



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

RMSC Requirements Development Project Workshop Report – Session 3

February 9–10, 2005





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

**RMSC Requirements Development Project
Workshop Report – Session 3 - February 9-10, 2005**

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Executive Summary

The Records Management Service Components (RMSC) Program Requirements Development Project continued on February 9, 2005, with the third of six collaborative sessions with records management and enterprise information architecture stakeholders representing 17 agencies across the Federal government. The agency participants were named by their Chief Information Officers and E-Government program managers as qualified to speak for their agencies on session objectives. The RMSC Requirements Development Project additionally supports the National Archives and Records Administration, E-Government Electronic Records Management (ERM) initiative #24.

Workshop participants had previously met in two separate groups and worked on identical tasks to arrive at their results independently. This combined session was designed to reach consensus on, and align the RSMC Working Group results to present a combined set of prioritized Records Management Service Component activities and their associated functional requirements.

The published objectives of the RMSC Requirements Development Workshop, Session 3 were to:

- Harmonize/Align Group 1 and Group 2 Results
 - RM component activities and definitions
 - Associated functional requirements
- Document the workshop output in a session report

All objectives were met.

The team identified, defined, and prioritized nine records management activities that could be supported by and implemented through software service components:

- Initiate Record
- Schedule Record
- Categorize Record
- Search Record
- Retrieve Record
- Ensure Integrity
- Maintain Record
- Manage Access
- Execute Disposition

The team then provided definitions for the RM activities and prioritized them. Finally, the participants drafted 17 functional requirements for the nine RM activities and identified attributes for each requirement. NARA subject matter experts, industry, and academic representatives at the next two workshops will review this set of activities and the associated functional requirements for comment.



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Section 1 - RMSC Requirements Development Project Workshop Overview

The Records Management Service Components (RMSC) Requirements Development Project, a part of the RMSC Program, continued on February 9, 2005, with the third of six scheduled collaborative sessions with Records Management (RM) and enterprise information architecture stakeholders representing 17 Federal agencies. These participants were named by their Chief Information Officers and E-Government program managers as experts authorized to speak for their agencies on session objectives. Participants met with the goal to reach consensus and align the results from two earlier sessions in which they had identified RM activities that could be supported with software service components and drafted related functional requirements.

The published objectives of the RMSC Requirements Development Workshop, Session 3 were to:

- Harmonize/Align Group 1 and Group 2 Results
 - RM component activities and definitions
 - Associated functional requirements
- Document the workshop output in a session report

All objectives were met.

Attending the session were representatives from the following agencies:

- Department of Agriculture
- Department of Commerce
- Department of Defense
- Department of Energy
- Department of Health and Human Services
- Department of Interior
- Department of Justice
- Department of Labor
- Department of State
- Department of Treasury
- Department of Veterans Affairs
- Environmental Protection Agency
- General Services Administration
- National Aeronautics and Space Administration
- Social Security Administration

Additionally, the Department of Transportation and the Department of Housing and Urban Development provided written input on session objectives.



Section 2 - RMSC Activities and Definitions

The following table summarizes the position of agency designated records management and enterprise information architecture stakeholders as to which records management activities can be supported by software service components and provides associated definitions. For specific exercises that were used in the development of this table see Section 4.

Records Management Component	Definition
Initiate Record	Capturing information declared as a record with associated attributes into an electronic system capable of managing records.
Schedule Record	Using an established disposition authority, assign the disposition schedule, item number, and disposition instructions to the record.
Categorize Record	Matching the descriptive criteria of the records against a separately defined list of descriptive criteria defining a category.
Search Record	Query all or selected system repositories of records (transitory, temporary, and permanent) across the enterprise for content and/or attributes, in order to determine the existence and location of matching records and produce a descriptive list.
Retrieve Record	Using the descriptive list produced by the Search Record component, allow for the selective display of the full record and/or associated attributes for the purpose of review, printing or permissible editing.
Ensure Integrity	To ensure the authenticity and completeness of a record and associated attributes upon its creation and throughout its lifecycle.
Maintain Record	Storage regardless of format that ensures authenticity, availability, retrievability and storage locations to related records.
Manage Access	Control and maintain history of access to specific record attributes, such as records or file series based on security classification, functional roles, organizational position, delegated permissions or other restrictions.
Execute Disposition	Implement destruction, transfer, or continued retention of a record in accordance with the established retention. After validation that the disposition is proper, remove record from the other controls, execute the activity, and record the transaction.

