



<b>Program Name</b>	<b>Enterprise Content Management Program Charter</b>
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<b>Abstract</b>	The purpose of this Program Charter is to summarize and formally authorize the existence of the ECM program and detail common understanding of scope, time and cost.
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## Document Control

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### CHANGE HISTORY

Version	Date of Issue	Author	Brief Description of Change
1.0	February 26, 2007	Tina Chahal & Geoff Samson	Final Version
2.0	October 6, 2008	Lois Enns	Revise framework, update; distribute to interim ECM Steering Group
2.1	November 6, 2008	Lois Enns	Add project deliverables; distribute to interim ECM Steering Group
2.2	November 13, 2008	Lois Enns	Additional changes; distribute to interim ECM Steering Group

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### Purpose of Document

The purpose of this document is to:

- a. Formally authorize the existence of the program strategy;
- b. Detail a common understanding of the program strategy scope and approach among the stakeholders, particularly project managers whose projects are key to the program area;
- c. Assist with providing an overall roadmap that will allow for better resource benchmarking and forecast the appropriate resources involvement needed to make this program a success;
- d. Obtain the Program Sponsor's approval to proceed with the program based on the detailed budget and the attached program schedule.

### Mission Statement

The mission of the Enterprise Content Management Program is to successfully transition the City of Surrey's existing unstructured electronic records into a system that provides management throughout the information lifecycle; and to provide a sustainable foundation for e-business standardization, workflow integration, enterprise-wide collaboration and paper reduction, in a business environment characterized by continued, rapid growth.

### Background

The ECM is the largest single information program that the City of Surrey has undertaken. While some municipalities implemented electronic document and records management systems from the mid-1990s (Richmond) to the early 2000s (North Vancouver), Surrey has used shared drives for over 15 years, resulting in an enormous banks of electronic files across a growing array of servers. At the same time, the implementation of proprietary database systems (e.g. Amanda, PeopleSoft, Computron) has resulted in a highly complex technical environment.

#### Paper Records

Since 18880, the City's official, master record has been the paper or hard copy. However, in the past decade, the City has not had strong, centralized records management program. There has been no certified records manager in place since about 2002 and the Records Management Manual of best practices last updated 1992. A Records Census completed in 2008 showed that only about ten of sixty-five File Registry staff consistently applied the file plan to their records, and only one out of eight departments are applying the file plan to their shared drives. Until recently, Records Centre staff were unaware of how to apply the file plan to the 8,000 boxes of records stored off site. Even without our own internal issues, it should be noted that paper records are notoriously inefficient: labour-intensive to process; requiring substantial storage space; hard to control; easily lost; and characterized by slow access times averaging five to fifteen minutes per document.

#### Electronic Records

Since the implementation of desktop computers in the 1980s, the City's business processes have steadily moved away from paper towards electronic formats. The resulting electronic records are extremely space effective, easy to update, simultaneously accessed by multiple users, and characterized by very rapid retrieval. However, electronic records are also fluid and have a high capacity for constant change.

Some challenges associated with electronic records include:

- Higher customer expectations for on-demand information and services;
- Accessibility challenges related to the complexity of the information environments;
- Greater risk of loss due to digital fragility (e.g. operating environment, application or media obsolescence; viruses, worms, Trojan horses);
- Much shorter life expectancy (ten to twenty years, as compared to one hundred plus for paper);
- Much more difficult preservation challenges in ensuring that records remain in useable condition over time;
- Greater technical expertise required by all users;
- Higher strategic importance, with a potential for transforming the overall management of the business for better or worse.<sup>1</sup>

In a broad sense, the City holds two types of electronic information assets: those held in structured database environments; and those held as unstructured documents on shared drives. Structured databases include assets produced in Amanda, Tempest, PeopleSoft, Fire Department Management system and others. Unstructured assets are documents created using MS Office products (e.g. Word's .doc formats, Excel's .xls, PowerPoint's .ppt), Adobe Acrobat (.pdf format) and others desktop applications (e.g. .dwg, .wav).

### **The Enterprise Content Management Program**

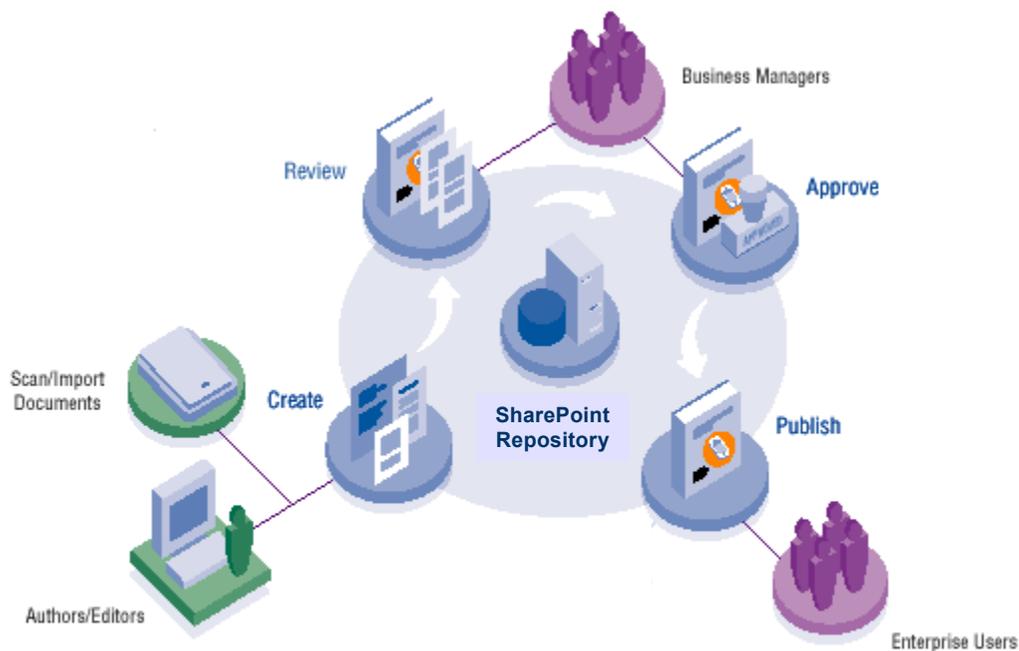
What is Enterprise Content Management? In the larger sense, ECM refers to the strategies, tools, processes and skills an organization needs to manage *all* of its information assets. In the ECM Program, an Enterprise Content Management approach is being applied to all unstructured electronic records. These records represent many of the organizations key corporate and operational information assets and yet are among the most difficult to manage, share, retrieve and preserve over time because they lack the structure and self-containment provided by a database.

