



# OIG

## Office of Inspector General

U.S. Department of State • Broadcasting Board of Governors

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ISP-I-16-22A

Office of Inspections

September 2016

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# Inspection of Embassy Montevideo, Uruguay

## BUREAU OF WESTERN HEMISPHERE AFFAIRS

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# OIG HIGHLIGHTS

ISP-I-16-22A

September 2016  
OFFICE OF INSPECTIONS  
Bureau of Western Hemisphere Affairs

Inspection of Embassy Montevideo, Uruguay

## Key Findings

- The Chargé d’Affaires and Acting Deputy Chief of Mission practiced and encouraged information sharing and innovation, attributes of leadership emphasized in 3 Foreign Affairs Manual 1214.
- The Consular Section met management and internal controls requirements and used innovative projects to engage with the public.
- The Public Affairs Section initiated several innovative projects. The section was in substantial compliance with Department regulations on grants.
- Embassy Montevideo did not use record emails, even when the exchanges contained information that facilitated decision making and documented policy formulation and execution.

### What OIG Inspected

OIG inspected the U.S. Embassy in Montevideo from February 9 to 23, 2016.

### What OIG Recommended

OIG made two recommendations to U.S. Embassy Montevideo to improve embassy operations and internal controls.

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## CONTEXT

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Uruguay is one of the most developed countries in South America. Uruguay is ranked by various international indices as most democratic,<sup>1</sup> least corrupt,<sup>2</sup> highest in social progress,<sup>3</sup> and highest in troop contributions to United Nation's Peace Keeping Operations<sup>4</sup> within the South American region. More than half its 3.3 million citizens live in the capital Montevideo. Almost 80 percent of the country's exports are agriculture-based—particularly livestock-related—products. It is a founding member of the Southern cone trading bloc known as MERCOSUR, whose Secretariat is located in Montevideo.

The FY 2016–18 Integrated Country Strategy (ICS) lists three mission goals: a more secure and just society, sustainable and inclusive economic growth, and a more inclusive society with greater educational opportunities. The United States provides no bilateral economic assistance; U.S. security assistance included more than \$7 million in FY 2016 to bolster the capabilities of Uruguayan peace keeping forces. Smaller programs include \$250,000 for support to the Uruguayan prison service and an approximately \$500,000 Washington-managed program focused on trafficking in persons.

The mission comprises 64 U.S. direct-hire and more than 180 locally employed (LE) staff members. Other agencies represented at the embassy are the Department of Defense and the Drug Enforcement Administration. The embassy building was designed by I.M. Pei and was built in 1969. It is due for a major rehabilitation project scheduled to start in late 2016. At the time of the inspection, the embassy had been without an ambassador since December 2014. The White House in January 2016 nominated a candidate who was awaiting confirmation at the time of the inspection.

OIG conducted a security assessment, which is discussed in a classified annex to this inspection report. The annex contains a comprehensive discussion of the security program and issues affecting the safety of mission personnel and facilities.

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<sup>1</sup> Democracy Index 2015, Economist Intelligence Unit, p.4.

<sup>2</sup> Corruptions Perception Index 2015, Transparency International.

<sup>3</sup> Social Progress Index 2015, Social Progress Imperative, p.9.

<sup>4</sup> Peacekeeping Contributor Profile: Uruguay, Sotomayor, Arturo, May 2013.

## EXECUTIVE DIRECTION

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OIG based the following assessments of the embassy's leadership on the results of 126 documented interviews, 35 of which elicited comments on the Chargé d'Affaires (CDA) and the Acting Deputy Chief of Mission (A/DCM); meetings in Washington and Uruguay, including 40 questionnaires completed by U.S. direct-hire and LE staff members with comments on Front Office performance; and OIG review of documents and observations of embassy meetings and activities during the course of the on-site inspection.

### **Tone at the Top and Standards of Conduct**

U.S. direct-hire and LE embassy staff members described the CDA and the A/DCM as a collaborative team that is inclusive and innovative, attributes of leadership emphasized in 3 Foreign Affairs Manual (FAM) 1214.

