FinanceMaster

Document Management Plan

November 5, 2016

Revision History

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| --- | --- | --- | --- |
| Revision History | | | |
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# **1 Introduction**

## **1.1 Purpose**

The purpose of the Document Management Plan is to capture how documents will be managed throughout the project life cycle. Documents refer to all project documentation and artifacts. Document management is the process of organizing, storing, protecting, and sharing documents. The Document Management Plan describes how to manage both the hard copy and electronic repositories of documents, historical information, and provides a consistent approach to the creation, update and format of documents.

This plan also contains a brief description on how to set up a hardcopy document management library. Each Office of Systems Integration (OSI) project is unique and therefore will require customization of its own library. However, the information provided in this document will describe key components for a project library.

## **1.2 Scope**

Document management protects a project from losing track of its documents or losing the document itself. Document management achieves the following objectives:

* Provide safe storage of all documents in a project library.
* Provide clarity regarding which version of a document and/or deliverable is the latest version.
* Provide a record of approved deliverables over the life of the project.
* Provide measures to maintain restricted access to confidential documents.
* Provide an accurate and complete archive of project documents to the organization at the end of the project.

For purposes of this plan a “document” is any electronic or hardcopy media designed to convey information about or on behalf of a project, including but not limited to books, deliverables, drawings, electronic mail, faxes, letters, memorandum, organizational charts, pictures, presentations, project binders, reports, specifications, and spreadsheets.

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## **1.3 Document Maintenance**

This document will be reviewed as needed and updated, as needed, as the project proceeds through each phase of the system development life cycle.

This document contains a revision history log. When changes occur, the document’s revision history log will include an updated version number, the revision date, the owner making the change, and a high-level description of the change(s) made.

# **2 Participants Roles and Responsibilities**

This section outlines roles and responsibilities for those involved in the FinanceMaster document management process.

A full list of roles and responsibilities are contained in the FinanceMaster Staff Management Plan.

### **2.1.1 Project Director**

The FinanceMaster Project Director is responsible for ensuring deliverables are archived as defined in the Project Charter.

### **2.1.2 Project Manager**

The FinanceMaster Project Manager is responsible for ensuring compliance with the project’s document management plan.

### **2.1.3 Project Librarian**

The FinanceMaster Project Librarian is a project administrator who is responsible to ensure project documents are stored correctly in the project library. This includes receiving and tracking contractor deliverables, ensuring other project documents are correctly stored in GoogleDocs. The Librarian is also responsible for complying with the OSI’s records retention policies and archiving hardcopy documents, as appropriate.

### **2.1.4 FinanceMaster Project Team**

The FinanceMaster Project Team uses GoogleDocs. All project staff members and onsite consultants, are responsible for creating and storing documents in the GoogleDocs system, and for completing the profile information for each document. Staff is also responsible for identifying critical hardcopy and e-mail documents that should be retained. Critical hardcopy items will be scanned and stored in GoogleDocs (if applicable, depending on the size of the document and confidentiality). The hardcopy will also be retained in the project’s library. Working copies of documents may be retained in individual staff work areas.

### **2.1.5 FinanceMaster Contractor Project Team**

The FinanceMaster Contractor Project Manager(s) will provide all project information to the FinanceMaster Project Manager/Director. The FinanceMaster Contractor Project Managers will be responsible for collecting and gathering all FinanceMaster related information from the subcontractors under the company’s current contract.

### **2.1.6 FinanceMaster Administration Manager**

The FinanceMaster Administrative Manager ensures any documents associated with the administrative operation of the project are categorized and filed within the project library.

# **3 Types of Project Documents**

The following identifies all of the major types of documents created, received, and used by the project. If new document types become available, Table 1 below shall be updated to reflect new document types.

