



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

Office of Inspections

**Inspection of
Embassy Port-au-Prince, Haiti**

Report Number ISP-I-12-24A, May 2012

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Office of Inspector General

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

Acknowledgment

The inspection team would like to express its deep appreciation to the Haitian and American employees of Embassy Port-au-Prince whose daily efforts contribute to the reconstruction of Haiti. We wish to express gratitude in particular to the loyal Haitian employees who lost family members and friends and who endure continued suffering from injuries and dislocation, all the while retaining hope for Haiti's future.

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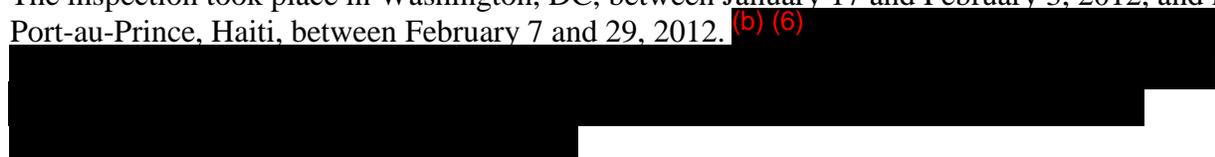
Key Judgments

- The embassy community suffered many losses in the devastating 2010 earthquake. The disaster has left an indelible imprint on embassy employees that newly assigned American staff will need to take into account when working with locally employed staff.
- Two years after the earthquake, embassy operations are beginning to emerge from a permanent crisis response mode, but there is still much to be done to restore normal operations and procedures.
- The Ambassador has provided strong policy direction and leadership to a multiagency team, successfully using a “whole-of-government” approach to provide earthquake emergency and recovery assistance to Haiti. Country team collaboration is close and effective.
- The Ambassador coordinates frequently and productively with the senior Department of State (Department) officials engaged in Haiti policy to ensure that the embassy and the entire U.S. effort to assist Haiti are as consistent and effective as possible.
- The Ambassador has played a major role in guiding U.S. policy and the embassy through Haiti’s periodic political crises and in assuring that the U.S. interest in Haiti’s democratic development is preserved.
- Security at this critical crime post is an important factor in embassy staffing and operations. The regional security office with strong support from the Ambassador and deputy chief of mission (DCM) leads a well-coordinated program to manage security risks in a way that permits the embassy to maintain its significant level of engagement throughout Haiti.
- In addition to its difficult post-earthquake recovery responsibilities, the management section has supported the surge in staff growth and coped with staffing gaps in critical positions with mixed results. Internal control weaknesses and lack of standard operating procedures for management functions expose the embassy to risk of financial loss and jeopardize property accountability.
- Political and economic spot reporting is timely. Analytic cables are forward-looking and provide rich context, and interagency cooperation is strong in commercial promotion and support for U.S. businesses.
- The embassy is making strides in integrating efforts to promote Haitian policy reforms and implement large assistance programs in coordination with other donors.
- Public affairs activities are important to the overall U.S. effort in Haiti and are well-coordinated among the broad range of U.S. Government agencies in the country team.
- The consular section is functioning effectively and provides outstanding assistance to American citizens. Fraud and high-profile interest in Haitian cases impact efficiency and complicate workload and staffing projections.

- Overcoming delays to complete as soon as possible the U.S. Government-owned residential construction projects is critical to providing employees with secure and seismically safe housing, and will generate savings of at least \$3 million by reducing logistical support requirements and associated staff.

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 17 and February 3, 2012, and in Port-au-Prince, Haiti, between February 7 and 29, 2012. (b) (6)



Context

The January 2010 earthquake that struck Haiti killed more than 200,000 people, injured 300,000, and displaced 1.5 million. It had an economic impact equal to 120 percent of Haiti's 2009 gross domestic product, devastating the capital's infrastructure and the ability of government officials to fulfill basic functions.

Haiti is about the size of Maryland; its population of 9.9 million is largely rural with 2.3 million people in the capital city of Port-au-Prince. Haiti is plagued by natural and health disasters, extreme poverty, crime, and political instability that impede economic development and stability. Haiti has a 52 percent adult literacy rate and the highest rate of brain drain in the world, with 80 percent of its university-trained citizens living outside the country.

At the 2-year anniversary of the earthquake, the Haitian Government has moved from crisis to reconstruction and Embassy Port-au-Prince is transitioning from crisis management to normalcy of operations. Haiti enjoys substantial support from the international community. The United States is committed to empowering a Haitian-led effort that will lead to a stable Haiti whose sustained democratic governance contributes to national and regional security and whose growing economy can yield improved resilience in the wake of natural disasters.

The United States also seeks to stanch narcotics and human trafficking. The Department of Defense's U.S. Southern Command engages on humanitarian services and disaster response preparedness. U.S. disbursement of \$1.3 billion in post-earthquake recovery and humanitarian assistance is nearly complete, and the United States has expended about 40 percent of \$1.8 billion in multiyear funds for reconstruction and long-term development assistance.

Democratic governance and economic development remain fragile. The United States and international partners exerted sustained efforts to ensure that March 2011 elections were free, fair, and peaceful, and that the landslide victory of Michel Martelly was respected. Internal strife precluded President Martelly, an inexperienced politician, from forming a government for 6 months until November 2011, which delayed decisionmaking on essential reforms. Donors cannot proceed on assistance projects until ministries approve implementing details and approvals are often slow. A change in prime ministers and the Cabinet was under way at the time of the inspection and legislative opposition to political, economic, and judicial reforms persist.

Haiti continues to rely for domestic stability and security on the UN Stabilization Force in Haiti, which has been in country since April 2004. The UN force numbers 8,000 troops, 3,500 police, and 2,000 civilians from 19 UN member states, who work to develop self-sustaining Haitian National Police capabilities. The UN Security Council extends the mandate of the UN force annually, based on local conditions, with the next review due in October 2012. President Martelly in 2012 established a commission to consider the restoration of a Haitian military force.

Haiti is the poorest country in the Western Hemisphere but demonstrated strong Gross Domestic Product growth of 5.6 percent in 2011, and projects an 8 percent growth rate in 2012. While exports are rebounding, inflation erodes the benefits of growth for most Haitians. Legislative rivalries stymie passage of streamlined laws and regulations that could substantially improve the business climate and attract the domestic and foreign investment necessary to generate hundreds of thousands of jobs.

The earthquake further damaged already inadequate infrastructure in Port-au-Prince. The critical crime threat and poor state of infrastructure have a major impact on embassy operations, such as the need for generator power in the chancery and staff housing. Haitian employees continue to cope with the emotional and physical toll of the earthquake.

Staffing for Embassy Port-au-Prince consists of 72 Department direct-hires, 64 other agency direct-hires, and 1,373 locally employed (LE) staff members. Adjustments to staffing levels are heavily dependent on the completion of seismically approved replacement official housing now under construction or pending contracting action, and on the support capacities of the security and management platform.

Embassy Port-au-Prince was last inspected in 2007.

Executive Direction

Policy Direction and Coordination

In the wake of the devastating January 2010 earthquake in Haiti, the United States undertook a massive effort to provide immediate humanitarian relief to victims of the earthquake and of the subsequent cholera outbreaks. The United States then developed a 5-year strategy to support Haiti's reconstruction through a Haitian-led effort in coordination with U.S. and other donors. The U.S. objectives are to catalyze economic growth through investment in agriculture, energy, and infrastructure and to ensure long-term stability through assistance to public institutions, including the police, the judiciary, and other government institutions. The U.S. strategy for Haitian reconstruction was developed under the direction of the Office of the Secretary of State working in close coordination with the U.S. Agency for International Development (USAID). The Ambassador, who is one of the foremost American experts on Haiti, had significant input into the formulation of U.S. assistance strategy.

The Ambassador oversees closely the strategy's implementation in coordination with the Office of the Secretary of State and the implementing agencies in Haiti, principally USAID, the Centers for Disease Control and Prevention, and the Department's Bureau of International Narcotics and Law Enforcement Affairs (INL). All implementing agencies in Port-au-Prince described the country team effort under the Ambassador's lead as cordial and collaborative. Because of the limited number of decisionmakers in the Haitian Government, the Ambassador was frequently called upon, in collaboration with the Office of the Secretary and the implementing agency, to secure needed Haitian Government approval or cooperation.

The Ambassador provides clear guidance and leadership to all members of the country team and the DCM speaks for the Ambassador in his absence. Country team relations are collegial and professional and facilitate the achievement of U.S. foreign policy goals.

On a separate, but often intersecting track with U.S. long-term strategy in Haiti, are the frequent and often debilitating Haitian political crises. These often demand the attention of the Ambassador to gather information, report on and, at times, act to help overcome.

The embassy hosts a large number of high-level U.S. executive and legislative branch visitors and manages well the complex logistical and security aspects of these visits. Reporting of the action items from visits of key policy-level officials is generally by email to the interested U.S. parties, which is satisfactory to keep action offices apprised. However, these concise emails do not provide to the broader range of Haiti-watchers the useful texture of meetings with Haitian officials.

The Ambassador advocates frequently and effectively on behalf of U.S. economic and business interests, in coordination with efforts being made directly in the Department and by the Department of Commerce and other agencies.

The Ambassador and the DCM provide clear guidance and direction on a strong political and economic reporting program, meeting weekly with reporting officers as a group in addition to frequent informal communication. The Ambassador also maintains a heavy flow of email and

telephonic communication with the Secretary's office and with the Haiti Special Coordinator on policy issues, and political, economic, and assistance developments.

The Ambassador, a fluent speaker of French and Haitian Creole, exercises active outreach to the Haitian and international media in close coordination with the public diplomacy section.

Internal Management

The Ambassador and the DCM function as a team and their office management specialists facilitate communication within and outside the embassy. The Ambassador and DCM talk or share email frequently each day. All elements of the embassy indicated that informing either one means that both are informed. Since his arrival in June 2011, the DCM has taken a strong role in overseeing the internal management of the embassy and the regional security office, while keeping the Ambassador well informed. The Ambassador and the DCM recognize that, particularly in the aftermath of the earthquake, management services were under exceptional strain and required more engagement by the executive office. The Ambassador and the DCM meet regularly with the management officer and the DCM, a management cone officer, is in frequent, daily communication with the management section to answer questions, provide feedback and guidance, and to check on the status of pending issues.

The Ambassador and the DCM refer frequently to the need to normalize embassy operations from the crisis response approach that has characterized them in the period since the earthquake. With the large staff growth of about 50 U.S. direct-hire positions to implement relief, recovery, stabilization, and economic development assistance efforts beginning to slow down and a succession of temporary duty management officers being replaced by full-tour officers, conditions for progressive normalization of embassy operations and procedures are being put in place.

Recommendation 1: Embassy Port-au-Prince should develop a strategic plan for steady progress toward normalization of embassy operations and procedures and the executive office should capture the expertise of the officers about to depart the embassy in that plan. (Action: Embassy Port-au-Prince)

The Ambassador and the DCM carefully track requests from the Department and other agencies to establish new positions in the embassy, as required under National Security Decision Directive 38 (NSDD-38). They are well aware of the desire by program agencies to expend assistance funds quickly and their assertion that they can only accomplish this with increased staff in the embassy. The Ambassador and DCM are equally aware of the limitations on staff increases imposed by the limited availability of acceptable housing and the need to provide management support and security for additional personnel. In consultation with the Counselor of the Department and the Haiti Special Coordinator, the Ambassador exercises his authority as chief of mission to ensure that any additional staff is necessary and that the positions approved will be filled with individuals possessing the necessary language and other skills to carry out their responsibilities. The Ambassador believes and the inspection team concurs that the embassy is nearing the limit of its ability to absorb, support, and provide security for additional American staff.

Morale

Morale in the embassy varies widely and is negatively impacted by the difficulties of life in Haiti and the uneven state of management support. The Ambassador invites American and Haitian employees to his residence on a rotating basis and the DCM walks around the embassy periodically. More frequent engagement with employees in the consular and management sections would be beneficial. Despite the great hardships they have endured, LE staff members expressed reasonably high levels of satisfaction with their jobs and with executive office leadership.

Entry-Level Professionals

The DCM has met with entry-level professionals (ELP) as a group every 2 months and he and the Ambassador have invited them to informal dinners. The Ambassador and the DCM also maintain an open door policy and make themselves available for informal mentoring sessions. The embassy uses ELPs to perform functions during high-level visits outside their regular duties, although these opportunities have not been available to all ELPs because such opportunities were often filtered through their supervisors.

Inspectors met with each of the ELPs individually and with the majority of the ELPs as a group. They have not set up a formal organization, although they met as a group to discuss their concerns prior to meeting with the inspection team. The inspection team urged them to take an ownership stake in professional development activities at the embassy by identifying to the DCM which opportunities would be most beneficial to them and any difficulties they face in availing themselves of these opportunities.

Informal Recommendation 1: Embassy Port-au-Prince should prepare, in consultation with entry-level professionals, a menu of career development opportunities for these professionals and direct all embassy sections to give all entry-level officers and specialists the opportunity to participate in a range of career development opportunities as often as possible consonant with their job responsibilities.

Protocol

A capable LE protocol assistant conducts the standard protocol duties, which are substantial, and often requires help from an LE economic assistant. Staff resources are not used efficiently to manage multiple contact databases, which are prepared in different formats and not shared among sections. In 2011, the protocol assistant had training on a Department contact database system. Immediate tasks have diverted staff from implementing a consolidated contact database.

Informal Recommendation 2: Embassy Port-au-Prince should establish a consolidated contacts database.

Security

The Ambassador and DCM provide strong support to the security program. Communication between the regional security office and the executive office is excellent with a steady, timely flow of information in both directions.

Policy and Program Implementation

Policy advocacy is strong and assistance implementation is integrated across sections and agencies. The embassy uses the U.S. strategy for Haiti, the FY 2013 Mission Strategic and Resource Plan, and a structure of four sector working groups, known as pillars, for planning and reinforcing mutual program objectives. The 5-year strategy concentrates U.S. assistance in three geographic corridors of Haiti to optimize impact. USAID chairs two pillars: Food and Economic Security, and Infrastructure and Energy. The Department chairs the other two: Democracy and Governance, and Health and Other Basic Services. Participants in each represent about 10 sections or agencies, illustrating a genuine whole-of-government approach.

For many years including 2011, Transparency International has ranked Haiti among the worst of over 180 countries in its global index of corruption. In 2009 and again in 2011, Haiti ranked at the bottom of the World Bank's Doing Business index because of poor infrastructure, limited access to credit, and lack of respect for contracts. Haiti also has a tumultuous record of political instability.

The Ambassador and his team are consistent in their messaging to promote policy reforms with Haitians and in related discussions with multilateral and bilateral partners and donors. The team operates with alacrity. On word of a Brazilian minister's visit to Haiti, the embassy and the Secretary's Acting Special Representative for Global Food Security arranged, within days, meetings that led to trilateral cooperation on agricultural development. The trilateral approach will serve as a model for assisting other least developed countries. In other cases, embassy officers and other agencies' representatives conduct coordinated dialogues with the UN Stabilization Force in Haiti on community policing, promotion of the rule of law, and good governance.

The political and economic sections produce timely spot reporting and high-quality analytic cables that Washington consumers praise. Cables are well-sourced, provide rich context, and are forward-looking. Reporting officers distill the facts while explaining how the rumors rife in Haiti affect the actions of leading Haitians. Officers travel throughout Haiti to meet with diverse groups such as national and local politicians, labor activists, and communities and individuals that are beneficiaries of U.S. assistance.

The pace of work generates quick informal embassy email exchanges with a circle of Department recipients, but the content is not always followed by official record traffic. These email exchanges complicate lateral communications in the embassy. The Haiti health reconstruction coordinator and narcotics affairs section employees do not produce official summary reporting. More use of official reporting channels will allow information to reach many interested official consumers. For example, with such information, U.S. embassies in the Group of 12 countries and the U.S. Mission to the United Nations can help shape better coordination of strategies for Haiti among donor countries. The impressive performance of the embassy can be enhanced significantly by the introduction and maintenance of standard operating procedures for reporting and programming officers.

Informal Recommendation 3: Embassy Port-au-Prince should increase reporting through official channels on the content of meetings with senior and working-level Haitian officials.

Records Management

Emails that are not followed by formal cable reporting can be prepared as record traffic. Officers are not using the record email function of the State Messaging and Archive Retrieval Toolset software system. Record email is designed to archive emails that should be preserved for the historical record, such as schedules for visitors, progress reports on programs, and exchange of views on policy-related matters.

Recommendation 2: Embassy Port-au-Prince should implement a system for employee compliance with guidance on using the State Messaging and Archive Retrieval Toolset software system to archive email and other correspondence. (Action: Embassy Port-au-Prince)

Many employees are not implementing Department procedures for managing and retiring records, as required by 5 *Foreign Affairs Manual* (FAM) 433, and are not familiar with procedures for retiring electronic records. Employees in the political, economic, and narcotics affairs sections, and the Haiti health reconstruction coordinator, are not filing documents in shared electronic folders. Sections are not organizing shared folders according to the Department's Traffic Analysis by Geography and Subject labeling system. Email messages that meet the definition of records in 5 FAM 443.2 are not archived. Failure to implement such procedures causes inefficiency in searching for information and impedes the Department's ability to retrieve official documents of value to the conduct of foreign policy and to historians.

Informal Recommendation 4: Embassy Port-au-Prince should issue a management notice requiring each section to establish, maintain, and annually retire official records, including email messages that qualify as records, and implement a tracking system to verify that employees are managing and retiring electronic records.

