

# **FY 2020 OMB Supplemental Data Call**

## **Nuclear Regulatory Commission (NRC)**

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## **Agency-Wide Responses**

### **Question 2: Detecting and Recovering Improper Payments (PIIA Section: 3352(e), 3352(e) (1))**

*Please describe the steps the agency has taken to detect and recover improper payments.*

**ANSWER:**

<b>Indicate root cause</b>	<b>Indicate mitigation strategy/corrective action(s) taken</b>	<b>Provide any additional detail (optional free text)</b>	<b>Select the actual completion date for action(s) taken</b>
14. Other	6-Audit (improve IC)	Audits of travel vouchers that may result in improper payments are ongoing.	FY2020 Q3

### **Question 2 Free Text: Detecting and Recovering Improper Payments (PIIA Section: 3352(e), 3352(e) (1))**

*Based on your selection(s) above, provide additional information below. Please note there is a 3000 character limit.*

**ANSWER:** Most of the improper payments for 2020 were overpayments for travel vouchers. The error was discovered once the voucher was audited but the employee was already paid. Most travel vouchers are processed automatically through the system. Treasury ARC processes our TDY travel.

### **Question 3: Recovery Audits (PIIA Section: 3352)**

*Please describe the steps the agency has taken to recover improper payments identified in recovery audits. Please note there is a 3000 character limit.*

**ANSWER:** Based on no improper payments being found in the A-123 Appendix C risk assessment at the NRC and the substantial cost of conducting recapture audits, the Agency determined that recovery or recapture audits are not cost effective.

### **Question 4: Excluded Programs (PIIA Section: 3352(e) (7))**

*Please list any programs the agency excluded from review under its payment recapture audit program because a payment recovery audit program was determined to not be cost-effective and provide a summary of the justification used to make that determination. Please note there is a 3000 character limit.*

**ANSWER:** Based on no improper payments being found in the A-123 Appendix C risk assessment at the NRC and the substantial cost of conducting recapture audits, the Agency determined that recovery or recapture audits are not cost effective. Therefore all six programs, commercial payments, grants, employee payments, payroll, purchase cards and travel cards were excluded from payment recapture audits.

### **Question 5: Financial and Administrative Controls (PIIA Section: 3357(d))**

*Please describe your agency's progress:*

- *Implementing the financial and administrative controls established by OMB in OMB Circular A-123 to identify and assess fraud risks and design and implement control activities in order to prevent, detect, and respond to fraud, including improper payments; the fraud risk principle in the Standards for Internal Control in the Federal Government published by the Government Accountability Office*

(commonly known as the "Green Book"); and Office of Management and Budget Circular A-123, with respect to the leading practices for managing fraud risk;

- Identifying risk and vulnerabilities to fraud, and
- Establishing strategies, procedures, and other steps to curb fraud.

**ANSWER:**

<b>Implementation of OMB Circular A-123</b>	<b>Implementation of GAO Green Book</b>	<b>Identifying Risk and Vulnerabilities</b>	<b>Establishing Strategies, Procedures and Other steps</b>
2 – Established	2 – Established	2 – Established	2 – Established

**Question 6 Free Text: Statutory Thresholds and Risk Assessments (PIIA Section: 3352(a) (3) (C))**

*Based on your selection(s) above, provide additional information below. Please note there is a 3000 character limit.*

**ANSWER:** All six programs commercial payments, grants, employee payments, payroll, purchase cards and travel cards were included in the most recent risk assessment conducted in 2020.

## **Agency Reporting**

### **Question 12: Inspector General Compliance (PIIA Section: 3352(f) (2) (A) and (B); 3353(b) (1) (A); 3353(b) (5))**

*Please indicate which of the six (6) criteria (if any) were determined to be non-compliant in the most recent IG compliance review.*

#### **ANSWER:**

<b>Indicate compliant or non-compliant</b>	<b>Compliance criteria</b>
Compliant	1. Publish an AFR or PAR
Compliant	2. Conduct Program-Specific Risk Assessment

### **Question 12 Free Text: Inspector General Compliance (PIIA Section: 3352(f) (2) (A) and (B); 3353(b) (1) (A); 3353(b) (5))**

*Based on your selection(s) above, provide additional information below. Please note there is a 3000 character limit.*

**ANSWER:** The results of the FY 2020 risk assessment did not identify any programs that were susceptible to making significant improper payments. Therefore, NRC must conduct a risk assessment every three years and publish results in the AFR. The NRC was determined to be compliant with compliance criteria 1 and 2, compliance criteria 3-6 are not applicable.

### **Question 13 Free Text: Inspector General Compliance (PIIA Section: 3352(f) (2) (A) and (B); 3353(b) (1) (A); 3353(b) (5))**

*Based on your selection(s) above, provide additional information below. Please note there is a 3000 character limit.*

**ANSWER:** The NRC was determined to be compliant.

### **Question 14 Free Text: Bringing the program into compliance (PIIA Section: 3353(b) (5))**

*Based on your selection(s) above, provide additional information below. Please note there is a 3000 character limit.*

**ANSWER:** The NRC was determined to be compliant.

### **Question 15 Free Text: Creating accountability to achieve compliance (PIIA Section: 3353(b) (1) (B))**

*Based on your selection(s) above, provide additional information below. Please note there is a 3000 character limit.*

**ANSWER:** The NRC was determined to be compliant.

### Question 16: Do Not Pay Initiative (PIIA Section: 3354(b) (5))

*Please indicate whether the program uses the DNP (yes/no) and whether the Do Not Pay Initiative has reduced/prevented improper payments (yes/no). Additionally, please provide the frequency of corrections (week/month range) or identification of incorrect information (range of false hits?).*

**ANSWER:**

<b>Does the program use the Do Not Pay Initiative (DNP) (yes/no)</b>	<b>Has the DNP reduced/prevented improper payments (yes/no)</b>	<b>How frequently are corrections made?</b>	<b>How frequently is incorrect information identified?</b>
YES	NO	Quarterly	Quarterly

### Question 16 Free Text: Do Not Pay Initiative (PIIA Section: 3354(b) (5))

*Based on your selection(s) above, provide additional information below. Please note there is a 3000 character limit.*

**ANSWER:** Issues are corrected as we get them but we selected a frequency of quarterly since the information is identified quarterly. Most of the improper payments identified do not come DNP.