

Daryll Prescott

DoD 5015.2

and

Records Management Services

International Symposium:
Our Professional Identities in a World Gone Digital
The University of British Columbia
Vancouver, BC, Canada
13 February 2009

What is an Application?

- Software usually divided into two classes, systems software and applications software.
- Systems software are low-level programs that interact with the computer at a very basic level including operating systems and utilities for managing computer resources.
- Applications (sometimes called end-user programs) include database programs, word processors, spreadsheets, etc.

What is an Application?

Application software “sits” on top of systems software.

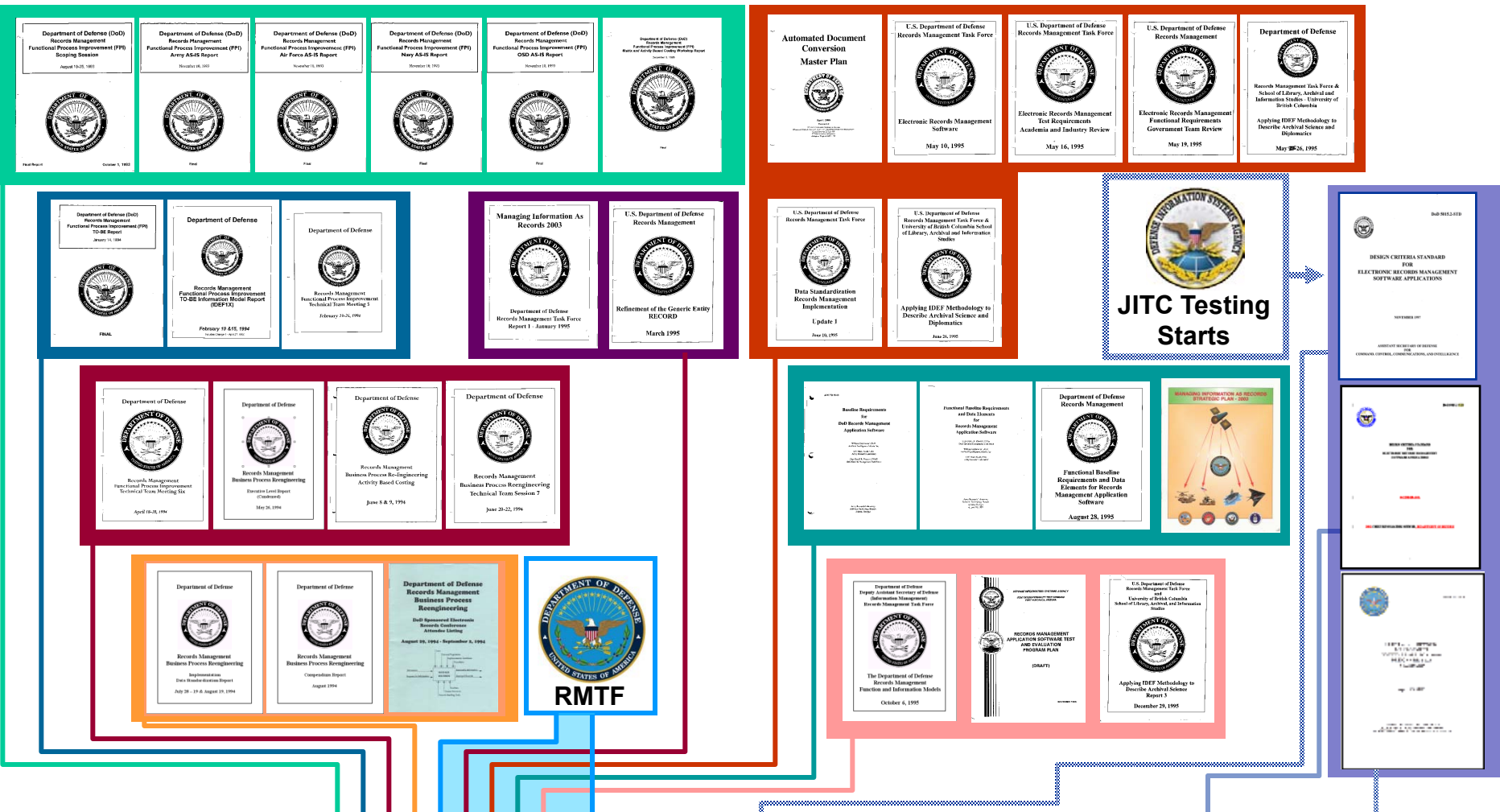
Application software cannot run without an operating system and system utilities

