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

**Inspection of
The Bureau of Consular Affairs,
Office of Consular Systems and
Technology**

Report Number ISP-I-11-51, May 2011

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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 AND SCOPE

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, and Section 209 of the Foreign Service Act of 1980, as amended. It is one of a series of audit, inspection, investigative, and special reports prepared by OIG periodically as part of its responsibility to promote effective management, accountability and positive change in the Department of State and the Broadcasting Board of Governors.

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, as appropriate, 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 "H.W. Geisel". The signature is fluid and cursive, with a large loop at the end.

Harold W. Geisel
Deputy Inspector General

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Key Judgments

- The Office of Consular Systems and Technology (CST) succeeds in its mission of supporting consular operations around the world, enabling the Bureau of Consular Affairs (CA) in 2010 to issue 13.8 million passports and 6.4 million visitor visas, respond to crises in Haiti and elsewhere, and protect the millions of Americans traveling abroad. However, there are areas that require attention.
- The director has a clear, well-articulated vision for his office as an exemplar of information management in the Federal Government. He deserves credit for his accomplishments and leadership role. His larger-than-life persona dominates the office. Although the director possesses strong technical skills and a fierce determination to achieve his goals, his managerial approach has created tension within CST and friction with other bureau and Department of State (Department) offices. Now that CA leadership has weighed in and the Department's Civil Service ombudsman has begun a dialogue with CST, tension levels have eased; however, there is need for continued effort in and oversight of this matter.
- The current CST leadership structure is too centered on the office director and needs a durable institutional framework. Moreover, internal communication is lacking. To address these issues, CST must promptly fill the long-vacant deputy position; revitalize and recast the Program Management Office (PMO) and the Liaison Division (LD) so that they may play their essential coordination and communication roles; and establish a management support unit.
- The Consular Consolidated Database (CCD) is central to all consular operations and is an important element of U.S. national security systems. Although CST provides outstanding critical consular data delivery to the Department and other Federal agencies, (b) (5)
[REDACTED]
[REDACTED]
- Communication between CST and other parts of CA is uneven. CA needs to revitalize the information technology strategy committee (ITSC) and hold operational-level meetings in order to be more proactive in establishing information technology (IT) policy and prioritizing CST's development efforts. CA business units need to establish subunits to focus on IT requirements and to act as first points of clearance for a revised configuration change request (CCR) process.
- The Global Visa System (GVS) development program is, to date, a successful model for new product development and cooperation between CA's business units and CST. It should be used in Global Citizen System (GCS) development. In the meantime, however, the maintenance of and support for legacy systems are critical to CA's continuing operational needs.

- CST's training program is strong and successfully supports the deployment and ongoing improvement of consular systems in the field. However, CST needs to capitalize on its personnel with field experience by assigning Foreign Service officers to positions within its development and operations divisions.
- The systems development life cycle (SDLC) process should define project management phases from beginning to end. Because the SDLC is not standardized or enforced, some projects are not meeting intended business and systems requirements.
- Contract oversight is a major function of CST. The director takes great personal interest in this area, but contracting officer representatives (COR) vary in the effectiveness of their oversight. CST needs to ensure that all CORs are correctly trained and designated. CST also needs to carefully follow procedures for modifying existing contracts and task orders and to establish a procedure for periodic independent audits of CST contracts. To assist in this effort, CA has authorized 19 new positions for CST. The OIG team acknowledges the need for additional personnel but with the caveat that these increases be implemented within the context of a plan that reevaluates CST's current organizational structure and is based on a strategic assessment of the office's future needs.
- Access controls for assigning and tracking user accounts in various critical systems in CST need to be strengthened.

The inspection took place in Washington, DC, between January 18 and March 4, 2011.

(b) (6)



Context

CST succeeds in a very daunting mission. Every aspect of modern consular work depends on automated consular systems. CST systems in FY 2010 enabled CA to issue 13.8 million passports and 6.4 million visitor visas, respond to crises in Haiti and elsewhere, and protect the millions of Americans traveling abroad. The office maintains the CCD, a critical operational and national security database, which contains over 137 million American and foreign case records and over 130 million photographs and is growing at approximately 40,000 visa and passport cases every day. Serving 11,000 users in the Department and more than 19,000 users in other agencies, primarily the Department of Homeland Security (DHS) and various law enforcement elements, it is accessed more than 120 million times every month.

To carry out its mandate, CST must provide uninterrupted support to 233 overseas posts, 21 passport agencies, 2 passport processing centers, and other domestic facilities, for a total of 30,000 end users across 16 Federal agencies and in nearly every country. CST faces 24/7/365 service requirements, as any disruption in automated support brings operations to an immediate halt, with very serious implications for travelers and the U.S. image.

CST is led by a director and is staffed by 68 full-time equivalent (FTE) employees (62 Civil Service and 6 Foreign Service). There are 12 positions (3 Foreign Service and 9 Civil Service) currently vacant. CA recently authorized CST 19 additional FTE positions. There are also more than 850 contractors operating under nearly 30 different contracts. In FY 2010, CST's annual operating budget was approximately \$266 million. Supported by machine readable visa fees, CST has been able to respond quickly to changing security requirements and congressional mandates.

CST has been and continues to be a leader in automation within the Department. Many systems and processes later adopted as general Department standards were initially piloted by CST or its predecessor, the Consular Systems Division. In recent years, CST has deployed systems to perform real-time fingerprint and facial recognition checks on every visa applicant. The office also implemented a Web-based visa application process and has enhanced the security of U.S. passports and consular reports of birth abroad (CRBA). CST is now working on the next generation of consular automated systems, GVS and GCS, to integrate multiple older applications and to take full advantage of current IT capabilities. CST has steadily grown from a small, in-house support shop to a major technology player in the Federal Government.

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Executive Direction

Leadership

The CST director was recruited directly from private industry in June 2007. With his larger-than-life persona, he has had a dramatic impact on CST. The director has a clear, well-articulated vision of CST's future that entails transforming it into an exemplary cutting-edge IT operation within the Federal Government. He is in the process of realizing this vision. Possessing strong technical skills, a driving personality, and a fierce determination to achieve his goals, he deserves much of the credit for CST's recent accomplishments. The Bureau Assistant Secretary and his supervisor, the principal deputy assistant secretary, support him and have signed on to his vision for CST and its IT strategy for supporting bureau stakeholders.

The director has instilled his sense of mission in many of his CST staff members, who generally, but not universally, respect his intellectual and technical skills. He takes pride in his commitment to broadening the professional skills of his technical staff. He dominates the office by his force of personality and rules with a blunt, no-nonsense, top-down managerial style that is punctuated by sporadic emotional public outbursts, often directed against individual staff members, as well as tirades occasioned by bureaucratic encounters with other CA and Department offices. At times, he has issued diktats to members of staff, prohibiting or restricting their contact with other entities in the Department (in one instance, the Visa Office came under his interdict). Whatever the efficacy of these prohibitions, they have constrained CST's relationships within CA and have created an atmosphere in which some of CA's other offices and some bureaus try to avoid personal encounters with the director. Unsurprisingly, communication and coordination with CST are often described as difficult and frustrating experiences. On the other hand, relations with other agencies, such as DHS, the Federal Bureau of Investigation, and the Social Security Administration, appear excellent. The director and the office are also well respected in the broader IT community.

Morale

Morale in CST can best be described as mixed. Some of the CST staff view the director's management of the office as stimulating and challenging; others resent it. Even those who admire the director's leadership and accomplishments most, view his emotional outbursts as embarrassing and inappropriate. Issues relating to the director's management style, particularly his penchant for public emotional outbursts, came to a head in September and October 2010, when the Assistant Secretary and principal deputy assistant secretary reacted to reports of yet another angry eruption directed against individual employees at a CST meeting.

As a result, the Office of the Ombudsman established an ongoing dialogue with CST. A senior CA official also provided firm written guidance to the director on the need to curb his emotions and work on anger management. In the ensuing 4 months and through the OIG inspection, staff members confirmed that, although not perfect, the atmosphere had improved, with a perceptible easing of emotional tension within the office. Staff members expressed relief

and hope that the improvement in the atmosphere would persist beyond the presence of the OIG inspection team.

In discussions with the CST director and the CA front office, the OIG team has stressed the need to build on the present progress and has identified the following areas for improvement:

- Development of better personal interrelationships within CST and with peers in the bureau.
- Development of better downward communication and delegation of authority within CST.
- Use of the CA's "Consular Leadership Tenets" as a guide and template for improving leadership performance.

