



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

Interagency Project Team
RMS Requirements Development Project
Workshop Report – Session 9



December 7, 2005



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

Records Management Services (RMS) Requirements Development Project
Workshop Report – Session 9, December 7, 2005

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Executive Summary

The Records Management Service Components (RMSC) Program, Records Management Services Requirements Development Project, conducted its ninth collaborative session on December 7, 2005, with records management and enterprise information architecture stakeholders representing 13 agencies across the Federal government including the National Archives and Records Administration.

The agency participants were named by their Chief Information Officers and E-Government program managers as qualified to speak and vote for their agencies on session objectives. The objectives of the RMS Requirements Development Workshop – Session 9, were to:

1. Review, validate, and approve the RMS function model.
2. Review, validate, and approve the RMS Unified Modeling Language class model.
3. Validate and approve the changes directed by the agencies for the RMS use cases and functional requirements at the November 05, 2005 workshop.
4. Review and finalize recommended actions on the Request for Information responses reviewed and submitted back by NARA Subject Matter Experts.

All objectives were met. Additionally, the decision from Session 8 to move from records management components requirements to records management services requirements is reflected in this report.

The 13 participating agencies of Session 9 constitute a majority of the 18 contributing partner agencies that attended multiple sessions during the Electronic Records Management (ERM) Initiative phase of the project and carried its work through three additional sessions. The additional session work allowed the development of use cases and a technical report by the RMSC Program Office, the evaluation of the technical report including functional requirements and attributes by industry, and the consolidation of all work to date by all participating agencies. This work is documented in this report and the “Functional Requirements and Attributes for Records Management Services, December 7, 2005,” report. These reports provide the basis for an agency to initiate activities to include records management services in any of their current electronic environments as well as engage in the acquisition of new systems with records management services.

Participating agencies request NARA immediately submit their report “Functional Requirements and Attributes for Records Management Services, December 7, 2005” to the Architecture and Infrastructure Subcommittee of the Chief Information Officers (CIO) Council for inclusion in the Federal Enterprise Architecture’s Component Organization and Registration Environment (CORE.gov) in order to support their mission requirements.



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RMS Requirements Development Project Workshop Overview

The Records Management Service (RMS) Requirements Development Project second phase continued on December 7, 2005, at the Dynamics Research Corporation (DRC) Decision Support Center (DSC) with the ninth collaborative session with records management and enterprise information architecture stakeholders from across the Federal government. This session included a voting representative for the National Archives and Records Administration.

In addition to meeting the obligations under the President's Management Agenda the RMS Requirements Development Project was recommended for government-wide consideration in both the Electronic Records Policy Working Group (ERPWG), of the Inter-Agency Committee on Government Information implementing the E-Government Act of 2002 and the Federal Enterprise Architecture (FEA) Records Management Profile.

All participants were named by their Chief Information Officers (CIO) and E-Government program managers as experts authorized to speak on behalf of their agencies and to providing a binding vote for their agencies.

Attending the session were representatives from the following Federal agencies:

- Department of Agriculture
- Department of Commerce
- Department of Defense
- Department of Energy
- Department of Labor
- Department of State
- Department of the Interior
- Department of the Treasury
- Department of Transportation
- General Services Administration
- National Archives and Records Administration
- Social Security Administration
- Veteran's Affairs

Appendix A provides a listing of the workshop participants.



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

1. Review, validate, and approve the RMS function model.
2. Review, validate, and approve the RMS Unified Modeling Language (UML) class model.
3. Validate and approve the changes directed by the agencies to the RMS use cases and functional requirements at the November, 16, 2005 workshop.
4. Review and finalize recommended actions on the Request for Information (RFI) responses reviewed and submitted back by NARA Subject Matter Experts.

All objectives were met.

The 13 participating agencies of Session 9 constitute a majority of the 18 contributing partner agencies that attended multiple sessions during the Electronic Records Management (ERM) Initiative phase (first phase) of the project and carried its work through three additional sessions. The additional session work allowed the development of use cases and a technical report by the RMSC Program Office, the evaluation of the technical report including functional requirements and attributes by industry through a Request for Information, and the consolidation of all work to date by all participating agencies. This work is documented in this report and the “Functional Requirements and Attributes for Records Management Services, December 7, 2005,” report. Both reports provide the basis for an agency to initiate activities to include records management services in any of their current electronic environments as well as engage in the acquisition of new systems with records management services.

Participating agencies request NARA immediately submit their report “Functional Requirements and Attributes for Records Management Services, December 7, 2005” to the Architecture and Infrastructure Subcommittee of the Chief Information Officers (CIO) Council for inclusion in the Federal Enterprise Architecture’s Component Organization and Registration Environment (CORE.gov) in order to support their mission requirements.



Session 9 Objectives

Objective 1: Review, validate, and approve the RMS function model

The first exercise was for the participants to review and validate the RMS function model. The graphical notation used for this function model was the Integration Definition for Function Modeling (IDEF0) methodology as outlined in the Federal Information Processing Standard 183 (FIPS 183). The RMS model is provided at Appendix C. The formal vote to accept the model is provided at Appendix E.

Objective 2: Review, validate, and approve the RMS Unified Modeling Language (UML) class model

The participants were then provided a detailed walk-through of the RMS UML class model. The intent of the model is to graphically portray the interrelationships of the use cases from a class perspective. The model is provided at Appendix D. The formal vote to accept the model is provided at Appendix E.

Objective 3: Validate and approve the changes directed by the agencies to the RMS use cases and functional requirements at the November 16, 2005 workshop

The third exercise conducted was to validate the agency recommended changes to the use cases as provided during the November 16, 2005 workshop. All recommended changes were reviewed and discussed. Some issues were identified and immediately changed within the document. One of the substantive issues discussed was the distinction between a “Captured Record” and a “Managed Record”. It was decided that a “Managed Record” was a “Captured Record” in which additional attributes have been applied. The changes to the use cases resulting from this workshop will be published as a separate document and is not included in this report. The final action within this activity was a formal vote by the federal agencies asking whether they approve the use cases as amended by this meeting. They unanimously approved the document (Appendix E).

Objective 4: Review and finalize recommended actions on the Request for Information responses

The last exercise was a final review of the RFI actions that were recommended at the November 5, 2005 workshop to include additional comments provided by NARA. The participants were satisfied that actions directed at the November 16, 2005 workshop were fulfilled.



Changes to November 16, 2005 Use Case

New IDEF0 function and UML class models were presented to participants and provided them with a different view of the seven records management services documented in their work. Participants voted to incorporate these models into the report “Functional Requirements and Attributes for Records Management Services, December 7, 2005.”

The RMSC Program Management Office identified a set of redundant functional requirements. Functional requirements numbers three and four of the Provenance Service, Provenance Establish Use Case were found to be redundant with functional requirements one and three of the Record Capture Service, Record Capture Use Case. The following action was taken.

Functional Requirements Kept **RECORD CAPTURE SERVICE –** **RECORD CAPTURE USE CASE**

1. The **Record Capture Service** shall provide the capability to populate the **Record_Creator_Unique_Identifier** attribute when a **DECLARED RECORD** is set aside producing a populated **Record_Creator_Unique_Identifier** attribute.
3. The **Record Capture Service** shall provide the capability to populate the **Record_Capture_Date** attribute using the **SYSTEM DATE** when a **DECLARED RECORD** is set aside producing a populated **Record_Capture_Date** attribute.

Functional Requirements Removed **PROVENANCE SERVICE –** **PROVENANCE ESTABLISH USE CASE**

3. The **Provenance Establish Service** shall provide the capability to populate the **Set_Aside_Record_Agent_Unique_Identifier** attribute producing a populated **Set_Aside_Record_Agent_Unique_Identifier** attribute.
4. The **Provenance Establish Service** shall provide the capability to populate **Set_Aside_Record_Agent_Date** using the date contained in the **Agency_Official_Name_Current_Date** producing a populated **Set_Aside_Record_Agent_Date**.



Disposition of NARA Comments on RFI Dispositions

Participants reviewed, discussed and disposed of three comments provided by NARA SME pertaining to the handling of RFI responses at the Session 8, November 16, 2005 meeting.

NARA Comment 1:

Please clarify the difference between the handling of comment 2 and comment 10. Comment 2 was accepted. Comment 2 directs the RMSC to clarify the relationships between use cases and preconditions of other services. Comment 10 was rejected. Comment 10 states that the interrelationships between the use cases themselves will not be made explicit.

RFI Comment 2¹ – Industry Comment: Should more effort be given to explaining the relationship, if any, between the Use Cases? [C]arryover of preconditions implies that there is a relationship...

Discussion Notes: The pre-condition of any given use case can call an output of another service but does not require it in all cases. The evaluation of the RM Services through Unified Modeling Language will make the interrelationships more clear.

