**Intentional Residential Community Project Management**



**Document Management Plan**

February 27, 2013

Project Team

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Document Management Plan

Revision History

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# Introduction

## 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 Intentional Residential Community Project Management (IRCPM) 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.

## 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.

## References

### Project Centralized Document Repository

<https://IRCPM.com/>DocumentManagement/SharePoint

## Glossary and Acronyms

|  |  |
| --- | --- |
| DMP | Document Management Plan |
| IRC | Intentional Residential Community |
| IRCPM | Intentional Residential Community Project Management |

## Document Maintenance

Documents will be reviewed 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.

# Participants Roles and Responsibilities

This section outlines roles and responsibilities for those involved in the Intentional Residential Community document management process.

A full list of roles and responsibilities are contained in the Intentional Residential Community Staff Management Plan.

## Document Management Focal

The Intentional Residential Community Document Management Focal is responsible for ensuring deliverables are archived as defined in the Project Charter and ensuring compliance with the project’s document management plan.

## Project Librarian

The Intentional Residential Community Project Librarian is responsible to ensureproject documents are stored correctly in the project library. This includes receiving and tracking contractor deliverables, ensuring other project documents are correctly stored in SharePoint, and ensuring the SharePoint profiles are complete and consistent. The Librarian is also responsible for complying with the IRCPM records retention policies and archiving hardcopy documents, as appropriate.

## Project Team

The Intentional Residential Community Project Team uses the tool for document management called SharePoint. All project staff members are responsible for creating and storing documents in the SharePoint 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 SharePoint (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.

## Procurement Focal

The Intentional Residential Community Procurement Focal will provide all project information to the Intentional Residential Community Project Team. The Intentional Residential Community Procurement Focal will be responsible for collecting and gathering all Intentional Residential Community-related information from the subcontractors under the company’s current contract.

## Supplier Management Focal

The Intentional Residential Community Supplier Management Focal ensures documents associated with the solicitation are included in the project library.

## Contract Management Focal

The Intentional Residential Community Contract Management Focal ensures that contract documentation is maintained.

## SharePoint Administrator

The Intentional Residential Community SharePoint Administrator is responsible for maintaining the Intentional Residential Community SharePoint database. The administrator acts as a resource for project staff and stakeholders regarding the tool. The administrator is also responsible for setting up document profile information to be used by the project.

# Types of Project Documents

The following identifies the types of documents created, received, and used by the project.

Table 1 -Types of Project Documents

| Type | Description |
| --- | --- |
| Administrative Documentation | * Documents pertaining to the administrative operations of the project, including 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(s) of action (e.g., risks, issues, etc.). |
| Contract Management Documentation | * Documents associated with the solicitation, administration, and management of the contractor’s supporting the project (e.g., contract deliverables, bidder’s library documentation, work authorizations, etc.). |
| Correspondence and Communications | * Documents sent to or received from any organization external to the project, including the project sponsor, control agencies, federal stakeholders, counties, advocates, and the public. |
| E-mail | * Only critical e-mail is retained, such as important information received from contractors or other outside sources. Project staff should not use email for formal communication or decision making on the project. Critical e-mail is saved and imported into SharePoint. Non-critical e-mail is purged at the user’s discretion. * E-mail and other electronic documents should follow these rules for confidential information: * E-mail should be written in a professional manner that is consistent with one’s role as a public servant. * Both incoming and outgoing e-mail can be retained for business purposes into SharePoint. * E-mail can be saved into SharePoint as .msg files. * E-mail that is no longer needed for business purposes should be purged at the user’s discretion. It is important to note, even though e-mail has been purged it is still discoverable. * **To retain an e-mail message, moved it to a personal folder created on a network storage area (example: one's h: drive) as soon as possible.** |
| Plans and Processes | * Documents describing the purpose and approach to the project, including the plans and processes that describe how the project will be executed and managed (e.g., Project Management Plan, Scope Management Plan, Change Requests, etc.). |
| Presentations | * Documents 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. |

In general, materials published by another organization in a public location (e.g., Internet) are not retained as project documentation. In addition, some personnel and procurement documentation may be turned over to the department’s Human Resources instead of being retained by the project.

