|  |  |  |
| --- | --- | --- |
| Document ID  **ITAD103** | Title  **IT DOCUMENT MANAGEMENT** | Print Date  **mm/dd/yyyy** |
| Revision  **0.0** | Prepared By  **Preparer’s Name / Title** | Date Prepared  **mm/dd/yyyy** |
| Effective Date  **mm/dd/yyyy** | Reviewed By  **Reviewer’s Name / Title** | Date Reviewed  **mm/dd/yyyy** |
|  | Approved By  **Final Approver’s Name / Title** | Date Approved  **mm/dd/yyyy** |

**Policy:** To enable any document connected with the Company’s official functions to be managed, stored securely, and found at all times, regardless of its form (paper or electronic).

**Purpose:** To define methods and responsibilities for controlling documents and define methods for document storage, revision, availability (retrieval), and destruction.

**Scope:** This procedure applies to all documents required by the Company to conduct its business.

**Responsibilities:**

The Document Manager is responsible for developing and implementing the Document Management Plan, updating the Plan as needed, maintaining Company documents, controlling access to and distribution of such documents, managing document change, and communicating the Plan to employees.

All Employees are responsible for controlling Company documents in accordance with the Document Management Plan.

Information Technology Managers are responsible for reviewing and approving the Document Management Plan.

Department Managers are responsible for ensuring that current versions of all relevant documents are available at the point of use and that those documents are legible.

**Definitions:** Controlled Document – Any document for which distribution and status are to be kept current by the issuer, to ensure that authorized holders or users have the most up-to-date version available.

Document – Information and its supporting medium (paper, magnetic, electronic, optical, photograph, or sample). A document is an object commonly found in office systems (a spreadsheet, word processing document, database, etc.), whereas a record is a document that provides evidence of a particular business activity.

External Document: A document of external origin that provides information or direction for performing work. Examples of external documents are customer drawings, industry and governing body standards, vendor-supplied user manuals, and equipment manuals.

Record – In Information Technology, a record is a data structure aggregating several items of possibly different types. The items being aggregated are called fields and are usually identified or indexed by field labels.

Generally, a record is data or information of any kind and in any form, created or received and accumulated by an organization in the course of conducting business and subsequently kept as “evidence of activity” through incorporation into a recordkeeping system.

## Procedure:

### 1.0 planning document management

1.1 To prepare the Company’s Document Management Plan, The Document Manager shall review the following items:

* Information Technology Industry standards and best practices;
* Legal and regulatory requirements pertaining to document management; and
* The existing document management plan, if there is one.

1.2 The Document Manager shall use the preceding items to develop a Document Management Plan. The Plan shall be submitted to Information Technology Managers for review and approval.

1.3 Upon Information Technology Managers’ approval of the Document Management Plan, the Document Manager shall implement the Plan, delegate duties as needed, and communicate the Plan to all employees.

### 2.0 Document MANAGEMENT PLAN

2.1 Document Distribution

* The Document Manager shall maintain a master list of all controlled documents, ITAD103-1 - DOCUMENT CONTROL LIST. The document control list should include at a minimum the following information on each document:

1. Document title;
2. Unique ID;
3. Date of issue;
4. Current revision number and date; and
5. Document location.

* The Document Manager shall keep Company documents in a secure location and control their availability and distribution.
  1. Hard-copy originals shall be in a secure storage area and control over copying and distribution shall be exercised.
  2. Electronic document location shall be identified within ITAD103-1. Access to electronic documents shall be in accordance with ITSD106 Information Technology ACCESS CONTROL.
* The Document Manager shall distribute hardcopy documents to locations specified within ITAD103-1 and shall remove and destroy any previous versions. Electronic document distribution shall be controlled in accordance with procedure ITSD106 Information Technology ACCESS CONTROL:

1. Previous document versions shall be electronically archived, in accordance with Company requirements; and
2. Previous versions shall be replaced by revised versions.

* Depending on the document’s content and sensitivity (security) level, the Document Manager (with guidance from Information Technology Managers) shall restrict access to and distribution of Company documents, in accordance with procedure ITSD106 Information Technology ACCESS CONTROL.
* External documents are controlled primarily for distribution purposes. All external documents and revisions shall be added to ITAD103-1 as they are acquired.

