



PROJECT INITIATION DOCUMENT

Project name *Metadata and Cataloguing*

Release Date: October 2005

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Owner: Senior Responsible Owner (SRO)

Client: Seamless Flow Programme Board

Document History

Document Location Hard copy versions of this document are only valid on the day that they are printed

This document can be found in Objective at:
Strategic Management\Projects\ Seamless Flow\Cataloguing Project

Revision History Date of next revision:

Revision date	Version	Summary of Changes	Changes marked
9 August 2005	1	Initial draft	
30 August 2005	1.1	Update to initial draft	Yes
6 October 2005	2.0	Revision to 1.1 draft	No

Approvals This document requires approvals from the following individuals or groups. A description of the type of approval and location of evidence of that approval appears below:

Name	Role	Form of Approval	Version	Location
Senior Responsible Owner (SRO)		E-mail		
Programme Manager		E-mail		
Programme Director		E-mail		
Programme Board		Minutes		

Distribution

An Objective link to this document has been sent to the following individuals or groups.

Name	Title	Role	Date of Issue	Version
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SRO			6 October 2005	2.0
Programme Manager			6 October 2005	2.0
Programme Director			6 October 2005	2.0
Programme Support Office Manager			6 October 2005	2.0

Purpose

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

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Background

The need for this project has arisen from 4 requirements:

- i. The Seamless Flow Programme aims to create a seamless flow of digital records from creation in departments through preservation in the archives to presentation to the users. At every stage in Seamless Flow (SF), metadata enables that flow to occur and a standard range of metadata elements for the whole programme is thus required.
- ii. Digital records and their accompanying metadata will be brought into the archives by the Transfer Project. At this stage, a store for that metadata needs to be defined so that metadata for the whole of SF may be managed and so that it may be supplied to processes and projects in SF as required.
- iii. In a number of the individual projects of SF, the need for editorial intervention to enhance technical and archival metadata is acknowledged.
- iv. In due course, an aggregated or virtual catalogue which incorporates a catalogue of metadata about digital records and a catalogue of metadata about paper records (the Catalogue (formerly PROCAT)), is required by The National Archives (TNA).

This project seeks to address the above requirements.

Project Definition

Project objectives

The objectives of this project are as follows:

i. to define the range of metadata elements required for cataloguing and editorial work in Seamless Flow;

ii. to define the requirements for a prototype metadata store and to supply information to the Generic Metadata Management Store (GMMS) which will manage all metadata in SF;

iii. to address the need for metadata enhancement and editorial intervention in a number of the projects in SF;

and

iv. to recommend the requirements for an aggregated catalogue in TNA which will receive metadata from SF, the Catalogue and elsewhere

**Defined
method of
approach**

Resources and the timing of other projects indicate that a phasing approach should be taken. Phases may run sequentially or concurrently depending on targets and dependencies

- Phase 1: Project initiation
 - Phase 2: working with the Information Architect to define the Metadata Elements required in Seamless Flow
 - Phase 3: to identify a set of requirements for a prototype metadata store in SF [this will run simultaneously with phase 2 and 4]
 - Phase 4: to identify a set of requirements needed for the Metadata and Cataloguing Project throughout SF; this will incorporate:
 - Working closely with the project manager for Transfer to identify the metadata to be supplied in Transfer and to be made available for editorial intervention;
 - Working with the project manager of the Management & Security, Preservation & Maintenance and Delivery & Presentation projects to identify the metadata to be made available for editorial intervention
 - Working with the project managers of the Public Web Search and Resource Discovery Project to identify metadata to be made available to the search engine as appropriate
 - Phase 5: to recommend a catalogue of requirements for an aggregated catalogue in TNA
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Project scope

1. Working with the Information Architect to define the range of Metadata elements for cataloguing and editorial required in Seamless Flow. Those metadata elements to be compliant with the requirements of: *E-GMS*, *ERMS Metadata Standard*, *Open Archive Information Systems (OAIS)* and TNA's *Cataloguing Standards* (which are compliant with the international standard for archival description, *ISAD(G)*)

2. Working with the Information Architect to define requirements for a prototype metadata store for SF.

3. Identifying the needs, establishing the processes and identifying the utilities which will provide for editorial intervention, the production of good metadata, and quality assurance to international standards in the following SF projects:

- *Transfer to TNA*: this will incorporate checking; the addition of descriptive content metadata and technical metadata in the pre-accession phase and the addition/revision of descriptive content metadata and technical metadata to redactions created here
- *Preservation and Maintenance*: this will incorporate the addition of descriptive content metadata and technical metadata to redactions created here
- *Management and Security*: this will address Access Control for editorial processes in SF
- *Delivery and Presentation (D&P)*: this will incorporate the supply of accurate metadata to EROL, or its successors, and the addition of descriptive content metadata in response to user feedback
- *Resource Discovery*: this will incorporate the supply of metadata to the Public Web search and Resource Discovery as appropriate
- This project is also responsible for enhancing the descriptive content metadata in those fields relevant to new accessions in The Catalogue (formerly PROCAT)

4. Working with the Programme Manager for SF, the Catalogue Manager, the PM for D&P and the Information Architect to define a catalogue of requirements for an aggregated catalogue for TNA.

