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United States Department of State

Washington, D.C. 20520

August 26, 1993

MEMORANDUM
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TO: All HA DAS's and Office Directors
FROM: John Shattuck *JS*
SUBJECT: Inspection Report

~~C. DeLoe~~
③ J McDonald
① G Luster
② B. Johnson

Please read +
pass on.

Attached is the final draft of the Inspection Report prepared on HA. Please ensure that all personnel in your area have access to the report.

The Bureau Program Plan submissions prepared by some of you are the first step in meeting the recommendations made by the inspectors. I have begun discussions with OES/EX on the implementation of other recommendations. I look forward to receiving your concrete suggestions and those of your staffs on the report.

As HA expands into DRL I am confident that with the active involvement of all Bureau personnel we can bring excellence and excitement to the performance of our new mission.

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OFFICE OF INSPECTOR GENERAL

INSPECTION OF THE BUREAU OF
HUMAN RIGHTS AND HUMANITARIAN AFFAIRS

KEY JUDGMENTS

-- The Bureau of Human Rights and Humanitarian Affairs (HA) is undergoing a period of uncertainty and transition into a new Bureau of Democracy, Human Rights and Labor Affairs (DRL), incorporating the Secretary's Senior Adviser for International Labor Affairs (S/IL) which was not inspected. A new Assistant Secretary was sworn in on July 16, 1993, and is now responsible for completing the transition. DRL is part of a new structure intended to fulfill the goals of the third plank of the President's foreign policy platform, promoting democracy, freedom, and human and workers' rights. (p. 1)

-- A lively policy debate is underway whether DRL should assume full responsibility for coordinating and overseeing all U.S. Government democracy-building activities and projects, such as the inter-agency administration of justice programs. To do so would reflect the Department's traditional role of policy guidance and coordination in foreign affairs. Because DRL has limited resources, it should relinquish the administration of specific projects such as its "rule of law" activities to agencies and organizations better equipped to manage them. (p. 14)

-- Virtually all respondents in the inspection pointed to the need to improve HA's internal management, effectiveness in the foreign affairs arena, and communications with principals of the Department. As the bureau assumes new responsibilities, its internal management and bureaucratic traction must be enhanced, or the State Department may lose policy leadership on these issues to other agencies and non-governmental organizations which are gearing up for them with money and political clout. (p.3)

-- A Presidential Review Directive (PRD) on promotion of democracy, which would specify roles and missions for the foreign affairs agencies in this field met interagency opposition, and is again, as of this writing, being re-drafted. HA should seize the initiative now to lead a Department-wide "all-court" press to get this important

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document completed and approved. (p. 7)

-- Partly based on the PRD, HA should formulate (for DRL) a bureau program plan and planning process reflecting all its missions and responsibilities including human rights and labor matters. This plan should be geared to policy formulation and guidance, with priority to a smaller number of achievable objectives and target countries. Making sure important "traditional functions," such as preparation of country reports, do not get submerged by the new democracy promotion activities in the larger arena, HA should be careful to lead and mobilize non-governmental organizations but not duplicate their activities or serve as their advocate in policy councils. (p. 39)

-- HA's management controls do not provide adequate protection against waste, fraud, and mismanagement. HA has not complied with Department requirements for a formal management control system or for designating a senior bureau manager as the management controls coordinator. (p. 38)

-- HA did not, as required by regulation, conduct a management risk assessment of bureau operations prior to the inspection. In addition, from 1989 to 1992 HA solicited private funds under Department auspices without adequate legal counsel and record-keeping. (p. 38)

-- In the past the bureau improperly used consultants for management and policy rather than as advisors. The inspection recommended that consultant use be sharply limited and that consultants should not represent the bureau in conducting official business or exert de facto supervision over bureau officials. (p. 39)

-- The asylum office needs better support than HA can provide. Pending legislative changes in asylum policy and procedures could overwhelm the resources of the office and divert the bureau's limited resources from their main human rights tasks. The asylum office fulfills an important function providing advisory opinions to the Immigration and Naturalization Service (INS) and should be moved to the Bureau for Refugee Programs (RP) where it can be better supported. DRL should continue to provide human rights advice to the asylum function. (p. 28)

-- Because HA lacks its own executive office (EX) and is too small to establish one, special arrangements are recommended to ensure that the executive office tasked to provide it with management advice and administrative support

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rises to the challenge, while the idea of unifying administrative services for the new global affairs unit is studied. The bureau particularly needs an experienced Foreign Service officer as staff assistant to manage paper-flow within the bureau, between the bureau and the rest of the Department, and especially with the Executive Secretariat. (p. 34, 37)

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STANDARDS FOR INSPECTION

This inspection was conducted in accordance with the standards set out in the Quality Standards for Inspections, as issued by the President's Council on Integrity and Efficiency, and the Inspectors' Handbook, Office of the Inspector General, United States Department of State..

Objective

The objective of this inspection is to provide the Secretary of State with systematic and independent evaluations of the operations of the Department, its posts abroad, and related activities.

Scope

The primary scope of this inspection is to determine:

- whether policy goals and objectives are being formulated correctly and carried out effectively, whether U.S. interests are being accurately and effectively represented, and whether all elements of an office or mission are being adequately coordinated;
- whether resources are being used and managed with maximum efficiency, effectiveness, and economy;
- 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, whether adequate steps for detection, correction, and prevention have been taken.

Methodology

In conducting this inspection, the inspectors reviewed pertinent records in the Department, and elsewhere; as appropriate, circulated, reviewed, and compiled the results of survey instruments; conducted on-site interviews with personnel at the overseas missions, in the Department and elsewhere; reviewed the substance of the reports and its findings and recommendations with offices, organizations, and activities affected by this review.

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The inspection took place in Washington, D.C. from July 12 to August 12, 1993, and was performed by senior inspectors Richard C. Howland (team leader) and Harrell K. Fuller and inspector Sylvia J. Bazala.

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TABLE OF CONTENTS

	<u>Page Number</u>
KEY JUDGMENTS	i
 <u>SECTION</u>	
I. POLICY IMPLEMENTATION	1
Setting	1
HA's Past Performance	4
The PRD on Promoting Democracy	7
Relations Within the Department	9
Relations Outside the Department	10
DRL'S Future Policy Implementation Issues	12
II. RESOURCE MANAGEMENT	16
Overview	16
Front Office Management	18
Office of Policy, Programs, Public Diplomacy, and Legislation	22
Office of Multilateral Affairs (MLA)	23
Office of Bilateral Affairs (BA)	25
Human Rights Country Reports	26
The Asylum Affairs Office	28
Assessment of Administrative Support	33
Employee Morale and Productivity	35
Office Space	36
Paperflow Management	36
III. MANAGEMENT CONTROLS	38
IV. FINDINGS AND RECOMMENDATIONS	42
V. PRINCIPAL OFFICIALS	70
VI. LIST OF ABBREVIATIONS	71

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