



United States Department of State  
and the Broadcasting Board of Governors

*Office of Inspector General*

# Work Plan

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*Fiscal Year 2012*

*Promoting effective management, accountability, and positive change*

# Table of Contents

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<i>Section</i>	<i>Page</i>
Introduction.....	1
OIG Vision.....	2
OIG Mission.....	2
OIG Core Values.....	2
Organization Chart.....	3
Office of Audits Overview.....	3
Office of Audits Plans for FY 2012.....	5
Audits Directorate.....	5
Contracts and Grants Division.....	5
Financial Management Division.....	6
Human Capital and Infrastructure Division.....	8
Information Technology Division.....	8
International Programs Division.....	10
Security and Intelligence Division.....	10
Middle East Region Operations Directorate.....	11
Iraq.....	11
Afghanistan.....	12
Pakistan.....	12
Other Locations and Bureaus.....	13
Office of Inspections Overview.....	14
Office of Inspections Plans for FY 2012.....	16
Office of Inspections Special Projects and Areas of Emphasis.....	19
Office of Investigations Overview.....	19
Office of Investigations Areas of Emphasis and Preventive Actions for FY 2012.....	20
OIG Hotline.....	21
Abbreviations.....	22

# Introduction

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We are pleased to present the Office of Inspector General Work Plan for Fiscal Year 2012. This publication provides brief descriptions of activities that the Office of Inspector General (OIG) plans to initiate or continue with respect to the programs and operations of the Department of State (Department) and the Broadcasting Board of Governors (BBG) in FY 2012.

OIG is dedicated to improving operations, promoting positive change, and detecting and preventing waste, fraud, abuse, and mismanagement. OIG's independent role and general responsibilities are established by the Inspector General Act of 1978, as amended, the Foreign Service Act of 1980, the Omnibus Diplomatic Security and Antiterrorism Act of 1986, and the Foreign Affairs Reform and Restructuring Act of 1998.

Specifically, OIG:

- Reviews the Department and BBG programs and operations to assess their effectiveness and use of resources;
- Recommends operational, procedural, or policy changes to correct deficiencies;
- Ensures effective, efficient operations and compliance with laws and regulations;
- Identifies savings through greater efficiency, alternative use of resources, and recommended collection actions; and
- Investigates and refers cases of wrongdoing for judicial and management action to correct waste, fraud, abuse, or mismanagement.

The criteria used by OIG in selecting areas for review include:

- Congressional mandates;
- Magnitude in dollars or other resources;
- Vulnerability to loss through waste, fraud, abuse, or error;
- Significance to the achievement of major Department goals;
- Importance to employee health and safety;
- Particular interest to the Secretary, the Deputy Secretary, an Under Secretary, the White House, or the Congress; and
- New or changed conditions affecting a program or function.

Our Work Plan for FY 2012 is an evolving document, to be revised and updated as necessary to ensure that OIG work remains relevant, timely, and responsive to the priorities of the Department, BBG, the Administration, the Congress, and the foreign affairs community.

## OIG Vision

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To be a world-class organization promoting effective management, accountability, and positive change in the Department, Broadcasting Board of Governors, and the foreign affairs community.

## OIG Mission

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The Office of Inspector General conducts independent audits, inspections, and investigations that advance the missions of the Department of State and the Broadcasting Board of Governors. OIG provides leadership to:

- promote integrity, efficiency, effectiveness, and economy;
- prevent and detect waste, fraud, abuse, and mismanagement;
- identify vulnerabilities and recommend constructive solutions;
- offer expert assistance to improve Department and BBG operations;
- communicate timely, useful information that facilitates decision-making and achieves measurable gains; and
- keep the Department, BBG, and the Congress fully and currently informed.

