



United States Department of State  
and the Broadcasting Board of Governors

*Office of Inspector General*

# Work Plan

---

*Fiscal Year 2013*

*Promoting effective management, accountability, and positive change*

## Table of Contents

---

<b>Section</b>	<b>Page</b>
Introduction	3
OIG Vision	4
OIG Mission	4
OIG Core Values	4
Office of Audits Overview	5
Office of Audits Plans for FY 2013	7
Audit Directorate	7
Contracts and Grants Division	7
Financial Management Division	8
Human Capital and Infrastructure Division	12
Information Technology Division	13
Security and Intelligence	15
Middle East Operations Directorate	17
Iraq	17
Afghanistan	18
Pakistan	19
Other Locations and Bureaus	20
Office of Inspections Overview	21
Office of Inspections Plans for FY 2013	23
Office of Inspections Special Projects and Areas of Emphasis	24
Office of Investigations Overview	25
Office of Investigations Areas of Emphasis and Preventive Actions for FY 2013	26
OIG Hotline	26
Abbreviations	27

## Introduction

---

We are pleased to present the Office of Inspector General Work Plan for Fiscal Year 2013. This publication provides brief descriptions of activities that the Office of Inspector General (OIG) plans to initiate or continue with respect to the programs and operations of the Department of State (Department) and the Broadcasting Board of Governors (BBG) in FY 2013.

OIG is dedicated to improving operations, promoting positive change, and detecting and preventing waste, fraud, abuse, and mismanagement. OIG's independent role and general responsibilities are established by the Inspector General Act of 1978, as amended, the Foreign Service Act of 1980, the Omnibus Diplomatic Security and Antiterrorism Act of 1986, and the Foreign Affairs Reform and Restructuring Act of 1998.

Specifically, OIG:

- Reviews Department and BBG programs and operations to assess their effectiveness and use of resources;
- Recommends operational, procedural, or policy changes to correct deficiencies;
- Ensures effective, efficient operations and compliance with laws and regulations;
- Identifies savings through greater efficiency, alternative use of resources, and recommended collection actions; and
- Investigates and refers cases of wrongdoing for judicial and management action to correct waste, fraud, abuse, or mismanagement.

The criteria used by OIG in selecting areas for review include:

- Congressional mandates;
- Magnitude in dollars or other resources;
- Vulnerability to loss through waste, fraud, abuse, or error;
- Significance to the achievement of major Department goals;
- Importance to employee health and safety;
- Particular interest to the Secretary, the Deputy Secretary, an Under Secretary, the White House, or the Congress; and
- New or changed conditions affecting a program or function.

Our Work Plan for FY 2013 is an evolving document, to be revised and updated as necessary to ensure that OIG work remains relevant, timely, and responsive to the priorities of the Department, BBG, the Administration, the Congress, and the foreign affairs community.

## OIG Vision

---

To be a world-class organization promoting effective management, accountability, and positive change in the Department, Broadcasting Board of Governors, and the foreign affairs community.

## OIG Mission

---

The Office of Inspector General conducts independent audits, inspections, and investigations that advance the missions of the Department of State and the Broadcasting Board of Governors. OIG provides leadership to:

- promote integrity, efficiency, effectiveness, and economy;
- prevent and detect waste, fraud, abuse, and mismanagement;
- identify vulnerabilities and recommend constructive solutions;
- offer expert assistance to improve Department and BBG operations;
- communicate timely, useful information that facilitates decision-making and achieves measurable gains; and
- keep the Department, BBG, and the Congress fully and currently informed.

