



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

**Office of Inspector General**

**Office of Inspections**

**Inspection of  
the U.S. Mission to the United Nations  
Educational, Scientific and Cultural  
Organization, Paris, France**

**Report Number ISP-I-12-26, May 2012**

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## **PURPOSE, SCOPE, AND METHODOLOGY OF THE INSPECTION**

This inspection was conducted in accordance with the Quality Standards for Inspection and Evaluation, as issued in 2011 by the Council of Inspectors General 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 small staff of the U.S. Mission to the United Nations Educational, Scientific and Cultural Organization (UNESCO) faced singular challenges in 2011. Nevertheless, the Ambassador's expertise in UNESCO issues, his genuine enthusiasm for the organization's goals, and his determination to advance U.S. priorities have enhanced the mission's visibility among UNESCO's member states and U.S. influence within the organization itself.
- The U.S. Mission has increased its level of engagement in UNESCO over the past 2 years, with a commensurate increase in influence on programs, priorities, and policy.
- With the October 2011 cutoff of U.S. funding to UNESCO in the wake of Palestinian accession, the U.S. Mission faces a new challenge: how to maintain influence and effectiveness in the organization and credibility among member states after withholding 22 percent of UNESCO's financial support.
- Internal controls that govern travel, spousal employment, and the use of U.S. Government vehicles are not sufficiently robust. Tri-mission management's (TMM) ethics advice on these issues has not been consistently correct. The Ambassador and the deputy chief of mission (DCM) have committed to close cooperation with TMM senior officers to improve internal controls.
- Closer coordination and a freer flow of information between the U.S. Mission to UNESCO and the Bureau of International Organization Affairs (IO) would benefit overall productivity and maximize U.S. influence within UNESCO.
- Over the years, the U.S. Mission to UNESCO appears to have paid insufficient attention to codifying information sharing and record keeping; standard operating procedures for shared files and record emails are needed.
- The public diplomacy section suffers from lack of continuity in its leadership. The section needs to think strategically, train staff, and establish standard operating procedures to ensure more effective operations.

All findings and recommendations in this report are based on conditions observed during the on-site review and the standards and policies then in effect. The report does not comment at length on areas where OIG did not identify problems that need to be corrected.

The inspection took place in Washington, DC, between January 3 and 31, 2012, and in Paris, France, intermittently between February 8 and March 5, 2012. (b) (6)

## Context

UNESCO is a specialized agency of the United Nations whose mission contributes to the building of peace, the eradication of poverty, sustainable development, and intercultural dialogue through education, the sciences, culture, communication, and information. In 2003, the United States returned to the organization after a 19-year absence prompted by philosophical and political concerns about UNESCO's leadership, direction, and management. Of the 195 member states, the United States provides some \$80 million in assessed contributions, representing approximately 22 percent of the organization's budget. The United States also provides significant extrabudgetary funding and in-kind contributions for various initiatives from government as well as private sources, the latter via public-private partnerships. Most recently, the United States has promoted UNESCO initiatives on issues such as the education of women and girls and combating racism.

In contributing to several UNESCO core activities, the United States plays a particularly significant role in combating illiteracy, expanding international efforts to improve water resource management, monitoring climate change, expanding and maintaining tsunami warning systems, promoting free media in the developing world, and preserving world heritage sites. The U.S. Mission to UNESCO staff, along with temporary duty staff from various Federal agencies, engages on an ongoing basis with delegations and experts from other countries to achieve progress on these and other areas of emphasis. Through this active engagement, provision of professional expertise, and financial support, the United States has earned a respected position within the organization.

In late 2011, however, a majority of member states voted in support of Palestine's application for full membership in UNESCO. As a result, in accordance with U.S. law, the United States has terminated all government funding to the organization. That the United States gained reelection to UNESCO's Executive Board only 48 hours after the funding cutoff is testament to the status and position of respect that the United States holds within the organization.

As a result of these elections and other high-profile political developments in recent months, the U.S. Mission to UNESCO's focus has changed significantly. The mission continues to work collaboratively within the organization to move forward on a positive agenda but is now, understandably, also turning its attention toward emphasizing the value of continued American engagement in UNESCO and other multilateral institutions.

