



File Naming Convention

Main Title:	Document Style Guide		
Date:	17/12/2020	Release Maturity:	Draft/Live/Final
Author:	Allen Woods		
Owner:	Allen Woods		
Client:	Internal		
Version:	1.00		
CADMID	In Service		
Line of Development	Infrastructure		
Organisation			
Release Classification	U		
Document ID/Number	DocMan/6		

Note: This document is only valid on the day it was printed

Revision History

Date of next revision:

Revision Date	Previous Revision Date	Summary of Changes	Changes Marked
16/06/2018		Add further explanation of the purpose of the file naming convention to principles of operation section, add Annex C	

Approvals

This document requires the following approvals. A signed copy should be placed in the project files.

Name	Signature	Title	Date of Issue	Version

Distribution

This document has been distributed to:

Name	Title	Date of Issue	Version



References

Internal

Ser	Description	Location
1	Document Management Policy	Left click here
2	TLMP Folder Structure	Left click here
3	Document Style Guide	Left click here
4	Approved Tools List	Left click here
5	Archiving Policy	Left click here
6	File Naming Convention	Left click here
7	Document Security	Left click here
8	Document Version Control	Left click here
9	Document Writing Guide	Left click here
10	Formal Document Template	Left click here
11	Ad Hoc Communication Management	Left click here
12	Document Retention Policy	Left click here
13	E Mail Management Policy	Left click here
14	Non Disclosure Policy	Left click here
15	Technical Document Management	Left click here
16	Architectural Schematics	Left click here
17	Software Portfolio	Left click here

External

Ser	Description	Location

Location Details

Original Path on Development
C:\tlmp\01 Executive Summary\07 Policy\20180522-File Naming Convention-1-U.docx
TLMP Folder Location
C:\tlmp\01 Executive Summary\07 Policy\20180522-File Naming Convention-1-U.docx



Contents

Statement of Copyright	4
About the Author	5
Executive Summary Read Me First	6
Purpose of this Document	7
File Naming Convention Statement of Intent.....	7
Scope.....	8
Key Concepts and Principles.....	8
Personal Liability of Company Officers.....	8
Corporate Governance	9
The File Naming Convention	9
External Document File Properties	10
Supporting Software Infrastructure	10
Quality Management and Compliance	11
Future Considerations	11
Document Ownership and Amendments.....	11
Document Review Timetable.....	11
Quality Management and Compliance	11
Document Sign Off	13
Annex A – Policy Scope	14
Annex B – Managerial Status	15
Annex C - Smart Templates and Supporting Architectural Components ..	16



Statement of Copyright

The reader can use this document as he or she sees fit. Comment is invited. Contact details are set out below

Fact of the matter is, that the author is retired, not a millionaire and could not protect any copyright in any event..... Help yourselves. The aim of this document is to prompt some thought in respect of just what bias, in software development, is about and it affects everyone nowadays and needs careful consideration across the piece.

Allen Woods

Tel: +44 (0)7780 568449

Email: woods200@gmail.com

Skype ID: apw808



About the Author

In order to decide for yourselves the experience of the author in respect of whether or not to take this document seriously, this brief biography is provided

- Allen Woods, now retired.
- Ex British Army (1971 – 1995) Taught Arctic Warfare, several years on operations, Funded Himself through College to Study IT
- Chartered Member of the British Computer Society for 20 years
- Member of the Chartered Status Interview Panel for BCS
- In 2010, Finalist of UK “Developer Of The Year” Competition for the MoD Health and Safety Information System (HSIS)
- Primarily Employed in UK Defence Supply Chain and Logistics IT since 1995 until 2019
- Credits: MoD Health and Safety Information System, Various Internal to Defence P&G Portals, CATMIS, IQB Oversight to Defence Voyager Programme IM Transformation
- In respect of contract examination, as part of a major due diligence exercise the author was part of a team, the aim of which was to examine the licence terms, as a matter of contract validation, of 20 major systems, each with an annual maintenance fee in the high 6 low seven figure expenditure range.

It is a wide and varied range of IT work experience covering some 30 years in total. In many ways the author was lucky in that he started working in IT when the PC's were beginning to proliferate and along the way was given the chance to work on a wide variety of tasks that simply would not be possible now. A common theme through them all was legal compliance in one form or another.

