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

Compliance Follow-up Review of Bureau of Democracy, Human Rights, and Labor

Report Number ISP-C-05-41, September 2005

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INTRODUCTION

Compliance follow-up reviews (CFR) by the Office of Inspector General (OIG) provide senior managers of the Department of State (Department) with progress reports on the status of recommendations resulting from inspections and offer OIG a quality assurance assessment of its work.

This CFR closes OIG's report (ISP-I-03-48) on the inspection of the Bureau of Democracy, Human Rights, and Labor (DRL), conducted between April 28 and July 2, 2003. One recommendation in that report remained open at the time of the CFR. OIG closed that recommendation, and in this CFR report OIG issued a CFR recommendation to address the same issue. OIG issued other CFR formal and informal recommendations in connection with actions DRL still must take to resolve problems identified in the 2003 inspection report.

Although the inspection report is closed, offices to which recommendations were addressed are not relieved of the responsibility to complete implementation or to report to OIG changed circumstances substantially affecting agreed upon methods of implementation.

The review took place in Washington, D.C., between April 20 and June 30, 2005. Ambassador Brian E. Carlson (team leader), William D. Cavness, Jr. (deputy team leader), Peter J. Antico, Joseph S. Catalano, Patrick M. McCracken, Kristene M. McMinn, and Rosalind Willis conducted the review.

EVALUATION OF COMPLIANCE

OIG's September 2003 report, *Report of Inspection, Bureau of Democracy, Human Rights, and Labor*, contained 26 recommendations, several regarding difficult issues in DRL's organization and operation. Prior to this CFR, OIG had closed 25 of the recommendations through the regular compliance process.

One recommendation that remained open required joint action by DRL, the Bureau of Oceans and International Environmental and Scientific Affairs, and the Under Secretary for Global Affairs. The CFR team focused primarily on the open recommendation but also reviewed compliance on previously closed recommendations and checked the 21 informal recommendations listed in the inspection report. The CFR closed the open recommendation and issued a CFR recommendation on the unresolved problem regarding the functioning of the joint Office of Oceans and International Environmental and Scientific Affairs (OES)-DRL executive office (EX). In addition, OIG does not believe DRL has completely resolved problems in the Office of Country Reports and Asylum Affairs and the Office of International Labor Affairs. OIG, therefore issued four CFR recommendations for those offices. DRL has not completed action on two informal recommendations.

DRL's management worked cooperatively with the CFR team to confirm compliance with closed recommendations, and the inspection team took into account the fact that DRL's leadership has changed considerably since the inspection. At the time of the CFR, the bureau's front office was in flux, with the acting Assistant Secretary preparing to leave that position.

EXECUTIVE DIRECTION

As the 2003 inspection report noted, an act of Congress¹ created the Bureau of Human Rights and Humanitarian Affairs in 1977 to formulate and implement policies to advance human rights around the world, provide policy advice to foreign policy decisionmakers, and ensure the integration of human rights considerations into U.S. foreign policy. The incorporation of labor issues in 1994 and additional mandates for democracy and the protection of worker rights broadened the bureau's responsibilities. DRL publishes annual country reports on human rights practices and provides advisory opinions on individuals seeking asylum in the United States. A congressional mandate promoting religious freedom required DRL to begin producing an annual report on that topic in 1998. DRL recently was also called on to produce an annual report on U.S. efforts to support and promote human rights and democracy. The bureau has continued since the inspection to gain program activity and special funding for the promotion of human rights and democracy.

The once legendary disagreements between DRL and the Bureau of International Organization Affairs are now, by all accounts, a thing of the past. The principal deputy assistant secretaries of those bureaus deserve credit for resolving to jointly advance U.S. human rights interests in the multilateral context and minimizing their disagreements over responsibilities.

Most importantly, however, management of the bureau's operations has improved since the 2003 inspection. Communication throughout the bureau, according to many employees and observers, is more frequent and useful than before, and there is greater sharing of information both vertically and horizontally. Bureau leadership has clarified for all employees the roles, authorities, and responsibilities of those in the front office and the senior staff. DRL also has better defined its other portfolios, as called for in the 2003 inspection report.

The bureau is now undergoing change. Its current acting Assistant Secretary and the acting principal deputy assistant secretary are due to depart soon. It will be especially important that their successors continue to focus on good management and on institutionalizing the progress made by their predecessors.

¹ Pub.L. No. 95-105

STATUS OF RECOMMENDATIONS

INTERNAL MANAGEMENT

Recommendation 1: *The Bureau of Democracy, Human Rights, and Labor should rationalize the present ad hoc management structure of the front office and realign responsibilities in such a way as to assign clear responsibility for management of the bureau's day-to-day operations. (Action: DRL)*

The compliance review found that the DRL Bureau's management began immediately to define logical roles, responsibilities, authorities, and accountability. One important step was the clear definition of how the Ambassador-at-Large for International Religious Freedom would report to the Secretary and fulfill the Ambassador's legislative mandate. The Department's senior leadership made clear that, in keeping with the spirit of the legislation, the Department's support for international religious freedom should be closely coordinated with its human rights and democracy promotion activities. Thus, the Ambassador-at-Large continues to report to and be supported administratively by the assistant secretary and under secretary, but can communicate directly with the Secretary on policy issues while keeping the assistant secretary and the under secretary informed. This effective solution seems to satisfy the intent of the recommendation. (The CFR looked into this issue in detail in evaluating compliance with Recommendation 14.)

The recommendation is closed.

PROGRAM UNIT

Grants Processing

Recommendation 2: *The Bureau of Democracy, Human Rights, and Labor, in coordination with the Bureau of Human Resources and the Bureau of Administration, should ask that the Bureau of Administration be given sufficient additional grants officer positions to service their bureau's grants. (Action: DRL, in coordination with M/DGHR and A)*

In response, DRL approached the Bureau of Human Resources (DGHR) and the Bureau of Administration (A). Both agreed with the recommendation, and DGHR said it understood the grant officer issue. During OIG's 2003 compliance process, DRL reported that A would have to analyze the workload and its resources before determining how to proceed. If necessary, A said it would request additional personnel through the normal process. OIG closed the recommendation in December 2003 based on DRL's actions and the assumption that A would follow through with an appropriate number of personnel.

In May 2004, A bureau requested two additional grant officer positions in its FY 2006 Bureau Performance Plan (BPP) to accommodate expected DRL grant funding. Additionally, a contractor funded by DRL was added to A's grant staff to assist until the requested positions became available. Although DRL pointed out that two grant officers left A, resulting in a net decrease in grant analysts, the positions have been advertised and A is working to fill them. These actions clearly demonstrate that the A bureau is acting to increase its number of grant officers.

The recommendation is closed.

However, it is unclear how A determined the appropriate number of grant officers needed in the office. The A bureau does not dedicate grant analysts and officers to specific bureaus because bureau workloads fluctuate during the year. A sound workload analysis would therefore have encompassed the workloads of all other bureaus serviced by A. The A bureau did not analyze or attempt to anticipate other bureau workloads before submitting its BPP request. Furthermore, the A bureau does not query all serviced bureaus to determine if workload changes are anticipated, and serviced bureau representatives do not generally alert the A bureau to anticipated grant workload changes. The staff of the A bureau were not aware, for example, that OES funding (as reflected in the BPP) is expected to increase from \$50 million to \$73 million between FY 2005 and FY 2006.