The inspection team found that the political section retains about 10 linear feet of paper files dating back a decade in several safes. The narcotics affairs section does not have a coherent filing system. Embassies are responsible under 5 *Foreign Affairs Handbook* (FAH)-4 H-310 for carrying out an active records disposition program. In addition to the legal requirements for disposition, sound administrative and security practices dictate that records eligible for disposition be promptly retired or destroyed. These timely actions reduce the requirement for additional filing equipment and storage within valuable office space.

Informal Recommendation 5: Embassy Port-au-Prince should archive files that meet the definition of official U.S. records and should destroy nonofficial materials held in safes.

Biographic and Leadership Reporting

Individual sections of the embassy hold biographic files for internal use. The economic section has biographies on the embassy OpenNet Web site. That link is not readily known to Department users. The embassy is not meeting 2 FAM 113.3 b. (1) guidelines to make readily available biographic files on foreign nationals, official or private, who directly or indirectly influence domestic and foreign policy.

Recommendation 3: Embassy Port-au-Prince should enter biographic information on the unclassified Diplopedia system and it should enter classified leadership profiles on the Intellipedia system. (Action: Embassy Port-au-Prince)

During Haiti's 2011 electoral transition and formation of a new government, cable reporting included profiles of significant Haitian politicians. Embassy staff has extensive additional Haitian contacts. There is no sense that biographic reporting is a job for everyone who has contacts, such as the narcotics affairs and consular sections, and not just for those in the political section.

Informal Recommendation 6: Embassy Port-au-Prince should include biographic reporting and leadership analysis responsibilities in the work requirements statements of all officers who do significant amounts of contact work.

Open Source Center

The Open Source Center is the U.S. Government's provider of foreign open source intelligence. Open Source employees prepare analyses on information about foreign political, military, economic, and technical issues, which is available from an ever-expanding universe of open sources.

An LE staffer with long tenure in the embassy operates under the supervision of managers in Panama. The Open Source Center also uses a local employee in Panama and a network of contract employees for monitoring and translation. Political, economic, and security officers are not using Open Source material. They are not aware of the www.opensource.gov Web site. Nor do they request the Open Source Center to produce analyses on targeted topics that would reduce research by embassy officers.

Informal Recommendation 7: Embassy Port-au-Prince should reestablish collaboration with regional Open Source Center managers on analyses that would benefit embassy officers.

Export Controls

During the inspection, U.S. firms interested in exporting guns made inquiries about sales to Haiti and one firm expressed concern about inaccurate information attributed to an unidentified embassy source. There is no designated embassy officer with responsibility for managing U.S. munitions and dual-use export controls. Correct official guidance to American suppliers and Haitian buyers is important to mitigate the risk that munitions or sensitive dual-use goods could be sold to transnational or domestic criminal gangs.

Recommendation 4: Embassy Port-au-Prince should designate appropriate officers to manage munitions controls and Department of Commerce-administered dual-use export controls. (Action: Embassy Port-au-Prince)

Leahy Human Rights Case Vetting

Haiti has a long history of human rights violations and torture carried out by several administrations. Haitian official records are poorly maintained and many were lost in the earthquake. Many alleged violators of human rights have not been prosecuted in Haiti. As a consequence, the embassy needs to apply scrupulously the vetting procedures of the Leahy program to preclude U.S. assistance to persons implicated in human rights violations. Department of State- and Department of Defense-funded training and equipment cannot be provided to Haitian entities and individuals who do not have completed, clear vetting.

In the past year, the embassy processed about 1,000 cases using the Department's Leahy database system. The volume is likely to increase to 2,000 cases annually. Anticipating the increasing caseload, the narcotics affairs section director and the mission's designated Leahy coordinator are planning ahead. They traveled in late February 2012 to consult with counterparts in Bogota on mechanisms to streamline vetting procedures.

The narcotics affairs section director also convened a February 2012 meeting to improve understanding about Leahy procedures. The inspection team observed that representatives of sections affected by Leahy policy were conversant about most, but not all, aspects of vetting. Standard operating procedures about Leahy procedures need to be disseminated widely due to American employee turnover and because numerous representatives of other agencies on their first overseas assignment are unfamiliar with the Leahy program.

Recommendation 5: Embassy Port-au-Prince should issue an annual management notice explaining the scope of Leahy vetting requirements. (Action: Embassy Port-au-Prince)

The inspection team found there was no secondary Leahy coordinator, contrary to the suggested good management practices of the Bureau of Democracy, Human Rights and Labor Affairs to appoint a backup coordinator so that vetting can proceed if the coordinator is unavailable. Despite its volume of cases, the embassy does not have a secondary coordinator who is trained on the Foreign Service Institute's distance learning course, International Vetting and Security Tracking system: Leahy Vetting at Post (PP-410).

Informal Recommendation 8: Embassy Port-au-Prince should designate a secondary coordinator for the Leahy vetting program and arrange for the incumbent's training and authorization to use the International Vetting and Security Tracking system.

Political Section

The political section is amply staffed with six Foreign Service officers and an LE specialist supported by a Foreign Service office management specialist. Officers use French language skills. Several officers acquired Haitian Creole from prior assignments in Haiti or from rotational work in the consular section. The counselor and his deputy attentively build staff skills. Their motivated team has good morale.

The section has a position designated as a political/economic officer. The embassy assigned a solely political portfolio to the incumbent, who has fluent Haitian Creole and French,

to help cultivate a wider range of contacts in the Haitian executive and legislative branches of government through the May 2011 elections and during the Martelly Administration's protracted efforts to name a cabinet. This officer continues building contacts to glean information on local and Senate elections in 2012. Upon departure of the incumbent, it is important to realign political and economic staffing. The inspection team addresses realignment in the Economic/Commercial section of this report.

Trafficking in Persons

Haiti is a source, transit, and destination country for men, women, and children subjected to trafficking in persons, specifically forced labor and forced prostitution. The majority of trafficking cases involve the practice of child slavery in domestic settings. For several years, the Department has not prepared a tier ranking of Haiti in its annual global trafficking report. The Department's published 2012 report will include an evaluation of Haiti, likely leading to heightened bilateral dialogue on necessary measures to counter trafficking.

In December 2011, the DCM directed establishment of a trafficking-in-persons working group. The DCM delegated authority to the political counselor, in tandem with a consular officer, to manage embassy-wide activities. The group includes narcotics affairs section employees conducting law enforcement technical assistance and USAID staff implementing a large project to assist and empower vulnerable women in high-risk environments, which also includes child protection.

Economic/Commercial Section

The economic staff is a highly productive and collegial team. A counselor supervises two entry-level officers (ELO) and an office management specialist. One LE staff member handles commercial work but is often redirected to protocol duties, and another has economic duties. Officers use French language skills. The counselor is developing the economic tradecraft skills of the ELOs.

The U.S. Department of the Treasury provides intermittent technical assistance directly to Haitian financial authorities and anticipates in 2012 the deployment of three resident advisors to Haitian ministries. A resident Treasury attaché contributes to economic analysis and advocacy for Haitian economic policy reforms. Treasury personnel regularly inform the embassy about their activities.

The economic section is understaffed. As noted in the political section of this report, a political/economic officer position has been used exclusively for political work. In summer 2012, upon departure of the incumbent in position 14-748960, the embassy would benefit from reallocating staff resources to better manage a growing economic and commercial workload and the increasing number of official visitors.

Informal Recommendation 9: Embassy Port-au-Prince should assign an economic portfolio to the incoming officer assigned to position 14-748960.

Frequent turnover of the three officers in the economic section hinders the section's ability to build and retain knowledge. The head of the economic section serves a 2-year tour.

Two ELOs rotate yearly, requiring them to both acquire and apply economic skills within that time.

The section has as broad and complex an agenda as economic sections elsewhere that have more experienced officers. The section handles the full range of economic topics: macroeconomics, finance, telecommunication, transportation, energy, commercial issues, and labor, environment, science, technology, and health affairs. Officers also collaborate with counterparts in other agencies conducting development assistance.

An extension of language training to reach proficiency caused a 5-month gap for the economic section when the ELO slated for assignment into economic position 20-06200 was instead assigned to another section for the entirety of his tour. The economic section needs better predictability and reduced staffing gaps during assignment turnovers.

A reduction by one in the number of formal rotational positions at the embassy to enable the economic section to retain one ELO for a 2-year tour would help continuity. The change would not affect the number of total ELOs at the embassy. A 2-year ELO tour in the economic section is all the more important in light of the 2012 departure of an Ambassador who has a depth of economic experience.

Recommendation 6: Embassy Port-au-Prince, in coordination with the Bureau of Human Resources and the Bureau of Western Hemisphere Affairs, should convert one of its entry-level officer rotational positions into a 2-year economic tour. (Action: Embassy Port-au-Prince, in coordination with DGHR and WHA)

Labor

The economic staff reports local conditions, promotes improvements in Haitian labor practices, and enlists support from U.S. Department of Labor experts. The staff conducts discussions with Haitian officials, employers, labor representatives, and nongovernmental organizations. The United States provides technical assistance to improve labor practices in selected factories which can then serve as models for other Haitian employers. The section expends considerable resources to evaluate Haiti's compliance with the conditions of U.S. trade preference legislation.

Commercial Issues

Following the Ambassador's lead, his team advocates often on behalf of American exporters of goods and services and in representing the interests of U.S. investors in Haiti. The embassy broadly advertises the USAID Forward initiative to streamline the procurement of U.S. assistance and to promote contracting opportunities for both American and Haitian firms.

The embassy provides objective, balanced guidance to the American business community about pitfalls in Haiti's business climate and opportunities in the Haitian market so that American businesses can take informed risks. It works closely with agencies such as the Overseas Private Investment Corporation and U.S. Trade Representative. The embassy is a Foreign Commercial Service Partner Post since October 2011. Guidance is consistently and widely disseminated in the Country Commercial Guide, the Investment Climate Statement, and

other public sources such as www.export.gov and www.grants.gov. The public diplomacy section disseminates such information on the embassy's Web site and Twitter account.

Embassy employees, including from USAID, partner closely with the American Chamber of Commerce in Haiti. In February 2012, the embassy enlisted the chamber, the regional Foreign Commercial Service attaché based in Santo Domingo, and the Foreign Commercial Service office in Miami to conduct a webinar with 55 fee-paying Americans eager to learn how to do business in Haiti.

Environment, Science, Health, and Technology Affairs

The economic section handles environment, science, health, and technology affairs and prepares reporting and analyses on local conditions and on commercial opportunities for American firms in fields such as waste management. Reporting encompasses aspects of environmental, health, and agricultural development programs.

Extensive U.S. assistance in the health sector predates the 2010 earthquake and is conducted by the Centers for Disease Control and Prevention and USAID. To help manage the large interagency health programs, the Department funded a new position for a Haiti health reconstruction coordinator who reports to the Ambassador. The incumbent is new to U.S. Government and Department procedures, conducts most communication by email to a small circle, and keeps materials on the local workstation drive not accessible to others.

Informal Recommendation 10: Embassy Port-au-Prince should maintain its health sector files in shared electronic folders accessible to the economic section and organized in accordance with the Traffic Analysis by Geography and Subject labeling system, and include health files in economic section archiving.

Informal Recommendation 11: Embassy Port-au-Prince should arrange for the Haiti health reconstruction coordinator and economic officers to jointly prepare periodic cables on health topics for broader dissemination to U.S. official consumers.

Narcotics Affairs Section

The narcotics affairs director of the section leads a staff, which includes an experienced management officer, three experienced advisors on policing, an American LE staff member with a security clearance who serves as Leahy coordinator, an ELO, and seven LE staff members. Employees have extensive contacts with Haitian officials and nongovernmental organizations of value to the entire embassy, particularly to the regional security office. Programs focus on countering narcotics trafficking, in close cooperation with the Drug Enforcement Administration, and capacity-building of the Haitian National Police including recruitment of women and the promotion of police respect for human rights.

The narcotics affairs section relies appropriately on administrative and logistical support from INL to meet the challenge of delivering over \$186 million in technical assistance. Insufficient staffing in INL and in the narcotic affairs section has hampered preparation and completion of contracts and other project documentation. Section performance also is stymied, as are most programs, by limits in the capacity of Haitian counterparts to agree to specific project

terms and to absorb aid. A recommendation on improving accountability on grants and contracts appears in the Management Controls section of this report. In addition, the director and his deputy are consulting with INL in Washington on possible consolidation of procurement functions to facilitate implementation of projects in Haiti.

Law Enforcement Working Group

The regional security officer, with DCM oversight, exercises lead responsibility for law enforcement activities involving resident and nonresident law enforcement entities. In September 2011, the regional security officer formalized a law enforcement working group, which the DCM chairs every 2 weeks. The regional security officer maintains and distributes minutes of meetings. The inspection team observed robust collaboration and appropriate information exchange among embassy sections and agencies. Law enforcement entities regularly consult on policy, technical assistance, and operational matters.

Foreign Assistance

The Ambassador has comprehensive knowledge of the diversified assistance programs and intervenes to improve programming effectiveness and accountability of funds.

Building on U.S. assistance established in Haiti before the January 2010 earthquake, the U.S. Government committed \$3.1 billion toward relief, recovery, and reconstruction. Of this amount, \$1.3 billion has been obligated for rapid, lifesaving emergency assistance, including funding to fight cholera outbreaks. The balance of \$1.8 billion supports long-term development. Unusually, a significant amount of U.S. assistance is used for construction and reconstruction of buildings that meet seismic standards, a process that requires a long timeline for design and completion.

The health sector is among the largest programs, with a cumulative allocation of \$943 million in funding from the FY 2010 supplemental budget appropriation through FY 2014 budget projections. Of that total, the FYs 2010 and 2011 appropriations amount to \$477.8 million.

The Centers for Disease Control and Prevention, USAID, and the Office of the U.S. Global AIDS Coordinator are moving toward better collaboration in the delivery of health assistance. The Haiti health reconstruction coordinator, reporting to the Ambassador and Department and USAID officials, figures significantly in keeping cooperation on track.

Because of constraints in housing full-time personnel, the embassy has used temporary duty staff to handle the functions of U.S. President's Emergency Plan for AIDS Relief (PEPFAR). At the time of the inspection, the embassy was preparing the scope of work for the recruitment of a full-time PEPFAR coordinator.

Public Diplomacy

A small section, relatively understaffed and inexperienced, conducts a growing range of outreach programs that often involve the Ambassador who is attentive to public diplomacy and particularly adept at reaching Haitian audiences in fluent French and Haitian Creole. Only two of

the three authorized officer positions in the public diplomacy section have been filled during much of 2010- 2011. A new public affairs officer and an experienced information officer are scheduled to arrive in summer 2012. The section's budget is one of the largest in WHA, taking into consideration programming opportunities and programs offered by the Bureaus of Educational and Cultural Affairs and International Information Programs. With only 12 LE staff members, the section is among the smallest in WHA, which has negatively affected its ability to expand and monitor activities on a regular basis. The embassy has funds to hire two additional LE staff members for the public diplomacy section and has begun the hiring process for one staff member.

The first-time public affairs officer concurrently serves as information officer. He spends the majority of his time on press activities involving frequent high-level visitors from the United States and visiting foreign and U.S. press covering relief efforts and reconstruction following the 2010 earthquake. The public diplomacy section's engagement with the Haitian media has also concentrated on explaining U.S. relief efforts and accomplishments. The public affairs officer works closely with the embassy's executive office to ensure policy coherence and coordinates all public affairs activities for a large USAID mission, the Department of Defense, and various other U.S. Government agencies resident in or visiting Haiti. All stakeholders recognize that the section's press activities are critical to the overall U.S. effort in Haiti. Interagency press coordination is excellent.

Unfortunately, the quantity of press and public affairs work that dominates the efforts of the public diplomacy section has left little time for strategic planning for public diplomacy for the year ahead. Although the public diplomacy goal within the FY 2013 Mission Strategic and Resource Plan is adequate, public diplomacy themes and goals are not embedded within the other five goals. The section has also not conducted audience analysis to determine where to target its efforts. The public affairs officer is aware of these planning shortcomings and has begun to sketch out preliminary thoughts in preparation for the 2014 Mission Resource Request.¹

Informal Recommendation 12: Embassy Port-au-Prince should prepare a written strategic analysis of the public diplomacy themes important to the Haitian-American dialogue and the key Haitian audiences who should be engaged in that dialogue.

Exchange Programs

The cultural affairs officer manages a large cultural and exchange program budget of \$3.45 million in Bureau of Educational and Cultural Affairs supported activities, including 25 International Visitor Leadership Program grants, a Fulbright and Humphrey program, and reinvigorated cultural and speaker programs. Much of this activity had been stalled or postponed for many months after the earthquake. The cultural affairs officer does not manage the Information Resource Center or the American Corner. Nor does she manage relations with the Haitian American Institute.

¹ In December 2011, the Department issued 11 STATE 124737, which discontinued the Mission Strategic and Resource Plan. The Mission Resource Request (3-year strategic plans, with shorter annual resource requests) replaces the Mission Strategic and Resource Plan beginning with the FY 2014 budget cycle.

The International Visitor Leadership Program, which includes minority grants, is closely tied to the embassy's FY 2013 Mission Strategic and Resource Plan goals and objectives. The DCM will chair the committee to select international visitor grantees later in 2012, and all mission sections and agencies play an active role in nominating candidates and participating in the selection process. All candidates are vetted for human rights abuses. Judicious use and timing of grantee travel have enabled the embassy to receive several additional no-cost grants in each of the past 2 years. The section is in the process of hiring an LE staff alumni coordinator who will help maintain closer contacts with former grantees from the International Visitor Leadership Program and other embassy grants programs.

Haiti does not have a Fulbright Commission. Instead, the cultural affairs officer manages Fulbright grants whose current recipients are Haitian senior scholars and graduate students. Plans to reinstate American scholar and graduate student programs are on hold because of security concerns in Haiti. An inaugural Fulbright Public Policy Fellow program to bring specialists to advise Haitian Government ministries is under consideration for FY 2013.

