

SUBJECT:	Fermilab Assessment Manual – Chapter 4 Independent QA Assessment Procedure – Form 2	NUMBER:	3902.1004 FORM 2
RESPONSIBILITY:	Quality Assurance Manager	REVISION:	001.2
APPROVED BY:	Head, Office of Quality and Best Practices	EFFECTIVE:	12/09/2010

Fermilab Independent QA Assessment Report	
Assessment Number & Title:	11-IA-QA-007 TD Records Management Version: 1.0
Date(s) of Assessment: 4/11/11 – 4/15/11	
Performing Organization: Office of Quality & Best Practices	
Assessed Organization(s): Technical Division (TD) including the following departments: <ul style="list-style-type: none"> • Headquarters • Support • Quality and Materials • Machine Shop 	
Report content The main body of this report contains the following sections: <ul style="list-style-type: none"> • Assessment Activities & Scope • Scope Limitations • Activities Reviewed Within this Assessment • Description of the Implementation & Effectiveness of Observed Activities • Conclusions • Findings • Observations & Recommendations • Commendable Practices <p>Assessment Activities & Scope:</p> <p>Implementation and effectiveness of controls for Records Management relative to the requirements of Integrated Quality Assurance (IQA) were examined via interview, observation, and document & record review. These controls were examined across the TD departments listed in the “Assessed Organization(s)” section of this report.</p> <p>Scope Limitations:</p> <p>The scope of this assessment was limited to the four departments listed in the “Assessed Organization(s)” section of this report.</p> <p>Activities Reviewed Within this Assessment:</p> <ul style="list-style-type: none"> • Acquisition • Budget • Building management • Cost Estimation • Database Administration • Environment, Safety, and Health (ES&H) • Facility management 	

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- File Custodian
- Finance
- Machine Shop Management
- Machine Shop Repair
- Project Coordination
- Records Coordination
- Weld Shop Management

Description of the Implementation & Effectiveness of Observed Activities:

Records management:

Records management requirements found in IQA chapter 4 have not been fully met within the TD departments assessed. Those requirements that have been met have been effectively implemented.

File plans have not been implemented in accordance with the Records Management Program for TD departments. The required file plans have not been developed and posted on the Business Services Section (BSS) Records Management program web site. However, all employees interviewed were able to identify the records they produce and were able to locate the official versions of those records within the records management system, whether in electronic or hard copy format. The File Custodians were able to locate 100% of the records they are responsible for within their department. The assessment team observed electronic records stored in databases such as Vector (File01) and ONBASE, which are backed-up on a regular basis. They also observed that all employees that receive records in email except one remove the records from the email system and store them on shared drives or print them out and store the hard copies.

According to interviewees, records management requirements of Records Coordinator and File Custodian positions have not been communicated to all employees in these positions. Communication along the “records management information chain” of Fermilab Records Administrator to D/S/C Records Coordinator to Department File Custodian is incomplete. This has led to issues such as lack of knowledge of what information is required in file plans, lack of knowledge of how to assign disposition schedules to record groups, and lack of knowledge of a database of records sent to offsite storage.

All 15 employees interviewed have taken the online Records Management training and the online Protecting Personal Information at Fermilab training. As of 4/12/2011, 94% of all TD employees have taken the Records Management training and passed the test as shown in the attached training report (File02). The Records Coordinator and File Custodians have not received any additional training from the Fermilab Records Administrator for these positions. Employees in these positions have indicated they would benefit from additional training in these areas. More information is available in observation 1 below.

One finding on file plan implementation and two observations relative to training, communication, and email records are described below in the Findings and Observations and Recommendations sections

Conclusions:

File plans have not been implemented in accordance with the Records Management Program for TD departments

TD employees store the necessary records to provide evidence of process effectiveness and conformity

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with requirements. They are able to access the official versions of these records in both electronic and hard copy format. The necessary provisions are taken to maintain and safeguard these records.

All personnel interviewed have taken the online Records Management and Protecting Personal Information at Fermilab (PII) training. Records Coordinator and File Custodian personnel are lacking additional training that could be helpful in communicating and understanding the responsibilities of these positions. One finding and two observations were made during the assessment.

Findings:

File plans have not been implemented in accordance with the Records Management Program for TD departments.

In the Fermi National Accelerator Laboratory Employee Records Management Handbook, the section titled ‘What is a Retention and Disposition Schedule?’ states: “Each of the Laboratory’s D/S/C is responsible for developing file plans for their offices and departments...”

