

Document Management Plan



PORT OF OAKLAND

1. INTRODUCTION

1.1 Purpose

The purpose of the Document Management Plan for the Port of Oakland Aviation Facilities Department 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.

1.3 References

1.3.1 Best Practices Website

For guidance on the Port of Oakland Document Management Plan, refer to the POABest Practices Website (<http://www.bp.poa.com>).

1.3.2 Writing Style Guide

For guidance on writing styles, refer to the Port of Oakland Writing Style Guidelines document

1.3.3 Project Centralized Document Repository

Document names and reference numbers for any documents that can be references have been redacted.

Glossary and Acronym

DGS	Department of General Services
IPOC	Independent Project Oversight Consultant
IT	Information Technology
IV&V	Independent Verification and Validation
PMO	Project Management Office

1.4 Document Maintenance

If the document is written in an older format, the document should be revised into the latest POA template format at the next annual review.

This document will be reviewed annually 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

2.1.1 Project Director

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

2.1.2 Project Manager

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

2.1.3 Project Librarian

The POA Project Librarian 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 WorkSite, and ensuring the WorkSite profiles are complete and consistent. The Librarian is also responsible for complying with the OSI's records retention policies and archiving hardcopy documents, as appropriate.

2.1.4 POA Project Team

The POA Project Team uses the OSI standard tool for document management called WorkSite. All project staff members, including state employees and onsite consultants, are responsible for creating and storing documents in the WorkSite 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 WorkSite (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 POA Contractor Project Team.

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

2.1.6 POA Acquisitions Manager

The POA Acquisitions Manager ensures documents associated with the solicitation are included in the project library.

2.1.7 POA Contract Manager

The POA Contract Manager ensures that contract documentation is maintained.

2.1.8 POA Administration Manager

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

2.1.9 POA WorkSite Administrator

The POA WorkSite Administrator is responsible for maintaining the POA WorkSite application and database. The administrator acts as a resource for project staff and stakeholders regarding the tool. The administrator is also responsible for creating and managing project user accounts and setting up document profile information to be used by the project.

3 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	<ul style="list-style-type: none">• Documents pertaining to the administrative operations of the project, including documents for funding, personnel, staffing, equipment licenses and warranties, etc.

TYPE	DESCRIPTION
Analyses and Recommendations	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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 WorkSite. Non-critical e-mail is purged at the user's discretion. • E-mail and other electronic documents are open to public access under the Public Records Act (PRA), unless privileged or otherwise exempt. Follow these rules for confidential e-mail information: <ul style="list-style-type: none"> ▪ E-mail should be written in a professional manner that is consistent with one's role as a public servant. ▪ E-mail and other electronic documents may be accessible for public viewing through a Public Records Act (PRA) request. ▪ Both incoming and outgoing e-mail can be retained for business purposes into WorkSite. ▪ E-mail can be saved into WorkSite through Filesite via Outlook or saved locally and imported. ▪ 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 an POA network storage area (example: one's h: drive) as soon as possible. POA pays a monthly fee (based on the amount of data stored) for each mailbox on the Department of Technology Services' Exchange network.
Plans and Processes	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Documents used in training or briefing project staff, county staff or stakeholders.
Reference Materials	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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 and/or Department of General Services (DGS), respectively, 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 *POA Configuration Management Plan* for more information on management of project databases.

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

4 DOCUMENT STORAGE

Each POA project should determine and document how, when, and what types of documents it will store in the project libraries (hardcopy and electronic).

4.1 Hardcopy Library

When setting up a hardcopy document library, it will be necessary to consider the following:

1. The area must be located at the project site.
2. The library can be located in an open area but should be in a facility that can be locked during non-state business hours. However, the library must be accessible during normal state business hours. Access to the library during non-state business hours must be coordinated with the Project Librarian.
3. The library must have an area (locking cabinets and/or files) that can secure confidential documentation (e.g., FSR, IAPD, etc. that have not yet been approved).
4. The library should have an area large enough to store project documentation for each phase of the following life cycles: Project Management, Acquisition, and System Development. The area should have sufficient room for growth.

APPENDIX

Appendix A: SAMPLE LIBRARY SUBMITTAL FORM

Library Submittal Form	
Submitted By:	Date:
Document Title:	WorkSite #:
Document Type: <input type="checkbox"/> Internal Only <input type="checkbox"/> Incoming <input type="checkbox"/> Outgoing	Doc Date:
Document Description:	Originator/Author:
Special Instructions <input type="checkbox"/> Sensitive / Confidential <input type="checkbox"/> Replace previous version <input type="checkbox"/> Save previous version <input type="checkbox"/> Other:	Originating Office: <input type="checkbox"/> Project Office <input type="checkbox"/> Federal Stakeholder <input type="checkbox"/> Control Agency <input type="checkbox"/> Sponsor <input type="checkbox"/> User / Stakeholder <input type="checkbox"/> Prime Contractor <input type="checkbox"/> Consultant <input type="checkbox"/> OSI <input type="checkbox"/> Other
Comments/Retention Instructions:	
Library Location:	
Binder / Folder / File: _____	

Appendix B: SAMPLE HARDCOPY ONLY FORM

HARDCOPY ONLY FORM

This document is located in the *POA* Library as a *hardcopy only*. For hardcopy location, please see this document's WorkSite profile. You can access the document's profile by right clicking the mouse and choosing *Edit Profile*.

See the *POA* Librarian if you need assistance locating this document or working with the WorkSite system.