



United States Department of State
and the Broadcasting Board of Governors

Office of Inspector General

Work Plan

Fiscal Year 2014

*Promoting effective management, accountability,
and positive change*

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Introduction

We are pleased to present the Office of Inspector General Work Plan for Fiscal Year 2014. This publication provides brief descriptions of activities that the Office of Inspector General (OIG) plans to initiate or continue with respect to the programs and operations of the Department of State (Department) and the Broadcasting Board of Governors (BBG) in FY 2014.

OIG is dedicated to improving operations, promoting positive change, and detecting and preventing waste, fraud, abuse, and mismanagement. OIG's independent role and general responsibilities are established by the Inspector General Act of 1978, as amended, the Foreign Service Act of 1980, the Omnibus Diplomatic Security and Antiterrorism Act of 1986, and the Foreign Affairs Reform and Restructuring Act of 1998.

Specifically, OIG:

- Reviews Department and BBG programs and operations to assess their effectiveness and use of resources;
- Recommends operational, procedural, or policy changes to correct deficiencies;
- Ensures effective, efficient operations and compliance with laws and regulations;
- Identifies savings through greater efficiency, alternative use of resources, and recommended collection actions; and
- Investigates and refers cases of wrongdoing for judicial and management action to correct waste, fraud, abuse, or mismanagement.

The criteria used by OIG in selecting areas for review include:

- Congressional mandates;
- Magnitude in dollars or other resources;
- Vulnerability to loss through waste, fraud, abuse, or error;
- Significance to the achievement of major Department goals;
- Importance to employee health and safety;
- Particular interest to the Secretary, the Deputy Secretary, an Under Secretary, the White House, or the Congress; and
- New or changed conditions affecting a program or function.

Our Work Plan for FY 2014 is an evolving document, to be revised and updated as necessary to ensure that OIG work remains relevant, timely, and responsive to the priorities of the Department, BBG, the Administration, the Congress, and the foreign affairs community.

OIG Vision

To be a world-class organization promoting effective management, accountability, and positive change in the Department, Broadcasting Board of Governors, and the foreign affairs community.

OIG Mission

The Office of Inspector General conducts independent audits, inspections, and investigations that advance the missions of the Department of State and the Broadcasting Board of Governors. OIG provides leadership to:

- Promote integrity, efficiency, effectiveness, and economy;
- Prevent and detect waste, fraud, abuse, and mismanagement;
- Identify vulnerabilities and recommend constructive solutions;
- Offer expert assistance to improve Department and BBG operations;
- Communicate timely, useful information that facilitates decision-making and achieves measurable gains; and
- Keep the Department, BBG, and the Congress fully and currently informed.

OIG Core Values

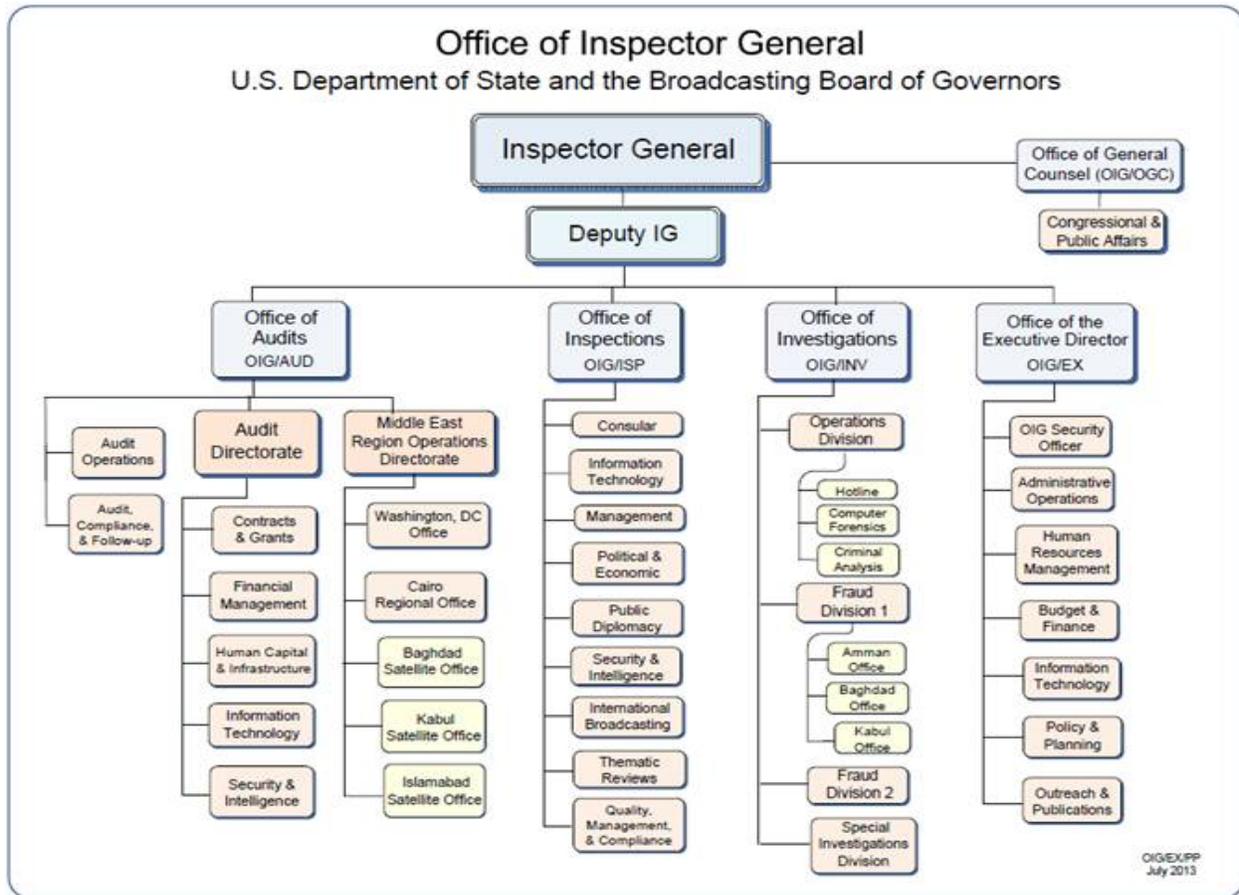
Credibility: OIG is committed to the highest standards of accountability, independence, integrity, and professionalism.

