



OIG

Office of Inspector General

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

ISP-I-18-20

Office of Inspections

May 2018

**Inspection of the U.S. Mission
to the African Union,
Addis Ababa, Ethiopia**

BUREAU OF AFRICAN AFFAIRS



OIG HIGHLIGHTS

ISP-I-18-20

May 2018
OFFICE OF INSPECTIONS
Bureau of African Affairs

Inspection of the U.S. Mission to the African Union, Addis Ababa,
Ethiopia

What OIG Found

- Since their arrival in September 2016, the Ambassador and the Deputy Chief of Mission have led the U.S. Mission to the African Union in advancing Integrated Country Strategy goals.
- The mission could not implement a strategy that encompassed all U.S. Government foreign assistance programs and funding priorities because it did not have insight into foreign assistance funding provided to the African Union by other Department of State and U.S. Government entities.
- Public Affairs Section staff did not have a common understanding of the key audiences it wanted to reach in the mission's multilateral operating environment.
- The U.S. Mission to the African Union did not provide sufficient oversight and documentation in administering its public diplomacy grants.

What OIG Inspected

OIG inspected the executive direction, program and policy implementation, management controls, and resource management operations of the U.S. Mission to the African Union.

What OIG Recommended

OIG made 3 recommendations to enhance oversight of foreign assistance programs, develop a social media strategy to guide public diplomacy online engagement efforts, and improve grants management.

In its comments on the draft report the Department concurred with all 3 recommendations. OIG considers all recommendations resolved. The Department's response to each recommendation, and OIG's reply, can be found in the Recommendations section of this report. The Department's formal written responses are reprinted in their entirety in Appendix B.

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CONTEXT

Headquartered in Addis Ababa, the African Union (AU) is a forum of all 55 African states. This entity was established in 2001 with the goal of advancing the continent's economic and political integration. Intended as a venue to achieve consensus on African and global issues, the institution continues to grow in importance through its work on peace and security, democracy and governance, trade, investment, and economic opportunity. Its guiding ethos—"African solutions to African problems"—reflects the organization's commitment to solving Africa's problems, disseminating best practices, and amplifying the continent's voice on the world stage. In 2017, the AU's newly elected leaders declared their intent to further bolster the organization's credibility by fulfilling member-states' pledges to substantially finance the AU's operations and programs themselves, thus reducing dependence on outside donors. Leaders also committed to increase accountability by emphasizing results and impact in AU programs.

Peacekeeping and conflict prevention is an area in which the AU already has seen results. For example, the AU's peacekeeping mission in Somalia generally is regarded as a success. In addition, the United Nations (UN) Security Council in June 2017 reinforced the AU's conflict prevention efforts in the Sahel region of western and north-central Africa by passing a resolution supporting the creation of a five-nation collective counterterrorism force, known as G5-Sahel.¹

Despite its successes in peacekeeping and conflict prevention, the AU still faced considerable challenges in realizing its goals, which adversely affected U.S. policy and assistance implementation. The AU Commission, which implements the organization's policies and programs, was severely short-staffed. In addition, AU member states sought greater transparency, accountability, and effectiveness from the organization in areas such as human rights, governance, and internal peace and security. The United States supported the AU's reform efforts and proposal to finance 100 percent of its internal operations, 75 percent of its programs, and 25 percent of its peacekeeping costs but criticized the proposal to do so through the imposition of a tariff on all imports to member states.

In 2006, the United States became the first non-African country to establish a diplomatic observer mission to the AU. In a 2013 memorandum of understanding, the United States and the AU agreed on four areas of joint cooperation, which the U.S. Mission to the African Union (USAU) reflected in its Integrated Country Strategy (ICS):

- Strengthening democracy and governance.
- Engaging the AU to promote peace and security.
- Enhancing trade and investment.
- Promoting opportunity and development in Africa.

¹ G-5 Sahel is composed of military and police from Burkina Faso, Chad, Mali, Mauritania, and Niger, supported by UN and French forces, to fight terrorism and transnational organized crime in the Sahel region.

The Department provided \$935,000 in foreign assistance to the AU in FY 2016 and \$1.1 million in FY 2017. This assistance focused on strengthening the AU's capacity by providing technical assistance and training in peacekeeping, conflict prevention, rule of law, disease control, famine early warning tools, trade facilitation, and youth employment.

