

Document Management Strategy

Customer
Focus

Respect

Communication

Integrity



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Cloch Housing Association Document Management Strategy

1. Introduction

This Strategy is to ensure that documents held by Cloch are held in a consistent and secure way that is easily retrievable by the relevant people and which allow easy access to information. Documents will be stored in a way that will ensure they are easily shared with staff and the Board and compliant with data protection regulations and Freedom of Information access.

The Strategy will:

1. Provide a cohesive guide to how to store documents
2. Co-ordinate all the different types of storage, that is, make sure all staff know where and when to store documents.
3. Give timescales for keeping and deleting documents
4. Outline the different storage needs for each Department
5. Ensure all staff are fully trained and aware of the Document Management Strategy
6. Outline review and monitoring processes
7. State who is responsible for updating the Strategy.

2. Storage Methods

2.1 Windows Explorer

The Association uses the K Drive to store all its working documents. This has been set up to ensure that the files are stored in an easy to understand, easily accessed format and where necessary, folders are accessed by multiple departments.

The top-level folder structure is listed in Appendix I. Appendix I also lists the staff who can access, modify and “read-only”. The folder called “Department” contains the sub-folders for the departments. Documents in the K Drive are working documents. Our retention policy will tell staff when they can delete documents.

2.2 INVU

INVU is used to store invoices and the workflow allows access to invoices for the purposes of approval or rejection.

INVU is also used to store archived files for customers and for former employees and Board Members. It contains old minutes and agendas. It should no longer be used for archiving and going forward, it is intended to delete the information from INVU.

2.3 SDM

SDM is the main housing management database for Cloch's tenants and owners. SDM generates most of the letters, statements and invoices sent to owners and tenants. These are stored by attaching to a diary entry in the tenant or owner file. Letters that are not generated in SDM but relate to tenants or owners will be stored in the SDM storage system and attached to a diary entry.

The SDM Document Management System is a filing system for each tenant/owner. All letters, documents and invoices including scanned forms and correspondence are held in SDM. Also, any documents that can be attached to a property file are held in SDM.

The Diary system will be organised in such a way to ensure that it is easy to retrieve the document.

2.4 My Cloch

Tenants and Owners can view documents that are stored in the SDM Document Management System, if they register and log in to My Cloch. They will not see sensitive documents, but will see all other letters and scanned documents. This information is created by a polling system.

2.5 One Drive

The Board access One Drive for all the documents they use. This includes Board Papers, their library of documents and Cloch's Policies and Procedures. The Board access all these documents through their iPads and therefore all documents stored here should be converted to PDF wherever possible to allow them to use Adobe Acrobat to access the documents.

2.6 E-mail

Staff and Board members store information in their e-mail folders. Folders are the responsibility of the individual and are required to be held in such a way that they can be retrieved easily if there is a data subject access request. E-mails should not be held beyond their usefulness or beyond the timescale set out in the data retention policy and therefore staff should delete unnecessary files at least annually, although quarterly is recommended. Security on phones, home laptops and other remote devices is essential and all Board and staff must abide by the mobile access policies and data protection regulations.

2.7. Website

The website has become a vital storage area because of the introduction of Freedom of Information. There are strict protocols in place to ensure that the information held on the website is recorded on the Guide to Information and is up to date. It should be held on the site in accordance with the retention policy.

2.8 USB Memory Stick

If a memory stick holds information, it should only hold relevant information and not store information long term. The memory stick should be encrypted and it is the responsibility of the individual user to keep it secure and ensure it is not lost.

3. Protocol

3.1 Dating folders/indexes

Current Year will always be the Cloch Housing Association financial year, 1st April to 31st March of any year. This means that any folder related to a year will be named and store documents for the financial year, not the calendar year or the Board's year.

3.2 No duplication

Data on any system should not be stored twice wherever possible. If a document is to be shared by several people or departments, everyone involved will know where it is held and work on the same document, not save a copy elsewhere to work on. For example, policies should be worked on in the policy folder. Draft Policies should be named with the letter "a" after the reference number.

3.3 Personal drives (Z Drive)

Staff can store documents in their Z drive such as personal information. If they are working on a document and do not want anyone else to access the document, it can be saved in the Z drive. Once it is ready to share, it should be moved to the K drive and deleted from the Z drive.

3.4 Archiving

Folders should be maintained either called "Archive" or "Superseded", however, you should not hold onto information for longer than required and no longer than set out in the Retention Policy.

Invoices are held on INVU as well as SDM.

There is an archive in INVU but this should not be added to and over time, the archived items will be removed.

3.5 Sub-folders

Sub-folder structures should be easy to access, so that retrieving documents involves as few clicks as possible to find a document. It is the responsibility of the senior manager of the section to review the number of sub-folders to ensure easy access.

4 Permission

All the different storage systems have controls to ensure that the folder structures and indexing are maintained correctly. The permissions are set by the IT Project Manager and are set out in Appendix 1.

4.1 Windows Explorer

The top-level folder structure is set up by the IT Department and cannot be changed by anyone else.

The Department folder structure is set up by the IT Department and cannot be changed by anyone else.

The folder permissions are set out in appendix I.

Sub-Folders will not be created until approval is sought from the manager and/or senior officer in the department.

4.2 INVU

INVU indexing is set up by the Corporate Services Officer and will be maintained by the Corporate Services Department.

