RMSC

Records Management Service Components

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

Records Management Service Components
Use Case Development Workshop Report –
Session 7

May 2-3, 9-10, 2005

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Records Management Service Components Program (RMSC)

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Use Case Development Workshop Report –
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Archivist of the United States:

The Honorable Allen Weinstein

Sponsors:

Lewis J. Bellardo, Deputy Archivist of the United States
Michael J. Kurtz, Assistant Archivist for Records Services
Thomas Mills, Assistant Archivist for Regional Services
L. Reynolds Cahoon, Assistant Archivist for Human Resources and Information Services

RMSC Program Office:

Daryll R. Prescott	Kenneth Hawkins, Ph.D.
Program Director	Project Manager
8601 Adelphi Road	8601 Adelphi Road
College Park, MD 20740	College Park, MD 20740
RMSC@nara.gov	RMSC@nara.gov
301.837.0974	301.837.1798

Executive Summary

The Records Management Service Components (RMSC) Program conducted two workshops, May 2-3 2005 and May 9-10, 2005, with the primary purpose to develop detailed use cases for the RMSC activities. Participants were from NARA and selected federal agencies who had participated in the RMSC requirements development project from January to March, 2005. At the direction of the Contributing Partner Agencies on March 9, 2005, Federal Agency Participants in Session 7 took as their starting point the RMSC activities and functional requirements published in the "Records Management Service Components Requirements Development Project Final Report, March 31, 2005."

The Contributing Partner Agencies recognizing their work was complete under the ERM E-Gov Initiative #24 with the March 31, 2005 report, their work needed to be transitioned to a standard engineering notation for the acquisition of records management components. The decision to continue work as an Interagency Project Team (IPT) initiated the follow–on activities to translate functional requirements into specifications (use case) for the acquisition of records management components. IPT members produced six high-level records management service components supported by 12 use cases containing 45 functional requirements.

RMSC Activity	Use Case
Capture Record	Capture Record
Describe Record	Describe Record
	Describe Record Update
Establish Authenticity	Establish Authenticity
	Validate Authenticity
Manage Disposition	Assign Disposition
	Update Disposition
	Suspend Disposition
	Reinstate Disposition
Associate Record	Associate Record
Enable Disposition	Enable Transfer Record
	Enable Destroy Record

Participants directed the RMSC Program Office to review the use cases, adjust the level of granularity to support acquisition, and produce a document for their review and acceptance.

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Section 1 - RMSC Use Case Development Project Workshop Overview

The Records Management Service Components (RMSC) Program conducted two workshops, May 2-3 2005 and May 9-10, 2005, with the primary purpose to develop detailed use cases for the RMSC activities. Participants were from NARA and selected federal agencies who had participated in the RMSC requirements development project from January to March, 2005. At the direction of the Contributing Partner Agencies on March 9, 2005, Federal Agency Participants in Session 7 took as their starting point the RMSC activities and functional requirements published in the "Records Management Service Components Requirements Development Project Final Report, March 31, 2005."

The Contributing Partner Agencies recognizing their work was complete under the ERM E-Gov Initiative #24 with the March 31, 2005 report, their work needed to be transitioned to a standard engineering notation for the acquisition of records management components. The decision to continue work as an Interagency Project Team (IPT) initiated the follow–on activities to translate functional requirements into specifications (use case) for the acquisition of records management components. IPT members produced six high-level records management service components supported by 12 use cases containing 45 functional requirements.

Attending the session were four representatives from the Department of Commerce, Department of Justice, Department of Interior, General Services Administration and four NARA records subject matter experts (See Appendix A - List of Participants)

The activities, use case, and functional requirements documented in this report are the consensus of the participants from the agencies identified above. It is the intention of the participants that this report will provide baseline use case documentation for the acquisition of one or more records management components. Participants and the RMSC PMO advise the reader that additional review of the use case and requirements are necessary before engaging in an acquisition activity.

The published objectives of this RMSC Requirements Development Workshop were to:

- Develop supporting use cases for the previously identified RMSC activities.
- Validate that the previously developed functional requirements were still appropriate within the context of the use case analysis
- Determine the attributes necessary to execute the use case main flows
- Provide a narrative description of the attributes

All objectives were met.

Participants developed a total of 12 use cases supporting six RMSC activities along with 45 functional requirements. Two activities identified as core records management activities in the previous workshops, Search Repository and Retrieve Record, were eliminated due to the wide

availability of search and retrieve services and components in the marketplace. Participants understand that records management has requirements for these services but felt it was not necessary to develop use case for them.

The following sections provide the results of the workshop exercises.

Section 2 – Summary RMSC Use Case and Functional Requirements

Section 3 - RMSC Use Cases

Section 4 – Use Case Attribute and Glossary Narratives/Descriptions

Section 2 – Summary Table of RMSC Use Cases and Functional Requirements

The table below depicts the six RMSC activities and their associated use cases and functional requirements.

