

MEMORANDUM FOR MANAGEMENT CONTROL ACTION OFFICERS

FROM: JOHN NEWELL, DIRECTOR  
OFFICE OF PROGRAM LIAISON AND FINANCIAL  
ANALYSIS

SUBJECT: Training Package for the FY 2003 Management Control Program

The Office of Program Liaison and Financial Analysis has prepared a training package for your use in developing individual Departmental Elements' FY 2002 Annual Assurance Memoranda. This package is similar to last year's training packages and includes the information that Management Control Action Officers (MCAOs) need to report on management controls. This package includes the results of the FY 2002 Management Control Program as well as FY 2003 Reporting Requirements and Hot Topics.

An important item to note is: Due to the Office of Management and Budget (OMB) accelerated reporting dates, Field Assurance Memoranda are due August 15, 2003, and Headquarters Assurance Memoranda are due September 10, 2003. Because the assurance memoranda are due prior to the end of the fiscal year, they should reflect the status of management controls as of the date they are signed.

In addition to accelerating the due dates, OMB has also issued a draft financial management, "Super Circular," which consolidates, establishes, and updates government-wide policies and procedures related to agencies' financial and performance management and reporting. This draft represents a major shift in emphasis and approach to financial management by focusing on performance and results, rather than on compliance. We are currently reviewing this draft circular and providing comments to OMB. While OMB initially intended to implement portions of this draft circular for FY 2003, we are not incorporating any changes in the FY 2003 guidance due to the current "draft" status of the circular and substantive nature of our comments. We will continue to coordinate with OMB as the new circular is finalized and will provide any necessary guidance changes to you in future years.

In addition to the FY 2003 training package, we have also prepared a Basic Requirements Training Package that is available for new MCAOs. The Basic Requirements Training Package was mailed to all known new MCAOs. Members of my staff are available to meet with or discuss program requirements with any new MCAO upon request. If you did not receive a copy of the Basic Requirements and would like one, please phone Bev Pershing at 301-903-2551. If you have questions on either package or on the FY 2003 Management Control Program requirements, you may phone the Office of Program Liaison and Financial Analysis contact listed for your organization or Lynn Harshman on 301-903-2556.

Attachment

# Department of Energy



**FY 2003**

**Management Control Program**

**Training Package**

**DOE Management Control Action Officer (MCAO) Training Package  
FY 2003 Federal Managers' Financial Integrity Act (FMFIA) Reporting**

**RESULTS OF FY 2002 MANAGEMENT CONTROL PROGRAM**

|   |   |
|---|---|
| FY 2002 FMFIA Review                            | 1 |
| FY 2002 Significant Issues                      | 2 |
| FY 2002 Tracking Significant Issue Action Plans | 3 |

**GUIDANCE FOR FY 2003 MANAGEMENT CONTROL PROGRAM**

|                                     |   |
|-------------------------------------|---|
| FY 2003 Year-End Reporting Guidance | 4 |
| GAO and IG Management Challenges    | 5 |
| Hot Topics                          | 6 |

**REFERENCE MATERIALS**

|   |            |
|---|------------|
| Listing of MCAOs & Listing of ME-100 Staff Assignments                | 7          |
| Listing of IG Reports Issued from 5/1/2002 through 5/7/2003           | 8          |
| FY 2002 Department of Energy Performance and<br>Accountability Report | Back Cover |

# FY 2002 FMFIA Review

◆ IG FMFIA Review

◆ Quality Assurance (QA) Review

# IG FMFIA Review

- ◆ IG reviewed DOE's FMFIA process
- ◆ Review included evaluation of DOE's Control Systems
- ◆ IG concluded that DOE's program generally conformed to requirements of FMFIA
- ◆ IG noted procedural problems:
  - Timeliness of reports
  - NNSA report missing detailed action plans

# Quality Assurance (QA) Review

- ◆ OMBE completes a QA checklist for all FMFIA Assurance reporting
- ◆ Checklist indicates whether offices met reporting requirements
- ◆ FY 2002 QA areas needing improvement :
  - Timeliness of submissions
  - Addressed Appropriately
  - Action plans for all prior and new problems

# FY 2003 MANAGEMENT CONTROL ACTION OFFICER TRAINING



FY 2002  
SIGNIFICANT  
ISSUES

# Background

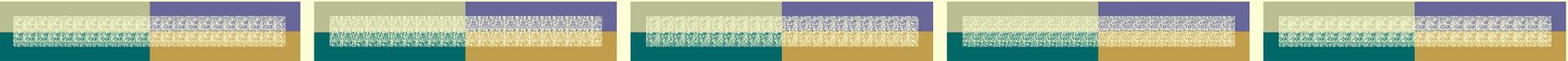
- FMFIA requires Secretary to annually identify material weaknesses
- OMB requested 2002 reassessment of Department-level FMFIA reporting
- DICARC reassessed FMFIA reporting & determined:
  - DOE had no FMFIA material weaknesses
  - 11 Significant Issues DOE is addressing
  - Internal DOE evaluation, reporting & tracking process unchanged
- DICARC'S reassessment reflected in FY 2002 Performance & Accountability Report & the following Significant Issues

# STOCKPILE SURVEILLANCE AND TESTING

- ❖ **Responsible Organization:** NNSA
- ❖ **Challenge:** Since 1996, the Department has not met many of its milestones for surveillance tests of stockpiled nuclear weapons which puts the Department at risk for not having critical information on the reliability of the weapons. Deficiencies have also been identified in conducting Significant Finding Investigations to determine the cause and impact of problems identified by Surveillance Tests and to recommend corrective actions.
  - ✦ **Reporting carried over from prior year.**

# Project Management

- ❖ **Responsible Organizations:** NNSA, EM, SC and OMBE
- ❖ **Challenge:** Confidence in the Department's ability to build new facilities, remediate contaminated sites and upgrade existing systems has been adversely impacted by reported cost overruns, schedule slippages, unplanned mid-course redirection and other project management problems.
  - \* **Reporting carried over from prior year.**



# FACILITIES AND INFRASTRUCTURE MANAGEMENT

Previously titled, “Managing Physical Assets.”

- ❖ **Responsible Organizations:** NNSA, SC and OMBE
  - ❖ **Challenge:** The Department risks being unable to meet some of its mission objectives if the condition and functionality of its facilities are not adequately addressed. Aging facilities are operating beyond design life and have deteriorated due to insufficient maintenance and recapitalization.
    - \* **Reporting carried over from prior year.**
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# SECURITY

Previously Titled, “Security and Counterintelligence.”

- ❖ **Responsible Organizations:** SO, CIO and OMBE
- ❖ **Challenge:** Although the Department has taken positive actions to strengthen security activities, additional improvements are needed. In addition, recent terrorist activities have prompted the Department to consider new evolving security threats and a need to identify and implement new security measures related to physical and cyber security.
- ❖ **Reporting carried over from prior year.**



# ENVIRONMENTAL CLEANUP

Previously Titled, “Environmental Standards and Stewardship.”

- ❖ **Responsible Organization:** Environmental Management
- ❖ **Challenge:** The Department faces significant environmental challenges at its facilities due to past operations that left a legacy of unacceptable risk to the environment. As a result, continued high priority will be given to evaluating and correcting the impacts of past practices and characterizing and minimizing the possible adverse impacts of present and future activities.

\* Reporting carried over from prior year.





