

WORK PLAN

FISCAL YEARS 2020-2021



Office of Inspector General
United States Department of State

OIG-ERM-19-03

Message from the Inspector General



Steve A. Linick

I am pleased to present the Office of Inspector General (OIG) 2-year work plan for fiscal years (FYs) 2020–2021. This publication describes the audits, inspections, evaluations, and investigative activities planned in support of OIG’s vision, mission, and strategic goals and objectives. These activities will advance our oversight agenda for the U.S. Department of State (Department) and the U.S. Agency for Global Media (USAGM).

OIG is dedicated to delivering timely, high-quality products and work that promote accountability, efficiency, and effectiveness; working with stakeholders to hold accountable those who engage in fraud, waste, or abuse; communicating effectively to support informed decision-making and effect positive change; and increasing collaboration to maximize the benefits of OIG’s work.

OIG uses several criteria to identify the activities to focus on each year, including:

- Goals and objectives contained in our strategic plan
- Major management challenges facing the Department and USAGM as identified each fiscal year by OIG
- Stakeholder priorities that promote efficiency and effectiveness in the execution of foreign policy
- Results from organizational risk assessments
- Congressional mandates
- New or changing conditions affecting the programs and operations of the Department and USAGM
- Availability of resources and expertise

This work plan supersedes previously issued work plans and will evolve, as necessary, to ensure that OIG oversight operations remain relevant, timely, and responsive to the priorities of the administration and Congress and the changing demands of our global oversight mission.

We look forward to continuing to work with the Department, USAGM, and the Congress in meeting our goals and fulfilling our mission.



Steve A. Linick
Inspector General
September 30, 2019



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.

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OIG Strategic Plan Goals and Objectives for Fiscal Years 2019-2021



Oversight Responsibilities and Organization

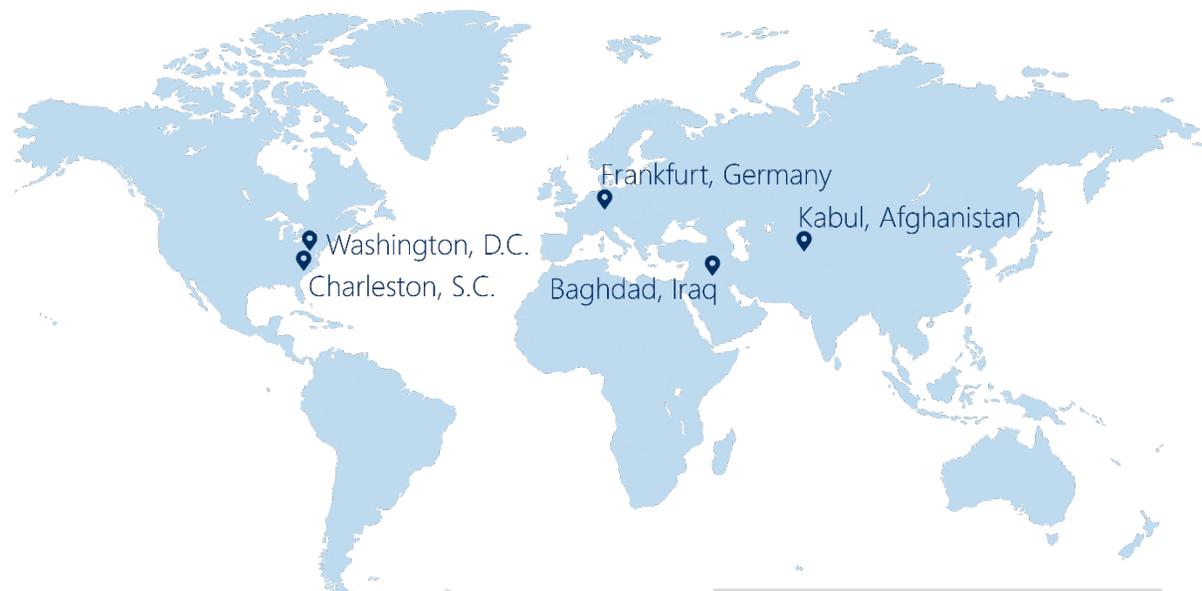
OIG's mandate is broad and comprehensive, involving oversight of the full scope of the Department of State (Department) and U.S. Agency for Global Media (USAGM) programs and operations, including more than 75,000 employees and over 270 overseas missions and broadcasting networks, as well as the U.S. Section of the International Boundary and Water Commission (USIBWC). These agencies are funded through combined annual appropriations of approximately \$14.4 billion and nearly \$8.6 billion in earned revenue from consular fees and other income. OIG also is responsible for full or partial oversight of an additional \$18.5 billion in Department-managed foreign assistance. In total, OIG is responsible for overseeing more than \$73 billion in Department and USAGM programs and operations.

Although based in Washington, DC, OIG operates overseas offices in Afghanistan and Iraq to strengthen its oversight of high-cost, high-risk Department activities in South and Central Asia and the Near East. The Middle East Region Operations (MERO) Directorate within the Office of Audits dedicates on-the-ground resources, expertise, and oversight to critical Department programs and U.S. interests in crisis and post-conflict areas.

OIG's office in Frankfurt, Germany, co-locates audit and investigative staff with the Department's regional support operations. The Frankfurt office provides oversight of Embassy Baghdad's relocated Regional Contract Support Office (RCSO), the Regional Procurement Support Office (RPSO), and other regional operations.

Investigative staff are co-located with the Department's Global Financial Services Center in Charleston, SC. In addition, OIG closely collaborates with the Department of Defense (DoD) and U.S. Agency for International Development (USAID) OIGs and with the Special Inspector General for Afghanistan Reconstruction (SIGAR) to ensure that its Middle East resources are used efficiently and effectively.

OIG Office Locations



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 2021 by:

- Providing independent products and services that promote integrity and positive change
- Engaging stakeholders to conduct effective oversight and addressing Department and USAGM priorities and challenges
- 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 with the resources available. The projects and plans presented here are contingent upon availability of funds, budget decisions, and priorities and are, therefore, subject to revision.

Compliance Process

Implementing recommendations issued by OIG to correct problems and vulnerabilities identified in the course of an audit, inspection, evaluation, or other review is an important consequence of OIG's oversight activities. After a final report is issued, each entity assigned with corrective action must respond in writing to the formal recommendations in the published report. When Department or USAGM management agrees to implement a recommendation, it is considered resolved. A recommendation is closed once OIG determines that the recommended action has been completed. Benefits of implemented recommendations include improved physical and information security, stronger management controls and accountability, more efficient programs and operations, and monetary benefits from questioned costs and funds that can be put to better use. OIG also carries out compliance follow-up reviews (CFR), which generally are conducted 6 to 24 months following the completion of an audit, inspection, or evaluation. The CFR process reviews the implementation of recommendations in the original report to determine whether all necessary corrective actions were implemented, as reported.

Recommendations that have not been implemented are reissued in the CFR report, along with recommendations on additional problems and vulnerabilities identified in the course of the CFR.

Office of Audits

The Office of Audits (AUD) comprises the Audit Directorate and the MERO Directorate. The Audit Directorate is responsible for conducting audits and program evaluations of the management and financial operations of the Department and USAGM, including their financial statements, information security, internal operations, and external activities funded by the Department or USAGM through contracts or Federal assistance. The MERO Directorate is responsible for performing audits and program evaluations in the Middle East region, as well as in North Africa and South and Central Asia. Many of the projects that AUD performs each year focus on high-risk management challenges within the Department and USAGM. Because of limited resources, AUD generally focuses its work on high-cost programs, key management challenges, and vital operations that will provide Department and USAGM managers with information that will assist them in, for example, making sound operational decisions. In addition to performing discretionary work, AUD uses a significant amount of its resources to fulfill mandatory requirements, such as annual financial statement and information security audits, or to respond to congressional and Department requests.