RMSC Activity	Use Case Title	Functional Requirements
1. CAPTURE RECORD	1a. Capture Record	1. The Capture Record Component shall populate the Unique Record Identifier attribute when a Declared Record is captured producing a Uniquely Identified Record. 2. The Capture Record Component shall populate the Date Captured Record attribute when a Declared Record is captured producing a populated Date Captured Record attribute.
2. DESCRIBE RECORD	2a. Describe Record	1. The Describe Record Component shall provide the capability to populate the Office of Record attribute of a Captured Record to produce a Described Record. 2. The Describe Record Component shall provide the capability to populate the Initial Record Category attribute of a Captured Record to produce a Described Record. 3. The Describe Record Component shall provide the capability to populate the Initial Legal Custodian attribute of a Captured Record to produce a Described Record. 4. The Describe Record Component shall provide the capability to populate the Initial Established Disposition Authority attribute of a Captured Record to produce a Described Record.
	2b. Describe Record Update	1. The Describe Record Component shall provide the capability to populate the Record Category Successor attribute 2. The Describe Record Component shall provide the capability to

RMSC Activity	Use Case Title	Functional Requirements
		populate the Record Category Successor Date using the System Date to produce a populated Record Category Successor Date attribute 3. The Describe Record Component shall provide the capability to populate the Successor Legal Custodian attribute 4. The Describe Record Component shall provide the capability to populate the Successor Legal Custodian Date using the System Date to produce a populated Successor Legal Custodian Date attribute 5. The Describe Record Component shall provide the capability to populate the Established Disposition Authority attribute. 6. The Describe Record Component shall provide the capability to populate the Established Disposition Authority Date using the System Date to produce a populated Established Disposition Authority Date attribute.
3. ESTABLISH AUTHENTICITY	3a. Establish Authenticity	1. The Ensure Authenticity Component shall populate an Original Authenticity Indicator attribute for a Captured Record producing an Authenticated Record.
	3b. Validate Authenticity	1. The Ensure Authenticity Component shall populate a Current Authenticity Indicator when a Captured Record is accessed and compared to the Original Authenticity Indicator. 2. The Ensure Authenticity Component shall populate the Validation Indicator attribute with either "same" or "not same" producing a "same" or "not same" populated Validation Indicator attribute.
4. MANAGE DISPOSITION	4a. Assign Disposition	1. The Assign Disposition Component shall provide the capability to associate ~~the~~ [an?] Established Disposition Authority to the Described Record producing a populated Established Disposition Authority attribute. 2. The Assign Disposition Component shall provide the capability to associate the Established Disposition Instruction attribute to the Described Record producing a populated Established Disposition Instruction attribute.
	4b. Update Disposition	1. The Assign Disposition Component shall provide the capability to associate a new Established Disposition Authority value to the Scheduled Record producing a populated Established Disposition Authority attribute. 2. The Assign Disposition Component shall provide the capability to associate a new Established Disposition Instruction attribute value to the Described Record producing a populated Established Disposition Instruction attribute.

RMSC Activity	Use Case Title	Functional Requirements
	4c. Suspend Disposition	1. The Manage Disposition Component shall populate the Suspend Disposition attribute when an order to suspend is received. (NOTE: A record can have more than one populated Suspend Disposition attribute).
	4d. Reinstate Disposition	1. The Suspend Disposition Component shall provide the capability to populate Remove Disposition Intervention Authority attribute when a Remove Disposition Intervention occurs producing a populated Remove Disposition Intervention Authority attribute. 2. The Suspend Disposition Component shall provide the capability to associate a Remove Disposition Intervention Authority attribute with the System Date when a Remove Disposition Intervention occurs producing a populated System Dated Remove Disposition Intervention Authority Date attribute. Note: Record can have more than one instance of a removed intervention date attributes. 3. The Suspend Disposition Component shall provide the capability to de-populate the data in the Suspend Disposition attribute producing a "null value" Suspend Disposition attribute.
5. ASSOCIATE RECORD	5a. Associate Record	1. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one record and one other record 2. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one record and more than one other record 3. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Described Record and one other Described Record. 4. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Described Record and more than one other Described Records. 5. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Captured Record and one other Described Record. 6. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Captured Record and more than one other Described Records. 7. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Captured Record and one other Captured Record. 8. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association

RMSC Activity	Use Case Title	Functional Requirements
		between one Captured Record and more than one other Captured Records.
		9. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Described Record and one other Captured Record.
		10. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Described Record and more than one other Captured Records.
		11. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Scheduled Record and one other Scheduled Record.
		12. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Scheduled Record and more than one other Scheduled Record.
		13. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Scheduled Record and one other Described Record.
		14. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Scheduled Record and more than one other Described Record.
		15. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Scheduled Record and one other Captured Record.
		16. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Scheduled Record and more than one other Captured Record.
6. ENABLE DISPOSITION	6a. Enable Transfer Record	1. The Enable Disposition Component shall populate the Scheduled Record Available for Transfer attribute when the Established Disposition Instruction attribute data indicates a transfer action is required producing a populated Scheduled Record Available for Transfer attribute.
		2. The Enable Disposition Component shall populate the Disposition Action History attribute upon consummation of the transfer of the record as prescribed in the Established Disposition Instruction producing a populated Disposition Action History attribute.
		3. The Enable Disposition Component shall associate the populated Disposition Action History attribute with the system date populating a Disposition Action History Date attribute.

RMSC Activity	Use Case Title	Functional Requirements
	6b. Enable Destroy Record	1. The Enable Disposition Component shall populate the Scheduled Record Available for Destruction attribute when the Established Disposition Instruction attribute data indicates a destruction action is required producing a populated Scheduled Record Available for Destruction attribute. 2. The Enable Disposition Component shall populate the Disposition Action History attribute upon the destruction of the record as described in the Established Disposition Instruction producing a populated Disposition Action History attribute. 3. The Enable Disposition Component shall associate the populated Disposition Action History attribute with the system date populating a Disposition Action History Date attribute.