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 Intentional Residential Community Configuration Management Plan for more information on management of project databases.

In addition, the Intentional Residential Community Project uses a website to provide information to stakeholders, users, and potential bidders.

# Document Storage

## Hardcopy Library

The project library is located at the project site. This room is kept locked but isaccessible upon request. No library materials may leave the project site. The Librarian is responsible for entering and storing items in the hardcopy library and for recording their hardcopy location in SharePoint.

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, contractor proposals, reference and research materials, equipment licenses, and signature pages from document approvals.

If the hardcopy item is considered critical (such as signature pages), the document is scanned and included in SharePoint (to serve as a backup). The hardcopy item is retained in a binder in the project library.

Documents are entered into the library by the Document Management Focal and administrative staff, respectively.

Project staff members may submit items to the library at any time.

If a document should not be scanned as an electronic copy (due to the confidential nature of the document) in SharePoint, reference where the hardcopy can be located by creating a Hardcopy Only form and saving it in SharePoint. (See Appendix B - Sample Hardcopy Only form.)

### Hardcopy Library Structure

The library is structured as a series of binders, files and folders organized by topic or organization. All non-sensitive documents have a softcopy on SharePoint. Only final drafts are retained in hardcopy. The following are the topic categories used.

## SharePoint Electronic Library

The project uses the SharePoint system as the primary tool for document management. Users cannot access the data without using the tool and passing the appropriate security checks.

SharePoint has features for document check-in/check-out control, version control, document history, and searching. SharePoint is accessible through a website.

For more information on SharePoint, refer to the SharePoint website.

### Electronic Library Structure

The Intentional Residential Community SharePoint repository resides on the Catalyst Web Tools website. The project uses the document profile as the means to organize and locate documents within the system (instead of a folder paradigm).

All project team staff has access to SharePoint documents. Revision control is in effect. The Document Management Focal administers the SharePoint.

The project maintains two databases, one for sensitive items such as personnel items, contracts and invoices, and another for non-sensitive project documents. The database housing sensitive items is not available outside the project team. Non-sensitive items are housed on the SharePoint.

### SharePoint Profiles

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

### 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, 2004, June 2004).
* Documents that are periodically updated should include comments the official version number or date in the title (e.g., Implementation Plan version 3; Orientation Briefing March 2004 update, etc.).
* Acronyms and abbreviations used in titles should conform to the Acronym List (e.g., LA not L.A. or LosAl).

## Network Drives

| 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 |

Network drives are occasionally used for storage of tools and databases. Network drives are not generally recommended for general storage of documents and materials since there is no check-in/check-out feature.

Each user has been assigned a network drive to assist with storage of working papers and personal reference materials. The user is responsible for managing this area. The network drives are included in the regular network backups performed by IT staff.

# Document Standards

## Templates and Standard Format

The Intentional Residential Community Project Management Team has established standard formats and templates for meeting minutes, reports, letters, white papers, etc.

The following are additional conventions that the Intentional Residential Communityadheres 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 SharePoint 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.
* Sensitive or confidential documents must include marking on the front page and header/footer to indicate “sensitive” or “confidential”, preferably in red, bold font.
* A project acronym list includes standard acronyms and abbreviations for the project. Any acronyms or abbreviations used on the project should conform to the standard project list, particularly if the acronym or abbreviation is used in the title or description of a document.
* Dates are indicated textually (month xx, 201x).

## Development and Storage Tools

The Intentional Residential Community 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 2003 | SharePoint |
| Spreadsheet | MS Excel 2003 | SharePoint |
| Presentation | MS PowerPoint 2003 | SharePoint |
| E-mail | MS Outlook 2003 | MS Outlook,  E-mail Server |
| Web Content | MS FrontPage 2003 | Web Server |
| Databases | MS Access 2003  SQL Server 2000 | Project IRC: Network Drive |
| Baselined Project Documents | Adobe Acrobat 10.0 | SharePoint |
| Diagrams | MS Visio 2003 | SharePoint |

# Document Control

## Library Control

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

At least once a year, 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 SharePoint 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.

The Librarian tracks the number of documents in the database and works with the IT staff to monitor the size of the database to address any database maintenance or changes required.

## Document Version Control

Document version control should follow the Project’s naming conventions.

