

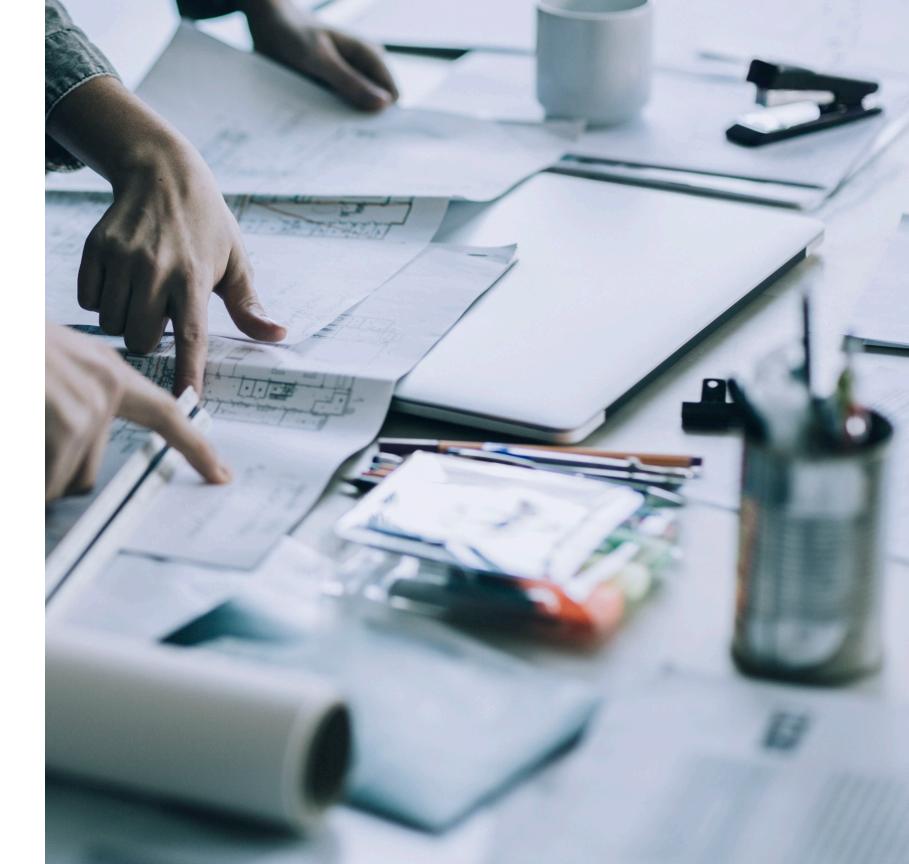
# FY24 Contractor Assurance System Education: a Training Outline

### **Dana Storms**

Executive Director/Chief Risk Officer



PNNL is operated by Battelle for the U.S. Department of Energy





# **CAS** Training **Subgroup Members**



### CONTRACTOR ASSURANCE SYSTEMS (CAS) EDUCATION: A Training Outline for the DOE and NNSA

Community

Generated by the EFCOG Contractor Assurance System Subgroup, Community of Practice for Assurance Integration

## Team

- John Byram, Sandia National Laboratories
- Ronald Briggs, Idaho Cleanup Project
- Scotty Creasey, Y-12 National Security Complex
- Anne Forde, Los Alamos National Laboratory
- Elena Galinski, Argonne National Laboratory
- Heidi Jones, Sandia National Laboratories
- Shannon Mace, Pacific Northwest National Laboratory
- Kevin Mattern, Oak Ridge National Laboratory
- Kelli Presley-Thomas, Department of Energy
- Dana Storms, Pacific Northwest National Laboratory

## **Facilitator**

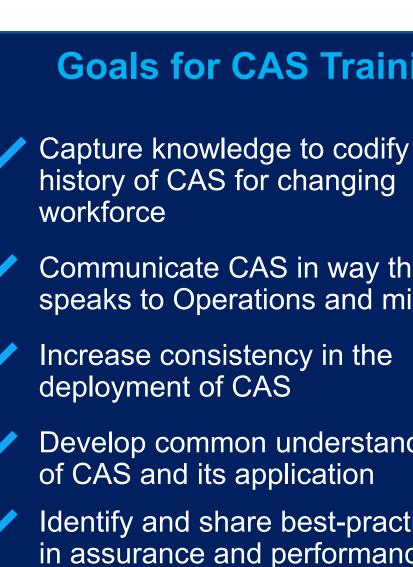
 Caitlyn Ackerman, Pacific Northwest National Laboratory



