

WORK PLAN

FISCAL YEARS 2021-2022



Office of Inspector General
United States Department of State

OIG-ERM-20-01

Message from the Acting Inspector General



Ambassador Matthew S. Klimow

I am pleased to present the Office of Inspector General (OIG) 2-year work plan for fiscal years (FYs) 2021–2022. This publication describes the audits, inspections, evaluations, and investigative activities planned in support of OIG’s vision, mission, and strategic goals and objectives. All of our activities are aimed at advancing our oversight agenda for the U.S. Department of State (Department) and the U.S. Agency for Global Media (USAGM) and to serve as a catalyst for constructive change.

OIG is dedicated to delivering timely, high-quality products and work that promote accountability, efficiency, and effectiveness; working with stakeholders to prevent and detect 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 the following:

- 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 Congress in meeting our goals and fulfilling our mission.



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.

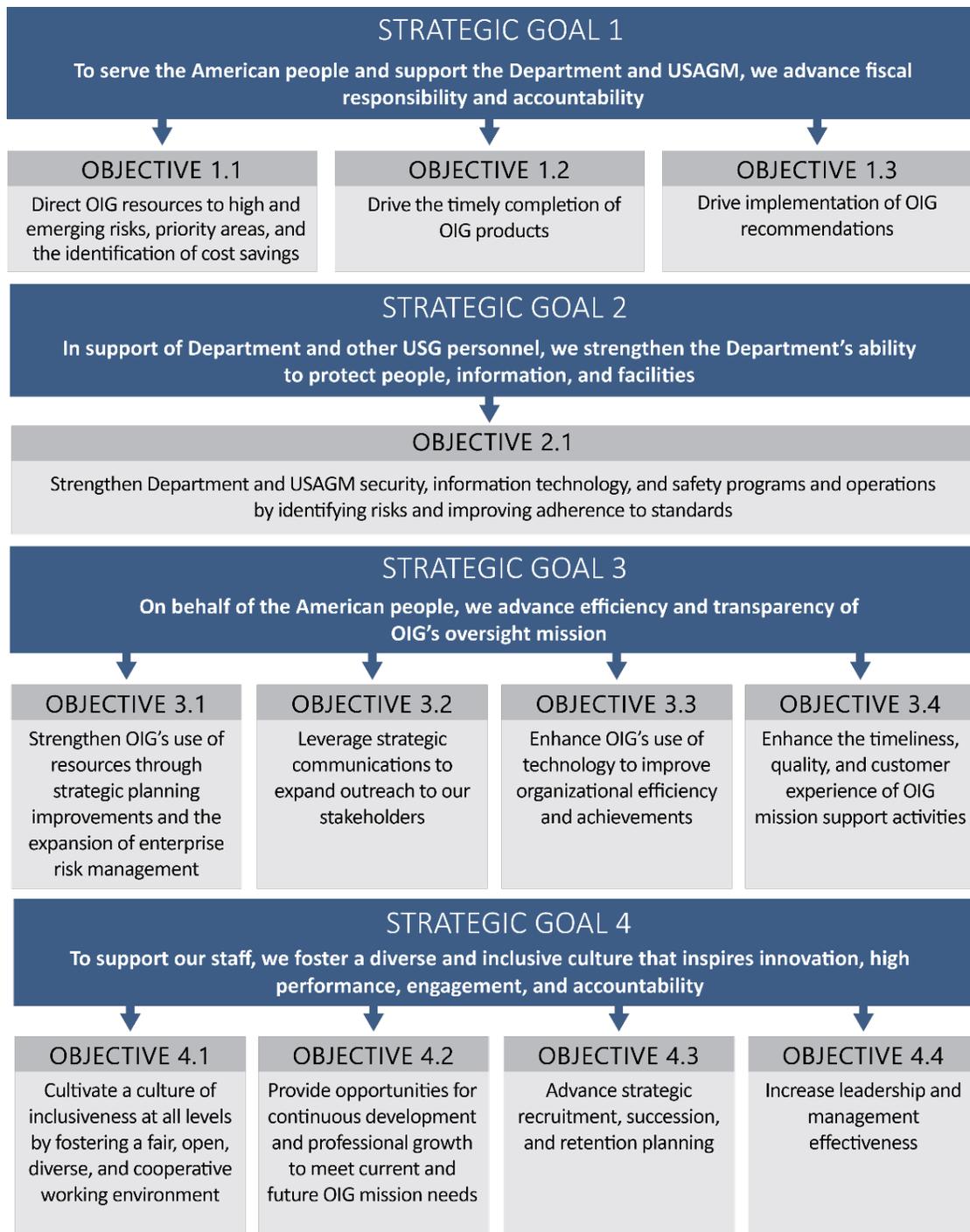
CURIOSITY

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 more than 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 approximately \$17.8 billion in combined annual appropriations and \$8.8 billion in earned revenue from consular fees and other income. OIG also is responsible for full or partial oversight of an additional \$18.8 billion in Department-managed foreign assistance. In total, OIG is responsible for overseeing more than \$75 billion in Department and USAGM programs and operations.

Although based in Washington, DC, OIG maintains 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 2022 by the following:

- 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 by utilizing the available resources. 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 to correct problems and vulnerabilities identified in the course of an OIG 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 during 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 making sound operational decisions and other changes. 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 a 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><i>Single Audit Act (Desk) Reviews*</i></p> <p>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>	2021, 2022
Department, USAGM, USIBWC	<p><i>Purchase and Travel Card Risk Assessments*</i></p> <p>Risk assessments of credit card programs are mandated under the Government Charge Card Abuse</p>	2021, 2022

Agency/Bureau	Project Title and Description	Fiscal Year
Bureau of Administration (A)	<p>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> <p><i>Audit of the Department’s Oversight of Federal Assistance to For-Profit Organizations</i></p> <p>For-profit organizations, both foreign and domestic, are eligible to receive grants and cooperative agreements (i.e., Federal assistance). In FY 2019, the Department awarded 118 grants or cooperative agreements, totaling \$73 million, to for-profit organizations for a wide range of services. Domestic for-profit entities that receive a Federal assistance award are not held to the same standards that non-profit entities and foreign for-profit entities must uphold. The objectives of this audit are to determine whether the Department awarded grants or cooperative agreements to for-profit entities in accordance with requirements and whether the Department oversaw these grants or cooperative agreements in accordance with Federal and Department standards.</p>	2021
Bureau of Overseas Buildings Operations (OBO), A	<p><i>Audit of Select Contract Administration Processes in the Construction of New Embassy Compound Mexico City, Mexico</i></p> <p>OBO is responsible for providing secure, safe, and functional facilities overseas. In general, OBO contracts with private-sector firms for design and construction work. Extended timelines, cost increases, and delays in the delivery of goods or services when executing construction contracts can generally be attributed to a lack of project-level performance measures, inconsistent application of policies, and inadequate coordination and communication mechanisms. In September 2017, the Department awarded a firm-fixed-price contract for the construction of the New Embassy Compound (NEC) Mexico City, Mexico. As of February 2020, the budget estimate for the NEC was \$895 million. The objective of this audit is to determine whether the Department administered processes involving</p>	2021

