



## PROJECT INITIATION DOCUMENT

Project Name            *Delivery and Presentation  
(within the Seamless Flow Programme)*

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Release                    Release 5.0  
  
Date: May 2006

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**Author:**                Project Manager  
  
**Owner:**                Senior Responsible Owner (SRO)  
  
**Client:**                Seamless Flow Programme (SFP) Board

## Document History

Document Location This document is only valid on the day it was printed.  
The source of the document will be found in the Control section of the Project File.

Revision History Date of next revision:

Revision date	Previous revision date	Summary of Changes	Changes marked
V5.0 18-May-06	4.0 09-May-05	<ul style="list-style-type: none"> <li>Comments from team</li> </ul>	
v4.0 09-May-06	3.0 06-Apr-05	Incorporate the changes in the Project: <ul style="list-style-type: none"> <li>Evolutionary rather than revolutionary approach</li> <li>Incorporation of Resource Discovery with the scope of the Delivery and Presentation Project</li> <li>New Project Board</li> <li>Revised Project Team membership</li> <li>Exclusions</li> <li>Constraints</li> <li>Interfaces</li> </ul>	
v3.0 06-Apr-05	2.0 30-Mar-05	Comments from team	none
v2.0 30-Mar-05	1.0 17-Mar-05	Comments from D&P Project Board. Reinforced need to interface to GSI. The delivered system to take advantage of and/or comply with existing standards. Emphasise that requirements catalogue will be driven by user requirements and not just system requirements. Elaborate on communication plan.	none
v1.0 17-Mar-05	v0.2 1-Mar-05	Comments from team Include strategy for meeting December 2005 business deliverable of a presentation system.	none
v0.2 1-Mar-05	v0.1 17-Feb-05	Comments from team	none
v0.1 17-Feb-05	None	First draft	none

Approvals This document requires the following approvals.  
Signed approval forms are filed in the Project files.

Name	Signature	Title	Date of Issue	Version
Senior Responsible Owner (SRO)		Head of Online Services & Strategic Marketing		v5.0 v4.0 v2.0 v1.0
Seamless Flow Programme (SFP) Board				v3.0
Delivery and Presentation (D&P) Project Board				v5.0 v2.0 v1.0
D&P Project Team				v5.0 v4.0 v2.0 v1.0

Distribution This document has been distributed to:

Name	Title	Date of Issue	Version
IT Project Manager			v0.2
SFP Project Managers			v4.0 v0.1
Programme Manager	Head of System Development		v4.0 v0.1
SFP SRO	Director of Government and Technology		v4.0 v0.1
Chair Online Board (D&P Project Board) Until 26-Feb06	Head of Strategic Development		v0.1
Head of Education and Interpretation Department			v4.0

## Purpose

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To define the Project, to form the basis for its management and the assessment of overall success.

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## Background

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**Introduction**      The *Delivery and Presentation* (D&P) Project is one of a number of interdependent projects within the Seamless Flow Programme (SFP).

The objective of the SFP is to develop a process of seamless flow for the acquisition and management by the National Archives (TNA) of born digital records from their creation in Offices of Government Departments (OGDs), to their preservation in the Digital Archive (DA) and to their eventual presentation on the web.

The D&P Project will develop and implement the processes and/or technologies for the actual search, delivery and presentation of the born digital records online and on the Internet wherever possible.

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**Business deliverable for December 2005**      Before the initiation of the SFP in Autumn 2004, TNA had declared a business deliverable of a digital archive presentation system on the public website by December 2005. The D&P Project was tasked with meeting this target. An initial scope analysis leading up to the D&P Project's initiation suggested that it might not be able to deliver the full-featured service by this date.

Before the initiation of the SFP the Digital Preservation Department had developed a pilot digital archive presentation (DAP) system hosted on TNA's intranet and available to visitors at Kew. In order to meet the business deliverable the D&P Project converted the DAP to run on TNA's public website. This was completed in June 2005 and is a fully working and authoritative service, Electronic Records Online (EROL) <http://www.nationalarchives.gov.uk/ero/>, which delivers presentation copies of all currently accessioned unrestricted digitally born records.

