

# **Department of Energy**



## **DOE A-123 Corrective Action Plan**

**Chicago**

June 2006



# DOE A-123 - Corrective Action Plan-

## Chicago LBNL

### INTRODUCTION

The Corrective Action Plan is a step-by-step plan of action and schedule for resolving internal control weaknesses identified by the DOE A-123 process. The process includes:

- o Reviewing and defining the problem
- o Finding the cause of the problem
- o Developing an action plan to correct the problem and prevent recurrence
- o Implementing the plan
- o Evaluating the effectiveness of the correction (*Follow up*).

<b>TITLE</b>	<i>Financial Self Assessment Program</i>
<b>CAP #</b>	<i>LBNL- 5</i>
<b>Date Identified</b>	February 2006
<b>Process Cycle (s) &amp; Process(es)</b>	Entity Controls – Monitoring Separate evaluation of controls

### 1.0 SUMMARY OF DEFICIENCIES

*Control weaknesses are undetected and not corrected in time to prevent major audit and/or financial issues. A self assessment program is being developed to address specific concerns and deficiencies in the areas of controls and adherence to policy. A comprehensive self assessment plan and schedule is being developed. Deficiencies detected as a result of the assessment will be addressed. Some assessments have already been conducted. The risk level for this deficiency is high.*

### 2.0 RESPONSIBLE OFFICIAL

*[Provide a program office, name, and contact information of the accountable individual.]*

Program Office	LBNL
Name	Michele Mock
Contact Number	(510) 495-2415
Email	<a href="mailto:MMMock@lbl.gov">MMMock@lbl.gov</a>



## DOE A-123 - Corrective Action Plan-

If other Departmental organizations are involved in related remediations or need to be involved to ensure standardization and/or integration with other efforts (e.g. Tiger Team, etc.), identify the point(s) of contact:

<i>Name</i>	<i>Organization</i>	<i>Role</i>
Marty Straka 630-252-7724	Chicago Office	OMBA-123 implementation contact

### **3.0 REMEDIATION STRATEGY/DESCRIPTION**

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*The approach to correct this deficiency was to develop an assessment plan and schedule in conjunction with any deficiencies noted audits conducted recently. An initial prioritized assessment schedule has been developed to review functional areas of concern within the OCFO. Schedules, reports and sampling plans will be documented and available on file. The result of each assessment will be reviewed by management and corrective actions will be addressed.*

### **4.0 MILESTONES AND TRACKING**

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<i>No.</i>	<i>Milestones/Action</i>	<i>Target Completion</i>	<i>Revised Completion</i>	<i>Actual Completion</i>	<i>Documentation</i>
1	<i>Review areas of control deficiencies</i>	<i>05 - 06+</i>		<i>05 - 06+</i>	<i>Avail on file</i>
2	<i>Develop initial self assessment plan</i>	<i>Nov 05+</i>		<i>Nov 05+</i>	<i>Avail on file</i>
3	<i>Begin assessment reviews</i>	<i>Nov 05+</i>		<i>Nov 05+</i>	<i>Avail on file</i>
	<i>Documentation of New Process/Controls Complete</i>	<i>Nov 05+</i>		<i>Nov 05+</i>	<i>Avail on file</i>
	<i>Implementation Complete</i>	<i>Ongoing</i>		<i>Ongoing</i>	<i>Avail on file</i>



DOE A-123  
- Corrective Action Plan -

5.0 SIGN OFF

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Plan Approved:

Anil More

Operations Manager, OCFO

Name

Title

Handwritten signature of Anil More in black ink.

7/31/06

Signature

Date

Corrective Action(s) Completed/Implemented:

Michele Mock

Manager, Financial Training and Policy, OCFO

Name

Title

Handwritten signature of Michele Mock in black ink.

July 31, 2006

Signature

Date