Disposition: Accepted. Directs RMSC program to insert paragraph on service relationships in the session report and to document the RMSCs in Unified Modeling Language.

RFI Comment 10² – Industry Comment: Should any relationship between use cases be made explicit?

Discussion Notes: RM Service Use Case should not call another Use Case but require a pre-condition as they do currently. Calling another use case presumes an implementation design is being favored. See Number 2, above.

Disposition: Rejected.

Disposition: No Clarification Needed

Participant's disposition of Comment 2 affirms their viewpoint of records management services: "...any given use case can call an output of another services but does not require it..." This viewpoint also rules out an affirmative response to the request in Comment 10 to make an explicit relationship between use cases. Doing so would adopt a position of prescribing an implementation, a position we do not accept and do not want to establish.

¹ Records Management Service Component Program (RMSC) RMSC Requirements Development Project Session Report, November 16, 2005, Appendix D.

² Ibid.



“In records management practice there are relationships and dependencies among and between the activities identified in this report. Those relationships and dependencies are not made explicit between each use case because doing so might impose a requirement to implement one service in order for another service to initiate or work. Instead, each service is described independently allowing each to be implemented by itself or in conjunction with other services, including non–RM services such as Search and Retrieve, to address requirements across the record life cycle.”³

NARA Comment 2:

With respect to comment 16, please clarify whether the acceptance of the comment means that RMSC is providing values or providing syntax/structure for the values. For example, for Disposition, Establish, Disposition_Instruction_Current attribute, should we indicate what values would be available (temporary, permanent), OR for dates, should we follow ISO date format, etc.?)

Industry Comment:⁴ Should specific values for any one attribute be provided? i.e., for Disposition Establish, Disposition_Instruction_Current attribute, should we indicate what values would be available (temporary, permanent etc.?)

Discussion Notes: A UML data model could provide information about the data, definition, length, character constraints. Participating agencies directed the RMSC program to include this information or representative examples in the UML exercise.

Disposition: Accepted.

Disposition: Clarified

Federal agency participants directed the RMSC Office to develop an IDEF0 function and UML class models for review and approval. Participants understood the short amount of time available between the November 16, 2005 session and the December 7, 2005 session would not allow the RMSC Program Office to collect and propose meta-data standards for attributes.

Contributing partner agencies directed this activity be carried out when processes under review by the Data Reference Model Working Group authorized by the Federal CIO Council are published and in accordance with those processes.

³ Functional Requirements and Attributes for Records Management Services, December 7, 2005, Forward

⁴ Records Management Service Component Program (RMSC) RMSC Requirements Development Project Session Report, November 16, 2005, Appendix D.



NARA Comment 3:

Comment 13. Type – Delete the first instance of “would” in the sentence “...agencies agreed that visual diagram or model would of the...”

Industry Comment:⁵ We recommend that you employ an activity diagram of use cases, a package diagram, or both to arrange use cases into groups of logical dependencies.

Discussion Notes: Participating agencies agreed that a visual diagram or model would of the RM services would enhance clarity. Participants authorized RMSC program with translating the use case into Unified Modeling Language (UML).

Disposition: Accepted.

Disposition – No Action Required

⁵ Ibid.



Appendix A – Session 9 Participants

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Appendix B – Workshop Agenda

Wednesday, December 7, 2005

- 8:00 AM Arrival – Continental Breakfast
- 8:15 Welcome
- 8:30 AM Workshop Introduction
- 9:00 Review RMS IDEF0 Model
- 10:00 Review RMS UML Class Model
- 12:00 Lunch
- 1:00 PM Review and Discuss Disposition of RFI Comments
- 2:30 Review Use Case Comments for Compliance
- 3:45 Next Steps
- 3:55 Session Wrap up
- 4:00 Session Adjourns



Appendix C - RMS IDEF0 Function Model

Understanding Integration for Definition Function Modeling (IDEF0).

IDEF0 models are simplified graphical depictions of functions from a specified viewpoint. IDEF0 identifies what functions are performed and what is needed to perform those functions.

In December 1993, the National Institute of Standards and Technology (NIST) released IDEF0 as a standard for Function Modeling for the Federal government in FIPS Publication 183.

The basic components of IDEF0 modeling are:

A-0 Diagram: The special case of a one-box IDEF0 context diagram, containing the top-level function being modeled and its inputs, controls, outputs and mechanisms, along with statements of model purpose and viewpoint.

Box: A rectangle, containing a name and number, used to represent a function or activity.
Box Name: The verb or verb phrase placed inside an IDEF0 box to describe the modeled function.

Control Arrow: The class of arrows that express IDEF0 Control, i.e., conditions required to produce correct output. Data or objects modeled as controls may be transformed by the function, creating output. Control arrows are associated with the top side of an IDEF0 box.

Input Arrow: The class of arrows that express IDEF0 Input, i.e., the data or objects that are transformed by the function into output. Input arrows are associated with the left side of an IDEF0 box.

Mechanism Arrow: The class of arrows that express IDEF0 Mechanism, i.e., the means used to perform a function. Mechanism arrows are associated with the bottom side of an IDEF0 box.

Output Arrow: The class of arrows that express IDEF0 Output, i.e., the data or objects produced by a function. Output arrows are associated with the right side of an IDEF0 box.

The top level in an IDEF0 model is the “Context Diagram.” It describes the most general activity (there is only one activity named at the top level of the model), inputs, controls, outputs, and mechanisms of the model.



An activity is the transformation of inputs into outputs, performed by the mechanisms under the constraints set by controls. The context diagram is “read” as Inputs are transformed into Outputs by Mechanisms under the guidance of Controls.

As an example, in the Context Diagram below developed by the RMS working group in the December 7, 2005 session is “read” as:

A Declared Record, Valid Managed Record Authenticity Attribute, and Updatable Managed Record Attribute are transformed into a Managed Record and Record Management Information by a Set Aside Agent and Records Management Services under the guidance of Statutes, Regulations, and a Categorization Schema.

Model abbreviations:

[Attr.] = Attribute

[C] = Create

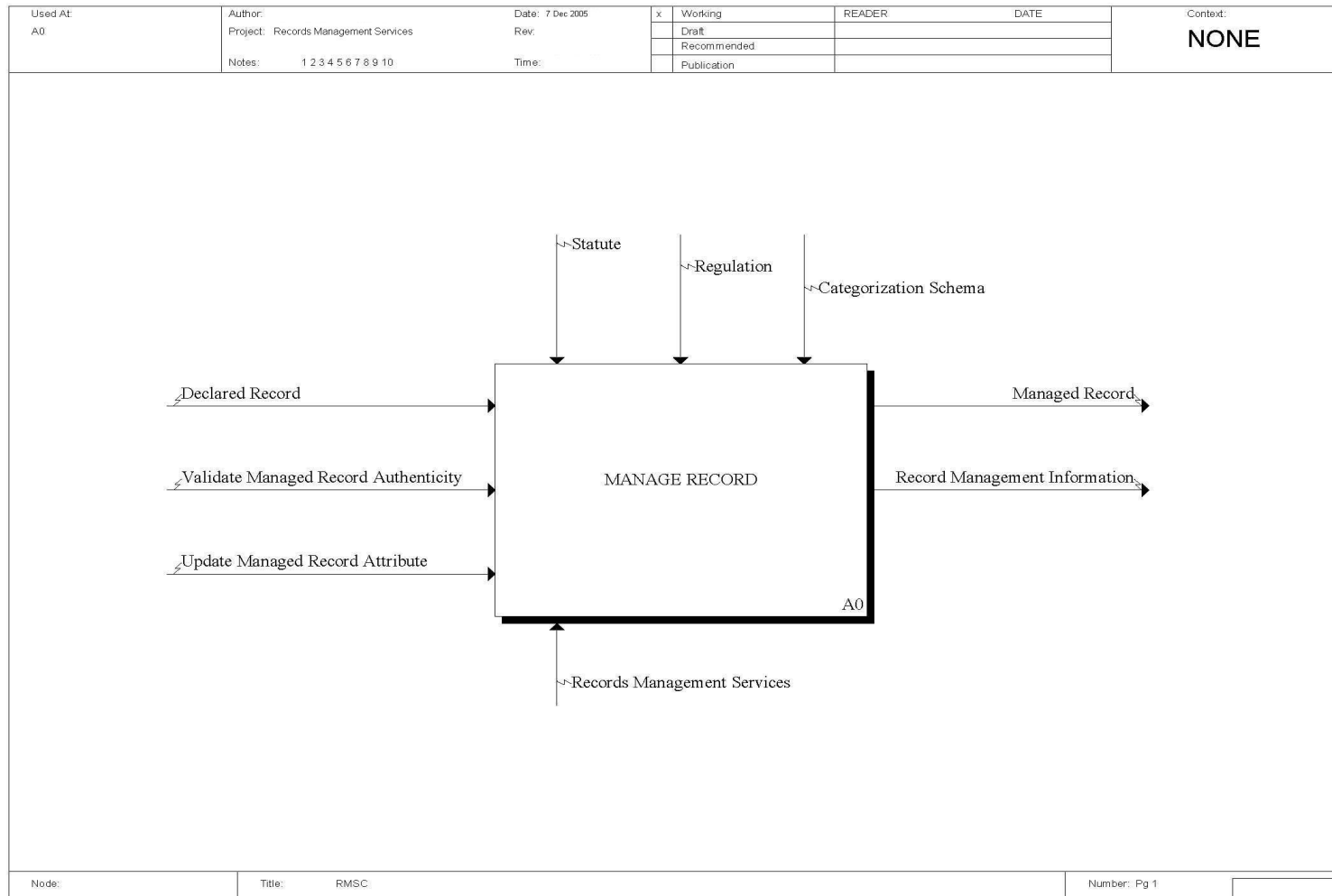
[P] = Previous

[P+n] = Previous +n

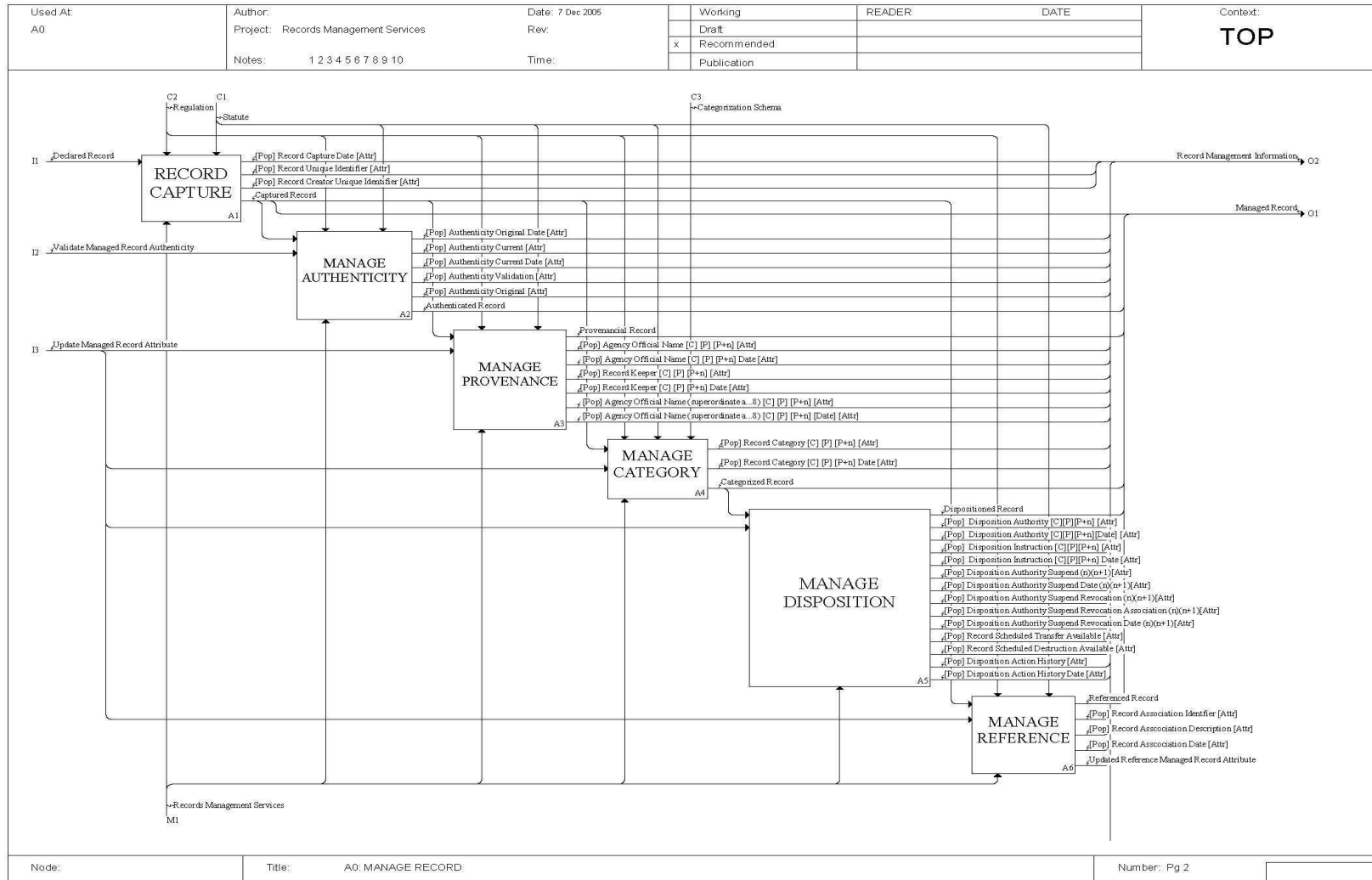
[Pop.] = Populate



The A-0 Context Level Diagram – MANAGE RECORD



The A0 Level Details the Context Level – MANAGE RECORD



Appendix D - RMS UML Class Model

A Unified Modeling Language (UML) class model is used to formalize a domain derived from a set of use case – Records Management Services. The model uses an industry accepted notation to make explicit classes, their properties, the relationships between classes, and the nature of those relationships (cardinality). Such a model can also be abstract enough to be comprehensible to domain subject matter experts, but precise enough to service as a specification for actual software.

Understanding UML Class Diagram Symbols and Notations

- Classes are an abstraction representing objects in the environment being described including their properties (attributes).
- Classes are depicted by a rectangle divided into compartments. The name of the class appears centered in the upper compartment. Class attributes appear below the class name in the next compartment with operations in the third compartment.
- Class associations are represented by a line connecting one class to one or more other classes.
- Inheritance is the ability of one class (child class) to inherit the identical functionality of another class (super class), and provide new functionality of its own.

Model cardinality



Indicates an aggregation or “part-of” association between a parent class and a child class. This is indicated by an unfilled diamond at the parent class. This means the child class is not required for the parent class to exist.

1 Indicates no more than one.

0..1 Indicates zero or one.

* Indicates many.

0..* Indicated zero or many.

1..* Indicates one or many.