Objectivity: OIG's reports and other products are factual, accurate, informative, and reliable.

Relevance: An independent agent for positive change, OIG provides valuable and timely service.

Effectiveness: OIG makes a difference. Working cooperatively, in a spirit of teamwork, internally and with other organizations, enhances OIG's impact.

Organization Chart



Office of Audits Overview

The Assistant Inspector General for Audits is responsible for leading the Office of Audits, which is comprised of the Audit Directorate and the Middle East Region Operations (MERO) Directorate. The Deputy Assistant Inspector General for Audits is responsible for the Audit Directorate, and is charged with conducting audits and program evaluations of the management and financial operations of the Department and BBG, including their audited financial statements, information security, internal operations, and external activities funded by the Department through contracts or financial assistance. The Deputy Assistant Inspector General for MERO is responsible for the MERO Directorate and for performing engagements within the Middle East Region, covering the Department's Bureaus of Near Eastern Affairs (NEA) and South and Central Asian Affairs (SCA). The Deputy Assistant Inspector General for MERO is also responsible for general operation of OIG overseas offices located in Cairo, Egypt; Kabul, Afghanistan; Islamabad, Pakistan; and Baghdad, Iraq.

Audits and program evaluations determine the degree to which an organization, program, or function is effectively managed; and the extent to which program results are achieved. The definition for effectiveness is derived from the agency objectives, operating within the relevant laws and directives pertaining to the organization or program. The overall objective of an audit is to identify challenges impeding progress and offer solutions that address the root cause of those challenges, as well as to identify and report best management practices that can be replicated to promote operational efficiency and the effective management of all Department and BBG programs. The audit process includes:

- *Audit notification.* The Office of Audits notifies the agency in writing that an audit is scheduled to start.
- *Entrance conference.* After written notification, a meeting is held to inform the agency of the purpose, objectives, and scope of the audit and the methodology to be followed.
- *Audit field work.* A detailed evaluation of the program, activity, or function is conducted in accordance with Government Accountability Office standards.
- *Exit conference.* At the conclusion of an audit, a formal conference is held with the principal post and bureau officials to present the audit results. This meeting provides an opportunity for the audit team and the auditee to discuss the audit findings and the recommendations offered to address the root cause of the challenges identified.

During the audit, the auditee is kept apprised of audit activities. The Inspector General is given a detailed briefing before the audit begins and at the conclusion of audit fieldwork. Following the exit conference, the audit team prepares a draft report, which is vetted for comment and clearance within OIG. The auditee then typically has up to 15 calendar days to provide comments on the draft report and to specify whether it agrees with the report's recommendations and with the amount of any potential monetary benefits or recoveries. Those comments are incorporated into the final report. The auditee has 45 days from issuance of the final report to provide information on actions planned and taken to implement the recommendations.

