Test Module9

Administrative Functions

Test Cases

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Contents

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1.0	07/04/2008	MoReq2 test development team	Finalising after approval of the test framework

T9.1 General Administration

REMARKS	TEST DATA:	The test data for the following tests (test module 9, chapter T9.1) can be found in the corresponding test data repository. The reference chapter is called 'on **chapter T9.1 – General Administration'.**
	TEST EXECUTION:	step (1) Please read the chapter **Testframework – Introduction**/**Chapter 2** before starting the test execution. step (2) The test cases are designed in a way that enables you to skip certain test cases when required. However, the outcome of some test cases might be a precondition of subsequent tests. Where there are dependencies we have inserted test references into the precondition section of the test case. Careful attention should be given to the preconditions of the test cases.

T9.1.1 System Parameters and Settings

Abstract: The test focus of this test lies on the retrieving and displaying of system parameters and settings.

T9.1.1.1   Retrieving and Displaying System Parameters and Settings

I. Global test case information			
test case id:	T9.1.1.1		
test case priority:	☒ Mandatory	☐ Optional	☐ Not Testable
test case description:	System parameters and settings are made at configuration time. A check is made to confirm that the ERMS allows an administrative role to retrieve, display and reconfigure systems parameters and settings.		
Req.-ID:	9.1.1		

II. Test case

a. precondition(s)
• System parameters and settings are configured (e.g. access controls) • logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Search for the system settings	The system settings are retrieved
2.	Display and reconfigure the system settings	The option to display and reconfigure the system settings is given

c. postcondition(s)
• The ERMS allows an administrative role to retrieve, display and reconfigure systems settings.

III. Test result

defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.1.2 Assignment and Change of Users and Functions to User Roles

Abstract: The test focus of this test lies on the capability to assign users to user roles and to allow access to system functions.

T9.1.2.1   Assigning Access Permissions

I. Global test case information	
test case id:	T9.1.2.1
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	Several checks are made to confirm that the ERMS allows an administrative role to assign: - functions to user roles and - one or more users to user roles.
Req.-ID:	9.1.2

II. Test case

a. precondition(s)
- Users (-profiles) are created according to the test data repository   - User roles (-profiles) are created according to the test data repository   - logged in as **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Assign access to the function *"Maintain database and storage"* and *"Maintain other system parameters"* to the user role **Local Administrator**	The access permission is allocated to the user role **Local Administrator**.
2.	Assign the user **LA_username2** to the user role **Local Administrator**	The user **LA_username2** is allocated to the user role **Local Administrator**
3.	Assign the user **MM_username1** to the user role **Local Administrator**	The user **MM_username1** is allocated to the user role **Local Administrator**

c. postcondition(s)
- The ERMS allows an administrative role to allocate functions to user roles   - The ERMS allows an administrative role to allocate one or more users to a user role.

III. Test result

defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.1.3 Storage

Abstract: The test focus of this chapter lies on the ability to monitor system storage space.

T9.1.3.1   Monitoring Storage Spaces (I)

I. Global test case information			
test case id:	T9.1.3.1		
test case priority:	☒ Mandatory	☐ Optional	☐ Not Testable
test case description:	A check is made to ensure that the ERMS allows an administrative role to monitor the storage spaces of the system.		
Req.-ID:	9.1.3		
II. Test case			

a. precondition(s)
• logged in as **Central Administrator**

b. test steps		
step	action/operation	check/ expected result
1.	Monitor the available storage space of the ERMS	The available storage space is displayed.

c. postcondition(s)
• The ERMS enables an administrator role to montitor the available storage space.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.1.3.2 Monitoring Storage Spaces (II)

I. Global test case information	
test case id:	T9.1.3.2
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	A check is made to ensure that the ERMS notifies an administrative role when available storage is at a low level.
Req.-ID:	9.1.3

II. Test case

a. precondition(s)

- logged in as the user **CA_username**

b. test steps

step	action/operation	check/ expected result
1.	Restrict the available storage space to a low level	The available storage space is restricted
2.	Store a large file within the ERMS	The large file is stored. The ERMS notifies the user **CA_username**
3.	Confirm the notification	The notification informs that a low level of available storage is reached and action is needed.

c. postcondition(s)

- The ERMS notifies an administrative role when available storage is at a low level.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.1.3.3　　　Error Rate Reporting

I. Global test case information			
test case id:	T9.1.3.3		
test case priority:	☐ Mandatory	☐ Optional	☒ Not Testable
test case description:	The corresponding requirement is not testable.		
Req.-ID:	9.1.4		
II. Test case			
a. precondition(s)			
•			
b. test steps			
step	action/operation		check/ expected result
1.			
c. postcondition(s)			
•			
III. Test result			
defects / deviations			*verdict*
		☐ passed ☐ failed	
Remarks			*tester*
			_____ date, signature

T9.1.4 Others:

Abstract: The following chapter summarises all other test cases.

T9.1.4.1 Moving Users Between User Roles and User Groups

I. Global test case information			
test case id:	T9.1.4.1		
test case priority:	☒ Mandatory	☐ Optional	☐ Not Testable
test case description:	A check is made to confirm that the ERMS allows an administrative role to move users between user groups.		
Req.-ID:	9.1.5		

II. Test case

a. precondition(s)

- Users (-profiles) are created according to the test data repository
- User roles (-profiles) are created according to the test data repository
- User groups (-profiles) are created according to the test data repository
- Users (-profiles) are assigned to user groups and user roles according to the test data repository
- logged in as the role **Central Administrator**

b. test steps		
step	action/operation	check/ expected result
1.	Move the user **LA_username2** from the user group **LocalAdministration** to the user group **Management**	The user **LA_username2** is moved to the user group **Management**
2.	Move the user **LA_username1** from the user role **Localadministrator** to the user role **Board of Directors**	The user **LA_username1** is moved to the user role **Board of Directors**

c. postcondition(s)

- The ERMS allows an administrative role to move users between user groups and roles.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.2 Reporting

REMARKS	TEST DATA:	The test data for the following tests (test module 9, chapter T9.2) can be found in the corresponding test data repository. The reference chapter is called '**on chapter T9.2 – Reporting'.**
	TEST EXECUTION:	step (1) Please read the chapter **Testframework – Introduction**/**Chapter 2** before starting the test execution. step (2) The test cases are designed in a way that enables you to skip certain test cases when required. However, the outcome of some test cases might be a precondition of subsequent tests. Where there are dependencies we have inserted test references into the precondition section of the test case. Careful attention should be given to the preconditions of the test cases.

T9.2.1 Request for Reports

Abstract: The test focus of this chapter lies on the ability to create requested reports.

T9.2.1.1 Creating Reports

I. Global test case information	
test case id:	T9.2.1.1
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	A check is made whether an administrative role is able to create a periodic report (e.g. daily, weekly, monthly, and quarterly) and ad hoc reports. Please note, that we do not state on which functionality the report is created. Further the check is made to ensure that the administrative role is able to create a periodic report. We do not expect that all reports are executed.
Req.-ID:	9.2.1

II. Test case
a. precondition(s)

- logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a daily report	A daily report is created
2.	Create a weekly report	A weekly report is created
3.	Create a monthly report	A monthly report is created
4.	Create a quarterly report	A quarterly report is created
5.	Create an ad hoc report, e.g. over the last 6 weeks	An ad hoc report is created

c. postcondition(s)

- The ERMS allows an administrative role to create periodic and ad hoc reports.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.2.1.2   Print and View Reports

I. Global test case information	
test case id:	T9.2.1.2
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS includes a feature for printing a report, viewing it on-screen and storing it in electronic form. According to the Moreq2 specification: "Printing is understood to include features normally associated with report production such as multi-page reports, page numbering, dated headings, configurable page headers and footers, and use of any configured printer). Sending screen image dumps to a printer is not normally considered sufficient for these requirements."
Req.-ID:	9.2.2

II. Test case

a. precondition(s)

- logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Print a report	The report is printed
2.	View a report on the screen and store it within the ERMS	The report is stored within the ERMS

c. postcondition(s)

- The ERMS includes features that allow viewing and printing of reports and storing them in electronic form.