AUDIT DIRECTORATE

**Identifies project that State OIG is required to complete by law or U.S. Office of Management and Budget (OMB) guidance*

Agency Bureau	Project Title and Description	Fiscal Year
Contracts, Grants, and Infrastructure Division		
Department, USAGM	<p data-bbox="488 1205 906 1234"><i>Single Audit Act (Desk) Reviews*</i></p> <p data-bbox="488 1262 1279 1717">Subpart F of the Uniform Grant Guidance establishes audit requirements for state and local governments, colleges and universities, and nonprofit organizations receiving Federal awards. Under this guidance, 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. OIG is mandated to review selected audit reports for findings and questioned costs related to Department and USAGM awards and to help the Department and USAGM ensure that reports comply with the requirements of the guidance.</p>	2020, 2021

Agency Bureau	Project Title and Description	Fiscal Year
Department, USAGM, USIBWC	<p data-bbox="488 264 1211 327"><i>Purchase and Travel Card Risk Assessment (Department, USAGM, and USIBWC)*</i></p> <p data-bbox="488 359 1292 537">Risk assessments of credit card programs are mandated under the Government Charge Card Abuse Prevention Act of 2012. The objective of the assessments is to identify and analyze the risk of illegal, improper, or erroneous purchases and payments.</p>	2020, 2021
Department	<p data-bbox="488 562 1252 625"><i>Risk Assessment of the Department of State Grant Closeout Process*</i></p> <p data-bbox="488 657 1300 995">The goal of the Grants Oversight and New Efficiency Act was to ensure Federal agencies identify and close certain expired grants that have not been properly closed out from the Federal financial payment system. Among other things, the act requires that the OIG for agencies with more than \$500 million in grant funding conduct a risk assessment of their agencies' grant closeout process. The objective of this assessment is to identify and analyze the risks related to the Department's grant closeout processes.</p>	2020
Bureau of Human Resources (HR)	<p data-bbox="488 1020 1227 1083"><i>Audit of the Bureau of Human Resources Service Provider Service Level Agreements</i></p> <p data-bbox="488 1115 1300 1640">HR uses Service Level Agreements (SLA) that describe what services will be delivered at what defined level by the HR Service Providers to HR's Client Bureaus. Services could include strategic consulting; classification and position management; recruitment and staffing; compensation; benefits; performance management; career development/training; and separation. Each party is to enter into the SLA in good faith with a commitment to fulfill respective responsibilities and to ensure delivery of quality services as stipulated. The parties agree to work together to resolve issues to meet and improve service performance. The objective of this audit is to determine whether HR is meeting agreed-upon performance levels included in SLAs and whether Client Bureaus are satisfied with the services provided by HR.</p>	2020

Agency Bureau	Project Title and Description	Fiscal Year
Bureau of Overseas Building Operations (OBO)	<p data-bbox="488 262 1300 369"><i>Audit of the Bureau of Overseas Buildings Operations' Contract Administration for the Design and Construction of the New Embassy Compound Mexico City</i></p> <p data-bbox="488 394 1300 926">The New Embassy Compound (NEC) in Mexico City is being built as part of a larger overhaul of embassy facilities across the globe spurred by the Secure Embassy Construction and Counterterrorism Act of 1999. The new embassy complex will be built on 8 acres and will cost almost \$895 million. The main building will be about 515,000 square feet, making it one of the largest embassies owned by the Department. Construction on the project began in February 2018 and is expected to reach substantial completion in April 2022. The objective of this audit is to determine whether the Department has administered the design and construction contract for NEC Mexico City in accordance with Federal acquisition regulations and whether the contractor has fulfilled the contract terms and conditions.</p>	2020
Department	<p data-bbox="488 951 1284 1020"><i>Capping Report – Issues Identified Related to the Department of State Oversight of Contracts and Federal Assistance</i></p> <p data-bbox="488 1045 1284 1696">The Department uses a significant amount of its budget, approximately \$30 billion annually, for contracts and Federal assistance (grants and cooperative agreements). OIG has long viewed the oversight of contracts and Federal assistance as a major management challenge for the Department. OIG has reported that the Department does not consistently and adequately monitor contractor performance or Federal assistance programs. OIG will prepare a report that summarizes prior OIG work and presents information on systemic issues related to the oversight of contracts and Federal assistance. The objective of this project is to present challenges previously identified by OIG in a holistic manner to advance corrective action in a consistent and integrated manner. The capping report will also serve as the baseline for measuring the Department’s progress to execute sound management and oversight practices related to contracts and Federal assistance in support of the Department’s mission.</p>	2020

Agency Bureau	Project Title and Description	Fiscal Year
Bureau of Administration (A)	<p data-bbox="488 262 1214 331"><i>Audit of the Department of State's Oversight of Selected Grants That Include Cost Sharing</i></p> <p data-bbox="488 359 1295 772">Some grants include elements of cost sharing. Cost sharing or matching refers to the portion of a grant project's costs that is not borne by the Government. The "cost share" pledge by the award recipient may be either a fixed amount of money or a percentage of the project cost. OIG audits have identified cost sharing as an area of concern. Ensuring that cost sharing mechanisms are properly utilized and monitored reduces risk and increases the probability that programs and grants will achieve their intended results. The objective of this audit is to determine whether selected grantees fulfilled cost sharing requirements included in the grant agreement.</p>	2020
OBO, A	<p data-bbox="488 795 1149 823"><i>Audit of Heritage Assets at Selected Overseas Posts</i></p> <p data-bbox="488 850 1295 1535">The Department maintains collections of arts and furnishings, known as heritage assets, that are held for public exhibition, education, and official functions. Items can be donated, loaned, or purchased (using donated or appropriated funds). The Department uses this property to promote national pride and the distinct cultural diversity of American artists, as well as to recognize the historical, architectural, and cultural significance of America's holdings overseas. Although the Department does not report a value of these assets, one curator said that the value could be \$500 million. Many pieces of heritage assets are placed overseas. The Department provides protection and preservation services to maintain all heritage assets. The objective of this audit is to determine whether selected posts protected and preserved heritage assets in accordance with Department requirements and whether the Department administered selected heritage asset programs in accordance with Federal and Department requirements.</p>	2020

Agency Bureau	Project Title and Description	Fiscal Year
OBO	<p data-bbox="488 264 1179 331"><i>Audit of the Bureau of Overseas Buildings Operations' Oversight of the Design of Major Building Systems</i></p> <p data-bbox="488 359 1284 890">When designing a building, the Project Development and Coordination Division within OBO directs and coordinates the development of the scope, schedule, and budget for major projects. Design includes major mechanical and electrical components for the new facility, including water treatment plants. Within OBO, the Mechanical Engineering Division has the responsibility for establishing requirements for mechanical, plumbing, and conveyor systems, as well as environmental security and energy conservation. During previous projects, OIG identified deficiencies with the design of major building systems, which led to unnecessary costs to the Department. The objective of this audit is to determine whether OBO directed and coordinated the design of major systems in accordance with standards.</p>	2020
A	<p data-bbox="488 915 1292 982"><i>Audit of Department of State Oversight of Selected Award Fee Contracts</i></p> <p data-bbox="488 1010 1292 1381">The Federal Acquisition Regulation states that incentive contracts link a component of the fee payable to the contractor's performance. Award-fee is a type of incentive contract. An award-fee contract is used when predetermined, objective targets are not feasible or effective to devise. According to USASpending.gov, of about 1,200 award-fee type contracts at the Department, 30 are valued at more than \$1 million. The objective of this audit is to determine whether the Department administered award-fee contracts in accordance with Federal, Department, and contract requirements.</p>	2020

Agency Bureau	Project Title and Description	Fiscal Year
A	<p data-bbox="488 264 1268 331"><i>Audit of the Department's Oversight of Federal Assistance to For-Profit Organizations</i></p> <p data-bbox="488 359 1300 1003">For-profit organizations, both foreign and domestic, are eligible to receive grants and cooperative agreements. In FY 2018, the Department had grants or cooperative agreements with 106 for-profit organizations, totaling more than \$108 million, for a wide range of services, including publishing short stories; workshops on photography; travel expenses related to a concert; revitalization of a museum; building the capacity of police; and creating television programs. Domestic for-profit entities that receive grants are not held to the same standards that non-profit entities and foreign for-profit entities must uphold to continue receiving grants. The objective of this audit is to determine whether the Department awarded grants or cooperative agreements to for-profit entities in accordance with requirements and whether Grants Officers and Grants Officer Representatives oversaw these grants or cooperative agreements in accordance with Federal and Department standards.</p>	2021
A, Bureau of Western Hemisphere Affairs (WHA)	<p data-bbox="488 1031 1268 1098"><i>Audit of Selected Contracts and Grants Within the Bureau of Western Hemisphere Affairs</i></p> <p data-bbox="488 1125 1295 1465">OIG has identified the management of contracts and grants as a major management challenge in the Department. This audit—one in a series of audits related to the Department's administration of contracts and grants—will focus on the administration and oversight of contracts and grants within the WHA. The objective of this audit is to determine whether WHA administered and oversaw selected contracts and grants in accordance with applicable Federal regulations and Department guidance.</p>	2021