The impetus for the A bureau's 2006 BPP request for two additional grant officer positions was OIG's 2003 DRL inspection report and the prodding of a conscientious DRL program officer, who provided the A bureau with his office's expected grant workload. Admittedly, neither the bureau nor A would be able to anticipate all congressionally appropriated grant funding. However, the A bureau should, at a minimum, query program officers within the serviced bureaus. (The A bureau conducts an advance acquisition-planning exercise of this nature to anticipate contract funding.) The intent of the original finding and recommendation will be satisfied once A conducts a sound workload analysis.

CFR Recommendation 1: The Bureau of Democracy, Human Rights, and Labor should request that the Bureau of Administration conduct a sound workload analysis to determine an appropriate number of grant officers and grant analysts. (Action: DRL, in coordination with A)

CFR Recommendation 2: The Bureau of Administration should develop formal procedures for querying serviced bureau representatives to determine if significant changes in grant funding and workload are anticipated or requested. The Bureau of Administration's Bureau Performance Plan requests should reflect the anticipated grant workloads of its serviced bureaus. (Action: A)

Program Evaluation

Recommendation 3: *The Bureau of Democracy, Human Rights, and Labor should provide cross training for programming and policy staff as deemed appropriate to ensure continuity of program monitoring and evaluation. It should also determine what additional staff is required for a more systematic monitoring and evaluation function and implement a plan for meeting that requirement. (Action: DRL, in coordination with M/DGHR)*

In response, DRL conducted five hours of crosstraining for programming and policy staff in November 2003 and provided refresher training in July 2004 and September 2004. Additionally, the DRL front office and the programming unit meet with each policy/grants officer at least quarterly to review, monitor, and evaluate grants administered by the Bureau and by the U.S. Agency for International Development on DRL's behalf. These actions satisfy the intent of the crosstraining portion of the recommendation.

DRL requested and received three additional full-time equivalent (FTE) positions for its programming unit, and two contractors have been hired to assist with Iraq- and Cuba-related projects. DRL has also requested additional staff in its FY 2006 and FY 2007 BPPs for its programming and policy units. These actions satisfy the intent of the staffing portion of the recommendation.

The recommendation is closed.

OFFICE OF STRATEGIC AND EXTERNAL AFFAIRS

Recommendation 4: *The Bureau of Democracy, Human Rights, and Labor should reorganize the structure of the Office of Strategic and External Affairs to improve efficiency and to clarify lines of authority and responsibility. In particular, the position of the senior adviser for strategic planning and external affairs should be abolished or reprogrammed, taking advantage of the incumbent's recent move to the position of senior coordinator for human rights and democracy. (Action: DRL)*

Recommendation 5: *The Bureau of Democracy, Human Rights, and Labor, in coordination with the Bureau of Human Resources, should review the three public diplomacy positions (Position numbers U-00410-00, U-00411-00, and S-86806-00) in the Office of Strategic and External Affairs to determine whether any or all should be reprogrammed as public affairs positions. (Action: DRL, in coordination with M/DGHR)*

The Office of Strategic and External Affairs reorganized key aspects of its public affairs and public diplomacy operations in compliance with Recommendations 4 and 5. The appointment of a new Schedule C (excepted service appointments of a confidential or policy nature) allowed the bureau to strengthen Office of Strategic and External Affairs leadership and improve interaction with the front office. Indeed, this was the specific charge to the new senior adviser from the incumbent Assistant Secretary. The earlier inspection report had recommended DRL reprogram the senior adviser position to establish the adviser as the true head of the office, with a Foreign Service officer formally designated as the deputy.

The new senior adviser clarified the lines of authority and responsibility to eliminate the vagueness noted in the earlier inspection report. The head of the office also reconfigured public diplomacy positions funded by the Under Secretary for Public Diplomacy and Public Affairs to ensure that these staff members carry out international public diplomacy activities warranting that entity's funding. The head of the office also clearly defined public affairs roles for other Office of

Strategic and External Affairs employees who are involved with DRL's domestic constituencies, per OIG's Recommendation 5. At the time of the CFR, the one public diplomacy officer on the Office of Strategic and External Affairs staff was preparing to retire, the other public diplomacy position was vacant, and the public affairs specialist position was vacant. Office of Strategic and External Affairs was recruiting to fill the positions and its BPP had requested an additional position for a public affairs officer.

Recommendations 4 and 5 are closed.

OFFICE OF COUNTRY REPORTS AND ASYLUM AFFAIRS

Recommendation 6: *The Bureau of Democracy, Human Rights, and Labor should ensure that the country reports and asylum office receives additional staff to process asylum cases and that these employees remain dedicated to this function throughout the year. (Action: DRL)*

The Office of Country Reports and Asylum Affairs (CRA) has received authorization to hire three additional when-actually-employed workers to process asylum cases. Two of the three newly hired employees work on asylum cases exclusively for the portion of the year that their when-actually-employed status allows them to work. The third newly hired employee works on asylum issues as well and assists the office in editing the annual Country Reports on Human Rights Practices. These steps satisfy the intent of the recommendation.

The recommendation is closed.

Recommendation 7: *The Office of the Legal Adviser should respond to the Bureau of Democracy, Human Rights, and Labor regarding options for handling Bureau of Citizenship and Immigration Services asylum applications and provide any needed assistance. (Action: L)*

The Office of the Legal Adviser quickly responded to this recommendation, providing DRL with language for a suggested change in the Code of Federal Regulations that would make it optional and not a regulatory requirement that the Bureau of Citizenship and Immigration Services (BCIS) refer all asylum petitions to the Department. An adviser from the Office of Human Rights and Refugees met with DRL and officials of BCIS, an office of the Department of Homeland Security, in early February 2005, to discuss these proposed changes.

BCIS officials recognized the great waste for both agencies involved in the bureau's sending upwards of 100,000 printed asylum petitions to the Department annually. The petitions largely went unread because DRL did not have staff to review even a portion of them. Bureau officials were also aware that, after being stored in DRL offices for what was often several months, the documents had to be destroyed by DRL with no action ever having been taken on them. Nevertheless, BCIS was reluctant to abandon the arrangement, which bureau officials seemed to believe provided some bureaucratic cover, were a petitioner representing a security risk to slip through the bureau's internal review procedures.

The Department and BCIS were thus unable at this meeting to reach any agreement on how to proceed, although DRL agreed to explore with the Bureau of Consular Affairs whether the Department could at least run the names of asylum petitioners against Bureau of Consular Affairs' visa watch lists. DRL has apparently not yet discussed this idea with the Bureau of Consular Affairs. In any event, the proposal appears to place an even greater burden on the Department and, thus, is an unlikely way to solve the problem. Nor has the Department held a follow-up meeting with BCIS to reinforce the message that a solution is needed. Not only is the arrangement wasteful, more importantly it leaves the Department potentially open to charges of negligence should an asylum petitioner be a security risk and fail to be identified through BCIS's internal review procedures.

OIG closed this recommendation during the compliance phase of the inspection when the Office of the Legal Adviser reported that it had provided DRL with the options called for in the recommendation. The underlying problem, however, has not been solved; indeed, it is essentially unchanged. It is a serious problem demanding further attention.

