



# ISO 14001 4.5.3 RECORDS



# Lesson Learning Goals

At the end of this lesson you should be able to:

- Describe at least three benefits of keeping records
- Identify at least four requirements for good record-keeping
- Name three kinds of records that **must** be kept under ISO 14001
- In small groups, list at least ten kinds of records that **should** be kept under ISO 14001

# Records: Basic Principles

MAKE THEM  
AND  
KEEP THEM

# Purpose of Records

- Keep track of performance, activities, information, operating variables, dates
- Demonstrate progress towards targets
- Monitor trends
- Provide proof of activities
- Assess effectiveness of the EMS
- Maintain history of operations

# ISO 14001 Records says:

The organization shall establish and maintain procedures for the identification, maintenance, and disposition of environmental records. These records shall include training records and the results of audits and reviews.

# ISO 14001 Records also says:

Environmental records shall be legible, identifiable, and traceable to the activity, product or service involved. Environmental records shall be stored and maintained in such a way that they are readily retrievable, and protected against damage, deterioration, or loss. Their retention times shall be established and recorded.

# ISO 14001 Records one more thing:

Records shall be maintained as appropriate to the system and to the organization, to demonstrate conformance to the requirements of this international Standard

# In Other Words

- ➔ Must keep records:
  - » of environmental training, audits, and management reviews
  - » to prove the EMS meets ISO 14001 specifications
  
- ➔ Records must be:
  - » clear, readable, and complete (i.e., no gaps)
  - » stored securely and accessibly
  - » traceable to original data
  - » kept for a defined period of time



# Remember

All records are documents  
BUT not all documents are records

- Documented procedures say what **should** be done
- Records say what **was** done, and the results
- All ISO 14001 requirements for documents apply to records

# Keep Records of:

- Environmental aspects and impacts
- Legislation, regulations, permits
- Environmental performance indicators
- Environmental management program progress reports (i.e., achievement of objectives and targets)
- Environmental training (e.g., who and what)
- Decision on communication of significant environmental aspects
- Communications with interested parties

# Keeping Records (Cont'd)

- History of changes to documented procedures
- Supplier and contractor agreements
- Emergency response and drills, incident investigations
- Monitoring, instrument calibration, inspection, maintenance
- Non-conformance, corrective and preventive actions
- Legal compliance
- Audit reports
- Minutes of management reviews

# Concluding Thoughts

Important points to remember are:

- Records are proof of EMS conformance with ISO 14001 requirements
- Records provide a history of EMS information
- Keep records clear, orderly, available, secure, for a defined length of time