Agency Bureau	Project Title and Description	Fiscal Year
Bureau of Consular Affairs (CA), A	<p><i>Audit of the Contract to Modernize the Technology Services Provided by the Bureau of Consular Affairs</i></p> <p>CA, Office of Consular Systems and Technology (CST), provides information technology (IT) resources to support over 300 consular locations, including approximately 230 overseas posts, 29 domestic passport agencies, and 2 visa processing centers. CST awarded a contract to modernize CA's tools and technology in a new initiative called "ConsularOne." The contract was awarded on May 11, 2018, for up to \$850 million. The objective of this audit is to determine whether CST administered the "ConsularOne" contract in accordance with Federal regulations and Department policy.</p>	2021
Financial Management Division		
Department, USAGM, USIBWC	<p><i>Audit of Financial Statements (Department, USAGM, and USIBWC)*</i></p> <p>This audit is required by the Chief Financial Officers (CFO) Act of 1990, as amended. The CFO Act requires agencies to annually submit to the Director of OMB financial statements covering all accounts and associated activities of the agency. The act also requires OIG to audit the financial statements. The objective of this audit is 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.</p>	2020, 2021
Bureau of the Comptroller and Global Financial Services (CGFS), USAGM	<p><i>Audit of Compliance with Improper Payment Requirements (Department and USAGM)*</i></p> <p>Over the past decade, the Federal Government has implemented safeguards to reduce improper payments. In October 2014, OMB updated guidance for agencies to report on the risk of improper payments by their agency. Since July 2010, OIGs have been required to annually review and report on improper payments reporting. The objective of this audit is to determine whether the agency is in compliance with the Improper Payments Information Act, as amended.</p>	2020, 2021

Agency Bureau	Project Title and Description	Fiscal Year
CGFS, Bureau of Budget and Planning (BP)	<p data-bbox="488 262 1284 331"><i>Audit of Department of State Use of Appropriated Funds Prior to Expiration and Cancellation*</i></p> <p data-bbox="488 354 1284 772">The Consolidated Appropriations Act of 2019 states that Congress is concerned about the Department’s management of appropriated funds within the period of availability, including the need to improve fund management to avoid expired and canceled funds. The act required OIG to conduct an audit of the Department’s use of appropriated funds prior to expiration and cancellation. The objective of this audit is to determine whether selected bureaus used appropriated funds within the deadlines of the appropriations and whether obligations using expired funds were made in accordance with Federal requirements.</p>	2020
A	<p data-bbox="488 795 1138 865"><i>Audit of Foreign Per Diem Rates Established by the Department of State</i></p> <p data-bbox="488 888 1284 1192">The Department establishes foreign per diem rates, which consist of a lodging portion and a meal and incidental expenses portion, for all U.S. Government civilians traveling on official business in foreign areas. The Department spent \$97.3 million in FY 2018 in per diem. The objective of this audit is to determine whether the Department established appropriate foreign per diem rates in accordance with Federal regulations and Department policies.</p>	2020
Department, USAGM	<p data-bbox="488 1215 1203 1285"><i>Audit of Compliance with the Digital Accountability and Transparency Act (Department and USAGM)*</i></p> <p data-bbox="488 1308 1284 1803">The Digital Accountability and Transparency Act of 2014 (DATA Act) expands the requirements for Federal agencies to disclose agency expenditures and link contract, loan, and grant spending information to programs of agencies to enable taxpayers and policy makers to track Federal spending more effectively. The law also requires the establishment of government-wide data standards for financial data and consistent, reliable, searchable government-wide spending data that is displayed accurately. The objectives of this audit are to assess the completeness, timeliness, quality, and accuracy of spending data submitted by the agency and to assess the implementation and use by the agency of data standards required by the DATA Act.</p>	2021

Agency Bureau	Project Title and Description	Fiscal Year
Bureau of International Narcotics and Law Enforcement Affairs (INL)	<p data-bbox="488 262 1227 369"><i>Review of Accounting and Authentication of Drug Control Funds and Related Performance Report for the Office of National Drug Control Policy*</i></p> <p data-bbox="488 394 1300 890">The Office of National Drug Control Policy (ONDCP) was established by the Anti-Drug Abuse Act of 1988. Its principal purpose is to establish policies, priorities, and objectives for the nation’s drug control program. The Director of ONDCP requires agencies to submit annually a detailed accounting of all funds expended by the agencies for National Drug Control Program activities during the previous fiscal year. For example, INL annually obligates more than \$500 million in ONDCP funds. In addition, the Director of ONDCP requires that OIG authenticate the information prior to submission. The objective of this audit is to authenticate the Department’s accounting of drug control funds and related performance report, in compliance with ONDCP guidance.</p>	2021
OBO	<p data-bbox="488 911 1243 980"><i>Audit of Maintenance and Improvements of Overseas Real Property</i></p> <p data-bbox="488 1005 1300 1696">All posts must adequately and properly maintain all facilities abroad. OBO provides posts with maintenance and repair funding based on annual target calculations. According to the FY 2020 OBO Bureau Resource Plan, OBO requested \$161 million for Construction, Facility, and Security Management, which includes routine maintenance funding. OBO requested an additional \$78.9 million for the Minor Construction and Improvement Program, which funds repairs and upgrades. The amount requested by OBO represents 10 percent of currently identified repairs needed at overseas facilities. OIG reported in <i>Audit of Maintenance and Improvements of Overseas Real Property</i> (AUD/FM-10-30, September 2010) that posts’ maintenance and improvement needs for overseas property were not met and deferred maintenance had not been reported accurately. The objective of this audit is to determine whether OBO administered the maintenance and repair of overseas real property in accordance with Federal and Department requirements.</p>	2021

Agency Bureau	Project Title and Description	Fiscal Year
A	<p data-bbox="488 264 1300 331"><i>Compliance Follow-Up Audit of Select Cost-of-Living Allowances for American Employees Stationed in Foreign Areas</i></p> <p data-bbox="488 359 1284 772">In August 2017, OIG issued a report titled <i>Audit of Select Cost-of-Living Allowances for American Employees Stationed in Foreign Areas</i> (AUD-FM-17-51). OIG reported that the Department did not establish appropriate post allowance rates primarily because the methodology used to calculate post allowance rates was flawed and policies and procedures were insufficient. The objective of this audit is to determine whether the actions taken by the Department to close recommendations have corrected the original deficiencies found in the OIG report and whether the original deficiencies were fully addressed if final action was taken.</p>	2021
A, HR, CGFS	<p data-bbox="488 795 894 823"><i>Audit of Post Assignment Travel</i></p> <p data-bbox="488 850 1295 1381">Post assignment travel (PAT) is crucial for staffing the Department's overseas missions with trained personnel and ensuring effective management of human resources. PAT supports the permanent change of station requirements for Foreign Service and Civil Service personnel, ensuring timely deployment of personnel, families, and personal effects. The costs can include travel, shipment, and storage costs and training per diem and accommodation. In FY 2018, the Department received approximately \$343 million for this activity. The objective of this audit is to determine whether the Department is paying for travel costs in compliance with PAT policies and whether the Department is administering the PAT program in accordance with applicable regulations and requirements.</p>	2021

