



PROJECT INITIATION DOCUMENT

Project name *Preservation and Maintenance*

Release Date: July 2005

Author: Project Manager

Owner Senior Responsible Owner (SRO)

Client: Seamless Flow Programme 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
11/2/05	11/2/05	Phase 1 text added in approach	
4/3/05	11/2/05	More detail added	
14/7/05	4/3/05	Release dated added	

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		Director of Government and Technology	27/4/05	0.5
Programme Manager			27/4/05	0.5

Distribution This document has been distributed to:

Name	Title	Date of Issue	Version
Programme Manager		4/3/05	0.4
Project team		7/3/05	0.4
Programme Board		27/4/05	0.5

Purpose

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

Contents

This publication contains the following topics:

Topic	See Page
Background	2
Project definition	3
Project organisation structure	8
Communication Plan	8
Project Quality Plan	9
Project tolerances	10
Project controls	10

Background

The Seamless Flow Programme aims to create a seamless flow of digital records from creation in Departments to preservation in the archives through to delivery on the web. It consists of set of projects that cover appraisal, selection, transfer, storage and presentation of records. This particular project addresses the requirements for permanent and secure storage of born digital records and their ongoing preservation. The aim of the project is to make the processes as automated as possible with interaction between business processes (the implementation of which are the subject of associated projects) as seamless as possible. This is necessary because with the predicted volume of electronic records likely to be submitted to the TNA the current generally manual approach would not be sustainable.

Project Definition

Project objectives

The objective of this project is to provide an automated digital archival repository working in conjunction with the other products generated from associated Seamless Flow Projects. This project will provide:

- A strategy for the preservation of born digital records and implement within the Seamless Flow context
- Ability to load electronic record accessions automatically into the digital archive
- Ability to relate contextual metadata to the record
- A secure location for storing the archive material
- Ability to ensure the preservation i.e. the ability to view the contents over time
- Ability to manage the various manifestations of a particular record – original record; migrated versions, redacted versions.
- Definition of procedures to accompany the use of facilities within the digital archive.

This project will achieve these objectives by continuing to enhance the existing Digital Archive

Defined method of approach

It is proposed to have a modular, incremental delivery approach, gradually building to a fully functional archive during the life of the Seamless Flow Programme. It is planned to have delivery phases.

The work will be split into the following tasks :

- Preparation of a scoping document detailing the current conception of what is to be done.
- Requirements gathering and preparation of a requirements catalogue/specification
- Development of a detailed data model for the project
- Development of detailed process models for the project
- Preparation of a functional specification
- Procurement of services/products to meet requirements
- Definition of infrastructure impact – hardware and software requirements
- Development of the software products in phased order
- Development of test plans and scripts
- User testing and acceptance of products
- Implementation of systems

Delivery will be phased. Final content of each phase will be decided during the project but likely phases are :

- Revised data structure and archive facilities to support the new structure
- Facilities for loading accessions, both records and metadata, into the archive
- Facilities for undertaking preservation through migration of files

The timing of delivery of these products is to be agreed.

There is strong interdependence between projects and products and at all stages close liaison with companion projects will be necessary.

Project scope The project will cover automating processes associated with archiving born digital records into the digital archive. The main elements comprise:

- Redesign of the archive data structure to accommodate agreed record metadata
 - Redesign of the archive data structure to accommodate the record manifestation mechanism identified for seamless flow
 - Design and implementation of the pre-accession server to support the process requirements of the Transfer and Technology Watch projects
 - Automation of the loading of accessions from the pre-accession environment into the digital archive
 - Provision of metadata enhancement after accession (*Transfer and Technology Watch will handle automatic metadata checks prior to loading*)
 - Full automated auditing of all actions taken on the digital archive
 - Automated backup capabilities

 - Automated identification and export of records identified as obsolete formats/environments via technology watch
 - Automated import of migrated records from technology watch
 - Improved administration functions and reporting
-

Project deliverables

- An enhanced Digital Archive architecture and software to meet the requirements of the Seamless Flow programme. Specific products for each phase will include:
 - Detailed requirements specification
 - Detailed data model
 - Detailed process model
 - Functional Specification
 - Working pre-accession system
 - Working accession loading capability
 - Working preservation functionality (migration)
 - Documented procedures for processes.
-

