

Key Documents Handbook

**Policy, Procedures and Guidance for the
management of Key Documents**



Scottish Information
Commissioner

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Glossary and abbreviations

Term used	Explanation
DCS	Document Control Sheet
FAM	Finance and Administration Manager
FOISA	Freedom of Information (Scotland) Act 2002
GTI	Guide to Information
HOCS	Head of Corporate Services
KDL	Key Documents Log
MSMTM	Monthly Senior Management Team Meeting
Register	Register of Key Documents
RM	Responsible Manager
SIC	Scottish Information Commissioner
SMT	Senior Management Team
VC	Virtual Cabinet

Policy

Introduction

1. Our Information and Records Management Policy recognises the value of our records as a corporate asset, and records management as a key corporate function. Our records are our corporate memory providing evidence of actions and decisions and supporting our daily functions and operations.
2. Our Publication Scheme Handbook recognises the requirement under section 23(1) of FOISA for SIC to adopt and maintain a publication scheme and to publish information in accordance with the requirements of that scheme. In line with section 23(2)(a), the Commissioner's publication scheme specifies the classes of information which the Commissioner publishes or intends to publish. The Commissioner creates and maintains a 'Guide to Information' which allows the public to see what information is available in relation to each class, and which explains how to find the information easily.
3. Effective records management underpins the fulfilment of our publication scheme obligations, including maintaining a Guide to Information, and is integral to and supports an open and transparent culture.
4. A key component of our records management arrangements is our approach to the management of 'Key Documents'.

Attributes of Key Documents

5. Key Documents have the following attributes:
 - their content requires periodic review
 - they have a designated 'Responsible Manager'
 - their content requires approval.
6. Documents which have these attributes include (but are not restricted to) policies, procedures, handbooks, briefings and memoranda of understanding.
7. Members of the Senior Management Team (SMT) are responsible for ensuring that newly created documents are identified as Key Documents, as appropriate, and for designating the Responsible Manager (RM) and Approver.

Policy Statement

8. Effective management of Key Documents is an essential part of the Commissioner's governance arrangements and management of risk.
9. All documents which have the attributes described above will be identified as Key Documents, and managed in line with arrangements set out in this Handbook.
10. Key Documents will be subject to Planned Reviews, and will also be updated as required to ensure their content reflects current practice and remains compliant with current legislation.
11. A Register of Key Documents (the Register) will be maintained.

12. The content of the Register will be managed to ensure that:
 - all documents which have the attributes described above are recorded in it
 - its content is current, and is aligned with our records management systems and the content of our Guide to Information
 - every 2 months the SMT review the list of key documents due and outstanding
13. These arrangements will ensure we publish information routinely and proactively in the public interest.

Register of Key Documents (the Register)

14. The Register will be updated each time a document is reviewed, added, or updated.

Feature of Key Documents

15. Key Documents will:
 - be recorded in the Register
 - be owned by a RM
 - have an agreed Approver
 - be compliant with current legislation
 - reflect current practice
 - be accessible; written in plain English
 - conform with Commissioner's visual identity standards (as far as possible)
 - contain an up-to date Document Control Sheet (DCS) as the final appendix
 - cross-reference associated documents
 - be published in line with the requirements of the Commissioner's Model Publication Scheme
16. Key Documents will be created, reviewed, updated and approved in line with the arrangements set out in the Procedures and Guidance sections of this Handbook.

Roles and Responsibilities

17.

Role	Responsibility
Senior Management Team	<ul style="list-style-type: none"> • Approve which newly created documents should be categorised as Key Documents • Approve Responsible Managers and Approvers
Approver	<ul style="list-style-type: none"> • Approve documents in line with the arrangements set out in this Handbook
Responsible Manager	<ul style="list-style-type: none"> • Ensure Key Documents are reviewed and updated as required (whether as a Planned Review or on an ad-hoc basis, as the need arises) • Ensure the arrangements set out in this Handbook are followed • Ensure the FAM is provided with all the information required to update the Register, and to support publication (as appropriate)
Head of Corporate Services	<ul style="list-style-type: none"> • Oversee the arrangements for the management of Key Documents to ensure the Commissioner's records management and publication scheme requirements are fulfilled • Provide an annual report to the SMT on the management of Key Documents (as part of the annual Information and Records Management Assurance report)
Finance and Administration Manager	<ul style="list-style-type: none"> • Maintain the Register, ensuring its content is current, and is aligned with our records management systems and the content of our Guide to Information. • Provide the SMT with details of planned reviews quarterly, per the programme agreed by the SMT • Ensure Key Documents are published in line with information provided by Responsible Managers • Provide annual assurance to the HOCS that the Register is up to date
Administrator	<ul style="list-style-type: none"> • Ensure Key Documents are published in line with information provided by the FAM

18. The development of content is a matter of judgement for the RM but it is assumed that by the time it is submitted for approval it has received input from the appropriate contributors.

19. RMs may delegate specific tasks as considered appropriate.

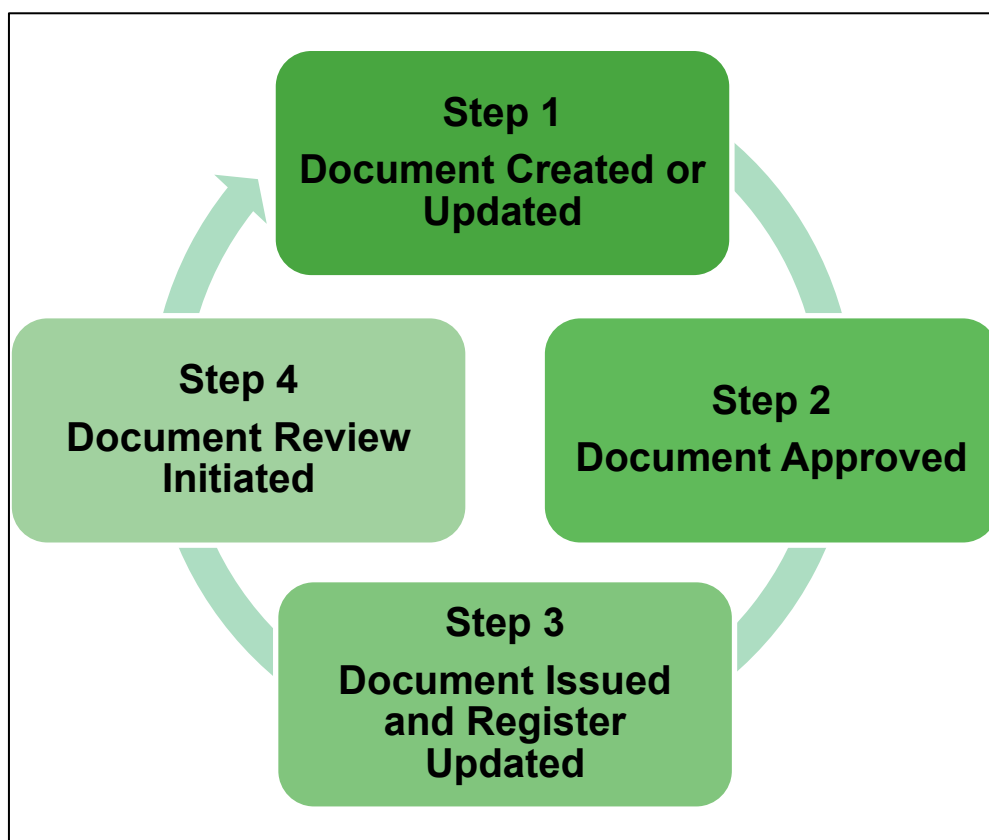
Procedures

Purpose

20. The purpose of the procedures is to ensure:
- the processes applied to the creation, review, update and approval of Key Documents are proportionate
 - the Register is kept up to date and contains accurate data
 - documents published in the Guide to Information are current, and aligned with the contents of the Register.

