How-To Manual for

Requirements Management System (RMS) Database

2014

This document is a compilation of all the RMS How-to Procedures that reside on the RM Program website.

Lawrence Berkeley National Laboratory
Berkeley, California

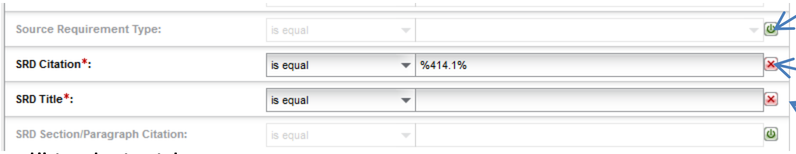
How-to Guide Table of Contents

Requirements Management System (RMS) Database

Leve l	ID	Topic	Text	video
4+	AD17	Backdoor editing (how to AND when NOT to use)	Web	Web
4	AD18	Troubleshooting Tips, Error Messages, Getting help	Web	n/a
Example 1		Fixing a Duplicate Entry (Backdoor, Deprecate)	n/a	Web
Example 2		Successful Import	n/a	Web
Example 3		Tracking Generation of Deliverables	n/a	Web
Example 4		Updating "As Req" Deliverable	n/a	Web
Example 5		Tabulating C31 Mod Changes (Part 1 Contract Mod)	n/a	Web
Example 6		Completing IA for Contract Mod (Part 2)	n/a	Web
Example 7		Entering Contract Mod data into RMS (Part 3)	n/a	Web
		ADMIN ONLY – Administrative – do not attempt without Ovitas guidance		
5	A30	Management of RMS Application – DO NOT ATTEMPT.	Web	n/a

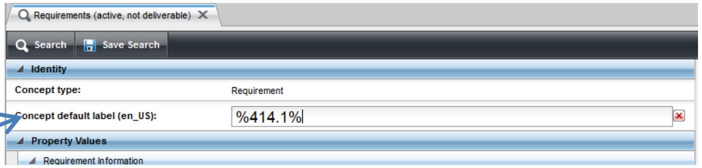
RMS SEARCH CHEAT SHEET for View Only Users
rev. 12/3/13

Search Features/Hints



Filters:

1. Activate a filter by clicking green button at right.
2. Wildcards – bracket using %
   Examples: %Travel% in doc title will yield forms & policy with "Travel" in their title
   %200.% in req citation will yield O 200.1A (the order itself and a deliverable)
   But note - %200% in req citation will yield O 200.1A and 37 other items.
3. Be sure that all non-wanted filters are disabled (red → green button)
4. Multiple filters result in "AND" of the selections. The App's search capabilities don't allow "NOT" or "OR".
5. Label is a concatenation of SRD/DocTitle, Citation, Doc Number, SRD Section – ok to try searching there with %, particularly if you aren't sure in which field your desired word belongs
6. There's a way to save your favorite Search mask (i.e. combination of filters) – Contact me if you want to do this.

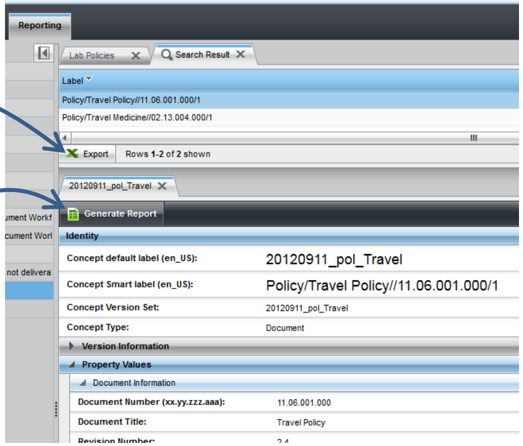


Export

1. Lists of search results can be exported.
   For example, Policies with Next Review Dates between Oct 1, 2013 and Dec 31, 2013

Association Trees

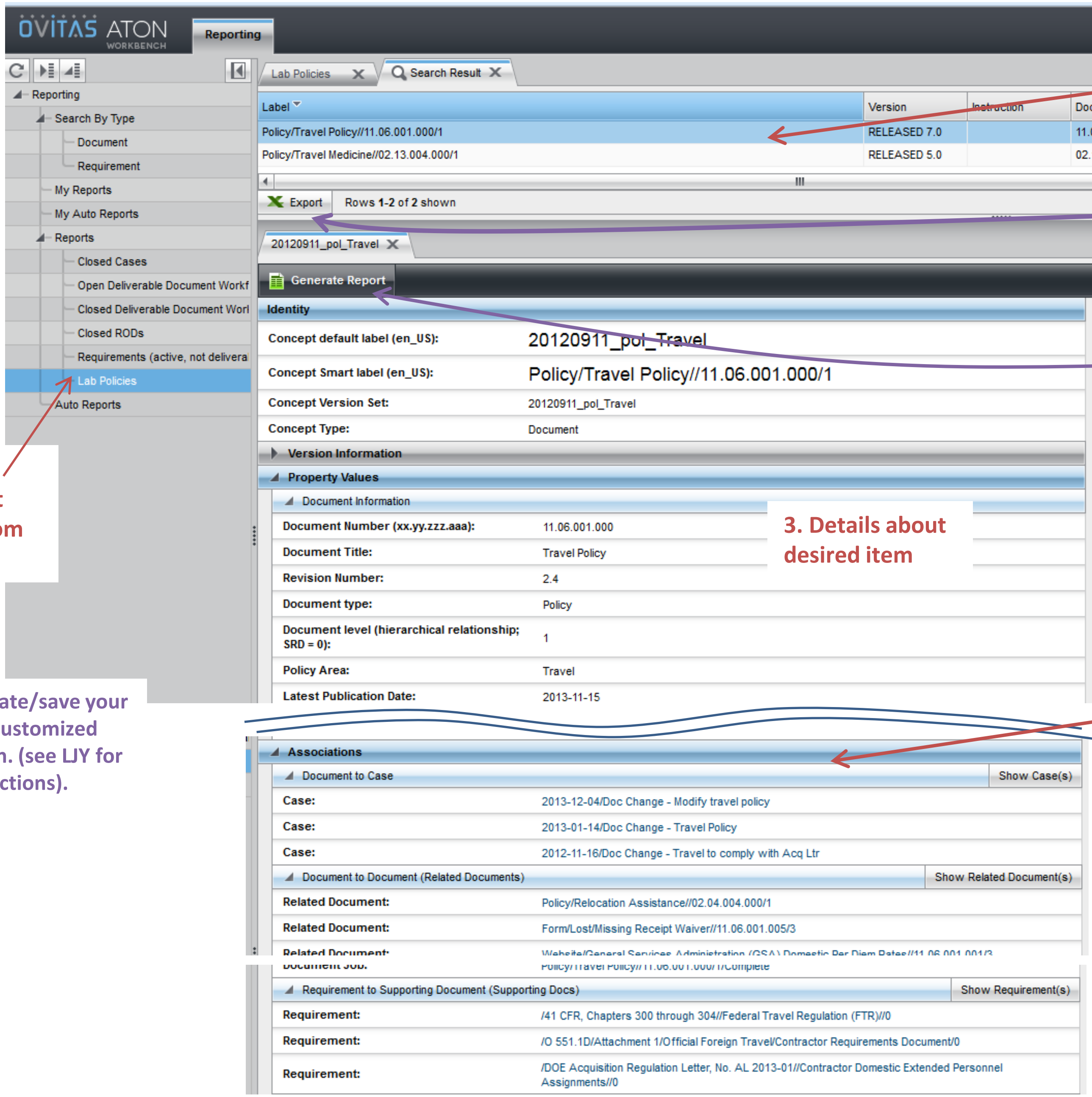
1. For a given Req or Document, "generate associations" button provides a visualization of all relationships hierarchically below the given item. So for a Doc, you can get the list of associated supporting documents and any supporting requirements, but you won't see the driving requirements. If instead you search and select a Driving Req, everything below it hierarchically will be shown.



Detailed Procedures at http://www2.lbl.gov/DIR/OIA/OCA/RMSdatabase.html
"V" series – V01 (definitions) and V03, V03A (search) may be particularly helpful.
(There are videos and text procedures!!)

Access: https://rms.lbl.gov/atongui/
Log in with LDAP and password
Use Chrome or Firefox. (IE may or may not work)

RMS Screen Orientation (View Only Users)



1. Select "concept type" from list

2. Search Results list: find, select desired item

3. Details about desired item

4. Scroll to bottom to find associations for this item.

Note associations include
- Cases about this item.
- Supporting docs
- Driving requirements

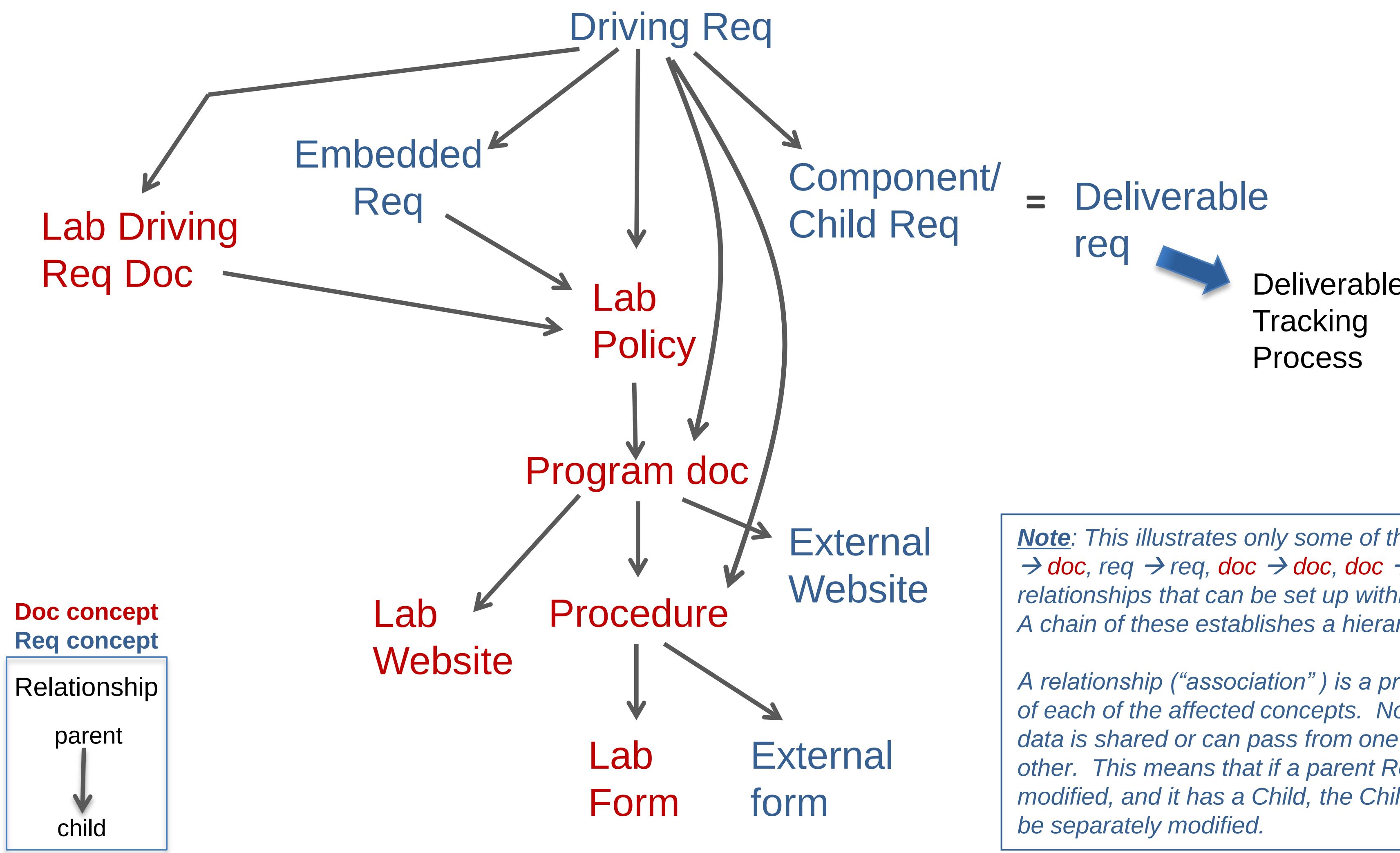
If interested in any, select to open details.

5. Export to Excel the Search Results

6. Generate associations report ("doc tree") for this item.

7. Create/save your own customized Search. (see LJY for instructions).

RMS Data Relationships: Some possibilities

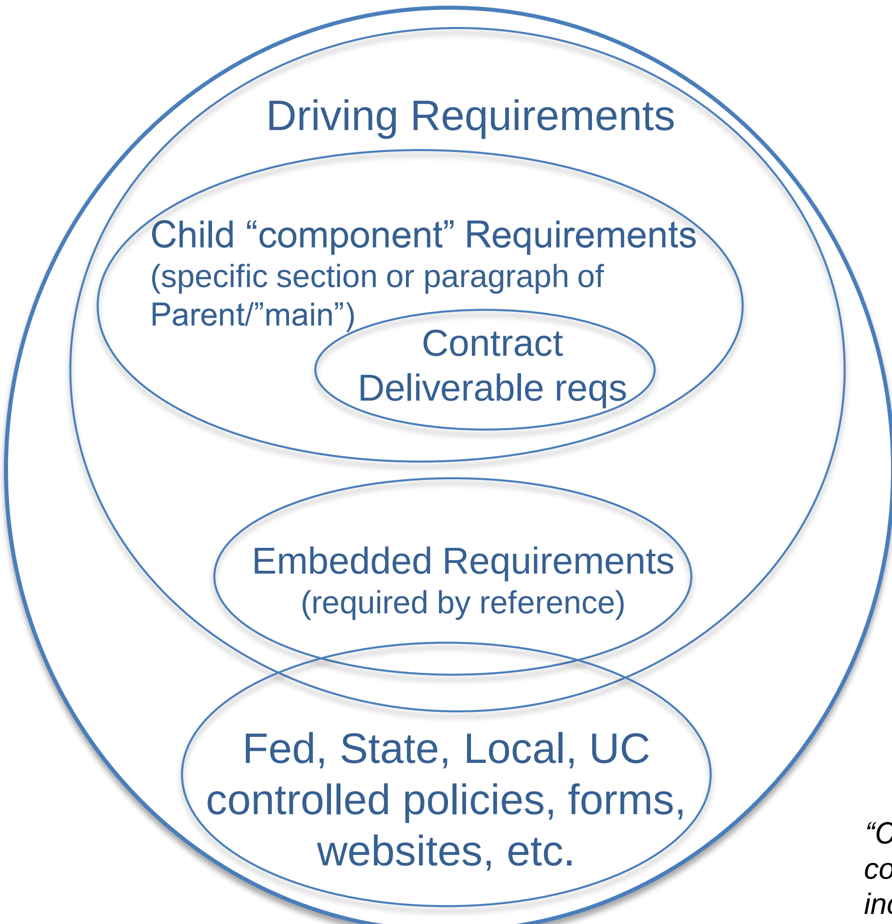


*<u>**Note**</u>: This illustrates only some of the req → doc, req → req, doc → doc, doc → req relationships that can be set up within RMS. A chain of these establishes a hierarchy.*

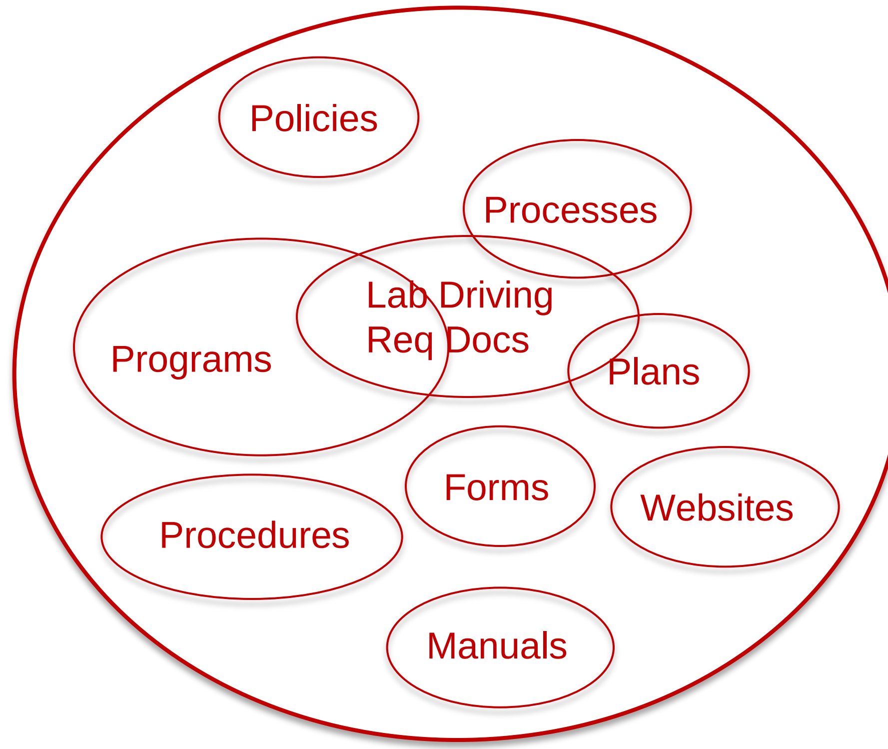
A relationship ("association") is a property of each of the affected concepts. No other data is shared or can pass from one to the other. This means that if a parent Req is modified, and it has a Child, the Child must be separately modified.

RMS Data Definitions:
Requirement and Document Concept Types

REQUIREMENT Concept Types



DOCUMENT Concept Types (Lab-controlled)



"Concept": An object that is stored in RMS. It is comprised of properties (title, date, owner, etc.) which include designated relationships (associations)

V01 – Definitions to Help Use and Search the RMS

I. Purpose:

This document provides the general user with RMS database definitions that will aid in using the RMS and in searching for data in the RMS.

II. Who this is for:

General users of the RMS.

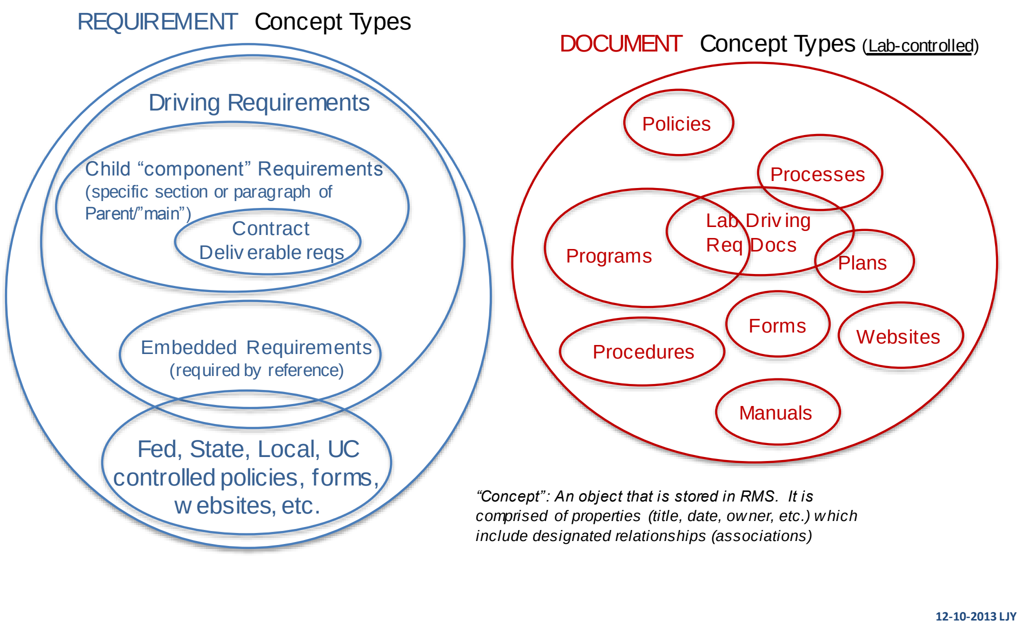
III. Specific Details:

RMS Definitions: [Note these are RMS database specific, and may vary slightly from the institutional definition found in the Laboratory's Requirements and Policy Manual (RPM)]

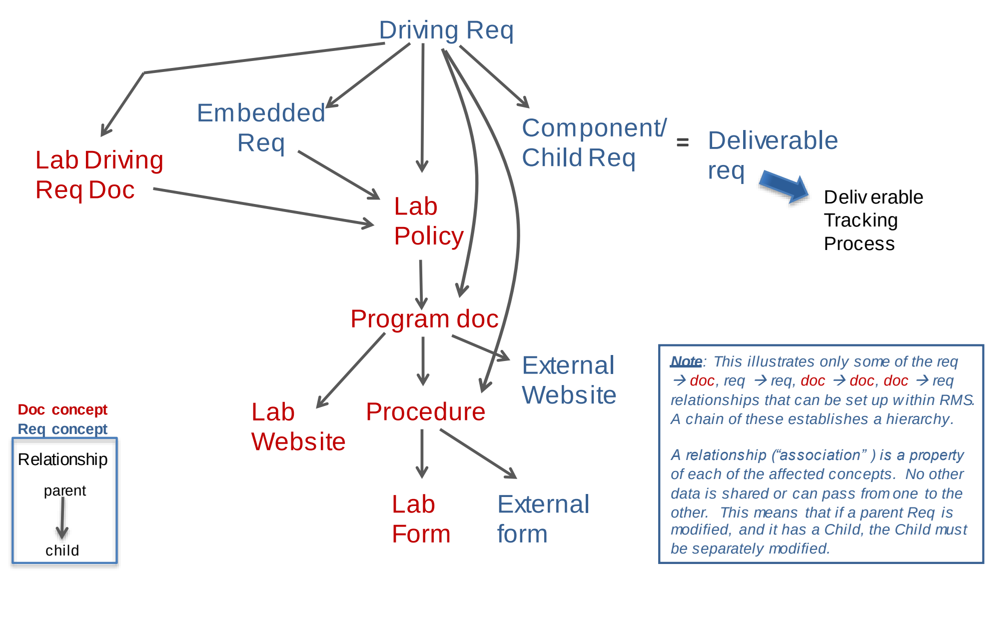
Term	Description
Association	A relationship between two Concepts. The relationship is direct. In some of the RMS tabs, this might be called a "link". For example, an association is set up in RMS for a policy that results from a DOE requirement, and the policy could be further associated to a supporting Lab program.
Concept	An object that is tracked and stored in the RMS. For example, a document or a requirement.
Document	For the RMS,this is a class of items that primarily includes Laboratory generated content, such as Laboratory policies, programs, procedures, processes, forms, and so forth.
Job	A specific instance of a Workflow.
Property	An attribute of a concept. For example, document title or owner or effective date.
Related	A reference to another Concept in the repository that is similar or contains background information that will help make development decisions about the current Concept or Job. Two related items do not necessarily have a direct link.
Released	A Concept that is closed and done.
Requirement	For the RMS, this is a class of items that primarily includes non-Laboratory generated content, including DOE Contract 31 sections, clauses, cited federal regulations, DOE directives, University of California policies, state and local regulations, standards, and so forth.
RMS	Requirements Management System – the database!
Smart Label	To make identification easier, we concatenate a few fields together. There are specific definitions for each Concept Type (reqs, docs, cases, RODs, deliverables).
Supporting (concept)	An association that implies a hierarchical relationship between two concepts or between a concept and in-process Job.
Workflow	A set of steps or tasks.

The two figures below illustrate the different concept types and the wide variety of associations supported in the RMS.

RMS Data Definitions:
Requirement and Document Concept Types



RMS Data Relationships: Some possibilities



Property Values (for Searching, see "How-to" #V03)

These 2 charts provide some guidance on what to enter in the various blank fields in Requirement and Document Search Masks. Also, included are recommendations on whether a particular property can help fast convergence to the desired item. In general, we recommend using wildcards with one or two key words or numbers - this could help alleviate any frustrations with format variations (for example, "DOE Order 12345" or "DOE O 12345" or "O 12345"? the last happens to be correct).

Wild card examples: %1234% - searches string "1234" anywhere within the field.
1234% - searches for items starting with "1234"
%CFR%32% - searches for items having somewhere the string "CFR" followed by somewhere the string "32"

Concept: REQUIREMENT

Requirement Property	Definition and/or Examples	Data Entry Guidance	Search Convergence
SmartLabel	ContractSubsection / SourceCitation / SourceSectionCitation / SourceTitle / SourceSectionTitle/Hierarchy		High – searcher does not have to guess what particular field. Use wildcards, with fewest words possible.
Contract Part	High level: Section, Appendix, Clause. "Other" = non-Contract "Other" covers UC, federal, or state regulations that are not explicitly called out in C31.	"Other" covers UC, federal or state regulations that are not explicitly called out in C31	Medium – if used in combo with other properties
Contract Section	Aligned with the specific Contract sections (see dropdown). "Other" = non-Contract. Clauses are in Sections. Directives are in Section J – Appendix I Users must be familiar with the layout of C31. See http://www.ucop.edu/laboratory-management/contracts/lbnl/index.html	User Must be familiar with Contract portions. "Clause H" = Section H "Clause I" = Section I Section J.09 has all the Appendices. J.09 - Appendix I contains Directives.	Medium – if used in combo with other properties
Contract Subsection (eg. H.13 or I.021)	Only for H and I clauses.	Be sure to include leading zeros (eg. H.04, I.009, I.083, etc.)	High - Recommended if H or I. Watch out for leading zeros!!
Source Requirement type	See dropdown. Examples: DEAR, FAR, California Law orRegulations, DOE Directive	Some I clauses are FARs or DEARs.	Medium to High
SRD Citation	The exact reference. DEAR 123-456, 99 CFR 123, O 123.1C.	For I clauses, enter FAR or DEAR reference.	Medium to High – depends on the reference sought. Use wildcards

Requirement Property	Definition and/or Examples	Data Entry Guidance	Search Convergence
SRD Title		Include abbreviations in parentheses to help searching. Example: “Personal Protective Equipment (PPE)”	Medium to High - Recommended with wildcard with as few words as possible
SRD Section/Paragraph Citation	Next level in the hierarchy of the particular requirement.	If this applies, then the req is a child/component of a higher level req. Be sure to check the main/component box below.	Low to Medium – Likely hard to guess order or format, even with wildcard
SRD Section Title			Medium to High - Best to use wildcards with as few words as possible
Brief summary of Requirement		Limited to 450 characters!! Describe the essence, abbreviate where possible. The last few words can be “more in detailed req”	Low to Medium – not all requirements include summaries (yet). Try with wildcards with as few words as possible
Contract Effective date	This is when the req became part of the Lab's Contract31. It is NOT the requirement's date of release by DOE.	Default is June 1, 2005 Unfortunately, this is a mandatory field. So if the req is not explicitly in the Contract (say a regulation), enter default, OR the date of the requirement if after 2005.	Low.
Change Activity*	None or pending	Don’t change.	
Status	Active or Retired. "Retired" items are no longer part of Contract 31.	Change, if req is being retired, cancelled, or removed from the Contract. Never delete a requirement that has been in effect.	High - if in combo with other properties.
Primary Owner	SME responsible for the req		Medium to High – but assumes high currency of database.
Function (Primary)	See dropdown list	Enter the broadest definition of functions to make search easier, because the Ovitas search engine is very primitive. Example: EHS rather than EHS-Rad.	Medium – but assumes consistent selection of choices.
RMC Representative (Case)			High - If kept current, this may be the best way to find all requirements that a particular Function is responsible for.
Policy Area	See dropdown list	If requirement impacts more than one	Low to Medium – if more than one

Requirement Property	Definition and/or Examples	Data Entry Guidance	Search Convergence
		area, enter primary one first.	impacted
Embedded requirement	"Embedded" refers to a requirement that is cited by a Contract req. For example, a FAR clause can cite and make required a Code of Federal Regulations item. The CFR item is embedded in the clause, and the CFR item is listed in this database.	Search for existing examples to set the parent/child associations and the definitions properly. See How-to Admin procedure A09	High to find "embedded" that have been entered. As of 11/2014, entered data is likely incomplete
Main vs component	"Main" is the parent. "Component" is the child requirement. Example: a Contract deliverable may be paragraph 3(a)(i) of Clause H.567. The deliverable concept is Clause H.457 3(a)(i) and is a component or child of the whole Clause H.457.	Be sure to associate deliverable definitions to the parent requirement. Be sure to associate any general children to their parent requirement.	High to sort parent requirements from children (deliverables, for example). .
Is this a Deliverable?	Distinguishes deliverable requirements from others	Selecting this in entering the data opens the deliverable definition workflow path.	High: Check "yes" to isolate the deliverables.
Is there a pending Mod?		Useful if there's notice of a pending Mod. However, depends on whether RM PM/admin updates frequently.	Low – depends on frequency of updates
Mod Info and Other Comments		This is where to cite the specific Contract Mod info in brief (date and Mod#)	High to find reqs associated with particular Mods (database starts with Mod 862 or so).
Deliverable shared?		"Yes" opens the workflow path to cite two or more requirements sharing the same deliverable	High to find those deliverables that are satisfying more than one req. (there are not very many)
LBNL ID#	A number invented originally for QA checking between BSO and LBNL databases.	Numbers 924000 to 924499 are assigned to deliverables identified in Dec 2010 Numbers 924500 + are assigned to newly identified in Dec 2013. Keeping the 924xxx root is important for searching.	High to find all related open and closed deliverables.

Concept: DOCUMENT

Document Property	Definition and/or Examples	Data Entry Guidance	Usefulness in Search
SmartLabel	DocType /Hierarchy/ DocTitle / Pre-2012# / Doc#		High – searcher does not have to guess what particular field. Use wildcards, with fewest words possible.
Document Number (xx.yy.zzz.aaa)	Format based on RPM structure (xx = sections, yy = policy areas, etc.)	Follow RPM structure guidance definitions consistently.	High – if known or if enter partial with wildcards
Document Title		OK to include any popular abbreviations to help searchers. Example: "Personal Protective Equipment (PPE)"	High – if use wildcards with as few words as possible
Revision Number		Just the number – do not include "rev"	Low
Lab PUB Number (if applicable)		Follow format already in RMS: "PUB-xxxx"	High – best to use wildcard and number. %5519% will yield the 4 PUB-5519 Issues Management items.
Pre-2012 Document Number (if any)		Enter if applicable	Low – because may not be consistently entered. Use wildcard and number
Document type	See the dropdown list values		High – if combined with other property (for example, title or doc number).
Document level (hierarchical relationship; SRD = 0)		SRD = 0; Policy is usually 1. Program usually 2. But the hierarchy can vary, particularly if there is a Lab Driving Requirement document (such as the QAPD, PUB-3111)	Low
Policy Area	See the dropdown list values	Can enter more than 1.	Low to Medium – If data was loaded with multiple entries, only first one will come up due to simplicity of the Ovitas search engine.
Rev. 0 Publication Date	The first publication date - many docs have this blank		Low
Latest Publication Date	See Doc Mgmt Process doc (10.06.001.001) for definition.		Low
Effective Date	See Doc Mgmt Process doc (10.06.001.001) for definition. Can be earlier than latest publication date.		Low
Next Review Date	See Doc Mgmt Process doc (10.06.001.001) for definition. Should be at most 3 years from latest publication/last review date.		High – if combined with other property (for example, all policies with next review date in range xxxx)

Document Property	Definition and/or Examples	Data Entry Guidance	Usefulness in Search
Primary Document Owner			Medium – requires accuracy and currency
Primary Document Owner's Function	See the dropdown list values	Enter the broadest definition of functions to make search easier, because the Ovitas search engine is very primitive. Example: EHS rather than EHS-Rad.	Medium – but assumes consistent selection of choices.
RMC Representative (Case)		Automatically entered, since doc workflow is within a case workflow.	High – best way to find a function's suite of docs
RMC Representative (Doc)	Usually the same, but does not have to be same as RMC Rep (Case)	This sets who gets to review the doc workflow.	High – best way to find a function's suite of docs
Document Approver	(Within Lab)	Can be more than 1.	Low
Document Approver's Function			Low
Non-LDAP approver	Outside of Lab	Type in name – this is not auto-guessed, since this is someone without LDAP permissions.	Low – use wildcard
Change Type:	Major, minor, editorial – see RPM definitions		Low
Start 30 Day Review	Set up for HR	Not readily practiced (yet – 2014). Should be used to capture the information.	Low – because not in general use.
Change Activity	None or pending		Low
State (Active, retired)	Active or retired		Low

IV. Other Related "How-to's for the RMS

V02 Basic Orientation of the RMS
V03 Introduction to Searching the RMS
V03A Searching the RMS
DC01: Data Entry Naming Conventions

V. Revision History

Revision	Date	Who	Description
0	10/5/2012	L.J. Young	Initial
0.1	11/28/2014	L.J. Young	Align Property tables with How-to#DC01; add Purpose/for whom, rev history info; add figures

V02 Screen Orientation (Read-Only Users)

I. Purpose:

This document explains the RMS screen layout and its buttons to the general user.

II. Who this is for:

General users of the RMS.

III. Other related procedures:

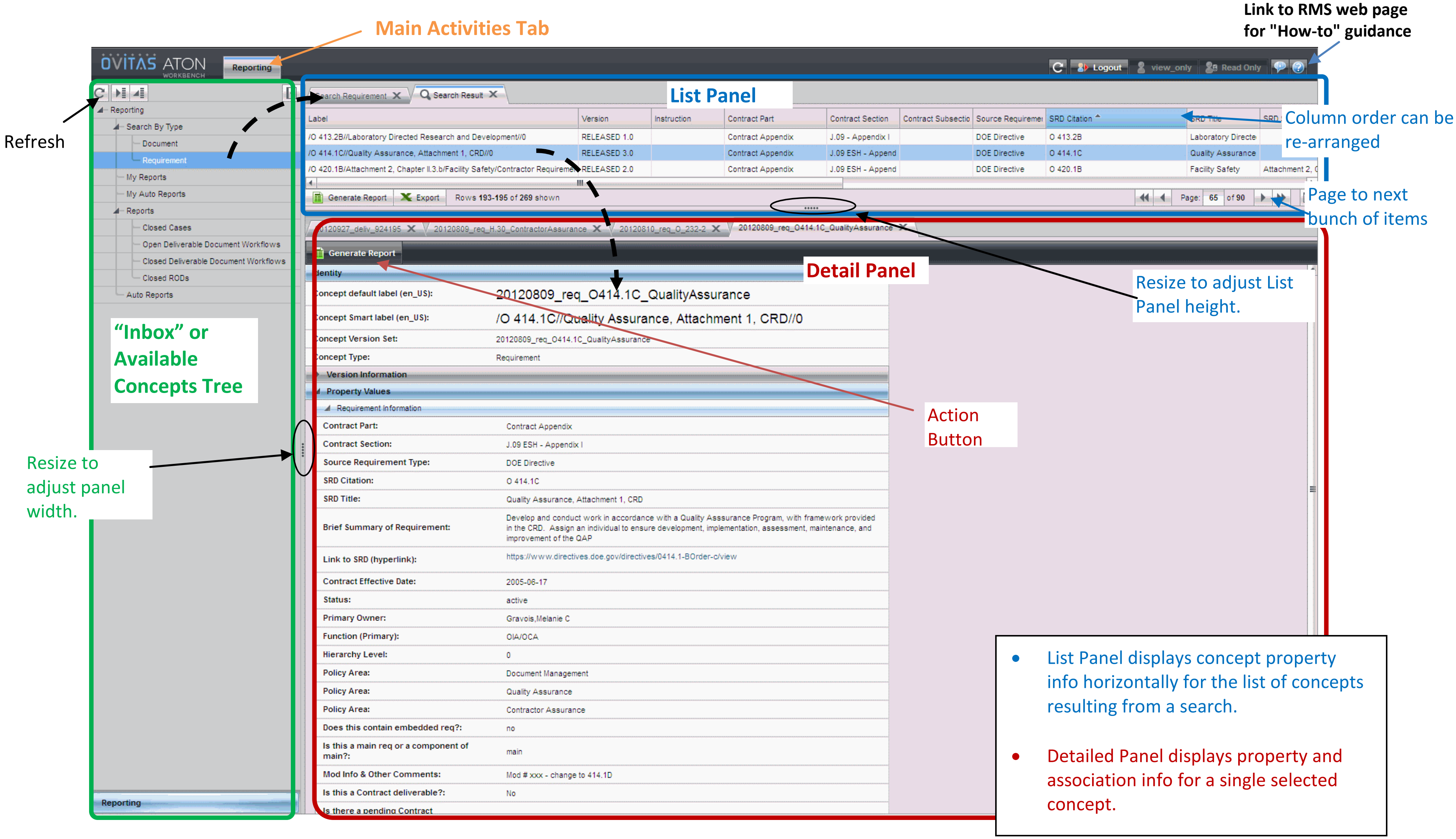
- V00 – Cheatsheet for General Users
- V01 – Definitions to Help Use and Search the RMS
- V03 – Introduction to Search
- V03A – Searching the RMS
- V99 – Beginners RMS Do-It-Yourself Training Script

IV. Revision History

Revision	Date	Who	Description
0	10/5/2012	L.J. Young	Initial
0.1	12/14/2014	L.J. Young	Formalize format. Change document number to "V" series.

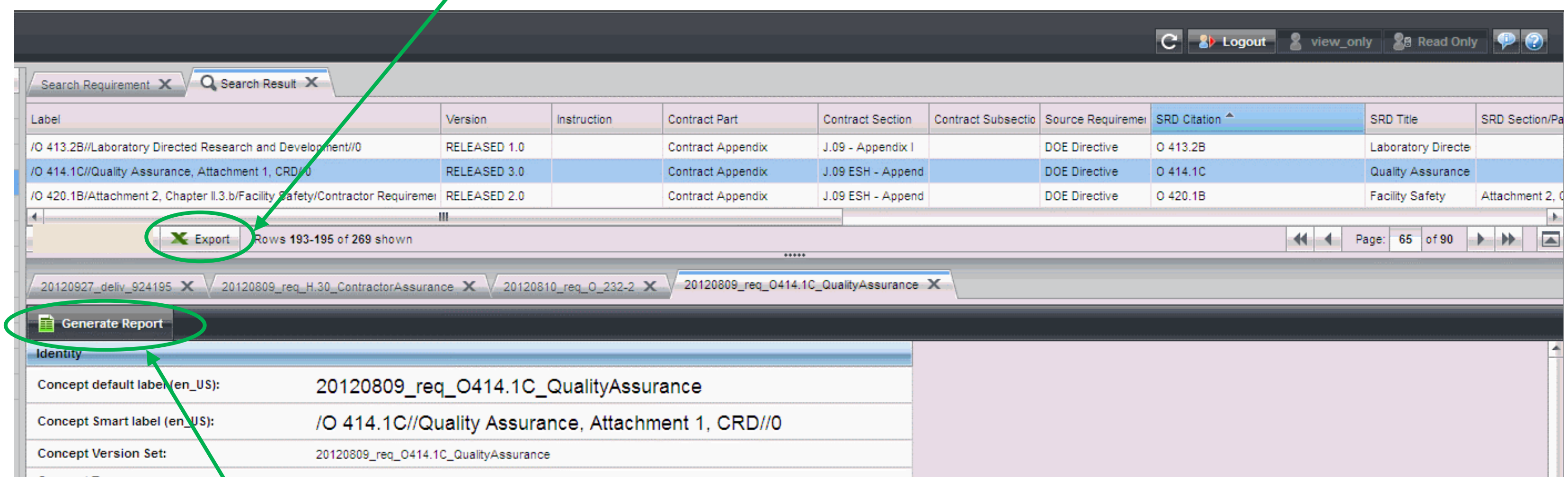
Screen Orientation (Read-Only Users)

- Read-Only Users have one Main Activities Tab, which divides the screen into three areas of increasing levels of detail: from Inbox to List Panel and finally to Detail Panel (clockwise pattern). Most actions will move from Inbox to List to Detail.
- It is possible to have several tabs open in Detail Panel.



Action Buttons (Read-Only Users)

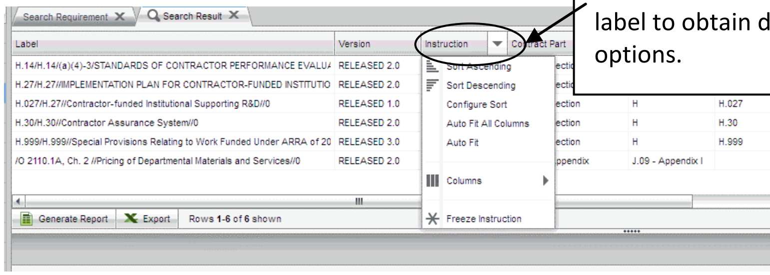
Exports tabularized property data for each concept listed. Output form is Excel table. See "How-to" Topic #V06, "Exporting data"



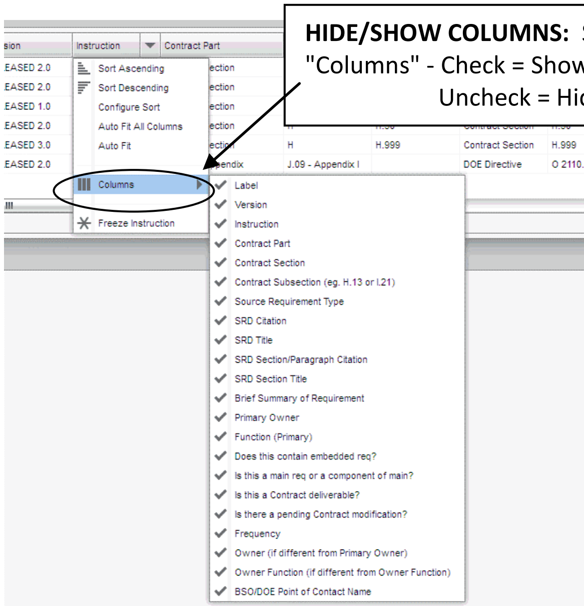
Generates Excel graphical report that shows relationships between this specific concept and other concepts types. See "How-to" Topic #V05, "Generating Reports".

Adjusting Screen Views (1)

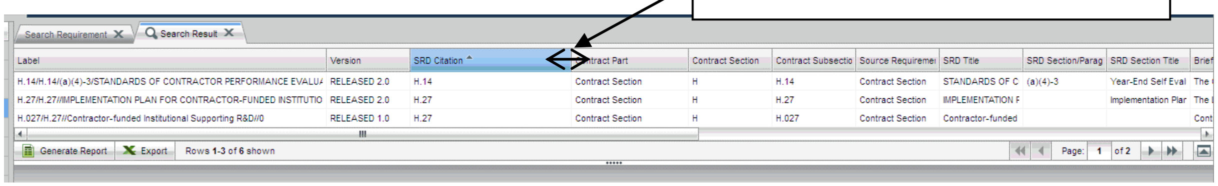
SORT: Hover over right side of column label to obtain dropdown list of sort options.



HIDE/SHOW COLUMNS: Select "Columns" - Check = Show; Uncheck = Hide

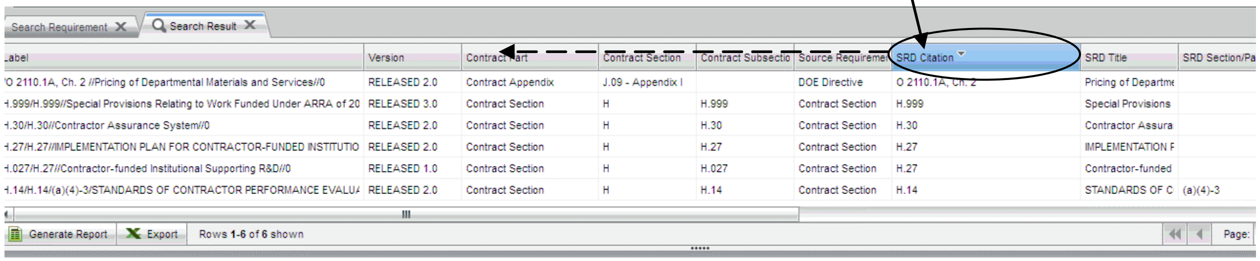


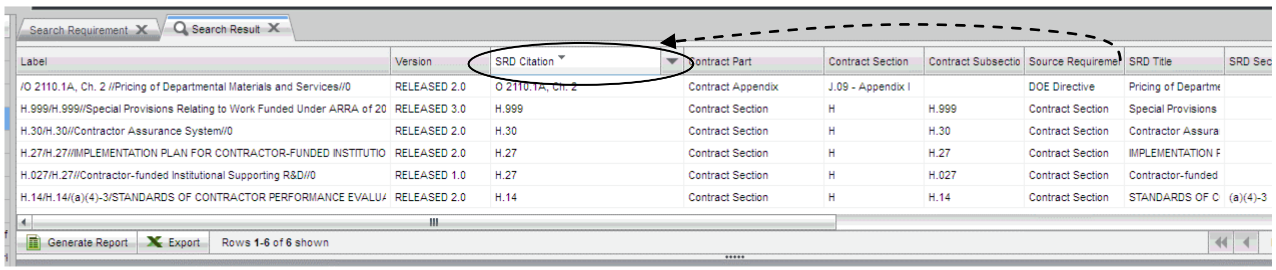
ADJUST COLUMN WIDTH: Hover over column right boundary, click, hold and drag to desired width.



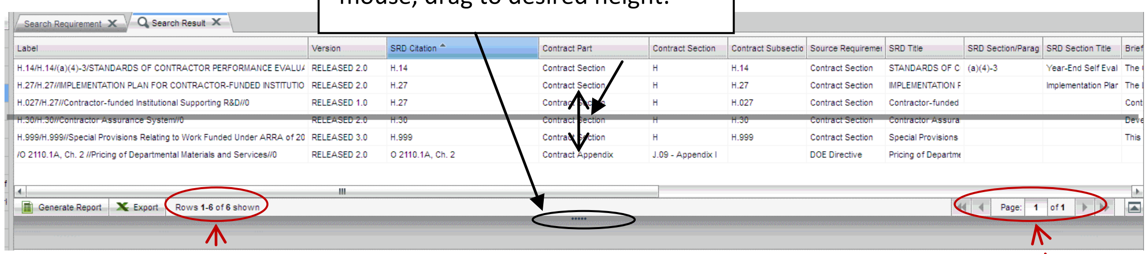
Adjusting Screen Views(2)

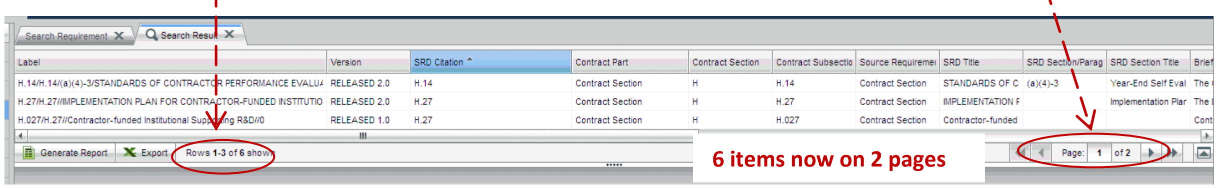
CHANGE COLUMN ORDER: Left click, hold and move mouse left or right to desired position.





CHANGE WINDOW HEIGHT:
Select bar here and hold with mouse, drag to desired height.





V03 Introduction to Search: Screen Layout, Search Mask/Filter

I. Purpose:

This document explains the RMS screen layout for searching the RMS database.

II. Who this is for:

General users of the RMS.

III. Prerequisites

The user of this procedure should know how to log into the RMS database, and have some general knowledge of its screen layout (see How-to #V02). The user should review the Cheatsheet for General Users (#V00) and the RMS definitions to use and search the RMS (#V01).

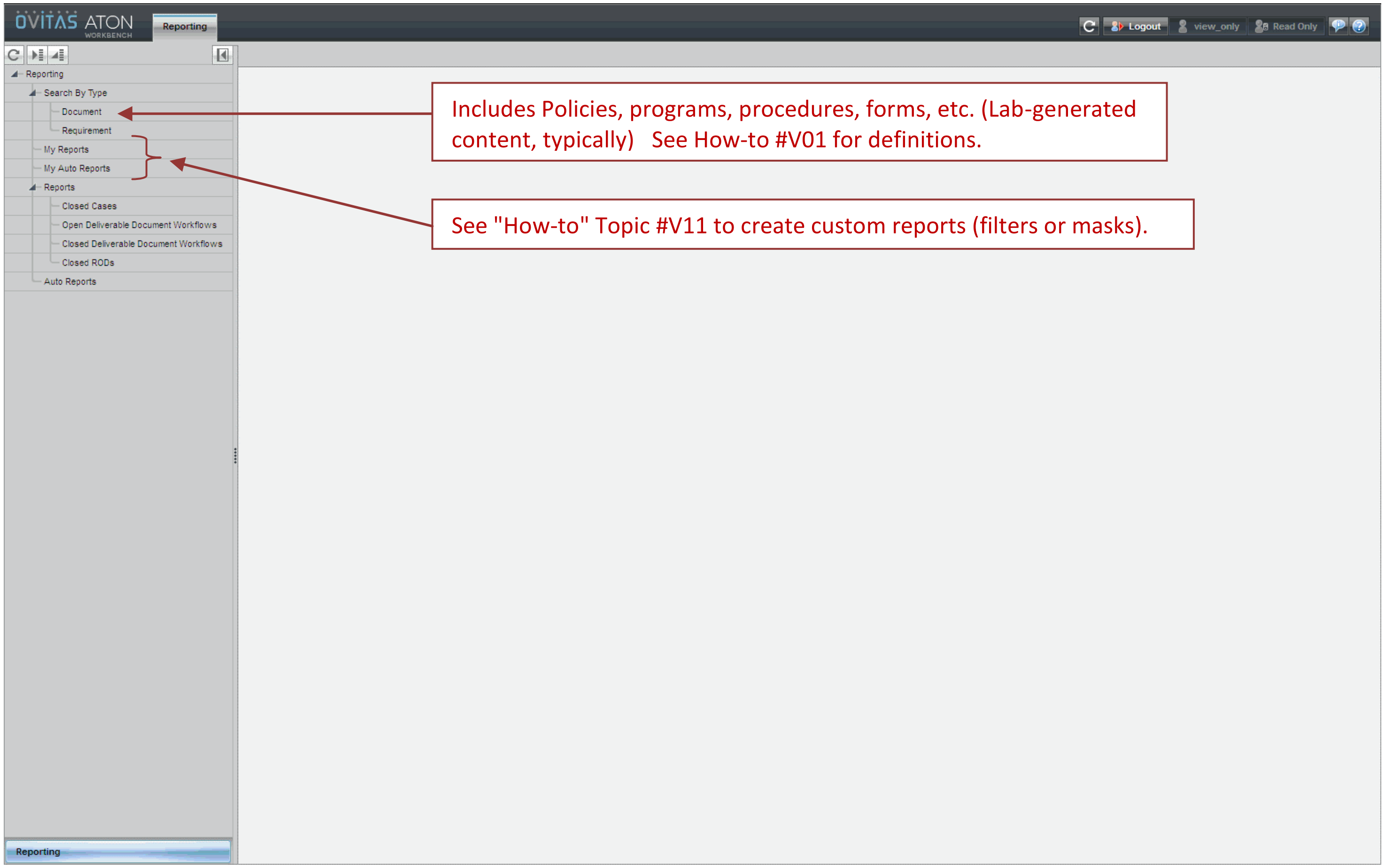
IV. Definitions

In this procedure, "mask", "filter" and "reports" are used interchangeably. These refer to the search page that enables the user to select values to search.

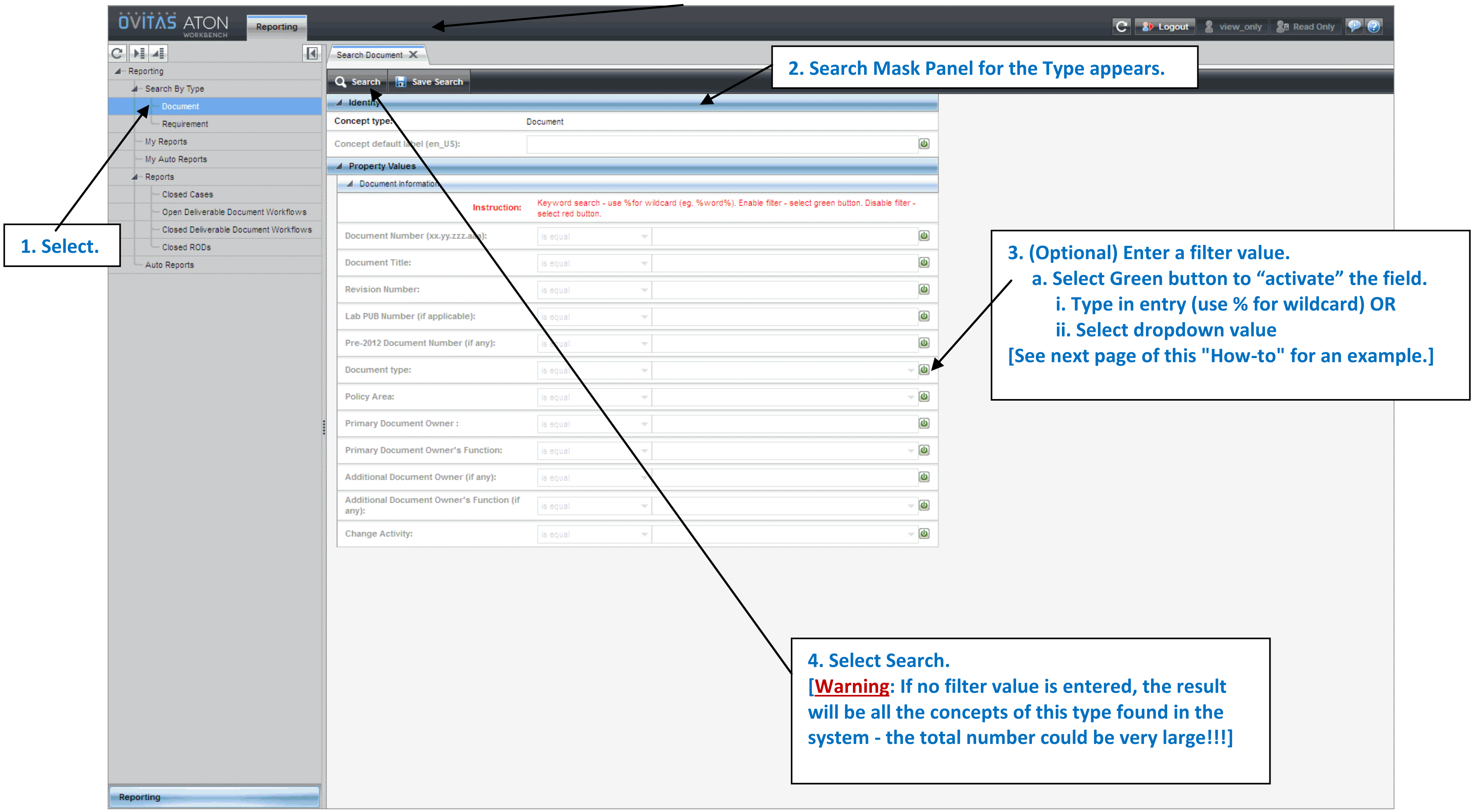
V. Specific Details

(following pages)

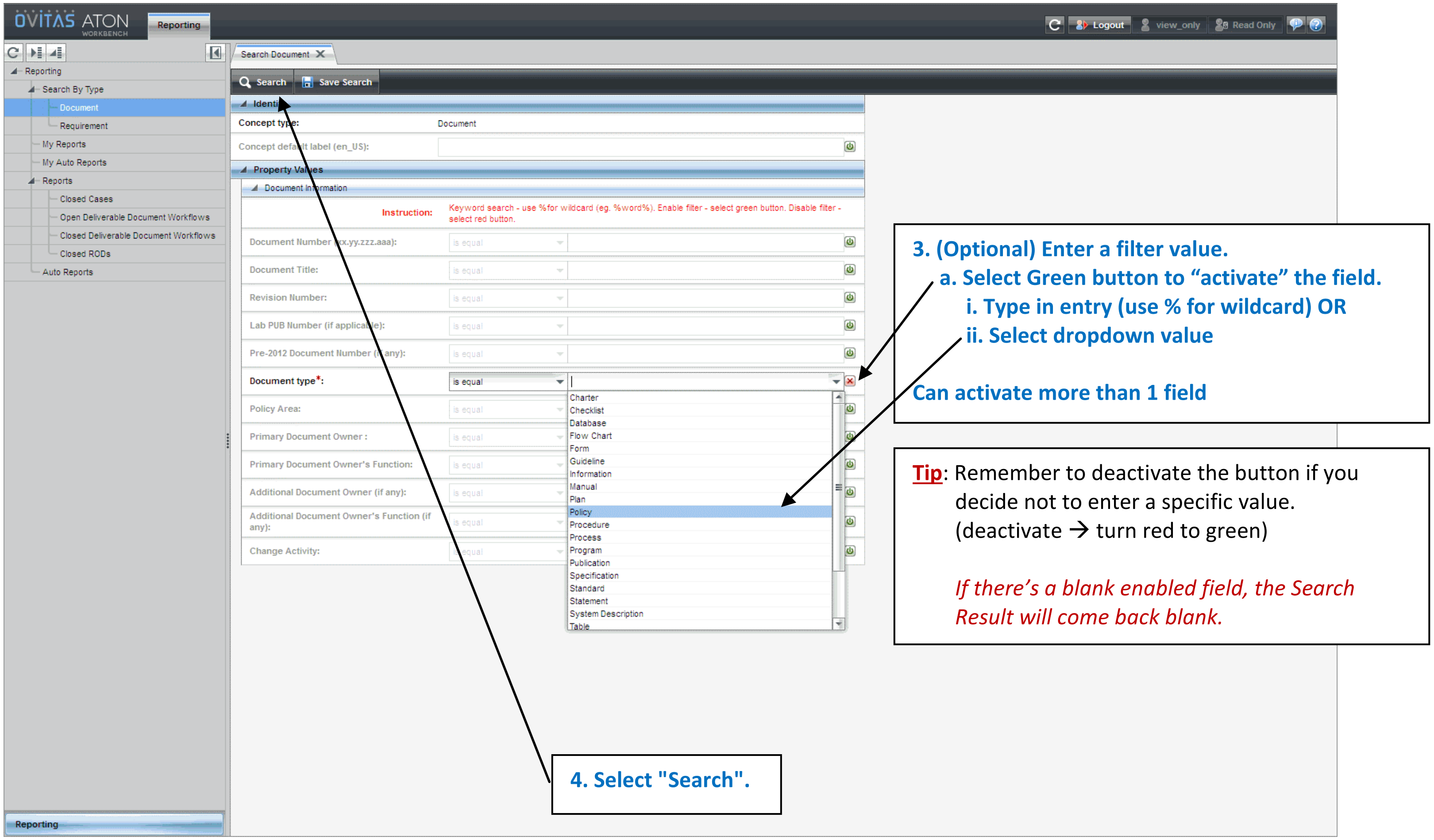
After LDAP Log-in, Read-Only Users will see this screen with the Inbox Panel populated as shown. Select (click) the Concept of interest.



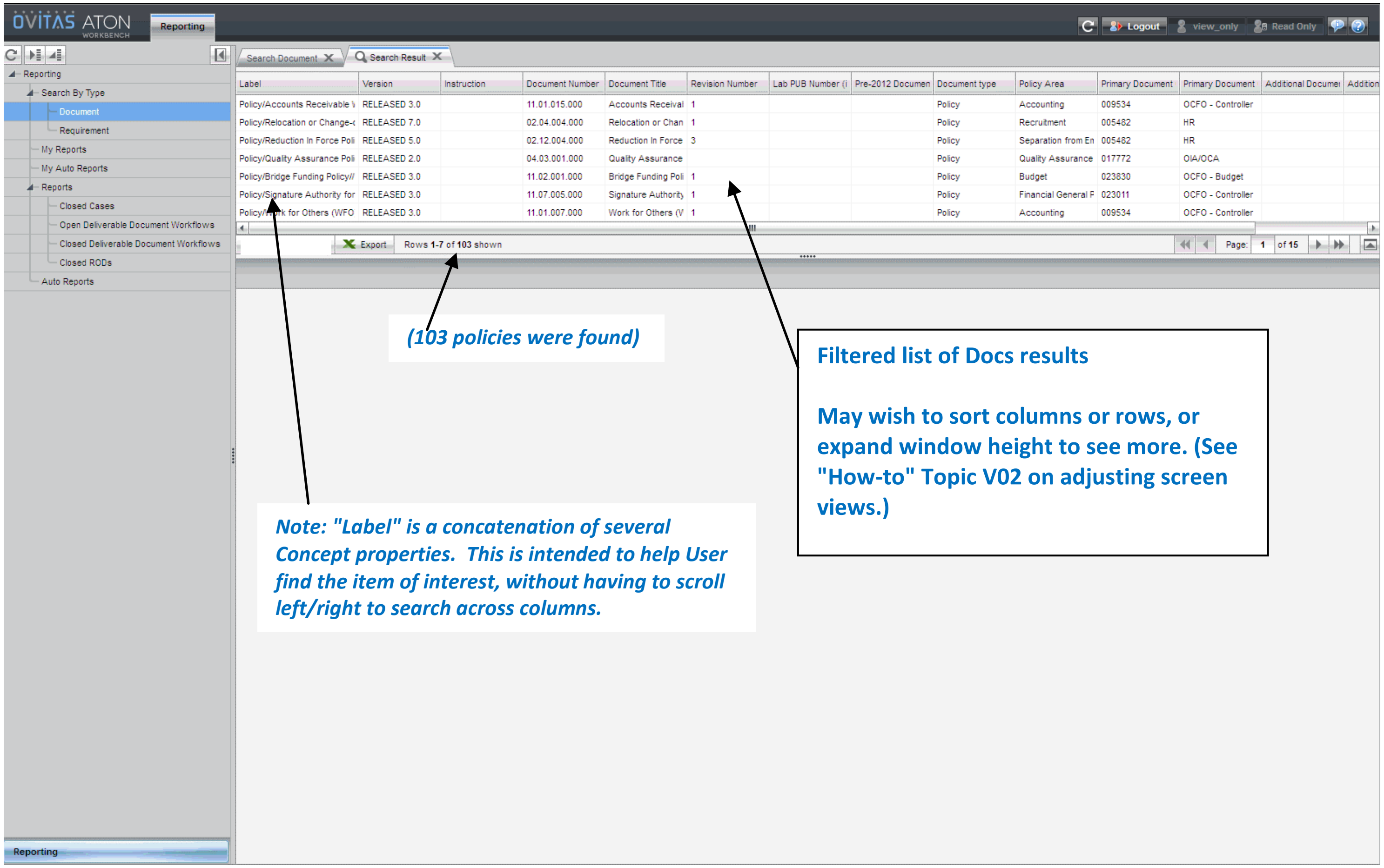
[Example] Select "Document" in the Inbox (1) to obtain the Search Mask shown (2).



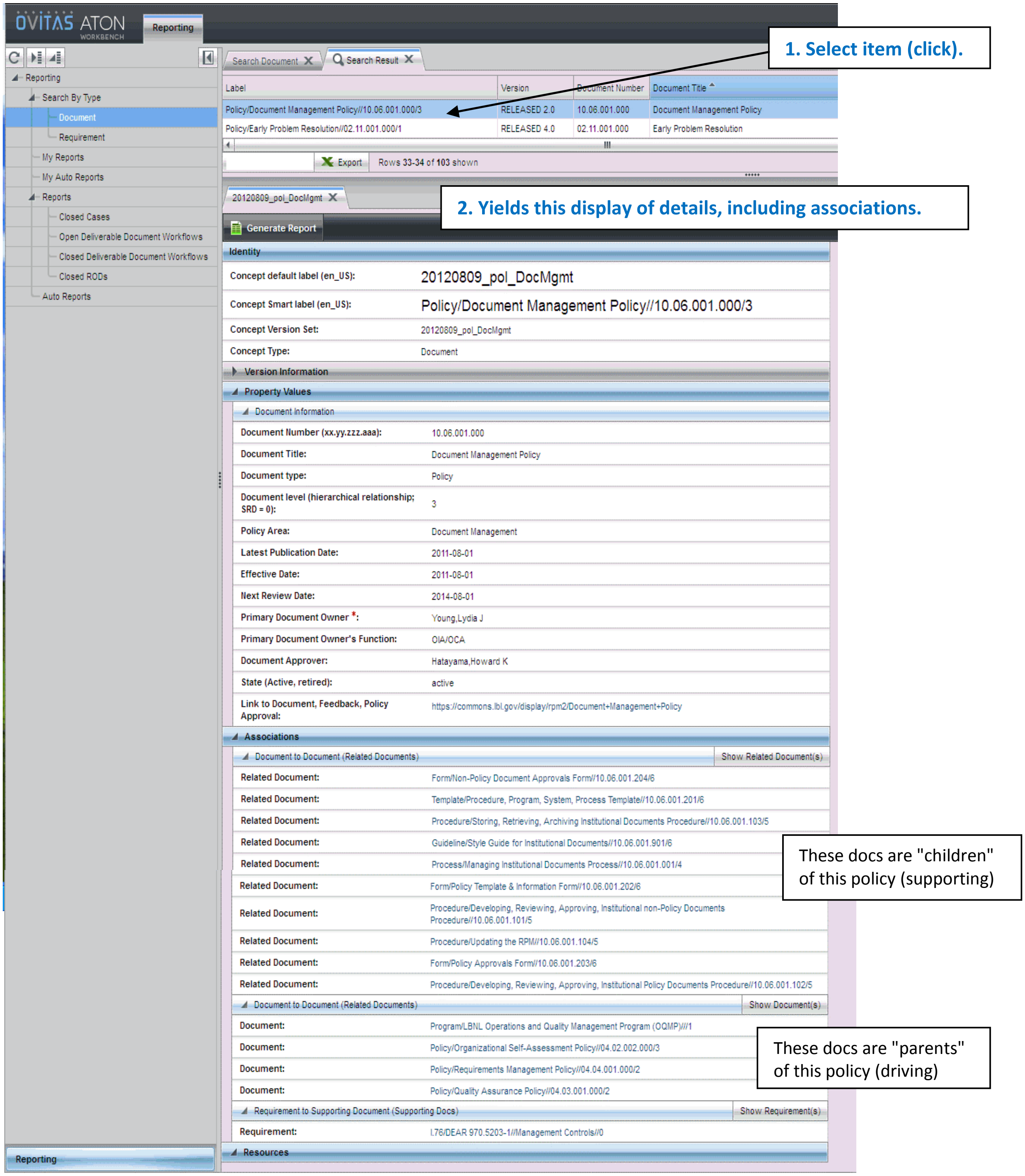
[Example of dropdown list]



After hitting "Search" button, after 5 to 20 seconds the Search Result list should appear. If no list (blank) appears, you have either over-constrained the search, or most likely, left an enabled field blank (de-activate or disable by turning green button to red).



Selecting specific Doc yields the details shown below.



See "How-to" topic #V04 to learn how to follow the trail of associations from this searched item.

VI. Other Related "How-to's for the RMS

- V00 – Cheatsheet for General Users
- V01 – Definitions to Help Use and Search the RMS *[VERY USEFUL!]*
- V02 – Basic Screen Orientation
- V03A – Searching the RMS (video and text)
- V04 – Following Associated Thread from Searched Item
- V05 – Generating a Report
- V06 – Exporting Data
- V11 – Creating a Private Search Mask
- V99 – Beginners RMS Do-It-Yourself Training Script

VII. Revision History

Revision	Date	Who	Description
0	10/5/2012	L.J. Young	Initial
0.1	12/14/2014	L.J. Young	Formalize formatting, update cross--references

V03A: Searching the RMS Database

I. Purpose:

This document covers the following topics regarding search of the RMS database.

1. What can you search in RMS database?
2. RMS Search Capabilities
3. RMS data weaknesses
4. Recommended Search Strategies
5. Search Tips

II. Who this is for:

General users of the RMS.

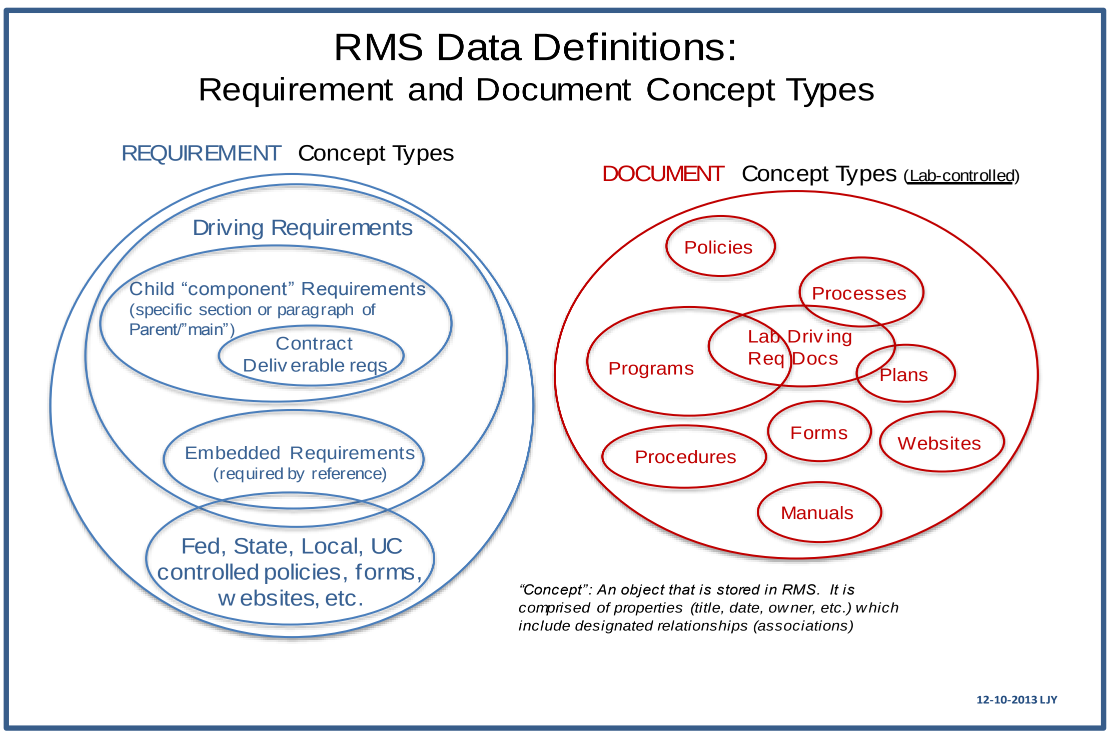
III. Prerequisites

The user should review the Cheatsheet for General Users (#V00) and the RMS definitions to use and search the RMS (#V01). There is a video #V03A demonstrating search.

IV. Specific Details

1: What can you search in the RMS Database?

The data in RMS is centered around two distinct concept types: requirements and documents. The definition for whether a record is classified as a "requirement" or a "document" is solely based on whether its changes are controlled by LBNL or not, and this distinction is based on the properties defined for each of these two concept types.



Requirements and documents may be “active”, “pending,” or “retired”.

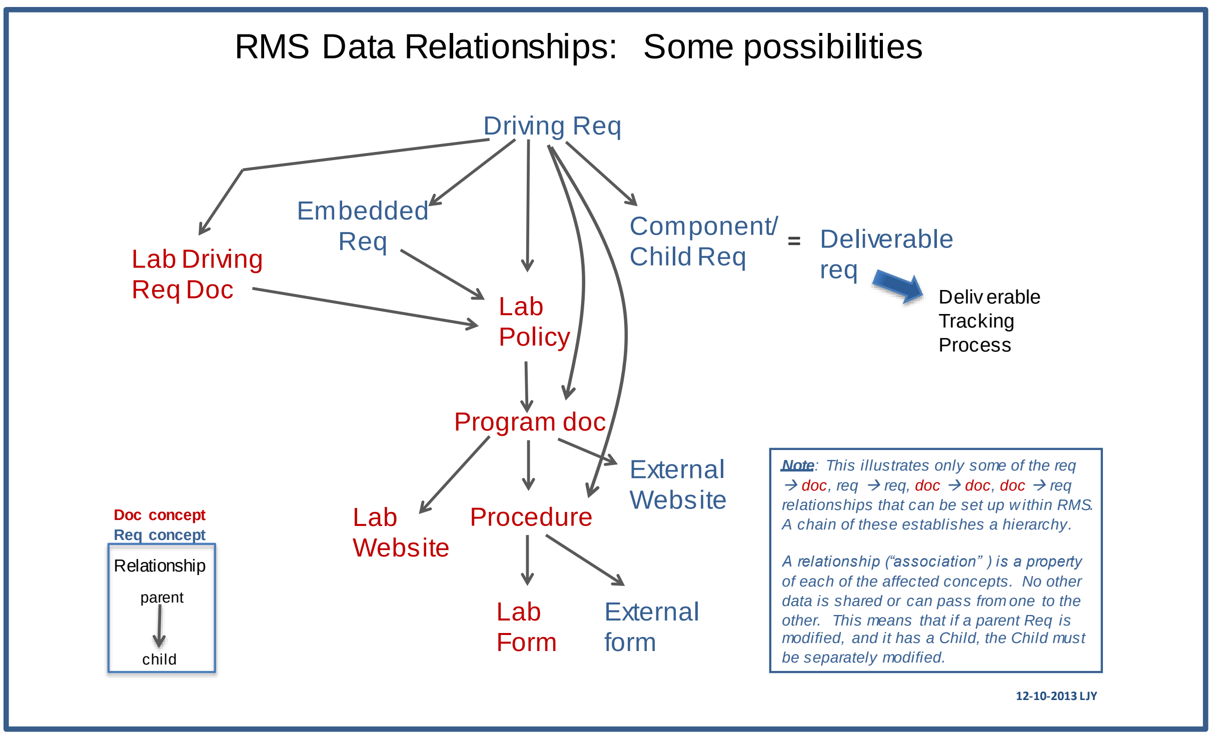
The RMS has begun to serve as a repository for requirements such as UC and DOE memos, DOE acquisition letters, etc. that are not explicitly in Contract 31 and are providing guidance whether in the interim or longer term.

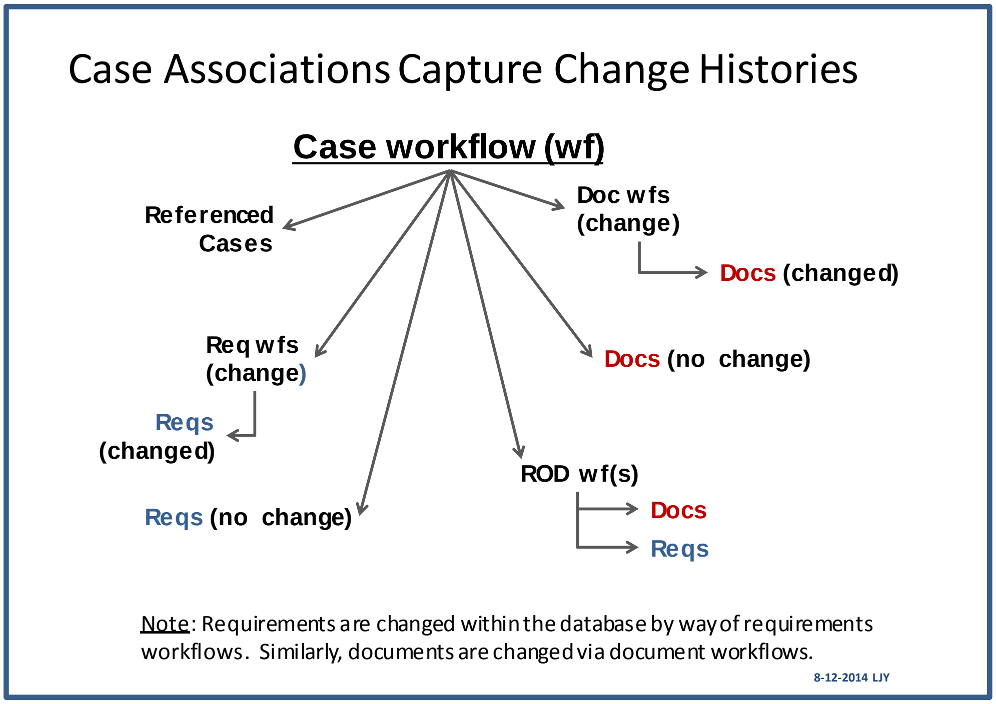
In addition to requirement and document concepts, the RMS also carries workflow records. These include

- Cases - records of activities concerning requirements or documents,
- Records of Decision (ROD), which are summaries of why a decision has been made regarding a requirement or document
- Deliverable workflows, where Deliverable requirements themselves are a subset of requirements, but the specific instances of a deliverable (for example, the annual deliverable due December 1, 2013) is a workflow.

