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

Report of Inspection

Limited-Scope Inspection of Embassy Windhoek, Namibia

Report Number ISP-I-08-43, May 2008

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PURPOSE, SCOPE AND METHODOLOGY OF THE INSPECTION

This inspection was conducted in accordance with the Quality Standards for Inspections, as issued by the President's Council on Integrity and Efficiency, and the Inspector's Handbook, as issued by the Office of Inspector General for the U.S. Department of State (Department) and the Broadcasting Board of Governors (BBG).

PURPOSE:

The Office of Inspections provides the Secretary of State, the Chairman of the BBG, and Congress with systematic and independent evaluations of the operations of the Department and the BBG. Inspections cover three broad areas, consistent with Section 209 of the Foreign Service Act of 1980:

Policy Implementation: whether policy goals and objectives are being effectively achieved; whether U.S. interests are being accurately and effectively represented; and whether all elements of an office or mission are being adequately coordinated.

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

Management Controls: whether the administration of activities and operations meets the requirements of applicable laws and regulations; whether internal management controls have been instituted to ensure quality of performance and reduce the likelihood of mismanagement; whether instance of fraud, waste, or abuse exist; and whether adequate steps for detection, correction, and prevention have been taken.

METHODOLOGY:

In conducting this inspection, the inspectors: reviewed pertinent records; as appropriate, circulated, reviewed, and compiled the results of survey instruments; conducted on site interviews; and reviewed the substance of the report and its findings and recommendations with offices, individuals, organizations, and activities affected by this review.



United States Department of State
and the Broadcasting Board of Governors

Office of Inspector General

PREFACE

This report was prepared by the Office of Inspector General (OIG) pursuant to the Inspector General Act of 1978, as amended, Section 209 of the Foreign Service Act of 1980, the Arms Control and Disarmament Amendments Act of 1987, and the Department of State and Related Agencies Appropriations Act, FY 1996. It is one of a series of audit, inspection, investigative, and special reports prepared by OIG periodically as part of its oversight responsibility with respect to the Department of State and the Broadcasting Board of Governors to identify and prevent fraud, waste, abuse, and mismanagement.

This report is the result of an assessment of the strengths and weaknesses of the office, post, or function under review. It is based on interviews with employees and officials of relevant agencies and institutions, direct observation, and a review of applicable documents.

The recommendations therein have been developed on the basis of the best knowledge available to the OIG, and have been discussed in draft with those responsible for implementation. It is my hope that these recommendations will result in more effective, efficient, and/or economical operations.

I express my appreciation to all of those who contributed to the preparation of this report.

A handwritten signature in black ink, appearing to read "Bill Todd", written in a cursive style.

William E. Todd
Acting Inspector General

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CONTEXT

Namibia is twice the size of California but with a population of two million people. It is also a land of extremes: ultra-rich in minerals that range from uranium, which the United States buys in increasing quantities, to lead, zinc, tin, silver, tungsten, and gem diamonds. Cartelized mining accounts for two-thirds of Namibia's income but employs less than 10 percent of the workforce. Conversely, two-thirds of the people subsist on agricultural income that makes up less than five percent of the Gross National Product. While Namibia has one of the highest literacy rates and per capita incomes in Africa, it ranks at or near the bottom in land and income distribution as well as life expectancy, an average of just 43 years. HIV/AIDS is rampant, afflicting a fifth of the population.

Namibia is more successful politically. Once a German colony and then gripped by South Africa's apartheid system, Namibia was a triumph for U.N. peacekeeping efforts when it gained independence in 1990. It has functioning democratic institutions, a free press, and a generally peaceful society. However, Namibia has ethnic strains, and is starting to acquire a new class of leaders who believe in their unfettered right to rule and enrich themselves on the job. Corruption is in fact eroding the government's image, the more so as a third of its citizens lack jobs. Essentially, Namibia's democratic institutions are nascent and may not be strong enough to withstand serious pressure, including that posed by a new breakaway party formed by members of the long-ruling South West Africa People's Organization.

Namibia tends to support its traditional partners from the time of its lengthy fight for independence, most of whom were on the opposite side of the Cold War divide from the United States. Among these are Cuba, North Korea, China, and Russia. The upshot of this is that the United States, much the largest bilateral donor with FY 2008 assistance upwards of \$110 million, has good but not ideal relations. In addition, the Namibian bureaucracy is highly inefficient. While contact with the top government officials is possible, it can take three to eight months to get a work permit for U.S.-funded assistance workers.

Against these constraints, the embassy has used its diplomatic skills to keep Namibia's doors open to the United States and its interests: the furtherance of democratic institutions, the fight against HIV/AIDS, and promotion of economic

development and U.S. exports, among others. Most significantly, the mission has assisted the Millennium Challenge Corporation in overcoming taxation and procurement issues, thus paving the way for a five-year \$325 million program that is slated to begin later in 2008.