# NUCLEAR WASTE DISPOSAL

- ❖ **Responsible Organization:** RW
  - ❖ **Challenge:** Litigation, funding shortfalls, and the need for scientific studies well beyond those initially envisioned, have resulted in several schedule changes for the Yucca Mountain repository for spent nuclear fuel and high-level radioactive waste, including the delay in the commencement of repository operations until 2010.
    - \* **Reporting carried over from prior year.**
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# SAFETY AND HEALTH

- ❖ **Responsible Organizations:** EH, EM, OA, NE, SC and NNSA
- ❖ **Challenge:** As a result of past activities, the Department is addressing safety and health issues of its workers and the public. In addition, new safety programs must be implemented to manage current operations of the Department and prevent future safety and health issues.
  - ✦ **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 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.**



# PERFORMANCE MANAGEMENT

- ❖ **Responsible Organization: OMBE**
  - ❖ **Challenge: The Department's goals and performance measures in the Strategic Plan, the Annual Performance Plan, and the Budget are not well integrated and do not adequately represent the outcomes and benefits that the Department's activities produce.**
    - \* Reporting carried over from prior year.
- 



# PROGRAM OVERSIGHT OF CONTRACTORS

- ❖ **Responsible Organization:** EM, NNSA and SC
  - ❖ **Challenge:** The majority of the Department's programs are accomplished through contracts, particularly those that provide management and operating capabilities for running the Department's facilities. The Department has established appropriate policies and procedures to effectively manage these contracts, however, programmatic implementation of these policies and procedures is not consistently occurring throughout the Department to provide sufficient oversight of contractors.
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# INFORMATION TECHNOLOGY MANAGEMENT

- ❖ **Responsible Organization:** CIO
- ❖ **Challenge:** The Department has experienced problems in fully implementing the Clinger-Cohen Act of 1996 and government-wide information technology management requirements. Specifically, the Department has not established an information technology architecture, not closely monitored policy implementation efforts, and not acquired information technology related assets in an effective and efficient manner.

\* **Reporting carried over from prior year.**

# **Tracking Significant Issue Action Plans**



# Federal Manager's Financial Integrity Act (FMFIA)

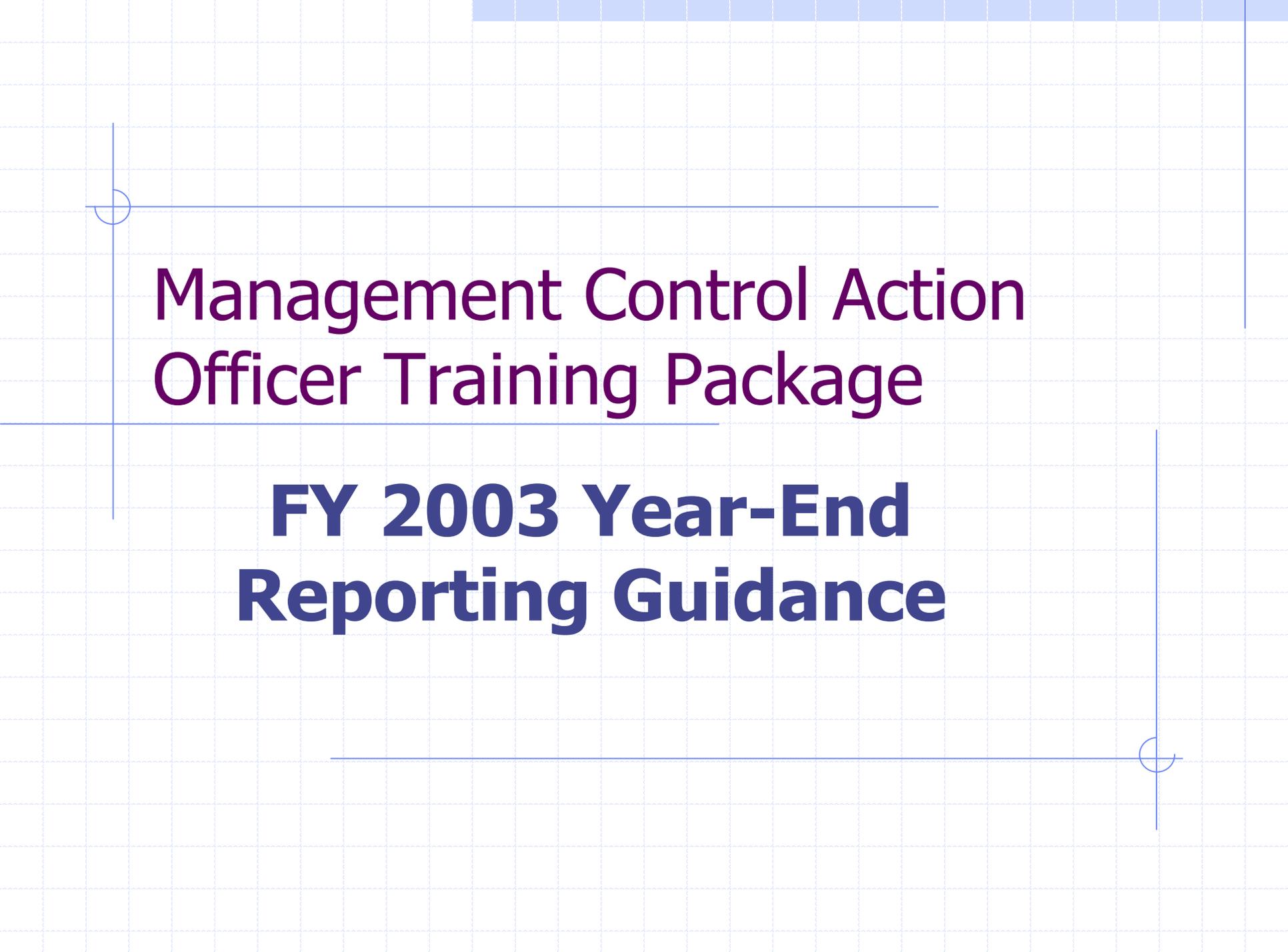
- **Requires Secretary to annually report to President & Congress on status of DOE's controls & most serious problems**
- **OMB discussions & DICARC decisions during FY 2002 determined:**
  - DOE has no Material Weaknesses
  - DOE has 11 Significant Issues

# Reasons for Tracking Significant Issue Action Plans

- **Monitor progress of the Department's FY 2002 Significant Issue Action Plans**
  - OMB interest due to President's Mgt Agenda
  - Maintain a good financial management score from OMB
- **Deputy Secretary initiated tracking effort of IG & GAO Management Challenges**
  - IG/GAO Management Challenges are similar to FMFIA Significant Issues
  - Action plans tracked with monthly status reports

# FMFIA Tracking of Significant Action Plans

- FMFIA Significant Issue Action plans will be tracked quarterly by OMBE
  - Use Deputy Secretary's tracking effort to the extent FMFIA Significant Issues are similar
  - Request separate quarterly action plan updates/status for FMFIA actions not covered by Deputy Secretary's tracking



# Management Control Action Officer Training Package

## **FY 2003 Year-End Reporting Guidance**

# Status of Guidance

- ◆ Draft Guidance and Detailed Instructions Available at following website:  
[www.cfo.doe.gov/progliaison/PAR.htm](http://www.cfo.doe.gov/progliaison/PAR.htm)
- ◆ Combines Management Control Program, Performance Reporting, Management Representation Letter Guidance, and R&D Information
- ◆ Addressed to Heads of Departmental Elements including NNSA from Dep. Sec.

