SAN DIEGO COUNTY
OFFICE OF EDUCATION

Program Name
Enterprise Content Management (ECM)

Executive Sponsor
Randolph Ward, Ed.D., Superintendent of San Diego County Schools

Division
Integrated Technology Services

Program Sponsor
Steve Clemons, CIO & Asst. Superintendent

Abstract
The purpose of this program charter is to summarize and formally authorize the existence of the ECM program and detail common understanding of scope, time, and cost.

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Purpose of Document

The purpose of this document is to:

1. Formally authorize the existence of the Enterprise Content Management (ECM) program strategy for San Diego County Office of Education (SDCOE).
2. Detail a common understanding of the program strategy scope and approach among the stakeholders.
3. Assist with providing an overall roadmap that will allow for better resource benchmarking and forecast the appropriate resources involvement needed to make this program successful.
4. Obtain the Program Sponsor's approval to proceed with the program.

Background

While some content management tools/systems have been in place at the SDCOE, the organization as a whole has used shared and unshared drives to manage its content resulting in enormous banks of electronic files across a growing array of servers and individual work stations. Multiple critical documents are paper/hard copy based and a strong, centralized records management program is not currently in place. Further, paper records are notoriously inefficient, labor-intensive to process, require substantial storage space, are difficult to control, and easily lost.

Since the tenure of Superintendent Randolph Ward, SDCOE's business processes have steadily moved away from paper toward an electronic format resulting in records that are space effective, easier to update, and simultaneously accessible by multiple users. However, electronic records are also fluid and have a high capacity for change. Additional challenges associated with electronic records include:

- More staff expectations for on-demand information and services
- Accessibility challenges related to the complexity of the information environments (i.e. information formatted for access by specific software)
- Greater technical expertise required by users to navigate multiple document environments

SDCOE holds two types of electronic information assets--those held in structured database environments and those held as unstructured documents on shared drives, specific work stations, and email accounts. Our structured content are those that have been produced in PeopleSoft, the FIS, our leave request system, etc… Although technically structured, the organization of this content can be better characterized as semi-structured as the aforementioned systems are disparate (i.e. the content is not structured universally). Our unstructured content includes documents created using Microsoft Office products, Adobe Acrobat, other desktop applications, a multitude of scanned documents, as well as media content (e.g. clip art, photographs, audio files, videos, etc…) that reside in multiple drives and electronic environments (e.g. Common Ground).

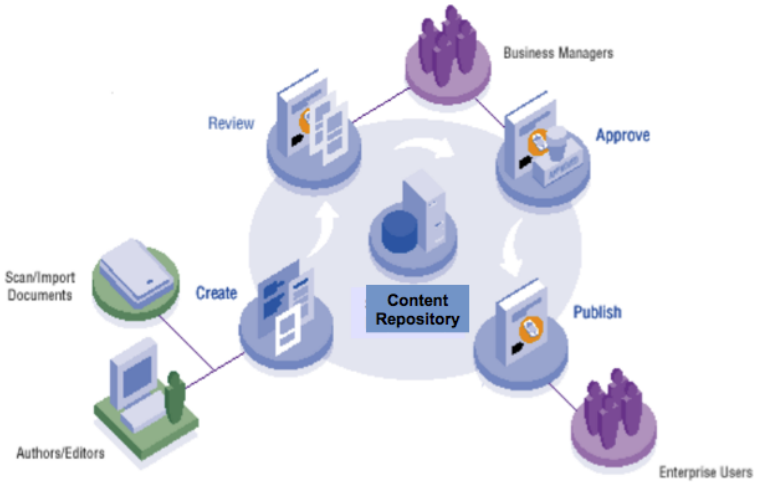
Defining the ECM System

Technically, a modern ECM system/platform is considered in computer science as middleware--software that provides services to applications (e.g. PeopleSoft) beyond those available from the operating system. Middleware is considered anything between the kernel (i.e. computer program that manages input/output requests from software and translates them into data processing instructions for the central processing unit) and user applications (e.g. speech recognition).

