

~~SENSITIVE BUT UNCLASSIFIED~~

United States Department of State  
and the Broadcasting Board of Governors  
Office of Inspector General

# Report of Inspection

Office of the Executive  
Director, Executive  
Secretariat

Report Number ISP-I-07-38, July 2007

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## KEY JUDGMENTS

- The Office of the Executive Director of the Office of the Secretary (S/ES-EX) is doing an impressive job in difficult circumstances. It gets generally high marks for its managerial support to the Secretary and the other Seventh Floor principals as well as the other offices under its responsibilities—some 34 in all. The executive leadership and the general services and security units get particularly high praise, as does support for the Secretary’s international travel.
- At the same time, S/ES-EX is clearly straining under its constantly growing administrative burden, now encompassing four large operating entities, three assigned to it since 2003. These large offices have programs totaling \$108 million (in FY 2006) with 320 personnel. Coupled with continuing growth in the offices directly attached to the Secretary and persisting vacancies in its key units, S/ES-EX is keeping its head above water, but in some areas, just barely. The human resources and financial management units particularly are struggling.
- S/ES-EX needs to limit its management focus to support of the Secretary, other Department of State (Department) principals, and the offices traditionally attached to the Office of the Secretary. The Department should establish alternate management support mechanisms for the offices of the Director of Foreign Assistance (F), the Coordinator for Reconstruction and Stabilization (S/CRS), the U.S. Global AIDS Coordinator (S/GAC), and the Coordinator for Counterterrorism (S/CT).
- Providing travel support for the Secretary and other Department principals is spread throughout S/ES-EX and is taking an increasing toll on the ability of the various units to perform their other duties. Establishment of a VIP travel unit, as requested in the office’s FY 2008 Bureau Strategic Plan, will alleviate this burden.
- S/ES-EX needs to strengthen its management controls over the billing of the press corps traveling with the Secretary and establish better controls on overtime usage by its staff.

The inspection took place in Washington, DC, between March 13 and 30, 2007. Ambassador Daniel O’Donohue (Team Leader), Alan Berenson (Deputy Team Leader), Craig Cheney, Renee Francis, Siobhan Hulihan, Gwendolyn Llewellyn, Iris Rosenfeld, and Carrie Ullman conducted the inspection.



## CONTEXT

S/ES-EX provides the management and security support for the entire Office of the Secretary (S) family and attached offices. Its primary responsibility is support of the Secretary, the Deputy Secretary, and the six Under Secretaries and their staffs. S/ES-EX responsibilities include the other elements of the Executive Secretariat, the Policy Planning Staff, the Office of Civil Rights, and several other small offices attached to the S family. Its four units (human resources, general services, budget, and security) provide the full range of management support services to a diverse and demanding clientele. As its major priority, S/ES-EX also directly supports the foreign and domestic travel of the Secretary and the Deputy Secretary.

S/ES-EX has also been assigned support responsibility for four large and growing entities with major operational and program activities: S/CT, S/GAC, S/CRS, and F. Three of these offices (S/GAC, S/CRS, and F) have come into existence and been assigned to S/ES-EX since 2003 and collectively represent over 250 additional positions and \$86 million in operating funds. All four are projected to continue their program and personnel growth in FY 2007 and FY 2008. The addition of these major operating entities has significantly strained the capacity of S/ES-EX, particularly in managing Civil Service personnel issues and in handling budgetary accounts.

Overall, S/ES-EX supports approximately 800 personnel in 34 offices, managing \$141 million in operating funds. Its own operating budget is \$2.81 million. S/ES-EX has a current on-board staff of 31 direct hires, with 11 positions vacant.



## PERFORMANCE/ISSUES OVERVIEW

S/ES-EX is doing an impressive job in difficult circumstances. Despite the major strains on its capacity described at greater length in this report, its major senior level clients generally give the office high marks. With support for the Secretary as its overriding priority, S/ES-EX, particularly the Executive Director, gets high marks from S for the full range of its management support, with the Secretary's travel ranking at the top of the list. The other Department principals, the offices of the Deputy Secretary and the six Under Secretaries, also give S/ES-EX high praise, as do several of the smaller, less central offices attached to S. The Executive Director and her deputy are singled out for their competence and dedication. The general services unit and the security unit are universally cited as outstanding in their responsiveness and level of service. Criticism focuses on the human resources unit, particularly in dealing with Civil Service personnel actions, and some entities have raised problems with the budget unit's handling of their accounts. While reflecting in part staffing shortfalls, the basic problem is that S/ES-EX is not structured or staffed to provide support to large operational offices. (More detailed assessments of individual S/ES-EX units are contained in the Core Functions section of this report.)