# Changes for FY 2003

- ◆ OMB accelerating due date for FY 2004 Performance & Accountability Report–11/15/04
  - DOE is accelerating FY 2003 due dates to prepare for FY 2004
- ◆ As a result of OMB discussions, DOE Management reported 11 Significant Issues & indicated they are not Material Weaknesses
  - Internal DOE evaluation, reporting & tracking processes are unchanged
  - Heads of Departmental Elements should continue to report problems to next higher level of management

# FMFIA Year-End Reports

- ◆ Governing Directive DOE Order 413.1A
- ◆ Include applicable programs and administrative functions
  - Crosscutting areas
    - ◆ Environmental mgt.
    - ◆ Nuclear safety mgt.
    - ◆ Non-nuclear safety mgt
  - Sensitive areas – none identified for FY 2003
- ◆ Consider FY 2002 Significant Issues (previously Departmental Challenges) and Related Action Plans
- ◆ Consider IG & GAO Reports and Management Challenges
- ◆ Consider Audit of the FY 2002 Financial Statements

# Process Requirements

## ◆ Heads of Departmental Elements

- Conduct Summary Management Reviews
- Conduct Summary Financial Management System Reviews

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

- Submit Annual Report on Status of Controls

# Field Reports

- ◆ Due August 15, 2003
  - 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) and send 2 paper copies to ME-100

# HQ Reports

- ◆ Due September 10, 2003
  - Reflects the Status of Controls as of the Date of Signature
- ◆ Consider Field Reporting
- ◆ All HQ organizations including NNSA
- ◆ Email report (Word format) and send 2 paper copies to ME-100

# Report Format

- ◆ Memorandum
- ◆ Index and Crosswalk
- ◆ Action Plans
- ◆ DOE Significant Issue Action Plans (HQ only)
- ◆ Electronic formats of the above can be obtained from website  
[www.cfo.doe.gov/progliaison/PAR.htm](http://www.cfo.doe.gov/progliaison/PAR.htm)

# **GAO & IG MANAGEMENT CHALLENGES**

- **IG and GAO have role in identifying “Management Challenges”**
- **Reports Consolidation Act requires IG to identify most serious problems (IG Special Report DOE/IG-0580)**
  - **IG identifies 7 Management Challenges**
- **GAO reports on Major Management Challenges (GAO-03-100)**
  - **GAO identifies 6 Management Challenges**
- **The GAO & IG Management Challenges should be considered by Departmental Elements when preparing their FY 03 FMFIA Assurance Reports**

# FY 2003

## 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.**

**The following pages briefly summarize these areas of interest:**

President's management agenda

Erroneous payments

Laboratory Directed research and development

Potential Purchase card/travel card abuse

# Hot Topics

Page 1

## **President's Management Agenda -**

Targeted areas include need for:

- Improved Financial Performance
- Strategic Management of Human Capital
- Competitive Sourcing
- Expanded Electronic Government
- Budget and Performance Integration
- Better R&D Investment Criteria

[www.whitehouse.gov/omb/budget/index.html](http://www.whitehouse.gov/omb/budget/index.html)

# Hot Topics

Page 2

## **Erroneous Payments**

Government-wide effort to identify and minimize incorrect payments with corrective measures

## **Laboratory Directed Research and Development (LDRD), Plant Directed Research and Development (PDRD) and Site Directed Research and Development (SDRD)**

House Appropriations Survey and Investigative staff review to ensure that all projects support our core mission priorities

# Hot Topics

Page 3

## **Purchase Cards/Travel Cards**

Congressional & OMB interest due to abuse and misuse at other Federal agencies has highlighted this area government-wide

HEADQUARTERS  
MANAGEMENT CONTROL ACTION OFFICERS

| Organization  | MCAO                     | Routing Symbol | Room         | Building                 | Phone            | Fax          | Internet Address                                 |
|---|--------------------------|----------------|--------------|--------------------------|------------------|--------------|--|
| Contract Appeals  | Deborah Bart             | HG-50          | 810          | Bldg. 950                | 202-287-1900     | 202-287-1700 | <u>Debbie.Bart@hq.doe.gov</u>                    |
| Management, Budget and Evaluation/<br>Chief Financial Officer |                          | ME-100         | C-177        | GTN                      | 3-2551           | 3-2550       | firstname.lastname@hq.doe.gov                    |
| Chief Information Officer                                     | George Dudley            | IM-10          | 8H-089       | FORSTL                   | 6-6730           | 6-7966       | george.dudley@hq.doe.gov                         |
| Civilian Radioactive Waste<br>Management                      | Jackie Chestnut          | RW-54          | 7F-043       | FORSTL                   | 6-5481           | 6-9608       | Jackie.chestnut@hq.doe.gov                       |
| Congressional & Intergovernmental<br>Affairs                  | Laura Brown              | CI-03          | 8G-096       | FORSTL                   | 6-5524           | 6-0230       | laura.brown@hq.doe.gov                           |
| Counterintelligence   | Dan Baur                 | CN-1           | 8F-089       | FORSTL                   | 6-5901           | 6-5295       | <u>Daniel.baur@cn.doe.gov</u>                    |
| Economic Impact & Diversity                                   | Myrna Turturo            | ED-3           | 5B-110       | FORSTL                   | 6-4676           | 6-3075       | myrna.turturo@hq.doe.gov                         |
| Energy Assurance  | Henry Kenchington        | EA-1           |              | FORSTL                   | 6-1878           | 6-3234       | <u>Henry.Kenchington@ee.doe.gov</u>              |
| Energy Efficiency and Renewable<br>Energy                     | Dreda Perry              | EE-62          | 6B-025       | FORSTL                   | 6-0561           | 6-8177       | dreda.perry@ee.doe.gov                           |
| Energy Information Administration                             | Dorothy Pritchett        | EI-20          | 2H-055       | FORSTL                   | 6-1110           | 6-0552       | dorothy.pritchett@hq.doe.gov                     |
| Environment, Safety & Health                                  | Dave Anderson            | EH-71          | 4093         | 270 CC                   | 3-4231           | 3-6584       | <u>dave.anderson@eh.doe.gov</u>                  |
| Environmental Management                                      | Mark Loop<br>Jim Simpson | EM-12<br>EM-12 | 1007<br>1017 | Cloverleaf<br>Cloverleaf | 3-7160<br>3-7951 | 3-8134       | mark.loop@hq.doe.gov<br>james.simpson@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                        |

