

Project Initiation Document (PID)

PROJECT NAME: Public Records Review

PROJECT REFERENCE: NAS5/B56

PRESENTED BY: Project Manager

QUALITY REVIEWED BY: Project Board and Advisory Group (as required)

DATE QUALITY REVIEWED:

Signed: _____

Date: _____

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Date: _____

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1. Purpose

The purpose of this project is to assist the Keeper to conduct a review of Scottish public records legislation. This follows report recommendations made by the Historical Abuse Systemic Review (the Shaw Report), published in November 2007, which carried out a two year investigation into systemic failings in the provision of residential child care in Scotland between 1950-1995 and which contributed to abuse suffered by children in residential schools and children's homes.

2. Project Definition

The project aim is to conduct a review of public records legislation and produce an outcome report with recommendations for Scottish Ministers. The principal focus of the review is to identify failures of record keeping as highlighted by Shaw, but that this must be done within the context of a broader overview of public records legislation in Scotland.

The project is defined by the ministerial statement made to the Scottish Parliament in response to the Shaw Report by Adam Ingram MSP.

"The Shaw report rightly makes important recommendations about records and record keeping. The first is the need for a review of public records legislation. There are clear advantages in such a review, as the existing law is more than 60 years old. We have therefore asked the Keeper of the Records of Scotland, in consultation, to review the legislation on public records in the light of the shortcomings that were exposed by Shaw". Adam Ingram MSP, Minister for Children and Early Years, Scottish Parliament, 7 February 2008.

The project elements, or work-streams arising from these elements, are seen as the following. They will run in parallel.

1. Consultancy: Write a procurement specification to commission work from an outside consultant. Commission consultant either as part of an existing SG call-off contract or through the NAS tendering process. Consultant to conduct consultations with designated individuals or groups as determined by the specification.
2. Advisory Group: Draw up terms of reference and establish a new advisory group to assist the Keeper in the conduct of the review and wider consultation process. Membership of the group to be drawn from various constituencies.
3. Wider Consultation: Conduct a wider ad hoc consultation process, including consultation with professionals involved with records and archives, and child care.
4. Report: Draw together results of consultation and report to Scottish ministers.

3. Project Organisation

Project Sponsor:	George MacKenzie, Keeper of the Records
Project Board :	Chair: George Mackenzie, KRS Senior User: Dave Brownlee, NAS Senior Technical: Peter Anderson, NAS Specialist Assessor: Luke Cavanagh, SG
Project Manager :	Bruno Longmore, NAS
Project Assurance:	Procurement issues: Jim Grady, NAS User Assurance: Luke Cavanagh, SG
Project Team:	Hugh Hagan, NAS; Jenny McDermott, NAS; Jenny Cutts, NAS.
Project Partners:	National Archives of Scotland Scottish Government - Children, Young People and Social Care

4. Project Stage Structure

The project timetable is very tight. Stages therefore require to be run in parallel, or will overlap, and should be read in conjunction with the project timetable.

Stage 1: Planning and Initiation

Products: Prepare and agree Project Initiation Document, product definitions and stage plans.

Quality assured: Project Board.

Stage 2: Consultancy: Design Procurement

Product: The review work will be undertaken by an outside consultant. They are essential to a successful outcome. This will ensure NAS neutrality. Prepare consultant's specification and brief, and submit invitations to tender through the normal tendering process. Previous information gathered by the NAS Public Records Review Group will be used to inform the consultant's remit. The consultants will identify participants, lobby groups and representative bodies and aim to report within 6-8 weeks.

Quality assured: Senior User, Specialist Assessor and Project Board.

Stage 3: Consultancy: Selection of Consultant, Conduct Research and Submit Report

Product: Consultant selected and invited to conduct independent survey and research among designated groups, and submit report within 6-8 weeks. The advisory group, will have the opportunity to consider constituencies to be addressed by consultants, which will include the following:

- Shaw Report authors
- Local authority social work and child-care sector
- Private social work and child-care sector
- Record professionals
- Abuse 'survivors'/former residents

The consultant's report will be submitted for comment to the advisory group at the interim draft stage. A copy of the final report will be made available to the public under the Freedom of Information Scotland Act 2002.

Quality assured: Project Team and Project Board.

Stage 4. Advisory Group: Establishment and Terms of Reference

Product: Establish an advisory group to bring together important voices and work towards a shared understanding of issues. Draw up terms of reference and invite participants to attend meetings of the advisory group. Members should have the knowledge and expertise to provide a solid basis for discussion, including knowledge of appropriate literature and international best practice.

Quality assured: Specialist Assessor and Project Board.

Stage 5: Advisory Group: Meetings

Product: The purpose of the advisory group is to gain diverse views, and enable the Keeper to consult with wider views and perspectives across a range of sectors, obtaining cross-sectoral opinion. The group will be drawn from child care and social work sectors, the local authority sector, central government and be representative of survivors or former residents. The group will be chaired by the Keeper and work towards a shared understanding of the issues, and help inform the management of the project. The consultant's report will be reviewed by the advisory group before it is reported to NAS senior management via the Project Board.

Quality assured: Senior User, Specialist Assessor and Project Board.