Workflows may be in an “open” or “closed” state. Workflows are the means by which documents or requirements are modified.

RMS is a RELATIONAL database. This means that there are relationships (or associations) amongst the several types of records and workflows. The strength of the RMS database lies in its ability to show traceability from a Contract requirement through to the Laboratory policies, programs, processes that it impacts. A second strength is the traceability of changes of requirements or documents through historical threads as recorded by Cases and RODs.





2: RMS Search Capabilities

- Very basic operations: "AND" only between different fields
  - Cannot perform "OR" or "NOT"
  - Cannot perform "AND" between one value in a field and a second value in the same field. (For example: cannot set up – "Policies" AND "Programs")
- Data is divided into classes (Requirements, Documents, Cases, RODs), and searches are conducted within the classes.
  - There is NO GLOBAL search function that can scan across the class boundaries.
- Search is by strings.
  - The system does not distinguish character case (this is good)
  - The system does count spaces between characters (this can be confounding)
  - The system is not intelligent – if it does not find the entered string pattern, it will come back with a blank screen – it cannot guess what you wanted.
- A concatenated label is included among those fields that are searchable.
  - Document label concatenation: DocType /Hierarchy/ DocTitle / Pre-2012# / Doc#
  - Requirement label concatenation: ContractSubsection / SourceCitation / SourceSectionCitation / SourceTitle / SourceSectionTitle/Hierarchy
  - Deliverable label concatenation: year-month-day (due) / ContractSubsection / SourceCitation / SourceSectionCitation / SourceTitle / SourceSectionTitle

3. Database Weaknesses (as of October 2014)

The user should keep in mind the following weaknesses/inconsistencies in the data. Some are due to inconsistencies during the initial uploads of data, and will need to be corrected in time.

- Document or Requirements <u>owner names</u> are not always populated, and they are not necessarily current. Searching by owner names will not provide a full set of records.
- Functional Areas associated with Owners are inconsistently applied (for example, sometimes EHS was selected rather than EHS-Rad for Radiological Protection related items). Some initial data had been entered before realizing the severe limitations of search operations). This can be corrected over time.
- Names and roles, in general, are not necessarily up-to-date. The database is still relatively immature and focus has been on populating it with data and managing doc/req changes rather than keeping up with the ever-changing roles and responsibilities.
- RMC Reps names in assigned records are about 90% accurate (Oct.2014). The intention is to achieve 98% accuracy since the total set of RMC members is small enough where name management should be achievable.
- Data and any associations are "policy centric". That is, the metadata for policies published in the RPM has been entered in the RMS database. This means:
    - Policies not yet fully converted from the older RPM therefore are not necessarily represented in RMS
    - Contract 31 sections, clauses, etc. not directly associated with either policies or deliverables are not necessarily yet in the RMS.

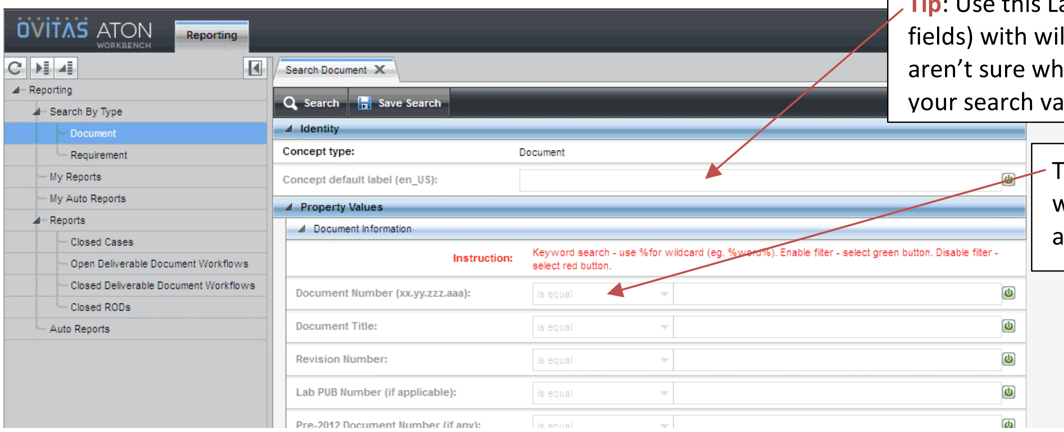
4. Recommended Search Strategy

1. Determine whether the item to be searched is a requirement, a document, a workflow.
2. Select from the left panel the relevant search filter (also referred to as search mask).
3. Apply bare minimum key words and/or parameters.
4. Obtain a first list and examine.
5. Then narrow or broaden by refining the entries in the filter.
6. Should be able to find the desired information within 2 iterations.
7. Once the desired record is found, use its associations to explore or drill down.

5. Search Tips

1. The number of filter fields: the fewer the better. Too many runs the risk of over-constraining (remember RMS is not very smart)
2. Key words or strings – the fewer, the better.
3. Use wild card "%"
4. Don't know whether to put a key word in the title or subtitle field? Don't know exactly whether the citation is a sub-section or the section? Then use the label field (see screenshot below).
5. Start with the custom filters (Lab Policies; Requirements-active, no deliverables; Deliverable Requirements). These look at the "active" items only.
6. If you decide to use the generic filters (Requirements, Documents),
    - Be sure to enable *Status* and indicate *active* (assuming you don't want all the retired info)
    - For requirements, if you are not interested in deliverables, be sure to enable *Is this a deliverable* and indicate *no*.

7. Make sure there are no BLANK ACTIVATED/ENABLE filter fields!!! This will result in no records found!!!
8. Go for what, not who (and other weaknesses in the data).



Tip: Use this Label field (= concatenated fields) with wildcards (%) when you aren't sure which specific field to enter your search value.

These don't work yet – keep as "is equal".

Examples that result in a manageable list (see also accompanying video #V03A):

- (Doc type = Policy) + (Doc title = %financial%)
- (Doc number = 04.0%) this will yield all documents whose numbers start with "04.0"
- (Doc number = %04.0%) – this will yield all documents whose numbers contain somewhere the string "04.0". This will be a longer list than the preceding example.
- (Source Req type = Code of Federal Regulations) + (SRD Citation = 10%85%) will yield the list of "10 CFR" items containing "85". For example, including all the subsections of 10 CFR 851.
- (Contract Subsection = H.%) + (Status = active) + (Is this a deliverable = no) – this will yield all the active H clauses listed that are not deliverables.
- (Contract Subsection = H.%) + (Status = active) will give all the active H clauses including any H clause deliverables.
- Open Case

V. Other Related "How-to's for the RMS

- V00 – Cheatsheet for General Users
- V01 – Definitions to Help Use and Search the RMS *[VERY USEFUL!]*
- V02 – Basic Screen Orientation
- V03A – Searching the RMS (**video**)

VI. Revision History

Revision	Date	By Whom	Description
0	10-25-2014	L.J.Young	Initial Draft
0.1	12-14-2014	L.J.Young	Formalize formatting

V04 Following Association Threads from a Searched Item

I. Purpose:

This procedure shows a user how to follow threads of associations from a searched item.

II. Who this is for:

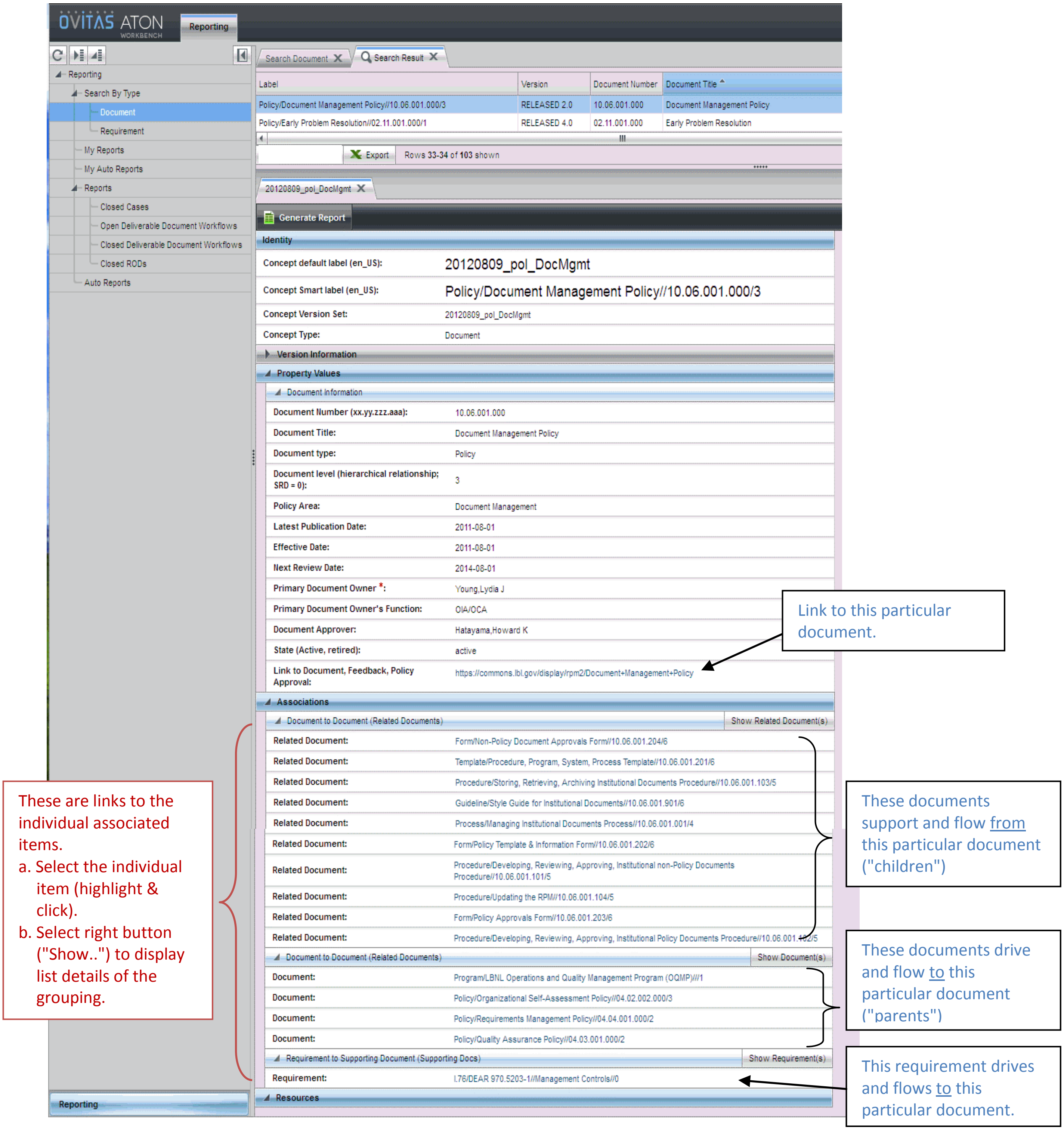
General users of the RMS.

III. Prerequisites

The user should be well practiced searching the RMS (#V03 and #V03A). The user should review the Cheatsheet for General Users (#V00) and the RMS definitions to use and search the RMS (#V01). There is a video showing following associated threads for a specific searched item (#V04-video).

IV. Specific Details

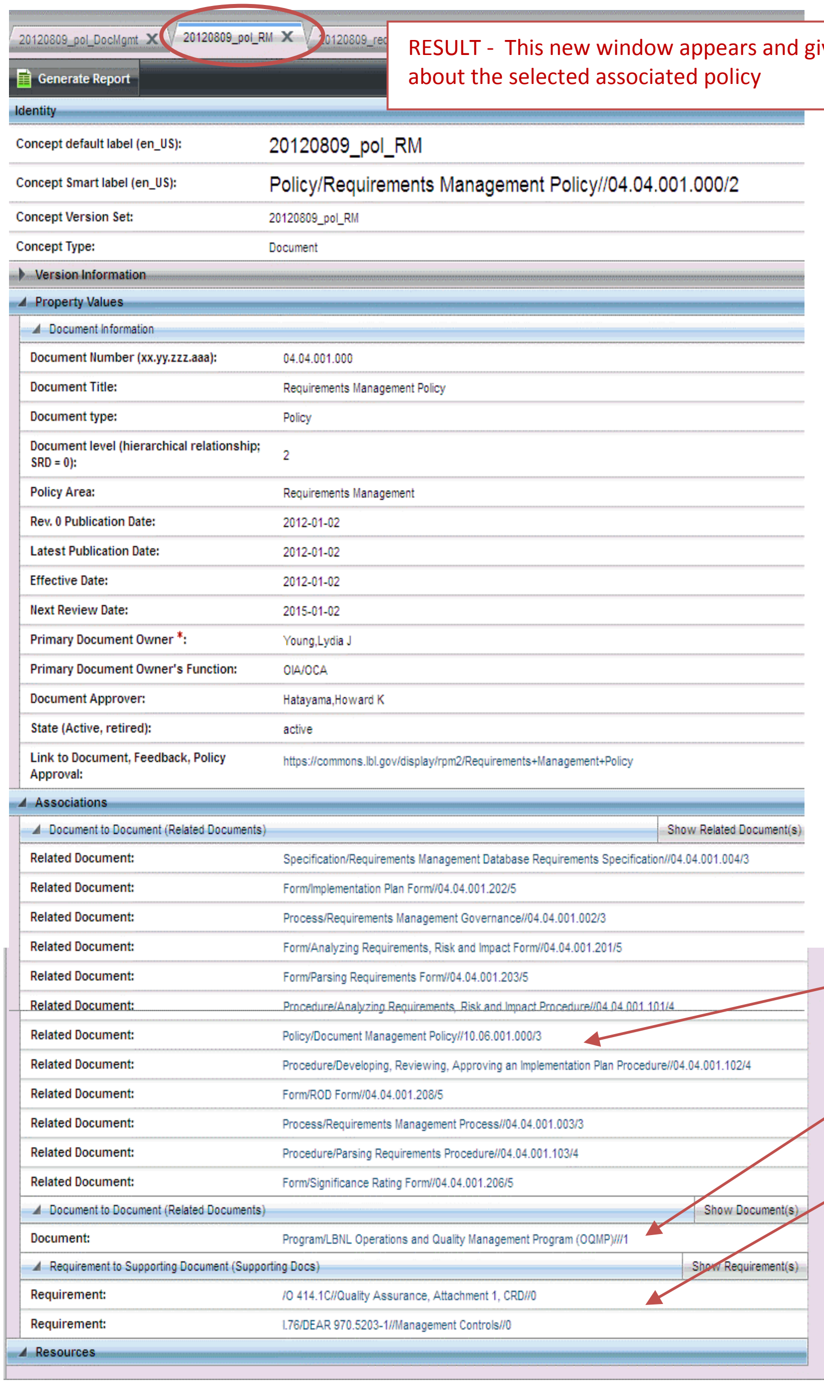
After searching and finding the details for a specific concept such as a document or requirement via the process explained in "How-to" #V03 and #V03A, the User can explore the concept's associations directly from the concept.


OVITAS ATON WORKBENCH
Reporting
Reporting
Search By Type
Document
Requirement
My Reports
My Auto Reports
Reports
Closed Cases
Open Deliverable Document Workflows
Closed Deliverable Document Workflows
Closed RODs
Auto Reports
Search Document
Search Result
Label | Version | Document Number | Document Title
Policy/Document Management Policy//10.06.001.000/3 | RELEASED 2.0 | 10.06.001.000 | Document Management Policy
Policy/Early Problem Resolution//02.11.001.000/1 | RELEASED 4.0 | 02.11.001.000 | Early Problem Resolution
Export
Rows 33-34 of 103 shown
20120809_pol_DocMgmt
Generate Report
Identity
Concept default label (en_US): 20120809_pol_DocMgmt
Concept Smart label (en_US): Policy/Document Management Policy//10.06.001.000/3
Concept Version Set: 20120809_pol_DocMgmt
Concept Type: Document
Version Information
Property Values
Document Information
Document Number (xx.yy.zzz.aaa): 10.06.001.000
Document Title: Document Management Policy
Document type: Policy
Document level (hierarchical relationship; SRD = 0): 3
Policy Area: Document Management
Latest Publication Date: 2011-08-01
Effective Date: 2011-08-01
Next Review Date: 2014-08-01
Primary Document Owner *: Young,Lydia J
Primary Document Owner's Function: OIA/OCA
Document Approver: Hatayama,Howard K
State (Active, retired): active
Link to Document, Feedback, Policy Approval: https://commons.lbl.gov/display/rpm2/Document+Management+Policy
Associations
Document to Document (Related Documents)
Show Related Document(s)
Related Document: Form/Non-Policy Document Approvals Form//10.06.001.204/6
Related Document: Template/Procedure, Program, System, Process Template//10.06.001.201/6
Related Document: Procedure/Storing, Retrieving, Archiving Institutional Documents Procedure//10.06.001.103/5
Related Document: Guideline/Style Guide for Institutional Documents//10.06.001.901/6
Related Document: Process/Managing Institutional Documents Process//10.06.001.001/4
Related Document: Form/Policy Template & Information Form//10.06.001.202/6
Related Document: Procedure/Developing, Reviewing, Approving, Institutional non-Policy Documents Procedure//10.06.001.101/5
Related Document: Procedure/Updating the RPM//10.06.001.104/5
Related Document: Form/Policy Approvals Form//10.06.001.203/6
Related Document: Procedure/Developing, Reviewing, Approving, Institutional Policy Documents Procedure//10.06.001.102/5
Document to Document (Related Documents)
Show Document(s)
Document: Program/LBNL Operations and Quality Management Program (OQMP)//1
Document: Policy/Organizational Self-Assessment Policy//04.02.002.000/3
Document: Policy/Requirements Management Policy//04.04.001.000/2
Document: Policy/Quality Assurance Policy//04.03.001.000/2
Requirement to Supporting Document (Supporting Docs)
Show Requirement(s)
Requirement: I.76/DEAR 970.5203-1//Management Controls//0
Resources
Reporting
Link to this particular document.
These are links to the individual associated items.
a. Select the individual item (highlight & click).
b. Select right button ("Show..") to display list details of the grouping.
These documents support and flow from this particular document ("children")
These documents drive and flow to this particular document ("parents")
This requirement drives and flows to this particular document.

Example:

Example: Select this associated (driving) policy.

(Document Management Policy associations)



RESULT - This new window appears and gives details about the selected associated policy

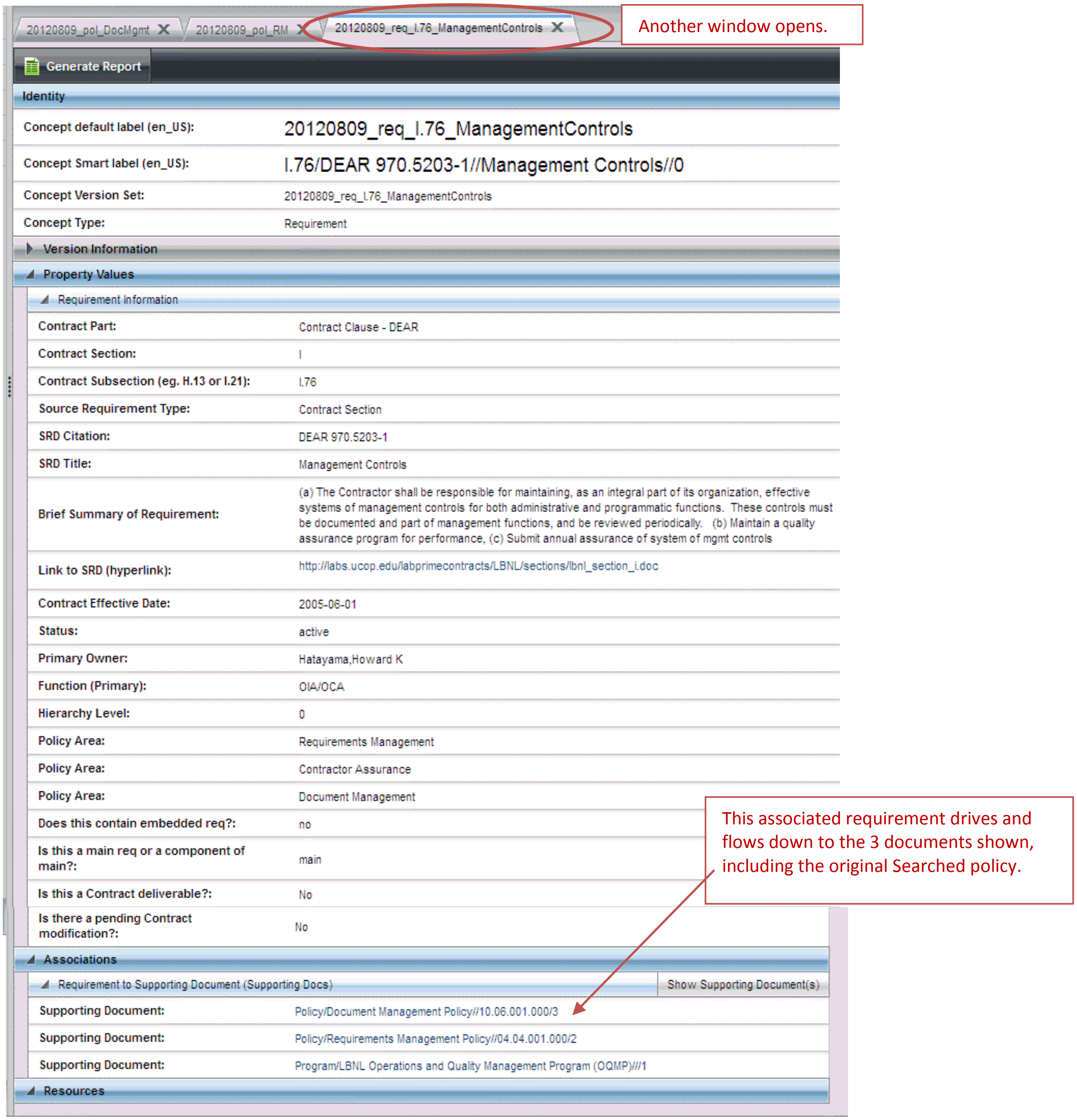
This associated policy's listings include the searched policy and also all its other supporting documents.

It has a driving document that it flows from.

It has several driving requirements that it flows from (and one is shared with the searched policy).

User can select and click to see the details for any of these (new window appears).

Follow a second thread (a Requirement) from the Searched policy (Doc Management in this example) by selecting it in the Association list (previous page of this "How-to"). The result is shown below.



These particular examples of associated concepts for the original searched concept suggest that there a number of connections. The User might want to obtain a fuller picture of the relationships and numbers of concepts by generating a report (see "How-to" Topic #V05).

V. Other Related "How-to's for the RMS

- V00 – Cheatsheet for General Users
- V01 – Definitions to Help Use and Search the RMS *[VERY USEFUL!]*
- V02 – Basic Screen Orientation
- V03A – Searching the RMS (video and text)
- V04 – Following Association Threads **(video)**
- V05 – Generating a Report

VI. Revision History

Revision	Date	Who	Description
0	10/5/2012	L.J. Young	Initial
0.1	12/14/2014	L.J. Young	Formalize formatting, update cross--references

V05 Generating a Report

I. Purpose:

This procedure shows a user how to generate a report that displays the hierarchy of associations for a selected concept (requirement, document, case, RODs, closed or open deliverables).

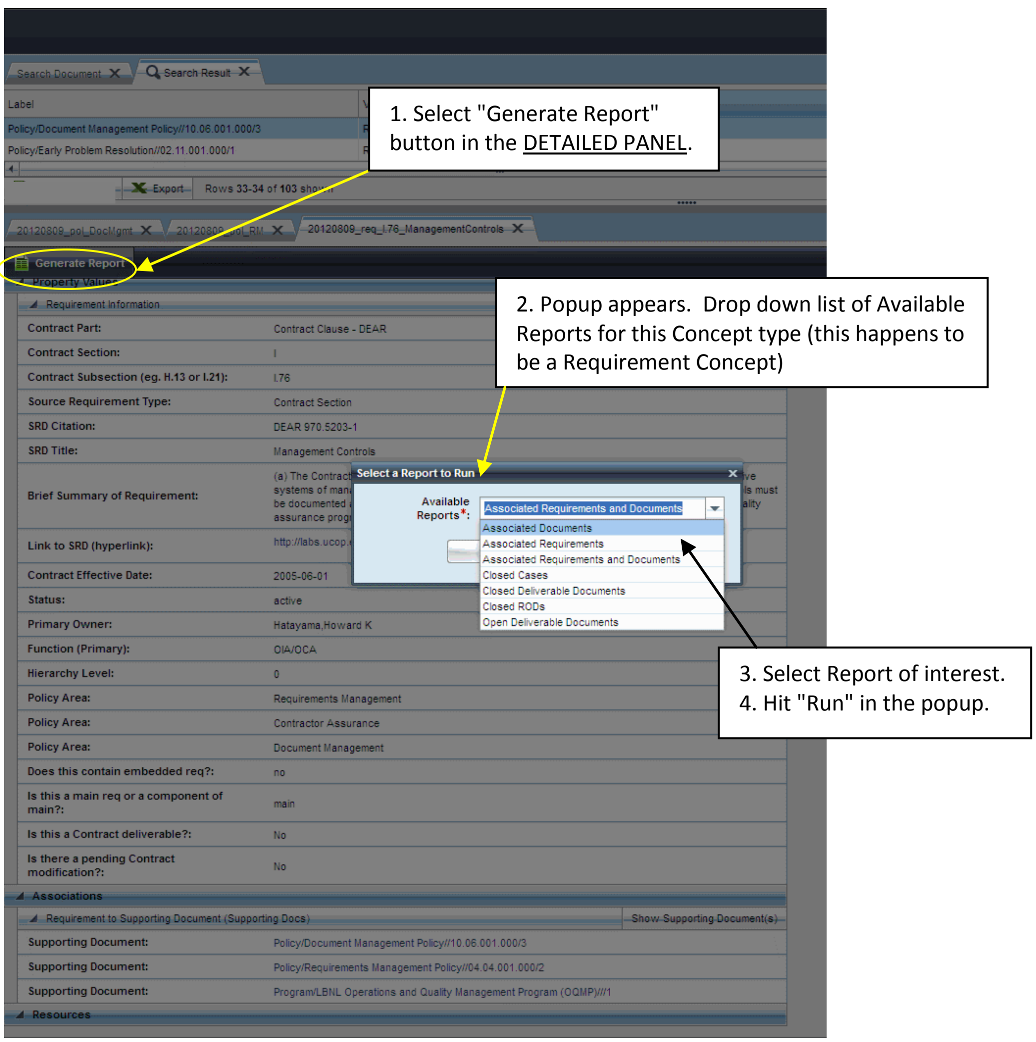
II. Who this is for:

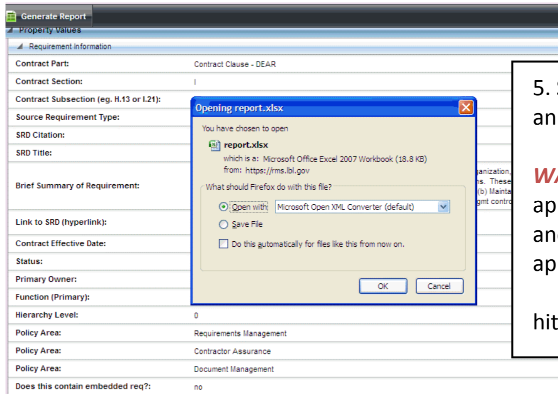
General users of the RMS.

III. Prerequisites

The user should be well practiced searching the RMS (#V03 and #V03A). The user should review the Cheatsheet for General Users (#V00) and the RMS definitions to use and search the RMS (#V01). There is a video on generating a report (#V05-video).

IV. Specific Details





5. System responds with a window for an Excel report.

WARNING: If this window does not appear, CHECK BROWSER PERMISSIONS and select "allow popups" for the RMS application.

Once you set this, you will need to hit "Generate Report" again (sorry!).

The Excel report displays graphically the selected report type. In this case, we asked for the Associated Requirements and Documents related to a specific requirement.

This is the requirement we inquired about.

This is one of the requirement's supporting items (a document in this case).

These 3rd tier items support the 2nd tier supporting document.

This is a second 2nd tier item that supports the top level requirement.

This 3rd tier doc has its own supporting docs!

AND SO FORTH.

The Generated Report for a given requirement or document shows the full flow-down of all the related concepts, whereas the detailed panel provides only the concepts directly above and directly below the given requirement or document.

NOTE: The RMS application does not include the ability to link from the Excel spreadsheet back to the database. User will need to search the concepts of interest. We recommend cut/paste the label shown in the Excel report into the concept label field in the RMS search window.

V. Other Related "How-to's for the RMS

- V00 – Cheatsheet for General Users
- V01 – Definitions to Help Use and Search the RMS *[VERY USEFUL!]*
- V02 – Basic Screen Orientation
- V03A – Searching the RMS (video and text)
- V05 – Generating a Report **(video)**

VI. Revision History

Revision	Date	Who	Description
0	10/5/2012	L.J. Young	Initial
0.1	12/14/2014	L.J. Young	Formalize formatting, update cross--references

V06 Exporting Search Results Data

I. Purpose:

This procedure shows a user how to export search results data.

II. Who this is for:

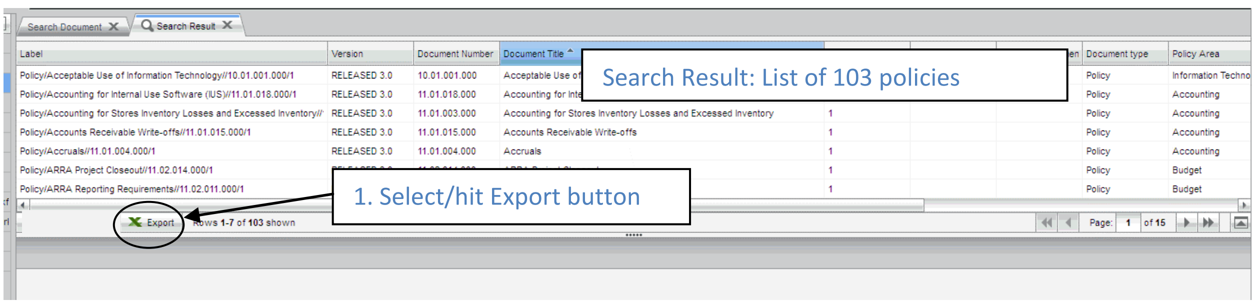
General users of the RMS.

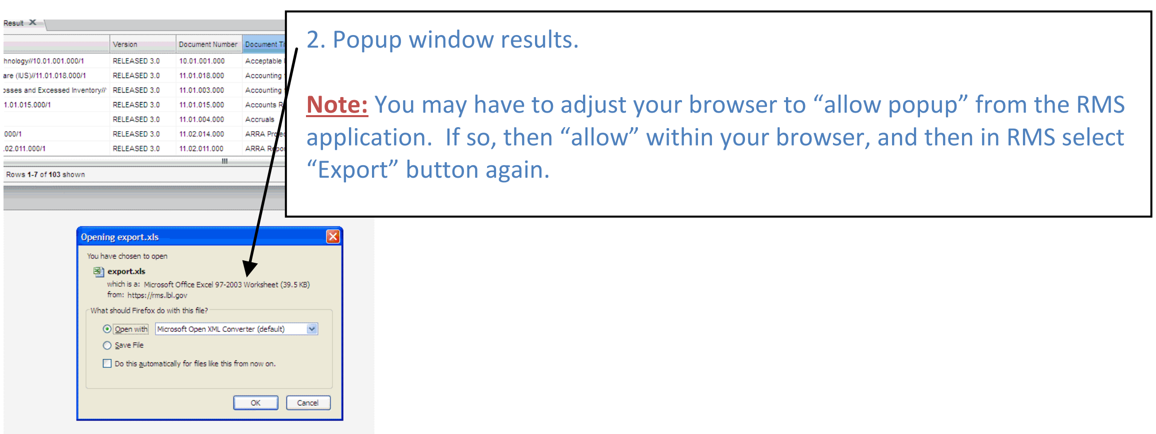
III. Prerequisites

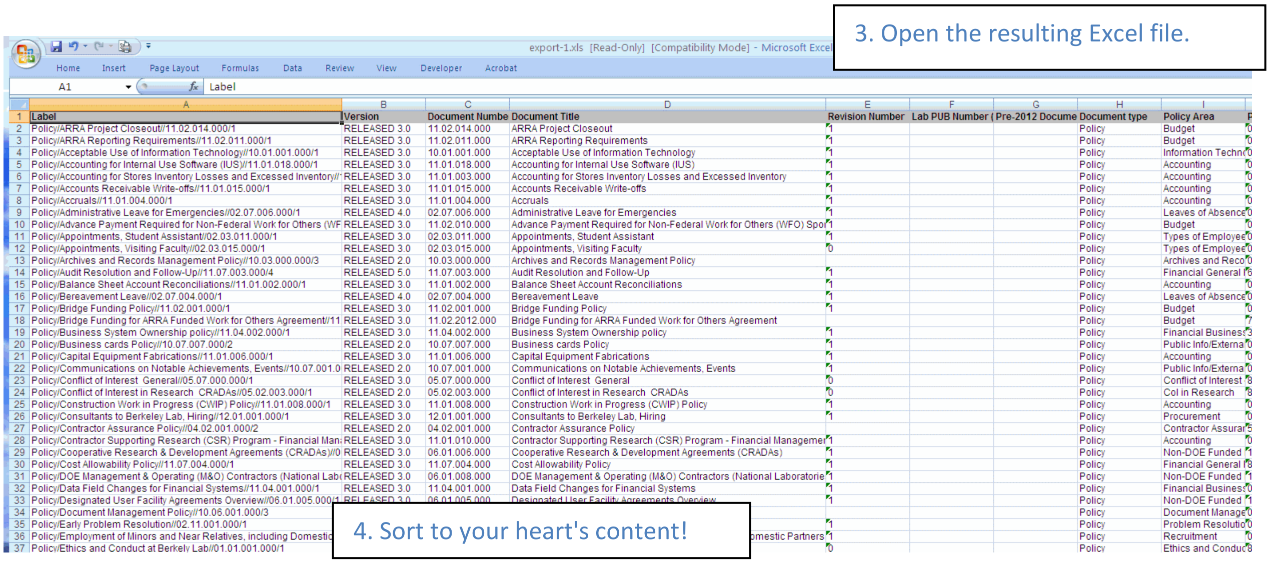
The user should be well practiced searching the RMS (#V03 and #V03A). The user should review the Cheatsheet for General Users (#V00) and the RMS definitions to use and search the RMS (#V01). There is a video showing exporting search results data (#V06-video).

IV. Specific Details

Best for obtaining details for multiple listed items from a search (for example, all OCFO policies).







V. Other Related "How-to's for the RMS

- V00 – Cheatsheet for General Users
- V01 – Definitions to Help Use and Search the RMS *[VERY USEFUL!]*
- V02 – Basic Screen Orientation
- V03A – Searching the RMS (video and text)
- V06 – Exporting Data **(video)**

VI. Revision History

Revision	Date	Who	Description
0	10/5/2012	L.J. Young	Initial
0.1	12/14/2014	L.J. Young	Formalize formatting, update cross--references

V11 Creating Search Masks (Private Reports)

I. Purpose:

This procedure allows User to create a customized Search Mask that might be frequently needed: for example, a search of HR policies or a search of closed contract deliverables owned by OCFO delivered within a certain date range.

II. Who this is for:

General users of the RMS.

III. Prerequisites

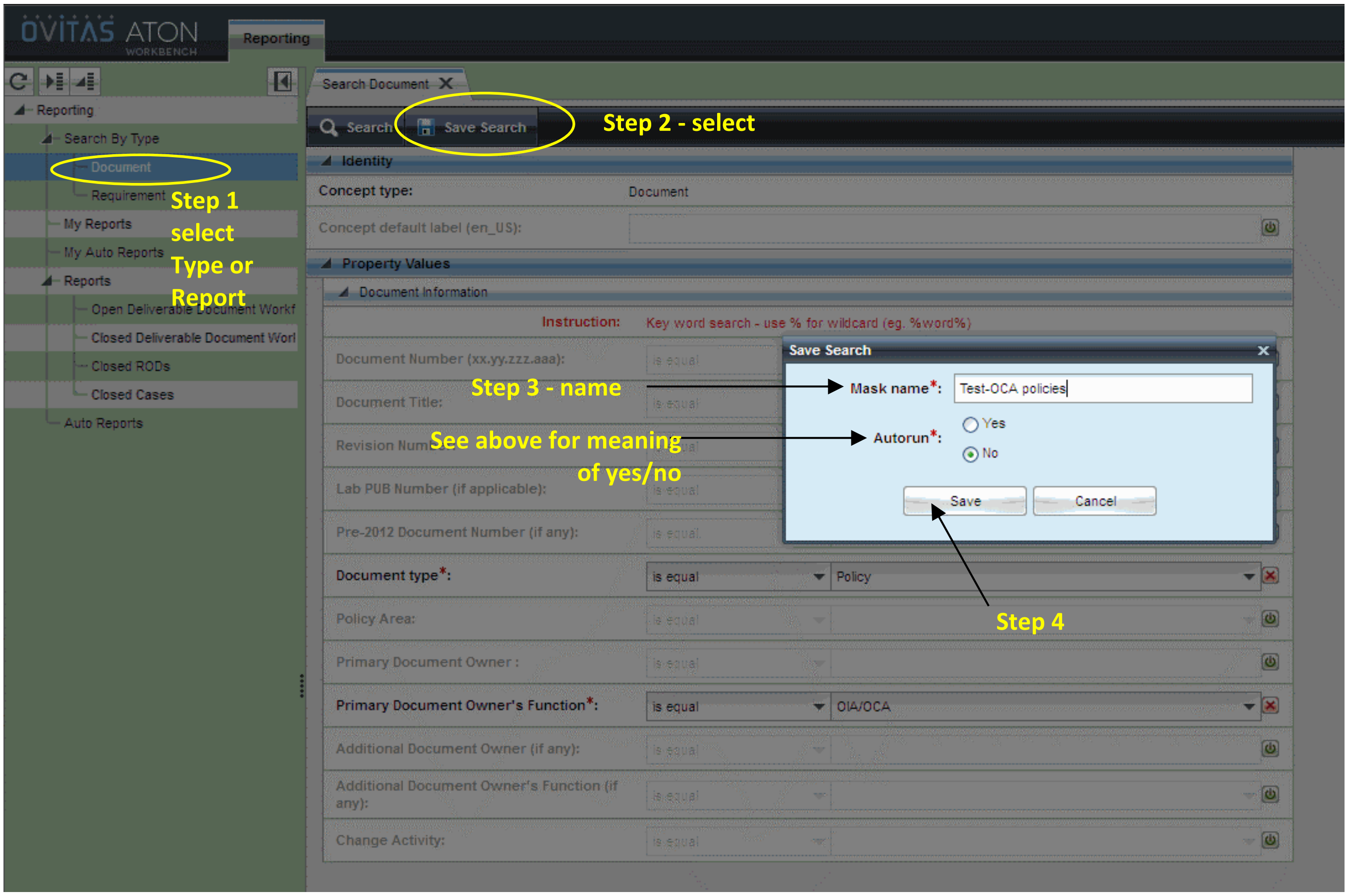
The user of this procedure should know how to log into the RMS database, and have some general knowledge of its screen layout (see How-to #V02). The user should review the Cheatsheet for General Users (#V00) and the RMS definitions to use and search the RMS (#V01). The user should be well practiced searching the RMS (#V03 and #V03A)

IV. Definitions

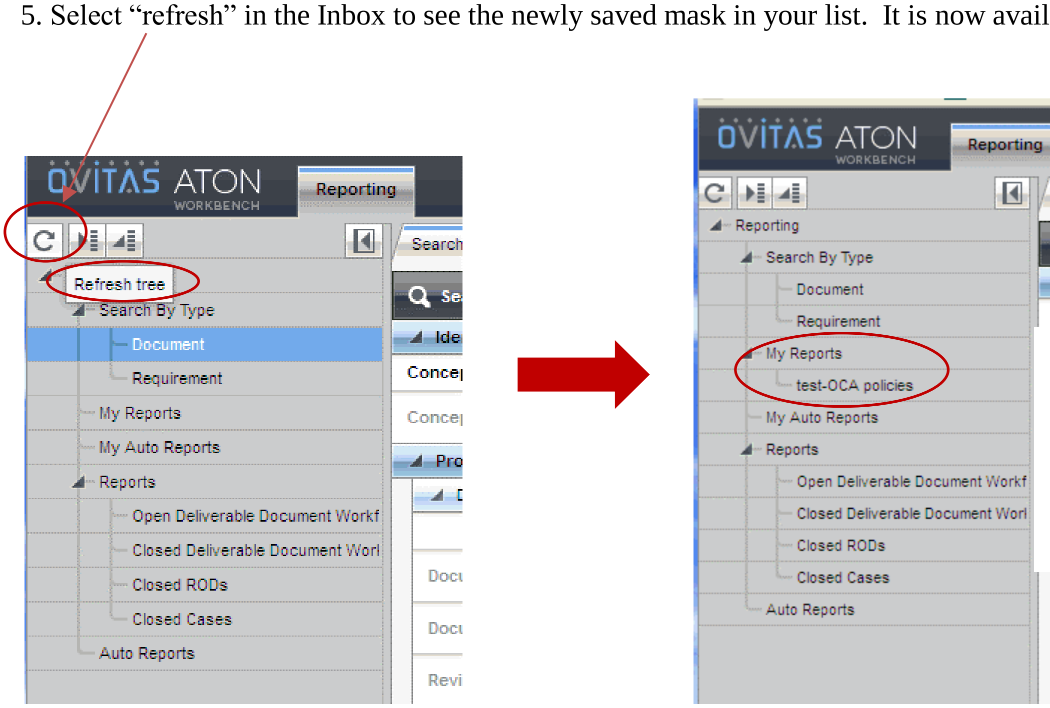
In this procedure, "mask", "filter" and "reports" are used interchangeably. These refer to the search page that enables the user to select values to search.

V. Specific Details

1. Select Concept of interest in Inbox to display a related Search Window.
2. Enter desired filter data. Then select "Save Search".
3. Name the Mask (filter).
   - "Autorun" = "yes" means that when the Mask is selected, it will automatically generate the desired List.
   - "Autorun" = "no" will result in a display of the named Search Mask with the saved field values, and then you have to hit "Search" to generate the List.
4. Save the Mask.



5. Select "refresh" in the Inbox to see the newly saved mask in your list. It is now available for your use!



Note: for this example, Autorun = no

If Autorun = yes, then the saved mask's name would have appeared under "My Auto Reports"

Note: Private Search Masks cannot be shared with others, and individual Users are responsible for managing their own private search masks. Only the RMS Administrator may create shared Search Masks for any or all of the several defined groups of users. These group masks appear under "Reports" and "Auto Reports". See "How-to" #V12 to learn how to delete a Private Search Mask.

VI. Other Related "How-to's for the RMS

- V00 – Cheatsheet for General Users
- V01 – Definitions to Help Use and Search the RMS *[VERY USEFUL!]*
- V02 – Basic Screen Orientation
- V03A – Searching the RMS (video and text)
- V12 – Deleting a Private Search Mask

VII. Revision History

Revision	Date	Who	Description
0	10/5/2012	L.J. Young	Initial
0.1	12/14/2014	L.J. Young	Formalize formatting, update cross--references

V12 Deleting Saved Search Mask

I. Purpose:

This procedure allows User to delete a customized Search Mask that the user created.

II. Who this is for:

General users of the RMS.

III. Prerequisites

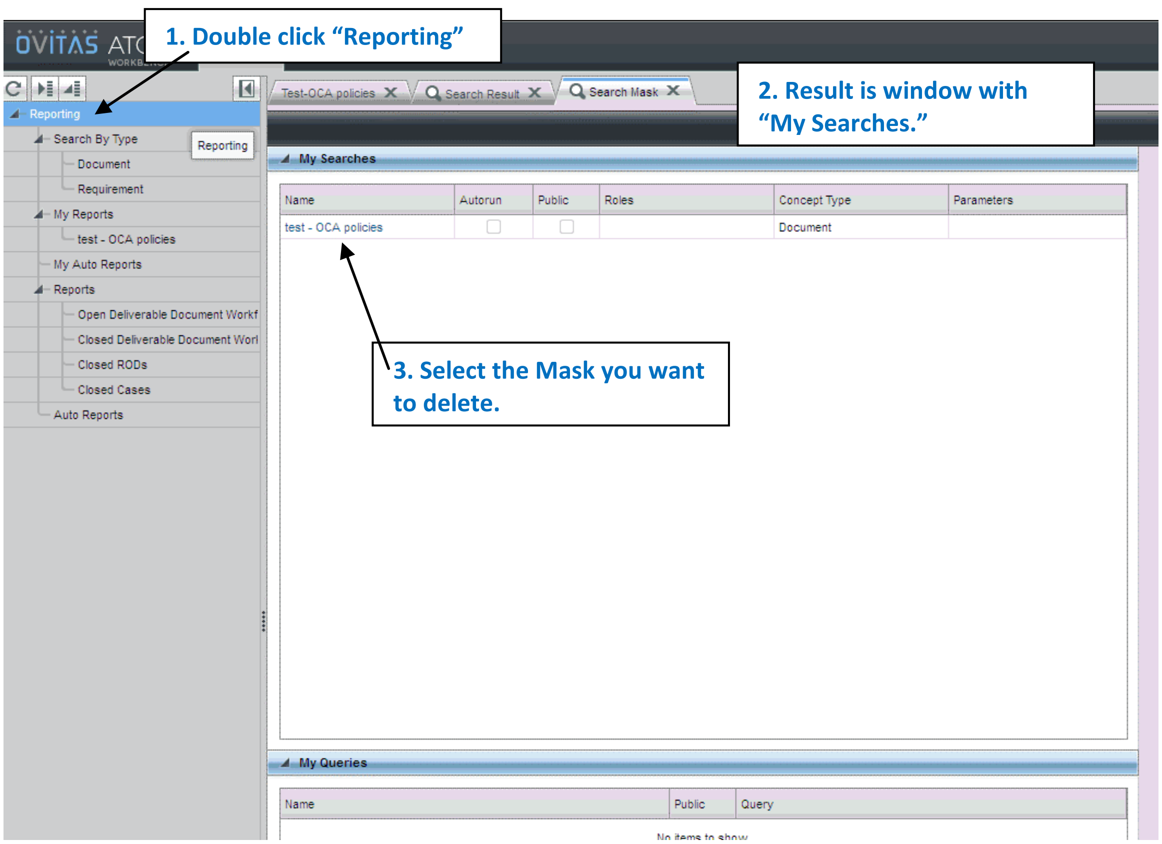
The user of this procedure should know how to create a customized Search Mask (How-to #V11).

IV. Definitions

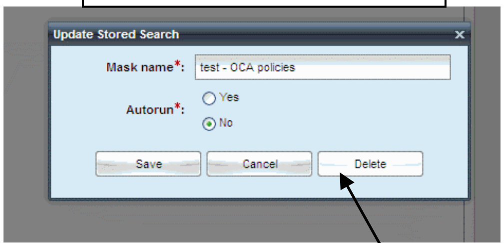
In this procedure, "mask", "filter" and "reports" are used interchangeably. These refer to the search page that enables the user to select values to search.

V. Specific Details

See steps below to delete a Search Mast that you own.



4. Popup window appears



5. Select "delete".
6. Verify deletion by refreshing the Inbox list (at left of screen).

VI. Other Related "How-to's for the RMS

- V00 – Cheatsheet for General Users
- V01 – Definitions to Help Use and Search the RMS
- V02 – Basic Screen Orientation
- V11 – Creating a Private Search Mask

VII. Revision History

Revision	Date	Who	Description
0	10/5/2012	L.J. Young	Initial
0.1	12/14/2014	L.J. Young	Formalize formatting, update cross--references

RMS Training (Search) - 12/3/2012

Goals:
a. Learn how to access and log in.
b. Learn what kind of info is in the RMS.
c. Learn the general screen layout.
d. Learn how to use the search filters to find reqs or doc information

Script:

Task	Hints
1. Access RMS and log in with LDAP	Go to Lab A-to-Z/Requirements Management Program web page. Select Reqs Mgmt System (left list). Select RMS/Database
2. What kind of info is in RMS	(see back of this sheet)

3. Become oriented with screen layout and function.
• Inbox (left panel), select Reports/Lab Policies.
• A list of property filters should appear on the right side. Search All by hitting "Search" button at upper left of this window.
• A list in upper right of screen should appear.
  o Play with sizing of upper right window.
  o Play with sorting lists
  o Try shuffling columns by dragging a selected one to the position you want.
• Select any policy from the list. Its details should appear in the lower right window.
  o Examine the metadata of the selected policy
  o Scroll to bottom of the window to "Associations". These should be the same as the Source Driving Requirements and Implementing Documents listed in the RPM!
	Look at RMS/Intro-How-to #B02, #B03.
	
	Compare to the RPM (go to Lab A-to-Z/RPM).

4. Explore Policy associations in detail. • Under Associations, select an associated Requirement. (Timer is missing - wait 15 to 30 seconds for system to respond). The details of the Req should appear. Examine. • Go back to the Policy tab, and under Associations select an Implementing Doc. Look at its properties.	Look at RMS/Intro-How-to: # B04
5. Search Policies again, but add another filter property.	• Left panel, Reports/Lab Policies • Enable another filter property by hitting green button, and enter search info. Use as little as possible, and use wildcard symbol % before and after.
6. Search Requirements. • Search for <u>DOE Order 232.2</u> (Occurrence Reporting), <u>Order 414.1D</u> (Quality Assurance) or <u>10 CFR 851</u> (Worker Safety and Health)	• Left panel, Reports/ Requirements (active, non-deliverables). • Enable another filter property to pinpoint one of the suggested reqs.
7. Examine properties (especially Associations) for one of the above requirements. • Does the req have associated Cases or RODs? Take a look.	
8. Generate a report for the selected requirement. • Find all the reqs and docs associated with the selected requirement.	• Select Generate Report button, select Assoc Reqs and Docs.

What's loaded in the RMS database (12/3/2012)

In general - completed RPM policies, scheduled deliverables:
- All OCA, PAD, IT, OCFO
- 20 HR policies' worth (out of 80)
- 28EHS policies' worth (out of about 80)
- 14 RIIO policies' worth (out of 20)
- 0 Facilities
- 0 Tech Transfer

Loading more on rolling basis - so more to come!

DE01 Definitions for Deliverable Owners.

A. Purpose:
This document provides definitions important for Deliverable Owners

B. Who this document is for:
Persons with RMS permissions to close deliverable instances in RMS.

C. Definitions
Completion of deliverables is tallied in the RMS by way of a workflow (wf). Persons responsible for Contract 31 Deliverables will have open items listed in their Inboxes. They will be notified 60 days and 30 days prior to the due date. They will be notified 30 days after the due date, if the wf is not closed.

Term	Definition
As-required deliverable	This is a deliverable that is submitted only if triggered by the circumstances as defined by the specific requirement.
Deliverable	A deliverable is any measurable, tangible, verifiable outcome, product, result, or item that must be submitted to and/or approved by DOE or other customers to satisfy a requirement under the terms of an agreement, contract or implementing mechanism. These include but are not limited to reports, plans, inventories, inspections, assessments, documents, procedures, programs, data, etc. An assessment is the process by which an organization, team, or individual evaluates its performance, compliance, and effectiveness compared to established expectations, such as goals, requirements, procedures, instructions, or other applicable documents. The RMS has the capability to track deliverables to customers other than BSO/DOE, though the Contract 31 deliverables dominate. DOE/BSO defines the due date and sets expectations for the content of Contract 31 deliverables.
Due date	This is the last day that the deliverable must be submitted by the owner. For those that are submitted to BSO, it is understood that BSO counterpart may likely take longer to review and tally the item in the BSO database.
Lab POC (Point-of-Contact)	The Lab or UCOP person assigned responsibility for a particular Contract 31 deliverable. This person must make sure the deliverable is submitted directly to the BSO counterpart on time. This person must notify RMC Representative and/or the RM Program Manager if his/her role changes.
LBNL/BSO ID number	This is a number that has been assigned to the parent deliverable requirement. This number plus the due date uniquely define a scheduled deliverable.
RMC	Requirements Management Committee. See roster at http://www.lbl.gov/DIR/OIA/OCA/reqs-mgmt-prog-members.html
RMC Representative	A member of the RMC.
RMS	Requirements Management System database
Scheduled deliverable	This has a fixed frequency (for example, annual) and a fixed due date (for example, September 15). The date and frequency for Contract 31 items are set by BSO/DOE.

IMPORTANT:

- The Lab POCs are responsible for submitting their deliverables DIRECTLY to their respective BSO counterparts, and are expected to tally completion in the RMS database only after submission to BSO.
- The Lab POCs are required to mark any and all correspondence with the citation information as mandated by Contract 31, Section D.2, " Marking".
- The RMS does NOT send the deliverables.
- The tally by BSO is the one that counts.
- The RMS enables the Lab to manage itself.

D. Other Related Procedures:

- DE01 – Orientation: Deliverables Screen Layout, workflow buttons
- DE03 – Selecting a Deliverable Instance with Scheduled Due Date
- DE04 – Selecting an As Required Deliverable Instance
- DE05 – Closing a Submitted Deliverable in RMS
- V03A – Searching the RMS
- V01 – Definitions to Help Use and Search the RMS

G. Revision History

Revision	Date	Who	Description
0	12-3-2012	L.J.Young	Initial
0.1	12-7-2014	L.J.Young	Formalize, format

DE02 Screen Orientation (Deliverable Owners)

A. Purpose:

This document describes RMS screen and buttons that are important for Deliverable Owners

B. Who this document is for:

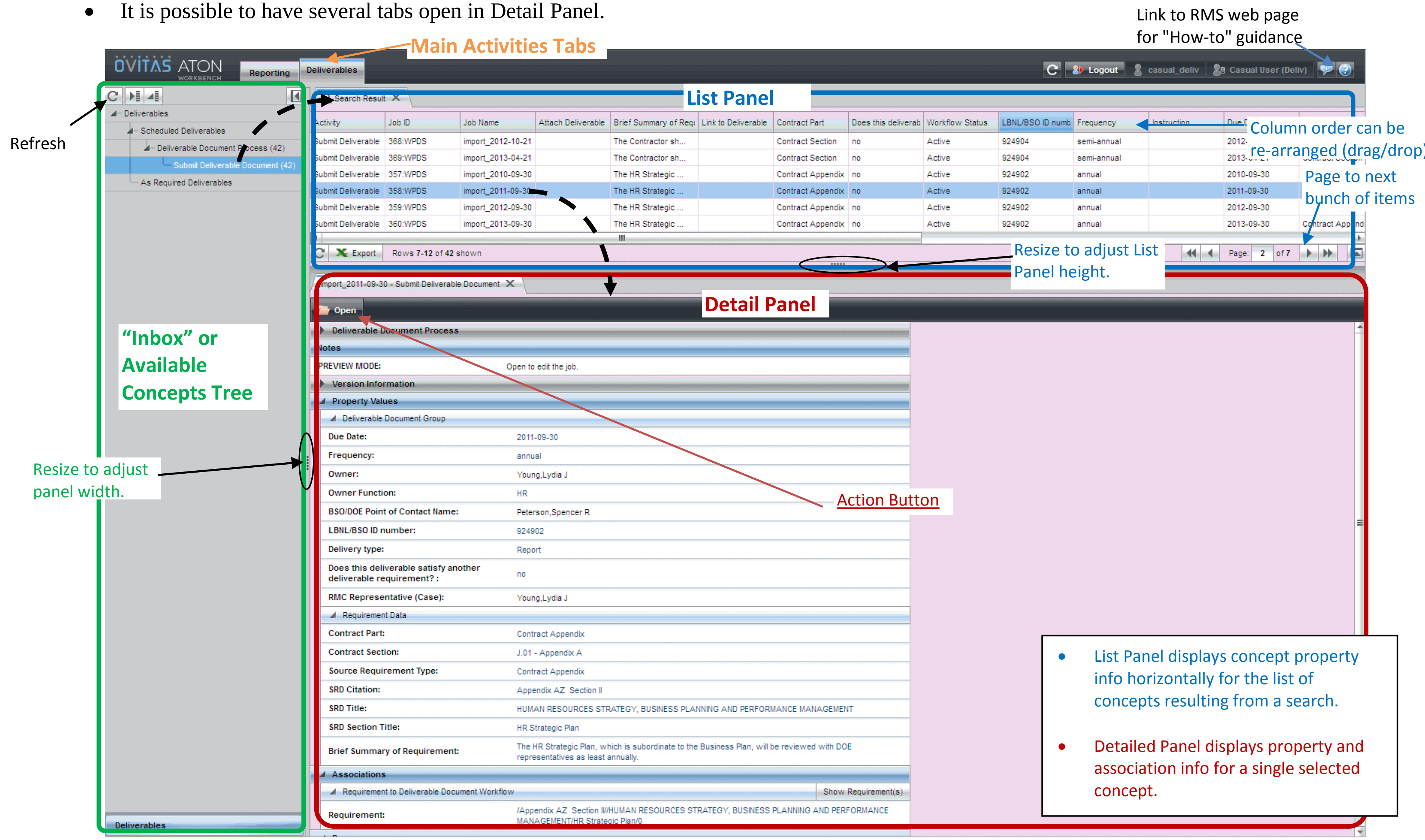
Persons with RMS permissions to close deliverable instances in RMS.

C. Pre-Requisites

Users of this document should know:

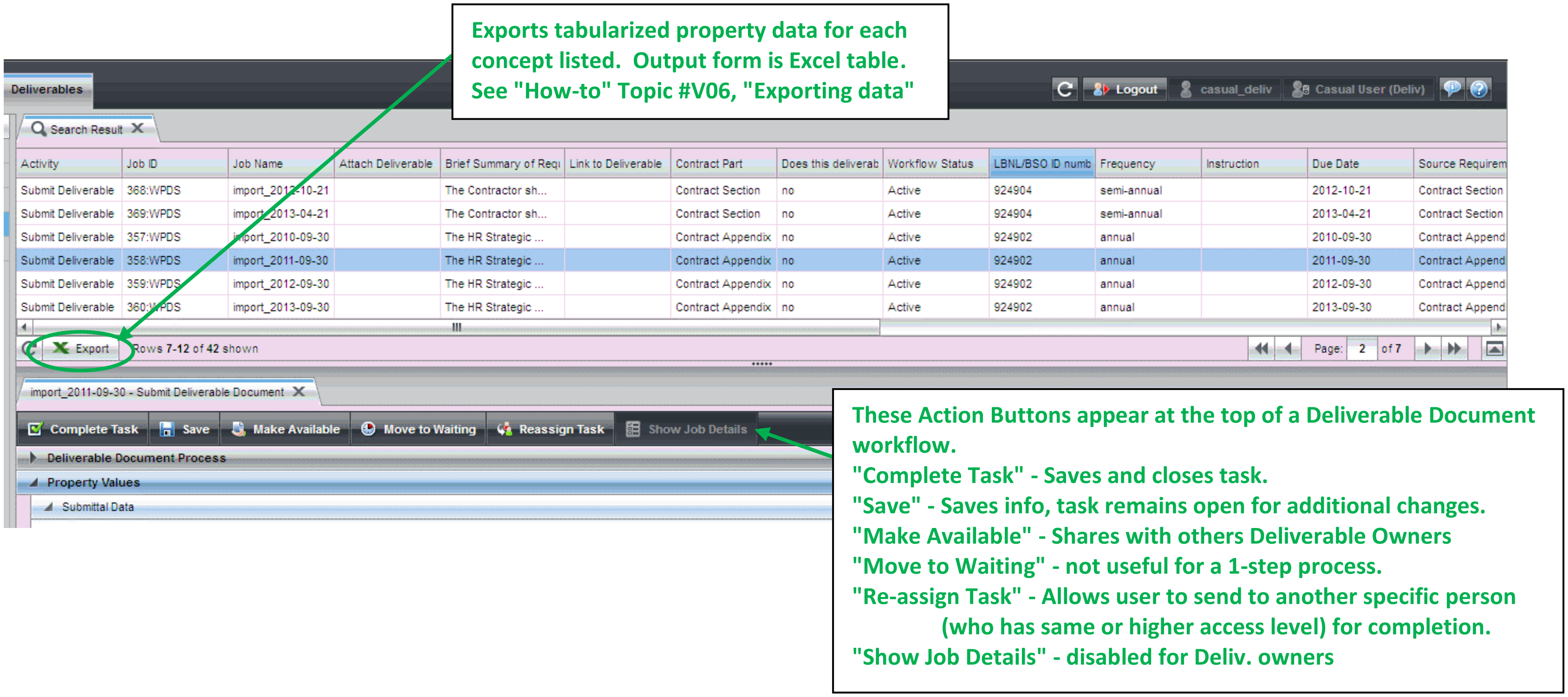
- Basic definitions to use and search the RMS (How-to Procedure #V01, V02)
- How to search the RMS (How-to Procedure V03A)

- Deliverable Owners have two Main Activities Tabs: Reporting and Deliverables. "Reporting" is identical to the one described in Read-Only How-To instructions (V02). For either tab, the screen is divided into three areas of increasing levels of detail: from Inbox to List Panel and finally to Detail Panel (clockwise pattern). Most actions will move from Inbox to List to Detail.
- It is possible to have several tabs open in Detail Panel.



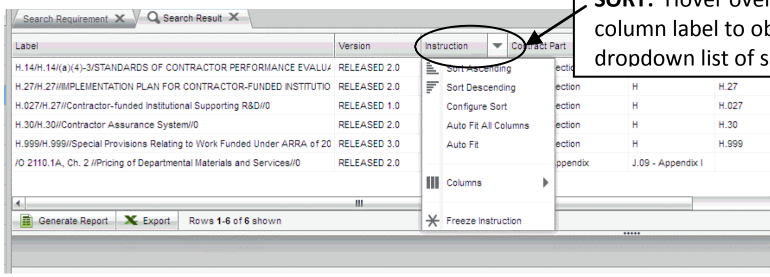
Action Buttons (Deliverable Owners)

(See How-to V02 for Reports buttons)

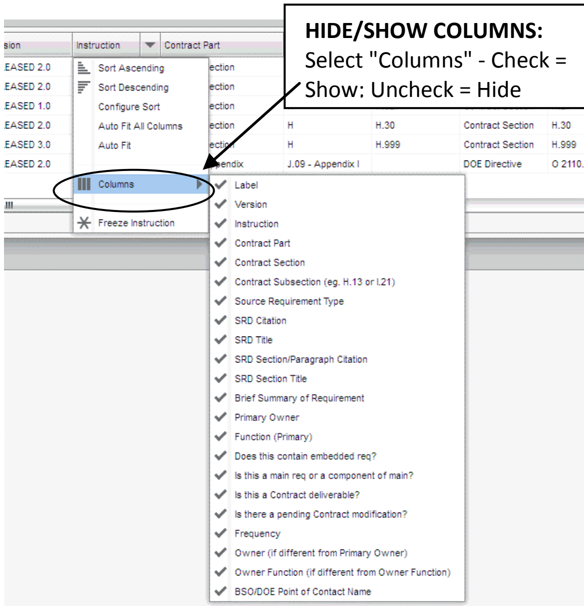


Adjusting Screen Views

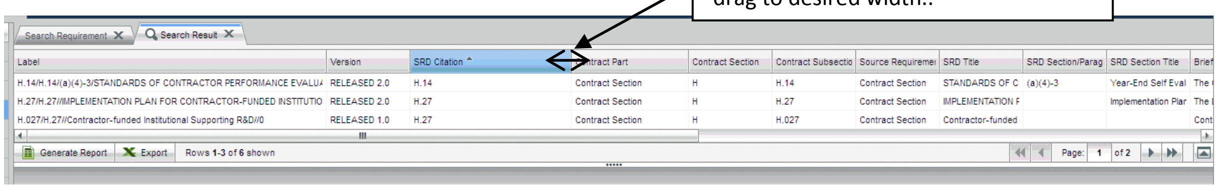
SORT: Hover over right side of column label to obtain dropdown list of sort options.



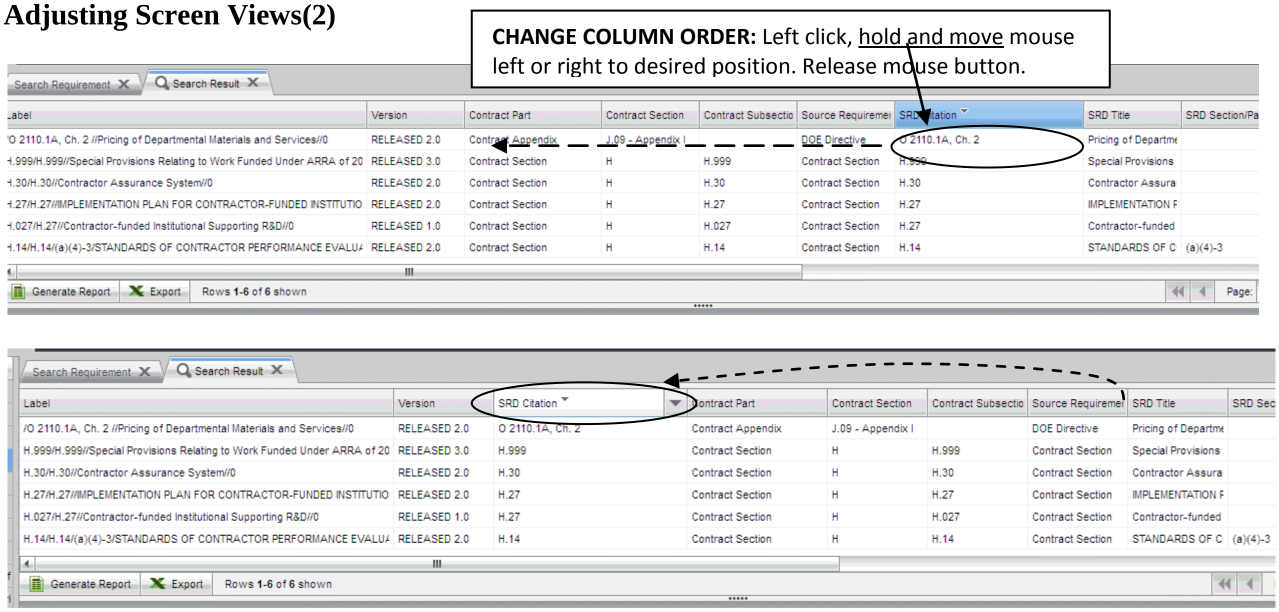
HIDE/SHOW COLUMNS: Select "Columns" - Check = Show: Uncheck = Hide

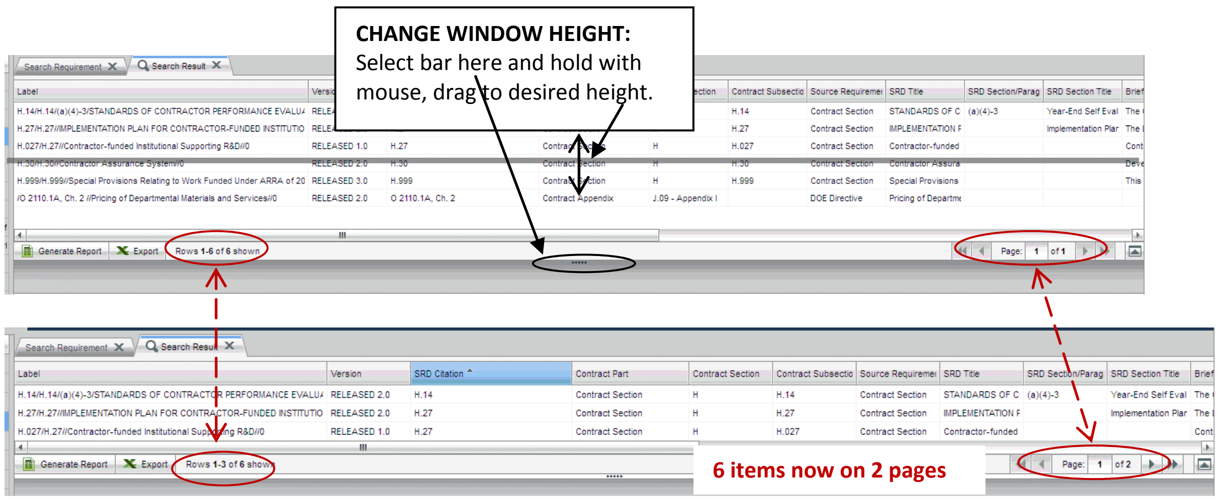


ADJUST COLUMN WIDTH: Hover over column right boundary, click, hold and drag to desired width..



Adjusting Screen Views(2)





G. Revision History

Revision	Date	Who	Description
0	12-3-2012	L.J.Young	Initial
0.1	12-7-2014	L.J.Young	Formalize, format

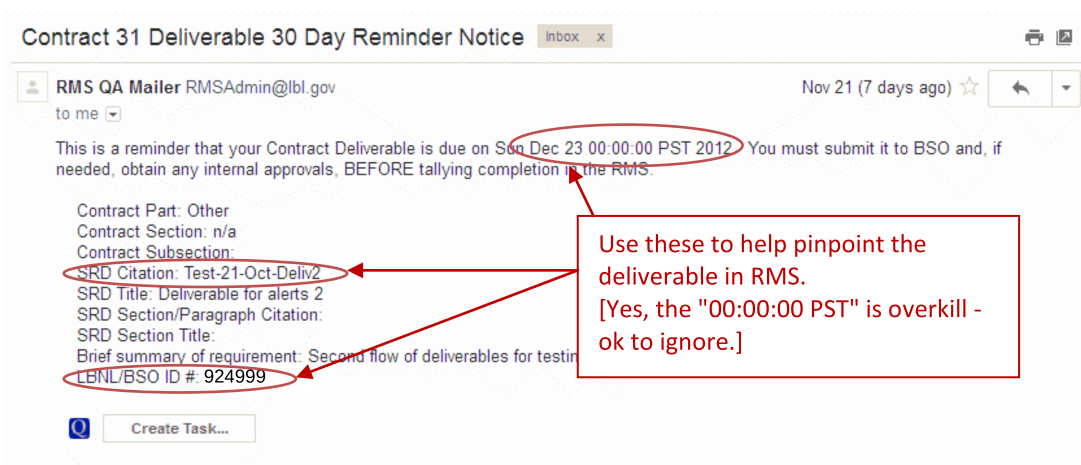
DE03 Select and Submit a Deliverable Doc with Scheduled Due Date

A. Purpose:
This document provides definitions important for Deliverable Owners

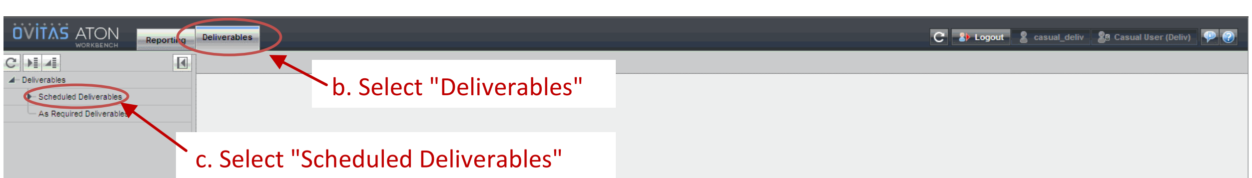
B. Who this document is for:
Persons with RMS permissions to close deliverable instances in RMS.

C. Prerequisites:
Users of this procedure should know also:
- Basic RMS definitions (How-to V01, V02)
- How to search the RMS (V03, V03A)
- Definitions specific to deliverables (DE01)
- Screen layout specific to deliverables (DE02)
- Closing a Submitted Deliverable in RMS (DE05 – video)

D. Procedure
1. Selecting the correct deliverable instance for closure.
    a. Look at the reminder/alert that you receive.
    b. Find the SRD citation, the due date and the LBNL ID#.



2. Close a submitted deliverable instance
    a. Log into database with LDAP info.
    b. Go to "Deliverables Tab".
    c. Select "Scheduled Deliverables"



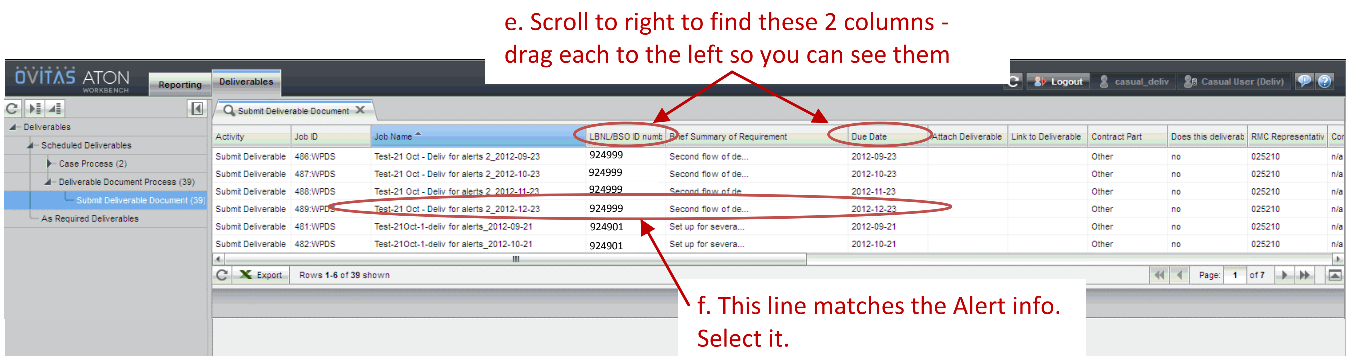
d. A list of the Scheduled Deliverables that are in your Inbox results.

e. Using the info from the Alert, identify the Deliverable of interest.

   i. Look for columns "LBNL/BSO ID Number" and "Due Date". You may have to shuffle them to appear at towards the left of the table.

   ii. Step through the list to find the number and due date. Note you can re-order any column (ascending, descending).

f. Find the correct deliverable instance in the list. Select it.



g. Details of the line item appear as shown. Review the info to make sure it is indeed the one of interest. If it is, select "Open" to continue. If it is not the right one, then go back to step (e).

h. Enter Delivery Date (hit green button to activate)

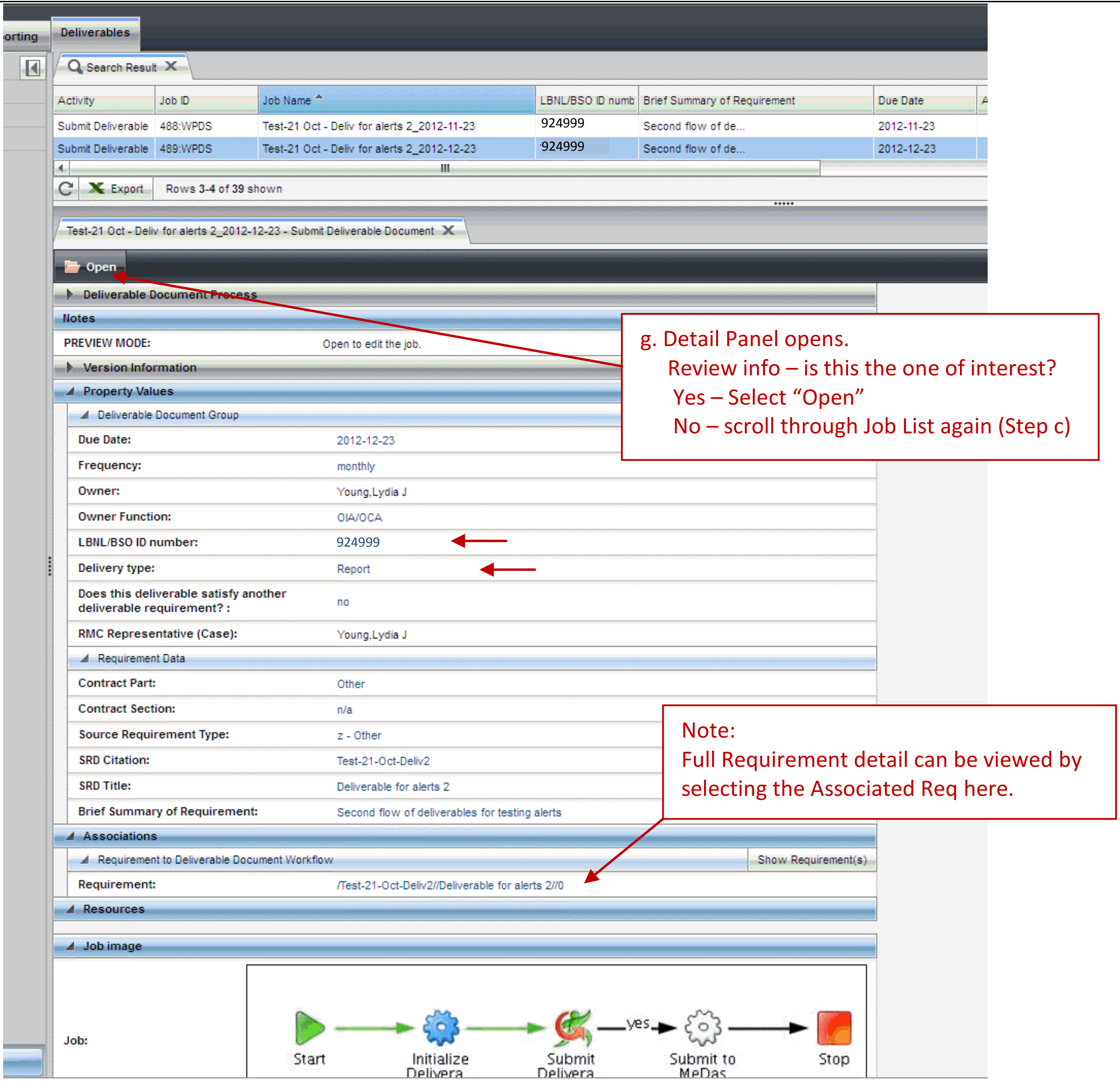
i. (Optional) Add comments (activate by clicking green button). 450 character limit.

j. (Optional) Link and/or attach items (activate by clicking green buttons). 3MB file limit to attach.

