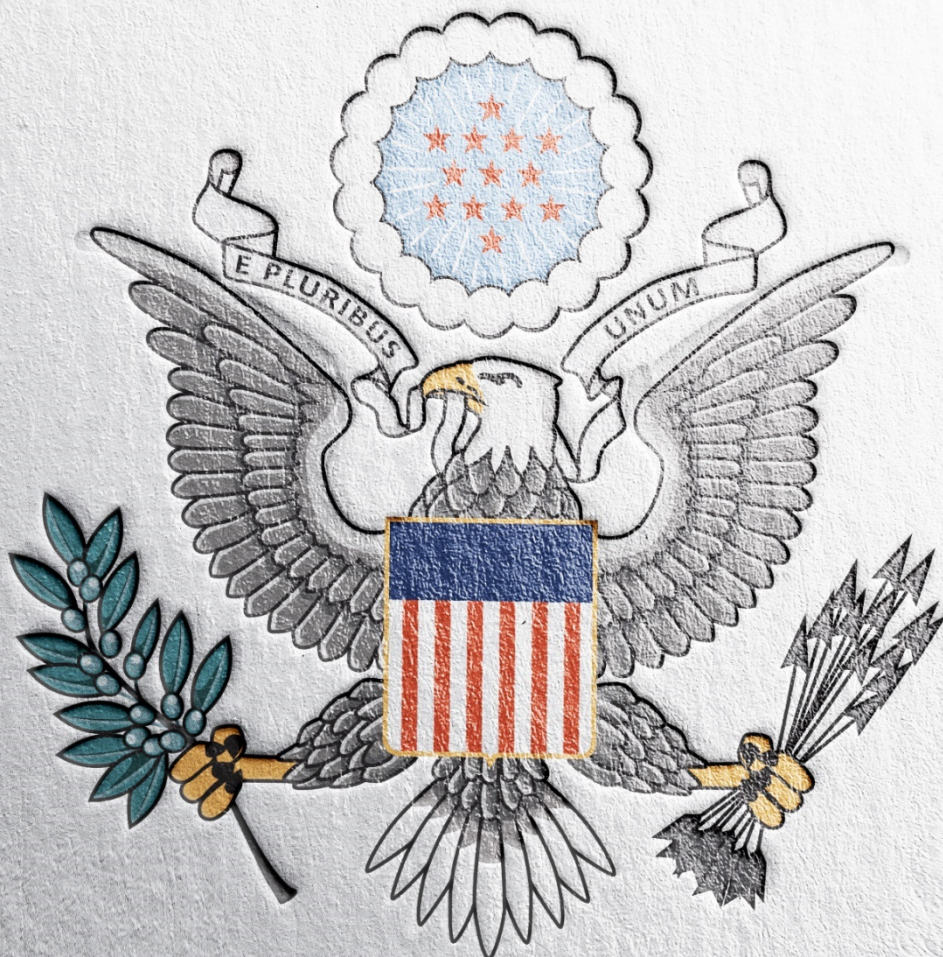




Office of Inspector General
United States Department of State

SEMIANNUAL REPORT TO THE CONGRESS

April 1, 2020, to September 30, 2020





OUR VISION

To be a world-class organization and a catalyst for effective management, accountability, and positive change in the Department, the U.S. Agency for Global Media, and the foreign affairs community.

OUR MISSION

To conduct independent audits, inspections, evaluations, and investigations to promote economy and efficiency and to prevent and detect waste, fraud, abuse, and mismanagement in the programs and operations of the Department and the U.S. Agency for Global Media.

OUR VALUES

ACCOUNTABILITY

We accept responsibility for our work products, services, and performance.

RESPECT

We promote diversity in the workplace and treat people with dignity and respect. We expect civility as we conduct our work and in our interactions with each other.

COMMUNICATION

We clarify expectations and encourage candor. We communicate with purpose and strive to align our words and our actions and to be aware of the effect we have on others. We look for ways to improve ourselves and our work by expressing appreciation and by giving and accepting constructive feedback.

TEAMWORK

We foster a diverse, inclusive, collaborative, and trusting culture where people can share their ideas and opinions. We empower and engage our colleagues to achieve outstanding organizational results.

INTEGRITY

We maintain our independence and act with courage, honesty, and professionalism. Our work is fact-based, objective, and supported by sufficient evidence that meets professional standards.

CURIOSITY

We are committed to learning about and listening to others' perspectives, objectives, and challenges. We seek new information to inspire creative and analytical thinking. We foster an environment that fuels innovation and results.

**Office of Inspector General Summary of Performance,
4/1/2020–9/30/2020**

| | Issued during the reporting period | Management decision during the reporting period |
|---|---|--|
| Questioned Costs | \$162,236,595 | \$84,442,854 |
| Funds To Be Put to Better Use | \$30,843,993 | \$33,396,532 |
| Investigative Monetary Results | \$3,727,186 | |
| Total | \$196,807,774 | \$117,839,386 |
| <i>Additional monetary benefits achieved this period as the result of prior OIG recommendations</i> | | \$6,783,571 |

Investigative Activities

| | |
|--|-----|
| Cases Opened | 18 |
| Cases Closed | 43 |
| Criminal Actions (arrests, indictments, convictions) | 34 |
| Civil Actions | 2 |
| Administrative Actions | 16 |
| Hotline Complaints Received | 857 |

Reports

| | |
|--|-----------|
| Office of Audits | 22 |
| Office of Evaluations and Special Projects | 3 |
| Office of the Enterprise Risk Management | 1 |
| Office of Inspections | 29 |
| Overseas Contingency Operations Oversight ^a | 8 |
| Total | 63 |

^a All jointly issued with Department of Defense OIG and U.S. Agency for International Development OIG.



MESSAGE FROM THE ACTING INSPECTOR GENERAL



Matthew S. Klimow

I am pleased to present this *Semiannual Report to the Congress*, covering the oversight activities of the Office of Inspector General (OIG) for the Department of State (Department) and the U.S. Agency for Global Media (USAGM) from April 1, 2020, to September 30, 2020. OIG is responsible for the oversight of more than \$75 billion in Department and USAGM programs and operations.

It is important to note that, due to the effects of the Coronavirus (COVID-19) pandemic, the Department, USAGM, and OIG have had to alter work plans during this reporting period. Virtual interviews have often taken the place of in-person interviews, and inspections oversight work planned at our overseas missions was replaced by oversight of domestic programs and bureaus. For example, our inspectors made the quick pivot to inspections of domestic entities in place of the six embassies that had been on the schedule for inspection in the spring.

Overcoming such obstacles, we issued a total of 55 reports, many of which included recommendations to improve the programs and operations of the Department and USAGM and identified approximately \$193 million in questioned costs and funds to be put to better use. Meanwhile, our investigative activity led to an additional \$3.7 million in monetary results and 20 suspensions and debarments.

Much of our work this reporting period focused on the top management and performance challenges facing the Department and USAGM, including oversight of contracts and workforce management.

We summarize our public reports and many of our investigations in this *Semiannual Report to the Congress*. As always, our work would not be possible without the talent and dedication of the people who are the Department of State OIG. My thanks to them, and to the Department and Congress for their support of our efforts.

A handwritten signature of Matthew S. Klimow in black ink.

Matthew S. Klimow
Acting Inspector General
September 30, 2020

CONTENTS

OVERVIEW

| | |
|--|---|
| 1 Oversight Strategy | 1 |
| 2 Communications and Outreach | 3 |
| 3 Overseas Contingency Operations | 5 |
| 4 OIG Accountability and Independence | 8 |
| 5 Consolidated Financial Results of OIG Work | 9 |

OVERSIGHT OF DEPARTMENT OF STATE PROGRAMS AND OPERATIONS

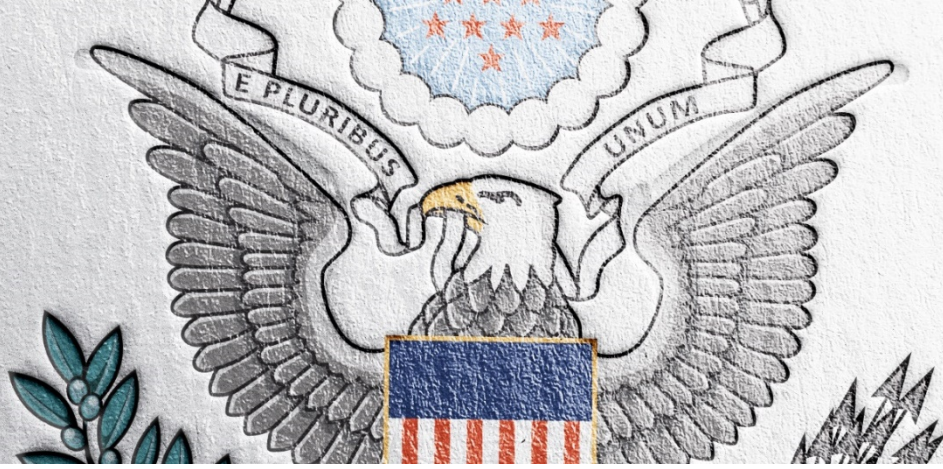
| | |
|---|----|
| 6 Office of Audits | 11 |
| 7 Office of Evaluations and Special Projects | 21 |
| 8 Office of Inspections | 24 |
| 9 Office of Investigations | 31 |
| 10 Financial Results of OIG Work Related to the Department of State | 38 |
| 11 Compliance | 44 |

OVERSIGHT OF U.S. AGENCY FOR GLOBAL MEDIA PROGRAMS AND OPERATIONS

| | |
|--|----|
| 12 Office of Audits | 46 |
| 13 Office of Evaluations and Special Projects | 47 |
| 14 Office of Investigations | 48 |
| 15 Financial Results of OIG Work Related to the U.S. Agency for Global Media | 49 |
| 16 Compliance | 52 |

APPENDICES

| | |
|---|-----|
| A OIG Reports Related to Department of State Programs and Operations | 54 |
| B OIG Reports Related to U.S. Agency for Global Media Programs and Operations | 57 |
| C Peer Reviews | 58 |
| D Department of State Compliance | 659 |
| E U.S. Agency for Global Media Compliance | 115 |
| F Abbreviations | 119 |
| G Index of Reporting Requirements Under the Inspector General Act of 1978 | 120 |



OVERVIEW

1 OVERSIGHT STRATEGY

The primary mission of the Office of Inspector General (OIG) for the Department of State (Department) and the U.S. Agency for Global Media (USAGM) is to conduct independent audits, evaluations, inspections, and investigations to promote economy and efficiency and to prevent and detect fraud, waste, abuse, and mismanagement in the programs and operations of the Department and USAGM.

OIG's mandate is broad and comprehensive, involving oversight of the full scope of Department and USAGM programs and operations, as well as the U.S. Section of the International Boundary and Water Commission, United States and Mexico, and of the International Joint Commission, United States and Canada. OIG is responsible for overseeing more than \$75 billion in Department, USAGM, and foreign assistance resources.

In addition to its agency-specific responsibilities, OIG's mandate expanded in January 2013 when Congress amended the Inspector General Act to provide for coordinated interagency oversight of overseas contingency operations (OCOs), including the designation of a Lead Inspector General for each OCO.

Figure 1.1
OIG Office Locations

As of September 30, 2020, Acting Inspector General Klimow was the Associate Inspector General for five OCOs: Operation Inherent Resolve to degrade and defeat the Islamic State of Iraq and Syria (ISIS); Operation Freedom's Sentinel to work with Afghan forces to combat terrorism and assist the Afghan Government in building its security forces' capacity and self-sufficiency; Operation Pacific Eagle—Philippines to defeat ISIS affiliates and other terrorist organizations in the Philippines; the East Africa Counterterrorism Operation and the North and West Africa Counterterrorism Operation, which relate to counterterrorism activities in Africa; and one classified OCO.

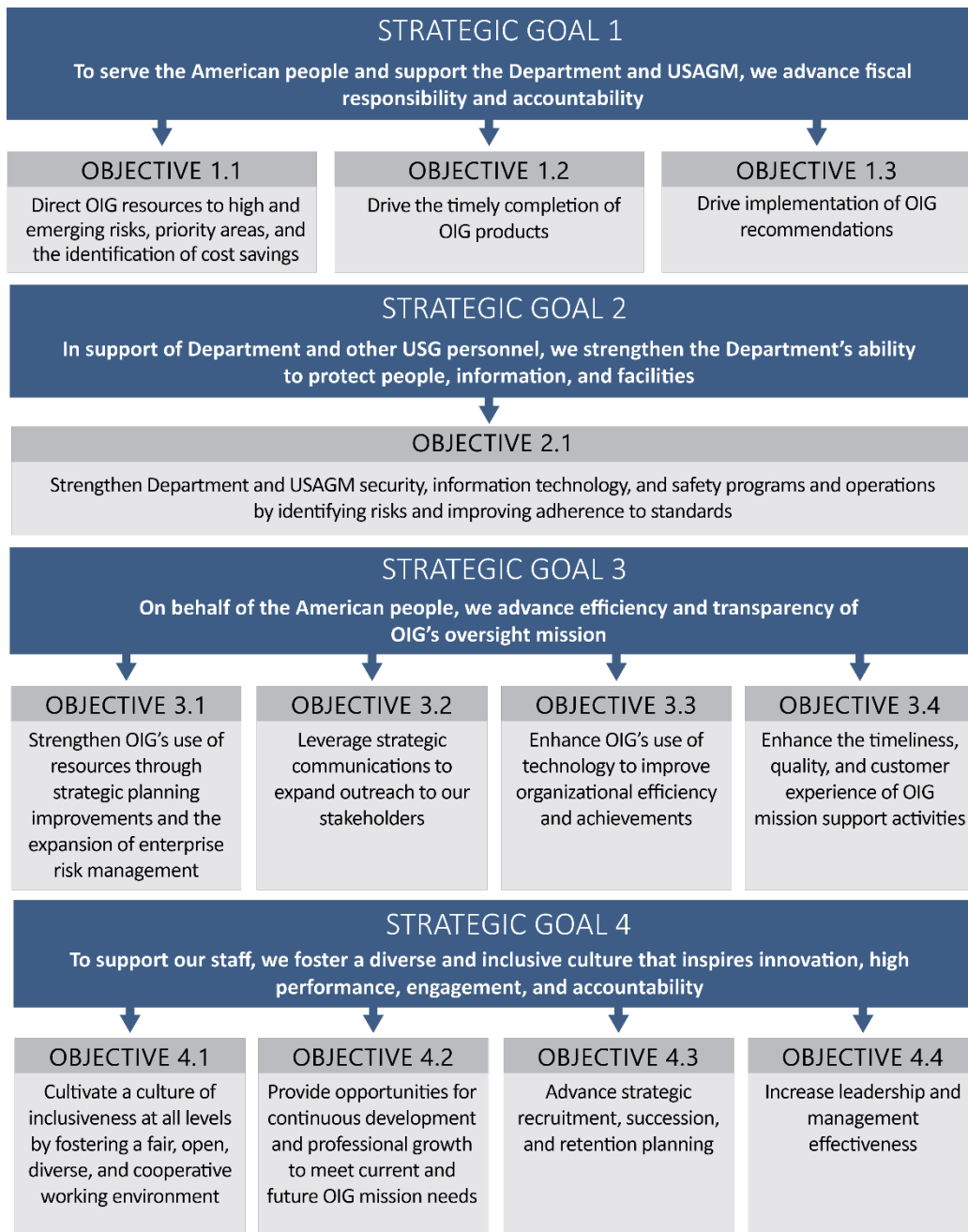
To meet these and other statutory mandates, OIG maintains offices in Afghanistan, Iraq, and Germany. Offices in these locations help OIG oversee high-cost, high-risk Department programs and operations, and the Office of Audits' Middle East Region Operations Directorate and the Office of Investigations dedicate on-the-ground resources, expertise, and oversight. Domestically, in addition to its Washington, DC, headquarters, OIG has strategically co-located investigative staff with the Department's Global Financial Services Center and the Bureau of Global Talent Management, Office of Shared Services, staff in Charleston, SC. Figure 1.1 shows the locations of OIG's offices.



OIG Strategic Plan

OIG's FY 2019–2021 Strategic Plan affirmed its commitment to providing quality oversight to the agencies OIG serves and to informing the Office of Management and Budget (OMB), Congress, the public, and other stakeholders how OIG safeguards public resources. The plan also emphasized OIG's continuing obligation to improve its own

operations and to ensure that its workforce is, and continues to be, highly motivated and well trained to carry out its responsibilities. The strategic goals and objectives outlined below provide the framework that guides OIG's work and activities for FYs 2019–2021.



2 COMMUNICATIONS AND OUTREACH

OIG communicates its global mission to Congress, Department and USAGM employees and contractors, peers in the oversight community, and the public in a variety of ways.

Communication With Congress

OIG regularly interacts with Members of Congress and their staff by testifying at hearings, responding to congressional requests for information, and providing briefings on OIG work.

Hotline Complaints

During this reporting period, the OIG Hotline continued to serve as a vehicle through which Department and USAGM employees and contractors, as well as members of the public, reported suspected fraud, waste, abuse, and mismanagement in Department and USAGM programs and operations. OIG received hotline

complaints via the OIG website, mail, and telephone. For a summary of OIG Hotline complaints received during this reporting period, see Table 2.1.

Table 2.1
OIG Hotline Complaints,
4/1/2020–9/30/2020

| | |
|--------------------------------------|------------|
| Referred to Other Offices for Action | 552 |
| Held for Action Within OIG | 41 |
| No Action Required | 264 |
| Total Complaints Received | 857 |

Figure 2.1 highlights the OIG Hotline’s global reach. Of the 857 complaints received this reporting period, 372 (43 percent) concerned possible criminal, civil, and administrative violations occurring in other countries. The remainder of the complaints dealt with alleged violations in the United States.

Figure 2.1
Hotline Complaints Processed by Country, 4/1/2020–9/30/2020



Source: Office of Investigations electronic case management system.

Whistleblower Protection Coordinator Activities

The whistleblower protection coordinator, OIG's Assistant Inspector General for Evaluations and Special Projects, educates Department and USAGM employees, as well as contractor and grantee employees, on the rights and protections available to whistleblowers. As required by the National Defense Authorization Act for Fiscal Year 2013 (41 U.S.C. § 4712), as amended, the coordinator oversees investigations of allegations of retaliation filed by employees of contractors, subcontractors, grantees, and subgrantees, as well as personal services contractors. These cases are detailed in Table 2.2. Additionally, the coordinator investigates complaints under Presidential Policy

Directive 19, which prohibits whistleblower retaliation in the form of actions that affect an employee's eligibility for access to classified information. During this reporting period, OIG's whistleblower protection coordinator completed one report under Presidential Policy Directive 19.

Department of State

OIG did not substantiate an allegation that a Department employee's clearance was revoked in retaliation for a whistleblower disclosure.

U.S. Agency for Global Media

During the reporting period, OIG did not complete any whistleblower investigations related to USAGM.

Table 2.2
Whistleblower Investigations Under 41 U.S.C. § 4712

| | Reporting Period 4/1/2020–9/30/2020 | Since Enactment |
|----------------------------------|--|-----------------|
| Complaints Received and Reviewed | 9 | 107 |
| Active Investigations | 7 | -- |
| Investigations Completed | 0 | 27 |

Source: Office of Evaluations and Special Projects electronic case management system.

3 OVERSEAS CONTINGENCY OPERATIONS

OIG has both oversight and reporting responsibilities for overseas contingency operations under Section 8L of the Inspector General Act of 1978, as amended. Section 8L is triggered when the Secretary of Defense declares that a military operation constitutes an OCO or when an operation results in troops being called to or retained on active duty.

When the Secretary of Defense declares an OCO, Section 8L activates a “Lead Inspector General” mechanism that requires concerted action by the OIGs of the Department of State, Department of Defense, and the U.S. Agency for International Development, with one of them designated as the Lead Inspector General.

In FY 2015, the Lead Inspector General mechanism went into effect for two OCOs: Operation Inherent Resolve (Iraq and Syria) and Operation Freedom’s Sentinel (Afghanistan). In November 2017, the Lead Inspector General mechanism went into effect for Operation Pacific Eagle–Philippines. In February 2018, the mechanism came into effect for three additional operations: the East Africa Counterterrorism operation, the North and West Africa Counterterrorism operation, and a classified OCO. During this reporting period, OIG continued to fulfill its oversight and reporting obligations for the five non-classified OCOs. However, Lead Inspector General responsibilities with respect to Operation Pacific Eagle–Philippines, the East Africa Counterterrorism operation, and the North and

West Africa Counterterrorism operation met the sunset provision of Section 8L of the Inspector General Act as of September 30, 2020. The sunset provision of Section 8L came into effect for the classified OCO at the end of FY 2019. Despite these OCOs having sunset, OIG’s ongoing audit, inspections, and investigations related to these OCOs continue and will be included in future SARs. Moreover, OIG continues to monitor possible future OCOs in various areas of the world.

OIG aligns its oversight responsibilities with the defined mission objectives of each OCO and focuses on the programs and processes that support the achievement of those objectives. In addition to the audit, inspection, evaluation, and investigative efforts related to the ongoing OCOs, OIG worked with its Lead Inspector General counterpart agencies to publish quarterly reports to the Congress on each OCO. The final quarterly reports for Operation Pacific Eagle–Philippines, the East Africa Counterterrorism operation, and the North and West Africa Counterterrorism operation will be published in early FY 2021, reflecting coverage of the last quarter of FY 2020. The final quarterly report for the classified OCO was published in February 2020.

For a list of OIG activities in support of the Lead Inspector General-OCO mandate during the reporting period, see Table 3.1.

Table 3.1
OIG Oversight Activities in Support of the Lead Inspector General-OCO Mandate,
4/1/2020–9/30/2020

| Completed Reports | Date |
|--|--------|
| <i>Audit of Food Services Under the Afghanistan Life Support Services Contract</i> (AUD-MERO-20-46) | 9/2020 |
| <i>Audit of Department of State Foreign Assistance Grants and Cooperative Agreements in Somalia</i> (AUD-MERO-20-45) | 9/2020 |

| Completed Reports | Date |
|---|--------|
| <i>Audit of the Department of State Bureau of African Affairs Monitoring and Coordination of the Trans-Sahara Counterterrorism Partnership Program (AUD-MERO-20-42)</i> | 9/2020 |
| <i>Management Assistance Report: Additional Guidance Needed to Improve the Oversight and Management of Locally Employed Staff Serving at Remote Missions (AUD-MERO-20-40)</i> | 9/2020 |
| <i>Audit of Bureau of Overseas Buildings Operations Process To Identify and Apply Best Practices and Lessons Learned to Future Construction Projects (AUD-MERO-20-39)</i> | 9/2020 |
| <i>Inspection of Embassy Ouagadougou, Burkina Faso (ISP-I-20-18)</i> | 9/2020 |
| <i>Audit of the Department of State's Approach To Adjust the Size and Composition of U.S. Missions Afghanistan and Iraq (AUD-MERO-20-38)^a</i> | 8/2020 |
| <i>Review of the Department of State's Role in Arms Transfers to the Kingdom of Saudi Arabia and the United Arab Emirates (ISP-I-20-19)^a</i> | 8/2020 |
| <i>Classified Annex to the Review of the Department of State's Role in Arms Transfers to the Kingdom of Saudi Arabia and the United Arab Emirates (ISP-S-20-19A)^a</i> | 8/2020 |
| <i>Classified Inspection of Embassy Ouagadougou, Burkina Faso (ISP-S-20-18)^a</i> | 8/2020 |
| <i>Classified Inspection of the U.S. Mission to the United Nations and Other International Organizations in Geneva, Switzerland (ISP-S-20-16)^a</i> | 7/2020 |
| <i>Review of the Afghan Special Immigrant Visa Program (AUD-MERO-20-35)</i> | 6/2020 |
| <i>Management Assistance Report: Quarterly Reporting on Afghan Special Immigrant Visa Program Needs Improvement (AUD-MERO-20-34)</i> | 6/2020 |
| <i>Inspection of U.S. Mission to the United Nations and Other International Organizations in Geneva, Switzerland (ISP-I-20-16)</i> | 6/2020 |
| <i>Inspection of the Bureau of Counterterrorism's Foreign Assistance Program Management (ISP-I-20-14)</i> | 6/2020 |
| <i>Follow-Up Audit of Department of State Efforts To Measure, Evaluate, and Sustain Antiterrorism Assistance Objectives in the Bureau of East Asian and Pacific Affairs (AUD-MERO-20-32)</i> | 5/2020 |
| <i>Compliance Follow-Up Review: Bureau of African Affairs' Foreign Assistance Program Management (ISP-C-20-23)</i> | 5/2020 |
| <i>Inspection of Embassy Yaoundé, Cameroon (ISP-I-20-20)</i> | 5/2020 |
| <i>Classified Inspection of Embassy Yaoundé, Cameroon (ISP-S-20-20)^a</i> | 5/2020 |
| <i>Inspection of the Bureau of Counterterrorism (ISP-I-20-13)</i> | 5/2020 |
| <i>Classified Inspection of the Bureau of Counterterrorism (ISP-S-20-13)^a</i> | 5/2020 |
| <i>Management Assistance Report: The Bureau of African Affairs Should Improve Performance Work Statements and Increase Subject Matter Expertise for Trans-Sahara Counterterrorism Partnership Projects (AUD-MERO-20-29)</i> | 4/2020 |
| <i>Audit of Global Engagement Center Federal Assistance Award Management and Monitoring (AUD-MERO-20-26)</i> | 4/2020 |

| Completed Reports | Date |
|---|--------|
| <i>Management Assistance Report: Legal Determination Concerning Department of State Non-Acquisition Interagency Agreements Is Needed (AUD-MERO-20-24)</i> | 4/2020 |
| Joint Completed Projects | |
| <i>Lead Inspector General for East Africa and North and West Africa Counterterrorism Operations Quarterly Report to the United States Congress April 1, 2020 - June 30, 2020</i> | 9/2020 |
| <i>Lead Inspector General for Operation Freedom's Sentinel Quarterly Report to the United States Congress April 1 - June 30, 2020</i> | 8/2020 |
| <i>Lead Inspector General for Operation Pacific Eagle-Philippines Quarterly Report to the United States Congress April 1, 2020 - June 30, 2020</i> | 8/2020 |
| <i>Lead Inspector General for Operation Inherent Resolve Quarterly Report to the United States Congress April 1, 2020 - June 30, 2020</i> | 8/2020 |
| <i>Lead Inspector General for East Africa and North and West Africa Counterterrorism Operations Quarterly Report to the United States Congress January 1, 2020 - March 31, 2020</i> | 7/2020 |
| <i>Lead Inspector General for Operation Freedom's Sentinel Quarterly Report to the United States Congress January 1 - March 31, 2020</i> | 5/2020 |
| <i>Lead Inspector General for Operation Inherent Resolve Quarterly Report to the United States Congress January 1, 2020 - March 31, 2020</i> | 5/2020 |
| <i>Lead Inspector General for Operation Pacific Eagle-Philippines Quarterly Report to the United States Congress January 1, 2020 - March 31, 2020</i> | 5/2020 |

^a Report is Sensitive But Unclassified or classified and, therefore, will be included in the *Department of State Classified Annex to the Semiannual Report to the Congress*.

4 OIG ACCOUNTABILITY AND INDEPENDENCE

OIG has disclosed all unclassified audits, evaluations, and inspections issued from April 1, 2020, through September 30, 2020. Some reports are not publicly available, but OIG identifies on its website the titles of such reports unless the titles themselves are classified or Sensitive But Unclassified. The *Department of State Classified Annex to the Semiannual Report to the Congress* and the *U.S. Agency for Global Media Sensitive But Unclassified Annex to the Semiannual Report to the Congress* contain information regarding reports that are not publicly available. In addition, OIG provides all classified and Sensitive But Unclassified reports to appropriate committees in Congress and to other authorized individuals upon request.

OIG did not encounter any attempts to interfere with Inspector General independence—whether through budgetary constraints designed to limit its capabilities, resistance or objection to oversight activities, or restrictions on or significant delays in access to information—for the reporting period from April 1, 2020, through September 30, 2020.

5 CONSOLIDATED FINANCIAL RESULTS OF OIG WORK

OIG returns significant value to the U.S. public through its audits, evaluations, inspections, and investigations. For the reporting period, OIG issued 63 reports and identified approximately \$193 million in potential monetary benefits to the Department and USAGM. Additionally, OIG's criminal, civil, and administrative investigations resulted in approximately \$3.7 million in recoveries and other monetary results this reporting period.

From April 1, 2020, to September 30, 2020, the Department and USAGM made management decisions on approximately \$118 million in potential monetary benefits identified by OIG

during the current and prior reporting periods. OIG determines that a management decision on questioned costs and funds put to better use has been made and reports such a determination when OIG receives and accepts sufficient, specific evidence during the compliance process. At the close of the reporting period, the Department and USAGM had not yet taken action on OIG recommendations totaling approximately \$544 million. This is an increase of approximately \$75 million from the approximately \$468 million in questioned costs and funds to be put to better use pending Department and USAGM management decision at the beginning of the reporting period.



OVERSIGHT OF DEPARTMENT OF STATE PROGRAMS AND OPERATIONS

6 OFFICE OF AUDITS

The Office of Audits supports the Department in improving management; strengthening integrity and accountability; and ensuring the most efficient, effective, and economical use of resources.

Audit work focuses on areas of concern such as physical security at overseas posts; financial management; information technology (IT) security and management; contracts, acquisition, and grants management; human capital and administrative issues; and high-risk programs and operations in the frontline states. From April 1, 2020, to September 30, 2020, the Office of Audits issued 21 reports on Department programs and operations, 20 of which are summarized below. The *Department of State Classified Annex to the Semiannual Report to the Congress* will include a summary of 1 Sensitive But Unclassified report the Office of Audits issued during this reporting period.

Contracts, Grants, and Infrastructure

Information Report: Systemic Weaknesses Related to the Administration and Oversight of Department of State Contracts and Federal Assistance From FY 2017 to FY 2019
(AUD-CGI-20-44, 9/2020)

OIG has long identified the administration and oversight of contracts and Federal assistance as a major management challenge for the Department. In this report, OIG summarized issues reported from FY 2017 through FY 2019 that relate to the Department's administration and oversight of contracts and Federal assistance. In the 96 OIG reports that were issued from FY 2017 through FY 2019, OIG made 528 recommendations related to improving the Department's administration and oversight of contracts and Federal assistance awards. During the same period, OIG's Office of Investigations conducted investigations involving

allegations related to contract and Federal assistance fraud, which resulted in 5 convictions, 87 debarments, 15 suspensions, and recoveries totaling over \$17.9 million. Collectively, these reports identified \$217.8 million in potential monetary benefits. Although the Department has made progress in implementing OIG's recommendations, sustained attention from the Bureau of Administration is needed to ensure Contracting Officers and Grants Officers are properly executing their roles and being held accountable for underperformance in managing their assigned portfolios. OIG encouraged senior Department officials to examine current policies and procedures and assess the need for change based on longstanding deficiencies.

Audit of the Bureau of Overseas Buildings Operations Process To Execute Construction Closeout Procedures for Selected Capital Construction Projects
(AUD-CGI-20-43, 9/2020)

OIG conducted this audit to determine whether the Department's Bureau of Overseas Buildings Operations (OBO) executed closeout procedures for major construction projects in accordance with requirements. OIG found that at two of the three locations selected for the audit, OBO personnel did not consistently execute close out procedures in accordance with the requirements. Specifically, at those locations, OBO personnel did not ensure that major systems were commissioned prior to declaring the projects substantially complete. In addition, when the projects were declared substantially complete, OBO personnel did not provide the construction contractor with a consolidated list of all remaining work to be performed, completed, or corrected before final acceptance. Furthermore, OIG found that final completion activities performed at those locations, such as obtaining complete and accurate as-built

drawings and tracking warranty items, need improvement.

Management Assistance Report: Execution of the New Embassy Compound London Construction Project Offers Multiple Lessons
(AUD-CGI-20-36, 7/2020)

The report communicated deficiencies identified at the newly constructed embassy compound in London, United Kingdom, during an audit of the construction closeout process. Specifically, OIG identified outstanding deliverables owed by the contractor 2 years after the project had been certified as substantially complete, including a \$2 million wastewater treatment plant that was abandoned, and a combined heat and power system that had to be modified to function properly at an additional cost of \$1.6 million.

OIG found that certain decisions made by OBO, combined with inadequate installation by the contractor, among other issues, resulted in building deficiencies that will require continuous attention. OIG determined that the extensive time it took to address defects involved in the construction process was due, in part, to the failure by OBO officials to follow prescribed procedures for preparing a consolidated schedule of defects, or “punch list,” for the contractor to address.