Essentially, Enterprise Content Management systems create a database-like environment for unstructured records. An ECM system enables users to capture records into a repository and where they can embed descriptive metadata (data attributes) that enables the system to automatically manage, control access, retrieve, and audit the records. The file classification plan is one type of metadata, used to define how long the records are kept over time.

In this diagram, Authors and Editors create new electronic records as either "born digital" (created in an electronic environment) or as media conversions (created by scanning). They are captured into the repository, represented by the circle of connectivity. Once in the repository, Business Managers and other users can review and approve the documents, or they can be published to other Enterprise Users or external participants.

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<sup>1</sup> Stephens, David O. Records Mangement: Making the Transition from Paper to Electronic. USA: ARMA International, 2007.



By implementing an Enterprise Content Management (ECM) system, the City of Surrey will enhance the management of unstructured information throughout the records' lifecycle, from capture to indexing, retrieval, and authorized disposal or long-term preservation. The record content streams stored in the City's ECM repository will include documents, email, web, system imports, media conversion and specialty files, enabling enterprise search across the information asset bank. The ECM repository will become the main information bank for all unstructured information assets and enable publication to the intranet and internet.

The Enterprise Content Management (ECM) program is one of the key strategic program areas identified in the corporation's Information Technology Strategic Plan.

The ECM Program is a driver for other technology programs, including the Windows Vista Deployment Program, Client PC Asset Replacement Program, and High Availability Production Environment.

## Objectives

### Mission Statement

The mission of the Enterprise Content Management Program is to successfully transition the City of Surrey's existing unstructured electronic records into a system that provides management throughout the information lifecycle; and to provide a sustainable foundation for e-business standardization, workflow integration, enterprise-wide collaboration and paper reduction, in a business environment characterized by continued, rapid growth.

### Objectives

The ECM Program has the following objectives:

- Develop and obtain Council adoption of a formal Records Management Framework that promotes the City's transition from a paper- to electronic-based records management system and meets all legal, operational and civic needs;
- Develop and document Requirement Specifications for an ECM system, with reference to existing standards and current/future business unit needs, for unstructured information assets from creation to deletion or long-term preservation, and ensure that all records retention, information audit and compliance requirements are met;
- Ensure ECM program compatibility with the other technology programs, including the Windows Vista Deployment Program, the Client PC Asset Replacement Program, and the High Availability Production Environment;
- Develop and document the Design & Build of an ECM system using MS SharePoint technology;
- Develop and deliver a Drive Migration project that guides staff in the successful transitioning of existing information assets from the shared drives into the MS SharePoint repository, to offline storage or for authorized deletion;
- Develop and deliver an Implementation Plan that includes Deployment, Communications and Training;
- Implement MS SharePoint across all business units in the City;
- Complete the Program within the budget (see Financial Impact Analysis);
- Complete the Program within the timeline (see Roadmap).

## Business Benefits

### Vision Statement

"The City's information bank."

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

### Business Value

The Enterprise Content Management System achieves the following key business benefits:

- Provides an enterprise-wide, **single point of access** to the City's unstructured information assets which include hundreds of thousands of files created and saved by staff in the last 15 years;
- Enables staff to **access** information more quickly leading to **improved customer service**;
- Provides the basis for improved **information sharing**, streamlining business processes and workflow;
- Automates the **records management** process across a wide set of content streams;
- Ensures **legal compliance** with sixty-five federal and provincial acts and ten codes by providing an auditable record environment—resulting in **reduced legal risk**;
- Provides **centralized** information management, better reporting, and an **audit trail**;
- Improves the City's **ability to respond to citizen's requests** made under the *Freedom of Information & Protection of Privacy Act* or as required by **legal discovery** processes;
- **Reduces** physical **storage** requirements;
- Increases **accountability** between City departments and internal/external users;

- **Reduces paper** dependency with a goal of a 50 to 75 percent reduction within three to five years;
- Improves vital records **protection** and promotes **disaster recovery**;
- Increases **security** of city data and reduces associated liability;
- Insures the **long-term viability** of the City's electronic information assets.

