

Test Module10.1

Management of Physical (Non-electronic) Files and Records

Test Data Repository

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INTRODUCTION

The Test Data Repository is organized in several sub-chapters – one corresponding (Sub) Test Data Repository for each test module. This reduces complexity and guarantees higher readability and comprehensibility for the user.

Each of these documents has the same general structuring:

- ◆ **Agents & Access Controls:** This sub-chapter gives details about user profiles, user roles and user groups. Furthermore it will be explained which user roles have access permission to functions, aggregations and records. In addition we explain which user groups have access permission to aggregations and records.
- ◆ **Classification Scheme(s):** This sub-chapter includes all Classification Scheme(s) that are used within the corresponding sub-chapter of the test module. It lists information of the metadata of the classification scheme itself and of all aggregations and records within it.
- ◆ **Record types:** This sub-chapter gives detailed information about the records used.
- ◆ **Retention and Disposition Schedules:** This sub-chapter gives detailed information about the retention and disposition schedules used.
- ◆ **Content of captured records:** This sub-chapter gives detailed information about the content of the items that are captured as records. As these items are described before they are captured into the ERMS, no metadata elements can be used for the description.

To increase the usability of the Test Data Repository we marked the information in different colours. The blue coloured content represents the situation before test cases are executed (precondition). The red coloured content represents the situation after the test cases are executed (test result). Both situations are highlighted as far as possible. In some cases we used brackets (e.g. []) to highlight which entity is being affected by the test execution. Examples:

Example	Explanation
Class Corporate Direction	The item is a precondition for the test case. It has to be created before executing the test cases of the sub-chapters.
Class Corporate Direction	The item will be created within a test case.



[Class] [Corporate Direction]	The item will be deleted, reclassified, relocated when the test cases of the sub chapter are being executed.
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The metadata model requires metadata elements such as M163 *Identity.system_identifier* which are "populated" by the system when an agent is defined. We just use the values of these elements to have an internal linkage between our test data. These values do not have to match the existing values in the ERMS.

ON CHAPTER T10.1 - MANAGEMENT OF PHYSICAL (NON-ELECTRONIC) FILES AND RECORDS

1.1 Agents & Access Controls

Within this chapter we summarise all agents and access controls that are needed for testing. The first sub-chapter, as far as possible, provides an insight into the profiles of the agents (users, user roles and user groups) used. The second sub-chapter summarises the access controls for agents to entities (entity/agent) and for agents to functions.

1.1.1 Agents (Users, User Groups and User Roles)

The following tables show the metadata of agents (Users, User Groups and User Roles).

1.1.1.1 Users

Following users need to be created or will be created during test execution:

M163	M167	M189	M171	M166	M165	M169	M170
Identity.system_identifier	Description.title	Description.email.address	Relation.entity_agent	Relation.has_role	Relation.is_member_of	Use.administrator	Use.inactive
<U01>	CA_username			<R01>	<G01>	YES	<Active>
<U02>	MM_username1			<R02>	<G02>	NO	<Active>
<U03>	IT_username1			<R03>	<G03>	NO	<Active>

1.1.1.2 User Roles

Following roles need to be created or will be created during test execution:

M163	M167	M168	M171	Remarks and comments
Identity.system_identifier	Description.title	Relation.has_user	Relation.entity_agent	
<R01>	CentralAdministrator	<U01>		
<R02>	MarketingManagement	<U02>		

M163	M167	M168	M171	Remarks and comments
Identity.system_identifier	Description.title	Relation.has_user	Relation.entity_agent	
<R03>	ITManagement	<U03>	<EA01>	

1.1.1.3 User Groups

The values to be used for testing are arbitrary.

1.1.2 Access controls

The following tables show the Entity/Agent relation and the access of agents to functions.

1.1.2.1 Entity/Agents

Following Entity/Agents describe which agent has no access to an entity of the classification scheme.