Management Assistance Report: Department of State Guidance Does Not Comply With Federal Travel Regulations
(AUD-CGI-20-37, 6/2020)

During a mandated risk assessment of the Department charge card program, OIG found that relevant sections in the Department’s Foreign Affairs Manual (FAM) and Foreign Affairs Handbook (FAH) regarding the use of travel charge cards did not comply with Federal Travel Regulation (FTR) requirements.

FAM and FAH sections regarding the use of travel charge cards had not been updated since 2014, before 2016 modifications of the FTR’s exemptions for the use of Government contractor-issued travel charge cards. Therefore, exemptions allowed by the FAM and FAH for the use of travel charge cards did not reflect current FTR requirements.

Financial Management

Audit of Selected Internal Controls for the Special Needs Education Allowance
(AUD-FM-20-33, 6/2020)

OIG conducted this audit to determine whether the Department established and applied selected internal controls from the Government Accountability Office’s *Standards for Internal Control in the Federal Government* to effectually administer the Special Needs Education Allowance (SNEA) in accordance with Department requirements.

Since 2015, the Department has taken steps to reform SNEA. Most recently, the “M Family Special Needs Committee” developed a plan of action for SNEA reform that included 12 specific issues with 15 associated “remedies.” OIG found that, as of December 2019, 10 of 15 remedies had been fully implemented, and 5 remedies that involved 2 distinct internal control components required additional attention. Specifically, the Department had not published policies and procedures in the FAM regarding medical clearances related to SNEA and the appeals process when an allowance application is denied, nor had it implemented a centralized voucher process or communicated SNEA-related accounting procedures to appropriate officials. These control components were not fully addressed because of SNEA’s complex nature and the extensive coordination needed among Department bureaus to implement the associated internal controls. In addition, OIG found that the Department did not establish a

process to evaluate the effectiveness of SNEA reform remedies once implemented. The monitoring component of internal control is essential to maintain alignment with changing objectives, environments, laws, resources, and risks. Without a monitoring plan, deficiencies with the administration of SNEA could go unnoticed and uncorrected.

Audit of Department of State FY 2019 Compliance With Improper Payments Requirements
(AUD-FM-20-31, 5/2020)

In accordance with the Improper Payments Information Act of 2002, as amended, an independent external auditor, acting on behalf of and under the direction of OIG, conducted an audit of the Department's FY 2019 compliance with improper payments requirements. The Department published its FY 2019 Agency Financial Report, which included all applicable payment integrity disclosures, as required by OMB Circular A-136. In addition, the Department complied with the requirement to perform program-specific risk assessments for its 38 programs as part of its 3-year risk assessment approach. For the FY 2019 reporting period, the auditor found that the Department complied with improper payments requirements.

Management Letter Related to the Audit of the U.S. Department of State FY 2019 Consolidated Financial Statements
(AUD-FM-20-27, 4/2020)

During the audit of the Department's FY 2019 financial statements, an independent external auditor identified matters involving internal control that it brought to the Department's attention. These matters related to controls over fund balances with the Department of the Treasury, payroll and related liabilities, the environmental liability associated with asbestos clean-up and IT.

Middle East Region Operations

Audit of Food Services Under the Afghanistan Life Support Services Contract
(AUD-MERO-20-46, 9/2020)

OIG conducted this audit to determine whether the Department administered the Afghanistan Life Support Service (ALiSS) food services task order in accordance with Federal regulations, Department policies, and contract terms and conditions.

The Department did not administer the ALiSS food services task order in accordance with all applicable Federal regulations, Department policies, and contract terms and conditions. For example, although the Contracting Officer's Representatives (COR) developed an oversight checklist that included items to monitor, the checklist was insufficient and did not include almost half of the performance standards the COR was required to monitor. Specifically, the checklist the CORs used contained items that corresponded to 15 of 29 (52 percent) of the standards and requirements outlined in the task order. Moreover, the oversight checklists were not maintained properly and the CORs could not provide completed oversight checklists for 33 of 35 (94 percent) of the months reviewed for this audit. Similarly, DynCorp could not provide 148 of 555 (27 percent) of the required food service and health inspector assessments, inspections, and audits. Additionally, DynCorp never established and implemented a cost control plan, as it had indicated in its bid proposal for the task order. Finally, the Department did not consider the declining number of personnel living and working at the embassy compound and outlying U.S. Government facilities when it decided to exercise option year 4. As a result, the number of meals estimated in the task order for option year 4 was higher than it should have been, resulting in the Department paying almost \$8.4 million for meals it did not need and that were not provided.

These deficiencies occurred, in part, because the CORs and the Contracting Officer did not sufficiently monitor and implement internal controls to properly guide and document oversight activities. In addition, the effectiveness of the monitoring and oversight of the task order was impacted by the insufficient number of CORs assigned in Kabul to oversee the food service task order. As a result, the Department cannot have reasonable assurance that DynCorp fulfilled all contract terms and conditions in the ALISS food services task order. Nevertheless, valuable lessons can be learned from the shortcomings identified in this audit and applied during the execution of the future food services task orders.

Audit of Department of State Foreign Assistance Grants and Cooperative Agreements in Somalia (AUD-MERO-20-45, 9/2020)

OIG conducted this audit to determine whether the Department assessed potential risks associated with the implementation of foreign assistance awards in Somalia and executed compensating controls to mitigate those risks. OIG found that although the Bureau of African Affairs (AF) and the Bureau of Counterterrorism (CT) assessed general risks associated with foreign assistance awards in Somalia and executed some compensating controls to mitigate those risks, OIG identified areas for improvement.

Specifically, AF and CT oversight officials did not designate their four awards as high risk even though they were implemented in a country where travel is restricted due to political instability and terrorism because the Risk Assessment Worksheet currently used weighs country/region-specific risks lower than organizational and programmatic risk. In addition, OIG found that CT did not update risk assessments annually for its two awards. OIG also found that AF and CT did not (1) establish standard operating procedures or document controls for managing risks; (2) document reviews of performance reports to

demonstrate adherence with award terms; or (3) require documentation to be maintained in official award files. Finally, OIG found that while CT generally followed Department guidance for Leahy vetting, AF did not, nor did it include the “State Department Leahy Vetting Requirements” section in one of its awards. As a result of the identified deficiencies, OIG made 10 recommendations intended to improve the risk assessment, risk mitigating, and Leahy vetting practices of foreign assistance to Somalia.

Audit of the Department of State Bureau of African Affairs Monitoring and Coordination of the Trans-Sahara Counterterrorism Partnership Program (AUD-MERO-20-42, 9/2020)

The Trans-Sahara Counterterrorism Partnership (TSCTP) is a whole-of-government initiative to build counterterrorism capacity and address radicalization in Africa. AF implements many Department TSCTP activities.

AF is not monitoring TSCTP contracts according to Federal and Department requirements. OIG found that CORs approved invoices for four contracts without adequate supporting documentation. AF also relied on Department of Defense partners to monitor contracts; however, Department of Defense partners were not delegated this authority or trained as Government Technical Monitors or alternate CORs. None of the six TSCTP contracts reviewed had required monitoring plans, and five contracts lacked Government quality assurance surveillance plans. Additionally, AF did not ensure that assistance provided to host countries was used to build counterterrorism capacity. OIG considers \$201.6 million spent on these contracts as wasteful spending due to mismanagement and inadequate oversight. OIG is specifically questioning almost \$109 million because invoices lacked supporting documentation. Lastly, OIG found that AF is not effectively coordinating with stakeholders to execute a whole-of-government initiative.

The deficiencies identified in this audit occurred, in part, because AF has not adequately attended to longstanding challenges with the execution of foreign assistance. AF officials acknowledge the lack of progress made to address these challenges but stated that the Department has not prioritized the bureau's needs. Until these deficiencies are addressed, the Department has limited assurance that TSCTP is achieving its goals. OIG made 13 recommendations to AF intended to improve the monitoring and coordination of TSCTP projects.

Audit of Department of State Compliance With the Geospatial Data Act of 2018
(AUD-MERO-20-41, 9/2020)

OIG conducted this audit to determine whether the Department, defined as a covered agency in the Geospatial Data Act of 2018 (GDA or the Act), complied with the 13 covered agency responsibilities in accordance with Section 759(a) of the Act. OIG found that the Department was not in compliance with the 13 covered agency responsibilities required by Section 759(a). Although the Department planned to incorporate geospatial data considerations into its strategy for data governance to comply with 1 of the 13 responsibilities, the strategy is not expected to be completed until the summer of 2021. With respect to the remaining 12 responsibilities, OIG found that some Department bureaus and offices had established practices that addressed some GDA requirements; however, a significant amount of work remains for the Department to achieve full compliance with the Act. The Department was not in compliance with the Act, in part, because Department officials stated that they were unaware of the GDA's enactment because it was enacted under an unrelated reauthorization act, and neither OMB nor the Federal Geographic Data Committee formally notified the Department of GDA requirements. However, OIG found that prior to enactment, the Bureau of Legislative Affairs circulated a draft of the law but did not send it to those bureaus with geospatial data expertise that

would likely lead implementation efforts. In addition, official Department representatives did not attend Federal Geographic Data Committee meetings, including one in October 2018 discussing GDA enactment. Moreover, although the Bureau of Information Resource Management learned of the GDA in August 2019, it did not promptly take action to implement GDA requirements at that time. OIG made three recommendations to the Bureau of Intelligence and Research, in coordination with the Office of Management Strategy and Solutions and the Bureau of Information Resource Management, that were intended to assist the Department in implementing GDA requirements. OIG considers each recommendation resolved, pending further action.

Management Assistance Report: Additional Guidance Needed to Improve the Oversight and Management of Locally Employed Staff Serving at Remote Missions
(AUD-MERO-20-40, 9/2020)

During an audit of remote diplomatic missions, which is currently underway, OIG identified challenges that remote missions face in overseeing and managing locally employed (LE) staff who continue to work in the host country following a suspension of operations. Department guidance regarding the oversight and management of LE staff of remote missions is broadly outlined in a 2017 policy issued by the Bureau of Global Talent Management, Office of Overseas Employment.

However, OIG identified areas where additional guidance may be needed. For example, although the policy addresses the need to conduct regular staffing reviews, the policy was not widely distributed to those responsible for directly overseeing the LE staff of remote missions. As a result, in 2019, the Yemen Affairs Unit discovered 16 LE staff had not been consistently reporting to work for more than 4 years. Further, OIG found that in the absence of more robust Department-

wide guidance, regional bureau officials took steps to preempt known challenges faced by other remote missions when establishing the Venezuela Affairs Unit. For example, officials worked to ensure that LE staff had access to secure IT networks to communicate with their U.S. Direct Hire supervisors following the suspension of operations in Venezuela. Although the 2017 Global Talent Management, Office of Overseas Employment, policy addresses a variety of issues that remote missions may need to consider with regard to oversight of LE staff, the policy lacks detail in some areas and has not been updated to reflect lessons learned or document best practices.

Furthermore, OIG found that the Department has no policy in place to address the unique circumstances of renewing security certifications for those LE staff working in support of a remote mission. OIG made 14 recommendations in this report that are intended to address known challenges encountered when LE staff must be overseen and managed from a remote mission.

Audit of Bureau of Overseas Buildings Operations Process To Identify and Apply Best Practices and Lessons Learned to Future Construction Projects (AUD-MERO-20-39, 9/2020)

OBO has a process to identify, disseminate, and apply lessons learned that are associated with technical design standards and criteria. Specifically, in 2004 OBO established a lessons learned program to update design criteria, guidance, and processes in support of the planning, design, construction, operation, and maintenance of OBO facilities overseas. OIG found that the current process does not capture broader best practices or lessons learned that are critical to OBO's construction work, including strengthening collaboration among stakeholders, facilitating building maintenance, and improving program and construction management. These important activities have been overlooked in the lessons learned process because OBO has devoted

attention and resources solely to collecting and addressing technical design challenges encountered during its construction projects. Although improving design issues is critical to successfully completing future projects, OBO is missing opportunities to apply best practices and lessons learned. Taking advantage of these opportunities could improve OBO operations and help achieve its stated goal of completing construction projects on time and within budget. In response to a recommendation in this report, OBO agreed to develop a lessons learned program to capture best practices and lessons learned from its construction projects.

Additionally, in examining OBO's internal reporting for construction projects in Amman, Kabul, Ashgabat, and London, OIG found errors and inconsistencies in 33 percent of 125 reports produced from 2013 to 2019 that address those projects. To address this deficiency, greater attention is needed to validate the data recorded so OBO senior leaders will be informed of the true status of construction projects. Finally, OIG found that, when executing award modifications for the Amman construction contract, the Contracting Officer did not include the estimated total time necessary to accomplish the required work. This deviation is contrary to guidance and occurred, in part, to expedite the issuance of the contract modifications. However, this practice makes it difficult for OBO to hold the contractor accountable for completing the project on time. In response to a recommendation in this report, OBO has already issued a construction bulletin re-emphasizing the importance of ensuring the accuracy and consistency of reporting on the status of construction projects.

Review of the Afghan Special Immigrant Visa Program (AUD-MERO-20-35, 6/2020)

The FY 2020 National Defense Authorization Act directed OIG to evaluate and offer improvements

to eight identified obstacles that could affect the effective protection of Afghan allies through the special immigrant visa (SIV) program and provide suggestions for improvements in future programs. OIG evaluated the eight obstacles identified by Congress. Two obstacles did not significantly affect the Department's implementation of the Afghan SIV program. One obstacle, the uncertainty of visa availability, affects implementation but depends on congressional SIV allocation. However, five obstacles, if unaddressed, will remain impediments to implementing the Afghan SIV program and achieving the goals defined by statute, which is to issue an SIV within a 9-month timeframe. Specifically, OIG found that the Department's staffing levels across its various offices that process Afghan SIVs have generally remained constant since 2016 and are insufficient to reduce the SIV applicant backlog. Similarly, staffing levels during the interagency and security check process contribute to delays in processing the Afghan SIVs. Additionally, the Department lacks a centralized database to effectively document the identity of LE staff and contractors. Instead, the Department relies on multiple IT systems that are not interoperable. Finally, OIG found that the U.S. Government offers protection and safety to SIV applicants within the confines of the workplace; however, protection outside of work hours is impracticable.

These obstacles exist, in part, because the Senior Coordinating Official position, which is intended to oversee and direct the Afghan SIV program, has been vacant since January 2017. As a result, the Department's management of resources and strategic planning for the Afghan SIV program is decentralized and lacks the focus needed to continuously evaluate the program and seek improvements. In addition, the Senior Coordinating Official position is needed to plan for changes in applicant volume throughout the SIV process and to promote continuity of operations. Until a designated leader has the authority to direct the management of the Afghan SIV

program, these obstacles will continue to hinder the U.S. Government's ability to timely process Afghan SIV applicants who are experiencing threats as a result of their employment with the U.S. Government.

Management Assistance Report: Quarterly Reporting on Afghan Special Immigrant Visa Program Needs Improvement (AUD-MERO-20-34, 6/2020)

The FY 2020 National Defense Authorization Act directed OIG to review and issue a report that evaluates obstacles to effective protection of Afghan allies. During this mandated review of the Afghan SIV program, which is currently underway, OIG found that the method for collecting, verifying, and reporting on applicant "wait times" is inconsistent and potentially flawed. OIG found that the entities responsible for reporting applicant wait times at each of the four stages of the Afghan SIV process are using differing methodologies to perform their calculations. OIG also found that none of the 23 quarterly reports published by the Department from April 2014 to October 2019 included descriptions of the efficiency improvements as required by Congress. The differing methodologies used and the incomplete quarterly reports occurred because the Department, having assumed the lead role in preparing and publishing the quarterly reports regarding the Afghan SIV program, has not developed guidance that ensures that each entity involved with the Afghan SIV process is using a uniform and consistent method to calculate and report the average wait times. Similarly, the Department has not put in place internal controls that ensure that information in the quarterly reports is complete and fulfills the requirements set forth by Congress. OIG made three recommendations to the Department to prompt actions to address the identified deficiencies.

Follow-Up Audit of the Department of State Efforts to Measure, Evaluate, and Sustain Antiterrorism

Assistance Objectives in the Bureau of East Asian and Pacific Affairs
(AUD-MERO-20-32, 5/2020)

OIG conducted a follow-up audit of the Department's Antiterrorism Assistance (ATA) program to determine whether the Bureau of Diplomatic Security (DS) and CT had implemented corrective actions to address previous recommendations related to the ATA program and whether those actions have improved the Department's efforts to measure, evaluate, and sustain ATA program objectives in the Department's Bureau of East Asian and Pacific Affairs (EAP). Conducting fieldwork in Indonesia, the Philippines, and Thailand, OIG found that DS and CT had implemented corrective actions to warrant closure of 13 previously offered recommendations. However, OIG also found that in EAP, neither DS nor CT consistently (1) established baseline data and performance targets or report outcome data for the ATA programs in the region; (2) established sustainability measures and timelines to determine when partner countries could sustain their antiterrorism programs without U.S. Government support; or (3) included information about ATA programs funded with regional and Department of Defense funds in quarterly progress reports. OIG made four recommendations to CT and DS to further improve the execution of the ATA program in the EAP region. Specifically, OIG recommended that CT, in coordination with DS, update their 2015 memorandum of agreement to clarify which bureau is responsible for (1) collecting data on performance indicators, to include baselines, output measures, and long-term outcomes; (2) reporting Department of Defense-funded ATA training; (3) monitoring regionally funded and mentorship ATA training programs; and (4) including measures on sustainability in the ATA Monitoring Plan and quarterly report.

Management Assistance Report: The Bureau of African Affairs Should Improve Performance Work Statements and Increase Subject Matter Expertise for Trans-Sahara Counterterrorism Partnership Projects
(AUD-MERO-20-29, 4/2020)

The TSCTP is a whole-of-government initiative to build counterterrorism capacity and address drivers of radicalization in Africa. AF implements many Department TSCTP activities.

OIG identified three TSCTP projects with performance work statements that did not meet Department standards. The FAH states that performance work statements must be "clear, specific, and [have] objective terms with measurable outcomes." OIG found that the performance work statements reviewed were neither clear nor specific. For example, the performance work statement to construct a barrier wall in Cameroon did not require the contractor to conduct a site survey before submitting a proposal, which, in part, led to the wall partially collapsing because of excessive rain. AF expended \$3.3 million for modifications and repairs to the project. In another example, a contract called for the construction of an aircraft hangar in Niger but, the performance work statement did not state the apron dimensions, resulting in it being built too small. AF expended an additional \$1.1 million, in part, to increase the apron's size. In a third example, the contract called for training and equipping military forces at Lake Chad in Cameroon; however, because the performance work statement did not include correct requirements, the contractor purchased boats that were not appropriate for the project. As a result, the boats were never used for their intended purpose and \$10.2 million was wasted. OIG identified \$14.6 million total in questioned

cost due to inadequate performance work statements.

OIG found the performance work statements deficiencies occurred, in part, because staff did not have the technical knowledge needed to develop well-defined requirements. OIG made seven recommendations in this report to prompt action to improve performance work statements and increase subject matter expertise among personnel responsible for overseeing TSCTP projects.

Audit of Global Engagement Center Federal Assistance Award Management and Monitoring (AUD-MERO-20-26, 4/2020)

OIG conducted this audit to determine whether Federal assistance awards provided by the Global Engagement Center (GEC) aligned with its statutory mandate and authority and whether GEC monitored those awards in accordance with Federal requirements, Department policies and guidance, and award terms and conditions. OIG reviewed all 39 grants and cooperative agreements that GEC awarded in FY 2018 and found that the stated purpose of all but 1 award (97 percent) aligned with GEC's statutory mandate and authority. However, OIG selected 10 of the 39 Federal assistance awards for detailed testing and found that GEC did not consistently manage and monitor the awards tested in accordance with Federal requirements, Department policies and guidance, and award terms and conditions. Specifically, GEC officials did not always clearly designate roles and responsibilities for grants management personnel, and 3 of 10 required award risk assessments contained errors. In addition, 9 of 10 monitoring and evaluation plans did not include all required elements and did not demonstrate a direct link to the final award scope of work, as required. Furthermore, OIG found that GEC officials did not review recipients' performance reports and financial information in accordance with Department policies and

guidance. These deficiencies occurred, in part, because GEC did not have enough experienced personnel to issue, manage, and monitor cooperative agreements when the FY 2018 awards were issued. In addition, GEC had not formally adopted internal policies, processes, and procedures for managing and monitoring Federal assistance awards. During the audit, GEC hired additional staff members and planned to adopt internal policies, processes, and procedures by March 2020. OIG made five recommendations to improve GEC Federal assistance award administration. GEC concurred with all five recommendations. On the basis of GEC's stated concurrence, actions taken, and additional actions planned, OIG considers each recommendation resolved, pending further actions.

Management Assistance Report: Legal Determination Concerning Department of State Non-Acquisition Interagency Agreements Is Needed (AUD-MERO-20-24, 4/2020)

During the *Audit of Monitoring and Evaluating Department of State Foreign Assistance in the Philippines* (AUD-MERO-19-39, 9/2019), OIG's Office of Audits learned that the Department had used a "notice to proceed" to extend the period of performance for a non-acquisition interagency agreement (IAA) even though Department policy does not explicitly recognize this as a valid mechanism for extending an IAA's period of performance. In addition, OIG found that Department policy is silent on whether non-acquisition IAAs have the potential to create unauthorized commitments and, if so, whether ratification procedures are required when an unauthorized commitment involving an IAA does occur. OIG made four recommendations in its management assistance report to address these issues. Specifically, OIG recommended that the Office of the Legal Adviser, which the Department has stated is responsible for these issues, render a legal determination on the appropriateness of

using a notice to proceed to extend the period of performance for a non-acquisition IAA and whether ratification procedures are required when an unauthorized commitment involving an IAA occurs. OIG also recommended that the Bureau of Administration, Office of the Procurement Executive, incorporate the legal determinations in Department policy, once finalized, and communicate the policy to all relevant stakeholders.

Security and Intelligence

Compliance Follow-Up Audit of Bureau of Diplomatic Security Property Management Procedures for Protective Personnel Equipment (AUD-SI-20-30, 7/2020)

During a compliance follow-up audit to determine whether actions taken by DS to address a property management recommendation from a previous report were sufficient to close the recommendation. OIG found that DS had taken steps to develop and implement a process to manage accountable property, such as protective personnel equipment (PPE) contained in high-threat kits. In addition, DS had developed a process for performing an annual inventory of the high-threat kit items, as required.

During the audit, OIG found instances in which Property Transaction Forms were not completed to document the “charge out” of PPE included in high-threat kits. The items provided are sensitive equipment and must be safeguarded.

7 OFFICE OF EVALUATIONS AND SPECIAL PROJECTS

The Office of Evaluations and Special Projects (ESP) strengthens OIG's oversight of the Department and improves OIG's capabilities to educate employees regarding whistleblower protections. This office also reviews allegations of administrative misconduct by senior officials and issues management alerts and management assistance reports to highlight urgent needs for corrective actions, as well as capping reports on thematic areas of concern. It also conducts special evaluations and reviews, including responses to congressional inquiries. This office's work complements the work of OIG's Offices of Audits, Inspections, and Investigations by developing a capacity to focus on broader systemic issues.

From April 1, 2020, to September 30, 2020, ESP issued 2 unclassified reports on Department programs and operations.

Evaluation of the Department's Handling of Sexual Harassment Reports (ESP-20-06, 9/2020)

OIG conducted an evaluation of the Department's handling of sexual harassment (including sexual assault) reports to review (1) the extent to which employees report sexual harassment; (2) how the Department addresses employees' reports of sexual harassment; and (3) the extent to which the Department ensures consistent outcomes for individuals who were found to have engaged in sexual harassment.

OIG found that the Department's Office of Civil Rights, which is responsible for investigating sexual harassment, received 636 reports of sexual harassment from 2014 to 2017. However, sexual harassment is likely underreported at the Department. According to an OIG survey of randomly selected direct-hire employees, 47 percent of employees who stated that they had experienced or observed sexual harassment within

the last 2 years responded that they did not report the harassment.

OIG also found that the Department has taken steps to address sexual harassment but lacks coordination and guidance on the investigative and disciplinary processes for these reports. The Department does not have joint guidance that coordinates the activities of various offices throughout the investigation and disciplinary review of sexual harassment cases and has not updated supervisory guides to include mandatory sexual harassment reporting. Because guidance is lacking, coordination among the offices is inconsistent.

Additionally, the Department lacks data on the consistency of the investigative and disciplinary processes. For example, OIG could not assess the timeliness of sexual harassment cases from 2014 to 2017 because the Office of Civil Rights and the Bureau of Global Talent Management did not have timeliness standards that guided their work on sexual harassment reports. Additionally, OIG could not assess the length and outcomes of sexual harassment cases during the same time frame because the Department does not have a mechanism to consistently track outcomes of such cases.

OIG made six recommendations to the Department related to updating supervisory guidance to include reporting sexual harassment; developing and implementing guidance for coordinating sexual harassment cases; developing and implementing timeliness standards; and developing and implementing a common tracking mechanism for the length to resolution and outcomes of sexual harassment reports. The Department agreed with all of OIG's recommendations.

Review of the Selection Process for the International Women of Courage Award (ESP-20-04, 9/2020)

At the request of several U.S. Senators, OIG examined the reason for the Department's decision not to present an International Women of Courage award to Finnish journalist Jessikka Aro and the accuracy of statements the Department made about this decision to the public and to Congress. Specifically, various media articles had reported that Ms. Aro's award had been withdrawn due to her past social media posts critical of the President, but the Department denied that it had withdrawn Ms. Aro's award, instead asserting that Ms. Aro had never been selected to receive the award in the first place and that her non-selection was for other reasons.

OIG found that Ms. Aro had been selected for the award and notified of this selection. However, after notification but prior to the award ceremony,

Department officials discovered social media postings by Ms. Aro, some of which were critical of the current President, and, because of these, decided to rescind the award.

OIG found that decisions as to award recipients are governed solely by the Department's nominating guidance and are wholly within the Department's discretion and that the Department's decision to rescind the award appeared to be an authorized exercise of its discretion. However, the Department initially stated to the public and to congressional staff that Ms. Aro was incorrectly notified of the selection and denied that her social media posts factored into the decision.

ESP also reviews allegations of non-criminal misconduct by senior Department and USAGM employees. Table 7.1 describes each instance in which ESP substantiated such allegations during this reporting period.

Table 7.1**ESP Substantiation of Allegations of Non-Criminal Misconduct Involving Senior Government Employees, 4/1/2020–9/30/2020**

| Date of Closure | Agency and Position | Description | Disposition |
|------------------------|--|--|--|
| 6/2020 | Department Ambassador | In April 2020, OIG found that the official likely violated Department policies (5 FAM 443.4; 12 FAM 544.3) by regularly using personal email to conduct official business, transmitting Sensitive But Unclassified information via personal email without appropriate precautions, and failing to forward official emails sent via personal email to an official email account. | OIG referred the matter to EUR, as well as the Bureau of Global Talent Management and DS. In June 2020, EUR reported that it had counseled the employee on the Department's policies. |
| 6/2020 | Department Office Director and Deputy Director | In May 2020, OIG found that the officials likely violated the Department's rules on the reporting of workplace violence (3 FAM 4156.2(3)). | OIG referred the matter to the Deputy Secretary, as well as the Bureau of Global Talent Management and DS. In June 2020, the Counselor to the Secretary reported to OIG that he had counseled the officials on the Department's policies. |
| 4/2020 | Department Ambassador | In January 2020, OIG found that the official likely violated the Department's prohibition regarding political activities by employees while abroad (3 FAM 4123.3) by making statements about the upcoming presidential election while serving overseas. | OIG referred the matter to the Bureau of Near Eastern Affairs. In April 2020, the bureau reported that it had counseled the ambassador about the Department's policy. OIG also referred the matter to the Office of Special Counsel, which investigated the referral but did not find a violation of the Hatch Act because the statements were made in an off-duty capacity. |
| 4/2020 | Department Ambassador | In January 2020, OIG found that the official likely violated the Department's social media policy (3 FAM 4175.2) and prohibition regarding political activities by employees while abroad (3 FAM 4123.3) by using an official Department Twitter account to post or re-post statements in opposition to impeachment, as well as re-post a statement from a Presidential campaign. | OIG referred the matter to the Bureau of European and Eurasian Affairs (EUR). In April 2020, EUR reported to OIG that it had counseled the ambassador on appropriate use of social media. OIG also referred the matter to the Office of Special Counsel, which is still investigating the matter. |
| 4/2020 | Department Ambassador | In February 2020, OIG found that the official likely violated Department policies (5 FAM 443.4; 12 FAM 544.3) by regularly using personal email to conduct official business, transmitting Sensitive But Unclassified information via personal email without appropriate precautions, and failing to forward official emails sent via personal email to an official email account. | OIG referred the matter to the Bureau of International Organization Affairs, as well as the Bureau of Global Talent Management and the Bureau of Diplomatic Security (DS). In June 2020, the Bureau of International Organization Affairs reported that it had counseled the employee on the Department's policies regarding use of personal email to conduct official business and ensured that the ambassador take records training. |

8 OFFICE OF INSPECTIONS

The Office of Inspections conducts independent assessments of the operations of the Department, its posts abroad, and related activities. OIG inspects each post and domestic bureau as required by the Foreign Service Act of 1980, which sets forth three broad areas for inspections: policy implementation, resource management, and management controls.

The office also conducts targeted reviews of Department programs and operations and compliance follow-up reviews on some posts, offices, and bureaus previously inspected to ensure implementation of key recommendations. From April 1, 2020, to September 30, 2020, the Office of Inspections issued 29 reports on Department programs and operations, 17 of which were unclassified and are summarized below. The *Department of State Classified Annex to the Semiannual Report to the Congress* will include the 12 classified reports the Office of Inspections issued during this reporting period.

Compliance Follow-Up Reviews

Compliance Follow-Up Review: Targeted Review of Leadership and Management at the National Passport Center
(ISP-C-20-27, 6/2020)

OIG conducted a compliance follow-up review of the Department's implementation of recommendations made in OIG's targeted review of the National Passport Center (NPC) in Portsmouth, NH. OIG found that the Bureau of Consular Affairs (CA), and specifically NPC, undertook various initiatives to implement the 12 recommendations in OIG's 2018 report but had not fully addressed some deficiencies OIG had previously identified. Among the actions undertaken in response to the 2018 report, the bureau referred discrimination and harassment complaints for investigation, instituted coaching

and training, conducted an organizational assessment, and enhanced internal communication regarding passport issuance procedures and workplace policies. However, OIG concluded that CA did not meet the full intent of the recommendation and did not implement an effective model for providing human resources services to NPC management and staff. Specifically, OIG found continuing deficiencies in employee relations, as supervisors told OIG that they did not receive timely and comprehensive support from employee relations staff in CA's Executive Office, which, in turn, made it difficult for supervisors to effectively manage employee performance and conduct issues.

At the conclusion of the compliance follow-up review, six recommendations from the original report remained closed. OIG closed one additional recommendation and issued one new recommendation. Additionally, OIG reissued five recommendations but determined that CA was making progress toward full implementation of these recommendations.

Compliance Follow-Up Review: Bureau of African Affairs' Foreign Assistance Program Management
(ISP-C-20-23, 5/2020)

OIG conducted a compliance follow-up review of the Bureau of African Affairs' implementation of recommendations in the October 2017 *Inspection of the Bureau of African Affairs' Foreign Assistance Program Management* (ISP-I-18-02). OIG found that the bureau took action to improve its management of foreign assistance programs but had not fully addressed some deficiencies previously identified by OIG. The bureau updated its Federal assistance risk assessments to better measure terrorist financing risk, took steps to reduce duplicative and fragmented functions, and developed some of the guidance and procedural documents necessary to manage and administer

the bureau's foreign assistance programs. However, OIG found that the bureau needed to document its foreign assistance business process, expand its guidance for reclassifying Peacekeeping Operations funds, and establish controls to help ensure proper Federal assistance award oversight documentation.

At the conclusion of the compliance follow-up review, two recommendations from the 2017 report remained closed. OIG closed an additional four recommendations, reissued one recommendation, and revised and reissued one recommendation. Additionally, OIG closed one recommendation from the original report but issued a new recommendation to address related ongoing issues.

