**National Archives and Records Administration (NARA)**

**Electronic Records Archives (ERA)**

**Records Schedule Updates Test Plan and Procedure - Base**

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**Change History**

Table : Test Procedure Change History

|  |  |  |
| --- | --- | --- |
| **Change Contact** | **Date** | **Summary of Change** |
| Lida Blake | January 3, 2011 | Initial Draft |
| Lida Blake | March 16, 2011 | Updates following Peer Review |
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**Preface**

This document was prepared by Lockheed Martin Corporation for the National Archives and Records Administration (NARA) Electronic Records Archives Program Office per the Electronic Records Archives (ERA) contract number NAMA-04-C-0007. It conforms to Data Item Description (DID) specified in the Lockheed Martin Proposal.

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# ERA0152-01 Records Schedule

## Test Procedure Description

A Records Schedule (RS) is a type of Disposition Agreement developed by a Federal agency or NARA Records Scheduler on behalf of the Federal Agency and accepted by NARA. A Records Schedule describes Federal Records, establishes a period for their retention by the agency, and provides mandatory instructions for what to do with Federal Records that are no longer needed for current Government business. It is a negotiated Schedule between NARA and a scheduling entity.

The Records Schedule may contain multiple Records Schedule Items. Each Records Schedule Item addresses a definable set of Records and the timetable for the retention and ultimately transfer to the National Archives or destruction of the Records. Records Schedules in ERA provides the capability for Records Schedulers to manage the disposition of Records.

A Transfer Plan will be created for each permanent Records Schedule Item upon final Approval of a Records Schedule.

## Test Items

These test items address the functionality associated with Records Schedule:

1. Verify the ability to create a Records Schedule from blank.
2. Verify the ability to create a Records Schedule from an existing Records Schedule.
3. Verify that the system enforces permissions for creating Records Schedules.
4. Verify that the system enforces the population of required data elements for a Records Schedule.
5. Verify the ability to enter required data elements when creating a Records Schedule.
6. Verify the ability to enter optional data elements when creating a Records Schedule.
7. Verify the ability to search for a Records Schedule without selecting any search criteria.
8. Verify the ability to search for a Records Schedule by selecting search criteria.
9. Verify the ability to view a Records Schedule.
10. Verify the ability to modify a Records Schedule.
11. Verify the ability to delete a Records Schedule.
12. Verify the ability to create a Records Schedule Item.
13. Verify the ability to view a Records Schedule Item.
14. Verify the ability to modify a Records Schedule Item.
15. Verify the ability to re-order/move a Records Schedule Item.
16. Verify the ability to delete a Records Schedule Item.
17. Verify the ability to change the status of a Records Schedule Item.
18. Verify the ability to search for a Records Schedule Item without selecting any search criteria.
19. Verify the ability to search for a Records Schedule Item by selecting search criteria.
20. Verify the ability to add a Records Schedule Item Overview.
21. Verify the ability to view a Records Schedule Item Overview.
22. Verify the ability to modify a Records Schedule Item Overview.
23. Verify the ability to re-order/move a Records Schedule Item Overview.
24. Verify the ability to delete a Records Schedule Item Overview.
25. Verify that the system retains the hierarchical relationship between Records Schedule Item Overviews and Records Schedule Items.
26. Verify the ability to rearrange Records Schedule Items within Records Schedule Item Overviews.
27. Verify the ability to move Records Schedule Items from one Records Schedule Item Overview to another.
28. Verify the ability to rearrange Records Schedule Item Overviews.
29. Verify that the system deletes Records Schedule Items associated with a deleted Records Schedule.
30. Verify that the system deletes Records Schedule Items associated with a deleted Records Schedule Item Overview.
31. Verify that the system changes the status of Records Schedule Items.
32. Verify the ability to Submit for Certification a Records Schedule.
33. Verify the ability to Return with No Changes a Records Schedule.
34. Verify the ability to Return to Submitter a Records Schedule.
35. Verify the ability to Certify a Records Schedule.
36. Verify the ability to Reject a Records Schedule.
37. Verify the ability to Submit for Concurrence a Records Schedule.
38. Verify the ability to Return Without Action a Records Schedule.
39. Verify the ability to Return for Revision a Records Schedule.
40. Verify the ability to Retrieve Schedule Returned for Revision a Records Schedule.
41. Verify the ability to Concur a Records Schedule.
42. Verify the ability to Approve a Records Schedule.
43. Verify the ability to Modify an Approved Records Schedule.
44. Verify the ability to view attachments of a Records Schedule.
45. Verify the ability to add attachments to a Records Schedule.
46. Verify the ability to delete attachments from a Records Schedule.
47. Verify that the system delivers notifications to the appropriate users upon approval and/or return of a Records Schedule.
48. Verify that the system assigns tasks to the appropriate users throughout the Records Schedule approval and/or return process.
49. Verify that the system creates a Transfer Plan for each appropriate Records Schedule Item.
50. Verify that the system provides the results of field level validation to the user.
51. Verify that the system validates all completed fields against the Records Schedule schema (including Records Schedule Items) prior to submission for approval.
52. Verify that the system maintains event information for Records Schedule events.
53. Verify that the system transitions between states of a Records Schedule.
54. Verify the ability to perform Business Rules activities pertaining to Records Schedule.
55. Verify the ability to perform Exception Path testing pertaining to Records Schedule.

## Test Flow

The Test Flow begins with the creation of Records Schedules (from blank and existing) by the Records Schedulers (Agency and NARA). The approval process is then tested by the following:

* The Records Scheduler will submit the Records Schedule for Certification.
* The Certifying Official will modify the Records Schedule and then submit it as Proposed.
* The Records Appraiser will modify the Records Schedule and submit it as Appraiser Reviewed.
* The Appraiser Manager 1 will modify the Records Schedule and submit it as Appraiser Manager 1 Concurred.
* The Appraiser Manager 2 will modify the Records Schedule and submit it as Appraiser Manager 2 Concurred.
* The Archivist of the United States or Designee will modify the Records Schedule and submit it as Approved.
* The permissions, tasks, notifications, state changes, and data retention will be tested throughout the test steps.
* The creation, modification, reordering, and statusing of Records Schedule Items and Records Schedule Item Overviews in a hierarchy will be tested.

Deleting Records Schedules will then be tested by Records Schedulers (Agency and NARA) deleting new Records Schedules in Draft state and by a Certifying Official in Submitted for Certification state. Records Schedule Item Overviews will be deleted by a Certifying Official which will demonstrate that the corresponding Records Schedule Item is deleted. A new Records Schedule Item will be added to the Records Schedule and then deleted demonstrating that an item can be deleted.

The Human Readable ID is based upon the fiscal year. The Records Scheduler will create and submit a Records Schedule to capture the Human Readable ID. The System Administrator will then change the system date to reflect the “next” fiscal year. The Records Scheduler will create and submit a Records Schedule to capture the Human Readable ID and verify that the fiscal year has changed in the ID.

Searching will be conducted by all users with permission to search for Records Schedules in each state by searching for all and by using search criteria. The same will apply to searching for Records Schedule Items. The Records Schedules will then be viewed and modified by those users with permissions to do so.

Records Schedules will be “Return to Submitter” by users with permissions to return the Records Schedule, and verify that the proper Notifications and Tasks are generated by the system. The Records Schedules will also be “Returned without Action” by Records Appraisers.

The Records Appraiser will “Return for Revision” Records Schedules to the Records Scheduler (Agency) and Certifying Official. The Records Schedules will be modified and again be Submitted for Certification. Other “Return for Revision” Records Schedules will be “Return with no Changes” by the Records Scheduler (Agency) and Certifying Official to the Records Appraiser. The Record Appraiser will also “Retrieve Schedule Returned for Revision” a Records Schedule that had previously been “Return for Revision”.

Modification of an Approved Records Schedule will be tested when the Records Appraiser searches, retrieves, request modification and modifies a Records Schedule.

Error handling/Exception testing will be tested based on the conditions outlined in the SwRS. Certain cases involve stopping the system during test execution at various states. The process of stopping the appropriate software will involve assistance from the System Administrator.

The System Administrator will search for Records Schedules and view the versioning and event information associated with them by navigating to the associated Asset folder.

Finally, Transfer Plan creation will be tested after a Records Schedule is approved that contains a Permanent Records Schedule Item. The Records Processor will then search and retrieve the Transfer Plan.

## Test Configuration

Hardware and Software are configured per OY5 Base Release 5.1.1.

## Prerequisites, Assumptions and Constraints

The following listed Prerequisites, Assumptions and Constraints must be adhered to for successful completion of the Records Schedule test.

1. Prerequisites
   1. The test procedures require all applicable Records Schedule business workflows to be implemented.
   2. The test procedures require all applicable Transfer Plan business workflows to be implemented.
   3. Reference Materials:
      1. Records Schedule SwRS.doc
2. Assumptions
   1. The following roles have been set up and completely functional in the system:
      1. Records Scheduler (NARA)
      2. Records Scheduler (Agency)
      3. Certifying Official
      4. Records Appraiser
      5. Appraiser Manager 1
      6. Appraiser Manager 2
      7. Archivist of the United States or Designee
      8. LMT Member
      9. System Administrator
      10. Records Processor
      11. Transferring Official (NARA)
      12. Transferring Official (Agency)
      13. Transfer Staff
      14. NARA Accessioning Manager
      15. NARA Receiving Manager
      16. Other Agency Users
   2. Records Schedulers (Agency) roles exist where the users belong to multiple Record Groups.
   3. Agency or Establishments with Undifferentiated record groups. (i.e., Agency is the Department of the Navy and the Record Group is NU Navy Undifferentiated).
3. Constraints
   1. None

## Test Data, Tools or Scripts

1. Data
   1. Authority Lists associated with Records Schedules in a final state have been established and are available in the system.
   2. The system will contain Records Schedules in each state as identified in the Records Schedule – Roles/Permissions table of the Data Management SwRS.
2. Tools
   1. Not Applicable.
3. Scripts
   1. Not Applicable.

# Requirements Under Test

The following table contains all B Level requirements that are assigned to the Records Schedule test procedure.

Table : B Level Requirements Under Test

| **B Level Requirement** | **Requirement Description** |
| --- | --- |
| LMB0100.1.1.1.1.1 | The system shall provide the capability to create a new Records Schedule. |
| LMB0100.1.1.1.1.3 | The system shall provide the capability to create a Records Schedule from an existing Records Schedule. |
| LMB0100.1.1.1.1.4 | The system shall pre-populate the data elements of the Records Schedule based on the rules listed in the Records Schedule - Required Data Elements Table of the Data Management SwRS. |
| LMB0100.1.1.1.1.5 | The system shall provide the capability to enter the Records Schedule data elements as listed in the Records Schedule - Required Data Elements table of the Data Management SwRS. |
| LMB0100.1.1.1.1.6 | The system shall provide the capability to enter the Records Schedule data elements as listed in the Records Schedule - Optional Data Elements table of the Data Management SwRS. |
| LMB0100.1.1.1.1.8 | The system shall enforce the permissions for creating a Records Schedule as listed in the Records Schedule - Roles/Permissions Table of the Schedules Data Management SwRS. |
| LMB0100.1.1.1.1.10 | The system shall assign a Human Readable identifier to the Records Schedule as listed in the Records Schedule - Identifier Table of the Data Management SwRS. |
| LMB0100.1.1.1.1.11 | The system shall restart the Records Schedule human-readable identifier's sequential number for each record group-fiscal year pair. |
| LMB0100.1.1.1.1.17 | The system shall assign Human Readable identifiers to the Records Schedule Items as listed in the Records Schedule Items - Identifier Table of the Data Management SwRS. |
| LMB0100.1.1.1.1.18 | The system shall restart the Records Schedule Items human-readable identifier's sequential number for each record group-fiscal year pair. |
| LMB0100.1.1.1.1.21 | The system shall control access to sections of the Records Schedule based on permissions listed in the Records Schedule - User Interface Sections table. |
| LMB0100.1.1.1.1.22 | The system shall provide the capability for a Records Scheduler Agency to create a Records Schedule on behalf of their agency. |
| LMB0100.1.1.1.1.23 | The system shall provide the capability for a Records Scheduler NARA to create a Records Schedule on behalf of an agency. |
| LMB0100.1.1.1.2.1 | The system shall create a Records Schedule Item hierarchy root. |
| LMB0100.1.1.1.2.2 | The system shall provide the capability to add Records Schedule Items to a Records Schedule Item hierarchy. |
| LMB0100.1.1.1.2.3 | The system shall provide the capability to add Records Schedule Item Overviews within a Records Schedule Item hierarchy. |
| LMB0100.1.1.1.2.4 | The system shall require users to associate an Overview with a Records Schedule Item. |
| LMB0100.1.1.1.2.5 | The system shall retain the hierarchical relationship between overviews and Records Schedule Items. |
| LMB0100.1.1.1.3.1 | The system shall provide the capability to view a version of a Records Schedule as listed in the Asset Catalog Entry - Records Schedule Representations table of the Data Management SwRS. |
| LMB0100.1.1.1.3.2 | The system shall enforce the permissions for viewing a Records Schedule as listed in the Records Schedule - Roles / Permissions Table of the Data Management SwRS. |
| LMB0100.1.1.1.4.1 | The system shall provide the capability to view Records Schedule Item hierarchies. |
| LMB0100.1.1.1.4.4 | The system shall enforce the permissions for viewing a Records Schedule Items as listed in the Records Schedule - Roles / Permissions Table of the Data Management SwRS. |
| LMB0100.1.1.1.4.5 | The system shall provide the capability to view Records Schedule Item Overviews within a Records Schedule Item hierarchy. |
| LMB0100.1.1.1.5.1 | The system shall enforce the permissions for modifying a Records Schedule as listed in the Records Schedule - Roles/Permissions table of the Data Management SwRS. |
| LMB0100.1.1.1.5.2 | The system shall provide the capability to modify the Records Schedule data elements as listed in the Records Schedule Required Data Elements table of the Data Management SwRS. |
| LMB0100.1.1.1.5.3 | The system shall provide the capability to modify the Records Schedule data elements as listed in the Records Schedule Optional Data Elements table of the Data Management SwRS. |
| LMB0100.1.1.1.6.1 | The system shall enforce the permissions for modifying Records Schedule Items as listed in the Records Schedule - Roles/Permissions table of the Data Management SwRS. |
| LMB0100.1.1.1.6.2 | The system shall provide the capability to modify Records Schedule Item Overviews. |
| LMB0100.1.1.1.6.4 | The system shall provide the capability to move a Records Schedule Item(s) from one Overview to another Overview. |
| LMB0100.1.1.1.6.5 | The system shall provide the capability to rearrange Records Schedule Items within an Overview. |
| LMB0100.1.1.1.6.6 | The system shall provide the capability to rearrange Records Schedule Item Overviews. |
| LMB0100.1.1.1.6.7 | The system shall provide the capability to move Records Schedule Item(s) without an associated Item Overview to an Item Overview. |
| LMB0100.1.1.1.6.8 | The system shall provide the capability to move a Records Schedule Item from an Overview to the Root. |
| LMB0100.1.1.1.7.1 | The system shall delete the associated Records Schedule Item(s) of a deleted Records Schedule. |
| LMB0100.1.1.1.7.2 | The system shall enforce the permissions for deleting Records Schedules as listed in the Records Schedule - Roles/Permissions table of the Data Management SwRS. |
| LMB0100.1.1.1.8.1 | The system shall enforce the permissions for deleting Records Schedule Items as listed in the Records Schedule - Roles/Permissions table of the Data Management SwRS. |
| LMB0100.1.1.1.8.2 | The system shall provide the capability to delete Records Schedule Item Overviews. |
| LMB0100.1.1.1.8.3 | The system shall remove the associated Records Seclude Item(s) from a deleted Records Schedule Item Overview. |
| LMB0100.1.1.1.13.2 | The system shall enforce the permissions for approving a Records Schedule as listed in the Records Schedule - Roles/Permissions table in the Data Management SwRS. |
| LMB0100.1.1.1.13.6 | The system shall retain the signature of the user that certifies the Record Schedule. |
| LMB0100.1.1.1.13.7 | The system shall retain the title of the user that certifies the Record Schedule. |
| LMB0100.1.1.1.13.8 | The system shall retain Organization of the user that certifies the Records Schedule. |
| LMB0100.1.1.1.13.9 | The system shall retain the date the Records Schedule was certified. |
| LMB0100.1.1.1.13.10 | The system shall retain the signature of the user who provided Records Appraiser Concurrence. |
| LMB0100.1.1.1.13.11 | The system shall retain the date that the Records Schedule received Records Appraiser Concurrence. |
| LMB0100.1.1.1.13.13 | The system shall retain the date that the Records Schedule received Appraiser Manager 1 Concurrence. |
| LMB0100.1.1.1.13.14 | The system shall retain the date that the Records Schedule received Appraiser Manager 2 Concurrence. |
| LMB0100.1.1.1.13.15 | The system shall retain the date that the Records Schedule received Archivist of the United States or Designee Concurrence. |
| LMB0100.1.1.1.13.16 | The system shall retain the signature of the user who provided Archivist of the United States or Designee Approval for the Records Schedule. |
| LMB0100.1.1.1.13.17 | The system shall retain the title of the user who provided Archivist of the United States or Designee Approval for the Records Schedule. |
| LMB0100.1.1.1.13.18 | The system shall retain the title of the user who provided Records Appraiser Concurrence for the Records Schedule. |
| LMB0100.1.1.1.13.19 | The system shall retain the title of the user who provided Appraiser Manager 1 Concurrence for the Records Schedule. |
| LMB0100.1.1.1.13.20 | The system shall retain the title of the user who provided Appraiser Manager 2 Concurrence for the Records Schedule. |
| LMB0100.1.1.1.13.22 | The system shall retain the signature of the user who provided Appraiser Manager 1 Concurrence for the Records Schedule. |
| LMB0100.1.1.1.13.23 | The system shall retain the signature of the user who provided Appraiser Manager 2 Concurrence for the Records Schedule. |
| LMB0100.1.1.1.13.24 | The system shall retain the Organization of the user who provided Records Appraiser Concurrence for the Records Schedule. |
| LMB0100.1.1.1.13.25 | The system shall retain the Organization of the user who provided Appraiser Manager 1 Concurrence for the Records Schedule. |
| LMB0100.1.1.1.13.26 | The system shall retain the Organization of the user who provided Appraiser Manager 2 Concurrence for the Records Schedule. |
| LMB0100.1.1.1.13.27 | The system shall retain the Organization of the user who provided Archivist of the United States or Designee Approval for the Records Schedule. |
| LMB0100.1.1.1.13.28 | The system shall create a Transfer Plan in the Approval Workflow based on the business rules listed in the Records Schedule - Business Rules section of the Data Management SwRS. |
| LMB0100.1.1.1.14.2 | The system shall enforce the permissions for rejecting the Records Schedule as listed in the Records Schedule - Roles/Permissions table in the Data Management SwRS. |
| LMB0100.1.1.1.14.5 | The system shall retain the title of the user that rejected the Record Schedule to Draft. |
| LMB0100.1.1.1.14.6 | The system shall retain the Organization of the user that rejected the Record Schedule to Draft. |
| LMB0100.1.1.1.14.7 | The system shall retain the date that the Record Schedule was rejected to Draft. |
| LMB0100.1.1.1.14.8 | The system shall retain the date that the Record Schedule was rejected to Returned without Action. |
| LMB0100.1.1.1.14.9 | The system shall retain the title of the user that rejected the Record Schedule to Returned without Action. |
| LMB0100.1.1.1.14.10 | The system shall retain the name of the user that rejected the Record Schedule to Returned without Action. |
| LMB0100.1.1.1.14.11 | The system shall retain the date that the Record Schedule was rejected to Proposed. |
| LMB0100.1.1.1.14.12 | The system shall retain the title of the user that rejected the Record Schedule to Proposed. |
| LMB0100.1.1.1.14.13 | The system shall retain the name of the user that rejected the Record Schedule to Proposed. |
| LMB0100.1.1.1.14.14 | The system shall retain the date that the Record Schedule was rejected to Appraiser Reviewed. |
| LMB0100.1.1.1.14.15 | The system shall retain the title of the user that rejected the Record Schedule to Appraiser Reviewed. |
| LMB0100.1.1.1.14.16 | The system shall retain the name of the user that rejected the Record Schedule to Appraiser Reviewed. |
| LMB0100.1.1.1.14.17 | The system shall retain the date that the Record Schedule was rejected to AM 1 Concurred. |
| LMB0100.1.1.1.14.18 | The system shall retain the title of the user that rejected the Record Schedule to AM 1 Concurred. |
| LMB0100.1.1.1.14.19 | The system shall retain the name of the user that rejected the Record Schedule to AM 1 Concurred. |
| LMB0100.1.1.1.14.20 | The system shall retain the name of the user that rejected the Record Schedule to Draft. |
| LMB0100.1.1.1.14.21 | The system shall retain the Organization of the user that rejected the Record Schedule to Returned without Action. |
| LMB0100.1.1.1.14.22 | The system shall retain the Organization of the user that rejected the Record Schedule to Appraiser Reviewed. |
| LMB0100.1.1.1.14.23 | The system shall retain the Organization of the user that rejected the Record Schedule to AM 1 Concurred. |
| LMB0100.1.1.1.14.24 | The system shall provide the capability for a proposed schedule that has been modified to be returned for revision. |
| LMB0100.1.1.1.14.25 | The system shall provide the capability for a proposed schedule that has been revised to be resubmitted for approval. |
| LMB0100.1.1.1.15.1 | The system shall display the results of field level validation for a Records Schedule to the user. |
| LMB0100.1.1.1.15.2 | The system shall validate that all completed fields conform to the Records Schedule schema prior to being submitted for approval. |
| LMB0100.1.1.1.16.1 | The system shall display the status of the Records Schedule. |
| LMB0100.1.1.1.16.2 | The system shall track the state of a Record Schedule as described in the Records Schedule - Business Process Flow sections of the Data Management SwRS. |
| LMB0100.1.1.1.16.3 | The system shall transition a Record Schedule between states as described in the Records Schedule - Business Process Flow sections of Data Management SwRS. |
| LMB0100.1.1.1.16.4 | The system shall maintain Records Schedule event information for the events outlined in the Records Schedule– Events table of the Data Management SwRS. |
| LMB0100.1.1.1.17.1 | The system shall send notifications to users as listed in the Record Schedule - Notifications table in the Data Management SwRS. |
| LMB0100.1.1.1.17.2 | The system shall assign tasks to users as outlined in the Record Schedule - Tasks table in the Data Management SwRS. |
| LMB0100.1.1.1.18.1 | The system shall apply the business rules listed in Record Schedule - Business Rules sections of the Data Management SwRS. |
| LMB0100.1.1.1.19.1 | The system shall perform error handling as described in the Record Schedule - Error Handling tables of the Data Management SwRS. |
| LMB0700.2.1.1.1.1 | The system shall provide the capability for users to enter search criteria for a Records Schedule using the criteria listed in Search Records Schedule – Search Criteria table of the Access SwRS. |
| LMB0700.2.1.1.1.2 | The system shall provide the capability for users to enter search criteria for a Records Schedule  Item using the criteria listed in Search Records Schedule Item - Search Criteria table of the Access SwRS. |
| LMB0700.2.1.1.1.9 | The system shall enforce the permissions for searching for Records Schedules based on the Search  Records Schedule - Roles/Permissions table in the Access SwRS. |
| LMB0700.2.1.1.1.10 | The system shall enforce the permissions for searching for Records Schedule Items based on the Search  Records Schedule - Roles/Permissions table in the Access SwRS. |
| LMB0700.2.1.3.2.1.1 | The system shall display the results of a Records Schedule search to the user based on the elements contained in the Search Records Schedule - Search Results Display table in the Access SwRS. |
| LMB0700.2.1.3.2.1.2 | The system shall display the results of a Records Schedule Item search to the user based on the elements contained in the Search Records Schedule Item - Search Results Display table of the Access SwRS. |
| LMB0700.2.1.3.2.1.8 | The system shall enforce the permissions for displaying results of a Records Schedule search  based on the Search  Records Schedule - Roles/Permissions table in the Access SwRS. |
| LMB0700.2.1.3.2.1.9 | The system shall enforce the permissions for displaying results of a Records Schedule Item search  based on the Search  Records Schedule - Roles/Permissions table in the Access SwRS. |

# system Test steps

The following section contains the execution steps for verification of all functional requirements associated with the ERA Records Schedule functionality.