Office of Audits Plans for FY 2014

Audit Directorate

Contracts and Grants

Bureau/ OIG Division	Engagement Title	Primary Objective	Justification	Initiate Month/Year
ECA, A, AQM/CG	Audit of J. William Fulbright Scholarship Fund Grants in Selected Countries	To determine whether (1) Fulbright Scholarship Fund grants are effectively and efficiently administered and monitored within established policies and procedures and (2) mechanisms are in place to track and perform remedial actions for identified deficiencies.	High Priority Performance Goal Management-Building Civilian Capacity	October 2013
A, AQM, Selected Bureaus/CG	Department Oversight and Accountability of Selected Grants to Public International Organizations (PIO)	To determine whether the Department is overseeing and holding PIOs accountable for complying with the terms and conditions of grant agreements and taking appropriate action when deficiencies are identified.	High Priority Performance Goal Management-Building Civilian Capacity	January 2014
A, AQM, Selected Bureaus/CG	Audit of Department of State Placement and Training of Grants Officer Representatives	To determine whether the Department's Grants Officer Representatives have been selected and positioned to successfully perform their assigned grants administration and oversight responsibilities.	High Priority Performance Goal Management-Building Civilian Capacity	March 2014
A, AQM, DRL/CG	Audit of the National Endowment for Democracy for Fiscal Years 2008-2012	To determine whether the National Endowment for Democracy had adequately accounted for Federal funds and complied with applicable laws, regulations, policies, grant terms, and conditions.	Mandatory National Endowment for Democracy Act	June 2014
Domestic and Overseas Bureaus, BBG/CG	Quality Control Review of Selected Single Audits for the Department and BBG	Pursuant to the requirements of Office of Management and Budget (OMB) Circular A-133, to provide selected Single Audit Act Desk Reviews that may identify questioned costs for repayment to the Department and BBG.	Mandatory Single Audit Act	August 2014

Financial Management

Bureau/ OIG Division	Engagement Title	Primary Objective	Justification	Initiate Month/Year
INL/FM	Audit of the Department of State Counternarcotics Initiatives	To determine (1) the full cost of the counternarcotics initiatives; (2) whether the Department is appropriately using performance indicators to measure and report program results; and (3) the associated cost of achieving the desired results for each performance indicator (return on investment).	GAO Key Issue Countering Overseas Threats	December 2013
Department/FM	Department of State Compliance With the Improper Payments Information Act	To determine whether the Department is in compliance with the Improper Payments Information Act, as amended.	Mandatory Improper Payments and Information Act	December 2013
BBG/FM	BBG Compliance With the Improper Payments Information Act	To determine whether BBG is in compliance with the Improper Payments Information Act, as amended.	Mandatory Improper Payments Information Act	December 2013
INL/FM	Review of FY 2013 Accounting and Authentication of Drug Control Funds and Related Performance Report for the Office of National Drug Control Policy (ONDCP)	To authenticate the Department of State FY 2013 accounting of drug control funds and related performance in compliance with ONDCP guidance.	Mandatory ONDCP Circular	December 2013
Department/FM	Audit of Department of State FY 2014 Financial Statements	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States.	Mandatory Chief Financial Officers Act	January 2014
BBG/FM	Audit of BBG FY 2014 Financial Statements	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States.	Mandatory Chief Financial Officers Act	January 2014
IBWC/FM	Audit of International Boundary and Water Commission's (IBWC) FY 2014 Financial Statements	To determine whether the financial statements and related notes are presented fairly, in all material respects, in conformity with the accounting principles generally accepted in the United States.	Mandatory Chief Financial Officers Act	May 2014
BBG/FM	Audit of Expenditures Made by Radio Free Asia	To determine to what extent expenditures made by Radio Free Asia were used for mission priorities and were supported.	High Priority Performance Goal Strategic Communications and Technology	July 2014

Human Capital and Infrastructure

Bureau/ OIG Division	Engagement Title	Primary Objective	Justification	Initiate Month/Year
MED/HCI	Audit of Foreign Service Medical Officers Internal Controls of Medical Supplies, Controlled Substances, and Prescription Drugs at Selected Posts (Carryover)	To determine to what extent the Department's medical health units are effectively administering internal controls over the ordering, receipt, storage, and disposition of medical supplies, controlled substances, and prescription drugs.	High Priority Performance Goal Management-Building Civilian Capacity	October 2013
A/HCI	Audit of Department of State Expedited Logistics Program (Carryover)	To determine to what extent the Expedited Logistics Program has been effective in providing posts with easy, fast, and cost-effective methods to obtain commonly used items.	High Priority Performance Goal Management-Building Civilian Capacity	November 2013
DS, OBO/HCI	Audit of Residential Security at Selected Overseas Posts	To determine whether residential security measures at selected overseas posts meet current Department guidance and standards.	GAO High Risk Countering Overseas Threats	July 2014
A/HCI	Audit of Excess Personal Property Management at Domestic Locations	To determine whether excess personal property at domestic locations is managed and disposed of in accordance with Federal and Department regulations and guidelines.	High Priority Performance Goal Management-Building Civilian Capacity	August 2014

Information Technology

Bureau/ OIG Division	Engagement Title	Primary Objective	Justification	Initiate Month/Year
IRM/IT	Audit of Department of State Implementation and Oversight of Active Directory (Carryover)	To determine whether the Department has consistently implemented and overseen active directory domain services and active directory rights management across the enterprise environment.	Program Risk	October 2013
DS,INR/IT	Audit of the Information Security Program for Sensitive Compartmented Information (SCI) Systems at the Department of State	To evaluate the effectiveness of security controls and techniques for SCI systems and compliance with Office of the Director of National Intelligence directives and related information security policies, procedures, standards and guidelines.	Mandatory Federal Information Security Management Act (FISMA)	February 2014
IRM/IT	Audit of Department of State Data Center Security and Consolidation Efforts (Carryover)	To determine whether the Department has instituted security controls that are appropriate to its data centers and has made progress with data center consolidation.	Program Risk	April 2014