OIG has learned that the acting Assistant Secretary for DRL is considering raising the Department's concern with more senior officials at BCIS and the Department of Homeland Security. OIG strongly endorses this idea, which is expressed in the following new CFR recommendation:

CFR Recommendation 3: The Bureau of Democracy, Human Rights, and Labor, in coordination with the Office of the Legal Adviser, should raise to a higher level the ongoing discussions with officials at the Bureau of Citizenship and Immigration Services regarding a regulatory change in procedures for handling asylum applications. (Action: DRL, in coordination with L)

Recommendation 8: *The Bureau for Democracy, Human Rights, and Labor, in conjunction with other planned improvements to the asylum function, should develop a system to track asylum cases and prioritize the order in which they are processed. (Action: DRL)*

This recommendation was rendered moot by the decision to seek regulatory relief from the burden on DRL of BCIS asylum referrals, which is covered by the previous recommendation. The recommendation was closed on these grounds during the compliance phase.

Because the only way to solve this problem is to obtain regulatory relief, the notion of creating and maintaining a tracking system, which would draw on staffing resources DRL does not have, is beside the point.

The recommendation is closed.

OFFICE OF MULTILATERAL AFFAIRS

Recommendation 9: *The Bureau for Democracy, Human Rights, and Labor and the Bureau for International Organizations should clarify the respective roles of the two bureaus relating to the Department's responsibility for human rights and democracy issues in United Nations bodies. The two bureaus should create a process for defining responsibilities on issues of mutual concern and for developing options for senior policy makers to consider with a view to establishing long-term strategy for advancing human rights objectives in the multilateral forums. (Action: DRL and IO)*

During the compliance phase, DRL reported the steps it had taken, in coordination with the Bureau of International Organization Affairs, to clarify the roles of the two bureaus regarding the Department's responsibilities for human rights and democracy issues in United Nations bodies. These included regular weekly consultations between the principal deputy assistant secretaries (currently, the acting assistant secretaries) of the two bureaus and almost daily contact by DRL with the director of the Office of Social and Humanitarian affairs in the Bureau of International Organization Affairs.

Based on these changes, OIG closed the recommendation.

In the CFR, OIG confirmed that relations between the two bureaus on these issues had greatly improved and considerable progress had been made on better defining their respective responsibilities. Although much of the improvement is due to informal understandings and better personal relations among the principals,

OIG believes that current working practices, however informal, should continue to foster more effective cooperation between the bureaus for some time. This satisfies the recommendation.

The recommendation is closed.

OFFICE OF INTERNATIONAL LABOR AFFAIRS

Recommendation 10: *The Bureau of Democracy, Human Rights, and Labor should implement a plan to ensure the Office of International Labor Affairs and its portfolio are better integrated into the bureau and that the Office of International Labor Affairs resources are used effectively to achieve bureau goals and objectives. (Action: DRL)*

OIG closed this recommendation during the compliance process when DRL reported it had taken steps to integrate Office of International Labor Affairs (IL) into its operations. These include more frequent contact and exchange of views and information, periodic attendance of IL officers at DRL operational staff meetings and attendance by DRL front office staff at IL meetings, greater IL participation in DRL presentations at the Foreign Service Institute, IL representation on the committee to review nominations for the annual Award for Corporate Excellence and other grant committees, and closer collaboration with IL in all bureau activities.

In the CFR, OIG confirmed that these changes have been made and that other positive steps were taken to meet the recommendation's intent. In fact, the recommendation appears to have been exceptionally successful in helping better integrate IL in the bureau and in enabling the bureau to take better advantage of the background and skills of the IL staff. No further action is required.

The recommendation is closed.

Recommendation 11: *The Bureau of Democracy, Human Rights, and Labor should ensure that the Office of International Labor Affairs has a representative on the Human Rights and Democracy grants committee. (Action: DRL)*

DRL has added a representative from IL, either its director or the deputy, to the Human Rights and Democracy grants committee. This action satisfies the recommendation.

The recommendation is closed.

Recommendation 12: *The Bureau of Democracy, Human Rights, and Labor should redefine the role of the Office of International Labor Affairs economist and co-locate this position, the complementary finance and trade position in the Office of Multilateral Affairs, and the parts of the Office for the Promotion of Human Rights and Democracy that deal with the Leahy Amendment and Millennium Challenge Account issues, to the bureau office deemed most suitable to house these combined functions. (Action: DRL)*

In response, DRL initially agreed with the recommendation and indicated it would create a coordinating unit for the bureau's many legal mandates in the Office of Multilateral Affairs (MLA). The unit was to be staffed with one employee already in MLA, one employee transferred from the Office for the Promotion of Human Rights and Democracy (PHD) and, as its third staff member, an economist shifted from his position in IL. Based on this response, OIG closed the recommendation in March 2004.

The bureau, however, subsequently reconsidered and reversed course, abandoning the plan to create a coordinating office without informing OIG. During the CFR, DRL conveyed its current thinking on the matter in a memorandum to OIG that said:

The IL economist's duties have shifted during the past two years to focus fully on regional labor responsibilities, and he no longer has bureau-wide responsibilities. All four office positions in [MLA] have other responsibilities integral to their office's work in addition to those dealing with legal mandates. With regard to moving Leahy and MCA [the Millennium Challenge Account] out of PHD, the acting Assistant Secretary has proposed the creation of a new sub-unit within PHD to deal specifically with cross-cutting issues. The new global issues unit would assume leadership for MCA, AGOA [African Growth and Opportunity Act], S/CRS [Coordinator for Reconstruction and Stabilization], ACES [Abuse Case Evaluation System]/Leahy and other issues. We believe this new PHD unit should manage MCA and Leahy matters.

OIG understands the practical reasons why DRL might have decided against establishing a single coordinating unit for its estimated 90 legal mandates. The bureau has failed to make clear, however, whether it regards centralized coordination, or at least tracking, of mandates as necessary or desirable. OIG believes the proposed global issues unit would have oversight responsibility over many but not all of the mandates. MLA, for example, would continue to oversee mandates on arms sales, and IL would oversee mandates on labor rights.

A side issue is whether the list of current legal mandates compiled at great effort by the IL economist is considered a useful bureau tool and, if so, which office will maintain and use it in the future. The IL economist has been relieved of this task.

In short, OIG believes this matter needs further review before it can be considered settled. The original recommendation has been overtaken by events, however, and would in any event be closed by this CFR. In its place, OIG makes three new recommendations; the first two arising from the discussion above:

CFR Recommendation 4: The Bureau of Democracy, Human Rights, and Labor, in coordination with the Office of the Legal Adviser, should develop a comprehensive policy for handling the legal mandates for which the bureau is responsible, either through a central coordinating office or in a decentralized fashion. (Action: DRL, in coordination with L)

CFR Recommendation 5: The Bureau of Democracy, Human Rights, and Labor, in conjunction with actions recommended in the preceding recommendation, should determine whether it is useful to maintain its list of current legal mandates, and, if so, which office will be responsible for that task. (Action: DRL)

The third new recommendation addresses that part of the original Recommendation 12 dealing with the duties of the IL economist (GS-0110-14, position S8397100). The bureau's compliance response, quoted above, indicates that new regional responsibilities have been added to the economist's work requirements, even as he was relieved of bureau-wide responsibilities. The bureau has not drafted a new position description for the position, however, nor has the IL office director reached agreement with the economist on a new set of work requirements.