Agency Bureau	Project Title and Description	Fiscal Year
Information Technology Division		
Bureau of Diplomatic Security (DS), Bureau of Information Resource Management (IRM), Bureau of Intelligence and Research (INR)	<p data-bbox="488 317 1292 422"><i>Audit of the Information Security Program for Sensitive Compartmented Information Systems at the Department of State*</i></p> <p data-bbox="488 443 1292 863">The E-Government Act of 2002, as amended by the Federal Information Security Modernization Act of 2014 (FISMA), requires OIG to conduct an annual evaluation of its agencies' information security programs. This audit will focus specifically on the Sensitive Compartmented Information (SCI) systems. The objective of this audit is to evaluate the effectiveness of security controls and techniques for SCI systems and compliance with Department policies; intelligence community directives of the Director of National Intelligence; and FISMA and related information security policies, procedures, standards, and guidelines.</p>	2020, 2021
Department, USAGM, USIBWC	<p data-bbox="488 884 1292 957"><i>Audit of the Information Security Program (Department, USAGM, and USIBWC)*</i></p> <p data-bbox="488 978 1292 1283">The E-Government Act of 2002, as amended by FISMA, requires OIG to conduct an annual evaluation of its agencies' information security programs. This audit will focus on the agencies' information security programs. The objective of this audit is to evaluate the effectiveness of security controls and techniques for selected information systems and compliance with FISMA and related information security policies, procedures, standards, and guidelines.</p>	2020, 2021

Agency Bureau	Project Title and Description	Fiscal Year
IRM	<p data-bbox="488 264 1114 291"><i>Audit of the Department of State IT Supply Chain</i></p> <p data-bbox="488 317 1300 1003">A supply chain is the process that moves a product or service from a vendor to a customer. Counterfeit IT and communications products represent an increasing threat. According to industry estimates, 1 in 10 such products sold are counterfeit, equating to approximately \$100 billion in counterfeit IT products. Other supply chain risks include tampering, theft, insertion of malicious software and hardware, and poor manufacturing. According to an industry report, cyberattackers have started to shift attack patterns to exploit supply chain environments to gain entry to target systems. The Federal Government has increased its attention on this topic. The Department’s Chief Information Officer is responsible for protecting against supply chain threats to IT systems, system components, and system services. The objective of the audit is to determine whether the Bureau of Information Resource Management has developed and implemented an IT supply chain risk management strategy that complies with Federal and Department requirements.</p>	2020
IRM	<p data-bbox="488 1031 1227 1136"><i>Compliance Follow-Up Audit of the Department of State’s Implementation of a Process to Select and Approve IT Investments</i></p> <p data-bbox="488 1161 1300 1736">In March 2016, OIG issued a report titled <i>Audit of the Department of State Process to Select and Approve Information Technology Investments</i> (AUD-FM-16-31). OIG reported that the Department generally did not select IT investments in accordance with OMB requirements and the Department did not always report to OMB accurate and complete information on its IT investments. Because of these issues, OIG stated that stakeholders lack visibility into the Department’s IT portfolio, the Department made duplicative IT investments, and the Department was not well-positioned to implement new IT mandates. The objective of this audit is to determine whether the actions taken by the Department to close recommendations have corrected the original deficiencies found in the OIG report and whether the original deficiencies were fully addressed if final action was taken.</p>	2020

Agency Bureau	Project Title and Description	Fiscal Year
CA	<p data-bbox="488 264 1276 331"><i>Audit of IT Security Controls for the Passport Information and Electronic Records System</i></p> <p data-bbox="488 359 1297 926">The Passport Information and Electronic Records System (PIERS) is a CA system housed on the Department’s network. PIERS is a suite of web and desktop applications that is used to manage passport records. These records include personally identifiable information, making the system a potential target for malicious actors, both internal and external. During a prior audit, OIG found control weaknesses—including a general lack of policies, procedures, guidance, and training—relating to the prevention and detection of unauthorized access to passport and applicant information and the subsequent response and disciplinary processes when a potential unauthorized access is substantiated. The objective of this audit is to determine whether the IT security controls that were designed and implemented for PIERS meet Federal and Department standards and are working as intended.</p>	2021
IRM, DS, Office of Management Policy, Rightsizing and Innovation (M/PRI)	<p data-bbox="488 953 1260 1020"><i>Audit of the Department of State’s Implementation of Cloud Computing</i></p> <p data-bbox="488 1047 1297 1614">The Department is taking steps to move its systems to the cloud. Cloud computing is a model for enabling convenient, on-demand network access to a shared pool of configurable computing resources that can be rapidly provisioned and released with minimal management effort or service provider interaction. Using cloud-based systems presents unique risks, such as set-up, loss of control over the data, security, and access issues, that need to be properly managed. These risks can be mitigated by taking precautionary and proactive steps, such as negotiating contractual provisions, to protect the data, interests, and resources of the Department. The objective of this audit is to determine whether the Department's efforts to adopt cloud-computing technologies and cloud service providers comply with Department policies and Federal standards.</p>	2021

Agency Bureau	Project Title and Description	Fiscal Year
Security and Intelligence Division		
DS, Regional Bureaus	<p data-bbox="488 312 1243 380"><i>Audit of Department of State's Implementation of the Post Security Program Reviews</i></p> <p data-bbox="488 407 1295 863">DS manages the oversight of regional security offices at all U.S. missions through the Post Security Program Review (PSPR) process. The purpose of the PSPR is to ensure posts manage life safety, emergency preparedness, and information security programs with full mission support and participation, adequate personnel, sufficient resources, and appropriate management controls. The DS High Threat Program Directorate conducts a PSPR annually for all high-threat, high-risk posts and every 3 years for all other posts. The objective of this audit is to determine whether DS manages the PSPR process in accordance with Department policies and guidelines.</p>	2020
DS	<p data-bbox="488 884 1235 951"><i>Audit of the Bureau of Diplomatic Security's Controls Over Special Protective Equipment</i></p> <p data-bbox="488 978 1292 1711">DS is responsible for providing a safe and secure environment for the conduct of U.S. foreign policy, both domestically and overseas. DS special agents and Regional Security Officers carry and utilize Special Protective Equipment, such as firearms and body armor, in the performance of their law enforcement duties. The Foreign Affairs Manual specifies requirements for the receipt, management, and disposal of all Government property, including firearms and other SPE. In April 2011, OIG issued a report titled <i>Audit of Department of State Controls Over Bureau of Diplomatic Security Firearms and Optics</i> (AUD/SI-11-25). In this report, OIG stated that not all DS divisions track and account for their SPE in a consistent and consolidated manner to safeguard and control these materials. The objectives of this audit are to determine whether DS is adhering to Department policies relative to the proper accountability for, maintenance of, and control over SPE and to determine whether the actions taken by the Department to close recommendations from OIG's 2011 report have corrected the original deficiencies.</p>	2020

Agency Bureau	Project Title and Description	Fiscal Year
INL, A	<p><i>Audit of Grants Awarded to the National Center for State Courts by the Bureau of International Narcotics and Law Enforcement Affairs</i></p> <p>INL supports criminal justice programs worldwide. Since 2010, INL has awarded the National Center for State Courts (NCSC) approximately \$225 million in grants for projects in the Western Hemisphere. These grants have been for projects promoting police training, counter-narcotics, and rule of law. Recent OIG projects have identified concerns with these grants. The objective of this audit is to determine whether INL administered and oversaw grants to NCSC in accordance with Federal and Department requirements and whether NCSC fulfilled program goals included in the grant agreements and accurately reported programmatic performance as required.</p>	2020
INL, Bureau of Counterterrorism and Countering Violent Extremism (CT), Office of U.S. Foreign Assistance Resources (F)	<p><i>Audit of the Department's Progress to Nationalize Programs in Selected Countries</i></p> <p>The Department, through specific bureaus and offices such as the Office of U.S. Foreign Assistance Resources (F), CT, and INL, provides foreign assistance to other countries for specific programs such as aviation, human rights, and security. The goals of each program vary, but generally programs are designed to enable the partner nation to build capacity to operate and maintain the program so that it is sustainable. OIG audits have identified instances where a program was transferred to a host nation and the host nation was unable to sustain the program. The objective of this audit is to determine whether the Department developed, implemented, and evaluated plans, performance indicators, and metrics to nationalize selected foreign assistance programs.</p>	2021
A, DS	<p><i>Audit of the Department of State Domestic Guard Services Contract</i></p> <p>The Department has a requirement for uniformed domestic guard services to protect domestic properties. Since 2017, the Department has entered into four contracts with one company for domestic guard services, totaling approximately \$500 million. DS's Domestic Facilities Protection Office is responsible for administering the guard contracts. The objective of this audit is to determine whether DS administered the domestic guard services contracts in accordance with applicable Federal and Department requirements and conditions of the contract.</p>	2021

