, took office in February 2018 and replaced Jacob Zuma, who was forced to resign after numerous corruption scandals. Ramaphosa is trying to put South Africa on a new course to reduce corruption and improve governance, and he was re-elected in May 2019.

South Africa has the largest, most diversified, and highly industrialized economy in Africa. It is a middle-income emerging market with an abundant supply of natural resources and well-developed financial, legal, communications, energy, and transport sectors. Its stock exchange is the largest in Africa and among the top 20 in the world. In recent years, South Africa experienced economic swings and faced challenges, including unemployment, poverty, inequality, and labor unrest. Notwithstanding these challenges, South Africa's relative stability and economic growth have attracted refugees from nearby countries.

As the largest export market for U.S. goods in sub-Saharan Africa, South Africa has the greatest potential for growth of U.S. exports and investments. U.S. trade with South Africa totaled an estimated \$18.9 billion in 2018, with exports and services supporting an estimated 46,000 American jobs. In 2018, U.S.-South African trade—both exports and imports—consisted of \$14.0 billion in goods, with a U.S. trade deficit, and \$4.9 billion in services, with a U.S. trade surplus. In 2017, U.S. direct investment in South Africa was \$7.3 billion, and South Africa's direct investment in the United States was \$4.1 billion.

Mission South Africa's Integrated Country Strategy (ICS) was completed in August 2018 and included strategic goals to:

- Counter transnational threats and foster American security.
- Promote prosperity and good governance.
- Advance public health, human rights, and dignity.

The mission's ICS also had management goals to develop a well-trained and well-motivated staff and ensure well-maintained, safe, and efficient workplaces. In December 2018, the White House issued the President's Africa Strategy, which, like Mission South Africa's ICS, called for strengthening security and promoting prosperity and good governance in South Africa.

South Africa has received billions of dollars in U.S. foreign aid, most of which is devoted to addressing AIDS and other health challenges. More than 7 million people in South Africa are HIV-positive. To address this need, the United States funds the President's Emergency Plan for AIDS Relief (PEPFAR). South Africa is the largest bilateral recipient of PEPFAR funds in the world. From FY 2004 to 2018, the United States has contributed more than \$6.2 billion to address HIV/AIDS challenges in South Africa. South Africa's status as a regional economic and transportation hub means that South Africa's HIV challenges also affect neighboring countries, amplifying the importance of PEPFAR and related efforts.

The U.S. mission in South Africa consists of the embassy in Pretoria and consulates general in Cape Town, Durban, and Johannesburg. At the time of the inspection, the mission had 372 Department of State (Department) and other Federal agency U.S. direct-hire staff, 28 eligible family members, and 695 locally employed (LE) staff. Other Federal agencies at the mission included the Departments of Agriculture, Commerce, Defense, Health and Human Services, Homeland Security, and Justice; the U.S. Agency for International Development (USAID); the Peace Corps; the U.S. Agency for Global Media; the U.S. Trade and Development Agency; and the Overseas Private Investment Corporation. These other agencies accounted for 168 (45 percent) of U.S. direct-hire staff and 316 (45 percent) of LE staff at the mission. Mission South Africa also hosted regional offices of the Department, primarily in Pretoria and Johannesburg, and the mission and these regional offices provided support to neighboring missions in Lesotho and Eswatini, as well as in several other African countries.

OIG evaluated the embassy's policy implementation, resource management, and management controls consistent with Section 209 of the Foreign Service Act of 1980.¹ A related classified inspection report discusses the mission's security program, issues affecting the safety of mission personnel and facilities, and sensitive findings related to the information management program. Finally, another classified inspection report discusses security and safety issues related to the consulate general in Durban.

¹ See Appendix A.

EXECUTIVE DIRECTION

OIG assessed leadership on the basis of interviews, staff questionnaires, and OIG's review of documents and observations of meetings and activities during the course of the on-site inspection.

Tone at the Top and Standards of Conduct

At the time of the inspection, there was no accredited U.S. ambassador to South Africa. The Chargé d'Affaires (Chargé), a career member of the Senior Foreign Service, arrived in July 2016 as the Deputy Chief of Mission (DCM), after an assignment as Executive Assistant and Chief of Staff to the Under Secretary for Civilian Security, Human Rights, and Democracy. She assumed the Chargé role in December 2016. The acting DCM, also a career Foreign Service officer, arrived in August 2018 after a tour as the DCM in Doha, Qatar.

The Chargé and the acting DCM set a positive leadership tone. They led Mission South Africa in a professional and collaborative manner consistent with the Department's leadership principles in 3 Foreign Affairs Manual (FAM) 1214. Embassy senior staff, including the heads of other agencies, told OIG that the Chargé and acting DCM complemented each other's management style, which facilitated interagency communication. The Chargé, supported by the acting DCM, encouraged coordination and teamwork in Country Team meetings, as well as in meetings about specific topics. The Chargé and acting DCM echoed these themes of coordination and teamwork to the entire mission community through quarterly town hall meetings that rotated from the embassy and the three consulates general.

OIG also found that both the Chargé and acting DCM were highly regarded by mission staff. Staff credited the Chargé with being enthusiastic, highly capable, and hardworking, which encouraged cooperation in securing strengthened engagement. Staff commended the Chargé's handling of the challenges felt by all staff during the December 2018 to January 2019 lapse in appropriations, when the Chargé showed her concern for staff well-being by making personal calls to maintain contact. Staff told OIG they viewed the acting DCM as thoughtful, engaged, and a good listener, which proved useful in encouraging greater interagency cooperation on cross-cutting issues, such as assessing the embassy's alignment with the President's Strategy for Africa. Staff responses to both OIG's personal questionnaire and OIG's interviews indicated that they viewed both the Chargé and the acting DCM as role models for integrity and ethical behavior.

Despite the generally positive assessments of the Front Office's performance, OIG saw the need for the acting DCM to provide more oversight of mission management issues. Staff reported that the acting DCM was very involved in mediating interagency conflict in the PEPFAR program which, as discussed later in the report, demanded much of his attention. OIG also found the Front Office leadership could do more to monitor and address unhealthy workplace behaviors in the embassy and consulates general (also discussed later in the report). Finally, OIG found several long-term management challenges—ranging from weak internal controls to security and safety issues in Pretoria and Durban—that required more Front Office oversight and

intervention. OIG noted that the Chargé and acting DCM attended many of the same meetings, which limited the time available for the acting DCM to oversee internal embassy operations. OIG advised the Chargé and acting DCM to work on rebalancing their schedules to leave more time for the acting DCM to oversee mission-wide operations. At the time of the inspection, a permanent appointee was scheduled to arrive and assume DCM duties full time in summer 2019—a situation that might also bring more focus to certain long-standing management issues.

Equal Employment Opportunity and Workplace Civility

OIG found that the embassy's formal Equal Employment Opportunity (EEO) program generally met Department requirements in 3 FAM 1514.2. The mission had Office of Civil Rights-trained counselors in place as required, with two counselors at the embassy, at least one counselor at each consulate general, and three LE staff EEO liaisons at various locations. OIG observed that the embassy and all three consulates posted EEO program information visibly in public areas. Furthermore, staff reported to OIG that the Chargé and acting DCM supported EEO principles. For example, the Chargé stressed the importance of EEO principles in Country Team meetings and at her quarterly town hall meetings with all mission staff. In addition, based on OIG discussions and personal questionnaires, most staff expressed satisfaction with the overall EEO environment.

However, OIG found pockets in the embassy and in two consulates general where staff reported behavior that did not meet Department standards for EEO and civility in the workplace.² In these pockets, U.S. staff informed OIG about patterns of misconduct that included perceptions of discrimination, the use of insensitive language, and bullying. Furthermore, although LE staff EEO liaisons told OIG that they had been identified as EEO liaisons, they had not received complaints or handled cases in many years. They attributed the lack of complaints or cases to a common LE perception that use of the EEO system to address incidents would likely result in retaliation by their supervisors. OIG advised the Chargé and acting DCM that the Department holds leadership and supervisors responsible for a workplace free of all forms of misconduct and discrimination and advised them to use the embassy's resources and those of the Department, including the Office of Civil Rights, to ensure compliance with Department standards. 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 for any action deemed appropriate. As a result, OIG did not make a recommendation to address this issue.

Execution of Foreign Policy Goals and Objectives

The Chargé faced challenges advancing U.S. foreign policy, in part because her temporary appointment limited her access to host country officials. She told OIG that South African

² 3 FAM 1511.1a, "State"; cable 18 STATE 99598, "Towards a Culture of Civility and Respect: Protecting Employees Abroad from Harassment and Toxic Behavior at Work," October 1, 2018.

ministers and other senior government officials would not meet with her without the presence of senior Washington officials, such as an Assistant Secretary. Instead, she conducted day-to-day diplomacy through meetings with working-level professionals at the Ministry of Foreign Affairs. Despite her limited access, Washington officials told OIG that the Chargé ensured that the embassy's messages emphasized key U.S. policy points and consistently stressed the enduring importance of the bilateral relationship. The Chargé also seized other opportunities to advance relations with the government and non-governmental organizations. For example, on short notice, she helped secure participation for all members of a U.S. presidential delegation to the inauguration of the South African president.

The heads of other U.S. Government agencies at the mission and Department sections credited the Chargé and acting DCM with effectively complementing their efforts to expand bilateral ties through representation and participation in public events. OIG found that the Chargé also supported and encouraged the efforts of the Consuls General to expand official contacts at the provincial level. For example, the Chargé and the Consul General in Johannesburg jointly hosted an event to reinforce U.S. support for law enforcement cooperation between the United States and South Africa. During the inspection, the Chargé traveled to Cape Town to join the Consul General for a widely attended representational event that commemorated the 50th anniversary of the Apollo 11 moon landing. The Chargé also supported the Durban Consul General's outreach to the Port of Durban—an important economic engine for South Africa that facilitates U.S. imports and security interests.

Mission Did Not Track Integrated Country Strategy Progress

OIG found that the mission developed its ICS through a logical and inclusive process, but it was not tracking its progress against the goals and objectives set forth in the strategy. The purpose of the ICS is to set mission priorities and establish unified goals among all the agencies represented at the mission. The ICS was developed under the leadership of the Chargé, and officials from other agencies at the mission reported being fully involved in the process and stated that their agencies' equities were included. However, when OIG asked mission staff whether their activities were linked to the ICS or whether the mission was achieving ICS goals, the response was mixed. In Cape Town, OIG found that the Consul General explicitly used the ICS to frame discussions in routine meetings with senior staff. However, in other locations, although some staff reported they linked their priorities and activities to the ICS, others did not. As noted later in this report, OIG also found that political and economic cable reporting was not clearly linked to the ICS. OIG concluded that these problems occurred because Mission South Africa did not have a process in place to formally track ICS progress despite Department guidance that calls for missions to institute regular reviews against established ICS goals.³ Without tracking progress against the ICS goals, the embassy is at risk of conducting activities that do not align with its goals and priorities.

³ 18 FAM 301.2-4(C)c, "Strategy Implementation and Progress Reviews."