More conceptually, however, **an ECM refers to the strategies, tools, processes and skills an organization needs to manage all of its information assets.** As such, an ECM program should be applied to all unstructured electronic records. These records represent many of the organization's key business and operational information assets and yet are among the most difficult to manage, share, retrieve, and preserve because they lack the structure and organized containment provided by a database.

ECM systems create a database-like environment for unstructured records. An ECM system enables users to capture records into a repository and embed descriptive metadata (identifying information) that enables the system to automatically manage, control access, retrieve, and audit the records. An associated file classification plan is one type of metadata used to define how long the records are kept over a period.

In the diagram below, authors and editors create new electronic records as either 'born digital' (i.e. created in an electronic environment) or as media conversions (i.e. created by scanning). They are captured into the repository which is represented by the circle of connectivity. Once in the repository, managers and other users can review and approve the documents or they can be published to other Enterprise Users or participants external to the enterprise.



By implementing an ECM system, SDCOE will enhance the management of unstructured information throughout the records lifecycle--from capture to indexing, retrieval, and authorized disposal or long-term preservation. The record content streams stored in the content repository will include documents, email attachments, media conversions, and specialty files, enabling access-controlled, enterprise scale search across the information asset bank. Therefore, *the ECM repository will become the main information bank for all unstructured information assets and enable publication to the Common Ground as well as the Internet.*

Objectives

Mission Statement

The mission of the Enterprise Content Management program is to successfully transition the San Diego County Office of Education's existing unstructured electronic records into a universal system that provides management throughout the information lifecycle. Additionally, the ECM system will provide an improved, sustainable foundation for business standardization, workflow integration, enterprise-wide collaboration, and paper reduction in a business environment characterized by continued growth.

Goals

The ECM program has the following goals:

- Develop and obtain executive adoption of a formal Records Management Framework that promotes the SDCOE's transition from a paper- to electronic-based records management system that meets all legal as well as operational needs.
- Develop and document Functional Requirement Specifications for an ECM system with reference to existing standards and current/future business unit needs for unstructured information assets from creation to deletion or long-term preservation.
- Ensure that all records retention (File Plan 2.0), information audit, and compliance requirements are met as related to the information assets included in the ECM environment.
- Ensure ECM program compatibility with other technology programs including PeopleSoft ERP software.
- Develop and document the technical implementation of the SharePoint 2013 system in concert with a yet-to-be-identified content lifecycle management (CLM) layer to complete the ECM technical solution.
- Develop and deliver a drive migration initiative/project that guides staff in the successful transitioning of existing information assets from the shared drives into the yet-to-be established content repository or for authorized deletion (disposition).
- Develop and deliver an implementation plan that includes deployment, communication, and training.
- Implement/Deploy the ECM solution across all targeted business units throughout SDCOE.

Benefits

The ECM system is to be SDCOE's information bank. The idea of an information bank conveys the value of the information assets to the organization. It also conveys the concept of a storefront where assets can be deposited for long periods or withdrawn under controlled conditions. The idea of a bank conveys stability, authenticity, trustworthiness, and auditability.

Value

The ECM system achieves key benefits including:

1. A **universal point of access** based on a business classification scheme (i.e. access control) to the organization's unstructured information assets which include hundreds of thousands of files created and saved by staff over the last century.
2. **Quick access to information** leading to **improved services.**
3. Improved **information sharing.**
4. **Streamlined business processes** and workflows.
5. **Automated records management** (i.e. plan for deletion/disposal) processes across a wide set of content streams.
6. **Ensured legal compliance** with federal, state, and local government ordinances by providing an auditable records environment resulting in the **reduction of legal risks.**
7. **Centralized information management**, better reporting, and an audit trail.
8. Improve SDCOE's ability to respond to FOIA requests.
9. Reduce physical storage requirements thereby **increasing much needed office space.**
10. I**ncrease accountability between divisions and units** as well as with external clients.
11. **Reducing paper dependency** (projected 50% to 75% reduction within three to five years).
12. Improve **vital records protection.**
13. Promote disaster recovery.
14. **Increased security** of data and reduced associated liability.

