



Office of Inspector General
United States Department of State

SEMIANNUAL REPORT TO THE CONGRESS

October 1, 2020, to March 31, 2021





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,
10/1/2020–3/31/2021**

	Issued during the reporting period	Management decision during the reporting period
Questioned Costs	\$0	\$23,297,456
Funds To Be Put to Better Use	\$7,000,000	\$22,291,821
Investigative Monetary Results	\$9,088,612	\$0
Total	\$16,088,612	\$45,589,277
<i>Additional monetary benefits achieved this period as a result of prior OIG recommendations</i>		\$3,934,962

Investigative Activities

Cases Opened	23
Cases Closed	26
Criminal Actions (arrests, indictments, convictions)	21
Civil Actions	2
Administrative Actions	11
Hotline Complaints Received	892

Reports

Office of Audits	24
Office of Evaluations and Special Projects	1
Office of Enterprise Risk Management	2
Office of the Executive Director	3
Office of Inspections	15
Overseas Contingency Operations Oversight ^a	7
Total	52

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



MESSAGE FROM THE ACTING INSPECTOR GENERAL



Diana R. Shaw

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), the U.S. Agency for Global Media (USAGM), and the International Boundary and Water Commission, United States and Mexico, U.S. Section (IBWC) from October 1, 2020, to March 31, 2021. OIG is responsible for the oversight of more than \$76 billion in Department and USAGM programs and operations.

It is important to note that, due to the effects of the Coronavirus Disease 2019 (COVID-19) pandemic, both the Department and OIG have had to alter work plans during this reporting period. Virtual interviews have often taken the place of in-person interviews, and our audit and inspection teams' schedules have also been altered. Nevertheless, we issued a total of 52 reports to improve the programs and operations of the Department and USAGM and identified approximately \$7 million in funds to be put to better use.

We assess progress primarily through our compliance process, which relates to individual and often targeted recommendations. During this reporting period, we closed 259 recommendations associated with 91 reports. Of the 259 recommendations, 46 were significant and demonstrated implementation of crucial corrective actions by the Department, IBWC, and USAGM.

Our investigative activities led to an additional \$9 million in monetary results and 3 debarments. In addition, OIG participated in investigations that led to 4 arrests, 5 indictments, and 12 convictions.

Much of our work this reporting period focused on the top management and performance challenges facing the Department and USAGM, which are outlined in the *Inspector General Statement on the Department of State's Major Management and Performance Challenges* and the *Inspector General Statement on the U.S. Agency for Global Media's Major Management and Performance Challenges*.

We have also addressed discrete but significant issues that have affected certain programs and Department entities.

Our public reports and many of our investigations are summarized 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 in black ink that reads "Diana R. Shaw". The signature is written in a cursive style with a large, looped initial 'D'.

Diana R. Shaw
Acting Inspector General
March 31, 2021

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

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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.

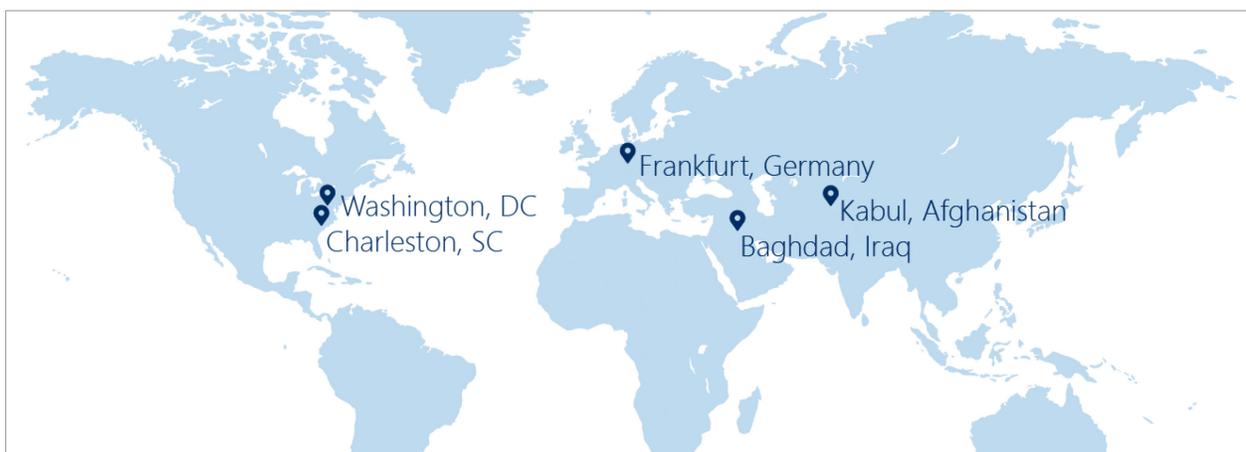
OIG's mandate is broad and comprehensive, involving oversight of the full scope of Department and USAGM programs and operations, as well as the U.S. Section of the International Boundary and Water Commission, United States and Mexico, and of the International Joint Commission, United States and Canada. OIG is responsible for overseeing more than \$76 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 (OCO), including the designation of a Lead Inspector General for each OCO.

As of March 31, 2021, Acting Inspector General Shaw was the Associate Inspector General for two OCOs: Operation Inherent Resolve to degrade and defeat the Islamic State of Iraq and Syria (ISIS) and 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.

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.

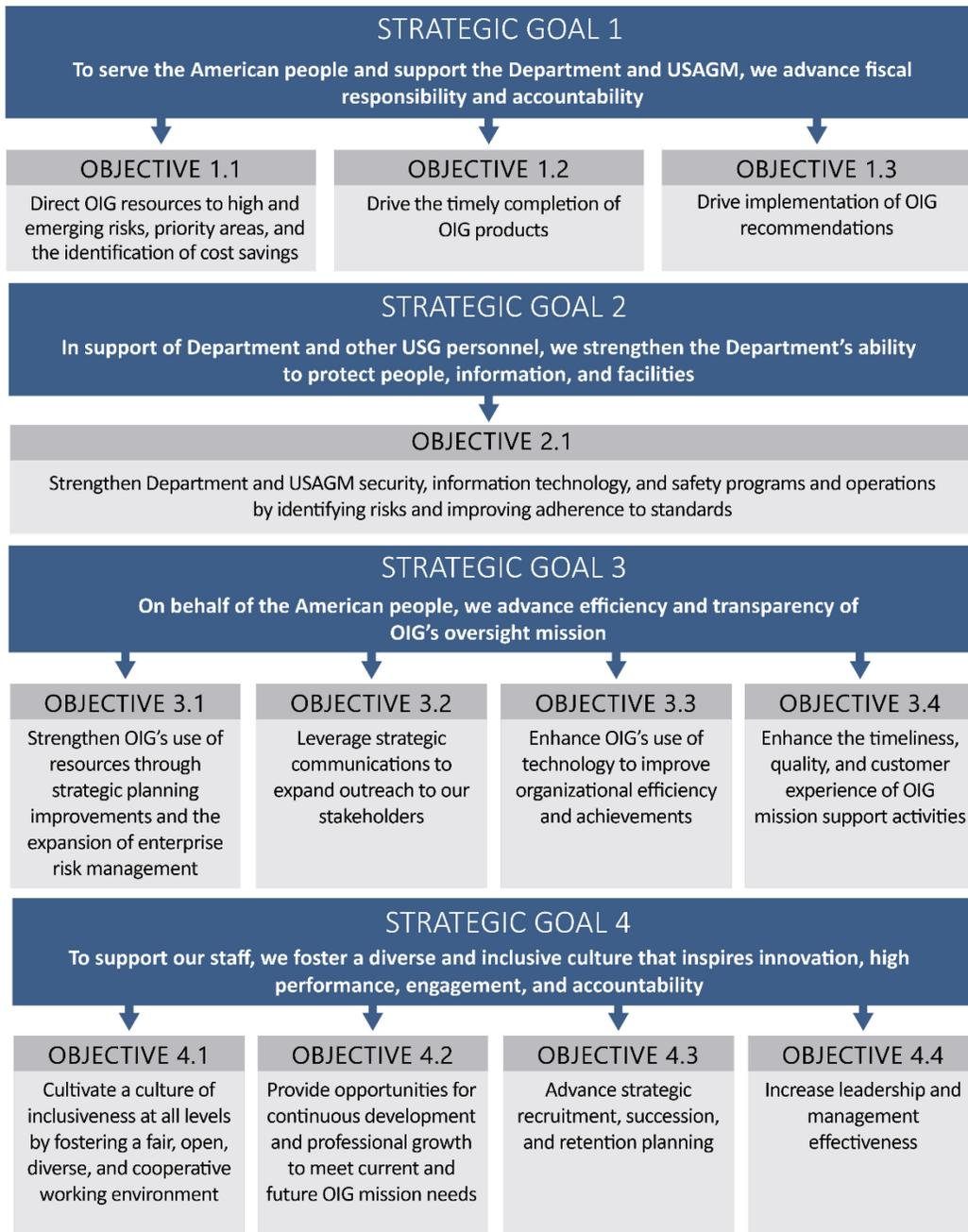
Figure 1.1
OIG Office Locations



OIG Strategic Plan

OIG’s fiscal year (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 members 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.

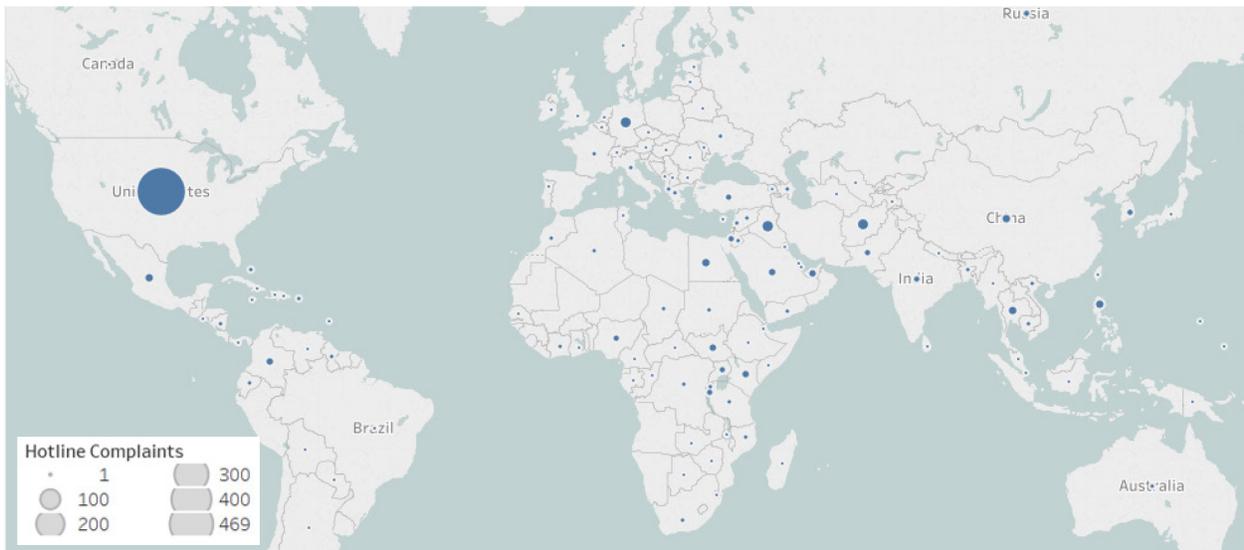
Table 2.1
OIG Hotline Complaints,
10/1/2020–3/31/2021

Referred to External Agencies or Other Offices Within OIG for Action	495
Held for Action Within OIG	19
No Action Required*	378
Total Complaints Received	892

*No action required Hotlines include, for instance, anonymous complaints that are not within OIG’s oversight purview or complaints that are incomplete and do not provide sufficient information on which OIG can take action.

Figure 2.1 highlights the OIG Hotline’s global reach. Of the 892 complaints received this reporting period, 423 (47 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, 10/1/2020–3/31/2021



Source: Office of Investigations electronic case management system.

Whistleblower Protection Coordinator Activities

The OIG Assistant Inspector General for Evaluations and Special Projects serves as the whistleblower protection coordinator and 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.

Department of State

During this reporting period, OIG substantiated an allegation that an employee of a Department grantee was terminated in retaliation for whistleblowing activity. OIG also substantiated an allegation that an employee of a Department contractor was terminated in retaliation for cooperating with an OIG investigation. OIG referred both cases to the Office of the Procurement Executive, who is responsible for determining whether remedial action is appropriate.

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 10/1/2020–3/31/2021	Since Enactment
Complaints Received and Reviewed	2	109
Active Investigations	3	--
Investigations Completed	2	29

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 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.

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 ongoing OCOs, OIG works with its Lead Inspector General counterpart agencies to publish quarterly reports to Congress on each 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. OIG published the final Lead Inspector General quarterly report for each of these OCOs in November 2020. The sunset provision of Section 8L came into effect for the classified OCO at the end of FY 2019. The final quarterly report for the classified OCO was published in February 2020.

Despite these OCOs having sunset, OIG’s ongoing audits, inspections, and investigations related to these OCOs continue and will be included in this and future *Semiannual Reports to the Congress*. Moreover, OIG continues to monitor possible future OCOs in various areas of the world.

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, 10/1/2020–3/31/2021

Completed Reports	Date
<i>Information Report: Review of Department of State Preparations to Return Personnel to Federal Offices During the Global Coronavirus Pandemic (AUD-MERO-21-22)</i>	3/2021
<i>Audit of the Department of State’s Risk Assessments and Monitoring of Voluntary Contributions to Public International Organizations (AUD-MERO-21-18)</i>	3/2021

Completed Reports	Date
<i>Management Assistance Report: Remote Missions Face Challenges Maintaining Communications With Locally Employed Staff and Host Country Government Officials (AUD-MERO-21-16)*</i>	3/2021
<i>Inspection of the Bureau of Diplomatic Security's Special Program for Embassy Augmentation and Response (ISP-I-21-12)</i>	1/2021
<i>Management Assistance Report: The Bureau of Diplomatic Security's Compliance Process Related to Post Security Program Reviews Needs Improvement (AUD-SI-21-04)</i>	12/2020
<i>Management Assistance Report: The Bureau of Diplomatic Security Did Not Always Conduct Post Security Program Reviews Within Required Timeframes (AUD-SI-21-03)</i>	12/2020
<i>Review of Department of State Foreign Assistance Tracking Capabilities (ISP-I-21-09)</i>	12/2020
<i>Targeted Inspection of the U.S. Agency for Global Media: Journalistic Standards and Principles (ISP-IB-21-06)</i>	12/2020
<i>Inspection of the Libya External Office (ISP-I-21-04)</i>	11/2020
<i>Classified Inspection of the Libya External Office (ISP-S-21-04)*</i>	10/2020
Joint Completed Projects	
<i>Lead Inspector General for Operation Freedom's Sentinel Quarterly Report to the United States Congress October 1, 2020 – December 31, 2020</i>	2/2021
<i>Lead Inspector General for Operation Inherent Resolve Quarterly Report to the United States Congress October 1, 2020 – December 31, 2020</i>	2/2021
<i>Lead Inspector General for East Africa and North and West Africa Counterterrorism Operations Quarterly Report to the United States Congress July 1, 2020 – September 30, 2020</i>	11/2020
<i>Lead Inspector General for Operation Freedom's Sentinel Quarterly Report to the United States Congress July 1, 2020 – September 30, 2020</i>	11/2020
<i>Lead Inspector General for Operation Pacific Eagle-Philippines Quarterly Report to the United States Congress July 1, 2020 – September 30, 2020</i>	11/2020
<i>Lead Inspector General for Operation Inherent Resolve Quarterly Report to the United States Congress July 1, 2020 – September 30, 2020</i>	11/2020
<i>FY 2021 Comprehensive Oversight Plan for Overseas Contingency Operations</i>	10/2020

* 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 October 1, 2020, through March 31, 2021. 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 October 1, 2020, through March 31, 2021.

OIG encountered a three-month delay in scheduling an interview with Secretary Michael

Pompeo as part of its review of allegations of misuse of Department resources. OIG initially requested an interview on September 11, 2020, but then-Secretary Pompeo did not agree to the interview (which was scheduled for December 23, 2020) until December 16, 2020.