Recommendation 1: Embassy Pretoria should implement a process to track activities and progress against Mission South Africa’s Integrated Country Strategy. (Action: Embassy Pretoria)

Front Office Struggled to Contain Interagency Conflict Over PEPFAR Program

The Front Office faced serious challenges managing conflict among the embassy’s interagency team—USAID and the Centers for Disease Control and Prevention—that was responsible for implementing the PEPFAR program in South Africa. The PEPFAR program, which is led and managed in Washington by the Department’s Office of the U.S. Global AIDS Coordinator and Health Diplomacy (S/GAC)⁴ and implemented by seven U.S. Government departments and agencies, supports testing, treatment, prevention, and comprehensive health and social services programs to combat HIV/AIDS. The PEPFAR South Africa program supports the embassy’s ICS goal of advancing public health, human rights, and human dignity. Embassy staff implementing PEPFAR told OIG that unexpected shifts in funding and partnerships directed from S/GAC, coupled with interpersonal conflicts among mission staff, created a difficult interagency environment that inhibited the program’s ability to achieve its goals. PEPFAR South Africa is managed by the PEPFAR Coordination Office, which is a Department section within the embassy. Staffing issues in the office also contributed to interagency tensions. At the time of the inspection, the PEPFAR Country Coordinator position had been vacant for more than 6 months, and the acting PEPFAR Country Coordinator (an employee of the Centers for Disease Control and Prevention) was not perceived by staff as being neutral. This perception further undercut the office’s ability to mediate conflicts between agencies.

OIG found that the Front Office was aware of the conflicts and tried to engage constructively but was not always successful in improving the situation. For example, in April 2019, the acting DCM began chairing weekly PEPFAR meetings and oversaw execution of a standard operating procedure that set expected standards of professional conduct and communications. Also, in April 2019, the Chargé directed that the PEPFAR team conduct an offsite team-building exercise to improve interagency relationships. Finally, the Chargé chaired a weekly PEPFAR senior staff meeting. Despite these efforts, OIG observed that interagency conflict over PEPFAR continued during the onsite inspection. OIG advised the Front Office to consider further steps to improve interagency coordination, such as a leadership climate survey, involvement by the Regional Medical Office in conflict resolution training, communication with staff at all-hands meetings about the importance of interagency coordination, and continued offsite meetings. The PEPFAR program, and its challenges in South Africa, are discussed in more detail later in this report.

Adherence to Internal Controls

The Chargé and the acting DCM completed the FY 2018 Chief of Mission Annual Management Control Statement of Assurance process in accordance with Department standards in 2 FAM 022.7 and 2 FAM 021.1. The acting DCM and Management Officer led the process and included

⁴ Outside of the Department, S/GAC is commonly referred to as the Office of the U.S. Global AIDS Coordinator (OGAC).

all key sections of the mission. One section, the Regional Security Office, reported specific deficiencies. During the inspection, OIG found several additional internal control deficiencies as described throughout this report. For example, OIG found that the mission did not follow required consular internal controls, did not conduct many required IT security activities, and did not address safety deficiencies in residences prior to occupancy. Failure to identify these consular, IT security, and residential safety deficiencies increased the risk of visa irregularities, cyber intrusions, and injury to mission employees and their families. OIG was unable to determine why the embassy's Statement of Assurance process did not identify the internal control deficiencies that OIG found but advised the Front Office that a more rigorous use of Department-provided internal control checklists would be helpful.

Security and Emergency Planning

OIG found that the Chargé generally conducted her security and emergency planning responsibilities in accordance with 12 Foreign Affairs Handbook (FAH)-1 H-721. The embassy and all three consulates general focused on awareness of crime. Staff told OIG that the Chargé and the acting DCM led by example when it came to security. Both met with the Regional Security Officer regularly and participated in emergency drills and radio checks. OIG confirmed that all embassy security directives were current. The Chargé was actively involved in the embassy's Law Enforcement Working Group; she attended meetings and worked to increase their focus on strategic issues. In Durban, both the Chargé and the Consul General advocated with the Bureaus of African Affairs, Overseas Buildings Operations, and Diplomatic Security to improve long-standing safety and security deficiencies related to the consulate general facility.

Developing and Mentoring Foreign Service Professionals

The acting DCM and other mission leaders participated in efforts to develop and mentor First- and Second-Tour (FAST) staff members. The acting DCM facilitated activities for FAST officers, consistent with 3 FAM 2242.4 standards related to the development of entry-level Foreign Service officers. For example, in early 2019, the acting DCM worked with FAST officers to develop a written policy to revive the program. The policy included a mission statement and a membership statement, which explained that the program was open to all agencies. It also called for a planning committee and suggested professional and social activities. Operationally, however, the acting DCM and FAST officers told OIG that the program faced challenges because of relatively low levels of participation by the FAST officers and the large number of agencies represented at the mission. Some of the traditional FAST activities—for example, sessions on bidding for new posts or writing evaluations—were not relevant to FAST officers who did not work for the Department. However, the acting DCM made efforts, with support from the Consuls General, to include topics of interest to all, such as dealing with interpersonal conflict. Despite these challenges, the FAST officers who met with OIG indicated they appreciated the acting DCM's efforts to revive the program and said that they benefited from the professional and social aspects of the program.

OIG also found that mission leadership and section heads provided mentoring and career advice to mid- and senior-level officers. Leadership activities aimed at such officers included

mentoring in regular one-on-one meetings, conducting reviews of promotion and bidding paperwork, and counseling and other conversations to give operational and career advice. In addition, two senior officers led regular brownbag lunches, which were conducted as digital video conferences, for all mid- and senior-level officers throughout the mission. The brownbag sessions addressed a range of topics, including promotions, bidding, and views from visiting bureau leaders. Overall, Department staff responding to OIG's survey rated mission leadership highly for valuing and developing people.

POLICY AND PROGRAM IMPLEMENTATION

OIG assessed Mission South Africa's policy and program implementation through a review of the embassy and consulates general's advocacy and analysis work performed by the Political and Economic Sections, the public diplomacy efforts of the Public Diplomacy Sections, the oversight of interagency partners implementing the PEPFAR program, and the provision of American citizen and visa services by the Consular Sections. OIG found the embassy and consulates general generally met Department requirements for policy and program implementation, with the exceptions noted below.

Political and Economic Sections

OIG reviewed the mission's Political and Economic Sections' leadership and management, policy implementation, cable reporting, Leahy vetting, commercial promotion, and end-use monitoring functions. OIG observed the embassy's Political and Economic Sections working effectively with Washington offices, the consulates general, and the interagency. For example, OIG observed the Embassy Pretoria Political Section coordinate with the consulates general in Cape Town, Durban, and Johannesburg to assess the May 8, 2019, South African general elections regarding the formation of the national government in Pretoria, the creation of a new parliamentary assembly in Cape Town, and changes in provincial governments. OIG found the mission's Political and Economic Sections complied with Department standards, with the exceptions noted below.

Cable Reporting Not Clearly Aligned With the Mission's Integrated Country Strategy

OIG found that the mission's cable reporting did not clearly align with the ICS. In accordance with 18 FAM 301.2-4, the Department issued ICS implementation guidance that includes examples of cables reporting ICS-linked activities and outcomes.⁵ OIG reviewed 315 political and economic cables sent by the embassy and consulates general from September 2018 to April 2019 and found that most cables were not linked to the ICS. Although Washington offices praised the mission's cable reporting related to emerging issues not linked specifically to the ICS,⁶ staff in the Political and Economic Sections acknowledged to OIG that cable reporting was

⁵ Cable 19 STATE 66372, "Integrated Country Strategy Recognition and Implementation," June 19, 2019. This cable includes a link to the Department's intranet site containing examples of cables reporting ICS-linked activities and outcomes.

⁶ Such topics included reporting on the South African elections, land reform, extremism, water shortages in the Western Cape province, the electricity sector, and certain business sector developments.

not directly linked to the ICS. They told OIG that mission-wide political and economic reporting plans could be revised to reflect the ICS and related priorities. OIG discussed with the heads of the Political and Economic Sections ways to revise reporting plans and incorporate ICS-related activities into cables. Because Mission South Africa initiated revisions to cable reporting plans during the inspection, OIG did not make a recommendation to address this issue.

Embassy Did Not Comply With Equipment Tracking and End-Use Monitoring Requirements

The embassy did not comply with end-use monitoring requirements⁷ for defense, dual-use, or sensitive equipment furnished by the Bureau of International Narcotics and Law Enforcement Affairs to South African authorities for use in combatting wildlife trafficking. This equipment, issued in 2015 and 2016, included night vision goggles, thermal cameras, x-ray devices, and related equipment for use by South African law enforcement, park rangers, and provincial authorities. However, the embassy reported to OIG that its staff had difficulty physically locating the equipment, and, as a result, it did not conduct the required end-use monitoring checks. Without conducting the required end-use monitoring, there is increased risk that sensitive equipment could be used for other purposes.

Recommendation 2: Embassy Pretoria should conduct end-use monitoring checks of defense, dual-use, or sensitive equipment in accordance with Department standards. (Action: Embassy Pretoria)

Embassy Did Not Conduct Leahy Vetting in Accordance With Department Guidance

The embassy had not conducted all required Leahy vetting. In accordance with the Leahy amendment,⁸ the embassy vetted 441 cases of individuals and units in 2018, and 74 in 2019 (through June 10, 2019). However, the embassy informed OIG that it had not vetted all South African personnel receiving U.S. assistance who are involved in programs preventing wildlife trafficking. Embassy officials said that a change in personnel responsible for the vetting, as well as a lack of awareness of Leahy vetting requirements, contributed to the mission not fulfilling all vetting requirements. Failure to conduct required vetting increases the risk that U.S. security assistance is given to individuals or units who have committed gross violations of human rights.

Recommendation 3: Embassy Pretoria should conduct Leahy vetting in accordance with Department guidance. (Action: Embassy Pretoria)

⁷ The Department requires the monitoring of certain property purchased with foreign assistance funds to ensure it is used for its intended purposes. In general, equipment valued at more than \$2,500 or items designated as defense articles, munitions or dual-use items are subject to this requirement. End-use monitoring fulfills the requirements of Section 484(b) of the Foreign Assistance Act of 1961 and Chapter 3A, Section 40A of the Arms Export Control Act. See 22 U.S.C. § 2291c(b) and 22 U.S.C. § 2785.

⁸ The Leahy Amendment to the Foreign Assistance Act of 1961 prohibits the Department from furnishing assistance to foreign security forces if the Department receives credible information that such forces have committed gross violations of human rights. See 22 U.S.C. § 2378d.

Embassy Did Not Meet Deadlines for Blue Lantern Export Checks

The embassy did not meet required deadlines for conducting Blue Lantern checks involving the export of certain U.S. defense articles and services.⁹ In 2018, the embassy received 10 requests for Blue Lantern checks that required, on average, 92 days to complete. The Department's Guidebook, however, calls for a 30- to 45-day timeframe for completion of Blue Lantern checks. The embassy cited staffing gaps, delayed responses from local officials, and a lack of records as contributing factors to the long response times. During the inspection, OIG observed that the embassy was taking action to improve its compliance with deadlines. These actions included the creation of standard operating procedures and a shared Blue Lantern database for Economic Section officers to track and manage cases. Although the embassy did not have any pending Blue Lantern cases at the time of the inspection, OIG concluded that the embassy's process improvements should improve its ability to conduct checks in a timely manner. As a result, OIG did not make a recommendation to address this issue.

Public Diplomacy

OIG reviewed Mission South Africa's public diplomacy operations, including strategic planning, reporting, grants administration, American Spaces, media engagement, and educational and cultural programs conducted at Embassy Pretoria and Consulates General Cape Town, Durban, and Johannesburg. OIG found that the public diplomacy operations focused on ICS goals. The section also engaged actively with the public, particularly in the areas of alumni engagement, PEPFAR awareness, and youth outreach. Despite positive engagement with the public, staff in Pretoria told OIG that the large-scale turnover of American personnel in the section disrupted the section's continuity of operations.¹⁰ Nevertheless, OIG found the mission's public diplomacy activities met Department standards and guidance with the exceptions noted below.