USAU is housed in Embassy Addis Ababa and is supported by the embassy's management platform.² Led by the Ambassador to the African Union, the mission's authorized staff at the time of the inspection consisted of 16 direct-hire Americans, 1 eligible family member, 1 personal service contractor, and 6 locally employed (LE) staff members. Other agencies in the mission include the U.S. Agency for International Development (USAID) and the Departments of Agriculture, Defense, and Health and Human Services. USAU's operating costs are included in Embassy Addis Ababa's Diplomatic and Consular Program budget.

OIG evaluated USAU's policy implementation and management controls consistent with Section 209 of the Foreign Service Act.³ OIG also inspected USAU's resource management in conjunction with its inspection of Embassy Addis Ababa.⁴

EXECUTIVE DIRECTION

OIG assessed leadership of the U.S. Mission to the African Union on the basis of 22 interviews that included comments on the Ambassador's and the Deputy Chief of Mission's (DCM) performance; 8 staff questionnaires; and OIG's review of documents and activities during the course of the on-site portion of the inspection.

Tone at the Top and Standards of Conduct

Both the Ambassador and the DCM arrived in September 2016. The Ambassador, a career member of the Senior Foreign Service, is accredited to the AU and to the United Nations' Economic Commission for Africa.⁵ She previously served as Senior Faculty Advisor at the Naval War College in Newport, Rhode Island, and as Ambassador to Mali, where she was recognized with the Department's 2013 Diplomacy for Human Rights Award. The DCM previously served at Embassy Riyadh as Deputy Program Director for the Office of Program Management—Ministry of Interior, a bilateral entity established in 2008 and funded by Saudi Arabia to support programs in critical infrastructure protection and public security.

² This report uses the terms "mission" to refer to the USAU and "embassy" to refer to the bilateral embassy in Addis Ababa.

³ See Appendix A.

⁴ OIG, *Inspection of Embassy Addis Ababa, Ethiopia* (ISP-I-18-18, May 2018).

⁵ The United Nations Economic Commission for Africa is an intergovernmental body comprised of the 54 UN member states on the African continent to encourage economic cooperation. The one AU member that is not also a member of the United Nations Economic Commission is the Western Sahara.

The Ambassador and the DCM set a positive and professional tone for the mission consistent with the Department's leadership principles in 3 Foreign Affairs Manual (FAM) 1214, and formed a cohesive leadership team that aligned with their roles as outlined in 2 FAM 113.1-2. USAU staff told OIG the Ambassador provided strong, collegial leadership for the mission, set clear goals, and was receptive to staff input. The DCM helped staff members prioritize their work and was attentive to work-life balance issues, increasing morale and productivity. Through semi-annual off-site meetings with mission staff, the Ambassador and the DCM established and reviewed progress on strategic goals, planned for major events, and conducted employee professional development. They also worked with the Department to add LE staff and increase French language capability. The improved language capability is significant for a number of reasons. In particular, the current AU chairman is from Chad, and AU uses French for senior-level engagements and in meetings on technical political and economic topics. Accordingly, there is an increasing need for USAU personnel who speak fluent French. The ability to participate in high-level conversations in French improves the mission's opportunities to strengthen its capacity and institutional knowledge.

With the motto of "Two Missions, One Team," USAU worked with Embassy Addis Ababa to build cohesive leadership across the two institutions. The USAU Ambassador and DCM co-chaired and were visibly present in joint USAU-Embassy Addis Ababa mission meetings. The two DCMs worked together to strengthen management controls and identified and formulated action plans to address deficiencies.

Embassy Addis Ababa provided management support for Equal Employment Opportunity issues at USAU, and OIG found the Ambassador and the DCM advanced these principles in the mission. During its November 2017 off-site meeting, USAU included a session led by the embassy's Equal Employment Opportunity counselor. The Ambassador also prioritized support for gender issues at the AU, leveraging more than \$7 million from other donors along with the U.S contribution to better integrate women in AU peacebuilding and security operations.

Execution of Foreign Policy Goals and Objectives

The Ambassador and the DCM advanced U.S. interests in the African Union, including promoting peacekeeping and conflict prevention, democracy, and development in Africa. They led a collaborative process to review progress and update strategic goals outlined in the mission's ICS, ensuring alignment with the AU's planned objectives and approved annual budgets. The Ambassador directed the preparations for, and represented the mission at, an annual High Level Dialogue between senior Department officials and AU leaders. The dialogue reviewed progress and established joint areas of cooperation between the United States and the African Union.