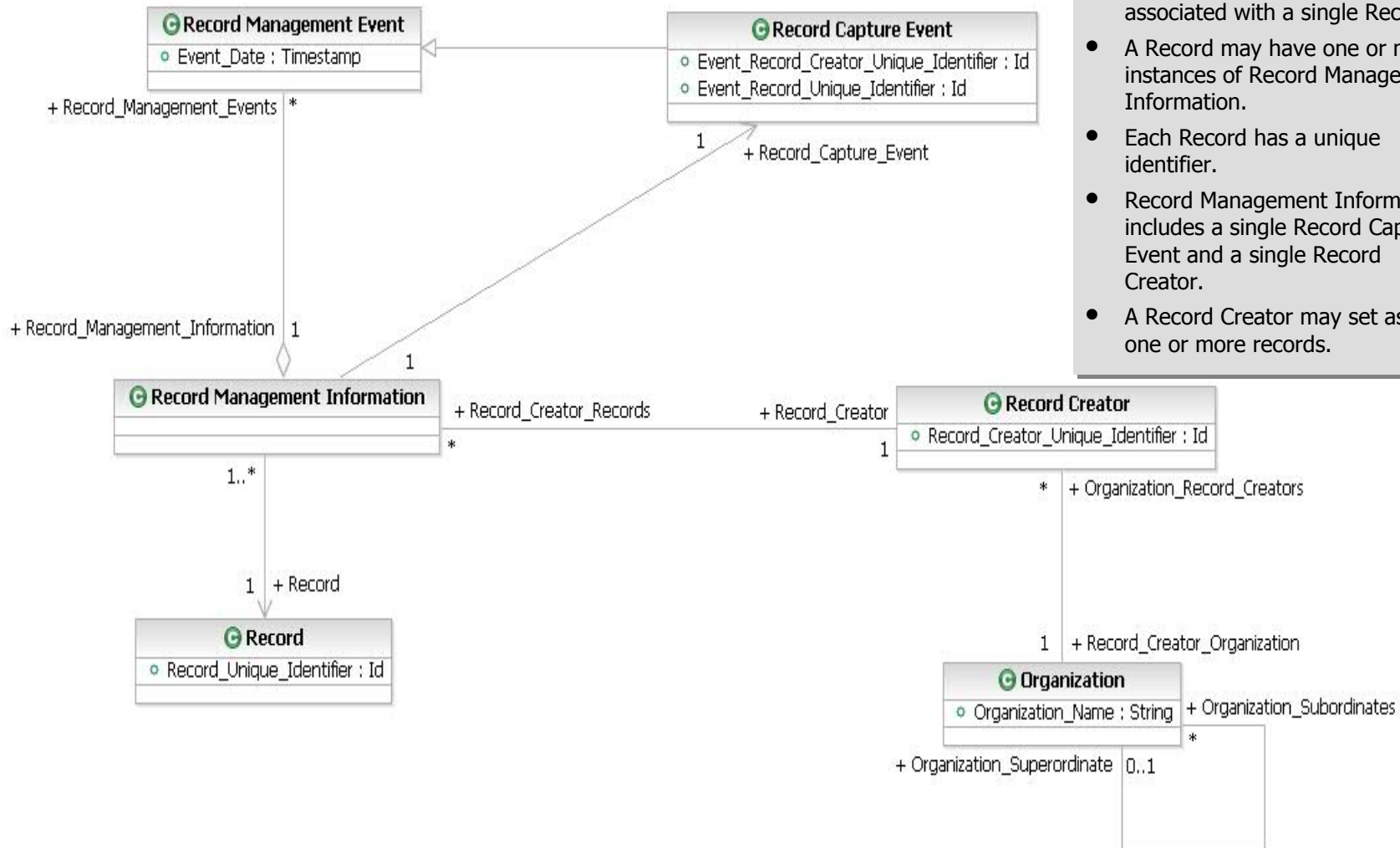


Indicates a class inherits functionality of a parent class and adds functionality of its own. This is indicated by a non-filled arrow from the inheriting class to the parent class with the arrow at the parent class.



Indicates a one way association in which the class the arrow comes from knows about the class the arrow is pointing to, but the class the arrow is pointing to does not know about the class the arrow is coming from.

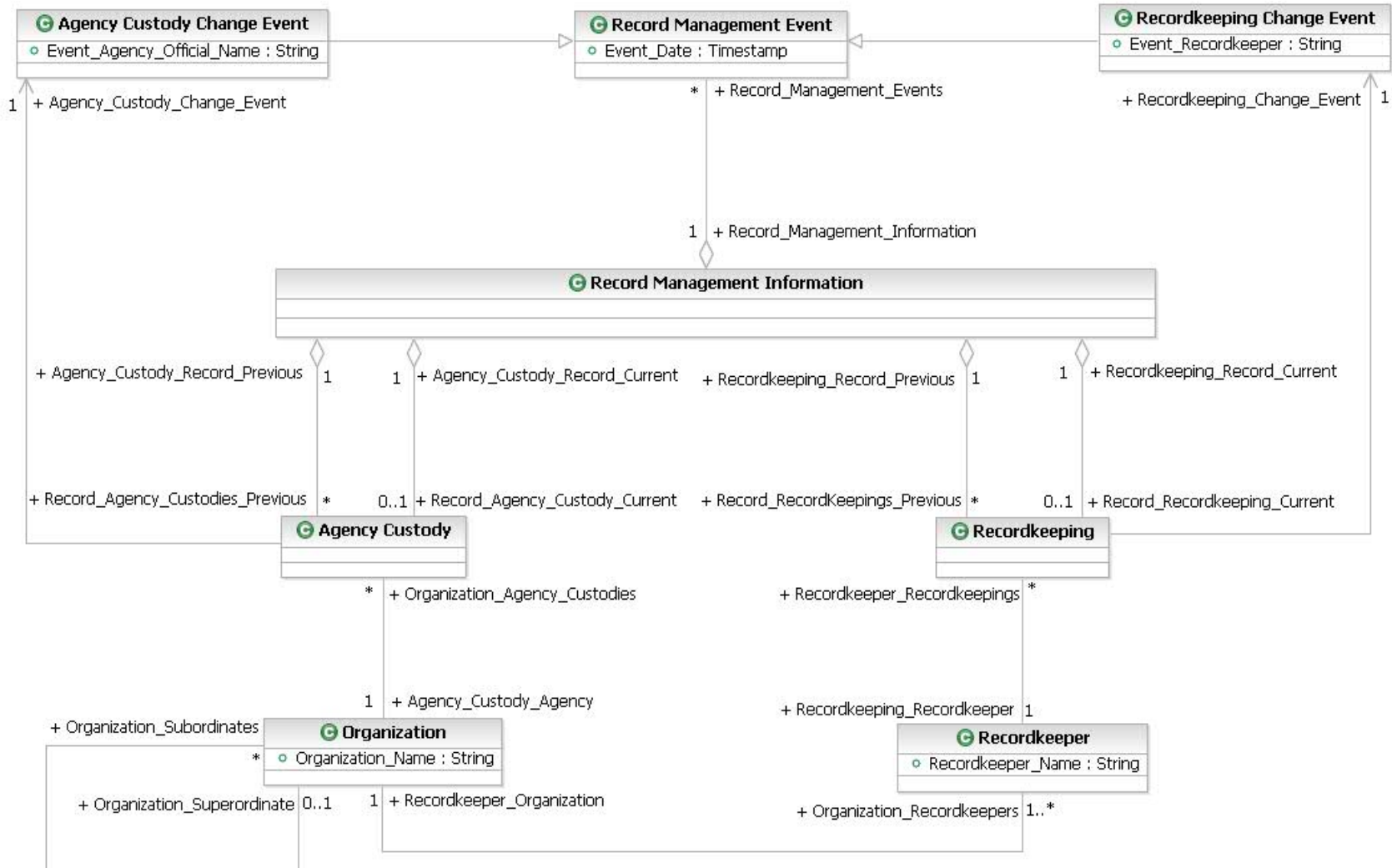
Record Capture



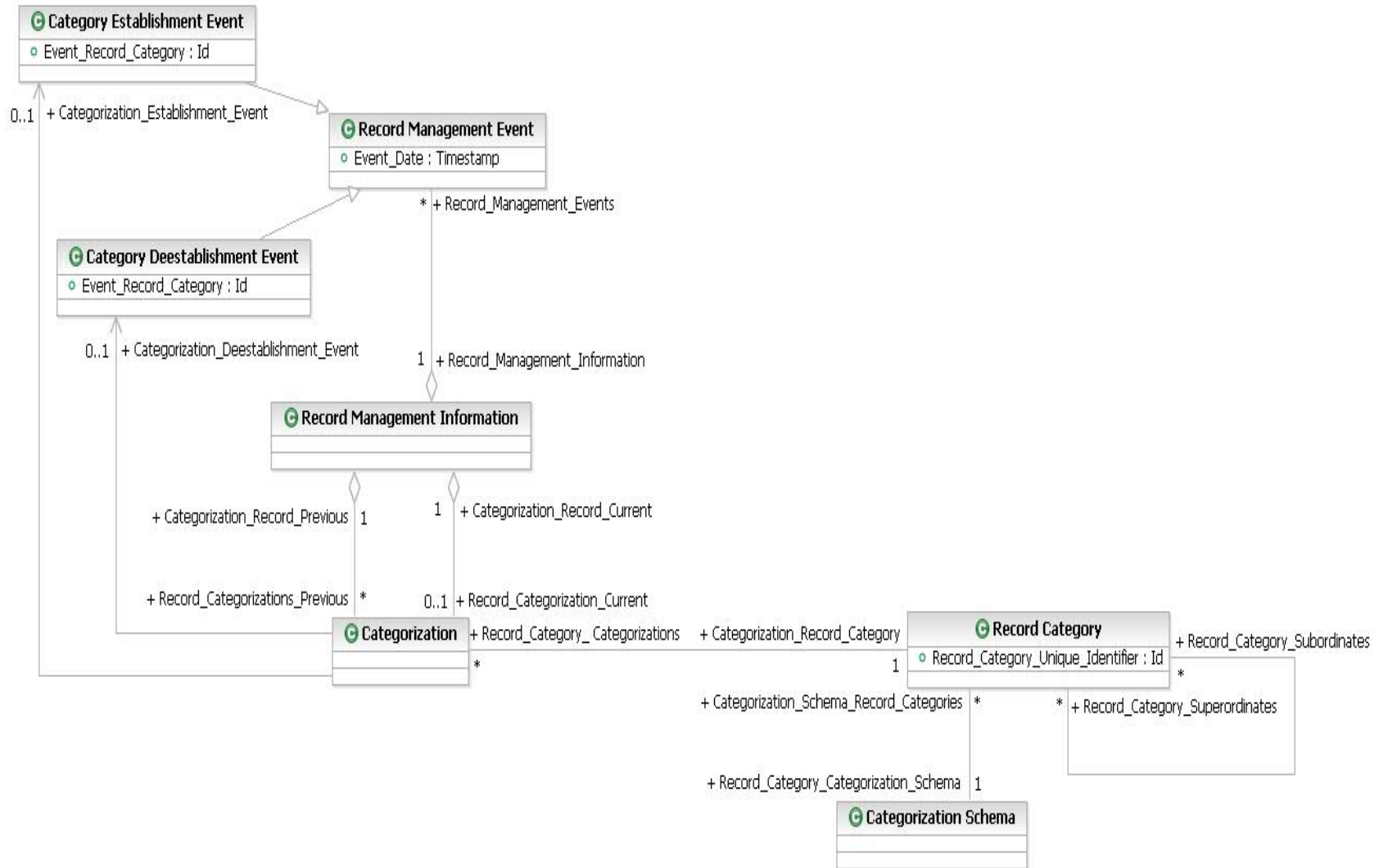
This view depicts the following:

- An instance of Record Management Information is associated with a single Record.
- A Record may have one or more instances of Record Management Information.
- Each Record has a unique identifier.
- Record Management Information includes a single Record Capture Event and a single Record Creator.
- A Record Creator may set aside one or more records.