His by line is “How the hell did that happen” which is appropriate not least because along the way he has made more than his fair share of mistakes and one of the sub plots of the pack that this document forms part, is that it seems to the author that much is having to be relearned. Above all, this document and the pack is an attempt to help. Particularly non-technical people understand some of the technical complexity they are using almost without thought it seems.

None of this is simple. Even writing this document was a complex task.

This page can be removed as it does not form part of the template



Executive Summary Read Me First

To whom it may concern. This document was written by The Old Geeks Shed as part of an initiative to identify and assess the impact of the EU GDPR and UK Data Protection Bill 2018 in information management architectural terms. We firmly believe that the privacy legislation is a “good thing” the level of computer crime alone making the need for it and other associated legislation, something that must happen, inevitably that means that the wild west that is IT needs to be managed at national and international level and that, in no small measure, is what the privacy legislation and regulation is about. But, the drawback is that legislation like the GDPR will, in many ways, reverse some 50 years of custom and practice in that the emphasis of personal data ownership will rest with the data subject and furthermore, the data subject will have rights to reach into any organisation that holds such data and exercise a variety of rights (erasure, objection retrieval etc) that while they existed before the GDPR, were little used but now are back by a potential punitive regime that the authorities will, over time, be obliged to exercise. GDPR is a game changer. The nature of the changes we touch on needs to be understood and carefully considered therefore.

Our exercise to figure out the impact of GDPR and the UK Data Protection Bill 2018 on an end to end basis has taken a year so far and has led to the development of documents like this and associated amendments to our software portal not to mention the development of new tools too. Our aim is to be in a position where we can explain the impact and the capabilities needed to address and mitigate against the impact of the various legislation forms coming into play in a way that is coherent. This document should be seen as a part of the learning process we have undertaken, but one that has not been written in isolation. It is a planned document.

Use this document as a guide, not gospel. It is a pathfinder.

With that in mind, there is a constraint in that the document is what we think standard a document style guide might look like and be about, but it is heavily influenced by our experience as geeks. Bear in mind we are not lawyers, but we have been working in secure IT environments for more than 25 years now and are confident that what we have constructed and written is sound. Therefore we suggest that in the first instance, when you start to read it, study the index first, then go on to read the rest on the basis that it is a guide, but by no means gospel and secondly, have a look at the structure of this document itself, because it, like all of the other documents we have created on this subject, uses our guides and policies to maximum benefit. We are confident that you will be obliged to write something similar and that as a consequence, this document is structurally sound ready for you to add your own detail as you see fit or act as a template. We recommend you use the principles and approach set out in this document to develop your own guide.

Note also that we have developed a number of components that give use the means to better support the implementation of this guide which

Feel free to use the document in whole or in part as you wish. We think it will save a fair bit of work related figuring things out for yourselves. What we ask in return is that you acknowledge, one way or another, the contribution we are making but we will leave that up to you as a reader as to how you do that.



Purpose of this Document

This document sets out the policy of The Old Geeks Shed in respect of document file naming as a key building block to achieve the management and control of the location of document files. It should be understood that this document forms part of the company document management policy.

File Naming Convention Statement of Intent

The Old Geeks Shed have implemented a document management policy that concentrates on a number of key principles the application of which will enhance the organisations abilities to manage its data more efficiently. The primary principle is the establishment of “ownership” which in The Old Geeks Shed consideration is key in that establishing it at the point in a document life cycle where it becomes a corporate asset and therefore subject to corporate control gives the means to implement location control on the basis of structured policy. Location management is the second key document control principle that must be rigorously controlled on the basis that without ownership and location control, compliance as an auditable activity, becomes difficult to achieve.

Without control of location, then it becomes difficult, if not impossible to be able to find things which is stating the obvious but bears emphasis nevertheless. The lack of control of location is made more complicated by the fact that In most modern office automation operating environments, while there may be central file stores (for example a sharepoint site) there are usually multiples of document stores in personal profiles, email accounts and other places. Control of location is further complicated by the natural tendency of document owners and authors to name documents as they see fit and store them in their own folder locations following their own views of how files are to be organised.

