

Fermilab
FY2002 Self-assessment
Process Assessment Report
For
Division/Section: Particle Physics Division
Date: September 25, 2002

Division/Section performing assessment

Particle Physics Division

Name of organization that owns assessed process

Financial Group

Organization Strategy

The ProCard program is intended to simplify the purchase of goods and services less than \$2,500. ProCards allow the Particle Physics Division and the Projects within the Division to procure unrestricted items on a timely basis in order to expedite deliveries.

Names of Personnel on Assessment team

Ellie Arroyo

Name of process assessed

ProCards

Brief description of process to be assessed

The Particle Physics Division Office has authorized several individuals within its organization the use of ProCards to procure unrestricted items on a timely basis in order to expedite deliveries.

1. Are metrics associated with this process? If so, what are they?

Yes, following are the metrics:

Indicator 1: Examine the number of ProCards in the Particle Physics Division.

Do all the individuals that have ProCards in the Particle Physics Division have a need for one and should the number of ProCards in the Division be reduced? This will be rated on a pass/fail scale. If pass=Excellent, if fail=Marginal.

Indicator 2: Percentage of individuals assigned a ProCard who have used their ProCard in the last year.

If 100% of the individuals have used their ProCard in the last year=Outstanding;
If 97-99% of the individuals have used their ProCard in the last year=Excellent;
If 94-96% of the individuals have used their ProCard in the last year=Good;
If 91-93% of the individuals have used their ProCard in the last year=Marginal;
If less than 91% of the individuals have used their ProCard in the last year=Unsatisfactory.

Indicator 3: Review the credit limit on all ProCards within the Division.

Is the credit limit on the ProCard consistent with the budget authority for the respective Department/Project. This will be rated on a pass/fail scale. If pass=Excellent, if fail=Marginal.

Indicator 4: Reconciling Reports.

When asked, are ProCard holders able to run reconciling reports and is their ProCard activity reconciled?

If 100% of the individuals can produce a reconciliation report=Outstanding;
If 97-99% of the individuals can produce a reconciliation report =Excellent;
If 94-96% of the individuals can produce a reconciliation report =Good;
If 91-93% of the individuals can produce a reconciliation report =Marginal;
If less than 91% of the individuals can produce a reconciliation report =Unsatisfactory.

The overall grade for this assessment will be calculated by adding the scores of the four indicators above and arriving at an average score. The point scale is set as follows: Outstanding=4, Excellent=3, Good=2, Marginal=1, Unsatisfactory=0

2. What are the names of the procedures associated with this process?

PPD Restrictions on Purchases and Changes to ProCards

3. Are these procedures being followed? Are they current?

Yes, these procedures are being followed and they are current.

4. Describe the methodology used to assess this process.

It is important that the individuals responsible for ProCards understand the responsibility and abide by the restrictions placed on ProCards.. Even though this process is reviewed by the Laboratory's Internal Audit Department, the PPD Financial Group periodically reviews its ProCards to make sure they are being utilized correctly. All 40 PPD ProCards were reviewed for activity. Three cardholders were asked for reconciliation reports as part of this assessment. Reconciliation reports ensure that the obligations and costs placed via ProCard are assigned to the proper project within the division.

5. Results of the assessment:

The existing process controls are adequate and there aren't any notable deficiencies at this time.

Indicator 1: Examine the number of ProCards in the Particle Physics Division.

There are currently 40 ProCards assigned to individuals in the Particle Physics Division. These ProCards have been reviewed and it has been found that the individuals holding a ProCard have a need for one.

The rating on this indicator is Pass=3.

Indicator 2: Percentage of individuals assigned a ProCard whom have used their ProCard in the last year.

100% of the individuals holding a ProCard in the Particle Physics Division have had activity on their ProCards.

The rating on this indicator is Outstanding=4.

Indicator 3: Review the credit limit on all ProCards within the Division.

Of the 40 ProCards assigned to individuals in the Particle Physics Division, 29 of them have a credit limit of \$50,000/month.

The rating on this indicator is fail=1.

Indicator 4: Reconciling Reports.

Three out of three individuals that were asked to produce a reconciling report were able to do so.

The rating on this indicator is Outstanding=4.

The overall rating for this assessment is Excellent.

This result was calculated as follows: $(3+4+1+4) / 4 = 12 / 4 = 3.0$

Identified opportunities for improvement

The credit limits on the ProCards should be more consistent with the amount of budget authority for the Department/Project and the individual level of activity.

Schedule for implementation of improvements

This improvement will take place over the next year.

Status of improvements from previous assessment

N/A

Attachments (supporting data, worksheets, reports, etc.