The public diplomacy section has also carried out a number of successful cultural programs targeting youth audiences, including a multicity jazz festival and an American speakers program that uses embassy officers to engage student groups on various topics about American life, society, and literature.

Grants

An administrative assistant, who has completed the requisite grants training, maintains the public diplomacy grants files. The public affairs officer and the cultural affairs officer hold current grants authority and have taken grants training. In FY 2011, Embassy Port-au-Prince issued 56 grants totaling \$511,220.

Most of the required grants documentation is present or in the process of being completed for FYs 2010 and 2011. One major shortcoming is the absence of required final reports from grantees and written accounting of how grantees spent the funds. For FY 2010, 50 percent of the grants lack this documentation; for FY 2011, 30 percent of the grants lack documentation. Occasionally grants were given to grantees in FY 2011 who had not completed reports for grants awarded in previous years.

In one particularly notable grants case, \$667,000 in two FY 2010 grants was fully disbursed to the Haitian American Institute to clear rubble from the earthquake and to rebuild its buildings. To date, despite frequent requests in writing from both the present and previous public affairs officers, only \$111,000 of the money has been accounted for with written receipts and the institute has not submitted a final report.

Recommendation 7: Embassy Port-au-Prince should request missing reports and documentation from delinquent FYs 2010 and 2011 grantees. No further grants to those entities should be approved until delinquent reports are received. (Action: Embassy Port-au-Prince)

Information Resource Center

The embassy's Information Resource Center is located just inside the entrance of the embassy and is under the overall direction of the public affairs officer. Although open to the public, it is difficult for Haitians to access and receives on average only about a dozen visitors each month. It houses a small reference library, some meeting and video conferencing capabilities, and exhibit and book storage. The staff includes a director, who is a trained English teacher, and an assistant. Neither staff member has research librarian experience or training. The center does little research or document gathering for embassy staff, concentrating instead on limited outreach to libraries, schools, and other educational organizations primarily in Port-au-Prince. Its most popular offerings are French language book donations supplied by the U.S. book translation program at Embassy Paris, paper shows loaned or given to local schools, and a monthly book discussion held at various institutions around Port-au-Prince.

The center director has worked closely with U.S. embassies in Santo Domingo and Paris to obtain materials for future programs and to develop center management expertise. Given the difficulty of attracting an audience to use the center inside the embassy and the general lack of program space available in the cramped center, the center director is actively exploring further programming in outside venues in Port-au-Prince and the provinces.

Informal Recommendation 13: Embassy Port-au-Prince should close access to the public of the Information Resource Center except by appointment and concentrate its efforts on external outreach.

The center does not use standard program tools such as article alert, electronic journals, or online data searches for the embassy staff or for external Haitian audiences, partly because there is no trained research librarian on the staff. The Washington-based regional information resource officer has not visited the center in more than 18 months.

Informal Recommendation 14: Embassy Port-au-Prince should reconfigure current staffing to include a trained research librarian.

The center director also coordinates the activities of the Port-au-Prince American Corner, located in the library of a prominent political development-oriented nongovernmental organization, the Fondasyon Konesans ak Libete (FOKAL). The Corner offers a small circulating collection of books and periodicals, two Internet connections, and a wide range of programs including seminars and speakers. Library and FOKAL senior personnel (including one Harvard-trained, former Haitian Prime Minister) are extremely supportive of the Corner and would like to see its operations expanded. The FOKAL director has offered the services of 22 affiliated libraries around Haiti as American Corner programming venues.

Informal Recommendation 15: Embassy Port-au-Prince should maximize programming opportunities at the American Corner and work closely with the Fondasyon Konesans ak Libete to leverage its platforms outside Port-au-Prince.

The Information Resource Center has done some work with English teaching programs including the Haitian American Institute, perhaps the largest English teaching institution in Haiti. A recent visit by a regional English language officer highlighted opportunities that the public diplomacy section could exploit in this area. The Information Resource Center has the expertise to take the lead on these kinds of programs.

The public diplomacy section handles the embassy's growing social media applications, which are managed by a recently hired part-time American LE staff member under the general supervision of the public affairs officer. In a country where only an estimated 200,000 people have regular access to the Internet and perhaps twice that number have intermittent Internet connection, the level of the embassy's use of social media products like Facebook, Twitter, and YouTube is appropriate. The public diplomacy section also manages the embassy bilingual Web site. Since April 2011 when the new LE staff member took over, embassy social media usage by Haitian audiences has increased by almost 50 percent. Trends indicate that across the board, both youth audiences and public opinion multipliers among the Haitian elites are turning to the Internet as a source of information and a means of persuasion, making social media a potential vehicle for greater embassy exploitation.

Consular Section

The consular section is a productive operation that provides a full range of services with 5 managers, 12 ELOs, 49 LE staff members, and 2 American family members. The staff is knowledgeable, professional, and well trained, and the section coordinates effectively with other sections and agencies in the mission to address operational and policy issues.

All consular officers speak French, but not all received training in Haitian Creole, which is essential for visa interviews. The inspection team addresses this issue in the Resource Management section of this report.

The section was identified by the Bureau of Consular Affairs in early 2010 to gain three officer positions; however, the NSDD-38 process slowed approval for two of the positions. Workload projections for 2013 and beyond suggest those positions will be needed to meet demand within the Bureau of Consular Affairs criteria for applicant wait times. The embassy's decision on whether to grant NSDD-38 approval will depend in part on its ability to provide housing, security, and administrative support for the new positions.

Consular Management

The consular section is led by an experienced senior officer who has focused on normalizing operations and achieving greater consistency in work processes and products; she has largely succeeded in achieving this goal. (b) (5)

[REDACTED] The consul general closely monitors work on special projects, training, and out-of-section opportunities. (b) (5)

[REDACTED] The inspection team believes that a more systematic structure to orienting incoming officers, assigning portfolios, offering special project opportunities, and

rewarding outstanding work through the awards program would enhance professional development and office morale.

Informal Recommendation 16: Embassy Port-au-Prince should create and implement a written orientation and training program for consular entry-level officers.

Within the section, the organization chart, performance rating assignments, and work requirements do not reflect the actual supervisory relationships. This lack of clarity causes confusion about who has authority to make decisions. The inspection team counseled consular managers on the benefit of delegating clear responsibility and authority and of performing supervisory oversight to hold staff accountable.

Informal Recommendation 17: Embassy Port-au-Prince should amend its consular performance rating assignments, work requirements, and consular section organization chart to clarify and delineate appropriate management relationships, responsibilities, and authorities.

The section is facing a large turnover in summer 2012, with the consul general, deputy consul general, and 8 of 12 ELOs rotating out. The consul general's initiative to develop a series of written standard operating procedures is an excellent tool to ensure continuity of operations for this upcoming transition. However, these are not yet accessible on every consular employee's computer.

Informal Recommendation 18: Embassy Port-au-Prince should use the intranet to facilitate internal communication in the consular section, including dissemination of standard operating procedures.

Consular Appointment System and Entry Procedures

Consular visitors begin lining up in the pre-dawn hours because too many appointments are made for early morning hours; thus the appointment system does not work effectively to create an even flow of applicants. The result is that hundreds of people stand for several hours, unprotected from the elements with insufficient seating and limited access to toilets and water. The Consular Management Handbook (*7 Foreign Affairs Handbook (FAH)-1 H-263.3*) establishes guidelines for workflow management including making adjustments to the appointment system. A more effective appointment system would reduce the waiting period outside and improve the embassy's public image.

Recommendation 8: Embassy Port-au-Prince should modify its appointment system to effectively control the flow of applicants for consular services. (Action: Embassy Port-au-Prince)

Informal Recommendation 19: Embassy Port-au-Prince should implement a plan to use media outlets, the embassy Web site, and signs to inform the public of the changes to the appointment system.

The heavily trafficked area in front of the consular entrance floods during the rainy season, creating dangerous and unsightly conditions. The drainage is inadequate to deal with heavy downpours; in addition, the slope directs the water toward the consular entrance. A

makeshift solution involves placing wooden pallets over the muddy sidewalk areas, creating a safety hazard. A drainage system designed for the climate would limit the flooding and accumulation of mud.

Recommendation 9: The Bureau of Overseas Buildings Operations, in coordination with Embassy Port-au-Prince, should repair the inadequate drainage conditions outside the consular entrance. (Action: OBO, in coordination with Embassy Port-au-Prince)

A functional appointment system will alleviate some of the crowding, but applicants will still need to stand in uncovered areas for processing through security points. Elderly and disabled applicants are not afforded sufficient seating options. The Consular Management Handbook (7 FAH-1 H-281) addresses appropriate space management considerations, beginning with applicants entering the embassy area. Additional seating and a permanent awning to provide protection from the elements for waiting applicants are customer service requirements.

Recommendation 10: Embassy Port-au-Prince, in coordination with the Bureau of Overseas Buildings Operations, should construct awnings and place benches in the exterior waiting areas and courtyard to provide protection from the elements for consular clientele waiting for admission to the interior waiting areas. (Action: Embassy Port-au-Prince, in coordination with OBO)

The embassy's security policy prohibits consular visitors from bringing electronic equipment, such as cellular telephones and laptop computers, into the chancery. Currently, visitors surrender their electronic equipment outside the consular compound access control entrance. A vendor hired by the embassy association collects fees for securing these items.

(b) (5)

Recommendation 11: Embassy Port-au-Prince should immediately cease having a vendor collect a fee for storing electronic equipment outside the consular public entrance and make the regional security office responsible for this security function. (Action: Embassy Port-au-Prince)

Informal Recommendation 20: Embassy Port-au-Prince should use its Web page, signage, and other public information outlets to inform the public which items are not permitted in the consular waiting areas.

An insufficient number of poorly placed signs and a few stanchions inadequately organize pedestrian traffic flow. The arrows on the single multidirectional sign point in the wrong directions. Guards direct people effectively, but the signs are confusing and incomplete. The Consular Management Handbook (7 FAH-1 H-263.6) establishes guidance for consular signage.

Informal Recommendation 21: Embassy Port-au-Prince should place appropriate signs to direct the public through the consular entry and waiting areas.

An automated queuing system is installed in all waiting room areas but is only used in the American citizens services area. The nonimmigrant visa unit uses an effective system that serves

applicants in the order they arrive. However, the automated queuing system could be used effectively in the immigrant visa waiting areas to direct applicants to interview windows. The Consular Management Handbook (7 FAH-1 H 263.7) establishes the value of a queuing system.

Informal Recommendation 22: Embassy Port-au-Prince should use the automated queuing system for managing the applicant flow in the immigrant visa unit.

American Citizens Services

The American citizens services unit handles routine and complex special consular services cases well. The unit serves an estimated 22,750 American citizen residents, consisting largely of Haitian-Americans, missionaries, and development workers, and to an estimated 1,000 to 6,500 visitors in country at any one time. A travel warning, which was being updated during the inspection, describes Haiti as a country affected by violent crime and poor infrastructure; the unit's services for victims of violent and serious crime are especially commendable.

The American citizens services unit maintains the consular portion of the duty book and provides training to duty officers. The duty program, which involves U.S. direct-hires from all agencies, is a vital embassy-wide crisis response training tool for a possible hurricane or earthquake. The American citizens services unit works as part of the embassy emergency action team and has requested essential items for an emergency fly-away kit in the event of a crisis or natural disaster. Some of those items remain pending with the procurement unit in the management section after months.

Informal Recommendation 23: Embassy Port-au-Prince should procure the items needed for the American citizens services emergency fly-away kit.

The unit's LE staff is excellent and the unit has a good network of contacts. Maintaining and developing new contacts throughout the country is essential in providing emergency services to Americans. Funds are not always available when needed for travel or for developing and maintaining contacts throughout the country. The inspection team counseled consular management on the value of submitting an annual representational and travel plan to ensure contact with essential personnel who provide assistance for Americans in emergency situations.

Informal Recommendation 24: Embassy Port-au-Prince should implement a plan to provide adequate representational and travel funds for the consular section.

In 2011, the consular section handled 24 new arrest cases and had five Americans in prison. Prison conditions are poor and judicial processes slow. The American citizens services unit initiated action to propose a Prisoner Transfer Treaty, which would open the option for U.S. citizens convicted of crimes in Haiti to apply for a transfer to a U.S. prison. Embassy Port-au-Prince sent an action request to the Department in October 2011 but the response is still pending.

Recommendation 12: The Bureau of Consular Affairs, in coordination with the Office of the Legal Adviser, should act on Embassy Port-au-Prince's proposal for a prisoner transfer treaty. (Action: CA, in coordination with L)

Haiti has signed the Hague Adoption Convention but is still far from complying with all the provisions of the convention, and the consular section is tracking Haitian compliance and assisting as needed. In 2011, the unit managed 6 cases involving 13 abducted children; and from January to mid-February 2012, there were 8 new child abduction cases. Given the increasing number of child abduction cases, the unit initiated action, and in December 2011 the Department approved, a diplomatic note regarding Accession to the Hague Convention on the Civil Aspects of International Parental Child Abduction. The inspection team applauds the foresight of the consular section and this proactive approach even though compliance with the provisions of the conventions may not occur rapidly.

The embassy is aware of the “No Double Standard” policy in 7 FAM 052, which requires the Department to make security information available to both the official and nonofficial American communities. However, at times there has been confusion about the appropriate roles of the consular section and the regional security office for addressing law enforcement matters that emerge in the course of consular casework. Both the consul general and regional security officer are mindful of this confusion.

Informal Recommendation 25: Embassy Port-au-Prince should delineate responsibilities and establish standard operating procedures for consular section and regional security office cooperation in cases involving American citizens and law enforcement issues.

Nonimmigrant Visas

The nonimmigrant visa unit dealt with a workload of close to 55,000 cases in FY 2011. The unit functions efficiently under the capable direction of a mid-level manager, with solid ELOs and excellent LE staff.

The visa appointment backlog extended more than 30 days for approximately half of 2011. Unreliable civil records and unreported deaths following the earthquake make documentary and imposter fraud a daily challenge. A large UN peacekeeping presence and international nongovernmental organizations composed of many third country nationals contribute to a diverse applicant pool. Congressional interest and other inquiries create a large correspondence workload.

On January 15, 2010, Haitians in the United States were declared eligible for Temporary Protected Status; the status was redesignated on May 19, 2011, and expanded to include Haitians continuously present in the United States since January 12, 2011. The U.S. Department of Homeland Security informed the inspectors that approximately 53,000 Haitians had applied for extension of Temporary Protected Status and that they had received an additional 18,000 new applications with the May 2011 extension. Many Haitians have family ties to the United States through those in Temporary Protected Status, dual national Haitian-Americans, or legal permanent resident relatives. Many applicants present unreliable documents making nonimmigrant intent difficult to adjudicate.

In January 2012, The Department of Homeland Security added Haiti to the list of countries whose nationals are eligible for temporary worker status in the United States. In 2009, Haiti was among the top five countries in the world for temporary worker visas; however, eligibility was withdrawn in 2010. The reinstatement of eligibility for temporary worker visas

could add significantly to workload, and the nonimmigrant visa unit is preparing for that eventuality.

Visa Referral Program

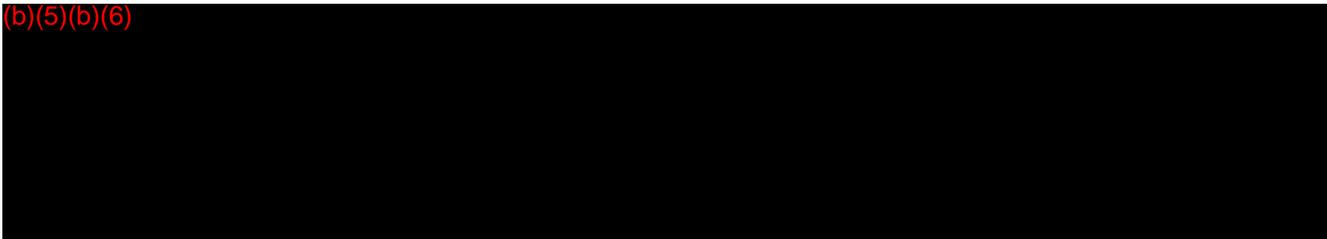
The nonimmigrant visa unit provides monthly training on the worldwide referral guidelines and provides potential referrers with a handout of the 9 FAM Appendix K requirements. An out-of-date published management notice posted on the embassy intranet Web site was updated before the end of the inspection. The inspection team suggested that periodic briefings for country team members would help ensure compliance with the referral policy.

Immigrant Visas

The immigrant visa unit operates smoothly under the leadership of the deputy consul general. Experienced LE staff support the unit. Many unreliable documents and the misrepresentation of qualifying relationships complicate adjudications, and congressional and other high-level interest creates a large correspondence workload. The unit has a cordial working relationship with the adjacent U.S. Citizenship and Immigration Services office of the Department of Homeland Security.

In 2010, the National Visa Center received more than 100,000 petitions for Haitians to immigrate to the United States, twice the number of the previous year. This increase will begin to affect immigrant visa demand in Port-au-Prince as priority dates become current.

(b)(5)(b)(6)



The unit chief oversees operations professionally and is available to answer questions by officers and LE staff; however, he rarely holds unit-wide meetings, believing that the close-knit unit makes them unnecessary. However, the staff expressed concerns that information is not consistently shared. The inspection team counseled the immigrant visa chief on the value of holding regular immigrant visa unit meetings to enhance professional development and to promote continuity in processing and consistency in adjudications.

