

U.S. Department of Defense Records Management



Refinement of the Generic Entity RECORD

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Executive Summary

In January 1994, the Department of Defense (DoD) Records Management (RM) Business Process Reengineering (BPR) team constructed an information model in IDEF1X format that depicts the information needed by DoD organizations to manage their records. Nine representatives of DoD component and Office of the Secretary of Defense met February 16, 1995, to refine the DoD RM information model by determining whether the entity "RECORD" should be a generic entity with category entity relationships.

The workgroup

- Validated the attribute "RECORD Media Code" and proposed five possible domain values.
- Validated the attribute "RECORD Access Code" and proposed five possible domain values. (It is likely that record access code will develop into several attributes.)
- Proposed a new attribute "RECORD Form," defined it, and proposed a partial list of twenty-six domain values, sixteen with definitions.

While each of the attributes above may be a "category discriminator," it is not yet clear whether additional attributes need to be maintained for various categories.

Following the February meeting, the RM Task Force reviewed the results in consideration of the issue of the relationship of record and document. The Task Force concluded that the entities are similar but not identical. They propose modeling the relationship of document and record as shown at Section 3.

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1 Introduction

1.1 Background

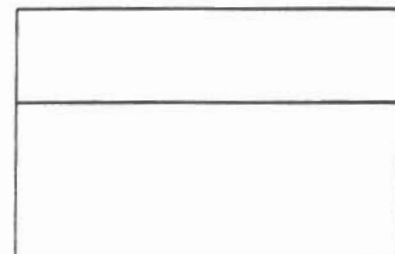
In January 1994, the Department of Defense (DoD) Records Management (RM) Business Process Reengineering (BPR) team constructed an information model that depicts the information needed by DoD organizations to manage their records. The model construction is IDEF1X format (the DoD standard) and integrates to the DoD Enterprise Information Model. The key elements of the RM model are now approved DoD data standards that are recorded in the Defense Data Repository System (DDRS). The information model is a living model, and can be modified whenever new information requirements arise. The completion of some aspects of the information model, such as standard disposition instructions and treatment of addressing are major undertakings that are still to be accomplished.

1.2 Information Modeling and Category Relationships

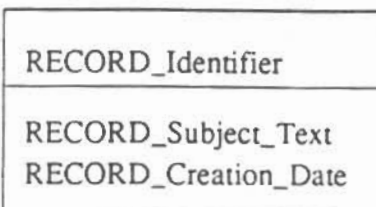
Information models are constructed using three elements: ENTITIES, ATTRIBUTES, and relationships.

An entity is a representation of a set of real or abstract things (people, objects, places, events, ideas, combination of things, etc.) that are recognized as the same type because they share the same characteristics and can participate in the same relationships. For the DoD RM information model, RECORD, RECORD-CATEGORY, and RECORD-ATTACHMENT are the central entities.

RECORD



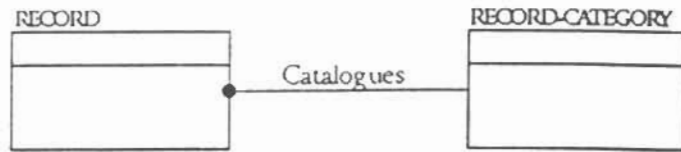
RECORD



An attribute is a property or characteristic that is common to some or all of the instances of an entity. Examples of attributes in the DoD RM information model are "RECORD Identifier," "RECORD Creation Date," and "RECORD Subject Text." Attributes have domains (ranges of acceptable values). For some attributes the range is broad. For example, attributes that are test descriptions would have domains equal to the set of alpha-numeric characters. For other attributes, a

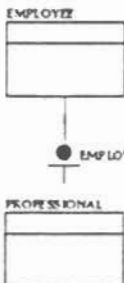
limited range of possible values is appropriate. For gender code, for example, the domain could be limited to "male," "female," and possibly "unknown."

A relationship is an association between two entities or between instances of the same entity.



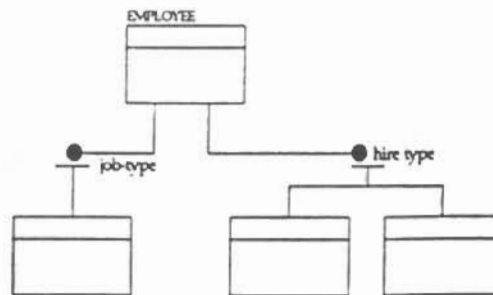
Constructing a special type of relationship, a category relationship, for the entity RECORD, was the purpose of this meeting. For any entity, every instance of that entity must have values for certain attributes. For example, for the entity EMPLOYEE, all employees are referenced by some form of unique identification, such as their names, national identification numbers, or employer assigned identification numbers. Situations exist where it is useful to maintain additional attributes for only some sub-set of the entity instances. For example, a hospital would keep information about its professional medical staff that it would not keep about its food service employees.

