EXAMPLE – Procedure MS-2 - Control of Records

1 People and Purpose

This procedure applies to managers. It specifies how to control records of the Integrated Management System (IMS). This procedure satisfies requirements specified in Section 7.5.3 of ISO 9001, ISO 27001 and ISO 22301.

IMPORTANT	Other procedures specify further controls, in addition to the (general) controls that this procedure specifies.

2 Types of Records

Records exist in various forms, such as, the following:

Application Databases	*Accounts and Payrol* *Enterprise Resource Planning (ERP)* *Customer Relationship Management (CRM)*

Microsoft Office (Word, Excel, PowerPoint) and Adobe PDF files

The following is a list of three categories of common records. It is illustrative and not exhaustive.

Customer Records	*Orders* *Details of delivery of products and services* *Details of support of products and services*
Worker Records	*Training Records* *Timesheets*
Management System Records	*Internal Audits* *External Audits* *Non-Conformity Reports* *(Information Security / Business Continuity) Incidents* *(Health & Safety) Incidents / Accidents* *(Customer / Partner / Provider) Complaints* *Corrective Actions* *Preventive Actions* *Management Review Meetings*

3 Storage, Retention, Archival and Disposal

3-1 Customer Records

Do the following for each order.

(1) Sales scans paper records and stores the scans in an appropriate folder on the **Work Data Server** and in our implementation of Microsoft SharePoint.

(2) Sales gives paper originals of leases to Accounts.
Accounts forwards them to the lease company.

(3) Sales shreds all other paper originals.

3-1-1 Period of Retention

We do not delete any required or useful database information, computer files, or scans of paper records, which relate to a current or past customer.

3-1-2 Archival

If an organisation ceases to be a customer (because it does not renew subscription and/or support AND it stops using our products and services), the Chief Operating Officer (COO) archives customer documents by moving them from the **Customer** area to the **Ex-Customer** area of our implementation of Microsoft SharePoint.

3-1-3 Authority to Dispose

(1) The Chief Financial Officer (CFO) may dispose of financial documents older than six financial years, with the agreement of the COO.

(2) The COO may dispose of non-financial documents when no longer required or useful.

NOTE	The Inland Revenue requires organisations to retain financial records for a minimum period of six financial years.

3-2 Customer Information and Data

This includes any information and/or data that that the customer owns and/or provides to us, which we require, to provide our products and/or services to the customer, such as technical information or personal data etcetera.

Retain a customer's information and/or data for whichever is the most appropriate of the following:

The duration of the contract;
A period specified in the contract;
A period determined by any applicable legal requirements.

3-3 Worker and Management System Records

3-3-1 Storage

These records all originate as Microsoft Office documents, and are frequently also saved as PDF documents. They are all stored in appropriate folders on the **Work Data Server** and some also in our implementation of Microsoft SharePoint.

3-3-2 Period of Retention

Worker and management system records are retained for at least three years after they remain current, or until they are no longer required, whichever is the later.

Example A training record is kept at least three years after a worker ceases to work with us.

3-3-3 Authority to Dispose

(1) The COO may dispose of Worker records after their period of retention expires.

(2) The IMS Manager may dispose of management system records, after their period of retention expires.