

## 4.4 IMPLEMENTATION AND OPERATION

### 4.4.5 CONTROL OF DOCUMENTS

**Auditor Name and Date:** \_\_\_\_\_

**Organization and Department Audited:** \_\_\_\_\_

**Personnel Interviewed:** \_\_\_\_\_

#### STANDARD REQUIREMENTS

**4.4.5** The organization shall establish, implement and maintain a procedure(s)

**Conforms (Y/N)**

a) approve documents for adequacy prior to issue,	
b) review and update as necessary and re-approve documents,	
c) ensure that changes and current revision status of documents are identified,	
d) ensure that relevant versions of applicable documents are available at points of use,	
e) ensure that documents remain legible and readily identifiable,	
f) ensure that documents of external origin determined by the organization to be necessary for the planning and operation of the EMS are identified and their distribution controlled, and	
g) prevent the unintended use of obsolete documents and to apply suitable identification to them if they are retained for any purpose.	

**NOTES:**

**OVERALL CONFORMANCE: YES NO**

<b>4.4.5 Document Control: Supplemental Questions by Function</b>	
<b>DEPUTY DIRECTOR</b>	
	<b>OBJECTIVE EVIDENCE</b>
<b>a.</b>	How can you tell if an EMS document is or is not a controlled copy?
<b>b.</b>	How do you get access to controlled documents? Where are they located?
<b>c.</b>	What happens to obsolete documents?

<b>EMS REPRESENTATIVE</b>	
	<b>OBJECTIVE EVIDENCE</b>
<b>a.</b>	What EMS documents are controlled? Describe how these documents are controlled.
<b>b.</b>	Are documents made available to personnel who need them? How?
<b>c.</b>	How do you ensure that only current versions of documents are available at all applicable work areas?
<b>d.</b>	What obsolete documents are retained for legal or other purposes and how are they identified?

<b>SENIOR STAFF</b>	
	<b>OBJECTIVE EVIDENCE</b>
<b>a.</b>	How can you tell if an EMS document is or is not a controlled copy?
<b>b.</b>	How do you get access to controlled EMS documents? Where are they located?
<b>c.</b>	Would you show me the most current EMS documentation in your office? (Auditor's Note: Check for dates/revisions.)
<b>d.</b>	What happens to obsolete documents?

<b>4.4.5 Document Control: Supplemental Questions by Function (cont.)</b>
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<b><i>DIVISION PERSONNEL</i></b>		<b>OBJECTIVE EVIDENCE</b>
<b>a.</b>	Do you work with any controlled EMS documents in relationship to your job duties?	
<b>b.</b>	If so... How do you get access to controlled EMS documents? Where are they located?	
<b>c.</b>	Would you show me the most current EMS documentation? (Auditor's Note: <i>Check for dates/revisions.</i> )	
<b>d.</b>	What happens to obsolete documents?	

**NOTES:**

**DOCUMENTS:**

- Document control procedure(s). Determine if the procedure includes responsibilities concerning the creation and modification of the documents required by the standard. Check a sample of EMS documentation to be sure it:
  - is legible
  - has revision dates
  - is readily identifiable
  - is maintained in an orderly manner.
- A sample of documents required by the standard (e.g., policy, EMS, documentation, procedures). Verify that they are part of the document control system. This may be as simple as a revision date on the bottom of the page.
- Master retention list and disposition schedule.

**EMS LINKS:**

The Control of Documents requirements of ISO 14001 pertain to every section of the standard.