Information modeling allows the creation of structures to represent these situations. In IDEF1X the affected entity is called a "generic entity" and the sub-sets are called "category entities." (In some other modeling methodologies, the generic entity is called a generalization entity and the category entity is called a sub-type or sub-category entity.) The hospital might have a category entity called "PROFESSIONAL." A professional employee then would be described by every attribute within the generic entity "EMPLOYEE" as well as every entity within the category entity "PROFESSIONAL."



One attribute of the generic entity is used to divide the instances and is known as the "category discriminator." In the hospital example, the category discriminator might be the attribute "EMPLOYEE job type."

A generic entity may have more than one set of category entities. Again using the hospital example, different attributes might be maintained on employees depending upon the hiring agreement: salary, hourly, part-time, contract, etc.



In summary, category entities are constructed when the value of one attribute leads to the need to keep additional attributes.

1.3 The Meeting

Nine representatives of DoD components and the Office of the Assistant Secretary of Defense (OSD) met at the Andrulis Research Corporation BPre+™ Center on February 16, 1995. Their purpose was to refine the DoD RM information model by converting the entity RECORD into a generic entity with category entities. The meeting began with a review of the DoD RM information model and a tutorial on category relationships. Then employing a combination of groupware and discussion, the participants examined dividing the entity RECORD into sub-types or categories. The results are presented in Section 2.

1.4 Record and Document

Following the February meeting, the RM Task Force addressed whether record and document are synonymous. They concluded that the entities are different but closely related. Their conclusions and proposed modeling solution for the relationship of document and record are shown at Section 3.

2 Proposed Additions to the DoD Records Management Information Model

2.1 Workgroup Accomplishments

Validated the attribute "RECORD Media Code" and proposed five possible domain values.

Validated the attribute "RECORD Access Code" and proposed five possible domain values. (It is likely that this will develop into several entities.)

Proposed a new attribute "RECORD Form," defined it, and proposed a partial list of twenty-six domain values, sixteen with definitions.

2.1.1 Media

Workgroup members identified several types of record media:

- Paper
- Magnetic tape
- Optical tape
- Microform Cartridges
- Optical disk
- CD-ROM, CD-K

The DoD RM information model already contains an attribute titled "RECORD Media Code" which is defined as "The code that represents the form of a record." This attribute is available to be the "category discriminator." The RM community did not include this attribute in its first data standardization proposal. The reason for deferring data standardization of this attribute is to adapt the National Archives and Records Administration (NARA) a national standards when they are approved.

2.1.2 Access Limitation

Workgroup members identified these types of record access limitations:

- Security Level
- Privacy Act
- Proprietary

- Freedom of Information Act (FOIA) Exemptions
- Dissemination Products (Government Information Locator Service (GILS))

The DoD RM information model already contains an attribute titled "RECORD Access Code," the definition of which is, "The code that denotes who may see a record." This attribute is the logical choice for "category discriminator." The RM community defers to the security and public affairs communities for development of this attribute. Because of the diverseness and overlaps of access limitations, "RECORD Access Code" could evolve into several attributes.

2.1.3 Form

The workgroup defined "RECORD form" as "A category of record based on the generic format used to present the information, independent of the media or access level."

The DoD RM information model contains no similar attribute.

2.1.3.1 Values of RECORD FORM

The workgroup proposed these values of the attribute "RECORD form" and wrote definitions (presented in Section 2.1.3.2 below).

- Cartograph
- Electronic Mail (E-mail)
- Facsimile
- Form
- Letter
- Mail Message
- Memorandum
- Model
- Order
- Publication
- Reading (seismic, human heart)
- Report
- Technical Drawing
- Voice Mail

The workgroup listed these additional values of the attribute "RECORD form." The group could not decide whether to propose or reject these possible values. In most cases the workgroup did not write definitions. Meeting time expired before these items could be fully discussed and decided.

- Artifact
- Artwork
- Contract
- Database
- Document
- Electronic Funds Transfer Record
- Log
- Patent
- Radiology
- Receipt
- Record of Electronic Transmission
- Speech

2.1.3.2 Definitions Written for Values of the Attribute "Record Form"

Cartograph

A map or chart that represents a geographic area.

E-Mail

Information created, transmitted, or received using an E-mail system.

Facsimile

An electronically transmitted image with additional attributes of time, date, and originating address and phone number.