## Success Factors

The ECM Program will be deemed successful if ensuring:

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

The implementation of an ECM at the City of Surrey represents a major change in the way staff work. An ECM's success often depends on levels of staff acceptance: successful ECM implementations consider the user's ability to accommodate change. Through the development of this program, the ECM team will endeavor to achieve the following:

- **Make the ECM Process Transparent** - the process of classifying records into an ECM repository needs to be so ingrained into the daily work process that it becomes invisible. Emphasis will be placed on efficiency (e.g. minimize the number of clicks and keystrokes needed to save or retrieve documents). By ensuring that the users index documents accurately during the save process, retention rules can be automatically applied.
- **Manage User Expectations** – Communicating to users exactly what to expect, when to expect it, and how it will benefit them in performing their jobs is critical to success of the program area. Users must know what is being delivered and what is not being delivered.
- **Focus on People** – The easiest way to get people to adopt ECM is to show them the benefits of using it both on a personal and on an organization level. This means involving the right people in the change process: including not only those who are interested in improving process, but also a few doubters/skeptics who can help define resistance points is crucial early in the process.
- **Focus on Processes** – When implementing ECM, there are two approaches to achieve the desired objectives: to customize the software to handle existing business process; and to change the process to accommodate the technology.

Customizing software takes time and cost money. A considerable amount of time must be spent outlining processes – which will involve interviewing people as much of the current process information resides in people's heads rather than formalized in writing.<sup>2</sup>

- **Training on Processes** – Training needs to go beyond software to application in accordance with the City practices – especially records management.

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<sup>2</sup> Implementing EDMS: Putting People First, Lynette Dowing, CRM, The Information Management Journal July/August 2006, p44-50.

- Keeping Sight of the Big Picture (Enterprise View Point) – Rather than giving the departments or business units everything they ask for in isolation, the program must represent a coordinated effort to reduce redundancy while providing a framework for information sharing and process efficiency.
- Understand Changing Communication Dynamics – Work group dynamics change when users are able to share electronic information easily. Collaboration increases, as electronic documents are attached to email messages and shared with both internal and external parties. It will be important to understand how changes impacts the user community (both internal and external).

### Approach for Meeting Goals

The ECM Program will be delivered based on two bodies of knowledge (BOKs): records management; and information technology management.

Records management applies philosophies and business rules to the management of information, as dictated by legislation, regulations, standards, best practice and corporate requirements. The Records Framework developed for the ECM Program defines how information is managed throughout the records lifecycle. The three components of the framework include: the Records Management By-law; the Records Management Manual; and File Plan 4.0 (classification and retention). These deliverables will formalize governance, roles and responsibilities for the City's information assets. Upon adoption by Council, the Records Framework will be put into operation as dictated by the Implementation Plan.

In addition, the appraisal, re-classification, transitioning and authorized disposal of legacy unstructured information assets stored on the shared drives will be completed according to records management best practices. The Drive Migration Project may be developed in association with InterPARES 3 (IP3), a project at the University of British Columbia designed to help "test beds" develop robust electronic record keeping systems. Working with researchers in the IP3 project, the City can gain access to migration knowledge: IP3 could provide a number of key deliverables for this joint project.

The information technology components of the program will be delivered to the *Project Management Body of Knowledge*, as formalized by the Project Management Institute and implemented at the City of Surrey using the *IT Project Management Life Cycle: A Guide Book*. The City's project management life cycle consists of five phases: identification, definition, detailed planning, implementation, and close-out/evaluation.

Documentation may include Opportunity Statements (or Business Cases); Statements of Work (or Project Charters); Status Reports; Management Logs (scope, issues, organizational change management, decision requests); Contracts; Sustainment Reports (or Plans); Project Financial Planning; and Contracts.

### Major Influences on Program Timing

This initiative is driven by:

- a. The Council adoption of the Records Management Framework;
- b. The PC Asset Replacement Program;
- c. The Windows Vista & Office 2007 Deployment Program;
- d. The High Availability Production Environment Program.

### Interdependencies

The City supports a complex business environment with numerous work plan initiatives. As defined in the *Information Technology Strategic Plan* finalized on April 17, 2006, the ECM Program is the driver for a number of other business and technology programs. These interdependencies include:

- a. **Records Management Framework:** The City's existing framework was adopted in 1992 and does not include electronic records. In order to introduce the ECM system, the records management framework must be updated and formally adopted in order to gain legal and operational compliance. Rather than develop a separate program for this RM initiative, the requirements for the new framework have been incorporated into the ECM Program.
- b. **Windows Vista & Office 2007 Program:** MS SharePoint is the chosen technology for the ECM Program and requires Windows Vista & Office 2007 as a base load. Although the Windows Vista & Office 2007 Program identifies other business benefits (i.e. enhanced user experience, ensuring Microsoft mainstream support), the key pressure for the timing of this deployment is the ECM Program.

The ECM interdependency includes: the licensing model and investments for the MS Office 2007 productivity suite; and the City's training plan for standard desktop operating system and the MS Office suite.

The Windows Vista & Office 2007 Program is itself dependent on the Asset Management/Deployment Tool (Altris) Upgrade project.