Recommendation 1: The Bureau of Consular Affairs should design and implement a plan to monitor, on a continuing basis, the work environment in the Office of Consular Systems and Technology and take corrective action as necessary. (Action: CA)

Recommendation 2: The Bureau of Consular Affairs should hold quarterly performance reviews with the director of the Office of Consular Systems and Technology, using the bureau's Consular Leadership Tenets as a template. (Action: CA)

The OIG team also stressed the need to strengthen the institutional structure of the office as a counter to the current personalized focus on the office director. Recommendations to this effect are found throughout the report.

Vacant Deputy Position

The CST deputy director position has been vacant since the Foreign Service incumbent left more than 18 months ago. CST changed the job designation from Foreign Service to Civil Service and also upgraded the required IT qualifications so that it could recruit a candidate with the technical and other qualifications needed to one day succeed the deputy director. The CA front office supported this approach.

Subsequently, from October 2009 until December 2010, the GS-15 deputy director position has been posted four times, each time with two certificates (all sources and government wide). None of the numerous applicants have made the cut. CST screeners are becoming increasingly convinced that no likely candidate at the GS-15 level will meet the current requirements. They believe that the position would have to be designated at the Senior Executive Service job level to attract any successful bidders; however, the CA front office has ruled out that option. CST is left with two options: either continue on its present course without prospect of any near-term success or revise the position qualifications to put less emphasis on a high level of IT competence.

The OIG team believes the vacant deputy position must be filled promptly. After such a long gap, the office is badly in need of a deputy to pull together the disparate management threads; serve as a buffer/conduit for the director in running the office; and give CST an officer with sufficient seniority to deal at the operational level with the CA stakeholder directorates. A functioning deputy would also help the office move from the present leadership structure to a more regularized, institutional framework. Consequently, the OIG team is in favor of changing the focus of the position to emphasize managerial and operation skills. However, if CST and the CA front office wish to persist in the current search for a candidate with strong IT skills, it would be advisable to select an interim deputy director to fill the position in the meantime. CA may also consider broadening any search for an interim deputy by including, as a possible stop gap, senior Foreign Service officers (FSO) with executive experience.

Recommendation 3: The Bureau of Consular Affairs should promptly fill the deputy director position in the Office of Consular Systems and Technology. (Action: CA)

Management Support Unit

CST does not have a structured management support system that is sufficient for its needs. Three full-time contract employees provide support for the director, handling administrative tasks such as travel, scheduling, and other activities. One contract employee serves as the director's special assistant. However, there is no centralized focus for significant cross-cutting management issues. As a result, CST relies on ad hoc arrangements that include assigning administrative tasks to division chiefs. For example, one division head is charged with coordinating the office's personnel increase; another handles the office's recruitment process for the vacant deputy job.

CST's handling of the OIG inspection is illustrative of the problems that it faces in dealing with cross-cutting management issues. Before the inspection, CST brought back the former deputy director, now minister counselor at Embassy New Delhi, for three weeks to coordinate preparations for the inspection. During the inspection itself, the inspectors had to chase down documents and items relating to basic management issues. The OIG team explained to the director that the procedures related to the OIG compliance process would require the creation of an ad hoc staffing/procedural structure to manage the process, as the present organizational structure is inadequate for the task.

With the office facing a major expansion in personnel over the next 2 to 3 years, CST badly needs a structured management support unit in place now to plan for and handle these issues effectively and to provide the necessary oversight for and supervision of the contractors.

Recommendation 4: The Office of Consular Systems and Technology should establish a management support unit that incorporates present staff and is headed by a management officer. (Action: CST)

Rightsizing

CST's current staffing and organizational structure is based on its August 11, 2008, reorganization plan, in which the ultimate target for staffing was 91 FTEs. CST currently has 68 FTEs authorized (62 Civil Service and 6 Foreign Service). At the time of the inspection, 12 of these positions were vacant. In its November 18, 2010, memorandum, CST requested and was granted approval for 19 additional Civil Service FTEs to reach the levels projected in the 2008 reorganization plan. CST also noted that it anticipates requesting an additional 20 FTEs during the 2012–13 period. During the inspection, the office was in the process of informally allotting the 19 positions to the individual divisions on the basis of each unit's perceived needs.

Based on its own observations, the OIG team agreed on the need for additional staffing to adequately supervise CST's complex contracts and large contingent of contractors. However, the OIG team stressed that the office needed to approach the absorption of such a large number of new personnel as part of a larger strategic, forward-looking plan. Ideally, such a plan would encompass a reevaluation of the present organizational structure based on recent experience and would project a vision of CST's future needs. In response, CST has advised that it will bring in a contractor to assist in putting together a draft plan for use of the additional FTEs that is based on a strategic assessment of the office's future direction and the lessons learned in the 3 years since establishing the current organizational structure. The plan envisions using the contractor team that assisted in the original CST 2007 organizational plan and would specifically look at any necessary adjustments to current staffing patterns in order to align office resources with new requirements. The OIG team has endorsed the prompt implementation of CST's initiative.

Recommendation 5: The Office of Consular Systems and Technology should create and implement a plan to reevaluate the present organizational structure and personnel needs based on a strategic assessment of the office's future direction and lessons learned under the present organizational framework. (Action: CST)

Communication and Coordination

Bureau of Consular Affairs

CST stands at the nexus of everything that CA does, and every part of the bureau praises CST's technical expertise and accomplishments. At the same time, however, the interaction between CST and the business process stakeholders (the other directorates and offices within CA), is spotty, with frustration on the part of CA business units concerning a lack of a clear process for communicating and for establishing priorities for the maintenance, development, and support of automated systems. There is fault on both sides. The business process owners themselves need to take greater responsibility for establishing these priorities. At the same time, CST has sometimes made decisions for technical or budgetary reasons without coordinating with the operators in the field or the business process owners. One such decision seriously affected billing operations at the National Visa Center and required significant effort to redress.

Several mechanisms exist in theory to enable CA stakeholders to express their opinions on the prioritization of CA automation. However, at present, these mechanisms are largely moribund or very narrowly shaped. Moreover, the CA business units themselves vary significantly in their ability to focus on IT issues that affect their interests. Although the Office of Passport Services and the Office of Visa Services have dedicated units to track these matters, other key players, such as the Office of Overseas Citizens Services, the Office of Fraud Prevention, and the Office of Executive Services (EX), are less clearly structured and insufficiently staffed to carry out this critical function. Each element in CA needs this capability for the correct implementation of the CCR function (see the section on the CCR request process). However, these offices should not duplicate CST functions, such as systems development.

Recommendation 6: The Bureau of Consular Affairs should require each of its major offices to designate an individual or small unit to serve as the central liaison for information technology issues. (Action: CA)

Information Technology Strategy Committee

In theory, the ITSC is the senior governance and policy-making body for IT-related issues in CA. The committee is chaired by the bureau principal deputy assistant secretary and is nominally composed of the three functional deputy assistant secretaries and CA's office directors. The committee's stated tasks and responsibilities include considering all major IT projects; prioritizing individual project business cases; conducting quarterly reviews as part of its governance role of projects in progress (including risk, financial, and achievements reviews); and tracking problems.

Established in mid-2008, the ITSC was to have met on a quarterly basis. However, the ITSC met only once in 2010 and only four times in the past 2.5 years. These meetings served primarily as platforms for the CST director to brief CA principals on CST programs. They did not involve give and take or reflect any input in establishing bureau-wide IT priorities. No

records of the meetings were kept. It is important that CA revitalize the ITSC with agendas that engage participation by all CA elements.

In addition, regular meetings need to be constituted at the operational level that involve the CST deputy, when that position is filled, and the business unit managing directors. Such meetings would ensure that the needs of the business units are clearly understood by CST and, in turn, that the business partners are fully informed of the current state of IT issues of interest to them.

Recommendation 7: The Bureau of Consular Affairs should hold regular meetings of the information technology strategy committee to discuss information technology issues and priorities. Records of the meetings should be maintained and disseminated. (Action: CA)

Recommendation 8: The Bureau of Consular Affairs should convene monthly operational meetings that are chaired by the deputy director of the Office of Consular Systems and Technology and attended by the deputies or managing directors of the bureau business units. (Action: CA)

Data Share Working Group

The data share working group is another CA-established coordinating body that has fallen into disuse. It was formed in September 2009 following approval by the bureau's Assistant Secretary. Chaired by a senior advisor assigned to CST, the group's purpose was "to work closely with CA directorates to coordinate new and ongoing data sharing efforts and to ensure that CA takes a unified approach to data sharing." Since its foundation, the group appears to have met only sporadically and not at all since the senior advisor transferred to another position in summer 2010. When functioning, the group appears to have facilitated the 2009 and 2010 signings of roughly six memoranda of understanding or agreements with other agencies, notably with the Federal Bureau of Investigation, Secret Service, and DHS.