Program Reviews and Special Reports

Management Assistance Report: Deficiencies in Overseas Records Management
(ISP-20-25, 9/2020)

In this review, OIG focused on determining underlying factors contributing to deficiencies in records management responsibilities at overseas posts. OIG reviewed 51 overseas inspection reports issued from October 1, 2016, to September 30, 2019, and identified 23 findings involving records management deficiencies. In these reports, OIG found a wide variance in the implementation and execution of records management responsibilities at overseas posts. OIG highlighted several causes for the variance, including a lack of understanding by assigned staff of their records management responsibilities, insufficient training, and lack of management oversight. Although the Bureau of Administration's Global Information Services, Office of Information Programs and Services—the Department's designated records office and principal advising office on records management—led several efforts to increase outreach and training to overseas

records management personnel, OIG continued to identify deficiencies in records management.

OIG made one recommendation to the Bureau of Administration to address the reported causes of records management deficiencies.

Review of the Department of State's Role in Arms Transfers to the Kingdom of Saudi Arabia and the United Arab Emirates
(ISP-I-20-19, 8/2020)

In response to congressional requests, OIG reviewed the Department's role in arms transfers to the Kingdom of Saudi Arabia and the United Arab Emirates following the Secretary's May 2019 certification that an emergency existed under Section 36 of the Arms Export Control Act (AECA). OIG determined that the Secretary's emergency certification was executed in accordance with the requirements of the AECA. However, OIG also found that the Department did not fully assess risks and implement mitigation measures to reduce civilian casualties and legal concerns associated with the transfer of precision-guided munitions included in the May 2019 emergency certification.

OIG issued one recommendation to the Department in a classified annex that accompanied this report.

Domestic Bureaus

Inspection of the Bureau of European and Eurasian Affairs
(ISP-I-20-15, 9/2020)

OIG found that the Bureau of European and Eurasian Affairs (EUR) successfully supported Department policies and its overseas missions. However, organizational structure and chronic understaffing impeded the mission of the Special Envoy for Holocaust Issues. An outdated service-level agreement between the Bureau of

Information Resource Management and the EUR IT helpdesk adversely affected customer service. OIG also found that the Office of Public Diplomacy sought to better integrate digital media into programming and enable a higher level of coordination on policy messaging and countering disinformation by creating templates for overseas posts to use.

OIG made recommendations to improve EUR's policy and program implementation, resource management, and information resource management operations.

Spotlight on Success: The Office of Western European Affairs initiated an orientation program for new desk officers on such topics as bureau culture, the briefing paper process, working with the National Security Council, and handling high-level meetings.

Inspection of the Bureau of Counterterrorism's Foreign Assistance Program Management (ISP-I-20-14, 6/2020)

OIG found the Bureau of Counterterrorism (CT) made substantial progress in setting up strategic planning and business operations processes to support an expansion of its foreign assistance program funding since FY 2016, but the bureau did not develop a fully integrated internal planning process to incorporate the range of its programs and those of partner agencies. The bureau's monitoring and evaluation framework did not fully comply with Department standards, and the bureau relied on third-party contractors to help with foreign assistance program oversight—including inherently governmental functions. Federal agency implementing partners did not submit quarterly performance and financial reports or submitted fewer than required, which contributed to weaknesses in funds control and program management, and the bureau also faced challenges in closing out its interagency agreements. Federal assistance awards files did

not always include monitoring documentation to show whether a recipient performed the award in accordance with the statement of work. Additionally, the bureau returned \$51.9 million in expired and canceled funds from FY 2016 to FY 2019, partly as a result of the weaknesses in funds control.

OIG made recommendations to improve CT's foreign assistance program management.

Inspection of the Bureau of Counterterrorism (ISP-I-20-13, 5/2020)

OIG found the Coordinator for Counterterrorism exhibited decisive leadership, marked by setting clear strategic goals and communicating them effectively to staff, which enabled the bureau to navigate major shifts in its mission since 2016. However, at times, the Coordinator engaged in conduct that negatively affected employee morale and productivity. Although the bureau established effective internal policy coordination and communication processes, it did not provide sufficient policy guidance, training, and administrative support to overseas employees responsible for coordinating and reporting on regional counterterrorism issues. Additionally, employees from other Department bureaus and Federal agencies expressed differing opinions about the bureau's effectiveness in promoting its policy goals in interagency processes. Vacancies in 22 percent of the bureau's Civil Service positions hampered operations. The bureau's Office of the Executive Director did not have systems in place to measure the results of key administrative activities and efficiently communicate with customers, and, as a result, bureau staff expressed dissatisfaction with the services delivered by the office. Finally, the bureau did not follow Department procedures for software development, and the lack of IT contingency plans placed at risk the bureau's ability to support these functions in the event of an unplanned disruption.

OIG made recommendations to improve CT's adherence to internal controls, policy and program management, administrative operations, and information management and information security activities.

Overseas Missions

Bureau of African Affairs

Inspection of Embassy Windhoek, Namibia (ISP-I-20-32, 9/2020)

OIG found the Ambassador and Deputy Chief of Mission led Embassy Windhoek in a professional and collaborative manner. However, although the embassy submitted the required Statement of Assurance on internal controls, it did not identify and report long-standing deficiencies. The embassy did not properly award, execute, and administer contracts in accordance with Department and Federal acquisition standards and had at least \$1.37 million in unauthorized commitments. Additionally, the embassy's consular crisis management planning did not fully comply with Department guidance.

OIG made recommendations to improve Embassy Windhoek's policy and program implementation, resource management, and information management operations.

Spotlight on Success: The Information Management Section installed a solar- and wind-powered repeater for the ultra-high frequency radio emergency and evacuation system to address service disruption resulting from frequent power outages. This action resulted in access to uninterrupted emergency and evacuation radio communication and saved \$18,000 in electricity bills.

Inspection of Embassy Ouagadougou, Burkina Faso (ISP-I-20-18, 9/2020)

OIG found the Ambassador and the Deputy Chief of Mission established clearly defined goals and priorities for Embassy Ouagadougou and effectively employed a wide variety of mechanisms to communicate and coordinate their activities with the Burkina Faso Government. In meeting advocacy and reporting responsibilities, the embassy reported on the growing extremist threat in northern Burkina Faso as well as on allegations of increased human rights violations. The embassy also continued to press the Burkina Faso Government to address human rights violations even as government forces faced serious terrorist activity. OIG determined that a 13-month staffing gap in the General Services Officer position led to several internal control deficiencies in the Management Section. Information management operations and services generally complied with Department policies and guidance but lacked inventory control procedures for network user accounts and IT equipment.

OIG made recommendations to address Embassy Ouagadougou's policy and program implementation, resource management, and information management operations.

Inspection of Embassy Yaoundé, Cameroon (ISP-I-20-20, 5/2020)

OIG found the Ambassador and the Deputy Chief of Mission led Embassy Yaoundé in a professional and collaborative manner, but the Deputy Chief of Mission did not always efficiently manage and prioritize items coming to her for review and approval. Additionally, the embassy did not develop a plan to integrate Embassy Branch Office Douala with embassy operations, as called for in the Integrated Country Strategy. Prior to the end of the FY 2019 Diversity Visa program, the Consular Section issued 13 visas to applicants who were ineligible because their medical results were

incomplete. Finally, the embassy's residential housing program did not fully comply with Department safety and fire standards, and the embassy did not have a functioning high frequency emergency radio network, leaving it unable to communicate with posts assigned to its regional network control station.

OIG made recommendations to improve Embassy Yaoundé's execution of foreign policy goals and objectives and consular, resource management, and information management operations.

Bureau of European and Eurasian Affairs

Inspection of Embassy Prague, Czech Republic (ISP-I-20-28, 9/2020)

OIG found that the Ambassador and Deputy Chief of Mission led Embassy Prague in a professional and collaborative manner, with embassy personnel reporting that the Ambassador and Deputy Chief of Mission created an environment that empowered staff to discuss internal control issues openly. Additionally, the Ambassador reinvigorated senior-level engagement with the Czech president, and the embassy secured the sale of \$646 million in U.S. military equipment to enable the Czech Republic to meet its force modernization efforts and North Atlantic Treaty Organization commitments. However, a lack of an embassy-wide locally employed (LE) staff salary increase since 2003 affected staff morale and recruitment efforts. Finally, the embassy did not adhere to all Department safety, health, and environmental management requirements and did not conduct required IT contingency planning and training.

OIG made recommendations to improve Embassy Prague's consular, resource management, and information management operations.

Spotlight on Success: The Ambassador initiated an innovative annual goal-setting process that

included quarterly reviews with all embassy sections. The process fostered interagency collaboration and helped assess implementation of the embassy's Integrated Country Strategy objectives.

Inspection of Embassy London and Constituent Posts, United Kingdom (ISP-I-20-12, 8/2020)

OIG found that Mission United Kingdom's leadership team effectively advanced the themes of shared prosperity and security in the context of the United States-United Kingdom "special relationship." The Ambassador and the Deputy Chief of Mission conducted substantive policy engagement on a range of issues and were active in public diplomacy outreach. However, OIG determined that the Ambassador did not always model the Department's leadership and management principles. OIG also found that the mission's defined benefit pension plan for LE staff remained underfunded by \$31.5 million due to insufficient employer and employee contributions. The memorandum of understanding between Embassy London and the Regional Information Management Center Frankfurt for the ClassNet Regionalization initiative did not address key roles and responsibilities. Additionally, the embassy's six locally developed computer applications did not complete the Department's system authorization process, resulting in potential risk regarding confidentiality, integrity, and availability of information residing on the applications.

OIG made recommendations to address Embassy London's tone at the top and standards of conduct and improve policy and program implementation, resource management, and information management operations.

Spotlights on Success: Embassy London formed a unique joint fraud investigations team that included representatives of the Consular Section and the Department of Homeland Security. In

addition, the embassy instituted a mentoring program for LE staff and eligible family members.

Inspection of Embassy Bern, Switzerland
(ISP-I-20-21, 5/2020)

OIG found the Ambassador and the Deputy Chief of Mission led the embassy in a professional and collaborative manner. However, the embassy did not evaluate whether Consular Agencies Geneva and Zurich were cost-effective to maintain, and although the embassy's 2019 Annual Chief of Mission Management Control Statement of Assurance included deficiencies regarding the embassy compound, it failed to identify other management control issues. The Political-Economic Section's lack of an approved reporting plan created uncertainty about priorities and led to wasted effort on preparing cable reporting that ultimately were not approved. Embassy Bern's Consular Section had a unique workload that included American citizen services for U.S. citizens living in Iran and staff support for the World Economic Forum, but the embassy had not analyzed the effect of these services on the section's workload. Finally, although the information management staff met customer needs, they did not focus on information security, placing the Department's information at risk of compromise.

OIG made recommendations to improve Embassy Bern's consular, resource management, and information management operations.

Inspection of Embassy Vilnius, Lithuania
(ISP-I-20-29, 4/2020)

OIG found the new Ambassador, who arrived during the inspection, quickly communicated his vision for a "happy, healthy, and productive" embassy, setting a positive, ethical, and inclusive tone for the mission. Furthermore, EUR officials reported they were satisfied with the performance of Embassy Vilnius under the direction of the

Chargé d'Affaires (the current Deputy Chief of Mission), who led Embassy Vilnius from July 2019 to January 2020. The Management Section generally implemented required processes and procedures in accordance with applicable laws and Department guidance, with one exception in Facilities Management. Finally, the Information Resource Management Office's unclassified server room did not meet the safety standards of the Department and the Occupational Safety and Health Administration.

OIG made recommendations to improve Embassy Vilnius' consular, resource management, and information management operations.

Bureau of International Organization Affairs

Inspection of U.S. Mission to the United Nations and Other International Organizations in Geneva, Switzerland
(ISP-I-20-16, 6/2020)

OIG found that the Chargé d'Affaires and the acting Deputy Chief of Mission led Mission Geneva in a professional and collegial manner. However, the mission lacked documentation to support its 2019 Annual Chief of Mission Management Control Statement of Assurance. Mission Geneva and the Bureau of International Organization Affairs did not have shared procedures for promoting and tracking U.S. citizen employment at Geneva-based United Nations and other international organizations. Mission Geneva also had deficiencies in its procurement program, including unauthorized commitments and poor contract administration. In addition, the mission did not complete reviews of blanket purchase agreements in accordance with Department standards. Finally, although the Information Management Office met customer needs, the mission did not always carry out information security responsibilities, putting the Department's information systems at risk of compromise.

OIG made recommendations to improve Mission Geneva's adherence to internal controls and its policy and program implementation, resource management, and information management operations. OIG also made recommendations to the Bureau of Global Talent Management to improve human resource operations at Mission Geneva.

Spotlights on Success: The mission effectively integrated staff from all agencies represented at post, reflecting a "whole of government" approach to humanitarian, economic, and health issues. In addition, a disarmament-focused exchange program, jointly organized by the U.S. missions in Geneva and Vienna, was a successful example of multilateral missions working together to advance shared policy goals.

Bureau of South and Central Asian Affairs

Inspection of Embassy Dhaka, Bangladesh (ISP-I-20-17, 6/2020)

OIG found that the Ambassador and the Deputy Chief of Mission led Embassy Dhaka in a collaborative and professional manner. The Ambassador's active outreach advanced efforts to build political capital and goodwill, and the Ambassador engaged extensively with Bangladeshi Government officials and led efforts by the international community to assist 900,000 Rohingya refugees who had fled Burma. However, the Ambassador contributed to the workload stress of embassy staff by not prioritizing demands he placed on employees to support these efforts. The embassy had difficulty filling mid-level positions after the withdrawal of minor dependents following a 2016 terrorist attack, and many managerial positions had long staffing gaps that exacerbated workload pressures on the remaining staff. Additionally, Consular Section staff routinely worked long hours to manage a growing backlog of immigrant visa work, and the embassy's social media program did not comply

with Department standards. Moreover, the network cabling infrastructure in Embassy Dhaka's unclassified server and telephone frame rooms did not comply with Department standards.

OIG made recommendations to improve Embassy Dhaka's policy and program implementation, resource management, and information management operations.

Spotlights on Success: The Information Management Office created a tracking system for employee checks of the emergency and evacuation radio network that increased participation rates dramatically. In addition, the office created a travel request application that saved time for travelers and travel managers.

Inspection of Embassy Kathmandu, Nepal (ISP-I-20-22, 5/2020)

OIG found the Ambassador and the Deputy Chief of Mission led Embassy Kathmandu in a professional and collaborative manner, and the Front Office was effective in advancing U.S. foreign policy priorities in Nepal. OIG also found that consular managers did not handle conduct issues adequately. The embassy provided home-to-work transportation for approximately 160 LE staff without proper Department authorization. Finally, the retirement fund for LE staff, valued at \$9.6 million, was at risk because the embassy did not manage it appropriately.

OIG made recommendations to improve Embassy Kathmandu's policy and program implementation, resource management, and information management operations.

Spotlight on Success: An embassy social media campaign generated positive local reactions amid indications the messages were helping improve bilateral relations.

9 OFFICE OF INVESTIGATIONS

The Office of Investigations conducts worldwide investigations of criminal, civil, and administrative misconduct related to programs and operations of the Department.

The office refers investigative results to the Department of Justice (DOJ) for prosecution and to the Department's Bureau of Global Talent Management (previously known as the Bureau of Human Resources), the Bureau of Diplomatic Security, the Office of the Procurement Executive, and other entities for administrative or other appropriate action. OIG's involvement in complex

investigations of crimes affecting Department employees, programs, and operations has resulted in significant actions—including convictions, settlements, recoveries, suspensions, and debarments—and continues to promote integrity and accountability of personnel and programs.

For a summary of OIG investigative activity related to Department of State programs and operations this reporting period, see Table 9.1. For a breakdown of cases closed this reporting period, see Figure 9.1.

Table 9.1
OIG Investigative Activity Related to Department of State Programs and Operations,
4/1/2020–9/30/2020

| | |
|--|-------------|
| Preliminary Inquiries | |
| Opened | 27 |
| Closed | 27 |
| Investigations | |
| Opened | 17 |
| Closed | 41 |
| Pending (9/30/2020) | 25 |
| Reports Issued ^a | 6 |
| Criminal and Civil Actions | |
| Referrals to the Department of Justice | 11 |
| Referrals to Foreign, State, and Local Prosecuting Authorities | 0 |
| Arrests | 3 |
| Indictments/Informations ^b | 25 |
| Convictions | 4 |
| Civil Judgments/Settlements | 2 |
| Administrative Actions | |
| Removals (Resignation & Termination) | 8 |
| Suspensions/Revocations (Employee & Security Clearance) | 4 |
| Reprimands/Admonishments/Other | 4 |
| Investigative Monetary Results | |
| Civil Settlement | \$1,431,444 |
| Cost Recovery | \$1,816,262 |
| Criminal Forfeiture | \$70,000 |
| Fines and Penalties | \$0 |
| Funds Put to Better Use (Cost Savings) | \$392,536 |
| Restitution | \$16,944 |
| Suspension and Debarment | |
| Contractors/Grantees Suspended | 5 |
| Employees/Contractors/Grantees Debarred | 15 |
| Fraud Awareness Briefings | |
| | 11 |

Note: The figures in this table were derived from a defined search of the Office of Investigations' electronic case management system for the period from April 1, 2020, through September 30, 2020, based upon specific administrative action categories.

^a The number represents final Reports of Investigation issued during the reporting period. The same Report of Investigation may have been issued to more than one Department bureau or office and may include multiple subjects for possible administrative actions.

^b The number represents all indictments and criminal informations that occurred during the reporting period. All indictments and criminal informations result from referral to prosecuting authorities. The referral may have occurred in a prior reporting period.

OIG's investigative efforts span the globe. As shown in Figure 9.2 and Table 9.2, of the 68 cases and preliminary inquiries closed this reporting period, 51 percent concerned activity in the United States, and 49 percent concerned activity in other countries.

Figure 9.1
OIG Investigations Closed, 4/1/2020–9/30/2020

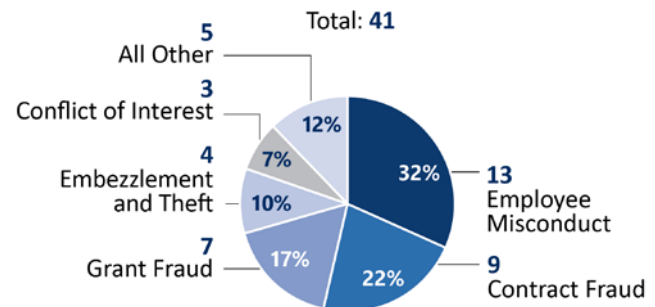


Figure 9.2
Department-Related Cases and Preliminary Inquiries Closed, by Country, 4/1/2020–9/30/2020



Source: Office of Investigations electronic case management system.

Table 9.2
Preliminary Inquiries and Cases Closed, 4/1/2020–9/30/2020

| Type | Domestic | Overseas |
|------------------------------|----------|----------|
| Preliminary Inquiries Closed | 19 | 8 |
| Cases Closed | 16 | 25 |

Source: Office of Investigations electronic case management system.

Investigations Involving Senior Government Employees

During the reporting period, OIG conducted a number of investigations involving senior Government employees. Table 9.3 details each such investigation where OIG substantiated

allegations of misconduct. Other than the investigations described in Table 9.3, OIG has no investigations to report involving senior Government employees that were substantiated and closed during the reporting period but not disclosed to the public.

Table 9.3
Investigations Involving Senior Government Employees Where Allegations Were Substantiated, 4/1/2020–9/30/2020

| Description | Status | DOJ Referral & Response | Closed Date |
|---|---|---|-------------|
| Case #C2018-044 | | | |
| In April 2018, OIG opened a joint investigation with DS based on information that a Regional Security Officer may have abused his power and diverted embassy resources for his personal use. | The investigation revealed he misused Department resources by utilizing an embassy's mobile patrol unit for unauthorized personal use totaling \$4,500 in violation of Department regulations and Chief of Mission policy. | 5/2018 – DOJ declined the case in lieu of administrative action. The former employee's security clearance was placed on probation for a period of 1 year, however, he retired from the Department prior to the Office of Global Talent Management's final adjudication. | 7/2020 |
| Case #C2018-066 | | | |
| In August 2018, OIG opened an investigation based on information that a Diplomatic Courier Division Director may have accepted gifts of lavish lunches from a vendor in exchange for awarding procurements. | The investigation revealed the vendor paid for employee's lunches on multiple occasions and invited him to attend professional soccer matches in the comfort of the company's hospitality suite in exchange for future awards. OIG also determined that during an 18-month period, he submitted time and attendance records totaling \$26,396.88 of pay for hours in which he did not work. | 3/2019 – DOJ declined the case in lieu of administrative action, however, the former employee retired from the Department while under investigation. | 8/2020 |
| Case # C2020-024 | | | |
| In March 2020, OIG opened a joint investigation with DS based on information that a Department Ambassador may have made an unauthorized disclosure by sending a Sensitive But Unclassified cable to an individual having no affiliation with the U.S. Government. | The investigation substantiated the allegation. | As there was no violation of criminal law, the case was not referred to DOJ, however, the Ambassador resigned from the Department while under investigation. | 8/2020 |

Contract Fraud

In July 2020, Bernhardt Furniture Company agreed to pay \$172,000 in civil penalties to settle allegations involving violations of the Procurement Integrity Act relating to the company's receipt of competitor bid information and providing of gratuities to Department employees in connection with a Department contract. The settlement resolves civil penalty claims against Bernhardt relating to criminal pleas entered by Bernhardt Vice President of Sales Steven Anstine and Department procurement officials Patricia DeLaughter and Davina Foster.

Also in July 2020, a Federal grand jury indicted Cory Sanders on charges of wire fraud, false claims, and aggravated identity theft in connection with his companies' performance on Federal contracts. OIG, Department of Labor OIG, and Naval Criminal Investigative Service special agents determined that from 2015 through 2018, Sanders allegedly used his company to defraud multiple Federal agencies by providing false information about the delivery, source, and condition of the telecommunications equipment he sold. He also allegedly fabricated and forged certifications.

In June 2020, a Federal grand jury indicted Keith Fisher Sr., the former president of a company providing goods to Federal Government agencies, for trying to defraud businesses in connection with Government contracting. OIG, Naval Criminal Investigative Service, and General Services Administration OIG special agents found that, while on supervised release for conspiring to commit mail fraud, Fisher allegedly bid on Federal contracts by using an alias to subcontract with a third-party vendor to provide goods directly to the Government agency. In addition, he allegedly made false and fraudulent claims to other potential subcontractor vendors. Both

Fisher and his company were debarred for 10 years.

In June 2020, Alutiiq International Solutions LLC (AIS) entered into a non-prosecution agreement and has agreed to pay over \$1.25 million to resolve a DOJ investigation into a kickback and fraud scheme on a contract to modernize the Department's Harry S. Truman Building in Washington, DC. According to AIS admissions in the non-prosecution agreement, former AIS project manager Elmer Baker began receiving kickbacks in 2010 from a subcontractor on the project in exchange for steering work to that subcontractor. By 2015, Baker began demanding cash kickbacks equivalent to 10 percent of the value of contract modifications awarded to the subcontractor. In May 2019, a Federal grand jury indicted Baker for conspiracy to violate the Anti-Kickback Act and wire fraud. Baker's trial is scheduled for December 2020. OIG, Federal Bureau of Investigation (FBI), and General Services Administration OIG special agents investigated this case.

In April 2020, OIG was notified that a grantee organization was ordered to return \$351,188 from a grant and \$893,784 from a co-operative agreement for failing to fulfill its obligation to organize and promote youth football throughout multiple provinces in Afghanistan. After receiving a referral from the Grants Officer and OIG's Office of Audits, OIG special agents determined the organization had been submitting false claims to the Department and trying to conceal its actions. The organization did not organize tournaments, purchase equipment, or provide training as promised but continued to invoice the Department as if the services were provided. In addition, the Department de-obligated \$392,536 from the grant and suspended three individuals and the grantee organization.

Also in April 2020, a contract company reimbursed the Department \$371,327 for overbilling. OIG special agents, in close coordination with the Contracting Officer, determined that a sub-contractor and two of its vendors overcharged the Department for contractor-related airline travel from December 2014 through February 2019.

Also in April 2020, a former Department contractor was ordered to pay \$630 as a result of unauthorized use and mishandling of Department equipment. OIG special agents concluded the contractor knowingly received and retained, without authorization, an Apple iPad and iPhone. In addition to failing to enter the equipment into the Department's inventory system, the contractor made misrepresentations and concealed material facts from OIG. In November 2019, the contractor was debarred for 3 years.

Embezzlement and Theft

In August 2020, a locally employed staff member at a U.S. embassy resigned pending a final decision on disciplinary action after his security certification was revoked. OIG special agents determined that while he was acting as a Grants Officer Representative, the former employee coerced payments from a grant recipient that were paid to himself and a local nongovernmental organization.

In April 2020, a locally employed staff member was terminated after stealing funds that were meant to support the embassy's social security organization. OIG and Diplomatic Security special agents learned that the former voucher examiner accepted cash deposits from the embassy employee recreation association and, instead of depositing the funds, kept the money to pay bills.

Employee Misconduct

In September 2020, a Department employee received a 14-day suspension without pay and a warning letter that has placed his security clearance on probation for 2 years. OIG and Homeland Security Investigations special agents determined the employee illegally sponsored an H-1B U.S. non-immigrant visa for an accountant to work at a company he owned and operated outside of his Department position.

In July 2020, a security specialist from the Department's Naval Support Unit pleaded guilty to transporting child pornography. OIG and Homeland Security Investigations special agents determined he used his smartphone and two laptops, one or more of which were Department-issued electronic devices, to obtain explicit photos from the internet. Sentencing is pending.

In April 2020, the Department issued a letter of admonishment to a Financial Management Officer for showing poor judgment in the performance of official duties. OIG special agents determined that from November 2013 to June 2015, the employee approved funding in the amount of \$28,569 for 11 purchase orders to a local company that employed the Financial Management Officer's spouse, creating the appearance of a conflict of interest.

Suspensions and Debarments

In August 2020, a grantee, his company, and a senior executive were debarred for 3 years. OIG special agents determined the grantee claimed \$21,900 in salary for a position that did not exist on a grant. The Department disallowed and recovered the costs.

In June 2020, a former owner, his company, and the former vice president of sales were debarred for 5 years after being convicted in June 2019 of conspiring to defraud the Federal Government.

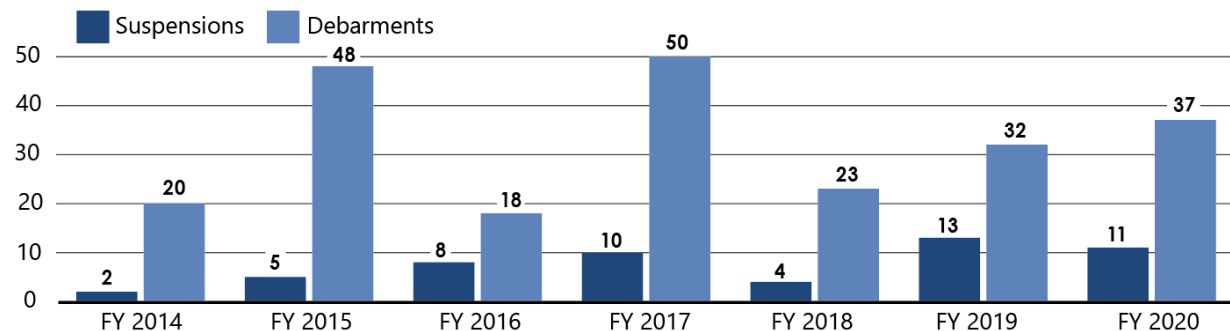
OIG, FBI, and Homeland Security Investigations special agents determined that these defendants conspired to supply substitute body armor plates to a Federal Government contractor. This resulted in the delivery of plates that falsely claimed they conformed to certain specifications. In September 2019, the contractor replaced \$3,252,642 worth of non-conforming body armor with legitimate products.

Also in June 2020, the Department debarred a former contractor employee for theft. The former contractor employee was implementing two Department cooperative agreements to train local governments to carry out their legislative functions more effectively and to

prepare for upcoming local and national elections. OIG and company investigators determined that the former contractor employee stole approximately \$172,000 from a company bank account. This person had signatory authority over the account and used that authority to withdraw the funds improperly. He later tried to conceal the withdrawal by preparing false bank statements. Previously, in July 2019, the company terminated this person's employment.

Figure 9.3 shows suspension and debarment action taken by the Department as a result of OIG referrals from FY 2014 to FY 2020.

Figure 9.3
Suspension and Debarment Action Taken by the Department as a Result of OIG Referrals, FY 2014–2020



Source: Office of Investigations electronic case management system.

10 FINANCIAL RESULTS OF OIG WORK RELATED TO THE DEPARTMENT OF STATE

In the reports it issued this reporting period, OIG identified approximately \$193 million in potential monetary benefits to the Department. Also during this reporting period, the Department made management decisions on approximately \$111.6 million in recommendations involving questioned costs or funds that could be put to better use. At the close of this reporting period, the Department had not yet made a management decision on approximately \$543.6 million in questioned costs or funds that could be put to better use, as identified by OIG. OIG determines that a management decision on questioned costs and

funds put to better use has been made and reports such a determination when OIG receives and accepts sufficient, specific evidence during the compliance process.

For the status of recommendations involving questioned costs in OIG reports on Department programs and operations, see Table 10.1. For the status of recommendations involving funds that could be put to better use, see Table 10.2. For a summary of consolidated Department and USAGM totals of potential monetary benefits identified by OIG during this reporting period, see Section 5 of this report.

OIG Financial Lexicon

Questioned Costs

Costs that are questioned by OIG because of an alleged violation of a provision; costs not supported by adequate documentation; or a finding that the expenditure of funds for the intended purpose is unnecessary or unreasonable.

Allowed:

A cost questioned by OIG that management has decided should be charged to the Government.

Disallowed:

A cost questioned by OIG that management has agreed should not be charged to the Government.

Funds Put to Better Use

Funds that could be used more efficiently if management took actions to implement and complete the recommendation.

Agreed:

The dollar value of recommendations that management agreed to implement.

Disagreed:

The dollar value of recommendations that management disagreed with implementing.

Table 10.1
Status of OIG Recommendations to the Department of State Including Questioned Costs,
4/1/2020–9/30/2020

| | | # Reports | Questioned Costs (\$ Thousands ^b) | Unsupported Costs ^a (\$ Thousands ^b) |
|----|--|-----------------|--|--|
| A. | No management decision made by start of the reporting period | 15 | \$186,064 | \$6,877 |
| B. | Issued during the reporting period | | | |
| | <i>Audit of the Department of State Bureau of African Affairs Monitoring and Coordination of the Trans-Sahara Counterterrorism Partnership Program</i> | | \$108,963 | \$108,963 |
| | <i>Management Assistance Report: The Bureau of African Affairs Should Improve Performance Work Statements and Increase Subject Matter Expertise for Trans-Sahara Counterterrorism Partnership Projects</i> | | \$14,630 | \$0 |
| | <i>Inspection of Embassy Windhoek, Namibia</i> | | \$2,260 | \$0 |
| | <i>Management Assistance Report: Execution of the New Embassy Compound London Construction Project Offers Multiple Lessons</i> | | \$36,383 | \$0 |
| | Total issued during the reporting period | 4 | \$162,237 | \$108,963 |
| | Total (A+B) | | \$348,301 | \$115,840 |
| C. | Management decision made during the reporting period | | | |
| | (i) Disallowed costs | | \$172 | \$124 |
| | (ii) Costs not disallowed | | \$84,270 | \$4,344 |
| | Subtotal | 7 | \$84,443 | \$4,468 |
| D. | Total remaining for decision as of the end of the reporting period [(A+B) – Subtotal C] | 14 ^c | \$263,858 | \$111,372 |
| E. | Additional monetary benefits achieved as the result of prior OIG recommendations | | \$0 | \$0 |

^a “Unsupported Costs” is a subset of “Questioned Costs.”

^b Dollar amounts may be affected by rounding.

^c Count of remaining reports cannot be directly derived from the preceding report counts above because some reports include more than one recommendation with monetary benefits. The 14 reports noted in the table contain 19 recommendations without a management decision at the end of the period.

Table 10.2**Status of OIG Recommendations to the Department of State Recommending Funds Be Put to Better Use, 4/1/2020–9/30/2020**

| | # Reports | Funds Put to Better Use (\$ Thousands ^a) |
|---|-----------------------|---|
| A. No management decision made by start of the reporting period | 20 | \$276,092 |
| B. Issued during the reporting period | | |
| <i>Inspection of the Bureau of European and Eurasian Affairs</i> | | \$3,300 |
| <i>Inspection of Embassy London and Constituent Posts, United Kingdom</i> | | \$244 |
| <i>Classified Inspection of Embassy London and Constituent Posts United Kingdom</i> | | \$27,300 |
| Total issued during the reporting period | 3 | \$30,844 |
| Total (A+B) | 23 | \$306,936 |
| C. Management decision made during the reporting period | | |
| (i) Dollar value of recommendations agreed to by management | | \$25,536 |
| (ii) Dollar value of recommendations not agreed to by management | | \$1,634 |
| Subtotal | 5 | \$27,170 |
| D. Total remaining for decision as of the end of the reporting period [(A+B) – Subtotal C] | 20^b | \$279,767 |
| E. Additional monetary benefits achieved as the result of prior OIG recommendations | 4 | \$6,671 |

^a Dollar amounts may be affected by rounding.^b Count of remaining reports cannot be directly derived from the preceding report counts above because some reports include more than one recommendation with monetary benefits. The 20 reports noted in the table contain 25 recommendations without a management decision at the end of the period.