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**Project objectives review autumn 2005**      As all the projects within SFP began to capture their requirements and EROL was being launched, a significant number of unknowns were identified, such as incomplete meta data definition, document referencing and eventual file formats and volumes that TNA would accession from OGDs. It became apparent that a final Delivery and Presentation system would be more effectively delivered through an evolutionary development of systems rather than endeavouring to develop a 'revolutionary' final solution.

It was therefore agreed by the then D&P Project Board and confirmed by the SFP Board that the pilot EROL would evolve through a series of enhancements, each one servicing the known parameters at the time of release. This approach avoids risks associated with developing a system to service unknown requirements and functionality and provides a platform for learning about and experimenting with record

and file formats that TNA has not yet accessioned. Once all possible unknowns have been identified, a final 'commercial' version of EROL will be developed.

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#### Resource Discovery

When the SFP was started in early 2005, the search services for the online presentation of digitally born records was part of a separate project, Resource Discovery, within SFP, which focused on the delivery of a global search service across all the databases on the TNA website. The global search was successfully launched in early 2006 and can be used to search EROL.

However the D&P Project does require to have a more localised search when users are working within that application. It was therefore agreed that a deliverable of the D&P project would also include localised search or resource discovery.

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## Project Definition

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#### Project objectives

The SFP is intended to ensure a seamless flow of electronic records from creation in Government Departments through their eventual preservation at the National Archives and delivery to the public over the Internet wherever possible.

The objectives of the D&P Project within this programme are to search for and deliver and present the born digital records in a suitable manner and format to the public over the Internet wherever possible.

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#### Defined method of approach

The Project will run in two concurrent streams. The first, the pilot stream, releasing enhanced versions of the existing pilot EROL. The second the 'commercial' stream, planning for the eventual release of the final, commercial version of EROL.

The two streams each have a number of stages:

**Stage 1:** Project initiation. Common to both streams. This was completed in May 2004

For the pilot EROL:

**Stage 2:** Evolutionary development of one or more manifestations of the pilot EROL

For the commercial EROL:

**Stage 2:** Requirements gathering and specification. This will continue while the pilot EROL evolves. Stage 3 will start

when the project is at a stage that the pilot EROL is sufficiently mature for the commercial EROL...

**Stage 3:** Design and specification of delivery and presentation system

**Stage 4:** Procurement and/or development of delivery and presentation system. This will include usability acceptance testing.

**Stage 5:** Implementation of the delivery and presentation system. Access channels will be released in phases.

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## Project scope

The scope for the eventual commercial EROL is to:

- Provide a service to deliver and present presentation copies of digitally born records on line (to web sites)
- Provide the online records through different channels to a variety of audiences included but not necessarily limited to:
  - Open records and descriptions to the public on the Internet
  - Open records and descriptions to the public on the TNA Intranet at Kew and FRC (for sensitive records)
  - Open and closed records to authorised staff at OGDs and TNA
- Where presentation copies of records are not available, to provide sufficient instructions/services to enable the enquirer to gain access to these by some other means, e.g. by post on a DVD
- Provide a catalogue retrieval service for digitally born records from the Generic Metadata Management System (GMMS) based on the citable references and using the internal system references
- Provide a back office service for combining and verifying presentation copies of digitally born records for publishing online
- Provide an effective simple and advanced on line search service for the presentation copies of digitally born records. (This was formally a deliverable of the *Resource Discovery* project of the SFP.)
- If agreed by TNA, accommodate an interface to a charging service for delivering presentation copies.
- Ensure that the system delivered takes advantage of and complies with existing standards such as e-Government and Accessibility, which may exist.
- Ensure that the system delivered in this Project does not compromise the possible eventual introduction of a consistent,

single delivery and presentation system for all of TNA's website services. Delivery of such a global system is not part of this Project.