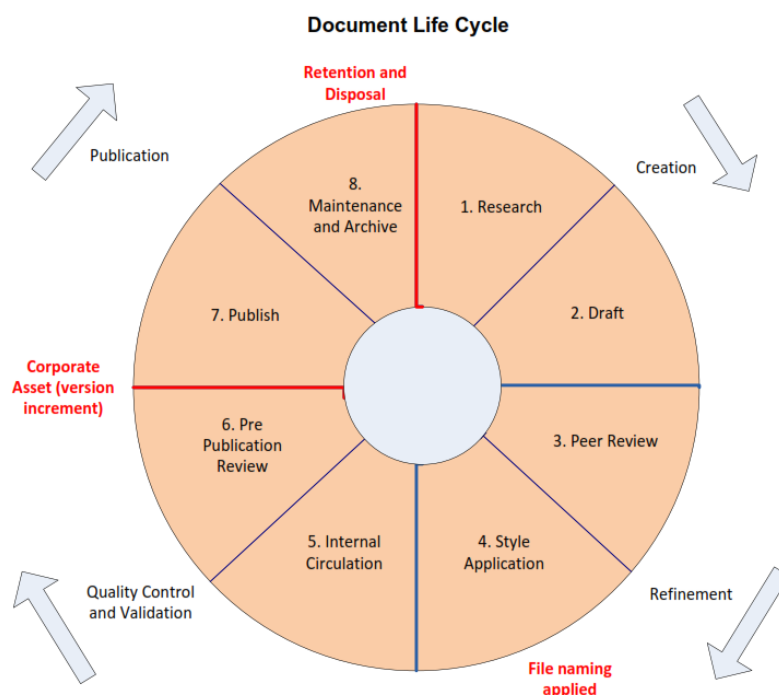


Figure 1 - Document Life Cycle

In order to control location there is a need to understand that documents have a life cycle the nature of which is illustrated in Figure 1. From the perspective of The Old Geeks Shed Part of that maturity process is to make sure that files are named in a consistent way across the organisation as the application of a standard naming convention has advantages for document catalogue and library management given that the once the form of a file name can be identified, then the file name can form part of a corporate meta model which increases the



scope of the capability for cross referencing document content and location information with other data sets.

A file naming convention provides means by which documents can be identified and described as corporate assets which in turn gives the ability to separate corporate assets from documents that are personal in nature and establish a central library that can be co-ordinated across the enterprise for corporate use that can be trusted by virtue of the fact that a reliable and coherent design approach can be implemented for the design of corporate library whose integrity, in terms of content, can be maintained. While the use of corporate IT assets for personal use is not encouraged, the company recognises that some private use is inevitable and as a consequence, the separation of corporate documents from those of a personal nature becomes more useful as a matter of governance.

Scope

The file naming convention described in this document will be applied and operated by all staff members to all office automation files, emails and where possible and feasible to other communication forms that are or are going to be used for business purposes. It is a matter of quality control that by the time a document has reached the fourth stage of the maturity process set out in Figure 1 that this be so.

Key Concepts and Principles

The aim of this file naming convention is to provide the means to uniquely identify a document in a manner that is consistent with the concept of Global Unique Identification (GUID) coupled with a structure that is akin to the US Federal Numbering System and the NATO stock catalogue. In order to apply and enforce the naming convention such that the aim is achieved, there is a need for the application of some simple rules (set out below) and the provision of a set of tools that make the application of the convention easy to apply (annex C provides an overview of the tools referred to).

The following principles or rules of operation apply:

- Once applied, a file name should never change
- For the purposes of emails, all internal emails will follow the naming convention applying it in the subject line.
- For external emails, where they are deemed as a corporate asset related to business activity, if the decision is taken to export the email to a company document library, the file naming convention will be applied at the point of export generation with the subject line providing file name.
- Amendments to file names, once files are deemed corporate assets (life cycle stage 4), will only be sanctioned by the Librarian.
- As far as possible, no document files of any type should go beyond the company boundary without first being secured from tampering either accidental or deliberate. In order to achieve that, all documents that are corporate assets will be distributed outside of the company using masters in the central document library.