Table : System Test Steps

| **Requirement** | **Requirement Text** | **Execution Steps** | **Expected Results** | **P/F/NS** |
| --- | --- | --- | --- | --- |
| **Create Records Schedule from Blank** | | | | |
| LMB0100.1.1.1.1.1 | The system shall provide the capability to create a new Records Schedule. | ***Notes:***  The system enforces permissions for creating the Records Schedule as listed in the Records Schedule – Role/Permissions table of the SwRS. Users have the ability to create a Records Schedule via their available menu options.  **Case 1:**   1. Log in to the application as a Records Scheduler (NARA). 2. Create a Records Schedule from Blank titled RS\_RSN\_Blank\_001 associated with any of the associated Record Groups. 3. Submit for Certification the Records Schedule. 4. Enter all the required elements according to the rules and conditions provided in the Records Schedule – Required Data Elements table of the Data Management SwRS. 5. Enter optional elements according to the rules and conditions provided in the Records Schedule – Optional Data Elements table of the Data Management SwRS. 6. Create three Records Schedule Overviews. 7. Create four Records Schedule Items:    1. One that is Permanent and not associated with an overview.    2. One that is Permanent and associated with the first overview.    3. One that is Temporary being transferred to NARA and associated with the second overview.    4. One that is Temporary not being transferred to NARA and associated with the second overview. 8. Save the Records Schedule. 9. Submit for Certification the Records Schedule 10. (RS\_RSN\_Blank\_001). 11. Move the Records Schedule Item (noted in step 7-d above) to the third Records Schedule Item Overview. 12. Submit for Certification the Records Schedule (RS\_RSN\_Blank\_001). 13. Log out.   **Case 2:**   1. Log in to the application as a Records Scheduler (Agency). 2. Create a Records Schedule from Blank titled RS\_RSAgency\_Blank\_001 and associate with one of the available undifferentiated Record Groups. 3. Repeat steps 4-11 in Case 1 above. 4. Log out.   **Case 3:**   1. Log in to the application as a Records Scheduler (NARA). 2. Create a Records Schedule from Blank titled RS\_RSN\_Blank\_002 associated with any of the associated Record Groups. 3. Enter several, but not all, of the required field elements. 4. Create one Records Schedule Item. 5. Submit for Certification the Records Schedule (RS\_RSN\_Blank\_002). 6. Enter the rest of the required fields. 7. Submit for Certification the Records Schedule (RS\_RSN\_Blank\_002). 8. Log out. | **Case 1:**  (1-2) The Records Scheduler (NARA) is logged in and able to create a Records Schedule from Blank.  The system pre-populates the data elements of the Records Schedule based on the rules listed in the Records Schedule – Required Data Elements Table of the Data Management SwRS and the title of the Records Schedule is entered.  (3) The system validates that all completed fields conform to the Records Schedule schema and messages are displayed that “<Field Name> is required” and a “Records Schedule needs at least one disposition item in order to be submitted.”  (4) The user is able to enter the required elements as listed in the Records Schedule – Required Data Elements Table of the Data Management SwRS.  (5) The user is able to enter the optional elements as listed in the Records Schedule – Optional Data Elements Table of the Data Management SwRS.  (6-7) The user is able to create Records Schedule Item Overviews and Records Schedule Items. Records Schedule Item Overviews and Items appear in the Records Schedule Item hierarchy. Human readable IDs are assigned to the Records Schedule Items.  (8) The system will display a message, “Records Schedule <RS-ID> has been successfully created.”The Status will be set to Draft. The system marks all of the associated Records Schedule Items as “pending”  (9) The system will display a message requiring all Records Schedule Overviews must be associated with a Records Schedule Item.  (10) The Records Schedule Item is moved under the Records Schedule Item Overview. The hierarchy of the Overview relationships with the Records Schedule Items is displayed on the Item Information tab.  (11) The system conducts the following:   * Displays a message, “Records Schedule <RS-ID> has been successfully submitted for certification.” * Data is saved. * Validates that all completed fields conform to the Records Schedule schema. * Enforce the permissions for approving a Records Schedule as listed in the Records Schedule – Roles/Permissions table in the Data Management SwRS. * The status of the Records Schedule is transitioned from Draft to Submitted for Certification. * A task is sent to the Certifying Official’s Task List noting that the Records Schedule is awaiting Certification.   (12) The user is logged out.  **Case 2:**  (1) The Records Scheduler (Agency) is logged in and able to create a Records Schedule.  (2) The Records Schedule is Created from Blank titled RS\_RSAgency\_Blank\_001 and associated with the selected Record Group.  (3) The expected results are the same as the expected results in Case 1 above.  (4) The user is logged out.  **Case 3:**  (1) The Records Scheduler (NARA) is logged in and able to create a Records Schedule from Blank.  (2) The system pre-populates the data elements of the Records Schedule based on the rules listed in the Records Schedule - Required Data Elements Table of the Data Management SwRS and the title of the Records Schedule is entered.  (3) The user is able to enter the selected required elements as listed in the Records Schedule - Required Data Elements Table of the Data Management SwRS.  (4) The user is able to create a Records Schedule Item. The Records Schedule Item appears in the Records Schedule Item hierarchy. A Human readable ID is assigned to the Records Schedule Item.  (5) The system validates that all completed fields conform to the Records Schedule schema and a message is displayed that “<Field Name> is required.”  (6) The user is able to enter the selected required elements as listed in the Records Schedule - Required Data Elements Table of the Data Management SwRS.  (7) The system conducts the following:   * Displays a message, “Records Schedule <RS-ID> has been successfully submitted for certification.” * Data is saved. * Validates that all completed fields conform to the Records Schedule schema. * Enforce the permissions for approving a Records Schedule as listed in the Records Schedule - Roles/Permissions table in the Data Management SwRS. * The status of the Records Schedule is transitioned from Draft to Submitted for Certification. * A task is sent to the Certifying Official’s Task List noting that the Records Schedule is awaiting Certification.   (8) The user is logged out. | NS |
| LMB0100.1.1.1.1.4 | The system shall pre-populate the data elements of the Records Schedule based on the rules listed in the Records Schedule - Required Data Elements Table of the Data Management SwRS. | NS |
| LMB0100.1.1.1.1.5 | The system shall provide the capability to enter the Records Schedule data elements as listed in the Records Schedule - Required Data Elements table of the Data Management SwRS. | NS |
| LMB0100.1.1.1.1.6 | The system shall provide the capability to enter the Records Schedule data elements as listed in the Records Schedule - Optional Data Elements table of the Data Management SwRS. | NS |
| LMB0100.1.1.1.1.8 | The system shall enforce the permissions for creating a Records Schedule as listed in the Records Schedule - Roles/Permissions Table of the Schedules Data Management SwRS. | NS |
| LMB0100.1.1.1.2.1 | The system shall create a Records Schedule Item hierarchy root. | NS |
| LMB0100.1.1.1.2.2 | The system shall provide the capability to add Records Schedule Items to a Records Schedule Item hierarchy. | NS |
| LMB0100.1.1.1.1.10 | The system shall assign a Human Readable identifier to the Records Schedule as listed in the Records Schedule - Identifier Table of the Data Management SwRS. | NS |
| LMB0100.1.1.1.1.17 | The system shall assign Human Readable identifiers to the Records Schedule Items as listed in the Records Schedule Items - Identifier Table of the Data Management SwRS. | NS |
| LMB0100.1.1.1.1.21 | The system shall control access to sections of the Records Schedule based on permissions listed in the Records Schedule - User Interface Sections table. | NS |
| LMB0100.1.1.1.2.3 | The system shall provide the capability to add Records Schedule Item Overviews within a Records Schedule Item hierarchy. | NS |
| LMB0100.1.1.1.2.4 | The system shall require users to associate an Overview with a Records Schedule Item. | NS |
| LMB0100.1.1.1.2.5 | The system shall retain the hierarchical relationship between overviews and Records Schedule Items. | NS |
| LMB0100.1.1.1.15.1 | The system shall display the results of field level validation for a Records Schedule to the user. | NS |
| LMB0100.1.1.1.15.2 | The system shall validate that all completed fields conform to the Records Schedule schema prior to being submitted for approval. | NS |
| LMB0100.1.1.1.16.1 | The system shall display the status of the Records Schedule. | NS |
| LMB0100.1.1.1.16.2 | The system shall track the state of a Record Schedule as described in the Records Schedule - Business Process Flow sections of the Data Management SwRS. | NS |
| LMB0100.1.1.1.16.3 | The system shall transition a Record Schedule between states as described in the Records Schedule - Business Process Flow sections of Data Management SwRS. | NS |
| **Create Records Schedule from Existing** | | | | |
| LMB0100.1.1.1.1.3 | The system shall provide the capability to create a Records Schedule from an existing Records Schedule. | **Case 1:**   1. Log in to the application as a Records Scheduler (NARA). 2. Search for a Records Schedule and in the search results create two Records Schedules from an existing Records Schedule and title them, (RS\_RSN\_Exist\_001) and (RS\_RSN\_Exist\_002). 3. Modify any of the required elements according to the rules and conditions provided in the Records Schedule – Required Data Elements table of the Data Management SwRS. 4. Modify any of the optional elements according to the rules and conditions provided in the Records Schedule – Optional Data Elements table of the Data Management SwRS. 5. Add a Records Schedule Item with all valid data and do not associate with an Overview. 6. Move the Records Schedule Item that is not associated with an Overview to any of the Overviews 7. Submit for Certification the Records Schedules (RS\_RSN\_Exist\_001 and RS\_RSN\_Exist\_002). 8. Log out.   **Case 2:**   1. Log in to the application as a Records Scheduler (Agency). 2. Search for a Records Schedule and in the search results create a Records Schedule from an existing Records Schedule and title it, RS\_RSAgency\_Exist\_001. 3. Repeat steps 3-7 in Case 1 above. 4. Log out. | **Case 1:**  (1) The Records Scheduler (NARA) is logged in.  (2) The function to create a Records Schedule from Existing is available and the Records Schedule is copied to create (RS\_RSN\_Exist\_001) and (RS\_RSN\_Exist\_002). The Status will be set to Draft.  (3-4) The user is able to modify any of the required and/or optional elements.  (5) The Records Schedule Item is added.  (6) The user is able to move the Records Schedule Item that is not associated with an Overview to an existing Overview.  (7) The system conducts the following:   * Displays a message, “Records Schedule <RS-ID> has been successfully submitted for certification.” * Data is saved. * Validates that all completed fields conform to the Records Schedule schema and assigns a human readable identifier to the Records Schedule as listed in the Records Schedule - Identifier Table of the Data Management SwRS. * Enforce the permissions for approving a Records Schedule as listed in the Records Schedule - Roles/Permissions table in the Data Management SwRS. * The status of the Records Schedule is transitioned from Draft to Submitted for Certification. * A task is sent to the Certifying Official’s Task List noting that the Records Schedule is awaiting Certification.   (8) The User is logged out.  **Case 2:**  (1) The Records Scheduler (Agency) is logged in.  (2) The Records Scheduler (Agency) is able to create a Records Schedule from Existing on behalf of their Agency.  (3) The expected results are the same as the expected results in Case 1 above.  (4) The user is logged out. | NS |
| LMB0100.1.1.1.1.23 | The system shall provide the capability for a Records Scheduler NARA to create a Records Schedule on behalf of an agency. | NS |
| LMB0100.1.1.1.1.22 | The system shall provide the capability for a Records Scheduler Agency to create a Records Schedule on behalf of their agency. | NS |
| LMB0100.1.1.1.1.21 | The system shall control access to sections of the Records Schedule based on permissions listed in the Records Schedule - User Interface Sections table. | NS |
| LMB0100.1.1.1.6.7 | The system shall provide the capability to move Records Schedule Item(s) without an associated Item Overview to an Item Overview. | NS |
| LMB0100.1.1.1.16.2 | The system shall track the state of a Record Schedule as described in the Records Schedule - Business Process Flow sections of the Data Management SwRS. | NS |
| LMB0100.1.1.1.16.3 | The system shall transition a Record Schedule between states as described in the Records Schedule - Business Process Flow sections of Data Management SwRS. | NS |
| **Certify a Records Schedule** | | | | |
| LMB0100.1.1.1.13.6 | The system shall retain the signature of the user that certifies the Record Schedule. | **Case 1:**   1. Log in to the application as a Certifying Official. 2. Navigate to the Task List and select the link for the Records Schedule that has been Submitted for Certification, RS\_RSN\_Blank\_001. 3. Modify any of the allowable fields with valid data. 4. Certify the Records Schedule, RS\_RSN\_Blank\_001 and Submit.   **Case 2:**   1. Navigate to the Task List and select the link for the Records Schedule that has been Submitted for Certification, RS\_RSAgency\_Blank\_001. 2. Modify any of the allowable fields with valid data. 3. Certify the Records Schedule, RS\_RSAgency\_Blank\_001 and Submit.   **Case 3:**   1. Navigate to the Task List and select the link for the Records Schedule that has been Submitted for Certification, RS\_RSN\_Exist\_001. 2. Modify any of the allowable fields with valid data. 3. Certify the Records Schedule, RS\_RSN\_Exist\_001 and Submit.   **Case 4:**   1. Navigate to the Task List and select the link for the Records Schedule that has been Submitted for Certification, RS\_RSAgency\_Exist\_002. 2. Modify any of the allowable fields with valid data. 3. Certify the Records Schedule, RS\_RSAgency\_Exist\_002. 4. Log Out. | **Case 1:**  (1) The Certifying Official is logged in.  (2) The Records Schedule is displayed.  (3) The User modifies the chosen field(s).  (4) The system conducts the following:   * Displays a message, “Records Schedule <RS-ID> has been successfully certified, and submitted to the National Archives.” * Data is saved. * Validates that all completed fields conform to the Records Schedule schema. * Enforce the permissions for approving a Records Schedule as listed in the Records Schedule - Roles/Permissions table in the Data Management SwRS. * The Signature, Date, Organization, and the Title of the Certifying Official who Certified the Records Schedule is displayed. * The status of the Records Schedule is transitioned from Submitted for Certification to Proposed / Appraiser Working Version. * A Notification is sent to the Records Scheduler noting that the Records Schedule/Records Schedule Item has been Certified*.* * A Task is sent to the Records Appraiser’s Task List noting that the Records Schedule is awaiting Review.   **Cases 2-4:**  (1) The user navigates to the Task List and selects the corresponding Records Schedule link.  (2-3)The expected results are the same as the expected results in Case 1 above.  **Case 4:**  (4) The user is logged out. | NS |
| LMB0100.1.1.1.13.7 | The system shall retain the title of the user that certifies the Record Schedule. | NS |
| LMB0100.1.1.1.13.8 | The system shall retain Organization of the user that certifies the Records Schedule. | NS |
| LMB0100.1.1.1.13.9 | The system shall retain the date the Records Schedule was certified. | NS |
| LMB0100.1.1.1.1.21 | The system shall control access to sections of the Records Schedule based on permissions listed in the Records Schedule - User Interface Sections table. | NS |
| LMB0100.1.1.1.17.1 | The system shall send notifications to users as listed in the Record Schedule - Notifications table in the Data Management SwRS. | NS |
| LMB0100.1.1.1.17.2 | The system shall assign tasks to users as outlined in the Record Schedule - Tasks table in the Data Management SwRS. | NS |
| LMB0100.1.1.1.16.2 | The system shall track the state of a Record Schedule as described in the Records Schedule - Business Process Flow sections of the Data Management SwRS. | NS |
| LMB0100.1.1.1.16.3 | The system shall transition a Record Schedule between states as described in the Records Schedule - Business Process Flow sections of Data Management SwRS. | NS |
| **Records Appraiser Reviewed** | | | | |
| LMB0100.1.1.1.13.10 | The system shall retain the signature of the user who provided Records Appraiser Concurrence. | **Case 1:**   1. Log in as a Records Appraiser. 2. Review the Task List and verify a task is displayed that the Records Schedule (RS\_RSN\_Blank\_001) is available for review. 3. Select the task link and open the Records Schedule. 4. Modify any of the allowable fields with valid data. 5. Submit for Concurrence the Records Schedule.   **Case 2:**   1. Navigate to the Home Page. 2. Review the Task List and verify a task is displayed that the Records Schedule (RS\_RSAgency\_Blank\_001) is available for review. 3. Select the task link and open the Records Schedule. 4. Modify any of the allowable fields with valid data. 5. Submit the Records Schedule for Appraiser Manager 1 Concurrence.   **Case 3:**   1. Navigate to the Home Page. 2. Review the Task List and verify a task is displayed that the Records Schedule (RS\_RSN\_Exist\_001) is available for review. 3. Select the task link and open the Records Schedule. 4. Modify any of the allowable fields with valid data. 5. Submit the Records Schedule for Appraiser Manager 1 Concurrence.   **Case 4:**   1. Navigate to the Home Page. 2. Review the Task List and verify a task is displayed that the Records Schedule (RS\_RSAgency\_Exist\_002) is available for review. 3. Select the task link and open the Records Schedule. 4. Modify any of the allowable fields with valid data. 5. Submit the Records Schedule for Appraiser Manager 1 Concurrence. 6. Log Out. | **Case 1:**  (1) The Records Appraiser is logged in.  (2-3) The Task List displays the Records Schedule (RS\_RSN\_Blank\_001) is available for review and the Records Schedule is displayed. The state is set to Appraiser Working Version. The Signature, Date, Organization, and the Title of the Certifying Official who Certified the Records Schedule is retained.  (4) The Records Schedule and/or corresponding Records Schedule Items are modified.  (5) The system conducts the following:   * Displays a message, “Records Schedule <RS-ID> has been successfully submitted for NARA management review.” * Data is saved. * Validates that all completed fields conform to the Records Schedule schema. * Enforce the permissions for approving a Records Schedule as listed in the Records Schedule - Roles/Permissions table in the Data Management SwRS. * The Signature, Date, Organization, and the Title of the Records Appraiser who reviewed the Records Schedule are displayed. * The status of the Records Schedule is transitioned from Appraiser Working Version to Appraiser Reviewed. * Task is sent to the Appraiser Manager 1’s Task List noting that the Records Schedule is awaiting Concurrence.   **Cases 2-4:**  (1-5) The expected results are the same as the expected results in Case 1 above.  **Cases 4:**  (6) The Records Appraiser is logged out. | NS |
| LMB0100.1.1.1.13.11 | The system shall retain the date that the Records Schedule received Records Appraiser Concurrence. | NS |
| LMB0100.1.1.1.13.18 | The system shall retain the title of the user who provided Records Appraiser Concurrence for the Records Schedule. | NS |
| LMB0100.1.1.1.13.24 | The system shall retain the Organization of the user who provided Records Appraiser Concurrence for the Records Schedule. | NS |
| LMB0100.1.1.1.1.21 | The system shall control access to sections of the Records Schedule based on permissions listed in the Records Schedule - User Interface Sections table. | NS |
| LMB0100.1.1.1.17.2 | The system shall assign tasks to users as outlined in the Record Schedule - Tasks table in the Data Management SwRS. | NS |
| LMB0100.1.1.1.16.2 | The system shall track the state of a Record Schedule as described in the Records Schedule - Business Process Flow sections of the Data Management SwRS. | NS |
| LMB0100.1.1.1.16.3 | The system shall transition a Record Schedule between states as described in the Records Schedule - Business Process Flow sections of Data Management SwRS. | NS |
| **Appraiser Manager 1 Concurrence** | | | | |
| LMB0100.1.1.1.13.13 | The system shall retain the date that the Records Schedule received Appraiser Manager 1 Concurrence. | **Case 1:**   1. Log in as an Appraiser Manager 1 2. Review the Task List and verify a task is displayed that the Records Schedule (RS\_RSN\_Blank\_001) is available for review. 3. Select the task link and open the Records Schedule. 4. Modify any of the allowable fields with valid data. 5. Concur the Records Schedule.   **Case 2:**   1. Navigate to the Home Page. 2. Review the Task List and verify a task is displayed that the Records Schedule (RS\_RSAgency\_Blank\_001) is available for review. 3. Select the task link and open the Records Schedule. 4. Modify any of the allowable fields with valid data. 5. Concur the Records Schedule.   **Case 3:**   1. Navigate to the Home Page. 2. Review the Task List and verify a task is displayed that the Records Schedule (RS\_RSN\_Exist\_001) is available for review. 3. Select the task link and open the Records Schedule. 4. Modify any of the allowable fields with valid data. 5. Concur the Records Schedule.   **Case 4:**   1. Navigate to the Home Page. 2. Review the Task List and verify a task is displayed that the Records Schedule (RS\_RSAgency\_Exist\_002) is available for review. 3. Select the task link and open the Records Schedule. 4. Modify any of the allowable fields with valid data. 5. Concur the Records Schedule. 6. Log Out. | **Case 1:**  (1) The Appraiser Manager 1 is logged in.  (2-3) The Task List displays the task to review the Records Schedule (RS\_RSN\_Blank\_001) and the Records Schedule is displayed. The Signature, Date, Organization, and the Title of the Records Appraiser who reviewed the Records Schedule are retained  (4) The Records Schedule and/or corresponding Records Schedule Items are modified.  (5) The system conducts the following:   * Displays a message, “Records Schedule <RS-ID> has been successfully Concurred with.” * Data is saved. * Validates that all completed fields conform to the Records Schedule schema. * Enforce the permissions for Records Schedule Appraiser Manager 1 Concurrence as listed in the Records Schedule - Roles/Permissions table in the Data Management SwRS. * The Signature, Date, Organization, and the Title of the Appraiser Manager 1 who provided Appraiser Manager 1 Concurrence of the Records Schedule are displayed. * The status of the Records Schedule is transitioned from Appraiser Reviewed to Appraiser Manager 1 Concurred. * Task is sent to the Appraiser Manager 2’s Task List that the Records Schedule is awaiting Concurrence.   **Cases 2-4:**  (1-5) The expected results are the same as the expected results in Case 1 above.  **Case 4:**  (6) The Appraiser Manager 1 is logged out. | NS |
| LMB0100.1.1.1.13.19 | The system shall retain the title of the user who provided Appraiser Manager 1 Concurrence for the Records Schedule. | NS |
| LMB0100.1.1.1.13.22 | The system shall retain the signature of the user who provided Appraiser Manager 1 Concurrence for the Records Schedule. | NS |
| LMB0100.1.1.1.13.25 | The system shall retain the Organization of the user who provided Appraiser Manager 1 Concurrence for the Records Schedule. | NS |
| LMB0100.1.1.1.1.21 | The system shall control access to sections of the Records Schedule based on permissions listed in the Records Schedule - User Interface Sections table. | NS |
| LMB0100.1.1.1.17.2 | The system shall assign tasks to users as outlined in the Record Schedule - Tasks table in the Data Management SwRS. | NS |
| LMB0100.1.1.1.16.2 | The system shall track the state of a Record Schedule as described in the Records Schedule - Business Process Flow sections of the Data Management SwRS. | NS |
| LMB0100.1.1.1.16.3 | The system shall transition a Record Schedule between states as described in the Records Schedule - Business Process Flow sections of Data Management SwRS. | NS |
| **Appraiser Manager 2 Concurrence** | | | | |
| LMB0100.1.1.1.13.14 | The system shall retain the date that the Records Schedule received Appraiser Manager 2 Concurrence. | **Case 1:**   1. Log in as an Appraiser Manager 2. 2. Review the Task List and verify a task is displayed that the Records Schedule (RS\_RSN\_Blank\_001) is available for review. 3. Select the task link and open the Records Schedule. 4. Modify any of the allowable fields with valid data. 5. Concur the Records Schedule.   **Case 2:**   1. Navigate to the Home Page. 2. Review the Task List and verify a task is displayed that the Records Schedule (RS\_RSAgency\_Blank\_001) is available for review. 3. Select the task link and open the Records Schedule. 4. Modify any of the allowable fields with valid data. 5. Concur the Records Schedule.   **Case 3:**   1. Navigate to the Home Page. 2. Review the Task List and verify a task is displayed that the Records Schedule (RS\_RSN\_Exist\_001) is available for review. 3. Select the task link and open the Records Schedule. 4. Modify any of the allowable fields with valid data. 5. Concur the Records Schedule.   **Case 4:**   1. Navigate to the Home Page. 2. Review the Task List and verify a task is displayed that the Records Schedule (RS\_RSAgency\_Exist\_002) is available for review. 3. Select the task link and open the Records Schedule. 4. Modify any of the allowable fields with valid data. 5. Concur the Records. 6. Log Out. | **Case 1:**  (1) The Appraiser Manager 2 is logged in.  (2-3) The Task List displays the task to review the Records Schedule (RS\_RSN\_Blank\_001) and the Records Schedule is displayed. The Signature, Date, Organization, and the Title of the Appraiser Manager 1 who concurred the Records Schedule are retained  (4) The Records Schedule and/or corresponding Records Schedule Items are modified.  (5) The system conducts the following:   * Displays a message, “Records Schedule <RS-ID> has been successfully Concurred with.” * Data is saved. * Validates that all completed fields conform to the Records Schedule schema. * Enforce the permissions for Records Schedule Appraiser Manager 2 Concurrence as listed in the Records Schedule - Roles/Permissions table in the Data Management SwRS. * The Signature, Date, Organization, and the Title of the Appraiser Manager 2 who provided Appraiser Manager 2 Concurrence of the Records Schedule are displayed. * The status of the Records Schedule is transitioned from Appraiser Manager 1 Concurred to Appraiser Manager 2 Concurred. * Task is sent to the Archivist of the United States or Designee’s Task List that the Records Schedule is awaiting Concurrence.   **Cases 2-4:**  (1-5) The expected results are the same as the expected results in Case 1 above.  **Case 4:**  (6) The Appraiser Manager 2 is logged out. | NS |
| LMB0100.1.1.1.13.20 | The system shall retain the title of the user who provided Appraiser Manager 2 Concurrence for the Records Schedule. | NS |
| LMB0100.1.1.1.13.23 | The system shall retain the signature of the user who provided Appraiser Manager 2 Concurrence for the Records Schedule. | NS |
| LMB0100.1.1.1.13.26 | The system shall retain the Organization of the user who provided Appraiser Manager 2 Concurrence for the Records Schedule. | NS |
| LMB0100.1.1.1.1.21 | The system shall control access to sections of the Records Schedule based on permissions listed in the Records Schedule - User Interface Sections table. | NS |
| LMB0100.1.1.1.17.2 | The system shall assign tasks to users as outlined in the Record Schedule - Tasks table in the Data Management SwRS. | NS |
| LMB0100.1.1.1.16.2 | The system shall track the state of a Record Schedule as described in the Records Schedule - Business Process Flow sections of the Data Management SwRS. | NS |
| LMB0100.1.1.1.16.3 | The system shall transition a Record Schedule between states as described in the Records Schedule - Business Process Flow sections of Data Management SwRS. | NS |
| **Archivist of the United States or Designee Approval** | | | | |
| LMB0100.1.1.1.13.15 | The system shall retain the date that the Records Schedule received Archivist of the United States or Designee Approval. | **Case 1:**   1. Log in as an Archivist of the United States or Designee. 2. Review the Task List and verify a task is displayed that the Records Schedule (RS\_RSN\_Blank\_001) is available for review. 3. Select the task link and open the Records Schedule. 4. Modify any of the allowable fields with valid data. 5. Approve the Records Schedule.   **Case 2:**   1. Navigate to the Home Page. 2. Review the Task List and verify a task is displayed that the Records Schedule (RS\_RSAgency\_Blank\_001) is available for review. 3. Select the task link and open the Records Schedule. 4. Modify any of the allowable fields with valid data. 5. Approve the Records Schedule.   **Case 3:**   1. Navigate to the Home Page. 2. Review the Task List and verify a task is displayed that the Records Schedule (RS\_RSN\_Exist\_001) is available for review. 3. Select the task link and open the Records Schedule. 4. Modify any of the allowable fields with valid data. 5. Approve the Records Schedule.   **Case 4:**   1. Navigate to the Home Page. 2. Review the Task List and verify a task is displayed that the Records Schedule (RS\_RSAgency\_Exist\_002) is available for review. 3. Select the task link and open the Records Schedule. 4. Modify any of the allowable fields with valid data. 5. Approve the Records Schedule. 6. Log Out. | **Case 1:**  (1) The Archivist of the United States or Designee is logged in.  (2-3) The Task List displays the task to review the Records Schedule (RS\_RSN\_Blank\_001) and the Records Schedule is displayed. The Signature, Date, Organization, and the Title of the Appraiser Manager 2 who concurred the Records Schedule are retained  (4) The Records Schedule and/or corresponding Records Schedule Items are modified.  (5) The system conducts the following:   * Displays a message, "Records Schedule <RS-ID> has been successfully Approved.” * Data is saved. * Validates that all completed fields conform to the Records Schedule schema. * Enforce the permissions for approving a Records Schedule as listed in the Records Schedule - Roles/Permissions table in the Data Management SwRS. * The Signature, Date, Organization, and the Title of the Archivist of the United States or Designee who provided Approval of the Records Schedule are displayed. * The status of the Records Schedule is transitioned from Appraiser Manager 2 Concurred to Approved. * Notification is sent to the Records Scheduler (Agency or NARA), Certifying Official, Records Appraiser that the Records Schedule has been Approved. * The system marks all of the associated Records Schedule Items as “active”   **Cases 2-4:**  (1-5) The expected results are the same as the expected results in Case 1 above.  **Case 4:**  (6) The Archivist of the United States or Designee is logged out. | NS |
| LMB0100.1.1.1.13.16 | The system shall retain the signature of the user who provided Archivist of the United States or Designee Concurrence for the Records Schedule. | NS |
| LMB0100.1.1.1.13.17 | The system shall retain the title of the user who provided Archivist of the United States or Designee Concurrence for the Records Schedule. | NS |
| LMB0100.1.1.1.13.27 | The system shall retain the Organization of the user who provided Archivist of the United States or Designee Concurrence for the Records Schedule. | NS |
| LMB0100.1.1.1.1.21 | The system shall control access to sections of the Records Schedule based on permissions listed in the Records Schedule - User Interface Sections table. | NS |
| LMB0100.1.1.1.17.1 | The system shall send notifications to users as listed in the Record Schedule - Notifications table in the Data Management SwRS. | NS |
| LMB0100.1.1.1.13.2 | The system shall enforce the permissions for approving a Records Schedule as listed in the Records Schedule - Roles/Permissions table in the Data Management SwRS. | NS |
| LMB0100.1.1.1.16.2 | The system shall track the state of a Record Schedule as described in the Records Schedule - Business Process Flow sections of the Data Management SwRS. | NS |
| LMB0100.1.1.1.16.3 | The system shall transition a Record Schedule between states as described in the Records Schedule - Business Process Flow sections of Data Management SwRS. | NS |
| **Delete a Records Schedule** | | | | |