- c. **PC Asset Replacement Program:** Dell, the main supplier of the City's client PCs and monitors, advised that they no longer ship new PCs with the Windows 2000 operating system. In order to maintain a standardized hardware environment that can support MS SharePoint, the City has expedited its PC replacement program.
- d. **High Availability Production Environment Program:** the hardware and software supporting the City's Storage Area Network production environment is aging and is no longer able to meet the current and imminent business needs (i.e. very high availability, performance and capacity). The High Availability Production Environment Program will investigate and select technology to meet the City's requirements; replace the existing systems; and migrate all applications, data and services from the existing environment to the new environment.
- e. **Content Management System (CMS2002) Upgrade:** The CMS2002 upgrade is MS SharePoint. The City's web site versioning plan is now dependent on the timing of the MS SharePoint roll-out.
- f. **MS Exchange Upgrade:** Because MS Exchange 2003 is not believed to be compliant with MS SharePoint, the versioning plan for upgrading MS Exchange may be delayed beyond 2009.

### Interim Solutions

The ECM Program has two predecessor projects created as interim solutions while business units awaited the ECM implementation. They are:

- a. **iCompass iHost:** In 2003, Legislative Services worked with Information Technology to implement a hosted site for Council documents (e.g. bylaws, agendas, minutes reports). In the past year, the iHost service has become unstable, with dropped links, unstable and corrupted documents, and lengthy

retrieval times. In addition, the Council is now asking for electronic agenda management to reduce paper use under their sustainability mandate.

The division is now looking at a go-forward tool for Agenda Management (i.e. Granicus), but this tool is a hosted solution that does not include content management.

Information Technology will need to work with Legislative Services and iHost to resolve some of the existing deficiencies, so that this interim solution can last until the ECM is implemented and the legacy assets can be normalized and transitioned into the repository.

In some ways, this is also an ECM interdependency since the solution may be incorporated in the CMS2002 upgrade.

- b. **Laserfiche:** In 2005, the Building division asked Information Technology to provide a media conversion/digital asset management solution for their Property files, which contain current and historical information for every property in Surrey. Subsequently, the Laserfiche digital asset management solution was implemented at the City, and a scanning program was initiated with MicroCom, the incumbent micrographic provider to the City.

From a records management perspective, the solution is somewhat problematic as it does not contain the file classification plan; does not include a sufficient set of metadata (i.e. the Property ID and Folio are missing); and resulted in the destruction of all paper records and cessation of microfilming without the implementation of a digital or other preservation plan.

However, in the absence of an ECM system, the Laserfiche media conversion program was rolled out to Planning, Land Development and Taxation. Mapping, Facilities and Legislative Services have also applied to Information Technology for implementation. These projects will be approved or denied by the ECM Steering Group based on migration planning.

The Laserfiche system and its assets will need to be assessed during the development of ECM functional requirements in order to determine whether these assets will be ingested into the ECM repository and whether the media conversion upload requirements can be met by MS SharePoint or a Laserfiche-MS SharePoint integration.

## Key Assumptions

The ECM Program is based on the following key assumptions:

- a. The Council and the Senior Management Team will adopt the Records Management Framework;
- b. Staff will participate in Records Management training and adopt records management best practices;
- c. MS SharePoint's technological framework is sufficient to meet all mandatory ECM functional requirements;
- d. Information technology staff can provide the required technological environment within the necessary time frame;
- e. The City has or can obtained the required staffing resources.

### Scope

The ECM Program is comprised of several initiatives, managed in parallel and coordinated from the IT Project Management Office (PMO) or the Legislative Services division. The ECM Program areas can be broken into the following functional areas:

1. Program Management;
2. Records & Information Governance;
3. Functional Requirements;
4. Support Technology;
5. Design and Build;
6. Drive Migration; and
7. Implementation.

The following are detailed description of these functional areas, including a definition of what is in scope and out of scope.

#### 1. ECM Program Management

The ECM Program will use the City's existing IT Program & Project Management methodologies to provide the structure and governance for this program. The objective is to move the City to an ECM way of working – on time, within budget and up-to-quality.

Two key deliverables will be created to support ECM Program Management:

- a. The **Program Charter** is a statement of the program's scope, objectives and participants' roles and responsibilities.
- b. The **Financial Impact Analysis** documents the organizational costs and benefits of the ECM program, including: recommendation of proposed option, acceleration of PC replacement, number of staff, Microsoft licensing and training costs, etc.

#### In Scope

- a. Develop and obtain approval of the ECM Program Charter;
- b. Develop and obtain approval for the Financial Impact Analysis;
- c. Use of ITS Program Management methodologies for Scope Management;
- d. Use of ITS Program Management methodologies for Human Resource and Time Management;
- e. Use of ITS Program Management methodologies for Cost Management;
- f. Use of City procurement methodologies for Procurement Management;
- g. Use of ITS Program Management methodologies for Quality Control Management
- h. Use of ITS Program Management methodologies for Issue Management and Change Requests;
- i. Use of ITS Program Management methodologies for Risk Management; and

- j. Use of ITS Program Management methodologies for Post-Implementation Review.

### Out Of Scope

- a. Modification or enhancements other than those listed above.

## 2. Records & Information Governance

Information Governance is the accountability of organization's information assets.<sup>3</sup> It is about managing information well, and defining accountability for organization's information assets. Information Governance is critical from the time of ECM development and continues into the operation and throughout the life of the ECM Program. Future information development projects will need to be integrated with, and eventually be absorbed within, the Records & Information Governance structure.

Previously, information governance was focused on the management of paper records. With the implementation of the ECM Program, the information governance provided by the Legislative Services division of the City Manager's Office is extended to unstructured, electronic records. As the ECM system becomes integrated with structured databases, the division's information governance will extend to these areas as well.

As with paper records, the Legislative Services division will provide subject matter resources and best practice guidance for the management of the City's records from capture, through classification, management, storage, preservation, authorized destruction and delivery.

