



Dundalk Institute of Technology

IT Documentation Framework

Version 1.01

Document Location

..\DkIT_Policy_Documents

Revision History

Date of this revision: 21/11/2018	Date of next review:
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Version Number/Revision Number	Revision Date	Summary of Changes
V1.0		
V1.01	23/03/18	Review document for GDPR go-live

Consultation History

Revision Number	Consultation Date	Names of Parties in Consultation	Summary of Changes
1.0	09/01/14	James Mc Cahill, Peter McGrath Michael Denihan Linda Murphy Loretto Gaughran	Create Policy Document for DkIT
1.01	21/11/18	James Mc Cahill, Michael Denihan	Review of IT Documentation Framework

Approval

This document requires the following approvals:

Name	Title	Date
Governing Body Finance and Risk Committee	M.F. 186.7 Review of IT Policies for GDPR Compliance	12-Mar-2019
Governing Body	Meeting Ref No:G.257.5	7-May-2019

This policy shall be reviewed and updated on a periodic basis.

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1. Purpose

The purpose of this document is to provide direction, coordination and management of relevant Information Technology (IT) documentation within Dundalk Institute of Technology. IT documentation is considered to include IT Policies, IT Standards, IT Procedures and related guidelines.

Dundalk Institute of Technology endeavours, at all times, to ensure consistent, high quality implementations and management of its IT resources, processes and practices. A comprehensive framework of well-defined policies, procedures and standards are required to facilitate and ensure this. The need for formal IT documentation has been highlighted in risk management processes and internal control frameworks for Dundalk Institute of Technology. This IT Documentation Framework is a key element in meeting and supporting these requirements.

In developing this framework of IT policies, procedures and standards for Dundalk Institute of Technology, due regard and consideration has been given to the ISO 27000 series of standards which have been specifically reserved by ISO (International Standards Organisation) for information security matters. It is not intended that Dundalk Institute of Technology seeks to be compliant with all aspects of the relevant ISO information security standards as this would not be appropriate in all instances. However, it is intended that Dundalk Institute of Technology would aspire to implement policies, standards and procedures which are consistent with key aspects of the standards.¹

2. Definitions

This section defines relevant terms, in an IT documentation framework context, that may be unfamiliar to the readers of this document.

Policy

A high-level overall IT plan embracing the general goals and rules on how to manage IT in Dundalk Institute of Technology. A policy sets direction. As opposed to policies, IT standards and procedures are tools to implement and enforce the IT policies.

Procedures

Are detailed step-by-step tasks that should be performed to achieve a certain measure? Procedures spell out how the policy and the supporting standards will be implemented in an operating environment. Note these procedures must comply with the GDPR² regulations effective from May 25th 2018 where the Institutes' IT procedures are used with respect to the processing / handling of personal data.

Procedures can fall into a number of categories including:

- Administrative
- Logical/Technical
- Physical (in the case of security and access control)

¹ Other relevant standards include ITIL (IT Infrastructure Library)

² GDPR Regulations <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32016R0679&qid=1490179745294&from=en>

Standards

Specify how hardware and software products are to be used. They provide a means to ensure that specific technologies and business applications are used in a uniform way across Dundalk Institute of Technology to meet a defined goal.

Standards can fall into the three categories of

- Administrative
- Logical/Technical
- Physical

Guidelines

Aim to streamline particular processes according to a set routine or sound practice. By definition, following a guideline is never mandatory. Guidelines may be issued by Dundalk Institute of Technology to ensure the actions of its staff, student and external parties are more predictable and of higher quality.

Policy, standards, procedures and guidelines are intended to apply to the following defined Dundalk Institute of Technology related groups:

Staff

All full-time and part-time employees of Dundalk Institute of Technology.

Students

All full-time and part-time students of Dundalk Institute of Technology.

External parties

All affiliates, contractors, visitors and/or any other parties who are granted access to the IT resources of Dundalk Institute of Technology.