Measures of Success

The ECM program will be deemed successful if:

1. All SDCOE staff are aware of the Records Management Framework and its application in their work environment.
2. All units are trained using the SharePoint 2013 environment and are able to create, retrieve, manage, publish, collaborate, and archive their unstructured content.
3. All targeted legacy assets have been transitioned into the repository or deleted.
4. All identified legal, operational, and business requirements are met.

The implementation of an ECM at SDCOE represents a change in the way staff work. An ECM's success often depends on levels of staff acceptance requiring the measure of success to consider the user's ability to accommodate changes. Through the development of the ECM program, the ECM team[1] will work to achieve the following:

- Focus on efficient records classification by minimizing the number of clicks and keystrokes necessary to retrieve or save documents from/into the SharePoint 2013.
- Clearly show the benefits of ECM to all staff--both in relation to how it benefits them personally as well as on the organizational level.
- Include people in the initial roll out that are are eager to improve processes as well as people who are not immediately proponents of using an ECM.
- Communicate with all staff precisely what they should expect (and what NOT to expect), when they should expect it, and how it will benefit them in performing their jobs.
- Train staff beyond the use of the SharePoint software (i.e. train on processes, not just software).

Bodies of Knowledge

The ECM program will be based on two bodies of knowledge--records management and information technology management.

Records management applies philosophies and business rules to the management of information as dictated by legislation, regulations, standards, best practices, and organizational requirements. The Records Management Framework developed for the ECM program will define how information is managed throughout the records lifecycle. The three components of the framework include:

- By laws
- Manual
- Classification and retention plan

These deliverables will formalize governance as well as roles and responsibilities for SDCOE's information assets. After review by the MiTi Steering Committee, the Records Management Framework will be put into operation as dictated by the Implementation Plan. In addition, the appraisal, reclassification, transitioning and authorized disposal of legacy unstructured information assets stored on shared drives will be completed according to records management best practices.

[1] ECM team refers to two to three SDCOE employees specifically charged to manage all information records associated with the ECM system and in consultation with the Strategic Plan Specific Result 5.2 Action Plan Team.

The information technology components of the program will be delivered to the Project Management Body of Knowledge (PMBOK). As such, the project management life cycle will consist of five phases which are:

Phase 1 Initiation
Phase 2 Planning
Phase 3 Execution
Phase 4 Monitor/Control
Phase 5 Evaluation

Phase one (initiation) is deemed currently completed and as such, this program charter has been developed. Further, the Strategic Plan Specific Result 5.2 Action Plan Team has been formed and is begun the advisement process assocaited with the ECM program. Therefore, the ECM program rests in phase two of the project management lifecycle (defining the work to be performed, calculating a budget, scope, communication, etc....).

Presuming that the program charter is approved, the ECM team in consultation with the MiTi Steering Committee, the Strategic Plan Specific Result 5.2 Action Plan Team, and other stakeholders will begin the process of developing and deliverables in accordance with an implementation plan. Simultaneously, the team will measure the project performance and progression with respect to the implementation plan (phase four). Scope verification and corrective measures will ensure that changes are controlled and risks are reduced.

In the final phase, the ECM team will engage in an evaluation of the work achieved to date.

Key Assumptions

The ECM program is based on the following key assumptions:

A. The Strategic Leadership Team will adopt the Records Management Framework.
B. Staff will participate in records management training and adopt records management best practices as laid out by the ECM program team.
C. SharePoint 2013 as well as the CLM technology and licensing is sufficient to meet all mandatory ECM functional requirements.
D. Information technology staff and/or external contractors can provide the required technological environment within the necessary time frame.
E. SDCOE has or can obtain the required staffing resources for the program.

Scope

The ECM program is comprised of several initiatives (i.e. program areas), managed in parallel and coordinated by the Digital Solutions unit. The ECM program areas are:

1. Program Management
2. Records and Information Governance

3. Functional Requirements
4. Support Technology
5. Design and Build
6. Drive Migration
7. Implementation

What follows is a detailed description of these areas including a definition of what is in scope of this program.

Program Management

The ECM program will use SDCOE's existing IT services and project management methodologies to provide the structure and governance for this program. The program's charter will support the program's project management by delineating the program's scope, objectives, and participants' roles and responsibilities.