The group appears to have been successful in its narrow focus of promoting data sharing among agencies. However, there is no reason that the chairmanship of this policy coordinating group should reside in CST, whose role is to facilitate whatever data sharing is approved by CA.

Recommendation 9: The Bureau of Consular Affairs should revitalize the data share working group by appointing a new chairperson who reports directly to the Bureau of Consular Affairs' front office and by institutionalizing the group's procedures to include regularly scheduled meetings and reporting. (Action: CA)

Configuration Change Request Process

CCRs constitute the process by which CST evaluates and assigns requests for specific changes to existing consular applications or suggestions for new functionality. The current process by which CCRs are generated, submitted, tracked, evaluated, accepted or rejected,

assigned, completed, and deployed is essentially ad hoc. The CST configuration management branch (CM) is responsible for managing this process. CM released a new version of the change management plan that will take effect on March 1, 2011.

At present, change requests originate in the field and in CA headquarters. There are thousands of CCRs now in the system, some of them many years old, which have no disposition. Requests are submitted to the Helpdesk as trouble tickets and are tracked through the Remedy software. Some changes come to CST from CA as the result of modifications to laws and regulations. Others are the result of experience with the current applications or of policy changes in CA. A request for an enhancement to the consular taskforce software and a decision to move production of CRBAs to a domestic facility are examples.

At irregular intervals, CST refers CCRs to the CA offices that control the business process affected by the CCR. The persons responsible for prioritizing relevant CCRs are often selected haphazardly. Moreover, the CA offices have no information concerning the costs in time or money for adopting a given CCR. Once the CCRs are prioritized, CST eventually chairs a configuration change board to identify those CCRs to be included in the next release of a given application.

The new CM procedure is intended to receive, track, and dispose of all CCRs in 90 days and to report this disposition to the originators. This procedure clarifies the way in which CCRs should be evaluated as to cost in time and money, impact on the system, and value; however, this evaluation process is largely internal to CST. Although a version of this process has been in place for some time, it does not function in actual practice. In fact, the CST director must approve all but mandated changes. CST policy is to implement minimal changes to legacy systems in favor of putting all CST resources toward the development of new-generation GVS and GCS programs. Consequently, few CCRs that do not originate in the CA front office or as a result of changes in the law or regulations receive serious consideration.

Even under the new plan, the CCR process is backward. Decisions on the maintenance of and modifications to automated systems need to be evaluated and prioritized by the affected business units before being submitted to CST. Before making their recommendations, the business units need to understand the cost of changes in time and money as well as the ramifications for existing operations. All CA business units must be kept informed of the status of all CCRs. This process needs to include an initial review of CCRs from the field in the affected business units and, for those not rejected at this point, a subsequent review by the business units after CST has reported on potential cost and impact. A final decision on which CCRs to approve, the priority in which to address them, and the appropriate application of development resources can then be made by CA management. All stages of this process must be transparent.

Recommendation 10: The Bureau of Consular Affairs should revise the change management process so that it is transparent and incorporates input from relevant Bureau of Consular Affairs business units. Change configuration requests should be directed for initial review to the office

or directorate responsible for the affected business process. Requests selected for further consideration should then be evaluated by the Office of Consular Systems and Technology for time and cost. The Bureau of Consular Affairs management should make the final decision on acceptance and prioritization of change configuration requests and return approved requests to the Office of Consular Systems and Technology for implementation. (Action: CA)

Recommendation 11: The Office of Consular Systems and Technology should report the disposition of all change configuration requests to the business units and to the field on a regular and timely basis. (Action: CST)

Policy and Program Implementation

Organization

CST underwent reorganization after the arrival of the present director in 2007. The goal was to change from an organization that was project focused to one defined more by information systems functions. The reorganization has not been a complete success in that it has broken down some "stovepipes" while, in some cases, making new ones. The names of the divisions and their responsibilities, broken out later in this section, are obscure to outsiders and even to some within CST.

Informal Recommendation 1: The Office of Consular Systems and Technology should consider renaming its divisions to make them and their functions more understandable to business partners.

Program Management Office

PMO was created as a result of a 2005 OIG inspection (ISP-CA-05-05) recommendation. Its purpose was to provide a centralized focus within CST to improve and standardize project delivery, operational efficiency, and budgetary oversight. The office is currently staffed by 32 contract personnel (the equivalent of 26 FTEs) dealing with the enterprise strategy and management program and, under a separate contract, a 3-person management support subunit dealing with financial execution duties and limited internal administrative functions. Currently, there are no FTE government employees assigned to the office. The Enterprise, Technology, Architecture, and Process (ETAP) Division director is dual hatted, serving as acting director of PMO and, in his capacity as the ETAP branch chief, as the COR for the two contracts.

As originally conceived, PMO was to be at the core of CST operations, providing the skills and focus for a number of cross-cutting issues focused particularly on enterprise strategy/planning and standardized program management. In the years after its inception, PMO did not perform to the expectations of the CST director. Consequently, in June 2010, CST gutted the original structure, eliminated all of the direct-hire government positions in the unit, and chartered a contractor to develop a new organizational context and programs to create an effective entity to support CST operations in enterprise planning and governance and in enterprise management and project management support.

In reviewing PMO current operations and its projected responsibilities, the OIG team supports the new direction that PMO is taking and acknowledges the need to revitalize the PMO function. However, the OIG team believes that the current projection of PMO responsibilities is too broad and serves more as a laundry list than as the basis for concrete implementation. The OIG team urges CST to consider an approach that focuses on the following three areas of concentration:

- (1) Enterprise strategy and management: This area encompasses the current work program now being ably developed by the contractor staff.
- (2) Enhanced institutional budget capacity: At present, CST has no central mechanism at the office level to bring senior-level budgetary oversight/integration to the office's programs and projects. These tasks are now being handled by the director and division directors in an ad hoc fashion. Although the PMO administrative support subunit provides a limited technical capability to build on, CST needs a mechanism for senior-level policy input, program prioritization, and coordination within the office.
- (3) Centralized point of focus for contract oversight: In the Resource Management section of this report, the OIG team stresses the need for centralized oversight of office-wide procedures and for monitoring of CST's massive project portfolio. The OIG team recommends that the PMO charter be expanded to include that function.

There are issues relating to the respective roles of CST and CA's Office of the Comptroller (CA/C). The CA front office must more clearly delineate the responsibilities of the two offices. However, given the dimensions and complexities of the contract process, CST would need an enhanced, centralized contract management process under any regime.

In discussing PMO's organizational status with CST staff, there emerged some uncertainty as to PMO's eventual place in the CST organizational structure. There was an informal consensus that the present arrangements could continue, with contractor personnel staffing the office and the dual-hatted ETAP director and COR providing government oversight. The OIG team disagrees with such an arrangement. In the OIG team's view, PMO's essential role is to stand apart from the operating divisions and to provide the capacity at the policy level to deal with cross-cutting program and project issues. Assigning responsibility to one of the operating division chiefs would seem to negate the purpose of setting up the PMO in the first place.

Recommendation 12: The Office of Consular Systems and Technology should revise the current Program Management Office planning documents to create a more concrete action document and include development of enhanced budgetary and contractual oversight responsibilities. (Action: CST)

Recommendation 13: The Office of Consular Systems and Technology should reestablish the Program Management Office as a free-standing division that reports to the Office of Consular Systems and Technology director and deputy director. (Action: CST)

Recommendation 14: The Office of Consular Systems and Technology should assign to the Program Management Office an appropriate level of government personnel, including a GS-15-level director, to provide budgetary and contracting oversight. (Action: CST)

Liaison Division

LD nominally has the responsibility to manage CST's business relationships with end users, CA stakeholders, and partners within the Department and the U.S. Government. LD's most useful role in practice has been in facilitating communication among the divisions within CST and filling organizational gaps for the director. In this capacity, LD is successful, filling many functions that, in theory, would belong to a functioning PMO. In the absence of a deputy director, the acting LD director fulfills some of a deputy's roles. LD also takes ownership of "orphan" projects, which are requests from business units in CA or from the field that have no obvious owner in CST. LD manages such requests, which range from modifications to existing systems to requests for hardware, until they are accepted by a CST division or their dispositions are made. LD endeavors to ensure that projects without a clear "owner" are not forgotten. LD also fills its internal communication role with innovative mechanisms such as its "Spotlight" series of internal meetings, which focus on a subject of interest to all CST units. A recent Spotlight focused on a new CCR process. LD is also working to reestablish a CST leadership team.