Agency/Bureau	Project Title and Description	Fiscal Year
	contract modifications, construction quality management, and progress payment reviews and approvals for the NEC Mexico City construction project in accordance with the Federal and Department requirements.	
OBO	<p data-bbox="488 485 1170 554"><i>Audit of the Bureau of Overseas Buildings Operations Oversight of the Design of Major Building Systems</i></p> <p data-bbox="488 579 1170 1188">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. Building design can include major mechanical and electrical components, 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 building systems in accordance with standards.</p>	2021
OBO, A	<p data-bbox="488 1226 1170 1260"><i>Audit of Heritage Assets at Selected Overseas Posts</i></p> <p data-bbox="488 1285 1170 1929">The Department maintains collections of arts and furnishings, known as heritage assets, which 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 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 objectives of this audit are to determine whether selected posts protected and preserved heritage assets in accordance with Department</p>	2021

Agency/Bureau	Project Title and Description	Fiscal Year
	<p>requirements and whether the Department administered selected heritage asset programs in accordance with Federal and Department requirements.</p>	
<p>OBO, Bureau of Diplomatic Security (DS)</p>	<p><i>Audit of the Construction Security Plan Execution at Selected New Embassy Compounds</i></p> <p>OBO directs and monitors the adherence to security policies and standards for new Department facilities abroad to prevent physical or technical compromise during construction. Construction sites and facilities that fail to execute proper security procedures expose the Department to risk and may result in delays. Proper implementation of the construction security plan at construction sites throughout the world is an ongoing concern that, if not executed properly, poses risks to personnel and assets, and may result in significant financial loss for the Department. The objective of this audit is to determine whether OBO implemented NEC construction security plans in accordance with Federal regulations and Department guidance.</p>	<p>2022</p>
<p>OBO</p>	<p><i>Audit of Department of State Efforts To Ensure Competition for Embassy Construction Projects</i></p> <p>OBO has an annual construction budget of \$2.2 billion to construct secure, safe, and functional embassies. Construction contracts are awarded by the Bureau of Administration. For many years, OBO has been reliant on two companies that have been interested in competing for Embassy construction contracts. Nine of the last 11 major construction projects were awarded to one company. The Wartime Contracting Commission reported that limited competition for contracts makes it difficult to obtain the best pricing or performance. The objective of this audit is to determine whether the Department has developed and implemented a process to promote competition related to construction contracts in accordance with requirements.</p>	<p>2022</p>

Agency/Bureau	Project Title and Description	Fiscal Year
Bureau of Consular Affairs (CA)	<p data-bbox="488 262 1182 331"><i>Audit of the Bureau of Consular Affairs Administration of the Global Support Services Contract</i></p> <p data-bbox="488 354 1182 1045">CA's Global Support Services (GSS) contract delivers a globally-integrated solution of six distinct, yet critically inter-connected, categories of overseas consular service: information, appointment scheduling, consular collection, delivery of issued travel documentation, onsite "greeters" who verify applicants appearing for appointments and handle crowd management, and offsite biometric collection. The collection of consular fees, which funds the overwhelming majority of CA's consular operations, is a critical component of this contract. The GSS program operates in 120 countries and covers 98 percent of non-immigrant visa services. The current GSS contract is a 10-year, \$2.8 billion contract. The objective of this audit is to determine whether the Department is administering the GSS contract in accordance with Federal and Department requirements.</p>	2022
Under Secretary for Economic Growth, Energy, and Environment (E)	<p data-bbox="488 1083 1182 1152"><i>Audit of the Office of Global Partnerships Public-Private Partnerships</i></p> <p data-bbox="488 1176 1182 1787">A public-private partnership is a collaborative working relationship with nongovernmental partners, such as for-profit businesses, nongovernmental organizations, universities, foundations, faith-based groups, civil society, and philanthropies. The goals, structure, governance, and roles and responsibilities are mutually determined by those partners. Since 2008, the Department has worked with over 1,600 partners and mobilized over \$1.5 billion of public and private sector resource commitments to enhance diplomacy and development outcomes. The objective of this audit is to determine whether the Department is developing, piloting, implementing, maintaining, monitoring, and evaluating public-private partnerships in accordance with Federal requirements and Department policies.</p>	2022

Agency/Bureau	Project Title and Description	Fiscal Year
CA, A	<p data-bbox="485 264 1122 331"><i>Audit of the Contract To Modernize the Bureau of Consular Affairs IT Resources</i></p> <p data-bbox="485 359 1179 772">CA's Office of Consular Systems and Technology (CST) provides 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 an 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>	2022
Financial Management Division		
Department, USAGM, USIBWC	<p data-bbox="485 863 878 894"><i>Audit of Financial Statements*</i></p> <p data-bbox="485 919 1174 1335">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 the audits 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>	2021, 2022
Department, USAGM	<p data-bbox="485 1373 1057 1440"><i>Audit of Compliance with Improper Payment Requirements*</i></p> <p data-bbox="485 1465 1187 1923">Over the past decade, the Federal Government has implemented safeguards to reduce improper payments. In March 2020, Congress passed the Payment Integrity Information Act of 2019. Consistent with prior improper payment laws, the Act requires agencies to conduct risk assessments and report programs that are susceptible to significant improper payments. In addition, OIG is required to annually determine agency compliance with the Act. The objective of the audits is to determine whether the agency complied with the Payment Integrity Information Act of 2019.</p>	2021, 2022

Agency/Bureau	Project Title and Description	Fiscal Year
Department, USAGM	<p data-bbox="485 264 1146 327"><i>Audit of Compliance with the Digital Accountability and Transparency Act*</i></p> <p data-bbox="485 359 1179 926">The Digital Accountability and Transparency Act of 2014 (DATA Act) expanded the requirements for Federal agencies to disclose agency expenditures and link contract, loan, and grant spending information to agency programs 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 the audits are to assess the completeness, timeliness, quality, and accuracy of spending data submitted by the agency and to assess the implementation and use of data standards required by the DATA Act.</p>	2021
Bureau of International Narcotics and Law Enforcement Affairs (INL)	<p data-bbox="485 968 1187 1073"><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="485 1104 1179 1671">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 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 once every 3 years. 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

Agency/Bureau	Project Title and Description	Fiscal Year
Bureau of the Comptroller and Global Financial Services (CGFS), OBO	<p data-bbox="485 262 1182 331"><i>Audit of the International Cooperative Administrative Support Services Furniture and Appliance Pool</i></p> <p data-bbox="485 354 1182 926">The International Cooperative Administrative Support Services (ICASS) program implemented the Furniture and Appliance Pool (FAP) for all agencies in the post-furnished housing pool program in FY 2015. The FAP program includes the purchase, refurbishment, replacement, maintenance, inventory control, warehousing, delivery, and disposal of residential furniture, appliances, and equipment. Each post is responsible for calculating the amount that each agency will be charged for joining the FAP and the annual assessment costs. During FY 2019, the Department identified high FAP carryovers as one of its 2019 challenges. The objective of this audit is to determine whether the Department administers the FAP in accordance with Department regulations.</p>	2021
CGFS	<p data-bbox="485 963 1182 1033"><i>Audit of the Department of State’s Use of “Not Otherwise Classified” Budget Object Codes</i></p> <p data-bbox="485 1056 1182 1593">Having accurate data is key to ensuring officials have the information needed to make the best decisions. Object classifications for financial transactions identify the kinds of services, materials, and other resources for which U.S. Government payments are made. The Department has more than 500 budget object codes (BOC) for use. Of those, 35 include descriptions of “Not Otherwise Classified” or “NOC.” In FY 2019, the Department used the 35 NOC BOCs to identify \$3.5 billion in expenditures, which is approximately 12 percent of its expenditures. The objective of this audit is to determine whether the Department is appropriately using NOC BOCs for its expenditures.</p>	2021

