
Report To:	Policy & Resources Committee	Date:	26 March 2019
Report By:	Head of Legal & Property Services	Report No:	LP/042/19
Contact Officer:	Andrew Greer	Contact No:	01475 712498
Subject:	Version Control and Naming Convention Guidance		

1.0 PURPOSE

1.1 The purpose of this report is to provide the Policy and Resources Committee with an overview of the proposed Version Control and Naming Convention Guidance (**Appendix 1**) and to seek the Committee's approval of this policy.

2.0 SUMMARY

2.1 The Council is currently implementing the Business Classification Scheme (BCS) with an implementation date of 31 March 2019. BCS describes what business activities the Council undertakes.

2.2 A key element of BCS is to add version and naming controls so that documents can be uniquely identifiable, and any changes that occur throughout the document's distribution can be tracked to help preserve its authenticity.

2.3 Therefore, the Information Governance Team (IGT) has produced Version Control and Naming Convention Guidance (**Appendix 1**) in order to assist the Council fulfil this requirement of BCS.

2.4 The Information Governance Steering Group, Extended Management Team and the Corporate Management Team have been consulted regarding this policy and their input has been incorporated into the Guidance.

3.0 RECOMMENDATION

That the Committee:

3.1 Considers the content of this report; and

3.2 Approves the Council's Version Control and Naming Convention Guidance.

Gerard Malone
Head of Legal and Property Services,

4.0 BACKGROUND

4.1 A BCS is a hierarchical representation of an organisation's business. It describes an organisation's business functions and activities, and the relationships between them. It usually takes the form of a hierarchical model or structure diagram. It records, at a given point in time, the information assets the business creates and maintains, and in which function or service area they are held. Having a BCS in place is a requirement under the Public Records Scotland Act 2011 and this element is built into the Council's Records Management Plan.

5.0 VERSION CONTROL AND NAMING CONVENTION GUIDANCE

5.1 As part of BCS, a corporate document naming and version control has been developed (**Appendix 1**) which will assist Services to manage their information more efficiently. This is an essential element of BCS and the Council's Records Management Plan. This Guidance will be good practice for employees to follow.

5.2 All documents within Inverclyde Council and Inverclyde HSCP, whether electronic or hard copy, need to be uniquely identifiable. In many instances, it is necessary to track the changes that occur to a document and record its distribution throughout the document's development and subsequent revision.

5.3 The Guidance composes of two parts. The first section is Version Control and the second section is Naming Convention. These are outlined as follows.

5.4 Version Control

5.5 Version Control is the management of multiple revisions of documents via the use of a Document Control Sheet and Version Numbering incorporated into each document name.

5.6 Version control is the process by which different versions of a document are managed.

This:

- Lets the Council tell one version of a document from another;
- Makes it clear which version is current;
- Provides the Council with an audit trail;
- Allows the Council to recreate the version of a document which was current at a previous time.

5.7 Naming Convention Guidance

5.8 The principle of naming conventions is to use standard rules that are applied to the naming of all documents, in order to enforce consistency. By implementing structured names to documents, it can support the following objectives:

- Facilitate better access to and retrieval of electronic documents;
- Allow sorting of documents in logical sequence (e.g. version number, date);
- Help users identify the documents they are looking for easily and also support the ability to recognise the content of a document from a file list;
- Help keep track of multiple versions of the document.

5.9 Without standard approaches to naming folders the context of the records held within the folder will be difficult to identify to anyone other than the creator.

5.10 The Information Governance Steering Group; the Extended Management Team and the Corporate Management Team have been consulted and their feedback has been incorporated into the Guidance.

5.11 The Guidance is in draft form and Policy & Resources Committee approval is required.

6.0 IMPLICATIONS

Finance

- 6.1 There are no direct financial implications at present, however, this may change during development of the project.

Financial Implications:

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
N/A					

Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact £000	Virement From (if Applicable)	Other Comments
N/A					

Legal

- 6.2 The Version Control and Naming Convention Guidance will help the Council meet its requirements with BCS, which in turn will ensure that the Council's information processes are in line with legislative requirements, including the PRSA 2011, the Data Protection Act 2018, the General Data Protection Regulation, the Freedom of Information (Scotland) Act 2002 and the Environmental Information (Scotland) Regulations 2004.