| Organization                                  | MCAO                                 | Routing Symbol | Room   | Building               | Phone                        | Fax                          | Internet Address   |
|---|--------------------------------------|----------------|--------|------------------------|------------------------------|------------------------------|--|
| Hearings and Appeals                          | Richard Cronin<br>Alv/Steven Goering | HG-30<br>HG-20 |        | Bldg. 950<br>Bldg. 950 | 202-426-1589<br>202-287-1541 | 202-426-1415<br>202-287-1415 | <a href="mailto:richard.cronin@hq.doe.gov">richard.cronin@hq.doe.gov</a><br><a href="mailto:steven.goering@hq.doe.gov">steven.goering@hq.doe.gov</a> |
| Independent Oversight & Performance Assurance | Lesley Gasperow                      | OA-40          | C-421  | GTN                    | 3-5577                       | 3-3405                       | <a href="mailto:Lesley.gasperow@oa.doe.gov">Lesley.gasperow@oa.doe.gov</a>   |
| Inspector General                             | Douglas Gillam                       | IG-12          | 5D-031 | FORSTL                 | 6-5013                       | 6-3636                       | <a href="mailto:Douglas.gillam@hq.doe.gov">Douglas.gillam@hq.doe.gov</a>   |
| Intelligence                                  | Larry Cain                           | IN-1           | GA-301 | FORSTL                 | 6-0318                       | 60751                        | <a href="mailto:larry.cain@hq.doe.gov">larry.cain@hq.doe.gov</a>   |
| Nuclear Energy, Science & Technology          | Donna Gilbert                        | NE-10          | B-413  | GTN                    | 3-4506                       | 3-1511                       | <a href="mailto:Donna.gilbert@hq.doe.gov">Donna.gilbert@hq.doe.gov</a>   |
| Policy and International Affairs              | Jon Mathis                           | PI-5           | 7G-033 | FORSTL                 | 6-4909                       | 6-0863                       | <a href="mailto:Jon.mathis@hq.doe.gov">Jon.mathis@hq.doe.gov</a>   |
| Public Affairs                                | Laura Brown                          | PA-03          | 8G-026 | FORSTL                 | 6-5524                       | 6-0230                       | <a href="mailto:laura.brown@hq.doe.gov">laura.brown@hq.doe.gov</a>   |
| Security                                      | Jeffrey Martus                       | SO-1.1         | G-311  | GTN                    | 3-8673                       | 3-0048                       | <a href="mailto:jeffrey.martus@hq.doe.gov">jeffrey.martus@hq.doe.gov</a>   |
| Science                                       | Kaye Coates                          | SC-622         |        | GTN                    | 3-3083                       | 3-8583                       | <a href="mailto:kaye.coates@science.doe.gov">kaye.coates@science.doe.gov</a>   |
| Worker & Community Transition                 | Tony Carter                          | WT-1           | 6G-051 | FORSTL                 | 6-3323                       | 6-1540                       | <a href="mailto:tony.carter@hq.doe.gov">tony.carter@hq.doe.gov</a>   |
| National Nuclear Security Administration      | Richard Speidel                      | NA-60          | 6F-078 | FORSTL                 | 6-5009                       | 6-5433                       | <a href="mailto:Richard.speidel@hq.doe.gov">Richard.speidel@hq.doe.gov</a>   |
| Federal Energy Regulatory Commission          | Sarah Triplett                       | ED-14          | 43-78  | 888 1st St.            | 202-502-6329                 | 202-219-2873                 | <a href="mailto:sarah.triplett@ferc.gov">sarah.triplett@ferc.gov</a>   |

FIELD  
MANAGEMENT CONTROL ACTION OFFICERS

| Organization                             | MCAO             | Address  | Phone                        | Fax          | Internet Address                        |
|--|------------------|--|------------------------------|--------------|---|
| Albuquerque Operations Office<br>NNSA    | Lorraine Cano    | P. O. Box 5400<br>Albuquerque, NM 87115                  | 505-845-4411                 | 505-845-4344 | lcano@doeal.gov                         |
| Chicago Operations Office                | Julie Cramer     | 9800 South Cass Avenue<br>Argonne, IL 60439              | 630-252-2198                 | 630-252-9691 | julie.cramer@ch.doe.gov                 |
| Idaho Operations Office                  | Nick Nicolayeff  | 850 Energy Drive MS 1240<br>Idaho Falls, ID 83401-1563   | 208-526-0172                 | 208-526-7407 | nicolan@id.doe.gov                      |
| Nevada Operations Office<br>NNSA         | Debbie Owens     | P. O. Box 98518<br>Las Vegas, NV 89193-8518              | 702-295-0729<br>702-295-4055 | 702-295-0564 | bustboom@nv.doe.gov<br>owens@nv.doe.gov |
| Oak Ridge Operations Office              | J. Peter Johnson | P. O. Box 2001<br>Oak Ridge, TN 37831-8794               | 865-576-0970                 | 865-576-7813 | johnsonjp@oro.doe.gov                   |
| Y-12 Area Office<br>NNSA                 | J. Peter Johnson |  |                              |              |   |
| Oakland Operations Office<br>NNSA        | Patricia Dillon  | 1301 Clay Street<br>Oakland, CA 94612-5208               | 510-637-1510                 | 510-637-1528 | patricia.dillon@oak.doe.gov             |
| Richland Operations Office               | Richard Holten   | Mail Stop A5-16<br>P. O. Box 550<br>Richland, WA 99352   | 509-376-3058                 | 509-376-0306 | richard_a_holten@rl.gov                 |
| Savannah River Operations Office         | Marlenia Murray  | P. O. Box A<br>Aiken, SC 29801                           | 803-725-5681                 | 803-725-9705 | marlenia.murray@srs.gov                 |
| Savannah River Operations Office<br>NNSA | Marlenia Murray  | P. O. Box A<br>Aiken, SC 29801                           | 803-725-5681                 | 803-725-9705 | marlenia.murray@srs.gov                 |
| Carlsbad Field Office (WIIPP)            | Freida Huckeba   | 4021 National Parks Highway<br>Carlsbad, NM 88220        | 505-234-7315                 | 505-234-7019 | huckebfa@wiipp.carlsbad.nm.us           |
| Golden Field Office                      | Martys Kinsey    | 1617 Cole Boulevard<br>Golden, CO 80401-3393             | 303-275-4715                 | 303-275-4790 | martys_kinsey@nrel.gov                  |
| Ohio Field Office                        | Ron Saylor       | P. O. Box 3020<br>Miamisburg, OH 45343-3020              | 937-865-4405                 | 937-865-4063 | ron.saylor@ohio.doe.gov                 |
| Rocky Flats Field Office                 | Richard Anzures  | 10808 Highway 93, Unit A<br>Golden, CO 80403-8200        | 303-966-9706                 | 303-966-8083 | richard.anzures@rf.doe.gov              |
| National Energy Technology<br>Laboratory | Kirby Rothrock   | P. O. Box 880 - Mailstop A07<br>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<br>Alt. Sandra Dye | 1166 Athens Tech Road<br>Elberton, GA 30635  | 706-213-3810<br>706-213-3813 | 706-213-3884                 | joels@sepa.doe.gov<br>Sandrad@sepa.doe.gov |
| Southwestern Power Administration                             | Robert J. Roettele                 | One West 3 <sup>rd</sup> Street<br>Tulsa, OK 74103-3519  | 918-595-6625                 | 918-595-6656                 | Robert.Roettele@swpa.gov                   |
| Western Area Power Administration                             | James Fitzgerald                   | Corporate Services Office<br>P.O. Box 281213<br>Lakewood, CO 80228-8213                          | 720-962-7434                 | 720-962-7452                 | jfitz@wapa.gov                             |
| Naval Petroleum Reserves<br>Casper                            | Janet Boulanger                    | 907 North Poplar Suite 150<br>Casper, WY 82601   | 307-261-5161<br>x5076        | 307-261-5817                 | janet.boulanger@doe.gov                    |
| Naval Petroleum Reserves<br>California                        | Jack Nisbett                       | 1601 New Stone Road, Suite 240<br>Bakersfield, CA 93309  | 661-837-5040                 | 661-837-5003                 | jnisbett@nprc.doe.gov                      |
| Naval Petroleum & Oil Shale Reserves,<br>FE-47                | Tammy Hainston                     | 3H-076, FORS   | 6-0604                       | 6-4446                       | tammy-hainston@hq.doe.gov                  |
| Pittsburgh Naval Reactors                                     | Stanley R. Burinski                | P.O. Box 109<br>West Mifflin, PA 15122   | 412-476-7280                 | 412-476-7676                 | burinski@betts.gov                         |
| Schenectady Naval Reactors                                    | Michael B. Bishop                  | P.O. Box 1069<br>Schenectady, NY 12301   | 518-395-4654                 | 518-395-6390<br>518-395-6670 | Bishopm@kapl.gov                           |
| NR-1, Ofc of Deputy Administrator for<br>Naval Reactors, NNSA | Pat Lahiff                         | Bldg. 104 Washington Navy Yard   | 202-781-6178                 | 202-781-6416                 | lahiffpl@navsea.navy.mil                   |
| Strategic Petroleum Reserve Project<br>Office                 | Don Smith                          | 900 Commerce Road East<br>New Orleans, LA 70123  | 504-734-4211                 | 504-734-4672                 | donald.smith@spr.doe.gov                   |
| Strategic Petroleum Reserve, HQ<br>Program Office, FE-46      | Rick Hoffman                       | 3G-038, FORS<br>Strategic Petroleum Reserve Program<br>Office                                    | 6-4401                       | 6-0835                       | hoffman.rick@hq.doe.gov                    |
| Office of River Protection                                    | James E. O'Connor                  | P.O. Box 450, MS H6-60<br>Richland, WA 99352   | 509-376-1703                 | 509-376-8532                 | James_E_O'Connor@rl.gov                    |
| Yucca Mountain Site Characterization<br>Office                | Lisa Barbee                        | Yucca Mountain Site Characterization<br>Ofc.<br>P.O. Box 30307<br>North Las Vegas, NV 89036-0307 | 702-794-5414                 | 702-794-1435                 | Lisa_barbee@notes.ymp.gov                  |