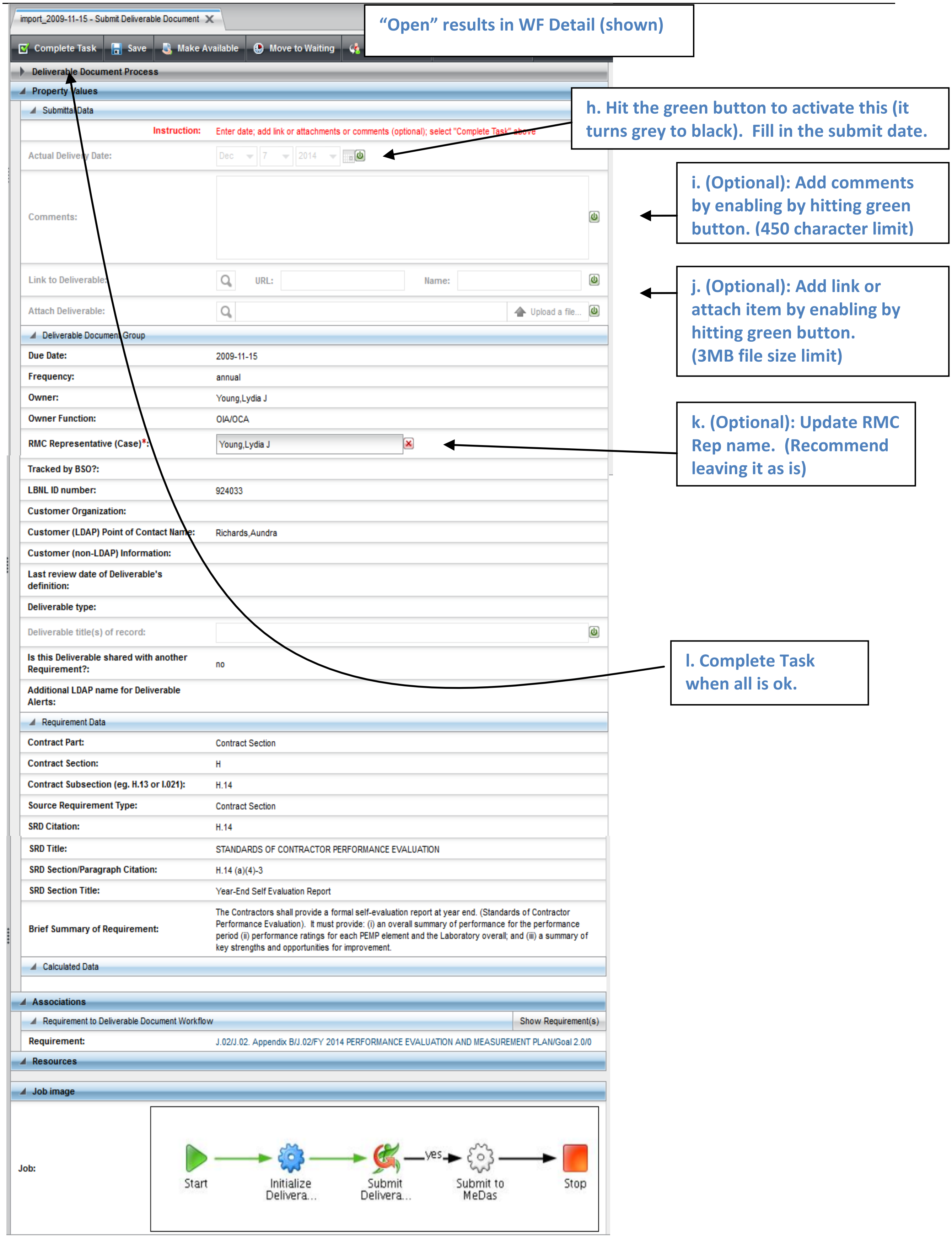
k. (Optional) Change RMC representative if not current.

l. Select “Complete Task” when information is entered. Deliverable instance is now closed. Owner, persons named as “additional”, the RMC rep, and the RM PM will receive notification of completion.

DE03 Selecting a Deliverable Instance with a Scheduled Due Date



DE03 Selecting a Deliverable Instance with a Scheduled Due Date



E. Revision History

Revision	Date	Who	Description
0	12-3-2012	L.J.Young	Initial
0.1	12-7-2014	L.J.Young	Formalize, format

DE04 Select an “As Required” Deliverable

A. Purpose:
This document explains how to select an “as required” deliverable.

B. Who this document is for:
Persons with RMS permissions to close deliverable instances in RMS.

C. Prerequisites:
Users of this procedure should know also:

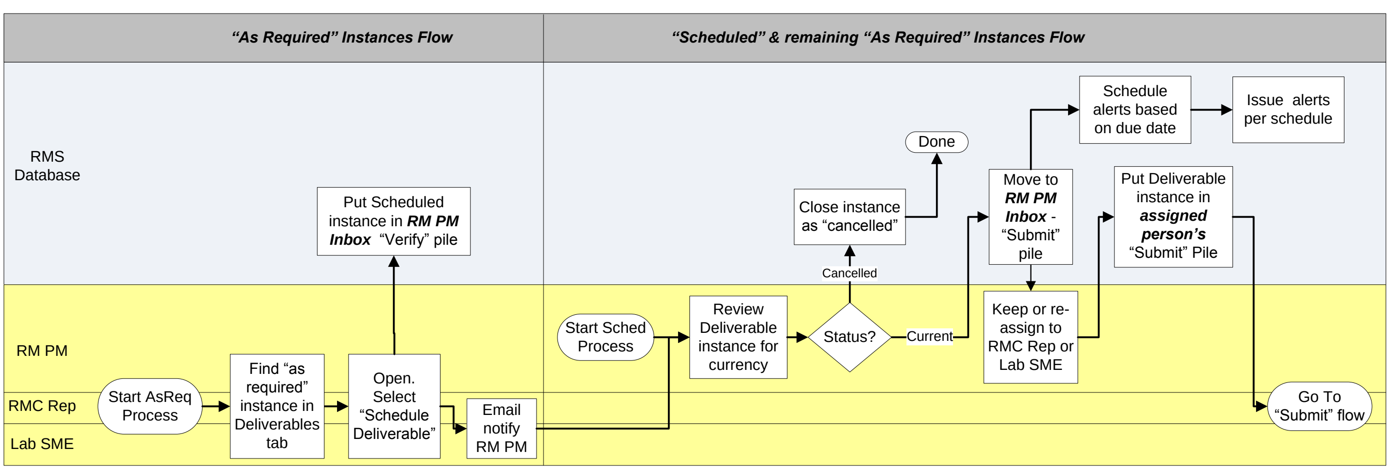
- Basic RMS definitions (How-to V01, V02)
- How to search the RMS (V03, V03A)
- Definitions specific to deliverables (DE01)
- Screen layout specific to deliverables (DE02)
- Closing a Submitted Deliverable in RMS (DE05 – video)

D. Procedure
Since “as required” means that there is no specific due date, the first step is for the Lab SME (or RMC rep or RM PM) to “schedule” the deliverable.

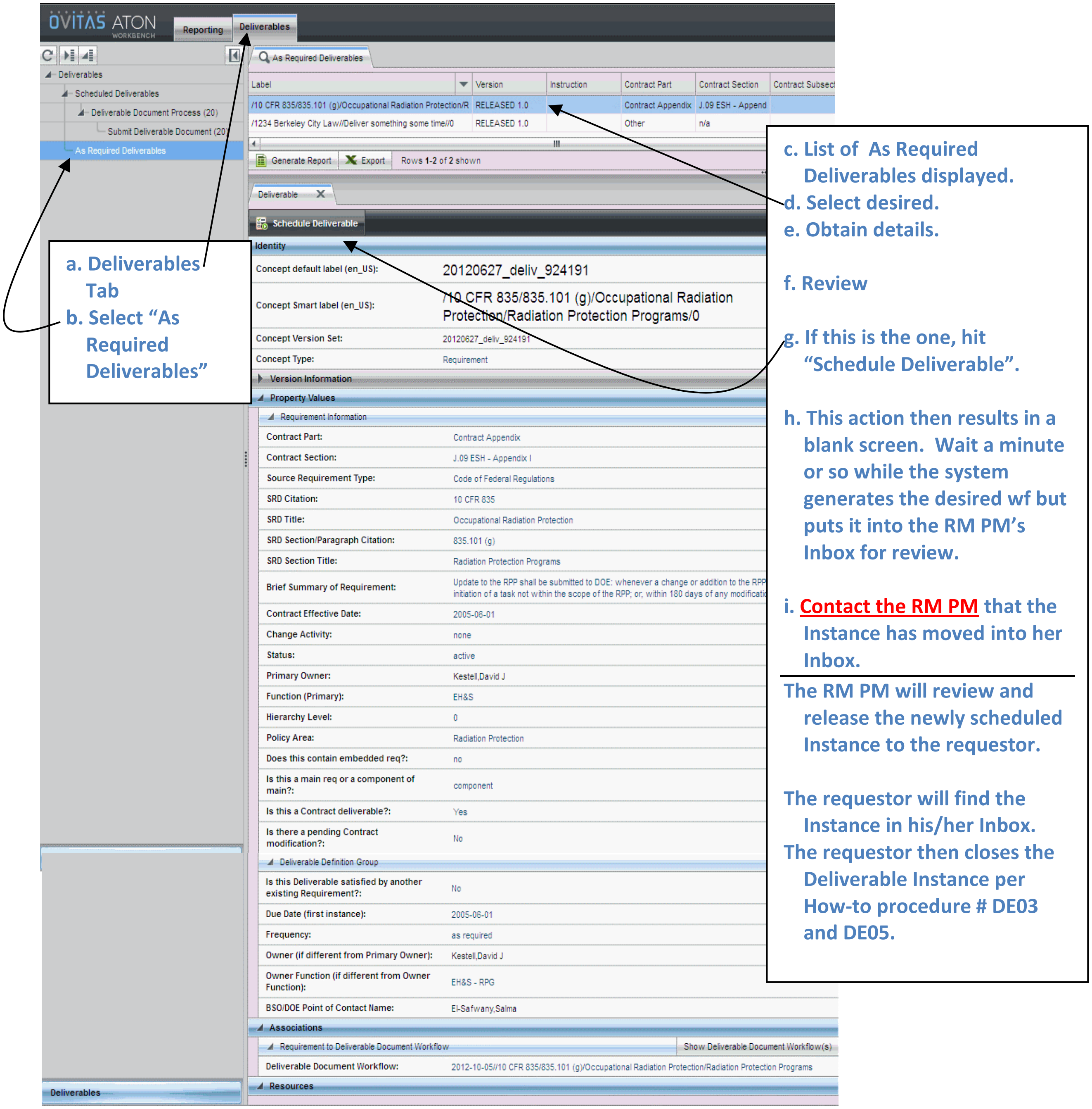
Once scheduled, then a workflow instance is placed in the RM PM’s Inbox. The Lab SME or RMC rep must notify the RM PM that an “as required” deliverable has been scheduled. The RM PM then reviews, moves it forward to a “submit” state and reassigns the instance to the Lab SME or RMC rep. The process to close the newly scheduled workflow is the same as for “fixed schedule” workflows (See How-to # DE05).

The process flow is illustrated in the swim-lane diagram below.

[The reason for the RM PM having to intercede is due to an architectural complexity. How-to procedure AD00 explains.]



The screenshot below illustrates where to find the "As Required" pile of deliverables (Deliverables Tab). Follow the sequence indicated in the diagram.

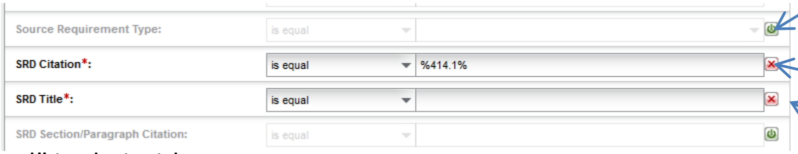


G. Revision History

Revision	Date	Who	Description
0	11-8-2014	L.J.Young	Initial
0.1	12-7-2014	L.J.Young	Formalize, format

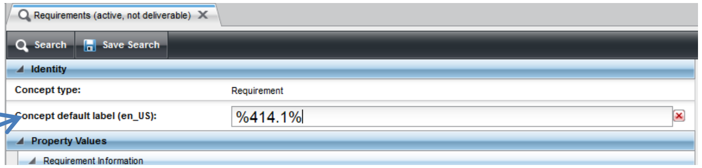
RMS SEARCH CHEAT SHEET
for RMC Reps
rev. 12/3/13

Search Features/Hints



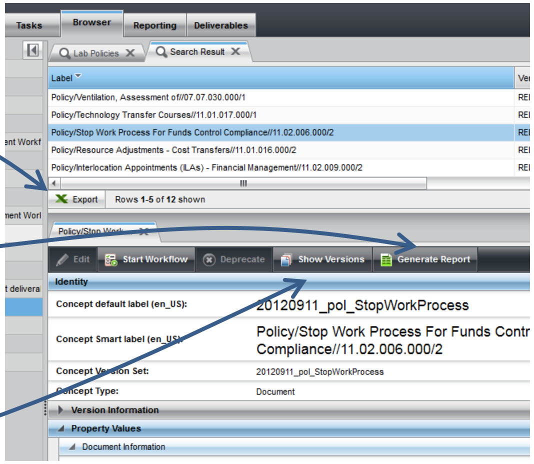
Filters:

1. Activate a filter by clicking green button at right.
2. Wildcards – bracket using %
   Examples: %Travel% in doc title will yield forms & policy with "Travel" in their title
   %200.% in req citation will yield O 200.1A (the order itself and a deliverable)
   But note - %200% in req citation will yield O 200.1A and 37 other items.
3. Be sure that all non-wanted filters are disabled (red → green button)
4. Multiple filters result in "AND" of the selections. The App's search capabilities don't allow "NOT" or "OR".
5. Label is a concatenation of SRD/DocTitle, Citation, Doc Number, SRD Section – ok to try searching there with %, particularly if you aren't sure in which field your desired word belongs
6. There's a way to save your favorite Search mask (i.e. combination of filters) – Contact me if you want to do this.



Export

1. Lists of search results can be exported.
   For example, Policies with Next Review Dates between Oct 1, 2013 and Dec 31, 2013



Association Trees

1. For a given Req or Document, "generate associations" button provides a visualization of all relationships hierarchically below the given item. So for a Doc, you can get the list of associated supporting documents and any supporting requirements, but you won't see the driving requirements. If instead you search and select a Driving Req, everything below it hierarchically will be shown.

Req or Doc previous history via "Show Versions"

1. Bring up detail pane for the doc, req, ROD, etc. of interest.
2. Select "Show Versions"
3. Resulting list will include Work levels as well as Released levels. Select any of the Released levels. Compare differences between (for example, note publication dates or revision number or owner….)

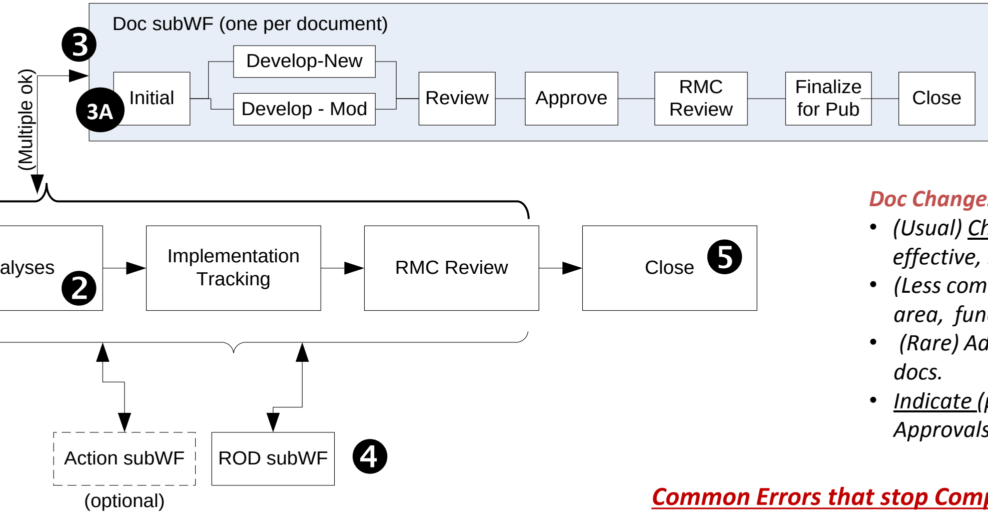
RMS WorkFlow CHEAT SHEET for RMC Reps

11/28/2012, rev. 12/3/13

Minor → Revision Change → Case <u>must be</u> filed (to update the doc metadata)

- Usually Significance = C, D, E
- Per RPM definition – no change in policy meaning
- RPM Rep approval could be sufficient.

Case = "project" for updating Doc info, and/or capture project info (analyses, plans, RODs). There are distinct approvals for the "project" and for the "docs". Docs are subject to major/minor/editorial. The "projects" or Cases are guided by Significance Rating (A →E).



Doc Changes to match published doc:

- *(Usual) <u>Change</u> revision, publication, effective, next review dates*
- *(Less common) Change owner, policy area, function*
- *(Rare) Add/remove SRD or supporting docs.*
- *<u>Indicate</u> (preferred) or attach Approvals for <u>this</u> doc's changes.*

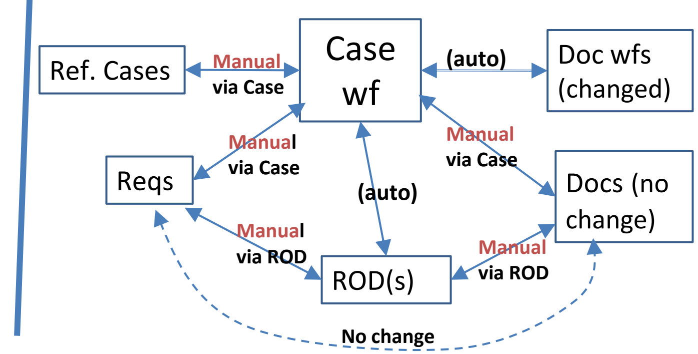
<u>Common Errors that stop Completion of task.</u>

- Forgot to fill in mandatory * property.
- Forgot to check the right Status radio button ("OK to proceed")
- Typed a value instead of using dropdown selections.

1	• Enter the info and "Complete". Do NOT "Start WF" in this step.
2	• Enter all info regarding the Case here. The * means the field is mandatory (no blank!) • Can optionally add associated docs, reqs, or prior cases at the bottom of the screen. • To skip "Implementation Tracking" step, be sure to set "Implementation" = Not required • ***Before starting any Doc or ROD wfs***, "Save" the Case A/P step. Then close the Case tab to minimize confusion while working on the other wfs. • Case Approvals for the "Project", not the doc! Prefer electronic ok or link.
3 4	• Optional – to modify Document Metadata or add a new Document set of data, or to open a ROD/Action • Start WF → Job = Action/ROD or Document.
3A	• To MODIFY a doc, in <u>Initial</u> step, Search/find the existing doc (activate "related doc", Search, filter, Choose Link), then Complete. • To CREATE A NEW doc, in <u>Initial</u> step, hit Complete to move to Develop-New
4	• To link the ROD to a specific document(s) or requirement(s), you must add the item under the Associations sections. (Activate the related item, hit search, find the item, choose link). If you don't set up the association, the ROD only knows about its Case. **See diagram →**
5	• Before closing Case, refresh the information and check to see that all sub-WFs indicate "complete". Any that say "active" must be closed before the Case can close.

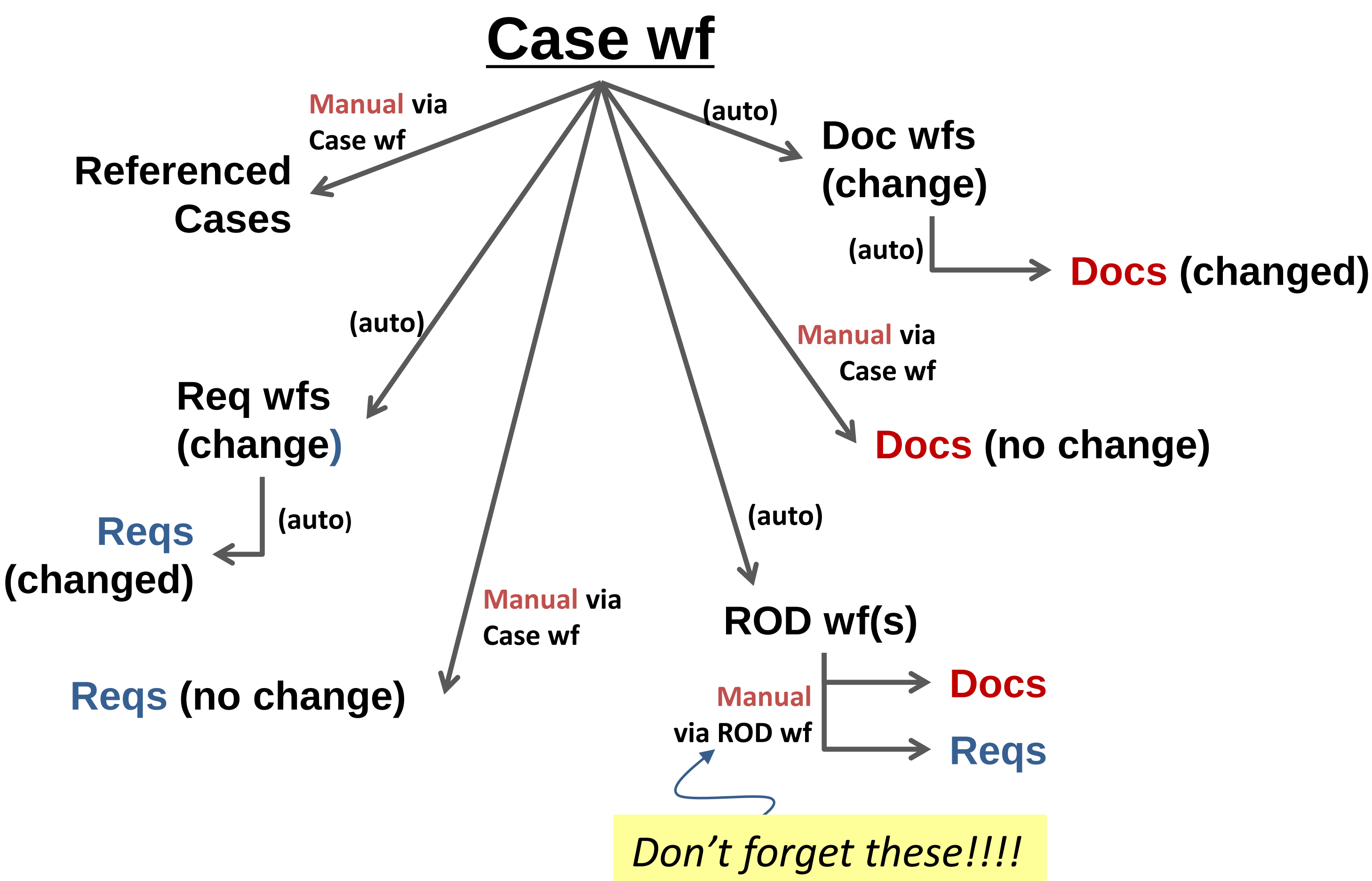
Setting Up Associations (Relationships)

(see Case Association slide)



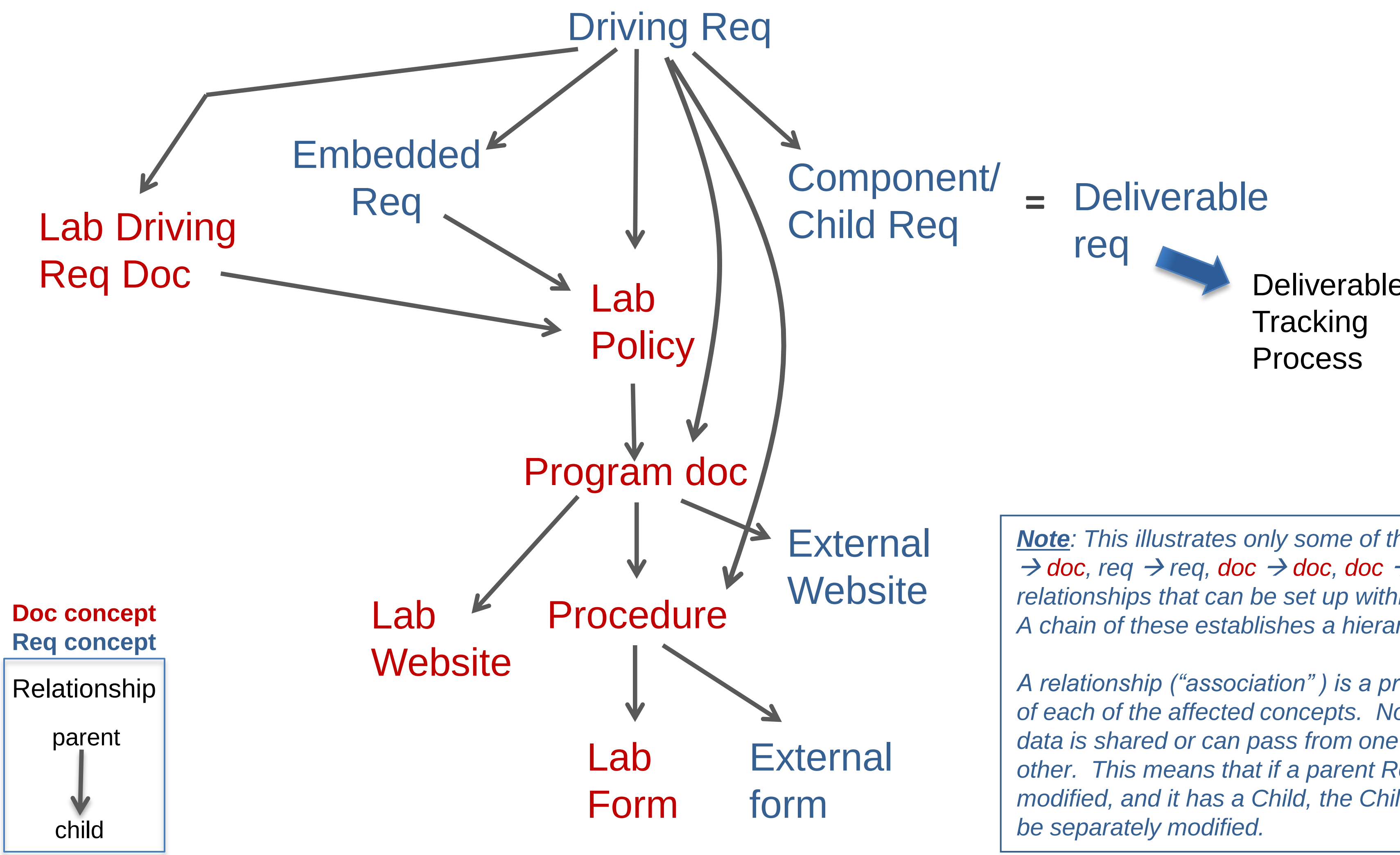
Case Associations Capture Change Histories

But some of the Associations must be set up manually!!!



"Manual" setup of association: Go to "Associations" header (at bottom of any wf). Activate field by hitting green button. Hit "search", find, and then "choose" to upload into wf.

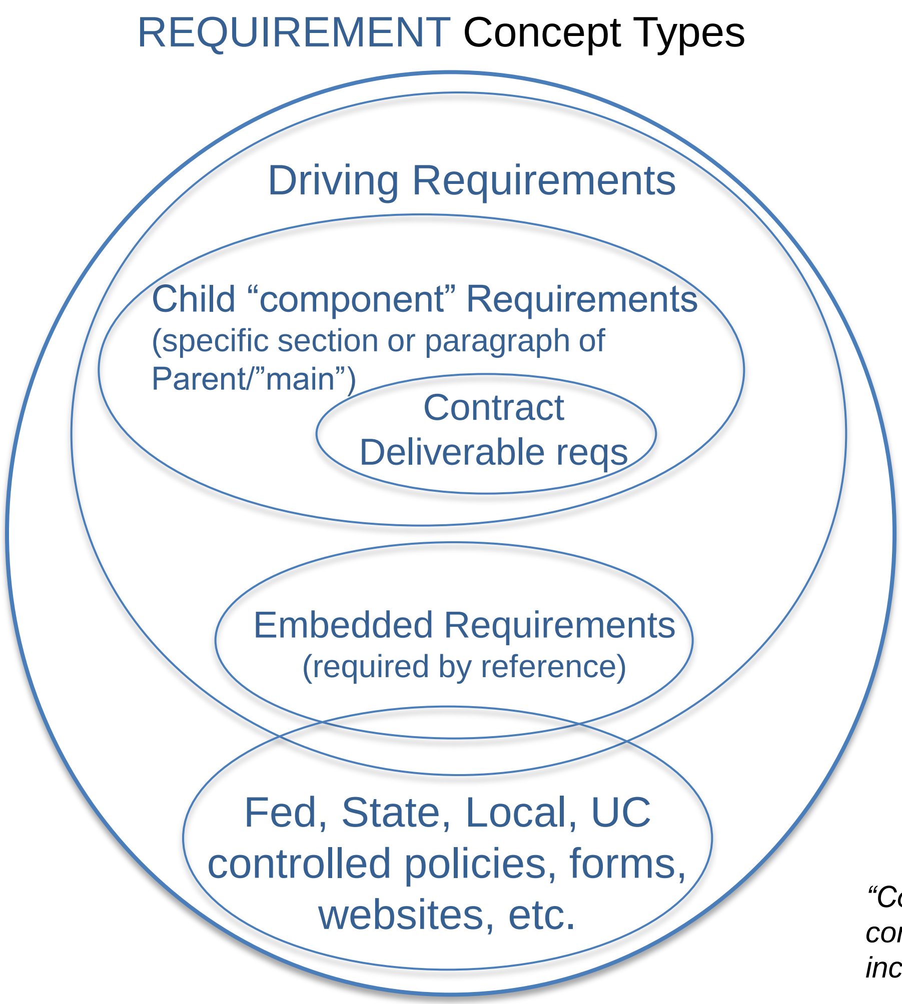
RMS Data Relationships: Some possibilities

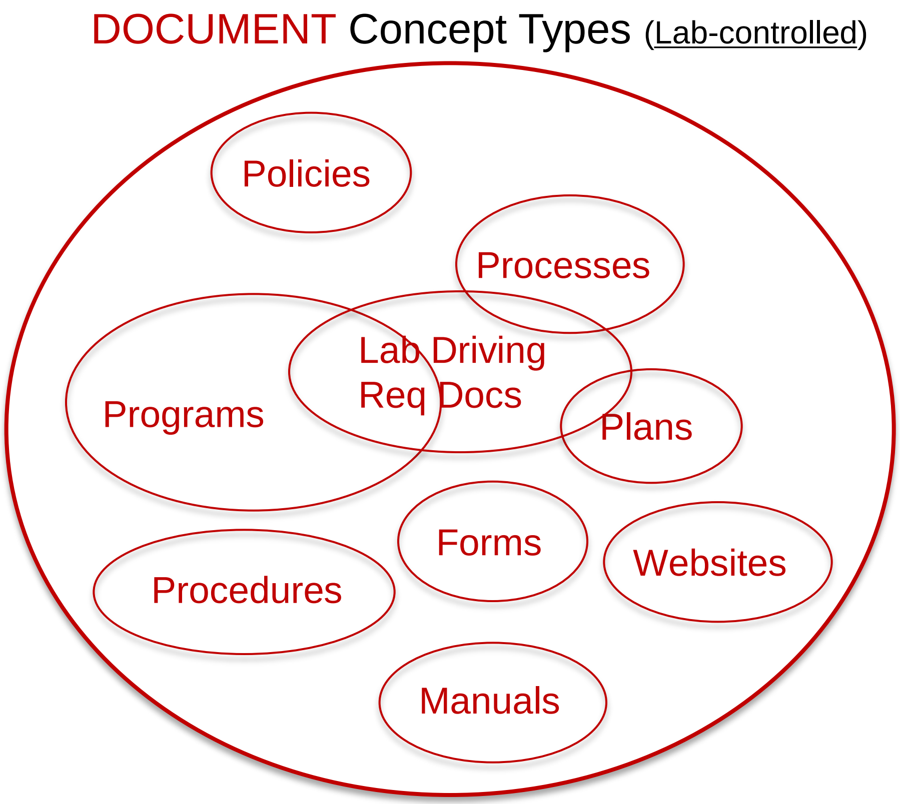


Note: *This illustrates only some of the req → doc, req → req, doc → doc, doc → req relationships that can be set up within RMS. A chain of these establishes a hierarchy.*

A relationship ("association") is a property of each of the affected concepts. No other data is shared or can pass from one to the other. This means that if a parent Req is modified, and it has a Child, the Child must be separately modified.

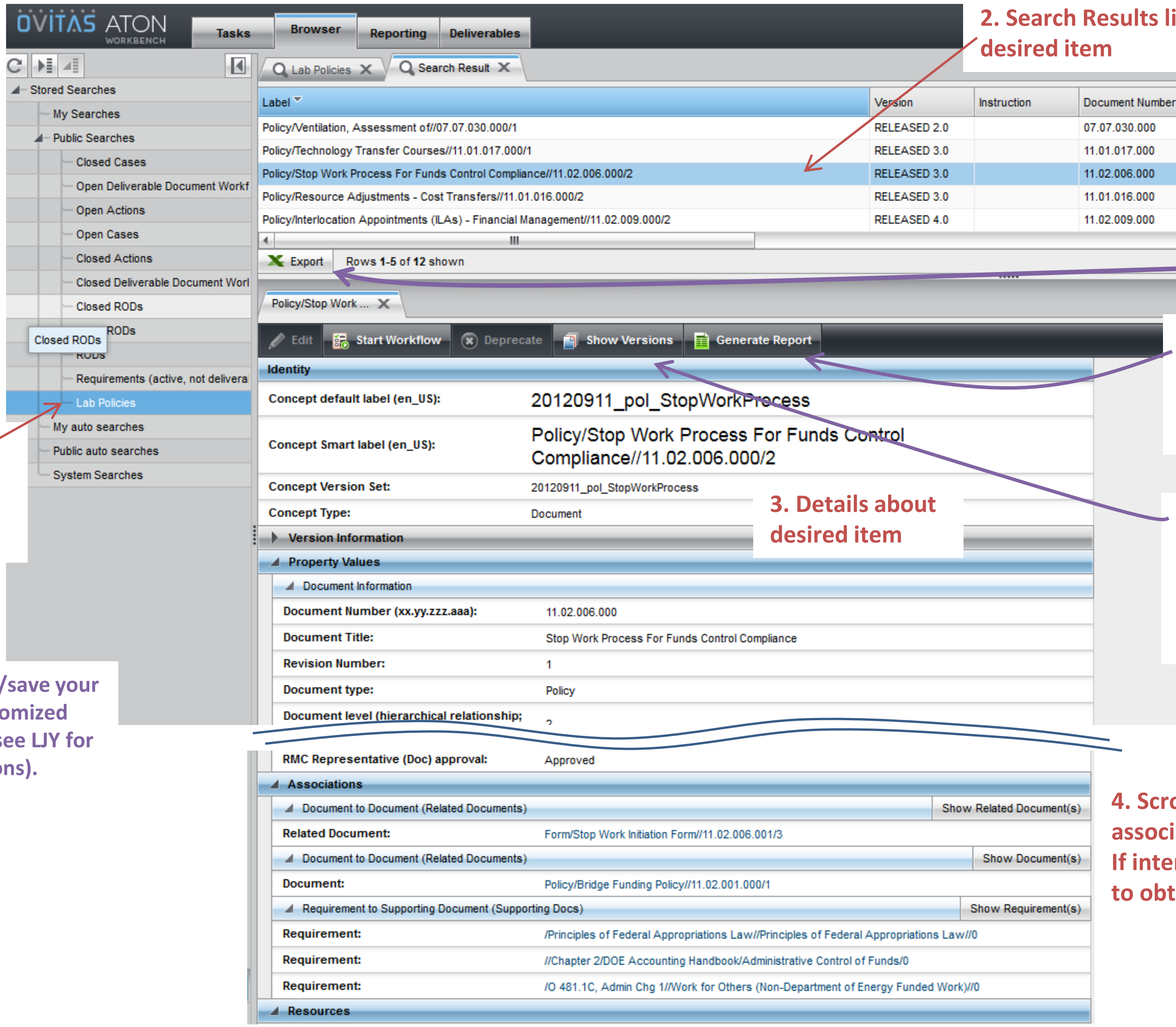
RMS Data Definitions:
Requirement and Document Concept Types





“Concept”: An object that is stored in RMS. It is comprised of properties (title, date, owner, etc.) which include designated relationships (associations)

RMS Screen Orientation (RMC Reps)



1. Select "concept type" from list

2. Search Results list: find, select desired item

3. Details about desired item

4. Scroll to bottom to find associations for this item. If interested, select any item to obtain its details

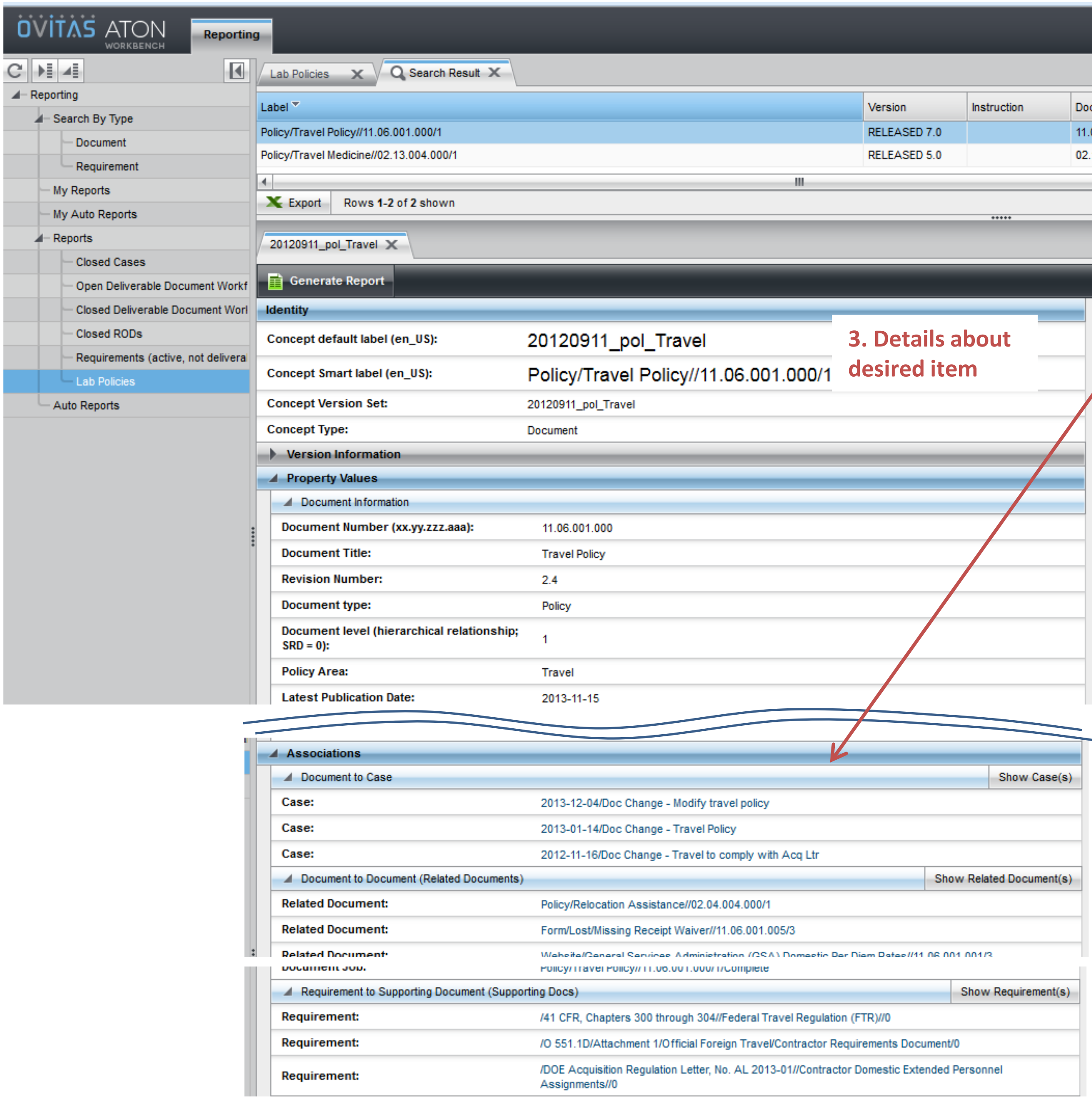
5. Export to Excel the Search Results

6. Generate associations report ("doc tree") for this item.

7. Find History (previous released versions) of the item. [See other Tips slide for more on this.]

8. Create/save your own customized Search. (see LJY for instructions).

Example of the many possible Associations



4. Scroll to bottom to find associations for this item.

Note associations include

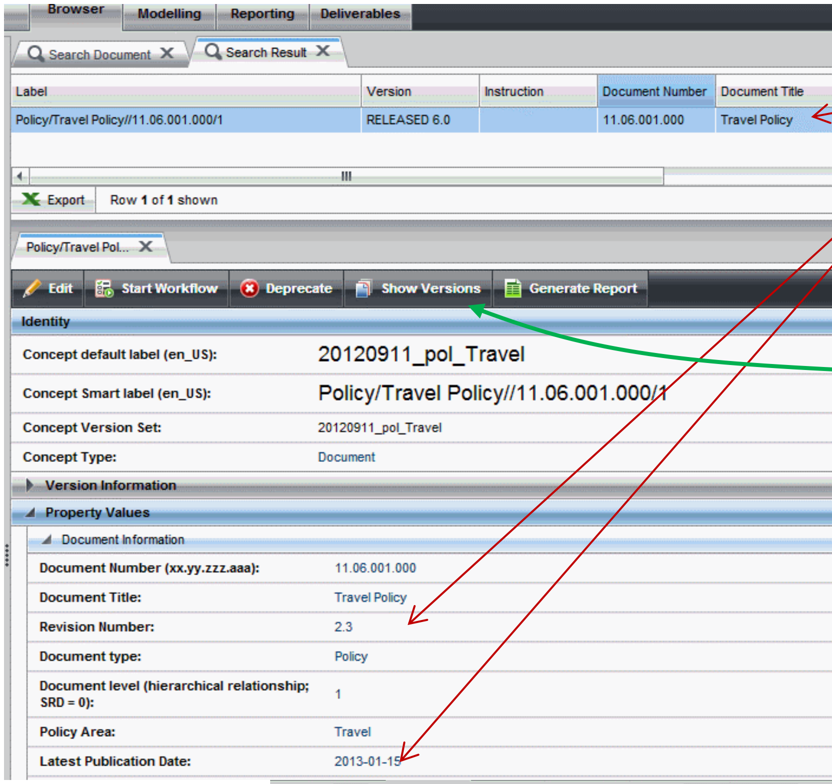
- **Cases about this item.**
- **Supporting docs**
- **Driving requirements**

Cases reveal history of the Item.

Related Docs and Reqs should match RPM listing.

Can look at the details of any of these by clicking.

RMS Search Tips for RMC Reps

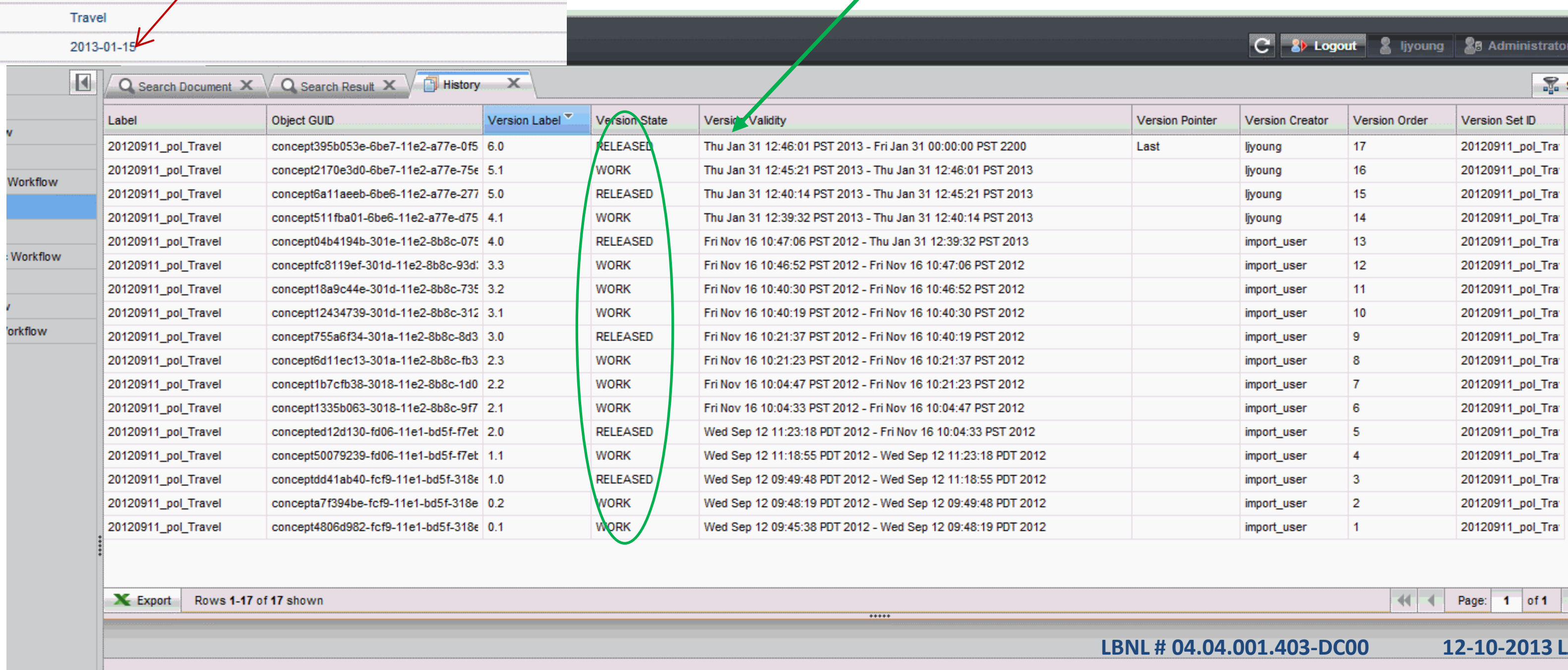


If you Search the database, you should get only ONE instance of the Travel policy.
Notice that it is the latest one!

BUT, you want to look at the past versions!!!
SOOOOO – select "Show Versions" (1)

And when you do, you get this list (2)

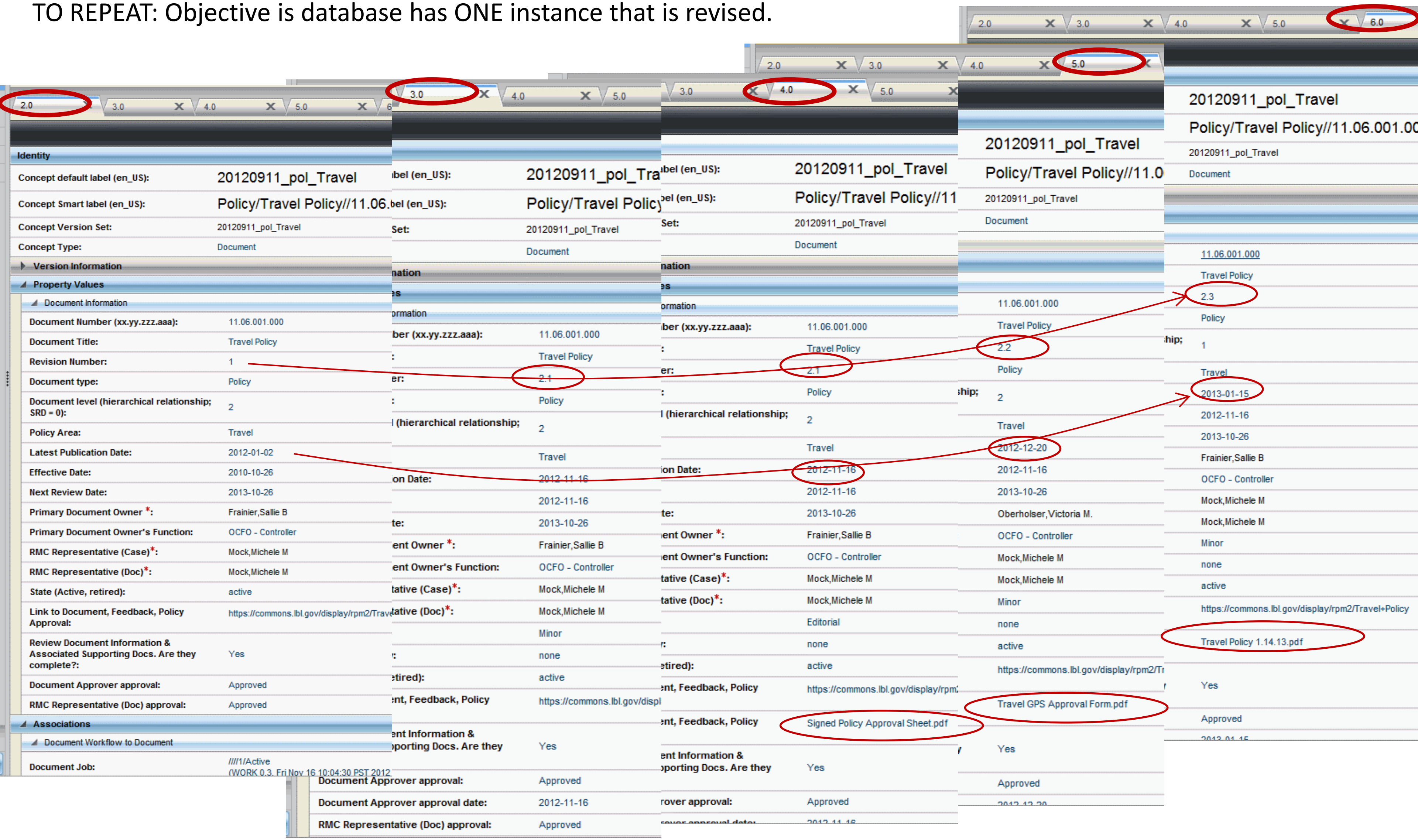
THEN! Select each of the RELEASED items (3) and....(see next slide→)



RMS Search Tips for RMC Reps

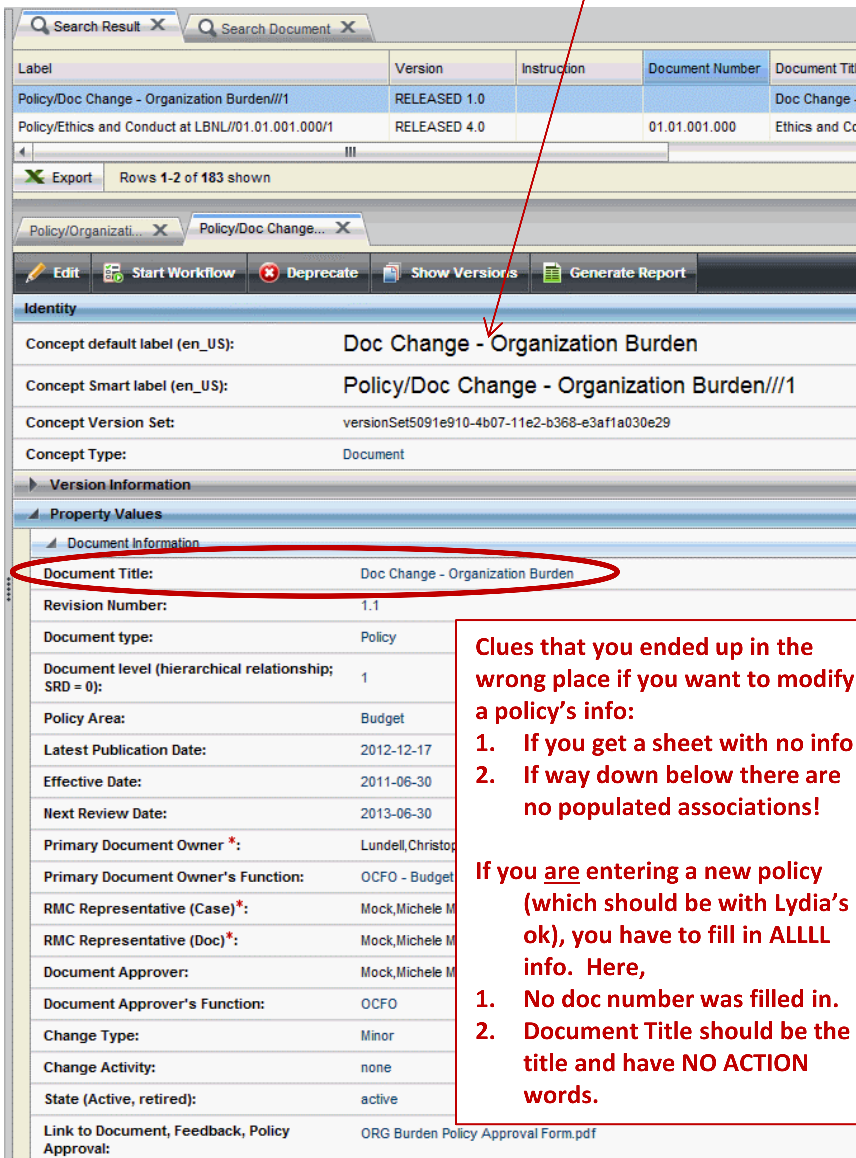
These are 6 of the Released Items. Look at them in a progression.
The info is saved for each one – (the attachments, for example).

TO REPEAT: Objective is database has ONE instance that is revised.



Some pointers (from Michele's experiences)

Michele wanted to modify Org Burden Policy. She opened a Case, and then opened a Doc WF. At the Doc Initial step, she did not heed the Instruction to select the doc to be modified. She ended up creating a new set of data.

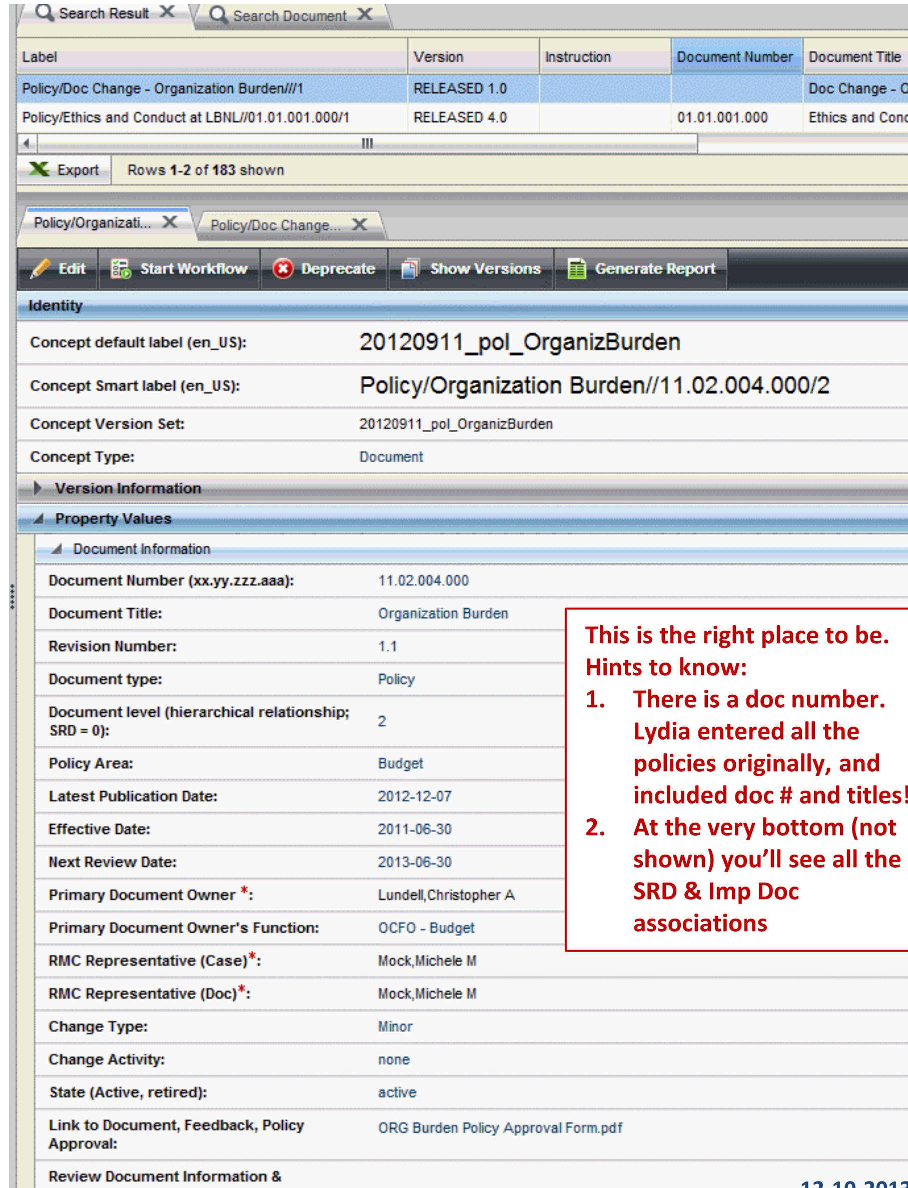


Clues that you ended up in the wrong place if you want to modify a policy's info:

1. **If you get a sheet with no info!**
2. **If way down below there are no populated associations!**

If you <u>are</u> entering a new policy (which should be with Lydia's ok), you have to fill in ALLLL info. Here,

1. **No doc number was filled in.**
2. **Document Title should be the title and have NO ACTION words.**



This is the right place to be. Hints to know:

1. **There is a doc number. Lydia entered all the policies originally, and included doc # and titles!**
2. **At the very bottom (not shown) you'll see all the SRD & Imp Doc associations**

DC01 Data Entry Naming Conventions

A. Purpose:

This document describes the preferred naming conventions to be applied when entering data into the RMS database. The key reason for encouraging alignment with these guidelines is so that searching of the database remains straightforward. Included in this document are guidelines for naming conventions (a) for job (a particular instance of a workflow) names and (b) for attached files.

B. For whom this applies:

This document is primarily for RMS Administrators, Editors, and Casual Doc users who have permission to enter data into the RMS.

C. Pre-requisite information:

- *Documents* and *requirements* are *concepts*, and their metadata is entered via jobs (workflows). They are usually searched as *concepts,* though their workflows can also be searched.
- *Cases, actions, ROD*s are workflows. They are searched as workflows.
- *Deliverable definitions* are a subset of *requirements,* and are *concepts,* and are usually searched as *concepts.*
- *Deliverable documents* are specific instances, and are workflows that must be closed when a deliverable is submitted. Deliverable documents are searched as workflows.
- *Job*: a particular instance of a workflow
- See How-to #DC00 "Cheatsheet for RMC Members," pages 3, 4, 5.

"SmartLabels" have been defined for each of the concepts and workflow types. A SmartLabel is a concatenation of several metadata fields, and is intended to allow the user to see quickly the particular record. The user, of course, can search and sort by the individual fields.

D. Naming Convention Guidelines for Job (Workflow) Names:

Set up of naming convention guidelines focuses on how the particular record type might be searched. Table 1 lists the several types of concepts and workflows, along with their SmartLabels.

Table 1

Type		Workflow name	Browser/Search-Report	SmartLabel
Requirement	Concept	n/a	SmartLabel	ContractSubsection / SourceCitation / SourceSectionCitation / SourceTitle / SourceSectionTitle/Hierarchy
	Workflow	JobName		
Document	Concept	n/a	SmartLabel	DocType /Hierarchy/ DocTitle / Pre-2012# / Doc#
	Workflow	JobName		
Deliverable Doc	Workflow	Job Name	SmartLabel	year-month-day (due) / ContractSubsection / SourceCitation / SourceSectionCitation / SourceTitle / SourceSectionTitle
Case	Workflow	Job Name	SmartLabel	year-month-day (opened) / Case Job Name
Action/ROD	Workflow	Job Name	SmartLabel	year-month-day (opened) /"Action" or "ROD"/Action or ROD Job Name

Some observations and guidance:

1. Note that ONLY Case and Action/ROD Job Names are used in the SmartLabel.
2. Conversely, note that requirement and document job names are NOT searchable fields.
3. Therefore, because they are used during search, Case Job Names and Action/ROD Job Names fall under stricter naming convention than Job Names for requirements or documents.
    - Note: because document workflows pass between roles, the assigned job names should be sufficiently descriptive to quickly communicate to the next role the content/purpose of the job.
4. In general, Job Names
    - Must not include dates
    - Must not include the type ("Case" or "Requirement")
    - Must not include the initiator's (or any person's) name or initials
5. **Case Job Name** should be comprised of: (purpose)(2 to 4 word descriptor)
    - Examples of "purpose": RMCmtg, C31Mod, ReqChange, DocChange
    - Examples of"descriptor": C31 Mod affected item or "PPE updates" or "Serving Alcohol" or "Travel Changes" or Order 1234.
6. **Action Job Name** is comprised of: (verb)(noun).
7. **ROD Job Name** is comprised of 2 to 4 word descriptor.

Examples:

Case Job Name Example (Job Lists)	SmartLabel (Browser, Search, Reports)
RMC Mtg - June	2012-06-07/RMC Mtg - June
C31 Mod O 2340.1C	2012-07-30/C31 Mod O 2340.1C
Doc Change – PPE Updates	2012-07-30/Doc Change – PPE Updates
Req Change – Serving Alcohol	2012-07-21/Req Change – Serving Alcohol
Req Change – Order 1234	2012-07-21/Req Change – Order 1234

Action/ROD Job Name (Job Lists)	SmartLabel (Browser, Search, Reports)
(Action) Complete xyz procedure	2012-06-07/Action/Complete xyz procedure
(Action) Followup RPM status	2012-07-30/Action/Followup RPM status
(ROD) Serving alcohol	2012-04-30/ROD/Serving alcohol
(ROD) Order 1234 and Clause I.987	2012-03-21/ROD/Order 1234 and Clause I.987

Document Job Name (recommended): (Verb)(doc type)(doc identifier – title or number)

Note that the doc job name does not appear in its SmartLabel nor any searchable fields

Document Job Name (Job Lists)	SmartLabel (Browser, Search, Reports)
Modify Policy Rehire Retirees	Policy/Rehire Retiree blah blah/02.xx.yyy.zzz/1
New Program T-shirts on Fridays	Program/T-shirts on Fridays/21.xx.yyy.zzz/2
Retire Process abcdef	Process/abcdef/52.12.123.456/4
Revise Program PUB 3111 (OQMP)	Program/LBNL Operations and Quality Management Program (OQMP)///1

Requirement Job Name (recommended): (verb)(req identifier – brief title and/or number)
Note that the req job name does not appear in its SmartLabel nor any searchable fields

Requirement Job Name (Job Lists)	SmartLabel (Browser, Search, Reports)
Modify Clause I.76	I.76/DEAR 970.5203-1//Management Controls//0
New UCOP Delegation of Authority	/UC Office of the President Delgation of Authority (DA) 2100//Delegation of Authority (DA) 2100//0
Revise Order 414.1D QA	/DOE Order 414.1D//Quality Assurance, Attachment 1, CRD//0
Revise 29CFR 1910 OSHA – PPE	/29 CFR 1910/Subpart I/Occupational Safety and Health Standards/Personal Protective Equipment/0

E. Naming Convention for Files to be Attached to Requirements, Documents, Actions, RODs, Cases:

The filename of any attached file needs to be suitably descriptive for other users to understand and decipher quickly. Administrators have the responsibility for the integrity of the database and therefore ensuring that consistency and best practices are applied.

Item	Filename for Attachments	Examples for Attachments
Action	Yyyymmdd_Action_(verb-noun)	20141103_Action_complete Mod231
ROD	Yyyymmdd_ROD_(2 to 4 word descriptor)	20140804_ROD_Mod231 O 414.1D
Document	(doc type)_(brief title)_(doc number)_doc version	Policy – Travel – 11.0x.00n.000-rev2
Requirement	(brief title)_doc number-rev – date [note: link when possible]	• UCOP policy Cyber 2014 • Order 414.1D QualAssurance • AL-9124 Meals-Conferences 2012 • 20120305 BSO memo Meals-Conferences
Approval	Yyyymmdd_Approval_(Doc brief title)_doc number_doc version	20110402_Approval_Travel Policy 11.0x.00n.000-rev2
Analysis	Yyyymmdd_Analysis_(doc brief title)	20120504_Analysis_Travel costs
Implementation Plan	Yyyymmdd_Imp_(brief description)	20130624_Imp_Serving Alcohol
Background info – email or memo	Yyyymmdd_email_(brief description)	20140821_email_Miskelley guidance on iBenefits
Background info – published doc	Avoid attaching – reference link, if available.	
Background info – past version doc	Attach only if reference link is not available. Yyyymmdd bkgnd Doc brief title_doc number_doc version	

F. Naming Conventions for Requirement Metadata

Requirements can only be entered by administrators who have responsibility for maintaining the integrity of the requirements information. To ensure that all information is searchable, it is vital to be consistent when entering new data.

Guidelines:

- Before entering information, browse the database for existing like-data.
    - Look at the format including abbreviations, dropdown categories, order of wording, citation information. Examples:
        - DOE directives: O 414.1D (not Order not DOE Order…)
        - Clauses are Sections of the Contract.
        - Clause numbering with leading zeros: I.xxx and H.yy.
    - Look at the separation of parent citation vs section (child) citation. Examples:
        - Parent citation: H.24 Section citation: 1.a(3)
        - Clause: I.199; Parent citation: FAR-123 Section citation: 2.b
        - Parent citation: 10 CFR 23; Section citation: 124.32
    - Check and double check that you know exactly what to enter so that it is searchable and distinguishable from the other entries.
- Know the definitions (some are less intuitive than I'd like, sorry) for the various fields under Requirements.
- Avoid using the "long picklist" for functions. It turns out I had included this without knowing how limiting the Ovitas search is (it cannot do "or", "nor", etc.).

G. Property (Field) Values: Guidelines for Data Entry and Search

These 2 charts provide some guidance

- For data entry, on what to enter in the various blank fields in Requirement and Document workflows to enable consistent search.
- For search, on what to enter in the various blank fields in the Requirement and Document search filters (masks).
- For search, the likelihood of convergence if the particular property/ field is selected, where "high" means that searching only that property is likely to provide a valuable information in one try, while "low" means that the result may be incomplete or too unspecific.

In general, we recommend using wildcards with one or two key words or numbers - this could help alleviate any frustrations with format variations (for example, "DOE Order 12345" or "DOE O 12345" or "O 12345"? the last happens to be correct

Wild card examples:

%1234%	- searches string "1234" anywhere within the field.
1234%	- searches for items starting with "1234"
%CFR%32%	- searches for items having somewhere the string "CFR" followed by somewhere the string "32"

Concept: REQUIREMENT

Requirement Property	Definition and/or Examples	Data Entry Guidance	Search Convergence
SmartLabel	ContractSubsection / SourceCitation / SourceSectionCitation / SourceTitle / SourceSectionTitle/Hierarchy		High – searcher does not have to guess what particular field. Use wildcards, with fewest words possible.
Contract Part	High level: Section, Appendix, Clause. "Other" = non-Contract "Other" covers UC, federal, or state regulations that are not explicitly called out in C31.	"Other" covers UC, federal or state regulations that are not explicitly called out in C31	Medium – if used in combo with other properties
Contract Section	Aligned with the specific Contract sections (see dropdown). "Other" = non-Contract. Clauses are in Sections. Directives are in Section J – Appendix I Users must be familiar with the layout of C31. See http://www.ucop.edu/laboratory-management/contracts/lbnl/index.html	User Must be familiar with Contract portions. "Clause H" = Section H "Clause I" = Section I Section J.09 has all the Appendices. J.09 - Appendix I contains Directives.	Medium – if used in combo with other properties
Contract Subsection (eg. H.13 or I.021)	Only for H and I clauses.	Be sure to include leading zeros (eg. H.04, I.009, I.083, etc.)	High - Recommended if H or I. Watch out for leading zeros!!
Source Requirement type	See dropdown. Examples: DEAR, FAR, California Law orRegulations, DOE Directive	Some I clauses are FARs or DEARs.	Medium to High
SRD Citation	The exact reference. DEAR 123-456, 99 CFR 123, O 123.1C.	For I clauses, enter FAR or DEAR reference.	Medium to High – depends on the reference sought. Use wildcards
SRD Title		Include abbreviations in parentheses to help searching. Example: "Personal Protective Equipment (PPE)"	Medium to High - Recommended with wildcard with as few words as possible
SRD Section/Paragraph Citation	Next level in the hierarchy of the particular requirement.	If this applies, then the req is a child/component of a higher level req. Be sure to check the main/component box below.	Low to Medium – Likely hard to guess order or format, even with wildcard
SRD Section Title			Medium to High - Best to use wildcards with as few words as possible
Brief summary of Requirement		Limited to 450 characters!! Describe the essence, abbreviate where possible.	Low to Medium – not all requirements include summaries (yet). Try with

Requirement Property	Definition and/or Examples	Data Entry Guidance	Search Convergence
		The last few words can be "more in detailed req"	wildcards with as few words as possible
Contract Effective date	This is when the req became part of the Lab's Contract31. It is NOT the requirement's date of release by DOE.	Default is June 1, 2005 Unfortunately, this is a mandatory field. So if the req is not explicitly in the Contract (say a regulation), enter default, OR the date of the requirement if after 2005.	Low.
Change Activity*	None or pending	Don't change.	
Status	Active or Retired. "Retired" items are no longer part of Contract 31.	Change, if req is being retired, cancelled, or removed from the Contract. Never delete a requirement that has been in effect.	High - if in combo with other properties.
Primary Owner	SME responsible for the req		Medium to High – but assumes high currency of database.
Function (Primary)	See dropdown list	Enter the broadest definition of functions to make search easier, because the Ovitas search engine is very primitive. Example: EHS rather than EHS-Rad.	Medium – but assumes consistent selection of choices.
RMC Representative (Case)			High - If kept current, this may be the best way to find all requirements that a particular Function is responsible for.
Policy Area	See dropdown list	If requirement impacts more than one area, enter primary one first.	Low to Medium – if more than one impacted
Embedded requirement	"Embedded" refers to a requirement that is cited by a Contract req. For example, a FAR clause can cite and make required a Code of Federal Regulations item. The CFR item is embedded in the clause, and the CFR item is listed in this database.	Search for existing examples to set the parent/child associations and the definitions properly. See How-to Admin procedure A09	High to find "embedded" that have been entered. As of 11/2014, entered data is likely incomplete
Main vs component	"Main" is the parent. "Component" is the child requirement. Example: a Contract deliverable may be paragraph 3(a)(i) of Clause H.567. The deliverable concept is Clause H.457 3(a)(i) and is a component or	Be sure to associate deliverable definitions to the parent requirement. Be sure to associate any general children to their parent requirement.	High to sort parent requirements from children (deliverables, for example). .

Requirement Property	Definition and/or Examples	Data Entry Guidance	Search Convergence
	child of the whole Clause H.457.		
Is this a Deliverable?	Distinguishes deliverable requirements from others	Selecting this in entering the data opens the deliverable definition workflow path.	High: Check "yes" to isolate the deliverables.
Is there a pending Mod?		Useful if there's notice of a pending Mod. However, depends on whether RM PM/admin updates frequently.	Low – depends on frequency of updates
Mod Info and Other Comments		This is where to cite the specific Contract Mod info in brief (date and Mod#)	High to find reqs associated with particular Mods (database starts with Mod 862 or so).
Deliverable shared?		"Yes" opens the workflow path to cite two or more requirements sharing the same deliverable	High to find those deliverables that are satisfying more than one req. (there are not very many)
LBNL ID#	A number invented originally for QA checking between BSO and LBNL databases.	Numbers 924000 to 924499 are assigned to deliverables identified in Dec 2010 Numbers 924500 + are assigned to newly identified in Dec 2013. Keeping the 924xxx root is important for searching.	High to find all related open and closed deliverables.

Concept: DOCUMENT

Document Property	Definition and/or Examples	Data Entry Guidance	Usefulness in Search
SmartLabel	DocType /Hierarchy/ DocTitle / Pre-2012# / Doc#		High – searcher does not have to guess what particular field. Use wildcards, with fewest words possible.
Document Number (xx.yy.zzz.aaa)	Format based on RPM structure (xx = sections, yy = policy areas, etc.)	Follow RPM structure guidance definitions consistently.	High – if known or if enter partial with wildcards
Document Title		OK to include any popular abbreviations to help searchers. Example: "Personal Protective Equipment (PPE)"	High – if use wildcards with as few words as possible
Revision Number		Just the number – do not include "rev"	Low
Lab PUB Number (if applicable)		Follow format already in RMS: "PUB-xxxx"	High – best to use wildcard and number.