Table 1 -Types of Project Documents

|  |  |
| --- | --- |
| **Type** | **Description** |
| Administrative Documentation | Documents pertaining to the administrative operations of the FinanceMaster project. This includes documents for funding, personnel, staffing, equipment licenses and warranties, etc. |
| Analyses and Recommendations | Documents describing a specific problem or scenario and the anticipated impact and/or recommended course of action. |
| Contract Management Documentation | Documents associated with the solicitation, administration, and management of that contractor’s supporting the project. |
| Correspondence and Communications | Documents sent to or received from any organization external to the project. |
| E-mail | All project related e-mail is retained, such as important information received from contractors or other outside sources. All project related e-mail is saved and imported into WorkSite. Non-critical e-mail is purged at the user’s discretion. |
| Plans and Processes | Documents describing the purpose and approach to planning and executing the project, including the plans and processes that describe how the project will be executed and managed. |
| Presentations | Documents and presentations used in training or briefing project staff, county staff or stakeholders. |
| Reference Materials | Documents generated by an external organization that provide insight, guidance, or examples of pertinent information such as legislation, policy, regulations, handbooks, standards, etc. |
| Status Documentation | Documents describing the current status of planned and actual activities for the project, including funding, contract, schedule, issue and risk status, and meeting minutes describing decisions, action items and concerns. |
| Working Papers | Early drafts, notes, or reference materials used to create another document. At the author’s or project management’s discretion, working papers may or may not be retained. |

Materials published by another organization in a public location are not retained as project documentation.

Some project information is retained in project databases that provide tracking, reporting and storage capabilities. Examples of these types of databases include issue tracking, risk tracking, and change request databases. These databases are normally managed by the IT staff directly with a designated project lead or project manager managing the content of the databases. Refer to the FinanceMaster Configuration Management Plan for more information on management of project databases.

In addition, the FinanceMaster Project uses Google Docs website to provide information to stakeholders, users, and potential bidders.

# **4 Document Storage**

The FinanceWorks project will store all documents in the project libraries (hardcopy and electronic). Documents will always be stored in Google Docs and be electronic, unless a hard copy is necessary due to signature requirements.

## **4.1 Hardcopy Library**

The Project Librarian maintains a hard copy storage area for documents that are obtained or available in hardcopy only. Items include: samples from other organizations and projects, formal correspondence, proposals, reference and research materials and signature pages from document approvals.

If the hardcopy item is considered critical (such as signature pages), the document is scanned and included in Google Docs (to serve as a backup). The hardcopy item is retained in folders, sorted by topic, in the project library.

Documents are entered into Google Docs by the Project Librarian or the Project Manager.

If a document should not be scanned as an electronic copy (due to the confidential nature of the document), in Google Docs, reference will be made where the hard copy can be located by creating a Hardcopy Only form and saving it in Google Docs.

Documents are entered in the library via various methods. Deliverables and correspondence are submitted upon receipt by the project (by the Manager and administrative staff, respectively). Documents routed for internal review are submitted by the author upon completion of the review. Documents sent outside of the project are submitted by the author or administrative staff when the document is being prepared for distribution.

In addition, project staff members may submit items to the library at any time. A Sample Library Submittal Form is used to ensure the document is correctly filed and marked. The Librarian retains the completed forms in an index file separate from the actual document.

The Project Librarian maintains a hardcopy storage area for documents that are obtained or available in hardcopy only. Items include: samples from other organizations and projects, formal correspondence, reference and research materials and signature pages from document approvals.

### **4.1.1 Hardcopy Library Structure**

Documents are organized in folders, broken down by phases and topic. Each document will be marked to show if it also has an electronic copy by showing an “E” in the upper right corner. The following are the phases:

* Initiation
* Planning
* Executing
* Monitoring
* Closing

## **4.2 Google Docs Electronic Library**

The projectuses the Google Docs system as the primary tool for document management. Users cannot access the data without using the tool and passing the appropriate security checks.

### **4.2.1 Electronic Library Structure**

The FinanceWorks repository resides on a dedicated server located on Google’s server. The project uses the document profile as the means to organize and locate documents within the system (instead of a folder paradigm).

The project maintains two databases, one for sensitive items such as personnel items, contracts and invoices, and another for non-sensitive project documents.