Embassy Did Not Repurpose Information Resource Centers

OIG found Embassy Pretoria did not repurpose the Information Resource Centers within the consulates general in Cape Town, Durban, and Johannesburg.¹¹ In 2017, the Department

⁹ Blue Lantern is a Department-managed end-use monitoring program established to implement the Arms Export Control Act and International Traffic in Arms Regulations. Blue Lantern verifies the legitimacy of the export of items on the United States Munitions List. In order to detect and deter illegal and unauthorized arms transfers, the Department may request embassy officers to conduct inquiries with foreign government and business representatives and make site visits. See 22 U.S.C. § 2785(a)(2)(A), which generally describes the Blue Lantern program.

¹⁰ Five of the six U.S. direct-hire Foreign Service generalist officers in the Pretoria Public Diplomacy section arrived in the year prior to the inspection. At the time of the inspection, those five positions were on a 3-year cycle that will cause the issue to recur in 2021 unless there is a change in the assignment length for one or more of the U.S. direct-hire officers. Local staff told OIG that the wholesale change of leadership in the section brought modifications in standard operating procedures and sowed confusion regarding section goals. OIG provided advice to mission management to work with the Bureau of African Affairs and the Director General of the Foreign Service to devise a plan to stagger the assignments.

¹¹ The Information Resource Centers within the consulates general in Cape Town, Durban, and Johannesburg went largely unused because the public could no longer easily access them. The spaces historically hosted members of the public interested in receiving information about the United States. But over time, as security conditions

modernized Information Resource Centers and instructed the responsible officers to repurpose the spaces to other uses.¹² Embassy Pretoria did not follow these instructions to decommission the Information Resource Centers in Cape Town, Durban, and Johannesburg. According to 10 FAH-1 H-021g4, the Public Affairs Officer is responsible for managing all public diplomacy resources country-wide. Accordingly, the Public Affairs Officer in Pretoria should work with the regional bureau and the Bureau of Educational and Cultural Affairs, which has responsibility for former Information Resource Centers, to repurpose the spaces.

Recommendation 4: Embassy Pretoria, in coordination with the Bureaus of African Affairs and Educational and Cultural Affairs, should repurpose the former Information Resource Centers in Consulates General Johannesburg, Cape Town, and Durban. (Action: Embassy Pretoria, in coordination with AF and ECA)

Public Diplomacy Resources Used for Non-Public Diplomacy Related Mission Support

OIG found that the mission used public diplomacy resources for non-public diplomacy activities. Specifically, Public Diplomacy Section staff in Pretoria and Cape Town provided audio-visual support to other embassy customers not directly linked to the section's programming. The functions, including set up and removal of equipment for meetings and making recommendations for future purchases of equipment by the mission, did not fulfill inherently public diplomacy roles. OIG discussed with the Management Section the possibility of moving the functions necessary to the mission to an International Cooperative Administrative Support Services (ICASS)¹³ position because, according to Public Diplomacy Section supervisors, the non-public diplomacy-related audio-visual support provided by the two section staff amounted to greater than 70 percent of their time. By providing non-public diplomacy support to the mission, the Public Diplomacy Section funded activities that did not comply with Department standards for the effective and responsible management of public diplomacy resources.¹⁴

Recommendation 5: Embassy Pretoria should comply with Department standards for the use of public diplomacy resources. (Action: Embassy Pretoria)

changed, those parts of the consulates general used for the Information Resource Centers became inaccessible to the public.

¹² Cable 17 STATE 113988, "Transforming IRCs in Name, Function, and Design to Modern American Centers," November 15, 2017. Because the Information Resource Centers in Cape Town, Durban, and Johannesburg were closed to the public, the mission could not rebrand the centers as American Spaces and needed to repurpose them for other uses.

¹³ 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 FAM 911 and 6 FAH-5 H-013.2.

¹⁴ According to Department standards in 10 FAH-1 H-021g4, "[public diplomacy] funds may only be used for authorized public diplomacy purposes."

Mission Awarded Grants Without Open Competition

In the embassy and all three consulates general, the Public Diplomacy Sections issued most of their grants to organizations without competition despite direction in the Foreign Assistance Directive¹⁵ that recommends open competition for most grants. From January 2018 until April 2019, the section had 56 active or completed grants totaling nearly \$3.4 million. These grants included a mix of award types, recipient institutions, and program activities, but only 20 percent (\$694,779) of the grants were decided through open competition.¹⁶ The Federal Assistance Directive advises that overseas posts must generally conduct an open competition for all Federal financial assistance opportunities.¹⁷ Even if the grants officer attests that only one recipient organization is capable of carrying out the program and non-competition could potentially be justified, the guidance states that the mission should still consider holding an open competition.

Open competition demonstrates the Department's commitment to transparency and fairness and often results in applications from new recipients that the mission had not considered. It also ensures that incumbent recipient organizations periodically review their applications and strengthen them, if needed, to remain viable for prospective projects. OIG found that the issue was especially acute in the consulates general, in which all but one of the grants during this time period were issued without competition. The embassy Public Affairs Officer stated that the problem resulted from a belief among employees of the Public Diplomacy Section that competition for grants created too many proposals for the mission to handle. However, OIG advised the embassy Public Affairs Officer that this rationale does not justify awarding grants without open competition. He acknowledged OIG's advice and, during the inspection, put a process in place to ensure grant competition. He also took steps to form a grants committee. Based on the actions taken by the embassy Public Affairs Officer, OIG did not make a recommendation to address this issue.

Uncertified Grants Officer Representative Incorrectly Appointed

OIG determined that the Public Diplomacy Section incorrectly appointed a grants officer representative (GOR) who did not have the correct certification. A grant was authorized by a warranted grants officer and provided funding to establish a center for the study of the United States at a university in Johannesburg. The warranted grants officer, in turn, appointed another officer as the GOR. The Federal Assistance Directive states that a GOR is a person certified and designated, in writing, by the grants officer to oversee certain aspects of a specific assistance

¹⁵ Bureau of Administration, Federal Assistance Directive, Chapter 2, Section F, "Conduct an Open Competition to Select a Recipient," at 34 (October 2018).

¹⁶ The grants that were awarded without open competition did have the required sole-source justification in the grants files. A sole-source solicitation is a solicitation where one recipient organization is invited to apply for the funding opportunity (Federal Assistance Directive, Chapter 2, Section F, Part 2, "Exceptions to Competition," at 35 [October 2018]).

¹⁷ Federal Assistance Directive, Chapter 2, Section F, "Conduct an Open Competition to Select a Recipient," at 34 (October 2018).

agreement.¹⁸ GORs assist grants officers in exercising prudent management and oversight of grants through programmatic and financial monitoring and evaluation of the recipient's performance. However, the officer appointed by the grants officer had not received certification as a GOR, so the appointment was invalid and may have resulted in insufficient oversight. OIG brought this issue to the attention of both the grants officer and the person appointed as the GOR, and the embassy took action to appoint a certified GOR to the grant. Because this problem had been corrected prior to the end of the inspection, OIG did not make a recommendation.

Spotlight on Success: Innovative Use of Locally Employed Staff Executive Corps

Since 2004, the Bureau of African Affairs has enlisted the assistance of LE staff to train peers through a program called the LE Staff Executive Corps. Relative to their peers, members of the corps usually have longer tenure and more experience, and they also usually are viewed to have particularly high integrity, interpersonal and communications skills, and judgment. Since its inception, the program has focused on LE staff in embassy Management Sections and enlisted them to train and assist their colleagues in other posts in Africa. In 2019, for the first time in the history of the program, Embassy Pretoria and Consulate General Johannesburg nominated two Public Diplomacy Section staff for the program because of their expertise in using the State Assistance Management System and in the administration of American Spaces. Both were accepted into the program and, with the financial support of the Bureau of African Affairs' Office of Public Diplomacy, one traveled to two other missions in Africa to assist with developing grants management procedures, which significantly improved staff's understanding of the Department systems for managing grants at those missions. This innovative use of the LE Staff Executive Corps program resulted in useful guidance to the receiving missions, facilitated the sharing of best practices in the region, and saved Department resources because grants trainers did not have to be sent from Washington.

President's Emergency Plan for AIDS Relief

From FY 2004 to 2018, the U.S. Government has invested more than \$6.2 billion through PEPFAR in South Africa for testing, treatment, prevention, and comprehensive health and social services programs to combat HIV/AIDS, including \$677.1 million in FY 2018. OIG reviewed PEPFAR interagency coordination, program performance, and selected internal controls relating to supply chain management, local partner transitions, grants management, and adherence by agencies to funding levels set in the PEPFAR Country Operational Plan. As described below, PEPFAR South Africa faced significant challenges in interagency coordination and program implementation.

¹⁸ Federal Assistance Directive, Chapter 1, Section D, Part 3, "Grants Officer Representatives," at 15 (October 2018).

Program at Risk of Not Meeting Key Performance Goals

OIG found that the PEPFAR program—the world’s largest by funding—was at risk of not meeting key performance goals¹⁹ for controlling the HIV/AIDS epidemic in South Africa. In particular, performance on treatment goals has lagged. More than 2 million people living with HIV were not on antiretroviral (ARV) drug treatment in 2018. Although S/GAC set a goal of having 4.4 million people on treatment by the end of FY 2018, the PEPFAR South Africa program fell short of this goal by more than 920,000 people. The program faced challenges in ensuring that patients who started ARV treatment continued to receive it.²⁰ Achieving treatment goals is important to epidemic control because treatment that results in viral suppression reduces the likelihood of transmitting the virus to others. Treatment also reduces the risk of mortality for HIV-positive individuals.

At the time of the inspection, the PEPFAR interagency team in South Africa and S/GAC were engaged in urgent efforts to improve program performance on treatment. This effort was especially important in the context of a planned increase in funding that will bring total PEPFAR funding to \$732.8 million in FY 2020. Key challenges for improving treatment include a shortfall of South African Government health care workers and chronic funding and performance issues at health care facilities.²¹

To improve performance on treatment goals, PEPFAR South Africa initiated a program of intense facility-level interventions with the South African Government starting in February 2019; this surge was known as “Siyenza!”²² Results of these interventions were generally positive.²³ However, embassy staff said that weaknesses in the South African Government’s health system constituted a significant barrier to improving program performance. Embassy staff also said that although the surge approach yielded valuable insights and improved coordination with the South African Government, the approach was not sustainable as a long-term exercise. Embassy staff told OIG that excessive workloads caused by the surge contributed to employee burnout and came at the cost of other essential program management duties.

¹⁹ These goals call for ensuring that 90 percent of people living with HIV know their status, 90 percent of those who test positive are on antiretroviral (ARV) drug treatment, and 90 percent of those on ARV drug treatment are virally suppressed. The combination of drugs used to treat HIV is known as ARV drug treatment.

²⁰ Remaining on ARV drug treatment is particularly important to achieving epidemic control because untreated people living with HIV are at risk of transmitting the virus to others.

²¹ These issues included inadequate clinical care, failure to ensure same day initiation of ARV drug treatment, data quality problems, understaffing, and long clinic wait times, among others. The Government of South Africa supplies about 90 percent of ARV drugs through its public health system.

²² “Siyenza!” translates to “We are doing it!” in the Nguni languages. The approach is based on repeated site visits by PEPFAR South Africa staff, accompanied by South African Government health officials, with a goal to ensure full implementation of HIV treatment fundamentals and to improve patient retention.