Form

Collection of data elements in a required format, used for a specific purpose. (Two types of form exist: master and completed. The original blank form is a record for the office that creates it. Otherwise forms are only records when completed—blank forms are supply-type items or automated as a fill-in-the-blank screen.)

Letter

A written or printed communication directed to a person or an organization.

Log (This item was on the proposed, but neither accepted nor rejected list. The group did agree on the definition.)

A sequenced recording of events.

Mail Message

Transmission of official information from one individual or organization to another, regardless of media.

Memorandum

A written communication internal to an organization.

Model

A representation of a process or item.

Order

A direction or command.

Patent *(This item was on the proposed, but neither accepted nor rejected lists. The group did agree on the definition.)*

A patent is a grant made by a government that confers to the creator of an invention the sole right to make, use, and sell that invention for a set period of time.

Publication

A product on a topic targeted to a wide audience. Communication of information targeted to a wide audience for a specific purpose. (For example: pamphlet, brochure, Federal Information Processing Standard (FIPS).)

Compare to NARA definition of PUBLICATIONS:

Documents printed or otherwise produced for wide distribution inside or outside an agency. Include annual reports, brochures, pamphlets, posters, books, handbooks, and maps. Also, include instructional and informational materials in audiovisual form. According to 44 U.S.C. 1901, a U.S. Government publication is "informational matter which is published as an individual document at Government expense, or as required by law."

(The original copy of a publication with its background material is a record and should be treated as such.)

Reading (seismic, human heart)

An output from specialized monitoring equipment.

Report

An accumulation of information documenting an event, a project, business transaction, etc.

Technical Drawing

A schematic representing the characteristics of a particular object.

Voice Mail

A recording of spoken information transmitted or received electronically.

2.1.4 Archival Value

A minority of the workgroup proposed the category discriminator “archival value.” The majority did not accept or define this as a category discriminator, but agreed to leave the item in the meeting record. The DoD RM information model contains an attribute titled “RECORD CATEGORY Disposition Instruction Code” which is defined as “The code that represents the instruction for the handling of a record.” This attribute is the logical choice for “category discriminator.”

2.2 Category Relationship Versus Attribute

An attribute provides meaningful information about an entity through the attribute values that are assigned to each attribute instance. An attribute is declared a category discriminator and a category entity is constructed only when additional attributes are needed to describe one or more subsets of the entity’s instances.

Workgroup members had a sense that these divisions of record might require additional attributes to describe some subsets. Nonetheless, the group was unable to propose even one new attribute.

Until such time as additional attribute requirements are identified to populate category entities, category relationships of RECORD are not appropriate. Instead, well-designed attributes of record will serve DoD RM. If and when the determination is made that different kinds of information are necessary to manage different kinds of records, then development of category relationships will be appropriate.

3 Comparison of Entities—Document and Record

Subsequent to the meeting in which the entity record was explored as a generic entity, members of the DoD RM Task Force examined the relationship of document and record. To some, document and record were synonymous. This thought expressed in modeling terms translates to one being an alias of the other. Task Force members compared definitions and found that a record is always a document; but a document is not always a record.

3.1 Examination of definitions

Often the terms document and record are used interchangeably; however, this is incorrect.

The DoD definition of document is "Recorded information regardless of physical form."

The National Archives and Records Administration's (NARA) first definition of document adds to the confusion: "Recorded information, regardless of physical form or characteristics. Often used interchangeably with record." The NARA second definition of document is more precise, "An individual record or an item of nonrecord materials or of personal papers."

NARA defines the three elements listed in the second definition:

Records: 44 United States Code (U.S.C.) "all (documentary materials) made or received by an agency of the U.S. Government under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organizations, functions, policies, decisions, procedures, operations, or other activities of the government or because of the informational value of data in them. (List of exclusions)."

The DoD RM BPR and Task Force has summarized NARA's definition:

"The information documenting the transaction of business."

Nonrecord materials: "U.S. Government-owned documentary material excluded from the legal definition of records or not meeting the requirements of that definition. Include extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition."

Other examples of nonrecord materials:

- Art work
- Music
- Poetry
- Furniture
- Jewelry

Personal Papers: "Documentary materials belonging to an individual that are not used to conduct agency business. Related solely to an individual's own affairs or used exclusively for the individual's convenience (also called personal files or personal records)."

3.2 A Document and Record Information Model Solution

What does this mean for the DoD Information Modeling and Data Standardization? Most documents about which we wish to keep information will meet the legal definition of record. If exceptions exist, the data model **must** be able to maintain information about both documents that are records and documents that are not (records).