Human Resources

- 6.3 There are no direct human resources implications arising from the project.

Equalities

- 6.4 There are no direct equalities implications arising from the project.

Repopulation

- 6.5 There are no direct repopulation implications arising from the project.

7.0 CONSULTATIONS

- 7.1 The Information Governance Steering Group has been consulted with the timescales for completion and the Version Control and Naming Guidance.

8.0 LIST OF BACKGROUND PAPERS

- 8.1 The Business Classification Scheme Guidance for Services.

Information Governance

VERSION CONTROL AND NAMING CONVENTION GUIDANCE

Version 0.01

Produced by: Information Governance Team July 2018
Inverclyde Council
Municipal Buildings
GREENOCK
PA15 1LX



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DOCUMENT CONTROL

Document Responsibility		
Name	Title	Service
Information Governance Team	Version Control & Naming Convention Guidance	Legal and Property Services

Change History		
Version	Date	Comments
0.01	July 2018	First Draft
01.0	March 2019	Final Draft

Distribution		
Name/ Title	Date	Comments
Information Governance Steering Group, Extended Management Team and Corporate Management Team	February 2019	Minor Amendments.

Distribution may be made to others on request

Policy Review			
Updating Frequency	Review Date	Person Responsible	Service
3 years unless required earlier	2020	Information Governance Team	Legal & Property Services

Document Review & Approvals: this document requires the following approvals:			
Name	Action	Date	Communication
Information Steering Group GDPR Implementation Group	Consulted	<insert date>	Email

Linked Documentation

(Documents that you have linked or referenced to in the text of this document)

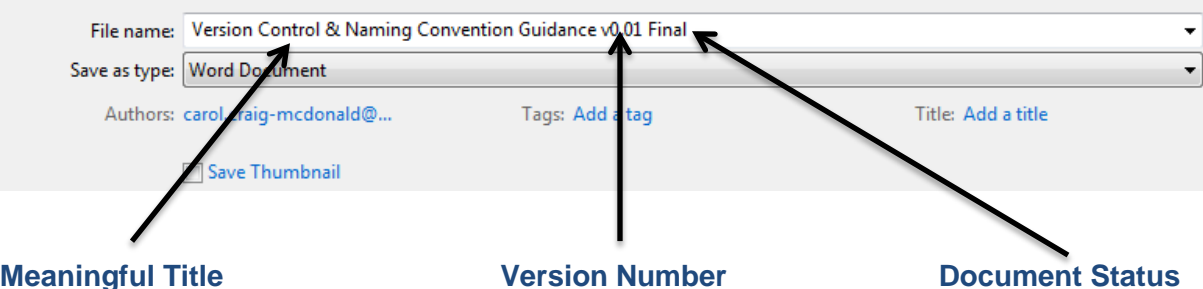
Linked Documentation	
<i>(Documents that you have linked or referenced to in the text of this document)</i>	
Document Title	Document File Path

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1.	<p>INTRODUCTION AND PURPOSE</p> <p>This guidance is a best practice guide for all Inverclyde Council and Inverclyde Health and Social Care Partnership (HSCP) employees. It provides advice and guidance on both the naming of electronic documents and folders in a networked environment, such as the Business Classification Scheme or relevant Electronic Document Records Management System (EDRMS), and the management of documents with multiple versions.</p>
2.	<p>VERSION CONTROL</p>
2.1	<p>What is Document Version control?</p>
	<p>All documents within Inverclyde Council and Inverclyde HSCP, whether electronic or hard copy, need to be uniquely identifiable. In many instances, it is necessary to track the changes that occur to a document and record its distribution throughout the documents development and subsequent revision.</p> <p>Version Control is the management of multiple revisions of documents via the use of a Document Control Sheet and Version Numbering incorporated into each document name.</p> <p>Version control is the process by which different versions of a document are managed.</p> <p>This:</p> <ul style="list-style-type: none"> • Lets the Council tell one version of a document from another; • Makes it clear which version is current, • Provides the Council with an audit trail; • Allows the Council to recreate the version of a document which was current at a previous time
	 <p style="text-align: center;">Figure 1: Example of Version Numbering</p>