## OIG Core Values

---

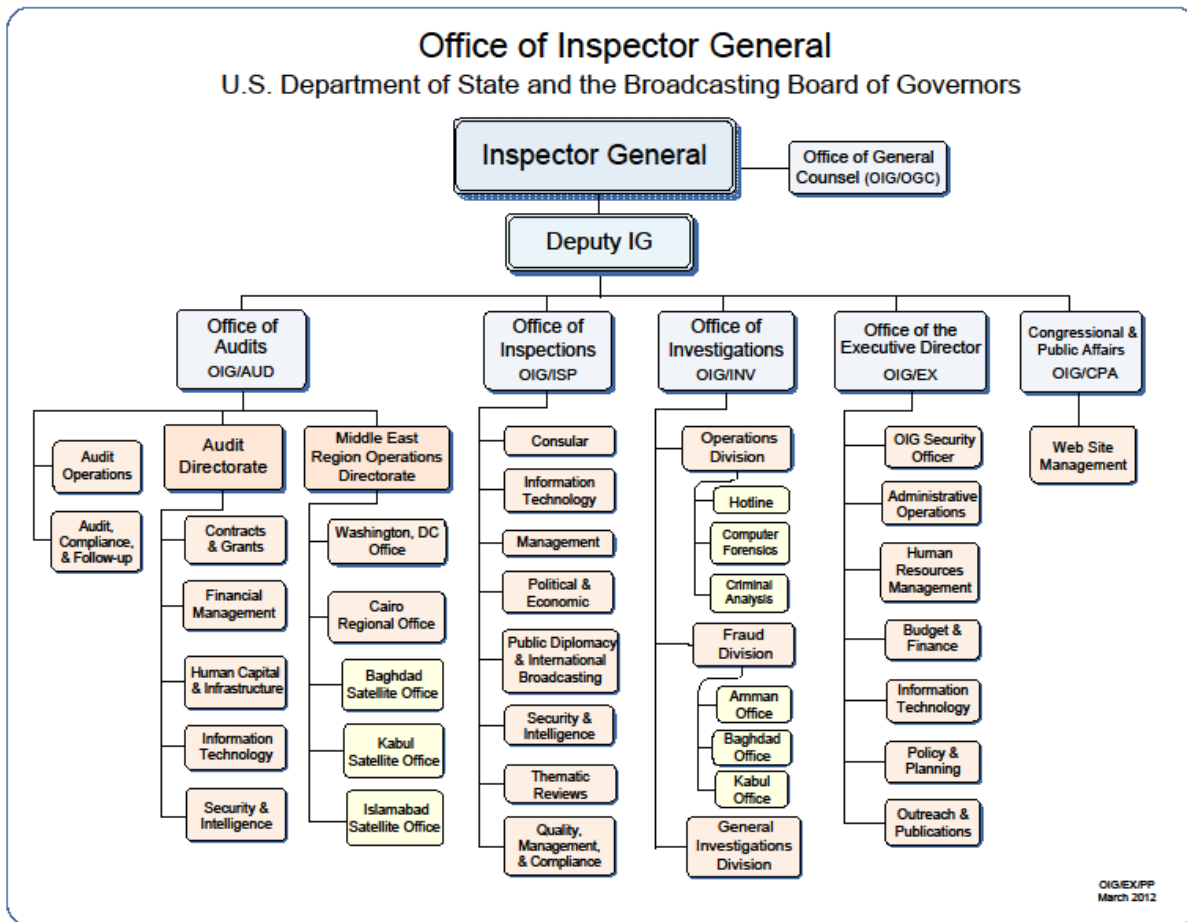
**Credibility:** OIG is committed to the highest standards of accountability, independence, integrity, and professionalism.

**Objectivity:** OIG's reports and other products are factual, accurate, informative, and reliable.

**Relevance:** An independent agent for positive change, OIG provides valuable and timely service.

**Effectiveness:** OIG makes a difference. Working cooperatively, in a spirit of teamwork, internally and with other organizations, enhances OIG's impact.

## Organization Chart



## Office of Audits Overview

The Assistant Inspector General for Audits is responsible for leading the Office of Audits, which is comprised of the Audit Directorate and the Middle East Region Operations (MERO) Directorate. The Deputy Assistant Inspector General for Audits is responsible for the Audit Directorate, and is charged with conducting audits and program evaluations of the management and financial operations of the Department and BBG, including their audited financial statements, information security, internal operations, and external activities funded by the Department through contracts or financial assistance. The Deputy Assistant Inspector General for MERO is responsible for the MERO Directorate and for performing engagements within the Middle East Region, covering the Department's Bureaus of Near Eastern Affairs (NEA) and South and Central Asian Affairs (SCA). The Deputy Assistant Inspector General for MERO is also responsible for general operation of our

overseas offices located in Cairo, Egypt; Kabul, Afghanistan; Islamabad, Pakistan; and Baghdad, Iraq.

Audits and program evaluations determine the degree to which an organization, program, or function is effectively managed, as well as the extent to which program results are achieved. The definition for effectiveness is derived from the agency objectives, operating within the relevant laws and directives pertaining to the organization or program. The overall objective of an audit is to identify challenges impeding progress and offer solutions that address the root cause of those challenges, as well as to identify and report best management practices that can be replicated to promote operational efficiency and the effective management of all Department and BBG programs. The audit process includes:

- *Audit notification.* The Office of Audits notifies the agency in writing that an audit is scheduled to start.
- *Entrance conference.* After written notification, a meeting is held to inform the agency of the purpose, objectives, and scope of the audit and the methodology to be followed.
- *Audit field work.* A detailed evaluation of the program, activity, or function is conducted in accordance with Government Accountability Office standards.
- *Exit conference.* At the conclusion of an audit, a formal conference is held with the principal post and bureau officials to present the audit results. This provides an opportunity for the audit team and the auditee to discuss the audit findings and the recommendations offered to address the root cause of the challenges identified.

During the audit, the auditee is kept apprised of audit activities. The Inspector General is given a detailed briefing before the audit begins and at the conclusion of audit fieldwork. Following the exit conference, the audit team prepares a draft report, which is vetted for comment and clearance within OIG. The auditee then typically has up to 15 calendar days to provide comments on the draft report and to specify whether it agrees with the report's recommendations and with the amount of any potential monetary benefits or recoveries. Those comments are incorporated into the final report. The auditee has 45 days from issuance of the final report to provide information on actions planned and taken to implement the recommendations.