Office of Management and Budget Single Audits

OMB's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR Part 200) establishes audit requirements for state and local governments, colleges and universities, and nonprofit organizations receiving Federal awards. Under 2 CFR Part 200, covered entities that expend \$750,000 or more a year in Federal funds must obtain an annual organization wide "single audit" that includes the entity's financial statements and compliance with Federal award requirements. These audits are conducted by non-Federal auditors, such as public accounting firms and state auditors. OIG reviews selected audit reports for findings and questioned costs related to Department awards to ensure that the reports comply with the requirements of OMB related to single audits. OIG's oversight of non-Federal audit activity informs Federal managers about the soundness of the management of Federal programs and identifies any significant areas of internal control weaknesses, noncompliance, and questioned costs for resolution or follow-up.

In this reporting period, OIG's Office of Audits reviewed seven single audit reports covering \$721 million in Federal funds. Of this amount, Department funds totaled \$580 million. One of the seven reports documented the awardee's noncompliance with Federal requirements including significant deficiencies in internal control related to lack of account reconciliations and documentation to support pricing analysis on procurements. In addition, separate

management letters were issued by the auditing firms to two of the seven awardees that identified other internal control matters that merit the attention of management and those charged with governance which included timesheet discrepancies, not having documentation readily available for the auditors to be able to complete the audit such as finalized trial balances, Federal grant agreements and amendments, and adjusted journal entries and related supports for accounts. In addition, the auditing firm noted instances where documentation compliance for Federal awards and Uniform Guidance compliance could be improved such as a centralized tracking system for all Federal awards. OIG referred these findings to Department program officials for resolution or follow-up.

Defense Contract Audit Agency Audits

The Office of Acquisitions Management (AQM) provided OIG information concerning Department contract awards. The bureau's Business Operations Division initiates and coordinates audits with the Defense Contract Audit Agency (DCAA) to support contracting officers. Questioned costs that are identified represent the total of all questioned dollars in DCAA audit reports issued during this reporting period. The management decision captures the resolution of audit reports made by the contracting officer during this reporting period to allow or disallow questioned costs. OIG did not verify, or otherwise audit, the values shown in Table 10.4 for the information AQM provided.

Table 10.4
Defense Contract Audit Agency Audit Reports With Questioned Costs

| Recommendation Status | | # Reports | Questioned Costs (\$ Thousands) ^a |
|--|---|----------------|---|
| A. | For which no management decision had been made by the commencement of the reporting period ^c | 9 ^b | \$37,388 ^b |
| B. | <i>Independent Audit Report on Aegis Defense Services, LLC's Proposed Amounts on Unsettled Flexibly Priced Contracts for Fiscal Year (FY) ended January 31, 2019</i> (2019M10100002, April 15, 2020) | | \$5,956 |
| | <i>Independent Audit Report on Taylors International Services Inc.'s Proposed Amounts on Unsettled Flexibly Priced Contracts for FY 2017</i> (2018A10100003, May 21, 2020) | | \$504 |
| | <i>Independent Audit Report on Arista Aviation Services LLC's Proposed Amounts on Unsettled Flexibly Priced Contracts for FY2018</i> (2018A10100702, September 24, 2020) | | \$211 |
| | <i>Independent Audit Report on Constellis, LLC's Proposed Amounts on Unsettled Flexibly Priced Contracts for FY 2018</i> (2018A10100702, September 25, 2020) | | \$5,160 |
| | <i>Independent Audit Report on AAR - Worldwide Aviation Support Services Proposed Amounts on Unsettled Flexibly Priced Contracts for FY 2018</i> (2018M10100015, September 30, 2020) | | \$2,565 |
| Total issued during the reporting period | | 5 ^c | \$14,396 |
| Subtotal Questioned Costs (A+B) | | 14 | \$51,783 |
| C. | For which management decision was made during the reporting period ^d | | |
| | (i) Disallowed costs | | 0 |
| | (ii) Costs not disallowed | | 0 |
| | Total Management Decisions ^d | 0 ^e | 0 |
| D. | For which no management decision has been made by the end of the reporting period [(A+B) – Subtotal C] | 14 | \$51,783 |

^a Dollar amount may be affected by rounding.

^b This number and total excludes one audit report that OIG issued in a prior period on behalf of the Bureau of Administration and that was pending a management decision. This report and any respective decisions are accounted for in Table 10.1, "Status of OIG Recommendations to the Department of State Including Questioned Costs." This number and total also excludes a report issued in 2017 that was erroneously omitted from the October 2017 semiannual report data provided to OIG. *Independent Audit Report on Xator Corporation's Proposed Amounts on Unsettled Flexibly Priced Contracts for FY2013* (2013R1010024, June 29, 2017) had questioned costs of \$146,618, or \$147,000 rounded.

^c Number excludes eight additional DCAA reports issued during the reporting period that AQM reported as not having questioned costs.

^d Number excludes one audit report OIG issued in a prior period on behalf of the Bureau of Administration that was pending a management decision at the commencement of the period but had a management decision during the period. This report and the respective decisions are accounted for in Table 10.1 "Status of OIG Recommendations to the Department of State Including Questioned Costs." Number also excludes management decision on the report issued in 2017 but erroneously omitted

from the October 2017 semiannual report data provided to OIG. The \$146,618 (\$147,000 rounded) in questioned costs were disallowed.

^e Number includes the number of reports with full management decisions on all remaining questioned costs and excludes the number of reports with pending questioned costs.

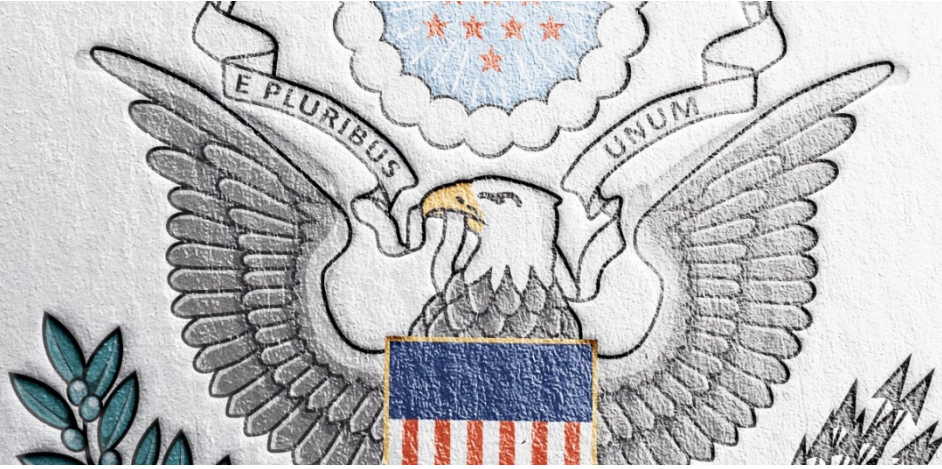
11 COMPLIANCE

OIG tracks and documents the status of OIG report recommendations and agency follow-up actions. OMB Circular A-50 requires prompt resolution and corrective action on OIG recommendations. Specifically, the circular states that resolution shall be made within 6 months after the final report is issued, with corrective action proceeding as rapidly as possible.

The tables in Appendix D provide detailed information about the status of OIG recommendations. Tables D.1 through D.3 identify resolved but unimplemented recommendations associated with unclassified

reports issued prior to April 1, 2020. These tables also identify recommendations designated as significant and associated potential monetary benefits. Table D.4 identifies recommendations that have been without management decision for more than 6 months.

Table D.5 shows reports issued in the previous reporting period that did not receive comments within 60 days of issuance. Table D.6 shows previous significant management decisions that the Department revised during this reporting period, and Table D.7 identifies significant management decisions with which OIG disagreed. Lastly, Table D.8 highlights a number of recommendations that were closed during the reporting period.



OVERSIGHT OF U.S. AGENCY FOR GLOBAL MEDIA PROGRAMS AND OPERATIONS

12 OFFICE OF AUDITS

The Office of Audits supports the U.S. Agency for Global Media (USAGM) by auditing its programs and operations and making recommendations to improve management, strengthen integrity and accountability, and ensure the most efficient, effective, and economical use of resources. Audit work focuses on such areas of concern as financial management and information security and management practices. From April 1, 2020, to September 30, 2020, the Office of Audits issued one audit report related to USAGM programs and operations, which is summarized below.

Financial Management

Audit of U.S. Agency for Global Media FY 2019 Compliance With Improper Payments Requirements
(AUD-FM-IB-20-28, 5/2020)

OIG found that USAGM complied with improper payments requirements for the FY 2019 reporting period. Specifically, USAGM published on its website the FY 2019 Performance and Accountability Report, which included all applicable payment integrity disclosures, as required by OMB Circular A-136, *Financial Reporting Requirements*. In addition, USAGM complied with the requirement to perform program-specific risk assessments. Specifically, USAGM performed quantitative risk assessment testing for two programs as part of its rotational testing approach.

13 OFFICE OF EVALUATIONS AND SPECIAL PROJECTS

From April 1, 2020, to September 30, 2020, the Office of Evaluations and Special Projects issued one evaluation report related to USAGM programs and operations which is summarized below.

Management Assistance Report: U.S. Agency for Global Media Network Warning Banner
(ESP-20-05, 9/2020)

In connection with a recent criminal investigation and felony prosecution, OIG reviewed the warning banners displayed by computers issued to USAGM employees. This banner fails to meet applicable guidelines set forth by the Department of Justice's Computer Crimes and Intellectual Property Section (CCIPS) and by the

National Institute of Standards and Technology, which creates the risk that law enforcement officers seeking to access information regarding use of USAGM computers and systems will be compelled to obtain a warrant to do so, thereby risking unnecessary delays and possible destruction or exclusion of evidence in criminal investigations. It may also limit USAGM's ability to administratively monitor the system usage of USAGM employees (or others on the USAGM network). OIG recommended that USAGM revise its banner in accordance with applicable CCIPS guidance and/or one of the models provided by CCIPS, and USAGM agreed with this recommendation.

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14 OFFICE OF INVESTIGATIONS

The Office of Investigations conducts worldwide investigations of criminal, civil, and administrative misconduct related to USAGM programs and operations. From April 1, 2020, to September 30, 2020, the office's work resulted in the plea bargain pending sentencing of one subject that is summarized below. Additionally, the office opened three preliminary inquiries and closed three preliminary inquiries, opened one case and closed two cases.

Contract Fraud

In July 2020, Diane Sturgis, a former USAGM Contracting Officer, pleaded guilty to conspiring to engage in a bribery scheme. OIG and FBI special agents determined that Sturgis and an owner of a Virginia information and data management firm used a legitimate task order to hire her relative to fill a position in exchange for

preferential treatment and the performance of official acts benefitting the firm. From December 2014 through June 2015, the firm issued four payments to Sturgis' relative totaling \$30,000. However, the relative performed no consulting work in exchange for these payments. Sentencing is scheduled for November 2020.

Investigations Involving Senior Government Employees

During the reporting period, OIG conducted no investigations involving senior Government employees at USAGM where OIG substantiated allegations of misconduct. OIG also has no investigations to report involving senior Government employees that were substantiated and closed during the reporting period but not disclosed to the public.

15 FINANCIAL RESULTS OF OIG WORK RELATED TO THE U.S. AGENCY FOR GLOBAL MEDIA

In the reports it issued this reporting period, OIG did not identify potential monetary benefits to USAGM. During the reporting period, the agency made a management decision on a recommendation involving \$6.2 million in funds that could be put to better use. USAGM had no open recommendations involving questioned costs from this reporting period or previous reporting period that required a management decision. OIG determines that a management decision on questioned costs and funds put to

better use has been made and reports such a determination when OIG receives and accepts sufficient, specific evidence during the compliance process. For the status of recommendations involving funds that could be put to better use, see Table 15.1. For a summary of consolidated Department and USAGM totals of potential monetary benefits identified by OIG during this reporting period, see Section 5 of this report.

OIG Financial Lexicon

Questioned Costs

Costs that are questioned by OIG because of an alleged violation of a provision; costs not supported by adequate documentation; or a finding that the expenditure of funds for the intended purpose is unnecessary or unreasonable.

Allowed:

A cost questioned by OIG that management has decided should be charged to the Government.

Disallowed:

A cost questioned by OIG that management has agreed should not be charged to the Government.

Funds Put to Better Use

Funds that could be used more efficiently if management took actions to implement and complete the recommendation.

Agreed:

The dollar value of recommendations that management agreed to implement.

Disagreed:

The dollar value of recommendations that management disagreed with implementing.

Table 15.1

Status of OIG Recommendations to the U.S. Agency for Global Media Recommending Funds Be Put to Better Use, 4/1/2020–9/30/2020

| | # Reports | Funds Put to Better Use (\$ Thousands ^a) |
|---|-----------|---|
| A. No management decision made by start of the reporting period | 1 | \$6,227 |
| B. Issued during the reporting period | | |
| Total issued during the reporting period | 0 | \$0 |
| Total (A+B) | 1 | \$6,227 |
| C. Management decision made during the reporting period | | |
| (i) Dollar value of recommendations agreed to by management | | \$6,011 |
| (ii) Dollar value of recommendations not agreed to by management | | \$216 |
| Subtotal | 1 | \$6,227 |
| D. Total remaining for decision as of the end of the reporting period [(A+B) – Subtotal C] | 0 | \$0 |
| E. Additional monetary benefits achieved as the result of prior OIG recommendations | 1 | \$112 |

^a Dollar amounts may be affected by rounding.

Office of Management and Budget Single Audits

OMB's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR Part 200) establishes audit requirements for state and local governments, colleges and universities, and nonprofit organizations receiving Federal awards. Under 2 CFR Part 200, covered entities that expend \$750,000 or more a year in Federal funds must obtain an annual organization-wide "single audit" that includes the entity's financial statements and compliance with Federal award requirements. These audits are conducted by non-Federal auditors, such as public accounting firms and state auditors.

OIG's Office of Audits also reviewed three single audit reports covering \$282 million in Federal funds to USAGM. Two of the three reports documented the awardee's noncompliance with Federal requirements including significant internal control deficiencies related to untimely reconciliation of asset and liability accounts, improper accrual of construction funds, lack of internal controls over bank accounts, and failure to demonstrate terrorist screening of its contractors and vendors. OIG referred these findings to USAGM officials for resolution or follow-up. During this reporting period, there was one audit report with findings and questioned costs for which USAGM was required to issue a management decision. Table 15.2 summarizes the USAGM's decisions during this period to allow or disallow the questioned costs.

Table 15.2
Inspector General-Referred Single Audit Reports With Questioned Costs

| | # Reports | Questioned Costs (\$ Thousands ^a) |
|---|-----------|--|
| A. For which no management decision had been made by the commencement of the reporting period | 0 | \$0 |
| B. Issued during the reporting period | 1 | \$105 |
| Subtotal Questioned Costs (A+B) | 1 | \$105 |
| C. For which a management decision was made during the reporting period | | |
| (i) Disallowed costs | 0 | \$0 |
| (ii) Costs not disallowed | 0 | \$0 |
| Total Management Decisions | 0 | \$0 |
| D. For which no management decision has been made by the end of the reporting period [(A+B) – Subtotal C] | 1 | \$105 |

^a Dollar amounts may be affected by rounding.

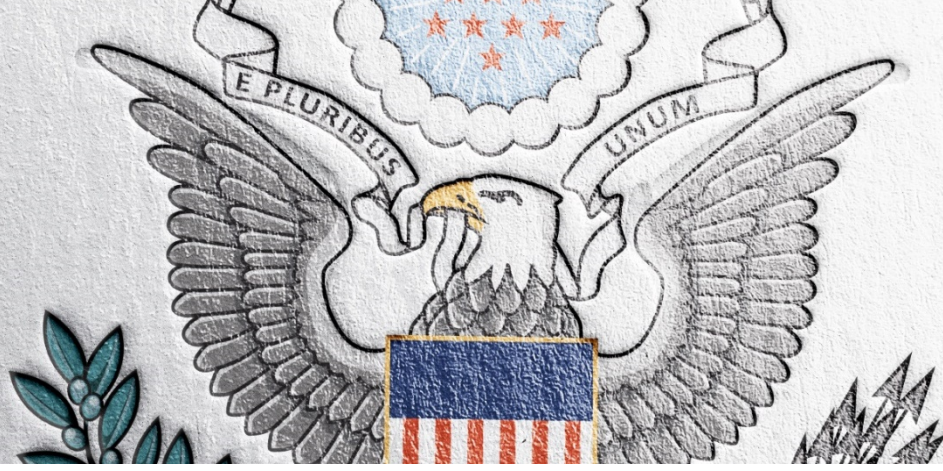
16 COMPLIANCE

OIG tracks and documents the status of OIG report recommendations and agency follow-up actions. OMB Circular A-50 requires prompt resolution and corrective action on OIG recommendations. Specifically, the circular states that resolution shall be made within 6 months after the final report is issued, with corrective action proceeding as rapidly as possible.

The tables in Appendix E provide detailed information about the status of OIG recommendations. Tables E.1 and E.2 identify resolved but unimplemented recommendations associated with unclassified reports issued prior

to April 1, 2020. These tables also identify recommendations designated as significant and associated potential monetary benefits. Table E.3 identifies recommendations that have been without management decision for more than 6 months.

Table E.4 shows reports issued in the previous reporting period that did not receive comments within 60 days of issuance. Table E.5 shows previous significant management decisions that USAGM revised during this reporting period, and Table E.6 identifies significant management decisions with which OIG disagreed.



APPENDICES

APPENDIX A: OIG REPORTS RELATED TO DEPARTMENT OF STATE PROGRAMS AND OPERATIONS

Table A.1

OIG Reports Related to Department of State Programs and Operations, 4/1/2020–9/30/2020

| Report # | Report Title | Date |
|-------------------------|--|--------|
| Office of Audits | | |
| AUD-MERO-20-46 | <i>Audit of Food Services Under the Afghanistan Life Support Services Contract</i> | 9/2020 |
| AUD-MERO-20-45 | <i>Audit of Department of State Foreign Assistance Grants and Cooperative Agreements in Somalia</i> | 9/2020 |
| AUD-CGI-20-44 | <i>Information Report: Systemic Weaknesses Related to the Administration and Oversight of Department of State Contracts and Federal Assistance From FY 2017 to FY 2019</i> | 9/2020 |
| AUD-CGI-20-43 | <i>Audit of the Bureau of Overseas Buildings Operations Process To Execute Construction Closeout Procedures for Selected Capital Construction Projects</i> | 9/2020 |
| AUD-MERO-20-42 | <i>Audit of the Department of State Bureau of African Affairs Monitoring and Coordination of the Trans-Sahara Counterterrorism Partnership Program</i> | 9/2020 |
| AUD-MERO-20-41 | <i>Audit of Department of State Compliance With the Geospatial Data Act of 2018^a</i> | 9/2020 |
| AUD-MERO-20-40 | <i>Management Assistance Report: Additional Guidance Needed to Improve the Oversight and Management of Locally Employed Staff Serving at Remote Missions^a</i> | 9/2020 |
| AUD-MERO-20-39 | <i>Audit of Bureau of Overseas Buildings Operations Process To Identify and Apply Best Practices and Lessons Learned to Future Construction Projects</i> | 9/2020 |
| AUD-CGI-20-36 | <i>Management Assistance Report: Execution of the New Embassy Compound London Construction Project Offers Multiple Lessons</i> | 7/2020 |
| AUD-SI-20-30 | <i>Compliance Follow-Up Audit of Bureau of Diplomatic Security Property Management Procedures for Protective Personnel Equipment</i> | 7/2020 |
| AUD-CGI-20-37 | <i>Management Assistance Report: Department of State Guidance Does Not Comply With Federal Travel Regulations</i> | 6/2020 |
| AUD-MERO-20-35 | <i>Review of the Afghan Special Immigrant Visa Program</i> | 6/2020 |
| AUD-MERO-20-34 | <i>Management Assistance Report: Quarterly Reporting on Afghan Special Immigrant Visa Program Needs Improvement</i> | 6/2020 |
| AUD-FM-20-33 | <i>Audit of Selected Internal Controls for the Special Needs Education Allowance</i> | 6/2020 |

| Report # | Report Title | Date |
|---|--|-------------|
| AUD-MERO-20-32 | <i>Follow-Up Audit of Department of State Efforts To Measure, Evaluate, and Sustain Antiterrorism Assistance Objectives in the Bureau of East Asian and Pacific Affairs</i> | 5/2020 |
| AUD-FM-20-31 | <i>Audit of Department of State FY 2019 Compliance With Improper Payments Requirements</i> | 5/2020 |
| AUD-MERO-20-29 | <i>Management Assistance Report: The Bureau of African Affairs Should Improve Performance Work Statements and Increase Subject Matter Expertise for Trans-Sahara Counterterrorism Partnership Projects</i> | 4/2020 |
| AUD-FM-20-27 | <i>Management Letter Related to the Audit of the U.S. Department of State FY 2019 Consolidated Financial Statements</i> | 4/2020 |
| AUD-MERO-20-26 | <i>Audit of Global Engagement Center Federal Assistance Award Management and Monitoring^a</i> | 4/2020 |
| AUD-MERO-20-24 | <i>Management Assistance Report: Legal Determination Concerning Department of State Non-Acquisition Interagency Agreements Is Needed</i> | 4/2020 |
| Office of Enterprise Risk Management | | |
| OIG-ERM-20-01 | <i>Work Plan: Fiscal Years 2021-2022</i> | 9/2020 |
| Office of Evaluations and Special Projects | | |
| ESP-20-06 | <i>Evaluation of the Department's Handling of Sexual Harassment Reports</i> | 9/2020 |
| ESP-20-04 | <i>Review of the Selection Process for the International Women of Courage Award</i> | 9/2020 |
| Office of Inspections | | |
| ISP-I-20-32 | <i>Inspection of Embassy Windhoek, Namibia</i> | 9/2020 |
| ISP-I-20-28 | <i>Inspection of Embassy Prague, Czech Republic</i> | 9/2020 |
| ISP-20-25 | <i>Management Assistance Report: Deficiencies in Overseas Records Management</i> | 9/2020 |
| ISP-I-20-18 | <i>Inspection of Embassy Ouagadougou, Burkina Faso</i> | 9/2020 |
| ISP-I-20-15 | <i>Inspection of the Bureau of European and Eurasian Affairs</i> | 9/2020 |
| ISP-I-20-19 | <i>Review of the Department of State's Role in Arms Transfers to the Kingdom of Saudi Arabia and the United Arab Emirates^a</i> | 8/2020 |
| ISP-I-20-12 | <i>Inspection of Embassy London and Constituent Posts, United Kingdom</i> | 8/2020 |
| ISP-C-20-27 | <i>Compliance Follow-Up Review: Targeted Review of Leadership and Management at the National Passport Center</i> | 6/2020 |
| ISP-I-20-17 | <i>Inspection of Embassy Dhaka, Bangladesh</i> | 6/2020 |
| ISP-I-20-16 | <i>Inspection of U.S. Mission to the United Nations and Other International Organizations in Geneva, Switzerland</i> | 6/2020 |
| ISP-I-20-14 | <i>Inspection of the Bureau of Counterterrorism's Foreign Assistance Program Management</i> | 6/2020 |

| Report # | Report Title | Date |
|-------------|--|--------|
| ISP-C-20-23 | <i>Compliance Follow-Up Review: Bureau of African Affairs' Foreign Assistance Program Management</i> | 5/2020 |
| ISP-I-20-22 | <i>Inspection of Embassy Kathmandu, Nepal</i> | 5/2020 |
| ISP-I-20-21 | <i>Inspection of Embassy Bern, Switzerland</i> | 5/2020 |
| ISP-I-20-20 | <i>Inspection of Embassy Yaoundé, Cameroon</i> | 5/2020 |
| ISP-I-20-13 | <i>Inspection of the Bureau of Counterterrorism</i> | 5/2020 |
| ISP-I-20-29 | <i>Inspection of Embassy Vilnius, Lithuania</i> | 4/2020 |

^a Although these reports are listed as SBU, the level of redaction made them unclassified and, thus, they are summarized within this semiannual report.

Table A.2

OIG Reports Related to Department of State Programs and Operations and Summarized in the Department of State Classified Annex to the Semiannual Report to the Congress, 4/1/2020–9/30/2020

| Report # | Report Title | Date Issued |
|------------------------------|---|-------------|
| Office of Audits | | |
| AUD-MERO-20-38 | <i>Audit of the Department of State's Approach To Adjust the Size and Composition of U.S. Missions Afghanistan and Iraq</i> | 8/2020 |
| Office of Inspections | | |
| ISP-S-20-32 | <i>Classified Inspection of Embassy Windhoek, Namibia</i> | 9/2020 |
| ISP-S-20-17 | <i>Classified Inspection of Embassy Dhaka, Bangladesh</i> | 9/2020 |
| ISP-S-20-19A | <i>Classified Annex to the Review of the Department of State's Role in Arms Transfers to the Kingdom of Saudi Arabia and the United Arab Emirates</i> | 8/2020 |
| ISP-S-20-18 | <i>Classified Inspection of Embassy Ouagadougou, Burkina Faso</i> | 8/2020 |
| ISP-S-20-22 | <i>Classified Inspection of Embassy Kathmandu, Nepal</i> | 7/2020 |
| ISP-S-20-16 | <i>Classified Inspection of the U.S. Mission to the United Nations and Other International Organizations in Geneva, Switzerland</i> | 7/2020 |
| ISP-S-20-29 | <i>Classified Inspection of Embassy Vilnius, Lithuania</i> | 5/2020 |
| ISP-S-20-21 | <i>Classified Inspection of Embassy Bern, Switzerland</i> | 5/2020 |
| ISP-S-20-20 | <i>Classified Inspection of Embassy Yaoundé, Cameroon</i> | 5/2020 |
| ISP-S-20-13 | <i>Classified Inspection of the Bureau of Counterterrorism</i> | 5/2020 |
| ISP-20-11 | <i>Management Assistance Report: Department of State's Domestic Physical Security Program</i> | 5/2020 |
| ISP-S-20-12 | <i>Classified Inspection of Embassy London and Constituent Posts, United Kingdom</i> | 4/2020 |

APPENDIX B: OIG REPORTS RELATED TO U.S. AGENCY FOR GLOBAL MEDIA PROGRAMS AND OPERATIONS

Table B.1
OIG Reports Related to U.S. Agency for Global Media Programs and Operations,
4/1/2020–9/30/2020

| Report # | Report Title | Date Issued |
|---|---|-------------|
| Office of Audits | | |
| AUD-FM-IB-20-28 | <i>Audit of U.S. Agency for Global Media FY 2019 Compliance With Improper Payments Requirements</i> | 5/2020 |
| Office of Evaluations and Special Projects | | |
| ESP-20-05 | <i>Management Assistance Report: U.S. Agency for Global Media Network Warning Banner</i> | 9/2020 |

Table B.2
OIG Reports Related to U.S. Agency for Global Media Programs and Operations Summarized in
the *United States Agency for Global Media Sensitive But Unclassified Annex to the Semiannual*
Report to the Congress, 4/1/2020–9/30/2020

| Report # | Report Title | Date Issued |
|-------------|--------------|-------------|
| None | | |

APPENDIX C: PEER REVIEWS

The Office of Inspector General (OIG) conducts oversight activities to help ensure that the Department of State and the U.S. Agency for Global Media manage and execute programs and operations as efficiently and effectively as possible. To underscore the importance of operational efficiency and effectiveness, OIG is measured by industry standards and best practices set forth by the oversight community, represented by the Council of the Inspectors General on Integrity and Efficiency (CIGIE). As part of this shared internal control system, CIGIE requires OIGs to conduct and undergo periodic external peer reviews, and the Inspector General Act of 1978 requires the results of these peer reviews to be published in this *Semiannual Report to the Congress*.

Office of Audits

The Office of Audits (AUD) did not undergo a peer review related to Government Auditing Standards during this reporting period. The date of the most recent peer review to determine accordance with such standards was February 12, 2019. In that review, the Office of Audits received a peer review rating of pass, the best possible rating.

Quality Standards for Inspection and Evaluation Peer Review

The Office of Evaluations and Special Projects (ESP), the Office of Inspections (ISP), and AUD underwent a peer review related to Quality Standards for Inspection and Evaluation by the Department of Defense OIG during this reporting period and received no recommendations. The review, dated June 15, 2020, determined that ISP, ESP, and AUD policies and procedures generally met the seven Quality Standards for Inspection and Evaluation addressed in the external peer review. The external peer review included a review of three inspection reports issued by ISP and one evaluation report issued by ESP. All four reports reviewed generally met the Quality Standards for Inspection and Evaluation standards and generally complied with associated internal policies and procedures in effect at the time.

Office of Investigations

The Office of Investigations did not undergo a peer review during this reporting period. The Office of Investigations was last peer reviewed in July 2018 and has no outstanding recommendations.

APPENDIX D: DEPARTMENT OF STATE COMPLIANCE

Tables D.1 through D.8 report the status of open Office of Inspector General (OIG) recommendations to the Department of State (Department) as of September 30, 2020, as well as certain recommendations that were closed during the reporting period. In addition to the significant management decision with which OIG disagreed listed in Table D.7, there are two additional unresolved recommendation where OIG and Department officials disagreed. OIG did

not classify the recommendations as significant and continues to work with Department officials to resolve and close the recommendation.

The current action offices listed in some of the recommendations may have changed since the recommendations were issued in the original reports.

OIG Compliance Lexicon

Open

Unresolved: No agreement between OIG and management on the recommendation or proposed corrective action.

Resolved: Agreement on the recommendation and proposed corrective action but implementation has not been completed.

Closed

Agreed-upon corrective action is complete.

