

**DOE CONTRACTOR AUDIT EXECUTIVE COUNCIL (CAEC)  
STEERING COMMITTEE CHARTER**

**PURPOSE:** The purpose of the Department of Energy Contractor Audit Executive Council (CAEC) is to foster relationships with our primary stakeholders (contractor internal auditors, DOE and DOE-NNSA Office of Chief Financial Officer, Acquisitions and Project Management, and the national contractor leadership community) and provide a forum for the contractor internal audit functions to share knowledge and training opportunities, leverage best practices, discuss internal audit trends and current or emerging risk issues, and conduct external quality assessment reviews to determine conformance with relevant professional standards.

**AUTHORITY:** The Steering Committee is responsible to the collective CAEC body and has no authority to commit CAEC or their member organizations, either collectively or individually, to any purpose, position, or action.

**MEMBERSHIP:** The Steering Committee shall be composed of the following members including at least one non-M&O contractor:

Membership*	Number of Members	Term
<b><i>Steering Committee Chairpersons:</i></b>		
Steering Committee Chair (former Vice Chair)	1	1 year
Vice Chair (elected)	1	1 year
<b><i>Meetings &amp; Events Subcommittee</i></b>		
	2	1 year
<b><i>Stakeholder Relations Subcommittee:</i></b>		
Elected Members	2	3 years
Steering Committee Chair	1	1 year
<b><i>Standards, Quality &amp; Training Subcommittee</i></b>		
	3	2 years
<b><i>Communications Subcommittee</i></b>		
	2	2 years
<b><i>At-Large Members</i></b>		
	3	2 years

\*See addendum for responsibilities

New chairpersons and Steering Committee members will be appointed and/or elected on the last full day of the annual meeting and will attend the Steering Committee administrative meeting following the close of the event. The appointment and succession process of filling these positions provides continuity on the Steering Committee. Should vacancies occur in the Steering Committee because of retirements or for other reasons, the Steering Committee members may fill them by a simple majority vote. Those filling vacant positions will serve out the term of the member being replaced.

The Steering Committee members annually appoint the Meetings & Events Subcommittee members.

Stakeholder Relations Subcommittee is comprised of the Steering Committee chair and two elected members.

Standards, Quality & Training, the Communications Subcommittees as well as the At-Large members will be elected by a simple majority vote via secret ballot under the direction of the CAEC Steering Committee chair. The vote should be conducted prior to the annual training event (one vote per site).

Only the Chief Audit Executive (CAE) or senior site audit manager (most senior audit executive) is eligible to vote for the CAEC Steering Committee.

Terms may be adjusted as necessary, to provide appropriate continuity of committee or subcommittee representation. Such adjustments require simple majority vote by the Steering Committee.

The Steering Committee typically meets on a monthly basis. One of these meetings is in conjunction with the annual meeting for all CAEC members and another is an in-person mid-year meeting. All other meetings are held virtually.

**ROLES/RESPONSIBILITIES:** The Steering Committee is responsible for the following activities:

1. Provide effective communication of Steering Committee activities to CAEC community.
2. Provide a forum for benchmarking and best practices.
3. Establish and maintain a peer review program consistent with the Standards for the Professional Practices of Internal Auditing of The Institute of Internal Auditors for CAEC internal audit functions.
4. Provide coordination of, and oversight for, the annual meeting.
5. Enhance and promote the professionalism of the contractor internal audit community.
6. Recommend positions, purposes, and actions to CAEC, as appropriate.

## **ADDENDUM A – RESPONSIBILITIES**

### **CAEC Steering Committee Chair & Vice-Chair 1-Year Term**

The chair role will be filled by the former vice chair. The Steering Committee vice-chair will be elected annually. The vice-chair will take lead of the committee when the chair is not available. Responsibilities of the chair and vice-chair include:

1. Leading the CAEC Steering Committee, including monthly meeting agendas and the mid-year meeting agenda and logistics.
2. Serving on the Stakeholder Relations Subcommittee during tenure as chair.
3. Authorize the At-Large members special assignments.
4. Conduct annual elections for the CAEC Steering Committee.

### **Meetings & Events Subcommittee 2 Members – 1 Year Term**

The Meetings and Events subcommittee will be appointed by the Steering Committee by simple majority vote by the end of the annual meeting each year. Every year there will be one CAEC meeting annually, preferably in person, with an expected attendance of 50-100 participants. The primary responsibility of this subcommittee is organizing and hosting this annual meeting. In preparing for the annual meeting, the Meeting and Events Subcommittee should consider the following:

1. Following DOE's requirements and expectations for meetings, including the location of the meeting (taking into consideration proximity to host/site and DOE's sensitivities).
2. Requesting and receiving DOE approval, if required, prior to the formal announcement of the meeting.
3. Managing the attendance level and overall costs within the approved DOE limits.
4. Negotiating room rates, supplies and amenities, and attendee lodging room blocks and rates.
5. Preparing the agendas and acquiring keynote and educational speakers for the annual meeting.
6. Administering the financial (e.g., registration fees) and logistical details. This may include a first day reception sponsored by the host contractors using non-government funds at the meeting.
7. Providing administrative and logistical support to the participants.
8. Administering the CPE credits and certificates at the annual meeting.
9. Providing the CAEC steering committee with updates for the meeting.