IRM/IT	Audit of the Information Security Program at the Department of State	To evaluate the effectiveness of security controls and techniques for selected information systems and compliance with related information security policies, procedures, standards, and guidelines.	Mandatory Federal Information Security Management Act (FISMA)	March 2014
IBWC/IT	Audit of the Information Security Program at the International Boundary and Water Commission (IBWC)	To evaluate the effectiveness of security controls and techniques for selected information systems and compliance with related information security policies, procedures, standards, and guidelines.	Mandatory Federal Information Security Management Act (FISMA)	March 2014
BBG/IT	Audit of the Information Security Program at the Broadcasting Board of Governors (BBG)	To evaluate the effectiveness of security controls and techniques for selected information systems and compliance with related information security policies, procedures, standards, and guidelines.	Mandatory Federal Information Security Management Act (FISMA)	April 2014
IRM, DS/IT	Audit of the Department of State Security Program for Wireless Networks	To determine whether the Department has implemented a security program for wireless networks to guard against cyber-attacks and unauthorized access.	Program Risk	May 2014
IRM/IT	Audit of Department of State System Development Life Cycle (SDLC) Process (Carryover)	To determine whether the Department's System Development Life Cycle (SDLC) policies and procedures adequately address Federal requirements and information technology best practices.	High Priority Performance Goal Management-Building Civilian Capacity	July 2014
IRM, DS/IT	Audit of Department of State Contingency Plans for the Information Technology Enterprise System	To determine whether the Office of Chief Information Officer has implemented and subsequently tested contingency plans across the Department's information technology enterprise system to ensure operability during an interruption.	High Priority Performance Goal Management-Building Civilian Capacity	September 2014

Security and Intelligence

Bureau/ OIG Division	Engagement Title	Primary Objective	Justification	Initiate Month/Year
DRL, INL,CSO, GCJ/SI	Audit of Department of State Integration of Security and Justice Sector Assistance for the Merida Initiative (Carryover)	To determine to what extent the Department has progressed in integrating security and justice sector assistance and has linked Merida Initiative assistance to development by emphasizing host nation's ownership of programs.	High Priority Performance Goal Democracy, Good Governance, and Human Rights	February 2014
ISN, CT/SI	Audit of Department of State Administration of Nonproliferation and Threat Reduction Programs (Carryover)	To determine whether the Department has implemented internal controls to effectively monitor and measure the results of nonproliferation and threat reduction assistance concerning weapons of mass destruction.	High Priority Performance Goal Global Security-Nonproliferation	February 2014
ISN /SI	Audit of Department of State Assistance to Foreign Export Control and Enforcement Agencies	To determine to what extent the Department's deployment of detection equipment and training assistance to foreign export control and enforcement agencies has achieved desired results in combating the proliferation of advanced conventional weapons.	High Priority Performance Goal Global Security-Nonproliferation	August 2014
CT/SI	Audit of Department of State Terrorist Screening and Interdiction Programs	To determine to what extent the Department has strengthened its screening capabilities to detect terrorist and secure borders.	High Priority Performance Goal Terrorist Related Information Sharing	September 2014

Middle East Region Operations Directorate

Iraq

Bureau/ OIG Division	Engagement Title	Primary Objective	Justification	Initiate Month/Year
Embassy Baghdad, NEA, MED, AQM/MERO	Audit of Department of State Management of Medical Operations Supporting Personnel Assigned to Iraq (Carryover)	To determine whether the Department is effectively managing the medical operations contract in Iraq.	High Priority Performance Goal Iraq	October 2013
Embassy Baghdad, NEA/MERO	Audit of Administration of the Residual Iraq Reconstruction Projects	To determine whether the Department is properly administering the completion and turnover of the residual U.S. Government-funded Iraq reconstruction projects.	High Priority Performance Goal Iraq	October 2013

Bureau/ OIG Division	Engagement Title	Primary Objective	Justification	Initiate Month/Year
Embassy Baghdad, DS, AQM/MERO	Audit of Department of State Management of the Worldwide Protective Services (WPS) Task Order for Erbil and Basrah	To determine whether the Department is effectively managing the WPS Task Order for Erbil and Basrah.	High Priority Performance Goal Iraq	April 2014
Embassy Baghdad, NEA, AQM/MERO	Audit of the Baghdad Life Support Services (BLISS) Contract	To determine whether the Department is effectively managing the BLISS contract.	High Priority Performance Goal Iraq	September 2014

