

U.S. Department of State  
and the  
Broadcasting Board of  
Governors



Role and Mission  
of the Office of  
Inspector General

# FOREWORD

As Inspector General for the Department of State (Department) and the Broadcasting Board of Governors (BBG), I have three main responsibilities.

First, I and my staff are to inspect each of the approximately 260 embassies, other diplomatic posts, and international broadcasting installations throughout the world, as well as the various bureaus and offices of the Department and the BBG in Washington, at least once every five years. In doing so, we review Department and BBG operations and activities to determine whether policy goals are being achieved and whether the interests of the United States are being represented and advanced effectively. We also perform specialized inspections (and audits) in support of the Department's mission to provide effective protection to our personnel, facilities, and sensitive intelligence information.

Second, we audit Department and BBG operations and activities to ensure that they are, to the maximum extent possible, effective, efficient, and economical. And, we ferret out instances of fraud, waste, and mismanagement.

Third, we investigate those instances of fraud, waste, and mismanagement that may constitute either criminal or civil wrongdoing or a violation of administrative regulations. Those instances involving criminal or civil wrongdoing are referred to the Department of Justice for prosecution, and those involving internal violations are referred to the Department or BBG for administrative discipline.

The Inspector General is appointed by the President and confirmed by the Senate. I report to the Secretary of State, the BBG, and the Congress, keeping them fully and promptly advised of significant developments.

The law requires the Inspector General to be an independent and objective overseer and “watchdog” with respect to Department and BBG operations and activities. I am to examine, evaluate and, where necessary, critique these operations and activities, recommending ways for these agencies to carry out their respective responsibilities in the most effective, efficient, and economical manner possible.

For more information about the Office of Inspector General (OIG), please visit the OIG website, <http://oig.state.gov>. I welcome your comments and questions about our website and our work. And, I invite you to report to us any allegations of fraud, waste, abuse, and mismanagement regarding the Department or the BBG by contacting the OIG Hotline at 1-800-409-9926.

**Clark Kent Ervin**  
**Inspector General**

# OIG VISION AND MISSION

## VISION

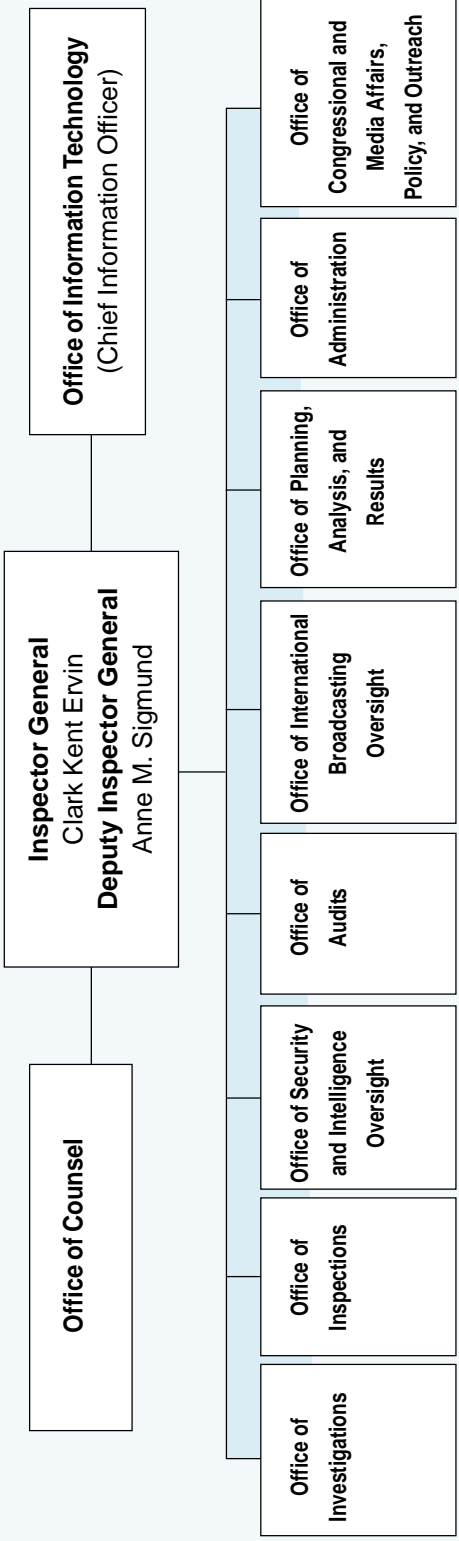
To support the Department of State and the Broadcasting Board of Governors in achieving their mission as effectively, efficiently and economically as possible.