The benefits of the use of the file naming convention manifest themselves in a number of ways, the most obvious being that in Windows Explorer file listings, all document files will be listed in a predictable way based on file naming date. A predictable listing mechanism coupled with the control of location offered by the associated folder structure eases the complications normally associated with searching and cataloguing documents not least because it becomes easier to identify corporate documents.

Personal Liability of Company Officers

Part 7, Supplementary and Final Provision, Page 117, para 198 of the UK Data Protection Bill (which incorporates the EU GDPR) reproduced in full below sets out the nature of the personal liability of company officers in respect of personal data protection:



“198 Liability of directors etc

- (1) Subsection (2) applies where—
 - (a) an offence under this Act has been committed by a body corporate, and
 - (b) it is proved to have been committed with the consent or connivance of or to be attributable to neglect on the part of—
 - (i) a director, manager, secretary or similar officer of the body corporate, or
 - (ii) a person who was purporting to act in such a capacity.
- (2) The director, manager, secretary, officer or person, as well as the body corporate, is guilty of the offence and liable to be proceeded against and punished accordingly.
- (3) Where the affairs of a body corporate are managed by its members, subsections (1) and (2) apply in relation to the acts and omissions of a member in connection with the member's management functions in relation to the body as if the member were a director of the body corporate.
- (4) Subsection (5) applies where—
 - (a) an offence under this Act has been committed by a Scottish partnership, and
 - (b) the contravention in question is proved to have occurred with the consent or connivance of, or to be attributable to any neglect on the part of, a partner.
- (5) The partner, as well as the partnership, is guilty of the offence and liable to be proceeded against and punished accordingly.”

In respect of the article above, because it is likely that document files will contain personal data the following company and board appointments are identified as being primarily responsible for personal data protection:

- The Chief Executive Officer
- The Company Secretary
- The Chief Information Officer
- The Chief Information Security Officer
- The Vice President of Assurance

Each of the roles set out above will be permanent members of the company Data Protection Committee. Each member of the Data Protection Committee will ensure that this file naming policy will be applied and followed across the company across their business areas.

Given the nature of personal liability of senior staff contained in the UK Data Protection Bill 2018, and in order to guarantee the application of this policy by all employees the need to comply with this file naming convention will be written in to each contract of employment all company staff as part of their standard terms of engagement.

Corporate Governance

The development and maintenance of the file naming policy will rest with the Vice President of Assurance working in co-operation with other business area owners. The provision and application of the governance associated with the policing and compliance efforts required to ensure that this policy is being met will rest with the company Librarian. As a consequence, the company Librarian will be a permanent member of the Data Protection Committee.

The File Naming Convention

The mandated file convention is:



<YYYYMMDD>-<The file name>-<Version No>-<Sensitivity marking>

Ser	Section Name	Notes
1	Date group	Numeric, four digit year, two digit month, two digit day. The aim is to ensure that files are listed in date order. Date to be derived from the point at which the file name is formally created
2	The file name	The formal title of the document. No punctuation marks, ideally to be replicated in the "Main Title" field as described in the company style guide
3	Version No	Whole version number
4	Sensitivity Marking	One, two or three character sensitivity marking

The mandated sensitivity markings are:

Ser	Mark	Name	Purpose
1	U	Unclassified	Free to distribute
2	C	Commercial confidence	Controlled distribution to interested parties inside the company.
3	E	"Eyes only"	Senior staff and board visibility and access
4	P	Personal	Controlled distribution internally and externally. Externally to named individuals, only and subject to privacy control and management. May be attached to marking 1,2,3 and 6.
5	A	Archive	To be appended to classifications one to four to indicate a document in archive.
6	D	Departmental	For circulation in the business area in which the document was created

External Document File Properties

In support of the application of a file naming convention and to enhance the meta modelling potential of the control of file naming, authors and owners will be obliged, as a matter of course, to make use of the following file properties:

Ser	Title	Notes
1	Title	The property "Title" will be the same as any formal document main heading as contained in the main header page or main document heading in the document file content, where this is not possible, the title should be a short descriptive title
2	Author	While the author may be a named individual, the preferred option is the author job or role title drawn from the relevant contract of employment (bearing in mind that company documents are corporate assets)
3	Comments	Any additional, short comments related to the nature of the content
4	Keywords	A short series of key words appropriate for document search and retrieval identification

The aim of using the properties set out in the list above is to support the cataloguing of documents using the supporting software infrastructure provided to document authors.