Records Management Application

- Stand alone product
- The application through which a record is captured is different than the application used to generate it.
- Users must learn yet another application.
- The use of the application must be inserted in uncountable places in the business process

Records Management Application

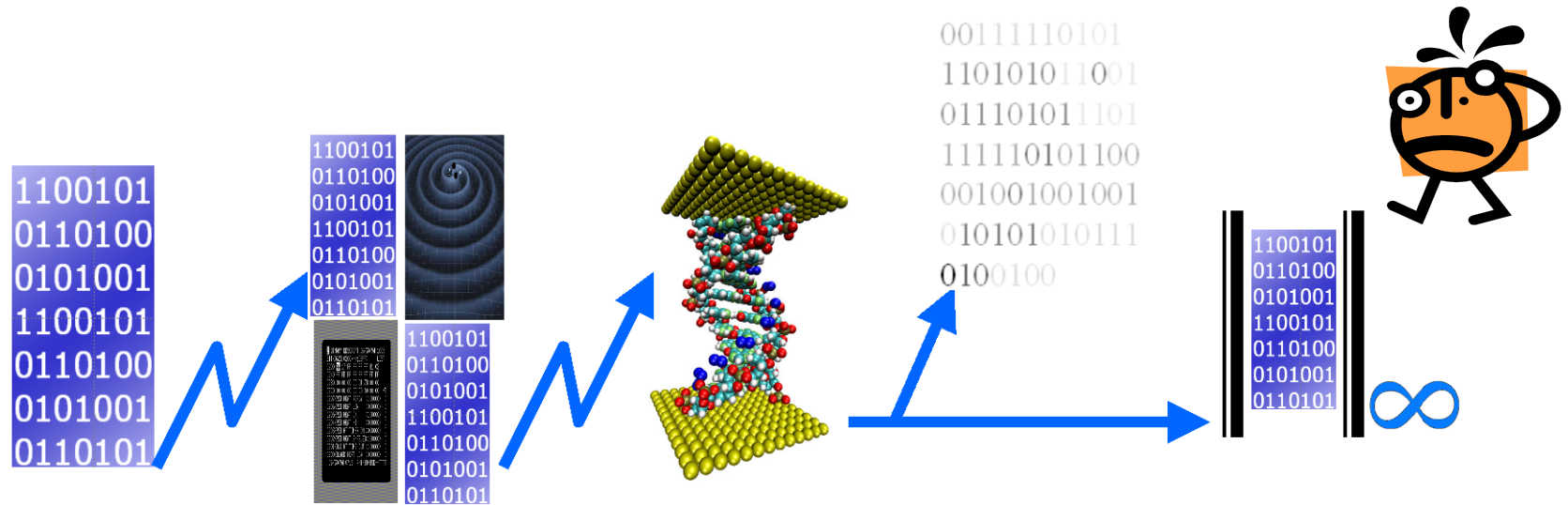
- 1990's
- No RMA vendors existed
- Document management
- Application workflow integration into business process
- First RMA's were conglomerate companies
- Today's best RMA's are built by single companies



1993 1994 1995 1996 1997 1998 1999 2000 2001 2002 // 2004 // 2008

DoD 5015.2: 1997_(v1) – 2002_(v2) – 2007_(v3)
 ASD(C3I) (ASD(C3I)) DoD CIO

Records Management



Creation.....

