



OIG

Office of Inspector General

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

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Office of Inspections

September 2016

Inspection of Consulate General Curacao, Kingdom of the Netherlands

BUREAU OF WESTERN HEMISPHERE AFFAIRS

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OIG HIGHLIGHTS

September 2016
OFFICE OF INSPECTIONS
Bureau of Western Hemisphere Affairs

Inspection of Consulate General Curacao, Kingdom of the Netherlands

ISP-I-16-26A

What OIG Inspected

OIG inspected Consulate General Curacao from February 29 to March 10, 2016.

OIG made eight recommendations to improve Consulate General Curacao's operations and internal controls. OIG also made one recommendation to the Bureau of Human Resources to authorize a comprehensive salary and benefit survey to evaluate the validity of the consulate general's local compensation plan.

What OIG Found

- Effective interagency cooperation facilitated Consulate General Curacao's attainment of key Integrated Country Strategy goals in the Dutch Caribbean.
- The small size of the consulate general created inherent internal control vulnerabilities.
- Advancing mission objectives in the Dutch Caribbean required working with three separate political entities, which increased the workload of Consulate General Curacao's staff.
- The consulate general used record e-mails for some reports, but overall records management activities did not comply with Department of State standards.

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CONTEXT

The U.S. Mission to the Dutch Caribbean is an independent mission, headed by a Chief of Mission who reports directly to the Bureau of Western Hemisphere Affairs. The consular district includes six Caribbean islands of the Kingdom of the Netherlands. Three of the islands—Aruba, Curacao, and Sint Maarten—have “autonomous country” status, while the other three—Bonaire, St. Eustatius, and Saba—are overseas municipalities of the Netherlands. The Netherlands holds responsibility for foreign affairs, defense, and some judicial matters as well as other issues such as human rights, rule of law, and good governance. Aruba, Curacao, and Sint Maarten are largely autonomous in the areas of law enforcement, education, health, taxation, budgets, and other “national” matters, including civil aviation.

Services—especially tourism—drive the islands’ economies, with petroleum refining and storage of particular importance to the economy of Curacao. Relations with Venezuela, some 30 miles to the south, are important for economic reasons because the Venezuelan state-run Petr6leos de Venezuela SA operates the only oil refinery in the islands, and Venezuelans reside and invest in Curacao and the other Dutch islands.

The U.S. Government cooperates closely with the islands’ governments on counternarcotics efforts through U.S. Air Force Forward Operating Locations on Curacao and Aruba for counter-drug flights and a Drug Enforcement Administration office in Curacao. Three million Americans visit the Dutch Caribbean each year; and 7,000 Americans—including students and professors at 8 medical schools—reside in the consular district. Customs and Border Protection operates a pre-clearance U.S. entrance facility in Aruba that processed 800,000 travelers to the United States in 2015. The United States is the Dutch Caribbean’s largest trading partner (notably in tourism and fuel storage).

The mission consists of 4 Department of State (Department) direct-hire employees and 14 locally employed (LE) staff members. Additional staff members under chief of mission authority include 3 Department of Defense, 7 Department of Justice, and 27 Department of Homeland Security personnel. As many as 200 to 400 military personnel (depending on ongoing operations) are on temporary duty in the islands. The U.S. Southern Command and the Joint Interagency Task Force-South direct military personnel, but the Chief of Mission has general oversight and country clearance responsibilities to ensure operations conform to the bilateral agreements with the Kingdom of the Netherlands.

The entire staff of the consulate general is housed in a compound with three small, one-story office buildings on a hill overlooking the city of Willemstad. It takes no more than a minute to cross the compound on foot. The small size of the consulate general’s staff facilitates close interaction throughout the day.

OIG did not review the security program during this inspection.



