

4.5 CHECKING

4.5.4 CONTROL OF RECORDS

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.5.4 The organization shall...

	Conforms (Y/N)
a) establish and maintain records as necessary to demonstrate conformity to the requirements of its environmental management system and of the ISO 14001 International Standard, and the results achieved.	
b) establish, implement and maintain a procedure(s) for the identification, storage, protection, retrieval and disposal of records.	
Records shall be and remain legible, identifiable and traceable.	

NOTES:

OVERALL CONFORMANCE: YES NO

4.5.4 Control of Records:	Supplemental Questions by Function
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<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	Who is responsible for managing EMS records?	
b.	Where are the environmental records and those records that relate to achieving and maintaining the Division's EMS retained?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	How does the EMS deal with the retention of training and audit records?	
b.	Have guidelines been established as to the length of time records are required to be stored?	
c.	Are backup files maintained for all EMS information currently available electronically?	
d.	How does the organization ensure that EMS records are readily retrievable and are protected against damage?	

<i>SENIOR STAFF</i>		OBJECTIVE EVIDENCE
a.	How do you store your records pertaining to EMS training, regulatory compliance, and equipment calibration?	
b.	Storage policy for environmental records requires that they be maintained for how long?	
c.	Can you show me where you keep your environmental records? (<i>Review for dates, storage methods, and retrievability.</i>)	
d.		

NOTES:

4.5.4 Control of Records:		Supplemental Questions by Function (cont.)
<i>DIVISION PERSONNEL</i>		OBJECTIVE EVIDENCE
a.	When you were given EMS training, was your presence at that training documented?	
b.	Are you aware of what happened to those documents?	
c.	Are you asked to fill out any forms or keep any records that reflect on the environmental impact of performing your job? Are they signed and dated? Who do you give them to?	

NOTES:

<p>DOCUMENTS:</p> <p><input type="checkbox"/> Procedures related to records management.</p> <p><input type="checkbox"/> List or description of records which are a part of the records retention process.</p> <p><input type="checkbox"/> Records retention times.</p>

EMS LINKS:

- Control of Documents