Embassy staff members expressed support for the CDA's efforts to share information broadly and to seek feedback from the staff. Embassy staff members cited three best practices the CDA had initiated: posting redacted (unclassified) notes from the weekly country team meeting on the embassy SharePoint site; the roll-out of the ICS goals in a formal presentation—"Why We Are Here"—in both English and Spanish for all embassy staff members; and the institution of an on-line anonymous suggestion box, through which the CDA encourages feedback and solicits new ideas and shares his responses with the entire embassy community.

#### **"Why We Are Here" Presentation**

To ensure that all members of the embassy staff (from drivers to section chiefs) understand the embassy's mission, the CDA spearheaded the design of a formal PowerPoint presentation, entitled "Why We Are Here," which summarizes in mission statement format the goals of the ICS. The presentation, available in English and Spanish, was then given at a town hall meeting with all embassy staff members and posted on the embassy's SharePoint site. Staff members of the Department's Office of Foreign Assistance cited this as both rare in their experience and as a best practice for all embassies.

During the inspection, OIG identified one instance of nepotism inconsistent with 3 FAM 8326c, which prohibits general supervision over a relative. OIG advised embassy leadership to resolve the situation, which they did during the post-inspection period.

### **Execution of Foreign Policy Goals and Objectives**

In lieu of an ambassador's Presidential Letter of Instruction, the CDA exercises chief of mission authority under the provisions of 1 FAM 013.2 and 22 U.S. Code 4801. He leads a country team in pursuit of U.S. foreign policy objectives, consistent with his responsibilities under 2 FAM 113.1b. Representatives of non-Department agencies resident at post told OIG they were satisfied with the support the CDA and the A/DCM provided for their programs and that the FY 2016–18 ICS reflected accurately their respective agency policy and program equities. Consistent with the Bureau of Western Hemisphere Affairs FY 2015–18 Joint Regional Strategy goal of

“social inclusion and essential social services for all peoples of the Americas,” the embassy revised the ICS to include objectives and strategies to help Uruguay promote greater social inclusion and educational reform, particularly greater economic opportunity for women.

### ***Policy Engagement with Host Government***

In December 2014, Uruguay’s then-president accepted for resettlement six former detainees from the U.S. Government-managed Guantanamo Bay detention center. In March 2015, a new Uruguayan Government was elected. CDA engagement with senior levels of the new administration helped to ensure that it understood and honored the commitments made to the U.S. Government regarding the resettlement of the six former Guantanamo detainees. The CDA and his country team have worked to sustain Uruguay’s commitment to United Nations peacekeeping missions. In September 2015, President Vasquez co-hosted with President Obama the Peacekeeping Summit at the United Nations General Assembly.

### **Internal Control**

Under the supervision of the CDA, the Management Officer coordinated the reviews of vulnerabilities and controls by all embassy sections that resulted in the 2015 Annual Chief of Mission Statement of Assurance, which the CDA signed. As detailed later in the report, OIG found five areas of non-compliance with Department regulations in management operations. Embassy Montevideo corrected four non-compliance areas during the inspection, as discussed further in this report.

The A/DCM performed non-immigrant visa adjudication reviews, a required element of consular internal controls, prescribed by 9 FAM 403.9-2d, for 100 percent of the adjudication days in 2015.

### **Security of the Mission and Non-Official Americans**

Security personnel stated that both the CDA and the A/DCM are involved in developing security policies and programs, as required by 2 FAM 113.1c (5) and, further, that both officers encourage and participate in the security training and drills the Regional Security Office conducts.

The CDA and the A/DCM participated in consular outreach events with American citizens resident in Uruguay, at which the crime situation and personal security and emergency preparedness were discussed, consistent with the 2 FAM 113.1c (14) requirement to advise, assist, and protect U.S. citizens abroad. The CDA chairs the local Overseas Security Advisory Council and participates in its regular meetings.