Agency/Bureau	Project Title and Description	Fiscal Year
USIBWC	<p data-bbox="485 264 1159 407"><i>Audit of International Boundary and Water Commission, United States and Mexico, U.S. Section, Controls to Identify and Fund Critical Deferred Maintenance Issues</i></p> <p data-bbox="485 432 1187 1121">USIBWC is responsible for flood control levee systems, diversion dams and related structures, power plants, and wastewater treatment plants. As of September 2019, USIBWC reported almost \$900 million in property. Deferred maintenance is the practice of postponing maintenance activities, such as repairs on property, to save costs, meet budget funding levels, or realign available budget funds. However, the failure to perform needed repairs could lead to asset deterioration and ultimately asset impairment. Generally, a policy of continued deferred maintenance may result in higher costs, asset failure, and in some cases, health and safety implications. The objective of this audit is to determine whether USIBWC has designed and implemented a process to adequately identify and address critical deferred maintenance issues to ensure continued safety and operations.</p>	2022
A, Bureau of Global Talent Management (GTM), CGFS	<p data-bbox="485 1161 899 1188"><i>Audit of Post Assignment Travel</i></p> <p data-bbox="485 1213 1175 1751">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 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 administering the PAT program in accordance with applicable regulations and requirements.</p>	2022

Agency/Bureau	Project Title and Description	Fiscal Year
CGFS	<p data-bbox="485 264 1114 331"><i>Audit of Department of State’s Global Financial Management System Vendor Information Tables</i></p> <p data-bbox="485 359 1179 926">The Department maintains vendor information tables in both its primary accounting system and locally at overseas posts. Vendor listings affect a wide variety of financial transactions, including payroll and payments related to contracts and grants. Vendor information is updated through various methods, such as manual inputs by Department officials and information systems outside of the Department. Having an accurate and complete vendor table that is centralized and controlled is essential to preventing and detecting errors and potential fraud in the Department’s financial transactions. The objective of this audit is to determine whether the data in the Vendor Information Tables are valid, accurate, and consistent.</p>	2022

Information Technology Division

DS, Bureau of Information Resource Management (IRM), Bureau of Intelligence and Research (INR)	<p data-bbox="485 1018 1179 1129"><i>Audit of the Information Security Program for Sensitive Compartmented Information Systems at the Department of State*</i></p> <p data-bbox="485 1150 1179 1646">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 Sensitive Compartmented Information (SCI) systems. The objective of the audits 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>	2021, 2022
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Agency/Bureau	Project Title and Description	Fiscal Year
Department, USAGM, USIBWC	<p data-bbox="483 254 1045 296"><i>Audit of the Information Security Program*</i></p> <p data-bbox="483 306 1170 653">The E-Government Act of 2002, as amended by FISMA, requires OIG to conduct an annual evaluation of its agencies' information security programs. These audits will fulfill that requirement. The objective of the audits 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>	2021, 2022
IRM	<p data-bbox="483 684 1149 800"><i>Audit of the Department of State's Management of the Authorization Process and Security Control Implementation for Selected Systems</i></p> <p data-bbox="483 821 1170 1356">IT security weaknesses, especially those unknown to management, are a risk to the technical IT environment. Security weaknesses increase the Department's susceptibility to intrusion, which could compromise the confidentiality, integrity, and availability of Federal systems and data and negatively impact the Department's critical, mission-related functions and geopolitical position. The objectives of this audit are to determine the effectiveness of the Department's management of the authorization process for selected IT systems and to determine whether authorization packages and security controls were implemented in compliance with Federal and Department requirements.</p>	2021, 2022
IRM	<p data-bbox="483 1388 1114 1430"><i>Audit of the Department of State IT Supply Chain</i></p> <p data-bbox="483 1451 1170 1913">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 to IT security. According to industry estimates, 1 in 10 such products sold are counterfeit, equivalent 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, those committing cyberattacks have started to shift attack patterns to exploit supply chain environments to gain entry to</p>	2022

Agency/Bureau	Project Title and Description	Fiscal Year
	<p>target systems. The Chief Information Officer is responsible for protecting the Department against supply chain threats to IT systems, system components, and system services. The objective of this audit is to determine whether IRM has developed and implemented an IT supply chain risk management strategy that complies with Federal and Department requirements.</p>	
IRM	<p><i>Audit of Department of State Common Controls</i></p> <p>Security controls are the management, operational, and technical safeguards or countermeasures employed within an organizational IT system to protect the confidentiality, integrity, and availability of the system and its information. When these controls support many IT systems, they are considered to be “common” controls. Documenting common controls provides efficiencies and cost savings as each individual system does not incur the related cost to implement, maintain, and validate the security element. If common controls are not properly implemented, maintained, and assessed, the implications are widespread and can represent untold risk to the Department’s personnel and mission. The objective of this audit is to determine whether the Department’s “common” IT security controls are operating effectively and are being appropriately used by major information systems operating in the Department’s general IT environment.</p>	2022
IRM	<p><i>Audit of Department of State’s Public Facing Web Applications</i></p> <p>The Department relies on web-applications for public communication and to offer services related to its mission, not only for U.S. citizens but for foreign nationals as well. For effective communication and ease of access, these web-applications are “public facing.” Public facing applications are programs or systems that are not only accessible within the internal network but also accessible from the internet. Adversaries routinely attempt to exploit vulnerabilities in public facing applications to gain unauthorized access to an internal network to steal</p>	2022

Agency/Bureau	Project Title and Description	Fiscal Year
	sensitive information, alter data, or disrupt operations. The objective of this audit is to determine whether the Department has secured its public facing web applications in accordance with Federal standards.	
Security and Intelligence Division		
Under Secretary for Management (M), DS, A	<p data-bbox="483 533 1122 569"><i>Audit of Domestic Emergency Preparedness Plans</i></p> <p data-bbox="483 590 1182 1083">The life and safety of the Department’s employees, protection of assets, and the continuity of operations are key considerations for the Department. The Department’s domestic emergency preparedness program is designed to effectively respond to and recover from emergencies that impact the Department’s domestic operations. The importance of an effective emergency preparedness plan was demonstrated during the COVID-19 crisis. The objective of this audit is to determine whether the Department is prepared to respond and recover from emergency events affecting its ability to accomplish its domestic mission.</p>	2021
DS	<p data-bbox="483 1121 1166 1192"><i>Audit of the Bureau of Diplomatic Security’s Controls Over Special Protective Equipment</i></p> <p data-bbox="483 1213 1182 1598">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 use Special Protective Equipment (SPE), such as firearms and body armor, in the performance of their law enforcement duties. The objective of this audit is to determine whether DS is adhering to Department policies relative to the proper accountability for, maintenance of, and control over SPE.</p>	2021
INL, A	<p data-bbox="483 1633 1182 1745"><i>Audit of Federal Assistance Awarded to the National Center for State Courts by the Bureau of International Narcotics and Law Enforcement Affairs</i></p> <p data-bbox="483 1766 1182 1915">INL supports criminal justice programs worldwide. Since 2010, INL has awarded the National Center for State Courts (NCSC) approximately \$225 million in Federal assistance for projects in the Western</p>	2021