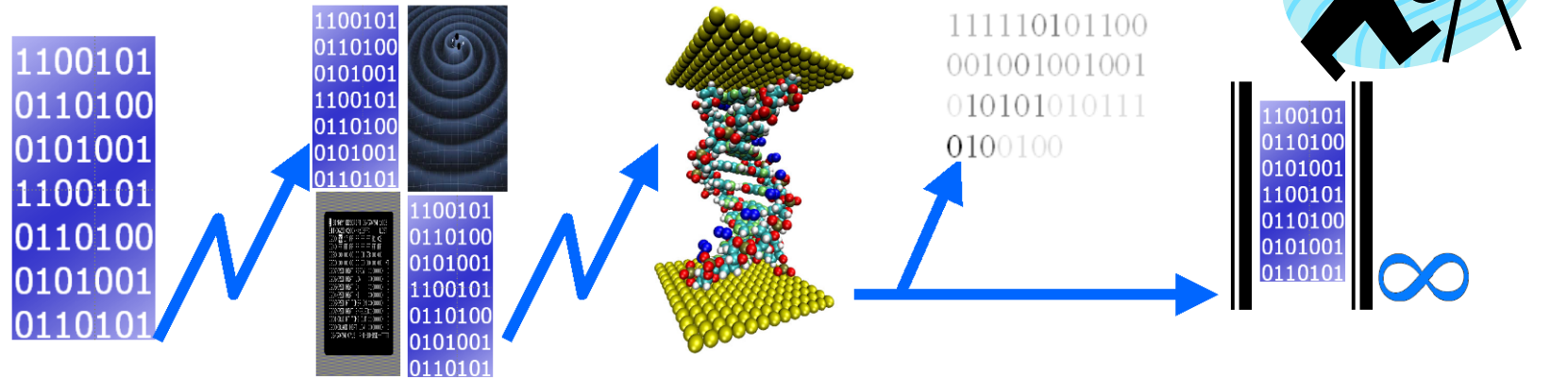
Use....

Disposition....



Value Span
With most RMA

Records Management Value Tomorrow



Records Lifecycle

Creation.....

Use....

Disposition....

Value Span with RMS

Service Oriented Architecture

- Provides methods for systems development and integration where grouped around business processes
- Use interoperable services.
- SOA allows different applications to exchange data with one another while participating in business processes.
- Developers can combine and reuse services in the production of business applications.

Services You Know already...

- Basic Operating System services:
 - System clock and date
 - Cursor movement and functions
 - Display
 - Clipboard
 - Print
 - Keyboard
- Common requirements met through central services
- This is the target for Records Management Services

RMS

Interagency Project Team



Participant Requirements

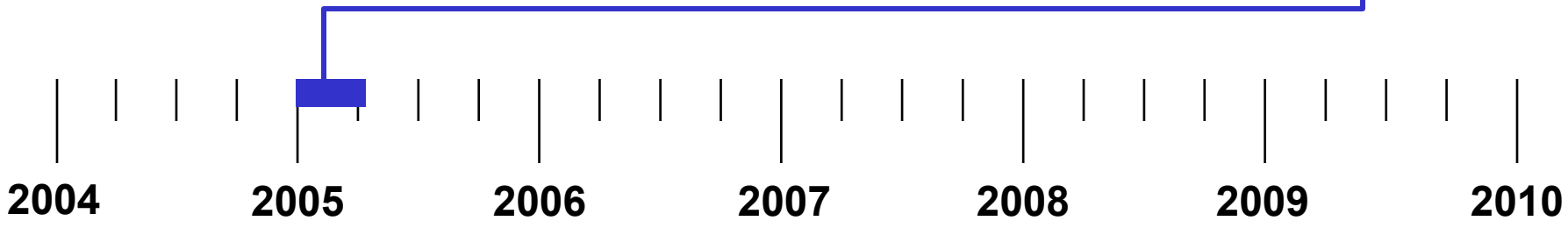
- Must have letter of authority
 - Speak on behalf of the agency
 - Vote for the agency
 - Authorize the publication of documents with agency logo