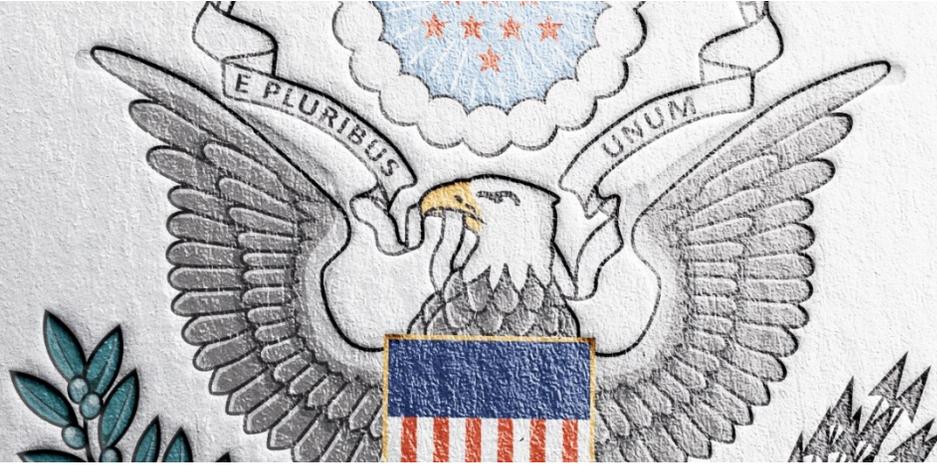
During a mandated review of the Bureau of International Narcotics and Law Enforcement Affairs' (INL) reporting related to National Drug Control Program activities, INL was not sufficiently responsive to OIG's requests for information. At the conclusion of fieldwork, OIG determined that it could not complete its review because it did not have sufficient, appropriate evidence to be able to draw a conclusion about whether the Department's management assertions in its *Accounting and Authentication of FY 2020 Drug Control Funds and Related Performance Report* were fairly stated.

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 52 reports and identified approximately \$7 million in potential monetary benefits to the Department. Additionally, OIG's criminal, civil, and administrative investigations resulted in approximately \$9 million in recoveries and other monetary results this reporting period.

From October 1, 2020, to March 31, 2021, the Department made management decisions on approximately \$46 million in potential monetary benefits identified by OIG during the 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 had not yet taken action on OIG recommendations totaling approximately \$505 million. This is a decrease of approximately \$39 million from the approximately \$544 million in questioned costs and funds to be put to better use pending Department 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 conflict zones. From October 1, 2020, to March 31, 2021, the Office of Audits issued 16 publicly available reports on Department or International Boundary and Water Commission, United States and Mexico, U.S. Section (USIBWC), programs and operations, all of which are summarized below. The *Department of State Classified Annex to the Semiannual Report to the Congress* includes a summary of two Sensitive But Unclassified reports and references one classified report that the Office of Audits issued during this reporting period.

Contracts, Grants, and Infrastructure

Information Report: Review of the International Boundary and Water Commission, United States and Mexico, U.S. Section, Compliance With Executive Order 13950 on Combating Race and Sex Stereotyping
(AUD-CGI-21-12, 12/2020)

On September 22, 2020, the White House issued Executive Order (EO) 13950, Combating Race and Sex Stereotyping, to “promote economy and efficiency in Federal contracting, to promote unity in the Federal workforce, and to combat offensive and anti-American race and sex stereotyping and scapegoating.” OIG conducted this review to determine whether USIBWC took steps to implement EO 13950 § 6(c).

OIG found that USIBWC took the necessary steps to comply with EO 13950 § 6(c). Specifically, the USIBWC Commissioner issued an agency order to incorporate requirements of the EO into agency operations and assumed responsibility as the senior political appointee to oversee the implementation of the EO. In addition, the Commissioner’s order directed the Administration Department to issue subsequent guidance requiring the Commission’s contractors to comply with the EO.

Information Report: Department of State 2020 Travel Charge Card Risk Assessment
(AUD-CGI-21-06, 11/2020)

OIG performed a risk assessment of the Department’s travel card program and concluded that the risk of illegal, improper, or erroneous use in the Department’s travel card program is “medium.” This conclusion was based on the Department travel card program’s size, internal controls, training, previous audits, and OIG Office of Investigations observations.

On the basis of the results of this assessment, OIG did not recommend an audit of the Department’s travel card program be included in OIG’s work plan. However, OIG encouraged Department officials to continue prudent oversight of the travel card program.

Information Report: International Boundary and Water Commission, United States and Mexico, U.S. Section, 2020 Charge Card Risk Assessment
(AUD-CGI-21-05, 11/2020)

OIG performed a risk assessment of USIBWC’s FY 2019 purchase card program and concluded that the risk of illegal, improper, or erroneous use in the USIBWC purchase card program is “low.”

This conclusion was based on the USIBWC purchase card program's size, internal controls, training, previous audits, and OIG Office of Investigations observations.

As a result of this assessment, OIG did not recommend an audit of USIBWC's purchase card program be included in OIG's work plan. However, OIG encouraged USIBWC officials to continue prudent oversight of the purchase card program.

Information Report: Department of State 2020 Purchase Charge Card Risk Assessment (AUD-CGI-21-02, 11/2020)

OIG performed a risk assessment of the Department's purchase card program and concluded that the risk of illegal, improper, or erroneous use in the Department's purchase card program is "medium." This conclusion was based on the Department purchase card program's size, internal controls, training, previous audits, violation reports, and OIG Office of Investigations observations.

As a result of this assessment, OIG did not recommend that an audit of the Department's purchase card program be included in OIG's work plan. However, OIG encouraged the Department's purchase card manager to continue prudent oversight of the purchase card program.

Financial Management

Independent Review of the U.S. Department of State Accounting of FY 2020 Drug Control Funds and Related Performance Report (AUD-FM-21-23, 3/2021)

The Office of National Drug Control Policy requires certain agencies, including the Department, to report a detailed accounting and authentication of all funds expended on National Drug Control Program activities and to set and report on performance measures, targets, and results

associated with those activities. OIG is required to perform work designed to express a conclusion about the reliability of each management assertion.

During the review, the Bureau of International Narcotics and Law Enforcement Affairs was not sufficiently responsive to OIG's requests for information. At the conclusion of fieldwork, OIG determined that it could not complete its review because it did not have sufficient, appropriate evidence to be able to draw a conclusion about whether the Department's management assertions in its *Accounting and Authentication of FY 2020 Drug Control Funds and Related Performance Report* were fairly stated.

Management Letter Related to the Audit of the U.S. Department of State FY 2020 Financial Statements (AUD-FM-21-19, 3/2021)

During the audit of the Department's FY 2020 financial statements, an independent external auditor identified weaknesses related to the reconciliation of accounts held by the Department of the Treasury, personnel data for Foreign Service National employees, personnel records and actions, supporting data related to the asbestos remediation estimate, segregation of duties and configuration change management processes for the Department's personnel system, access privileges for a supply chain application, and accounting for other assets.

Management Letter Related to the Audit of the International Boundary and Water Commission, United States and Mexico, U.S. Section, FY 2020 Financial Statements
(AUD-FM-21-15, 2/2021)

During the audit of the USIBWC FY 2020 financial statements, an independent external auditor identified weaknesses relating to Prompt Payment Act compliance and untimely approval of personnel actions.

Independent Auditor's Report on the International Boundary and Water Commission, United States and Mexico, U.S. Section, FY 2020 Financial Statements
(AUD-FM-21-09, 1/2021)

An independent external auditor, working on behalf of and under the direction of OIG, audited the USIBWC annual financial statements as of, and for the year ended, September 30, 2020. The auditor found that the financial statements present fairly, in all material respects, the financial position of USIBWC as of September 30, 2020, and its net cost of operations, changes in net position, and budgetary resources for the year then ended, in conformity with accounting principles generally accepted in the United States of America.

The auditor found one significant deficiency in internal control over financial reporting. Specifically, the auditor identified issues with IT controls. Additionally, the results of the auditor's tests disclosed no instances of noncompliance that were required to be reported.

Independent Auditor's Report on the U.S. Department of State FY 2020 and FY 2019 Financial Statements
(AUD-FM-21-08, 11/2020)

An independent external auditor, working on behalf of and under the direction of OIG, audited the Department's annual financial statements as

of, and for the years ended, September 30, 2020 and 2019. The auditor found that the financial statements present fairly, in all material respects, the financial position of the Department as of September 30 for both 2020 and 2019, and its net cost of operations, changes in net position, and budgetary resources for the years then ended, in conformity with accounting principles generally accepted in the United States of America. The auditor found significant deficiencies in the internal control over property and equipment, budgetary accounting, validity and accuracy of unliquidated obligations, financial reporting, and IT. The auditor also found three instances of reportable noncompliance with laws, regulations, contracts, and grant agreements tested—specifically, with the Antideficiency Act, the Prompt Payment Act, and the Federal Financial Management Improvement Act of 1996.

Independent Accountant's Report on the Application of Agreed-Upon Procedures: Employee Benefits, Withholdings, Contributions, and Supplemental Semiannual Headcount Reporting Submitted to the Office of Personnel Management
(AUD-FM-21-01, 10/2020)

An independent external auditor, working on behalf of and under the direction of OIG, performed agreed-upon procedures to assist the Office of Personnel Management in assessing the reasonableness of retirement, health benefits, and life insurance withholdings and contributions as well as enrollment information submitted via the *Semiannual Headcount Report* to the Office of Personnel Management by the Department.

The auditor identified no reportable differences as a result of applying the majority of the procedures. However, the auditor reported some differences as a result of applying procedures relating to retirement contributions.

Middle East Region Operations

Information Report: Review of Department of State Preparations to Return Personnel to Federal Offices During the Global Coronavirus Pandemic (AUD-MERO-21-22, 3/2021)

In response to a request from the U.S. House of Representatives Committee on Oversight and Government Reform, Subcommittee on Government Operations, OIG conducted the review to describe (a) Department plans and procedures for returning personnel to offices during the COVID-19 pandemic and (b) the methods outlined in those plans and procedures to ensure suitable safety and welfare considerations and precautions have been undertaken on behalf of Department personnel.

OIG found that the Department developed and implemented a conditions-based, three-phased plan for returning personnel to the workplace based on authoritative Federal guidelines. Department officials considered data specific to local conditions, such as healthcare availability, COVID-19 case counts, testing data, and shelter-in-place orders when determining domestic or overseas facility reopening phases.

OIG also found that the Department executed the framework to implement suitable safety and welfare considerations and precautions for personnel. Specifically, the Department assessed need and obtained critical resources to protect medical personnel at Department health units worldwide to safeguard personnel returning to worksites. Furthermore, the Bureaus of Medical Services, Administration, and Overseas Buildings Operations established protocols when personnel tested positive for COVID-19, including notifying the Department when an employee tested positive, isolating the infected employee, identifying and quarantining close contacts, and ensuring that facilities were properly disinfected.

Audit of the Department of State's Risk Assessments and Monitoring of Voluntary Contributions to Public International Organizations (AUD-MERO-21-18, 3/2021)

Public International Organizations are organizations with which the United States partners pursuant to a treaty, legislation, or as determined by the Department. The Department provides financial assistance to Public International Organizations through voluntary contributions to advance U.S. strategic goals on a variety of national security and humanitarian issues.

During an audit of voluntary contributions to Public International Organizations, OIG found that the Department's processes for identifying, assessing, and responding to risks before awarding funds needed improvement to align with the requirements outlined in the *Standards for Internal Control in the Federal Government* (Green Book). Specifically, OIG found that six of eight Department bureaus failed to formulate specific, measurable objectives for voluntary contributions and assess risk prior to award issuance. In addition, OIG found that the Department's processes for monitoring voluntary contributions did not adhere to Green Book standards and principles. Specifically, OIG found that five of eight bureaus failed to consistently document their monitoring activities and could not demonstrate that award objectives were being actively monitored. These deficiencies occurred because Department policies and guidance do not reflect Green Book standards for risk assessment and monitoring.

Information Report: Review of the Department of State Compliance With Executive Order 13950 on Combating Race and Sex Stereotyping (AUD-MERO-21-11, 12/2020)

On September 22, 2020, the White House issued EO 13950, Combating Race and Sex Stereotyping,

to “promote economy and efficiency in Federal contracting, to promote unity in the Federal workforce, and to combat offensive and anti-American race and sex stereotyping and scapegoating.” OIG conducted this review to determine whether the Department took steps to implement EO 13950 § 6(c).

OIG found that the Department took the necessary steps to comply with EO 13950 § 6(c). Specifically, the Secretary of State issued two agency-wide orders to incorporate the requirements of the EO into agency operations and designated the Under Secretary for Management as the senior political appointee to oversee the implementation of the EO. Following the Secretary of State’s orders, the Bureau of Administration, Office of the Procurement Executive, issued subsequent guidance requiring the Department’s contractors and grantees to comply with the EO.

Security and Intelligence

Audit of the Department of State’s Unarmored Overseas Motor Vehicle Fleet
(AUD-SI-21-13, 1/2021)

During an audit of the Department’s unarmored overseas motor vehicle fleet, OIG found that the Bureau of Administration was not administering the unarmored overseas vehicle program in accordance with Department policies and guidelines. In addition, OIG found that the Bureau had not developed and implemented an internal control environment to successfully fulfill its roles and responsibilities related to managing the acquisition, use, maintenance, and disposal of the Department’s unarmored overseas vehicle fleet.

Furthermore, OIG conducted work at six posts and found that the posts did not always obtain, or obtain in a timely manner, waivers to procure vehicles locally; properly track vehicles in the Department’s inventory system; document daily

vehicle usage; sufficiently maintain vehicles in their possession; or dispose of vehicles in accordance with Department requirements.

These deficiencies occurred, in part, because the Bureau of Administration had not developed and communicated a structured, detailed vehicle program plan or standard operating procedures to help manage the Department’s overseas vehicle fleet. In addition, the Bureau of Administration had not established and implemented processes to obtain reliable data regarding its vehicle fleet or established a methodology to enforce overseas post compliance with applicable fleet management guidelines. Until these deficiencies are addressed, the Bureau of Administration will remain incapable of effectively executing its role in strategically planning and overseeing the unarmored overseas motor vehicle program, nor will it be able to ensure compliance with Federal guidelines and Department policies governing its unarmored overseas vehicle fleet.

Management Assistance Report: The Bureau of Diplomatic Security’s Compliance Process Related to Post Security Program Reviews Needs Improvement
(AUD-SI-21-04, 12/2020)

The Bureau of Diplomatic Security (DS) is the Federal law enforcement and security bureau of the Department. One method DS uses to oversee the regional security offices located at overseas posts is the Post Security Program Review (PSPR) program. A PSPR consists of consultations with relevant DS offices, document reviews, observations at post, and interviews with post personnel to evaluate a regional security office’s level of compliance with selected requirements on topics such as life safety and emergency preparedness. The PSPR team documents noncompliant areas and makes recommendations to address these areas in a PSPR report.

During an audit of the PSPR program, OIG found that although DS designed a compliance process to assess posts' resolution of recommendations made to address security deficiencies, the PSPR compliance process needs improvement. For example, DS did not always maintain documentation describing corrective actions taken by posts in response to PSPR recommendations. OIG also found that posts did not always provide compliance responses within the required 45 days. Furthermore, DS did not always track when compliance responses were due or have a formal process to follow up on overdue responses. OIG also found instances of insufficient compliance responses.

Management Assistance Report: The Bureau of Diplomatic Security Did Not Always Conduct Post Security Program Reviews Within Required Timeframes
(AUD-SI-21-03, 12/2020)

One method DS uses to oversee the regional security offices located at overseas posts is the PSPR program. Two DS directorates conduct PSPRs using the same overarching policies: (1) the High Threat Programs Directorate for high-threat, high-risk posts and (2) the International Programs Directorate for non-high-threat, high-risk posts. OIG found that between FY 2016 and February 2020, the High Threat Programs Directorate did not conduct PSPRs within the required timeframe for 22 of 27 (81 percent) high-threat, high-risk posts. In addition, OIG found that the International Programs Directorate did not conduct PSPRs within the required timeframes at 84 of 222 (38 percent) non-high-threat, high-risk posts.

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 October 1, 2020, to March 31, 2021, ESP issued one unclassified report on Department programs and operations.

Management Assistance Report: Representational Travel by the Spouse of the Secretary of State (ESP-21-01, 12/2020)

In 2019, OIG received a whistleblower complaint related to travel by the spouse of the Secretary of State that the Department considered official travel. To investigate this complaint, OIG requested and reviewed documentation related to

official representational family travel by Susan Pompeo from April 2018 to April 2020. Generally, Department policy permits such travel by relatives of Department officials for appropriate representational purposes. However, both Department guidance and principles of internal control require documentation of both the official purpose and the approval of the travel. The Secretary’s spouse took eight trips that were declared official from April 2018 to April 2020. Of the eight trips, OIG found documentation of an authorized purpose for all eight trips, but only found written approval for two of the trips.

OIG recommended that the Office of the Secretary seek and gain written approval for all representational travel, and that the Under Secretary for Management or other authorizing official document in writing the approval for all representational trips by any family members. The Department concurred with these recommendations.