- Develop a catalogue of requirements for presentation systems. This will be formulated from user requirements and not driven just by system requirements
  - Specify, develop and implement storage systems for the presentation versions of records.
  - Define standards for presentation. As well as single records the system must manage assemblies of records such as in a website or an email archive containing many thousand emails. This will be undertaken in collaboration with the *Technology Watch* project
  - Identification and ownership of all possible web based presentation formats. Record owners may require access to original electronic records, not in a presentation version. This will be undertaken in collaboration with the *Technology Watch* project
  - Design of web based presentation formats. Include usability studies to establish user acceptable presentation processes.
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#### Project deliverables

Provide online search and delivery and presentation of born digital records retained by TNA. Open records and descriptions for access by the public and all records under secure access control by authorised OGDs and TNA staff. Wherever possible this will be to the TNA website. Where not possible appropriate solutions will be provided.

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#### Exclusions

- The creation of the presentation copy of the records to be delivered and presented. This is within the scope of the *Technology Watch* project of the SFP.
- Records other than those that are born digital. Though this may change if on further discussions a case is made to amalgamate the service with other existing services such as Documents Online
- The delivery of any services which may be required to complement the Project's deliverables, such as:
  - An e-Commerce engine
  - An estimating engine
  - A record copying service
  - Personalised site login
  - Subscription service

- A possible TNA website portal which would links across the various services provided by the TNA and its partners
  - The D&P Project will not establish whether TNA will charge for material delivered and/or presented. This will be agreed by TNA
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## Constraints

- Technological. The Project may be constrained either or both by what the state of the delivery and/or presentation technology is at the time of implementation and what TNA or any identified partners are able to provide and support.
  - Provide services on the Government Secure Intranet (GSI) and ensure that the systems delivered are compliant with current information assurance and security requirements.
  - Informational. In sufficient and/or insufficiently rich information about the records being accessioned to enable the Project to be selective to the desirable level of delivery and presentation. For example drilling down to a single relevant email or threads of emails in an accessioned email archive of possibly many thousands.
  - Resources available within TNA to undertake the work
  - Costs
  - Deliverables from the interfacing SFP projects including but not limited to:
    - Statement of all record types and formats to be delivered and presented
    - Statement of volumes
    - Delivery of all services which may be required to complement the Project deliverables:
      - An e-Commerce engine
      - An estimating engine
      - A record copying service
      - Personalised site login
      - A subscription service
  - Deliver a first phase delivery and presentation system on the TNA public website by December 2005, a declared business objective. This was met in June 2005 with the present pilot EROL, <http://www.nationalarchives.gov.uk/ero> .
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## Interfaces

- The D&P Project is responsible for the last stage of the SFP process flow and therefore interfaces with preceding and

overarching programme projects, namely:

- *Preservation and Maintenance*
  - *Technology Watch*
  - *Metadata and Cataloguing*
  - *Management and Security*
  - *Business Change and Training*
  - TNA's Catalogue, Record Copying and any other relevant system within the scope of this Project
  - User expectations and usability
  - TNA's Information and Communication Technology (ICT) environment
  - Government Standards and Organisations including but not limited to:
    - Government Secure Intranet (GSI)
    - The Office of Government Commerce (OGC)
    - The Accreditation Document Set (ADS)
    - Central Government Infrastructure, e-GIF and e-GMS
  - TNA is currently reviewing the options for its Documents Online service. It may be decided that the most expedient way forward would be for TNA to develop a single online record delivery service. In such a situation the D&P project will have to work towards this objective.
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#### Assumptions