Section 3 - RMSC Use Cases

The following are the 12 use cases developed by the RMSC working group over two workshop sessions.

It should be noted that ONLY main flow attributes were identified. It is fully anticipated that when agencies develop their additional unique requirements, they will add attributes that support their agency business rules and processes.

Additional refinement in terms of detail will be required for each main flow attribute identified within the use cases. This will include, but not be limited to the following information:

- Description, Context, Narrative
- Owner/Configuration Change Manager
- Must this attribute be present whether populated or no - "Yes" or "No"?
- Can it be a null value - "Yes" or "No"?
- Must it be populated with data - "Yes" or "No"?
- If it is populated, can the data be changed - "Yes" or "No"?
- If the value is populated, must it stay with the record for its life - "Yes" or "No"?
- Is its value permanent for the life of the record - "Yes" or "No"?
- Is its value permanent after the life of the record - "Yes" or "No"?
- Is its value changeable - "Yes" or "No"?
- Are there multiple instances required - "Yes" or "No"?
- Are there multiples instances allowed- "Yes" or "No"?
- Dependent upon another attribute's existence - "Yes" or "No"?
- Dependent attribute's name

1. *CAPTURE RECORD COMPONENT*

1a. Capture Record Use Case

Purpose

Capture information and associated attribute values of a Declared Record in an electronic system.

Functional Requirements

1. The Capture Record Component shall populate the Unique Record Identifier attribute when a Declared Record is captured producing a Uniquely Identified Record.
2. The Capture Record Component shall populate the Date Captured Record attribute when a Declared Record is captured producing a populated Date Captured Record attribute.

Actors
1. User - An individual with an account on a system who is the consumer of an application or information system, using it to perform some function.
2. Information System - An organized set of procedures and techniques designed to store, retrieve, manipulate, analyze, and display information.
3. Application - A piece of software that performs a function; a computer program.

Preconditions
1. A Declared Record is available.

Main Flow
1. Populate the Unique Record Identifier attribute
2. Populate the Date Captured attribute
3. Make available a Uniquely Identified Record

Sub Flow   - None

Alternate Flow - None

Main Flow Required Attributes
1. Unique Record Identifier - A distinctive alpha-numeric value whose value is system-generated and that uniquely identifies a particular record.
2. Date Captured -Attribute that is populated with the system date that the record was captured in the system.

Glossary
1. Captured Record - A uniquely identified object and its attributes within an electronic environment. May include letters, documents, databases, e-mail, digital images, maps and the entire range of records and information.
2. Declared Record - An object that has been selected for management in the electronic environment based on agency business rules, regulations, or law. The object may include letters, documents, databases, e-mail, digital images, maps and the entire range of records and information.
3. Uniquely Identified Record - A record that has an assigned attribute that makes it unique within the system.

References - None

2. *DESCRIBE RECORD COMPONENT*

2a. Describe Record Use Case

Purpose

Populate attributes of a Captured Record to facilitate its management.

Functional Requirements

1. The Describe Record Component shall provide the capability to populate the Office of Record attribute of a Captured Record to produce a Described Record.
2. The Describe Record Component shall provide the capability to populate the Initial Record Category attribute of a Captured Record to produce a Described Record.
3. The Describe Record Component shall provide the capability to populate the Initial Legal Custodian attribute of a Captured Record to produce a Described Record.
4. The Describe Record Component shall provide the capability to populate the Initial Established Disposition Authority attribute of a Captured Record to produce a Described Record.

Actors

1. User
2. Information System
3. Application

Preconditions

1. A Captured Record is available.
2. A Categorization Schema is available.
3. Agency-defined business process and agency business rules are understood and available to define the Authorized Record.

Main Flow

1. Populate the Office of Record attribute
2. Populate the Initial Record Category attribute
3. Populate the Initial Legal Custodian attribute
4. Populate the Initial Established Disposition Authority attribute.
5. Make available a Described Record

Alternate Flow

No Established Disposition Authority available

1. The Established Disposition Authority attribute returns a null value; the Describe Record Component will notify the appropriate actor.

Sub Flow - None

Main Flow Required Attributes
1. Office of Record - Refers to the agency that originally created or received the records in the conduct of agency business. The corporate body or administrative unit in which a group of records are created or received and accumulated in the conduct of its business.
2. Initial Record Category - The first record classification assigned to a Captured Record.
3. Initial Legal Custodian - The legal custodian of the record at the time of its creation and initial maintenance and use.
4. Initial Established Disposition Authority - The first disposition authority assigned to a captured record that is a citation to the legally binding instrument that authorizes the disposition of records, regardless of business environment e.g. for federal records usually the SF 115 approved by the Archivist, Presidential Record Act, Sarbanes-Oxley Act, etc.

Glossary
1. Captured Record - A uniquely identified object and its attributes within an electronic environment. May include letters, documents, databases, e-mail, digital images, maps and the entire range of records and information.
2. Described Record - A Captured Record with additional descriptive attributes, i.e. Legal Custodian, Record Category, and Established Disposition Authority.
3. Categorization Schema - Any scheme developed or used by an agency to organize records. This may include a diagrammatic representation or outline of the descriptive classification assigned to records or records disposition codes.