# **CAS Training Subgroup Desired Outcomes**

The implementation of CAS is unique to each site and role:

- **M&Os** vary and management of Labs/sites is unique to their mission and operating environment
- Parent Companies consist of diverse set of corporate partners providing governance
- Site Offices and federal sponsors employ different approaches to oversight



improvement

## **Goals for CAS Training**

Communicate CAS in way that speaks to Operations and mission

Develop common understanding

Identify and share best-practices in assurance and performance



## **CAS Training Subgroup Focus**

What are the foundational elements of CAS to be included in a training program? What are the key audiences for the CAS Training?

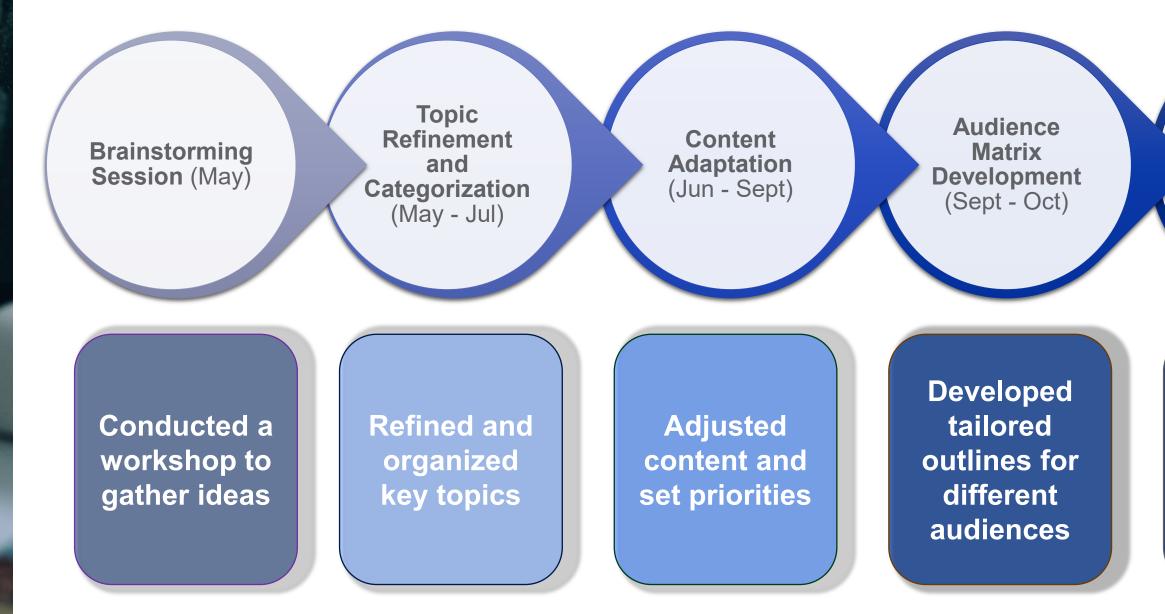
## **Topical areas the Training Subgroup Considered**

- Contract mechanisms
- **Requirements flow-down**
- Operating models
- Application of oversight
- Administration of governance

- How can other EFCOG resource be pulled in? (e.g., CAS Maturity Model)
- Value of assurance for line management and researchers/workforce
- Comparable approaches from industry