3. Roles and responsibilities

The following roles and responsibilities apply in relation to this Framework³:

The following roles and responsibilities apply in relation to this Policy:

Governing Body	To review and approve the policy on a periodic basis.
Senior Leadership Team	The Senior Leadership Team is responsible for the internal controls of Dundalk Institute of Technology, an element of which is the retention of records used in the decision-making process for key decisions in order to demonstrate best practice and the assessment of risk. The SLT is responsible for:

³ Specific roles and responsibilities are set out in each policy, procedure and standard as roles and responsibilities can vary across various documents.

	<ul style="list-style-type: none"> • Reviewing and approving this Policy and any updates to it as recommended by the Data Protection Officer. • Ensuring ongoing compliance with the GDPR in their respective areas of responsibility by having the appropriate policies, standards and procedures are in place to support the framework. • As part of the Institute’s Annual Statement of Internal Control, signing a statement which provides assurance that their functional area is in compliance with the GDPR.
Data Protection Officer	<ul style="list-style-type: none"> • To lead the data protection compliance and risk management function, with responsibility for advising how to comply with applicable privacy legislation and regulations, including the GDPR • To advise on all aspects of data protection and privacy obligations. • To monitor and review all aspects of compliance with data protection and privacy obligations. • To act as a representative of data subjects in relation to the processing of their personal data. <p>To report directly on data protection risk and compliance to executive management.</p>
IT Manager:	<ul style="list-style-type: none"> • Awareness facilitation. • To contribute to the development of policies which support the framework. • To define and implement standards and procedures which enforce agreed policies. • To initiate regular reviews and ensure documentation is updated as appropriate. • To provide secure mechanisms for central storage of IT Documentation. • To facilitate Version Control of IT Documentation. • To facilitate publishing documents as appropriate. •
Staff/Students/External Parties:	<ul style="list-style-type: none"> • To adhere to policy statements in this document. • To report suspected breaches of policy to their Head of Department and/or Data Protection Officer.

If you have any queries on the contents of this Policy, please contact the Senior Leadership Team or Data Protection Officer.

4. Scope

This IT Documentation Framework covers documentation of policy, procedures and standards relating to:

- Dundalk Institute of Technology Information Assets
- Dundalk Institute of Technology IT Resources

This framework applies but is not limited to the following, Dundalk Institute of Technology related groups as defined in section 3.0:

- Dundalk Institute of Technology Staff
- Dundalk Institute of Technology Students
- Dundalk Institute of Technology external parties

Appendix I provides an index of Dundalk Institute of Technology IT documentation in accordance with the following layered approach to how the documentation has been formulated.

Key Principles	Confidentiality	Integrity	Availability	Appropriateness
<u>Policy Layers</u>	Information Security & Data Governance			Acceptable Usage Wireless Usage
	Third Party Outsourcing		Social Media Management	
	Compliance			
<u>Standards Layer</u>	<i>Password Standards</i>		<i>Anti-Virus Standards</i>	
	<i>User Administration</i>		<i>Data Backup</i>	End User Guidelines
<u>Procedural Layer</u>	<i>Physical Access</i>	<i>Change Management</i>	<i>Incident Handling</i>	Moderator Guidelines
Physical and Logical Layers				

5. Version control information

Dundalk Institute of Technology requires that all IT documents within the scope of this framework are version controlled by the IT Manager and, as such, each separate document includes a control sheet which must be completed as shown below:

Revision History

Date of this revision:	Date of next review:
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Version Number/Revision Number	Revision Date	Summary of Changes

Consultation History

Version Number/Revision Number	Consultation Date	Names of Parties in Consultation	Summary of Changes
V1.0	09/01/14	James Mc Cahill Peter McGrath Michael Denihan Linda Murphy Loretto Gaughran	Create Policy Document for DkIT

Approval

This document requires the following approvals:

Name	Title	Date
Senior Leadership Team		
Governing Body		

In addition, the footer of the document must clearly indicate the current version number/ revision number. Where the document is in draft or going through a review cycle it should be numbered as version number/ revision number – for example 1.02 is the second revision of version 1.0 prior to finalisation of version 2.0. When a final version is agreed, it should be version 1.0, 2.0 and so on.

