

Attachment A

OFFICE OF THE CHIEF TECHNOLOGY OFFICER ENTERPRISE WIDE TAXONOMY STATEMENT OF WORK

C.1 SCOPE:

The District is seeking professional services to develop an enterprise approach and organizational rules to create/capture, manage, store, retrieve, deliver and dispose of structured and unstructured documents. This will be accomplished through the creation of an Enterprise Wide Taxonomy and District Wide electronic document management business rules, policies and procedures for 20 existing District Agencies and other technology programs (e.g., PASS, Remedy and PeopleSoft).

The contractor shall collaboratively develop the District's initial ECM Taxonomy along with the policies, procedures, and rules for managing content through the Districts ECM standard, FileNet. It will involve engaging District users and stakeholder groups in the analysis, design, and development of an enterprise strategy for managing the Districts documents and records, as well as developing the District's first integrated information taxonomy and reference structure. The strategy development will be led by the District Sponsors (Executive Office of the Mayor, Office of the Secretary, and Office of the Chief Technology Officer) and supported by the EDM program project team.

Contractors are expected to incorporate previous findings from an analysis of document management policies and business rules in several District Agencies. A summary of these findings can be found in Paragraph C.6.

C.2 BACKGROUND

C.2.1 The District of Columbia (DC) Government's Office of the Chief Technology Officer (OCTO) was established to execute the legislative mandate to centralize responsibility for the District government's investments in information technology and telecommunication systems and to help District departments and agencies provide service more efficiently and effectively. OCTO also develops and enforces policy directives and standards regarding information technology (IT) and telecommunication systems throughout District government. OCTO provides expertise to District departments and agencies seeking to use IT and telecommunication systems to improve services.

C.2.2 The Office of the Secretary of the District of Columbia was established in 1802, and is responsible for a wide variety of administrative, ceremonial, and operational duties for the Mayor of the District of Columbia. In 1985, DC Law 6-19 created the Office of Public Records Management, Archival Administration, and Library of Governmental Information within the Office of the Secretary, to collect, preserves, conserve, and service the official records of the District of Columbia government. The Office of Public Record's three divisions hold a wide array of documents that include administrative, architectural, engineering, fiscal, genealogical, historical, and legal records. The Office of Public Records within the DC Archives, appraises, schedules, selects, accessions, stores, preserves, and makes available to researchers the permanent records of the District government.

- C.2.3** The Electronic Content Management Project (ECM) is a collaborative effort between the Office of the Secretary, Executive Office of the Mayor (OS/EOM) and the Office of the Chief Technology Officer (OCTO). The OS/EOM and OCTO will act as executive sponsors of the initiative. The Office of the Secretary will be the Operational Sponsor, with responsibility for owning the business outcomes of the project and OCTO will define the technology architecture and standards into this business automation initiative. OCTO's Electronic Content Management program will provide technology and project management support.
- C.2.4** This project supports the District's Strategic Goal of "Making Government Digital", OCTO's Strategic Goals of Digitizing 20 million pages of paper in 2007, and the Council and Mayoral Information Technology Goal that all business processes work.

C.3 REQUIREMENTS

C.3.1 Technical Approach and Engagement Methodology:

The contractor shall provide a proposed technical approach and engagement methodology that demonstrates competency in the development and implementation of both enterprise taxonomy and business rules, policies and procedures for ECM. The approach and methodology must illustrate content and process competency and innovation of these tasks in the field of Electronic Content Management, and must provide the necessary outcomes to configure the District's ECM FileNet solution and create the basis for ongoing taxonomy and business rules development that will be managed by the Office of the Secretary, Office of the City Administrator, and the Office of the Chief Technology Officer and associated governance structures that will be created as deliverables of this Statement of Work.

C.3.2 Successful Experience & Competency:

- a. Experience developing taxonomies for other municipalities as well as developing national best practices shall weigh heavily in selecting contractor. The District shall select a contractor that brings "best-in-breed" content experience and credentials in developing enterprise ECM taxonomies and business rules and policies that will support the implementation of the District's ECM solution.
- b. The contractor shall also have extensive experience in assisting municipalities in adapting and effectively implementing its Taxonomy and Business Rules.
- c. The contractor shall also have experience developing and implementing a governance structure for the continued maintenance of the newly established Taxonomy and Business Rules.
- d. The successful contractor shall bring competencies to these deliverable that is recognized internationally in the ECM field.