| LMB0100.1.1.1.7.2 | The system shall enforce the permissions for deleting Records Schedules as listed in the Records Schedule - Roles/Permissions table of the Data Management SwRS. | **Case 1:**   1. Log in to the application as a Records Scheduler (NARA). 2. Create a Records Schedule (including one Records Schedule Item) using all valid required information. 3. Save the Records Schedule. 4. Delete the Records Schedule. 5. Search for the Records Schedule. 6. Search for the Records Schedule Item.     **Case 2:**   1. Log in to the application as a Records Scheduler (Agency). 2. Create a Records Schedule using all valid required information including multiple Records Schedule Items. 3. Save the Records Schedule. 4. Delete the Records Schedule. 5. Search for the Records Schedule. 6. Search for the Records Schedule Item.   **Case 3:**   1. Open a Records Schedule that has been Rejected by a Certifying Official. 2. Delete the Records Schedule. 3. Search for the Records Schedule. 4. Search for the Records Schedule Item. 5. Log Out.   **Case 4:**   1. Log in to the application as a Certifying Official. 2. Search, retrieve, and view a Records Schedule in a Submitted for Certification state. 3. Delete the Records Schedule. 4. Search for the Records Schedule. 5. Search for the Records Schedule Item. 6. Log out | **Case 1:**  (1-3) The Records Scheduler (NARA) logs in, creates a valid Records Schedule, and saves the Records Schedule.  (4) A message is displayed to the user asking, “Are you sure Records Schedule <RS-ID> should be deleted?” Then, the Records Schedule and corresponding Records Schedule Item(s) are deleted and a confirmation message is displayed to the user stating, “The Records Schedule <RS-ID> has been successfully deleted.”  (5-6) The search confirms the Records Schedule and Records Schedule Item have been deleted.  **Case 2:**  (1-3) The Records Scheduler (Agency) logs in, creates a valid Records Schedule, and saves the Records Schedule.  (4) A message is displayed to the user asking, “Are you sure Records Schedule <RS-ID> should be deleted?” Then, the Records Schedule and corresponding Record Schedule Item(s) are deleted and a confirmation message is displayed to the user stating, “The Records Schedule <RS-ID> has been successfully deleted.”  (5-6) The search confirms the Records Schedule and corresponding Records Schedule Item(s) have been deleted.  **Case 3:**  (1) The Records Schedule is displayed to the user.  (2) A message is displayed to the user asking, “Are you sure Records Schedule <RS-ID> should be deleted?” Then, the Records Schedule and corresponding Records Schedule Item(s) are deleted and a confirmation message is displayed to the user stating, “The Records Schedule <RS-ID> has been successfully deleted.”  (3-4) The search confirms the Records Schedule and corresponding Records Schedule Item(s) have been deleted.  (5) The user is logged out.  **Case 4:**  (1) The Certifying Official is logged in.  (2) The Records Schedule is displayed.  (3) A message is displayed to the user asking, “Are you sure Records Schedule <RS-ID> should be deleted?” Then, the Records Schedule and corresponding Records Schedule Item(s) are deleted and a confirmation message is displayed to the user stating, “The Records Schedule <RS-ID> has been successfully deleted.”  (4-5) The search confirms the Records Schedule and Records Schedule Item have been deleted.  (6) The user is logged out. | NS |
| LMB0100.1.1.1.7.1 | The system shall delete the associated Records Schedule Item(s) of a deleted Records Schedule. | NS |
| **Delete a Records Schedule Item Overview / Item** | | | | |
| LMB0100.1.1.1.8.1 | The system shall enforce the permissions for deleting Records Schedule Items as listed in the Records Schedule - Roles/Permissions table of the Data Management SwRS. | **Case 1:**   1. Log in to the application as a Records Scheduler (NARA). 2. Create a Records Schedule (including two Overviews with one Records Schedule Item each) using all valid required information. 3. Save the Records Schedule. 4. Delete the first Records Schedule Overview. 5. Save the Records Schedule. 6. Search for the Records Schedule Item that was just deleted. 7. Log out.   **Case 2:**   1. Log in to the application as a Records Scheduler (Agency). 2. Create a Records Schedule (including two Overviews with one Records Schedule Item each) using all valid required information. 3. Save the Records Schedule. 4. Delete the first Records Schedule Overview. 5. Save the Records Schedule. 6. Search for the Records Schedule Item that was just deleted. 7. Log out.   **Case 3:**   1. Log in to the application as a Certifying Official. 2. Select the link for the Records Schedule that has been Submitted for Certification from the task list RS\_RSN\_Blank\_002. 3. Navigate to the Records Schedule Item Overviews page and delete the first overview, which contains one Records Schedule Item. 4. Review the remaining Overviews and corresponding Records Schedule Items and verify the Deleted Overview and corresponding Records Schedule Item are no longer displayed. 5. Create a new Records Schedule Item Overview with 2 associated Records Schedule Items. 6. Save the RS. 7. Delete a Records Schedule Item that is associated with the new Records Schedule Item Overview. 8. Save the Records Schedule. 9. Log out.   **Case 4:**   1. Log in to the application as a Records Appraiser. 2. Search and retrieve a Records Schedule in the “Appraiser Working Version” state. 3. Navigate to the Records Schedule Item Overviews hierarchy and delete an Overview, which contains one Records Schedule Item. 4. Review the remaining Overviews and corresponding Records Schedule Items and verify the deleted Overview and corresponding Records Schedule Item are no longer displayed. 5. Save the Records Schedule. 6. Log out.   **Case 5:**   1. Log in to the application as Appraiser Manager 1. 2. Search and retrieve a Records Schedule in the “Appraiser Reviewed” state. 3. Navigate to the Records Schedule Item Overviews hierarchy and delete an Overview, which contains one Records Schedule Item. 4. Review the remaining Overviews and corresponding Records Schedule Items and verify the deleted Overview and corresponding Records Schedule Item are no longer displayed. 5. Save the Records Schedule. 6. Log out.   **Case 6:**   1. Log in to the application as Appraiser Manager 2. 2. Search and retrieve a Records Schedule in the “Appraiser Manager 1 Concurred” state. 3. Navigate to the Records Schedule Item Overviews hierarchy and delete an Overview, which contains one Records Schedule Item. 4. Review the remaining Overviews and corresponding Records Schedule Items and verify the deleted Overview and corresponding Records Schedule Item are no longer displayed. 5. Save the Records Schedule. 6. Log out.   **Case 7:**   1. Log in to the application as Archivist of the United States or Designee. 2. Search and retrieve a Records Schedule in the “Appraiser Manager 2 Concurred” state. 3. Navigate to the Records Schedule Item Overviews hierarchy and delete an Overview, which contains one Records Schedule Item. 4. Review the remaining Overviews and corresponding Records Schedule Items and verify the deleted Overview and corresponding Records Schedule Item are no longer displayed. 5. Save the Records Schedule. 6. Log out. | **Cases 1-2:**  (1-3) The Records Scheduler (NARA) logs in, creates a valid Records Schedule, and saves the Records Schedule.  (4-5) The Overview and corresponding Records Schedule Item is deleted and the Records Schedule is saved with only one remaining Overview with one corresponding Records Schedule Item.  (6) The Records Schedule Item is deleted and cannot be retrieved.  (7)The user is logged out.  **Case 3:**  (1) The Certifying Official is logged in.  (2) The Records Schedule is displayed.  (3) The Records Schedule Overview and corresponding Records Schedule Item are deleted.  (4) The user has verified that the Overview and corresponding Records Schedule Item have been deleted.  (5-6) The Records Schedule Item Overview and associated Records Schedule Items are Created and Saved.  (7) One Records Schedule Item is deleted and the remaining Records Schedule Item, and its parent Overview, still exist.  (8) The Records Schedule is saved.  (9) The user is logged out.  **Cases 4-7:**  (1) The user is logged in.  (2) The Records Schedule is displayed.  (3) The Records Schedule Overview and corresponding Records Schedule Item are deleted.  (4) The user has verified that the Overview and corresponding Records Schedule Item have been deleted.  (5) The Records Schedule is saved.  (6) The user is logged out. | NS |
| LMB0100.1.1.1.8.2 | The system shall provide the capability to delete Records Schedule Item Overviews. | NS |
| LMB0100.1.1.1.8.3 | The system shall remove the associated Records Schedule Item(s) from a deleted Records Schedule Item Overview. | NS |
| **Restart Records Schedule and Records Schedule Item Human-Readable IDs based on Fiscal Year** | | | | |
| LMB0100.1.1.1.1.11 | The system shall restart the Records Schedule human-readable identifier's sequential number for each record group-fiscal year pair. | *Condition: To execute the steps for this requirement, a System Administrator will need to change the system date to the next “Fiscal Year” between Cases 1 and 2.*  **Case 1:**   1. Log in to the application as a Records Scheduler (NARA). 2. Create a Records Schedule from Existing by copying the Records Schedule titled RS\_RSN\_Existing\_001 and title it, RS\_RSN\_Existing\_003. 3. Submit for Certification the Records Schedule. 4. Log Out. 5. Log in as a Certifying Official. 6. Certify the Records Schedule. 7. Log Out   Note the Records Schedule ID  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.  Note the Records Schedule Item IDs   * 1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   3. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   4. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   **Case 2:**   1. Log in to the application as a Records Scheduler (NARA). 2. Create a Records Schedule from Existing by copying the Records Schedule titled RS\_RSN\_Existing\_003 and title it, RS\_RSN\_Existing\_004. 3. Submit for Certification the Records Schedule. 4. Log Out. 5. Log in as a Certifying Official. 6. Certify the Records Schedule. 7. Log Out.   Note the Records Schedule ID  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.  Note the Records Schedule Item IDs   1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 3. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 4. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | **Case 1:**  (1) The Records Scheduler (NARA) is logged in.  (2-6) The Records Schedule is created, certified, and given the Human Readable ID containing the current fiscal year. The Records Schedule Items will also contain the current fiscal year.  (7) The Certifying Official is logged out.  **Case 2:**  (1) The Records Scheduler (NARA) is logged in.  (2-6) The Records Schedule is created, certified, and given the Human Readable ID containing the modified fiscal year. The Records Schedule Items will also contain the modified fiscal year.  (7) The Certifying Official is logged out. | NS |
| LMB0100.1.1.1.1.18 | The system shall restart the Records Schedule Items human-readable identifier's sequential number for each record group-fiscal year pair. | NS |
| **Search Records Schedules** | | | | |
| LMB0700.2.1.1.1.1 | The system shall provide the capability for users to enter search criteria for a Records Schedule using the criteria listed in Search Records Schedule – Search Criteria table of the Access SwRS. | **Case 1:**   1. Log in to the application as each of the following:    1. Records Scheduler (Agency).    2. Records Scheduler (NARA) 2. Search for all Records Schedules without entering any search criteria. 3. View Results. 4. Search for Records Schedules in each of the following states:    1. Draft    2. Proposed    3. Appraiser Working Version    4. Returned for Revision    5. Returned for Revision Working Version    6. Returned without Action    7. Appraiser Reviewed    8. Appraiser Manager 1 Concurred    9. Appraiser Manager 2 Concurred    10. Approved    11. Approved Schedule Working Version    12. Modified Approved Version. 5. View the results. 6. Enter additional search criteria listed in the Search Records Schedule – Search Criteria table of the Access SwRS. 7. View the Results. 8. Search for all Records Schedule Items without entering any search criteria. 9. View Results. 10. Search for Records Schedule Items by entering search criteria listed in the Search Records Schedule Item – Search Criteria table of the Access SwRS. 11. View the Results. 12. Log out.   **Case 2:**   1. Log in to the application as each of the following:    1. Certifying Official    2. LMT Member    3. Transferring Official (NARA) 2. Search for all Records Schedules without entering any search criteria. 3. View Results. 4. Search for Records Schedules in each of the following states:    1. Submitted for Certification    2. Submitted Revision for Certification    3. Proposed    4. Appraiser Working Version    5. Returned for Revision    6. Returned for Revision Working Version    7. Returned without Action    8. Appraiser Reviewed    9. Appraiser Manager 1 Concurred    10. Appraiser Manager 2 Concurred    11. Approved    12. Approved Schedule Working Version    13. Modified Approved Version. 5. View the results. 6. Enter additional search criteria listed in the Search Records Schedule – Search Criteria table of the Access SwRS. 7. View the Results. 8. Search for all Records Schedule Items without entering any search criteria. 9. View Results. 10. Search for Records Schedule Items by entering search criteria listed in the Search Records Schedule Item – Search Criteria table of the Access SwRS. 11. View the Results. 12. Log out.   **Case 3:**   1. Log in to the application as each of the following:    1. Records Appraiser    2. Appraiser Manager 1    3. Appraiser Manager 2    4. Archivist of the United States or Designee    5. NARA Accessioning Manager    6. NARA Receiving Manager    7. Transfer Staff 2. Search for all Records Schedules without entering any search criteria. 3. View Results. 4. Search for Records Schedules in each of the following states: 5. Proposed 6. Appraiser Working Version 7. Returned for Revision 8. Returned for Revision Working Version 9. Returned without Action 10. Appraiser Reviewed 11. Appraiser Manager 1 Concurred 12. Appraiser Manager 2 Concurred 13. Approved 14. Approved Schedule Working Version 15. Modified Approved Version. 16. View the results. 17. Enter additional search criteria listed in the Search Records Schedule – Search Criteria table of the Access SwRS. 18. View the Results. 19. Search for all Records Schedule Items without entering any search criteria. 20. View Results. 21. Search for Records Schedule Items by entering search criteria listed in the Search Records Schedule Item – Search Criteria table of the Access SwRS. 22. View the Results. 23. Log out.   **Case 4:**   1. Log in to the application as each of the following:    1. Records Processor    2. Transferring Official (Agency)    3. Other Agency Users 2. Search for all Records Schedules without entering any search criteria. 3. View Results. 4. Search for Records Schedules in each of the following states:    1. Approved    2. Approved Schedule Working Version    3. Modified Approved Version. 5. View the results. 6. Enter additional search criteria listed in the Search Records Schedule – Search Criteria table of the Access SwRS. 7. View the Results. 8. Search for all Records Schedule Items without entering any search criteria. 9. View Results. 10. Search for Records Schedule Items by entering search criteria listed in the Search Records Schedule Item – Search Criteria table of the Access SwRS. 11. View the Results. 12. Log out.   **Case 5:**   1. Log in to the application as each of the following:    1. System Administrator 2. Search for all Records Schedules without entering any search criteria. 3. View Results. 4. Search for Records Schedules in each of the following states:    1. Draft    2. Submitted for Certification    3. Submitted Revision for Certification    4. Proposed    5. Appraiser Working Version    6. Returned for Revision    7. Returned for Revision Working Version    8. Returned without Action    9. Appraiser Reviewed    10. Appraiser Manager 1 Concurred    11. Appraiser Manager 2 Concurred    12. Approved    13. Approved Schedule Working Version    14. Modified Approved Version. 5. View the results. 6. Enter additional search criteria listed in the Search Records Schedule – Search Criteria table of the Access SwRS. 7. View the Results. 8. Search for all Records Schedule Items without entering any search criteria. 9. View Results. 10. Search for Records Schedule Items by entering search criteria listed in the Search Records Schedule Item – Search Criteria table of the Access SwRS. 11. View the Results. 12. Log out. | **Cases 1-5:**  (1) The user is logged in.  (2-11) The search is performed and returns all Records Schedules based on any entered search criteria (if applicable) and the system will:   * Enforce the permissions for searching for Records Schedules based on the Search Records Schedule - Roles/Permissions table in the Access SwRS. * Provide the capability for users to enter search criteria for a Records Schedule using the criteria listed in Search Records Schedule – Search Criteria table of the Access SwRS. * Enforce the permissions for displaying results of a Records Schedule search based on the Search Records Schedule - Roles/Permissions table in the Access SwRS. * Display the results of a Records Schedule search to the user based on the elements contained in the Search Records Schedule - Search Results Display table in the Access SwRS.   (12) The user is logged out. | NS |
| LMB0700.2.1.1.1.2 | The system shall provide the capability for users to enter search criteria for a Records Schedule Item using the criteria listed in Search Records Schedule Item - Search Criteria table of the Access SwRS. | NS |
| LMB0700.2.1.1.1.9 | The system shall enforce the permissions for searching for Records Schedules based on the Search Records Schedule - Roles/Permissions table in the Access SwRS. | NS |
| LMB0700.2.1.1.1.10 | The system shall enforce the permissions for searching for Records Schedule Items based on the Search Records Schedule - Roles/Permissions table in the Access SwRS. | NS |
| LMB0700.2.1.3.2.1.1 | The system shall display the results of a Records Schedule search to the user based on the elements contained in the Search Records Schedule - Search Results Display table in the Access SwRS. | NS |
| LMB0700.2.1.3.2.1.2 | The system shall display the results of a Records Schedule Item search to the user based on the elements contained in the Search Records Schedule Item - Search Results Display table of the Access SwRS. | NS |
| LMB0700.2.1.3.2.1.8 | The system shall enforce the permissions for displaying results of a Records Schedule search based on the Search Records Schedule - Roles/Permissions table in the Access SwRS. | NS |
| LMB0700.2.1.3.2.1.9 | The system shall enforce the permissions for displaying results of a Records Schedule Item search based on the Search Records Schedule - Roles/Permissions table in the Access SwRS. | NS |
| **View Records Schedules** | | | | |
| LMB0100.1.1.1.3.2 | The system shall enforce the permissions for viewing a Records Schedule as listed in the Records Schedule - Roles / Permissions Table of the Data Management SwRS. | NOTE: Users have the ability to view Records Schedules based upon their permissions as identified in the Records Schedule – Roles/Permissions Table of the Data Management SwRS.  **Case 1:**   1. Log in to the SBA workbench as each of the following roles:    1. Records Scheduler (Agency)    2. Records Scheduler (NARA)    3. Records Appraiser    4. System Administrator 2. Search and retrieve a Records Schedule in a Draft state. 3. View the Records Schedule. 4. Log out of the SBA workbench.   **Case 2:**   1. Log in to the SBA workbench as each of the following roles:    1. Records Scheduler (Agency)    2. Records Scheduler (NARA).    3. Certifying Official    4. Records Appraiser    5. System Administrator 2. Search and retrieve a Records Schedule in Submitted for Certification state. 3. View the Records Schedule. 4. Log out of the SBA workbench.   **Case 3:**   1. Log in to the SBA workbench as each of the following roles: 2. Records Scheduler (Agency) 3. Records Scheduler (NARA). 4. Certifying Official 5. Records Appraiser 6. System Administrator 7. Search and retrieve a Records Schedule in Submitted Revision for Certification state. 8. View the Records Schedule. 9. Log out of the SBA workbench.   **Case 4:**   1. Log in to the SBA workbench as each of the following roles: 2. Records Scheduler (Agency) 3. Records Scheduler (NARA). 4. Certifying Official 5. Records Appraiser 6. LMT Member 7. Appraiser Manager 1 8. Appraiser Manager 2 9. Archivist of the United States or Designee 10. System Administrator 11. NARA Accessioning Manager 12. NARA Receiving Manager 13. Transferring Official (NARA) 14. Transfer Staff 15. Search and retrieve a Records Schedule in a Proposed state. 16. View the Records Schedule. 17. Log out of the SBA workbench.   **Case 5:**   1. Log in to the SBA workbench as each of the following roles: 2. Records Scheduler (Agency) 3. Records Scheduler (NARA). 4. Certifying Official 5. Records Appraiser 6. LMT Member 7. Appraiser Manager 1 8. Appraiser Manager 2 9. Archivist of the United States or Designee 10. System Administrator 11. Records Processor 12. NARA Accessioning Manager 13. NARA Receiving Manager 14. Transferring Official (NARA) 15. Transfer Staff 16. Search and retrieve a Records Schedule in an Appraiser Working Version state. 17. View the Records Schedule. 18. Log out of the SBA workbench.   **Case 6:**   1. Log in to the SBA workbench as each of the following roles: 2. Records Scheduler (Agency) 3. Records Scheduler (NARA). 4. Certifying Official 5. Records Appraiser 6. LMT Member 7. Appraiser Manager 1 8. Appraiser Manager 2 9. Archivist of the United States or Designee 10. System Administrator 11. Records Processor 12. NARA Accessioning Manager 13. NARA Receiving Manager 14. Transferring Official (NARA) 15. Transfer Staff 16. Search and retrieve a Records Schedule in a Returned for Revision state. 17. View the Records Schedule. 18. Log out of the SBA workbench.   **Case 7:**   1. Log in to the SBA workbench as each of the following roles: 2. Records Scheduler (Agency) 3. Records Scheduler (NARA). 4. Certifying Official 5. Records Appraiser 6. LMT Member 7. Appraiser Manager 1 8. Appraiser Manager 2 9. Archivist of the United States or Designee 10. System Administrator 11. Records Processor 12. NARA Accessioning Manager 13. NARA Receiving Manager 14. Transferring Official (NARA) 15. Transfer Staff 16. Search and retrieve a Records Schedule in a Returned for Revision Working Version state. 17. View the Records Schedule. 18. Log out of the SBA workbench.   **Case 8:**   1. Log in to the SBA workbench as each of the following roles: 2. Records Scheduler (Agency) 3. Records Scheduler (NARA). 4. Certifying Official 5. Records Appraiser 6. LMT Member 7. Appraiser Manager 1 8. Appraiser Manager 2 9. Archivist of the United States or Designee 10. System Administrator 11. Records Processor 12. NARA Accessioning Manager 13. NARA Receiving Manager 14. Transferring Official (NARA) 15. Transfer Staff 16. Search and retrieve a Records Schedule in a Returned without Action state. 17. View the Records Schedule. 18. Log out of the SBA workbench.   **Case 9:**   1. Log in to the SBA workbench as each of the following roles:    1. Records Scheduler (Agency)    2. Records Scheduler (NARA)    3. Certifying Official    4. Records Appraiser    5. LMT Member    6. Appraiser Manager 1    7. Appraiser Manager 2    8. Archivist of the United States or Designee    9. System Administrator    10. Records Processor    11. NARA Accessioning Manager    12. NARA Receiving Manager    13. Transferring Official (NARA)    14. Transfer Staff 2. Search and retrieve a Records Schedule in an Appraiser Reviewed state. 3. View the Records Schedule. 4. Log out of the SBA workbench.   **Case 10:**   1. Log in to the SBA workbench as each of the following roles:    1. Records Scheduler (Agency)    2. Records Scheduler (NARA)    3. Certifying Official    4. Records Appraiser    5. LMT Member    6. Appraiser Manager 1    7. Appraiser Manager 2    8. Archivist of the United States or Designee    9. System Administrator    10. Records Processor    11. NARA Accessioning Manger    12. NARA Receiving Manager    13. Transferring Official (NARA)    14. Transfer Staff 2. Search and retrieve a Records Schedule in an Appraiser Manager 1 Concurred state. 3. View the Records Schedule. 4. Log out of the SBA workbench.   **Case 11:**   1. Log in to the SBA workbench as each of the following roles: 2. Records Scheduler (Agency) 3. Records Scheduler (NARA) 4. Certifying Official 5. Records Appraiser 6. LMT Member 7. Appraiser Manager 1 8. Appraiser Manager 2 9. Archivist of the United States or Designee 10. System Administrator 11. Records Processor 12. NARA Accessioning Manger 13. NARA Receiving Manager 14. Transferring Official (NARA) 15. Transfer Staff 16. Other Agency Users 17. Search and retrieve a Records Schedule in an Appraiser Manager 2 Concurred state. 18. View the Records Schedule. 19. Log out of the SBA workbench.   **Case 12:**   1. Log in to the SBA workbench as each of the following roles:    1. Records Scheduler (Agency)    2. Records Scheduler (NARA)    3. Certifying Official    4. Records Appraiser    5. LMT Member    6. Appraiser Manager 1    7. Appraiser Manager 2    8. Archivist of the United States or Designee    9. System Administrator    10. Records Processor    11. NARA Accessioning Manager    12. NARA Receiving Manager    13. Transferring Official (Agency)    14. Transferring Official (NARA)    15. Transfer Staff    16. Other Agency Users 2. Search and retrieve a Records Schedule in an Approved state 3. View the Records Schedule. 4. Log out of the SBA workbench.   **Case 13:**   1. Log in to the SBA workbench as each of the following roles:    1. Records Scheduler (Agency)    2. Records Scheduler (NARA)    3. Certifying Official    4. Records Appraiser    5. LMT Member    6. Appraiser Manager 1    7. Appraiser Manager 2    8. Archivist of the United States or Designee    9. System Administrator    10. Records Processor    11. NARA Accessioning Manager    12. NARA Receiving Manager    13. Transferring Official (Agency)    14. Transferring Official (NARA)    15. Transfer Staff    16. Other Agency Users 2. Search and retrieve a Records Schedule in an Approved Schedule Working Version state. 3. View the Records Schedule. 4. Log out of the SBA workbench.   **Case 14:**   1. Log in to the SBA workbench as each of the following roles:    1. Records Scheduler (Agency)    2. Records Scheduler (NARA)    3. Certifying Official    4. Records Appraiser    5. LMT Member    6. Appraiser Manager 1    7. Appraiser Manager 2    8. Archivist of the United States or Designee    9. System Administrator    10. Records Processor    11. NARA Accessioning Manager    12. NARA Receiving Manager    13. Transferring Official (Agency)    14. Transferring Official (NARA)    15. Transfer Staff    16. Other Agency Users 2. Search and retrieve a Records Schedule in a Modified Approved Version state 3. View the Records Schedule. 4. Log out of the SBA workbench. | **Case 1:**  (1) The user is logged in.  (2-3) The Draft Records Schedules are displayed based upon the permissions identified in the Records Schedule – Roles/Permissions Table of the Data Management SwRS.  (4) The user is logged out.  **Case 2:**  (1) The user is logged in.  (2-3) The Records Schedules, Submitted for Certification, are displayed based upon the permissions identified in the Records Schedule – Roles/Permissions Table of the Data Management SwRS.  (4) The user is logged out.  **Case 3:**  (1) The user is logged in.  (2-3) The Records Schedules, Submitted Revision for Certification, are displayed based upon the permissions identified in the Records Schedule – Roles/Permissions Table of the Data Management SwRS.  (4) The user is logged out.  **Case 4:**  (1) The user is logged in.  (2-3) The Proposed Records Schedule is displayed based upon the permissions identified in the Records Schedule – Roles/Permissions Table of the Data Management SwRS.  (4) The user is logged out.  **Case 5:**  (1) The user is logged in.  (2-3) The Appraiser Working Version Records Schedule is displayed based upon the permissions identified in the Records Schedule – Roles/Permissions Table of the Data Management SwRS.  (4) The user is logged out.  **Case 6:**  (1) The user is logged in.  (2-3) The Return for Revision Records Schedule is displayed based upon the permissions identified in the Records Schedule – Roles/Permissions Table of the Data Management SwRS.  (4) The user is logged out.  **Case 7:**  (1) The user is logged in.  (2-3) The Return for Revision Working Version Records Schedule is displayed based upon the permissions identified in the Records Schedule – Roles/Permissions Table of the Data Management SwRS.  (4) The user is logged out.  **Case 8:**  (1) The user is logged in.  (2-3) The Return without Action Records Schedule is displayed based upon the permissions identified in the Records Schedule – Roles/Permissions Table of the Data Management SwRS.  (4) The user is logged out.  **Case 9:**  (1) The user is logged in.  (2-3) The Appraiser Reviewed Records Schedule is displayed based upon the permissions identified in the Records Schedule – Roles/Permissions Table of the Data Management SwRS.  (4) The user is logged out.  **Case 10:**  (1) The user is logged in.  (2-3) The Appraiser Manager 1 Concurred Records Schedules are displayed based upon the permissions identified in the Records Schedule – Roles/Permissions Table of the Data Management SwRS.  (4) The user is logged out.  **Case 11:**  (1) The user is logged in.  (2-3) The Appraiser Manager 2 Concurred Records Schedules are displayed based upon the permissions identified in the Records Schedule – Roles/Permissions Table of the Data Management SwRS.  (4) The user is logged out.  **Case 12:**  (1) The user is logged in.  (2-3) The Approved Records Schedules are displayed based upon the permissions identified in the Records Schedule – Roles/Permissions Table of the Data Management SwRS.  (4) The user is logged out.  **Case 13:**  (1) The user is logged in.  (2-3) The Approved Working Version Records Schedules are displayed based upon the permissions identified in the Records Schedule – Roles/Permissions Table of the Data Management SwRS.  (4) The user is logged out.  **Case 14:**  (1) The user is logged in.  (2-3) The Modified Approved Version Records Schedules are displayed based upon the permissions identified in the Records Schedule – Roles/Permissions Table of the Data Management SwRS.  (4) The user is logged out. | NS |
| **Modify a Records Schedule (Hierarchies, Elements, Items and Overviews)** | | | | |
| LMB0100.1.1.1.5.1 | The system shall enforce the permissions for modifying a Records Schedule as listed in the Records Schedule - Roles/Permissions table of the Data Management SwRS. | **Case 1:**   1. Log in to the SBA workbench as a Records Scheduler (Agency). 2. Search and retrieve a Records Schedule in a Draft state. 3. Modify required data elements on the General Information screen and save. 4. Modify optional data elements on the General Information screen and save. 5. Navigate to the Item Information tab. 6. Select and modify an existing Overview. 7. Select and modify an existing Records Schedule Item (required and optional data elements). 8. Add a Record Schedule Item Overview. 9. Add a Permanent Records Schedule Item (independent of an Overview). 10. Add a Temporary Records Schedule Item (independent of an Overview) that is being transferred to NARA. 11. Move the Permanent Records Schedule Item created in step 9 to the Overview created in step 6. 12. Move the Temporary Records Schedule Item created in step 10 to the Overview created in step 6. 13. Select and reorder the Permanent and Temporary Records Schedule Items. 14. Select the Overview created in step 8 and move a pre-existing Overview. 15. Select a Records Schedule Item associated to an Overview and move to the Hierarchy Root. 16. Select a Records Schedule Item belonging to an Overview containing multiple Records Schedule Items and move to another Overview. 17. Save the Records Schedule. 18. Log out of the SBA Workbench.   **Case 2:**   1. Log in to the SBA workbench as a Records Scheduler (Agency). 2. Search and retrieve a Records Schedule in a Returned for Revision Working Version state. 3. Repeat steps 3 through 18 of Case 1.   **Case 3:**   1. Log in to the SBA workbench as a Records Scheduler (NARA). 2. Search and retrieve a Records Schedule in a Draft state. 3. Repeat steps 3 through 18 of Case 1.   **Case 4:**   1. Log in to the SBA workbench as a Certifying Official. 2. Search and retrieve a Records Schedule in a Submitted for Certification state. 3. Repeat steps 3 through 18 of Case 1.   **Case 5:**   1. Log in to the SBA workbench as a Certifying Official. 2. Search and retrieve a Records Schedule in a Submitted Revision for Certification state. 3. Repeat steps 3 through 18 of Case 1.   **Case 6:**   1. Log in to the SBA workbench as a Certifying Official. 2. Search and retrieve a Records Schedule in a Returned for Revision Working Version state. 3. Repeat steps 3 through 18 of Case 1.   **Case 7:**   1. Log in to the SBA workbench as a Records Appraiser. 2. Search and retrieve a Records Schedule in an Appraiser Working Version state. 3. Repeat steps 3 through 18 of Case 1.   **Case 8:**   1. Log in to the SBA workbench as an Appraiser Manager 1. 2. Search and retrieve a Records Schedule in an Appraiser Reviewed state. 3. Repeat steps 3 through 18 of Case 1.   **Case 9:**   1. Log in to the SBA workbench as an Appraiser Manager 2. 2. Search and retrieve a Records Schedule in an Appraiser Manager 1 Concurred state. 3. Repeat steps 3 through 18 of Case 1.   **Case 10:**   1. Log in to the SBA workbench as an Archivist of the United States or Designee. 2. Search and retrieve a Records Schedule in an Appraiser Manager 2 Concurred state. 3. Repeat steps 3 through 18 of Case 1.   **Case 11:**   1. Log in to the SBA workbench as a Records Appraiser. 2. Search, retrieve, and view a Records Schedule in an Approved state. 3. Request Approved Schedule Working Version. 4. Search, retrieve, and view a Records Schedule in an Approved Schedule Working Version state. 5. Modify all of the following elements: 6. Agency Name 7. Major Agency Subdivision 8. Minor Agency Subdivision 9. Title of Overview 10. Overview Description 11. Item Title 12. Item Description 13. Agency Manual Indicator 14. Save the changes. 15. Log Out. | **Cases 1-10:**  (1-2) The Records Scheduler (Agency) is logged in, the Records Schedule is displayed.  (3 - 4) The system provides the ability to modify required and optional data elements in a Records Schedule.    (5) The system:   * enforces permissions for viewing Records Schedule Items. * provides the capability to view Records Schedule Overviews within a Records Schedule Item hierarchy. * provides the capability to view Record Schedule Item hierarchies.   (6) The system provides the capability to modify Records Schedule Item Overviews and the modification is saved.  (7) The system:   * provides the ability to modify required / optional data elements in a Records Schedule Item. * enforces the permissions to modify a Records Schedule Item.   (8) A Records Schedule Item Overview is added.  (9) A Permanent Records Schedule Item is added independent of an Overview.  (10) A Temporary Records Schedule Item is added independent of an Overview.  (11 - 13) The system provides the capability to rearrange Records Schedule Items within an Overview and the order is saved.  (14) The system provides the capability to rearrange Records Schedule Item Overviews and the order is saved.  (15) The system provides the capability to move a Records Schedule Items from an Overview to the Root of the Item Information Hierarchy and the order is saved.  (16) The system provides the capability to move a Records Schedule Item from one overview to another and the order is saved.  (17-18) The Records Schedule is saved and the user is logged off.  **Case 11:**  (1) The Records Appraiser is logged in.  (2) The search is completed and the Approved Records Schedule is displayed.  (3) The system creates an Approved Schedule Working Version of the Approved Records Schedule and displays a message “The system has successfully created a working version of approved Records Schedule <RS-ID>.”  (4) The search is completed and the Approved Schedule Working Version Records Schedule is displayed.  (5-6) The system displays a message “The system has successfully applied changes to Records Schedule <RS-ID>”. The modifications are saved and the state is set to Modified Approved Version. A message is displayed that the changes have been saved.  (7) The user is logged out. | NS |
