



United States Department of State
and the Broadcasting Board of Governors

Office of Inspector General

OCT 26 2012

MEMORANDUM

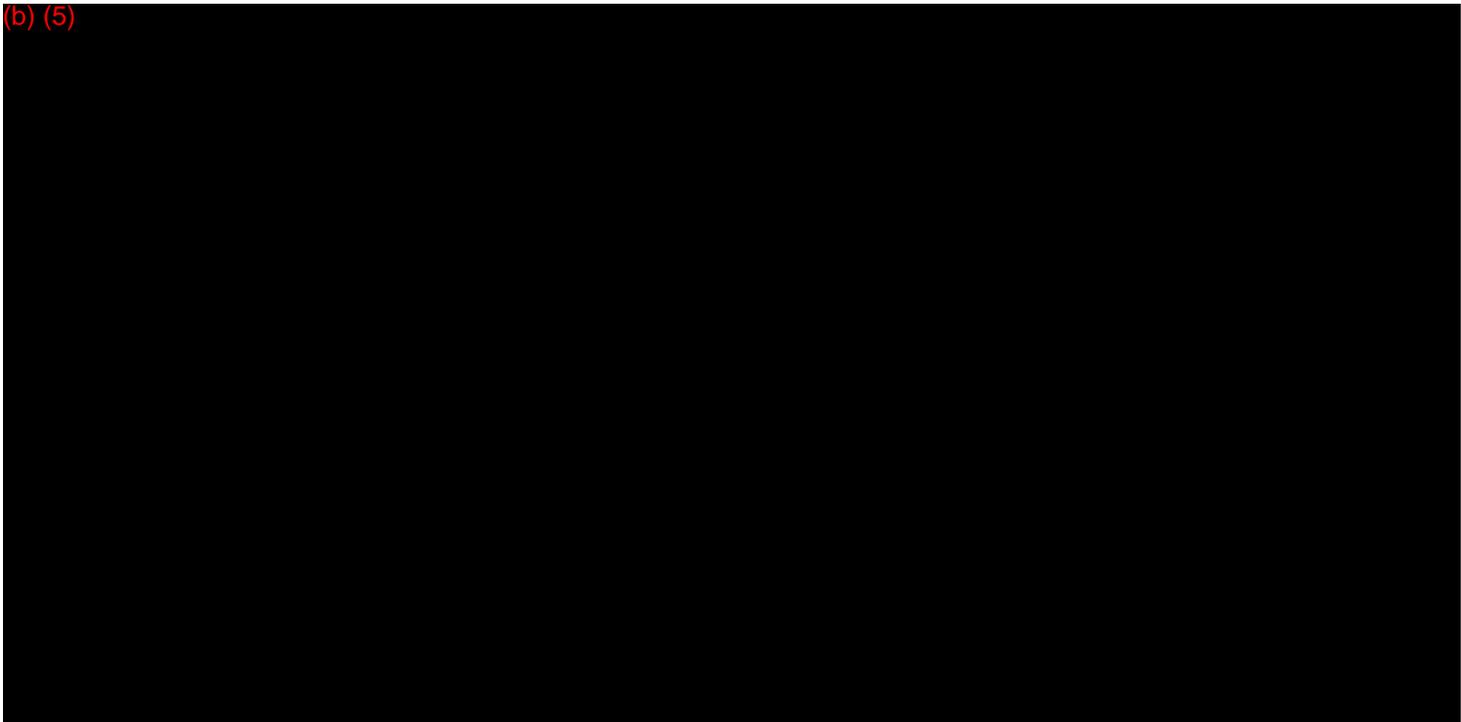
TO: DS – Mr. Eric Boswell
FSI – Ms. Ruth Whiteside

FROM: OIG – Harold W. Geisel 

SUBJECT: Review of Oversight and Management of Security Programs and Operations (ISP-I-13-02)

The Office of Inspector General (OIG) conducted 24 inspections over the past 2 years and found that the security programs are generally well managed. OIG recently analyzed instances of problematic performance by regional security officers (RSO) to determine whether deputy chiefs of mission (DCM) were adequately managing and supervising RSOs. OIG identified seven inspection reports from 2010-2012 that highlighted problematic RSO performance. The reasons behind substandard RSO performance varied, and in some cases RSOs were poorly prepared for their positions. But all seven reports showed that DCMs and principal officers did not understand the responsibilities of RSOs. In addition, lack of familiarity with security programs hampered the ability of DCMs or principal officers to effectively lead and supervise RSOs and to properly evaluate their performance.

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To better prepare outbound RSOs and assistant RSOs, OIG has worked with the Bureau of Diplomatic Security training center to strengthen the RSO curriculum's basic and in-service courses by providing a block of instruction on what security inspectors look for during inspections. OIG inspectors provide to students specific examples of common recommendations on management, leadership, and mentoring issues, discuss specific inspection reports, and provide links to unclassified reports. The inspectors also encourage students to contact OIG prior to their departure for access to their post's most recent classified annex report.

The Department has recognized the need to improve RSO management skills and recently mandated leadership training for all of its supervisors and managers.¹ The Bureau of Diplomatic Security conducts its own assessment of security operations via the Post Security Program Review, an essential component of the bureau's management oversight of RSOs. Although DCMs are routinely briefed by the Bureau of Diplomatic Security on the results of these reviews, OIG security inspectors found that some DCMs still do not have sufficient knowledge of the scope of RSO programs to properly assess performance. OIG also determined that neither high-scoring Post Security Program Reviews nor frequency of meetings between the RSO and DCM guaranteed successful performance by RSOs.