References - None

2b. Describe Record Update Use Case

Purpose
Update attributes of a described record to facilitate its management.

Functional Requirements
1. The Describe Record Component shall provide the capability to populate the Record Category Successor attribute
2. The Describe Record Component shall provide the capability to populate the Record Category Successor Date using the System Date to produce a populated Record Category Successor Date attribute
3. The Describe Record Component shall provide the capability to populate the Successor Legal Custodian attribute

4. The Describe Record Component shall provide the capability to populate the Successor Legal Custodian Date using the System Date to produce a populated Successor Legal Custodian Date attribute
5. The Describe Record Component shall provide the capability to populate the Established Disposition Authority attribute.
6. The Describe Record Component shall provide the capability to populate the Established Disposition Authority Date using the System Date to produce a populated Established Disposition Authority Date attribute

Actors
1. User
2. Information System
3. Application

Preconditions
1. A Described Record is available.
2. A Categorization Schema is available.

Main Flow
1. Populate the Record Category Successor attribute
2. Populate the Record Category Successor Date attribute
3. Populate the Successor Legal Custodian attribute
4. Populate the Successor Legal Custodian Date attribute
5. Populate the Established Disposition Authority Successor attribute.
6. Populate the Established Disposition Authority Successor Date attribute.
7. Make available an Updated Described Record

Sub Flows - None

Alternate Flows - None

Main Flow Required Attributes
1. Successor Legal Custodian - A legal custodian inheriting the responsibilities of the Initial Legal Custodian
2. Successor Legal Custodian Date - The date on which the transfer of duties from the initial or previous Successor Legal custodian to a new Successor Legal Custodian took effect.
3. Established Disposition Authority Successor - The subsequent disposition authority assigned to a captured record.
4. Established Disposition Authority Successor Date - (Note: Question necessity. If necessary, Manage Disposition/Update use case need a main flow step added.)

5. Record Category Successor - An additional specific categorization of a record done by initial legal custodian or successor legal custodian in the course of establishing records keeping requirements under 44 U.S.C. 3101 and 3102 and 36 CFR §1222.32

6. Record Category Successor Date - Date on which the additional record category successor is assigned, presumably the system date.

7. System Date - The action of populating a date by an automated system.

Glossary

1. Updated Described Record - An instance of bringing up to date the representation in words of any book, paper, map, photograph, machine readable material, or other documentary material, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of the data in them.

References - None

3. *ESTABLISH AUTHENTICITY COMPONENT*

3a. Establish Authenticity Use Case

Purpose
Provide the authenticity baseline against which subsequent authenticity validations will be measured.

Functional Requirements
1. The Ensure Authenticity Component shall populate an Original Authenticity Indicator attribute for a Captured Record producing an Authenticated Record

Preconditions
1. Captured Record is available.

Actors
1. User
2. Information System
3. Application

Main Flow
1. Populate the Original Authenticity Indicator attribute.
2. Make available the Authenticated Record

Alternate Flow - None

Sub Flow - None

Main Flow Required Attributes
1. Original Authenticity Indicator - Value computed by an established method to serve as a baseline for future validations for authenticity.

Glossary
1. Authenticated Record - A record with a populated Authenticity Indicator attribute, the baseline for subsequent validation. It may be any book, paper, map, photograph, machine readable material, or other documentary material, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of the data in them that has been judged to be genuine, based on

internal and external evidence, including their physical characteristics, structure, content, and context.

References - None

3b. Validate Authenticity Use Case

Purpose
To verify current authenticity status of record based upon comparison to initial authentication baseline values.

Functional Requirements
1. The Ensure Authenticity Component shall populate a Current Authenticity Indicator when a Captured Record is accessed and compared to the Original Authenticity Indicator.
2. The Ensure Authenticity Component shall populate the Validation Indicator attribute with either "same" or "not same" producing a "same" or "not same" populated Validation Indicator attribute.

Actors
1. User
2. Information System
3. Application

Preconditions
1. An Authenticated Record is available.

Main Flow
1. Access Original Authenticity Indicator attribute data.
2. Populate the Current Authenticity Indicator attribute using the same method that was used to populate the Original Authenticity Indicator attribute.
3. Compare the data of the Current Authenticity Indicator attribute to the data of the Original Authenticity Indicator attribute.
4. Populate the Validation Indicator attribute.

Sub Flows - None

Alternate Flows - None

Main Flow Required Attributes
1. Original Authenticity Indicator - Value generated by an established method to serve as a baseline for subsequent validations for authenticity.

2. Current Authenticity Indicator - Value computed by an established method to be compared to the baseline during the current validation for authenticity. Must be generated in the same manner as the Original Authenticity Indicator.

3. Validation Indicator - Results of the comparison of the Original Authenticity Indicator to the Current Authenticity Indicator, either "Same" or "Not Same."

Glossary
1. Captured Record - A uniquely identified object and its attributes within an electronic environment. May include letters, documents, databases, e-mail, digital images, maps and the entire range of records and information.

2. Validation - A process where the Current Authenticity Indicator attribute is populated and exactly matches the Original Authenticity Indicator.

References - None

4. *MANAGE DISPOSITION COMPONENT*

4a. Assign Disposition Use Case

Purpose
To ensure that the records are associated with disposition instructions to facilitate their management in accordance with an established disposition authority.