Four key deliverables will be created to support Records and Information Governance:

- a. **Records Management By-law:** a basis for legislative compliance with federal and provincial acts (e.g. *Income Tax Act*, *Community Charter*, *Freedom of Information & Protection of Privacy Act*) and compliance at the municipal level;
- b. **Records Management Manual:** a code of best practices for City records and information processes;
- c. **File Plan 4.0:** the basis for record classification, retention scheduling and business unit accountability
- d. **Computer-Based Training Modules:** six modules, created for workstation viewing, describing the fundamental tenants of municipal records management (i.e. compliance; file classification; paper management; electronic management; email and FOIPPA).

### In Scope

- a. Update and implement the Records Management By-law;
- b. Update and implement the Records Management Manual to document information governance roles and responsibilities, provide resources and tools, and identify benchmarks and audit areas to ensure compliance;
- e. Update and implement File Plan 4.0;

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<sup>3</sup> AIIM – Information Governance Module, 2007

- f. Update the Records Management database to include: Record Census data uploads; an electronic version of the File Plan; enhanced records management functionality; and File Registry management;
- g. Contribute to the ECM Training Plan by providing general records management overviews (through CBT modules), records management workshops, and asset transitioning training;
- h. Align records management policy, procedures and training to reflect the other deliverables of the ECM Program;
- i. Create and produce six CBT Training Modules.

### **Out Of Scope**

- a. Modification or enhancements other than those listed above.

### **3. Requirement Specifications**

The Requirement Specifications define the activities and services that must be included in the ECM system to satisfy the users' business needs. Requirement Specifications will include: document management, records management, external interfaces, data, metadata, performance, quality, operating, usability, training, and documentation. Through this process, the ECM team will also identify and forward any requirements relating to Support Technology program areas.

The Requirement process will begin with the Records Manager and ITS Business Analyst documenting the functional requirements for one content stream, referring to existing standards and specifications, business documentation, and other resources. This step may also include the development of process models (e.g. data flow diagrams).

Once a preliminary set of Requirement Specifications for the first content stream has been captured, Use Cases will be created. The ITS programming team (or third-party) will identify whether or not the Requirements Specifications and Use Cases can be met using out-of-the-box MS SharePoint features, or whether the application will require customization. The ITS programming team (or third-party) will capture their findings by providing step-by-step Use Case Scenario instructions (as per the *SharePoint Proof-of-Concept Use Case Scenarios* sample).

Following the completion of the Requirement Specifications and Use Case Scenarios, a Joint Requirement Planning Session will be held. The JRP Session will be a facilitated workshop where business users review the specifications and use cases. Feedback will be documented, and the specification updated. The final Requirement Specifications and Use Case Scenarios for that content stream will then be presented to the ECM Steering Group for comments and approval.

The Requirement Specifications will be developed for one content group at a time and will include a review of: document types; metadata attributes and management; naming conventions; full-text and/or keyword indexing (general/specific); search and enterprise search (hit highlighting; Copernic, Google Search, SharePoint search); indexing aides (group favourites, recently used, smart tags); file control and versioning; use histories; file plan classification issues; file normalization; and digital preservation. The Requirements Specification will be developed in iterations, based on content streams:

- a. **Document Management:** ECM Prototype Business Requirements review; MS Office (.doc/x, .ppt/x, .xls/x) and Adobe Acrobat (pdf/a) file formats; pdf conversion and tool requirements; e-signatures; conversion to pdf/a for external distribution;
- b. **Records Management:** file plan (taxonomy) implementation and maintenance; ownership, confidentiality and access controls; mark as a record; disposal triggers and actions based on time and event;
- c. **Intranet:** file formats (.xml, .html); SFU Industry Standards, Market Research, GUI and Story Board review; IT project implementation review; IT user documentation review; web support group business practice review;
- d. **Photographs:** file formats (.tif, .jpg); embedded metadata standards and capabilities; photograph types; camera setting, capture and upload; exif metadata (Date of Capture, Date Modified, geolocators); copyright, credits, user permissions, and captions; standards and formats for publishing;
- e. **Email:** file formats (.rft, msg); Exchange 2003 versus MOSS2007 comparison; eliminating "archived" email files (.pst); email lifecycle and transitory records; appropriate use; attachments; copies and threads; authentication (or not); external dissemination; volume management; retention and disposition specific to email (fall-off, ad hoc deletion to business rules, inactive records, permanent records);
- f. **Internet:** file formats (.xml, .html); CMS2002 to SharePoint conversion; IT project implementation review; IT user documentation review; web support group business practice review; iHost file import requirements (but not iHost deficiencies); create versus upload for publishing;
- g. **Media Conversion:** file formats (.tif); integration of Laserfiche features and repository; appropriate/primary point of access; out-sourced media conversion and upload utilities; on-demand OCR scanning; integration of iHost holdings;
- h. **Specialty Content:** file format discovery (e.g. drawing files [.dwg, ERSI shapefiles], video files [.wav]); asset integration; viewers and native application launching; file linking; import tests; and
- i. **Workflow Integration & Collaboration:** workflow tool integration analysis with enterprise applications (PeopleSoft, Posse, Amanda); work process analysis (e.g. Council Agenda Management); workflow processes and routines; collaboration processes and routines.

