

---

# Sample Governance Plan

*Prepared by*

---

---

# Revision and Signoff Sheet

## Change Record

Date	Author	Version	Change reference

## Reviewers

Name	Version approved	Position	Date
(name)			
(name)			
(name)			
(name)			

## Signoff –

---

(name) –SVP/CIO Date

## Signoff

---

(name) -CAO Date

---

## Table of Contents

<b>1. INTRODUCTION.....</b>	<b>1</b>
1.1. SCOPE OF DOCUMENT .....	3
1.2. OBJECTIVES .....	4
1.3. RISKS TO SUCCESS .....	4
1.4. AUDIENCE .....	4
<b>2. RESOURCES.....</b>	<b>5</b>
2.1. RESOURCE HIERARCHY .....	5
2.2. ECM GOVERNANCE BOARD.....	6
2.3. TEAM ROLES AND RESPONSIBILITIES .....	6
2.4. INDIVIDUAL ROLES .....	8
2.5. RESOURCE MATRIX .....	12
<b>3. SHAREPOINT GOVERNANCE HIERARCHY .....</b>	<b>14</b>
3.1. SHAREPOINT SITE STRUCTURE.....	14
<b>4. DOCUMENT &amp; RECORD MANAGEMENT.....</b>	<b>15</b>
4.1. DOCUMENTS.....	15
4.2. RECORD/CONTENT TYPES .....	16
4.3. RECORD CENTER .....	16
4.4. WORK-IN-PROCESS LIBRARIES.....	17
4.5. HISTORICAL LIBRARY .....	17
4.6. RECORD MANAGEMENT POLICIES .....	17
4.7. RECORD MANAGEMENT PROCEDURES .....	18
<b>5. "YOUR COMPANY NAME" SHAREPOINT ECM STANDARDS .....</b>	<b>19</b>
5.1. OVERVIEW.....	19
5.2. TEAM SITES .....	19
<b>6. COMMUNICATION PLAN .....</b>	<b>21</b>
6.1. OVERVIEW.....	21
6.2. COMPANY-WIDE .....	21
6.3. LOCALIZED.....	21
<b>7. TRAINING PLAN .....</b>	<b>22</b>
7.1. OVERVIEW.....	22
7.2. TRAINER-LED CLASSROOM SESSIONS.....	22
7.3. TRAIN THE TRAINERS.....	22
7.4. ONLINE MICROSOFT TRAINING.....	22
7.5. OTHER TOOLS.....	22
7.6. SUPPORT TEAM TRAINING.....	23
<b>8. SUPPORT PLAN.....</b>	<b>23</b>
8.1. OVERVIEW.....	23
8.2. SERVICE DESK.....	23
8.3. BUSINESS ANALYST .....	23
8.4. SHAREPOINT TEAM & INFRASTRUCTURE RESOURCES .....	24

---

**9. APPENDIX A – RECORD MANAGEMENT POLICIES (TO BE INSERTED HERE)**  
**24**

**10. APPENDIX B – RECORD MANAGEMENT PROCEDURES (TO BE INSERTED HERE) .....24**

**11. APPENDIX C – NEW CONTENT/RECORD TYPE REQUEST .....25**

    11.1. NEW RECORD/CONTENT TYPE REQUEST FORM/CHECKLIST .....25

**NEW RECORD/CONTENT TYPE REQUEST CHECKLIST .....26**

    11.2. CONTENT/RECORD TYPE REQUEST PROCESS FLOW .....27

**12. APPENDIX D – PROJECT TEAM SITE PROVISIONING .....27**

    12.1. PROJECT TEAM SITE PROVISIONING REQUEST/CHECKLIST FORM .....27

**PROJECT TEAM SITE REQUEST CHECKLIST .....28**

    12.2. PROJECT TEAM SITE REQUEST PROCESS FLOW .....29

---

## 1. Introduction

---

ECM or Enterprise Content Management at (company) is a combination of a Microsoft SharePoint 2007 (SharePoint) environment and clear and sound policies and procedures that enable centralized, consistent management of vital company Documents and Records. ECM enables security, retention and compliance policies to be applied consistently on an enterprise-wide scale.

The ECM Governance Plan is a guidebook outlining the administration, maintenance, and support of "YOUR COMPANY NAME" ECM SharePoint environment. The ECM SharePoint environment refers to the portals, team sites and applications running within the SharePoint platform at (company) that are under the ECM umbrella. There are SharePoint environments at (company) that are not inclusive of the ECM environment and are governed by a separate, over-arching SharePoint Governance plan. While ECM adheres to all policies of the SharePoint Governance Plan, this Document is meant to specifically address only the elements of the (company) SharePoint environment that are included in the ECM system.

This plan identifies lines of ownership for both business and technical teams, defining who is responsible for what areas of the system. Furthermore it establishes rules for appropriate usage of the ECM SharePoint environment.

Accountability and ongoing management of the ECM environment ensure that Documents that are outdated or inappropriate for storage in the ECM environment are removed. Data protection and recovery (for example, backup and restore) capabilities must be complete and reliable. Compliance with regulations and policies requires thoughtful management of Team Site permissions and self-service considerations.

An effective ECM Governance Plan ensures that the ECM system is managed and used in accordance with its designed intent to prevent it from becoming an unmanageable system. The management of an enterprise-wide system involves both a strategic, business-minded board to craft rules and procedures for the use of the system and also a tactical, technically-competent team to manage the routine operational tasks that keep the system running. Users of the system will be empowered by a support and developer community sponsored by the business leaders. The goal of this Document is to lay the foundation for a good balance between compliance, control, and adoption.

### **A) ECM Governance Plan Mission Statement:**

The purpose of this Document is to outline the governance strategy for the Enterprise Content Management (ECM) electronic Document environment. The ECM electronic Document environment refers to the portals, team sites, record center and applications running within the Microsoft SharePoint 2007 platform at (company) that manage and maintain company Documents and Records (for the departments which have implemented the ECM functionality). This Document is exclusively meant to serve the ECM electronic

---

Document environment as there are many additional SharePoint environments at (company) that are governed elsewhere.

This Document will:

- Define roles and responsibilities of the ECM Governance Board, business & technical teams, and individuals as they relate to ECM at "YOUR COMPANY NAME".
- Outline Team Site rules and permission levels, as well as Document and Record management policies.
- Outline corporate standards for Team Site provisioning and templates (within ECM) as well as content type creation for use in the ECM environment.
- Outline plans for communication, training and support of the ECM environment.

This document is intended to appropriately manage the propagation of our ECM electronic Document environment in order to minimize the risk of unstructured and unmanaged Documents existing outside of this environment for departments who have implemented the SharePoint ECM solution. If any conflicts exist between this Document and the ECM Policy or Procedure, the Policy or Procedure shall supersede this Document.

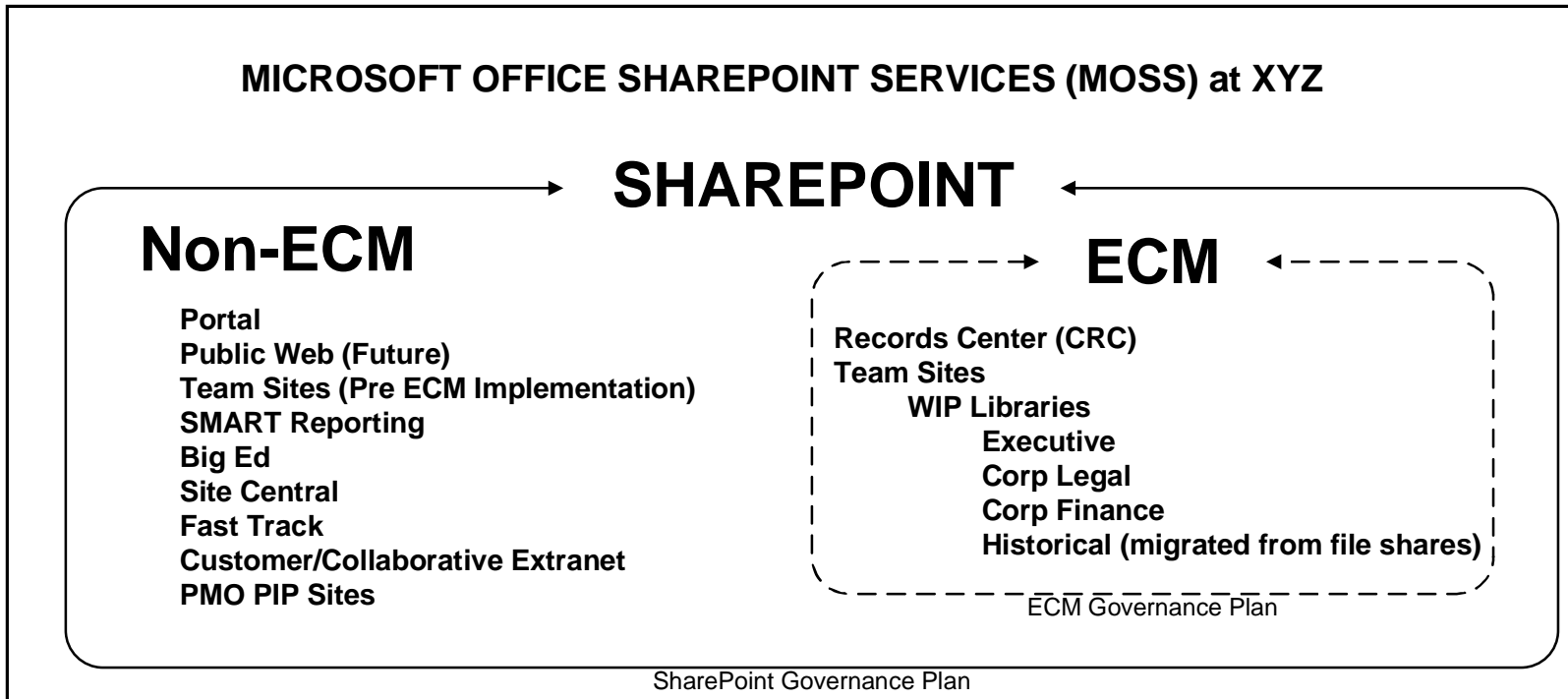
**NOTE:** *This is a living Document and will need to be modified with each implementation of the ECM- SharePoint environments.*

## 1.1. Scope of Document

### 1.1.1.1.

is covered/not covered in this Document:

Figure 1:



### 1.1.2. Included

#### 1.1.2.1.

What this Document will address:

This Document will outline all aspects of ECM Governance as it applies to its implementation at "YOUR COMPANY NAME", including:

**Functional Elements** - Records Center, Document Libraries within Team Sites, Record/Content Types

**Policy Elements** – Retention, Security, Compliance, Taxonomy, Role Definition, Communication, Training, Support

**Procedural Elements** –Site Provisioning, Content Management Creation, Team Site Management

### 1.1.3. Excluded

#### 1.1.3.1.

What this Document will not address:

This Document will not act as a governance plan for the entire SharePoint platform at "YOUR COMPANY NAME", which shall be covered in a separate, overarching Document. This Document will make reference to that overarching Document when necessary.

---

## 1.2. Objectives

The primary objective of this governance plan is to establish the creation of a practical governing model for the usage and management of the ECM environment. Other objectives are:

- Identify appropriate business owners and Record Points-of-Contact [who are willing to provide strategic insight and direction for ECM, and are able to drive strategic initiatives into their respective organizations as well as act as an advocate for ECM.]
- Identify appropriate Information Technology (IT) resources to provide operational support for ECM.
- Create an effective support system with proper channels of escalation for end users of the ECM environment.
- Establish governing usage and maintenance policies and procedures for the ECM environment.
- Establish a governance hierarchy that represents all ECM roles.
- Establish role definition for all those involved in the ECM processes.

## 1.3. Risks to Success

- 1.3.1.1. Inadequate support from the business leaders to affect proper governance.
- 1.3.1.2. Administrators or users not abiding by the given policies in this plan.
- 1.3.1.3. Lack of policy enforcement.
- 1.3.1.4. Insufficient user adoption

## 1.4. Audience

This Document is intended to be read by all members of the ECM project team, ECM Governance Board, (company) SharePoint team, Departmental Points of Contact as well as all key users of the SharePoint (ECM) environment (IT, business owners, and site administrators).