Table D.1

Open Office of Audits Recommendations Issued in Previous Periods, Pending Final Department of State Action, as of 9/30/2020

| Significant Open Recommendations | Potential Monetary Benefits |
|--|-----------------------------|
| <i>Review of Delays Encountered Constructing the New Embassy Compound in Ashgabat, Turkmenistan (AUD-MERO-20-20, 2/2020)</i> | |
| Recommendation 4: OIG recommends that the Bureau of Overseas Buildings Operations, in coordination with the Office of Acquisitions Management and the Office of the Legal Advisor and following the determination specified in Recommendation 3, determine whether the Architectural and Engineering contractor is liable for damages for not fulfilling all the terms and conditions of the Architectural and Engineering contract and report the final disposition of the recovery. | N/A |

| Significant Open Recommendations | Potential Monetary Benefits |
|---|-----------------------------|
| Recommendation 6: OIG recommends that the Bureau of Overseas Buildings Operations, in coordination with the Office of Acquisitions Management and the Office of the Legal Advisor, take the following actions: (a) assess whether Caddell Construction Co., LLC, is liable for damages for not fulfilling the terms and conditions of its contract and (b) recover all monetary damages for which Caddell is liable and report the final disposition of the recovery to the Office of Inspector General. | N/A |
| Recommendation 7: OIG recommends that the Under Secretary for Management, in coordination with the Bureau of Overseas Buildings Operations and the Office of the Legal Advisor, take action to end the impasse regarding the construction of the New Office Building on the New Embassy Compound in Ashgabat, Turkmenistan. | N/A |
| <i>Audit of the Department of State's Coordination and Oversight of the U.S. President's Emergency Plan for AIDS Relief</i> (AUD-SI-20-17, 2/2020) | |
| Recommendation 3: OIG recommends that the Office of the U.S. Global AIDS Coordinator and Health Diplomacy seek the assistance of an independent party to conduct an evaluation of the Country Operational Plan development process and provide options for adjustment to the timeline. | N/A |
| <i>Audit of Cooperative Agreement Sub-Award Recipients Supporting the U.S. President's Emergency Plan for AIDS Relief</i> (AUD-SI-19-43, 9/2019) | |
| Recommendation 9: OIG recommends that the Bureau of Administration, Office of the Procurement Executive, in coordination with the Office of U.S. Foreign Assistance Resources, Resources and Appropriations Division, calculate an estimate of the anticipated savings within the first year of including the standard provision related to obtaining reimbursements for value added taxes in grants and cooperative agreements. | N/A |
| <i>Audit of the Execution of Security-Related Construction Projects at U.S. Embassy Kabul, Afghanistan</i> (AUD-MERO-19-40, 9/2020) | |
| Recommendation 3: OIG recommends that the Bureau of Overseas Buildings Operations (a) evaluate its current approach to executing physical security construction projects, (b) identify potential mechanisms for further streamlining the execution of physical security upgrades designed to address urgent security threats, and (c) revise its process for executing physical security construction projects accordingly. | N/A |

| Significant Open Recommendations | Potential Monetary Benefits |
|--|-----------------------------|
| <i>Audit of Monitoring and Evaluating Department of State Foreign Assistance in the Philippines</i> (AUD-MERO-19-39, 9/2019) | |
| Recommendation 24: OIG recommends that the Office of U.S. Foreign Assistance Resources enforce evaluation policies by developing and implementing an oversight plan to verify that bureaus and offices that are administering foreign assistance funding are implementing and adhering to the Foreign Aid Transparency and Accountability Act of 2016, the Foreign Affairs Manual (18 FAM 301.4), and the corresponding Guidance for the Design, Monitoring and Evaluation Policy at the Department of State, January 2018. This plan should include, at a minimum, a requirement to verify that definitions of “programs” and “large programs” are consistent with the FAM and a requirement to verify that Bureau Evaluation Plans are developed and implemented in accordance with existing guidance and by the established deadlines. | N/A |
| <i>Audit of the Department of State’s Local Configuration Control Boards</i> (AUD-IT-19-36, 7/2019) | |
| Recommendation 1: OIG recommends that the Bureau of Information Resource Management require that all IT configuration changes approved by the Local Configuration Control Boards at overseas posts be tested before implementation, in accordance with Federal requirements and Department of State policies. | N/A |
| Recommendation 2: OIG recommends that the Bureau of Information Resource Management require Local Configuration Control Boards to perform and document security impact analyses on all configuration change requests before approval, in accordance with National Institute of Standards and Technology guidance. | N/A |
| Recommendation 3: OIG recommends that the Bureau of Information Resource Management provide guidance to Local Configuration Control Boards on the documentation regarding IT configuration change requests that must be retained at a post. | N/A |
| Recommendation 4: OIG recommends that the Bureau of Information Resource Management develop and issue standard operating procedures for overseas posts’ Local Configuration Control Boards to follow when reviewing, approving, and implementing IT configuration change requests. These standard operating procedures should establish and implement a process that provides for the evaluation, approval, and documentation of IT change requests in accordance with Department of State policies and National Institute of Standards and Technology requirements. | N/A |
| Recommendation 5: OIG recommends that the Bureau of Information Resource Management develop and implement a methodology to oversee Local Configuration Control Board (LCCB) activities, including LCCB approval of IT configuration change requests at the local level. This methodology should include specific procedures for verification of the LCCB’s testing of approved changes, security impact analyses, and retention of required documentation. | N/A |

| Significant Open Recommendations | Potential Monetary Benefits |
|--|-----------------------------|
| Recommendation 6: OIG recommends that the Bureau of Information Resource Management (IRM) formally designate oversight responsibility for Local Configuration Control Board activities to a specific position or office within IRM and establish a formal mechanism for communicating the oversight roles and responsibilities. | N/A |
| <i>Management Assistance Report: Modernizing Processes To Maintain Overseas Buildings Operations Commissioning Documentation Is Needed</i> (AUD-MERO-19-31, 6/2019) | |
| Recommendation 1: OIG recommends that the Bureau of Overseas Buildings Operations (1) identify industry best practices for automating commissioning documentation, (2) develop an electronic commissioning platform, and (3) conduct a pilot program using the electronic platform that would allow commissioning tests to be created digitally and test results saved to an online repository. | N/A |
| <i>Audit of the Department of State Implementation of Policies Intended To Counter Violent Extremism</i> (AUD-MERO-19-27, 6/2019) | |
| Recommendation 1: OIG recommends that the Bureau of African Affairs develop and implement standard operating procedures to align its regional strategy objectives, sub-objectives, and performance indicators for countering violent extremism with Department of State and Bureau of Counterterrorism and Countering Violent Extremism strategies, goals, and objectives. | N/A |
| Recommendation 2: OIG recommends that the Bureau of Near Eastern Affairs develop and implement standard operating procedures to align its regional strategy objectives, sub-objectives, and performance indicators for countering violent extremism with Department of State and Bureau of Counterterrorism and Countering Violent Extremism strategies, goals, and objectives. | N/A |
| Recommendation 3: OIG recommends that the Bureau of South and Central Asian Affairs develop and implement standard operating procedures to align its regional strategy objectives, sub-objectives, and performance indicators for countering violent extremism with Department of State and Bureau of Counterterrorism and Countering Violent Extremism strategies, goals, and objectives. | N/A |
| Recommendation 4: OIG recommends that the Bureau of Counterterrorism and Countering Violent Extremism seek designation from the Secretary of State to be the controlling authority on countering violent extremism issues and policy. | N/A |
| Recommendation 5: OIG recommends that the Bureau of Counterterrorism and Countering Violent Extremism, in coordination with the Office of the Legal Adviser, provide written guidance for developing and implementing programs and projects intended to rehabilitate and reintegrate former violent extremists into society in a manner consistent with U.S. laws prohibiting material support to terrorists and terrorist organizations. | N/A |

| Significant Open Recommendations | Potential Monetary Benefits |
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| Recommendation 6: OIG recommends that the Bureau of Counterterrorism and Countering Violent Extremism, in coordination with the Office of U.S. Foreign Assistance Resources, the Office of the Under Secretary of State for Public Diplomacy and Public Affairs, Office of Policy, Planning, and Resources (PPR), and the Bureau of Budget and Planning, develop and implement a single definition for what constitutes a countering violent extremism program or project. | N/A |
| Recommendation 7: OIG recommends that the Bureau of Counterterrorism and Countering Violent Extremism, in coordination with the Office of U.S. Foreign Assistance Resources, the Office of the Under Secretary of State for Public Diplomacy and Public Affairs, Office of Policy, Planning, and Resources, and the Bureau of Budget and Planning, establish a process to verify that grants and cooperative agreements awarded for the purpose of countering violent extremism comply with the definition established in Recommendation 6 as to what constitutes a countering violent extremism program or project. | N/A |
| Recommendation 8: OIG recommends that the Bureau of Counterterrorism and Countering Violent Extremism, in coordination with the Office of U.S. Foreign Assistance Resources, the Office of the Under Secretary of State for Public Diplomacy and Public Affairs, Office of Policy, Planning, and Resources, and the Bureau of Budget and Planning, develop and implement procedures to ensure that bureaus and missions report only awards and expenditures that meet the definition of a countering violent extremism established in Recommendation 6 as to what constitutes a countering violent extremism program or project. | N/A |
| <i>Lessons Learned from Office of Inspector General Audits Concerning the Review and Payment of Contractor Invoices Supporting Overseas Contingency Operations</i> (AUD-MERO-19-19, 4/2019) | |
| Recommendation 6: OIG recommends that the Bureau of Near Eastern Affairs update its Contracting Officer's Representative and invoice review training modules to include information specific to the new Diplomatic Platform Support Services contract as it relates to task orders in support of U.S. Mission Iraq. | N/A |
| <i>Management Assistance Report: Modification and Oversight of the Bureau of Medical Services' Contract for Aeromedical Biocontainment Evacuation Services Violated Federal Requirements</i> (AUD-SI-19-11, 12/2018) | |
| Recommendation 7: OIG recommends that the Deputy Under Secretary for Management direct that all Department of State aviation services, except those for logistics support of nonrecurring and unpredictable requirements managed by the Bureau of Administration, be assigned to the Bureau of International Narcotics and Law Enforcement Affairs, Office of Aviation, to support Department of State compliance with applicable Federal aviation regulations and requirements. | N/A |

| Significant Open Recommendations | Potential Monetary Benefits |
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| <i>Audit of the Bureau of Near Eastern Affairs Selection and Management of Contract Oversight Personnel in Iraq</i> (AUD-MERO-19-10, 11/2018) | |
| Recommendation 5: OIG recommends that the Bureau of Administration, Office of the Procurement Executive create, organize, and lead a multi-bureau working group with the goal of remedying identified shortfalls with the current and future Contracting Officer's Representative (COR) workforce. The working group should, at a minimum: (a) explore building a roster of certified Federal Acquisition Certification for Contracting Officer's Representatives and their technical expertise and a mechanism to keep this roster current, (b) research the inclusion of CORs in the strategic human capital plan with the goal of addressing current and future COR needs and developing plans Department-wide to alleviate identified shortfalls, (c) study other alternatives for feasibility of implementation, such as using special pay incentives or a new COR skill code or employment track within the Foreign Service, and (d) provide its documented results and recommendations to the Under Secretary for Management for his awareness and consideration. | N/A |
| <i>Audit of the Department of State's Administration of its Aviation Program</i> (AUD-SI-18-59, 9/2018) | |
| Recommendation 1: OIG recommends that the Under Secretary for Management develop and implement a plan to enforce the centralized management and oversight of all Department aviation programs and assets, including oversight of and approval by the Aviation Governing Board, on all decisions related to providing aviation services, in accordance with the Foreign Affairs Manual. | N/A |
| Recommendation 8: OIG recommends that the Aviation Governing Board (AGB), in coordination with the Bureau of International Narcotics and Law Enforcement Affairs (INL), revise Volume 2 of the Foreign Affairs Manual (FAM) 800 to clarify that INL is the sole provider of aviation services for the Department of State and any requests for exceptions to, or waiver of this policy, along with a written justification, must be submitted to and approved by the AGB. The FAM revision should include a requirement for a periodic review of the decision to determine whether it remains beneficial. | N/A |
| Recommendation 9: OIG recommends that the Bureau of International Narcotics and Law Enforcement Affairs (INL) update the "INL Financial Management Handbook" to include guidance related to recording assets purchased with INL project funding or transferred to INL from another agency that are not being donated to a host government in the Integrated Logistics Management System. | N/A |
| Recommendation 23: OIG recommends that the Bureau of International Narcotics and Law Enforcement Affairs develop and implement policies and procedures requiring that all foreign assistance aviation programs have documented nationalization plans with clear goals and attainable objectives, both at the headquarters level and for each country of operation. | N/A |

| Significant Open Recommendations | Potential Monetary Benefits |
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| <i>Audit of Cost Controls Within the Baghdad Life Support Services Contract Food Services Task Order SAQMMA14F0721</i> (AUD-MERO-18-55, 8/2018) | |
| Recommendation 2: OIG recommends that the Bureau of Near Eastern Affairs incorporate requirements for food services cost controls and a contractor cost control plan into the new worldwide support services contract and develop an acquisition plan that addresses their implementation and comprehensive oversight. | N/A |
| <i>Audit of the Bureau of European and Eurasian Affairs Administration and Oversight of Selected Contracts and Grants</i> (AUD-CGI-18-50, 8/2018) | |
| Recommendation 4: OIG recommends that the Bureau of Administration, Office of Logistics Management, Office of Acquisitions Management, develop and implement procedures to verify that Contracting Officers are developing quality assurance surveillance plans for all service contracts and monitoring Contracting Officers Representatives adherence to the quality assurance surveillance plans. | N/A |
| Recommendation 17: OIG recommends that the Bureau of Administration, Office of Logistics Management, Office of Acquisitions Management, develop and implement procedures to verify that Grants Officers are monitoring Grants Officer Representatives oversight activities and reviewing grant files to verify completeness, retention, and accessibility of required documentation within the grant file in accordance with the Department of State's Federal Assistance Directive. | N/A |
| <i>Management Assistance Report: Cost Controls for Food Services Supporting Department of State Operations in Iraq Require Attention</i> (AUD-MERO-18-31, 3/2018) | |
| Recommendation 12: OIG recommends that the Bureau of Administration, Office of Logistics Management, Office of Acquisitions Management (a) determine whether the \$4.1 million in questioned costs for unauthorized meals paid to PAE Government Services, Inc. under Baghdad Life Support Services contract SAQMMA13D0120 food services task order SAQMMA14F0721 as identified by OIG are allowable and (b) recover any costs determined to be unallowable. | \$4,100,000 |
| Recommendation 13: OIG recommends that, if the Bureau of Administration, Office of Logistics Management, Office of Acquisitions Management does not seek reimbursement for \$4.1 million in unauthorized meals paid to PAE Government Services, Inc. in response to Recommendation 12, the Procurement Executive at the Bureau of Administration, Office of the Procurement Executive implement ratification procedures in accordance with Department of State Acquisition Regulations 601.602-3-70, "[Ratification] Procedures," for Baghdad Life Support Services contract SAQMMA13D0120 food services task order SAQMMA14F0721. | N/A |

| Significant Open Recommendations | Potential Monetary Benefits |
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| <i>Audit of Bureau of Overseas Buildings Operations' Oversight of New Construction Projects at the U.S. Embassy in Kabul, Afghanistan</i> (AUD-MERO-18-17, 1/2018) | |
| Recommendation 2: OIG recommends the Bureau of Overseas Buildings Operations require project directors to certify that all required building equipment and systems are fully commissioned prior to issuing the certificate of substantial completion. | N/A |
| <i>Audit of the Department of State's Information Technology Configuration Control Board</i> (AUD-IT-17-64, 9/2017) | |
| Recommendation 1: OIG recommends that the Bureau of Information Resource Management develop and implement a detailed program plan for the Information Technology Configuration Control Board process that includes clear goals and attainable objectives and defines areas of authority and responsibility. | N/A |
| Recommendation 5: OIG recommends that the Bureau of Information Resource Management remove the default proceed ability for Technical Reviewers in the Virtual Information Technology Configuration Control Board application. | N/A |
| <i>Management Assistance Report: The Process to Authorize and Track Information Technology Systems Needs Improvement</i> (AUD-IT-17-56, 8/2017) | |
| Recommendation 7: OIG recommends that the Bureau of Information Resource Management develop and implement a corrective action plan that addresses how the Department will comply with Department policy on the Systems Authorization Process. The corrective action plan should identify the root cause of compliance failures, action steps to resolve such compliance failures, improvement benchmarks and a timeframe for completion, and an escalation process to hold system owners accountable. | N/A |
| <i>Audit of Select Cost-of-Living Allowances for American Employees Stationed in Foreign Areas</i> (AUD-FM-17-51, 8/2017) | |
| Recommendation 1: OIG recommends the Bureau of Administration develop and implement a plan to use independent economic data to determine post allowance rates where such data for post exist. | N/A |
| Recommendation 2: OIG recommends the Bureau of Administration re-determine and update by the end of FY 2018 post allowance rates using independent economic data where such data for post exist. Once the rates have been updated, the Bureau of Administration should determine the amount saved by implementing the new rates. OIG determined that using independent, economic data would have saved the Department approximately \$18.2 million between FY 2013 and FY 2015 for six posts tested (that is, funds that could have been put to better use). | \$18,200,000 |

| Significant Open Recommendations | Potential Monetary Benefits |
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| <i>Aspects of the Invoice Review Process Used by the Bureau of Near Eastern Affairs to Support Contingency Operations in Iraq Need Improvement</i> (AUD-MERO-17-33, 3/2017) | |
| Recommendation 2: OIG recommends that the Bureau of Near Eastern Affairs, in coordination with the Bureau of Administration, provide sufficient resources to the Contract Management Office-Frankfurt to ensure all unallowable costs are identified and recovered in a timely manner. This review should begin with those invoices provisionally approved beginning in September 2014 and already identified as awaiting post-payment review and then going back to identify and review those provisionally approved invoices submitted before September 2014 that did not receive full review. | N/A |
| Recommendation 7: OIG recommends that the Bureau of Near Eastern Affairs, develop reliable, objective, clear, and measurable performance metrics and include these metrics in all current and future Bureau of Near Eastern Affairs Iraq contracts. | N/A |
| <i>Audit of the Bureau of Diplomatic Security's Administration of the Armored Vehicle Program</i> (AUD-SI-17-21, 2/2017) | |
| Recommendation 8: OIG recommends that the Bureau of Diplomatic Security, in coordination with the Bureau of Administration, develop and implement a methodology to facilitate the armored vehicle request process. The methodology should include metrics relating to response times, fulfillment of requests, and status updates for the requesting post or bureau. | N/A |
| Recommendation 9: OIG recommends that the Bureau of Diplomatic Security, in coordination with the Bureau of Administration, develop and implement a centralized tool to track requests for armored vehicles. This tool should be able to maintain a complete list of requests and the status of the efforts to fulfill the requests. | N/A |
| <i>Audit of the Oversight of Fuel Acquisition and Related Services Supporting Department of State Operations in Iraq</i> (AUD-MERO-17-16, 12/2016) | |
| Recommendation 5: OIG recommends that the Bureau of Near Eastern Affairs conduct a study to determine the appropriate numbers of trained, technically experienced, and certified oversight personnel required to oversee the Baghdad Life Support Services and Operations and Maintenance Support Services contracts, to include specific consideration of 2-year assignments, required Federal Acquisition Certification for Contracting Officer's Representatives certification levels, and appointment of additional assistant contracting officer's representatives. | N/A |
| <i>Management Assistance Report: Department of State Conference Reporting</i> (AUD-CGI-17-07, 10/2016) | |
| Recommendation 1: OIG recommends that the Under Secretary for Management, Office of Management Policy, Rightsizing, and Innovation, develop and disseminate formal guidance regarding registering, approving, and reporting conferences in compliance with Federal requirements. | N/A |

| Significant Open Recommendations | Potential Monetary Benefits |
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| Recommendation 3: OIG recommends that the Under Secretary for Management, Office of Management Policy, Rightsizing, and Innovation, develop and implement a communications strategy to periodically keep Department of State personnel informed of conference registration, approval, and reporting requirements to ensure the integrity of the data is accurately reported and errors are corrected in a timely manner. | N/A |
| <i>Audit of the Department of State Travel Card Program</i> (AUD-CGI-16-48, 9/2016) | |
| Recommendation 1: OIG recommends that the Bureau of the Comptroller and Global Financial Services develop, implement, and publish policies in the Foreign Affairs Manual and/or Foreign Affairs Handbook governing cash advances on Department-issued travel cards, specifically regarding the timing and dollar value of cash advances that may be obtained. | N/A |
| Recommendation 3: OIG recommends that the Office of the Director General for Human Resources, in conjunction with the Bureau of the Comptroller and Global Financial Services, develop and implement administrative and disciplinary procedures related to the Travel Card Program to include misuse, non-usage, and abuse. | N/A |
| Recommendation 4: OIG recommends that the Bureau of the Comptroller and Global Financial Services establish controls to identify Department employees eligible to receive a travel card who travel more than two times in a 12-month period and verify that they obtain and use a Department-issued travel card for all official travel-related expenses. | N/A |
| Recommendation 5: OIG recommends that the Bureau of the Comptroller and Global Financial Services develop and implement split disbursement procedures as required by the Office of Management and Budget for all Department-issued travel card holders. | N/A |
| <i>Audit of the Department of State Process To Select and Approve Information Technology Investments</i> (AUD-FM-16-31, 3/2016) | |
| Recommendation 11: OIG recommends that the Bureau of Information Resource Management develop and implement policies and procedures to oversee and enforce requirements for bureaus and offices to avoid duplicative IT investments. | N/A |
| Recommendation 12: OIG recommends that the Bureau of Information Resource Management develop and implement a process to perform periodic, but no less than annual, reviews of the entire agency IT portfolio to enforce bureau accountability and identify potential duplicative systems. | N/A |
| Recommendation 13: For duplicative systems that are identified by the new process implemented to perform periodic reviews of the entire agency IT portfolio (Recommendation 12), OIG recommends that the Bureau of Information Resource Management develop and implement a strategy to combine, eliminate, or replace duplicative systems, as practicable. | N/A |

| Significant Open Recommendations | Potential Monetary Benefits |
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| Recommendation 25: OIG recommends that the Bureau of Information Resource Management, in coordination with the Bureau of Budget and Planning, develop and implement a process to validate the completeness of the data in iMatrix. At a minimum, this process should include an analysis of IT expenditures in the financial management system to ensure expenditures are reported in iMatrix, as needed. | N/A |
| Recommendation 26: OIG recommends that the Bureau of Information Resource Management, in coordination with the Bureau of Budget and Planning, develop and implement a process to validate the accuracy of data in iMatrix. This could include developing and implementing analytical procedures to identify anomalies in iMatrix data. | N/A |
| <i>Compliance Follow-up Audit of the Process To Request and Prioritize Physical Security-Related Activities at Overseas Posts</i> (AUD-ACF-16-20, 12/2015) | |
| Recommendation 7: OIG recommends that the Bureau of Overseas Buildings Operations, in coordination with the Bureau of Diplomatic Security, develop and implement formal standardized processes to prioritize physical security-related deficiencies at posts by category, such as major physical security upgrades, forced-entry/ballistic-resistant projects, and minor physical security upgrades. The prioritizations should be performed based on a comprehensive list of all physical security needs and should be periodically updated based on changes in risk factors or posts' needs. The processes used to perform the prioritizations should be documented and repeatable. In addition, in developing the processes, consideration should be given to how the Overseas Security Policy Board standards will be utilized, what risk factors will be considered, and what impact upcoming major rehabilitation projects or new construction would have on the prioritized rankings. | N/A |
| Other Open Recommendations | Potential Monetary Benefits |
| <i>Audit of Selected Bureau of Administration, Office of Operations, Office of Facilities Management Services, Contracts</i> (AUD-CGI-20-21, 3/2020) | |
| Recommendation 6: OIG recommends that the Bureau of Administration, Office of Operations, Office of Facilities Management Services, in coordination with the Bureau of Administration, Office of the Procurement Executive, Office of Acquisitions Management, develop and implement procedures for Contracting Officers to develop appropriate quality assurance surveillance plans for all facilities management service contracts and for Contracting Officer's Representatives to execute quality assurance surveillance plans in accordance with the Federal Acquisition Regulation and Department of State guidance. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| Recommendation 7: OIG recommends that the Bureau of Administration, Office of the Procurement Executive, Office of Acquisitions Management, develop and implement a communication strategy to emphasize Contracting Officers' responsibilities to tailor designation memoranda, as necessary, to identify specific duties, responsibilities, and limitations for each contract or task order administered. | N/A |
| Recommendation 9: OIG recommends that the Bureau of Administration, Office of Operations, Office of Facilities Management Services, in coordination with the Bureau of Administration, Office of the Procurement Executive, Office of Acquisitions Management, develop and implement procedures that prescribe who is responsible for significant aspects of the acquisition plan including requirements, timeframes, and levels of oversight for acquisition planning in the administration of Facilities Management Services contracts. | N/A |
| <i>Audit of the Office of the Coordinator for Assistance to Europe and Eurasia's Oversight of Foreign Assistance Funds Transferred to Implementing Partners (AUD-CGI-20-12, 3/2020)</i> | |
| Recommendation 2: OIG recommends that the Bureau of European and Eurasian Affairs, Office of the Coordinator for Assistance to Europe and Eurasia, develop and implement an appropriate tool to maintain, track, and continually analyze foreign assistance programs under its purview. | N/A |
| Recommendation 3: OIG recommends that the Bureau of European and Eurasian Affairs, Office of the Coordinator for Assistance to Europe and Eurasia, develop and implement standard operating procedures to guide the consistent and uniform collection, analysis, use, and maintenance of monitoring and evaluation data provided by implementing partners. | N/A |
| Recommendation 4: OIG recommends that the Bureau of European and Eurasian Affairs, Office of the Coordinator for Assistance to Europe and Eurasia (ACE), include, within fund transfer agreements, specific information on the programs and projects the implementing partner is responsible for, the specific region goals that the implementing partner must address and report on performance outcomes, and how the funds provided by ACE achieved desired results. | N/A |
| Recommendation 5: OIG recommends that the Bureau of European and Eurasian Affairs, Office of the Coordinator for Assistance to Europe and Eurasia (ACE), amend the draft "standards and practices" for implementing partners to include the standard operating procedures ACE will follow to verify that partners are conducting monitoring, such as developing performance indicators and monitoring plans, required by Department policy and issue once finalized. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| Recommendation 6: OIG recommends that the Bureau of European and Eurasian Affairs, Office of the Coordinator for Assistance to Europe and Eurasia (ACE), develop and implement standard operating procedures to periodically communicate to implementing partners (a) Department of State (Department) requirements about managing, monitoring, and evaluating the outcome(s) of funds provided by the Department and (b) expectations for reporting data and information to ACE for the purpose of verifying the sound management of the funds provided and for making informed decisions about program strategies and resource investments. | N/A |
| <i>Review of Delays Encountered Constructing the New Embassy Compound in Ashgabat, Turkmenistan (AUD-MERO-20-20, 2/2020)</i> | |
| Recommendation 1: OIG recommends that the Bureau of Overseas Buildings Operations develop and implement a formal process, including a checklist of required project documentation that must be maintained for each period of the construction planning process (the study period, the acquisitions period, and the operations period) to ensure that required project documentation is properly transferred when project managers depart or are reassigned. | N/A |
| Recommendation 3: OIG recommends that the Bureau of Overseas Buildings Operations, in coordination with the Office of Acquisitions Management and the Office of the Legal Advisor, (a) determine why the project managers acted outside their delegated authority to deviate from required contract deliverables, and (b) determine whether the program managers' actions regarding the contract deliverables in the Architectural and Engineering contract constitute an official government act that relieves the contractor from providing the deliverables. | N/A |
| Recommendation 5: OIG recommends that the Bureau of Overseas Buildings Operations (OBO), in coordination with the Office of Acquisitions Management and the Office of the Legal Advisor and following the determination specified in Recommendation 3(a), (regarding why the project managers acted outside their delegated authority to deviate from required contract deliverables), establish and implement appropriate policies and procedures that ensure that Contracting Officer's Representatives and other OBO personnel administering construction projects do not exceed their authority by deviating from the contract deliverables. | N/A |
| Recommendation 8: OIG recommends that the Bureau of Overseas Buildings Operations, following the Under Secretary for Management's decision in Recommendation 7 to end the impasse regarding construction of the New Office Building on the New Embassy Compound in Ashgabat, Turkmenistan, take appropriate action to execute the decision and report to the Office of Inspector General the actual amount of funds, which could be as much as \$125 million, placed under contract to finalize construction of the New Office Building. | \$125,000,000 |