Afghanistan

Bureau/ OIG Division	Engagement Title	Primary Objective	Justification	Initiate Month/Year
AQM, SCA, INL, Embassy Kabul /MERO	Audit of Closeout Process for Contracts Supporting the U.S. Mission in Afghanistan (Carryover)	To determine whether the Department is closing Afghanistan-related contracts in accordance with Federal and Department guidance.	High Priority Performance Goal Afghanistan	November 2013
SCA, Embassy Kabul/MERO	Audit of Implementation of the Department of State Plan for the Transition From a Military-Led to a Civilian-Led Mission in Afghanistan	To determine whether the Department is effectively implementing its Afghanistan Transition plan.	High Priority Performance Goal Afghanistan	November 2013
Embassy Kabul, SCA, INL/MERO	Audit of Bureau of International Narcotics and Law Enforcement Affairs (INL) Counternarcotics Programs in Afghanistan	To determine whether INL is achieving intended and sustainable results through its Counternarcotics Programs in Afghanistan. (Second in a series of audits to be conducted on the Counternarcotics Programs in Afghanistan.)	High Priority Performance Goal Afghanistan	January 2014
SCA, Embassy Kabul/MERO	Audit of Property Accountability at U.S. Mission Afghanistan	To determine whether U.S. Mission Afghanistan has adequate controls in place over Embassy property to ensure that property is accurately recorded, monitored, and dispositioned.	High Priority Performance Goal Afghanistan	May 2014
SCA, INL/MERO	Audit of the Aviation Working Capital Fund – Afghanistan Cost Center	To determine whether the Aviation Working Capital Fund for Afghanistan is effectively administered to ensure that costs and fees are distributed in an equitable manner.	High Priority Performance Goal Afghanistan	July 2014

Pakistan

Bureau/ OIG Division	Engagement Title	Primary Objective	Justification	Initiate Month/Year
PM, Embassy Islamabad, SCA /MERO	Audit of Administration and Oversight of the Pakistan Counterinsurgency Capability Fund (Carryover)	To determine the effectiveness of the Department's administration and oversight of the programs and projects funded by the Pakistan Counterinsurgency Capability Fund.	High Priority Performance Goal Pakistan	October 2013
Embassy Islamabad, SCA, OBO/MERO	Audit of Construction of the New Embassy Compound - Islamabad	To determine whether the Department is effectively administering the construction contracts for the New Embassy Compound in Islamabad.	High Priority Performance Goal Pakistan	March 2014
Embassy Islamabad, SCA, INL/MERO	Audit of Bureau of International Narcotics and Law Enforcement Affairs (INL) Counternarcotics Programs in Pakistan	To determine whether the Bureau of International Narcotics and Law Enforcement Affairs is achieving intended and sustainable results through its Counternarcotics Programs in Pakistan.	High Priority Performance Goal Pakistan	April 2014

Other Locations

Bureau/ OIG Division	Engagement Title	Primary Objective	Justification	Initiate Month/Year
PRM, NEA, EUR, IO/MERO	Audit of Department of State Assistance to Syrian Refugees	To determine the Department's effectiveness in managing and coordinating the humanitarian response for Syrian refugees.	High Priority Performance Goal Democracy, Good Governance, Human Rights	October 2013
NEA, MEPI/MERO	Audit of the Middle East Partnership Initiative (Carryover)	To determine whether the Department's administration and oversight of the Middle East Partnership Initiative has been effective and whether the Program is achieving its stated objectives.	High Priority Performance Goal Democracy, Good Governance, Human Rights	October 2013
PM, NEA, SCA, Selected Embassies /MERO	Audit of the Conventional Weapons Destruction Program for Countries Under the Bureaus of Near Eastern Affairs and South and Central Asian Affairs	To determine whether the Bureau of Political-Military Affairs is achieving intended results through its Conventional Weapons Destruction Program.	High Priority Performance Goal Global Security-Nonproliferation	April 2014

Office of Inspections Overview

Inspections are conducted to provide overseas missions and Department bureaus, as well as BBG organizations, with assessments of mission leadership, policy implementation, resource management, and management controls. The inspection is a comprehensive and independent review intended to: assess effectiveness of programs; propose potential efficiencies and cost-saving measures; encourage self-evaluation and correction; provide counseling to employees, including ambassadors, bureau assistant secretaries, and BBG leadership; and identify problems and recommend solutions. Inspections differ from audits in that inspections normally review an organization in its entirety, while audits concentrate on a particular function or program that may cross several organizations.

The Foreign Service Act of 1980 requires that an inspection of each Foreign Service post and each domestic bureau be conducted at least once every 5 years, although this requirement is routinely waived every year by Congress. OIG's methodology for investing its resources includes a risk management approach to help prioritize projects and to ensure that our discretionary inspections cover high-cost programs, key management challenges, and vital operations. The OIG retains a quick-reaction capability to address requests made on short notice by Congress or senior Department officials. Inspection staff also conduct extensive outreach activities, briefing attendees of FSI courses as well as numerous officers, including ambassadors, before they depart for post.

The domestic and overseas inspection process includes:

- *Inspection notification.* The Office of Inspections (ISP) notifies the post, office, or bureau in writing that an inspection is scheduled.
- *Survey.* An initial phase of the inspection process is information collection from the inspected entity and relevant Department bureaus, offices, and Federal agencies with which it relates. Each inspected entity completes functional questionnaires covering their areas of operations. These responses are used as a guide to review operations prior to the arrival of the inspectors. Other questionnaires address service satisfaction and individual concerns.
- *On-site inspection.* The inspection team conducts on-site reviews of the post, bureau, or office with a focus on three broad areas set forth in the Foreign Service Act of 1980:
 - *Policy implementation*—whether policy goals and objectives are being effectively achieved; whether post operations are in consonance with the foreign policy of the United States; 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. Teams also focus on identifying potential efficiencies and cost-saving measures leading to more effective use of resources.