III. Test result	

defects / deviations	*verdict*
	☐ passed ☐ failed

Remarks	*tester*
	_____ date, signature

T9.2.1.3 Capturing a Report as Record

I. Global test case information	
test case id:	T9.2.1.3
test case priority:	☐ Mandatory ☒ Optional ☐ Not Testable
test case description:	The ERMS includes a feature that allows viewing reports. A check is made to confirm that the ERMS allows capturing that report as record.
Req.-ID:	9.2.3

II. Test case

a. precondition(s)

- The ERMS includes a feature that allows viewing reports (see test case T9.2.1.2).
- logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	View a report and capture it as record into the ERMS	The report is captured.

c. postcondition(s)

- The ERMS allows an administrative role to view and capture a report as record.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.2.1.4   Time Periods of Reports

I. Global test case information	
test case id:	T9.2.1.4
test case priority:	☐ Mandatory ☒ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS allows creating a report which is configured either as time period by using a date range (e.g. 24/12/2008 – 5/1/2008) or natural language (e.g. "last week", "this month"). Please note: The time interval in natural language can be specified according to chapter 8 of the MoReq2 specification.
Req.-ID:	9.2.4

II. Test case		
a. precondition(s)		
• logged in as the role **Central Administrator**		
b. test steps		
step	action/operation	check/ expected result
1.	Create a time period for reports by using: • a date range (e.g. 24/12/2008 – 5/1/2008) OR • natural language (e.g. "last week", "this month").	A report is created
c. postcondition(s)		
• The ERMS allows an administrative role to create time periods for reports by using a date range or natural language.		

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ date, signature

T9.2.2 Report Features

Abstract: The following chapter deals with report features of the ERMS.

T9.2.2.1 Sorting and Selecting Information

I. Global test case information	
test case id:	T9.2.2.1
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS includes features for sorting and selecting the information included in a report.
Req.-ID:	9.2.5

II. Test case
a. precondition(s)
• logged in as the role **Central Administrator**

b. test steps		
step	action/operation	check/ expected result
1.	Create a report and sort its information, e.g. by size or date	The report is created

c. postcondition(s)
• The ERMS includes features for sorting and selecting the information included in a report.

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ date, signature

T9.2.2.2 Summarising Information

I. Global test case information			
test case id:	T9.2.2.2		
test case priority:	☐ Mandatory	☒ Optional	☐ Not Testable
test case description:	A check is made to confirm that the ERMS includes features for totalling and summarising information.		
Req.-ID:	9.2.6		

II. Test case

a. precondition(s)
• logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a report over a total amount of records within the ERMS	The report is created
2.	Create a report by summarising other information (we do not state which information).	The report is created

c. postcondition(s)
• The ERMS includes features for totalling and summarising information.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.2.2.3 Graphical Reporting

I. Global test case information	
test case id:	T9.2.2.3
test case priority:	☐ Mandatory ☒ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS includes features for graphical reporting. Please note: The information to use for this report are arbitrary.
Req.-ID:	9.2.7

II. Test case

a. precondition(s)

- logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a graphical report (e.g. histogram, trend reports etc.) on specified information (e.g. the number of files created over a period of time)	The report is created

c. postcondition(s)

- The ERMS includes features for graphical reporting.

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ date, signature

T9.2.2.4   Exporting Reports

I. Global test case information			
test case id:	T9.2.2.4		
test case priority:	☒ Mandatory	☐ Optional	☐ Not Testable
test case description:	An administrator role generates a report and exports it into a folder. A check is made to confirm that the content of the exported report can be used in another application. Please note: The export is intended to provide another application with records from the ERMS. We cannot assume that other systems are connected for testing. Therefore it is acceptable for testing to create a target (e.g. other storage devices) outside of the ERMS where the output of the export can be stored and analysed. The ERMS cannot control this target. We are using the expression "folder …/export" to describe such a target.		
Req.-ID:	9.2.9		

II. Test case

a. precondition(s)

- logged in as the role **Central Adminstrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a report and export the report in a spreadsheet compatible format into the folder **…/export**	The content of the report is exported
2.	Open a spreadsheet application and process the content of the exported report	The content of the report can be processed by the spreadsheet application software

c. postcondition(s)

- The ERMS enables an administrative role to export the content of a report for further use in another software application.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.2.2.5   Report Requests

I. Global test case information	
test case id:	T9.2.2.5
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	An administrative role creates a report request and stores it for future re-use.
Req.-ID:	9.2.8

II. Test case

a. precondition(s)

- Logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a report request and store it within the ERMS	The report request is stored
2.	Re-use the report request of step1 and create a report based on it	The report is created

c. postcondition(s)

- The ERMS enables an administrative role to create and store report requests.
- The ERMS enables an administrative role to select a stored report request and use it to create a report.

III. Test result

defects / deviations	*verdict*
	☐ passed
	☐ failed
Remarks	*tester*
	_____
	date, signature

T9.2.3 Reports

Abstract: The following chapter deals with the creation of reports and general issues such as reports on rates to entities, on the audit trail or on disposition actions.

T9.2.3.1   Number and Location of Objects (I)

I. Global test case information			
test case id:	T9.2.3.1		
test case priority:	☒ Mandatory	☐ Optional	☐ Not Testable
test case description:	A check is made to confirm that the ERMS provides reports on the number and location of : - files, sub-files and volumes. - records sorted by their file format and version - files, sub-files and volumes sorted by access controls - files, sub-files and volumes, sorted by size - files, sub-files and volumes, sorted by storage location - vital records		
Req.-ID:	9.2.10		

II. Test case		
a. precondition(s)		
• logged in as the role **Central Administrator**		
b. test steps		
step	action/operation	check/ expected result
1.	Create a report on the total number and location of files, sub-files and volumes within the ERMS	The report is generated. It shows the actual number and locations of the total number of files, sub-files and volumes within the ERMS.
2.	Create a report on the total number and location of records sorted by their file format and version	The report is generated. It shows the actual number and locations of records sorted by file format and version.
3.	Create a report on the total number and location of files, sub-files and volumes sorted by access controls	The report is created. It shows the actual number and locations of the total number of files, sub-files and volumes by access control.
4.	Create a report on the total number and location of files, sub-files and volumes, sorted by size	The report is created. It shows the actual number and locations of the total number of files, sub-files and volumes, sorted by size
5.	Create a report on the total number and location of files, sub-files and volumes, sorted by storage location	The report is created. It shows the actual number and locations of the total number of files, sub-files and volumes, sorted by storage location
6.	Create a report on the total number and location of vital records	The report is created. It shows the actual number and locations of the total number of vital records
c. postcondition(s)		
• The ERMS provides reports on the number and location of : - files, sub-files and volume. - records sorted by their file format and version - files, sub-files and volumes sorted by access controls - files, sub-files and volumes, sorted by size - files, sub-files and volumes, sorted by storage location - vital records		

III. Test result	
defects / deviations	*verdict*
	☐ passed

	☐ failed
Remarks	*tester*
	_____ date, signature

T9.2.3.2 Creating Reports on Rates

I. Global test case information	
test case id:	T9.2.3.2
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS provides reports on: • the rate of capture records, • the rate of retrieval of records and • the rate of creation of new classes and files.
Req.-ID:	9.2.11

II. Test case

a. precondition(s)

- logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a report on the rate of captured records	The report is created.
2.	Create a report on the rate of retrieved records	The report is created.
3.	Create a report on the rate of creation of new classes and files	The report is created.

c. postcondition(s)

- The ERMS provides reports on the rate of capture of records, the rate of retrieval of records and the rate of creation of new classes and files.