2.2	Why is Version Control Important?
	<p>Version control should be used when developing policies, procedures or publications, or for any other document which will have contributions from more than one author or which will continue to change and evolve. Version control is very straightforward and can be used any time where more than one version of a document exists.</p> <p>Policy, procedure and guidelines within Inverclyde Council and Inverclyde HSCP go through various iterations before being endorsed and approved for distribution, and once published will often be amended and re-released a number of times. By ensuring that version control is used on all documents, it will assist in providing an audit trail for future tracking of document development. Version control helps to preserve the authenticity of a document/record and ensures one version can easily be distinguished from any subsequent versions.</p> <p>Knowing which version of a document you are looking at is important if you are trying to find out which version of a policy is currently in force, or which version of a policy was in use at a particular time.</p> <p>Version control is also important if you are working on a collaborative document with a number of contributors and/or frequent revisions, for example a policy document.</p>
2.3	How to version Control your Document
	<p>There are two techniques used within Inverclyde Council and Inverclyde HSCP to ensure appropriate version control management of your documents.</p> <ul style="list-style-type: none"> • Document Control Sheet • Version Numbering
2.4	Document Control Sheet
	<p>The document control sheet is vital for documents that undergo revision and redrafting. This is particularly important for electronic documents because they can easily be changed by a number of different users, and those changes may not be immediately apparent. It will allow you to keep track of what changes were made to a document, when and by whom.</p> <p>The Document Control Sheet should be updated each time a change is made to the document, with answers to the following questions:</p> <ul style="list-style-type: none"> • What is the new version number? • What was the purpose of the change, or what was the change? • Who made the change? • When was the change made?

EXAMPLE: Document Control Sheet

Document Responsibility		
Name	Title	Service
Title of Head of with responsibility	Version Control & Naming Convention Guidance	Legal & Property Services, Information Governance

Change History		
Version	Date	Comments
0.01	20 July	Policy and procedure being created for version control & naming convention of records.

Distribution		
Name/ Title	Date	Comments
Name and Titles of individuals who have been distributed the document		Any relevant comments for them to note.

Distribution may be made to others on request

Policy Review			
Updating Frequency	Review Date	Person Responsible	Service
3 years unless required earlier	2020	Information Governance Officer	Legal & Property Services,

Document Review & Approvals: this document requires the following approvals:			
Name	Action	Date	Communication
Information Steering Group GDPR Implementation Group	Consulted	<insert date>	Email

Linked Documentation	
<i>(Documents that you have linked or referenced to in the text of this document)</i>	
Document Title	Document File Path

2.5 Version Numbering

The Version numbering system to be used within Inverclyde Council and HSCP is the system that is based on the use of version numbers with points to reflect major and minor changes to a document.

The version number of a document in a draft format will start at 0.1 reflecting its draft status and then progress through revision by incrementing the number to the right of the point. The version number will convert to 01.0 upon the document/record receiving all required approvals and deemed ready for publishing.

For example a document with the version number 0.1 is in draft format. When the document has been approved and authorised ready for publishing the version number will start at 01.0, and the number will only be modified after the first minor amendment to then become 01.1. Each major revision to the document will result in the number to the left of the point incrementing by one and the number to the right of the point will return to zero 02.0

Examples of version control in action:

Version 0.1	Draft
Version 01.0	Final version following all approvals and deemed ready to publish
Version 01.1	Final version (taken through approval process) Minor change required to the final version therefore the number to the right of the decimal point has moved up to the next sequential number.
Version 02.0	Final version (taken through approval process) Major changes made to version 01.1 as part of the annual review of the policy with significant changes being made to the policy and going through
Version 03.5	A version number on a document of 03.5 would reflect that there had been two major changes and five minor revisions to the document since it was last reviewed. Therefore indicating that the document has been kept current and reviewed on a regular basis.

The benefit of version control is to provide the reader with detailed information about the document which is easily accessible.. If the version number of the document is 01.0 then you know that there have been no changes since the document was authorised and published. A version number on a document of 03.5 (as per the example above) would reflect that there had been two major changes and five minor revisions to the document since it was created. The version number should always be displayed clearly on the front cover of the document.