Section 3 - RMSC Functional Requirements

The following table summarizes the position of the session participants regarding RMSC functional requirements associated with each activity. For the workshop processes that were used in the development of this table see Section 4.

Records Management Component	Functional Requirements
	<p>GLOBAL REQUIREMENT: Records management service components shall make available all data resident in their attributes for output.</p> <p>NOTE: This requirement will support printing, viewing, saving, report writing, audit, etc.</p>
Initiate Record	<p>The Initiate Records Component shall provide the capability to assign Record Descriptor Attributes in a consistent format to the Incoming Record creating an Initially Described Record.</p>
Schedule Record	<p>The Schedule Record Component shall provide the capability to accept a Categorized Record and, using an Approved Record Schedule, populate schedule attributes (e.g. schedule number, schedule item number, disposition act, disposition date, review date, name of scheduler, date of scheduling) for the record, producing a Scheduled Record.</p>
Categorize Record	<p>The Categorize Record Component shall provide the capability to allow authorized users (individuals, organizations, or applications) to categorize or re-categorize a Selected Record to provide a Categorized or Re-categorized Record.</p> <p>The Categorize Record Component shall provide the capability to apply the Authorized Categorization Schema to an Uncategorized Record to produce an attributed Categorized or Re-categorized Record.</p> <p>The Categorize Record Component shall provide the capability to apply the related business rules to an Uncategorized Record to produce an attributed Categorized or Re-categorized Record.</p>
Search Record	<p>The Search Record Component shall provide the capability to accept a User Query, apply the query criteria to the universe of available records, producing a Matching Records List.</p>



Records Management Component	Functional Requirements
Retrieve Record	<p>The Retrieve Record Component shall provide the capability to use the results of the Search Record Component and make selected record(s) and their associated attributes available for viewing, printing, or saving a copy.</p>
Ensure Integrity	<p>The Ensure Integrity Component shall assign an integrity attribute to a Record to produce an Authenticity Indicator.</p> <p>The Ensure Integrity Component shall provide the capability to match a Current Authenticity Indicator to a Previous Authenticity Indicator producing a Verified Authenticity Indicator.</p>
Maintain Record	<p>The Maintain Record Component shall provide the capability to associate an Existing Record used in creating a new record producing a populated Record Association Attribute associating the Existing Record used to the New Record</p>
Manage Access	<p>The Manage Access Component shall provide the capability to use the Manage Access Tool to determine the Approval, Disapproval or Partial Approval of the Request to Access a Record(s).</p>
Execute Disposition	<p>The Execute Disposition Component shall provide the capability to take the Record from a designated location and owner to another owner and location that produces the exact Released Record.</p> <p>The Execute Disposition Component shall provide the capability to make a Scheduled Record available for destruction by ensuring the identified Destroyed Record is no longer available in the system and that information (date) about the destruction is made available as evidence of the destruction in an Agency Record Destruction Tool and produce a Record Destruction.</p> <p>The Execute Disposition Component will populate the Suspend Disposition Attribute to a Scheduled Record when a Suspend Disposition Intervention Record occurs.</p> <p>The Execute Disposition Component will provide the capability to return a Scheduled Record when the Suspend Disposition Attribute is not populated</p> <p>The Execute Disposition Component will take a Scheduled Record approved for destruction and produce a Destroyed Record.</p> <p>The Execute Disposition Component will take a Scheduled Record approved for transfer and produce a Transferred Record</p>

Section 4 – Workshop Activity Flow

During the first activity on Day One, Mr. Edmund Feige, the project facilitator, led the team through an introductory sign-in exercise using the groupware and then asked everyone to introduce themselves. (See [Appendix B](#) for session participant sign-in information). He also conducted a brief overview of the DSC facility to include administrative and security requirements.