III. Test result

defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.2.3.3 Creating Reports on Documents

I. Global test case information	
test case id:	T9.2.3.3
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	The document management option described in chapter 10.3 of the MoReq2 specification is present. A check is made to confirm that the ERMS provides reports on: • the total number and location of documents; • the rate of capture/creation of documents; • the rate of retrieval of records.
Req.-ID:	9.2.12
II. Test case	
a. precondition(s)	
• The document management option described in chapter 10.3 of the MoReq2 specification is present. • logged in as the role **Central Administrator**	

b. test steps

step	action/operation	check/ expected result
1.	Create a report on the total number and location of documents	The report is created.
2.	Create a report on the rate of capture/creation of documents	The report is created.
3.	Create a report on the rate of retrieval of records	The report is created.

c. postcondition(s)

• The ERMS provides reports on the total number and location of documents, the rate of capture/creation of documents and the rate of retrieval of records.

III. Test result

defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.2.3.4   Creating Reports on Specific Rates (I)

I. Global test case information	
test case id:	T9.2.3.4
test case priority:	☐ Mandatory ☒ Optional ☐ Not Testable
test case description:	The ERMS is able to provide reports on the rate of entities. A check is made to confirm that the ERMS provides reports on: • the rate of capture of records, • the rate of retrieval of records and • the rate of creation of new classes and files across the ERMS and a specified class, by specified user group and user and within a specified range of date.
Req.-ID:	9.2.13

II. Test case	

a. precondition(s)

- The ERMS is able to provide reports on rate, see test case T9.2.3.2
- logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create reports on the rate of captured records across the ERMS and a specified class.	The reports are created.
2.	Create reports on the rate of retrieved records across the ERMS and a specified class.	The reports are created.
3.	Create reports on the rate of creation of new classes and files across the ERMS and a specified class.	The reports are created.
4.	Create reports on the rate of capture of records by a specified user group and user.	The reports are created.
5.	Create a report on the rate of retrieval of records by a specified user group and user.	The reports are created.
6.	Create a report on the rate of creation of new classes by a specified user group and user.	The reports are created.
7.	Create a report on the rate of capture of records in a specified range of dates	The reports are created.
8.	Create a report on the rate of retrieval of records in a specified range of dates	The reports are created.
9.	Create a report on the rate of creation of new classes in a specified range of dates	The reports are created.

c. postcondition(s)

- The ERMS provides reports on the rate of capture of records, the rate of retrieval of records and the rate of creation of new classes and files across the ERMS and a specified class.
- The ERMS provides reports on the rate of capture of records, the rate of retrieval of records and the rate of creation of classes and files by a specified user group and user.
- The ERMS provides reports on the rate of capture of records, the rate of retrieval of records and the rate of creation of classes and files within a specified range of dates.

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ date, signature

T9.2.3.5 Creating Reports on Specific Rates (II)

I. Global test case information	
test case id:	T9.2.3.5

test case priority:	☐ Mandatory	☒ Optional	☐ Not Testable

test case description:	The ERMS is able to provide reports on the rate of entities (including documents). A check is made to confirm that the ERMS provides reports on: • the total number and location of documents; • the rate of capture/creation of documents; • the rate of retrieval of records across the ERMS and a specified class, by a specified user group and user and within a specified range of dates.
Req.-ID:	9.2.13

II. Test case

a. precondition(s)
• The ERMS is able to provide reports on documents, see test case T9.2.3.3 • logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create reports on the total number and location of documents across the ERMS and a specified class.	The reports are created.
2.	Create reports on the rate of capture/creation of documents across the ERMS and a specified class.	The reports are created.
3.	Create reports on the rate of retrieval of records across the ERMS and a specified class.	The reports are created.
4.	Create reports on the total number and location of documents by a specified user group and user.	The reports are created.
5.	Create reports on the rate of capture/creation of documents by a specified user group and user.	The reports are created.
6.	Create a report on the rate of retrieval of records by a specified user group and user.	The reports are created.
7.	Create reports on the total number and location of documents in a specified range of dates	The reports are created.
8.	Create reports on the rate of capture/creation of documents in a specified range of dates	The reports are created.
9.	Create a report on the rate of retrieval of records in a specified range of dates	The reports are created.

c. postcondition(s)
• The ERMS provides reports on the total number and location of, the rate of capture/creation of documents and the rate of retrieval of records across the ERMS and a specified class. • The ERMS provides reports on the total number and location of, the rate of capture/creation of documents and the rate of retrieval of records by a specified user group and user. • The ERMS provides reports on the total number and location of, the rate of capture/creation of documents and the rate of retrieval of records within a specified range of dates.

III. Test result	

defects / deviations	verdict
	☐ passed ☐ failed

Remarks	tester
	_____ date, signature

T9.2.3.6   Creating Reports on Rates in a Specified Time Interval within Days

I. Global test case information			
test case id:	T9.2.3.6		
test case priority:	☐ Mandatory	☒ Optional	☐ Not Testable
test case description:	The ERMS is able to provide reports on rates of entities. A check is made to confirm that the ERMS provides reports on: • the rate of capture of records, • the rate of retrieval of records and • the rate of creation of classes and files in a specified time interval within several days.		
Req.-ID:	9.2.15		

II. Test case
a. precondition(s)
• The ERMS is able to provide reports on rates, see test case T9.2.3.2 • logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a report on the rate of captured records in a specified time interval within days.	The report is created.
2.	Create a report on the rate of retrieval of records in a specified time interval within days.	The report is created.
3.	Create a report on the rate of creation of classes in a specified time interval within days.	The report is created.

c. postcondition(s)
• The ERMS provides reports on the rate of capture of records, the rate of retrieval of records and the rate of creation of classes and files in a specified time interval within days.

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ date, signature

T9.2.3.7   A Report Listing Aggregations

I. Global test case information	
test case id:	T9.2.3.7
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS allows an administrative role to create a structured report listing files, sub-files and volumes for all or parts of the classification scheme.
Req.-ID:	9.2.16

II. Test case

a. precondition(s)

- logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a structured report listing all files, sub-files and volumes for the classification scheme reflecting the structure of the classification scheme itself.	The report is created. The report is structured to reflect the classification scheme.
2.	Create a structured report listing all files, sub-files and volumes for a specified class of the classification scheme reflecting the structure of the class itself.	The report is created. The report is structured to reflect the class itself.

c. postcondition(s)

- The ERMS enables an administrative role to create a strucutured report listing files, sub-files and volumes for the classification scheme, reflecting the structure of classification scheme itself.
- The ERMS enables an administrative role to create a strucutured report listing files, sub-files and volumes for a specified class of the classification scheme, reflecting the structure of the class itsself.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.2.3.8   Creating Reports on Actions

I. Global test case information	
test case id:	T9.2.3.8
test case priority:	☐ Mandatory ☒ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS provides a report on actions taken on files and records sorted by user and workstation.
Req.-ID:	9.2.14

II. Test case

a. precondition(s)
• Actions (e.g. creation, transfer, export) are taken on files and records • logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a report on actions (e.g. creation, transfer, export) taken on files and records sorted by user and by workstation	The report is created.

c. postcondition(s)
• The ERMS provides a report on actions taken on files and records sorted by user and workstation.

III. Test result

defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ Date, signature

T9.2.3.9   The Amount of System Storage Space

I. Global test case information			
test case id:	T9.2.3.9		
test case priority:	☒ Mandatory	☐ Optional	☐ Not Testable
test case description:	A check is made to confirm that the ERMS is able to provide a report on the amount of storage space currently in use and available.		
Req.-ID:	9.2.17		

II. Test case
a. precondition(s)

- logged in as the role **Central Administrator**

b. test steps		
step	action/operation	check/ expected result
1.	Create a report on the amount of system storage space currently in use and available	The report is created.

c. postcondition(s)

- The ERMS is able to provide a report on the amount of storage space currently in use and available.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.2.3.10 Creating Reports on the Audit Trail

I. Global test case information	
test case id:	T9.2.3.10

test case priority:	☒ Mandatory	☐ Optional	☐ Not Testable

test case description:	A check is made to confirm that the ERMS allows an administrative role to create reports on the audit trail, which are based on a specified class, file, sub-file, volume, record, user and time period.
Req.-ID:	9.2.18

II. Test case

a. precondition(s)

- logged in as the role **Central Adminstrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a report on the audit trail, which is based on a specified class	The report on the audit trail is created.
2.	Create a report on the audit trail, which based on a specified file	The report on the audit trail is created.
3.	Create a report on the audit trail, which is based on a specified sub-file	The report on the audit trail is created.
4.	Create a report on the audit trail, which is based on a specified volume	The report on the audit trail is created.
5.	Create a report on the audit trail, which based on a specified record	The report on the audit trail is created.
6.	Create a report on the audit trail, which is based on a specified user	The report on the audit trail is created.
7.	Create a report on the audit trail, which is based on a specified time period	The report on the audit trail is created.

c. postcondition(s)

- The ERMS allows an administrative role to create reports on the audit trail, which are based on a specified class, file, sub-file, volume, record, user and time period.