The U.S. Mission to UNESCO has seven direct-hire positions, both Foreign and Civil Service, and five locally employed staff members, three of whom have substantive, officer-level portfolios.

## Executive Direction

The small staff of the U.S. Mission to UNESCO faced singular challenges in 2011. The Ambassador was one of the architects of the U.S. return to UNESCO after a long and much-publicized hiatus. His expertise in UNESCO issues, coupled with his genuine enthusiasm for the organization's goals and his determination to advance U.S. priorities within that context, has enhanced the mission's visibility among UNESCO's member states and U.S. influence within the organization itself. An uptick in mission engagement across the board has created an expectation that the United States, UNESCO's largest donor, is committed, come what may, to the organization's success.

In early 2011, the mission began its campaign for reelection to UNESCO's Executive Board. Given the renewed levels of U.S. involvement in the organization, the Department of State (Department) and the mission believed it was important for the United States to play a leadership role. The Ambassador threw himself into the effort, meeting with nearly all of the delegation heads to outline the U.S. vision for UNESCO and urge their support. The rest of the mission staff, already fully engaged in core work representing numerous U.S. Government agencies with UNESCO equities and advancing committee and programmatic work, supported the reelection effort with equal diligence.

When Palestine applied for admission to UNESCO later in the year, with the Executive Board elections approaching rapidly, the mission had to divert some of its limited resources to countering Palestine's campaign for UNESCO membership. Once again, the Ambassador and DCM set up a full round of meetings to advise member states and regional groups of U.S. law regarding the admission of nonstates to UN bodies. Representatives of several foreign missions commented on the positive impact of this outreach despite the unwelcome message from mission leadership. Last-minute diplomatic maneuvering allowed the United States to be reelected to the Executive Board just hours after cutting off funding to the organization. In acknowledgment of the mission's leading role among UNESCO member states, one ambassador explained that the members "elected the Ambassador and his staff to the board, not the United States."

The Ambassador and his small staff cannot expect any respite in 2012 as the mission seeks ways to maintain influence at UNESCO despite the cutoff of U.S. funding. Even as the Ambassador works with the UNESCO Director General to find a financial way forward for the organization, other mission employees work on the organization's committees to identify and implement cost savings. Despite the possibility of losing voting rights if U.S. funding is not restored before the end of 2013, the entire mission is committed to helping UNESCO achieve its goals.

In the past 2 years, the mission has expanded its efforts to facilitate public-private partnerships between UNESCO and industry giants like Apple, Microsoft, and Proctor & Gamble. When U.S. companies indicate interest in partnering with UNESCO, the mission steps in to guide the process, identify appropriate projects, and monitor progress. The mission has also redoubled efforts on the Goodwill Ambassador program, promoting U.S. cultural icons Herbie Hancock, Forest Whitaker, and Sam Pisar in the past 2 years and finding matching UNESCO programs for their particular interests. The mission has also included other delegations in U.S.

initiatives, ensuring buy-in to U.S.-originated projects, which are then much stronger for having multilateral co-ownership.

Even though the United States is not on UNESCO's World Heritage Committee, the mission is active in that program, often facilitating discussion on sites in politically sensitive areas involving disputed ownership or jurisdiction. The Ambassador's mediation role in these cases is additional evidence of the mission's broad effectiveness.

U.S. activism on UNESCO issues has never been perfunctory, but the past 2 years have seen the U.S. Mission and its leadership in overdrive, with remarkable results. Unfortunately, mission leadership has not always had the same success communicating with all mission elements or with IO, the U.S. Mission to UNESCO's parent bureau. As a result, the mission has lost potential synergy with its well-staffed IO desk, which, in turn, serves as a central switching station that is in constant communication with other Department offices, other Federal agencies, the U.S. National Commission for UNESCO, and other entities that the mission needs for quick consensus building.