Supporting Software Infrastructure

In order to meet the aims of this policy document the following software infrastructure support tools will be made to available to document authors:



- A document Through Life Management Plan librarian held as a central document store into which documents described as corporate assets will be lodged once they are deemed to be fit for purpose. The corporate TLMP can be viewed [here](#)
- A programmable software component, capable of generating a standard TLMP folder structure in document author profiles. The document referred to at internal reference 11 describes the mandated folder structure and the purpose of its structure.
- A programmable component that can read document files and catalogue content that maintains a relationship between content and location. A series of document templates held in the TLMP template folder as per the partial path set out below:
 - 100 Infrastructure\01 Templates\01 Documents\
- A series of smart “location aware” templates in which the “Save” feature is disabled and “Save As” will only locate corporate document assets in a TLMP folder structure.
- One or more of a series of office automation add in ribbons that provide, as an integral part of the office automation software used by the company, the number and type of add ins made available to be determined by the Chief Information Officer or one of the appointees technical staff.

The management of the installation and configuration of the components listed above to be part of the remit of the Chief Information Officer.

It should be understood by all concerned, that the aim of the provision of this support infrastructure is the management and control of the location of document files. The bottom line is that if document files cannot be found there is a significant legal risk to the company.

Annex C provides a brief overview of the functionality that the components offer.

Quality Management and Compliance

This file naming convention is a mandated document. As a consequence, all company staff will be obliged to follow it. The policing and governance of this policy with the aim of ensuring compliance with it, will be the responsibility of the Vice President of assurance who will delegate the responsibilities to the company Librarian. The Librarian will develop, produce and maintain an audit plan, the aim of which is to ensure that this policy document is followed.

Future Considerations

None as at 31/05/2018

Document Ownership and Amendments

This document is owned by the Vice President of Assurance and its application and monitoring will be carried out by the company Librarian. Annex A provides an illustration of the ownership management chain with Annex B providing an illustration of document “fit” in the policy library.

Document Review Timetable

This document will be reviewed on or about 31/05/2019 or in the event that circumstances may change and a review may be necessary before then. Quality Management and Compliance

Quality Management and Compliance

This document naming convention is a mandated document. As a consequence, all company staff will be obliged to follow it. The policing and governance of this policy with the aim of ensuring compliance with it, will be the responsibility of the Vice President of assurance who will delegate the responsibilities to the company Librarian. The Librarian will develop,



produce and maintain an audit plan, the aim of which is to ensure that this policy document is followed.



Document Sign Off

This document has been reviewed by the Project Manager and approved for inclusion in the project requirements catalogue.

Printed/Typed Name

Signature

Date

This document has been reviewed by the Quality Assurance Group and approved for use.

Printed/Typed Name

Signature

Date

This document has been reviewed by the Supplier Project Manager and approved for use by the Supplier Project Team.