Figure 1: The consulate general compound in Willemstad, Curacao. (Source: OIG)

EXECUTIVE DIRECTION

OIG based the following assessments of Consular General Curacao's leadership on the results of 77 documented interviews, 19 of which elicited comments on the acting Consul General; meetings in Washington and Curacao; 8 questionnaires completed by American and LE staff members that included 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

The Management Officer has served as the acting Consul General since the departure of the Consul General on July 21, 2015. OIG interviewed all Department American and LE staff as well as the senior representatives of all other agencies represented at post. Of those interviewed, Department American employees and senior agency representatives stated without exception that the acting Consul General fostered a collaborative environment and communicated with employees in a manner consistent with the Leadership and Management Principles in 3 Foreign

Affairs Manual (FAM) 1214. All staff members told OIG that they had a high level of job satisfaction.

The senior American personnel at post told OIG that the acting Consul General led by example, as directed in 3 FAM 1214b, and maintained high productivity in his regular duties while assuming the functions normally carried out by a consul general. Over the previous 6 months, the acting Consul General hosted 9 representational events. He also traveled to the constituent islands 6 times during the 12 months prior to the inspection and twice while OIG was at post.

Execution of Foreign Policy Goals and Objectives

Consulate General Curacao's major objectives are enhancing the rule of law; supporting and promoting efforts to counter international crime in and around the Dutch Caribbean; protecting American citizens living in and traveling to the islands; and promoting U.S. business interests.

The Dutch Caribbean is in the middle of maritime routes that traffickers use to transport drugs from Venezuela and Colombia to the United States and Europe. Treaties on mutual legal assistance and extradition established the legal framework that facilitates the mission's cooperation with police, prosecutors, and other law enforcement actors in the Dutch Caribbean.

A U.S. Air Force Forward Operating Location, established through an agreement of cooperation between the United States and the Kingdom of the Netherlands, plays a key role in maritime and aerial counternarcotics efforts. In 2015, Consulate General Curacao negotiated a 5-year extension to this agreement. The Departments of State and Defense lauded the consulate general for successfully extending the enabling cooperative agreement.

Service to U.S. citizens is a core goal of the consulate general country team. U.S. Customs and Border Protection operates a Customs and Immigration Preclearance Facility in Aruba to protect the United States against terrorism, illicit drugs, and illegal migration. The facility processes more than 800,000 U.S. citizens and visitors for entry to the United States every year. The consulate general partnered with Customs and Border Protection to secure the support of the government on Aruba for this program. The acting Consul General and his staff frequently travel to the facility to support this partnership. In Curacao, the consulate general staff recognized the need for increased attention to American Citizen Services and worked with the Bureau of Consular Affairs (CA) to increase American and LE staff to provide enhanced service.

Internal Control

The small size of Consulate General Curacao, combined with the wide range of activities necessary to conduct U.S. foreign policy, creates internal control vulnerabilities in several areas. The consulate general has 4 American and 14 LE staff members, all of whom perform multiple duties. The Interfunctional Officer covers post security, political and economic affairs, and public affairs in addition to serving as the financial certifying officer and the communications security officer. The LE political assistant spends 60 percent of his time on the consulate general's

information systems, 30 percent on political and economic issues, and 10 percent on public affairs. It is 560 miles from Curacao to Sint Maartin, and flight schedules require that visits to some islands include an overnight stay. When officers traveled to other islands, they all performed multiple duties on a single trip—that is, consular, management, political, economic, and commercial affairs. Assigning individual staff members to perform multiple duties increases the risk of internal control vulnerabilities.

The acting Consul General oversaw the annual internal control review. His communication with the Bureau of Western Hemisphere Affairs reflected a concern for accuracy and thoroughness. He noted in his Management Statement of Assurance continuing vulnerabilities, including lack of controlled access to sensitive areas and the absence of privacy within the small consular area. As described in more detail below, the Bureau of Overseas Buildings Operations (OBO) and the consulate general are addressing these issues. Overall, the internal control environment meets Department standards. However, OIG found internal control deficiencies in Public Affairs, Consular Affairs and Management Sections. These are discussed in those sections of this report.

POLICY AND PROGRAM IMPLEMENTATION

Advocacy and Analysis

Political/Economic Section Fulfilling Advocacy and Reporting Functions

The Interfunctional Officer and an LE staff member comprise the Political/Economic Section, which fulfills advocacy and reporting duties. With three “autonomous countries” in the consular district, Consulate General Curacao must prepare separate required Department reports (such as the annual Human Rights Report) on each “autonomous country”, thereby increasing workload. Washington consumers told OIG they were satisfied with the consulate general’s reporting and analysis. Washington offices described the section’s staff as being responsive and knowledgeable. They also noted the staff members worked collaboratively with other offices and agencies. OIG reviewed 9 months of political and economic reporting cables and found them to be properly sourced, timely, and relevant to Integrated Country Strategy goals. OIG advised section staff to make more consistent use of reporting collectives¹ to share mission reporting more broadly with neighboring posts. OIG also advised section staff to use record emails for the daily media summaries—which garner praise from Washington consumers—so they may form a storehouse of information that can be consulted in the future.

¹ Reporting collectives are set distributions to interested recipients. Collectives are usually based on geographic or thematic topics.

Interagency Cooperation

Interagency Praises Mission's Cooperative Efforts

All interagency representatives interviewed by OIG expressed satisfaction with Consulate General Curacao's programmatic and administrative support. The interagency representatives all stated that the acting Consul General advanced U.S. goals by establishing constructive working relationships with all mission elements, on the basis of the authorities specified in 1 FAM 013.2g(7). They cited several examples where the mission's access to host government officials and leadership was critical to achieve the interagency policy goals, such as the extension of the Forward Operating Location agreement and the Federal Aviation Administration's ability to achieve airport certification. All emails, reporting cables, and agreements that OIG reviewed provided evidence of the acting Consul General's involvement with interagency issues.

Public Diplomacy

Public Affairs Profile Active Despite Limited Resources

The midlevel Interfunctional Officer and one Public Affairs LE staff member handle media relations, online engagement, exchange activity, and cultural programs, in addition to key responsibilities in other areas. The consulate general neither administered Federal assistance awards nor had a dedicated budget for public diplomacy. The Public Affairs Section's areas of focus included sustaining popular support for the U.S. Forward Operating Locations in Curacao and Aruba, promoting higher education opportunities in the United States in support of President Obama's "100,000 Strong in the Americas" initiative, and using sports to showcase U.S. culture and society.

Mission Lacks Social Media Strategy

Consulate General Curacao officially launched its official Facebook page in July 2014 and at the time of the inspection had more than 3,900 page likes. However, the consulate general did not have a social media strategy, as outlined in the Department's Social Media Hub and worldwide guidance to overseas missions. Especially in light of the limited staffing available for digital outreach, a strategic approach to online engagement ensures content is linked to mission objectives and delivers a measurable return on the consulate general's investment of time and resources.

Recommendation 1: Consulate General Curacao, in coordination with the Bureau of Western Hemisphere Affairs and the Bureau of International Information Programs, should implement a social media strategy. (Action: Consulate General Curacao, in coordination with WHA and IIP)

Media Policy Outdated

The consulate general's internal media policy, which establishes standard operating procedures for engaging journalists, was last issued in March 2011. In accordance with the Department's Public Diplomacy Toolkit, public affairs officers should establish and distribute such a policy upon arrival in country to ensure coordination in managing media relations. Failure to regularly circulate updated guidelines can compromise consistency in public messaging as well as the mission's emergency preparedness. OIG discussed with staff members the importance of updating and reissuing this internal guidance.

Consular Affairs

Consulate General Curacao provides American Citizen Services and limited nonimmigrant visa services. The consulate general does not process immigrant visas. In 2015, CA created and filled a new midlevel position. The intent was to improve consular controls and service by consolidating functions with one experienced consular officer, rather than having the Interfunctional Officer perform these duties part time. CA estimated the workload distribution for the new full-time position would be 80 percent American Citizen Services and 20 percent visas.

CA also funded an additional LE staff position to support the full-time Consular Officer. Consulate General Curacao provided non-immigrant visa services, but did not accept visa applications for investor, intra-company transfers, or for professionals, temporary, or agricultural workers. Prior to FY 2015, the consulate general only processed applications from Dutch citizens and requests for visa renewals from third-country nationals. In FY-2015, the consulate general began accepting and processing visa applications from non-Dutch citizens who had been legal residents of the Dutch Caribbean for at least 10 years and from all legal residents applying for a student or exchange-visitor visa. In FY 2014, Consulate General Curacao processed approximately 1,066 visa applications. The workload in the first year of expanded acceptance was 2,539 applications.

During the inspection, OIG assisted the Consular Officer in updating and implementing several consular internal controls. The Consular Section updated consular system user roles and properly designated and trained Accountable Consular Officers and back-ups. The section relocated a consular computer located outside the consular work area to the correct area and identified a secure storage area for the contents of decedents' estates. OIG advised the Consular Officer on required documentation in non-immigrant visa and citizenship adjudication cases and records maintenance. OIG examined non-immigrant visa adjudication reviews and found the section was in compliance with Department requirements.

Consulate General Does Not Comply with Management Controls for Consular Fee

Consulate General Curacao's handling of consular fees did not comply with 7 Foreign Affairs Handbook (FAH)-1 H-740 "Management Controls for Consular Fees" and 7 FAH-1 H-770,

“Standard Operating Procedures for Consular Fees.” The files should include a Daily Accounting Sheet and the monthly Consular Services Report. The Accountable Consular Officer and the Financial Management Officer sign these records, which must be maintained at post for 60 months. OIG reviewed the last 60 months of Daily Accounting Sheets and found 47 of the 60 reports (78 percent) did not conform to the requirements. Fifteen monthly reports were missing and six failed to include the required attestations. The remaining reports were late because the consulate general’s management officers waited for the Regional Financial Management Officer—who only visits every 2 months—to perform the verifications.

In addition, the Accountable Consular Officer did not produce and distribute the required copies of the monthly reports. Rather than provide two copies directly to the Management Officer or Financial Management Officer as required, the Accountable Consular Officer made only one copy and gave it to the Class B Cashier. The Consular Section did not have standard operating procedures for documenting consular fee collections. The lack of proper documentation and delays in reconciliation, caused by managerial inexperience and lack of training, increase the risk of malfeasance and errors and threaten prompt resolution of any discrepancies. In addition, this threatens management’s requirement to adequately monitor the internal control system, a critical part of overall internal controls.²

Recommendation 2: Consular Curacao should maintain control and accountability over the collection and handling of consular fees in accordance with Department guidelines and timetables. (Action: Consulate General Curacao)

Consular Workspace Does Not Comply with Internal Access Control Requirements

The consular workspace did not comply with 7 FAH-1 H-742 “Security and Access Control” and 7 FAH-1 H-734.5 “Secure Facilities and Equipment” standards. Physical segregation of consular activities is a key part of the consular internal control system. The consular workspace consisted of two modular workstations and two interview windows colocated in a large room with LE staff from other sections. Office equipment used by other sections lined one wall. These conditions did not permit physical control and separation of consular space—including the cashier equipment and work area—and limited the Consular Section’s ability to have private discussions with clients.

OBO and CA approved and funded a renovation and refurbishment project that will correct these deficiencies. Work on the project had not yet begun at the time of the inspection. Without controlled access, the Consular Section cannot ensure that personally identifiable information is protected and that consular fees are adequately safeguarded.

² Government Accountability Office *Standards for Internal Control in the Federal Government*, Principle 16 “Perform Monitoring Activities”, pgs. 65–67. (GAO-14-704G, September 2014)

Recommendation 3: Consulate General Curacao, in coordination with the Bureau of Consular Affairs and the Bureau of Overseas Buildings Operations, should create a secure work area for the Consular Section that complies with Department standards. (Action: Consulate General Curacao, in coordination with CA and OBO)

RESOURCE MANAGEMENT

Management Operations

OIG reviewed Consulate General Curacao's internal control system and found that it complied with Department regulations and policies for management operations, with the exception of the areas identified below in human resources, financial management, and facilities management.

Designation of Responsibilities

The consulate general did not have a written designation of responsibilities for activities performed by LE staff members. Such a designation should also name back-up employees for each activity. The lack of formal designations increases the risk that key activities will not be performed when the employee with primary responsibility is absent. The failure to designate responsibilities also hinders the consulate general's ability to design internal control systems that maintain appropriate segregation of duties. OIG advised the consulate general to create a written designation of responsibilities for LE staff.

Human Resources

Consulate General Lacks LE Staff Training Plan

The consulate general did not have a FY 2016 employee training plan, as required by 3 FAM 7631. Training plans are critical to ensuring that employees develop the competence to carry out their assigned duties. Four of the 14 LE staff, all of whom work in the Management Section, had been U.S. Government employees for less than 12 months at the time of the inspection. Continuity of management operations had been hampered because the new employees lacked training and did not have experienced incumbents to consult. The lack of a training plan was due to inadequate communication between the consulate general and the Florida Regional Center, which provides human resources support to the consulate general. An inadequately trained staff increases the risks of inefficiency, poor customer service, and failure to achieve mission goals

Recommendation 4: Consulate General Curacao should establish a comprehensive and prioritized training plan for locally employed staff members. (Action: Consulate General Curacao)

Consulate General Lacks an Independent and Thorough Local Salary Survey

Consulate General Curacao's attrition rate in 2015 was approximately 22 percent because employees resigned in order to obtain positions with better compensation. The Foreign Service Act and 3 FAM 7512.3 require missions to establish a Local Compensation Plan of wages, benefits, and terms of employment based on prevailing practices in the local labor market. The Bureau of Human Resources Office of Overseas Employment surveys local employers to develop the terms of the Local Compensation Plan. At small posts such as Curacao, there may not be enough comparator firms to provide accurate data on the local employment market. Local Compensation Plans that do not reflect current labor market conditions lead to employee attrition and delays in finding suitable candidates for job vacancies.

Recommendation 5: The Bureau of Human Resources should authorize a comprehensive salary and monetized benefits survey of comparator companies to evaluate the validity of Consulate General Curacao's local compensation plan. (Action: DGHR)

Financial Management

Vacant Position in the Financial Management Section

The LE financial specialist, who has been in the position for more than 25 years, intends to retire in the next 2 years. The consulate general does not have another employee with the experience and technical skills necessary to fulfill the functions of the position. Succession planning is an important part of internal control³. In November 2012, the consulate general's International Cooperative Administrative Support Services Council authorized the creation of an additional position in the Financial Management Section to augment the section and train an employee who can replace the incumbent. To date, the consulate general has not hired anyone for this position due to competing priorities. Filling this position now is critical for the mission to maintain continuity of operations and adequate internal control systems.

Recommendation 6: Consulate General Curacao should recruit and hire an employee to fulfill the duties outlined in the November 2012 approved position request. (Action: Consulate General Curacao)

Alternate Cashier Duties

The alternate cashier was the Consul General's Office Management Specialist. Because of the demands of her primary position, she only served as cashier when the Class B Cashier was absent. The Bureau of the Comptroller and Global Financial Services recommends that the alternate also perform cashiering duties when the Class B Cashier is in the office. This enhances internal control and helps develop the alternate's cashiering skills. OIG advised the

³ GAO-14-704G, Control Environment Principle 4.06.

consulate general to reevaluate the current designation of the alternate cashier to enhance internal control

Cash Collections at Risk

The Class B Cashier does not always issue the OF-158, General Receipt, on the day the Consular Section's subcashier deposits the daily collection, as required by 4 FAH-3 H-396.4-2. For a period consisting of 24 separate deposits, 7 collections (30 percent) were not documented on the day the funds were turned over to the Class B Cashier. The Class B Cashier accepts deposits from 7a.m. to 4 p.m., which coincides with the end of her work day. The Consular Section often brought the daily collection to the Class B Cashier after 3:30 p.m., which did not allow enough time to properly account for the funds and issue the OF-158 and then run end-of-day reports. The failure to issue a receipt at the same time funds are deposited with the Class B Cashier increases the risk of malfeasance and fiscal irregularities

Recommendation 7: Consulate General Curacao should establish standard operating procedures requiring the Class B Cashier to issue Form OF-158, General Receipt, to the Consular Section's subcashier on the day of deposit of consular fees. (Action: Consulate General Curacao)

Facility Management

Regional Facility Management Support is Undefined

Consulate General Curacao receives facility management support from OBO in Washington, DC. However, no memorandum of understanding details exactly what support the Regional Facility Manager should provide and what duties are the consulate general's responsibility. OIG found that the consulate general had not prepared the 2016 Annual Inspection Survey, the Preventive Maintenance Plan, or required building maintenance contracts. The consulate general did not have an employee designated to maintain the facility's compound in accordance with OBO standards and instead relied on regional support. OBO has a standard memorandum of understanding used when regional personnel supply facilities support. The lack of a clear delineation of tasks and responsibilities places consulate general operations at risk, affects reporting requirements, and increases building maintenance vulnerabilities.

Recommendation 8: Consulate General Curacao, in coordination with the Bureau of Overseas Buildings Operations, should establish a memorandum of understanding outlining the duties and responsibilities for the Regional Facilities Manager. (Action: Consulate General Curacao, in coordination with OBO)

OIG identified one finding related to the physical security of mission facilities. It is covered in a classified annex to this inspection report.

Information Management

Consulate General Curacao does not have an employee dedicated full time to the Information Resource Management functions. The consulate general employed a strategy of multi-tasking American and LE staff members to mitigate post's limited personnel resources. The on-site IT staff consisted of one LE staff member, whose position description indicates 60 percent of his duties were IT support. The other 40 percent was divided between political, economic, and public affairs activities. His IT duties included computer and telephone system support. The Bureau of Information Resource Management staff assigned to the Florida Regional Center visited for 1 week every 2 months. In addition, the Florida Regional Center deployed to Curacao regional Information Resource Management personnel when they were unneeded elsewhere. The regional officers provided U.S. oversight for the cyber security and sensitive IT programs. LE staff members from the General Services Office handled the unclassified mail program, which is a traditional function of the local Information Resource Management Office.

Management Controls

OIG found inventory controls were in place for laptop computers and temporarily issued devices. The post has four dedicated internet networks documented with the Department for resource management and cyber security controls. An American employee had day-to-day responsibility for information systems and communications security, as required by Department regulations. OIG suggested that visiting regional IT and security officers perform spot-checks on cyber security activities in addition to providing refresher training for mail screening and drills for telephonic threats.

Records Keeping Not in Accordance With Department Requirements

Consulate General Curacao did not practice the full range of records management functions in accordance with Department regulations. The Consular Section used the record email function for trip reports and Management Section folders have written disposition instructions for the folder contents. However, consulate general employees had not been trained as required. Guidelines for establishing and maintaining records management systems are found in 5 FAM 400 and 5 FAH 400. Records management officers, coordinators and administrators require training in conformance with 5 FAH-4 H-215.1-2. Guidance in 5 FAH-4 H-215.3-2 states that each section that maintains program files must assign a trained person to manage the operations, integrity, access, and disposition of file data. Important correspondence and documentation were not being captured or managed for operational effectiveness, position continuity, historical significance, and legal requirements. Documentation is crucial for efficient operations and later evaluation of the effect of work performed.

Recommendation 9: Consulate General Curacao should implement a records management program that complies with Department regulations. (Action: Consulate General Curacao)

RECOMMENDATIONS

Recommendation 1: Consulate General Curacao, in coordination with the Bureau of Western Hemisphere Affairs and the Bureau of International Information Programs, should implement a social media strategy. (Action: Consulate General Curacao, in coordination with WHA and IIP)

Recommendation 2: Consular Curacao should maintain control and accountability over the collection and handling of consular fees in accordance with Department guidelines and timetables. (Action: Consulate General Curacao)

Recommendation 3: Consulate General Curacao, in coordination with the Bureau of Consular Affairs and the Bureau of Overseas Buildings Operations, should create a secure work area for the Consular Section that complies with Department standards. (Action: Consulate General Curacao, in coordination with CA and OBO)

Recommendation 4: Consulate General Curacao should establish a comprehensive and prioritized training plan for locally employed staff members. (Action: Consulate General Curacao)

Recommendation 5: The Bureau of Human Resources should authorize a comprehensive salary and monetized benefits survey of comparator companies to evaluate the validity of Consulate General Curacao's local compensation plan. (Action: DGHR)

Recommendation 6: Consulate General Curacao should recruit and hire an employee to fulfill the duties outlined in the November 2012 approved position request. (Action: Consulate General Curacao)

Recommendation 7: Consulate General Curacao should establish standard operating procedures requiring the Class B Cashier to issue Form OF-158, General Receipt, to the Consular Section's subcashier on the day of deposit of consular fees. (Action: Consulate General Curacao)

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Recommendation 9: Consulate General Curacao should implement a records management program that complies with Department regulations. (Action: Consulate General Curacao)

PRINCIPAL OFFICIALS

Title	Name	Arrival Date
Chiefs of Mission:		
Consul General	Vacant	
Chiefs of Sections:		
Management (acting Consul General)	Hormazd Kanga	8/2013
Consular	Brian Rogers	6/2015
Political	Solmaz Sharifi	6/2014
Economic	Solmaz Sharifi	6/2014
Public Affairs	Solmaz Sharifi	6/2014
Regional Security	Solmaz Sharifi	6/2014
Other Agencies:		
Department of Homeland Security	James Grimes	8/2013
Department of Defense	Brady Fischer	7/2015
Department of Justice	J. Greg Garza	7/2012

Source: Consulate General Curacao

APPENDIX A: PURPOSE, SCOPE, AND METHODOLOGY

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.
- **Internal 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.

Methodology

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 locally employed 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 383 pertinent records and survey instrument results; conducted 77 documented on-site and Washington interviews; and reviewed the substance of the draft report and its findings

with offices, individuals, organizations, and activities affected by this review. OIG did not review the security program during the inspection.

APPENDIX B: FY 2015 STAFFING AND FUNDING BY AGENCY

Agency	U.S. Direct-hire Staff	U.S. Locally Employed Staff	Foreign National Staff	Total Staff	Funding (\$)
Department of State					
Diplomatic & Consular Programs	2	1	3	6	370,650
Consular	1	0	1	2	209,958
International Cooperative Administrative Support Services					1,874,300
Public Diplomacy	0	0	0	0	10,100
Diplomatic Security	0	0	0	0	759,264
Representation	0	0	0	0	17,400
Overseas Buildings Operations	0	0	0	0	279,382
Subtotal	4	3	14	21	3,521,054
Department of Defense					
Navy – Liaison to Dutch Navy	1	0	0	1	
Southern Command – Army Military Liaison Officer	1	0	0	1	10,000
Air Force – Force Protection	1	1	0	2	300,361
Subtotal	3	1	0	4	310,371
Department of Justice					
Drug Enforcement Administration	7	0	1	8	
Subtotal	7	0	1	8	
Department of Homeland Security					
Customs and Border Protection ⁴	27	0	0	27	207,000
Subtotal	27	0	0	27	207,000
Total	41	4	15	60	4,038,425

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

⁴ Resident in Aruba.

ABBREVIATIONS

CA	Bureau of Consular Affairs
Department	Department of State
FAH	Foreign Affairs Handbook
FAM	Foreign Affairs Manual
LE	Locally Employed
OBO	Bureau of Overseas Buildings Operations

OIG INSPECTION TEAM MEMBERS

Donald Hays, Team Leader

Mira Piplani, Deputy Team Leader

Martha Haas

Paul Houge

Mark Jeleniewicz

Richard Kaminski

Timothy Williams



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Office of Inspector General • U.S. Department of State • P.O. Box 9778 • Arlington, VA 22219