| <b>PLFA Staff</b> | <b>Field &amp; HQ Element</b>     | <b>Significant Issues</b>                       | <b>Perf. &amp; Acct. Report</b> |
|-------------------|-----------------------------------|---|---------------------------------|
| Theresa Ballinger | CH, OR<br>SC                      | Fac. & Infrastructure Management                | R&D Report                      |
| Mindy Bledsoe     | NNSA Serv. Center<br>NNSA, SO     | Stockpile Surveillance & Testing<br>Security    |                                 |
| Ben Chatterson    | WAPA, SEPA, SWPA                  |   |                                 |
| Dean Childs       | NETL, SPRO<br>EE, FE, NE, EH      | Safety and Health                               |                                 |
| Woody Fisher      | OMBE                              | Program Oversight of Contractors                |                                 |
| Tammi Garnand     | RL, RP, CARLSBAD<br>EM, RW        | Nuclear Waste Disposal<br>Environmental Cleanup | FMFIA Sect 4 Attestation        |
| Lynn Harshman     | CIO                               | Information Technology Management               | CFO Message<br>FMFIA Summary    |
| Richard Heller    | RF, SR, OH<br>OMBE/PLFA           | Project Management<br>Performance Management    | Prompt Payment/EFT              |
| Kim McCann        | FERC, EI, HG/BC, PI, IN           |   |                                 |
| Genoa Mitchell    | NNSA/OR, NNSA/SR<br>IG, OA        | Human Capital Management                        | Uncosted Balances               |
| Donna Taylor      | NPRs, GO, ID, SNR, PNR<br>CI, PA, |   | R&D Report                      |
| Michele Turner    | GC, WT, ED, PI, EA, CN            |   |                                 |

O:/cr-30/2002fmfia/02StaffAssignments.doc

May 2, 2003

# memorandum

DATE: May 21, 2003

REPLY TO: IG-1

SUBJECT: Management Control Systems

TO: Heads of Departmental Elements

Each Departmental Element is required to report annually on the results of its management control reviews and financial system evaluations. These reports, which take the form of assurance memoranda to the Secretary, provide a basis for the Department's consolidated report on management controls which is now included in the annual Performance and Accountability Report.

The Office of Inspector General serves a critical function by providing Departmental Elements with a list of Inspector General reports for their use and consideration in preparing the annual assurance memoranda to the Secretary. Our purpose is to identify Inspector General reports that raise concerns regarding management controls which have either direct or indirect implications for the respective Departmental Headquarters and field elements. Attached is a list of Inspector General reports covering the period May 1, 2002, to May 7, 2003. Although these reports, and the reviews they represent, cover a broad spectrum of Department of Energy operations, you will find that several key management challenges have been emphasized, such as:

- Contract administration
- Environmental remediation/compliance
- Information technology
- Performance management
- Stockpile stewardship
- National security
- Worker/community safety

As you will notice, many of these challenges continue to be the focus of our reviews from previous reporting periods. We believe these areas, as well as property and procurement management, including the misuse of Government-issued purchase cards, represent the issues of major vulnerability in the Department. Therefore, we will continue to direct our resources to these and other areas of concern to our customers. Furthermore, as you know, in March, the Department began an effort to address these and other management challenges identified by our

office and the General Accounting Office. Specifically, the Department is in the process of implementing action plans that address these challenges and the underlying causes that allow them to remain persistent issues.

Should you have any questions regarding these reports, please do not hesitate to contact me.



Gregory H. Friedman  
Inspector General

Attachment

cc: Office of Compliance, CR-32

**Office of Inspector General Reports Issued  
May 1, 2002, to May 7, 2003**

NOTE: Beginning in FY 2003, the Office of Audit Services changed its report numbering system. Reports previously identified by regions (CR-Capital Region, WR-Western Region, ER-Eastern Region) are now shown as OAS-Office of Audit Services.

- CR-B-02-02 Procurement Administration at Brookhaven National Laboratory, August 22, 2002
- WR-B-02-03 Sandia National Laboratories Procurement Card Program, August 6, 2002
- OAS-B-03-01 Power Marketing Administration Infrastructure Protection, April 28, 2003
- OAS-B-03-02 Planning for National Nuclear Security Administration Infrastructure, May 6, 2003
- OAS-B-03-03 Infrastructure Improvements at the Hanford Site, May 7, 2003
- CR-C-02-01 Audit of State of Nevada Yucca Mountain Oversight Funds for Fiscal Year 2001, August 22, 2002
- OAS-C-03-01 Final Audit of Princeton University's Costs Claimed for National Aeronautics and Space Administration Contract NAS5-96021, November 18, 2002
- CR-L-02-05 Audit of the Department's Clean Coal Power Initiative, August 2, 2002
- CR-L-02-06 Security Controls Over Intelligence Systems, August 19, 2002
- CR-L-02-07 The 2002 Evaluation of Classified Information Systems Security Program, September 9, 2002
- CR-L-02-08 Review of the Department of Energy's Management of Travel Cards, September 11, 2002
- ER-L-02-03 Survey of Transuranic Waste Records Management at the Rocky Flats Environmental Technology Site, May 23, 2002
- ER-L-02-04 Subcontracting for Environmental Management Projects at the Oak Ridge Reservation, July 30, 2002
- ER-L-02-05 Work for Others Projects at the Western Area Power Administration, September 24, 2002

- WR-L-02-03 Rocky Flats Closure Contract Quarterly Incentive Fees, May 2, 2002
- OAS-L-03-01 Procurement at the Rocky Flats Environmental Technology Site,  
October 29, 2002
- OAS-L-03-02 Project Management Practices in the Office of Science, November 4, 2002
- OAS-L-03-03 Follow-Up Audit on the Department's Management of Field Contractor  
Employees Assigned to Headquarters and Other Federal Agencies,  
December 3, 2002
- OAS-L-03-04 Follow-Up Audit on Internet Privacy, December 5, 2002
- OAS-L-03-05 Federal Managers' Financial Integrity Act Audit Report, January 10, 2003
- OAS-L-03-06 Recruitment and Retention at the Los Alamos and Lawrence Livermore  
National Laboratories, November 27, 2002
- OAS-L-03-07 Subcontracting Practices at the Savannah River Site, December 2, 2002
- OAS-L-03-08 Recruitment and Retention of Personnel in the Department of Energy,  
January 22, 2003
- OAS-L-03-09 Review of the Department's Administration of Financial Instruments,  
January 22, 2003
- OAS-L-03-10 Audit of the Research and Development Investment Criteria for Fossil  
Energy, February 19, 2003
- OAS-L-03-11 Audit of the Office of Science Infrastructure Modernization Initiatives,  
February 26, 2003
- OAS-L-03-12 Department of Energy's Safety Bases for Nuclear Facilities, March 5,  
2003
- OAS-L-03-13 Audit of Performance Measures in the Office of Science, April 22, 2003
- OAS-L-03-14 Office of Energy Efficiency and Renewable Energy's (EE) Grants,  
Subsidies, and Cost Sharing Arrangements, April 17, 2003
- OAS-L-03-15 Audit of the Weatherization Assistance Program, April 18, 2003
- OAS-L-03-16 Audit of the Department of Energy's Nuclear Weapons Incident Response  
Program, April 16, 2003