Overview

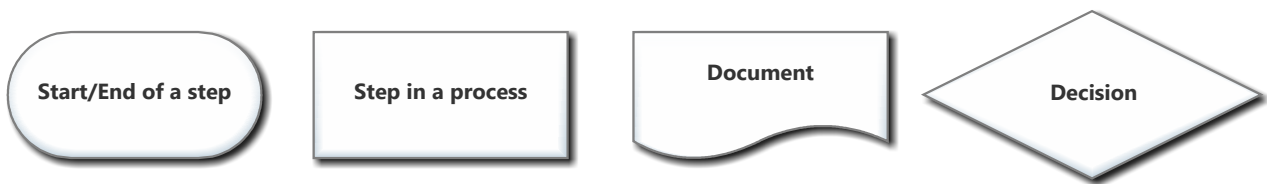
21. These procedures define the processes for each of the 4 steps illustrated in the following diagram:

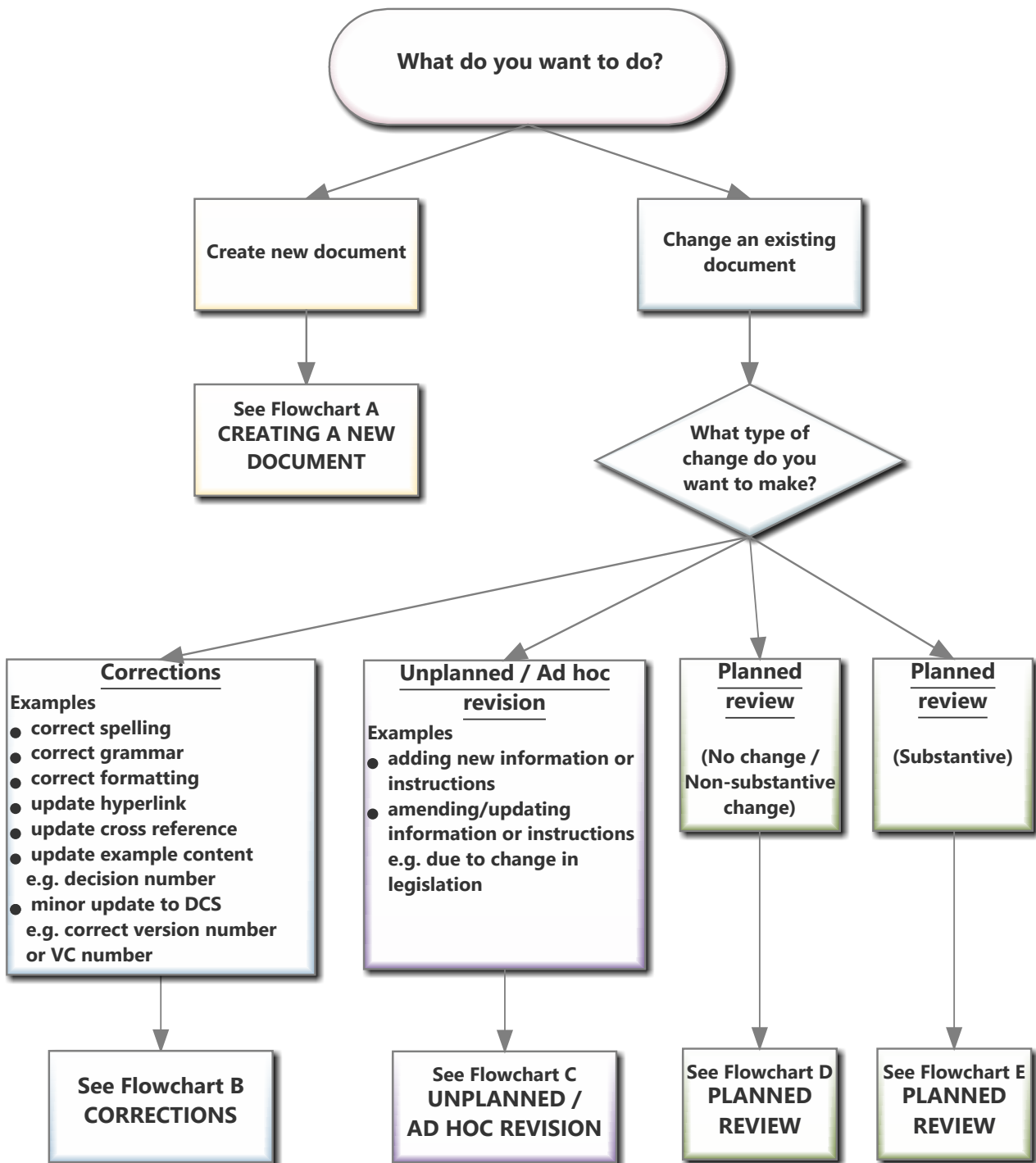


22. The procedures are provided in flowchart format – you may find it useful to use the flowcharts as checklists.
23. The flowcharts prompt you to refer to further information which is provided in the Guidance section of this Handbook.

24. It is the responsibility of the Responsible Manager (RM) to ensure that the steps set out in the applicable flowchart for the appropriate Step 1 action are followed:
- (i) [Flowchart A](#): Create new document
 - (ii) [Flowchart B](#): Corrections
 - (iii) [Flowchart C](#): Unplanned / Ad hoc revision
 - (iv) [Flowchart D](#): Planned review (No change / Non-substantive change)
 - (v) [Flowchart E](#): Planned review (Substantive change)
25. Use the [Getting Started](#) flowchart to determine which Step 1 action applies.