- *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 instances of fraud, waste, or abuse exist; and whether adequate steps for detection, correction, and prevention have been taken. The inspectors value counseling as a critically important facet of the review process and will seek improvements through the use of this technique as a first course of action.
- *Inspection reports.* The inspectors’ findings and recommendations are formalized and issued in report format. Inspection reports adhere to the standards set out in the *Quality Standards for Inspection and Evaluation*, as issued by the Council for Inspectors General on Integrity and Efficiency, and the *Inspectors’ Handbook*, as issued by the OIG.
- *Report Review.* The inspected entity reviews a field draft of the report and is afforded the opportunity to comment. Relevant Washington offices are also provided an opportunity to comment. In addition, the draft inspection report is vetted for comment and clearance within OIG.
- *Compliance.* Each tasked entity must officially respond to all formal recommendations in a published report. Recommendations are unresolved until the OIG determines they are resolved or closed.
- *Compliance Follow-up reviews.* ISP conducts compliance follow-up reviews on some posts, offices, and bureaus inspected. These reviews occur 6 to 18 months after the full inspection, and are designed to revisit key issues to ensure implementation of recommendations.

Office of Inspections Plans for FY 2014

Fall Cycle: October – November 2013

Bureau/ Office	Inspection	Compliance Follow-up Review	Location
EUR	✓		Embassy Budapest, Hungary
EUR	✓		Embassy Sofia, Bulgaria
NEA	✓		Embassy Abu Dhabi, United Arab Emirates
NEA	✓		Embassy Manama, Bahrain
WHA	✓		Embassy Bridgetown, Barbados
WHA	✓		U.S. Interests Section Havana, Cuba
WHA	✓		Embassy Panama City, Panama
WHA	✓		Embassy San Salvador, El Salvador
BBG	✓		Office of Cuba Broadcasting
CSO	✓		Bureau of Conflict and Stabilization Operations
EB	✓		Bureau of Economic and Business Affairs
BBG	✓		United Arab Emirates – Middle East Broadcasting Networks and Voice of America news bureaus

Winter Cycle: February – March 2014

Bureau/ Office	Inspection	Compliance Follow-up Review	Location
AF	✓		Embassy Asmara, Eritrea
AF	✓		Embassy Bujumbura, Burundi
AF	✓		Embassy Kampala, Uganda
AF	✓		Embassy Kigali, Rwanda
NEA	✓		Embassy Kabul and Constituent Posts, Afghanistan
WHA	✓		Embassy La Paz, Bolivia
WHA	✓		Embassy Lima, Peru
BBG	✓		Radio Free Afghanistan
ISN	✓		Bureau of International Security and Nonproliferation
AVC	✓		Bureau of Arms Control, Verification and Compliance
IIP		✓	International Information Programs
Remote Voucher Processing		✓	Remote Voucher Processing
BBG	✓		Kabul – Radio Free Europe/Radio Liberty (Radio Free Afghanistan), Voice of America (VOA Afghanistan) and IBB-Transmitting sites
BBG	✓		Burundi – Voice of America news bureau
BBG	✓		Rwanda – Voice of America news bureau

Spring Cycle: May – June 2014

Bureau/ Office	Inspection	Compliance Follow-up Review	Location
AF			Embassy Abidjan, Cote d'Ivoire
AF	✓		Embassy Bamako, Mali
AF	✓		Embassy Niamey, Niger
EUR	✓		Embassy Baku, Azerbaijan
EUR	✓		Embassy Tbilisi, Georgia
EUR	✓		Embassy Yerevan, Armenia
INL	✓		Bureau of International Narcotics and Law Enforcement Affairs
DS/IP	✓		Bureau of Diplomatic Security, Office of International Programs
CA/VO	✓		Bureau of Consular Affairs, Office of Visa Services
IRM/BMP/SPO	✓		Bureau of Information Resource Management, Business Management and Planning, Strategic Planning Office
BBG	✓		Greenville Transmitting Station – Greenville, North Carolina
BBG	✓		Armenia – Radio Free Europe/Radio Liberty and Voice of America news bureaus
BBG	✓		Azerbaijan – Radio Free Europe/Radio Liberty and Voice of America news bureaus
BBG	✓		Georgia – Radio Free Europe/Radio Liberty and Voice of America news bureaus
BBG	✓		Mali – Voice of America news bureau
BBG	✓		Niger – Voice of America news bureau

Office of Inspections Special Projects and Areas of Emphasis

The Office of Inspections also conducts targeted reviews based on congressional or Department requests, vulnerabilities, and concerns about high priority programs or issues. OIG establishes areas of emphasis for all inspection teams to cover during an inspection cycle or the entire fiscal year. Findings on the areas of emphasis are analyzed across inspections and allow inspectors to take a broader look at high priority issues. In some cases, summary reports are issued with recommendations to address thematic or global problems.