The Ambassador takes seriously the Department's recent Quadrennial Diplomacy and Development Review (QDDR), which talks about empowering ambassadors as chief executive officers, who then represent and leverage the full spectrum of U.S. expertise. Also in line with the QDDR, he has taken concrete steps, along with the entire mission staff, to uphold and defend universal values, deepen relationships with U.S. allies, promote respect for human rights, empower women and girls, mobilize civil society and the private sector to address common challenges, and link multilateral and bilateral diplomacy. The Ambassador has prioritized creative, innovative, and flexible approaches to achieve results. His catch word is "entrepreneurial."

The QDDR also makes it clear that regional, programmatic, and sector priorities should shape mission planning and budgeting, not the other way around. According to *Foreign Affairs Manual* regulations 1 FAM 331.1 (2) and 1 FAM 333.9, IO's UNESCO office formulates and implements U.S. policy toward UNESCO. In acknowledgement of the Ambassador's political acumen and long experience with UNESCO issues, IO has given him considerable autonomy on policy issues. IO has not, however, abrogated its policymaking role, which is not simply that of a clearing house for mission proposals or UNESCO documents.

Communication between IO and mission staff could be improved. (b) (5)

Consequently, mission staff members can feel torn between an obligation to work with their IO counterparts on a full range of issues and a desire to respect their leadership's guidance. Neither can IO staff members effectively brief their leadership on UNESCO issues if they are unaware of topics that the Ambassador might raise with the deputy assistant secretary or Assistant Secretary or higher.

Multilateral missions need guidance from their capitals on emergent political issues or clearances on negotiated documents in a very short time frame. (b) (5)

(b) (5)

On the other hand, IO desk officers do not always have the authority to make quick decisions on the mission's requests for guidance on politically sensitive issues without consulting with a number of other bureaus and agencies.

The Ambassador has encouraged his employees to be entrepreneurial in their work, and they have taken him at his word, finding him approachable when they need guidance. The mission has risen to every challenge that the vagaries of multilateral work have presented. They have not, however, been as empowered as they need to be to forge a transparent and effective partnership with the well-staffed IO desk.

**Recommendation 1:** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization, in coordination with the Bureau of International Organization Affairs, should develop written instructions for their joint staffs to address communication protocols, the free flow of information, and clearance processes. (Action: U.S. Mission to UNESCO, in coordination with IO)

(b) (5)

In addition to being responsible for overall mission management, the DCM carries a heavy policy load. She is highly visible in the diplomatic community, where her fluency in several languages makes her a sought-after interlocutor. The OIG team encouraged her to be more accessible to her subordinates—especially those in need of confidence building or mentoring—outside the periodic, pressure-filled multilateral UNESCO sessions.

The U.S. Mission's offices are a minimum 30-minute commute from UNESCO headquarters, where all the work with UNESCO leadership and committees occurs. Although many delegations have permanent offices at the headquarters (b) (5)

U.S. Mission staffing will be adequate, but not generous, when all U.S. direct-hire positions are actually filled. The Policy and Program Implementation section of this report comments on the impact of lengthy staffing gaps, on mission efforts to restructure its skills mix, and on current limitations in managing the reform agenda. Locally employed staff at the U.S. Mission to UNESCO is interchangeable with officer staff on a wide range of issues. Without the continuity provided by the locally employed staff, it would be more difficult to operate successfully in the complicated UNESCO environment.

The Ambassador and DCM make good use of representational events to advance U.S. priorities. They do not earmark representational funds at the beginning of the fiscal year for individual staff use but evaluate staff requests for funds on a case-by-case basis. In such a small mission, this approach is logical. Employees do, however, need to reciprocate invitations from their colleagues. It is particularly important for locally employed staff members to maintain relationships with their counterparts over the years, and mission management has not made funds available to them systematically in the past 2 years. The Ambassador and DCM could cohost small events for working-level contacts with individual officers and locally employed staff as one way of leveraging representational resources. Funding for one-on-one coffees and lunches is also invaluable in the multilateral context. The Policy and Program Implementation section of this report addresses the use of public diplomacy representational funding in particular and includes a related recommendation.

***Informal Recommendation 1:*** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should request representational plans from mission officers and locally employed staff at least semiannually, earmark some funding for one-on-one contact invitations, and cohost occasional events for working-level contacts.

