	Standard Operating Procedure: EMS-0100.002 Document Control and Record Keeping	Corresponding Requirements: ISO Standard: 4.4.5 & 4.5.4 EMS Manual: 6-5 & 7-4
	Prepared By: Beth Eckert, Environmental/Administrative Manager Updated By: Stephanie Scheringer, Industrial Chemist; Arlene Roman, EMS Coordinator	Revision #: 14 Revision Date: 12/24/08
	Approved By: Arlene Roman, EMS Coordinator	Effective Date: 1/1/00
Signature	Page 1 of 9	

Document Control and Record Keeping Standard Operating Procedure

1.0 Purpose

- 1.1 The following procedure covers the control of documents required by this Environmental Management System and the maintenance of records. The majority of controlled documents can be found on the City of Gastonia's LAN in the wwtppshare\$\ISO drive divided into folders by department and division.

2.0 Associated Reference Material

- 2.1 ISO 14001 Standard: ANSI/ISO 14001- 2004 Environmental management systems – Specifications with guidance for use
- 2.2 Document Control Checklist form – EMS-0101.002A
- 2.3 Document Review Log form – EMS-0101.002B
- 2.4 Roles and Responsibilities - EMS-0102.006
- 2.5 Divisional Legal and Other Requirement Reference Charts
- 2.6 EMS, Departmental and Divisional Document Control Matrices
- 2.7 City of Gastonia: Environmental Management System Manual – EMS-0100.000
- 2.8 Procedure template (May be used as a guide in procedure development).

3.0 Procedure

3.1 Types of controlled documents

- 3.1.1 Procedures are documents that provide direction on how to perform a specific task.
- 3.1.2 Forms are documents used to record information. The format of a form is controlled but not the information used to complete the form.
- 3.1.3 Reference Charts are documents where the information contained in the document is controlled but not necessarily the format of the information.

3.1.4 Brochures are documents intended to educate or inform non-employees. Both the information and the format are controlled. Printed copies of the brochure are not considered controlled documents.

3.1.5 Documents of External Origin are those determined by the organization to be necessary for the planning and operation of the EMS.

3.2 Document Control Labeling

All procedures, work instructions, forms, reference charts and brochures created by City employees as part of the Environmental Management System must be controlled to ensure we work in a coordinated manner to protect the environment and comply with our legal obligations.

3.2.1 The following will appear on all controlled documentation as a title page, page header or page footer (See the first page of this document as an example)

3.2.1.1. Title

3.2.1.2. Document Control Number

3.2.1.3. Each document will have a unique identifier with the following sequence XXX-XXXN. nnn(X). X=letter, N/n=number. The EMS core documents will have the prefix of EMS. Department-wide documents will have the prefix of PWU. See Appendix A for Division and section prefixes.

3.2.1.4. The N number in the above sequence will designate which type of document it is.

- 0 - procedure
- 1 – form
- 2 – reference chart
- 3 – brochure/pamphlet

3.2.2 Revision number

3.2.2.1. Original documents will be noted as revision 0. All subsequent revisions will be number sequentially (1, 2, 3, 4....)

3.2.3 Revision Date

3.2.3.1. Date when document was last changed. This date will change with each revision.

3.2.4 Effective Date

3.2.4.1. Date when document first came into use. This date will not change as the document is revised.

3.2.5 Corresponding Linkages

3.2.5.1. Forms, Reference Charts and Brochures shall be linked to a procedure or work instruction by having the same document control number: XXX-XXXN.nnn except that the “N” will identify it as a form, reference chart or brochure (as explained above).

3.2.5.2. Procedures and Work Instructions will have their corresponding ISO 14001 Standard and EMS Manual element numbers listed on the title page or first page header.

3.2.5.3. Forms and Reference Charts: The corresponding procedure(s) document control number(s) will be listed in footer

3.2.6 Page numbering (page X of total number of pages)

3.2.7 Procedures are also required to have in the title page or first page header:

3.2.7.1. Modified by: name and title (as revisions are made)

Approved by: name and title

- Procedures are approved as noted in the Roles, Responsibilities and Authorities document EMS-0102.006

3.2.7.2. Subsequent page headers only need:

- Document Title
- Document Control Number
- Revision number
- Revision date
- Effective date
- Page numbers

3.2.8 Controlled procedures and reference charts shall have in the footer of each page:

Controlled copies of this document have a blue signature, are on green paper or are on the computer network ISO drive

3.3 Controlled Document Identification

3.3.1 Official up-to-date controlled copies of procedures and reference charts will either:

3.3.1.1. Be printed on green paper

3.3.1.2. Have a blue signature

3.3.1.3. Will be in the wwtpshare\$\ISO folder on the City's LAN

3.3.2 Official up-to-date controlled copies of forms will be located in the wwtpshare\$\ISO folder on the City's LAN

3.4 Location of Hard Copies of Controlled Documents

3.4.1 The location of each controlled green copy of a procedure or reference chart will be noted in the appropriate document control matrix in the ISO folder on the City's LAN.