Functional Requirements
1. The Assign Disposition Component shall provide the capability to associate the Established Disposition Authority to the Described Record producing a populated Established Disposition Authority attribute.
2. The Assign Disposition Component shall provide the capability to associate the Established Disposition Instruction attribute to the Described Record producing a populated Established Disposition Instruction attribute.

Actors
1. User
2. Information System
3. Application

Preconditions
1. Described record is available.
2. Established disposition authority instructions are available.

Main Flow
1. Populate Established Disposition Authority attribute of the Described Record.
2. Populate Established Disposition Instruction attribute of the Described Record.
3. Make Scheduled Record available.

Sub Flows - None

Alternate Flows - None

Main Flow Required Attributes
1. Established Disposition Authority - The first disposition authority assigned to a captured record that is a citation to the legally binding instrument that authorizes the disposition of records, regardless of business environment e.g. for federal records usually the SF 115 approved by the Archivist, Presidential Record Act, Sarbanes-Oxley Act, etc.
2. Established Disposition Instruction - All Disposition Instructions acting on a Captured Record that includes retention/destruction instruction derived from an

established Disposition Authority e.g. action (destroy, permanent, review) and retention period.

3. Described Record - A Captured Record with additional descriptive attributes, i.e. Legal Custodian, Record Category, and Established Disposition Authority.

Glossary
1. Scheduled record - A record with a disposition instruction from an Established Disposition Authority.

References - None

4b.   Update Disposition Use Case

Purpose
To update the Established Disposition Authority and the Established Disposition Instruction.

Functional Requirements
1. The Assign Disposition Component shall provide the capability to associate a new Established Disposition Authority value to the Scheduled Record producing a populated Established Disposition Authority attribute.
2. The Assign Disposition Component shall provide the capability to associate a new Established Disposition Instruction attribute value to the Described Record producing a populated Established Disposition Instruction attribute.

Actors
1. User
2. Information System
3. Application

Preconditions
1. A Scheduled Record is available
2. Established Disposition Authority is available.
3. Established Disposition Instruction is available

Main Flow
1. Update contents of the Established Disposition Authority attribute of the Scheduled Record with a new value.
2. Update contents of the Established Disposition Instruction attribute of the Scheduled Record with a new value.
3. Make updated Scheduled Record available.

Sub Flows - None

Alternate Flow - None

Main Flow Required Attributes
1. Established Disposition Authority - The first disposition authority assigned to a captured record that is a citation to the legally binding instrument that authorizes the disposition of records, regardless of business environment e.g. for federal records usually the SF 115 approved by the Archivist, Presidential Record Act, Sarbanes-Oxley Act, etc.
2. Established Disposition Instruction - All Disposition Instructions acting on a Captured Record that includes retention/destruction instruction derived from an Established Disposition Authority e.g. action (destroy, permanent, review) and retention period.

Glossary
1. Scheduled record - A record with a disposition instruction from an Established Disposition Authority.

References - None

4c. Suspend Disposition Use Case

Purpose
To prevent the execution of established disposition Instructions.

Functional Requirements
1. The Manage Disposition Component shall populate the Suspend Disposition attribute when an order to suspend is received. (NOTE: A record can have more than one populated Suspend Disposition attribute).

Actors
1. User
2. Information System
3. Application

Pre-Conditions
1. A record is available.
2. A order to suspend is available

Main Flow
1. Populate the Suspend Disposition attribute of the record subject to the order to suspension
2. Make available the Suspended Record

Sub Flow - None

Alternate Flow - None

Main Flow Attributes
1. Suspend Disposition - The attribute whose populated presence prevents the execution of the Established Disposition Instruction.

Glossary
1. Suspended Record - A Suspended Record is a Scheduled Record which has at least one populated Suspend Disposition attribute.

References

4d. Reinstate Disposition Use Case

Purpose
To make a Suspended Record available for disposition.

Functional Requirements
1. The Suspend Disposition Component shall provide the capability to populate Remove Disposition Intervention Authority attribute when a Remove Disposition Intervention occurs producing a populated Remove Disposition Intervention Authority attribute.
2. The Suspend Disposition Component shall provide the capability to associate a Remove Disposition Intervention Authority attribute with the System Date when a Remove Disposition Intervention occurs producing a populated System Dated Remove Disposition Intervention Authority Date attribute. Note: Record can have more than one instance of a removed intervention date attributes.
3. The Suspend Disposition Component shall provide the capability to de-populate the data in the Suspend Disposition attribute producing a "null value" Suspend Disposition attribute.

Actors
1. User
2. Information System
3. Application

Pre-Conditions
1. A Suspended Record is available.
2. A order to reinstate is available

Main Flow

1. De-populate the Suspend Disposition attribute of the record subject to the order to reinstate
2. Make available the Scheduled Record

Sub Flow - None

Alternate Flow - None

Main Flow Attributes

1. Suspend Disposition - The attribute whose populated presence prevents the execution of the Established Disposition Instruction.

Glossary

Scheduled Record - A record with a disposition instruction from an Established Disposition Authority.

References - None

5. *ASSOCIATE RECORD COMPONENT*

5a. Associate Record Use Case

Purpose
To associate a record with another record.