²³ For example, a net total of 91,741 newly diagnosed people living with HIV were added to treatment from March to May 2019.

Lack of Agreement on Uniform Performance Metrics for Treatment Activities

OIG found that S/GAC and the PEPFAR interagency team in South Africa had not agreed on uniform performance metrics to assess progress on treatment activities. In January 2019, S/GAC announced that any increases in funding for FY 2020 would be contingent on performance improvements, particularly with respect to treatment. In its May 2019 letter approving the FY 2020 funding level of \$732.8 million for PEPFAR South Africa, S/GAC further stated that suboptimal performance may jeopardize such funding. However, PEPFAR South Africa employees told OIG that they were uncertain which treatment metrics should be used to monitor implementing partner²⁴ performance in order to receive the full FY 2020 funding, despite extensive discussion with S/GAC on this issue. OIG noted that S/GAC had at least seven metrics to assess performance on treatment,²⁵ several of which had changed in the past 12 months.²⁶

Uniform performance metrics for treatment are important to ensure that agencies can amend contracts and Federal assistance awards to incorporate metrics into legally enforceable agreements.²⁷ Such metrics are also important to the embassy's work with the Government of South Africa to develop a shared agreement on program goals. Without uniform performance metrics for treatment, the PEPFAR program in South Africa was at risk of reduced program performance and accountability for results.

Recommendation 6: The Office of the U.S. Global AIDS Coordinator and Health Diplomacy, in coordination with Embassy Pretoria, should identify uniform use of performance metrics for President's Emergency Plan for AIDS Relief treatment program activities in South Africa. (Action: S/GAC, in coordination with Embassy Pretoria)

Embassy Did Not Effectively Coordinate Diplomatic Engagement on Health Issues

OIG found that the embassy's diplomatic engagement with the Government of South Africa's National Department of Health and provincial health ministries was not coordinated effectively. As described in 2 FAM 113.1c(11), chiefs of mission and principal officers are required to maintain a coordinated approach to establish relationships with potential leaders from all levels of society. Despite this requirement, staff from USAID, the Centers for Disease Control and

²⁴ Implementing partners include non-governmental organizations and Government of South Africa entities.

²⁵ These metrics include the number of patients currently on treatment, the net new number of patients on treatment, the number of patients newly initiated on treatment, and the number of patients initiated on treatment the same day as diagnosis, among others.

²⁶ During a recent OIG audit of coordination and oversight of PEPFAR at other posts in Africa, OIG found similar concerns about the process used to establish performance targets between PEPFAR interagency teams and S/GAC. See OIG, *Audit of the Department of State's Coordination and Oversight of the U.S. President's Emergency Plan for AIDS Relief* (current report number: AUD-SI-20-17, report not yet released). As to other issues, however, including coordination within particular missions, that report's conclusions are quite distinct from those set forth in subsequent sections of this report.

²⁷ As described in 2 Code of Federal Regulations §200.301, Federal awarding agencies should provide clear goals, indicators, and milestones in awards. Similarly, for contracts, Federal Acquisition Regulation 37.603(a) requires that awards contain measurable and structured performance standards.

Prevention, and the PEPFAR Coordination Office held separate meetings on policy issues with the National Department of Health and with provincial governments, and they did not formally coordinate on policy messages before such meetings or share results of the meetings with each other afterward. Additionally, PEPFAR Coordination Office staff assigned to provincial liaison duties did not consistently document outcomes of meetings, which OIG concluded limited the effectiveness of their engagement with provincial governments.

The poor coordination of the embassy's diplomatic engagement on PEPFAR was caused, in part, by the lack of a standard operating procedure that defined roles, responsibilities, and procedures for mission personnel involved in PEPFAR diplomatic engagement and, in part, by poor interagency working relationships. In June 2019, the embassy established a standard operating procedure to delineate communication roles and responsibilities more clearly, including diplomatic engagement on PEPFAR issues. Despite these efforts, OIG assessed that because of the lack of effective coordination, the success of the PEPFAR program, the largest foreign assistance program managed by the mission, was at risk. Effective diplomatic engagement on health issues is particularly important because the Government of South Africa is involved in the country's HIV/AIDS response. Although PEPFAR South Africa supports a total of approximately 3,467 health facilities in the country, the facilities are primarily operated by the South African Government. Furthermore, the South African Government funds most of the country's HIV/AIDS response budget. The embassy's difficulties in obtaining meetings with senior-level officials,²⁸ the partly decentralized nature of South Africa's health system, and longstanding underperformance of health facilities make a coordinated diplomatic engagement approach essential to addressing program challenges.

Recommendation 7: Embassy Pretoria should implement a plan to improve coordination on diplomatic engagement at the national and provincial levels for the President's Emergency Plan for AIDS Relief. (Action: Embassy Pretoria)

Embassy Did Not Adequately Monitor Expenses

OIG found that the embassy had not developed a process to review PEPFAR expenditures on a quarterly basis with all agencies, as required by S/GAC guidance. Specifically, that guidance states that interagency teams must track quarterly and annual expenditures to ensure that PEPFAR funds are appropriately monitored and not overspent.²⁹ Additionally, in cases where expenditures in excess of the plan's funding level are anticipated, agencies must seek prior approval from S/GAC.³⁰ Adherence to funding levels set by S/GAC is a key internal control to ensure that the Department complies with Federal appropriations law.³¹ Adherence to funding

²⁸ As described earlier in this report, host country officials are sometimes reluctant to meet because of strained bilateral ties.

²⁹ Office of the Global AIDS Coordinator and Health Diplomacy, PEPFAR 2018 Country Operational Plan Guidance for Standard Process Countries, Section 5.1.1, "COP Planning Levels," at 149.

³⁰ PEPFAR 2018 Country Operational Plan Guidance for Standard Process Countries, Section 2.2.2, "Defining Program Goals to Accelerate Epidemic Control," at 36.

³¹ Annual appropriations acts typically include language that require the Department to notify the congressional committees on appropriation 15 days in advance of obligations for foreign assistance appropriations. For example,

levels set by S/GAC is important to ensure that funding is used in a manner consistent with S/GAC's strategic priorities and not for unapproved purposes.

OIG found that agencies overspent against their approved funding levels by \$28.2 million in FY 2018. This was partly due to the lack of a quarterly review process. The embassy did not identify PEPFAR overspending by agencies or seek advance S/GAC approval for such expenditures, as required by S/GAC guidance. OIG referred agency-specific overspending to the Offices of Inspector General for USAID and the Department of Health and Human Services for their review. Failure to review PEPFAR expenditures on a quarterly basis increases the risk that the Department may violate Federal appropriations law and that funding could be used in a manner inconsistent with S/GAC strategic priorities or for unapproved purposes.

Recommendation 8: Embassy Pretoria should comply with the Office of the Global AIDS Coordinator and Health Diplomacy's guidance to conduct quarterly reviews to prevent expenditures in excess of approved funding levels for the President's Emergency Plan for AIDS Relief. (Action: Embassy Pretoria)

Consular Affairs

OIG reviewed the full range of consular operations in Mission South Africa, including American citizen services, fraud prevention programs, nonimmigrant and immigrant visa services, training, management controls, communications and outreach, anti-fraud programs, and consular crisis preparedness. The Country Consular Coordinator in Johannesburg, an FS-01 Foreign Service officer, directed and coordinated consular operations mission-wide. The Consular Section in Johannesburg provided all consular services for Embassy Pretoria and processed immigrant visas for the entire mission, as well as seven other U.S. embassies in southern Africa. The Regional Fraud Prevention Manager in Johannesburg, an FS-03 Foreign Service officer, provided fraud prevention support and expertise to six other countries in southern Africa, as well to the consulates general in Cape Town, Durban, and Johannesburg. OIG found that the mission did not conduct several of its consular responsibilities in compliance with applicable laws and Department guidance as outlined below.

Consular Managers in Johannesburg Failed to Take Appropriate Action on Conduct Issue

Consular managers at Consulate General Johannesburg failed to take appropriate action after learning of continued performance and conduct issues by an eligible family member (EFM) employee, the worst of which involved an incident of inappropriate workplace behavior.³² The Department's leadership principles in 3 FAM 1214b(1), (6), and (9) call for all employees to hold

the Consolidated Appropriations Act, 2019, Pub. L. No. 116-6, Section 7015(c), requires notification 15 days in advance of obligation for activities that were not justified or were in excess of the amount justified for obligation to the Committees on Appropriations for the Global Health Programs account, from which funds related to the prevention, treatment, and control of HIV/AIDS are obligated.

³² The Department defines toxic workplace behavior as "verbal or nonverbal behavior that a reasonable person would consider offensive, humiliating, intimidating, or that is otherwise detrimental to an employee's ability to do his or her work." Cable 18 STATE 99598.

themselves to the highest standards of conduct, to manage conflict, and to be attuned to the overall morale of their team. In 2018, the EFM employee shouted at an LE staff member and then at the employee's LE staff supervisor. Although consular managers immediately spoke to both the EFM employee and the LE staff members involved, there was no follow-up by consular leadership beyond those initial discussions. OIG found that consular managers were unaware of the severe impact that the incident was still having on staff morale at the time of the inspection, which was 9 months after the incident occurred. The Country Consular Coordinator told OIG that they had not addressed this issue because they had been addressing another serious personnel issue. Failure to promptly address inappropriate workplace behavior negatively affects morale and productivity. Because consular managers began to address the problem during the inspection, OIG did not make a recommendation.

Consulate General Cape Town Failed to Take Appropriate Action on Conduct Issue

The Consular chief at Consulate General Cape Town failed to take proper action regarding a serious, ongoing conduct issue involving allegations of bullying in the Consular Section. The Department's leadership principles in 3 FAM 1214b(1) call on all employees to model integrity by holding themselves and others to the highest standards of conduct, performance, and ethics, especially when faced with difficult situations, and to act in the interest of and to protect the welfare of their team and organization. Multiple consular staff reported a pattern of bullying behavior by an LE staff member in the Cape Town Consular Section going back several years. The Consular chief acknowledged that he was aware of the behavior but did not address it appropriately. Failure to properly address conduct issues, such as bullying, has a serious and long-lasting harm to morale and workplace performance. Because the Consular chief began to properly address the conduct during the inspection, OIG did not make a recommendation to address this issue.

Consulate General Durban's Consular Crisis Preparedness Plan Did Not Meet Department Standards

The consular crisis preparedness plan for the consulate general in Durban did not meet Department standards in 7 FAM 1814.3, which require consular sections to have disaster assistance kits filled with the supplies, equipment, and any information that a consular officer might need to function offsite in an emergency situation. Additionally, the Consular Section had not taken steps to ensure that it had planned and prepared for a crisis as called for in 7 FAH-1 H-292.3 and 7 FAM 1811c. Specifically, the section had not completed the Consular Crisis Preparedness Scorecard³³ or the Consular Risk Assessment Tool³⁴ to identify and mitigate country-specific risks to U.S. citizens. The section also had not consulted within the consulate general and, as needed, with representatives of the host government, foreign missions, and non-governmental organizations to learn what resources they could provide in an emergency.

³³ The Consular Crisis Preparedness Scorecard is an online tool developed by the Bureau of Consular Affairs to assist consular sections in assessing and improving their crisis readiness.

³⁴ The Consular Risk Assessment Tool is an instrument developed by the Bureau of Consular Affairs to determine which hazards present the most critical threat to the safety and security of the U.S. citizen community within a post's consular district, as well as to provide a roadmap to mitigate these risks.