Agency/Bureau	Project Title and Description	Fiscal Year
	<p>Hemisphere. These awards have been for projects promoting police training, counter-narcotics, and rule of law. Recent OIG projects have identified concerns with these awards. The objective of this audit is to determine whether INL administered and oversaw Federal assistance awards to NCSC in accordance with Federal and Department requirements, whether NCSC fulfilled program goals included in the award agreements, and whether NCSC accurately reported programmatic performance as required.</p>	
DS	<p><i>Audit of the Bureau of Diplomatic Security's Surveillance Detection Program</i></p> <p>The DS Surveillance Detection program is a defensive program that seeks to enhance the security of U.S. Government personnel and facilities by detecting and reporting potential pre-operational terrorist surveillance activities (e.g., someone photographing the compound). The Regional Security Officer, in coordination with post's emergency action committee and DS, determine the scope of a post's Surveillance Detection program. The objective of this audit is to determine whether DS managed and implemented the Surveillance Detection program in accordance with Department policies and procedures.</p>	2022

Agency/Bureau	Project Title and Description	Fiscal Year
INL, A	<p data-bbox="485 264 1159 369"><i>Audit of the Bureau of International Narcotics and Law Enforcement Affairs Federal Assistance Related to Combatting Wildlife Trafficking</i></p> <p data-bbox="485 394 1179 926">Wildlife trafficking is a multibillion-dollar, transnational, organized, criminal activity and a critical conservation issue. The United States is a leader in the fight against the illicit trade in wildlife. In FY 2020, INL planned to spend \$10 million to combat wildlife trafficking worldwide. INL plays an important role in the development and implementation of anti-wildlife trafficking policies around the world. The objectives of this audit are to determine whether INL monitored Federal assistance related to combatting wildlife trafficking in accordance with Federal regulations and Department policy and whether INL’s partners complied with the terms and conditions of the agreements.</p>	2022
INR, DS	<p data-bbox="485 968 1138 1037"><i>Audit of the Protection of Classified Information at Department of State Headquarters</i></p> <p data-bbox="485 1062 1179 1709">The Department maintains material at all classification levels. The Department has guidance on the proper protection of classified information, including physical security measures. Special Access Programs may be created when 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. Protecting classified material is an essential responsibility for the Department. The objectives of this audit are to determine whether selected offices located at the Department’s headquarters building handle, disseminate, and store classified information in a manner consistent with Government regulations and to determine whether the Department administers Special Access Programs as required.</p>	2022

Agency/Bureau	Project Title and Description	Fiscal Year
Department	<p><i>Audit of Department of State Compliance With the Geospatial Data Act of 2018*</i></p> <p>On October 5, 2018, Congress passed the Geospatial Data Act of 2018. The Act includes requirements for the collection, production, acquisition, maintenance, distribution, use, and preservation of geospatial data at covered agencies. Geospatial data is information that is tied to a location on the Earth, including by identifying the geographic location and characteristics of natural or constructed features and boundaries on the Earth. The Act also requires OIG to perform an audit of compliance with certain components of the Act at least once every 2 years. The objective of this audit is to determine whether the Department complied with 13 covered agency responsibilities in accordance with Section 759(a) of the Geospatial Data Act of 2018.</p>	2022

MIDDLE EAST REGION OPERATIONS DIRECTORATE

Agency/Bureau	Project Title and Description	Fiscal Year
A, Bureau of Near Eastern Affairs (NEA), Embassy Baghdad	<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 property to Embassy Baghdad. In 2014, OIG reported on systemic weaknesses with managing personal property in Iraq. The objective of this 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>	2021

Agency/Bureau	Project Title and Description	Fiscal Year
A, NEA, Bureau of South and Central Asian Affairs (SCA)	<p data-bbox="488 264 1182 331"><i>Audit of Use of Noncompetitive Contracts in Overseas Contingency Operations</i></p> <p data-bbox="488 354 1182 810">In the last 5 fiscal years, the Department has awarded \$948 million in noncompetitive contracts in support of overseas contingency operations in Iraq and Afghanistan. The objectives of this audit are to determine (1) whether acquisition policy was followed in awarding noncompetitive contracts in support of overseas contingency operations in Afghanistan and Iraq and (2) whether, in awarding the noncompetitive contracts, the justifications for doing so met the criteria specified the Federal Acquisition Regulation and the Competition in Contracting Act.</p>	2021
M, A, Bureau of Medical Services (MED), GTM, OBO	<p data-bbox="488 846 1182 953"><i>Information Report: Review of Department of State Preparations to Return Employees and Contractors to Federal Offices During the Global Pandemic</i></p> <p data-bbox="488 976 1182 1514">In March 2020, much of the Department entered a maximum teleworking posture due to the COVID-19 pandemic. On June 15, 2020, the House of Representatives' Committee on Oversight and Reform, Subcommittee on Government Operations requested that OIG examine the Department's plans and procedures for returning employees to offices. The objectives of this report are to describe 1) the plans and procedures of the Department of State for returning employees to offices during the coronavirus pandemic and 2) the methods outlined in those plans and procedures to ensure suitable safety and welfare considerations and precautions have been undertaken on behalf of employees and contractors.</p>	2021
NEA, Bureau of Democracy, Human Rights, and Labor (DRL), Global Engagement Center (GEC)	<p data-bbox="488 1539 1182 1606"><i>Audit of Cooperative Agreements and Grants Related to Iran</i></p> <p data-bbox="488 1629 1182 1932">The Bureau of Near Eastern Affairs; the Bureau of Democracy, Human Rights, and Labor; and the Global Engagement Center are among those Department bureaus and offices that manage grants and cooperative agreements designed to counter Iranian initiatives and promote the interests of the United States. The objectives of this audit are to determine whether cooperative agreements and grants awarded</p>	2021

Agency/Bureau	Project Title and Description	Fiscal Year
	<p>by the Department to counter Iranian initiatives align with the Department’s strategic goals and objectives and whether they are being monitored and administered in accordance with Federal requirements, Department policies and guidance, and award terms and conditions.</p>	
<p>Office to Monitor Trafficking in Persons (TIP), NEA, U.S. Missions Saudi Arabia, Kuwait, Oman, Qatar, and the United Arab Emirates</p>	<p><i>Audit of Department of State’s Risks of Trafficking in Persons (TIP) Violations in the Arabian Peninsula</i></p> <p>The Department prohibits U.S. Government contractors from engaging in TIP and TIP-related practices and provides requirements for contract monitoring to ensure compliance. According to the Department’s 2019 Trafficking in Persons Report, several countries in the Arabian Peninsula need to increase their efforts to combat severe forms of TIP. The objectives of this audit are to determine whether 1) Department-issued contracts in the Arabian Peninsula include mandated TIP provisions and 2) Department officials have implemented internal control procedures to monitor and assess contractor compliance with TIP requirements.</p>	2021