The Ambassador effectively engaged with a broad range of AU officials to promote the United States as an AU preferred partner. Senior Department officials praised the Ambassador's use of representational events to strategically advance U.S. interests with AU leaders. In one indication of her effectiveness, the AU invited mission representatives to attend formal meetings such as the Peace and Security Council, which normally are closed to observer missions. AU officials

often expressed appreciation publicly and to mission representatives for the detailed U.S. observations and recommendations on pending issues before the council.

The Ambassador also employed public outreach to explain U.S. positions on issues before the AU and promote U.S. support for the institution. Under her direction, USAU staff reorganized coverage of the annual AU heads of state summit to increase the U.S. footprint, thereby creating more opportunities to advance U.S. priorities. She also initiated a joint U.S.-AU workshop on countering violent extremism and combined it with a week of public outreach, which raised visibility and support for these issues within the African Union. As a result, the AU devised a joint plan of action to promote efforts to counter violent extremism in both the AU and in member states.

The Ambassador managed foreign assistance programs to the AU consistent with her responsibilities under 18 FAM 301.4-6(C)⁶ and 2 FAM 113. She led the U.S. effort to establish an African Center for Disease Control at the AU following the Ebola crisis. To ensure planning for the center remained on track, she hosted regular tripartite meetings with the AU and China, the other key partner. When the FY 2018 Congressional Budget Justification initially eliminated USAID's assistance funding for the AU, the Ambassador and the DCM successfully engaged with USAID in Washington to identify funding for programs relating to women, youth, and countering violent extremism.

Adherence to Internal Controls

Embassy Addis Ababa provides management support to USAU, including information management, general services, security, and financial management. OIG found that the Ambassador and the DCM employed results-oriented management and exercised appropriate oversight of mission programs under their responsibility. For example, the DCM worked with Department offices to improve coordination, oversight, and reporting for the three contractors who supported USAU programming to ensure their activities contributed to ICS objectives and mission priorities. The DCM also worked with the embassy's Financial Management Officer to develop a separate representational budget for the mission and to obtain monthly updates, both of which improved USAU's ability to monitor its spending.

The DCM met regularly with Embassy Addis Ababa's DCM and Management Counselor to discuss management issues affecting USAU and to strengthen internal controls. While serving as Charge d'Affaires, ad interim, the DCM completed the FY 2017 Annual Chief of Mission Management Control Statement of Assurance in accordance with 2 FAM 022.7, certifying that USAU had appropriate management control systems in place.

⁶ At the time of the inspection, guidance was included at 18 FAM 005.1-7(G). This section was updated on February 22, 2018.

Security and Emergency Planning

Embassy Addis Ababa provides security for the USAU mission. The USAU Ambassador and DCM maintained frequent contact with the embassy's Regional Security Officer to ensure the safety and security of mission personnel and their dependents. The Ambassador and the DCM also served as members of the dual-mission Emergency Action Committee. They participated in a 2-day crisis management exercise in September 2016 and in regular security drills. In weekly staff meetings, they highlighted security best practices and encouraged employees to adhere to required embassy and mission security policies, particularly after the Ethiopian Government lifted its state of emergency.⁷

Developing and Mentoring Future Foreign Service Professionals

The DCM oversaw the mission's First- and Second-Tour (FAST) employee development, as directed by 3 FAM 2242.4. At the time of the inspection, USAU had one FAST officer position, and the combined USAU-Embassy Addis Ababa formal FAST program was largely dormant. Employees told OIG that the DCM provided appropriate guidance, supported professional development, and encouraged work-life balance. The DCM also mentored an eligible family member employee, enabling her to advance from office management work to representing and reporting on AU issues. OIG found that the DCM was working with the embassy's DCM to restart the FAST program for both missions. This effort is discussed in more detail in the report of OIG's inspection of Embassy Addis Ababa.⁸

POLICY AND PROGRAM IMPLEMENTATION

OIG assessed USAU's policy and program implementation through a review of the Political-Economic Section's advocacy and analysis work; foreign assistance administered by the Department, USAID, and the Department of Defense; and USAU's Public Affairs Section's public diplomacy efforts. Mission officials told OIG that, at the time of the inspection, both the Political-Economic and Public Affairs Sections were short-staffed. The mission requested two LE Political-Economic staff positions (the section had none at the time of the inspection) and a full-time Public Diplomacy Officer position in its FY 2017 and FY 2018 Mission Resource Requests. An October 2017 rightsizing review report from the Office of Policy, Rightsizing, and Innovation concurred with the mission on its need for the additional positions. Despite the staff shortages, OIG found the mission generally met Department requirements for policy and program implementation. However, OIG found deficiencies in USAU's foreign assistance and public diplomacy programs, as described below.