In addition, the section had not conducted a crisis management exercise. Consular staff reported that they were unaware of what would be expected of them during a crisis and had received no crisis-related training. The Consular chief cited a heavy nonimmigrant visa workload as the reason for not devoting time to crisis preparation. Notwithstanding this explanation, these deficiencies should be addressed promptly, as failure to meet crisis preparedness requirements puts U.S. citizens and consulate general staff at risk in an emergency.

Recommendation 9: Embassy Pretoria should create and maintain disaster assistance kits and prepare for potential disasters in Durban by completing the Consular Crisis Preparedness Scorecard and the Consular Risk Assessment Tool in accordance with Department standards. (Action: Embassy Pretoria)

Consulate General Durban Lacked Handicap Access for Consular Customers

Consulate General Durban's Consular Section lacked public bathrooms and interview windows accessible to wheelchair-bound consular customers as suggested in 7 FAH-1 H-282(1)(I). Without handicap-accessible bathrooms and interview windows, clients in wheelchairs would be severely inconvenienced and would not have equal access to the Consular Section, making it difficult for both the customer and the consular officer to conduct a transaction.

Recommendation 10: Embassy Pretoria, in coordination with the Bureaus of Overseas Buildings Operations and Consular Affairs, should provide a wheelchair-accessible bathroom and interview window for consular customers in Consulate General Durban. (Action: Embassy Pretoria, in coordination with OBO and CA)

Consulate General Johannesburg Lacked Line of Sight in Consular Section

Consular adjudicators at Consulate General Johannesburg's Consular Section lacked line of sight to monitor the work and activities of LE Staff; OIG observed that the consular adjudicators' work cubicles were isolated and not interspersed among the cubicles for LE staff. Guidance in 7 FAH-1 H-281e, however, states that workstations and offices for adjudicating officers should be located throughout a consular section to provide the greatest possible range of overlapping lines of sight. The Country Consular Coordinator said that seating assignments were made to fulfill supervisory LE staff members' desire to be seated near their subordinates. However, without proper line of sight, consular adjudicators could not perform a basic internal control of visa units, which is to have visual oversight of the work areas and activities of LE staff. Because the Country Consular Coordinator rearranged seating within the Johannesburg Consular Section during the inspection, OIG did not make a recommendation to address this issue.

Consulate General Johannesburg Failed to Use a Designated Consular Cashier to Collect Fees During Offsite Operations

The Consular Section at Consulate General Johannesburg was not in compliance with 7 FAH-1 H-727.2b(4), which requires a consular cashier to be present for offsite fee collections. If a consular cashier is unavailable, Department standards require a second officer or locally employed staff member be present to act as an additional witness to the collections. The

Country Consular Coordinator traveled to Embassy Pretoria twice monthly, accompanied by an LE staff member, to deliver routine consular services to embassy staff and their families. During the delivery of these offsite services, the Country Consular Coordinator served as the consular cashier. The Country Consular Coordinator believed doing so complied with Department guidance because a second officer or LE staff member was present to serve as a witness to the cash transactions. However, because the Consular Section delivered services at the embassy on a regular schedule, a consular cashier should have been available. Accordingly, the section should have had a designated consular cashier scheduled for the offsite services, and the consular cashier, not the Country Consular Coordinator, should have collected all fees. During the inspection, Consulate General Johannesburg issued an updated policy on the offsite delivery of consular services that included a requirement for a designated consular cashier to collect fees. Accordingly, OIG did not make a recommendation to address this issue.

Consulate General Johannesburg Failed to Destroy Immigrant Visa Files as Required

The Consular Section at Consulate General Johannesburg did not comply with 9 FAM 504.13-4(A) requirements that call for the destruction of immigrant visa files terminated under the Immigration and Nationality Act Section 203(g). OIG found multiple immigrant visa files, including one dating from 2009, that should have been destroyed. Personnel working in the immigrant visa unit explained that they did not know what to do with the terminated files, and a consular manager told OIG that she thought the files had been destroyed. Because the Consular Section destroyed the files during the inspection, OIG did not make a recommendation to address this issue.

Consulate General Johannesburg Did Not Post Required Information at the Public Entrance to the Consular Section

A signboard at the public entrance to the Johannesburg Consular Section did not provide any information about consular services, such as emergency after-hours phone numbers, office hours, the embassy's internet address, and office hours and holiday schedules. Guidance in 7-FAH-1 H-263.8b states that consular sections should use outside signs to provide directions and current information. The Country Consular Coordinator told OIG that outdated information in the signboard had been removed a few weeks earlier and consular staff had not had an opportunity to post current information. Because Consulate General Johannesburg posted the necessary information at the public entrance to the Consular Section during the inspection, OIG did not make a recommendation to address this issue.

Consular Sections Throughout Mission South Africa Did Not Adhere to Department Standards for Nonimmigrant Visa Case Notes

The Consular Sections in Cape Town, Durban, and Johannesburg did not always place mandatory case notes in the consular system when adjudicating nonimmigrant visa referral cases as required by 9 FAM 601.8-3(D)c. Additionally, adjudicating officers at all three Consular Sections did not add a mandatory case note in the nonimmigrant visa system stating that applicants for certain categories of nonimmigrant visas had received and understood a pamphlet informing them of their rights under the William Wilberforce Trafficking Victims

Protection Reauthorization Act of 2008, as required by 9 FAM 402.2-5(D)(6)a. Consular managers told OIG that they were unaware of these requirements. Because all three consulates general updated their policies during the inspection, OIG did not make a recommendation to address this issue.

RESOURCE MANAGEMENT

OIG reviewed Mission South Africa's human resources, general management and general services, facilities management, financial management, and information management operations. OIG found that the mission's four Management Sections generally implemented required processes and procedures in accordance with applicable laws and Department guidance, except as detailed below.

Human Resources

Human Resources Section Faced Delays Hiring LE Staff

Mission staff, in the embassy and consulates general, repeatedly told OIG that lengthy delays in filling vacancies for LE staff positions hindered their ability to address many of the deficiencies identified by OIG and described throughout this report. Although staff attributed the delays to the regional bureau's lengthy position classification process, OIG found that some of the delays were within the control of the human resources staff in the Management Section. For example, there were avoidable delays in the embassy's process to review qualifications. To fill LE staff positions in a more timely manner, OIG advised the Management Section in Pretoria to give greater attention to the distribution of work among human resources staff and to identify and work to eliminate inefficiencies in the recruitment process. The Management Officer agreed to do so.

General Management and General Services

International Cooperative Administrative Support Services Program Governance Did Not Comply With Department Standards

The governance of Mission South Africa's ICASS program did not conform to Department standards. OIG found that the mission's ICASS Council Chair had been appointed by embassy leadership instead of being elected by members, as required by 6 FAH-5 H-222.3-2a. Additionally, ICASS Council and ICASS budget meetings, although held regularly, were led by staff in the Management Section and not by the ICASS Council Chair.³⁵ Finally, the acting DCM did not participate in ICASS activities as required by 6 FAH-5 H-222.2, and the ICASS Council Chair did not submit the required annual ICASS evaluation to the Chief of Mission in 2018.³⁶ The embassy's Management Section leadership acknowledged that ICASS procedures were lacking and attributed the problem to staffing gaps in the Management Section. During the inspection,

³⁵ 6 FAH-5 H-222.3-2b, "Leadership."

³⁶ 6 FAH-5 H-222.3-4, "Annual Performance Assessment."

Mission South Africa began to improve its compliance with guidelines. The ICASS Council Chair advised OIG that he was determined to hold ICASS Council meetings in accordance with standards. OIG observed properly conducted ICASS budget and Council meetings, and the chair submitted the 2019 ICASS assessment during the inspection. As a result of these actions, OIG did not make a recommendation to address this issue.

Collections for Mission's Furniture and Appliance Pool Were Excessive

Mission South Africa did not manage its furniture and appliance pool (FAP)³⁷ in accordance with Department standards in 6 FAH-5 H-512 and collected more from participating agencies than was required to efficiently administer the FAP. Specifically, OIG determined that the mission had not calculated an appropriate buy-in cost, as required by 6 FAH-5 H-512.3-2b, or calculated an annual assessment amount, as required by 6 FAH-5 H-512.3-3a. Instead, the mission set amounts that were higher than the cost necessary to administer the FAP.³⁸ As a result, the mission's "fenced" FAP account's carryover balance grew each year. OIG found that Mission South Africa's FAP carryover balance, going into FY 2019, was over \$6 million and was projected to be \$6.2 million going into FY 2020. The Department advised that in cases where FAP carryover balances exceed requirements, the best way to reduce the carryover balance is to temporarily lower the annual assessment.³⁹ The mission's failure to efficiently administer the FAP and accurately calculate the buy-in and annual assessment amounts created excessive charges to participating agencies.

Recommendation 11: Embassy Pretoria should manage its furniture and appliance pool in accordance with Department standards. (Action: Embassy Pretoria)

Mission's Nonexpendable Property Inventory Records Were Not Accurate

The mission did not maintain accurate inventory records for nonexpendable property as required by 14 FAM 411.2-2b(2).⁴⁰ Mission-wide, OIG found that 16 percent of items located in office buildings were assigned to the FAP in inventory records. Many of these items were residential furniture items, such as bookcases, sofas, and lamps, that should be assigned to FAP

³⁷ FAPs were introduced in FY 2012 and became mandatory for overseas posts in FY 2015 under a policy approved by the ICASS Executive Board. Since FY 2015, all agencies under chief of mission (COM) authority, which are also members of an overseas post's housing program, are required to participate in the FAP. Agencies are assessed a one-time buy-in amount per position under COM authority, as well as an annual assessment per residence charges. FAP funding that is not used in one year may be carried over to the next; however, it is "fenced" and can only be used by the post for the purchase of furniture and appliances. See cable 12 STATE 103579, "Worldwide Furniture and Appliance Pool Policy: New Policy Guidelines," October 13, 2012.

³⁸ Mission South Africa set a buy-in amount of \$50,000 per new position and an annual assessment of \$3,000 per residence. However, the Integrated Logistics Management System's FAP data model for South Africa shows that a buy-in cost of \$22,415 and an annual assessment of \$2,680 are appropriate amounts to ensure the efficient administration of the FAP. The data model uses assets labeled as belonging to the FAP to calculate these amounts.

³⁹ Cable 17 STATE 58544, "Furniture and Appliance Pool (FAP) and Budget Realities," June 8, 2017.

⁴⁰ Nonexpendable property includes furniture, office machines, IT equipment, and communications equipment. It is property that is complete in itself, does not lose its identity or become a component part of another item when used, and is of a durable nature with anticipated useful life of over 2 years. 14 FAM 411.4, "Definitions."

in the inventory records but were incorrectly being used in office buildings. Others were office items, such as safes and computers, that were incorrectly assigned to the FAP in the inventory. Additionally, some items were listed in the records as miscellaneous with no code or description, and, as a result, OIG was unable to determine what the items were and whether they were properly assigned to FAP. At Consulate General Johannesburg, the inventory listed some items as FAP, such as official residence china and flatware, which should not be listed as such. Inaccurate information in inventory records puts the mission at risk of calculating inaccurate FAP buy-in and annual assessment amounts, as well as using items for inappropriate purposes.