The Ambassador and DCM are cognizant of their responsibilities for entry-level officer development. The entry-level officer mentoring program for all three Paris missions is run out of the bilateral mission and is discussed in the Embassy Paris inspection report, *Inspection of Embassy Paris, France, and Constituent Posts* (May 2012).

The mission staff is remarkably diverse for its small size, but because of its size it does not, nor should it necessarily have, an Equal Employment Opportunity (EEO) counselor on staff. Most employees do not even know who in the bilateral embassy to contact when EEO questions arise. The Embassy Paris inspection report addresses EEO coverage of the multilateral missions.

The regional security program is also run out of the bilateral mission. The Embassy Paris inspection report addresses any security issues related to the U.S. Mission to UNESCO. The Ambassador and the DCM provide the regional security program their full support.

## Policy and Program Implementation

The U.S. Mission's small team of seven direct-hire Americans and five local employees is actively engaged in monitoring developments and shaping future directions of UNESCO's many programs and initiatives. That workload continues to expand. Agencies such as the National Park Service, the National Oceanographic and Atmospheric Administration, and the Army Corps of Engineers are deeply involved in the work of various UNESCO "sectors" and frequently send experts to conferences and meetings of UNESCO sub-bodies. On occasion, these agencies have even provided temporary support to cover mission staffing gaps. Yet, despite the steadily expanding workload since the 2004 OIG inspection, the number of permanently assigned staff at the mission has declined. The Departments of Education and Health and Human Services no longer assign permanent personnel to the mission, this in spite of their ongoing interest in many UNESCO programs and initiatives. Department of State employees cover the full range of issues in consultation with those U.S. agencies that have UNESCO equities.

Given the growing incidence of high-profile political issues, the mission has found a way to devote additional resources to political affairs. The mission is replacing its legal officer position with a mid-level political officer position in the summer of 2012. Much of the legal work surrounding U.S. reintegration into the organization after its long hiatus has been completed, and the Office of the Legal Adviser will seek to provide assistance beyond what it already provides either from Washington or through temporary duty assignments during General Conference or Executive Board meetings. A mid-level political officer with a strong multilateral background, working in tandem with the experienced locally hired political assistant, will give the mission additional full-time diplomatic resources to manage and report on fast-breaking political and legal developments and coordinate with the Department.

Mission staff is fully occupied with program management and has not focused sufficient attention on record keeping. The mission's efficiency is limited, however, by the absence of a readily available central repository of historical and current information and documentation. The mission's SharePoint site has not been updated for the past year. Nor is the mission's shared drive organized and updated consistently so that staff has ready access to documents on issues or topics the mission is working on. The mission has shifted from paper files to electronic files, as it should, but without an organizational principle that all share and implement. Although weekly staff meetings include brief discussions of current activities, the absence of a centralized and comprehensive library of the mission's output and key inputs from Washington, UNESCO, and other sources undermines efficiency and can serve to limit information sharing. As employees depart, their successors can rely only on any individually maintained files they might leave behind.

**Recommendation 2:** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should create and maintain a central repository of mission work products, Department of State instruction cables, significant United Nations Educational, Scientific and Cultural Organization communications, and other relevant documents on the mission's SharePoint site or other appropriate shared drive. (Action: U.S. Mission to UNESCO)

***Informal Recommendation 2:*** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should identify one staff member, preferably a locally hired employee, to create and oversee maintenance of a central document repository.

***Informal Recommendation 3:*** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should request hands-on training from Embassy Paris on creating and maintaining a central document repository.

Mission-generated cable traffic is extremely limited, producing less than one substantive cable per week over the past 14 months. The mission does not use record email. For multilateral work, maintenance of a historical record is vital to track texts, votes, and the evolution of issues over several years. At present, the mission maintains only a partial historical record of the work the United States is undertaking in UNESCO. Both government personnel in need of reporting on developments in UNESCO and historians would benefit from greater use of these two channels of communication on programmatic as well as political topics.

***Informal Recommendation 4:*** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should make greater use of cables and record email in reporting on programmatic and political developments within the United Nations Educational, Scientific and Cultural Organization.