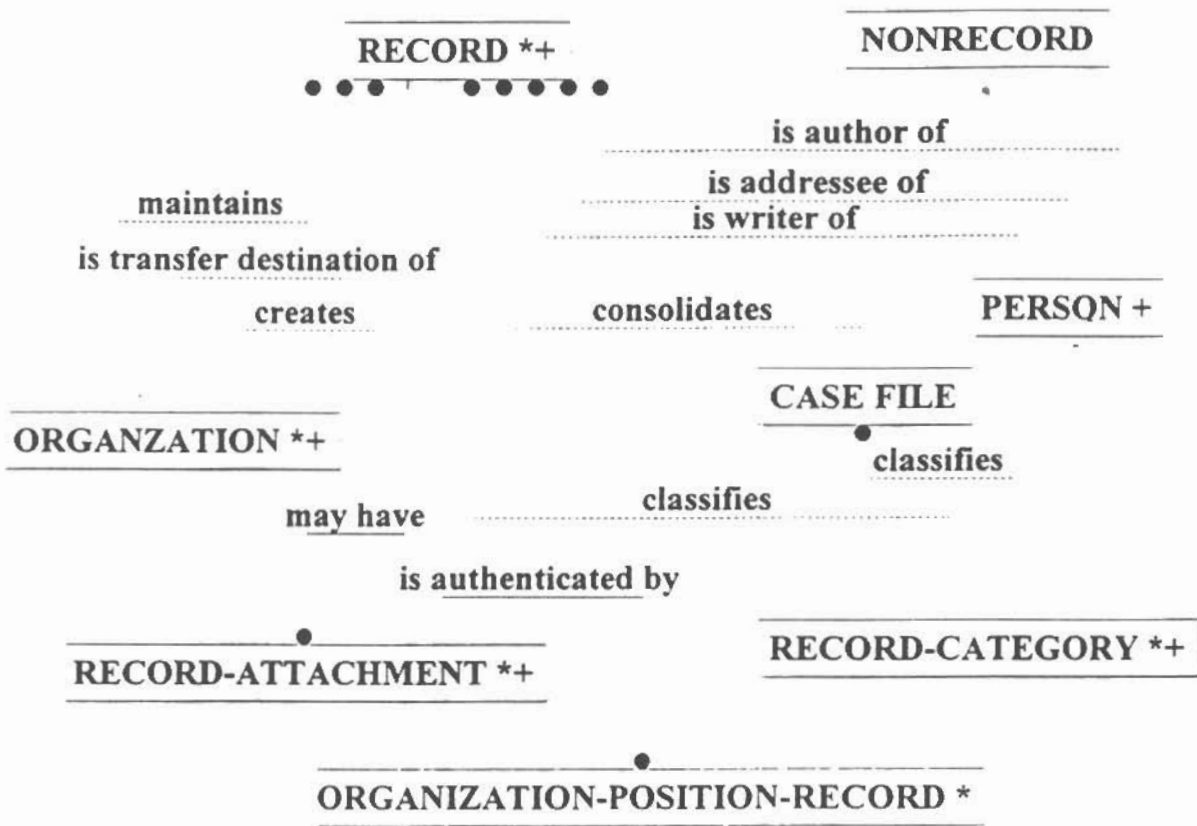
The solution may well lie in separate entities: nonrecord and record documents.

Examples of RECORD:

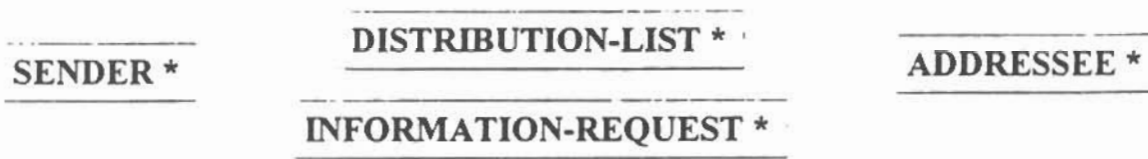
- Original Publication kept by Proponent
- Original Blank Form kept by Proponent
- Form filled out in the course of business
- Original Map kept by Creator

Examples of NONRECORD:

- Copies of Publications
- Blank Forms Stock
- Copies of Maps



Other entities related to RECORD on the DoD Records Management Information Model



* An asterisk following the entity name indicates the entity is on the DoD Records Management Information Model.

+ A plus following the entity name indicates the entity is an approved DoD entity.

Figure 3-1. RECORD and NONRECORD
Much information is required for each Record.