Agency/Bureau	Project Title and Description	Fiscal Year
A, NEA, SCA	<p data-bbox="488 258 1133 327"><i>Capping Report on the Department of State's Fuel Acquisition, Storage, and Distribution</i></p> <p data-bbox="488 348 1182 1077">From April 2016 to January 2020, OIG issued nine reports on fuel-related deficiencies in Afghanistan, Iraq, Jordan, Lebanon, and Turkey. Those reports questioned almost \$77 million in unallowable or unsupported costs and included a total of 180 recommendations. Deficiencies found include improper or no use of flow meters, weak controls allowing unauthorized access to fuel, weak or no quality assurance procedures for fuel acceptance, improper oversight of fuel contracts, improper fuel invoicing and payment procedures, and safety and security infractions. The objectives of this audit are to 1) inform the Department of systemic themes and deficiencies identified in OIG's work on fuel acquisition, storage, and distribution, and, if necessary, 2) recommend policy changes and improvements to procedures to address the recurring themes and deficiencies identified by OIG at Department posts worldwide.</p>	2021
SCA, Under Secretary for Public Diplomacy and Public Affairs I, Embassy Kabul	<p data-bbox="488 1104 1182 1173"><i>Audit of the Public Affairs Section Oversight of Grants at Embassy Kabul</i></p> <p data-bbox="488 1194 1182 1577">As of January 2020, Embassy Kabul's Public Affairs section was overseeing approximately 70 awards totaling almost \$90 million. In 2019, Mission Afghanistan underwent a staffing reduction in which the Public Affairs Office was downsized from 30 Grants Officer Representatives to 19 Grants Officer Representatives. The objective of this audit is to determine whether the Public Affairs Office at Embassy Kabul is conducting oversight of its grants in accordance with Federal and Department guidance.</p>	2021
A, DS	<p data-bbox="488 1604 1138 1713"><i>Audit of the Training, Qualifications, and Invoices Practices Under the Worldwide Protective Services (WPS) II Contracts</i></p> <p data-bbox="488 1734 1182 1919">The WPS contracts provide static guard security services, protective movement security services, and other specialized emergency services, primarily for diplomatic missions that are in high-threat areas. The WPS I contract was a multibillion-dollar, indefinite-</p>	2021

Agency/Bureau	Project Title and Description	Fiscal Year
	<p>delivery/indefinite-quantity contract awarded to eight contractors in September 2010. The Department awarded a follow-on contract, referred to as WPS II, in February 2016. The WPS II contract is also a multibillion-dollar, indefinite-delivery / indefinite-quantity contract awarded to seven contractors. The objective of this audit is to determine whether the Department is ensuring that WPS II contractors meet qualification and training standards, and are invoicing for training and labor costs in accordance with Federal and Department regulations, and contract terms and conditions.</p>	
<p>DS, OBO, NEA, SCA, Embassy Kabul, Embassy Baghdad</p>	<p><i>Audit of the Physical Security Standards for Temporary Facilities at High Threat Posts</i></p> <p>Temporary structures are often used to quickly establish a presence in contingency environments such as Iraq and Afghanistan. OIG has reported that these temporary structures lack physical security standards. The objective of this audit is to determine whether the Department has instituted internal controls procedures and standardized designs to meet applicable physical security standards for temporary structures used at high-threat, high-risk posts.</p>	<p>2021</p>
<p>A, NEA, Embassy Baghdad</p>	<p><i>Audit of the Transition of the Iraq Support Contracts to the Diplomatic Support Services (DiPPS) Contract</i></p> <p>In May 2019, the Department awarded the \$6 billion Diplomatic Platform Support Services (DiPSS) contract for support services at posts worldwide. It is now transitioning its Baghdad life support contracts to the DiPPS by awarding individual task orders. Currently, it has extended its existing contracts, called bridging. Bridge contracts are used to keep contractors in place after contract expiration when a replacement contract is not in place. The objective of this audit is to determine the status of efforts to award replacement life support contracts in Iraq.</p>	<p>2021</p>

Agency/Bureau	Project Title and Description	Fiscal Year
Bureau of East Asian and Pacific Affairs (EAP), Embassy Rangoon	<p data-bbox="488 258 1117 285"><i>Audit of Foreign Assistance to Burma (Myanmar)</i></p> <p data-bbox="488 310 1182 730">Since 2017, the Department has awarded approximately \$30 million a year in foreign assistance to Burma. In its 2021 Mission Resource Request, Embassy Rangoon increased its foreign assistance request to \$71 million to address, among other things, the potential for Islamic extremist organizations to recruit the disenfranchised Rohingya Muslim population. The objective of this audit is to determine the extent to which foreign assistance funding in Burma is being awarded and managed in accordance with Federal and Department regulations.</p>	2021
A, SCA, OBO, Embassy Kabul	<p data-bbox="488 751 1081 821"><i>Audit of the PAE Operations and Maintenance Contract at Embassy Kabul, Afghanistan</i></p> <p data-bbox="488 846 1170 1461">Since 2010, the Department significantly expanded the construction of new facilities at U.S Embassy Kabul, Afghanistan. At the completion of all construction, buildings are turned over to Facilities Management Services, which is tasked with overseeing operations and maintenance activities. In 2017, the Department awarded an Indefinite Delivery/Indefinite Quantity, performance-based operations and maintenance contract to PAE Government Services, Inc. for approximately \$800 million. The objective of this audit is to determine whether the Department is administering the PAE operations and maintenance contract in accordance with Federal and Department requirements and whether PAE is operating in accordance with the contract terms and conditions.</p>	2022
A, NEA, OBO, Embassy Baghdad	<p data-bbox="488 1482 1081 1551"><i>Audit of the PAE Operations and Maintenance Contract at Embassy Baghdad, Iraq</i></p> <p data-bbox="488 1577 1182 1919">When construction of buildings is completed, the buildings are turned over to Facilities Management Services at an embassy where it is tasked with overseeing operations and maintenance activities. At Embassy Baghdad, PAE has the contract for operations and maintenance. The Operations and Maintenance Support Services contract with PAE was awarded in 2012 and has a not-to-exceed cost of \$2 billion. The contract is being extended to April 2021. The objective</p>	2022