## OIG Core Values

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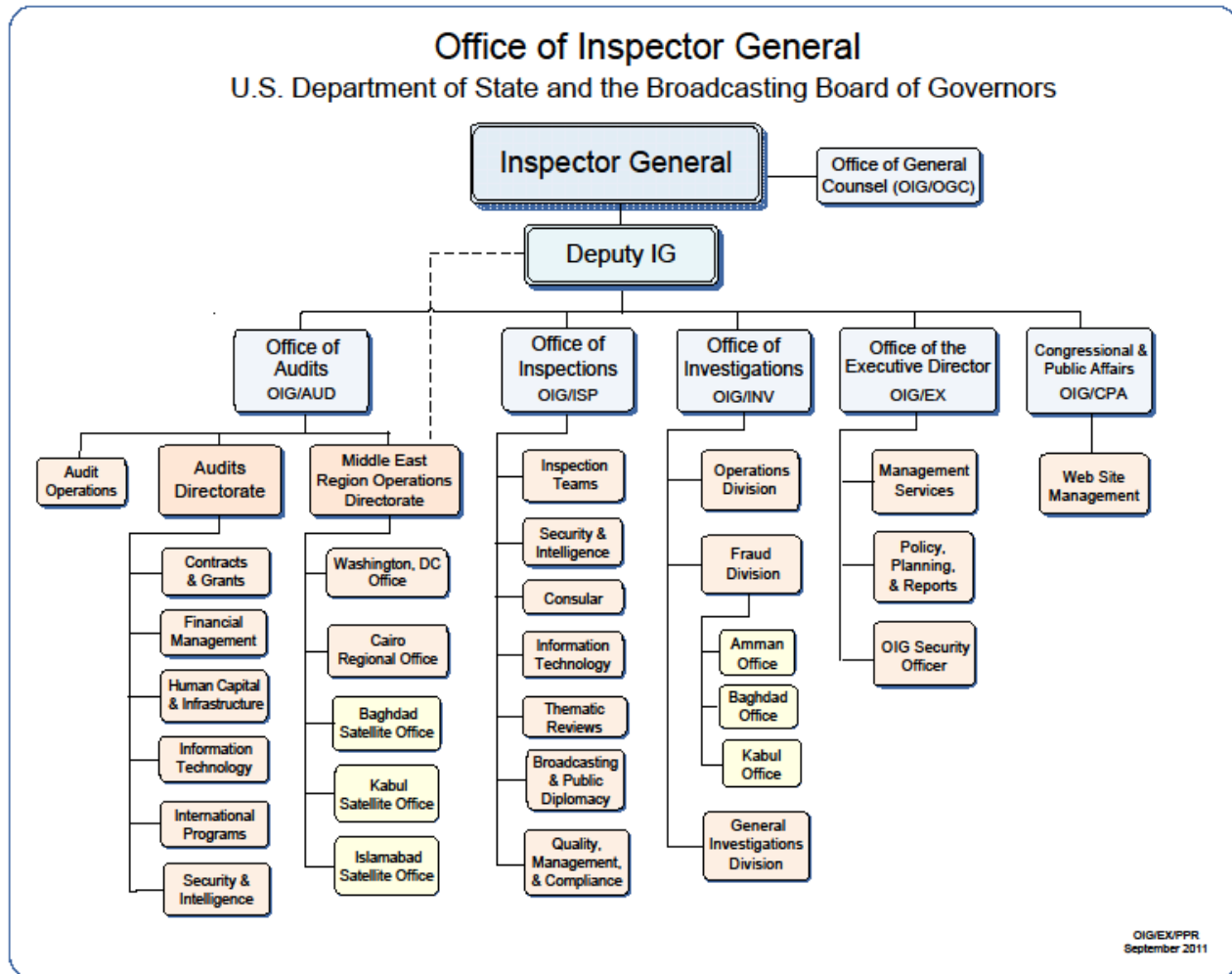
**Credibility:** OIG is committed to the highest standards of accountability, independence, integrity, and professionalism.

**Objectivity:** OIG's reports and other products are factual, accurate, informative, and reliable.

**Relevance:** An independent agent for positive change, OIG provides valuable and timely service.

**Effectiveness:** OIG makes a difference. Working cooperatively, in a spirit of teamwork, internally and with other organizations, enhances OIG's impact.

# Organization Chart



## Office of Audits Overview

The Assistant Inspector General for Audits is responsible for leading the Office of Audits, which is comprised of the Audits Directorate and the Middle East Region Operations (MERO) Directorate. The Deputy Assistant Inspector General for Audits is responsible for the Audits Directorate, and is charged with conducting audits and program evaluations of the management and financial operations of the Department and BBG, including their audited financial statements, information security, internal operations, and external activities funded by the

Department through contracts or financial assistance. The Deputy Assistant Inspector General for MERO is responsible for the MERO Directorate and for performing engagements within the Middle East Region, covering the Department's Bureaus of Near Eastern Affairs (NEA) and South and Central Asian Affairs (SCA). The Deputy Assistant Inspector General for MERO is also responsible for general operation of overseas offices located in Cairo, Egypt; Kabul, Afghanistan; Islamabad, Pakistan; and Baghdad, Iraq.

Audits and program evaluations determine the degree to which an organization, program, or function is effectively managed and the extent program results are achieved. The definition for effectiveness is derived from the agency objectives, operating within the relevant laws and directives pertaining to the organization or program. The overall objective of an audit is to identify challenges impeding progress and offer solutions that address the root cause of those challenges, as well as to identify and report best management practices that can be replicated to promote operational efficiency and the effective management of all Department and BBG programs. The audit process includes:

- *Audit notification.* The Office of Audits notifies the agency in writing that an audit is scheduled to start.
- *Entrance conference.* After written notification, a meeting is held to inform the agency of the purpose, objectives, and scope of the audit and the methodology to be followed.
- *Audit field work.* A detailed evaluation of the program, activity, or function is conducted in accordance with Government Accountability Office Standards.
- *Exit conference.* At the conclusion of an audit, a formal conference is held with the principal post and bureau officials to present the audit results. This provides an opportunity for the audit team and the auditee to discuss the audit findings and the recommendations offered to address the root cause of the challenges identified.

During the audit, the auditee is kept apprised of audit activities. The Inspector General is given a detailed briefing before the audit begins and at the conclusion of audit fieldwork. Following the exit conference, the audit team prepares a draft report, which is vetted for comment and clearance within OIG. The auditee then has up to 15 calendar days to provide comments on the draft report and to specify whether it agrees with the report's recommendations and with the amount of any potential monetary benefits or recoveries. Those comments are incorporated into the final report. The auditee has 45 days from issuance of the final report to provide information on actions planned and taken to implement the recommendations.

