PROCEDURE FOR DOCUMENT AND RECORD CONTROL

<table>
<thead>
<tr>
<th>Code:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Version:</td>
<td></td>
</tr>
<tr>
<td>Date of version:</td>
<td></td>
</tr>
<tr>
<td>Created by:</td>
<td></td>
</tr>
<tr>
<td>Approved by:</td>
<td></td>
</tr>
<tr>
<td>Confidentiality level:</td>
<td></td>
</tr>
</tbody>
</table>

Comment [BV1]: All fields in this document marked by square brackets ( ) must be filled in.

Comment [BV2]: The document coding system should be in line with the organization's existing system for document coding, in case such a system is not in place, this line may be deleted.
### Change history

<table>
<thead>
<tr>
<th>Date</th>
<th>Version</th>
<th>Created by</th>
<th>Description of change</th>
</tr>
</thead>
<tbody>
<tr>
<td>xx/xx/2013</td>
<td>0.1</td>
<td>Branimir Valentic</td>
<td>Basic document template</td>
</tr>
</tbody>
</table>

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1. Purpose, scope and users

The purpose of this procedure is to ensure control over creation, approval, distribution, usage and updates of documents and records (also called: documented information) used in the Service Management System (SMS).

This procedure is applied to all documents and records related to the SMS, regardless of whether the documents and records were created inside [organization name] or they are of external origin. This procedure encompasses all documents and records, stored in any possible form – paper, audio, video, etc.

Users of this document are all employees of [organization name] inside the scope of the SMS.

2. Reference documents

- ISO/IEC 20000, clauses 4.3.2 and 4.3.3
- Service Management System Policy
- [document that regulates confidentiality classification]
- [other documents and regulations specifying document control]

3. Control of internal documents

Internal documents are all documents created inside the organization.

3.1. Document formatting

The document text is written using font Calibri, size 11. Chapter titles are written using font size 14 bold, while lower 2 chapter titles are written using font size 12 bold. Lower 3 chapter titles are written using font size 11 bold. Lower 4 chapter titles are written using font size 11 italic.

The document header contains the current version and date of current document version, and the organization’s name. The footer contains the document name, number of pages and information defining confidentiality classification policy in place. Documents which are part of the classification policy should all be specified.

The procedure may also require that some individuals in the organization review the document before submitting it for approval to the person responsible.

3.2. Document approval

All documents, regardless of whether they are new documents or new versions of existing documents, must be approved by [job title].

Documents are approved in the following way: the original document is printed out, signed, and stored in [name of thing]. The corresponding electronic version is published as specified in the section “Publishing and distributing documents; withdrawal from use.”
3.3. Publishing and distributing documents; withdrawal from use

In the case of documents to which access is required for all employees within the SMS scope, they must be published on the internet, in the folder [folder name] with reading rights only. When a new document or amendment to a document is published, [job title] must inform all employees listed as users of the document by e-mail. If a printed version of the document must be delivered to some employees, this is the responsibility of [job title].

If there is an older version of the document, [job title] must delete it from the valid documents folder and move it to [folder name]. If there are older versions of printed documents, [job title] must collect all such documents and destroy all copies except the signed original, which must be duly stored.

such originals must be marked as “Obsolete” using a marker pen.

3.4. Document updates

The person listed as document owner has the responsibility for updating the document. Updates are performed in line with the frequency defined for each document, but at least once a year.

All changes to the document must be made using “Track changes,” making visible only the revisions to the previous version, or if “Track changes” option is unavailable, changes are recorded in the “Change History” table.

Each document should preferably use a “Change History” table used to record every change made to the document.

Every change of a document must be followed by a new document version (i.e. version number of the document must be increased).

3.5. Records control

Each internal document in the SMS must define how records resulting from the use of such a document should be managed, i.e. it must specify the following: (1) record title, (2) storage location, (3) person responsible for storage, (4) controls for record protection, and (5) retention time.

Employees of the organization may access stored records only after obtaining permission from the person designated as the person responsible for storing individual records. If the availability of certain records is such that permission for access must be obtained from a different person, this must be stated in the concerned internal document in the chapter describing records control.

Access and retrieval rights for records are determined by the owner of individual records. [job title] is responsible for destroying all records that have become expired.

4. Documents of external origin

Each external document SMS must be recorded in the incoming mail book. The incoming mail book must contain the following information:
(1) document number, (2) sender, (3) date of receipt, (4) name of the person to whom the document has been forwarded.

The person who receives mail and courier parcels must forward them to [job title], who must make a record in the incoming mail book, the person who receives electronic mail must forward such a document to [job title], who must also record it in the incoming mail book. [job title] determines to whom the document should be forwarded.

5. Managing records kept on the basis of this document

<table>
<thead>
<tr>
<th>Record name</th>
<th>Storage location</th>
<th>Person responsible for storage</th>
<th>Controls for record protection</th>
<th>Retention time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Incoming mail book</td>
<td>[intranet folder name]</td>
<td>[job title acting as owner of the incoming mail book]</td>
<td>Only [job title] has the right to make entries into and changes to the incoming mail book.</td>
<td>Records are stored for a period of 3 years.</td>
</tr>
</tbody>
</table>

Only [job title] can grant other employees access to the incoming mail book.

6. Validity and document management

This document is valid as of [date].

The owner of this document is [job title], who must at least once a year.

[job title]
[first and last name]

[signature]

Comment [BV13]: Adapt to the organization’s standard practice.

Comment [BV14]:

Comment [BV15]: Only necessary if clause 3.2. prescribes that paper documents must be signed.