In Scope

- ➢ Develop and obtain approval of the ECM Program Charter
- ➢ Methodologies for scope management
- ➢ Methodologies for human resource and time management
- ➢ Methodologies for cost management
- ➢ Methodologies for procurement management
- ➢ Methodologies for quality control management
- ➢ Methodologies for issue management
- ➢ Methodologies for risk management
- ➢ Methodologies for post-implementation review

Records and Information Governance

Information governance is the accountability system of an organization's information assets. It is about managing information well and defining accountability for the organization's information assets. Information governance is critical from the time of ECM development and continues into the operation as well as throughout the life of the ECM program. Future information development projects will need to be integrated with and eventually absorbed by the records & information governance structure.

As with paper records, SDCOE's division administrators (i.e Asst. Superintendents) or their designees, in concordance with the Digital Solution's ECM team, will provide resources and best practice guidance for the management of records from capture, through classification, management, storage, preservation, authorized destruction, or delivery.

Four key deliverables will be created to support the Records and Information Governance are. They include:

A. **Records Management By-laws**: a basis for legislative compliance with federal and state laws and compliance at the local level (i.e. BOE policies and other local ordinances). The by-laws are expressed in the Records Management Framework.
B. **Records Management Manual**: a code of best practices for SDCOE records and information processes as expressed in the Records Management Framework.
C. **File Plan 2.0**: the basis for record classification, retention scheduling, and business unit accountability. The File Plan 2.0 is expressed in the Records Management Framework.
D. **Online Training Modules**: modules created for workstation viewing and workshops describing the fundamental tenants of the organization's records management (i.e. compliance; file classification; paper management; electronic management; email and FOIA requests).

In Scope

- ➢ Develop and implement the records management by-laws.
- ➢ Develop and implement the Records Management Manual to document information governance roles and responsibilities, provide resources and tools, and identify benchmarks and audit areas to ensure compliance.
- ➢ Develop and implement File Plan 2.0 (including the Business Classification Scheme).
- ➢ Develop an ECM Training Plan by providing general records management overviews, records management workshops, and asset transitioning training.
- ➢ Align records management policy, procedures, and training to reflect the other deliverables of the ECM Program.
- ➢ Create and produce online and on-grounds training modules.

Functional Requirements Specifications

The Functional Requirement specifications define the activities and services that must be included in the ECM system to satisfy the users' needs. The specifications will be developed for one content group at a time and will include a review of document types, metadata attributes and management, naming conventions, keyword indexing, and digital preservation. The Functional Requirements Specification will be developed in iterations, based on content groups which include:

- Document Management: MS Office and Adobe Acrobat file formats; pdf conversion and tool requirements; e-signatures; conversion to pdf for external distribution.
- Records Management: file plan implementation and maintenance; ownership, confidentiality and access controls; disposal triggers and actions based on time and event.
- Photographs: file formats (.tif, .jpg, .gif, .png); embedded metadata standards and capabilities; photograph types; camera setting; exif metadata (Date of Capture, Date Modified, geolocators); copyright, credits, user permissions, and captions; standards and formats for publishing.

- Email: file formats (.rft, .msg); eliminating archived email files (.pst); email lifecycle and transitory records; appropriate use; attachments; copies and threads.
- Specialty Content: file format discovery (e.g., .dwg, .psd, .eps).
- Workflow Integration: workflow tool integration analysis with PeopleSoft applications; work process analysis; workflow processes and routines.

In Scope

- ➢ Research and document requirement specifications for each content group
- ➢ Create use case scenarios to test SharePoint 2013 application functionality for each content group
- ➢ Conduct Joint Requirements Planning Sessions for each content group and document results
- ➢ Analyze and document SharePoint 2013 & CLM application gaps (if any) for each content group

Support Technology

The ECM Program relies on a number of other technology programs defined and governed by the ITS division (e.g. MiTi, SAS/Network Administration). As such, the ECM program team, *in consultation with an external advisory organizations*, must identify any specific ECM requirements and communicate them to the appropriate team. Conversely, each of these teams need to be aware of the ECM program, and communicate their needs to the ECM team.