Planned Special Projects and Areas of Emphasis for FY 2014 include:

- Executive – Gift Acceptance Tracking
- Executive – Chief Of Mission Statements of Assurance on Management Controls
- Political/Economic – Reporting in the State Messaging and Archive Retrieval Toolkit
- Public Diplomacy – Social Media Guidance and Clearances
- Consular – Consular Section Eligible Family Member Employment
- Management – Regional Locally Employed Staff Position Classifications

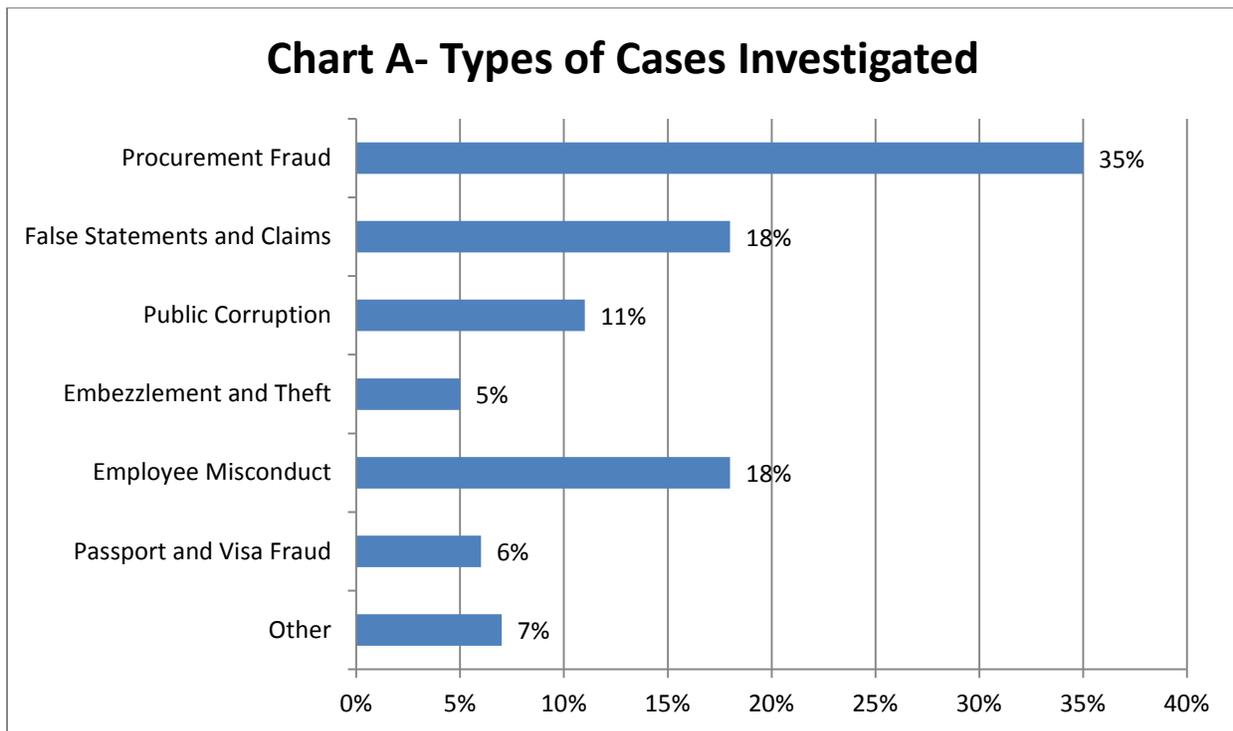
- Management – Contracting Officer Representative Activities to Prevent Trafficking In Persons on Department Contracts
- Information Technology – Information Technology Contract Oversight
- Security – Securing Fire Accelerants and other Weapons of Opportunity
- Multi-cone – Counterterrorism and Countering Violent Extremism Activities at Missions

Office of Investigations Overview

The Office of Investigations is committed to addressing allegations of fraud and misconduct in an independent and objective manner, by conducting investigations of criminal, civil, and administrative violations related to Department and BBG programs and operations, and by assisting the Department and BBG in preventing and detecting, fraud. OIG’s investigative activities are largely reactive and occur in locations around the world.

The results of investigations concerning employees or contractors suspected of violating federal statutes are referred to the Department of Justice for prosecutorial determination. Administrative violations are referred to the Department's Bureau of Human Resources and Bureau of Diplomatic Security for independent adjudicative action.

The types of violations investigated by OIG cover a wide range including procurement fraud, public corruption, embezzlement, false claims and false statements. Chart A below illustrates the types of cases investigated.



The Office of Investigations maintains a cooperative relationship with the Office of the Procurement Executive, to ensure information developed is appropriately shared in furtherance of administrative remedies such as suspension and/or debarment.