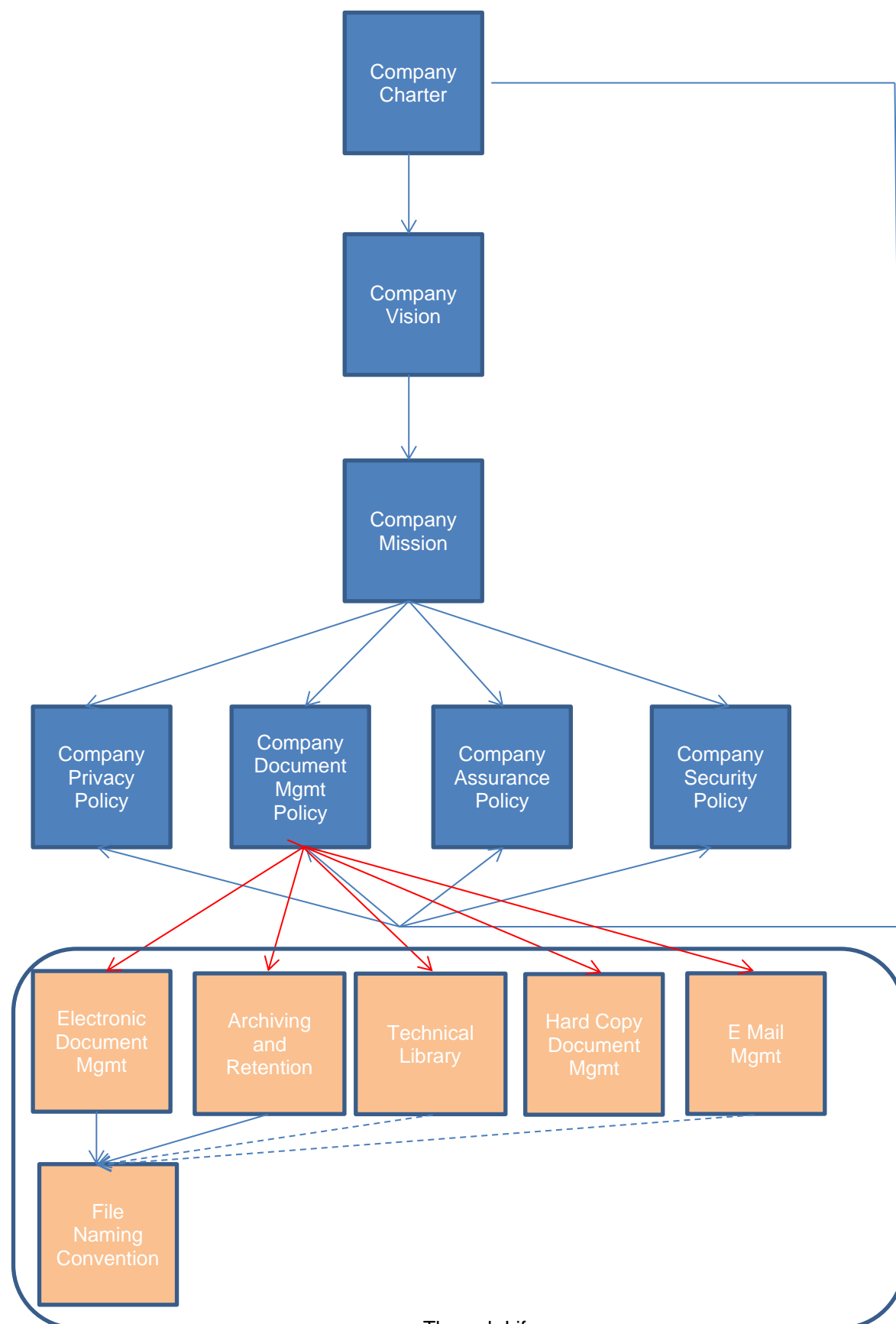
Printed/Typed Name

Signature

Date

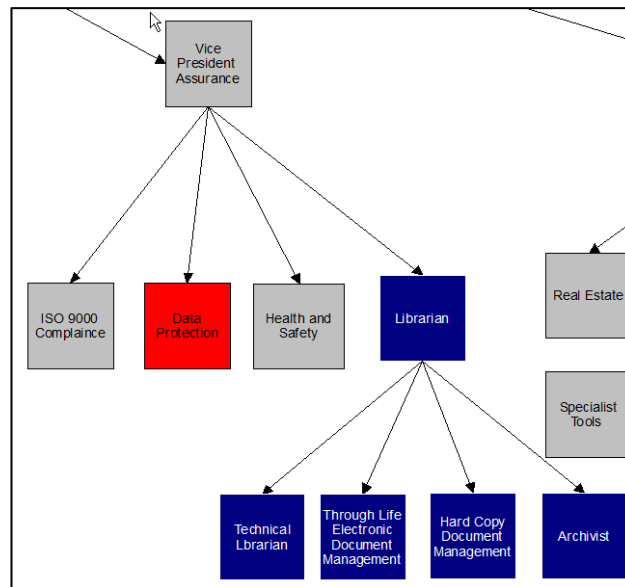


Annex A – Policy Scope





Annex B – Managerial Status





Annex C - Smart Templates and Supporting Architectural Components

Figure 2 - Smart template descriptive attributes recording

The second key component is a set of location aware office automation document templates, that, at the point of “Save As” is that there is a hand over programmatic sequencing of the save process to the kind of screen illustrated above, that forces (gently) document writers to select the folder location they want to save a newly created document to. Additionally the templates require users to fill in key document descriptive attributes which are then written into the external file properties concerned with the aim of making sure that in canonical modelling terms, all documents are properly described in terms of uniqueness, location and search facilitation and those details are then recorded in a database AND in the structure file itself..