III. Test result

defects / deviations	verdict
	☐ passed
	☐ failed

Remarks	tester
	_____
	date, signature

T9.2.3.11   Audit Trails

I. Global test case information			
test case id:	T9.2.3.11		
test case priority:	☐ Mandatory	☒ Optional	☐ Not Testable
test case description:	A check is made to ensure that the ERMS allows an administrative role to create reports on the audit trail based on a security category, user group and other metadata. Please note: The metadata to use here is arbitrary.		
Req.-ID:	9.2.19		

II. Test case

a. precondition(s)
•   logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a report on the audit trail which is based on a security category.	The report on the audit trail is created.
2.	Create a report on the audit trail which is based on a user group.	The report on the audit trail is created.
3.	Create a report on the audit trail which is based on other metadata.	The report on the audit trail is created.

c. postcondition(s)
•   The ERMS allows an administrative role to create reports on the audit trail which is based on a security category, user group and other metadata.

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ date, signature

T9.2.3.12   The Outcome of a Transfer Process

I. Global test case information	
test case id:	T9.2.3.12
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	A disposition process (e.g. transfer or review) is performed. A check is made to confirm that the ERMS allows an administrative role to create reports on the outcome of the disposition process by listing all classes, files, sub-files, volumes and records successfully disposed of and any failures.
Req.-ID:	9.2.20

II. Test case	

a. precondition(s)

- A disposition process (e.g. disposition export, transfer or review) is performed.
- Logged in as **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a report on the outcome of the diposition process	The report is created on the outcome of all classes, files, sub-files, volumes and records successfully disposed of and any failures

c. postcondition(s)

- The ERMS reports the outcome of the transfer process by listing all classes, files, sub-files, volume and record successfully disposed of and any failures.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
remarks	tester
	_____ date, signature

T9.2.3.13   The Outcome of an Export

I. Global test case information			
test case id:	T9.2.3.13		
test case priority:	☒ Mandatory	☐ Optional	☐ Not Testable
test case description:	An export is performed. A check is made to confirm that the ERMS reports the outcome of the export process by listing all classes, files, sub-files, volume and record successfully exported and any failures.		
Req.-ID:	9.2.21		
II. Test case			
a. precondition(s)			
- An export is performed. - Logged in as **Central Administrator**			
b. test steps			

step	action/operation	check/ expected result
1.	Create a report on the outcome of the export process	The report is created on the outcome of all classes, files, sub-files, volume and records successfully exported and any failures

c. postcondition(s)
The ERMS reports the outcome of the export process by listing all classes, files, sub-files, volumes and records successfully exported and any failures.

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
remarks	*tester*
	_____ date, signature

T9.2.3.14   Reporting Disposition Activity

I. Global test case information			
test case id:	T9.2.3.14		
test case priority:	☒ Mandatory	☐ Optional	☐ Not Testable
test case description:	A check is made to confirm that an administrative role is able to create a report on disposition activity, including disposition actions that are overdue.		
Req.-ID:	9.2.22		
II. Test case			
a. precondition(s)			
• Logged in as **Central Administrator**			
b. test steps			

step	action/operation	check/ expected result
1.	Create a report on disposition activity, including disposition actions that are overdue	The report is created.

c. postcondition(s)
• The ERMS reports on disposition activity, including disposition actions that are overdue.

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
remarks	*tester*
	_____ date, signature

T9.2.4 Others:

Abstract: This chapter summarises all other test cases.

T9.2.4.1   Restricting Access to Selected Reports

I. Global test case information	

test case id:	T9.2.4.1
test case priority:	☐ Mandatory ☒ Optional ☐ Not Testable
test case description:	An administrative role restricts the access to a selected report to a single user. This user attempts to access another report. The ERMS denies access to it. Please note, that depending on the environment the restriction of users' access to reports can take place in different ways. It might be possible that the ERMS lists all reports and users with restricted access cannot get access to all of them or the ERMS lists just those reports where users have access to it.
Req.-ID:	9.2.23

II. Test case	

a. precondition(s)

- Logged in as the role **Central Adminstrator**

b. test steps

step	action/operation	check/ expected result
1.	Restrict the access to a standard report (e.g. List all secret files) to the role **Management**	Access to the standard report is restricted to the role **Management**
2.	Log out as the role **Central Adminstrator**	The **Central Adminstrator** is logged out
3.	Log in as the role **Reviewer**	The role **Reviewer** is logged in
4.	Attempt to select and access the standard report (selected in step1)	The ERMS denies selecting and accessing the standard report

c. postcondition(s)

- The ERMS allows administrator roles to restrict users' access to selected reports.

III. Test result	

defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.2.4.2   Unauthorised Access

I. Global test case information			
test case id:	T9.2.4.2		
test case priority:	☒ Mandatory	☐ Optional	☐ Not Testable
test case description:	A check is made to confirm that the ERMS provides and administrative role to create a report on attempted access control violation. Please note: According to the MoReq2 specifiction the corresponding requirement only applies if the ERMS is configured to make the exististence of entities visible to users even though these users have not the permission to access it.		
Req.-ID:	9.2.24		

II. Test case
a. precondition(s)

- A user attempted to access an aggregation within the classification scheme where the user has not the permission to access it.
- Logged in as the role **CentralAdministrator**

b. test steps	
step	action/operation	check/ expected result
---	---	---
1.	Create a report on all attempted access control violations	The report is created.

c. postcondition(s)

- The ERMS provides and administrative role with a report on attempted access control violations.

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ date, signature

T9.2.4.3 Creating Quantitative Reports

I. Global test case information	
test case id:	T9.2.4.3
test case priority:	☐ Mandatory ☒ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS provides quantitative reports on an amount and type of records to be reviewed within a specified period of time.
Req.-ID:	9.2.26

II. Test case
a. precondition(s)
• Logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a report on the amount and type of records to be reviewed within a specified period of time (e.g. the next month)	The report is created.

c. postcondition(s)
• The ERMS provides quantitative reports on the amount and type of records to be reviewed within a specified period of time.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.2.4.4   Reporting and Analysis Tools

I. Global test case information	
test case id:	T9.2.4.4
test case priority:	☐ Mandatory ☒ Optional ☐ Not Testable
test case description:	Ensure that the ERMS provides reporting and analysis tools for the management of retention and disposition schedules. Serveral checks are made to confirm that these tools include the ability to: • list all retention and disposition schedules, sorted by user, reason or date; • list all entities to which a specified retention and disposition schedule is assigned; • list the retention and disposition schedule(s) applied to all entities in a class; • identify, compare and review retention and disposition schedules (including their contents) across the classification scheme; • identify formal contradictions in retention and disposition schedules across the classification scheme.
Req.-ID:	9.2.27

II. Test case	
a. precondition(s)	

- Logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Open the reporting and analysis tools for the management of retention and disposition schedules	The reporting and analysis tools for the management of retention and disposition schedules are opened
2.	List all retention and disposition schedules, sorted by user, reason or date	All retention and disposition schedules are listed
3.	List all entities to which a specified retention and disposition schedule is assigned	All entities are listed
4.	List all retention and disposition schedule(s) applied to all entities in a specified class	All retention and disposition schedules are listed
5.	Identify, compare and review retention and disposition schedules (including their contents) across the classification scheme	The reporting and analysis tools allow to identify, compare and review retention and disposition schedules across the classification scheme
6.	Identify formal contradictions in retention and disposition schedules across the classification scheme	The reporting and analysis tools allow to identify contradictions in retention and disposition schedules across the classification scheme

c. postcondition(s)

- The ERMS supports reporting and analysis tools for the management of retention and disposition schedules by an administrative role.