- OAS-L-03-17 Audit of the Distributed Energy Resources Program, May 2, 2003
- CR-V-02-03 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to Princeton University's Princeton Plasma Physics Laboratory Under Department of Energy Contract No. DE-AC02-76CH03073, July 2, 2002
- ER-V-02-02 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to Fermi National Accelerator Laboratory Under Department of Energy Contract No. DE-AC02-76CH03000, May 1, 2002
- ER-V-02-03 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to Bechtel Jacobs Company LLC FY 2001, May 28, 2002
- ER-V-02-04 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to UT-Battelle, LLC Under Department of Energy Contract No. DE-AC05-00OR22725, May 28, 2002
- ER-V-02-05 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to the Bechtel BWXT Idaho, LLC Under Department of Energy Contract No. DE-AC07-99ID13727, September 6, 2002
- ER-V-02-06 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to the Hanford Environmental Health Foundation Under Department of Energy Contract No. DE-AC06-90RL11711, September 16, 2002
- WR-V-02-04 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to Mason & Hanger Corporation Under Department of Energy Contract No. DE-AC04-91AL65030, May 23, 2002
- WR-V-02-05 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to BWXT Pantex LLC Under Department of Energy Contract No. DE-AC04-00AL66620, July 3, 2002
- WR-V-02-06 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to Sandia Corporation Under Department of Energy Contract No. DE-AC04-94AL85000, July 31, 2002

- WR-V-02-07 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to Los Alamos National Laboratory Under Department of Energy Contract No. W-7405-ENG-36, September 12, 2002
- WR-V-02-08 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to Lawrence Livermore National Laboratory Under Department of Energy Contract No. W-7405-ENG-48, September 12, 2002
- WR-V-02-09 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to BWXT Y-12, LLC Under Department of Energy Contract No. DE-AC05-00OR22800, September 13, 2002
- WR-V-02-10 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to Los Alamos National Laboratory Under Department of Energy Contract No. W-7405-ENG-36, September 16, 2002
- OAS-V-03-01 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to Bechtel Nevada Corporation Under Department of Energy Contract No. DE-AC08-96NV11718, October 28, 2002
- OAS-V-03-02 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to Argonne National Laboratory Under Department of Energy Contract No. W-31-109-ENG-38, November 1, 2002
- OAS-V-03-03 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to Battelle-Pacific Northwest National Laboratory Under Department of Energy Contract No. DE-AC06-76RL01830, November 5, 2002
- OAS-V-03-04 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to the Midwest Research Institute Under Department of Energy Contract No. DE-AC36-99GO10337, December 19, 2002
- OAS-V-03-05 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to the Westinghouse Savannah River Company Under Department of Energy Contract No. DE-AC09-96SR18500, February 28, 2003

- OAS-V-03-06 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to Argonne National Laboratory Under Department of Energy Contract No. W-31-109-ENG-38, April 8, 2003
- OAS-V-03-07 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to Ames Laboratory Under Department of Energy Contract No. W-7405-ENG-82, April 17, 2003
- OAS-V-03-08 Assessment of Changes to the Internal Control Structure and Their Impact on the Allowability of Costs Claimed by and Reimbursed to Bechtel BWXT Idaho, LC Under Department of Energy Contract No. DE-AC07-99ID13727, April 24, 2003
- CR-FC-03-01 Federal Energy Regulatory Commission's Fiscal Year 2002 Financial Statement Audit, March 19, 2003
- CR-FC-03-02 Department of Energy Isotope Program's Fiscal Year 2002 Financial Statement Audit, March 28, 2003
- CR-FS-03-01 Information Technology Management Letter on the Audit of the Department of Energy's Consolidated Financial Statements for Fiscal Year 2002, February 25, 2003
- CR-FS-03-02 Management Letter on the Audit of the Department of Energy's Consolidated Financial Statements for Fiscal Year 2002, March 6, 2003
- IG-0553 Alternative Fuels Use at the Department of Energy, May 2, 2002
- IG-0554 The Plutonium Stabilization and Packaging System at the Rocky Flats Environmental Technology Site, May 13, 2002
- IG-0555 Closure of the Fernald Environmental Management Project, June 5, 2002
- IG-0556 Nuclear Materials Accounting Systems Modernization Initiative, June 6, 2002
- IG-0557 Inspection of Department of Energy Fresh Pursuit Policies and Practices (Classified) (U), June 6, 2002
- IG-0558 Cost Sharing at the Ashtabula Environmental Management Project, June 7, 2002
- IG-0559 Privatization of Safety Management Services at the Savannah River Site, June 18, 2002

- IG-0560 The Department of Energy's Tritium Extraction Facility, June 24, 2002
- IG-0561 Environmental Management Performance Measures, June 27, 2002
- IG-0562 Synchrotron Radiation Light Sources at Lawrence Berkeley National Laboratory and Stanford Linear Accelerator Center, July 22, 2002
- IG-0563 (Classified) Inspection of the Security of Spent Nuclear Fuel at the West Valley Demonstration Project (U), July 30, 2002
- IG-0564 Advanced Vitrification System, August 20, 2002
- IG-0565 Salt Processing Project at the Savannah River Site, August 27, 2002
- IG-0566 National Nuclear Security Administration's Test Readiness Program, September 9, 2002
- IG-0567 The Department's Unclassified Cyber Security Program 2002, September 9, 2002
- IG-0568 Remote Access to Unclassified Information Systems, September 13, 2002
- IG-0569 The Federal Energy Regulatory Commission's Unclassified Cyber Security Program 2002, September 13, 2002
- IG-0570 Depleted Uranium Operations at the Y-12 National Security Complex, September 25, 2002
- IG-0571 Idaho Settlement Agreement Activities, October 9, 2002
- IG-0572 Business Management Information System, November 4, 2002
- IG-0573 Remote Treatment Facility, November 5, 2002
- IG-0574 Calutron Isotope Production Capabilities, November 14, 2002
- IG-0575 Resolution of Significant Finding Investigation Recommendations, November 18, 2002
- IG-0576 Inspection of Nuclear Safety at the Ashtabula Environmental Management Project, November 26, 2002
- IG-0577 Planned Characterization Capability at the Waste Isolation Pilot Plant, December 18, 2002

- IG-0578 Inspection of Explosives Safety at Selected Department of Energy Sites, December 19, 2002
- IG-0579 The Department's Unclassified Foreign Visits and Assignments Program, December 23, 2002
- IG-0580 Management Challenges at the Department of Energy, December 31, 2002
- IG-0581 National Nuclear Security Administration's Nuclear Explosive Safety Study Program, January 2, 2003
- IG-0582 Personnel Security Clearances and Badge Access Controls at Selected Field Locations, January 24, 2003
- IG-0583 Management of Beryllium Metal Supply, January 27, 2003
- IG-0584 Special Inquiry – Operations at Los Alamos National Laboratory, January 28, 2003
- IG-0585 Inspection of Implementation of Corrective Actions Resulting from Force-on-Force Performance Tests, February 12, 2003
- IG-0586 Information System Development Practices at the Bonneville and Western Area Power Administrations, February 21, 2003
- IG-0587 Inspection of Firearms Internal Controls at Los Alamos National Laboratory, February 21, 2003
- IG-0588 Treatment of Mixed Incinerable Waste, March 3, 2003
- IG-0589 Transfer of Excess Personal Property from the Nevada Test Site to the Community Reuse Organization, March 11, 2003
- IG-0590 Refurbishment of the W80 – Weapon Type, March 13, 2003
- IG-0591 Allegations Concerning the Reporting of a Radiological Incident at the Los Alamos National Laboratory, March 20, 2003
- IG-0592 Actions Taken in Response to Missing Hazardous Waste Containing Cyanide – OOU, March 21, 2003
- IG-0593 Concerns Related to the Office of International Material Protection and Emergency Cooperation, April 1, 2003
- IG-0594 Emergency Medical Coordination Memorandum of Agreement at Brookhaven National Laboratory, March 31, 2003