However, LD currently does not succeed in its function with regard to the other elements of CA. Led by an FSO acting director and staffed by FSOs and other nontechnical specialists, LD cannot assist stakeholders in developing technical specifications for their requirements. Nor does it have sufficient understanding of the work of the CST development teams or other divisions to handle inquiries from stakeholders directly. Instead, LD must request information from the CST divisions and then convey it to the inquirers. Adding this layer increases the potential for misinformation. In actual practice, the technical specialists in the CA business units frequently communicate directly with government technical monitors (GTM) and the lead CST contractors.

At best, LD staff participates in information exchanges and coordinates meetings. Given the LD staff's lack of technical expertise, the fast pace of the CST divisions' work, and the changing requirements of the business units, LD is unlikely to be able to serve satisfactorily as the single point of contact between CST and the CA business units. For project matters, CST already has a better model in the current development of the new GVS program, where an imbedded FSO serves as the primary point of contact for inquiries.

Recommendation 15: The Office of Consular Systems and Technology should revise its concept of operations so that responsibility for communicating with the Bureau of Consular Affairs business units is transferred from the Liaison Division to specifically designated employees in each of the divisions. (Action: CST)

Subject Matter Experts

CST currently has six Foreign Service positions: three in the liaison division, one as director of the training branch in the Enterprise Operations Support (EOS) Division, one assigned to the Enterprise Systems Development (ESD) Division as a subject matter expert, and

one currently vacant. Previously, the deputy director of CST was also an FSO. Traditionally, FSOs have provided direct field-user input for the development of consular systems and have served as intermediaries between the IT technicians and the system users. The value of this user input is demonstrated by the contributions by both the training branch chief and the subject matter expert in ESD, who has coordinated the incorporation of field input into GVS development. Inadequate communication between CST and the CA business units can be attributed, in part, to the lack of field experience represented in various branches in CST.

CA users repeatedly noted the value of the subject matter expert in ESD's development team in maintaining contact with the Visa Office and the field as GVS was taking form. This is a team model that will help make GVS a better product and has kept consular users informed about the progress of GVS development. As recommended elsewhere in this report, this model should be duplicated in both the GCS development team and with those teams maintaining legacy systems until both GVS and GCS are deployed.

CST needs practical field experience to develop its products and strengthen communication with the CA business units and the users in the field. Expanded use of employees with overseas experience beyond their current placement in the training branch would provide valuable field input in both the citizen and noncitizen branches of ESD as well as in the deployment branch of EOS. In addition, the broader exposure of consular officers to cutting-edge consular IT programs is important in the creation of a modern officer cadre that is familiar with the full range of IT functions.

Recommendation 16: The Office of Consular Systems and Technology should enhance the direct field experience in its units by moving Foreign Service officers and others with overseas experience to positions within its development and operations divisions. (Action: CST)

Division Functionality

Some of the responsibilities of each division, particularly those of the technical divisions discussed later in the report, are still not clear and overlap with one another. For example, both Enterprise Systems (ES)/Enterprise Engineering and ETAP/Emerging Technologies are tasked with identifying and testing new technologies to support CST operations. (See the Rightsizing section of this report.) CST needs to educate the other elements of CA and the consular officers in general concerning the functions of the various parts of CST. One place to start is the CST section of the CA Web site, which is out of date and lacks any detailed information about CST's structure.

Informal Recommendation 2: The Office of Consular Systems and Technology should update the information on the Bureau of Consular Affairs Web site to include an explanation of the responsibilities of each division and branch as well as provide points of contact for each branch.

Enterprise Operations Support

The EOS Division provides support for CST's systems deployment, service desk, and training functions. It also provides CA with facilities coordination services.

Training

The CST training branch, directed by a midlevel FSO, does an excellent job in providing training support for all consular systems and applications. Using a variety of methods, including classroom instruction, online courses, and, recently, Adobe Connect sessions, the unit creates, updates, and maintains the training materials and provides online instruction through the Foreign Service Institute and directly in the field. The FSO manager provides useful subject matter expertise to the training process. The training branch has correctly inserted itself into the early stages of the SDLC for new systems or major modifications to existing systems, such as GVS and the consular electronic application center (CEAC). This approach allows the unit to better understand new or modified procedures and to prepare effective training materials in a timely fashion.

The unit maintains a regular schedule of biannual visits to overseas missions to provide hands-on instruction, with some missions receiving yearly training team visits based on employee turnover. The training branch has reviewed these schedules and, with improved distance learning tools, has been able to reduce the number of on-site training visits with significant cost savings. The training branch also manages an on-site training and demonstration facility to conduct employee training, to originate Adobe Connect sessions, and to demonstrate new systems or application modifications. This facility is a useful tool and provides a realistic environment for evaluating CST products and obtaining feedback from the field.

Currently, the training branch does not oversee user training at domestic passport facilities. This training is conducted by the Office of Passport Services. With GCS on the horizon and the merging of domestic and overseas passport processes, it would be appropriate to bring passport office user training under the purview of the training branch.

Recommendation 17: The Bureau of Consular Affairs should consolidate all systems training and user instruction responsibilities under the Enterprise Operations Support branch of the Office of Consular Systems and Technology. (Action: CA)

Enterprise System Development

The Enterprise Systems Development (ESD) Division is responsible for constructing and maintaining the software for the majority of CST systems. ESD works closely with the other divisions in CST to move projects through the full systems lifecycle from inception to retirement.

New System Development

CST's primary focus for system development is the next generation of consular applications, GVS and GCS. These programs will replace multiple older applications and will streamline the visa and American citizens services processes among their various system users. GVS development is an area in which cooperation, information sharing, feedback, and transparency seem to be working well. In terms of the business units, CA has assigned a senior advisor in the Visa Office whose role includes coordinating the development of GVS from the business unit side. Within CST, a midlevel FSO in ESD serves as a subject matter expert and liaison for user development input. Collaboratively, these two officers are ensuring that GVS will meet policy, IT, and user needs. Examples of that cooperation include conducting twice weekly working-level meetings between concerned the Office of Visa Services and CST staff and regularly soliciting input from more than 300 officers and locally employed staff overseas, as well as from the National Visa and Kentucky Consular Centers. As development progresses, teleconferences with online conceptual demonstrations are being held with overseas missions. As the inspectors observed during a teleconference detailing a GVS mock-up with Mexico City, input from the practitioners is being actively sought as development continues.

The development of the counterpart GCS application is still in its early stages. However, the GVS development model, including the appointment of a senior advisor in CA, should be applied to this new and even more complex system that will engage between the Office of passport Services and the Office of Overseas Citizens Services.

Recommendation 18: The Bureau of Consular Affairs should appoint a senior advisor to coordinate the system requirements of passport and overseas American citizens services in the development of the Global Citizens System. (Action: CA)

Legacy Systems

Until the implementation of GVS in 2012 and the projected rollout of GCS in 2015, there are a number of legacy systems that are critical to CA's current daily operations and that must be supported and kept up to date until they are subsumed or replaced by the new global systems. These systems include the Immigrant Visa Information System on the visa side and passport systems such as the Passport Information Electronic Records System, the Passport Lookout Tracking System, and the Travel Document Issuance System.

It is CST's policy to dedicate the minimum resources necessary to maintain legacy systems while it presses ahead with the next generation of development. The CA business units that rely on these existing systems have expressed concern about maintaining support and making necessary modifications until the new systems are rolled out. A careful balance between maintaining the old, including modifying them as needed, while developing the new requires careful coordination between CST and the business units. Policy input into the decision process is critical, particularly as maintenance and support of these systems is consolidated under a new contract.

Enterprise Technology, Architecture, and Process

The ETAP Division is responsible for developing cross-cutting initiatives aimed at standardizing and improving CST. Through its three branches—enterprise architecture, process improvement, and emerging technologies—ETAP identifies new technologies to support CA’s mission, ensures alignment of systems to business goals, and identifies ways to ensure optimal delivery of services.

Independent Operations

The Independent Operations (IO) Division manages four branches: security, configuration management (CM), independent verification and validation (IV&V), and independent audit. IO is supposed to serve as an internal check on development projects and other matters that extend across several divisions within CST. (See the Systems Development Life Cycle Process section of this report.)