ESP also reviews allegations of non-criminal misconduct by senior Department and USAGM employees. Table 7.1 describes an 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, 10/1/2020–3/31/2021

Date of Closure	Agency and Position	Description	Disposition
1/2021	Department Ambassador	OIG found that the official committed several violations of Department policy, including involving a household member in official duties, using personal social media accounts for official activities, and failing to comply with 3 FAM 1214.1 “Leadership and Management Principles for Department Employees” and “The Standards of Ethical Conduct for Employees of the Executive Branch,” issued by the U.S. Office of Government Ethics.	OIG referred its findings to the Under Secretary for Political Affairs and the Bureau of African Affairs. Shortly after OIG issued its findings, the Ambassador left office as part of the presidential transition.

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 October 1, 2020, to March 31, 2021, the Office of Inspections issued 14 reports on Department programs and operations, 9 of which were unclassified and are summarized below. The *Department of State Classified Annex to the Semiannual Report to the Congress* includes a summary of two Sensitive But Unclassified reports and three classified reports that the Office of Inspections issued during this reporting period.

Program Reviews and Special Reports

Management Assistance Report: Deficiencies in Consular Physical Space at Overseas Missions (ISP-21-08, 2/2021)

In this review, OIG focused on determining prime causes contributing to deficiencies in consular physical space at overseas missions. OIG reviewed 46 overseas inspection reports issued from October 1, 2017, to August 12, 2020, and identified 45 findings and recommendations related to consular physical space. For 31 of the 45 findings and recommendations (69 percent), the deficiencies were related to obsolete or dated design of consular space. For the other 14 findings and recommendations (31 percent), OIG reports cited inadequate management oversight of consular physical space issues by post consular

managers as the cause of the deficiencies. OIG found that consular managers lacked training and communication on consular physical space standards, and that Department standards on canopies or other shelters required clarification. Additionally, OIG found that the Bureau of Consular Affairs did not collect comprehensive data on problems with consular physical space at embassies and consulates, which limited the ability of both consular managers overseas and Department staff to identify and correct these deficiencies systematically.

OIG made recommendations to address the causes of consular physical space deficiencies at overseas missions.

Review of Department of State Foreign Assistance Tracking Capabilities (ISP-I-21-09, 12/2020)

OIG conducted a review of the Department's foreign assistance tracking capabilities. In a 2017 report, OIG found that Department efforts to improve its tracking of foreign assistance funds had yielded limited progress and lacked executive guidance and support. In this 2020 review, OIG found that the Department took several steps to improve its ability to track foreign assistance funds since the issuance of the 2017 report. At the time of the 2020 review, the Department planned to begin collecting more detailed data for each accounting transaction involving foreign assistance funds in FY 2021. Despite this plan to collect more detailed data, OIG found the Department did not assess the full range of potential effects its changes would have on bureaus that manage foreign assistance, nor did it identify sufficient measures to mitigate such effects. OIG also found that the Department did not adequately communicate and train bureaus on how to implement its proposed changes to improve foreign assistance tracking.

OIG made recommendations to improve the Department's foreign assistance tracking capabilities.

Management Assistance Report: Continued Deficiencies in Performance of Information Systems Security Officer Responsibilities at Overseas Posts
(ISP-21-07, 12/2020)

In this review, OIG focused on determining underlying factors contributing to the continued deficiencies in the performance of information systems security officer (ISSO) responsibilities at overseas posts. ISSOs are responsible for enforcing Department information systems security policies to ensure the protection of the Department's computer infrastructure, networks, and data. OIG reviewed 51 overseas inspection reports issued from October 1, 2016, to September 30, 2019, and identified findings on deficiencies in ISSO performance in 25 (49 percent) reviewed reports. This reflected an increase from a similar 2017 management assistance report, where OIG found 33 percent of reviewed reports contained deficiencies in ISSO performance. In this 2020 management assistance report, OIG identified additional underlying factors not addressed in the 2017 report that contributed to or caused the non-performance of ISSO duties, including complex reporting structures for overseas ISSOs, the need for increased management oversight, and a lack of clarity regarding how regional ISSOs and ISSO liaison staff support the ISSO program.

OIG made recommendations to improve the performance of ISSO duties at overseas posts.

Management Assistance Report: Expendable Property Management Overseas
(ISP-21-11, 11/2020)

In this review, OIG focused on determining underlying factors contributing to deficiencies in expendable property management at overseas

posts. OIG reviewed 61 overseas inspection reports issued from October 1, 2016, to June 30, 2020, and identified 17 findings related to expendable property management issues. In these reports, OIG found that overseas posts did not account for all expendable property using the Department's mandated system of record, the Integrated Logistics Management System. OIG highlighted several causes for this internal control issue, including lack of management oversight, lack of training, competing priorities, and staffing shortages. However, in this management assistance report, OIG also identified Department-level issues that contributed to or caused the issues in expendable property management, including outdated guidance and insufficient internal control procedures. Additionally, the Bureau of Administration's Property Management Division did not issue guidance on the receipt and accountability of surplus construction material and supplies. Finally, the Integrated Logistics Management System lacked an alert system to notify the Property Management Division and overseas property managers of expendable property exclusions.

OIG made recommendations to improve the Department's management of expendable property at overseas posts.

Domestic Bureaus

Inspection of the Bureau of Administration's Office of Commissary and Recreation Affairs
(ISP-I-21-16, 3/2021)

OIG found that the Department and other Federal agency stakeholders highly rated the Office of Commissary and Recreation Affairs for its operational effectiveness. The office responded well to the impact of the COVID-19 pandemic on employee associations. The Central Commissary and Recreation Fund Board was noncompliant with its bylaws and lacked a cash flow analysis to assess the pandemic's impact on the fund's

viability. The office did not provide adequate oversight of employee association temporary duty quarters operations.

OIG made recommendations to improve the Office of Commissary and Recreation Affairs operational effectiveness.

Spotlight on Success: The Office of Commissary and Recreation Affairs instituted a program of advanced training and mentoring that was delivered to new employee association managers. It yielded long-term benefits.

Inspection of the Bureau of Diplomatic Security's Special Program for Embassy Augmentation and Response
(ISP-I-21-12, 1/2021)

OIG found the Special Program for Embassy Augmentation and Response (SPEAR), which is located under the Office of Antiterrorism Assistance in the Bureau of Diplomatic Security, was succeeding in its mission to enhance protection of overseas U.S. facilities and personnel. However, the Bureau of Diplomatic Security did not provide clear, updated guidance or sufficient training to overseas staff on the use of the Integrated Logistics Management System for management of property assigned to SPEAR. Additionally, the program's motor vehicle operations did not comply with all Department guidelines and processes. The contracts supporting the program lacked quality assurance surveillance plans and formal contractor performance assessment reports, and third-party contractors performed inherently governmental functions while providing support to SPEAR. Furthermore, program management guidance contained unrealistic goals for the transition of SPEAR units to embassy control.

OIG made recommendations to improve SPEAR resource and program management.

Inspection of the Office of Global Women's Issues
(ISP-I-21-10, 1/2021)

OIG found that starting in January 2020, a new Ambassador-at-Large decisively led the Office of Global Women's Issues, an office that had functioned 3 years without a senior leader. However, OIG found that the office's organizational structure did not align staff roles, priorities, and responsibilities with operational needs. A lack of clarity on the bureaucratic status of the Women's Global Development and Prosperity Unit also generated confusion about the new unit's status and its relationship with the Office of Global Women's Issues. The office lacked a public diplomacy strategy for external messaging, and its oversight of foreign assistance management needed improvement. The office also did not adhere to requirements regarding unliquidated obligations, resulting in \$300,000 in FY 2019 funds being returned to the Department of the Treasury and putting an additional \$3.5 million in FY 2020 funds at risk.

OIG made recommendations to improve the Office of Global Women's Issues' executive direction, policy implementation, and foreign assistance capabilities.

Overseas Missions

Bureau of European and Eurasian Affairs

Inspection of Consulate General Hamilton, Bermuda
(ISP-I-21-03, 11/2020)

OIG found that the Consul General effectively promoted U.S. economic and law enforcement interests and ensured a high level of emergency preparedness at Consulate General Hamilton. However, tension between the Consul General and consulate general staff, resulting from the Consul General's management style, created stress in the workplace. Additionally, OIG found that

operations at Consulate General Hamilton, a constituent post of Embassy London, would benefit from senior-level attention from the embassy. OIG also identified that a fragmented support platform adversely affected the consulate general's management and security operations and resulted in lost momentum on key projects.

OIG made recommendations to improve Consulate General Hamilton's resource management and information management operations. Additionally, OIG made recommendations to improve oversight and support of the consulate general operations.

Bureau of Near Eastern Affairs

Inspection of the Libya External Office (ISP-I-21-04, 11/2020)

OIG found that the Ambassador and the Libya External Office (LEO) staff employed innovative approaches to promote policy and public diplomacy goals despite the absence of an official U.S. diplomatic presence in Libya. As of July 2015, the Department temporarily moved operations to Tunisia, co-located with Embassy Tunis. The LEO has continued to maintain locally employed (LE)

staff members in Libya. However, the LEO's inability to account for property located in Tripoli or provide sufficient oversight of staff in Libya was not reported in the mission's Annual Statement of Assurance. The lack of diplomatic presence in Libya created serious and special challenges for the LEO, especially with a deteriorating security situation due to a renewed outbreak of fighting in 2019 and the involvement of Turkey and Russia in Libyan affairs.

OIG made recommendations to address the LEO's challenges related to oversight of property and staff in Libya, remote oversight of foreign assistance programs, and the LEO's relations with Embassy Tunis.

Spotlight on Success: The LEO used innovative approaches to remotely manage and better protect the 52 Tripoli-based LE staff. The Regional Security Officer implemented an accountability process by which he received daily updates on the safety of each employee and shared them with the LEO supervisors. Regional Security Office LE staff also accompanied Public Diplomacy LE staff to project sites and meetings to ensure their security.

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 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,
10/1/2020–3/31/2021

Preliminary Investigations^a	
Opened	35
Closed	28
Investigations	
Opened	21
Closed	25
Pending (3/31/2021)	24
Reports Issued ^b	3
Criminal and Civil Actions	
Referrals to the Department of Justice	10
Referrals to Foreign, State, & Local Prosecuting Authorities	0
Arrests	4
Indictments/Informations ^c	5
Convictions	12
Civil Judgments/Settlements	2
Administrative Actions	
Removals (Resignation & Termination)	5
Suspensions/Revocations (Employee & Security Clearance)	0
Reprimands/Admonishments/Other	6
Investigative Monetary Results	
Civil Settlement	\$7,600,000
Cost Recovery	\$278,513
Criminal Forfeiture	\$0
Fines and Penalties	\$40,600
Funds Put to Better Use (Cost Savings)	\$0
Restitution	\$1,114,399
Suspensions and Debarments	
Contractors/Grantees Suspended	0
Employees/Contractors/Grantees Debarred	3
Fraud Awareness Briefings	17

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 October 1, 2020, through March 31, 2021, based upon specific administrative action categories.

^a Preliminary investigations may be initiated on the basis of any allegation or information indicative of possible criminal, civil, or administrative violations. Preliminary investigations are used to gather additional information to determine whether sufficient evidence exists to warrant the opening of a full investigation.

^b 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.

^c 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 53 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, 10/1/2020–3/31/2021

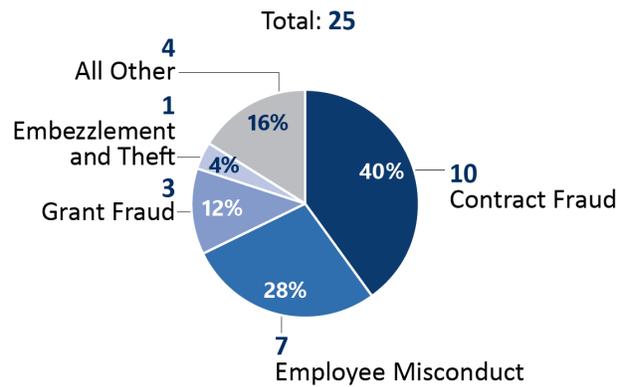
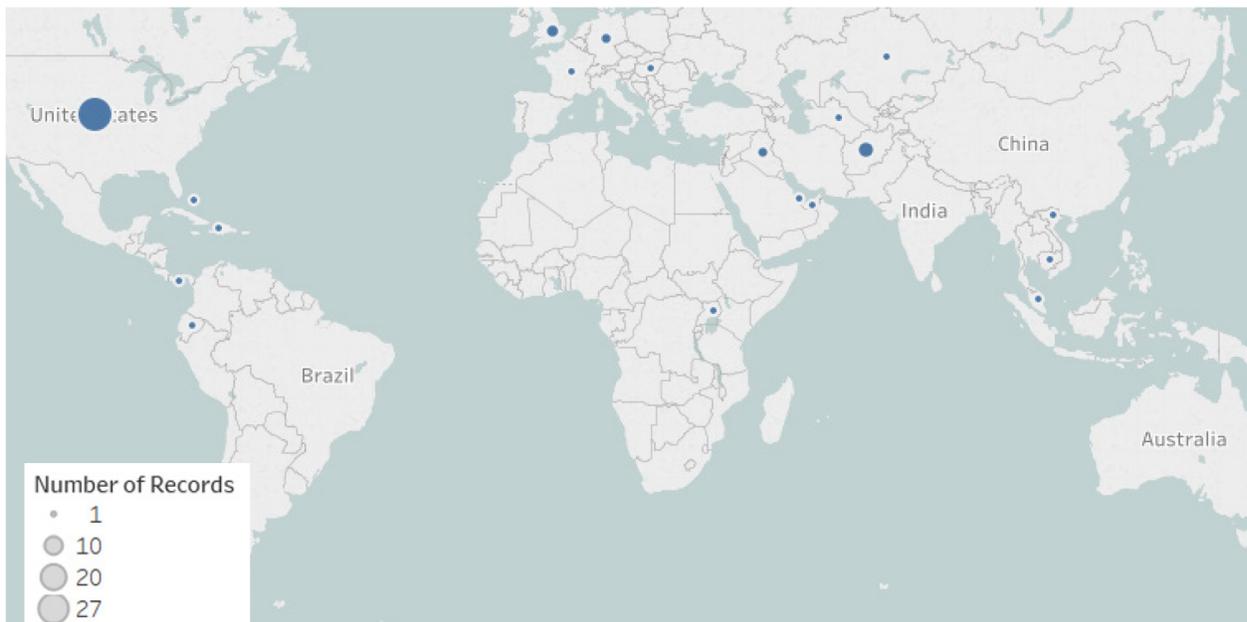


Figure 9.2
Department-Related Cases and Preliminary Inquiries Closed, by Country, 10/1/2020–3/31/2021



Source: Office of Investigations electronic case management system.

Table 9.2
Preliminary Inquiries and Cases Closed, 10/1/2020–3/31/2021

Type	Domestic	Overseas
Preliminary Inquiries Closed	12	16
Cases Closed	15	10

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, 10/1/2020–3/31/2021

Description	Status	DOJ Referral & Response	Closed Date
Case #C2015-078			
On June 12, 2015, OIG opened an investigation based on information that a senior Administrative Officer and two of her subordinates violated procurement rules and regulations related to the use of U.S. Government purchase cards.	The investigation substantiated the allegation and revealed the officer instructed her employees to engage in the practice of split purchasing.	As there was no violation of criminal law, the case was not referred to DOJ. However, the officer resigned from the Department while under investigation.	1/2021
Case #C2020-004			
On October 28, 2019, OIG opened an investigation based on information that the senior advisor to a U.S. Ambassador serving overseas may have received supplemental compensation from a private company while serving as a U.S. Government employee.	The investigation revealed the advisor transmitted Sensitive But Unclassified information to non-U.S. Government personnel and received gifts of airfare and a gift card valued over \$8,000 from a private business entity.	As there was no violation of criminal law, the case was not referred to DOJ. However, the officer resigned from the Department while under investigation.	2/2021
Case #C2019-049			
On May 29, 2019, OIG opened an investigation regarding multiple allegations of misconduct by a U.S. Ambassador.	The investigation revealed the Ambassador inappropriately used his position to try to influence the move of a professional sporting event to a different venue. He also knowingly allowed his special assistant to conduct personal matters that fell outside of her scope of official duties, and while using non-Department email accounts, he did not courtesy copy or forward to his official Department email account at least 62 official emails in the span of approximately 6 months.	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.	2/2021

Notable Resolutions

Contract Fraud

In December 2020, a company owner pleaded guilty to a wire fraud charge in connection with Federal contracts to provide helmets, body armor, and other items to military and other Federal entities. OIG special agents, in a joint investigation with General Services Administration OIG and other agencies, determined the company falsified information to circumvent the Trade Agreements Act. The owner also pleaded guilty to illegal possession of a firearm by a prohibited person. Sentencing is pending.

