

PROJECT INITIATION DOCUMENT

Project name Seamless Flow - Transfer to TNA

Release **Date:** February 2005

Author: Project Manager

Owner: Senior Responsible Owner (SRO)

Client: The National Archives (TNA)

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 Seamless Flow - Transfer to TNA Project File in the Electronic Record Management System (Objective).

Revision History

Date of next revision:

Revision date	Previous revision date	Summary of Changes	Changes marked
9 Feb 05		Additions from team meeting of 9 Feb 05.	No
15 Feb 05		Final revision before presentation to Board	No
23 March 05		Changes required at Project Board meeting	No

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)		
		Senior Supplier		
		Senior User		
		Quality Assurance		

Distribution

This document has been distributed to:

Name	Title	Date of Issue	Version
Project Board			
Project Team			

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	3
Project definition	4
Project organisation structure	6
Communication Plan	8
Project Quality Plan	8
Project tolerances	8
Project controls	8
Stakeholder analysis	9

Background

The Seamless Flow Programme is a suite of projects which will create a seamless flow of digital records from their creation in Other Government Departments (OGDs) to their preservation in the Digital Archive (DA) and presentation on the web. It has been subdivided into a number of projects tasked with completing specific processes within this framework. This project serves to develop and implement processes for the transfer of electronic records and metadata from OGDs to TNA and to specify, develop and implement a product or set of products – a Transfer System - that will automate where possible and appropriate all processes involved in transferring records from OGDs to the point of loading to the pre-accession server.

Project Definition

Project objectives

This project, which is at the heart of the programme, will develop processes for the automation of the transfer of electronic records from Departments to TNA.

This project will include the following areas:

- Specifying, developing and implementing a transfer process to harvest records, and related metadata, that have been marked as selected
- Specifying and developing ways to automate the transfer process for records and metadata
- Receiving notification of imminent transfer and agree dates
- Logging the progress of accessions throughout the transfer process and managing workflow.
- Receipt of electronic records and related metadata into TNA environment
- Loading of all data into a pre-accessioning area for validation purposes
- Allocation of any referencing label as necessary
- Checking of closure status of records (SAR)
- Checking of sufficiency of metadata and augmenting as necessary
- Ensuring a strong link between record and metadata

Produce a system which strives to achieve the useability and stability of an off the shelf product.

Produce a training programme and user support plan (including a help desk, user manual and any other supporting documentation considered necessary by the project team).

Pilot the use of the system by using it to complete the appraisal, cataloguing and transfer of at least one unstructured accession of born-digital records from at least one OGD.

Implement a planned roll-out of the system to OGDs.

Defined method of approach

Project management using PRINCE2 as a project methodology, Unified Modelling Language (UML) as a modeling language and MS Project as a management tool and compliance wherever appropriate with the following standards.

BS 7925-1: Software testing standard

BS ISO 15489: Records management standard

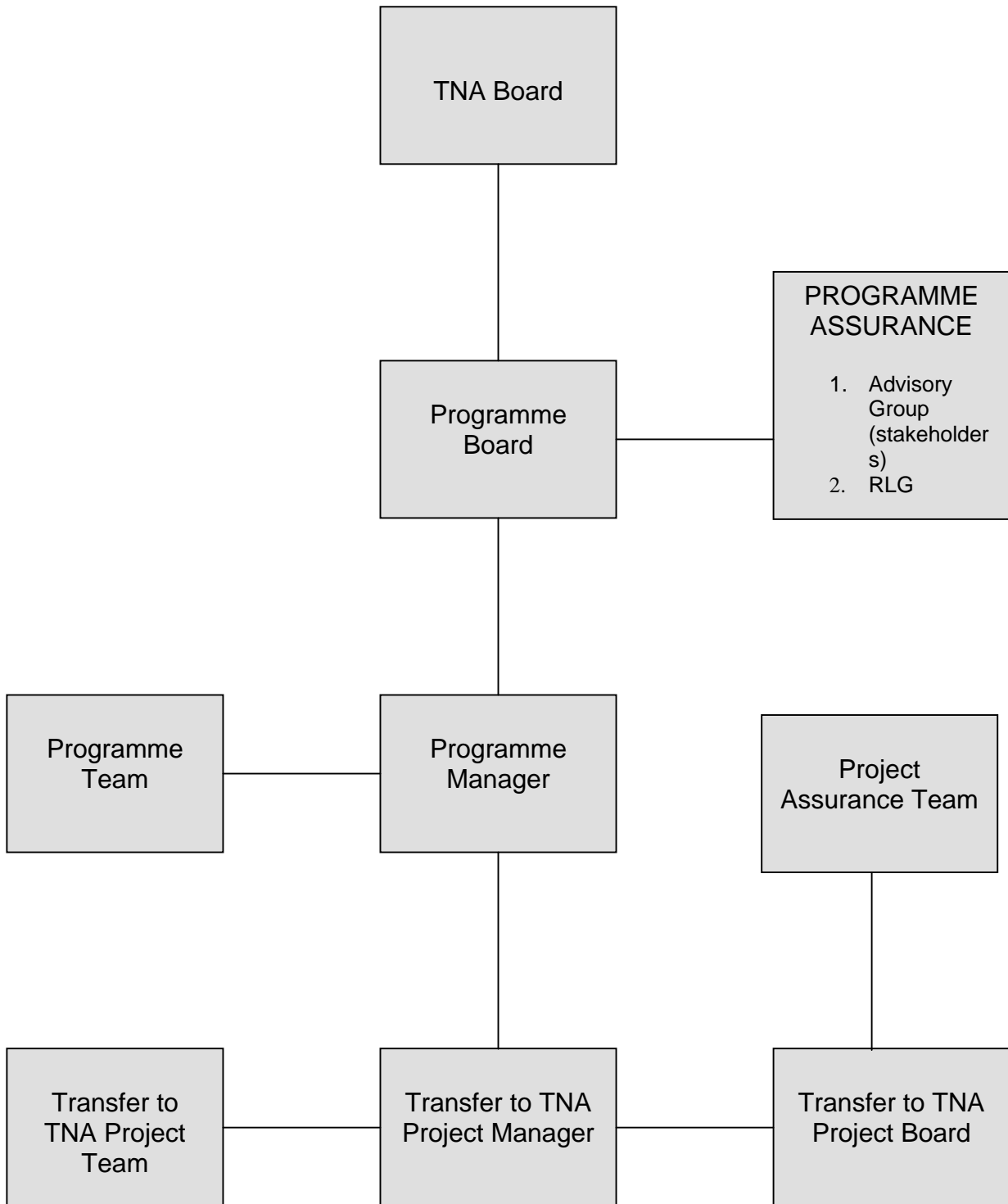
PD0008: A code of practice for legal admissibility and evidential weight of information stored electronically