Recommendation 12: Embassy Pretoria should bring its nonexpendable property inventory records into compliance with Department standards. (Action: Embassy Pretoria)

Embassy Pretoria and Consulate General Johannesburg Reported Substantial Expendable Supply Shortages

Embassy Pretoria and Consulate General Johannesburg reported to the Bureau of Administration that they had expendable supply⁴¹ inventory shortages of approximately 40 percent in 2018. According to 14 FAM 416.5-1(B)c, inventory shortages that exceed 1 percent must be referred to a Property Survey Board⁴² for action. Management Section staff at the embassy and Consulate General Johannesburg said that they did not conduct periodic spot checks that may have helped them to discover the shortages before they reached severe levels. During the inspection, Management Section staff told OIG they had referred the expendable supply shortages to a Property Survey Board, as required, and they began conducting periodic spot checks. However, due to the substantial shortages (e.g., \$136,711 for Embassy Pretoria), OIG is making a recommendation to ensure corrective actions are taken to address expendable supply inventory shortages in Pretoria and Johannesburg.

Recommendation 13: Embassy Pretoria should implement any Property Survey Board recommendations related to the 2018 expendable supply inventory shortages in Pretoria and Johannesburg. (Action: Embassy Pretoria)

Residential Safety Program Did Not Meet Department Standards

Mission South Africa's residential safety program did not meet Department standards in 15 FAM Exhibit 971.1. For example, OIG found several deficiencies at mission residences in Cape Town, Durban, Johannesburg, and Pretoria that included the following:

⁴¹ Expendable supplies are consumed during use, such as office supplies. 14 FAM 411.4.

⁴² According to 14 FAM 416.5-2a, the property survey board "acts on reported instances of missing, damaged, or destroyed U.S. Government-owned expendable and nonexpendable personal property referred by the [property management officer]. The board has the authority to determine financial liability, and to determine the extent of liability, for property that is missing, damaged, or destroyed as a result of negligence, improper use, or willful action on the employee's part, and to establish the amount of financial liability."

- The lack of smoke detectors, ground-fault circuit interrupters in kitchens, and tags on fire extinguishers identifying when they had last been checked.
- Interior and balcony railings that did not meet safety standards.
- Stair risers that did not meet the spacing requirement (they were more than 4 inches apart, creating a safety hazard).
- Gates around the pools at some residences that did not self-close, as required, or locks that did not meet the safe height requirement of 54 inches from the ground to prevent children from gaining access.

Consulate General Cape Town corrected the issues identified at its residences during the inspection, and OIG noted that consulate general staff in Johannesburg had a plan to correct its residential safety program deficiencies.

In some cases, OIG found that Mission South Africa's General Services Office staff moved employees into residences with known deficiencies prior to fixing the issues. Management Section staff told OIG it experienced lengthy delays in filling vacant Facility Management LE staff positions, which impeded its ability to bring residences into compliance with Department standards. Failure to implement a fully compliant residential safety program increases the risk of injury and loss of life to residents and visitors.

Recommendation 14: Embassy Pretoria should correct all residential safety deficiencies. (Action: Embassy Pretoria)

Recommendation 15: Embassy Pretoria should cease moving employees into residences that do not meet the Department's safety standards. (Action: Embassy Pretoria)

Motor Pool Operations Did Not Meet Department Safety Requirements

The mission did not operate its motor pool in accordance with the Department's Motor Vehicle Safety Management Program. Specifically, OIG found instances when drivers exceeded the 10-hour shift limit required in 14 FAM 433.8a and where drivers did not meet the operator qualifications and safety requirements in 14 FAM 433.3 through 433.5. In a spot check of recent driver time and attendance records, OIG found that three drivers in Durban worked more than 10 hours on 7 occasions and that 16 drivers in Pretoria worked more than 10 hours on 18 occasions. Although these instances in which drivers worked longer than permitted were often due to unplanned extended shifts, limiting hours worked prevents driver fatigue and accidents. When a driver has reached the maximum number of hours on a shift, supervisors must arrange for another driver to take over, according to 14 FAM 433.8c.

Additionally, General Services Office staff in Pretoria were unable to provide documentation to show that all drivers had valid drivers' licenses, completed the required Smith driver safety training,⁴³ and obtained medical certifications. In Cape Town, OIG also found that some drivers

⁴³ The Department uses the Smith System training program, which is designed to teach drivers to see and avoid driving hazards.

did not have medical certifications; however, during the inspection, General Services Office staff implemented a plan to address this. Finally, OIG determined that not all drivers in Johannesburg completed the required Smith training because the instructor, also a driver at the consulate general, needed to be recertified to conduct the training but the class in which he was enrolled was canceled due to the lapse in appropriations⁴⁴ and, at the time of the inspection, had yet to be rescheduled. Based on discussions with General Services Office staff, and an examination of the records, OIG concluded these deficiencies in the mission's compliance with the Department's Motor Vehicle Safety Management Program occurred due to insufficient management oversight. Failure to adhere to motor vehicle safety requirements increases the risk of motor vehicle mishaps and liability to the mission.

Recommendation 16: Embassy Pretoria should comply with the Department's Motor Vehicle Safety Management Program. (Action: Embassy Pretoria)

Financial Management

Mission Used Petty Cash for Routine Purchases Contrary to Department Standards

OIG found that Mission South Africa used petty cash to pay for routine purchases, even though vendors were available that could provide the needed items and would accept non-cash forms of payments, such as a purchase card or a blanket purchase agreement. Specifically, the mission spent over \$35,000 in local currency for cash purchases from October 1, 2018, to June 10, 2019. Department standards in 4 FAH-3 H-391.1a require payments to be made by check, electronic funds transfer, or other non-cash mechanism rather than in cash when possible. Despite this requirement, Facility Management staff told OIG they routinely used petty cash because mission procedures for use of blanket purchase agreements were time-consuming and burdensome. Routine reliance on cash payment increases risk and transaction costs to the U.S. Government.⁴⁵ Given the threat of criminal violence in South Africa, staff are put in additional risk of physical danger by transporting cash when they procure goods and services.

Recommendation 17: Embassy Pretoria should establish procedures to minimize the use of petty cash to pay for routine purchases in accordance with Department guidelines. (Action: Embassy Pretoria)

Information Management

OIG reviewed Mission South Africa's Information Management (IM) operations in Embassy Pretoria and Consulates General Cape Town, Durban, and Johannesburg. The IM operations reviewed included classified, unclassified, and dedicated internet network computer operations; classified communications security; emergency communications preparedness;

⁴⁴ Portions of the Federal Government were shut down due to a lapse in appropriations that occurred from 11:59 p.m. December 21, 2018, through January 25, 2019.

⁴⁵ Because petty cash transactions are conducted through the cashier, the transactions are counted in ICASS workload counts, which results in an increase to the agency's ICASS invoice.

telephone programs; and mail and pouch services. OIG found the mission's IM Section staff implemented most required information management and security controls in accordance with Department policies and applicable laws, except as noted below. Additionally, several findings are discussed in a related classified inspection report.

During the inspection, OIG identified several deficiencies, which the IM Section largely corrected during the on-site portion of the inspection. As a result, OIG did not make recommendations to address these deficiencies. The specific corrective actions taken were as follows:

- Embassy Pretoria monitored and disabled inactive classified user accounts as required by 12 FAH-10 H-112.1-1f.
- Embassy Pretoria and Consulates General Cape Town, Durban, and Johannesburg limited users' access to the information necessary per assigned roles, in accordance with 12 FAH-10 H-112.5-2(1).
- Embassy Pretoria and Consulates General Durban and Johannesburg established processes to follow the Department's password complexity rules for applications and services accounts per 12 FAH-10 H-132.4-2.
- The Counterintelligence Working Group approved the remote access program throughout the mission in accordance with 12 FAH-10 H-174.1a, b.
- Embassy Pretoria established a mission-wide Information Technology Configuration Control Board to provide oversight for IT configuration change activities per 5 FAM 862.
- Embassy Pretoria and Consulates General Cape Town, Durban, and Johannesburg implemented Department standard computerized telephone systems passwords in accordance with 12 FAM 632.1-4(B).

Information Systems Security Officers Did Not Perform All Duties

The mission's unclassified and classified Information Systems Security Officers (ISSOs) did not perform all information systems security duties in accordance with 12 FAM 613.4. Regular performance of ISSO duties, including a review of user accounts and computer operations for compliance, could have prevented these issues. OIG issued a management assistance report in May 2017⁴⁶ that identified the need to enforce the performance of ISSO duties by overseas personnel in accordance with Department standards. In the case of Mission South Africa, a lack of planning, training, and competing priorities led to neglect of the ISSO duties. Not performing ISSO duties places the security of the Department's computer systems at risk.

Recommendation 18: Embassy Pretoria should require the Information Systems Security Officers to perform their duties in accordance with Department standards. (Action: Embassy Pretoria)

⁴⁶ OIG, *Management Assistance Report: Non-Performance of Information Systems Security Officer Duties by Overseas Personnel* (ISP-17-24, May 2017).

Information Technology Contingency Planning Did Not Meet Department Standards

Consulates General Cape Town, Durban, and Johannesburg did not complete and test classified and unclassified IT contingency plans, as required by 12 FAH-10 H-232.3-1b(1)-(3). Department standards require management to update and test IT contingency plans annually for effectiveness and to determine readiness to execute the plans during system outages or disruptions. Although IM staff told OIG that they did not have the time to update the contingency plans, failure to meet these requirements prevents section managers from mitigating the risk of system and service disruptions.

Recommendation 19: Embassy Pretoria should complete and annually test the information technology contingency plans for the unclassified and classified networks in Consulates General Cape Town, Durban, and Johannesburg in accordance with Department standards. (Action: Embassy Pretoria)

Information Technology Contingency Plan Training Was Not Conducted

Consulates General Cape Town, Durban, and Johannesburg did not conduct initial and annual refresher IT contingency training for staff with those responsibilities. According to 12 FAH-10 H-232.2-1(1), management must ensure that such training is delivered to staff based on their IT contingency planning roles and responsibilities, as defined in the IT contingency plans. IM staff told OIG that they did not conduct the training because they lacked completed IT contingency plans. The lack of training on IT contingency plans, however, impedes the mission's ability to effectively respond to unplanned systems outages or disruptions.

Recommendation 20: Embassy Pretoria should conduct initial and annual refresher information technology contingency training for staff with information technology contingency planning responsibilities in Consulates General Cape Town, Durban, and Johannesburg. (Action: Embassy Pretoria)

Information Management Officer Did Not Have Oversight Responsibility for Information Management Operations in Consulates General Cape Town and Durban

Embassy Pretoria's Information Management Officer (IMO) did not have oversight responsibility for the IM operations at Consulates General Cape Town and Durban. As stated in 5 FAM 121.1a and b(6)-(7), the embassy IMO is the senior IM official at a mission consisting of multiple posts and, as such, is responsible for coordinating IT operations at the embassy and all constituent posts. At the time of the inspection, the IMO had oversight responsibilities for Consulate General Johannesburg but not for Cape Town and Durban. OIG made a recommendation to address similar issues during its last inspection of Mission South Africa,⁴⁷ and the embassy implemented the recommendation. However, embassy staff were unable to explain why embassy leadership reverted to a situation in which the IMO does not oversee all mission IT operations. Without full oversight responsibility, it was difficult for the IMO to

⁴⁷ OIG, *Inspection of Embassy Pretoria, South Africa, and Constituent Posts* (ISP-I-11-42A, June 2011).

coordinate and direct IT operations consistently and hold staff accountable for the efficiency of IT operations throughout the mission.

Recommendation 21: Embassy Pretoria should assign responsibility for supervision of information management programs at Consulates General Cape Town and Durban to the Information Management Officer. (Action: Embassy Pretoria)

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 Embassy Pretoria and the Office of the U.S. Global AIDS Coordinator and Health Diplomacy. The Department's complete responses can be found in Appendix B. The Department also provided technical comments that were incorporated into this report, as appropriate.