Stakeholders, as well as other key individuals working on the project will have access. They will be able to submit documents to Google Docs by uploading them.

### **4.2.2 WorkSite Profiles**

The project uses the document profile as the means to organize and locate documents within the system. Refer to the Google Docs Guide for instructions on completing document profiles.

### **4.2.3 Document Naming Conventions**

The following are the naming convention rules for use in SharePoint:

* Names must be unique
* All status reports must include the period for the report including the year (e.g., March 24, 2014, June 2014).
* Correspondence should indicate the primary recipient’s organization (e.g., Letter to FNS regarding xxx, Response from DGS on xxx, etc.).
* Documents that are periodically updated should include the official version number or date in the title (e.g., Implementation Plan version 3; Orientation Briefing March 2014 update, etc.).
* Acronyms and abbreviations used in titles should conform to the Acronym List (e.g., LA not L.A. or LosAl).

## **4.3 Network Drives**

Each user is assigned a network drive to assist with storage. User is responsible for saving correct documentation to Google Docs and the Project Drive.

|  |  |  |  |
| --- | --- | --- | --- |
| **Drive Letter** | **Logical Name** | **Purpose** | **Access** |
| C: | Local Disk | * Storage on personal hard drive * Not generally used since not backed up regularly | User Only |
| H: | Personal Home | * Storage on personal share drive * Used for early drafts, temporary working papers, and personal notes | User Only |
| P: | Project Drive | * Storage * Backed up nightly | LAN Support  Project Team  Members |

# **5 Document Standards**

## **5.1 Templates and Standard Format**

No specific templates are designed for this project. The templates for the project management of this project will be those provided by the Project Management Institute. Additional templates will be designed as needed.

## **5.2 Other Conventions**

The following are additional conventions that the FinanceMaster adheres to when creating documents. The project’s templates (mentioned above) automatically include the items listed below.

* All documents should indicate the date of creation/presentation, the GoogleDocs number and/or file path, the document title, and page numbers.
* Documents that will be used on an ongoing basis and may be subject to periodic review, such as reports and plans, must include a Revision History section that lists all the versions of the document, the date of release, and a summary of the changes made in each version.
* Documents with more than 10 pages must include a table of contents.
* Formal plans must include a signature.

## **5.3 Development and Storage Tools**

The FinanceMaster uses the following standard tools to develop documents, spreadsheets, e-mail, web content, databases, etc.

Table 2 - Documentation Development and Storage Tools

|  |  |  |
| --- | --- | --- |
| **Document Type** | **Development Tool** | **Storage Tool/Location** |
| Document | MS Word 2013 | Google Drive |
| Spreadsheet | MS Excel 2013 | Google Drive |
| Presentation | MS PowerPoint 2013 | Google Drive |
| E-mail | Gmail | MS Outlook, E-mail Server |
| Web Content | HTML/JavaScript | Google Pages |
| Baselined Project Documents | Adobe Acrobat | Google Drive |
| Diagrams | MS Visio 2013 | Google Drive |

# **6 Document Control**

## **6.1 Library Control**

The FinanceMaster Librarian has the primary responsibility for managing and controlling the project hardcopy and GoogleDocs library content. The Librarian performs periodic reviews of the GoogleDocs repository to monitor document naming conventions and version control.

The Librarian performs an audit of the hardcopy library to ensure all contents are correctly filed and present. The Librarian also performs a partial audit of the GoogleDocs repository to verify naming conventions, profile completeness, version control and security/access control. Any discrepancies or concerns are documented in the project’s issue tracking or risk tracking system and assigned for correction.

## **6.2 Document Version Control**

Document versioning is automated when using GoogleDocs. All versioned documents will be saved as PDF files and stored in a dedicated folder in the Google Drive.

### **6.2.1 Creating New Versions**

New versions are generally created to reflect a major change or update to the document. The Comments field in the document profile and the revision record within the document should be updated to indicate a summary of the changes and/or reason for the change.

