



City of Grand Rapids
Environmental Services Department
Policies and Procedures

Title: Element 12 – EMS Documentation and Document Control	Approved by: <i>Randall Fish</i>
Policy Number: 1103-12	Effective: 2/16/2006

General

Establish a system for capturing and tracking information related to the Biosolids EMS^A. The City recognizes the importance that information be organized, clear, relevant and factual as well as easily accessible for future reference.

Procedures

- 1) Existing tracking systems already in place and functional will be retained and blended into the City's Biosolids EMS^B. The City utilizes several systems for capturing information which include an internal intranet ("Antfarm", "Sharepoint"), hardbound policy/procedure manuals, CMMS systems LIM systems, and local database applications.
- 2) Document development protocols have been established for department EMS Elements, SOPs, equipment maintenance, and laboratory testing procedures which are based on standards and shall meet the following minimum requirements:
 - a) Readily available to employees
 - b) Follow SOP 1110 requirements
- 3) Contractors will develop their own SOP format protocols meeting the minimum requirements identified in SOP 1110 procedures section 1.
- 4) Contractors who choose to adopt the City's document control procedures identified in SOP 1110 shall do so by signing a "Memorandum of Understanding" which clearly commits them to complying with the requirements contained herein.
- 5) Document management system:
 - a) General
 - i) Controlled copies of EMS documents are maintained on the ESD Sharepoint Site.
 - ii) Shall be compliant with department SOP 1110 "Document Management System"
 - iii) Controlled copies of SOP's are maintained on the ESD Sharpepoint Site.
 - iv) Maintenance procedures are maintained within the City's CMMS Maximo system.

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- v) Laboratory testing procedures are maintained by the WPS-EA.
 - vi) All other copies are to be considered uncontrolled and out of date.
 - vii) Employees are instructed to use only the controlled copies and immediately discard all other copies.
- b) Biosolids EMS documents (Elements 1-17 and appendices) are controlled as follows:
- i) The EMS Coordinator has overall responsibility for creation and revision.
 - ii) No other employees are authorized to edit or revise these documents. Requests for revision shall be made to the EMS Coordinator who will revise the documents as needed.
 - iii) Only the EMS Coordinator is authorized to post updated revised controlled copies as noted above^c.
- c) Standard Operating Procedures (SOP’s), Maintenance procedures and Laboratory testing methods shall be in accordance with requirements identified in SOP 1110.

Table 12.1 Record Documentation Systems

RECORD DOCUMENTATION SYSTEMS	
System	Description
<i>ESD Sharepoint Site</i>	
	Controlled wastewater plant & collection system policies/procedures
	Controlled Biosolids EMS documents
	Controlled City commission policies/procedures
	Controlled City administrative policies/procedures
<i>Files</i>	
	Discharge monitoring reports
	Biosolids annual report
	Section/division specific policies/procedures
<i>CMMS - Maximo</i>	
	Facility equipment preventive maintenance records
	Job plan details associated with work orders
	Equipment assembly structure/hierarchy and asset management
	Materials inventory – repair components and various supplies
	Equipment specifications broken down by machine or component
	Equipment/facility maintenance repair history
	Equipment trending and statistical analysis
<i>CMMS - Cityworks</i>	
	Collection system asset management and infrastructure inventory
	Materials inventory – repair components and various supplies
	Infrastructure maintenance and repair records
	Asset specifications, location, size, condition, type
<i>Employee training files</i>	

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RECORD DOCUMENTATION SYSTEMS	
	Employee training records
<i>Safety equipment inspections files</i>	
	Equipment inspection records

References

Appendix A Glossary
 Appendix B Tables, Figures, Forms
 Appendix C CCP Postings

EMS DOCUMENT REVISION HISTORY		
Rev#	Date	Description
<i>Element 12 – EMS Documentation and Document Control</i>		
02	5/6/2006	Updated references – added Appendix C Added document control header
03	6/13/2006	Revised Table 12.2, included “Goals & Objectives Annual Review (Form 5.1)”
04	6/14/2006	Corrected typos
05	7/1/2006	Updated document approval due to reorganization, revised Table 12.2 reference “Department Director” to “Utilities Director”
06	9/14/2006	Implemented written document management system within procedure section.
07	10/24/2006	Revised document header in accordance with SOP 1110 requirements.
08	03/28/2008	Documents managed with Sharepoint.