# Office of Audits Plans for FY 2012

## Audits Directorate

### *Contracts and Grants Division*

Locations	Title	Primary Objective	Justification	Start Date
BBG	Audit of BBG's Contractor Suspension and Debarment Process (Carryover)	To determine the effectiveness of BBG's contractor suspension and debarment process	Program Risk	June 2011
EAP, NEA, SCA, and ECA	Audit of Select Fulbright Commissions in the Bureaus of East Asian and Pacific Affairs (EAP), Near Eastern Affairs (NEA), and South and Central Asian Affairs. (Carryover)	To determine whether select Fulbright Commissions in EAP, NEA, and SCA are complying with the terms and conditions of grant regulations and agreements	Program Risk	August 2011
DOS, BBG	Quality Control Review of OMB Circular A-133, Single Audit Act Initial (Desk) Reviews	Pursuant to the requirements of OMB Circular A-133, to provide selected Single Audit Act Desk Reviews that can identify questioned costs for repayment to the Department and BBG	Mandatory	October 2011
NEA, SCA, PRM	Audit of Select Grants for the Overseas Refugee Assistance Program in the Middle East and South Asia	To determine whether select grantee organizations receiving \$700 million in Department grants for Overseas Refugee Assistance Programs in the Middle East and South Asia are complying with grant terms and conditions	Program Risk	February 2012
OBO and A	Audit of Contracts for Major Overseas U. S. Embassy Construction Projects During FYs 2011-2012	To determine whether construction contractors for select major overseas embassy construction projects are complying with Federal procurement regulations	Program Risk	March 2012

***Financial Management Division***

Locations	Title	Primary Objective	Justification	Start Date
DOS	Audit of the Department's FY 2011 Financial Statements (Carryover)	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States	Mandatory	January 2011
BBG	Audit of BBG's FY 2011 Financial Statements (Carryover)	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States	Mandatory	January 2011
RM and HR	Audit of Foreign Service Retirement and Disability Fund's (FSRDF) FY 2010 Financial Statements (Carryover)	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States	Mandatory	March 2011
IBWC	Audit of International Boundary and Water Commission's (IBWC) FY 2011 Financial Statements (Carryover)	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States	Mandatory	July 2011
CA and RM	Audit of the Department's Use of Machine Readable Visa (MRV) Fees	To determine to what extent MRV fees collected by the Department are expended in accordance with Department guidelines and mission priorities.	Program Risk	July 2011
DOS	Compliance with the Improper Payments Improvement Act, as amended	To determine whether the Department is in compliance with the Improper Payments Improvement Act, as amended	Mandatory	November 2011
BBG	Compliance with the Improper Payments Improvement Act, as amended	To determine whether BBG is in compliance with the Improper Payments Improvement Act, as amended	Mandatory	November 2011



Locations	Title	Primary Objective	Justification	Start Date
INL and RM	Review of DOS FY 2011 Accounting and Authentication of Drug Control Funds and Related Performance Report for the Office of National Drug Control Policy (ONDCP)	To authenticate the Department's FY 2011 accounting of drug control funds and related performance in compliance with ONDCP guidance	Mandatory	December 2011
DOS	Audit of the Department's FY 2012 Financial Statements	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States	Mandatory	January 2012
BBG	Audit of BBG's FY 2012 Financial Statements	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States	Mandatory	January 2012
A	Audit of the Department's Surcharge for Procurement Assistance From the Bureau of Administration	To determine whether the surcharge related to acquisitions has improved the efficiency and effectiveness of acquisition management and improved customer service.	Program risk	February 2012
RM and HR	Audit of Foreign Service Retirement and Disability Fund's (FSRDF) FY 2011 Financial Statements	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States	Mandatory	March 2012
IBWC	Audit of International Boundary and Water Commission's (IBWC) FY 2011 Financial Statements	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States	Mandatory	July 2012

### ***Human Capital and Infrastructure Division***

<b>Location</b>	<b>Title</b>	<b>Primary Objective</b>	<b>Justification</b>	<b>Start Date</b>
HR and MED	Audit of the Department's Performance in Promoting and Ensuring a Drug-Free Workforce (Carryover)	To determine to what extent the Department's employee drug-testing program meets Federal and Department goals and industry benchmarks	Program Risk	June 2011
HR	Audit of the Department's Efforts to Recruit and Retain Highly Skilled Personnel (Carryover)	To determine to what extent the Department's efforts to recruit and retain staff with specific knowledge, skills, and abilities have been effective	High Priority Performance Goal	September 2011
HR	Audit of the Department's Process To Discontinue Payroll Actions for Separated Employees	To determine the efficacy of the Department's process to timely remove separated employees from the payroll	Program Risk	November 2011
OBO	Audit of the Department's Efforts to "Go Green"	To determine to what extent the Department's efforts to "Go Green" are meeting Federal and Department goals and objectives	High Priority Performance Goal	April 2012
S/CRS, HR, INL, PM, and S/CT	Audit of the Department's Progress in Staffing the Civilian Response Corps	To determine to what extent the Department has recruited, developed, trained, and equipped a 4,250-person Civilian Response Corps	High Priority Performance Goal	August 2012