## **Process used by the CAS Subgroup**

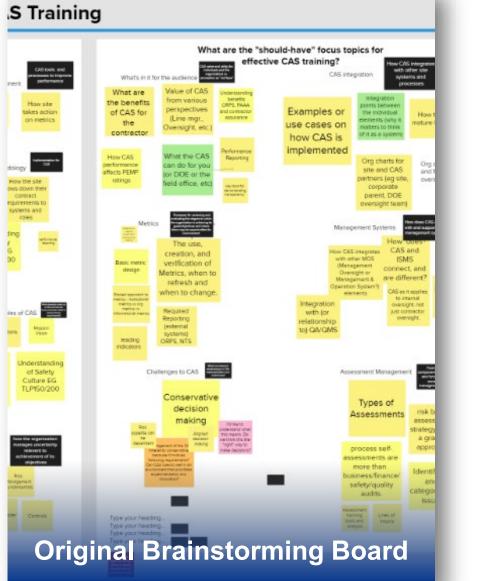


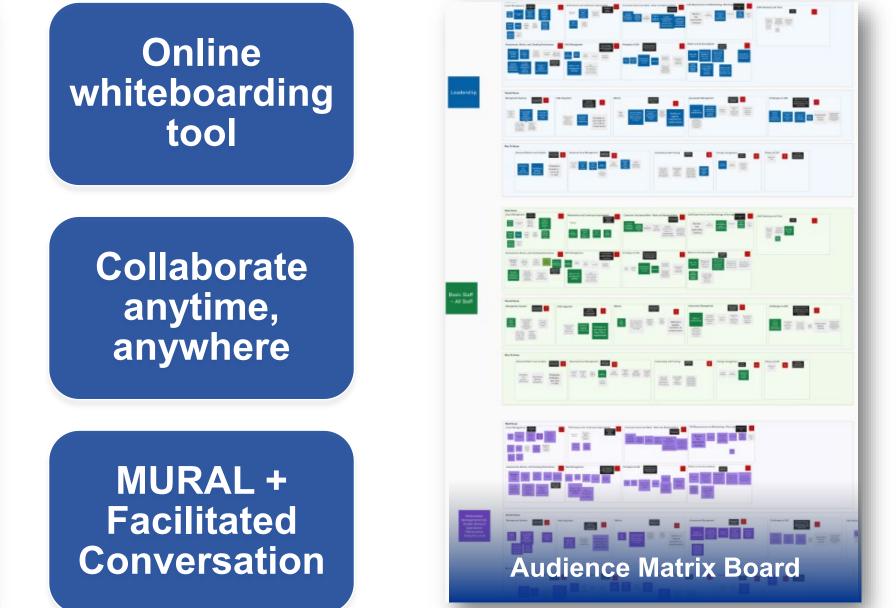
### Finalized Document (Oct)

### Finalized and published the document



# **Subgroup Used Collaboration Tools - MURAL**





October 21, 2024



## **Overview of the FY24 Task Products**

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5. History of CAS.....

Appendix A - Audience Matrix... Appendix B - List of References

Introduc	ction 1
Execu	itive Summary 1
Core To	pics
1.	What's in it for the Audience
2.	Principles of CAS
3.	Contractor Assurance Roles and Responsibilities
4.	CAS Requirements and Methodology
5.	Risk Management
6.	Assessments, Metrics and Checking Performance
7.	Issues Management
8.	Performance and Continuous Improvement
9.	CAS Takeaways and Tools
Recomr	nended Topics
1.	Management Systems
2.	CAS integration
3.	Metrics
4.	Assessment Management
5.	Challenges to CAS
Optiona	l Topics
1.	Advanced Metrics and analytics7
2.	Advanced Issue Management
3.	Customizing CAS Training
4.	Change management

Easy	/ to	Fol	low	Out	tline	of O	CAS
					Top		

Core Topics	Leadership	Basic Staff	Performance Management Staff	
/hat's in it for be audience Demonstrating transparency.		Why CAS matters to the overall mission. Personal benefits of understanding CAS.	How CAS impacts performance assessments and metrics. Importance of transparency and data accuracy.	
Principles of CAS	CAS alignment with mission/vision. Overview of DOE Order/H-Clause.	Basic understanding of CAS elements. Key definitions and terminology.	Advanced understanding of CAS principles. Ensuring CAS compliance aligns with corporate and DOE standards.	
Contractor Assurance Roles Responsibilities Responsibilities CAS Requirements and Methodology Contractor Assurance Roles Responsibilities CAS Requirements Additional and the space of the		Roles of line management, oversight, and partnerships. Awareness of management presence in the field.	Detailed role in monitoring and executing CAS-related tasks. Clarifying the role of requirements owners and system managers. Developing and overseeing CAS methodology for organizational performance. Ensuring compliance with CAS systems and roles.	
		Understanding how contract requirements are applied to daily work. Applicability of CAS to mission delivery.		
Risk Management	Strategic planning and high-level risk management. Oversight of risk mitigation processes.	Basic understanding of	In-depth focus on risk register, controls, and key risk Use Audience Ma reporting high-level risks to leadership.	



