

## PROJECT INITIATION DOCUMENT

**Project name** Seamless Flow: Management and Security

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**Author:** Project Manager

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## Document History

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| 28 Jan 2005   | 0.2              | Small modifications and additions                                 | No             |
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| 02 Mar 2005   | 0.8              | Split out previous stage 1 as a sub-project                       | No             |
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**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) |           | Director of Government and Technology |               |         |
| Programme Manager              |           |                                       |               |         |
|                                |           |                                       |               |         |

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## Purpose

To define the Management and Security project within the Seamless Flow programme, to form the basis for its management and the assessment of overall success.

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## Background

The transfer, storage, preservation and presentation of electronic records over time raises a number of security and management issues. These include record handling principles, security classifications, access controls, record integrity, digital redaction and record authenticity.

The Seamless Flow (SF) programme has created several sub-projects to design and build processes and systems to handle electronic records at different stages of their lifecycle. The Management and Security project has been formed to provide policy and guidance on the application of best-practice record handling principles and appropriate security controls consistently across the records lifecycle from selection onwards.

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## Project Definition

### Project objectives

The Management and Security (M&S) Project is intended to build public and institutional trust in the presumption of authenticity of the digital record holdings of the National Archives.

It will provide advice and guidance conforming to agreed international standards to the Seamless Flow programme and its sub-projects to help ensure that digital records are managed appropriately across their lifecycle from selection onwards in a manner consistent with their security classification.

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### Defined method of approach

The M&S project is divided into 3 stages and one sub-project

The 3 stages of the main project will provide assistance and guidance to the Seamless Flow programme on handling digital records at current security levels.

The sub-project will look at the impact of taking records at Classified or Secret levels, and is defined in the document *Protectively Marked Records Project Brief*.

### Stage 1 Feb 2005

Stage 1 will work with the other Seamless Flow projects to define immediate and practical “black box” record authenticity statements for each project, to enable them to move forward in planning with confidence.

Authenticity requirements will vary by the nature of the work of each project and will only concern themselves with a short authenticity statement for each project, outlining the conditions necessary to support the presumption of record authenticity, in terms of any records input, processed or output by that project.

### Stage 2 Feb – June 2005

Stage 2 will provide policy and any consequent implementation guidance to the Seamless Flow programme and its sub-projects in the areas of management and security over the records lifecycle from selection onwards, in order that they can plan appropriately.

In some cases security or management requirements might dictate the use of particular architectural solutions (e.g. the use of an air-gapped system).

It will focus on handling records at current levels of security classification, but will attempt to produce deliverables that are generally applicable, where possible:

- Unclassified
- Restricted

**Stage 3**

Stage 3 will:

June 2005  
to end of  
Seamless  
Flow  
Programme

- Provide ongoing guidance to the other projects during the Seamless Flow programme
  - Regularly review progress to ensure that changes in the programme, projects and operating environments are fed back into management and security policy and requirements.
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**Project scope**

The M&S project will be responsible for management and security issues associated with the records and the processes of seamless flow.

This project will include the following activities:

- Reviewing options for accepting higher levels of record security classification (Confidential and Secret)
  - Ensuring records are de-classified as necessary
  - Provision of good assurance as to the authenticity of a digital record
  - Ensuring that information security policies and controls are sufficiently specified to meet the needs of long term electronic records handling at The National Archives (TNA)
  - Ensuring that records management policies and controls are sufficiently specified to meet the needs of long term electronic records handling at TNA
  - Ensuring that technical architectures and systems are accredited to government information security standards
  - Provision of technical and architectural constraints to other projects in the Seamless Flow that follow from information security or records management principles
  - Ensuring provision of suitable access control system for users of applications
  - Provide guidance on Information legislation and its impact on records handling
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**Project deliverables**

## Reports

- Impact assessment of handling higher levels of security classification

## Policies

- Statements in support of the presumption of record authenticity for each stage of a record's archival lifecycle from selection onwards
- Electronic records handling policy – a high level statement of general electronic records handling principles
- Security policy – a high level statement of the security requirements for electronic records in the Seamless Flow programme
- Access control policy – a high level statement of access control policy for digital records

## Analyses

- Access control model, taking account of access by TNA staff, systems, other government departments (OGDs), and public access
- Disaster recovery and business continuity requirements

## Technical requirements

- Architectural and technical requirements, derived from the analyses
- Accreditation of systems and networks to government information security standards

## Specific guidance

- Digital redaction guidance
- Implementation guidance where needed for specific controls recommended by the threat analysis
- Other guidance may be produced on a case-by-case basis if specific areas of the Seamless Flow programme require specific input from the M&S project

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**Exclusions**

Assuring and enforcing compliance with M&S policy and technical constraints by other projects in TNA is not the function of the M&S project, although help and guidance will be made available.