C.3.3 Joint ventures are encouraged which combine District experience and industry experience developing municipal, state or industry enterprise taxonomies.

C.4 DELIVERABLES

CLIN	Deliverable	Quantity	Format/Method of Delivery	Due Date	To Whom
0001	Project Plan for assessing the Taxonomy of 20 agencies and/or programs currently practicing document management	1	Report	10 days from contract award	ECM
0002	20 Agency/Program Assessments	20	Report	75 days from contract award	ECM
0003	Summary Inventory of Taxonomy and Business Rules	1	Report	85 days from contract award	ECM
0004	Initial draft of framework for Taxonomy and Business Rules based on inventory	1	Report	90 days from contract award	ECM
0005	Implementation strategy for engaging agencies in the adaptation of Enterprise Taxonomy and Business Rules	1	Report	95 days from contract award	ECM
0006	First Draft of the Taxonomy and Business Rules	1	Report	100 days from contract award	ECM
0007	Change Management Procedures for District Taxonomy Policies and Procedures	1	Report	110 days from contract award	ECM
0008	Final Taxonomy and Business Rules Document	1	Report	120 days from contract award	ECM

C.5 DEFINITIONS

ECM – Electronic Content Management (aka Electronic Document Management) – An organizational strategy that determines the requirements for a technology solution to scan, categorize and store public records.

NARA – National Archive and Records Administration.

DC Law 6-19 – District of Columbia Public Records Management Act of 1985 provides that any record created or received by the District in the course of official business is the property of the District.

SME – Subject Matter Experts

Enterprise Records Manager – The overall owner of the records management strategy on an operational level.

Taxonomy – An organizational system based on information relationships.

C.6 SUMMARY FINDINGS FROM PREVIOUS DOCUMENT MANAGEMENT ASSESSMENTS

Law/ Standard	Key Gaps	Policies and Procedures Recommendations	ECM Technology and Applications Recommendations
HIPAA	<p>Documented policies and procedures are not in place for agencies that handle patient medical records</p> <p>Security and privacy controls are not strictly in place</p>	<p>Identify all of the records within the agency that may qualify as medical or patient-related documents</p> <p>Document (or develop) policies and procedures for obtaining patient authorization to share information, security from unauthorized access, and track and audit all access, transfers and use of patient documents</p> <p>In agencies where an ECM system is being implemented, security and privacy processes need to be documented now for the electronic patient records</p>	<p>A case file management ECM application would automate many of the processes requiring documentation and control by HIPAA; many of the ECM vendors offer solutions that are HIPAA-compliant</p>

FOIA	<p>FOIA process is completely manual in both the retrieval of the information and the tracking of the results of FOIA requests; handling FOIA requests is typically understaffed with one person handling the entire process</p>	<p>Clearly identify, on the District of Columbia Web site, who is FOIA contract for each affected agency</p> <p>Document the FOIA process guidelines and procedures within each agency</p> <p>Define a standard tracking and reporting approach across agencies for handling FOIA requests</p> <p>Provide adequate staffing in meeting FOIA request</p>	<p>FOIA Request Management identified as a potential ECM application during the Current State Assessment could automate the management of FOIA making the process more efficient and provide a standard, automated approach to handling FOIA requests</p>
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Sarbanes-Oxley	<p>Change tracking and auditing is lacking due to reliance on unmanaged file stores</p> <p>Office of Public Records has a good start on the management of paper documents, however, there are many large areas with unmanaged paper records</p> <p>Records management is often done ad-hoc, in a manner that works for a particular unit within an agency, but that is not leveraged in other areas</p>	<p>Record management procedures, where old or inappropriate, must be updated and fully documented and published in a common accessible area</p> <p>Audit trails and other measurements should be instituted in the records management areas, to gain a better understanding of records access and updates</p> <p>Records management must be driven from the executive level, with incentives for compliance and penalties for non-compliance</p>	<p>Library Services functions within document management, such as check-in, check-out and embedded audit trails will enable better control over preventing unauthorized access to records</p> <p>Implementation of federated search and retrieval functions will support better and faster access to content</p> <p>Automated records management in general is important to support consistent processes across the organization</p>
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