EXECUTIVE DIRECTION

Embassy Windhoek is a successful mission. It is both sharply focused on the assistance programs that dominate the U.S.-Namibia relationship, and on the need to keep Namibia's government on a democratic track where law rules. Washington agencies describe the highly experienced Ambassador, who recently arrived, as well plugged in to the Bureau of African Affairs's policy thinking, highly attentive to details, and extraordinarily conscientious. This accords with the OIG team's assessment although at times the Ambassador becomes involved in issues that are conventionally handled by line officers.

The Ambassador presides over an exceptionally strong team of Department officers, many of whom have been promoted, while in Windhoek, to grades more senior than the position requirements. The DCM, in particular, stands out for his complete grasp of embassy affairs and collegial management style. Also evidently capable are other agency representatives, including the resident directors of the United States Agency for International Development (USAID), Peace Corps, the Centers for Disease Control and Prevention (CDC), the Defense attaché, and a U.S. Department of Treasury resident advisor.

Embassy Windhoek has excellent interagency relations. Agency chiefs appreciate the Ambassador's direct involvement in taxation and other thorny issues; the Ambassador's decision to invite them to the credential ceremony with Namibia's president was also welcome. Interagency harmony benefits from the significant cross fertilization amongst non-Department agencies as well as between these agencies and individual embassy sections, including the public diplomacy, political, and economic sections. Furthering this mission unity is multiagency participation in the \$108 million dollar PEPFAR, in which funding streams pass through USAID, CDC, Peace Corps, and the U.S. Department of Defense.

Embassy Windhoek is a model of intraembassy coordination, even by small mission standards. Above all, the Ambassador and DCM have an outstanding regimen of meetings that are well calibrated in terms of frequency and participation. Subordinates commend the gatherings for their sharp focus and brevity. Some officers, however, would prefer more detailed guidance and performance feedback from the Ambassador. Individual officers also want more performance feedback, which would logically be positive given the high overall performance of Embassy Windhoek's entire team.

MISSION STRATEGIC PLAN

Embassy Windhoek's 2009 Mission Strategic Plan (MSP) is a concise, well-crafted presentation of U.S. policy, with realistic benchmarks and metrics chiefly related to assistance programs. The draft 2010 MSP skillfully refines its predecessor, highlighting measures to assure the continuance of democracy in Namibia, and dropping the HIV/AIDS assistance program to the second priority. Appropriately, economic development remains the third priority. Strategically, this reshuffling is right on target in that democracy, rule of law, and good governance are essential preconditions for effective U.S. assistance. Tactically, this rearrangement of priorities imparts a useful signal to USAID in Washington, which overruled embassy objections in 2007 by deciding to end democracy-related programs in 2008.

The OIG team commends the mission and its political officer, who serves as MSP coordinator, for choosing mutually reinforcing performance goals. Good governance and sound national policies could improve the investment climate and encourage more U.S. business involvement in Namibia and economic development otherwise. Such development, in turn, could reduce the likelihood that crime, corruption, or weak civic activism keeps Namibia from consolidating its democratic gains. Further, lessening the impact of HIV/AIDS improves the chance that a healthy, employable populace can sustain the growth levels necessary for economic development.

Embassy Namibia's MSP received only belated and minimal feedback from Washington. The Bureau of African Affairs noted that Namibia was not chosen for a priority review, and comments were limited to "it looks fine" and grammatical questions. No other Department bureaus or Washington-based agencies submitted comments.

Embassy Windhoek notes that MSP performance indicators are not particularly valuable as evaluation tools, in that they are required to be quantitative and primarily based on external monitoring agencies with a much longer timeframe than that of embassy programs. The OIG team shares this view. Ideally, embassies would have greater flexibility in using qualitative indicators as warranted.

SECURITY

Embassy Windhoek's regional security officer oversees a crisp operation that enjoys full support from the Ambassador and DCM. Soon after assuming charge, the

Ambassador discussed the security program at length, including the need to update and revise various policy directives for Embassy Windhoek, a critical crime threat embassy. In response to the critical crime designation, each residence has a 12-hour nighttime guard and wireless alarms that notify a central station.

In reviewing the designated officer list, posted on the cashier's bulletin board, the OIG team noted that the information management officer is not a member of the emergency action committee. The OIG team notes the critical need for communication in an emergency, and strongly advocates including the information management officer on the emergency action committee to provide the technical expertise often required in an emergency.

The Ambassador had the regional security officer brief all mission elements on the firearms policy, a useful step in part because the locally employed staff was generally unaware that this policy embodied guidance for them as well.