Adoptions of Haitian orphans by U.S. citizens present a high-profile and heavy caseload. Over 1,000 orphans were admitted to the United States under Section 212(d)(5)(A) of the Immigration and Nationality Act for humanitarian reasons following the earthquake, virtually eliminating the waiting list for orphan adjudications and related immigrant visa appointments. The workload is gradually building again, and new Haitian adoption regulations are being proposed and implemented to comply with the requirements of the Hague Adoption Convention. These changes make adopting in Haiti a confusing process. A new American position has been established to handle this workload, and the first incumbent is due to arrive in June 2012.

Fraud Prevention Unit

The fraud prevention unit is led by a mid-level officer and has six LE staff investigators. They primarily investigate document and relationship fraud relating to immigrant visas, passports, and reports of birth. Poor document production and verification creates a vulnerability to the integrity of all documentary evidence. The fraud prevention unit performs investigations for all consular subunits. A new ARSO-I position is a positive augmentation to the consular section's ability to prevent and detect fraud.

The unit has focused on casework, to the neglect of validation studies and trend reporting. Better distribution of work among LE staff with more clearly defined portfolios would also enhance the efficiency of the unit.

Informal Recommendation 26: Embassy Port-au-Prince should conduct regular briefing sessions for consular officers on country-specific and worldwide fraud trends.

Informal Recommendation 27: Embassy Port-au-Prince should establish accurate work requirements reflecting the portfolios of the locally employed staff in the fraud prevention unit.

Assistant Regional Security Officer-Investigations

The ARSO-I function is new to the embassy; an ARSO-I arrived in December 2011. A Foreign Service national investigator position has been established, but the position had not been filled at the time of the inspection. Despite 18 months advance notice of the ARSO-I's arrival, the embassy had not reconfigured appropriate office space within the consular section. As a consequence of having no assigned private office space, the ARSO-I was working a flexible schedule in order to make sensitive investigative telephone calls without being overheard.

Recommendation 13: Embassy Port-au-Prince, in coordination with the Bureau of Overseas Buildings Operations, should construct office space within the consular section that meets standard requirements for the assistant regional security officer-investigations and staff. (Action: Embassy Port-au-Prince, in coordination with OBO)

ARSO-I work requirements were established during the inspection, with the regional security officer as the rating officer and the consul general as the reviewing officer. The ARSO-I had begun to establish relationships with consular staff and had proposed standard operating procedures to consular managers. During the inspection, she provided a briefing to consular officers to acquaint them with the resources now available to them through the ARSO-I function. Robust communication and ongoing training will enhance the value that the ARSO-I program brings to the embassy's consular antifraud work.

Informal Recommendation 28: Embassy Port-au-Prince should conduct regular briefings for consular staff on the assistant regional security officer-investigations function and program.

Visas Viper Program

Embassy Port-au-Prince held all required Visas Viper meetings and the consular section submitted all required reports on time. During the past year, there were regular reports of monthly meetings, but no names were submitted.

Correspondence and Congressional Interest Unit

The correspondence unit handles written, phone, and email inquiries. Four LE staff members respond to routine inquiries regarding appointments or documentary requirements using templates; one ELO rotates part-time to the correspondence unit to draft more complex responses. On average, the unit responds to 250 email inquiries daily using templates; 10-15 inquiries every week require officer input. The unit also responds to 200 to 300 phone calls and up to 15 congressional inquiries daily. The unit manages the section's content on the Internet and intranet sites and prepares materials for consular outreach and off-site service visits. The inspection team explained the advantages of making greater use of the intranet Web site.

Regional Security Office

Security risk management is extremely important at this critical crime post and the regional security office leads a robust and well-coordinated program to manage security risks properly. An extensive discussion of this subject can be found in the classified annex to this report.

Resource Management

Agency	U.S. direct-hires	Personal services contractors	Eligible family members	LE staff	Foreign Service nationals	Total	FY11 Funding
Department of State							
Program	48	3	0	2	51	104	\$3,968,400
MRV	0	0	5	1	15	21	\$851,635
ICASS	9	0	4	7	350	370	\$16,540,293
Public Diplomacy	2	0	0	2	7	11	\$1,182,579
Diplomatic Security	5	0	0	2	617	624	\$8,341,278
Marine Security	7	0	0	0	3	10	\$100,030
Narcotics Affairs Section ²							\$19,420,000
OBO	1	0	0	0	0	1	\$23,603,152
ORA	3	0	0	0	1	4	\$5,403,323
OSC	0	0	0	0	1	1	\$151,557
Department of Agriculture							
APHIS	0	0	0	0	12	12	\$1,092,954
Department of Defense							
Defense Attaché Office	4	0	0	0	1	5	\$341,425
HIS	0	0	0	0	2	2	\$862,000
MLO	5	0	0	0	4	9	\$210,000
Department of Justice							
DEA	5	0	0	1	0	6	\$563,098
Department of Homeland Security							
CIS	2	0	0	0	4	6	\$418,862
Coast Guard	1	0	0	0	0	1	\$290,780
Treasury	1	0	0	0	0	1	\$690,000
Department of Health & Human Services							
CDC/PEPFAR & GDD	6	0	0	0	1	7	NA
CDC/PEPFAR	1	0	1	0	44	46	\$77,797,419
CDC/GDD	1	0	0	0	23	24	\$61,891,750
USAID							
USAID	35	17	0	12	110	174	\$810,281,198
TOTAL	136	20	10	27	1246	1439	\$1,014,581,733

² Narcotics affairs staffing included in program

Management

The management section has made progress in providing services since the 2010 earthquake that devastated Haiti's already frail and largely nonfunctioning infrastructure. Many aspects of the operation, however, continue to run in crisis mode. Frequent high-level visits that require logistical support, the surge of staffing added to the embassy staff, and reestablishing safe and secure housing add to the immediate workload. Until recently, staffing gaps in critical management positions and interpersonal tensions impeded effective collaboration. With the assignment of permanent staff to replace a succession of temporary duty officers, the embassy can build a cohesive and stabilized management team for this critical transitional phase. The housing inventory has almost reached parity with the embassy's staffing and, despite continuing delays, government-owned housing projects hold great promise to save money and resolve broader operational and quality of life challenges.

The section is handling the day-to-day workload and making incremental progress on many fronts, but the inspection team identified numerous areas for improvement. OIG questionnaire results indicated low levels of customer satisfaction with scores below prior post averages in 31 of 32 core management areas measured by the survey.

As the section deals with the immediately urgent issues, other important management functions struggle for attention. The inspection team found internal control lapses in high-risk areas, such as the embassy's \$4.4 million bulk fuel program, information technology property accountability, and the excessive use of cash transactions. It also found basic International Cooperative Administrative Support Services (ICASS) management requirements unfulfilled and redundant administrative services being performed. The management team is making progress on reviewing standard policies and procedures, but the policies are incomplete and inefficiently shared. The embassy's intranet Web site includes management policies and management announcements, but these are not well-organized and, in some cases, are wrongly categorized or duplicated.

Recommendation 14: Embassy Port-au-Prince should review its management policies and procedures, and reorganize and categorize them on its intranet Web site for easier access and navigation by employees. (Action: Embassy Port-au-Prince)

Rightsizing

The May 2011 Department rightsizing review of Embassy Port-au-Prince assumed an "optimistic scenario" in which overall staffing would begin to decline by 2016, though American staffing would increase slightly. The Office of Rightsizing projected an eventual decrease from 1,259 U.S. Government positions (including 125 U.S. direct-hires) to 956 U.S. Government positions (including 132 U.S. direct-hires). At the time of the inspection, the overall staffing of the embassy was continuing on an upward trajectory.

National Security Decision Directive 38

The Ambassador and DCM are acutely aware of the need to be certain the embassy can support additional staff before approving NSDD-38 requests. They consult with the management and regional security offices in deciding upon requests to add additional positions. The

management and security offices need to improve their advance planning to ensure that all the administrative, logistical, and security support needs of the proposed positions can be met. The Office of Rightsizing provides a reference document titled “Action Request and Guidance for Chief of Mission NSDD-38 Requests” that provides specific guidance regarding these issues. The embassy focuses on housing for new positions, but there is no indication or documentation that it adequately plans for full administrative and security support that meets mission requirements.

Recommendation 15: Embassy Port-au-Prince should implement a plan to determine the full administrative and security support requirements and costs for positions proposed for approval under National Security Decision Directive 38. (Action: Embassy Port-au-Prince)

The inspection team noted discrepancies in the status of several embassy actions entered into the Department’s NSDD-38 database. Twenty-five positions were designated as pending, some since 2006. A review indicated only 6 remained valid; the remaining 19 were removed from the database. An additional 60 positions dating from 2010 to 2012 appeared in the system. Neither the inspectors nor the embassy could determine whether the staffing pattern correctly reflected the positions that were added or eliminated by the NSDD-38 process. Accurate reconciliation of the staffing pattern is important not only for accountability of staffing levels, but also to ensure correct ICASS billing.

Recommendation 16: Embassy Port-au-Prince, in coordination with the Office of Management Policy, Rightsizing, and Innovation, should reconcile all of its National Security Decision Directive 38 actions against its staffing pattern. (Action: Embassy Port-au-Prince, in coordination with M/PRI)

Consolidation of Administrative Services

The urgency of post-earthquake assistance and high-level interest in Haiti generated rapid growth that focused more on building capacity than maintaining a single administrative service provider. Redundant services have proliferated. Multiple agencies maintain their own vehicle fleets, warehouse facilities, residential furniture, and LE staff recruiting. The embassy has not yet developed a plan to consolidate services. Recent guidance (Department cable 11450, dated February 7, 2012) directs chiefs of mission and mission directors to “expeditiously complete action on the consolidation of the 15 administrative services...by 30 September 2012.” It also directs consolidation of household furniture, furnishings, and appliance pool services.

Financial Management

The financial management unit is led by an experienced financial management officer and 13 LE staff members, with 1 position currently vacant. As with every other unit in the management section, the unit’s workload has grown exponentially since the earthquake. All voucher clerks and accountants said they had received the appropriate training and all have been cross-trained to do other work.

Funding

Embassy Port-au-Prince is adequately funded. As staffing levels stabilize, funding will likely decrease. In the meantime, the embassy has effectively used existing funding for the purchase of equipment and supplies and for providing much needed training to LE staff. However, there are several areas that deserve scrutiny such as the large amount of LE staff overtime (30,000 hours in a 6-month period in 2011, mostly for local guards, motor pool, and facilities staff), the \$4.4 million fuel program, and the provision of a BlackBerry device for every U.S. direct-hire at the embassy.

Recommendation 17: Embassy Port-au-Prince should develop a comprehensive plan to review all line items in the budget to determine where cost savings are possible. (Action: Embassy Port-au-Prince)

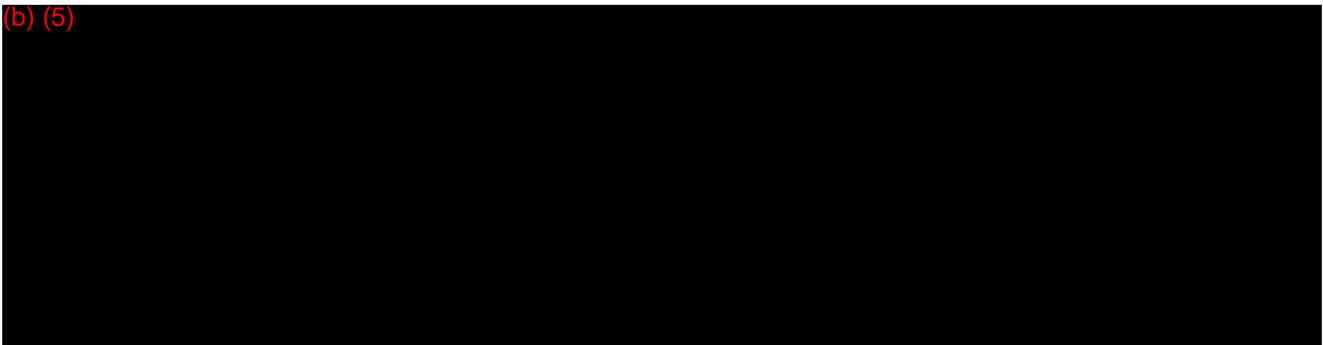
Vouchering

The embassy uses the remote post support unit system to process a large number of its vouchers. Cost of the service is favorable to the embassy. For FY 2012, total cost is projected to be \$75,000, or \$12 per fiscal strip processed. In comparison, in FY 2011 the embassy charged its customers \$48.43 per fiscal strip processed. Moreover, outsourcing voucher processing enhances fiscal oversight and internal controls. The OIG team endorsed the use of the post support unit as a cost-effective and managerially sound means to process vouchers.

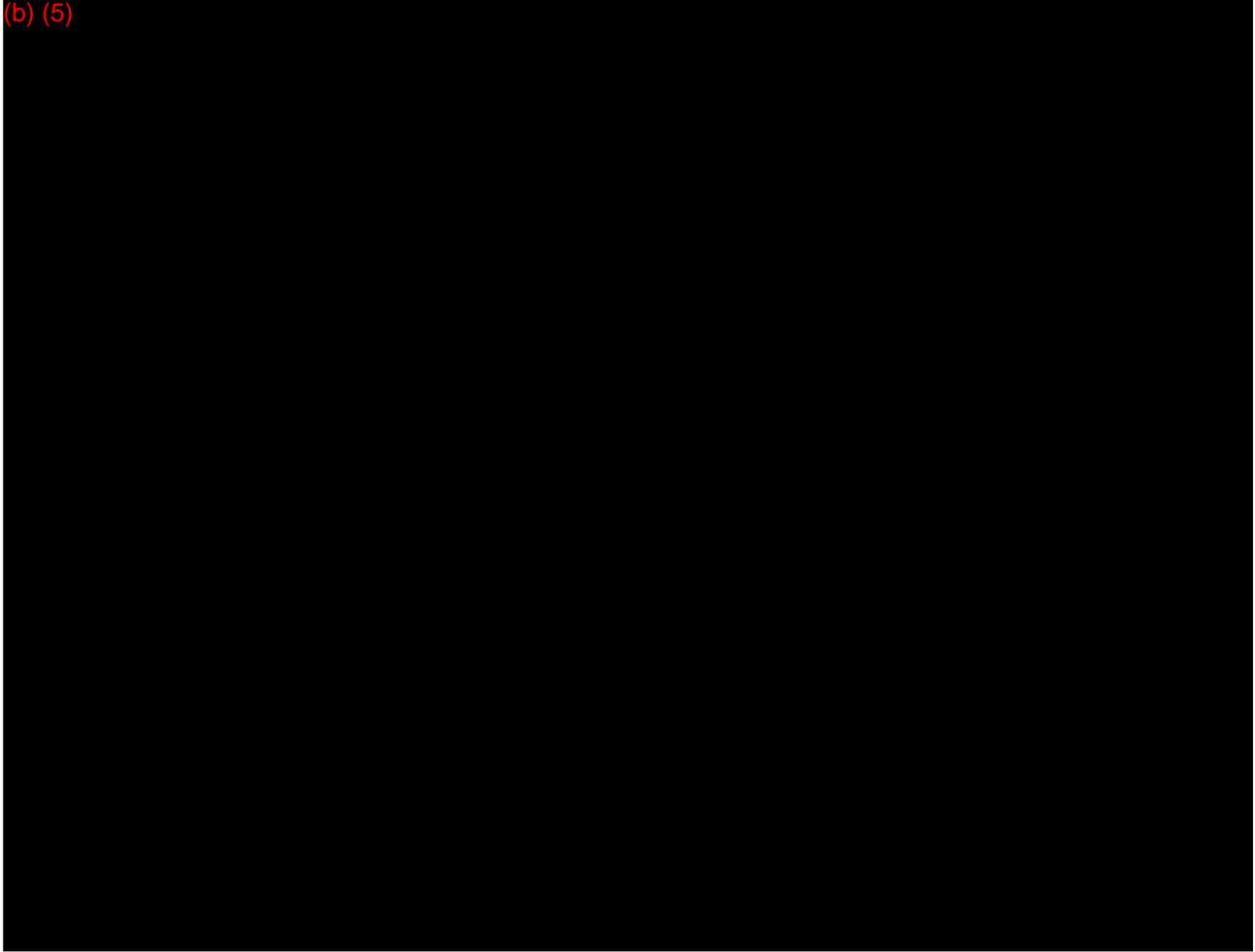
Processing of travel vouchers and travel advances are contentious issues at the embassy. Department regulations are clear: vouchers are to be completed 5 days after the travel is completed (4 FAM 465.1 a.) and additional travel advances are not to be provided until previous travel advances are cleared (4 FAM 463.3-4 b.(6)). However, the exigency of urgent business, last minute requests for travel advances, and excessive workload are frequently cited reasons why these regulations cannot be followed. Outstanding travel advances are far too numerous. The embassy is making a concerted effort to reduce the amount outstanding, currently over \$200,000.

Recommendation 18: Embassy Port-au-Prince should develop and enforce a policy relating to the timeliness of voucher preparation and the issuance of travel advances. The policy should address both the regulatory requirements and the needs of the agencies at the embassy to effectively perform their business. (Action: Embassy Port-au-Prince)

(b) (5)



(b) (5)



International Cooperative Administrative Support Services

The ICASS council appears to have become more active under its current leadership. An ICASS charter was only recently developed and approved. The embassy does not prepare ICASS meeting minutes despite a requirement for them (6 FAH-5 H-222.3-9 a.), and there is no evidence that the ICASS budget committee has ever met. The council, in effect, is currently functioning as both council and budget committee. To its credit, the council has developed a list of ICASS concerns that it hopes to address in the near future. The council should take the next step of assigning this list to the budget committee and, if necessary, budget subcommittees, for action and recommendations.