ISO 9001: Quality management standard

BS 7799: Information security standard

Project scope	The project is responsible for providing for the transfer of demonstrably authentic public records to The National Archives. The Transfer System developed here is intended to work alongside the current paper system and to be largely analogous to it. The term Transfer System can be defined as an application or suite of applications together with any manual processes which will accomplish the end-to-end transfer process. As with all other Seamless Flow Projects, COTS products will be used wherever possible.
Project deliverables	UML Activity Diagrams; Use Cases: Use Case Diagrams and a Sequence Diagram and other relevant system documentation. Transfer System Training Plan User Support Plan Pilot/Trial Rollout/Implementation Plan
Exclusions	The project will take accessions of electronic records up to and including loading to the digital archive. This will include processing through the pre-accession server and will be completed successfully once it has been demonstrated that the correct records have been successfully transferred and will take the records through the point at which a Stage One receipt can be issued to the release of the a Stage 2 receipt. It is not intended to replace the current processes for paper. The project is not responsible for the technology necessary for the pre-accession stage and for demonstrating the successful transfer. NB: It is envisaged that the receipt process developed under the Electronic Records Accessioning Project will be implemented in the Transfer System. This requires two receipts: the first acknowledges that a transfer has been made which appears to be as expected and the second receipt, which follows after rigorous checking, acknowledges that a successful transfer has been completed.
Constraints	The Transfer System developed may be unsuitable for transfers classified as confidential or above.
Interfaces	Appraisal and selection project; Metadata, archival description and resource discovery project; Preservation project; Management and security project; Business change and training project; Records Management Department (RMD), ICT, Digital Preservation Department (DPD); Training.
Assumptions	Buy in from at least one OGD, preferably two for the trial/pilot. Availability of funds and other resources.

Project organisation structure



The project team should be augmented at the procurement stage by the addition of a specialist team member with procurement experience. Should the project develop a web-based component to the Transfer System then recruitment of a member of Online Content and Partnership Department (OCPD) should also be considered for the development through to roll out stages.

Reporting is as shown on the above diagram.

Communication Plan

The Project's Communication Plan is located in the project file in Objective (Electronic Records Management System) in the folder Project Documentation.

Project Quality Plan

The Project Quality Plan is located in the project file in Objective in the folder Quality and Risk.

Project tolerances

The Project will work within a budget tolerance of +/- 5% and +/- 5 working days for deliverables and stage boundaries.

Project controls

For Project controls see the Project Quality Plan filed in the Seamless Flow – Transfer to TNA folder in Objective.

Stakeholder Analysis

The main stakeholders in the Transfer to TNA project are the Government records community – Departmental records officers and reviewers – who are responsible for preparation of records for transfer to TNA. Where the expression ‘OGD reviewer’ is used in the project management documents it refers to any employee or contractor of an OGD responsible for processing electronic records for transfer. It is understood that this could be very different personnel from those currently involved in processing records.

The Client Managers and Record Management Executives of the Records Management Department at TNA are significant internal stakeholders as they bear the responsibility for quality assessment of transfers and will use the system alongside OGD reviewers. The Digital Preservation Department is responsible for preservation and technology watch.

The Programme Board, Transfer to TNA Project Board and Gateway Review teams are stakeholders with a particular interest in the governance of the project while the Project Board has additional responsibility for approving products.