An example of version control information in a structured title is :

Document name <space>version number<space>(Draft/Final/Review).extension

Example: **Managing electronic documents v04.0 (draft).doc**

2.6 Document Management

It is important to maintain the accuracy, authenticity and currency of a document. As well as adopting the version control system outline above, it is also good practice to:

	<ul style="list-style-type: none"> • Agree where it is to be stored – where, and on which shared drive the document will reside, for example, the Business Classification Scheme or the Electronic Documents Records Management System where deployed; • Consider retention and disposal – all records should be held as per the Council’s Retention Policy; • • Have clear naming conventions – names must be consistent and useful and will be explored in detail below. <p>The Information Governance team can advise further on these issues if required.</p>
3	NAMING CONVENTIONS
3.1	What are Naming Conventions?
	<p>The principle of naming conventions is to use standard rules that are applied to the naming of all documents, in order to enforce consistency . By implementing structured names to documents, it can support the following objectives:</p> <ul style="list-style-type: none"> • Facilitate better access to and retrieval of electronic documents; • Allow sorting of documents in logical sequence (e.g. version number, date); • Help users identify the documents they are looking for easily and also support the ability to recognise the content of a document from a file list; • Help keep track of multiple versions of the document. <p>The rules for the naming of documents and electronic folders should be kept as simple and clear as possible. Without standard approaches to naming folders the context of the records held within the folder becomes meaningless to anyone other than the creator. It is preferable to compromise on a broader approach that can be clearly understood and remembered by users, rather than a more detailed and sophisticated structure that is less likely to be used in actual practice.</p>
3.2	Why use Naming Conventions?
	<p>Naming records consistently, logically and in a predictable way will help to distinguish similar records from one another at a glance, and by doing so will help facilitate the storage and retrieval of records. This will enable users to browse file names more effectively and efficiently.</p>
3.3	Naming Convention Rules
	<p>Rule 1: Keep file names short but meaningful</p> <p>Folders and file names should be kept as short as possible while also being relevant. The use of long file names can increase the likelihood of error, and also are often more difficult to remember and recognise. Although it must be remembered that the best practice is to avoid using abbreviations and codes that are not commonly understood.</p>

Make the name of a folder or document descriptive of its content or purpose, always ensuring that the title contain enough information for anyone else to identify it. A title, taken together with the folder path, should act as a summary of the document's contents.

File Name	✓	✗
	Policy Resources Cttee Agenda.doc	<i>The Policy and Resources Committee Agenda word document.doc</i>
Explanation	Some words add length to a file name but do not contribute towards the meaning. For example words like “the”, “a” and “and”. Where the remaining file name is still meaningful within the context of the file directory these elements can be removed, Sometimes words have standard abbreviations e.g. “cttee” is a standard abbreviation for “committee”; where this is the case the standard abbreviation can be used.	

Rule 2: Avoid unnecessary repetition in file names

If possible avoid repetition in file names, as this increases the length of the file name and file path, which is incompatible with rule 1.

Do not include the format of a document in the title. For example don't name it “Word document” or “Excel spreadsheet” because this information can be seen from the file extension or suffix.

File Name	✓	✗
	/.../Information Governance Steering Group/Minutes 2018- 6-30.doc /.../Procedures/Appeals.doc	/.../Information Governance Steering Group/ Minutes 2018-6-30 Steering Group minutes word.doc /.../Procedures/Appeals procedures.doc
Explanation	In the first example the folder is called “Information Governance Steering Group” so it is not necessary to include the term “Steering Group” in the file name because all the records in that folder should be Steering Group records. In the second example the folder is called “Procedures” so it is not necessary to include the word “procedures” in the file name because all the records in that folder are procedure records.	

Rule 3 : Leave spaces between words – don't run them together or use underscores

Using plain English with spaces between words makes the titles of documents easier to read and search for.

File Name	✓	✗
	Risk Management.doc	Riskmgmt.doc Risk_management.doc
Explanation	Using space between words makes the file name more readily recognisable.	

Rule 4: When including a number in a file name always give it as a two digit number, unless it is a year or another number with more than two digits.

The file directory displays file names in alphanumeric order. To maintain the numeric order when file names include numbers it is important to include zero for number 0-9. This helps to retrieve the latest record number.

