

*FY 2005 Management Control
Action Officer Training*



May 10, 2005

FY 2004 Significant Issues

Results of FY 2004 QA Review

3	Results of the FY 2004 IG Review
4	FY 2005 Year-End Reporting Guidance
5	FY 2005 Hot Topics
6	Other Management Challenges Facing the Department
7	Tracking Significant Issue Action Plans
8	Management Assessment of Internal Control over Financial Reporting (OMB Circular A-123)
9	
10	
11	

**FY 2005 MANAGEMENT
CONTROL ACTION
OFFICER TRAINING**

**SIGNIFICANT
ISSUES**

Background

- ❖ FMFIA requires the Secretary to annually identify material weaknesses
- ❖ Based on 2002 OMB request to reassess Department-level FMFIA reporting, DICARC determined DOE had no FMFIA material weaknesses
- ❖ DOE is addressing the following 9 Significant Issues

ENVIRONMENTAL CLEANUP

Previously Titled, “Environmental Standards and Stewardship.”

- ❖ **Responsible Organization:** Environmental Management
- ❖ **Challenge:** There are significant long-term compliance and waste management problems at the Department’s facilities due to past operations that left risks to the environment. Even though these issues resulted from earlier activities conducted in a different atmosphere and under less stringent standards than today, the Department is committed to maintaining compliance with current environmental laws and agreements.
- ❖ **Reporting carried over from prior year.**

NUCLEAR WASTE DISPOSAL

- ❖ **Responsible Organization:** Office of Civilian Radioactive Waste Management
- ❖ **Challenge:** A repository for the Nation's spent nuclear fuel and high-level radioactive waste has not been opened as required by the Nuclear Waste Policy Act. Delays in milestones and revisions to cost and schedule baselines have been required as a result of funding shortfalls. A mechanism needs to be established to assure the necessary funding is available to lead to waste acceptance.
- ❖ **Reporting carried over from prior year.**

INFORMATION TECHNOLOGY MANAGEMENT

- ❖ **Responsible Organization:** Office of the Chief Information Officer
- ❖ **Challenge:** The Department has a decentralized approach to information technology management, limited control by the Chief Information Officer in the budgeting process, and lack of an information technology baseline to guide management decisions. These problems have impeded the Department's ability to effectively manage its information technology resources.
- ❖ **Reporting carried over from prior year.**

OVERSIGHT OF CONTRACTORS

Expansion of Significant Issue Titled, “Contract Management.”

- ❖ **Responsible Organization:** EM, NNSA and SC
- ❖ **Challenge:** Improvements are needed in the oversight of contractors managing and operating the Department’s facilities. Specific oversight problems have been identified at environmental cleanup sites and laboratories conducting national security and scientific activities. Adequate oversight is needed to assure that contractor operations are effective and efficient.
- ❖ **Reporting carried over from prior year.**

SECURITY

Previously Titled, "Security and Counterintelligence."

- ❖ **Responsible Organizations:** SSA, CIO and OMBE
- ❖ **Challenge:** Unprecedented security challenges have evolved since the events of September 11, 2001. The need for improved homeland defense, highlighted by the threats of terrorism and weapons of mass destruction, created new and complex security issues that must be surmounted to ensure the protection of our critical energy resources and infrastructure. These have made it necessary for the Department to reassess and strengthen its physical and cyber security postures.
- ❖ **Reporting carried over from prior year.**

PROJECT MANAGEMENT

- ❖ **Responsible Organizations:** NNSA, EM, SC and OMBE
- ❖ **Challenge:** The Department needs to improve discipline and structure in approving and controlling program and baseline changes to projects and needs a Department-wide approach to certify project managers at pre-determined skill levels to ensure competent management oversight of resources. In addition, it was determined that the Department needs stronger policies and controls to ensure that ongoing projects are reevaluated frequently in light of changing missions.
- ❖ **Reporting carried over from prior year.**

HUMAN CAPITAL MANAGEMENT

- ❖ **Responsible Organizations:** OMBE and OIG
- ❖ **Challenge:** Reductions in the Department's workforce, combined with lengthy moratoria on hiring, the relative age of the workforce, and a variety of incentives to leave Federal Service, has left the Department with the challenge of reinvesting in its human capital to ensure that the right skills necessary to meet its mission, are available.
- ❖ **Reporting carried over from prior year.**

SAFETY AND HEALTH

- ❖ **Responsible Organizations:** EH, EM, SSA, NE, SC and NNSA
- ❖ **Challenge:** Ensuring the safety and health of the public and the Department's workers is one of the top priorities in accomplishing our challenging scientific and national security missions. Due to the inherently critical nature of these issues, there is the need for continuous vigilance and improvement. Currently, the Department is addressing explosive safety issues and, with the ongoing re-engineering of the National Nuclear Security Administration workforce, needs to ensure that adequate focus on general safety at our laboratories and plants is maintained.
- ❖ **Reporting carried over from prior year.**

STOCKPILE STEWARDSHIP

Previously Titled,
“Stockpile Surveillance and Testing”

- ❖ **Responsible Organization:** NNSA
- ❖ **Challenge:** The Secretaries of Energy and Defense annually certify to the President that the nuclear weapons stockpile is safe and reliable and that underground nuclear testing does not need to resume. Success is dependent upon unprecedented scientific tools to better understand the changes that occur as nuclear weapons age, enhance the surveillance capabilities for determining weapon reliability, and extend weapon lives. The Department must ensure that problems in these areas are aggressively addressed.
- ❖ **Reporting carried over from prior year.**

