National Archives and Records
Administration
Records Management Service
Component Program (RMSC)

RMSC Requirements Development Project
Workshop Report – Session 1

January 11 – 13, 2005

RMSC
Records Management Service Components

National Archives and Records Administration
Records Management Service Component Program (RMSC)

RMSC Requirements Development Project
Workshop Report – Session 1

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Executive Summary

The Records Management Service Component (RMSC) Program RMSC Requirements Develop Project commenced on January 11, 2005, with the first of six collaborative sessions with records management stakeholders representing 19 Federal Agencies. The RMSC Requirements Development Project additionally supports the E-Government Electronic Records Management (ERM) initiative #24 of the National Archives and Records Administration (NARA).

The published objectives of Group 1, Session 1 were to:
- Identify records management functions/activities and their related attributes
- Extract the records management activities that can be supported by software service components and prioritize them
- Educate participants on how to write functional requirements
- Provide feedback on requirements collection process
- Document the workshop output in session report

All objectives were met.

NARA's Assistant Archivist, Office for Human Resources and Information Services and Chief Information Officer, Mr. L. Reynolds Cahoon addressed the RMSC working group by expressing his appreciation for their participation and emphasized the importance of the project.

The Team identified, defined, and prioritized ten records management service component activities and their related attributes. Participants then provided definitions for the activities, prioritized them, and then provided additional detail for the attributes. Finally, the participants drafted functional requirements using the ten records management component activities and their attributes.

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Section I - Records Management Service Component (RMSC) Requirements Development Project Workshop Overview

The RMSC Requirements Development Project, a part of the RMSC Program, commenced on January 11, 2005, with the first of six collaborative sessions with records management stakeholders representing 19 Federal Agencies. The RMSC Requirements Development Project additionally supports the E-Government Electronic Records Management (ERM) initiative #24 of the National Archives and Records Administration (NARA),. (See Appendix B for the RMSC Project Schedule)

The published objectives of Group 1, Session 1 were to:
- Identify records management functions/activities and their related attributes
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All objectives were met.

The first in a series of functional requirements development workshops was conducted on January 11-13, 2005 at the Dynamics Research Corporation Decision Support Center (DSC) in Vienna, Virginia. Representatives from selected federal agencies attended. These include the:

- Department of Agriculture
- Department of Homeland Security
- Department of Housing and Urban Development
- Department of Labor
- Department of Treasury
- Environmental Protection Agency
- General Services Administration
- Social Security Administration

For the first activity, Mr. Edmund Feige, the project facilitator, led the team through an introductory sign-in exercise using the groupware and then asked everyone to introduce themselves to the group. (See Appendix D a list of participating agencies). Thereafter, he conducted a brief overview of the DSC facility to include the administrative and security requirements.

NARA's Assistant Archivist, Office of Human Resources and Information Services and Chief Information Officer Mr. L. Reynolds Cahoon, addressed the RMSC working group. He

expressed his pleasure in the 100% positive response by the 19 agencies invited to participate in the project. Mr. Cahoon stated the broad program objectives to:

- Provide definition to facilitate potential acquisition of RMSCs that can be used to provide interoperable records management functionality in any agency system that processes electronic records
- Enable vendor and developer communities to integrate RMSCs into their products and services by extending records management from the back of business processes to the front, and ensure standard outputs from both similar and dissimilar business processes that result in electronic record creation

Mr. Cahoon discussed the benefits of having RMSCs that would allow the management of records to begin much earlier in the business process. Mr. Daryll Prescott, the NARA Program Director, explained the program activities (See Appendix A) and the project schedule (See Appendix B).

The next activity was a series of background briefings to permit the team to focus on the tasks at hand and explain the RMSC chosen to complete the tasks. The briefings that were presented include:

- Records Management Service Component Overview - Dr. Mark Kindl & Ms. Marlit Hayslett-Keck of the Georgia Tech Research Institute
- Federal Enterprise Architecture Overview - Mr. Richard Monash
- Examples of Records Management Activities Expressed as Models - Mr. Richard Monash
- Collaborative Environment Briefing - Mr. Edmund Feige

The facilitator surveyed the participants to determine if they understood the goals of the project and if they accepted the notion that records management requirements should be included in the acquisition process. Their positive response suggested that the group was disposed to proceed with the creation of functional requirements. The approach for this workshop was to:

- Identify and prioritize candidate records management activities
- Associated attributes (sometimes referred to as data elements)
- Draft functional requirements that include activity, input and output

The facilitator initiated the data gathering by conducting an unconstrained brainstorming exercise for the team to identify potential RMSC activities. Thereafter, they analyzed the over 60 identified candidates and separated them into three categories: activities, attributes, and other. The original activities were then reduced to ten candidate activities for records management service components.

Day Two began with an exercise to validate the viewpoint and the scope of the project in order to focus the group on records management activities independent of business application implementation. It was agreed that the following viewpoint and scope applied to this project:

- **Viewpoint**
  - Records Management Activities
- **Scope**
  - *From:* Declaration of a record
  - *To:* Disposition of a record

After validating the 10 candidate RMSC activities from Day 1, the team used the groupware vote tool to sequence the activities to determine the RMSC activity workflow.

Thereafter, the participants were formed in to three sub groups to create definitions for the ten identified candidate RMSC activities.

The final exercise was to compare the list of ten candidate RMSC activities to the records management activities identified by a Georgia Tech Research Institute (GTRI) analysis of international and domestic records management studies conducted during the past ten years. The team was offered the opportunity to modify their list. They concluded their list of candidate activities were consistent with the studies conducted.

A summary of the results of the above activities can be found at Section II.