Enterprise Systems

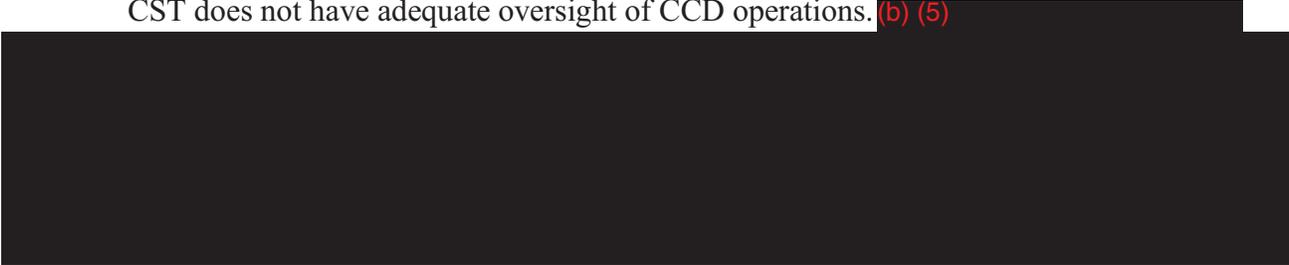
The Enterprise Systems (ES) Division provides comprehensive hardware and software support to the CA headquarters workforce and all bureau locations in the United States. Support services include hardware modernization and support desk services; deployment of biometric technology; and implementation of major systems migration. The largest component of ES is data engineering (DE), which handles the CST databases. (See the Oversight of the Consolidated Consular Database section of this report.)

Information Technology Issues

Oversight of the Consolidated Consular Database

The CCD is the backbone of all consular applications and services and supports domestic and overseas passport and visa activities. The CCD is the repository for data from all the individual consular sections and passport office databases. It uses state-of-the-art technology with agile and robust design for scalability and availability. The CCD is accessed by 11,000 Department users, as well as 19,000 users in other agencies (for example, DHS, Federal Bureau of Investigation, and Social Security Administration.). The CCD is the personally identifiable data repository for American citizens services, passports, immigrant visas, and nonimmigrant visas. Because of the CCD's importance to national security, ensuring its data integrity, availability, and confidentiality is vital.

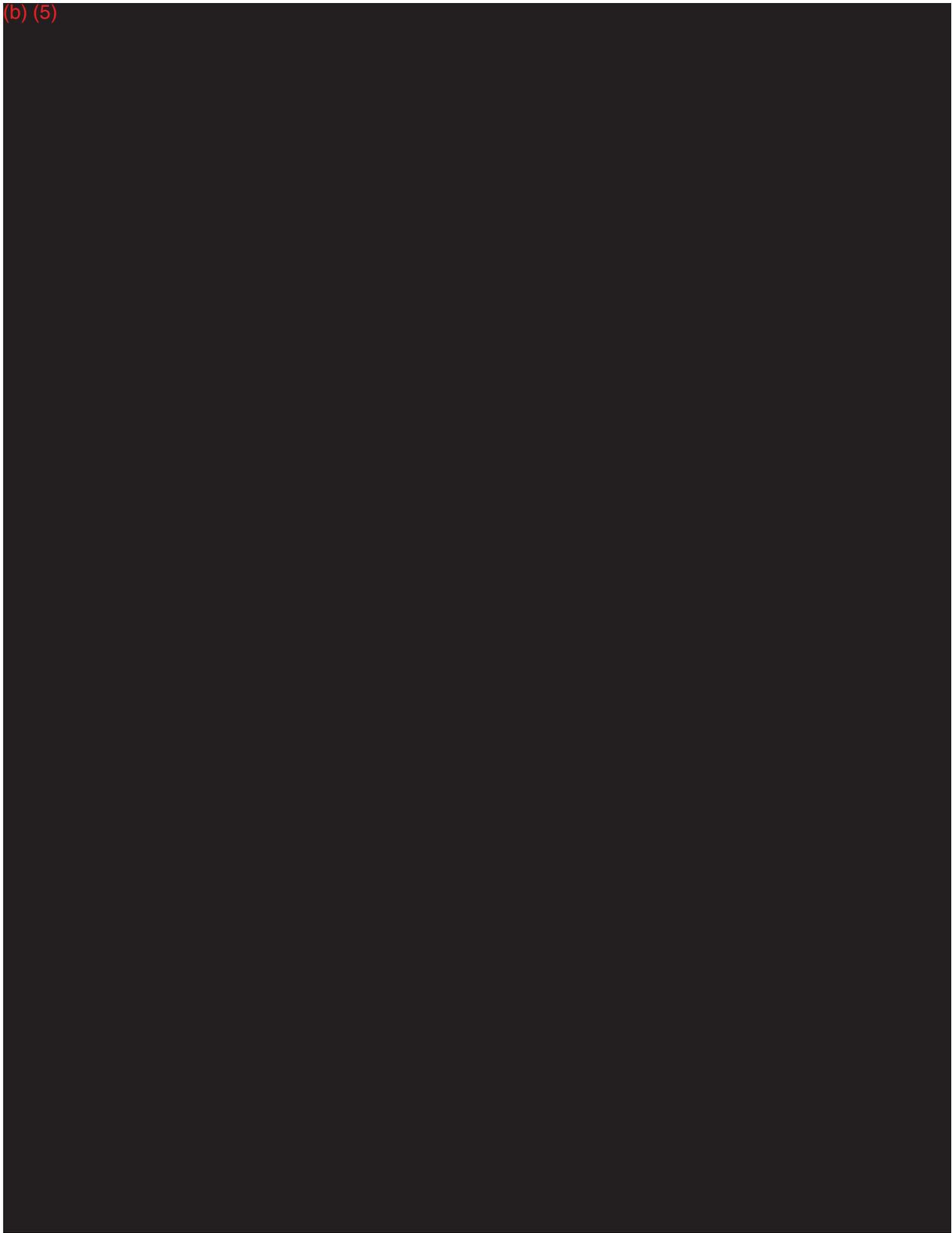
CST does not have adequate oversight of CCD operations. (b) (5)

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Systems Development Life Cycle Process

The current SDLC process is neither standardized nor practiced consistently across all CST divisions. Roles and responsibilities during the life cycle phases are not clearly established, and key business units are not involved throughout the process. An SDLC process defines the recommended procedure by which systems are envisioned, defined, built, deployed, operated, and maintained by an organization. Its goal is to establish a consistent, repeatable, and transparent process that can be tailored for use by a variety of project types.

Some CST divisions and branches, such as ESD and IO, are using some elements of the SDLC process; others, such as ES and EOS, do not use any version of SDLC at all. The lack of standards has led to misunderstandings of the roles and responsibilities at the different SDLC phases and has adversely affected the internal and external communication that should occur throughout the process. A recent example is the development of the CRBA system. The ownership of development and deployment shifted throughout the process, and the business unit's requirements were not clearly communicated to the development team. As a result, CST designed and tested the CRBA for a printer that did not match the printer model identified and procured by the business unit. Another example is the Crisis Task Force application, for which CST was tasked to enhance its Web-facing interaction. The deployment of this application has been challenged by the lack of project ownership and decision controls, as well as by the

incomplete requirements definition. The use of incorrect scripts that were provided by the CM group has further delayed the Crisis Task Force application's deployment.

The decision control gates within CST's SDLC process are weak. For example, the DE, IV&V, and CM groups are not always included in the initial stages of systems planning to ensure that requirements are indeed in line with CST's IT baselines. DE owns the design and architecture of CST's databases, and its involvement in the initial stages is imperative for maintaining consistency within databases. IV&V's participation would ensure that data integrity and systems functionality are validated prior to the deployment. CM establishes and maintains the integrity of artifacts such as change requests, source codes, documentation, and standard operating procedures. With these units not involved throughout the process, CST risks producing products that do not meet business objectives and that suffer from inaccurate costing and staff resource projections.

CM establishes systems change controls and maintains the integrity of the artifacts repository. The OIG team identified that, although the CM version control process exists, it is dysfunctional. The current SDLC process does not integrate CM into all control gates in the process; however, CST personnel were not able to confirm that all system changes and modifications have gone through the CM process with the appropriate documentation added to the repository. Furthermore, the CM process has been challenged by inconsistent development environments managed and operated at the contractor sites, which has added unnecessary steps to the development and testing stages and created issues with version control. CST has recognized this as an issue and has begun working on the implementation of an enterprise development environment with version control.

Another challenge for CM is the frequent requests for emergency releases within CST. Because of the quick turnaround and urgency of these requests, projects may not go through all the appropriate steps—specifically IV&V and CM reviews. CST management informed the OIG team that there is no clearly enforced procedure to ensure that emergency projects are subjected to these reviews.

