



**Environmental, Health & Safety
Management System (EMS)**



**Documents and Records
Management Procedure**

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1 PURPOSE

To facilitate an integrated EMS, this procedure has been written in accordance with ISO 14001 4.5.4, OHSAS 18001 4.5.4, R2:2013: Provision 13 and Iowa EMS.

2. SCOPE

This procedure applies to all Commission employees when engaged in Commission-related work activities which have an environmental, health or safety impact within the EMS fenceline. This procedure applies to Environmental, Health and Safety (EMS) documents and records, but not all documents or records generated by a Commission facility.

3. RESPONSIBILITY

3.1 The Director is responsible for reviewing and approving Commission EMS procedures. EMS and R2 compliance records may be approved using an electronic signature system. Maintaining appropriate records according to the record retention schedule.

- 3.2** The Core Team is responsible for the following:
- Preparing EMS procedural documents for review and adoption.
 - Reviewing of EMS and R2 documents takes place based on the required frequency recorded when the document is registered in Intalex. The review frequency for mandatory documents shall be at minimum annually, unless otherwise approved by the Core Team. The review frequency for other documents and records shall be determined by the document owner, in coordination with the Core Team.

Intelex assigns a document review task to the document owner, who shall choose one of the following methods for document review:

- Add the document review to a monthly Core Team meeting agenda. Note comments from Core Team members and then record those notes along with the name of the person who made the comments in Intelex.
- Document owner sends an e-mail to the relevant parties requesting review of the document. The relevant parties review the document and provide comments to the document owner.
- Revising EMS procedures and documents, as required. Revisions may come through the periodic review or may be required due to an operational, staff, regulatory or other change. All EMS policies, procedures, plans, manuals and other documents determined by the Core Team shall contain a Change History section consisting of:
 - Date of the revision
 - Reason for the revision
 - Names of reviewers
- Removing and controlling obsolete EMS procedures and documents from Intelex for storage and retention that will prevent unintended use.
- Storing and maintaining EMS records in Intelex.

3.3 The Environmental Management Representative (EMR) is responsible for the following:

- Preparing & obtaining appropriate management approval and maintaining facility-specific EMS and EMS compliance documents.
- Reviewing and revising facility EMS and environmental compliance documents as required.
- Assigning EMS document numbers according to this procedure for EMS and EMS compliance documents.
- Removing facility-specific obsolete EMS and EMS compliance documents from all points of issue and use, retaining one copy of the document, marking it as obsolete, and filing it at a separate location for record history verification, and destroying all other copies in order to prevent unintentional use of an obsolete document.
- Maintaining facility EMS compliance records in accordance with the Commission's document retention schedule. These duties may be assigned within the facilities as needed.

3.4 Facility managers and supervisors shall ensure that required EMS documents are available for affected employees at the employee point of use.

4. PROCEDURES

4.1 EMS documents and records are generated to support the development and implementation of the EMS, OHSAS 18001 & ISO 14001, and R2 compliance. This procedure focuses on those documents and records that must be controlled to

ensure the document is approved and the current version is in use and the necessary EMS records are being maintained:

- Controlled documents and records shall be identified, maintained, legible, and the distribution of them controlled.
- If it is controlled internal document, it is only controlled when the document is being viewed electronically from Intelex. All printed version of controlled internal documents are uncontrolled.
- If it is a controlled external document, it is only controlled in the location recorded in “Document Location” in Intelex’s Document Control module. All other versions of the document are uncontrolled.