⁷ The state of emergency, declared in October 2016 to repress unrest in the Oromia and Amhara regions, resulted in more than 25,000 people detained and more than 600 killed. It also affected embassy operations through periodic internet outages and travel restrictions. Although the Ethiopian Government lifted the state of emergency in August 2017, the government continued to severely restrict the rights of civil society, media, and the political opposition.

⁸ ISP-I-18-18, May 2018.

Political-Economic Section

Mission Reporting and Engagement Were Useful

Washington policymakers and regional U.S. embassies told OIG that the Political-Economic Section's reporting and advocacy helped them achieve U.S. foreign policy goals. The section's broad range of contacts gave the mission access to information and policy positions of the AU and its 55 member states. Department senior officials and other agency representatives consistently characterized USAU's engagement and reporting as valuable in delivering clear messages and providing Washington policymakers with useful information on continent-wide thinking and perspectives. They cited USAU's analysis of AU peacekeeping and crisis response efforts and internal reform issues as being particularly useful.

Mission's Progress on Principal Democracy Goal Hampered by Officer's Dual Responsibilities

The Front Office assigned democracy and governance issues to an officer who also had responsibility for the mission's public diplomacy programs. OIG found that this hampered the mission's effort to advance its top ICS goal of strengthening democratic institutions in the African Union. USAU told OIG that it did not fulfill its responsibility⁹ to schedule regular meetings of the USAU-AU Democracy and Governance Technical Working Group. As a result, the working group did not meet in the year prior to the USAU-AU November 2017 High Level Dialogue,¹⁰ and last updated its work plan in 2015. USAU also told OIG that, because the officer spent most of his time on public diplomacy work, he was unable to prepare analytic reports for Washington policymakers on the AU's efforts to promote democracy and governance. OIG discussed with the Ambassador and the DCM reallocating staff resources and employing other strategies so the mission could best achieve its goal to strengthen democracy on the continent. During the inspection, USAU took steps to address this problem. Therefore, OIG did not make a recommendation in this report.

Foreign Assistance

OIG reviewed USAU's management of the Department's foreign assistance to the AU, which supported programs to strengthen the AU's capacity to promote the rule of law; prevent and mitigate conflict; counter violent extremism; and support peacekeeping operations. USAU managed \$1.1 million in foreign assistance funding to the AU in FY 2017. OIG determined that USAU generally did so in accordance with Department guidance. However, other U.S. bilateral missions to AU member countries, Department bureaus, and U.S. Government entities also obligated millions of dollars in foreign assistance to support AU programs. For example, USAID

⁹ The 2013 memorandum of understanding calls for USAU and the AU to convene technical working groups in each area of cooperation prior to an annual High Level Dialogue meeting.

¹⁰ On November 16, 2017, the Department hosted the fifth annual USAU-AU High Level Dialogue. The bilateral discussions focused on strengthening democratic institutions, spurring economic growth, trade, and investment, advancing peace and security, and promoting opportunity and development.

programmed \$107.6 million in foreign assistance funds to the African Union for trade, women, youth, health, and energy programs from FY 2012 through FY 2017. OIG found that a lack of information on total U.S. Government foreign assistance funding related to the African Union hindered USAU's ability to conduct strategic planning.

USAU's Strategic Planning Efforts Hindered by Lack of Foreign Assistance Information

USAU was unable to develop and implement a strategy that encompassed all U.S. Government foreign assistance programs and funding being provided to the African Union. Guidance in 1 FAM 013.2(g)(6) states that a chief of mission's responsibilities include directing and supervising the implementation of all foreign assistance programs under his or her authority. However, USAU had neither a reliable mechanism to track foreign assistance nor a complete listing of all foreign assistance-related programs and funding that supported the AU. OIG found that tracking these funds was made more difficult because other Department and U.S. Government entities, rather than USAU, provided most of the foreign assistance funds that support AU programs. Although USAU implemented strategy documents, such as the ICS, the lack of a full understanding of all foreign assistance programs and funding levels that support the AU hampered the Ambassador's planning efforts.