S/ES-EX is clearly straining under the burden of the three large entities added since 2003—F, S/GAC, and S/CRS—plus continued growth in S/CT. The number of employees in these four offices currently totals 320, with F accounting for 96, S/GAC for 75, S/CRS for 75, and S/CT for 74. Funding for the offices in FY 2006 totaled \$108 million, with \$2 million for F, \$74 million for S/GAC, \$10 million for S/CRS, and \$22 million for S/CT. Human resources and financial management support for these offices are already severely tested. During this same period the frequency and complexity of the Secretary's travel, a major responsibility of the Executive Director and her staff, has also been on the increase, representing yet another demand on the overburdened office.

The personnel resources of S/ES-EX, even if at full strength, are not sufficient to provide support to all entities for which it is responsible. At the time of the inspection, the office was authorized 31 positions. However, there were 11 vacancies, a shortage of 35 percent. The staff correctly places priority on providing support to the Secretary, the Deputy Secretary, and the six Under Secretaries and their staffs. Workload, especially support to several relatively new offices, as previously discussed,

has increased dramatically since 2003—both in size and complexity. Consequently, stress levels are high, staff morale is being adversely impacted, and quality of work is being affected.

To relieve the burden and allow S/ES-EX to properly support its traditional clients, responsibility for financial management, human resources, and general services for its larger clients—S/CT, S/GAC, F, and S/CRS—will have to be transferred to those offices or, in the case of human resources, to one of the Department’s Centers of Excellence.<sup>1</sup> The Executive Director and her deputy are in agreement with this course of action.

## Office of the Coordinator for Counterterrorism and Office of the U.S. Global AIDS Coordinator

In addressing these management problems, the Office of Inspector General (OIG) team believes that both S/CT and S/GAC have the capability to take over responsibility for financial management and general services support for their respective offices. Human resources support services can better be provided by one of the Department’s Centers of Excellence than an overburdened S/ES-EX human resources unit.

**Recommendation 1:** The Office of the Executive Director, Executive Secretariat, in coordination with the Office of the Coordinator for Counterterrorism, should transfer responsibility for support services, excluding human resources, to the Office of the Coordinator for Counterterrorism. (Action: S/ES-EX, in coordination with S/CT)

**Recommendation 2:** The Office of the Executive Director, Executive Secretariat, in coordination with the Office of the U.S. Global AIDS Coordinator, should transfer responsibility for support services, excluding human resources, to the Office of the U.S. Global AIDS Coordinator. (Action: S/ES-EX, in coordination with S/GAC)

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<sup>1</sup> The Centers of Excellence are part of a larger Department of State move to implement a shared services model for delivering management support functions. The human resource Centers of Excellence are located in designated pilot bureaus and have been delegated authority to manage the human resources of those bureaus and others grouped with them.



**Recommendation 3:** The Office of the Executive Director, Executive Secretariat, in coordination with the Bureau of Human Resources (DGHR), should transfer responsibility for human resources services for the Office of the Coordinator for Counterterrorism and the Office of the U.S. Global AIDS Coordinator to an appropriate Center of Excellence. (Action: S/ES-EX, in coordination with DGHR, S/CT, and S/GAC)

## Office of the Director of Foreign Assistance and Office of the Coordinator for Reconstruction and Stabilization

F and S/CRS, which already account for 21 percent of S/ES-EX's total client base, are slated for additional growth over the next two years. Staffing in both offices is complex, encompassing a mix of Foreign Service, Civil Service, other agency detailees, a variety of fellows and interns, and contractors. S/ES-EX was able to transfer human resources support for S/CRS to the Bureau of Administration's Center of Excellence but retains human resources responsibility for F. Dealing with space requirements for the two offices, particularly F, have also been particularly time consuming because of their continuing expansion and specific needs.

The Secretary recently determined that the Coordinator for Reconstruction and Stabilization should serve as the deputy director for F, and that S/CRS's operational expertise and planning mandate should be aligned with F's funding authorities and planning and budget processes to minimize duplicative roles or processes. The OIG team believes that management support for the two entities is an area that clearly can be unified in one office.

