



# Quality Enhancement Unit Environmental Management System

## Module 6

### Document Control



# Module 6 Objectives

- What is EMS Documentation?
- What are Documents and Records?
- ISO 14001 Requirements for Documents
- NCDOT EMS Framework Requirements
- What are Controlled Documents?

# Module 6 Objectives, continued

- EMS Controlled Documents
- Document Accountability
- Documentation Levels
- Document Revisions
- EMS Documentation Steps
- Documentation Audits
- Module 6 Summary

# What is EMS Documentation?

An Environmental Management System requires a documentation system to collect, analyze, register, and retrieve information

An EMS Documentation System should:

- Describe core elements of EMS
- Provide directions to related documents
- Support employee awareness
- Facilitate evaluation of the system and environmental performance

# What are Documents?

Documents offer guidance or explain actions to be carried out.

Documents are materials that provide management directions:

- Environmental policy
- Internal standards and operating procedures
- Process information
- Organization charts
- Emergency plans



# What are Records?

Records are a special kind of document which provide verification of things that have happened.

- ✓ Environmental records include training records, audit results, reviews, monitoring records, waste disposal records, etc.
- ✓ Records must be maintained to demonstrate conformance to EMS requirements.
- ✓ Procedures must be maintained for the identification, maintenance and disposition of environmental records.



# ISO 14001 Requirements

The organization shall establish and maintain procedures for controlling all documents required by this International Standard to ensure that:

- (a) they can be located
- (b) they are periodically reviewed, revised as necessary, and approved for adequacy by authorized personnel
- (c) the current versions of relevant documents are available at all locations where operations essential to the effective functioning of the EMS are performed
- (d) obsolete documents are promptly removed from all points of issue and points of use, or otherwise assured against unintended use
- (e) any obsolete documents retained for legal and/or knowledge preservation purposes are suitably identified.

# ISO 14001 Requirements, continued

- Documentation shall be legible, dated (i.e., with dates of revision), and readily identifiable,
- Maintained in an orderly manner and retained for a specified period.
- Procedures and responsibilities shall be established and maintained concerning the creation and modification of the various types of document.

# EMS Framework Requirements

- The EMS Responsible Person shall maintain a central location for controlled EMS documentation.
- If ISO14001 compliance is desired, this shall be maintained according to the ISO 14001 standard sections 4.4.4 and 4.4.5.
- Some EMS documentation, especially records and forms, may be stored at field locations.
- The EMS Responsible Person shall establish, document, and maintain a system to monitor all EMS documentation stored at division or field locations.

# What are Controlled Documents?

- The word “Control” means that the document may have been checked or reviewed prior to its release. It also means that any subsequent revisions will also need to be checked and reviewed carefully.
- The need for a system to manage the distribution of controlled documents arises when both the number of such documents and the number of people who receive one or more them is large.
- Controlled documents can be originated by anyone who can demonstrate the value and need for such a document.
- Document control ensures that current documents are approved by the competent persons, distributed to the places where they are used, and that old and obsolete versions are removed.



# EMS Controlled Documents

- Environmental Policy
- Environmental objectives and targets
- Roles, responsibilities, and authority for EMS
- Communications from external interested parties
- EMS core elements
- Procedures essential for operational control
- Monitoring and measurement of key operations that have potential significant impacts
- Compliance with laws and regulations
- Records
- Management review

# Document Accountability

- Store controlled versions of documents electronically (e.g., networked computer files)
- On-line 'read only' access by employees
- Changes to documents made only by authorized personnel - restricted access
- Schedule regular review and revision of procedures
- Notify all relevant personnel when a procedure is changed
- Keep a register of paper copies of key documents held by individuals
- Educate personnel about document controls



# Document Accountability, continued

All documents must be:

- approved for use
- dated (effective/revision)
- periodically reviewed/updated
- removed from use when obsolete or marked accordingly
- show linkage to relevant EMS documents



# Documentation Levels

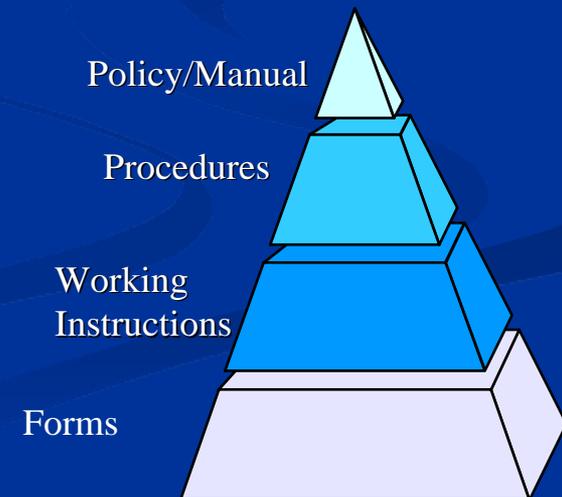
Documents should be filed according to the appropriate level:

Level 1 - Environmental Policy Procedure

Level 2 - Requirements / Management Procedure

Level 3 - Operating Procedures / Work Instructions / SOPs

Level 4 - Records / Forms (Inspections, Check offs)



# Document Revisions

- When document revisions are needed, the document approver makes appropriate revisions to the document and routes a draft revision to units likely to be affected by the changes for review, with a specified timeframe for providing comments.
- Comments received on the document revision are reviewed by the document approver and incorporated, as appropriate. The document approver shall notify the provider(s) of changes.



# Document Revisions, continued

- A responsible person must approve these documents.
- Think about how to show this approval; On paper documents it may be a signature; electronic documents may only be posted if they are approved.
- Ensure only the latest version of each document is available wherever it is needed
- Mark paper copies 'uncontrolled' to alert reader that a more recent version may be available on-line.

# EMS Documentation Steps

1. Identify which documents need to be controlled.
2. Define a document approval system that ensures distributed documents are appropriate for persons receiving them.
3. Assure appropriate distribution. Make sure that everyone who needs the document gets a copy.
4. Remove old and obsolete documents This is easy if you are using electronic documents but is more complicated with paper documents.

# Documentation Audits

- Does your documentation system respond to the standard?
- Do the procedures describe what's happening?
- Is the documentation controlled?
- Are all employees informed?
- Are the procedures followed, by everyone, all the time?
- Is there objective evidence that the procedures are being followed?

# Module 6 Summary

- Environmental management documentation is information that must be controlled to maintain an orderly EMS
- Only specific authorized persons are permitted to develop or change EMS documents
- Employees need easy access to EMS documentation
- Computer- based storage of documents is an effective means of control and accessibility

# Module 6 Summary, continued

- Strive for a consistent format for documented procedures
- Ensure only the latest version of each document is available wherever it is needed
- Mark paper copies ‘uncontrolled’ to alert reader that a more recent version may be available on-line