| LMB0100.1.1.1.5.2 | The system shall provide the capability to modify the Records Schedule data elements as listed in the Records Schedule Required Data Elements table of the Data Management SwRS. | NS |
| LMB0100.1.1.1.5.3 | The system shall provide the capability to modify the Records Schedule data elements as listed in the Records Schedule Optional Data Elements table of the Data Management SwRS. | NS |
| LMB0100.1.1.1.4.4 | The system shall enforce the permissions for viewing a Records Schedule Items as listed in the Records Schedule - Roles / Permissions Table of the Data Management SwRS. | NS |
| LMB0100.1.1.1.4.5 | The system shall provide the capability to view Records Schedule Item Overviews within a Records Schedule Item hierarchy. | NS |
| LMB0100.1.1.1.4.1 | The system shall provide the capability to view Records Schedule Item hierarchies. | NS |
| LMB0100.1.1.1.6.1 | The system shall enforce the permissions for modifying Records Schedule Items as listed in the Records Schedule - Roles/Permissions table of the Data Management SwRS. | NS |
| LMB0100.1.1.1.6.2 | The system shall provide the capability to modify Records Schedule Item Overviews. | NS |
| LMB0100.1.1.1.6.4 | The system shall provide the capability to move a Records Schedule Item from one Overview to another Overview. | NS |
| LMB0100.1.1.1.6.5 | The system shall provide the capability to rearrange Records Schedule Items within an Overview. | NS |
| LMB0100.1.1.1.6.6 | The system shall provide the capability to rearrange Records Schedule Item Overviews. | NS |
| LMB0100.1.1.1.6.8 | The system shall provide the capability to move a Records Schedule Item from an Overview to the Root. | NS |
| LMB0100.1.1.1.16.2 | The system shall track the state of a Record Schedule as described in the Records Schedule - Business Process Flow sections of the Data Management SwRS. | NS |
| **Return to Submitter a Records Schedule** | | | | |
| LMB0100.1.1.1.14.2 | The system shall enforce the permissions for rejecting the Records Schedule as listed in the Records Schedule - Roles/Permissions table in the Data Management SwRS. | **Case 1:**   1. Log in as an Archivist of the United States or Designee. 2. Select the task link for any available Records Schedule that is requiring Approval. 3. Return to Submitter the Records Schedule. 4. Log Out. 5. Log in as an Appraiser Manager 2. 6. Review the Task List section and verify a Task is displayed that the ‘Records Schedule Returned Awaiting Further Review’. 7. Select the Records Schedule link and verify the State is set to Appraiser Manager 1 Concurred. 8. Log Out.   **Case 2:**   1. Log in as an Appraiser Manager 2. 2. Select the task link for any available Records Schedule that is requiring Appraiser Manager 2 Concurrence. 3. Return to Submitter the Records Schedule. 4. Log Out. 5. Log in as an Appraiser Manager 1. 6. Review the Task List section and verify a Task is displayed that the ‘Records Schedule Returned Awaiting Further Review’. 7. Select the Records Schedule link and verify the State is set to Appraiser Reviewed. 8. Log Out.   **Case 3:**   1. Log in as an Appraiser Manager 1. 2. Select the task link for any available Records Schedule that is requiring Appraiser Manager 1 Concurrence. 3. Return to Submitter the Records Schedule. 4. Log Out. 5. Log in as a Records Appraiser. 6. Review the Task List section and verify a Task is displayed that the ‘Records Schedule Returned Awaiting Further Review’. 7. Select the Records Schedule link and verify the State is set to Appraiser Working Version. 8. Log Out.   **Case 4:**   1. Log in as a Certifying Official. 2. Select the task link for any available Records Schedule that requires Certification. 3. Return to Submitter the Records Schedule. 4. Log Out. 5. Log in as a Records Scheduler. 6. Review the Task List section and verify a Task is displayed that the ‘Records Schedule Returned for Modification’. 7. Select the Records Schedule link. 8. Log Out. | **Case 1:**  (1) The Archivist of the United States or Designee is logged in.  (2) The Records Schedule is displayed.  (3) The Records Schedule is Returned to Submitter and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Returned to Submitter”. * Enforces the permissions identified in the Records Schedule – Roles and permissions table for Returning to Submitter the Records Schedule. * Retains the title of the user that returns to submitter the Records Schedule to Appraiser Manager 1 Concurred state. * Retains the name of the user that returns to submitter the Records Schedule to Appraiser Manager 1 Concurred state. * Retains the organization of the user that returns to submitter the Records Schedule to Appraiser Manager 1 Concurred state. * Retains the date that the Records Schedule was returns to submitter to Appraiser Manager 1 Concurred state. * The system transitions the Records Schedule to Appraiser Manager 1 Concurred state. * Task is sent to the Appraiser Manager 2 Task List that the ‘Records Schedule Returned Awaiting Further Review’.   (4) The Archivist of the United States or Designee is logged out.  (5) The Appraiser Manager 2 is logged in.  (6-7) The Records Schedule is displayed in the Appraiser Manager 1 Concurred state.  (8) The Appraiser Manager 2 is logged out.  **Case 2:**  (1) The Appraiser Manager 2 is logged in.  (2) The Records Schedule is displayed.  (3) The Records Schedule is Returned to Submitter and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Returned to Submitter”. * Enforces the permissions identified in the Records Schedule – Roles and permissions table for Returning to Submitter the Records Schedule. * Retains the title of the user that returns to submitter the Records Schedule to Appraiser Reviewed state. * Retains the name of the user that returns to submitter the Records Schedule to Appraiser Reviewed state. * Retains the organization of the user that returns to submitter the Records Schedule to Appraiser Reviewed state. * Retains the date that the Records Schedule was returns to submitter to Appraiser Reviewed state. * The system transitions the Records Schedule to Appraiser Reviewed state. * Task is sent to the Appraiser Manager 1 Task List that the ‘Records Schedule Returned Awaiting Further Review’.   (4) The Appraiser Manager 2 is logged out.  (5) The Appraiser Manager 1 is logged in.  (6-7) The Records Schedule is displayed in the Appraiser Reviewed state.  (8) The Appraiser Manager 1 is logged out.  **Case 3:**  (1) The Appraiser Manager 1 is logged in.  (2) The Records Schedule is displayed.  (3) The Records Schedule is Return to Submitter and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Return to Submitter”. * Enforces the permissions identified in the Records Schedule – Roles and permissions table for Returning to Submitter the Records Schedule. * Retains the title of the user that returns to submitter the Records Schedule to Appraiser Working Version state. * Retains the name of the user that returns to submitter the Records Schedule to Appraiser Working Version state. * Retains the organization of the user that returns to submitter the Records Schedule to Appraiser Working Version state. * Retains the date that the Records Schedule was returns to submitter to Appraiser Working Version state. * The system transitions the Records Schedule to Appraiser Working Version state. * Task is sent to the Records Appraiser’s Task List that the ‘Records Schedule Returned Awaiting Further Review’.   (4) The Appraiser Manager 1 is logged out.  (5) The Records Appraiser is logged in.  (6-7) The Records Schedule is displayed in the Appraiser Working Version state.  (8) The Records Appraiser is logged out.  **Case 4:**  (1) The Certifying Official is logged in.  (2) The Records Schedule is displayed.  (3) The Records Schedule is Return to Submitter and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Return to Submitter.” * Enforces the permissions identified in the Records Schedule – Roles and permissions table for Returning to Submitter the Records Schedule. * Retains the title of the user that returns to submitter the Records Schedule to Draft state. * Retains the name of the user that returns to submitter the Records Schedule to Draft state. * Retains the organization of the user that returns to submitter the Records Schedule to Draft state. * Retains the date that the Records Schedule was returns to submitter to Draft state. * The system transitions the Records Schedule to Draft state. * Task is sent to the Records Schedulers Task List that the ‘Records Schedule Returned for Modification’.   (4) The Certifying Official is logged out.  (5) The Records Scheduler is logged in.  (6-7) The Records Schedule is displayed in the Draft state.  (8) The Records Scheduler is logged out. | NS |
| LMB0100.1.1.1.14.5 | The system shall retain the title of the user that rejected the Record Schedule to Draft. | NS |
| LMB0100.1.1.1.14.6 | The system shall retain the Organization of the user that rejected the Record Schedule to Draft. | NS |
| LMB0100.1.1.1.14.7 | The system shall retain the date that the Record Schedule was rejected to Draft. | NS |
| LMB0100.1.1.1.14.11 | The system shall retain the date that the Record Schedule was rejected to Proposed. | NS |
| LMB0100.1.1.1.14.12 | The system shall retain the title of the user that rejected the Record Schedule to Proposed. | NS |
| LMB0100.1.1.1.14.13 | The system shall retain the name of the user that rejected the Record Schedule to Proposed. | NS |
| LMB0100.1.1.1.14.14 | The system shall retain the date that the Record Schedule was rejected to Appraiser Reviewed. | NS |
| LMB0100.1.1.1.14.15 | The system shall retain the title of the user that rejected the Record Schedule to Appraiser Reviewed. | NS |
| LMB0100.1.1.1.14.16 | The system shall retain the name of the user that rejected the Record Schedule to Appraiser Reviewed. | NS |
| LMB0100.1.1.1.14.17 | The system shall retain the date that the Record Schedule was rejected to Appraiser Manager 1 Concurred. | NS |
| LMB0100.1.1.1.14.18 | The system shall retain the title of the user that rejected the Record Schedule to Appraiser Manager 1 Concurred. | NS |
| LMB0100.1.1.1.14.19 | The system shall retain the name of the user that rejected the Record Schedule to Appraiser Manager 1 Concurred. | NS |
| LMB0100.1.1.1.14.20 | The system shall retain the name of the user that rejected the Record Schedule to Draft. | NS |
| LMB0100.1.1.1.14.22 | The system shall retain the Organization of the user that rejected the Record Schedule to Appraiser Reviewed. | NS |
| LMB0100.1.1.1.14.23 | The system shall retain the Organization of the user that rejected the Record Schedule to Appraiser Manager 1 Concurred. | NS |
| LMB0100.1.1.1.16.2 | The system shall track the state of a Record Schedule as described in the Records Schedule - Business Process Flow sections of the Data Management SwRS. | NS |
| LMB0100.1.1.1.16.3 | The system shall transition a Record Schedule between states as described in the Records Schedule - Business Process Flow sections of Data Management SwRS. | NS |
| LMB0100.1.1.1.17.2 | The system shall assign tasks to users as outlined in the Record Schedule - Tasks table in the Data Management SwRS. | NS |
| **Return without Action a Records Schedule** | | | | |
| LMB0100.1.1.1.14.8 | The system shall retain the date that the Record Schedule was rejected to Returned without Action. | **Case 1:**   1. Log in to the SBA workbench as a Records Appraiser. 2. Search, retrieve, and view a Records Schedule in Appraiser Working Version state. 3. Return without Action the Records Schedule. 4. Log out of the SBA workbench. 5. Log in as a Certifying Official. 6. Review the Notifications. 7. Log Out.   **Case 2:**   1. Log in to the SBA workbench as a Records Appraiser. 2. Search, retrieve, and view a Records Schedule in Appraiser Working Version state. 3. Return without Action the Records Schedule. 4. Log out of the SBA workbench. 5. Log in as a Records Scheduler. 6. Review the Notifications. 7. Log Out. | **Case 1:**  (1) The Records Appraiser is logged in.  (2) The search is completed and the Records Schedule is displayed.  (3) The Records Schedule is Returned Without Action and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Returned without Action”. * Enforces the permissions identified in the Records Schedule – Roles and permissions table for Returning without Action the Records Schedule. * The system retains the title of the user that Returned without Action the Records Schedule. * The system retains the name of the user that Returned without Action the Records Schedule. * The system retains the organization of the user that Returned without Action the Records Schedule. * The system retains the date that the Records Schedule was Returned without Action. * The system transitions the Records Schedule to the “Returned Without Action” state. * Notification is sent to the Certifying Official that the ‘Records Schedule Returned without Action’. * The system marks all of the associated Records Schedule Items as “withdrawn”   (4) The user is logged out.  (5) The Certifying Official is logged in.  (6) Verify that a ‘Records Schedule Returned without Action’ notification is displayed for this RS.  (7) The user is logged out.  **Case 2:**  (1) The Records Appraiser is logged in.  (2) The search is completed and the Records Schedule is displayed.  (3) The Records Schedule is Returned Without Action and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Returned without Action”. * Enforces the permissions identified in the Records Schedule – Roles and permissions table for Returning without Action the Records Schedule. * The system retains the title of the user that Returned without Action the Records Schedule. * The system retains the name of the user that Returned without Action the Records Schedule. * The system retains the organization of the user that Returned without Action the Records Schedule. * The system retains the date that the Records Schedule was Returned without Action. * The system transitions the Records Schedule to the “Returned Without Action” state. * Notification is sent to the Certifying Official that the ‘Records Schedule Returned without Action’. * The system marks all of the associated Records Schedule Items as “withdrawn”   (4) The user is logged out.  (5) The Records Scheduler is logged in.  (6) Verify that a ‘Records Schedule Returned without Action’ notification is displayed for this RS.  (7) The user is logged out. | NS |
| LMB0100.1.1.1.14.9 | The system shall retain the title of the user that rejected the Record Schedule to Returned without Action. | NS |
| LMB0100.1.1.1.14.10 | The system shall retain the name of the user that rejected the Record Schedule to Returned without Action. | NS |
| LMB0100.1.1.1.14.21 | The system shall retain the Organization of the user that rejected the Record Schedule to Returned without Action. | NS |
| LMB0100.1.1.1.16.2 | The system shall track the state of a Record Schedule as described in the Records Schedule - Business Process Flow sections of the Data Management SwRS. | NS |
| LMB0100.1.1.1.16.3 | The system shall transition a Record Schedule between states as described in the Records Schedule - Business Process Flow sections of Data Management SwRS. | NS |
| LMB0100.1.1.1.17.2 | The system shall assign tasks to users as outlined in the Record Schedule - Tasks table in the Data Management SwRS. | NS |
| **Return for Revision a Records Schedule** | | | | |
| LMB0100.1.1.1.14.24 | The system shall provide the capability for a proposed schedule that has been modified to be returned for revision. | **Case 1:**   1. Log in to the SBA workbench as a Records Appraiser. 2. Search, retrieve, and view a Records Schedule in the Appraiser Working Version state. 3. Return for Revision the Records Schedule. 4. Log out of the SBA workbench. 5. Log in to the SBA workbench as a Records Schedule (Agency). 6. Review the Task List section and verify a Task is displayed that the ‘Records Schedule Returned for Revision’. 7. Select the Records Schedule link and verify the State is set to Returned for Revision Working Version. 8. Modify the Records Schedule and save. 9. Submit for Certification the Records Schedule. 10. Log Out.   **Case 2:**   1. Log in to the SBA workbench as a Records Appraiser. 2. Search, retrieve, and view a Records Schedule in an Appraiser Working Version state. 3. Return for Revision the Records Schedule. 4. Log out of the SBA workbench. 5. Log in to the SBA workbench as a Certifying Official. 6. Review the Task List section and verify a Task is displayed that the ‘Records Schedule Returned for Revision’. 7. Select the Records Schedule link and verify the State is set to Returned for Revision Working Version. 8. Modify the Records Schedule and save. 9. Submit for Certification the Records Schedule. 10. Log Out.   **Case 3:**   1. Log in to the SBA workbench as a Records Appraiser. 2. Search, retrieve, and view a Records Schedule in Appraiser Working Version state. 3. Return for Revision the Records Schedule. 4. Log out of the SBA workbench. 5. Log in to the SBA workbench as a Records Schedule (Agency). 6. Review the Task List section and verify a Task is displayed that the ‘Records Schedule Returned for Revision’. 7. Select the Records Schedule link and verify the State is set to Returned for Revision Working Version. 8. Return with No Changes the Records Schedule. 9. Log Out.   **Case 4:**   1. Log in to the SBA workbench as a Records Appraiser. 2. Search, retrieve, and view a Records Schedule in Appraiser Working Version state. 3. Return for Revision the Records Schedule. 4. Log out of the SBA workbench. 5. Log in to the SBA workbench as a Certifying Official. 6. Review the Task List section and verify a Task is displayed that the ‘Records Schedule Returned for Revision’. 7. Select the Records Schedule link and verify the State is set to Returned for Revision Working Version. 8. Return with No Changes the Records Schedule. 9. Log Out. | **Case 1:**  (1) The Records Appraiser is logged in.  (2) The search is completed and the Records Schedule is displayed.  (3) The Records Schedule is Returned for Revision and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Returned for Revision”. * Enforces the permissions identified in the Records Schedule – Roles and permissions table for Returning for Revision the Records Schedule. * The system retains the title of the user that Returned for Revision the Records Schedule. * The system retains the name of the user that Returned for Revision the Records Schedule. * The system retains the organization of the user that Returned for Revision the Records Schedule. * The system retains the date that the Records Schedule was Returned for Revision. * The system transitions the Records Schedule to ‘Returned for Revision’. * A task is sent to the Records Scheduler (Agency) and Certifying Official that the ‘Records Schedule Returned for Revision’.   (4) The user is logged out.  (5) The Records Scheduler (Agency) is logged in.  (6-7) The Records Schedule is displayed in the Returned for Revision Working Version state.  (8) The Records Schedule is successfully modified and saved.  (9) The system conducts the following:   * Displays a message, “Records Schedule <RS-ID> has been successfully submitted for certification.” * Data is saved. * Validates that all completed fields conform to the Records Schedule schema. * Enforce the permissions for approving a Records Schedule as listed in the Records Schedule - Roles/Permissions table in the Data Management SwRS. * The status of the Records Schedule is transitioned from Returned for Revision Working Version to Submitted Revision for Certification. * A task is sent to the Certifying Official’s Task List noting that the Records Schedule is awaiting Certification.   (10) The user is logged out.  **Case 2:**  (1) The Records Appraiser is logged in.  (2) The search is completed and the Records Schedule is displayed.  (3) The Records Schedule is Returned for Revision and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Returned for Revision”. * Enforces the permissions identified in the Records Schedule – Roles and permissions table for Returning for Revision the Records Schedule. * The system retains the title of the user that Returned for Revision the Records Schedule. * The system retains the name of the user that Returned for Revision the Records Schedule. * The system retains the organization of the user that Returned for Revision the Records Schedule. * The system retains the date that the Records Schedule was Returned for Revision. * The system transitions the Records Schedule to a ‘Returned for Revision’. * A task is sent to the Records Schedule (Agency) and Certifying Official that the ‘Records Schedule Returned for Revision’.   (4) The user is logged out.  (5) The Certifying Official is logged in.  (6-7) The Records Schedule is displayed in the Returned for Revision Working Version state.  (8) The Records Schedule is successfully modified and saved.  (9) The system conducts the following:   * Displays a message, “Records Schedule <RS-ID> has been successfully submitted for certification.” * Data is saved. * Validates that all completed fields conform to the Records Schedule schema. * Enforce the permissions for approving a Records Schedule as listed in the Records Schedule - Roles/Permissions table in the Data Management SwRS. * The status of the Records Schedule is transitioned from Returned for Revision Working Version to Submitted Revision for Certification. * A task is sent to the Certifying Official’s Task List noting that the Records Schedule is awaiting Certification.   (10) The user is logged out.  **Case 3:**  (1) The Records Appraiser is logged in.  (2) The search is completed and the Records Schedule is displayed.  (3) The Records Schedule is Returned for Revision and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Returned for Revision”. * Enforces the permissions identified in the Records Schedule – Roles and permissions table for Returning for Revision the Records Schedule. * The system retains the title of the user that Returned for Revision the Records Schedule. * The system retains the name of the user that Returned for Revision the Records Schedule. * The system retains the organization of the user that Returned for Revision the Records Schedule. * The system retains the date that the Records Schedule was Returned for Revision. * The system transitions the Records Schedule to a ‘Returned for Revision’. * A task is sent to the Records Schedule (Agency) and Certifying Official that the ‘Records Schedule Returned for Revision’.   (4) The user is logged out.  (5) The Records Scheduler (Agency) is logged in.  (6-7) The Records Schedule is displayed in the Returned for Revision Working Version state.  (8) The system conducts the following:   * Displays a message, “Records Schedule <RS-ID> was successfully returned to the National Archives with no changes.” * The status of the Records Schedule is transitioned from Returned for Revision Working Version to Appraiser Working Version. * A task is sent to the Records Appraiser’s Task List noting that the Records Schedule has been Returned with No Changes.   (9) The user is logged out.  **Case 4:**  (1) The Records Appraiser is logged in.  (2) The search is completed and the Records Schedule is displayed.  (3) The Records Schedule is Returned for Revision and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Returned for Revision”. * Enforces the permissions identified in the Records Schedule – Roles and permissions table for Returning for Revision the Records Schedule. * The system retains the title of the user that Returned for Revision the Records Schedule. * The system retains the name of the user that Returned for Revision the Records Schedule. * The system retains the organization of the user that Returned for Revision the Records Schedule. * The system retains the date that the Records Schedule was Returned for Revision. * The system transitions the Records Schedule to a ‘Returned for Revision’. * A task is sent to the Records Schedule (Agency) and Certifying Official that the ‘Records Schedule Returned for Revision’.   (4) The user is logged out.  (5) The Certifying Official is logged in.  (6-7) The Records Schedule is displayed in the Returned for Revision Working Version state.  (8) The system conducts the following:   * Displays a message, “Records Schedule <RS-ID> was successfully returned to the National Archives with no changes.” * The status of the Records Schedule is transitioned from Returned for Revision Working Version to Appraiser Working Version. * A task is sent to the Records Appraiser’s Task List noting that the Records Schedule has been Returned with No Changes.   (9) The user is logged out. | NS |
| LMB0100.1.1.1.14.25 | The system shall provide the capability for a proposed schedule that has been revised to be resubmitted for approval | NS |
| **View Versions of a Records Schedule** | | | | |
| LMB0100.1.1.1.3.1 | The system shall provide the capability to view a version of a Records Schedule as listed in the Asset Catalog Entry - Records Schedule Representations table of the Data Management SwRS. | **Case 1:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Submitted For Certification state. 3. Note the Human-Readable ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Human-Readable ID identified in Step 3. 7. View the event history.   **Case 2:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Proposed state. 3. Note the Human-Readable ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Human-Readable ID identified in Step 3. 7. View the event history.   **Case 3:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Returned Without Action state. 3. Note the Human-Readable ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Human-Readable ID identified in Step 3. 7. View the event history.   **Case 4:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Returned For Revision state. 3. Note the Human-Readable ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Human-Readable ID identified in Step 3. 7. View the event history.   **Case 5:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Appraiser Reviewed state. 3. Note the Human-Readable ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Human-Readable ID identified in Step 3. 7. View the event history.   **Case 6:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Appraiser Manager 1 Concurred state. 3. Note the Human-Readable ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Human-Readable ID identified in Step 3. 7. View the event history.   **Case 7:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Appraiser Manager 2 Concurred state. 3. Note the Human-Readable ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Human-Readable ID identified in Step 3. 7. View the event history.   **Case 8:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Approved state. 3. Note the Human-Readable ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Human-Readable ID identified in Step 3. 7. View the event history.   **Case 9:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Modified Approved Version state. 3. Note the Human-Readable ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Human-Readable ID identified in Step 3. 7. View the event history.   **Case 10:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule where data has been added to its folder. 3. Note the Human-Readable ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Human-Readable ID identified in Step 3. 7. View the event history.   **Case 11:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule where data has been removed from its folder. 3. Note the Human-Readable ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Human-Readable ID identified in Step 3. 7. View the event history.   **Case 12:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule where an attachment has been added. 3. Note the Human-Readable ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Human-Readable ID identified in Step 3. 7. View the event history.   **Case 13:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule where an attachment has been deleted. 3. Note the Human-Readable ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Human-Readable ID identified in Step 3. 7. View the event history. | **Case 1-9:**  (1) System Administrator is logged on.  (2) The search is completed and the Records Schedule is displayed.  (3-7) The user is able to view the Event history for the Records Schedule in the .XML file for the state noted in step 2.  **Case 10:**  (1) System Administrator is logged on.  (2) The search is completed and the Records Schedule is displayed.  (3-7) The user is able to view the Event history for the “folder” event in the .XML file with the following data captured:   * Date and time of the event * User ID who performed the action * The event name * The folder’s human readable ID * The folder’s name   **Case 11:**  (1) System Administrator is logged on.  (2) The search is completed and the Records Schedule is displayed.  (3-7) The user is able to view the Event history for the “folder” event in the .XML file with the following data captured:   * Date and time of the event * User ID who performed the action * The event name * The folder’s human readable ID * The folder’s name   **Case 12:**  (1) System Administrator is logged on.  (2) The search is completed and the Records Schedule is displayed.  (3-7) The user is able to view the Event history for the “attachment” event in the .XML file with the following data captured:   * Date and time of the event * User ID who performed the action * The event name * The attachment’s file name   **Case 13:**  (1) System Administrator is logged on.  (2) The search is completed and the Records Schedule is displayed.  (3-7) The user is able to view the Event history for the “attachment” event in the .XML file with the following data captured:   * Date and time of the event * User ID who performed the action * The event name * The attachment’s file name | NS |
| LMB0100.1.1.1.16.4 | The system shall maintain Records Schedule event information for the events outlined in the Records Schedule– Events table of the Data Management SwRS. | NS |
| **Transfer Plan** | | | | |
| LMB0100.1.1.1.13.28 | The system shall create a Transfer Plan in the Approval Workflow based on the business rules listed in the Records Schedule - Business Rules in the Data Management SwRS. | **Case 1:**   * 1. Log on to the SBA workbench as a Records Scheduler (Agency).   2. Create a Records Schedule.   3. Enter required and optional data elements on the General Info screen.   4. Navigate to the Records Schedule Item information screen.   5. Create a Permanent Records Schedule Item.   6. Submit the Records Schedule for Certification.   7. Log out of the SBA workbench.   8. Log in to the SBA workbench as a Certifying Official.   9. Search and retrieve the Records Schedule.   10. Certify the Records Schedule.   11. Log out of the SBA workbench.   12. Log in to the SBA workbench as a Records Appraiser.   13. Search and retrieve the Records Schedule.   14. Submit for Concurrence the Records Schedule.   15. Log out of the SBA workbench.   16. Log in to the SBA workbench as Appraiser Manager 1.   17. Search and retrieve the Records Schedule.   18. Concur the Records Schedule.   19. Log out of the SBA workbench.   20. Log in to the SBA workbench as Appraiser Manager 2.   21. Search and retrieve the Records Schedule.   22. Concur the Records Schedule.   23. Log out of the SBA workbench.   24. Log in to the SBA workbench as an Archivist of the United States or Designee.   25. Search and retrieve the Records Schedule.   26. Approve the Records Schedule.   27. Log out of the SBA workbench.   28. Log in to the SBA workbench as a Records Processor.   29. Search, retrieve and view the associated Transfer Plan.   30. Log out of the SBA workbench.   **Case 2:**   1. Log on to the SBA workbench as a Records Scheduler (NARA). 2. Create a Records Schedule. 3. Repeat steps 3 through 30 from Case 1. | **Cases 1-2:**  (1) The Records Schedule is created and approved.  (2-29) Transfer Plans are created upon final Approval of the Records Schedule and the Transfer Information from the associated Records Schedule Items is displayed in the Transfer Plan.  (30) The user is logged out. | NS |