3.4.2 Hard copies original EMS procedures will be maintained in the EMS Coordinator's files. Hard copies of all other original procedures will be maintained by the Division's designated EMS representative. Retention times for documents will be maintained on the appropriate Document Control Matrixes

3.5 PDF format

3.5.1 Controlled documentation required to be in an electronic format on an uncontrolled drive or website will be changed into a pdf document before posting.

3.5.2 The pdf document electronic location will be listed in the appropriate document control matrix along with the designation: (pdf file).

3.6 Revisions

3.6.1 Supervisors and/or the Management Review Boards will determine when documents should be revised based on:

3.6.1.1. Significant aspects as determined by the Aspect and Impact Analysis SOP EMS-0100.003

3.6.1.2. Corrective/Preventative Action Reports (C/PARs)

3.6.1.3. Audit findings

3.6.1.4. New or modified legal and other requirements

3.6.1.5. New or modified operations

3.6.2 The author of a revised procedure or work instruction will record the changes in the Revision History section at the end of the document. Changes such as spelling or grammar corrections or re-wording for clarification that do not change the intent of the procedure do not have to be recorded in the revision history.

3.6.3 The modifier of the document will send the original signed copy of the revision to the person in their division responsible for document control.

3.6.4 The Document Control designee will:

3.6.4.1. Verify the procedure or reference chart has a blue signature

3.6.4.2. Verify that they have received an electronic version of the same document

3.6.4.3. Verify that the revision number and revision date have been changed

3.6.4.4. Move the current electronic document to the appropriate obsolete file in the ISO folder and change the footer to say:

This is an uncontrolled copy of an obsolete document printed “date stamp” at “time stamp”

3.6.4.5. Move the revised document into the appropriate file in the ISO folder

3.6.4.6. Change the footer to:

This is an uncontrolled copy of a controlled document printed “date stamp” at “time stamp”

3.6.5 Update the appropriate Document Control Matrix with the revision date and revision number

3.6.5.1. Determine how many green copies of the original should be made according to the number of locations listed on the Document Control Matrix

3.6.6 Revise the appropriate Training Matrix with the revision number and date

3.6.6.1. The author and the approver of a procedure/work instruction will not be required to have training on this document. This will be noted by typing “NR” under their names for the appropriate procedure.

3.6.7 Send the signed original to the divisional document control designee to file.

3.6.7.1. Mark the previous revision as “Obsolete”

3.6.8 Send an e-mail to the writer and approver when the SOI is posted on the ISO drive

3.6.9 Distribute green copies to locations noted on Document Control Matrix.

3.6.9.1. At each location ensure the previous revision green copy is destroyed.

3.6.10 The Document Control Checklist form EMS-0101.002A may be used to track the above required actions for revisions of controlled documents.

3.6.11 Forms only require:

- 3.6.11.1. checking the revision number and date
- 3.6.11.2. moving the previous revision to the Obsolete File
- 3.6.11.3. putting the new one in the appropriate folder on the ISO drive
- 3.6.11.4. Revising the appropriate document control matrix
- 3.6.11.5. Sending an e-mail to the reviser that the form has been posted

3.7 Documents Requiring a Regular Review

3.7.1 Some documents are required by law to be reviewed on a regular basis (annually, every 3 years, etc., see the appropriate Legal and Other Requirements reference chart). The reviewers of these documents may add the date of the review on the title page or they may use the Document Review Log form EMS-0101.002B. If the Review Log is used, it will be kept on file with the original hard-copies.

3.8 Documents of External Origin

3.8.1 Documents of external origin that are deemed necessary for the planning and operations of the EMS must be identified and their distribution controlled. This would include:

- 3.8.1.1. Permits, certificates and other compliance documentation
- 3.8.1.2. Operation and Maintenance manuals (O&M)
- 3.8.1.3. Maps, diagrams and schematics
- 3.8.1.4. Forms and other information used regularly that is down-loaded directly from the Internet

3.8.2 These documents must be included in the References section of the appropriate document control matrix. The following information should be included:

- 3.8.2.1. Name of document
- 3.8.2.2. Date of document (if applicable)

- 3.8.2.3. Revision number or any other identifying combination of numbers and letters (if applicable)
- 3.8.2.4. Physical location of original document or web address if it is on the internet.
- 3.8.2.5. Location of any controlled green copies (if applicable)