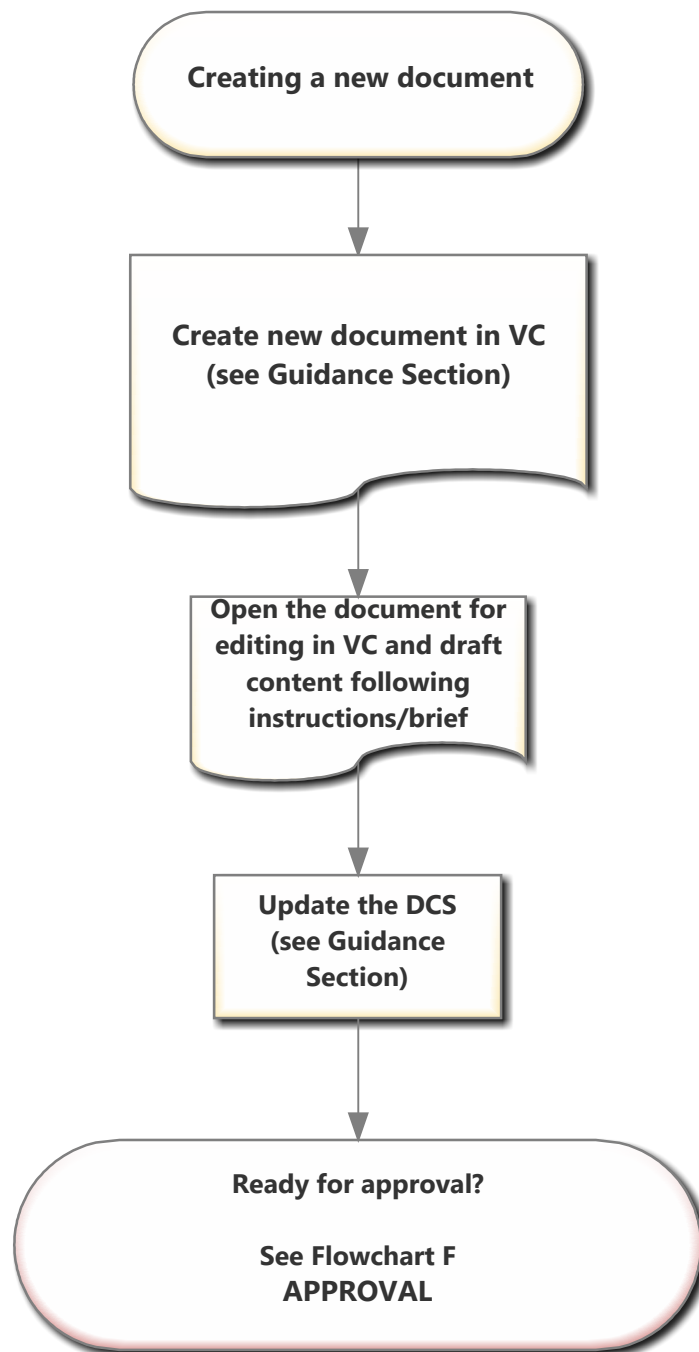
The flowchart key:-



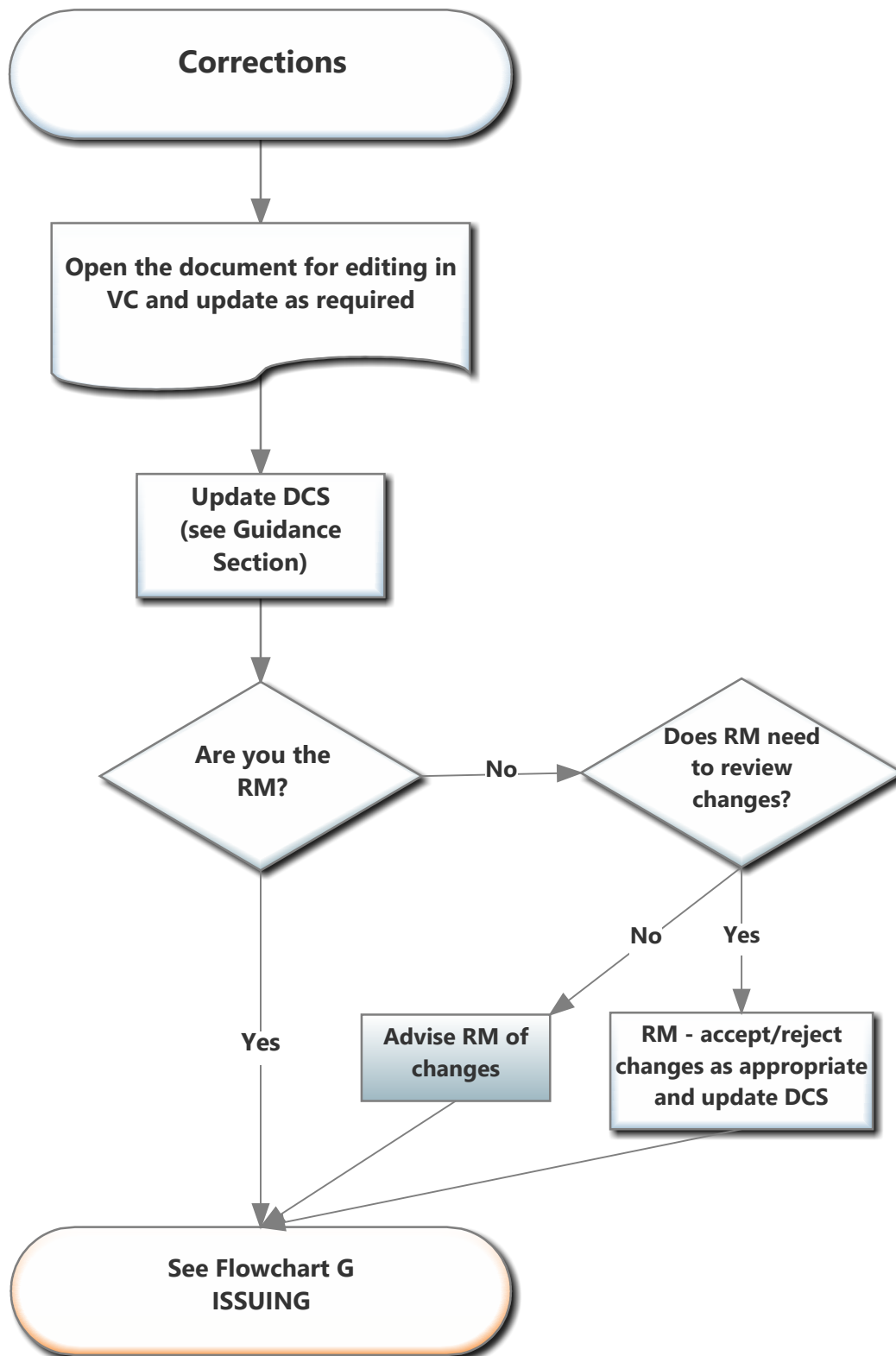


Step 1 – Document Created or Updated

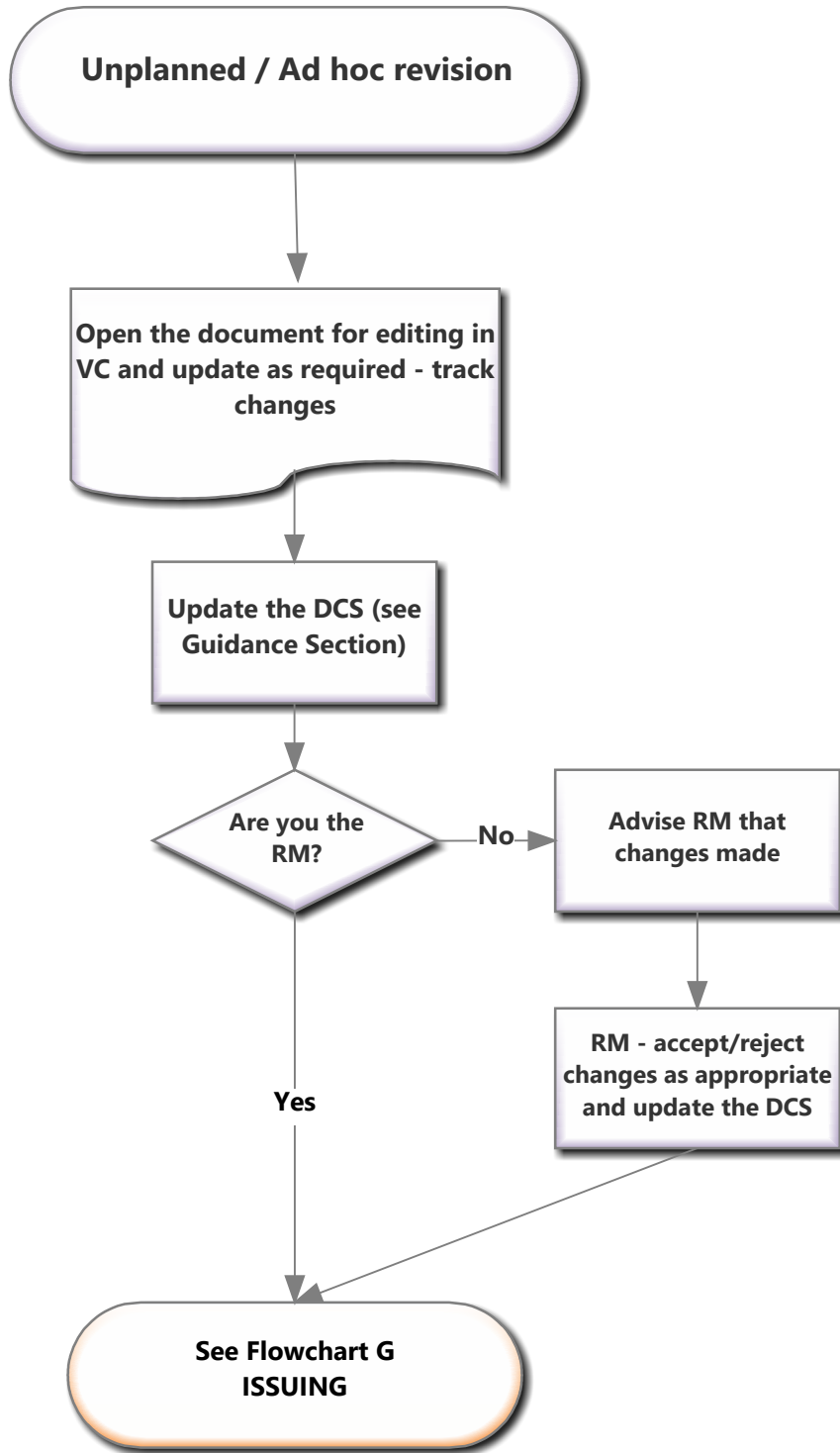
Flowchart A - Creating a new document