S/CRS has a functioning four-person management unit that provides support services for S/CRS and coordinates with S/ES-EX to obtain other services. F has a newly hired management officer responsible for coordinating support services. S/ES-EX has one position dedicated to F support, and contractual assistance has been retained as required to obtain temporary administrative support. Management functions could be combined in S/CRS to provide the full range of support services, excluding human resources, to both F and S/CRS. Human resources support for F would be retained by S/ES-EX until the Bureau of Administration's Center of Excellence is able to add F to their client base alongside S/CRS in FY 2008. F and S/CRS should benefit from having a single integrated management unit providing support.

**Recommendation 4:** The Office of the Executive Director, Executive Secretariat, in coordination with the Office of the Director of Foreign Assistance and the Office of the Coordinator for Reconstruction and Stabilization, should transfer responsibility for support services, excluding human resources, to the management unit in the Office of the Coordinator for Reconstruction and Stabilization. (Action: S/ES-EX, in coordination with F and S/CRS)

**Recommendation 5:** The Office of the Executive Director, Executive Secretariat, in coordination with the Bureau of Administration, should transfer responsibility for human resources support services for the Office of the Director of Foreign Assistance to the Bureau of Administration's Center of Excellence no later than FY 2008. (Action: S/ES-EX, in coordination with A, F, and S/CRS)

## INTERNAL ORGANIZATION/CORE FUNCTIONS

### EXECUTIVE DIRECTION

The Executive Director, who has been in the job since 2003, is recognized by her customer offices as a highly professional, competent, and dedicated manager. She has as her twin priorities the overall direction of the office, dealing with the major management issues that arise, and personally assuring that the Secretary gets the priority attention needed to support her mission. The Executive Director is twin-hatted as a deputy executive secretary with oversight for her own office and the Office of Information Resource Management (S/ES-IRM), which was not the subject of this inspection.

Having served previously in S/ES-EX, the Executive Director brings a wealth of background and sound judgment in dealing with varied and sensitive management issues ranging from office space, personnel, and travel demands down to who gets parking passes. Those issues involve a senior level clientele who, by definition, have a high personal sensitivity to anything viewed as impinging on their status. She and her deputy also have to deal with the major resource issues and battle with the Department management offices on the ever increasing space demands emanating from F, S/CT, and the smaller new offices set up under the aegis of S.

Beyond those demands, the Executive Director takes personal responsibility for dealing with support issues involving the Secretary, most visibly the Secretary's travel. She is responsible for managing the military airlift logistical requirements for the Secretary's foreign travel and accompanies the Secretary on all international trips. That absorbs up to 50 percent of her work time. The Secretary's staff has only praise for the Executive Director's performance and her ability to manage logistical crises, large and small, during these trips. They also give her high marks for overall management support of the Secretary's office. The Deputy Secretary's staff is newly on board and conveyed to the OIG team its appreciation for the excellent job S/ES-EX did in getting their shop up and running.

Within S/ES-EX, the Executive Director is seen as an excellent manager, decisive but also a good listener. They note that she is supportive, ready to back her staff

on difficult issues, and thoroughly conversant with the work of the units. Given the demands of secretarial travel, the Executive Director is often out of the office, and the Deputy Director, still in his first year in the job, has the essential responsibility for overseeing the daily workload of the office as well as many of the dealings with the offices other than the Secretary. Their relationship is excellent; communication between them flows well and there is a good delineation of responsibilities.

The Deputy Director is viewed by the staff as a good manager, bringing a fresh look to internal operations. He also has received commendations from the S family offices for his readiness to listen to their problems and deal with them. The Deputy handles most of the workload emanating from the six Under Secretaries offices, which cheerfully noted their acceptance of the first priority given to the Secretary's needs, while indicating that S/ES-EX did a good job in meeting their needs. The Deputy Director, supported by the general services unit, handles the Secretary's domestic travel and accompanies the Secretary on her domestic trips.

As noted earlier, the workload engendered by the accretion of the large program-oriented offices has led to serious strains on S/ES-EX's support function. The Executive Director and her deputy are moving to deal with those issues and are in consonance with the OIG approach outlined above. The OIG team has stressed the need to move vigorously in implementing the transfer of management responsibilities to other management units. Further, the OIG team has cautioned that S/ES-EX assess the impact on its level of service to current customers before, not after, accepting future management support responsibility for any major operating units.

