

[Organization logo]

[Organization name]

Commented [14A1]: All fields in this document marked by square brackets [] must be filled in.

PROCEDURE FOR DOCUMENT AND RECORD CONTROL

Commented [14A2]: If you already implemented ISO 9001, you do not need to duplicate this procedure for ISO 14001 - it is enough to add the marked sections to your existing QMS procedure - please see the comments below.

Commented [14A3]: If you want to find out more about control of documents, see: Seven elements to control documents in EMS <http://advisera.com/14001academy/blog/2014/12/10/seven-elements-control-documents-ems/>

Commented [14A4]: Adapt to the existing practice in organization.

Code:	
Version:	0.1
Created by:	
Approved by:	
Date of version:	
Signature:	

Distribution list

Commented [14A5]: This is only necessary if document is in paper form; otherwise, this table should be deleted.

Copy No.	Distributed to	Date	Signature	Returned	
				Date	Signature

Change history

Date	Version	Created by	Description of change
	0.1	14001Academy	Basic document outline

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1. Purpose, scope and users

The purpose of this procedure is to ensure control over the creation, approval, distribution, usage, update, retention, and disposition of documents and records (also called: documented information) used in the EMS (*Environmental Management System*).

This procedure is applied to all documents and records related to the EMS, regardless of whether the documents and records were created inside [organization name] or whether they are of external origin. This procedure encompasses all documents and records, stored in any possible medium – paper, audio, video, etc.

This procedure doesn't apply to documents and records regarding [describe the parts of organization that this procedure doesn't apply to].

Users of this document are all employees of [organization name] inside the scope of the EMS.

Commented [14A6]: If you already have ISO 9001, just insert this part into existing procedure for document control.

Commented [14A7]: If you already have ISO 9001, just insert this part into existing procedure for document control.

Commented [14A8]: E.g., Finance, accounting, general and legal affairs.

Commented [14A9]: If you already have ISO 9001, just insert this part into existing procedure for document control.

2. Reference documents

- ISO 14001:2015, clauses 7.5
- Environmental Manual
- [other documents and regulations specifying document control]

Commented [14A10]: If you already have ISO 9001, just insert this part into existing procedure for document control.

3. Control of documents

Internal documents are all documents created inside the organization, e.g., policies, working

and storage of records are prescribed in the section "Managing records kept on the basis of this

Commented [14A11]: If you have a separate document with this purpose, delete this part and insert the name of the document.

Commented [14A12]: For example:

3.1. Creation and identification of documents

All documents

Identification of documents is performed as follows:

- Procedures are coded in the following way: [describe the organization's standard practice].
- [describe the organization's standard practice]

Commented [14A13]: For example:

The documents

3.2. Document approval

All documents, regardless of whether they are new documents or new versions of existing documents, must be signed and dated by the document owner. The document owner must sign the paper documents by signature.

3.3. Publishing, distributing, and accessing documents

After approving a draft or a new version of a document, [job title] keeps the original version and [job title] documents can be delivered to external parties only with written approval of [job title], and they are

Commented [14A14]: In case there are several document

Commented [14A15]: Alternatively, if using electronic

Commented [14A16]: If using electronic documents you can write something like this: "[job title] must publish the documents users of the document by e-mail."

3.4. Retrieval of outdated documents

document. Once the user of the document receives a new version of the document, he must return

[Job title] decides whether the outdated document should be archived or destroyed and the method [job title] verifies the receipt of the outdated document.

Commented [14A17]: If using electronic documents, write

Commented [14A18]: Delete if you use electronic documents.

3.5. Document updates and changes

The person listed as document owner has the responsibility for updating and changing the document. Changes to the document must be tracked and must be briefly described in the "Change History" table; if the Track Changes option is unavailable, or if the changes are too numerous, then the Track Changes option is not used.

3.6. Documents of external origin

recorded in the incoming mail register. The incoming mail register must contain the following

Commented [14A19]: Adapt the document name to the organization's existing record maintenance system.

[organization name]

information: (1) document number, (2) sender, (3) document name, (4) date of receipt, and (5) name

Commented [14A20]: Add additional information if required by the organization's record maintenance system.

document to [job title], who must also record it in the incoming mail register.

3.7. Records control

Commented [14A21]: If you want to find out more about

3.7.1. Record managing and labeling

location, (3) person responsible for storage, (4) controls for record protection, and (5) retention time.

Commented [14A22]: If you already have ISO 9001, just insert this part into existing procedure for record control.

Reports and analysis that are conducted periodically can be in free form, but they must include the

form and they are not subjected to marking described in this procedure.

3.7.2. Record availability

Employees of the organization may access stored records only after obtaining permission from the

stated in the concerned internal document in the chapter describing records control.

Commented [14A23]: More details should be provided if records are stored on various media.

organization].

Commented [14A24]: E.g., once a day.

3.7.3. List of types of records

Commented [14A25]: If organization uses electronic

No.	Code	Type of record	Retention period	Note
1.				
2.				
3.				
4.				
5.				
6.				

Commented [14A27]: This table can be used as a separate document; in that case insert the name of table in section 4 of this document.

Commented [14A26]: Write in here the current version of form used to create the record.

[organization name]

7.				
8.				
9.				
10.				
11.				
12.				

3.7.4. Record archiving and destroying

Records will be kept according to the retention schedule and destroyed when the retention period has expired.

4. Managing records kept on the basis of this document

Record name	Code	Storage			Responsibility
		Retention time	Location	Protection	
List of Internal documents	PR.04.1	Older versions are archived for 3 years.	[office of [job title]]	Records are stored in file cabinet [describe name/location].	[job title]
Registry of Records for Detention/Central Archive	PR.04.2	Older versions are archived for 3 years.	[office of [job title]]	Records are stored in file cabinet [describe name/location].	[job title]
Incoming mail register (electronic form – Excel spreadsheet)		3 years	[in the computer of owner of document]	Only [job title] has the right to make entries into and changes to the incoming mail register.	[job title]

Commented [14A29]: Adapt the information in this column to the normal practice in your company.

Commented [14A28]: Adapt the information in this column to the normal practice in your company.

Commented [14A30]: If the record is in electronic form, write the name of the folder on [job title]'s computer.

Commented [14A31]: Adapt to the organization's standard practice.

Only [job title] can grant other employees access to the records.

5. Appendices

- Appendix 1 – List of Internal Documents
- Appendix 2 – Registry of Records for Detention/Central Archive