CFR Recommendation 6: The Bureau of Democracy, Human Rights, and Labor should prepare a new position description and work requirements statement for position S8397100 and submit the position description to the Bureau of Human Resources to have that position reclassified. (Action: DRL, in coordination with DGHR)

OFFICE OF INTERNATIONAL RELIGIOUS FREEDOM

Recommendation 13: *The Assistant Secretary for the Bureau of Democracy, Human Rights, and Labor and the Ambassador-at-Large for International Religious Freedom, in coordination with the Under Secretary for Global Affairs, should immediately resolve the impasse over the production of the 2003 Office of International Religious Freedom report. They should also agree on a plan for producing the annual report in 2004 and subsequent years, including the provision of adequate personnel resources and clearly delineated roles and responsibilities. (Action: DRL, in coordination with G)*

DRL quickly resolved the impasse over the production of the 2003 Office of International Religious Freedom (IRF) report. The CRA report-writing and editorial staff received responsibility for the report and released it on time in September 2003. The question of which office should be responsible for producing the IRF report in subsequent years provoked a longer discussion, with the bureau, in consultation with the deputy secretary and the Under Secretary for Global Affairs, reconsidering several times how the Department might best resolve the matter. (While these discussions continued, the CRA staff also had primary responsibility for the 2004 IRF report.)

In the end, IRF was made responsible for all editing and production of the report. This charge was, however, contingent on the Office of International Religious Freedom's receiving six FTE positions in FY 2004 and an understanding that the bureau would seek six additional FTE for the office in coming fiscal years. The Department, in fact, authorized six additional FTEs for IRF in FY 2004, but the office is still recruiting for those positions. Although only one of the positions has been filled, the Ambassador-at-Large for Religious Freedom, who heads the office, is confident that, by using interns or other temporary hires, the office can produce this year's IRF report in time for its scheduled release in September.

OIG closed the recommendation during the compliance process on the basis of the bureau's plans. Although the assignment of responsibility for the report and the plans for staffing it changed, the essential matter is resolved.

The recommendation is closed.

Recommendation 14: *The Bureau of Democracy, Human Rights, and Labor, in coordination with the Office of the Under Secretary for Global Affairs and the Office of the Under Secretary for Management, should reexamine the role and organizational status of the Ambassador-at-Large for International Religious Freedom and the Office of International Religious Freedom, with a view to finding a satisfactory and workable solution. (Action: DRL, in coordination with G and M)*

During the compliance process, DRL reported that it had examined the role and organizational status of the Ambassador-at-Large and his office, in coordination with the Office of the Under Secretary for Global Affairs and the Office of the Under Secretary for Management (DGHR). The bureau said the examination determined that “The Ambassador-at-Large for International Religious Freedom and the IRF office will continue to reside within DRL.” The bureau also made two other points, quoted below:

- DRL and IRF have taken steps to improve coordination and communication between the Ambassador-at-Large, the DRL front office and other offices in DRL engaged in human rights and religious freedom policy. The new clearance process DRL established in connection with Recommendation 1 [of the 2003 OIG report] helps to ensure that DRL officers coordinate and clear with IRF material affecting religious freedom.... Officers were also instructed to coordinate with IRF relevant clearances, travel and policy decisions relating to religious freedom.
- In the mid-to-late 1990’s, there were many independent offices created to support high priority, foreign policy issues that reported to the Secretary of State. In 1999, the Secretary decided to realign most of those independent offices with the functional or regional bureaus most closely associated with their policy functions. The Secretary considered and determined at that time [IRF] was most closely related to DRL. That determination remains the case today. Further, the Secretariat has a long-standing goal to avoid growth in both the reporting relationships to the Secretary and the increase in numbers of the Secretary’s staff. For example, those in offices supported by [Office of the Executive Secretary] are considered [Office of the Secretary] staff.

Based on this response, OIG closed the recommendation in December 2003.

For this CFR, DRL provided this statement:

A number of the coordination and communications issues that previously existed have been successfully addressed. In addition, the Deputy Secretary determined that the Ambassador-at-Large could send memos directly to the Secretary, and this policy has now been in place for nearly a year. DRL and DRL/IRF agree that there are still difficulties that arise from the current structure, which at some point in the future should be fundamentally addressed and resolved.

Front office personnel and the Ambassador-at-Large told OIG during the CFR that the bureau has indeed reached this consensus, which effectively but loosely defines the role of the Ambassador-at-Large in the Department and sets parameters for the work of IRF. It does not completely settle, however, the deeper issues

raised by the inspection. Relations between the Ambassador-at-Large and his office and the rest of DRL remain less than satisfactory. The Ambassador-at-Large rarely participates in bureau-wide activities, for example, which raises questions about policy coordination and the possible loss of operational synergies.

OIG is prepared to accept that the Department has reached a provisional solution to this problem that may be the most viable one available. Thus, OIG sees nothing to be gained by reopening the recommendation. OIG counseled the bureau's leadership, however, not forget that the concern had not been fully resolved. OIG urged the bureau to revisit the issue, perhaps six months to a year after the arrival of the new Assistant Secretary.

OIG will look closely at this matter again during the bureau's next inspection.

The recommendation is closed.

DIPLOMATIC READINESS

A) Human Resources Management and Morale

Recommendation 15: *The Bureau of Democracy, Human Rights, and Labor should ask the Bureau of Human Resources to conduct an oversight review of the management of its delegated personnel authorities to ensure that the human resources management program is in compliance with merit system principles and to determine whether the bureau should retain delegated personnel authorities (Action: DRL, in coordination with M/DGHR)*

As recommended in the September 2003 report (Recommendation 15), DGHR reviewed the Bureau of Democracy, Human Rights, and Labor's human resource functions, including those of the DRL/OES/EX. As a result of OIG's findings, DGHR suspended OES and DRL's delegated authority, effective May 16, 2004, and the A bureau absorbed the functions and staff from that office. For the CFR, OIG interviewed managers in the Bureau of Administration, Executive Office, Human Resources Division, and found substantial progress.

The recommendation is closed.

Recommendation 16: *The Bureau of Democracy, Human Rights, and Labor should develop and implement a formal orientation program for all new employees. (Action: DRL)*

The 2003 inspection found that there was no formal orientation program for new employees and recommended that DRL develop and implement one. During the CFR, OIG confirmed that the executive office had established new procedures that included pre-enrolling employees to attend the Civil Service orientation at the Foreign Service Institute within 90 days of employment. (Foreign Service employees attend orientation before their first assignment.) Additionally, DGHR recently developed and piloted during the CFR a more robust orientation program that included partnering new employees with a sponsor. DRL instituted a new bureau-specific orientation for all newcomers that includes policy briefings, a tour of DRL offices, familiarization with principal seventh-floor operations, and having lunch with the Under Secretary or Acting Under Secretary for Global Affairs.

The recommendation is closed.

Recommendation 17: *The Democracy, Human Rights, and Labor Bureau should establish a plan to make more positions in the bureau open to entry-level Foreign Service officers, and to encourage entry-level officers to bid on these positions. (Action: DRL)*

At the time of the inspection, there were no untenured FSOs in the bureau, which is unusual in light of the bureau's size and mix of staff. The absence of junior officers hinders the long-term process of training qualified personnel in this area.