Recommendation 20: Embassy Port-au-Prince should require its International Cooperative Administrative Support Services budget committee to exercise its responsibilities, including identifying areas of potential cost savings and efficiencies. (Action: Embassy Port-au-Prince)

Informal Recommendation 29: Embassy Port-au-Prince should establish working groups as part of the International Cooperative Administrative Support Services budget committee to address the list of top priorities already drafted by the council.

Informal Recommendation 30: Embassy Port-au-Prince should designate a note taker for International Cooperative Administrative Support Services council meetings and post the minutes on the embassy's intranet Web site.

As part of the accountability and feedback process, and as stated in 6 FAH-5 H-222.3-5, the council chairperson, in collaboration with the council members, and the management counselor are required to prepare an annual review of ICASS services. Findings in the review are based on a mutual understanding of roles, responsibilities, and mission priorities among mission community members. This assessment is sent through the DCM to the Ambassador for his information. The report is due to the Ambassador by June 1 annually.

Recommendation 21: Embassy Port-au-Prince should prepare an annual review of services provided under International Cooperative Administrative Support Services. (Action: Embassy Port-au-Prince)

Human Resources

The human resources unit is staffed with one U.S. direct-hire officer and seven LE staff members. An American eligible family member position was vacant at the time of the inspection. As with other areas of management, the human resources office has taken advantage of available funding to provide its staff adequate training and cross-training. The current human resources officer is the first incumbent of the position that was established at the embassy following the 2010 earthquake. Prior to 2010, the Florida Regional Center provided oversight for the human resources office; now, the regional center provides minimal support

Like other units in the management section, the human resources unit is overwhelmed with urgent action requirements that allow it little time to establish and implement internal controls. For example, much of the overtime at the embassy (usually several thousand hours per month) is not preapproved. The embassy issued a management notice regarding overtime and compensatory time in October 2011, but as with so many other matters at the embassy, the exigency of business has often taken precedence over the need to follow regulations and policies.

Evaluation reports

Although U.S. direct-hire and eligible family member reports are completed on time, there is a large backlog of uncompleted evaluation reports for the LE staff. During the inspection, a total of 135 employee performance reviews were overdue, 94 of which applied to local guard force or other security personnel. Supervisors must adequately monitor performance to meet the embassy's operational goals and to maintain LE staff morale.

Recommendation 22: Embassy Port-au-Prince should implement a plan that results in timely completion of locally employed staff employee performance reviews throughout the embassy, with clearly defined consequences for delinquent reports. (Action: Embassy Port-au-Prince)

Awards

In 2011, 236 employees of the mission received performance awards. In September 2011, the embassy implemented the Department's new interagency mission award policy that now

allows all agencies to participate in one embassy-wide award program. A review of the awards policy shows it is adequate in all respects but one. The committee is not provided specific instructions relating to rejected awards. If the committee decides the award nomination is insufficient, it must be returned to the nominator for revision or altogether dismissed.

Informal Recommendation 31: Embassy Port-au-Prince should revise and reissue the awards policy to include specific guidance relating to rejected awards.

Visitor List

The DCM's office management specialist prepares a visitor list once a week and distributes it to selected offices. She obtains information from the Department's eCountry Clearance database and emails from other agency officials. However, there is no assurance that this list captures all visitors to the embassy, and therefore, the embassy does not capture related ICASS costs. The management section does not maintain a list.

Informal Recommendation 32: Embassy Port-au-Prince should implement a plan to account for official visitors and capture the associated costs in an accurate and timely manner, including delegating to one element of the embassy the responsibility to maintain an authoritative list.

Locally Employed Staff Compensation

Port-au-Prince implemented a 16 percent overall average wage increase to basic LE compensation rates in 2011. Due to the wage freeze, funds for potential wage increases for 2012 are not being made available to the embassy. The embassy currently has a retirement plan managed by a local firm but the plan is as much as \$13 million underfunded. Embassy Port-au-Prince will be allowed to participate in the Foreign Service national defined contribution plan. The receipt of a cable with such approval was still pending at the time of the inspection. The LE staff does not participate in the local social security system.

Language Instruction Program

The inspection team reviewed the language designations assigned to each position and found them to be appropriate. The inspection team concurs in the current practice of French as the essential designated language. Although none of the positions has a Haitian Creole language designation, several employees are able to complete the Foreign Service Institute 8-week Haitian Creole course after their French language instruction and they rate the course positively.

In the earthquake's aftermath, the Department approved waivers for assignments into positions with language designations so that essential functions could be met. As part of the return to normalcy, the Ambassador has discouraged language waivers and employees' arrival dates have been delayed until necessary language proficiency levels are met. The Bureau of Diplomatic Security's commitment to schedule security officers for requisite language training and avoid language waivers will help improve French capabilities in the regional security office in the next assignment cycle.

The Department and USAID are cosponsors of the post language program. The French and Haitian Creole instructors are USAID full-time employees. The Foreign Service Institute funds the teaching materials. Agencies reimburse USAID for classes taken by their employees. USAID employees are a majority of the 41 students and 5 students are eligible family members. Instructional hours are scheduled to facilitate employees' attendance. Online resources are also available.

Numerous employees told the inspection team that Haitian Creole is valuable for both professional and social purposes. The inspectors identified Haitian Creole fluency to be especially useful for consular, general services, information technology, public diplomacy, and reporting officers, and for the assistant regional security officers. Office management specialists and others also benefit from Haitian Creole skills. A concerted investment of time for employees to complete the 8-week Haitian Creole course would contribute to improving morale in the challenging work environment.

Recommendation 23: Embassy Port-au-Prince, in coordination with the Bureau of Human Resources, the Bureau of Western Hemisphere Affairs, and the Bureau of Consular Affairs, should build the Foreign Service Institute 8-week Haitian Creole course into as many assignment schedules as possible. (Action: Embassy Port-au-Prince, in coordination with DGHR, WHA, and CA)

Broader use of the post language program also would help to develop and maintain employees' fluency in French or Haitian Creole so they could use language skills more effectively in their work.

Informal Recommendation 33: Embassy Port-au-Prince should implement a plan to encourage employees to pursue and maintain French or Haitian Creole language skills.

Equal Employment Opportunity

Port-au-Prince has two Equal Employment Opportunity (EEO) counselors. Both have received the mandatory EEO counselor training. In 2011, they organized a series of three training programs in the embassy that included about 250 American and Haitian employees. Despite this activity, it appears that more can be done to promote EEO at the embassy. Since April 2011, there has been no EEO information circulated to employees. The embassy's intranet Web site makes no mention of EEO and information regarding the program or the counselors is not widely displayed in public locations. Additionally, the embassy has no LE staff member serving as an EEO liaison. These additions would enhance and promote EEO awareness at the embassy.

Informal Recommendation 34: Embassy Port-au-Prince should post information concerning the Equal Employment Opportunity program on its intranet Web site.

Informal Recommendation 35: Embassy Port-au-Prince should display its Equal Employment Opportunity information in more visible and public locations.

Informal Recommendation 36: Embassy Port-au-Prince should appoint several of its locally employed staff members as Equal Employment Opportunity liaisons.

General Services

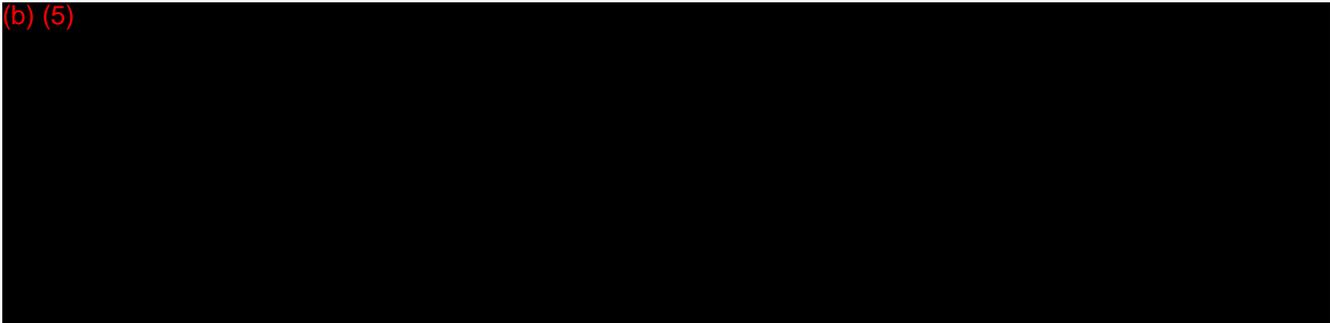
The general services unit shouldered a significant share of the post-earthquake recovery burden while simultaneously coping with, and building capacity to support, a rapid increase in embassy staffing. Even with the addition of two assistant general services officers and a generally proficient LE staff, the unit has been hard-pressed to keep pace. Attending to expedient and immediately urgent tasks has superseded standard operating procedures and internal controls. Staffing gaps and lack of continuity due to a succession of temporary duty employees in the supervisory position have had a negative impact on the unit during a critical time period. The imminent arrival of a permanent supervisory general services officer may provide the continuity and leadership that has been missing for many months.

Automation of general services has come slowly and late to Embassy Port-au-Prince; it will be one of the last posts in the Department to implement the Integrated Logistics Management System. Installation is scheduled for March 2012, and the system should be helpful in defining processes and instilling discipline and collaboration among customers, general services users, and financial management staff.

Property Management

Upon arrival, the entry-level assistant general services officer responsible for property management established an ambitious project list that he is systematically accomplishing. He is addressing short-term tasks, such as disposing of damaged and unneeded property, as well as long-term needs, such as establishing standard procedures. However, the inspection yielded a number of specific areas that expose the embassy to risk.

(b) (5)



Recommendation 24: Embassy Port-au-Prince should implement a plan that establishes an accurate baseline inventory and adequate accountability for and tracking of all nonexpendable property, including information technology equipment. (Action: Embassy Port-au-Prince)

Residential property controls were in large part suspended after the earthquake. Many residences were deemed unsafe to enter under any circumstances, so the embassy wrote off the furniture, furnishings, and appliances in 37 housing units. Disposal documents, including DS Form 132, appeared complete and in order. However, more than 20 current employees have failed to sign their residential inventories as required by 14 FAM 416.3 g., so those occupants have not properly assumed accountability for the property.

Informal Recommendation 37: Embassy Port-au-Prince should implement a procedure that requires occupants to inventory property in their residences and return inventory documents to the general services unit in a timely manner.

The receiving function appears to work satisfactorily. The receiving clerk position has been vacant since August 2011, but a backup employee is performing those duties. As 14 FAM 413 states, the receiving clerk “is the link between the procurement, property, accountability, and certifying functions.” The clerk therefore plays an important role in the greater supply chain management system.

Informal Recommendation 38: Embassy Port-au-Prince should recruit, hire, and train a receiving clerk.

Motor Pool Operations

The motor pool delivers adequate service to its customers on a daily basis, as reflected in relatively high scores on the OIG questionnaire compared to other embassy units. In addition to fulfilling on-demand transportation requests, it operates 14-18 daily employee home-to-office shuttles, provides student transportation to three schools, and delivers fuel and water to residences. The unit also meets the requirements of the large number of logistically demanding high-level visits to the embassy. Of the 34 drivers, 4 are dedicated to the executive office and 5 are dedicated to the fuel and water trucks.

The recently published vehicle policy continues the provision of no-cost, home-to-office transportation. This policy does not meet the requirement of 14 FAM 433.4 a.(2) that no-cost transportation is “in an armored vehicle with a security escort.” In contradiction to the justification on the grounds of security, employees are allowed to drive the same routes in their personally owned vehicles, which are authorized for shipment to the embassy.

Recommendation 25: Embassy Port-au-Prince should bring its home-to-office transportation policy into compliance with regulations on charges for other authorized use of official vehicles. (Action: Embassy Port-au-Prince)

As a consequence of the home-to-office shuttle shifts, many drivers are beginning their duty day at 5:30 a.m. and working until 6:00 p.m. or later. Earlier efforts to stagger work hours to avoid violating the Department’s Motor Vehicle Safety Management Program’s 10-hour limit on a driver’s duty shift failed. The Department policy allows exceeding the 10-hour limit under exceptional circumstances, but the embassy is doing so routinely and without the required approval by the principal officer. More importantly, the practice poses a safety problem that is exacerbated by the difficult road and driving conditions in Haiti.

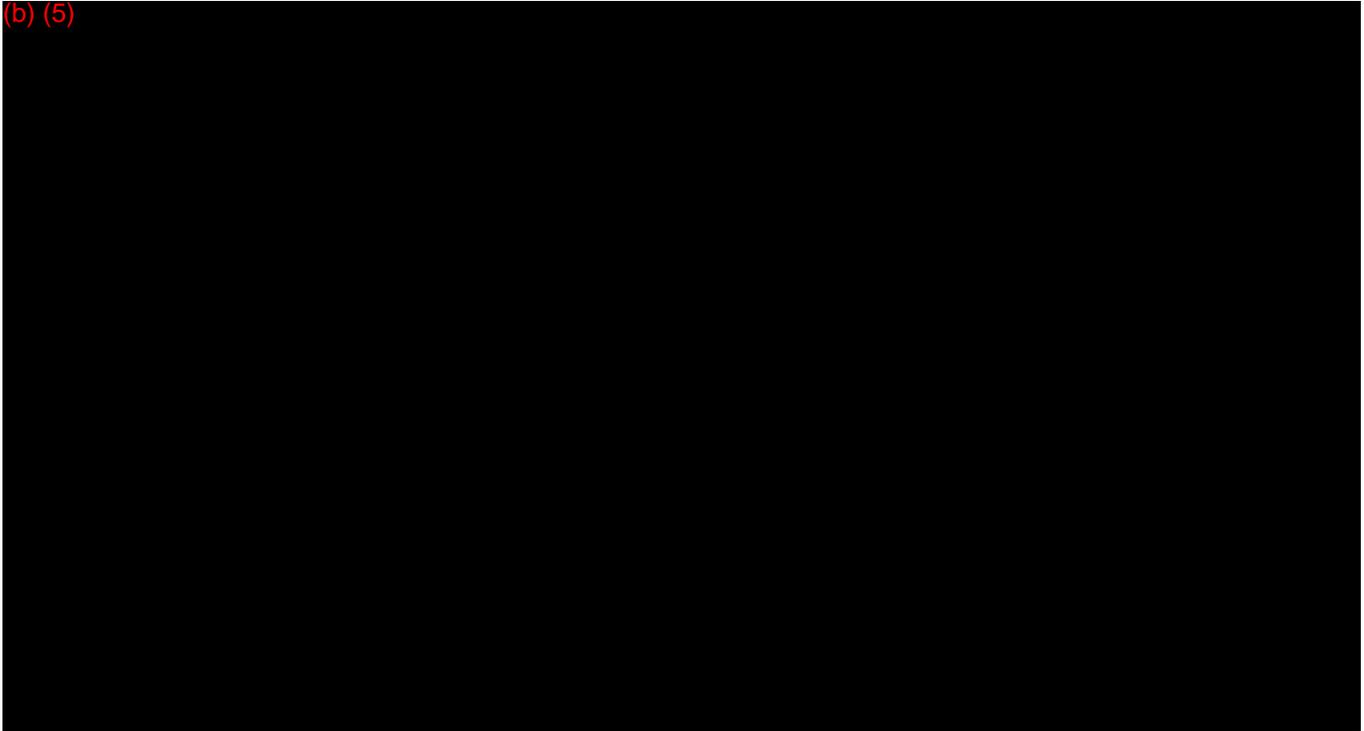
Recommendation 26: Embassy Port-au-Prince should bring driver duty shifts into compliance with the Motor Vehicle Safety Management Program. (Action: Embassy Port-au-Prince)

The embassy’s latest Integrated Logistics Management System inventory lists 216 vehicles. There are 294 vehicles at the embassy, including 44 belonging to USAID and 31 belonging to the Centers for Disease Control and Prevention. The post-earthquake increase of personnel and the immediate need to support their missions resulted in rapid acquisition of

vehicles. The absence of a consolidated support platform allowed vehicle acquisition with no overall coordination. As the embassy moves toward normalcy and achieving Quadrennial Diplomacy and Development Review objectives related to single service providers, a review of its fleet per 14 FAM 434.3 will ensure the right mix of passenger and cargo-carrying vehicles and that vehicles are assigned and used properly.

Recommendation 27: Embassy Port-au-Prince should conduct a motor vehicle fleet review in accordance with Department of State regulations and take appropriate steps to match its inventory with the results of the review. (Action: Embassy Port-au-Prince)

(b) (5)



Recommendation 28: Embassy Port-au-Prince should implement a plan to improve internal controls and oversight of its residential and embassy compound fuel operations. (Action: Embassy Port-au-Prince)

Procurement

The procurement unit is staffed with proficient LE staff and is supervised by an assistant general services officer who has it as his only area of responsibility. The unit functions well and generally follows defined procedures. It has benefited from automation and its earlier adoption of Web Post Administrative Software Suite Procurement should make conversion to the Integrated Logistics Management System easier. Its automated database is relatively well maintained, though the unit finds it difficult to close purchase orders due to a cumbersome process of combing through pending transactions and working with the financial management section to verify final payment to vendors. The inspection team conducted a spot check of purchase orders and found them to be neat, well documented, and complete.

The embassy currently maintains seven formal contracts. Files are maintained in good order and appeared complete, with a few exceptions. The contracting officer's representatives for

the travel management and cellular phone service contracts had not completed the required training as required by 14 FAH-2 H-113 c.

Informal Recommendation 39: Embassy Port-au-Prince should require that contracting officer's representatives complete training as required by regulation.

Examination of the contracts also indicated that four of them did not include the mandatory Federal Acquisition Regulation clause 52.222-50 pertaining to trafficking in persons. Two of the contracts will be renewed or rebid soon, at which time the unit will include the clause. The remaining two have not yet been amended to add the clause.