### **Development of Human Capital: First- and Second-Tour Employees**

The CDA and the A/DCM work together to support the professional development of the First- and Second-Tour (FAST) employees, as required by 3 FAM 2242.4. The CDA hosts a monthly social event for FAST employees and mid- and senior-level members of the embassy staff to

discuss such topics as bidding, drafting employee evaluation reviews, and supervising the LE staff. The CDA and the A/DCM support and facilitate on-the-job training opportunities for FAST employees that include note taking and report drafting, hosting representational events, public speaking, serving on embassy-wide committees (including employee evaluation review panels), organizing events, and serving as control officers for U.S. Government visitors. FAST employees rotate responsibility for coordination of the program. All FAST employees present at post during the inspection said they appreciated the support of the CDA and the A/DCM for the program, particularly their attention to mentoring the facilitation of cross-training and skill development opportunities. During the inspection, the FAST coordinator finalized and the CDA signed a written FAST policy for the embassy.

## POLICY AND PROGRAM IMPLEMENTATION

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### Political/Economic Reporting

Washington end-users, including officials in the Bureau of Western Hemisphere Affairs, expressed satisfaction with Political/Economic Section reporting that provides the information needed to understand the U.S.-Uruguayan relationship.

The Political/Economic Section develops a quarterly reporting plan based on the key elements of the ICS. OIG reviewed 60 cables prepared over the past 7 months and found that the messages were well sourced and incorporated input from a wide variety of embassy offices, including the Executive Office.

#### *Embassy Does Not Use Record Emails*

Embassy Montevideo does not use record emails, even when the exchanges contain information that facilitates decision making and documents policy formulation and execution. Department guidelines on record emails are outlined in 5 FAM 443.2. Failure to use the State Messaging and Archive Retrieval Toolset system hinders the Department's ability to retain and retrieve records. Embassy staff at all levels said no clear guidance or training existed on the use of record email. In addition to not sending record emails, none of the officers interviewed had received a record email during their assignments in Montevideo.

**Recommendation 1:** Embassy Montevideo should comply with Department guidance and preserve record correspondence by using the record email system. (Action: Embassy Montevideo)

#### *Political/Economic File Management Now in Accordance with Department and Federal Regulations*

In January 2016, the Political/Economic Section implemented a new centralized electronic filing system that is in accordance with Department and Federal regulations on records management. The new filing system is accessible to all members of the section and can be archived, retired, or readily retrieved if the Action Officer is absent or transfers.

## *Leahy Vetting*

Embassy Montevideo follows the requirements for Leahy human rights vetting. The embassy had processed more than 290 vetting cases during the past year, in accordance with Leahy laws and policies.<sup>5</sup> These prohibit assistance to foreign security forces in the presence of credible information that such forces have committed gross violations of human rights.

## **Public Diplomacy**

OIG interviewed embassy staff members responsible for cultural, educational, and information programs in the Public Affairs Section (PAS) and directors of the Fulbright Commission and the Binational Center. OIG also reviewed budget, grants, and public outreach activities documents. A key ICS goal for the mission is to increase the number of Uruguayans who are favorable toward U.S. policies, resulting in greater cooperation on key issues. The public diplomacy environment is indicated in a poll by Latinobarometro—a South American polling organization that has surveyed in Latin America since 1995—that showed a favorable rating for the United States of 60 percent (compared to favorability ratings in Argentina and Chile at 48 percent and 55 percent, respectively). However, LE staff comments in interviews with OIG, as well as newspaper articles on public attitudes, indicate a residual skepticism of U.S. policies.

### *The Public Affairs Section Is Innovative*

PAS engages in innovative practices to address the public diplomacy environment. For example:

- PAS collaborated with the embassy's Engineering Services Center to launch a robot diplomacy program to teach high school students how to build and program robots. This supported the ICS goals of promoting science and technology; social inclusion; and encouraging women to go into science, technology, engineering and math fields.
- In another project, PAS promoted the safe and responsible use of new technologies and social media among Uruguayan youth through the SafeTICS<sup>6</sup> symposium. This mission-initiated program has reached out to more than 3,000 students ages 10 to 14 as well as parents and educators in Montevideo and the country's interior. SafeTICS addresses the ICS goals of social inclusion and education.