The OIG team also commends mission management for their efforts to assure cost-effective security visits from Washington elements. For example, a visit to Namibia by a seven-person physical security team resulted in no specific achievements or ongoing assistance to the embassy, despite persistent follow-up by the DCM. Similarly, proposed additional funding for mobile patrol units has not yet been provided despite persistent follow-up by the DCM and regional security officer.

ENTRY-LEVEL OFFICERS

Embassy Windhoek's sole entry-level officer manages the consular section, and is also responsible for global affairs. The Ambassador and DCM have actively mentored this officer, visited his section, and otherwise nurtured his development. The DCM has provided developmental and career planning advice and suggestions. The DCM meets with this entry-level officer almost on a daily basis, chiefly to discuss consular affairs, but also to impart tips on how to work within the Foreign Service environment. In so doing, the DCM emphasizes how to maximize return for effort and how to multitask effectively. The Ambassador and DCM have invited this entry-level officer to their residences.

POLICY AND PROGRAM IMPLEMENTATION

Embassy Windhoek operates with admirable efficiency in implementing policy and programs. The mission watchword is realism. The Ambassador and team fully factor into their efforts the recognition that some key Namibian leaders still harbor Cold War-apartheid era suspicions about the United States and its policies. To engage these officials unduly may be a waste of time. Similarly, USAID in Namibia has learned to function well in the local context even though it still lacks a bilateral aid agreement despite 17 years of attempts to develop it. Some top Namibian civil servants thwart rather than further U.S. assistance programs, rejecting even offers of free medical equipment. Embassy telephone calls to ministries in search of public information can prove fruitless. While published tenders are suggestive of a transparent contract bidding process in Namibia, China – not the United States – seems to have the magic commercial touch even when it does not meet labor law standards. Simply put, implementing programs in Namibia can be a series of hurdles.

The embassy has labored, with fair success, to overcome official wariness. Embassy Windhoek's officers and talented local staff occasionally penetrate the layers of bureaucracy. The mission has benefited from ample time devoted to building relationships with Namibian officials, one key to successful engagement on U.S. government terms.

Whatever these impediments, the U.S.-Namibia relationship is reasonably productive for both parties. The United States leads the way in foreign assistance to Namibia, which receives the highest amount of aid in the world - \$100 per capita. The PEPFAR for Namibia, one of 15 focus countries, is going well and received White House praise. Two-way trade flows are up ten times from the mid-1990s, with U.S. exports for 2007 exceeding \$116 million.

More could be done to achieve greater cooperation from the Namibian government. The United States could, for example, link future assistance – especially in nonhumanitarian areas – to tangible benchmarks. Funding for training could be conditioned, releasing monies only if the Namibian government identifies candidates by set dates. Finally, the United States might achieve more leverage if it more actively joined other donors to engage the Namibian government.

ASSISTANCE

The massive PEPFAR program anchors all U.S. assistance activity in Namibia and, in a sense, serves as the centerpiece for Embassy Windhoek's overall work. The shared mandate against HIV/AIDS promotes mission unity of purpose among the agencies directly involved: CDC, USAID, Peace Corps, and the U.S. Departments of Defense and State. The OIG team also observed that HIV/AIDS work in Namibia is compelling a new level and type of interagency collaboration because of the sheer complexity and size of the program. Of the \$108 million to be disbursed in FY 2008, about 47 percent is to be expended directly in Namibia by CDC and about 45 percent by USAID. The Defense attaché office, Peace Corps, public diplomacy section, and Ambassador's self-help fund received amounts ranging from one to two percent of the total. The remainder of the assistance was handled directly in Washington, chiefly going to contracting parties whose global activities include Namibia.

Embassy Windhoek's management of the PEPFAR program is exemplary. As the program tripled in size over the past three years, the mission recognized the need for a neutral, overall coordinator and engaged an individual with a strong fiscal and management background. This coordinator, who reports directly to the DCM, is empowered to act as the embassy's neutral arbiter over PEPFAR activities. All agencies involved with PEPFAR report that this arrangement is working admirably. The OIG team concurs with their collective judgment.

The PEPFAR coordinator – without upstaging the Ambassador or DCM – chairs a weekly meeting that is similar to a country team within the formal country team. This group builds the PEPFAR operational plan for the year and collectively reviews the budget. Participants include the 24 members of the implementing team. Among these are locally employed staff, contract specialists, officers from USAID, Peace Corps and CDC, as well as the Defense attaché, public affairs officer, DCM, and Ambassador. The meeting itself runs crisply, with time-consuming or parochial matters promptly referred to follow-on smaller meetings.