Document Property	Definition and/or Examples	Data Entry Guidance	Usefulness in Search
			%5519% will yield the 4 PUB-5519 Issues Management items.
Pre-2012 Document Number (if any)		Enter if applicable	Low – because may not be consistently entered. Use wildcard and number
Document type	See the dropdown list values		High – if combined with other property (for example, title or doc number).
Document level (hierarchical relationship; SRD = 0)		SRD = 0; Policy is usually 1. Program usually 2. But the hierarchy can vary, particularly if there is a Lab Driving Requirement document (such as the QAPD, PUB-3111)	Low
Policy Area	See the dropdown list values	Can enter more than 1.	Low to Medium – If data was loaded with multiple entries, only first one will come up due to simplicity of the Ovitas search engine.
Rev. 0 Publication Date	The first publication date - many docs have this blank		Low
Latest Publication Date	See Doc Mgmt Process doc (10.06.001.001) for definition.		Low
Effective Date	See Doc Mgmt Process doc (10.06.001.001) for definition. Can be earlier than latest publication date.		Low
Next Review Date	See Doc Mgmt Process doc (10.06.001.001) for definition. Should be at most 3 years from latest publication/last review date.		High – if combined with other property (for example, all policies with next review date in range xxxx)
Primary Document Owner			Medium – requires accuracy and currency
Primary Document Owner's Function	See the dropdown list values	Enter the broadest definition of functions to make search easier, because the Ovitas search engine is very primitive. Example: EHS rather than EHS-Rad.	Medium – but assumes consistent selection of choices.
RMC Representative (Case)		Automatically entered, since doc workflow is within a case workflow.	High – best way to find a function's suite of docs
RMC Representative (Doc)	Usually the same, but does not have to be same as RMC Rep (Case)	This sets who gets to review the doc workflow.	High – best way to find a function's suite of docs
Document Approver	(Within Lab)	Can be more than 1.	Low
Document Approver's Function			Low

Document Property	Definition and/or Examples	Data Entry Guidance	Usefulness in Search
Non-LDAP approver	Outside of Lab	Type in name – this is not auto-guessed, since this is someone without LDAP permissions.	Low – use wildcard
Change Type:	Major, minor, editorial – see RPM definitions		Low
Start 30 Day Review	Set up for HR	Not readily practiced (yet – 2014). Should be used to capture the information.	Low – because not in general use.
Change Activity	None or pending		Low
State (Active, retired)	Active or retired		Low

Revision History

Revision	Date	Who	Description
0	11-15-2014	L.J. Young	Initial
0.1	11-28-2014	L.J.Young	Aligned Property Search tables with How-to B01

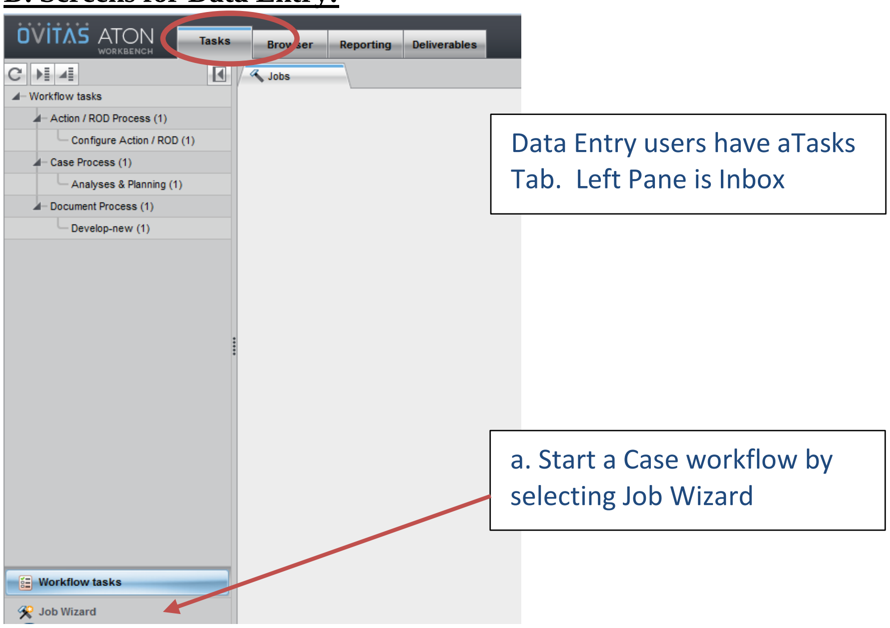
DC02 – Screen Orientation/Advanced Search for Data Entry Users

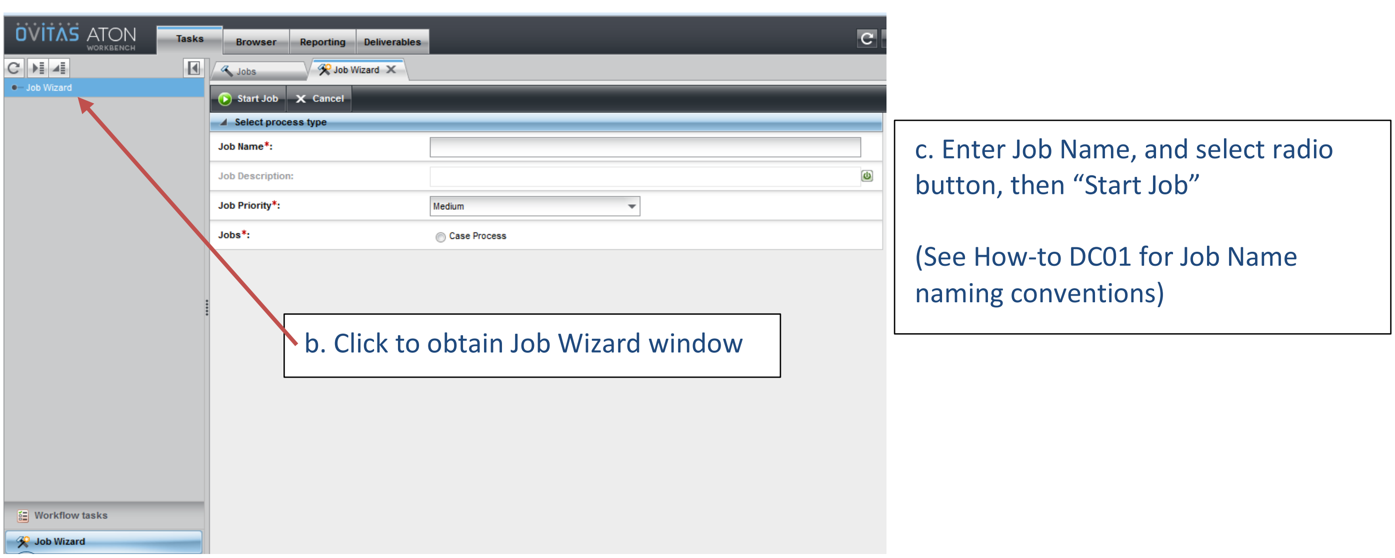
A. Purpose:
This document describes the RMS screen definitions and advanced search capabilities available to data entry users.

B. Who can do this procedure:
Persons who have RMS administrator, editor/RMC, or casual document permissions.

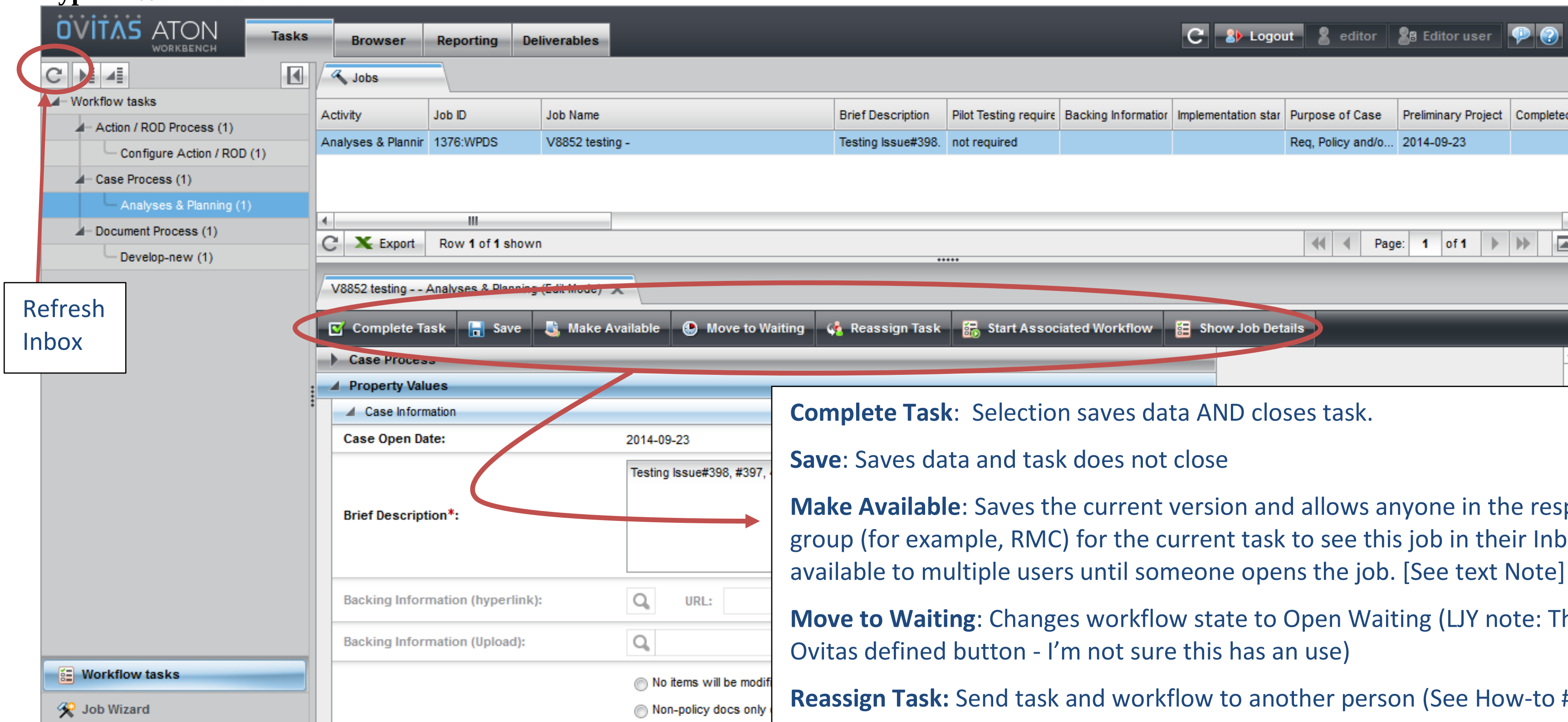
C. Prerequisites
Persons using this procedure should be able to search the RMS.

D. Screens for Data Entry:





Typical Workflow Screen



Complete Task: Selection saves data AND closes task.

Save: Saves data and task does not close

Make Available: Saves the current version and allows anyone in the responsible group (for example, RMC) for the current task to see this job in their Inbox. It is available to multiple users until someone opens the job. [See text Note]

Move to Waiting: Changes workflow state to Open Waiting (LJY note: This is an Ovitas defined button - I'm not sure this has an use)

Reassign Task: Send task and workflow to another person (See How-to #DC08)

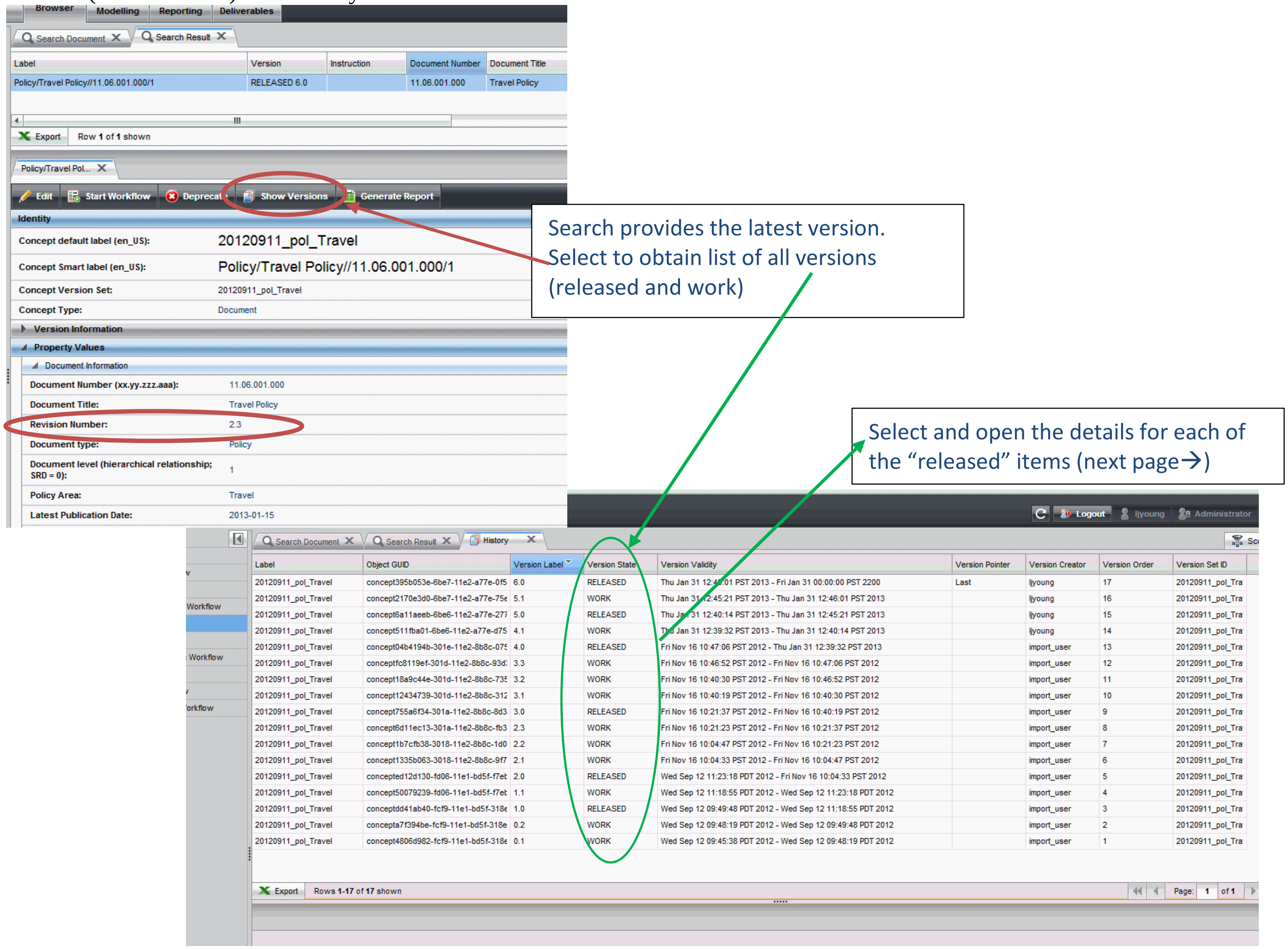
Start Associated Workflow: Start a subworkflow (Document wf, Requirement wf, Action/ROD wf)

Show Job Details: Examine different tasks taken in this job

Note on "Make Available": The intent of this was to enable "group review" of a Case (for example). If a Case is still in an open state, then the owner could "Make Available" to his/her group (for example, RMC members), and those in the group could review, add more data, links, associations, and then "Save" the changes, and then "Make Available" to the group again. The task can remain open in this way and be reviewed or amended until one person chooses to select the Close radio button in the Status field. Then, by selecting "Complete Task", the workflow will progress to the next task. As of 12/2014, we have not exercised this feature.

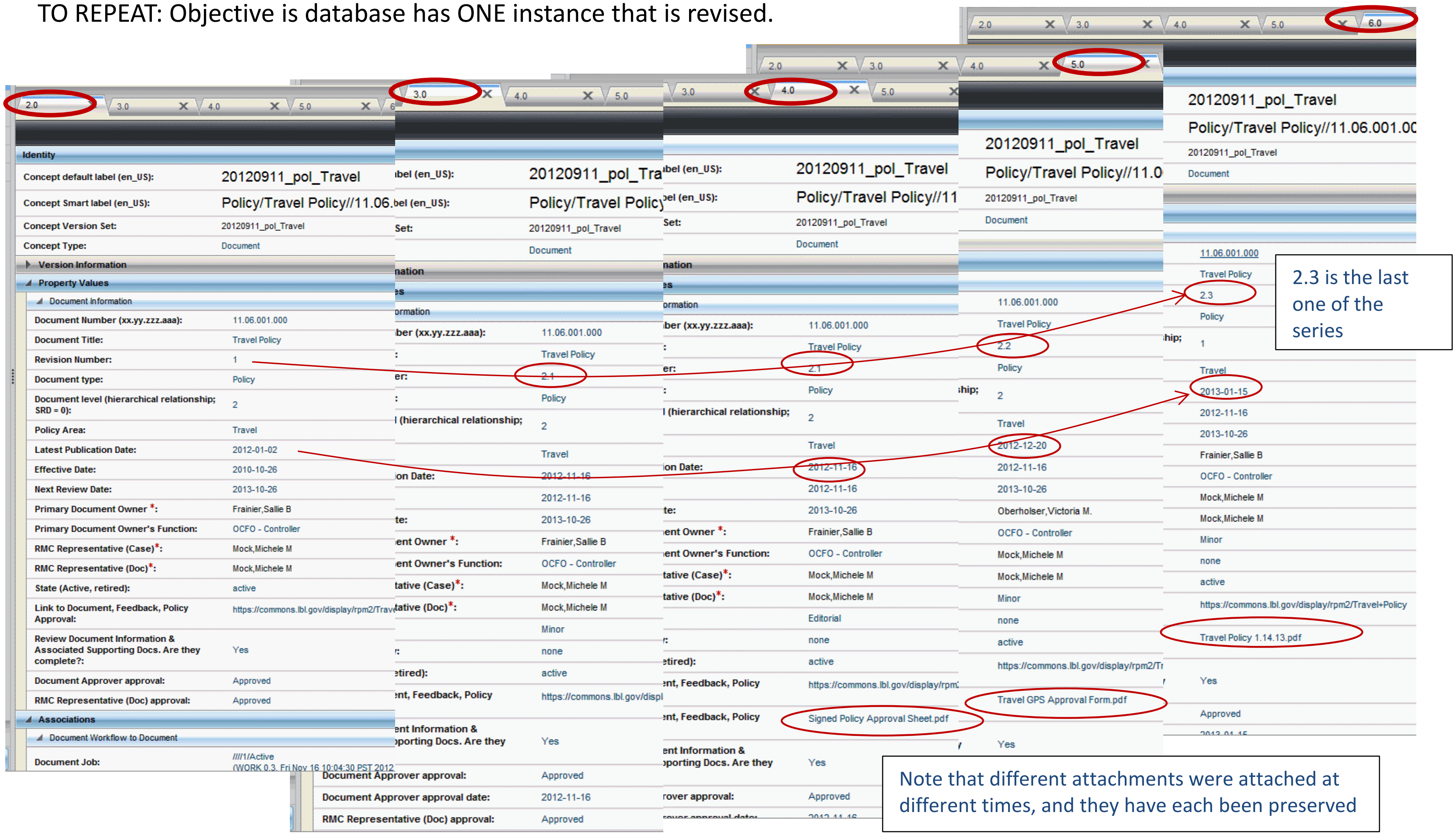
E. Additional Search Capabilities for Data Entry Users

Search per usual (How-to #V03). Data Entry Users have an active“Show Versions” button.



These are 6 of the Released Items. Look at them in a progression.
The info is saved for each one – (the attachments, for example).

TO REPEAT: Objective is database has ONE instance that is revised.



F. Other Related How-to Procedures

- V02 – Basic Orientation
- V03A – Searching the RMS
- DC00 – Cheatsheet for RMC members
- DC01 – Data entry naming Conventions
- DC04 – Data Entry – Case Workflow
- DC05 – Data Entry – Document Sub-Workflow
- DC06 – Data Entry - Action/ROD Sub-Workflow
- DC04A – Case Workflow with Document Sub-Workflow (video)

For RM PM and Admins only:

- AD02 – Adding a New Non-deliverable Requirement
- AD04 – Adding a New “As Required” Deliverable

G. Revision History

Revision	Date	Who	Description
0	12-7-2014	L.J. Young	Initial

DC04 - Case Workflow: Initiate, Analysis&Planning, Implementation Tracking, Review, Close

A. Purpose:

This document explains how to complete the RM Case workflow and its several tasks/steps (initiate, analysis and planning, implementation tracking, and review). This procedure does not include workflows that are started within a Case workflow, which are covered in other How-to procedures.

B. Who can do this procedure:

Persons who have RMS administrator, editor, or casual document permissions may do this procedure.

C. Pre-requisites

Persons using this procedure are expected to already:

- Be fluent in RM terminology, RM processes, and document management best practices
  - RMS Case workflow follows the RM process identically.
- Be well practiced in RMS search and familiar with the general RMS screen layouts and window pane purposes.

See Section F of this Procedure for the list of related RMS How-To procedures.

D. Background

The main purpose of the RMS database is to capture the histories of institutional requirements and documents, and the method of capture is via RM Cases.

RM Cases can be considered "focused discussions" or mini-"projects" regarding requirements and/or documents (for example, policies or programs) that have impact at the institutional level. A Case provides the means to capture not only specific changes to any requirements or documents, but also to capture related supporting information such as risk or impact analyses, implementation plans, or records of decisions (RODs). A Case is built over time, and hence can be modelled as a workflow proceeding through the RM process steps (initial data entry, analysis/planning, implementation, approvals).

Cases are subjected to the RM graded approach method, Significance Rating (see Procedure 04.04.001.101), and this, too, is recorded within the Case.

In short, the RMS database maintenance comprises not only the fact that requirements and documents may have changed, but via Case associations, also the reasons why and what was done to implement changes. It is the combination of the what and when with the why that can make the RMS database highly valuable.

For reference, Figure 1 shows the relationships that Cases have to capture the historical records of requirements and documents; Figure 2 is the RM process flow. Figure 3 is the RMS Case workflow. They are identical.

Figure 1: Cases and their associations

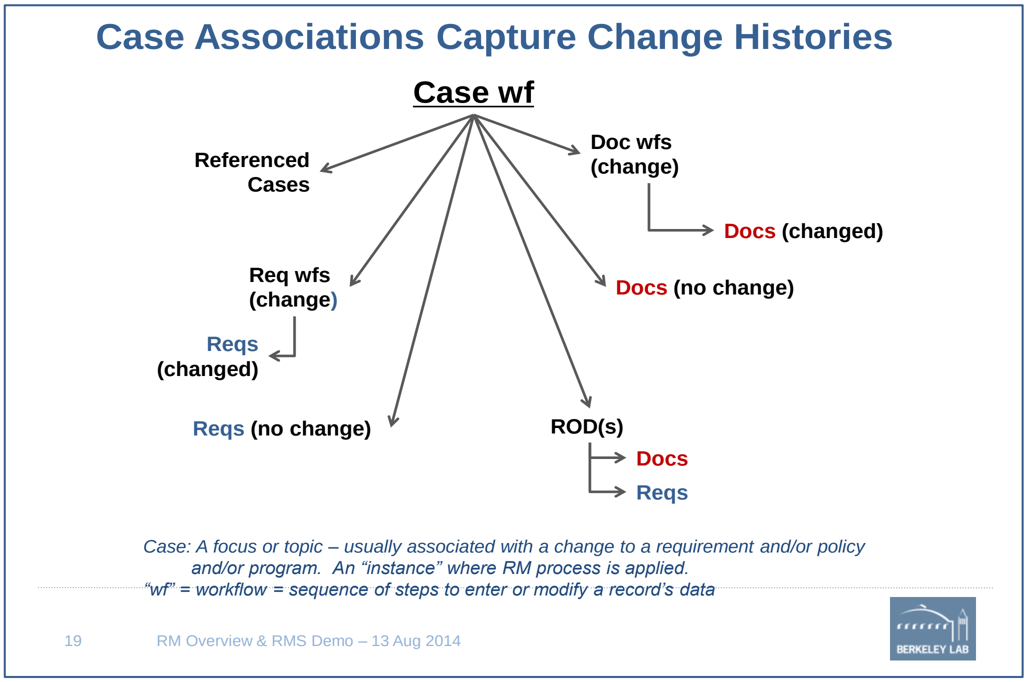


Figure 2: RM Process Flow, with tools

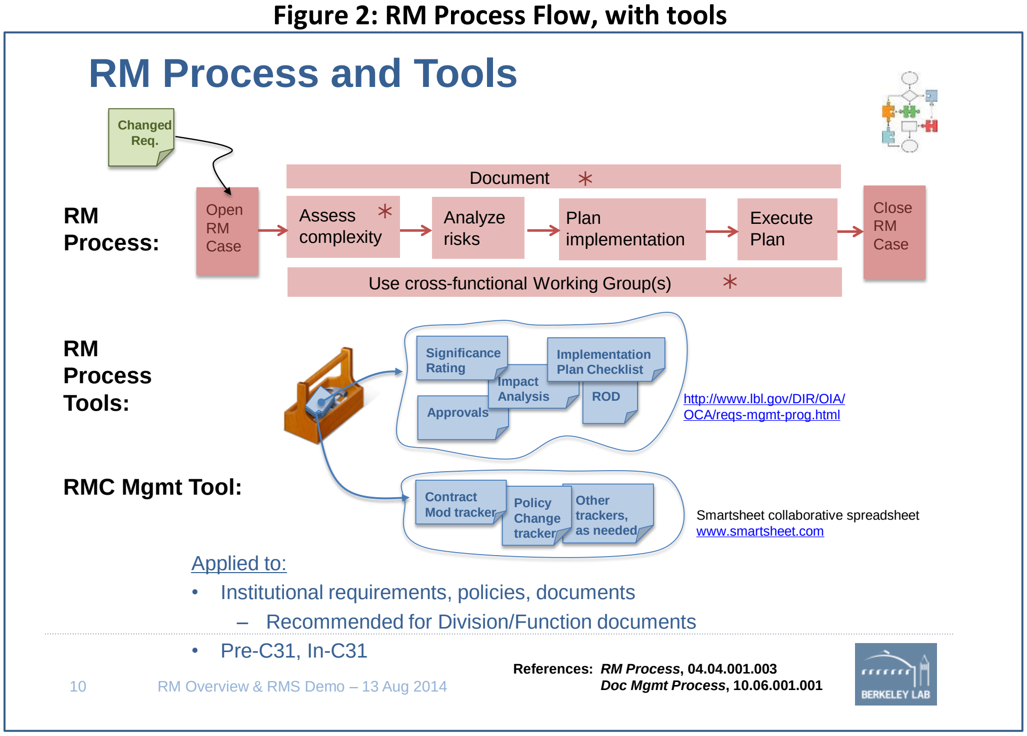


Figure 3: RMS Workflows - Case with sub-workflows for documents, RODs, actions

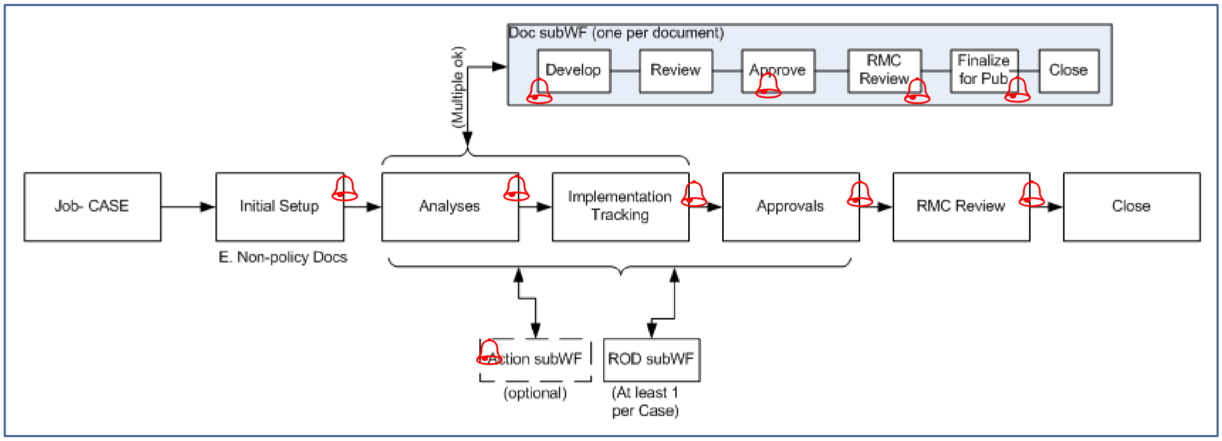


Figure 4: RMS Case workflow diagram (Note that RMS task/step names match those in Figs 2,3)

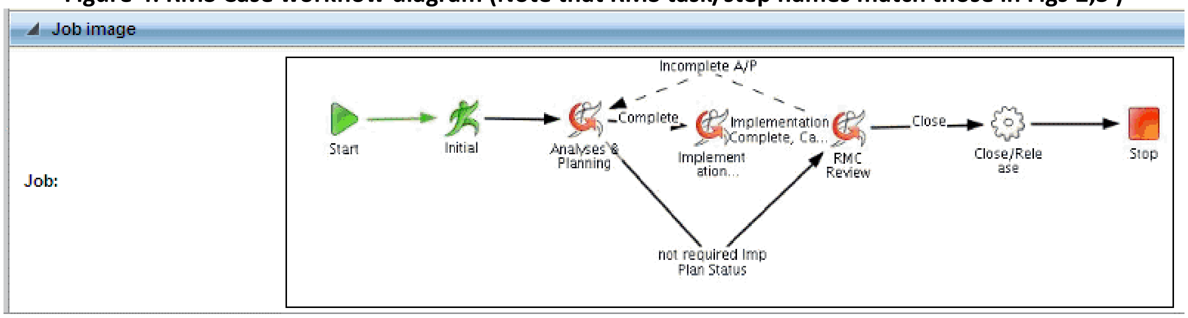
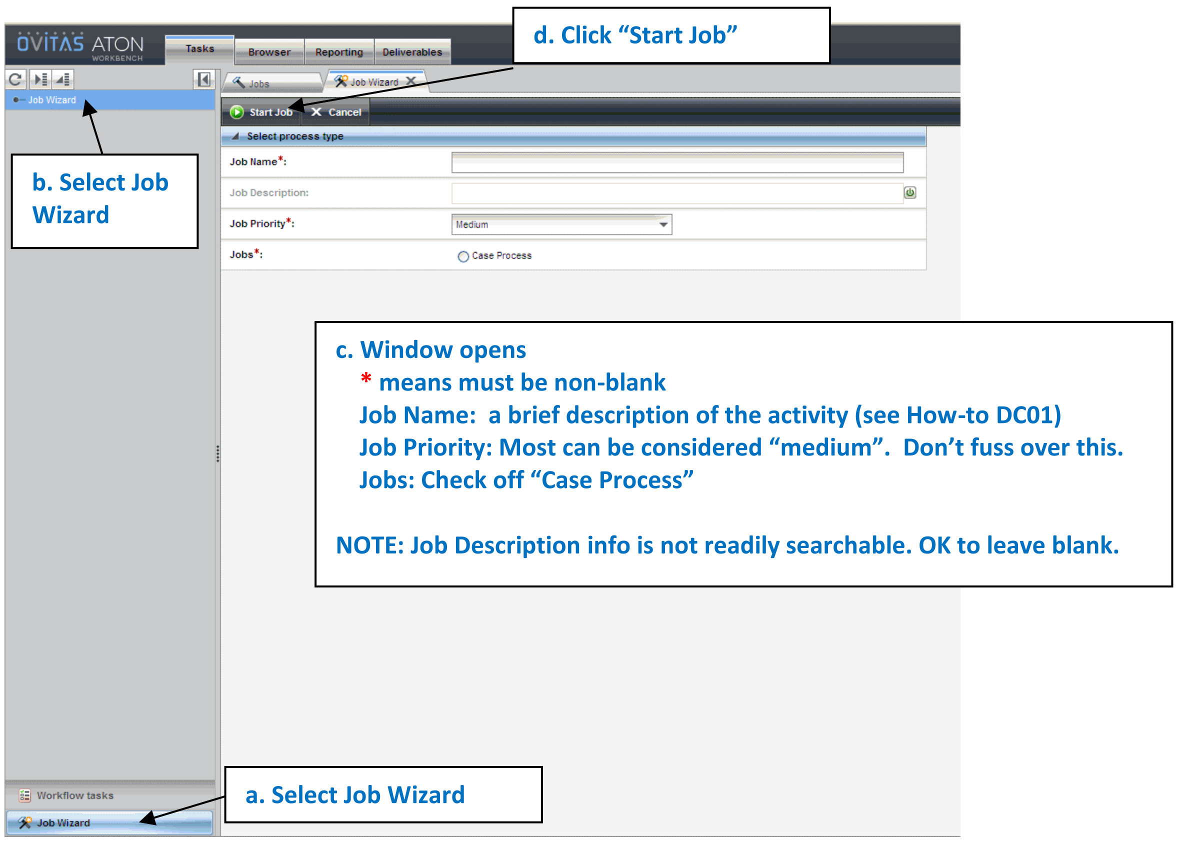


Figure 4 shows the user-selectable alternative paths along which the workflow may proceed, including returning to the Analysis/Planning step, if information is not correct or not complete. This procedure explains each step of Figure 4.

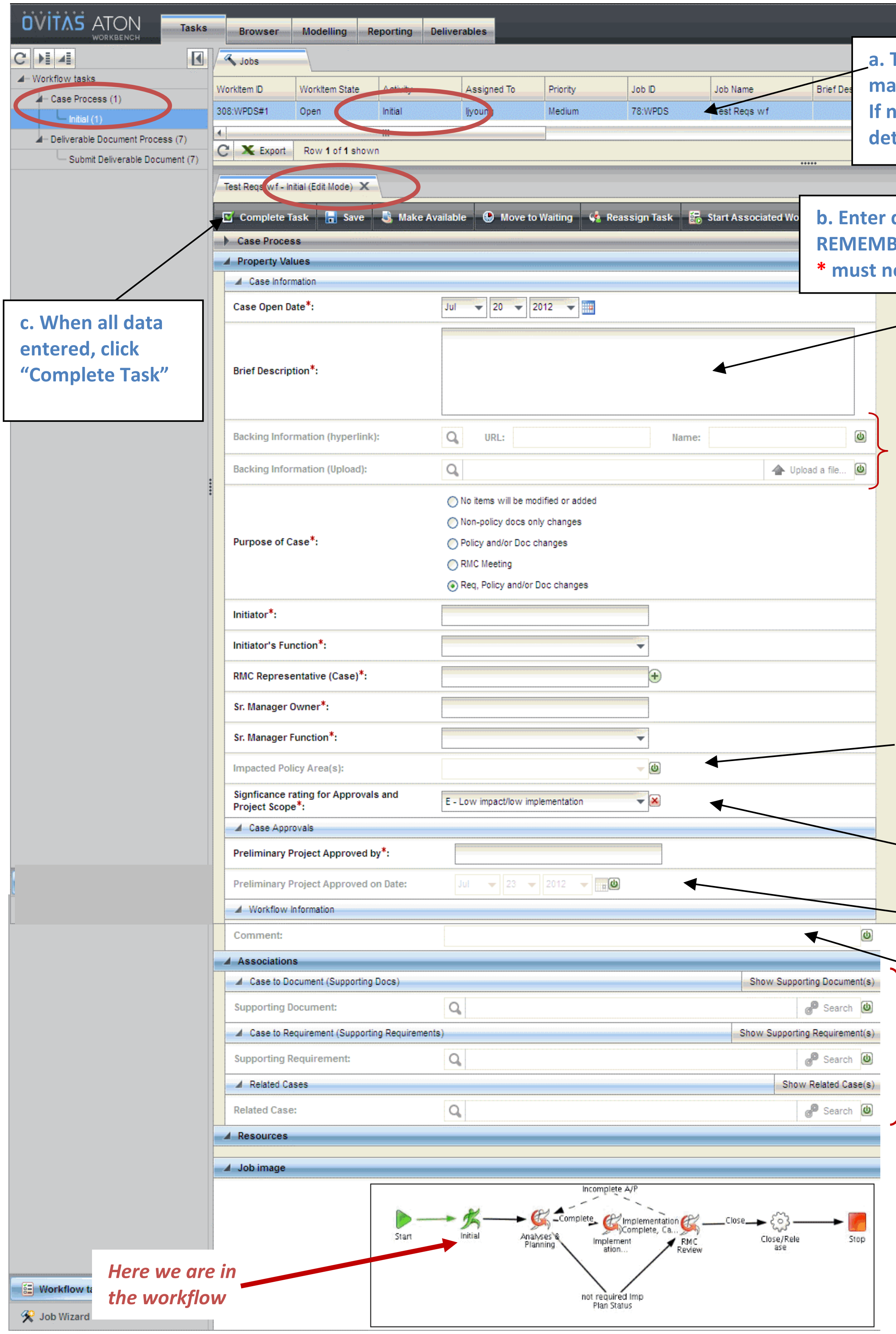
E. Procedure:

1. Log into RM
2. Open a Case Job/Workflow and follow the sequence of steps a through d in the figure.
3. Upon selection of "Start Job", a new window will open (Case – Initial step.)
4. Proceed per the instructions and notes (steps a through c) in the next screen shot.



TIP: *It is easy to forget which step you are in. Check frequently the detailed window tab, circled in red in each of the screenshots of steps in this procedure. OR scroll to the bottom of the detailed pane and look for the little GREEN man in the Job Image (see Figure 4).*

Case WF – Initial Step



a. The new detail window may come up automatically. If not, select in List to display detailed form.

b. Enter data. REMEMBER! * must not be blank!!

c. When all data entered, click "Complete Task"

450 character limit (all text boxes)

Optional. Use hyperlinks when possible. "Enable" by selecting green button.

Names are auto-suggest by last name.

[See RM website for RMC Reps names.]

Can include more than one Policy Area. "Enable" by selecting green button. Add more by selecting + (not shown)

Can adjust Significance Rating later in WF.

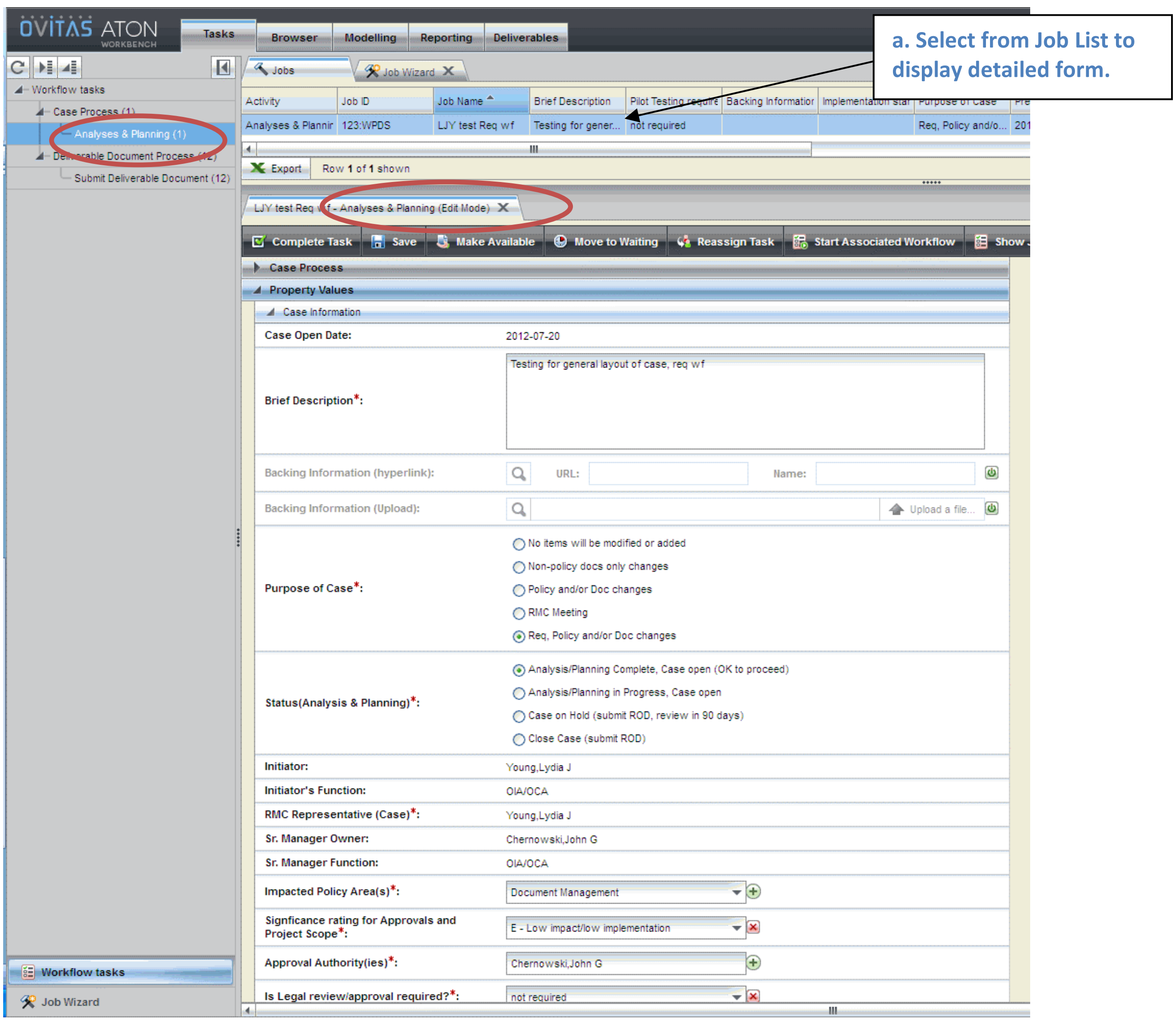
Enter approval date, when known.

Do not use.

Enter RELATED items that are **NOT** being modified by workflow. [For example, RMC discussion about a policy, but policy is not being revised.] "Enable" by selecting green button, then select "Search" to start search process (see How-to #DC07).

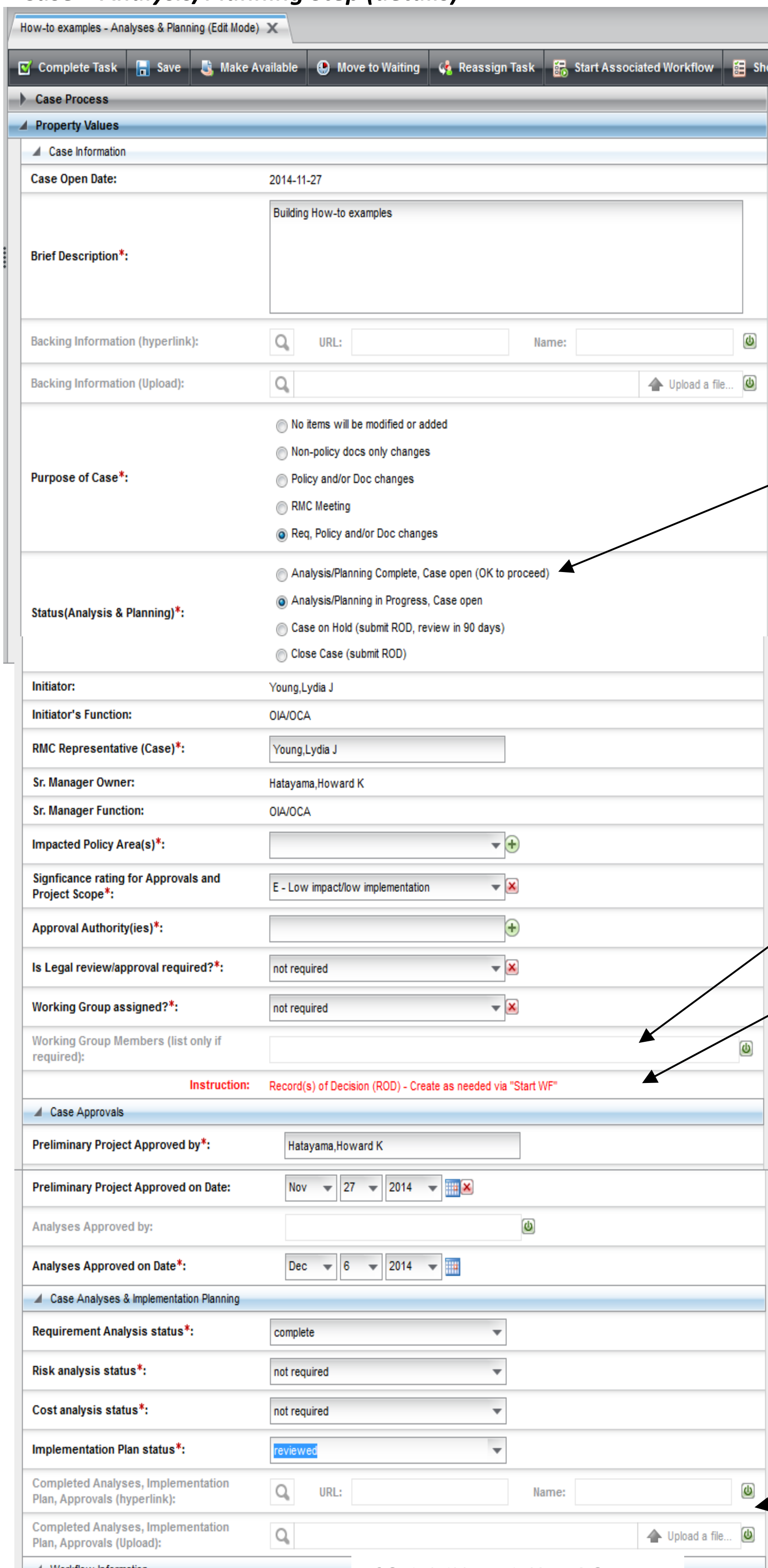
5. Case WF/Analysis/Planning step:
    a. Select from Inbox (upper left panel), and then from Job List (upper right panel) to open detail window.
    b. If you want to modify a Document or Requirement, or create a ROD or action, start a sub-workflow by selecting "Start Associated Workflow" button. (See How-to # DC04, # DC05, #AD 02, etc. to learn how to do these other workflows).
    c. OK to enter data in the Case – Analysis/Planning step either before or after initiating sub-workflows. BUT be sure to hit "Save" before branching off to the sub-workflows.
    d. ***Tip/Warning:*** "Save" only saves. <u>"Save" does not complete the step/task</u> (i.e. the workflow does NOT progress to the next step.)
    e. See next page for more details about the Case Analysis/Planning step.

Case WF - Analysis/Planning Step (general



DC04 – Data Entry - Case Workflow and its Steps

Case – Analysis/Planning Step (details)



Enter data.
REMEMBER! * must not be blank!!

Opportunity to amend Description or add more "Backing Info"
450 character limit in text box.
3MB file size limit to anything attached.

WARNING!
To progress to next step, MUST select A/P Complete, or Case on Hold or Close Case

This was to prevent user from progressing inadvertently.

Workflow holds in place as long as the A/P in Progress radio button is highlighted.

Opportunity to modify impacted Policy Areas, Significance Rating or approval authorities, RMC Rep.

List WG members, if applicable.
This is a text string, no fixed format.

You can start a ROD WF during this Case step.

Approvals group of properties includes approval of analyses here. Attach hardcopy below – 3MB file size limit

Select status items from options.

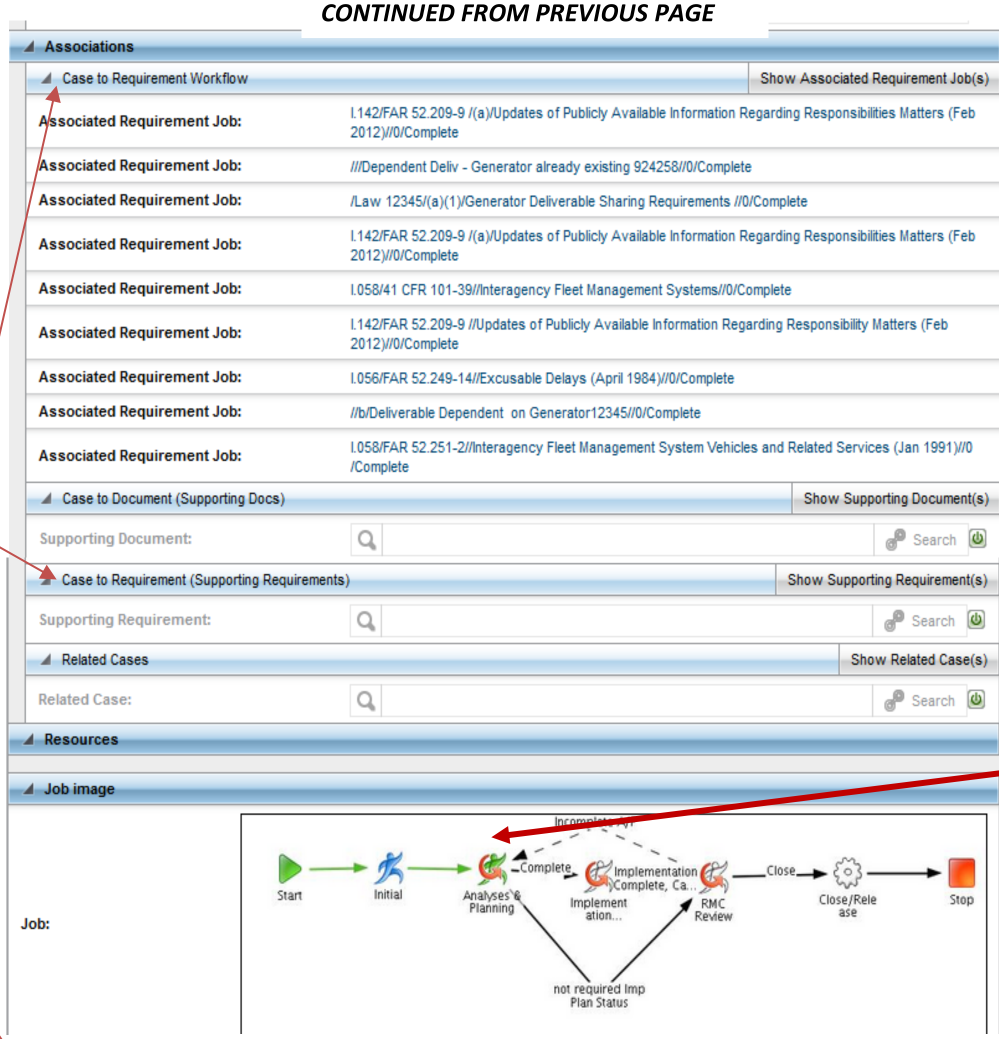
WARNING. If Imp Plan status = "not required", then WF skips to RMC Review, else WF continues to Imp Tracking step.

Option to add Analyses, Implementation Plans, Approvals. (Likely attachments, but hyperlinks are welcomed. 3 MB file size limit)

CONTINUED NEXT PAGE

Case WF -Analysis/Planning- details continued

CONTINUED FROM PREVIOUS PAGE



Note carefully the different type of Associations.

"Associated WFs" refer to those that have been generated within this Case. [In this example, 9 reqs wfs were opened and closed].

Still opportunity to add supporting docs or reqs, which are merely related but NOT modified in this Case.

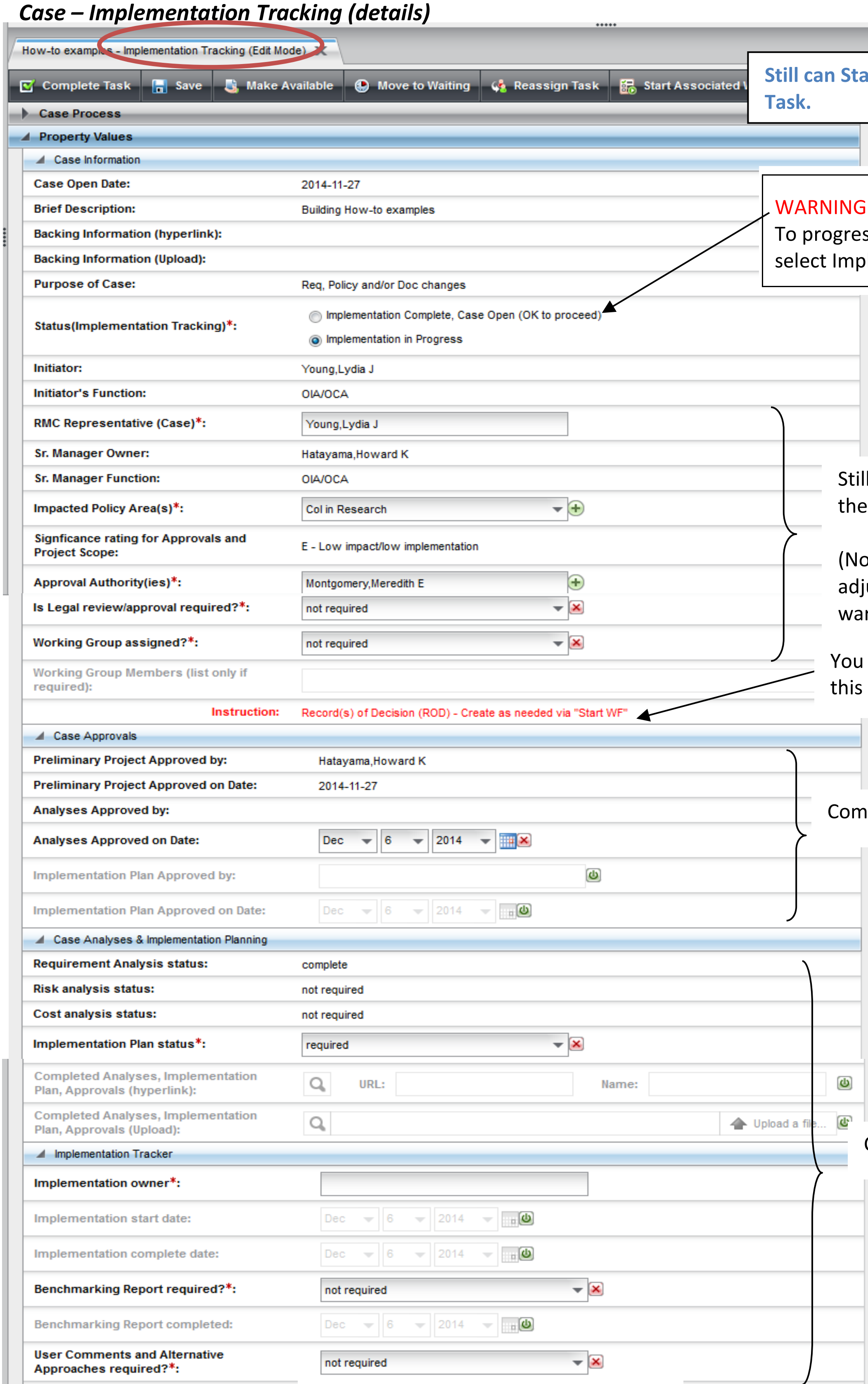
See How-to DC 07

Here we are in the workflow

"Case to Requirement WF": a Req changed via wf within this Case
"Case to Requirement (Supporting Requirements)": a Req that is being referenced but not modified within this Case.

6. If "Implementation Plan status" = "not required", then the Workflow skips to the inbox of the RMC Representative (Case) listed. See the RMS flow diagram. For all other choices for "Implementation Plan status", the Workflow will proceed to Implementation Tracking step.
7. The Case-Analysis/Planning step is recommended as the step to initiate any sub-workflows, as illustrated in Figure 3, Section D above.
    a. See How-to DC04 to enter a Document sub-workflow
    b. See How-to DC05 to enter an Action/ROD sub-workflow
    c. See How-to AD02 to enter a non-deliverable requirement (only RM PM, Admins can do this)
    d. See How-to AD04, AD05, AD07 to enter deliverable requirements (only RM PM, Admins can do these).
8. When ready to proceed from Analysis/Planning, be sure to select OK to proceed in Status/A/P field. Then select "Complete Task".
9. If the Case is to proceed to Implementation Tracking, then the following detailed window is next.

Case – Implementation Tracking (details)



How-to examples - Implementation Tracking (Edit Mode)

Complete Task | Save | Make Available | Move to Waiting | Reassign Task | Start Associated W

Case Process

Property Values

Case Information

Case Open Date:	2014-11-27
Brief Description:	Building How-to examples
Backing Information (hyperlink):	
Backing Information (Upload):	
Purpose of Case:	Req, Policy and/or Doc changes
Status(Implementation Tracking)*:	Implementation Complete, Case Open (OK to proceed) / Implementation in Progress
Initiator:	Young,Lydia J
Initiator's Function:	OIA/OCA
RMC Representative (Case)*:	Young,Lydia J
Sr. Manager Owner:	Hatayama,Howard K
Sr. Manager Function:	OIA/OCA
Impacted Policy Area(s)*:	CoI in Research
Signficance rating for Approvals and Project Scope:	E - Low impact/low implementation
Approval Authority(ies)*:	Montgomery,Meredith E
Is Legal review/approval required?*:	not required
Working Group assigned?*:	not required
Working Group Members (list only if required):	
Instruction:	Record(s) of Decision (ROD) - Create as needed via "Start WF"

Case Approvals

Preliminary Project Approved by:	Hatayama,Howard K
Preliminary Project Approved on Date:	2014-11-27
Analyses Approved by:	
Analyses Approved on Date:	Dec 6 2014
Implementation Plan Approved by:	
Implementation Plan Approved on Date:	Dec 6 2014

Case Analyses & Implementation Planning

Requirement Analysis status:	complete
Risk analysis status:	not required
Cost analysis status:	not required
Implementation Plan status*:	required
Completed Analyses, Implementation Plan, Approvals (hyperlink):	URL: Name:
Completed Analyses, Implementation Plan, Approvals (Upload):	Upload a file...

Implementation Tracker

Implementation owner*:	
Implementation start date:	Dec 6 2014
Implementation complete date:	Dec 6 2014
Benchmarking Report required?*:	not required
Benchmarking Report completed:	Dec 6 2014
User Comments and Alternative Approaches required?*:	not required

Still can Start subWFs when in this Task.

WARNING!
To progress to next step, MUST select Implementation Complete!

Still opportunity to amend these.

(Note Signif Rating can be adjusted in RMC Review step, if warranted)

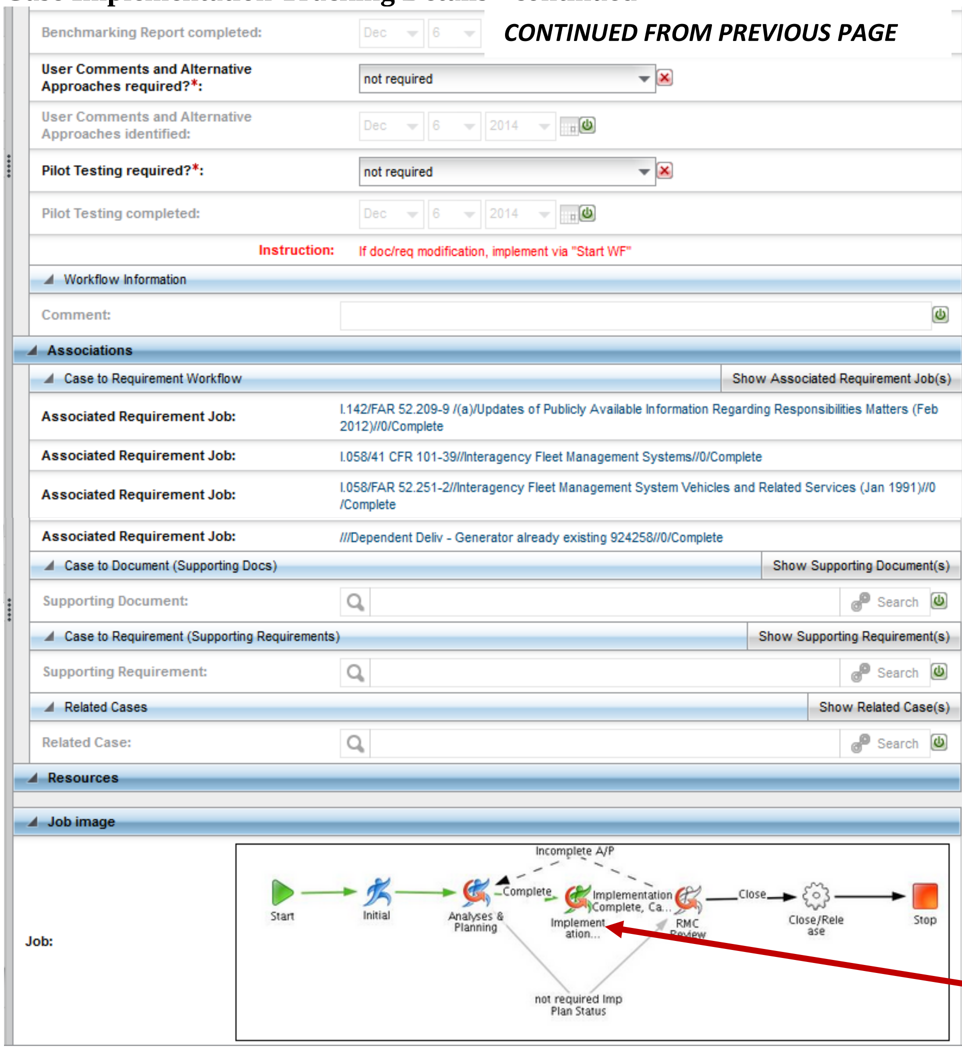
You can start a ROD WF during this Case step.

Complete as needed.

Complete as needed.

CONTINUED NEXT PAGE

Case Implementation Tracking Details - continued



Complete as needed.

Note carefully the different type of Associations.

"Associated WFs" refer to those that have been generated within this Case. [In this example, 4 reqs wfs were opened and closed].

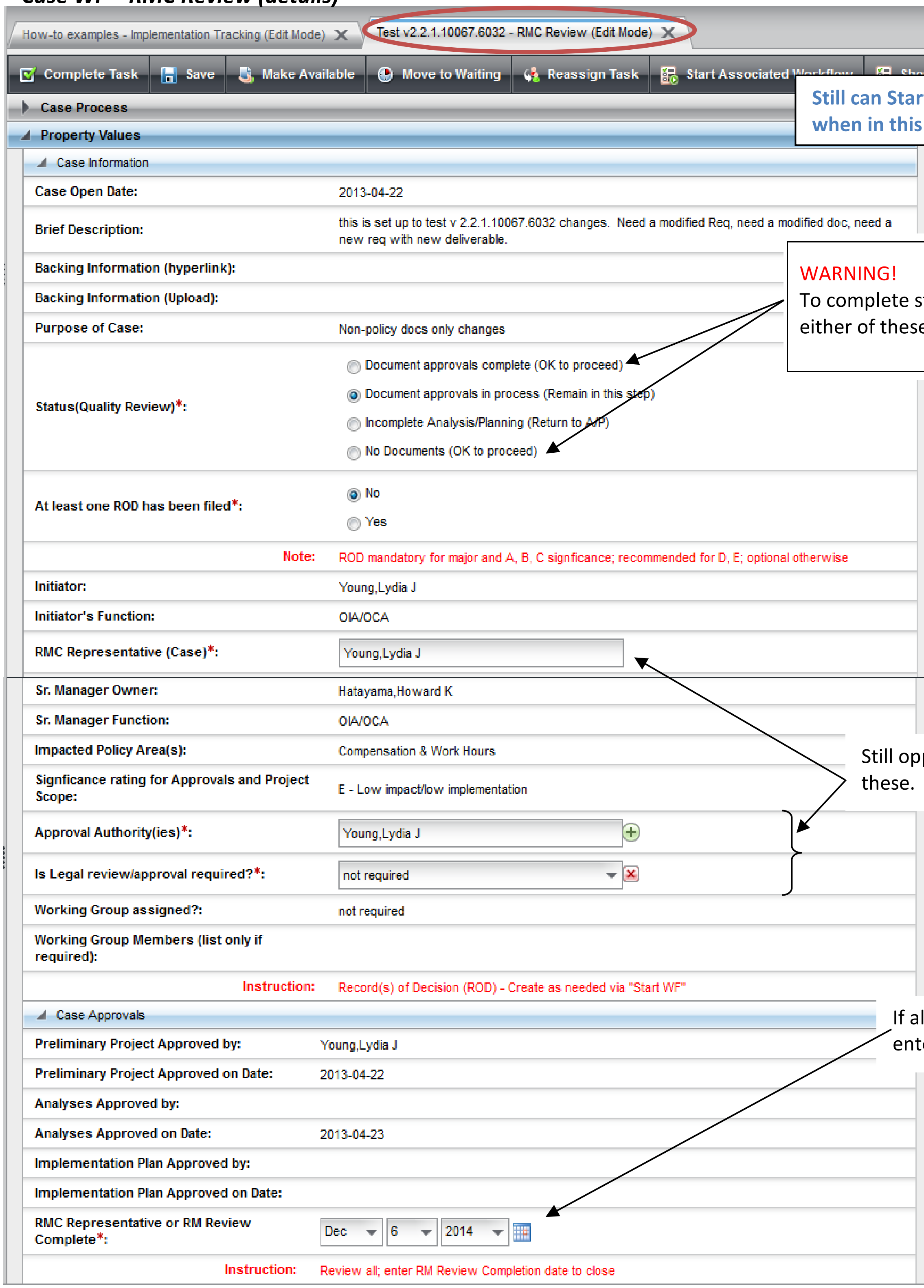
Still opportunity to add supporting docs or reqs, which are merely related but NOT modified in this Case.

See How-to DC07

Here we are in the workflow

10. The Implementation Tracking step may remain open until implementation is complete. The RMS step may be updated while the activity is in process. Be sure to "Save" the data, if implementation is not yet completed.
11. When implementation is complete, and the Case is ready to proceed toward closure, then select "Complete Task."
12. The workflow is then put in the Inbox of the RMC representative listed in the Case data. The RMC rep and the RM PM (cc'd) receive a notification of the item moving to the RMC rep's queue.
13. The RMC representative has the opportunity to verify the information in the Case before closing it. He/she should make sure:
    a. All the associated workflows for modified documents and requirements are completed
    b. All associated RODs/action workflows are completed.
    c. Any items that were not modified but are related to the Case have been associated.
14. If any sub-workflow is shown as "active", the Case <u>WILL NOT CLOSE</u>. The RMC representative should try to troubleshoot the problem with the SME who initiated the problematic sub-workflow. If the RMC rep cannot resolve the problem, he/she should obtain the assistance of the RM PM.

Case WF – RMC Review (details)



How-to examples - Implementation Tracking (Edit Mode) | Test v2.2.1.10067.6032 - RMC Review (Edit Mode)

Complete Task | Save | Make Available | Move to Waiting | Reassign Task | Start Associated Workflow

Case Process

Property Values

Case Information

Case Open Date:	2013-04-22
Brief Description:	this is set up to test v 2.2.1.10067.6032 changes. Need a modified Req, need a modified doc, need a new req with new deliverable.
Backing Information (hyperlink):	
Backing Information (Upload):	
Purpose of Case:	Non-policy docs only changes
Status(Quality Review)*:	Document approvals complete (OK to proceed) Document approvals in process (Remain in this step) Incomplete Analysis/Planning (Return to A/P) No Documents (OK to proceed)
At least one ROD has been filed*:	No Yes
Note:	ROD mandatory for major and A, B, C signficance; recommended for D, E; optional otherwise
Initiator:	Young,Lydia J
Initiator's Function:	OIA/OCA
RMC Representative (Case)*:	Young,Lydia J
Sr. Manager Owner:	Hatayama,Howard K
Sr. Manager Function:	OIA/OCA
Impacted Policy Area(s):	Compensation & Work Hours
Signficance rating for Approvals and Project Scope:	E - Low impact/low implementation
Approval Authority(ies)*:	Young,Lydia J
Is Legal review/approval required?*:	not required
Working Group assigned?:	not required
Working Group Members (list only if required):	
Instruction:	Record(s) of Decision (ROD) - Create as needed via "Start WF"

Case Approvals

Preliminary Project Approved by:	Young,Lydia J
Preliminary Project Approved on Date:	2013-04-22
Analyses Approved by:	
Analyses Approved on Date:	2013-04-23
Implementation Plan Approved by:	
Implementation Plan Approved on Date:	
RMC Representative or RM Review Complete*:	Dec 6 2014
Instruction:	Review all; enter RM Review Completion date to close

Still can Start subWFs when in this Task.

WARNING!
To complete step, MUST select either of these 2 choices

Still opportunity to amend these.

If all the data correct, enter date.

CONTINUED NEXT PAGE

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Case Analyses & Implementation Planning

Requirement Analysis status:	required
Risk analysis status:	not required
Cost analysis status:	not required
Implementation Plan status:	not required
Completed Analyses, Implementation Plan, Approvals (hyperlink):	URL: Name:
Completed Analyses, Implementation Plan, Approvals (Upload):	Upload a file...

Still opportunity to amend these.

Implementation Tracker

Implementation owner:	
Implementation start date:	
Implementation complete date:	
Benchmarking Report required?:	not required
Benchmarking Report completed:	
User Comments and Alternative Approaches required?:	not required
User Comments and Alternative Approaches identified:	
Pilot Testing required?:	not required
Pilot Testing completed:	

Workflow Information

Comment:	

Associations

Case to Document Workflow — Show Associated Document Job(s)

Associated Document Job:	Policy/Dummy Policy//99.89.123.000/1/Complete
Associated Document Job:	Policy/Requirements Management Policy//04.04.001.000/2/Complete
Associated Document Job:	Charter/try to fail test//12.345.678.900//Complete

Case to Requirement Workflow — Show Associated Requirement Job(s)

Associated Requirement Job:	/California Labor Code Section 6400//California Labor Code Section 6400//0/Complete
Associated Requirement Job:	///testB 2.2.1.10067.6032//0/Complete
Associated Requirement Job:	/O 443.1A/Attachment 1 Protection of Human Subjects, except for duplicate reporting requirements already covered in Necessary Standards 10 CFR, (DOE) Protection of Human Subjects, and 45 CFR 46 (DHHS), Protection of Human Subjects/Protection of Human Research Subjects, /Contractor Requirements Document/0/Complete
Associated Requirement Job:	I.095/Test v 2.2.1.10067.6032 //deliverables testing//0/Complete
Associated Requirement Job:	/O 430.1B, Chg. 1 //Real Property Asset Management//0/Complete
Associated Requirement Job:	I.021/FAR 52.222-4/I.21 (d) (1)/Contract Work Hours and Safety Standards Act - Overtime Compensation (July 2005)//0/Complete

Case to Requirement (Supporting Requirements) — Show Supporting Requirement(s)

Supporting Requirement:	/1234 Berkeley City Law//Deliver something some time//0

RMC Rep review INCLUDES double checking these.

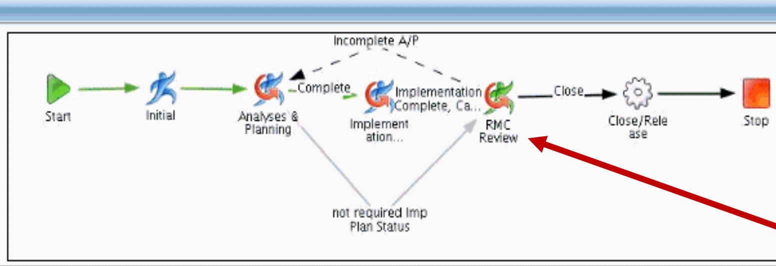
Note that if ROD is completed, it will be listed.

Details about the ROD should be reviewed, too!

Resources

Job image

Job:



Here we are in the workflow

WARNING!
The sub-WFs MUST be closed for the Case to close. Check status via the last word in listed "titles". If the sub-wf is still open, then last word will be "active".

[In this example, all sub-wfs are complete.]

15. After verifying that all the Case information has been entered, or associated or attached, the RMC member then updates "Status" field, and then hits Complete Task.
16. The RMC member should verify that the Case has indeed closed. Look at the Inbox and/or Browse for the closed case.

F. Other Related Procedures:

- DC00 – Cheatsheet for RMC members
- DC01 – Data entry naming Conventions
- DC02 – Orientation for Data Entry – Screen Layout, Workflow Buttons, etc.
- DC05 – Data Entry – Document Sub-Workflow
- DC06 – Data Entry - Action/ROD Sub-Workflow
- DC07 – Data Entry – Setting Up Associations
- DC04A – Case Workflow with Document Sub-Workflow (video)

For RM PM and Admins only:

- AD02 – Adding a New Non-deliverable Requirement
- AD04 – Adding a New "As Required" Deliverable
- AD05 – Associating a Deliverable/Child to its Parent (video)
- AD07 – Modifying a Scheduled Deliverable

G. Revision History

Revision	Date	Who	Description
0	5-8-2012	L.J. Young	Initial
1.0	12-6-2014	L.J.Young	Update, formalize

DC05 – Document Sub-Workflow

A. Purpose:

This document explains how to complete the RM document sub-workflow and its several tasks/steps.

B. Who can do this procedure:

Persons who have RMS administrator, editor, or casual document permissions may do this procedure.

C. Pre-requisites

Persons using this procedure are expected to already:

- Be fluent in RM terminology, RM processes, and document management best practices
- Be well practiced in setting up a RMS Case workflow.
- Be well practiced in RMS search and familiar with the general RMS screen layouts and window pane purposes.

See Section F of this Procedure for the list of related RMS How-To procedures.

D. Background

The kinds of RMS document concept types that are supported in the RMS are shown in Figure 1. Very specifically, RMS document concepts are those items that are under Lab control (that is, updated by Lab personnel).

Figure 1:

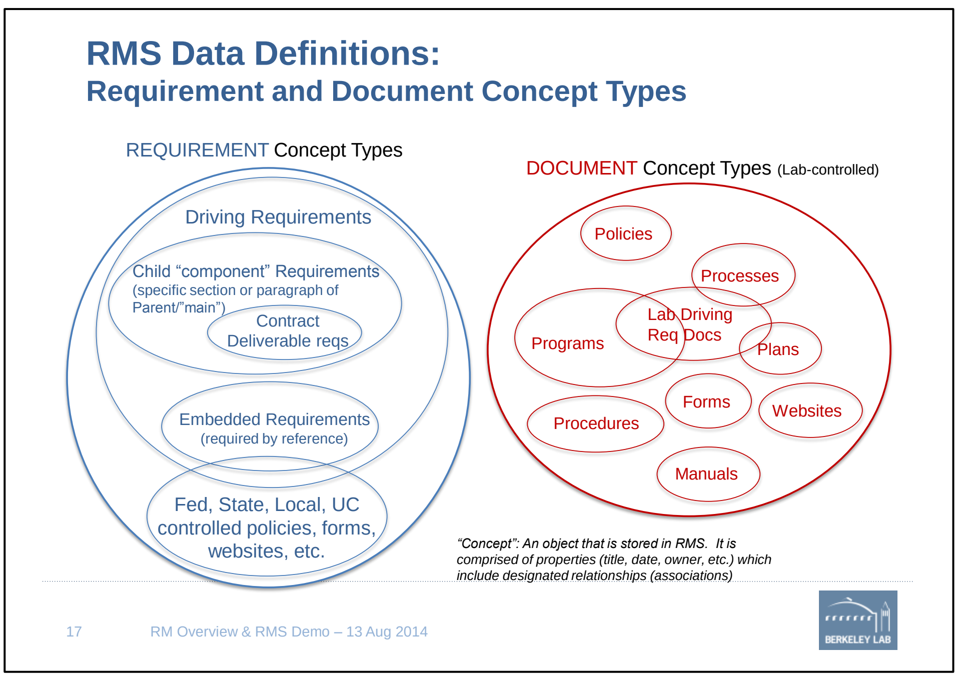


Figure 2 describes the document process flow steps, and the relationship of the document workflow to the Case workflow.

Figure 2: Document Sub-Workflow and its relationship to a Case Workflow

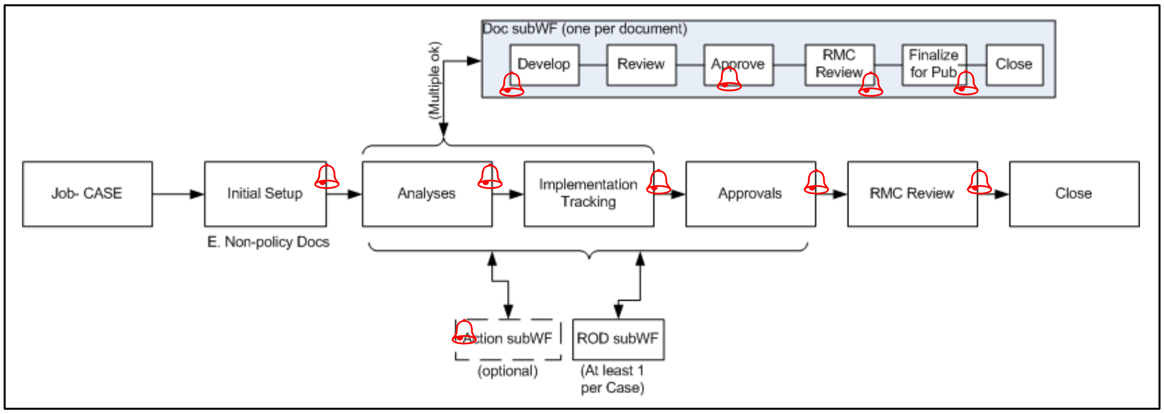


Figure 3: RMS Job Image of the Document Workflow.