Recommendation 1: The Bureau of African Affairs, in coordination with the U.S. Mission to the African Union, should implement mechanisms to obtain and track information on foreign assistance programs supporting the African Union. (Action: AF, in coordination with USAU)

Public Diplomacy

OIG reviewed the USAU Public Affairs Section's leadership, knowledge management, cultural programs, alumni outreach, and media engagement and concluded that public diplomacy operations generally complied with Department standards. The section consisted of two LE staff members and one officer with both public diplomacy and political-economic duties, as discussed earlier in this report. OIG found that the absence of a full-time public affairs officer contributed to deficiencies in strategic planning and grants administration, as described below.

Staff Lacked Common Understanding of Key Audiences

Based on discussions with Public Affairs Section staff, OIG determined that they lacked a common understanding of the mission's key audiences in its multilateral operating environment. Depending on the circumstances, USAU's diplomatic and public engagement can be bilateral, regional, or continental. The Department's Public Diplomacy Strategic Framework, updated in June 2017, cites audience analysis as a vital aspect in articulating a strategic vision to advance foreign policy through public diplomacy. To help identify the most effective means to reach pivotal audiences, OIG encouraged the section to develop a Public Diplomacy Country

Context.¹¹ During the inspection, the Under Secretary for Public Diplomacy and Public Affairs' Office of Policy, Planning, and Resources confirmed to OIG that the Department does not require missions to multilateral institutions, such as USAU, to develop a Public Diplomacy Country Context, but concurred that USAU would benefit from preparing one.¹²

Mission's Social Media Strategy Was Missing Key Elements

The mission's social media strategy, last updated in December 2015, lacked specific information on key audiences, metrics, desired outcomes, and budgeting. According to guidance from the Bureau of International Information Programs, social media strategies should include analyses of foreign audiences, describe achievable goals linked to mission objectives, and use metrics to evaluate results. Without these specifics, the mission could not ensure online content was linked to mission objectives and delivered a measurable return on its investment of time and resources.

Recommendation 2: The U.S. Mission to the African Union, in coordination with the Bureau of International Information Programs and the Bureau of African Affairs, should revise and implement its social media strategy. (Action: USAU, in coordination with IIP and AF)

Section Did Not Comply with Grants Administration Requirements

OIG reviewed all 15 of the mission's FY 2016 and FY 2017 grants (totaling \$153,452) and found a pattern of noncompliance with Department requirements on grants administration.¹³ Deficiencies included one or more instances of insufficient documentation on budgets, risk assessments and monitoring plans,¹⁴ regional bureau approval, designation letters for Grants Officer Representatives, registration in the Grants Database Management System, and closeout procedures. OIG determined that the lack of internal operating procedures, unfamiliarity with Department requirements, and competing priorities led to non-compliance. Failure to implement these internal controls increases the risk that Federal funds will be lost or misused.

¹¹ The Public Diplomacy Country Context is one of several strategic planning tools developed by the Office of Policy, Planning, and Resources to help align resources, effectively advance top foreign policy priorities, and enable public diplomacy personnel to plan, track, and review their activities.

¹² Other U.S. missions to multilateral institutions have a Public Diplomacy Country Context, such as the U.S. Mission to the European Union and the U.S. Mission to the Organization for Security and Cooperation in Europe.

¹³ Ten grants reviewed by OIG were subject to the Department's Federal Assistance Policy Directive (issued March 2015, revised January 2016) and the Procedural Guide for Grants and Cooperative Agreements to Non-Federal Entities Not Recognized as Foreign Public Entities (issued December 2015). On May 20, 2017, the Office of the Procurement Executive consolidated these two documents into the Federal Assistance Directive, which was revised on October 1, 2017. The remaining five grants were subject to these requirements.

¹⁴ OIG identified a global pattern of a lack of risk assessments and monitoring plans in its *Management Assistance Report: Improved Oversight Needed to Standardize the Use of Risk Assessments and Monitoring Plans for Overseas Grants* (ISP-17-33, July 2017).

Recommendation 3: The U.S. Mission to the African Union, in coordination with the Bureau of Administration, should manage grants in accordance with Department standards. (Action: USAU, in coordination with A)

RECOMMENDATIONS

OIG provided a draft of this report to Department stakeholders for their review and comment on the findings and recommendations. OIG issued the following recommendations to the Bureau of African Affairs and the U.S. Mission to the African Union (USAU). The Department's complete responses can be found in Appendix B. The Department also provided technical comments that OIG incorporated, as appropriate, into the report.