In order to provide the Program Office with their assessment of return on investment related to the potential acquisition of records management service components, the participants were asked to conduct three "forced choice" votes against three criteria:

- Constrained by current year dollars
- Agency readiness to accept the change (ease of implementation)
- Criticality from the viewpoint of a records manager

The results of these votes can be found at Section IV.

The final group activity was for the participants to draft proposed functional requirements for each of the 10 candidate RMSC activities.

The participants were provided a brief overview of writing a functional requirement. Basically, a functional requirement is complete when it has an identifiable input (object, data, etc.), the specified activity that is to be performed on the input(s) and a specified output. All three parts must be documented in such a manner as to allow them to be identified in a test and evaluation plan during an acquisition activity. Additionally, a fully documented functional requirement

includes its required and associated attributes, meta-data definition and data constraints that are applied to the data populating the attribute.

Given the time constraints of the session and the need of the program office to collect as much information about components as possible, participants were allowed to document "functions" (what the component should do or accomplish) versus being required to provide a fully documented functional requirement.

The following table summarizes the conclusion of the Group 1 participants related to the identification of RMSC activities and associated functional requirements. For specific activities that were used in the development of this table see Sections II and V.

Association of Candidate RMSC Activity to Functional Requirements

RMSC Activity	Definition	Functional Requirements
Declare Record	The act of determining that data or information has reached the statutory definition of a record	• The Declare Record Component shall provide the capability to designate information a Declared Record. • The Declare Record component shall provide the capability to populate the Ensure Authenticity attribute for the Categorize Record using the Authenticity Tool.
Schedule Record	Based on the legal requirements, financial and historical value of the Record, assign disposition instructions.	• The Schedule Record Component shall provide the capability to populate the Disposition Authority Attribute of the Categorized Record using the Disposition Schedule.
Categorize Record	Associate a Record to other records derived from the same or similar business process using an agency approved implementation tool like a file plan, schedule, schema, code.	• The Categorize Record Component shall provide the capability to assign a Records Category to the Declared Record using an Agency Specific Record Category Tool, producing a Categorized Record.
Use Record	The act of applying a record to meet business needs	• The Use Record Component shall provide the capability to, in response to a retrieval request, extract categorization information about a record to retrieve

		that record, in accordance with access restrictions, and make it available for printing, viewing and saving.
Retrieve Record	The act of selecting a record based on specified criteria.	• The Retrieve Record component shall provide the capability to apply selection criteria to all records producing matched record(s).
Ensure Authenticity	The act of assuring that the record remains unaltered from the time it was declared a record until final disposition.	• The Ensure Authenticity component shall provide the capability to use the Ensure Authenticity attribute to ensure the integrity of the Categorized Record until its final Disposition.
Maintain Record	Storage regardless of format that ensures authenticity, availability, and retrievability	• The Maintain Record component shall provide the capability to continuously authenticate, make available and Retrieve Records when called upon by other Components. The Maintain Record Component does not in of itself trigger actions on Records, but is a Component that maintains a state while the methods of other Components are called.
Transfer Record	A mechanism for changing location, ownership, or legal custody while ensuring integrity of the record.	• The Transfer Record component shall provide the capability to take the Record from a designated location, owner, and format to another owner and location in a compatible format that produces the exact record.
Destroy Record	Physical or electronic definitive destruction of a record according to an established record schedule.	• The Destroy Record component shall provide the capability to make a Categorized Record available for destruction by ensuring the identified destroyed record is no longer available in the system and that information (date) about the destruction is made available as evidence of the destruction in a Agency Record Destruction Tool a record of destruction was produced.
Make Record Available	Activities related to locating, retrieving, and delivering a requested	• The Make Record Available Component shall provide the capability to identify a record based on specific criteria.

	record in accordance with access restrictions.	• The Make Record Available Component shall make available (viewing, printing, saving) a Categorized Record based on access restrictions using the Access Tool. • The Make Record Available Component shall make available a Categorized Record in a format using the Format Tool. • The Make Record Available component shall provide the capability to make available (viewing, printing, saving) for a categorized record using Search Criteria. • The Make Record Available component shall provide the capability to respond with a null value to a request for a Categorized Record using Search Criteria. When to record meets the search criteria • The Make Record Available component shall provide the capability to respond with a List Tool when there is more than one instance meeting the Search Criteria. • The Make Record Available component shall provide the capability to make available (viewing, printing, saving) one or more Categorized Records presented with a List Tool using Search Criteria.

As a post-session activity, a process model was developed using the ten activities offered during the workshop to provide a graphical representation of the inter-relationships between the RMSC activities. This model was developed by the two RMSC Program personnel and supported by DRC, was produced using Integrated Definition Language (IDEF0) methodology. (See Appendix E).

The objectives of developing the model were to:

- Identify any potential relationship disconnects between the records management activities as they were constructed by the participants
- Identify potential missing or disconnected inputs and outputs
- Document in graphical format the use of attributes (data elements) identified by the participants as they relate to the activities using or producing them
- Develop an abstraction of the inter-relationships between the activities, their associated attributes, and the definitions describing their use in a model depicting the ten components

Section II – Candidate RMSC Activities

Using the groupware tool, the participants were asked to brainstorm records management activities that could be serviceable by a component. The team identified over 60 potential records management activities. This initial brainstorming list included activities and attributes both in an out of the scope of this project. The activities were normalized through a sorting process that resulted in three groups: RMSC activities, RM attributes (sometimes referred to as data elements), and other data. After consensus was reached the team was able to refine the potential candidate RMSC activities from 60 to ten candidate RMSC activities.

The participants were then sub-divided into three working groups to further develop definitions for the ten candidate RMSC activities.