Flowchart B - Corrections

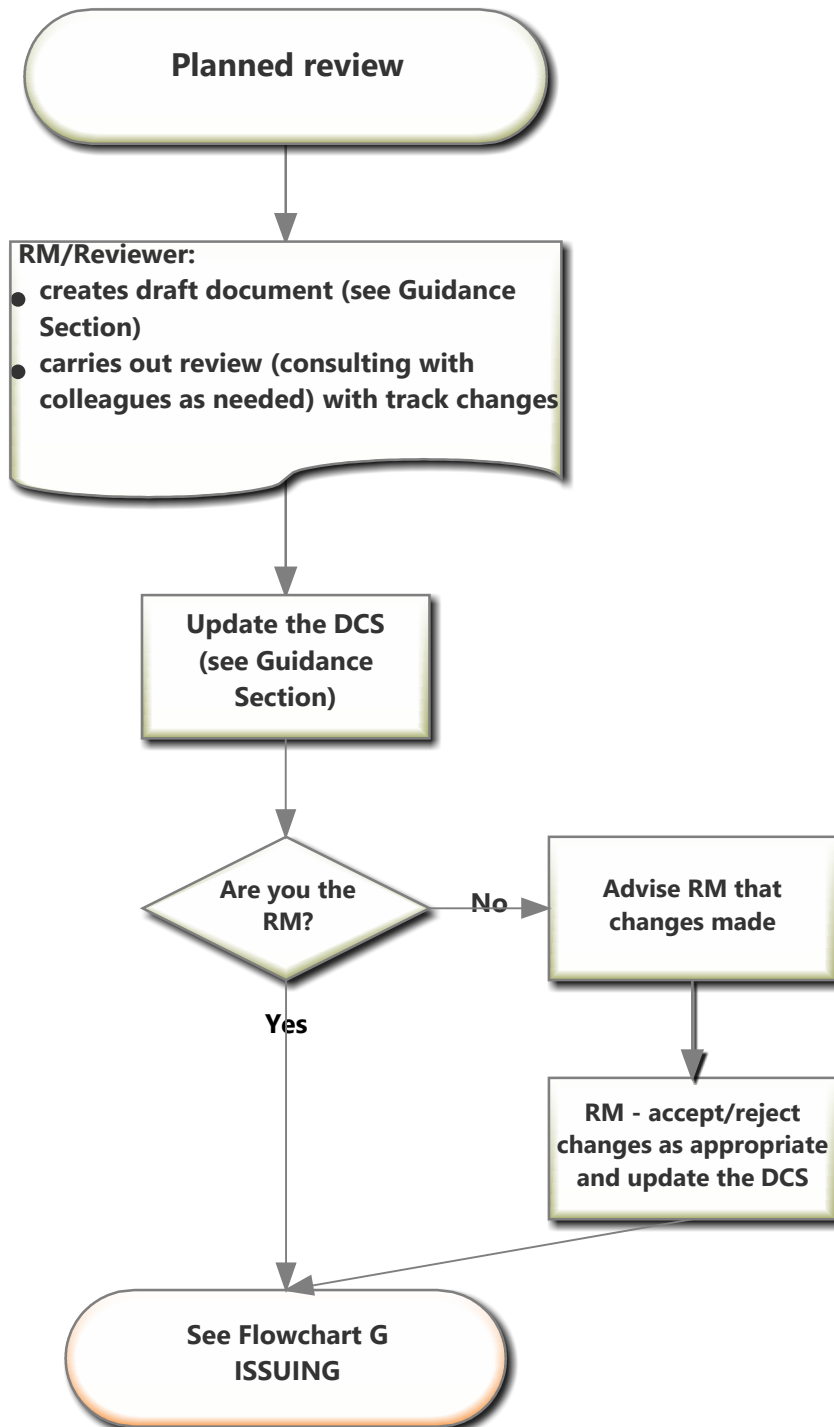


Flowchart C - Unplanned / Ad hoc revision*

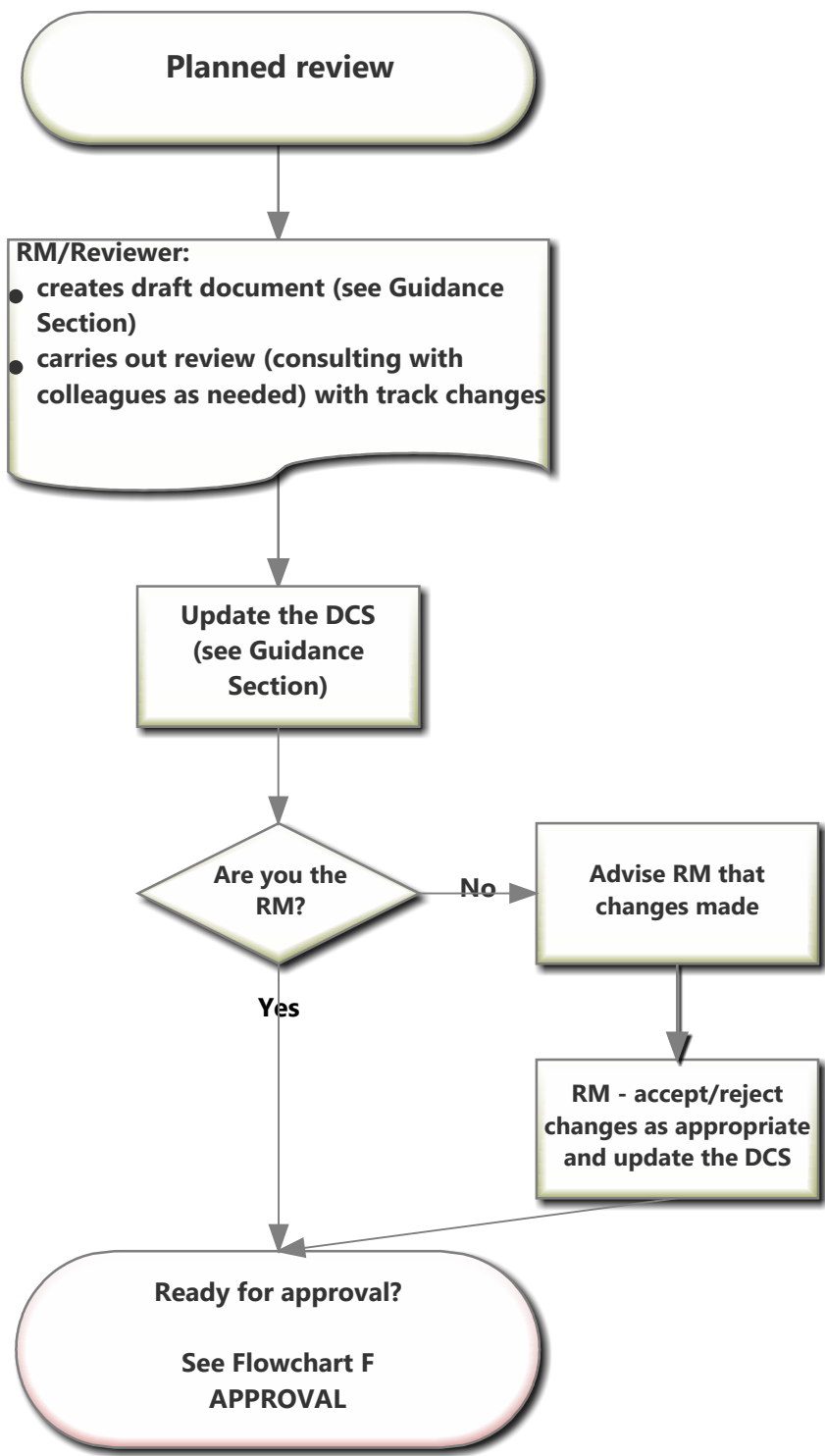


** This flowchart may only be used where there is no substantive procedural or policy