Stage 6: Wider Consultation: Conduct Paper-based Reviews

Products: Conduct a literature and international best practice review of public records legislation elsewhere in the world. This should concentrate on English-speaking countries where record practice is similar. It will look specifically at countries where recent changes to public records legislation have taken place (e.g. New Zealand) and also where similar investigations have been conducted into systemic failures in state funded child-care provision (e.g. Canada). A report will be submitted to the project board.

Quality assured: Project Team and Project Board.

Stage 7: Wider Consultation: Individuals and Organisations

Products: Conduct wider consultation with record professionals and particular leaders of representative groups. Meetings will be conducted separately from the consultant's review.

Quality assured: Project Team and Project Board.

Stage 8: Communications Plan

Products: In light of public interest in the case, information will be posted on the NAS web-site (e.g. Advisory Group meetings). The aim is to publish all results of the review, excluding policy advice to Scottish ministers.

Quality assured: Project Board.

Stage 9: Review Outcome

Products: The Review outcome will be a report to Scottish ministers, allowing them to make an accurate statement to parliament and recommend a clear way forward. The report needs to be clearly framed to lay down the remit for any possible future Bill work.

Quality assured: Project Board

Stage 10. Review

Product: Post Implementation Review.

Quality assured: Project sponsor.

5. Project Configuration Management Policy

The Project Manager will ensure that records, monitors and reports are produced, maintained and issued. The main file will be kept in the NAS (ref: NAS5/B56).

6. Controls

The project will be managed in accordance with NAS PRINCE2 guidelines. Meetings of the Board will be held at appropriate times throughout the duration of the project. The Project Manager will produce a progress report prior to each meeting, including contributions from the project team, or the expert advisor on their areas of responsibility. The Project Manager will also seek the advice or approval of the Board when appropriate, and will ensure the satisfactory quality assurance of all project products and deliverables. Each product will be formally approved at the end of each stage.

Copies of all key papers will be retained on the formal project file.

7. Risks and Contingencies

Several risks are involved in this project:

Risk	Likelihood	Impact	Countermeasures
Lack of internal NAS support to maintain progress.	Medium	High	Look for further support.
Lack of ready support from Keeper's advisory group.	Low	High	Ensure commitment of group members and that they are kept fully aware of tight deadline.
Project fails to deliver report to specified deadline date, resulting in damage to NAS reputation.	Medium	High	Stick closely to timetable; notify project board of any delays; keep minister informed of progress and any perceived delays.
Lack of funds to conduct consultancy review.	Low	High	Obtain commitment that funding is available from Stage 1.
Overly high expectations for a new public records Act from record and archive specialists.	High	Low	Ensure that product of the review is firmly announced from the outset; ensure good publicity and presentational handling to manage expectations.
Failure to represent needs of a	Low	High	Ensure that Advisory Group is broadly based and drawn from a wide range of

significant interest group			constituencies.
Failure to adequately reflect recommendations made by the Shaw Report team.	Low	High	Consult with Shaw Report authors and ensure that interpretations and assumptions being made are correct.
NAS progress on public records falls behind SG progress on other Shaw recommendations.	Medium	High	Liaise closely with SG Looked After Children. Turn it to good effect; while linked, the recommendations about records can be seen as unique and stand alone.

8. Plans

STAGE	TARGET DATE
Stage 1: Planning & Initiation	August 2008
Project board meeting: initiation meeting	29 August 2008
Stage 2: Consultancy: Design Procurement	September 2008
Project board meeting: Sign off Stage Two	Mid September 2008
Stage 3: Selection of Consultant, Conduct Research and Submit Report	October – December 2008
Consultant submits interim report to advisory group	End October 2008
Consultant submits completed report	End November 2008
Project board meeting: Sign off Stage Three	End December 2008
Stage 4: Advisory Group: Establishment and Terms of Reference	September 2008
Project Board meeting: Sign off Stage Four	Mid September 2008
Stage 5: Advisory Group: Meetings	October – December 2008
Project board Meeting: Sign off Stage Five.	Early December 2008
Stage 6: Conduct Paper-based Reviews	September – December 2008
Project board meeting: Sign off Stage Six	Mid December 2008
Stage 7: Wider Consultation: Individuals and Organisations	September – December 2008
Project board meeting: Sign Off Stage Seven	Mid December 2008
Stage 8: Communications Plan	September 2008 – January 2009
Submit Cabinet report to Minister	Shaw Report Anniversary (Nov 2008)
Stage 9: Review Outcome	February 2009
Keeper submits final report to Scottish Ministers	End Feb 2009
Stage 10: Project Review Board Meeting: lessons learned	August 2009

9. Constraints/ Exclusions

The primary constraint is the deadline, which is very tight, and the internal resources to conduct the review. A report must be submitted to Scottish Ministers by Feb 2009.

10. Interfaces and dependencies with other projects

Scottish Government initiatives in response to other Shaw recommendations about Looked After Children; Reconciliation etc.

11. Business Risks

This is a ministerial request and consequently a high-profile project. Failure to deliver may cause embarrassment to Scottish ministers and adversely affect the reputation of the NAS.