

<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-008 PPD Records Management <span style="float: right;"><b>Version:</b> 1</span>
<b>Date(s) of Assessment:</b> 4/12/11 – 4/20/11	
<b>Performing Organization:</b> Office of Quality & Best Practices (OQBP)	
<b>Assessed Organization(s):</b> Particle Physics Division (PPD) including the following departments: <ul style="list-style-type: none"> <li>• Theoretical Astrophysics</li> <li>• Neutrino/NOvA</li> <li>• Neutrino</li> <li>• Long Baseline Neutrino Experiment (LBNE)</li> <li>• Electrical Engineering</li> <li>• Dark Energy Survey</li> <li>• Mechanical</li> <li>• Experimental Physics Projects (EPP)</li> <li>• Theoretical Physics</li> </ul>	
<b>Report content</b>  The main body of this report contains the following sections: <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 PPD departments listed in the “Assessed Organization(s)” section of this report.</p> <p><b>Scope Limitations:</b></p> <p>The scope of this assessment was limited to the departments listed in the “Assessed Organization(s)” section of this report.</p>	

<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

**Activities Reviewed Within this Assessment:**

- Records Coordinator
- File Custodian
- Pro Card Procurements
- Training needs
- Travel Authorizations processing
- Email
- Purchase Requisitions processing
- Property Passes/Transfers processing
- Equipment Log upkeep
- Memorandums of Understanding
- Monthly Reports

**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 PPD departments assessed with two exceptions noted in the “Findings” section. 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. (Files 1-9) Employees store electronic records in databases and on shared drives which are backed up on a regular basis. Employees did not successfully demonstrate how to store records received via email or email attachments in the manner described by the Records Management Manual, however all necessary email records examined are retrievable via the individual’s email system.

The Records Coordinator tracks all documents sent to off-site storage via a spreadsheet per documented procedure (File 10). This spreadsheet contains entries for boxes of records stored offsite and includes the record owner, box ID, record type, and Records Storage and Disposition (RSD) ID#. File custodians and the Records Coordinator cooperate in maintaining file plans, and custodians have access to all their departmental records. Five out of nine file custodians had no experience in preparing records for off site storage. Those who had processed records for storage were acquainted with the relevant procedures and referenced the Records Management Procedure. Those who had not processed records were aware of a need for contacting the Records Coordinator and/or Records Administrator for further instructions.

As indicated in the Findings section, PPD employees in 12 out of 15 departments have failed to take required on line Records Management training. Though 87% of PPD’s employees have had the training, those that have not taken the training are not concentrated within a few departments. Examination of ITNA records showed the Records Coordinator and all File Custodians had taken the training. All PPD personnel interviewed relied on one-on-one training given by the Records Coordinator, or periodic Administrative Staff meetings in which Records Management issues are discussed. (File 11)

While half the departments have file plans indicating the relevant records with appropriate retention schedules there are exceptions. All file plans were completed at the time of the assessment. Nine of the file plans are still under review by the PPD Records Coordinator but not yet posted on the BSS web site as required. This fact is reflected in Finding 1, below.

<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

**Conclusions:**

The PPD 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 with the exception of two findings noted below. All employees interviewed knew and demonstrated the following: how and where to store records, how to retrieve records, and how to get answers to records management questions. The Records Coordinator and the File Custodians interviewed were knowledgeable about their procedures and the overall records management program. Four Observations were made during the assessment.