The U.S. administration has made clear its ongoing commitment to active engagement across the multilateral system to protect and promote American interests and values. As with most organizations with which the United States engages, management reform at UNESCO is a perennial topic of interest and discussion, and the United States plays an active role in moving the organization toward setting priorities and achieving efficiencies. Now that the cutoff in U.S. funding has moved the organization into financial crisis mode and many member states are beginning to view management reform as critical to the organization's future, the mission will want to continue and even strengthen its engagement in reform efforts. However, the recent elimination of the eligible family member position that managed the reform issues has strained the mission's capacity to do so.

The FY 2013 Mission Strategic and Resource Plan requested an additional position to monitor and coordinate management reform and U.S. employment issues at UNESCO. The Department's funding for a professional associate to cover reform issues ended in late 2011. To be effective in representing U.S. interests in management reform efforts, extensive knowledge of the history and workings of the organization is highly desirable. In the interests of continuity and building institutional memory on an issue likely to be at the forefront of the UNESCO agenda for some time, inspectors discussed with mission management possible options for covering the reform portfolio until a long-term solution is found, including assigning this oversight task to a locally employed staff member and involving IO in the monitoring effort. When the new political officer arrives in mid-2012, coverage of political issues will be significantly expanded, and the political assistant might be able to add this important issue to his traditional responsibilities.

The mission's public diplomacy section is challenged by a lack of permanent leadership, the doubling of its locally employed staff in 2011, and the demands imposed by an energetic Ambassador with ambitious public diplomacy goals and a high public profile. Since 2010, two public affairs officers have curtailed, leaving the day-to-day supervision of the section in the hands of either an already busy DCM or an officer on a succession of short-term temporary duty assignments. This situation is not likely to improve in the near future; the public affairs officer position is currently vacant. At the same time, the mission has added a second locally employed staff position in public diplomacy. Ensuring that the work of both locally employed staff members is coordinated, transparent, and effective puts an added burden on an already weak supervisory arrangement. Given these challenges, it is remarkable that the mission's public diplomacy effort is as effective as it has been.

One of the consequences of the lack of a full-time public affairs officer is inadequate strategic planning. Although there are a number of planning documents that address individual portions of the public diplomacy work, there is no single strategic planning document that articulates the section's goals and objectives. Given the staffing problems and the mission's unique range of audiences—including the member nations, the UNESCO secretariat, the member delegations, and the U.S. public—it is essential to have a coherent plan to develop key messages, define the target audience, match programs and resources to each, report on results, and ensure compliance with the Smith-Mundt Act. The public diplomacy section's efforts to implement a strategic plan, mentor and train locally employed staff, and implement standard operating procedures and policies cannot wait until 2014. The mission is exploring options for obtaining an experienced public diplomacy officer on a temporary duty assignment to carry out these strategic and training goals. The OIG team supports these efforts.

**Recommendation 3:** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should implement an annual comprehensive public diplomacy strategy that includes a plan of budgeted activities to carry out this strategy. (Action: U.S. Mission to UNESCO)

In response to the Ambassador's goal of expanding outreach in social media, the mission obtained funds from the Under Secretary for Public Diplomacy and Public Affairs to fund a half-time locally employed staff position. Additional funding for the public diplomacy budget enabled the mission to expand the hours up to a full-time position. Since the incumbent came on board, the work performed has changed and developed, but the position description has not been revised to reflect the duties actually performed. Similarly, the position description of the other locally employed staff member has not been adjusted to reflect changes to her job as a result of the addition of a second position.

**Recommendation 4:** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should revise its position descriptions for locally employed public diplomacy positions PC-4009 and PC-4010. (Action: U.S. Mission to UNESCO)

The public affairs section has a modest amount of flexible funds that it can use to carry out public affairs programming. The OIG team found numerous irregularities in the mission's grants files. Grants are not being maintained on the appropriate DS-4012 forms, records of expenditures are incomplete, reports of work completed do not exist, designation letters for

grants officer's representative are missing, documentation of noncompetition for grants exceeding \$10,000 is absent, SF-270 forms for advance of payment are missing, and grants are not being closed out properly. The DCM, who had previous experience in public affairs and had held a grants warrant earlier in her career, has been trying to provide grants oversight directly rather than delegate this function to another staff member; however, this is not a reasonable approach, given the other demands on her time.

