



Verification	Originator	Approved	Issued
Initials	AS	ST	ST
Date	7/16/14	8/29/2014	8/29/2014

Title: COFL-FF-ED- 4.5.4-1 Control of Records Procedure

Person responsible:	ESMS Coordinator		
Area of application:	Fleet Fenceline		
Document location:	www.fortlauderdale.gov/ESMS		
Revisions			
Rev. No.	Date	Description	
001	8/5/15	Added Control of Records Matrix to Process and clarification to some of the processes.	
002	1/19/16	Updated frequency of control of records in recurring action items. Changed Senior Management to Management Review Team.	
Recurring action items			
Activity	Responsibility	Frequency	
1. Update, maintain and control records on a regular basis.	ESMS Coordinator	As needed	
2. Document management reviews	ESMS Coordinator	Each management review	
3. Obtain input from Management Review Team	Management Representative	As necessary	
4. Develop/revise procedures as appropriate based on feedback.	FF Team	As necessary	
		Annually or within	



5. Review Records Retention & Destruction Policy with ESMS Core Team

ESMS Coordinator 30 days of any audit

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1.0 Purpose

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1.0 Purpose

- 1.1 The purpose of this procedure is to establish practices related to the identification, maintenance and disposition of environmental records for the Fleet Fenceline.
- 1.2 To ensure records are accurate, complete and provide suitable information for assessing the operations of the Fort Lauderdale's ESMS. This procedure will describe how the City of Fort Lauderdale will create, maintain and store legible, identifiable and traceable environmental records.
- 1.3 The environmental records demonstrate or prove that the ESMS requirements are being met and comply with the ISO 14001:2004 standard. They also provide documented evidence of progress toward achieving environmental goals.

2.0 Scope

- 2.1 This procedure is responsive to element **COFL-FF-ED 4.5.4, Control of Records Procedure** of the ISO 14001:2004 standard and covers operations within the Fleet Fenceline.
- 2.2 The scope of this procedure addresses records associated with the operations of City of Fort Lauderdale's ESMS and environmental compliance.
- 2.3 This procedure does not specifically address training, audit or management review records, as these specific types of records are addressed within the related procedures.

3.0 Responsibility

- 3.1 The responsibility for the identification and creation of records is defined by the elements of the ESMS and is documented within each specific procedure.



3.2 **ESMS Coordinator** is responsible for:

- 3.2.1 Scheduling and organizing *Management Review* meetings on a regularly-scheduled basis.
- 3.2.2 Providing the agenda and sign-in sheet for the *Management Review* meetings, as well as informing and inviting the required representatives.
- 3.2.3 Addressing inquiries and requests in regards to issues and information to be discussed during the *Management Review* meetings.
- 3.2.4 Preparing, circulating, and maintaining the *Management Review* meeting minutes and summary.

4.0 Definitions

- 4.1 Refer to **COFL-FF-EP-4.4.4-2 Related Definitions Procedure**

5.0 Process

- 5.1 This procedure considers activities, products and services pertinent to environmental management and addresses the identification, maintenance and disposition of records needed for the ESMS which provide documented evidence that the Fleet Fenceline is progressing toward achieving its objectives and targets.
- 5.2 Environmental records shall be legible, identifiable, and traceable to the activity, product or service involved. The date the information was obtained must be included.
- 5.3 Records will contain the necessary information to allow the **Management Representative, ESMS Core Team, FF Team, Department Directors** and **Management Review Team** to make well informed decisions and determine the continuing progress toward achieving the objectives and targets.
 - 5.3.1 The **Management Representative, ESMS Core Team, FF Team, Department Directors** and **Management Review Team** who rely on various environmental records to make ESMS (or business) decisions will have easy access to the required records.
- 5.4 The **ESMS Coordinator** for the City of Fort Lauderdale Fleet Fenceline will create environmental records for the following ESMS elements:
 - 5.4.1 Environmental Aspects;
 - 5.4.2 Legal and Other Requirements;
 - 5.4.3 Objectives, Targets and Programs;
 - 5.4.4 Resources, Roles, Responsibility and Authority;
 - 5.4.5 Competence, Training and Awareness;
 - 5.4.6 Communication;
 - 5.4.7 Emergency Preparedness and Response;
 - 5.4.8 Monitoring and Measurement;