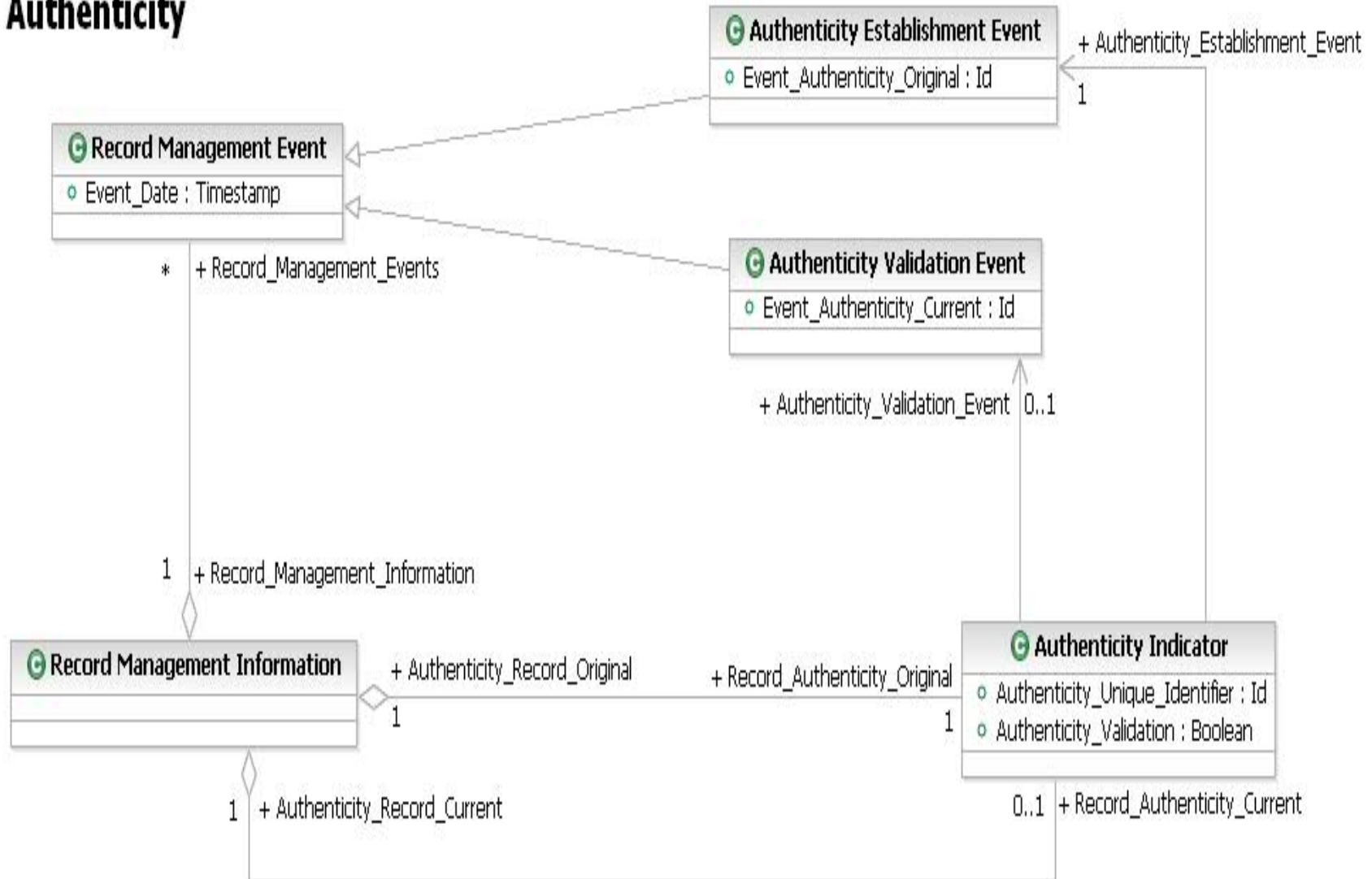
Provenance



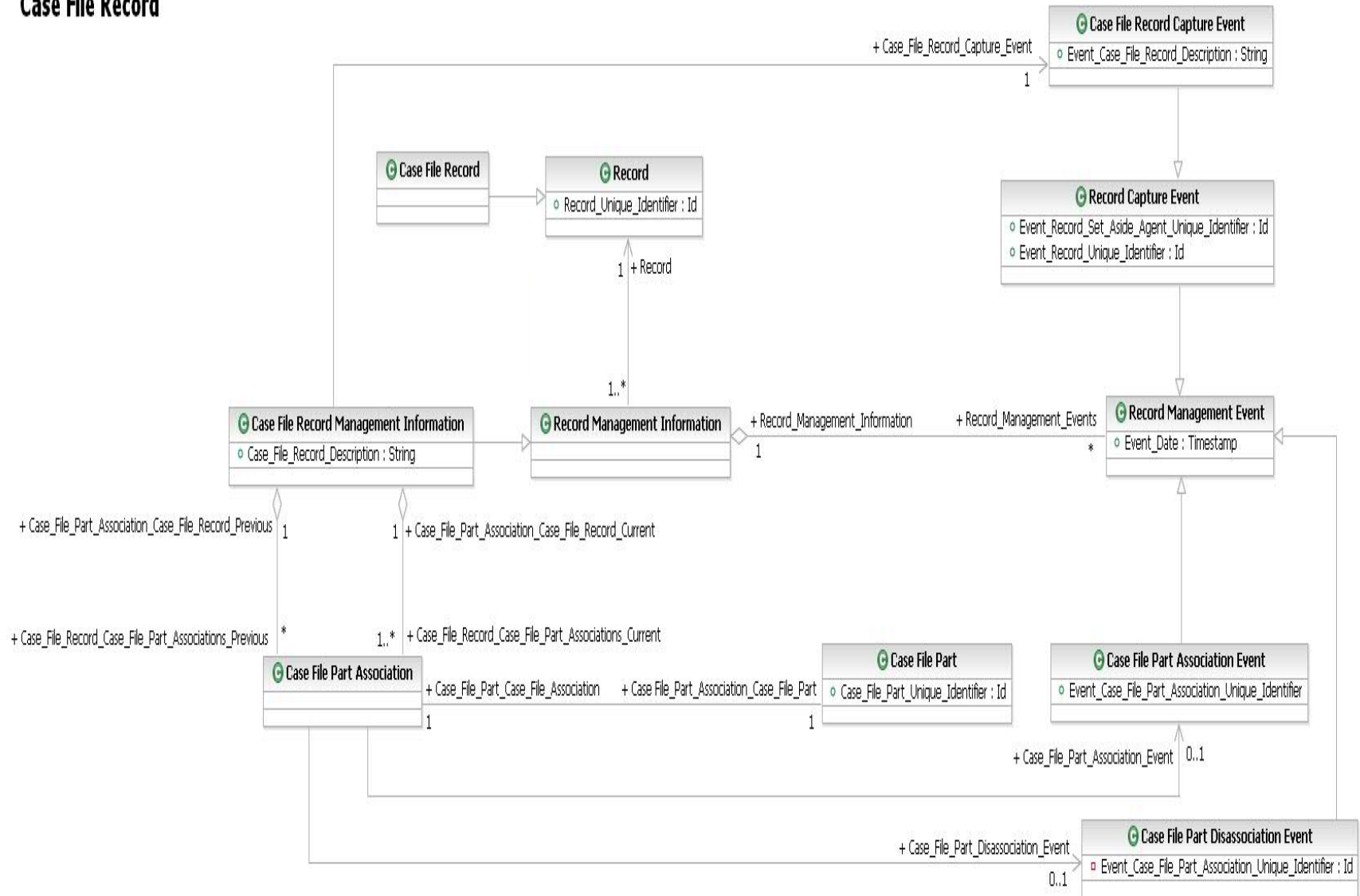
Categorize Record



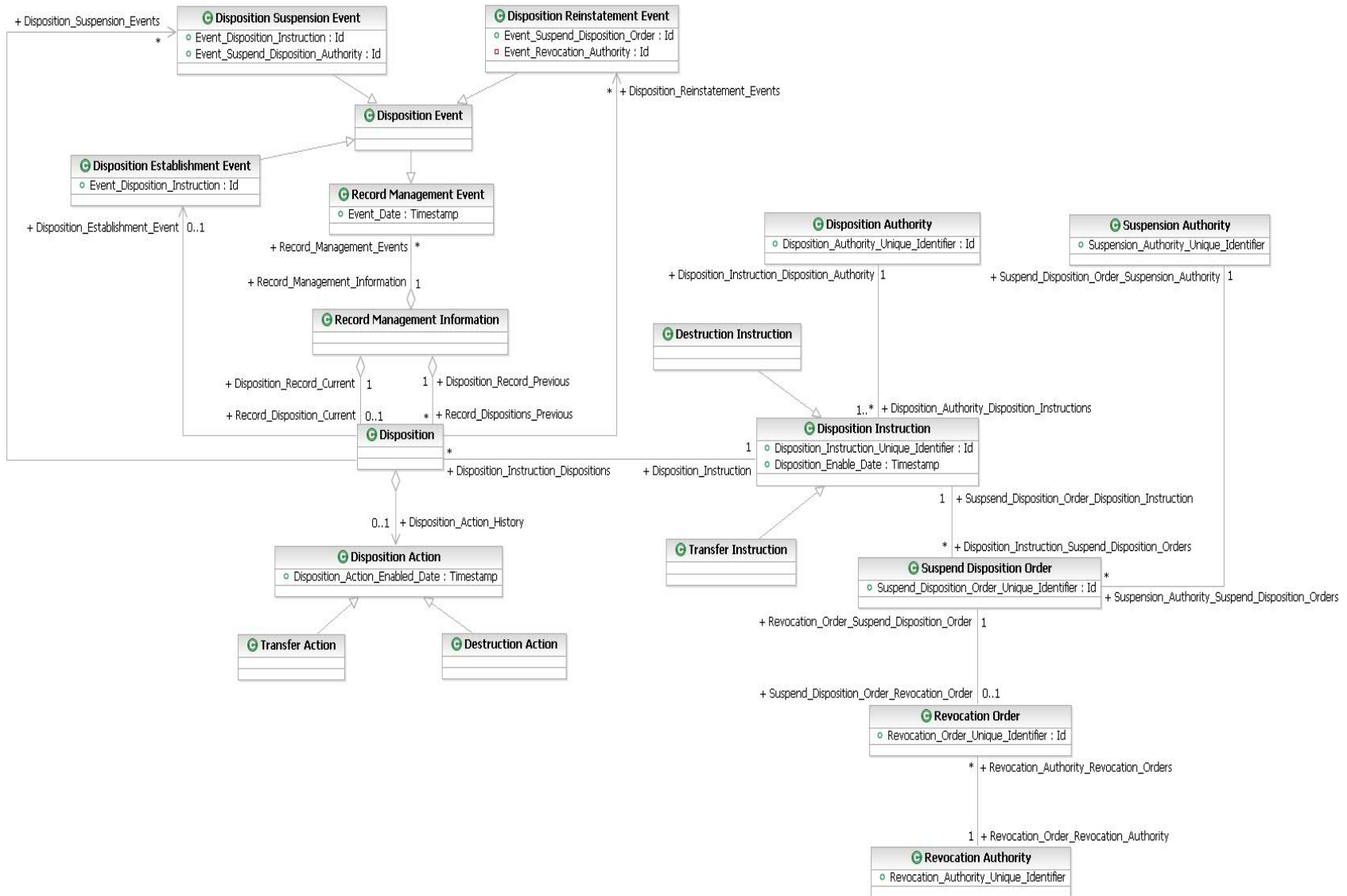
Authenticity



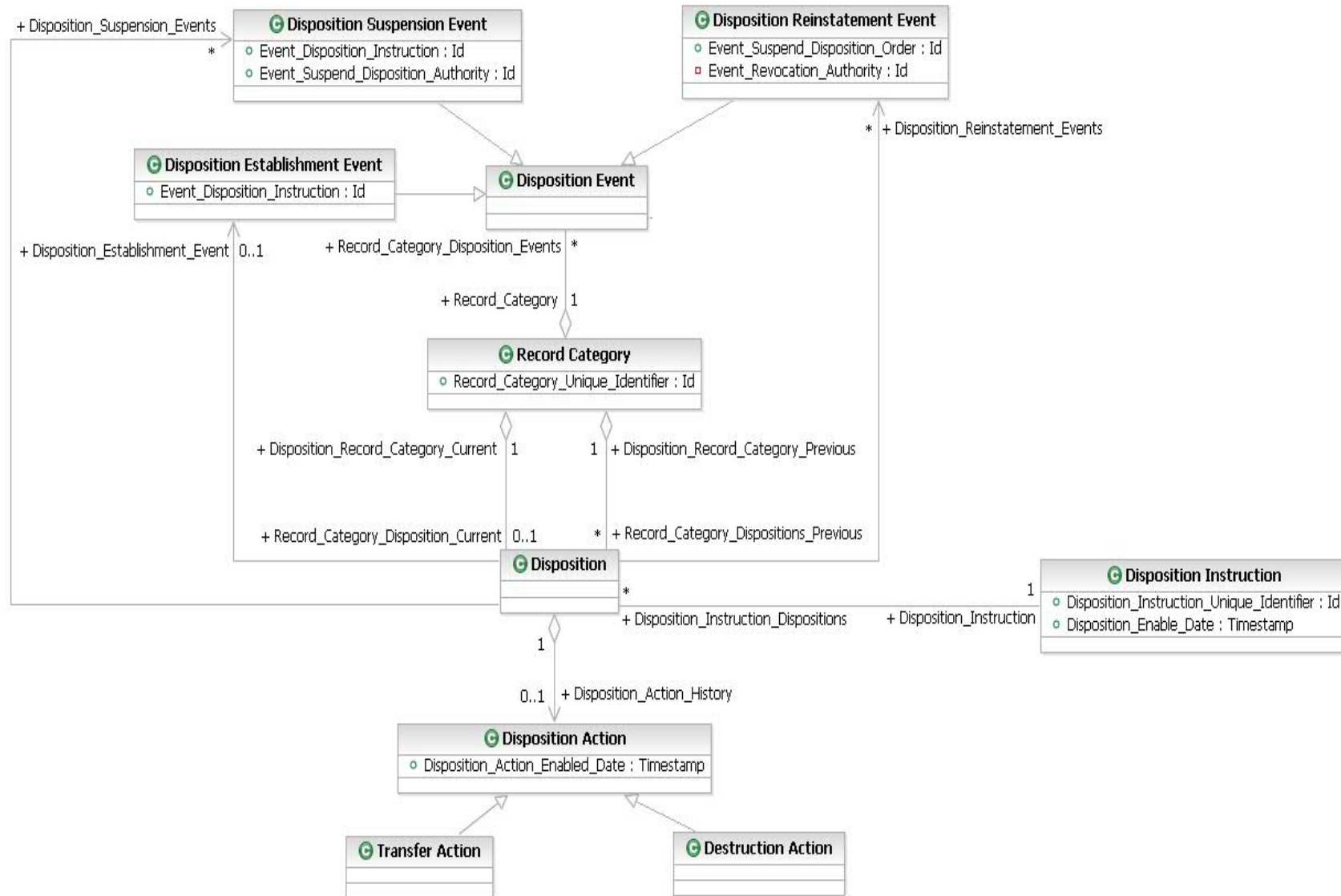
Case File Record



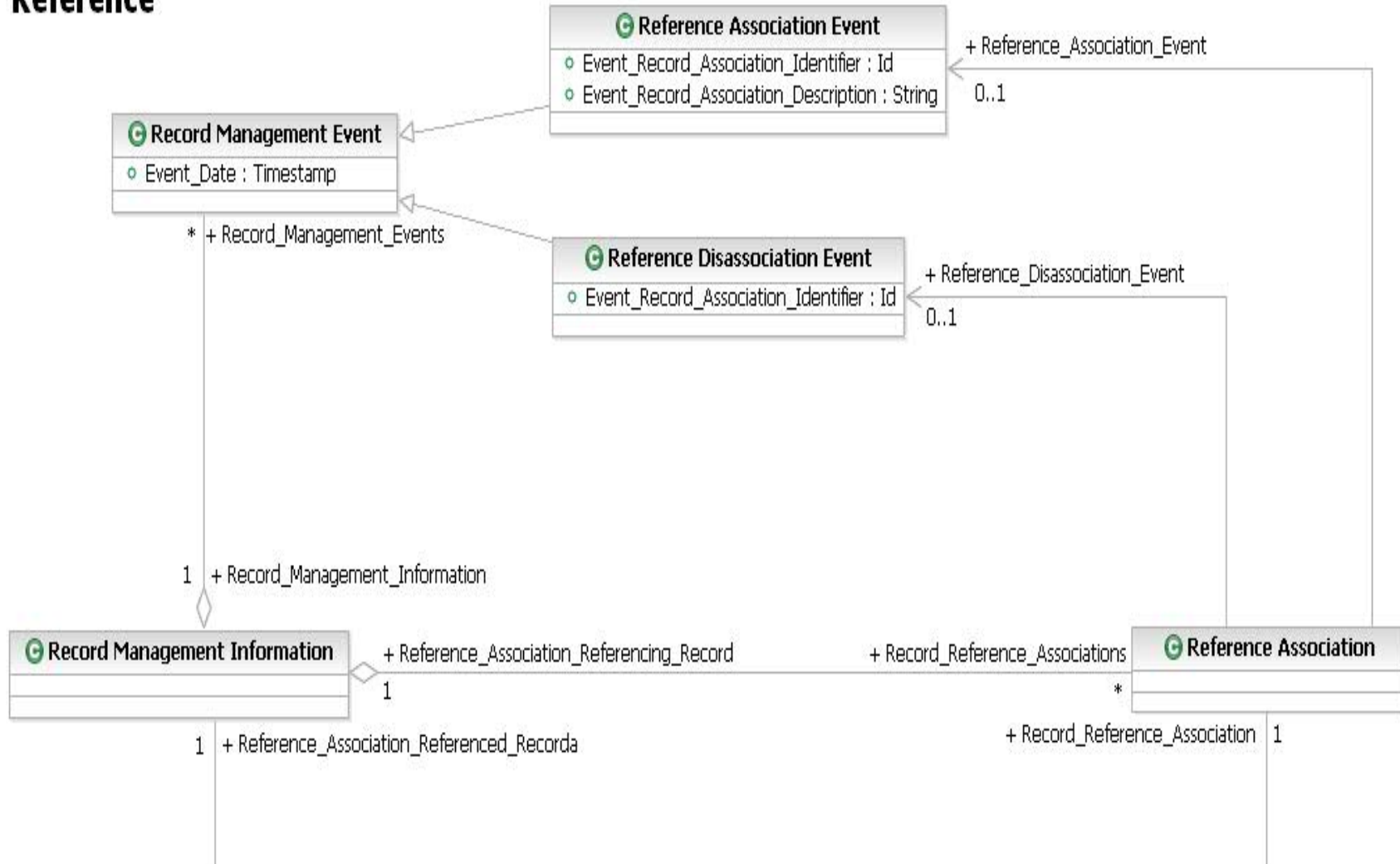
Record Disposition



Record Category Disposition



Reference



Appendix E – Workshop Votes

The following are a series of votes conducted during the workshop to document closure on a number of key RMS artifacts.

1. IDEF0 Model Vote

Question: Do you accept the IDEF Model as part of the submission package?

Results:

	Yes %	No %	n
Do you accept the IDEF Model as part of the submission package?	100	0	12

2. UML Model Vote

Question: Do you accept the UML Model as part of the submission package?

Results:

	Yes %	No %	n
Do you accept the UML Model as part of the submission package?	100	0	13

3. RMS Use Cases Vote

Question: Do you accept the Use Cases as amended?

Results:

	Yes %	No %	n
Do you accept the Use Cases as amended?	100	0	11



4. RMS Final Vote

Question: Do you recommend NARA submit (with any changes from Session 9) the Use Cases and Models to the Architecture & Infrastructure Committee for approval and inclusion in Core.gov?

Results:

	Yes	No	n
	%	%	
Do you recommend NARA submit (with any changes from Session 9) the Use Cases and Models to the Architecture & Infrastructure Committee for approval and inclusion in Core.gov?	100	0	12



Appendix F – RMSC Participants January – December 2005

Agency, Company, or University	Name	Title
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Agriculture, Department of	Snyder, Colleen	Departmental Records Officer
Agriculture, Department of / Office of the CIO	LaCour, Barbara	Deputy Associate CIO for e-Government
Boeing	McCollum, Duane	Information Architect Boeing
Commerce, Department of	Rooney, Dan	Records Management Officer
Composite Software	Abbott, Michael	Chief Technology Officer Composite Software
Data Access Technologies	Seidewitz, Ed	Director, MDA Software Development
Defense, Department of / CIO Information management	Riofrio, Harriet	DoD Erm Policy Lead
Defense, Department of / Washington HQ Services	Krysa, John	Division Chief, Directives & Records
Energy, Department of / Office of the CIO	Henderson, Toby	Management Analyst