## Office of Audits Plans for FY 2013

### Audit Directorate

#### *Contracts and Grants Division*

Locations	Title	Primary Objective	Justification	Start Date
Domestic and Overseas Bureaus, BBG	OMB Circular A-133 – Quality Control Review of Single Audits OMB Circular A-133 – Single Audit Act Initial (Desk) Reviews	Pursuant to the requirements of OMB Circular A-133, to provide selected Single Audit Act Desk Reviews that can identify questioned costs for repayment to the Department and BBG.	Mandatory	June 2012
Department, BBG	Audit of Premium Travel at the Broadcasting Board of Governors (BBG)	To determine whether the BBG is in compliance with Federal regulations and travel guidance for premium travel.	Program Risk	August 2012
Overseas Bureaus, OBO, A	Audit of Construction Contracts for Selected Department of State Projects (Carryover)	To determine whether construction contracts for selected major Department construction projects are complying with Federal regulations and Department guidance.	High Priority Performance Goal Management	September 2012
NEA, SCA, AF, PRM	Audit of Selected Overseas Refugee Assistance Programs (Carryover)	To determine whether selected international and grantee organizations for the Overseas Refugee Assistance Program are complying with grant terms and conditions.	High Priority Performance Goal Management	October 2012

UNCLASSIFIED

Locations	Title	Primary Objective	Justification	Start Date
A, RM, PM, AQM	Audit of Department of State Placement and Training of Contracting Officer's Representatives	To determine to what extent the Department's Contracting Officer's Representatives have been positioned and trained to support the Department's global mission.	High Priority Performance Goal Management	March 2013
A, RM, AQM	Audit of Department of State Progress to Reduce Reliance on Contractors	To determine to what extent the Department's approach of turning to the expertise of other Federal agencies before engaging private sector contractors has been effective.	High Priority Performance Goal Management	April 2013
A	Audit of Department of State Contract Incentive Fees	To determine to what extent and manner incentive fees have been applied to Department contract awards and whether they have been properly linked to acquisition and performance outcomes per Department guidance.	High Priority Performance Goal Management	June 2013

***Financial Management Division***

Locations	Title	Primary Objective	Justification	Start Date
Department	Audit of Department of State FY 2012 Financial Statements (Carryover)	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States.	Mandatory	January 2012



UNCLASSIFIED

Locations	Title	Primary Objective	Justification	Start Date
BBG	Audit of BBG FY 2012 Financial Statements (Carryover)	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States.	Mandatory	June 2012
IBWC	Audit of International Boundary and Water Commission's (IBWC) FY 2012 Financial Statements (Carryover)	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States.	Mandatory	June 2012
A	Audit of the Bureau of Administration Use of the Procurement Surcharge (Carryover)	To determine whether the surcharge related to acquisitions has improved the efficiency and effectiveness of acquisition management and improved customer service.	High Priority Performance Goal Management	June 2012
Department	Department of State Compliance with the Improper Payments Improvement Act	To determine whether the Department is in compliance with the Improper Payments Improvement Act, as amended.	Mandatory	December 2012

UNCLASSIFIED

Locations	Title	Primary Objective	Justification	Start Date
BBG	BBG Compliance with the Improper Payments Improvement Act	To determine whether BBG is in compliance with the Improper Payments Improvement Act, as amended.	Mandatory	December 2012
INL, RM	Review of DOS FY 2012 Accounting and Authentication of Drug Control Funds and Related Performance Report for the Office of National Drug Control Policy (ONDCP)	To authenticate the Department's FY 2012 accounting of drug control funds and related performance in compliance with ONDCP guidance.	Mandatory	December 2012
Department	Audit of Department of State FY 2013 Financial Statements	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States.	Mandatory	January 2013
BBG	Audit of BBG FY 2013 Financial Statements	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States.	Mandatory	January 2013

UNCLASSIFIED

Locations	Title	Primary Objective	Justification	Start Date
RM	Audit of Department of State Management of Vendors in the Accounting System	To determine whether the Department has made payments to vendors on the "Do Not Pay" list and to determine to what extent vendors in the accounting system are valid and needed.	High Priority Performance Goal  Management	January 2013
IBWC	Audit of International Boundary and Water Commission's (IBWC) FY 2013 Financial Statements	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States.	Mandatory	May 2013
L	Audit of Department of State Process to Develop a Consolidated List of Open Litigation	To determine whether the Department has an effective process to develop and oversee a consolidated list of open litigation that could impact the Department's financial statements.	Program Risk	June 2013
RM	Audit of Expired and Cancelled Funds	To determine whether obligations made against expired funds are made in accordance with budget authority and to determine the reasons that bureaus are not using funds within the deadlines of the appropriation.	High Priority Performance Goal  Management	July 2013

***Human Capital and Infrastructure Division***

<b>Locations</b>	<b>Title</b>	<b>Primary Objective</b>	<b>Justification</b>	<b>Start Date</b>
HR	Audit of Department of State Personnel Disciplinary Actions	To determine to what extent the Department's personnel disciplinary actions are appropriate in nature, consistently applied within the Department, and comply with Federal guidelines.	High Priority Performance Goal  Building Civilian Capacity	July 2012
INL	Audit of the Department of State Contributions and Performance Results for the Merida Initiative	To determine to what extent the Department's contributions to the Merida Initiative have been administered in accordance with applicable Federal laws and Department guidance and whether stated performance goals have been achieved.	GAO High Risk  Sustaining Counter-narcotics Activities	October 2012
MED	Audit of Foreign Service Medical Officers' Internal Controls of Medical Supplies, Controlled Substances, and Prescription Drugs at Select Posts	To determine to what extent the Department's medical health units are effectively administering internal controls over the ordering, receipt, storage, and disposition of medical supplies, controlled substances, and prescription drugs.	High Priority Performance Goal  Management	February 2013
A	Audit of Department of State Expedited Logistics Program	To determine to what extent the Expedited Logistics Program has been effective in providing posts with easy, fast, and cost effective methods to obtain commonly used items.	High Priority Performance Goal  Management	May 2013

