Chapter 7

Policy Framework for IDCM

OVERVIEW

This chapter deals with the development of a policy framework that enables an enterprise to articulate its policy for managing documents and content, the general principles that support the policy, and the strategies for effective implementation of the policy.

The development of a policy framework is not dependent on an investment in IDCM. The policy framework can be developed to apply improved practices for managing documents using existing tools (e.g., network file systems and physical filing systems), although the benefits offered by a managed repository would not be forthcoming.

However, the development of an information management policy is a recommended prerequisite to the specification of requirements for an IDCM because of the following:

- The policy document typically articulates principles that provide a contextual foundation for the process of requirements analysis and determination and the preparation of a Requirements Specification for an IDCM system.
- The policy generally defines strategies that require action plans to be developed and implemented by roles with assigned responsibilities. The requirements analysis and determination tasks associated with IDCM may depend upon the successful conclusion of some strategies and actions.
- The policy may reduce the risk of slippage in the project schedule during requirements analysis and determination and during the preparation of the Requirements Specification.

We believe that the IDCM policy framework should be developed, communicated, and accepted within the enterprise prior to commencing the Requirements Specification(s), which we will discuss in Chapter 10. We also believe that IDCM policy must be positioned...
within the overall context of an enterprise’s information policy framework, which we shall discuss later in this chapter.

Our objectives in this chapter, therefore, are to express contributing factors to a document policy, and to do this within the broader framework of an enterprise information policy which we see as a desirable authority that frames document policy.

**CONTEXT**

Documents are not created and processed in a vacuum. As Sutton (1996, p. 96) explained, the objective of a document management policy is to ensure that the use of document resources supports the mission of the enterprise in a cost-effective manner. Furthermore, the effective implementation of the policy will improve the official use of knowledge, documents, and management practices.

If we are to align document resource usage with the mission of the enterprise, we can apply an IDCM policy framework similar to the information planning principles suggested by Synnott (1987). From this viewpoint, the policy may then be developed within the context of management planning at strategic, tactical, and operational levels, so that we can understand document resource utilization and requirements within the context of these three management tiers.

These three tiers of management planning typically involve managing the challenges of the following:

- External influences, such as the legislative and standards environment, customer and business partner expectations, and evolving document formats; and

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**Table 1: Examples of Strategic, Tactical, and Operational Factors Influencing Document Management Policy**

<table>
<thead>
<tr>
<th>Factor</th>
<th>External</th>
<th>Internal</th>
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<tr>
<td>Strategic</td>
<td>• Statutory and regulatory environment&lt;br/&gt;• Quality standards&lt;br/&gt;• Environment standards</td>
<td>• Enterprise’s corporate plans and strategies&lt;br/&gt;• Commitment to quality management system&lt;br/&gt;• Commitment to environment management system&lt;br/&gt;• Commitment to information sharing and knowledge transfer&lt;br/&gt;• Information policy</td>
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<td>Tactical</td>
<td>• Customer expectations on service delivery&lt;br/&gt;• Business partner expectations on digital collaboration and exploiting business-to-business models</td>
<td>• Business operational plans (e.g., project-based workgroups)&lt;br/&gt;• Information management&lt;br/&gt;• Information sharing&lt;br/&gt;• Business continuity planning</td>
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<tr>
<td>Operational</td>
<td>• Document management standards&lt;br/&gt;• Records management standards&lt;br/&gt;• Document formats</td>
<td>• Information capture&lt;br/&gt;• Quality assurance&lt;br/&gt;• Business continuity support</td>
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