FEDERAL MANAGERS' FINANCIAL INTEGRITY ACT (FMFIA)

Results of FY 2004 QA Review

Quality Assurance (QA) Review

- OMBE completes a QA checklist for all FMFIA Assurance reporting.
- Checklist indicates whether offices met reporting requirements.
- FY 2004 QA areas needing improvement :
 - Timeliness of submissions
 - Action plans for all prior and new problems
 - Executive summary not consistent with action plans
 - Assurance memoranda/action plans prepared using prescribed format

Areas Needing Improvement

- Timeliness of Submission:
 - Field (2 offices, 5-13 days late)
 - HQ (8 offices, 5-17 days late)

- Missing Action Plans for Prior/New Problems
 - HQ (4 offices)

- Executive Summary Inconsistent with Action Plans
 - HQ (5 offices)

- Prescribed Format Not Used for Memo/Action Plan
 - HQ (2 offices)

**QUALITY ASSURANCE CHECKLIST
FOR 2005 FMFIA ASSURANCE LETTERS**

DEPARTMENTAL ELEMENT

Assurance Letter

1. The letter has been addressed correctly, submitted on time and signed by Head of Departmental Element. **Yes/No**

2. Includes the following statements:
 - that a review of management controls has been performed considering all known information; **Yes/No**
 - complies with underlying management principles; **Yes/No**
 - reasonable assurance; **Yes/No**
 - M&O statement (Field, EM, RW, EE only); **Yes/No**
 - Financial Management System (FMS) paragraph (Field and ME only); and, **Yes/No**
 - executive summary of reportable problems and nonconformances consistent with action plans submitted, including statement on actions taken for closure and if applicable. **Yes/No**

Attachment A - Action Plans

3. Follows FY 2004 Reporting Guidance and Requirements for all reportable problems and nonconformances, and includes:
 - applicable departmental challenges/milestones from the FY 2003 Accountability Report and FMFIA Action Plans; **Yes/No**
 - executive level summary of reportable problem or nonconformance; **Yes/No**
 - identification of the proper program, administrative function, or crosscutting area and for Field offices the cognizant Headquarters organization; **Yes/No**
 - critical milestones highlighting key tasks and target dates to resolve the reportable problem or nonconformance; **Yes/No**
 - success indicators describing the qualitative/quantitative measures used to achieved goal(s) and eliminate the problem or nonconformance; and, **Yes/No**
 - consideration and/or reporting of such items as news media and audit reports. **Yes/No**

The yearend assurance memorandum from the office indicated above generally meets the reporting requirements contained in DOE Order 413.1A and the yearend instructions. Any significant deficiencies have been noted in the comments sections.

REVIEWER _____ DATE _____

COMMENTS (Use Back of Sheet)

Audit of the Federal Manager's Financial Integrity Act

*Office of Inspector General
Fiscal Year 2004*

Objective of the FMFIA

- o To ensure that the Department's controls are working effectively and that programs and administrative functions are performed in an economic and efficient manner consistent with applicable laws.
- o The results of the FMFIA are reported to Congress and the President via the Secretary's Significant Issues List and are included in the Department's annual Performance and Accountability Report.

Who is responsible?

- o The Secretary of Energy and the Director, Office of Management, Budget and Evaluation/Chief Financial Officer, are responsible for implementation of FMFIA and related agency central guidance.

Audit Objective

- To determine whether the Department's Fiscal Year (FY) 2004 evaluation of management controls was carried out in a reasonable and prudent manner and adequately disclosed previously detected waste or other reportable conditions.

Fiscal Year 2004 Audit Approach

- The audit examined the Department's evaluation of its control systems to ensure compliance with:
 - FMFIA of 1982
 - GAO's "Standards for Internal Control in the Federal Government"
 - OMB Circulars A-123 and A-127
 - DOE Order 413.1A "Management Control Program"

Fiscal Year 2004 Audit Approach

- We determined that DOE Order 413.1A sets forth the Department's requirements for complying with FMFIA. Therefore, we tested to ensure compliance with the following:
 - List of programs and administrative functions subject to FMFIA is updated annually

Fiscal Year 2004 Audit Approach

- Annual summary management reviews of programs and administrative functions are conducted
- Annual summary financial management system reviews or system components contained in the Department of Energy Financial Management System Inventory are conducted

Fiscal Year 2004 Audit Approach

- Executive-level corrective action plans are developed
- Status of reportable problems and management controls to support the Secretary's report to the President and Congress are reported
- Progress on correcting reportable problems is tracked

Fiscal Year 2004 Audit Approach

- We reviewed the Annual Performance and Accountability Report (PAR) Reporting Guidance. It provides current information about the FMFIA process, such as reporting elements and key dates.

Fiscal Year 2004 Audit Approach

- o We then tested each assurance memoranda for the following required attributes:
 - Timeliness
 - Inclusion of Reportable Problems
 - Inclusion of Corrective Action Plans
 - Consideration of Management Challenges and Previously Identified Control Weaknesses

Fiscal Year 2004 Audit Approach

- o We met with personnel to obtain an understanding of the Office of Program Liaison and Financial Analysis's (ME-100) quality assurance (QA) process and determined its effectiveness.

Fiscal Year 2004 Audit Approach

- o We reviewed the FMFIA language included in the PAR and evaluated management's assertions against the results of our audit test work. (i.e., Did the Department fully disclose the significant issues facing the Department?)

