

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: Jed Heyes	Organization: Fermilab Quality Assurance Phone: 3969
Problem/Opportunity To Be Addressed - Open 2006 DOE QA Program Finding - Fermilab does not have an established Document Control Program to meet the intent of Director's Policies #10 and #13.	
Unique Tracking Number: DD-MM/DD/YYYY-x: OQ-08/05/2009-1 (DD=Div or Sec, MM/DD/YYYY= Date Opened, x=1, 2, ...n)	
Responsible Person: Vicki White Organization: CIO, Head CD Phone: 3936	
**Responsible Person Acceptance: [Signature on file: V. A. White] _____ Date: 2/16/10	
*Comments: "Fermilab does not have an established Document Control Program to meet the intent of Director's Policies 10 and 13. Such a program would ensure that documents were appropriately specified, prepared, reviewed, approved and maintained through a process of document control reviews, a formal document approval process, a document tracking database, and a master document file. Obsolete documents may be inadvertently utilized by personnel, duplication of documentation may occur between Divisions/Departments or Sections, contradictions may arise between documents within organizations, documents may not be updated in accordance with established review cycles, and other external reviewers may not be able to adequately review laboratory programs.".	

CAP DEVELOPMENT

Revision 000 C4

This section to be completed by the Responsible Person
Describe the Actual Problem/Opportunity, and What Caused it (Simple Root Cause): Fermilab has not established a laboratory Document Control Program to implement DP #10 & #13. The current state of affairs is the result of the diversity of needs within and between the various Fermilab Divisions/Sections/Centers and the variety of methods and systems creatively employed to satisfy those needs. It also results from transitioning over an extended period of time from exclusively paper based documents towards more electronic documents and document management systems. Although a laboratory-wide solution is desired, it requires significant resources in terms of funding and effort.
Remedial/Compensatory, Corrective, and/or Preventive, actions being taken and (where applicable) Initial Lessons Learned:

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Remedial/Compensatory Actions:

In 2009, Fermilab staff conducted a QA As-Is Baseline assessment that included Documents & Records as an area of risk because of the 2006 DOE QA Assessment findings in this area. The As-Is assessment resulted in the creation of CAPs that are focused on improvements within the D/S/Cs, as well as CAPs elevated to the Assurance Council for disposition.

As a result of the As-Is assessment, there has been an increased emphasis on compliance with existing D/S/C document management practices, procedures or policies.

Current Status

DocDB, Lotus Notes and a number of other platforms are being maintained to manage documents. In addition, paper filing systems are still utilized.

The need for a laboratory Document Control Program to implement DP #10 & #13 has been raised to the level of the Directorate.

Corrective, and/or Preventive Actions:

The focus of this CAP is to document two technology initiatives that will enable the laboratory to better manage documents in a systematic manner.

1) Engineering Documents

The CIO, working collaboratively with the engineering community, will develop a program of work centered around a commercial solution, Teamcenter, to provide engineering document management for current and future engineering documentation.

This program of work includes implementing the Teamcenter application, establishing policies and procedures, developing training materials, and developing data migration strategies and plans.

2) Other Documents

Several document management systems, including DocDB and Lotus Notes, are used throughout the laboratory to manage documents. To further improve and centralize document management, as well as enhance online collaboration, the Computing Division is in the process of deploying Microsoft SharePoint. A program of work is being developed to describe the activities associated with the deployment of SharePoint across the laboratory.

Planned start date (format MM/DD/YYYY): 02/01/2010

Key milestones and Dates:

Develop Teamcenter program of work: 06/01/2010

Develop SharePoint program of work: 06/01/2010

Estimated date for completion:

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TBD as part of the development of the program of work.

Who will complete the work, _____ **Phone:** _____

Who will perform verification and/or validation, John Martzel **Phone:** 5061

****Responsible Person:** _Victoria White_____ **Date:** _____

***Comments:**

CAP APPROVAL, & CONCURRENCE

This section to be completed and signed by persons identified below

**** Approval Head D/S/C:** [Signature on file: V. A. White]_____ **Date:** 2/16/10

***Comments:**

*****OQBP Concurrence:** [Signature on file: J. R. Grant]_____ **Date:** 2/17/10

***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:**

**** Acceptance Requestor:** _____ **Date:** _____

***Comments:**

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

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***Comments:**

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