Extract of the US DoD Records Management 2003 Information Model - Attribute View -

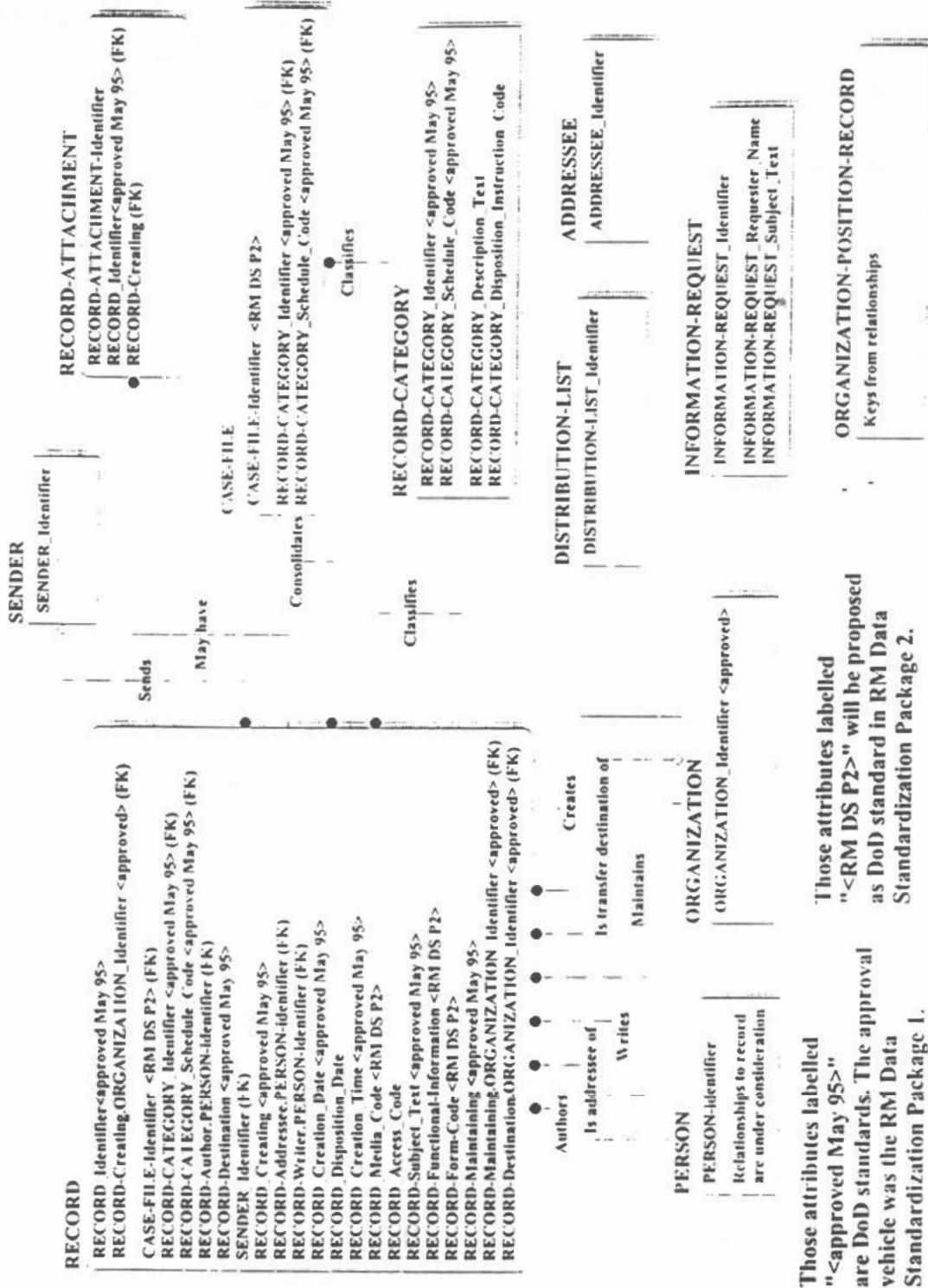


Figure 3-2. An Extract of the U.S. DoD RM 2003 Information Model
All RECORD Attributes must be Available.

RECORD requires the attributes shown.

1. Some of the attributes that have been developed for record in the records management model could also be attributes of an entity document.

Examples:

- Medium
- Form
- Information content.

2. Other attributes apply only to the entity record as these attributes do not apply to nonrecord material or personal papers.

Examples:

Record category code. (This catalog item describes the type of record that a document is and associates the appropriate and legally assigned disposition instructions.)

Record creation date. (In the case of a document that becomes a record when it is received, the document creation date and the record creation date will be different.)

Record maintaining organization (foreign key)

3. The attributes on the records management model were selected as the minimum needed to manage the records.

3.3 PERSON Role Attributes

The academic fields of archival science and diplomatics have revealed three additional attributes of record that the DoD RM Task Force has not yet submitted for data standardization. The task force shall likely propose these attributes if they are not associated with document. All three are persons which can be either physical persons or juridical persons. The latter is defined as collections or successions of physical persons (for example, a government office). These attributes are:

Author: The person competent for the creation of a record, which is issued by it or its command or in its name. The author of a record may coincide with the author of the action of which the record is the outcome or it may not.