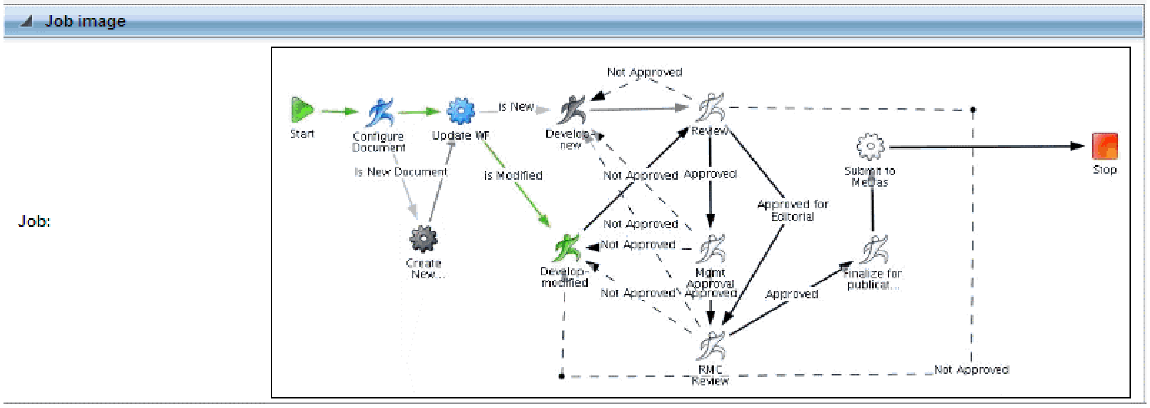
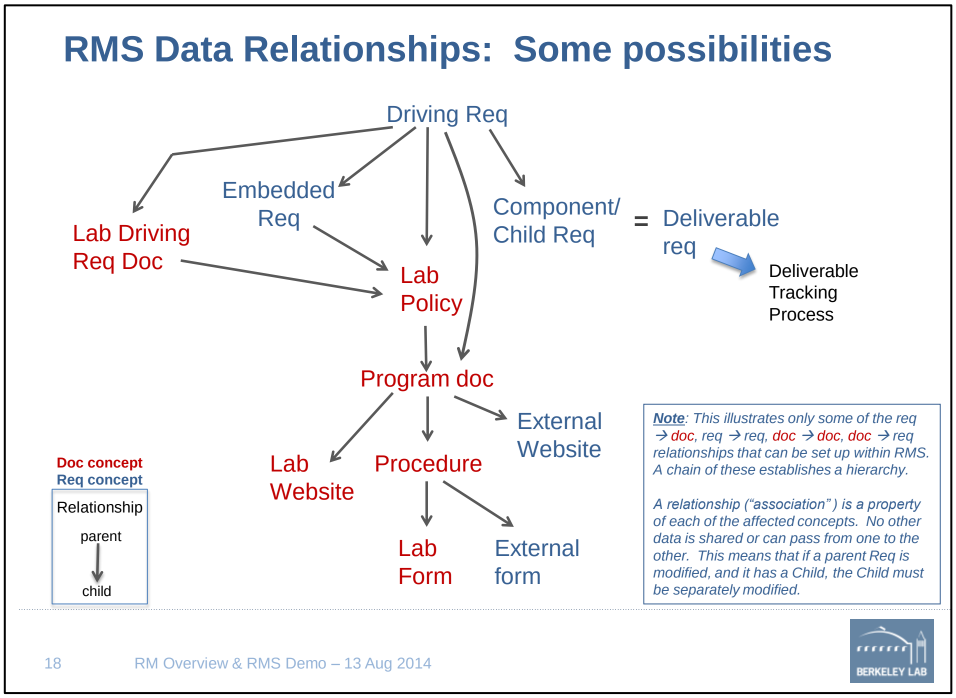


Figure 3 shows the user-selectable alternative paths along which the workflow may proceed, including returning to the Develop-New or Develop-Modify steps, if information is not approved. This procedure explains the many steps of the workflow. Note that completed steps are colored blue, the step in progress is green, and steps not yet completed or not in the flow are uncolored.

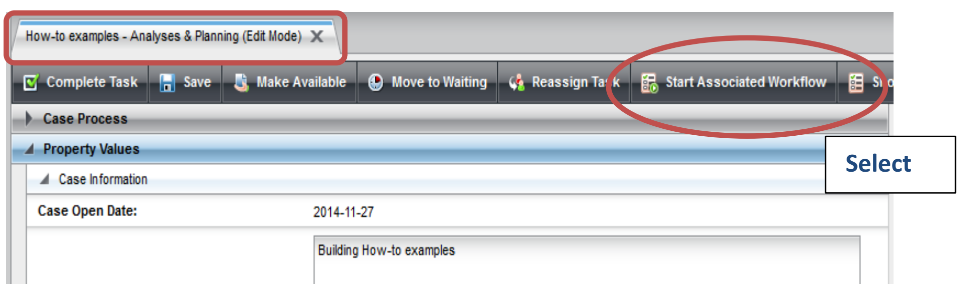
Finally, the value of the RMS database lies in the connections or associations among the many document, requirement and case records. Cases bring together the histories of documents and requirements. Associations between requirements and documents, and documents and other documents provide the traceability from requirements down through the documents that describe implementation in support of the requirement. The document workflow provides the opportunity to establish its relationships or associations as well as provide any typical metadata (document number, revision, dates, owners, etc.). Figure 4 illustrates examples of possible associations that may be established while entering workflow inputs.

Figure 4: RMS Data Relationships

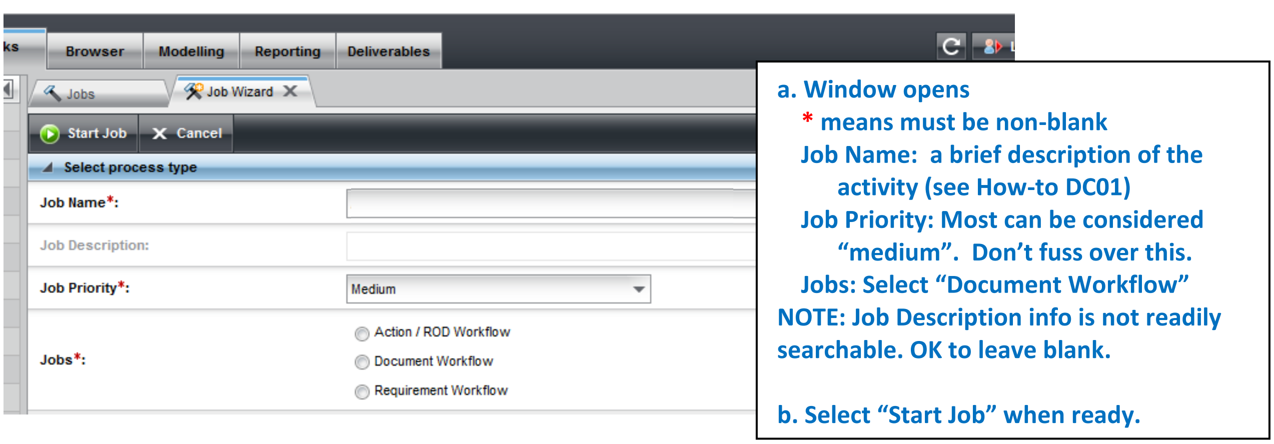


E. Procedure

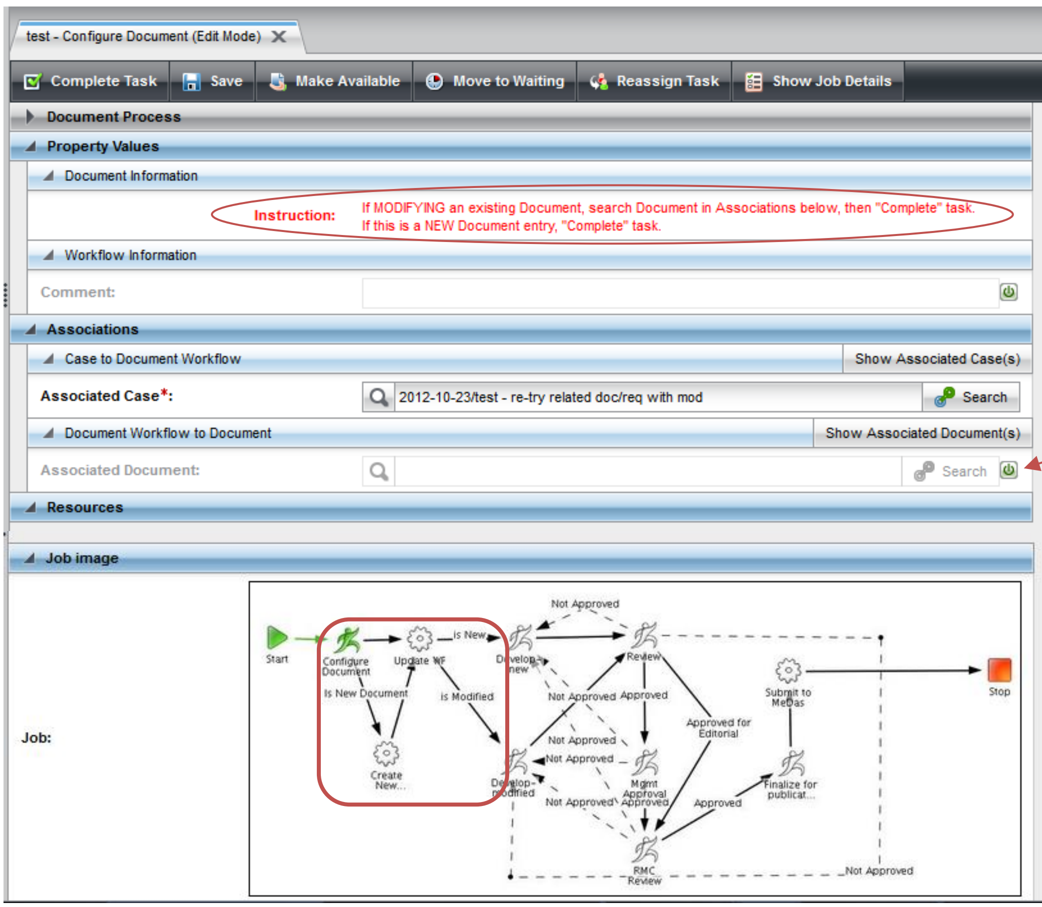
1. From within a Case workflow, select "Start Associated Workflow".



2. Job Window results. Complete the information per DC01 guidelines.



3. Starting Job yields Configure Document step. Two possibilities for the next step
   a. Create a new document entry – do nothing else except hit “Complete Task”
   b. Modify an existing document – Must search for the specific document and add it to this page. Here are the basic steps:
      i. Within Configure Document step, **enable** Associations/Document WF to Document/Associated Document by hitting the green button.
      ii. Once enabled, select “Search”.
      iii. Browse/Search Filter/Find and then select the item of interest from the list.
      iv. Review and if ok, then select “Choose”.
      v. The Document WF/Configure Document screen should return with the selected existing item entered in the Associated Document field.
4. After Step 3a or 3b above are done, hit “Complete Task” to move to next step of the Document WF.

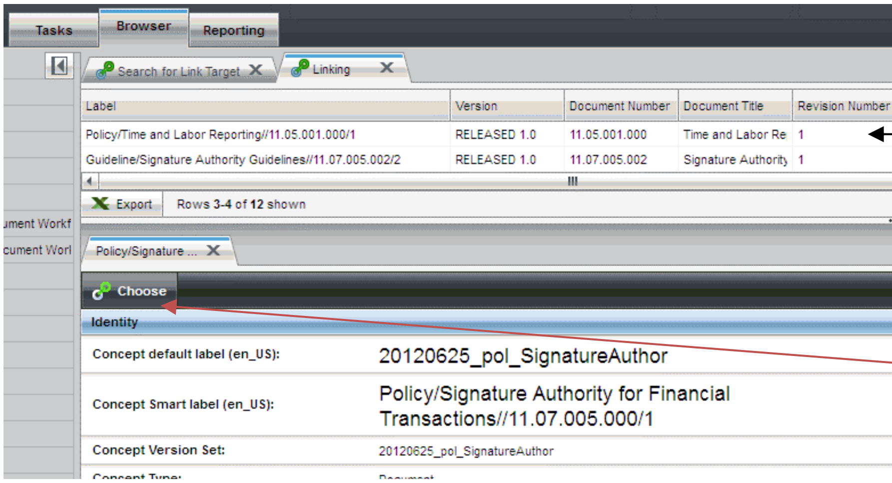


3a. If data for a new document is to be entered, then do nothing on this page and hit “Complete”.

3b. If data for an existing document is to be modified, then you need to search for the specific document and add it to this page.
3.b.i Enable by selecting green button,
3.b.ii. then select Search.

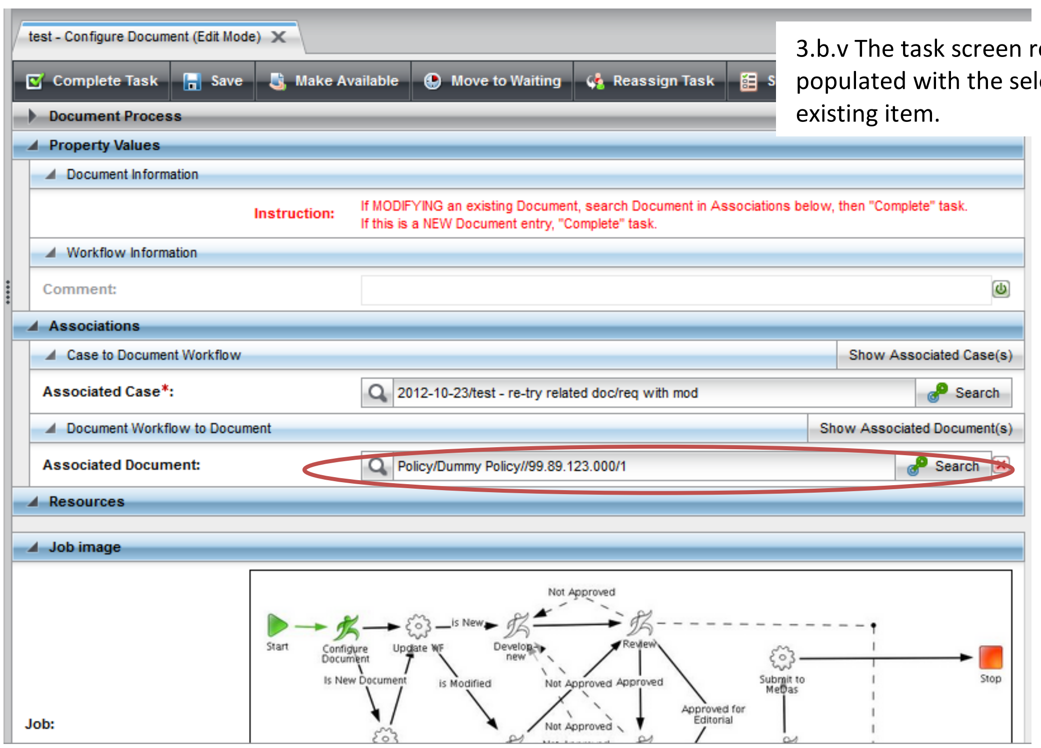
The only purpose of this workflow step is to permit the option to identify and find an existing document concept to modify.

3.b.iii. Modifying an existing document: After searching via search filter (How-to VO3A) get search results:



3.b.iii. Obtain list, and

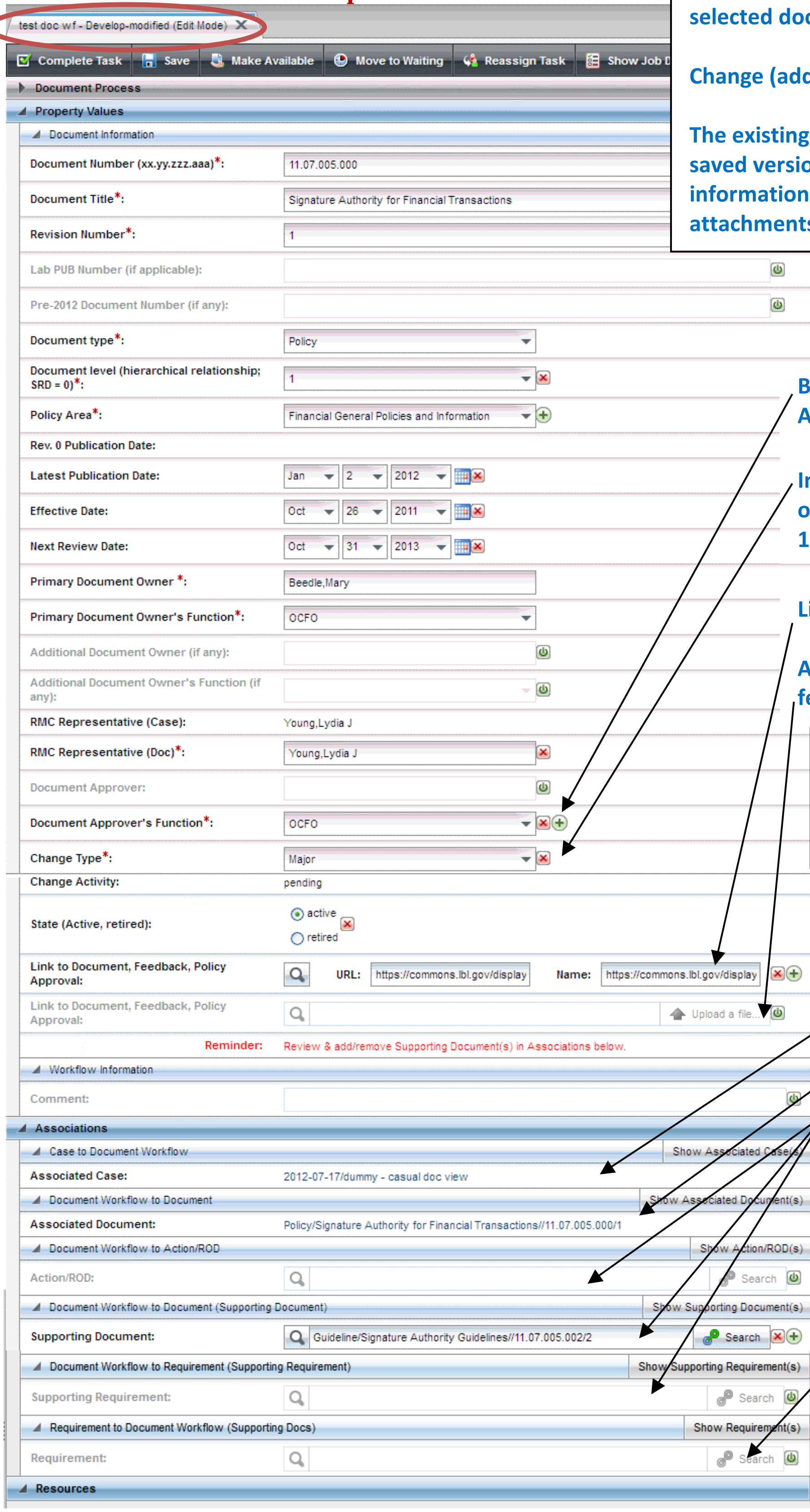
3.b.iv Verify the details and then hit "Choose"



3.b.v The task screen returns, populated with the selected existing item.

4. Select "Complete Task" to progress to next step.

Document Workflow – Develop – Modification



Information is pre-filled with the data of the selected document.

Change (add, remove, modify) as needed.

The existing information is preserved in the saved version. It is ok to change any and all information, including replacing any links or attachments with updates

Be sure to include the Document Approver's name.

Indicate type of change for this version of the document. See Doc # 10.06.001.104 for definitions.

Link to FINAL approved version of doc

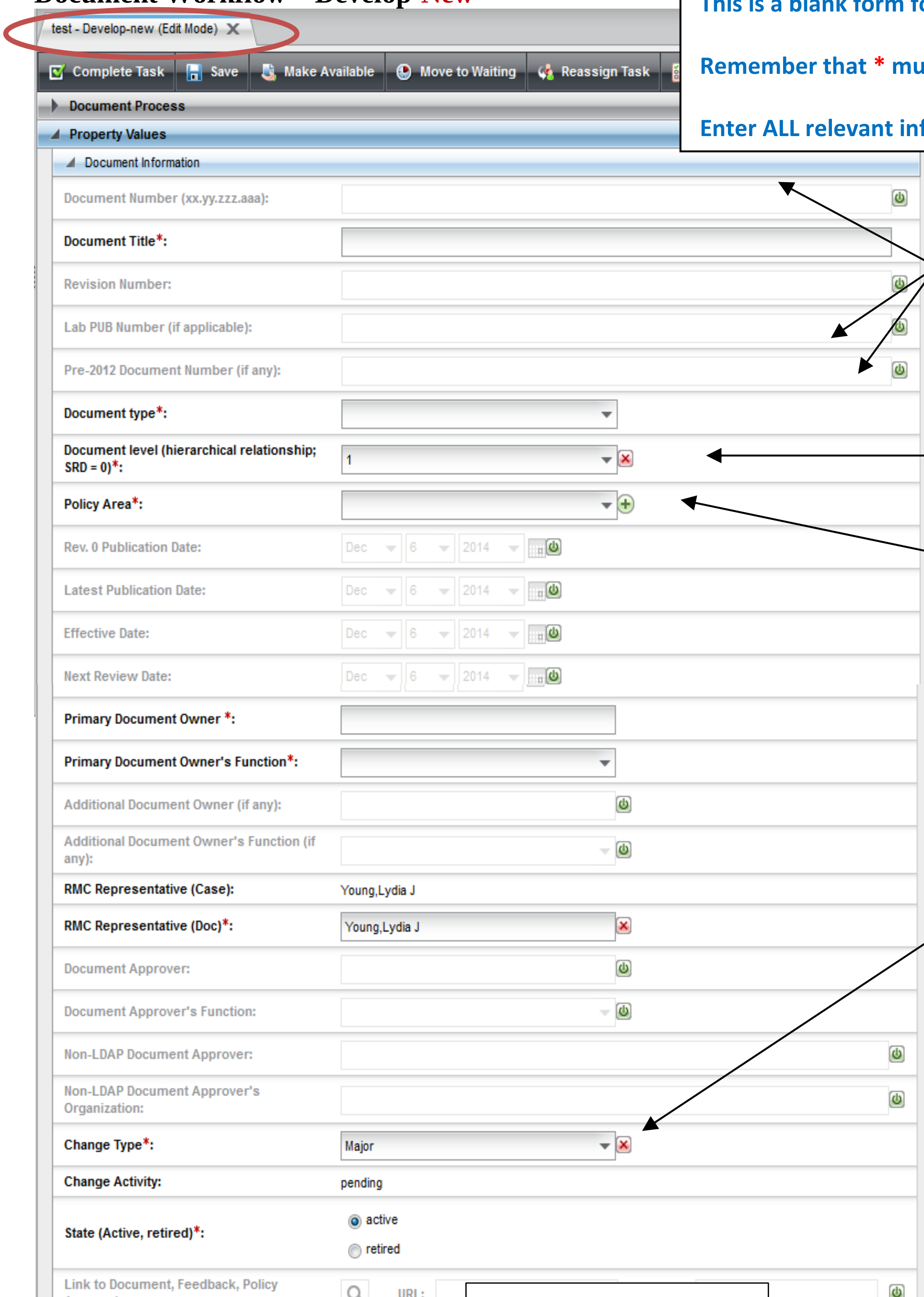
Attach approvals, any reviewer feedback, etc.

Do not keep earlier link or attachment if it does not apply. Versioning retains the previous version's info including

Associations are critical.

- Associated Case is the Case from which this Doc wf started.
- Associated Doc is this doc (duh…)
- Supporting Doc, Supporting Req, ROD/Action are children of this Document.
  - Add as appropriate (Enable green button, then Search/Find/Choose)
  - Can include more than 1!
  - These must already be in the system! (So best to always enter Children info before Parent info)
- Requirement is a PARENT of this doc.
  - Add as appropriate (Enable green button, then Search/Find/Choose)
  - Can include more than 1.

Document Workflow – Develop-New



test - Develop-new (Edit Mode)

Complete Task | Save | Make Available | Move to Waiting | Reassign Task

Document Process

Property Values

Document Information

Document Number (xx.yy.zzz.aaa):	
Document Title*:	
Revision Number:	
Lab PUB Number (if applicable):	
Pre-2012 Document Number (if any):	
Document type*:	
Document level (hierarchical relationship; SRD = 0)*:	1
Policy Area*:	
Rev. 0 Publication Date:	Dec 6 2014
Latest Publication Date:	Dec 6 2014
Effective Date:	Dec 6 2014
Next Review Date:	Dec 6 2014
Primary Document Owner *:	
Primary Document Owner's Function*:	
Additional Document Owner (if any):	
Additional Document Owner's Function (if any):	
RMC Representative (Case):	Young,Lydia J
RMC Representative (Doc)*:	Young,Lydia J
Document Approver:	
Document Approver's Function:	
Non-LDAP Document Approver:	
Non-LDAP Document Approver's Organization:	
Change Type*:	Major
Change Activity:	pending
State (Active, retired)*:	active / retired
Link to Document, Feedback, Policy Approval:	URL:

This is a blank form for data of a new document.

Remember that * must be non-blank to "complete"!

Enter ALL relevant information.

Enter at least ONE identifying number in one of these 3 fields. Hit green button to enable.

This may be useful for sorting through complex hierarchies.

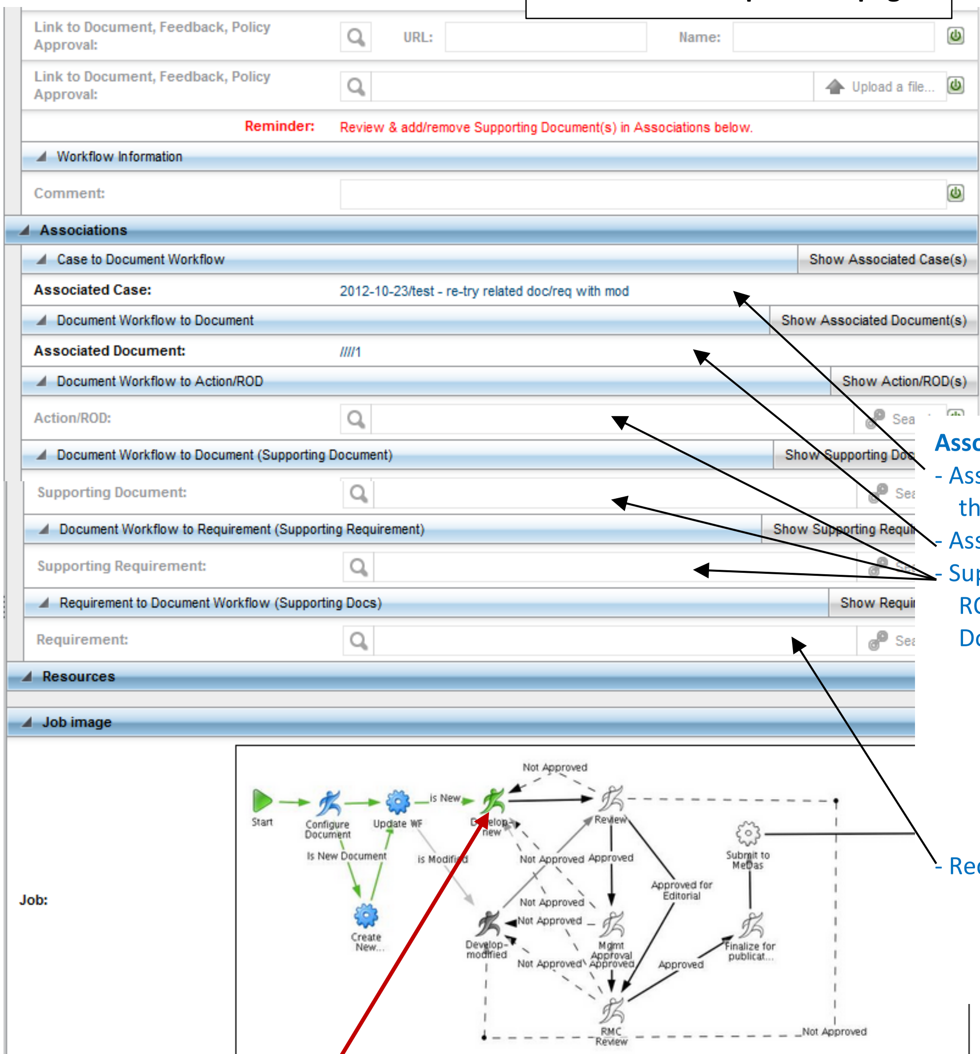
More than one Policy Area may be entered.

See Doc # 10.06.001.104 for definitions of Change Types – Major, Minor, Editorial

Continued next page

Document WF – Develop-New (continued)

Continued from previous page



(optional) Link to FINAL approved version of doc

(optional) Attach approvals, any reviewer feedback, etc. *3MB file size limit.*

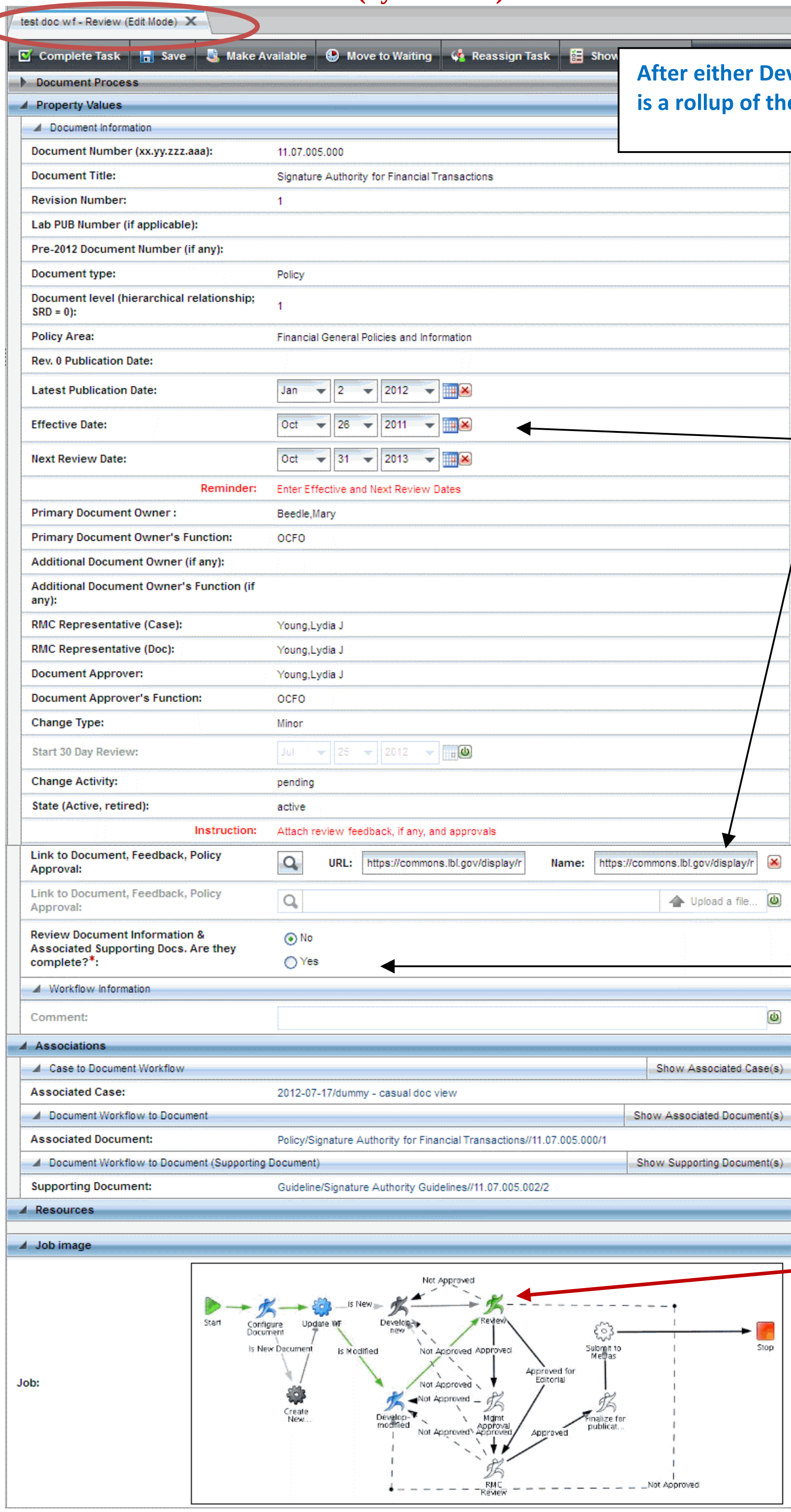
Associations are critical.

- Associated Case is the Case from which this Doc wf started.
- Associated Doc is this doc (duh…)
- Supporting Doc, Supporting Req, ROD/Action are children of this Document.
  - Add as appropriate (Enable green button, then Search/Find/Choose)
  - Can include more than 1!
  - These must already be in the system! (So best to always enter Children info before Parent info)
- Requirement is a PARENT of this doc.
  - Add as appropriate (Enable green button, then Search/Find/Choose)
  - Can include more than 1.

We're in this step.

Select "Complete Task when ready to progress to next step.

Document Workflow – Review (by Initiator)


test doc wf - Review (Edit Mode)

Complete Task | Save | Make Available | Move to Waiting | Reassign Task | Show

Document Process

Property Values

Document Information

Document Number (xx.yy.zzz.aaa):	11.07.005.000
Document Title:	Signature Authority for Financial Transactions
Revision Number:	1
Lab PUB Number (if applicable):	
Pre-2012 Document Number (if any):	
Document type:	Policy
Document level (hierarchical relationship; SRD = 0):	1
Policy Area:	Financial General Policies and Information
Rev. 0 Publication Date:	
Latest Publication Date:	Jan 2 2012
Effective Date:	Oct 26 2011
Next Review Date:	Oct 31 2013
Reminder:	Enter Effective and Next Review Dates
Primary Document Owner :	Beedle,Mary
Primary Document Owner's Function:	OCFO
Additional Document Owner (if any):	
Additional Document Owner's Function (if any):	
RMC Representative (Case):	Young,Lydia J
RMC Representative (Doc):	Young,Lydia J
Document Approver:	Young,Lydia J
Document Approver's Function:	OCFO
Change Type:	Minor
Start 30 Day Review:	Jul 25 2012
Change Activity:	pending
State (Active, retired):	active
Instruction:	Attach review feedback, if any, and approvals
Link to Document, Feedback, Policy Approval:	URL: https://commons.lbl.gov/display/r Name: https://commons.lbl.gov/display/r
Link to Document, Feedback, Policy Approval:	Upload a file...
Review Document Information & Associated Supporting Docs. Are they complete?*:	No / Yes

Workflow Information

Comment:

Associations

Case to Document Workflow — Show Associated Case(s)

Associated Case: 2012-07-17/dummy - casual doc view

Document Workflow to Document — Show Associated Document(s)

Associated Document: Policy/Signature Authority for Financial Transactions//11.07.005.000/1

Document Workflow to Document (Supporting Document) — Show Supporting Document(s)

Supporting Document: Guideline/Signature Authority Guidelines//11.07.005.002/2

Resources

Job image

Job:

After either Dev-New or Dev-Mod, the next task is a rollup of the data for the Initiator to review.

Can still add/modify date information and links/ attachments.

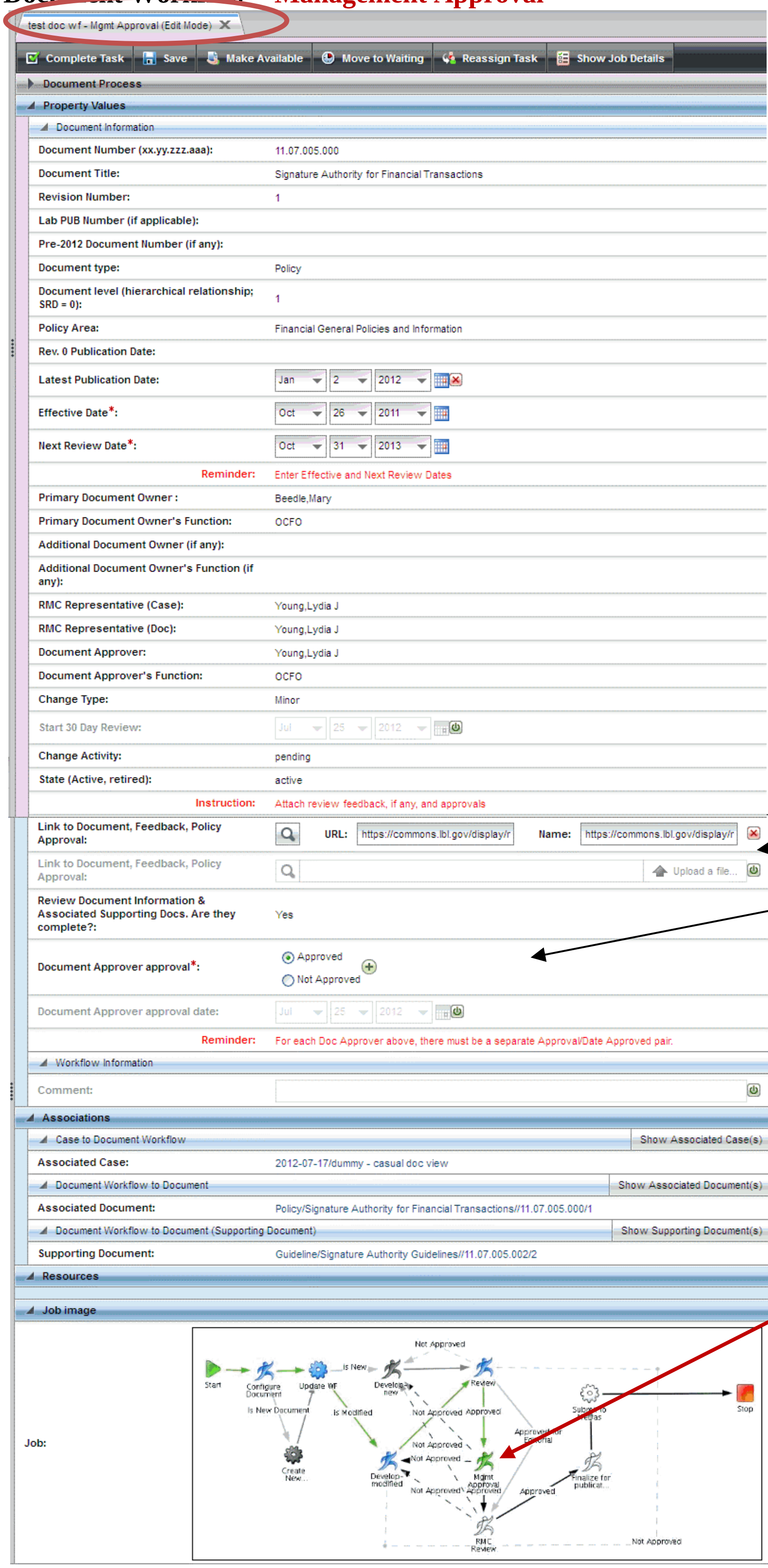
If there's a wrong entry that needs to be corrected, enter "No" and the WF will return to "Dev" step. (See Job Image at the bottom)

If all is well, then enter "yes" to proceed to Manager Approval step.

We're in this step.

Select "Complete Task when ready to progress to next step.

Document Workflow – Management Approval



After Initiator Review, the next task is Management Approval. This remains in Initiator's Inbox for now.

It is the Initiator's responsibility to collect approvals and attach copies in this WF.

Add links or attachments here.

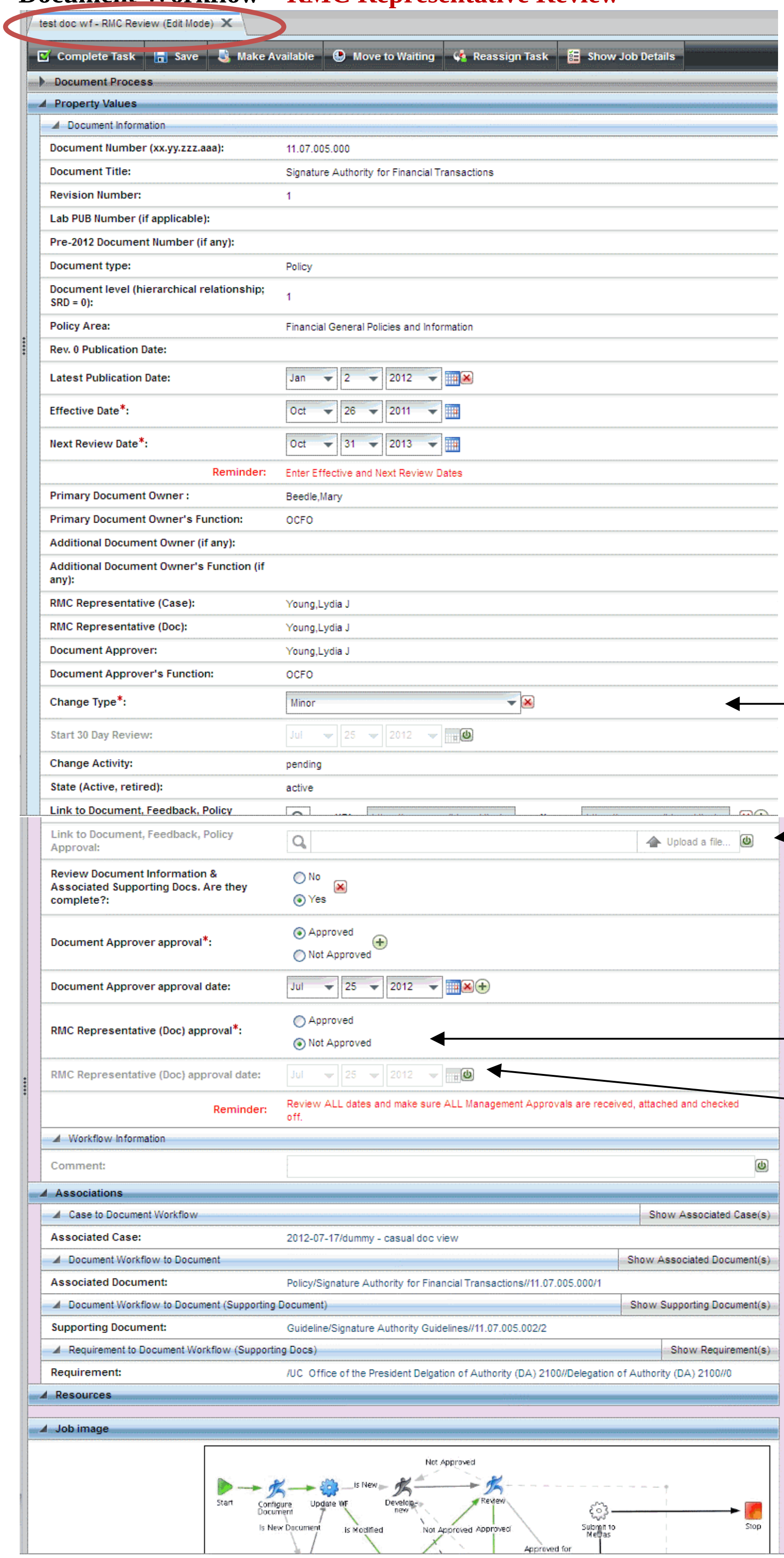
Indicate whether Doc Approver(s) approved (and date!).

If "Not Approved", then the task will return to Dev step!!!

We're in this step.

Select "Complete Task when ready to progress to next step.

Document Workflow – RMC Representative Review



After Management Approval, the wf passes to the RMC Rep to review and complete.

Check dates

Opportunity to change major/minor.

Opportunity to REVIEW and add links, attachments (are approvals really there?)

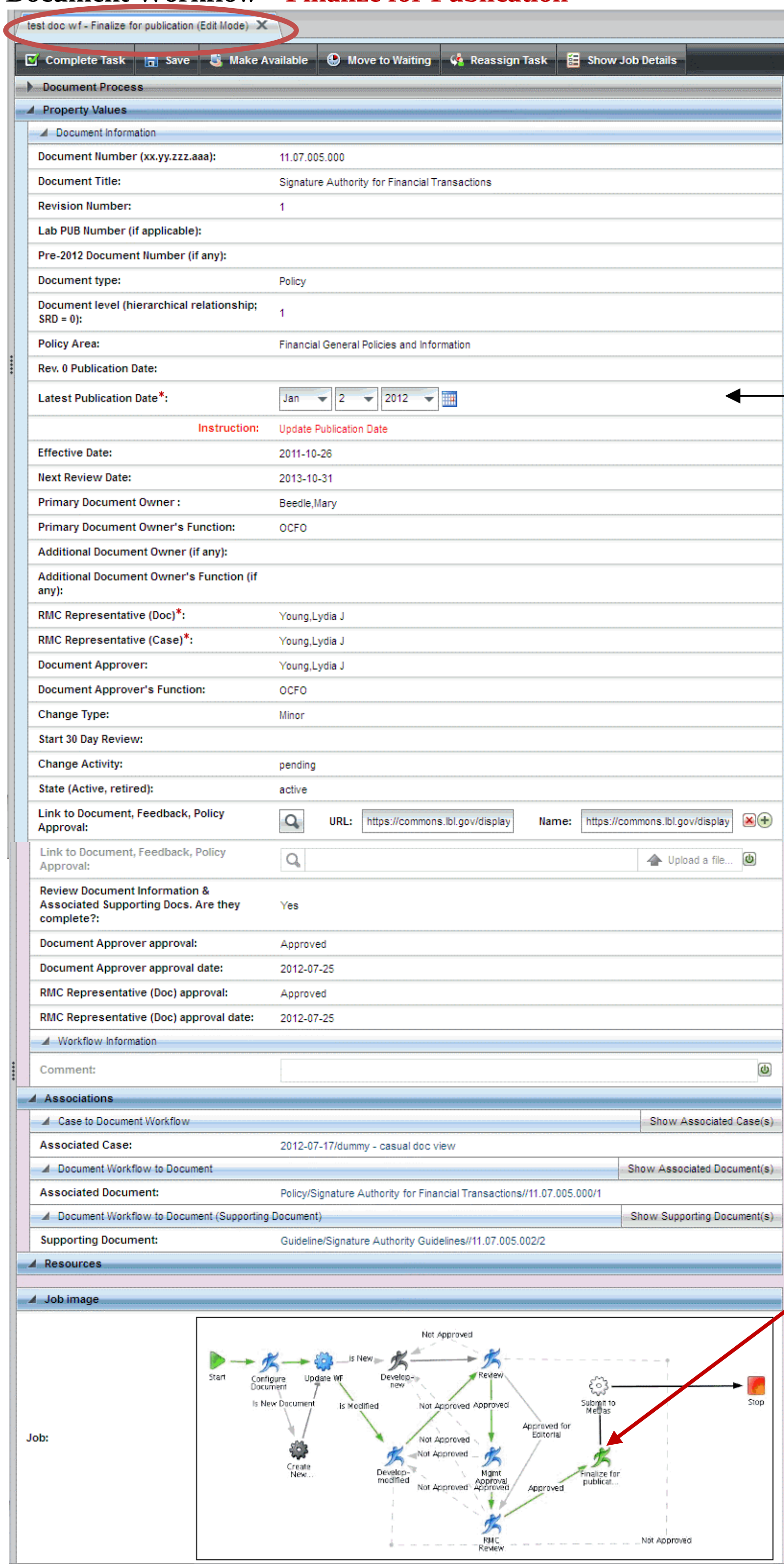
If not right, say "Not Approved" and the task returns to Initiator for fixing.

If ok, then check "Approved" and date.

Make sure all the needed associations have been made. If one is omitted, it can be added later via another Doc-Modify workflow.
- If missing, reject to return to Develop step of this wf.

Select "Complete Task when ready to progress to next step.

Document Workflow – Finalize for Publication



test doc wf - Finalize for publication (Edit Mode)

Complete Task | Save | Make Available | Move to Waiting | Reassign Task | Show Job Details

Document Process

Property Values

Document Information

Document Number (xx.yy.zzz.aaa):	11.07.005.000
Document Title:	Signature Authority for Financial Transactions
Revision Number:	1
Lab PUB Number (if applicable):	
Pre-2012 Document Number (if any):	
Document type:	Policy
Document level (hierarchical relationship; SRD = 0):	1
Policy Area:	Financial General Policies and Information
Rev. 0 Publication Date:	
Latest Publication Date*:	Jan 2 2012
Instruction:	Update Publication Date
Effective Date:	2011-10-26
Next Review Date:	2013-10-31
Primary Document Owner :	Beedle,Mary
Primary Document Owner's Function:	OCFO
Additional Document Owner (if any):	
Additional Document Owner's Function (if any):	
RMC Representative (Doc)*:	Young,Lydia J
RMC Representative (Case)*:	Young,Lydia J
Document Approver:	Young,Lydia J
Document Approver's Function:	OCFO
Change Type:	Minor
Start 30 Day Review:	
Change Activity:	pending
State (Active, retired):	active
Link to Document, Feedback, Policy Approval:	URL: https://commons.lbl.gov/display Name: https://commons.lbl.gov/display
Link to Document, Feedback, Policy Approval:	Upload a file...
Review Document Information & Associated Supporting Docs. Are they complete?:	Yes
Document Approver approval:	Approved
Document Approver approval date:	2012-07-25
RMC Representative (Doc) approval:	Approved
RMC Representative (Doc) approval date:	2012-07-25

Workflow Information

Comment:	

Associations

Case to Document Workflow — Show Associated Case(s)

Associated Case:	2012-07-17/dummy - casual doc view

Document Workflow to Document — Show Associated Document(s)

Associated Document:	Policy/Signature Authority for Financial Transactions//11.07.005.000/1

Document Workflow to Document (Supporting Document) — Show Supporting Document(s)

Supporting Document:	Guideline/Signature Authority Guidelines//11.07.005.002/2

Resources

Job image

Job:

This step currently belongs to RMC Rep. Publication often lags everything else. (This step could go to CSO Editor eventually).

Update publication date, if it hasn't been updated already.

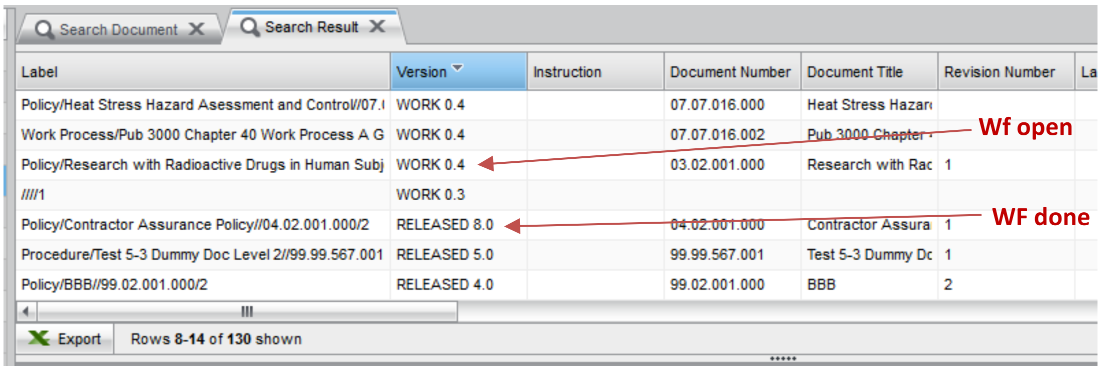
(Optional) Attach only than the FINAL version of the document. 3MB file size limit.

This is NOT a repository for a zillion working versions!!!

We're in this step.

Hitting "Complete Task" uploads all the new info, new Release, and closes the WF.

5. If a workflow step is not quite complete, be sure to "Save" the information. "Save" does not progress to the next step.
6. Note that disapproval, whether real or inadvertently indicated by overlooking selecting the respective radio button will result in the workflow returning to the "Develop" step. Study Figure 3, the Job Image!!!
7. Once "Complete Task" in the Final for Publication step is hit, be sure to verify that the workflow has indeed closed by:
    a. Pulling up the associated Case (be sure to refresh), and looking that the Associated Document workflow is showing "complete".
    b. Or Searching via Browse/Document/(specific document that was modified), and noting in the list that it is "released."



8. Verify the information that was uploaded via Browse/Document/(specific document that was modified).

F. Related How-to's

- DC00 – Cheatsheet for RMC members
- DC01 – Data entry naming Conventions
- DC02 – Orientation for Data Entry – Screen Layout, Workflow Buttons, etc.
- DC04 – Data Entry – Case Workflow
- DC06 – Data Entry - Action/ROD Sub-Workflow
- DC07 – Associating a Child to its Parent
- DC04A – Case Workflow with Document Sub-Workflow (video)
- LBNL Document # 10.06.001.104, Updating the RPM

G. Revision History

Revision	Date	Who	Description
0	5-8-2012	L.J. Young	Initial
1.0	12-6-2014	L.J.Young	Update, formalize

DC06 Action/ROD Sub-Workflow-

A. Purpose:
This document explains how to complete the RM Action/ROD sub-workflow.

B. Who can do this procedure:
Persons who have RMS administrator, editor, or casual document permissions may do this procedure.

C. Pre-requisites
Persons using this procedure are expected to already:

- Be fluent in RM terminology, RM processes, and document management best practices
- Be well practiced in setting up a RMS Case workflow.
- Be well practiced in RMS search and familiar with the general RMS screen layouts and window pane purposes.

See Section F of this Procedure for the list of related RMS How-To procedures.

D. Background
Figure 1 describes the relationship of the action/ROD workflow to the Case workflow. Actions or RODs may be entered at the Analyses, Implementation Tracking or Approval steps of the Case.

Figure 1: Document Sub-Workflow and its relationship to a Case Workflow

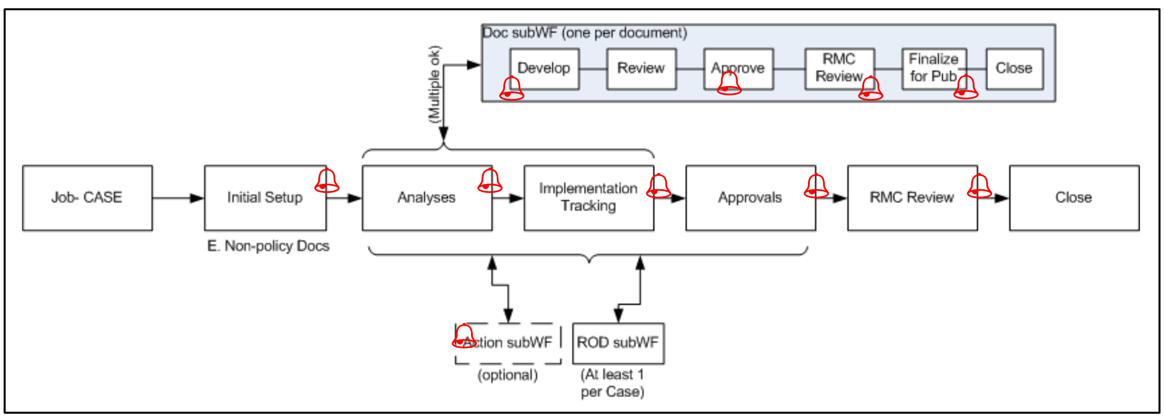


Figure 2: RMS Job Image of the Action/ROD Workflow.

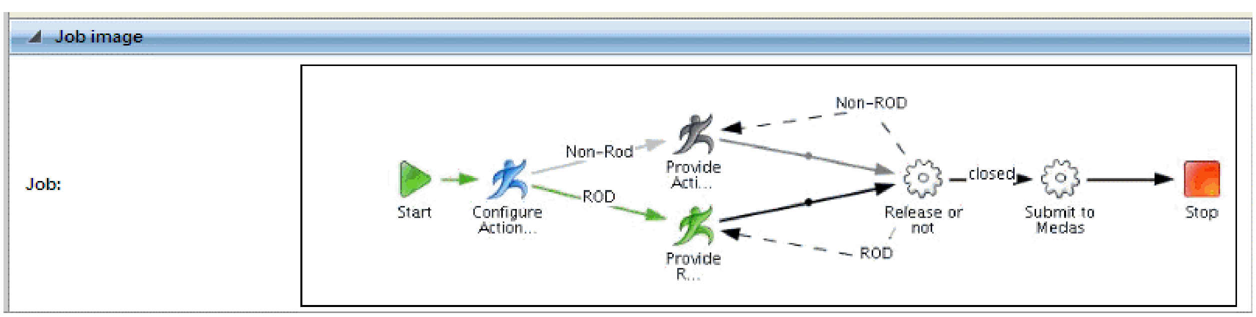
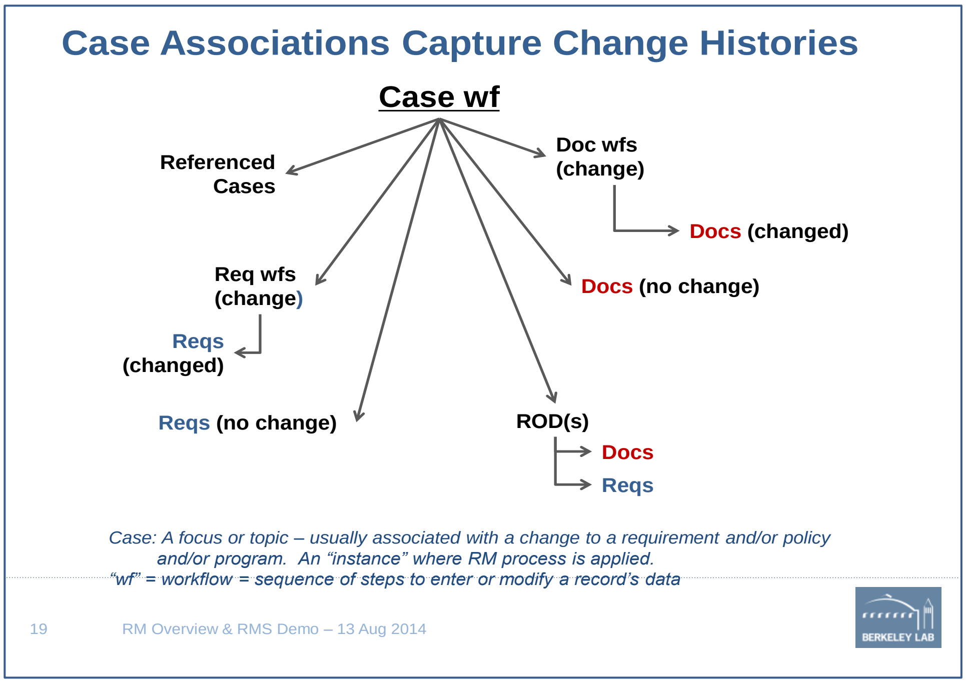


Figure 2 shows the user-selectable alternative paths (either Action or ROD) along which the workflow may proceed. This procedure explains the steps of the workflow. Note that completed steps are colored blue, the step in progress is green, and steps not yet completed or not in the flow are uncolored.

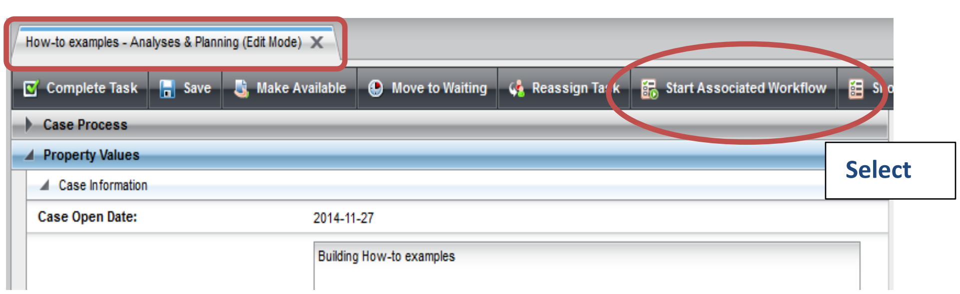
Finally, the value of the RMS database lies in the connections or associations among the many document, requirement and case records (which include actions and RODs). Cases bring together the histories of documents and requirements. Associations between RODS or actions and their related requirements and documents are part of the overall case record. In the action/ROD workflow, the associations to requirements or documents must be made manually. Figure 4 illustrates examples of possible associations carried by a Case.

Figure 3

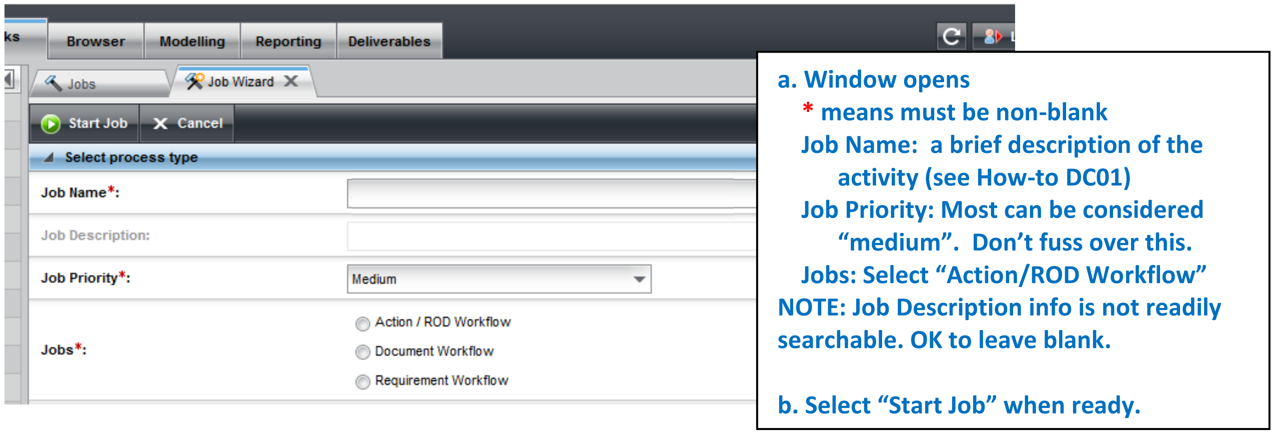


E. Procedure

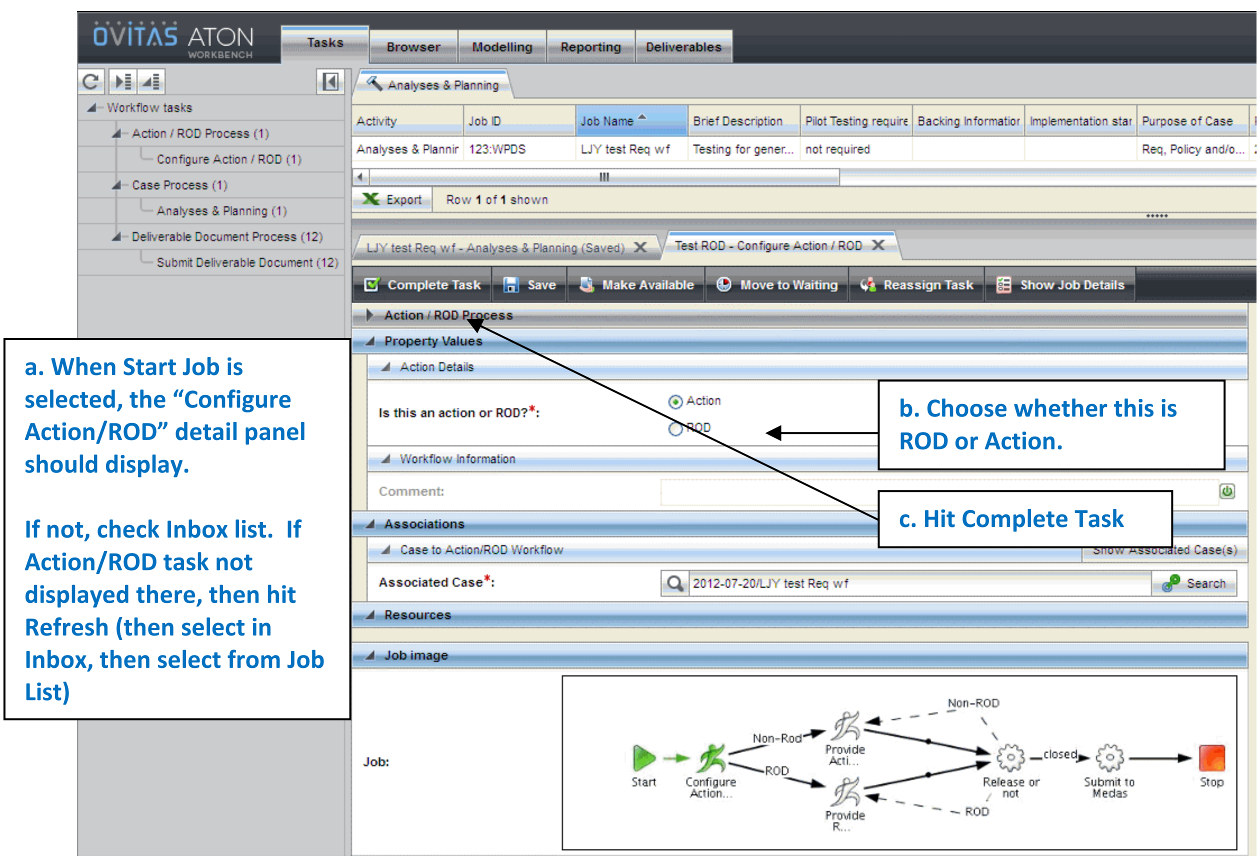
1. From within a Case workflow, select "Start Associated Workflow".



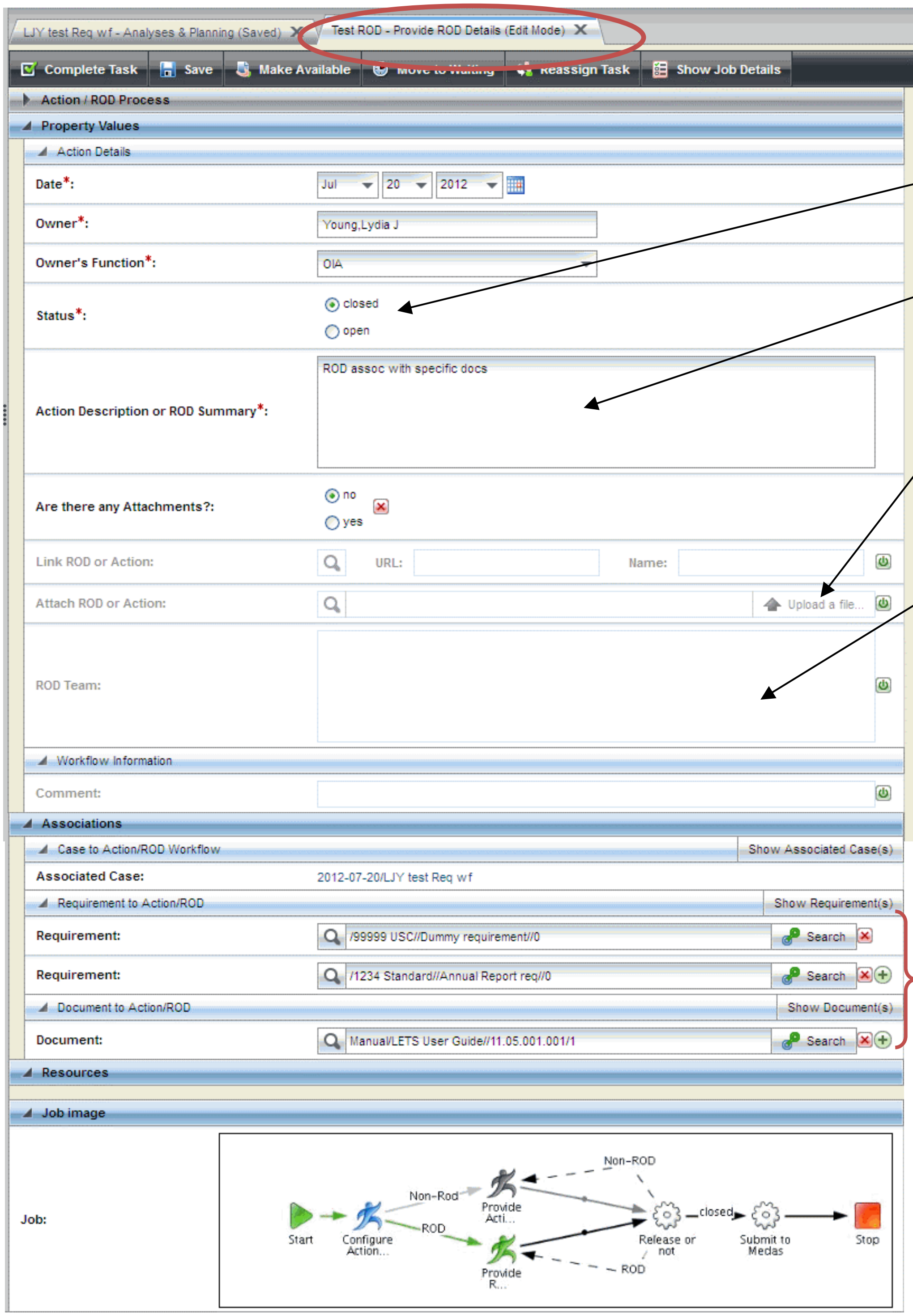
2. Job Window results. Complete the information per DC01 guidelines.



3. The detailed window for the Action/ROD – Configure Action step is displayed. (If not, go to Inbox, look for Action/ROD task, select, obtain list, then open detailed window.)
4. In the Configure step, select whether the item is an Action or a ROD.
5. Hit "Complete Task"



Action/ROD Workflow- **Provide ROD Details**



WARNING!
To complete this task, Status MUST = closed

Summarize BRIEFLY here. Be sure to cite what this is in reference to! (450 character limit)

Attach complete ROD here (3MB file size limit). Can add as many as 3

List persons who contributed to determining the ROD. These could be the same as Case Working Group – say so. Since Associated Case is listed, the names could be looked up there.

IMPORTANT!

Associate explicitly the Reqs and Docs impacted by the ROD.

This gives a direct searchable link between the ROD and the impacted Reqs or Docs.

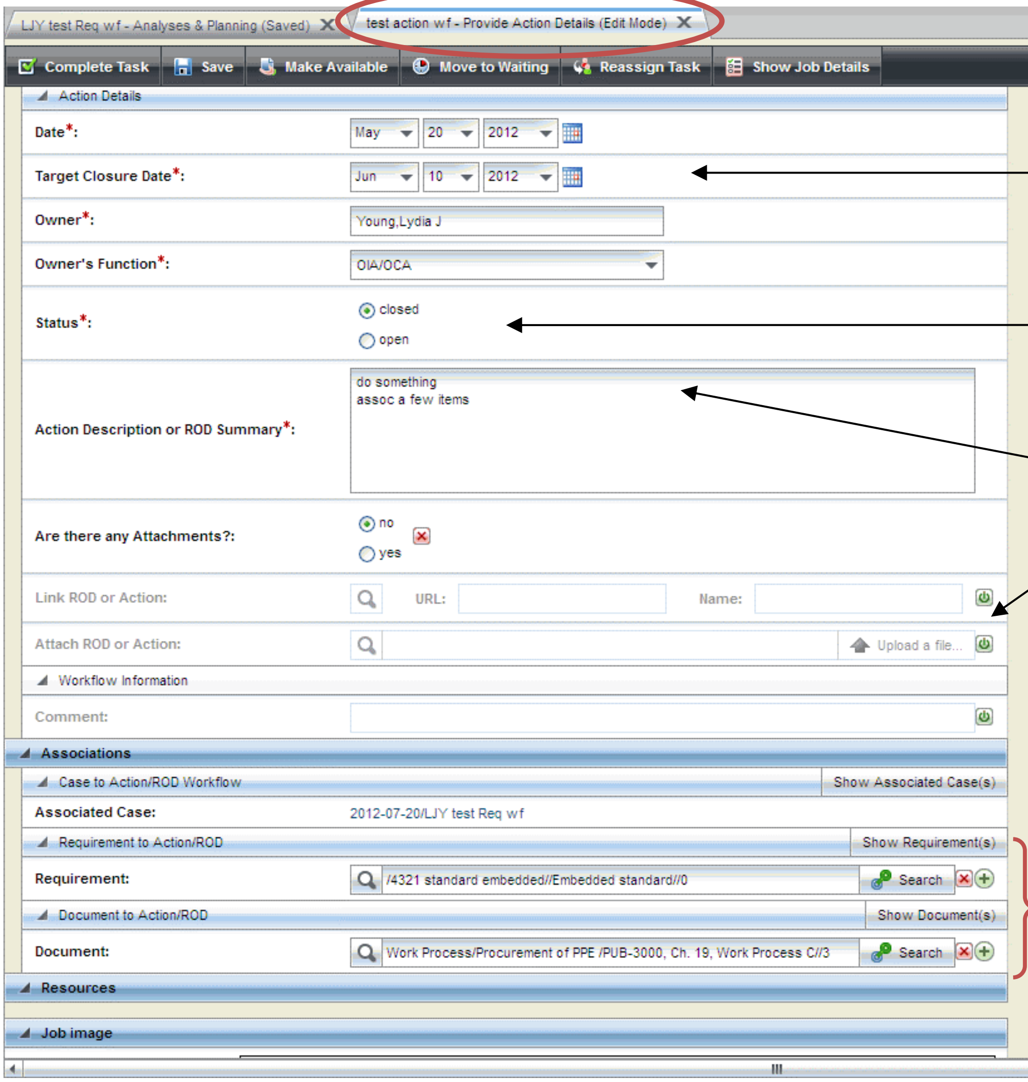
If new, create the impacted docs or reqs FIRST.

If existing doc/req, and not yet changed, it is ok to associate and then change later. RMS will update after the change

DO NOT FORGET TO DO THIS ASSOCIATION!

This is a one step process. “Complete Task” closes the workflow.

Action/ROD Workflow- Provide Action Details



If action is not closed within 60 days or 30 days of Target date, an alert is sent to Owner.

WARNING!
To complete this task, Status MUST = closed

Summarize BRIEFLY here.
(450 character limit)

Additional attachments can be included here.

IMPORTANT!
List explicitly the Reqs and Docs impacted by the Action.

This gives a directly searchable link between the Action and Reqs or Docs.

This is a one step process. “Complete Task” closes the workflow.

F. Other Related Procedures:

- DC00 – Cheatsheet for RMC members
- DC01 – Data entry naming Conventions
- DC02 – Orientation for Data Entry – Screen Layout, Workflow Buttons, etc.
- DC04 – Data Entry – Case Workflow
- DC07 – Setting Up Associations
- DC04A – Case Workflow with Document Sub-Workflow (video)

G. Revision History

Revision	Date	Who	Description
0	5-8-2012	L.J. Young	Initial
1.0	12-6-2014	L.J.Young	Update, formalize

DC07 Setting Up Associations

A. Purpose:

This document explains how to set up associations in Case, Document, Requirement, or Action/ROD workflows.

B. Who can do this procedure:

Persons who have RMS administrator, editor, or casual document permissions may do this procedure.

C. Pre-requisites

Persons using this procedure are expected to already:

- Be fluent in RM terminology, RM processes, and document management best practices
- Be well practiced in RMS search and familiar with the general RMS screen layouts and window pane purposes.

See Section F of this Procedure for the list of related RMS How-To procedures.

D. Background

The main purpose of the RMS database is to capture the histories of institutional requirements and documents, and the method of capture is via RM Cases.

RM Cases can be considered "focused discussions" or mini-"projects" regarding requirements and/or documents (for example, policies or programs) that have impact at the institutional level. A Case provides the means to capture not only specific changes to any requirements or documents, but also to capture related supporting information such as risk or impact analyses, implementation plans, or records of decisions (RODs). A Case is built over time, and hence can be modelled as a workflow proceeding through the RM process steps (initial data entry, analysis/planning, implementation, approvals).

The value of the RMS database lies in the connections or associations among the many document, requirement and case records, including actions and RODs). Cases bring together the histories of documents and requirements. It is the combination of the what and when with the why that can make the RMS database highly valuable.

As indicated in Figure 1, some of the associations are made automatically via the set-up of workflows, but a number of the associations have to be made manually within the workflow. Table 1 summarizes which associations are automatically set up, and those that must be set up manually.

This procedure describes how to set up the manual associations.