Also in December 2020, a company president and three of his employees pled guilty to conspiring to defraud the United States. OIG special agents, in a joint investigation with the Defense Criminal Investigative Service and other agencies, determined that the company falsely declared goods pertaining to Department contracts to evade the Buy America Act. The co-workers would fraudulently import goods into the United States that were made in prohibited countries, then falsely relabel these goods as if they were made in the United States. Sentencing is pending.

In November 2020, a Department contract company agreed to pay a \$25,000 administrative settlement to resolve allegations that it knowingly provided false information to the Department. OIG special agents determined the company did not comply with contractual obligations to ensure that U.S. embassy local guard force personnel were properly licensed to contract specifications. The OIG Office of General Counsel took the lead in coordinating the Program Fraud Civil Remedies Act settlement.

Also in November 2020, Workrite, an office furniture company, agreed to pay \$7.1 million to

resolve allegations under the False Claims Act that it overcharged the Federal Government for office furniture under General Services Administration contracts. OIG and General Services Administration special agents determined Workrite provided office furniture to the Government from 2009 to 2017, and the settlement resolves allegations that lower prices were not extended to Government customers, as required by the General Services Administration contract's price reduction clause.

In October 2020, a contractor agreed to pay more than \$240,000 to the U.S. Government to resolve issues related to inconsistent equipment purchasing practices on a Department contract. OIG special agents investigated this case, which culminated with OIG's Office of General Counsel seeking, through the Program Fraud Civil Remedies Act, an action resulting in the settlement payment by the contractor.

Embezzlement and Theft

In March 2021, two Foreign Service Officers agreed to pay more than \$13,033 to the U.S. Government to resolve issues related to fraud allegations regarding Department travel vouchers. OIG special agents determined that the married couple engaged in a scheme to defraud the Department by filing four travel vouchers that claimed lodging expenses they were not entitled to under Federal Travel Regulations. The fraud was committed from approximately September 2014 through April 2019. OIG's Office of General Counsel coordinated the Program Fraud Civil Remedies Act action that resulted in the settlement.

In February 2021, former Department grant recipient Oyetayo Fagbenro was sentenced to 366 days of confinement, 730 days of supervised release, and ordered to pay \$775,000 restitution. In December 2020, he had pled guilty to misappropriating \$775,000 in Department grant

funds for his own purposes. OIG special agents determined Fagbenro falsely certified that he had complied with the terms and conditions of three grants that were to be used to build media operations centers in Afghanistan. Instead, he sent much of the money to friends, relatives, and entities unrelated to the grants.

In January 2021, Katrin Verclas pled guilty to charges of obstruction of a Federal audit and causing a financial institution to fail to file a suspicious activity report relating to more than \$1.2 million in Department grant funds awarded to her corporation, MobileActive. OIG special agents determined from November 2010 through October 2012 she failed to disclose to the bank that many of the transactions involving the MobileActive business account were for her own personal gain rather than legitimate business purposes. Verclas, a German citizen living in the U.S., was initially arrested in March 2018 after her company had been awarded a grant to support and promote U.S. global internet freedom efforts under the guise that it was a 501(c)(3) nonprofit organization. OIG special agents determined the company was not a nonprofit organization and, thus, not eligible to apply for the grant. A sentence is pending.

In October 2020, three individuals were indicted for using a business email compromise scheme, or BEC, to defraud the Department. OIG and Federal Bureau of Investigation (FBI) special agents determined the individuals tricked the Department and a nonprofit agency into wiring

at least \$575,000 into bank accounts they controlled for the purpose of enriching themselves and their co-conspirators.

Employee Misconduct

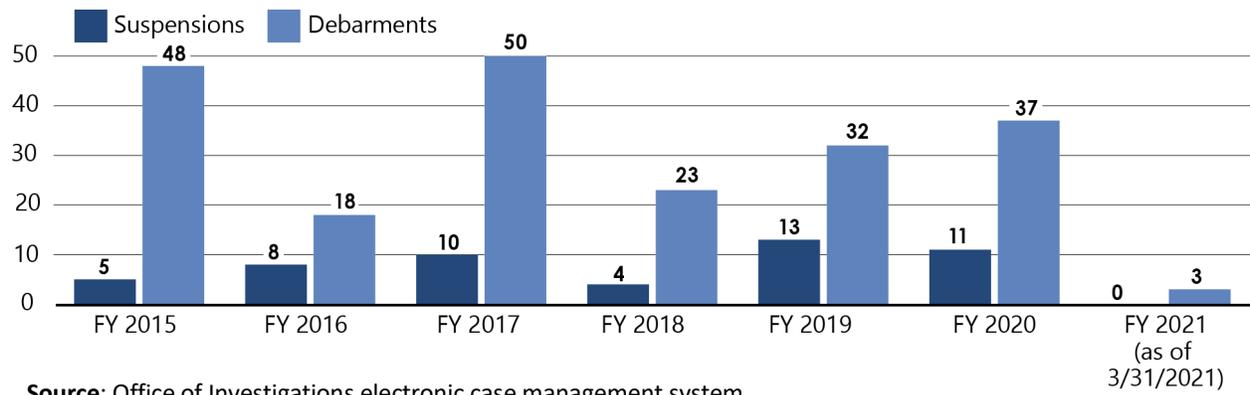
In November 2020, former Seabee Martin Huizar was sentenced to 109 months' incarceration and ordered to pay \$40,100 in fines and \$10,000 in restitution, along with serving a 10-year term of supervised release, for transportation of images of child sexual abuse on his phones and tablet computer. The OIG Special Assistant United States Attorney assigned to the Eastern District of Virginia prosecuted the case.

Suspensions and Debarments

In October 2020, the Department debarred two individuals and a company for their role in a wire fraud scheme. OIG special agents determined the company owner submitted an invoice to the Department that appeared to be from a company email address; however, the illegitimate address was used to divert a \$16,944 payment for personal use. In January 2020, the owner pled guilty to one count of wire fraud, and in August 2020 his co-conspirator entered into a pre-trial diversion agreement and agreed to pay joint restitution. Sentencing is pending.

Figure 9.3 shows suspension and debarment action taken by the Department as a result of OIG referrals from FY 2015 to FY 2021 (first 6 months).

Figure 9.3
Suspension and Debarment Action Taken by the Department as a Result of OIG Referrals, FY 2015–FY 2021



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 \$7 million in potential monetary benefits to the Department. Also during this reporting period, the Department made management decisions on approximately \$46 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 \$505 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 that the Department has allowed or disallowed costs previously questioned by OIG, or agreed or disagreed with OIG's assessment regarding funds to be put to better use.

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,
10/1/2020–3/31/2021

		# Reports	Questioned Costs (\$ Thousands)	Unsupported Costs ^a (\$ Thousands ^b)
A.	No management decision made by start of the reporting period	14	\$263,858	\$111,372
B.	Issued during the reporting period			
	Total issued during the reporting period	0	\$0	\$0
	Total (A+B)	14	\$263,858	\$111,372
C.	Management decision made during the reporting period			
	(i) Disallowed costs		\$87	\$87
	(ii) Costs not disallowed		\$23,211	\$2,220
	Subtotal	6	\$23,298	\$2,307
D.	Total remaining for decision as of the end of the reporting period [(A+B) – Subtotal C]	8 ^c	\$240,560	\$109,065
E.	Additional monetary benefits achieved as the result of prior OIG recommendations	1	\$3,568	\$3,568

^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 8 reports noted in the table contain 11 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, 10/1/2020–3/31/2021

	# Reports	Funds Put to Better Use (\$ Thousands ^a)
A. No management decision made by start of the reporting period	20	\$279,767
B. Issued during the reporting period		
<i>Inspection of the Libya External Office</i>		\$7,000
Total issued during the reporting period	1	\$7,000
Total (A+B)	21	\$286,767
C. Management decision made during the reporting period		
(i) Dollar value of recommendations agreed to by management		\$3,531
(ii) Dollar value of recommendations not agreed to by management		\$18,760
Subtotal	6	\$22,292
D. Total remaining for decision as of the end of the reporting period [(A+B) – Subtotal C]	17 ^b	\$264,475
E. Additional monetary benefits achieved as the result of prior OIG recommendations	4	\$367

^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 17 reports noted in the table contain 20 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, there were no audit reports with findings and questioned costs for which the Department was required to issue management decisions.

Defense Contract Audit Agency Audits

The Office of Acquisitions Management provided OIG information concerning Department contract awards. The office's Business Operations Division initiates and coordinates audits with the Defense Contract Audit Agency to support contracting officers. Questioned costs that are identified represent the total of all questioned dollars in Defense Contract Audit Agency 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 information provided by the Office of Acquisitions Management, which is shown in Table 10.3.

Table 10.3
Defense Contract Audit Agency Audit Reports With Questioned Costs

Recommendation Status	# Reports	Questioned Costs (\$ Thousands)^b
A. For which no management decision had been made by the commencement of the reporting period ^a	14	\$58,717
B. Issued during the reporting period <i>Independent Audit Report on SOC, LLC's Proposed Amounts on Unsettled Flexibly Priced Department of State (DOS) Contracts for Fiscal Year (FY) 2018</i> (2018N10100010, December 31, 2020)		\$26,791
<i>Independent Audit Report on The John Hopkins University Applied Physics Laboratory, LLC's Proposed Amounts on Unsettled Flexibly Priced Contracts for Fiscal Year (FY) 2019</i> (2019D10100001, March 19, 2021)		\$2
Total issued during the reporting period	2	\$26,792
Subtotal Questioned Costs (A+B)	16	\$85,509
C. For which management decision was made during the reporting period		
(i) Disallowed costs		\$3,953
(ii) Costs not disallowed		\$74
Total Management Decisions	6^c	\$4,027
D. For which no management decision has been made by the end of the reporting period	11	\$81,482

^a Opening balance is \$6,933,600 (\$6,934 rounded) more than prior closing balance due to *Independent Audit Report on Sterling Global Operations Inc.'s Proposed Amounts on Unsettled Flexibly Priced Contract for FY 2014* (2014B10100031, September 20, 2018) erroneously reported by the Office of Acquisitions Management in prior periods as \$179,910 when actual amount converted to dollars from Nigerian (Naira) and South African (Rand) currencies should have been reported as \$7,112,910.

^b Dollar amount may be affected by rounding.

^c 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 October 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 October 1, 2020, to March 31, 2021, the Office of Audits issued four publicly-available reports related to USAGM programs and operations, which are summarized below. OIG also issued one Sensitive but Unclassified report, which is summarized in the *U.S. Agency for Global Media Sensitive But Unclassified Annex to the Semiannual Report to the Congress*.

Contracts, Grants, and Infrastructure

Information Report: Review of the U.S. Agency for Global Media Compliance With Executive Order 13950 on Combating Race and Sex Stereotyping
(AUD-CGI-21-14, 12/2020)

On September 22, 2020, the White House issued Executive Order (EO) 13950, Combating Race and Sex Stereotyping, to “promote economy and efficiency in Federal contracting, to promote unity in the Federal workforce, and to combat offensive and anti-American race and sex stereotyping and scapegoating.” OIG conducted this review to determine whether USAGM took steps to implement EO 13950 § 6(c).

OIG found that USAGM did not take all the necessary steps to comply with EO 13950 § 6(c). Specifically, USAGM’s Chief Executive Officer did not issue an order to incorporate the requirements of the EO by November 21, 2020, into agency operations and did not assign a

senior political appointee to oversee the implementation of the EO. While OIG acknowledges that USAGM was taking steps to implement the EO, it did not do so within 60 days of the EO’s issuance as required.

Information Report: U.S. Agency for Global Media 2020 Charge Card Risk Assessment
(AUD-CGI-IB-21-07, 11/2020)

OIG performed a risk assessment of the USAGM purchase card program and concluded that the risk of illegal, improper, or erroneous use in the USAGM purchase card program is “very low.” This conclusion was based on the USAGM purchase card program size, internal controls, training, previous audits, and OIG Office of Investigations observations.

On the basis of the results of this assessment, OIG did not recommend an audit of USAGM’s purchase card program be included in OIG’s work plan. However, OIG encouraged USAGM officials to continue prudent oversight of the purchase card program.

Financial Management

Management Letter Related to the Audit of the U.S. Agency for Global Media FY 2020 Financial Statements
(AUD-FM-IB-21-17, 2/2021)

During the audit of the USAGM FY 2020 financial statements, the independent external auditor identified weaknesses related to obligation validity and accuracy and grant advance calculation.

*Independent Auditor's Report on the U.S. Agency
for Global Media FY 2020 Financial Statements
(AUD-FM-IB-21-10, 11/2020)*

An independent external auditor, working on behalf of and under the direction of OIG, audited USAGM's annual financial statements as of, and for the year ended, September 30, 2020. The auditor found that the financial statements present fairly, in all material respects, the financial position of USAGM as of September 30, 2020, and its net cost of operations, changes in net position, and budgetary resources for the

year then ended, in conformity with accounting principles generally accepted in the United States of America.

The auditor found one significant deficiency in internal control over financial reporting. Specifically, the auditor identified internal control issues with grantee monitoring. The auditor also identified two instances of reportable noncompliance with provisions of laws, regulations, contracts, and grant agreements related to Federal grant regulations and Federal internal control requirements.

13 OFFICE OF EVALUATIONS AND SPECIAL PROJECTS

The Office of Evaluations and Special Projects (ESP) strengthens OIG’s oversight of USAGM and improves OIG’s capabilities to educate employees regarding whistleblower protections.

ESP also reviews allegations of non-criminal misconduct by senior USAGM employees. Table 13.1 describes one instance in which ESP substantiated such allegations during this reporting period.

Table 13.1

ESP Substantiation of Allegations of Non-Criminal Misconduct Involving Senior Government Employees, 10/1/2020–3/31/2021

Date of Closure	Agency and Position	Description	Disposition
3/2021	USAGM Senior Advisor	OIG found that the official violated Federal recordkeeping regulations by instructing employees to communicate with her on official matters using a mobile messaging application and then deleting the messages without properly preserving them in agency recordkeeping systems.	OIG referred its findings to USAGM, which reviewed the matter and notified the National Archives and Records Administration of the improper disposal of Federal records.

14 OFFICE OF INSPECTIONS

The Office of Inspections inspects USAGM programs and operations to help identify systemic issues, use resources efficiently, and ensure the safety of personnel. Areas of specific concern include the allocation of financial resources and compliance with Federal regulations. From October 1, 2020, to March 31, 2021, OIG issued one inspection report related to USAGM programs and operations, which is summarized below.

Programs and Operations

Targeted Inspection of the U.S. Agency for Global Media: Journalistic Standards and Principles (ISP-IB-21-06, 12/2020)

In this targeted inspection, OIG assessed how USAGM and its five broadcasting entities complied with journalistic standards and principles. OIG found that USAGM and its five networks developed guidance documents that turned the broad standards and principles of the U.S. International Broadcasting Act of 1994 into detailed, codified journalistic practices and ethical behaviors that could be communicated, trained, monitored, and enforced. OIG identified that prior to March 2020, USAGM lacked uniform

policies and procedures across the five networks to improve its response to violations of journalistic standards. OIG also found that USAGM and network leadership generally modeled journalistic standards and independence; they communicated the importance of such standards and independence and took their protection seriously. All networks except Office of Cuba Broadcasting clearly communicated the standards used to guide their journalistic work both internally and to the public. Additionally, all networks conducted some training on journalistic standards and ethical conduct but mostly on an ad hoc basis.

OIG made recommendations to improve USAGM and network adherence to journalistic standards and principles.

Spotlight on Success: USAGM's five networks use 61 languages to communicate with audiences worldwide. Several networks translated journalistic standards into local languages to improve awareness of those standards both among employees whose native language is not English and to their target audiences.

15 OFFICE OF INVESTIGATIONS

The Office of Investigations conducts worldwide investigations of criminal, civil, and administrative misconduct related to USAGM programs and operations. From October 1, 2020, to March 31, 2021, the office's work resulted in \$55,100 in monetary recoveries and the sentencing of one subject (see below). One case was also referred to the Department of Justice. Additionally, the office opened five preliminary inquiries and closed four preliminary inquiries while opening two cases and closing one case.

Contract Fraud

In March 2021, Diane Sturgis, a former USAGM Contracting Officer, was sentenced to 2 years in prison and ordered to pay \$45,000 in restitution, a \$10,000 fine, and a \$100 special assessment for engaging in a bribery and procurement fraud scheme. Previously, in July 2020, Sturgis pleaded guilty to conspiracy to commit bribery and honest services wire fraud. 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 the former Contracting Officer's relative totaling \$30,000; however, no consulting work was performed in exchange for the payments.

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.

16 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. USAGM had no open recommendations involving questioned costs or funds put to better us from this or previous reporting periods 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 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.

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.