Addressee: The person to whom the record is directed. The addressee of a record may coincide with the addressee of the action, or may not. The addressee is not necessarily the person to whom a record is delivered or transmitted.

Writer: The person responsible for the intellectual form of the record. Alias is originator. The writer cannot be a secretary or clerk or scribe.

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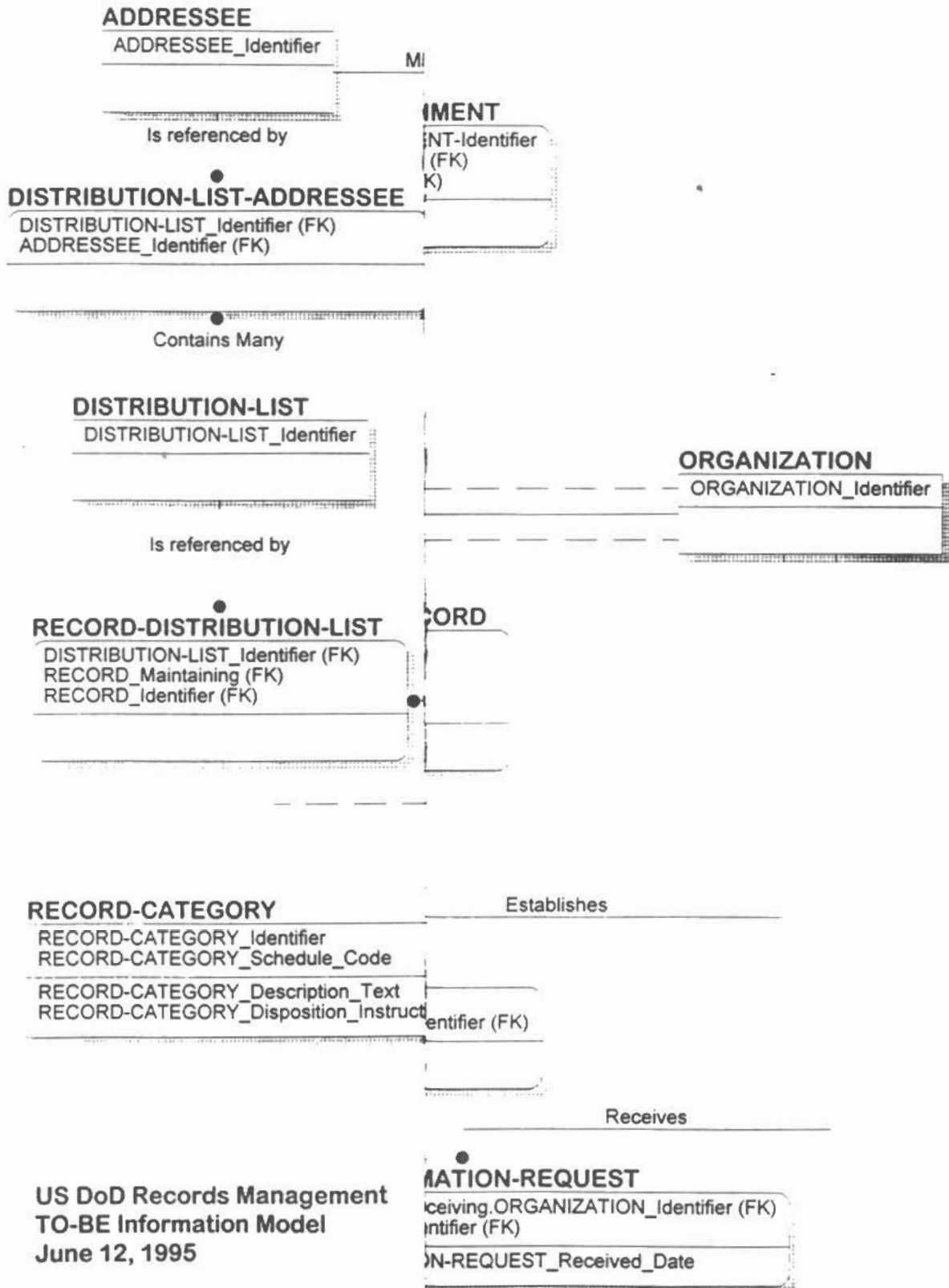
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Appendix B - TO-BE Information Model

B.1 TO-BE Information Model (IDEF1X)



US DoD Records Management
 TO-BE Information Model
 June 12, 1995

B.2 Glossary

ADDRESSEE

The person or organization to whom a record is sent. (Note 3)