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.

Note that the version number in SharePoint is not necessarily the same number as the revision number in the document’s revision record. This is because the draft document may entail several changes of approach or incorporation of comments prior to its release.

# Document Review, Approval and Update Process

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

## 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 Document Management Focal 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 SharePoint document. For changes to baselined documents, MS Word’s 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 will then baseline the document and/or distribute the final approved version of the document to the appropriate stakeholders.

## 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 SharePoint to allow for subsequent changes and/or the document is marked as read-only by the Project Librarian. The SharePoint 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 SharePoint. 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.

## Internal Quality Review Process

Documents 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 MS Word’s 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 SharePoint 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.

# Document Retention and Purging

## Backups

All files are backed up by the IT Support staff and the backup tapes are kept offsite for two weeks on a rotational basis. Full backups occur once a week with incremental backups performed nightly. The backups include files on the server and network share drives, the SharePoint database, and e-mail on the MS Exchange server. No backups are performed of individual user hard drives (i.e., C: drives).

## Retention and Archiving

If there are legal proceedings or issues associated with the project, records must be retained for the duration of the legal proceeding. IRCPM will consult with Legal counsel on the appropriate retention period in these cases.

The following table defines the current document retention guidelines for the Intentional Residential Community.

Table 3 - Document Retention Guidelines

| *Document Type* | *Retention Guideline* |
| --- | --- |
| *Administrative Documentation* | * *Retain for the life of the project plus three years (minimum)* * *Follow the appropriate Federal, State and/or OSI retention guidelines, as appropriate; in the absence of specific guidance, retain for three years* |
| *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* | * *See http://www.ols.dgs.ca.gov/Contract+Manual/Chapters9though11.htm* * *Retain for a minimum of three years after contract end* * *Interim and draft versions of deliverable used for review may be purged after the final deliverable is received* * *For deliverables with multiple versions, the current and immediately prior version should be maintained* * ***Note****: Records related to a contract dispute should be kept for longer periods; refer to the project legal counsel for guidance on retention periods in this case* |
| *Correspondence and Communications* | * *Retain for 3 years or until superseded* |
| *E-mail* | * *Important e-mail is imported into SharePoint for historical purposes. Retention of these items is dependent on the content. Refer to other guidelines in this table* * *Retention of general e-mail is subject to the user’s discretion* |
| *Plans and Processes* | * *Only the most current version must be retained* |
| *Presentations* | * *Retain for the life of the project plus three years* * *Only the final version must be retained 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* * *Retain monthly status documentation for three years* * ***Exception****: Contractor status deliverables must follow the guidelines for Contract Management Documentation* |
| *Working Papers* | * *Retention of working papers is subject to the user’s discretion.* * *If the working paper is considered important for historical purposes, the user and Librarian should establish a specific retention period based on the papers content* |

Documents whose retention period has expired are removed from the library and SharePoint and sent to off-site storage. The library and SharePoint records are updated to indicate the item has been sent to offsite storage. Documents sent to offsite storage can generally be retrieved within one to two days.

## Purging

The duration of this project is not significant enough to warrant a document purging plan.



APPENDIX

Sample Library Submittal Form

|  |  |
| --- | --- |
| Library Submittal Form | |
| Submitted By: | Date: |
| Document Title: | SharePoint #: |
| Document Type:  Internal Only  Incoming  Outgoing | Doc Date:  (Use the date shown on the document or the date received at the project office) |
| Document Description: | Originator/Author: |
| Special Instructions  Sensitive / Confidential  Replace previous version  Save previous version  Other: | Originating Office:  Project Office  Federal Stakeholder  Control Agency  Sponsor  User / Stakeholder  Prime Contractor  Consultant  OSI  Other |
| Comments/Retention Instructions: | |
| Library Location:  Binder / Folder / File: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | |

Sample Hardcopy Only Form

**HARDCOPY ONLY FORM**

This document is located in the Intentional Residential Community Library as a hardcopy only. For hardcopy location, please see this document’s SharePoint profile. You can access the document’s profile by right clicking the mouse and choosing Edit Profile.

See the Intentional Residential Community Librarian if you need assistance locating this document or working with the SharePoint system.