Recommendation 1: Embassy Pretoria should implement a process to track activities and progress against Mission South Africa's Integrated Country Strategy. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria implemented a process to track activities and progress against Mission South Africa's Integrated Country Strategy.

Recommendation 2: Embassy Pretoria should conduct end-use monitoring checks of defense, dual-use, or sensitive equipment in accordance with Department standards. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation. The embassy noted an expected completion date of March 2020.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria conducted end-use monitoring checks of defense, dual-use, or sensitive equipment in accordance with Department standards.

Recommendation 3: Embassy Pretoria should conduct Leahy vetting in accordance with Department guidance. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria conducted Leahy vetting in accordance with Department guidance.

Recommendation 4: Embassy Pretoria, in coordination with the Bureaus of African Affairs and Educational and Cultural Affairs, should repurpose the former Information Resource Centers in Consulates General Johannesburg, Cape Town, and Durban. (Action: Embassy Pretoria, in coordination with AF and ECA)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation. The embassy noted an expected completion date of May 1, 2020.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria repurposed the former Information Resource Centers in Consulates General Johannesburg, Cape Town, and Durban.

Recommendation 5: Embassy Pretoria should comply with Department standards for the use of public diplomacy resources. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria complied with Department standards for the use of public diplomacy resources.

Recommendation 6: The Office of the U.S. Global AIDS Coordinator and Health Diplomacy, in coordination with Embassy Pretoria, should identify uniform use of performance metrics for President's Emergency Plan for AIDS Relief treatment program activities in South Africa. (Action: S/GAC, in coordination with Embassy Pretoria)

Management Response: In its January 16, 2020, coordinated response with Embassy Pretoria, the Office of the U.S. Global AIDS Coordinator and Health Diplomacy concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that the Office of the U.S. Global AIDS Coordinator and Health Diplomacy identified the uniform use of performance metrics for President's Emergency Plan for AIDS Relief treatment program activities in South Africa.

Recommendation 7: Embassy Pretoria should implement a plan to improve coordination on diplomatic engagement at the national and provincial levels for the President's Emergency Plan for AIDS Relief. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria implemented a plan to improve coordination on diplomatic engagement at the national and provincial levels for the President's Emergency Plan for AIDS Relief program.

Recommendation 8: Embassy Pretoria should comply with the Office of the Global AIDS Coordinator and Health Diplomacy's guidance to conduct quarterly reviews to prevent expenditures in excess of approved funding levels for the President's Emergency Plan for AIDS Relief. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria complied with the Office of the Global AIDS Coordinator and Health Diplomacy's guidance to conduct quarterly reviews to prevent expenditures in excess of approved funding levels for the President's Plan for AIDS Relief program.

Recommendation 9: Embassy Pretoria should create and maintain disaster assistance kits and prepare for potential disasters in Durban by completing the Consular Crisis Preparedness Scorecard and the Consular Risk Assessment Tool in accordance with Department standards. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria created and maintained disaster assistance kits and prepared for potential disasters in Durban by completing the Consular Crisis Preparedness Scorecard and the Consular Risk Assessment Tool.

Recommendation 10: Embassy Pretoria, in coordination with the Bureaus of Overseas Buildings Operations and Consular Affairs, should provide a wheelchair-accessible bathroom and interview window for consular customers in Consulate General Durban. (Action: Embassy Pretoria, in coordination with OBO and CA)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria provided a wheelchair-accessible bathroom and interview window for consular customers in Consulate General Durban.

Recommendation 11: Embassy Pretoria should manage its furniture and appliance pool in accordance with Department standards. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation. The embassy noted an expected completion date of April 30, 2020.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria managed its furniture and appliance pool in accordance with Department standards.

Recommendation 12: Embassy Pretoria should bring its nonexpendable property inventory records into compliance with Department standards. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria's nonexpendable property inventory records comply with Department standards.

Recommendation 13: Embassy Pretoria should implement any Property Survey Board recommendations related to the 2018 expendable supply inventory shortages in Pretoria and Johannesburg. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria implemented any Property Survey Board recommendations related to the 2018 expendable supply inventory shortages in Pretoria and Johannesburg.

Recommendation 14: Embassy Pretoria should correct all residential safety deficiencies. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation. The embassy noted an expected completion date of March 2020.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria corrected all residential safety deficiencies.

Recommendation 15: Embassy Pretoria should cease moving employees into residences that do not meet the Department's safety standards. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria ceased moving employees into residences that do not meet Department safety standards.

Recommendation 16: Embassy Pretoria should comply with the Department's Motor Vehicle Safety Management Program. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria complied with the Department's Motor Vehicle Safety Management Program.

Recommendation 17: Embassy Pretoria should establish procedures to minimize the use of petty cash to pay for routine purchases in accordance with Department guidelines. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria established procedures to minimize the use of petty cash to pay for routine purchases in accordance with Department guidelines.

Recommendation 18: Embassy Pretoria should require the Information Systems Security Officers to perform their duties in accordance with Department standards. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation.

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

Recommendation 19: Embassy Pretoria should complete and annually test the information technology contingency plans for the unclassified and classified networks in Consulates General Cape Town, Durban, and Johannesburg in accordance with Department standards. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria neither agreed nor disagreed with this recommendation. The embassy noted it will exercise greater oversight of

the consulates general to ensure they update and test their information technology contingency plans.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria completed and tested the information technology contingency plans for the unclassified and classified networks in Consulates General Cape Town, Durban, and Johannesburg, in accordance with Department standards.

Recommendation 20: Embassy Pretoria should conduct initial and annual refresher information technology contingency training for staff with information technology contingency planning responsibilities in Consulates General Cape Town, Durban, and Johannesburg. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria conducted initial and annual refresher information technology contingency training for appropriate staff in Consulates General Cape Town, Durban, and Johannesburg.

Recommendation 21: Embassy Pretoria should assign responsibility for supervision of information management programs at Consulates General Cape Town and Durban to the Information Management Officer. (Action: Embassy Pretoria)

Management Response: In its January 16, 2020, response, Embassy Pretoria concurred with this recommendation.

OIG Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation that Embassy Pretoria assigned responsibility for supervision of information management programs at Consulates General Cape Town and Durban to the Information Management Officer.

PRINCIPAL OFFICIALS

Title	Name	Arrival Date
Chiefs of Mission:		
Chargé d'Affaires	Jessica Lapenn	12/16
Acting Deputy Chief of Mission	Ian McCary	08/18
Constituent Posts:		
Consulate Cape Town, Principal Officer	Virginia Blaser	08/17
Consulate Durban, Principal Officer	Sherry Sykes	09/17
Consulate Johannesburg, Principal Officer	Michael McCarthy	07/17
Chiefs of Sections:		
Management	Matthew Weiller	03/18
Consular	Elizabeth Power	08/16
Political (Acting)	Dana Banks	08/17
Economic	Alan Tousignant	09/17
Public Diplomacy	Craig Dicker	08/18
Regional Security	Ivan Wray	09/17
Other Agencies (selected):		
Centers for Disease Control and Prevention	Amy Herman-Roloff	11/15
Customs and Border Protection	Bryant McCray	06/18
Department of Defense	Capt. Steven Morgenfeld	08/16
Department of Health and Human Services	Steve Smith	06/13
Drug Enforcement Agency	Warren Franklin	01/19
Federal Bureau of Investigations	Jennifer Dent	08/18
Foreign Agricultural Service	James Higginston	07/18
Foreign Commercial Service	Pamela Ward	09/17
U.S. Agency for International Development	John Groarke	01/19

Source: Generated by OIG from data provided by Embassy Pretoria.

APPENDIX A: OBJECTIVES, SCOPE, AND METHODOLOGY

This inspection was conducted from May 13 to September 15, 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

Pretoria, South Africa
January 16, 2020

TO: OIG – Sandra Lewis, Assistant Inspector General for Inspections

FROM: Lana J. Marks, Ambassador

CC: Bureau of African Affairs – Tibor Nagy, Assistant Secretary
 Bureau of Consular Affairs – Carl Risch, Assistant Secretary
 Bureau of Educational and Cultural Affairs – Marie Royce, Assistant Secretary
 Office of the U.S. Global AIDS Coordinator and Health Diplomacy –
 Deborah Birx, Ambassador, U.S. Global AIDS Coordinator and
 Special Representative for Global Health Diplomacy

SUBJECT: Review and Comment: Draft OIG Report: Inspection of Embassy
 Pretoria and Constituent Posts, South Africa

The U.S. Mission to South Africa has reviewed the draft OIG report and provides the following responses to each of its 21 recommendations.

OIG Recommendation 1:

Embassy Pretoria should implement a process to track activities and progress against Mission South Africa’s Integrated Country Strategy.

Management Response: Embassy Pretoria concurs with this recommendation and is reconfiguring the agenda of current standing meetings to include ICS activity tracking and progress discussions. For example, as of February 1, two Mission-wide working groups, “Shared Prosperity” and “Governance,” will include standing agenda items covering progress on ICS Goal 2: “Promote Prosperity and Good Governance” and ICS Goal 3, “Advance Public Health, Human Rights, and Dignity.” Furthermore, our Country Team annual offsite, notionally scheduled for March, will include ICS-focused readouts from the relevant monthly meetings and a comprehensive review, planning, and discussion on ICS activities and goals in the year ahead.

OIG Recommendation 2:

UNCLASSIFIED

Embassy Pretoria should conduct end-use monitoring checks of defense, dual-use, or sensitive equipment in accordance with Department standards.

Management Response: Embassy Pretoria concurs with the recommendation that the end-use monitoring of defense, dual-use, and sensitive equipment should occur in accordance with Department standards. To correct a gap identified by OIG's inspectors during their May 2019 visit to post, Post's ESTH officer liaised in June and July 2019 with the Bureau of International Law Enforcement and Narcotics Affairs (INL) and the South African Department of Environment, Forestry, and Fisheries (DEFF) to identify equipment that had been donated to the South African government via previous wildlife grants in order to create a consolidated list of donations requiring end-use monitoring. The ESTH officer is now working with DEFF's Chief Director of Enforcement to identify the appropriate points of contact throughout South Africa's national and regional parks for equipment monitoring, as personnel turnover since the time of donation has disrupted the end-use monitoring process in a number of these entities. The expected completion date for this process is March 2020.

OIG Recommendation 3:

Embassy Pretoria should conduct Leahy vetting in accordance with Department guidance.

Management Response: Embassy Pretoria concurs with the recommendation that all South African security force units that receive U.S.-donated equipment be properly vetted. To correct a gap identified by OIG's inspectors during their May 2019 visit to Post, the DCM informed the AF and DRL Bureaus in July, 2019 that the ESTH Officer had identified two INL-funded grants aimed at reducing wildlife trafficking that included equipment donations. According to AF and DRL specialists, Department policy is to not retroactively vet equipment donations that were not part of active grants or programs. ESTH officer instead submitted Leahy approvals via the INVEST system for the equipment recipients on the active grants. Post coordinator also updated Post's Leahy vetting SOPs to include detailed information regarding vetting procedures for security units receiving equipment or non-training assistance and circulated them to all relevant sections and agencies at Post with INVEST responsibilities. With these measures, Post brought Leahy procedures and vetting have been brought into accordance with Department guidance.