During this reporting period, OIG's Office of Audits conducted follow-up on questioned costs of \$105,000 referred to USAGM program officials for resolution in prior periods. Table 16.1 summarizes USAGM's decisions during this period to allow or disallow the questioned costs.

Table 16.1
Inspector General-Referred Single 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	1	\$105
B. Issued during the reporting period	0	\$0
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.

17 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 through E.3 identify resolved but unimplemented recommendations associated with unclassified reports issued prior to October 1, 2020. These

tables also identify recommendations designated as significant and associated potential monetary benefits. Table E.4 identifies recommendations that have been without management decision for more than 6 months.

Table E.5 shows reports issued in the previous reporting period that did not receive comments within 60 days of issuance. Table E.6 shows previous significant management decisions that USAGM revised during this reporting period, and Table E.7 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, 10/1/2020–3/31/2021

Report #	Report Title	Date Issued
Office of Audits		
AUD-FM-21-23	<i>Independent Review of the U.S. Department of State Accounting of FY 2020 Drug Control Funds and Related Performance Report</i>	3/2021
AUD-MERO-21-22	<i>Information Report: Review of Department of State Preparations to Return Personnel to Federal Offices During the Global Coronavirus Pandemic</i>	3/2021
AUD-FM-21-19	<i>Management Letter Related to the Audit of the U.S. Department of State FY 2020 Financial Statements</i>	3/2021
AUD-MERO-21-18	<i>Audit of the Department of State's Risk Assessments and Monitoring of Voluntary Contributions to Public International Organizations</i>	3/2021
AUD-FM-21-15	<i>Management Letter Related to the Audit of the International Boundary and Water Commission, United States and Mexico, U.S. Section, FY 2020 Financial Statements</i>	2/2021
AUD-SI-21-13	<i>Audit of the Department of State's Unarmored Overseas Motor Vehicle Fleet</i>	1/2021
AUD-FM-21-09	<i>Independent Auditor's Report on the International Boundary and Water Commission, United States and Mexico, U.S. Section, FY 2020 Financial Statements</i>	1/2021
AUD-CGI-21-12	<i>Information Report: Review of the International Boundary and Water Commission, United States and Mexico, U.S. Section, Compliance With Executive Order 13950 on Combating Race and Sex Stereotyping</i>	12/2020
AUD-MERO-21-11	<i>Information Report: Review of the Department of State Compliance With Executive Order 13950 on Combating Race and Sex Stereotyping</i>	12/2020
AUD-SI-21-04	<i>Management Assistance Report: The Bureau of Diplomatic Security's Compliance Process Related to Post Security Program Reviews Needs Improvement</i>	12/2020
AUD-SI-21-03	<i>Management Assistance Report: The Bureau of Diplomatic Security Did Not Always Conduct Post Security Program Reviews Within Required Timeframes</i>	12/2020
AUD-FM-21-08	<i>Independent Auditor's Report on the U.S. Department of State FY 2020 and FY 2019 Financial Statements</i>	11/2020
AUD-CGI-21-06	<i>Information Report: Department of State 2020 Travel Charge Card Risk Assessment</i>	11/2020

Report #	Report Title	Date Issued
AUD-CGI-21-05	<i>Information Report: International Boundary and Water Commission, United States and Mexico, U.S. Section, 2020 Charge Card Risk Assessment</i>	11/2020
AUD-CGI-21-02	<i>Information Report: Department of State 2020 Purchase Charge Card Risk Assessment</i>	11/2020
AUD-FM-21-01	<i>Independent Accountant's Report on the Application of Agreed-Upon Procedures: Employee Benefits, Withholdings, Contributions, and Supplemental Semiannual Headcount Reporting Submitted to the Office of Personnel Management</i>	10/2020
Office of Enterprise Risk Management		
OIG-ERM-21-02	<i>Spring Inspection Cycle Addendum to Work Plan Fiscal Years 2021-2022</i>	2/2021
OIG-ERM-21-01	<i>Winter Inspection Cycle Addendum to Work Plan Fiscal Years 2021-2022</i>	12/2020
Office of Evaluations and Special Projects		
ESP-21-01	<i>Management Assistance Report: Representational Travel by the Spouse of the Secretary of State</i>	12/2020
Office of the Executive Director		
OIG-EX-21-03	<i>FYs 2019-2020 Spotlights on Success</i>	12/2020
OIG-EX-21-02	<i>Fiscal Year 2020 Inspector General Statement on the U.S. Agency for Global Media's Major Management and Performance Challenges</i>	11/2020
OIG-EX-21-01	<i>Fiscal Year 2020 Inspector General Statement on the Department of State's Major Management and Performance Challenges</i>	11/2020
Office of Inspections		
ISP-I-21-16	<i>Inspection of the Bureau of Administration's Office of Commissary and Recreation Affairs</i>	3/2021
ISP-21-08	<i>Management Assistance Report: Deficiencies in Consular Physical Space at Overseas Missions</i>	2/2021
ISP-I-21-12	<i>Inspection of the Bureau of Diplomatic Security's Special Program for Embassy Augmentation and Response</i>	1/2021
ISP-I-21-10	<i>Inspection of the Office of Global Women's Issues</i>	1/2021
ISP-I-21-09	<i>Review of Department of State Foreign Assistance Tracking Capabilities</i>	12/2020
ISP-21-07	<i>Management Assistance Report: Continued Deficiencies in Performance of Information Systems Security Officer Responsibilities at Overseas Posts</i>	12/2020
ISP-21-11	<i>Management Assistance Report: Expendable Property Management Overseas</i>	11/2020
ISP-I-21-04	<i>Inspection of the Libya External Office</i>	11/2020
ISP-I-21-03	<i>Inspection of Consulate General Hamilton, Bermuda</i>	11/2020

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,
10/1/2020–3/31/2021

Report #	Report Title	Date Issued
Office of Audits		
AUD-IT-21-26	<i>Audit of the FY 2020 Information Security Program for Sensitive Compartmented Information Systems at the Department of State</i>	3/2021
AUD-IT-21-20	<i>Audit of the International Boundary and Water Commission, United States and Mexico, U.S. Section, FY 2020 Information Security Program</i>	3/2021
AUD-MERO-21-16	<i>Management Assistance Report: Remote Missions Face Challenges Maintaining Communications With Locally Employed Staff and Host Country Government Officials</i>	3/2021
Office of Inspections		
ISP-21-13	<i>Management Assistance Report: Deficiencies in Management of Active Directory Privileged Accounts and Security Groups at Overseas Posts</i>	2/2021
ISP-S-21-03	<i>Classified Inspection of Consulate General Hamilton, Bermuda</i>	12/2020
ISP-S-21-04	<i>Classified Inspection of the Libya External Office</i>	10/2020
ISP-S-21-02	<i>Classified Inspection of Embassy Prague, Czech Republic</i>	10/2020
ISP-21-01	<i>Management Assistance Report: Deficiencies Identified in Communications Security Account Management</i>	10/2020

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,
10/1/2020–3/31/2021**

Report #	Report Title	Date Issued
Office of Audits		
AUD-FM-IB-21-17	<i>Management Letter Related to the Audit of the U.S. Agency for Global Media FY 2020 Financial Statements</i>	2/2021
AUD-CGI-21-14	<i>Information Report: Review of the U.S. Agency for Global Media Compliance With Executive Order 13950 on Combating Race and Sex Stereotyping</i>	12/2020
AUD-FM-IB-21-10	<i>Independent Auditor’s Report on the U.S. Agency for Global Media FY 2020 Financial Statements</i>	11/2020
AUD-CGI-IB-21-07	<i>Information Report: U.S. Agency for Global Media 2020 Charge Card Risk Assessment</i>	11/2020
Office of Inspections		
ISP-IB-21-06	<i>Targeted Inspection of the U.S. Agency for Global Media: Journalistic Standards and Principles</i>	12/2020

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, 10/1/2020–3/31/2021**

Report #	Report Title	Date Issued
Office of Audits		
AUD-IT-IB-21-21	<i>Audit of the U.S. Agency for Global Media FY 2020 Information Security Program</i>	3/2021

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 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, the Office of Inspections, and the Office of Audits did not undergo a peer review related to Quality Standards for Inspection and Evaluation during this reporting period. The date of the most recent peer review was June 15, 2020. In that review, the Office of Inspections, the Office of Evaluations and Special Projects, and the Office of Audits 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 the Office of Inspections and one evaluation report issued by the Office of Evaluations and Special Projects. All four reports reviewed generally met the Quality Standards for Inspection and Evaluation 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. It 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 March 31, 2021, as well as certain recommendations that were closed during the reporting period.

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 3/31/2021

Significant Open Recommendations	Potential Monetary Benefits
<i>Audit of the Department of State Bureau of African Affairs Monitoring and Coordination of the Trans-Sahara Counterterrorism Partnership Program</i> (AUD-MERO-20-42, 9/2020)	
Recommendation 5: OIG recommends that the Bureau of African Affairs in coordination with the Bureau of Administration, Office of the Procurement Executive, (a) determine whether \$89,511,708 in questioned costs related to the G5 Force Support Task Order (contract 19AQMM18F3925) were allowable and/or supportable; and (b) recover any costs determined to be unallowable and/or unsupported.	\$89,511,708
Recommendation 6: OIG recommends that the Bureau of African Affairs in coordination with the Bureau of Administration, Office of the Procurement Executive, (a) determine whether \$10,165,351 in questioned costs related to the Regional Boat Capability Program (contract SAQMMA17F4534) were allowable and/or supportable; and (b) recover any costs determined to be unallowable and/or unsupported.	\$10,165,351
Recommendation 7: OIG recommends that the Bureau of African Affairs in coordination with the Bureau of Administration, Office of the Procurement Executive, (a) determine whether \$3,302,260 in questioned costs related to the Salak Air Base Expansion (contract SAQMMA17F3555) were allowable and/or supportable; and (b) recover any costs determined to be unallowable and/or unsupported.	\$3,302,260

Significant Open Recommendations	Potential Monetary Benefits
Recommendation 8: OIG recommends that the Bureau of African Affairs in coordination with the Bureau of Administration, Office of the Procurement Executive, (a) determine whether \$5,984,138 in questioned costs related to the Niger C-130 Hangar (contract 19AQMM18F4856), were allowable and/or supportable; and (b) recover any costs determined to be unallowable and/or unsupported.	\$5,984,138
Recommendation 9: OIG recommends that the Bureau of African Affairs develop a written framework and work with other Government entities to achieve a whole-of-government approach in the execution of the Trans-Sahara Counterterrorism Partnership program that includes elements such as roles and responsibilities, organizational structure, and coordination mechanisms.	N/A
Recommendation 12: OIG recommends that the Bureau of African Affairs determine and take steps to hire the appropriate number of staff needed to manage, administer, and support the Trans-Sahara Counterterrorism Partnership projects.	N/A
<i>Audit of Department of State Compliance With the Geospatial Data Act of 2018 (AUD-MERO-20-41, 9/2020)</i>	
Recommendation 2: The Office of Inspector General recommends that the Bureau of Intelligence and Research, in coordination with and support from the Office of Management Strategy and Solutions and the Bureau of Information Resource Management, identify and survey geospatial data users throughout the Department of State to identify existing practices and expertise to assist in implementing each of the 13 covered agency responsibilities prescribed by the Geospatial Data Act of 2018, Section 759(a).	N/A
Recommendation 3: The Office of Inspector General recommends that the Bureau of Intelligence and Research, in coordination with and support from the Office of Management Strategy and Solutions and the Bureau of Information Resource Management, develop policies, procedures, and practices to implement each of the 13 covered agency responsibilities prescribed by the Geospatial Data Act of 2018, Section 759(a).	N/A
<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, 9/2020)</i>	
Recommendation 14: OIG recommends that the Bureau of Diplomatic Security develop an addendum to its January 2020 Overseas Vetting Guidelines, including instructions regarding how security certifications should be updated if key parts of the background investigation cannot be completed and how to proceed if security certifications lapse. The addendum should include instructions specific to updating security certifications for locally employed staff at missions in suspended operations status.	N/A

Significant Open Recommendations	Potential Monetary Benefits
<p><i>Compliance Follow-Up Audit of Bureau of Diplomatic Security Property Management Procedures for Protective Personnel Equipment</i> (AUD-SI-20-30, 7/2020)</p>	
<p>Recommendation 1: OIG recommends that the Bureau of Diplomatic Security develop and implement procedures to ensure that special agents acknowledge the receipt of protective personnel equipment (PPE) by signing and returning Form DS-584 and that all PPE is returned when no longer needed, in accordance with Foreign Affairs Manual guidance (14 FAM 425.3-4).</p>	N/A
<p><i>Review of the Afghan Special Immigrant Visa Program</i> (AUD-MERO-20-35, 6/2020)</p>	
<p>Recommendation 2: OIG recommends that the Senior Coordinating Official assess staffing levels at each stage of the Afghan Special Immigrant Visa program and report to OIG how the Department of State plans to (a) reduce the backlog of Afghan Special Immigrant Visa applicants to comply with the 9-month timeframe established by Congress, (b) maintain special immigrant visa staffing at an appropriate level to comply with the 9-month timeframe established by Congress, and (c) incorporate this information into congressional reporting.</p>	N/A
<p>Recommendation 5: OIG recommends that the Secretary of State or his designee direct an evaluation to determine if legacy systems should be updated or made interoperable or if a new system should instead be developed to minimize redundancy in data entry. The evaluation results should include (a) deployment dates for the updated, modified, or new system or an explanation as to why these improvements would not be prudent to execute and (b) other improvements that can be made to promote the efficacy of the Afghan Special Immigrant Visa program. The results of this evaluation should be provided to OIG and, as appropriate, incorporated into congressional reporting.</p>	N/A
<p><i>Audit of Selected Internal Controls for the Special Needs Education Allowance</i> (AUD-FM-20-33, 6/2020)</p>	
<p>Recommendation 1: OIG recommends that the Under Secretary for Management designate the “M Family Special Needs Committee” as a permanent coordinating body to complete implementation of the Special Needs Education Allowance reform remedies and to identify and execute additional internal controls that are necessary to effectually administer the Special Needs Education Allowance. The Foreign Affairs Manual should be updated to reflect the formal establishment of the committee, its membership, and responsibility for Special Needs Education Allowance administration.</p>	N/A
<p>Recommendation 7: OIG recommends that the Bureau of the Comptroller and Global Financial Services, in coordination with the Bureau of Medical Services, develop and implement a centralized review and payment process for Special Needs Education Allowance reimbursement claims. At a minimum, the process should require review of appropriate documentation to validate that a Special Needs Education Allowance expenditure claim was appropriate and in compliance with Department policy.</p>	N/A

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
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 Execution of Security-Related Construction Projects at U.S. Embassy Kabul, Afghanistan (AUD-MERO-19-40, 9/2019)</i>	
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
Recommendation 7: OIG recommends that the Bureau of Diplomatic Security, in coordination with the Bureau of Overseas Buildings Operations, 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 Office in Afghanistan.	N/A
Recommendation 8: OIG recommends that the Bureau of Diplomatic Security, in coordination with the Bureau of Overseas Buildings Operations, take steps to develop standardized designs for physical security structures for use at volatile posts in high-threat, high-risk areas around the world.	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
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

Significant Open Recommendations	Potential Monetary Benefits
<p><i>Management Assistance Report: Modernizing Processes To Maintain Overseas Buildings Operations Commissioning Documentation Is Needed</i> (AUD-MERO-19-31, 6/2019)</p>	
<p>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.</p>	N/A
<p><i>Audit of the Department of State Implementation of Policies Intended To Counter Violent Extremism</i> (AUD-MERO-19-27, 6/2019)</p>	
<p>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.</p>	N/A
<p>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.</p>	N/A
<p>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.</p>	N/A
<p>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.</p>	N/A
<p>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.</p>	N/A
<p>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.</p>	N/A

Significant Open Recommendations	Potential Monetary Benefits
<p>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.</p>	N/A
<p>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.</p>	N/A
<p><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)</p>	
<p>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.</p>	N/A
<p><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)</p>	
<p>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.</p>	N/A

Significant Open Recommendations	Potential Monetary Benefits
<p><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)</p>	
<p>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.</p>	N/A
<p><i>Audit of the Department of State’s Administration of its Aviation Program</i> (AUD-SI-18-59, 9/2018)</p>	
<p>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.</p>	N/A
<p>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.</p>	N/A
<p>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.</p>	N/A
<p><i>Audit of Cost Controls Within the Baghdad Life Support Services Contract Food Services Task Order SAQMMA14F0721</i> (AUD-MERO-18-55, 8/2018)</p>	
<p>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.</p>	N/A

