



Document Management: DTI030

Summary of Solutions Proposed

We are asking the Programme Board to ratify the following solutions proposed in the research report and the accompanying presentation held on the 2nd of August, so we can proceed with the next project which will be to design and build the proposed solutions. We have taken on board the comments during the presentation regarding the research gap in provision of a suitable solution for teaching staff. In the next project we will undertake a research project to address this gap:

Further User Research: Teaching Staff

As we were unable to obtain document management requirements from teachers, we will ensure that in the next project we continue our user research to enable us to identify a suitable solution for that user group. Any identified solution will be brought to the steering group and then the programme board for approval.

Solutions Identified

The proposed use cases for the document management solutions that we plan to develop are:

Core Features for all use cases			
<ul style="list-style-type: none"> • Governance • Guidance • Security 			
Research Project (Externally Funded) Document Management	Meetings and Committees Document Management	Working Group or Project Group Document Management	Team Document Management
Key Features	Key Features	Key Features	Key Features
<ul style="list-style-type: none"> • Developed Technology • Template • Training • Simultaneous Editing • User Support • Version Control • External Sharing • Compliance • Single Storage Location 	<ul style="list-style-type: none"> • Developed Technology • Template • Training • User Support • Version Control • External Sharing (optional) • Compliance • Single Storage Location 	<ul style="list-style-type: none"> • Developed Technology • Template • Training • Simultaneous Editing • User Support • Version Control • External Sharing (optional) • Compliance • Single Storage Location 	<ul style="list-style-type: none"> • Developed Technology • Template • Training • Simultaneous Editing • User Support • Version Control • Compliance • Single Storage Location
Solves Problems & Risks	Solves Problems & Risks	Solves Problems & Risks	Solves Problems & Risks

<ul style="list-style-type: none"> • Multiple versions from email attachment sharing • No knowledge of appropriate place to save • Unsafe sharing • Security issues for personal data • Inefficient working practices 	<ul style="list-style-type: none"> • Multiple versions from email attachment sharing • No knowledge of appropriate place to save • Unsafe sharing • Security issues for personal data • Inefficient working practices 	<ul style="list-style-type: none"> • Multiple versions from email attachment sharing • No knowledge of appropriate place to save • Unsafe sharing • Security issues for personal data • Inefficient working practices 	<ul style="list-style-type: none"> • Multiple versions from email attachment sharing • No knowledge of appropriate place to save • Unsafe sharing • Security issues for personal data • Inefficient working practices
Key Users	Key Users	Key Users	Key Users
<ul style="list-style-type: none"> • Researchers Grant Bodies • Consortium Members • Research Managers & Officers 	<ul style="list-style-type: none"> • University-wide Committee Members • External Committee Members 	<ul style="list-style-type: none"> • Working or Project Group Members 	<ul style="list-style-type: none"> • Team Members

Approval and Review Template	Student Document Management	Temporary Share or File Transfer (internal and external options)
Key Features	Key Features	Key Features
<ul style="list-style-type: none"> • Developed Technology • Template • Training • User Support • Version Control • External Sharing (optional) 	<ul style="list-style-type: none"> • External Technology • Simultaneous Editing • Version Control • External Sharing • Single Storage Location • Temporary Collaboration space 	<ul style="list-style-type: none"> • External Technology • External Sharing
Solves Problems & Risks	Solves Problems & Risks	Solves Problems & Risks
<ul style="list-style-type: none"> • Multiple versions from email attachment sharing • No knowledge of appropriate place to save • Unsafe sharing • Security issues for personal data • Inefficient working practices • Not able to find documents in multiple locations 	<ul style="list-style-type: none"> • Multiple versions from email attachment sharing • No knowledge of appropriate place to save • Unsafe sharing • Security issues for personal data • Inefficient working practices 	<ul style="list-style-type: none"> • Multiple versions from email attachment sharing • No knowledge of appropriate place to save • Unsafe sharing • Security issues for personal data • Inefficient working practices
Key Users	Key Users	Key Users

<ul style="list-style-type: none"> • Staff who need documents approved/reviewed • Staff who need to approve/review documents 	<ul style="list-style-type: none"> • Students working on their own • Students collaborating with other students 	<ul style="list-style-type: none"> • Researchers with large data sets • Staff/students using large files
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Research Project (Externally Funded) Document Management

The proposed solution meets the need that researchers have for sharing documentation externally, relating to funded work with Funders and Consortium Members. Research is strategically important to the University and we have identified that providing a secure and robust service for researchers sharing documentation externally will allow researchers to focus on their research without having to worry about security, GDPR etc.

Working Group or Project Group Document Management

We discovered that smaller formal and informal projects, staff are attempting to share and collaborate on documents either externally, within an organisational unit or intra-organisationally, and are finding or causing problems due to lack of governance and knowledge of tools available. We will provide clear guidance on project lifecycle and sharing permissions to prevent problems occurring.

Student Document Management

The main problem we found for students was the inconsistent provision of information on document management and support available. Students are using external tools simply because they are unaware of the tools available to them. Our aim would be to package up advice and guidance for students on how to store their personal documentation for study, along with a tools matrix and best practice when working collaboratively with their fellow students on group work. We are not keen to provide a 'technical solution until we understand volume and maintenance

Team Document Management

It was clear from our research that provision of a document collaboration solution for use by teams was necessary in order to improve the problems identified by how we currently work in a team environment. We will provide guidance on team collaborative working and provision of an agreed workspace, discouraging use of personal drives for University work. This will improve remote working capability, version control problems as well as ownership and access of files when staff leave.

Temporary Share or File Transfer (internal and external options)

External personal accounts are being used to transfer large files and data sets nationally and internationally, mainly for research purposes. In some cases, these files contain personal information and other sensitive information, although we understand that this is usually temporary. However, with no management of these personal accounts we have no way of mitigating that risk. We also feel that there would be a benefit in providing advice and guidance for transfers or short-term access to files, this could be simply to transfer without the use of e-mail or it could be to allow secure access to confidential files e.g. for the purpose of an audit.

In relation to file transfer, we propose the following:

- Clear guidance on sharing and transfer options and risks of using external tools



- A solution for external transfers of files/data
- A solution for internal transfers of files/data

Approval and Review Template

The ability to review and approve documentation surfaced a number of times during our requirements gathering, e.g. for controlled review of local policies and procedures. It is proposed that we create a template for a simple approval and review process, options available could be simultaneous review or sequential review process. We would recommend that initially we work on simple approval and review processes and providing staff with clear guidance on use. More complex and/or bespoke requirements would benefit from being addressed through a separately funded project, as the skills required to achieve this weigh more heavily on the process management element rather than the technical solution in SharePoint and we may need to invest in an add-on.

Meetings and Committees Document Management

This solution is intended for more formal meeting management such as providing an audit trail for decision tracking.