change. Use Flowchart E (Planned Review – Substantive) if the change is substantive.*

Flowchart D - Planned review (No change / Non-substantive change)

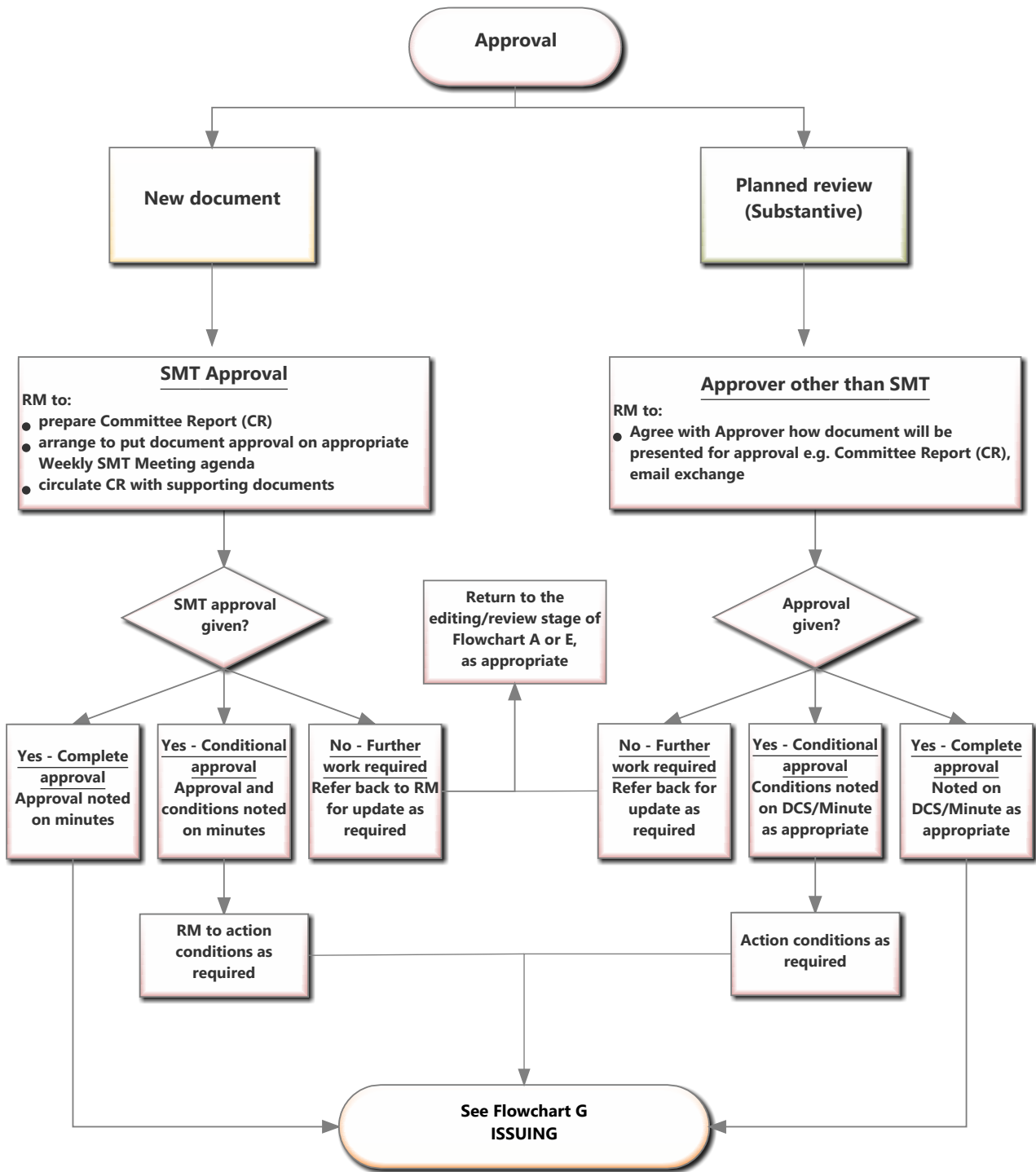


Flowchart E - Planned review (Substantive)