There also seems to be no clear guidance on what initiatives should or should not be taken through the SDLC process, which has caused confusion among management and staff regarding their requirements and responsibilities for each project. CST staff members mentioned to the OIG team that certain initiatives seem to go through the SDLC process and others do not, without any particular rationale for these decisions.

CST division managers have stated that the current SDLC process is a work in progress. As such, it does not detail the needed decision control gates or the required systems documentation at this time. Staff members within the process improvement branch are currently working on revising the existing SDLC process in coordination with all key players in CST. These staff members have made several presentations to CST personnel regarding the changes needed and those scheduled to be made to the process, and all division directors have

acknowledged their intent to use the SDLC for all future projects. However, firm executive enforcement is necessary for the successful and consistent implementation of the SDLC process.

Recommendation 26: The Office of Consular Systems and Technology should complete and implement the systems development life cycle process to include, at a minimum, the identification of the appropriate divisions involved, the defined roles and responsibilities, and the deliverables at each control gate in the process. (Action: CST)

Recommendation 27: The Office of Consular Systems and Technology should establish and enforce a policy for managing emergency releases that outlines the time period for completing required deliverables after an emergency is concluded. (Action: CST)

Recommendation 28: The Office of Consular Systems and Technology should establish and mandate a policy for the systems development life cycle process to be used by all divisions for the development and deployment of all systems and applications. (Action: CST)

Direct Shipment of Servers

CST identified a new direct shipment program to cut costs and expedite server shipments to missions overseas. The intent of this program is to load servers up front with the Bureau of Diplomatic Security's security templates and CST-specific software to enable missions to use the servers immediately. This process eliminates the need for installation teams. CST has identified 60 missions to participate in this program. CST division directors advised that this direct shipment program currently is not in full effect due to the lack of approval by DS and the Office of Acquisitions (A/LM/AQM). As a result, the larger effort of configuring and installing the DS security guide template is conducted remotely by DE after the server arrives at the mission.

Recommendation 29: The Bureau of Consular Affairs should seek prompt approval from the Bureau of Diplomatic Security and the Bureau of Administration for shipping servers with the appropriate security templates uploaded directly from vendors to overseas missions. (Action: CA, in coordination with DS and A)

Bureau of Information Resource Management

The Bureau of Information Resource Management (IRM) is the lead office for automated systems in the Department. This office is responsible for establishing systems standards and coordinating among the various bureaus and offices in the Department. IRM also "owns the highway" in that it is responsible for providing the basic IT and communications infrastructure upon which CA-automated systems operate. Relations between IRM and CST rest on a formal memorandum of understanding signed in 2008 and modified several times since.

There are some working-level meetings in place to ensure that the Department's infrastructure can deal with current CST developments. However, there is a lack of higher-level coordination and planning, exemplified by a paucity of regular office-director-level meetings.

Thus, there is no way to ensure that the principal supplier of infrastructure and its largest client understand where each other is headed and what the needs and capabilities of each will be in the coming months and years.

Recommendation 30: The Bureau of Information Resource Management, in coordination with the Bureau of Consular Affairs, should reestablish monthly coordination meetings between the bureau's chief information officer and the Office of Consular Systems and Technology's director. (Action: IRM, in coordination with CA)

Resource Management

CST is composed of 68 FTE positions: 62 Civil Service, 6 Foreign Service, and over 850 contractors operating under nearly 30 different contracts. Vacancies and turnover have been long-standing issues in CST. The deputy director position has been vacant for 18 months, and in the past 5 years, all but one of CST's GS-15 employees have retired or moved on to other jobs. At the time of the inspection, 12 positions were vacant, primarily in the PMO and Liaison Divisions (3 Civil Service FTEs in each). In FY 2010, CST's annual operating budget was approximately \$266 million (of which approximately \$226 million was obligated for contracts). CA/C has direct responsibility for CST funding.

Contracts and Procurement

Given the scale of the contracts CST handles and the number of contractors involved, it appears that the basic business of CST is contract management. The smooth functioning of every part of the office depends on its contractors. The director is keenly aware of the need for careful oversight of the contracts. Notable is his chairing of the monthly independent performance reviews of each major contract, which CST should be commended for implementing. However, when the director left the country during the inspection, the independent performance reviews were cancelled. The OIG team believes that CST should continue the meetings, led at the division director level, in the absence of the office director.

Informal Recommendation 3: The Office of Consular Systems and Technology should proceed with monthly independent performance reviews that are chaired by the appropriate division chief during absences of the director.

Relations between CST and A/LM/AQM, while functional, have frequently been troubled. CST would like to receive contracting advice from A/LM/AQM earlier in the process to reduce some of the waiting time when questions arise later. On the other hand, A/LM/AQM would like CST to involve them earlier in the presolicitation process when there is a requirement. The OIG team believes that CST should have contract expertise within its office in an oversight role and agrees that it should be a function of PMO. (See also the Program Management Office section in this report.)

Informal Recommendation 4: The Office of Consular Systems and Technology should work with the Office of Acquisitions to establish a contract timeline to facilitate better and earlier coordination when establishing or significantly modifying contracts.

One major contracting issue that various parties raised was the shifting of tasks from one contractor to another without following proper contract modification procedures. Upon learning of one case, A/LM/AQM advised CST that it would have to go through proper channels and request a modification to the contract, as only the contracting officer is authorized to modify a contract. Unauthorized changes also have legal and financial ramifications.

Recommendation 31: The Office of Consular Systems and Technology should establish and implement internal procedures to enforce the use of appropriate regulations and guidelines for submitting contract modifications to the Office of Acquisitions on a timely basis. (Action: CST)

CST has developed standard procedures for budgeting and procurement in the office. These procedures define the relationship between PMO and CST government personnel with significant procurement responsibilities as well as A/LM/AQM's role in the process. The standard operations procedures were designed to be consistent with the *Foreign Affairs Handbook* regulation 14 FAH-2, Contracting Officer's Representative Handbook, and 14 FAM 200, Acquisitions. These procedures are used in the acquisition of domestic goods and services exceeding \$150,000 (the simplified acquisition threshold) and do not address CA/C's role in the process.

As noted earlier, CA/C's role in CA's procurement function has not yet been clarified. Although CA/C has a procurement policy and oversight division, there appears to be confusion among CST, A/LM/AQM, and CA/EX regarding CA/C's role, which sometimes results in duplication of effort and delays in the process. The OIG team pointed out to CA management the need for better delineation of the roles of these offices.

Informal Recommendation 5: The Bureau of Consular Affairs should more clearly delineate the appropriate roles of its business offices within the bureau and their interaction with the Office of Acquisitions with respect to contracting and procurement functions.

Contracting Officer's Representatives/Government Technical Monitors

The OIG team found several COR/GTM employees who did not provide written documentation of their designations upon request, although some provided proof that they had sent a request to A/LM/AQM but had not received a response. The COR is officially designated when the contract is awarded and the designation memorandum is provided to the COR. However, if the COR/GTM changes at a later date, it is up to CST to send a request to A/LM/AQM to change the designation. The COR/GTM designation memoranda specify the scope of their authority, duties, responsibilities, and prohibitions. In addition, if the COR/GTM were designated after January 1, 2007, the memorandum also indicates that all training requirements have been met. However, CST does not have a centralized process for managing COR/GTM designations and training requirements. The OIG team believe that PMO should perform this function.

Recommendation 32: The Office of Consular Systems and Technology should develop a procedure to centralize the coordination of contracting officer representative and government technical monitor designations, including the management of training requirements. (Action: CST)

In addition to managing COR/GTM designations, CST would benefit from having a central repository for contract files. CST was in the process of addressing this issue during the inspection. (See also the Management Support Unit section of this report.)

Given the frequent turnover of COR/GTM personnel in CST, refresher training in COR/GTM responsibilities would be useful for CST staff serving in this role.

Informal Recommendation 6: The Office of Consular Systems and Technology, through its Program Management Office, should arrange with the Bureau of Administration, Office of the Procurement Executive, or the Foreign Service Institute for on-site refresher training of its contracting officer representatives and government technical monitors.

Budget

In FY 2010, CST's overall funding was approximately \$266 million (with approximately \$226 million obligated for contracts). CST is funded by machine readable visa fees, not congressional funding. CA/C has direct responsibility for CST funding. The director and division chiefs are engaged in the budget process in CST. Each division prepares input for CST's submission to the Bureau Strategic and Resource Plan, and PMO serves as the centralized point to pull everything together. Project budget justifications for each contract tie into the budget planning process. One of CST's goals is to align project budget justifications with the Office of Management and Budget 300 reporting process, which standardizes IT resource management.

