1. **Scope**

This is the procedure, identified in Section 1.3 of Retirement Capital’s Information Security Manual, for defining how Retirement Capital protects and controls the documents required by the ISMS.

Record control is covered in [ISMS-C DOC 18.1.3](../Control%20A18%20-%20compliance/ISMS-C_DOC_18.1.3.docx).

1. **Responsibilities**

The person who owns an ISMS document is responsible for this procedure.

1. **Procedure**
2. Documents are appropriately identified and described. Within the document, the following information is provided:

* Title
* Date of last revision
* Owner
* Document reference (e.g. DOC 7.5.3)
* Classification

1. The document is externally labelled (e.g. filename, metadata, sticker) with the following information:

* Title
* Document reference (e.g. DOC 7.5.3)

1. Ensuring that all changes to the document are identified, both by means of Word’s *track changes* function and in a *Change History Record* at the end of the document, and that the current issue no and issue date are correct.
2. Documentation is kept in an appropriate format and media. By default, this will be PDF format, with exceptions for the following reasons:
3. Released documents will be converted to PDF format and will be available from the intranet, however source documents in MS Word, MS Excel or other appropriate format will be retained.
4. Approving the document for adequacy prior to its submission for formal release, authorisation to the appropriate level of management as defined in Section 2.2 of the [Manual](../Manual/001%20Information%20Security%20Manual.docx).
5. Ensuring that distribution of such a document is controlled, in line with the instructions in Clause 4 of this procedure.
6. Ensuring that all such documents are subject to appropriate classification levels, in line with the requirements of control section 8.2 (Information Classification) in the Manual.
7. Ensuring, by means of periodic reviews, that all such documents within the ISMS are up to date and, where they are not, ensuring that (subject to Clause 5 below) they are updated, re-approved and re-issued.
8. The Information Security Manual, policies, procedures and work instructions are all published centrally on the organisational Intranet. This central set of ISMS documentation is available to all users of Retirement Capital’s information assets and all pages of all documents contain hidden text, revealed on printing, which indicates that the printed version of the document is ‘uncontrolled’ – i.e. it is not a current, authorised excerpt from the ISMS documentation.
9. The most recent version of the documents will be published on the company intranet.
10. Ensuring that the document remains legible and readily identifiable as being part of Retirement Capital’s ISMS.
11. Ensuring that documents that originate outside Retirement Capital but which need to be protected or controlled as part of the ISMS are incorporated into Retirement Capital’s document classification, version control and management requirements by means of inserting them into a Retirement Capital document cover format.
12. Ensuring that obsolete documents are withdrawn from use in all the points of use/deleted from the intranet when updated versions are issued, and,
13. **Document Control**
    1. Documents required by the ISMS must be controlled. Records have additional information security requirements and must be controlled according to the requirements of procedure ISMS-C DOC 18.1.3.
    2. Header
       1. Document title: the subject it addresses and the tier it forms part of; is it a policy, procedure, work instruction or plan, and in which tier it is in (see Section 2.1 of the Manual).
       2. Document reference: This is a reference number that ties the document firmly into the overall structure of the ISMS. All ISMS documents that are not records and not an integral part of the Manual have a fixed ‘DOC’ prefix. Documents have the prefix ISMS and then a sequential numeric identifier.

Tier 2 and Tier 3 documents deriving from the entire ISMS Manual are pre-fixed for the Section (e.g. 4) from which they derive and then have a sequential numeric identifier; there is no numeric differentiation between the document types. Tier 4 documents, which are primarily records, all have a fixed ‘REC’ prefix and then continue with the numeric identifier of the ISMS Manual to which they are directly related and then take a sequential identifier (giving, for example, ISMS REC 7.5.3a). See ISMS-C DOC 18.1.3.

* + 1. Issue number: the first time a document goes out, it will be Issue 1; a revised version will be Issue 2, etc.
    2. Issue date: the date on which this issue (with this issue number) was authorised and issued.
    3. Page: the current page number and the number of pages that this issue has (automated entries through the *Header and Footer* toolbar) – so that the reader can be clear that none have been missed.
  1. Final Paragraph
     1. The owner of the document, who (see Section 2.2 of the Manual) issued and is responsible for keeping it up to date, needs to be identified – by role, not by name.
     2. The places where a current version of the document can be viewed by those it is intended for should be clearly stated and this must tie into the list identified in Clause 2.6 above.
     3. Approval: the master copy of this document needs to be physically signed and dated by whoever is authorised, under Section 2.2 of the Manual, to approve and issue it. The master copy is retained within the master record set.
     4. Change History Record: there needs to be a section, at the bottom of the master copy, which describes the history of changes, showing the dates of issue for each of the earlier versions and which summarises both the changes and reasons for them in each of the earlier versions.
  2. Footer
     1. Retirement Capital should be inserted, together with any logo, etc.
     2. The security classification needs to be shown, if this is relevant (See control section 8.2 of the Manual).
     3. The version number of the document is recorded here.

1. **Change Management**
2. Changes to ISMS policies and procedures (including updating, withdrawal or replacement) must be authorised in line with the requirements of Section 2.2 of the Manual.
3. All changes are subject to, and a consequence of, a change in the risk assessment. A summary of the changed risk assessment must, therefore, be attached to the file version of the original document prior to authorisation of the changes.

***Document Owner and Approval***

The Director (CISO) is the owner of this document and is responsible for ensuring that this procedure is reviewed in line with the review requirements of the ISMS.

A current version of this document is available to all members of staff on the corporate intranet.

This procedure was approved by the Board of Directors on 14th November 2020 and is issued on a version-controlled basis under his/her signature.

Signature: Date: 14/11/2020

**Change History Record**

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| --- | --- | --- | --- |
| Issue | Description of Change | Approval | Date of Issue |
| 1 | Initial issue | Gavin McCloskey | 14/11/2020 |
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