

Appendix 6 – Examples of Records and Documentary Evidence

EXAMPLES OF RECORDS AND DOCUMENTARY EVIDENCE

Auditors can use many different sources of information to help them verify conformity with the relevant RJC standard. A list of the types of relevant documentation that auditors may ask to review is included below. This is not exhaustive as relevant evidence will depend on the legal requirements in different countries as well as the specificities of a member's operations.

In most cases, auditors will ask to see documents covering the 12 months prior to the audit; bold items are likely to be reviewed over the previous 36 months or in some cases even longer. In all cases, it is the lead auditor who decides how far back the audit team needs to look.

Note that auditors may want to take photographs of documents as evidence of verifying conformity/nonconformity. If they do, they must ask permission from the RJC member or entity being audited and document it in their audit report.

General documentation:

- Site plans and map of surrounding area.
- Plant layout and description of operations.
- Stormwater and sewer plans.
- Underground tanks and piping plans and records.
- Waste disposal sites (current and disused).
- Site contamination study reports.
- Site history documentation.
- Leases and titles.
- Safety data sheets.
- Operating licences and permits.
- Prosecutions and penalties.
- Aerial photographs.

Product and process information:

- Process description.
- Process flow diagrams (PFDs).
- Equipment lists.
- Piping and instrumentation diagrams (P&IDs).
- Operating procedures.
- Raw material, product and packaging lists.
- Production records.
- Energy types used.
- Inventory records and stock checks.
- Monitoring records.

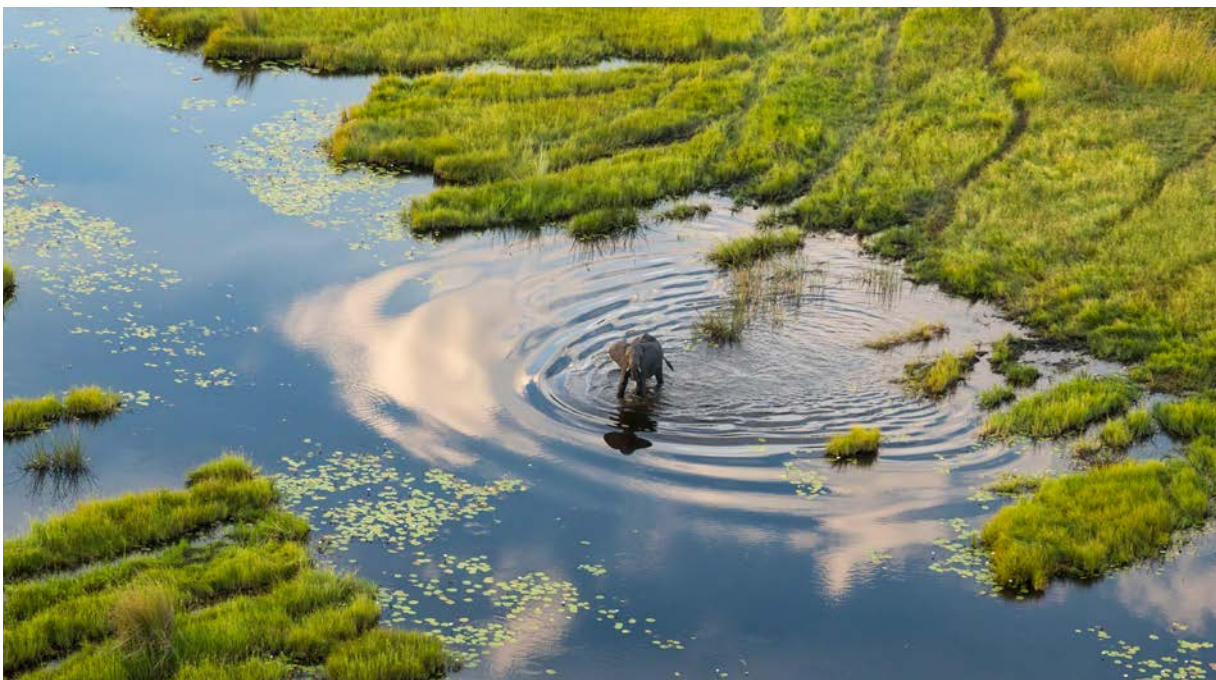
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Management information:

- Policies and procedures.
- Organisation charts and job descriptions.
- Management improvement plans.
- Complaints and incidents.
- Abatement notices.
- Accidents, spills and emergencies.
- Insurance and waste disposal costs.

Employee documentation:

- Employment contracts/terms and conditions of employment.
- Employee files (including employment applications, disciplinary letters, etc.).
- Employee handbooks.
- Proof of age documents (copies of identification cards, birth certificates, medical clearance, etc.).
- Employee benefits.



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Facility policies and procedures:

- Internal operating policies and procedures.
- Business licences.
- Maintenance and health licences.
- Wage and working-hour policies.
- Employment at-will policy.
- Anti-discrimination policy.
- Employee/management grievance policy.
- Freedom of association policy.
- Any other government licences, certificates of operation, etc.

Payroll documents:

- Payroll records for peak and non-peak seasons.
- Time records.
- Piece-rate records.
- Payroll registers.
- Payroll stubs.
- Support for overtime calculations.
- Special labour waivers such as the overtime extension waiver.
- Registration for social insurances.
- Evidence of payment of social insurances to local authorities.

General safety, health and environment:

- Notices from regulatory agency inspections.
- Correspondence with regulatory agencies.
- Training records (sign-in sheets, agendas, training materials).
- Committee records (agendas, meeting minutes, activity logs).
- Inspection records (fire extinguishers, eyewash/showers, etc.).
- Hazard Identification (HAZID) and Hazard and Operability (HAZOP) studies.
- Life-cycle assessments.
- Community-related initiatives such as regular meetings and stakeholder participation programmes.

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Environment:

- Air emission permits and monitoring records.
- Reports of analysis of drinking water.
- Piping diagrams/as-built diagrams for wastewater and air emissions.
- Wastewater discharge monitoring reports.
- Wastewater discharge permits.
- Inventory of polychlorinated biphenyl (PCB)-containing equipment.
- Registration or permits for PCB-containing equipment.
- Asbestos survey/inventory and sampling results.
- Asbestos operations and maintenance plans.
- Hazardous waste manifests or shipping papers.
- Waste profiles/test results/waste analyses.
- Waste information (types and sources, composition, quantities, transfers, storage, treatment methods, destination/disposal, waste reduction and recycling programmes).

Health and safety:

- Accident investigation forms.
- Accident or injury reports.
- Chemical inventory.
- Records of industrial hygiene monitoring (exposure to chemicals, noise and temperature and measurements of ventilation).
- Job/task hazard assessments/determinations.
- Occupational health assessments.
- List of required/approved personal protective equipment.
- Respirator-fit testing records.
- Emergency response plan including map with evacuation and muster locations.
- Testing, inspection and maintenance records for fixed and portable fire suppression equipment.
- Internal assessments and evidence of follow-up.