Environmental Protection Agency	Downs, Constance	Acting Agency Records Officer Office of Information Collection Office of Environmental Information
Environmental Protection Agency	O'Donnell, Chris	Departmental Records Officer
Environmental Protection Agency	Williams, Deborah	Chief, Records, FOIA & Privacy Branch
General Services Administration	Wolfe, Marc A.	GSA Records Officer, OCIO/IT Policy Branch/
George Mason University	Jajodia, Dr. Sushil	Professor
Health and Human Services	Barnes, A.P.	Departmental Records Officer
Homeland Security, Department of	Schultz, Kathy	Senior Records Officer
Housing and Urban Development / Office of the CIO	Stout, Eric	E-Government Spec & Privacy Advocate
IBM	Miller, Bruce	e-records Strategy & Business Development Executive
Interior, Department of the	McCeney, Edwin	Records Manager
Justice, Department of	Plante, Jeanette	Director, Office of Records Management Policy
Justice, Department of / FBI	Miller, Mike	Chief, Records Automation Section



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Labor, Department of	Saracco, John	Departmental Records Officer
National Aeronautics and Space Administration	Stockman, Patti	Records Officer
National Archives and Records Administration / Central Plains Region	Shaw, Karen A.	CRM, Senior Records Analyst
National Archives and Records Administration / Mid Atlantic Records Management	Phillips, Meg	Senior Records Analyst
National Archives and Records Administration / NHE	Eaton, Fynnette	Change Management Officer
National Archives and Records Administration / NLN	Fidler, Beth	Archivist
National Archives and Records Administration / NPOL	Allard, Nancy	Lead Archives Specialist
National Archives and Records Administration / NPOL	Loiselle, Russell F.	Archives Specialist
National Archives and Records Administration / NR	Erdenberger, Pat	Senior Records Analyst
National Archives and Records Administration / NWM	Giguere, Mark	Lead IT- Policy & Planning
National Archives and Records Administration / NWML	Griffith, Stephanie	Archives Specialist
National Archives and Records Administration / NWML	Langbart, David A.	Archivist/Work Group Leader
National Archives and Records Administration / NWML	Tiernan, Kevin	Senior Records Analyst
Object Management Group, Inc	Soley, Dr. Richard	Chairman and CEO
OSDL	Witham, Timothy D.	CTO
Social Security Administration	Jensen, Ken	Office of Publications Management