**Finding:**

1. Nine out of eighteen file plans are published on the BSS website (File 12). “Each of the Laboratory’s D/S/C is responsible for developing file plans for their offices and departments according to these retention schedules.” BSS Record’s Management Handbook.
2. Fifty-six out of four hundred twenty-seven persons have not taken the required Records Management training as of the time of the assessment. File Management training is an ITNA requirement for all Fermilab employees. (File 13) BSS Email Records Procedures, “Training: All staff will receive training every three years on Records Management

**Observations and Recommendations:**

1. **Observation:** In the case of duplicate records (Files 14, 15 for example) between paper and electronic copies, it isn’t clearly defined in all cases which is the record and which is the copy.  
**Recommendation:** Review instances of duplication and define the record vs. copy.
2. **Observation:** Copies are treated as records when the originals are stored elsewhere. Example, Travel Authorization requests.  
**Recommendation:** Review file plans and determine if copies are needed and determine the appropriate method of controlling them. Consider reclassifying them as administrative aids.
3. **Observation:** There is no standard instruction for handling paper sources of PII (Personally Identifiable Information). All File Custodians and records generators were aware of the sensitivity of PII and took steps on their own to protect it. (file 16)  
**Recommendation:** A list of standard sources of PII and how to handle this PII would be helpful.
4. **Observation:** None of the persons interviewed were familiar with the proper way to identify an email record and how to store it, however necessary information was retrievable.  
**Recommendation:** The Records Coordinator, File Custodian, and records generators should review the “Records Management Handbook, Electronic Records and Email section” and “Records Procedures for Email” also on the BSS site to determine the recommended method of identifying original email records and their storage.

**Commendable Practices:**

The Mechanical Engineering Department has as part of its personal performance evaluation the requirement that all engineering notes have hard copies filed with the department file system, and electronic documents be posted on project document data bases. This practice has the effect of integrating Records Management practices into everyday work processes. (File 17)

<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

<p><b>Names of Person Interviewed:</b></p> <p>D. Denisov C. Johnson E. Johnson C. Kennedy B. Kristen C. Lang C. Laue E. Phillips D. Pushka J. Rippel C. Tate O. Vizcarra S. Wright</p>
<p><b>Documents Reviewed:</b></p> <ul style="list-style-type: none"> <li>• See attachments list</li> </ul>
<p><b>Standards, Regulations, and Other Program Requirements Applied:</b></p> <p>The specific criteria applied to this assessment were:</p> <p>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 Records Management Exit Procedures Records Management – Employee Termination Procedures</p>
<p><b>Describe or List Any Other Assessment Methods Used:</b></p> <p>None</p>
<p><b>Corrective Action Plans Issued:</b></p> <p>PD-2011-04-25-1: Nine out of eighteen file plans are published on the BSS website. “Each of the Laboratory’s D/S/C is responsible for developing file plans for their offices and departments according to these retention schedules.” BSS Record’s Management Handbook</p> <p>PD-2011-04-24-2: Fifty-six out of four hundred twenty-seven persons have not taken the required Records Management training as of the time of the assessment. File Management training is an ITNA requirement for all Fermilab employees. (File 13) BSS Email Records Procedures, “Training: All staff will receive training every three years on Records Management.</p>

<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

**Assessors' Names (asterisk indicates team leader):**

- Tom Gehrke\* - OQBP
- Rod Walton – FESS

**Submitted by:** Tom Gehrke

**Date:** 05/12/2011

**Distribution:**

Bob Grant  
Jed Heyes  
Ed Vokoun  
Rod Walton

Mike Lindgren  
Elaine Phillips  
Keith Schuh

**Attachments:**

- File 1 PPD\_EED File Plan.pdf
- File 2 PPD Theory File Plan.pdf
- File 3 PPD Mech Dept File Plan.pdf
- File 4 PPD Neutrino Dept records.pdf
- File 5 PPD DES records.pdf
- File 6 PPD\_Astro records.pdf
- File 7 LBNE records.pdf
- File 8 PPD EPP Dept records.pdf
- File 9 PPD\_NOvA Project records.pdf
- File 10 Records Numerical List.pdf
- File 11 RM Meeting.pdf
- File 12 PPD File Plans 2011.pdf
- File 13 Expired Training Report.pdf
- File 14 Invoice.pdf
- File 15 Procard PO req.pdf
- File 16 Invoice-memo statement.pdf
- File 17 Mech Dept goals 2011.pdf