Agency Bureau	Project Title and Description	Fiscal Year
INR, DS	<p data-bbox="488 262 1243 331"><i>Audit of the Department of State Administration of Special Access Programs</i></p> <p data-bbox="488 359 1295 772">Special Access Programs (SAP) are designed to protect national security by employing enhanced security measures to strictly enforce the concept of need-to-know. SAPs may be created or continued under specific circumstances showing that the vulnerability of, or threat to, specific information is exceptional and the normal criteria for determining eligibility for access are not sufficient to protect the information from unauthorized disclosure. Access to data included in an SAP must be limited to a minimum number of staff. The objective of this audit is to determine whether the Department administered SAPs in accordance with Department standards.</p>	2021
DS, Regional Bureaus	<p data-bbox="488 795 1292 865"><i>Compliance Follow-up Audit of Residential Security at Selected Overseas Posts</i></p> <p data-bbox="488 892 1295 1306">In November 2015, OIG issued a report titled <i>Audit of Residential Security at Selected Overseas Posts</i> (AUD-CGI-16-18). OIG identified deficiencies with residential security at posts included in the audit and identified opportunities for the Department to improve security. As of July 2019, four recommendations were resolved but open and one recommendation was closed. The objective of this audit is to determine whether the actions taken by the Department to close recommendations have corrected the original deficiencies found in the OIG report and whether the original deficiencies were fully addressed if final action was taken.</p>	2021

MIDDLE EAST REGION OPERATIONS DIRECTORATE

Agency Bureau	Project Title and Description	Fiscal Year
Embassy Baghdad, Embassy Kabul, Bureau of South Central Asian Affairs (SCA), Bureau of Near Eastern Affairs (NEA), M/PRI, DS	<p data-bbox="467 310 1243 338"><i>Audit of Rightsizing of U.S. Embassies Kabul and Baghdad</i></p> <p data-bbox="467 365 1243 1283">The U.S. Missions to Afghanistan and Iraq have undergone significant reconfiguration in recent years. In November 2018, the Department decided to decrease the U.S. footprint in Afghanistan because of the Administration's shifting priorities; Embassy Kabul subsequently submitted a proposal to reduce embassy personnel by 50 percent. Similarly, in February 2019, the Department directed U.S. Embassy Baghdad to reduce its staffing profile by 30 percent. OIG issued the <i>Audit of U.S. Mission Iraq Staffing Process</i> (AUD-MERO-13-33) in 2013 that found that the Department did not fully consider U.S. priorities in Iraq as set forth in rightsizing frameworks developed by M/PRI and the Government Accountability Office. OIG also issued the <i>Audit of the Department's Implementation of Vital Presence Validation Process</i> (AUD-SI-15-37) in 2015 that found that the Department periodically reviewed the balance between acceptable risk and expected outcomes in high-threat high-risk posts, but that the analysis did not explicitly address the attainability of the posts' missions or goals. The objective of the audit is to determine whether the Department used established procedures, guidance, and best practices when undertaking its rightsizing approach and whether the approach takes into consideration the alignment of resources invested at these missions with U.S. priorities.</p>	2020
CA, Embassy Baghdad, Embassy Kabul	<p data-bbox="467 1310 1243 1379"><i>Audit of the Special Immigrant Visa Program for Iraq and Afghanistan</i></p> <p data-bbox="467 1407 1243 1940">The Department's authority to issue Special Immigrant Visas (SIV) to Afghan nationals falls under Section 602(b) of the Afghan Allies Protection Act of 2009, as amended. The act authorizes the issuances of SIVs to Afghan nationals who worked on behalf of the U.S. Government in Afghanistan or the International Security Assistance Force. The Consolidated Appropriations Act for FY 2019 authorized 4,000 additional visas for Afghan principal applicants. The act also created additional reporting requirements. Similarly, Section 1244 of the National Defense Authorization Act for Fiscal Year 2008 authorized the issuance of up to 5,000 SIVs annually through FY 2013 to Iraqi nationals who were employed by, or on behalf of, the U.S. government in Iraq and who meet certain requirements. The Department's</p>	2020

Agency Bureau	Project Title and Description	Fiscal Year
	<p>authority to issue SIVs to Iraqi nationals under the National Defense Authorization Act of 2008 was subsequently extended. The objective of the audit is to determine whether the Department is administering the SIV program in accordance with Federal law.</p>	
<p>OBO, Consulate Erbil, Embassy Baghdad</p>	<p><i>Audit of the Bureau of Overseas Building Operations' Construction of the New Consulate General in Erbil, Iraq</i></p> <p>In September 2013, the Department and the head of the Department of Foreign Relations for the Kurdistan Regional Government signed an agreement allocating land for the construction of a new consulate general building and compound in Erbil. In March 2014, the Department issued a pre-solicitation notice for the design and construction of offices, housing, and support facilities. In June 2018, it awarded the contract, valued at \$422.5 million, to B.L. Harbert International. The objectives of the audit are to determine 1) whether the Department administered the design and construction contract in accordance with Federal Acquisition Regulation and 2) whether B.L. Harbert fulfilled the contract terms and conditions.</p>	2020
<p>U.S. Mission to Somalia, Selected Bureaus</p>	<p><i>Audit of Grants and Cooperative Agreements in Support of Somalia</i></p> <p>In FY 2017, the U.S. Mission to Somalia oversaw \$464 million in foreign assistance disbursed through grants and cooperative agreements to non-profit organizations. A Grants Officer recently reported major concerns with recipients who are also for-profit companies (or subsidiaries of for-profit companies). Somalia ranked last of 180 countries in Transparency International's 2018 Corruption Perceptions Index; accordingly, the risk of waste, fraud, and mismanagement of funds is high. The objectives of the audit are to determine the extent to which foreign assistance provided to Somalia is being spent in accordance with regulations and meeting U.S. goals and objectives.</p>	2020
<p>A, NEA, Embassy Baghdad</p>	<p><i>Review of Personal Property Accountability Audit of U.S. Mission Iraq</i></p> <p>Embassy Baghdad manages approximately \$300 million in government-owned personal property. In addition, the September 2018 suspension of operations at Consulate General Basrah resulted in the transference of approximately 90 percent of the Consulate's personal</p>	2020

Agency Bureau	Project Title and Description	Fiscal Year
	<p>property to Embassy Baghdad. In 2014, OIG reported on systemic weaknesses with managing personal property in Iraq. The objective of the audit is to determine whether the Department accounted for and maintained personal property in Baghdad and transferred personal property from Consulate General Basrah to Embassy Baghdad in accordance with Federal requirements and Department regulations.</p>	
Embassy Kabul, SCA	<p><i>Audit of Food Services Under the Afghanistan Life Support Services Contract</i></p> <p>In 2014, the Bureau of Administration awarded a contract (SAQMMA14D0151) to DynCorp International LLC and another (SAQMMA14D0152) to Global Development Support Services LLC (GDSS) to provide life support services for U.S Mission Afghanistan. The contracts had a combined value of more than \$1 billion to be executed over a 5-year period. Multiple task orders were issued under these contracts, including food operations. In 2018, OIG conducted an audit of food cost controls for Embassy Baghdad, Iraq, and found that such controls were not implemented. The objectives of the audit are to determine whether the Department is administering the food services task order under the Afghanistan Life Support Services contract in accordance with the Federal Acquisition Regulation, and whether DynCorp and GDSS are complying with contract terms and conditions.</p>	2020
NEA, Office of Acquisition Management (AQM), Embassy Baghdad	<p><i>Compliance Follow-up Review of the Bureau of Near Eastern Affairs Selection and Management of Contract Oversight Personnel in Iraq</i></p> <p>In the <i>Audit of the Selection and Management of CORs in Iraq</i> (AUD-MERO-19-10), OIG reported that NEA did not consistently nominate Contracting Officer's Representatives (COR) and Government Task Monitors with the required certification level and technical expertise to oversee contracts in Iraq. Currently, several contracts in Iraq are "bridged" as the Department awaits awards of the \$8 billion Diplomatic Platform Support Services contract and the \$234 million follow-on Medical Support Services contract. Without qualified and FAC-COR Level III certified CORs in position to oversee these contracts through a critical transition period, the Department not only risks failed contract transitions, but also continues to risk</p>	2021