During the CFR process, OIG found that the entry-level division of the Office of Career Development and Assignment no longer offers domestic positions to graduates of the A-100 course, partly because of intake and staffing issues in Iraq. The OES-DRL/EX reported that it is exploring other options, including the assignment of first- or second-tour junior officers who must remain in or return to the United States for exigent reasons. The OES-DRL/EX also reported that it requested DGHR consider assigning second-tour FS-04 and FS-03 officers regularly. However, OES-DRL/EX has not yet met with DGHR to discuss such options.

This recommendation is closed.

B) Office of Executive Director

Recommendation 18: *The Bureau of Democracy, Human Rights, and Labor should implement a plan and a memorandum of understanding with the Bureau of Oceans and International Environmental Scientific Affairs, in coordination with the office of the Under Secretary for Global Affairs, to create a separate Executive Office. (Action: DRL, in coordination with OES and G)*

Implementation of Recommendation 18 met Departmental resistance from the outset, and OIG has determined that compliance is impossible. Accordingly, OIG has closed the recommendation and is issuing three CFR recommendations to address current problems with the OES-DRL/EX.

The CFR found the Department's resource constraints in funding, space, and FTEs militate against the creation of a separate DRL/EX. Were DRL to have its own EX, it would need FTE positions other than those from the OES-DRL/EX. There is no support from the Under Secretary for Management, the Bureau of Resource Management, or DGHR for a separate DRL/EX. Because OES-DRL/EX administrative functions, in particular the human resources function, are on the mend, OIG believes the original recommendation should be modified to reflect the current state of its effectiveness and Department resource realities and rightsizing initiatives.

The 2003 inspection of DRL identified OES-DRL/EX's human resource division as the most dysfunctional part of that office. OES-DRL/EX considered creating a human resources (HR) section dedicated to DRL as a way to address that aspect of Recommendation 18. But, the DGHR review of OES-DRL's HR function resulted in severe restrictions on the HR division. OES-DRL/EX attempted to comply with the requirements of the review, but ultimately farmed out the HR function to A/EX, where it still resides.

A/EX has provided much needed attention and has received high marks from DGHR for its efforts. However, all but one of the original staff members have left the group. The reconstituted staff, which has benefited from extensive Foreign Service Institute training, should be well equipped to handle OES-DRL's HR requirement, were DGHR to decide to move the function back to OES-DRL/EX. At the same time, OES-DRL/EX has satisfactorily implemented OIG's formal and informal recommendations concerning the general services division, the information management division, and the financial management division.

The lack of EX accountability remains a real issue for DRL, as does the appearance of unequal levels of support. OES-DRL's EX has not yet created and adhered to basic – and transparent – administrative-performance standards; had it done so, the office could measure and report performance results to OES, DRL, and the Science and Technology Adviser to the Secretary (STAS). The OES-DRL/EX has not developed a mechanism or clearinghouse for assigning relative weights to the two bureaus' nonroutine administrative priorities nor has it tracked its progress on handling these priorities.

In addition, the performance evaluations of the OES-DRL/EX director and deputy director did not address performance for both bureaus and the STAS, nor did the evaluations draw on input from both bureaus and the STAS. OIG believes that OES and DRL should agree to designate one of the two EX positions – either the director or the deputy director – as a Civil Service position, to enhance continuity in the bureau and ensure longer-range support, leadership, and accountability. Finally, the existing schedule of separate meetings for the EX director with OES and DRL does not help ensure equity across the bureaus (or with the STAS) when priorities of the OES-DRL/EX clients compete for scarce resources. OIG believes a weekly meeting of both bureau’s principal deputy assistant secretaries and the deputy to STAS, with the EX director and deputy director, will ensure that service standards improve and all needs are met fairly.

CFR Recommendation 7: The Bureau of Democracy, Human Rights, and Labor, in coordination with the Bureau of Oceans and International Environmental and Scientific Affairs and the Bureau of Administration, should establish performance standards for administrative services in the executive office and develop a methodology for measuring the standards. (Action: DRL, in coordination with OES and A)

CFR Recommendation 8: The Bureau of Democracy, Human Rights, and Labor, in coordination with the Bureau of Oceans and International Environmental and Scientific Affairs and the Science and Technology Adviser to the Secretary, should institutionalize the rotation of the executive director’s evaluation between the two bureaus serviced and the collection of written input from both bureaus and the Science Adviser to the Secretary for placement in the executive director’s official performance file. (Action: DRL, in coordination with OES and STAS)

CFR Recommendation 9: The Bureau of Democracy, Human Rights, and Labor, in coordination with the Bureau of Oceans and International Environmental and Scientific Affairs and Office of Under Secretary for Global Affairs and the Director General for Human Resources, should designate either the director or deputy director of the executive office as a Civil Service position. (Action: DRL, in coordination with OES, G, and DGHR)

CFR Recommendation 10: The Bureau of Democracy, Human Rights, and Labor, in coordination with the Bureau of Oceans and International Environmental and Scientific Affairs and the Science and Technology Adviser to the Secretary, should initiate weekly meetings involving the principal deputy assistant secretaries, the deputy to the Science and Technology Adviser to the Secretary, and the executive director to discuss bureau and office priorities. (Action: DRL, in coordination with OES and STAS)

C) General Services Division

Recommendation 19: *The Bureau of Democracy, Human Rights, and Labor should complete and distribute standard operating procedures to all bureau personnel on telephone usage and on the assignment and use of cell phones. (Action: DRL)*

Recommendation 20: *The Bureau of Democracy, Human Rights, and Labor should establish written procedures for the assignment of cell phones and for reimbursement to the bureau for personal calls. The bureau should also routinely provide each office and all cell phone users with a print out of telephone charges to certify official calls. (Action: DRL)*

The OES-DRL/EX prepared and disseminated to employees in both bureaus the multiple standard operating procedures (SOP) and the memorandum of management policy called for by Recommendations 19 and 20. These documents and the implementation of procedures appropriately address the concerns identified by the earlier inspection.

According to the SOPs, DRL will forgive the costs of personal telephone calls made from the Department's landline telephones and cell phones if the monthly cumulative total of each is less than \$10. The Department requires bureaus to establish a cell phone-use policy that defines whether personal use is allowed and the limits for which personal use does not require employee reimbursement to the issuing agency (5 FAM 526.1). DRL may establish a cell phone policy that sets the requirement for reimbursement for personal use at \$10 per month, but, per 5 FAM 523.1, it must prohibit outright the personal use of Department telephones if such use incurs costs.

Recommendations 19 and 20 are closed. OIG issued a CFR informal recommendation on cell phone billing.

D) Information Management Division

Recommendation 21: *The Bureau of Democracy, Human Rights, and Labor should designate, in accordance with 12 FAM 662.1, an alternative information systems security officer to provide an adequate separation of duties. (Action: DRL)*

The bureau agreed with this recommendation and, in response, created and filled a new information technology (IT) specialist position, selecting a trained information systems security officer (ISSO) who is designated as ISSO and fulfills ISSO duties. An Information Management division staff member is trained and performs the alternate ISSO responsibilities.

This recommendation is closed.