## SECRETARY'S TRAVEL

Coordination and support for the Secretary's travel is a major priority for S/ES-EX. By all accounts, the office performs this mission in an outstanding manner. The Executive Director takes the lead and accompanies the Secretary on all foreign travel, while the Deputy Director has similar responsibilities for the Secretary's domestic travel. The staff assistant to the Executive Director also provides crucial support for the Secretary's travel, which has become a major component of the incumbent's duties.

The frequency, length, and complexity of the Secretary's travel has been on an increasing trend since 2002. The total number of travel days climbed from 79 in 2002 to 119 in 2005, and the total number of foreign cities visited increased from 50 to 75. Travel data for 2006 shows a similar pace, and Secretary Rice recently surpassed

former Secretary Albright's two-year mark of 452,958 miles traveled. An increase in travel to trouble spots such as Iraq and Afghanistan presents particular challenges, due to security concerns and the need to use aircraft with defensive capabilities.

The burden of supporting this travel takes its toll on the entire office—in the actual work involved in planning and executing the trips and in continuing to provide quality support to other client offices during surge periods and during the absence of the Executive Director and Deputy Director when they accompany the Secretary. The establishment of a VIP travel unit, integrating responsibilities from operations within general services and financial management, recommended elsewhere in this report, should alleviate the burden.

## HUMAN RESOURCES

The human resources unit is coping with a heavy workload despite diminished resources and increasing demands. However, it has a mixed record in providing services to its client offices. While the principals' offices praised the unit for its handling of Schedule B and C appointees, some large client offices expressed frustration with its handling of Civil Service issues, particularly slowness in the Civil Service hiring process. Customers acknowledge that the basic problems can be attributed to delays in the Department's Bureau of Human Resources (DGHR) but believe the human resources unit is not sufficiently proactive on their behalf. Earlier in this report the need to transfer portions of the human resources function to one or more of the Department's human resources Centers of Excellence is discussed and recommended.

S/ES-EX notes that it has its own problems with DGHR in filling positions and upgrading existing Civil Service grades in a situation where some employees are being lured to similar but higher graded positions in other bureaus. S/ES-EX is addressing these problems with DGHR but without notable progress.

Staffing shortages and an increased workload make it difficult for the small human resources staff to provide quality services across the board, and the unit has struggled to support the additional offices acquired in the past three years. One human resources specialist, an administrative specialist, and a program support assistant, along with the administrative officer, serve approximately 800 employees. There are currently three vacancies. Starting in April 2007, the unit will be required to process all types of nonpay actions, including realignments and separations.

DGHR will no longer conduct reviews or final processing of these actions. The new procedural changes are expected to place an even greater demand on the unit if there is no relief.

Because of the overwhelming demands from its client offices, the human resources unit is not always able to address its internal needs, as well as those of other units within S/ES-EX. The pressure to constantly respond to urgent needs from other offices creates a stressful atmosphere and is detrimental to morale. S/ES-EX recently conducted a team building exercise for the entire office, which was useful in defining common goals and discussing problem areas. The human resources unit would benefit from similar exercises to provide time to focus on the needs of the unit and long term planning for recent and pending changes in its workload. An informal recommendation was made to address this issue.

## Evaluations and Work Requirement Statements

S/ES-EX is not completing evaluations and performance plans on time and does not have systematic monitoring and follow-up procedures. Several Civil Service employees have not received evaluations for 2006 or performance plans for 2007. Some evaluations for 2005 were submitted late. Furthermore, a number of employees in other offices for which the human resources unit has oversight have not received evaluations. Late evaluations and job performance plans hinder the performance management program and disadvantage both the managers and employees. 3 FAH-1 H-2825.4 requires that delinquent raters, and the affected employees, be reported.

**Recommendation 6:** The Office of the Executive Director, Executive Secretariat, should establish formal monitoring procedures for performance evaluations to include notifying senior management of the delinquency and documenting the supervisor's failure in his or her own performance evaluation. (Action: S/ES-EX)

**Recommendation 7:** The Office of the Executive Director, Executive Secretariat, should submit to the Executive Director a delinquent raters list identifying both delinquent raters and employees whose performance evaluation reports were late or not prepared. (Action: S/ES-EX)

## FINANCIAL MANAGEMENT

The budget unit is seriously understaffed and forced to deal with large and unfamiliar program budgets for F, S/CRS, S/CT, and S/GAC. Although authorized seven positions, only the budget officer and two analyst positions were filled at the time of the inspection—less than half of the unit's authorized strength. Dollars managed in FY 2006 totaled \$141 million. The total dollars to be managed in FY 2007 was forecasted to remain fairly constant.

