

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

<b>Fermilab Independent QA Assessment Report</b>	
<b>Assessment Number &amp; Title:</b> 11-IA-QA-007 WDRS Records Management	<b>Version: 1.0</b>
<b>Date(s) of Assessment:</b> 3/28/11 – 4/1/11	
<b>Performing Organization:</b> Office of Quality & Best Practices (OQBP)	
<p><b>Assessed Organization(s):</b> Workforce Development and Resources Section (WDRS) including the following departments:</p> <ul style="list-style-type: none"> <li>• Benefits</li> <li>• HR Services</li> <li>• Diversity/EO</li> <li>• Employment</li> <li>• Education</li> </ul>	
<p><b>Report content</b></p> <p>The main body of this report contains the following sections:</p> <ul style="list-style-type: none"> <li>• Assessment Activities &amp; Scope</li> <li>• Scope Limitations</li> <li>• Activities Reviewed Within this Assessment</li> <li>• Description of the Implementation &amp; Effectiveness of Observed Activities</li> <li>• Conclusions</li> <li>• Findings</li> <li>• Observations &amp; Recommendations</li> <li>• Commendable Practices</li> </ul> <p><b>Assessment Activities &amp; Scope:</b></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 &amp; record review. These controls were examined across the WDRS departments listed in the “Assessed Organization(s)” section of this report.</p> <p><b>Scope Limitations:</b></p> <p>None</p> <p><b>Activities Reviewed Within this Assessment:</b></p> <ul style="list-style-type: none"> <li>• Records Coordinator</li> <li>• File Custodian</li> <li>• Compensation</li> <li>• Affirmative Action</li> <li>• Travel</li> <li>• Pro Card Procurements</li> </ul>	

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- Benefits
- VISA petition processing
- Education services
- Summer intern program
- Data Entry
- Employment services

**Description of the Implementation & Effectiveness of Observed Activities:**

Records management:

Records management requirements found in IQA chapter 4 are met and are effectively implemented within the WDRS departments assessed. All employees interviewed demonstrated awareness of their responsibilities relative to records management requirements, were able to identify the records they produced, and were able to locate the official versions of those records within the records management system. Employees store electronic records in databases and on shared drives which are backed up on a regular basis. Employees stated that when they receive records via email, they remove the records from the email system and store them on shared drives, or print them out and store them as hard copies.

WDRS handles a large amount of Personally Identifiable Information (PII), both internally and externally generated. All interviewees were well aware of PII records storage and handling requirements. PII protection strategies observed during the assessment included “clean desk policy” (no PII documents open on unattended desks), PII kept in locked cabinets, and PII kept in locked offices. Although the team requested to see PII from 8 interviewees, no PII was shown to the team nor observed by the team during the assessment either in hard copy format or on computer monitors.

According to interviewees the Records Coordinator acts as the information channel for news going from the Records Administrator to the File Custodians. They also serve as the coordinator when employees leave Fermilab by ensuring the employee termination process is correctly executed. In addition, they manage the annual house cleaning of non-records within WDRS.

Each file custodian maintains their department file plan, has access to all department records, and tracks department records sent to off-site storage. Official WDRS department file plans observed during the assessment are found at: [http://bss.fnal.gov/records/restrict/file\\_plans.html](http://bss.fnal.gov/records/restrict/file_plans.html). Examples of WDRS file plans are attached (File01, File02). The team observed Records Storage and Disposition (RSD) forms for 7 boxes (14363 – 14369) (File03) of records that have been shipped off-site. The team also observed 3 boxes (14850 – 14852) of records ready to be shipped as well as the material move request for PO 572399 (File04) that authorizes their movement offsite.

All employees interviewed have taken the online records management training and passed the required test. All 8 employees interviewed that handle PII have taken either Protecting Personal Information training or Advanced PII training. As of 3/28/2011, 87.8% of WDRS employees have taken the records management training and passed the test as shown in the attached training report (File05). All employees stated they would go to their File Custodian, Records Coordinator, or Records Administrator if they had questions about records management issues. Training, as measured by records management and PII knowledge and demonstrated competency of the employees interviewed, has been effective.

Although records management has been effectively implemented in the WDRS departments assessed, three observations and one positive observation were made. These issues observations are described below in the

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Findings and Observations and Recommendations sections.

**Conclusions:**

The WDRS departments assessed employ an effective system of records management controls to ensure that records are managed according to Department of Energy (DOE) and Fermilab requirements. All employees interviewed have taken the required online Records Management training as well as either PII or advanced PII training. All knew how and where to store records, how to retrieve records, and how to get answers to records management questions. The Records Administrator and the File Custodians interviewed were knowledgeable about their procedures and the overall records management program. Three observations and one positive observation were made during the assessment.