### ***Information Technology Division***

<b>Location</b>	<b>Title</b>	<b>Primary Objective</b>	<b>Justification</b>	<b>Start Date</b>
RM, DS, IRM, CA, A, and HR	Audit of Department of State Access Controls for Information Systems (Carryover)	To determine the effectiveness of logical access controls pertaining to user access to applications and associated databases	Program Risk	August 2011
IRM	Audit of Department of State Data Center Security and Consolidation	To determine whether the Department has instituted security controls that are appropriate to its data centers and is progressing with data center consolidation	Program Risk	October 2011

Location	Title	Primary Objective	Justification	Start Date
DOS	Review of the Information Security Program at the Department of State	To determine the effectiveness of security controls and techniques for selected information systems and compliance with Federal Information Security Management Act (FISMA) and related information security policies, procedures, standards, and guidelines	Mandatory	February 2012
DS and INR	Review of the Information Security Program for Sensitive Compartmented Information (SCI) Systems at the Department of State	To determine the effectiveness of security controls and techniques for SCI systems and compliance by the Department's Intelligence Community with FISMA and related information security policies, procedures, standards, and guidelines	Mandatory	February 2012
BBG	Review of the Information Security Program at the Broadcasting Board of Governors (BBG)	To determine the effectiveness of security controls and techniques for selected information systems and BBG compliance with FISMA and related information security policies, procedures, standards, and guidelines	Mandatory	February 2012
IBWC	Review of the Information Security Program at the International Boundary and Water Commission (IBWC)	To determine the effectiveness of security controls and techniques for selected information systems and IBWC compliance with FISMA and related information security policies, procedures, standards, and guidelines	Mandatory	February 2012
IRM	Audit of Department of State Security Controls Over the Active Directory Enterprise Environments	To determine whether the Department has securely implemented active directory services to prevent outside cyber attacks and has implemented effective security controls through the enterprise	Program Risk	March 2012
IRM	Audit of Department of State System Development Life Cycle (SDLC) Process	To determine to what extent the Department's SDLC policies and procedures address Federal requirements and best practices governing the SDLC process	Program Risk	March 2012
IRM, RM, and A	Audit of Department of State Information Technology Vanguard Contract	To determine to what extent the Department has adhered to requirements for outsourcing IT support, as prescribed by OMB Circular A-76	Program Risk	June 2012

### ***International Programs Division***

<b>Locations</b>	<b>Title</b>	<b>Primary Objective</b>	<b>Justification</b>	<b>Start Date</b>
SECC, OES, and EEB	Audit of Department of State Progress in Achieving its Goals and Commitments to Combat Climate Change (Carryover)	To determine to what extent the Department is achieving its goals and commitments to the multilateral effort to combat climate change	High Priority Performance Goal	August 2011
GAC	Audit of Department of State Oversight and Reporting of Donor Contributions to the Global Fund to Fight HIV/AIDS, Tuberculosis, and Malaria (Carryover)	To determine to what extent the Department is fulfilling its obligations to oversee, track, and report contributions to the Global Fund in accordance with requirements set forth in the U.S. Leadership in the Fight Against HIV/AIDS, Tuberculosis and Malaria Act of 2008	High Priority Performance Goal	April 2012
PM, WRA	Audit of Department of State Management and Oversight of the U.S. Humanitarian Mine Action Program	To determine whether the Department has implemented internal controls to effectively manage and oversee the U.S. Humanitarian Mine Action Program	Program Risk	September 2012

### ***Security and Intelligence Division***

<b>Locations</b>	<b>Title</b>	<b>Primary Objective</b>	<b>Justification</b>	<b>Start Date</b>
A and DS	Audit of Department of State Process to award the Worldwide Protective Services (WPS) Contract and Kabul Embassy Security Force Task Order (Carryover)	To determine whether the Department's process to award the WPS contract and subsequent Kabul task order included required procedures to assess contractor responsibility, past performance, and technical merit	Mandatory	March 2011
T, ISN, and CTR	Audit of Department of State Administration of Nonproliferation and Threat Reduction Programs	To determine whether the Department has implemented internal controls to effectively monitor and measure Nonproliferation and Threat Reduction assistance	High Priority Performance Goal	October 2011

Location	Title	Primary Objective	Justification	Start Date
M and DS	Audit of Compliance with Secure Embassy Construction and Counterterrorism Act of 1999 (SECCA) and Overseas Security Policy Board (OSPB) Security Requirements	To determine whether posts in select geographical regions are meeting the security requirements prescribed by SECCA and OSPB	Program Risk	November 2011
T, PM, and EEB	Audit of Department of State Actions to Address the Challenges of Maritime Piracy	To determine to what extent and manner the Department has achieved its goals and objectives in halting maritime pirate attacks emanating from Somalia	Program Risk	March 2012
M, DS, and IRM	Audit of Bureau of Diplomatic Security Implementation of Interoperable Communications at Overseas Posts	To determine DS's progress in implementing interpretable communications among strategic partners at overseas posts	Program Risk	July 2012