### In Scope

- a. Develop a Functional Requirement Specifications format;
- b. Research and document Requirement Specifications for each Content Group;
- c. Create Use Case Scenarios to test MS SharePoint application functionality for each Content Group;
- d. Conduct Joint Requirements Planning Session for each Content Group and document results;

- e. Analyze and document MS SharePoint application gaps for each Content Group;
- f. Present each content type Requirement Specifications to the ECM Steering Group and obtain sign-off;
- g. Finalize the complete set of Requirement Specifications and obtain ECM Steering Group sign-off.

### **Out Of Scope**

- a. Modification or enhancements other than those listed above.

## **4. Support Technology**

The ECM Program relies on a number of other technology programs defined and governed by the IT Strategic plan. As the driver for these programs, the ECM Program team must identify any specific ECM requirements and communicate them to the appropriate team. Conversely, each of these teams needs to be aware of the ECM Program, and communicate their needs to the ECM team.

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

Support Technology programs identified as having an ECM interdependency include:

- a. Windows Vista & Office 2007 Program;
- b. PC Asset Replacement Program;
- c. High Availability Production Environment Program;
- d. CMS2002 Upgrade; and
- e. MS Exchange Upgrade.

In addition, the ECM team may identify other support technology requirements.

### **In Scope**

- a. Identify ECM requirements for Windows Vista & Office 2007 Program and review with the program team;
- b. Identify ECM requirements for the High Availability Production Environment Program and review with the program team;
- c. Identify ECM requirements for CMS2002 Upgrade and review with the program team;
- d. Identify ECM requirements for MS Exchange and review with the program team.

### **Out Of Scope**

- a. Modification or enhancements other than those listed above.

### 5. Design & Build

Following the completion and demonstration of the ECM Proof-of-Concept, a phased ECM implementation was planned, with the first iteration based on a basic feature set directed to a specific department or function.<sup>4</sup> Subsequently, it was decided that the full set of functional requirements would be identified; out-of-the-box functionality would be confirmed and documented; customizations would be programmed by a third-party; and a close to full-set of features will be developed and implemented in the first of a phased rollout.

The rationale for the shift is based on the records management perspective that each business unit will hold many or all of the content types defined in the Requirement Specifications. If a phased approach were taken for the ECM design and build, with different content types being added with each iteration, users would have to redo a number of steps involved in training, transitioning assets, developing business processes and the like as each content iteration was rolled out. Given that the users will also need to accept a new records management framework, new hardware, new MS Office Software, and participate in asset transitioning in a new production environment, it is believed that there would be significant user resistance to an iterative ECM development approach.

The Design & Build third-party vendor will provide the first iteration for in-house testing, followed by revised iterations for testing and further development. Ultimately, the supplier will provide ECM1, an implementation version for placement in the first test department (likely Human Resources). Following implementation, the vendor will be asked to make any adjustments before the application is rolled out across the City.

The key deliverables for the Design & Build include:

- a. **Customized Application:** A final, customized version of MS SharePoint that meets all Requirement Specifications;
- b. **SharePoint System Guide:** Complete system documentation that provides in-house ITS staff with the means to maintain the application;
- c. **SharePoint User Guide:** A user's guide to features, functionality and best practices.
- d. **SharePoint Application Training:** A training module to introduce new users to the SharePoint environment and best practices.

#### In Scope

- a. Create and update the ECM infrastructure frameworks ("As Is" and "To Be") to identify the key functionality, repositories, and tools sets currently in use and for use in the future;
- b. Develop ECM1, the first iteration of the MS SharePoint build, import to the municipal environment, test and make any required changes;
- c. Demonstrate ECM1 to the early adopter, ITS program partners, the ECM Steering Group, and the Senior Management Team;
- d. Develop SharePoint System Guide;
- e. Develop SharePoint User Guide and training modules;

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<sup>4</sup> City of Surrey IT Strategic Plan 2006.

- f. Finalize ECM1 for implementation to the early adopter department.

### Out Of Scope

- a. Modification or enhancements other than those listed above.

## 6. Drive Migration

The City currently holds millions of information assets on large servers with multiple drive paths. Many of these assets are low-value records that are duplicated across drives, exist in various versions, and/or have met their legal and operational needs. Others are mission critical assets that must be identified, reviewed and uploaded to the ECM repository for long-term management and preservation.

Currently, only one department (Fire) has organized their electronic assets with reference to the File Plan. Unfortunately, without applying the file plan to the assets, the City does not have any legal recourse to dispose of redundant records. Similarly, key assets cannot be identified and set aside for long-term preservation.

The appraisal, re-classification, transitioning and authorized disposal of legacy unstructured information assets stored on the shared drives will be completed according to records management best practices. The Drive Migration Project may be developed in association with InterPARES 3 (IP3), a project at the University of British Columbia designed to help “test beds” develop robust electronic record keeping systems. Working with researchers in the IP3 project, the City would gain access to leading-edge research and knowledge. IP3 would provide a number of key deliverables for this joint project.

Once the process has been formalized through the IP3 project, Legislative Services will work with ITS to help each business unit prepare their drive assets for transition into the ECM repository. Some examples of the work include: renaming Windows folders; creating, validating and applying file naming standards; adding metadata; and identifying folders and files for deletion/retention.