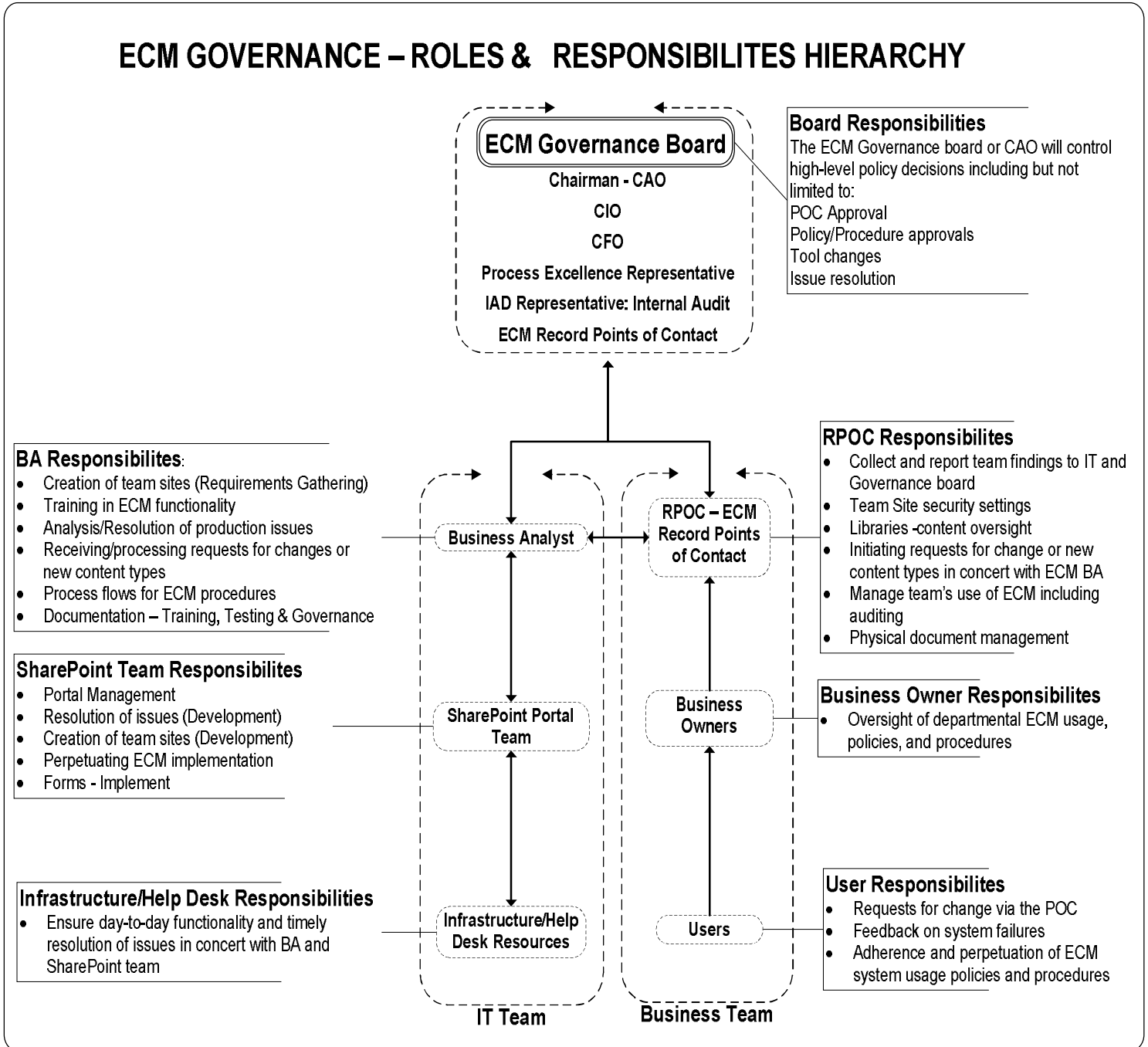
# Resources

## 1.5. Resource Hierarchy

### 1.5.1.1.

The diagram below (Figure 2) outlines where roles lie in the entire governance structure of ECM. More detailed responsibilities listings can be found in the Team Roles (Sec. 2.3) and Individual Roles (Sec. 2.4) sections to follow.

Figure 2: (YOUR COMPANY NAME) ECM Resource Hierarchy



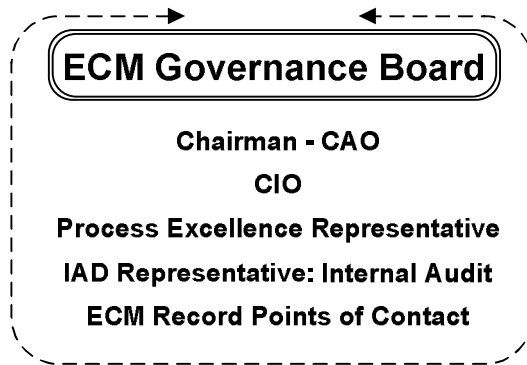
## 1.6. ECM Governance Board

### 1.6.1.1.

"YOUR COMPANY NAME" has assembled an ECM Governance Board (Figure 2) that includes resources from across the business. This cross-functional representation will serve the interests of (company) in the short and long term.

*Figure 2 – (company) ECM*

*Governance Board Members*



### 1.6.1.2.

The ECM Governance Board will provide a unified, centrally governed approach for the ECM environment. This team is the overriding authority for all architectural, design, and development decisions, including all policies and procedures created for the ECM environment. IT will strongly influence foundational and framework-related issues.

## 1.7. Team Roles and Responsibilities

### 1.7.1.1.

The ECM initiative should be treated as a program in which cross-functional involvement will help shape the usage and deployment strategies. For the purposes of this governance plan the teams, as well as their respective roles and responsibilities are defined below.

### 1.7.2. Team Summaries

The following tables have been prepared to provide a more in-depth perspective on the responsibilities and composition of each team.

Business Team	
<b>Role</b>	Represent specific business units and act as a communication vehicle between the BA and Technical team. They provide strategic insight, feedback, and direction for the ECM strategy.
<b>Who</b>	<b>Business Owners and Record Points of Contact (RPOCs)</b> for each department that has implemented ECM.

## Business Team

<b>Responsibilities</b>	<ul style="list-style-type: none"> <li>▪ Collection of feedback from business units</li> <li>▪ Represent the interest of business units to the Governance Board when applicable</li> <li>▪ Managing team sites to adhere to ECM governance policies</li> <li>▪ Report any operational issues with the ECM environment to the technical team as they are discovered.</li> <li>▪ Assist technical team in testing new or existing features as needed</li> <li>▪ Be willing and able to drive strategic initiatives into their respective organizations</li> <li>▪ Suggest any potentially useful upgrades or enhancements to the ECM environment as they relate to current business processes or anticipated changes in business processes</li> <li>▪ Assist BA/Technical Team in requirement gathering for requested changes/enhancements/issue resolution</li> <li>▪ Seek answers to the following:             <ul style="list-style-type: none"> <li>▪ What has worked well with the current deployments?</li> <li>▪ What requires improvement with the current deployments?</li> <li>▪ What would we do differently for future projects?</li> <li>▪ Are the standards that have been in place for Tower and Corporate still applicable? If not, what must change?</li> <li>▪ How do we improve business processes and how do we deliver on that?</li> <li>▪ What structures need to be in place to deliver this value?</li> <li>▪ What areas of the business offer the most opportunity for growth?</li> <li>▪ How can we align our activities with the goals of the business?</li> <li>▪ Are there synergies that can be created between divisions and departments?</li> <li>▪ What groups are doing similar initiatives and how can we help?</li> <li>▪ What ways can we reduce inefficiencies and duplication?</li> </ul> </li> </ul>
-------------------------	---

## Technical Team

<b>Role</b>	Support the directives of the ECM Governance Board. Support, maintain, and develop ECM environment for current and future implementations.
<b>Who</b>	The Technical team consists of the <b>SharePoint Portal Team, the ECM Business Applications Analyst</b> with the support of infrastructure and service desk resources
<b>Responsibilities</b>	<ul style="list-style-type: none"> <li>▪ Maintenance of the system including nightly backups, usage monitoring, scheduled task validation, and keeping the system current with security releases and system upgrades.</li> <li>▪ Oversee and process any changes to or issues with the ECM environment using proper methods of escalation as outlined by this Document</li> <li>▪ Implement, customize, personalize, and use SharePoint in a manner that fulfils the business opportunities as identified by the Business Team.</li> </ul>

## Technical Team

- Training in ECM environment as organization and departments implement. Updating of Documentation as warranted by business needs evolve.
- Testing all aspects of the ECM environment in concert with the business users to ensure optimal performance and anticipate future needs based on lessons learned.
- Report any potentially useful upgrades or enhancements to the ECM environment with regard to technology

### 1.8. Individual Roles

The following are individual roles as they relate to ECM at "YOUR COMPANY NAME". This does not address broader roles and responsibilities of SharePoint as a whole which are covered in the SharePoint Governance Plan.

<b>SharePoint Team Roles</b>	
<b>SharePoint Central Administrator/Lead Architect</b>	
<b>Responsibilities and Tasks</b>	<ul style="list-style-type: none"> <li>▪ Responsible for development and maintenance of ECM SharePoint framework, including customizations, configurations and implementations</li> <li>▪ Enforce ECM site standards (layouts, security processes, etc.) with the help of BA and POC</li> <li>▪ Site provisioning design and support</li> <li>▪ Support, train and assign a resident SharePoint expert for ECM administration</li> <li>▪ Teach SharePoint to other technologists (typically not end-users)</li> <li>▪ Provide architectural guidance to development</li> <li>▪ Work with the project management team to manage project risks, and escalate incidents to the team as necessary</li> <li>▪ Work with the Infrastructure Team to develop infrastructure and operation best practices</li> <li>▪ Continuously develop and improve best practices</li> <li>▪ Work with other 3<sup>rd</sup> party tools that will be used in conjunction with SharePoint</li> </ul>
<b>Required Skills</b>	<p>Required Skills:</p> <ul style="list-style-type: none"> <li>▪ Systems analysis</li> <li>▪ Networking</li> <li>▪ SharePoint 2007 knowledge</li> <li>▪ Imaging/Document Management/Workflow</li> <li>▪ IT research</li> <li>▪ Strategic planning</li> <li>▪ Project management</li> <li>▪ Group leadership</li> <li>▪ Resource planning</li> </ul>

---

## SharePoint ECM Specialist - Point of Contact within SharePoint Portal Team

- |                                   |  |
|-----------------------------------|--|
| <b>Responsibilities and Tasks</b> | <ul style="list-style-type: none"><li>▪ Work with SharePoint Admin/Lead Architect on development and maintenance of ECM SharePoint framework, including customizations, configurations and implementations</li><li>▪ Site provisioning design and support</li><li>▪ Modify SharePoint Templates as Needed</li><li>▪ Create content types that have earned appropriate approvals</li><li>▪ Build New ECM specific Web Parts</li><li>▪ Work in concert with ECM Business Analyst to ensure business needs are met at all times</li><li>▪ Grant security for team sites when warranted by Business Owner/POC</li><li>▪ Build Departmental/Team sites (WIP Sites) in accordance with clearly defined requirements. Including inheritance and integration with all other aspects of the ECM solution.</li><li>▪ Work with other 3<sup>rd</sup> party tools that will be used in conjunction with SharePoint</li><li>▪ Work with the Business Analysts to gather business requirements</li><li>▪ Participate in testing of all elements of ECM as needed</li><li>▪ Train Business Analyst as ECM environment evolves</li></ul> |
|-----------------------------------|--|

### IT Roles

#### Infrastructure Resources, DBA/SQL Administrator, Active Directory Resources, Support/Help Desk

- |                                   |   |
|-----------------------------------|---|
| <b>Responsibilities and Tasks</b> | <ul style="list-style-type: none"><li>▪ As with other applications, work with SharePoint Portal Team to ensure performance, maintenance, and implementation of the ECM environment (<i>*See SharePoint Governance Plan for detailed descriptions.</i>)</li><li>▪ Apprise SharePoint team of ECM BA of any anticipated issues with regard to ECM functionality</li></ul> |
|-----------------------------------|---|

### Business Analyst

- |                                   |   |
|-----------------------------------|---|
| <b>Responsibilities and Tasks</b> | <p>Responsible for communicating with the business to gather requirements and translating them into business solutions. Additionally, this person must be familiar with the corporate standards and areas that are considerations for business unit customizations. Must work closely with SharePoint Architect.</p> <p>Other BA responsibilities include:</p> <ul style="list-style-type: none"><li>• Training of POCs, business users and system support resources in the ECM system functionality</li><li>• Gathering requirements for the creation of Team Sites, Content Types or any other enhancements to the ECM solution</li><li>• Use gathered business requirements to prepare specification documentation for implementations, enhancements, and change requests</li><li>• Receiving and processing requests for change and new content types</li><li>• Process flow Documentation and updates</li><li>• Testing any and all aspects of the ECM environment</li><li>• POC for business needs relating to ECM (Enhancements, configurations, security, permissions, content types, performance issues)</li><li>• Establish &amp; maintain relationships with all departmental POCs to ensure satisfaction with ECM product on an ongoing basis</li><li>• Prepare and maintain training, testing and governance Documentation</li></ul> |
|-----------------------------------|---|

	<ul style="list-style-type: none"> <li>▪ Perpetuate ECM usage, policy and procedures</li> </ul>
<b>Required Skills</b>	<ul style="list-style-type: none"> <li>▪ Process Modeling</li> <li>▪ Functional and Technical understanding of SharePoint</li> <li>▪ Understanding of business processes and basic business needs</li> <li>▪ Understanding of IT processes</li> </ul> <p>Proficient in requirements gathering and Documentation</p>

## Business Roles

### Business Owner – Business Unit Supervisor, Manager or Director

<b>Responsibilities and Tasks</b>	<ul style="list-style-type: none"> <li>• Responsible for owning and directing a specific piece of the portal, typically a team site(s) which is relevant to their business unit, department, or team, including: <ul style="list-style-type: none"> <li>○ Security settings</li> <li>○ Auditing/ Library content oversight</li> <li>○ Physical Document management</li> </ul> </li> <li>• In concert with Departmental Record POC, communicate needs to IT in a timely manner regarding performance/desired enhancements/configurations/Site Provisioning</li> <li>• Perpetuate ECM usage, policies, and procedures</li> </ul>
<b>Required Skills</b>	<p>Required Skills:</p> <ul style="list-style-type: none"> <li>▪ Strategic planning</li> <li>▪ Familiarity with departmental business processes</li> <li>▪ Ability to foster support and identify POC leadership</li> <li>▪ Interest and commitment in investing in learning of technology and applied use of technologies</li> </ul>

### ECM Record POC - Departmental

<b>Responsibilities and Tasks</b>	<ul style="list-style-type: none"> <li>• Will act as a departmental liaison between their business unit, the ECM Governance Board and IT.</li> <li>• POCs will periodically audit their group against the Documented procedures and policies.</li> <li>• Define team site security settings</li> <li>• Content oversight of libraries within team site (including auditing)</li> <li>• Initiate requests for change and new content types when business unit deems it necessary</li> <li>• Manage team's use of ECM</li> <li>• Physical Document management (Recall Process)</li> <li>• Perpetuate ECM usage, policies and procedures</li> </ul>
<b>Required Skills</b>	<p>Required Skills:</p> <ul style="list-style-type: none"> <li>▪ Familiarity with the usage of SharePoint technologies and corporate Records Policies</li> </ul> <p>Candidate Example:</p>

---

## Business Roles

- |  |  |
|--|--|
|  | <ul style="list-style-type: none"><li>▪ Liaison in department representing interests of departmental Records</li><li>▪ Knowledgeable, preferably tenured employee with detailed knowledge of business unit's processes and Documentation needs</li></ul> |
|--|--|

### End Users – General User Community

<b>Responsibilities and Tasks</b>	<ul style="list-style-type: none"><li>• Adhere to established ECM policies</li><li>• Use ECM system and perpetuate ECM policies &amp; procedures</li><li>• Report any performance or functional issues to the Help Desk, Departmental Record POC, or BA.</li></ul>
<b>Required Skills</b>	<ul style="list-style-type: none"><li>• Functional knowledge of ECM environment</li></ul> <p>Candidate Example: Lawyers, analysts, coordinators, specialists and anyone with a need to upload or work collaboratively with Documents</p>

## 1.9. Resource Matrix

1.9.1.1.

Current resources allocated by role. This section to be updated upon personnel or role changes. *(this should be filled in as role-players are defined)*

Role	Current Person in Role	Current Back up to Role
<b>ECM Governance Board</b>		
CAO	(name)	
CIO	(name)	
Process Excellence Representative	(name), (name)	
IAD Representative	(name)	TBD
<b>Technical Roles</b>		
SharePoint Central Administrator/Lead Architect	(name)	TBD
SharePoint ECM Specialist	(name)	TBD
Business Analyst	(name)	(name)
<b>Business Owners –For those departments having implemented ECM</b>		
Corporate Legal	(name), (name)	TBD
Corporate Finance	Future Implementation	TBD
Tax	Future Implementation	TBD
Human Resources (HR)	Future Implementation	TBD
Information Technology (IT)	Future Implementation	
<b>Record Point-of-Contact –For those departments having implemented ECM</b>		
Corporate Legal	(name), (name)	TBD
Corporate Finance	Future Implementation	TBD
Tax	Future Implementation	TBD
Human Resources (HR)	Future Implementation	TBD
Information Technology (IT)	Future Implementation	TBD

---

---

## 2. SharePoint Governance Hierarchy

### 2.1. SharePoint Site Structure

Governance will be tightly controlled in areas where there is substantial public exposure in terms of readership (whether internal or external) or potential litigation issues. In areas with limited readership or public exposure, governance will be less controlled and allow for a more de-centralized empowerment of end users (Internal team/WIP sites). IT will generally defer to the business' direction or influence for features and content-related issues within the confines of the governance policies and procedures.

The following is a top-to-bottom look at SharePoint governance structure:

Taxonomic Section/Examples	Characteristics	Owners
Corporate Portal	<ul style="list-style-type: none"> <li>▪ Permanent</li> <li>▪ Controlled; tightly governed</li> <li>▪ Push information to users</li> <li>▪ Dashboards, Business Intelligence, BPM</li> <li>▪ Applications, Content</li> </ul>	<ul style="list-style-type: none"> <li>▪ Portal administrators</li> <li>▪ Corporate stakeholders</li> </ul>
Divisional Portals - Legal, HR Communications, IT, Corporate Finance, etc.	<ul style="list-style-type: none"> <li>▪ Permanent</li> <li>▪ Controlled; tightly governed</li> <li>▪ Push information to users</li> <li>▪ All public sites - content is divisional information</li> <li>▪ Dashboards, Business Intelligence, BPM</li> <li>▪ Applications, Content</li> </ul>	<ul style="list-style-type: none"> <li>▪ Portal administrators</li> <li>▪ Divisional business owners</li> </ul>

Taxonomic Section/Examples	Characteristics	Owners
Department and Team Sites - HR(Benefits, Training, Payroll etc.) Legal ECM	<ul style="list-style-type: none"> <li>▪ Permanent and Temporary</li> <li>▪ Sharing information (push / pull)</li> <li>▪ ECM</li> <li>▪ Collaboration</li> <li>▪ Ad hoc, less controlled</li> </ul>	<ul style="list-style-type: none"> <li>▪ Divisional business owners</li> <li>▪ Departmental business owners</li> </ul>
Project Team Sites – PIP Sites, Project ‘Trackers’	<ul style="list-style-type: none"> <li>▪ Short lived, timed expiration</li> <li>▪ Collaboration</li> <li>▪ Ad hoc, less controlled</li> </ul>	<ul style="list-style-type: none"> <li>▪ Departmental business owners</li> </ul>
Personal My Sites	<ul style="list-style-type: none"> <li>▪ Permanent</li> <li>▪ Personal info</li> <li>▪ Pull information</li> <li>▪ Ad hoc, less controlled</li> </ul>	<ul style="list-style-type: none"> <li>▪ Portal administrators</li> <li>▪ Employees</li> </ul>

## 3. Document & Record Management

### 3.1. Documents

#### 3.1.1. Overview

##### 3.1.1.1.

With the myriad of tasks required to perform daily business functions across "YOUR COMPANY NAME", there are also a wide variety of associated Documents. These Documents take on many forms and file types. One goal of ECM is to steadily move away from unstructured storage of these Documents to organized, centralized and searchable storage of all Documents. Many Documents will be categorized by Record/Content Type and be migrated to the Record Center as Company Records, while others may remain non-Records. Another goal of ECM is to

---

sensibly formulate a plan for retention/deletion of these non-record Documents based on business process needs.

### 3.1.2. Physical Documents

#### 3.1.2.1.

**Offsite Storage** – As Documents continuously get virtualized, it becomes necessary to move Documents offsite. (company) has partnered with Recall to store and index company Documents. The Document Systems team is managing the shipping of tower Documents and corporate business units are organizing their own efforts.

#### 3.1.2.2.

**Virtual Library** - In conjunction with the ECM initiative there was much consideration given to the handling physical Documentation. During the early stages of the ECM project, the Document Systems team began the Virtual Library initiative to ensure that, going forward, all new tower Documents will get scanned and uploaded. The Virtual Library process also involves scanning and uploading legacy Documents stored in the file room at (location), based on priority. This undertaking is vital to the success of ECM in that it will consistently make more (company) Documentation readily available and searchable. The goal is to have 100% of necessary company Documents uploaded.

### 3.1.3. Document/File Types

#### 3.1.3.1.

SharePoint is compatible with literally thousands of documents and as such, there needs to be definition around which of those documents should/should not be uploaded to SharePoint. Please refer to the SharePoint Portal Governance Plan for such guidance as ECM will comply to these (company) policies.

## 3.2. Record/Content Types

#### 3.2.1.1.

As a complementary component to the Information Architecture, the introduction of Record/Content Types is employed to house meta-data; which works in conjunction with the meta-data defined within Lists/Document Libraries. This meta-data is displayed in varying manifestations and is dependent on business unit usage within team sites and views. The meta-data gathered provides enhanced ability to search for and identify Documents. Each Content/Record Type shall be housed within its own Document library within the Record Center, enabling unique metadata qualities and security to be applied. (See Sec. 5.3.2)

#### 3.2.1.2.

Record/Content Types will be created proportionate to business unit needs as ECM gets implemented. Each will have a dedicated Document library which will allow for unique combinations of metadata and security.

## 3.3. Record Center

#### 3.3.1.1.

The Record Center houses all company Records. Within the Record Center there is a Record library for each established Content/Record Type

### 3.3.2. Record/Content Type Libraries

#### 3.3.2.1.

Each Record/Content Type has its own dedicated Document library. These libraries are unique to the Record/Content Type. Site columns are created in accordance with the metadata for that

---

Record/Content Type. There will be a certain amount of metadata required to be applied to Documents in WIP libraries before the Document can be graduated to a Record and checked into the Record Center.

3.3.2.2.

There is a workflow in place to graduate established Record/Content Types to the Record Center and is available using each Document's edit menu. It is during this workflow that metadata gets applied to the Document, enabling submission to the Record Center, thus making it a Record.

### 3.4. Work-In-Process Libraries

3.4.1.1.

WIP libraries will be set up for each Department/Business Unit as ECM implementation dictates. These will house Documents that have not yet reached the point of maturity required to become a Company Record. Once Documents have been moved to the WIP libraries, they will have an additional two (2) year retention schedule applied. If Documents have not been modified for 2 years in the WIP libraries, they will be deleted. During this 2 year period, Documents worthy of graduation to a Company Record shall be moved to the Record Center. Should Documents not be migrated to the Record Center or modified for two years, they will be deleted. There may be Documents that are not meant to be Company Records, which may remain in the WIP library until their retention period of two (2) years expires.

3.4.1.2.

There is a workflow in place to graduate established Record Types to the Record Center and is available using each Document's properties menu.

### 3.5. Historical Library

#### 3.5.1. Documents from File Shares

3.5.1.1.

**Departmental Documents** - As ECM is implemented, unstructured Documents will be migrated from file shares (such as departmental T Drives, P Drives, etc.) and placed in an historical library. From this library, business units will determine which of these Documents they would like to move to their Work In Process (WIP) Library. There will be a retention period of two (2) years from the date of placement in the Historical library. Documents remaining longer than 2 years will be deleted. Third party tools may be used for migration of multiple Documents to the Historical Library.

3.5.1.2.

**Personal Documents** – At the time of the release of this Document there is no mandate on how to handle individual-specific Documents except to allow them to be uploaded to ECM with the option to apply custom permissions to be assigned by the Document owner. U Drives will still be used until further notice, at which time this document will be updated to reflect the finalized policy.

### 3.6. Record Management Policies

#### 3.6.1. The following Record Management Policies are available in detail in Appendix A

3.6.1.1.

Operational Definitions

- 
- 3.6.1.2. Objectives
  - 3.6.1.3. Administration
  - 3.6.1.4. Record Retention
  - 3.6.1.5. Legal Department Roles
  - 3.6.1.6. Chief Administrative Officer Roles
  - 3.6.1.7. Employee Roles

### **3.7. Record Management Procedures**

#### **3.7.1. The following Record Management Procedures are part of the ECM training materials and also available in detail in Appendix B:**

- 3.7.1.1. ECM Record Point of Contact Role
- 3.7.1.2. Employee's Role
- 3.7.1.3. Electronic Documents and Records
- 3.7.1.4. Physical Documents and Records
- 3.7.1.5. Records Retention Periods
  - 3.7.1.5.1. Human Resources
  - 3.7.1.5.2. Information Technology
  - 3.7.1.5.3. Finance – Corporate Accounting
  - 3.7.1.5.4. Finance – Financial Reporting
  - 3.7.1.5.5. Finance – Financial Planning and Investor Relations
  - 3.7.1.5.6. Finance – Treasury
  - 3.7.1.5.7. Finance – Corporate Accounts Payable
  - 3.7.1.5.8. Finance – Insurance
  - 3.7.1.5.9. Finance – Internal Audit
  - 3.7.1.5.10. Legal Department

---

3.7.1.5.11.