## MISSION

The mission of the Office of Inspector General is to serve as an independent, objective reviewer and evaluator of the operations and activities of the U.S. Department of State and the Broadcasting Board of Governors. We analyze those operations and activities with a view toward promoting effectiveness, efficiency, and economy. We seek out instances of fraud, waste, and mismanagement, and we work to prevent them. We report to the Secretary of State, the Broadcasting Board of Governors, and the Congress, keeping them fully and promptly informed of significant developments and serious concerns.



## Office of Inspector General Organization Chart





# OFFICE OF SECURITY AND INTELLIGENCE OVERSIGHT

## MISSION

The Office of Security and Intelligence Oversight evaluates the Department's and the BBG's efforts to protect the people, information, and facilities under their care. In doing so, we help to ensure that U.S. diplomatic missions at home and abroad are afforded reasonable protection against espionage, technical attack, terrorism, civil unrest, and crime, and that ambassadors fulfill their responsibilities for overseeing intelligence operations at posts under their authority.

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The Office of Security and Intelligence Oversight (SIO) conducts an integrated audit and inspection program to evaluate security and intelligence policies, standards, and programs. Security and Intelligence oversight audits examine the management and administration of security and intelligence programs to determine the systemic cause of problems, evaluate the adequacy of internal controls, and identify ways to enhance the security of OIG's clients.

The SIO inspection program supports the Secretary of State's statutory responsibility for security of U. S. personnel, property and information abroad. These inspections are designed to:

- Evaluate the implementation of security standards at posts abroad;



- Assess the ability of posts to respond to threats from terrorism, mob or other physical intrusion, intelligence penetration, and crime;
- Bring significant deficiencies to attention of senior management;
- Review Department aspects of programs and functions involving components of the intelligence community and identify key areas of concern in the review of intelligence oversight and coordination by chiefs of mission; and
- Recommend actions to correct identified deficiencies.

Posts may be subjected to periodic follow-up reviews to ensure that previously identified security and intelligence deficiencies have been corrected. These reviews also serve as a quality assurance mechanism to ensure that OIG products are of high quality. Follow-up reviews are conducted at approximately 25 percent of inspected posts. The Intelligence Oversight Division works closely with the Office of Inspections to strengthen the intelligence oversight evaluation process at U. S. missions abroad and with the intelligence community Inspectors General to review intelligence related issues of mutual interest.

# OFFICE OF INSPECTIONS

## MISSION

The Office of Inspections provides the Secretary of State and Congress with systematic and independent evaluations of the operations of the Department, its posts abroad, and related activities. OIG inspects each overseas post and domestic bureau on a five-year cycle.

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Inspections cover three broad areas as set forth in the Foreign Service Act of 1980:

**Policy Implementation:** whether policy goals and objectives are being effectively achieved; whether post operations are in consonance with the foreign policy of the United States; whether U. S. interests are being accurately and effectively represented; and whether all elements of an office or mission are being adequately coordinated.

**Resource Management:** whether resources are being used and managed with maximum efficiency, effectiveness, and economy, and whether financial transactions and accounts are properly conducted, maintained, and reported.

**Management Controls:** whether the administration of activities and operations meets the requirements of applicable laws and regulations; whether internal management controls have been instituted to ensure quality of performance and reduce the likelihood of mismanagement; whether instances of

fraud, waste, or abuse exist; and whether adequate steps for detection, correction and prevention of fraud, waste, or abuse have been taken.

The Office of Inspections conducts follow-up reviews on approximately 15-20 percent of overseas posts, and domestic bureaus inspected. These reviews occur from nine months to two years after an inspection and are designed to revisit key issues to ensure implementation of recommendations and provide quality control of the inspection process.

OIG will use the results of these inspections, in coordination with the work of other OIG offices, to address systemic deficiencies and identify remedies, and to conduct thematic reviews of Department and BBG programs.

# OFFICE OF AUDITS

## MISSION

The Office of Audits is committed to improving the management and conduct of programs and activities by providing its customers with timely, balanced, and credible independent evaluations and financial audits that identify systemic problems and recommend constructive solutions.