Fiscal Year 2004 Audit Approach

- o We also determined the level of risk that an error go undetected and have a material effect on the audit results based on the Department's compliance with DOE Order 413.1A
 - This was elevated to **Medium** risk due to the continued existence of a timeliness issue.

Fiscal Year 2004 Audit Results

- o The Department's FY 2004 evaluation of management controls was generally carried out in a reasonable and prudent manner and adequately disclosed known instances of waste or other reportable problems.

HOWEVER....

Fiscal Year 2004 Audit Results

- o Not all of the Departmental elements conformed to the requirements of the Department's management control program.

Specifically,....

Fiscal Year 2004 Audit Results

- o The Department did not update its listing of entities required to prepare and submit assurance memoranda to ensure the Department's evaluation of management controls included all appropriate departmental elements.

Fiscal Year 2004 Audit Results

- o The Office of Legacy Management did not conduct the required evaluation or report on its management controls.

Fiscal Year 2004 Audit Results

- o 23 Headquarters and field elements did not submit their assurance memoranda in time to meet established milestones.

Fiscal Year 2004 Audit Results

- o Three of the 44 Departmental elements did not include detailed corrective action plans for their new and/or prior year reportable conditions.

Fiscal Year 2004 Audit Results

- o Not all Departmental elements followed the reporting format suggested by DOE Order 413.1A, including five organizations that did not indicate whether reportable problems existed.

Fiscal Year 2004 Audit Results

- o Although ME-100 identified similar concerns during their QA reviews, this information was not always communicated to program officials in time for them to modify or correct their evaluation reports.
 - When information was communicated to the programs, it was usually communicated via informal means to working level officials.

Fiscal Year 2004 Audit Results

- o If left uncorrected, these problems could lessen the level of assurance the Secretary can provide on the status of the Department's management controls to the President and Congress.

Suggested Actions

- o The Director, Office of Management, Budget and Evaluation/Chief Financial Officer, should improve the Department's FMFIA QA process and work closely with the programs to ensure deficiencies are identified and corrected in a timely manner.

Specifically,....

Suggested Actions

- o Formalize the QA review process and direct significant findings and concerns to the head of responsible program elements.

Suggested Actions

- o Re-emphasize the importance of completing, and timely reporting on, the evaluation of management controls at the program level.

Suggested Actions

- o Annually update the list of entities required to prepare and submit assurance memoranda and work closely with any new entities to ensure successful completion of the management evaluation process.

FY 2005 Audit Approach

- o Begin sometime in September, 2005
- o Duration of 2-3 months
 - Cannot issue our reports until the Management Challenges Report is issued in the November-December timeframe.

FY 2005 Audit Approach

- o Changes/Emphasis Areas:
 - Follow-up on Corrective Actions from the FY 2004 FMFIA Audit
 - o Lessons learned
 - Coordination with NNSA
 - Analysis of underlying documentation of assurance memoranda
 - Department's implementation of revisions to OMB Circular A-123
 - o Status of the Implementation Plan
 - o Council for Internal Control over Financial Reporting
 - o 2005 Management Control Action Officer Training

FMFIA Audit

Questions?
Comments?
Concerns?



Management Control Action Officer
Training

**FY 2005 Year-End
Reporting Guidance**

Status of Guidance

- Guidance and Detailed Instructions Available at the following website: www.mbe.doe.gov/progliaison/PAR.htm
- Provides Key Deliverable Dates (Att. A) & Combines Performance Reporting (Att. B), Management Control Program (Att. C), Field Management Representation Letter Guidance (Att. D), and R&D Information (Att. E)
- Addressed to Heads of Departmental Elements, including NNSA, from the Deputy Secretary

FMFIA Year-End Reports

- Governing Directive DOE Order 413.1A, *Management Control Program*
- Include applicable programs and administrative functions
 - Crosscutting areas
 - Environmental management
 - Nuclear safety management
 - Non-nuclear safety management
 - Sensitive areas – none identified for FY 2005
- Consider the nine FY 2004 Significant Issues (previously Departmental Challenges) and Related Action Plans*
- Consider IG & GAO Reports and Management Challenges
- Consider Audit of the FY 2004 Financial Statements

*Available electronically at:

<http://www.mbe.doe.gov/progliaison/FMFIA.htm>

Process Requirements

- Heads of Departmental Elements
 - Conduct Summary Management Reviews
 - Conduct Summary Financial Management System Reviews

(Only Required for Field Elements, ME & NNSA – organizations having responsibility for a financial management systems or system component)

- Submit Annual Report on Status of Controls

Field Reports

- Due August 15, 2005
 - Reflects Status of Controls as of the Date of Signature
- Addressed to Lead Program Secretarial Office
 - Official copies to Cognizant Secretarial Offices
- PMAs addressed to Secretary
- Email report (Word format) to beverly.pershing@hq.doe.gov and send 2 paper copies to ME-100, Rm C-176 in Germantown

HQ Reports

- HQ organization responsible for Significant Issues must update action plans and executive summary chart as of 6/30/05 and email to beverly.pershing@hq.doe.gov by 7/15/05
- Due September 9, 2005
 - Reflects the Status of Controls as of the Date of Signature
- Consider Field Reporting
- Addressed to the Secretary through the designated Under Secretary, if applicable
- Email report (Word format) to beverly.pershing@hq.doe.gov and send 2 paper copies to ME-100, Rm C-176 in Germantown