The last exercise was for the participants to compare and validate their developed activities and definitions with the Georgia Tech Research Institute (GTRI) analysis of international and domestic records management studies conducted during the past ten years. The group consensus was that they had captured the essence of the records management activities contained in the GTRI work product.

The following are the ten candidate RMSC activities and their definitions that were identified by the participants:

Declare Record
The act of determining that data or information has reached the statutory definition of a record.

Schedule Record
Based on the legal requirements, financial and historical value of the Record, assign disposition instructions.

Categorize Record
Associate a Record to other records derived from the same or similar business process using an agency approved implementation tool like a file plan, schedule, schema, code.

Use Record
The act of applying a record to meet a business need.

Retrieve Record
The act of selecting a record based on specified criteria.

Ensure Authenticity

The act of assuring that the record remains unaltered from the time it was declared a record until final disposition.

Maintain Record
Storage regardless of format that ensures authenticity, availability, and retrievability.

Transfer Record
A mechanism for changing location, ownership, or legal custody while ensuring integrity of the record.

Destroy Record
Physical or electronic definitive destruction of a record according to an established record schedule.

Make Record Available
Activities related to locating, retrieving, and delivering a requested record in accordance with access restrictions.

Section III – RMSC Draft Attributes

After developing the ten candidate RMSC activities and their definitions, the participants were tasked to use the list of the previously developed attributes and match them with the appropriate activity. Some of the draft attributes applied to more than one activity.   Thereupon, participants were sub-divided into three working groups to normalize and to provide an opportunity to add additional draft attributes.

It should be noted that some of these draft attributes are in narrative form. Due to time constraints, the session participants were unable to refine "narrative draft attributes" into an acceptable attribute format.

The resulting draft attributes linked to their related RMSC activities are provided below.

Declare Record
1. Metadata standards for future identification and retrieval

2. Business rules and guidelines for declaring a record

3. Data elements attributes of electronic records)

4. Completeness

5. Decision makers or authority to declare record

6. Information sources

7. Record Ownership

8. Location of record

Schedule Record
1. Record Series

2. Source of records

3. Linkage between file plan, records disposal schedule, and retention period.

4. Record Creator

5. Repository of applicable records control schedules.

6. Disposition Authority

Categorize Record
1. Metadata standards for future identification and retrieval.

2. Record Category Code

3. Data Elements of electronic records (name of file, date modified, file type/ software used, record category, author, size of file in bytes), so that it can be "automatically" segregated for disposition action (either on-line storage for X time, then off-line storage for X time) then transfer to records center or destruction.

4. Access Rights.

5. Record Ownership

6. Record series

7. Record category

8. Record description

9. Record disposition

Ensure Authenticity
1. Audit log file
2. Access rights lookup

Maintain Record
1. Record creator

2. Attributes of electronic records (name of file, date modified, file type/ software used, record category, author, size of file in bytes), so that it can be "automatically" segregated for disposition action (either on-line storage for X time, then off-line storage for X time, then transfer to records center or destruction)

3. Completeness of Record (check sum, valid pointers to associated data)

4. Location of Record (data elements = agency, server name, directory)

5. Permission/authorization to retrieve and use Records.

6. Suspended disposition status (includes null)

7. Record maintainer

8. Record destination organization

Make Record Available
1. Access rights

2. Transfer mechanisms

3. Documents for web dissemination

4. Links to information existing in agency legacy systems

5. Location of record

Retrieve Record
1. Links to information existing in agency legacy systems

2. Metadata for identification and retrieval

3. Access rights

4. Artifacts and attachments

5. Record location

Use Record
1. Information existing in agency legacy systems

2. Access rights

3. Record status

4. Location of record

5. Audit trail

6. Suspended Disposition

<u>Transfer Record</u>
1. Name of file, date modified, file type/ software used, record category, author, size of file in bytes

2. All elements included

3. Transfer mechanisms

4. Transfer point of records, i.e., internal, to another agency, to FRC or NARA.

5. Authorizing Official Name, Office Code, Contact Information, etc.

6. Disposition Authority # and line item

7. Recall/Re-Activate Record

8. Receipt Verification

9. Receiving Official Name, Office Location, Contact Information, etc.

10. Custodian (make changes from Maintain record)

<u>Destroy Record</u>
1. Name of file, date modified, file type/ software used, record category, author, size of file in bytes

2. Date of Destruction

3. Disposition Authority # and Line Item # authorizing destruction

4. Requester authorizing destruction

5. Suspended disposition

Section IV – Rank Ordering of RMSC Activities

During the workshop there were four rank ordering votes conducted by the participants using the groupware prioritization tool.

The first exercise asked the participants to order the ten candidate RMSC activities in a life-cycle sequence i.e. from the initial to the final activity.

All functional proponents were asked to participate (N=11). The results of that exercise follows:

Vote Results

1. Declare Record
2. Schedule Record
3. Categorize Record
4. Ensure Authenticity
5. Maintain Record
6. Make Record Available
7. Retrieve Record
8. Use Record
9. Transfer Record
10. Destroy Record

Ordering of RMSC Activities Vote Statistics

	1	2	3	4	5	6	7	8	9	10	Mean	STD	n
1. Declare Record	8	3	0	0	0	0	0	0	0	0	1.27	0.47	11
2. Schedule Record	3	2	3	2	1	0	0	0	0	0	2.64	1.36	11
3. Categorize Record	0	3	8	0	0	0	0	0	0	0	2.73	0.47	11
4. Ensure Authenticity	0	3	0	6	0	0	0	2	0	0	4.18	2.09	11
5. Maintain Record	0	0	0	2	6	1	1	1	0	0	5.36	1.21	11
6. Make Record Available	0	0	0	0	2	4	3	0	2	0	6.64	1.36	11
7. Retrieve Record	0	0	0	1	0	4	2	4	0	0	6.73	1.27	11
8. Use Record	0	0	0	0	2	1	3	4	1	0	7.09	1.30	11

	1	2	3	4	5	6	7	8	9	10	Mean	STD	n
9. Transfer Record	0	0	0	0	0	1	2	0	8	0	8.36	1.12	11
10. Destroy Record	0	0	0	0	0	0	0	0	0	11	10.00	0.00	11

The second exercise asked the participants to prioritize the ten candidate RMSC activities using a budget constraint. The criteria applied to this vote was to "rank order the activities from the most critical to implement, to the least critical assuming limited funds were available."