Locations	Title	Primary Objective	Justification	Start Date
OBO, A, AQM	Audit of the Design and Construction of New Embassy Compound London	To determine to what extent contracts for the design and construction of New Embassy Compound (NEC) London followed Federal construction regulations and Department guidance.	High Priority Performance Goal Management	September 2013

### *Information Technology Division*

Locations	Title	Primary Objective	Justification	Start Date
IRM	Audit of Department of State Security Controls over the Active Directory Enterprise Environments (Carryover)	To determine whether the Department has securely implemented active directory services to prevent outside cyber attacks and to what extent the Department has implemented effective security controls across the enterprise.	Program Risk	August 2012
IRM	Audit of Department of State Data Center Security and Consolidation (Carryover)	To determine whether the Department has instituted security controls that are appropriate to its data centers and what progress has been made with the data center consolidation mandate.	Program Risk	September 2012
IRM	Audit of Department of State System Development Life Cycle (SDLC) Process (Carryover)	To determine to what extent: 1) the Department's SDLC policies and procedures adequately address Federal requirements and IT best practices governing the SDLC process; and 2) information security and management controls are addressed at each stage of the SDLC.	Program Risk	January 2013

UNCLASSIFIED

Locations	Title	Primary Objective	Justification	Start Date
IBWC	Audit of the Information Security Program at the International Boundary and Water Commission (IBWC)	To evaluate the effectiveness of security controls and techniques for selected information systems and compliance with Federal Information Security Management Act (FISMA) and related information security policies, procedures, standards, and guidelines.	Mandatory	March 2013
BBG	Audit of the Information Security Program at the Broadcasting Board of Governors (BBG)	To evaluate the effectiveness of security controls and techniques for selected information systems and compliance with Federal Information Security Management Act (FISMA) and related information security policies, procedures, standards, and guidelines.	Mandatory	April 2013
RM, DS, IRM, CA, A, HR	Department of State Wireless Networks	To determine whether the Department has securely implemented wireless networks to prevent outside cyber attacks and to what extent the Department has implemented effective security controls through the enterprise.	Program Risk	May 2013

Locations	Title	Primary Objective	Justification	Start Date
DS, INR	Audit of the Information Security Program for Sensitive Compartmented Information (SCI) Systems at the Department of State	To evaluate the effectiveness of security controls and techniques for SCI systems and compliance with Department policies and with Federal Information Security Management Act (FISMA) and related information security policies, procedures, standards, and guidelines.	Mandatory	July 2013
RM, DS, IRM, CA, A, HR	Audit of Department of State Contingency Plans for Enterprise Systems and Applications	To determine to what extent the Department has developed and tested contingency plans for enterprise systems and applications.	Program Risk	August 2013

### *Security and Intelligence*

Location	Title	Primary Objective	Justification	Start Date
DS, OBO, RM	Audit of Department of State Compliance With Physical Security Standards and Measures Taken To Address Threat Levels at Selected Overseas Posts (Carryover)	To determine whether select New Embassy and Consulate Compounds with high-threat levels are in compliance with physical security standards, and whether officials at these posts have efficiently aligned resource plans with mission requirements and have used available authorities to effectively implement the post security program.	Program Risk	April 2012

## UNCLASSIFIED

Location	Title	Primary Objective	Justification	Start Date
T, ISN, CT	Audit of Department of State Administration of Nonproliferation and Threat Reduction Programs (Carryover)	To determine whether the Department has implemented internal controls to effectively monitor and measure Nonproliferation and Threat Reduction assistance.	High Priority Performance Goal  Global Security	September 2012
DS, IRM	Audit of Bureau of Diplomatic Security Implementation of Interoperable Communications at Overseas Posts (Carryover)	To determine the Department's progress in implementing interoperable communications among strategic partners at overseas posts.	Program Risk	December 2013
T, PM, EEB	Audit of Department of State Actions To Address the Challenges of Maritime Piracy (Carryover)	To determine to what extent the Department has advanced its goals and objectives in combating maritime pirate attacks emanating from Africa.	High Priority Performance Goal  Global Security	May 2013
DRL, INL, CSO, GCJ	Audit of the Department of State Integration of Security and Justice Sector Assistance	To determine to what extent the Department has progressed in integrating security and justice sector assistance and has effectively linked the assistance to development by emphasizing host nation's ownership of programs.	GAO High Risk  Stabilizing Regional Conflicts	August 2013



