Fermilab Assurance Council

Assurance Council Charter

Rev 3: February 14, 2020

This document defines the purpose, membership, responsibilities, and reporting requirements of the Fermilab Assurance Council.

1.0 Introduction

The Assurance Council is responsible for overseeing the maintenance and continuous improvement of the Fermilab Contractor Assurance System. The Assurance Council monitors the key performance indicators of the laboratory to assure the performance is in line and the laboratory will meet their PEMP goals and objectives. The AC works in collaboration with the Enterprise Risk Management Board (ERMB) to elevate risks effectively.

2.0 Purpose

The primary purpose of the Assurance Council (AC) is to serve as a forum to evaluate, monitor, and improve compliance with the Prime Contract Clause H.13-Contractor Assurance System (CAS) requirements. The AC shall provide reasonable assurance to the Laboratory Director that the objectives of the CAS are accomplished, risks to achieving compliance to the clause are identified and mitigated, and the systems and controls are effective and efficient. The Laboratory Director is responsible for all programs and delegates responsibility for the Contractor Assurance System to the Chief Operating Officer. The FNAL CAS program is executed by the M&O contract, Fermi Research Alliance, LLC (FRA), is implemented throughout the FNAL organization, and applies to all work conducted at Fermilab and leased spaces.

3.0 Fermilab Assurance Process

The Fermilab Contractor Assurance System encompasses management systems and essential functions essential to mission success. Performance of the management systems and essential functions are evaluated through management system assessments and function key performance indicators (KPIs) across lab research, project and operations. Assessment results and KPI metrics are presented to and reviewed at least monthly by the Laboratory's AC. Emerging risks are captured and provided to the Enterprise Risk Management Board (ERMB). The ERMB assesses all risks by considering risk likelihood and impact at the enterprise level, and then enters newly identified risks or updates to existing risks in the laboratory's enterprise risk register. The ERMB Chair serves as an advisor to the AC in order to maintain the proper level of integration between the two groups.

4.0 Membership

The Assurance Council consists of the AC Chair, Head of Accelerator Division, Head of Neutrino Division, Chief Project Officer, Chief Operating Officer, the Chief Financial Officer and the Chief Strategic Partnership Officer. The General Counsel, Deputy Chief Operating Officer

and the ERMB Chair serve as advisors to the AC and the DOE Fermilab Site Office serves as an observer. The AC Chair is appointed by the Laboratory Director. All other members are appointed by the Chair.

AC Chair: Convenes AC meetings to ensure that key performance indicators are examined, and issues are understood, reported and addressed in a timely manner. The chair is responsible for reporting on behalf of the Council.

Head of Accelerator Division: Reports on accelerator performance and is responsible for keeping the metrics regarding accelerator performance up-to-date.

Head of Neutrino Division: Reports on research and experiment performance and is responsible for keeping the metrics regarding research and experiment performance up-to-date.

Chief Project Officer: Reports on Project performance and is responsible for keeping the metrics regarding Project performance up-to-date.

Chief Financial Officer: Reports on Laboratory financial performance and is responsible for keeping the metrics regarding financial performance up-to-date.

Chief Operating Officer: Reports on Laboratory PEMP performance (PEMP Notables, Corrective Action Plan status, and other stand-alone initiatives) and is responsible for keeping the metrics regarding PEMP status up-to-date. Also ensures the AC is provided lab performance (assessment and KPI metrics) data prior to each meeting.

Chief Strategic Partnerships Officer: Reports on Laboratory Governance and advises the Chief Operating Office as needed.

General Counsel: Advises the AC Chair and members as needed.

Deputy Chief Operating Officer: Advises the AC Chair and members as needed; assists in preparing lab performance data for AC use.

ERMB Chair: Escalates risks to the ERMB and assures that they are properly entered into the Risk Register. Reports back to the AC on the status of risks as directed by the Chair.

DOE FSO Representative: Serves as an observer.

Additionally, all members and advisors are responsible for bringing issues to the Assurance Council that indicates an existing problem or future risk which may jeopardize operations. All members shall attend meetings as called by the Chair and perform AC functions as needed.

5.0 Functions and Responsibilities

The Assurance Council meetings are working meetings where KPIs are reviewed, results are discussed, actions are monitored, enterprise risks are identified, and assurance processes are evaluated for effectiveness.

Evaluating the data from key performance indicators will serve as input for the improvement of systems and controls. The assessments and KPIs that will be monitored by the AC include:

- Management System Assessment status
- PEMP/CAP/other lab initiative status
- Project Input (including construction projects)
- Safety and Security data

- Risk Management data
- Contract Deliverables status
- Accelerator Performance data
- Budget Status data
- Experiment Status/Science output
- Other information as requested by the Council

In addition, the Assurance Council is responsible for ensuring:

- Providing timely notification to the FSO regarding significant assurance system changes.
- The Management Systems conduct rigorous, risk-based, credible self-assessments and actions are completed to improve the systems and the D/S/P compliance with them.
- The appropriate organizations identify and correct negative performance/compliance trends identified through assessments and KPIs before they become significant issues.
- The Management system owners and leaders of essential functions develop performance metrics that are relevant and add value and are reviewed and used by the AC to assess lab performance.
- Appropriate input is given to the Fermilab Risk Management Board related to enterprise level risks that are identified by the assurance data.
- The appropriate level of input is given to the Office of the Chief Financial Officer for the annual Assurance Letter.

Key Deliverables of the Assurance Council:

- Current Management System descriptions
- Annual Assessment Plans
- Enterprise Risk Register input
- Issues Management review/actions/resolution
- Budget Planning input
- Up to date dashboard displaying performance metrics for all KPIs
- Recommended actions to the laboratory director
- Keeping the laboratory director apprised of top concerns and upcoming events or milestones that impact the mission
- Periodic input to lab leadership regarding lab performance

6.0 Charter Owner

Responsibility for reviewing, updating, and communicating changes to this charter rests with the Chief Operating Officer (COO).

7.0 Review Cycle

This charter will be reviewed annually by the Assurance Council. The AC may recommend changes to this charter, but only the Laboratory Director has the authority to direct or approve changes.

8.0 Approvals

Approved:

Kate Gregory
Chief Operating Officer

2/20/2020
Date

Approved:

Nigel S. Lockyer
Laboratory Director

2/18/2020
Date