



SEAMLESS FLOW PROGRAMME
TRANSITION TO 'BUSINESS AS USUAL' STRATEGY

Release: 1.1

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Client: The National Archives

1.1 Revision History

Version	Date	Release	Author	Summary of Changes
0.1	22 February 2008			1 st draft
0.2	12 March 2008			2 nd draft incorporating recommendations
1	31 March 2008			IMCs added to replace Client Managers
1.1	8 April 2008			Includes Appendices

1.2 Approvals

This document requires the following approvals.

Name	Signature	Title	Date of Issue	Version
Wednesday review team				
Business Change Project Board	See minutes 27 March			1
Programme Board				
Programme SRO				

2 Introduction

The Seamless Flow Programme is The National Archives' response to the challenge presented by the life cycle management of electronic records. It involves the creation of a seamless flow of electronic records from creation in government departments, to preservation in the archives, through to delivery on the web. The programme is about linking together existing components and automating manual processes.

The Business Change and Training project is responsible for drafting, agreeing and delivering new processes and procedures across functions key to the life cycle management of electronic records whilst developing and delivering a communication (internal and external) plan.

The Business Change and Training Project and Programme Boards expressed their concerns regarding the transition period between the scheduled end of the project / programme, 31st March 2008, and the establishment of Seamless Flow processes as 'business as usual'. Main areas of concern fell into the following categories :

- Governance and benefits realisation
- Process development
- Communication
- Funding / Resources

This paper addresses these concerns and will recommend a way forward.

3 Current Status

3.1 Governance

The Programme has a well defined pyramid of governance. Key Projects are supported by a Project Board with an external representative to monitor progress against key deliverables. Project Managers report into these Boards and up to the Programme Manager who in turn reports into the Programme Board, which consists of senior suppliers and senior users and includes four external representatives. There are Risk and Issue Logs both at Programme and Project level to identify and mitigate against threats to the successful delivery of the programme objectives.

Supporting this pyramid is a cycle of weekly progress reviews, which ensures that all project overlaps and dependencies are identified and managed. Finally, the programme SRO being Director of Technology and Chief Information Officer reports directly into the Executive Team.

3.2 Process Development

The Business Change and Training project has been responsible for drafting new processes and procedures for key functions within the Seamless Flow Process including

Cataloguing, Transfer and FOI functions. Many of the processes and procedures overlap more than one Seamless Flow project area. Compliance with TNA change management protocols is monitored via the Project Board. Individual projects within the Programme are charged with producing component applications.

3.3 Communication

The programme has developed a multi channel communications strategy

Internal

- Minutes
- Open Day
- Narnia
- Web pages
- Talk updates
- Standard presentations
- Scripts for Contact Centre

External

- Advisory Group
- Web Pages
- Newsletter
- Dear DRO announcements
- Articles in Recordkeeping
- Open Days
- Information Management Consultants (IMCs)
- RM Forum
- RM Conference
- Regular Readers forum
- Ad hoc presentations

3.4 Funding / Resources

The three year programme was funded and resourced to achieve the key deliverables outlined in the PID. There should be no significant impact on staffing costs. The Business Case included a forecast of future electronic accessions, which a semi automatic Seamless Flow process should be able to manage without significant increases in staff costs.

4 Transition Period - Risks and Issues

Both the Programme and Business Change Project Boards agreed that without an agreed transition policy there would be a real risk that the benefits of the programme would fail to materialise.

Identified 'risks' include :

1. Lack of control / governance over developing operational processes for managing electronic records
2. Other policy initiatives (30 Year review) may take focus away from Seamless Flow
3. Shortfall in projected accessions of electronic records may encourage a fall back to 'paper' processes
4. Agreed processes and procedures would be 'forgotten' or not fully developed and embedded. No method for collating feedback and drawing lessons learned to enable a continuous improvement programme for the overall process of managing electronic records
5. The drive to roll out Seamless Flow processes and technology would diminish both internally and externally
6. Development of processes and technology in isolation without consultation and or involvement of associated Seamless Flow partners
7. Loss of nominated individual to provide technical understanding of the whole system who can provide an holistic approach to the overall process
8. Resultant risk to TNA credibility and reputation

5 Recommendation

Clearly, a framework to manage the transition to business as usual which will address the risks / issues highlighted above is required. This paper recommends a two stage strategy to ensure the ongoing benefits of the programme are not lost due to a lack of co-ordinated management and leadership across all Seamless Flow processes.

6 Transition Phase 1 – April → June 2008

6.1 Governance

Overall governance would pass to two new working groups, systems and business who would work initially in conjunction with the Business Change Project team during this initial phase.

The Business Change project team would continue to meet monthly for the next three months and should be led by the current project manager to ensure continuity whilst securing the remaining deliverables during the hand over period to the two new working groups :

- Compile End Project Report
- Compile Lessons Learned Report
- Close / reassign Risk and Issues logs

This project team would also report into the current Project Board during this initial transition period and any outstanding deliverables will be passed to the relevant Working Group.

At the same time two new working groups should be established to ensure continuity across all functions in relation to systems and business development.