2.2 Document Acceptance and Revision

* The Document Manager shall be responsible for coordinating with Department Managers to ensure all documents are periodically reviewed (annually, at a minimum), to ensure their continued suitability to Company requirements and to ensure timely updates.
* Anyone may submit a new document or recommend a revision to an existing document, in anticipation of or response to changing standards (see Reference A), legal requirements (see Additional Resource A), or business requirements.

1. The requestor shall complete ITAD103-2 DOCUMENT CHANGE REQUEST FORM, indicating the nature of and reason for the change, and submit the Change Request Form with a copy of the recommended document (change) to the Document Manager.
2. In the case of hard-copy documents, the requestor shall print a copy of the document, mark requested changes (if any) on the copy, and submit the document to the Document Manager for review.
3. In the case of electronic documents, the requestor shall, at a minimum, prepare the document and/or detailed list of changes and e-mail a copy of the document (and changes) to the Document Manager.
4. If document changes are extensive, a new document may be typed and submitted with a copy of the original.
   * The Document Manager shall review original documents and/or change requests with Management of the affected department.
5. Reviewers shall consider the reason for the change and determine if it is warranted (will it add value, will it add to or reduce complexity, etc.).
6. Reviewers shall indicate their approval of the document or changes.
7. If the document/change is approved, a Document Change Number (DCN) shall be noted on ITAD103-3 DOCUMENT CHANGE CONTROL FORM. This form and a copy of the (changed) document, along with appropriate approvals, shall be submitted to the Document Manager for updating the document, indexing the revision, and updating the revision history.
8. If the document (change) request is denied, the requestor shall be notified of the reason(s) for denial.
   * The Document Manager shall circulate the final document/revision in order to obtain the required approvals (signatures).
   * When the required approvals have been obtained, the Document Manager shall update the master document list with the correct revision number, last review date, and other required information.
   * In the case of hard-copy documents, the master document (revision) shall be stored with the master document list.
   * Management of the affected department shall be formally notified of the new or revised document.
     1. Hard copies shall be distributed to authorized personnel.
     2. Electronic copies shall be made available through the Company Information Technology network, in accordance with ITSD106 IT ACCESS CONTROL.

2.3 Document Format

* All documents shall have a document name, ID, revision ID, and page number (in “page X of Y” format) on each page.
* All documents shall bear approval signatures on the first (or cover) page. Electronic documents shall bear approver names.
* Procedures and instructions may use this procedure document (ITAD103) as a template.

2.4 Temporary Changes

* Temporary changes shall be defined and controlled.
* Temporary changes may be developed in written form, on a hardcopy or electronic procedure template, or on a copy of an existing document, in contrasting color.
* Temporary changes shall be reviewed and approved by the Document Manager and the affected Department Manager(s), at a minimum.

1. On hard-copy documents, review and approval shall be indicated by signatures or by initials and date next to “red lines.” Documents and changes shall be legible and identifiable.
2. On electronic documents, review and approval shall be indicated by appropriate notation in the document and the temporary status of the change shall be noted in the name of the document.
   * Temporary change documents shall include the start and end date for the change period and the scope of applicability.
   * Temporary changes to a document should not exceed two weeks; at the end of the change period, temporary changes shall be made permanent or removed.

### 3.0 Document Management plan review

3.1 Information Technology Managers shall periodically (annually, at a minimum) review the Document Management System for continued applicability, effectiveness, and compliance.

3.2 A periodic audit of the Document Management System shall be conducted (once every two years, at a minimum) by a registered and qualified third party auditor.

### 4.0 DOCUMENT MANAGEMENT PLAN UPDATE

4.1 The Document Manager shall incorporate recommended updates into the Plan and communicate such changes to all employees.

4.2 Within a month of the Plan being updated, Information Technology Managers shall review the Plan to verify that updates have been implemented and are producing the desired results.