Only one functional proponent from each participating agency was allowed to vote (N=8). The results of that exercise follows:

Vote Results

1. Declare Record
2. Ensure Authenticity
3. Retrieve Record
4. Schedule Record
5. Categorize Record
6. Use Record
7. Make Record Available
8. Maintain Record
9. Transfer Record
10. Destroy Record

Budget Prioritization of RMSC Activities Vote Statistics

	1	2	3	4	5	6	7	8	9	10	Mean	STD	n
1. Declare Record	4	1	1	0	0	2	0	0	0	0	2.63	2.20	8
2. Ensure Authenticity	0	3	2	0	2	0	0	0	1	0	3.88	2.42	8
3. Retrieve Record	0	1	1	3	0	2	1	0	0	0	4.50	1.69	8
4. Schedule Record	2	0	0	1	1	1	3	0	0	0	4.75	2.55	8
5. Categorize Record	1	2	1	0	1	0	1	1	0	1	4.75	3.28	8
6. Use Record	0	0	2	1	0	2	2	1	0	0	5.50	1.93	8

	1	2	3	4	5	6	7	8	9	10	Mean	STD	n
7. Make Record Available	0	1	0	1	3	0	0	2	0	1	5.88	2.59	8
8. Maintain Record	1	0	0	1	1	1	1	2	1	0	6.00	2.62	8
9. Transfer Record	0	0	1	0	0	0	0	1	5	1	8.25	2.19	8
10. Destroy Record	0	0	0	1	0	0	0	1	1	5	8.88	2.10	8

The third vote asked the participants to rank order the ten candidate RMSC activities using the criteria of ease of implementation within their agency. That is, in priority order, which activities would require the least management of change turbulence within their agency?

Only one functional proponent from each participating agency was allowed to vote (N=8). The results of that exercise follows:

Vote Results

1. Declare Record
2. Use Record
3. Retrieve Record
4. Maintain Record
5. Categorize Record
6. Make Record Available
7. Ensure Authenticity
8. Schedule Record
9. Transfer Record
10. Destroy Record

Management of Change Prioritization of RMSC Activities Vote Statistics

	1	2	3	4	5	6	7	8	9	10	Mean	STD	n
1. Declare Record	6	0	0	0	0	2	0	0	0	0	2.25	2.31	8
2. Use Record	0	3	0	3	0	0	1	1	0	0	4.13	2.30	8
3. Retrieve Record	0	0	0	4	3	0	1	0	0	0	4.75	1.04	8
4. Maintain Record	0	0	4	0	1	1	0	1	1	0	5.00	2.45	8

	1	2	3	4	5	6	7	8	9	10	Mean	STD	n
5. Categorize Record	0	1	2	0	1	1	0	1	2	0	5.63	2.83	8
6. Make Record Available	1	0	1	0	0	2	2	1	0	1	6.00	2.83	8
7. Ensure Authenticity	0	2	0	1	0	1	2	0	0	2	6.00	3.16	8
8. Schedule Record	0	2	1	0	0	0	1	2	0	2	6.25	3.41	8
9. Transfer Record	0	0	0	0	2	0	1	2	3	0	7.50	1.69	8
10. Destroy Record	1	0	0	0	1	1	0	0	2	3	7.50	3.25	8

The last vote asked the participants to rank order the ten RMSC activities using the criteria of importance of the RMSC activities to the records management community i.e. from the most important to the least.

Only one functional proponent from each participating agency was allowed to vote (N=8). The results of that exercise follows:

Vote Results

1. Declare Record
2. Schedule Record
3. Categorize Record
4. Ensure Authenticity
5. Maintain Record
6. Retrieve Record
7. Use Record
8. Make Record Available
9. Transfer Record
10. Destroy Record

RM Community Prioritization of RMSC Activities Vote Statistics

	1	2	3	4	5	6	7	8	9	10	Mean	STD	n
1. Declare Record	5	0	1	1	1	0	0	0	0	0	2.13	1.64	8
2. Schedule Record	3	1	0	2	1	0	0	0	0	1	3.50	3.07	8

	1	2	3	4	5	6	7	8	9	10	Mean	STD	n
3. Categorize Record	0	2	3	0	1	1	0	1	0	0	4.00	2.14	8
4. Ensure Authenticity	0	3	1	1	0	1	0	1	0	1	4.63	3.07	8
5. Maintain Record	0	0	0	2	2	2	2	0	0	0	5.50	1.20	8
6. Retrieve Record	0	1	0	0	1	3	2	0	0	1	6.13	2.23	8
7. Use Record	0	0	1	0	2	0	2	1	1	1	6.75	2.31	8
8. Make Record Available	0	0	0	1	0	1	2	3	1	0	7.13	1.55	8
9. Transfer Record	0	0	2	0	0	0	0	2	4	0	7.25	2.66	8
10. Destroy Record	0	1	0	1	0	0	0	0	2	4	8.00	3.16	8

Section V – RMSC Functional Requirements

The final task for the participants was to develop the functional requirements associated with each candidate RMSC activity. After being provided a short briefing on how to develop a functional requirement, they were divided into three working groups.