Apart from PEPFAR and the yet-to-begin Millennium Challenge Corporation program, FY 2008 assistance is modest. A USAID basic education program funded at approximately \$3 million is slated to end in 2009. Two other USAID programs, in community-based natural resources, management, democracy, and governance, will cease in June of 2008. Both appear valuable and the OIG team particularly questions the wisdom of ending the relatively low-budget democracy and governance program. It has been instrumental in promoting the consolidation and maturation of a young democracy that is still being developed. The alternative to consolidating these institutions could be reversion to a single-party state and an increase in ethnically based political tensions.

Other assistance includes \$2 million for the Peace Corps with 129 volunteers in country, \$100,000 for International Military Education and Training, and a smaller, as yet undetermined FY 2008 amount for the Ambassador's special self-help fund and the Democracy and Human Rights Fund.

TRADE PROMOTION

Since the mid-1990's, U.S. trade with Namibia has increased ten-fold, with 2007 exports to Namibia exceeding \$116 million. With the nearest Foreign Commercial Service offices sited in Johannesburg and Cape Town, South Africa, day-to-day commercial promotion falls to the embassy's sole economic-commercial officer who is assisted by a local staff employee. Both are doggedly pursuing commercial opportunities and assisting U.S. firms that are doing business in Namibia. Both have a daunting task in convincing Namibia to cut back red tape, accelerate work permits, and otherwise foster a business-friendly environment. A 2007 Florida trade mission foundered in part because of inadequate support by Namibia's investment center.

The OIG team commends the economic-commercial section for its efforts to assist a Namibian parastatal seeking to export a relatively inexpensive mine-resistant armored personnel carrier. This vehicle, used by contractors in Iraq, has saved lives. It also seems well suited for U.S. government-backed peacekeeping efforts including those in Darfur. At present, however, federal government regulations preclude direct sourcing from Namibia, a decision that possibly warrants review by the U.S. Department of Defense, whose Secretary could in theory issue a waiver.

The OIG team also supports an initiative by the economic-commercial officer to engage the U.S. Trade and Development Agency in an effort to broaden its reach to benefit U.S. business. To date, this officer and the DCM have pursued, via e-mails and a conference call, the possibility of more direct linkage between the U.S. Trade and Development Agency's business-development grants, and follow-on commercial leads for American firms. For example, Embassy Windhoek has repeatedly proposed that the U.S. Trade and Development Agency work with the U.S. Department of Commerce to ensure that any trade leads are widely disseminated via its Trade Opportunities Program. At present, there is no such requirement, and the U.S. Trade and Development Agency has declined to act on this embassy initiative. Similarly, with the Millennium Challenge Corporation soon to be investing in Namibia on a major scale, it too could benefit American business by instituting a linkage system between its projects and Commerce's Trade Opportunities Program.

Under Title 22 of the United States Code, the Trade and Development Agency, is an agency of the United States under the foreign policy guidance of the Secretary of State. The agency's overall mandate is to advance U.S. commercial interests and host country development objectives.

Recommendation 1: Embassy Windhoek, in coordination with the Bureau of Economic, Energy, and Business Affairs, should request that the U.S. Trade and Development Agency and the Millennium Challenge Corporation create direct links between their grants and the dissemination of trade leads to U.S. firms. (Action: Embassy Windhoek, in coordination with EEB)

POLITICAL AND ECONOMIC REPORTING AND ANALYSIS

The political and economic sections, each staffed with one officer and one local employee, produce quality work. An eligible family member serves as the self-help coordinator. Both officers have used imagination and skill to make their work as relevant as possible for a Washington readership well aware that Namibia holds, at most, limited strategic interest for the United States. Washington readers commended the embassy for invariably detailing the most important items and noted that the insightful analyses often appended to cables are also appreciated.

The political officer also serves as an effective advocate of how best to nurture Namibia's democracy. He has made a strong case for further U.S. assistance in this regard, emphasizing that in similar situations elsewhere in Africa, governments and political systems deemed stable have proven otherwise. Several of his messages have also highlighted the time bomb that Namibia's grossly unequal land and income distribution represents – a fact often lost because Namibia, on the surface, looks comparatively wealthy by sub-Saharan standards. The Ambassador and this officer have also usefully reached out to the country's small Muslim community. Further, the political officer produced an exceptionally good analysis of an impending large-scale strike that was to include the embassy's entire guard force.

The Burden of Required Reporting

Since the abolition of the special embassy program, small missions devote disproportionate time to all-embassy assignments, which pose much less of a burden for major U.S. embassies. Above all, small embassies like Embassy Windhoek stag-

ger under the load of annual reports, including at least 11 mandated by Congress, on subjects ranging from human rights to religious freedom, trafficking-in-persons, and investment disputes, among others. Each is based on a separately defined statute with different reporting schedules and standards, some in conflict. Many of the mandated reports carry the possibility of sanctions. Thus, dialogue with host governments can be prickly and beyond the skill or experience of the relatively junior officers at small embassies who typically craft these reports.