Agency Bureau	Project Title and Description	Fiscal Year
	comprehensive oversight of billions in taxpayer funds. The objective of the audit is to determine whether the recommendations from AUD-MERO-19-10 are being efficiently and effectively implemented.	
Secretary's Office of Global Women's Issues (S/GWI), Selected Bureaus and Embassies	<p data-bbox="467 430 1049 537"><i>Audit of the Office of Global Women's Issues' Implementation of the National Action Plan on Women, Peace, and Security</i></p> <p data-bbox="467 562 1252 1367">The Women, Peace, and Security Act of 2017 was enacted to build upon work begun with the 2011 U.S. National Action Plan on Women, Peace, and Security. The U.S. Strategy on Women, Peace, and Security provides a policy framework that requires the United States to prioritize the needs and perspectives of women in conflict prevention, resolution and reconstruction, to protect them during conflict itself, and to support them as decision-makers and agents of change throughout. For FY 2020, the Department requested \$388.5 million for programs associated with the implementation of the effort. Within the Department, S/GWI leads the oversight and coordination of the Strategy and implementation plan. The objectives of this audit are to determine whether S/GWI has 1) tailored applicable Department engagements and programs to help women be more prepared for, and able to participate in, decision-making processes related to conflict and crisis; 2) established metrics and targets to evaluate, measure, and report Department performance; and 3) created a process to modify or redirect program resources on the basis of performance that informs resource allocation and planning.</p>	2020
AQM, OBO, Embassy Nairobi, Embassy Amman	<p data-bbox="467 1390 1187 1497"><i>Audit of the Bureau of Overseas Building Operations' Construction of the New U.S. Embassy Annex in Nairobi, Kenya, and Amman, Jordan</i></p> <p data-bbox="467 1522 1252 1942">OBO is constructing a new office annex (NOX) at Embassy Nairobi, Kenya, valued at \$153 million that is expected to be completed in September 2021. OBO recently completed construction for a NOX at Embassy Amman, Jordan, valued at approximately \$163 million. According to OBO officials, the NOX at Embassy Amman was successfully completed ahead of schedule and under budget. The objectives of this audit are to (1) determine whether OBO has developed a process to capture, disseminate, and replicate lessons learned and best practices identified to other OBO construction projects; (2) identify lessons learned and best</p>	2020

Agency Bureau	Project Title and Description	Fiscal Year
	<p>practices from the Embassy Amman NOX project that contributed to it being completed ahead of schedule and under budget; and (3) compare and contrast the Embassy Amman NOX project with the Embassy Nairobi NOX project to determine whether lessons learned and best practices from Embassy Amman were applied and the extent to which similar results in terms of construction timeliness and staying within budget were achieved.</p>	
<p>Office of Procurement Executive (OPE), Selected Bureaus and Posts</p>	<p><i>Audit of Department of State's Risk Assessments and Monitoring of Awards to International Organizations</i></p> <p>Currently, there is no Government-wide guidance for awarding Federal funds to international organizations. Department guidance allows Grants Officers to determine whether performance or financial reporting by the international organizations is required. While the guidance states that monitoring of voluntary contributions is mandatory, it also states that the extent and type of monitoring will depend on the team's "assessment of risks." The Department obligated \$14.6 billion to IOs in FYs 2016 and 2017. The objectives of the audit are 1) determine whether the Department's efforts to identify, assess, and manage risks before awarding funds to international organizations are effective; and 2) assess whether the Department's policies, processes, and guidance for monitoring awards to international organizations are effective in ensuring that funds are managed and spent to further U.S. goals and objectives.</p>	<p>2020</p>
<p>Selected Posts in Bureau of African Affairs (AF), Bureau of European and Eurasian Affairs (EUR), NEA</p>	<p><i>Audit of Remote Mission Operations in Contingency Environments</i></p> <p>For security reasons, the Department operates a number of embassies and consulates outside the borders of the nation. For example, Mission Somalia operates remotely from Kenya, with the Department providing \$275 million in foreign assistance to Somalia in FY 2017. Other examples include Mission Libya operating from Tunisia and programs for the stabilization of Syria from Turkey, Jordan, and Kuwait. The objectives of the audit are to determine the extent to which the Department 1) oversees its mission in locations where it does not have a permanent presence, 2) has policies and procedures in place for operating remotely, and 3) has assessed best practices that could be applied to</p>	<p>2020</p>

Agency Bureau	Project Title and Description	Fiscal Year
	other missions to reduce the number of personnel in-country and reduce the U.S. Government's footprint.	
DS, CT, Bureau of East Asian and Pacific Affairs (EAP), Embassy Manila, Embassy Bangkok, Embassy Jakarta	<p data-bbox="467 352 1235 457"><i>Compliance Follow-Up Audit on the Department's Efforts to Measure, Evaluate, and Sustain Antiterrorism Assistance Program Objectives in Southeast Asia</i></p> <p data-bbox="467 485 1256 982">The Department's Antiterrorism Assistance (ATA) program trains civilian security and law enforcement personnel in counterterrorism techniques that enable them to deal more effectively with security challenges within their borders; defend against threats to national and regional stability; and deter terrorist operations across borders and regions. DS's Office of Anti-terrorism Assistance and CT manage the program jointly. The objectives of the audit are to determine whether DS and CT 1) have developed specific, measurable, and outcome-oriented objectives for the ATA program; 2) are effectively monitoring and evaluating ATA program participants' progress toward attaining program goals; and 3) have established program sustainment goals.</p>	2020
OBO, Embassy Ankara, EUR	<p data-bbox="467 1003 1198 1066"><i>Audit of New Embassy Compound Construction - Ankara, Turkey</i></p> <p data-bbox="467 1094 1256 1472">In December 2016, AQM awarded a \$218 million contract to B.L. Harbert International to construct a new embassy compound (NEC) in Ankara (modifications could increase the cost of the construction). Construction of the NEC Ankara commenced in 2017 and is expected to be completed in 2020. The objective of this audit is to determine whether the Department administered the design and construction contract for NEC Ankara in accordance with Federal acquisition regulations and whether the contractor fulfilled the contract terms and conditions.</p>	2021
AQM	<p data-bbox="467 1493 1101 1570"><i>Audit of Use of Sole Source Contracts in Overseas Contingency Operations</i></p> <p data-bbox="467 1598 1256 1938">In the last 3 fiscal years, the Department has used over \$1 billion in sole source contracts in Iraq and Afghanistan. The Commission on Wartime Contracting reported that agencies have failed to set and meet goals for competition in Iraq and Afghanistan. In particular, agencies have awarded task orders for excessive durations without adequate competition, failed to set and meet goals for competition, and have repeatedly awarded long-term task orders that were not recompeted when competitive conditions</p>	2021

Agency Bureau	Project Title and Description	Fiscal Year
	<p>improved and used cost-reimbursable contract types even though simpler, fixed-price contracts could expand the competitive pool. The objectives of the audit are to determine whether (1) acquisition policy was followed in awarding sole source contracts, (2) there were urgent and compelling needs to justify awarding sole source contracts, and (3) the Department is paying more by having sole source contracts than it would pay if contracts were competitively awarded.</p>	

Office of Evaluations and Special Projects

The Office of Evaluations and Special Projects (ESP) conducts independent and objective analyses of Department and USAGM programs and operations. These management and programmatic evaluations are intended to provide insight into issues of concern to the Department, Congress, and the American public. ESP blends the skills of attorneys, investigators, and analysts to:

- Analyze patterns and practices that contribute to waste and abuse of tax dollars and other funds and resources under the control of the Department and USAGM
- Fulfill OIG's statutory duties under Federal whistleblower laws
- Author management alerts
- Develop capping reports with a focus on thematic and systemic issues
- Conduct special reviews

ESP's portfolio includes work that is reactive in nature, which requires its operations to be responsive to swiftly changing Department and USAGM priorities and time-sensitive congressional requests.