# **7 Document Access**

If a document requires a review, it should be performed prior to release. In addition, project plans and the charter are reviewed annually using the review processes below to ensure they are correct and reflect the current goals and direction of the organization.

## **7.1 Review and Approval Process**

Before an official release of a document, it may be reviewed, by project staff, project sponsor staff, or other stakeholders, as appropriate. However, the Project Director, Project Manager or another individual with authority to approve documents must approve the document prior to its release.

Reviewers provide comments back to the author, generally via e-mail or by entering changes directly into the GoogleDoc document. For changes to baselined documents, Google Docs Track Changes feature may be used with the changes left visible to help identify the before and after state. If no comments are received by the due date, the author may finalize the document. If appropriate, the author proceeds to baseline the document and/or distribute the final approved version of the document to the appropriate stakeholders.

## **7.2 Document Baselining Process**

Formal documents that must be baselined follow the above processes for review and approval. After approval is obtained, the appropriate manager(s) signs the Approval section of the document. All documents subject to baselining must include a signature page.

After signatures are acquired, the signature page is scanned and included in a PDF version of the baselined document. A new version of the document is created in GoogleDocs to allow for subsequent changes and/or the document is marked as read-only by the Project Librarian. The GoogleDocs profile is updated with a summary of the changes made to that version. The PDF version of the document (with signature page and any other attachments) is also submitted to GoogleDocs. A hardcopy version, with the signature page, is placed in the appropriate binder in the project library, and included in the binder’s index.

The document may then be distributed to any additional stakeholders such as team members, sponsor representatives, or county representatives. Distribution generally is performed via e-mail. Formal reports or correspondence may be distributed in hardcopy via standard mail service.

Any proposed changes to a baselined document must be re-reviewed through the same processes, as described above.

## **7.3 Internal Quality Review Process**

Documents should follow the OSI Writing Style Guidelines and are subjected to an internal quality review prior to their release. The author may request an internal review from another project member. The reviewer should be a team member who was present at the meeting, or who has knowledge of the current status of the initiative, if possible. The reviewer checks the content and conclusions, and performs a basic quality check including format, spell check, and grammar check.

Minor changes can be made to the document. Questions or concerns are noted using GoogleDocs Track Changes and/or Comment functions, or are discussed directly with the author. If major changes are made, a new version will be created in GoogleDocs to reflect the before and after state. All changes will be accepted or rejected and comment flags will be removed prior to release of the document.

# **8 Document Security**

# **8.1 Backups**

Document backup is automated by the Google Drive. There are no hard copy backups in addition to the original hard copies.

## **8.2 Retention and Archiving**

Document archive is reviewed on the quarterly bases to assure that document storage contains only documents relevant to the project.

The following table defines the current document retention guidelines for the FinanceMaster.

Table 3 - Document Retention Guidelines

|  |  |
| --- | --- |
| **Document Type** | **Retention Guidelines** |
| Administrative Documentation | Retain for the life of the project plus three years (minimum). |
| Analyses and Recommendations | Retain for the life of the project. Only the final version must be retained for the life of the project plus three years. |
| Contract Management Documentation | Retain for a minimum of one year after contract end. |
| Correspondence and Communications | Retain for 3 years or until superseded. |
| E-mail | Important e-mail is imported into GoogleDocs for historical purposes. Retention of these items is dependent on the content. Refer to other guidelines in this table. |
| Plans and Processes | Only the most current version must be retained. |
| Presentations | Retain for the life of the project plus three years. |
| Reference Materials | Retain for three years or until superseded or withdrawn  Use discretion regarding usefulness of items. |
| Status Documentation | Retain weekly status documentation for one year, unless a particular decision was made at the meeting in which case retain for life of the project. |
| Working Papers | Retention of working papers is subject to the user’s discretion. |

Documents whose retention period has expired are removed from the Google Drive.

## **8.3 Purging**

The FinanceMaster project assumes that all final versions of the documents are stored and relevant documentation is never purged for the life of the project.