Above all, the OIG team favors a simplification of the different deadlines, guidelines, and timelines for these many reports, especially for those not mandated by Congress. Ideally, small missions like Embassy Windhoek would prepare an omnibus report covering these required topics at one time, once a year. Embassy Windhoek and other small embassies could then draw upon individual sections needed for reports due later in the year, as none of these reports relies heavily on timely information, given the lengthy processing procedures in Washington.

At a minimum, the Department might amalgamate mandated reports into logical subgroups. For example, an omnibus economic report could address the investment disputes, intellectual property, and national trade estimate reports. A homeland security report could cluster the counterterrorism, money-laundering, and narcotics reports. A human rights and democracy report could embrace the human rights, religious freedom, trafficking-in-persons, advancing freedom and democracy, and labor reports.

Further, the OIG team believes that the Department could discuss how to simplify certain, more complex reports such as the lengthy Country Operating Plan required by the USAID and the Office of the Director of U.S. Foreign Assistance. In so doing, small embassies and missions with little likelihood of receiving significant assistance would prepare an Internal Revenue Service 1040-A style “short form.”

Overall, the OIG team finds that the current mandated annual report system invites duplication of effort and undercuts the effectiveness of individual reports. For one thing, the time spent researching and writing these reports is time not spent addressing the serious, global, underlying issues they reflect. The goal of these reports, after all, is not just to publicize the issues under scrutiny, it is to provide a platform for action.

The OIG team also notes that in 2008 alone the Department initiated a variety of worldwide data collection exercises, including among others, those related to ambassadorial funds, crisis and emergency planning, and global partnership. In some

instances, these requests seek material already submitted in other forums. At times, the Department-provided data processing software is not user-friendly and still has many problems that need to be addressed.

PUBLIC DIPLOMACY

The public diplomacy section, working with the entire mission, promotes Embassy Windhoek's MSP goals in health, democracy and governance, education, and building mutual trust and understanding between Americans and Namibians. The eight-member local staff praised the mid-level officer for vision and delegating authority in programming and implementing decisions.

Colocated with the Information Resource Center, the section operates from attractive, accessible premises in central Windhoek. The Information Resource Center has 16 computer terminals to train new computer users and a library. Statistics indicate that nearly 20,000 patrons visited the center in 2007 and used it extensively for research purposes.

To help counter the sometimes negative views of the United States, the office identifies and disseminates targeted information to key Namibian government officials, public opinionmakers, the local media, and future leaders. It also undertakes educational advising for prospective university students hoping to study in the United States, selects Namibians for a range of visitor programs, and helps to coordinate a U.S.-Namibia university alumni association with over 250 members.

Last year's public diplomacy schedule of nearly 100 film showings, speakers, concerts, and other cultural events promoted mutual understanding, human rights, democracy, women's issues, free media, and global health to a total of over 17,000 attendees. A proposed activities schedule for 2008 was equally comprehensive. The public diplomacy staff oversees three American Corners in the distant population centers of Oshakati, Walvis Bay, and Keetmanshoop. These facilities regularly host speakers and films, and maintain libraries as well as computer terminals for training and research. They also serve as operating platforms for the Ambassador and other embassy officers when they meet with regional officials and Namibian alumni of American universities, and others.

The section implements PEPFAR-funded grants and cooperative agreements to support public awareness and prevention of HIV/AIDS, and to complement the mission's major public health initiatives. The section awarded over \$90,000 in 2007 for programs that target youth between ages 13 and 24. These activities included

photo essays, public murals, community radio talk shows, concerts, and the production and free distribution of compact discs that address HIV/AIDS themes. The section will coordinate similar activities in 2008.

CONSULAR AFFAIRS

An entry-level officer, a consular associate, and consular assistant manage the consular section. The political and economic officers serve as backup for the consular officer. The consular officer and consular assistant also cover global issues. The small consular waiting room is adequate for the low volume of consular clients who use the web-based visa appointment system. The section features appropriate signage and printed information.

The Bureau of Overseas Buildings Operations has funded a security upgrade that will also construct a wall between the consular and main chancery waiting areas, and establish separate public entrances. The OIG team observes that the wall may not be necessary given the small consular workload and small number of other visitors. The current physical layout does not permit optimal line-of-sight views into the waiting room. Further, the consular officer's office is located in the embassy's controlled access area of the embassy. These issues cannot be adequately resolved until a purpose-built consular section is built in a new embassy compound. A new embassy compound is not scheduled for construction until 2014.