3.9 Records

3.9.1 Environmental records can include among others:

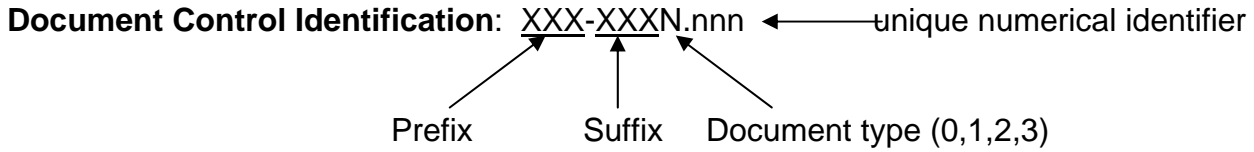
- 3.9.1.1. complaint records
- 3.9.1.2. training records
- 3.9.1.3. process monitoring records,
- 3.9.1.4. inspection, maintenance and calibration records
- 3.9.1.5. pertinent contractor and supplier records
- 3.9.1.6. incident reports
- 3.9.1.7. records of tests for emergency preparedness
- 3.9.1.8. audit results
- 3.9.1.9. management review results
- 3.9.1.10. external communications decision
- 3.9.1.11. records of applicable legal requirements
- 3.9.1.12. records of significant environmental aspects
- 3.9.1.13. records of environmental meetings
- 3.9.1.14. environmental performance information
- 3.9.1.15. Legal compliance records
- 3.9.1.16. communications with interested parties

- 3.10 Procedures and Work Instructions shall identify the storage location of their corresponding records.
- 3.11 All records will be uniquely identified by the form number and date completed unless the corresponding procedure specifies otherwise.
- 3.12 Records will be maintained according to the requirements of their corresponding procedures and/or the listing in the appropriate document control matrix.

4.0 Revision History:

Revision		C/PAR #	Reason for Revision	Description of Revision
Date	#			
4/9/02	3	EMS-0074	External Audit	Removal of the section that states that Deviations from this procedure must be documented in a c/par, the statement appears to give approval to deviate from the procedure.
		EMS-0084	C/PAR	Added a modification history section
5/7/02	4	EMS-0085	C/PAR	Added statement providing for the use of the EMS Document Control Checklist (EMS-0101.002A) when updating controlled documents
8/7/02	5	EMS-0103	C/PAR	Minor changes identified during a modification prompted by a C/PAR do not require an additional C/PAR but will be tracked via the revision history section
		EMS-0116	C/PAR	Incorporated language to require procedures to have the NBP Element # identified in the header of the procedure for linkage purposes. Added NBP Element Number to the header.
11/12/02	6	EMS-0121 WPR-0034	C/PAR	Revised procedure to include a method for updating and controlling reference charts. Added definitions for procedure, forms, and reference chart. Corrected numbering system of procedure.
5/12/03	7	104	C/PAR	Corrected Hanson building codes in attachment A. No retraining required for this revision.
5/12/04	8	358	C/PAR	Clarified of obsolete documents with regard to hard copies, retention times, and removed the procedure prefixes to the acronyms list.
5/24/04	9	358	C/PAR	Further Clarification of records retention requirements, deletion of special circumstances for the RMP and RRF O&M manual and several grammatical corrections.
8/10/04	10	387	C/PAR	Referenced using document review log for documenting review of documentation requiring review at a certain frequency.
			Modified List	Added 9100 Water Supply Line to Hanson number list
3/2/05	11		Other Divisions of the PW&U are becoming part of the EMS	Deleted listings of specific Document Control Matrices; added Water Supply and Treatment Division specific document control numbering and examples.
5/16/06	12	683	C/PAR and updating	Added reference to the PWU prefix for Departmental procedures. Added section concerning the reuse of document control numbers of obsolete documents removed from use, and how they will be listed in the document control and training matrices.
6/26/07	13	966	Add a mechanism to control brochures.	Added information to the Procedure (4.2.1.4, 4.4.3, 4.7.4, 4.7.6) section.
			Clarify the NR designation on the training matrix for revised procedures.	Added information to the Procedure (4.11.3.1) section.
12/24/08	14	913/1045	C/PAR and clarification	Procedure re-arranged to be more user-friendly; Added to Documents requiring regular review; Added pdf Format section; Expanded documents of external origin; Expanded Records section to list record types and that record location shall be included in all procedures; Added Appendix A Document Control Identification, removed Hansen numbering system for WWTD

Appendix A



Area	Prefix	Section	Suffix
EMS Core Documents	EMS		-010
PWU Department-wide	PWU		-010
Wastewater Treatment Division	WWT		
		Division Wide	-EMS
		Crowders Operations	-CRO
		Wastewater Lab	-LAB
		Long Creek Operations	-LCO
		Long Creek Laboratory	-LCL
		Biosolids/Resource Recovery Farm	-RRF
		Pretreatment	-PRE
		Facility Maintenance	-FMT
Water Supply and Treatment Division	WST		
		Division Wide	-EMS
		Operations	-OPS
		Laboratory	-LAB