Significant Open Recommendations	Potential Monetary Benefits
<p><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)</p>	
<p>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.</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 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.</p>	N/A
<p><i>Audit of the Department of State's Information Technology Configuration Control Board</i> (AUD-IT-17-64, 9/2017)</p>	
<p>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.</p>	N/A
<p>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.</p>	N/A
<p><i>Management Assistance Report: The Process to Authorize and Track Information Technology Systems Needs Improvement</i> (AUD-IT-17-56, 8/2017)</p>	
<p>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.</p>	N/A
<p><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)</p>	
<p>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.</p>	N/A

Significant Open Recommendations	Potential Monetary Benefits
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 (AUD-SI-17-21, 2/2017)</i>	
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
<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 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>Audit of the Department of State Travel Card Program (AUD-CGI-16-48, 9/2016)</i>	
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 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 (AUD-FM-16-31, 3/2016)</i>	
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

Significant Open Recommendations	Potential Monetary Benefits
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
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 (AUD-ACF-16-20, 12/2015)</i>	
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 Food Services Under the Afghanistan Life Support Services Contract (AUD-MERO-20-46, 9/2020)</i>	
Recommendation 1: OIG recommends that the Bureau of Administration, Office of the Procurement Executive, Office of Acquisitions Management, in coordination with U.S. Embassy Kabul and the Bureau of South and Central Asian Affairs, determine whether additional Contracting Officer’s Representatives are required to oversee the Afghanistan Life Support Services contract during the “bridge” year and when it is transitioned to the Diplomatic Platform Support Services contract. If so, take actions to appoint those Contracting Officer’s Representatives.	N/A
Recommendation 2: OIG recommends that the Bureau of Administration, Office of the Procurement Executive, Office of Acquisitions Management, in coordination with U.S. Embassy Kabul and the Bureau of South and Central Asian Affairs, update the COR oversight checklist to include all performance standards and requirements outlined in the ALISS food services task order (SAQMMA15F0686).	N/A
Recommendation 4: OIG recommends that the Bureau of South and Central Asian Affairs, in coordination with the Bureau of Administration, Office of the Procurement Executive, Office of Acquisitions Management incorporate a requirement for the contractor to develop a cost control plan into the Diplomatic Platform Support Services contract’s request for task order proposals for food services in Afghanistan.	N/A
Recommendation 5: OIG recommends that the Bureau of South and Central Asian Affairs, in coordination with the Bureau of Administration, Office of the Procurement Executive, Office of Acquisitions Management take appropriate steps to ensure a cost control plan is executed under the Diplomatic Platform Support Services contract’s food services task order in Afghanistan.	N/A
<i>Audit of Department of State Foreign Assistance Grants and Cooperative Agreements in Somalia (AUD-MERO-20-45, 9/2020)</i>	
Recommendation 3: OIG recommends that the Bureau of Counterterrorism develop and implement a risk management process, including administrative responsibilities and internal control procedures to mitigate risks, and document this risk management process in its Standard Operating Procedures: Grants and Cooperative Agreements, as required by the Federal Assistance Directive.	N/A
Recommendation 5: OIG recommends that the Bureau of Counterterrorism (a) develop and implement a process to verify implementation of its Standard Operating Procedure 20.2 “Review Quarterly Programmatic Report,” which requires Grants Officer Representatives to review quarterly programmatic reports within 30 days of receipt and document their reviews in the official award file, and (b) document the official Federal award file to indicate the review and approval of the Performance Progress Report within 30 days of receipt, as required by the Federal Assistance Directive, for the Somali Law Enforcement: Local Policing award (SLMAQM18CA2066) and the Building an Effective, Fit-for-Purpose Financial Reporting Centre in Somalia award (SLMAQM17CA2025).	N/A

Other Open Recommendations	Potential Monetary Benefits
<i>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)</i>	
Recommendation 2: OIG recommends that the Bureau of Overseas Buildings Operations establish and implement procedures, when circumstances warrant deviation from standard construction project closeout procedures, that require the Project Director to justify and document the decision to issue the Certificate of Substantial Completion before all major building systems are tested and commissioned, including how such decisions influence project milestones, the additional costs to be incurred, and the projected final acceptance date of the project.	N/A
Recommendation 3: OIG recommends that the Bureau of Overseas Buildings Operations establish and implement procedures requiring Project Directors assigned to execute a construction project to ensure that a complete and accurate punch list is provided to the contractor with the issuance of the Certificate of Substantial Completion.	N/A
Recommendation 4: OIG recommends that the Bureau of Overseas Buildings Operations establish and implement procedures, when circumstances warrant deviation from standard construction project closeout procedures, that require the Project Directors to justify and document the decision to issue the Certificate of Substantial Completion without promptly providing a consolidated, complete, and accurate punch list to the contractor, including the impact of such decisions on the projected final acceptance date of the project and the additional costs to be incurred as a result.	N/A
Recommendation 6: OIG recommends that the Bureau of Overseas Buildings Operations establish and implement procedures, when circumstances warrant deviation from established staffing plans for capital construction projects, that require the Project Director to document the deviation from the staffing plan, including the effect of such decisions on project milestones, the additional costs to be incurred, and the projected final acceptance date of the project.	N/A
Recommendation 10: OIG recommends that the Bureau of Overseas Buildings Operations update the OBO Construction Management Guidebook to clarify that punch list items must be documented and tracked separately from warranty list items to avoid ambiguity.	N/A
Recommendation 11: OIG recommends that the Bureau of Overseas Buildings Operations, in concert with Recommendation 10, establish and communicate the required process to track and clear punch list and warranty list items to ensure consistent application of the process across all construction projects.	N/A

Other Open Recommendations	Potential Monetary Benefits
<p><i>Audit of the Department of State Bureau of African Affairs Monitoring and Coordination of the Trans-Sahara Counterterrorism Partnership Program</i> (AUD-MERO-20-42, 9/2020)</p>	
<p>Recommendation 1: OIG recommends that the Bureau of African Affairs develop and implement bureau-wide standard operating procedures for conducting invoice reviews that include (a) steps to independently verify contractor performance is acceptable; (b) methods to ensure payments are authorized, accurate, legal, and correct and that the goods were actually received or services were actually performed; and (c) validation that the certifying officer makes payments only after receiving approval from an officer with knowledge of the receipt of the goods or services covered by the voucher.</p>	N/A
<p>Recommendation 2: OIG recommends that the Bureau of African Affairs develop and implement procedures that ensure personnel charged with monitoring and overseeing the Trans-Sahara Counterterrorism Partnership projects in the countries of performance are formally authorized to perform these functions through designation as a government technical monitor or alternate contracting officer’s representatives in accordance with the Foreign Affairs Handbook Section 14 FAH-2 H-140.</p>	N/A
<p>Recommendation 3: OIG recommends that the Bureau of African Affairs (AF), in coordination with the Bureau of Administration, Office of the Procurement Executive, (a) develop a monitoring plan template that can be tailored to each contract, a quality assurance surveillance plan template that can be tailored to each contract, and include these plans in the contract requirements checklist used by contracting officer’s representatives (CORs) overseeing the Trans-Sahara Counterterrorism Partnership projects; and (b) ensure that CORs use these plans and other monitoring methods described in 14 FAH-2 H-520 to perform oversight of contracts.</p>	N/A
<p>Recommendation 4: OIG recommends that the Bureau of African Affairs develop a process to monitor assistance provided to host nations participating in the Trans-Sahara Counterterrorism Partnership. In doing so, the Bureau should consider the methods described in 14 FAH-2 H-522.8, “Creative Monitoring,” such as global positioning systems units to track the locations and travel of contractors, badge readers to determine number of individuals served at an event, and the use of radio frequency identification to track property, deliveries, and locations.</p>	N/A
<p>Recommendation 10: OIG recommends that the Bureau of African Affairs establish and implement memoranda of understanding with the Office of Security Cooperation and other partners, as applicable, to describe roles and responsibilities for coordinating, executing, and monitoring Trans-Sahara Counterterrorism Partnership (TSCTP) projects in the countries where TSCTP is implemented, including establishment of a structure for communicating and coordinating in-country.</p>	N/A

Other Open Recommendations	Potential Monetary Benefits
<p>Recommendation 11: OIG recommends that the Bureau of African Affairs, in coordination with relevant bureaus, establish, populate, and maintain a central repository of all Trans-Sahara Counterterrorism Partnership projects, accessible to those involved with the execution of projects, that includes project name and identification number, the project proposal, the award mechanism, a detailed description of the project, and project documentation needed for implementation.</p>	N/A
<p>Recommendation 13: OIG recommends that the Bureau of African Affairs establish and lead a working group to develop and implement an action plan to address the longstanding challenges associated with monitoring and coordinating the Trans-Sahara Counterterrorism Partnership projects.</p>	N/A
<p><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, 9/2020)</i></p>	
<p>Recommendation 2: OIG recommends that the Under Secretary for Management establish an oversight mechanism to ensure that certifications in support of the continued employment of locally employed staff at missions in suspended operations status are submitted every 6 months, in accordance with the Office of Overseas Employment policy, Policy on Employment of Locally Employed (LE) Staff at U.S. Missions in Suspended Operations Status, November 2017.</p>	N/A
<p>Recommendation 4: OIG recommends that the Office of Overseas Employment develop guidance requiring that regional bureaus actively involve U.S. Direct Hire supervisors in decisions to recertify locally employed staff as caretakers in accordance with established policy. Information gathered from U.S. Direct Hire supervisors should include, but not be limited to, data on the extent to which employees are regularly reporting to work, data on those employees who may require updated work plans or job reassignments, data on those employees who are no longer living in the host country, and the extent to which ongoing duties assigned to locally employed staff continue to be mission essential.</p>	N/A
<p>Recommendation 8: OIG recommends that the Yemen Affairs Unit 1) review all current locally employed staff titles and positions, 2) identify those that do not accurately reflect current titles and duties, and 3) revise locally employed staff titles, position descriptions, and workplans, as appropriate.</p>	N/A
<p>Recommendation 9: OIG recommends that the Office of Overseas Employment develop guidance outlining specific mechanisms for providing locally employed staff at posts in suspended operations status with ongoing opportunities for training, including those required to fulfill position-specific training requirements and to promote professional development. Guidance should include suggestions for identifying opportunities for training outside of the host country or online training when access to Department systems and networks is limited.</p>	N/A

Other Open Recommendations	Potential Monetary Benefits
<p><i>Management Assistance Report: Execution of the New Embassy Compound London Construction Project Offers Multiple Lessons</i> (AUD-CGI-20-36, 7/2020)</p>	
<p>Recommendation 7: OIG recommends that, once an accurate consolidated schedule of defects is developed (Recommendation 6), the Bureau of Overseas Buildings Operations, in coordination with Embassy London, establish timeframes for completing all identified defects and verify completion before final acceptance.</p>	N/A
<p><i>Review of the Afghan Special Immigrant Visa Program</i> (AUD-MERO-20-35, 6/2020)</p>	
<p>Recommendation 3: OIG recommends that the Senior Coordinating Official evaluate the staffing level at the Office of Screening, Analysis, and Coordination and determine the appropriate staffing needed to review applications.</p>	N/A
<p><i>Management Assistance Report: Quarterly Reporting on Afghan Special Immigrant Visa Program Needs Improvement</i> (AUD-MERO-20-34, 6/2020)</p>	
<p>Recommendation 1: OIG recommends that the Assistant Secretary for Consular Affairs develop and implement guidance for the entities involved with the processing of Afghan special immigrant visas that establishes a uniform method to be used for calculating and reporting average wait times.</p>	N/A
<p>Recommendation 2: OIG recommends that the Assistant Secretary for Consular Affairs direct the Immigration and Employment Division to comply with the reporting requirements outlined in the Afghan Allies Protection Act of 2009, as amended, including providing detailed explanations for the failure to process any applications that have been pending for longer than 9 months, consistent with the requirements established in the FY 2014 National Defense Authorization Act, Section 1219, Paragraph 12, Reports on Improvements.</p>	N/A
<p>Recommendation 3: OIG recommends that the Assistant Secretary for Consular Affairs develop and implement internal management controls to verify and validate the accuracy and completeness of the information obtained from the entities involved with the processing of Afghan special immigrant visas, and require that identified efficiency improvements are reported quarterly, in accordance with the Afghan Allies Protection Act of 2009, as amended.</p>	N/A
<p><i>Audit of Selected Internal Controls for the Special Needs Education Allowance</i> (AUD-FM-20-33, 6/2020)</p>	
<p>Recommendation 2: OIG recommends that the Under Secretary for Management develop and publish specific guidance in the Foreign Affairs Manual to clarify guidance on obtaining a medical clearance based on educational needs, as it relates to the Special Needs Education Allowance. At a minimum, the guidance should describe the process to obtain medical clearances for children with special needs.</p>	N/A

Other Open Recommendations	Potential Monetary Benefits
Recommendation 3: OIG recommends that the Under Secretary for Management develop and incorporate specific guidance in the Foreign Affairs Manual for the Special Needs Education Allowance eligibility determination process. At a minimum, the guidance should describe the process to determine eligibility for the allowance and a process to appeal an ineligible determination.	N/A
Recommendation 4: OIG recommends that the Under Secretary for Management incorporate in the Foreign Affairs Manual the guidance outlined in the Department of State Standardized Regulations concerning the allowability of special needs children to reside at post when not in school.	N/A
Recommendation 5: OIG recommends that the Under Secretary for Management update guidance in the Foreign Affairs Manual, 3 FAM 3284, “Required Documentation,” to include specific, detailed, required contents of an Individual Learning Plan for children with special needs that mirror the requirements prescribed by the Individuals with Disabilities Education Improvement Act for an individualized education program.	N/A
Recommendation 6: OIG recommends that the Under Secretary for Management update guidance in the Foreign Affairs Manual, 3 FAM 3285, “Department of State Policy,” to establish parameters and guidance for decision makers regarding the term “as flexibly as possible” used in reference to authorizing the Special Needs Education Allowance so that it complies with the requirements of the Department of State Standardized Regulations.	N/A
Recommendation 8: OIG recommends that the Bureau of the Comptroller and Global Financial Services incorporate in the Foreign Affairs Manual or the Foreign Affairs Handbook required use of a Special Needs Education Allowance project code or a budget object code to record expenditures in the Department’s financial management system.	N/A
Recommendation 9: OIG recommends that the Bureau of the Comptroller and Global Financial Services establish and disseminate instructions to posts on the proper use of the Special Needs Education Allowance project code or budget object code (referenced in Recommendation 8) to accurately track expenditures in the Department’s financial management system.	N/A
Recommendation 10: OIG recommends that the Under Secretary for Management (a) direct the “M Family Special Needs Committee” (as designated in Recommendation 1) to develop and implement monitoring activities for administering the Special Needs Education Allowance that, at a minimum and in accordance with the Standards for Internal Control in the Federal Government, include establishing a baseline, monitoring internal controls, and evaluating the results and (b) incorporate the responsibilities for monitoring the Special Needs Education Allowance in the Foreign Affairs Manual.	N/A
Recommendation 11: OIG recommends that the Under Secretary for Management (a) direct the “M Family Special Needs Committee” (as designated in Recommendation 1) to develop and implement a process to identify, evaluate, and remediate deficiencies identified with the Special Needs Education Allowance, that at a minimum and in accordance with the Standards for Internal Control in the Federal Government, include the reporting of issues, evaluations of issues, and corrective action documentation and (b) incorporate the responsibilities for the processes in the Foreign Affairs Manual.	N/A

Other Open Recommendations	Potential Monetary Benefits
Recommendation 12: OIG recommends that the Bureau of Medical Services develop and implement internal policies and procedures to guide and document the processes followed to review and authorize Special Needs Education Allowance applications.	N/A
Recommendation 13: OIG recommends that the Bureau of Medical Services develop and implement internal policies and procedures to guide the effective use of eMED to document the Special Needs Education Allowance application status. The policies and procedures should ensure accurate, real-time data are available to appropriate Department of State officials.	N/A
Recommendation 14: OIG recommends that the Bureau of Administration, Deputy Assistant Secretary for Operations, Office of Allowances, develop and implement internal controls to ensure the Special Needs Education Allowance rates are reviewed annually, as required by Office of Allowances standard operating procedures.	N/A
Recommendation 15: OIG recommends that the Bureau of Administration, Deputy Assistant Secretary for Operations, Office of Allowances, update its methodology for calculating the Special Needs Education Allowance school at post and school away from post rates to require the use of actual Special Needs Education Allowance expenditures as the basis for the establishing rates.	N/A
<i>Audit of Global Engagement Center Federal Assistance Award Management and Monitoring (AUD-MERO-20-26, 4/2020)</i>	
Recommendation 2: OIG recommends that the Global Engagement Center implement to the extent feasible the results of the staffing needs assessment conducted in response to Recommendation 1.	N/A
<i>Management Assistance Report: Legal Determination Concerning Department of State Non-Acquisition Interagency Agreements Is Needed (AUD-MERO-20-24, 4/2020)</i>	
Recommendation 2: OIG recommends that the Bureau of Administration, Office of the Procurement Executive, update Procurement Information Bulletin 2014-05 and other Department of State policy governing non-acquisition interagency agreements, once it receives the legal determination resulting from Recommendation 1, regarding the use of a notice to proceed to extend the period of performance for a non-acquisition interagency agreement, to incorporate the policy and communicate the determination to all relevant stakeholders.	N/A
Recommendation 4: OIG recommends that the Bureau of Administration, Office of the Procurement Executive, update Procurement Information Bulletin 2014-05 and other Department of State policy governing non-acquisition interagency agreements, once it receives the legal determination and ratification procedures resulting from Recommendation 3, to incorporate the policy and communicate the ratification procedures to all relevant stakeholders.	N/A