Embassy Windhoek's American citizens services workload is light but occasionally complex. It included three high profile judicial assistance cases in 2007, and welfare and whereabouts searches in remote areas of Namibia. According to the Report of Potential Evacuees, updated in January 2008, an estimated 600 unofficial Americans reside in Namibia and another 500 visit the country at any given time, depending on seasonal tourism fluctuations.

Most resident Americans can be reached through the embassy's comprehensive warden system, and the OIG team endorsed the consular manager's intention to include owners of hotels and lodges commonly frequented by tourists. The e-mail-based warden system is activated monthly to relay items of general interest to Americans, including how to renew passports and obtain additional pages, plus absentee voting and income tax procedures. The system is activated as needed to relay more urgent advice on health issues including avian flu and measles outbreaks as well as safety or security notices involving Namibia or neighboring countries.

For the past several years, the nonimmigrant visa workload has averaged just over 1,000 applicants annually. The embassy maintains an unusually low refusal rate, about 5 percent, because most applicants demonstrate strong long-term ties to Namibia. A recent validation study helped the section give additional scrutiny to certain categories of applicants, particularly those from third countries and prospective au pairs with weak socioeconomic ties.

Following regulations, the DCM regularly reviews a representative sample of visa issuances and refusals. There have been no visa referrals since the current consular officer arrived in July 2007. The visa referral policy was updated in January 2008. All immigrant visa processing and related information is handled regionally by Consulate General Johannesburg.

Consulate General Johannesburg's regional consular officer provides regional support to Embassy Windhoek's consular operations through periodic visits, telephone contacts, and e-mailed guidance. Embassy Windhoek's consular officers visited Consulates General Johannesburg and Cape Town for consultations in 2007. The most recent regional consular officer visit took place in 2006. The OIG team left an informal recommendation that Embassy Windhoek contact the incoming regional consular officer to establish a semiannual schedule of visits.

RESOURCE MANAGEMENT

Agency	Direct-Hires	Eligible Family Member	Locally Employed	Funding FY 2008
State – program and consular	9 DH	2 EFM	5	\$871,700
State – ICASS	3 DH	3 EFM	26	\$1,763,633
State-PEPFAR	1 DH		3	
State – Diplomatic Security	1 DH		1	\$446,566
USAID	4 DH	1 EFM	8	\$54,347,760
State-Public Diplomacy	1 DH			\$432,400
Peace Corps	3 DH		21	\$1,985,600
U.S. Department of Defense	2 DH		3	Funding not available
US Department of Treasury	1 DH			Funding not available
Totals	25	6	67	Not additive

MANAGEMENT OPERATIONS

Management operations are challenged by the need to respond to newly emerging front office involvement in activities. Overall, the OIG found that management sections perform very well and exceed expectations. For example, to compensate for the lack of any maintenance staff, the embassy's general services section awards and uses nearly 60 blanket purchase agreements for goods and services. Many are mul-

multiple awards for similar items to ensure competition even at the micro-purchase level. Delays in getting repairs are often related to vendors' other customers and commitments rather than a lack of response and concern on the part of embassy staff.

Embassy Windhoek has contracted out maintenance functions since it was established. New requirements for petty cash transactions not to exceed \$25 have made other simpler but urgent purchases more difficult. The human resources section's responsibilities are diffused and supervisory responsibilities are split between the management officer and the financial management/human resources officer. The section plans to review and revise these position descriptions, and consolidate the supervisory roles.

Human Resources Management

Embassy Windhoek's direct-hire human resources officer is also the financial management officer. Both sections perform well. The human resources section, however, is being reviewed and should be readjusted. Three local staff have responsibilities for human resources management. One is the human resources specialist, who reports to the human resources officer and has an appropriate workload. The second is the nurse, who reports to the management officer. The nurse's position description, which is split 60 percent medical duties and 40 percent human resources duties, includes responsibilities for local employees' evaluations, within grade promotions, and other miscellaneous functions. The human resources officer does not have oversight for these tasks. The third is the administrative assistant, who also reports to the management officer and performs some human resources management tasks. This is inefficient use of staff and does not give the human resources officer oversight of all of the human resources functions.

Recommendation 2: Embassy Windhoek should create a new position for a human resources assistant that consolidates the human resources tasks from the existing nurse and administrative assistant position descriptions; advertise, recruit, and fill the position; and have the position report to the human resources specialist and the human resources management officer. (Action: Embassy Windhoek)

Recommendation 3: Embassy Windhoek should remove all human resources-related tasks from the nurse's position description, leaving only health-related tasks; adjust work hours, if necessary, to reflect the reduced duties; and have the nurse report to the management officer. (Action: Embassy Windhoek)

The administrative assistant, in addition to some human resources tasks, also performs tasks related to value-added tax returns, which properly belong in the financial management section. This creates a redundancy.

