

## **FY 2020 OMB Supplemental Data Call**

### **NTSB**

#### **NTSB Agency Reporting**

##### **Question 1 Free Text: Annual Performance Appraisal Criteria (PIIA Section: 3352(d) (5) (A) and (B))**

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

Not Applicable to NTSB

##### **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.*

*NTSB developed a risk assessment process to determine if the agency is susceptible to significant improper proper payments. Based on the risk assessment, it was determined that NTSB is low risk and doesn't meet the criteria for susceptibility to significant improper payments for FY 2020. NTSB will perform another risk assessment in FY 2023.*

##### **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.*

*It is not cost effective to perform recovery audits to recover improper payments. However, NTSB performs continuous reviews of travel voucher, purchase card payments and invoice reviews to ensure that the payments are appropriate. If an over payment is identified, NTSB arranges for a repayment from the traveler or the vendor.*

##### **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.*

*NTSB did not exclude any programs from its payment recapture audit program.*

##### **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.*

<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>
1 – In Beginning Stages	1 – In Beginning Stages	1 – In Beginning Stages	1 – In Beginning Stages

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

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

*NTSB ensures that payments to employees and vendors have sufficient review and approval processes to ensure that the amount approved to be paid is valid for the good or services received. Operations Bulletins and Standard Operating Procedures are in place to ensure processes are followed, including regular reviews of the transactions are performed to validate the accuracy of the payment.*

**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.*

*All NTSB programs were part of the risk assessment process.*

**Question 7 Free Text: Improper Payment Rate Reduction (PIIA Section: 3352(d) (2))**

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

Not Applicable to NTSB

**Question 8 Free Text: Tolerable Rate**

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

Not Applicable to NTSB

**Question 9 Free Text: Internal Controls, Human Capital, Information Systems and other Infrastructure and Program Needs (PIIA Section: 3352(d) (2) (A) through (C)3352(d) (3))**

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

Not Applicable to NTSB

**Question 10 Free Text: Corrective Actions Taken (PIIA Section: 3352(d) (1))**

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

Not Applicable to NTSB

**Question 11 Free Text: Corrective Actions to be Taken (PIIA Section: 3352(d) (1))**

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

Not Applicable to NTSB

**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.*

*Not applicable. An OIG Review has not been performed on the NTSB Improper Payments process and procedures. No programs have been deemed as non-compliant.*

**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.*

*Not applicable. An OIG Review has not been performed on the NTSB Improper Payments process and procedures. No programs have been deemed as non-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.*

*Not applicable. An OIG Review has not been performed on the NTSB Improper Payments process and procedures. No programs have been deemed as non-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.*

*Not applicable. An OIG Review has not been performed on the NTSB Improper Payments process and procedures. No programs have been deemed as non-compliant.*

**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.*

*NTSB uses the Interior Business Center (IBC) as our financial service provider. IBC utilizes the Do Not Pay (DNP) lists prior to payments being authorized for processing. To date, IBC has not identified any improper payments or false hits based on DNP for NTSB.*

*NTSB also uses the Do Not Pay lists prior to final signing of contracts.*