4.2 Determining Controlled Documents and Records:

- It is at the discretion of Commission employees, in coordination with the Core Team and this procedure, to determine whether or not a document shall be considered controlled. Controlled documents are documents that need to be managed within the EMS to ensure regular updating, maintenance and separation from obsolete documents in accordance with this procedure. Controlled documents typically have legal consequences, pose a risk to the organization if an obsolete version is used to make an environmental, health or safety decision or are a requirement of the EMS or R2. **It is mandatory that the following documents be controlled:**

- EMS Procedures
- EMS Plans
- EMS Policies
- EMS Manuals
- EMS Blank Forms and Checklists
- EMS Memorandums
- Environmental Permits
- Environmental, Health and Safety Training Documents
- Training Matrix
- EMS Roles and Responsibility Matrix

It is mandatory that the following records be controlled:

- EMS and R2 Audit Reports
- EMS and R2 Completed Forms and Checklists
- EMS and R2 Memorandums
- EMS Meeting Notes/Summaries
- Internal and External Audits
- Management Review
- Environmental, Health and Safety Training Attendance Sheets or Certifications
- Electronic Demanufacturing Facility Monitoring and Measurement Reports
- Electronic Demanufacturing Facility Calibration Reports

4.3 EMS documentation shall be controlled through the Intelex modules based on relevancy to EMS main elements:

- Activities, associated Aspects and Impacts and scores
- Significance threshold for Aspects and Impacts
- Objectives, Targets and Environmental Management Plans
- Legal and Other Requirements
- Non-conformance, Corrective and Preventive Action Reports
- Internal and External Communications Records
- Audit Schedules and Completed Audits Follow-up Reports
- Training requirements, courses and attendance

4.4 EMS Document and Record Retention:

- A listing of all internal and external documents is available in Intelex. All internal and external documents must be available for use.
- EMS documents and records shall be legible, identified, maintained and the distribution of them controlled.
- External Controlled Documents and Records shall be stored and maintained in a manner so they are readily retrievable and protected from damage, deterioration or loss.

4.5 Records should be retained in accordance with the following schedule:

Record Type	Retention Period
EMS Policies and Procedures	Permanent
EMS and R2 Audit Reports	Permanent
EMS Plans, Manuals and Memorandums	Permanent
EMS Reuse Documents	7 years
Environmental, Health and Safety Training Documents, Training Attendance Sheets and Roles and Responsibility and Training Matrix	Permanent
EMS Monitoring and Measurement Reports and Calibration Reports	Permanent
EMS Minutes	Permanent
Hazardous and Focus Material Documentation	Permanent
Landfill Records	Permanent
Inbound and Outbound Scale Tickets	7 years
DNR Reports	Permanent
Commission Meeting Minutes	Permanent
Recordings of Closed Session	1 year from date of meeting
Resolutions	Permanent
Affidavits of Publication	Until audited or 5 years
Deeds	Permanent
Title Opinions	Permanent
Abstracts and Certificates of Title	Permanent
Permits and Licenses	Permanent
Court Decisions	Permanent
Bids – Accepted	5 years

Bids – Rejected	Until audited or 5 years
Blueprints or Site Plans	Permanent
Contracts or Agreements for Services or purchase of equipment	10 years after expiration
Correspondence	As long as administratively useful
Equipment Records	While current
Maintenance History	Life of equipment
Insurance Policies	5 years after expiration
Leases	5 years after expiration
Legal Actions	5 years
Legal Opinions	Permanent
Maps – Current and Outdated	Permanent
Internal and External Communication	5 years
Press Releases	5 years
Promotional Items	5 years
Newspaper clippings	Permanent
Banking	7 years
Financial Reports	7 years
Annual Financial Report	Permanent
Budgets	7 years
Audits	Permanent
Payroll – Annual Summary by Employee	60 years
Payroll – Support Documents	7 years
State Reporting Forms	7 years
IPERS	7 years
Personnel Files	Permanent
Medical Information	Permanent
Grant Reports	5 years after audit
OSHA Reports	5 years
Worker Compensation Reports	3 years from last benefit payment
Photos and Aerials	Permanent

5. RELATED DOCUMENTATION

Definitions: Doc. No. 01324

6 CHANGE HISTORY

03/06/2015 —To reference the appropriate ISO 14001, OSHAS 18001, R2:2013 and Iowa EMS elements.

All previous revision details are documented within InteleX.