The OIG team found no budgeting issues in CST other than uncertainty about the full funding level for the current fiscal year as the government continues to operate under a continuing resolution. At the time of the inspection, CST had received only one continuing resolution allotment of \$24 million.

A review of the requisition process, managed by a three-person administrative support subunit under PMO, found that it is performed well and in accordance with Department procedures. A sample review of invoices found them to be processed in a timely manner.

Inventory

As part of its administrative and program property responsibility for CA, the accountable property officer for the bureau serves in CA/EX and delegates the physical control of property as well as property management functions to CA's directorates, offices, passport agencies, and visa centers. Each of these areas is assigned an area custodial officer. CA has property at 69 locations, with more than 26,000 line items valued at more than \$94 million. These assets are bar coded and tracked in the Integrated Logistics Management System, managed by the Bureau of Administration, Office of Logistics Management. Approximately 92 percent of the line items are IT assets procured and held by CST and are valued at more than \$91 million. CST's asset management group is in EOS.

The OIG team found the working relationship between CST and CA/EX to be good. Several years ago, CST's inventory reported as missing 19 items valued at more than \$5,000, resulting in CA's further review by the Department's Property Survey Board. Upon further examination, many of the items were located and the issue was resolved. Subsequent reports have shown that CST's inventory process has improved to include a two-person inventory scanning procedure. As a result, the most recently concluded reconciliation report identified approximately \$160,000 of equipment missing from the \$97 million inventory, which is well below the acceptable 1 percent discrepancy requirement.

Equal Employment Opportunity

In discussion with CA/CST staff, the OIG team did not find any specific Equal Employment Opportunity issues. CST does not have a designated Equal Employment Opportunity counselor, but the director indicated that he intended to designate one.

Management Controls

Access Controls

The OIG team reviewed access controls processes for system and database administrators and found areas that need to be strengthened. For example, when the OIG team requested a list of system and database administrators from CST management, it was provided only after a significant time lapse. This delay underscores the need for CST to centralize the management of its access controls. Further, upon examination, the OIG team found that the master system administrator list was incomplete, with missing fields such as specific areas of responsibility and security clearance levels for users. Additionally, the OIG team found issues with the access forms used for granting access to staff. While reviewing a sample of these access forms, the OIG team identified that they do not reflect the current organizational structure. The access forms also do not include signature lines for CST management's review and approval, such as that of the information systems security officer. Moreover, the form does not itemize the various administrative roles, including CCD DBAs. Using the incomplete access forms could leave CST's systems vulnerable to inappropriate access by unauthorized individuals.

(b) (5)

Recommendation 33: The Office of Consular Systems and Technology should institute policies and procedures for assigning and tracking administrative user accounts and for validating the need for assigned individuals to have such privileges on an annual basis or when changes occur. (Action: CST)

Recommendation 34: The Office of Consular Systems and Technology should revise and standardize the account access form to reflect the current organizational structure and include the requirement for security management review and approval. (Action: CST)

Contracts

As noted previously, the complexity and scale of contracts that CST manages present challenges for the entire contract process, from procurement to oversight. There are more than 850 contractors operating under nearly 30 different contracts. In FY 2010 approximately \$226 million was obligated for contract funding. Yet, at present, there is no mechanism for periodically auditing these contracts.

Recommendation 35: The Bureau of Consular Affairs, in coordination with the Bureau of Administration, should establish a standard procedure for conducting periodic independent audits of the Office of Consular Systems and Technology contracts. (Action: CA, in coordination with A)

Security

The chief of the IO Division serves as the information systems security officer for CST. (See the sections on SDLC and CCD for a discussion of security-related issues.)

List of Recommendations

Recommendation 1: The Bureau of Consular Affairs should design and implement a plan to monitor, on a continuing basis, the work environment in the Office of Consular Systems and Technology and take corrective action as necessary. (Action: CA)

Recommendation 2: The Bureau of Consular Affairs should hold quarterly performance reviews with the director of the Office of Consular Systems and Technology, using the bureau's Consular Leadership Tenets as a template. (Action: CA)

Recommendation 3: The Bureau of Consular Affairs should promptly fill the deputy director position in the Office of Consular Systems and Technology. (Action: CA)

Recommendation 4: The Office of Consular Systems and Technology should establish a management support unit that incorporates present staff and is headed by a management officer. (Action: CST)

Recommendation 5: The Office of Consular Systems and Technology should create and implement a plan to reevaluate the present organizational structure and personnel needs based on a strategic assessment of the office's future direction and lessons learned under the present organizational framework. (Action: CST)

Recommendation 6: The Bureau of Consular Affairs should require each of its major offices to designate an individual or small unit to serve as the central liaison for information technology issues. (Action: CA)

Recommendation 7: The Bureau of Consular Affairs should hold regular meetings of the information technology strategy committee to discuss information technology issues and priorities. Records of the meetings should be maintained and disseminated. (Action: CA)

Recommendation 8: The Bureau of Consular Affairs should convene monthly operational meetings that are chaired by the deputy director of the Office of Consular Systems and Technology and attended by the deputies or managing directors of the bureau business units. (Action: CA)

Recommendation 9: The Bureau of Consular Affairs should revitalize the data share working group by appointing a new chairperson who reports directly to the Bureau of Consular Affairs' front office and by institutionalizing the group's procedures to include regularly scheduled meetings and reporting. (Action: CA)

Recommendation 10: The Bureau of Consular Affairs should revise the change management process so that it is transparent and incorporates input from relevant Bureau of Consular Affairs business units. Change configuration requests should be directed for initial review to the office or directorate responsible for the affected business process. Requests selected for further consideration should then be evaluated by the Office of Consular Systems and Technology for

time and cost. The Bureau of Consular Affairs management should make the final decision on acceptance and prioritization of change configuration requests and return approved requests to the Office of Consular Systems and Technology for implementation. (Action: CA)

Recommendation 11: The Office of Consular Systems and Technology should report the disposition of all change configuration requests to the business units and to the field on a regular and timely basis. (Action: CST)

Recommendation 12: The Office of Consular Systems and Technology should revise the current Program Management Office planning documents to create a more concrete action document and include development of enhanced budgetary and contractual oversight responsibilities. (Action: CST)

Recommendation 13: The Office of Consular Systems and Technology should reestablish the Program Management Office as a free-standing division that reports to the Office of Consular Systems and Technology director and deputy director. (Action: CST)

Recommendation 14: The Office of Consular Systems and Technology should assign to the Program Management Office an appropriate level of government personnel, including a GS-15-level director, to provide budgetary and contracting oversight. (Action: CST)

Recommendation 15: The Office of Consular Systems and Technology should revise its concept of operations so that responsibility for communicating with the Bureau of Consular Affairs business units is transferred from the Liaison Division to specifically designated employees in each of the divisions. (Action: CST)

Recommendation 16: The Office of Consular Systems and Technology should enhance the direct field experience in its units by moving Foreign Service officers and others with overseas experience to positions within its development and operations divisions. (Action: CST)

Recommendation 17: The Bureau of Consular Affairs should consolidate all systems training and user instruction responsibilities under the Enterprise Operations Support branch of the Office of Consular Systems and Technology. (Action: CA)

Recommendation 18: The Bureau of Consular Affairs should appoint a senior advisor to coordinate the system requirements of passport and overseas American citizens services in the development of the Global Citizens System. (Action: CA)

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Recommendation 25: (b) (5) [Redacted]
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[Redacted]

Recommendation 26: The Office of Consular Systems and Technology should complete and implement the systems development life cycle process to include, at a minimum, the identification of the appropriate divisions involved, the defined roles and responsibilities, and the deliverables at each control gate in the process. (Action: CST)

Recommendation 27: The Office of Consular Systems and Technology should establish and enforce a policy for managing emergency releases that outlines the time period for completing required deliverables after an emergency is concluded. (Action: CST)

Recommendation 28: The Office of Consular Systems and Technology should establish and mandate a policy for the systems development life cycle process to be used by all divisions for the development and deployment of all systems and applications. (Action: CST)

Recommendation 29: The Bureau of Consular Affairs should seek prompt approval from the Bureau of Diplomatic Security and the Bureau of Administration for shipping servers with the appropriate security templates uploaded directly from vendors to overseas missions. (Action: CA, in coordination with DS and A)

Recommendation 30: The Bureau of Information Resource Management, in coordination with the Bureau of Consular Affairs, should reestablish monthly coordination meetings between the bureau's chief information officer and the Office of Consular Systems and Technology's director. (Action: IRM, in coordination with CA)

Recommendation 31: The Office of Consular Systems and Technology should establish and implement internal procedures to enforce the use of appropriate regulations and guidelines for submitting contract modifications to the Office of Acquisitions on a timely basis. (Action: CST)

Recommendation 32: The Office of Consular Systems and Technology should develop a procedure to centralize the coordination of contracting officer representative and government technical monitor designations, including the management of training requirements. (Action: CST)

Recommendation 33: The Office of Consular Systems and Technology should institute policies and procedures for assigning and tracking administrative user accounts and for validating the need for assigned individuals to have such privileges on an annual basis or when changes occur. (Action: CST)

Recommendation 34: The Office of Consular Systems and Technology should revise and standardize the account access form to reflect the current organizational structure and include the requirement for security management review and approval. (Action: CST)

Recommendation 35: The Bureau of Consular Affairs, in coordination with the Bureau of Administration, should establish a standard procedure for conducting periodic independent audits of the Office of Consular Systems and Technology contracts. (Action: CA, in coordination with A)

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.