Following the completion of the Functional Requirement Specifications, the ECM team must meet with each support technology team to communicate, confirm, and document any ECM requirements that have bearing on these associated programs, including any timing or scheduling requirements.

In Scope

- ➢ Identify ECM requirements for PeopleSoft applications
- ➢ Identify ECM requirements for Microsoft Exchange
- ➢ Identify ECM requirements for scanning center (e.g high-speed scanner compatibility)
- ➢ Identify ECM requirements for network bandwidth

Design and Build

The ECM program will be deployed using a phased implementation plan with the first iteration based on a basic feature set (records capture and management) directed to a specific department/function (i.e. Juvenile Court & Community Schools, a.k.a JCCS, digital archiving project). Subsequently, the full set of functional requirements will be identified (as discussed above); out-of-the-box SharePoint 2013 & CLM functions will be confirmed and documented; customizations will be programmed by SAS/Networking Unit and/or third party consultants. A

close to full set of features will be developed and implemented in subsequent phases of the rollout.

The rationale for this approach (i.e. the development of a full set of features based on the first iteration of deployment with JCCS and simultaneous testing of the Business Process Management functionality) is based on a records management perspective that each of the SDCOE units will hold many or all of the content types to be defined in the Functional Requirement Specifications. If a recapitulatory approach was taken for the ECM design and build and different content types or business processes were added with each capitulation, users would have to redo a number of steps involved with training and transitioning assets as each iteration is rolled out. Given that the users will also need to accept a new records management framework, learn to use the new PeopleSoft ERP solution, the new SharePoint 2013 UX, and participate in asset transitioning in the new production environment, it is believed that there would be too much resistance to a recapitulatory ECM development field approach.

The SAS/Networking unit will provide the first iteration for in-house testing followed by revised iteration for testing and further development (ECM1). Next, SAS/Networking Unit will provide an implementation version for placement in the next test unit likely to be a targeted unit in ITS division (ECM2). The Digital Solutions unit in consultation with other units will develop a system guide, a user guide, and training workshops/modules to introduce new users to the ECM solution.

Following the ECM2 roll out, SDCOE's Digital Solutions team in possible consultation with an implementor (e.g Fishbowl Solutions) will make any adjustments and prepare/install/deploy all other deliverables before the application is rolled out across the enterprise (ECM3).

The key deliverables for the Design and Build include:

A. ECM1: a field-test install version of SharePoint 2013 (including document capture, distributed document capture, and imaging) as well as CLM solution for evaluation and disposition by SDCOE staff.
B. ECM2: a customized version of SharePoint 2013 and CLM solution that meets the functional requirements specification as identified by SDCOE including:
    a. Content management and imaging/capture for employee recruitment
    b. Content management and imaging/capture for employee onboarding
    c. Information management and imaging/capture for benefits related content
    d. Content management and imaging/capture for personnel records retention and retrieval
    e. Full text indexing support
    f. Installation and deployment of a business process management component (workflow management)
C. SharePoint 2013 System Guide: complete system documentation that provides in-house ITS staff with the means to maintain the application.

D. SharePoint 2013 User Guide: a user's guide to features, functionality, and best practices.
E. SharePoint 2013 Application Training: training modules to introduce new users to the SharePoint 2013 environment and best practices.

In Scope

- ➢ Identify the key functionality, repositories, and tool sets for use with the ECM system.
- ➢ Monitor all phases of the SharePoint 2013 build and design (ECM1-3) including transitions from development environments to the production environment.
- ➢ Demonstrate ECM1 to the JCCS unit, the SR5.2 Action Plan Team, and SLT.
- ➢ Develop SharePoint 2013 ECM System Guide and User Guide.
- ➢ Develop and facilitate SharePoint 2013 training modules/workshops.
- ➢ Manage all phases of the design and build.

Drive Migration

SDCOE currently holds hundreds of thousands of information assets on large servers with multiple drive paths. Many of these assets are low-value records that are duplicated across drives, exist in various versions, and/or have met their legal and operational needs. Others are mission critical assets that must be identified, reviewed and uploaded to the ECM repository for long-term management and preservation. However, without applying a file plan to these assets, SDCOE does not have any legal recourse to dispose of redundant records. Similarly, key assets cannot be identified and set aside for long-term preservation.