**Recommendation 5:** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization, in coordination with the Bureau of International Organization Affairs and the Bureau of Administration, should bring its grants into compliance with Department of State standards and regulations. (Action: U.S. Mission to UNESCO, in coordination with IO and A)

*Informal Recommendation 5:* The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should require both of the locally employed staff members in the public affairs section to take the Foreign Service Institute's online grants officer training.

Of particular concern are two grants to the bilateral Fulbright Commission executed at the end of FYs 2010 and 2011. The original intention of the grants appears to have been for the Fulbright Commission to provide speakers from within the Fulbright community in Europe to support the mission's public diplomacy activities, but the mission specified neither the terms of the grants nor the reporting requirements. In effect, the Fulbright Commission's role in providing speakers has merely been processing payment to individuals that the mission identified. Two-thirds of the programs carried out under the FY 2010 grant were for entertainment at representational events held at the Ambassador's residence. Although public diplomacy funds are often used for cultural presentations at the ambassadorial residences, the usual practice is for the event to be built around the cultural presentation. Several of the grants over the past 2 years appear to be solely to provide entertainment for the Ambassador's dinner guests, something more properly funded with representational rather than public diplomacy program funds. In effect, the mission has attempted to turn expiring 1-year appropriations into no-year money that it can draw upon to fund a variety of events, some of which are tenuously related to public diplomacy. Even if the Fulbright Commission had been directly involved in the selection of speakers, this activity would still be unrelated to the Commission's key work of promoting educational exchange between France and the United States.

**Recommendation 6:** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should cease issuing end-of-year grants to the bilateral Fulbright Commission to perform work more properly carried out by the mission itself. (Action: U.S. Mission to UNESCO)

**Recommendation 7:** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization, in coordination with the Bureau of International Organization Affairs and the Bureau of Administration, should cancel grants S-FR630-10-GR002 and S-FR630-11-GR005 and return unexpended funds to the U.S. Treasury. (Action: U.S. Mission to UNESCO, in coordination with IO and A)

In 2011, the mission was not able to use its public diplomacy representation funds as effectively as it should have. Although the public affairs officer hosted events in the DCM's residence, individual members of the public affairs section did not make use of allocated funds to establish and maintain important informal ties with media and other contacts. There was no public diplomacy representation plan in FY 2011, and the two public affairs specialists were not aware that they could use representational funds. Because there was no plan for using representational funds, at the end of that fiscal year, unexpended public diplomacy funds amounting to one-third of the total allotment were transferred to the general mission account.

***Informal Recommendation 6:*** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should develop a public diplomacy representation plan and make appropriate use of the section's separate representational allotment to advance its working-level contacts.

## Resource Management

Agency	U.S. Direct-Hire Staff	U.S. Local-Hire Staff	Foreign National Staff	Total Staff	Total Funding FY 2011
<b>Department of State</b>					
Diplomatic and Consular Programs	6	2	1	9	\$1,352,400
Public Diplomacy	1	2		3	\$352,600
Representation					\$36,400
<b>Totals</b>	<b>7</b>	<b>4</b>	<b>1</b>	<b>12</b>	<b>\$1,741,400</b>

Note: U.S. direct-hire salaries are not included in the diplomatic and consular programs funding total.

The U.S. Mission to UNESCO pays for and receives the full range of administrative services provided by TMM under the International Cooperative Administrative Support Services agreement. The TMM was established in 2005 when the management platforms for Embassy Paris and the two multilateral missions were combined. For reasons of accountability, tracking, and data collection, staff members are instructed to use the eServices application to request TMM services. However, they often call on the few locally employed TMM staff members who work out of the building where the two multilateral missions are located to make requests on their behalf, because they feel that TMM is not responsive to eServices requests. Employees at the U.S. Mission to UNESCO are generally satisfied with TMM services.

