Records management

Effective from: 1 October 2019

Introduction

Red Opal Innovations (ROI) 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.

Purpose

Effective management of ROI 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.

Scope

This procedure applies to all employees of Red Opal Innovations (ROI).

Procedure

All files are to be named and saved in a manner that allows staff to securely and easily access their own files and 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 documents 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).

Folder and file storage

Folders and files at ROI 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.

Naming files

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:

- ROI
- Type of document as one word (each word capitalised) e.g. Policy, Procedure
- Description of contents as one word (each word capitalised) e.g. Communication

Example:

- ROI_Procedure_Communication indicates the organisation's communication procedure.

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

- Type of document as one word (each word capitalised) e.g. ClientRequirements
- Client/project name or description of contents as one word (each word capitalised) e.g. AbercrombieImports
- Author's initials
- Date in YYYYMMDD format

Example:

- ClientRequirements_AbercrombieImports_AK_20191214

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):

No	Effective	Approved by	Updates

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

Version control

No	Effective	Approved by	Updates
1	1 June 2019	Wendy Opal Director	Initial release