The drive migration project consists of appraisal, re-classification, transitioning, and authorized disposal of legacy unstructured information assets stored on shared drives or individual workstations. The project will be completed according to records management best practices. Business Services and Human Resources division in consultation with legal analysts will work with ITS and the ECM team to help each unit prepare their drive assets for transition into the ECM repository. Some examples of the work include:

- renaming Windows folders
- creating, validating, and applying file naming standards
- adding metadata
- identifying folders and files for deletion/retention.

The key deliverables for the drive migration may include:

A. Migration Assessment: The assessment documentation could include an inventory of existing drives; identification of file formats; identification of required metadata; review of document versions and relationships; general project timeline; definition of resources; business constraints (e.g. lockout/freeze states for discovery proceedings).
B. Migration Methodology: The methodology documentation could include mapping of content from existing to new folder structure and from existing to target location; file

validation and/or normalization; SharePoint 2013 configuration requirements; definition of a step-by-step migration process with technical and business documentation.

C. Migration Manual: Develop a manual for use by units.

In Scope

- ➢ Complete a Migration Assessment
- ➢ Develop a Migration Methodology
- ➢ Document best practices in a Migration Manual
- ➢ Embed the Drive Migration process into the Implementation Plan and roll out to divisions' units as the first tangible step towards implementation

Implementation Plan

The Implementation Plan defines the scope and goals, required resources, scheduled activities and durations, milestones, and project status for the phased deployment of Microsoft SharePoint 2013 to SDCOE's units.

In addition to setting the schedule for application deployment, the Implementation Plan focuses on how staff can accommodate the organizational as well as cultural change needed in the ways they manage information. A move to an ECM-based environment will mean significant change for users. The most critical challenge to ECM implementation is achieving effective change in behavior and attitudes. Users will be presented with a new graphical user interface (GUI), learn new ways of working, respond to a new governance arrangement, and participate in significant amounts of training.

The Implementation Plan combines deployment planning, communication management, user training and documentation, and pre-implementation drive migrations to assure successful adoption.

The key components of the Implementation Plan include:

A. Deployment Schedule: The deployment schedule incorporates key technological dependencies, blackout periods, and the ECM Program need for phased roll-out based on departmental readiness (i.e. technological, cultural).

B. Communications: The communication plan includes multi-level staff engagement (e.g. SLT, MiTi Steering Committee, unit leads, unit lead administrative staff, IT staff, etc…) in online and on-grounds settings.

C. Training: The training plan includes records management training (i.e. records governance and management via online modules; workshops for record clerks); and SharePoint 2013 application training.

In Scope

- ➢ Develop and implement a Deployment Schedule based on business priorities and location.

- ➢ Develop, schedule, and implement a Communication Strategy.
- ➢ Develop, schedule and implement a Training Strategy.

Out of Scope

MODIFICATIONS OR ENHANCEMENTS OTHER THAN THOSE LISTED BELOW ARE OUT OF SCOPE.

Roles and Responsibilities

Stakeholders

The ECM program stakeholders include:

A. **San Diego County Board of Education**- Although the BOE may not have access to the ECM, it will benefit from ECM efficiencies such as rapid retrieval times, better information management, and a paper-reduced environment.
B. **Strategic Leadership Team**- SDCOE is comprised of multiple divisions, each headed by an Assistant Superintendent. These Assistant Superintendents along with a handful of other leaders throughout the organization make up the Strategic Leadership Team (SLT). SLT meets regularly to discuss enterprise-wide issues and generate solutions to administrative or operational problems and recommend options to the superintendent on policy development. SLT develops the annual budget and holds the fiscal responsibility for SDCOE decisions.
C. **MiTi Steering Committee**- The MiTi Steering Committee is a decision-making body representing the interests of internal stakeholders as associated to the organizational ERP system.
D. **Strategic Plan Specific Result 5.2 Action Plan Team**- a group of SDCOE employees representing a wide swath of the organization's divisions charged with advising and shaping the design/deployment of the ECM program.
E. **Divisions**- The organizational structure of the SDCOE is based on divisions composed of units and sub-units (teams) as well as geographically (facilities across the county). The ECM program is an enterprise-wide program that will affect all units.
    a. All units will participate in ECM program awareness, records management training, and drive migration projects. Managers and technicians will participate in Functional Requirement Specification development.
    b. Business Services and Human Resources will provide program strategy and business leadership, complete records management projects, contribute to requirements specifications, and manage/allocate records management resources. Moreover, these units will provide guidance on legal components of the program, including the records management by-laws and the File Plan 2.0 (retention and management schedule). Finally, select units from these divisions will review program documentation such as this charter for risk and advise of any internal or external audit requirements.