The key deliverables for the Drive Migration may include:

- a. **Migration Assessment:** The assessment documentation could include an inventory of existing drives; identification of file formats; determination of acceptable migration formats; identification of required metadata (and gap analysis); review of document versions and relationships; general project timeline; definition of resources; and business constraints (e.g. blackouts periods).
- b. **Migration Methodology:** The methodology documentation could include mapping of content from existing to new folder structure and from existing to target location; file validation and/or normalization; business logic rules for handling data exceptions and transformations; SharePoint configuration requirements; definition of a step-by-step migration process with technical and business documentation.
- c. **Migration Tool(s):** Software tools and/or programming will be required to automate the migration process. Once the Migration Assessment is complete, Migration Tools must be identified, tested against a set of sample data, and examined for errors or other challenges.

- d. **Migration Manual:** Develop a manual for use by business units.

### In Scope

- a. Apply to become an UBC InterPARES 3 testbed;
- b. Complete a Migration Assessment;
- c. Develop a Migration Methodology;
- d. Identify and test Migration Tools;
- e. Document best practices in a Migration Manual;
- f. Implement in one business unit;
- g. Embed the Drive Migration process into the Implementation Plan and roll out to business units as the first tangible step towards implementation.

### Out Of Scope

- a. Modification or enhancements other than those listed above.

## 7. Implementation Plan

The Implementation Plan defines the scope and goals, required resources, scheduled activities and durations, milestones, and project status for the phased deployment of MS SharePoint to business unit desktops.

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

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

The key components of the Implementation Plan include:

- a. **Deployment Schedule:** The deployment schedule incorporates key dependencies (i.e. Windows Vista & Office program, PC Asset Replacement program, High Availability Production Environment program), blackout periods, and the ECM Program need for phased roll-out based on departmental readiness (i.e. technological, cultural).
- b. **Communications:** The communication plan includes multi-level staff engagement (e.g. SMT, Steering Group, business units, records staff), feedback mechanisms (program areas and concerns), media venues (face-to-face meetings, minutes, intranet, other), and lead timing (critical dates).

- c. **Training:** The training plan includes records management training (i.e. records governance and management via streaming video; workshops for record clerks); and application training (i.e. MS SharePoint). The training plan identifies any needed user documentation and confirms in-time delivery.

### In Scope

- a. Develop and implement a Deployment Schedule based on Department, Division, Section, Location;
- b. Develop, schedule and implement a Communication Strategy;
- c. Develop, schedule and implement a Training Strategy.

### Out Of Scope

- a. Modification or enhancements other than those listed above.

## Roles and Responsibilities

### Stakeholders

The stakeholders are the people who an interest in, or who may be affected by the ECM Program. Stakeholders may be actively involved in the project, or may be positively or negatively affected as a result of the program. As a result, they may exert influence over the project and its results. ECM Program stakeholders include:

- a. **Council:** As indicated in the Mayor's 2007 State of the City Address, Council's concerns include: economic, social and economic sustainability; accommodating rapid growth; building on cross-jurisdictional and inter-governmental (e.g. homelessness, crime reduction); and developing the City's profile at home and abroad. The Council approves the City's annual budget and will formally adopt the Records Management Framework.

Council will not have access to the ECM but will benefit from ECM efficiencies (e.g. faster retrieval times, better information management, ease of publication, a paper-reduced environment).

- b. **Senior Management Team:** The City is comprised of Departments, each headed by a General Manager. These General Managers make up the Senior Management Team (SMT), which meets regularly to discuss corporate-wide issues and generate solutions to administrative or operational problems and recommend options to Council on policy development. The SMT develops the annual budget and holds the fiscal accountability for corporate decisions.

The SMT approved the development of the ECM Program; the ECM Proof-of-Concept Prototype; and the ITS budget submissions for both operating and special project funding for the program.

- c. **ECM Steering Group:** Reporting to the Senior Management Team, the ECM Steering Group is a decision-making body representing the interests of internal stakeholders and includes representatives from all departments: City Manager's Office (Legislative Services and Legal); Engineering; Finance

(Finance and Information Technology); Fire; Human Resources; Library; Planning & Development; and Parks, Recreation & Culture.

- d. **Business Units:** The organizational structure of the City is based on Departments, managed by operational units (Divisions) and sub-units (Sections), or geographically by location (Facilities). The ECM Program is an enterprise-wide program that will affect all business units.
- **All Units** will participate in ECM Program awareness, Records Management training, and Drive Migration projects. Managers and technicians will participate in Requirement Specification.
  - **Legislative Services** will provide program strategy and business leadership; complete records management projects; contribute to requirements specifications; act as a subject matter expert on joint technology projects; provide records management user documentation and training; and manage RM labour resources.
  - **Information Technology** will contribute to program strategy, provide technology leadership; manage technology program and projects (for all parameters including cost); provide the operating environment for the ECM application-of-choice (i.e. Ms SharePoint); select and manage external vendors; provide user documentation and training for technology; and manage IT labour resources.
  - **Legal Services** will provide guidance on legal components of the program, including the Records Management By-law and the File Plan retention schedule.
  - **Risk Management** will review program documentation (e.g. Program Charter and Financial Impact Analysts) for risk; and advise of any internal or external audit requirements.
- e. **End Users:** Approximately 1600 of 3000 City staff will be introduced to the ECM repository via their desktops. The ECM represents a better way of working with information collaboratively and sustainably across the enterprise. End users will be required to take records management and application training, and to participate in the ECM implementation. As noted in the Success Factors, application transparency, managed expectations, selling the benefits, adjusting processes, training, standardization, and communication are all strategies geared to obtaining high user acceptance for the new system.
- f. **Residents:** City of Surrey residents will not have direct access to the ECM repository. The ECM Program will affect them through faster publication of information via the website and better customer service at front counters. By providing the base repository for workflow, forms management, collaboration and other features, the City will move towards wider information access for residents—towards eServices and eGovernance.
- g. **Vendors:** The main vendor for the ECM Program is **Microsoft**, the creator and provider of the MS SharePoint application and environment. Microsoft also provides the operating environment (Windows & Vista 2007) and premier document creation application (MS Office). The City of Surrey is one of the first full MS SharePoint implementations in Canadian municipal government.