### *Interaction with the Front Office*

The CDA has not engaged in live policy discussions on major traditional media, although his public outreach efforts include opening remarks about three to four times per month at public diplomacy events. The CDA said that he considers public diplomacy important to the mission's ability to achieve the ICS objectives. OIG suggested that PAS consider how the CDA could

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<sup>5</sup> The Leahy Amendment to the Foreign Assistance act of 1961 prohibits the Department of State 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 USC 2378d.

<sup>6</sup> TICS is a Spanish-language acronym (Tecnologías de la Información y Comunicaciones) referring to social media and new technologies. Safe is an embassy contribution for the safe use of these technologies.

engage more actively with the media on important policy issues. The CDA subsequently suggested during his monthly meeting with PAS that the U.S. elections in 2016 will provide an opportunity for more in-depth policy discussions with local media.

The section does not brief the CDA on a routine basis. Instead, they produce a booklet of newspaper clippings (with a more recent addition of internet links to articles) for him to read. OIG suggested that the section consider briefing directly the CDA on important news stories and what they mean for the embassy and its ICS mission goals.

### ***Social Media—Changes Ahead***

PAS manages the embassy's social media platforms. Neither the CDA nor the A/DCM is active on social media. PAS works with the Consular Section—and occasionally other sections—on social media. OIG suggested assembling a working group on social media to advise the Front Office when to engage on social media and how to make reporting on embassy programs a part of their routine. Traditional media still dominate as a news source in Uruguay, but this is beginning to change, as indicated in social media research in the country.<sup>7</sup>

Eighty-five percent of Uruguayan households have at least one personal computer, and weekly internet usage is growing. Uruguayan politicians are beginning to speak to each other on social media, and virtually all advertising in newspapers now includes a package with digital media.

### ***Education is the Top Priority***

The section's top priority is the promotion of education and educational exchanges, which is also goal number three in the FY 2016-18 ICS. The section undertook projects to promote education:

- Embassy Montevideo held its third annual EducationUSA University Fair in September 2015. Almost 4,000 students registered for the fair, with 17 U.S. universities represented.
- PAS applied to (and received from) the Bureau of Press and Public Diplomacy for a special grant of \$339,000 to support the Teacher's Exchange program to send Uruguayan teachers from underprivileged areas to the United States.
- Among the special outreach innovations in teaching English (English is the number two language of instruction) are "Games on Wheels," a project that uses board games to teach English, and "Graphic Novels on the Road," which uses graphic novels to teach English to 10- to 14-year-olds.

### ***Grants, Binational Centers, and Fulbright on Track***

With a few exceptions, the section's other major programs comport with Department regulations.

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<sup>7</sup> Uruguayan Internet Survey, Executive Summary, November 2015.

OIG examined the 25 largest of the 60 FY 2015 grants files ranging from \$4,500 to \$22,000 (the remaining grants were for small sums for grantee travel and individuals attending in-country conferences). The grants review showed consistent reporting, as required per the Department's Federal Assistance Policy Directive 3.01, and 100-percent use of required forms. Of the 25 files reviewed, 6 contained final reports but did not have closeout letters, as required in Federal Assistance Policy Directive 3.07. All grants are made to institutions or individuals in Montevideo. According to the Grants Database Management System Timeline Report,<sup>8</sup> PAS posted 74 percent of their grants within the 5 days required by Federal Assistance Policy Directive 1.09 B, with the remainder posted within 30 days. OIG suggested the Public Affairs Officer instruct LE staff members to close out grants documents as required.

Binational Centers, designated as American Spaces in the Bureau of Western Hemisphere Affairs, are private, non-profit organizations located in 18 countries in Latin America, independent of the U.S. Government, whose budget is primarily supported by their English-language teaching classes. The Binational Center in Montevideo (Alianza Cultural Uruguay-Estados Unidos) is the flagship institution for 40 centers around the country. OIG suggested that embassy staff members make greater use of Binational Centers outside the capital to assist in addressing ICS goals and implementing Public Diplomacy programs.

The Fulbright Commission receives funds from the Bureau of Educational and Cultural Affairs, the Government of Uruguay, and the private sector. The commission director has been under contract since 1994 and—in accordance with the Bureau of Educational and Cultural Affairs Manual for Binational Commissions and Foundations, section 308—ensures an annual audit of its books by an independent firm.