### Real Property

In 2004, and as part of a master plan to improve security of U.S. Government offices in Paris, the U.S. Mission to UNESCO was relocated from the chancery to the short-term leased Raphael building, which it shares with the U.S. Mission to the Organization for Economic Cooperation and Development and the Immigration and Customs Enforcement office. The mission's space, all on one floor, is adequate, attractive, and functional, and TMM maintains the building well. Lease and operating costs are shared by the various tenants based on space occupied.

The Ambassador resides in an attractive U.S. Government-owned residence designated for the permanent representative to UNESCO. The space meets his representational needs.

At present, there is no designated DCM residence because the DCM and the Embassy Paris DCM are a Foreign Service tandem couple and share the U.S. Government-owned residence designated for the bilateral embassy's DCM. Upon their departure from Paris in 2012, TMM will either lease a suitable residence for the multilateral mission DCM or provide appropriate executive-level representational housing from its current inventory of short-term leased properties. All other mission officers and specialists are housed adequately in unfurnished

short-term leased apartments or furnished apartments on one of two government-owned compounds.

## **Human Resources**

### ***Late Performance Evaluations***

During the FY 2011 rating cycles, the Ambassador and DCM were overdue on five performance evaluations involving both U.S. direct-hire and locally employed staff members. TMM's human resources office reminded them of their obligations; nonetheless, nearly half of the submissions were late. Mission management has not given sufficient attention to the timely preparation of evaluations even though tardy submissions can have a negative effect on promotion, tenure, and step increases.

**Recommendation 8:** The U. S. Mission to the United Nations Educational, Scientific and Cultural Organization should hold rating officers accountable for timely submission of annual employee performance evaluations and cite poor performance in the delinquent officer's own performance evaluation. (Action: U.S. Mission to UNESCO)

### ***Official Residence Staff***

In 2005, the mission employed five official residence staff—three at the Ambassador's residence and two at the DCM's residence. Since 2011, for the reasons mentioned earlier, the current DCM has had no official residence staff. The Ambassador's official residence staff contingent was increased temporarily from three to four, with the understanding that the number would return to three at the end of the current Ambassador's tenure.

On numerous occasions, the Ambassador has augmented his official residence staff temporarily for large events by hiring additional official residence employees and then terminating them at the end of the event. This method of obtaining additional help for individual events increases the representation allotment inappropriately and puts an unnecessary burden on the management staff who process these personnel actions. According to 3 FAM 3256 (1) and Department of State Standardized Regulation 320 f., official residence staff overtime and augmentation expenses for representational events are to be charged to the representation allowance.

**Recommendation 9:** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should bring its method of augmenting official residence staff resources for representational events into line with U.S. Government regulations. (Action: U.S. Mission to UNESCO)

## **Quality of Life**

Because quality-of-life issues affect staff equally at all three Paris missions, the Embassy Paris inspection report includes a discussion of those issues and should be read in conjunction with this report.

## **Information Technology and Information Security**

Because the Embassy Paris information management section is responsible for information technology and information security issues at all three Paris missions, all recommendations on information technology and information security issues are included in the Embassy Paris inspection report, which should be read in conjunction with this report.

## Management Controls

In his annual statement of assurance on management controls for the period ending June 30, 2011, the Ambassador stated that the results of internal and external reviews provided reasonable assurance that management control objectives had been achieved. Despite these assurances, the inspection team found several vulnerabilities and determined the need for management's heightened involvement and collaboration in the management controls program.

Generally, weaknesses in the areas of voucher certification, travel authorization, and gifts disposition were found across all three missions in Paris. TMM is addressing these concerns. Inspection team comments and recommendations in this area are included in the Resource Management section of the Embassy Paris inspection report.

The inspectors found internal controls on official travel and the use of official vehicles at the U.S. Mission to UNESCO to be lax. As a result, mission management and TMM thoroughly reviewed existing control systems, identified weaknesses, strengthened procedures to bring them into compliance with U.S. Federal regulations and guidelines, and obtained reimbursement for the Department, where appropriate.