- That sufficient staff resource is available for all aspects of the Project to meet the declared time scales
  - That the Project will identify suitable and effective technological solutions for all volumes and the variants of born digital records that TNA is required to make available for presentation to the public
  - That adequate funding is made available particularly in the areas of resolving technological requirements such as storage capacity and Internet bandwidth
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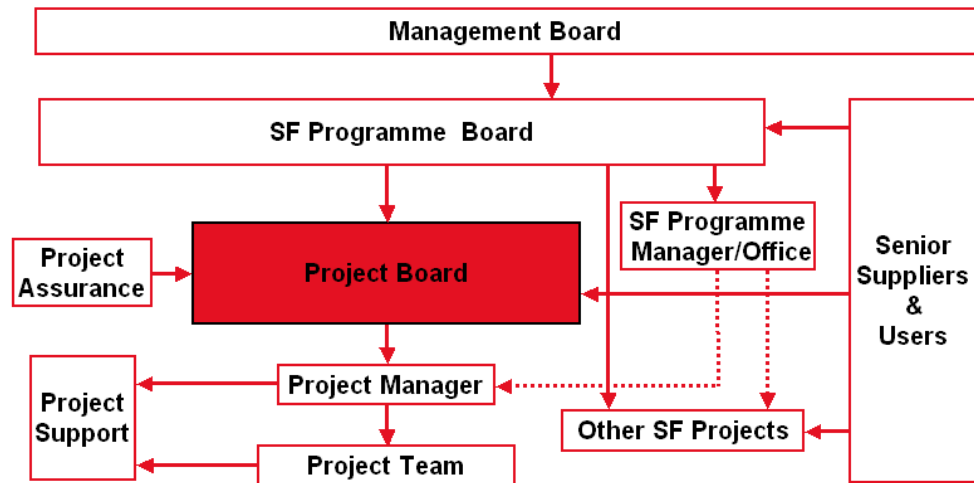
## Project Organisation Structure

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Reporting structure

The reporting structure for this Project is as follows:

**D&P Project Board’s Reporting Lines**



Project management team structure

- Corporate Management Board  
The Project is part of the Seamless Flow Programme (SFP) whose Board reports to the Corporate Management Board
- The Project Board  
The Project has its own Project Board  
The PB will be responsible for authorising and agreeing the Project initiation and key documents, business plan, stage boundaries, key milestones, costs against agreed budgets, risk management and highlight reports for the D&P Project.  
The Project Board membership is:

Position	Role
Head of RKAS	Senior User and researchers
Head of ICTD	Senior Supplier of IT services
Head of IPLU	Senior Supplier representing FOI and Data Protection
Head Of Business Development	Senior User, business development
Head of SED	Senior Supplier
Head of Public Services Development	Senior User and user representative
Senior IT Project Manager, OSED	D&P Project Manager

Director of Public Services & Marketing	Senior Responsible Owner (SRO)
Head of RMD	Senior User, representing the OGD community
HM Revenue & Customs	Senior User, external

- The Project Assurance:

Project Assurance will be managed and provide through the SFP, though the Project Board will agree and provide for the detail of assurance required.

- The Project Team

Project Team membership is:

Position	Role
Documents Online Manager	Stakeholder
Web Systems Manager	Autonomy development owner
Head of Web Team	Supplier - web site design
Archival Catalogue Programme Manager	Stakeholder, referencing electronic records and the Catalogue
Head of Operations, RISD	User
Web developer, SDD	Lead web developer
Database Administrator, ICTD	Supplier - IT Lead
SGML/XML Manager, SDD	Search services
IT Technical Support Analyst	SFP Technical Architect
Head of Record Copying	Stakeholder
Database Administrator, ICTD	Lead Autonomy developer
Project Manager, OSED	Project Manager
Senior Archivist and Project Manager	Supplier – metadata
Web Content	Supplier - web

Manager	site content
XML Analyst, Digital Preservation	Supplier - technical solutions
Information Architect	Supplier - information architecture
Head of Cataloguing and Accessions Unit, RMD	Stakeholder, RMD
Communications Officer, DPD	Communications
Systems Administrator, Digital Preservation	Supplier - technical solutions

- The Project Support

Project support is provided by the following

Position	Role
Senior IT Project Manager	SFP Programme Manager
Projects Co-ordinator	SFP Projects Co-ordinator
Assistant Project Manager	SFP planning support

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## Communications Plan

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The SFP and its constituent projects need to communicate effectively at different levels and to different audiences while underway and eventually in response to the business changes resulting from the implementation of the SFP deliverables.

The ownership, planning and subsequent management of overall SFP business change, training and communications is the remit of a separate project within the SFP. However some elements of the communication plan may be delegated to the individual SFP projects where appropriate.

Effective communication plans are/will be developed for each of the instances:

- Business change:

The communication plan for the business change is owned and

will be developed by the SFP. However the D&P Project will develop and manage the communications associated with the release of the D&P to the public.