ADDRESSEE-Identifier

The attribute that uniquely identifies an addressee. This attribute will have varying forms dependent upon whether the addressee is person or an organization. (Note 3)

DISTRIBUTION-LIST

A collection of addressee information. (Note 3)

DISTRIBUTION-LIST-ADDRESSEE

An associative entity that links a distribution list with the addressees contained in the list. (Note 3)

DISTRIBUTION-LIST-Identifier

The identifier that represents a distribution list. (Note 3)

Information (from IDEF0 TO-BE model)

Information is facts or data communicated or received. Upon receipt by the action officer it may become a record. (Note 1)

INFORMATION-REQUEST

Expressed needs or desires for information that is expected to be contained in government records. (Note 3)

INFORMATION-REQUEST_Identifier

The identifier that represents a particular INFORMATION REQUEST. (Note 3)

INFORMATION-REQUEST_Receiving.ORGANIZATION_Identifier

The identifier that represents an ORGANIZATION (that receives an INFORMATION-REQUEST).

INFORMATION-REQUEST_Requester_Name

The name of the requester that is associated with a particular INFORMATION-REQUEST. (Note 3)

INFORMATION-REQUEST_Subject_Text

The text of the subject associated with a particular INFORMATION REQUEST. (Note 3)

Manage Records (from IDEF0 TO-BE model- Scope of this model)
Manage the life cycle of records, including the creation, maintenance (use, storage, retrieval), and disposition, regardless of media. (Note 1)

ORGANIZATION

An administrative structure with a mission. (DoD Enterprise Model) In the context of this model, specifically the organizational element that creates, maintains, or is otherwise related to a RECORD.

ORGANIZATION_Identifier

The identifier used to designate an ORGANIZATION. (DoD Enterprise Model)

ORGANIZATION-INFORMATION-REQUEST

An association between an ORGANIZATION and an INFORMATION REQUEST. (Note 3)

ORGANIZATION-INFORMATION-REQUEST_Received_Date

The date that a particular INFORMATION-REQUEST is received at an ORGANIZATION. (Note 3)

ORGANIZATION-POSITION

An associative entity that connects an ORGANIZATION with the POSITIONs within it. (Note 3)

ORGANIZATION-POSITION-RECORD

The associative entity that resolves the non-specific relationship between ORGANIZATION-POSITION and RECORD. (Note 2)

POSITION

Particular duty, function, or authority associated with an organization. Records are authenticated based upon the authority inherent in the position. (Note 3)

POSITION_Name

The name assigned to a position within the organization. (Note 3)

POSITION_Establishing.ORGANIZATION_Identifier

The identifier that represents an ORGANIZATION (that has established a POSITION).

RECORD

The information documenting the transaction of business.

RECORD_Access_Code

The code that denotes who may see the RECORD. (Note 3)

RECORD-ADDRESSEE

The associative entity that resolves the non-specific relationship between record and addressee. (Note 2)

RECORD-ADDRESSEE_Delivered_Date

The date that a record is delivered to the addressee's organization or electronic system. Examples: Receipt information from acceptance of accountable mail and the date and time an E-mail system indicates a message was place in the addressee's mailbox. (Note 3)

RECORD-ADDRESSEE_Delivered_Time

The time that a record is delivered to the addressee's organization or electronic system. Examples: Receipt information from acceptance of accountable mail and the date and time an E-mail system indicates a message was place in the addressee's mailbox. (Note 3)

RECORD-ADDRESSEE_Viewed_Date

The date that an E-mail message is first "opened" by the addressee. Some E-mail systems provide this information. This attribute applies only to certain types of electronic records.

RECORD-ADDRESSEE_Viewed_Time

The time that an E-mail message is first "opened" by the addressee. Some E-mail systems provide this information. This attribute applies only to certain types of electronic records. (Note 3)

RECORD-ATTACHMENT

The object that is associated to a RECORD and provides supplemental information.

RECORD-ATTACHMENT_Identifier

The identifier that represents a RECORD-ATTACHMENT.

RECORD-CATEGORY

The description of a particular type of record.

RECORD-CATEGORY_Description_Text

The text of a description of a RECORD-CATEGORY.

RECORD-CATEGORY_Disposition_Instruction_Code

The CODE that represents the instruction for the handling of a record.

RECORD-CATEGORY_Identifier

The identifier that represents a RECORD-CATEGORY.

RECORD-CATEGORY_Schedule_Code
The code that represents a record schedule.

RECORD_Creating.ORGANIZATION_Identifier
The identifier that represents the organization (that created a RECORD).

