

SUBJECT:	Fermilab Corrective & Preventive Action Plan – Form 1 - Simple	NUMBER:	1004.1001 FORM 1
RESPONSIBILITY:	Quality Assurance Manager	REVISION:	000 C3
APPROVED BY:	Head, Office of Quality and Best Practices	EFFECTIVE:	04/03/09

CAP INITIATION

This section to be completed by the person requesting simple corrective / preventive action	
Requestor Name: Bakul Banerjee	Organization: CD-Office of Project Management
Phone: 5251	
Problem/Opportunity To Be Addressed: CD Records Coordinator has not submitted any RIDS to the FNAL Record Manager.	
Unique Tracking Number: DD-MM/DD/YYYY-x: CD-04-14-2009-1	
(DD=Div or Sec, MM/DD/YYYY= Date Opened, x=1, 2, ...n)	
Responsible Person: Griselda Lopez	Organization: CD-Office of Program Support
Phone: 3921	
**Responsible Person Acceptance: [Ruth Pordes's signature in file] Ruth Pordes on behalf of Griselda Lopez	
Date: 5/29/2009	
<p>*Comments: The Fermilab Records Management Policies and Procedures maintained by BSS require the Fermilab Division/Section Heads to assign Records Coordinators. See http://bss.fnal.gov/records/handbook.html. The Records Coordinators are to work with the Fermilab Records Manager and the Division/Section Records Custodians to manage Division/Section records in accordance with the Fermilab Records Management Policies and Procedures. This document requires the File Custodians to prepare Records Inventory and Disposition Schedules (RIDS) and submit them to the Records Coordinator for review and approval before they are submitted to the Fermilab Records Manager.</p> <p>CD has appointed a Records Coordinator to oversee division records in accordance with laboratory policies and procedures. CD does not have any assigned File Custodians and the Records Coordinator is not aware of any CD-specific RIDS. It is recognized that CD strives to maintain documents in electronic form and maintains few paper records. Documentation was not readily available to determine how CD paper documents are classified into the following categories: 1) documents to retain; 2) documents to destroy; and 3) documents to send to storage.</p>	

CAP DEVELOPMENT

This section to be completed by the Responsible Person	
Describe the Actual Problem/Opportunity, and What Caused it (Simple Root Cause):	
Need for RIDS missed in submissions.	
Remedial/Compensatory, Corrective, and/or Preventive, actions being taken and (where applicable) Initial Lessons Learned:	
An internal review of the CD Records Management system will be performed by CD management to assess how well FNAL records management policies and procedures are being implemented, and to develop corrective action plans as necessary to address shortcomings. RIDS will be submitted.	

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Planned start date (format MM/DD/YYYY):		7/1/09
Key milestones and Dates:	Work completed 8/1/09	
Estimated date for completion:	8/1/09	
Who will complete the work:	Griselda Lopez or Designee (Carla Lloyd)	Phone: 2429
Who will perform verification and/or validation:	Kurt Mohr/Irwin Gaines	Phone: 4022
**Responsible Person:	[Ruth Pordes signature on file]	Date: 5/29/09
*Comments: Griselda is on Maternity Leave. The work will be completed by Carla Lloyd and Ruth Pordes on her behalf.		

CAP APPROVAL, & CONCURRENCE

This section to be completed and signed by persons identified below	
** Approval Head D/S/C:	[Vicky White's Signature on file] Date: 7/21/09 [bb:Vicky originally signed it on 6/19/09, but on the wrong spot]
*Comments:	
***OQBP Concurrence:	[J. R. Grant's signature on file] Date: 8/21/09
*Comments:	

CAP CLOSURE

This section to be completed and signed by persons identified below	
Description of actions taken to implement:	
**Implemented By:	_____ Date:
**Verified By:	_____ Date:
*Comments:	

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** Acceptance Requestor: _____		Date:
*Comments:		
**Acceptance Head D/S/C: _____		Date:
*Comments:		

See Fermilab Corrective Action Plan Guide to Form 1 for directions and a completed example