RMS

Records Management Services

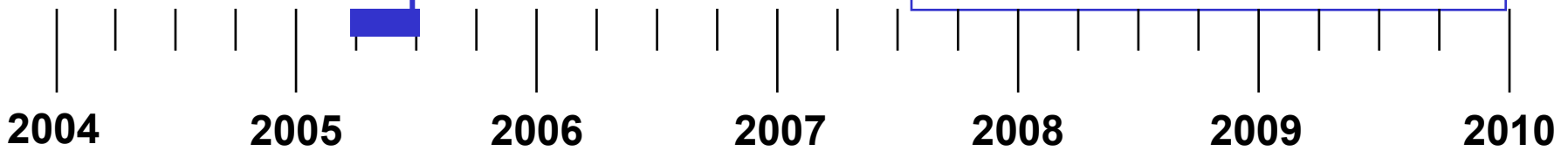
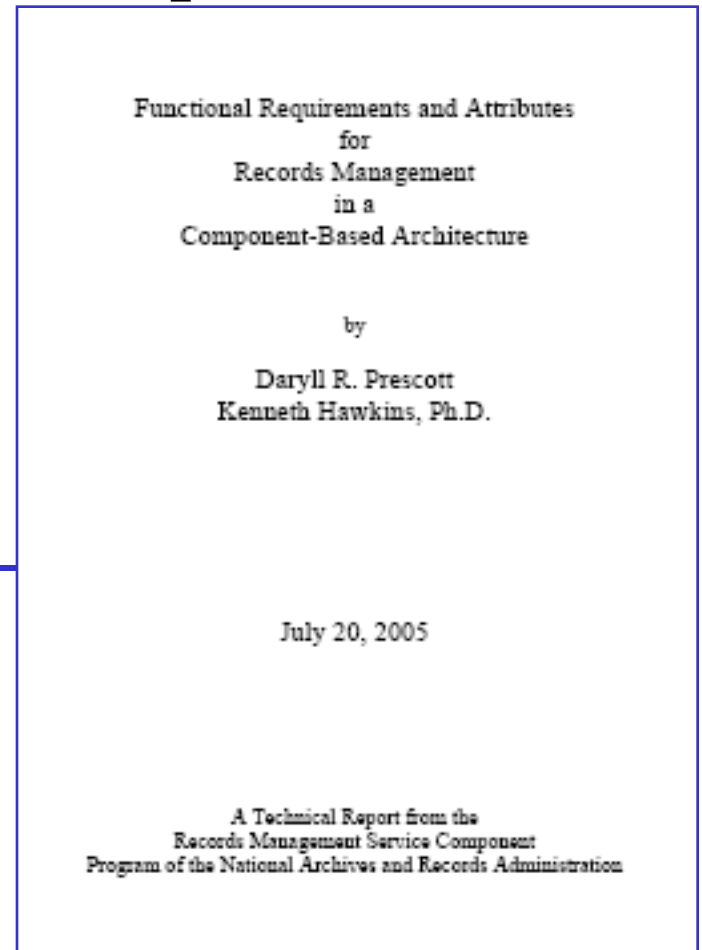


- 2004 RMS Program Office
- 2005 Jan – Mar 2005
- 18 Contributing Agencies meet for six sessions to initiate requirements development




Functional Requirement and Attributes for Records Management in a Component Based Architecture

July 2005





Dec 2005 U.S. Govt Adopts Requirements and Attributes



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


RMSC Requirements Development Project
Session Report – Session 8

November 14, 2005




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

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




December 7, 2005

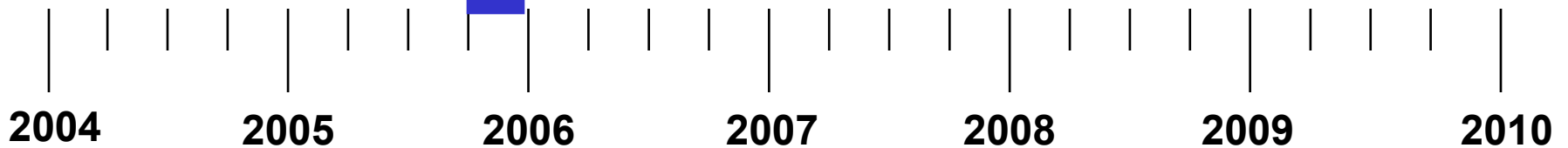


Interagency Project Team
and the
Records Management Service
Components Program Office of the
National Archives and Records
Administration

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



This report is published pursuant to the "Interagency Project Team, RMS Requirements Development Project Workshop Report – Session 9, December 7, 2005," the "Records Management Service Component Requirements Development Project Final Report, March 31, 2005," and the November 2004 Memorandum of Understandings between the Managing Partner Agency (NARA) and the Contributing Partner Agencies.



RMS Program Office

Record Capture Service – Record Annotation Establish Use Case, Record Annotation First Update Use Case, Record Annotation Subsequent Update Use Case, and Record Annotation De-populate Use Case
(ADDITION)

of the
Functional Requirements and Attributes
for
Records Management Services
December 7, 2005

by
Deryll R. Prescott
Kenneth Hawkins, Ph.D.

June 30, 2006

A Technical Report from the
Records Management Service Component
Program of the National Archives and Records Administration

Case File Service – Case File Record Capture Use Case
And
Case File Part Associate Use Case (amended)
Functional Requirements and Attributes
for
Records Management Services
December 7, 2005

by
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Kenneth Hawkins, Ph.D.

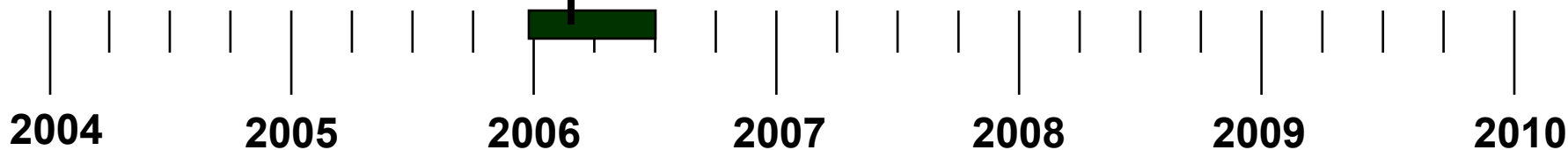
March 17, 2006

A Technical Report from the
Records Management Service Component
Program of the National Archives and Records Administration

Mar through
Jun 2006

1. Records Capture
Service Modified
Annotate

2. Case File Service
Case File Part



Interagency Project Team

- Reorganizes
- Community of Interest
- Updates Requirements




National Archives and Records Administration
Records Management Services Program
(RMS)

RMS Requirements Development Project
Workshop Report – Session 10




September 7, 2006

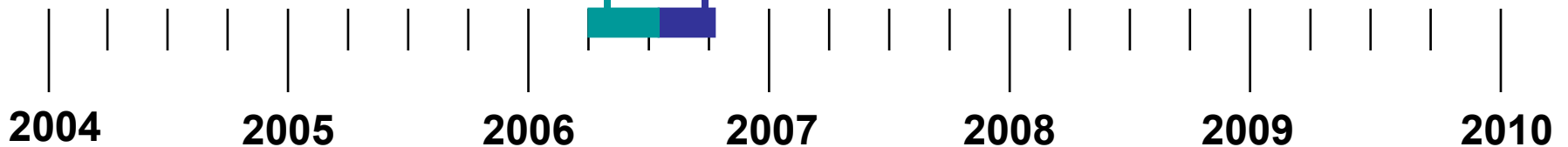


Interagency Project Team
and the
Records Management Service
Components Program Office of the
National Archives and Records
Administration

Functional Requirements, Attributes, and Unified Modeling
Language Class Diagrams
for
Records Management Services
September 7, 2006