c. Integrated Technology Services will develop, control, and manage the program strategy through its Digital Solutions unit. Additionally, it will provide the operating environment for the SharePoint 2013 platform, select and manage external vendors, provide user documentation and training for technology and ECM application, and manage all IT labor resources.

F. **Staff**- Approximately 1,100 SDCOE staff will be introduced to the ECM repository via their desktop devices. The ECM program represents a better way of working with information collaboratively and sustainably across the enterprise. End users will be required to take records management and application training as well as to participate in the ECM implementation. As noted, program transparency, managed expectations, selling the benefits, adjusting processes, training, standardization, and communication are all strategies geared to obtaining high user acceptance for the new system.

G. **Vendors and Consultants**- Potential organizations that will provide special consult regarding ECM systems. Microsoft and a potential CLM software provider also make up this group of stakeholders.

Leadership

Integrated Technology Services division (with support from Business Services division and the Human Resources division) leads the ECM program and report on the project to the MiTi Steering Committee.

A. Business Services
    a. The Assistant Superintendent of Business Services approves divisional project positions for the program and participates in the MiTi Steering Committee
    b. _____ signs off on all records management deliverables related to business services, contributes to the development of the Records Framework, and liases with legal counsel.
    c. _____ creates the use case scenario documentation format and develops as well as documents the Functional Requirement Specification initiative. Additionally these positions contribute to the definition of the system architecture.

B. Human Resources
    a. The Assistant Superintendent of Human Resources approves divisional project positions for the program and participates in the MiTi Steering Committee.
    b. _____ signs off on all records management deliverables related to human resources, contributes to the development of the Records Framework, and liases with legal counsel.
    c. _____ creates the use case scenario documentation format and develops as well as documents the Functional Requirement Specification initiative. Additionally these positions contribute to the definition of the system architecture.

C. Integrated Technology Services

a. The CIO and Assistant Superintendent of ITS approves project positions for the program and participate in the MiTi Steering Committee. He is also the ECM Program Sponsor.
b. The director of the Digital Solutions unit sits as the ECM Program Director. Moreover, he provides program deliverables including the Program Charter, Records Management Framework, and contributes to the Functional Requirement Specifications initiviate.
c. The records manager (housed in the Digital Solutions Unit) provides operational support for the implementation of the ECM program and contributes to the Records Management Manual as well as the Drive Migration project development/implementation. The records manager also manages the Design and Build initiative as well as leads the post-implementation review. leads the development SharePoint 2013 system and user guides, the File Plan 2.0, and training modules. The Records Manager is also the lead trainer for all SDCOE ECM-related trainings, tracks file access and interaction to support internal audits, assists with internal governance, and facilitates compliance. He/She also analyzes processes and establishes viewing, signing, approval, and other rights electronically (File Plan 2.0). Moreover, the records manager stays up-to-date on all external regulations and enforces compliance.
d. The Executive Director of ERP contributes to scope management, quality control management, issue management, and risk management elements of the ECM Program. The Executive Director of ERP also participates on the MiTi Steering Committee.
e. The Senior Information Officer leads all program needs as related to the IT topology of the ECM program.