No index will be added to the indexing without permission from the manager and/or senior officer of the appropriate department.

4.3 SDM

The SDM folder structure is set up by the Housing Services Manager (tenants and property file) and the Finance Officer (owners). This will not be amended without permission from the appropriate person.

4.4 One Drive

The folder structure in One Drive will not be modified without permission from either the Corporate Services Manager or the Director.

5 Review & Monitoring

- 5.1 The Document Management Strategy will be reviewed every 3 years or as and when required. It is the responsibility of the Corporate Services Manager and IT Project Manager to ensure that it is kept up to date and relevant. It is the responsibility of all senior staff to ensure that all teams are adhering to the policy.

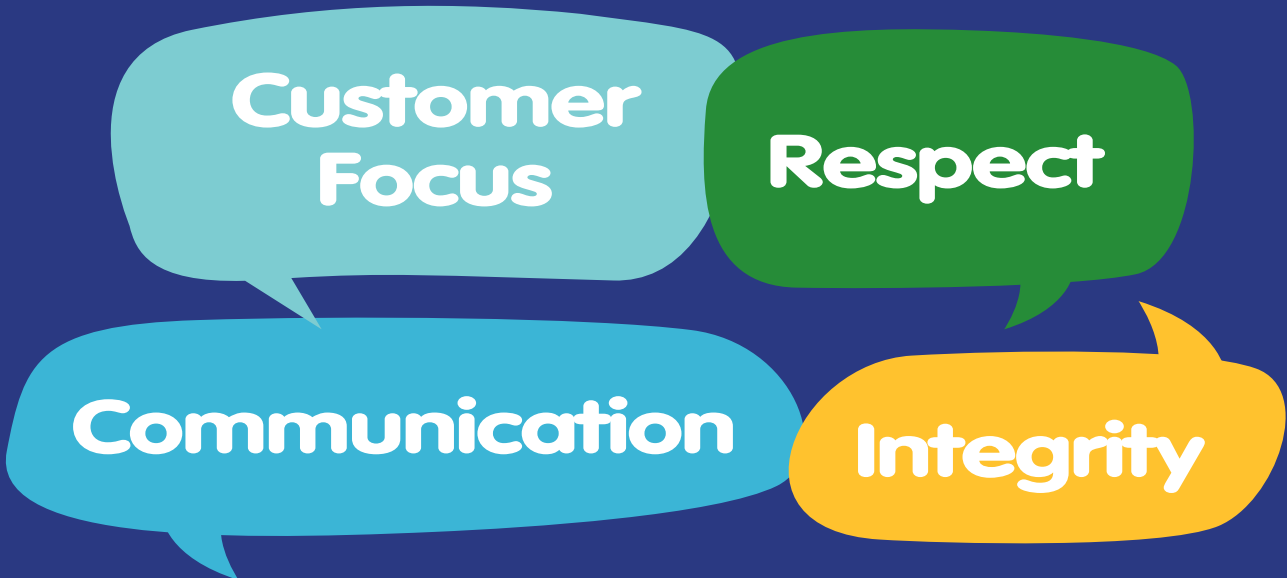
6 Training

- 7.1 Full training on the document management systems will be part of a new staff and Board member's induction.
- 7.3 Training will be set up on an ad-hoc basis to keep staff up to date with software changes and updates.

Appendix 1: Permissions

Folder	Modify Permissions	Read Only Permissions
Board	<u>Managers</u> Shonaid Musgrove Kelly MacLean	Board Papers only – <u>All Cloch Staff</u>
Business Planning	<u>Managers</u> <u>Finance Dept.</u>	<u>All Cloch Staff</u>
Contracts	<u>Managers</u>	<u>All Cloch Staff</u>
Departments		
Corporate Services	<u>Corporate</u>	
Finance	<u>Finance Dept. - CHA</u> <u>Finance Dept. - OTHA</u>	<u>All Cloch Staff</u>
Housing Services	<u>Housing</u>	<u>All Cloch Staff</u>
ICT	<u>ICT</u>	<u>All Cloch Staff</u>
Property Services	<u>Asset Management</u> Gwen Mills Mareta Greig	<u>All Cloch Staff</u>
SMT	<u>Leadership Team</u>	
Development	<u>Managers</u>	<u>All Cloch Staff</u>
Office Services	<u>Customer Services</u>	<u>All Cloch Staff</u>
Performance Benchmarking	<u>Managers</u>	<u>All Cloch Staff</u>
Policies Procedures & Forms	<u>Managers</u> Shonaid Musgrove Kelly MacLean	<u>All Cloch Staff</u>
Publicity	<u>All Cloch Staff</u>	
SDM	<u>All Cloch Staff</u>	
Services	<u>All Cloch Staff</u>	
Staff Information	<u>Managers</u> Shonaid Musgrove Kelly MacLean	<u>All Cloch Staff</u>
Working Groups	<u>All Cloch Staff</u>	

Notes: The table above excludes sub folders. Additionally, Domain Admins have access across the file and folder system to administer changes.



CLOCH HOUSING ASSOCIATION LTD	
Policy Name	Document Management Strategy
Policy Category	HR
Policy Number	087
Date Adopted	22/08/2017
This Review	19/11/2019
Next Review	November 2022
Equalities Impact Assessment Required	
Link to other policies	
Consultation	
Need for Procedure	