Information Security Document

Document and Record Control Procedures

Version 6.0

Version History			
Version	**Date**	**Detail**	**Author**
1.0	30/08/2013	Approved by Information Governance Group	Jo White
2.0	27/09/2013	Changes detailing version control and requirements for EDRM printing.	Jo White
3.0	13/10/2014	Reviewed by Information Governance Group	Jo White
4.0	16/11/2015	Reviewed by Information Governance Group.	Jo White
5.0	05/12/2016	Reviewed by Information Governance Group. No changes.	Jo White
6.0	11/09/2017	Reviewed by Information Governance Group. Amended to separately define records and documents and combine procedures.	Jo White

This document has been prepared using the following ISO27001:2013 standard controls as reference:	
ISO Control	**Description**
A.8.2	Information classification
A.7.2.2	Information security awareness, education and training
A.18.1.1	Identification of applicable legislation and contractual requirements
A.18.1.3	Protection of records
A.18.1.4	Privacy and protection of personally identifiable information

1   Introduction

Derbyshire County Council recognises that documents and records must be securely maintained, are accurate and available. Maintaining a consistent approach to the management of documents and records will help to ensure the availability and accuracy of the Council's information and data.

2   Purpose

The purpose of this procedure is to describe the Council's methodology for document and records control across all Council departments. Documents and records are likely to be revised, redrafted and amended over time and a consistent approach for recording this activity is required.

3   Definitions

A **document** is something that is being currently worked upon and is therefore subject to editing and change. Documents do not have retention periods because they are solely needed for current business purposes. Examples of documents include:

- Blank forms
- Posters and fliers
- Purchase orders
- An approved suppliers list
- Draft policies or procedures

All **records** start their lives as documents, although all documents don't necessarily become records. Those that become records provide evidence of an event or decision. Unlike documents, records need to be kept once that event has happened or decision been made. The length of time they need to be kept is set out in a retention schedule. Examples of records include:

- Completed forms
- Reports
- End of year accounts
- Letters and emails that have been sent
- Finalised and approved policies and procedures

4   Procedure

It is important that documents and records control is applied systematically and consistently across the Council. It is accepted that many departments already have established methods of control, however, there must be a common approach applied throughout:

1. The creation of all new documents (and records where appropriate) must include a version history which contains the following and is clearly identified using the title 'Version History' and placed at the beginning of each document/record:

   - **Version** – An incremental numbering scheme should be used – with the number being incremented when a change has been made.e.g **1.0, 2.0** - series increments such as **1.1, 1.2** etc are typically used for minor changes.

Major changes typically involve a full number increment e.g from **1.0 to 2.0** etc.

Departments using existing version numbering systems should continue to incorporate this into the version control methodology outlined in this procedure.

- **Date** – the date by which any newly created documents, changes, reviews or approvals have been made.
- **Detail** – a short explanation as to the reason for the version change/activity.
- **Author** – the name of the person with author ownership of the version change.

Example version control table

Version History			
Version	**Date**	**Detail**	**Author**
1.0	12/05/2013	Approved by the IGG	John Smith

2. All changes to documents must go through an appropriate approval process (wherever one has been agreed).
3. All documents must be labelled and classified appropriately – in accordance with the Council's Information Classification & Handling Policy
4. All documents must have an electronic version – where hardcopies exist, must be the same version as the electronic one - whichever is the most up-to-date.
5. Departmental Management Teams will notify relevant managers, staff and suppliers when a new version has been published and ask that all previous versions are destroyed.
6. All documents and records must have electronic versions which are made available on the Council network and which can be backed up in line with the Council's Information Backup and Restore Policy.
7. Records must be maintained and stored in line with relevant retention policies, legal regulations and/or statutory requirements.
8. Where there is no longer a requirement to retain records and documents, appropriate document disposal and removal procedures must be carried out in accordance with the Council's:
   - Data Protection and Storage Media Handling Procedures
   - Record Disposal Procedures
9. All records of significant security incidents must be kept as part of the Council's ISMS
10. All Information Security Management System (ISMS) documents will be reviewed annually and approved by the Council's Information Governance Group (IGG). The Information Security Manager will initiate documents to be reviewed throughout the annual cycle. Each member of the IGG will review the documents. The Information Security Manager will collate the responses and present the final version to the IGG for approval.
11. All documents must be approved prior to issue for adequacy and that relevant versions of documents are available at points of use.

N.B - Departments may develop a 'localised' Document and Record Control procedure which outlines and describes the methods by which version control has been applied in their department – particularly where a rationale exists which is specific to the department or is determined by unique working practices, however, any 'local' procedures must be in accordance with these procedures.

The Council is continuing to roll out the Electronic Document Records Management system (EDRM) and is gradually moving all documents (including records) into the system. The EDRM system is not yet capable of applying or printing the required version control and/or document classification information and so, version controls and classifications must continue to be manually applied to all documents and records wherever they are stored or maintained in accordance with this procedure and the Council's Information Classification & Handling Policy.

This document forms part of the Council's ISMS Policy and as such, must be fully complied with.