## Middle East Regional Operations Directorate

### *Iraq*

Location	Title	Primary Objective	Justification	Start Date
Embassy Baghdad, NEA, MED, AQM	Audit of Department of State Management of Medical Operations Supporting Personnel Assigned to Iraq (Carryover)	To determine whether the Department's management of medical operations dedicated to supporting personnel assigned to Iraq has been effective and properly resourced.	High Priority Performance Goal  Iraq	March 2012
Embassy Baghdad, DS, AQM	Audit of the Worldwide Protective Services (WPS) Task Order for Kirkuk/Mosul Task Order (Carryover)	To determine whether the Department's administration and oversight of the WPS task order for Kirkuk/Mosul has been effective.	High Priority Performance Goal  Iraq	December 2012
Embassy Baghdad, NEA, INL, AQM	Audit of Civilian Assistance Programs in Iraq	To determine whether the Department's administration and oversight of civilian assistance programs are effective and whether the programs are achieving stated program objectives.	High Priority Performance Goal  Iraq	March 2013
Embassy Baghdad, NEA, INL, AQM	Audit of the Bureau of International Narcotics and Law Enforcement Affairs Air Wing Program in Iraq	To determine whether the Air Wing Program in Iraq is achieving its stated objectives, contractor performance is adequately monitored, and that costs charged by the contractor are consistent with the contract terms and conditions.	High Priority Performance Goal  Iraq	August 2013

Locations	Title	Primary Objective	Justification	Start Date
Embassy Baghdad, NEA, AQM	Audit of the Contract Closeout Process for Contracts Supporting the U.S. Mission in Iraq	To determine whether the Department is: 1) closing contracts in accordance with Federal and Department guidance; and 2) identifying and de-obligating funds remaining on physically completed contracts.	High Priority Performance Goal  Iraq	October 2012

***Afghanistan***

Locations	Title	Primary Objective	Justification	Start Date
Embassy Kabul, DS, AQM, SCA	Audit of the Worldwide Protective Services (WPS) Task Order for the Kabul Embassy Security Force (KESF) (Carryover)	To determine whether the Department's administration and oversight of the WPS task order for KESF has been effective.	High Priority Performance Goal  Afghanistan	December 2012
Embassy Kabul, INL, OBO, SCA	Audit of Administration and Oversight of Contracts to Construct Prisons within Afghanistan (Carryover)	To determine whether the Bureau of International Narcotics and Law Enforcement Affairs has effectively administered and overseen funds expended for prison construction within Afghanistan.	High Priority Performance Goal  Afghanistan	January 2013
AQM, NEA, INL, Embassy Kabul	Audit of the Contract Closeout Process for Afghanistan Contracts	To determine whether the Department is: 1) closing contracts in accordance with Federal and Department guidance; and 2) identifying and de-obligating funds remaining on physically completed contracts.	High Priority Performance Goal  Afghanistan	May 2013

## UNCLASSIFIED

Locations	Title	Primary Objective	Justification	Start Date
Embassy Kabul, OBO, AQM, SCA	Audit of Embassy Construction in Kabul	To determine whether the Department is effectively administering the Embassy construction contracts in Kabul.	High Priority Performance Goal  Afghanistan	June 2013
Embassy Kabul, SCA	Audit of INL's Counter-narcotics Programs in Afghanistan	To determine whether the Bureau of International Narcotics and Law Enforcement Affairs is achieving intended and sustainable results through its Counternarcotics Programs in Afghanistan.	High Priority Performance Goal  Afghanistan	September 2013
Embassy Kabul, OBO, AQM, SCA	Audit of the Department's Transition Planning in Afghanistan	To evaluate the Department's planning for the transition from a military-led to a civilian-led mission in Afghanistan.	High Priority Performance Goal  Afghanistan	October 2012

***Pakistan***

Locations	Title	Primary Objective	Justification	Start Date
PM, Embassy Islamabad, SCA	Audit of the Administration and Oversight of the Pakistan Counterinsurgency Capability Fund	To determine whether the Department's administration and oversight of the Pakistan Counterinsurgency Capability Fund have been effective.	High Priority Performance Goal  Pakistan	October 2012
Embassy Islamabad, SCA, INL	Audit of INL's Judicial Reform Programs in Pakistan	To determine whether the INL's administration and oversight of its judicial reform programs in Pakistan are effective and whether the programs are achieving stated program objectives.	High Priority Performance Goal  Pakistan	March 2013

***Other Locations and Bureaus***

<b>Location</b>	<b>Title</b>	<b>Primary Objective</b>	<b>Justification</b>	<b>Start Date</b>
Consulate General Jerusalem, DS, AQM	Audit of the Worldwide Protective Services (WPS) Jerusalem Task Order (Carryover)	To determine whether the Department's administration and oversight of the WPS task order for Jerusalem has been effective.	Program Risk	March 2013
Embassy Jordan, INL	Audit of Department of State Administration and Oversight of the Jordanian Police Modernization Program (Carryover)	To determine whether the Bureau of International Narcotics and Law Enforcement Affairs' administration and oversight of the Jordanian Police Modernization Program have been effective and whether the program has achieved its stated performance goals.	High Priority Performance Goal  Democracy, Good Governance, Human Rights	June 2013
NEA, SCA, DS, Selected Embassies	Audit of Movement Security in the MERO Region	To assess the efforts to protect Department of State personnel during movements outside selected Embassy Compounds.	Program Risk	September 2013
NEA, MEPI	Audit of the Middle East Partnership Initiative	To determine whether the Department's administration and oversight of the Middle East Partnership Initiative have been effective and whether the Program has achieved its stated objectives.	High Priority Performance Goal  Democracy, Good Governance, Human Rights	September 2013

## Office of Inspections Overview

---

Inspections are conducted to provide overseas missions and Department bureaus with assessments of mission leadership, policy implementation and management operations. The inspection is a comprehensive and independent review intended to: propose potential efficiencies and cost-saving measures; encourage self-evaluation and correction; provide counseling to employees, including ambassadors and bureau assistant secretaries; and identify problems and recommend solutions. Inspections differ from audits in that inspections normally review an organization in its entirety, while audits concentrate on a particular function or program that may cross several organizations.