Recommendation 1: The Bureau of African Affairs, in coordination with the U.S. Mission to the African Union, should implement mechanisms to obtain and track information on foreign assistance programs supporting the African Union. (Action: AF, in coordination with USAU)

Management Response: In its May 1, 2018, response, USAU concurred with the recommendation but requested the original recommendation be revised to identify the Bureau of African Affairs as the action office. In its May 22, 2018, response the Bureau of African Affairs concurred with the recommendation and agreed it should take the lead on implementation. Based on USAU's and AF's responses OIG revised the recommendation with the bureau as the designated action office.

OIG's Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation of a mechanism used to obtain and track information on foreign assistance programs supporting the African Union.

Recommendation 2: The U.S. Mission to the African Union, in coordination with the Bureau of International Information Programs and the Bureau of African Affairs, should revise and implement its social media strategy. (Action: USAU, in coordination with IIP and AF)

Management Response: In its May 1, 2018, response, USAU concurred with the recommendation. USAU noted a target compliance date of June 1, 2018.

OIG's Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation of the revised and implemented social media strategy.

Recommendation 3: The U.S. Mission to the African Union, in coordination with the Bureau of Administration, should manage grants in accordance with Department standards. (Action: USAU, in coordination with A)

Management Response: In its May 1, 2018, response, USAU concurred with the recommendation. USAU noted a target compliance date of June 1, 2018.

OIG's Reply: OIG considers the recommendation resolved. The recommendation can be closed when OIG receives and accepts documentation of grants managed in accordance with Department standards.

PRINCIPAL OFFICIALS

Title	Name	Arrival Date
Chiefs of Mission:		
Ambassador	Mary Beth Leonard	9/2016
Deputy Chief of Mission	Jessica Davis Ba	9/2016
Chiefs of Sections:		
Political-Economic	Michael Toyryla	8/2016
Other Agencies:		
Department of Defense	William Boswell	7/2017
U.S. Agency for International Development	Taisha Jones	8/2015
Foreign Agricultural Service	Michael Francom	8/2014

Source: The U.S. Mission to the African Union

APPENDIX A: OBJECTIVES, SCOPE, AND METHODOLOGY

This inspection was conducted between September 5, 2017, and February 15, 2018, in accordance with the Quality Standards for Inspection and Evaluation, as issued in 2012 by the Council of the Inspectors General on Integrity and Efficiency, and the Inspector's Handbook, as issued by OIG for the Department of State and the Broadcasting Board of Governors.

Objectives and Scope

The Office of Inspections provides the Secretary of State, the Chairman of the Broadcasting Board of Governors, and Congress with systematic and independent evaluations of the operations of the Department and the Broadcasting Board of Governors. Inspections cover three broad areas, consistent with Section 209 of the Foreign Service Act of 1980:

- **Policy Implementation:** whether policy goals and objectives are being effectively achieved; whether U.S. interests are being accurately and effectively represented; and whether all elements of an office or mission are being adequately coordinated.
- **Resource Management:** whether resources are being used and managed with maximum efficiency, effectiveness, and economy and whether financial transactions and accounts are properly conducted, maintained, and reported.
- **Management Controls:** whether the administration of activities and operations meets the requirements of applicable laws and regulations; whether internal management controls have been instituted to ensure quality of performance and reduce the likelihood of mismanagement; whether instance of fraud, waste, or abuse exist; and whether adequate steps for detection, correction, and prevention have been taken.

Methodology

In conducting inspections, OIG uses a risk-based approach to prepare for each inspection; reviews pertinent records, circulates, and compiles the results of survey instruments, as appropriate; conducts interviews with Department and on-site personnel; observes daily operations; and reviews the substance of the report and its findings and recommendations with offices, individuals, and organizations affected by the review. OIG uses professional judgment, along with physical, documentary, testimonial, and analytical evidence collected or generated, to develop findings, conclusions, and actionable recommendations.

For this inspection, OIG conducted approximately 30 interviews and reviewed 8 questionnaires.