Agency/Bureau	Project Title and Description	Fiscal Year
A, NEA, Embassy Baghdad	<p>of this audit is to determine whether the Department is administering the PAE operations and maintenance contract in accordance with Federal and Department requirements and whether PAE is operating in accordance with the contract terms and conditions.</p> <p><i>Audit of the Performance of the New Embassy Baghdad Power Plant</i></p> <p>In September 2012, the Department awarded a \$84 million contract to Desbuild-Limak-Group 77 to build a powerplant at Embassy Baghdad. The project was completed in November 2018. Connections to all facilities were switched from the old power plant to the new one and the old power plant was decommissioned. The objectives of this audit are to determine whether the Department 1) assessed the existing and future electrical power needs and infrastructure of U.S. Embassy Baghdad when designing the new power plant, 2) conducted oversight of the construction and commissioning of the new power plant, and 3) took measures to mitigate design or construction deficiencies, if any.</p>	2022
INL	<p><i>Audit of Counter-narcotics Assistance in East and Southeast Asia</i></p> <p>The manufacture and trafficking of synthetic drugs in the “Golden Triangle” region where Laos, Myanmar, and Thailand’s borders meet has been a top concern of the U.S. government, and governments across East and Southeast Asia. The Bureau of International Narcotics and Law Enforcement Affairs (INL) counter-narcotics initiatives aim to build the capacity of partner countries’ law enforcement to counter drugs and crime before it reaches the United States. INL requested approximately \$110 million to support counter-narcotics efforts in the East Asian Pacific region from 2017 to 2020. The objective of this audit is to determine whether INL has achieved intended and sustainable outcomes for its counter-narcotics initiatives and whether INL monitored those initiatives in accordance with federal laws and Department regulations.</p>	2022

Agency/Bureau	Project Title and Description	Fiscal Year
A, INL, Bureau of Counter-terrorism and Countering Violent Extremism (CT)	<p data-bbox="488 258 1143 363"><i>Audit of the Department of State International Criminal Investigative Training Assistance Program (ICITAP) in Bangladesh</i></p> <p data-bbox="488 390 1182 961">The Bureau of International Narcotics and Law Enforcement and the Bureau of Counterterrorism work in partnership with the Department of Justice to support the International Criminal Investigative Training Assistance Program (ICITAP). Under ICITAP, the Department uses Interagency Acquisition Agreements (IAAs) to provide funding to the Department of Justice to develop professional and transparent law enforcement institutions throughout the world that protect human rights, combat corruption, and reduce the threat of transnational crime and terrorism. The objective of this audit is to determine whether Department-funded activities under ICITAP in Bangladesh were administered in accordance with IAA terms and conditions.</p>	2022

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 the Department, Congress, and the American people with insight on issues of concern. 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 the OIG 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 and USAGM 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. OIG's WPC is the Assistant Inspector General for ESP.

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
DS	<p><i>Evaluation of the Basis for the Bureau of Diplomatic Security's Canine Training and Operations Center's (DSCTOC) Decision to Combine Training and Validation Functions under One Entity, and its Effectiveness</i></p> <p>In 2010, MERO reviewed the Bureau of Diplomatic Security's (DS) explosive detection canine program and found systemic problems that directly affect the safety and security of U.S. Government personnel and installations. The review found that contractors, rather than DS, were responsible for implementing the program and ensuring that contractually required procedures were being followed. Contractors were not testing for all scents, were using possibly expired or contaminated materials to test canines, and were storing materials in a manner that may have led to cross-contamination. The review recommended that "for all explosive detection canine programs worldwide, the Bureau of Diplomatic Security should employ an independent canine expert to verify annually the detection capabilities of the contractors' canines." In response, DS created the Canine Validation Center, now the Canine Training and Operations Center (DSCTOC), to allow for an independent expert to validate the detection abilities of the canines and separate the training and validation functions. However, in 2019, DS decided to allow a single contractor to both train and validate the canines. The purpose of this evaluation is to review the basis for the decision to join the training and validation functions under one entity, and to evaluate whether there are appropriate safeguards to ensure that the systemic problems identified by MERO in 2010 do not reoccur.</p>	2021

Agency/Bureau	Project Title	Fiscal year
INL	<p data-bbox="483 247 1198 359"><i>Evaluation of a Selection of the Department’s Law Enforcement Mentorship and Justice Sector Support Programs</i></p> <p data-bbox="483 380 1198 1348">According to the Bureau of International Narcotics and Law Enforcement Affairs’ (INL) public facing website, INL works with “partner nations, international and regional organizations, nongovernmental organizations, U.S. federal, state, and local criminal justice entities” to, among other things, help “partner governments assess, build, reform, and sustain competent and legitimate criminal justice systems.” In doing so, INL deploys police and corrections advisors and justice experts in countries throughout the world. As of 2010, INL had more than 1,000 police and corrections advisors and justice experts in eight countries, including over 300 uniformed U.S. police to support law enforcement operations and reform in United Nations peacekeeping missions in Kosovo, Haiti, Liberia, and Sudan. These advisors include federal and state uniformed officers (often deployed via Interagency Agreements) and third-party contractors. The components of each program are dictated by Department and INL leadership and executed by the respective INL country office. The purpose of this evaluation is to review the effectiveness and monitoring of a selection of INL’s law enforcement mentorship and justice sector support programs.</p>	2021

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 2021 INSPECTIONS

Agency/Bureau	Project Title	Initiation Date
Bureau of Oceans and International Environmental and Scientific Affairs (OES)	<p><i>Inspection of the Bureau of Oceans and International Environmental and Scientific Affairs</i></p> <p>OES is responsible for advancing policy goals related to environmental, marine, polar, health, scientific, and technical foreign policy issues. OIG last inspected OES in 2005. The Bureau has functioned without a confirmed Assistant Secretary for more than 6 years. Additionally, in FY 2018, the bureau faced significant budget cuts due to reductions in the Department’s climate change funding and, in FY 2019, the bureau had \$55,000 budgeted for its core function of pandemic planning. The preliminary objectives for this inspection include an assessment of the bureau’s leadership, its performance in implementing policy goals, and its capacity to carry out global health policy and program work, including the workload associated with COVID-19. The inspection will also evaluate how OES has addressed changing workload requirements and gaps in leadership.</p>	Fall 2020
Bureau of Legislative Affairs (H)	<p><i>Inspection of the Bureau of Legislative Affairs</i></p> <p>H is responsible for a broad range of legislative activities, including managing replies to congressional correspondence; congressional notifications; transmittals of statutory reports; congressional outreach and strategy for the Secretary, bureaus, and offices; and congressional travel. OIG last inspected H in 2002. In the past 4 years, the bureau has had eight leadership changes. The preliminary objectives of this inspection are to (1) assess bureau leadership, (2) assess H’s Office of Regional and Global Affairs’ coordination with Department stakeholders, (3) evaluate the bureau’s procurement of a document management system, and (4) assess the bureau’s management of congressional travel funds.</p>	Fall 2020
CA	<p><i>Inspection of the Bureau of Consular Affairs, Passport Services</i></p> <p>The Directorate of Passport Services (PPT) oversees and coordinates the work of 29 passport agencies and centers and provides guidance to consular sections</p>	Fall 2020