Figure 1: Document Sub-Workflow and its relationship to a Case Workflow

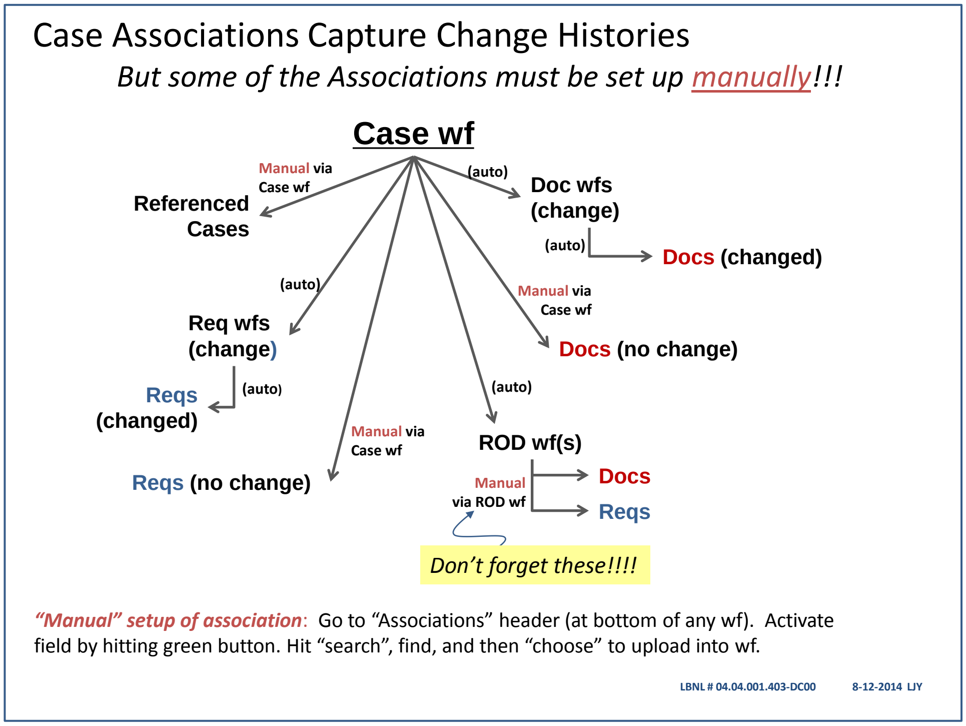


Table 1

Desired Parent-to-Child Assoc	Conditions	When to set up	Resulting association(s)	
Case to Req	Req to be changed	Req sub-wf within Case wf.	Case to Req wf Case to Req concept	Auto Auto
	Req needs no change	Manually add when in Case wf	Case to Req concept	Manual
Case to Doc	Doc to be changed	Doc sub-wf within Case wf.	Case to Doc wf Case to Doc concept	Auto Auto
	Doc needs no change	Manually add when in Case wf	Case to Doc concept	Manual
Case to Action/ROD	Action/ROD to be added	Action/ROD sub-wf within Case wf	Case to Action/ROD wf	Auto
Req to Doc	Child must exist	Manually add when in Req or Doc wf	Req to Doc	Manual
Req to Req	Child must exist	Manually add when in Req wf	Req to Req	Manual
Doc to Doc	Child must exist	Manually add when in Doc wf	Doc to Doc	Manual
Action/ROD to Req	Child must exist	Manually add when in Action/ROD wf	Action/ROD to Req	Manual
Action/ROD to Doc	Child must exist	Manually add when in Action/ROD wf	Action/ROD to Doc	Manual

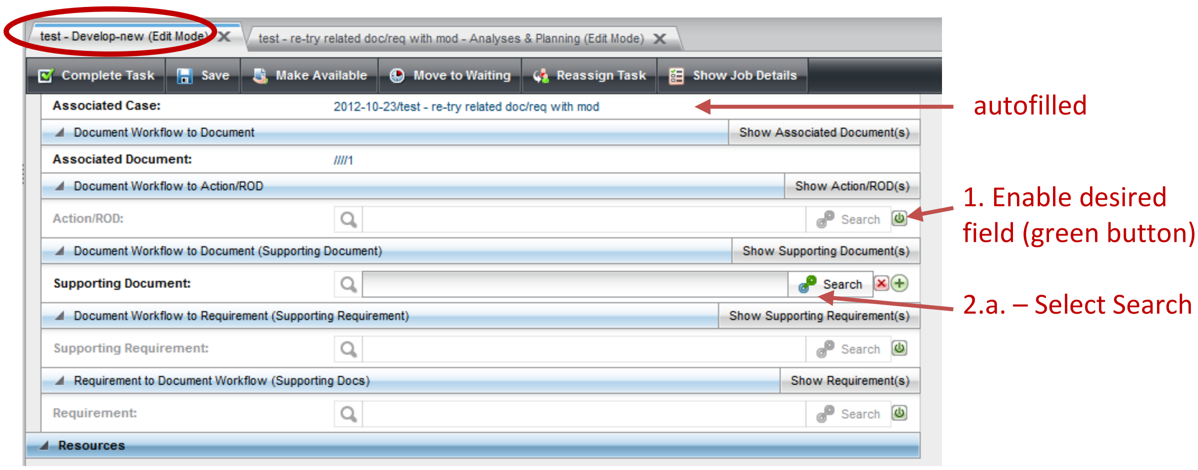
Note: Parent-Child label terminology for the workflow association fields.
"Supporting xxxx" or "Related xxxx" = Child
"xxxx" = Parent

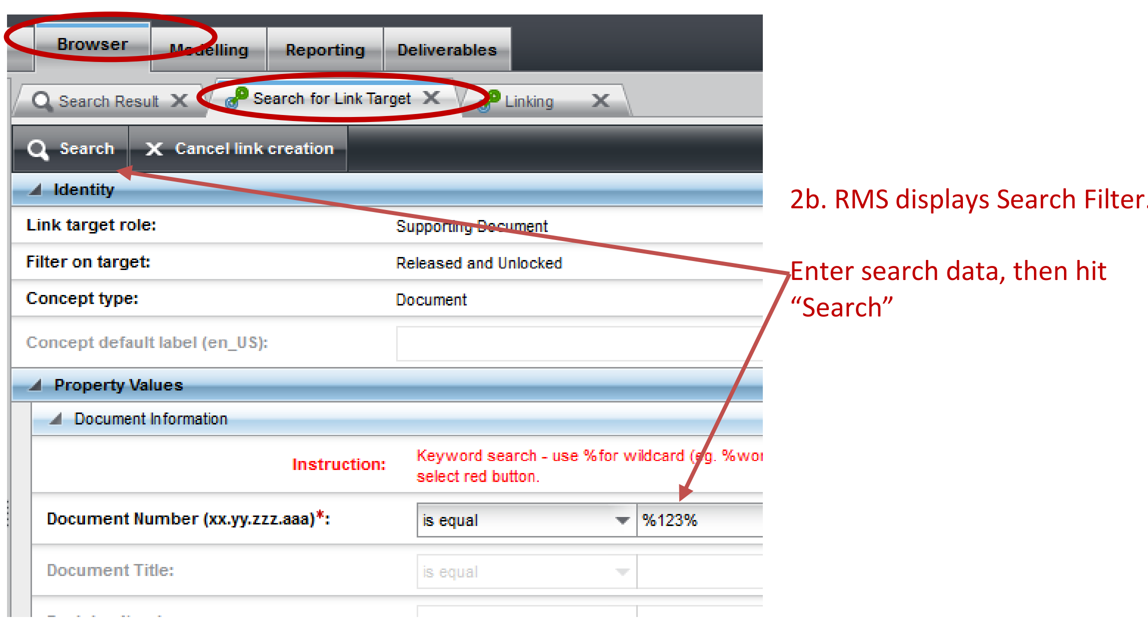
Examples:

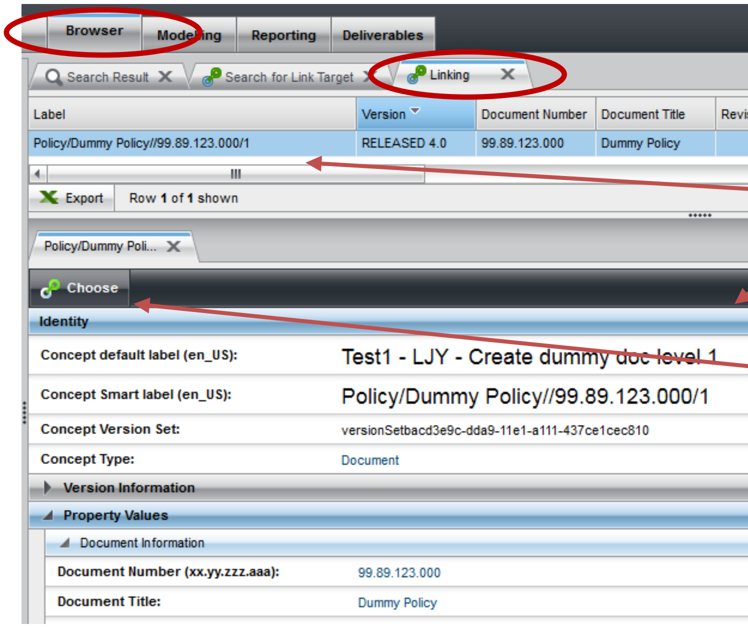
- Putting Doc B in the"Supporting Document" field within Doc A's workflow will result in the hierarchy: Doc A = Parent and Doc B = Child.
- Putting Doc B in the "Document" field within Doc A's workflow will result in the hierarchy: Doc A = Child and Doc B = Parent

E. Procedure

1. From within a workflow (see the several different screenshots for Case, requirement/document and Action/ROD), enable/activate the desired field by selecting the green button.
2. Search for the desired item
   a. Selecting "Search"
   b. Search filter will then be displayed. Enter search data, and then hit "Search"
   c. Search results will then be displayed. Select the desire item to display its details
   d. Review the desired item details
   e. Select "Choose" (or "Link") at the top of the detail pane.
   f. The system returns to the workflow with the association information.
3. Optionally, add more by selecting the + button. Then repeat Step 2.





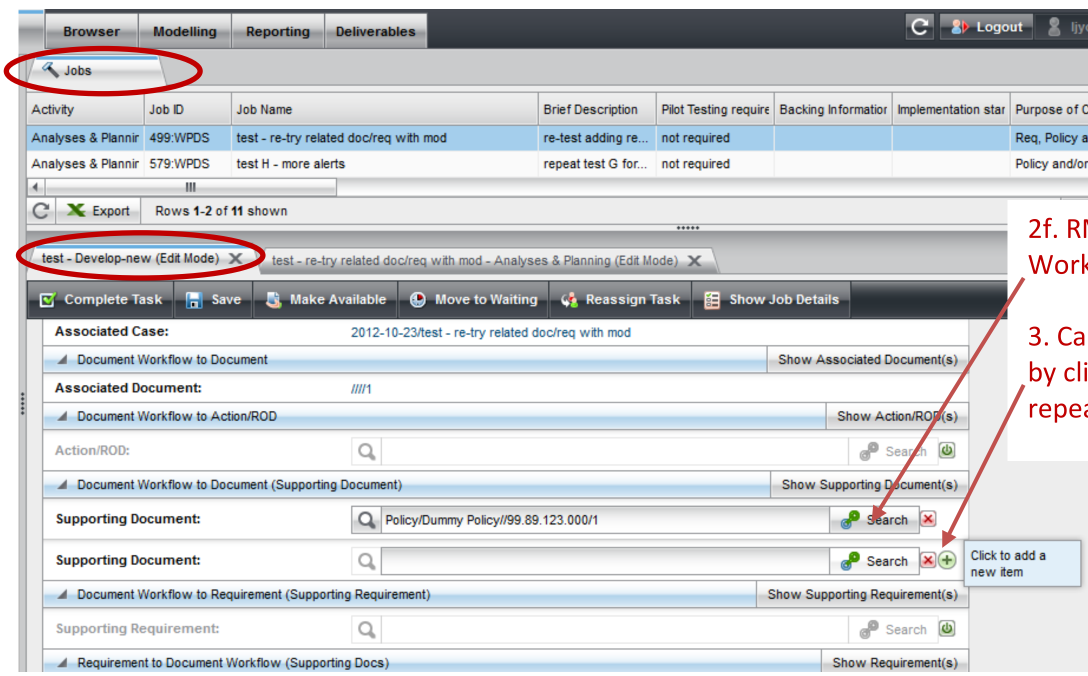


2c. RMS displays Search Results.

Select to open details

2d. Review info

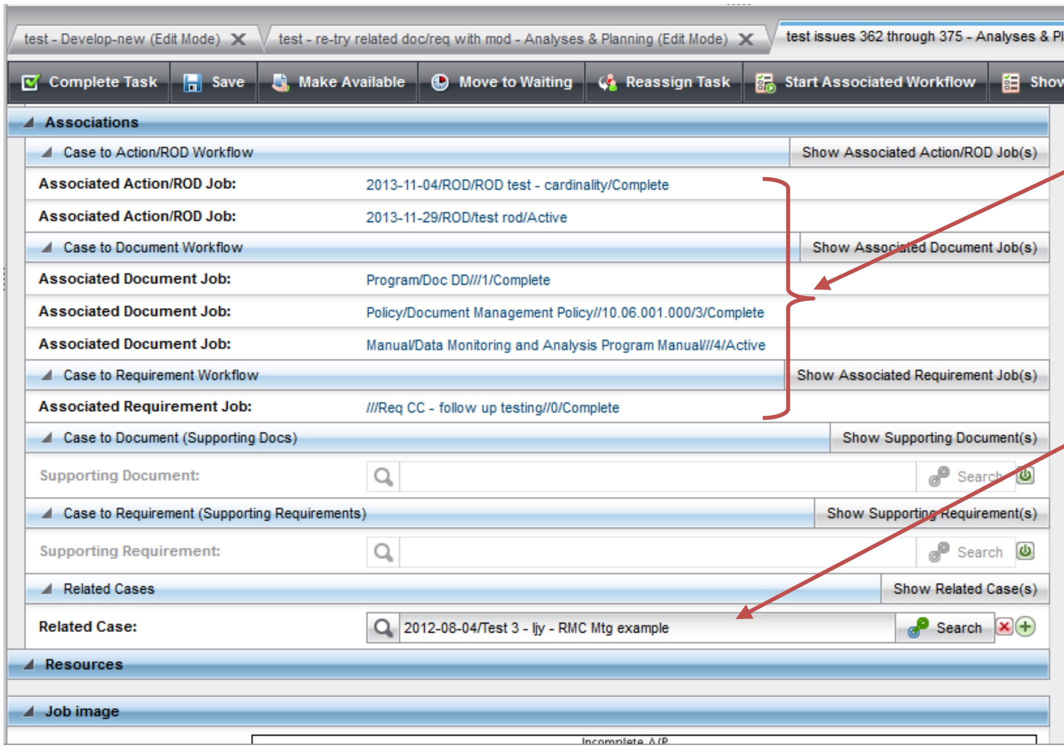
2e. Select Choose to upload.



2f. RMS returns to Workflow. Item is uploaded.

3. Can optionally add more by clicking green + and then repeating Step 2.

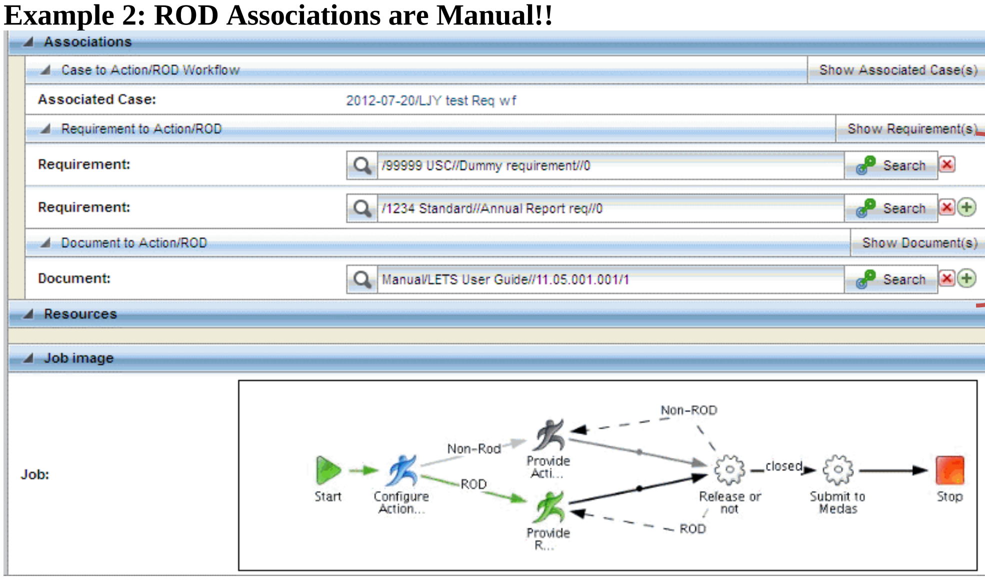
Example 1: Case with autofilled by sub-wfs and with manually added.



Autofilled (2 RODS, 3 Docs, 1 Req)

A related case manually added.

Example 2: ROD Associations are Manual!!

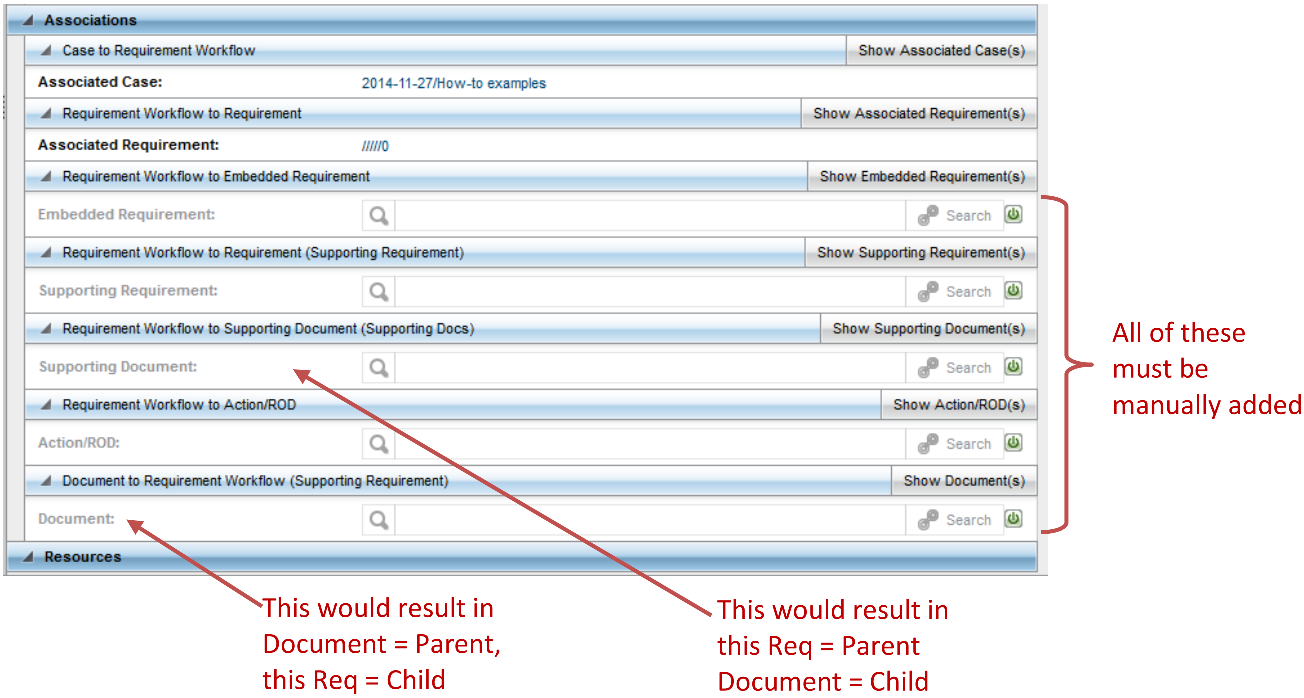


In Action/ROD workflow, be sure to add the associated docs and/or reqs.

If new, create the impacted docs or reqs FIRST.

If existing doc/req, and not yet changed, it is ok to associate and then change later. RMS will update after the change

Example 3: Requirement wf's possible associations



F. Other Related Procedures:

- DC00 – Cheatsheet for RMC members
- DC04 – Data Entry – Case Workflow
- DC05 – Data Entry – Document Sub-Workflow
- DC06 – Data Entry – Action/ROD Sub-Workflow
- AD02 – Data Entry – Add a new non-deliverable requirement
- AD06 – Data entry – Add a scheduled deliverable

G. Revision History

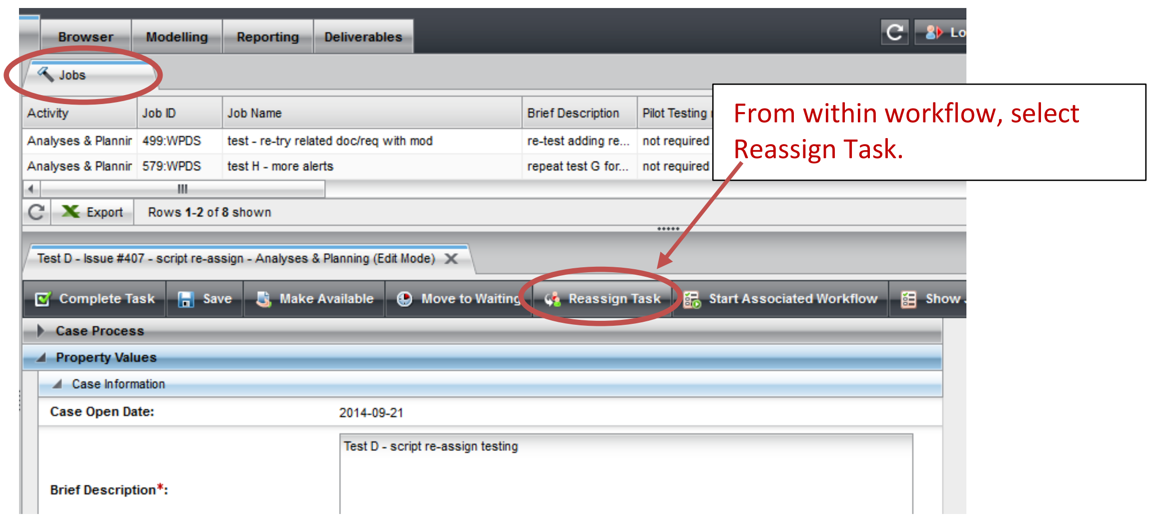
Revision	Date	Who	Description
0	12-7-2014	L.J.Young	Initial

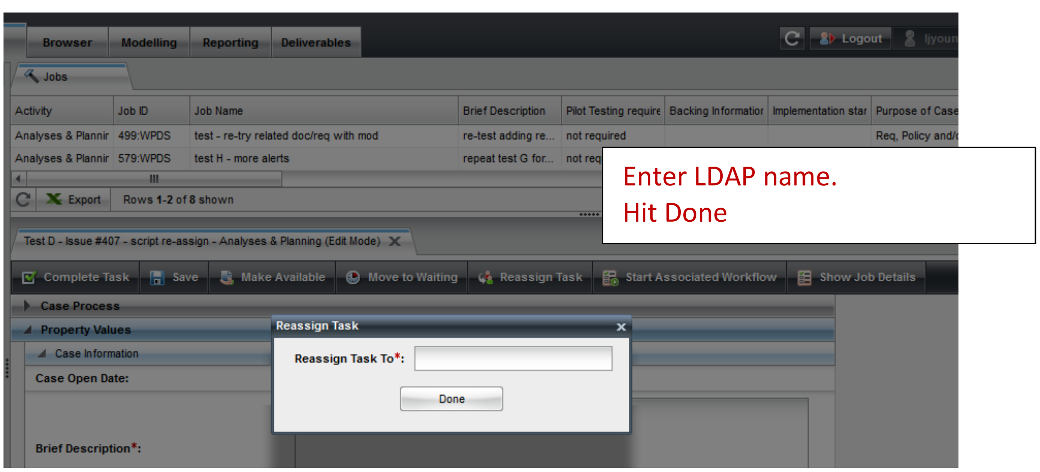
DC08 – Reassigning a Workflow Task

A. Purpose:
This document explains how to assign a job (also known as workflow) to someone else.

B. Who can do this procedure:
Persons who have RMS administrator, editor/RMC, or casual document permissions.

C. Procedure:
1. In workflow (Case, Document, Requirement, Action/ROD, Submit Deliverable), select "Reassign Task".
2. Enter name (autopopulates)
3. Select "Done". Task is sent to the named person's Inbox. No auto-alert (sorry!)





D. Revision History

Revision	Date	Who	Description
0	12-7-2014	L.J. Young	Initial

DC31 - Deleting a Job

A. Purpose:
This document explains how to delete a Job (workflow).

B. Who can do this procedure:
Persons who are RMS administrators and editors.

WARNING!!

Exercise with caution! Ask Admin for assistance.

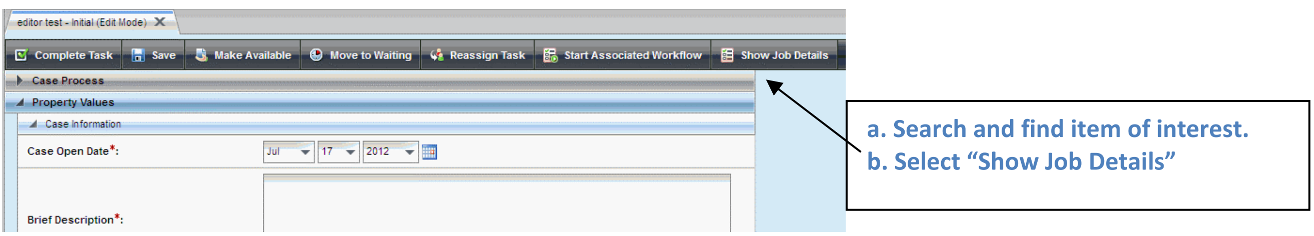
Deletion of the job will

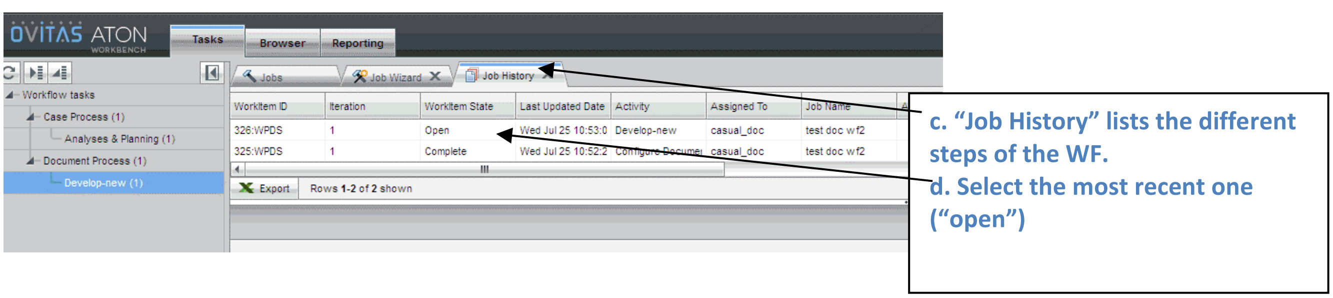
- Delete all of the Job and associated workflows
- Cause any modified concepts (doc, reqs) to revert back to the previous version.

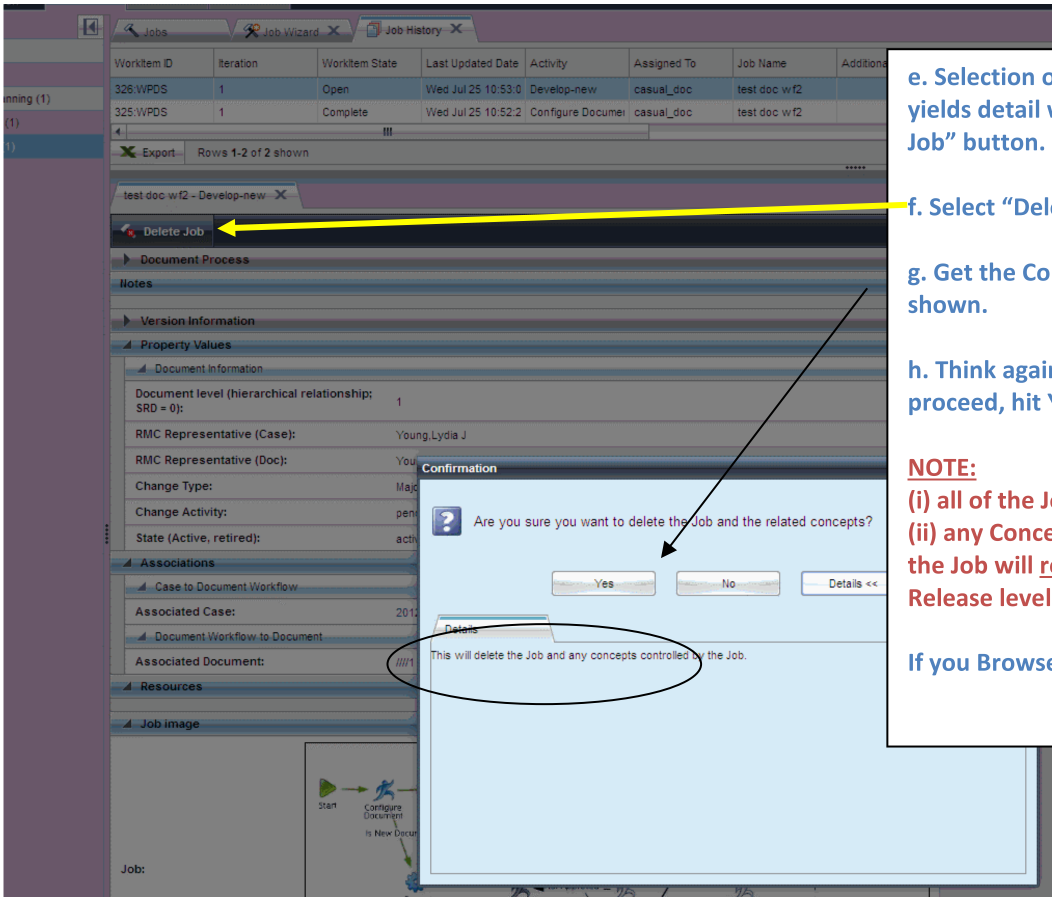
Are you sure you want to delete?

C. Procedure:

BEFORE DELETING: Un-associate any requirement or document associations, if possible.







e. Selection of the most recent state yields detail window with "Delete Job" button.

f. Select "Delete Job".

g. Get the Confirmation window shown.

h. Think again – and if you want to proceed, hit YES.

NOTE:
(i) all of the Job will be deleted.
(ii) any Concepts generated within the Job will revert back to previous Release level.

If you Browse, you will NOT find.

D. Revision History

Revision	Date	Who	Description
0	11-15-2014	L.J. Young	Initial

RMS Database – Overview of Deliverables for Admin Management

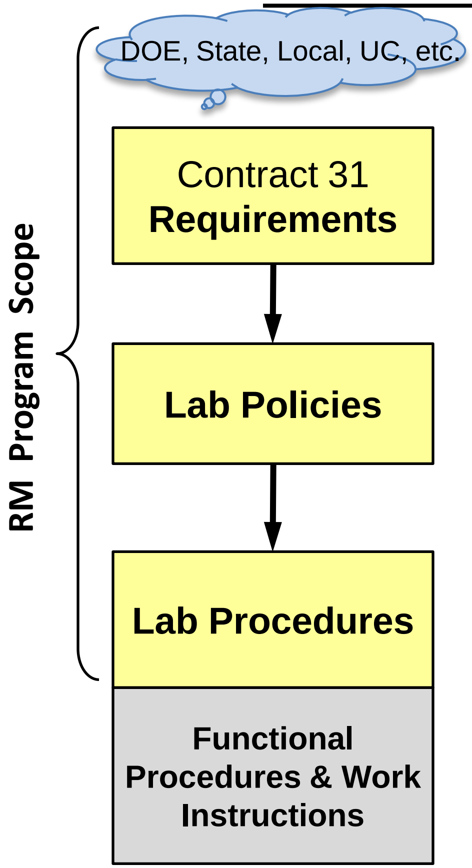
L.J. Young
25 October 2014, revised 8 Nov 2014
LBNL doc # 04.04.001.403-AD00

Outline

- RMS high level requirements, objectives
- Requirements & document metadata
- Deliverables - Definitions
- The Quirkiness of Deliverables
- Generating Deliverables (typical)
  - Distributing Scheduled and As Required Instances
- Managing Deliverables
  - Notifications
  - Closing a Deliverable Instance
- Generating Deliverables that are tied to 2 or more Reqs

LBNL Requirements Management (RM) Program

Translated from Contract 31 and related standards and regulations, the Lab's policies and procedures define the operating framework for Laboratory community members to successfully produce outputs that are on time, within budget, and of high quality.



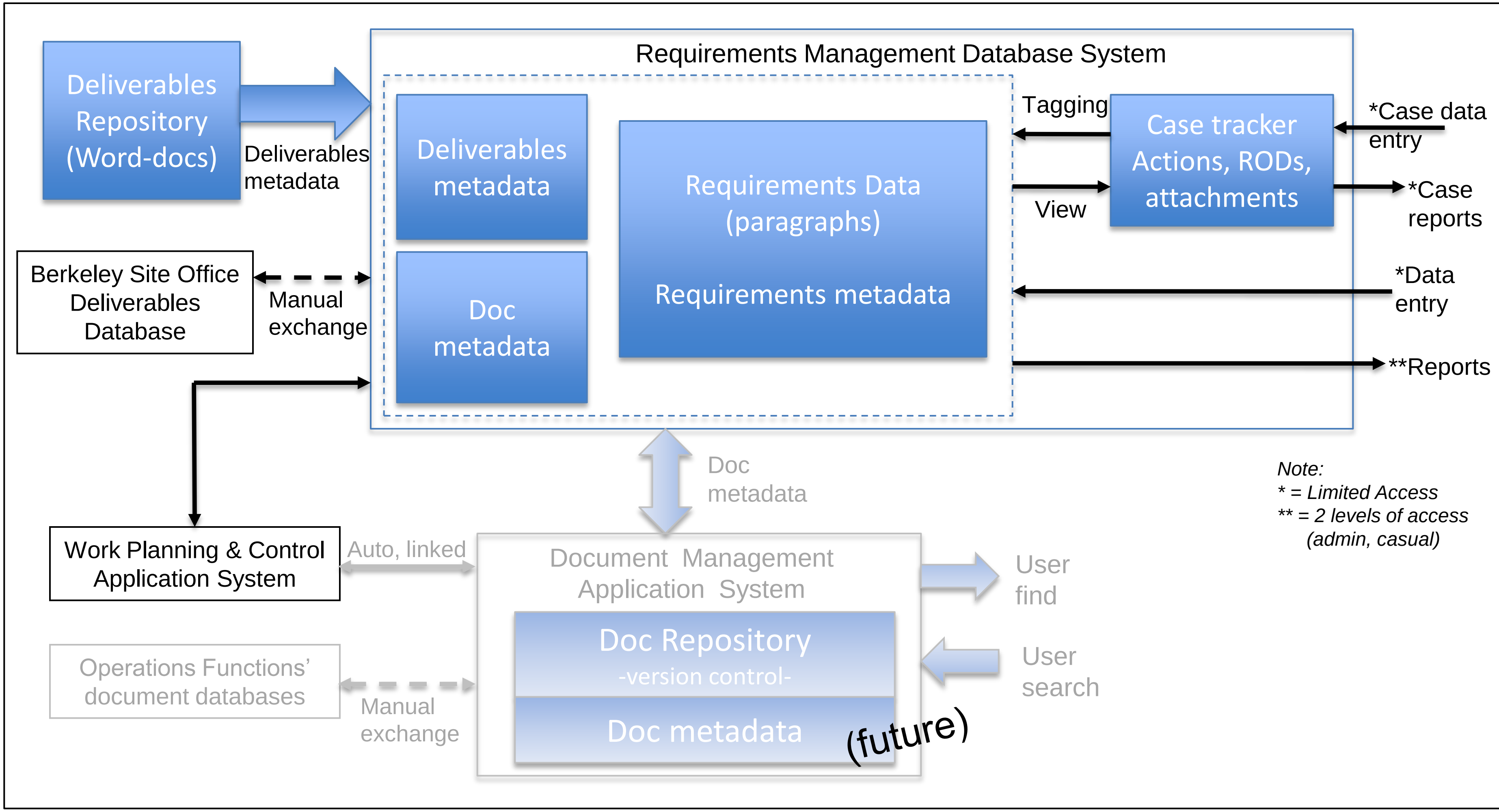
- ***RM Program*: Implementation of a Lab-wide system that simplifies the task of finding, understanding, and implementing requirements, comprising:**
  - **A process to manage new/changed requirements through implementation (DEFINITION).**
  - **A hierarchal structure describing the relationships among institutional requirements, documents, and information. (TRACEABILITY).**
  - **A process for tailoring institutional policies and procedures to allow end users to effectively & efficiently meet requirements. (ACCURACY and USABILITY).**

RMS Database Top Level Requirements

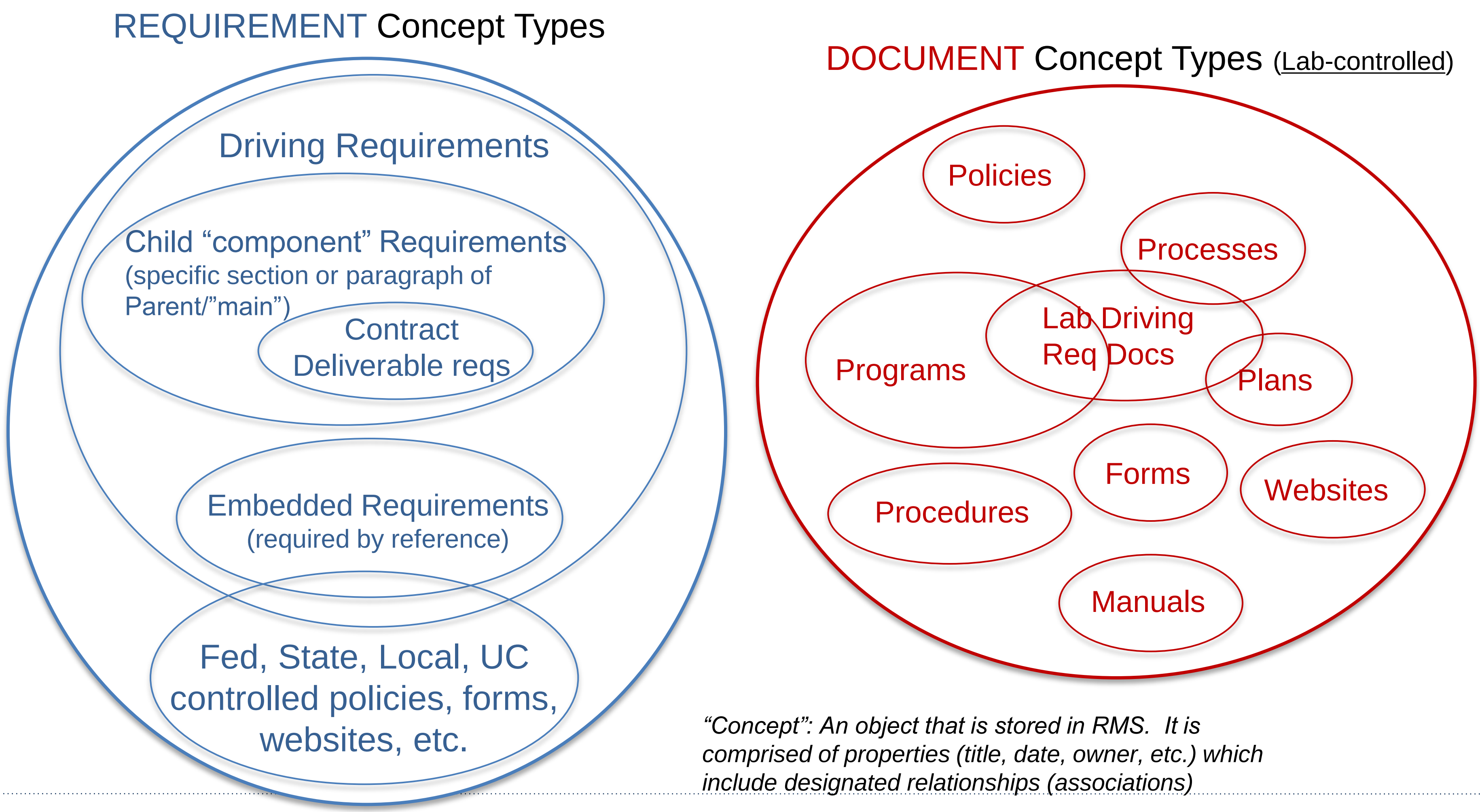
- Overall Objectives:
  - Track changes to DOE Contract 31 and associated requirements that the Lab is obliged to follow
  - Show traceability of requirements through the Lab's implementing documents (policies, programs, processes, procedures, etc.)
- Manage entry, maintenance, search, reporting of:
  - Requirements metadata
  - Document metadata
  - RM Cases that follow RM processes and result in reqs or doc change
    - Records of Decision (RODs)
    - Analyses, Implementation Plans, Approvals
  - Interrelationships of the above
- Manage tracking of Contract Deliverables (Reqs subset) including notifications and completion.
- Design for low usage frequency
  - Data entry: 30 users at frequency 3 to 5 times per year
  - Search, report: ~200 users at frequency 1 to 10 times per year

Reference: RM Database System Requirements Specification, 04.04.001.004

RM Database Application: Tracking, Traceability

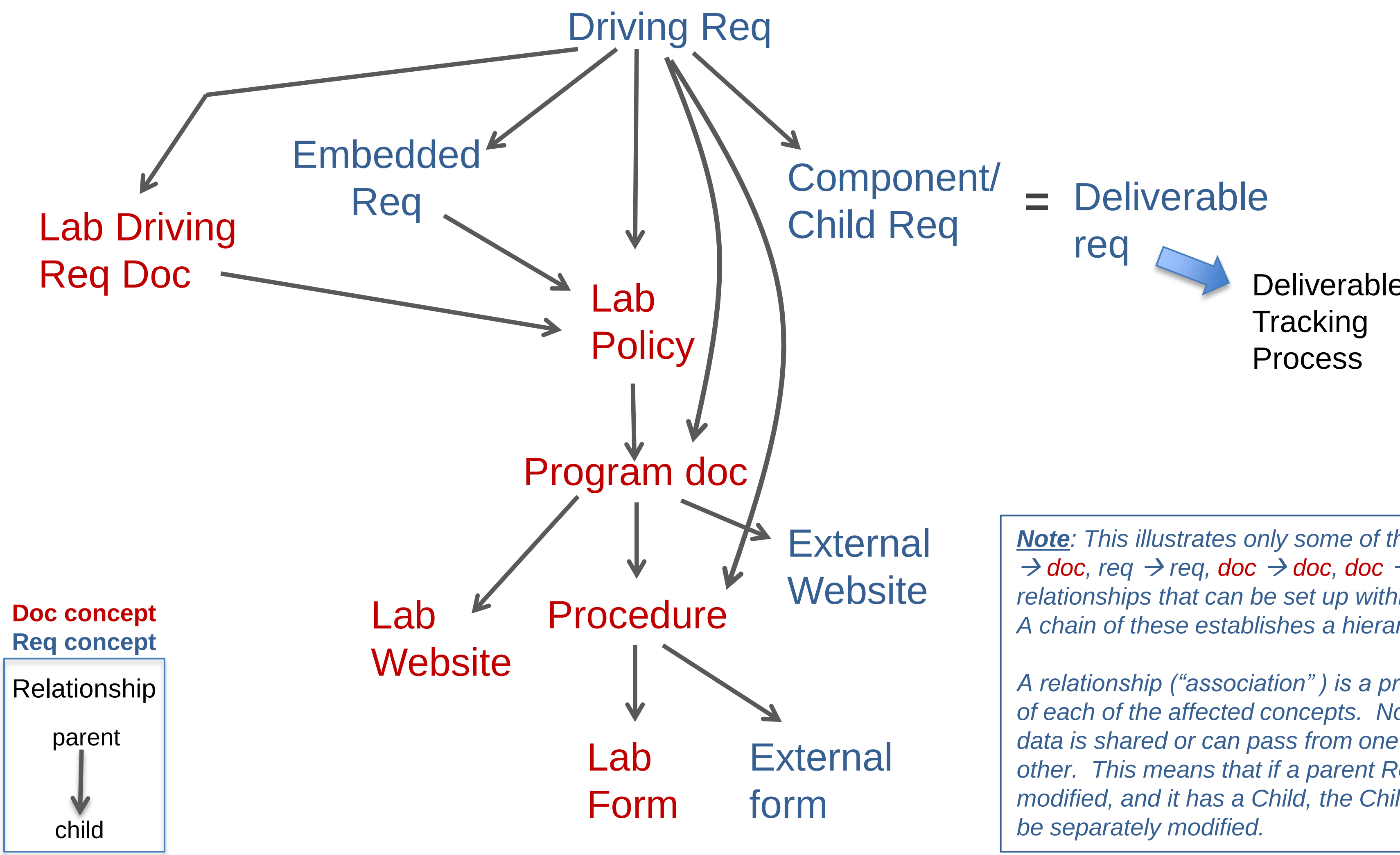


RMS Data Definitions:
Requirement and Document Concept Types



"Concept": An object that is stored in RMS. It is comprised of properties (title, date, owner, etc.) which include designated relationships (associations)

RMS Data Relationships: Some possibilities



Note: *This illustrates only some of the req → doc, req → req, doc → doc, doc → req relationships that can be set up within RMS. A chain of these establishes a hierarchy.*

A relationship ("association") is a property of each of the affected concepts. No other data is shared or can pass from one to the other. This means that if a parent Req is modified, and it has a Child, the Child must be separately modified.

General Definitions:
Requirements & Deliverables we track in RMS

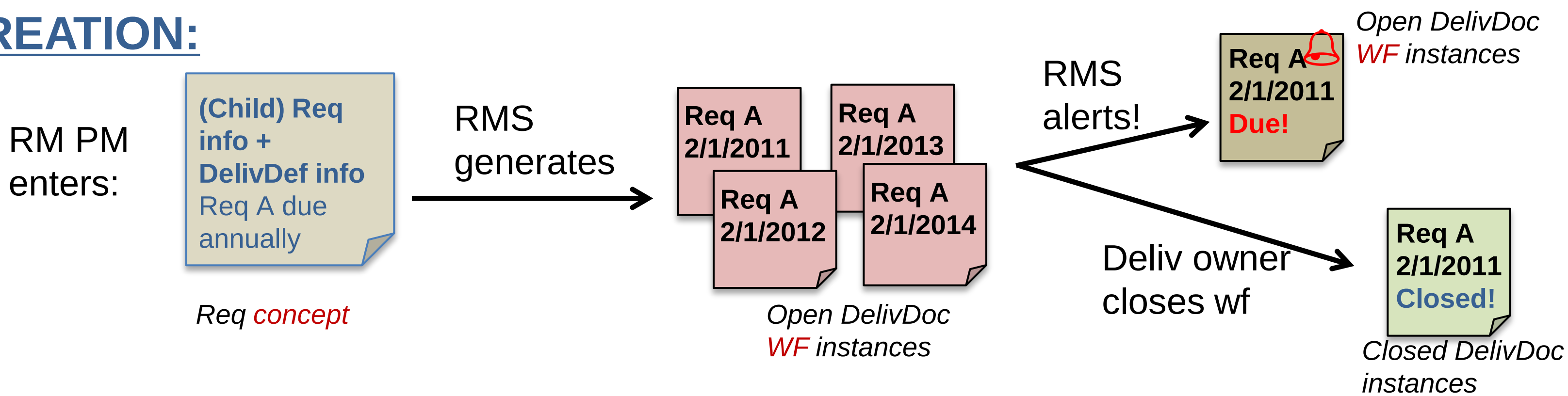
- **Requirements:**
  - Explicit Contract 31 line items
  - Applicable Fed, State, local regulations as submitted to Lab RM for tracking (that is, we do not try to determine and track the exhaustive list).
  - Applicable UC policies, requirements
  - Documents (letters, memos, etc.) clarifying any of the above, or acting in the interim before formal issue of directive, clause, law and incorporation into C31.
- **Deliverables:** *"Work product or output, resulting from addressing a requirement, that is provided to the contracting agency as demonstration of compliance to the requirement"*
  - "Requirement" as defined above
  - <u>Not</u> included unless requested: calls for data that (a) are in addition to the above requirements and (b) are one-time events.

Deliverables Process Definitions

- "Scheduled" deliverable:
  - A deliverable that has a specific due date and frequency.
  - Due dates for C31 deliverables are typically agreed to with BSO Contracting Officer.
  - Date and/or definition changes for C31 deliverables require approval by BSO Contracting Officer.
- "As Required" deliverable:
  - A deliverable that is submitted only if triggered by the circumstances as defined by the specific requirement.
- Deliverable Definition
  - The requirement that defines the deliverable.
- Deliverable Instance (a workflow)
  - Generated by the Deliverable Definition, with specific due date.
- RMS = Requirements Management System database
- Lab SME (or POC)
  - The person assigned responsibility for a particular deliverable.
  - Lab SME must notify RMC Rep and/or RM PM of changes.

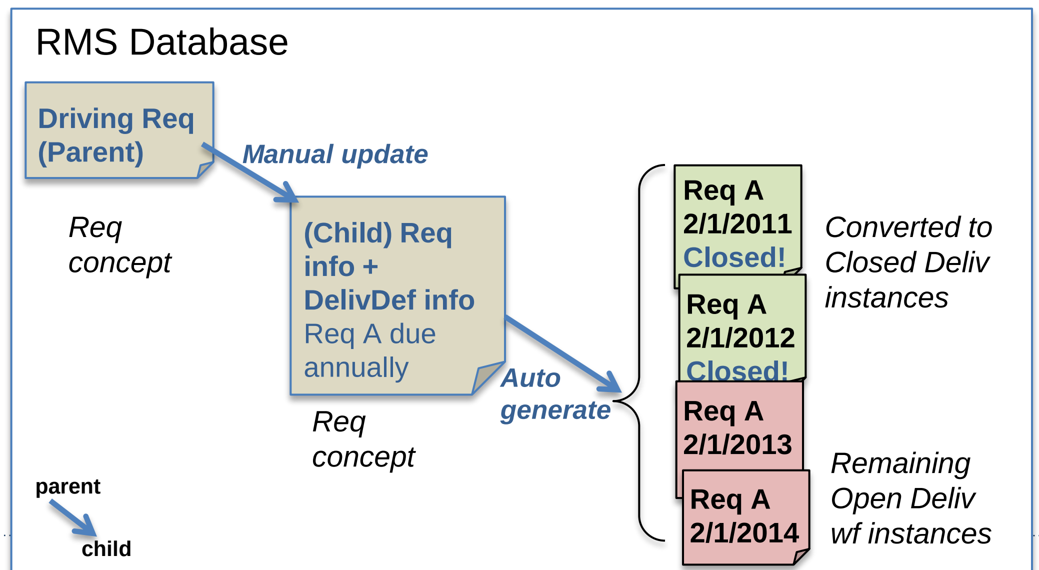
How RMS Database Creates Deliverables

CREATION:



***Note**: Modifying Child Req/DelivDef info results in update of any OPEN Deliv wf. Closed Deliv are not changed (good!)*

DATA & RELATIONSHIPS:



Notes:

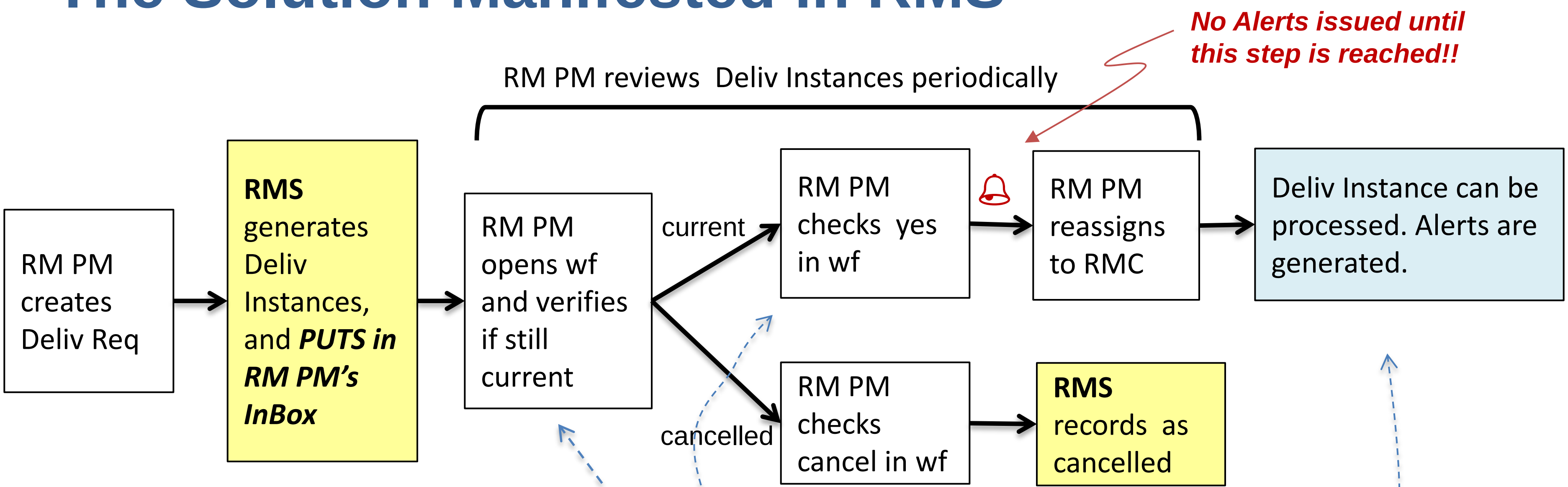
- ***The different concept types are searchable.***
- ***Relationships between Child Req & generated DelivDoc wfs & Closed wfs remain established, when Child Req is modified.***
- ***Must update Parent & Child Reqs separately.***

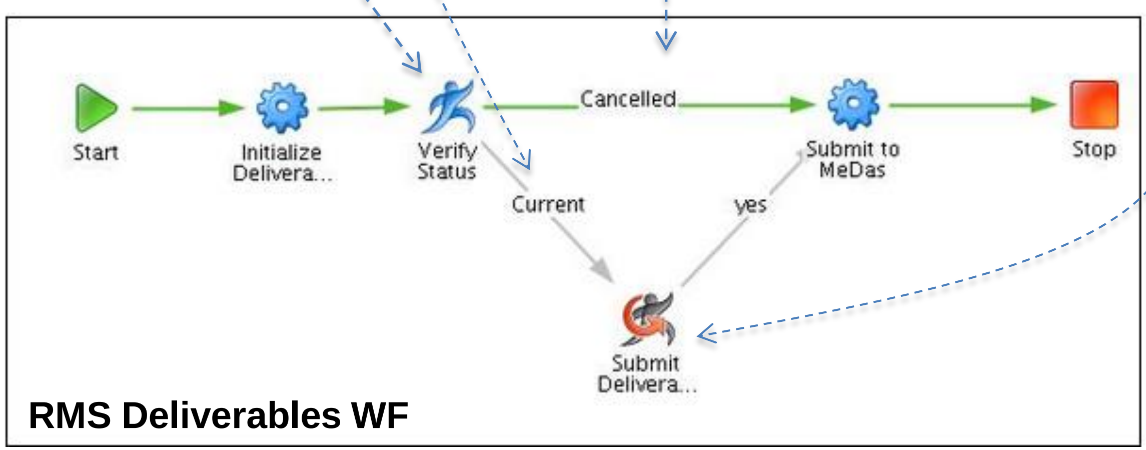
The Quirkiness of Deliverables
(the reasons for complexity)

- Arises because:
  - Only RM PM/Admin are permitted to modify reqs (to ensure their integrity!)
  - A deliverable is a child of a parent requirement (concept)
  - Deliverable <u>instances</u> are *workflows* so that someone can take action. Requirements are *concepts* – pieces of info.
  - *Concepts are deprecated* (and remain in the system); open *workflows are deleted* from the system.
  - If a deliverable requirement is modified, then
    - We want to modify <u>only</u> any remaining open wf instances, and preserve the closed deliverable instances exactly as they were closed.
    - If the mod is cancelled/retired, we want to preserve the closed ones AND classify the remaining open ones as cancelled, closed and preserved in the system. We must NOT delete them from the system).
  - The Admin cannot pull back any wfs already in a user's Inbox.

This is the hard part.

The Solution Manifested in RMS

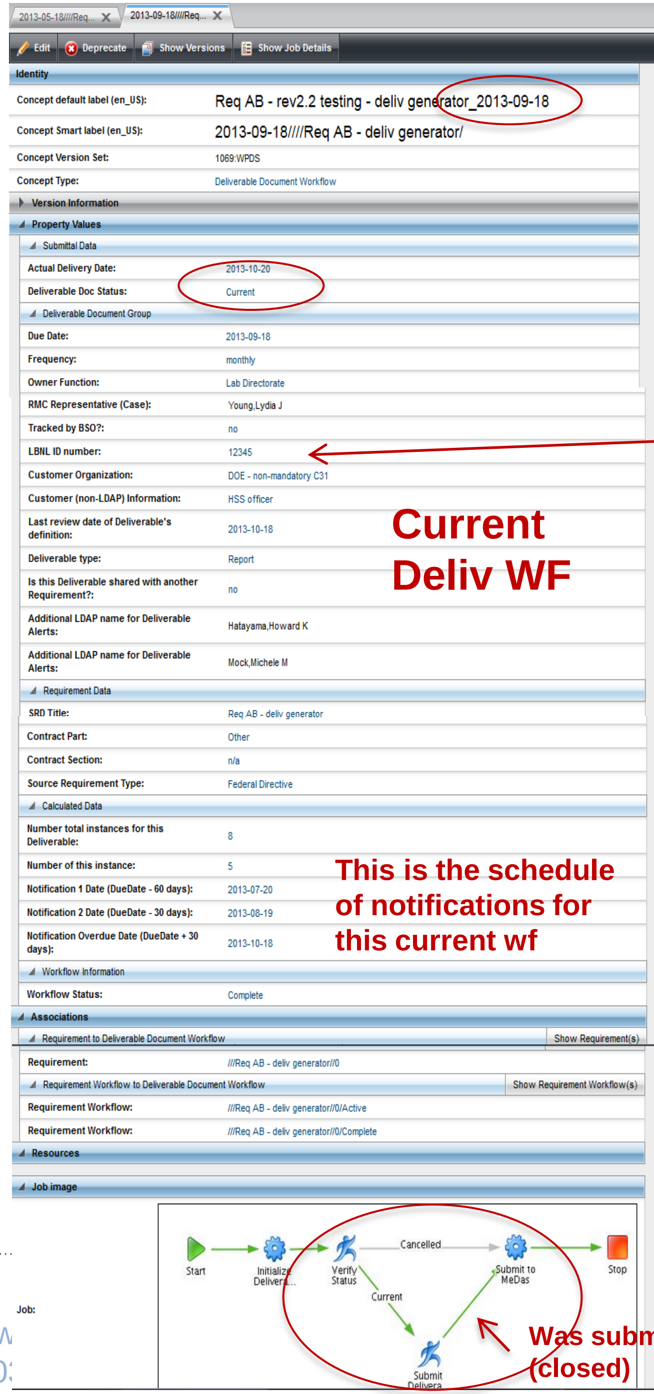




Notes:
a. RM PM = Admin
b. Will have to ask Ovitas to move ljy pile to ???

Cancelled vs Current Deliverable

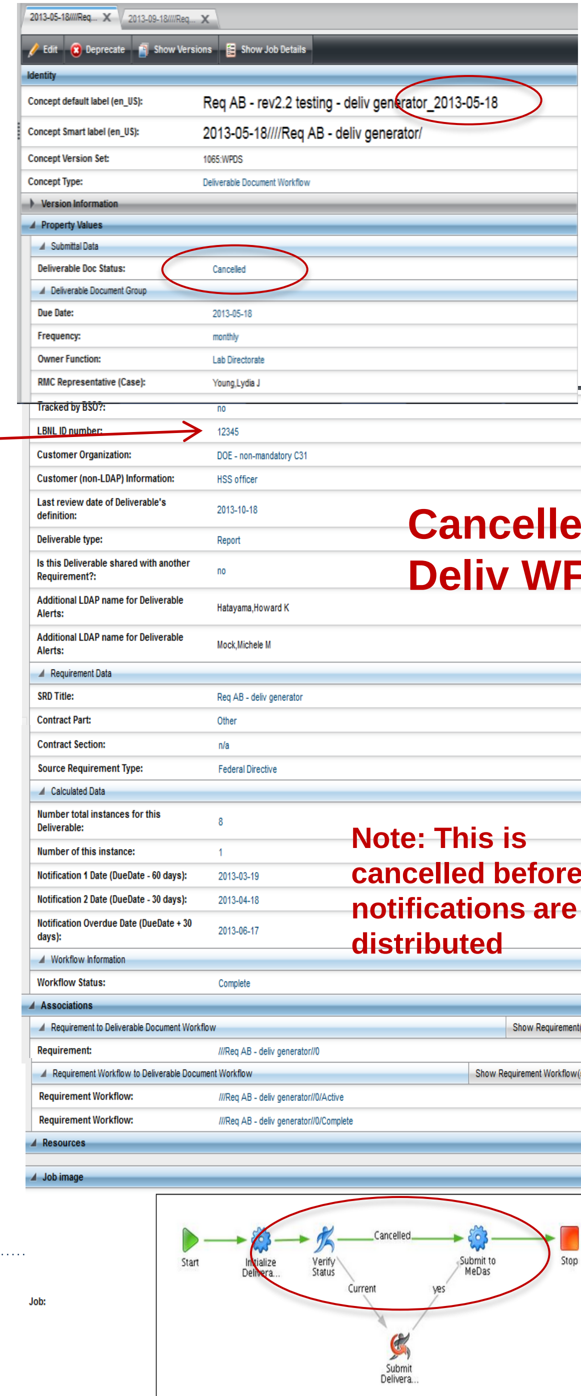
- Search Closed Deliv WF
- The results of RM PM selecting “cancelled” or “current” in “Verify Status” step of Deliv WF
- Version 2.x lets us retain a record of DelivDocs that were cancelled rather than deleting them.



Current Deliv WF

This is the schedule of notifications for this current wf

Was submitted (closed)

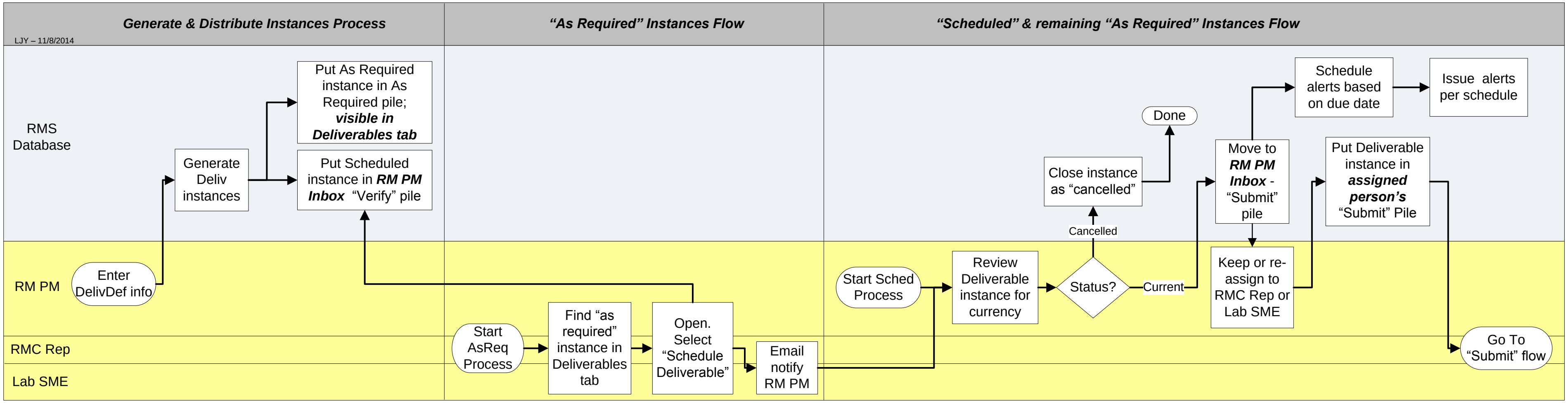


Cancelled Deliv WF

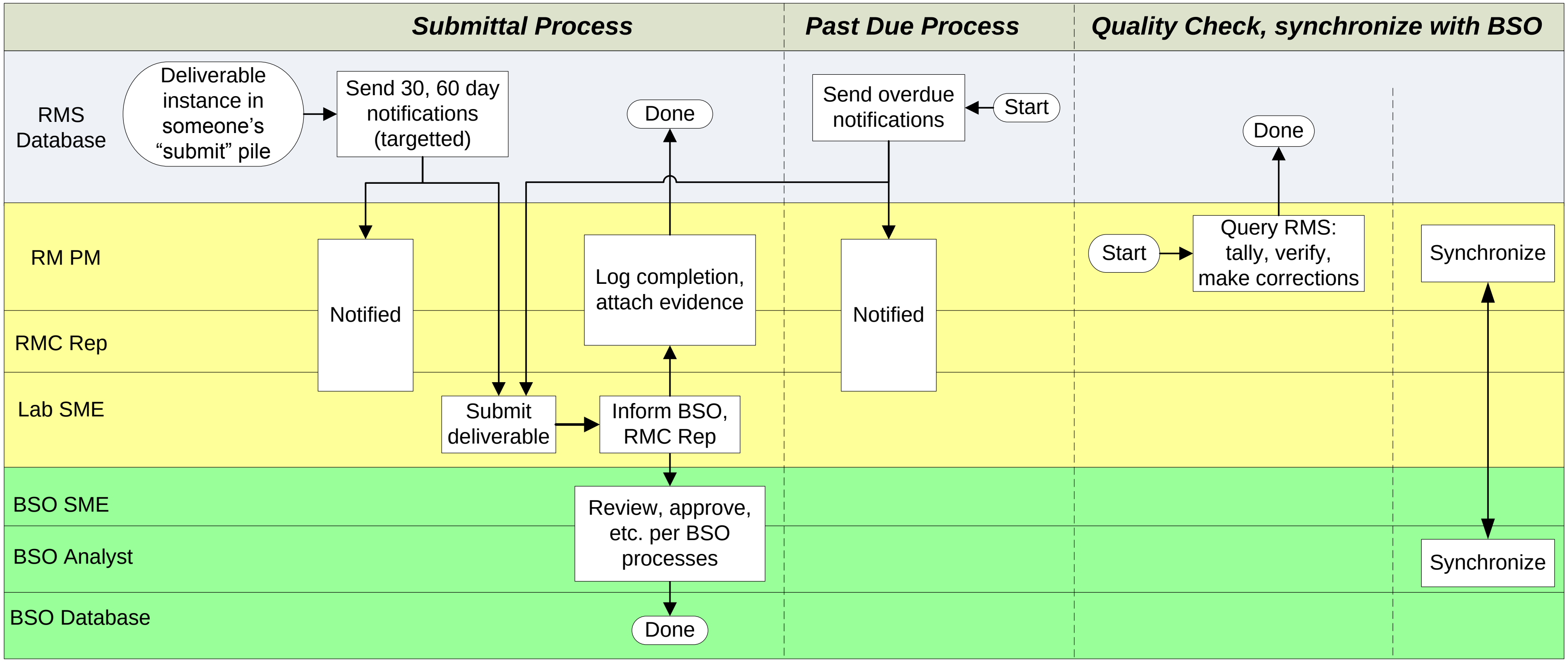
Note: This is cancelled before notifications are distributed

Distributing Deliverable Instances: How-To #A08

- The flow below is taken from How-To #A08.
- "As Required" release is an additional step to the release of "scheduled" deliverables.
- No alerts are issued until the Deliverable Instance is in a "Submit" folder



Closing Submitted Deliverable Instances



- Notifications are not issued unless they are in someone's "Submit" pile.
- See How-To # A08 and How-To# DE04 if a Deliverable is "As Required"
- As of 3/2014, RMC reps have been closing RMS instances for Lab SMEs. (SMEs are responsible to submit deliverable to BSO).

Deliverable Reminder Notice Example:

Contract 31 Deliverable 30 Day Reminder Notice

RMS Mailer <RMSAdmin@lbl.gov> Thu, Oct 9, 2014 at 8:02 AM
Reply-To: RMS Mailer <RMSAdmin@lbl.gov>
To: "Young,Lydia J" <ljyoung@lbl.gov>, "Lundell,Christopher A" <CALundell@lbl.gov>, "Greenwood,Gregg H" <GHGreenwood@lbl.gov>, "Carlson,Tammy" <TCarlson@lbl.gov>, "Moore,Anne M" <AMMoore@lbl.gov>
Cc: RMS Mailer <RMSAdmin@lbl.gov>

Non-owner To's are per RMC rep and SME's instructions. RMC representative and RM PM are included in the distribution.

This is a reminder that your Contract Deliverable is due on Mon Nov 10 00:00:00 PST 2014. You must submit it directly to BSO, DOE, or other customer, including any internal approvals if needed.

Please notify your RMC member or the RM Program Manager when you have submitted your deliverable.

Per Contract 31, Section D.2, Marking, be sure to mark any email and document correspondence with the citation information.

Deliverable Doc Owner: Greenwood,Gregg H

Owner is listed here to distinguish from others who are included as "fyi"

Contract Part: Contract Section
Contract Section: G
Contract Subsection:
SRD Citation: G.4
SRD Title: Reporting Procedure for Recovery Act Work
SRD Section/Paragraph Citation:
SRD Section Title: ARRA Costs Reports

This is the CITATION information that should be included in correspondence (for example, email subject heading.

Brief summary of requirement: Contractor will (a) separately identify costs that pertain to the Recover (b) provide a monthly report that (i) identifies total amount drawn on the letter of credit, (ii) separates anc Recovery Act costs associated with each appropriation at Recovery Act program and project levels, (iii) the reported costs were incurred only to accomplish Recovery Act work per the work scope.

LBNL ID #: 924018

This number helps synchronization with BSO data. It is an easy reference number for searching

Related Deliverable Requirement(s):

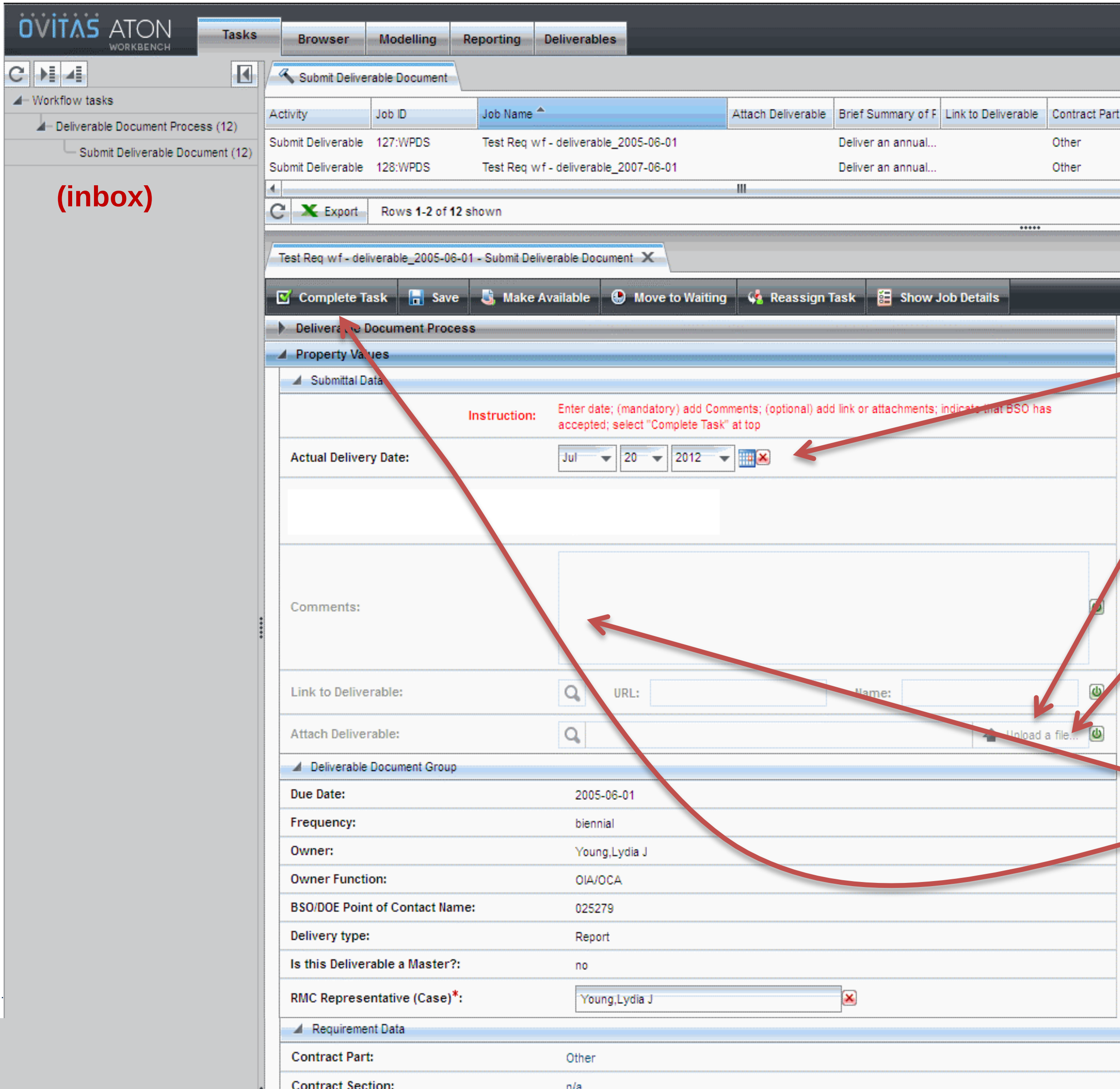
If this deliverable satisfied another requirement, it would be listed here. (RMS can connect 2 or more requirements having the same deliverable)

- Lab POCs receive a 60 day reminder and a 30 day reminder for scheduled Deliverables.
- RMC Reps and RM PM get copies of the reminders.

Submitting Deliverables (1)

- Lab SME:
  - Works with BSO counterpart as required before completing deliverable.
  - Submits completed deliverable to BSO counterpart.
  - Marks all correspondence with Contract 31 citation information.
  - Works with BSO counterpart as required if deliverable is not satisfactory.
  - Once deliverable is accepted, closes item in RMS. (Or, informs RM PM and RMC rep that item has been accepted, and RM PM or RMC rep closes the item)
- These steps apply for “scheduled” and “as required” Deliverables

Submitting Deliverables (2)

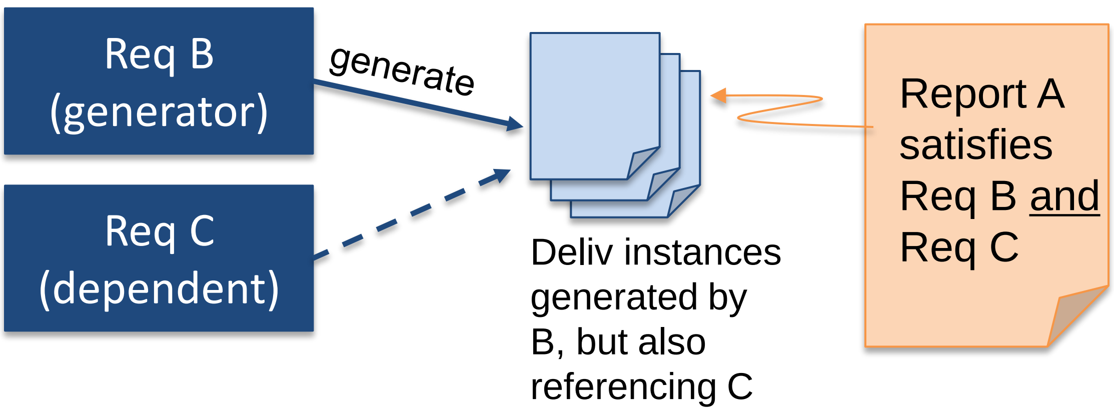


After selecting the specific deliverable workflow from your Inbox:

1. Enter Actual Delivery Date.
2. Attach evidence of closure (pdf of email to BSO, for example
3. Attach deliverable (< 3Mb, not confidential)
4. Comments optional
5. Hit “Complete”

One More Feature (which is Complex!) – Tying 2 or more Reqs to a single Deliv.