The resulting functional requirements linked to their related candidate RMSC activities are provided below. It should be noted that these requirements are in draft form and, due to time constraints, were not refined into a consistent requirement format by the workgroup. A functional requirement is complete when it has an identifiable input (object, data, etc.), the specified activity that is to be performed on the input(s) and a specified output. All three parts must be documented in such a manner as to allow them to be identified in a test and evaluation plan during an acquisition activity. Additionally, a fully documented functional requirement includes its required and associated attributes, meta-data definition and data constraints that are applied to the data populating the attribute.

Given the time constraints of the session and the need of the program office to collect as much information about components as possible, participants were allowed to document "functions" (what the component should do or accomplish) versus being required to provide a fully documented functional requirement.

Declare Record
- The Declare Record Component shall provide the capability to designate information a Declared Record;
- The Declare Record component shall provide the capability to populate the Ensure Authenticity attribute for the Categorize Record using the Authenticity Tool.

Schedule Record
- The Schedule Record Component shall provide the capability to populate the Disposition Authority Attribute of the Categorized Record using the Disposition Schedule.

Categorize Record
- The Categorize Record Component shall provide the capability to assign a Records Category to the Declared Record using an Agency Specific Record Category Tool, producing a Categorized Record.

Ensure Authenticity
- The Ensure Authenticity component shall provide the capability to use the Ensure Authenticity attribute to ensure the integrity of the Categorized Record until its final Disposition.

Maintain Record

- The Maintain Component shall provide the capability to continuously authenticate, make available and Retrieve Record when called upon by other Components. The Maintain Record Component does not in of itself trigger actions on Records, but is a Component that maintains a state while the methods of other Components are called.

Make Record Available

- The Make Record Available Component shall provide the capability to identify a record based on specific criteria
- The Make Record Available Component shall make available (viewing, printing, saving) a Categorized Record based on access restrictions using the Access Tool
- The Make Record Available Component shall make available a Categorized Record in a format using the Format Tool
- The Make Record Available component shall provide the capability to make available (viewing, printing, saving) for a categorized record using Search Criteria
- The Make Record Available component shall provide the capability to respond with a null value to a request for a Categorized Record using Search Criteria. When to record meets the search criteria
- The Make Record Available component shall provide the capability to respond with a List Tool when there is more than one instance meeting the Search Criteria
- The Make Record Available component shall provide the capability to make available (viewing, printing, saving) one or more Categorized Records presented with a List Tool using Search Criteria

Retrieve Record

- The Retrieve Record component shall provide the capability to apply selection criteria to all records producing matched record(s)

Use Record

- The Use Record Component shall provide the capability to, in response to a retrieval request, extract categorization information about a record to retrieve that record, in accordance with access restrictions, and make it available for printing, viewing and saving

Transfer Record

- The Transfer Record component shall provide the capability to take the Record from a designated location, owner, and format to another owner and location in a compatible format that produces the exact record

Destroy Record

- The Destroy Record component shall provide the capability to make a Categorized Record available for destruction by ensuring the identified destroyed record is no longer available in the system and that information (date) about the destruction is made available as evidence of the destruction in an Agency Record Destruction Tool a record of destruction was produced

Appendix A – RMSC Program Overview and Information
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What is the Records Management Service Component (RMSC) Program?

The RMSC Program is a collection of activities (projects) to:

- Manage the collection, documentation, and prioritization of records management service component requirements. This activity is in support of the E-Government Electronic Records Management (ERM) initiative #24

- "Get the word out" to academia and industry that the Government has collectively agreed to meet during the first quarter of calendar year 2005 and propose a set of requirements for records management service components

- Continue coordination with Federal agency participants in order to ultimately acquire one or more records management service components for inclusion in the Federal Enterprise Architecture (FEA) component repository, and to

- Continue to make available reports and information about the RMSC requirements in support of major programs of the Federal Government such as the National Archives and Records Administration's Electronic Records Archives (ERA), and the DoD 5015.2 standard certification Programs

The RMSC Objectives are:

To facilitate potential acquisition of RMSCs that can be used to provide interoperable records management functionality in any agency system that creates/manages electronic records by:

- Identifying, documenting, normalizing and prioritizing those records management stake-holder requirements that are amenable to support by service components, and

- Aligning with the Office of Management and Budget's (OMB) FEA reference models and component repository program

RMSCs will enable vendor and developer communities to integrate RMSCs into their products and services by extending records management from the back of business processes to the front, and will ensure standard outputs from both similar and dissimilar business processes that result in electronic record creation.

The RMSC Program's first activity will be the Requirements Development Project, kicking off the week of January 10, 2005, with the first of six (6) collaborative sessions with agency Records Management and enterprise architecture stakeholders using interactive *GroupSystems* technology. Participants will identify and prioritize functional requirements for Records Management activities that can be supported with service components.

