



Verification	Originator	Approved	Issued
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Title: COFL-GTL-EP- 4.5.4-1 Control of Records Procedure

Person responsible: ESMS Coordinator

Area of application: George T. Lohmeyer Wastewater Treatment Plant (GTL)

Document location: www.fortlauderdale.gov/ESMS

Revisions

Rev. No.	Date	Description
001	7/2/15	Annual Review Maintenance
002	7/29/16	Update frequency of management review meetings to at least annually or every 6 months. Change from Senior Management to Management Review Team.

Recurring action items

Activity	Responsibility	Frequency
1. Schedule management review meetings with Management Review Team on a regular basis	ESMS Coordinator	At least annually or every 6 months
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.	GTL Team	As necessary



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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 GTL.
- 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-GTL-ED-4.5.4, Control of Records** of the ISO 14001:2004 standard and covers operations of **GTL**.
- 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.
- 3.2.5 Purging documents in accordance with COFL-GTL-EP-4.5.4-1 Control of Records Procedure.

4.0 Definitions

- 4.1 Refer to **COFL-GTL-EP-4.4.4-2 ESMS 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 GTL 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 ESMS Management Representative, the ESMS Core Team, and GTL Team to make wellinformed decisions and determine the continuing progress toward achieving the objectives and targets.
 - 5.3.1 The ESMS Management Representative, the ESMS Core Team, and GTL 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 and GTL Team 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 GTL and the interested parties are captured and retained.
- 5.6 Hard Copies - a record will only be stored in hard copy 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 GTL is conforming to its legal and other requirements;
 - 5.6.5 GTL 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 the **COFL-GTL-ED-4.5.4-4 Control of Records Matrix** and **Florida Administrative Code Section 62-620.350 Record Keeping and COFL-GTL-EP-4.5.4-2 Records Retention & Destruction Policy**. When an expiration date passes, the **ESMS Coordinator** will purge the record unless instructed by Regional Wastewater Facility Manager.
- 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 GTL and maintained on-site by the **Regional Wastewater Facility 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 will 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 GTL. **(See COFL-GTL-EP-4.5.4-2 Records Retention & Destruction Policy)**
- 5.18 GTL will use its existing procedures: **COFL-GTL-EP-4.5.5-1 Internal Audit Procedure, COFL-GTL-EP 4.5.2-1 Evaluation of Compliance Procedure** and **COFL-GTL-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-GTL-EP 4.5.4-1 Control of Records Procedure
- 6.2 COFL-GTL-EP 4.4.5-2 Master Document & Review Matrix
- 6.3 COFL-GTL-EP 4.5.5-1 Internal Audit Procedure
- 6.4 COFL-GTL-EP 4.5.2-1 Evaluation of Compliance Procedure
- 6.5 COFL-GTL-EP 4.5.3-1 Nonconformity, Corrective and Preventive Action Procedure
- 6.6 COFL-GTL-ED-4.5.4-3 Control of Records Annual Review Maintenance
- 6.7 COFL-GTL-EP-4.5.4-2 Records Retention & Destruction Policy
- 6.8 COFL-GTL-ED-4.5.4-4 Control of Records Matrix