Exclusions

- Records that are not born digital
 - Online access to closed records using the Government Secure Intranet (GSI)
 - Managing closure status
-

Constraints

- The National Archives (TNA) staff resources and skills
- Budgets
- Technical factors (e.g. manual transfer of media across security air gap will limit the extent of automation)
- Deliverables from other seamless flow projects
This project is dependant on the timely delivery of the following products:
 - Agreed policy/strategy for digital preservation
 - Agreed definition of metadata requirements
 - Agreed method for referencing electronic records
 - Agreed security requirements
 - Agreed interfacing requirements with Transfer loader tool and/or the pre-accession area.
 - Agreed interfacing with Technology Watch record migration capability
 - Agreed interfacing, if any, with the Access Regulation System and the Online Catalogue

Interfaces

The Project interfaces with a large range of current internal and external programmes, projects, work packages and services. It will build upon these existing initiatives to create a seamless flow process. These are:

Internal programmes/work packages

- Selection and appraisal – Records Management Department (RMD)
- Identification of exemptions and redaction if required - RMD
- Access Regulation System (SAR) - RMD
- Transfer of records to TNA - RMD/Digital Preservation (DPD)
- Loading records into preservation system - DPD
- Redaction of records – SAR, DPD
- Technology watch (PRONOM) - DPD
- Metadata (e-GIF) - RMD
- Resource description and discovery (Catalogue/*PROCAT*, Web Site Search, Metadata, CMS, Digital Asset Management System) – RMD, Online Content & Partnership Development Department (OCPD)
- Preservation and migration (PRONOM) – DPD
- Infrastructure Enhancement programme – Information Communication & Technology Department (ICTD)
- High Availability programme (24 x 7 project)
- Online Catalogue (*PROCAT*) interfacing
- Digital Archive large accessions project
- TRIM/e-Accessioning
- Digital Archive Presentation System (DAP)
- Record Copying Workflow
- Public Services Development Programme
- Business continuity plan

Government Programmes and Initiatives

- Freedom of Information and Legislation
- Government Secure Intranet
- Central Government Infrastructure, e-GIF and e-GMS

External Programmes/Services

- National Digital Archive of Datasets (NDAD)
- Internet Archive/JISC, Wellcome, National Libraries project

Assumptions

It is currently assumed that records with a classification no higher than restricted will be loaded and preserved within the Digital Archive.

Project organisation structure

Joint Project board with Technology Watch:

SRO, chair
 Senior User OCPD
 Senior User RMD
 Senior Supplier DPD
 Project Manager DPD

Members:

Reader Information Services Department (RISD)
 Information Communication and Technology Department (ICTD)

Communication Plan

Audience	Information	Owner	Frequency	Method
Project Board	Progress against time, quality and budget; risks and issues	Project Manager	Every two months	Presentation; highlight report, risk and issues logs, plan
Programme Manager	Progress, impacts, issues and risks	Project Managers	As set by SRO	Meeting; highlight reports, issues and risk logs for projects and integration
Team members	Progress	Project Manager	Weekly	Meeting
Project Assurance Team	Progress, impacts, issues and risks	Project Board	As required	Meeting; highlight reports, issues and risk logs
Internal staff	Programme scope and progress	Communications manager	Monthly or as required	Intranet, email

Project Quality Plan

The project manager is responsible for ensuring the quality of the products produced.

All products will undergo formal review by peer review groups and formal sign-off.

Configuration management will be managed through use of the Electronic Records Document Management System (ERDMS) Objective.

All project documentation will reside in the Preservation and Maintenance Objective folder.

A formal process for managing change will be identified so that interaction between projects can be monitored appropriately.

All changes will be raised as Request for Change (RFCs), reviewed by the originating project team and board. This 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.

Project tolerances

The project board will delegate authority to the project manager, stage by stage, to an agreed level of tolerance on performance. These tolerances will cover:

- Capital costs,
- Timescales,
- Internal resources.

If the project manager detects that the tolerances are likely to be exceeded, an exception plan will be submitted to the project board.

The Project Board will agree tolerances.

Project controls

The project will be managed using the PRINCE2 methodology

This project will have a formal project board.

The project manager will hold weekly Checkpoint meetings with the team.

A formal highlight report on progress will be produced for the Programme manager each month.

The project manager will attend weekly meetings with the Programme Manager to report on progress to date, targets for next period, status of issues and risks.