- There are no active TD file plans on the BSS Records Management Program web site.
- The Department Records Listings (File03, File04, File05, File06), which are the predecessors of the TD department File Plans, do not contain the DOE disposition schedule that the record types fall under.
- There were two instances of records missing from file plans: inspection records for elevators, lifts, slings, and emergency lights were missing from the Support Department Records Listing (File 04), and project estimates, milestones, and accounting records were missing from the Quality and Materials department Records Listing (File 05).

Observations and Recommendations:

1. **Observation:** There is a lack of communication along the “records management information chain” of Fermilab Records Administrator to TD Records Coordinator to Department File Custodian. This has resulted in a lack of knowledge in some of the responsibilities of these positions such as the existence of a database of records (File07) that have been moved offsite that is unknown to the Records Coordinator.
Recommendation: Arrange training with the Fermilab Records Administrator, the TD Records Coordinator, and the TD File Custodians to ensure consistent understanding of their records management responsibilities.
2. **Observation:** There was one instance of records received via email that were saved in the email system.
Recommendation: Ensure that all employees understand the requirements contained in the document, Fermilab Email Records Procedures, found on the BSS web site at <http://bss.fnal.gov/records/index.html>

Commendable Practices:

1. The Vector database (File01) is an effective repository for storing electronic records of Travelers as well as a good “green initiative” for eliminating large amounts of paper records.

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Names of Person Interviewed:

T. Gardner
E. Hagler
M. Herman
R. Hiller
B. Karau
S. Larson
G. Lorenz
T. McGowan
P. Olderr
R. Ruthie
M. Schmidt
G. Sliwicki
J. Szal
H. Szuba-Jensen
L. Trierweiler

Documents Reviewed:

- Applicable Code Guidance at Fermilab (welding requirements spreadsheet)
- FACMAN Electronic Database – various records
- Kronos electronic database – various records
- LARP Open task LHQ Design Spreadsheet
- MCD File Cabinet Inventory
- NOVA Kicker 0459 Accounting Spread sheet
- ONBASE electronic database – various records
- Procard Records electronic database for Quality and Materials Department
- Procedure Qualification record PQR SS-1-001
- Request for Machine Service Repair – form and various records
- TD FY11 Task Spreadsheet
- TD FY11 Total Funds Spreadsheet
- TD Quality Management Program Records Listing TD-2010-RC1 ES&H Group
- TD Quality Management Program Records Listing TD-2010-RC1 Machine Shop Department
- TD Quality Management Program Records Listing TD-2010-RC1 Quality and materials Department
- TD Quality Management Program Records Listing TD-2011-RC1 Support Department, FACMAN Group
- Vector electronic database – various records
- Welder Performance Qualification Record 04609
- Welding Procedure Specification WPS-SS-1-001

Standards, Regulations, and Other Program Requirements Applied:

The specific criteria applied to this assessment were:

1001 Fermilab Integrated Quality Assurance (IQA)

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Chapter 4 – Documents and Records
Records Management – Information for Records Staff
Fermilab Employee Records Management Handbook
Fermilab Email Records Procedures
Records Management – Eliminating Non – Records
Records Management Exit Procedures
Records Management – Employee Termination Procedures
Technical Division Quality Management Program, TD2010

Describe or List Any Other Assessment Methods Used:
None

Corrective Action Plans Issued: TD-20110422 File Plans
TD-20110422-01: File plans have not been implemented in accordance with the Records Management Program for TD departments.

Assessors' Names (asterisk indicates team leader):

- John Dawson – ES&H
- John Martzel* - OQBP
- Tim Miller – ES&H

Submitted by: Lead Assessor **Date:** 04/22/2011

Distribution (Distribute to assessed organizations' management, OQBP head, and other interested parties):

Giorgio Apollinari	Bob Grant
David Harding	Ed Vokoun
Romesh Sood	Jed Heyes
Jamie Blowers	John Dawson
Adam Bracero	John Martzel
	Tim Miller

Attachments:

- File01 – Vector Database
- File02 – TRAIN Summary Report for FN000466/CR
- File03– TD Quality Management Program Records Listing TD-2010-RC1 ES&H Group
- File04- TD Quality Management Program Records Listing TD-2011-RC1 Support Department, FACMAN Group
- File 05 - TD Quality Management Program Records Listing TD-2010-RC1 Quality and Materials Department
- File06 – TD Quality Management Program Records Listing TD-2010-RC1 Machine Shop
- File07 – Database of Quality and Materials Department records stored offsite.