M175	M177	M176	M180	M181	M179
Identity.system_identifier	Relation.applies_to_agent	Relation.applies_to_entity	Use.rights.permission	Use.rights.end_date	Use.rights.start_date
<EA01>	<R03>	<CS02/001>	NO		

1.1.2.2 Access permissions of user roles to functions

Please note that the access permissions of a user role to the corresponding ERMS function is indicated by 'X'. If a user role has no access permissions to a function the corresponding cell is grey.

Following roles have access to the ERMS' functions:

	<R01>	<R02>	<R03>
Function	CentralAdministrator	MarketingManagement	InformationTechnology
Add new classes	X		
Create new files	X	X	X
Change file metadata	X		
Maintain classification scheme and files	X		
Delete files	X		
Capture records	X	X	X
Relocate a record to a different file	X	X	X
Search for and read records	X	X	X
Change content of records			
Change record metadata	X		
Delete records	X		
Place and remove disposal holds	X		
Retention and disposition schedule and disposition transactions	X		
Export and import files and records	X		
View audit trails	X		
Configure and manage audit trail	X		
Change audit trail data			
Move audit trail data to off-line storage media	X		
Perform all transactions related to users and their access privileges	X		
Allocate access controls to local administrator	X		



	<R01>	<R02>	<R03>
Function	CentralAdministrator	MarketingManagement	InformationTechnology
Allocate own access controls also to other users	X	X	
Maintain database and storage	X		
Maintain other system parameters	X		
Define and view other system reports	X		
Change due to return date of physical entities	X	X	



1.2 Classification Scheme(s)

This section includes all classification scheme(s) which are used within the test cases of the corresponding test module. First of all you will find the metadata for the classification scheme itself.

The next chapter(s) describe(s) the metadata of the aggregations and records defined in the classification scheme(s).

Please note that:

- ◆ it is possible that more than one classification scheme is defined. Therefore the fully-qualified classification code contains a prefix that uniquely identifies an entity across different classification schemes. Example: A class has the fully-qualified classification code <CS01/001>. This means that prefix CS01 indicates the classification scheme as specified above (M044)
- ◆ we only take metadata into account which are needed for testing. A full approach is not intended here.

M044	M045	M046
Identity.system_identifier	Description.title	Description.abstract.description*
<CS01>	TestClassificationScheme1	
<CS02>	TestClassificationScheme2	

* Optional

1.2.1 TestClassificationScheme1 – metadata of aggregations and records

M012		M003	M084	M002	M070	M122	M086	M123	M093	M094	M095	M096	M097	M098
Description.classification.fully_qualified_classification_code	Type	Title	Use.status.pyhsical	Relation.agent.owner	Description.external_identifier.internal_reference	Description.place.home_location	Description.place.current_location	Relation.agent.custodian	Event.history.date.check_in	Event.history.date.check_out	Event.History.date.moved.from_location	Event.history.date.Received_at_location	Relation.agent.movement	Event.plan.date.return
<CS01/001>	Class	Product policies	No	<owner >										

M012		M003	M084	M002	M070	M122	M086	M123	M093	M094	M095	M096	M097	M098
Description. classification. fully_qualified_classification_code	Type	Title	Use. status. pyhsical	Relation. agent. owner	Description. external_identifier. internal_reference	Description .place. home_location	Description. place. current_location	Relation. agent. custodian	Event_history. date. check_in	Event_history. date. check_out	Event_History. date. moved. from_location	Event_history. date. Received_at_location	Relation. agent. movement	Event _plan. date. return
<CS01/001/001>	Class	Innovation Policy 1	Yes	<owner >		Room 102, filing cabinet 2	<Current_location>	<custodian>	<date>	<date>	<date>	<date>	<user>	<date >
<CS01/001/001/001>	File	Study1	Yes	Dick Smith		Room 102, filing cabinet 2, drawer 1	<Current_location>	<custodian>	<date>	<date>	<date>	<date>	<user>	<date >
<CS01/001/001/001/001>	Sub-File	Policies	Yes			Room 102, filing cabinet 2, drawer 1, division 1	<Current_location>	<custodian>	<date>	<date>	<date>	<date>	<user>	<date >
<CS01/001/001/001/001/001>	Volume	P1	Yes			Room 102, filing cabinet 2, drawer 1, division 1, file P1	<Current_location>	<new user>	<date>	<date>	<date>	<date>	<user>	<date >
<CS01/001/001/001/001/001>	Record	Policy2	Yes		Document 1	Room 102, filing cabinet 2, drawer 1, division 1, file P1, register Policy2	<Current_location>	<custodian>	<date>	<date>	<date>	<date>	<user>	<date >
<CS01/001/001/001/001/002>	Record	Policy4	No		Document 2									