Recommendation 4: Embassy Windhoek should remove human resources tasks and value-added-tax tasks from the administrative assistant position description and determine whether the position is still needed. (Action: Embassy Windhoek)

Financial Management

This section works very well with a four-person staff and financial management officer. The cashier is quick and accurate, and performs other duties as needed. The accountant ensures that unliquidated balances are up-to-date and that obligations are appropriate. The budget analyst is experienced and understands U.S. government requirements. The cooperation with the procurement section is also remarkable, helping to expedite purchasing.

General Services Operations

About three years ago, the procurement section's two local staff devised an innovative method to ensure maintenance could be accomplished in a timely manner by awarding multiple blanket purchase agreements to many local vendors. They accept credit cards, thus eliminating a constant need for petty cash. Moreover, having purchase authorizations in hand saves time on creating and completing purchase orders. The section uses multiple vendors to ensure that competition within the service or material segment continues to "spread the wealth."

The small motor vehicle pool is responsive and boasts of drivers whose safety record is unblemished. There is, however, one driver who is taxed with overtime that has amounted to 20 to 38 hours for the last 6 pay periods and exceeded 40 hours during one pay period. This driver has worked almost every weekend since the

beginning of December 2007. This excessive overtime is inappropriate and does not meet safe driving requirements (U.S. Department of State Motor Vehicle Safety Management, July 2002). The OIG team left an informal recommendation regarding this safety issue. The alternatives to using a sole driver would be to use the designated backup driver alternately or to hire an additional program driver.

Again, with minimal staffing, the general services section has one employee who successfully performs travel, transportation, and customs and shipping functions. Embassy Windhoek's warehouse is clean, well organized, and properly segregated. Both warehouse employees had forklift training, wear safety shoes, and maintain a can-do attitude. Nonexpendable property application stickers are affixed as required.

Facilities Management

The noteworthy facilities management section, in excellent cooperation with the general services section, benefits greatly from the number of blanket purchase authorizations that provide facilities-related goods and services. The minimally staffed section takes care of 14 U.S. government-owned properties, the chancery, 12 short-term leased properties and, on occasion, USAID's five U.S. government-owned properties. USAID has its own short-term leases for its properties. The chief of mission residence had many repairs and upgrades, including pool fencing, prior to the Ambassador's arrival.

The facilities manager, the maintenance supervisor, work order clerk, three janitors, and the security escort/facilities assistant comprise the total staffing. Consequently, the facilities manager spends most of his time writing statements of work for the myriad contractors, or overseeing contractors' work at various residences and the chancery. The facilities manager has taken the Department's contracting and contracting officer representative courses. USAID uses its own contractors for its maintenance needs.

All of the houses have swimming pools. The DCM's pool does not have a fence. The management officer and the facilities manager discussed various fencing and backyard configurations, and plan to have a fence installed during the make-ready period scheduled for July 2007.

The section would benefit greatly with the addition of a technically qualified electrician who could potentially provide other technical expertise in a facilities management role. The mission is anticipating a need for residential generators as Namibia is beginning to implement load-shedding tactics to cover electrical power shortfalls.

Thus air conditioners that now require constant attention will be joined by the need to maintain generators. The OIG team endorses the need for the electrician, and informally recommended that the mission develop a position description and review it with the International Cooperative Administrative Support Services council.

INFORMATION MANAGEMENT

This section, with two direct-hire Americans, two local staff, one receptionist, and the mailroom clerk, provides full service to the entire embassy and several off-site locations. There is abundant praise for a newly evident customer-service work ethic and for its innovations. The officers pay close attention to security duties.

The innovations, to name a few, include remote access to international voice gateway communications, American television programming, quick response to problems with fingerprinting in the consular section and other system emergencies, piloting a radio upgrade, increasing local bandwidth, and getting new radios.

QUALITY OF LIFE

COMMUNITY LIAISON OFFICE

Embassy Windhoek's community liaison office (CLO) serves 72 clients. The new CLO coordinator, still waiting for a security clearance, is scheduled for family liaison office-sponsored training in mid-2008. To meet CLO program goals, the OIG team urged the mission to invite the CLO coordinator to country team meetings once the security clearance is granted.

The CLO's priorities are to provide comprehensive welcomes to new arrivals, to include local staff and their families in group activities with Americans and their families, and to host events for both single officers and those with families. The CLO coordinator may begin to ask locally employed staff to serve as cosponsors for new arrivals to help orient them to their new environment from a Namibian perspective. A second CLO staff member works 10 hours weekly to edit the embassy's biweekly newsletter called The Skeleton Coast Post. The CLO coordinator also maintains a revolving library and compendium of travel information for attractions in Namibia and surrounding countries.