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# Business Rule Test steps

The following section contains the execution steps for business rule testing related to Records Schedule functionality.

Table : Business Rule Test Steps

| **BR\_ID** | **Business Rule** | **Execution Steps** | **Expected Results** | **P/F/NS** |
| --- | --- | --- | --- | --- |
| **NOTES:** The following Test Scenarios verify requirement LMB0100.1.1.1.18.1 The system shall apply the business rules listed in Record Schedule - Business Rules sections of the Data Management SwRS. | | | | |
| BR\_1 | A Transfer Plan shall be created for any Records Schedule containing Permanent Records Schedule Items. | **Case 1:**   1. Log on to the SBA workbench as a Records Scheduler (Agency). 2. Create a Records Schedule. 3. Enter required and optional data elements on the General Info screen. 4. Navigate to the Records Schedule Item information screen. 5. Create a Permanent Records Schedule Item. 6. Submit the Records Schedule for Certification. 7. Log out of the SBA workbench. 8. Log in to the SBA workbench as a Certifying Official. 9. Search and retrieve the Records Schedule. 10. Certify the Records Schedule. 11. Log out of the SBA workbench. 12. Log in to the SBA workbench as a Records Appraiser. 13. Search and retrieve the Records Schedule. 14. Submit for Concurrence the Records Schedule. 15. Log out of the SBA workbench. 16. Log in to the SBA workbench as an Appraiser Manager Appraiser Manager 1. 17. Search and retrieve the Records Schedule. 18. Concur the Records Schedule. 19. Log out of the SBA workbench. 20. Log in to the SBA workbench as an Appraiser Manager Appraiser Manager 2. 21. Search and retrieve the Records Schedule. 22. Concur the Records Schedule. 23. Log out of the SBA workbench. 24. Log in to the SBA workbench as an Archivist of the United States or Designee. 25. Search and retrieve the Records Schedule. 26. Approve the Records Schedule. 27. Log out of the SBA workbench. 28. Log in to the SBA workbench as a Records Processor. 29. Search, retrieve and view the associated Transfer Plan. 30. Log out of the SBA workbench.   **Case 2:**   1. Log on to the SBA workbench as a Records Scheduler (NARA). 2. Create a Records Schedule. 3. Repeat steps 3 through 30 from Case 1. | **Cases 1-2:**  (1) The Records Schedule is created and approved.  (2-29) Transfer Plans are created upon final Approval of the Records Schedule and the Transfer Information from the associated Records Schedule Items is displayed in the Transfer Plan.  (30) The user is logged out. | NS |
| BR\_2 | Records Schedules shall have Human-Readable Identifiers. The identifier begins with the code DAA (i.e., Disposition Agreement Agency) followed by four digits for the Record Group number, then by a four digit year for the fiscal year that the schedule was created; and then, by a four digit sequence number. | **Case 1**:   1. Log on to the SBA workbench as a Records Scheduler (Agency). 2. Create a Records Schedule. 3. Submit for Certification the Records Schedule 4. Log out of the SBA workbench. 5. Log in to the SBA workbench as a Certifying Official 6. Search and retrieve the Records Schedule. 7. Certify the Records Schedule. 8. Log out of the SBA workbench. | **Case 1**  (1) Records Scheduler (Agency) is logged on.  (2 -7) A Records Schedule is created and certified and the Human-Readable identifier is 'DAA'; Record Group Number; current Fiscal Year; and a generated Sequential Number.  (8) the user is logged out. | NS |
| BR\_3 | Records Schedule Items shall have Human-Readable Identifiers. The identifier is the Records Schedule number followed by a four digit sequence number. | **Case 1**:   1. Log on to the SBA workbench as a Records Scheduler (Agency). 2. Create a Records Schedule. 3. Create two Records Schedule Items. 4. Submit the Records Schedule for Certification. 5. Log out of the SBA workbench.   **Case 2:**   1. Log on to the SBA workbench as a Records Scheduler (NARA). 2. Create a Records Schedule. 3. Repeat steps 3 through 5 from Case 1. | **Case 1**  (1) Records Scheduler (Agency) is logged on.  (2 -4) The Records Schedule Item ID is a concatenation of Records Schedule ID and Sequential Numbering upon confirmation of adding the Records Schedule Item and submission of the Records Schedule by the Records Scheduler (Agency).  (5) the user is logged out.  **Case 2**  (1) Records Scheduler (NARA) is logged on.  (2 -4) The Records Schedule Item ID is a concatenation of Records Schedule ID and Sequential Numbering upon confirmation of adding the Records Schedule Item and submission of the Records Schedule by the Records Scheduler (NARA).  (5) the user is logged out. | NS |
| BR\_4 | Table 13 illustrates the events that will be captured for a Records Schedule:   * Submitted For Certification * Certified * Returned Without Action * Returned For Revision * Submitted For Approval * Appraiser Manager 1 Concurred * Appraiser Manager 2 Concurred * Approved * Applied Modifications to Approved Schedule Working Version * Added to a Folder * Removed from a Folder * Added Attachment * Deleted Attachment | **Case 1:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Submitted For Certification state. 3. Select the Asset ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Asset ID identified in Step 3. 7. View the event history.   **Case 2:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Proposed state. 3. Select the Asset ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Asset ID identified in Step 3. 7. View the event history.   **Case 3:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Returned Without Action state. 3. Select the Asset ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Asset ID identified in Step 3. 7. View the event history.   **Case 4:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Returned For Revision state. 3. Select the Asset ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Asset ID identified in Step 3. 7. View the event history.   **Case 5:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Appraiser Reviewed state. 3. Select the Asset ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Asset ID identified in Step 3. 7. View the event history.   **Case 6:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Appraiser Manager 1 Concurred state. 3. Select the Asset ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Asset ID identified in Step 3. 7. View the event history.   **Case 7:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Appraiser Manager 2 Concurred state. 3. Select the Asset ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Asset ID identified in Step 3. 7. View the event history.   **Case 8:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Approved state. 3. Select the Asset ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Asset ID identified in Step 3. 7. View the event history.   **Case 9:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule in Modified Approved Version state. 3. Select the Asset ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Asset ID identified in Step 3. 7. View the event history.   **Case 10:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule where data has been added to its folder. 3. Select the Asset ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Asset ID identified in Step 3. 7. View the event history.   **Case 11:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule where data has been removed from its folder. 3. Select the Asset ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Asset ID identified in Step 3. 7. View the event history.   **Case 12:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule where an attachment has been added. 3. Select the Asset ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Asset ID identified in Step 3. 7. View the event history.   **Case 13:**   1. Log in to the SBA workbench as a System Administrator. 2. Search for a Records Schedule where an attachment has been deleted. 3. Select the Asset ID. 4. On the desktop, navigate to the ‘My Network Places’ 5. Select and open the Asset folder (m-oosxml1) 6. Select the .XLM file for the Asset ID identified in Step 3. 7. View the event history. | **Case 1-9:**  (1) System Administrator is logged on.  (2) The search is completed and the Records Schedule is displayed.  (3-7) The user is able to view the Event history for the Records Schedule in the .XML file for the state noted in step 2.  **Case 10:**  (1) System Administrator is logged on.  (2) The search is completed and the Records Schedule is displayed.  (3-7) The user is able to view the Event history for the “folder” event in the .XML file with the following data captured:   * Date and time of the event * User ID who performed the action * The event name * The folder’s human readable ID * The folder’s name   **Case 11:**  (1) System Administrator is logged on.  (2) The search is completed and the Records Schedule is displayed.  (3-7) The user is able to view the Event history for the “folder” event in the .XML file with the following data captured:   * Date and time of the event * User ID who performed the action * The event name * The folder’s human readable ID * The folder’s name   **Case 12:**  (1) System Administrator is logged on.  (2) The search is completed and the Records Schedule is displayed.  (3-7) The user is able to view the Event history for the “attachment” event in the .XML file with the following data captured:   * Date and time of the event * User ID who performed the action * The event name * The attachment’s file name   **Case 13:**  (1) System Administrator is logged on.  (2) The search is completed and the Records Schedule is displayed.  (3-7) The user is able to view the Event history for the “attachment” event in the .XML file with the following data captured:   * Date and time of the event * User ID who performed the action * The event name * The attachment’s file name | NS |
| BR\_5 | A Records Schedule that has been “Returned for Revision” to the Records Scheduler and Certifying Official shall require the Certifying Official to certify the schedule prior to submitting it to the Records Appraiser. | **Case 1:**   1. Log in to the SBA workbench as a Records Appraiser. 2. Search, retrieve, and view a Records Schedule in an Appraiser Working Version state. 3. Return for Revision the Records Schedule. 4. Log out of the SBA workbench. 5. Log in to the SBA workbench as a Records Scheduler (Agency). 6. Search, retrieve, and view the Records Schedule in a Returned for Revision Working Version state. 7. Update a modifiable field on the Records Schedule. 8. Submit for Certification the Records Schedule. 9. Log out of the SBA workbench. 10. Log in to the SBA workbench as a Certifying Official. 11. Search, retrieve, and view the Records Schedule in Submitted Revision for Certification state 12. Attempt to Return to Submitter the Records Schedule. 13. Certify the Records Schedule. 14. Return to Submitter the Records Schedule.   **Case 2:**   1. Log in to the SBA workbench as a Records Appraiser. 2. Search, retrieve, and view a Records Schedule in an Appraiser Working Version state. 3. Return for Revision the Records Schedule. 4. Log out of the SBA workbench. 5. Log in to the SBA workbench as a Certifying Official. 6. Search, retrieve, and view the Records Schedule in a Returned for Revision Working Version state. 7. Update a modifiable field on the Records Schedule. 8. Attempt to Return to Submitter the Records Schedule. 9. Certify the Records Schedule. 10. Return to Submitter the Records Schedule. | **Case 1:**  (1) The Records Appraiser is logged in.  (2) The search is completed and the Records Schedule is displayed.  (3) The Records Schedule is Returned For Revision and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Returned for Revision”. * The system transitions the Records Schedule to a Returned for Revision Working Version state. * Task is sent to the Records Scheduler (Agency) and Certifying Official that the ‘Records Schedule Returned for Revision’.   (4) The user is logged out.  (5) The Records Scheduler (Agency) is logged in.  (6) The search is completed and the Records Schedule in Returned for Revision Working Version state is displayed.  (7) A field of the Records Schedule is modified.  (8) The Records Schedule is Submitted for Certification and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully submitted for certification”. * The system transitions the Records Schedule to Submitted Revision for Certification state.   (9) The user is logged out.  (10) The Certifying Official is logged in.  (11) The search is completed and the Records Schedule in Submitted Revision for Certification state is displayed.  (12) The user is unable to Return to Submitter the Records Schedule without first certifying it.  (13) The Records Schedule is successfully certified.  (14) The Records Schedule is Returned to Submitter and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Returned to Submitter”. * The system transitions the Records Schedule to Appraiser Working Version state.   **Case 2:**  (1) The Records Appraiser is logged in.  (2) The search is completed and the Records Schedule is displayed.  (3) The Records Schedule is Returned For Revision and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Returned for Revision”. * The system transitions the Records Schedule to a Returned for Revision Working Version state. * Task is sent to the Records Scheduler (Agency) and Certifying Official that the ‘Records Schedule Returned for Revision’.   (4) The user is logged out.  (5) The Certifying Official is logged in.  (6) The search is completed and the Records Schedule in Returned for Revision Working Version state is displayed.  (7) A field of the Records Schedule is modified.  (8) The user is unable to Return to Submitter the Records Schedule without first certifying it.  (9) The Records Schedule is successfully certified.  (10) The Records Schedule is Returned to Submitter and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Returned to Submitter”. * The system transitions the Records Schedule to Appraiser Working Version state. | NS |
| BR\_6 | A Records Schedule that has been “Returned for Revision” to the Records Scheduler and Certifying Official shall retain the ERA ID Number assigned when first proposed to NARA. | **Case 1:**   1. Log in to the SBA workbench as a Records Appraiser. 2. Search, retrieve, and view a Records Schedule in an Appraiser Working Version state while noting the ERA ID.   \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   1. Return for Revision the Records Schedule. 2. Log out of the SBA workbench. 3. Log in to the SBA workbench as a Records Scheduler (Agency). 4. Search, retrieve, and view the Records Schedule in a Returned for Revision Working Version state. 5. Note the ERA ID of the Records Schedule in a Returned for Revision Working Version state.   \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   1. Log out of the SBA workbench.   **Case 2:**   1. Log in to the SBA workbench as a Records Appraiser. 2. Search, retrieve, and view a Records Schedule in an Appraiser Working Version state while noting the ERA ID.   \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   1. Return for Revision the Records Schedule. 2. Log out of the SBA workbench. 3. Log in to the SBA workbench as a Certifying Official. 4. Search, retrieve, and view the Records Schedule in a Returned for Revision Working Version state. 5. Note the ERA ID of the Records Schedule in a Returned for Revision Working Version state.   \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   1. Log out of the SBA workbench. | **Case 1:**  (1) The Records Appraiser is logged in.  (2) The search is completed and the Records Schedule is displayed and the ERA ID is noted.  (3) The Records Schedule is Returned For Revision and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Returned for Revision”. * The system transitions the Records Schedule to a Returned for Revision Working Version state. * Task is sent to the Records Scheduler (Agency) and Certifying Official that the ‘Records Schedule Returned for Revision’.   (4) The user is logged out.  (5) The Records Scheduler (Agency) is logged in.  (6) The search is completed and the Records Schedule in Returned for Revision Working Version state is displayed.  (7) Verify A Records Schedule that has been “Returned for Revision” to the Records Scheduler retains the ERA ID Number assigned when first proposed to NARA.  (8) The user is logged out.  **Case 2:**  (1) The Records Appraiser is logged in.  (2) The search is completed and the Records Schedule is displayed and ERA ID is noted.    (3) The Records Schedule is Returned For Revision and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Returned for Revision”. * The system transitions the Records Schedule to a Returned for Revision Working Version state. * Task is sent to the Records Scheduler (Agency) and Certifying Official that the ‘Records Schedule Returned for Revision’.   (4) The user is logged out.  (5) The Certifying Official is logged in.  (6) The search is completed and the Records Schedule in Returned for Revision Working Version state is displayed.  (7) Verify A Records Schedule that has been “Returned for Revision” to the Certifying Official retains the ERA ID Number assigned when first proposed to NARA.  (8) The user is logged out. | NS |
| BR\_7 | A Records Appraiser shall be able to retrieve a schedule that has been “Returned for Revision.” The system recalls the Returned for Revision version and makes this the Appraiser Working Version. | **Case 1:**   1. Log in to the SBA workbench as a Records Appraiser. 2. Search, retrieve, and view a Records Schedule in an Appraiser Working Version state. 3. Return for Revision the Records Schedule. 4. Log out of the SBA workbench. 5. Log in to the SBA workbench as a Records Scheduler (Agency). 6. Search, retrieve, and view the Records Schedule in a Returned for Revision Working Version state. 7. Update a modifiable field on the Records Schedule. 8. Save the modified Records Schedule. 9. Log out of the SBA workbench. 10. Log in to the SBA workbench as a Records Appraiser. 11. Search, retrieve, and view the Records Schedule in a Returned for Revision Working Version state. 12. Retrieve Schedule Returned for Revision. 13. Log out of the SBA workbench. 14. Log in to the SBA workbench as a Records Scheduler (Agency). 15. Search, retrieve, and view the Records Schedule in a Returned for Revision Working Version state. 16. Search, retrieve, and view the Records Schedule in an Appraiser Working Version state. 17. Log out of the SBA workbench. | **Case 1:**  (1) The Records Appraiser is logged in.  (2) The search is completed and the Records Schedule is displayed.  (3) The Records Schedule is Returned For Revision and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully Returned for Revision”. * The system transitions the Records Schedule to a Returned for Revision Working Version state. * Task is sent to the Records Scheduler (Agency) and Certifying Official that the ‘Records Schedule Returned for Revision’.   (4) The user is logged out.  (5) The Records Scheduler (Agency) is logged in.  (6) The search is completed and the Records Schedule in Returned for Revision Working Version state is displayed.  (7) A field of the Records Schedule is modified.  (8) The modified Records Schedule is successfully saved.  (9) The user is logged out.  (10) The Records Appraiser is logged in.  (11) The search is completed and the Records Schedule is displayed.  (12) The Records Schedule Returned for Revision is Retrieved and the system:   * Displays a message, “Records Schedule <RS-ID> has been successfully retrieved. Any modifications the Agency made to this schedule were not applied.” * The system transitions the Records Schedule Returned for Revision to Appraiser Working Version state.   (13) The user is logged out.  (14) The Records Scheduler (Agency) is logged in.  (15) The search is completed and the Records Schedule in Returned for Revision Working Version state is not returned in the search results.  (16) The search is completed and the Records Schedule is displayed without the modifications made to the Return for Revision version.  (17) The user is logged out. | NS |
| BR\_8 | Only the Records Appraiser, Appraiser Manager 1, Appraiser Manager 2 or the Archivist of the United States or Designee can mark an RSI withdrawn or lift that designation. | **Case 1:**   1. Log in to the SBA workbench as a Records Appraiser. 2. Search, retrieve, and view a Records Schedule in Appraiser Working Version state with Records Schedule Items in “pending” status. 3. Mark a Records Schedule Item as “withdrawn” and save. 4. Lift the “withdrawn” status from the Records Schedule Item and save. 5. Log out of the SBA workbench.   **Case 2:**   1. Log in to the SBA workbench as an Appraisal Manager 1. 2. Search, retrieve, and view a Records Schedule in Appraiser Reviewed state with Records Schedule Items in “pending” status. 3. Mark a Records Schedule Item as “withdrawn” and save. 4. Lift the “withdrawn” status from the Records Schedule Item and save. 5. Log out of the SBA workbench.   **Case 3:**   1. Log in to the SBA workbench as an Appraisal Manager 2. 2. Search, retrieve, and view a Records Schedule in Appraiser Manager 1 Concurred state with Records Schedule Items in “pending” status. 3. Mark a Records Schedule Item as “withdrawn” and save. 4. Lift the “withdrawn” status from the Records Schedule Item and save. 5. Log out of the SBA workbench.   **Case 4:**   1. Log in to the SBA workbench as an Archivist of the United States or Designee. 2. Search, retrieve, and view a Records Schedule in Appraiser Manager 2 Concurred state with Records Schedule Items in “pending” status. 3. Mark a Records Schedule Item as “withdrawn” and save. 4. Lift the “withdrawn” status from the Records Schedule Item and save. 5. Log out of the SBA workbench. | **Case 1:**  (1) The Records Appraiser is logged in.  (2) The search is completed and the Records Schedule with Records Schedule Items in “pending” status is displayed.  (3) The status of the Records Schedule Item is changed from “pending” to “withdrawn”.  (4) The status of the Records Schedule Item is lifted from “withdrawn” to “pending”.  (5) The user is logged out.  **Case 2:**  (1) The Appraisal Manager 1 is logged in.  (2) The search is completed and the Records Schedule with Records Schedule Items in “pending” status is displayed.  (3) The status of the Records Schedule Item is changed from “pending” to “withdrawn”.  (4) The status of the Records Schedule Item is lifted from “withdrawn” to “pending”.  (5) The user is logged out.  **Case 3:**  (1) The Appraisal Manager 2 is logged in.  (2) The search is completed and the Records Schedule with Records Schedule Items in “pending” status is displayed.  (3) The status of the Records Schedule Item is changed from “pending” to “withdrawn”.  (4) The status of the Records Schedule Item is lifted from “withdrawn” to “pending”.  (5) The user is logged out.  **Case 4:**  (1) The Archivist of the United States or Designee is logged in.  (2) The search is completed and the Records Schedule with Records Schedule Items in “pending” status is displayed.  (3) The status of the Records Schedule Item is changed from “pending” to “withdrawn”.  (4) The status of the Records Schedule Item is lifted from “withdrawn” to “pending”.  (5) The user is logged out. | NS |