OIG Recommendation 4:

Embassy Pretoria, in coordination with the Bureaus of African Affairs and Educational and Cultural Affairs, should repurpose the former Information Resource Centers in Consulates General Johannesburg, Cape Town, and Durban. (Action: Embassy Pretoria, in coordination with AF and ECA)

Management Response: Embassy Pretoria, in coordination with AF and ECA, concurs with the recommendation. Consulate Johannesburg has taken steps to implement the recommendation by relinquishing the former IRC space to Management to determine an appropriate use by other sections or agencies by April 2020. PAS Cape Town has vacated the library area of its former IRC and will work with the Consulate Management Section to identify new work spaces in or near PAS for two LE staff who are currently in offices accessible only through the library space, hopefully prior to May 1, 2020. PAS Durban will relinquish the former IRC space prior to May 1, 2020.

OIG Recommendation 5:

Embassy Pretoria should comply with Department standards for the use of public diplomacy resources. (Action: Embassy Pretoria)

Management Response: Embassy Pretoria concurs with the recommendation. To rectify an issue identified by OIG inspectors during their visit, PAS Pretoria and Consulate Cape Town are working with Mission Management to meet the Mission's non-PD audio-visual (A/V) support needs. PAS Pretoria and PAS Cape Town have already taken steps to remove non-PD A/V support from PAS staff duties and position descriptions. Pretoria Management is facilitating training for ICASS staff in A/V functions and is evaluating how to cover non-PD A/V needs with ICASS staff. Cape Town ICASS is in the process of hiring a new ICASS employee who will have this work responsibility added to their position description.

OIG Recommendation 6:

The Office of the U.S. Global AIDS Coordinator and Health Diplomacy, in coordination with Embassy Pretoria, should identify uniform performance metrics for President's Emergency Plan for AIDS Relief treatment program activities in South Africa. (Action: S/GAC, in coordination with Embassy Pretoria)

UNCLASSIFIED

Management Response: As Recommendation 6 is currently written: “The Office of the U.S. Global AIDS Coordinator and Health Diplomacy, in coordination with Embassy Pretoria, should identify uniform performance metrics for President’s Emergency Plan for AIDS Relief treatment program activities in South Africa. (Action: S/GAC, in coordination with Embassy Pretoria)” – S/GAC disagrees with this recommendation as uniform performance metrics exist for South Africa and all PEPFAR OUs. S/GAC advises that it can provide metrics, dashboards, SOPs, etc.

If the recommendation were slightly reworded to “The Office of the U.S. Global AIDS Coordinator and Health Diplomacy, in coordination with Embassy Pretoria, should identify uniform use of performance metrics for President’s Emergency Plan for AIDS Relief treatment program activities in South Africa. (Action: S/GAC, in coordination with Embassy Pretoria)” – S/GAC would agree with this recommendation. With this wording change in mind we would additionally note that interagency agreed-upon analysis indicators for partner monitoring, based on standardized S/GAC MER indicators, are currently in development.

OIG Recommendation 7:

Embassy Pretoria should implement a plan to improve coordination on diplomatic engagement at the national and provincial levels for the President’s Emergency Plan for AIDS Relief. (Action: Embassy Pretoria)

Management Response: Embassy Pretoria concurs with the recommendation and developed a Provincial Engagement Strategy for PEPFAR in December 2019 - implementation commenced in January 2020. This strategy clearly delineates engagement with the provinces and the role of PPLs. Weekly, inter-agency and PEPFAR Coordination Office engagement with National Department of Health has been occurring since October 2019 and is planned to continue.

OIG Recommendation 8:

Embassy Pretoria should comply with the Office of the Global AIDS Coordinator and Health Diplomacy’s guidance to conduct quarterly reviews to prevent expenditures in excess of approved funding levels for the President’s Emergency Plan for AIDS Relief. (Action: Embassy Pretoria)

Management Response: Embassy Pretoria concurs with the recommendation and, in addition to the quarterly POART process which includes expenditure analyses, will begin implementing quarterly expenditure reviews of implementing partners to

prevent excess expenditure. S/GAC is transferring the full amount of FY20 funds to the agencies, but will request agencies initially only obligate 50% of the funding, to ensure ongoing activities but to allow for closer monitoring of outlays.

OIG Recommendation 9:

Embassy Pretoria should create and maintain disaster assistance kits and prepare for potential disasters in Durban by completing the Consular Crisis Preparedness Scorecard and the Consular Risk Assessment Tool in accordance with Department standards. (Action: Embassy Pretoria)

Management Response: Embassy Pretoria concurs with the recommendation. The Consulate General in Durban has implemented the recommendation by procuring disaster assistance kits and has initiated an update to the Consular Crisis Preparedness Scorecard and the Consular Risk Assessment Tool.

OIG Recommendation 10: Embassy Pretoria, in coordination with the Bureaus of Overseas Buildings Operations and Consular Affairs, should provide a wheelchair-accessible bathroom and interview window for consular customers in Consulate General Durban. (Action: Embassy Pretoria, in coordination with OBO and CA)

Management Response: Embassy Pretoria concurs with the recommendation. Consulate General Durban has a scheduled visit from an OBO/ DS technical team that will arrive at post in February 2020 in order to develop a life safety and security mitigation plan at Consulate facilities. Post will work with the team to include this recommendation in the scope of work that already includes items to be completed in Consular space.

OIG Recommendation 11: Embassy Pretoria should manage its furniture and appliance pool in accordance with Department standards.

Management Response: Embassy Pretoria concurs with the recommendation and confirms that non FAP items are no longer in non FAP locations (with the exception of items on loan to the CMR pending arrival of replacement RDF items. These items will all be removed NLT April 30, 2020).

OIG Recommendation 12: Embassy Pretoria should bring its nonexpendable property inventory records into compliance with Department standards.

Management Response: Embassy Pretoria concurs with the recommendation. Following the departure of the previous Records Supervisor the Inventory team has received training and a complete 'accurate' inventory has been taken to establish a new baseline.

OIG Recommendation 13: Embassy Pretoria should implement any Property Survey Board recommendations related to the 2018 expendable supply inventory shortages in Pretoria and Johannesburg. (Action: Embassy Pretoria)

Management Response: Embassy Pretoria concurs with the recommendation. The inventory supervisor responsible for the incident has left the employment of the embassy and a new supervisor has been assigned. The General Services Office has assumed responsibility for the control and management of all expendable supplies stock and inventory spot checks are being conducted on a regular but random basis.

OIG Recommendation 14: Embassy Pretoria should correct all residential safety deficiencies. (Action: Embassy Pretoria)

Management Response: Embassy Pretoria concurs with the recommendation. The Embassy has corrected all pending residential safety deficiencies and has incorporated additional checks in the make-ready and commissioning process for residences to ensure such deficiencies are promptly identified and addressed in the future. Embassy Pretoria is updating all residential POSHO certifications in the SHEMA POSHO certification application. Expected completion date is March 2020.

OIG Recommendation 15: Embassy Pretoria should cease moving employees into residences that do not meet the Department's safety standards. (Action: Embassy Pretoria)

Management Response: Embassy Pretoria concurs and confirms that every occupied residence has an up to date safety certificate on file in the RPA, and no new occupant will be moved in without this certificate.

OIG Recommendation 16: Embassy Pretoria should comply with the Department's Motor Vehicle Safety Management Program. (Action: Embassy Pretoria)

Management Response: Embassy Pretoria concurs and confirms that all required driver documentation (Smith system training certifications, valid driver's licenses, and medical clearances) are up to date and on file. Any driver without up to date paperwork is not permitted to drive any Government vehicle.

OIG Recommendation 17: Embassy Pretoria should establish procedures to minimize the use of petty cash to pay for routine purchases in accordance with Department guidelines. (Action: Embassy Pretoria)

Management Response: Embassy Pretoria concurs with this recommendation. A new BPA process has been implemented and is already operational for purchasing items below \$500. GSO and FMO are also actively encouraging use of purchase cards whenever possible.

OIG Recommendation 18: Embassy Pretoria should require the Information Systems Security Officers to perform their duties in accordance with Department standards. (Action: Embassy Pretoria)

Management Response: Embassy Pretoria concurs that proper execution of ISSO duties is critical to the protection of U.S. Government information. IRM Pretoria, and specifically Post's primary ISSO, has a renewed focus on these responsibilities, made possible now that the office has sufficient staffing.

OIG Recommendation 19: Embassy Pretoria should complete and annually test the information technology contingency plans for the unclassified and classified networks in Consulates General Cape Town, Durban, and Johannesburg in accordance with Department standards. (Action: Embassy Pretoria)

Management Response: Embassy Pretoria did have current ITCP plans and did also test them. Embassy Pretoria will exercise greater oversight of the consulates to ensure they keep their ITCPs current and test them as well. The IMO has given the consulates a deadline of May 15, 2020 to share their updated ITCPs and will test them in-person following receipt of their plans.

OIG Recommendation 20: Embassy Pretoria should conduct initial and annual refresher information technology contingency training for staff with information technology contingency planning responsibilities in Consulates General Cape Town, Durban, and Johannesburg. (Action: Embassy Pretoria)

UNCLASSIFIED

Management Response: Embassy Pretoria concurs with this recommendation. The IMO will add ITC training to his checklist to complete at the consulates during his regular visits.

OIG Recommendation 21: Embassy Pretoria should assign responsibility for supervision of information management programs at Consulates General Cape Town and Durban to the Information Management Officer. (Action: Embassy Pretoria)

Management Response: Embassy Pretoria concurs with this recommendation. The IMO is the reviewer for IPOs Durban and Johannesburg and will work with Cape Town to make the change.

Additionally, the U.S. Mission requests the following changes to the draft text:

OIG Draft Report Text, Page 10:

“Despite positive engagement with the public, staff in Pretoria told OIG that the complete turnover of American personnel in the section disrupted the section’s continuity of operations.”

Requested Correction to Page 10:

“Despite positive engagement with the public, staff in Pretoria told OIG that the large-scale turnover of American personnel in the section disrupted the section’s continuity of operations.”

OIG Footnote 10:

“All six U.S. direct-hire employees in the Pretoria Public Diplomacy section arrived in the year prior to the inspection, and the positions remain on a 3-year cycle that will cause the issue to recur in 2021 unless there is a change in the assignment length for one or more of the U.S. direct-hire employees.”

Requested Correction to Footnote 10:

“Five of the six U.S. direct-hire Foreign Service generalist officers in the Pretoria Public Diplomacy section arrived in the year prior to the inspection. At the time of the inspection those five positions were on a 3-year cycle that would cause the issue to recur in 2021 unless there was a change in the assignment length for one or more of the U.S. direct-hire officers.”

[Note: Subsequent to the inspection, the incumbent PAO retired on short notice, effective November 2019. The PAO position was re-advertised and will be filled effective May 2020, thus, addressing this issue.]

OIG Draft Report Text, page 31:

The U.S. Agency for International Development's Mission Director in South Africa is John Groarke, not Ed Newcomer. The latter is the attaché for the U.S. Fish and Wildlife Service.

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ABBREVIATIONS

ARV	Antiretroviral
DCM	Deputy Chief of Mission
EEO	Equal Employment Opportunity
FAH	Foreign Affairs Handbook
FAM	Foreign Affairs Manual
FAP	Furniture and Appliance Pool
FAST	First- and Second-Tour
GOR	Grants Officer Representative
ICASS	International Cooperative Administrative Support Services
ICS	Integrated Country Strategy
IM	Information Management
IMO	Information Management Officer
IPC	Information Programs Center
ISSO	Information Systems Security Officer
LE	Locally Employed
PEPFAR	President's Emergency Plan for AIDS Relief
RIMC	Regional Information Management Center
S/GAC	Office of the U.S. Global AIDS Coordinator and Health Diplomacy
USAID	U.S. Agency for International Development

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