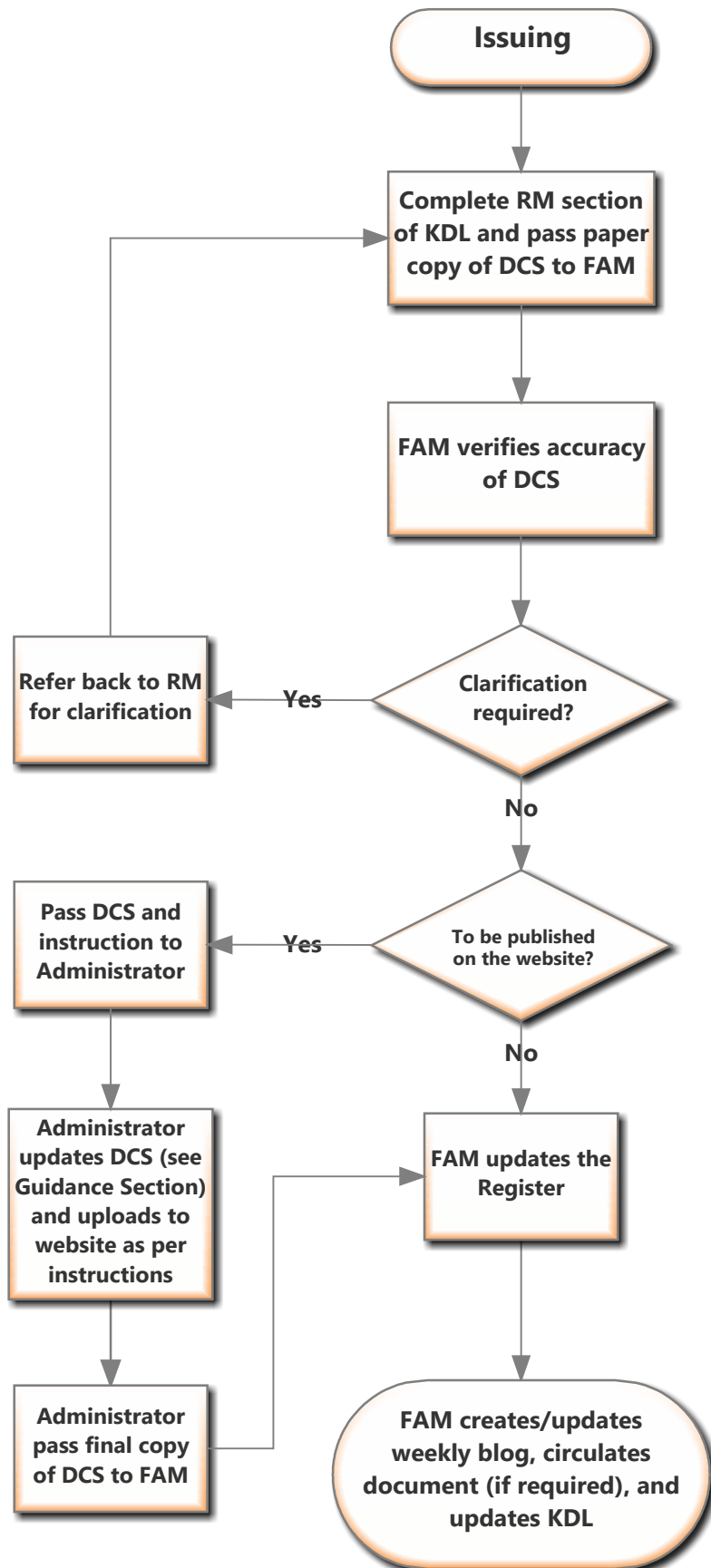
Step 2 – Document Approved

Flowchart F – Approval



Step 3 – Document Issued and Register Updated

Flowchart G – Issuing



Guidance

Creating a New Document ([see Flowchart A](#))

26. Points to remember:

- Use the attributes of Key Documents to check the new document should be managed in line with these procedures and guidance
- Establish with your Head of Department who will be designated RM and Approver (if in doubt, ask the HOCS for guidance)
- You must create the document using a template from VC; that template must contain a DCS
- You must follow the [records management guidance](#)
- The flowcharts for [Approval](#) and [Issuing](#) must be followed

Issuing

27. Once the document is approved and finalised, you must complete the RM section of the Key Documents Log ([KDL](#)). You must also pass a copy of the DCS ([see below for guidance](#)) to the FAM.
28. The FAM will complete [the issuing process](#) including arranging for the document to be uploaded to the website file library and added to the GTI as appropriate, and updating the [KDL](#) and the Register.

Carrying out a Correction ([see Flowchart B](#))

29. Please refer to the [Getting Started](#) flowchart for examples of corrections.
30. If the document you are amending has “Under Review” at the end of the VC document name, refer to the RM before making the change,
31. Points to remember:
- The current VC document should be updated
 - The RM does not need to review or accept corrections, but you must advise the RM of the correction by email
 - Track changes are not required unless you want the RM to review your change/s.
 - Keep the DCS updated ([see below for guidance](#))
 - You must follow the [records management guidance](#)

Issuing

32. You must complete the RM section of the [KDL](#). You must also pass a copy of the updated DCS to the FAM.

33. The FAM will complete [the issuing process](#) including arranging for the document to be uploaded to the website file library, and updating the [KDL](#) and the Register.

Carrying out an Unplanned / Ad hoc Revision ([see Flowchart C](#))

34. Please refer to the [Getting Started](#) flowchart for examples of unplanned or ad hoc revisions.
35. If the unplanned or ad hoc revision is more substantial than anticipated by the description in the Getting Started flowchart, the Responsible Manager may decide it is more appropriate to adopt the process for a [Planned Review \(Substantive\)](#).
36. If the document you are amending has “Under Review” at the end of the VC document name, refer to the RM before making the change.
37. Points to remember:
- The current VC document should be updated.
 - Tracked changes are required.
 - Keep the DCS updated ([see below for guidance](#))
 - The RM must accept/reject changes as appropriate and update the DCS
 - You must follow the [records management guidance](#)
 - The flowchart for [Flowchart G – Issuing](#) must be followed
38. As the amendments will be recorded by way of tracked changes to the current VC document, it is important that the time taken between amendments being made and accepted or approved is kept to a minimum.

Issuing

39. You must complete the RM section of the [KDL](#). You must also pass a copy of the updated DCS to the FAM.
40. The FAM will complete [the issuing process](#) including arranging for the document to be uploaded to the website file library, and updating the [KDL](#) and the Register.

Planned Reviews

41. RM's are responsible for determining which Planned Review approach is appropriate:
- No change / Non-substantive change- this may be used where the review requires no change or no substantive procedural or policy change. The reviewed document does not require approval and proceeds straight to the issuing stage.
 - Substantive change – to be used in all other instances. The reviewed document does require approval prior to issuing.

Carrying out a Planned Review (No change / Non-substantive change) ([see Flowchart D](#))

42. Points to remember:
- Insert “Under Review” at the end of the document name of the current approved version in VC (this will alert a colleague planning to make a correction or unplanned / ad hoc revision that a planned review is underway)
 - Create a copy of the document being reviewed using the ‘Duplicate’ function in VC and index it to the same location in VC as the current approved version. This will be the working document which will be updated during the review and it is the final version of this document which will be submitted for approval.
 - You must follow the [records management guidance](#) – add “vXX DRAFT” at the end of the name of the VC document you have created, where ‘XX’ is the next major version number.
 - Carry out the review, consulting with colleagues if needed, and track changes.
 - The flowchart for [Issuing](#) must be followed.

Issuing

43. You must complete the RM section of the [KDL](#). You must also pass a copy of the updated DCS to the FAM.
44. The FAM will complete the issuing process including arranging for the document to be uploaded to the website file library, and updating the [KDL](#) and the Register.

Carrying out a Planned Review (Substantive change) ([see Flowchart E](#))

45. Points to remember:
- Insert “Under Review” at the end of the document name of the current approved version in VC (this will alert a colleague planning to make a correction or unplanned / ad hoc revision that a planned review is underway)
 - Create a copy of the document being reviewed using the ‘Duplicate’ function in VC and index it to the same location in VC as the current approved version. This will be the working document which will be updated during the review and it is the final version of this document which will be submitted for approval.