**Findings:**

None

**Observations and Recommendations:**

1. **Observation:** The Education Department file plan dated 9/2008 on the BSS web site is out of date.
  - The entry for item 1.20, Program email network drives, references Administrative Records Schedule (ADM) 1.56a. The latest revision of the Department of Energy (DOE) Administrative Records Schedule 1, Personnel Records, dated 9/15/10 no longer contains an entry numbered 1.56a, but ends at 1.55.
  - The entry for item 3.10, software licensing, does not list an associated ADM disposition schedule
  - The entry for item 3.5, Procard refers to DOE Administrative Records Schedule ADM 23.1a, Office Administrative Files. However, in all other WDRS file plans, Procard entries refer to DOE Administrative Records Schedule ADM 3.3a1b, routine procurement files.

**Recommendation:** Review all department file plans to ensure they are up to date and correct.
2. **Observation:** The International Services file plan dated 3/17/11 was only partially loaded on the BSS web site.
 

**Recommendation:** Ensure the latest version of the International Services file plan is posted on the BSS file plan web site. (The full version has since been uploaded.)
3. **Observation:** Supply purchase receipt records were observed that exceeded the “destroy when 2 years old” interval specified in the DOE Administrative Records Schedule 23.1.a and the WDRS Human Resources file plan. A customer receipt/pick ticket for the purchase of manila folders dated 3/14/08 was observed (File06).
 

**Recommendation:** Supply records older than the allowed 2 year retention period should be reviewed to see if they are still current and active. If not, they should be destroyed according to the disposition schedule.
4. **Positive Observation:** In addition to the official Education department file plan, an unofficial Education file plan (File07) dated March, 2011 was seen that contained the locations of the records as well as the names of the responsible person for the records.
 

**Recommendation:** The team felt that the additional information found in the unofficial file plans is very helpful in effectively managing these records. Determine if adding the additional information to the official file plans is feasible.

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**Commendable Practices:**

None

**Names of Person Interviewed:**

- Carol Angarola
- Dianne Engram
- LaMargo Gill
- Jason Johnson
- Shelley Krivich
- Gayle Millman
- Lucy Ontiveros
- Trupti Patel
- Laurie Pederson
- Jane Sylvester
- Amanda Thompson
- Mary Todd

**Documents Reviewed:**

- Internship for Physics Major Summer Intern offer
- Education Office File Plan Update March 2011
- Collaborating Academic Partnership Program Class Roster and Grade Sheet
- Aurora University – College of Education Student Survey
- Application for IPM (Internship)
- List of Teaching Grants
- Monthly EEO detailed reports
- Affirmative Action Plans
- College transcripts
- GEM reports
- FNAL Executive Order 11246 Affirmative Action Program for Women and Minorities

**Standards, Regulations, and Other Program Requirements Applied:**

The specific criteria applied to this assessment were:

1001 Fermilab Integrated Quality Assurance (IQA)  
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

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Records Management Exit Procedures Records Management – Employee Termination Procedures	
<b>Describe or List Any Other Assessment Methods Used:</b>	
None	
<b>Corrective Action Plans Issued:</b>	
None	
<b>Assessors' Names (asterisk indicates team leader):</b>	
<ul style="list-style-type: none"> <li>• John Dawson – ES&amp;H</li> <li>• *John Martzel - OQBP</li> <li>• Tim Miller – ES&amp;H</li> </ul>	
<b>Submitted by:</b> John Martzel	<b>Date:</b> 04/08/2011
<b>Distribution (Distribute to assessed organizations' management, OQBP head, and other interested parties):</b>	
Kay Van Vreede Barbara Brooks Nicole Gee Carol Angarola Dianne Ingram LaMargo Gill Jason Johnson Shelley Krivich Gayle Millman Lucy Ontiveros Trupti Patel Laurie Pederson Jane Sylvester Amanda Thompson	Bob Grant Ed Vokoun Jed Heyes John Dawson John Martzel Tim Miller
<b>Attachments:</b>	
<ul style="list-style-type: none"> <li>• File01 - WDRS Education Department File Plan</li> <li>• File02 – WDRS Human Resources Department File Plan</li> <li>• File03 – RSD form for boxes shipped offsite</li> <li>• File04 - Material Move Request (MMR) for boxes moved offsite</li> <li>• File05 - Training report for FN000466B – Records management dated 3/28/11</li> <li>• File06 – Customer Receipt for Purchase of manila folders 3/14/08</li> <li>• File07 – WDRS Unofficial Education Department File Plan</li> </ul>	