The larger client offices had complaints about the budget unit's performance. The budget officer is knowledgeable and customer-service oriented, but staffing shortages and the excessive workload have resulted in accounting errors by unit staff, including incorrect obligations and charges to the wrong entity. Recommendations in this report to transfer financial management responsibility to the larger client offices with the capability to manage their finances, and establishment of a travel unit within S/ES-EX, will correct the shortfalls noted.

In addition to funds management, the budget unit devotes considerable staff time—about 30 percent—to providing comprehensive travel support, including issuance of travel orders, review of premium class travel requests, procurement of visas, and processing of travel vouchers. In FY 2006, the unit obtained over 3,000 visas for official travelers.

S/ES-EX proposed establishment of a VIP travel unit in its FY 2008 Bureau Strategic Plan to augment travel support to the Secretary and principal officers. The OIG team agrees that a travel unit is sorely needed for the office.

**Recommendation 8:** The Office of the Executive Director, Executive Secretariat, should request, and the Bureau of Human Resources should approve, establishment of a travel unit within the office. (S/ES-EX, in coordination with DGHR)

## GENERAL SERVICES

The general services unit was widely praised by customers for its responsiveness and commitment to meeting high service standards. The general services officer spends approximately 30 percent of his time on the Deputy Secretary's international travel, including accompanying the Deputy on these trips. In addition to performing traditional support tasks, the unit performs unique functions such as providing legis-

tical support for principals' participation in the annual meeting of the UN General Assembly. The unit responds to requests for myriad routine services and also coordinates large projects such as office moves and space renovations. While sometimes frustrating, general services staff accept the demands and challenges of meeting the needs of 20 Department principals. The staff deals with many sensitive as well as time-consuming tasks, such as accommodating Department principals' requests for highly coveted office space and parking passes in the Harry S Truman building.

The creation of new offices within the S family has an impact on the general services unit, as it does on the other S/ES-EX components. For the past three years, the general services unit has operated in an accelerated start-up mode as the new entities were established. The unit strives to absorb the added workload without compromising its responsiveness, in spite of three vacant positions at the time of the inspection. Particularly noteworthy was the unit's ability to process and assign contractor employees in a relatively short period of time. The continued expansion of these offices, however, is likely to tax general services staff to an unsustainable and unreasonable degree.

The unit is intensely busy, with employees responding to interruptions, phone calls, and drop-ins. While the unit has tried to acclimatize customers to using an automated process to submit work orders, the general services officer still receives up to 75 e-mails and telephone calls daily, plus numerous walk-in requestors. While customer service is very good, the general services officer would like to refine the work order system to enhance tracking and to generate detailed status reports for customers.

Some longtime general services employees are recognized throughout the Department for their dedication and competence. Over the years, waves of Department principals have come to rely on such individuals to meet all their needs. However, the practice of vesting duties and responsibilities in single individuals is a poor management practice and results in excessive overtime costs. For example, one general services employee routinely works approximately 30 overtime hours weekly.

The general services unit has not cross-trained its staffs, which limits their ability to meet critical needs. Training and mentoring other employees ensures a reliable back-up system. At the same time, it provides other employees with new duties and opportunities that enhance their skills and allow them to experience more of the exciting and visible functions of the office. The OIG team informally recommended that S/ES-EX establish a cross-training program.



## SECURITY

The security unit in S/ES-EX is responsible for technical, procedural, physical, and personal security. S/ES-EX customers rated services as good and stated that the security office handled security issues in an expeditious manner. Senior officers under the S umbrella were unanimous in their praise for the security unit's responsiveness and professionalism.

An experienced diplomatic security officer manages the security program and leads a staff comprised of one security engineering officer, one contract special security officer, one contract security clearance adjudicator, and a contract security escort team. Because the unit is properly staffed, it gives enhanced security support. Escorting visitors to the Office of the Secretary and its principal offices is one of the primary functions that the unit provides.

All visitors, whether they are foreign dignitaries or members of the press, are required to have a security escort. At times, scheduling escort assignments can be burdensome, especially when all principal officers are present in the Department. The security unit does a good job of balancing its resources to make sure that security coverage is sustained. The unit achieves this by having staff requests submitted electronically 24 hours in advance for approval, which allows the security officer to coordinate the allocation of resources to ensure appropriate coverage.