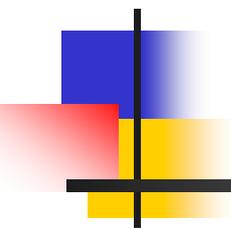


Report Format

- Memorandum
- Index and Crosswalk
- Action Plans
- DOE Significant Issue Action Plans (HQ only)

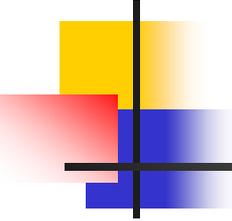
Electronic formats of these documents can be obtained from:

www.mbe.doe.gov/progliaison/FMFIA.htm



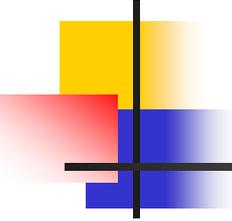
HOT TOPICS

FY 2005



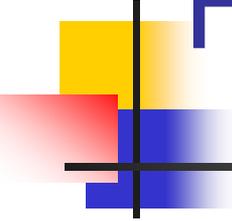
Hot Topics

- **Hot Topics are issues currently drawing a high level of attention.**
- **These topics may or may not have an impact upon your area, but are provided here as information for your consideration.**



Hot Topics

- **The following pages briefly summarize these areas of interest:**
 1. The President's Management Agenda
 2. Significant Issues
 3. IG and GAO Management Challenges
 4. IG Watch List
 5. Other Areas of Interest

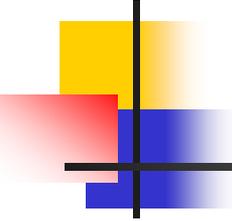


Hot Topics

President's Management Agenda

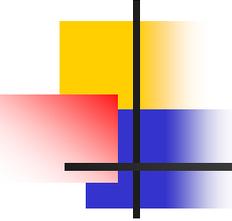
1. Human Capital
2. Competitive Sourcing
3. Financial Performance
4. E - Government
5. Budget and Performance Integration
6. Federal Real Property Asset Management
7. Research and Development

Found at: www.whitehouse.gov/omb/budget/index.html



Hot Topics

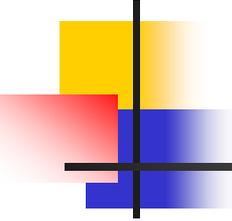
- **Significant Issues**
 1. **Environmental Cleanup**
 2. **Nuclear Waste Disposal**
 3. **IT Management**
 4. **Oversight of Contractors**
 5. **Security**
 6. **Project Management**



Hot Topics

- **Significant Issues (Cont.)**

- 7. **Human Capital Management**
- 8. **Safety and Health**
- 9. **Stockpile Stewardship**



Hot Topics

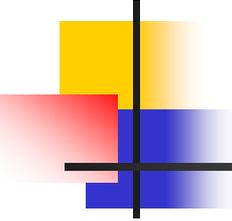
- **IG Management Challenges**

Mission Related Challenges:

- National Security
- Environmental Cleanup
- Stockpile Stewardship

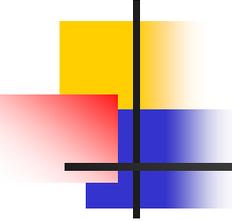
Internal Control Challenges:

4. Contract Administration
5. Project Administration
6. IT Management



Hot Topics

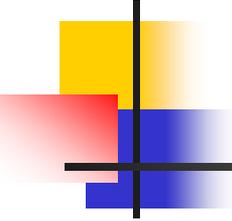
- **GAO Management Challenges**
 1. Cleanup of Radioactive and Hazardous Waste
 2. Security Threats and Problems
 3. Nuclear Weapons Stockpile
 4. Contract Management
 5. Revitalize Infrastructure
 6. Leadership in Meeting the Nation's Energy Needs