Please reference attached examples:

- 1) Reconciling Report
- 2) PPD Restrictions on Purchases and Changes to Procards

Attachment 1

Sample reconciliation Report

http://bssalpha.fnal.gov:8180/oa-bin/prccgi60? - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites History Print Copy Paste

Address http://bssalpha.fnal.gov:8180/oa-bin/prccgi60? Go Links

PRCTRRPTORD **Fermi National Accelerator Laboratory** **Date: 02-OCT-02**

Procurement Transactions By Order Number

Order Num	Line	Status	WXP	CE	Item Description	Line Amt.	RCL	Created By	Order Date	Supplier	Delivered To	Internal Ref.
PRW23588	1	NEW	400H	44	DICING WAFER TO EXTRACT SVX4	\$800.00	Y	JFERDENVY	09-JUL-02	DICINGTEK	FREDERWITS, JOOY L	
	2	NEW	400H	44	DICING WAFER TO EXTRACT IRIP	\$1,200.00	Y	JFERDENVY	09-JUL-02	DICINGTEK	FREDERWITS, JOOY L	
	3	NEW	400H	44	PICK DICE AND PUT IN WAFFLE PACK	\$49.98	Y	JFERDENVY	09-JUL-02	DICINGTEK	FREDERWITS, JOOY L	
	4	NEW	400H	44	SHIPPING AND HANDLING	\$50.00	Y	JFERDENVY	09-JUL-02	DICINGTEK	FREDERWITS, JOOY L	
					Sub Total for Order Number:	\$2,099.98						
PRW23728	1	NEW	4E0E	41	CHUCK KEYS	\$79.92	Y	JFERDENVY	12-JUL-02	GRAINGER	FREDERWITS, JOOY L	
					Sub Total for Order Number:	\$79.92						
PRW23731	1	NEW	4E0E	41	LAMPS	\$73.80	Y	JFERDENVY	12-JUL-02	GRAINGER	FREDERWITS, JOOY L	
					Sub Total for Order Number:	\$73.80						
PRW23837	1	NEW	4E0E	41	CATEGORY 5 ENHANCED PATCH CORD 100' - STOCK #19C3245 TYPE SPEC1019E	\$15.96	Y	JFERDENVY	16-JUL-02	NEWARK	FREDERWITS, JOOY L	EE0/12
	2	NEW	4E0E	50	FREIGHT	\$2.00	Y	JFERDENVY	16-JUL-02	NEWARK	FREDERWITS, JOOY L	EE0/12
					Sub Total for Order Number:	\$23.96						
PRW23936	1	MODIFIED	4PAL	77	FABRICATE 4 PC-BOARDS AS PER "CXM & CHANNEL QIE CARRIER FILES" 5-DAY TURN	\$1,625.00	Y	JFERDENVY	17-JUL-02	CIRCUIT EXPRESS INC.	FREDERWITS, JOOY L	
	2	MODIFIED	4PAL	77	WRE & TESTING	\$750.00	Y	JFERDENVY	17-JUL-02	CIRCUIT EXPRESS INC.	FREDERWITS, JOOY L	
					Sub Total for Order Number:	\$2,375.00						
PRW23991	1	MODIFIED	4E0E	41	C6021E - HP HEAVYWEIGHT COATED PAPER	\$65.78	Y	JFERDENVY	19-JUL-02	BUY.COM	FREDERWITS, JOOY L	EE0/14

Done Internet

ATTACHMENT 2

PPD Operating Procedure ADMIN-020

PPD RESTRICTIONS ON PURCHASES AND CHANGES TO PROCARDS:

This document describes the responsibility of PPD ProCard holders for purchases and for any changes to the ProCard conditions. These restrictions are in addition to the attached restrictions placed by the Laboratory on ProCard purchases:

- All new ProCards and changes to existing ProCards (e.g. budget code changes, dollar limit increases, ownership, etc.) have to be approved by the Department/Project and then submitted to the PPD Budget Office, WH-8W, for final approval and submittal to Procurement.
 - To request a new ProCard, the required form can be obtained from the PPD Budget Office.
 - Changes to existing ProCards may be requested via e-mail; however, e-mail requests must be initiated by the Department/Project Head or their designee.
- PPD ProCard holders may not purchase items on a PPD ProCard for other Divisions/Sections or Universities.
- PPD ProCard holders are required to have the proper written documentation (usually a requisition) with the proper signature authority for the budget code being charged before placing an order on their ProCard.
 - PPD ProCard holders are not authorized to purchase furniture or copying machines on their ProCard without prior approval from the PPD Division Head.
- PPD ProCard holders are required to enter all pro card purchases into the ProCard front-end system.