Other Open Recommendations	Potential Monetary Benefits
<p><i>Review of Delays Encountered Constructing the New Embassy Compound in Ashgabat, Turkmenistan</i> (AUD-MERO-20-20, 2/2020)</p>	
<p>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.</p>	N/A
<p>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.</p>	\$125,000,000
<p><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)</p>	
<p>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.</p>	N/A
<p><i>Audit of Mission Turkey and Embassy Beirut Fuel Oversight and Payment Process</i> (AUD-MERO-20-19, 1/2020)</p>	
<p>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.</p>	N/A
<p>Recommendation 15: OIG recommends that Embassy Beirut, Lebanon, purchase and install a fuel flow meter to independently verify the quantity of fuel delivered by the contractor.</p>	N/A
<p>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.</p>	N/A

Other Open Recommendations	Potential Monetary Benefits
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
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>Audit of the Department of State's FY 2019 Implementation of the Digital Accountability and Transparency Act of 2014</i> (AUD-FM-20-05, 11/2019)	
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

Other Open Recommendations	Potential Monetary Benefits
<p>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.</p>	N/A
<p>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.</p>	N/A
<p>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.</p>	N/A
<p><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)</p>	
<p>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.</p>	N/A
<p>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.</p>	N/A
<p>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.</p>	N/A
<p>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.</p>	N/A

Other Open Recommendations	Potential Monetary Benefits
<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 that 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
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
<i>Audit of Monitoring and Evaluating Department of State Foreign Assistance in the Philippines</i> (AUD-MERO-19-39, 9/2019)	
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
<i>Management Assistance Report: Open Audit Recommendations Awaiting Final Action and Closure</i> (AUD-AOQC-19-35, 9/2019)	
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
<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 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
<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

Other Open Recommendations	Potential Monetary Benefits
<i>Audit of Department of State Directorate of Defense Trade Controls Export Licensing Processes (AUD-SI-19-07, 2/2019)</i>	
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
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
<p><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)</p>	
<p>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.</p>	N/A
<p>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.</p>	N/A
<p>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.</p>	N/A
<p><i>Audit of the Department of State’s Administration of its Aviation Program</i> (AUD-SI-18-59, 9/2018)</p>	
<p>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.</p>	N/A
<p>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.</p>	N/A
<p>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.</p>	N/A

Other Open Recommendations	Potential Monetary Benefits
<p>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.</p>	N/A
<p><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)</p>	
<p>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.</p>	N/A
<p><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)</p>	
<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><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
<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
<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 submitters guide, provided to change request submitters to reflect the documentation that is required for a complete and accurate change request submission.</p>	N/A
<p>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.</p>	N/A

Other Open Recommendations	Potential Monetary Benefits
<p>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.</p>	N/A
<p>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.</p>	N/A
<p>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.</p>	N/A
<p>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.</p>	N/A
<p>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.</p>	N/A
<p>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.</p>	N/A
<p>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.</p>	N/A

Other Open Recommendations	Potential Monetary Benefits
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
<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

Other Open Recommendations	Potential Monetary Benefits
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
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

Other Open Recommendations	Potential Monetary Benefits
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
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 3/31/2021

Significant Open Recommendations	Potential Monetary Benefits
<i>Evaluation of the Bureau of Diplomatic Security's Aegis Construction Contract at Camp Eggers, Afghanistan (ESP-19-04, 7/2019)</i>	
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 Sand'a, Yemen (ESP-19-01, 10/2018)</i>	
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

Significant Open Recommendations	Potential Monetary Benefits
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
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. (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>Evaluation of the Department's Handling of Sexual Harassment Reports</i> (ESP-20-06, 9/2020)	
Recommendation 1: OIG recommends that GTM, in conjunction with OCR and OSI, develop and implement guidance that coordinates activities for referring harassment cases (including sexual harassment cases) to GTM. Specifically, the guidance should address: (a) when and how to refer a case and (b) the investigative documentation necessary to make a disciplinary decision. GTM, OCR, and OSI should include stakeholders, such as L/EMP and OIG, in the development of this guidance.	N/A
Recommendation 3: OIG recommends that GTM update the guides for supervisors of Foreign Service and civil service employees so that they contain the latest Department guidance on disciplinary issues, including sexual harassment generally and the obligation for supervisors to report sexual harassment.	N/A
Recommendation 4: OIG recommends that OCR formalize its newly established timeliness standards for investigating reports of sexual harassment and assess whether the office is able to meet the standards.	N/A
Recommendation 5: OIG recommends that GTM establish and implement timeliness standards for determining discipline for sexual harassment cases.	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

Other Open Recommendations	Potential Monetary Benefits
<i>Evaluation of the Antiterrorism Assistance Explosive Detection Canine Program – Health and Welfare</i> (ESP-19-06, 9/2019)	N/A
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)	N/A
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)	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)	N/A
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)	N/A
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; and	N/A

Other Open Recommendations	Potential Monetary Benefits
(4) Such other information and assistance as may be requested in order to complete the OIG activity.”	
<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
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 3/31/2021

Significant Open Recommendations	Potential Monetary Benefits
<i>Inspection of Embassy London and Constituent Posts, United Kingdom</i> (ISP-I-20-12, 8/2020)	
Recommendation 9: Embassy London, in coordination with the Bureaus of the Comptroller and Global Financial Services, Global Talent Management, and European and Eurasian Affairs, should implement a plan to fund current liabilities and reduce future liabilities in the locally employed staff defined benefit pension plan in order to comply with local labor law and address long-term funding concerns.	N/A
<i>Inspection of Embassy Bern, Switzerland</i> (ISP-I-20-21, 5/2020)	
Recommendation 1: Embassy Bern, in coordination with the Bureaus of Consular Affairs, Diplomatic Security, and Overseas Buildings Operations, should conduct a cost-benefit analysis to determine whether to continue consular operations in Zurich and Geneva or instead to consolidate them in the embassy.	N/A
<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
<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

Significant Open Recommendations	Potential Monetary Benefits
<p>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.</p>	N/A
<p><i>Inspection of U.S. Mission to Somalia</i> (ISP-I-19-09, 10/2018)</p>	
<p>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.</p>	N/A
Other Open Recommendations	Potential Monetary Benefits
<p><i>Inspection of Embassy Windhoek, Namibia</i> (ISP-I-20-32, 9/2020)</p>	
<p>Recommendation 1: The Bureau of African Affairs, in coordination with the Office of Policy, Planning, and Resources for Public Diplomacy and Public Affairs and Embassy Windhoek, should implement the Public Diplomacy Staffing Modernization Initiative at Embassy Windhoek.</p>	N/A
<p>Recommendation 3: Embassy Windhoek should create and maintain a disaster assistance kit and prepare for potential disasters by completing the Consular Crisis Preparedness Scorecard and the Consular Risk Assessment Tool in accordance with Department guidance.</p>	N/A
<p>Recommendation 5: Embassy Windhoek should resolve financial management internal controls deficiencies to meet Department standards.</p>	N/A
<p>Recommendation 7: Embassy Windhoek, in coordination with the Bureaus of African Affairs and Administration, should review unauthorized commitments totaling \$1.37 million to determine whether they should be ratified in accordance with Department standards.</p>	N/A
<p>Recommendation 8: Embassy Windhoek, in coordination with the Bureau of Administration, should implement and enforce property management internal controls and standard operating procedures in accordance with Department standards.</p>	N/A
<p>Recommendation 9: Embassy Windhoek should bring its motor vehicle fleet operations into compliance with Department standards.</p>	N/A
<p>Recommendation 11: Embassy Windhoek should implement a records management program that complies with Department standards.</p>	N/A
<p><i>Inspection of Embassy Prague, Czech Republic</i> (ISP-I-20-28, 9/2020)</p>	
<p>Recommendation 2: Embassy Prague, in coordination with the Bureau of Overseas Buildings Operations, should bring its safety, health, and environmental management program into compliance with Department standards.</p>	N/A

Other Open Recommendations	Potential Monetary Benefits
Recommendation 3: Embassy Prague, in coordination with the Bureau of Overseas Buildings Operations, should bring its fire protection program into compliance with Department standards.	N/A
Recommendation 4: Embassy Prague should comply with Department standards for residential safety and security certifications.	N/A
Recommendation 7: Embassy Prague should complete annual tests of the information technology contingency plans for the unclassified and classified networks in accordance with Department standards.	N/A
Recommendation 8: Embassy Prague should conduct refresher information technology contingency training for employees with information technology contingency planning responsibilities in accordance with Department standards.	N/A
<i>Inspection of Embassy Ouagadougou, Burkina Faso (ISP-I-20-18, 9/2020)</i>	
Recommendation 1: Embassy Ouagadougou should retire its official records in accordance with Department standards.	N/A
Recommendation 2: Embassy Ouagadougou should comply with applicable Department overseas motor vehicle safety standards for chauffeurs and incidental drivers under chief of mission authority.	N/A
Recommendation 3: Embassy Ouagadougou, in coordination with the Bureau of Administration, should dispose of excess vehicles according to Department guidelines and put proceeds of sales to better use.	N/A
Recommendation 4: Embassy Ouagadougou should implement controls to verify the integrity of data entered into the Fleet Management Information System, in accordance with Department standards.	N/A
Recommendation 5: Embassy Ouagadougou should conduct annual reviews of its blanket purchase agreements in accordance with Department standards.	N/A
Recommendation 6: Embassy Ouagadougou should implement procedures to conduct acquisition and property management in accordance with Department standards.	N/A
Recommendation 7: Embassy Ouagadougou, in coordination with the Regional Procurement Support Office Frankfurt and the Bureau of Administration, should comply with Department contracting officer's representative program standards.	N/A
Recommendation 8: Embassy Ouagadougou should comply with Department standards for managing classified and unclassified network user accounts for departing employees.	N/A
Recommendation 9: Embassy Ouagadougou should implement inventory control procedures for its information technology equipment in accordance with Department guidelines.	N/A
Recommendation 10: Embassy Ouagadougou should terminate personal internet and television support to American embassy employees in accordance with Department standards.	N/A

Other Open Recommendations	Potential Monetary Benefits
<i>Inspection of the Bureau of European and Eurasian Affairs</i> (ISP-I-20-15, 9/2020)	
Recommendation 1: The Bureau of European and Eurasian Affairs should staff the Office of the Special Envoy for Holocaust Issues in accordance with Department guidelines.	N/A
Recommendation 3: The Bureau of European and Eurasian Affairs should review and de-obligate any of the unliquidated obligations totaling \$3.3 million without activity for over 1 year and put de-obligated funds to better use.	\$3,300,000
Recommendation 4: The Bureau of European and Eurasian Affairs, in coordination with the Bureau of Administration, should evaluate the administrative professional services contract in accordance with Office of Acquisitions Management direction and Department standards.	N/A
Recommendation 5: The Bureau of Information Resource Management, in coordination with the Bureau of European and Eurasian Affairs, should update the master service level agreement governing roles and responsibilities related to information technology services.	N/A
<i>Inspection of Embassy London and Constituent Posts, United Kingdom</i> (ISP-I-20-12, 8/2020)	
Recommendation 2: Embassy London should implement a reporting plan for its Public Diplomacy Section.	N/A
Recommendation 4: Embassy London should install a closed-circuit television monitoring system or other means to enable Consular Section managers to visually observe the activities within the American citizen services cashier booth.	N/A
Recommendation 6: Embassy London, in coordination with the Bureau of Overseas Buildings Operations, should bring Consulate General Edinburgh's consular waiting room into compliance with current Department standards.	N/A
Recommendation 8: Embassy London should inventory the personal property located in Consulate General Edinburgh's consular safe and properly dispose of the property if the owners cannot be located, in accordance with Department standards.	N/A
Recommendation 10: Embassy London, in coordination with the Bureaus of European and Eurasian Affairs and of 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, in order to put funds of \$243,993 over 3 years, per position, to better use.	\$243,993
Recommendation 11: Embassy London should use the Integrated Logistics Management System to track all expendable supplies in accordance with Department standards.	N/A
Recommendation 12: Embassy London should dispose of excess nonexpendable property in accordance with Department guidelines.	N/A
Recommendation 13: Embassy London should complete and document safety certifications of all mission residences in the Post Occupational Safety and Health Officer Certification Application, in accordance with Department standards.	N/A

Other Open Recommendations	Potential Monetary Benefits
Recommendation 14: Embassy London should close out procurement files in accordance with Department standards.	N/A
Recommendation 15: Embassy London should conduct annual reviews of its blanket purchase agreements in accordance with Department standards.	N/A
Recommendation 20: Embassy London, in coordination with Regional Information Management Center Frankfurt and the Bureau of Information Resource Management, should establish an operational high frequency radio system.	N/A
Recommendation 21: Embassy London should complete the systems authorization process for its locally developed applications as required by Department standards.	N/A
<i>Compliance Follow-Up Review: Targeted Review of Leadership and Management at the National Passport Center</i> (ISP-C-20-27, 6/2020)	
Recommendation 5: The Bureau of Consular Affairs should require the National Passport Center to develop and publish policies, in compliance with applicable Department standards, that cover shift hours/core hours, flexible work schedules, awards program, and leave without pay.	N/A
Recommendation 6: The Bureau of Consular Affairs should review the National Passport Center's use of the second shift and institute changes to provide for greater supervision of employees and minimize premium pay costs.	N/A
<i>Inspection of Embassy Dhaka, Bangladesh</i> (ISP-I-20-17, 6/2020)	
Recommendation 9: Embassy Dhaka should install a closed-circuit television monitoring system or other means to enable consular managers to visually observe the activities within the Consular Section cashier booth.	N/A
Recommendation 14: Embassy Dhaka should dismantle and remove its shipping containers and portable structures in accordance with Department requirements.	N/A
Recommendation 15: Embassy Dhaka should close out procurement files in accordance with Department standards.	N/A
Recommendation 17: Embassy Dhaka, in coordination with the Bureau of Overseas Buildings Operations, should conduct a technical review of the design plans for the two structures used as warehouses on the embassy annex compound and submit the survey for approval, in accordance with Department standards.	N/A
Recommendation 18: Embassy Dhaka, in coordination with the Bureau of Overseas Buildings Operations, should complete all elevator repairs needed to obtain a current certificate of use for each elevator, in accordance with Department standards.	N/A

Other Open Recommendations	Potential Monetary Benefits
<i>Inspection of U.S. Mission to the United Nations and Other International Organizations in Geneva, Switzerland</i> (ISP-I-20-16, 6/2020)	
Recommendation 3: The Bureau of International Organization Affairs, in coordination with Mission Geneva and the Office of the Legal Adviser, should implement a standard operating procedure for the promotion and efficient tracking of U.S. citizen employment at the United Nations and other international organizations that includes Mission Geneva.	N/A
Recommendation 11: Mission Geneva should bring the safety, health, and environmental management program into compliance with Department standards.	N/A
<i>Inspection of the Bureau of Counterterrorism's Foreign Assistance Program Management</i> (ISP-I-20-14, 6/2020)	
Recommendation 7: The Bureau of Counterterrorism should monitor funds spent through its interagency agreements with the Department of Justice Office of Overseas Prosecutorial Development and Assistance Training and take corrective actions as needed, in accordance with Department guidance.	N/A
<i>Inspection of Embassy Kathmandu, Nepal</i> (ISP-I-20-22, 5/2020)	
Recommendation 4: Embassy Kathmandu should comply with all Department overseas motor vehicle safety standards for chauffeurs and incidental drivers under chief of mission authority.	N/A
Recommendation 12: Embassy Kathmandu, in coordination with the Bureau of Global Talent Management, should bring its local compensation plan into compliance with Nepali labor laws.	N/A
Recommendation 14: Embassy Kathmandu should comply with the Department's accounting standards for the local employee retirement Provident Fund.	N/A
Recommendation 15: Embassy Kathmandu should require that the Information Systems Security Officer perform information systems security duties in accordance with Department standards.	N/A
Recommendation 17: Embassy Kathmandu should complete information technology contingency plans for the unclassified and classified networks and tests the plans in accordance with Department standards.	N/A
<i>Inspection of Embassy Bern, Switzerland</i> (ISP-I-20-21, 5/2020)	
Recommendation 2: Embassy Bern, in coordination with the Bureau of Overseas Buildings Operations, should provide accommodations for consular applicants in accordance with Department standards.	N/A
Recommendation 6: Embassy Bern, in coordination with the Bureau of Global Talent Management, should update its local compensation plan to comply with Government of Switzerland labor law, in accordance with Department standards.	N/A