Tax

3.7.1.5.12.

(location) Finance Department

### **3.7.2. Content/Record Type Request**

3.7.2.1.

Inevitably, there will come a time when a department realizes that the Record Types they surmised at the time of their ECM implementation no longer comprehensively represent all varieties of Documents they are required to graduate to Company Records. This may happen for a variety of reasons including, but not limited to, changes to business processes or policies, or governmental compliance standards. In order to accommodate this, there is a formalized Content/Record Type request process in place. See Appendix C for a detailed process flow and sample request form/checklist.

## **4. ATC SharePoint ECM Standards**

---

### **4.1. Overview**

4.1.1.1.

All corporate SharePoint standards as outlined by the SharePoint Governance Plan also apply to the ECM environment. To this end, the corporate standards are intended to evolve in a limited capacity as ECM is deployed more broadly throughout the organization. These are key areas that will provide a baseline of continuity. These standards are to be employed in compliance with the Records Management Policies and Procedures outlined in **Appendix A and B**

### **4.2. Team Sites**

#### **4.2.1. Provisioning Team Sites for ECM**

4.2.1.1.

A standardized Site Template will be employed for departmental use within "YOUR COMPANY NAME". The Site Template will initially contain a common set of web-parts and other components. Deviation from the standard set of building blocks will be addressed at the time of departmental ECM implementation, on a case by case basis. Detailed descriptions of these features and usage instructions are included in the ECM Training Guide. At this point, ECM Team Sites include the following building blocks and are subject to change:

4.2.1.1.1.

#### **Document Library(s)**

Work in Process libraries, Documents fully searchable with appropriate permissions

4.2.1.1.2.

#### **Records Center Access**

4.2.1.1.2.1.

A common Records Routing Table that will allow for WIP Documents to be routed from the WIP Libraries to the Records Center

Company Records stored in libraries based on content type. Fully searchable with appropriate permissions. Records are read-only by definition and have retention policies applied. Also, graduating of Documents to Records via workflow.

4.2.1.1.3.

#### **Departmental Announcements List**

---

4.2.1.1.3.1.

Site Owners can adjust headlines for their department/team

4.2.1.1.4.

**Departmental Calendar**

4.2.1.1.4.1.

Keep track of team members vacations and other important team-related events

4.2.1.1.5.

**Content/Record Types**

4.2.1.1.5.1.

As a complementary component to the Information Architecture, the introduction of “Record Types” is employed to house meta-data; which works in conjunction with the meta-data defined within Lists/Document Libraries. This meta-data is displayed in varying manifestations and is dependent on business usage. The meta-data gathered provides enhanced ability to search for Documents. Each Content/Record Type shall be housed within its own Document library enabling unique metadata qualities and security to be applied.

4.2.1.1.6.

**Standardized Workflows**

4.2.1.1.6.1.

To be defined on site by site/role by role basis

4.2.1.1.7.

**Extranet Implementations** – To be determined when an extranet site is created with ECM implications

**4.2.2. Team Site Management**

4.2.2.1.

**SharePoint Portal Team** Please refer to Section 2.4 of this document for role definition

4.2.2.2.

**Site Owner/Record** Please refer to Section 2.4 of this document for role definition

4.2.2.3.

**Available Features by Role** – Depending on the role you play on your team, you will have certain SharePoint features available for your usage. Below is a matrix to outline which are available for which roles:

	<b>SharePoint Administrator</b>	<b>Site Owner (POC)</b>	<b>Site Member (Contributor)</b>	<b>Site Visitor (Read Only)</b>
<b>Add Users to site</b>	X	X		
<b>Add announcements to site</b>	X	X		
<b>Add items to task lists</b>	X	X	X	
<b>Modify/Add web parts</b>	X			
<b>Initiate workflow</b>	X	X	X	
<b>Assign action items</b>	X	X	X	
<b>Set alerts</b>	X	X	X	
<b>Edit team calendar</b>	X	X		
<b>Add content to picture/slide libraries</b>	X	X	X	

---

<b>Contribute to discussion boards</b>	X	X	X
<b>Contribute to Wikis</b>	X	X	X
<b>Edit Issues lists</b>	X	X	X
<b>Add SharePoint List</b>	X		

---

### 4.2.3. Project Site Provisioning

#### 4.2.3.1.

ECM is being implemented with a deliberate strategy aimed at maximizing SharePoint functionality while maintaining business-as-usual productivity. To this end, only SharePoint administrators shall create ECM Team Sites. Any sites connected to ECM team sites as they get implemented, need to be scrutinized by the ECM Governance Board, the Technical Team, and the Business Team. As such there is a formalized requesting process required to ensure compliance with both the SharePoint and ECM Governance Plans. See **Appendix D** for the process flow and team site request form.

### 4.2.4. Team Site Variability

#### 4.2.4.1.

As ECM is implemented throughout "YOUR COMPANY NAME", there will inevitably be certain business units that have unique requirements for their team sites. Although there will be a standardized template in place (Sec 5.2.1) there may or may not be flexibility around customizations of the Team Sites. Feasibility of any variance to standardized Team Sites is at the discretion of the Business Owner, the ECM Governance Board and The Lead SharePoint Architect. Business units will need to have convincing and sound business needs outlined, which will then need to be translated into requirements Documents with the help of the departmental Record POC, the ECM BA and the SharePoint team. Any customizations will need to be prioritized in accordance with current IT change management processes.

## 5. Communication Plan

---

### 5.1. Overview

#### 5.1.1.1.

At all stages of the ECM implementation, the intention is to maximize communications to the business to keep them apprised of progress, implementation schedules and training opportunities.

### 5.2. Company-wide

#### 5.2.1.1.

Using the already existing avenues such as the (internal publications) to laud progress and familiarize (company) employees with the ECM concepts and goals. Scheduled downtime will be communicated by the IT infrastructure team and augmented by the ECM BA as needed.

### 5.3. Localized

#### 5.3.1.1.

Departmental communications based on local implementations of ECM via divisional,

---

departmental, and team portals in concert with site owners and implementation schedules which will be determined on a case-by-case basis.

5.3.1.2.

Recurring ECM meetings will be scheduled between the ECM BA and POCs to maintain open lines of communication and to stay apprised of system performance, enhancements, issues and sharing of best practices.

## **6. Training Plan**

---

### **6.1. Overview**

6.1.1.1.

For any new system, a solid training plan is required if the users are going to adapt to the new system and use it effectively in their daily activities. The following methods will be employed as appropriate on an implementation-by-implementation basis. It is important to ensure a variety of wide-ranging flexible options as implementations will vary in size and complexity. Different levels of detail will be applied depending on level of user involvement in ECM.

### **6.2. Trainer-led Classroom sessions**

6.2.1.1.

Usually occurring as implementations approach, this hands-on method will target functionalities specific to the ECM solution and touch upon useful functionality that the out-of-the-box SharePoint product provides. The out-of-the-box functionalities within this curriculum will be focused on those most commonly used as part of ECM at "YOUR COMPANY NAME". Beyond implementation periods, training sessions can be arranged based on need or in conjunction with enhancement releases.

### **6.3. Train the Trainers**

6.3.1.1.