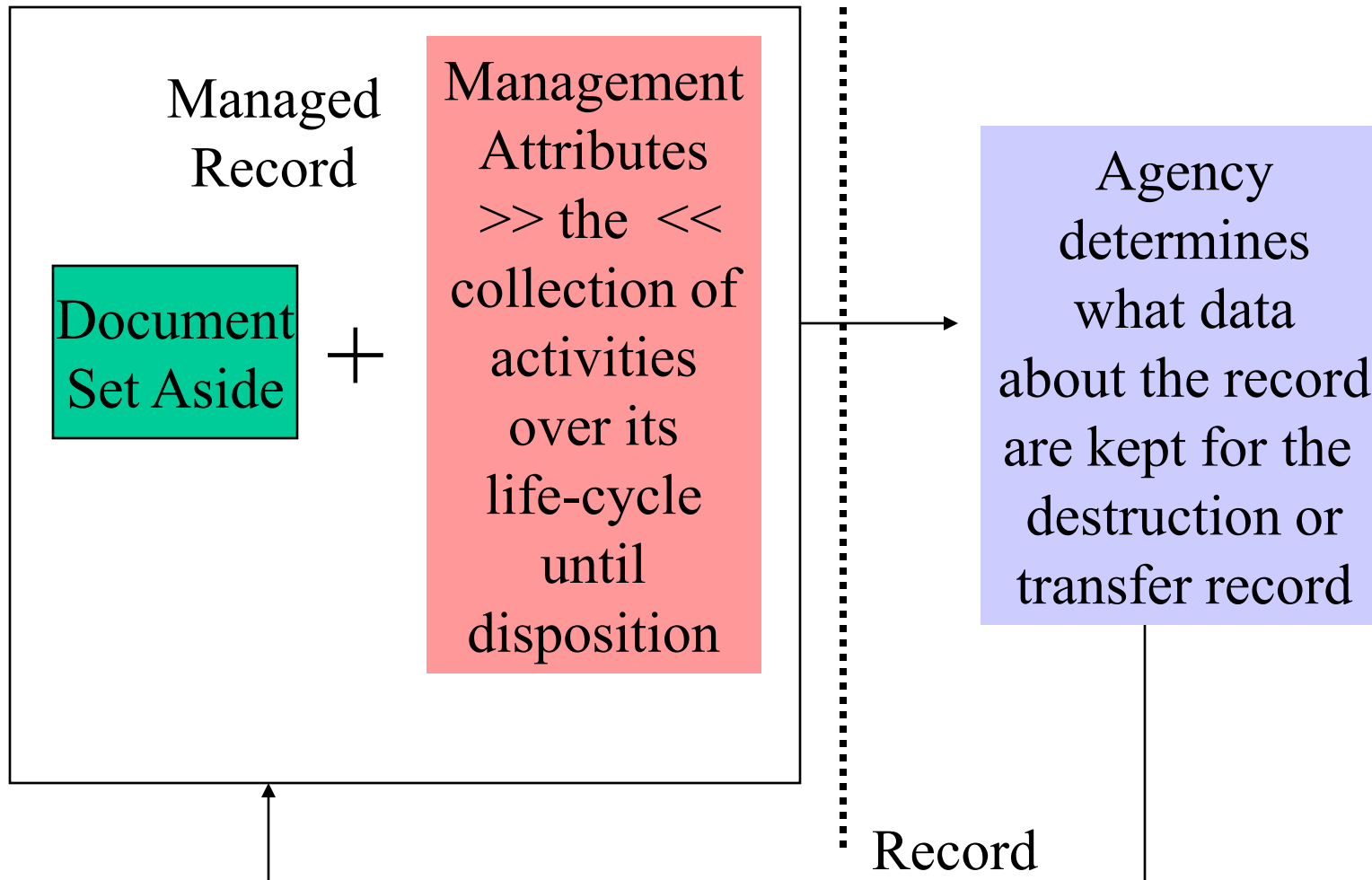


This report is published pursuant to the "Interagency Project Team, RMS Requirements Development Project Workshop Report – Session 10, September 7, 2006," and updates the "Interagency Project Team and the Records Management Service Components Program Office of the National Archives and Records Administration, Functional Requirements and Attributes for Records Management Services December 7, 2005."