Additional information about the RMSC Program and the RMSC Requirements Development Project can be found on the NARA web page at:

http://www.archives.gov/electronic_records_archives/rmsc/index.html

Appendix B – Records Management Service Component Project Schedule

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	January 2005					
Sun	**Mon**	**Tue**	**Wed**	**Thur**	**Fri**	**Sat**
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

Government Group 1 Session 1 (yellow, Jan 11–13)
Government Group 2 Session 1 (blue, Jan 25–27)

	February 2005					
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28					

Government Group 2 Session 2 (blue, Feb 1–2)
Government Group 1 Session 2 (yellow, Feb 9–10)
Industry & Academia (orange, Feb 23–24)

	March 2005					
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

NARA SME Review (purple, Mar 1–2)
Government Session 3 / Group 1 & 2 Combined (green, Mar 8–10)
Report Published (green, Mar 30)

Group 1 Government Participants	Group 2 Confirmed Government Participants
Department of Agriculture	Department of Commerce
Department of Homeland Security	Department of Defense
Department of Housing and Urban Development	Department of Energy
Department of Labor	Department of Health and Human Services
Department of Treasury	Department of Justice
Environmental Protection Agency	Department of State
General Services Administration	Department of the Interior
Social Security Administration	Department of Transportation
	Department of Veterans Affairs
	National Aeronautics and Space Administration
	Security and Exchange Commission

Appendix C – Agenda

Tuesday, January 11, 2005

11:30	Arrival
11:45 AM	Introduction
	• Administrative
	• Participant sign-in/introductions
12:00 PM	Opening Remarks – Mr. L. Reynolds Cahoon, Chief Information Officer and Assistant Archivist Office of Human Resources and Information Services
12:20	Lunch
12:45	Requirements Development Process Overview Briefing
1:00	Break
1:10	Records Management Service Component Overview Briefing
1:45	Federal Enterprise Architecture Overview Briefing
2:00	Examples of Records Management Activities Expressed as Models Briefing
2:15	Collaborative Environment Briefing
2:30	Brainstorm Records Management Activities that are Serviceable by a Component
2:55	Session Wrap up
3:00	Session Adjourns

Wednesday, January 12, 2005

8:30	Arrival
8:45	Review Models, Continue Brainstorming, and Prioritize Records Management Activities that are Serviceable by a Component
10:00	Break

10:10	Refine RM Activities List by Parsing Activities, and Attributes
10:30	Determine an Activities Workflow
10:40	Work Groups Develop Definitions for Each Identified RM Activities
11:45	Lunch
1:00	Work Groups Match Activities to Georgia Tech Research in Records Management Activity Tables
1:30	Refine List of Attributes
2:55	Session Wrap up
3:00	Session Adjourns

Thursday, January 13, 2005

8:30	Arrival
8:45	Review Previous Day Activities
9:00	Associate Attributes to the RM Activities
10:00	Break
10:10	Prioritize Activities to Selected Criteria
10:30	Draft Functional Requirements
11:45	Lunch
12:30	Continue to Draft Functional Requirements
2:30	Next Steps Discussion
2:55	Workshop Evaluation
3:00	Workshop Ends

Appendix D – Participants

- Department of Agriculture
- Department of Homeland Security
- Department of Housing and Urban Development
- Department of Labor
- Department of Treasury
- Environmental Protection Agency
- General Services Administration
- Social Security Administration

Appendix E – Draft RMSC Process Models
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How to Read an IDEF0 Model
In IDEF0 models, activities (also known as processes or functions) are represented by rectangles. Inputs trigger the activity or provide consumable material. Inputs are shown as arrows entering the left side of the activity box. Outputs are the product of the activity and are shown as arrows exiting the right side of the activity box. Controls direct when or how to perform the activity and enter the box from the top. Mechanisms enable the activity to occur without being consumed or transformed (as opposed to inputs). Mechanism arrows enter the activity from the bottom.

In essence,
Inputs are items that initiate/trigger the activity and are transformed, consumed or becomes part of the end result of the activity
Controls guide or regulate the activity; usually indicate when or how process will be performed
Outputs are the results produced by the activity; the reason for which the process was performed
*Mechanisms* are systems, people, equipment used to perform the activity

This simple activity may be read, "As advised by the weather forecast (control), the gardener using a hose (mechanisms) waters the lawn (activity) by spraying water on dry turf (inputs) to produce moist turf (output).
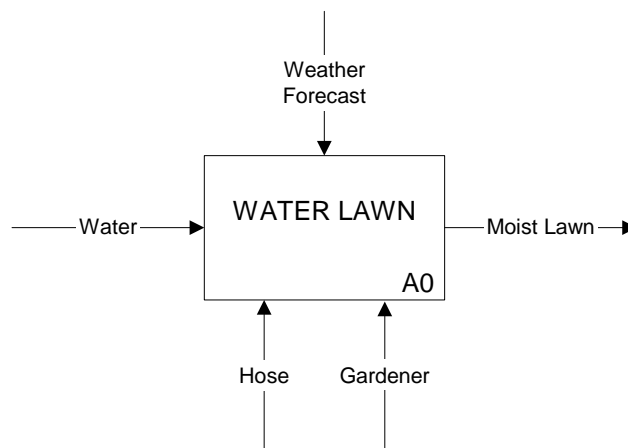

Activity models are hierarchical. An A0 diagram with several "children" activities that together equal the single activity of "the parent" follows the top diagram, A-0. Likewise the first level children (A1, A2, etc.) may each be decomposed into subordinate functions (A11, A12,…A34) with all but the last digit identifying the parent. ICOMs are also hierarchical. Where ICOMs

intersect with an activity on a diagram, the same ICOMs intersect with the appropriate edges of the diagram that represents the activities decomposition.