| BR\_9 | Records Schedule Items in a “draft,” “submitted for certification” and “proposed” record schedule are set to the status of “pending”. | **Case 1:**   1. Log in to the application as Records Scheduler (NARA). 2. Create a Records Schedule from Blank with multiple Records Schedule Items. 3. Save the Records Schedule. 4. View the Item Information tab. 5. Ensure each of the Records Schedule Items has a status of “pending”. 6. Submit for Certification the Records Schedule. 7. Log out of the SBA workbench. 8. Log in to the application as Certifying Official. 9. Search, retrieve, and view the Records Schedule in Submitted for Certification state. 10. View the Item Information tab. 11. Ensure each of the Records Schedule Items has a status of “pending”. 12. Certify the Records Schedule. 13. Log out of the SBA workbench. 14. Log in to the application as Records Appraiser. 15. Search, retrieve, and view the Records Schedule in Proposed state. 16. View the Item Information tab. 17. Ensure each of the Records Schedule Items has a status of “pending”. 18. Log out of the SBA workbench. 19. Log in to the application as Appraiser Manager 1. 20. Search, retrieve, and view the Records Schedule in Appraiser Reviewed state. 21. View the Item Information tab. 22. Ensure each of the Records Schedule Items has a status of “pending”. 23. Log out of the SBA workbench. 24. Log in to the application as Appraiser Manager 2. 25. Search, retrieve, and view the Records Schedule in Appraiser Manager 1 Concurred state. 26. View the Item Information tab. 27. Ensure each of the Records Schedule Items has a status of “pending”. 28. Log out of the SBA workbench. | **Case 1:**  (1) The Records Scheduler (NARA) is logged in.  (2) The system will display a message, “Records Schedule <RS-ID> has been successfully created.”The Status will be set to Draft.  (3) The Records Schedule is successfully saved.  (4) The Records Schedule Item Information tab is displayed.  (5) Each of the Records Schedule Items has a status of “pending”.  (6) The Records Schedule is successfully Submitted for Certification.  (7) The user is logged out.  (8) The Certifying Official is logged in.  (9) The search is completed and the Records Schedule is displayed.  (10) The Records Schedule Item Information tab is displayed.  (11) Each of the Records Schedule Items has a status of “pending”.  (12) The Records Schedule is successfully Certified.  (13) The user is logged out.  (14) The Records Appraiser is logged in.  (15) The search is completed and the Records Schedule is displayed.  (16) The Records Schedule Item Information tab is displayed.  (17) Each of the Records Schedule Items has a status of “pending”.  (18) The user is logged out.  (19) The Appraiser Manager 1 is logged in.  (20) The search is completed and the Records Schedule is displayed.  (21) The Records Schedule Item Information tab is displayed.  (22) Each of the Records Schedule Items has a status of “pending”.  (23) The user is logged out.  (24) The Appraiser Manager 2 is logged in.  (25) The search is completed and the Records Schedule is displayed.  (26) The Records Schedule Item Information tab is displayed.  (27) Each of the Records Schedule Items has a status of “pending”.  (28) The user is logged out. | NS |
| BR\_10 | “Pending” records schedule items in an “approved” schedule are set to “active”. | **Case 1:**   1. Log in to the SBA workbench as an Archivist of the United States or Designee. 2. Search, retrieve, and view a Records Schedule in Appraiser Manager 2 Concurred state with multiple Records Schedule Items. 3. View the Item Information tab. 4. Ensure each of the Records Schedule Items has a status of “pending”. 5. Approve the Records Schedule. 6. Log out of the SBA workbench. 7. Log in to the application as Records Appraiser. 8. Search, retrieve, and view the Records Schedule in Approved state. 9. View the Item Information tab. 10. Ensure each of the Records Schedule Items now have a status of “active”. 11. Log out of the SBA workbench. | **Case 1:**  (1) The Archivist of the United States or Designee is logged in.  (2) The search is completed and the Records Schedule is displayed.  (3) The Records Schedule Item Information tab is displayed.  (4) Each of the Records Schedule Items has a status of “pending”.  (5) The Records Schedule is successfully Approved.  (6) The user is logged out.  (7) The Records Appraiser is logged in.  (8) The search is completed and the Records Schedule is displayed.  (9) The Records Schedule Item Information tab is displayed.  (10) The system has changed the status of “pending” Records Schedule Items in an Approved Records Schedule to “active”.  (11) The user is logged out. | NS |
| BR\_11 | A draft Records Schedule can be saved with one or none of the radio buttons under GAO approval checked. | **Case 1:**   1. Log in to the application as a Records Scheduler (NARA). 2. Create a draft Records Schedule. 3. On the General tab, enter all the required elements according to the rules and conditions provided in the Records Schedule – Required Data Elements table of the Data Management SwRS. 4. On the Item Information tab, create a Records Schedule Item that is temporary being transferred to NARA. 5. For this item, enter all the required elements according to the rules and conditions provided in the Records Schedule Item – Required Data Elements table of the Data Management SwRS. 6. In the ‘Additional Information : GAO Approval’ field, do not check any of the following values:    1. Not Required    2. Required and Not Received    3. Required and Received 7. Save the Records Schedule. 8. In the ‘Additional Information : GAO Approval’ field, check the following value:    1. Not Required 9. Save the Records Schedule. 10. In the ‘Additional Information : GAO Approval’ field, check the following value:     1. Required and Not Received 11. Save the Records Schedule. 12. In the ‘Additional Information : GAO Approval’ field, check the following value:     1. Required and Received 13. Save the Records Schedule. 14. Log out. | **Case 1:**  (1) The Records Scheduler (NARA) is logged in.  (2) The system displays the Records Schedule form in draft.  (3) The user is able to enter the required elements as listed in the Records Schedule – Required Data Elements Table of the Data Management SwRS.  (4) The system displays the Records Schedule Item form in draft.  (5) The user is able to enter the required elements as listed in the Records Schedule Item – Required Data Elements Table of the Data Management SwRS.  (6) The ‘Additional Information: GAO Approval’ field is blank.  (7-13) The system successfully saves the Records Schedule and displays a message, “Records Schedule <RS-ID> has been successfully saved.”  (14) The user is logged out. | NS |
| BR\_12 | An Appraiser Working version must have the GAO Approval set to “Not Required” or “Requested and Received” in order for the Records Appraiser to submit the schedule for concurrence by Appraiser Manager 1. | **Case 1:**   1. Log in to the application as a Records Scheduler (NARA). 2. Create a draft Records Schedule. 3. On the General tab, enter all the required elements according to the rules and conditions provided in the Records Schedule – Required Data Elements table of the Data Management SwRS. 4. On the Item Information tab, create a Records Schedule Item that is temporary being transferred to NARA. 5. For this item, enter all the required elements according to the rules and conditions provided in the Records Schedule Item – Required Data Elements table of the Data Management SwRS. 6. In the ‘Additional Information : GAO Approval’ field, check a value other than the following: 7. Not Required 8. Required and Received 9. Submit for Certification the Records Schedule. 10. Log out. 11. Log in to the application as a Certifying Official. 12. Search, retrieve, and view the Records Schedule in Submitted for Certification state. 13. Certify the Records Schedule. 14. Log out. 15. Log in to the application as a Records Appraiser. 16. Search, retrieve, and view the Records Schedule in Appraiser Working Version state. 17. Attempt to Submit for Concurrence the Records Schedule. 18. Log out.   **Case 2:**   1. Log in to the application as a Records Scheduler (NARA). 2. Create a draft Records Schedule. 3. On the General tab, enter all the required elements according to the rules and conditions provided in the Records Schedule – Required Data Elements table of the Data Management SwRS. 4. On the Item Information tab, create a Records Schedule Item that is temporary being transferred to NARA. 5. For this item, enter all the required elements according to the rules and conditions provided in the Records Schedule Item – Required Data Elements table of the Data Management SwRS. 6. In the ‘Additional Information : GAO Approval’ field, check one of the following values: 7. Not Required 8. Required and Received 9. Submit for Certification the Records Schedule. 10. Log out. 11. Log in to the application as a Certifying Official. 12. Search, retrieve, and view the Records Schedule in Submitted for Certification state. 13. Certify the Records Schedule. 14. Log out. 15. Log in to the application as a Records Appraiser. 16. Search, retrieve, and view the Records Schedule in Appraiser Working Version state. 17. Submit for Concurrence the Records Schedule. 18. Log out. | **Case 1:**  (1) The Records Scheduler (NARA) is logged in.  (2) The system displays the Records Schedule form in draft.  (3) The user is able to enter the required elements as listed in the Records Schedule – Required Data Elements Table of the Data Management SwRS.  (4) The system displays the Records Schedule Item form in draft.  (5) The user is able to enter the required elements as listed in the Records Schedule Item – Required Data Elements Table of the Data Management SwRS.  (6) The ‘Additional Information : GAO Approval’ field is populated with a value other than one of the following:   1. Not Required 2. Required and Received   (7) The system successfully saves the Records Schedule and displays a message, “Records Schedule <RS-ID> has been successfully submitted for certification.”  (8) The user is logged out.  (9) The Certifying Official is logged in.  (10) The search is completed and the Records Schedule is displayed.  (11) The system successfully saves the Records Schedule and displays a message, “Records Schedule <RS-ID> has been successfully certified.”  (12) The user is logged out.  (13) The Records Appraiser is logged in.  (14) The search is completed and the Records Schedule is displayed.  (15) Verify an Appraiser Working version must have the GAO Approval set to “Not Required” or “Requested and Received” in order for the Records Appraiser to submit the schedule for concurrence by Appraiser Manager 1.  (16) The user is logged out.  **Case 2:**  (1) The Records Scheduler (NARA) is logged in.  (2) The system displays the Records Schedule form in draft.  (3) The user is able to enter the required elements as listed in the Records Schedule – Required Data Elements Table of the Data Management SwRS.  (4) The system displays the Records Schedule Item form in draft.  (5) The user is able to enter the required elements as listed in the Records Schedule Item – Required Data Elements Table of the Data Management SwRS.  (6) The ‘Additional Information : GAO Approval’ field is populated with one of the following values:   1. Not Required 2. Required and Received   (7) The system successfully saves the Records Schedule and displays a message, “Records Schedule <RS-ID> has been successfully submitted for certification.”  (8) The user is logged out.  (9) The Certifying Official is logged in.  (10) The search is completed and the Records Schedule is displayed.  (11) The system successfully saves the Records Schedule and displays a message, “Records Schedule <RS-ID> has been successfully certified.”  (12) The user is logged out.  (13) The Records Appraiser is logged in.  (14) The search is completed and the Records Schedule is displayed.  (15) The system displays a message, “Records Schedule <RS-ID> has been successfully submitted for concurrence.”  (16) The user is logged out. | NS |
| BR\_14 | The default view of the hierarchical view of record schedule items will be to display all items/overviews without hiding nested items/overviews. | **Case 1:**   1. Log in to the application as a Records Scheduler (NARA). 2. Create a Records Schedule from Blank. 3. Save the Records Schedule. 4. On the Item Information tab, create two Records Schedule Item Overviews. 5. Create 4 Records Schedule Items:    1. One that is Permanent and not associated with an overview.    2. One that is Permanent and associated with the first overview.    3. One that is temporary being transferred to NARA and associated with the second overview.    4. One that is temporary; that is not being transferred to NARA; and, associated with the second overview. 6. Save the Records Schedule. 7. Submit for Certification the Records Schedule. 8. Log out. 9. Log in to the application as a Certifying Official. 10. Search, retrieve, and view the Records Schedule in Submitted for Certification state. 11. On the Records Schedule, view the hierarchy on the Item Information tab. | **Case 1:**  (1-2) The Records Scheduler (NARA) is logged in and able to create a Records Schedule from Blank.  (3) The system will display a message, “Records Schedule <RS-ID> has been successfully saved.”The Status will be set to Draft.  (4-5) The user is able to create Records Schedule Item Overviews and Records Schedule Items. Records Schedule Item Overviews and Items appear in the Records Schedule Item hierarchy. Human readable IDs are assigned to the Records Schedule Items.  (6) The system will display a message, “Records Schedule <RS-ID> has been successfully saved.”  (7) The system will display a message “Records Schedule <RS-ID> has been successfully submitted for certification.”  (8) The user is logged out.  (9) The Certifying Official is logged in.  (10) The search is completed and the Records Schedule is displayed.  (11) Verify the default view of the hierarchical view of Records Schedule Items is to display all Items/Overviews without hiding nested Items/Overviews. | NS |
| BR\_16 | In the hierarchical view of record schedule items, the items will be displayed showing: the last four digits of the item ID, the item title, and its item status (but, only if status is inactive, withdrawn); e.g. 0001-Personnel Records (Inactive) or 0002-Soil Sample Results (Withdrawn) | **Case 1:**   1. Log in to the SBA workbench as an Archivist of the United States or Designee. 2. Search, retrieve, and view a Records Schedule in Appraiser Manager 2 Concurred state with multiple Records Schedule Items. 3. View the Item Information tab. 4. Ensure each of the Records Schedule Items has a status of “pending”. 5. Mark several Records Schedule Item as “withdrawn”. 6. Approve the Records Schedule. 7. Search, retrieve, and view the Records Schedule in Approved Schedule Working Version state. 8. View the Item Information tab. 9. Ensure each of the “pending” Records Schedule Items now have a status of “active”. 10. Change the status of an “active” Records Schedule Item to “inactive”. 11. On the Records Schedule, view the hierarchy on the Item Information tab. 12. Log out of the SBA workbench. | **Case 1:**  (1) The Archivist of the United States or Designee is logged in.  (2) The search is completed and the Records Schedule is displayed.  (3) The Records Schedule Item Information tab is displayed.  (4) Each of the Records Schedule Items has a status of “pending”.  (5) The status of several Records Schedule Item is changed from “pending” to “withdrawn”.  (6) The Records Schedule is successfully Approved.  (7) The search is completed and the Records Schedule is displayed.  (8) The Records Schedule Item Information tab is displayed.  (9) The system has changed the status of “pending” Records Schedule Items in an Approved Records Schedule to “active”.  (10) The user changes the status of an “active” Records Schedule Item in an Approved Records Schedule to “inactive”.  (11) Verify in the hierarchical view of record schedule items, the items are displayed showing: the last four digits of the item ID, the item title, and the item status (e.g. 0001-Personnel Records (Inactive) or 0002-Soil Sample Results (Withdrawn)  (12) The user is logged out. | NS |
| BR\_17 | The Record Schedule status will be visible in all displays of the schedule, i.e., General, Item Information, Hierarchy, Signatory Information and Executive Summary. | **Case 1:**   1. Log in to the application as a Records Scheduler (NARA). 2. Search, retrieve, and view a Records Schedule in a Draft state. 3. Ensure the Records Schedule status is visible on the General Information display. 4. Ensure the Records Schedule status is visible on the Item Information display. 5. Ensure the Records Schedule status is visible on the Hierarchy display 6. Ensure the Records Schedule status is visible on the Signatory Information display. 7. Ensure the Records Schedule status is visible on the Executive Summary display. 8. Repeat steps 2 through 7 for Records Schedules in each of the following states:    1. Submitted for Certification    2. Submitted Revision for Certification    3. Proposed    4. Appraiser Working Version    5. Returned for Revision    6. Returned for Revision Working Version    7. Returned without Action    8. Appraiser Reviewed    9. Appraiser Manager 1 Concurred    10. Appraiser Manager 2 Concurred    11. Approved    12. Approved Schedule Working Version    13. Modified Approved Version. 9. Log out. | **Cases 1:**  (1) The Records Scheduler (NARA) is logged in.  (2) The search is completed and the Records Schedule in Draft state is displayed.  (3) The Records Schedule status is visible on the General Information display.  (4) The Records Schedule status is visible on the Item Information display.  (5) The Records Schedule status is visible on the Hierarchy display.  (6) The Records Schedule status is visible on the Signatory Information display.  (7) The Records Schedule status is visible on the Executive Summary display.  (8) Expected Results steps 2 through 7 are verified at each state of the Records Schedule.  (9) The user is logged out. | NS |
| BR\_18 | No new Records Schedule items can be added to an Approved schedule. | **Case 1:**   1. Log in as an Archivist of the United States or Designee. 2. Search, retrieve, and view the same Records Schedule in a Approved state. 3. Request a modification of the Records Schedule 4. Attempt to modify the Records Schedule by adding a new Records Schedule Item. 5. Log out. | **Case 1:**  (1) The Archivist of the United States or Designee is logged in.  (2) The search is completed and the Records Schedule in Approved state is displayed.  (3) The system accepts the request for modification, and provides the user with a “Approved Schedule Working Version” copy of the Records Schedule.  (4) The user is not able to add a new Records Schedule Item to an Approved Records Schedule.  (5) The user is logged out. | NS |
| BR\_20 | The “Withdrawn” designation can be marked or lifted only before the schedule is Approved. | **Case 1:**   1. Log in to the SBA workbench as a Archivist of the United States or Designee. 2. Search, retrieve, and view a Records Schedule in Appraiser Manager 2 Concurred state with multiple Records Schedule Items. 3. View the Item Information tab. 4. Ensure each of the Records Schedule Items has a status of “pending”. 5. Mark several Records Schedule Item as “withdrawn”. 6. Lift the “withdrawn” status from a Records Schedule Item. 7. Approve the Records Schedule. 8. Search, retrieve, and view the Records Schedule in Approved state. 9. View the Item Information tab. 10. Ensure each of the Records Schedule Items now have a status of “active”. 11. Attempt to mark a Records Schedule Item as “withdrawn”. 12. Attempt to lift the “withdrawn” status of a Records Schedule Item. 13. Log out of the SBA workbench. | **Case 1:**  (1) The Archivist of the United States or Designee is logged in.  (2) The search is completed and the Records Schedule is displayed.  (3) The Records Schedule Item Information tab is displayed.  (4) Each of the Records Schedule Items has a status of “pending”.  (5) The status of several Records Schedule Item is changed from “pending” to “withdrawn”.  (6) The status of a Records Schedule Item is lifted from “withdrawn” to “pending”.  (7) The Records Schedule is successfully Approved.  (8) The search is completed and the Records Schedule is displayed.  (9) The Records Schedule Item Information tab is displayed.  (10) The system has changed the status of “pending” Records Schedule Items in an Approved Records Schedule to “active”.  (11-12) Verify The “withdrawn” designation can be marked or lifted only before the schedule is Approved.  (13) The user is logged out. | NS |
| BR\_21 | Every newly generated schedule will be sent to the Certifying Official for that agency specified in the Records Schedule “Agency or Establishment” field. | **Case 1:**   1. Log in to the application as a Records Scheduler (NARA). 2. Create a Records Schedule from Blank. 3. Enter all fields that are listed as “required for creation” in the in the Records Schedule – Required Data Elements table of the Data Management SwRS while noting the agency listed in the “Agency or Establishment” field.     \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_   1. Submit the Records Schedule. 2. Log out of the SBA workbench. 3. Log in to the application as a Certifying Official of an Agency other than the Agency noted in Step 3. 4. Navigate to the Task List and search for the link for the Records Schedule that has been Submitted for Certification. 5. Log out. 6. Log in to the application as a Certifying Official of the Agency noted in Step 3. 7. Navigate to the Task List and search for the link for the Records Schedule that has been Submitted for Certification. 8. Select the associated task. 9. Log out. | **Case 1:**  (1-2) The Records Scheduler (NARA) is logged in and able to create a Records Schedule from Blank.  (3) The system pre-populates the data elements of the Records Schedule based on the rules listed in the Records Schedule – Required Data Elements Table of the Data Management SwRS while the user is able to enter fields listed as “required for creation” in the in the Records Schedule – Required Data Elements table of the Data Management SwRS including the “Agency or Establishment” field.  (4) The system will display a message, “Records Schedule <RS-ID> has been successfully submitted.”The Status will be set to Submitted for Certification.  (5) The user is logged out.  (6) A Certifying Official of an alternate Agency is logged in.  (7) The task for the newly created Records Schedule Submitted for Certification is not displayed.  (8) The user is logged out.  (9) A Certifying Official of the Agency noted is logged in.  (10) The task for the newly created Records Schedule Submitted for Certification is displayed.  (11) The Records Schedule Submitted for Certification is displayed.  (12) The user is logged out. | NS |
| BR\_22 | Any field that is “required for creation” cannot be modified after the Records Schedule is created, i.e., “Agency or Establishment” and “Records Group/Scheduling Group”. | **Case 1:**   1. Log in to the application as a Records Scheduler (NARA). 2. Create a Records Schedule from Blank associated with any of the associated Record Groups. 3. Enter all fields that are listed as “required for creation” in the in the Records Schedule – Required Data Elements table of the Data Management SwRS.    1. General: Record Group/Scheduling Group    2. General: Agency or Establishment 4. Save the Records Schedule. 5. Search, retrieve, and view the newly created Records Schedule in a Draft state. 6. Attempt to modify fields that are listed as “required for creation” in the in the Records Schedule – Required Data Elements table of the Data Management SwRS.    1. General: Record Group/Scheduling Group    2. General: Agency or Establishment 7. Log out. | **Case 1:**  (1-2) The Records Scheduler (NARA) is logged in and able to create a Records Schedule from Blank.  (3) The system pre-populates the data elements of the Records Schedule based on the rules listed in the Records Schedule – Required Data Elements Table of the Data Management SwRS while the user is able to enter fields listed as “required for creation” in the in the Records Schedule – Required Data Elements table.   1. General: Record Group/Scheduling Group 2. General: Agency or Establishment   (4) The system will display a message, “Records Schedule <RS-ID> has been successfully created.”The Status will be set to Draft.  (5) The search is completed and the Records Schedule in Draft state is displayed.  (6) The user is unable to modify fields listed as “required for creation” in the in the Records Schedule – Required Data Elements table.   1. General: Record Group/Scheduling Group 2. General: Agency or Establishment   (7) The user is logged out. | NS |

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# Error Path / Alternative Path / Exception Test steps

The following section contains execution steps for the Error Path / Alternative Path / Exception Testing for the ERA Records Schedule functionality.

