

Winter Inspection Cycle Addendum to Work Plan Fiscal Years 2022-2023



Office of Inspector General
United States Department of State

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OIG Work Planning Process

OIG assesses relative risks in the programs for which it has oversight authority. OIG does so to identify areas most in need of attention and, accordingly, to set priorities for the sequence and proportion of resources to be allocated. This work plan identifies the projects, priorities, and initiatives that will support OIG's ability to achieve its strategic goals and objectives through FY 2023 by:

- Providing independent oversight that promotes integrity and positive change;
- Engaging stakeholders to address Department and U.S. Agency for Global Media priorities and challenges; and
- Strengthening OIG's workforce and internal operations.

Work planning is a dynamic process, and adjustments are made throughout the year to meet priorities and to anticipate and respond to emerging issues by utilizing available resources. The projects and plans presented in this work plan are contingent upon availability of funds, budget decisions, and priorities and are, therefore, subject to revision.

For inspections planned for Fall 2021, as well as other planned OIG work for FYs 2022-2023, please refer to OIG's previously published Work Plan for FYs 2022-2023, found here: <https://www.stateoig.gov/reports/strategic-and-work-plans/>

WINTER INSPECTION CYCLE ADDENDUM TO THE FY 2022–2023 WORK PLAN

Typically, the Office of Inspections' (ISP) annual planning process results in a full fiscal year of scheduled inspections. However, ISP is planning inspections on a rolling basis due to uncertainties caused by the COVID-19 pandemic. ISP expects to announce its FY 2022 spring inspection schedule in January or February 2022. ISP will continue to assess evolving guidance related to the COVID-19 pandemic to plan for FY 2022 and beyond, as appropriate.

Office of Inspections

The Office of Inspections (ISP) is comprised of multidisciplinary teams responsible for carrying out OIG's mandate to inspect overseas missions and domestic entities of the Department and the operations of USAGM. With respect to the Department, inspections are independent assessments that 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 instances of fraud, waste, or abuse exist; and whether adequate steps for detection, correction, and prevention have been taken.

ISP reviews a variety of factors to create and implement a multi-tiered system for planning and conducting inspections. ISP seeks to target the Department's most significant vulnerabilities and to make its inspections as effective and efficient as possible. ISP's approach for planning overseas inspections incorporates factors that provide information on major functions at posts, including physical and information security, consular operations, and management platforms. In its inspection planning, ISP also considers the Department's major management challenges.

PLANNED OVERSEAS INSPECTIONS FOR THE FY 2022 WINTER INSPECTION CYCLE

The objectives for the inspections listed below are to assess each embassy’s executive direction, policy implementation, resource management, and management controls. OIG will determine whether to conduct the inspections remotely or onsite based on current COVID-19 travel protocols.

Bureau	Inspection	Initiation Date
Bureau of European and Eurasian Affairs		
	<i>Embassy Oslo, Norway</i>	Winter 2021
	<i>Embassy Tallinn, Estonia</i>	Winter 2021
	<i>Embassy Luxembourg, Luxembourg (Security inspection only)</i>	Winter 2021
Bureau of African Affairs		
	<i>Embassy Praia, Cabo Verde (Security and information management inspection only)</i>	Winter 2021

PLANNED DOMESTIC INSPECTIONS FOR THE FY 2022 WINTER INSPECTION CYCLE

Agency/Bureau	Project Title	Initiation Date
Bureau of Administration (A)	<p><i>Targeted Review of the Department of State’s Records Retirement Program</i></p> <p>Records retirement is a critical component of the Records and Information Life Cycle Management Program that the Secretary is required to establish in accordance with the Federal Records Act. Department policy establishes an Agency Records Officer in the Records and Archives Management Division to serve as the Secretary's delegated records officer with responsibility for the U.S. Government's foreign policy archives. Department policy also requires all offices, posts, and field offices to develop an active, continuing program to retire records to the Records Service Center in accordance with the Department’s records disposition schedules, pending ultimate transfer to the National Archives or a Federal Records Center. The Records and Archives Division tracks compliance with records management disposition schedules in a system with logs going back to 1976. The preliminary objectives of this review are to determine: (1) the overall compliance across the Department with records retirement schedules; and (2) the effectiveness of enforcement mechanisms to</p>	Winter 2021

Agency/Bureau	Project Title	Initiation Date
	ensure compliance with applicable laws and guidance related to records retirement.	
Bureau of Eastern Asian and Pacific Affairs (EAP)	<p data-bbox="516 359 1003 432"><i>Inspection of the American Institute in Taiwan/Washington</i></p> <p data-bbox="516 453 1203 1194">The American Institute in Taiwan/Washington (AIT/Washington) is the headquarters office of the American Institute in Taiwan and serves as the liaison with its Taiwanese counterpart organization (Taipei Economic and Cultural Representative Office) and U.S. government agencies. AIT/Washington provides direction to AIT on fiscal matters and monitors the Institute’s overall operations and finances. AIT is a private, non-profit corporation that receives federal funds, an estimated \$26.3 million, through a contract with the Department and operates similar to an embassy. The preliminary objectives of this inspection are to determine whether AIT/Washington: (1) effectively planned and achieved its policy goals and objectives; and (2) carried out its policy implementation, public diplomacy, and administrative functions consistent with requirements of law and regulation unique to this entity.</p>	Winter 2021

Appendix A: Abbreviations and Definitions

Identifier	Definition
A	Bureau of Administration
AIT	American Institute in Taiwan
COVID-19	Coronavirus Disease 2019
Department	Department of State
EAP	Bureau of East Asian and Pacific Affairs
FY	Fiscal Year
ISP	Office of Inspections
OIG	Office of Inspector General
USAGM	U.S. Agency For Global Media (Formerly the Broadcasting Board of Governors)



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