

<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-009-FESS Records Management Assessment <b>Version:</b> 01
<b>Date(s) of Assessment:</b>	5/12/11 – 5/16/11
<b>Performing Organization:</b>	Office of Quality & Best Practices
<b>Assessed Organization(s):</b>	Fermilab Engineering Services Section (FESS): <ul style="list-style-type: none"> <li>• Administrative Support</li> <li>• Engineering Department</li> <li>• Work Central</li> <li>• Operations Department</li> <li>• Road &amp; Grounds</li> </ul>
<b>Report content</b>	
<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>	
<b>Assessment Activities &amp; Scope:</b>	
<p>Implementation and effectiveness of controls for Records Management relative to the requirements of the Integrated Quality Assurance (IQA) program and records management program documents (listed in the “Standards, Regulations, and Other Program Requirements Applied:” section of this report) were examined via interview, observation, and document review. These controls were examined within the FESS organizations listed in the “Assessed Organization(s)” section of this report.</p>	
<b>Scope Limitations:</b>	
None.	
<b>Activities Reviewed Within this Assessment:</b>	
<p>Records management activities were reviewed during this assessment for the listed organizations, including:</p> <ul style="list-style-type: none"> <li>• Administrative Support</li> <li>• Architectural and Engineering Project Management</li> </ul>	

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- Engineering Administrative Support
- File Custodian
- Operations Administrative Support
- Work Order Management
- Records Coordination
- Road & Grounds Administrative Support

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

Records Management:

The requirements of the Fermilab Records Management Program, as specified in IQA Chapter 4 and Records Management program documents are met and effectively implemented within the FESS organizations assessed.

In the course of this assessment, the FESS Records Coordinator, three File Custodians, and two records generators were interviewed. Records Management training was assigned to and completed by all six interviewees, as verified within TRAIN. The FESS record management organization consists of nine file custodians within key groups in the section. Records are controlled in five file plan sets (hardcopy & electronic plans) indicated in the “Documents Reviewed” section. The plans list the file type, DOE retention schedule, and retention period. In the course of the assessment, controls for both hardcopy and electronic records were observed.

Practices for record storage, retrieval, and destruction vary among the interviewees. Three of the six interviewees indicated they store their records locally; three do or have used off-site storage for records retention. For records designated for offsite storage, A Records Storage and Disposition (RSD) form is completed to document contents of the records box. A copy of an RSD form is attached as File01. A Material Move Request form (File02) is completed to move the records to the offsite storage facility. The Records Coordinator retains a listing of those records maintained offsite for the section. An excerpt from this listing file is attached as File03. Four interviewees indicated they destroy records beyond their scheduled retention period in small quantities locally.

All six interviewees indicated there are no records maintained within email systems. Where authorization may be relayed via email, such as for ProCard purchases, the relevant information would be printed and attached to the hardcopy ProCard records. It was indicated that this is a relatively infrequent occurrence and an example was not observed in a sampling of ProCard records for the past year.

Within Engineering, the master records are maintained as electronic versions in portable document format (pdf). These documents, maintained by project, have a required retention for the life of the facilities to which they pertain, as reflected in the FESS Engineering file plan. Records from two project files and the file system in which they are maintained were observed by the assessment team (File04).

Other records examined by the assessment team included ProCard records and FAMIS (Facilities Asset Management Information System) work order system records. The records observed were well maintained and organized. Work orders are generated from the FAMIS database and hardcopy versions are routed as a working document package. As work proceeds, hardcopy notes, photos, time logs, hazard analyses, etc. may be added to the package. Scannable documents are uploaded to the FAMIS system. The hard copies are maintained as a redundant record system. A copy of a work order record package is attached (File05).

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**Conclusions:**

The requirements of the Fermilab Records Management program are met and fully implemented within FESS. Interviewees understood the requirements of the records management program and were in compliance with maintenance requirements. Some interviewees did not have direct program experience with records destruction because of employee’s tenure or record age, but all interviewees knew where to find program information or whom to consult for guidance.

Records ownership as indicated in the file plans is interpreted broadly, and several file types listed are owned and maintained by other organizations within the lab. Examples are performance reviews, property management records (Sunflower), TRAIN, and the ProCard front-end system. Additionally, redundant e-copy and hardcopy records are maintained for at least one area, the FAMIS work order system.

**Findings:** None

**Observations and Recommendations:**

1. **Observation:** Redundant FAMIS records

**Recommendation:** Management should re-evaluate the need to maintain both hardcopy and e-records for work order system. With annotated hardcopies, photos etc. scanned to the e-system, hardcopy records may be dispensable with little or no additional effort, a potentially significant reduction in records maintenance.

2. **Observation:** Non-records or non-FESS records included in file plan

**Recommendation:** The records definition provided within the handbook section “What is a Fermilab Record?” should be reviewed and potential records throughout the section should be re-evaluated in light of the questions and examples provided. Records for which another master copy is maintained elsewhere need not be included as FESS records or may reference external ownership.

3. **Observation:** Within the Site Services Department, three groups do not have individually-titled file plans. It was indicated that those records are reflected in other file plans.

**Recommendation:** Management should verify all appropriate records are included and consider re-titling the file plans to reflect all groups included.

**Commendable Practices:** None

**Names of Person Interviewed:**

Sandra Gaumer  
Odarka Jurkiw  
Maria Martinez  
Jeanette Olah  
Sue Quarto

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Gary Van Zandbergen

**Documents Reviewed:**

- FESS Administration File Plan
- FESS Administration Electronic Records Systems
- FESS Engineering File Plan
- FESS Engineering Electronic Records Systems
- FESS Operations File Plan
- FESS Operations Electronic Records Systems
- FESS Roads and Grounds File Plan
- FESS Roads and Grounds Electronic Records Systems
- FESS T&M File Plan
- FESS T&M Electronic Records Systems

(See also “Attachments” section below)

**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
- Records Management Exit Procedures
- Records Management – Employee Termination Procedures

**Describe or List Any Other Assessment Methods Used:** None.

**Corrective Action Plans Issued:** None.

Assessors’ Names (asterisk indicates team leader):

Kurt Mohr\* - OQBP  
Don Rohde - AD

**Submitted by:** Kurt Mohr **Date:** 06/14/2011

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

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<b>Attachments:</b>	
<ul style="list-style-type: none"> <li>• File01 - RSD 14884_14895.pdf</li> <li>• File02 - MMR 3239_001.pdf</li> <li>• File03 - FESS Records in Storage.pdf</li> <li>• File04 - Engineering Records Screen Shot.pdf</li> <li>• File05 - Work order pacakage.pdf</li> </ul>	