File Name	✓	✗
	Office Procedures V01 Office Procedures V02 Office Procedures V03 Office Procedures V04 Office Procedures V05 Office Procedures V06 Office Procedures V07 Office Procedures V08 Office Procedures V09 Office Procedures V10 Office Procedures V11	Office Procedures V1 Office Procedures V10 Office Procedures V11 Office Procedures V2 Office Procedures V3 Office Procedures V4 Office Procedures V5 Office Procedures V6 Office Procedures V7 Office Procedures V8 Office Procedures V9
	(Ordered alphanumerically as the files would be in a directory list)	(Ordered alphanumerically as the files would be in a directory list)

Explanation	This example shows the successive versions of an office procedures document. If two-digit numbers are used the latest version will always be at the bottom of the list when ranked in ascending order.
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Rule 5: If using a date in the file name always state the date 'back to front', and use four digit years, two digit months and two digit days: YYYY-MM-DD

Giving the dates back to front means that the chronological order of records is maintained when the file names are listed in the file directory. This helps when trying to retrieve the latest record. It also complies with the International Standard for recognising dates, ISO 8601

File Name	✓	✗
	2017-03-24 Agenda.doc 2017-03-24 Minutes.doc 2017-03-24 Paper A.doc 2018-02-01 Agenda.doc 2018-02-01 Minutes.doc (Ordered alphanumerically as the files would be in the directory list)	1 Feb 2018 Agenda.doc 1 Feb 2018 Minutes.doc 24 March 2017 Agenda.doc 24 March 2017 Minutes.doc 24 March 2017 Paper A.doc (Ordered alphanumerically as the files would be in the directory list)

Explanation	This example shows the minutes and papers of a committee. By stating the year 'back to front' the minutes and papers from the most recent meeting appear at the bottom of the directory list
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Rule 6: Avoid using common words such as 'draft' or 'letter' at the start of file names.

Avoid using common words such as 'draft' or 'letter' at the start of file names, or all of those records will appear together in the file directory, making it more difficult to retrieve the records that you are looking for.

File Name	<p style="text-align: center;">✓</p> /.../Publicity/ Advertising V01 (Final).doc Advertising V05 (Final).doc Budget Report 2002-2003 V20 (Final).doc Budget Report 2003-2004 V15 (Final).doc Grant S 2004-03-12.doc Office Procedures V10 (Final).doc Thomas A 2003-12-05.doc (Ordered alphanumerically as the files would be in the directory list)	<p style="text-align: center;">x</p> /.../Publicity/ Final Advertising.doc Draft Budget Report 2003-2004.doc Final Office Procedures.doc Final Advertising.doc Final Budget Report 2002-2003.doc Letter A Thomas.doc Letter S Grant.doc (Ordered alphanumerically as the files would be in the directory list)
Explanation	The file directory will list files in alphanumeric order. This means that all records with file names starting “Draft” will be listed together. When retrieving files it will be more useful to find the draft budget report next to the previous year’s budget, rather than next to an unrelated draft record.	
<p>Rule 7: the version number of a record should be indicated in its file name by the inclusion of the ‘v’ followed by the version number and, where applicable, ‘draft’, ‘final’ or ‘review’.</p>		
<p>Some records go through a number of versions, for example, they start out as working drafts, become consultation drafts and finish with final draft, which may be reviewed and updated at a later date. It is important to be able to differentiate between these various drafts. The version number should always appear in the file name of the record so that the most recent version can be easily identified and retrieved.</p>		
File Name	<p style="text-align: center;">✓</p> Workforce Model 2017-2018 V03.1 (Review).htm Workforce Model 2017-2018 V04 (Final).htm Organisation Hierarchy 2016 V02.xls Organisation Hierarchy 2016 V03.xls Organisation Hierarchy 2016 V04.xls	<p style="text-align: center;">x</p> Workforce Model 1718_draftv3.htm Workforce Model 1718_finalv4.htm Org_Hier_2016_v2.xls Org_Hier_2016_v3.xls Org_Hier_2016_v4.xls
Explanation	The first example shows two versions of the workforce model for 2017-2018, version 03.1 is a draft version and version 04 is the final version. The covering years are given in four-digit format. The version number is given with two digits so that the versions will appear in numeric order. The second example shows a number of versions of the organisation hierarchy for 2016. In this case none of the versions are marked as draft or final because the nature of the record means that ‘draft’ and ‘final’ are not applicable.	
4	Where to find further guidance	
If you require further guidance regarding guidelines or any other Corporate Records Management issue please contact the Information Governance Team at dataprotection@inverclyde.gov.uk or by telephone on 01475 712498 or 712725.		