^A Reference Table 12.2 “Biosolids Related Documentation and Retention”

^B Reference Table 12.1 “Record Documentation Systems”

^C Only authorized users, with correct username and password, have access to post/update documents

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Table 12.2 Biosolids EMS Related Documentation and Retention

BIOSOLIDS EMS RELATED DOCUMENTATION AND RETENTION

Responsible Party	Document Description	Location	Retention Period
<i>WPS-EA</i>			
	Pretreatment inspections	IPP office	5 years
	IPP SIU permits	IPP office	5 years
	IPP enforcement activities	IPP office	5 years
	Discharge authorization permits	IPP office	5 years
	Complaint investigations	Cityworks/IPP Office	5 years
	Laboratory QA/QC	Laboratory	5 years
	Controlled Laboratory SOPs	Sharepoint	Until rescinded
	Laboratory bench sheets	Laboratory	5 years
<i>WPS-OP</i>			
	Controlled Operations SOPs	Sharepoint	Until rescinded
	Plant Operator log books	Control room	5 years
	Odor complaints/response	Cityworks	5 years
	Biosolids Annual Report	WPS-OP office	5 years
	Safety equipment inspections	Control room	5 years
	Spill response/reports	WPS-OP office	5 years
	Landfill tipping reports	WPS-OP Office	5 years
	Plant operations log sheets	Control room (current year) WPS-OP (prior year) Archive center (>2 yrs)	5 years
<i>WPS-MAINT</i>			
	Employee training records	WPS-MAINT office	While in department
	Controlled Maintenance SOPs	Sharepoint	Until rescinded
	Collection system work orders	Sewer Maintenance, Cityworks	5 years
	Process instrumentation calibration/maintenance	Instrument Technicians, Maximo	5 years
	Maintenance corrective/preventive work orders	Maximo CMMS	5 years
<i>Assistant Manager</i>			
	Discharge monitoring reports	On network drive (T:)	5 years
	Monthly operating reports	On network drive (T:)	5 years
	Regulatory violation letter/response correspondence	ESD Manager's office	5 years
	NPDES permit	ESD Manager's office	5 years

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BIOSOLIDS EMS RELATED DOCUMENTATION AND RETENTION

Responsible Party	Document Description	Location	Retention Period
	Personnel records/files	Administration office	5 years
<i>ESD Manager</i>			
	NA		
<i>Executive Office</i>			
	Controlled City Policy/Procedures	Antfarm	Until rescinded
<i>Contractor</i>			
	Contractor maintenance records	Contractors site	Lesser of 5 years or life of contract
	Contractor’s emergency management plan	Contractors site	Until rescinded
	Contractor’s controlled SOPs	Contractors site	Until rescinded
	Contractor operating records	Contractors site	Lesser of 5 years or life of contract
<i>EMS Coordinator</i>			
	EMS Coordinator & Biosolids Program Manager appointments	EMS file	Life of EMS program
	EMS internal audit documents	EMS file	5 years
	Nonconformance investigation reports	EMS file	5 years
	Action plans, annual review	EMS file	5 years
	Public request for information forms	EMS file	5 years
	Public participation in planning worksheet	EMS file	5 years
	Quarterly action plan progress reports	EMS file	5 years
	Third party audit report	EMS file, Internet	5 years
	CCP Periodic Review (Figure 3.1)	EMS file	5 years
	Annual Operational Controls Review (Form 10.1)	EMS file	5 years
	Landfill periodic inspection reports	EMS file	5 years
	Contractor Compliance Inspections (Form 10.2)	EMS file	5 years
	Goals & Objectives Annual Review (Form 5.1)	EMS file	5 years
	EMS periodic biosolids program performance report	EMS file, Internet	5 years
	EMS periodic management review of performance reports	EMS file	5 years