## Middle East Region Operations Directorate

### *Iraq*

Locations	Title	Primary Objective	Justification	Start Date
Embassy Baghdad, DS, and AQM	Audit of the Worldwide Protective Services (WPS) Task Order for the Baghdad Embassy Security Force (BESF)	To determine whether the Department's administration and oversight of the WPS task order for BESF has been effective	Program Risk	October 2011
Embassy Baghdad, A, DS, INL, NEA, OBO, and PM	Implementation of Baghdad Master Plan for Transition to a Civilian-Led Presence in Iraq	To determine whether the Department is effectively implementing the Baghdad Master Plan and its goals for transitioning from a military to civilian-led presence in Iraq.	Program Risk	January 2012
Embassy Baghdad, NEA, MED, and AQM	Audit of the Department's Management of Medical Operations Supporting Personnel Assigned to Iraq	To determine whether the Department's management of medical operations dedicated to supporting personnel assigned to Iraq has been effective and properly resourced.	Program Risk	January 2012

Location	Title	Primary Objective	Justification	Start Date
Embassy Baghdad, DS, and AQM	Audit of the Worldwide Protective Services (WPS) Task Order for Kirkuk/Mosul Task Order	To determine whether the Department's administration and oversight of the WPS task order for Kirkuk/Mosul has been effective	Program Risk	September 2012

### *Afghanistan*

Locations	Title	Primary Objective	Justification	Start Date
Embassy Kabul, DS, and AQM	Audit of the Worldwide Protective Services (WPS) Task Order for the Kabul Embassy Security Force (KESF)	To determine whether the Department's administration and oversight of the WPS task order for KESF has been effective	Program Risk	October 2011
Embassy Kabul, INL, and OBO	Audit of Administration and Oversight of Contracts to Construct Prisons within Afghanistan	To determine whether the Bureau of International Narcotics and Law Enforcement Affairs has effectively administered and overseen funds expended for prison construction within Afghanistan	Program Risk	April 2012
Embassy Kabul, DS, and AQM	Audit of the Worldwide Protective Services (WPS) Herat/Mazar-e-Sharif Task Order	To determine whether the Department's administration and oversight of the Herat/Mazar-Sharif task order has been effective	Program Risk	September 2012

### *Pakistan*

Locations	Title	Primary Objective	Justification	Start Date
Embassy Islamabad and AQM	Audit of the Operations and Maintenance Contract for Embassy Islamabad	To determine whether the Department has effectively managed and overseen the operations and maintenance contract for Embassy Islamabad	Program Risk	October 2011
Embassy Islamabad and SRAP	Audit of the Administration and Oversight of Economic Support Funds for Pakistan	To determine whether the Department's administration and oversight of Economic Support Funds for Pakistan have been effective	Program Risk	April 2012

Location	Title	Primary Objective	Justification	Start Date
Embassy Islamabad and INL	Audit of the Administration and Oversight of the Pakistan National Police Training and Mentoring Program	To determine whether the Bureau of International Narcotics and Law Enforcement Affairs administration and oversight of the Pakistan national police training and mentoring program have been effective and whether the Program has achieved its stated performance goals	Program Risk	September 2012

***Other Locations and Bureaus***

Location	Title	Primary Objective	Justification	Start Date
Consulate General Jerusalem, DS, and AQM	Audit of the Worldwide Protective Services (WPS) Jerusalem Task Order	To determine whether the Department's administration and oversight of the WPS task order for Jerusalem has been effective	Program Risk	February 2012
Embassy Jordan and INL	Audit of Department of State Administration and Oversight of the Jordanian Police Modernization Program	To determine whether the Bureau of International Narcotics and Law Enforcement Affairs' administration and oversight of the Jordanian Police Modernization Program have been effective and whether the program has achieved its stated performance goals	Program Risk	July 2012
DS, NEA, and SCA	Audit of Bureau of Diplomatic Security Management of the Worldwide Protective Services (WPS) Contract Within Bureaus of Near Eastern Affairs (NEA) and South and Central Asian Affairs (SCA) Countries	To determine what requirement studies and assessments were conducted by the Bureau of Diplomatic Security to establish WPS protection service requirements in NEA and SCA countries	Program Risk	September 2012

## Office of Inspections Overview

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Inspections are conducted to provide overseas missions and Department bureaus with assessments of mission leadership, policy implementation, and management operations. The inspection is a comprehensive and independent review intended to propose potential efficiencies and cost-saving measures; encourage self-evaluation and correction; provide counseling to employees, including ambassadors and bureau assistant secretaries; and identify problems and recommend solutions. Inspections differ from audits in that inspections normally review an organization in its entirety, while audits concentrate on a particular function or program that may cross several organizations.

The Foreign Service Act of 1980 requires that an inspection of each Foreign Service post and each domestic bureau be conducted at least once every 5 years, although this requirement is waived every year by Congress. OIG's methodology for investing its resources includes a risk management approach to help prioritize projects and to ensure that our discretionary inspections cover high-cost programs, key management challenges, and vital operations. OIG retains a quick-reaction capability to address requests made on short notice by Congress or senior Department officials. Inspection staff also conduct extensive outreach activities, briefing attendees of FSI courses as well as numerous officers, including ambassadors, before they depart for post.

