QAR Team Meeting Feb 7, 2011

Next Meeting –Feb 14, 2011 at WH2NW 9:00AM

First	Last	Organization	Present
Bakul	Banerjee	CD	X
Frank	Cesarano	BSS	X
Nicole	Gee	WDRS	X
Tom	Gehrke	QAE	X
Jed	Heyes	QAE	X
Tom	King	QAE	X
John	Martzel	QAE	X
Tim	Miller	ES&H	X
Kurt	Mohr	QAE	X
Susan	Rahimpour	QAE	X
Jim	Rife	TD	
Don	Rohde	AD	X
Keith	Schuh	PPD	X
John	Dawson	ES&H	
Rod	Walton	FESS	X

Action Items for Next Meeting

1				
2				
3				

Updates:
Assurance Council: Didn't meet last week.
ES&H: N/A
WDRS: N/A
BSS: N/A
Assessments: Interviews with CD people were done. Interviews are continuing after being delayed by Fermilab closing due to snow. CAPs with FESS are being written. PPD interviews are completed. ES&H kickoff meeting is scheduled for later this week.
Graded Approach: N/A
Process Improvement: N/A

Agenda for today: Review upcoming records management assessment plans.

NOTES:
Schedule was reviewed. Starts first week in March & finishes in the last week in May. WDRS, AD, TD, ES&H, PPD, FESS, CD, BSS will be assessed.

Some common things will be looked for, which are included as an attachment to these minutes.

Everyone needs (required) to go through the Records Management training before starting an assessment.

Some D/S/Cs have file plans posted, some don't. There is a "push" for everyone to at least start a file plan & post it. If nothing is posted, no assessment will take place and a CAP will be issued.

It was brought up that various design packages will have different types of records in them with different retention times. This possibly brings up the necessity of periodically going through design packages and destroying parts of them according to their retention schedules. This can become impractical with thousands of design packages to manage.

A question was brought up that if a PO is let to buy safety related items, would the record be a Procurement record or an ES&H record?

Tom Gehrke
Meeting adjourned – duration 55 min

Records Management Assessment Strategy Update – 2/1/11

Documents

The following DOE documents have been reviewed:

- DOE O 200.1A, Information Technology Management,
- DOE O 243.1, Records Management Program.

These 2 orders contain the requirements for DOE Records Management Programs.

The following Fermilab documents have been reviewed:

- Records Management Policies and procedures
- Fermilab Employee Records management Handbook
- Fermilab email records procedures
- Fermilab Records management program
- Records management Exit Procedures
- Records Management – Employee Termination procedures

These documents are found at: http://bss.fnal.gov/records/index.html and contain the procedures, work instructions and tasks that describe how Fermilab implements the requirements found in the 2 DOE orders.

Strategy

At a high level the Fermilab documents satisfy the requirements of the orders. When the BSS section is assessed, the details of how well the documented system satisfies the DOE requirements can be examined in more detail, including the records manager responsibilities described in the Records Management Policies and Procedures document. For the other 7 D/S/C's, it may sufficient to examine:

- The extent of implementation of the file plans:
  - o Do they exist?
  - o Do they contain a list of all required records?
  - o Are all the required records stored in the records management system?
  - o Are records retained according to the file plans?
  - o Are inactive records destroyed according to the file plan?
- How well the Fermilab procedures identified above have been implemented at the D/S/C level. Here is a sample of the types of requirements found in the procedures:
  - o Are file plans, file indices, records management files, RSD forms, etc. utilized?
  - o Are periodic clean out campaigns conducted?
  - o Are records transferred from employees leaving the department?
  - o Are inactive records stored off-site according to procedures?
  - o Are Fermilab experiment research records maintained in project case files?
  - o Are historical records submitted to and managed by the Fermilab archivist?