- You must follow the [records management guidance](#) – add “vXX DRAFT” at the end of the name of the VC document you have created, where ‘XX’ is the next major version number.
- Carry out the review, consulting with colleagues if needed, and track changes.
- The flowcharts for [Approval](#) and [Issuing](#) must be followed

Issuing

46. You must complete the RM section of the [KDL](#). You must also pass a copy of the updated DCS to the FAM.
47. The FAM will complete the issuing process including arranging for the document to be uploaded to the website file library, and updating the [KDL](#) and the Register.

Approval ([see Flowchart F](#))

SMT as Approver

48. When the SMT’s approval is required, a [Committee Report](#) must be prepared by the RM to accompany the document which has been created or reviewed.
49. The SMT must always be presented with a document formatted as it would be for publication i.e. the intended final version.
50. In the case of documents which have been subject to a planned review, the RM should decide how best to communicate the changes arising from the review. For example, the RM may simply set these out in the body of the Committee Report, or provide an additional version of the document for approval which contains tracked changes illustrating the key points the SMT needs to be aware of &/or consider.
51. The SMT’s decision will be recorded (e.g. in a MSMTM note).

Approver other than SMT

52. Documents for which the approver is not the SMT (e.g. perhaps a Head of Department or the FAM) will generally be lower level internal procedural guidance or instructions.
53. The Approver has discretion to determine the way in which documents are presented for approval. While this may require the use of a Committee Report, an informal email exchange may suffice.

Issuing ([see Flowchart G](#))

54. All Key Documents must be ‘issued’.
55. ‘Issuing’ is the process through which the Register and, where appropriate, the Guide to Information are updated.
56. The FAM will check the DCS has been completed properly (if not, the FAM will return it to the RM for amendment).

Corrections and Unplanned / Ad hoc revisions

57. When a properly completed DCS is provided, the FAM will:

- arrange for the updated document to be [published \(see below\)](#)
- arrange for the document to be circulated, if specified by the RM
- list the document in the weekly 'Key Documents' blog
- update the [KDL](#), and update the Register.

New Documents and Planned Reviews

58. When a properly completed DCS is provided, the FAM will:

- change the previous approved document's status from 'Under Review' to 'Superseded', and update the DCS accordingly (Planned Reviews only)
- create a new 'clean' VC document from the approved draft document
- mark the new 'clean' document as 'Current Issue' in VC and update the document status and VC number on the DCS
- arrange for the new 'clean' document to be [published \(see below\)](#)
- arrange for the document to be circulated, if specified by the RM
- mark the drafting document for destruction
- list the document in the weekly 'Key Documents' blog
- update the [KDL](#), and update the Register.

Publication

59. Where the DCS indicate a Key Document is to be published the following publication arrangements will apply:

- Corrections, Unplanned / Ad-hoc revisions, Planned Reviews - added to website file library (as a replacement or added to a series, as appropriate)
- New Documents – added to website file library and added to the appropriate class of the GTI. RMs must give specific instructions in the 'Publication' field on the KDL e.g. "Insert between the HR Strategy and the Employee Handbook in the GTI"

60. If specific arrangements apply (e.g. co-ordination with the launch of a new webpage, or updated webpage content) the RM must add appropriate instructions to the relevant field on the KDL.

Records Management Guidance

Document name

61. The full name of a document in VC should follow the format:

'Class, Title, Major Version No and STATUS'

e.g. 'C5 Key Documents Handbook v02 CURRENT ISSUE'

Definitions

- 'Class' – the class of information the document belongs to in our Guide to Information.
- 'Title' – as it appears on the document cover
- 'Major version no' – the major version number of the document
- 'STATUS' – either CURRENT ISSUE, SUPERSEDED, DRAFT or DISCONTINUED

62. This detail is recorded on the Register (other than for DRAFT documents).

Version numbers

63. When drafting a new document or updating an existing one, version control clearly identifies the development of the document.

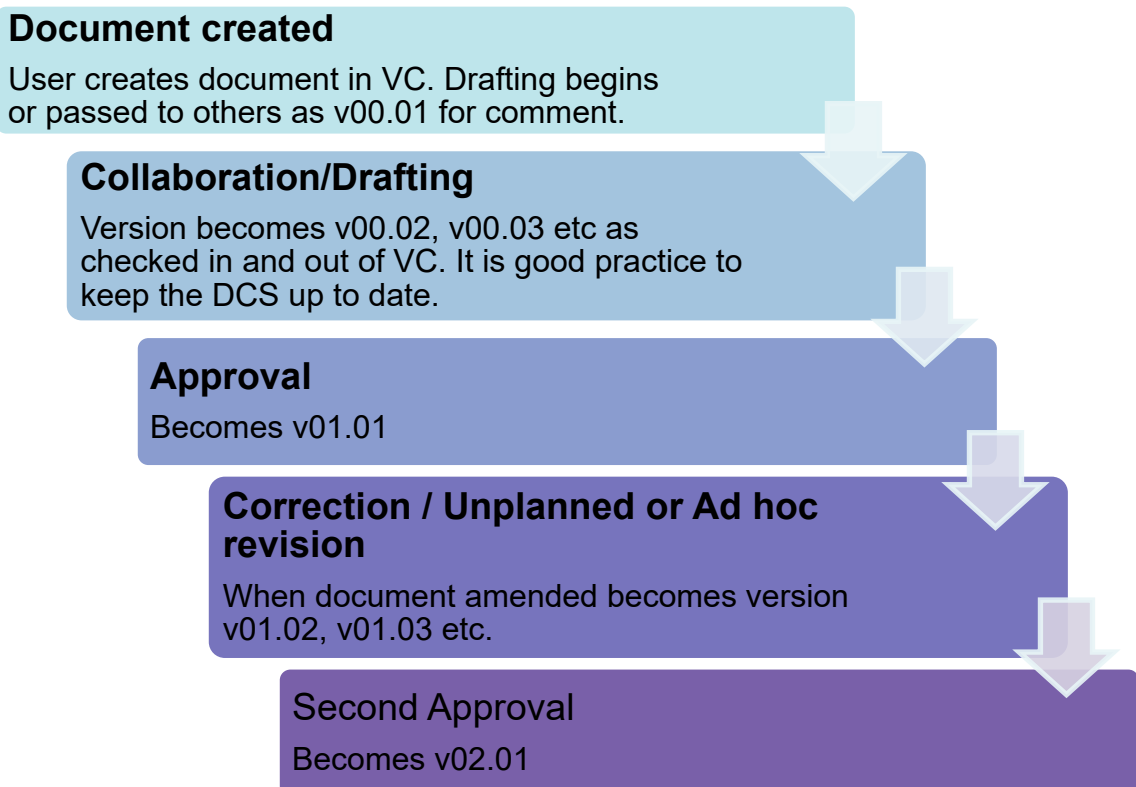
64. It is essential that version control is applied systematically and consistently.

65. Key Documents are given version numbers which comprise of two elements:

- **Major** – v01.01
- **Minor** – v01.02

66. It is the convention to add a leading zero for major and minor version numbers 0 to 9.

67. The following illustration provides an overview of how version numbers develop over the life of a document. Further guidance is provided below.



Major version numbers

68. When a new document is created (including as part of the planned review process) the major version number is always '00', e.g. v00.01.
69. When a new document is approved (not as a part of a planned review) it becomes major version '01', e.g. v01.01.
70. When a new document is approved following completion of a planned review of a current document, the major version number is progressed to the next in the sequence, e.g. a current document with v03.08 would become v04.01.