A team of 10 contractors serves as security escorts for visitors to the S offices. These contractors, known as "blue coats," facilitate entry for visitors and ensure that visitors are issued Department identification badges and do not wander into restricted areas. The security officer is responsible for oversight of the security escort contract; however, the officer has not received formal training as a contracting officer's technical representative. The OIG team made an informal recommendation that this training be provided.

## Storing and Safeguarding Classified Material

Previously, security incidents were more frequent within the Office of the Secretary; however, due to the enhanced security briefing program, the number of incidents has decreased. Security briefings for employees are scheduled biannually and on an as-needed basis to provide guidance on how to store and safeguard classified information.

## INFORMATION TECHNOLOGY

S/ES-IRM, which is not part of S/ES-EX, provides information technology support to the Secretary, Deputy Secretary, six Under Secretaries, and other offices in the S family, including S/ES-EX. Within S/ES-EX, the various units primarily use corporate applications to do their work. However, S/ES-IRM has developed some unique applications, such as the Secretariat Tracking and Retrieval Systems, which are used to track the lifecycle movement of memoranda received from Department bureaus, and the Tasker Tracking Log, which is used to manage assignments made to other bureaus, including electronic e-mail taskings. Another application enables the Department to comply with government reporting requirements for the National Implementation Plan for the War on Terror effort coordinated by S/CT.

S/ES-EX staff stated that they receive good support from S/ES-IRM. Conversely, S/ES-IRM employees stated that they receive good support from S/ES-EX, with the exception of the systemic human resources problems noted elsewhere in this report.

## MANAGEMENT CONTROLS

Management controls, overall, are satisfactory. However, procedures to recover costs incurred by the press corps when traveling with the Secretary and other principals need to be strengthened. In addition, S/ES-EX must institute structured control over overtime. The OIG team also made an informal recommendation to improve time and attendance controls.

## PRESS CORPS REIMBURSEMENTS

Procedures had not been established to systematically follow up and collect amounts due to the U.S. government for costs incurred by the press corps. Members of the press accompany the Secretary and other principals on official trips. Costs incurred for transportation and other support that are initially paid by the U.S. government are to be recovered. Between March 29, 2006 and January 19, 2007, approximately \$500,000 of reimbursable costs had been incurred. As of March 31, 2007, \$110,000 had not been recovered, including costs incurred a year earlier.

**Recommendation 9:** The Office of the Executive Director, Executive Secretariat, should establish procedures to systematically take collection action for costs incurred by the press corps. (Action: S/ES-EX)

## OVERTIME

There is an inordinate amount of overtime in S/ES-EX. Because the office has 11 vacancies, or about 35 percent of the authorized personnel strength, some of the overtime is warranted, as is overtime in support of the Secretary's travel. However, the overtime is excessive. To illustrate, five employees worked a total in excess of 3,000 overtime hours in calendar year 2005 and over 2,800 in 2006. The trend has not abated. Within the first three months of 2007, the five employees have already incurred 480 overtime hours. As discussed in the general services section above, cross training of personnel would enable the workload to be distributed over additional personnel, thereby reducing the need for overtime.

**Recommendation 10:** The Office of the Executive Director, Executive Secretariat, should implement procedures to control and reduce overtime costs. (Action: S/ES-EX)

## FORMAL RECOMMENDATIONS

**Recommendation 1:** The Office of the Executive Director, Executive Secretariat, in coordination with the Office of the Coordinator for Counterterrorism, should transfer responsibility for support services, excluding human resources, to the Office of the Coordinator for Counterterrorism. (Action: S/ES-EX, in coordination with S/CT)

**Recommendation 2:** The Office of the Executive Director, Executive Secretariat, in coordination with the Office of the U.S. Global AIDS Coordinator, should transfer responsibility for support services, excluding human resources, to the Office of the U.S. Global AIDS Coordinator. (Action: S/ES-EX, in coordination with S/GAC)

**Recommendation 3:** The Office of the Executive Director, Executive Secretariat, in coordination with the Bureau of Human Resources, should transfer responsibility for human resources services for the Office of the Coordinator for Counterterrorism and the Office of the U.S. Global AIDS Coordinator to an appropriate Center of Excellence. (Action: S/ES-EX, in coordination with DGHR, S/CT, and S/GAC)