The next activity was the first in a series of exercises designed to enable the combined group to reach consensus of a single set of RM component activities and definitions from the results of the two earlier requirements development sessions. The combined team used a summary table developed prior to the session to systematically vote on each grouping.

Group 1 Results	Group 2 Results
Declare Record	Create Record
Schedule Record	Schedule Record
Categorize Record	Categorize Record
Retrieve Record Make Record Available Use Record	Search Records
Ensure Authenticity	Ensure Integrity
Maintain Record	Maintain Record
	Manage Access
Transfer Record Destroy Record	Execute Disposition

Table 1 – Group 1 and Group 2 Summary Table

The facilitator had the group review the list of RMSC activities and select, from like activities, the preferred one based on its associated definition. In each like area the team was asked to make a decision that was documented by a groupware vote. This selection was used as a starting point for the team to analyze the list of functional requirements. Four subgroups were formed to associate functional requirements to the activities. The sub groups identified 17 functional requirements. The facilitator had the subgroups report out their results.

Day Two began with an exercise to complete the review of the 17 functional requirements.

Upon completion of the activity the team once again formed into four subgroups to identify the inputs and outputs derived from each of the functional requirements.

The subgroups were also asked to create explanations for the purpose of each of the inputs and outputs. (See [Appendix D](#))

The team then reviewed the definitions for each of the activities and reviewed and finalized the component names.

For the final activity, the team was asked to rank the components from four perspectives:

- 1) Rank order each component in terms of its impact on your agency's ability to more effectively and efficiently implement records management.
- 2) Rank order each component in terms of its impact on your agency's ability to more effectively and efficiently implement business activities other than records management.
- 3) If you are **OMB**, rank order - which one would provide the greatest return on investment –"greatest bang for the buck".
- 4) You have to choose one and only one component, which one would you choose?

See [Appendix E](#) for the results of these votes.

The workshop concluded with a session evaluation (See [Appendix H](#))

Appendix A– Records Management Service Component Project Schedule

January 2005						
Sun	Mon	Tue	Wed	Thur	Fri	Sat
2	3	4	5	6	7	8
Government Group 1	9	10	11	12	13	14
	16	17	18	19	20	21
	23	24	25	26	27	28
	30	31				Government Group 2

February 2005						
		1	2	3	4	5
Government Groups 1 & 2	6	7	8	9	10	11
	13	14	15	16	17	18
	20	21	22	23	24	25
NARA SME Review	27	28				

March 2005						
		1	2	3	4	5
NARA SME Review						
Government Groups 1 & 2	6	7	8	9	10	11
	13	14	15	16	17	18
	20	21	22	23	24	25
Report Published	27	28	29	30	31	Report Published



Appendix B – Combined Workshop Participants

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Appendix C – Workshop Agenda

Wednesday, 9 February 2005

- 8:00 Arrival
- 8:15 AM Introduction
- Administrative
 - Participant sign-in/introductions
 - Session Objectives
- 9:00 Introductory Briefing
- 9:15 Align RMSC Activities
- 10:00 Develop RMSC Activity Definitions
- 11:00 Develop Consolidated List of Functional Requirements Aligned with Revised Activities
- 12:00 PM Working Lunch
- 1:00 Continue to Develop Consolidated List of Functional Requirements
- 3:50 Session Wrap up
- 4:00 Session Adjourns

Thursday, February 10, 2005

- 8:00 AM Arrival
- 8:15 Review Previous Day Activities
- 8:30 Developed Narrative Flow of Inputs and Outputs
- 12:00 PM Working Lunch
- 1:00 Prioritize Consolidated RMSC Activity List



- 2:30 Address Additional Issues
- 3:30 Next Steps
- 3:45 Session Wrap up
- 4:00 Session Adjourns

Appendix D - RMSC Functional Requirements Input and Outputs

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The table below summarizes a consensus of the combined group participants as regards identification of RMSC inputs and outputs, including additional notes provided by the participants.