Agency/Bureau	Project Title	Initiation Date
	<p>abroad. In FY 2019, CA/PPT operated with a budget of approximately \$700 million and issued approximately 20.6 million U.S. passports. Last inspected in early 2009, CA/PPT is addressing leadership and managerial deficiencies reported in a 2018 OIG inspection of the National Passport Center in Portsmouth, NH. In addition, the COVID-19 pandemic caused a large backlog of passport applications. The preliminary objectives of this inspection are to determine whether (1) CA/PPT has a clear strategy to carry out its mission, (2) human resources services are efficient and effective, (3) CA/PPT follows its Internal Controls Program Assessment, and (4) whether the Overseas Passport Adjudication Program has been effective. OIG will also assess CA/PPT's leadership. Finally, OIG tentatively plans to also evaluate CA/PPT's response to the backlog of passport applications, as well as the extent to which the directorate is addressing employee concerns and overseeing their health and safety at CA/PPT's passport agencies during the pandemic.</p>	
R	<p><i>Evaluation of the Public Diplomacy Local Staff Modernization Program</i></p> <p>The Office of Policy, Planning, and Resources (R/PPR) launched the Local Staff Modernization Program in 2014 to modernize the staffing structures and position descriptions of overseas Public Diplomacy (PD) sections to strengthen effectiveness, efficiency, and accountability. However, implementation of the initiative has been subject to extensive delays since its launch, resulting in PD sections worldwide being unable to update position descriptions for 6 years. COVID-19 has caused additional delays, potentially delaying completion of the work until FY 2023. Additionally, OIG inspection reports have identified concerns among PD staff about the transparency and clarity of the initiative. The preliminary objectives of this inspection are to assess program leadership; survey PD officers to assess the clarity, progress, and results of the program in the field; and review coordination and communication among stakeholders.</p>	Fall 2020

Agency/Bureau	Project Title	Initiation Date
OBO	<p data-bbox="488 281 1130 390"><i>Inspection of the Bureau of Overseas Buildings Operations, Directorate of Operations, Office of Fire Protection</i></p> <p data-bbox="488 415 1198 873">OBO's Office of Fire Protection (FIRE) oversees and directs the Department's fire protection program. OIG inspection reports have repeatedly found deficiencies in overseas posts' residential and workplace fire safety programs. These deficiencies could lead to fires, injuries, and loss of property. The preliminary objective of this inspection is to evaluate whether OBO/FIRE effectively directs and monitors overseas posts' compliance with the Department's fire protection program. The inspection will also review OBO/FIRE's inspection, safety, and prevention programs.</p>	Fall 2020
OBO	<p data-bbox="488 911 1154 1020"><i>Inspection of the Bureau of Overseas Buildings Operations Directorate of Operations Office of Safety, Health, and Environmental Management</i></p> <p data-bbox="488 1045 1198 1692">OBO's Office of Safety, Health, and Environmental Management (SHEM) oversees and directs the Department's safety, health, and environmental program abroad. Despite safety requirements, OBO/SHEM continues to discover hazardous working and living conditions. From 2014 to 2018, OBO reported 264 mishaps related to embassy residences while noting that most of these mishaps could have been prevented. OIG inspection reports have also repeatedly found deficiencies in overseas posts' safety programs. The preliminary objectives of this inspection are to (1) evaluate whether OBO/SHEM effectively manages overseas posts' compliance with the Department's safety, occupational health, and environmental management requirement and (2) review the office's workplace, residential, and motor vehicle safety programs.</p>	Fall 2020
DS	<p data-bbox="488 1730 1175 1839"><i>Inspection of the Bureau of Diplomatic Security, Directorate of Domestic of Operations, Office of Special Investigations</i></p> <p data-bbox="488 1864 1175 1927">DS's Office of Special Investigations (OSI) investigates both administrative and criminal misconduct</p>	Fall 2020

Agency/Bureau	Project Title	Initiation Date
	<p>committed by and against Department employees, contractors stationed domestically, and U.S. Government employees who fall under Chief of Mission authority overseas. OSI also provides training to DS agents serving overseas. Following an OIG inspection in 2012, OSI acted on numerous findings, including recommendations regarding organizational structure, supervisory requirements, and the need for OSI to participate in peer reviews. The preliminary objectives for this inspection are to (1) determine the operational effect of organizational changes, (2) evaluate whether agreements between OSI and other investigative entities follow best practices, and (3) assess to what extent OSI prepares DS agents serving overseas to carry out their responsibilities.</p>	
A	<p><i>Inspection of the Bureau of Administration, Office of the Procurement Executive, Office of Acquisitions Management, Diplomatic Security Contracts Division</i></p> <p>A's Diplomatic Security Contracts Division (DSC), within the Office of Acquisitions Management (AQM), establishes acquisition agreements for the Bureau of Diplomatic Security (DS). AQM/DSC provides the full range of contract services and support to DS for the Department's local guard, surveillance detection, and worldwide protective services program. OIG/ISP has never inspected AQM/DSC. The preliminary objectives of this inspection are to (1) evaluate how AQM/DSC uses funds received through a security contract surcharge to provide overall support to the DS program office for the administration of overseas local guard force contracts and (2) assess AQM/DSC's timeliness in executing contract awards and modifications.</p>	Fall 2020
A	<p><i>Inspection of the Bureau of Administration, Office of Operations, Office of Commissary and Recreation Affairs</i></p> <p>A's Office of Commissary and Recreation Affairs (CR) monitors regulatory compliance and provides operational support to over 130 commissary and recreation associations in U.S. embassies throughout the world. CR faces shifting demands for services and increased operational challenges during the COVID-19</p>	Fall 2020

Agency/Bureau	Project Title	Initiation Date
	<p>crisis. The preliminary objectives of this inspection are to (1) assess whether CR effectively meets policy goals and objectives, (2) determine whether financial resources are being used and managed effectively, (3) evaluate internal controls, and (4) assess the effectiveness of CR's response to the COVID-19 crisis.</p>	
IRM	<p><i>Inspection of the Bureau of Information Resource Management, Office of Consolidated Customer Support</i></p> <p>IRM's Office of Consolidated Customer Support (CCS) has a mission to manage the relationship between IRM and its Department customers to promote the development, use, and support of information technology to further foreign diplomacy and policy. CCS provides helpdesk, desktop support and maintenance, and account, asset, and security management for 51 separate domestic bureaus and offices. Despite the intent to improve customer service, OIG has consistently identified deficiencies in services provided by IRM. The preliminary objectives of this inspection are to evaluate CCS' effectiveness in carrying out its mission, including all of the roles and responsibilities of its component offices, and to determine the overall effectiveness of CCS' management of information technology.</p>	Fall 2020

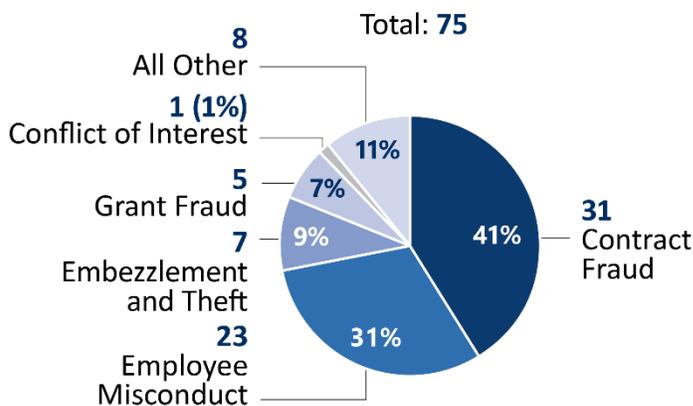
Typically, ISP's annual planning process results in a full FY schedule of inspections. However, due to the uncertainty created by the COVID-19 pandemic and taking into consideration relevant guidance, ISP modified its annual planning process for inspections for FY 2021. Instead of developing a full year schedule, ISP is planning one inspection cycle at a time. When this FY 2020-2021 Work Plan was published, ISP's fall inspection cycle was the only one that had been announced. ISP expects to announce its FY 2021 winter inspection schedule to the Department in October or November 2020 and its FY 2021 spring inspection schedule in January or February 2021. ISP will continue to assess evolving guidance related to the COVID-19 pandemic to plan for FY 2022, as appropriate.