The Foreign Service Act of 1980 requires that an inspection of each Foreign Service post and each domestic bureau be conducted at least once every 5 years, although this requirement is routinely waived every year by Congress. OIG's methodology for investing its resources includes a risk management approach to help prioritize projects and to ensure that our discretionary inspections cover high-cost programs, key management challenges, and vital operations. The OIG retains a quick-reaction capability to address requests made on short notice by Congress or senior Department officials. Inspection staff also conduct extensive outreach activities, briefing attendees of FSI courses as well as numerous officers, including ambassadors, before they depart for post.

The domestic and overseas inspection process includes:

- *Inspection notification.* The Office of Inspections (ISP) notifies the post, office, or bureau in writing that an inspection is scheduled. The announcement is followed up with specific travel and arrival dates of the inspection team together with instructions for the inspection. An ISP point of contact is established, and one is requested of the inspected entity.
- *Survey.* An initial phase of the inspection process is information collection from the inspected entity and relevant Department bureaus, offices, and Federal agencies with which it relates. Each inspected entity completes functional questionnaires covering 21 areas of operations. These are used as a guide to review operations prior to the arrival of the inspectors. Other questionnaires address service satisfaction and individual concerns.
- *On-site inspection.* The inspection team conducts on-site reviews of the post, bureau, or office with a focus on three broad areas 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. Teams also focus on identifying potential efficiencies and cost-saving measures leading to more effective use of resources.
- *Management controls*—whether the administration of activities and operations meets the requirements of applicable laws and regulations; whether internal management controls have been instituted to ensure quality of performance and reduce the likelihood of mismanagement; whether instances of fraud, waste, or abuse exist; and whether adequate steps for detection, correction, and prevention have been taken. The inspectors value counseling as a critically important facet of the review process and will seek improvements through the use of this technique as a first course of action.
- *Inspection reports.* The inspectors' findings and recommendations are formalized and issued in report format. Inspection reports adhere to the standards set out in the *Quality Standards for Inspections*, as issued by the Council for Inspectors General on Integrity and Efficiency, and the *Inspectors' Handbook*, as issued by the OIG.
- *Report Review.* The inspected entity reviews a field draft of the report and is afforded the opportunity to comment. Relevant Washington offices are also provided an opportunity to comment. In addition, the draft inspection report is vetted for comment and clearance within OIG.
- *Follow-up reviews.* ISP conducts compliance follow-up reviews on approximately 15-20 percent of posts, offices, and bureaus inspected. These reviews occur 6 to 12 months after the full inspection, and are designed to revisit key issues to ensure implementation of recommendations, and to provide quality control of the inspection process.

## Office of Inspections Plans for FY 2013

### Fall Cycle: October – November 2012

Bureau/ Office	Inspection	Compliance Follow-up Review	Location
AF	✓		Embassy Abuja and Constituent Posts, Nigeria
AF	✓		Embassy Bangui, Central African Republic
EAP	✓		Embassy Manila, Republic of the Philippines
EAP	✓		Embassy Phnom Penh, Cambodia
EUR		✓	Embassy Berlin, Germany
EUR		✓	Embassy Luxembourg, Luxembourg
WHA	✓		Embassy Buenos Aires, Argentina
WHA	✓		Embassy Santiago, Chile
BBG	✓		Broadcasting Board of Governors
DS/ICI	✓		Criminal Investigations Division
DS/ICI	✓		Computer Investigations and Forensics Division
DS/ICI	✓		Special Investigations Division
FSI	✓		School of Language Studies
IRM	✓		Regional Information Management Center Florida
IRM	✓		Regional Information Management Center Bangkok
IRM	✓		Regional Information Management Center Frankfurt

### Winter Cycle: February – March 2013

Bureau/ Office	Inspection	Compliance Follow-up Review	Location
AF	✓		Embassy Asmara, Eritrea
AF	✓		Embassy Juba, South Sudan
AF	✓		Embassy Khartoum, Sudan
NEA	✓		Embassy Baghdad and Constituent Posts, Iraq
BBG	✓		Voice of America's Russian Language Service
CA	✓		Executive Office
CA	✓		Office of the Comptroller
ECA		✓	Bureau of Educational and Cultural Affairs
EUR-IO/EX	✓		Regional Support Center Frankfurt
IIP	✓		Bureau of International Information Programs
INR	✓		Bureau of Intelligence and Research
WHA	✓		Regional Support Center Florida