WHISTLEBLOWER PROTECTION

ESP also manages OIG's Whistleblower Protection Program to provide assurance that Department and USAGM employees, contractors, subcontractors, and grantees are protected from reprisal for reporting what they reasonably believe to be evidence of wrongdoing. OIG also is required to investigate whistleblower retaliation allegations by employees of Department contractors, grantees, subcontractors, subgrantees and personal services contractors.

The Whistleblower Protection Enhancement Act of 2012 requires Inspectors General to designate a whistleblower protection coordinator (WPC), who supports OIG in its mandate to receive and investigate complaints or information from employees concerning possible violations of law, rules, or regulations, or mismanagement, gross waste of funds, abuse of authority or a substantial and specific danger to the public health and safety.

Responsibilities of the WPC include:

- Educating Department and USAGM employees and managers about prohibitions on retaliation for protected disclosures and educating employees who have made or are contemplating making a protected disclosure about their rights and remedies against retaliation for protected disclosures.
- Ensuring that OIG promptly and thoroughly reviews complaints that it receives and that it responds to whistleblowers in a timely fashion.

- Coordinating with the U.S. Office of Special Counsel, other agencies, and nongovernmental organizations on matters related to whistleblower protection.

The WPC cannot act as a legal representative, agent, or advocate for any individual whistleblower. Employees who are concerned about or believe they may have been subject to reprisal may contact the WPC at: WPEAOmbuds@stateoig.gov.

EVALUATIONS AND SPECIAL PROJECTS

Agency/Bureau	Project Title	Fiscal year
Department	<p data-bbox="467 632 1295 699"><i>Evaluation of the Department of State Authorities Act Implementation</i></p> <p data-bbox="467 709 1295 1283">In 2016, Congress enacted the Department of State Authorities Act, which requires each Department head to report to OIG within 5 business days any allegations of: (1) waste, fraud, or abuse in a Department program or operation; (2) criminal or serious misconduct on the part of a senior employee; (3) criminal misconduct on the part of any employee; and (4) serious, noncriminal misconduct on the part of any law enforcement officer. The objective of this evaluation will be to review the Department’s compliance with this provision and will examine whether the Department is reporting all the required allegations and whether they are doing so in a timely fashion. OIG will also evaluate whether the Department’s guidance on this requirement is clear and whether the Department has sufficiently notified Department heads of their responsibilities.</p>	2020
DS, HR	<p data-bbox="467 1304 1295 1371"><i>Compliance Follow-Up Review of Department of State Security Clearance Process</i></p> <p data-bbox="467 1392 1295 1690">In July 2017, OIG issued ESP-17-02, <i>Evaluation of the Department of State’s Security Clearance Process</i>. The objectives of this follow-up review will be to determine whether the actions taken by the Department to close recommendations in the original report have improved the timeliness of the clearance process and whether actions taken to address the recommendations that remain open are sufficient to close those recommendations.</p>	2020

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 USAGM. Inspections are conducted to provide the Department and USAGM with 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 and performance challenges:

- Protection of people and facilities
- Oversight of contracts, grants, and foreign assistance
- Information security and management
- Financial and property management
- Operating in contingency and critical environments
- Workforce management
- Promoting accountability through internal coordination and clear lines of authority

PLANNED FY 2020 INSPECTIONS BY REGION

Region	Inspection	Initiation Date
Africa		
	Embassy Ouagadougou, Burkina Faso Embassy Yaoundé and Branch Office, Cameroon	Fall 2019
	Embassy Abuja & Constituent Post, Nigeria Embassy Cotonou, Benin Embassy Lomé, Togo	Spring 2020
	Embassy Praia, Cape Verde Embassy Windhoek, Namibia	Winter or Spring 2020
Europe		
	Embassy Bern, Switzerland U.S. Mission to the United Nations and Other International Organizations in Geneva Embassy London & Constituent Posts, United Kingdom	Fall 2019
	Embassy Prague, Czech Republic Embassy Vilnius, Lithuania Embassy Luxembourg, Luxembourg	Winter 2020
East Asia		
	Embassy Jakarta & Constituent Posts, Indonesia U.S. Mission to the Association of Southeast Asian Nations	Spring 2020
	Embassy Ulaanbaatar, Mongolia	Winter or Spring 2020
Near East Asia		
	Libya External Office, Tunis, Tunisia	Winter 2020
	Embassy Beirut, Lebanon Embassy Doha, Qatar	Spring 2020
South and Central Asia		
	Embassy Dhaka, Bangladesh Embassy Kathmandu, Nepal	Fall 2019
Domestic		
	Bureau of European and Eurasian Affairs Bureau of Counterterrorism and Countering Violent Extremism	Fall 2019
	Bureau of Diplomatic Security, Office of Antiterrorism Assistance Bureau of Medical Services U.S. Agency for Global Media's Journalistic Standards	Spring 2020

Locations of Planned FY 2020 Inspections



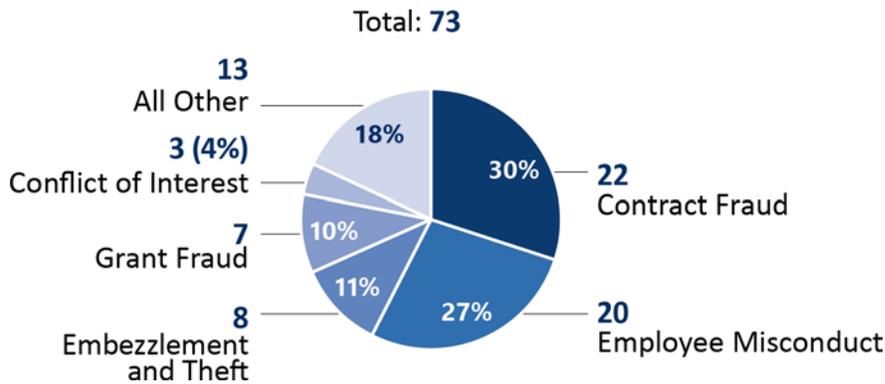
In addition to the inspections listed above, ISP may also conduct targeted inspections, compliance follow-up reviews, or management assistance reports, as necessary. ISP will develop its FY 2021 inspection schedule and announce that schedule to the Department in July 2020.

Office of Investigations

The Office of Investigations (INV) conducts worldwide investigations of criminal, civil, and administrative violations related to programs and operations of the Department, USAGM, and USIBWC. Investigations conducted by OIG special agents are usually initiated as a result of allegations received from the following: OIG Hotline, OIG audit or inspection teams, Department or USAGM management or employees, other OIGs, other Federal law enforcement agencies, Congress, or the public. Criminal and civil investigations are referred to the Department of Justice for prosecution. In addition, investigations may be referred to HR, DS, OPE, or other agencies for administrative or other appropriate action.

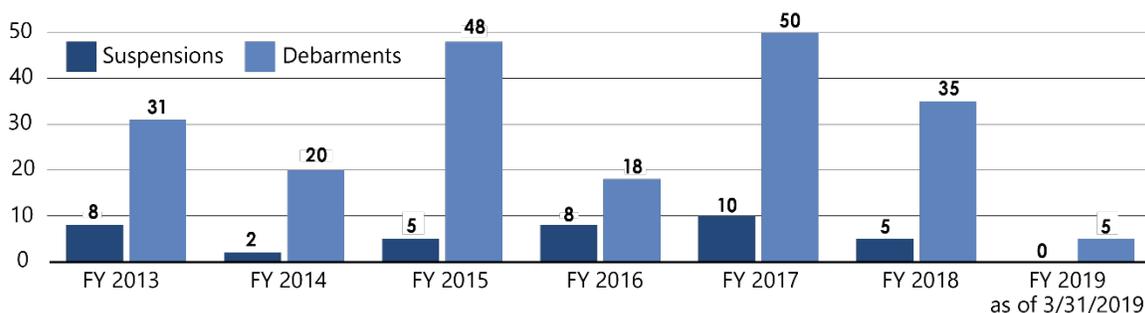
Below is a summary of OIG cases closed during FY 2018.

FY 2018 Cases Closed



Procurement and grant funds represent a key component of foreign assistance, and OIG plays a critical oversight role to ensure these funds are expended properly and are not subject to fraud, waste, or abuse. Since FY 2011, INV has continued to focus on identifying and referring appropriate cases to the Department and USAGM for suspension and debarment, as shown below.

Suspension and Debarment Actions Taken by the Department as a Result of OIG Referrals, FY 2013 through FY 2019-Q2



FY 2020–FY 2021 AREAS OF EMPHASIS AND PREVENTIVE ACTIONS

INV’s top priorities for FY 2020 and FY 2021 continue to be protecting the integrity of Department, USAGM, and USIBWC programs and operations through investigations, (including investigations targeting contract fraud, grant fraud, and public corruption or other criminal or serious noncriminal employee misconduct) as well as enhancing investigative and proactive capabilities to identify and deter criminal activity and misconduct. INV’s field offices in Frankfurt, Germany, and Charleston, SC, as well as its emerging data analytics capabilities, play a vital role in OIG’s investigative oversight of the Department’s high-risk, high-cost programs and operations.

The Inspector General is charged with fraud prevention and detection. To increase OIG’s oversight ability and meet this objective, INV’s data analytics team has expanded its capabilities with support from AUD and ISP to assist OIG by assuming a proactive, cross-cutting and risk-based approach, supporting efforts to identify potential fraud and other vulnerabilities as well as assisting with ongoing investigations, audits, inspections, and evaluations. In addition, INV may work with ESP to issue management assistance reports that identify systemic weaknesses and vulnerabilities to fraud, waste, and abuse in Department systems and programs and recommend corrective actions to help Department managers address these shortcomings. INV also actively participates in OIG outreach programs by providing fraud awareness briefings to educate Department employee groups and training classes on potential indicators of fraud.

OIG HOTLINE

INV also maintains the OIG Hotline, a confidential channel for complaints concerning violations of law or regulation, fraud, waste, abuse, or substantial and specific threats to public health and safety. Complaints to the OIG Hotline have generated numerous successful investigations resulting in criminal, civil, and administrative actions. In FY 2018, the hotline processed nearly 2,200 complaints. Allegations may be reported to the hotline by contacting <https://www.stateoig.gov/hotline> or by calling 1-800-409-9926.

Office of Overseas Contingency Operations Oversight

OIG has joint responsibility to oversee current and future overseas contingency operations (OCOs) under Section 8L of the IG Act, which provides for designation of a lead inspector general (Lead IG) for each OCO from among the inspectors general of DoD, the Department, and USAID.

OIG's Office of Overseas Contingency Operations Oversight collaborates with DoD and USAID Offices of Inspector General, and coordinates OCO oversight planning and execution within OIG to fulfill our joint Lead IG responsibilities. As of September 2019, there are six OCOs requiring Lead IG oversight: Operation Inherent Resolve to defeat the Islamic State of Iraq and Syria (ISIS) in those two nations; Operation Freedom's Sentinel to train, advise, and assist Afghan security forces and conduct counterterrorism missions against the remnants of al-Qaeda, ISIS, and other terrorist groups in Afghanistan; Operation Pacific Eagle-Philippines to provide assistance to Philippine security forces in their fight against ISIS and other violent extremist organizations; and three additional classified OCOs. Lead IG activities in support of each OCO include (1) joint strategic planning to provide comprehensive oversight of all OCO-related programs and operations; (2) program management to track, monitor, and update OCO-related information; and (3) collaboration to collect and analyze interagency information and prepare quarterly reports for Congress on the whole-of-government effort in support of each OCO.

The three Offices of Inspector General conduct joint and individual audits, inspections, evaluations, and investigations to provide independent, effective oversight of all programs and operations of the U.S. Government that support each OCO. OIG also inspects leadership, policy implementation, and resource management at overseas embassies and domestic bureaus related to OIG's Lead IG oversight mandate.

Specific projects planned for FYs 2020 and 2021 in support of OIG's OCO oversight mission are, to the extent permissible in an unclassified setting, listed in the table below. The listed projects are described in more detail in the preceding pages of this work plan.

Planned FYs 2020–2021 OIG Oversight Activities in Support of the Lead IG OCO Oversight Mandate

- Audit of Rightsizing of U.S. Embassies Kabul and Baghdad
- Audit of the Special Immigrant Visa Program for Iraq and Afghanistan
- Audit of the Bureau of Overseas Building Operations' Construction of the New Consulate General in Erbil, Iraq
- Audit of Personal Property Accountability at U.S. Mission Iraq
- Audit of Food Services Under the Afghanistan Life Support Services Contract
- Compliance Follow-Up Review of the Bureau of Near Eastern Affairs Selection and Management of Contract Oversight Personnel in Iraq
- Audit of the Office of Global Women's Issues' Implementation of the National Action Plan on Women, Peace, and Security
- Audit of Department of State's Risk Assessments and Monitoring of Awards to International Organizations
- Audit of Remote Mission Operations in Contingency Environments
- Compliance Follow-Up Audit on the Department's Efforts to Measure, Evaluate, and Sustain Antiterrorism Assistance Program Objectives in Southeast Asia
- Audit of New Embassy Compound Construction - Ankara, Turkey
- Audit of the Bureau of Overseas Building Operations' Construction of the New U.S. Embassy Annex in Nairobi, Kenya and Amman, Jordan
- Audit of Department of State's Implementation of the Post Security Program Reviews
- Inspection of Embassies Doha, Qatar, and Beirut, Lebanon
- Inspection of the Bureau of Counterterrorism and Countering Violent Extremism
- Inspection of the Bureau of Diplomatic Security, Office of Antiterrorism Assistance

Appendix A: Abbreviations and Definitions

Identifier	Definition
A	Bureau of Administration
AF	Bureau of African Affairs
AQM	Office of Acquisitions Management
ATA	Antiterrorism Assistance
AUD	Office of Audits
BP	Bureau of Budget and Planning
CA	Bureau of Consular Affairs
CFO Act	Chief Financial Officer Act of 1990
CFR	Compliance Follow-Up Review
CGFS	Bureau of Comptroller and Global Financial Services
COR	Contracting Officer's Representatives
CST	Office of Consular Systems and Technology
CT	Bureau of Counterterrorism and Countering Violent Extremism
DATA Act	Digital Accountability and Transparency Act of 2014
Department	Department of State
DoD	Department of Defense
DOSAA	Department of State Authorities Act
DS	Bureau of Diplomatic Security
EAP	Emergency Action Plan
ESP	Evaluations and Special Projects
EUR	Bureau of European and Eurasian Affairs
F	Office of U.S. Foreign Assistance Resources
FAC-COR	Federal Acquisitions Certification Contracting Officer's Representative
FISMA	Federal Information Security Management Act
FY	Fiscal Year
GDSS	Global Development Support Services
GTM	Government Technical Monitor
HR	Bureau of Human Resources
INL	Bureau of International Narcotics and Law Enforcement Affairs
INR	Bureau of Intelligence and Research
INV	Office of Investigations
IRM	Bureau of Information Resource Management
ISIS	Islamic State of Iraq and Syria
ISP	Office of Inspections
IT	Information Technology
M/PRI	Office of Management Policy, Rightsizing, and Innovation
MERO	Middle East Region Operations
NCSC	National Center for State Courts
NEA	Bureau of Near Eastern Affairs

Identifier	Definition
NEC	New Embassy Compound
NOX	New Office Annex
OBO	Bureau of Overseas Buildings Operations
OCO	Overseas Contingency Operations
OIG	Office of Inspector General
OMB	Office of Management and Budget
ONDCP	Office of National Drug Control Policy
OPE	Office of Procurement Executive
PAT	Post Assignment Travel
PIERS	Passport Information and Electronic Records System
PSPR	Post Security Program Review
RCSO	Regional Contract Support Office
RPSO	Regional Procurement Support Office
S/GWI	Secretary's Office for Global Women's Issues
SAP	Special Access Programs
SCA	Bureau of South and Central Asian Affairs
SCI	Sensitive Compartmented Information
SIGAR	Special Inspector General for Afghanistan Reconstruction
SIV	Special Immigrant Visa
SLA	Service Level Agreement
USAGM	U.S. Agency For Global Media (Formally the Broadcasting Board of Governors)
USAID	U.S. Agency For International Development
USIBWC	International Boundary and Water Commission, United States and Mexico, U.S.
WHA	Bureau of Western Hemisphere Affairs
WPC	Whistleblower Protection Coordinator



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