E) Human Resources Division

Recommendation 22: *The Bureau of Democracy, Human Rights, and Labor should ask that the Bureau of Human Resources identify an experienced human resources management specialist to the Human Resources Division of the Executive Office to establish policies and procedures, to put systems in place, and to provide oversight and training to the division staff. (Action: DRL, in coordination with M/DGHR)*

The OES-DRL/EX requested an experienced HR specialist in October 2003. After conducting its review of the OES-DRL/EX HR Division in February 2004, DGHR determined that a more dramatic solution was required. Therefore, DGHR withdrew OES-DRL/EX's delegated authority for most personnel actions and imposed a rigorous retraining schedule for the HR staff. Believing this unworkable, the OES-DRL/EX asked DGHR to allow the A/EX HR Division to take over all OES-DRL/EX HR functions for an indeterminate period. To comply, the Director General of the Foreign Service, the Director of Human Resources, and the Assistant Secretary of A drew up a Memorandum of Understanding and, in October 2004, the six-member OES-DRL HR staff joined the A/EX staff in its Rosslyn, VA, offices. All but one of the original six HR staff members has since left the group. DGHR praised the A/EX effort and said it paid off. DGHR did not say when the HR function and delegation of authority would return to OES-DRL/EX.

The original recommendation requested that policies and procedures be established and implemented. Under the Memorandum of Understanding, DGHR, not A/EX's HR Division, committed to providing written policy and procedures. A/EX's HR Division has applied its own HR policies and procedures to DRL and OES but has not promulgated specific HR policies for DRL and OES.

In view of the major improvements in the delivery of HR services to OES and DRL, OIG considers that the actions taken thus far do meet the requirements of the 2003 inspection report.

This recommendation is closed.

F) Security

Recommendation 23: *The Bureau of Democracy, Human Rights, and Labor should reissue security procedures and guidelines clearly stating Department security policy and require all bureau personnel, including unit security officers, to take refresher security briefings to ensure compliance with security practices. (Action: DRL, in coordination with DS)*

DRL responded to the recommendation by reissuing security procedures and guidelines in October 2003 and has instituted regular security briefings. These actions clearly demonstrate DRL's compliance.

The recommendation is closed.

OIG found during the CFR, however, that the security guidelines were not made publicly available to all DRL employees through such means as DRL's web site. Additionally, although security guidelines addressing security container checks had been reissued, the principal unit security officer has not ensured that security container checks are performed. OIG is aware of at least one office where security container checks are not performed. OIG made informal CFR recommendations to address these concerns.

MANAGEMENT CONTROLS

A) Performance Evaluation

Recommendation 24: *The Bureau for Democracy, Human Rights, and Labor should, in accordance with 3 FAH-1 H-2815.1(a)(1) and 3 FAH-1 H-2823.1(b), ensure that work requirements statements for Foreign Service employees and performance plans for Civil Service employees are completed by the applicable due date. (Action: DRL)*

In response to recommendation 24, the A bureau's OES-DRL HR office prepared and disseminated notifications and reminders to OES and DRL management and rating officials responsible for completing employee performance appraisals. OES-DRL/EX, meanwhile, established a system to remind rating officials, upon an employee's arrival, that statements are due within 30 days and that the EX will then follow up with the employee and rater to ensure that this requirement is met. During the CFR, OES-DRL/EX completed a check-in sheet for supervisors

of new employees, reminding the supervisors to complete work Foreign Service requirements statements and Civil Service performance plans for the relevant new employees within 30 days.

This recommendation is closed.

B) Human Resources Management

Recommendation 25: *The Bureau for Democracy, Human Rights, and Labor should establish policies and procedures on human resources management programs. (Action: DRL, in coordination with M/DGHR)*

OIG closed this recommendation in December 2003, based on DRL's response that it was establishing such policies and procedures. During the CFR, OIG noted that the HR policies and procedures regarding leave administration, workday breaks, evening and weekend work, interoffice conflict, workplace violence, and professional development activities undertaken outside the Department have been issued and are published on the executive office's web site. DRL reported that additional HR policies and procedures regarding time- and attendance-keeping, performance evaluations and work requirements statements, and incentive awards will be developed by its new HR division in A/EX and will be issued soon. OIG finds the actions to be acceptable compliance with the recommendation.

The recommendation is closed.

C) Information Management Inventory

Recommendation 26: *The Bureau of Democracy, Human Rights, and Labor should, in accordance with 5 FAM 842.6, maintain an inventory of information technology equipment and conduct an annual inventory reconciliation of the recorded inventory to the physical inventory. (Action: DRL)*

During the CFR, OIG examined current inventory records and reviewed the Administrative Services Division's reconciliation procedures. OIG found that the inventory records were up to date and that Administrative Services Division had prepared the required annual reconciliation report.

This recommendation is closed.

STATUS OF INFORMAL RECOMMENDATIONS

OFFICE OF STRATEGIC AND EXTERNAL AFFAIRS

Informal Recommendation 1: *The Bureau of Democracy, Human Rights, and Labor should not renew the Schedule B appointment (S-85565-00), and if warranted, retain the incumbent as a consultant.*

STATUS: The Office of Strategic and External Affairs has confirmed that it has not and will not renew the Schedule B appointment and position S-85565-00 is off of the DRL staffing pattern.

Office of Country Reports and Country Asylum Affairs

Informal Recommendation 2: *The Bureau of Democracy, Human Rights, and Labor should explore the possibility of making country profiles available electronically as well as explore other means by which efficiency and effectiveness could be improved by taking advantage of technology.*

Informal Recommendation 3: *The Bureau of Democracy, Human Rights, and Labor should update country profiles and share with the Bureau of Population, Refugees and Migration (PRM) these drafts and other materials, such as memos on individual cases that may impact on the development of refugee policy and laws in the United States.*

STATUS: These two informal recommendations were incorrectly assigned for action in the September 2003 inspection report to the Office of International Labor Affairs (ILA), whereas the responsible office is actually CRA.

Perhaps because of this mistake, DRL has been slow to take action on the recommendations. During the CFR, however, CRA advised OIG that it had contacted OES/DRL/IT to explore the possibility of making country profiles available electronically, the first step of which is creating a “mechanism to transfer asylum profile updates from the classified to the unclassified system.” CRA reports that OES/DRL/IT has “yet to act on this request although CRA intends to follow

up.” Once the profiles are accessible on the unclassified system, CRA says it will begin to send them electronically to Department of Homeland Security officials and, although CRA does not say so, to the Department of Justice (Justice) as well. CRA now sends copies of the profiles to Justice immigration judges and, occasionally, to Department of Homeland Security exclusively by mail or via a private delivery service. According to CRA, “the new procedure will be beneficial and less time-consuming for all concerned. In addition, once the asylum profiles are accessible on the unclassified system, it will be more convenient to share them with PRM [and] confer with [PRM] during the drafting process.”

OIG discussed the two recommendations with the new director of CRA, who raised practical objections to both.

Concerning informal Recommendation 2, the director said it would require CRA staff time to edit the profiles, which are considered Sensitive But Unclassified, and would also require considerable on-going IT support to move the profiles from the classified local area network, where they reside, to an unclassified network, from which they could be emailed via the Internet to Justice. (Although the CRA response to Informal Recommendation 2, noted above, mentions sending the profiles electronically to the Department of Homeland Security, the director’s response to this recommendation indicates the profiles will be made available online to Justice.) In any event, the current procedure remains in place. The procedure involves CRA providing copies of any profiles it sends to Justice exclusively by mail or private delivery service.

Concerning Informal Recommendation 3, the CRA director argued that PRM, which is also in the building named State Annex 1, was already receiving from DRL printed versions of the documents cited by OIG and, that if there was any other documentation PRM required, CRA would be happy to also provide it in hard copy. Doing so, the director said, would be easier than attempting to set up and maintain an electronic interface between the two offices for exchanging material.