HEALTH UNIT

A locally employed nurse competently manages Embassy Windhoek's health unit and also performs human resources functions. The human resources specialist, also a registered nurse, is her backup. The unit maintains a limited supply of prescription medications and few controlled substances because quality medications are available in Windhoek. The nurse inventories stocks regularly, uses appropriate safeguards, and disposes of outdated items.

Regional support is provided by Embassy Pretoria's regional medical officer, who has visited every six months, and by the regional psychiatrist who last visited in April 2006. There were two medical evacuations in 2007 for nonemergency conditions that could not be treated locally.

The nurse participates in Department-sponsored continuing medical education training and has conducted periodic courses in food handling techniques, first aid, and cardiopulmonary resuscitation. (b) (2)(b) (2)(b) (2)(b) (2)(b) (2)

SCHOOLS

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The school has received an average of \$34,000 in grants from the Department's Office of Overseas Schools for the past three years. In years past, there were grants from the Department's Bureau of Diplomatic Security that funded infrastructure upgrades.

The regional education officer visited in March 2007. Mission management told the OIG team that the Office of Overseas Schools and the education officer provide excellent support and respond quickly and creatively to the mission's questions.

AMERICAN EMBASSY EMPLOYEES ASSOCIATION

A three-member board of directors manages the American Embassy Employees Association. Its sole function is to administer the "Homeward Bound" program designed to send parcel mail to the United States at the cost of U.S. postage and the cost of international air cargo rates. The association conducts semiannual meetings and submits regular reports to the Department's Office of Commissary and Recreation Affairs.

FORMAL RECOMMENDATIONS

Recommendation 1: Embassy Windhoek, in coordination with the Bureau of Economic, Energy, and Business Affairs, should request that the U.S. Trade and Development Agency and the Millennium Challenge Corporation create direct links between their grants and the dissemination of trade leads to U.S. firms. (Action: Embassy Windhoek, in coordination with EEB)

Recommendation 2: Embassy Windhoek should create a new position for a human resources assistant that consolidates the human resources tasks from the existing nurse and administrative assistant position descriptions; advertise, recruit, and fill the position; and have the position report to the human resources specialist and the human resources management officer. (Action: Embassy Windhoek)

Recommendation 3: Embassy Windhoek should remove all human resources-related tasks from the nurse's position description, leaving only health-related tasks; adjust work hours, if necessary, to reflect the reduced duties; and have the nurse report to the management officer. (Action: Embassy Windhoek)

Recommendation 4: Embassy Windhoek should remove human resources tasks and value-added-tax tasks from the administrative assistant position description and determine whether the position is still needed. (Action: Embassy Windhoek)

INFORMAL RECOMMENDATIONS

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

The local staff liaison for Equal Employment Opportunity is the human resources specialist which may compromise confidentiality.

Informal Recommendation 1: Embassy Windhoek should designate a local staff Equal Employment Opportunity liaison who is not associated with the human resources office.

The regional consular officer has not visited Embassy Windhoek since 2006.

Informal Recommendation 2: Embassy Windhoek should ask the regional consular officer at Consulate General Johannesburg to establish a semiannual schedule of visits.

A sole motor vehicle driver has accumulated excessive overtime contrary to the Department's Motor Vehicle Safety Management requirements.

Informal Recommendation 3: Embassy Windhoek should either use the backup driver alternately or hire an additional program driver.

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Embassy Windhoek maintains many air conditioners and expects to get generators shortly.

There is no one on the local staff with the capability to maintain these assets.

Informal Recommendation 5: Embassy Windhoek should develop a position description for an electrical or other technical staff, share it with the International Cooperative Administrative Support Services council, and recruit and hire someone to fill this position.

PRINCIPAL OFFICIALS

		Arrival date
Ambassador	G. Dennise Mathieu	11/07
Deputy Chief of Mission	Eric Benjaminson	07/05
Political Officer	Mark J. Cassayre	07/05
Economic Officer	Adrienne Galanek	07/05
Public Diplomacy Officer	Ray Castillo	08/06
Management Officer	Marja Verloop	10/05
Consular Officer	John LaRochelle	07/07
Regional Security	David Embden	07/06
Other agencies:		
U.S. Agency for International Development	Gary Newton	07/04
Peace Corps	Hannah Baldwin	07/07
Centers for Disease Control and Prevention	Jeffrey Hanson	09/07
U.S. Department of Defense Defense Attaché	Christian Ramthun	12/07
U.S. Department of Treasury	James Springer	09/07

ABBREVIATIONS

DCM	Deputy chief of mission
CDC	Centers for Disease Control and Prevention
CLO	Community liaison office
OIG	Office of Inspector General
PEPFAR	President's Emergency Program for AIDS Relief
USAID	U.S. Agency for International Development

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