## **Consular Affairs**

The embassy's consular operation serves some 7,000 resident American citizens and 30,000 visa applicants per year. Consular leadership streamlined procedures and workflow to use resources and space efficiently, and the section meets the Department's management, oversight, and internal controls requirements. The section has clear operational goals and standards for providing services to American citizens and visa applicants and transparent methods to monitor progress. The operational goals and the section's public engagement support the embassy's strategic priorities and objectives.

The embassy's ICS noted increasing levels of local and transnational crime in Uruguay. In response, the section has begun to devote more attention and resources to guard against a potential rise in consular fraud. Staff members report—and inspectors observed first hand—that the section promotes efficient customer service and provides professional development opportunities to American and local staff members.

## **Customer Service Feedback Project**

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<sup>8</sup> The Department uses the Grants Database Management System to ensure compliance with the Federal Funding Accountability and Transparency Act of 2006.

One of the Consular Section's operational goals—"Strive for 45"—aims to streamline application procedures so consular customers can complete American Citizens Services or visa services requests in less than 45 minutes. To get immediate customer feedback, the section placed a ballot box in the waiting room for applicants to rate the quality of their experience—on the spot and with no need to complete a survey. To monitor progress over time, the section tracks service times on a wall calendar and notes both the days and reasons if the target is missed to identify potential trends and suggest further areas for improvement.

### **Inclusive Visa Welcome Video**

The Consular Section's "Aware and Prepared" operational goal encourages outreach to prepare consular clients for their interviews so the section can provide more efficient service. As part of this outreach, consular staff members collaborated with several embassy offices to produce a Spanish-language welcome video that is emailed to visa applicants prior to their interviews to guide them through their visa appointment. The video features not only consular officers and local staff members, but also everyone with whom applicants interact, including Marine Security Guards, Local Guard Force members, and contractor greeters. The project represents a unique integrated approach to consular services and improving the public image of the United States.

## **RESOURCE MANAGEMENT**

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### **Management Operations**

OIG reviewed management operations, including financial management, facilities management, general services operations, human resources, and IT. OIG found one area of non-compliance in both the Financial Management and General Services Units and three in the Information Management Section. The embassy corrected all these deficiencies, except the one in Financial Management, as discussed below.

In accordance with Department cost containment initiatives,<sup>9</sup> the embassy outsources its position and grade classification processing to the Florida Regional Center in Fort Lauderdale. It outsources travel voucher processing to the Department's regional voucher processing center. Regional staff members from the Florida Regional Center provide human resources and financial management services to the embassy.

In 2014, the embassy implemented its Overseas Containment Initiative plan to further reduce administrative costs. The embassy reported its plan yielded cost savings totaling \$274,473 by reducing the motor pool fleet, outsourcing motor pool services, installing light-emitting diode bulbs, and using an inventory optimization program.

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<sup>9</sup> The Department's Regional Initiatives Council developed the overseas cost containment initiative to provide a strategic, collaborative, and measurable program for containing diplomatic platform support costs. It is an evolution of the "Top 8" Global Management Priorities based on lessons learned since FY 2012 and focuses on Building Operations and General Services. Results will be measured year-on-year using readily available data.

The embassy received high customer satisfaction scores on OIG and Department surveys. In 2015, the combined scores on the embassy-wide International Cooperative Administrative Support Services survey exceeded 4.0 on a 1–5 scale for 28 of 30 services surveyed.

### ***Travel Authorizations Not In Compliance with Travel Regulations***

The embassy's practice of providing blanket authorization for actual lodging expenses and \$300 for the reimbursement of tools, supplies, and equipment in all Regional Engineering Service Center staff travel authorizations does not comply with the guidelines in 14 FAM 576.1a. This section states that a request for actual subsistence expenses shall be authorized on a trip-by-trip basis when, because of "special or unusual circumstances of the assignment, the maximum locality per diem rate would be much less than the amount required to meet the necessary subsistence expenses of the traveler." The Department does not include supplies, tools, and equipment as allowable travel and transport expenses in 14 FAM 562. This practice risks an increase in travel costs and obligation of supplies, tools, and equipment to the incorrect fund.

