



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

July 7, 2021

MEMORANDUM TO: Eric Rivera
Acting Assistant Inspector General for Audits

FROM: Darrell J. Roberts */RA/*
Deputy Executive Director for Materials, Waste,
Research, State, Tribal, Compliance, Administration,
and Human Capital Programs
Office of the Executive Director for Operations

SUBJECT: STAFF RESPONSE TO THE OFFICE OF INSPECTOR
GENERAL'S AUDIT OF NRC'S GRANTS PRE-AWARD AND
AWARD PROCESSES (OIG-21-A-11)

The staff has received the Office of Inspector General's (OIG) report for Audit OIG-21-A-11, "Audit of NRC's Grants Pre-Award and Award Processes," dated June 8, 2021. This memorandum provides the staff's responses to four OIG recommendations. Each staff response includes the staff's planned actions and target dates for completion.

Recommendation 1:

Revise agency policies to require:

- A. A review of applicants' geographic diversity, diversity in technical disciplines, prior award performance issues, number of prior NRC awards, and current unexpended grant funds, include the NRC staff responsible for the review, and
- B. A review of the NRC's suspended Automated Standard Application for Payments account list to determine applicants' performance histories, including the NRC staff responsible for the review.

Response:

Agree. The Office of Administration (ADM) will update agency policies to require 1) a review of applicants' geographic diversity, diversity in technical disciplines, prior award performance issues, number of prior NRC awards, and current unexpended grant funds, include the NRC staff responsible for the review, and 2) a review of the NRC's suspended Automated Standard Application for Payments account list to determine applicants' performance histories, including the NRC staff responsible for the review.

Target Completion Date: December 31, 2021

Point of Contact: Jill Daly, 301-415-8079

Recommendation 2:

Develop agency guidance for when to use additional and specific conditions into grant agreements for awardees that have prior inconsistent application of grant requirements.

Response:

Agree. The Office of Administration will develop agency guidance for when to use additional and specific conditions into grant agreements for awardees that have prior inconsistent application of grant requirements.

Target Completion Date: December 31, 2021

Point of Contact: Jill Daly, 301-415-8079

Recommendation 3:

Implement a requirement whereby the grant application shall require the validation of citizenship status or lawful admittance to the United States as a permanent resident, for individuals proposed in the grant application.

Response:

Agree. The FY2021 Funding Opportunity Announcement (FOA) included language requiring applicants to self-certify their citizenship status and/or admission to the United States as a permanent resident. The citizenship requirements clause in the FOA also states that the NRC reserves the right to take any number of administrative actions (e.g., disallow costs, termination) should the recipient violate their responsibility under this clause.

Completed: March 2021

Point of Contact: M'Lita Carr, 301-415-6869

Recommendation 4:

Develop and implement a process to ensure all grant documents and records are uploaded to the appropriate electronic repository.

Response:

Agree. All grant awards and associated documentation are completely electronic, and beginning in FY2019, 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 STAQS.

Completed: May 2019

Point of Contact: M'Lita Carr, 301-415-6869

DISTRIBUTION: OEDO-21-00269-ADM

PUBLIC

NStevenson, ADM

MWilliams, ADM

JJolicoeur, OEDO

RidsEdoMailCenter Resource

RidsAdmMailCenter Resource

RidsResOd Resource

RidsOigMailCenter Resource

RidsSecyMailCenter Resource

ADAMS Accession No.: ML21172A135

***e-concurrence**

OFFICE	ADM/AMD/APPSD/BC*	RES/PMDA/D*	ADM/AMD/D*
NAME	JDaly	MBrezovec	EJernell
DATE	6/21/2021	6/21/2021	6/25/2021
OFFICE	ADM/DD*	ADM/D*	DEDM*
NAME	JCorbett	JGolder	DRoberts
DATE	6/29/2021	6/30/2021	7/08/2021

OFFICIAL RECORD COPY