Checklist of Document Control Basics

*Use this Checklist to review your organization’s existing procedure(s) for managing and controlling documents to determine if it meets the basics for control of ISO 50001 energy management system (EnMS) documents. Note any needed modifications to the existing document control procedure under Actions Needed.*

NOTE: This Checklist does not address records. In ISO 50001, records are managed separately from documents.

| Document Control Basics  – Does the Document Control Process ensure the following? | | Yes | No | Actions Needed  (if any) |
| --- | --- | --- | --- | --- |
| Identified | |  |  |  |
|  | Documents have a subject, description or other mechanism for identifying what they are and what activities they are related to? |  |  |  |
| The currency of documents is identified (e.g., by date and/or revision level)? |  |  |  |
| Approval | |  |  |  |
|  | Documents and revisions are approved before they are issued? |  |  |  |
| Responsibilities and authorities for document approval are defined? |  |  |  |
| Up-to-date | |  |  |  |
|  | Documents are reviewed from time to time and updated as needed? |  |  |  |
| Responsibilities and authorities for document review and updating is defined? |  |  |  |
| When documents are modified, changes are identified so it is clear what has changed? |  |  |  |
| Located where they are needed | |  |  |  |
|  | Documents are available where personnel who need them can access them? |  |  |  |
| Responsibilities and authority for ensuring documents are available at points of use are defined? |  |  |  |
| Legible | |  |  |  |
|  | Contain a process to ensure that documents continue to be readable? |  |  |  |
| Obsolete Documents | |  |  |  |
|  | Obsolete documents are removed from points of access? |  |  |  |
| Responsibilities and authority for removal of obsolete documents are defined? |  |  |  |
| Ensuring obsolete documents that are kept, are identified as being obsolete? |  |  |  |
| Responsibilities and authority for identifying obsolete documents that are kept are defined? |  |  |  |
| External Documents | |  |  |  |
|  | Provide for identification of external documents? |  |  |  |
| Controls the distribution of external documents? |  |  |  |
| Responsibilities and authority for identifying and controlling the distribution of external documents are defined? |  |  |  |