Table : Error Path/Alternative Path/Exception Test Steps

| **EPET\_ID** | **Error Path / Alternative Path / Exception Test** | **Execution Steps** | **Expected Results** | **P/F/NS** |
| --- | --- | --- | --- | --- |
| EPET\_1 | Create a Records Schedule  *LMB0100.1.1.1.1.8*  *The system shall enforce the permissions for creating a Records Schedule as listed in the Records Schedule - Roles/Permissions Table of the Schedules Data Management SwRS.* | **Case 1:**   1. Log in as the following users and create a Records Schedule:    1. Account Administrator    2. Agency Approving Official    3. Appraiser 1st Level Manager    4. Appraiser 2nd Level Manager    5. Archivist of the United States or Designee    6. Authority List Manager    7. Certifying Official    8. Information System Security Manager    9. Ingest Staff    10. Inventory Administrator    11. Lifecycle Management Team Member    12. NARA Accessioning Manager    13. NARA Receiving Manager    14. Records Appraiser    15. Records Processor    16. Security Administrator    17. System Administrator    18. Transferring Entity (Agency)    19. Transferring Entity NARA    20. Transferring Official (Agency)    21. Transferring Official NARA    22. Transfer Staff | **Case 1:**  (1) The user does not have the ability to create Records Schedules. | NS |
| EPET\_2 | View a Records Schedule.  *LMB0100.1.1.1.3.2*  *The system shall enforce the permissions for viewing a Records Schedule as listed in the Records Schedule - Roles / Permissions Table of the Data Management SwRS.*  *LMB0100.1.1.1.4.4*  *The system shall enforce the permissions for viewing a Records Schedule Items as listed in the Records Schedule - Roles / Permissions Table of the Data Management SwRS.*  *LMB0100.1.1.1.4.5*  *The system shall provide the capability to view Records Schedule Item Overviews within a Records Schedule Item hierarchy.*  *LMB0100.1.1.1.4.1*  *The system shall provide the capability to view Records Schedule Item hierarchies.* | **Case 1:**   1. Log in to the SBA workbench with the following roles (and as a DoD user):    1. Certifying Official    2. LMT Member    3. Appraiser Manager 1    4. Appraiser Manager 2    5. Archivist of the United States or Designee    6. Records Processor    7. NARA Accessioning Manager    8. NARA Receiving Manager    9. Transferring Official (Agency)    10. Transferring Official (NARA)    11. Transfer Staff 2. Attempt to search and retrieve a Records Schedule in Draft state. 3. Log out of the SBA workbench.   **Case 2:**   1. Log in to the SBA workbench with the following roles (and as a DoD user):    1. LMT Member    2. Appraiser Manager 1    3. Appraiser Manager 2    4. Archivist of the United States or Designee    5. Records Processor    6. NARA Accessioning Manager    7. NARA Receiving Manager    8. Transferring Official (Agency)    9. Transferring Official (NARA)    10. Transfer Staff 2. Attempt to search and retrieve a Records Schedule in Submitted for Certification state. 3. Log out of the SBA workbench.   **Case 3:**   1. Log in to the SBA workbench with the following roles (and as a DoD user): 2. LMT Member 3. Appraiser Manager 1 4. Appraiser Manager 2 5. Archivist of the United States or Designee 6. Records Processor 7. NARA Accessioning Manager 8. NARA Receiving Manager 9. Transferring Official (Agency) 10. Transferring Official (NARA) 11. Transfer Staff 12. Attempt to search and retrieve a Records Schedule in Submitted Revision for Certification state. 13. Log out of the SBA workbench.   **Case 4:**   1. Log in to the SBA workbench with the following roles (and as a DoD user):    1. Records Processor    2. Transferring Official (Agency) 2. Attempt to search and retrieve a Records Schedule in a Proposed state. 3. Log out of the SBA workbench.   **Case 5:**   1. Log in to the SBA workbench with the following roles (and as a DoD user):    1. Records Processor    2. Transferring Official (Agency) 2. Attempt to search and retrieve a Records Schedule in a Appraiser Working Version state. 3. Log out of the SBA workbench.   **Case 6:**   1. Log in to the SBA workbench with the following roles (and as a DoD user):    1. Transferring Official (Agency) 2. Attempt to search and retrieve a Records Schedule in Appraiser Reviewed state. 3. Log out of the SBA workbench.   **Case 7:**   1. Log in to the SBA workbench with the following roles (and a DoD user):    1. Transferring Official (Agency) 2. Attempt to search and retrieve a Records Schedule in Appraiser Manager 1 Concurred state. 3. Log out of the SBA workbench.   **Case 8:**   1. Log in to the SBA workbench with the following roles (and a DoD user):    1. Transferring Official (Agency) 2. Attempt to search and retrieve a Records Schedule in Appraiser Manager 2 Concurred state. 3. Log out of the SBA workbench.   **Case 9:**   1. Log in to the SBA workbench as an Other Agency User (i.e. DOJ user): 2. Attempt to search and retrieve a Records Schedule of another Agency/Establishment (i.e. DoD) in the following states:    1. Draft    2. Submitted for Certification    3. Submitted Revision for Certification    4. Proposed    5. Appraiser Working Version    6. Appraiser Reviewed    7. Appraiser Manager 1 Concurred    8. Appraiser Manager 2 Concurred    9. Approved Schedule Working Version    10. Returned for Revision    11. Returned for Revision Working Version    12. Return Without Action 3. Log out of the SBA workbench.   **Case 10:**   1. Log in to the SBA workbench with the following roles (and a DoD user):    1. Transferring Official (Agency) 2. Attempt to search and retrieve a Records Schedule in Return for Revision state. 3. Log out of the SBA workbench.   **Case 11:**   1. Log in to the SBA workbench with the following roles (and a DoD user):    1. Transferring Official (Agency) 2. Attempt to search and retrieve a Records Schedule in Return for Revision Working Version state. 3. Log out of the SBA workbench.   **Case 12:**   1. Log in to the SBA workbench with the following roles (and a DoD user):    1. Transferring Official (Agency) 2. Attempt to search and retrieve a Records Schedule in Return without Action state. 3. Log out of the SBA workbench. | **Case 1-7, and 9-12:**  (1-3) The user does not have the ability to search and retrieve Records Schedules in the identified states.  **Case 9:**  (1-3) The ’Other Agency Users’ do not have the ability to search and retrieve Records Schedules that do not belong to their Agency/Establishments. | NS |
| EPET\_3 | Modify Required and Optional Data elements of a Records Schedule.  *LMB0100.1.1.1.5.1*  *The system shall enforce the permissions for modifying a Records Schedule as listed in the Records Schedule - Roles/Permissions table of the Data Management SwRS.*  *LMB0100.1.1.1.5.2*  *The system shall provide the capability to modify the Records Schedule data elements as listed in the Records Schedule Required Data Elements table of the Data Management SwRS.*  *LMB0100.1.1.1.5.3*  *The system shall provide the capability to modify the Records Schedule data elements as listed in the Records Schedule Optional Data Elements table of the Data Management SwRS.* | **Case 1:**   1. Log in to the SBA workbench as with each of the following roles    1. Certifying Official    2. Records Appraiser    3. LMT Member    4. System Administrator    5. Appraiser Manager 1    6. Appraiser Manager 2    7. Archivist of the United States or Designee    8. Records Processor    9. NARA Accessioning Manager    10. NARA Receiving Manager    11. Transferring Official (NARA)    12. Transferring Official (Agency)    13. Transfer Staff 2. Search, retrieve and view Records Schedules in a Draft state. 3. View the Records Schedule. 4. Modify required or optional data elements in the Records Schedule. 5. Log out of the SBA workbench.   **Case 2:**   1. Log in to the SBA workbench as with each of the following roles 2. Records Scheduler (Agency) 3. Records Scheduler (NARA) 4. Records Appraiser 5. LMT Member 6. System Administrator 7. Appraiser Manager 1 8. Appraiser Manager 2 9. Archivist of the United States or Designee 10. Records Processor 11. NARA Accessioning Manager 12. NARA Receiving Manager 13. Transferring Official (NARA) 14. Transferring Official (Agency) 15. Transfer Staff 16. Search, retrieve and view Records Schedules in Submitted for Certification state. 17. View the Records Schedule. 18. Modify required or optional data elements in the Records Schedule. 19. Log out of the SBA workbench.   **Case 3:**   1. Log in to the SBA workbench as with each of the following roles 2. Records Scheduler (Agency) 3. Records Scheduler (NARA) 4. Records Appraiser 5. LMT Member 6. System Administrator 7. Appraiser Manager 1 8. Appraiser Manager 2 9. Archivist of the United States or Designee 10. Records Processor 11. NARA Accessioning Manager 12. NARA Receiving Manager 13. Transferring Official (NARA) 14. Transferring Official (Agency) 15. Transfer Staff 16. Search, retrieve and view Records Schedules in Submitted Revision for Certification state. 17. View the Records Schedule. 18. Modify required or optional data elements in the Records Schedule. 19. Log out of the SBA workbench.   **Case 4:**   1. Log in to the SBA workbench as with each of the following roles 2. Records Scheduler (Agency) 3. Records Scheduler (NARA) 4. Certifying Official 5. Records Appraiser 6. LMT Member 7. System Administrator 8. Appraiser Manager 1 9. Appraiser Manager 2 10. Archivist of the United States or Designee 11. Records Processor 12. NARA Accessioning Manager 13. NARA Receiving Manager 14. Transferring Official (NARA) 15. Transferring Official (Agency) 16. Transfer Staff 17. Search, retrieve and view Records Schedules in Proposed state. 18. View the Records Schedule. 19. Modify required or optional data elements in the Records Schedule. 20. Log out of the SBA workbench.   **Case 5:**   1. Log in to the SBA workbench as with each of the following roles 2. Records Scheduler (Agency) 3. Records Scheduler (NARA) 4. Certifying Official 5. LMT Member 6. System Administrator 7. Appraiser Manager 1 8. Appraiser Manager 2 9. Archivist of the United States or Designee 10. Records Processor 11. NARA Accessioning Manager 12. NARA Receiving Manager 13. Transferring Official (NARA) 14. Transferring Official (Agency) 15. Transfer Staff 16. Search, retrieve and view Records Schedules in Appraiser Working Version state. 17. View the Records Schedule. 18. Modify required or optional data elements in the Records Schedule. 19. Log out of the SBA workbench.   **Case 6:**   1. Log in to the SBA workbench as with each of the following roles 2. Records Scheduler (Agency) 3. Records Scheduler (NARA) 4. Certifying Official 5. Records Appraiser 6. LMT Member 7. System Administrator 8. Appraiser Manager 2 9. Archivist of the United States or Designee 10. Records Processor 11. NARA Accessioning Manager 12. NARA Receiving Manager 13. Transferring Official (NARA) 14. Transferring Official (Agency) 15. Transfer Staff 16. Search, retrieve and view Records Schedules in an Appraiser Reviewed state. 17. View the Records Schedule. 18. Modify required or optional data elements in the Records Schedule. 19. Log out of the SBA workbench.   **Case 7:**   1. Log in to the SBA workbench as with each of the following roles 2. Records Scheduler (Agency) 3. Records Scheduler (NARA) 4. Certifying Official 5. Records Appraiser 6. LMT Member 7. System Administrator 8. Appraiser Manager 1 9. Archivist of the United States or Designee 10. Records Processor 11. NARA Accessioning Manager 12. NARA Receiving Manager 13. Transferring Official (NARA) 14. Transferring Official (Agency) 15. Transfer Staff 16. Search, retrieve and view Records Schedules in an Appraiser Manager 1 Concurred state. 17. View the Records Schedule. 18. Modify required or optional data elements in the Records Schedule. 19. Log out of the SBA workbench.   **Case 8:**   1. Log in to the SBA workbench as with each of the following roles 2. Records Scheduler (Agency) 3. Records Scheduler (NARA) 4. Certifying Official 5. Records Appraiser 6. LMT Member 7. System Administrator 8. Appraiser Manager 1 9. Appraiser Manager 2 10. Records Processor 11. NARA Accessioning Manager 12. NARA Receiving Manager 13. Transferring Official (NARA) 14. Transferring Official (Agency) 15. Transfer Staff 16. Search, retrieve and view Records Schedules in an Appraiser Manager 2 Concurred state. 17. View the Records Schedule. 18. Modify required or optional data elements in the Records Schedule. 19. Log out of the SBA workbench.   **Case 9:**   1. Log in to the SBA workbench as with each of the following roles 2. Records Scheduler (Agency) 3. Records Scheduler (NARA) 4. Certifying Official 5. Records Appraiser 6. LMT Member 7. System Administrator 8. Appraiser Manager 1 9. Appraiser Manager 2 10. Archivist of the United States or Designee 11. Records Processor 12. NARA Accessioning Manager 13. NARA Receiving Manager 14. Transferring Official (NARA) 15. Transferring Official (Agency) 16. Transfer Staff 17. Search, retrieve and view Records Schedules in an Approved state. 18. View the Records Schedule. 19. Modify required or optional data elements in the Records Schedule. 20. Log out of the SBA workbench.   **Case 10:**   1. Log in to the SBA workbench as with each of the following roles 2. Records Scheduler (Agency) 3. Records Scheduler (NARA) 4. Certifying Official 5. Records Appraiser 6. LMT Member 7. System Administrator 8. Appraiser Manager 1 9. Appraiser Manager 2 10. Archivist of the United States or Designee 11. Records Processor 12. NARA Accessioning Manager 13. NARA Receiving Manager 14. Transferring Official (NARA) 15. Transferring Official (Agency) 16. Transfer Staff 17. Search, retrieve and view Records Schedules in an Returned for Revision state. 18. View the Records Schedule. 19. Modify required or optional data elements in the Records Schedule. 20. Log out of the SBA workbench   **Case 11:**   1. Log in to the SBA workbench as with each of the following roles 2. Records Scheduler (NARA) 3. Records Appraiser 4. LMT Member 5. System Administrator 6. Appraiser Manager 1 7. Appraiser Manager 2 8. Archivist of the United States or Designee 9. Records Processor 10. NARA Accessioning Manager 11. NARA Receiving Manager 12. Transferring Official (NARA) 13. Transferring Official (Agency) 14. Transfer Staff 15. Search, retrieve and view Records Schedules in an Returned for Revision Working Version state. 16. View the Records Schedule. 17. Modify required or optional data elements in the Records Schedule. 18. Log out of the SBA workbench   **Case 12:**   1. Log in to the SBA workbench as with each of the following roles 2. Records Scheduler (Agency) 3. Records Scheduler (NARA) 4. Certifying Official 5. Records Appraiser 6. LMT Member 7. System Administrator 8. Appraiser Manager 1 9. Appraiser Manager 2 10. Archivist of the United States or Designee 11. Records Processor 12. NARA Accessioning Manager 13. NARA Receiving Manager 14. Transferring Official (NARA) 15. Transferring Official (Agency) 16. Transfer Staff 17. Search, retrieve and view Records Schedules in Returned without Action state. 18. View the Records Schedule. 19. Modify required or optional data elements in the Records Schedule. 20. Log out of the SBA workbench   **Case 13:**   1. Log in to the SBA workbench as with each of the following roles 2. Records Scheduler (Agency) 3. Records Scheduler (NARA) 4. Certifying Official 5. LMT Member 6. System Administrator 7. Appraiser Manager 1 8. Appraiser Manager 2 9. Archivist of the United States or Designee 10. Records Processor 11. NARA Accessioning Manager 12. NARA Receiving Manager 13. Transferring Official (NARA) 14. Transferring Official (Agency) 15. Transfer Staff 16. Search, retrieve and view Records Schedules in an Approved Schedule Working Version state. 17. View the Records Schedule. 18. Modify required or optional data elements in the Records Schedule. 19. Log out of the SBA workbench.   **Case 14:**   1. Log in to the SBA workbench as with each of the following roles 2. Records Scheduler (Agency) 3. Records Scheduler (NARA) 4. Certifying Official 5. Records Appraiser 6. LMT Member 7. System Administrator 8. Appraiser Manager 1 9. Appraiser Manager 2 10. Archivist of the United States or Designee 11. Records Processor 12. NARA Accessioning Manager 13. NARA Receiving Manager 14. Transferring Official (NARA) 15. Transferring Official (Agency) 16. Transfer Staff 17. Search, retrieve and view Records Schedules in an Approved Schedule Working Version state. 18. View the Records Schedule. 19. Modify required or optional data elements in the Records Schedule. 20. Log out of the SBA workbench. | **Case 1- 14:**  (1-5) The user does not have the ability to modify the sections, hierarchy, or elements (required or optional) in the Records Schedule. | NS |
| EPET\_4 | Permissions to Return to Submitter a Records Schedule  *LMB0100.1.1.1.14.2*  *The system shall enforce the permissions for rejecting the Records Schedule as listed in the Records Schedule - Roles/Permissions table in the Data Management SwRS.* | **Case 1:**   1. Log in to the SBA workbench as a Records Scheduler (Agency). 2. Search, retrieve and view Records Schedules in the following states:    1. Submitted for Certification    2. Submitted Revision for Certification    3. Appraiser Reviewed    4. Appraiser Manager 1 Concurred    5. Appraiser Manager 2 Concurred 3. Attempt to Return to Submitter a Records Schedule. 4. Log out of the SBA workbench.   **Case 2:**   1. Log in to the SBA workbench as a Records Scheduler (NARA). 2. Search, retrieve and view Records Schedules in the following states:    1. Submitted for Certification    2. Submitted Revision for Certification    3. Appraiser Reviewed    4. Appraiser Manager 1 Concurred    5. Appraiser Manager 2 Concurred 3. Attempt to Return to Submitter a Records Schedule. 4. Log out of the SBA workbench.   **Case 3:**   1. Log in to the SBA workbench as a Certifying Official. 2. Search, retrieve and view Records Schedules in the following states:    1. Appraiser Reviewed    2. Appraiser Manager 1 Concurred    3. Appraiser Manager 2 Concurred 3. Repeat step 3 through 4 of case 1.   **Case 4:**   1. Log in to the SBA workbench as a Records Appraiser. 2. Search, retrieve and view Records Schedules in the following states: 3. Submitted for Certification 4. Submitted Revision for Certification 5. Appraiser Reviewed 6. Appraiser Manager 1 Concurred 7. Appraiser Manager 2 Concurred 8. Repeat step 3 through 4 of case 1.   **Case 5**:   1. Log in to the SBA workbench as a LMT Member. 2. Search, retrieve and view Records Schedules in the following states: 3. Submitted for Certification 4. Submitted Revision for Certification 5. Appraiser Reviewed 6. Appraiser Manager 1 Concurred 7. Appraiser Manager 2 Concurred 8. Repeat step 3 through 4 of case 1.   **Case 6:**   1. Log in to the SBA workbench as an Appraiser Manager 1. 2. Search, retrieve and view Records Schedules in the following states: 3. Submitted for Certification 4. Submitted Revision for Certification 5. Appraiser Manager 1 Concurred 6. Appraiser Manager 2 Concurred 7. Repeat step 3 through 4 of case 1.   **Case 7:**   1. Log in to the SBA workbench as an Appraiser Manager 2. 2. Search, retrieve and view Records Schedules in the following states: 3. Submitted for Certification 4. Submitted Revision for Certification 5. Appraiser Reviewed 6. Appraiser Manager 2 Concurred 7. Repeat step 3 through 4 of case 1.   **Case 8:**   1. Log in to the SBA workbench as an Archivist of the United States or Designee. 2. Search, retrieve and view Records Schedules in the following states: 3. Submitted for Certification 4. Submitted Revision for Certification 5. Appraiser Reviewed 6. Appraiser Manager 1 Concurred 7. Repeat steps 3 through 4 of case 1.   **Case 9:**   1. Log in to the SBA workbench as a System Administrator. 2. Search, retrieve and view Records Schedules in the following states: 3. Submitted for Certification 4. Submitted Revision for Certification 5. Appraiser Reviewed 6. Appraiser Manager 1 Concurred 7. Appraiser Manager 2 Concurred 8. Repeat steps 3 through 4 of case 1.   **Case 10:**   1. Log in to the SBA workbench as a Records Processor. 2. Search, retrieve and view Records Schedules in the following states: 3. Submitted for Certification 4. Submitted Revision for Certification 5. Appraiser Reviewed 6. Appraiser Manager 1 Concurred 7. Appraiser Manager 2 Concurred 8. Repeat steps 3 through 4 of case 1.   **Case 11:**   1. Log in to the SBA workbench as a NARA Accessioning Manager. 2. Search, retrieve and view Records Schedules in the following states: 3. Submitted for Certification 4. Submitted Revision for Certification 5. Appraiser Reviewed 6. Appraiser Manager 1 Concurred 7. Appraiser Manager 2 Concurred 8. Repeat steps 3 through 4 of case 1.   **Case 12:**   1. Log in to the SBA workbench as a NARA Receiving Manager. 2. Search, retrieve and view Records Schedules in the following states: 3. Submitted for Certification 4. Submitted Revision for Certification 5. Appraiser Reviewed 6. Appraiser Manager 1 Concurred 7. Appraiser Manager 2 Concurred 8. Repeat steps 3 through 4 of case 1.   **Case 13:**   1. Log in to the SBA workbench as a Transferring Official (Agency). 2. Search, retrieve and view Records Schedules in the following states: 3. Submitted for Certification 4. Submitted Revision for Certification 5. Appraiser Reviewed 6. Appraiser Manager 1 Concurred 7. Appraiser Manager 2 Concurred 8. Repeat steps 3 through 4 of case 1.   **Case 14:**   1. Log in to the SBA workbench as a Transfer Official (NARA). 2. Search, retrieve and view Records Schedules in the following states: 3. Submitted for Certification 4. Submitted Revision for Certification 5. Appraiser Reviewed 6. Appraiser Manager 1 Concurred 7. Appraiser Manager 2 Concurred 8. Repeat steps 3 through 4 of case 1.   **Case 15**:   1. Log in to the SBA workbench as a Transfer Staff. 2. Search, retrieve and view Records Schedules in the following states: 3. Submitted for Certification 4. Submitted Revision for Certification 5. Appraiser Reviewed 6. Appraiser Manager 1 Concurred 7. Appraiser Manager 2 Concurred 8. Repeat steps 3 through 4 of case 1.   **Case 16:**   1. Log in to the SBA workbench as an Other Agency Users. 2. Search, retrieve and view Records Schedules in the following states: 3. Submitted for Certification 4. Submitted Revision for Certification 5. Appraiser Reviewed 6. Appraiser Manager 1 Concurred 7. Appraiser Manager 2 Concurred 8. Repeat steps 3 through 4 of case 1. | **Case 1- 16:**  (1-4) Users do not have permissions to Return a Records Schedule. | NS |
| EPET\_5 | Permissions to Return for Revision a Records Schedule  *LMB0100.1.1.1.14.24*  *The system shall provide the capability for a proposed schedule that has been modified to be returned for revision.* | **Case 1:**   1. Log in to the SBA workbench with the following roles:    1. Records Scheduler (NARA)    2. Records Scheduler (Agency)    3. Certifying Official    4. LMT Member    5. Appraiser Manager 1    6. Appraiser Manager 2    7. Archivist of the United States or Designee    8. Records Processor    9. NARA Accessioning Manager    10. NARA Receiving Manager    11. Transferring Official (NARA)    12. Transfer Staff 2. Search, retrieve and view Records Schedules in the Appraiser Working Version state. 3. Attempt to Return for Revision the Records Schedule. 4. Log out of the SBA workbench. | **Case 1:**  (1-4) The user does not have the ability to search and Return for Revision Records Schedules in the Appraiser Working Version state. | NS |
| EPET\_6 | Permissions to Return without Action a Records Schedule  *LMB0100.1.1.1.14.9*  *The system shall retain the title of the user that rejected the Record Schedule to Returned without Action.* | **Case 1:**   1. Log in to the SBA workbench with the following roles:    1. Records Scheduler (NARA)    2. Records Scheduler (Agency)    3. Certifying Official    4. LMT Member    5. Appraiser Manager 1    6. Appraiser Manager 2    7. Archivist of the United States or Designee    8. Records Processor    9. NARA Accessioning Manager    10. NARA Receiving Manager    11. Transferring Official (NARA)    12. Transfer Staff 2. Search, retrieve and view Records Schedules in the Appraiser Working Version state. 3. Attempt to Return without Action the Records Schedule. 4. Log out of the SBA workbench. | **Case 1:**  (1-4) The user does not have the ability to search and Return without Action Records Schedules in the Appraiser Working Version state. | NS |
| EPET\_7 | A Transfer Plan is not created for any Records Schedule containing Temporary Records Schedule Items being transferred to NARA.  *LMB0100.1.1.1.13.28*  *The system shall create a Transfer Plan in the Approval Workflow based on the business rules listed in the Records Schedule - Business Rules section of the Data Management SwRS.* | **Case 1:**   1. Log on to the SBA workbench as a Records Scheduler (NARA). 2. Create a Records Schedule. 3. Enter required and optional data elements on the General Info screen. 4. Navigate to the Records Schedule Item information screen. 5. Create a Temporary Records Schedule Item being transferred to NARA. 6. Submit the Records Schedule for Certification. 7. Log out of the SBA workbench. 8. Log in to the SBA workbench as a Certifying Official. 9. Search and retrieve the Records Schedule. 10. Certify the Records Schedule. 11. Log out of the SBA workbench. 12. Log in to the SBA workbench as a Records Appraiser. 13. Search and retrieve the Records Schedule. 14. Submit for Concurrence the Records Schedule. 15. Log out of the SBA workbench. 16. Log in to the SBA workbench as an Appraiser Manager Appraiser Manager 1. 17. Search and retrieve the Records Schedule. 18. Concur the Records Schedule. 19. Log out of the SBA workbench. 20. Log in to the SBA workbench as an Appraiser Manager Appraiser Manager 2. 21. Search and retrieve the Records Schedule. 22. Concur the Records Schedule. 23. Log out of the SBA workbench. 24. Log in to the SBA workbench as an Archivist of the United States or Designee. 25. Search and retrieve the Records Schedule. 26. Approve the Records Schedule. 27. Log out of the SBA workbench. 28. Log in to the SBA workbench as a Records Processor. 29. Attempt to search, retrieve and view the associated Transfer Plan. 30. Log out of the SBA workbench. | **Cases 1-2:**  (1) The Records Schedule is created and approved.  (2-29) Transfer Plans are not created upon final Approval of the Records Schedule.  (30) The user is logged out. |  |
| EPET\_8 | Users other than the Records Appraiser, Appraiser Manager 1, Appraiser Manager 2 or the Archivist of the United States or Designee cannot mark an RSI withdrawn or lift that designation.  *LMB0100.1.1.1.6.1*  *The system shall enforce the permissions for modifying Records Schedule Items as listed in the Records Schedule - Roles/Permissions table of the Data Management SwRS.* | **Case 1:**   1. Log in to the SBA workbench with the following roles:    1. Records Scheduler (NARA)    2. Records Scheduler (Agency)    3. Certifying Official    4. LMT Member    5. Records Processor    6. NARA Accessioning Manager    7. NARA Receiving Manager    8. Transferring Official (NARA)    9. Transfer Staff 2. Search, retrieve, and view a Records Schedule in the following states with Records Schedule Items in “pending” status: 3. Appraiser Working Version 4. Appraiser Reviewed 5. Appraiser Manager 1 Concurred 6. Appraiser Manager 2 Concurred 7. Attempt to mark a Records Schedule Item as “withdrawn” and save. 8. Attempt to lift a “withdrawn” status from the Records Schedule Item and save. 9. Log out of the SBA workbench. | **Case 1:**  (1) The user is logged in.  (2) The search is completed and the Records Schedule with Records Schedule Items in “pending” status is displayed.    (3) The status of the Records Schedule Item cannot be changed from “pending” to “withdrawn”.  (4) The status of the Records Schedule Item cannot be lifted from “withdrawn” to “pending”.  (5) The user is logged out. | NS |
| EPET\_9 | The default view of the hierarchical view of record schedule items will be to display all items/overviews without hiding nested items/overviews even if the Records Schedule was previously saved with a nested hierarchy.  *LMB0100.1.1.1.4.1*  *The system shall provide the capability to view Records Schedule Item hierarchies.*  *LMB0100.1.1.1.4.5*  *The system shall provide the capability to view Records Schedule Item Overviews within a Records Schedule Item hierarchy.* | **Case 1:**   1. Log in to the application as a Records Scheduler (NARA). 2. Create a Records Schedule from Blank. 3. Save the Records Schedule. 4. On the Item Information tab, create two Records Schedule Item Overviews. 5. Create 4 Records Schedule Items:    1. One that is Permanent and not associated with an overview.    2. One that is Permanent and associated with the first overview.    3. One that is temporary being transferred to NARA and associated with the second overview.    4. One that is temporary; that is not being transferred to NARA; and, associated with the second overview. 6. Nest all the Records Schedule Items/Overviews in the hierarchy. 7. Save the Records Schedule. 8. Submit for Certification the Records Schedule. 9. Log out. 10. Log in to the application as a Certifying Official. 11. Search, retrieve, and view the Records Schedule in Submitted for Certification state. 12. On the Records Schedule, view the hierarchy on the Item Information tab. | **Case 1:**  (1-2) The Records Scheduler (NARA) is logged in and able to create a Records Schedule from Blank.  (3) The system will display a message, “Records Schedule <RS-ID> has been successfully saved.”The Status will be set to Draft.  (4-5) The user is able to create Records Schedule Item Overviews and Records Schedule Items. Records Schedule Item Overviews and Items appear in the Records Schedule Item hierarchy. Human readable IDs are assigned to the Records Schedule Items.  (6) All of the Records Schedule Items/Overviews are nested.  (7) The system will display a message, “Records Schedule <RS-ID> has been successfully saved.”  (8) The system will display a message “Records Schedule <RS-ID> has been successfully submitted for certification.”  (9) The user is logged out.  (10) The Certifying Official is logged in.  (11) The search is completed and the Records Schedule is displayed.  (12) Verify the default view of the hierarchical view of Records Schedule Items is to display all Items/Overviews without hiding nested Items/Overviews. | NS |
| EPET\_10 | *LMB0100.1.1.1.19.1*  *The system shall perform error handling as described in the Record Schedule - Error Handling tables of the Data Management SwRS.* | ***Condition****: A condition for error handling testing will include steps for stopping system processes during their execution. This test should be coordinated with other testers because other BOs can be tested. The following steps should be performed by an Administrator at the point in the test steps below where you encounter a “Stop the system”.*   1. Log in to WebLogic SBA server. 2. Select ‘Deployment’ from the Domain Structure. 3. Select the checkbox for ‘BusinessObjectRepository’ and the Delete button. 4. Run the test in the UI to get to error. 5. Go back to WebLogic. 6. Select the Install button and reinstall ‘BusinessObjectRepository’. | When the system process fails due to Web Methods not receiving a call from Mark Logic, the system will log the error and display an error message to the user. | NS |
| The System is unable to Create / Submit RS | **6: Process Submit RS**   1. Log in to the SBA workbench as a Records Scheduler (Agency). 2. Create a Records Schedule. 3. Complete the General Info screen with all valid data. 4. Save the Records Schedule 5. Create and Save a Records Schedule Item with all valid data. 6. Stop the system. 7. Submit the Records Schedule for Certification. 8. Verify an error message is displayed. |
| The System is unable to Delete RS | **9: Process Delete RS**  **Case 1:**   1. Create a Records Schedule. 2. Complete the General Info screen with all valid data. 3. Save the Records Schedule 4. Stop the system. 5. Delete the Records Schedule. 6. Verify an error message is displayed.   **Case 2:**   1. Create a Records Schedule. 2. Complete the General Info screen with all valid data. 3. Save the Records Schedule 4. Create and Save a Records Schedule Item 5. Stop the system. 6. Delete the Records Schedule Item. 7. Verify an error message is displayed. |
| The System is unable to Return the Schedule Returned for Revision | **91: Process Return RFR (to the Records Appraiser)**   1. Search for a Records Schedule in Returned for Revision Working Version state. 2. Stop the system. 3. Return with No Changes the Records Schedule. 4. Verify an error message is displayed. 5. Log out of the SBA workbench. |
| The System is unable to Certify the RS | **25: Process Certify Records Schedule/Records Schedule Item**   1. Log in to the SBA workbench as a Certifying Official 2. Search and retrieve a Records Schedule in a Submitted for Certification state. 3. Stop the system. 4. Certify the Records Schedule. 5. Verify an error message is displayed. |
| The system is unable to Return the RS to the Submitter | **28: Process Return RS/RSI**   1. Search and retrieve a Records Schedule in a Submitted for Certification state. 2. Stop the system. 3. Return to Submitter the Records Schedule. 4. Verify an error message is displayed. |
| The System is unable to Return the Schedule Returned for Revision | **88: Process Return RFR (to the Records Appraiser)**   1. Search for a Records Schedule in Returned for Revision Working Version state. 2. Stop the system. 3. Return with No Changes the Records Schedule. 4. Verify an error message is displayed. 5. Log out of the SBA workbench. |
| The System is unable to Submit the RS | **35: Process Submittal RS**   1. Log in to the SBA workbench as a Records Appraiser. 2. Search and retrieve a Record Schedule in a Proposed state. 3. Stop the system. 4. Submit the Records Schedule. 5. Verify an error message is displayed. |
| The System is unable to Return without Actions the RS | **37: Process Returned without Actions RS**   1. Search and retrieve a Records Schedule in a Proposed state. 2. Stop the system. 3. Return the Records Schedule without Action. 4. Verify an error message is displayed. |
| The System is unable to Return for Revision the RS | **81: Process (Schedule) Returned for Revision**   1. Search and retrieve a Records Schedule in a Appraiser Working Version state. 2. Stop the system. 3. Return for Revision the Records Schedule. 4. Verify an error message is displayed. |
| The System is unable to Retrieve the Schedule Returned for Revision | **85: Process Retrieve (Schedule Returned for Revision)**   1. Search and retrieve a Records Schedule in a Returned for Revision Working Version state. 2. Stop the system. 3. Retrieve Schedule Returned for Revision. 4. Verify an error message is displayed. 5. Log out of the SBA workbench. |
| The System is unable to Concur with the RS | **44: Process Concurrence RS**   1. Log in to the SBA workbench as an Appraiser Manger 1. 2. Search and retrieve a Records Schedule in an Appraiser Reviewed state. 3. Stop the system. 4. Concur the Records Schedule. 5. Verify an error message is displayed. 6. Log out of the SBA workbench. |
| The system is unable to Return the RS | **47: Process Reject RS**   1. Log in to SBA workbench as an Appraiser Manager 1 2. Search and retrieve a Records Schedule in an Appraiser Reviewed state. 3. Stop the system. 4. Return to Submitter the Records Schedule. 5. Verify an error message is displayed. 6. Log out of the SBA workbench. |
| The System is unable to Concur with the RS | **55: Process Concurrence RS**   1. Log in to the SBA workbench as an Appraiser Manager 2. 2. Search and retrieve a Records Schedule in an Appraiser Manager 1 Concurred state. 3. Stop the system. 4. Concur the Records Schedule. 5. Verify an error message is displayed. |
| The system is unable to Return the RS | **58: Process Return RS/RSI**   1. Search and retrieve a Records Schedule in an Appraiser Manager 1 Concurred state. 2. Stop the system. 3. Return to Submitter the Records Schedule. 4. Verify an error message is displayed. 5. Log out of the SBA workbench. |
| The System is unable to Approve with the RS | **64: Process Approval RS**   1. Log in to SBA workbench as an Archivist of the United States or Designee. 2. Search and retrieve a Records Schedule in an Appraiser Manager 2 Concurred state. 3. Stop the system. 4. Approve the Records Schedule. 5. Verify an error message is displayed. |
| The System is unable to Return the RS to the Submitter | **68: Process Return RS to Submitter**   1. Search and retrieve a Records Schedule in an Appraiser Manager 2 Concurred state. 2. Stop the system. 3. Return to Submitter the Records Schedule. 4. Verify an error message is displayed. 5. Log out of the SBA workbench. |
| The System is unable Update the RS | **76: Apply Approved Schedule Working Version Modifications**   1. Log in to SBA workbench as Records Appraiser. 2. Search and retrieve a Records Schedule in a Approved Schedule Working Version state. 3. Stop the system. 4. Modify the Records Schedule. 5. Verify an error message is displayed. 6. Log out of the SBA workbench. |

