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Fermi Site Office (FSO)  
Fermi National Accelerator Laboratory (FNAL)  
Fermi Research Alliance LLC (FRA)

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CAS Committee  
Out-Brief Presentation  
June 15, 2011



Office of Science

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## Outline of Briefing

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- Introduction
- Observations, Areas of Improvement & Notable Outcomes
  - FRA
  - FSO
  - FNAL
- Next Steps: Road Map to Peer Review
- Summary

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## Observations: Fermi Research Alliance

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- Good News
  - Corporate governance structure is in place
  - Ready to respond to CAS requirements
- Bad News
  - Lack of senior leadership committee comprised of all three parties
  - Lack of follow up on CAS Committee recommendations from January
  - Lack of oversight holding Lab management accountable to complete preparations for Peer Review

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## Areas for Improvement for FRA

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- Establish CAS management leadership group with FNAL and FSO
- Apply system defined in CAS description to address CAS Committee recommendations (figure 3, page 8)

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## **Notable CAS Practices: FRA**

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- None

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## Observations: FSO

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- **Good News**
  - Demonstrates a sense of partnership with FNAL and FRA
  - Open communication channels and clear engagement at all levels
- **Bad News**
  - Lack of senior leadership committee comprised of all three parties
  - Lack of common vision for CAS success criteria

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## Areas for Improvement for FSO

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- Establish CAS management leadership group with FNAL and FRA
- Come to internal understanding on success criteria for CAS

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## **Notable CAS Practices: FSO**

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- Demonstrated partnership with FNAL and FRA at all levels

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## Observations: FNAL

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- Good News
  - The sections in the Lab are well run and utilize risk management practices
  - The Section Heads are committed to continuous improvement
  - Contract-requirements mapping is in progress
  - Regular communication and engagement with FSO
- Bad News
  - Lab leadership has abdicated responsibility for CAS
  - Lack of urgency for development and implementation of CAS
  - No common success criteria for CAS

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## Observations: FNAL

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- **Bad News, continued**
  - No enterprise risk management process driving assessment and process improvement
  - CAS is fragmented and being developed from the bottom up
  - Schedule for CAS implementation is too long
  - Assurance Council is ineffective in fulfilling its defined role in CAS per interviews and the CAS Description (page 5)
  - Lack of understanding by key people of their role in CAS
  - The dashboard approach should be top-down driven

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## **Areas for Improvement: FNAL**

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- Establish CAS management leadership group with FSO and FRA
- Articulate the journey from current state to future state
- Empower Assurance Council to be effective in fulfilling its defined CAS role
- Revise CAS Program Description to clearly reflect actual practice
- Identify gaps and implementation plan for closing the gaps for CAS Peer Review

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## **Notable CAS Practices: FNAL**

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- Demonstrated partnership with FSO at all levels
- At the section level, many sections do a good job at risk management
- Creative methodology used by FESS to mitigate risk
- ES&H subcommittee structure is both inclusive and highly effective

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## Next Steps – Road Map to Peer Review (August 2011)

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- CAS leadership group must agree on the path forward
- Run this like a project (e.g. deliverables, schedule, resources, ownership, etc.)
- Story board the ten management systems: output existing system description and gap analysis
  - Hire a facilitator to run a real-time session
  - Develop a matrix to link the ten management systems to the organization chart
  - Provide CAS orientation to story-board session participants
  - Prepare for story boarding session by completing Lines of Inquiry at Lab management level and for each system owner
- Prepare for Peer Review
  - Articulate the 3-5 things each interviewee will use to explain their management obligations wrt CAS
  - Prepare a calendar of all of the oversight reviews that affect section areas (internal, management, external, peer)
  - Compile a list of existing metrics used to evaluate/manage to performance expectations.
  - Select examples that demonstrate continuous improvement
- Revise schedule to reflect required completion for the Peer Review
- Train/rehearse potential interviewees for the Peer Review

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## Summary

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- FRA
  - Step up to CAS oversight responsibilities
- FSO
  - Establish a common understanding of CAS within FSO
- FNAL
  - Leadership must engage
  - Focus, focus, focus on August Peer Review date