Recommendation 29: Embassy Port-au-Prince should include Federal Acquisition Regulation clause 52.222-50 in its formal contracts. (Action: Embassy Port-au-Prince)

Housing and Real Property

Finding safe (including seismically approved), secure, and maintainable housing has been one of the embassy's greatest challenges. Fifty-nine percent of embassy housing was lost in the earthquake or its aftermath and suitable buildings that meet seismic standards are difficult to find. Of 648 residences inspected between February 2010 and February 2012, the embassy brought only 100, about 15 percent, under lease. The rapid increase in staffing made the task even more difficult. The Bureau of Overseas Buildings Operations has been supportive throughout.

Eighteen government-owned units are currently occupied, another 19 are scheduled for completion in July 2012, and plans are under way for the construction of 86 additional units on property close to the embassy compound. The completion of the housing units will result in significant cost savings of at least \$3 million from reduced guard force requirements, consolidation of generator sets, and more efficient delivery of fuel and water as well as maintenance services. By reducing employee commuting time, the completion of the housing projects will also have a positive impact on morale. However, it will increase the time children spend commuting to school, and may deter some parents of school-age children from seeking assignments to Port-au-Prince.

In the meantime, the embassy has made great progress in leasing and making ready a pool of residences that almost matches the current staffing, though additional positions continue to be added with short notice. The Interagency Housing Board assignment process has improved in the past several months and documentation of proceedings is adequate. OIG questionnaires and interviews raised disparities in cable television and Internet equipment and services provided by some agencies and not by others. As stated in 15 FAM 212.2-2 c., the housing board ensures that the embassy housing policy and standards are "equitably applied to employees of all agencies." It also prescribes an "interagency-approved list of furniture, furnishings, appliances, and equipment to be provided in U.S. Government-furnished residential quarters." The embassy guidebook dated February 2011 contains a list of basic furniture, furnishings, appliances, and equipment, but does not address supplemental items, such as satellite dishes and decoders.

Recommendation 30: Embassy Port-au-Prince should amend its housing policy to equitably provide furniture, furnishings, appliances, and equipment to employees of all agencies, and update the housing handbook to reflect this policy. (Action: Embassy Port-au-Prince)

Customs, Shipping, and Travel

The most recent packing and crating contract expired in April 2009. The 2010 earthquake interrupted processing of a follow-on contract. Since then, the embassy has issued individual purchase orders for each job on a sole source basis and without a sufficient statement of work and description of services. The embassy has not reexamined the basis for the sole source justification to verify its continued validity. The absence of a description of services ignores a fundamental requirement of procurement and exposes the U.S. Government to liability, for example, in case of damage due to poor packing and crating. The purchase orders do not meet the competition requirements of the Department's Overseas Contracting and Simplified Acquisitions Guidebook (Chapter 2 VII A) or the guidance regarding packing service standards provided in 14 FAM 614.5-1b. In FY 2011 and in FY 2012 up to the time of the inspection, the embassy issued 30 purchase orders valued at \$357,279. The embassy is developing a new indefinite delivery/indefinite quantity contract for packing and crating, but it is in its early stages.

Recommendation 31: Embassy Port-au-Prince should describe service standards for, and compete procurement of, packing and shipping services. (Action: Embassy Port-au-Prince)

Facilities Management

The facilities management unit appears overwhelmed by its routine maintenance and project workload. OIG questionnaires indicated concerns about the performance and management of the unit among a wide spectrum of the embassy staff. In recognition of the unit's increased workload, the ICASS council approved, in FY 2011, an additional 18 positions for facilities management. As of the inspection, however, only 10 positions had been filled. The major delay has been the supervisor's slow preparation of position descriptions. Projects involving the consular section also have languished: office space reconfiguration to accommodate two officers and a consular entrance project to eliminate flooding and the need for pallet walkways during the rainy season.

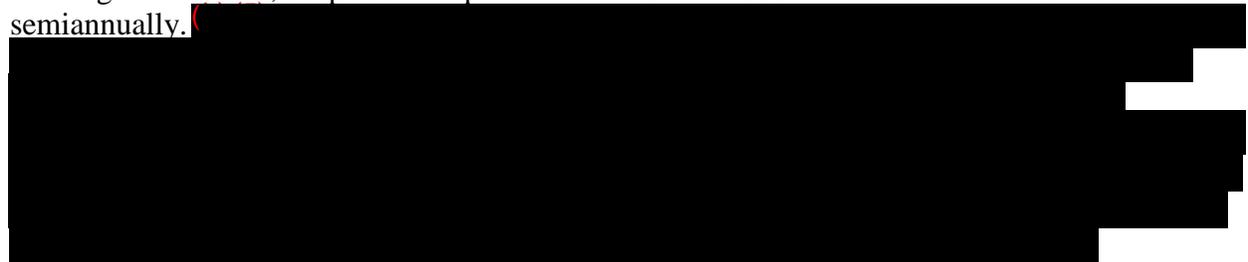
In recognition of the unit's significant workload, the Bureau of Overseas Buildings Operations provided temporary duty support to the embassy in the form of a personal services contractor who served as a deputy facilities manager from April to December 2011. The operational tempo continues apace and the demand for facilities management has not abated, prompting the embassy to initiate action to request another temporary duty employee. The inspection team supports the request.

In the meantime, much work remains to improve customer service and satisfaction, build the in-house, residential, make-ready program now that the contract covering those services has been terminated, and make progress on the many projects that will improve government-owned properties. On the supervisory level, the embassy needs to focus on and strengthen leadership, management, and communications aspects of the facilities program. The facilities manager needs to work toward identifying and being accountable for specific objectives, tasks, standards, and milestones.

Recommendation 32: Embassy Port-au-Prince should implement and monitor a work plan that addresses all aspects of its facilities management program, both routine and nonroutine. (Action: Embassy Port-au-Prince)

Safety, Health, and Environmental Management

The Safety, Health, and Environmental Management program is not functioning. The Post Occupational Safety and Health officer informed the inspection team that the committee last met in November 2011, but minutes remained unpublished. The officer had no record of any meetings since 2009, despite the requirement of 15 FAM 933.2 that the committee meet at least semiannually. (b) (5)



Recommendation 33: Embassy Port-au-Prince should conduct workplace hazard identification and assessment inspections as required by Department of State regulations. (Action: Embassy Port-au-Prince)

Informal Recommendation 40: Embassy Port-au-Prince should conduct Safety, Health and Environmental Management committee meetings as required by Department of State regulations.

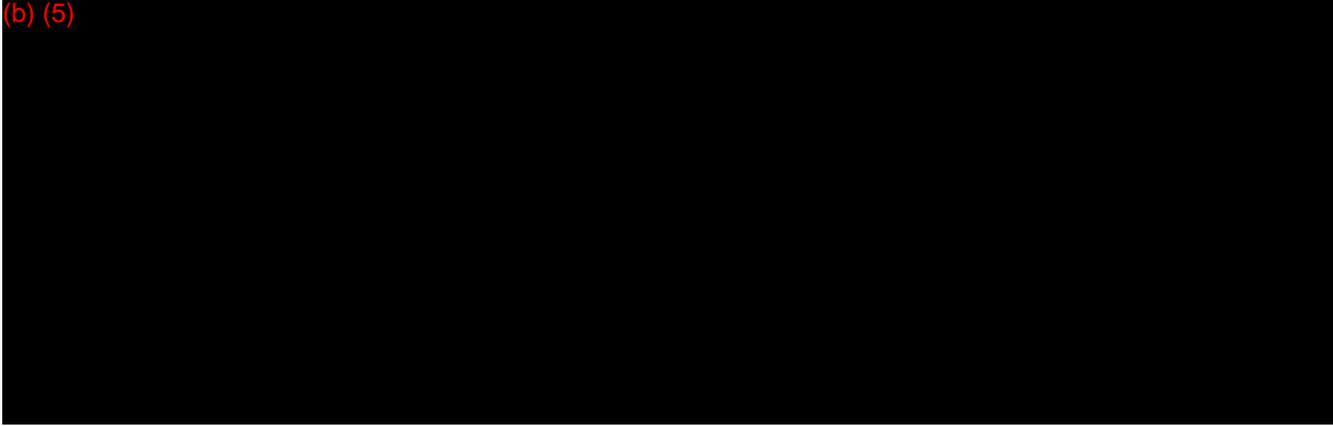
Information Management and Information Security

Despite the disruptions caused by natural disasters and the lack of consistency in program management, the IM program continues to meet the embassy's basic information technology and communication needs. Neither the LE nor the American staff has fully transitioned back to the pre-earthquake business routines. The focus is on meeting daily business needs without establishing consistency in service delivery and inclusion of other sections for collaborative solutions. Management has not allocated time for close supervision or establishing and enforcing policies and standards for operating services. The LE staff has adequate training, but requires guidance and oversight from management. Since September 2011, the program has been appropriately staffed and is operating with 5 direct-hire and 16 LE staff.

The embassy's IM program provides a classified and unclassified network, dedicated Internet network, diplomatic post office, local mail, pouch, radio, telephone, and switchboard services. (b) (5)



(b) (5)

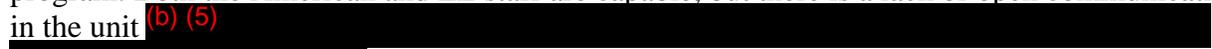


Recommendation 34: (b) (5)

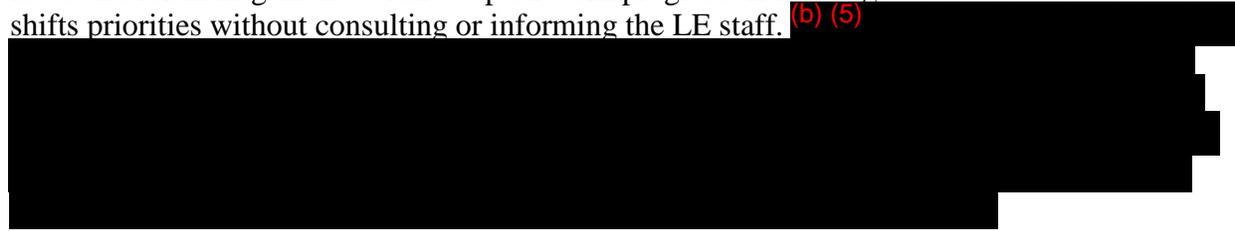


Information Systems Center

The information systems center manages the unclassified network. It supports over 400 users and manages 360 computers, including 8 servers. The unit is staffed with eight LE staff members and an information systems officer who oversees the operation. The information systems officer reports to the IM officer who is charged with managing the embassy's IM program. Both the American and LE staff are capable, but there is a lack of open communication in the unit (b) (5)



(b) (5) There are no regularly scheduled meetings for the staff to exchange ideas and for management to followup on work progress. IM management initiates tasks but then shifts priorities without consulting or informing the LE staff. (b) (5)



Informal Recommendation 41: Embassy Port-au-Prince should establish regular meetings in the information service center to facilitate open communication and build team relationships.

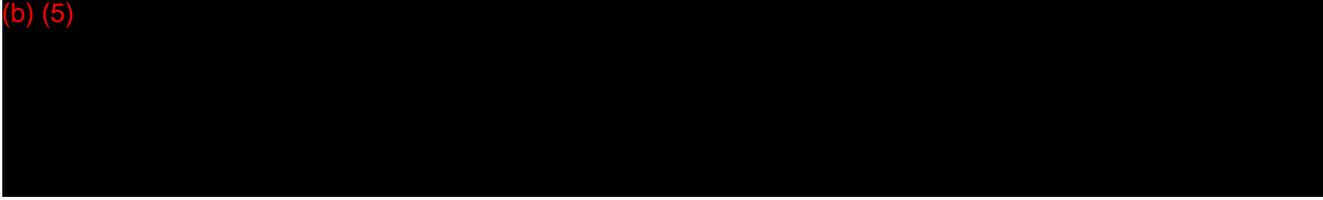
The staff is receiving relevant systems training for their duties but has not completed training in protecting personally identifiable information. According to State cable 054244 from 2010, all employees who work with personally identifiable information must take the course. The staff's daily systems duties give them access to personally identifiable data.

Informal Recommendation 42: Embassy Port-au-Prince should provide training to the information services center staff on protecting personally identifiable information.

(b) (5)



(b) (5)



Recommendation 35: (b) (5)



Standard Operating Procedures

Embassy Port-au-Prince does not have documented standard operating procedures for administering and maintaining its systems as required by 5 FAM 867 and 12 FAM 629.2-11. Routine systems administrative tasks such as computer access management, systems backup and recovery, and systems maintenance logs are not standardized and documented. (b) (5)



Recommendation 36: Embassy Port-au-Prince should implement standard operating procedures to include systems maintenance, account and computer resources management, and systems backup and recovery procedures. (Action: Embassy Port-au-Prince)

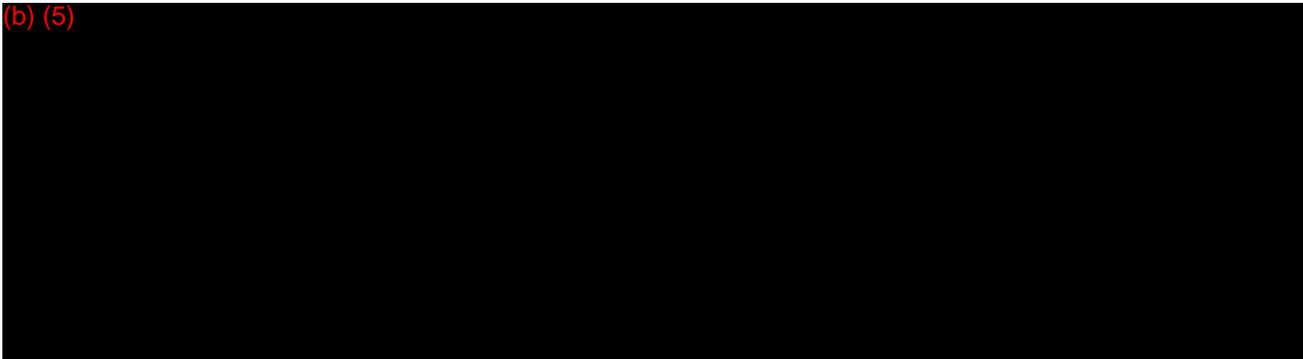
(b) (5)



Informal Recommendation 43: (b) (5)



(b) (5)



(b) (5)



Recommendation 37: (b) (5)



(b) (5)



Recommendation 38: (b) (5)



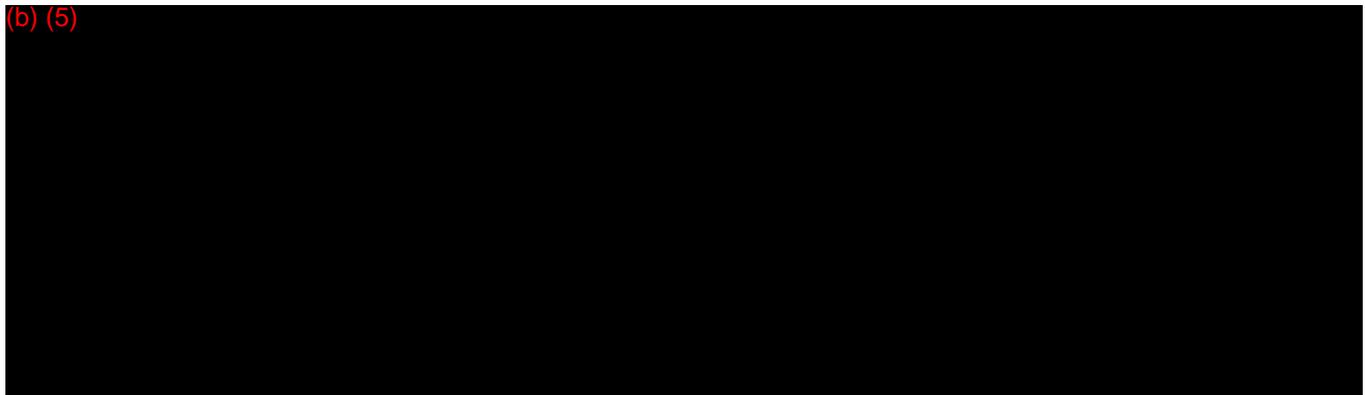
Maintaining Accurate User Records

The embassy does not have a standardized process for the human resources unit to notify the IM section when embassy staff enter on duty or leave the embassy. There are checklists for arriving and departing employees, but employees do not use them consistently and embassy management does not enforce their use. The absence of a formalized process compounded by the large number of temporary duty personnel changes has made computer access control a challenge for the IM staff. Also, the IM staff does not have an internal procedure to manage accounts based on personnel status changes and the ISSO is not involved in the computer access control process. The inspection team reviewed the account activity on the embassy network and identified many accounts that do not comply with the Department's computer account management policy. Inactive user accounts left behind by temporary and former employees can be used to impersonate legitimate users, thereby making discovery of malicious activities difficult. According to 12 FAM 621.3-3, data center managers and system managers should be notified of all employees and contractors who are transferred or terminated.