STATUS: OIG was persuaded by these objections and considers the needed action to have been completed on Informal Recommendations 2 and 3.

EXECUTIVE OFFICE

Human Resources Division

Informal Recommendation 4: *The Bureau of Democracy, Human Rights, and Labor should enroll the human resources specialists in the module on American personnel of the Human Resources course at the Foreign Service Institute. Because of performance problems, the HR supervisor denied the upward mobility promotion of the HR assistant that supports the DRL bureau.*

Informal Recommendation 5: *The Bureau of Democracy, Human Rights, and Labor should develop a six-month performance plan to encourage the human resources employee denied promotion to improve performance to meet the promotion requirements for the next grade level.*

STATUS: The recommendation was rendered moot when the subject employee left DRL-OES/EX.

The recommendation is closed.

Informal Recommendation 6: *The Bureau of Democracy, Human Rights, and Labor should implement a routine maintenance review of all position descriptions in accordance with 3 FAM 2638.2.*

STATUS: Although a routine maintenance review of all position descriptions has not yet been set up, a contract position-classifier was hired in late 2004 to update all DRL positions descriptions. Once this process is completed, DRL plans to institute a regular review of the position descriptions. DRL has, therefore, met the intent of the recommendation.

The recommendation is closed.

Informal Recommendation 7: *The Bureau of Democracy, Human Rights, and Labor should issue standard operating procedures on time and attendance to ensure strict adherence to management control standards and to submit an accurate report.*

STATUS: DRL-OES/EX issued SOPs regarding leave administration and workday breaks in 2004. However, it has not drafted detailed SOPs for timekeepers and managers regarding timekeeping responsibilities and procedures nor has it completed action on this informal recommendation.

Financial Management Division

Informal Recommendation 8: *The Bureau of Democracy, Human Rights, and Labor should develop a six-month performance plan for the financial management employee that was denied promotion to encourage the employee to improve performance to meet the promotion requirements for the next grade level.*

The DRL-OES/EX has not developed a performance plan for the subject employee. The employee's division was transferred from the Financial Management Division to the Administrative Support Division in early 2005 and the new supervisor had not yet decided whether a performance plan was necessary. The CFR found that the employee continues to have performance problems.

OES-DRL/EX has not completed action on this informal recommendation.

Informal Recommendation 9: *The Bureau of Democracy, Human Rights, and Labor should consider establishing a third, fully qualified travel assistant position to meet the heavy workload demand.*

STATUS: OES-DRL/EX discussed establishing a third travel assistant position but was not hopeful that it would obtain an additional FTE. However, OES-DRL/EX recently made changes that may eliminate the need for a third position. The travel function was recently transferred from the Financial Management Division to the Administrative Services Division. During the transition, one of the two travel assistants was freed of several collateral duties competing for her attention. Additionally, the Administrative Services Division recently hosted a training session for bureau representatives to reduce the number of errors entered into the travel program. Although the Administrative Services Division is also considering taking over the function entirely from employees outside the EX, OIG suggested that this only occur as a last resort. Based on the transfer and realignment of responsibilities, OIG considers the recommendation closed.

Informal Recommendation 10: *The Bureau of Democracy, Human Rights, and Labor should strengthen and reissue the standard operating procedures on travel.*

STATUS: The OES-DRL/EX prepared and disseminated multiple SOPs to strengthen the travel function. It also advised travelers of their responsibilities for preparation of travel orders and vouchers, on use of travel cards, and on the rules governing business class travel, rest stops, and qualifications for actual subsistence. These SOPs may need revision because the Administrative Services Division took over responsibility for travel management from the Financial Management Division.

Informal Recommendation 11: *The Bureau of Democracy, Human Rights, and Labor financial management division should stop the “wish list” policy and adhere to an end-of-year procurement policy in accordance with 6 FAM 1224.*

STATUS: During the CFR, OIG determined that OES-DRL/EX properly manages its expenditures. At the beginning of a fiscal year, OES and DRL prioritize their requirements. As there generally are insufficient funds to cover all requirements, OES-DRL/EX tracks unfunded requests. These requests are prioritized for possible end-of-year action. If funding becomes available, these requests are processed. The budget and procurement processes are connected and worked on throughout the year. OIG considers this matter closed.

General Services Division

Informal Recommendation 12: *The Bureau of Democracy, Human Rights, and Labor secretaries and staff assistants should follow established standard operating procedures when ordering equipment and supplies.*

STATUS: OES-DRL/EX prepared and disseminated an SOP on procurement procedures and a work order request form. The SOP requires submission of all purchase requests via a work order that has been approved by a supervisor. The head of Administrative Services Division is satisfied that the staff meets the requirements for submitting purchase requests. OIG considers this issue closed.

Informal Recommendation 13: *The Bureau of Democracy, Human Rights, and Labor should update and revise the work requirements of the general services division secretary to include the receiving clerk duties.*

STATUS: OES-DRL/EX assigned the duties of the receiving clerk to another employee in the office. This issue is closed.

Informal Recommendation 14: *The Bureau of Democracy, Human Rights, and Labor should update, revise and develop an electronic receiving worksheet for the nonexpandable property form to be used as a tool for inventory accountability or use standard Department receiving forms.*

STATUS: The General Services Division now controls nonexpendable property in accordance with accepted Department standards and uses Form DS-1955, Receiving Worksheet For Nonexpendable Property, to record receipts of nonexpendable property. The division enters property into the Non-Expendable Property Application and uses optical scanners to conduct inventories. OIG considers this matter closed.

Informal Recommendation 15: *The Bureau of Democracy, Human Rights, and Labor should implement more effective procedures for property records, property disposal records, property transfers, and inventory reconciliation.*

STATUS: The General Services Division strengthened controls over nonexpendable property and requires a paper trail for applicable property from its receipt through disposal. The division still needs to write SOPs in accordance with Department guidelines.

OES-DRL/EX has not completed action on this informal recommendation.

Information Management Division

Informal Recommendation 16: *The Bureau of Democracy, Human Rights, and Labor should maintain an inventory of tapes and disks and conduct an annual reconciliation.*

Informal Recommendation 17: *The Bureau of Democracy, Human Rights, and Labor should finalize and approve the standard operating procedures for the information management division and make them available to all bureau staff and end users.*

Informal Recommendation 18: *The Bureau of Democracy, Human Rights, and Labor should ask the Department to maintain adequate room temperature in the computer equipment storage rooms, as described in 5 FAM 842.1.*

Informal Recommendation 19: *The Bureau of Democracy, Human Rights, and Labor should properly label as excess all computer equipment for property disposal following guidelines in 6 FAM 237.*

Informal Recommendation 20: *The Bureau of Democracy, Human Rights, and Labor should conduct regular inventory and reconciliation of all sensitive or easily stolen items.*

STATUS: The five informal information management recommendations generally dealt with administrative matters, such as maintaining current inventory records and backup files, developing standard information management operating procedures, disposing properly of excess equipment, and controlling the use of portable items such as laptop computers and cameras. The bureau agreed with the five recommendations, and they were all closed after the report was issued.

The CFR examined compliance actions then in effect and found they satisfied OIG's intent. For example, comprehensive information management SOPs had been completed and are available on the bureau's web site, the check-out proce-

dures for portable items have been improved, and guidelines have been formalized for the disposal of excess property.