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# Test Log

Table: Test Log

| **Date** | **Test Executor** | **Page / Test Step** | **Observation / Comment** |
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# Appendix A – A Level requirement mapping

The following table contains the A Level-to-B Level requirements mapping for the ERA Records Schedule functionality. If a Business Rule test case or Error Path / Alternative Path / Exception test case exists for the previously tested B Level requirement, the appropriate mapping will be included in the table.

Table : Requirements Mapping

| **A Level Req** | **A Level Description** | **B Level Req** | **BR\_ID** | **EPET\_ID** |
| --- | --- | --- | --- | --- |
| LMA0100.1.1.1.1 | The system shall provide the capability to create Records Schedules. | LMB0100.1.1.1.1.1 | BR\_11 |  |
| LMB0100.1.1.1.1.3 |  |  |
| LMB0100.1.1.1.1.4 |  |  |
| LMB0100.1.1.1.1.5 |  |  |
| LMB0100.1.1.1.1.6 |  |  |
| LMB0100.1.1.1.1.8 |  | EPET\_1 |
| LMB0100.1.1.1.1.10 | BR\_2 |  |
| LMB0100.1.1.1.1.11 |  |  |
| LMB0100.1.1.1.1.17 | BR\_3 |  |
| LMB0100.1.1.1.1.18 |  |  |
| LMB0100.1.1.1.1.21 |  |  |
| LMB0100.1.1.1.1.22 |  |  |
| LMA0100.1.1.1.2 | The system shall provide the capability to create a Records Schedule Item hierarchy within a Records Schedule. | LMB0100.1.1.1.2.1 | BR\_16 |  |
| LMB0100.1.1.1.2.2 | BR\_9  BR\_18 |  |
| LMB0100.1.1.1.2.3 |  |  |
| LMB0100.1.1.1.2.4 |  |  |
| LMB0100.1.1.1.2.5 | BR\_14 |  |
| LMA0100.1.1.1.3 | The system shall provide the capability to view a Records Schedule. | LMB0100.1.1.1.3.1 |  |  |
| LMB0100.1.1.1.3.2 |  | EPET\_2 |
| LMA0100.1.1.1.4 | The system shall provide the capability to view Records Schedule Items. | LMB0100.1.1.1.4.1 |  | EPET\_2  EPET\_9 |
| LMB0100.1.1.1.4.4 |  | EPET\_2 |
| LMB0100.1.1.1.4.5 |  | EPET\_2  EPET\_9 |
| LMA0100.1.1.1.5 | The system shall provide the capability to modify a Records Schedule. | LMB0100.1.1.1.5.1 | BR\_20 | EPET\_3 |
| LMB0100.1.1.1.5.2 | BR\_22 | EPET\_3 |
| LMB0100.1.1.1.5.3 |  | EPET\_3 |
| LMB0100.1.1.1.5.5 |  |  |
| LMB0100.1.1.1.5.6 |  |  |
| LMB0100.1.1.1.5.7 |  |  |
| LMB0100.1.1.1.5.8 |  |  |
| LMB0100.1.1.1.5.9 |  |  |
| LMB0100.1.1.1.5.10 |  |  |
| LMB0100.1.1.1.5.11 |  |  |
| LMB0100.1.1.1.5.12 |  |  |
| LMB0100.1.1.1.5.13 |  |  |
| LMA0100.1.1.1.6 | The system shall provide the capability to modify Records Schedule Items. | LMB0100.1.1.1.6.1 | BR\_8 | EPET\_8 |
| LMB0100.1.1.1.6.2 |  |  |
| LMB0100.1.1.1.6.4 |  |  |
| LMB0100.1.1.1.6.5 |  |  |
| LMB0100.1.1.1.6.6 |  |  |
| LMB0100.1.1.1.6.7 |  |  |
| LMB0100.1.1.1.6.8 |  |  |
| LMA0100.1.1.1.7 | The system shall provide the capability to delete a Records Schedule. | LMB0100.1.1.1.7.1 |  |  |
| LMB0100.1.1.1.7.2 |  |  |
| LMA0100.1.1.1.8 | The system shall provide the capability to remove taxonomy elements from Records Schedule Item Hierarchies. | LMB0100.1.1.1.8.1 |  |  |
| LMB0100.1.1.1.8.2 |  |  |
| LMB0100.1.1.1.8.3 |  |  |
| LMA0100.1.1.1.13 | The system shall provide the capability to approve a Records Schedule. | LMB0100.1.1.1.13.2 |  |  |
| LMB0100.1.1.1.13.6 |  |  |
| LMB0100.1.1.1.13.7 |  |  |
| LMB0100.1.1.1.13.8 | BR\_21 |  |
| LMB0100.1.1.1.13.9 |  |  |
| LMB0100.1.1.1.13.10 | BR\_12 |  |
| LMB0100.1.1.1.13.11 |  |  |
| LMB0100.1.1.1.13.13 |  |  |
| LMB0100.1.1.1.13.14 |  |  |
| LMB0100.1.1.1.13.15 |  |  |
| LMB0100.1.1.1.13.16 | BR\_10 |  |
| LMB0100.1.1.1.13.17 |  |  |
| LMB0100.1.1.1.13.18 |  |  |
| LMB0100.1.1.1.13.19 |  |  |
| LMB0100.1.1.1.13.20 |  |  |
| LMB0100.1.1.1.13.22 |  |  |
| LMB0100.1.1.1.13.23 |  |  |
| LMB0100.1.1.1.13.24 |  |  |
| LMB0100.1.1.1.13.25 |  |  |
| LMB0100.1.1.1.13.26 |  |  |
| LMB0100.1.1.1.13.27 |  |  |
| LMB0100.1.1.1.13.28 | BR\_1 | EPET\_7 |
| LMA0100.1.1.1.14 | The system shall provide the capability to reject a Records Schedule. | LMB0100.1.1.1.14.2 |  | EPET\_4 |
| LMB0100.1.1.1.14.5 |  |  |
| LMB0100.1.1.1.14.6 |  |  |
| LMB0100.1.1.1.14.7 |  |  |
| LMB0100.1.1.1.14.8 |  |  |
| LMB0100.1.1.1.14.9 |  | EPET\_6 |
| LMB0100.1.1.1.14.10 |  |  |
| LMB0100.1.1.1.14.11 |  |  |
| LMB0100.1.1.1.14.12 |  |  |
| LMB0100.1.1.1.14.13 |  |  |
| LMB0100.1.1.1.14.14 |  |  |
| LMB0100.1.1.1.14.15 |  |  |
| LMB0100.1.1.1.14.16 |  |  |
| LMB0100.1.1.1.14.17 |  |  |
| LMB0100.1.1.1.14.18 |  |  |
| LMB0100.1.1.1.14.19 |  |  |
| LMB0100.1.1.1.14.20 |  |  |
| LMB0100.1.1.1.14.21 |  |  |
| LMB0100.1.1.1.14.22 |  |  |
| LMB0100.1.1.1.14.23 |  |  |
| LMB0100.1.1.1.14.24 | BR\_6  BR\_7 | EPET\_5 |
| LMB0100.1.1.1.14.25 | BR\_5 |  |
| LMA0100.1.1.1.15 | The system shall perform field level validation for a Records Schedule. | LMB0100.1.1.1.15.1 |  |  |
| LMB0100.1.1.1.15.2 |  |  |
| LMA0100.1.1.1.16 | The system shall maintain the status of the Records Schedule. | LMB0100.1.1.1.16.1 | BR\_17 |  |
| LMB0100.1.1.1.16.2 |  |  |
| LMB0100.1.1.1.16.3 |  |  |
| LMB0100.1.1.1.16.4 | BR\_4 |  |
| LMA0100.1.1.1.17 | The system shall notify users during the management of a Record Schedule. | LMB0100.1.1.1.17.1 |  |  |
| LMB0100.1.1.1.17.2 |  |  |
| LMA0100.1.1.1.18 | The system shall provide the capability to remove taxonomy elements from Records Schedule Item Hierarchies. | LMB0100.1.1.1.18.1 |  |  |
| LMA0100.1.1.1.19 | The system shall handle errors that occur during the management of a Record Schedule. | LMB0100.1.1.1.19.1 |  | EPET\_10 |
| LMA0700.2.1.1.1 | The system shall provide the capability to enter criteria in order to search for Business Objects. | LMB0700.2.1.1.1 |  |  |
| LMB0700.2.1.1.2 |  |  |
| LMB0700.2.1.1.9 |  |  |
| LMB0700.2.1.1.10 |  |  |
| LMA0700.2.1 | The system shall provide the capability to search. | LMB0700.2.1.3.2.1.1 |  |  |
| LMB0700.2.1.3.2.1.2 |  |  |
| LMB0700.2.1.3.2.1.8 |  |  |
| LMB0700.2.1.3.2.1.9 |  |  |

# Appendix B – AcroNym List

| **Acronym** | **Definition** |
| --- | --- |
| A | Analysis (a Verification Method) |
| BPSL | Business Process System Library |
| CAT | Customer Acceptance Test |
| CCB | Configuration Control Board |
| CDRL | Contract Data Requirement List |
| COTS | Commercial-off-the-Shelf |
| COTS/NDI | Commercial-off-the-Shelf / Non Developmental Item |
| CE | Chief Engineer |
| CM | Configuration Management |
| CMP | Configuration Management Plan |
| CMMI | Capability Maturity Model Integration |
| CR | Change Request |
| CRI | Congressional Records Instance |
| CSV | Comma Separated Value |
| CTR | Critical Thread Review |
| D | Demonstration (a Verification Method) |
| DID | Data Item Description |
| ERA | Electronic Records Archives |
| ERB | Engineering Review Board |
| ESHALL | Equivalent Shall |
| ETO | Engineering, Technology, and Operations |
| FCA | Functional Configuration Audit |
| FFV | Find Fix Verify |
| GFI | Government Furnished Information |
| I | Inspection (a Verification Method) |
| I&T | Integration and Test |
| ICD | Interface Control Document |
| IOC | Initial Operating Capability |
| IPT | Integrated Product Team |
| IRD | Interface Requirements Document |
| IRS | Interface Requirements Specification |
| ISO | International Organization for Standardization |
| ISSO | Information System Security Officer |
| IV&V | Independent Verification and Validation |
| KSLOC | Thousands of Source Lines of Code |
| LAN | Local Area Network |
| MTP | Master Test Plan |
| NARA | National Archives and Records Administration |
| NDI | Non-Developed Item |
| NV | Not Verified (a Verification Method) |
| PCA | Physical Configuration Audit |
| PMP | Program Management Plan |
| PRB | PTR Review Board |
| PTR | Program Trouble Report |
| QA | Quality Assurance |
| QMP | Quality Management Plan |
| QMQP | Quantitative Management and Quality Plan |
| SADD | System Architecture and Design Document |
| SDP | Software Development Plan |
| SEMP | System Engineering Management Plan |
| SLOC | Source Lines of Code |
| SOA | Service Oriented Architecture |
| SOC | System Operations Center |
| SOW | Statement of Work |
| SSP | System Security Plan |
| SWIT | Software Integration and Test |
| SwRS | Software Requirements Specification |
| SyRS | System Requirements Specification |
| T | Test (a Verification Method) |
| TCM | Test Configuration Management |
| TPM | Technical Performance Measurement |
| TRR | Test Readiness Review |
| USB | Universal Serial Bus |
| V1 | VersionOne (tracking tool) |
| VCRM | Verification Cross Reference Matrix |
| VM | Verification Method |
| WAN | Wide Area Network |