The domestic and overseas inspection process includes:

- *Inspection notification.* The Office of Inspections (ISP) notifies the post, office, or bureau in writing that an inspection is scheduled. The announcement is followed up with specific travel and arrival dates of the inspection team together with instructions for the inspection. An ISP point of contact is established, and one is requested of the inspected entity.
- *Survey.* An initial phase of the inspection process is information collection from the inspected entity and relevant Department bureaus, offices, and Federal agencies with which it relates. Each inspected entity completes functional questionnaires covering 21 areas of operations. These are used as a guide to review operations prior to the arrival of the inspectors. Other questionnaires address service satisfaction and individual concerns.
- *On-site inspection.* The inspection team conducts on-site reviews of the post, bureau, or office with a focus on three broad areas set forth in the Foreign Service Act of 1980:
  - *Policy implementation*—whether policy goals and objectives are being effectively achieved; whether post operations are in consonance with the foreign policy of the United States; whether U.S. interests are being accurately and effectively represented; and whether all elements of an office or mission are being adequately coordinated.



- *Resource management*—whether resources are being used and managed with maximum efficiency, effectiveness, and economy; and whether financial transactions and accounts are properly conducted, maintained, and reported. Teams also focus on identifying potential efficiencies and cost-saving measures leading to more effective use of resources.
- *Management controls*—whether the administration of activities and operations meets the requirements of applicable laws and regulations; whether internal management controls have been instituted to ensure quality of performance and reduce the likelihood of mismanagement; whether instances of fraud, waste, or abuse exist; and whether adequate steps for detection, correction, and prevention have been taken. The inspectors value counseling as a critically important facet of the review process and will seek improvements through the use of this technique as a first course of action.
- *Inspection reports.* The inspectors’ findings and recommendations are formalized and issued in report format. Inspection reports adhere to the standards set out in the *Quality Standards for Inspections*, as issued by the Council for Inspectors General on Integrity and Efficiency, and the *Inspectors’ Handbook*, as issued by the OIG.
- *Report Review.* The inspected entity reviews a field draft of the report and is afforded the opportunity to comment. Relevant Washington offices also are provided an opportunity to comment. In addition, the draft inspection report is vetted for comment and clearance within OIG.
- *Follow up reviews.* ISP conducts compliance follow-up reviews on approximately 15-20 percent of posts, offices, and bureaus inspected. These reviews occur 6 to 12 months after the full inspection and are designed to revisit key issues to ensure implementation of recommendations, and provide quality control of the inspection process.

## Office of Inspections Plans for FY 2012

Fall Cycle: October – November 2012			
Bureau/ Office	Inspection	Compliance Follow-up Review	Location
EAP	✓		Embassy Hanoi, Vietnam
EAP	✓		American Institute in Taiwan
EUR	✓		Embassy Vienna, Austria
EUR	✓		U.S. Mission to the Organization for Security and Cooperation in Europe (USOSCE)
EUR, IO	✓		U.S. Mission to International Organizations in Vienna (UNVIE)
EUR		✓	Embassy Copenhagen, Denmark
NEA	✓		Embassy Beirut, Lebanon
NEA	✓		Embassy Algiers, Algeria
WHA	✓		Embassy Caracas, Venezuela
WHA	✓		Embassy Nassau, Bahamas
A/GIS/GPS	✓		Bureau of Administration, Global Information Services, Global Publishing Solutions
ECA	✓		Bureau of Educational and Cultural Affairs

**Winter Cycle: February – March 2012**

<b>Bureau/ Office</b>	<b>Inspection</b>	<b>Compliance Follow-up Review</b>	<b>Location</b>
EAP	✓		Embassy Singapore. Singapore
EAP	✓		Embassy Bandar Seri Begawan, Brunei
EAP		✓	Embassy Bangkok, Thailand
EAP		✓	Consulate General Hong Kong, China
EUR	✓		Embassy Paris, France
EUR	✓		U.S. Mission to the Organization for Economic Cooperation and Development (USOECD)
EUR, IO	✓		U.S. Mission to the United Nations Educational, Scientific, and Cultural Organization (USUNESCO)
SA		✓	Embassy Islamabad, Pakistan
WHA	✓		Embassy Port-Au-Prince, Haiti
WHA	✓		Embassy San Jose, Costa Rica
CA/OCS	✓		Bureau of Consular Affairs, Office of Overseas Citizens' Services
DS/T/ATA	✓		Bureau of Diplomatic Security, Office of Anti-Terrorism Assistance
G/TIP	✓		Office To Monitor and Combat Trafficking in Persons
IRM/OPS/ SIO	✓		Bureau of Information Resource Management, Systems and Integration Office
S/CT	✓		Office of the Coordinator for Counterterrorism