The Technology Working Group (see Appendix I for full terms of reference) led by a nominated manager with the breadth of technical skills and business acumen / awareness would consist of Seamless Flow Information and Technical Architects (when appointed), operational team leaders DPD Service, DAA and Database Team and Seamless Flow Administrator and would take overall responsibility for :

- Incorporating Lessons Learned from roll outs (systems)
- System enhancements and change requests
- Ensuring any changes in technology will support business developments

The Business Continuity Working Group (see Appendix II for full terms of reference) led by Head of Records Management and Cataloguing Department would consist of Appraisal Manager, Business Change Project Manager, DAA and Team Leaders Transfer and Cataloguing with a representative from internal communications and HR and would take overall responsibility for :

- Embedding new processes and procedures (lessons learned from roll outs)
 - Accessioning
 - Transfer
 - Cataloguing
 - FOI
- Completion of training plans and monitoring delivery
- Additional support to initial roll out departments to ensure positive feedback
- Ongoing communication strategy – for next 6 – 12 months
- Benefits Realisation
- PIR
- Final Gate 0 review (equivalent to a Gate 5 – benefits realisation)

6.2 Process Development

The Business Continuity Working Group would continue to develop outstanding processes and procedures in line with transfer system workflows. The Technology Working Group would provide a forum for feedback and lessons learned and enable any improvements or enhancements to the software to be instigated.

6.3 Communications

The Business Continuity Working Group would maintain the communication channels as identified in 3.3 above and develop an ongoing communication strategy (internal and external).

6.4 Funding / Resources

There should be no significant additional funding and or resources required. It should be noted that the Delivery & Presentation project will run on into the new FY. It has been agreed that a proportion of the budget within Seamless Flow can be carried over for this purpose. The Delivery & Presentation Board should continue in its present form until this project is completed. All other projects will be closed by end of April / May 2008 with any outstanding deliverables and or risk and issues passed over to the relevant working group and or department.

7 Transition Phase 2 – July → March 2009

7.1 Governance

The Business Change project team would be wound up by end of June leaving the Technology and Business Continuity Working Groups in place.

Both groups should meet monthly with a joint meeting, to share progress, each quarter. The leaders of each group would sit in both working parties to ensure cross party communication.

Representatives from both groups should jointly hold quarterly Seamless Flow Advisory Group meetings to ensure all key external stakeholders remain part of the electronic records life cycle management 'community'.

7.2 Process Development

See 6.2

7.3 Communications

See 6.3

7.4 Funding / Resources

See 6.4

8 Summary

To avoid / mitigate the risks identified in 4 above, it is necessary to maintain a level of governance and control over and above standard functional parameters. The continuance of the status quo for the first three months would enable TNA to maintain it's focus on new work methods, even if the expected demand for electronic accessions fails to materialise during this year.

As with any business change, it is advisable to maintain a central monitoring role to ensure identified benefits are realised. Thus, the formation of a Business Continuity Working Group with a scope focussing on key areas of process development, training, support and benefits realisation and a Technology Working Group focussing on ensuring lessons learned from the roll outs are incorporated into any future system enhancements.

The development of other key initiatives (Digital Continuity, Aggregated Catalogue, Web Archiving and others) would benefit from having a focal point of contact such as the Technology Working Group to ensure a coordinated and holistic approach is maintained.

Appendix I

The Technology Working Group

Composition

Team Leader – requires technical knowledge, Seamless Flow experience and business acumen - TBC

Seamless Flow Information Architect

Seamless Flow Technical Architect – when appointed

Digital Archives Analyst

Database team leader

Seamless Flow systems administrator

Plus Chair (or representative) Business Continuity Working Group

Objective

To ensure a holistic approach to systems development is maintained in respect of the Seamless Flow processes and business development and to mitigate against the risks identified in Section 4

Methodology

- Team to meet monthly – or as required
- Establish and maintain a file within the Seamless Flow area of fileplan

Key Deliverables :

- Incorporate lessons learned from roll outs into ongoing systems Lessons Learned Log
- Compile system enhancements and formulate change requests as required
- Assess technology changes (to Seamless Flow) to ensure compatibility with business requirements
- Compiling monthly usage statistics and monitor performance
- **Compile monthly report based on agreed statistics to be circulated to Business Owner**

Appendix II

The Business Continuity Working Group

Composition

**Head of Records Management and Cataloguing Department
Business Change Project Manager
Appraisal manager
Team Leader Transfer – when appointed
Team Leader Cataloguing
Internal communications officer
Human resource administrator
Digital Archives Analyst**

Plus Chair (or representative) Technology Working group

Objective

To provide a forum for feedback and lessons learned during roll out phase and to champion the Seamless Flow concept within OGDs whilst ensuring future systems development are in line with ongoing business requirements and to mitigate against the risks identified in Section 4

Methodology

- Team to meet monthly – or as required
- Team to convene quarterly meetings with Seamless Flow Advisory Group :
 - Update on roll out progress
 - Compile Lessons Learned Log
 - System demonstrations and training
- Establish and maintain a file within the Seamless Flow area of fileplan

Key Deliverables :

- Compile Lessons Learned Log
- Update new processes and procedures
 - Accessioning
 - Transfer
 - Cataloguing
 - FOI
- Complete initial training plans
- Monitor delivery of training plans
- Provide additional point of contact for roll out departments
- Deliver communication strategy during 2008/9
- Compile Benefits Realisation Log
- Undertake Post Implementation review with PSO
- Undertake final Gate 0 review (equivalent to Gate 5 Benefits Realisation)
- **Compile quarterly report on Benefits Realisation for Management Board**