RMSC	Functional Requirement	Input(s)	Output(s)	Notes
Initiate Record	The Initiate Records Component shall provide the capability to assign Record Descriptor Attributes in a consistent format to the Incoming Record creating an Initially Described Record.	Incoming Record	Initially Described Record	Associated Record Descriptor Attributes must, at a minimum, include the following: source of record (submitter human or automated), time stamp of entry into the Create Record Component, native format marker, verification of completeness (yes/no), and security classification and/or sensitivity i.e., classified document, sensitive but unclassified (SBU), etc.
Schedule Record	The Schedule Record Component shall provide the capability to accept a Categorized Record and, using an Approved Record Schedule, populate schedule attributes for the record, producing a Scheduled Record.	Categorized Record Approved Record Schedule	Scheduled Record	Schedule attributes may include e.g. schedule number, schedule item number, disposition act, disposition date, review date, name of scheduler, and date of scheduling. These attributes are necessary to initialize/ identify/control the record.

RMSC	Functional Requirement	Input(s)	Output(s)	Notes
Categorize Record	The Categorize Record Component shall provide the capability to allow authorized users (individuals, organizations, or applications) to categorize or re-categorize a Selected Record to provide a Categorized or Re-categorized Record.	Selected Record	Categorized or Re-categorized Record	Allows manual selecting of the category, by authorized users. Needs access to the Manage Access attributes. Results in a populated, categorized record with associated attributes.
Categorize Record (continued)	The Categorize Record Component shall provide the capability to apply the Authorized Categorization Schema to an Uncategorized Record to produce an attributed Categorized or Re-categorized Record.	Uncategorized Record Authorized Categorization Schema	Categorized or Re-categorized Record	The component provides the ability to automatically apply a schema to perform the categorization. A pool of agency-approved record categories is needed. The output will have added categorization attributes to include category, name of categorizer, and categorization date.
Categorize Record (continued)	The Categorize Record Component shall provide the capability to apply the related Business Rules to an Uncategorized Record to produce an attributed Categorized or Re-categorized Record.	Uncategorized Record Business Rules	Categorized or Re-categorized Record	The component provides the ability to automatically apply a business rule (s) to perform the categorization. Categorization attributes include category, name of categorizer, and categorization date.

RMSC	Functional Requirement	Input(s)	Output(s)	Notes
Search Record	The Search Record Component shall provide the capability to accept a User Query, apply the query criteria to the universe of available records, producing a Matching Records List.	User Query	Matching Records List.	<p>The search tool may use Manage Access attributes to limit access in whole or in part to the list of matching records, either prior to search execution or afterward.</p> <p>This is, or may be prior to the execution of the Retrieve Records Component's use of the Manage Access attributes.</p> <p>The search tool may use the Manage Access attributes to limit the records that can be searched, such as exempting categories of records from search criteria, or produce an expurgated list of matching records, with some or all record descriptor information deleted. (e.g., user can know of records existence but not subject or author).</p> <p>User Query may stipulate specific criteria any of the following: all attributes associated with a record; contents of the record; all attributes set by the Categorized Record component; all attributes set by the Schedule Record Component.</p>