Functional Requirements
1. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one record and one other record
2. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one record and more than one other record
3. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Described Record and one other Described Record.
4. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Described Record and more than one other Described Records.
5. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Captured Record and one other Described Record.
6. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Captured Record and more than one other Described Records.
7. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Captured Record and one other Captured Record.
8. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Captured Record and more than one other Captured Records.
9. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Described Record and one other Captured Record.
10. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Described Record and more than one other Captured Records.
11. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Scheduled Record and one other Scheduled Record.

12. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Scheduled Record and more than one other Scheduled Record.
13. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Scheduled Record and one other Described Record.
14. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Scheduled Record and more than one other Described Record.
15. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Scheduled Record and one other Captured Record.
16. The Associate Record component shall provide the capability to populate a Record Association attribute creating an association between one Scheduled Record and more than one other Captured Record.

Actors
1. User
2. Information System
3. Application

Preconditions
1. Two or more records are available.

Main Flow
1. Associate one record with another record by populating the Record Association attribute.
2. Populate the Record Association Description attribute
3. Make Associated Record available

Sub Flow - None

Alternate Flow - None

Main Flow Attributes
1. Record Association - Allows one record to be associated to another.
2. Record Association Description - Allows for a description of the association of two or more records to be entered.

Glossary

1. Associated Record - A record that has been identified as being related to another by an actor for some reason.

References - None

6. *ENABLE DISPOSITION COMPONENT*

6a. Enable Transfer Record Use Case

Purpose
Provides the capability to make a record available for transfer in accordance with the Established Disposition Authority.

Functional Requirements
1. The Enable Disposition Component shall populate the Scheduled Record Available for Transfer attribute when the Established Disposition Instruction attribute data indicates a transfer action is required producing a populated Scheduled Record Available for Transfer attribute.
2. The Enable Disposition Component shall populate the Disposition Action History attribute upon consummation of the transfer of the record as prescribed in the Established Disposition Instruction producing a populated Disposition Action History attribute.
3. The Enable Disposition Component shall associate the populated Disposition Action History attribute with the system date populating a Disposition Action History Date attribute.

Actors
1. User
2. Information System
3. Application

Preconditions
1. An Established Disposition Authority is available
2. An Established Disposition Instruction is available
3. A Scheduled Record that is eligible for transfer
4. All Suspend Disposition attributes are null value

Main Flow
1. Populate the Scheduled Record Available for Transfer attribute
2. Make the record and its attributes available for transfer.
3. Populate the Disposition Action History attribute.
4. Populate the Disposition Action History Date attribute.

Sub Flow - None

Alternate Flow - None

Main Flow Attributes
1. Disposition Action History - When populated allows removal of management controls and permits the execution of business rules. This attribute facilitates the trigger needed for records management controls to be removed from the record and allows Agency business rules and Federal guidelines to be carried out.
2. Disposition Action History Date - A system generated date that documents the Transfer or Destruct activity. When used within the " Transfer Record Use Case" Used population of this attribute and the "Disposition Action History" attribute facilitate the trigger needed for records management controls to be removed from the record and allow the Agency business rules to take over, i.e., keep or remove from the e-system.
3. Scheduled Record Available for Transfer - The attribute contains information based on the Established Disposition Instruction that indicates that a record's retention period has ended and is available for transfer.

Glossary
1. Established Disposition Authority - The disposition authority assigned to a captured record that is a citation to the legally binding instrument that authorizes the disposition of records, regardless of business environment e.g. for federal records usually the SF 115 approved by the Archivist, Presidential Record Act, Sarbanes-Oxley Act, etc.
2. Established Disposition Instruction - All Disposition Instructions acting on a Captured Record that includes retention/destruction instruction derived from an Established Disposition Authority e.g. action (destroy, permanent, review) and retention period.
3. Suspend Disposition - The attribute whose populated presence prevents the execution of the Established Disposition Instruction.

References - None

6b. Enable Destroy Record Use Case

Purpose
Provides the capability to make a record available for destruction in accordance with the Established Disposition Authority.

Functional Requirements
1. The Enable Disposition Component shall populate the Scheduled Record Available for Destruction attribute when the Established Disposition Instruction attribute data indicates a destruction action is required producing a populated Scheduled Record Available for Destruction attribute.

2. The Enable Disposition Component shall populate the Disposition Action History attribute upon the destruction of the record as described in the Established Disposition Instruction producing a populated Disposition Action History attribute.
3. The Enable Disposition Component shall associate the populated Disposition Action History attribute with the system date populating a Disposition Action History Date attribute.

Actors
1. User
2. Information System
3. Application

Preconditions
1. An Established Disposition Authority is available
2. An Established Disposition Instruction is available
3. A Scheduled Record that is eligible for destruction
4. All Suspend Disposition Attributes are null value

Main Flow
1. Populate the Scheduled Record Available for Destruction attribute
2. Make the record and its attributes available for destruction.
3. Populate the Disposition Action History attribute.
4. Populate the Disposition Action History Date attribute.