**Spring Cycle: May – June 2012**

<b>Bureau/ Office</b>	<b>Inspection</b>	<b>Compliance Follow-up Review</b>	<b>Location</b>
AF	✓		Embassy Nairobi, Kenya
AF, IO	✓		U.S. Permanent Mission to the United Nations - Nairobi
AF	✓		Embassy Lusaka, Zambia
AF	✓		Embassy Khartoum, Sudan
AF	✓		Embassy Juba, South Sudan
AF	✓		Embassy Asmara, Eritrea
EUR	✓		Embassy Madrid, Spain
EUR	✓		Embassy Lisbon, Portugal
EUR	✓		Embassy Prague, Czech Republic
EUR	✓		Embassy Bucharest, Romania
EUR	✓		Embassy Ljubljana, Slovenia
FSI	✓		Foreign Service Institute
BBG	✓		Voice of America's Latin America Service

## **Office of Inspections Special Projects and Areas of Emphasis**

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The Office of Inspections also conducts targeted reviews based on congressional or Department requests, vulnerabilities, and concerns about high-priority programs or issues. OIG establishes areas of emphasis for all inspection teams to cover during an inspection cycle or the entire fiscal year. Findings on the areas of emphasis are analyzed across inspections and allow inspectors to take a broader look at high-priority issues. In some cases, summary reports are issued with recommendations to address thematic or global problems.

Planned Special Projects and Areas of Emphasis for FY 2012 include:

- Strategic Planning for Public Diplomacy
- Regional Security Officer Passport and Visa Fraud Investigations
- Excess, Obsolete and Underutilized Properties
- Vehicle Fleet Management
- Value-Added Tax Collections
- Language-Designated Position Selection
- Physical Security Waivers and Exceptions
- Information Technology Project Management and Contractor Oversight
- Information Technology Staffing Overseas

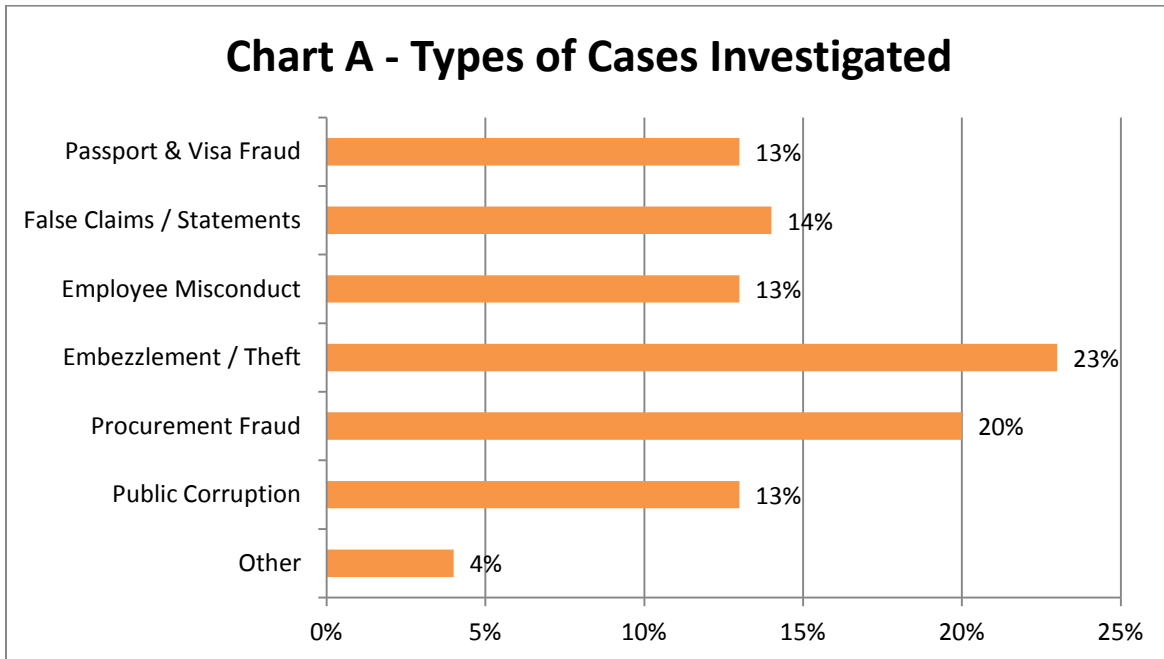
## **Office of Investigations Overview**

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The Office of Investigations is committed to addressing allegations of fraud and misconduct in an independent and objective manner, by conducting investigations of criminal, civil, and administrative violations related to Department and BBG programs and operations, and by assisting the Department and BBG in preventing and detecting, fraud. OIG's investigative activities are largely reactive and occur in locations around the world.

The results of investigations concerning employees or contractors suspected of violating federal statutes are referred to the Department of Justice for prosecutorial determination. Administrative violations are referred to the Department's Bureau of Human Resources and Bureau of Diplomatic Security for independent adjudicative action.

The types of violations investigated by OIG cover a wide range including procurement fraud, public corruption, embezzlement, false claims and false statements. Chart A below illustrates the types of cases investigated.



The Office of Investigations maintains a cooperative relationship with the Office of the Procurement Executive, to ensure information developed is appropriately shared in furtherance of administrative remedies such as suspension and/or debarment.