RMSC	Functional Requirement	Input(s)	Output(s)	Notes
Search Record (continued)				<p>The output list of matching records must provide a header with the search criteria stated and a standard record descriptor for each item in the list (e.g., author, title/subject, and date). And, if applicable, the record content search text in context.</p>
Retrieve Record	<p>The Retrieve Record Component shall provide the capability to use the results of the Search Record Component and make Selected Record(s) and their associated attributes available for viewing, printing, or saving a copy.</p>	Matching Records List	Selected Record(s)	<p>The Retrieve Record Component shall use the Manage Access attributes to further limit access to records (R/W/A) beyond that granted by the Search Records Component and List Tool.</p> <p>A user may be permitted to know the existence of a record, but not read it). The output must display the matching records in their entirety and the associated attributes. This means that this component must be able to present the records regardless of their native format and allow for printing and permissible editing, if necessary.</p>

RMSC	Functional Requirement	Input(s)	Output(s)	Notes
Ensure Integrity	The Ensure Integrity Component shall assign an integrity attribute to a Record to produce an Authenticity Indicator.	Record	Authenticity Indicator	<p>This process ensures the integrity attributes are applied at the time of creation and after all subsequent activities.</p> <p>Ensures the integrity to incoming record, new or modified. Applies the component attributes to each activity. The authenticity indicator, for example could be a yes or no, not authorized message.</p> <p>A verified record includes appropriately modified or unmodified verified record attributes.</p>
Ensure Integrity (continued)	The Ensure Integrity Component shall provide the capability to match a current authenticity indicator to a Previous Authenticity Indicator producing a Verified Authenticity Indicator.	Previous Authenticity Indicator	Verified Authenticity Indicator	

RMSC	Functional Requirement	Input(s)	Output(s)	Notes
Maintain Record	The Maintain Record Component shall provide the capability to associate an Existing Record used in creating a new record producing a populated record association attribute associating the Existing Record used to the New Record	Existing Record	New Record	The newly created record with association link to the existing record and the location of any related items, i.e.-tapes, paper files, etc.
Manage Access	The Manage Access Component shall provide the capability to use the Manage Access Tool to determine the Approval, Disapproval or Partial Approval of the Request for Access.	Request for Access Manage Access Tool	Approval, Disapproval, or Partial Approval	<p>The request for access is required to determine whether the requesting individual has the requisite permissions to (1) view a list of available requested documents/ information; and/or, (2) view the requested document/ information itself, in whole or in part.</p> <p>Access rights and permission lists - a list of individuals identifying their clearance and area of responsibility (to determine their need to know) for viewing: (1) a list of available documents responsive to the request; and/or (2) the responsive documents themselves, either in whole or in part.</p>

RMSC	Functional Requirement	Input(s)	Output(s)	Notes
Manage Access (continued)				<p>Information is intended to mean the record itself, as well as selected attributes about the record. For example the approval to search may provide some users access to all attributes, to include full subject, releaser, and addressee, or only partial access, such a limited search output that a responsive record exists from the Office of the General Council or Security manager within a date range, but nothing more.</p> <p>The activity is evaluating the search criteria and access rights list with the relevant records. The output is approval, disapproval or partial approval of the requester's access.</p> <p>The request to search may be granted in full or in part. For example, a system user may have a need to look for information in all categories, but may not be permitted actual access, to such documents as those relating to a personnel file. It's sufficient to know there is a personnel file or an item of info in a personnel file.</p>



RMSC	Functional Requirement	Input(s)	Output(s)	Notes
Manage Access (continued)				<p>The requester must then seek approval from the controlling office for additional info. This may occur in a FOIA search. Another partial approval could be a manager's access to complete personnel records but only for people they supervise. Another example of limited access to selected attributes in a search or retrieval request involves the file of executive privacy communications from the agency head.</p> <p>The researcher ought to know that there exists a responsive record, such as a memo from the Secretary to POTUS related to the requester's project. Actual access, even to the subject, is a separate determination to be made by the controlling office such as the EXEC SEC or Special Assistant.</p> <p>Another limitation might be procurement files with proprietary information. The authorized searcher may obtain a file on procurement, but not those items denied to them.</p>