Informal Recommendation 1: The Office of Consular Systems and Technology should consider renaming its divisions to make them and their functions more understandable to business partners.

Informal Recommendation 2: The Office of Consular Systems and Technology should update the information on the Bureau of Consular Affairs Web site to include an explanation of the responsibilities of each division and branch as well as provide points of contact for each branch.

Informal Recommendation 3: The Office of Consular Systems and Technology should proceed with monthly independent performance reviews that are chaired by the appropriate division chief during absences of the director.

Informal Recommendation 4: The Office of Consular Systems and Technology should work with the Office of Acquisitions to establish a contract timeline to facilitate better and earlier coordination when establishing or significantly modifying contracts.

Informal Recommendation 5: The Bureau of Consular Affairs should more clearly delineate the appropriate roles of its business offices within the bureau and their interaction with the Office of Acquisitions with respect to contracting and procurement functions.

Informal Recommendation 6: The Office of Consular Systems and Technology, through its Program Management Office, should arrange with the Bureau of Administration, Office of the Procurement Executive, or the Foreign Service Institute for on-site refresher training of its contracting officer representatives and government technical monitors.

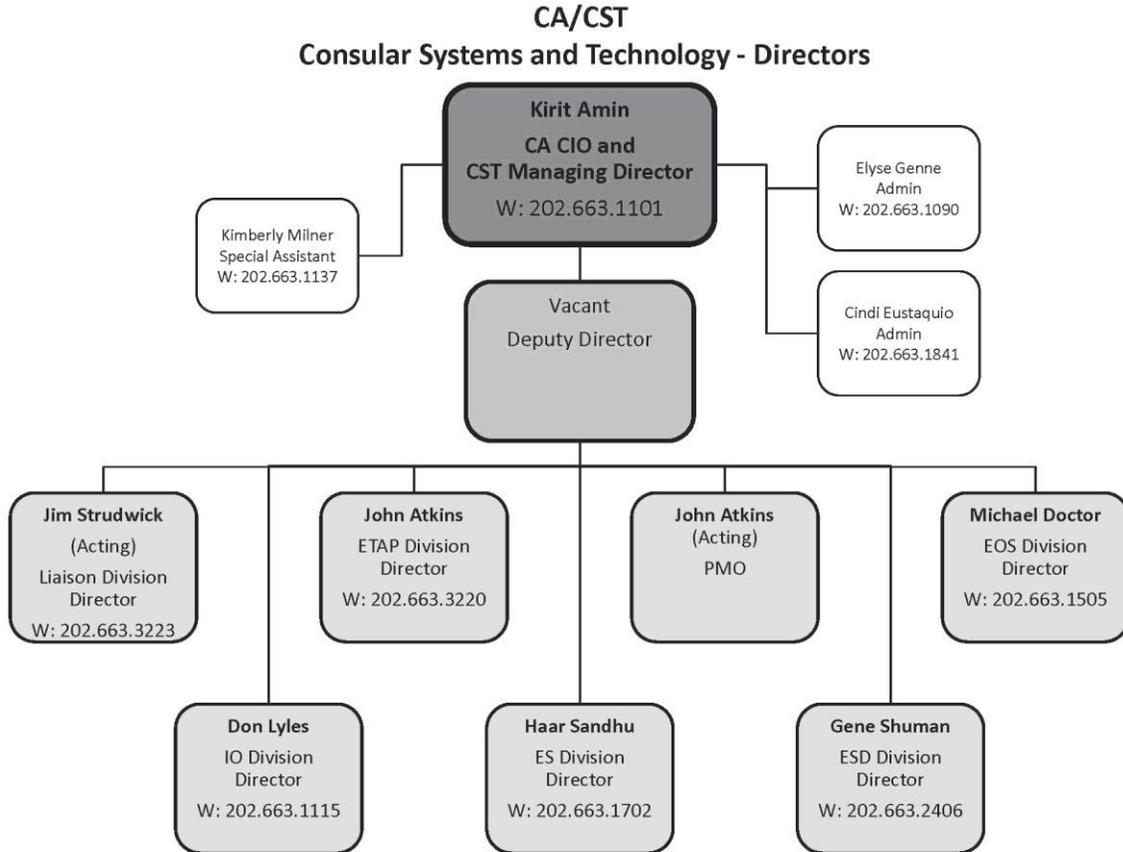
Principal Officials

	Name	Arrival Date
Assistant Secretary	Janice L. Jacobs	06/08
Principal Deputy Assistant Secretary	Michael D. Kirby	06/08
Director, CST	Kirit Amin	06/07
Chiefs of Divisions:		
Liaison Division	James L. Strudwick (Acting)	9/07
Program Management Office	John Atkins (Acting)	07/10
Enterprise Operations Support	Michael Doctor	07/10
Enterprise Systems	Haar Sandhu	4/08
Enterprise Systems Development	Gene Shuman	1/09
Enterprise Technology Architecture and Process	John Atkins	10/04
Independent Operations	Don Lyles	8/09

Abbreviations

A/LM/AQM	Office of Acquisitions
CA	Bureau of Consular Affairs
CA/C	Bureau of Consular Affairs, Office of the Comptroller
CA/EX	Bureau of Consular Affairs, Office of Executive Services
CCD	Consolidated Consular Database
CCR	Change configuration request
CM	Configuration management (branch)
COR	Contracting officer representative
CRBA	Consular report of birth abroad (of an American citizen)
CST	Office of Consular Systems and Technology
DBA	Database administrators
DE	Data engineering (group)
DHS	Department of Homeland Security
EOS	Enterprise Operations Support (Division)
ES	Enterprise Systems (Division)
ESD	Enterprise Systems Development (Division)
ETAP	Enterprise, Technology, Architecture, and Process (Division)
FAH	<i>Foreign Affairs Handbook</i>
FAM	<i>Foreign Affairs Manual</i>
FSO	Foreign Service Officer
FTE	Full-time equivalent
GCS	Global Citizen System
GTM	Government technical monitors
GVS	Global Visa System
IO	Independent Operations (Division)
IRM	Bureau of Information Management
IT	Information technology
ITSC	Information technology strategy committee (CA)
LD	Liaison Division
OIG	Office of Inspector General
PMO	Project Management Office
SDLC	Systems development life cycle

Appendix 1: CST Organizational Chart



Appendix 2: CST Divisions – Summary of Roles and Responsibilities

CST Division	Division Responsibilities
Enterprise Technology, Architecture, and Process (ETAP) Division	<ul style="list-style-type: none">• Process Improvement• Biometric technologies--Facial Recognition, Iris Recognition• Enterprise Architecture and Governance
Enterprise Operations Support (EOS) Division	<ul style="list-style-type: none">• User Training• Systems Deployment• Service Desk (tier I, II)
Independent Operations (IO) Division	<ul style="list-style-type: none">• IV&V• Security• Configuration Management• Auditing
Enterprise Systems (ES) Division	<ul style="list-style-type: none">• Enterprise infrastructure and connectivity—Electronic Diversity Visa (eDV)• Database management/engineering--Consular Consolidated Database• Cross-System Initiatives—CLASS, Thin Client, EQM
Enterprise Systems Development (ESD) Division	Software development for: <ul style="list-style-type: none">• Citizen Services—TDIS, ACS, GCS• Non-Citizen Services—NIV, IVO, IVIS, DVIS, GVS• Management Systems & Public-Facing Systems—CEAC, BI, Travel.State.gov
Program Management Office (PMO)	Internal service provider to CST, supporting: <ul style="list-style-type: none">• Enterprise planning and governance• Program management oversight• Project management support
Liaison Division (LD)	Information coordination with stakeholders—CA, CST Clients, System Users, Partner USG agencies

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