- 5.4.9 Evaluation of Compliance;
 - 5.4.10 Nonconformity, Corrective and Preventive Action;
 - 5.4.11 Control of Records;
 - 5.4.12 Internal ESMS Audit;
 - 5.4.13 Management Review.
- 5.5 Whenever possible activities and information generating environmental records will be captured within the forms and worksheets found in the ESMS. Where forms and worksheets do not exist, standard forms will be created, whenever possible. For example, communication logs will be used as a means to ensure that adequate communication records of verbal conversations between the City of Fort Lauderdale Fleet Fenceline and the interested parties are captured and retained.
- 5.6 Hard Copies - a record will only be stored in hard copy at the Fort Lauderdale Fleet Fenceline in the **Program Manager's** office if:
- 5.6.1 Access to the record cannot be achieved electronically;
 - 5.6.2 The record was originally generated in hard copy and it is not feasible to generate an electronic copy;
 - 5.6.3 A legal or other requirement requires a hard copy of the record be retained;
 - 5.6.4 An extra backup copy is deemed necessary because the City of Fort Lauderdale Fleet Fenceline is conforming to its legal and other requirements;
 - 5.6.5 The City of Fort Lauderdale Fleet Fenceline management determines that maintaining a hard copy facilitates better access.
- 5.7 To ensure hard copy and electronic records are properly disposed of or purged as required, the retention time of the records will be reviewed during annual reviews in the **COFL-FF-ED-4.4.5-2 Master Document & Review Matrix** in alignment with **COFL-FF-ED-4.5.4-4 Control of Records Matrix**, **State of Florida Records Retention Schedule** and **COFL-FF-EP-4.5.4-2 Records Retention & Destruction Policy**. When an expiration date passes, the **ESMS Coordinator** will purge the record.
- 5.8 Hard copy environmental records will be stored and/or maintained in a file cabinet or other suitable record retention manner to protect the records from deterioration or loss and to organize them in such a manner that they are easily retrievable.
- 5.9 Hard copies of permits issued by regulatory agencies will be kept at the City of Fort Lauderdale Fleet Fenceline and maintained on-site by the **Program Manager**.
- 5.10 Electronic Copies - records are to be stored, whenever practical, in an electronic form which will be accessible and organized within City of Fort Lauderdale's software structure.
- 5.11 An electronic file folder, representing each element of the ESMS is located within



- the ESMS file folder. When a record is created of an electronic document, the original document is to be copied and pasted in the corresponding file folder labeled “**RECORDS**”.
- 5.12 Electronic records are not to be deleted prior to the records expiration date.
 - 5.13 If an electronic record is deemed inaccurate or misleading because of an error in the documented information or data, a new record will be created. The old record will not be deleted. A footnote or comment will be added to the newly created record stating the reason for its creation and an explanation describing the error.
 - 5.14 Electronic records will be backed up. Back ups must be saved onto a different computer or server from where the original record is saved. Records will be backed up to computers or servers that are periodically backed up by City of Fort Lauderdale’s IT department. City of Fort Lauderdale’s IT department stores back up tapes in a secure environment, safe from theft, fire, or other threats. Alternatively, records may be backed up onto a CD ROM with the CD ROM being stored in a secure environment safe from theft, fire, or other threats.
 - 5.15 Confidential records will be stored, maintained and purged in a manner that is consistent with City of Fort Lauderdale’s existing confidentiality policies and guidelines.
 - 5.16 Requests by external parties to review records will be handled on a case-by-case basis, with the ESMS **Management Representative** and **Management Review Team** responding to each request.
 - 5.17 The legal counsel for City of Fort Lauderdale will provide guidance / direction to the ESMS **Management Representative** for appropriate retention times of environmental records generated at the City of Fort Lauderdale Fleet Fenceline. **(See the COFL –FF-EP-4.5.4-2 Records Retention & Destruction Policy).**
 - 5.18 The City of Fort Lauderdale Fleet Fenceline will use its existing procedures: **COFL-FF-EP-4.5.5-1 Internal Audit Procedure, COFL-FF-EP 4.5.2-1 Evaluation of Compliance Procedure** and **COFL-FF-EP 4.5.3-1 Nonconformity, Corrective and Preventive Action Procedure** to ensure this *Control of Records* procedure is adhered to.

6.0 References / Related Documents

- 6.1 COFL-FF-EP 4.5.4-1 Control of Records Procedure
- 6.2 COFL-FF-EP 4.5.5-1 Internal Audit Procedure
- 6.3 COFL-FF-EP 4.5.2-1 Evaluation of Compliance Procedure
- 6.4 COFL-FF-EP 4.5.3-1 Nonconformity, Corrective and Preventive Action Procedure
- 6.5 COFL-FF-ED-4.5.4-3 Control of Records Annual Review Maintenance



- 6.6 COFL-FF-ED-4.4.5-2 Master Document & Review Matrix
- 6.7 COFL-FF-EP-4.5.4-2 Records Retention & Destruction Policy
- 6.8 COFL-FF-ED-4.5.4-4 Control of Records Matrix