Hot Topics

- **IG Watch List**

1. Energy Supply
2. Worker and Community Safety
3. Performance Management

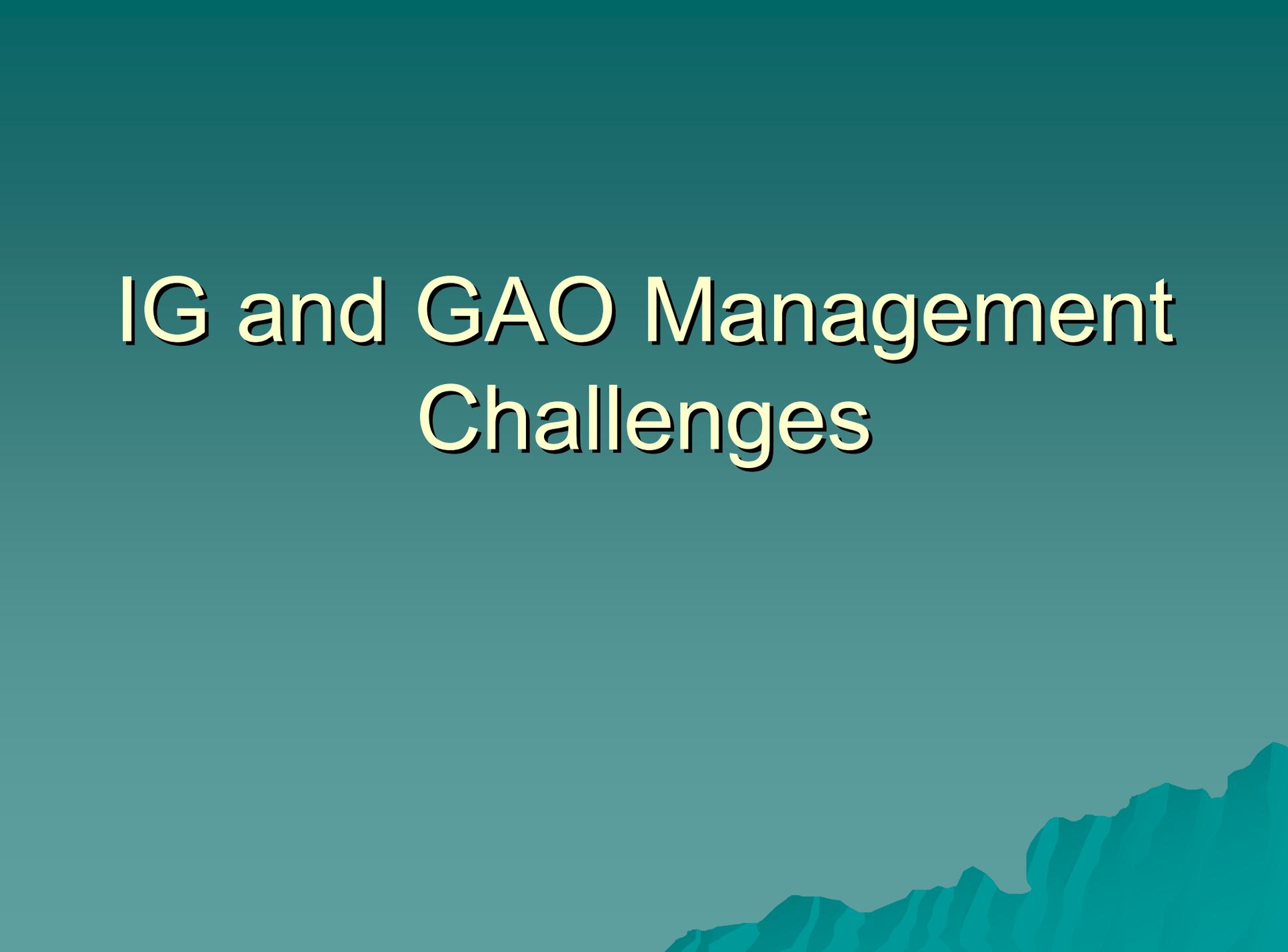


Hot Topics

- **Other Areas Of Interest**

1. STARS Implementation
2. Consolidated Service Center Implementation (SC & EM)
3. Financial Oversight (Department-wide coverage)
4. Financial Statement Findings

IG and GAO Management Challenges

The background is a solid teal color. In the bottom right corner, there is a stylized, dark teal silhouette of a mountain range with jagged peaks and ridges.

MANAGEMENT CHALLENGES

- ◆ IG and GAO identify “Management Challenges” on an annual basis
- ◆ Reports Consolidation Act requires IG to identify the most serious risks to the Department (IG Special Report – DOE /IG-0667)
- ◆ GAO reports Major Management Challenges (GAO -05-207)
- ◆ All IG and GAO Management Challenges should be considered by Departmental Elements when preparing the FY 05 FMFIA Assurance Report

IG Management Challenges

- ◆ 6 Management Challenges
- ◆ Mission-Related Challenges
 - National Security
 - Environmental Cleanup
 - Stockpile Stewardship
- ◆ Internal Control Challenges
 - Contract Administration
 - Project Management
 - Information Technology

GAO Management Challenges

- ◆ 6 Management Challenges
 - Contract Management
 - Security
 - Cleanup Wastes
 - Stockpile Management
 - Energy Needs
 - Infrastructure

IG Watch List

- ◆ Management issues not meeting the threshold of major management challenges but warrant continued attention from senior Department managers
- ◆ Energy Supply, Performance Management and Worker and Community Safety

Management Challenges

- ◆ Various reports issued regarding National Security, Environmental Cleanup, Stockpile Stewardship, Contract Administration, Project Management, Information Technology, Safety and Performance Management can be viewed at www.ig.doe.gov

Tracking Significant Issue Action Plans



Federal Manager's Financial Integrity Act (FMFIA)

- OMB discussions & DICARC decisions during FY 2004 determined:
 - **DOE has no Material Weaknesses.**
 - **DOE has 9 Significant Issues.**

Significant Issue Tracking Requirements

- Departmental elements and the Director, OMBE/CFO must track all reportable problems and nonconformances.
- Requirements for tracking can be found in DOE Order 413.1A, Chapter VII.
 - Departmental Element responsibilities.
 - OMBE responsibilities.

Office of Program Liaison & Financial Analysis Responsibilities

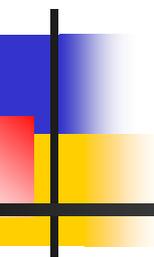
- ME-100 is responsible for maintaining a database of all corrective action plans for reportable problems, reportable nonconformances, and emerging issues.

Reasons for 3rd Quarter Tracking Significant Issue Action Plans

- Monitor progress of the Department's FY 2004 Significant Issue Action Plans.
 - OMB interest due to President's Mgmt Agenda.
 - Maintain a good financial management score from OMB.
 - FY 2005 Significant Issue updates will be included in the 3rd Quarter Draft of the PAR.