**Recommendation 4:** The Office of the Executive Director, Executive Secretariat, in coordination with the Office of the Director of Foreign Assistance and the Office of the Coordinator for Reconstruction and Stabilization, should transfer responsibility for support services, excluding human resources, to the management unit in the Office of the Coordinator for Reconstruction and Stabilization. (Action: S/ES-EX, in coordination with F and S/CRS)

**Recommendation 5:** The Office of the Executive Director, Executive Secretariat, in coordination with the Bureau of Administration, should transfer responsibility for human resources support services for the Office of the Director of Foreign Assistance to the Bureau of Administration's Center of Excellence no later than FY 2008. (Action: S/ES-EX, in coordination with A, F, and S/CRS)

**Recommendation 6:** The Office of the Executive Director, Executive Secretariat, should establish formal monitoring procedures for performance evaluations to include notifying senior management of the delinquency and documenting the supervisor's failure in his or her own performance evaluation. (Action: S/ES-EX)

**Recommendation 7:** The Office of the Executive Director, Executive Secretariat, should submit to the Executive Director a delinquent raters list identifying both delinquent raters and employees whose performance evaluation reports were late or not prepared. (Action: S/ES-EX)

**Recommendation 8:** The Office of the Executive Director, Executive Secretariat, should request, and the Bureau of Human Resources should approve, establishment of a travel unit within the office. (S/ES-EX, in coordination with DGHR)

**Recommendation 9:** The Office of the Executive Director, Executive Secretariat, should establish procedures to systematically take collection action for costs incurred by the press corps. (Action: S/ES-EX)

**Recommendation 10:** The Office of the Executive Director, Executive Secretariat, should implement procedures to control and reduce overtime costs. (Action: S/ES-EX)

## INFORMAL RECOMMENDATIONS

Informal recommendations cover operational matters not requiring action by organizations outside the inspected unit and/or the parent regional bureau. Informal recommendations will not be subject to the OIG compliance process. However, any subsequent OIG inspection or on-site compliance review will assess the mission's progress in implementing the informal recommendations.

### Human Resources

One employee in S/ES-EX was rated outstanding in the majority of the job elements on the performance evaluation but received excellent as an overall rating.

**Informal Recommendation 1:** The Office of the Executive Director, Executive Secretariat, should correct the overall rating of the performance evaluation.

The human resources unit would benefit from team building sessions to provide time to focus on the needs of the unit and long-term planning for recent and pending changes in its workload.

**Informal Recommendation 2:** The Office of the Executive Director, Executive Secretariat, should hold team building sessions for the human resources unit.

### General Services

Employees in the general services unit have not been cross training to provide the office with backup support.

**Informal Recommendation 3:** The Office of the Executive Director, Executive Secretariat, should establish a cross-training program for employees in the general services unit.

### Security

The security officer in S/ES-EX oversees the security escort contract but has not had formal contracting officer's technical representative training as required by Department of State Acquisition Regulation 642.270(b).

**Informal Recommendation 4:** The Office of the Executive Director, Executive Secretariat, should schedule contracting officer's technical representative training for the assigned security officer as required by Department regulations.

## Time and Attendance

A final time and attendance report was stamped with the signature of the approving officer. According to 4 FAH-3 H-526.1-4, approval must be indicated either by a handwritten signature or an approved system that provides for an automated signature.

**Informal Recommendation 5:** The Office of the Executive Director, Executive Secretariat, should refrain from using a stamped signature when approving time and attendance reports.



PRINCIPAL OFFICIALS

	<b>Name</b>	<b>Arrival Date</b>
Director	Carol Perez	07/03
Deputy Director	Frank Ledahawsky	05/06
Division Director:		
Budget	Reginald Green	10/05
Human Resources	Cynthia Motley	01/05
General Services	Christopher Del Corso	07/06
Security	Francis Bires	07/06



## ABBREVIATIONS

Department	Department of State
DGHR	Bureau of Human Resources
F	Office of the Director of Foreign Assistance
OIG	Office of Inspector General
S	Office of the Secretary
S/CRS	Office of the Coordinator for Reconstruction and Stabilization
S/CT	Office of the Coordinator for Counterterrorism
S/ES-EX	Office of the Executive Director, Executive Secretariat
S/ES-IRM	Office of Information Resource Management, Executive Secretariat
S/GAC	Office of the U.S. Global AIDS Coordinator

~~SENSITIVE BUT UNCLASSIFIED~~

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