As Business owners and Record Point-of-Contacts are identified, they will go through additional, more detailed training which will cover their additional responsibilities including team site management, project site provisioning and content/record type requesting. These roles will then be responsible for their business unit's ECM environment and will be empowered to train new team members with the full support of all training resources available to them. Beyond implementation periods, training sessions can be arranged based on need or in conjunction with enhancement releases.

### **6.4. Online Microsoft Training**

6.4.1.1.

Microsoft has extensive and detailed online training courses which target both specific SharePoint 2007 functionality and general user overviews. These are a terrific resource and are free and available 24 hours, 7 days a week, 365 days a year. It is highly recommended that Record POCs exploit this resource to become versed in as much of SharePoint's functionality as possible.

### **6.5. Other Tools**

---

6.5.1.1.

Among other tools that will be employed for training purposes are Quick Reference Cards (QRCs) which will be distributed at the time of implementation, Frequently Asked Questions (FAQs) which will answer common questions, and (company) Development Center modules to be developed by the Corporate Training Department.

## **6.6. Support Team Training**

### **6.6.1. Help Desk**

6.6.1.1.

Knowledge transfer will occur as needed to bring the Help Desk up to speed on all functionality that is unique to ECM. The Help Desk is familiar with SharePoint's out of the box functionality and has had experience supporting it.

### **6.6.2. BA/Developer Back Ups**

6.6.2.1.

Knowledge transfer will occur as needed to bring back up members of the support team (BAs, Developers) up to speed on all functionality that is unique to ECM and all relevant out of the box SharePoint functionality. This will enhance flexibility and make the ECM support structure more robust.

### **6.6.3. SharePoint Portal Team**

6.6.3.1.

ECM Training for the SharePoint Portal Team will compliment their training of all other (company) instances of SharePoint 2007. The ECM SharePoint Specialist will transfer knowledge as needed to team members for backup and coverage purposes. Other formal or informal Micro Soft/SharePoint training will be employed as appropriate at the discretion of the SharePoint Portal Team Supervisor

---

## **7. Support Plan**

---

### **7.1. Overview**

7.1.1.1.

Support for the ECM environment shall be consistent with application support as it currently exists using the ticketing system in place and will be included in the SLA performance metrics applied to IT. Below are the roles involved in issue resolution:

### **7.2. Service Desk**

7.2.1.1.

Performance issues and system incidents to be prioritized/processed through ticketing system. Assignment of tasks accordingly.

### **7.3. Business Analyst**

7.3.1.1.

Assist service desk in defining cause of incidents and best course of action/assignment of tasks, then defining proper resources.

---

7.3.1.2.

Collection of requirements and drive implementation of enhancements/non-showstopper issues as prioritized using current IT processes.

## **7.4. SharePoint Team & Infrastructure Resources**

7.4.1.1.

Work with Service Desk and BAs to resolve incidents based on FIFO & priority. Develop and implement enhancements working with BA requirements Documents as prioritized using current IT processes.

## **8. Appendix A – Record Management Policies**

**(to be inserted here)**

## **9. Appendix B – Record Management Procedures**

**(to be inserted here)**

---

---

---

---

---

## **10. Appendix C – New Content/Record Type Request**

---

### **10.1. New Record/Content Type Request Form/Checklist**

## NEW RECORD/CONTENT TYPE REQUEST CHECKLIST

RECORD POC \_\_\_\_\_ DEPARTMENT/ORG \_\_\_\_\_  
 REQUESTING \_\_\_\_\_

### Description

**New Record Type Name** – Please provide desired Record Type name here

**Business Need** – Please explain the basic business need for creation of this new record type

### EVALUATION – TO BE COMPLETED BY BA/SHAREPOINT TEAM

- |  |  |                          |
|--|--|--------------------------|
| <b>Similar to another Record Type?</b> | Is there currently another Record Type similar in content and metadata needs? If so describe here  | <input type="checkbox"/> |
| <b>Meta Data required</b>              | What attributes of the Record Type are required for this Document to be a record? These should be relevant to the usage of the Document/record | <input type="checkbox"/> |
| <b>Security required</b>               | What security restrictions need to be placed on this Record Type?  | <input type="checkbox"/> |
| <b>Retention Period</b>                | How long must this Record Type be retained? What is the rationale used to establish this duration?   | <input type="checkbox"/> |

More evaluation steps to be added upon review

### APPROVALS

### SIGN OFF

- |                         |       |
|-------------------------|-------|
| <b>Business Owner</b>   | _____ |
| <b>Governance Board</b> | _____ |
| <b>SharePoint Team</b>  | _____ |

Approvals added or removed upon review

### TASKS TO COMPLETE

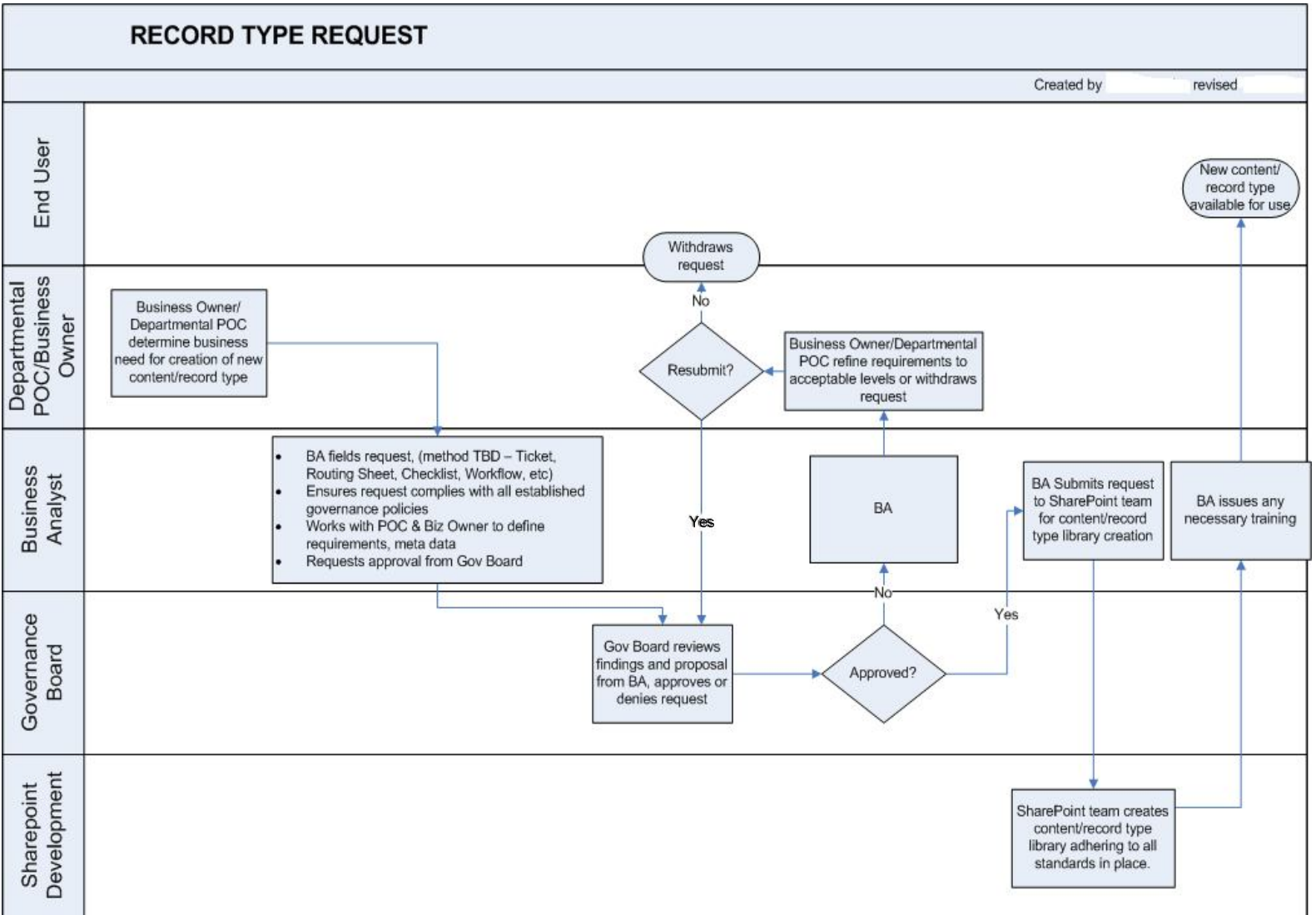
- |  |  |                          |
|--|--|--------------------------|
| <b>Library Creation</b>                      | Security and retention schedule set  | <input type="checkbox"/> |
| <b>Metadata applied</b>                      | This includes adding meta data columns and routing for meta data indexing (SP Team to add detail here) | <input type="checkbox"/> |
| <b>Library connection to ECM environment</b> | All necessary tasks to link library to rest of ECM system  | <input type="checkbox"/> |

