



OFFICE OF THE
INSPECTOR GENERAL

UNITED STATES
NUCLEAR REGULATORY COMMISSION
WASHINGTON, D.C. 20555-0001

August 11, 2020

MEMORANDUM TO: Margaret M. Doane
Executive Director for Operations

FROM: Dr. Brett M. Baker */RA/*
Assistant Inspector General for Audits

SUBJECT: STATUS OF RECOMMENDATIONS: AUDIT OF THE
NUCLEAR REGULATORY COMMISSION'S GRANTS
ADMINISTRATION AND CLOSEOUT (OIG-19-A-21)

REFERENCE: DEPUTY EXECUTIVE DIRECTOR FOR MATERIALS,
WASTE, RESEARCH, STATE, TRIBAL, COMPLIANCE,
ADMINISTRATION AND HUMAN CAPITAL PROGRAMS,
MEMORANDUM DATED MAY 29, 2020

Attached is the Office of the Inspector General's (OIG) analysis and status of recommendations as discussed in the agency's response dated May 29, 2020. Previously, recommendation 2 was closed. Based on this response, recommendations 1, 3, and 5 through 9 from this report are closed and recommendation 4 is open and resolved. Please provide a status update for the open, resolved recommendation by December 31, 2020.

If you have questions or concerns, please call me at (301) 415-5915, or Vicki Foster, Team Leader, at (301) 415-5909.

Attachment: As stated

cc: C. Haney, OEDO
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RidsEdoMailCenter Resource
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Audit Report

AUDIT OF NRC'S GRANTS ADMINISTRATION AND CLOSEOUT

OIG-19-A-21

Status of Recommendations

Recommendation 1: Update the Nuclear Regulatory Commission (NRC) Grants Management Certification and Training Program guidance to include: (1) instructions for recording completed training, (2) management's responsibility for monitoring training, and (3) the addition of ASAP training as a core course for grant management professionals.

Agency Response Dated
May 29, 2020:

Completed. The Grants Management Certification and Training program has been updated to include all the areas identified in the recommendation. Training and certification for grants is now being recorded and tracked in the Federal Acquisition Institute Training Application System (FAITAS). FAITAS tracks certification completion and requires management approval of completed courses and certification renewal requests.

OIG Analysis:

OIG reviewed and analyzed the Grants Management Certification and Training Program guidance and agrees that the guidance included instructions for recording completed training, management's responsibility for monitoring training, and the addition of ASAP training as a core course for grant management professionals. This recommendation is now closed.

Status:

Closed.

Audit Report

AUDIT OF NRC'S GRANTS ADMINISTRATION AND CLOSEOUT

OIG-19-A-21

Status of Recommendations

Recommendation 3: Continue and finalize the transition to electronic files implementing a checklist for completeness.

Agency Response Dated
May 29, 2020:

Completed. FY 2019 grant awards and associated documentation are completely electronic, and a checklist for completeness is included in each electronic file. Documentation from grant files that were previously partially paper and partially electronic have been scanned and uploaded to Strategic Acquisition System.

OIG Analysis:

OIG reviewed a sample of grant files and verified the transition to electronic files implemented a checklist for completeness. Therefore, this recommendation is closed.

Status:

Closed.

Audit Report

AUDIT OF NRC'S GRANTS ADMINISTRATION AND CLOSEOUT

OIG-19-A-21

Status of Recommendations

Recommendation 4: Implement knowledge management procedures such as maintaining an accurate succession planning document and desk procedures for grant functions.

Agency Response Dated
May 29, 2020:

In progress. Office of Administration and Office of Nuclear Regulatory Research are developing succession planning documents and desk procedures for grant functions.

Target Completion Date: June 30, 2020

Point of Contact: Monique Williams, (301) 415-6971

OIG Analysis:

The proposed actions meet the intent of this recommendation. This recommendation will be closed when OIG verifies knowledge management procedures for grants administration have been implemented.

Status:

Open: Resolved.

Audit Report

AUDIT OF NRC'S GRANTS ADMINISTRATION AND CLOSEOUT

OIG-19-A-21

Status of Recommendations

Recommendation 5: Coordinate the review of performance progress reports and Federal financial reports.

Agency Response Dated
May 29, 2020:

Completed. Grant files have been updated to ensure that the Federal financial reports are available in STAQS.

OIG Analysis:

OIG reviewed a sample of grant files and the files have progress reports and Federal finance reports, which can be coordinated and reviewed. Therefore, this recommendation is closed.

Status:

Closed.

Audit Report

AUDIT OF NRC'S GRANTS ADMINISTRATION AND CLOSEOUT

OIG-19-A-21

Status of Recommendations

Recommendation 6: Increase accountability for grant functions by adding grant duties to performance elements and standards.

Agency Response Dated
May 29, 2020:

Completed. Grant duties were included in FY2020 performance elements and standards for ADM and RES employees, as applicable.

OIG Analysis:

OIG reviewed FY2020 performance elements and standards for RES and ADM employees and concluded that the elements and standards meet the intent of this recommendation. This recommendation is now closed.

Status:

Closed.

Audit Report

AUDIT OF NRC'S GRANTS ADMINISTRATION AND CLOSEOUT

OIG-19-A-21

Status of Recommendations

Recommendation 7: Train all employees who perform grant duties on closeout processes in the computer grants management systems, including proper completion of the grant closeout checklist, management monitoring of checklist use, and evaluation of results.

Agency Response Dated
May 29, 2020:

Completed. On December 17, 2019, all employees who perform grant closeouts received refresher training on the use of STAQS to close out grant awards, including the proper completion of the grant closeout checklist. Management also received training on monitoring use of the checklist during the grant closeout process.

OIG Analysis:

OIG verified that a refresher training for staff and management has been conducted and included proper completion of the grant closeout checklist, management monitoring of checklist use, and evaluation of results. Therefore, this recommendation is closed.

Status:

Closed.

Audit Report

AUDIT OF NRC'S GRANTS ADMINISTRATION AND CLOSEOUT

OIG-19-A-21

Status of Recommendations

Recommendation 8: Develop interim guidance to eliminate existing guidance in MD 11.6 concerning issuance of modifications in lieu of new grants.

Agency Response Dated
May 29, 2020: Completed. On December 31, 2019, ADM issued interim guidance to eliminate existing guidance in MD 11.6 concerning issuance of modifications in lieu of new grants.

OIG Analysis: OIG reviewed the December 31, 2019 interim guidance that eliminates existing guidance concerning issuance of modifications in lieu of new grants. Therefore, this recommendation is closed.

Status: Closed.

Audit Report

AUDIT OF NRC'S GRANTS ADMINISTRATION AND CLOSEOUT

OIG-19-A-21

Status of Recommendations

Recommendation 9: Develop and implement a grants closeout plan to include:

- a. Measurable metrics for deobligation of funds.
- b. Procedures for identifying and closing expired grants.
- c. Method(s) to address closing grants with modifications that have period of performance end dates that are different from the original grant.

Agency Response Dated
May 29, 2020:

Completed. ADM has developed and implemented a grants closeout plan that includes measurable metrics for de-obligation of funds, procedures for identifying and closing expired grants, and method(s) to address closing grants with modifications that have period of performance end dates that are different from the original grant.

OIG Analysis:

OIG reviewed and analyzed the grants closeout plan and concluded that the plan meets the intent of this recommendation. This recommendation is now closed.

Status:

Closed.