- IG-0595 Beryllium Oxide Operations at the Y-12 National Security Complex, April 16, 2003
- IG-0596 University of California's Costs Claimed and Related Internal Controls for Operation of Los Alamos National Laboratory, April 16, 2003
- IG-0597 Inspection of Internal Controls Over Personal Computers at Los Alamos National Laboratory (Interim Report), April 24, 2003
- IG-0598 Status of the National Ignition Facility Project, April 28, 2003
- INS-L-02-06 Follow-up Inspection of the Department of Energy's Export Licensing Process for Foreign National Visits and Assignments, June 13, 2002
- INS-L-02-07 Letter Report on "Update of the Y-12 Tactical Response Plan," June 19, 2002
- INS-L-03-01 Letter Report on "Review of Sensitive Information on Department Websites," December 18, 2002
- INS-L-03-02 Letter Report on "Review of an International Agreement," January 8, 2003
- INS-L-03-03 Inspection on the Directing of Subcontract Tasks at the Oak Ridge National Laboratory, January 9, 2003
- INS-L-03-04 Letter Report on "Award of the Waste Isolation Pilot Plant Transportation Contract," February 10, 2003
- INS-L-03-05 Inspection on the Department's Management Program, February 10, 2003
- INS-L-03-06 Letter Report on "Inspection of Explosives Security at Selected Department of Energy Sites," April 3, 2003
- SO21SO13 Inspection of 2001 Safeguards and Security Survey of Los Alamos National Laboratory, February 12, 2003



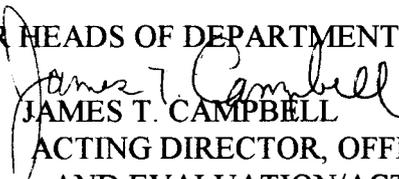
## Department of Energy

Washington, DC 20585

JUN 30 2003

MEMORANDUM FOR HEADS OF DEPARTMENTAL ELEMENTS

FROM:

  
JAMES T. CAMPBELL

ACTING DIRECTOR, OFFICE OF MANAGEMENT, BUDGET  
AND EVALUATION/ACTING CHIEF FINANCIAL OFFICER

SUBJECT:

General Accounting Office Reports for Consideration  
During Year-End Management Control Evaluation Process

DOE Order 413.1, Management Control Program, requires the Office of Management, Budget and Evaluation/Chief Financial Officer to provide a list of General Accounting Office (GAO) reports received by the Department to all Departmental Elements for consideration during the year-end management control evaluation process.

Attachment 1 includes a list of all GAO reports received during the period June 1, 2002, through May 31, 2003. Attachment 2 identifies those reports with recommendations for each Primary Action Activity. Your office should review this information to determine which reports are applicable to your organization. Copies of the listed reports may be obtained via the internet at <http://www.gao.gov/reports.htm>.

If your staff has any questions, please contact Ms. Merley L. Lewis of the Departmental Audit Liaison Team at (202) 586-3469.

### Attachments

cc: w/Attachments  
Management Control Action Officers  
GAO Coordinators  
John Newell  
Marilyn Dillon  
Dianne Williams



Printed with soy ink on recycled paper

## **HEADS OF DEPARTMENTAL ELEMENTS DISTRIBUTION LIST**

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Linton F. Brooks, Under Secretary for Nuclear Security  
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Joseph P. McMonigle, Chief of Staff  
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Mark B. Whitaker, Jr., Departmental Representative to the Defense Nuclear Facilities Safety Board  
Shannon Henderson, Acting Assistant Secretary, Congressional and Intergovernmental Affairs  
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Keith Klein, Manager, Richland Operations Office  
Eugene C. Schmitt, Manager, Rocky Flats Field Office  
Jeffrey Allison, Manager, Savannah River Operations Office  
Rita A. Bajura, Director, National Energy Technology Laboratory

### **PMAs**

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Charles A. Borchardt, Administrator, Southeastern Area Power Administration  
Michael A. Deihl, Administrator, Southwestern Power Administration  
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Revised 6/25/03

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## Final Report Received from 6/1/2002 to 5/31/2003

| Report Number<br>(JobNumber) | Date Final<br>Report Issued | Report Title  |
|------------------------------|-----------------------------|---|
| GAO-03-55<br>120108          | 1/23/2003                   | Acquisition Workforce Problems  |
| GAO-03-443<br>120150         | 4/30/2003                   | FEDERAL PROCUREMENT: Spending and Workforce Trends  |
| GAO-03-42<br>192021          | 10/15/2002                  | Property, Plant, and Equipment (PP&E)   |
| GAO-03-31<br>193026          | 10/9/2002                   | Compliance With the Federal Financial Management Improvement Act (FFMIA)  |
| GAO-02-474<br>310141         | 7/15/2002                   | Inventory of Federal Entities Involved in Critical Infrastructure Protection and Information Operations   |
| GAO-03-233<br>310159         | 2/28/2003                   | CRITICAL INFRASTRUCTURE PROTECTION: Challenges for Selected Agencies and Industry Sectors   |
| GAO-03-43<br>320073          | 10/25/2002                  | Multilateral Export Control Regimes   |
| GAO-02-972<br>320090         | 9/23/2002                   | Restriction of Foreign National Access to Sensitive Technologies in U.S.  |
| GAO-02-610<br>350089         | 6/7/2002                    | Homeland Security Issues  |
| GAO-03-170<br>350123         | 12/5/2002                   | Review of the Federal Government's Effort to Address Homeland Security and Combating Terrorism Issues since the September 11, 2001, Terrorist Attacks |
| GAO-03-46<br>360091          | 12/20/2002                  | Issues Surrounding Natural Gas Pricing.   |
| GAO-02-426<br>360093         | 5/16/2002                   | Second Line Defense Program   |
| GAO-02-567<br>360114         | 5/30/2002                   | Impact DOE's Consent Orders and Interagency Agreements have on the Environmental Cleanup Program  |
| GAO-02-1000<br>360129        | 9/20/2002                   | Opportunities to Promote Initiatives That Could Reduce Support-Related Costs  |
| GAO-02-904<br>360134         | 8/23/2002                   | DOE's Nonproliferation and Verification Research and Development Program  |
| GAO-02-798<br>360143         | 9/17/2002                   | Contract Reform: DOE Has Made Progress, but Actions Needed to Ensure Initiatives Have Improved Results  |
| GAO-03-49<br>360147          | 12/12/2002                  | National Energy Policy - Air Quality Issues   |
| GAO-02-889R<br>360195        | 7/3/2002                    | Review The National Nuclear Security Administration's Stockpile Life Extension Program.   |
| GAO-03-483<br>360234         | 4/16/2003                   | NUCLEAR NONPROLIFERATION: DOE Action Needed to Ensure Continued Recovery of Unwanted Sealed Radioactive Sources                                       |
| GAO-03-34                    | 2/21/2003                   | SENIOR EXECUTIVE SERVICE: Enhanced Agency Efforts   |