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The Office of Audits conducts and coordinates audits and program evaluations of the management and financial operations of the Department and the BBG. Audits examine the methods employed by agencies, bureaus, overseas posts, and contractors in carrying out essential programs or activities. They are used to evaluate whether established goals and objectives are achieved and resources are used economically and efficiently; to assess whether intended and realized results are consistent with laws, regulations and good business practice; and to test financial accountability and the reliability of financial statements. An audit is a management tool that recommends a course of action upon which management may progress to accomplish its goals and objectives in a more efficient and effective manner. The Office of Audits provides auditing services that reflect the diversity of responsibilities in the foreign affairs community including financial management;

contracts and grants; property management, procurement and departmental support activities, human resources; and other international programs and activities.

# OFFICE OF INVESTIGATIONS

## MISSION

The Office of Investigations is committed to addressing allegations of fraud, waste, abuse and mismanagement in an independent, objective and fair manner, conducting criminal, civil and administrative investigations affecting programs and operations, and assisting the Department and the BBG in preventing, as well as detecting, fraud.

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The Office of Investigations conducts investigations of criminal, civil, and administrative misconduct related to Department and BBG programs and operations. Investigations examine specific allegations, reports, or other information indicating possible violations of law or regulation.

Those believed to be violating federal statutes are referred to the Department of Justice for prosecution. Administrative violations can also be referred to the Department's Bureau of Human Resources, Bureau of Resource Management, and sometimes to the Bureau of Diplomatic Security for appropriate action. The office also maintains the OIG Hotline, a confidential channel for complaints about violations of law or regulation, gross waste of funds, abuse of authority, or a substantial and specific danger to public health and safety. Further information on the Hotline can be found on OIG's websites (Internet: **oig.state.gov**, or intranet: **oigweb.state.gov**).

The Inspector General is charged with fraud prevention as well as fraud detection. Toward this end, the Office of Investigations issues Fraud Alert Bulletins and Management Implication Reports. Fraud Alert Bulletins are issued to managers when an investigation identifies a systemic weakness that has an impact on all Department or BBG bureaus or offices. Management Implication Reports are issued when a systemic weakness is identified in a bureau-specific program or operation. It is sent directly to the affected bureau or office with recommendations for corrective action.

# OFFICE OF THE CHIEF INFORMATION OFFICER

## MISSION

The Office of the Chief information Officer (CIO) has a dual mission: conducting evaluations of the Department's information management and information security program, and managing the OIG's internal IT operations. To support this mission, the CIO's Office has two main components: IT evaluations and IT operations, as explained below.

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## IT EVALUATIONS

The IT evaluations section is comprised of three divisions—Information Security, Information Management, and Global Information Technology, as follows:

**Information Security:** This division addresses issues related to the Department's efforts to protect its global information technology infrastructure. It includes reviews of the Department's compliance with the Government Information Security Reform Act and other related statutes (including post information security inspections), and issues concerning the threat from information warfare.

**Information Management:** This division reviews issues related to the cost effective acquisition, development, implementation, and management of



major IT systems, telecommunications networks, and other technologies across the Department. This area also includes reviews of the Department's compliance with IT-related statutes, including Clinger-Cohen, and the Government Paperwork Elimination Act.

Global Information Technology: This division includes issues that do not easily fit in the other two categories. For example, this includes looking at emerging technologies to see how they can be incorporated into the Department's global structure, data sharing between the Department and other agencies, and new IT concepts, such as "knowledge management."

## IT OPERATIONS

The IT operations section provides both classified and unclassified information system support to all OIG offices. This includes LAN management and software applications support, hardware acquisition and maintenance, telecommunications support, help desk, security monitoring, and other related IT activities. IT Operations also conducts long term planning to ensure that OIG IT systems are kept up to date in terms of available technology, and to ensure user needs are met.

# OFFICE OF ADMINISTRATION

## MISSION

The Office of Administration is committed to providing timely, accurate and comprehensive administrative support to the Office of the Inspector General.

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OIG/Administration provides administrative support services, including financial and human resource management, to the Office of the Inspector General.



# OFFICE OF PLANNING, ANALYSIS, AND RESULTS

## MISSION

The Office of Planning, Analysis and Results (PAR) is committed to promoting OIG operational effectiveness and efficiency by providing the Inspector General and other senior OIG management with reliable and timely advice, analysis, and expertise involving strategic planning, work process streamlining, performance measurement and results, and resolution and implementation of recommendations to improve Department and BBG programs and operations.