M012		M003	M084	M002	M070	M122	M086	M123	M093	M094	M095	M096	M097	M098
Description. classification. fully_qualified_classification_code	Type	Title	Use. status. pyhsical	Relation. agent. owner	Description. external_identifier. internal_reference	Description .place. home_location	Description. place. current_location	Relation. agent. custodian	Event_history. date. check_in	Event_history. date. check_out	Event_History. date. moved. from_location	Event_history. date. Received_at_location	Relation. agent. movement	Event _plan. date. return
<CS01/002>	Class	Production policies	No											
<CS01/002/001>	File	Policy Development	Yes			Room 101, filing cabinet 2, drawer 1, division 1, file Policy Development								
<CS01/003>	Class	Marketing Policy	No											
<CS01/003/001>	Class	Innovation Policy 2	Yes			Room 103, filing cabinet 2								
<CS01/003/001/001>	File	Study2	Yes			Room 103, filing cabinet 2, drawer 1								
<CS01/003/001/001/001>	Sub-File	Policies 2	Yes			Room 103, filing cabinet 2, drawer 1, division 1								
<CS01/003/001/001/001/001>	Volume	P2	Yes			Room 103, filing cabinet 2, drawer 1,								

M012		M003	M084	M092	M122	M002	M172
Description. classification. fully_qualified_ classification_code	Type	Title	Use.status. physical	Use.technical_ environment. format	Description.place. home_location	Relation.agent. owner	Relation. entity_agent
					cabinet 5, drawer 3		
<CS02/002/001/001>	Record	Record3	No				
<CS02/002/001/002>	Record	[Record4]	Yes				
<CS02/002/002>	File	Workforce Planning	No			Miller	
<CS02/002/002/001>	Sub-file	2006	Yes	drawer		Miller	
<CS02/002/002/001/001>	Record	Record5	No				
<CS02/002/002/001/002>	Record	Record6	Yes				
<CS02/002/002/002>	Sub-file	2007	No			Miller	
<CS02/002/002/002/001>	Volume	1 st quarter	Yes	File		Miller	
<CS02/002/002/002/001/001>	Record	Record7	No				
<CS02/002/002/002/001/002>	Record	Record8	Yes				
<CS02/002/002/002/002>	Volume	2 nd quarter	No			Miller	

1.3 Record Types

This section describes the content of records and the record types used.
 The values to be used for testing are arbitrary.

1.4 Retention and Disposition Schedules

M008	M024	M014	M013	M052	M133	M015	M030
Identity.system_identifier.reten tion_and_disposition_ schedule	Description. title*	Event_plan.event_ty pe.disposition_action	Event_plan.period*	Event_plan.event_trigger	Use.status.in heritance	Reason	Description. Mandate*
<RDS_a01>	Rds_Test1 a	Present for review	One week	Opening of a class	yes	Test1	

* Optional

1.5 Content of Captured Records

The following tables list all components, documents, document sets, fax and e-mails that are used within the test cases.
 Please note that the table(s) summarise(s) just the metadata elements which are necessary for testing.

1.5.1.1 Documents

Reference Identifier	Title	Format	Version	Highlighted content	Comment
<D01>	Document1	Paper			<i>Any content</i>
<D02>	Document2	Doc			<i>Any content</i>