The U.S. Mission to UNESCO also lacked adequate management controls over spousal employment and internal controls to avoid the appearance of conflict of interest. Since the arrival of the inspection team, mission management has been working closely with TMM and the Office of the Legal Adviser to develop adequate screening arrangements and to obtain the requisite approvals for spousal employment. The inspectors have reviewed the proposed screening arrangements as well as the request for spouse employment authorization and found them to be in accordance with the Department's ethics guidelines. The OIG team did not, therefore, make a formal recommendation on this matter.

## List of Recommendations

**Recommendation 1:** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization, in coordination with the Bureau of International Organization Affairs, should develop written instructions for their joint staffs to address communication protocols, the free flow of information, and clearance processes. (Action: U.S. Mission to UNESCO, in coordination with IO)

**Recommendation 2:** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should create and maintain a central repository of mission work products, Department of State instruction cables, significant United Nations Educational, Scientific and Cultural Organization communications, and other relevant documents on the mission's SharePoint site or other appropriate shared drive. (Action: U.S. Mission to UNESCO)

**Recommendation 3:** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should implement an annual comprehensive public diplomacy strategy that includes a plan of budgeted activities to carry out this strategy. (Action: U.S. Mission to UNESCO)

**Recommendation 4:** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should revise its position descriptions for locally employed public diplomacy positions PC-4009 and PC-4010. (Action: U.S. Mission to UNESCO)

**Recommendation 5:** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization, in coordination with the Bureau of International Organization Affairs and the Bureau of Administration, should bring its grants into compliance with Department of State standards and regulations. (Action: U.S. Mission to UNESCO, in coordination with IO and A)

**Recommendation 6:** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should cease issuing end-of-year grants to the bilateral Fulbright Commission to perform work more properly carried out by the mission itself. (Action: U.S. Mission to UNESCO)

**Recommendation 7:** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization, in coordination with the Bureau of International Organization Affairs and the Bureau of Administration, should cancel grants S-FR630-10-GR002 and S-FR630-11-GR005 and return unexpended funds to the U.S. Treasury. (Action: U.S. Mission to UNESCO, in coordination with IO and A)

**Recommendation 8:** The U. S. Mission to the United Nations Educational, Scientific and Cultural Organization should hold rating officers accountable for timely submission of annual employee performance evaluations and cite poor performance in the delinquent officer's own performance evaluation. (Action: U.S. Mission to UNESCO)

**Recommendation 9:** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should bring its method of augmenting official residence staff resources

for representational events into line with U.S. Government regulations. (Action: U.S. Mission to UNESCO)

## List of 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 U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should request representational plans from mission officers and locally employed staff at least semiannually, earmark some funding for one-on-one contact invitations, and cohost occasional events for working-level contacts.

***Informal Recommendation 2:*** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should identify one staff member, preferably a locally hired employee, to create and oversee maintenance of a central document repository.

***Informal Recommendation 3:*** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should request hands-on training from Embassy Paris on creating and maintaining a central document repository.

***Informal Recommendation 4:*** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should make greater use of cables and record email in reporting on programmatic and political developments within the United Nations Educational, Scientific and Cultural Organization.

***Informal Recommendation 5:*** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should require both of the locally employed staff members in the public affairs section to take the Foreign Service Institute's online grants officer training.

***Informal Recommendation 6:*** The U.S. Mission to the United Nations Educational, Scientific and Cultural Organization should develop a public diplomacy representation plan and make appropriate use of the section's separate representational allotment to advance its working-level contacts.

## Principal Officials

	<b>Name</b>	<b>Arrival Date</b>
Ambassador	David Killion	08/23/2009
Deputy Chief of Mission	Kathleen Kavalec	07/23/2010

## Abbreviations

DCM	Deputy chief of mission
Department	U.S. Department of State
EEO	Equal Employment Opportunity
FAM	<i>Foreign Affairs Manual</i>
IO	Bureau of International Organization Affairs
OIG	Office of Inspector General
QDDR	Quadrennial Diplomacy and Development Review
TMM	Tri-mission management
UNESCO	United Nations Educational, Scientific and Cultural Organization

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