CHARTER

Laboratory Director's Advisory Council On Integrated Assurance

Fermi National Accelerator Laboratory

1.0 Introduction

Established in 2007 the Fermilab Director's "Advisory Council on Integrated Assurance" also known as the "Assurance Council" (AC), was created to advise and assist the Director on integrated assurance matters involving FRA's performance in compliance with Fermilab prime contract DE-AC02-07CH11359, specifically with DOE O 226 subsequently replaced by Contract Clause H.13 "Contractor Assurance System" (CAS), and Director's Policy No. 39, Assurance Program.

2.0 Purpose

The purpose of the AC is to identify and communicate risk and serve as a mechanism to provide reasonable assurance to the Laboratory Director, and in turn to allow the Director to provide assurances to DOE, the CAS committee of the FRA Board of Directors (BOD) and the full Board of Directors, that sufficient internal control and oversight systems are in place and are operating properly within Fermilab's CAS management systems.

3.0 Membership

Chairperson - Fermilab Chief Operating Officer (COO)
Secretary - Head, Office of Quality and Best Practices (OQBP)
Members - CAS management system owners (MSOs) and CAS implementation Project Manager
Additional members - Appointed as needed by the Chairperson, approved by the Director
Ex-officio members - Director, Deputy Director, a BOD representative, Internal Audit Manager
Advisor - Fermilab General Counsel

Attendance at AC meetings by other than those listed above or their designees will be by invitation of the Chairperson or the Laboratory Director only. The Chairperson may also establish AC sub-teams and may task non-AC members to provide support to the AC or its sub-teams.

4.0 Responsibilities and Duties

4.1 Become familiar with the requirements set forth in the Fermilab prime contract DE-AC02-07CH11359 particularly clause H.13 "Contractor Assurance System", with the Director's policies, and with such other directives and requirements as may be identified by the Chairperson or the Secretary of the AC.

4.2 Ensure clear ownership of directives and orders in the prime contract is understood and accepted

4.3 Ensure that directives and orders are implemented by the appropriate line management

4.4 Periodically review the results of internal and external reviews, assessments and audits (such as administrative, science, projects, conducted by the Internal Audit Department, OQBP, DOE, 3rd parties and others) to determine if oversight systems and policies provide reasonable assurance of compliance and effectiveness and to ensure that appropriate corrective actions are being implemented

4.5 Advise the Director of the Laboratory of perceived significant risk and recommend actions.

4.6 Advise the Laboratory Director whether or not management system controls are providing reasonable assurance in connection with the preparation of formal assurance statements that the Director and the Chairman of the Board must provide to DOE or on other matters as requested by the Director

4.7 Meet regularly to discuss ongoing AC work, to reach agreement or consensus on final reviews or recommendations by the AC, and to plan for future AC activities.

4.8 Provide a venue for:

4.8.1 the CAS implementation project manager to routinely report the status of CAS implementation to the AC and recommend actions needed to improve the FRA CAS

4.8.2 the MSOs to report on the efficiency and effectiveness of their assurance systems, to identify deficiencies and opportunities for improvement

4.9 Report deficiencies to the responsible Laboratory managers and ensure that corrective actions are implemented in a timely and effective manner.

5.0 Procedures

5.1 The AC secretary shall develop and maintain a list of matters to be tracked by the AC (e.g., recommendations and directions from the board of Directors, audit/review findings and resulting action plans, status of performance measures, assurance reporting requirements to DOE, etc.).

5.2 The AC shall regularly review the information on tracked items and promptly advise the Laboratory Director in writing on significant adverse developments such as failure to meet schedules or milestones, or trends or patterns of poor performance or other deficiencies, including an assessment of the risk to the performance of Laboratory missions which such adverse developments may present.

5.3 The AC shall document the work performed by the AC and the corrective actions taken as a result so that such may be readily and easily accessed by DOE and others.

6.0 Changes to the Charter

This Charter shall be periodically reviewed by the Laboratory Director and by the AC to ensure its continued relevance with applicable or evolving policies and requirements. The AC may recommend that changes be made to this Charter, but only the Laboratory Director has authority to direct or approve changes to this Charter.