## **Office of Investigations Areas of Emphasis and Preventive Actions for FY 2012**

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The Office of Investigations consults with stakeholders in the Department and Congress regarding oversight of high-risk areas and management challenges, adjusting its priorities appropriately. In addition to the reactive work of the Office of Investigations, programs and operations in the Department are periodically identified as being of high priority or importance, and investigative resources are concentrated in those areas. Most recently, priority has been given in the area of Procurement Fraud, particularly involving Middle East programs and operations.

The Inspector General is charged with fraud prevention as well as detection. Toward this objective, the Office of Investigations can issue Fraud Alert Bulletins and Management Assistance Reports. Fraud Alert Bulletins are issued to all executive directors when an investigation identifies a systemic weakness that may impact multiple Department bureaus or offices. Management Assistance Reports are issued when a systemic weakness is identified in a bureau-specific program or operation. It is sent directly to the affected bureau or office with recommendations for corrective action.

The Office of Investigations also actively participates in an OIG Outreach Program to speak before a variety of Department groups and training classes in an effort to help employees identify indicators of fraud that should be referred to OIG. During FY 2011, the Office of Investigations conducted more than 30 outreach presentations to various Department groups and training classes involving well over 1,500 Department employees, including new ambassadors.

## **OIG Hotline**

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The Office of Investigations also maintains the OIG Hotline, a confidential channel for the receipt of complaints about violations of law or regulation, fraud, waste, abuse, or substantial and specific threats to public health and safety. Investigations conducted by OIG criminal investigators are usually the result of allegations received from the Hotline, OIG audit or inspection teams, Department or BBG management or employees, Offices of Inspector General of other agencies, Congress, or the public. As necessary, the assistance of auditors, inspectors, and other experts may be enlisted in support of investigative operations.

Complaints to the OIG Hotline have generated numerous successful investigations resulting in criminal, civil, and administrative sanctions. In FY 2011, approximately 1,800 hotline complaints were received. In FY 2012, given the current rate of growth in the number of complaints received, OIG expects to receive and process more than 2,000 hotline complaints. Allegations may be reported to the Hotline by calling 202-647-3320 or 1-800-409-9926. Written information may be sent to the [oighotline@state.gov](mailto:oighotline@state.gov) or mailed to: Office of Inspector General Hotline, U.S. Department of State, Post Office Box 9778, Arlington, Virginia 22219-1778.

## Abbreviations

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The Work Plan refers to the following selected acronyms and abbreviations for terms and titles:

A	Bureau of Administration
A/GIS/GPS	Bureau of Administration, Global Information Services, Global Publishing Solutions
AF	Bureau of African Affairs
AQM	Office of Acquisitions Management
BBG	Broadcasting Board of Governors
CA	Bureau of Consular Affairs
CA/OCS	Bureau of Consular Affairs, Office of Overseas Citizens' Services
CTR	Office of Cooperative Threat Reduction
Department	Department of State
DS	Bureau of Diplomatic Security
DS/T/ATA	Bureau of Diplomatic Security, Office of Anti-Terrorism Assistance
EAP	Bureau of East Asian and Pacific Affairs
ECA	Bureau of Educational and Cultural Affairs
EEB	Bureau of Economic, Energy, and Business Affairs
EUR	Bureau of European and Eurasian Affairs
FSI	Foreign Service Institute
S/GAC	Office of the U.S. Global AIDS Coordinator
G/TIP	Office to Monitor and Combat Trafficking in Persons
HR	Bureau of Human Resources
IBWC	International Boundary and Water Commission
INL	Bureau of International Narcotics and Law Enforcement Affairs
INR	Bureau of Intelligence and Research
IRM	Bureau of Information Resource Management
IRM/OPS/SIO	Bureau of Information Resource Management, Office of Operations, Systems and Integration Office



ISP	Office of Inspections
ISN	Bureau of International Security and Nonproliferation
M	Under Secretary for Management
MED	Office of Medical Services
MERO	Middle East Regional Office
NEA	Bureau of Near Eastern Affairs
OBO	Bureau of Overseas Buildings Operations
OECD	U.S. Mission to the Organization for Economic Cooperation and Development
OES	Bureau of Oceans and International Environmental and Scientific Affairs
OIG	Office of Inspector General
PM	Bureau of Political-Military Affairs
PRM	Bureau of Population, Refugees and Migration
RM	Bureau of Resource Management
SCA	Bureau of South and Central Asian Affairs
S/CRS	Office of the Coordinator for Reconstruction and Stabilization
S/CT	Office of the Coordinator for Counterterrorism
SECC	Office of the Special Envoy for Climate Change
SRAP	Special Representative for Afghanistan and Pakistan
T	Under Secretary for Arms Control and International Security
UNEP	United States Permanent Mission to the UN Environment Programme
UNVIE	U.S. Mission to International Organizations in Vienna
USUNESCO	U.S. Mission to the United Nations Educational, Scientific, and Cultural Organization
USOSCE	U.S. Mission to the Organization for Security and Cooperation in Europe
VOA	Voice of America
WHA	Bureau of Western Hemisphere Affairs
WRA	Office of Weapons Removal and Abatement

