

Information Management - Policy & Procedures

1.0 Purpose

- 1.1 This policy aims to ensure the proper creation, organization, storage, retrieval, sharing, and disposal of information in alignment with the University's strategic goals, legal obligations, and best practices.

2.0 Scope

- 2.1 This policy applies to all University faculty, staff, students, and any other individuals who create, use, or manage information assets during their activities at the University.
- 2.2 It covers both digital and physical information assets, including documents, records, data, knowledge, and any other forms of information (structured data, images, and recordings).

3.0 Definitions

- 3.1 Access Controls - mechanisms used to regulate access to information based on user roles and permissions.
- 3.2 Data Steward - the designated individual or group responsible for ensuring the quality, accuracy, and integrity of data.
- 3.3 Information Assets - any tangible or intangible entity that contains, conveys, or represents knowledge, facts, concepts, opinions, or instructions in any format.
- 3.4 Information Owner - the individual or department responsible for the creation, maintenance, and overall management of a specific information asset.
- 3.5 Metadata - descriptive information about an information asset, including its title, description, author, and creation date.

4.0 Policy

- 4.1 Information assets must be accurate, up-to-date, and maintained in a consistent manner.



- 4.2 Information should be readily accessible to authorized users when needed to support the University's activities.
- 4.3 Proper measures shall be taken to protect sensitive and confidential information from unauthorized access, disclosure, or alteration.
- 4.4 Information owners shall be designated for each information asset category to ensure proper management, accuracy, and integrity.
- 4.5 Information owners shall determine access rights, dissemination, and use policies for their respective assets.
- 4.6 Information shall be classified based on its sensitivity, confidentiality, and importance.
- 4.7 Procedures for access and handling shall be determined based on the classification to prevent unauthorized exposure.
- 4.8 Data stewards shall ensure the accuracy, consistency, and relevance of data by implementing quality controls and monitoring processes.
- 4.9 Appropriate security measures shall be in place to safeguard information from unauthorized access, loss, or breaches.
- 4.10 Authorized users shall have access to information required for their roles to foster collaboration and informed decision-making.
- 4.11 Secure sharing platforms and protocols shall be used for exchanging information externally.
- 4.12 Information shall be retained based on established retention schedules, legal requirements, and business needs, following the Records Retention and Management policy.

5.0 Procedures

- 5.1 The Chief Information Officer (CIO), or in its absence, the Director, Information Technology Department, oversees the implementation of these procedures, ensures alignment with the policy, and addresses any challenges. They monitor the effectiveness of the procedures, review compliance, and suggest improvements.
- 5.2 Data Stewards may be mandated by the information owner and are responsible for maintaining data quality and integrity for specific datasets.
- 5.3 The CIO, in collaboration with Deans and department heads, designates information owners responsible for specific information assets.

- 5.4 Information owners shall ensure that all information asset categories have standardized metadata to enhance organization and retrieval.
 - 5.4.1 Information owners will classify assets based on their importance, sensitivity, and usage, using the established classification scheme in the Data Classification and Handling policy.
 - 5.4.2 Information owners determine suitable storage locations and access controls based on asset classification and sensitivity. Whenever possible, information assets should be digitally stored to enhance accessibility, organization, and efficient management.
 - 5.4.3 Information owners shall maintain version control for documents and data to prevent confusion and ensure the use of the latest version. For example, document should be found in 3-4 clicks and follow the sample Naming Convention found in Appendix A.
- 5.5 Authorized users shall submit access requests to the respective information owners, including justification for access.
 - 5.5.1 Information owners shall grant access rights to authorized users based on their roles and the asset's classification.
 - 5.5.2 The CIO shall oversee the implementation of access controls to prevent unauthorized access to sensitive information.
- 5.6 Data stewards may be appointed to ensure data accuracy, consistency, and compliance with quality standards, collaborating with relevant departments.
 - 5.6.1 Data stewards shall periodically validate and cleanse datasets to maintain data integrity.
- 5.7 The CIO shall ensure that sensitive information in storage or transit is encrypted to protect against unauthorized access.
- 5.8 The CIO shall organize training sessions to educate staff on information management procedures, their importance, and implementation.

Related Policies and Documents

Access to Private and Confidential Information

Archives

Data Classification and Handling

Data Governance



Appendix A: Naming Convention

- Dates: yyyyymmdd

| | Correct | Incorrect |
|-------------|---|----------------------|
| File Name | <ul style="list-style-type: none"> • 20040312Minutes.doc • ProcurementAward20040905.rtf | 12Mar2020 Agenda.doc |
| Explanation | Dates should be listed as per ISO 9000 standard with year in four digits followed by the month in two digits and the date in two digits. Putting the date first ensures files are chronological whereas the second example is organized alphabetically. | |

- File name should be no longer than 50 characters

| | Correct | Incorrect |
|-------------|--|---|
| File Name | <ul style="list-style-type: none"> • FileMgtGuide.doc • FileManagementGuidelines.doc | Fall 2019 and Spring 2020 Enrollment Figures for the Undergraduate Program. doc |
| Explanation | Long file names make it harder to find files: remove excessive and unnecessary words. | |

- Avoid unnecessary repetition and redundancy in file names and file paths.

| | Correct | Incorrect |
|-------------|--|----------------------------------|
| File Name | <ul style="list-style-type: none"> • PolicyProcedures → GradeAppealV003.rtf | Procedures/AppealsProcedures.rtf |
| Explanation | There is no need to repeat file folder names within the document name. | |

- Avoid use of non-alphanumeric characters or special characters. E.g. ~!@#%&*(){}'"+\.....

| | Correct | Incorrect |
|-------------|--|------------------------|
| File Name | <ul style="list-style-type: none"> • MEGraduateReport201203.xls | M&E Report Mar2012.rtf |
| Explanation | Using these characters complicates the search and not all users may open the file. | |

- Sequential number system: 01, 02, 03... instead of 1, 2, 3...

| | Correct | Incorrect |
|-----------|--|--------------------|
| File Name | <ul style="list-style-type: none"> • OfficeProceduresV001 | OfficeProceduresV1 |



| | | |
|-------------|---|--|
| | <ul style="list-style-type: none"> OfficeProcedures V002 OfficeProceduresV010 | OfficeProceduresV10Office ProceduresV2 |
| Explanation | 2 and 3 digit numbers are recommended to ensure numerical order is No maintained. | |

- Use a combination of title case (where the first letter of each section of text is capitalized) and avoid underscore for spaces.

| | Correct | Incorrect |
|-------------|--|---------------------------------------|
| File Name | <ul style="list-style-type: none"> RiskAssessment2019.pdf GradeAppealV003.rtf AUAFDirectory.pdf | Date_FileName_AuthorsName_Version.pdf |
| Explanation | Spaces and underscore make it harder to search for files. Capital letters should be used to delineate words in the file name. This keeps the name short. | |

- Include version number where appropriate

| | Correct | Incorrect |
|-------------|--|---|
| File Name | <ul style="list-style-type: none"> 2019CatalogV03.doc 2019CatalogFinal.doc AnnualBudget2012V02.xls | CatalogDRAFT.pdf Catalog FINAL.pdf Graduation Handbook Working Copy.doc |
| Explanation | It may be important to maintain a record of the number of versions of a document. It is therefore necessary to be able to identify the most recent version or final product. | |

- When including a personal name

| | Correct | Incorrect |
|-------------|---|------------------------------------|
| File Name | <ul style="list-style-type: none"> BrownSR20041201EngOralExam.mp4 | English Oral Exam for Dr Brown.mp4 |
| Explanation | Use the family name followed by initials so that all associated files with the individual are filed together. | |