Accordingly, OIG considers the Information Management division's compliance to have met the intent of the recommendations and considers the issues in Informal Recommendations 16 through 20 closed.

Equal Employment Opportunity

Informal Recommendation 21: *The Bureau of Democracy, Human Rights, and Labor should publicize the names of the designated equal employment opportunity counselors along with basic procedures on filing and processing equal employment opportunity complaints.*

DL-OES/EX has not yet complied with this recommendation.

CFR FORMAL RECOMMENDATIONS

CFR Recommendation 1: The Bureau of Democracy, Human Rights, and Labor should request that the Bureau of Administration conduct a sound workload analysis to determine an appropriate number of grant officers and grant analysts. (Action: DRL, in coordination with A)

CFR Recommendation 2: The Bureau of Administration should develop formal procedures for querying serviced bureau representatives to determine if significant changes in grant funding and workload are anticipated or requested. The Bureau of Administration's Bureau Performance Plan requests should reflect the anticipated grant workloads of its serviced bureaus. (Action: A)

CFR Recommendation 3: The Bureau of Democracy, Human Rights, and Labor, in coordination with the Office of the Legal Adviser, should raise to a higher level the ongoing discussions with officials at the Bureau of Citizenship and Immigration Services regarding a regulatory change in procedures for handling asylum applications. (Action: DRL, in coordination with L)

CFR Recommendation 4: The Bureau of Democracy, Human Rights, and Labor, in coordination with the Office of the Legal Adviser, should develop a comprehensive policy for handling the legal mandates for which the bureau is responsible, either through a central coordinating office or in a decentralized fashion. (Action: DRL, in coordination with L)

CFR Recommendation 5: The Bureau of Democracy, Human Rights, and Labor, in conjunction with actions recommended in the preceding recommendation, should determine whether it is useful to maintain its list of current legal mandates and, if so, which office, will be responsible for that task. (Action: DRL)

CFR Recommendation 6: The Bureau of Democracy, Human Rights, and Labor should prepare a new position description and work requirements statement for position S8397100 and submit the position description to the Bureau of Human Resources to have that position reclassified. (Action: DRL, in coordination with DGHR)

CFR Recommendation 7: The Bureau of Democracy, Human Rights, and Labor, in coordination with the Bureau of Oceans and International Environmental and Scientific Affairs and the Bureau of Administration, should establish performance standards for administrative services in the executive office and develop a methodology for measuring the standards. (Action: DRL, in coordination with OES and A)

CFR Recommendation 8: The Bureau of Democracy, Human Rights, and Labor, in coordination with the Bureau of Oceans and International Environmental and Scientific Affairs and the Science and Technology Adviser to the Secretary, should institutionalize the rotation of the executive director's evaluation between the two bureaus serviced and the collection of written input from both bureaus and the Science Adviser to the Secretary for placement in the executive director's official performance file. (Action: DRL, in coordination with OES and STAS)

CFR Recommendation 9: The Bureau of Democracy, Human Rights, and Labor, in coordination with the Bureau of Oceans and International Environmental and Scientific Affairs and Office of the Under Secretary for Global Affairs and the Director General for Human Resources, should designate either the director or deputy director of the executive office as a Civil Service position. (Action: DRL, in coordination with OES, G, and DGHR)

CFR Recommendation 10: The Bureau of Democracy, Human Rights, and Labor, in coordination with the Bureau of Oceans and International Environmental and Scientific Affairs and the Science and Technology Adviser to the Secretary, should initiate weekly meetings involving the principal deputy assistant secretaries, the deputy to the Science and Technology Adviser to the Secretary, and the executive director to discuss bureau and office priorities. (Action: DRL, in coordination with OES and STAS)

CFR INFORMAL RECOMMENDATIONS

Informal recommendations cover operational matters that do not require action by organizations other than the inspected unit and/or its parent regional bureau. Informal recommendations are not subject to the OIG compliance process, but any subsequent OIG inspection or on-site compliance review will assess the mission's progress in implementing them.

General Services Division

DRL forgives the costs associated with personal telephone and cell phone use if the monthly cumulative total of each is less than \$10. This policy does not meet the Department's requirements on reimbursement for personal use of Department telephones.

CFR Informal Recommendation 1: The Bureau of Democracy, Human Rights, and Labor should redraft its policy on employees' personal use of telephones and cell phones to meet the requirements of 5 FAM 523.1 and 5 FAM 526.1.

Security

Although DRL developed and reissued security guidelines, the guidelines are not publicly available to all DRL employees through such means as DRL's web site. Additionally, although security guidelines addressing security container checks were reissued, the principal unit security officer has not ensured that security container checks are actually performed. OIG is aware of at least one office where security container checks are not performed.

CFR Informal Recommendation 2: The Bureau of Democracy, Human Rights, and Labor should make security procedures and guidelines available to DRL employees publicly through such means as on its website.

CFR Informal Recommendation 3: The Bureau of Democracy, Human Rights, and Labor should initiate regular reviews of offices' performance of security container checks.

CFR Informal Recommendation 4: The Bureau of Democracy, Human Rights, and Labor should ensure that the principal unit security officer's performance plan reflects principal unit security officer responsibilities, including the responsibility to oversee offices' performance of security container checks.

CFR Informal Recommendation 5: The Bureau of Democracy, Human Rights, and Labor should consider assigning principal unit security office responsibilities to an employee graded at the GS-14 or equivalent level or higher.

PRINCIPAL OFFICIALS

Assistant Secretary (Acting)	Glyn T. Davies	5/05
Principal Deputy Assistant Secretary (Acting)	Gretchen Ann Birkle	5/05
Deputy Assistant Secretary	Vacant	
Special Coordinator for Democracy and Human Rights	Gretchen Ann Birkle	6/04
Ambassador at Large for International Religious Freedom	John V. Hanford, III	5/02
Office Director for International Religious Freedom	Stephen M. Liston	6/05
Special Adviser for Strategic Planning and External Affairs	David Denehy	11/04
Office Director for International Labor Affairs	Patrick Del Vecchio	7/05
Office Director for Promotion of Human Rights and Democracy	Oscar DeSoto	8/04
Office Director for Multilateral Affairs	Julieta Noyes	6/05
Office Director for Country Reports and Asylum Affairs	Nadia Tongour	9/04
Executive Director for Office of the Executive Director (OES-DRL/EX)	Roy E. Chavera	8/03

ABBREVIATIONS

A	Bureau of Administration
BCIS	Bureau of Citizenship and Immigration Services
BPP	Bureau Performance Plan
CFR	Compliance Follow-Up Review
CRA	Office of Country Reports and Asylum Affairs
DRL	Bureau of Democracy, Human Rights, and Labor
EX	Executive Office
FTE	Full-time equivalent
G	Under Secretary for Global Affairs
HR	Human resources
IL	Office of International Labor Affairs
IRF	Office of International Religious Freedom
IT	Information technology
ISSO	Information systems security officer
Justice	Department of Justice
DGHR	Bureau of Human Resources
MLA	Office of Multilateral Affairs
OES	Bureau of Oceans and International Environmental and Scientific Affairs
OIG	Office of Inspector General
PHD	Office for the Promotion of Human Rights and Democracy
SOP	Standard operating procedure
STAS	Science and Technology Adviser to the Secretary