OIG reviewed the Foreign Service Institute's training curriculum for outbound DCMs and principal officers and determined that the 3-hour block of instruction provided by the Bureau of Diplomatic Security does not provide sufficient substantive information on RSO programs nor measures to properly evaluate performance. The Bureau of Diplomatic Security instruction focuses on visits to the bureau's command center, the role of the RSO as the senior law enforcement representative of the law enforcement working group, and briefings about security conditions in specific countries. It does not provide DCMs with a substantive explanation of RSO duties that DCMs are required to oversee. Reviewing the Post Security Program Review list of duties, for example, would benefit DCMs and principal officers who are not familiar with the RSO portfolio. Enhancing the training to include the full range of programmatic security responsibilities of an RSO will help posts identify and address performance concerns before they become vulnerabilities.

Recommendation 1: The Foreign Service Institute, in coordination with the Bureau of Diplomatic Security, should provide an increased block of time to Diplomatic Security to ensure a comprehensive block of instruction for the deputy chief of mission and principal officer course that thoroughly describes the program responsibilities of a regional security officer as well as measures to evaluate performance. (Action: FSI, in coordination with DS)

You should advise us on actions taken or planned on the recommendations within 30 days of the date of this memorandum. Actions taken or planned are subject to OIG followup and reporting.

¹ Assistant Secretary's Statement in the Bureau of Diplomatic Security's FY 2014 Bureau Resource Request, p. 1.

I would be happy to meet with you to discuss this matter further, or your staff may contact (b) (6) Assistant Inspector General for Inspections, by email at (b) (6) @state.gov or by telephone on 202-663-(b) (6)

Enclosures:

- Compliance Sheet
- OIG Resolution Procedures

COMPLIANCE INFORMATION SHEET AND INSTRUCTIONS
FOR OIG INSPECTION REPORTS

Compliance Contacts:

(b) (6)

Office of Inspections, Office of Inspector General, U.S. Department of State, SA-39, (b) (6)

Response Due Date: 30 days from receipt of this e-transmittal

Below is a list of the reports and recommendations assigned to action and coordinating entities. Instructions on how to submit compliance updates are provided on the following pages.

PRODUCT NAME: REVIEW OF OVERSIGHT AND MANAGEMENT OF SECURITY PROGRAMS AND OPERATIONS, ISP-I-13-02

Action Entity:

FSI

Recommendation(s):

1

Coordinating Entity:

DS

Recommendation(s):

1

Compliance Instructions for OIG Inspection Reports

Action Entities

1. Action entities should, via a record e-mail, list each recommendation by number and text verbatim along with a detailed discussion indicating agreement or disagreement with the recommended action for each recommendation within 30 days from the receipt of this e-transmittal of the report.
 - a. The record e-mail should indicate the appropriate clearances.
 - b. The ACTION line should be addressed to the ISP compliance contacts on page one- the assigned analyst and the supervisory analyst.
 - c. The SUBJECT line should include the report title and report number.
 - d. The record e-mail must be tagged ASIG, and at a minimum should be captioned sensitive or with the overall highest classification of the applicable text or recommendations issued in the report.
 - e. Action entities are reminded to properly portion mark paragraphs in classified record e-mails.
2. For agreement, include corrective actions taken or planned, and actual or target dates for completion. For disagreement, action entities must include reasons for disagreement, and any alternative proposals for corrective action.
3. Action entities should also indicate in the response that they have sought and received the concurrence of the assigned coordinating entities.
4. If questioned or unsupported costs are identified, state the amount that is determined to be disallowed and the plan to collect the disallowed funds. If funds put to better use are identified, then state the amount that can be put to better use (if these amounts differ from OIG's, state the reason).
5. Implementation of informal recommendations is expected, however, a written response is not required.

Coordinating Entities

1. Coordinating entities are not required to initiate action on recommendations. Coordinating entities are to be consulted by the assigned action entity for concurrence on a proposed action to implement the recommendation.
2. However, in the event that a coordinating entity disagrees with an action entity's proposed plan of action, the coordinating entity is encourage, but not obliged, to submit a response to OIG for consideration in OIG's analysis on whether the cited action meets the intent of the recommendation.

OIG Analysis of Response

1. If OIG concurs with a response to a recommendation, it will note, in the analysis correspondence, that it concurs with the action entity's management decision. And, OIG will indicate whether the recommendation is closed for acceptable implementation or indicate its status as resolved/open if action is still pending and assign a follow-on suspense for a compliance update. Implementation measures will be tracked until final action is accomplished and the recommendation is closed.

2. If OIG does not concur with the action office's proposed corrective action, or if the action office fails to respond to a recommendation or rejects it, OIG will identify the recommendation as unresolved. OIG will attempt to resolve the disagreement at the action office level. However, if OIG determines that an impasse has been reached, it will refer the matter for adjudication as outlined in 1 FAM 056.1, 1 FAM 053.2-2, and 1 FAM 056.2-1(I).

3. In accordance with the Inspector General Act of 1978, as amended, OIG is required to report to Congress semiannually on April 1 and October 1 of each year, a summary of each OIG report issued for which no management decision was made during the previous 6-month period. Heads of agencies are required to report to Congress on significant recommendations from previous OIG reports where final action has not been taken for more than one year from the date of management decision, together with an explanation of delays.