Minor version numbers

71. Minor version numbers are derived from the version number in VC.
72. Each time a document is checked into VC, a new minor version number is created.
73. For documents which are approved (i.e. have a major version number of 01 or higher) the version number on the DCS must be kept current at all times. This means that the minor version number must always be the same as the VC version number.
74. For documents which have been created for the purposes of drafting content (i.e. which have major version number '00') it is good practice, though not essential, to adopt the approach described at the paragraph above.

Document Control Sheet (DCS)

75. The DCS is the key tool for managing Key Documents' metadata and version control and completing the register.
76. It is the responsibility of the person making the amendments to ensure that the 'summary of changes' table in the DCS captures movements in version numbers.
77. The examples in the Appendices should assist RMs to complete the DCS when at the Issuing stage, and when adding the details to the KDL. However, if unclear, seek guidance from the HOCS.

Retention and Disposal arrangements

78. 'SUPERSEDED' and 'DISCONTINUED' documents will be managed in line with SIC's approved retention and disposal arrangements.

The Register of Key Documents (The Register)

Governance

79. The Register underpins our approach to managing Key Documents, and to ensuring the content published in the Guide to Information is current.
80. The FAM is responsible for ensuring its content is current, and is aligned with our records management systems and the content of our Guide to Information.
81. It is essential the procedures describe in this Handbook are followed to ensure the FAM is provided with all the information necessary to maintain an accurate Register and Guide to Information.

82. The FAM will provide an annual assurance to the HOCS that the register is up-to-date. This assurance will form part of the annual Information and Records Management Assurance report provided by the HOCS to the SMT.

Management of Planned Reviews

83. The frequency at which a document is reviewed, and its review date, will be determined by the SMT, applying a risk-based approach based on its assessment of a number of factors, including:
- the need to ensure the document remains compliant with current legislation
 - the likelihood that practice may have changed since the document was created or last reviewed
 - the reputational risk associated with the document not being current
 - operational priorities
84. The FAM monitors the register and, each quarter, informs the SMT when planned reviews of key documents are due, in line with the programme agreed by the SMT.
85. The SMT may revise agreed review dates in light of operational priorities. The HOCS will provide the FAM with details of any agreed revisions.
86. The FAM will update the Register accordingly.

Key Documents Log (KDL)

87. The KDL is a spreadsheet which contains fields for completion by RMs and the FAM.
88. Its purpose is to achieve the consistent application of the [Issuing procedures](#) by ensuring RMs provide the FAM with all the information necessary to ensure Key Documents are issued, published (as appropriate), and the Register is current and accurate.
89. RMs can refer to the KDL to establish whether the Issuing stage has been completed for documents added to it by them.

Appendices

Appendix 1 – Example Document Control Sheet (with guidance notes) - when adding a New Document or Planned Review to the KDL

		GUIDANCE
Document Information		
Full name of current version: Class, Title, Version No and Status	C5 Key Documents Handbook v01 DRAFT	<i>Completed by RM</i> <ul style="list-style-type: none"> Class – the class of information the document belongs to in our Guide to Information Title – as it appears on the document cover and VC Version no – the major version number of the document once issued Status - DRAFT
VC FileID	VC12345	<i>Completed by RM</i> <ul style="list-style-type: none"> Unique number given to the draft document when saved to VC
Type	Policy and Procedures	<i>Completed by RM</i> <ul style="list-style-type: none"> The VC document type selected
Approver	SMT	<i>Completed by RM</i> <ul style="list-style-type: none"> New & Planned Review – the designated Approver
Responsible Manager	HOCS	<i>Completed by RM</i> <ul style="list-style-type: none"> New & Planned Review – the designated RM
Date of next planned review	June 2020	<i>Completed by RM</i> <ul style="list-style-type: none"> As agreed
Approval & Publication		
Approval Date (major version)	20/06/17	<i>Completed by RM</i> <ul style="list-style-type: none"> Date document approved – e.g. the date of the MSMTM when the document was approved. For Planned Reviews (No change / Non-substantive change) – date RM finalises document for Issuing . Add (RM) after date to signify approver
For publication (Y/N)	Y	<i>Completed by RM</i> <ul style="list-style-type: none"> For publication in our Guide to Information Y or N
Date published		<i>Completed by Administrator</i> <ul style="list-style-type: none"> Date published on website if appropriate
Name of document in website file library	ManagementandReviewof KeyDocumentsHandbook	<ul style="list-style-type: none"> New – blank (<i>Completed by Administrator</i>) Planned Review – populated, per UNDER REVIEW version (<i>Completed by RM</i>)
Corrections / Unplanned or Ad hoc reviews (see Summary of changes below for details)		
Date of last update		<ul style="list-style-type: none"> Leave blank

Summary of changes to document				
Date	Action by <i>(initials)</i>	Version updated <i>(e.g. 01.25-36)</i>	New version number <i>(e.g. 01.27, or 02.03)</i>	Brief description <i>(e.g. updated paras 1-8, updated HOPI to HOCS, reviewed whole section on PI test, whole document updated, corrected typos, reformatted to new branding)</i>
16/06/17	AB	-	00.01	New Key Document - draft
17/06/17	CD	00.01	00.03	Suggested changes
18/06/17	EF	00.03	00.04	Finalised for Approval
20/06/17	AB	00.04	00.05	Approved at MSMTM – for issuing

Appendix 2 – Example Document Control Sheet (with guidance notes) – Corrections or Ad hoc revisions

		GUIDANCE
Document Information		
Full name of current version: Class, Title, Version No and Status	C5 Key Documents Handbook v03 CURRENT ISSUE	<i>Completed by RM</i> <ul style="list-style-type: none"> Class – the class of information the document belongs to in our Guide to Information Title – as it appears on the document cover Version no – the major version number of the document Status - CURRENT ISSUE
VC FileID	VC67890	<i>Completed by RM</i> <ul style="list-style-type: none"> Unique number given to the document when saved to VC
Type	Policy and Procedures	<i>Completed by RM</i> <ul style="list-style-type: none"> The VC document type selected
Approver	SMT	<i>Completed by RM</i> <ul style="list-style-type: none"> As detailed on the Register
Responsible Manager	HOCS	<i>Completed by RM</i> <ul style="list-style-type: none"> As detailed on the Register
Date of next planned review	June 2019	<i>Completed by RM</i> <ul style="list-style-type: none"> As detailed on the Register
Approval & Publication		
Approval Date (major version)	15/06/16	<i>Completed by RM</i> <ul style="list-style-type: none"> As detailed on the Register
For publication (Y/N)	Y	<i>Completed by RM</i> <ul style="list-style-type: none"> For publication in our Guide to Information Y or N
Date published		<i>Completed by Administrator</i> <ul style="list-style-type: none"> Date published on website if appropriate
Name of document in website file library	ManagementandReviewof KeyDocumentsHandbook	Already detailed on the DCS for published documents
Corrections / Unplanned or Ad hoc reviews (see Summary of changes below for details)		
Date of last update	19/03/17	<i>Completed by the person editing the document content</i> <ul style="list-style-type: none"> The date of the most recent accepted edit – per the Summary of changes

Summary of changes to document				
Date	Action by <i>(initials)</i>	Version updated <i>(e.g. 01.25-36)</i>	New version number <i>(e.g. 01.27, or 02.03)</i>	Brief description <i>(e.g. updated paras 1-8, updated HOPI to HOCS, reviewed whole section on PI test, whole document updated, corrected typos, reformatted to new branding)</i>

Document control sheet

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