

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



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OIG Work Planning Process

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

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

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

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

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

Typically, the Office of Inspections' (ISP) annual planning process results in a full fiscal year of scheduled inspections. However, ISP is planning inspections on a rolling basis due to uncertainties caused by the COVID-19 pandemic. ISP expects to announce its FY 2021 spring inspection schedule in January or February 2021. ISP will continue to assess evolving guidance related to the COVID-19 pandemic to plan for FY 2022 and beyond, as appropriate.

Office of Inspections

The Office of Inspections (ISP) is comprised of multidisciplinary teams responsible for carrying out OIG's mandate to inspect overseas missions and domestic entities of the Department and USAGM. Inspections are conducted to provide the Department with independent assessments that cover three broad areas, consistent with Section 209 of the Foreign Service Act of 1980:

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

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

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

PLANNED INSPECTIONS FOR THE FY 2021 WINTER INSPECTION CYCLE

Agency/Bureau	Project Title	Initiation Date
Bureau of Administration (A)	<p><i>Inspection of the Bureau of Administration, Office of the Procurement Executive, Office of Acquisitions Management, International Programs Division, Grants Branch</i></p> <p>A Bureau’s Office of Acquisitions Management, Grants Branch (A/OPE/AQM/IP/G) is a working-capital funded office that delivers Federal assistance award services to bureaus and overseas embassies. OIG has consistently identified grants management as a major management challenge for the Department. The preliminary objectives for this inspection are to (1) assess whether the Grants Branch effectively manages Federal assistance awards while also meeting customer needs and requirements and (2) determine whether it has allocated its resources appropriately to address recent and proposed changes to its workload.</p>	Winter 2021
A	<p><i>Inspection of the Bureau of Administration, Office of Program Management and Policy, Property Management Division</i></p> <p>A Bureau’s Property Management Division (A/LM/PMP/PM) reviews program operations, implements regulations and procedures, and provides guidance in the areas of property receipt, storage, accountability, inventory management, utilization, and disposal. The division also develops and issues logistics policies for all Department personal property, including \$5.2 billion in nonexpendable property and \$91.1 million in expendable property worldwide in FY 2020. OIG inspection reports have found issues related to the management of property, including deficiencies related to expendable property accountability, warehousing operations, property transfers, residential inventories, and property disposals. The preliminary objective for this inspection is to assess A/LM/PMP/PM’s effectiveness in implementing Department property management programs and internal controls. The inspection will include a review of several new programs aimed at enhancing post and</p>	Winter 2021

Agency/Bureau	Project Title	Initiation Date
	stakeholder compliance with property accountability requirements.	
A	<p data-bbox="488 390 1138 457"><i>Inspection of the Bureau of Administration, Office of Operations, Office of Overseas Schools</i></p> <p data-bbox="488 485 1195 1094">A Bureau’s Office of Overseas Schools (A/OPR/OS) assists posts in assessing the quality of overseas schools for the dependent children of U.S. Government employees. The office also supports programs to improve educational opportunities in countries where schools do not meet American educational standards. A/OPR/OS assists 192 overseas schools through direct and indirect support programs designed to promote an American-style education. The preliminary objectives for this inspection are to (1) determine whether A/OPR/OS effectively manages its resources, including \$12.5 million in grants, (2) assess the effectiveness of A/OPR/OS’s support to overseas missions and schools, and (3) assess A/OPR/OS’s support to overseas schools during the global COVID-19 pandemic.</p>	Winter 2021
Bureau of Global Talent Management (GTM)	<p data-bbox="488 1136 1182 1203"><i>Inspection of the Bureau of Global Talent Management, Executive Office, Systems Development Division</i></p> <p data-bbox="488 1230 1195 1839">GTM’s Systems Development Division (GTM/EX/SDD) develops, customizes, and maintains systems and applications that support human resource management and business processes for the Department and Federal agencies under Chief of Mission authority. GTM/EX/SDD manages some of the Department’s largest applications that impact its employees worldwide, including the Global Employment Management System, Overseas Personnel Systems, and HR Online. The preliminary objectives for this inspection are to assess whether GTM/EX/SDD (1) implemented standardized processes for system development life cycle management and (2) incorporated IT security requirements throughout the project life cycle of all major applications and general support system activities.</p>	Winter 2021

Agency/Bureau	Project Title	Initiation Date
Bureau of Diplomatic Security (DS)	<p><i>Inspection of the Bureau of Diplomatic Security, Criminal Investigations Division, Criminal Investigative Liaison Branch</i></p> <p>DS's Criminal Investigative Liaison Branch (DS/CR/CIL) serves as the conduit between overseas Regional Security Officers (RSOs) and local, state, and Federal investigative agencies (LSFIAs). The branch receives leads from LSFIAs that require action overseas, as well as leads from RSOs and host nation investigative agencies requiring domestic follow up. DS/CR/CIL is often the only interface between DS and other agencies. The preliminary objectives for this investigation are to (1) assess DS/CR/CIL's response to investigative lead requests from LSFIAs and (2) determine whether the quality and timing of the responses meet the needs of the other investigative agencies.</p>	Winter 2021
DS	<p><i>Inspection of the Bureau of Diplomatic Security, Overseas Security Advisory Council</i></p> <p>DS's Overseas Security Advisory Council (OSAC) delivers security-related information to more than 5,000 American businesses and universities located overseas. Made up of 34 private sector and four public sector member organizations, OSAC promotes the global exchange of unclassified security-related information and shares real-time information in a manner that allows for threat mitigation. The preliminary objectives for this inspection are to (1) assess how OSAC collects, coordinates, and disseminates security-related information between the U.S. Government and U.S. private sector organizations operating abroad and (2) evaluate OSAC's operations in the context of its 2016 transfer from DS's Front Office to the bureau's Threat Investigations and Analysis Directorate.</p>	Winter 2021
Bureau of Consular Affairs (CA)	<p><i>Inspection of the Bureau of Consular Affairs, Office of 1CA: Leadership, Management, and Innovation</i></p> <p>The Office of 1CA: Leadership, Management, and Innovation (CA/1CA) directs the bureau's worldwide management framework, used to make resource</p>	Winter 2021