- Project deliverables**
- Specification of requirements of metadata elements for Seamless Flow
 - Specification of requirements for a prototype Metadata Store for SF and supply of information to the GMMS;
 - Specification of requirements for the Metadata and Cataloguing project throughout SF, predicated upon:
 - a. Analysis of other project needs
 - b. Process model(s)
 - c. Operational model(s) and documented procedures for processes and delivery
 - d. Requirements for utilities to facilitate the editorial Process in other projects
 - A defined standard for archival description of metadata for electronic records in TNA
 - Specification of requirements for an aggregated catalogue for TNA
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- Exclusions**
- Record copying service
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- Constraints**
- Resources available at TNA
 - Time
 - Costs
 - Information Standards: a standard for Metadata for electronic records is not yet agreed
 - Deliverables of / from interfacing *Seamless Flow* projects
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Interfaces

- All other projects in the *Seamless Flow Programme*
 - Access Regulation System (SAR)
 - TNA's Information and Communication Technology (ICT)
 - The Catalogue
 - Government Secure Intranet (GSI)
 - User expectations and usability
 - Please refer to Programme PID
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Assumptions

- That sufficient staff resource is available for all aspects of the project to meet the declared timescales
 - Support from at least one other Government Department (OGD)
 - Stakeholder assessment
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Project organisation structure

Project Management structure

- Corporate Management Board

The project will report directly to the Seamless Flow Programme Board which in turn reports to the Corporate Management Board

- The Project Team to consist of

Programme Director

PM – *Transfer*

Cataloguing Team representatives

PM - *Appraisal*

A2A and aUK representative (Access 2 Archives / Archives UK)

RMD Manager (Records Management Department)

Database Administrator ICT

PM – *Delivery & Presentation*

Information Architect

Web content Manager

RKAS representative

SGML / XML Manager

RMD; accessions representative

NAS (National Advisory Service) representative

Communication Plan

Audience	Information	Owner	Frequency	Method
Programme Board	Progress against time, quality and budget; risks and issues	Project Manager	Every 2/3 months	Presentat ion, highlight report
Programme Manager	Progress, Impacts, Issues and risks	Project Manager	Monthly	Meeting; highlight report, issues and risk logs for projects
Team Members	Progress	Project Manager	As required	Meeting and email
Cataloguing (formerly PROCAT) Team	Progress	Project Manager	As required	Meeting and email
Other Seamless Flow Projects	Progress	Project Manager	Weekly/as required	Meeting and email
PAT (Project Assurance Team)	Progress. Impacts. Issues and risks	Programme Board	As required	Meeting; highlight report, issues and risk logs
Internal Staff	Programme Scope and progress	Communications Manager	Monthly or as required	Internet, email

Project Quality Plan

Quality Controls The Project Manager is responsible for ensuring the quality of the products produced.

Standards

- Project management (PRINCE 2)
- System design (UML – unified modelling language)
- Metadata Standards: *E-GMS, ERMS Metadata Standard, OAIS* and TNA's *Cataloguing Standards*
- archival standards for descriptive content: *ISAD(G); ISAAR(CPF), NCA Rules, UKAT*; work here is cutting edge and may result in the contribution of new data to international standard regulatory bodies (ICA).

Change Management

- A formal process for managing change is the responsibility of the SF Project – Business Change
- All changes will be raised as Request for Change (RFCs), reviewed by the original project team and board. These will then be passed to the Programme Manager to assess for cross project impact and to take to the Programme Board for acceptance as necessary.

Quality Assurance The project assurance team (PAT) will provide independent QA to the Programme Board

Project tolerances

The Programme Board will agree tolerances

Project controls

PRINCE2 methodology

This project will not have a formal project board. It is deemed a work stream and will report directly to the Programme Board

The Project Manager will hold checkpoint meetings with the project team every month

A formal highlight report of progress will be produced for the Programme Manager each month.

Attachments

- Initial Business Case – refer to Programme's business case.
 - Initial Project Plan – see separate project plan
 - Initial Risk Log – see separate log
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