- Inter-Project communication:

The communication plan for this is owned by the SFP. Communication will be through the regular Project Manager highlight reports and meetings, the programme manager and SFP Board meetings.

- Within the D&P Project and its Project Board:

The D&P Project Manager owns this communication plan. Communication will be through Project Team meetings and highlight reports.

- Internal stakeholders and users:

The communication plan for the D&P Project element is owned by the D&P Project. Communication will be through project and board meetings, departmental awareness briefings and the use of TNA Intranet, Narnia.

- External stakeholders and users:

The communication plan for this is owned by the D&P Project. Communication will be through user group briefings, online surveys and newsletters. The D&P Project will take guidance from the Project Board, in its senior capacity as Online Board. A detailed communication plan will be developed once the scope of the business change has been established and the SFP and Online Boards agree on the delegation of responsibility for its management.

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## Project Quality Plan

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### Quality controls

- The Project will be managed in accordance with PRINCE2 methodology and quality review
- Quality will be measured and controlled through reviews at the appropriate levels through the Project Team and the Project and SFP Boards
- Quality acceptance procedures will be adopted under the guidance of the SFP office and approved by the Project and SFP Boards
- The SFP will be subject to Gateway Reviews. However, subject to the D&P Project's deliverable value and risk assessment, the D&P Project may be subject of its own Gateway reviews
- A Project Assurance will be provided through the SFP

**Change management**

- PRINCE2 Change technique will be adopted to manage change. All changes will be logged as issues and escalated through to resolution using agreed tolerances for managing the changes.
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**Configuration management:**

- All Project products will be subject to version dated version control
  - All Project documentation is stored in Objective
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**Acceptance criteria:**

- To be developed in consultation with the D&P Project Board and SFP office and agreed by the SFP Board
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## **Project Tolerances**

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- The Project Manger to the Project Board will raise exception reports if costs and/or timescales for an approved stage plan are expected to exceed the tolerance levels set for the Project
  - The timescale tolerance level for this Project is set at two weeks for each milestone
  - 10% of the developed budget will be allowed for contingency costs
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## **Project Controls**

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- The Project will adopt PRINCE2 Control processes
- Checkpoint meetings with the Project Team chaired by the Project Manager (PM) will be held regularly to monitor progress and manage arising issues. A checkpoint report will be produced and any issues and/or risks updated in the respective logs.
- Where the Project is sub divided into work package for which there is a designated work package or team leader, the PM will agree regular checkpoint reports from that team leader
- The Project Board (PB), chaired by the Senior Responsible Officer (SRO) and will have representation from Senior User(s) (SU) and Senior Suppliers (SS). TNAs business requirements

as a whole will be represented in the SFP Board. The PB SRO and SU will ensure that these business requirements are being pursued in the Project.

- The PB will meet at appropriate times, initially to initiate the Project and agree the Project plan and then to review the progress of the Project, offer advise and steering and to manage exceptions.
  - The PB will report to SFP Board, through the SRO or SFP manager, on Project plan and key stage approval and subsequent Project progress.
  - The PM will produce monthly highlight reports for the PB. These will review progress to date, highlight actual and potential problems and provide a brief description of the work schedules for the next period.
  - Risk and Issue Logs will be kept to record any risks and issues or changes that arise during the Project.
  - Change Management controls will be introduced to manage all aspects of Project variance as they occur and will take into account importance, impact and priority for the change. Among others for:
    - The scope of this Project as specified
    - Changes to the agreed requirements specifications developed as part of this Project.
  - Additional controls will be maintained through:
    - The Project will be subject to the Gateway review process
    - Submissions for approval, where appropriate, to the Technical Design Authority
    - Procedures, which will be developed, to manage appropriately any changes to the Project scope and/or deliverables
    - Procedures, which will be developed, to manage any possible effects that the Project or any changes made to it may have on systems and/or services outside its immediate scope
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## Attachments

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Business Case	The business case for the D&P Project is held within the SFP.
Project Plan	The Delivery and Presentation Project plan is held on TNA file store

Risk Log      The Risk log is held in Objective folder

Issue Log      The Issue Log is held in Objective folder

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