| Other Open Recommendations | Potential Monetary Benefits |
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| <i>Audit of the Department of State's Coordination and Oversight of the U.S. President's Emergency Plan for AIDS Relief</i> (AUD-SI-20-17, 2/2020) | |
| Recommendation 4: OIG recommends that the Office of the U.S. Global AIDS Coordinator and Health Diplomacy, in coordination with the Bureau of Human Resources, develop and implement a plan to hire full-time Civil Service U.S. President's Emergency Plan for AIDS Relief Country Coordinators. | N/A |
| <i>Audit of Mission Turkey and Embassy Beirut Fuel Oversight and Payment Process</i> (AUD-MERO-20-19, 1/2020) | |
| Recommendation 11: OIG recommends that Embassy Beirut, Lebanon, develop and implement a quality assurance surveillance plan for its fuel contracts based on the contract's performance work statement and incorporate procedures to (a) test fuel for water content and sediment and (b) require contractors to certify that delivered gasoline is 95 octane, as required in the contract. | N/A |
| Recommendation 19: OIG recommends that Embassy Beirut, Lebanon, establish and implement procedures in the quality assurance surveillance plans for its fuel contracts that require oversight officials to (a) independently verify the quantity of fuel delivered using Department of State-owned flow meters and (b) detail the process that should be followed if fuel does not meet quality standards or if the volume of fuel measured by the embassy's flow meters does not match the quantity measured by the contractor's flow meters. | N/A |
| Recommendation 23: OIG recommends that Embassy Beirut, Lebanon, review the contract files for all fuel contracts to assess the file quality in accordance with the Bureau of Administration, Office of the Procurement Executive, Procurement Information Bulletin 2014-10, "Contract Files and COR File Checklist" (Updated June 4, 2015) and implement corrective actions necessary to maintain complete contract files. | N/A |
| Recommendation 24: OIG recommends that Embassy Beirut, Lebanon, direct its Contracting Officers to immediately review the Contracting Officer's Representatives' files for gasoline and diesel fuel for completeness and include the results of this review in the contract files. | N/A |
| Recommendation 28: OIG recommends that Embassy Beirut, Lebanon, conduct its annual management control review to report on the adequacy of the embassy's internal control system, including the completeness and quality of its contracting files, and ensure that management control documentation is current and permanently on file in accordance with the Foreign Affairs Manual, 2 FAM 020, "Management Controls." | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| Recommendation 35: OIG recommends that Embassy Beirut, Lebanon, develop and implement invoice review procedures and corresponding checklists that require, at a minimum, voucher examiners to review submitted invoices for (a) all proper elements that are required by Federal Acquisition Regulation Subpart 32.905, "Payment documentation and process," (b) evidence that the Contracting Officer's Representatives certified the validity of the costs claimed and that the goods and/or services had been received, and (c) a stamp to document the date the invoice was received so that Prompt Payment Act requirements can be met. | N/A |
| Recommendation 43: OIG recommends that Embassy Beirut, Lebanon, establish and implement invoice review procedures and corresponding checklists for Contracting Officer's Representatives (CORs) assigned to gasoline and diesel fuel contracts that require the CORs (a) to verify quantities of fuel received, unit prices paid, and the total cost of the invoices against contractual terms and supporting documentation, in accordance with the Foreign Affairs Handbook under 14 FAH-2 H-142, "Responsibilities of the Contracting Officer's Representative (COR)," and 4 FAH-3 H-425, "Voucher Prepayment Examination," and (b) to certify invoices with an authorized signature, in accordance with the Foreign Affairs Manual under 4 FAM 424, "Voucher Approval." | N/A |
| <i>Management Assistance Report: International Boundary and Water Commission, United States and Mexico, U.S. Section, Travel Policy Is Not in Compliance With Federal Travel Regulations (AUD-CGI-20-15, 1/2020)</i> | |
| Recommendation 1: OIG recommends that the International Boundary and Water Commission, United States and Mexico, U.S. Section, update its Directives Management System Manual to implement requirements found in the Federal Travel Regulation, 41 C.F.R. §§ 301-51.1, 301-51.2, 301-51.3, and 301-51.4. | N/A |
| <i>Audit of the Department of State's FY 2019 Implementation of the Digital Accountability and Transparency Act of 2014 (AUD-FM-20-05, 11/2019)</i> | |
| Recommendation 1: OIG recommends that the Bureau of the Comptroller and Global Financial Services, in coordination with the Bureau of Administration, develop and implement a corrective action plan that addresses the causes attributed to the deficiencies with the overseas transactions. | N/A |
| Recommendation 3: OIG recommends that the Bureau of Administration, Office of Operations, Office of Language Services, discontinue its business practice of aggregating information related to multiple task orders under blanket purchase agreements into one transaction when entering data in the Federal Procurement Data System – Next Generation. Specifically, data related to each task order should be entered separately and only actual data should be used for all data elements, including, but not limited to, Action Date, Period of Performance Start Date, Period of Performance Current End Date, and Period of Performance Potential End Date. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| Recommendation 4: OIG recommends that the Bureau of the Comptroller and Global Financial Services develop and implement a process in the Global Financial Management System that documents modifications of obligation amounts due to exchange rate fluctuations. | N/A |
| Recommendation 6: OIG recommends that the Bureau of the Comptroller and Global Financial Services update the data elements identified as high risk in its Data Quality Plan, at a minimum, deficiencies included in this report should be used as one of the factors used in determining high risk. | N/A |
| <i>Audit of Cooperative Agreement Sub-Award Recipients Supporting the U.S. President's Emergency Plan for AIDS Relief</i> (AUD-SI-19-43, 9/2019) | |
| Recommendation 1: OIG recommends that the Office of the U.S. Global AIDS Coordinator and Health Diplomacy develop and implement quality control guides such as quality control checklists to facilitate accurate performance reporting and record retention at the sub-award recipient level for future cooperative agreements and grants, in accordance with the U.S. Department of State Standard Terms and Conditions. | N/A |
| Recommendation 2: OIG recommends that the Office of the U.S. Global AIDS Coordinator and Health Diplomacy—to the extent practicable and for the purpose of fulfilling the vocational training related to the Mercy Corps Determined, Resilient, Empowered, AIDS-free, Mentored, and Safe Partnership Innovation Challenge project in Uganda—provide supply vouchers to the young women who successfully completed the vocational training. | N/A |
| Recommendation 3: OIG recommends that the Office of the U.S. Global AIDS Coordinator and Health Diplomacy develop and implement quality control guides such as quality control checklists to facilitate the timely submission of financial reports at the sub-award recipient level for future cooperative agreements and grants, in accordance with the U.S. Department of State Standard Terms and Conditions. | N/A |
| Recommendation 4: OIG recommends that the Office of the U.S. Global AIDS Coordinator and Health Diplomacy develop and issue guidance to inform current and future award and sub-award recipients about the cost principles for award recipients outlined in the Code of Federal Regulations. | N/A |
| <i>Audit of the Execution of Security-Related Construction Projects at U.S. Embassy Kabul, Afghanistan</i> (AUD-MERO-19-40, 9/2019) | |
| Recommendation 4: OIG recommends Embassy Kabul take steps to ensure that a qualified Project Manager with relevant construction expertise is assigned to oversee the day-to-day management of each physical security project initiated at post to confirm that the project meets relevant construction standards, building codes, and physical security requirements. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| Recommendation 5: OIG recommends that Embassy Kabul, in coordination with the Bureau of Diplomatic Security, (1) identify the circumstances in which it should request advice and support from the Bureau of Overseas Buildings Operations-Diplomatic Security Requirements Working Group in connection with challenges affecting post-initiated physical security projects and (2) establish and implement a process to request such advice and support. | N/A |
| Recommendation 6: OIG recommends that Embassy Kabul, in coordination with the Bureaus of Overseas Buildings Operations and Diplomatic Security, develop a technical working group charged with ensuring that all post-initiated physical security projects have adequate construction oversight, including ensuring that projects are properly planned, designed, and meet relevant construction standards, building codes, and physical security requirements. | N/A |
| Recommendation 9: OIG recommends that the Bureau of Overseas Buildings Operations establish a policy requiring the dissemination of newly established master plans as well as updates to master plans to all relevant embassy staff to include the Facilities Management Office, the Financial Management Center, the Regional Security Office, and other key stakeholders. | N/A |
| Recommendation 10: OIG recommends that the Bureau of Overseas Buildings Operations develop and implement a process to update the Kabul master plan on a periodic basis in line with the established Planning Policy Directive 01: Master Planning Program, which states that, in dynamic environments where information changes rapidly and unpredictably, master plans should be updated as country or mission conditions change. | N/A |
| Recommendation 11: OIG recommends that the Bureau of Overseas Buildings Operations complete the development and issuance of relevant standard operating procedures in support of the established Policy Directive on Master Planning. | N/A |
| Recommendation 12: OIG recommends that the Bureau of the Comptroller and Global Financial Services evaluate and report on the feasibility of establishing an appropriate function code or sub-object code in both the Global Financial Management System and Regional Financial Management System that will allow the Department to discretely track all physical security upgrade projects and expenditures and, if determined to be feasible, establish the appropriate function or sub-object code. | N/A |
| Recommendation 13: OIG recommends that the Bureau of the Comptroller and Global Financial Services grant Financial Management Center staff at Embassy Kabul read-only access to the Global Financial Management System and that financial management staff at the Bureaus of Overseas Buildings Operations and Diplomatic Security be given read-only access to the Regional Financial Management System in order to facilitate the generation and reconciliation of data on physical security upgrade projects and expenditures. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| <i>Audit of Monitoring and Evaluating Department of State Foreign Assistance in the Philippines (AUD-MERO-19-39, 9/2019)</i> | |
| Recommendation 8: OIG recommends that the Office to Monitor and Combat Trafficking in Persons (J/TIP) determine whether the objective to “provide short-term emergency shelter for up to 44 minor boys and girls with a high/therapeutic caregiver to child ratio” in the Protecting At-risk children Vulnerable to Exploitation cooperative agreement should be revised. If so, J/TIP should request that the Grants Officer (a) update the cooperative agreement accordingly and (b) ensure that the amount of funding disbursed to the award recipient is consistent with the services received. | N/A |
| Recommendation 11: OIG recommends that the Bureau of Counterterrorism and Countering Violent Extremism (CT) require the Department of Justice to pay the salary of the Resident Legal Advisor in a manner that reflects the actual amount of time spent working on CT’s behalf on the Resident Legal Advisor Program. | N/A |
| Recommendation 13: OIG recommends that the Bureau of Counterterrorism and Countering Violent Extremism document its reviews of quarterly financial reports and obtain, review, and document supporting financial documentation for the Resident Legal Advisor Program for reconciliation purposes, in accordance with Procurement Information Bulletin No 2014-05. | N/A |
| Recommendation 15: OIG recommends that the Bureau of Counterterrorism and Countering Violent Extremism develop and implement procedures to verify that all award recipients comply with approved budget plans or obtain permission via formal amendments or written agreements to deviate from approved budget plans. | N/A |
| Recommendation 18: OIG recommends that the Office to Monitor and Combat Trafficking in Persons review the Protecting At-risk children Vulnerable to Exploitation cooperative agreement and correct any deficiencies identified with the budget amendment processes, such as requiring all amendments to be approved and signed in the State Assistance Management System. | N/A |
| Recommendation 22: OIG recommends that the Office to Monitor and Combat Trafficking in Persons (a) conduct a review of all expenditures invoiced under the Protecting At-risk children Vulnerable to Exploitation cooperative agreement to date and (b) identify and recover all expenditures determined to be unallowable. | N/A |
| <i>Management Assistance Report: Open Audit Recommendations Awaiting Final Action and Closure (AUD-AOQC-19-35, 9/2019)</i> | |
| Recommendation 1: OIG recommends that the Under Secretary for Management (a) direct the Department entities responsible for the recommendations identified in this report to respond to OIG within 30 days of the issuance of this report with the status of actions taken to implement the recommendations and (b) periodically, but no more than every 90 days thereafter, follow up with those entities on the status of their corrective actions with recommendations that have yet to be implemented and closed. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| <i>Audit of the Bureau of Overseas Buildings Operations Commissioning of Diplomatic Housing at U.S. Embassy Kabul, Afghanistan</i> (AUD-MERO-19-37, 8/2019) | |
| Recommendation 1: OIG recommends that the Bureau of Overseas Buildings Operations, in conjunction with the Bureau of Administration, Office of Acquisitions Management, develop and implement a policy stating that construction contract solicitations and the terms and conditions of the awarded contract require only the delivery of documents needed to support the purpose of the contract and the commissioning process. | N/A |
| Recommendation 2: OIG recommends that the Bureau of Overseas Buildings Operations, in conjunction with the Bureau of Administration, Office of Acquisitions Management, assess the required frequency of commissioning agent contract deliverables to determine whether an adjustment to the frequency is needed and, if so, revise the commissioning agent's scope of work. | N/A |
| Recommendation 3: OIG recommends that the Bureau of Overseas Buildings Operations update all commissioning plans to reflect the modifications made to construction contracts as a result of implementing the recommendations pertaining to the delivery of documents needed to support the purpose of the contract and the commissioning process and the frequency of the contract deliverables (Recommendations 1 and 2). | N/A |
| Recommendation 4: OIG recommends that the Bureau of Overseas Buildings Operations develop and implement tailored terms and conditions for construction contracts involving multiple buildings requiring necessary documents and deliverables, such as Operations and Maintenance manuals, to be provided for each individual facility at Substantial Completion, Beneficial Occupancy, and building turnover. | N/A |
| Recommendation 5: OIG recommends that the Bureau of Overseas Buildings Operations (OBO) review all active construction contracts that were awarded prior to the 2015 and 2016 Construction Alerts to determine whether they have been modified to require Integrated Systems Tests. If not, OBO should ensure that the contracts are modified to include them. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| <i>Management Assistance Report: Modernizing Processes To Maintain Overseas Buildings Operations Commissioning Documentation Is Needed</i> (AUD-MERO-19-31, 6/2019) | |
| Recommendation 5: Until such time as Recommendation 3 is fully implemented, OIG recommends that the Bureau of Overseas Buildings Operations update its Construction Management Guidebook to include instructions on how to establish the file structure to organize construction project records. These instructions should address, for example, whether documents should be maintained in tabs or folders and what categories of documents should be included. These categories should include the contract award, contract modifications, payment records, progress schedules, submittals, and commissioning tests and related documents, and closeout documentation. | N/A |
| Recommendation 6: Until such a time as Recommendation 3 is fully implemented, OIG recommends that the Bureau of Overseas Buildings Operations establish a centralized, Compact Disk library to maintain and manage the custody of construction project records submitted by commissioning agents on Compact Disks. | N/A |
| <i>Management Assistance Report: Results of 2014 Audit of Bureau of Diplomatic Security Worldwide Protective Services Contract Task Orders 2, 9, and 11</i> (AUD-MERO-19-23, 4/2019) | |
| Recommendation 2: OIG recommends that the Bureau of Administration, Office of the Procurement Executive, Office of Acquisitions Management—if it is determined that the questioned costs for Defense Base Act insurance overhead and general and administrative charges associated with insurance premiums in Recommendation 1 were unallowable—review all Department open task orders associated with International Development Solutions, LLC, its parent company, Constellis, LLC, and its subsidiaries, as shown in Table 2, to identify all unallowable invoicing charges for overhead and general and administrative charges associated with Defense Base Act insurance premiums and recover those costs determined to be unallowable. | N/A |
| <i>Audit of Department of State Directorate of Defense Trade Controls Export Licensing Processes</i> (AUD-SI-19-07, 2/2019) | |
| Recommendation 1: OIG recommends that the Office of Defense Trade Controls Licensing update its license application review standard operating procedures to provide uniform guidance to Licensing Officers for their review of export license applications. | N/A |
| Recommendation 2: OIG recommends that, once its license application review standard operating procedures have been updated (Recommendation 1), the Office of Defense Trade Controls Licensing (a) train all Licensing Officers in the new procedures and (b) develop and implement an annual refresher training program for its Licensing Officers on the procedures. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| Recommendation 3: OIG recommends that the Office of Defense Trade Controls Licensing develop and implement a process to annually review and update its license application review standard operating procedures. | N/A |
| Recommendation 4: OIG recommends that the Office of Defense Trade Controls Licensing (a) determine the capacity of its Licensing Officers to meet the license application workload, (b) establish the appropriate Licensing Officer staffing level needed to meet that workload, and (c) develop and implement an action plan to attain the established Licensing Officer staffing level and related resources needed to be successful. | N/A |
| Recommendation 5: OIG recommends that the Office of Defense Trade Controls Licensing develop and implement a “second signature” process for licenses in all Divisions to segregate duties and reduce the risk of errors. | N/A |
| Recommendation 6: OIG recommends that the Office of Defense Trade Controls Licensing develop and implement a process to assign Licensing Officers license applications that correspond with their levels of authority. | N/A |
| Recommendation 7: OIG recommends that the Office of Defense Trade Controls Licensing establish a central repository to document Licensing Officers’ signature authority. | N/A |
| Recommendation 8: OIG recommends that the Office of Defense Trade Controls Licensing develop and implement controls for license applications that are referred to other Department bureaus and offices, as required. | N/A |
| Recommendation 9: OIG recommends that the Office of Defense Trade Controls Licensing develop and implement a process to document, keep current, and communicate referral guidance to all Licensing Officers. | N/A |
| Recommendation 10: OIG recommends that the Office of Defense Trade Controls Policy (a) establish and maintain a database of all current Blue Lantern Officers, their expected arrival and departure dates from assigned posts, and the date when they received Blue Lantern Program training and (b) develop and implement a process to notify posts when a Blue Lantern Officer will be departing in order to begin the reassignment process. | N/A |
| Recommendation 11: OIG recommends that the Office of Defense Trade Controls Policy develop and implement a training program for new Blue Lantern Officers. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| <i>Audit of the Bureau of Near Eastern Affairs Selection and Management of Contract Oversight Personnel in Iraq</i> (AUD-MERO-19-10, 11/2018) | |
| Recommendation 1: OIG recommends that the Bureau of Near Eastern Affairs (a) analyze all contracts for which it assigns Contracting Officer's Representatives and Government Technical Monitors and determine the appropriate level of Federal Acquisition Certification for Contracting Officer's Representatives, the technical expertise, and other qualifications required; (b) document the analysis and determinations; (c) and provide the determinations to the Contracting Officers assigned to those contracts. | N/A |
| Recommendation 2: OIG recommends that the Bureau of Near Eastern Affairs compare Contracting Officer's Representative and Government Technical Monitor nominee qualifications to the analysis conducted for the Bureau's contracts as noted in Recommendation 1 and only nominate those with the necessary technical expertise and level of Federal Acquisition Certification for Contracting Officer's Representatives to oversee the contract and hold contractors accountable for quality and cost performance in accordance with contract terms. | N/A |
| Recommendation 4: OIG recommends that the Bureau of Near Eastern Affairs discontinue the practice of nominating Contracting Officer's Representatives and Government Technical Monitors who do not meet Level III Federal Acquisition Certification for Contracting Officer's Representatives and technical expertise requirements for its contracts or obtain a temporary waiver from the Bureau of Administration, Office of the Procurement Executive, as required by Procurement Information Bulletin No. 2012-15. | N/A |
| <i>Audit of the Department of State's Administration of its Aviation Program</i> (AUD-SI-18-59, 9/2018) | |
| Recommendation 13: OIG recommends that the Bureau of the Comptroller and Global Financial Services, in coordination with the Bureau of International Narcotics and Law Enforcement Affairs, develop updated formal policies, procedures, and implementing guidance to ensure that Department of State aviation assets, including assets donated by other agencies, are accurately valued when initially obtained and the correct value is recorded in the accounting system. | N/A |
| Recommendation 14: OIG recommends that the Bureau of the Comptroller and Global Financial Services, in coordination with the Bureau of International Narcotics and Law Enforcement Affairs, develop policies, procedures, and implementing guidance to update the valuation of an aircraft after undergoing other-than-routine maintenance, including both programmed depot maintenance and phase maintenance. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| Recommendation 15: OIG recommends that the Bureau of the Comptroller and Global Financial Services, in coordination with the Bureau of International Narcotics and Law Enforcement Affairs, develop and implement policies, procedures, and implementing guidance to determine when an aircraft should be considered “In Service” and “Not in Service” and to update the status of the aircraft in the Integrated Logistics Management System. | N/A |
| Recommendation 25: OIG recommends that Embassy Lima, Peru, develop and implement a documented nationalization plan with clear goals and attainable objectives for the aviation program. | N/A |
| <i>Audit of the Bureau of European and Eurasian Affairs Administration and Oversight of Selected Contracts and Grants</i> (AUD-CGI-18-50, 8/2018) | |
| Recommendation 2: OIG recommends that the Bureau of Administration, Office of Logistics Management, Office of Acquisitions Management, develop and implement procedures to verify that Contracting Officers are monitoring Contracting Officer’s Representatives files in accordance with Procurement Information Bulletin No. 2014-10. | N/A |
| Recommendation 8: OIG recommends that the Bureau of Administration, Office of Logistics Management, Office of Acquisitions Management, develop and implement procedures to verify the formal designation and authorization of Contracting Officer’s Representatives (COR) and Alternate CORs or Government Technical Monitors as necessary for each task order in writing and that the designation memoranda are tailored, as necessary, to identify specific duties, responsibilities, and limitations for each contract or task order administered. | N/A |
| <i>Management Assistance Report: The Bureau of Diplomatic Security’s Office of Training and Performance Standards Should Improve Property Management Over Equipment Provided During High-Threat Training</i> (AUD-SI-18-49, 8/2018) | |
| Recommendation 1: OIG recommends that the Bureau of Diplomatic Security, Training Directorate, Office of Training and Performance Standards, in coordination with the Bureau of Diplomatic Security, Countermeasures Directorate, Office of Physical Security Programs, Defensive Equipment and Armored Vehicle Division, complete and implement an action plan to record accountable property contained in the high-threat kits that are on hand, along with any new kits delivered, into the Department’s Integrated Logistics Management System-Asset Management application, as required by Volume 14 of the Foreign Affairs Manual, Section 421.1(c), within 30 days after this Management Assistance Report has been issued. | N/A |
| Recommendation 2: OIG recommends that the Bureau of Diplomatic Security, Training Directorate, Office of Training and Performance Standards, perform a physical inventory of its accountable property, as required by Volume 14 of the Foreign Affairs Manual, Section 426, once an action plan for recording this property (Recommendation 1) has been completed. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| <p>Recommendation 4: OIG recommends that the Bureau of Diplomatic Security, Training Directorate, Office of Training and Performance Standards, in coordination with the Bureau of Diplomatic Security, Countermeasures Directorate, Office of Physical Security Programs, Defensive Equipment and Armored Vehicle Division, develop and implement an action plan to develop procedures that require property issued to employees for an extended period of time comply with charge out policies included in Volume 14 of the Foreign Affairs Manual, Section 425.3-4(c). At a minimum, these procedures should include recording data related to issuing the property (e.g., the date of issuance, the name and signature of the individual responsible for the property, and the item serial numbers, as appropriate) and factors related to performing periodic checks on location or condition of the property and on returning the equipment (e.g., the date of return and the condition of the property).</p> | N/A |
| <p>Recommendation 5: OIG recommends that the Bureau of Diplomatic Security, Training Directorate, Office of Training and Performance Standards (TPS), develop and implement an action plan to identify and record accountable property previously purchased and charged out or issued to employees from October 2015 to the present. This plan should include a reconciliation of the items to the invoices of items purchased to ensure completeness and should detail how TPS will update the asset management systems with information on accountable property.</p> | N/A |
| <p><i>Audit of Bureau of Overseas Buildings Operations' Oversight of New Construction Projects at the U.S. Embassy in Kabul, Afghanistan</i> (AUD-MERO-18-17, 1/2018)</p> | |
| <p>Recommendation 1: OIG recommends that the Bureau of Overseas Buildings Operations issue a Construction Alert defining which building equipment and systems must be fully commissioned prior to substantial completion and update its Policy and Procedures Directive for the Commissioning and Transition to Occupancy of Overseas Facilities (P&PD CM 01) to include those requirements.</p> | N/A |
| <p>Recommendation 3: OIG recommends that the Bureau of Overseas Buildings Operations establish and implement internal controls to verify that all required documentation in support of commissioning testing is completed prior to substantial completion. This should include all pre-functional checks, functional performance tests, and integrated systems tests to ensure that building equipment and systems are functioning as intended.</p> | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| <p>Recommendation 5: OIG recommends that the Bureau of Overseas Buildings Operations update its Policy and Procedures Directive for the Commissioning and Transition to Occupancy of Overseas Facilities (P&PD CM 01) to include procedures for identifying and approving instances in which it is appropriate to issue the certificate of substantial completion before commissioning has been fully completed. Specifically, these protocols should include mechanisms that (a) require a formal waiver be issued by the construction executive to proceed with substantial completion and occupancy even though commissioning is not yet complete, (b) establish milestones for completing the commissioning process after substantial completion and occupancy, and (c) execute a contract modification requiring the contractor to grant an extended warranty for those systems that were not commissioned at the time of substantial completion.</p> | N/A |
| <p>Recommendation 6: OIG recommends that the Bureau of Overseas Buildings Operations update its Policy and Procedures Directive for the Commissioning and Transition to Occupancy of Overseas Facilities (P&PD CM 01) as well as its Guide to Excellence in Diplomatic Facilities to ensure that references to the commencement of the warranty period are consistent with FAR 52.246-21, Warranty of Construction. Specifically, existing policies and procedures should be updated to indicate that the warranty period either begins at final acceptance unless the Government takes possession of any part of the work before final acceptance, in which case, the warranty shall begin at the date the Government takes possession. The Bureau of Overseas Buildings Operations should also explicitly define when the Government officially takes possession of the completed work, including whether possession occurs at substantial completion or at the time of occupancy.</p> | N/A |
| <p>Recommendation 7: OIG recommends that the Bureau of Overseas Buildings Operations establish requirements in its Policy and Procedures Directive for the Commissioning and Transition to Occupancy of Overseas Facilities (P&PD CM 01) for the preparation and submission of key project documents for newly constructed facilities, including (a) owner's project requirements, (b) a Basis of Design document, (c) systems manuals, (d) a commissioning plan, and (e) a final commissioning report. These documents should be prepared and submitted at the appropriate interval of construction for each building or facility constructed by the Bureau of Overseas Buildings Operations. Additionally, the requirements should indicate the parties responsible for preparation, review, and approval of each of the key project documents.</p> | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| <p>Recommendation 8: OIG recommends that the Bureau of Overseas Buildings Operations update its Policy and Procedures Directive for the Commissioning and Transition to Occupancy of Overseas Facilities (P&PD CM 01) to require its project directors and facility managers to establish a memorandum of agreement 9 months prior to the estimated substantial completion target date to facilitate the building turnover process. This memorandum of agreement should, at a minimum, (a) define the type of access that Facility Management personnel and operations and management contractors should be given to new buildings prior to substantial completion; (b) specify relevant documentation, such as punch lists, lists of equipment to be maintained, and commissioning documentation that should be provided to facility managers and operations and management contractors; and (c) establish timelines for providing building access and documentation to facility personnel and operations and management contractors prior to substantial completion and occupancy.</p> | N/A |
| <p>Recommendation 9: OIG recommends that the Bureau of Overseas Buildings Operations update its Policy and Procedures Directive for the Commissioning and Transition to Occupancy of Overseas Facilities (P&PD CM 01) to require its project directors and facility managers to hold a pre-turnover meeting approximately 60 days prior to substantial completion. The entire project team should be included in this meeting with participants discussing the status of construction, commissioning, required turnover documentation, and the planned schedule and outstanding actions required to ensure a smooth and successful turnover of facilities.</p> | N/A |
| <p><i>Audit of the Department of State's Information Technology Configuration Control Board (AUD-IT-17-64, 9/2017)</i></p> | |
| <p>Recommendation 2: OIG recommends that the Bureau of Information Resource Management develop and implement a process to establish and periodically update a list of system, product, or software owners who will be authorized to make change requests for their system, product, or software. The list should be made available to users and members of the Information Technology Configuration Control Board through the Information Technology Configuration Control Board website or applicable policies and procedures outlined in Recommendation 12.</p> | N/A |
| <p>Recommendation 3: OIG recommends that the Bureau of Information Resource Management determine what documentation is needed to support a change request and modify the policies and procedures outlined in Recommendation 12 or other guidance, such as the Submitter's Guide, provided to change request submitters to reflect the documentation that is required for a complete and accurate change request submission.</p> | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| Recommendation 4: OIG recommends that the Bureau of Information Resource Management develop and implement guidance for change requests to require and include: (a) minimum testing standards for change requests, (b) instructions that testing be performed in advance of the change request being submitted and that the testing documentation be submitted as part of the change request process, and (c) a clearly defined technical review of the testing documentation that is submitted to verify the documentation complies with minimum standards. | N/A |
| Recommendation 6: OIG recommends that the Bureau of Information Resource Management formally notify all Technical Reviewers that default proceeds are no longer allowed and that all Technical Reviewers must review all change requests and either approve, stop, or reject the change request. Policies and procedures outlined in Recommendation 12 or other guidance should be updated to reflect this change to the process. | N/A |
| Recommendation 7: OIG recommends that the Bureau of Information Resource Management develop and implement a quality assurance assessment process for all change requests going through the enterprise-wide Information Technology Configuration Control Board. At a minimum, the quality assurance process should include periodic evaluation of open “stops,” reviews to ensure retention of all relevant documentation, and a final check prior to adding change to the baseline to ensure all pertinent process controls occurred at a minimum. | N/A |
| Recommendation 10: OIG recommends that the Bureau of Information Resource Management define the roles, responsibilities, and technical skillsets for each technical review and voting area and develop and implement a vetting process to verify Technical Reviewers and Voters have the knowledge, skills, and abilities to perform their assigned duties related to the Information Technology Configuration Control Board process. | N/A |
| Recommendation 11: OIG recommends that the Bureau of Information Resource Management develop and implement a process to verify that Technical Reviewers and Voters have formally appointed alternatives. | N/A |
| Recommendation 12: OIG recommends that the Bureau of Information Resource Management develop and implement complete and consistent policies and procedures and supplemental guidance, such as a Submitter’s Guide, for the Information Technology Configuration Control Board process. The policies, procedures, and guidance should, at a minimum, include guidance on roles and responsibilities, detailed procedure steps for submitters, minimum testing requirements, instructions on how Technical Reviewers and Voters should conduct their review, the appropriate use of “stops,” and established timelines for the process. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| Recommendation 13: OIG recommends that the Bureau of Information Resource Management develop and implement a process to periodically review and validate the accuracy and completeness of the data in the Virtual Information Technology Configuration Control Board database and to correct data integrity, omissions and inaccuracies existing between the new and old databases and when identified going forward. As part of this effort, the Bureau of Information Resource Management should ensure that the old database is available solely as a read-only reference resource and that new data cannot be entered into that database. | N/A |
| Recommendation 14: OIG recommends that the Bureau of Information Resource Management develop and implement required, periodic, training for Information Technology Configuration Control Board management and personnel, Bureau Sponsors, Technical Reviewers, Voters, and change request submitters involved in the Information Technology Configuration Control Board process. | N/A |
| Recommendation 15: OIG recommends that the Bureau of Information Resource Management develop and implement a formal process to (a) monitor the status of all change requests throughout each stage of the change request process and (b) notify stakeholders when a request is nearing the end of a deadline or when an event occurs that may affect the deadline for a change request. | N/A |
| Recommendation 16: OIG recommends that the Bureau of Information Resource Management develop and implement policies and procedures to hold officials accountable for failure to meet established deadlines in the Information Technology Configuration Control Board change request process. Once completed, the policies, procedures, and supplemental guidance discussed in Recommendation 12 should be updated. | N/A |
| Recommendation 17: OIG recommends that the Bureau of Information Resource Management develop and implement a formal process to periodically gather, assess, and report on its change request review process timeliness metrics and to make those results available to its stakeholders and customers in addition to appropriate bureau officials. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| <i>Audit of Select Cost-of-Living Allowances for American Employees Stationed in Foreign Areas (AUD-FM-17-51, 8/2017)</i> | |
| Recommendation 3: For cases in which independent cost-of-living indexes are not available to establish post allowance rates, OIG recommends that the Bureau of Administration revise and distribute updated policies and procedures to posts related to the post allowance rate methodology that provide detailed procedures for (a) collecting and summarizing living pattern questionnaires in eAllowances, and (b) collecting prices that reflect the requirements outlined in the Department of State Standardized Regulations on the retail price schedule Parts 3 and 4. | N/A |
| Recommendation 4: For cases in which independent cost-of-living indexes are not available to establish post allowance rates, OIG recommends that the Bureau of Administration revise and distribute updated internal procedures for calculating post allowances to include detailed instructions to (a) verify post living pattern questionnaire summary information in eAllowances with hard copies provided by post, and (b) remove inappropriate or unreasonable prices from the retail price schedule in a consistent manner across all subcategories of goods, including the use of independent data when available. | N/A |
| Recommendation 5: For cases in which independent cost-of-living indexes are not available to establish post allowance rates, OIG recommends that the Bureau of Administration conduct and formally document an analysis to determine how to make the Washington, DC, prices used in the post allowance rate calculations reflective of the consumption patterns of the average salary level for a post employee stationed in a foreign area so that data are comparable between Washington, DC, and the overseas post. The Bureau of Administration should implement changes as necessary as a result of its analysis. | N/A |
| Recommendation 6: OIG recommends the Bureau of Administration revise the Department of State Standardized Regulations for changes in the post allowance methodology as a result of implementing recommendations from this report. | N/A |
| <i>Audit of Department of State FY 2016 Compliance With Improper Payments Requirements (AUD-FM-17-42, 5/2017)</i> | |
| Recommendation 4: OIG recommends that the Bureau of the Comptroller and Global Financial Services develop and implement a method to obtain information on improper payments identified and recovered by other Department of State bureaus and offices through contract and grant oversight activities, such as contract and grant closeout procedures, during the applicable fiscal year. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| Recommendation 5: OIG recommends that the Bureau of the Comptroller and Global Financial Services develop and implement a process to report all improper payments identified by sources outside payment recapture audits for the applicable period in the annual Agency Financial Report. The process should require the Bureau of the Comptroller and Global Financial Services to present this information even if corresponding collection information is not readily available, unless written instructions advising otherwise is obtained from the Office of Management and Budget. | N/A |
| <i>Audit of the Bureau of Diplomatic Security's Administration of the Armored Vehicle Program (AUD-SI-17-21, 2/2017)</i> | |
| Recommendation 28: OIG recommends that the Bureau of Diplomatic Security develop and implement guidance for overseas posts on the construction and use of shelters for armored vehicles. | N/A |
| Recommendation 32: OIG recommends that the Bureau of Diplomatic Security update the current armored vehicle policy to define specifically what types of maintenance must be performed under an embassy employee's observation. | N/A |
| <i>Audit of the Oversight of Fuel Acquisition and Related Services Supporting Department of State Operations in Iraq (AUD-MERO-17-16, 12/2016)</i> | |
| Recommendation 6: OIG recommends that the Bureau of Near Eastern Affairs use the results of the study from Recommendation 5 to nominate appropriate personnel so contracting officers with the Bureau of Administration, Office of Logistics Management, Office of Acquisitions Management, can assign qualified oversight personnel for those contracts and task orders. | N/A |
| <i>Audit of the Department of State Vetting Process for Syrian Non-Lethal Assistance (AUD-MERO-17-01, 11/2016)</i> | |
| Recommendation 1: OIG recommends that the Under Secretary for Management consolidate and codify all current Syria vetting policies issued by the Department and bureaus into one detailed guidance explaining specifically how the vetting process should be carried out for Syrian awards. This consolidated guidance should be distributed to all bureaus once completed. | N/A |
| Recommendation 2: OIG recommends that the Bureau of Near Eastern Affairs distribute the consolidated vetting guidance from Recommendation 1 to implementing partners to make them aware of Department vetting requirements. | N/A |
| Recommendation 3: OIG recommends that the Bureau of Near Eastern Affairs develop and implement internal controls to verify that its implementing partners are submitting information on required individuals for vetting in accordance with the consolidated vetting guidance from Recommendation 1. | N/A |
| Recommendation 4: OIG recommends that the Bureau of Near Eastern Affairs include in future award agreements the vetting requirements for Syria programs. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| Recommendation 5: OIG recommends that the Bureau of Democracy, Human Rights, and Labor distribute the consolidated vetting guidance from Recommendation 1 to implementing partners to make them aware of Department vetting requirements. | N/A |
| Recommendation 6: OIG recommends that the Bureau of Democracy, Human Rights, and Labor develop and implement internal controls to verify that its implementing partners are submitting information on required individuals for vetting in accordance with the consolidated vetting guidance from Recommendation 1. | N/A |
| Recommendation 7: OIG recommends that the Bureau of Democracy, Human Rights, and Labor include in future award agreements the vetting requirements for Syria programs. | N/A |
| <i>Audit of the Department of State Process To Select and Approve Information Technology Investments (AUD-FM-16-31, 3/2016)</i> | |
| Recommendation 8: OIG recommends that the Bureau of Information Resource Management establish and implement a plan to review IT investment reorganizations that occurred since FY 2010 to ensure that the investments resulting from the reorganizations comply with Office of Management and Budget requirements for information technology investments. | N/A |
| Recommendation 10: OIG recommends that the Bureau of Information Resource Management develop and implement a process to (a) identify and review all bureau-specific IT investment methodologies (ones currently in place as well as ones that will be developed in the future); (b) determine whether the bureau-specific IT investment methodologies comply with Office of Management and Budget Circular A-130; and, if they do not comply, (c) provide bureaus with guidance regarding the modifications needed to fully comply and verify that the methodologies were modified as necessary. This effort should include reviewing the standard forms used by each bureau during the IT selection process to ensure consistency and compliance with Office of Management and Budget Circular A-130. | N/A |
| Recommendation 14: OIG recommends that the Bureau of Information Resource Management develop and implement a strategy to perform semiannual or more frequent reviews of bureau-funded IT contracts to identify new IT investments developed as part of the contracts. | N/A |
| Recommendation 17: OIG recommends that the Bureau of Information Resource Management (a) develop and implement a policy requiring bureaus and offices to provide details of IT investments, programs, and projects in iMatrix and (b) develop and disseminate guidance specifying the level of detail necessary for each investment, including general descriptions and technical capabilities. | N/A |
| Recommendation 20: OIG recommends that the Bureau of Information Resource Management develop and issue a policy stating that bureaus must update the information on non-major investments in iMatrix quarterly, rather than only when the reports are due to be submitted to the Office of Management and Budget. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
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| Recommendation 22: OIG recommends that the Bureau of Information Resource Management, in coordination with the Bureau of Budget and Planning, develop and implement a process to verify that all bureau and office IT investment managers and budget analysts complete the respective training courses related to IT capital planning and reporting that are provided annually. | N/A |
| Recommendation 27: OIG recommends that the Bureau of Information Resource Management develop and implement a policy requiring bureaus and offices to submit source documents to support the information entered into iMatrix. | N/A |
| Recommendation 28: OIG recommends that the Bureau of Information Resource Management develop and implement a process to verify that bureaus and offices are submitting source documents to support the information entered into iMatrix in accordance with the policy developed that requires bureaus and offices to submit source documents that support the information entered into iMatrix. | N/A |

Table D.2
Open Office of Evaluations and Special Projects Recommendations Issued in Previous Periods, Pending Final Department of State Action, as of 9/30/2020

| Significant Open Recommendations | Potential Monetary Benefits |
|---|-----------------------------|
| <i>Evaluation of the Bureau of Diplomatic Security's Aegis Construction Contract at Camp Eggers, Afghanistan</i> (ESP-19-04, 7/2019) | |
| Recommendation 1: OIG recommends that the Office of the Undersecretary for Management review the Bureau of Diplomatic Security's construction capabilities and adopt a policy that identifies the specific circumstances under which the construction clause in the Worldwide Protective Services (WPS) contract may be used for construction projects and that includes the designation of formal roles of the Bureau of Diplomatic Security, the Office of Acquisitions Management, and the Bureau of Overseas Buildings Operations with respect to such projects. | N/A |
| <i>Review of Allegations of Improper Passport Seizures at Embassy Sana'a, Yemen</i> (ESP-19-01, 10/2018) | |
| Recommendation 1: The Bureau of Consular Affairs, Office of Passport Services, in conjunction with the Bureau of Diplomatic Security, should develop centralized, searchable databases to track and manage passport revocation cases, as well as retentions of passports and other documents seized on suspicion of fraud when citizens apply for consular services, or under other circumstances, and to track confiscations of such documents if they are seized on grounds other than retention authority. | N/A |
| Recommendation 2: The Secretary of State should clarify the role of the Office of the Legal Adviser as the senior legal authority for the Department and consider whether attorneys in other offices should report directly to the Legal Adviser. | N/A |

| Significant Open Recommendations | Potential Monetary Benefits |
|--|-----------------------------|
| Recommendation 3: The Bureau of Consular Affairs should coordinate with the Office of the Legal Adviser to issue guidance and, if necessary, amend the Foreign Affairs Manual to clarify (1) The differences between retention and confiscation of a passport and any other authority that exists to take a passport, the circumstances under which each is authorized, the types of documentation or data entries the Department must create and maintain in exercising each authority, the notifications and advisements that must be given to the document holders in each case, and the fact that retentions must be limited to a specific temporary period, and (2) The circumstances in which individuals whose passports are retained, confiscated, or revoked while overseas are entitled to limited validity passports to return to the United States. | N/A |
| Other Open Recommendations | Potential Monetary Benefits |
| <i>Management Assistance Report: Foreign Service Institute Wireless User Access Controls</i> (ESP-20-03, 3/2020) | |
| Recommendation 1: The Foreign Service Institute should ensure that its guest wireless network complies with the Department's wireless security standards. | N/A |
| <i>Review of Allegations of Politicized and Other Improper Personnel Practices Involving the Office of the Secretary</i> (ESP-20-01, 11/2019) | |
| Recommendation 1: The Bureau of Human Resources should ensure that all political and presidential appointees receive training on prohibited personnel practices and related Department policies. | N/A |
| Recommendation 2: The Secretary of State should consider whether disciplinary action is appropriate for any Department employee who failed to comply with FAM provisions regarding the use of non-merit factors in personnel decisions. | N/A |
| <i>Evaluation of the Antiterrorism Assistance Explosive Detection Canine Program – Health and Welfare</i> (ESP-19-06, 9/2019) | |
| Recommendation 4: OIG recommends that the Bureau of Counterterrorism, in coordination with the Bureau of Diplomatic Security, develop and negotiate written agreements related to the canine program with partner nations that ensure there is a mutual understanding regarding the health, welfare, and retirement of the provided canines. | N/A |
| <i>Evaluation of the Bureau of Diplomatic Security's Aegis Construction Contract at Camp Eggers, Afghanistan</i> (ESP-19-04, 7/2019) | |
| Recommendation 2: OIG recommends that the Bureau of Administration develop policies requiring the inclusion of Division 1 General Requirements in all future contracts that include a construction component. | N/A |
| <i>Management Assistance Report: Use of Personal Social Media Accounts to Conduct Official Business</i> (ESP-19-02, 2/2019) | |
| Recommendation 1: The Office of Policy, Planning and Resources, in coordination with the Bureau of Public Affairs and the Bureau of International Information Programs, | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
|---|-----------------------------|
| should clarify the distinction in the Foreign Affairs Manual between personal and official social media postings and give examples of each type. | |
| Recommendation 2: The Office of Policy, Planning and Resources should issue periodic, regular notices to Department employees to remind them of the Department's policies regarding the use of personal social media accounts. | N/A |
| Recommendation 3: The Office of Policy, Planning and Resources, in coordination with the Bureau of Public Affairs and the Bureau of International Information Programs, should review the personal Twitter accounts of ambassadors and other senior Department officials and take appropriate action to remedy any violations of Department policy. | N/A |
| <i>Review of Allegations of Improper Passport Seizures at Embassy Sana'a, Yemen</i> (ESP-19-01, 10/2018) | |
| Recommendation 4: The Bureau of Consular Affairs and the Bureau of Diplomatic Security should ensure that all ARSO-Is receive appropriate training on the clarifications described in Recommendation 3 and identify a single point of contact for ARSO-Is and other DS agents seeking legal guidance. | N/A |
| <i>Management Assistance Report: Incorporation of Clause Requiring Contractor Cooperation with the Office of Inspector General</i> (ESP-18-02, 3/2018) | |
| Recommendation 1: The Bureau of Administration, Office of the Procurement Executive, should amend the Department of State Acquisition Regulation to require contracting officers to include a provision requiring contracting officers to insert a clause in all current and future contracts stating: “(a) This contract incorporates by reference 1 FAM 053.2-5, which mandates the contractor's and/or any subcontractor's duty to cooperate fully with Office of Inspector General personnel. (b) Cooperation includes: (1) Complete, prompt, and free access to all files (in any format), documents, premises, and employees, except as limited by law, including access to records, premises, and employees; (2) Statements, both oral and written, including statements under oath or affirmation; (3) Technical consultation, examination, and assistance regarding information or evidence being collected or developed; (4) Such other information and assistance as may be requested in order to complete the OIG activity.” | N/A |
| <i>Evaluation of the Department of State's Security Clearance Process</i> (ESP-17-02, 7/2017) | |
| Recommendation 2: The Bureau of Diplomatic Security, Office of Personnel Security and Suitability, in coordination with the Bureau of Human Resources, should establish clear responsibilities for the processing of security clearance requests in order to reduce or eliminate unnecessary delays in the clearance process and require appropriate training for all Human Resources personnel involved in the process. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
|---|-----------------------------|
| Recommendation 3: The Bureau of Diplomatic Security should perform a workforce analysis of its employees who perform security clearance work to ensure that it has the proper staffing levels in place to meet its timeliness goals. | N/A |
| Recommendation 5: The Bureau of Diplomatic Security, Office of Personnel Security and Suitability should determine the actual cost of the security clearance work it performs for other Government agencies in order to fully recoup its expended funds, in accordance with the Economy Act and Department policy. | N/A |
| <i>Department of State Has Administrative Leave Policies but Lacks Complete and Accurate Data on the Use of Leave</i> (ESP-16-04, 9/2016) | |
| Recommendation 1: The Bureau of the Comptroller and Global Financial Services, in conjunction with the Bureau of Human Resources, should ensure that its new payroll systems have the ability to collect information regarding the justification for why administrative leave is granted. | N/A |

Table D.3
Open Office of Inspections Recommendations Issued in Previous Periods, Pending Final Department of State Action, as of 9/30/2020

| Significant Open Recommendations | Potential Monetary Benefits |
|--|-----------------------------|
| <i>Inspection of Embassy Canberra and Constituent Posts, Australia</i> (ISP-I-20-07, 2/2020) | |
| Recommendation 7: Embassy Canberra, in coordination with the Bureaus of Overseas Buildings Operations and East Asian and Pacific Affairs, should dispose of property numbers R48 and R49 at Kalgoorlie Crescent in accordance with Department guidelines and put up to \$896,849 to better use. | \$896,849 |
| <i>Inspection of Embassy N'Djamena, Chad</i> (ISP-I-20-02, 11/2019) | |
| Recommendation 5: The Bureau of Overseas Buildings Operations, in coordination with Embassy N'Djamena and the Bureau of African Affairs, should develop and implement a strategy that prioritizes the disposal of Embassy N'Djamena's excess real property, in order to put funds estimated at \$7.1 million to better use. | \$7,100,000 |
| <i>Inspection of Embassy Port-au-Prince, Haiti</i> (ISP-I-19-18, 6/2019) | |
| Recommendation 20: The Bureau of Overseas Buildings Operations, in coordination with Embassy Port-au-Prince, should connect the "Stecher-Roumain" housing compound to the local power grid, and put funds of up to \$3.03 million over 5 years to better use. | \$3,030,000 |
| Recommendation 22: Embassy Port-au-Prince, in coordination with the Bureau of Overseas Buildings Operations, should perform seismic evaluations of its residential properties in accordance with Department standards. | N/A |

| Significant Open Recommendations | Potential Monetary Benefits |
|--|-----------------------------|
| <i>Inspection of Embassy New Delhi and Constituent Posts, India</i> (ISP-I-19-10, 12/2018) | |
| Recommendation 26: Embassy New Delhi should submit design plans to the Bureau of Overseas Buildings Operations for the unapproved modifications to property numbers X9990, X9991, X9992, X9993, X9999, and X29001 in Kolkata, and R1007 and R1012 in Mumbai. | N/A |
| Recommendation 27: The Bureau of Overseas Buildings Operations should conduct a technical review of the design plans for property numbers X01021 in New Delhi; X9990, X9991, X9992, X9993, X9999, and X29001 in Kolkata; and R1007 and R1012 in Mumbai, in accordance with Department standards, and work with Embassy New Delhi to remedy any modifications that OBO is unable to retroactively approve. | N/A |
| <i>Inspection of U.S. Mission to Somalia</i> (ISP-I-19-09, 10/2018) | |
| Recommendation 3: The Bureau of Administration, in coordination with the U.S. Mission to Somalia and the Bureau of African Affairs, should finalize all risk mitigation plans for third-party contracts as required by Department guidance. | N/A |
| Other Open Recommendations | Potential Monetary Benefits |
| <i>Inspection of Embassy Canberra and Constituent Posts, Australia</i> (ISP-I-20-07, 2/2020) | |
| Recommendation 1: Embassy Canberra, in coordination with the Bureau of East Asian and Pacific Affairs, the Office of the Legal Adviser, and the Office of Management Strategy and Solutions, should determine which U.S. Government personnel in Australia are under chief of mission authority, in accordance with Department guidelines. | N/A |
| Recommendation 8: Embassy Canberra, in coordination with the Bureaus of East Asian and Pacific Affairs and the Comptroller and Global Financial Services, should reprogram additional Diplomatic and Consular Program-funded Information Management positions to International Cooperative Administrative Support Services-funded positions, in accordance with Department standards, and put funds of \$243,993 over 3 years per position to better use. | \$243,993 |
| Recommendation 11: Embassy Canberra should complete and document safety certifications, in accordance with Department standards. | N/A |
| Recommendation 12: Embassy Canberra, in coordination with the Bureaus of Overseas Buildings Operations and East Asian and Pacific Affairs, should bring the residential safety program for Department of Defense personnel under chief of mission authority into compliance with Department standards. | N/A |
| Recommendation 15: Embassy Canberra should close out procurement files in accordance with Department standards. | N/A |
| Recommendation 20: Embassy Canberra should test the information technology contingency plans for the unclassified and classified networks in accordance with Department standards. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
|---|-----------------------------|
| <i>Inspection of Embassy Pretoria and Constituent Posts, South Africa</i> (ISP-I-20-09, 1/2020) | |
| Recommendation 1: Embassy Pretoria should implement a process to track activities and progress against Mission South Africa's Integrated Country Strategy. | N/A |
| Recommendation 2: Embassy Pretoria should conduct end-use monitoring checks of defense, dual-use, or sensitive equipment in accordance with Department standards. | N/A |
| 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. | N/A |
| Recommendation 5: Embassy Pretoria should comply with Department standards for the use of public diplomacy resources. | N/A |
| 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. | N/A |
| 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. | N/A |
| Recommendation 14: Embassy Pretoria should correct all residential safety deficiencies. | N/A |
| Recommendation 15: Embassy Pretoria should cease moving employees into residences that do not meet the Department's safety standards. | N/A |
| 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. | N/A |
| 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. | N/A |
| <i>Inspection of Embassy Helsinki, Finland</i> (ISP-I-20-08, 12/2019) | |
| Recommendation 2: Embassy Helsinki should dispose of excess expendable property in accordance with Department standards and put up to \$1.3 million to better use. | \$1,300,000 |
| <i>Inspection of Embassy Nouakchott, Mauritania</i> (ISP-I-20-04, 11/2019) | |
| Recommendation 1: Embassy Nouakchott, in coordination with the Bureaus of Diplomatic Security, Information Resource Management, and Overseas Buildings Operations, should bring the American Center in the new embassy compound into compliance with Department standards. | N/A |
| Recommendation 3: Embassy Nouakchott should comply with Department standards for the use of public diplomacy funds. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
|--|-----------------------------|
| Recommendation 5: Embassy Nouakchott should bring its event data recorder program into compliance with Department standards. | N/A |
| Recommendation 7: Embassy Nouakchott should complete its monthly fleet management report in accordance with Department standards. | N/A |
| Recommendation 11: Embassy Nouakchott should use the final receipt module in the Integrated Logistics Management System to receive property in accordance with Department standards. | N/A |
| Recommendation 12: Embassy Nouakchott should close out procurement files in accordance with Department standards. | N/A |
| Recommendation 18: Embassy Nouakchott should bring its forklift safety practices into compliance with U.S. Government standards. | N/A |
| <i>Inspection of Embassy N'Djamena, Chad</i> (ISP-I-20-02, 11/2019) | |
| Recommendation 2: Embassy N'Djamena, in coordination with the Bureau of Educational and Cultural Affairs, should implement a strategic plan for the new embassy compound's American Center that meets Department standards. | N/A |
| Recommendation 4: Embassy N'Djamena should bring documentation of its public diplomacy grants program into compliance with Department standards. | N/A |
| Recommendation 6: Embassy N'Djamena should comply with applicable Department overseas motor vehicle safety requirements for chauffeurs and incidental drivers under chief of mission authority. | N/A |
| Recommendation 9: Embassy N'Djamena should implement procurement and property management processes in accordance with Department standards. | N/A |
| Recommendation 10: Embassy N'Djamena should document nonexpendable property transfers in accordance with Department standards. | N/A |
| Recommendation 12: Embassy N'Djamena should bring its Contracting Officer's Representative program into compliance with Department standards. | N/A |
| Recommendation 13: Embassy N'Djamena should conduct annual reviews of its blanket purchase agreements in accordance with Department standards. | N/A |
| Recommendation 16: Embassy N'Djamena should bring its safety, health, and environmental management program into compliance with Department standards. | N/A |
| Recommendation 17: Embassy N'Djamena should bring the fire protection program into compliance with Department standards. | N/A |
| Recommendation 22: Embassy N'Djamena should require its local Information Technology Configuration Control Board to review the American Center commercial cloud application in accordance with Department standards. | N/A |
| Recommendation 23: Embassy N'Djamena should implement a records management program that complies with Department standards. | N/A |
| <i>Inspection of Embassy Maseru, Lesotho</i> (ISP-I-20-01, 10/2019) | |

| Other Open Recommendations | Potential Monetary Benefits |
|--|-----------------------------|
| Recommendation 2: The Bureau of Overseas Buildings Operations, in coordination with Embassy Maseru, should bring the doors in the President's Emergency Plan for AIDS Relief building into compliance with Department standards. | N/A |
| Recommendation 8: Embassy Maseru, in coordination with the Bureau of African Affairs, should correct the network cabling infrastructure to comply with Department standards. | N/A |
| <i>Inspection of the U.S. Mission to the Organization of American States (ISP-I-19-37, 9/2019)</i> | |
| Recommendation 3: The U.S. Mission to the Organization of American States, in coordination with the Bureaus of Western Hemisphere Affairs and Human Resources, should conduct an organizational assessment of the mission's staffing structure and implement appropriate recommendations. | N/A |
| Recommendation 4: The U.S. Mission to the Organization of American States should implement a records management program in accordance with Department standards. | N/A |
| <i>Inspection of the Bureau of Consular Affairs, Kentucky Consular Center (ISP-I-19-36, 8/2019)</i> | |
| Recommendation 6: The Bureau of Consular Affairs, in coordination with the Bureau of Administration, should conduct a space utilization study of the Kentucky Consular Center's Appalachian Processing Center and implement a plan for its cost-effective use or repurposing. | N/A |
| <i>Inspection of Embassy Tirana, Albania (ISP-I-19-26, 8/2019)</i> | |
| Recommendation 2: Embassy Tirana, in coordination with the Bureau of Overseas Buildings Operations and the Bureau of Consular Affairs, should provide a wheelchair-accessible interview window for consular clients as required by Department standards. | N/A |
| Recommendation 6: Embassy Tirana, in coordination with the Bureau of Overseas Buildings Operations, should perform seismic evaluations of embassy residential properties in accordance with Department standards. | N/A |
| Recommendation 7: The Bureau of Overseas Buildings Operations, in coordination with Embassy Tirana, should provide a mitigation plan to address seismic concerns with at-risk embassy compound buildings. | N/A |
| Recommendation 8: Embassy Tirana should work with landlords to mitigate vulnerabilities with community swimming pools at its leased residential compounds. | N/A |
| Recommendation 9: Embassy Tirana should dismantle and remove its shipping containers and portable structures in accordance with Department requirements. | N/A |
| <i>Inspection of Embassy Nassau, The Bahamas (ISP-I-19-19, 8/2019)</i> | |
| Recommendation 12: Embassy Nassau should establish a comprehensive corrective action plan and certify all residences for occupancy in accordance with Department standards. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
|---|-----------------------------|
| Recommendation 18: Embassy Nassau, in coordination with the Bureau of Overseas Buildings Operations, should establish a plan for the future use of the Chief of Mission residence and the Deputy Chief of Mission residence. | N/A |
| Recommendation 20: Embassy Nassau should review its unliquidated obligations in accordance with Department guidelines and put up to \$2.3 million to better use. | \$2,300,000 |
| Recommendation 25: Embassy Nassau, in coordination with the Regional Information Management Center Ft. Lauderdale and the Bureau of Western Hemisphere Affairs, should remediate the embassy's computer network infrastructure to improve network performance. | N/A |
| <i>Inspection of Embassy Ljubljana, Slovenia</i> (ISP-I-19-25, 7/2019) | |
| Recommendation 3: Embassy Ljubljana, in coordination with the Bureau of Overseas Buildings Operations, should install a central fire alarm system at its Marine Security Guard residence to meet Department fire safety standards. | N/A |
| <i>Inspection of Embassy Paramaribo, Suriname</i> (ISP-I-19-20, 7/2019) | |
| Recommendation 8: The Bureau of Overseas Buildings Operations, in coordination with Embassy Paramaribo, should address the roof leaks in the new embassy compound and mitigate the resulting health hazards within 180 days. | N/A |
| Recommendation 12: Embassy Paramaribo, in coordination with the Bureau of Human Resources, should correct the deficit in the locally employed staff pension plan in accordance with Department guidance. | N/A |
| Recommendation 16: Embassy Paramaribo should comply with Department security standards for wireless local area networks. | N/A |
| <i>Inspection of Embassy Santo Domingo, Dominican Republic</i> (ISP-I-19-17, 7/2019) | |
| Recommendation 2: Embassy Santo Domingo, in coordination with the Bureau of International Narcotics and Law Enforcement Affairs, should transfer the 14 unused Automated Fingerprint Information System units to the Dominican police or other Dominican agencies where they will be used. | \$394,348 |
| Recommendation 5: Embassy Santo Domingo, in coordination with the Bureau of Overseas Buildings Operations, should provide protection for consular applicants in accordance with Department standards. | N/A |
| Recommendation 8: Embassy Santo Domingo should review its unliquidated obligations in accordance with Department guidance, and put up to \$1.3 million to better use. | \$1,300,000 |
| Recommendation 9: Embassy Santo Domingo should clear overdue travel advances in accordance with Department guidelines, and put up to \$55,020 to better use. | \$55,020 |
| Recommendation 11: Embassy Santo Domingo should close out procurement files in accordance with Department standards. | N/A |
| Recommendation 12: Embassy Santo Domingo should comply with Department standards for its contracting officer's representatives. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
|---|-----------------------------|
| Recommendation 13: Embassy Santo Domingo should verify and document the monitoring and evaluation of its contracts in accordance with Department guidance. | N/A |
| Recommendation 14: Embassy Santo Domingo should comply with all Department Overseas Motor Vehicle Safety Management Program requirements. | N/A |
| Recommendation 15: Embassy Santo Domingo, in coordination with the Bureau of Administration, should implement personal property management internal controls in accordance with Department standards. | N/A |
| <i>Inspection of Embassy Port-au-Prince, Haiti</i> (ISP-I-19-18, 6/2019) | |
| Recommendation 1: Embassy Port-au-Prince should conduct project and program evaluations in accordance with Department guidance. | N/A |
| Recommendation 6: Embassy Port-au-Prince should bring the public diplomacy grants program into compliance with Department standards. | N/A |
| Recommendation 17: Embassy Port-au-Prince should close out procurement files in accordance with Department standards. | N/A |
| Recommendation 26: Embassy Port-au-Prince should clear overdue travel advances in accordance with Department guidelines, and put up to \$146,557 to better use. | \$146,557 |
| <i>Inspection of Embassy Libreville, Gabon</i> (ISP-I-19-16, 6/2019) | |
| Recommendation 7: The Bureau of African Affairs should require the Ambassador and the Deputy Chief of Mission to comply with Department guidelines for providing guidance to the American employees they supervise. | N/A |
| Recommendation 8: The Bureau of African Affairs should follow Department guidelines to seek authorization to establish an office in São Tomé and Príncipe. | N/A |
| Recommendation 12: Embassy Libreville should verify and document that grant recipients were eligible to receive \$272,600 in foreign assistance funds and that the funds were used for the intended purpose. If the recipients are deemed ineligible or funds were not used for the intended purpose, Embassy Libreville should recover the funds in accordance with the grant agreements. | \$272,600 |
| Recommendation 16: Embassy Libreville should update its consular internet pages to ensure the information complies with Department standards. | N/A |
| <i>Inspection of the Office of Foreign Missions</i> (ISP-I-19-21, 5/2019) | |
| Recommendation 3: The Bureau of Human Resources, in coordination with the Office of Foreign Missions, should conduct an organizational assessment of the Office of Foreign Missions and implement any recommendations resulting from the assessment. | N/A |
| <i>Inspection of Embassy Bogota, Colombia</i> (ISP-I-19-14, 4/2019) | |
| Recommendation 4: Embassy Bogota should comply with Department standards for the use of public diplomacy funds. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
|---|-----------------------------|
| Recommendation 13: Embassy Bogota should complete its fleet reports in accordance with Department standards. | N/A |
| Recommendation 14: Embassy Bogota should comply with applicable Department overseas motor vehicle safety requirements for chauffeurs and incidental drivers under chief of mission authority. | N/A |
| Recommendation 25: Embassy Bogota should clear overdue travel advances in accordance with Department guidelines and put funds up to \$1,451,820 to better use. | \$1,451,820 |
| Recommendation 28: Embassy Bogota, in coordination with the Bureau of Overseas Buildings Operations, should implement an action plan to resolve the mission's fire protection deficiencies and bring the program into full compliance with Department standards. | N/A |
| Recommendation 29: Embassy Bogota should remove the KACTUS database from the dedicated internet network and conduct a risk assessment based on the National Institute of Standards and Technology's Risk Management Framework. | N/A |
| Recommendation 30: Embassy Bogota, in coordination with the Bureau of Western Hemisphere Affairs, should relocate the telecommunications demarcation point outside the limited access communications rooms. | N/A |
| Recommendation 35: Embassy Bogota should inventory its databases and submit appropriate security documentation for databases containing personally identifiable information to the Bureau of Information Resource Management for an authorization decision. | N/A |
| Recommendation 38: Embassy Bogota should conduct initial and annual refresher information technology contingency training for employees with information technology contingency planning responsibilities. | N/A |
| Recommendation 39: Embassy Bogota should test the information technology contingency plans for unclassified and classified networks in accordance with Department standards. | N/A |
| <i>Inspection of Embassy Koror, Republic of Palau</i> (ISP-I-19-06, 2/2019) | |
| Recommendation 1: Embassy Koror should implement a standard operating procedure for conducting supervisory reviews of nonimmigrant visa adjudications in accordance with Department standards. | N/A |
| Recommendation 2: Embassy Koror should take actions to prepare for a consular crisis according to Department guidance. | N/A |
| Recommendation 3: Embassy Koror should assess and test its warden system in accordance with Department standards. | N/A |
| Recommendation 9: Embassy Koror, in coordination with the Bureau of Administration, should request authorization to maintain the additional vehicles or dispose of three vehicles according to Department guidelines and put proceeds of sale to better use. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
|--|-----------------------------|
| Recommendation 11: Embassy Koror, in coordination with Embassy Manila, should review all unliquidated obligations, deobligate any funds that are no longer needed, and put up to \$823,547 to better use. | \$823,547 |
| Recommendation 13: Embassy Koror, in coordination with Embassy Manila, should update and conduct annual information technology contingency plan testing of the unclassified and classified networks in accordance with Department standards. | N/A |
| Recommendation 21: Embassy Koror, in coordination with Embassy Manila, should implement standard operating procedures for managing its unclassified networks. | N/A |
| <i>Inspection of Embassy Kolonia, Federated States of Micronesia</i> (ISP-I-19-05, 2/2019) | |
| Recommendation 9: Embassy Kolonia, in coordination with Embassy Manila, should review \$707,000 in unliquidated obligations and deobligate any funds that are no longer needed. | \$707,000 |
| Recommendation 11: Embassy Kolonia should complete all overdue employee performance reports in accordance with Department standards. | N/A |
| <i>Inspection of Embassy New Delhi and Constituent Posts, India</i> (ISP-I-19-10, 12/2018) | |
| Recommendation 3: Embassy New Delhi, in coordination with the Bureau of Counterterrorism and Countering Violent Extremism and the Bureau of South and Central Asian Affairs, should prepare a position description for the regional counterterrorism coordinator position, number 10262001, that contains an accurate statement of responsibilities. | N/A |
| Recommendation 4: The Office of Policy, Planning, and Resources for Public Diplomacy and Public Affairs, in coordination with Embassy New Delhi and the Bureau of South and Central Asian Affairs, should update all public diplomacy position descriptions by implementing the Public Diplomacy Locally Employed Staff Initiative at Mission India in FY 2019. | N/A |
| Recommendation 12: Embassy New Delhi should reconcile transactions in the Suspense Deposit Abroad account in accordance with Department guidelines, and put funds of \$65,772 to better use. | \$65,772 |
| Recommendation 13: Embassy New Delhi should clear overdue travel advances in accordance with Department guidelines, and put funds up to \$52,385 to better use. | \$52,385 |
| Recommendation 25: Embassy New Delhi, in coordination with the Bureau of Overseas Buildings Operations, should implement an action plan to resolve the mission's safety, health, and environmental management deficiencies and bring the program into full compliance with Department standards. | N/A |
| Recommendation 29: Embassy New Delhi should bring its method and procedures for procuring fuel from the American Community Support Association into compliance with the Federal Acquisition Regulation. | N/A |
| Recommendation 35: Embassy New Delhi should implement a detailed plan that includes a cost-benefit analysis to consolidate its two print and graphics operations. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
|--|-----------------------------|
| <i>Inspection of Embassy Banjul, The Gambia</i> (ISP-I-19-04, 11/2018) | |
| Recommendation 2: The Bureau of Overseas Buildings Operations, in coordination with Embassy Banjul and the Bureau of Consular Affairs, should renovate Embassy Banjul's Consular Section to comply with Department standards. | N/A |
| Recommendation 5: Embassy Banjul, in coordination with the Bureau of the Comptroller and Global Financial Services, should collect outstanding salary advances of \$2,000 due from former employees and put those funds to better use. | \$2,000 |
| <i>Inspection of the Bureau of Democracy, Human Rights, and Labor's Foreign Assistance Program Management</i> (ISP-I-19-12, 10/2018) | |
| Recommendation 3: The Bureau of Democracy, Human Rights, and Labor, in coordination with the Bureau of Administration, should finalize a service level agreement clarifying the Bureau of Administration's responsibilities for grants support. | N/A |
| Recommendation 5: The Bureau of Democracy, Human Rights, and Labor should modify its grants processes to accurately record expenditures in the Department's financial system. | N/A |
| Recommendation 6: The Bureau of Democracy, Human Rights, and Labor, in coordination with the Bureau of the Comptroller and Global Financial Services and the Office of the Legal Adviser, should determine whether grants payment irregularities identified for award number S-LMAQM-17-CA-1232 constitute a violation of the Anti-Deficiency Act and, if so, report the violation. | N/A |
| <i>Inspection of Embassy Nairobi, Kenya</i> (ISP-I-19-08, 10/2018) | |
| Recommendation 10: Embassy Nairobi should clear its electronic filing backlog in accordance with Department guidelines. | N/A |
| Recommendation 16: Embassy Nairobi should conduct a utilization survey and sell or dispose of excess inventory in accordance with Department standards, and put up to \$14 million to better use. | \$14,000,000 |
| Recommendation 23: Embassy Nairobi should review all unliquidated obligations with no activity for over one year, deobligate those that are no longer valid in accordance with Department standards, and put up to \$1.7 million to better use. | \$1,700,000 |
| <i>Inspection of Embassy Lisbon and Consulate Ponta Delgada, Portugal</i> (ISP-I-18-22, 5/2018) | |
| Recommendation 3: The Bureau of Human Resources should respond to Embassy Lisbon's request for proposed changes to the local compensation plan. | N/A |
| <i>Inspection of Embassy Georgetown, Guyana</i> (ISP-I-18-19, 5/2018) | |
| Recommendation 23: Embassy Georgetown should vacate the U.S. Government-owned warehouse and notify the Bureau of Overseas Buildings Operations so it can be sold. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
|---|-----------------------------|
| <i>Inspection of Embassy Addis Ababa, Ethiopia</i> (ISP-I-18-18, 5/2018) | |
| Recommendation 11: Embassy Addis Ababa, in coordination with the Bureau of Administration, should implement property management internal controls, in accordance with Department standards. | N/A |
| Recommendation 12: Embassy Addis Ababa should implement a real property management program that is fully compliant with Department requirements. | N/A |
| Recommendation 19: The Bureau of Overseas Buildings Operations, in coordination with Embassy Addis Ababa, should implement a plan to address the embassy's safety, health, and environmental management deficiencies. | N/A |
| Recommendation 21: Embassy Addis Ababa, in coordination with the Bureau of African Affairs, should conduct a detailed and thorough review of locally employed staff position descriptions. | N/A |
| Recommendation 22: Embassy Addis Ababa, in coordination with the Bureau of Human Resources, should update and translate its Local Employee Handbook in accordance with Department guidance. | N/A |
| Recommendation 29: Embassy Addis Ababa should stop managing personal internet service for embassy employees and collect \$99,324 from employees who had internet service at their residences that was paid by the embassy in FY 2017 and put those funds to better use. | \$99,324 |
| <i>Inspection of Embassy Riyadh and Constituent Posts, Saudi Arabia</i> (ISP-I-18-17, 5/2018) | |
| Recommendation 16: Embassy Riyadh, in coordination with the Bureau of the Comptroller and Global Financial Services, should implement procedures to require U.S. direct-hire employees to comply with Department of State Standard Regulation 532 a)2) and collect overpayments made in cases of non-compliance. | N/A |
| Recommendation 18: Embassy Riyadh, in coordination with the Bureau of Near Eastern Affairs, and the Bureau of the Comptroller and Global Financial Services, should reprogram at least one program-funded information management position to an International Cooperative Administrative Support Services-funded position to realize funds put to better use of up to \$153,480. | \$153,480 |
| <i>Inspection of Embassy Guatemala City, Guatemala</i> (ISP-I-18-16, 5/2018) | |
| Recommendation 9: Embassy Guatemala City, in coordination with the Bureau of Human Resources, should complete updates to the local compensation plan. | N/A |
| Recommendation 11: Embassy Guatemala City, in coordination with the Bureau of Overseas Buildings Operations, should perform seismic evaluations of its residential properties in accordance with Department standards. | N/A |
| Recommendation 17: Embassy Guatemala City should inventory, secure, monitor, and register its dedicated internet networks with the Bureau of Information Resource Management. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
|--|-----------------------------|
| Recommendation 18: Embassy Guatemala City should conduct an assessment of the Bureau of International Narcotics and Law Enforcement Affairs' wireless dedicated internet network based on the National Institute of Standards and Technology Risk Management Framework and implement appropriate controls to protect the information stored on the network. | N/A |
| Recommendation 19: Embassy Guatemala City should manage its classified and unclassified Active Directory groups in accordance with Department standards. | N/A |
| Recommendation 20: Embassy Guatemala City should implement standard operating procedures for managing its classified and unclassified networks. | N/A |
| Recommendation 21: Embassy Guatemala City should conduct annual tests of the information technology contingency plans for unclassified and classified networks in accordance with Department standards. | N/A |
| Recommendation 22: Embassy Guatemala City should implement a plan for conducting initial and annual refresher information technology contingency training for employees with information technology contingency planning responsibilities. | N/A |
| <i>Inspection of the Bureau of Information Resource Management's Office of Governance, Resource, and Performance Management</i> (ISP-I-18-15, 4/2018) | |
| Recommendation 2: The Bureau of Information Resource Management, in coordination with the Bureau of Human Resources, should update all employee-supervisor assignments to reflect current roles and responsibilities within the Office of Governance, Resource, and Performance Management. | N/A |
| Recommendation 8: The Bureau of Information Resource Management should implement a tool to centrally track information technology software acquisitions Department-wide. | N/A |
| Recommendation 10: The Bureau of Information Resource Management should implement procedures to ensure regularly scheduled reviews and updates to the Department's information technology management policies and procedures in Volume 5 of the Foreign Affairs Manual and its associated Foreign Affairs Handbooks. | N/A |
| Recommendation 11: The Bureau of Information Resource Management should revise and promulgate the bureau process for timely handling of responses to U.S. Government Accountability Office recommendations. | N/A |
| Recommendation 12: The Bureau of Information Resource Management should update all Department guidance to reflect the Office of Governance, Resource, and Performance Management's responsibility for the Information Technology Configuration Control Board. | N/A |
| <i>Inspection of Embassy Djibouti, Djibouti</i> (ISP-I-18-14, 4/2018) | |
| Recommendation 8: Embassy Djibouti should implement a comprehensive residential fuel delivery program that complies with Department standards. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
|--|-----------------------------|
| Recommendation 14: Embassy Djibouti, in coordination with Bureau of African Affairs, should implement a comprehensive program for updating locally employed staff position descriptions in accordance with Department standards. | N/A |
| Recommendation 21: Embassy Djibouti, in coordination with the Bureau of Overseas Buildings Operations, should train its local staff in preventive maintenance or establish appropriate preventive maintenance contracts. | N/A |
| Recommendation 22: Embassy Djibouti, in coordination with the Bureau of Overseas Buildings Operations, should establish and implement a plan to appropriately store flammable materials. | N/A |
| Recommendation 25: Embassy Djibouti should conduct annual information technology contingency plan testing of the unclassified and classified networks in accordance with Department standards. | N/A |
| <i>Inspection of Embassy Beijing and Constituent Posts, China</i> (ISP-I-18-04, 12/2017) | |
| Recommendation 11: Embassy Beijing, in coordination with the Bureau of Overseas Buildings Operations and the Bureau of Consular Affairs, should provide a wheelchair-accessible interview window for consular applicants at Consulate General Chengdu. | N/A |
| Recommendation 12: Embassy Beijing, in coordination with the Bureau of Overseas Buildings Operations and the Bureau of Consular Affairs, should provide a privacy booth in the consular waiting room at Consulate General Chengdu. | N/A |
| <i>Inspection of Consulate General Hong Kong, China</i> (ISP-I-18-06, 11/2017) | |
| Recommendation 9: The Bureau of East Asian and Pacific Affairs, in coordination with Consulate General Hong Kong and the Bureau of Human Resources, should determine the number and levels for language designated positions at Consulate General Hong Kong in accordance with Department standards, and put up to \$2 million to better use. | \$2,000,000 |
| <i>Compliance Follow-up Review: Department of State Has Not Implemented Recommendations Pertaining to Official Residence Expense Staff Salaries</i> (ISP-C-17-32, 8/2017) | |
| Recommendation 1: The Bureau of the Comptroller and Global Financial Services, in coordination with the Bureau of Human Resources, should issue consistent guidance to overseas missions on the proper procedures for paying Official Residence Expense staff salaries within 30 days of the issuance of this report. | N/A |
| Recommendation 2: The Bureau of the Comptroller and Global Financial Services, in coordination with the Bureau of Human Resources, should revise and reissue consistent Foreign Affairs Manual and Foreign Affairs Handbook guidance on paying Official Residence Expense staff salaries within 6 months of the issuance of this report. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
|--|-----------------------------|
| <i>Inconsistent Guidance Governing Property Controls Over Mobile Devices Left Department at Risk of Wasteful Spending</i> (ISP-17-31, 8/2017) | |
| Recommendation 1: The Bureau of Administration should publish specific, clear and consistent guidance and procedures for the management, inventory, and tracking of smart phones and similar mobile devices. | N/A |
| <i>Capital Security Cost Sharing Program: Inconsistent Criteria for Managing Vacant Positions Resulted in Inaccurate Counts</i> (ISP-I-17-30, 8/2017) | |
| Recommendation 1: The Under Secretary for Management, in coordination with the Bureau of Human Resources, should implement consistent criteria for managing vacant positions overseas. | N/A |
| <i>Management Assistance Report: Deficiencies Reported in Cyber Security Assessment Reports Remain Uncorrected</i> (ISP-17-39, 7/2017) | |
| Recommendation 1: The Bureau of Diplomatic Security, in coordination with the Bureau of Information Resource Management and regional bureaus, should require implementation of Cyber Security Assessment report recommendations and establish a process to track and verify that overseas posts comply with those recommendations. | N/A |
| <i>Management Assistance Report: Department Can Take Steps Toward More Effective Executive Direction of Overseas Missions</i> (ISP-17-38, 7/2017) | |
| Recommendation 3: The Director General of the Foreign Service and Director of Human Resources should issue additional Foreign Affairs Manual and Foreign Affairs Handbook guidance requiring all chiefs of mission and deputy chiefs of mission to implement structured First- and Second-Tour employee programs in collaboration with First- and Second-Tour employees at their posts. | N/A |
| <i>Inspection of Embassy Luanda, Angola</i> (ISP-I-17-19, 6/2017) | |
| Recommendation 6: Embassy Luanda, in coordination with the Bureau of Overseas Buildings Operations, should relocate employees to residences that meet Department fire standards. | N/A |
| Recommendation 7: Embassy Luanda should strengthen its controls over residential fuel deliveries in accordance with Department standards to include establishing a receiving clerk to oversee deliveries. | N/A |
| <i>Inspection of Emergency Preparedness at Consulate General Hamilton, Bermuda</i> (ISP-I-17-26, 5/2017) | |
| Recommendation 3: Consulate General Hamilton, in coordination with the Regional Information Management Center in Ft. Lauderdale, should repair or replace the high-frequency radio at its alternate command center. | N/A |
| <i>Inspection of Embassy Tel Aviv, Israel</i> (ISP-I-17-20, 5/2017) | |