Sub Flow - None

Alternate Flow - None

Main Flow Attributes
1. Scheduled Record Available for Destruction - The attribute that contains information based on the Established Disposition Instruction that indicates that a record's retention period has ended and is available for destruction..
2. Disposition Action History - When populated allows removal of management controls and permits the execution of business rules. This attribute facilitates the trigger needed for records management controls to be removed from the record and allows Agency business rules and Federal guidelines to be carried out.
3. Disposition Action History Date - A system generated date that documents the Transfer or Destruct activity. When used within the " Transfer Record Use Case" Used population of this attribute and the "Disposition Action History" attribute facilitate the trigger needed for records management controls to be removed from the record and allow the Agency business rules to take over, i.e., keep or remove from the e-system.

Glossary

1. Established Disposition Authority - The disposition authority assigned to a captured record that is a citation to the legally binding instrument that authorizes the disposition of records, regardless of business environment e.g. for federal records usually the SF 115 approved by the Archivist, Presidential Record Act, Sarbanes-Oxley Act, etc.
2. Established Disposition Instruction - All Disposition Authority(s) issued instructions on a record
3. Disposition Action History - When populated allows removal of management controls and permits the execution of business rules. This attribute facilitates the trigger needed for records management controls to be removed from the record and allows Agency business rules and Federal guidelines to be carried out.
4. Disposition Action History Date - A system generated date that documents the Transfer or Destruct activity. When used within the " Transfer Record Use Case" Used population of this attribute and the "Disposition Action History" attribute facilitate the trigger needed for records management controls to be removed from the record and allow the Agency business rules to take over, i.e., keep or remove from the e-system.

References - None

Section 4 – Use Case Attribute and Glossary Narratives/Descriptions

During the development of the RMSC use cases the participants identified and provided
narrative descriptions of the main flow attributes and selected terms within the use cases. The
table below provides the results of that effort.

Use Case Attribute or Term	Description
Application	A piece of software that performs a function; a computer program.
Actor???	
Associated Record	A record that has been identified as being related to another record or records by an actor.
Authenticated Record	A record with a populated Authenticity Indicator attribute, the baseline for subsequent validation. It may be any book, paper, map, photograph, machine readable material, or other documentary material, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of the data in them that has been judged to be genuine, based on internal and external evidence, including their physical characteristics, structure, content, and context.
Captured Record	A uniquely identified object and its attributes within an electronic environment. May include letters, documents, databases, e-mail, digital images, maps and the entire range of records and information.
Categorization Schema	Any scheme developed or used by an agency to organize records. This may include a diagrammatic representation or outline of the descriptive classification assigned to records or records disposition codes.
Current Authenticity Indicator	Value computed by an established method to be compared to the baseline during the current validation for authenticity. Must be generated in the same manner as the Original Authenticity Indicator.

Use Case Attribute or Term	Description
Date Captured	Attribute that is populated with the system date that the record was captured in the system.
Declared Record	An object that has been selected for management in the electronic environment based on agency business rules, regulations, or law. The object may include letters, documents, databases, e-mail, digital images, maps and the entire range of records and information.
Described Record	A Captured Record with additional descriptive attributes, i.e. Legal Custodian, Record Category, and Established Disposition Authority.
Disposition Action History	When populated allows removal of management controls and permits the execution of business rules. This attribute facilitates the trigger needed for records management controls to be removed from the record and allows Agency business rules and Federal guidelines to be carried out.
Disposition Action History Date	A system generated date that documents the Transfer or Destruct activity. When used within the " Transfer Record Use Case" Used population of this attribute and the "Disposition Action History" attribute facilitate the trigger needed for records management controls to be removed from the record and allow the Agency business rules to take over, i.e., keep or remove from the e-system.
Established Disposition Authority	The disposition authority assigned to a captured record that is a citation to the legally binding instrument that authorizes the disposition of records, regardless of business environment e.g. for federal records usually the SF 115 approved by the Archivist, Presidential Record Act, Sarbanes-Oxley Act, etc.
Established Disposition Authority Successor	The subsequent disposition authority assigned to a captured record.
Established Disposition Authority Successor Date	
Established Disposition Instruction	All Disposition Instructions acting on a Captured Record that includes retention/destruction instruction derived from an Established Disposition Authority e.g. action (destroy, permanent, review) and retention period.
Information System	An organized set of procedures and techniques designed to store, retrieve, manipulate, analyze, and display information.
Initial Established Disposition Authority	The first disposition authority assigned to a captured record that is a citation to the legally binding instrument

Use Case Attribute or Term	Description
	that authorizes the disposition of records, regardless of business environment e.g. for federal records usually the SF 115 approved by the Archivist, Presidential Record Act, Sarbanes-Oxley Act, etc.
Initial Legal Custodian	The legal custodian of the record at the time of its creation and initial maintenance and use.
Initial Record Category	The first record classification assigned to a Captured Record.
Office of Record	Refers to the agency that originally created or received the records in the conduct of agency business. The corporate body or administrative unit in which a group of records are created or received and accumulated in the conduct of its business.
Original Authenticity Indicator	Value generated by an established method to serve as a baseline for subsequent validations for authenticity.
Record Association	Allows one record to be associated to another.
Record Association Description	Allows for a description of the association of two or more records to be entered.
Record Category Successor	An additional specific categorization of a record done by initial legal custodian or successor legal custodian in the course of establishing records keeping requirements under 44 U.S.C. 3101 and 3102 and 36 CFR §1222.32
Record Category Successor Date	Date on which the additional record category successor is assigned, presumably the system date.
Scheduled Record	A record with a disposition instruction from an Established Disposition Authority.
Scheduled Record Available for Destruction	The attribute that contains information based on the Established Disposition Instruction that indicates that a record's retention period has ended and is available for destruction.
Scheduled Record Available for Transfer	The attribute contains information based on the Established Disposition Instruction that indicates that a record's retention period has ended and is available for transfer.
Successor Legal Custodian	A legal custodian inheriting the responsibilities of the Initial Legal Custodian
Successor Legal Custodian Date	The date on which the transfer of duties from the initial or previous Successor Legal custodian to a new Successor Legal Custodian took effect.
Suspend Disposition	The attribute whose populated presence prevents the execution of the Established Disposition Instruction.