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 the Department (GTM, DS, or OPE) or other agencies for administrative or other appropriate action.

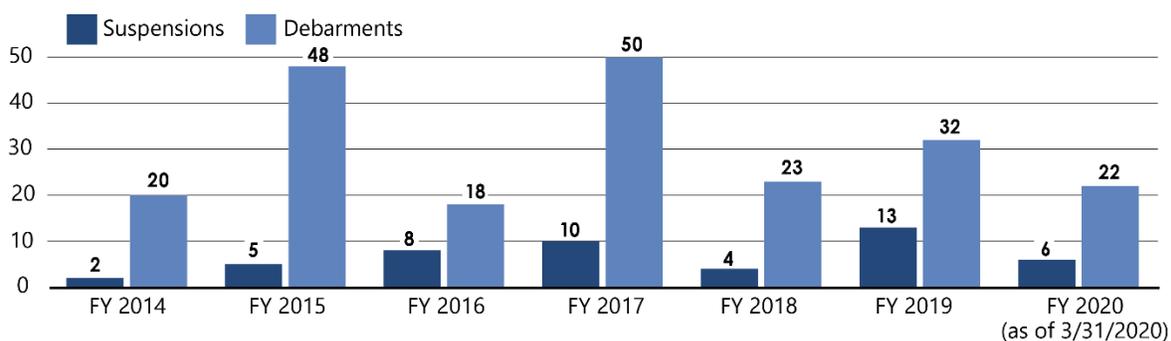
Below is a summary of OIG cases closed during FY 2019.

FY 2019 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 for suspension and debarment, as shown below.

Suspension and Debarment Actions Taken by the Department as a Result of OIG Referrals, FY 2014 through FY 2020-Q2



FY 2021–FY 2022 AREAS OF EMPHASIS AND PREVENTIVE ACTIONS

INV’s top priorities for FY 2021 and FY 2022 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 its outreach and coordination with other law enforcement and investigative oversight partners, both domestically and abroad. INV plays 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, in recent years, 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 2019, the hotline processed nearly 2,000 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 2020, there are two OCOs requiring Lead IG oversight: Operation Inherent Resolve to defeat the Islamic State of Iraq and Syria (ISIS) in those two nations and 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. 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 2021 and 2022 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 2021–2022 OIG Oversight Activities in Support of the Lead IG OCO Oversight Mandate

- Review of Personal Property Accountability Audit of U.S. Mission Iraq
- Audit of Use of Noncompetitive Contracts in Overseas Contingency Operations
- Information Report: Review of Department of State Preparations to Return Employees and Contractors to Federal Offices During the Global Pandemic
- Audit of Cooperative Agreements and Grants Related to Iran
- Audit of Department of State’s Risks of Trafficking in Persons (TIP) Violations in the Arabian Peninsula
- Audit of the Public Affairs Section Oversight of Grants at Embassy Kabul
- Audit of the Training, Qualifications, and Invoices Practices Under the Worldwide Protective Services (WPS) II Contracts
- Audit of the Physical Security Standards for Temporary Facilities at High Threat Posts
- Audit of the Transition of the Iraq Support Contracts to the Diplomatic Support Services (DiPPS) Contract
- Audit of the PAE Operations and Maintenance Contract at Embassy Kabul, Afghanistan
- Audit of the PAE Operations and Maintenance Contract at Embassy Kabul, Afghanistan
- Audit of the Performance of the New Embassy Baghdad Power Plant
- Inspection of the Bureau of Legislative Affairs
- Inspection of the Bureau of Administration, Office of the Procurement Executive, Office of Acquisitions Management, Diplomatic Security Contracts Division
- Evaluation of the Public Diplomacy Local Staff Modernization Program
- Evaluation of the Basis for the Bureau of Diplomatic Security’s Canine Training and Operations Center’s (DSCTOC) Decision to Combine Training and Validation Functions under One Entity, and its Effectiveness
- Inspection of the Bureau of Overseas Buildings Operations, Directorate of Operations, Office of Fire Protection
- Inspection of the Bureau of Overseas Buildings Operations Directorate of Operations Office of Safety, Health, and Environmental Management

Appendix A: Abbreviations and Definitions

Identifier	Definition
A	Bureau of Administration
AQM	Office of Acquisitions Management
AUD	Office of Audits
BOC	Budget Object Code
CA	Bureau of Consular Affairs
CFO	Chief Financial Officer
CFR	Compliance Follow-Up Review
CGFS	Bureau of Comptroller and Global Financial Services
CR	Office of Commissary and Recreation Affairs
CSS	Office of Consolidated Customer Support
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
DiPPS	Diplomatic Platform Support Services
DoD	Department of Defense
DRL	Bureau of Democracy, Human Rights, and Labor
DS	Bureau of Diplomatic Security
DSC	Diplomatic Security Contracts Division
DSCTOC	Diplomatic Security Canine Training and Operations Center
E	Under Secretary for Economic Growth, Energy, and Environment
EAP	Bureau of East Asian and Pacific Affairs
ESP	Evaluations and Special Projects
FAP	Furniture and Appliance Pool
FIRE	Office of Fire Protection
FISMA	Federal Information Security Management Act
FY	Fiscal Year
GEC	Global Engagement Center
GSS	Global Support Services
GTM	Global Talent Management
H	Bureau of Legislative Affairs
IAA	Interagency Agreement
ICASS	International Cooperative Administrative Support Services
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

Identifier	Definition
IT	Information Technology
M	Under Secretary for Management
M/SS	Office of Management Strategy and Solutions
MERO	Middle East Region Operations
NCSC	National Center for State Courts
NEA	Bureau of Near Eastern Affairs
NEC	New Embassy Compound
NOC	Not Otherwise Classified Budget Object Codes
OBO	Bureau of Overseas Buildings Operations
OCO	Overseas Contingency Operations
OES	Bureau of Oceans and International Environmental and Scientific Affairs
OIG	Office of Inspector General
OMB	Office of Management and Budget
ONDCP	Office of National Drug Control Policy
OSI	Office of Special Investigation
PAT	Post Assignment Travel
PD	Public Diplomacy
PPT	Directorate of Passport Services
R	Under Secretary for Public Diplomacy and Public Affairs
RCSO	Regional Contract Support Office
RPSO	Regional Procurement Support Office
SCA	Bureau of South and Central Asian Affairs
SCI	Sensitive Compartmented Information
SHEM	Office of Safety, Health, and Environmental Management
SIGAR	Special Inspector General for Afghanistan Reconstruction
SPE	Special Protective Equipment
TIP	Office to Monitor and Combat Trafficking in Persons
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.
WPC	Whistleblower Protection Coordinator



HELP FIGHT

FRAUD, WASTE, AND ABUSE

1-800-409-9926
stateoig.gov/HOTLINE

If you fear reprisal, contact the
OIG Whistleblower Coordinator to learn more about your rights.
WPEAOmbuds@stateoig.gov