**Spring Cycle: May – June 2013**

<b>Bureau/ Office</b>	<b>Inspection</b>	<b>Compliance Follow-up Review</b>	<b>Location</b>
EUR	✓		Embassy Kyiv, Ukraine
EUR	✓		Embassy Minsk, Belarus
EUR	✓		Embassy Moscow and Constituent Posts, Russia
EUR	✓		Embassy Vilnius, Lithuania
WHA	✓		Embassy Brasilia and Constituent Posts, Brazil
BBG	✓		Voice of America's Latin American Service
EAP	✓		Bureau of East Asia and Pacific Affairs
T/ISN	✓		Bureau of International Security and Nonproliferation

## Office of Inspections Special Projects and Areas of Emphasis

The Office of Inspections also conducts targeted reviews based on congressional or Department requests, vulnerabilities, and concerns about high priority programs or issues. OIG establishes areas of emphasis for all inspection teams to cover during an inspection cycle or the entire fiscal year. Findings on the areas of emphasis are analyzed across inspections and allow inspectors to take a broader look at high priority issues. In some cases, summary reports are issued with recommendations to address thematic or global problems.

Planned Special Projects and Areas of Emphasis for FY 2013 include:

- Implementation of the National Export Initiative (which has a goal of doubling U.S. exports in five years) through an increased focus on commercial diplomacy;
- Provision of commercial services at missions without a Foreign Commercial Service presence;
- Coordination in countering terrorism and combating violent extremism;
- Effective use of social media;
- Adequacy of consular systems and training;
- Compliance with the sections of the William Wilberforce Trafficking Victims Protection Reauthorization Act (WWTVPRA) that require consular officers to educate non-immigrant visa applicants on their rights;
- Compliance with the sections of the WWTVPRA that relate to Department contracts and contractor oversight;
- Compliance with Jeddah Accountability Review Board recommendations to create areas of refuge for employees working on compound outside an office building;
- Adequacy of information technology inventories and associated procedures;
- Adequacy of information technology contractor selection and oversight;
- Efforts to improve President's Emergency Plan for AIDs Relief leadership; and
- Appropriateness of missions' language designated positions.

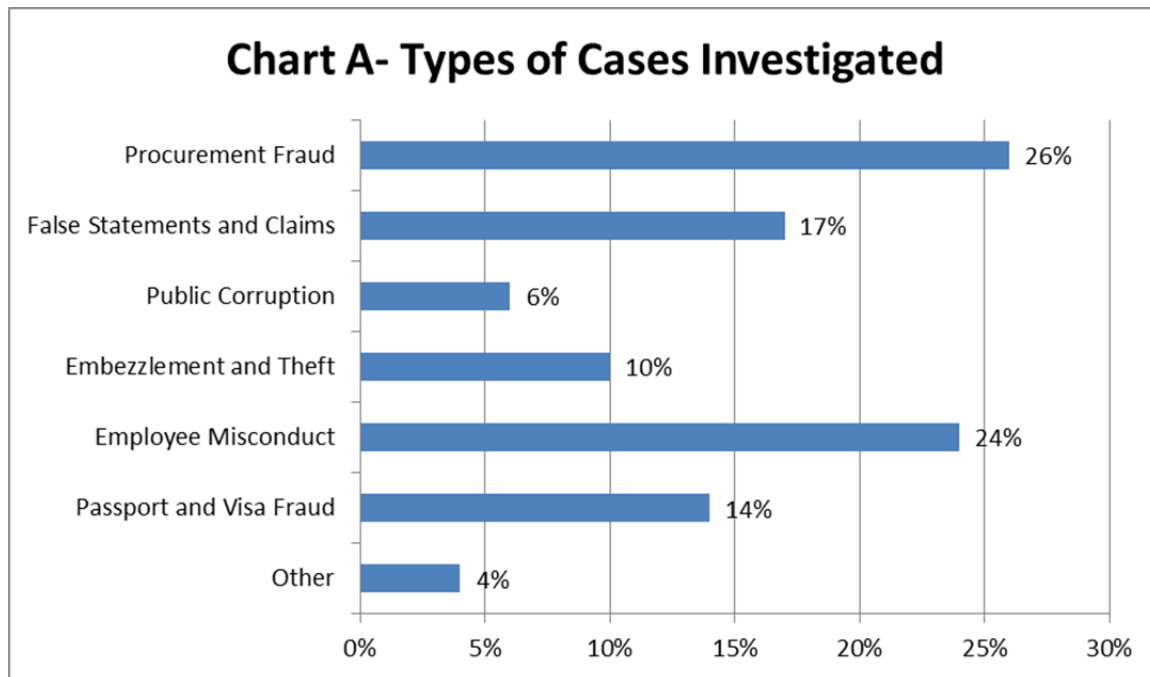


## Office of Investigations Overview

The Office of Investigations is committed to addressing allegations of fraud and misconduct in an independent and objective manner, by conducting investigations of criminal, civil, and administrative violations related to Department and BBG programs and operations, and by assisting the Department and BBG in preventing and detecting, fraud. OIG's investigative activities are largely reactive and occur in locations around the world.

The results of investigations concerning employees or contractors suspected of violating federal statutes are referred to the Department of Justice for prosecutorial determination. Administrative violations are referred to the Department's Bureau of Human Resources and Bureau of Diplomatic Security for independent adjudicative action.

The types of violations investigated by OIG cover a wide range including procurement fraud, public corruption, embezzlement, false claims and false statements. Chart A, below, illustrates the types of cases investigated.