Compliance must be seen in the overall context of TNA wide audit of systems, policies and procedures.

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**Constraints**

Stages 1 and 2 of the project will focus on handling current levels of record security classification (not above Restricted), due to the immediate planning dependencies of other projects.

**Interfaces**

The project involves specifying high level policies and architectural constraints across the Seamless Flow programme. The Programme interfaces with a large range of current internal and external programmes, 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 exempt pieces – SAR, DPD
- Technology watch (PRONOM – file format database) - DPD
- Metadata (e-GIF) - RMD
- Resource discovery and Cataloguing and editorial (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)
- Digital Archive/Online Catalogue (*PROCAT*) interfacing
- Digital Archive large accessions project
- TRIM/e-Accessioning
- Digital Archive Presentation System (DAP)
- Record Copying Workflow
- Public Services Development Programme
- Consumer focus programme
- Business continuity plan

**Government Programmes and Initiatives**

- Freedom of Information and Legislation
- Government Secure Intranet - GSI
- Central Government Infrastructure, e-GIF and e-GMS
- Government security bodies, including CESG, CSIA, NISCC

**External Programmes/Services**

- National Digital Archive of Datasets (NDAD)
- Internet Archive/JISC, Wellcome, National Libraries project
- Reference models OAIS, Research Library Group (RLG) Trusted Digital Repositories
- Government security suppliers (e.g. Energis, the supplier of GSI)

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**Assumptions**

Resource, both in terms of staff time, and, if necessary, budget for outside assistance, will be available to carry out the program of work.

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## Project organisation structure

This project/work stream is undertaken by a small team and will not have a formal project board but will report directly to the Programme Board via the Programme Manager.

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## Communication Plan

| <b>Audience</b>              | <b>Information</b>  | <b>Owner</b>    | <b>Frequency</b>   | <b>Method</b>   |
|------------------------------|---|-----------------|--|---|
| Programme 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 Manager | Weekly   | Meeting; highlight reports, issues and risk logs for projects and integration |
| Team members                 | Progress  | Project Manager | Weekly until stage 4, then as required                       | Meeting and email   |
| Other Seamless Flow Projects | Security and management constraints and guidance            | Project Manager | End of stage 2, Stage 3 milestones and end, then as required | Meeting and email   |

## Project Quality Plan

The project quality plan defines the quality techniques and standards to be applied to the work and the various responsibilities for achieving the required quality levels.

### Customer Quality Requirements Acceptance Criteria

- Records selected for preservation at TNA are reliable
- Good assurance of presumption of authenticity for digital records from selection onwards
- Other Seamless Flow projects receive the management and security advice that they need to proceed

### Quality Responsibilities

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

Ensuring the quality of implementation of advice produced by this project by other projects or groups within TNA is the responsibility of the programme or TNA as appropriate.

### Standards

The project will conform to appropriate Government and internal TNA standards to cover:

- project management (PRINCE2)
- system design – Unified Modelling Language (UML)
- system development (TNA software development standards)
- data interchange and management (eGIF, eGMS)
- information security (ISO 17799)
- archival standards (BS5454)

It will also take input from emerging standards and reference models in the field of digital archiving, such as the *Trusted Digital Repositories* (RLG) and the Open Archives Information System (OAIS) *Digital Archiving* model.

### Quality Control and Audit Procedures

The programme and projects will be subject to the following controls:

- TNA to be audited by auditors appointed under RLG scheme
- Process to include rigorous integrity tests for electronic records
- All products will undergo peer review and formal sign off
- The programme will be subject to the Gateway Review process
- TNA internal audit will review the programme at appropriate stages

### Configuration Management Plan

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

**Change  
Management  
Process**

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 where this exists. 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.

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**Project tolerances**

Timescales are to be sufficient to meet requirements of interacting projects.

Currently there are no direct capital costs associated with the project.

Tolerance for delivery of products is 2 weeks.

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**Project controls**

Project will be managed using the 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 weekly Checkpoint meetings with the team during Stage 3 and as appropriate for other stages.

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.

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