During the post session analysis, the following graphical decomposition diagrams were developed to validate the ten RMSC activities and to analyze the inter-relationships among the ten RMSC activities. These working diagrams will be further refined as the RMSC project matures.
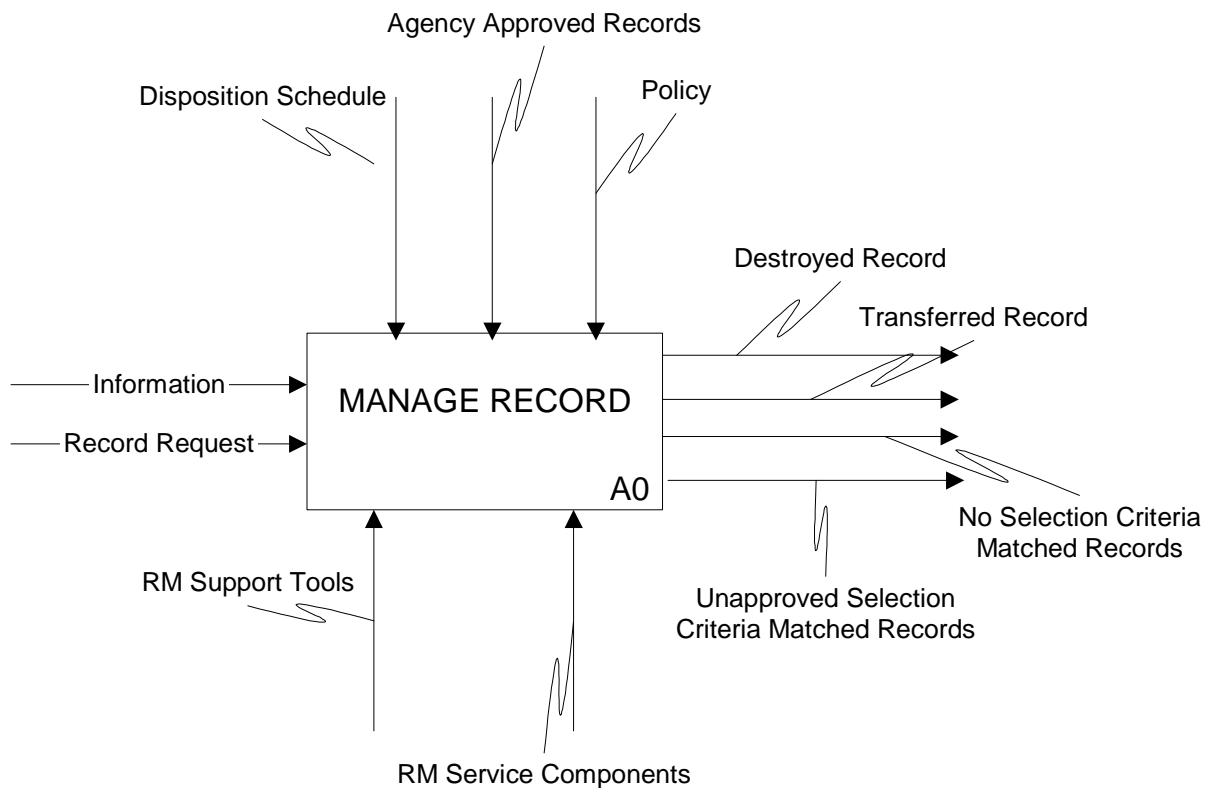
The next level of decomposition of MANAGE RECORDS
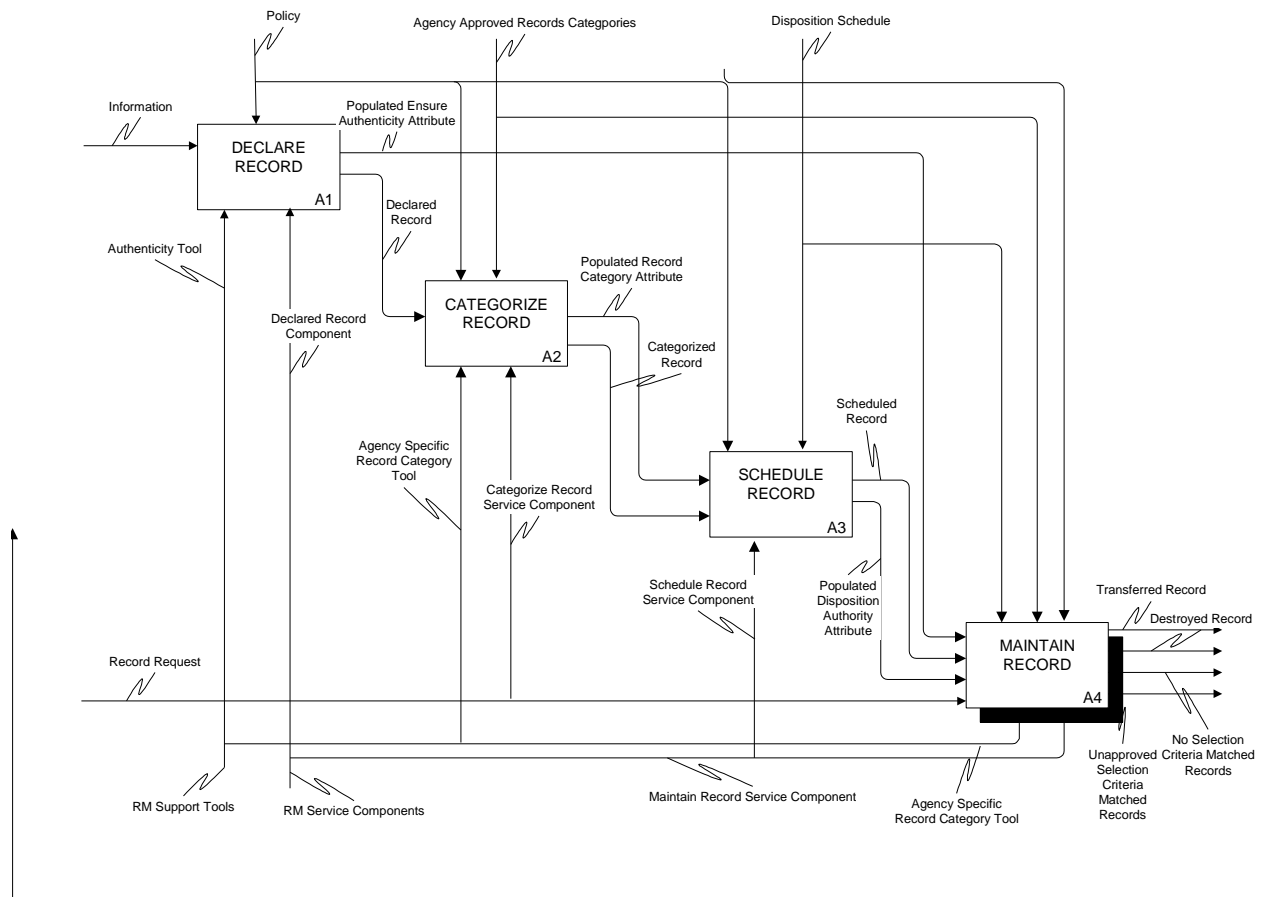
The decomposition of MAINTAIN RECORD
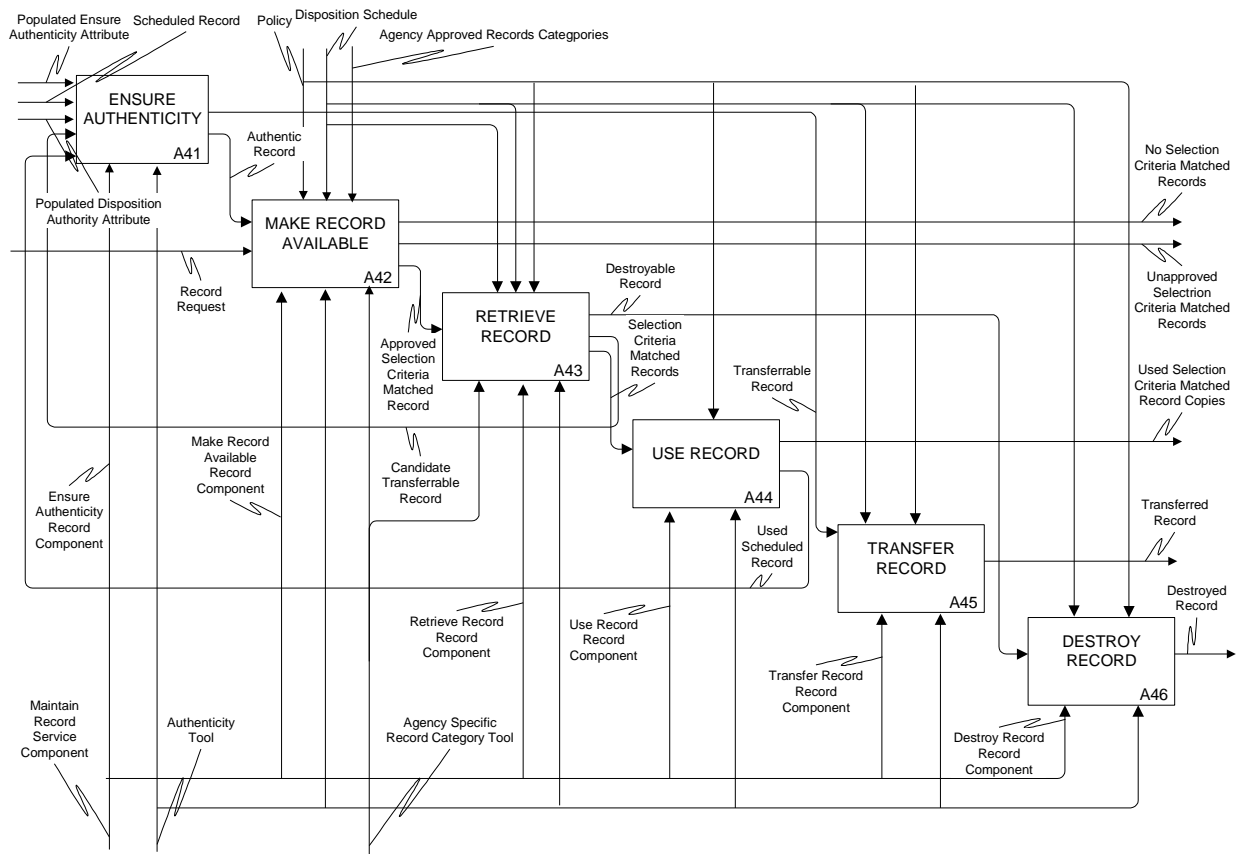
Appendix F – Workshop Briefings

1. Records Management Service Component Overview presented by Dr. Mark Kindl & Ms. Hayslett-Keck (Georgia Tech Research Institute)

2. Federal Enterprise Architecture Overview presented by Mr. Richard Monash (Dynamics Research Corporation)

3. Examples of Records Management Activities Expressed as Models by Mr. Richard Monash (Dynamics Research Corporation)

4. Collaborative Environment Briefing by Mr. Edmund Feige (Dynamics Research Corporation)

Appendix G – Acronyms

DRC	Dynamics Research corporation
FOIA	Freedom of Information Act
FRC	Federal Records Center
GTRI	Georgia Tech Research Institute
ISO	International Organization for Standardization
NARA	National Archives and Records Administration
NIST	National Institute of Standards and Technology
OCIO	Office of the Chief of Information
RM	Records Management
RMSC	Records Management Service Components
RWAD	Read, Write, Add, Delete