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The Office of Planning, Analysis, and Results, (PAR) proposes and establishes results-oriented goals and strategies to provide a conceptual planning framework for identifying OIG work and activities that support priorities of the Inspector General, the Secretary, the Board of Governors, and Congress, and that achieve desired results. PAR formulates the OIG strategic plan, annual performance plans, and annual workplan; advises the Inspector General and OIG executive staff as to the execution of these plans to ensure measurable results; and analyzes and reports on the success of OIG programs and activities in meeting goals and achieving desired results. PAR planning activities are directed toward ensuring that the OIG has effective, efficient, and integrated strategic, performance, and annual work

planning processes that fill organizational needs and meet all legislative and practical management requirements. PAR analytical activities are intended to facilitate and improve the coordination, integration, and relevancy of OIG plans and projects, and to ensure that OIG has a comprehensive, accurate, and current database of OIG recommendations and their status. PAR also serves as the focal point/ liaison between OIG and bureau representatives on general issues relating to OIG recommendations.

# CONGRESSIONAL AND MEDIA AFFAIRS, POLICY, AND OUTREACH

## MISSION

The Office of Congressional and Media Affairs, Policy, and Outreach (CPO) is committed to helping the Inspector General fulfill his responsibility to Congress and serve its need for evaluation of Department and BBG activities. CPO also works to inform the media and the general public of the work of OIG.

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CPO facilitates OIG's interaction with the Congress in support of the Inspector General's mandate to keep the Congress fully and currently informed as to the effectiveness, efficiency and economy of Department and BBG programs and operations. In accordance with the Inspector General Act, CPO also coordinates the OIG's review of existing and proposed policies and legislation. CPO oversees preparation of congressional testimony, identifies opportunities for congressional briefings, and keeps the OIG staff current on congressional activities, priorities, and legislation. CPO's media relations activity ensures that OIG is accurately and appropriately represented in the media and that information is disclosed in a manner consistent with the requirements of the Freedom of Information Act and the Privacy Act.

CPO oversees the processing and production of all OIG products as well as their distribution to key audiences and is responsible for general outreach activities. Outreach responsibilities include:

Website: CPO designed and maintains the OIG websites on the Internet and both the classified and unclassified Intranet systems.

Training: CPO assists members of OIG Executive Staff in the preparation and presentation of various training and other outreach activities to selected audiences throughout the year, such as Ambassadorial Seminars and training at the Foreign Service Institute for new Foreign Service and Civil Service employees.

# OFFICE OF INTERNATIONAL BROADCASTING OVERSIGHT

## MISSION

The Office of International Broadcasting Oversight (IBO) conducts and coordinates audits, program evaluations, and special reviews to ensure that the Broadcasting Board of Governors (BBG) effectively, efficiently, and economically discharges its responsibilities for promoting the free flow of information worldwide in support of U.S. national interests.

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Separate from its responsibility for overseeing Department programs, OIG is charged with oversight of all U.S. non-military international broadcasting activities under BBG, which was established by the U.S. International Broadcasting Act of 1994 (PL 103-236, Title III). A particular focus of IBO is on the activities of the BBG broadcasting services, including the Voice of America, Radio and TV Marti of the Office of Cuba Broadcasting, WorldNet Television, Radio Sawa of the Middle East Radio Network, and grantee broadcast entities Radio Free Europe/Radio Liberty (which includes Radio Free Iraq and Radio Free Afghanistan) and Radio Free Asia.

The overseas work of IBO involves the operations of BBG's worldwide network of radio transmitting stations, marketing and program placement offices working with approximately 2000 broadcast



affiliate stations, and news bureaus. IBO also monitors or participates in the work of other OIG operational offices on BBG issues to ensure effective implementation of OIG's oversight of BBG programs.

BBG has been an independent entity since October 1, 1999, when the U.S. Information Agency, of which it was formerly a part, was consolidated with the Department as a result of the Foreign Affairs Reform and Restructuring Act of 1998. Statutes and interagency agreements nevertheless link BBG with the Department at the BBG board level where the Secretary or his designate serve as a voting member with regard to foreign policy guidance, approving editorials of U.S. policy, and logistical support overseas. For these reasons IBO also works with the Department as an integral part of the process of providing oversight of international broadcasting.

# OFFICE OF THE INSPECTOR GENERAL REPORTS

Upon completion of an audit or inspection, the responsible OIG office prepares a report on the findings of its review and on recommendations for improvement.