The Office of Investigations maintains a cooperative relationship with the Office of the Procurement Executive, to ensure information developed is appropriately shared in furtherance of administrative remedies such as suspension and/or debarment.

## **Office of Investigations Areas of Emphasis and Preventive Actions for FY 2013**

---

The Office of Investigations consults with stakeholders in the Department and Congress regarding oversight of high-risk areas and management challenges, adjusting its priorities appropriately. In addition to the reactive work of the Office of Investigations, programs and operations in the Department are periodically identified as being of high priority or importance, and investigative resources are concentrated in those areas. Most recently, priority has been given in the area of Procurement Fraud, particularly involving Middle East programs and operations.

The Inspector General is charged with fraud prevention as well as detection. Toward this objective, the Office of Investigations can issue Fraud Alert Bulletins and Management Assistance Reports. Fraud Alert Bulletins are issued to all executive directors when an investigation identifies a systemic weakness that may impact multiple Department bureaus or offices. Management Assistance 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.

The Office of Investigations also actively participates in an OIG Outreach Program to speak before a variety of Department groups and training classes in an effort to help employees identify indicators of fraud that should be referred to OIG. During FY 2012, the Office of Investigations conducted more than 45 outreach presentations to various Department groups and training classes involving well over 2,500 Department employees, including new ambassadors.

### **OIG Hotline**

---

The Office of Investigations also maintains the OIG Hotline, a confidential channel for the receipt of complaints about violations of law or regulation, fraud, waste, abuse, or substantial and specific threats to public health and safety. Investigations conducted by OIG criminal investigators are usually the result of allegations received from the Hotline, OIG Audit or Inspection teams, Department or BBG management or employees, Offices of Inspector General of other agencies, Congress, or the public. As necessary, the assistance of auditors, inspectors, and other experts may be enlisted in support of investigative operations.

Complaints to the OIG Hotline have generated numerous successful investigations resulting in criminal, civil, and administrative sanctions. In FY 2012, approximately 2,200 hotline complaints were received (an increase from just over 1,800 in FY 2011). By FY 2014, given the current rate of growth in the number of complaints received, OIG expects to receive and process more than 2,500 hotline complaints. Allegations may be reported to the Hotline by calling 202-647-3320 or 1-800-409-9926. Written information may be sent to the [oighotline@state.gov](mailto:oighotline@state.gov) or mailed to: Office of Inspector General Hotline, U.S. Department of State, Post Office Box 9778, Arlington, Virginia 22219-1778.

## Abbreviations

---

The Work Plan refers to the following selected acronyms and abbreviations for terms and titles:

A	Bureau of Administration
AF	Bureau of African Affairs
AQM	Office of Acquisitions Management
AUD	Office of Audits
BBG	Broadcasting Board of Governors
CA	Bureau of Consular Affairs
CPA	Office of Congressional and Public Affairs
CSO	Bureau of Conflict and Stabilization Operations
CT	Coordinator for Counterterrorism
Department	Department of State
DRL	Bureau of Democracy, Human Rights, and Labor
DS	Bureau of Diplomatic Security
DS/ICI/CIF	Bureau of Diplomatic Security, Office of Investigations and Counterintelligence, Computer Investigations and Forensics Division
DS/ICI/CR	Bureau of Diplomatic Security, Office of Investigations and Counterintelligence, Criminal Investigations Division

UNCLASSIFIED

DS/ICI/SID	Bureau of Diplomatic Security, Office of Investigations and Counterintelligence, Special Investigations Division
EAP	Bureau of East Asian and Pacific Affairs
ECA	Bureau of Educational and Cultural Affairs
EEB	Bureau of Economic, Energy, and Business Affairs
EUR	Bureau of European and Eurasian Affairs
EUR-IO/EX	Bureau of European and Eurasian Affairs and Bureau of International Organization Affairs Joint Executive Office
EX	Office of the Executive Director
FISMA	Federal Information Security Management Act
FSI	Foreign Service Institute
GCI	Office of Global Criminal Justice
HR	Bureau of Human Resources
IBWC	International Boundary and Water Commission
IG	Inspector General
INL	Bureau of International Narcotics and Law Enforcement Affairs
INR	Bureau of Intelligence and Research
INV	Office of Investigations
IRM	Bureau of Information Resource Management
ISP	Office of Inspections
ISN	Bureau of International Security and Nonproliferation
KESF	Kabul Embassy Security Force
L	Office of the Legal Advisor
MED	Office of Medical Services
MEPI	Middle East Partnership Initiative
MERO	Middle East Regional Office

UNCLASSIFIED

NEA	Bureau of Near Eastern Affairs
OBO	Bureau of Overseas Buildings Operations
OGC	Office of General Counsel
OIG	Office of Inspector General
PM	Bureau of Political-Military Affairs
PRM	Bureau of Population, Refugees and Migration
RM	Bureau of Resource Management
SCA	Bureau of South and Central Asian Affairs
SDLC	System Development Life Cycle
SI	Security and Intelligence Division
T	Under Secretary for Arms Control and International Security
WHA	Bureau of Western Hemisphere Affairs
WPS	Worldwide Protective Services
WWTVPRA	William Wilberforce Trafficking Victims Protection Reauthorization Act