Social Security Administration	Breton, Henry	CFRMS Support (DCS/OESAE/DEDMS/ERMB)
Social Security Administration	Martin, Regina	Departmental Records Officer
Social Security Administration	Parry, Dan	Director, Database Systems
State, Department of	Ritchie, Alice	Chief, Life Cycle Management Branch



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Treasury, Department of	McDonald, Matthew	Director Policy & Planning OCIO/ Inspector General for Tax Administration
Treasury, Department of / Bureau of Engraving & Printing/	Corsini, Pamela	Chief Enterprise Architect
Unisys Corporation	Butler, John C,	Chief Architect, Public Sector
Unisys Corporation	Tolbert, Doug	Consulting Engineer
University of Maryland	Shaya, Dr. Ed	Research Scientist
Veterans Affairs, Department of	Blount, Jerrann K.	Management Analyst

Appendix G – Session 9 Evaluation

1. What Went Well?

- Reasonable limits were kept in discussions to keep us on track. Session very productive use of time.
- Good session.
- Excellent facilitation...
- This was a successful completion of a very worth while project.
- Broad interagency participation.
- We worked well as a group to resolve all questions/issues.
- Participation by practicing records officers, CIO/CKO reps, and policy reps.
- Review of the Process and Data [sic.] Model were instrumental in gaining a more in-depth understanding of the various Record Management Services. The session was both collaborative as well as interactive with excellent facilitation.
- Iterative development. You can't rush this to production of a final product in faster time. This represents intellectual effort, application of traditional functions, vetting for practical functions, and creative application of technology
- This was a very well organized, informative, and productive project throughout. I participated in every session and loved it. I think that we ended up with an excellent product and hope to see the RMSC developed and implemented throughout the federal government.
- Successful completion of a much needed effort!
- Everything! The IDEF and UML models were most impressive, and more importantly - the project management abilities of Daryll and Ken were exceptional and exceeded anything with which I've been involved during my 28 years in government.
- Great facility. Convenient location for access. Superb group systems facilitation.