Costs

The following table will be used to provide overview costs associated the various program areas:

Program Area	Budgeted	Required
Hardware		
Software		
Training		
External Services		
Internal Services		
Total		

Annual Operating Costs

High-level Implementation Timeline

Approximate Period	Milestone	Description
Early October, 2014	SR5.2 Action Plan Team convened	
Early November, 2014	ECM Charter approved	
Early December 2014	JCCS Archiving Project	Begin archiving and indexing student records for JCCS using high speed scanners; testing SharePoint 2013 repository functions and OCR indexing
Early January, 2015	Records Manager hired	The records manager will be a full-time position charged with managing all aspects of the ECM program.
Late February, 2015	ECM1	Testing of SharePoint 2013 Content and business process management system in development environment
Mid March, 2015 to Early June, 2015	Joint Requirement Planning Sessions	Complete business process and records survey by content group
Late June, 2015	Functional Requirement Specifications Document Complete	Define the activities and services that must be included in the ECM system to satisfy the users' needs. The specifications will be developed for one content group at a time and will include a review of document types, metadata attributes and management, naming conventions, keyword indexing, and digital preservation.
August, 2015	Draft of Records Management Framework Complete	Document that defines how information is managed throughout the records lifecycle. The three components of the framework include: ● By laws ● Manual ● Classification and retention plan These deliverables will formalize governance as well as roles and responsibilities for SDCOE's information assets.

Mid September, 2015	File Plan 2.0 Added to Framework	The basis for record classification, retention scheduling, and business unit accountability; expressed in the Records Management Framework.
Mid October, 2015	SharePoint 2013 System and User Guide Draft	● Complete system documentation that provides in-house ITS staff with the means to maintain the application. ● User's guide to features, functionality, and best practices.
December 1, 2015	Technical Testing Complete	Test all functionality based on model office specs. and use case scenarios
Late November, 2015	Drive Migration Complete	Appraisal, classification, transitioning, and authorized disposal of legacy unstructured information assets stored on shared drives or individual workstations.
Mid March, 2016 to ongoing	Online and On-grounds User Trainings	
April, 2016	ECM2	Enterprise-wide implementation of ECM program (including monitoring, evaluation, project management, help desk support, etc…)
July, 2016	ECM2.1	Revision of program as required
January, 2017	ECM3	Consultation and support services for extra-enterprise ECM program deployment.

Approvals

By signing below, the following individuals have read, understood, and approve the content of this program charter.

_____	_____
Steve Clemons, Program Sponsor	Date

References

(2010). PMBOK ® Guide and Standards - Project Management ... Retrieved June 6, 2014, from http://www.pmi.org/PMBOK-Guide-and-Standards.aspx.

The InterPARES Project: Retrieved June 6, 2014, from http://www.interpares.org/.

(2008). Records Management Framework - National Archives and ... Retrieved June 6, 2014, from http://www.archives.gov/records-mgmt/policy/rm-framework.html.

Glossary

Business Classification Scheme (BCS): a database that houses an analysis of business conducted within organization thereby classifying business processes and providing a set of keywords used to describe relevant records. The database describes disposal classes in records and disposal schedules. A BCS explicitly links records to their business context; links classifications with disposal, retention, access, and security decisions; promotes consistency across business units to support discovery and change management; provides accurate retrieval over time through consistent use of language.

Business Process Management (BPM): in context of this program charter, BPM is the software-controlled automation of tasks (e.g. acquiring approval from managers, routing of invoices, etc…)

Drive Migration: a project that requires the appraisal, reclassification, transitioning, and authorized disposal of legacy unstructured information assets stored on shared drives or individual workstations.

File Plan 2.0: the basis for record classification, retention scheduling, and business unit accountability; expressed in the Records Management Framework.

Functional Requirement Specifications: the activities and services that must be included in the ECM system to satisfy users' needs. The specifications will be developed for one content group at a time and will include a review of: document types, metadata attributes and management, naming conventions, keyword indexing (general/specific), the need for digital preservation.

Records Management Framework: document that defines how information is managed throughout the records lifecycle. The three components of the framework include:

- By laws
- Manual
- Classification and retention plan

These deliverables will formalize governance as well as roles and responsibilities for SDCOE's information assets. Upon adoption by the Steering Committee, the Records Management Framework will be put into operation as dictated by the Implementation Plan.