RMSC	Functional Requirement	Input(s)	Output(s)	Notes
Manage Access (continued)				<p>This occurs when a "Chinese Wall" agreement is enacted between people within an organization who must maintain independence to prevent conflict of interest.</p> <p>Another example is a file that contains restricted information, such as LEA Sensitive, or other agency restrictions (State Dept NODIS/EXDIS) or NSC limitations. The requester might be granted access to the file but not those documents with special restrictions.</p>

RMSC	Functional Requirement	Input(s)	Output(s)	Notes
Execute Disposition	The Execute Disposition Component shall provide the capability to take the Record from a designated location and owner to another owner and location that produces the exact Released Record.	Record	Released Record	<p>The incoming requires the disposition schedule attribute created during the "Schedule Record" component. And, in addition to the location and other attributes of the selected record. We need the input to find the record and to modify the attributes to demonstrate through the records remaining associated attributes that the record was disposed.</p> <p>The output is a released record for disposition with the associated attributes. The released record attribute(s) showing the date of the transfer and authority for transfer. (Authority is assumed to include approved schedule authority, transfer document (e.g. SF 258), and authoritative person initiating the transfer.</p>



RMSC	Functional Requirement	Input(s)	Output(s)	Notes
Execute Disposition (continued)	The Execute Disposition Component shall provide the capability to make a Scheduled Record available for destruction by ensuring the identified Destroyed Record is no longer available in the system and that information (date) about the destruction is made available as evidence of the destruction in an Agency Record Destruction Tool and produce a Destruction Record.	Scheduled Record Agency Record Destruction Tool	Destruction Record Destroyed Record	<p>The component must remove the record from the controls of all other components in preparation for destruction. It must provide a record the details of the removal such as the authority and records official performing the destruction.</p> <p>Actual destruction is a different function, especially if the record material is a physical object (map, architectural model, bound book, tape, etc) stored in another location.</p> <p>Suggest considering passing a variable from a record that is approved for destruction to associated linked documents to indicate that the link has been broken.</p>



RMSC	Functional Requirement	Input(s)	Output(s)	Notes
Execute Disposition (continued)	The Execute Disposition Component will populate the Suspend Disposition Attribute to a Scheduled Record when a Suspend Disposition Intervention Record occurs.	Scheduled Record	Suspend Disposition Intervention Record	<p>Suspend Disposition Order - an order from the Court directing an agency(s) to suspend all pending destruction/transfers schedules pending further notification.</p> <p>Specified record disposition to be suspended. Need to identify the record to suspend.</p> <p>Suspension Authority needs to be noted in the record attributes. Suspended record information needs to be included in the record attributes. Freeze disposition attribute(s) on the document object - to include attributes indicating an active freeze, the date of the freeze, and associated freeze authority. Suspended record attributes are modified to reflect the suspended disposition.</p>

RMSC	Functional Requirement	Input(s)	Output(s)	Notes
Execute Disposition (continued)	The Execute Disposition Component will provide the capability to return a Scheduled Record when the Suspend Disposition Attribute is not populated	Scheduled Record	Unsuspected Scheduled Record	Order to Rescind Suspension Order - an order from the Court directing an agency(s) to rescind suspension order on all pending records slated for destruction/transfer. Suspend freeze disposition attribute(s) on the document object - to include attributes indicating the freeze has been suspended, the date of the freeze suspension, and associated suspension authority.
Execute Disposition (continued)	The Execute Disposition Component will take a Scheduled Record approved for destruction and produce a Destroyed Record.	Scheduled Record	Destroyed Record	Destruction of record in accordance with initial, or rescheduled, Schedule for disposition, save for an active freeze order to be determined by the existence of an active freeze record attribute, as conveyed through the OK for destruction attribute.
Execute Disposition (continued)	The Execute Disposition Component will take a Scheduled Record approved for transfer and produce a Transferred Record.	Scheduled Record	Transferred Record	Output includes the record to be transferred and attributes of the record. Also required is a record of the transfer to include the authority, the responsible official (or component) and attributes of the transfer such as date, time, and system.