## FY25 Task Next Steps

- Establish new Task Subgroup Engagement
- Incorporate peer group feedback to enhance CAS training curriculum
- Develop scope statements and learning objectives for each core training module
- Recommend options for a centralized CAS "Training Library" with:
  - Standardized training guides
  - Best practice examples
  - CAS Training tools

in-depth analysis related to CAS. The	s provide opportunities to explore cutting-ec ay are designed for those who wish to further anced aspects of performance, issue manag	customize their							
	1. ADVANCED METRICS AND ANALYTICS How we perform enhanced reporting on CAS maturity.								
<ul> <li>How we perform enhanced reporting</li> <li>Identifying site-specific CAS I.</li> <li>Leading indicators</li> <li>Predictive analytics - use of A</li> <li>ADVANCED ISSUE MANAGEMEN More detailed issue management/cd</li> <li>Low-level issue tracking</li> <li>Emergent issues from trending</li> <li>Recurring issues, effectivene</li> <li>Human Performance &amp; Hum</li> <li>Causal analysis Methodologi</li> <li>Development of effective Co</li> <li>Evaluating potential correctiv</li> <li>Corrective Action Plan (CAP) Management/Corrective Acti</li> <li>Corrective Action Plan (CAP) Management/Corrective Acti</li> <li>Corrective Action Plan (CAP) Management/Corrective Action</li> <li>Reforming the training based on who</li> <li>How to usake CAS training en</li> <li>How to customize training for vs. line workforce</li> <li>References for training material/content wit</li> <li>Crucial influencer</li> <li>Crucial conversations</li> <li>Importance of engaging qual</li> <li>HISTORY OF CAS</li> <li>Howlyn DOE /contractors develop</li> </ul>	A service of the serv	ples by offering additional cation of CAS. While not m pen their knowledge and d management system. ents and implementation							
	(sub bullet from type o Risk-based assessment strate Process self-assessments are Lines of inquiry Identifying and categorizing as Assessment tracking tools and	<ul> <li>CAS DOE Order</li> <li>Introduction to E</li> <li>CAS Terminolog</li> <li>Applicability of O business/financ</li> <li>Understanding of</li> </ul>							
		<ol> <li>CONTRACTOR ASSU Who does what and why</li> <li>CAS roles/partn</li> <li>Organizational of team)</li> <li>CAS responsibil</li> <li>R2s/A2s by role</li> <li>Requirements of</li> </ol>							

These advanced or specialized topics provide opportunities to explore cutting-edge methods and

OPTIONAL TOPICS

· Management responsibility includes presence in the field providing oversight of work performed



insights and strategies that can mandatory, they are highly drive continuous improvement in

ight or Management & Operation

System (ISMS) connect, and are

### ance/Quality Management Syste

lational to understanding and implementing a CAS (Contractor Assurance ssential principles, processes, and roles that are critical to ensuring CAS ese core areas is necessary for anyone involved in CAS to effectively em's obiectives and compliance requirements.

### THE AUDIENCE

for individuals and the organization) vs. perception as "red tape".

- enefits of CAS for the contractor
- rom various perspectives (Line mgr., Oversight, etc.)
- emonstrating transparency
- can do for you (or DOE or the field office, etc.)
- rmance affects contract continuity of mission and operations
- the benefits of the Occurrence Reporting and Processing System (ORPS),
- Amendment Act (PAAA) and contractor assurance

### AS

ts of CAS and how those concepts relate to various formal requirements

- on and Vision
- er(s) and H-Clause(s)
- Elements of CAS
- pey and Definitions
- f CAS to all areas of compliance and performance, including
- ice, cyber/physical security, supply chain, etc.
- of Safety Culture (for options see Trainings in Appendix B )

### SURANCE ROLES AND RESPONSIBILITIES hen (and whv)?

nerships (DOE, M&O, etc.) and associated responsibilities charts for site and CAS partners (e.g., site, corporate parent, DOE oversight

- ilities and behaviors
- e that manage and support CAS
- Requirements owners or management system owners



# Thank you