3rd Quarter Updates of the Significant Issue Action Plans

- Complete action plans, as of June 30, 2005, required.
- Detailed information important.
- Selected HQ Elements must provide 3rd Quarter updates to Significant Issue action plans, and Executive Summary Chart included in FY 2004 PAR by COB Friday, July 15, 2005.



Implementation of OMB Circular A-123

Theresa Ballinger
Office of Program Liaison and
Financial Analysis
May 2005

Revisions to Circular A-123

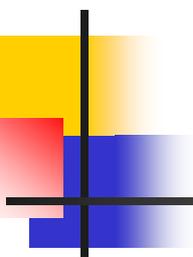
Purpose & Driver of Revisions

- Ensure Congress and the public that the Federal government is committed to safeguarding assets and providing reliable financial information.
- Sarbanes-Oxley Act of 2002 (SOX) passed in response to a confidence crisis in publicly traded companies.
- Congress determined reliable financial statements require adequate controls over financial reporting and management's assurance as to those controls.

Implementation of Circular A-123

Significant Revisions to the Circular

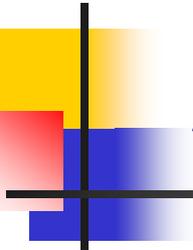
- Secretarial assurance statement on internal control over financial reporting effective FY 2006.
 - Assess - (1) identify controls at the entity as well as the process, transaction or application level; (2) gain an understanding of how management considers risk related to financial reporting; and, (3) test controls to assess compliance.
 - Document – maintain documentation on the controls over financial reporting and documentation on the assessment process.
 - Report – include assurance statement as of June 30 in annual PAR.



Implementation of Circular A-123

Actions Taken

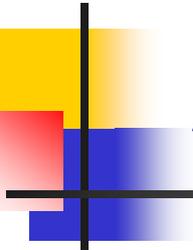
- Established senior management assessment team.
- Designated ME-100 project manager.
- Established 3 Sub Teams for implementing A-123.
- Surveyed other agencies with experience.
- Surveyed major contractors to determine SOX experience.



Implementation of Circular A-123 Actions Taken – Sub Teams

- Contractor Statement of Work Sub Team

Mission: Liaison with Procurement and Assistance Management to develop and issue a statement of work/proposal to select an independent contractor to assist in the Department's assessment of the effectiveness of internal control over financial reporting. Take necessary actions to acquire/implement necessary automated system(s) to support DOE A-123 assessment efforts.



Implementation of Circular A-123

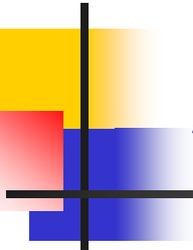
Actions Taken – Sub Teams

- Policies and Guidance Sub Team

Mission: Revise existing DOE O 413.1A, *Management Control Program*, to meet the new requirements of Circular A-123 for conducting the assessment of the effectiveness of internal control over financial reporting. Provide any additional detailed guidelines as necessary.

- Internal Procedures Sub Team

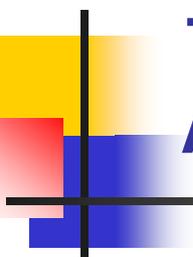
Mission: Identify the current internal control evaluation processes in place at the internal audit groups, Field CFO organizations and Headquarters. Coordinate with the OIG and KPMG to obtain existing documentation.



Implementation of Circular A-123

Actions Taken - Other Agency Efforts

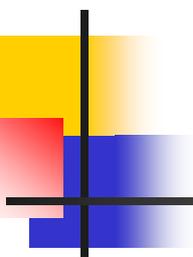
- SSA has obtained an audit opinion for seven years building on FMFIA financial system reviews and maintaining exhaustive documentation
- PBGC obtained an audit opinion for FY 2004 and spent \$1.1 million on assessment contractor alone.



Implementation of Circular A-123

Additional Planned Actions

- Obtain OMB Implementation Guide.
- Identify independent support services contractor, major operating contractor (CFO and internal audit), Field CFO, HQ CFO and program office roles in the DOE assessment.
- Identify reports and significant accounts for review in FY 2006 and beyond.
- Collaborate with the IG on the Department's implementation process.



Implementation of Circular A-123 Effective FY 2006

- Draft guidance 06/2005
- Contractor on board 10/2005
- Contractor interim reports Monthly
- Assurance statement (as of) 06/2006
- PAR reporting 11/2006