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	 _____ date, signature

T9.2.4.5 Creating a Report Frequency

I. Global test case information			
test case id:	T9.2.4.5		
test case priority:	☐ Mandatory	☒ Optional	☐ Not Testable
test case description:	A check is made to confirm that an administrative role is able to specify the frequency of retention and disposition schedule reporting, the information reported and highlighting exceptions such as disposition overdue.		
Req.-ID:	9.2.25		

II. Test case

a. precondition(s)

- Logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a retention and disposition report that reports selected information (e.g. disposition actions) and higlights exceptions such as disposition overdue within a specific frequency (e.g. once a week)	The report is created.

c. postcondition(s)

- The ERMS allows an administrative role to specify the frequency of retention and disposition schedule reporting, the information reported and highlighting exceptions such as disposition overdue.

III. Test result

defects / deviations	verdict
	☐ passed
	☐ failed
Remarks	tester
	_____ date, signature

T9.2.4.6 Creating Statistics of Review Decisions

I. Global test case information	
test case id:	T9.2.4.6
test case priority:	☐ Mandatory ☒ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS allows to create statistics of review decisions in a given period of time. A second check is made to ensure that the ERMS provides tabular and graphical reports on the review activity.
Req.-ID:	9.2.28

II. Test case

a. precondition(s)

- Logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create statistics of all review decisions within a given period (e.g. within the last month)	The statistics are created.
2.	Create a tabular and graphical report on the review activity	The report is created.

c. postcondition(s)

- The ERMS allows an administrative role to create statistics on all review decisions within a given period.
- The ERMS provides tabular and graphical reports on the review activity.

III. Test result

defects / deviations	*verdict*
	☐ passed
	☐ failed
Remarks	*tester*
	_____ date, signature

T9.2.4.7 Creating Statistics of Disposal Holds

I. Global test case information			
test case id:	T9.2.4.7		
test case priority:	☐ Mandatory	☒ Optional	☐ Not Testable
test case description:	A check is made to confirm that the ERMS allows to create statistics on the assignment and removal of disposal holds in a given period of time. A second check is made to ensure that the ERMS provides tabular and graphical reports on the activity.		
Req.-ID:	9.2.29		

II. Test case
a. precondition(s)
• Logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create statistics on the assignment and removal of disposal holds within a given period (e.g. within the last month)	The statistics are created.
2.	Create a tabular and graphical report on the activity	The report is created.

c. postcondition(s)
• The ERMS allows an administrative role to create statistics on the assignment and removal of disposal holds within a given period.   • The ERMS provides tabular and graphical reports on the activity.

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ date, signature

T9.2.4.8   Creating ordered lists for transfer sorted by user-selected metadata elements

I. Global test case information	
test case id:	T9.2.4.8
test case priority:	☐ Mandatory ☒ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS provides the ability to create a list of files for transfer and order it according to a user-selected metadata element.
Req.-ID:	9.2.33

II. Test case

a. precondition(s)

- Logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a list of files for transfer and sort the list by a metadata element (e.g. title, data of creation etc.)	The list is created and ordered by a selected metadata element.

c. postcondition(s)

- The ERMS provides the ability to create a list of files for transfer and order it according to a user-selected metadata element.

III. Test result

defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ date, signature

T9.2.4.9 Reporting Failures during a Transfer, Export, Destruction or Deletion

I. Global test case information	
test case id:	T9.2.4.9
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	A check on the user documentation is made to confirm that the ERMS: • reports any failure during the transfer, export, destruction or deletion. • details in the reports all records and aggregations and associated metadata destined for transfer which have generated processing errors and all records and aggregations which are not successfully transferred, exported, destroyed or deleted
Req.-ID:	9.2.30

II. Test case	

a. precondition(s)

• User documentation is available

b. test steps

step	action/operation	check/ expected result
1.	Check the user documentation on the failure reporting during the transfer, export, destruction or deletion	The ERMS reports all failures during the transfer, export, destruction or deletion. The ERMS details in the reports • all records and aggregations and associated metadata destined for transfer which generated process errors and • all records and aggregations which are not successfully transferred, exported, destroyed or deleted

c. postcondition(s)

• According to the user documentation the ERMS produces a report detailing any failure during a transfer, export, destruciton or deletion.
• According to the user documentation the ERMS reports any records, aggregations and associated metadata which have generated processing errors and any records and aggregations which are not successfully transferred, exported, destroyed or deleted.

III. Test result	

defects / deviations	verdict
	☐ passed
	☐ failed

Remarks	tester
	_____ date, signature

T9.2.4.10   Reporting Failures during an Importation

I. Global test case information			
test case id:	T9.2.4.10		
test case priority:	☒ Mandatory	☐ Optional	☐ Not Testable
test case description:	An import of aggregations and records is performed that leads to failures during the import (e.g. metadata to be imported are not compliant to the metadata specified within the ERMS) A check is made to confirm that the ERMS produces a report detailing any failure during the importation.		
Req.-ID:	9.2.31		

II. Test case
a. precondition(s)
• Logged in as the role **CentralAdministrator**

b. test steps

step	action/operation	check/ expected result
1.	Perform an import of aggregations and records which are compliant to the ERMS (e.g. The ERMS requires a different metadata format)	The import is performed. The ERMS produced a report on all failures during the importation identifying • any records, aggregations and associated metadata which have generated processing errors and • any records and aggregations which are not successfully imported

c. postcondition(s)

- The ERMS produces a report detailing any failure during the importation.
- The report details any records, aggregations and associated metadata which have generated processing errors and any records and aggregations which are not successfully imported.

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ date, signature

T9.2.4.11   Supporting the Importation Process

I. Global test case information			
test case id:	T9.2.4.11		
test case priority:	☐ Mandatory	☒ Optional	☐ Not Testable
test case description:	An import is performed. A check is made to confirm that the ERMS supports the importation by tracking and reporting on its progress and status, including the percentage completed and number of records imported.		
Req.-ID:	9.2.32		

II. Test case		
a. precondition(s)		
• Logged in as the role **CentralAdministrator**		
b. test steps		
step	action/operation	check/ expected result
1.	Perform an import of records	The ERMS tracks the import process and reports on its progress and status, including the percentage completed and number of records imported
c. postcondition(s)		
• The ERMS supports the importation by tracking and reporting on its progress and status, including the percentage completed and number of records imported.		

III. Test result	
defects / deviations	verdict
	☐ passed
	☐ failed
Remarks	tester
	_____
	date, signature

T9.2.4.12   Generating User-Defined Reports

I. Global test case information	
test case id:	T9.2.4.12
test case priority:	☐ Mandatory ☒ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS is able to generate user-defined reports describing files and records that are being exported or transferred.
Req.-ID:	9.2.34

II. Test case

a. precondition(s)

- Logged in as the role **CentralAdministrator**

b. test steps

step	action/operation	check/ expected result
1.	Check the ability to create a user-defined report describing files and records that are being exported or transferred	The ability is given

c. postcondition(s)

- The ERMS is able to generate user-defined reports describing files and records that are being exported or transferred.

III. Test result

defects / deviations	verdict
	☐ passed

☐ failed |
| Remarks | tester |
| | _____

date, signature |

T9.3 Changing, Deleting and Redacting Records

<table>
<tr>
<td rowspan="3">REMARKS</td>
<td>TEST DATA:</td>
<td>The test data for the following tests (test module 9, chapter T9.3) can be found in the corresponding test data repository. The reference chapter is called 'on chapter T9.3 – Changing, Deleting and Redacting Records'.</td>
</tr>
<tr>
<td rowspan="2">TEST EXECUTION:</td>
<td>step (1)   Please read the chapter Testframework – Introduction/Chapter 2 before starting the test execution.</td>
</tr>
<tr>
<td>step (2)   The test cases are designed in a way that enables you to skip certain test cases when required. However, the outcome of some test cases might be a precondition of subsequent tests. Where there are dependencies we have inserted test references into the precondition section of the test case. Careful attention should be given to the preconditions of the test cases.</td>
</tr>
</table>

T9.3.1 Configuration

Abstract: The following chapter focuses on the configuration of the ERMS with regard to deletion and relocation.

T9.3.1.1   Preventing a Record from Being Deleted or Moved (I)

I. Global test case information	
test case id:	T9.3.1.1
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS allows a configuration option which prevents an electronic record from being deleted or moved by any administrative or user role.
Req.-ID:	9.3.1

II. Test case

a. precondition(s)
• Logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Configure the ERMS in way that it prevents an electronic record from being deleted or moved	The ERMS is configured; the ERMS prevents an electronic record from being deleted or moved

c. postcondition(s)
• The ERMS allows a configuration option which prevents an electronic record from being deleted or moved by any administrative or user role.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.3.1.2   Deleting and Relocating Records

I. Global test case information	
test case id:	T9.3.1.2
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS allows a configuration option which allows deleting and relocating records. Please note: Where "deletion" of a record is configured it implements destruction of that record, and that relocation results in a moving of records.
Req.-ID:	9.3.2

II. Test case

a. precondition(s)

- Logged in as the role **Central Administrator**

b. test steps		
step	action/operation	check/ expected result
1.	Configure the ERMS in a way that it allows "deleting" and relocating electronical records	The ERMS is configured; the ERMS allows "deleting" and relocating electronical records

c. postcondition(s)

- The ERMS allows a configuration option which allows deleting and relocating records.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.3.2 Deletion and Relocation

Abstract: The following chapter deals with the deletion and relocation of aggregations and records.

T9.3.2.1 Deleting and Relocating a Record

I. Global test case information	
test case id:	T9.3.2.1
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	The ERMS is configured in a way that it prevents any record from being deleted or moved by administrative roles and user roles. An administrative role "deletes" and "re-locates" a record. A check is made to confirm that the ERMS behaves in the case of deletion as follows: • the record is marked as 'deleted' in its metadata; • the ERMS hides the content and metadata of the record from users • the deletion is recorded in the audit trail A check is made to confirm that the ERMS behaves in the case of re-location as follows: • the record is marked as deleted in its metadata; • the ERMS hides the content and metadata of the record from users • the deletion is recorded in the audit trail • a copy (or pointer, depending on the storage method used) is inserted at the new location
Req.-ID:	9.3.3
II. Test case	
a. precondition(s)	

- The ERMS is configured in a way that it prevents any record from being deleted or moved by administrative roles and user roles (see test case T9.3.1.1)
- **TestClassificationScheme1** is created.
- Logged in as the role **CA_user**

b. test steps

step	action/operation	check/ expected result
1.	"Delete" the record **Analyses1 (CS01/001/001)**	The record **Analyses1 (CS01/001/001)** is marked as **deleted** in the metadata;
2.	"Re-locate" the record **Analyses2 (CS01/001/002)** into the class **Product policies (CS01/002)**	The record **Analyses2** is relocated; A copy (or pointer, depending on the storage method used) of the record is relocated at the new location.
3.	Check the content and the metadata of the deleted record **Analyses1 (CS01/001/001)** and the relocated record **Analyses2 (CS01/001/002)** within the **class Marketing (CS01/001)** of the classification scheme	The content of the record **Analyses1 (CS01/001/001)** and the record **Analyses2 (CS01/001/002)** is not present within the class **Marketing (CS01/001)** of the classification scheme
4.	Check the audit trail	The ERMS recorded the deletion and relocation of the record **Analyses1 (CS01/001/001)** and the record **Analyses2 (CS01/001/002)** in the audit trail.

c. postcondition(s)

- In the case of deleting a record by an administrative role the ERMS behaves as follows:
  - record is marked as deleted in its metadata;
  - the ERMS hides the content and metadata of the record from users and

- the deletion is recorded in the audit trail.

- In the case of relocating a record by an administrative role the ERMS behaves as follows:
  - record is marked as deleted in its metadata;
  - the ERMS hids the content and metadata of the record from users;
  - the deletion is recorded in the audit trail and
  - a copy (or pointer, depending on the storage method used) is inserted at the new location.

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ date, signature

T9.3.2.2 Deleting and Relocating a Record

I. Global test case information	
test case id:	T9.3.2.2
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	The ERMS is configured in a way that it allows to delete and relocate records. An administrative role "deletes" and "re-locates" a record. A check is made to confirm that the ERMS behaves in the case of deletion as follows: • record is deleted except for the metadata specified as part of its metadata stub and • the deletion is recorded in the audit trail. A check is made to confirm that the ERMS behaves in the case of re-location as follows: • record is deleted except for the metadata specified as part of its metadata stub; • the deletion is recorded in the audit trail and • the record (or pointer to it, depending on the storage method used) is inserted at the new location.
Req.-ID:	9.3.4

II. Test case

a. precondition(s)
• The ERMS is configured in a way that it allows to "delete" and relocate records (see test case T9.3.1.2)   • **TestClassificationScheme1** is created.   • Logged in as the role **CA_user**

b. test steps

step	action/operation	check/ expected result
1.	Delete the record **Policy1 (CS01/003/001)**	The record **Policy1 (CS01/003/001)** is deleted in the metadata; a metadata stub is retained.
2.	Re-locate the record **Policy2 (CS01/003/002)** into the class **Innovation policies (CS01/004)**	The record (or pointer to it, depending on the storage method used) **Policy2** is relocated at the new location.
3.	Check the audit trail	The ERMS recorded the deletion and relocation of the record **Policy1 (CS01/003/001)** and the record **Policy2 (CS01/003/002)** in the audit trail.

c. postcondition(s)
• In the case of deleting a record by an administrative role the ERMS behaves as follows: - record is deleted except for the metadata specified as part of its metadata stub and   - the deletion is recorded in the audit trail..   • In the case of relocating a record by an administrative role the ERMS behaves as follows: - record is deleted except for the metadata specified as part of its metadata stub;   - the deletion is recorded in the audit trail and   - the record (or pointer to it, depending on the storage method used) is inserted at the new location.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester

| | _____ |
| | date, signature |

T9.3.2.3 Deletion of Entities (I)

I. Global test case information	
test case id:	T9.3.2.3
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS allows an administrative role to delete classes, files, sub-files, volumes. Some files and records are linked to files, sub-files and volumes. Several other checks are made to confirm that the ERMS: • logs the deletion in the audit trail • produces a report for the administrator • deletes the entire contents of the class, file, sub-file and volume • highlights to the administrative role any links from the file and records to the file, sub-file and volume which is about to be deleted • maintains integrity of the metadata.
Req.-ID:	9.3.5, 9.3.7

II. Test case

a. precondition(s)

- The ERMS is configured in a way that it allows to "delete" and relocate records (see test case T9.3.1.2)
- **TestClassificationScheme3** is created.
- The file **Hardware (CS03/003/001)** is linked to the file **Change (CS03/001/001/001);** the record **Project A (CS03/002/001)** is linked to the record **M1Syllabus 1 (CS03/001/002/001 /001/001)**
- Logged in as the user **CA_user**

b. test steps		
step	action/operation	check/ expected result
1.	Delete the class **IT and Communication (CS03/001)**	The ERMS higlights the links from the file **Hardware (CS03/003/001)** to the file **Change (CS03/001/001/001)** and the link from the record **Project A (CS03/002/001)** to the record **M1Syllabus 1 (CS03/001/002/001 /001/001)** The ERMS requires to confirm the deletion
2.	Confirm the deletion process	The entire content of class **IT and Communication (CS03/001)** is deleted. The ERMS produced a report for the user **CA_user.**
3.	Check the audit trail	The ERMS recorded the deletion of the class **IT and Communication (CS03/001)** in the audit trail.
4.	Check the metadata of the file **Hardware (CS03/003/001)** and the record **Project A (CS03/002/001)**	The integrity of the metadata is given. There exist no links to any deleted entities.

c. postcondition(s)

- The ERMS allows an administrative role to delete a class, file, sub-file, volume outside of the disposition process.
- Where an administrative role deletes a class, file, sub-file and volume the ERMS:
    - logs the deletion in the audit trail
    - produces a report for the administrator
    - deletes the entire contents of the class, file, sub-file and volume
    - highlights to the administrative role any links from the file and records to the file, sub-file and volume which is about to be deleted
    - maintains integrity of the metadata.

