Environmental Management System (EMS) Audit Required Document and Records Review

1. Environmental Aspects.
   A. Aspect identification procedures.
   B. Aspect/impact list.
   C. Significance criteria and significant aspect determination procedures.
   D. Significant aspect list.

2. Legal and Other Requirements.
   A. Listing of applicable environmental legal and other requirements.
   B. Sample reference documents of legal and other requirements.

   A. Meeting minutes/notes documenting the development of objectives and targets.
   B. List of final objectives and targets.
   C. Related Environmental Management Plans.

   A. Description of management and staff responsibilities for implementing EMS.
   B. EMS core team roster.
   C. Sample position descriptions, including EMS responsibilities, if any.
   D. Organizational charts.

5. Training Awareness and Competence.
   A. Procedures for identifying positions and required training related to EMS and significant environmental aspects.

1Much of the required information is available in regional EMS manuals.
B. E-mail, memorandum, individual development plans, or other forms of communication requiring training of key staff to ensure they perform their duties to avoid or prevent environmental impacts.

C. Records of completed training (e.g., sign-in sheets, test records, training certificates, DOI Learn records).

6. **Communication.**
   
   A. EMS communication plan or procedures.
   
   B. Records of EMS-related communication and correspondence (e.g., emails, memoranda).

7. **Documentation, Document and Records Control.**
   
   A. Document management, control, and record-keeping procedures and systems (e.g., SharePoint).
   
   B. Sample EMS records and documents.

8. **Operational Control.**
   
   A. Procedures for identifying operational controls related to significant aspects.
   
   B. Sample directives and standards, standard operating procedures, guidance, work instructions, and on-the-ground practices to control significant environmental aspects.

9. **Emergency Preparedness and Response.**
   
   A. Sample emergency action plans (EAPs) and protocols.
   
   B. Reports from the Dam Safety Information System on the completion of EAP reviews, table-top exercises, and functional exercises.

10. **Monitoring and Measurement.**
    
    A. Procedures for monitoring and measuring significant environmental aspects.
    
    B. Procedures for monitoring and measuring objectives and targets.
    
    C. Records of monitoring and measurement, including data collected and reported.
11. **EMS Internal Audit.**
   
   A. Internal audit procedures and schedules.
   
   B. EMS internal audit reports.

12. **Nonconformance, Corrective and Preventative Action.**
   
   A. Documentation of nonconformities, and corrective and preventative actions identified in previous internal and independent audits.
   
   B. Evidence of completion of corrective and preventative actions.

13. **Management Review.**
   
   A. Meeting agendas.
   
   B. Meeting minutes, attendee lists, and documented action items.