- This is tedious to set up.
- Fortunately, there are less than a half dozen of these.
- See written instructions for exact how-to

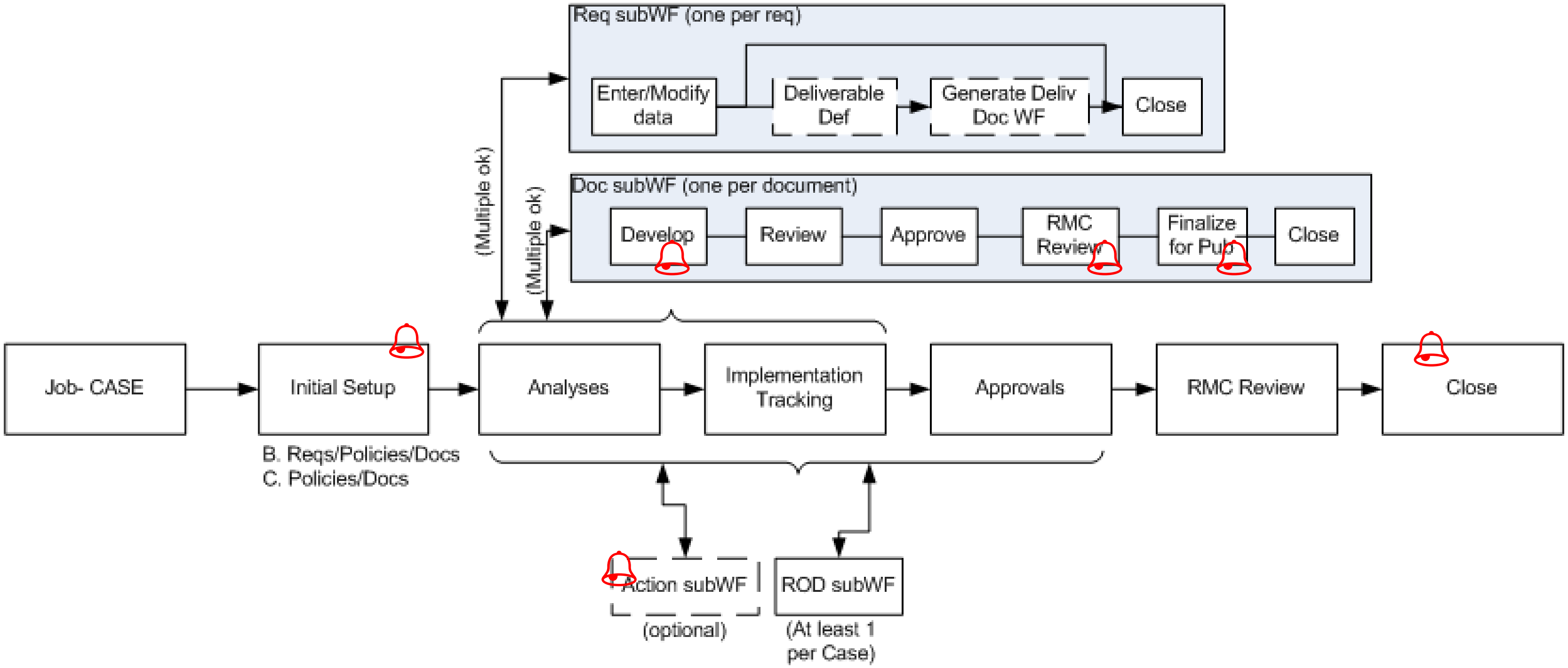


<u>Set-up Scenario 1:</u>
Req B and Req C are entered together as sharing

<u>Set-up Scenario 2:</u>
Req B already generated Deliv instances. Then later, new Req C is tied to Req B.

END

Add sub-WFs for Reqs, Docs data entry

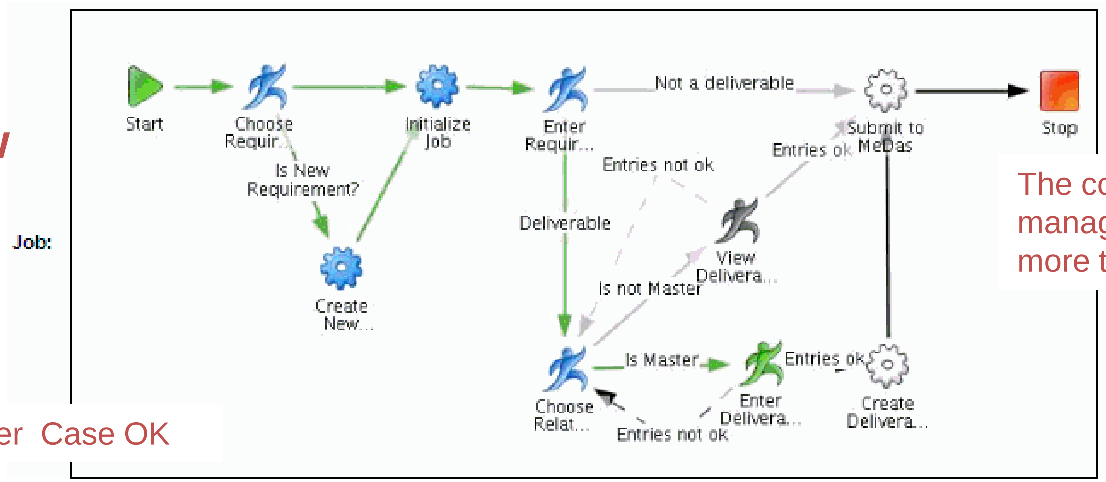


Users	RM PM, RMC
Alerts	- Owners of Late Actions - CSO Editor for Doc/Dev and Doc/Approved - Doc Owner, RMC, for Docs/Closed (published)

- Enter & complete sub-Workflows through the main Case WF
- Steps may be skipped if they don't apply

RMS Design: Case Workflow - Data Entry - Reqs, Docs

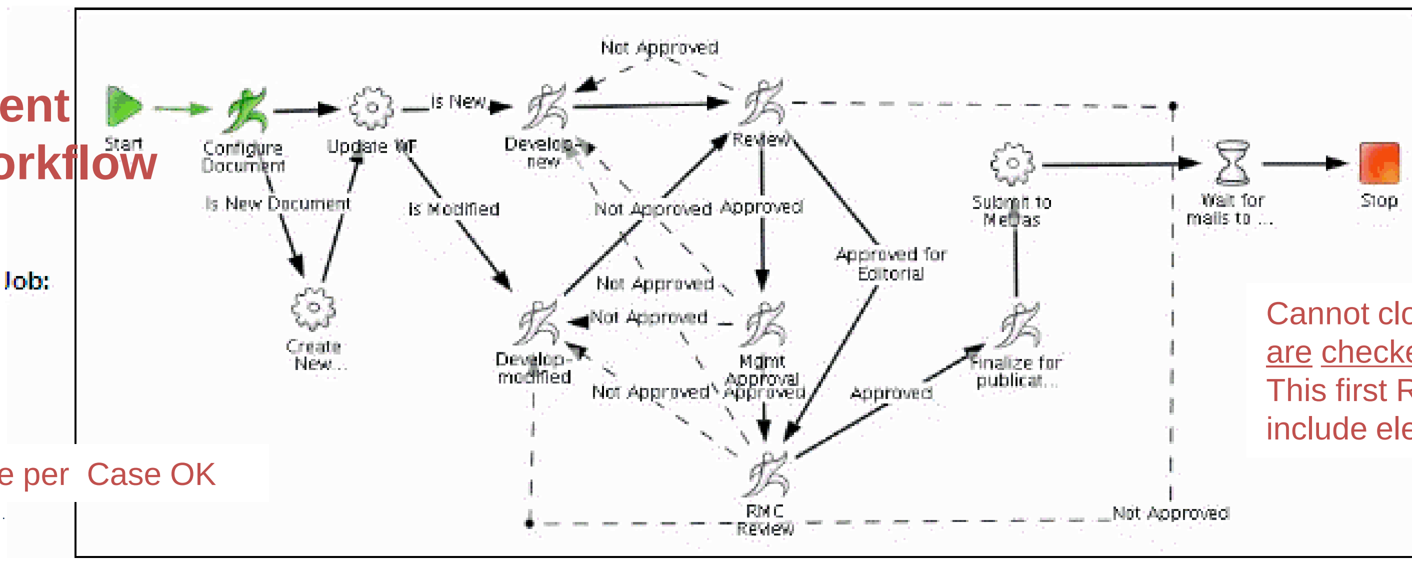
Requirement Sub-Workflow



Multiple per Case OK

The complexity arises from managing deliverables that satisfy more than 1 requirement.

Document Sub-Workflow



Multiple per Case OK

Cannot close until approvals <u>are checked off as</u> complete. This first RMS does **<u>NOT</u>** include electronic approvals.

AD02 Add a Non-Deliverable Requirement
(includes material for **AD03**)

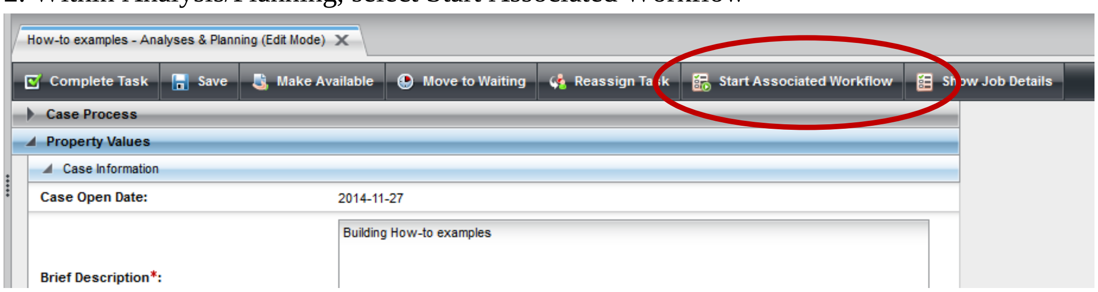
I. Purpose:
This procedure explains how to enter information for a non-deliverable requirement.

II. Who Can Do This:
Only persons with administrator permissions can execute this procedure.

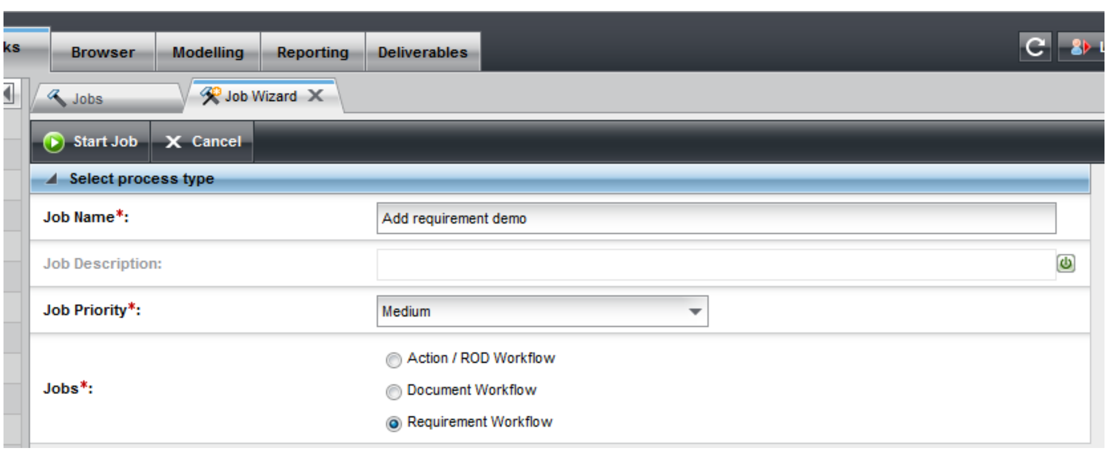
III. Important Pre-requisites
The user is assumed to know:

- How to enter Cases (See How-to #DC04)
- How to “start associated workflow” from within a Case (See How-to# DC04)
- The naming conventions for requirements (See How-to #DC01). ***Consistency amongst all the formats and nomenclature in field parameters is paramount for search integrity.***
    - ***If unsure before hitting “complete”, look at similar examples in the existing RMS (Production) data.***
    - ***Always verify any new entries by searching afterward.***
- The basic flowdown of associations amongst requirements and documents, and how to set up associations.

V. Procedure Details:
1. Open Case, proceed to Case/Analysis Planning step.
2. Within Analysis/Planning, select Start Associated Workflow

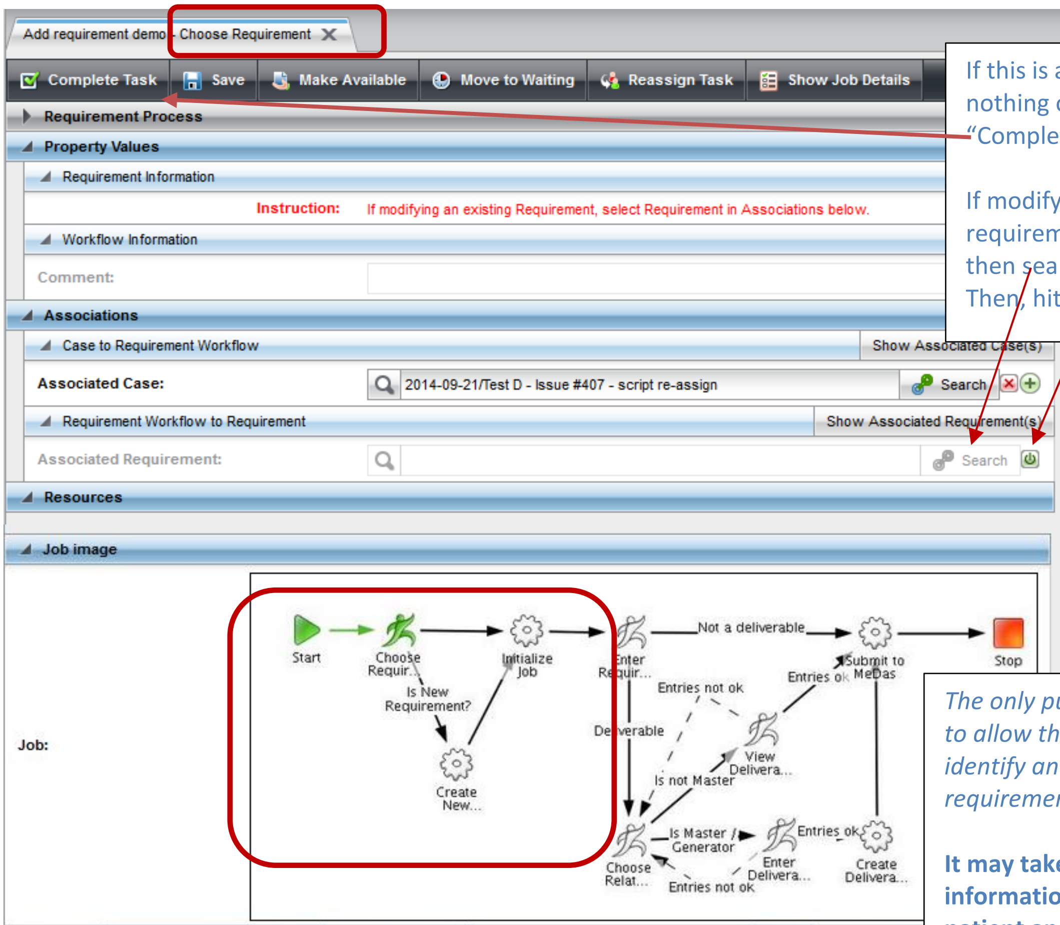


3. Start Job



4. Starting Requirements Job (Workflow) yields first step, "Choose Requirement". For this example, we will start a new requirement. The user is expected to know already from the Case/Doc How-to (#DC04) that to modify a requirement, the user searches and finds the existing requirement to pull from the existing data from the database.

To move to the next step (for new or with the identified existing requirement searched/found and entered under "associated"), select "Complete Task".



If this is a new entry, then do nothing on this page, and hit "Complete."

If modifying an existing requirement, enable and then search and find here. Then, hit "Complete."

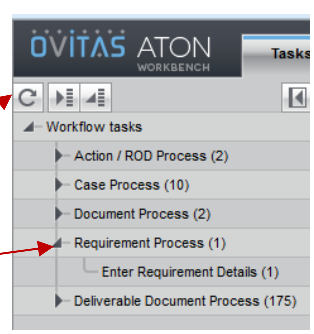
The only purpose of this step is to allow the user the option to identify and find an existing requirement to modify.

It may take time to find the information. User should be patient and hit the "refresh" button to obtain the next step.

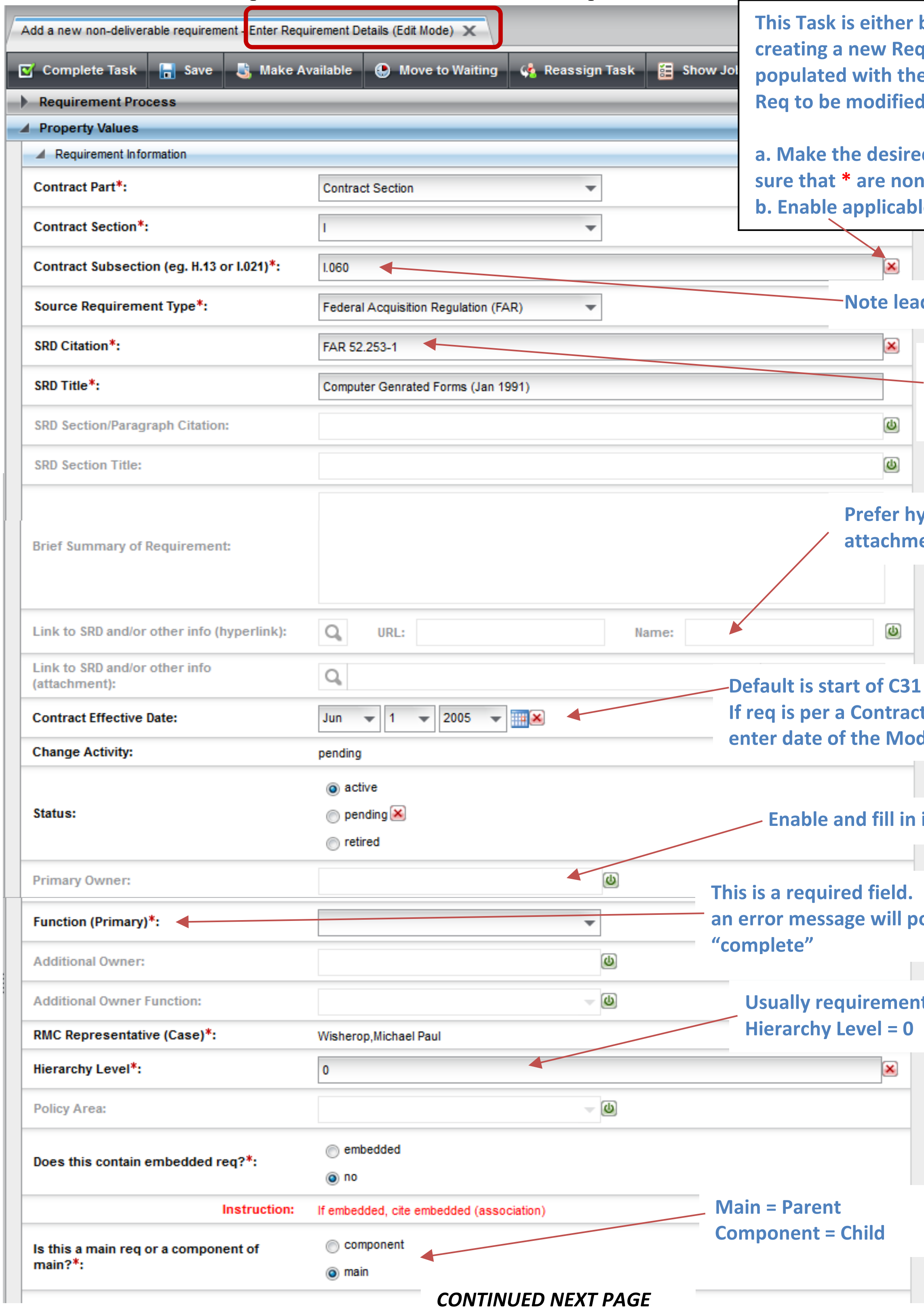
5. If the next step "Enter Requirement Details", does not appear right away, hit "Refresh" until it appears in the Workflow task list.

Refresh

Until the next wf step appears



6. Select workflow task, open detailed window for "Enter Requirements Details".



This Task is either blank (if creating a new Req) or pre-populated with the info from the Req to be modified.

a. Make the desired changes. Be sure that * are non-blank.
b. Enable applicable fields.

Note leading zero

Note citation here is NOT the Clause #

Prefer hyperlinks to attachments here.

Default is start of C31 (June 1, 2005). If req is per a Contract Modification, enter date of the Mod

Enable and fill in if possible!

This is a required field. If left blank, an error message will pop up at "complete"

Usually requirements are Hierarchy Level = 0

Main = Parent
Component = Child

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Is this a deliverable?: (•) No ( ) Yes

Instruction: If yes, complete deliverable information

Is there a pending Contract modification?: (•) No ( ) Yes

Notification date of pending status: Nov 23 2014

Mod Info & Other Comments:

Reminder: Review and add/remove supporting requirem

Workflow Information

Comment:

If Req impacted by a Contract Mod, enter text info here. Other comments can be added, too.
[Enable by hitting green button]

See examples of wording in existing data.

450 character limit.

Associations

Case to Requirement Workflow

Associated Case: 2014-09-21/Test D - Issue #107 - script re-assig

Requirement Workflow to Requirement

Associated Requirement: /////0

Optional: Enter associations here, by enabling then search/find/associate. Can add more than 1 of any type of association.
- Embedded (child to this req)
- Supporting Req (child to this req)
- Supporting Document (child to this req)
- Document (Parent to this req)

The items to be associated MUST EXIST in the database first!!!

Requirement Workflow to Embedded Requirement — Show Embedded Requirement(s)

Embedded Requirement: Search

Requirement Workflow to Requirement (Supporting Requirement) — Show Supporting Requirement(s)

Supporting Requirement: Search

Requirement Workflow to Supporting Document (Supporting Docs) — Show Supporting Document(s)

Supporting Document: Search

Requirement Workflow to Action/ROD — Show Action/ROD(s)

Action/ROD: Search

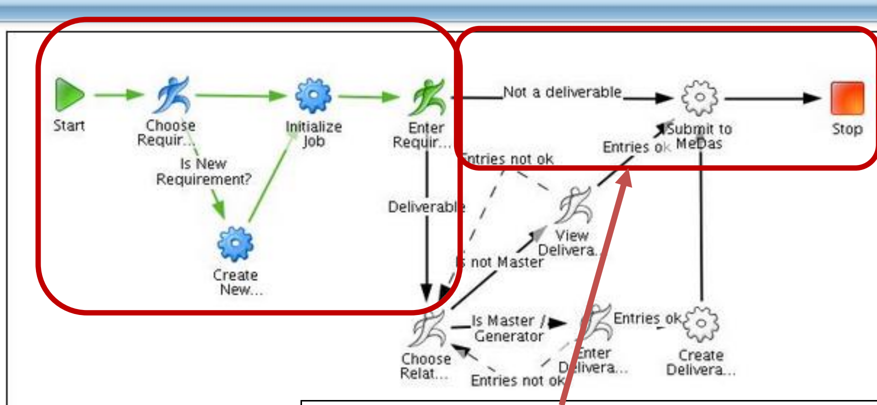
Document to Requirement Workflow (Supporting Requirement) — Show Document(s)

Document: Search

Resources

Job image

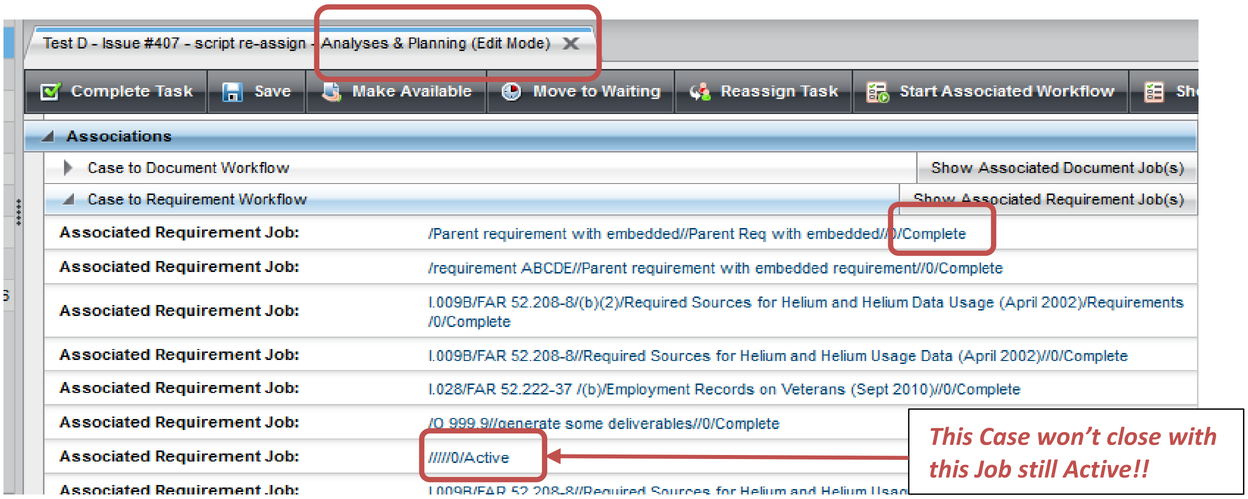
Job:



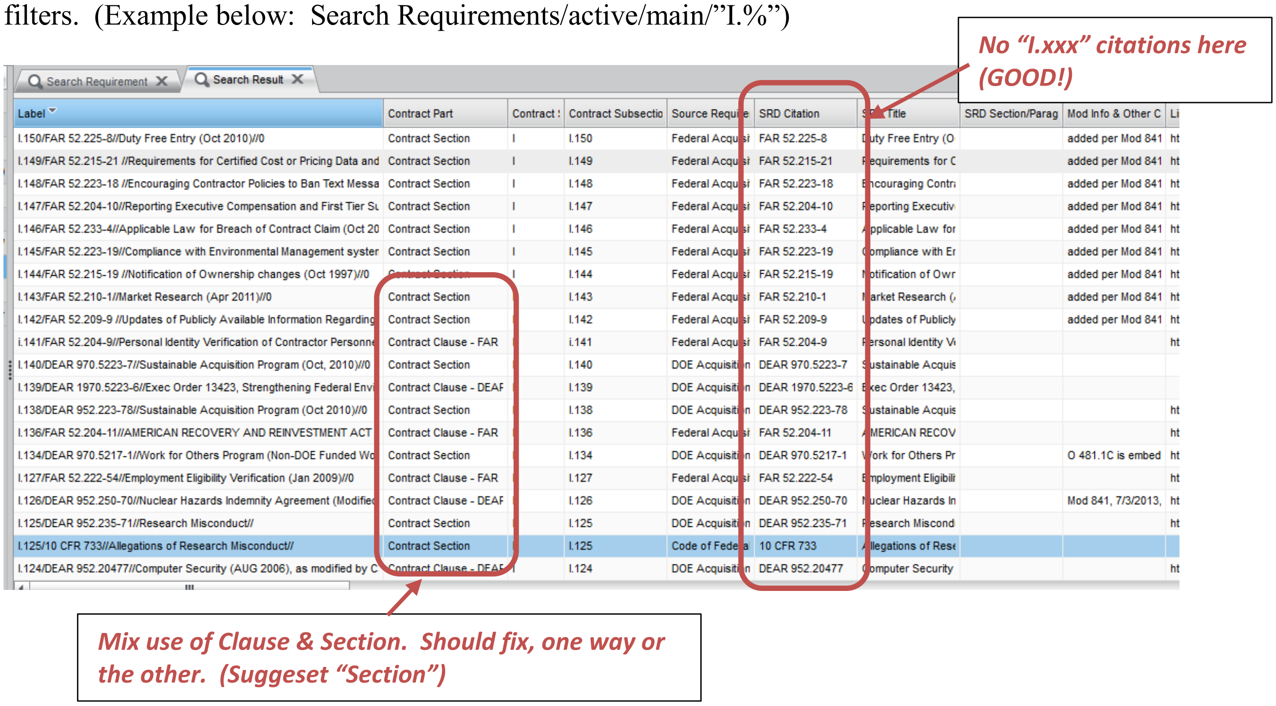
This example is NOT a deliverable
So, hitting "Complete" will upload the data in MeDas, and the Workflow will close and be completed.

7. When sure that all information is correct and complete, select "Complete Task." The workflow will close and be completed. Note: "Save" merely saves – it does not update the database and close the workflow.

8. Refresh and check the associated Case to verify that the Requirement Workflow is indeed complete.



9. Verify that the entered requirement data format is consistent with existing data using various search filters. (Example below: Search Requirements/active/main/"I.%")



Revision History

Revision	Date	Who	Description
0	11-23-2014	L.J. Young	Initial

AD06 Adding a Scheduled Deliverable Requirement

(includes material for **AD04** and **AD07**)

I. Purpose:

This procedure explains how add a scheduled deliverable requirement and how to check for completion. It covers also associating a deliverable/child to its parent, modifying a deliverable (AD07), and is a superset for setting up "as required" deliverables (AD04).

II. Who Can Do This:

Only persons with administrator permissions can execute this procedure.

III. Important Pre-requisites

The user is assumed to know:

- How to enter Cases (See How-to #DC04)
- How to "start associated workflow" from within a Case and the basic steps to enter a requirement (How-to #A02)
- The basic definitions of deliverables (See How-to #AD00).
- The naming conventions for requirements (See How-to #DC01). ***Consistency amongst all the formats and nomenclature in field parameters is paramount for search integrity.***
    - ***If unsure before hitting "complete", look at similar examples in the existing RMS (Production) data.***
    - ***Always verify any new entries by searching afterward.***

IV. The Example

The example uses Clause I.142, partially extracted below. For comparison, the Parent (non-deliverable) data is shown followed by set up of the deliverable workflow and data.

CLAUSE I.142 - FAR 52.209-9 UPDATES OF PUBLICLY AVAILABLE INFORMATION REGARDING RESPONSIBILITY MATTERS (FEB 2012)

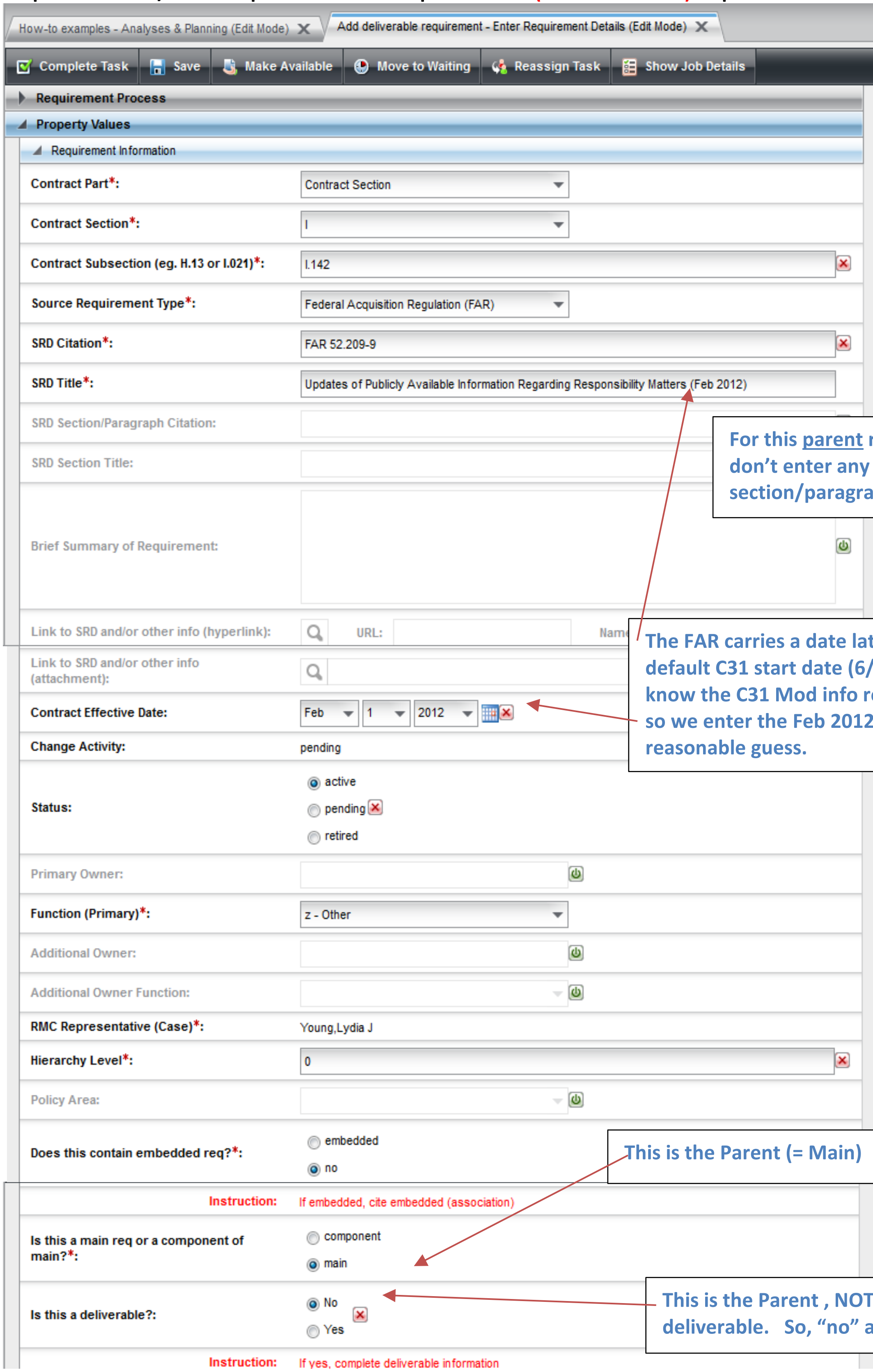
(a) The Contractor shall update the information in the Federal Awardee Performance and Integrity Information System (FAPIIS) on a semi-annual basis, throughout the life of the contract, by posting the required information in the Central Contractor Registration database via *https://www.acquisition.gov*.

(b) As required by section 3010 of the Supplemental Appropriations Act, 2010 (Pub. L. 111-212), all information posted in FAPIIS on or after April 15, 2011, except past performance reviews, will be publicly available. FAPIIS consists of two segments—

V. Procedure

1. Follow How-to procedure #AD02, Steps V.1 to V.6 to see the "Enter Requirements Data" screenshot for the data for the Parent (non-deliverable) requirement.
    - The laziest RM PM/administrator will set up the deliverable first, and the parent second. This recommended sequence allows the association of the deliverable requirement to the parent, while the parent is being defined (the deliverable exists(!) to enable set up of the association).
    - If the parent requirement exists already, then after defining the deliverable, a new workflow must be opened to modify the parent to add the association to the deliverable child (see also How-to AD05). This write-up follows this sequence, just because.

Requirement Job/Enter Requirement Data step for Parent (non-deliverable) requirement:



For this parent requirement, we don't enter any section/paragraph info.

The FAR carries a date later than the default C31 start date (6/1/05). We don't know the C31 Mod info related to the FAR, so we enter the Feb 2012 date as a reasonable guess.

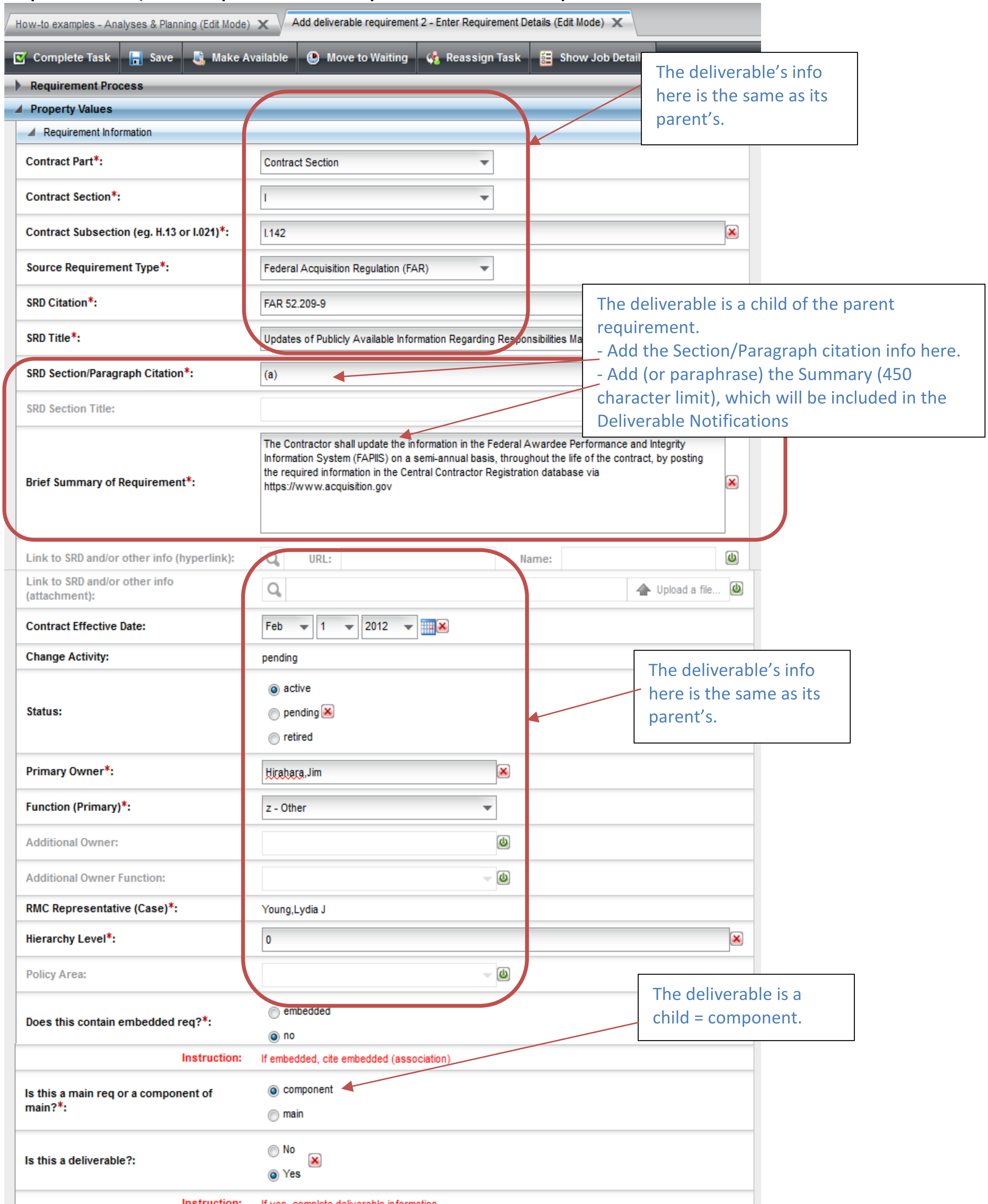
This is the Parent (= Main)

This is the Parent , NOT the deliverable. So, "no" applies.

2. When all information is entered for the Parent, “Complete” the workflow. It should close.

3. Now let’s set up to the deliverable requirement. Follow Procedure AD02, Steps V.1 to V.6 to reach the “Enter Requirements Data” step to enter the deliverable’s requirement information.

Requirement Job/Enter Requirement Data step for the Deliverable requirement:



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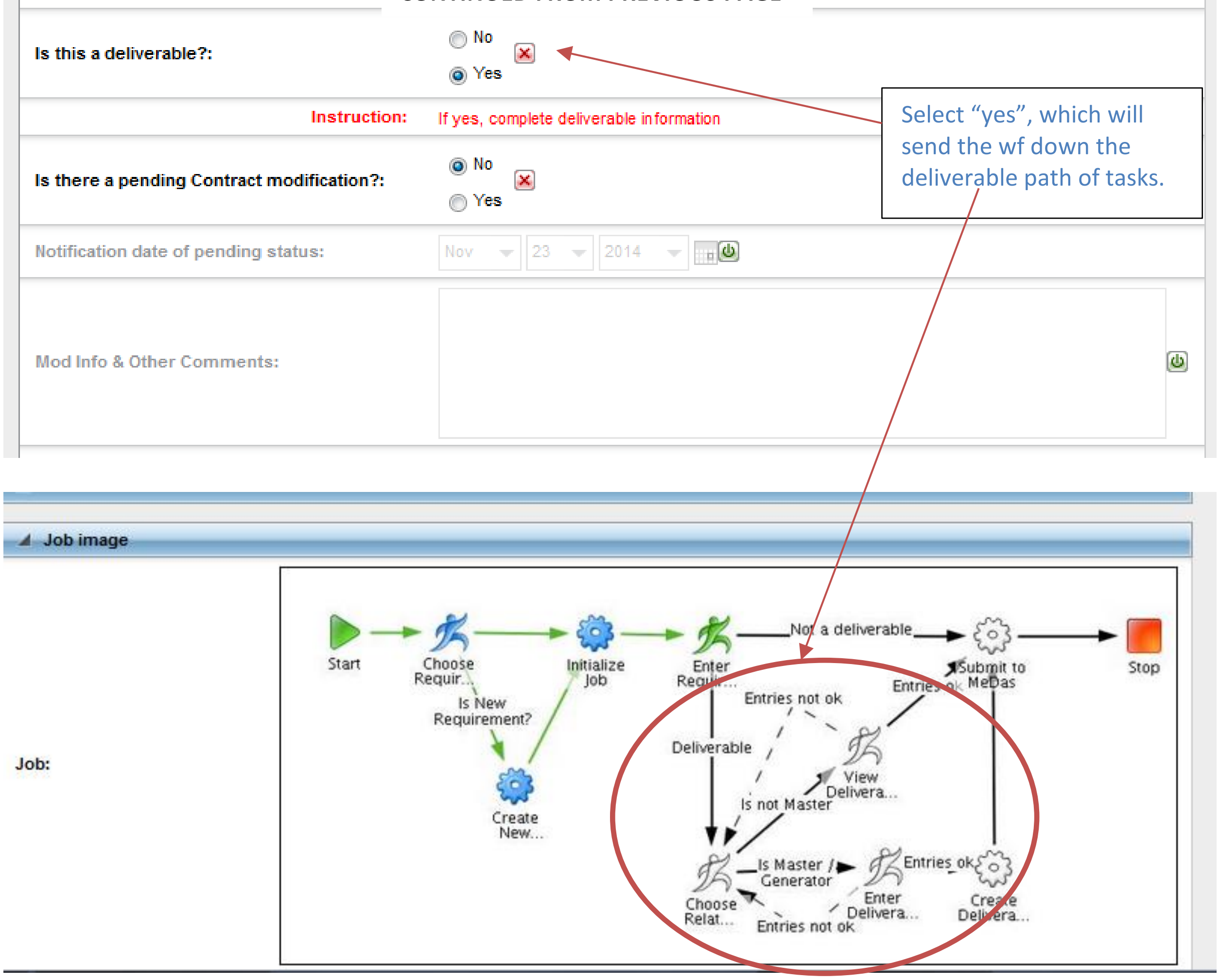


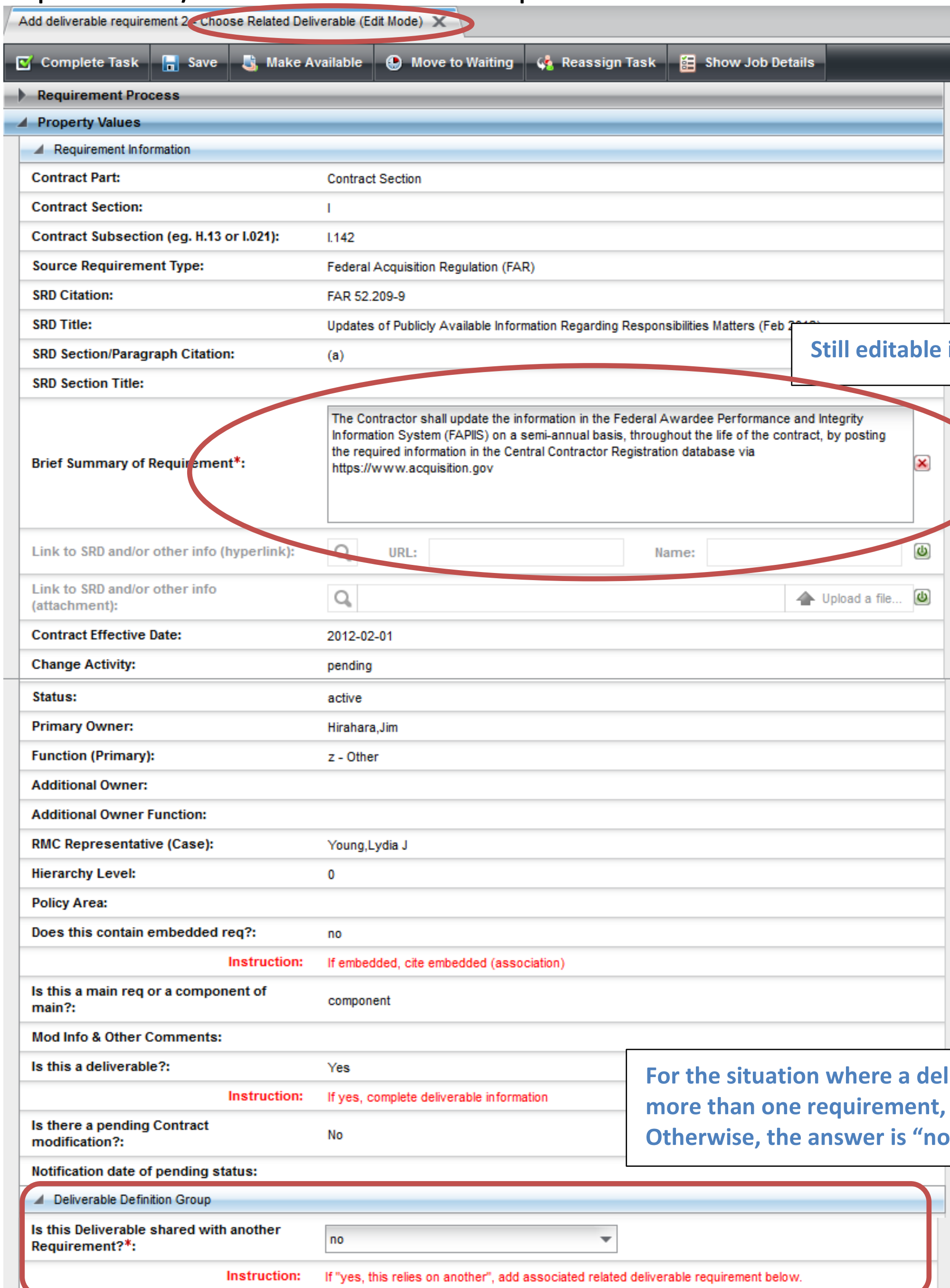
4. Once the information is correct and complete, select "Complete Task." Note that upon completion of the "Enter Requirements Data" according to the diagram, the workflow continues.

5. The "Choose Related" step is next. The information uploaded in the "Enter Requirements Data" is displayed. The user can change the Brief text and can upload links or attachments, but everything else under "Requirement Information" is no longer editable.

   This step is included to allow the User to optionally associate 2 or more requirements to a single deliverable (see How-to #AD10).

   For this example and procedure, select "no" to answer the question, "Is deliverable shared with another?" Then hit "Complete Task" to proceed to next step (Enter Deliverables Definitions).

Requirement WF/Choose Related Deliverable step



Add deliverable requirement 2 - Choose Related Deliverable (Edit Mode)

Complete Task | Save | Make Available | Move to Waiting | Reassign Task | Show Job Details

Requirement Process

Property Values

Requirement Information

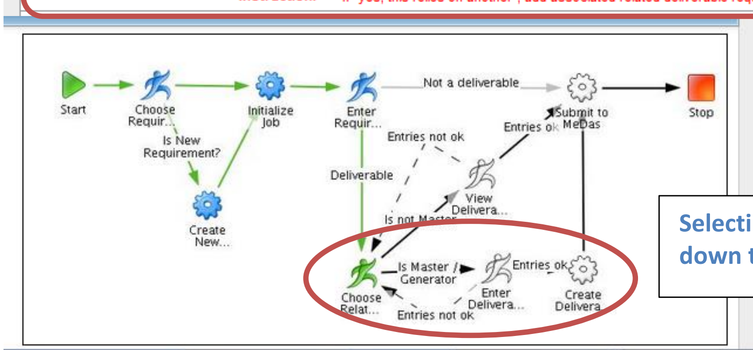
Contract Part:	Contract Section
Contract Section:	I
Contract Subsection (eg. H.13 or I.021):	I.142
Source Requirement Type:	Federal Acquisition Regulation (FAR)
SRD Citation:	FAR 52.209-9
SRD Title:	Updates of Publicly Available Information Regarding Responsibilities Matters (Feb 2012)
SRD Section/Paragraph Citation:	(a)
SRD Section Title:	
Brief Summary of Requirement*:	The Contractor shall update the information in the Federal Awardee Performance and Integrity Information System (FAPIIS) on a semi-annual basis, throughout the life of the contract, by posting the required information in the Central Contractor Registration database via https://www.acquisition.gov
Link to SRD and/or other info (hyperlink):	URL: Name:
Link to SRD and/or other info (attachment):	Upload a file...
Contract Effective Date:	2012-02-01
Change Activity:	pending
Status:	active
Primary Owner:	Hirahara,Jim
Function (Primary):	z - Other
Additional Owner:	
Additional Owner Function:	
RMC Representative (Case):	Young,Lydia J
Hierarchy Level:	0
Policy Area:	
Does this contain embedded req?:	no
Instruction:	If embedded, cite embedded (association)
Is this a main req or a component of main?:	component
Mod Info & Other Comments:	
Is this a deliverable?:	Yes
Instruction:	If yes, complete deliverable information
Is there a pending Contract modification?:	No
Notification date of pending status:	

Deliverable Definition Group

Is this Deliverable shared with another Requirement?*:	no
Instruction:	If "yes, this relies on another", add associated related deliverable requirement below.

Still editable in this step.

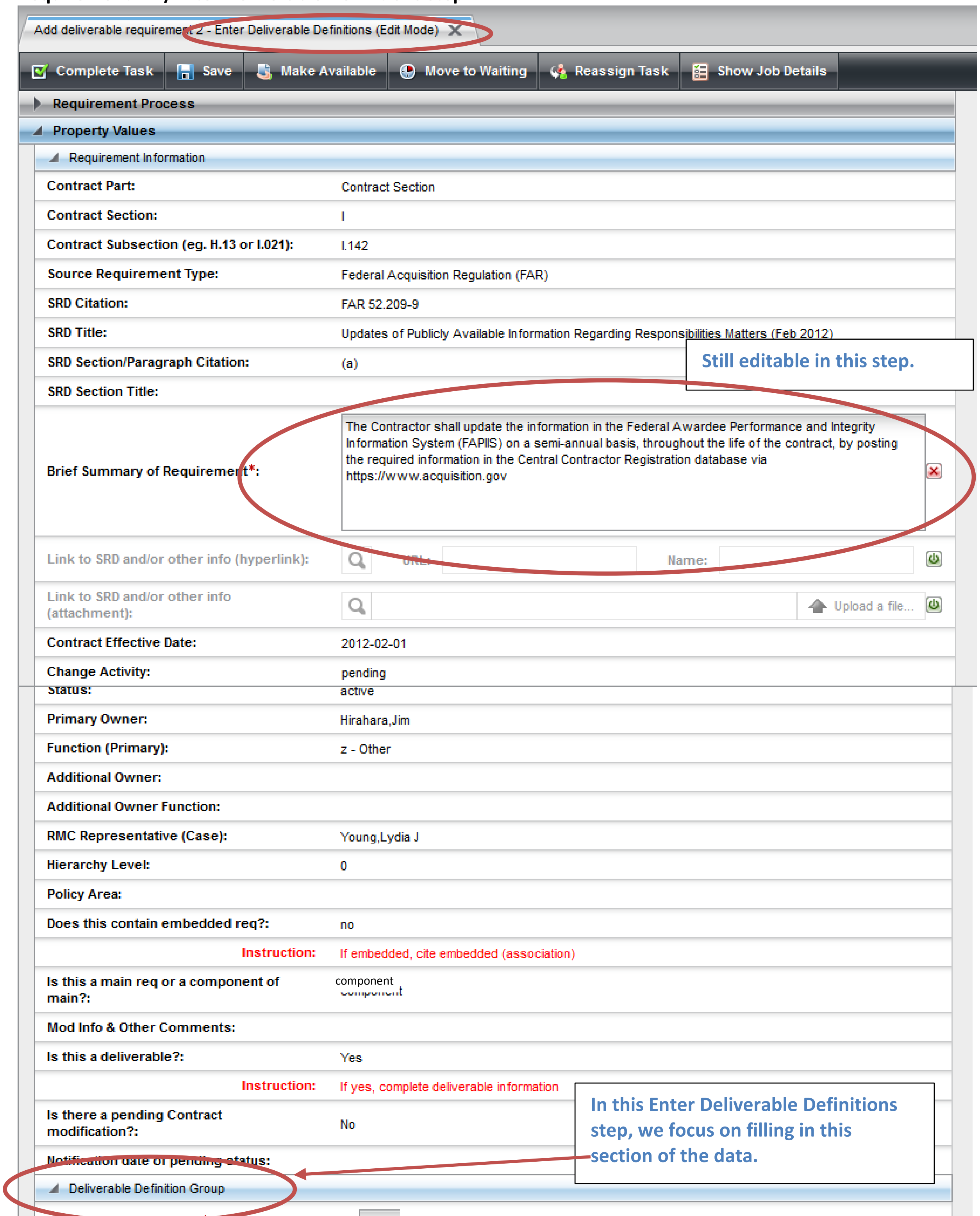
For the situation where a deliverable satisfies more than one requirement, see How-to # A10. Otherwise, the answer is "no"



Selecting "No" will send us down this path.

6. When the "Choose Related" step is completed, the workflow moves to the "Enter Deliverables Definitions" step.

Requirement WF/Enter Deliverable Definitions step



Add deliverable requirement 2 - Enter Deliverable Definitions (Edit Mode)

Complete Task | Save | Make Available | Move to Waiting | Reassign Task | Show Job Details

Requirement Process

Property Values

Requirement Information

Contract Part:	Contract Section
Contract Section:	I
Contract Subsection (eg. H.13 or I.021):	I.142
Source Requirement Type:	Federal Acquisition Regulation (FAR)
SRD Citation:	FAR 52.209-9
SRD Title:	Updates of Publicly Available Information Regarding Responsibilities Matters (Feb 2012)
SRD Section/Paragraph Citation:	(a)
SRD Section Title:	
Brief Summary of Requirement*:	The Contractor shall update the information in the Federal Awardee Performance and Integrity Information System (FAPIIS) on a semi-annual basis, throughout the life of the contract, by posting the required information in the Central Contractor Registration database via https://www.acquisition.gov
Link to SRD and/or other info (hyperlink):	URL: Name:
Link to SRD and/or other info (attachment):	Upload a file...
Contract Effective Date:	2012-02-01
Change Activity:	pending
Status:	active
Primary Owner:	Hirahara,Jim
Function (Primary):	z - Other
Additional Owner:	
Additional Owner Function:	
RMC Representative (Case):	Young,Lydia J
Hierarchy Level:	0
Policy Area:	
Does this contain embedded req?:	no
Instruction:	If embedded, cite embedded (association)
Is this a main req or a component of main?:	component
Mod Info & Other Comments:	
Is this a deliverable?:	Yes
Instruction:	If yes, complete deliverable information
Is there a pending Contract modification?:	No
Notification date of pending status:	

Deliverable Definition Group

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Deliverable Definition Group

Due Date (first instance)*:	Feb / 1 / 2012
Due Date (last instance)*:	Jun / 1 / 2018
Frequency*:	semi-annual
Owner (if different from Primary Owner)*:	Miskelley,Ray
Owner Function (if different from Owner Function)*:	z - Other
Tracked by BSO?:	no / yes
LBNL ID number*:	924568
Customer Organization*:	BSO/DOE - mandatory C31
Customer (LDAP) Point of Contact Name*:	Robles,Maria C
Customer (non-LDAP) Information:	
Last review date of Deliverable's definition:	Nov / 27 / 2014
Deliverable type*:	On-line submission
Deliverable title(s) of record:	
Additional LDAP name for Deliverable Alerts*:	Rantz,Nicole
Review Deliverable Definition Info. Is it ok?*:	No / Yes

Workflow Information

Comment:

Associations

Case to Requirement Workflow

Associated Case: 2014-11-27/How-to examples

Requirement Workflow to Requirement — Show Associated Requirement(s)

Associated Requirement: /////0

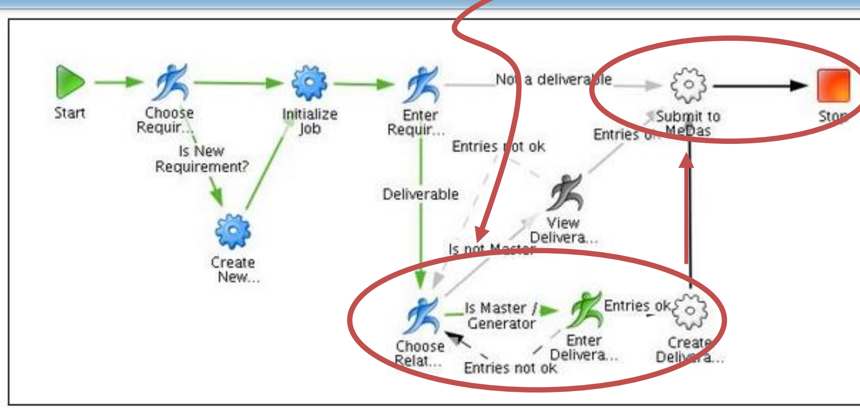
Document to Requirement Workflow (Supporting Requirement)

Document:

Resources

Job image

Job:



For Deliverables with fixed frequency, set the date range for the instances to be generated. The first instance is the first NEW OPEN instance. See NOTES (7a,b,c), next page.

Select from dropdown. See NOTES (7d)

Obtain from RM PM list. See Notes (7e).

This is text & not autofill (because it is non-LDAP!!) (Note 7f)

Put in today's date – this is useful to help figure out if a parent req was modified (per C31 Mod) and the deliverable overlooked. (Note 7g)

Name(s) here will receive copies of notifications. Having a second or third recipient can be helpful as backup or when the Owner has left the Lab. (Note 7h)

When info is correct and complete, select "yes".

The wf will close, deliverables instances will be created, and the database updated.

7. Some notes regarding completing the Deliverable Definitions section:
   a. Due dates in general: The month/day must be agreed to by the customer (usually BSO). The Contract Mod process now requires written agreement between the Lab and BSO.
   b. First instance date:
      i. If this deliverable job/workflow is for a new deliverable, then enter the date of the first instance.
      ii. If this deliverable job/workflow is a modification, then the "new" first instance date corresponds to the first of the remaining open deliverable instances. Getting this right is the challenge in modifying deliverables (just be careful).
         - Some of the related deliverable instances may already be closed.
         - The "new" date must not duplicate the already closed items.
         - Example: Annually due Jan. 1. Original first instance was 1/1/2006; last date was set as 5/31/2018. Closed instances run from 1/1/2006 through 1/1/2014. The next still open instance is 1/1/2015. The deliverable requirement is modified 11/23/14, and the go-forward instances must be updated. Enter "1/1/2015". Keep last at 5/31/2018. This will replace all the open instances (2015, 2016, 2017, 2018).
      iii. If this deliverable has frequency "as required", the first instance date doesn't matter.
   c. Last instance date: This date merely brackets how many instances are to be generated. It can be beyond the agreed-to month/day. See example above. (Do same, even if "as required")
   d. Frequency: The dropdown list covers the common frequencies.
      i. There are some odd-ball intervals (10 years for the Natural Hazard Phenomena requirement, for example). These will need to be manually managed. Insert a note under "Mod and Other Comments" or within the "Brief Summary" in the Requirements Information Section.
   e. LBNL ID#: This is highly useful as a quick reference. The RM PM selects the number, and keeps track of what's next and what has been used already. 924000 through 924300 were applied to deliverables generated by BSO and the Lab around 2010. Numbers from 924500 were applied to new deliverables generated at the end of 2013. Best way to find the "next" number: Search/Find AND include deprecated and retired records.
   f. Customer (non-LDAP) information: this is just text. Any LDAP entries are autofill. This is not.
   g. Last review date of Deliverable's definition. Enter today's date. This is highly useful for tracing history of deliverable definitions that are modified. Also, since the deliverable requirement is associated with its parent, but is not automatically updated when the parent is, it is possible that the updating the deliverable is overlooked. This date helps managers and SMEs catch such inconsistencies.
   h. Additional LDAP name: Name(s) listed here will receive any notifications (60 days and 30 days pre-due, and 30 days overdue). Some SMEs have included their managers or backups, as "fyi". Including an additional name has had value in those situations when a person has left the Lab, the RM PM has not been informed (or not had a chance to update), and the notification has gone to the responsible manager or backup as a reminder to take action.

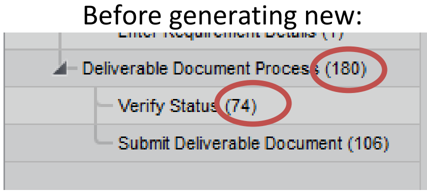
8. After completing "Enter Deliverable Definitions" step, the RMS then begins to generate new instances and replaces any existing opening instances. Once the instances are generated and put in place, the

RMS completes all the usual closeout activities (updating associated Cases, etc.). This is all done as background activity, and takes a while (10 to 20 minutes if nothing has to be replaced and as much as an hour if there are replacements to be made).

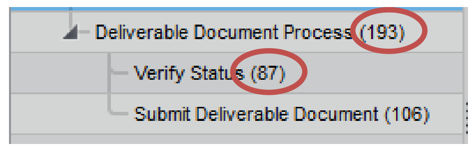
If “As Required” was selected as the frequency, then no instances are generated. A workflow is set up and placed in the “As Required” pile (under Deliverables tab). Be sure to verify it is now listed. See also AD04-video. Also, see How-to DE04 on generating an “as required” specific instance.

One way to know whether progress has been made: the RM PM should note the number of Deliverable Documents in her Inbox right after hitting “Complete Task” for Enter Deliverable Definitions. Then, on occasion, refresh and check the number.

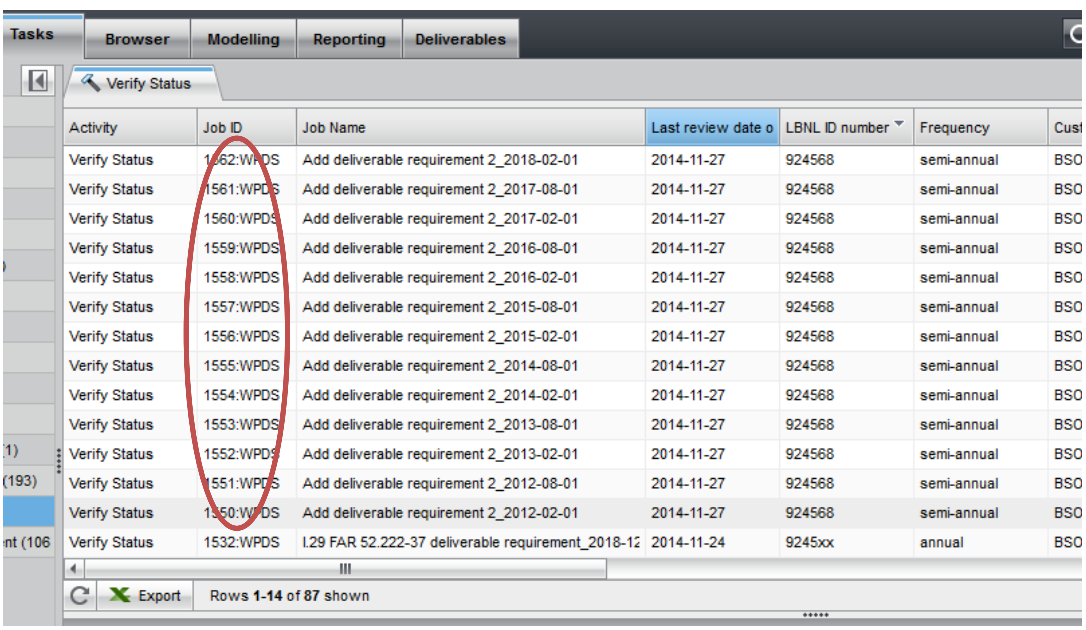
Before generating new:



More generated: totals change



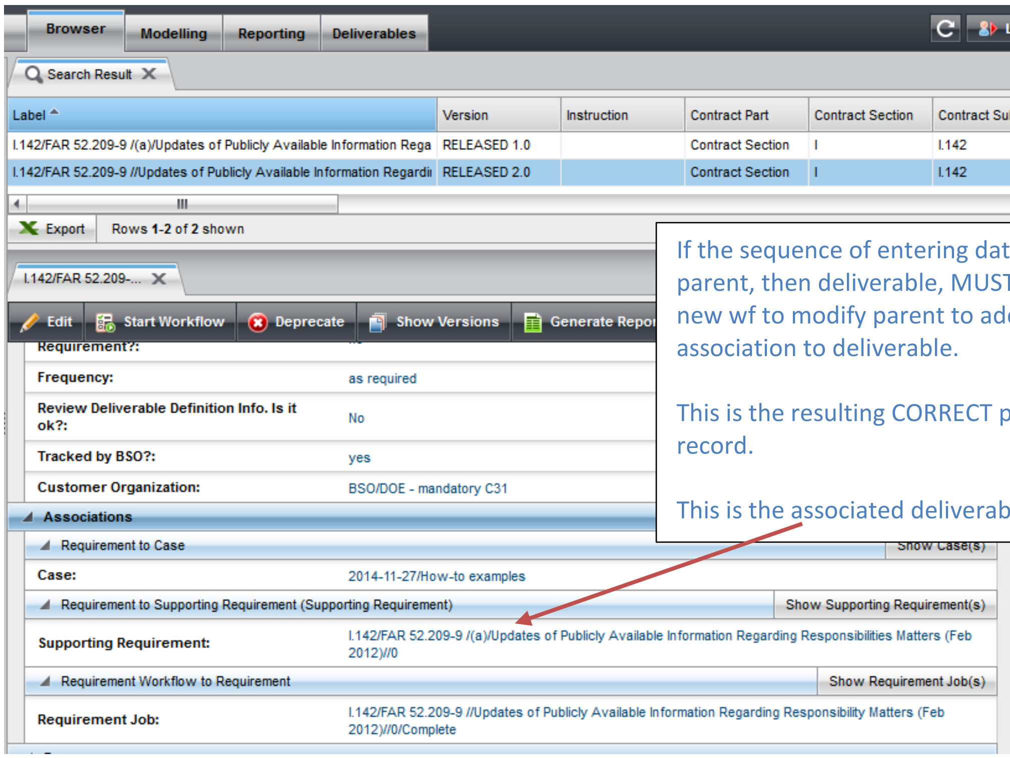
Another check (for replaced or new deliverable instances) is to look at the listing under “Verify Status”, sort by Job ID. The highest numbers are those that were mostly recently generated.



Activity	Job ID	Job Name	Last review date o	LBNL ID number	Frequency	Cust
Verify Status	1562:WPDS	Add deliverable requirement 2_2018-02-01	2014-11-27	924568	semi-annual	BSO
Verify Status	1561:WPDS	Add deliverable requirement 2_2017-08-01	2014-11-27	924568	semi-annual	BSO
Verify Status	1560:WPDS	Add deliverable requirement 2_2017-02-01	2014-11-27	924568	semi-annual	BSO
Verify Status	1559:WPDS	Add deliverable requirement 2_2016-08-01	2014-11-27	924568	semi-annual	BSO
Verify Status	1558:WPDS	Add deliverable requirement 2_2016-02-01	2014-11-27	924568	semi-annual	BSO
Verify Status	1557:WPDS	Add deliverable requirement 2_2015-08-01	2014-11-27	924568	semi-annual	BSO
Verify Status	1556:WPDS	Add deliverable requirement 2_2015-02-01	2014-11-27	924568	semi-annual	BSO
Verify Status	1555:WPDS	Add deliverable requirement 2_2014-08-01	2014-11-27	924568	semi-annual	BSO
Verify Status	1554:WPDS	Add deliverable requirement 2_2014-02-01	2014-11-27	924568	semi-annual	BSO
Verify Status	1553:WPDS	Add deliverable requirement 2_2013-08-01	2014-11-27	924568	semi-annual	BSO
Verify Status	1552:WPDS	Add deliverable requirement 2_2013-02-01	2014-11-27	924568	semi-annual	BSO
Verify Status	1551:WPDS	Add deliverable requirement 2_2012-08-01	2014-11-27	924568	semi-annual	BSO
Verify Status	1550:WPDS	Add deliverable requirement 2_2012-02-01	2014-11-27	924568	semi-annual	BSO
Verify Status	1532:WPDS	I.29 FAR 52.222-37 deliverable requirement_2018-12	2014-11-24	9245xx	annual	BSO

9. If the parent existed before the deliverable requirement, then it is necessary to start a new workflow for the parent to modify it with the added association to the deliverable as a supporting requirement. Note that after tying the two together, "Generate Report" shows the relationship, too.

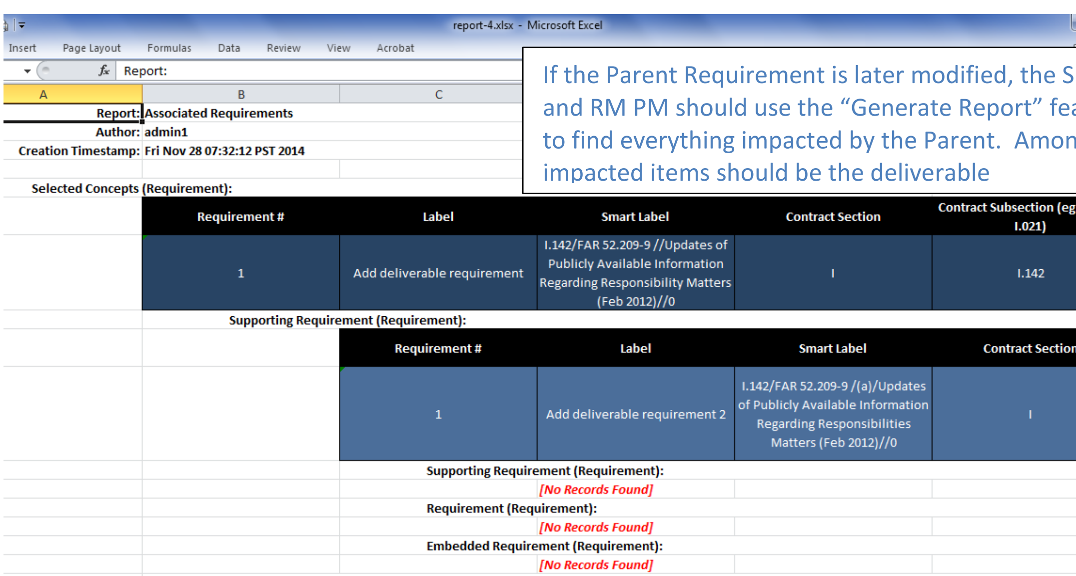
Setting up the association in RMS between parent requirement and its deliverable(s) will help remind SME and RM PM later on, should the parent requirement be modified.



If the sequence of entering data was parent, then deliverable, MUST open new wf to modify parent to add association to deliverable.

This is the resulting CORRECT parent record.

This is the associated deliverable.



If the Parent Requirement is later modified, the SME and RM PM should use the "Generate Report" feature to find everything impacted by the Parent. Among the impacted items should be the deliverable

VI. References:

Other How-To's:

AD00	Overview Deliverables
DC01	Data Entry Naming Convention
AD02	Adding a Non-deliverable Requirement (text and video)
AD03	Modifying a Non-deliverable Requirement (video)
AD07	Modifying a scheduled deliverable (video) – includes monitoring generation
DC07	Data Entry – Setting up associations
DE04	Selecting an As Required Deliverable Document (video)

Revision History

Revision	Date	Who	Description
0	11-23-2014	L.J. Young	Initial
0.1	11-28-2014	L.J. Young	Revised with new example, expanded explanations

AD08 – Releasing Scheduled and As Required Deliverables

A. Purpose:

This document explains the process for releasing “scheduled” deliverable instances and for releasing “as required” deliverable instances in the RMS system to SMEs or to RMC members. This document shows the actions the RM PM must take to direct deliverable instances to their respective responsible owners.

B. Who can do this procedure:

The RM PM (or the RMS administrator) who receives the initial deliverable instances in the “verify” step.

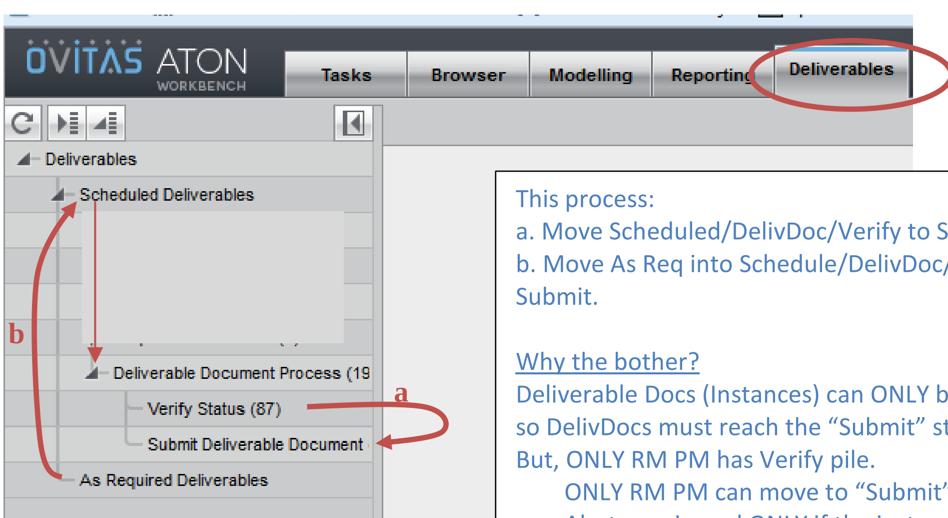
C. Background

As described in the overview on deliverables (LBNL Doc # 04.04.001.403-AD00), the multi-step flow to distribute the deliverable instances to the rightful RMC representative or Lab SME is a direct result of requiring the ability to maintain in the system the record of any cancelled deliverable requirement. The Overview (AD00) explains in further detail.

When deliverable instances are generated per How-to # AD06, upon closure of the workflow, the RMS places the generated instances in one of two piles:

a. If a scheduled deliverable, the RMS puts the instance into the RM PM’s Deliverables/ScheduledDeliverables/DeliverableDoc/VerifyStatus folder
b. If it is an “as required” deliverable, the RMS puts the instance in the Deliverables/AsRequiredDeliv folder under the Deliverable tab. The Deliverable tab can be viewed by persons with Admin, Editor, or Casual Deliverable level of access.

The deliverable document (instance) is actionable for closure ONLY if it is in the “Submit” step. Also, alerts are issued ONLY if an instance is in the “Submit” step. Hence, the goal is to move deliverable instances toward the “Submit” step and Inboxes of SMEs, RMC members or the RM PM.



This process:
a. Move Scheduled/DelivDoc/Verify to Submit **OR**
b. Move As Req into Schedule/DelivDoc/Verify and then move to Submit.

Why the bother?
Deliverable Docs (Instances) can ONLY be closed from “Submit” step, so DelivDocs must reach the “Submit” step.
But, ONLY RM PM has Verify pile.
ONLY RM PM can move to “Submit”
Alerts are issued ONLY if the instances are in “Submit”

D. Process

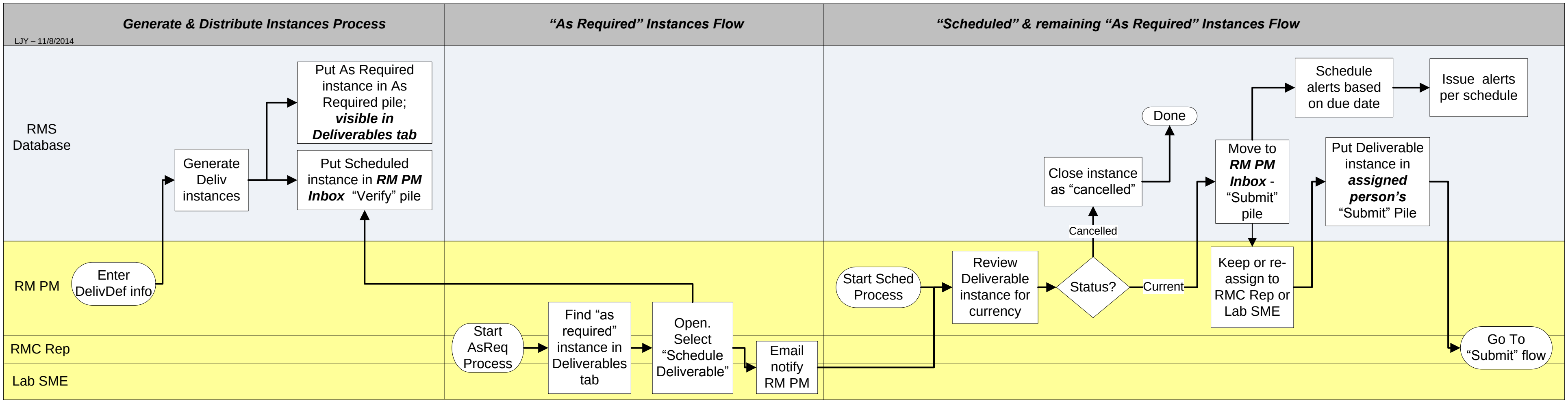
The swim-lane diagram describes the process flow in detail.