**Recommendation 2:** Embassy Montevideo should issue travel authorizations that comply with Department regulations. (Action: Embassy Montevideo)

## **General Services Operations**

### ***Termination of Home-to-Office Motor Pool Shuttle for Permanent Staff Members***

The embassy operated a daily home-to-office shuttle service for three assigned staff members who did not ship a personally owned vehicle to post. To authorize home-to-office transportation that is compliant with 14 FAM 433.3, the embassy must demonstrate that public transportation is unsafe or unavailable and that the use of official vehicles for other authorized use is advantageous to the U.S. Government. Public transportation in Montevideo is both safe and available. As a result, the embassy was incurring an inappropriate motor pool expense. During the inspection, the embassy terminated this practice.

## **Facilities Management**

The facilities unit maintains four Government-owned properties: the chancery, a chief of mission residence, a deputy chief of mission residence, and a staff residence. The Facilities Manager and the Bureau of Overseas Buildings Operations (OBO) rated the condition of the chancery and chief of mission residence as fair. Built in 1969, the chancery building has many support systems that have reached or exceeded their recommended life cycles and require replacement. OBO, aware of the deficiencies, has scheduled a \$135-million renovation project for the chancery, expected to start in late 2016. The Facilities Manager rated the condition of the deputy chief of mission and staff residences as good.

### ***Safety, Health, and Environmental Management***

In January 2014, the OBO Office of Safety, Health, and Environmental Management conducted an inspection of the embassy's compliance with Department safety, health, and environment

management regulations. The embassy completed 44 of the resulting recommendations and was working to address the remaining three.

### *Fire Safety*

The OBO Office of Fire Safety conducted visits in July 2015. That report identified 15 deficiencies, of which the embassy corrected 6 and was in the process of correcting another 6. OBO will correct the remaining three during the major renovation of the chancery.

### **Information Management and Information Security**

The embassy's Information Management (IM) Section provides unclassified and classified computer, telephone, radio, mail, pouch, and dedicated internet network support services. Computer, mail, and pouch services scored above the worldwide and regional averages in the 2015 International Cooperative Administrative Support Services customer satisfaction survey. OIG reviewed IM operations and found that for the most part the section adheres to the Department's IT management and security policies and guidelines and provides good customer service. The IM staff efficiently uses Department-provided SharePoint technology to streamline business processes within the various sections of the embassy. The section has provided automated solutions in the areas of: general services operations' housing make-ready workflow, tracking action cables, and managing diplomatic notes.

The inspection found deficiencies in inventory control processes for mobile devices and IT contingency planning for the unclassified and classified computer operations. During the inspection, the staff began corrective actions. Furthermore, the IM Section is implementing standard operating procedures for conducting information systems security officer duties as mandated in 12 FAM 600. Implementing the systems security officer duties procedures will enable IM leadership to better monitor mobile devices inventory control processes.

## RECOMMENDATIONS

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**Recommendation 1:** Embassy Montevideo should comply with Department guidance and preserve record correspondence by using the record email system. (Action: Embassy Montevideo)

**Recommendation 2:** Embassy Montevideo should issue travel authorizations that comply with Department regulations. (Action: Embassy Montevideo)

## PRINCIPAL OFFICIALS

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Title	Name	Arrival Date
<b>Chiefs of Mission:</b>		
Chargé d'Affaires	Bradley Freden	7/2013
Acting Deputy Chief of Mission	Jessica Adkins	5/2014
<b>Chiefs of Sections:</b>		
Management	Carla Fleharty	6/2014
Consular	Corey Bordenkecher	8/2014
Acting Political/Economic	James Crow	7/2013
Public Affairs	Michelle Riebeling	8/2013
Regional Security	Marcos Cabrera	7/2015
Regional Affairs Office	Bryan Willats	8/2014
<b>Other Agencies:</b>		
Department of Defense	COL Kirk Karver	8/2013
U.S. Department of Agriculture/Animal and Plant Health Inspection Service	Conrad Estrada	Covers from Embassy Brasilia
Foreign Commercial Service	Patrick Walls	Covers from Embassy Buenos Aires
Drug Enforcement Administration	Nelson Vargas, Jr.	4/2013

## APPENDIX A: PURPOSE, SCOPE, AND METHODOLOGY

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This inspection was conducted 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 OIG for the Department and the Broadcasting Board of Governors.