| Other Open Recommendations | Potential Monetary Benefits |
|---|-----------------------------|
| Recommendation 18: Embassy Tel Aviv should update all outdated locally employed staff position descriptions. | N/A |
| <i>Inspection of Embassy Monrovia, Liberia</i> (ISP-I-17-12, 5/2017) | |
| Recommendation 16: Embassy Monrovia, in coordination with the Bureau of Human Resources, should update its local employee staff human resources handbook and local compensation plan to reflect the Government of Liberia's labor law. | N/A |

Table D.4**Report Recommendations Without Management Decision by the Department of State for More Than 6 Months, as of 9/30/2020**

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| None |
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Table D.5**Reports Issued in Prior Reporting Period That Did Not Receive Comment Within 60 Days of Issuance, as of 9/30/2020**

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| None |
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Table D.6**Department of State Significant Revised Management Decisions, 4/1/2020–9/30/2020**

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| None |
|------|

Table D.7**Department of State Significant Management Decisions With Which OIG Disagreed,
4/1/2020–9/30/2020**

| Office of Audits |
|--|
| <i>Audit of Mission Turkey and Embassy Beirut, Lebanon, Fuel Oversight and Payment Process</i> (AUD-MERO-20-19, 1/2020) |
| <p>OIG recommended that Embassy Beirut, Lebanon, review all invoices submitted by fuel contractors and paid by the embassy from October 1, 2013, through September 30, 2018, for gasoline and diesel fuel contracts (a) to determine whether the \$2.2 million paid against those invoices and identified by OIG as unsupported costs was allowable and (b) to recover any costs determined to be unallowable. In its most recent response, Embassy Beirut disagreed with Recommendation 36 stating that it is unable to concur with this recommendation because a review of historical invoices and supporting documentation would not provide data to determine if the money paid towards those invoices was allowable or not, given that there is no independent way to verify the previous quality and quantity of past fuel delivery. OIG considers this recommendation unresolved. OIG notes that the Embassy's latest response appears to be an exact restatement of the Embassy's January 22, 2020, response to the recommendation in the draft report to which OIG replied that it understands the Embassy's position that there is no independent way to verify the previous quality and quantity of past fuel delivery. However, OIG does not agree that the Embassy's review of historical invoices and supporting documents would not provide data to determine if the money paid towards those invoices was allowable. The recommendation will be considered resolved when Embassy Beirut agrees to determine the allowability of the questioned costs and to recover, to the extent practicable, those costs determined to be unallowable. This recommendation will be closed when OIG receives and accepts documentation demonstrating that Embassy Beirut reviewed all invoices submitted by fuel contractors and paid by the Embassy from October 1, 2013, through September 30, 2018, for gasoline and diesel fuel contracts (a) to determine whether the \$2.2 million paid against those invoices and identified by OIG as unsupported costs was allowable and (b) either recover, to the extent practicable, those costs determined to be unallowable.</p> |
| <i>Audit of the Execution of Security-Related Construction Projects at U.S. Embassy Kabul, Afghanistan</i> (AUD-MERO-19-40, 9/2019) |
| <p>OIG recommended that the Bureau of Diplomatic Security (DS), in coordination with the Bureau of Overseas Buildings Operations (OBO), take steps to develop standardized designs for physical security structures for use at volatile posts in high-threat, high-risk areas around the world. In its most recent response to Recommendation 7, DS stated that it disagrees with this recommendation. DS also stated that it continues to believe there is no longer a need for a country-specific Memorandum of Agreement, and instead believes that OBO can fulfill its statutory role involving the construction of physical security infrastructure, in coordination with DS, which defines security requirements. OIG considers this recommendation to be unresolved because DS has not provided any evidence to support its stated belief or alternative actions to prevent delays and deficiencies in physical security construction projects in Afghanistan. This recommendation will be considered resolved when the Bureau indicates it will take steps to amend the 2015 Memorandum of Agreement Regarding Construction Services for Physical Security Upgrades in Kabul, Afghanistan, to more clearly define roles and responsibilities for physical security construction in Afghanistan with a specific focus on the types and locations of construction projects to be managed by each bureau as well as the Kabul Regional Security Officer in</p> |

Office of Audits

Afghanistan. The recommendation will be closed when OIG receives and accepts documentation demonstrating that the Bureau has acted to fully implement the recommendation.

OIG also recommended that DS, in coordination with OBO, take steps to develop standardized designs for physical security structures for use at volatile posts in high-threat, high-risk areas around the world. In its most recent response to Recommendation 8, DS stated that it agreed external consultations with entities such as the U.S. Army Corps of Engineers are important in the development of options to be employed by the various construction contractors to address threats specific to volatile and kinetic environments; however, the development of standardized designs in such non-permissive, volatile environments do not always lend themselves to rapid and or flexible site adaptation globally. DS also extended an invitation to OIG for a briefing regarding the application of unique security countermeasures and an overview of how the Physical Security Division's research and development program works with the U.S. Army Corps of Engineers and other external entities. OIG considers the recommendation to be unresolved because DS has not agreed to take steps to develop standardized designs for physical security structures for use at volatile posts. OIG has accepted DS's offer for the briefing and provided a point-of-contact and coordinate the meeting. OIG will consider this recommendation to be resolved when DS, in coordination with OBO, has agreed to take steps to develop standardized designs for physical security structures for use at volatile posts in high-threat areas around the world. The recommendation will be closed when OIG receives and accepts documentation demonstrating that DS has acted to fully implement the recommendation.

Table D.8
Department of State Management Success in Implementing Recommendations,
4/1/2020–9/30/2020

Office of Audits

Audit of Selected Bureau of Administration, Office of Operations, Office of Facilities Management Services, Contracts
 (AUD-CGI-20-21, 3/2020)

In response to five recommendations from this report, the Department implemented corrective actions. Specifically, the Bureau of Administration developed and implemented procedures to monitor and verify the completeness, accessibility, retention, and review of Contracting Officer's Representative (COR) files in accordance with Federal Acquisition Regulation and the Foreign Affairs Handbook; developed and implemented guidance that prescribes how a departing COR must transfer required supporting documentation for a task order to a replacement COR; mandated the use of e-filing for all contracts and task orders; required CORs to obtain and verify that supporting documentation submitted with an invoice is accurate and complete; and developed and implemented procedures requiring supervisors of CORs to update work commitments to reflect COR responsibilities.

Office of Audits*Audit of Mission Turkey and Embassy Beirut Fuel Oversight and Payment Process, U.S. Mission Turkey (AUD-MERO-20-19, 1/2020)*

In response to recommendations from this report, U.S. Embassy Ankara and U.S. Consulates General Istanbul and Adana implemented corrective actions to improve the oversight of fuel contractors and ensure compliance with contract terms. Specifically, U.S. Mission Turkey developed and implemented policies and procedures for the following: appointing contracting officer's representatives to oversee fuel contracts, complying with Federal Acquisition Regulation and other Federal requirements and Department guidance for accepting fuel from its contractors, and implementing quality surveillance assurance plans to ensure that contractual requirements have been met. As a result, U.S. Mission Turkey oversight officials can verify the quality and quantity of fuel it receives and that prices comply with contractual terms.

Management Assistance Report: Embassy Vienna, Austria, Should Strengthen Internal Controls Over Motor Vehicle Keys and Fuel Credit Cards (AUD-SI-19-42, 9/2019)

In response to five OIG recommendations from this report, U.S. Embassy Vienna, Austria developed and implemented standard operating procedures and internal controls over vehicle keys and fuel credit cards. Specifically, the Embassy installed two Keywatcher smartkey integrated key and credit card control and management systems, appointed a credit card control officer, and developed and implemented vehicle key and credit card policies and procedures in compliance with Foreign Affairs Manual and Handbook requirements. As a result, the Embassy increased its ability to prevent, or promptly detect, the unauthorized use of official vehicles and reduced the risk of fuel theft and billing inaccuracies or overcharges.

Audit of Monitoring and Evaluating Department of State Foreign Assistance in the Philippines (AUD-MERO-19-39, 9/2019)

In response to recommendations from this report, the Bureau of International Narcotics and Law Enforcement Affairs (INL) implemented corrective actions. These actions included amending its Interagency Agreements (IAA) with the U.S. Coast Guard (USCG) to support Philippines Coast Guard Maritime Law Enforcement Capability Development and the Department of Justice (DOJ) to support Child Protection Compact—Improving the Government of the Philippines' Responses to Online Sexual Exploitation of Children and Child Labor Trafficking. As a result of these actions, INL has been able to (1) better tailor performance measures to USCG IAA objectives and verify that funds are "expended only on activities, services, or materials that contribute to meeting project objectives" and (2) ensure that the DOJ is using Bureau of Counterterrorism and Countering Violent Extremism funds consistently with the terms and conditions of the IAA and Federal appropriations law.

Audit of Cost Management of Embassy Air in Afghanistan and Iraq (AUD-MERO-19-33, 9/2019)

In response to a recommendation from this report, the Department developed and implemented a policy to routinely review and adjust ticket fees for Embassy Air flights. A methodology for such adjustments will be based on demand and operational and overhead costs.

Office of Audits*Management Assistance Report: Modernizing Processes To Maintain Overseas Buildings Operations Commissioning Documentation Is Needed*

(AUD-MERO-19-31, 6/2019)

In response to a recommendation from this report, the Department improved its processes for maintaining commissioning documentation by expanding the capacity of its official repository for completed construction projects to accommodate all historical construction project records, in accordance with requirements.

Management Assistance Report: Department of State Has Not Implemented the Required Value Engineering Program for Contracts Exceeding \$5 Million

(AUD-CGI-18-52, 8/2018)

In response to a recommendation from the 2018 report, the Under Secretary for Management developed and implemented a Department-wide value engineering program, including guidelines, policies, and procedures for the program, in accordance with Office of Management and Budget requirements.

Audit of the Bureau of Diplomatic Security's Administration of the Armored Vehicle Program

(AUD-SI-17-21, 2/2017)

In response to eight recommendations from this report, the Department took corrective actions to improve operation and oversight of its armored vehicle program at U.S. Missions overseas. Among the steps taken, the Bureau of Diplomatic Security developed and implemented: a methodology to determine the recommended number of armored vehicles needed at overseas posts; an action plan to modify or replace vehicles currently in use; and processes to periodically perform an independent validation of the adequacy of each post's fleet size and provide initial and refresher training for proper disposal of armored vehicles. There were also updates to the Foreign Affairs Handbook and associated guidance.

Office of Inspections*Inspection of Embassy Paramaribo, Suriname*

(ISP-I-19-20, 7/2019)

OIG recommended that Embassy Paramaribo implement controls for handling and storage of property in its warehousing program in accordance with Department guidance. In response to the recommendation, Embassy Paramaribo provided additional documentation showing receipt of auction sales, resulting in funds put to better use of \$39,172.

Inspection of Embassy Port-au-Prince, Haiti

(ISP-I-19-18, 6/2019)

OIG recommended that Embassy Port-au-Prince reprogram additional Diplomatic and Consular Program-funded Information Management positions to International Cooperative Administrative Support Services (ICASS)-funded positions in order to put funds of \$81,331 per position to better use. In response to the recommendation, Embassy Port-au-Prince reprogrammed one Information Management Officer position to ICASS, resulting in funds put to better use of \$81,331.

OIG also recommended that Embassy Port-au-Prince complete its vehicle fleet reports in accordance with Department standards. In response to the recommendation, Embassy Port-au-Prince provided additional documentation showing the receipt of sale for six ICASS vehicles, resulting in funds put to better use of \$16,749.

Office of Inspections*Inspection of Embassy Bogota, Columbia*
(ISP-I-19-14, 4/2019)

OIG recommended that Embassy Bogota, in coordination with the Bureau of Western Hemisphere Affairs and the Bureau of the Comptroller and Global Financial Services, reprogram additional Diplomatic and Consular Program-funded Information Management positions to International Cooperative Administrative Support Services-funded positions in order to put funds of \$81,331 per position to better use. In response to the recommendation, Embassy Bogota provided documentation reporting that one Information Management Officer position was reprogrammed to ICASS, resulting in funds put to better use of \$81,331.

OIG also recommended that Embassy Bogota reconcile transactions in the Suspense Deposit Abroad account in accordance with Department guidelines and put \$39,957 to better use. In response to the recommendation, Embassy Bogota provided documentation showing the two pending Suspense Deposit Abroad transactions were cleared, resulting in funds put to better use of \$39,957.

Inspection of Embassy Riyadh, Saudi Arabia
(ISP-I-18-17, 5/2018)

OIG recommended that Embassy Riyadh, in coordination with the Bureau of Human Resources, determine the per-employee cost of the homeward passage annual benefit and pay it to eligible employees through the payroll system to realize funds put to better use of \$361,773. In response to the recommendation, Embassy Riyadh provided documentation that it has issued a management policy on the homeward passage annual benefit and the first payout was in January 2020, resulting in funds to better use of \$361,773 over 3 years.

Inspection of Embassy Djibouti, Djibouti
(ISP-I-18-14, 4/2018)

OIG recommended that Embassy Djibouti in coordination with the Bureau of Administration and the Bureau of African Affairs (AF), implement a program to bring the embassy's property program into full compliance with Department standards. In response to the recommendation, Embassy Djibouti provided additional documentation showing receipt of auction sales, resulting in funds put to better use of \$115,334.

Inspection of the Bureau of African Affairs' Foreign Assistance Program Management
(ISP-I-18-02, 10/2017)

OIG recommended that the Bureau of African Affairs identify duplicative and fragmented administrative functions related to monitoring and evaluation, invoice reviews, and procurement, and consolidate functions to improve program efficiency. In response to the recommendation, AF consolidated its monitoring and evaluation contracts to allow for country-wide monitoring and evaluation approaches for security assistance programs, resulting in funds put to better use of \$6.5 million over a 4-year period.

Inspection of the Bureau of Consular Affairs, Office of Consular Systems and Technology
(ISP-I-17-04, 12/2016)

OIG recommended that the Bureau of Consular Affairs direct the Office of Consular Technology to review the \$18.54 million of unliquidated obligations for contracts that require close out and document justifications of remaining prior year balances. In response to the recommendation, CA provided documentation that showed its review of unliquidated obligations that resulted in funds put to better use of \$18,398,025.

Office of Inspections*Inspection of Embassy Tel Aviv, Israel*
(ISP-I-17-20, 5/2016)

OIG recommended that Embassy Tel Aviv should sell the Hassadot property and put the \$8 million in estimated sales proceeds to better use. In response to the recommendation, Embassy Tel Aviv provided documentation showing receipt of sale and transfer of property to buyer, resulting in funds put to better use of \$6,508,343.

APPENDIX E: U.S. AGENCY FOR GLOBAL MEDIA COMPLIANCE

Tables E.1 through E.6 report the status of open Office of Inspector General (OIG) recommendations to the U.S. Agency for Global Media (USAGM) as of September 30, 2020. Prior to August 22, 2018, USAGM was known as the Broadcasting Board of Governors.

OIG Compliance Lexicon

| Open |
|--|
| <p>Unresolved: No agreement between OIG and management on the recommendation or proposed corrective action.</p> <p>Resolved: Agreement on the recommendation and proposed corrective action but implementation has not been completed.</p> |
| Closed |
| <p>Agreed-upon corrective action is complete.</p> |

Table E.1
Open Office of Audits Recommendations Issued in Previous Periods, Pending Final U.S. Agency for Global Media Action, as of 9/30/2020

| Significant Open Recommendations | Potential Monetary Benefits |
|--|-----------------------------|
| <i>Management Assistance Report: Broadcasting Board of Governors Incident Response and Reporting (AUD-IT-IB-16-25, 1/2016)</i> | |
| Recommendation 1: OIG recommends that the Broadcasting Board of Governors Office of Technology, Services, and Innovation amend and implement the Computer Security Incident Response Policy and the Computer Security Incident Response Procedure to reflect all elements of an effective incident response and reporting program in accordance with National Institute of Standards and Technology Special Publication 800-61, Revision 2. | N/A |
| Other Open Recommendations | Potential Monetary Benefits |
| <i>Audit of the U.S. Agency for Global Media's FY 2019 Implementation of the Digital Accountability and Transparency Act of 2014 (AUD-FM-IB-20-10, 12/2019)</i> | |
| Recommendation 1: OIG recommends that the U.S. Agency for Global Media develop and implement a methodology for recording estimated accounts payable amounts using a Budget Object Classification code that complies with guidance in Office of Management and Budget Circular A-11, § 83. | N/A |

| Other Open Recommendations | Potential Monetary Benefits |
|--|-----------------------------|
| Recommendation 4: OIG recommends that the U.S. Agency for Global Media revise its Data Quality Plan (DQP) to more thoroughly document items required by Office of Management and Budget's Circular A-123, Appendix A. At a minimum, the revised DQP should provide details of the testing plan (which elements are tested and how often the testing will occur), details of the results of testing (errors identified for individual data elements), information on data elements that are at a higher risk of being reported incorrectly, and actions that are needed and have been taken to address the risk of misreported data. | N/A |
| <i>Management Assistance Report: The Broadcasting Board of Governors Did Not Fully Address Invalid Unliquidated Obligations Identified During the FY 2016 Financial Statements Audit</i> (AUD-FM-IB-18-28, 2/2018) | |
| Recommendation 1: OIG recommends that the Broadcasting Board of Governors develop and implement annual training for allotment holders emphasizing their responsibility to monitor and deobligate invalid unliquidated obligations, as prescribed in the Broadcasting Administrative Manual. | N/A |
| <i>Audit of the Broadcasting Board of Governors Implementation of the Digital Accountability and Transparency Act of 2014</i> (AUD-FM-IB-18-04, 11/2017) | |
| Recommendation 1: OIG recommends that the Broadcasting Board of Governors improve guidance and procedures in the Broadcasting Administrative Manual for Contracting Officers related to entering accurate and complete procurement award transaction data into the Federal Procurement Data System–Next Generation. | N/A |
| <i>Audit of Radio Free Asia Expenditures</i> (AUD-FM-IB-15-24, 6/2015) | |
| Recommendation 21: OIG recommends that the Broadcasting Board of Governors (BBG) work collaboratively with Radio Free Asia (RFA) to perform a comparability study of RFA salaries and benefits and determine whether the salaries and benefits offered by RFA violate the requirements of the grant agreement. If they do, BBG should direct RFA to bring salaries and benefits into compliance with the grant agreement. | N/A |

Table E.2
Open Office of Inspections Recommendations Issued in Previous Periods, Pending Final U.S. Agency for Global Media Action, as of 9/30/2020

| Significant Open Recommendations | Potential Monetary Benefits |
|---|-----------------------------|
| None | |
| Other Open Recommendations | Potential Monetary Benefits |
| <i>Inspection of Embassy Libreville, Gabon</i> (ISP-I-19-16, 6/2019) | |
| Recommendation 9: U.S. Agency for Global Media, in coordination with Embassy Libreville and the Bureau of Overseas Buildings Operations, should improve the perimeter fence around the transmitting station in São Tomé. | N/A |
| <i>Targeted Inspection of the Governance of the United States Agency for Global Media</i> (ISP-IB-19-22, 4/2019) | |
| Recommendation 3: The U.S. Agency for Global Media should update policies and procedures in its Broadcasting Administrative Manual. | N/A |
| Recommendation 4: The U.S. Agency for Global Media should enforce its personnel policy for timely completion of annual performance reviews. | N/A |
| <i>Inspection of Radio Free Europe/Radio Liberty</i> (ISP-IB-17-21, 5/2017) | |
| Recommendation 6: The Broadcasting Board of Governors should revise its grant agreement with Radio Free Europe/Radio Liberty to include specific requirements for security policies. | N/A |
| Recommendation 7: The International Broadcasting Bureau, in coordination with Radio Free Europe/Radio Liberty, should establish a written protocol on background investigations to comply with the grant agreement. | N/A |
| <i>Inspection of the Broadcasting Board of Governors' Middle East Broadcasting Networks</i> (ISP-IB-17-09, 2/2017) | |
| Recommendation 2: The International Broadcasting Bureau Office of Chief Financial Officer should implement an action plan to close out expired Middle East Broadcasting Networks grants. | N/A |
| Recommendation 8: The International Broadcasting Bureau Office of Security, in coordination with the Middle East Broadcasting Networks, should establish a written protocol to comply with Article X of the grant agreement. | N/A |

Table E.3**Report Recommendations Without Management Decision by the U.S. Agency for Global Media for More Than 6 Months, as of 9/30/2020**

| |
|------|
| None |
|------|

Table E.4**Reports Issued in Prior Reporting Period That Did Not Receive Comment Within 60 Days of Issuance, as of 9/30/2020**

| |
|------|
| None |
|------|

Table E.5**U.S. Agency for Global Media Significant Revised Management Decisions, 4/1/2020–9/30/2020**

| |
|------|
| None |
|------|

Table E.6**U.S. Agency for Global Media Significant Management Decisions With Which OIG Disagreed, 4/1/2020–9/30/2020**

| |
|------|
| None |
|------|

APPENDIX F: ABBREVIATIONS

| Abbreviation | Full Name |
|--------------|---|
| ACE | Office of the Coordinator of U.S. Assistance to Europe and Eurasia |
| AQM | Office of Acquisitions Management |
| CCB | Configuration Control Board |
| CEO | Chief Executive Officer |
| CIGIE | Council of the Inspectors General on Integrity and Efficiency |
| CO | Contracting Officer |
| COP | country operational plan |
| COR | Contracting Officer's Representative |
| CT | Bureau of Counterterrorism and Countering Violent Extremism |
| CVE | counter violent extremism |
| DATA Act | Digital Accountability and Transparency Act of 2014 |
| DCAA | Defense Contract Audit Agency |
| DS | Bureau of Diplomatic Security |
| EDC | Explosive Detection Canine |
| FMS | Bureau of Administration, Office of Operations, Office of Facilities Management |
| FSI | Foreign Service Institute |
| FTR | Federal Travel Regulation |
| GONE Act | Grants Oversight and New Efficiency Act |
| INL | Bureau of International Narcotics and Law Enforcement Affairs |
| IO | Bureau of International Organization Affairs |
| ISIS | Islamic State of Iraq and Syria |
| J/TIP | Office to Monitor and Combat Trafficking in Persons |
| NEA | Bureau of Near Eastern Affairs |
| OBO | Bureau of Overseas Buildings Operations |
| OCO | overseas contingency operation |
| OIG | Office of Inspector General |
| OMB | Office of Management and Budget |
| OPM | Office of Personnel Management |
| PEPFAR | President's Emergency Plan for AIDS Relief |
| PSC | personal services contractor |
| TPS | Office of Training and Performance Standards |
| USAGM | U.S. Agency for Global Media |
| USIBWC | International Boundary and Water Commission, United States and Mexico, U.S. |
| WHA | Bureau of Western Hemisphere Affairs |

APPENDIX G: INDEX OF REPORTING REQUIREMENTS UNDER THE INSPECTOR GENERAL ACT OF 1978

| Provision | Description | Page |
|-----------------------|---|--------------------------|
| Section 5(a)(1) | Summary of significant problems, abuses, and | 11-37, 46-48 |
| Section 5(a)(2) | Significant recommendations for corrective action | 11-22, 24-30, 46-47 |
| Section 5(a)(3) | Prior significant recommendations unimplemented | 59-69, 90-91, 93-94, 115 |
| Section 5(a)(4) | Matters referred to prosecutive authorities | 32 |
| Section 5(a)(5) | Interference with independence, or information or assistance refused | 8 |
| Section 5(a)(6) | List of reports issued | 54-57 |
| Section 5(a)(7) | Summaries of significant reports | 11-22, 24-30, 46-47 |
| Section 5(a)(8) | Reports with questioned costs | 39 |
| Section 5(a)(9) | Reports with funds put to better use | 40, 50 |
| Section 5(a)(10)(A) | Prior reports without management decision | 108, 118 |
| Section 5(a)(10)(B) | Prior reports with no agency comment | 108, 118 |
| Section 5(a)(10)(C) | Prior recommendations unimplemented | 59-107, 115-117 |
| Section 5(a)(11) | Significant revised management decisions | 108, 118 |
| Section 5(a)(12) | Significant management decisions with which OIG disagreed | 109-110, 118 |
| Section 5(a)(13) | Federal Financial Management Improvement Act information | N/A |
| Section 5(a)(14) | Peer review results | 58 |
| Section 5(a)(15)-(16) | Status of peer review recommendations | 58 |
| Section 5(a)(17)(A) | Investigative reports issued | 32 |
| Section 5(a)(17)(B) | U.S. Department of Justice referrals | 32 |
| Section 5(a)(17)(C) | State and local prosecuting authority referrals | 32 |
| Section 5(a)(17)(D) | Indictments and informations as a result of prior referrals | 32 |
| Section 5(a)(18) | Metrics used for developing Section 5(a)(17) data | 32 |
| Section 5(a)(19) | Investigations involving senior Government employees | 23, 34, 48 |
| Section 5(a)(20) | Instances of whistleblower retaliation | 4 |
| Section 5(a)(21)(A) | Budgetary constraints interfering with OIG | 8 |
| Section 5(a)(21)(B) | Instances of restricted or delayed access | 8 |
| Section 5(a)(22)(A) | Closed reports not disclosed to the public | 8 |
| Section 5(a)(22)(B) | Investigations of senior Government employees not disclosed to the public | 34, 48 |