HEADQUARTERS
MANAGEMENT CONTROL ACTION OFFICERS

Organization	MCAO	Routing Symbol	Room	Building	Phone	Fax	Internet Address
Chief Information Officer	Valerie Young	IM-10	8H-085	FORSTL	6-8853	6-7966	Valerie.Young@hq.doe.gov
Civilian Radioactive Waste Management	Jackie Chestnut	RW-2E	5A-061	FORSTL	6-5481	6-6638	Jackie.Chestnut@hq.doe.gov
Congressional & Intergovernmental Affairs	Laura Brown	CI-03	8G-096	FORSTL	6-5524	6-0230	Laura.Brown@hq.doe.gov
Contract Appeals	Deborah Cavanagh	HG-50	7115	Bldg. 950 L'ENF	202-287-1900	202-287-1700	Deborah.Cavanagh@hq.doe.gov
Counterintelligence	Glenn Smith	CN-1	3F-086	FORSTL	6-0395	6-0551	Glenn.Smith@cn.doe.gov
Economic Impact & Diversity	Myrna Turturro	ED-1	5B-110	FORSTL	6-4676	6-3075	Myrna.Turturro@hq.doe.gov
Electricity and Energy Assurance	Paul Trotter Larry Cain	TD-1 EA-1	6H-034 8G-026	FORSTL FORSTL	6-7844 6-0318	6-5860 6-0751	Paul.Trotter@hq.doe.gov Larry.cain@hq.doe.gov
Energy Efficiency and Renewable Energy	Dreda Perry	EE-30	6A-067	FORSTL	6-0561	6-8177	Dreda.Perry@ee.doe.gov
Energy Information Administration	Sharon Sutton	EI-30	1E-248	FORSTL	6-0596	6-0114	Sharon.Sutton@eia.doe.gov
Environment, Safety & Health	Carol Kilian	EH-7	1G-080	FORSTL	6-4647	6-0549	Carol.Kilian@eh.doe.gov
Environmental Management	Dennis Hosaflook	EM-32	5B-031	FORSTL	6-7685	6-9172	Dennis.Hosaflook@em.doe.gov
Fossil Energy	Chuck Roy	FE-3		FORSTL	6-8977	6-0734	Charles.Roy@hq.doe.gov
General Counsel	Dan Bullington	GC-90	6B-222	FORSTL	6-7364	6-6191	Dan.Bullington@hq.doe.gov
Hearings and Appeals	Richard Cronin Al/Steven Goering	HG-30 HG-20		Bldg. 950 Bldg. 950	202-426-1589 202-287-1541	202-426-1415 202-287-1415	Richard.Cronin@hq.doe.gov Steven.Goering@hq.doe.gov

Organization	MCAO	Routing Symbol	Room	Building	Phone	Fax	Internet Address
Inspector General Doug Gillam is on detail/Hutton acting	Douglas Gillam	IG-12	5D-031	FORSTL	6-5013	6-7851	Douglas.Gillam@hq.doe.gov
	Leon Hutton	IG-12	5D-031	FORSTL	6-5798	6-7851	Leon.Hutton@hq.doe.gov
Intelligence	Elizabeth Vaden	IN-1	GA-301	FORSTL	6-8756	6-5999	Elizabeth.Vaden@hq.doe.gov Susan.Frey@HQ.doe.gov
Legacy Management	Glenn Trentham	POB 880	3610	Morgantown	304-285-4761	304-285-4403	Glenn.Trentham@netl.doe.gov
	U.S.DOE, Legacy Management	M/S K09	Collins Ferry Road	WV 26507-0880			
Management, Budget and Evaluation/ Chief Financial Officer	ME-100 Staff	ME-100	C-177	GTN	3-2551	3-2550	firstname.lastname@hq.doe.gov
Nuclear Energy, Science & Technology	Carol Warner	NE-10	B-419	GTN	3-5870	3-1511	Carol.Warner@nuclear.energy.gov
	Alt/Jennifer Sanders						Jennifer.Sanders@nuclear.energy.gov
Policy and International Affairs	Jon Mathis	PI-10	7G-033	FORSTL	6-4909	6-0863	Jon.Mathis@hq.doe.gov
Public Affairs	Laura Brown	PA-03	8G-096	FORSTL	6-5524	6-0230	Laura.Brown@hq.doe.gov
Security and Safety Performance Assurance	Sherri Bishop	SP-1.2	D-307	GTN	3-1248	3-1230	Sherri.Bishop@hq.doe.gov
	Janet Venneri	SC-67	H-201	GTN	3-8642	3-8583	Janet.Venneri@science.doe.gov
Federal Energy Regulatory Commission	Frank Plata	ED-14	43-74	888 1st St.,NE 20426	202-502-8404	202-219-2873	Frank.Plata@ferc.gov
National Nuclear Security Administration	Richard Speidel	NA-60	6F-078	FORSTL	6-5009	6-5433	Richard.speidel@hq.doe.gov

G:\labels & lists\hqmcao table

FIELD
MANAGEMENT CONTROL ACTION OFFICERS

Organization	M/CAO	Address	Phone	Fax	Internet Address
Chicago Operations Office	Julie Cramer	9800 South Cass Avenue Argonne, IL 60439	630-252-2198	630-252-9691	julie.cramer@ch.doe.gov
Consolidated Business Center (includes OH & RRETS)					
Idaho Operations Office	Nick Nicolayeff	US DOE - IDO (NE-ID) 1955 Fremont Avenue Idaho Falls, ID 83401-1240	208-526-0172	208-526-5446	nicolan@id.doe.gov
Oak Ridge Operations Office	J. Peter Johnson Al/Dolores Henry	P.O. Box 2001 Oak Ridge, TN 37831-8794	865-576-0970 865-576-2410	865-576-7813	johnsonjp@oro.doe.gov Henrydl@oro.doe.gov
Richland Operations Office	Jeff Frey	Mail Stop A5-13 P.O. Box 550 Richland, WA 99352	509-376-7727	509-372-0306	Jeffrey_A_Frey@rl.gov
Savannah River Operations Office	Marlenia Murray	P.O. Box A Aiken, SC 29801	803-952-9214	803-952-8353	marlenia.murray@srs.gov
NNSA Service Center	Patricia Dillon	1301 Clay Street Oakland, CA 94612-5208	505-845-4787		pdillon@doeal.gov
Carlsbad Field Office (WIPP)	Freida Huckeba	4021 National Parks Highway Carlsbad, NM 88220	505-234-7315	505-234-7019	huckebf@wipp.carlsbad.nm.us
Golden Field Office	Marlys Kinsey	1617 Cole Boulevard Golden, CO 80401-3393	303-275-4715	303-275-4790	Marlys.kinsey@go.doe.gov
Ohio Field Office	Ron Saylor	P.O. Box 3020 Miamisburg, OH 45343-3020	937-865-4405	937-865-4063	ron.saylor@ohio.doe.gov
Rocky Flats Environmental Technology Site	Brent Johansen	10808 Highway 93, Unit A Golden, CO 80403-8200	303-966-6522	303-966-2212	Brent.Johansen@rft.doe.gov
National Energy Technology Laboratory	Kirby Rothrock	P.O. Box 880 - Mailstop A07 Morgantown, WV 26507-088	304-285-4894	304-285-4216	kirby.rothrock@netl.doe.gov