Managed Record

Disposition



The Identified RM Services

- *Record Capture*
- *Provenance (establish, history, Recordkeeper establish, history)*
- *Category (establish, history)*
- *Authenticity (establish, validate, update)*
- *Case File (capture + part, part history)*
- *Disposition (establish, history, suspension, and revocation of suspension)*
- *Reference (associate + disassociate)*

Provenance

Agency Policy

Agency Policy

Agency Policy

Required:

Agency

Agency

Agency

Sub-Agency

Individual

Individual

Provenance Attributes

ProvenanceAgency
ProvenanceIndividual

ProvenanceAgency
ProvenanceSub-Agency
ProvenanceIndividual

ProvenanceAgency

Provenance

Coast Guard from DoT to DHS

DoT

AgencyCurrent
AgencyCurrentDate
RecordKeeperCurrent
RecordKeeperCurrentDate

DHS
(Migrated DoT)

AgencyCurrent
AgencyCurrentDate
RecordKeeperCurrent
RecordKeeperCurrentDate
AgencyPrevious
AgencyPreviousDate

DHS
New

AgencyCurrent
AgencyCurrentDate
RecordKeeperCurrent
RecordKeeperCurrentDate



- Object Management Group is a computer industry consortium that defines and develops software standards
- RMS standards are being developed through OMG's Government Domain Task Force, with submission to OMG for publication in March 2009, Washington DC.

Object Management Group

- Computer Independent Model: Sept 2006
Functional Requirements U.S. Govt IPT
- Platform Independent Model (PIM): June – 2006
February 2009
 - Model can be ported to any language solution
 - Model can be ported to any other standard such as 5015.2, MoReq, Dublin Core, etc.
- Platform Specific Model (PSM) shows actual working solution – Web Service Definition Language (WSDL) : February 2009

PIM to PSM Tools

- *C++, C#, JAVA, Delphi, VB.net, WDSL, Visual Basic, Action Script, Personal Home Page (open source), XML (XML Schema Definition), Common Object Request Broker Architecture (CORBA by OMG), Interface Definition Language (OMG), allows automated engineering & reverse engineering facilities*
 - *Sparx EA*
 - *Rational Environment (IBM)*
 - *MagicDraw*

Object Management Group

Computer
Independent
Model

Functional Requirements
September 2006



Unified
Modeling
Language

Platform
Independent
Model

1. Relationship and cardinality
2. State diagrams
3. Sequence diagrams
4. Also scenarios



Platform Specific
Model

NAME YOUR FLAVOR

Current RFP: WDSL

But Others: JAVA, XML, C++...

Object Management Group

- Changes in requirements
- Reflected in the Platform Independent Model (PIM)
- Tools regenerate code in whatever solution vendor is providing, WSDL, JAVA, etc.
- Updates come out of a OMG Finalization Task Force maintaining OMG standard
- No solutions? OMG drops standard

OMG GovDTF

- Working RMS standard since June 2006
- March 2009 publishes RMS standard (?)
- Moves RMS into OMG Finalization Task Force
 - Vendors start developing products (they already have)
 - RFP II issued for other platform solutions...JAVA, C++

OMG Process

- Requires letters of intent to build before standard can be published
 - 88 Solutions
 - Model Drive Solutions (formerly Data Access Technologies)
 - CA (formerly Computer Associates)
 - IBM
 - CSC
 - Visumpoint
 - Lockheed Martin

RMS is a Reality

Object Management Group <http://omg.org/>

Government Domain Task Force

<http://omg.org/>

Records Management Service Program Office

<http://www.archives.gov/era/rms/>

Government Domain Task Force

- Records Management Services standard
- Records Management Maturity Model
- Federal Segment Architecture for the FEA
- Model Based Acquisition
- Federal Transition Framework FTF

Questions

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