## Final Report Received from 6/1/2002 to 5/31/2003

| <b>Report Number<br/>(JobNumber)</b> | <b>Date Final<br/>Report Issued</b> | <b>Report Title</b>   |
|--------------------------------------|-------------------------------------|---|
| GAO-03-225<br>450153                 | 10/31/2002                          | 24 CFO Act Agencies   |
| GAO-03-435<br>545010                 | 4/30/2003                           | RAIL SAFETY AND SECURITY: Some Actions Already Taken to Enhance Rail Security, but Risk-based Plan Needed |
| GAO-03-219<br>842023                 | 2/24/2003                           | Future Costs of Environmental Liabilities.  |
| <b>Total Records: 23</b>             |                                     |   |

Print Date: 6/19/2003

**STATUS OF GAO FINAL REPORTS****Primary Action Activity:****ALL Offices****From 6/1/2002 to 5/31/2003**

| Title<br>Actual Activity  | Rec'd<br>By ME | Due     |                    | Response Package<br>Due to ME |                | Primary<br>Action<br>Activity |
|---|----------------|---------|--------------------|-------------------------------|----------------|-------------------------------|
|   |                | GAO     | Dist<br>To PAA/SAA | Target<br>Date                | Actual<br>Date |                               |
| <b>EA - Office of Energy Assurance</b>  |                |         |                    |                               |                |                               |
| GAO-02-474<br>Inventory of Federal Entities<br>Involved in Critical Infrastructure<br>Protection and Information<br>Operations            | 8/5/02         | 5/31/02 | 5/26/02            | 6/5/02                        | 5/26/02        | EA                            |
| <b>EI - Energy Information Administration</b>   |                |         |                    |                               |                |                               |
| GAO-03-49<br>National Energy Policy - Air Quality<br>Issues   | 11/29/02       | 10/9/02 | 10/2/02            | 10/8/02                       | 10/8/02        | EI                            |
| <b>EM - Office of Environmental Management</b>  |                |         |                    |                               |                |                               |
| GAO-02-567<br>Impact DOE's Consent Orders and<br>Interagency Agreements have on the<br>Environmental Cleanup Program                      | 7/19/02        | 5/15/02 | 5/3/02             | 5/7/02                        | 5/15/02        | EM                            |
| GAO-03-483<br>NUCLEAR<br>NONPROLIFERATION: DOE<br>Action Needed to Ensure Continued<br>Recovery of Unwanted Sealed<br>Radioactive Sources | 5/13/03        | 3/26/03 | 3/20/03            | 3/25/03                       | 3/31/03        | EM                            |
| GAO-03-435<br>RAIL SAFETY AND SECURITY:<br>Some Actions Already Taken to<br>Enhance Rail Security, but<br>Risk-based Plan Needed          | 5/29/03        | 4/16/03 | 4/3/03             |                               |                | EM                            |
| <b>IM - Office of Chief Information Officer</b>   |                |         |                    |                               |                |                               |
| GAO-03-233<br>CRITICAL INFRASTRUCTURE<br>PROTECTION: Challenges for<br>Selected Agencies and Industry<br>Sectors                          | 2/10/03        | 1/17/03 | 1/6/03             | 1/16/03                       |                | IM                            |
| <b>ME - Office of Management, Budget and Evaluation/CFO</b>   |                |         |                    |                               |                |                               |
| GAO-02-798<br>Contract Reform: DOE Has Made<br>Progress, but Actions Needed to<br>Ensure Initiatives Have Improved<br>Results             | 9/23/02        | 8/14/02 | 7/31/02            | 8/14/02                       | 8/25/02        | ME                            |
| GAO-02-1000<br>Opportunities to Promote Initiatives<br>That Could Reduce Support-Related<br>Costs   | 10/21/02       | 9/3/02  | 8/22/02            | 8/30/02                       | 9/13/02        | ME                            |

Print Date: 6/19/2003

**STATUS OF GAO FINAL REPORTS****Primary Action Activity:****ALL Offices****From 6/1/2002 to 5/31/2003**

| Title<br>Actual Activity  | Rec'd<br>By ME | Due      |                    | Response Package<br>Due to ME |                | Primary<br>Action<br>Activity |
|---|----------------|----------|--------------------|-------------------------------|----------------|-------------------------------|
|   |                | GAO      | Dist<br>To PAA/SAA | Target<br>Date                | Actual<br>Date |                               |
| <b>ME - Office of Management, Budget and Evaluation/CFO</b>   |                |          |                    |                               |                |                               |
| GAO-03-42<br>Property, Plant, and Equipment<br>(PP&E)   | 10/21/02       | 12/20/02 | 11/4/02            | 11/12/02                      | 11/12/02       | ME                            |
| GAO-03-225<br>PERFORMANCE AND<br>ACCOUNTABILITY: Reported<br>Agency Actions and Plans to<br>Address 2001 Management<br>Challenges and Program Risks                             | 11/1/02        | 11/2/02  | 1/8/03             | 1/8/03                        | 1/8/03         | ME                            |
| GAO-03-55<br>Acquisition Workforce Problems   | 1/31/03        | 11/1/02  | 10/15/02           | 10/31/02                      | 11/1/02        | ME                            |
| GAO-03-34<br>SENIOR EXECUTIVE SERVICE:<br>Enhanced Agency Efforts Needed to<br>Improve Diversity as the Senior<br>Corps Turns Over  | 2/21/03        | 11/28/02 | 11/22/02           | 12/8/02                       | 12/12/02       | ME                            |
| GAO-03-219<br>Future Costs of Environmental<br>Liabilities.   | 2/23/03        | 11/22/02 | 11/6/02            | 11/21/02                      | 1/23/03        | ME                            |
| GAO-03-443<br>FEDERAL PROCUREMENT:<br>Spending and Workforce Trends   | 5/1/03         | 4/4/03   | 3/25/03            | 4/3/03                        | 4/4/03         | ME                            |
| <b>NA - National Nuclear Security Administration</b>  |                |          |                    |                               |                |                               |
| GAO-02-610<br>HOMELAND SECURITY: Key<br>Elements to Unify Efforts Are<br>Underway but Uncertainty Remains   | 6/8/02         | 5/26/02  | 5/3/02             | 5/26/02                       | 5/26/02        | NA                            |
| GAO-02-904<br>DOE's Nonproliferation and<br>Verification Research and<br>Development Program  | 8/26/02        | 8/9/02   | 7/31/02            | 8/9/02                        | 8/14/02        | NA                            |
| GAO-03-43<br>Multilateral Export Control Regimes  | 10/28/02       | 10/11/02 | 9/30/02            | 10/11/02                      | 10/15/02       | NA                            |
| GAO-03-170<br>Review of the Federal Government's<br>Effort to Address Homeland<br>Security and Combating Terrorism<br>Issues since the September 11, 2001,<br>Terrorist Attacks | 12/5/02        | 11/29/02 | 12/12/02           | 12/15/02                      | 12/16/02       | NA                            |
| <b>Total Records:</b>   | <b>18</b>      |          |                    |                               |                |                               |

**Definition of Status of GAO Final Reports**  
**Primary Action Activity**

**Received by ME**

>Date ME received Final Report from GAO

**GAO**

>Date DOE Response is due to GAO

**Distribute to Primary Action Activity (PAA) and Secondary Action Activity (SAA)**

>Actual date that ME distribute Draft Report to PAA/SAA

**Response Package Due to ME**

>Draft Report Target date when ME Received PAA Response

>Actual Date Draft Report PAA Response Received by ME