

Kay Van Vreede

The measures I can think of are:

The Administrative Peer Review

The Report from the Fermilab Committee on Hiring and Retention of Scientific Staff

The HR Balanced Scorecard(overview)

Dave Gassman

1. Internal audits (whether by Alicia's group as part of the FRA internal audit function or Lab management directed)
2. External (DOE functional, DOE/IG, or KPMG) audits/reviews
3. Peer reviews (administration and technical)
4. DOE program reviews
5. FRA/FRA Board committee inquiries/taskings
6. Contract performance measures (including significant deficiencies identified in self-assessments)
7. Litigation by/against FRA/Fermilab
8. notices of violations (from regulators--primarily concerning environmental or safety/health violations)

I don't know how to put these last ones, but they basically relate to a "significant" occurrence that is already, or clearly would be, of "interest" or concern to DOE because of the sensitive subject matter, the visibility of the matter, or the dollar amount involved).

9. "Significant" occurrence reports (whether ES&H, physical security, computer security, or property loss/damage)
10. "Significant" claims or disputes involving the Laboratory (may be a high-value subcontract claim or high-value personal injury claim--that has not yet reached litigation)
11. Congressional inquiries

Randy Ortgiesen

If I understood the action item from today, we were to provide our input on everything that should be considered for tracking:

Internal and External audits, Peer reviews, and DOE review (Ops, program, project, and special reviews), contract performance measures, contract new initiatives, FRA board actions.

Other items not discussed: DOE order compliance, tripartites, environmental actions (recurring permits and other activities?), various councils activities such as LCC.

We should have a list of the active items currently in progress or having actions from prior reviews.

We should have a list of certifications required on a recurring and otherwise basis that Pier and others may need to sign.

Dave Carlson

Assurance Council Report, 03/20/2007
 Examples of Items Tracked & Reported by BSS
Performance

Procurement BSC (multiple items)	DOE	Annual
DOE Small Business Plan & Report		
Property BSC (multiple items)	DOE	Annual

Business Operations

DOE 330 Proc. Report (multiple items)	DOE	Annual
Membership Report	DOE	Annual
Fleet Management Report	DOE	Annual
Mail Management Report	DOE	Annual
Printing and Publications	DOE	Annual
Protective Force Report	DOE	Annual
Publications	Internal	
Travel Compliance Reviews	DOE	Monthly
Internal Audit Findings & Recommendations	Directorate	As Needed
Budget (WPAS, S&S Budget, Internal)	DOE, Internal	Annual,

Month.

Compliance Readiness or Reports

UST System Monitoring	EPA/IEPA, IL Fire Marshal	
Random		
Records Retention Schedules	DOE, NARA	Ongoing
Liquor License	IL	Ongoing
Radio Frequency Spectrum Authorization	DOE	

Miscellaneous Business Operations

All DOE Correspondence	BSS	Ongoing
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Cindy Conger

- Inspector General Audits or Reviews
- Annual FRA External Audit of the Fermilab contract
- Annual FRA External Audit of Federal Grants under OMB A-133 – Findings

- Annual FRA External Audit of the 401(a) Retirement Plan
- Fermilab Internal Audits or Reviews
- FMSIC Peer Reviews of Functional Costs
- Other DOE reviews (e.g. annual Budget Validation)
- Management Assessment of Internal Controls under OMB A-123
- Contract performance measures
- Contract Self-Assessments
- FRA contract commitments
- Recommendations/Requests from FRA Board of Directors or its subcommittees (primarily Audit Committee)
- Lessons learned from other labs/DOE (may arise from many sources—emails, IG reports, FMSIC, meetings among contractor personnel, etc.)