Agency/Bureau	Project Title	Initiation Date
	<p>decisions, and gauge the effectiveness of consular operations. It also manages the bureau's leadership and innovation programs. The preliminary objectives for this inspection are to (1) determine whether the bureau has instituted the consular management framework described in 9 FAM 601 through the CA/1CA program and (2) assess the extent to which posts follow CA/1CA guidance to mitigate the effects of hiring freezes and budget reductions associated with the COVID-19 pandemic.</p>	
<p>Under Secretary for Economic Growth, Energy, and Environment (E)</p>	<p><i>Inspection of the Under Secretary for Economic Growth, Energy and the Environment, Office of the Science and Technology Adviser</i></p> <p>The Office of the Science and Technology Adviser to the Secretary (STAS) advises the Secretary on foreign policy implications of science, technology, and research and development issues. The preliminary objectives of this inspection are to assess (1) how STAS sets diplomatic engagement priorities and measures results, consistent with 18 FAM 300 strategic planning guidance, and (2) whether STAS's responsibilities overlap with those of other bureaus or offices.</p>	<p>Winter 2021</p>
<p>Under Secretary for Civilian Security, Democracy, and Human Rights (J)</p>	<p><i>Inspection of the Under Secretary for Civilian Security, Democracy, and Human Rights, Office of Global Criminal Justice</i></p> <p>The Office of Global Criminal Justice (J/GCJ) engages international partners on war crimes, genocide, and atrocities issues. It also administers the War Crimes Rewards Program, a program intended to facilitate identification and prosecution of those involved in international war crimes. The preliminary objectives of this inspection are to determine (1) the extent to which J/GCJ has established clear diplomatic engagement responsibilities and has developed outcome-based strategic planning goals, as required by 18 FAM 300, and (2) whether the War Crimes Rewards Program follows applicable statutory and regulatory requirements.</p>	<p>Winter 2021</p>

Agency/Bureau	Project Title	Initiation Date
Bureau of African Affairs (AF)	<p data-bbox="488 281 997 312"><i>Inspection of Embassy Praia, Cabo Verde</i></p> <p data-bbox="488 338 1133 600">Embassy Praia originally was scheduled for an inspection in FY 2020, but OIG postponed the inspection due to the COVID-19 pandemic. The objectives for this inspection are to assess policy implementation, resource management, and management controls. OIG intends to conduct the inspection remotely.</p>	Winter 2021
Bureau of Education and Cultural Affairs (ECA)	<p data-bbox="488 621 1154 726"><i>Information Report: Effects of COVID-19 Pandemic on Bureau of Educational and Cultural Affairs Exchange Programs</i></p> <p data-bbox="488 751 1198 1362">The Bureau of Educational and Cultural Affairs (ECA) oversees more than 140 exchange programs with an annual budget of nearly \$700 million. ECA's exchange programs bring more than 300,000 participants to the U.S. in a normal year. However, ECA announced the suspension or modification of a wide variety of these exchange programs in response to the COVID-19 pandemic. The preliminary objectives of this information report are to assess the effects of the COVID-19 pandemic on ECA in three areas: (1) financial management and budget expenditures for FY 2021; (2) impact on the bureau's key implementing partners and mitigating steps undertaken by ECA in this regard; and (3) ECA's ability to carry out activities under existing awards, meet performance goals, and ensure adequate monitoring and evaluation of programs.</p>	Winter 2021

Office of Overseas Contingency Operations Oversight

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

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

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

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

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

- Inspection of the Bureau of Administration, Office of the Procurement Executive, Office of Acquisitions Management, International Programs Division, Grants Branch
- Inspection of the Bureau of Administration, Office of Program Management and Policy, Property Management Division
- Inspection of the Bureau of Diplomatic Security, Overseas Security Advisory Council
- Inspection of the Under Secretary for Civilian Security, Democracy, and Human Rights, Office of Global Criminal Justice

Appendix A: Abbreviations and Definitions

Identifier	Definition
A	Bureau of Administration
AF	Bureau of African Affairs
AQM	Office of Acquisitions Management
AUD	Office of Audits
CA	Bureau of Consular Affairs
Department	Department of State
DoD	Department of Defense
DS	Bureau of Diplomatic Security
E	Under Secretary for Economic Growth, Energy, and Environment
ESP	Evaluations and Special Projects
ECA	Bureau of Education and Cultural Affairs
FY	Fiscal Year
GCI	Office of Global Criminal Justice
GTM	Bureau of Global Talent Management
H	Bureau of Legislative Affairs
INV	Office of Investigations
ISIS	Islamic State of Iraq and Syria
ISP	Office of Inspections
J	Under Secretary for Civilian Security, Democracy and Human Rights
LSFIA	Local, State, and Federal Investigative Agencies
OCO	Overseas Contingency Operations
OIG	Office of Inspector General
OPE	Office of Procurement Executive
OSAC	Diplomatic Security's Overseas Security Advisory Council
RSO	Regional Security Officer
STAS	Office of the Science and Technology Adviser to the Secretary
USAGM	U.S. Agency For Global Media (Formally the Broadcasting Board of Governors)
USAID	U.S. Agency For International Development



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