Use Case Attribute or Term	Description
Suspended Record	A Suspended Record is a Scheduled Record which has at least one populated Suspend Disposition attribute.
System Date	The action of populating a date by an automated system.
Unique Record Identifier	A distinctive alpha-numeric value whose value is system-generated and that uniquely identifies a particular record.
Uniquely Identified Record	A record that has an assigned attribute that makes it unique within the system.
Updated Described Record	An instance of bringing up to date the representation in words of any book, paper, map, photograph, machine readable material, or other documentary material, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of the data in them.
User	An individual with an account on a system who is the consumer of an application or information system, using it to perform some function.
Validation	A process where the Current Authenticity Indicator attribute is populated and exactly matches the Original Authenticity Indicator.
Validation Indicator	Results of the comparison of the Original Authenticity Indicator to the Current Authenticity Indicator, either "Same" or "Not Same."

Appendix A –Workshop Participants

William R. Burdett
Senior e-Government Architect
Department of Justice
601 Pennsylvania Ave., South Bldg, Suite 230
Washington, DC 20530
(202) 305-9639
Bill.burdett@usdoj.gov

Pat Erdenberger
Senior Records Analyst
NARA
Laguna Niguel, CA
949-360-2621
patricia.erdenberger@nara.gov

Russell F. Loiselle
Archives Specialist (Data Standards)
National Archives and Records Administration
Policy and Communications Staff
8601 Adelphi Road, Room 3200, College Park, MD 20740
301-837-3009
russell.loiselle@nara.gov

Edwin McCeney
Records Manager
Department of the Interior
1849 "C" Street, N.W.
Washington, DC 20420
(202) 208-3321
edwin_mcceney@ios.doi.gov

Dan Rooney
Departmental Records Officer
Department of Commerce
HCHB Room 6612
14th & Constitution, NW
Washington, DC 20230
(202) 482-0517
drooney@doc.gov

Karen A. Shaw, CRM
Senior Records Analyst
NARA, Central Plains Region
2312 E. Bannister Rd, KC MO 64132
816-268-8034
karen.shaw@nara.gov

Kevin Tiernan
Senior Records Analyst
NARA, Life Cycle Management Division
8601 Adelphi Road, Room 2100
College Park, Maryland 20740-6001
(301) 837-3055
kevin.tiernan@nara.gov

Jim Thorstad
Assistant Project Manager
Program Office Support Team
NARA ERA Program
8601 Adelphi Road, Rm B550
College Park, MD 20742
james.thorstad@nara.gov

Marc Wolfe
Departmental Records Officer
General Services Administration
18th @ F Street NW
Washington, DC 20405
(202) 501-2514
marc.wolfe@gsa.gov

Appendix B – Final Session Evaluation

1. What Went Well?
- Good speed, mostly (both days)
- Good clean results I think
- Good facilitation
- Good results, kept moving. GREAT to have pizza as a change.
- Good pace! More discussion across groups was helpful.
- We kept moving along. Made progress.
- Fairly productive two days.
- Good mix of participants; i.e., agency personnel working with NARA personnel, with mixed backgrounds and expertise related to this initiative.

2. What Needs To Be Improved?
- Need to discourage excessive conversational regression - suggest candy bar ration tickets and demerits
- More facilitation. The use case development was difficult without clear direction.
- Need to have better spaced breaks and spankings for those who disrespect archivists and records officers.
- As is evident from the comments above, need more mature participants.
- Need to provide incentives for timely arrival.
- Following the changes on the screens up front was brutal.
- Meeting facilitators must show up PRIOR TO meeting attendees!
- Complex tasks cannot be rushed without compromise.
- Would like meetings to start afternoon or on a Tuesday so that out-of-town travelers can travel on work day instead of weekend.

3. Other Comments
- Great work by Ed, Ken, Darryl and Jim.
- Great work.
- Yummy pizza and desserts
- Better climate control this session
- Fun, fun, funny!
- Enjoyed all aspects. Thanks very much for the time taken to make the best use of our time.
- Meeting location was a good.
- I learned everything I didn't really want to know about records management.

Appendix C – Previous Reports

1) <u>RMSC Requirements Development Project Workshop Report – Session 1,</u> January 11 – 13, 2005

2) <u>RMSC Requirements Development Project Workshop Report – Session 2,</u> January 25 – 27, 2005

3) <u>RMSC Requirements Development Project Workshop Report – Session 3,</u> February 9 - 10, 2005

4) <u>RMSC Requirements Development Project Workshop Report – Session 4,</u> February 28 – March 1, 2005

5) <u>RMSC Requirements Development Project Workshop Report – Session 5</u>, March 3, 2005

6) <u>RMSC Requirements Development Project Workshop Report – Session 6</u>, March 31, 2005