Appendix E – RMSC Activity Votes

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During the workshop there were four rank ordering votes asked of the participants using the groupware prioritization tool.

The first exercise asked the participants to rank order each component in terms of its impact on your agency’s ability to more effectively and efficiently implement records management.

Results of that exercise are shown below.

Vote Results

1. Search Record
2. Initiate Record
3. Schedule Record
4. Retrieve Record
5. Ensure Integrity
6. Categorize Record
7. Manage Access
8. Execute Disposition
9. Maintain Record

Vote Statistics

	1	2	3	4	5	6	7	8	9	Mean	STD	n
1. Search Record	4	1	2	1	2	2	0	1	0	3.54	2.33	13
2. Initiate Record	4	2	0	1	2	2	0	0	2	4.00	2.94	13
3. Schedule Record	2	3	1	1	1	1	2	1	1	4.38	2.79	13
4. Retrieve Record	0	4	1	1	2	2	3	0	0	4.46	2.07	13
5. Ensure Integrity	0	0	5	2	0	2	1	3	0	5.08	2.14	13
6. Categorize Record	1	1	3	2	0	0	1	4	1	5.23	2.80	13
7. Manage Access	0	1	0	3	2	2	3	1	1	5.69	1.93	13
8. Execute Disposition	1	1	0	0	3	2	3	0	3	6.00	2.48	13
9. Maintain Record	1	0	1	2	1	0	0	3	5	6.62	2.81	13

The second vote asked the participants to rank order each component in terms of its impact on their agency’s ability to more effectively and efficiently implement business activities other than records management. (Examples provided: Destroy component can be used to destroy documents not just records. Transfer component could be used to move an object from one environment to another not just from the agency to archival environment)

The results of that exercise follows:

Vote Results

1. Search Record
2. Retrieve Record
3. Ensure Integrity
4. Manage Access
5. Categorize Record
6. Execute Disposition
7. Initiate Record
8. Schedule Record
9. Maintain Record

Vote Statistics

	1	2	3	4	5	6	7	8	9	Mean	STD	n
1. Search Record	9	2	1	0	0	1	0	0	0	1.69	1.44	13
2. Retrieve Record	0	8	2	1	0	0	1	0	1	3.23	2.24	13
3. Ensure Integrity	2	0	5	3	0	2	0	0	1	3.85	2.15	13
4. Manage Access	0	1	0	2	5	2	3	0	0	5.23	1.42	13
5. Categorize Record	0	1	1	2	4	2	0	0	3	5.54	2.26	13
6. Execute Disposition	1	1	1	2	1	2	1	1	3	5.62	2.72	13
7. Initiate Record	0	0	2	2	1	1	4	0	3	6.15	2.19	13
8. Schedule Record	0	0	1	1	1	1	2	6	1	6.85	1.82	13
9. Maintain Record	1	0	0	0	1	2	2	6	1	6.85	2.08	13

The third vote asked the participants to answer the question: “If you are OMB, rank order - which one would provide the ‘greatest bang for the buck’ (greatest return on investment).”

The results of that exercise follows:

Vote Results

1. Search Record
2. Retrieve Record
3. Ensure Integrity
4. Schedule Record
5. Execute Disposition
6. Manage Access
7. Categorize Record
8. Initiate Record
9. Maintain Record

Vote Statistics

	1	2	3	4	5	6	7	8	9	Mean	STD	n
1. Search Record	4	3	2	0	1	2	1	0	0	3.08	2.18	13
2. Retrieve Record	0	4	2	3	0	2	2	0	0	4.00	1.91	13
3. Ensure Integrity	2	1	3	3	1	0	1	1	1	4.15	2.51	13
4. Schedule Record	2	1	1	2	1	1	3	2	0	4.85	2.54	13
5. Execute Disposition	1	0	2	2	3	3	0	0	2	5.08	2.25	13
6. Manage Access	1	0	1	1	4	2	2	1	1	5.46	2.11	13
7. Categorize Record	2	1	1	1	2	0	0	2	4	5.62	3.20	13
8. Initiate Record	0	2	1	1	1	0	3	3	2	6.08	2.56	13
9. Maintain Record	1	1	0	0	0	3	1	4	3	6.69	2.56	13

The last vote asked the participants to answer the question: “You have to choose one and only one component, which one would you choose?”

