



<b>Document Control and Record Management Process and Catalog</b>	
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## 1.0 Documents versus Records

The CCD EMS is supported in part by the establishment and maintenance of environmental documents and environmental records. In the EMS, an **environmental document** is used generally to direct an action; examples of environmental documents include environmental permits, plans, and inspection forms. An **environmental record** is a special type of environmental document used generally to record an action or set of conditions and is reflective of a point in time; examples of environmental records include reports, letters, telephone conversation logs, meeting minutes, and completed inspection forms. Whereas a *blank* stormwater inspection form would be an environmental document, a *completed* stormwater inspection form would be an environmental record because it records a set of conditions observed at a point in time.

## 2.0 Document Control Requirements

CCD has established, implemented, and maintains EMS document control procedures to ensure:

1. Environmental documents are easily accessible.
2. Environmental documents are periodically updated.
3. External documents are identified and their distribution controlled.
4. Only the most current document version is available for use.

Environmental documents and records can be maintained in electronic format or in a hardcopy format.

### 2.1 Electronically Controlled Documents

1. Environmental documents can be maintained in electronic format using the online EMS document library to facilitate easy accessibility. The “EMS SharePoint” site holds much of the EMS documentation. Because this site is inside the City’s firewall,

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- independent agency staff and most contractors do not have direct access to this documentation. For this reason, copies of relevant documentation are also maintained on [www.denvergov.org/EMS](http://www.denvergov.org/EMS) and are regularly updated.
2. Printed copies of electronically controlled documents are always UNCONTROLLED.
  3. Always refer to online EMS document library prior to using an electronically controlled document to ensure you are using the most current version.
  4. Items 2 and 3 above are noted on electronically controlled documents (note on document: “Unless otherwise specified at the beginning of the document, printed copies of this document are UNCONTROLLED. Always refer to the online EMS document library prior to use to ensure you are using the most current version.”).

The following information is included on the first page of *all* electronically controlled environmental documents:

1. Title
2. Document identification number
3. Version number
4. Revision date
5. Document Owner

*Greenprint Denver* EMS document template (CCD-304.01) can be used for electronically controlled documents and contains the elements above; however, the document author can use another format, if preferred.

## 2.2 Hardcopy Controlled Documents

1. Hardcopy controlled documents are assigned a unique “copy” identification number and distributed to appropriate personnel.
2. The list of copy numbers and corresponding owners / locations is tracked on a distribution log incorporated into the actual document.
3. When a change is made to a controlled document, the revised document or changed portions are then distributed to the controlled copy holders by the person controlling the document (document owner).
4. The *Greenprint Denver* EMS hardcopy document template (CCD-304.02) can be used to track each hardcopy document location; however, the document owner can use another format or method, if preferred.

Examples of hardcopy controlled documents include:

- Spill Prevention, Control, and Countermeasures (SPCC) Plans
- City and County of Denver General Contract Conditions, Department of Public Works / Department of Aviation, 1999 Edition
- Urban Storm Drainage Criteria Manual, Volumes 1 and 2, Urban Drainage and Flood Control District, June 2001
- Urban Storm Drainage Criteria Manual, Volume 3 - Best Management Practices, Urban Drainage and Flood Control District, 9/1/1999 (Revised 10/2005)



- Denver Storm Drainage Design & Technical Criteria Manual, CCD Department of Public Works, Wastewater Management Division, Engineering Division, January 2006
- Sanitary Sewer Design and Technical Criteria Manual, CCD Department of Public Works, Wastewater Management Division, Engineering Division, September 1996
- Water Quality Management Plan, CCD Department of Public Works, Wastewater Management Division, Engineering Division, 2004
- Stormwater Quality Control Plans, an Information Guide, CCD Department of Public Works, Wastewater Management Division, 5/11/00

Additional documents may be maintained in hard-copy format in the future as appropriate.

### 3.0 Document Catalog

CCD maintains a variety of procedures, plans, work instructions, other guidance documentation and some records to ensure regulatory compliance and operational control when conducting activities that can interact with significant environmental aspects. Using a “CCD” prefix, the following catalog organizes Environmental Management System (EMS) documents to allow for proper maintenance and accessibility at a dedicated intranet EMS SharePoint portal server (<http://dehweb/EMS/default.aspx>). Copies of some key documents are available on Environmental Health’s denvergov.org website (<http://www.denvergov.org/ES/EnvironmentalManagementSystemsEMS/Documents/tabid/427972/Default.aspx>). This site is updated quarterly or as needed to provide easy access to documentation for contractors and independent agencies that may not have access to the City’s intranet.