Any other tasks to be added upon review

10.1.1.2.

There may be a desire to automate this requesting process using SharePoint lists or workflow functionality, etc.

## 10.2. Content/Record Type Request Process Flow



## 11. Appendix D – Project Team Site Provisioning

### 11.1. Project Team Site Provisioning Request/Checklist Form

# PROJECT TEAM SITE REQUEST CHECKLIST

VERSION 1.0 CREATED 4/20\_\_ BY

RECORD POC  
REQUESTING \_\_\_\_\_

DEPARTMENT/ORG \_\_\_\_\_

BUSINESS  
OWNER \_\_\_\_\_

DATE \_\_\_\_/\_\_\_\_/\_\_\_\_

ALL PROJECT TEAM SITES WILL BE CREATED BASED ON PRIORITIZATION. AS PART OF YOUR CURRENT ECM TEAM SITE, YOUR SITE OWNER/RECORD POC WILL BE RESPONSIBLE FOR ADDING FURTHER USERS AS NECESSARY.

**Business Need –**

Please briefly explain the basic business need for creation of this new project team site.

**Default Team Site Features**

In accordance with ECM SharePoint policies, all Team Sites have the following default features: (List here)

**Optional Features needed (LIST ALL ALLOWABLE FEATURES HERE)**

- |  |   |                                      |
|--|---|--------------------------------------|
| <input type="checkbox"/> Photo Library | <input type="checkbox"/> Discussion Board | <input type="checkbox"/> Issues List |
| <input type="checkbox"/> Issues List   | <input type="checkbox"/> Survey           | <input type="checkbox"/> Issues List |
| <input type="checkbox"/> Wiki          | <input type="checkbox"/> Slide Library    | <input type="checkbox"/> Issues List |

**EVALUATION – TO BE COMPLETED BY BA/SHAREPOINT TEAM**

Valid business need?

**MORE CONSIDERATIONS ADDED HERE**



**ROLE**

**APPROVALS**

**SIGN OFF**

Business Owner

\_\_\_\_\_

Governance Board  
Rep. (?)

\_\_\_\_\_

Business Analyst

\_\_\_\_\_

SharePoint Team

\_\_\_\_\_

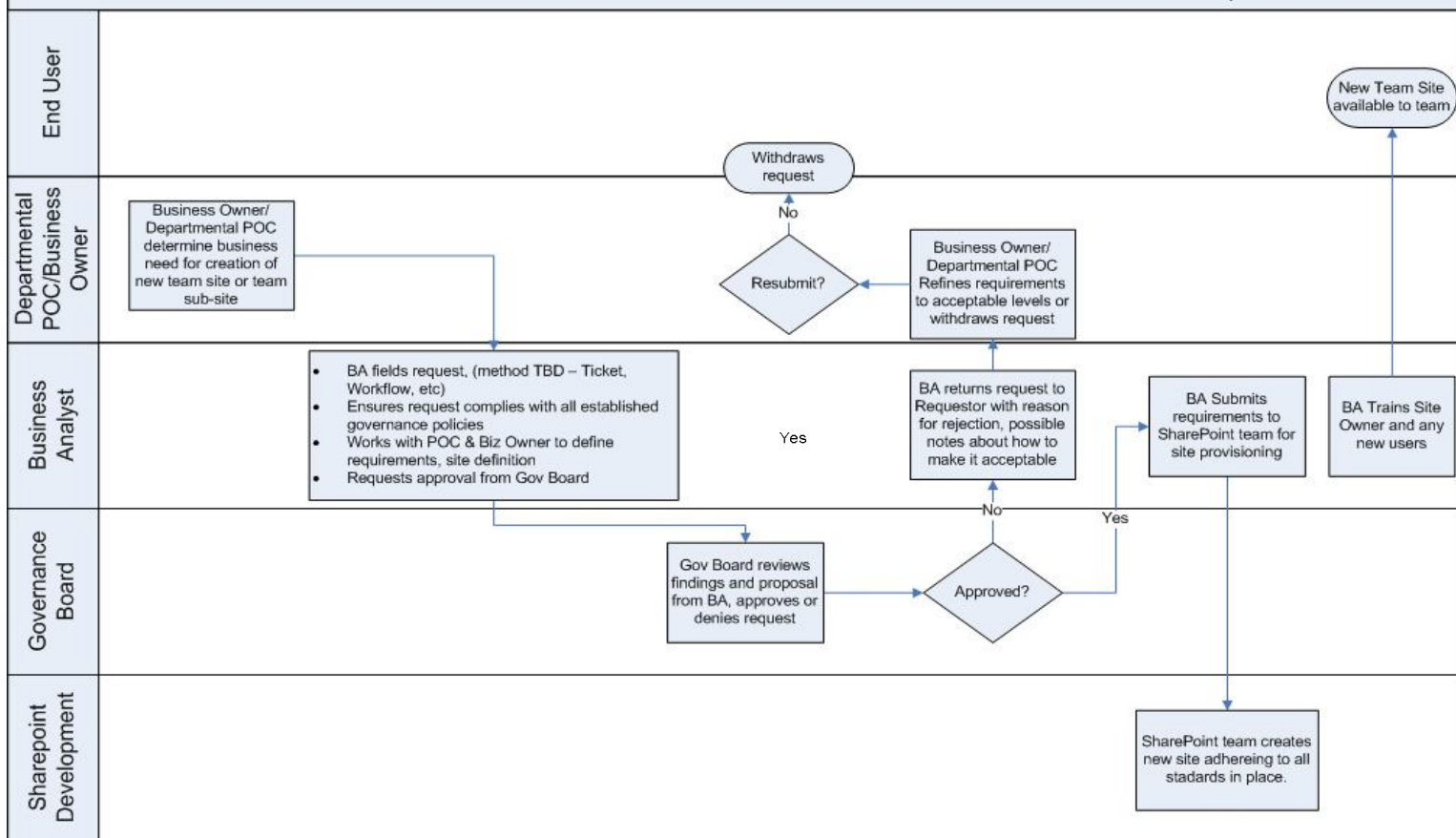
Approvals added or removed upon review

**TASKS TO COMPLETE**

**Project Site Creation**

Project Site has been created and linked into ECM Team Site navigation. All inherited security settings are applied.

# PROJECT TEAM SITE PROVISIONING



**Requested Features Added**

All requested and approved features have been incorporated



*Any other tasks to be added upon review*

(There may be a desire to automate this requesting process using SharePoint lists or workflow functionality, etc.)

## 11.2. Project Team Site Request Process Flow