

Brookhaven National Laboratory/ Light Sources Directorate						
<b>Subject:</b>	<b>Light Sources Directorate EMS/OHSAS Records Management</b>					
<b>Number:</b>	<b>DL-QAP-1003</b>	<b>Revision:</b>	<b>A</b>	<b>Effective:</b>	<b>5/16/2008</b>	<b>Page 1 of 4</b>
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\*Approval signatures on file with master copy.

[Revision Log](#)

## 1.0 PURPOSE

To establish responsibilities and procedures for the retention of Light Sources Directorate Environmental Management System (EMS) and Occupational Health and Safety Assessment Series (OHSAS) records.

## 2.0 SCOPE

This procedure is applicable to Light Sources Directorate staff members and Light Sources Directorate [Environmental Management System \(EMS\) & Occupational Health and Safety \(OHSAS\) Management Committee](#) members that generate or possess EMS/OHSAS records.

## 3.0 POLICY

- 3.1 EMS & OHSAS management committee members will submit EMS/OHSAS records along with an [EMS/OHSAS Records Submission Form](#) to the [NSLS Quality Control Coordinator](#) (QCC) or [NSLS II Environment Safety and Health \(ES&H\) Manager](#) for specific records designated for Central Holding (Master File Room). Records listed in [Appendix A](#) that are not maintained in NSLS or NSLS II Central Holding must be maintained and inventoried by the specified responsible individual or designee.

Note: EMS/OHSAS electronic records should be printed on paper and submitted to the NSLS QCC or NSLS II ES&H Manager, as applicable.

- 3.2 NSLS and NSLS II EMS/OHSAS records will be maintained for the designated retention periods indicated in the *Records Management* subject area or where otherwise noted in this procedure.

## 4.0 REFERENCES

- 4.1 [Records Management](#) - SBMS subject area.
- 4.2 [ISO 14001 Plus Environmental Management System Manual](#) - SBMS Program Description.
- 4.3 [Light Sources Directorate Environmental Management System Manual](#)
- 4.4 [Light Sources Directorate OHSAS Management System Manual](#)

### Forms:

[Records Management Folder Profile Inventory Form](#)

[EMS/OHSAS Records Submission Form](#)

## 5.0 DEFINITIONS

- 5.1 **EMS/OHSAS Record** - These records may include environmental performance evaluation results, training records, results of EMS/OHSAS audits and management reviews, monitoring

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records, listing of significant aspects, and other correspondence. These types of records may also include support that environmental, occupational, safety, and health issues were considered, reviewed, discussed, identified, or corrected.

- 5.2 **Records** - Information of any kind and in any form (e.g., paper, photographs, microfilms, and electronic media), created, received, and maintained by individuals and the Laboratory as evidence of its functions, policies, decision, procedures, operations, or other activities.
- 5.3 **Records owner** - The creator of records; responsible for proper filing and disposal of records.
- 5.4 **Records series** - A group of records that is intended to be maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or have some other relationship arising out of their creation, receipt, or use.
- 5.5 **Records series title** - A general or descriptive heading assigned to a document, which can be used for identification and retrieval purposes. Series titles should coincide with series descriptions.
- 5.6 **Retention period** - The length of time records must be held before they can be disposed of. The time is usually expressed in years from the record's cut-off date, but may also be expressed as contingent upon the occurrence of an event.
- 5.7 **Records retention and disposition schedule** - A document providing a timetable that identifies the length of time a record must be retained in active and inactive status before final disposition.

## 6.0 PROCEDURE

- 6.1 Identify record as EMS/OHSAS related. Refer to listing of EMS/OHSAS records in [Appendix A](#) or [Light Sources Directorate EMS/OHSAS Records Submission form](#). If needed, contact the [NSLS Quality Manager](#), NSLS II ES&H Manager, or [Light Sources Directorate Records Representative](#) for assistance.
  - No further action is needed if the record is not identified as an EMS or OHSAS record;
  - Proceed to the next step if the record is determined to be an EMS or OHSAS record.
- 6.2 Determine the following:
  - For EMS/OHSAS records that are not held in NSLS or NSLS II central holding area (Master File Room), maintain and inventory records as per [Records Management subject area](#). Guidance may be obtained from the [Light Sources Directorate Records Representative](#). No further action is required from this procedure.
  - For EMS/OHSAS records that are maintained in the NSLS or NSLS II central holding area and are listed on the records submission form or in Appendix A, continue to step 6.3.
- 6.3 **Submit Record(s) to the NSLS QCC or NSLS II ES&H Manager:**

EMS/OHSAS records are submitted to NSLS or NSLS II Central Holding Area in two ways.

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1. For records that do not require the use of the records submission form, simply submit the record to the NSLS QCC or NSLS II ES&H Manager and the record will be captured in the appropriate system - Refer to [Appendix A](#) for further guidance.

OR

2. For records that do require the use of the records submission form, do the following:

Submit the original or copy of the paper or electronic record to the NSLS [QCC](#) or NSLS II ES&H Manager using the [EMS/OHSAS Records Submission form](#):

- Select the Record generator;
- Enter the Record date;
- Enter the Number of pages;
- Select a Series title - Refer to [EMS/OHSAS Records Submission form](#) for listing;
- Select a brief description of the record from the pull down menu (choose a description that best fits) and/or provide a further description in the "Other" field.

**Steps 6.4 through 6.6 apply to the NSLS QCC and QM or NSLS II ES&H Manager.**

#### 6.4 Filing Records

Records submitted to the NSLS QCC or NSLS II ES&H Manager that do not require the records submission form will be filed in their normal manner.

EMS/OHSAS Records submitted via the records submission form to the NSLS QCC or NSLS II ES&H Manager will be maintained as follows:

6.4.1 Each hanging file folder will contain a Series title.

6.4.2 Hanging file folders should be filed in alphabetical order according to the Series Titles listed on the EMS/OHSAS Records Submission Form.

6.4.3 Interior folders/files will be filed in chronological order.

6.5 Enter EMS/OHSAS record information and electronic files from 6.3 (step 2) into the Light Sources Directorate EMS/OHSAS records database. Paper records need to be scanned and entered into the database. Follow the guidance document provided in the Records database.

6.6 Records Maintenance:

- Review EMS/OHSAS Records Inventory annually;
- Submit new or updated records inventory form to the [Light Sources Directorate Records Representative](#) as necessary;
- Destroy records as needed.