Other Open Recommendations	Potential Monetary Benefits
<i>Inspection of Embassy Yaoundé, Cameroon</i> (ISP-I-20-20, 5/2020)	
Recommendation 3: Embassy Yaoundé should install a closed-circuit television monitoring system or other means to enable consular managers to visually observe the activities within the Consular Section cashier booth.	N/A
Recommendation 13: Embassy Yaoundé should conduct records retirement in accordance with Department records management standards.	N/A
<i>Inspection of the Bureau of Counterterrorism</i> (ISP-I-20-13, 5/2020)	
Recommendation 2: The Bureau of Counterterrorism should implement a plan to improve policy guidance, training, and administrative support for Regional Field Coordinators.	N/A
Recommendation 4: The Bureau of Counterterrorism, in coordination with the Bureau of Administration, should designate an employee with substantive knowledge of contract 19AQMM18F2561 as the contracting officer's representative.	N/A
Recommendation 6: The Bureau of Counterterrorism should implement a plan to measure the effectiveness of administrative services, make service improvements based on these metrics, and communicate regularly about administrative issues within the bureau.	N/A
Recommendation 8: The Bureau of Counterterrorism should comply with Department standards to prepare a bureau emergency action plan.	N/A
Recommendation 9: The Bureau of Counterterrorism should establish a policy on personal use of U.S. Government cell phones in accordance with Department standards.	N/A
Recommendation 11: The Bureau of Counterterrorism should establish a records management program that complies with Department standards.	N/A
<i>Inspection of Embassy Vilnius, Lithuania</i> (ISP-I-20-29, 4/2020)	
Recommendation 2: Embassy Vilnius, in coordination with the Bureaus of Overseas Buildings Operations and Consular Affairs, should provide a wheelchair-accessible interview window for consular applicants in accordance with Department standards.	N/A
Recommendation 5: Embassy Vilnius, in coordination with the Bureau of Overseas Buildings Operations, should implement short- and long-term strategies to mitigate and resolve server room deficiencies that violate Department and Occupational Safety and Health Administration standards.	N/A
<i>Inspection of Embassy Canberra and Constituent Posts, Australia</i> (ISP-I-20-07, 2/2020)	
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

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 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
<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
Recommendation 5: Embassy Nouakchott should bring its event data recorder program into compliance with Department standards.	N/A
Recommendation 12: Embassy Nouakchott should close out procurement files in accordance with Department standards.	N/A
<i>Inspection of Embassy N’Djamena, Chad</i> (ISP-I-20-02, 11/2019)	
Recommendation 9: Embassy N’Djamena should implement procurement and property management processes in accordance 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
<i>Inspection of Embassy Maseru, Lesotho</i> (ISP-I-20-01, 10/2019)	
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</i> (ISP-I-19-37, 9/2019)	
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

Other Open Recommendations	Potential Monetary Benefits
<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 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
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 (ISP-I-19-25, 7/2019)</i>	
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 (ISP-I-19-20, 7/2019)</i>	
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

Other Open Recommendations	Potential Monetary Benefits
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
<i>Inspection of Embassy Santo Domingo, Dominican Republic</i> (ISP-I-19-17, 7/2019)	
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 11: Embassy Santo Domingo should close out procurement files 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 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 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
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

Other Open Recommendations	Potential Monetary Benefits
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 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 (ISP-I-19-06, 2/2019)</i>	
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 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
<i>Inspection of Embassy Kolonia, Federated States of Micronesia (ISP-I-19-05, 2/2019)</i>	
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

Other Open Recommendations	Potential Monetary Benefits
<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 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
<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

Other Open Recommendations	Potential Monetary Benefits
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 (ISP-I-19-08, 10/2018)</i>	
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 (ISP-I-18-22, 5/2018)</i>	
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 (ISP-I-18-19, 5/2018)</i>	
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
<i>Inspection of Embassy Addis Ababa, Ethiopia (ISP-I-18-18, 5/2018)</i>	
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 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

Other Open Recommendations	Potential Monetary Benefits
<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
<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
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
<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

Other Open Recommendations	Potential Monetary Benefits
<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
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>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
<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

Other Open Recommendations	Potential Monetary Benefits
<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)	
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 3/31/2021

Office of Audits
<i>Management Assistance Report: Department of State Guidance Does Not Comply With Federal Travel Regulations</i> (AUD-CGI-20-37, 6/2020)
<p>OIG made two recommendations to the Bureau of the Comptroller and Global Financial Services (CGFS) to update 1) the Foreign Affairs Manual and 2) the Foreign Affairs Handbook to reflect the requirements and exemptions found in the Federal Travel Regulation, 41 C.F.R., §§ 301-51.1, 301-51.2, 301-51.3, and 301-51.4. CGFS did not provide a response to a draft of the report, and has not provided an update on planned or implemented corrective actions since the report was issued. As a result, Recommendations 1 and 2 are considered unresolved.</p>

Table D.5
Reports Issued in Prior Reporting Period That Did Not Receive Comment Within 60 Days of Issuance, as of 3/31/2021

Office of Audits
<i>Management Assistance Report: Department of State Guidance Does Not Comply With Federal Travel Regulations</i> (AUD-CGI-20-37, 6/2020)
<p>OIG made two recommendations to the Bureau of the Comptroller and Global Financial Services (CGFS) to update 1) the Foreign Affairs Manual and 2) the Foreign Affairs Handbook to reflect the requirements and exemptions found in the Federal Travel Regulation, 41 C.F.R., §§ 301-51.1, 301-51.2, 301-51.3, and 301-51.4. CGFS did not provide a response to a draft of the report, and has not provided an update on planned or implemented corrective actions since the report was issued. As a result, Recommendations 1 and 2 are considered unresolved.</p>

Table D.6
Department of State Significant Revised Management Decisions, 10/1/2020–3/31/2021

None

Table D.7
Department of State Significant Management Decisions With Which OIG Disagreed, 10/1/2020–3/31/2021

None

Table D.8
Department of State Management Success in Implementing Recommendations,
10/1/2020–3/31/2021

Office of Audits
<p><i>Audit of Bureau of Overseas Buildings Operations Process To Identify and Apply Best Practices and Lessons Learned to Future Construction Projects</i> (AUD-MERO-20-39, 9/2020)</p> <p>In response to recommendations in this report, the Bureau of Overseas Buildings Operations (OBO), continues to expand and create a more agile Lessons Learned program to capture, analyze, and disseminate broader best practices and lessons learned in constructing embassies. The expansion will address factors such as strengthening collaboration among stakeholders, facilitating building maintenance, and improving program and construction management. Taking advantage of these opportunities could improve OBO operations and help achieve its stated goal of completing construction projects on time and within budget.</p>
<p><i>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</i> (AUD-MERO-20-32, 5/2020)</p> <p>In response to recommendations in this report, the Bureaus of Diplomatic Security and Counterterrorism took various actions. For example, the bureaus coordinated to establish a mechanism to monitor regionally funded Antiterrorism Assistance training programs, Department of Defense-funded Antiterrorism Assistance training, and mentorships. Additionally, both bureaus revised the Antiterrorism Assistance Monitoring Plan and quarterly report template to include measures on sustainability in accordance with the Foreign Affairs Manual. A Memorandum of Agreement was also updated to clarify which bureau is responsible for collecting and reporting this information.</p>
<p><i>Audit of the Office of the Coordinator for Assistance to Europe and Eurasia's Oversight of Foreign Assistance Funds Transferred to Implementing Partners</i> (AUD-CGI-20-12, 3/2020)</p> <p>In response to recommendations in this report, the Bureau of European and Eurasian Affairs, Office of the Coordinator of U.S. Assistance to Europe and Eurasia (ACE), took various actions. ACE developed and implemented an appropriate tool to maintain, track, and continually analyze foreign assistance programs under its purview. Additionally, ACE implemented standard operating procedures to effectively oversee foreign assistance programs being executed in the region by implementing partners.</p>
<p><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)</p> <p>In response to a recommendation in this report, the Bureau of Administration, Office of the Procurement Executive (A/OPE) included a standard provision related to obtaining reimbursements for value added taxes in all grants and cooperative agreements. This was done to prevent the unnecessary expenditure of funds. Additionally, A/OPE calculated an estimate of the anticipated savings within the first year of implementing this provision. The inclusion of the award provision is expected to result in a net reimbursement to the U.S. Government of \$244,402 or more as the provision continues to be implemented widely in all new applicable agreements.</p>

Office of Audits*Audit of the Department of State's Administration of its Aviation Program*
(AUD-SI-18-59, 9/2018)

In response to a recommendation in this report, the Bureau of International Narcotics and Law Enforcement Affairs developed and implemented new policies and procedures. These changes require 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.

Audit of Select Cost-of-Living Allowances for American Employees Stationed in Foreign Areas
(AUD-FM-17-51, 8/2017)

In response to recommendations in this report, the Bureau of Administration changed its process to calculate Cost-of-Living Allowances (COLA). New COLA rates that used independent economic data were published in October 2020. In addition, the Bureau reviewed and revised Department of State Standardized Regulations to reflect the change in post allowance methodology to a market-based calculation using independent economic data.

Office of Inspections*Inspection of Embassy Kathmandu, Nepal*
(ISP-I-20-22, 11/2020)

OIG recommended that Embassy Kathmandu cease paying for cleaning locally employed staff uniforms. In response to the recommendation, Embassy Kathmandu de-obligated the funds with the cancellation of the contract, resulting in funds put to better use of \$93,222.

Inspection of Embassy Canberra and Constituent Posts, Australia
(ISP-I-20-07, 2/2020)

OIG recommended that Embassy Canberra reprogram additional Diplomatic and Consular Program-funded Information Management positions to International Cooperative Administrative Support Services (ICASS)-funded positions and put funds of \$243,993 over 3 years per position to better use. In response to the recommendation, Embassy Canberra reprogrammed an additional Diplomatic and Consular Program-funded Information Management position to ICASS-funded position, resulting in funds put to better use of \$243,993 over 3 years for the reprogrammed position.

Inspection of Embassy Helsinki, Finland
(ISP-I-20-08, 12/2019)

OIG recommended that Embassy Helsinki dispose of excess expendable property in accordance with Department standards and put up to \$1.3 million to better use. In response to the recommendation, Embassy Helsinki provided documentation showing a full accounting of disposals of expendable property including sales from auctions resulting in \$250,114 to better use.

Office of Inspections*Inspection of Embassy Santo Domingo, Dominican Republic*
(ISP-I-19-17, 7/2019)

OIG recommended that Embassy Santo Domingo should clear overdue travel advances in accordance with Department guidelines and put up to \$55,020 to better use. In response, Embassy Santo Domingo provided documentation that it cleared the overdue travel advances by recouping funds from employees, resulting in \$37,554 being put to better use.

OIG also recommended that Embassy Santo Domingo transfer 14 unused Automated Fingerprint Information System units to the Dominican police or other Dominican agencies where they will be used. In response to the recommendation, Embassy Santo Domingo provided documentation that the Automated Fingerprint Identification System units (valued at \$394,348) were transferred to the Dominican National Police (DNP) agencies, resulting in funds put to be better use of \$394,348.

Inspection of Embassy Koror, Republic of Palau
(ISP-I-19-06, 2/2019)

OIG recommended that Embassy Koror request authorization to maintain additional vehicles or dispose of three vehicles according to Department guidelines and put proceeds of sale to better use. In response to the recommendation, Embassy Koror provided documentation that three vehicles were sold, resulting in funds put to better use of \$18,551.

Inspection of Embassy New Delhi and Constituent Posts, India
(ISP-I-19-10, 12/2018)

OIG recommended that Embassy New Delhi clear overdue travel advances in accordance with Department guidelines and put funds up to \$52,385 to better use. In response to the recommendation, Embassy New Delhi provided documentation that all travel advances were repaid; either through a cashier collected overpayment or a reduction in the amount paid to the employee on a travel voucher, resulting in funds put to better use of \$49,388.

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

OIG recommended that Embassy Riyadh 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. In response to the recommendation, Embassy Riyadh reprogrammed one Information Management Officer position to ICASS, resulting in funds put to better use of \$153,480.

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

Tables E.1 through E.7 report the status of open Office of Inspector General (OIG) recommendations to the U.S. Agency for Global Media (USAGM) as of March 31, 2021. 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
Agreed-upon corrective action is complete.

Table E.1
Open Office of Audits Recommendations Issued in Previous Periods, Pending Final U.S. Agency for Global Media Action, as of 3/31/2021

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
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	N/A

Other Open Recommendations	Potential Monetary Benefits
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.	
<i>Management Assistance Report: The Broadcasting Board of Governors Did Not Fully Address Invalid Unliquidated Obligations Identified During the FY 2016 Financial Statements Audit (AUD-FM-IB-18-28, 2/2018)</i>	
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 (AUD-FM-IB-18-04, 11/2017)</i>	
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 (AUD-FM-IB-15-24, 6/2015)</i>	
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 Evaluations and Special Projects Recommendations Issued in Previous Periods, Pending Final U.S. Agency for Global Media Action, as of 3/31/2021

Significant Open Recommendations	Potential Monetary Benefits
None	
Other Open Recommendations	Potential Monetary Benefits
<i>Management Assistance Report: U.S. Agency for Global Media Network Warning Banner (ESP-20-05, 9/2020)</i>	
Recommendation 1: The U.S. Agency for Global Media should adopt a network warning banner consistent with the guidance issued by the Department of Justice's Computer Crime and Intellectual Property Section.	N/A

Table E.3
Open Office of Inspections Recommendations Issued in Previous Periods, Pending Final U.S. Agency for Global Media Action, as of 3/31/2021

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.4
Report Recommendations Without Management Decision by the U.S. Agency for Global Media for More Than 6 Months, as of 3/31/2021

None

Table E.5
Reports Issued in Prior Reporting Period That Did Not Receive Comment Within 60 Days of Issuance, as of 3/31/2021

None

Table E.6
U.S. Agency for Global Media Significant Revised Management Decisions, 10/1/2020–3/31/2021

None

Table E.7
U.S. Agency for Global Media Significant Management Decisions With Which OIG Disagreed, 10/1/2020–3/31/2021

None

APPENDIX F: ABBREVIATIONS

Abbreviation	Full Name
ACE	U.S. Assistance to Europe and Eurasia
ALiSS	Afghanistan Life Support Services
ARSO-I	Assistant Regional Security Officer for Investigations
AUD	Office of Audits
CFR	Compliance Follow-Up Review
CGFS	Bureau of the Comptroller and Global Financial Services
CGI	Contracts, Grants, and Infrastructure
CIGIE	Council of the Inspectors General on Integrity and Efficiency
COLA	Cost-of-Living Allowances
COR	Contracting Officer's Representative
COVID-19	Coronavirus Disease 2019
DOJ	Department of Justice
DS	Bureau of Diplomatic Security
DQP	Data Quality Plan
EO	Executive Order
ESP	Office of Evaluations and Special Projects
FAH	Foreign Affairs Manual Handbook
FAM	Foreign Affairs Manual
FBI	Federal Bureau of Investigation
FY	fiscal year
GTM	Global Talent Management
ICASS	International Cooperative Administrative Support Services
INL	Bureau of International Narcotics and Law Enforcement Affairs
INV	Office of Investigations
ISIS	Islamic State of Iran and Syria
ISP	Office of Inspections
ISSO	information systems security officer
IT	information technology
LCCB	Local Configuration Control Board
LE	locally employed
LEO	Libya External Office
M	Undersecretary for Management
MERO	Middle East Region Operations
OBO	Bureau of Overseas Building Operations

Abbreviation	Full Name
OCO	overseas contingency operation
OCR	Office of Civil Rights
OIG	Office of Inspector General
OMB	Office of Management and Budget
OSI	Office of Special Investigations
P&PD	Policy and Procedures Directive
PPE	protective personnel equipment
PPR	Office of Policy, Planning, and Resources
PSPR	Post Security Program Review
RFA	Radio Free Asia
SPEAR	Special Program for Embassy Augmentation and Response
SBU	Sensitive But Unclassified
SI	Security and Intelligence
TSCTP	Trans-Sahara Counterterrorism Partnership
U	Unclassified
USAGM	U.S. Agency for Global Media
USIBWC	International Boundary and Water Commission, United States and Mexico, U.S. Section

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

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