It is OIG policy that reports be given wide distribution within the Department, the BBG, Congress, the General Accounting Office, other offices of Inspector General, the media and the general public, as appropriate. Safeguards have been established to preclude unauthorized or inappropriate release of classified, sensitive or other restricted information contained in OIG reports, as well as certain protected classes of reports such as investigative and special inquiry reports.

As required by the Inspector General Act of 1978, as amended, OIG prepares a semiannual report to the Congress. Separate sections of the report address specific OIG work conducted at the Department and the BBG. In providing a comprehensive review of specific programs and operations, the report highlights major management challenges and specific problem areas. This report also summarizes the significant activities and major findings and recommendations of OIG offices as well as the results of OIG investigations. As required by statute, the semiannual report provides a statistical summary of OIG accomplishments, the status of OIG reports and recommendations, and cost and savings related to OIG recommendations.

Copies of the semiannual report may be obtained from the OIG website (Intranet: [oigweb.state.gov](http://oigweb.state.gov) or Internet: [oig.state.gov](http://oig.state.gov)) or by writing to:

Office of the Inspector General  
U. S. Department of State  
OIG/CPO, SA-39, Room 810  
Arlington, VA 22209

# LEGISLATIVE AUTHORITIES

The mission and responsibilities of the Office of Inspector General are governed by many authorities. The most significant are:

## **Inspector General Act of 1978, as Amended (Public Law 95-452)**

The Inspector General Act:

- establishes the requirement for independent Inspectors General at 12 Federal agencies (38 additional Inspectors General were added in the 1988 amendments to the Act).
- authorizes the Inspector General to conduct and supervise audits and investigations relating to programs and operations of the cognizant agency, including documentary subpoena power.
- mandates the Inspector General's dual reporting responsibilities to the Congress and the head of the cognizant agency and requires a semi-annual report to the Congress.

## **Foreign Service Act of 1980 (Public Law 96-465)**

The Foreign Service Act:

- establishes the requirement for an Inspector General of the Department of State and the Foreign Service, with similar responsibilities and the same authorities as granted in the Inspector General Act of 1978.

- requires the Inspector General to audit and inspect each Department of State post, bureau, and other operating unit.
- establishes a mandate for OIG to review activities and operations performed under the direction of chiefs of mission for consonance with U.S. foreign policy (Section 209(g)).

### **Foreign Relations Authorization Act, FY 1986-87 (Public Law 99-93)**

The Foreign Relations Authorization Act:

- amends the Inspector General Act of 1978 to include the requirement for an independent Inspector General at the Department of State.

### **Omnibus Diplomatic Security and Antiterrorism Act of 1986 (Public Law 99-399)**

The Omnibus Diplomatic Security and Antiterrorism Act:

- requires the establishment of an independent Office of Inspector General at the Department of State by October 1, 1986.
- authorizes the Inspector General to perform all duties and responsibilities of Section 209 of the Foreign Service Act of 1980 and the Inspector General Act of 1978.

## **Arms Control and Disarmament Amendments Act of 1987, as Amended (Public Law 100-213)**

The Arms Control and Disarmament Act:

- establishes an Office of Inspector General at ACDA.
- designates the Inspector General of the Department of State to serve concurrently as the Inspector General of ACDA.

## **Omnibus Consolidated Receptions and Appropriations Act of 1996 (Public Law 104-134)**

The Omnibus Appropriations Act:

- establishes the merger of the Office of Inspector General of USIA, including the BBG, with the Office of Inspector General for the Department of State and ACDA.

## **Executive Order 12863 and 12333**

The Executive Orders:

- establish the authority for the Office of Inspector General to conduct intelligence oversight reviews of U.S. missions overseas.

## **Foreign Affairs Agencies Consolidation Act of 1998 (Public Law 105-277)**

The Foreign Affairs Agencies Consolidation Act:

- establishes the consolidation of both the Arms Control and Disarmament Agency (ACDA) and the United States Information Agency (USIA) with the Department of State.

## **Establishment of Broadcasting Board of Governors 22 U.S.C. 6203**

The United States Code:

- states the Inspector General of the Department of State and the Foreign Service shall exercise the same authorities with respect to the Broadcasting Board of Governors and the International Broadcasting Bureau as the Inspector General exercises under the Inspector General Act of 1978 and section 208 of the Foreign Service Act of 1980 with respect to the Department of State.





Requests for additional copies of this publication  
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