The results of that exercise follows:

Vote Results

Number of Voters that Chose that Component	RMSC Components
2	1. Search Record
2	2. Retrieve Record
1	3. Initiate Record
1	4. Schedule Record
1	5. Ensure Integrity
1	6. Maintain Record
1	7. Manage Access
1	8. Execute Disposition
0	9. Categorize Record



Appendix F – 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



Appendix G – Acronyms

DRC	Dynamics Research Corporation
DSC	Decision Support Center
FOIA	Freedom of Information Act
NARA	National Archives and Records Administration
OMB	Office of Management and Budget
RM	Records Management
RMSC	Records Management Service Components

Appendix H – Session Evaluation Highlights

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1. What Went Well?

- Pace much better on day two.
- Kevin was of great support.
- It was very helpful to have access to NARA perspectives throughout the conceptual discussions.
- Everything went well. Moved along quickly. Group loosened up and bonded more than in previous sessions.
- Leaders kept an appropriate pace of discussion
- The process was incredibly productive, and the facilitators were most effective.
- Allowed valuable networking and cross-talk between agencies to do other business.
- We had a successful final day thanks to vigorous pacing from the facilitator.
- The complete Session II was very enriching on providing components for Records Management.
- Kevin Tiernan was very helpful providing information about NARA's role.
- The group ware is wonderful!
- Session structure is most helpful to pace and staying on track
- The facilitation was effective
- The overall approach to this effort is adequate and effective
- The entire session was well run and actually came up with a work product. Kevin Tiernan was a wonderful resource for this session. I'm surprised how effective this activity has been. I learned a lot from my colleagues.
- Additionally, the caliber of participants, and their associated expertise, was exceptionally impressive.
- The management of the meeting and the technology - voting machines - great idea - made the meeting more efficient. NARA advisers very helpful.

2. What Needs To Be Improved?

- This was a senior (old) group and it was sometimes hard to read block text on screen. One liners were fine.
- It's hard for people to stay focused on exactly what the goal of each exercise is due to our innate records management knowledge.
- More time in small group discussions and less time in large group discussions
- Nothing.
- Day 1 of this session was awkward with having to back-track and bring previously uninvolved people up to speed. Too many didn't understand what happened. It was disruptive.
- No complaints.
- Too warm!!
- Some instruction was unclear or contradictory.

- The presentation was excellent. No need for improvement.
- Enjoyed Daryll, Kevin, and Dynamic Research presenters.
- Only temperature control. Nothing else could be improved in my estimation.
- We recognize the need to limit scope of the project. However, we [some] all had concerns and significant problems with capturing data/info into the record system. Creating and declaring documents or files or e-mail as records remains a serious problem. If we don't fix it, we'll manage only a partial set of the data in the RMSC..

3. Other Comments

- Kevin Tiernan had helpful input.
- Very good meeting.
- Focused and fun - but also tiring.
- I think we produced good products.
- Kevin Tiernan was very helpful!
- Facility was functional - but sterile.
- Very Productive.
- Good support from NARA (Ken and Kevin)
- Good facility
- Too warm!
- Thanks for lunch
- Workshop was excellent.
- Daryll Prescott's intensity and enthusiasm was contagious.
- Declassification and FOIA is a subset we didn't address, but it remains a critical part of the critical function of making government transparent and putting information out to the public. It needs attention.
- While his expertise is beyond reproach, Darryll is most thought provoking, albeit quite a character. Additionally, Ken and Kevin's presence was most beneficial in they provided most helpful input.