



Document and Record Control **Procedures**

1 Version History details and 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
7.0	08/10/2018	Reviewed by Information Governance Group. No changes. Jo White
8.0	06/11/2019	Reviewed by Information Governance Group. Clarify difference between documents and records. Jo White
9.0	08/12/2020	Reviewed by Information Governance Group. No changes. Jo White
10.0	07/12/2021	Reviewed by Information Governance Group. No changes. Jo White
11.0	10/01/2023	Reviewed by Information Governance Group. Definitions aligned with Corporate Records Management Policy. Jo White
12.0	13/02/2024	Reviewed by Information Governance Group. No changes. Jo White
13.0	11/03/2025	Reviewed by Information Governance Group. No changes. Jo Williams

This document has been prepared using the following ISO27001:2022 standard controls as reference:

- A.5.12 – Classification of Information
- A.5.31 – Legal, statutory, regulatory and contractual requirements
- A.5.33 - Protection of records
- A.5.34 - Privacy and protection of PII
- A.6.3 - Information security awareness, education and training

2 Introduction

Derbyshire County Council recognises that documents and records must be securely maintained, and kept 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.

3 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.

4 Definitions

The Corporate Records Management Policy defines a document as a self-contained unit of information that can be understood on its own or using other information sources.

The ISO 15489-1 standard defines records as information "created, received, and maintained as evidence and as an asset by an organisation or person".

Not all information needs to be maintained as evidence. It follows that not all documents are records. Examples of records include:

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

Records do not include documents such as:

- Blank forms
- Information being prepared for use in a report
- Draft accounts
- Draft letters and emails
- Draft policies and procedures

5 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.
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. Where hardcopy documents exist, electronic copies should be made wherever possible, which maintain the same version/s as the original copies in order for them to be stored and backed-up in accordance with the Council's Information Backup and Restore Policy.
 5. Departmental Management Teams must notify relevant managers, staff and suppliers when new versions of key documents such as policies and procedures have been published and ask that all previous versions are removed/ destroyed as necessary.
 6. Records must be maintained and stored in line with relevant retention policies, legal regulations and/or statutory requirements.
 7. 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
 8. All records of significant security incidents must be kept as part of the Council's ISMS
 9. 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.
 10. 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's Electronic Document Records Management (EDRM) system is not capable of applying or printing version control and/or document classification markings 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 is owned by the Information Governance Group and forms part of the Council's ISMS Policy and as such, must be fully complied with.