2. What Needs To Be Improved?

- Can't thing of anything - I was very pleased with the session.
- Condiments for the lunch!
- We missed Ken this session!
- No improvements needed. Great session!
- By necessity we limited scope. BUT, some very difficult and critical records management functions were excluded. Specifically, a component to identify record material in the volumes of unstructured data across an agency and the component to deal with processing for FOIA, Subpoena, discovery, declassification, GAO audit.

- I felt like I wanted a closer link to industry in this beyond an early attempt at reviewing RFI. I have to believe that given the repeated attempts by vendor developers and integrators to make marketing calls and marketing research visits to me and my Dept, that the large industry groups would want to listen to what it is we want. Most of those corporations want to know our problems so they can come to us with a solution we want. We don't always have to pay them to design a solution.
- Nothing!

3. Other Comments

- Good times, good times. . .
- Mark Giguere buying the beer?
- Great Project!
- Thanks!
- I sincerely hope this will go forth to implementation. Very well conducted and satisfying!
- Thank you for the opportunity to participate!



Appendix H – Previous Reports

1. RMSC Requirements Development Project Workshop Report – Session 1
January 11 – 13, 2005
2. RMSC Requirements Development Project Workshop Report – Session 2
January 25 – 27, 2005
3. RMSC Requirements Development Project Workshop Report – Session 3
February 9 – 10, 2005
4. RMSC Requirements Development Project Workshop Report – Session 4
February 28 – March 1, 2005
5. RMSC Requirements Development Project Workshop Report – Session 5
March 3, 2005
6. RMSC Requirements Development Project Workshop Report – Session 6
March 9, 2005
7. RMSC Requirements Development Project Final Report
March 31, 2005
8. RMSC Use Case Development Workshop Report – Session 7
May 2-3, 9-10, 2005
9. NARA RMSC Program Office Technical Report, Functional
Requirements and Attributes for Records Management in a Component-
Based Architecture
July 20, 2005
10. RMSC Requirements Development Project Workshop Report – Session 8
November 16, 2005



Appendix I – Contributing Partner Agencies

Department of Agriculture
Department of Commerce
Department of Defense
Department of Energy
Department of Health and Human Services
Department of Homeland Security
Department of Justice
Department of Labor
Department of State
Department of the Interior
Department of the Treasury
Department of Transportation
Environmental Protection Agency
General Services Administration
Housing and Urban Development
National Aeronautics & Space Administration
Social Security Administration
Veteran's Administration



Appendix J – Memorandum of Understanding November 2004

Memorandum of Understanding Between

National Archives and Records Administration (NARA)
Chief Information Officer and Assistant Archivist,
Office of Human Resources Information Services

And

[Participating Agency = PA]

I. Purpose

The purpose of this agreement between the [PA] and the Chief Information Officer (CIO), Office of Human Resources and Information Services, of the National Archives and Records Administration is to support the documentation of records activities and services that can be supported by components and the procurement or acquisition of records management components. This project is called the RMS Requirements Collection Project, part of the Records Management Services Component (RMS) Program. The RMS Program is one of 24 E-Government initiatives which support the President's Management Agenda.

NARA has funded and contracted with Digital Research Corporation (DRC) of Falls Church, Virginia and Georgia Tech Research at Georgia Institute of Technology, Atlanta, Georgia for facilitated groupware services and research support. The [PA] has no requirement to provide NARA with funds for these purposes. NARA requests the [PA] provide an individual to participate in up to five facilitated groupware sessions related to the development of RMS requirements during the period January 2005 through April 2005. By providing a participant the [PA] meets its obligations established for E-Government initiatives. NARA will not be providing funding for travel, temporary duty, or other incidental costs associated with participant attendance.

II. Authorities

The authority for the National Archives and Records Administration to provide products and service for Executive Agencies is in accordance with 40 U.S.C. Section 501.

RMS Program Background

The E-Government (E-Gov) Task Force was established by the Office of Management and Budget (OMB) Director Mitchell E. Daniels in Memorandum M-01-28 dated July 18, 2001, in response to the President's Management and Performance Plan. The Task Force was launched on August 9, 2001, by Mark Forman, OMB Associate Director of Information Technology and E-Government. The President's Management Council (PMC) approved 24 E-Gov initiatives at the October 3, 2001 meeting. The initiatives were categorized into one of four segments based on the constituencies they serve: Government-to-Government (G2G), Government-to-Business (G2B), Government-to-Citizen (G2C) and Internal Effectiveness and Efficiency (IEE). A Managing Partner



agency was assigned to each initiative and required to establish a project management office (PMO) within the agency.

The RMSC Program is in the Internal Effectiveness and Efficiency Portfolio and the managing partner for the project is the National Archives and Records Administration. The PMO is headed by Daryll Prescott, Program Director and the RMSC Requirements Project is managed by Dr. Kenneth Hawkins.

The RMSC Requirements Collection Project Objectives are to:

1. Identify and document the most important stakeholder defined records management requirements that are amenable to being supported by service components;
2. Normalize requirements and prioritize them based on their value proposition;
3. Publish RMSC requirements for potential future development by the government and industry;
4. Create public awareness of the RMSC project across government, academia and industry;
5. Provide the tools and facilities necessary to carry out RMSC Project activities.

In order to meet the goals of the program, the NARA CIO has identified a funding strategy and the skill-sets needed to meet project objectives. Under the E-Gov structure, each initiative is required to establish a funding strategy and identify positions and/or skill sets needed to carry out the activities for this project. For this project, NARA has provided the funding for facilitated groupware and research support. The qualifications and skill sets required for participants are detailed in Attachment 4. The E-Gov governance document written by OMB stipulates projects will be comprised of interagency project teams (IPT). For this project, each member of the IPT will participate in facilitated collaboration sessions to meet the intent of OMB requirements for interagency participation. Each collaborative groupware session will be planned for one or several days during the period January 2005 through March 2005. Participating agencies are to identify and provide IPT participants for the groupware sessions to the PMO.

III. Roles and Responsibilities

The [PA] shall:

- Provide the RMSC PMO with a qualified individual as outlined in Attachment 4 to attend the facilitated groupware sessions;
- Support the operation of RMSC Project and PMO;
- Provide direction and advice through their participating individual about the operation of the PMO through the five collaborative groupware sessions;
- Include acknowledgment of being a participant in the RMSC Project in relevant budget and program documents as they see necessary;



RMSC Program Office shall:

- Provide each participating agency updates on project progress through their participant and designated POCs;
- Designate a NARA liaison to serve as a point-of-contact for all issues related to the project.
- Award, manage and obtain funding for contracts to provide support and services to the RMSC Project.
- Hold other meetings as necessary in support of the project.

IV. Effective Date and Duration of Agreement

The effective date of the agreement will from the date of the last signature of the agreement. The agreement will remain in effect for the duration of the RMSC Project or through FY 2005, whichever occurs first. The agreement will remain in effect unless amended by mutual consent of the parties of this agreement.

V. Dispute Resolution Mechanism

In the event of any disagreement arising under this agreement, the parties shall, in good faith, negotiate a resolution to the disagreement with assistance from the Office of Management and Budget (OMB) designated Portfolio Manager. If the parties cannot negotiate a resolution, the Portfolio Manager is authorized to resolve the dispute.

VI. Points of Contact

National Archives and Records Administration:

Daryll R. Prescott
Director, RMSC Program
National Archives and Records Administration
8106 Adelphi Road, College Park, MD 20740
301.837.0974
daryll.prescott@nara.gov

Dr. Kenneth Hawkins
Project Manager, RMSC Requirements Collection
National Archives and Records Administration
8106 Adelphi Road, College Park, MD 20740
301.837-1798
ken.hawkins@nara.gov

Upon signing the MOU, the participating agency CIO shall designate a point of contact for their agency for this project.



VII. Transfer of Funds

This Agreement requires no transfer of funds from the participating agency to the National Archives and Records Administration.

VIII. Signature

The following officials agree to the terms and conditions of this agreement:

[Participating Agency Signatory] [Title] [Agency]	L. Reynolds Cahoon Assistant Archivist Office of Human Resources and Information Services National Archives and Records Administration
Date:	Date:

Attachment

1. Proposed groupware schedule January 2005 through March 2005
2. Program overview
3. Groupware background information package
4. Participant skill set



Appendix K – Acronyms

CIO	Chief Information Officers
DRC	Dynamics Research Corporation
DSC	Decision Support Center
ERM	Electronic Records Management
ERPWG	Electronic Records Policy Working Group
FEA	Federal Enterprise Architecture
FIPS	Federal Information Processing Standard
IDEF	Integration Definition for Function Modeling
IPT	Interagency Project Team
NARA	National Archives and Records Administration
PMO	Program Management Office
RFI	Request for Information
RM	Records Management
RMS	Records Management Service
RMSC	Records Management Service Components
SME	Subject Matter Expert
UML	Unified Modeling Language