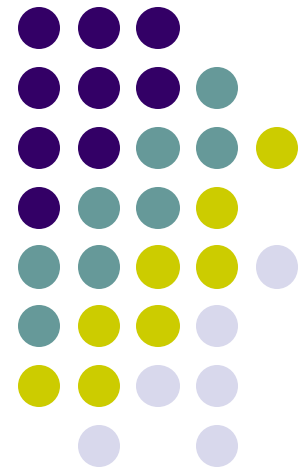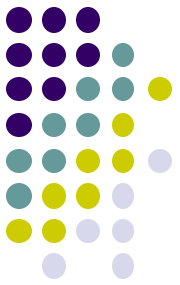# CA-24-01 CAS Maturity Evaluation Tool Improvements FY24 Recommendations and FY25 Plan

John W. Byram

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Chair, Assurance Integration CoP
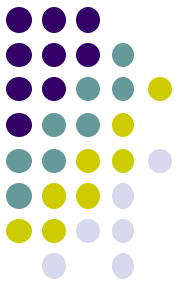
jwbyram@sandia.gov
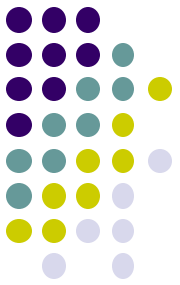
FY24 CoP Activity Description

Activity	Benefit(s)	Deliverable/Key Milestone(s)
CAS-24-01 – Review and recommend improvement to the <u>EFCOG CAS Maturity Evaluation Tool</u>.	Maintain alignment with the latest understanding of assurance and maturation of CAS implementation across the complex.	1. Recommendations to update the current Maturity Evaluation Tool to be inclusive of both federal and contractor organizations. 2. Propose guidance on how to use the Maturity Evaluation Tool to simplify, strengthen, and sustain CAS programs.

FY24 Task Team: Norm Barker (BGS), Ronald Briggs (INL), John Byram (SNL), Scott Creasey (Y12), Tharon Giddens (SRS), Heidi Jones (SNL), Brian Martin (SRS), Shannon Mace (PNNL)

The CAS Maturity Evaluation Tool

- CAS Maturity Evaluation Tool (13 pages) **organizes content to align with the contractor CAS requirements** contained within DOE O 226.1B, *Implementation of DOE Oversight Policy*.

- Elements covered include **assurance system effectiveness, metrics, assessments, issues management, continuous improvement, risk management, program implementation/monitoring/communication**.

- Features **86 criteria** for calculating **two possible maturity levels** – "Implements and Meets Requirements" and "Enhanced" – for each element's descriptive components.

- First maturity level is graded "Yes/No" to indicate **presence or absence of component**; second level graded from 1-5 as "enhanced" maturity is **rated based on perceived health of more advanced components**.
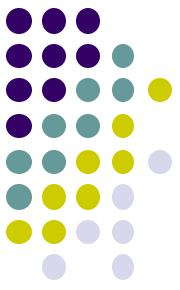
Maturity Evaluation Tool Example

Self-Assessment and Feedback- Source Requirement *(2.b(2))*

"Rigorous, risk-informed, and credible self-assessment and feedback and improvement activities. Assessment programs must be risk-informed, formally described and documented, and appropriately cover potentially high consequence activities."
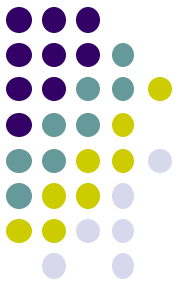
Level 1 – Implemented and Meets Requirements	Y/N	Comments
An assessment program that formally describes a rigorous, risk-informed, and credible self-assessment process, including feedback and improvement activities		

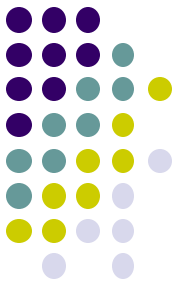| Level 2 - Enhanced	Score 1-5	Comments
An annual and multi-year strategy/plan is developed to integrate various input and ensure that all functional areas and facilities are periodically assessed		

Foundational Questions

- Are there **organizational or content elements** of the current model that need to be reworked?

- Are there **important topics or criteria missing** or in need of revision?

- Are the **two maturity levels in the model satisfactory** or should EFCOG consider creating additional levels?

- Are there specific **ways that EFCOG might promote the Maturity Evaluation Tool** to better support and improve its members' CAS programs? For example, would wider dissemination of how the EFCOG tool has been used by stakeholders and sites raise the tool's profile, visibility, and impact?

FY24 Recommendations

- Incorporate an **"Introduction" section to explain the purpose** of the EFCOG CAS Maturity Evaluation Tool.

- Conduct **benchmarking to identify current CAS maturity best practices** in use by DOE/NNSA sites for possible incorporation into the Maturity Evaluation Tool.

- Add various **references, tools, templates**, etc., that will help execute a CAS Maturity Evaluation based on existing EFCOG best practices and benchmarking feedback.

- **Expand the tool's criteria** to highlight three to five "Levels of Maturity" using the feedback and lessons learned gathered from the benchmarking effort.

FY25 CoP Activity Description

Activity	Benefit(s)	Deliverable/Key Milestone(s)
CAS-25-01 – Completion of the activities and improvements for the EFCOG *CAS Maturity Evaluation Tool*.	Maintain alignment with the latest understanding of assurance and maturation of CAS implementation across the complex.	1. Create a section to explain the purpose and use of the EFCOG *CAS Maturity Evaluation Tool*. 2. Conduct Benchmarking to identify best practices. 3. Expand the tool to incorporate best practices and references.

QUESTIONS?