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ date, signature

T9.3.2.4   Deletion of Entities (II)

I. Global test case information	
test case id:	T9.3.2.4
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS allows an administrative role to delete a class, file, sub-file, volume. Some files and records are linked to files, sub-files and volumes. Several other checks are made to confirm that the ERMS: • logs the deletion in the audit trail • produces a report for the administrator • deletes the entire contents of the class, file, sub-file and volume • highlights to the administrative role any links from the file and records to the file, sub-file and volume which is about to be deleted • maintains integrity of the metadata.
Req.-ID:	9.3.5, 9.3.7

II. Test case

a. precondition(s)
- The ERMS is configured in a way that it prevents any record from being deleted or moved by administrative roles and user roles (see test case T9.3.1.1   **TestClassificationScheme3** is created.   - The file **Software (CS03/003/002)** is linked to the file **Policy Development (CS03/004/001);** the record **Project B (CS03/002/002)** is linked to the record **P1 (CS02/004/001 /001/001)**   - Logged in as the user **CA_user**

b. test steps

step	action/operation	check/ expected result
1.	Delete the class **Product policies (CS03/004)**	The ERMS highlights the links from the file **Software (CS03/003/002)** to the file **Policy Development (CS03/004/001)** and the link from the record **Project B (CS03/002/002)** to the record **P1 (CS02/004/001 /001/001)** The ERMS requires to confirm the deletion
2.	Confirm the deletion process	The entire content of class **Product policies (CS03/004)** is deleted. The ERMS produced a report for the user **CA_user.**
3.	Check the audit trail	The ERMS recorded the deletion of the class **Product policies (CS03/004)** in the audit trail.
4.	Check the metadata of the file **Software (CS03/003/002)** and the record **Project B (CS03/002/002)**	The integrity of the metadata is given. There exist no links to any deleted entities.

c. postcondition(s)
- The ERMS allows an administrative role to delete a class, file, sub-file, volume outside of the disposition process.   - Where an administrative role deletes a class, file, sub-file and volume the ERMS: - logs the deletion in the audit trail   - produces a report for the administrator   - deletes the entire contents of the class, file, sub-file and volume   - highlights to the administrative role any links from the file and records to the file, sub-file and volume which is about to be deleted   - maintains integrity of the metadata.

III. Test result

defects / deviations	verdict
	☐ passed
	☐ failed
Remarks	tester
	_____ date, signature

T9.3.2.5   Marking Aggregations and Records for Deletion

I. Global test case information	
test case id:	T9.3.2.5
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS allows user roles to mark a class, file, sub-file, volume and record for deletion.
Req.-ID:	9.3.6

II. Test case

a. precondition(s)

- **TestClassificationScheme1** is created.
- Logged in as the role **Management**

b. test steps

step	action/operation	check/ expected result
1.	Mark the class **Production policies (CS01/005)** for deletion	The class **Production policies (CS01/005)** is marked for deletion.
2.	Log out as the role **Management**	The role **Management** is logged out
3.	Log in as the role **Central Administrator**	The role **Central Administrator** is logged in
4.	Check the class **Production policies (CS01/005)**	The class **Production policies (CS01/005)** and all its entities are marked for deletion. The ERMS allows to decide whether the deletion is to be carried out or not.

c. postcondition(s)

- The ERMS allows a user role to mark a class, file, sub-file, volume and record for deletion.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.3.3 Changing Metadata Elements

Abstract: The following chapter deals with changing metadata elements.

T9.3.3.1   Changing User-Entered Metadata Elements

I. Global test case information			
test case id:	T9.3.3.1		
test case priority:	☒ Mandatory	☐ Optional	☐ Not Testable
test case description:	A check is made to confirm that the ERMS allows an administratative role to change user-entered metadata elements.		
Req.-ID:	9.3.8		

II. Test case
a. precondition(s)
• **TestClassificationScheme1** is created.   • Logged in as the role **Central Administrator**

b. test steps		
step	action/operation	check/ expected result
1.	Change the metadata element of the record **Business plan (CS01/006/001)** (e.g. author**)**	The abilitiy to change metadata elements of the record **Business plan (CS01/006/001)** is given
2.	Change the title of the record **Business plan (CS01/006/001)** to **Business plan A**	The title of the record Business plan is changed to **Business plan A (CS01/006/001)**

c. postcondition(s)
• The ERMS allows an administratative role to change user-entered metadata elements.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.3.3.2 Recording Changes of Metadata Elements in the Audit Trail

I. Global test case information	
test case id:	T9.3.3.2
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	Changes are made to the metadata element of a record. A check is made to confirm that the ERMS records all changes to metadata elements of a record in the audit trail.
Req.-ID:	9.3.9

II. Test case

a. precondition(s)
TestClassificationScheme1 is created.   - Some metadata elements of the record record **Business plan A (CS01/006/001)** were changed (see test case T9.3.3.1)   - Logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Check the audit trail on changes to the record **Business plan A (CS01/006/001)**	The ERMS stored all changes made to the record **Business plan A (CS01/006/001)** in the audit trail

c. postcondition(s)
The ERMS records all changes to metadata elements of a record in the audit trail.

III. Test result	

defects / deviations	*verdict*
	☐ passed ☐ failed

Remarks	*tester*
	_____ date, signature

T9.3.4 Redaction of Records

Abstract: The following chapter deals with the redaction of records.

T9.3.4.1   Redacting All Record Formats

I. Global test case information	
test case id:	T9.3.4.1
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS allows to redact all record formats required by the organisation. Please note, that we do not make any assumption about the record format. There might be various formats possible.
Req.-ID:	9.3.11

II. Test case
a. precondition(s)
• Logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a redaction for at least three different record formats required by the organisation	Redactions for at least three different record formats are made

c. postcondition(s)
• The ERMS allows to redact all record formats required by the organisation.

III. Test result	
defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.3.4.2   Creating a Redaction

I. Global test case information	
test case id:	T9.3.4.2
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	An administrative role creates a redaction. A check is made to confirm that the ERMS requires the administrative role to enter a reason.
Req.-ID:	9.3.13

II. Test case

a. precondition(s)

- **TestClassificationScheme2** is created.
- Logged in as the role **CA_user**

b. test steps

step	action/operation	check/ expected result
1.	Create a redaction from the record **Asset Management (CS02/001/001/001/001)**	The ERMS requires user **CA_user** to enter a reason
2.	Enter the reason "Testing" and store the redaction in the file **Change (CS02/001/001/001)**.	The redaction from the record **Asset Management (CS02/001/001/001/001)** is stored in the file **Change (CS02/001/001/001).** The ERMS stored the reason for the redaction in its metadata and the metadata of the record.

c. postcondition(s)

- When a redaction is created, the ERMS requires entering a reason.