All IT documentation should be held in one secure central location to which access is restricted to “READ ONLY”. Once finalized, changes to documents are not allowed. To amend a document a new version needs to be created and reviewed. The IT documentation custodian (IT Manager) will be the only person with full access to upload new documents/new versions and will only do so following the appropriate review cycle (Refer to Section 6). This access restriction is critical to ensure appropriate documentation change control.

6. Review/approval process and timeframe

All IT documentation must be reviewed and approved at the appropriate level.

- For IT Policies, the appropriate level is deemed by Dundalk Institute of Technology to be Executive Management and/or the Governing Body as appropriate. However, all policies should firstly go through appropriate consultation process with staff and the relevant Industrial Relations (IR) forum as appropriate
- For IT standards, procedures, and guidelines the appropriate level is deemed to be the IT Manager and/or relevant data owners.

Approval Process		
Type	Document	Reviewers/Approvers
Policies	IT Policy Documents	1. Executive Management and Governing Body
Procedures, Standards, Guidelines	Logical/Technical Administrative Physical	1. Deemed to be IT Steering Group and/or IT Manager and Data Owners

All IT Policies should be reviewed and approved as outlined in Section 3 above. Following review and approval, the IT Policy should be again communicated to all staff as a reminder of its content. It is only through on-going campaign of communications and awareness that all staff can remain up-to-date on Institute Policy.

IT standards and procedures should be reviewed as required by technology changes and/or changes in policy and / or processes.

6.1 Review timeframe

Review cycles should be completed as quickly as possible but should take no longer than 8 weeks end to end. If feedback is not provided within the specified timeframe (8 weeks), the relevant document is deemed to be agreed and automatically routed to the next stage in the approval process.

6.2 Approval timeframe

Newly developed, amended and /or reviewed IT documents to be distributed to relevant approvers requesting a response within 4-6 weeks of distribution. Approval of policies will be dependent on Governing Body meeting schedules and agendas.



7. Appendix I - IT Documentation Index

Type of Documentation	Name	Technology Specific (if Yes, state Technology)	Location
Policy	Information Security	No	..\DkIT_Policy_Documents\Policies
	Acceptable Usage	No	..\DkIT_Policy_Documents\Policies
	Social Media Management	No	..\DkIT_Policy_Documents\Policies
	Data Governance	No	..\DkIT_Policy_Documents\Policies
	Compliance	No	..\DkIT_Policy_Documents\Policies
	Third Party Outsourcing	No	..\DkIT_Policy_Documents\Policies
	Wireless	No	..\DkIT_Policy_Documents\Policies
	Privileged User Policy	No	..\DkIT_Policy_Documents\Policies
	Logical Access Policy	No	..\DkIT_Policy_Documents\Policies
	Physical Access Policy	No	..\DkIT_Policy_Documents\Policies
	Remote Access Policy	No	..\DkIT_Policy_Documents\Policies
	SDLC Policy Privacy by Design	No	..\DkIT_Policy_Documents\Policies
Standards	Password Standard	No	..\DkIT_Policy_Documents\Standards and Guidelines
	Anti-Virus Scanning and Protection Standard	No	..\DkIT_Policy_Documents\Standards and Guidelines

	End User Guidelines	No	..\DkIT_Policy_Documents\Standards and Guidelines
Procedures	Incident Handling Procedure	No	..\DkIT_Policy_Documents\Procedures
	Access to IT Services	Windows/Email	..\DkIT_Policy_Documents\Procedures
	User Administration Procedure	Windows / FIM 2010 staff and User	..\DkIT_Policy_Documents\Procedures
	Data Backup and Monitoring Procedure	Windows / TSM Linux/ PC Backup To be completed	To be completed
	Change Control Procedure	No	..\DkIT_Policy_Documents\Procedures
	Disaster Recovery Plan (Draft BCRP IT Services Continuity Plan)	Draft -To be completed	\Dundalk Institute of Technology\ComputerServices - BC_and_DR\BusinessContinuity
Guidelines	End User Guidelines	No	..\DkIT_Policy_Documents\Standards and Guidelines
	Moderator Guidelines	No	..\DkIT_Policy_Documents\Standards and Guidelines