### **Stakeholder Relations Subcommittee 2 Members – 3 Year Term and 1 Member – 1 Year Term**

Nominations and elections for open positions on the Stakeholder Relations Subcommittee will be conducted prior to or at the annual meeting for candidates able to serve a three-year term. The Stakeholder Relations Subcommittee is responsible for:

1. Providing relationship building opportunities for the contractor internal audit organizations.
2. Establishing relationships and scheduling periodic meetings with stakeholders from across the DOE, including the Office of the Chief Financial Officer and Office of Acquisition and Project Management; and the contractor leadership community, including the National Laboratory Directors, Operations Officers, and Chief Financial Officers.
3. Providing stakeholders with periodic updates of the activities of the CAEC, internal audit trends, and discuss current or emerging risk issues.
4. Providing CAEC Steering Committee with updates on stakeholder meetings and discussions.

**Standards, Quality & Training Subcommittee**  
**3 Members – 2-Year Term**

Nominations and elections for open positions on the Standards, Quality & Training Subcommittee will be conducted prior to or at the annual meeting for candidates able to serve a two-year term starting as of the annual meeting that year. Standards, Quality & Training Subcommittee members are members of the CAEC Steering Committee. The Standards, Quality & Training Subcommittee is responsible for:

1. Managing CAEC Quality Assessment program in accordance with IIA Standard 1312, External Assessments to include:
  - a) Maintaining schedule and sign-up lists for CAEC Peer Reviews Program.
  - b) Assuring that peer review teams are assembled in accordance with guidance including that:
    - i. Peer review team is of sufficient size and is qualified to conduct the review,
    - ii. Team Leader is an Audit Director/Manager or has prior experience as a Team Leader,
    - iii. At least one team member is an Audit Director or Manager,
    - iv. All team members have completed peer review training prior to the review.
  - c) Serving as Point of Contact (POC) for individual peer reviews. POC is responsible for:
    - i. Providing initial contact with the Audit Director/Manager of the site scheduled for review and the Peer Review Team Leader to determine if the review is on schedule and determining if anything is needed (copies of peer review manual, etc.),
    - ii. Acting as a resource for questions on peer review protocol and interpretation of the applicability of professional standards,
    - iii. Reviewing the draft peer review report for consistency and for the appropriate level of reporting around best practices and compliance with standards,
    - iv. Acting to resolve any conflicts between peer review team and site reviewed. Disagreements may ultimately require POC and Standards, Quality & Training Subcommittee intervention. On rare occasions, it may be necessary for Standards, Quality & Training Subcommittee to review work of a peer review team and as needed, redraft and sign the peer review report.
  - d) Receiving and retaining in confidential files, all final peer review reports.
  - e) Option of receiving and retaining in confidential files a final external peer review report at each five-year period for any sites not participating in the CAEC Peer Review Program.
  - f) Summarizing for CAEC members key issues and best practices reported by peer review teams.
  - g) Preparing Continuing Professional Education (CPE) Certificates and distributing them.
2. Attending semi-annual CAEC Steering Committee meetings and presenting on business of the Standards, Quality & Training Subcommittee.
3. Identifying, coordinating, and organizing common training opportunities for all CAEC members to participate in.

**Communications Subcommittee**  
**2 Members – 2-Year Term**

Nominations and elections for open positions on the Communications Subcommittee will be conducted in September for a two-year term. Communications Subcommittee members are members of the CAEC Steering Committee. The Communications Subcommittee is responsible for:

1. Assisting with the scheduling of monthly ad-hoc Steering Committee teleconferences and the semi-annual CAEC Steering Committee meeting, if requested.
2. Attending semi-annual CAEC Steering Committee meetings and ad-hoc CAEC Steering Committee teleconference meetings to record and distribute to all CAEC members the minutes of those meetings. The minutes may include presentations, draft documents, and other attachments as needed.
3. Maintenance of the CAEC membership roster and contact information.
4. Distributing to the membership as requested by CAEC members, information that maybe of general interest to the CAEC, requests for data, flash surveys, etc.
5. Distributing as requested by the meeting co-chairs, information related to meeting logistics, registration, and advance materials provided to participants.
6. Supporting the CAEC benchmarking and best practices efforts.
7. Administering the CAEC Steering Committee nomination and balloting process each year in advance of the annual meeting. This will require:
  - a) Issuing a call for nominations to the CAEC membership.
  - b) Following up with individuals nominated to assure they have an interest in being considered for Steering Committee participation.
  - c) Obtaining biography (bio) from each candidate.
  - d) Formatting the ballot form and candidate bios and issuing the electronic ballots to all CAEC members.
  - e) Tabulating election results, resolving any ties, and announcing the results before or at the annual meeting.
8. Maintain CAEC website including periodic update of individuals with access.

**At-Large Membership**  
**3 Members – 2-Year Term**

Nominations and elections for open At-Large CAEC Steering Committee members will be conducted prior to or at the annual meeting for candidates able to serve a two-year term starting as of the annual meeting of that year. The elected At-Large members will be responsible for:

1. Attending the semi-annual CAEC Steering Committee meetings during each year of service.
2. Participating in ad-hoc teleconference meetings and other meetings as requested by the CAEC Steering Committee chair/vice-chair.
3. Volunteering for ad-hoc projects in support of the CAEC chair/vice-chair and/or subcommittees as needed.