GELOS
ENTERPRISES

Records and Information Management (ICT) Procedure

Contents

1.   About this procedure

Gelos Enterprises (Gelos) is committed to ensuring client, service, administrative and financial information contained in hard copy and computer-based files are named, filed and stored in a way that is secure and accessible to all others authorised to access the information.

1.1   Purpose

Effective management of Gelos information enables the organisation to demonstrate efficient and compliant work practices. This includes using a universally-agreed system for naming and filing records and documents, as well as technology and devices.

1.2   Scope

This procedure applies to all employees of Gelos.

2.   Procedure

All files are to be named and saved in a manner that allows staff to access their own files securely and easily, as well as the files for their team area on the network and in other file management systems. No work-related documents should be saved in personal drives or folders.

All staff are to have an appropriate level of understanding about how to record and store information.

The records management procedures apply to all records such as:

- policy, process and procedure documents
- reports
- forms
- client assessments and testing
- logs
- scripts

- databases

- diagnostics

- network configurations

- disaster recovery plans

- project documents

- presentations

- meeting minutes and agendas

- service user files and file notes

- financial reporting data

- compliance registers, accreditation documents and registration

- internal and external correspondence

- staff information

- personally identifiable information (PII)

- devices.

2.1   Folder and file storage

Folders and files at Gelos can be stored either electronically or physically. The preference is for electronic generation and storage of files and folders to save storage space, reduce resource usage and save time. It is understood there are some files and folders that cannot be stored electronically.

2.2   File naming conventions

Name files so they are easily located and accessed by all relevant and authorised staff.

Internal documents, such as policies and procedures, must be named as follows, with each item separated by an underscore:

- GE

- Description of contents (each word capitalised and separated by a hyphen) – e.g. Data-Protection-Policy.

- Type of document as one word (lower case) e.g. form, template.

- Example:

- GE_Maintenance-Log_template indicates the organisation's Maintenance Log template

External and client documents, such as a client requirements report, must be named as follows, with each item separated by an underscore:

- Client/project name or description of contents (each word capitalised and separated by a hyphen) e.g. Abercrombie-Imports
- Type of document (each word lower case and separated by a hyphen) – e.g. client-requirements
- Author's initials
- Date in YYYYMMDD format
- Example:
  - Abercrombie-Imports_client-requirements_AK_20191214

2.3 Network and device naming conventions

All computers, hosts, devices and peripherals must be named logically so they are easily located and accessed by all relevant and authorised staff. The following naming convention must be used when installing and/or configuring all devices, with each item separated by an underscore:

- GE
- Department abbreviation (two characters – see Appendix)
- Location – building/room number (four character)
- Type of device abbreviation (two characters – see Appendix)
- Sequential number to ensure uniqueness (three digits).
- Example:
  - GE_HR_HG12_PR_003 indicates the third printer in the Human Resources Department located in the Head Office building, ground level, room 12.

2.4 Version control

All documents must include a section for versions, including the version number, effective date, who the document was approved by and a summary of the updates made between versions.

The following version table must be included at the end of these documents (add more lines as required):

#	Effective	Approved by	Updates
1.			
2.			

2.5 Sign-off

All client or project team documents must include a section for approval sign-off. The appropriate person or people to approve and sign-off the documentation will depend on whether it was part of a system development or upgrade, in which case there will be project stakeholders such as the project manager and business unit managers.

Otherwise, the relevant people to sign-off the documentation will include whoever requested the documentation, for example, your supervisor or a client.

The following sign-off table must be included at the end of these documents (add more lines as necessary):

Name	Position/role	Date	Signature

3. Appendix

3.1 Department abbreviations

The following table provides a list of the positions or departments that are responsible for this policy and procedure and the scope of their responsibility.

Table 1 – Department abbreviations

Department name	Abbreviation
Office of the CEO	OCEO
ICT	IT
Customer Service	CS
Human Resources	HR
Finance	FN
Marketing	MK
Operations	OP
Executives	EX

3.2 Device abbreviations

Table 1 – Device abbreviations

Device	Abbreviation
External hard drive	EH
Laptop	LT
Mobile phone	MO
Monitor	MN
Network attached storage	NA

Printer	PR	
Projector	PJ	
Scanner	SC	
Tablet	TB	
Workstation (including keyboard and mouse)	WS	

4. Version control

No	Effective	Approved by	Updates
1	20 August 20XX	Darren Cooper, Chief Technical Officer	Initial release

5. Document authority

This Records and Information Management (ICT) Procedure has been authorised by Catherine Dunn the CEO of Gelos Enterprises and is available to all staff. It has been developed in line with all relevant legislation, in consultation with committee representatives and will be revised on a regular basis.

Approval date: xx/xx/20xx