Office of Investigations Areas of Emphasis and Preventive Actions for FY 2014

The Office of Investigations' priority areas of investigation are procurement fraud and public corruption, particularly involving Middle East programs and operations. The Office of Investigations tends to be reactive in these areas; however, the office also proactively consults with stakeholders in the Department, the BBG and Congress regarding high-risk areas and management challenges, and appropriately adjusts investigative priorities. Certain programs and operations in the Department and the BBG are periodically identified as high priority or of importance, and investigative resources are concentrated in those areas. In FY 2014 priority will be given to additional oversight of procurement and other fiscal operations.

The Inspector General is charged with fraud prevention as well as detection. Toward this objective, the Office of Investigations can issue Fraud Alert Bulletins and Management Assistance Reports. Fraud Alert Bulletins are issued to all executive directors when an investigation identifies a systemic weakness that may impact multiple Department bureaus or offices. Management Assistance Reports are issued when a systemic weakness is identified in a bureau-specific program or operation. The reports are sent directly to the affected bureau or office with recommendations for corrective action.

The Office of Investigations also actively participates in an OIG Outreach Program to speak before a variety of Department groups and training classes in an effort to help employees identify indicators of fraud that should be referred to OIG. During FY 2013, the Office of Investigations conducted more than 50 outreach presentations to various Department groups and training classes involving well over 2,500 Department employees, including new ambassadors.

OIG Hotline

The Office of Investigations also maintains the OIG Hotline, a confidential channel for the receipt of complaints about violations of law or regulation, fraud, waste, abuse, or substantial and specific threats to public health and safety. Investigations conducted by OIG criminal investigators are usually initiated as a result of allegations received from the OIG Hotline, OIG Audit or Inspection teams, Department or BBG management or employees, Offices of Inspector

General of other agencies, the Congress, or the public. As necessary, the assistance of auditors, inspectors, and other experts may be enlisted in support of investigative operations.

Complaints to the OIG Hotline have generated numerous successful investigations resulting in criminal, civil, and administrative sanctions. In FY 2013, the Hotline received approximately 1,500 complaints. OIG recently refocused its Hotline collection and referral processes to more efficiently identify significant issues. Nevertheless, in FY 2014, OIG expects moderate growth in the number of Hotline complaints to approximately 1,700. Allegations may be reported to the Hotline by calling 202-647-3320 or 1-800-409-9926. Written information may be sent to the oighotline@state.gov or mailed to: Office of Inspector General Hotline, U.S. Department of State, Post Office Box 9778, Arlington, Virginia 22219-1778.

Abbreviations

The Work Plan refers to the following selected acronyms and abbreviations for terms and titles:

A	Bureau of Administration
AF	Bureau of African Affairs
AQM	Office of Acquisitions Management
AUD	Office of Audits
BBG	Broadcasting Board of Governors
CA	Bureau of Consular Affairs
CPA	Office of Congressional and Public Affairs
CSO	Bureau of Conflict and Stabilization Operations
CT	Coordinator for Counterterrorism
Department	Department of State
DRL	Bureau of Democracy, Human Rights, and Labor
DS	Bureau of Diplomatic Security
DS/ICI/CIF	Bureau of Diplomatic Security, Office of Investigations and Counterintelligence, Computer Investigations and Forensics Division
DS/ICI/CR	Bureau of Diplomatic Security, Office of Investigations and Counterintelligence, Criminal Investigations Division
DS/ICI/SID	Bureau of Diplomatic Security, Office of Investigations and Counterintelligence, Special Investigations Division
EAP	Bureau of East Asian and Pacific Affairs
ECA	Bureau of Educational and Cultural Affairs
EEB	Bureau of Economic, Energy, and Business Affairs

EUR	Bureau of European and Eurasian Affairs
EUR-IO/EX	Bureau of European and Eurasian Affairs and Bureau of International Organization Affairs Joint Executive Office
EX	Office of the Executive Director
FISMA	Federal Information Security Management Act
FSI	Foreign Service Institute
GCJ	Office of Global Criminal Justice
HR	Bureau of Human Resources
IBWC	International Boundary and Water Commission
IG	Inspector General
INL	Bureau of International Narcotics and Law Enforcement Affairs
INR	Bureau of Intelligence and Research
INV	Office of Investigations
IRM	Bureau of Information Resource Management
ISP	Office of Inspections
ISN	Bureau of International Security and Nonproliferation
KESF	Kabul Embassy Security Force
L	Office of the Legal Advisor
MED	Office of Medical Services
MEPI	Middle East Partnership Initiative
MERO	Middle East Regional Office
NEA	Bureau of Near Eastern Affairs
OBO	Bureau of Overseas Buildings Operations
OGC	Office of General Counsel
OIG	Office of Inspector General
PM	Bureau of Political-Military Affairs
PRM	Bureau of Population, Refugees and Migration
RM	Bureau of Resource Management
SCA	Bureau of South and Central Asian Affairs
SDLC	System Development Life Cycle
SI	Security and Intelligence Division
T	Under Secretary for Arms Control and International Security
WHA	Bureau of Western Hemisphere Affairs