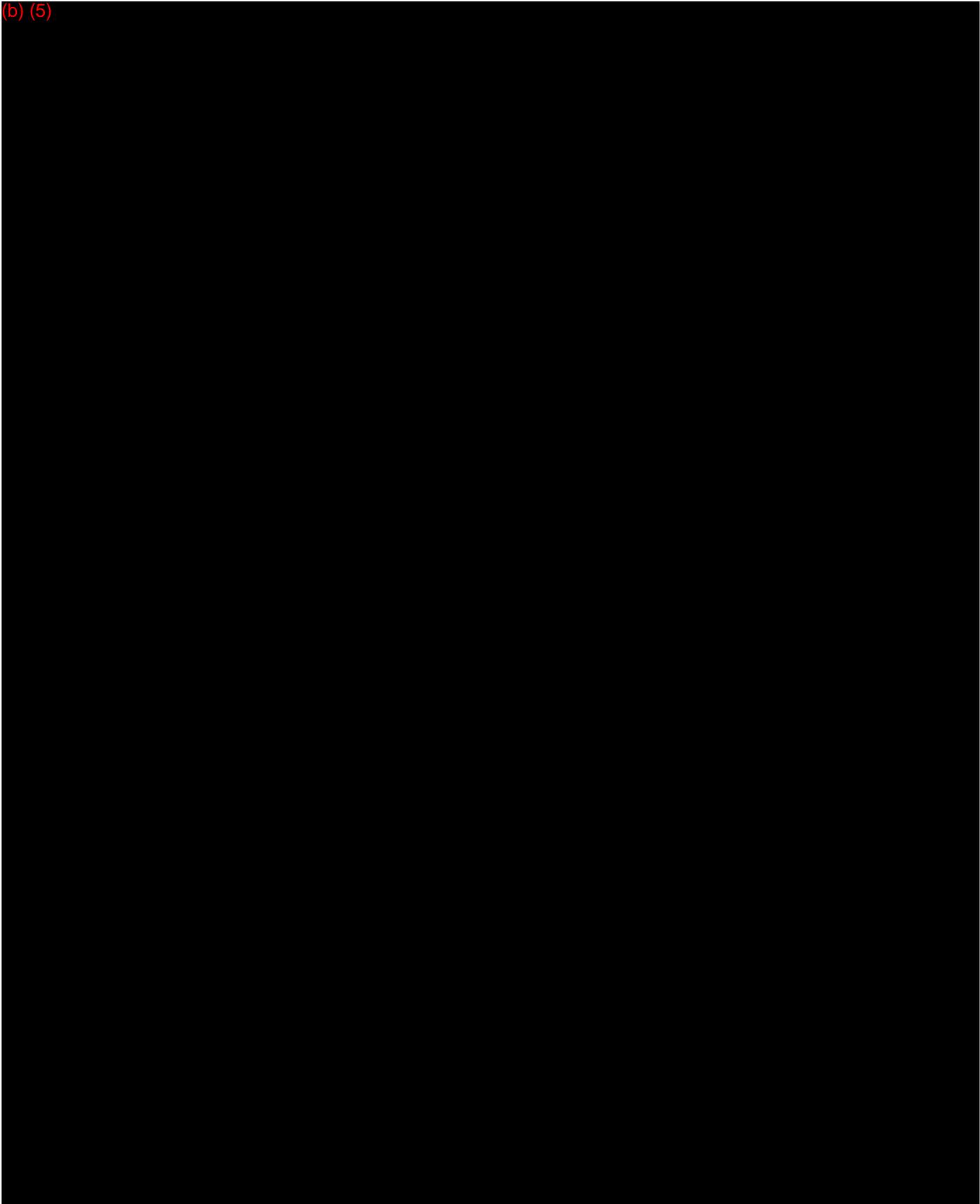
Recommendation 39: Embassy Port-au-Prince should implement a process to notify the information management section of staffing changes that affect network user accounts. (Action: Embassy Port-au-Prince)

Informal Recommendation 44: Embassy Port-au-Prince should implement a standard operating procedure for managing network user accounts.

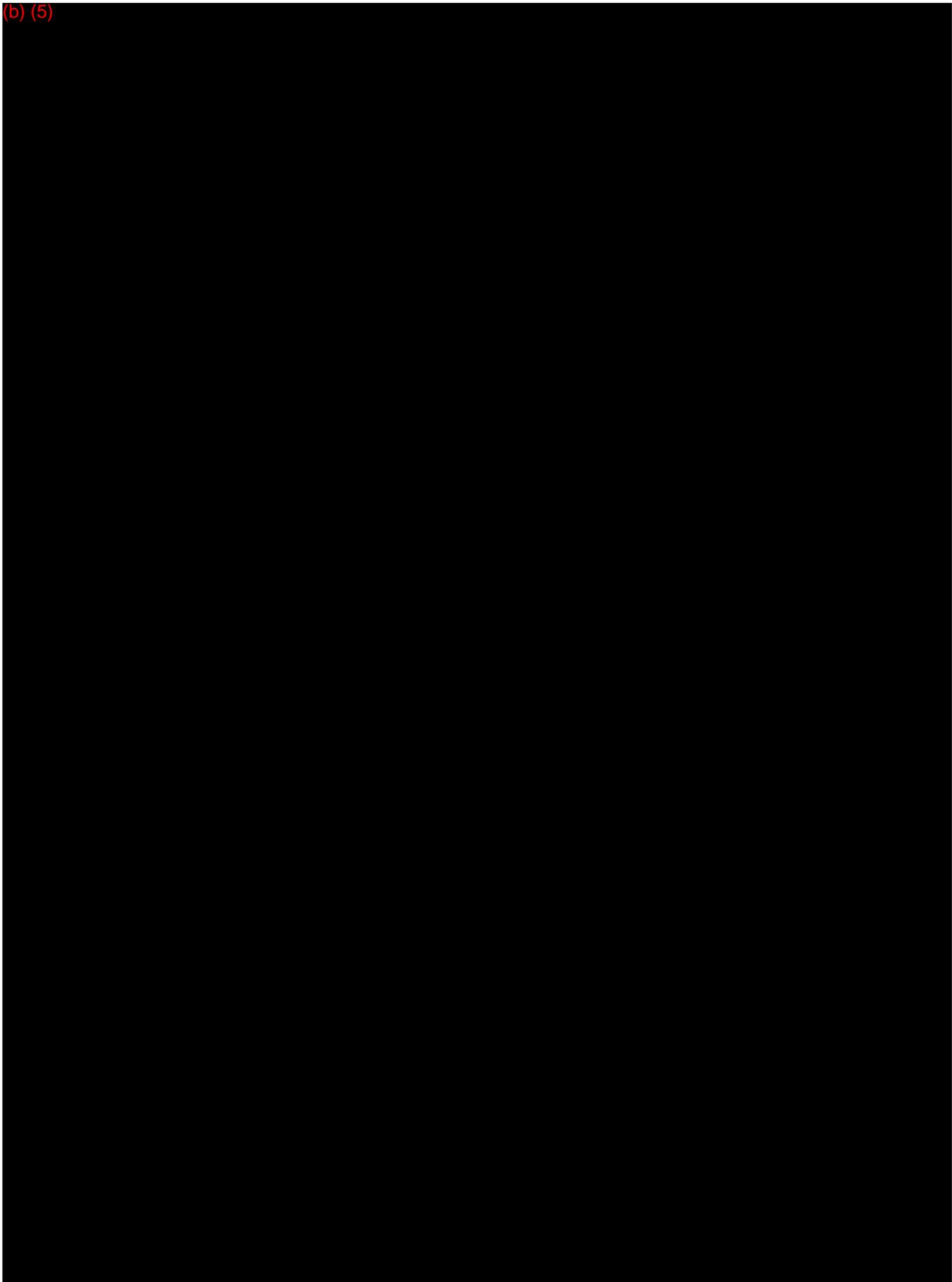
(b) (5)



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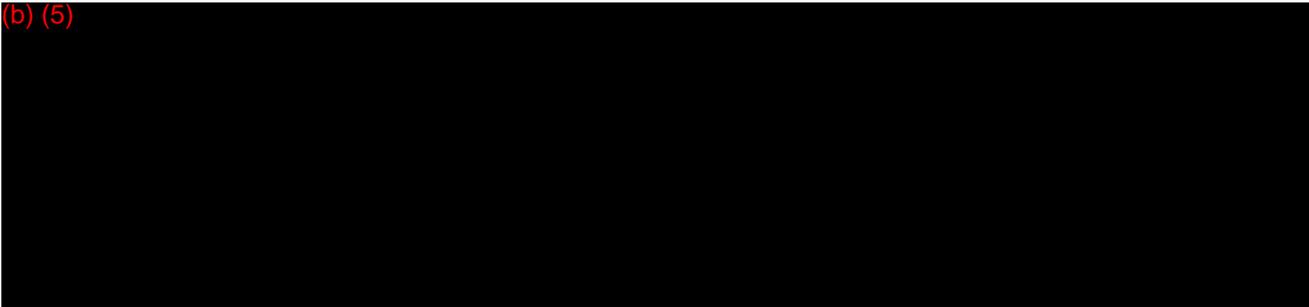


(b) (5)



Quality of Life

(b) (5)



Informal Recommendation 51: (b) (5)



Community Liaison Office

The embassy hired a full-time community liaison office coordinator as soon as dependents began to return to Port-au-Prince after the earthquake. She received formal training soon thereafter, and initiated a robust program of activities designed to improve morale and increase community integration. She is assisted by a full-time LE staff member who is an experienced event planner. Recently, the coordinator has increased the range of sponsored activities to include more opportunities to explore areas outside Port-au-Prince. Costs for these activities are mainly borne by the participants, though some are subsidized by the American employees' association. Access to organized excursions that include transportation is important for maintaining morale in the embassy; driving conditions are extremely difficult and combined with security zone restrictions, deter most people from exploring on their own. Regular consultation with community members will ensure that activities continue to address their needs. The inspection team suggested methods for soliciting more ideas and feedback from the community.

The community liaison office coordinator has given priority to sponsorship and orientation. She has updated the embassy's welcome material and taken responsibility for drafting the embassy's welcome guidebook. She adopted a system of social sponsors to supplement each office's internal sponsors. The embassy has a sponsor checklist to help both official and social sponsors prepare for new arrivals but the inspection team found that some employees had not received adequate sponsorship. The inspection team counseled the community liaison office coordinator on ways to ensure that sponsors are effective.

The community liaison office coordinator meets regularly with the Ambassador and DCM, and receives guidance as needed from the management counselor, who is her supervisor. She will transfer from post this summer and the embassy is in the process of recruiting a replacement to avoid a long staffing gap in this crucial position.

American Employee Association

The small American employee association provides limited services to the community, including a cafeteria and coffee bar, a small sales store, and several other personal service activities. The association's charter and by-laws are current and the Department's Commissary and Recreation office approved a recently prepared license agreement. The last audit was performed on time, yet the association has not completed and submitted its semiannual financial statement for the period from January to June 2011.

Informal Recommendation 52: Embassy Port-au-Prince should complete the January-June 2011 semiannual financial statements for its American employee association and forward them to the Department of State, and should also complete the July-December 2011 statement.

The last audit report, which was completed in 2011, showed that in 2010 the association made over \$38,000 in profits on gross sales of \$44,700. According to 6 FAM 531.4, profits from employee associations are not limited but must not be excessive. Pricing must allow for a profit margin that enables the organization to maintain solvency and ensure that its activities exist for future members. The association has no plan for spending the profits.

Recommendation 42: Embassy Port-au-Prince should develop a plan for its American employee association to determine the appropriate amount of profit it needs to keep it sustainable and reduce the current profit margin accordingly. (Action: Embassy Port-au-Prince)

The employee association has a page on the embassy's intranet Web site, but it contains little information on its administration and finances. General documents such as the charter, by-laws, meeting minutes, and financial reports could be included as useful information to the association community.

Informal Recommendation 53: Embassy Port-au-Prince should place relevant information concerning its employee association on the embassy's intranet Web site.

Medical Unit

The medical unit is staffed with a full-time nurse practitioner whose position was added after the 2010 earthquake, a full-time U.S.-trained local nurse, and a part-time local doctor. The regional medical officer in Fort Lauderdale, the regional psychiatrist in Bogota, and the regional medical technician in Mexico City provide excellent support. The unit functions well and recorded the highest service scores on the OIG's work and quality of life survey. The unit is well equipped, taking advantage of sufficient funding in the past 2 years to address previous equipment and supply shortfalls.

The medical unit bore a major brunt of the effects of the 2010 earthquake. For a long period of time the unit was providing more than just basic care to the American and LE staff most affected by the disaster. As time passed, the medical unit attempted to reduce the services rendered to the LE staff in accordance with 16 FAM 122. A March 2011 management notice addressed health unit services for the LE staff, but the embassy does not have an access policy.

Recommendation 43: Embassy Port-au-Prince should establish a health unit access policy for the mission. (Action: Embassy Port-au-Prince)

Overseas Schools

Eight embassy children currently attend the Department-supported (b)(5)(b)(6)

In FYs 2010 and 2011, the Department supplied \$820,000 in grants, mainly used for reconstruction and repair of the school, which was severely damaged in the 2010 earthquake. The grants also provided for the purchase of U.S. educational materials and equipment and funded the salaries of U.S. citizen, U.S.-trained or U.S.-certified professional staff. The Ambassador has actively participated on the school's board of directors, and has worked closely with the school's administration to help improve both the quality of education at the school and to modify the social and cultural dynamics that affected the educational experience for dependent students. The DCM is presently the Ambassador's official representative on the school board. The school's administration and board have been responsive to the concerns of parents.

The embassy is properly concerned about security of (b)(5)(b)(6) facilities and students as well as security of students attending other schools. The embassy issued a management policy in August 2011, authorizing transportation to and from (b)(5)(b)(6) schools for students whose tuition and fees are authorized to be paid by the U.S. Government in accordance with Department of State Standardized Regulations chapter 270. It is unclear why the embassy excluded (b)(5)(b)(6) school.

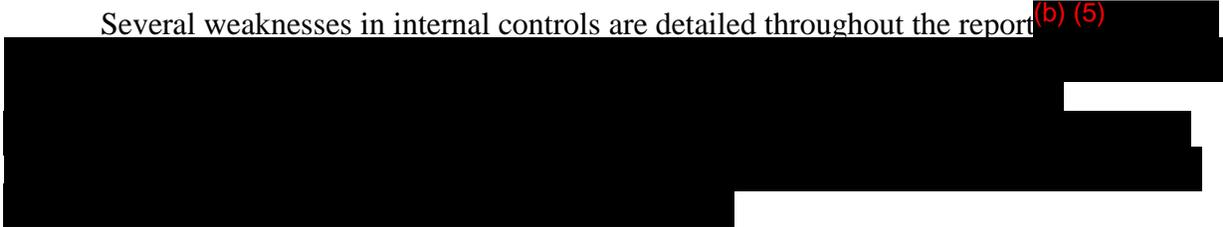
Informal Recommendation 54: Embassy Port-au-Prince should amend its school transportation policy to clarify that it will provide transportation to and from school for all students whose tuition and fees are authorized to be paid by the U.S. Government.

Management Controls

Embassy Port-au-Prince management controls need improvement. The requirements imposed on the embassy in the aftermath of the earthquake—increased staffing, need for additional housing, influx of funding, temporary duty visitors, high-level visits, and pressure to disburse assistance quickly—exerted pressure on the management section to show quick progress, unfortunately to the detriment of internal controls. The hectic pace led to communication breakdowns, which also served to weaken controls. Now there is a need to gradually transform the embassy back to normalcy and, as that happens, to strengthen internal management controls .

The Chief of Mission has delegated management controls coordinator responsibilities to the management officer. The embassy reported in its July 2011 chief of mission controls statement only one material weakness—the underfunding of the supplemental defined pension plan for locally employed staff. An independent audit in FY 2010 determined that the plan was underfunded by over \$13 million. Although not a problem at this time, the underfunding of the plan could eventually have an adverse effect on the embassy’s ability to meet its obligations under the LE staff retirement program. Consequently, the Bureau of Human Resources, Office of Overseas Employment is working with the embassy to transition to a defined contribution plan. At the time of the inspection, that plan was still under review in the Department.

Several weaknesses in internal controls are detailed throughout the report (b) (5)



Recommendation 44: Embassy Port-au-Prince should perform a risk assessment of management controls to identify weak areas and then prioritize corrective actions. (Action: Embassy Port-au-Prince)

Narcotics Affairs Section Grants Management

INL manages the majority of grants and contracts for Haiti. The embassy’s narcotics affairs section has a certified contracting officer’s representative and grants officer. In addition, a contracting officer’s representative is scheduled to arrive in mid- to late 2012 to fill a new contracting officer position.

In January and February 2012, the embassy began processing a number of grants and contracts, some of which will be managed locally and some in amounts exceeding \$200,000. The financial documentation in the narcotics affairs section was disorganized. The inspection team could not confirm whether the section’s LE staff had completed appropriate grants and contract training and were unable to review the grants budget database to verify compliance with the Office of the Procurement Executive Grants Policy Directive 28. Incomplete documentation risks misuse of U.S. assistance funds.

Recommendation 45: Embassy Port-au-Prince should organize and maintain the narcotics affairs section budget database and grants and contracts documentation in compliance with Federal Assistance Financial Management requirements and conduct grants and contract training for narcotics affairs section staff. (Action: Embassy Port-au-Prince)

Consular Management Controls

The inspection team reviewed consular internal controls, including cash accountability, inventory records of controlled supplies, consular automated systems roles, and visa adjudication review records. Cash collections were conducted in compliance with 7 FAH-1 H-771 f., and inventory records, including signed transfer of accountability documents, were complete. Consular systems roles were correctly assigned to employees currently at the embassy, including the ARSO-I. However, the Bureau of Consular Affairs had assigned user roles to 31 employees who worked on the Port-au-Prince consular automated system in response to the 2010 earthquake but are no longer at the embassy. The accountable consular officer at the embassy did not have authority to disable them. During the inspection, he requested that the Bureau of Consular Affairs do so.

The DCM was properly conducting the required visa adjudication reviews. The inspection team counseled consular managers on the need to perform visa adjudication reviews promptly and to use their observations to help enhance the performance of ELOs, which they acted upon during the inspection.