### Purpose and Scope

The Office of Inspections provides the Secretary of State, the Chairman of the Broadcasting Board of Governors, and Congress with systematic and independent evaluations of the operations of the Department and the Broadcasting Board of Governors. 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; 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 instance of fraud, waste, or abuse exist; and whether adequate steps for detection, correction, and prevention have been taken.

### Methodology

In conducting inspections, OIG reviews pertinent records; as appropriate, circulates, reviews, and compiles the results of survey instruments; conducts onsite interviews; and reviews the substance of the report and its findings and recommendations with offices, individuals, organizations, and activities affected by the review.

OIG applied a risk-based approach to this inspection consistent with Comptroller General of the United States Standards for Internal Control in the Federal Government. OIG collected and analyzed data from multiple sources and used various survey instruments and methods to assess risk and plan its fieldwork:

- Risk indicators and priorities developed by OIG.
- Questionnaires administered to major stakeholders, including Department functional and regional bureaus, key embassy leaders/managers, and individual U.S. direct-hire and LE staff members.
- Consultations with Washington-based Department and interagency bureaus and offices.

In conducting this inspection, OIG validated information gleaned during the risk assessment, reviewed pertinent records and survey instrument results, conducted on-site interviews, and reviewed the substance of the draft report and its findings with offices, individuals, organizations, and activities affected by this review.

## APPENDIX B: FY 2015 STAFFING AND FUNDING BY AGENCY

Agency	U.S. Direct-hire Staff	U.S. LE Staff	Foreign National Staff	Total Staff	Funding (\$)
<b>Department of State</b>					
Diplomatic & Consular Programs	17	2	16	35	2,842,353
Consular	3	2	5	10	563,606
International Cooperative Administrative Support Services Traditional	2	14	66	82	6,652,700
International Cooperative Administrative Support Services Diplomatic Security	0	0	59	59	2,340,245
Public Diplomacy	2	0	9	11	1,256,835
Diplomatic Security	11	2	9	22	1,464,070
Marine Security	8	0	4	12	377,000
Overseas Buildings Operations	0	0	0	0	2,139,245
<b>Subtotal</b>	<b>43</b>	<b>20</b>	<b>168</b>	<b>231</b>	<b>17,636,054</b>
<b>Department of Agriculture</b>					
Animal and Plant Health Inspection Service	0	0	1	1	0
<b>Subtotal</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>0</b>
<b>Department of Defense</b>					
Defense Attaché Office	4	0	1	5	345,548
Office of Defense Cooperation	8	1	3	12	0
<b>Subtotal</b>	<b>12</b>	<b>1</b>	<b>4</b>	<b>17</b>	<b>345,548</b>
<b>Department of Justice</b>					
Drug Enforcement Administration	5	0	2	7	0
<b>Subtotal</b>	<b>5</b>	<b>0</b>	<b>2</b>	<b>7</b>	<b>0</b>
<b>Department of Commerce</b>					
Foreign Commercial Service	0	0	2	2	248,656
<b>Subtotal</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>2</b>	<b>248,656</b>
<b>Total</b>	<b>60</b>	<b>21</b>	<b>177</b>	<b>258</b>	<b>18,230,258</b>

Source: Generated by OIG from data provided by the Department.

## ABBREVIATIONS

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A/DCM	Acting Deputy Chief of Mission
CDA	Chargé d'Affaires
FAM	Foreign Affairs Manual
FAST	First- and Second-Tour
ICS	Integrated Country Strategy
IM	Information Management
LE	Locally employed
OBO	Bureau of Overseas Buildings Operations
PAS	Public Affairs Section

## OIG INSPECTION TEAM MEMBERS

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Pam Slutz, Team Leader  
Mike Hurley, Deputy Team Leader  
Scott Boswell  
Jay Dehmlow  
Martha Fikru  
Lavon Sajona  
Timothy Wildy



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