RECORD_Creation_Date
The date the information becomes a RECORD.

RECORD_Creation_Time
The time that the information becomes a RECORD.

RECORD_Destination.ORGANIZATION_Identifier
The identifier that represents the organization (that is the destination where the RECORD will be or has been transferred in accordance with the DISPOSITION INSTRUCTION).

RECORD_Disposition_Date
The date of a RECORD disposition.

RECORD-DISTRIBUTION-LIST
An associative entity that links a record with its distribution list(s).

RECORD_Form_Code
The code that represents the category of record based on the generic format used to present the information, independent of the media or access level

RECORD_Functional_Information
A "place holder" attribute indicating the portion of the record that contains informational or historical value other than the attributes that uniquely identify the record or serve other records management purposes. Examples: The body of a letter, the photo portion of a patient's X-ray, the description of an accident in an accident report. (Notes 3 & 4)

RECORD_Identifier
The identifier that represents a RECORD.

RECORD-INFORMATION-REQUEST
An associative entity that specifically relates INFORMATION REQUEST from within or outside the ORGANIZATION to a RECORD that satisfies the request.
(Note 2)

RECORD_Maintaining.ORGANIZATION_Identifier
The identifier that represents an organization (that maintains a RECORD).

RECORD_Media_Code

The code that represents the form of a RECORD. (Note 2)

RECORD-SCHEDULE

The set of RECORD-CATEGORY(s) referencing DISPOSITION INSTRUCTION(s).

Alias: Retention Schedule.

RECORD_Subject_Text

The text that describes the main topic of a RECORD.

SENDER

The person or office that transmits an electronic mail message. This entity applies only to E-mail messages. Compare to entities POSITION, ORGANIZATION-POSITION, and ORGANIZATION POSITION-RECORD that identify the official title, but not the name, of the authenticator of paper correspondence and official message communications. (Note 3)

SENDER_Identifier

The identifier that represents the SENDER. (Note 3)

Note 1: Provided for reference.

Note 2: The records management community will propose data standards later.

Note 3: Records management is not the custodian for this entity or attribute that is included in the records management TO-BE model for completeness. The definition is as viewed by the records management function. This definition has not yet been coordinated with the custodian of this data.

Note 4: Indicates a data type; not a specific data element.

Appendix C - U.S. DoD Records Management Reports

Title	Date of Report
DoD RM FPI Scoping Session	October 1, 1993
DoD RM FPI Air Force AS-IS Report	November 10, 1993
DoD RM FPI Army AS-IS Report	November 10, 1993
DoD RM FPI Navy AS-IS Report	November 10, 1993
DoD RM FPI OSD AS-IS Report	November 10, 1993
DoD RM FPI Matrix & Activity Based Costing Workshop Report	December 3, 1993
DoD RM FPI TO-BE Report	January 14, 1994
DoD RM FPI Technical Team Meeting 5	February 23-25, 1994
DoD RM FPI Technical Team Meeting 6	April 18-20, 1994
DoD RM FPI TO-BE Information Model Report (IDEF1X) with Change 1	April 27, 1994
DoD RM BPR Implementation Planning: Review of Improvement Opportunities Report	May 12-18, 1994
Executive Level Report (Condensed)	May 26, 1994
DoD RM BPR Activity Based Costing	June 8-9, 1994
DoD RM BPR Technical Team Session 7	June 20-22, 1994
DoD RM Implementation Data Standardization Report	July 19-20, 1994
DoD RM BPR Compendium Report	August 1994
DoD "Managing Information as Records" Proposed Implementation Planning for the DoD Records Management Task Force	September 21-22, 1994
Managing Information as Records 2003 DoD RM Task Force Report 1	January 1995
DoD RM Refinement of the Generic Entity RECORD	March 1995
Automated Document Conversion Master Plan V 1.0—OASD(C ³ I Report)	April 1995

Title	Date of Report
DoD RM FPI Scoping Session	October 1, 1993
DoD RM TF Electronic RM Software	May 10, 1995
DoD RM TF Electronic RM Test Requirements - Academia & Industry Review	May 16, 1995
DoD RM TF Electronic RM Functional Requirements - Government Team Review	May 19, 1995
DoD Data Standardization RM Implementation Update 1	June 10, 1995

Appendix D - Acronyms

BPR	Business Process Reengineering
CD-ROM	Compact Disk-Read Only Memory
DDRS	Defense Data Repository System
DoD	Department of Defense
E-mail	Electronic Mail
FIPS	Federal Information Processing Standard
FOIA	Freedom of Information Act
GILS	Government Information Locator Service
NARA	National Archives and Records Administration
OSD	Office of the Assistant Secretary of Defense
RM	Records Management