List of Recommendations

Recommendation 1: Embassy Port-au-Prince should develop a strategic plan for steady progress toward normalization of embassy operations and procedures and the executive office should capture the expertise of the officers about to depart the embassy in that plan. (Action: Embassy Port-au-Prince)

Recommendation 2: Embassy Port-au-Prince should implement a system for employee compliance with guidance on using the State Messaging and Archive Retrieval Toolset software system to archive email and other correspondence. (Action: Embassy Port-au-Prince)

Recommendation 3: Embassy Port-au-Prince should enter biographic information on the unclassified Diplopedia system and it should enter classified leadership profiles on the Intellipedia system. (Action: Embassy Port-au-Prince)

Recommendation 4: Embassy Port-au-Prince should designate appropriate officers to manage munitions controls and Department of Commerce-administered dual-use export controls. (Action: Embassy Port-au-Prince)

Recommendation 5: Embassy Port-au-Prince should issue an annual management notice explaining the scope of Leahy vetting requirements. (Action: Embassy Port-au-Prince)

Recommendation 6: Embassy Port-au-Prince, in coordination with the Bureau of Human Resources and the Bureau of Western Hemisphere Affairs, should convert one of its entry-level officer rotational positions into a 2-year economic tour. (Action: Embassy Port-au-Prince, in coordination with DGHR and WHA)

Recommendation 7: Embassy Port-au-Prince should request missing reports and documentation from delinquent FYs 2010 and 2011 grantees. No further grants to those entities should be approved until delinquent reports are received. (Action: Embassy Port-au-Prince)

Recommendation 8: Embassy Port-au-Prince should modify its appointment system to effectively control the flow of applicants for consular services. (Action: Embassy Port-au-Prince)

Recommendation 9: The Bureau of Overseas Buildings Operations, in coordination with Embassy Port-au-Prince, should repair the inadequate drainage conditions outside the consular entrance. (Action: OBO, in coordination with Embassy Port-au-Prince)

Recommendation 10: Embassy Port-au-Prince, in coordination with the Bureau of Overseas Buildings Operations, should construct awnings and place benches in the exterior waiting areas and courtyard to provide protection from the elements for consular clientele waiting for admission to the interior waiting areas. (Action: Embassy Port-au-Prince, in coordination with OBO)

Recommendation 11: Embassy Port-au-Prince should immediately cease having a vendor collect a fee for storing electronic equipment outside the consular public entrance and make the regional security office responsible for this security function. (Action: Embassy Port-au-Prince)

Recommendation 12: The Bureau of Consular Affairs, in coordination with the Office of the Legal Adviser, should act on Embassy Port-au-Prince's proposal for a prisoner transfer treaty. (Action: CA, in coordination with L)

Recommendation 13: Embassy Port-au-Prince, in coordination with the Bureau of Overseas Buildings Operations, should construct office space within the consular section that meets standard requirements for the assistant regional security officer-investigations and staff. (Action: Embassy Port-au-Prince, in coordination with OBO)

Recommendation 14: Embassy Port-au-Prince should review its management policies and procedures, and reorganize and categorize them on its intranet Web site for easier access and navigation by employees. (Action: Embassy Port-au-Prince)

Recommendation 15: Embassy Port-au-Prince should implement a plan to determine the full administrative and security support requirements and costs for positions proposed for approval under National Security Decision Directive 38. (Action: Embassy Port-au-Prince)

Recommendation 16: Embassy Port-au-Prince, in coordination with the Office of Management Policy, Rightsizing, and Innovation, should reconcile all of its National Security Decision Directive 38 actions against its staffing pattern. (Action: Embassy Port-au-Prince, in coordination with M/PRI)

Recommendation 17: Embassy Port-au-Prince should develop a comprehensive plan to review all line items in the budget to determine where cost savings are possible. (Action: Embassy Port-au-Prince)

Recommendation 18: Embassy Port-au-Prince should develop and enforce a policy relating to the timeliness of voucher preparation and the issuance of travel advances. The policy should address both the regulatory requirements and the needs of the agencies at the embassy to effectively perform their business. (Action: Embassy Port-au-Prince)

Recommendation 19: (b) (5)

Recommendation 20: Embassy Port-au-Prince should require its International Cooperative Administrative Support Services budget committee to exercise its responsibilities, including identifying areas of potential cost savings and efficiencies. (Action: Embassy Port-au-Prince)

Recommendation 21: Embassy Port-au-Prince should prepare an annual review of services provided under International Cooperative Administrative Support Services. (Action: Embassy Port-au-Prince)

Recommendation 22: Embassy Port-au-Prince should implement a plan that results in timely completion of locally employed staff employee performance reviews throughout the embassy, with clearly defined consequences for delinquent reports. (Action: Embassy Port-au-Prince)

Recommendation 23: Embassy Port-au-Prince, in coordination with the Bureau of Human Resources, the Bureau of Western Hemisphere Affairs, and the Bureau of Consular Affairs, should build the Foreign Service Institute 8-week Haitian Creole course into as many assignment

schedules as possible. (Action: Embassy Port-au-Prince, in coordination with DGHR, WHA, and CA)

Recommendation 24: Embassy Port-au-Prince should implement a plan that establishes an accurate baseline inventory and adequate accountability for and tracking of all nonexpendable property, including information technology equipment. (Action: Embassy Port-au-Prince)

Recommendation 25: Embassy Port-au-Prince should bring its home-to-office transportation policy into compliance with regulations on charges for other authorized use of official vehicles. (Action: Embassy Port-au-Prince)

Recommendation 26: Embassy Port-au-Prince should bring driver duty shifts into compliance with the Motor Vehicle Safety Management Program. (Action: Embassy Port-au-Prince)

Recommendation 27: Embassy Port-au-Prince should conduct a motor vehicle fleet review in accordance with Department of State regulations and take appropriate steps to match its inventory with the results of the review. (Action: Embassy Port-au-Prince)

Recommendation 28: Embassy Port-au-Prince should implement a plan to improve internal controls and oversight of its residential and embassy compound fuel operations. (Action: Embassy Port-au-Prince)

Recommendation 29: Embassy Port-au-Prince should include Federal Acquisition Regulation clause 52.222-50 in its formal contracts. (Action: Embassy Port-au-Prince)

Recommendation 30: Embassy Port-au-Prince should amend its housing policy to equitably provide furniture, furnishings, appliances, and equipment to employees of all agencies, and update the housing handbook to reflect this policy. (Action: Embassy Port-au-Prince)

Recommendation 31: Embassy Port-au-Prince should describe service standards for, and compete procurement of, packing and shipping services. (Action: Embassy Port-au-Prince)

Recommendation 32: Embassy Port-au-Prince should implement and monitor a work plan that addresses all aspects of its facilities management program, both routine and nonroutine. (Action: Embassy Port-au-Prince)

Recommendation 33: Embassy Port-au-Prince should conduct workplace hazard identification and assessment inspections as required by Department of State regulations. (Action: Embassy Port-au-Prince)

Recommendation 34: (b) (5) [Redacted]

Recommendation 35: (b) (5) [Redacted]

Recommendation 36: Embassy Port-au-Prince should implement standard operating procedures to include systems maintenance, account and computer resources management, and systems backup and recovery procedures. (Action: Embassy Port-au-Prince)

Recommendation 37: (b) (5) [Redacted]

Recommendation 38: (b) (5) [Redacted]

Recommendation 39: Embassy Port-au-Prince should implement a process to notify the information management section of staffing changes that affect network user accounts. (Action: Embassy Port-au-Prince)

Recommendation 40: (b) (5) [Redacted]

Recommendation 41: (b) (5) [Redacted]

Recommendation 42: Embassy Port-au-Prince should develop a plan for its American employee association to determine the appropriate amount of profit it needs to keep it sustainable and reduce the current profit margin accordingly. (Action: Embassy Port-au-Prince)

Recommendation 43: Embassy Port-au-Prince should establish a health unit access policy for the mission. (Action: Embassy Port-au-Prince)

Recommendation 44: Embassy Port-au-Prince should perform a risk assessment of management controls to identify weak areas and then prioritize corrective actions. (Action: Embassy Port-au-Prince)

Recommendation 45: Embassy Port-au-Prince should organize and maintain the narcotics affairs section budget database and grants and contracts documentation in compliance with Federal Assistance Financial Management requirements and conduct grants and contract training for narcotics affairs section staff. (Action: Embassy Port-au-Prince)

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: Embassy Port-au-Prince should prepare, in consultation with entry-level professionals, a menu of career development opportunities for these professionals and direct all embassy sections to give all entry-level officers and specialists the opportunity to participate in a range of career development opportunities as often as possible consonant with their job responsibilities.

Informal Recommendation 2: Embassy Port-au-Prince should establish a consolidated contacts database.

Informal Recommendation 3: Embassy Port-au-Prince should increase reporting through official channels on the content of meetings with senior and working-level Haitian officials.

Informal Recommendation 4: Embassy Port-au-Prince should issue a management notice requiring each section to establish, maintain, and annually retire official records, including email messages that qualify as records, and implement a tracking system to verify that employees are managing and retiring electronic records.

Informal Recommendation 5: Embassy Port-au-Prince should archive files that meet the definition of official U.S. records and should destroy nonofficial materials held in safes.

Informal Recommendation 6: Embassy Port-au-Prince should include biographic reporting and leadership analysis responsibilities in the work requirements statements of all officers who do significant amounts of contact work.

Informal Recommendation 7: Embassy Port-au-Prince should reestablish collaboration with regional Open Source Center managers on analyses that would benefit embassy officers.

Informal Recommendation 8: Embassy Port-au-Prince should designate a secondary coordinator for the Leahy vetting program and arrange for the incumbent's training and authorization to use the International Vetting and Security Tracking system.

Informal Recommendation 9: Embassy Port-au-Prince should assign an economic portfolio to the incoming officer assigned to position 14-748960.

Informal Recommendation 10: Embassy Port-au-Prince should maintain its health sector files in shared electronic folders accessible to the economic section and organized in accordance with the Traffic Analysis by Geography and Subject labeling system, and include health files in economic section archiving.

Informal Recommendation 11: Embassy Port-au-Prince should arrange for the Haiti health reconstruction coordinator and economic officers to jointly prepare periodic cables on health topics for broader dissemination to U.S. official consumers.

Informal Recommendation 12: Embassy Port-au-Prince should prepare a written strategic analysis of the public diplomacy themes important to the Haitian-American dialogue and the key Haitian audiences who should be engaged in that dialogue.

Informal Recommendation 13: Embassy Port-au-Prince should close access to the public of the Information Resource Center except by appointment and concentrate its efforts on external outreach.

Informal Recommendation 14: Embassy Port-au-Prince should reconfigure current staffing to include a trained research librarian.

Informal Recommendation 15: Embassy Port-au-Prince should maximize programming opportunities at the American Corner and work closely with the Fondasyon Konesans ak Libete to leverage its platforms outside Port-au-Prince.

Informal Recommendation 16: Embassy Port-au-Prince should create and implement a written orientation and training program for consular entry-level officers.

Informal Recommendation 17: (b) (5)



Informal Recommendation 18: Embassy Port-au-Prince should use the intranet to facilitate internal communication in the consular section, including dissemination of standard operating procedures.

Informal Recommendation 19: Embassy Port-au-Prince should implement a plan to use media outlets, the embassy Web site, and signs to inform the public of the changes to the appointment system.

Informal Recommendation 20: Embassy Port-au-Prince should use its Web page, signage, and other public information outlets to inform the public which items are not permitted in the consular waiting areas.

Informal Recommendation 21: Embassy Port-au-Prince should place appropriate signs to direct the public through the consular entry and waiting areas.

Informal Recommendation 22: Embassy Port-au-Prince should use the automated queuing system for managing the applicant flow in the immigrant visa unit.

Informal Recommendation 23: Embassy Port-au-Prince should procure the items needed for the American citizens services emergency fly-away kit.

Informal Recommendation 24: Embassy Port-au-Prince should implement a plan to provide adequate representational and travel funds for the consular section.

Informal Recommendation 25: Embassy Port-au-Prince should delineate responsibilities and establish standard operating procedures for consular section and regional security office cooperation in cases involving American citizens and law enforcement issues.

Informal Recommendation 26: Embassy Port-au-Prince should conduct regular briefing sessions for consular officers on country-specific and worldwide fraud trends.

Informal Recommendation 27: Embassy Port-au-Prince should establish accurate work requirements reflecting the portfolios of the locally employed staff in the fraud prevention unit.

Informal Recommendation 28: Embassy Port-au-Prince should conduct regular briefings for consular staff on the assistant regional security officer-investigations function and program.

Informal Recommendation 29: Embassy Port-au-Prince should establish working groups as part of the International Cooperative Administrative Support Services budget committee to address the list of top priorities already drafted by the council.

Informal Recommendation 30: Embassy Port-au-Prince should designate a note taker for International Cooperative Administrative Support Services council meetings and post the minutes on the embassy's intranet Web site.

Informal Recommendation 31: Embassy Port-au-Prince should revise and reissue the awards policy to include specific guidance relating to rejected awards.

Informal Recommendation 32: Embassy Port-au-Prince should implement a plan to account for official visitors and capture the associated costs in an accurate and timely manner, including delegating to one element of the embassy the responsibility to maintain an authoritative list.

Informal Recommendation 33: Embassy Port-au-Prince should implement a plan to encourage employees to pursue and maintain French or Haitian Creole language skills.

Informal Recommendation 34: Embassy Port-au-Prince should post information concerning the Equal Employment Opportunity program on its intranet Web site.

Informal Recommendation 35: Embassy Port-au-Prince should display its Equal Employment Opportunity information in more visible and public locations.

Informal Recommendation 36: Embassy Port-au-Prince should appoint several of its locally employed staff members as Equal Employment Opportunity liaisons.

Informal Recommendation 37: Embassy Port-au-Prince should implement a procedure that requires occupants to inventory property in their residences and return inventory documents to the general services unit in a timely manner.

Informal Recommendation 38: Embassy Port-au-Prince should recruit, hire, and train a receiving clerk.

Informal Recommendation 39: Embassy Port-au-Prince should require that contracting officer's representatives complete training as required by regulation.

Informal Recommendation 40: Embassy Port-au-Prince should conduct Safety, Health and Environmental Management committee meetings as required by Department of State regulations.

Informal Recommendation 41: Embassy Port-au-Prince should establish regular meetings in the information service center to facilitate open communication and build team relationships.

Informal Recommendation 42: Embassy Port-au-Prince should provide training to the information services center staff on protecting personally identifiable information.

Informal Recommendation 43: (b) (5)

Informal Recommendation 44: Embassy Port-au-Prince should implement a standard operating procedure for managing network user accounts.

Informal Recommendation 45: (b) (5)

Informal Recommendation 46: (b) (5)

Informal Recommendation 47: (b) (5)

Informal Recommendation 48: (b) (5)

Informal Recommendation 49: (b) (5)

Informal Recommendation 50: (b) (5)

Informal Recommendation 51: (b) (5)

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Principal Officials

	Name	Arrival Date
Ambassador	<i>Kenneth H. Merten</i>	<i>08/09</i>
Deputy Chief of Mission	<i>Daniel L. Foote</i>	<i>06/11</i>
Chiefs of Sections:		
Management	<i>George Indyke</i>	<i>08/11</i>
Consular	<i>Colombia Barrosse</i>	<i>09/10</i>
Political	<i>Peter Kujawinski</i>	<i>08/10</i>
Economic	<i>John G. Robinson</i>	<i>08/11</i>
Narcotics Affairs	<i>Carl Siebentritt</i>	<i>09/11</i>
President's PEPFAR	<i>Vacant</i>	
Public Affairs	<i>John Piechowski (acting)</i>	<i>06/10</i>
Regional Security	<i>Jeffrey Roberts</i>	<i>08/11</i>
Other Agencies:		
Animal Plant Health Inspection Service (Department of Agriculture)	<i>Vacant</i>	
Centers for Disease Control	<i>John Vertefeuille, Ph.D., MHS</i>	<i>02/11</i>
Department of Defense	<i>John Reed, CDR, USCG</i>	<i>07/11</i>
Department of Treasury	<i>Elizabeth H. Morris</i>	<i>05/11</i>
Drug Enforcement Administration	<i>Gary Coffman</i>	<i>11/10</i>
U.S. Agency for International Development	<i>Carleene Dei</i>	<i>01/10</i>
U.S. Citizenship and Immigration Services (Department of Homeland Security)	<i>Hichem Kefi</i>	<i>11/11</i>
Resident in Santo Domingo:		
Commercial Attaché	<i>Robert Jones</i>	
Agricultural Attaché	<i>Margaret Bauer</i>	
Legal Attaché	<i>Lazaro E. Andino</i>	
Immigration and Customs Enforcement (Department of Homeland Security)	<i>Donald Bruckschen</i>	
Resident in Nassau:		
Transportation Security Administration (Department of Homeland Security)	<i>Lawrence Mizell</i>	

Abbreviations

ARSO-I	Assistant regional security officer- investigations
DCM	Deputy chief of mission
Department	Department of State
EEO	Equal Employment Opportunity
ELO	Entry-level officer
ELP	Entry-level professional
FAH	Foreign Affairs Handbook
FAM	Foreign Affairs Manual
FOKAL	Fondasyon konsesans ak libete
ICASS	International Cooperative Administrative Support Services
IM	Information management
INL	Bureau of International Narcotics and Law Enforcement Affairs
ISSO	Information systems security officer
IT	Information technology
LE	Locally employed
NSDD-38	National Security Decision Directive 38
PEPFAR	President's Emergency Plan for AIDS Relief
USAID	United States Agency for International Development

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Arlington, VA 22219

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