III. Test result

defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.3.4.3 Checking the Metadata of Newly Created redactions

I. Global test case information			
test case id:	T9.3.4.3		
test case priority:	☐ Mandatory	☒ Optional	☐ Not Testable
test case description:	A redaction is created. A first check is made to confirm that the ERMS automatically stores the fully-qualified classification code of the redaction in the metadata of the record. A second check is made to confirm that the ERMS automatically stores values of the redaction's metadata elements: **Reason, Creator, date of creation, system identifier of the redaction**:		
Req.-ID:	9.3.12		

II. Test case

a. precondition(s)
- A redaction (reason: "Testing") to the record **Asset Management (CS02/001/001/001/001)** is created by the user **CA_user** (see test case T9.3.4.1).   - Logged in as the role **CA_user**

b. test steps

step	action/operation	check/ expected result
1.	Check the metadata of the record **Asset Management (CS02/001/001/001/001)**	The metadata of the record **Asset Management (CS02/001/001/001/001)** includes the fully-qualified classification code of the redaction (e.g. CS02/001/001/001/002).
2.	Check the metadata of the redaction to the record **Asset Management (CS02/001/001/001/001)**	The ERMS automatically stored the following metadata of the redaction: <Reason> :Testing <Creator>: CA_user <date>: date <system identifier>: ID

c. postcondition(s)
- When a redaction is created, the ERMS automatically stores the fully-qualified classification code of the redaction in the metadata of the record.   - When a redaction is created, the ERMS automatically stores values for the redactions as metadata elements: **Reason, Creator, date of creation, system identifier of the redaction**

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ date, signature

T9.3.4.4 Creation of One or More Redactions of a Record

I. Global test case information	
test case id:	T9.3.4.4
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	An administrative role creates two redactions of a record. A check is made to confirm that the ERMS retains the original record.
Req.-ID:	9.3.10

II. Test case

a. precondition(s)

- **TestClassificationScheme2** is created.
- Logged in as the role **CA_user**

b. test steps

step	action/operation	check/ expected result
1.	Create two extracts from the record **M1-Syllabus 1 (CS02/001/002/001/001/001)** and store them in the sub-file **Modul1 (CS02/001/002/001/001)**	Two extracts are created and stored in the sub-file **Modul1 (CS02/001/002/001/001)**; The ERMS retains the record **M1-Syllabus 1 (CS02/001/002/001/001/001).**

c. postcondition(s)

- The ERMS allows an administrative role to create more than one redaction of a record.
- When two extracts from a record are created, the ERMS retains the original record.

III. Test result

defects / deviations	verdict
	☐ passed ☐ failed
Remarks	tester
	_____ date, signature

T9.3.4.5   Automatic Declaration of a Redaction

I. Global test case information	
test case id:	T9.3.4.5
test case priority:	☐ Mandatory ☒ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS automatically declares a redaction as record, classifiying it into the aggregation of the original record and prompting the creator for a reason.
Req.-ID:	9.3.14

II. Test case

a. precondition(s)

- **TestClassificationScheme2** is created.
- Logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a redaction of the record **Project A (CS02/002/001)**	The ERMS automatically declares the redaction as record in the class **Testing (CS02/002)** and prompts the user for a reason.
2.	Enter the reason "Testing"	The redaction of the record **Project A (CS02/002/001)** is stored as record in the class **Testing (CS02/002)**

c. postcondition(s)

- The ERMS automatically declares a redaction as record, classifiying it into the aggregation of the original record and prompting the creator for a reason.

III. Test result	
defects / deviations	*verdict*
	☐ passed
	☐ failed
Remarks	*tester*
	_____ date, signature

T9.3.4.6   Copying Metadata Elements to a Redaction

I. Global test case information			
test case id:	T9.3.4.6		
test case priority:	☐ Mandatory	☒ Optional	☐ Not Testable
test case description:	A check is made to confirm the ERMS allows copying of metadata elements to a redaction upon the creation process.		
Req.-ID:	9.3.15		
II. Test case			
a. precondition(s)			
• Logged in as the role **Central Administrator**			
b. test steps			

step	action/operation	check/ expected result
1.	Create a redaction and copy metadata elements to it	The copying of metadata elements is possible

c. postcondition(s)
• The ERMS allows copying of metadata elements to a redaction upon the creation process.

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ date, signature

T9.3.4.7 Amendment of Selected Data Items

I. Global test case information	
test case id:	T9.3.4.7
test case priority:	☐ Mandatory ☒ Optional ☐ Not Testable
test case description:	A check is made to confirm that the ERMS allows amending selected data items such as keyword metadata (subject to access control rights).
Req.-ID:	9.3.16

II. Test case

a. precondition(s)

- **TestClassificationScheme2** is created.
- Logged in as the role **Management**

b. test steps		
step	action/operation	check/ expected result
1.	Attempt to change the title of the file **Hardware (CS02/003/001)**	The ERMS denies the role Management to change the title of the file **Hardware (CS02/003/001)**
2.	Log out as the role **Management**	The role **Management** is logged out
3.	Log in as the role **Central Administrator**	The role **Central Administrator** is logged in
4.	Change the title of the file **Hardware (CS02/003/001)** to **Hardware delivery**	The title of the file **Hardware (CS02/003/001)** is changed to **Hardware delivery**

c. postcondition(s)

- The ERMS allows amending of selected data items such as titles (subject to access control rights).

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ date, signature

T9.3.4.8   Cross References to Redactions

I. Global test case information	
test case id:	T9.3.4.8
test case priority:	☐ Mandatory ☒ Optional ☐ Not Testable
test case description:	An administrative role creates a redaction with an open and closed aggregation. A check is made to confirm that the ERMS stores in both cases a cross reference in the metadata of the redaction and the original record.
Req.-ID:	9.3.17

II. Test case

a. precondition(s)

- **TestClassificationScheme2** is created.
- Logged in as the role **Central Adminstrator**

b. test steps

step	action/operation	check/ expected result
1.	Create a redaction to the record **Checklist (CS02/003/001/001/001)**	The redaction is stored in the sub-file **Delivery (CS02/003/001/001);** a cross reference is stored within the metadata of the record and the metadata of the redaction.
2.	Close the class **Produktion policies (CS02/004)** and all its entities	The class **Produktion policies (CS02/004)** is closed.
3.	Create a redaction to the record **P1 (CS02/004/001/001/001)**	The redaction is stored in the volume **Policies (CS02/004/001/001);** a cross reference is stored within the metadata of the record and the metadata of the redaction.

c. postcondition(s)

- When a redaction is created within an open and closed aggregation, the ERMS stores a cross reference in the metadata of the redaction and the original record.

III. Test result	
defects / deviations	*verdict*
	☐ passed ☐ failed
Remarks	*tester*
	_____ date, signature

T9.3.4.9 Retrieving Records or Redactions

I. Global test case information	
test case id:	T9.3.4.9
test case priority:	☒ Mandatory ☐ Optional ☐ Not Testable
test case description:	A redaction of a record is created. A user role retrieves that redaction. A check is made to confirm that the ERMS allows the user to see the existence of all redactions and makes them available for retrieval.
Req.-ID:	9.3.18, 9.3.19

II. Test case

a. precondition(s)

- **TestClassificationScheme2** is created.
- A redaction from the record **Checklist (CS02/003/001/001/001)** is created (see test case T9.3.4.8).
- Logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Search for the redaction Checklist within the classification scheme	The ERMS shows the user the existence of the redaction and its parent record **Checklist (CS02/003/001/001/001)**
2.	Retrieve the record **Checklist (CS02/003/001/001/001)**	The record **Checklist (CS02/003/001/001/001)** is presented.

c. postcondition(s)

- Where an administrative role retrieves a redaction, the ERMS allows the adminstrator to see the existence of the redaction and its parent record.

III. Test result	
defects / deviations	verdict
	☐ passed
	☐ failed
Remarks	tester
	_____ date, signature

T9.3.5 Others:

Abstract: The following chapter summarises all other test cases.

T9.3.5.1   Restoring Changes in the Audit Trail

I. Global test case information			
test case id:	T9.3.5.1		
test case priority:	☒ Mandatory	☐ Optional	☐ Not Testable
test case description:	Changes to metadata elements and redactions are made during test execution. A check is made to confirm that the ERMS records all changes in the audit trail.		
Req.-ID:	9.3.20		
II. Test case			
a. precondition(s)			

- Changes to metadata elements are made (see sub-chapter T9.3.3)
- Redactions are created (see sub-chapter T9.3.4)
- Logged in as the role **Central Administrator**

b. test steps

step	action/operation	check/ expected result
1.	Check the audit trail	All changes made respectively to metadata elements are recorded in the audit trail.
2.	Check the audit trail	The creation of redactions is recorded in the audit trail.

c. postcondition(s)

- The ERMS records changes to the metadata elements and redactions in the audit trail.

III. Test result	
defects / deviations	*verdict*
	☐ passed
	☐ failed
Remarks	*tester*
	_____
	date, signature