#### CCD-100 Environmental Policy and EMS Manual

- CCD-101: Environmental Policy
- CCD-102 EMS Manual
- CCD-103 ISO 14001 Scope

#### CCD-200: Planning

- CCD-201 Aspects
- CCD-202 Risk Control Framework
- CCD-203 Legal and Other Requirements
- CCD-204 Objectives, Targets, and Planning

#### CCD-300: Implementation and Operations

- CCD-301 Environmental Guidelines, Roles and Responsibilities
- CCD-302 Training
- CCD-303 Communications
- CCD-304 Documentation and Records



- CCD-305 Operational Controls
- CCD-306 Emergency Preparedness and Response

CCD-400: Checking and Corrective Action

- CCD-401 Monitoring and Measurement
- CCD-402 Inspections
- CCD-403 Corrective and Preventive Action
- CCD-404 Audit

CCD-500: Management Review

- CCD-501 Management Review

## 4.0 Document and Record Management Process

### 4.1 Document Identification Number Designations

Most documents related to the EMS will be issued an identification number to allow for easy location. Identification number designations will include the catalog section using the “CCD” prefix with department, subdocument and record designations as follows:

Prefix	(Department Designation)	Section Designation	(Subdocument Designation)	(Record Designation)
CCD-	(DPT-)	XXX	(.##)(.##)(.##)	(-R###)

Note: Parenthesis denotes an optional identification label.

Document identification numbers for the primary specific catalog section may simply be comprised of the “CCD” prefix and the section designation.

If content of a specific document or record applies exclusively to a single department, then a department designation should be used following the prefix, and prior to the catalog section designation.

A subdocument designation (.##) is used following the section designation for documents that support upper-level primary documents. Two additional tiers of subdocument designations are also available for lower level supporting documents.

Identification number designations examples:

- *CCD-204 Objectives, Targets, and Planning*
  - *CCD-204 Annual Planning Process*
    - *CCD-204-R001 2008 Annual Plan*
    - *CCD-DEH-204-R001 2008 Annual Plan*
- *CCD-305 Operational Controls, Procedures*

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- *CCD-DPW-305.01 MS4 Permit Programs*
  - *CCD-DPW-305.01.01 Commercial/Residential Management Program*
    - *CCD-DPW-305.01.01 Commercial/Residential Planning Procedures*
  - *CCD-DPW-305.01.02 Illicit Discharges Management Program*
    - *CCD-DPW-305.01.02.01: Illicit Discharge Inspection*
- *CCD-DPW-305.02 Graffiti Removal Work Instruction*

#### 4.2 Document Version Number Designations

Document version numbers are not included in the document identification number, but are tracked and updated simultaneously both on the first page of each document, and for each document using SharePoint version tracking capabilities.

Major versions of documents on the EMS SharePoint website are published and, therefore, accessible to general website users. All minor versions of documents on the SharePoint website are draft internal versions and unpublished (i.e., accessible on the SharePoint website to Core Team members only). The first published release of a document is identified as “Version 1.0.” Major and minor document revisions are thereafter identified using a “#. #” versioning convention. The numeric digit *before* the decimal is reserved for major revisions to a document and the numeric digit *after* the decimal is reserved for minor revisions. A major revision is a significant modification that addresses recognized errors, omissions, or provides important clarifications. Minor revisions pertain to typographical errors, grammatical errors, or small clarifications. A major revision to a document is reflected in the document version number by increasing the numeric digit *before* the decimal by one unit, and resetting the numeric digit *after* the decimal to zero (e.g., by changing “Version 2.4” to “Version 3.0,” or by changing “Version 3.0” to “Version 4.0”).

#### 4.3 Records Retention

CCD has established, implemented, and maintains EMS record control procedures to ensure the proper identification, storage, protection, retrieval, retention and disposal of environmental records.

Environmental records will at a minimum be kept according to the records retention policy of CCD and are established to meet legal and other requirements. A CCD records retention schedule is kept with the CCD Clerk and Recorder.

Environmental records may be stored according to the subunit filing structure as indicated in the following related document:

- [Related Document: CCD-DEH-305.13 Environmental Quality Filing Structure Work Instruction](#)