



# EPA Region 1 McCormack Federal Building

## EMS Procedure

FY 2012

### 4.5.4 Records Management

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Title: EMS Coordinator

**Document location:** The official controlled version of this document is the electronic version maintained on-line in the Lotus Notes Database.

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#### 1.0 Purpose

- 1.1 The purpose of this procedure is to define the steps that EPA's McCormack Building follows to ensure that the environmental management system (EMS) records and other environmental records are properly identified, collected and filed to allow for ready access and retrieval.

#### 2.0 Scope

- 2.1 This procedure covers the process utilized by EPA for identification, maintenance, and disposition of its environmental records. These records include EMS training records, EMS audits, management reviews and any other record generated by implementing the EMS.

#### 3.0 Definitions

- 3.1 Active Records: Records that must be maintained in office space because they are referred to frequently and are needed to conduct daily business.
- 3.2 Disposition: The final action that puts into effect the results of an appraisal decision for a series of records. Transfer to an archival repository, transfer to a records center, or

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destruction are some possible disposition actions.

- 3.3 Document: A written instrument that provides information or instruction, such as, but not limited to, programs, guidance, plans, procedures and work instructions,
- 3.4 Environmental Management System (EMS) Record: Records that are defined as EMS records by the department or generated by implementing the EMS and listed on the Master EMS Document List as records necessary to maintain conformance with the EMS and ISO 14001 requirements.
- 3.5 Inactive records: Records that are referred to or viewed less than once a year are suitable for archiving.
- 3.6 Record: Recorded information, regardless of physical form or characteristics of the medium (e.g. paper, photograph, sound records, or computer generated, machine readable record) that provides evidence of a task, process or action being performed, or is a compilation of observed or measured data.
- 3.7 Records Retention/ Disposition Schedule: Planning document that specifies actions for the retention and disposition of current, inactive, and non-current records series of an organization or agency.
- 3.8 Record Series: Documents arranged according to a filing system or maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or share some other relationship arising out of their creation, receipt, or use.
- 3.9 Retention Schedule: The action of establishing retention periods for records and providing for their proper disposition at the end of active use.

### 4.0 Approach

- 4.1 EMS Record Generation: When an EMS record is needed or generated, the appropriate employee (specified in the procedure or work instruction) completes the record.
- 4.2 EMS Record Review: The employee conducts a review of the EMS record and forwards the record to the EMS Coordinator or designee for review and filing if applicable or maintains the records within his/her work area. This review may consist of determining whether:
  - The record is complete and legible
  - Signatures and initials are filled in where necessary
  - The information contained in the record is correct and has not been improperly altered
  - Any errors that have been made in the record have been properly corrected (a single line drawn through the error), the correction initialed and dated.
  - The record has an approved Record Retention Schedule authorizing its final disposition.
- 4.3 Active Record Storage: The EMS Coordinator reviews the EMS record for completeness and accuracy and either sends the record back for correction or files the record according to procedure.

Containers for storing active records within the department may be folders, file cabinets,

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boxes, computer directories, etc., provided they allow the record to be properly identified and stored so as to minimize deterioration, damage, or loss.

- 4.4 Record Retrieval: When a record is removed from filing, the person that removes record is accountable to return the record.
- 4.5 EMS Records Purge: Annually or when quantity warrants, the EMS Coordinator or designee purges all EMS records that are past their retention period and disposes of them according to the NERL EMS Procedure 4.4.5 *Document Control*.
- 4.6 Inactive EMS Records Retirement: EMS Records that are infrequently (Less than once a year) needed but must be kept for a specific amount of time for legal, fiscal, or administrative reference value are transferred to inactive records storage (Archive Room 142).
- 4.7 Inactive EMS Records Retrieval: Requests for EMS record retrieval can be made via telephone, electronically, or in writing. All requests for EMS records placed in storage are made through the EMS Coordinator for the respective unit.
- 4.8 Final Records Disposition: Records that are not required by regulation and are inactive may be disposed after 5 years from the date they were created or 3 years from the date they were archived.

### 5.0 Responsibilities

- 5.1 The EMS team ensures that EMS records are properly identified, collected, indexed, filed, and stored to allow for ready access and retrieval at the unit level, and that those records are properly disposed of in accordance with the Final Records Disposition listed above.
- 5.2 The EMS Coordinator will provide for:
  - Inventory, appraisal, and retention schedule of records for the EMS
  - Preservation and restoration of records deemed to be of vital, continuing, or enduring value
  - Destruction of records which have outlived their administrative, legal, or fiscal value
  - Transfer and maintenance of inactive and semi-active office records to approved storage facilities

### 6.0 Related Documents/ References/ Records

- 6.1 EMS Procedure: Document Control 4.4.5
- 6.2 Records Retention / Disposition Schedule

### 7.0 Distribution

The EMS Core Team's documentation lead has placed the most current version this procedure in an electronic repository. It is available electronically to users of the EPA Regional 1 intranet. Check the EPA Intranet EMS Page (<http://r1-gis-web.r1.epa.gov:9876/oarm/ems/index.html>) for a link to the latest version.