APPENDIX B: MANAGEMENT RESPONSES

May 1, 2018

UNCLASSIFIED

THRU: Bureau of African Affairs - Acting Assistant Secretary Donald Yamamoto

TO: OIG – Sandra Lewis, Assistant Inspector General for Inspections

FROM: United States Mission to the African Union - Ambassador Mary Beth Leonard

SUBJECT: Response to Draft OIG Report – Inspection of United States Mission to the African Union

The U.S. Mission to the African Union (USAU) has reviewed the draft OIG Inspection report. We provide the following comments in response to the recommendations provided by OIG:

OIG Recommendation 1: The U.S. Mission to the African Union, in coordination with the Bureau of African Affairs, should implement mechanisms to obtain and track information on foreign assistance programs supporting the African Union. (Action: USAU, in coordination with AF)

Management Response: USAU accepts that mechanisms should be created to obtain and track foreign assistance programs supporting the African Union but disagrees that USAU should have the lead on action to ensure compliance. USAU prepares an annual operational plan to manage the assistance funds under the mission's direct control. However, most of the assistance funds to the AU and its associated regional organizations originate in US or through regional funding streams. USAU is often consulted, but rarely has decision-making authority on the distribution of these funds. Instead, we recommend that action on this recommendation originates with the AF Bureau, in coordination with F and USAU.

OIG Recommendation 2: The U.S. Mission to the African Union, in coordination with the Bureau of International Information Programs and the Bureau of African Affairs, should revise and implement its social media strategy. (Action: USAU, in coordination with IIP and AF)

Management Response: USAU accepts the recommendation and plans to comply by revising our social media strategy by June 1, 2018, and begin its immediate implementation. Based on OIG feedback, we submitted our first Public Diplomacy Country Context to identify our core audiences. With this analysis complete, we have the basis on which to build a comprehensive social media strategy, based on the guidance and input of the Bureau of International Information Programs, in coordination with the AF Bureau.

OIG Recommendation 3: The U.S. Mission to the African Union, in coordination with the Bureau of Administration, should manage grants in accordance with Department standards. (Action: USAU, in coordination with A)

Management Response: USAU accepts the recommendation and plans to comply by having the Public Diplomacy/PD Officer immediately identify patterns of non-compliance on public diplomacy grants, implement immediate remedies, and take an active role in managing the process with sufficient documentation on budgets, risk assessments, and monitoring plans. We have also identified professional development resources for the Public Diplomacy Assistant to get training in resource management by the end of fiscal year 2018.

In addition, once we hire an LE Staff Political Specialist and an LE Staff Economic Specialist, we will require them to complete Grants Officer Representative training to establish internal controls over other grants managed by the Political/Economic Section. Our Political/Economic Section training will be complete by end of the 2018 calendar year.

The DCM will work with the Political/PD Officer to create a specific compliance plan of action with clear benchmarks and integrate the achievement of the plan objectives into his work requirements by June 1. The DCM will also add grants oversight to the work requirements of the incoming Political/Economic Counselor, within 45 days of his arrival.

The point of contact for this memorandum is Jessica Davis Ba, Deputy Chief of the U.S. Mission to the African Union.

UNCLASSIFIED

May 17, 2018

MEMORANDUM

TO: OIG – Sandra Lewis, Assistant Inspector General for Inspections
FROM: AF - Donald Yamamoto, Acting
SUBJECT: Response to Draft OIG Report – Inspection of United States Mission
 to the African Union

The U.S. Mission to the African Union (USAU) has reviewed the draft OIG Inspection report. We provide the following comments in response to the recommendations provided by OIG:

OIG Recommendation 1: The U.S. Mission to the African Union, in coordination with the Bureau of African Affairs, should implement mechanisms to obtain and track information on foreign assistance programs supporting the African Union. (Action: USAU, in coordination with AF)

Management Response: AF believes offices in Washington, and not USAU directly, are best positioned to obtain and track information on foreign assistance programs supporting the African Union. While AF only has the ability to coordinate with USAID to examine bilateral assistance to the African Union, and not centrally-managed regional programming, the Bureau can obtain and track information regarding this bilateral assistance in compliance with the recommendation.

Approved: AF/FO: Donald Y. Yamamoto, Acting

Drafted: AF/ERA – Jamal Jafari, ext. 7-7373 and cell: 202-909-0327

Cleared: AF/ERA – John Kelley (OK)
 AF/ERA – Lisbeth Thompson (OK)
 AF/EX – Ben Dille (OK)

ABBREVIATIONS

AU	African Union
DCM	Deputy Chief of Mission
FAM	Foreign Affairs Manual
ICS	Integrated Country Strategy
LE	Locally Employed
USAID	U.S. Agency for International Development
USAU	U.S. Mission to the African Union

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