Business pressures for MS SharePoint implementation include the discontinuation of the Windows 2000 operating system and the expectation that Windows & Vista 2007 would provide better return on investment and a longer lifecycle than Windows XP. [Indications of Microsoft support for the City's project include \\_\\_\\_\\_.](#)

The main vendor for the City's desktop hardware is **Dell**. In 2007, Dell announced that it would no longer be shipping computers with the Windows 2000 operating system. In order to provide the appropriate desktop environment for MS SharePoint, the PC Asset Replacement Program delivery was pushed up for completion in 2008.

**Software vendors** (e.g. Laserfiche, PeopleSoft) are providing updates to their software to ensure compatibility with the Windows & Vista 2007 environment and, in some cases, MS SharePoint. The IT division will need to work with these vendors to ensure system compatibility throughout the ECM development and implementation.

**Consultants** (e.g. SoftLanding, Annex) will provide auxiliary services throughout the ECM Program. Partnership and fiscal responsibility are key requirements for these vendors.

### ECM Steering Group Members

Reporting to the Senior Management Team, the ECM Steering Group is a decision-making body representing the interests of internal stakeholders and includes the following representatives:

City Manager's Office	<a href="#">Deputy City Manager</a>	<a href="#">Dan Bottrill</a>
Legislative Services	Deputy City Clerk	Jane Sowik
	Records Manager	Lois Enns
Legal	Assistant City Solicitor	Kelly Rayter
FOIPPA Expert	David Bennett	
Engineering	<a href="#">General Manager</a>	<a href="#">Vince Lalonde</a>
Finance & Information Technology		
Finance	Manager, Financial Services	Susan Fillion
Information Technology	Manager, IT	Geoff Samson
	<a href="#">Client Solutions Manager</a>	<a href="#">Anthony Labistour</a>
	<a href="#">IT ECM Program Manager</a>	<a href="#">Tina Chahal</a>
Fire	Manager, Communications	Karen Fry
Human Resources	<a href="#">General Manager</a>	<a href="#">Nicola Webb</a>
Library	<a href="#">Chief Librarian</a>	<a href="#">Beth Barlow</a>
Planning & Development	Manager, Administration	George Siudut
Parks, Recreation & Culture	Manager, Parks	Owen Croy

### Leadership

Legislative Services and Information Technology divisions jointly lead the ECM Program and report on the project to the ECM Steering Group. Roles and responsibilities include:

- a. **Legislative Services:** Effective October 2, 2008, the division has been assigned the lead role in business/operational leadership and strategic direction.
  - **Deputy City Manager** approves divisional project positions for the program and participates in the ECM Steering Group;
  - **City Clerk Elect** signs off on all Records Management deliverables; presents the Records Framework to Council for adoption; participates in RM program hires; liaises with the Legal division on all compliance issues; and participates in the ECM Steering Group;
  - **Records Manger** sits as **ECM Program Director**, chairing the ECM Steering Group; provides program deliverables including the Program Charter, Roadmap and Records Framework; contributes to Requirement Specifications; and participates in the ECM Steering Group;
  - **Records Co-ordinator (paper)** provides operational support for the Record Centre and contributes to the Records Management Manual;
  - **Records Co-ordinator (electronic)** participates in the Drive Migration project development and implementation.
- b. **Information Services:** The division will provide all technological support and management for the ECM Program development and implementation.
  - **Manager of Information Technology** acts as liaison between the ECM Steering Group and the SMT; and participates in the ECM Steering Group;
  - **Client Solutions & Support Services** provides program oversight; works with the Business Solutions Manger to ensure project resources; and participates in the ECM Steering Group;
  - **IT ECM Program Manager** provides program management, including Financial Impact Analysis; scope management; human resource and time management; procurement management; quality control management; issue management and change requests; risk management and leads the post-implementation review; and participates in the ECM Steering Group;
  - **ECM Business Analyst** creates the Use Case Scenario documentation format; develops and documents Requirement Specifications; defines the system architecture; and acts as the project manager for the Design & Build.

### External Subject Matter Experts

External subject matter experts available to the ECM Program include:

Manjeet Lidder	Microsoft	SharePoint SME & Design Architect
Randy Preston	UBC SLAIS	Digital Migration & Preservation
???	SoftLanding	???
Mitch Barnett Rueben Zilberberg	BurntSand	SharePoint SME & Implementers
Barb McDonald	Annex	Business Analysis, Requirements Specification, Project Management
Sandi Bradley	Harwood Consulting	Records Management
Stuart Rennie		Legal Expertise

### Costs

The following table will be used to provide overview costs associated with the program area:

	Budgeted	Required
Hardware		
Software		
Training		
External Services (Dollars)		
Internal Services (Effort)		
Total (without tax)		
Total (with taxes)		
Annual Operating Costs		



## Approvals

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

\_\_\_\_\_  
Murray Dinwoodie, Executive Sponsor

\_\_\_\_\_  
Date:

\_\_\_\_\_  
Geoff Samson, Program Sponsor

\_\_\_\_\_  
Date: