FY 2020 OMB Supplemental Data Call

DOE

DOE Agency Reporting

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.

Indicate root cause	Indicate mitigation strategy/corrective action(s) taken	Provide any additional detail (optional free text)	Select the actual completion date for action(s) taken
1. Program Design or Structural Issue	1-Automation	Improper Payment and Fraud control indicators were added to newly automated Internal Controls program.	FY2020 Q1
1. Program Design or Structural Issue	3-Training (how to complete contracts)	Department-wide training was conducted	FY2020 Q1
1. Program Design or Structural Issue	4-Change Process (instructions, checklist, policy)	Implemented a Fraud Framework working group to develop consistent methodologies and share successes and best practices within our largest integrated contractors.	FY2020 Q1
1. Program Design or Structural Issue	5-Cross Enterprise Sharing	Implemented a Fraud Framework working group to develop consistent methodologies and share successes and best practices within our largest integrated contractors.	FY2020 Q1
2. Inability to Authenticate Eligibility: Inability to Access Data	1-Automation	Successfully completed trials with Treasury's Do Not Pay services for Department's Integrated Contractors. Currently implementing across the remaining	FY2020 Q3

Indicate root cause	Indicate mitigation strategy/corrective action(s) taken	Provide any additional detail (optional free text)	Select the actual completion date for action(s) taken
		Integrated Contractors.	
2. Inability to Authenticate Eligibility: Inability to Access Data	4-Change Process (instructions, checklist, policy)	Successfully completed trials with Treasury's Do Not Pay services for Department's Integrated Contractors. Currently implementing across the remaining Integrated Contractors.	FY2020 Q3
2. Inability to Authenticate Eligibility: Inability to Access Data	5-Cross Enterprise Sharing	Successfully completed trials with Treasury's Do Not Pay services for Department's Integrated Contractors. Currently implementing across the remaining Integrated Contractors.	FY2020 Q3
4. Failure to Verify: Death Data	1-Automation	Successfully completed trials with Treasury's Do Not Pay services for Department's Integrated Contractors. Currently implementing across the remaining Integrated Contractors.	FY2020 Q3
4. Failure to Verify: Death Data	4-Change Process (instructions, checklist, policy)	Successfully completed trials with Treasury's Do Not Pay services for Department's Integrated Contractors. Currently implementing across the remaining Integrated Contractors.	FY2020 Q3
4. Failure to Verify: Death Data	5-Cross Enterprise Sharing	Successfully completed trials with Treasury's Do Not Pay services for Department's Integrated Contractors. Currently implementing across the remaining Integrated Contractors.	FY2020 Q3
5. Failure to Verify:	6-Audit (improve IC)	Ongoing	Other

Indicate root cause	Indicate mitigation strategy/corrective action(s) taken	Provide any additional detail (optional free text)	Select the actual completion date for action(s) taken
Financial Data			
6. Failure to Verify: Excluded Party Data	1-Automation	Successfully completed trials with Treasury's Do Not Pay services for Department's Integrated Contractors. Currently implementing across the remaining Integrated Contractors.	FY2020 Q3
6. Failure to Verify: Excluded Party Data	4-Change Process (instructions, checklist, policy)	Successfully completed trials with Treasury's Do Not Pay services for Department's Integrated Contractors. Currently implementing across the remaining Integrated Contractors.	FY2020 Q3
6. Failure to Verify: Excluded Party Data	5-Cross Enterprise Sharing	Successfully completed trials with Treasury's Do Not Pay services for Department's Integrated Contractors. Currently implementing across the remaining Integrated Contractors.	FY2020 Q3
7. Failure to Verify: Prisoner Data	1-Automation	Successfully completed trials with Treasury's Do Not Pay services for Department's Integrated Contractors. Currently implementing across the remaining Integrated Contractors.	FY2020 Q3
7. Failure to Verify: Prisoner Data	4-Change Process (instructions, checklist, policy)	Successfully completed trials with Treasury's Do Not Pay services for Department's Integrated Contractors. Currently implementing across the remaining Integrated Contractors.	FY2020 Q3
7. Failure to Verify:	5-Cross Enterprise	Successfully completed trials	FY2020 Q3

Indicate root cause	Indicate mitigation strategy/corrective action(s) taken	Provide any additional detail (optional free text)	Select the actual completion date for action(s) taken
Prisoner Data	Sharing	with Treasury's Do Not Pay services for Department's Integrated Contractors. Currently implementing across the remaining Integrated Contractors.	
8. Failure to Verify: Other Eligibility Data (explain)	6-Audit (improve IC)	ongoing	Other
9. Administrative or Process Errors Made by: Federal Agency	1-Automation	Improper Payment control indicators were added to newly automated Internal Controls program	FY2020 Q1
9. Administrative or Process Errors Made by: Federal Agency	3-Training (how to complete contracts)	Department-wide training was conducted.	FY2020 Q1
9. Administrative or Process Errors Made by: Federal Agency	4-Change Process (instructions, checklist, policy)	Improper Payment control indicators were added to newly automated Internal Controls program.	FY2020 Q1
9. Administrative or Process Errors Made by: Federal Agency	5-Cross Enterprise Sharing	Improper Payment control indicators were added to newly automated Internal Controls program.	FY2020 Q1
10. Administrative or Process Errors Made by: State or Local Agency	6-Audit (improve IC)	Ongoing	Other
10. Administrative or Process Errors Made by: State or Local Agency	6-Audit (improve IC)	Ongoing	Other
13. Insufficient Documentation to	1-Automation	Improper Payment control indicators were added to	FY2020 Q1

Indicate root cause	Indicate mitigation strategy/corrective action(s) taken	Provide any additional detail (optional free text)	Select the actual completion date for action(s) taken
Determine		newly automated Internal Controls program.	
13. Insufficient Documentation to Determine	3-Training (how to complete contracts)	Department-wide training was conducted.	FY2020 Q1
13. Insufficient Documentation to Determine	4-Change Process (instructions, checklist, policy)	Improper Payment control indicators were added to newly automated Internal Controls program.	FY2020 Q1
13. Insufficient Documentation to Determine	5-Cross Enterprise Sharing	Improper Payment control indicators were added to newly automated Internal Controls program.	FY2020 Q1

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.

See detail in table above.

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.

The Department achieves over 90% recapture rate of identified Improper Payments by leveraging existing sources and activities identified below to meet reporting requirements:

 A payment recovery audit program would duplicated the above efforts.

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

No programs were excluded. See question 3 for why a payment recovery audit program was determined to not be cost-effective.

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.*

Implementation of OMB Circular A-123	Implementation of GAO Green Book	Identifying Risk and Vulnerabilities	Establishing Strategies, Procedures and Other steps
3 – Fully Operational	2 – Established	2 – Established	3 – Fully Operational

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.

Not Applicable.

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.

Indicate compliant or non-compliant	Compliance criteria
Compliant	1. Publish an AFR or PAR
Compliant	2. Conduct Program-Specific Risk Assessment
Compliant	6. Report a gross Improper Payment Rate of Less than 10%

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 - The Department was compliant in the last fiscal year

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 - The Department was compliant in the last fiscal year

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?).

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