

Reclamation Manual

Directives and Standards

Environmental Management System (EMS) Audit Required Document and Records Review¹

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.
3. **Objectives, Targets, and Environmental Management Plans.**
 - A. Meeting minutes/notes documenting the development of objectives and targets.
 - B. List of final objectives and targets.
 - C. Related Environmental Management Plans.
4. **Structure and Responsibility.**
 - 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.

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- 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.

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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.