Organization	MCAO	Address	Phone	Fax	Internet Address
Southeastern Power Administration	Joel W. Seymour Alt. Sandra Dye	1166 Athens Tech Road Elberton, GA 30635	706-213-3810 706-213-3813	706-213-3884	joels@sepa.doe.gov Sandrad@sepa.doe.gov
Southwestern Power Administration	Robert J. Roettele	One West 3 rd Street Tulsa, OK 74103-3519	918-595-6625	918-595-6656	Robert.Roettele@swpa.gov
Western Area Power Administration	James Fitzgerald	Corporate Services Office P.O. Box 281213 Lakewood, CO 80228-8213	970-461-7248	970-461-7529	Fitzgerald@wapa.gov
Naval Petroleum Reserves Casper	Janet Boulanger	907 North Poplar Suite 150 Casper, WY 82601	307-261-5161 x5076	307-261-5817	Janet.Boulanger@motc.doe.gov
Naval Petroleum & Oil Shale Reserves, FE-47	Anton Dammer	3H-076, FORS	6-4685	6-4446	Anton.Dammer@hq.doe.gov
Pittsburgh Naval Reactors	Stanley R. Burinski	P.O. Box 109 West Mifflin, PA 15122	412-476-7280	412-476-7676	burinski@betis.gov
Schenectady Naval Reactors	Michael B. Bishop William Youglove/alt	P.O. Box 1069 Schenectady, NY 12301	518-395-4654	518-395-6390 518-395-6065	Bishopm@snmail.kapl.gov Youngwi@kapl.gov
NR-1, Ofc of Deputy Administrator for Naval Reactors, NNSA	Pat Lahiff	Bldg. 104 Washington Navy Yard	202-781-6178	202-781-6416	lahiffpl@navsea.navy.mil
Strategic Petroleum Reserve Project Office	Randy Kallanner	900 Commerce Road East New Orleans, LA 70123	504-734-4327	504-734-4672	Randy.Kallanner2@spr.doe.gov
Strategic Petroleum Reserve, HQ Program Office, FE-46	Rick Hoffman	3G-038, FORS Strategic Petroleum Reserve Program Office	6-4401	6-0835	Rick.Hoffman@hq.doe.gov
Office of River Protection	Lisa A. Copeland	P.O. Box 450, MS H6-60 Richland, WA 99352	509-376-8515	509-376-8532	Lisa_A_Copeland@rl.gov

PLFA Staff	Field Element	HQ Element	Significant Issue	Perf. & Acct. Report
Theresa Ballinger				R&D Report Management Representation Letter Management Control Section
Mindy Bledsoe	NNSA Serv. Center,	NNSA, SP	Stockpile Stewardship Security	Management Representation Letter
Brian Boos	CH, OR	SC	ME-100 SMR	
Ben Chatterson	WAPA, SEPA, SWPA	CIO, FERC	Information Technology Management	
Dean Childs				Coordination
Tammi Garnand				Coordination
Lynn Harshman	NPRs, GO, ID	CI, PA, IG, PI, LM, CN, IN, RW	Nuclear Waste Disposal	Forward, MD&A
Richard Heller	RF, SR, OH	OMBE (Assurance Memo)	Project Management Oversight of Contractors	
Genoa Mitchell	RL, ORP, CBC	EM, OE (Electricity and Energy Assurance)	Environmental Cleanup Human Capital Management	
Donna Taylor	SNR, PNR	EE, FE, NE, EH	Safety and Health	R&D Report
Lisa Williams	NETL & SPRO	EI, HG/BC, GC, ED		F/S Analysis

AGENDA
FMFIA MCAO TRAINING
May 10, 2005

9:00 Introduction Theresa Ballinger

RESULTS OF FY 2004 PROGRAM

9:15 FY 2004 Significant Issues Tammi Garnand

9:45 Results of FY 2004 QA Review Lynn Harshman

10:15 Break

10:30 Results of the FY 2004 IG Review
Stacy Bleigh
Katie Shaull

FY 2005 PROGRAM

11:00 FY 2005 Year-End Reporting Guidance Mindy Bledsoe

12:00 Lunch

1:00 FY 2005 Hot Topics Donna Taylor

1:30 Other Management Challenges
Facing the Department Genoa Mitchell

2:00 Tracking Significant Issue Action Plans Kim McCann

2:30 Break

NEW REQUIREMENTS FOR FY 2006

2:45 Management Assessment of Internal Control
over Financial Reporting
(OMB Circular A-123) Theresa Ballinger

3:45 Questions/Closing