**Forms:**

* ITAD103-1 DOCUMENT CONTROL LIST
* ITAD103-2 DOCUMENT CHANGE REQUEST FORM
* ITAD103-3 DOCUMENT CHANGE CONTROL FORM

**References:**

1. **ISO 9001:2008, QUALITY MANAGEMENT SYSTEMS-REQUIREMENTS**

***Clause 4.2.3*** of ISO 9001 states that an organization’s documents shall be controlled and the organization shall have a documented procedure in place that specifies document controls before an organization is in compliance with Quality Management System requirements.

1. **ISO 27001:2013 INFORMATION TECHNOLOGY – SECURITY TECHNIQUES – INFORMATION SECURITY MANAGEMENT SYSTEMS – REQUIREMENTS**

ISO 27001 states document requirements for an Information Security Management System (ISMS). It states general requirements for such documentation and that documents required by the ISMS shall be protected and controlled.

1. **SARBANES-OXLEY ACT OF 2002**

The Sarbanes-Oxley Act (or “SOX”) passed by the U.S. Congress in 2002 is designed to prevent ***publicly-held*** companies from manipulating, losing, or destroying business-related documents. Section 404 of the Act requires company executives to attest to and ensure adequate internal controls and to periodically assess them. It is crucial for any organization wishing to be in compliance with SOX to develop and execute an effective document management plan.

**D. CONTROL OBJECTIVES FOR INFORMATION AND RELATED TECHNOLOGY (CObIT)**

CObIT is a process model developed to assist enterprises with the management of information technology resources. The process model focuses on developing suitable controls for each of the 34 Information Technology processes, raising the level of process maturity in information technology and satisfying the business expectations of Information Technology.

CObIT's Management Guidelines component contains a framework responding to management's need for control and measurability of Information Technology by providing tools to assess and measure the enterprise’s Information Technology capability for the CObIT Information Technology processes. The tools include:

* Performance measurement elements (outcome measures and performance drivers for all Information Technology processes);
* A list of critical success factors that provides succinct, nontechnical best practices for each Information Technology process; and
* Maturity models to assist in benchmarking and decision-making for capability improvements.

Detailed information on CObIT may be found at <http://www.isaca.org> or <http://www.itgi.org/>.

**Additional Resources:**

1. Title 21, Code of Federal Regulations (21 CFR Part 11), “Electronic Records; Electronic Signatures”.

**Revision History:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Revision** | **Date** | **Description of Changes** | **Requested By** |
| 0 | mm/dd/yyyy | Initial Release |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**ITAD103-1 DOCUMENT CONTROL LIST**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Document ID** | **Document Name** | **Internal/ External** | **Date of Issue (Receipt)** | **Dept. Owning** | **Originator** | **Approved By** | **Revision Number** | **Revision Date** | **Document Location** | **Distribute To** |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |

[This page intentionally left blank]

**ITAD103-2 DOCUMENT CHANGE REQUEST FORM**

Date: RDC No.:

Originator:

Document Title and Publication Date:

Page and Chapter, or Paragraph Number:

Description of problem, opportunity, or other reason for request (define in detail):

Solution Recommended:

Date Action Required By:

Comments:

Department Manager Approval:

Recommended solution to problem or postponement/dissolution of request (attach all necessary documentation to support response):

Approved By: Date:

**PROCEDURE FOR COMPLETING FORM**

1) Complete top section of this form except for RDC number

2) Obtain Department Manager's approval

3) Forward original to Information Technology Managers who will assign a RDC number (Note: one copy will be returned to originator with RDC number assigned).

4) Information Technology Managers will take action and if appropriate will proceed with an RDC.

5) Information Technology Managers will send a copy to Originator upon resolution of request.

Distribution: Original - RDC File Copy - Originator

[This page intentionally left blank]

**ITAD103-3 DOCUMENT CHANGE CONTROL FORM**

Date:

DCN#:

RDC#:

|  |  |  |  |
| --- | --- | --- | --- |
| **Doc. or**  **Part No.** | **Description of Change, Documents  affected and reason(s) for change(s)** | **Action**  **Code(s)** | **Effective**  **Date** |
|  |  |  |  |

**Change Action Required**

Make / Order New Document:

Current Document: Modify Retain as is

Other:

Comments:

**Authorization - Document Mgr. Authorization - Department Mgr.**

By: By:

Date: Date:

[This page intentionally left blank]