On save, new documents will only be lodged in the selected TLMP folder structure client side, which if implemented, will mirror its equivalent server side with the end effect that central and local folder structures should contain similar content in respect of documents declared as owned corporate assets.

Inert Template Library

TPO also provides its client base with a template library consisting of two hundred ISO compliant templates for the ISO 9000, ISO 27000 and PRINCE quality management and project management methodologies.

Each template is structured and formatted, as per this document with formal quality control information with the aim of providing the means to make documents easy to catalogue (because there are standard styles, placeholders and so on) and therefore to find.

TLMP Database and Document Spider

To assist document management efforts with a TLMP, TPO has developed a document spider and an associated database. The spider is operated as a silent background process client and/or server side (separate installations) and records details of files, properties and content in atomised form down to word level, in the accompanying TLMP database.



Built in to a TPO TLMP is a document librarian that, as documents in the TLMP folder structure use the same data meta model for location management purposes, is aware of the nature of the atomisation. Emphasis on searching document content then rests with the database such that content can be looked for in it as opposed to searching document content “on the fly” repeatedly.

In addition to recording properties and atomising content, the spider keeps track of historical descriptive properties like version numbers and date last accessed (amongst other things to minimise the cataloguing effort).

Office Automation Add Ins.

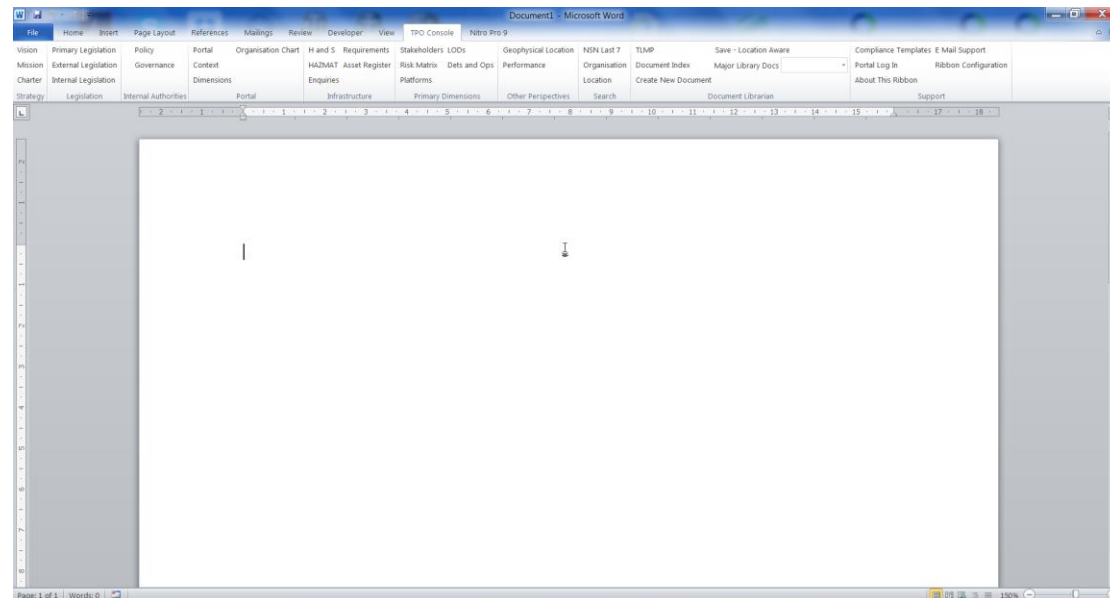


Figure 3 - Office Add in toolkits

Unless and until the means to apply the kind of document management principles advocated in this document are made easy to operate by desk officers, who many not be as “tech savvy” as they might need to be, then it is inevitable that properly written policy and governance will fail.

With that in mind, TPO have developed an MS Office add in that provides native access to other parts of the product architecture including the portal and the TLMP librarian tool set.