Additional Notes:

a. ONLY the RM PM can shift deliverable instances from the Verify folder to the Submit folder.
b. Notifications (60, 30 pre-due) are initiated **only if** the instance is in a Submit folder. Thus, RM PM must make sure to execute (a) above well before the 60 day mark.
c. Any person who can view "as required" may schedule an instance. "Scheduling" here means releasing an instance for the submittal of the particular deliverable. However, when the "schedule' action is selected, the generated instance goes to the **RM PM**'s Scheduled Deliverables/DeliverableDoc/Verify folder. The RM PM then must take action to shift it to the owner's Inbox Deliverable/Submit folder.

   It is vital that the SME or RMC member tell the RM PM that he/she has scheduled an "as-required' deliverable. The action of scheduling an "as required" item does NOT send an automatic alert.
d. Once the deliverable instance reaches its destination (someone's Submit folder), then the Submit Process (described in How-to DE05, LBNL doc #04.04.001.403-DE05) describes how to submit and close the deliverable.

Swim-lane Process Flow:



E. Related How-to's

A00 Overview of Deliverables
A06 Adding a Deliverable Requirement
DE03 Selecting a Delivearble Document with Scheduled Due Date
DE04 Selecting an As Required Deliverable Instance
DE05 Closing a Submitted Deliverable in RMS

F. Revision History

Revision	Date	Who	Description
0	11-08-2014	L.J. Young	Initial
0.1	11-28-2014	L.J.Young	Change to Word doc, elaborate explanations.

AD09 Embedded Requirements

I. Purpose:

This procedure explains how to associate an embedded requirement.

II. Who Can Do This:

Only persons with administrator permissions can execute this procedure.

III. Important Pre-requisites

The user is assumed to know:

- How to enter Cases (See How-to #DC04)
- How to "start associated workflow" from within a Case (How-to# DC04), and the basic steps to enter a requirement (How-to #AD02)
- The basic flowdown of associations amongst requirements and documents, and how to set up associations.
- The naming conventions for requirements (See How-to #DC01). ***Consistency amongst all the formats and nomenclature in field parameters is paramount for search integrity.***
  - ***If unsure before hitting "complete", look at similar examples in the existing RMS (Production) data.***
  - ***Always verify any new entries by searching afterward.***

IV. Examples of Embedded Requirements

The following were excerpted from Contract 31, and the embedded requirements are highlighted. Clause I.061 is the parent and the embedded requirement, 10 CFR part 708, is the child. Similarly, Clause I.058 is the parent while 41 CFR-101-39 and 41 CFR 101-38.301.1 are the children.

CLAUSE I.58 - FAR 52.251-2 INTERAGENCY FLEET MANAGEMENT SYSTEM VEHICLES AND RELATED SERVICES (JAN 1991)

The Contracting Officer may issue the Contractor an authorization to obtain interagency fleet management system (IFMS) vehicles and related services for use in the performance of this contract. The use, service, and maintenance of interagency fleet management system vehicles and the use of related services by the Contractor shall be in accordance with 41 CFR 101-39 and 41 CFR 101-38.301-1.

CLAUSE I.61 - DEAR 952.203-70 WHISTLEBLOWER PROTECTION FOR CONTRACTOR EMPLOYEES (DEC 2000)

(a) The Contractor shall comply with the requirements of "DOE Contractor Employee Protection Program" at 10 CFR part 708 for work performed on behalf of DOE directly related to activities at DOE-owned or -leased sites.

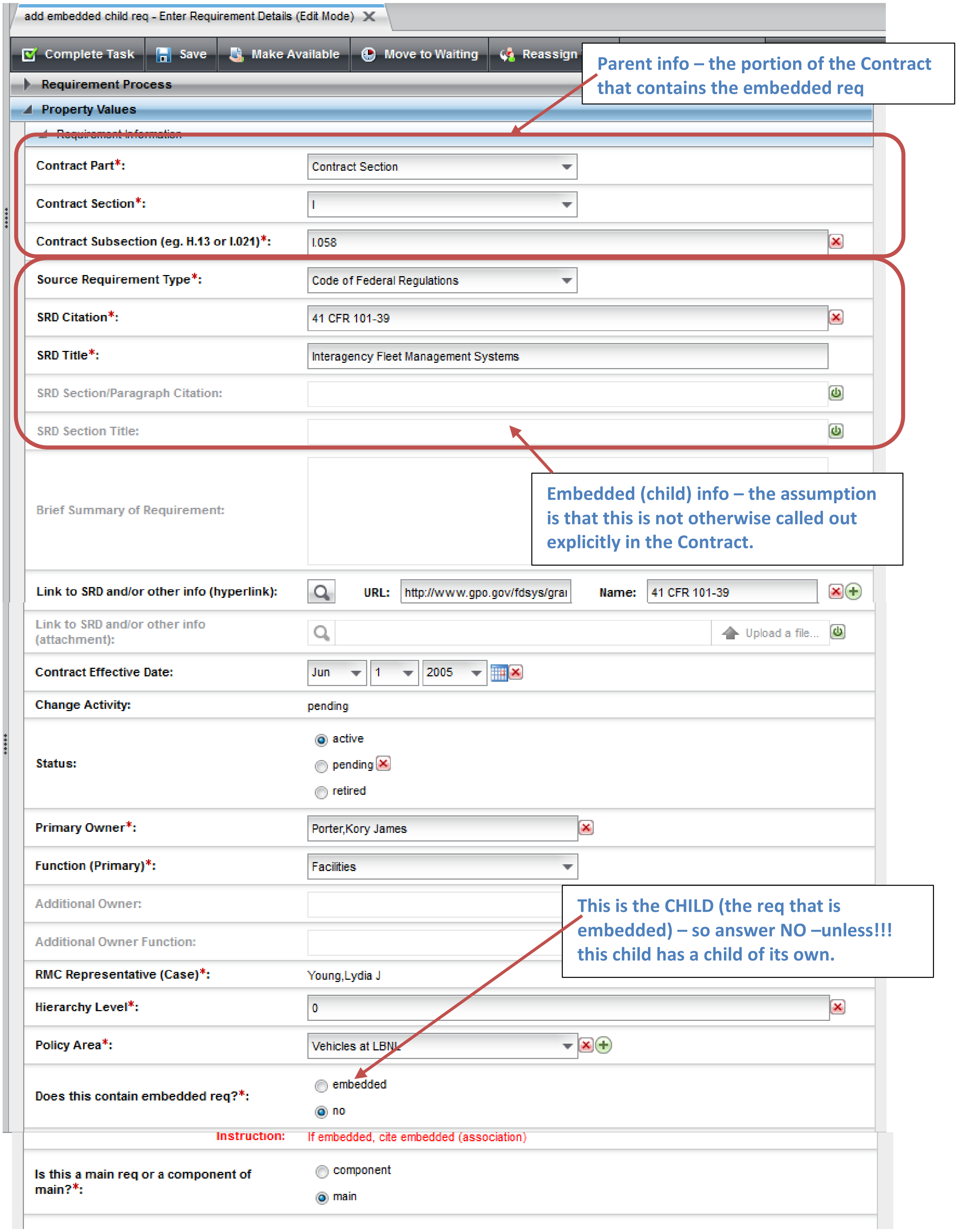
(b) The Contractor shall insert or have inserted the substance of this clause, including this paragraph (b), in subcontracts at all tiers, for subcontracts involving work performed on behalf of DOE directly related to activities at DOE-owned or -leased sites.

V. Procedure:

1. If the embedded requirement is explicitly called out in the Contract, then it is "merely" another contract requirement, and should be entered under "associations" per Step V.5 of this procedure.

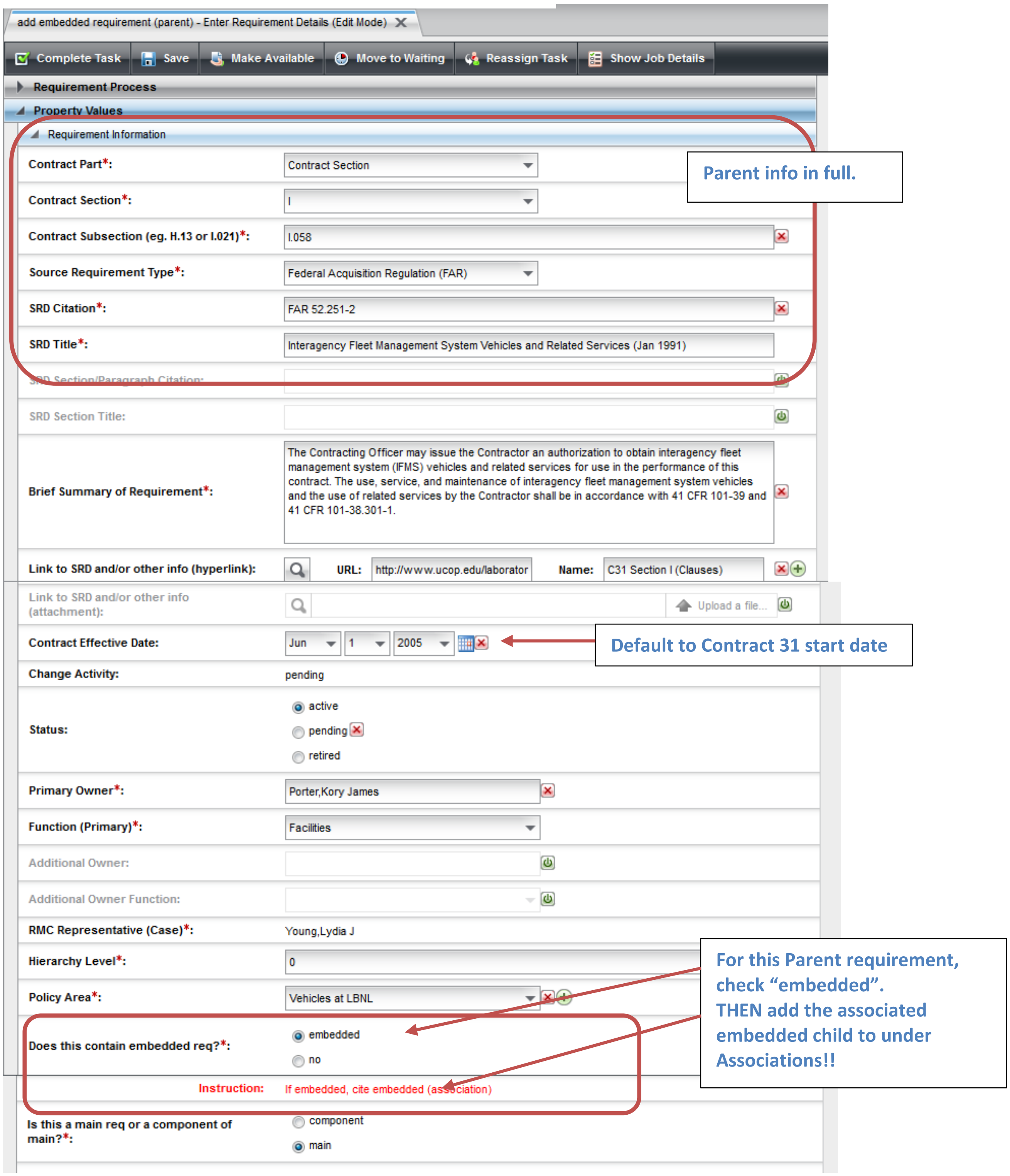
2. If the child/embedded requirement is NOT explicitly called out in the Contract – that is, its only reference is within the parent requirement, then it must be uploaded into the system.
   a. Follow Procedure A02, Steps V.1 to V.6.
   b. In the "Enter Requirements Data" step, enter the information for the embedded requirement as below.
   c. In particular: Answer NO to the question: "Does this contain an embedded requirement?" [unless, of course, it has children of its own – example of this is I.078, which has an embedded requirement, which has 3 children of its own]
   c. Complete the workflow for the embedded/child requirement.

Req wf/Enter Requirements Data – EMBEDDED REQ (child)

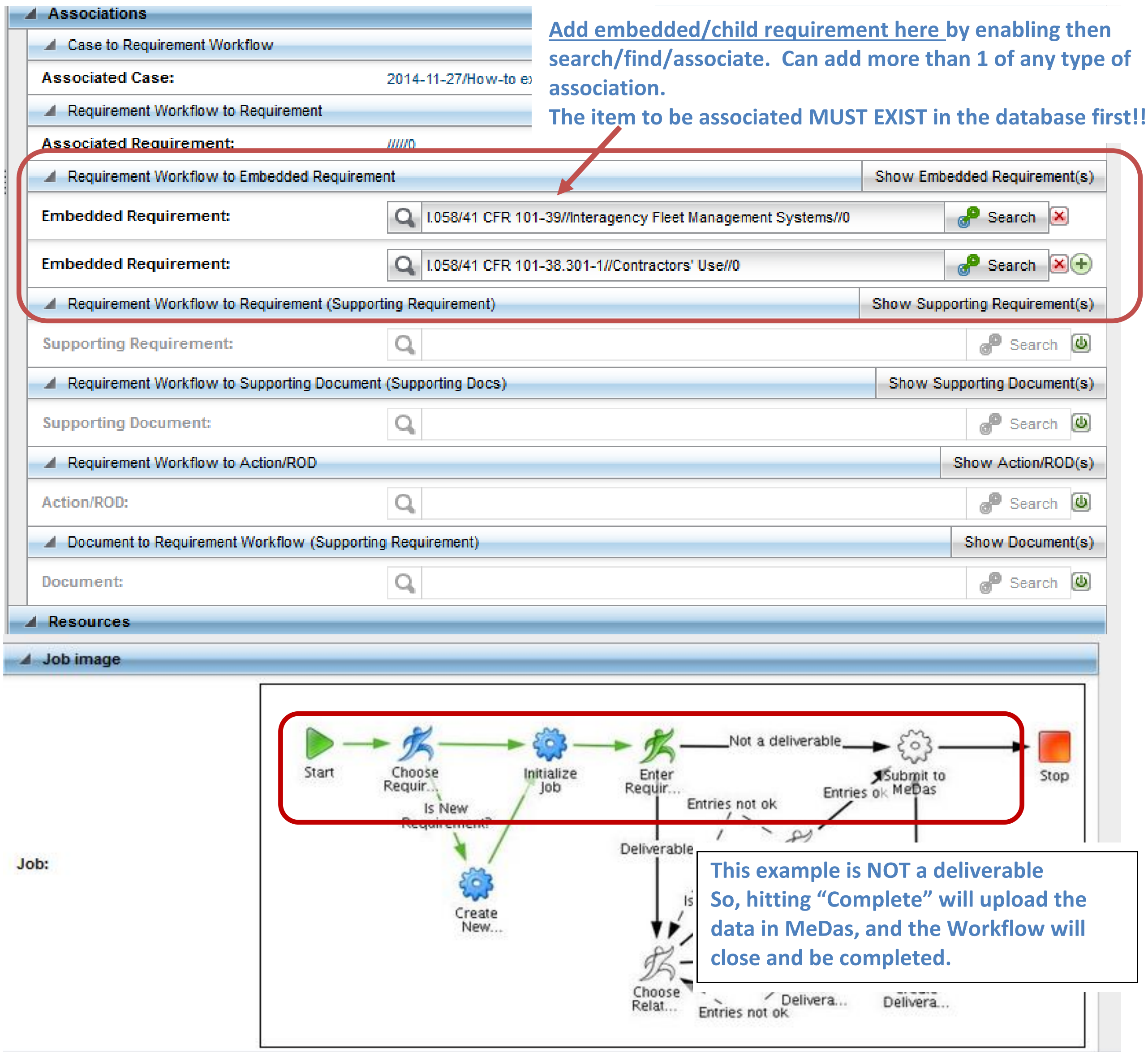


3. For the Parent requirement, open another workflow (procedure AD02, steps V.1 to V.6).
4. In "Enter Requirements Data" step, enter the data indicated in the next diagram.
5. Add the associated embedded/child requirement to the associations of the Parent requirement. OK to add more than 1 if there are more.

Req wf/Enter Requirements Data – PARENT REQ



Req wf/Enter Requirements Data – PARENT REQ

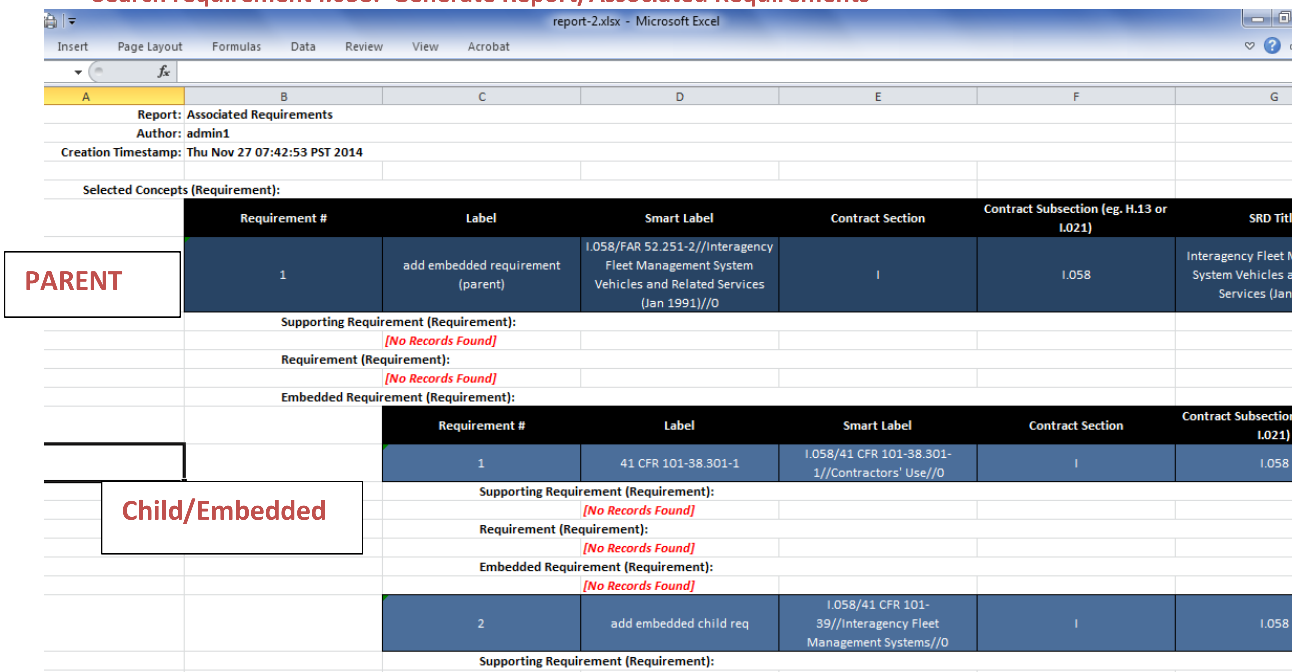


7. When sure that all information is correct and complete, select “Complete Task.” The workflow will close and be completed.

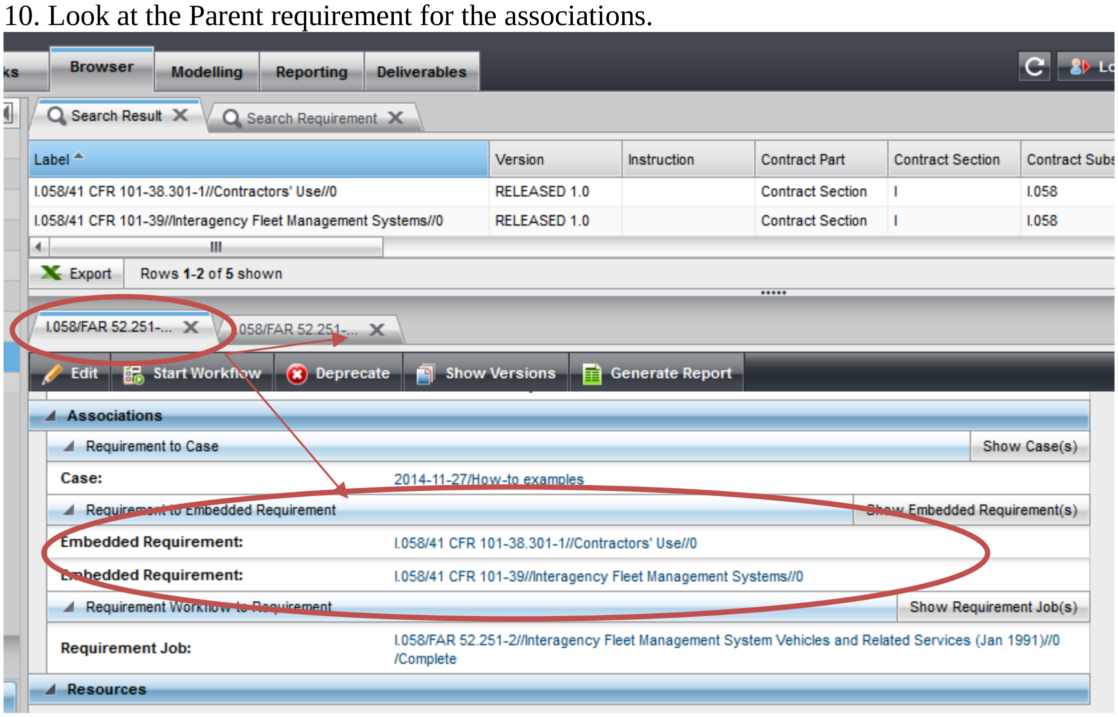
8. Refresh and check the associated Case to verify that the Requirement Workflow is indeed complete.

9. Verify that the entered requirement(s) were set up with the correct relationships. Search for the parent requirement, then select Generate Report (How-to # V05), select Associated Requirements. Check the report has the desired hierarchical relationship!

Search requirement I.058. Generate Report/Associated Requirements



10. Look at the Parent requirement for the associations.



VI. Related Other How-To's

- DC01 Data Entry Naming Conventions
- DC04 Data Entry – Case Workflow
- DC07 Data Entry – Setting Up Associations
- AD02 Adding a new non-deliverable requirement
- V05 Generating a Report

Revision History

Revision	Date	Who	Description
0	11-23-2014	L.J. Young	Initial
0.1	11-27-2014	L.J. Young	Re-do pictures

AD10 Setting Up Deliverables Common to 2 or More Requirements

I. Purpose:
This document describes the procedure for setting up in RMS a deliverable that satisfies two or more requirements.

II. Who Can Do This:
Only persons with RMS administrator permissions may perform this procedure.

III. Prerequisites
The user is expected to be fully knowledgeable and very practiced in the following and their prerequisites:

- AD00 Overview of Deliverables
- DC01 Data Entry Naming Convention
- DC07 Setting Up Associations
- AD06 Adding a scheduled deliverable
- AD07 Modifying a scheduled deliverable

IV. Procedure Objective and Definitions:
This procedure describes the data entry steps to tie together two (or more) requirements that are satisfied by a common deliverable. For example, submission of Report A on a given date satisfies both Requirement B and Requirement C.

Definitions:

Generator – the parent requirement that generates the Deliverable Document (DelivDoc) instances
Dependent requirement – the requirement that will rely on the Generator's DelivDocs
DelivDef – "Deliverable definition" group of fields within a requirement's record
DelivDoc – A workflow instance of the specific deliverable, defined by the DelivDef representing a specific due date. This document may use "DelivDoc" and "instance" interchangeably.

Figure 1

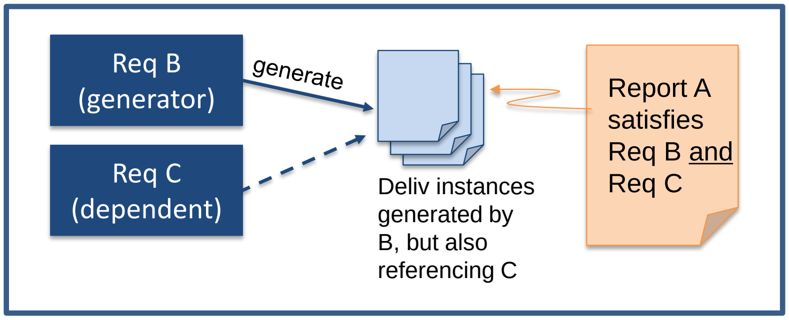


Figure 1above illustrates the overall objective of this procedure.

V. Procedure:
Before setting up the association between the Generator and the Dependent requirements, the Generator information and generated DelivDocs **must** be in the system **prior to** entering the Dependent information.

Either of two starting circumstances may be present:

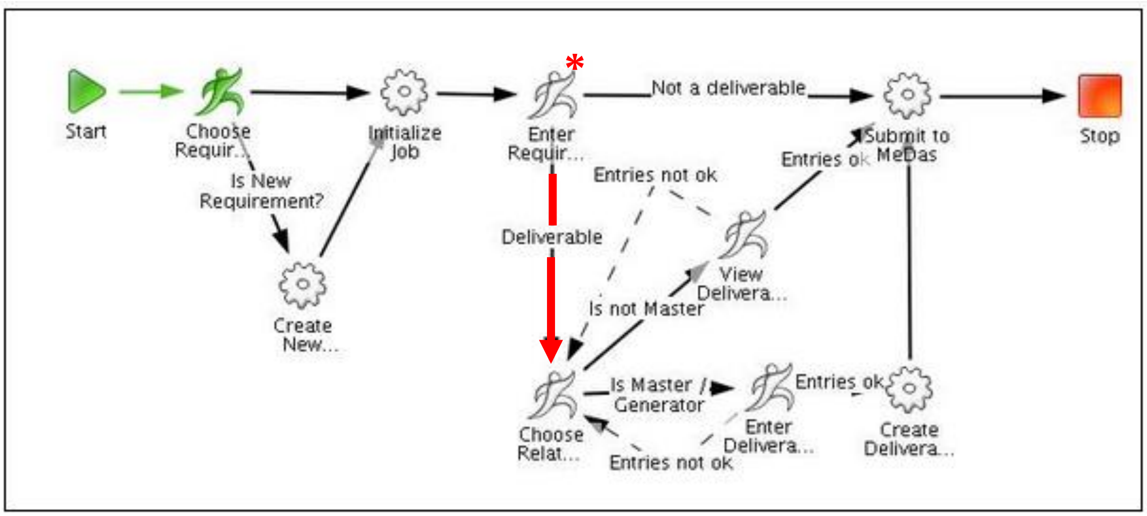
1. The Generator information is new AND it is known that it will be sharing its deliverables with another requirement, OR
2. The Generator information is already in the system, its DelivDocs have been generated, and perhaps some of its DelivDocs have already been closed. At a later time, the RM PM and SME decide to tie a second requirement to the Generator.

The procedures for these are slightly different, but each is comprised of TWO requirements workflows: one for the Generator and one for the Dependent.

> ***Note:*** *The procedures are only difficult in that they are tedious. They must be done in the right sequence to achieve the correct associations and generated DelivDocs. Always do a thorough verification by browsing in multiple ways.*

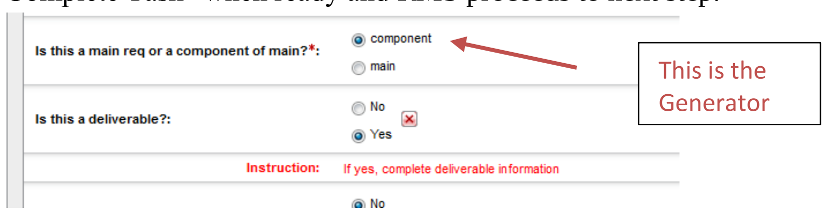
Figure 2 is the RMS Requirements workflow diagram. The procedures reference the several step names. From "Enter Requirement" step (*), the Deliverable path will be followed (arrow)

Figure 2 – RMS Requirements Workflow Diagram

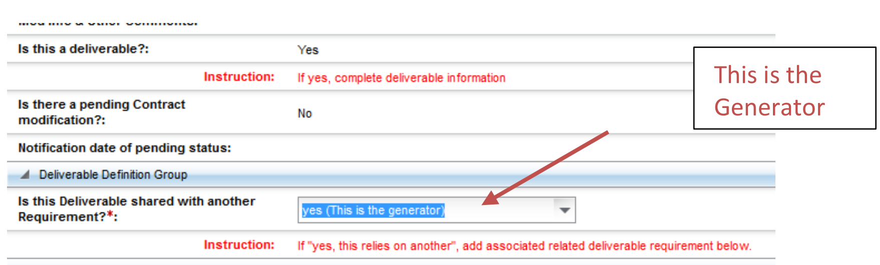


Circumstance 1**:** Generator info is to be newly entered knowing it will be sharing with another requirement. The two workflow sequence is: First, the (new) Generator requirement is entered, and then the (new) Dependent requirement is entered and the association to the Generator is made.

a. Open Case
b. Open Generator Requirement workflow (wf) within the Case ("Start Associated Workflow")
   i. *Choose Requirement* step:
      1. Hit "complete task" to enter new requirement. System proceeds to next step.
   ii. *Enter Requirement* step:
      1. Enter Generator's data per usual. See How-to AD06 for assistance on selections for values for the several fields.
         - Note - usually deliverables are a paragraph/section of a requirement, so usually "component" applies
         - Select "Yes this is a deliverable", which will continue the wf. (See RMS flow diagram below.)
      2. Hit "Complete Task" when ready and RMS proceeds to next step.

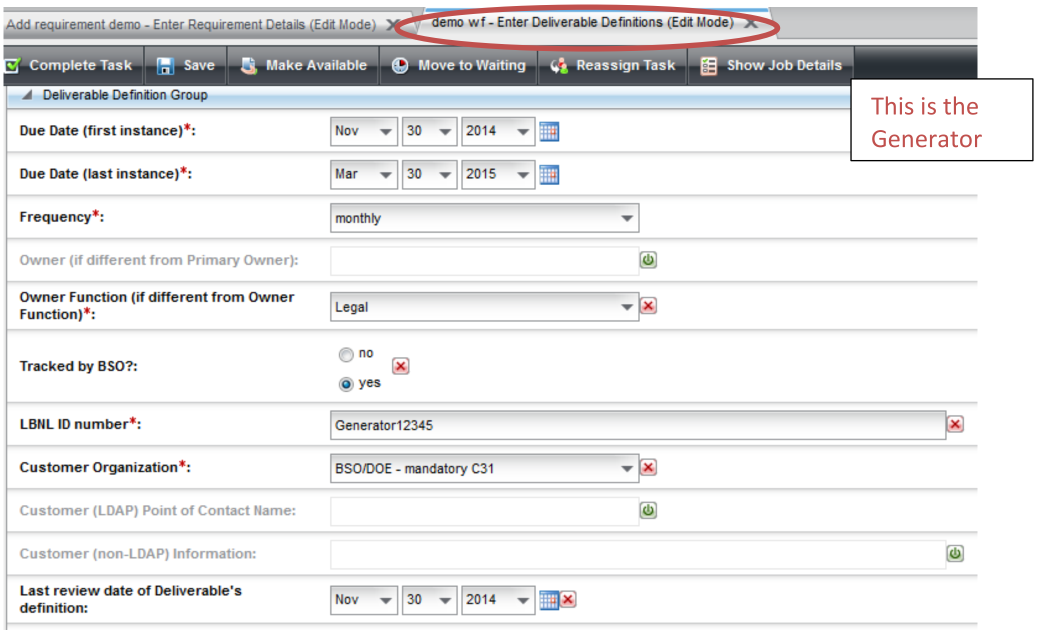


   iii. *Choose Related Deliverable* step
      1. To the question "Is this Deliverable shared?" select "Yes, this is the generator."
      2. Hit "Complete Task" and RMS proceeds to next step.



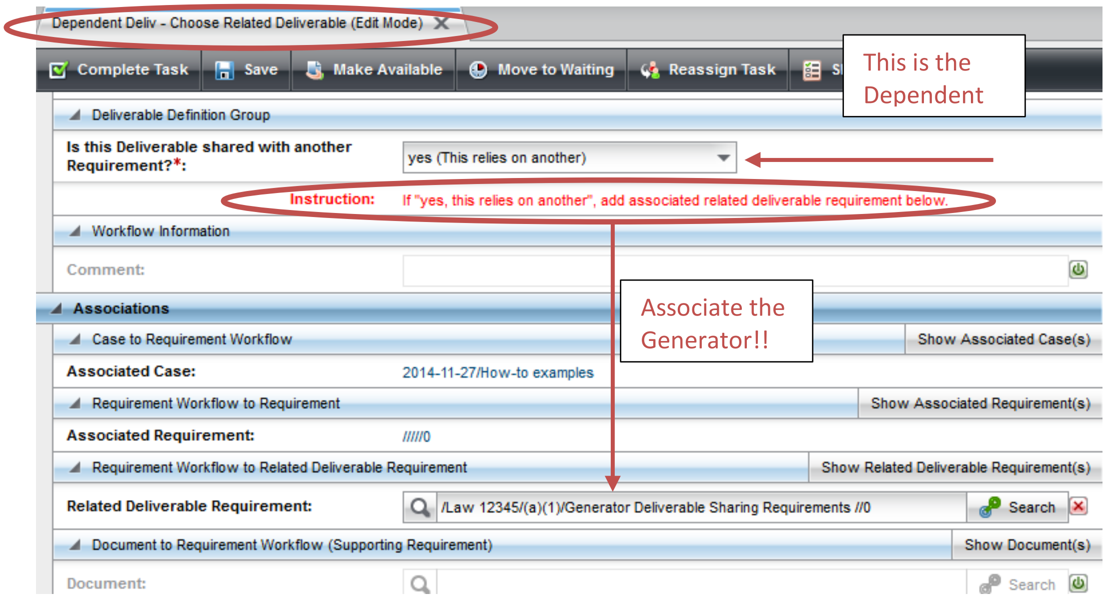
   iv. *Enter Deliverable Definition* step:
      1. Enter the data per usual See How-to AD06 for assistance on selections for values for the several fields.
         - Enter the date range, frequency, LBNL ID number
         - Optional useful feature is "additional names for notifications"
         - Optionally, can indicate if deliverable is an on-line submission (type of deliverable). Could add under "title" the name of the on-line system.
      2. When ready, Check "yes" to "Review Deliverable Definition info. Is it OK?"

3. Hit "Complete Task", and then RMS will generate the DelivDocs. See How-to AD06 explanation to monitor generation of the DelivDocs. It will take about 15 to 30 minutes (time depends on connection to server, busy-ness of the server, etc.)



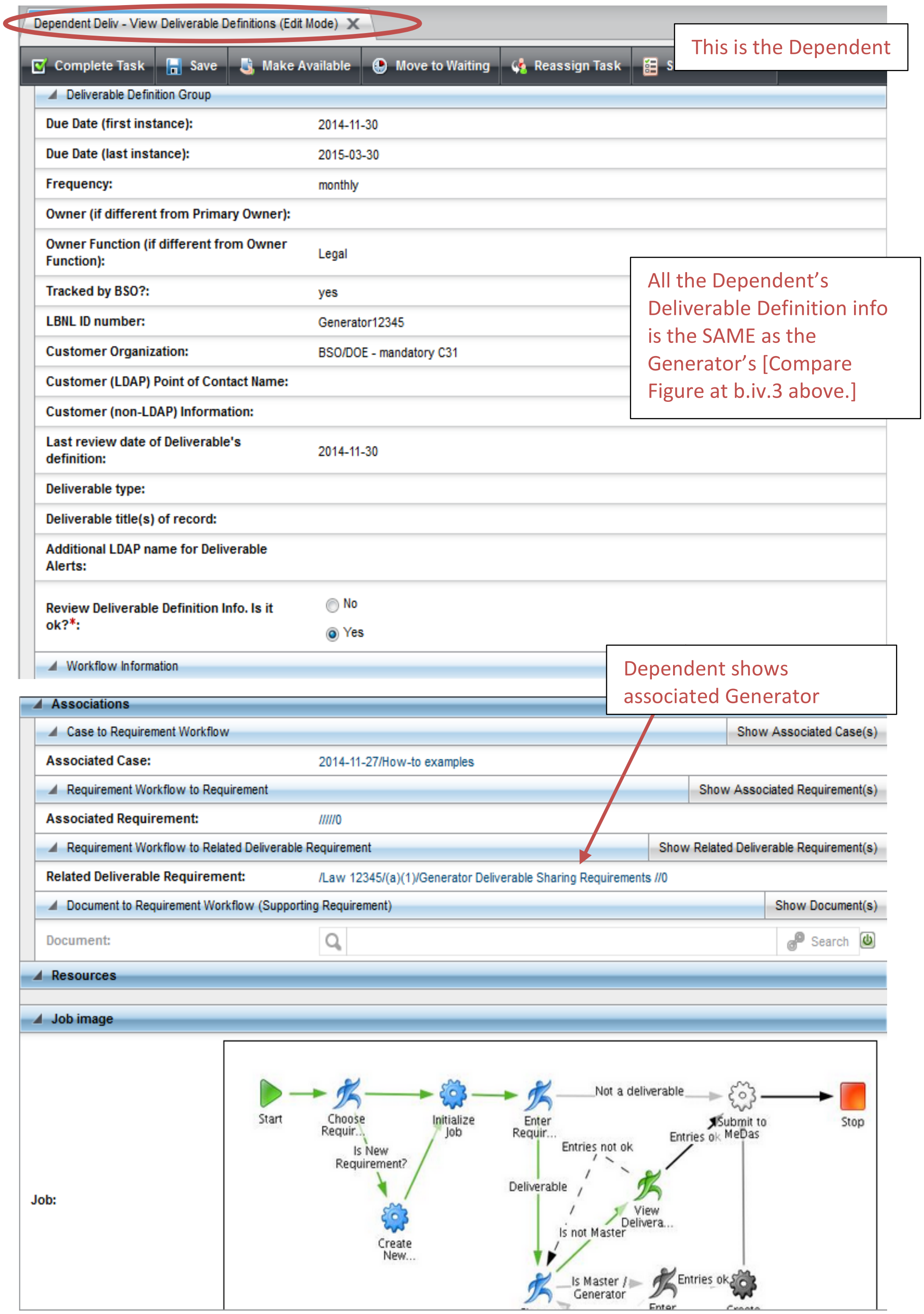
c. Open Dependent Requirement workflow within the Case ("Start Associated Workflow")
   i. *Choose Requirement* step:
      1. Hit "complete task" to enter new requirement. System proceeds to next step.
   ii. *Enter Requirement Details* step:
      1. Enter Generator's data per usual. See How-to AD06 for assistance on selections for values for the several fields.
         - Note - usually deliverables are a paragraph/section of a requirement, so usually "component" applies
         - Select "Yes this is a deliverable", which will continue the wf. (See RMS flow diagram below.)
      2. Hit "Complete Task" when ready and RMS proceeds to next step.

   iii. *Choose related deliverable* step:
      1. To the question "Is this Deliverable shared?" select "Yes, this relies on another."
      2. Below under Associations, search and then add the Generator requirement.
      3. Hit "Complete Task", and RMS proceeds to next step.



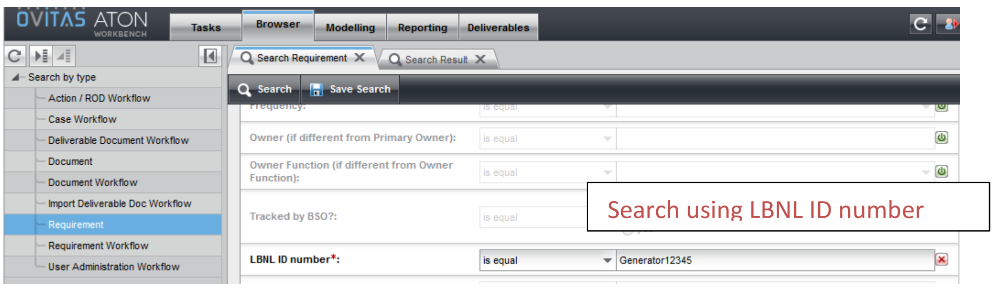
iv. *View Deliverable definitions* step:

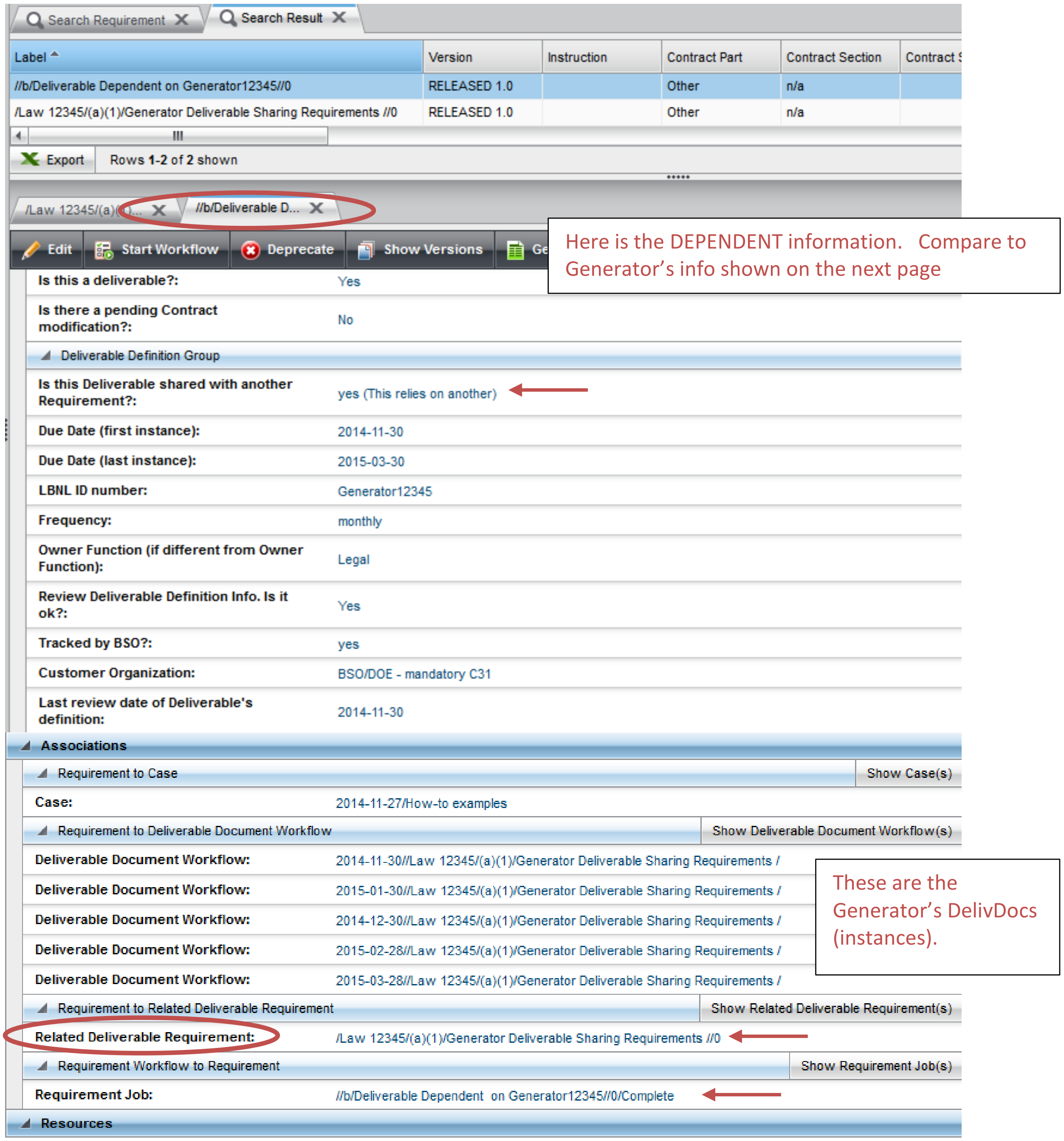
1. Review the pre-populated data, which comes from the Generator. Note that the same LBNL ID number is assigned.
2. Hit "Complete Task", and then the Dependent Requirement wf will close.

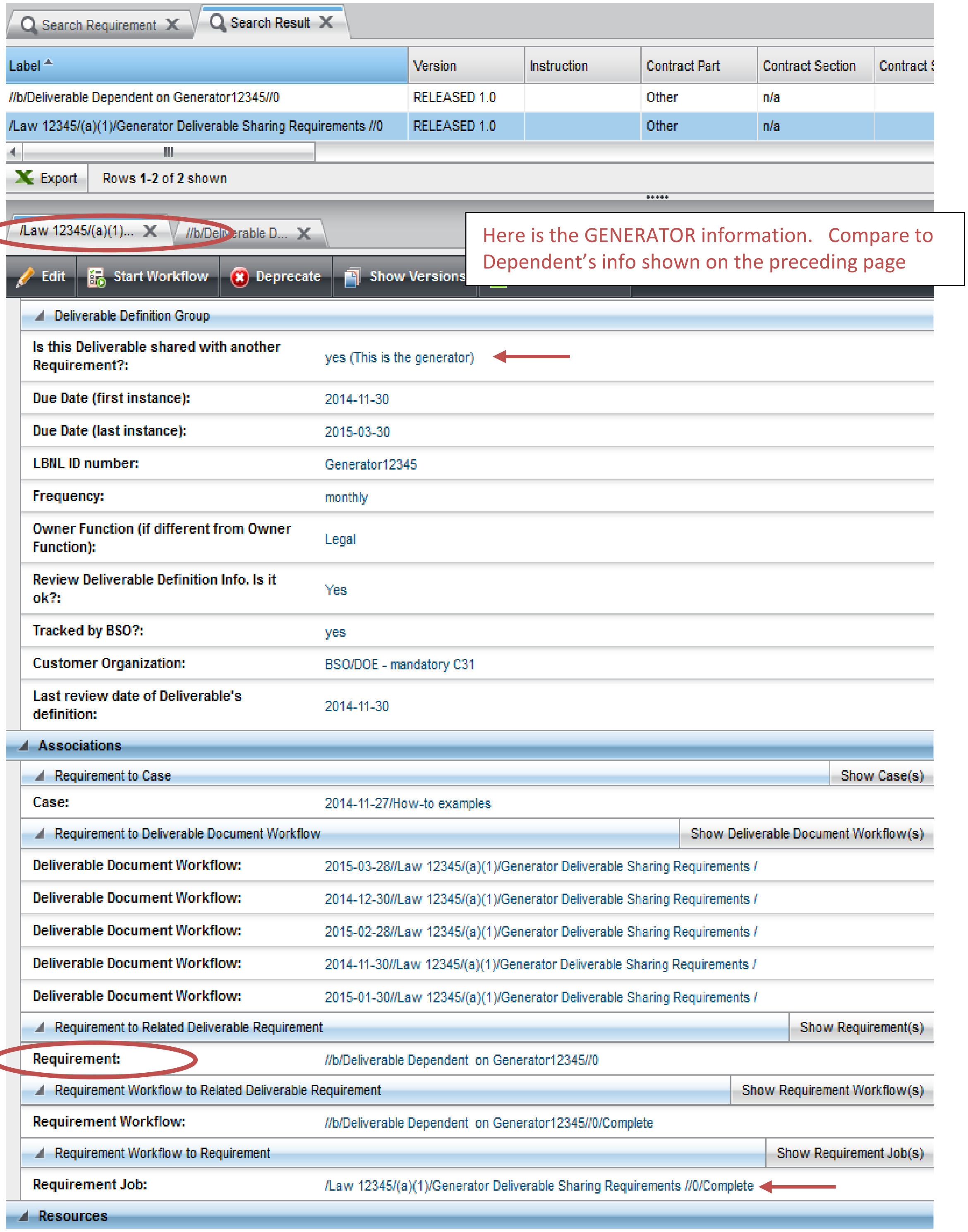


Dependent Deliv - View Deliverable Definitions (Edit Mode)
This is the Dependent
Complete Task
Save
Make Available
Move to Waiting
Reassign Task
Deliverable Definition Group
Due Date (first instance): 2014-11-30
Due Date (last instance): 2015-03-30
Frequency: monthly
Owner (if different from Primary Owner):
Owner Function (if different from Owner Function): Legal
Tracked by BSO?: yes
LBNL ID number: Generator12345
Customer Organization: BSO/DOE - mandatory C31
Customer (LDAP) Point of Contact Name:
Customer (non-LDAP) Information:
Last review date of Deliverable's definition: 2014-11-30
Deliverable type:
Deliverable title(s) of record:
Additional LDAP name for Deliverable Alerts:
Review Deliverable Definition Info. Is it ok?*:
No
Yes
All the Dependent's Deliverable Definition info is the SAME as the Generator's [Compare Figure at b.iv.3 above.]
Workflow Information
Associations
Dependent shows associated Generator
Case to Requirement Workflow
Show Associated Case(s)
Associated Case: 2014-11-27/How-to examples
Requirement Workflow to Requirement
Show Associated Requirement(s)
Associated Requirement: /////0
Requirement Workflow to Related Deliverable Requirement
Show Related Deliverable Requirement(s)
Related Deliverable Requirement: /Law 12345/(a)(1)/Generator Deliverable Sharing Requirements //0
Document to Requirement Workflow (Supporting Requirement)
Show Document(s)
Document:
Search
Resources
Job image
Job:
Start
Choose Requir...
Is New Requirement?
Create New...
Initialize Job
Enter Requir...
Not a deliverable
Submit to MeDas
Stop
Entries not ok
Entries ok
Deliverable
View Delivera...
Is not Master
Is Master / Generator
Entries ok

d. Verify that the association between the Generator and the Dependent has been established.
   i. Search: Browse/Requirement/(Generator info) and Browse/Requirement/(Dependent info)
      1. Can use LBNL ID # as filter and both Generator and Dependent should result.
      2. Check each req's Associations list: They should be listed in each other's.
      3. Check that each "knows" about the other (Yes, this relies on another and Yes , this is the generator).
   ii. Browse/Open Deliverables:
      1. Search by LBNL ID number. Open any of the Generator DelivDocs
         - Make sure the Dependent Req appears as an association



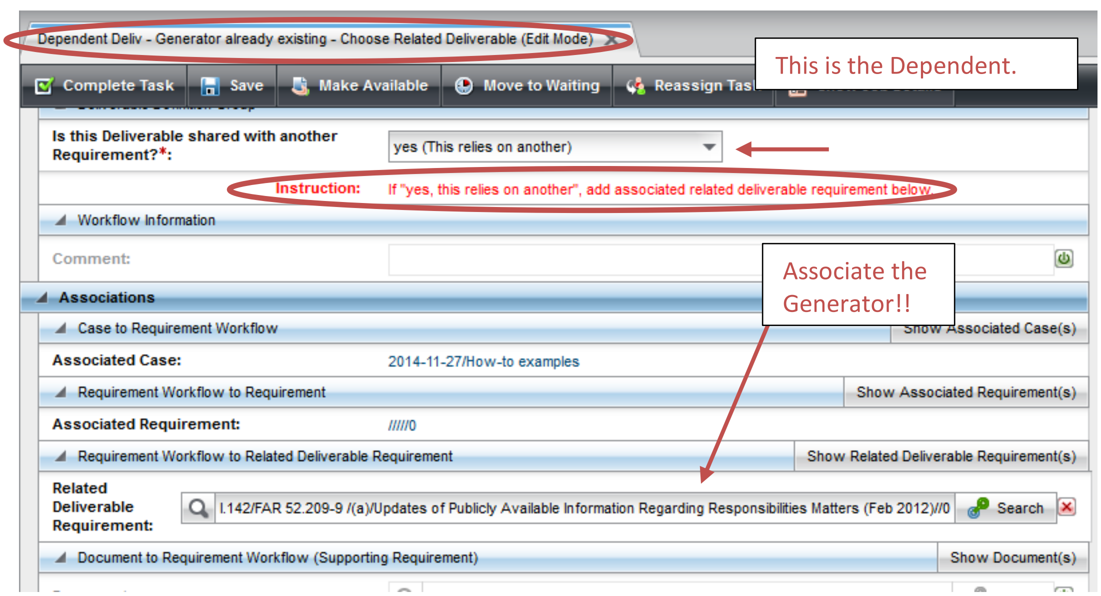

Search Requirement
Search Result
Label
Version
Instruction
Contract Part
Contract Section
//b/Deliverable Dependent on Generator12345//0
RELEASED 1.0
Other
n/a
/Law 12345/(a)(1)/Generator Deliverable Sharing Requirements //0
RELEASED 1.0
Other
n/a
Export
Rows 1-2 of 2 shown
//b/Deliverable D...
Edit
Start Workflow
Deprecate
Show Versions
Here is the DEPENDENT information. Compare to Generator's info shown on the next page
Is this a deliverable?: Yes
Is there a pending Contract modification?: No
Deliverable Definition Group
Is this Deliverable shared with another Requirement?: yes (This relies on another)
Due Date (first instance): 2014-11-30
Due Date (last instance): 2015-03-30
LBNL ID number: Generator12345
Frequency: monthly
Owner Function (if different from Owner Function): Legal
Review Deliverable Definition Info. Is it ok?: Yes
Tracked by BSO?: yes
Customer Organization: BSO/DOE - mandatory C31
Last review date of Deliverable's definition: 2014-11-30
Associations
Requirement to Case
Show Case(s)
Case: 2014-11-27/How-to examples
Requirement to Deliverable Document Workflow
Show Deliverable Document Workflow(s)
Deliverable Document Workflow: 2014-11-30//Law 12345/(a)(1)/Generator Deliverable Sharing Requirements /
Deliverable Document Workflow: 2015-01-30//Law 12345/(a)(1)/Generator Deliverable Sharing Requirements /
Deliverable Document Workflow: 2014-12-30//Law 12345/(a)(1)/Generator Deliverable Sharing Requirements /
Deliverable Document Workflow: 2015-02-28//Law 12345/(a)(1)/Generator Deliverable Sharing Requirements /
Deliverable Document Workflow: 2015-03-28//Law 12345/(a)(1)/Generator Deliverable Sharing Requirements /
These are the Generator's DelivDocs (instances).
Requirement to Related Deliverable Requirement
Show Related Deliverable Requirement(s)
Related Deliverable Requirement: /Law 12345/(a)(1)/Generator Deliverable Sharing Requirements //0
Requirement Workflow to Requirement
Show Requirement Job(s)
Requirement Job: //b/Deliverable Dependent on Generator12345//0/Complete
Resources


Search Requirement
Search Result
Label
Version
Instruction
Contract Part
Contract Section
//b/Deliverable Dependent on Generator12345//0
RELEASED 1.0
Other
n/a
/Law 12345/(a)(1)/Generator Deliverable Sharing Requirements //0
RELEASED 1.0
Other
n/a
Export
Rows 1-2 of 2 shown
/Law 12345/(a)(1)...
//b/Deliverable D...
Here is the GENERATOR information. Compare to Dependent's info shown on the preceding page
Edit
Start Workflow
Deprecate
Show Versions
Deliverable Definition Group
Is this Deliverable shared with another Requirement?: yes (This is the generator)
Due Date (first instance): 2014-11-30
Due Date (last instance): 2015-03-30
LBNL ID number: Generator12345
Frequency: monthly
Owner Function (if different from Owner Function): Legal
Review Deliverable Definition Info. Is it ok?: Yes
Tracked by BSO?: yes
Customer Organization: BSO/DOE - mandatory C31
Last review date of Deliverable's definition: 2014-11-30
Associations
Requirement to Case
Show Case(s)
Case: 2014-11-27/How-to examples
Requirement to Deliverable Document Workflow
Show Deliverable Document Workflow(s)
Deliverable Document Workflow: 2015-03-28//Law 12345/(a)(1)/Generator Deliverable Sharing Requirements /
Deliverable Document Workflow: 2014-12-30//Law 12345/(a)(1)/Generator Deliverable Sharing Requirements /
Deliverable Document Workflow: 2015-02-28//Law 12345/(a)(1)/Generator Deliverable Sharing Requirements /
Deliverable Document Workflow: 2014-11-30//Law 12345/(a)(1)/Generator Deliverable Sharing Requirements /
Deliverable Document Workflow: 2015-01-30//Law 12345/(a)(1)/Generator Deliverable Sharing Requirements /
Requirement to Related Deliverable Requirement
Show Requirement(s)
Requirement: //b/Deliverable Dependent on Generator12345//0
Requirement Workflow to Related Deliverable Requirement
Show Requirement Workflow(s)
Requirement Workflow: //b/Deliverable Dependent on Generator12345//0/Complete
Requirement Workflow to Requirement
Show Requirement Job(s)
Requirement Job: /Law 12345/(a)(1)/Generator Deliverable Sharing Requirements //0/Complete
Resources

***Circumstance 2*:** The Generator information is already in the system, its DelivDocs have been generated, and perhaps some of its DelivDocs have already been closed. At a later time, the RM PM and SME decide to tie a second requirement to the Generator.

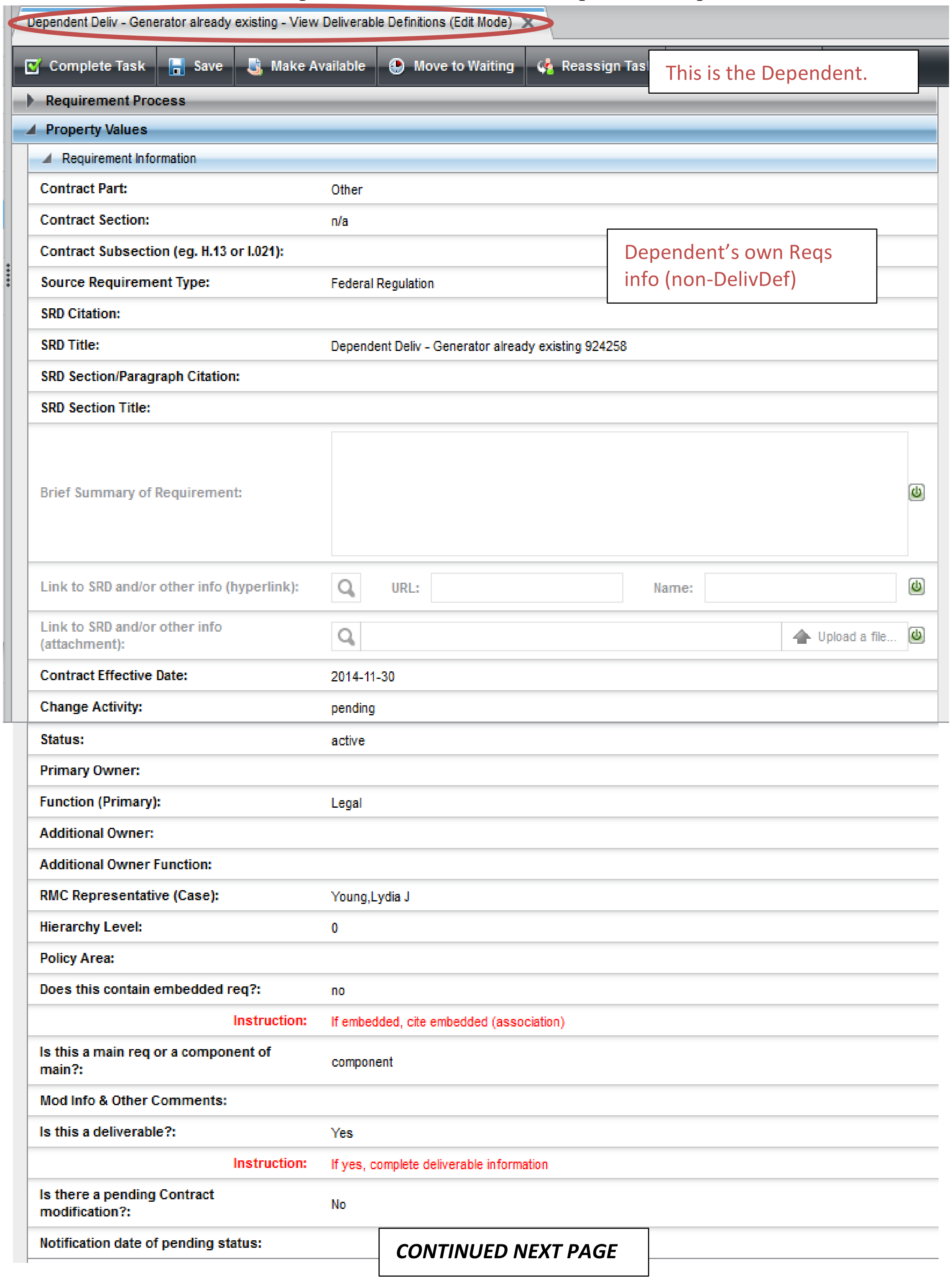
The two workflow sequence is: First, the (new) Dependent requirement is entered and it makes the association to the existing Generator. Then the existing Generator is modified (including due date range, if needed).

a. Open Case
b. Open Dependent Requirement workflow within the Case ("Start Associated Workflow")
   i. *Choose Requirement* step:
      1. Hit "complete task" to enter new requirement. System proceeds to next step.
   ii. *Enter Requirement* step:
      1. Enter Generator's data per usual. See How-to AD06 for assistance on selections for values for the several fields.
         - Note - usually deliverables are a paragraph/section of a requirement, so usually "component" applies
         - Select "Yes this is a deliverable", which will continue the wf. (See RMS flow diagram below.)
      2. Hit "Complete Task" when ready and RMS proceeds to next step.
   iii. *Choose related deliverable* step:
      1. To the question "Is this Deliverable shared?" select "Yes, this relies on another."
      2. Below under Associations, search and then add the Generator requirement.
      3. Hit "Complete Task", and system proceeds to next step.



   iv. *View Deliverable definition* step:
      1. Review the pre-populated data, which comes from the Generator. Note that the same LBNL ID number is assigned.

2. Hit "Complete Task", and then the Dependent Requirement wf will close.



Dependent Deliv - Generator already existing - View Deliverable Definitions (Edit Mode)

Complete Task | Save | Make Available | Move to Waiting | Reassign Tas

This is the Dependent.

Requirement Process

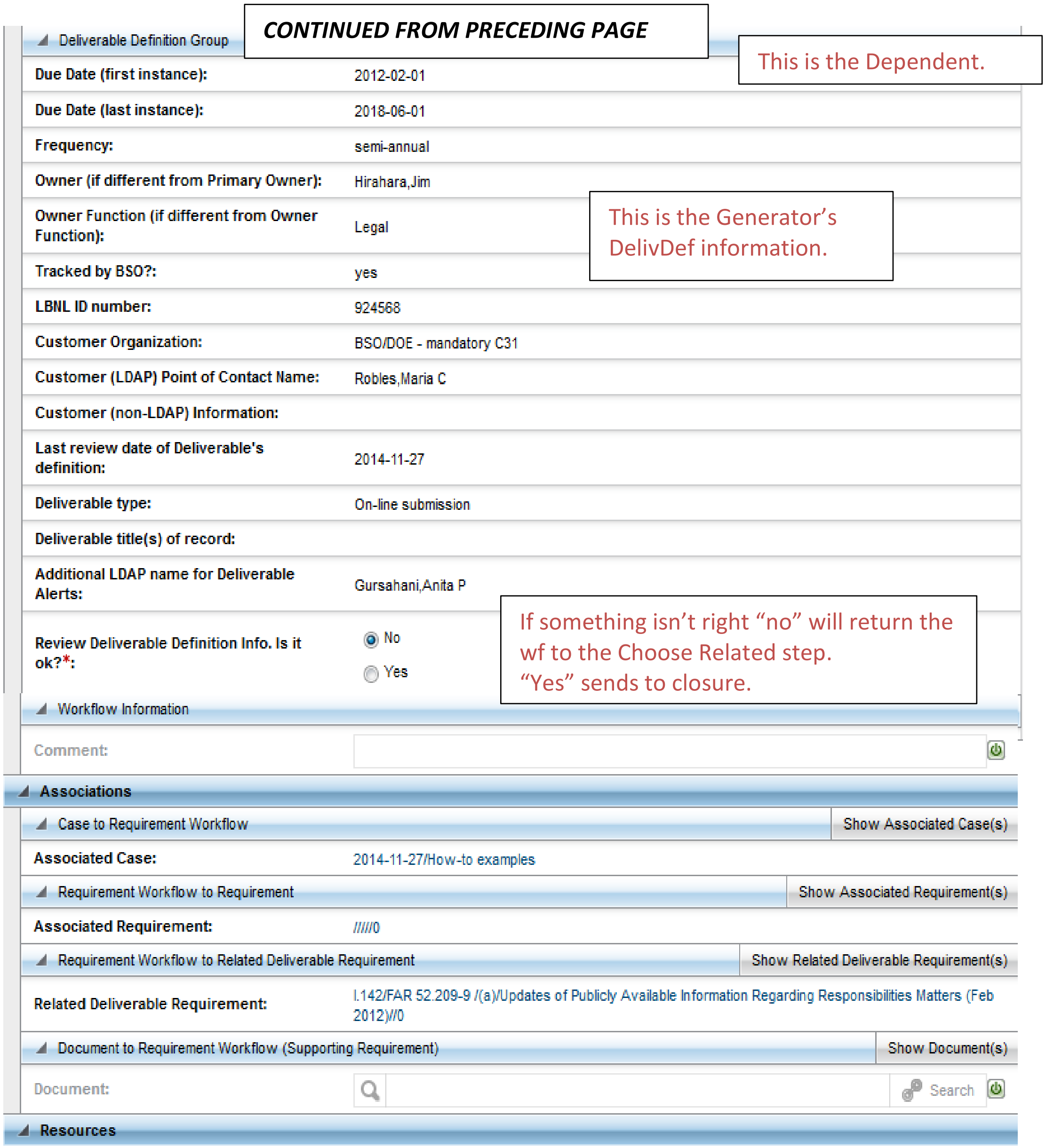
Property Values

Requirement Information

Dependent's own Reqs info (non-DelivDef)

Contract Part:	Other
Contract Section:	n/a
Contract Subsection (eg. H.13 or I.021):	
Source Requirement Type:	Federal Regulation
SRD Citation:	
SRD Title:	Dependent Deliv - Generator already existing 924258
SRD Section/Paragraph Citation:	
SRD Section Title:	
Brief Summary of Requirement:	
Link to SRD and/or other info (hyperlink):	URL: Name:
Link to SRD and/or other info (attachment):	Upload a file...
Contract Effective Date:	2014-11-30
Change Activity:	pending
Status:	active
Primary Owner:	
Function (Primary):	Legal
Additional Owner:	
Additional Owner Function:	
RMC Representative (Case):	Young,Lydia J
Hierarchy Level:	0
Policy Area:	
Does this contain embedded req?:	no
Instruction:	If embedded, cite embedded (association)
Is this a main req or a component of main?:	component
Mod Info & Other Comments:	
Is this a deliverable?:	Yes
Instruction:	If yes, complete deliverable information
Is there a pending Contract modification?:	No
Notification date of pending status:	

CONTINUED NEXT PAGE



CONTINUED FROM PRECEDING PAGE

This is the Dependent.

This is the Generator's DelivDef information.

If something isn't right "no" will return the wf to the Choose Related step. "Yes" sends to closure.

Deliverable Definition Group

Due Date (first instance):	2012-02-01
Due Date (last instance):	2018-06-01
Frequency:	semi-annual
Owner (if different from Primary Owner):	Hirahara,Jim
Owner Function (if different from Owner Function):	Legal
Tracked by BSO?:	yes
LBNL ID number:	924568
Customer Organization:	BSO/DOE - mandatory C31
Customer (LDAP) Point of Contact Name:	Robles,Maria C
Customer (non-LDAP) Information:	
Last review date of Deliverable's definition:	2014-11-27
Deliverable type:	On-line submission
Deliverable title(s) of record:	
Additional LDAP name for Deliverable Alerts:	Gursahani,Anita P
Review Deliverable Definition Info. Is it ok?*:	No / Yes

Workflow Information

Comment:	

Associations

Case to Requirement Workflow — Show Associated Case(s)

Associated Case:	2014-11-27/How-to examples

Requirement Workflow to Requirement — Show Associated Requirement(s)

Associated Requirement:	/////0

Requirement Workflow to Related Deliverable Requirement — Show Related Deliverable Requirement(s)

Related Deliverable Requirement:	I.142/FAR 52.209-9 /(a)/Updates of Publicly Available Information Regarding Responsibilities Matters (Feb 2012)//0

Document to Requirement Workflow (Supporting Requirement) — Show Document(s)

Document:	Search

Resources

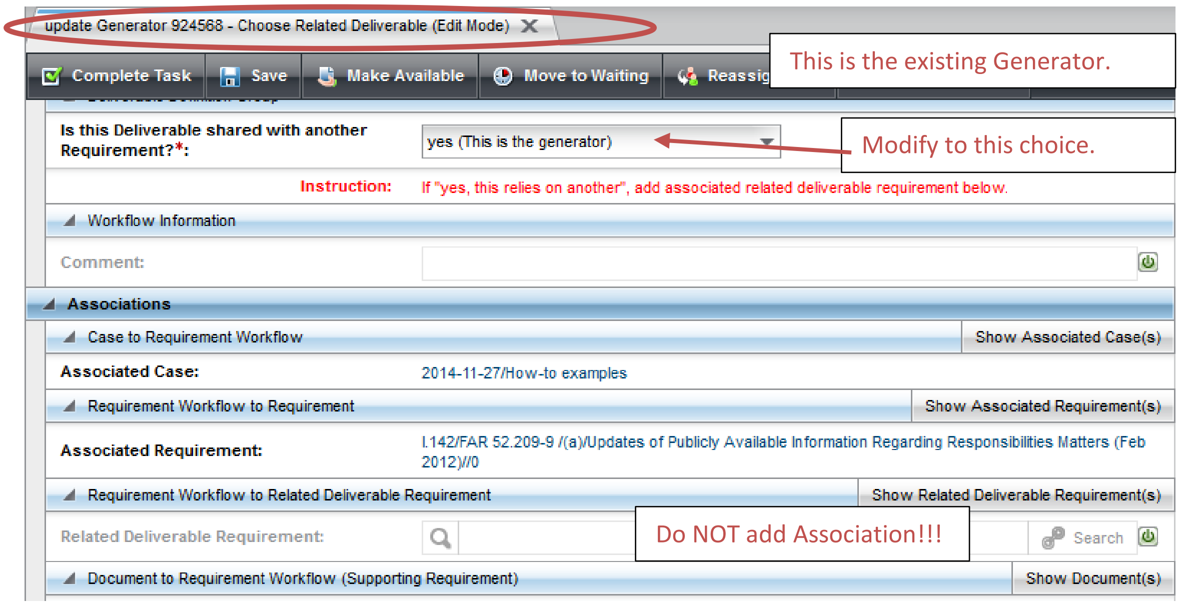
c. Open Requirement wf within the Case to "renew" the Generator ("Start Associated Workflow")

i. *Choose Requirement* Step: Search and add Generator association to modify it.

ii. *Enter Requirement Details* Step:

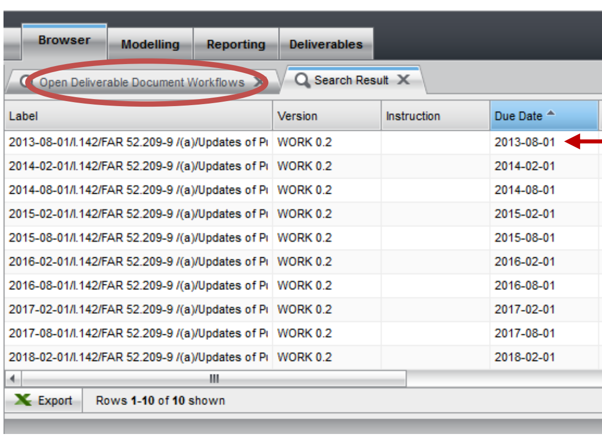
1. (Optional) Review/update any requirement info.
2. (Mandatory) Check "Yes" to "Is this a deliverable?"
3. Hit "Complete Task", and system proceeds to next step.

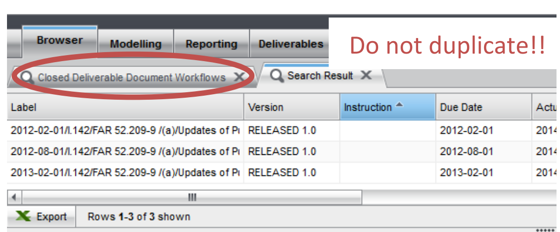
iii. *Choose Related Deliverable* step: Select "Yes, this is the generator." Do NOT add association!!



iv. *Enter Deliverable Details* step:

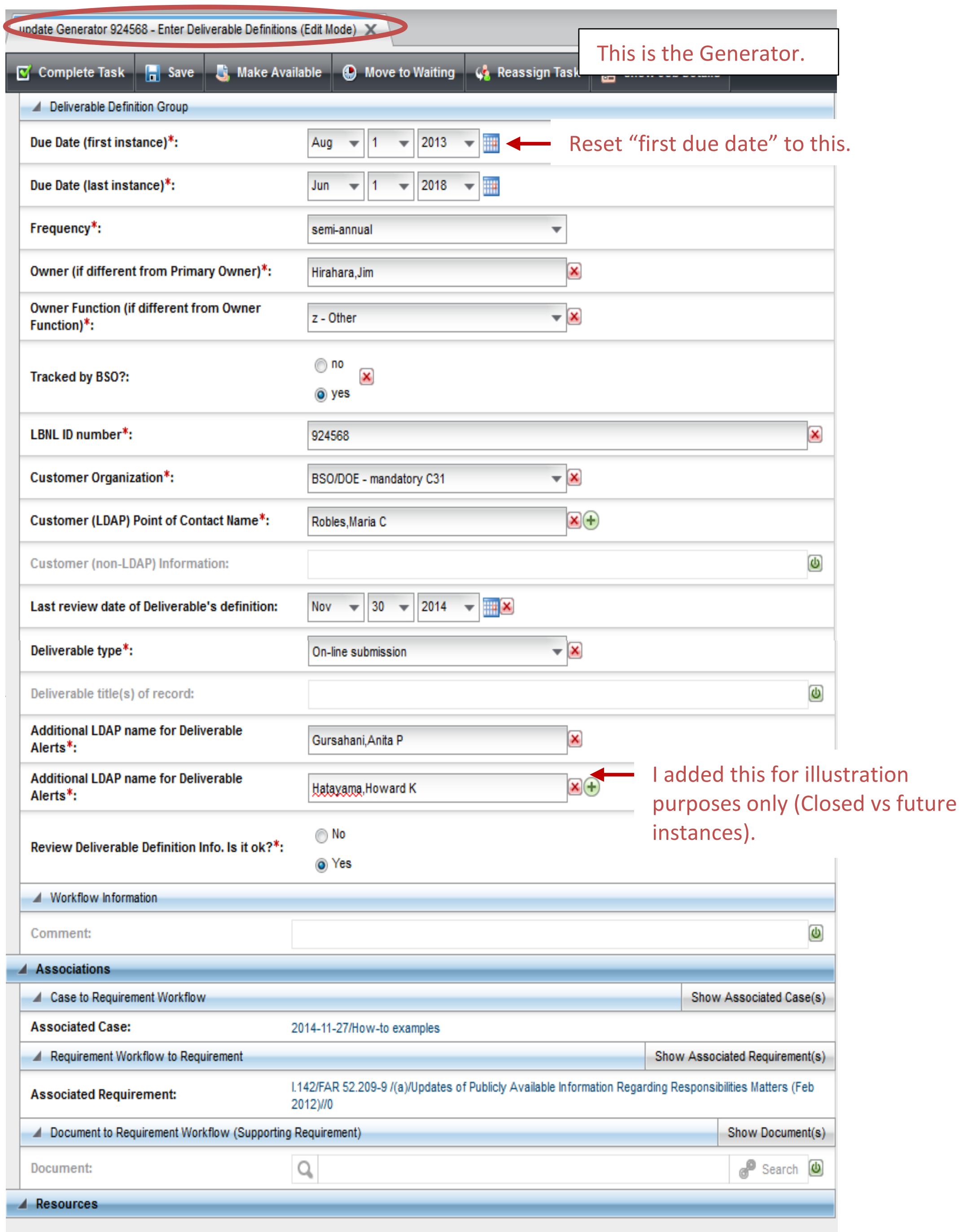
1. Set the date range for the DelivDocs to be generated:
   - If there are DelivDocs already closed, **MUST** change the "first instance date" to start with the earliest date of the remaining open DelivDoc wfs. If the date range is not adjusted, duplicates of the closed DelivDocs will be generated. See How-to #A06 for details on modifying a DelivDefinition.
   - If there are no DelivDocs closed, then the "first instance date" could remain the same as indicated.
   - CHECK and DOUBLE CHECK whether or not there are closed DelivDocs. CHECK and DOUBLE CHECK the date of the next open instance.



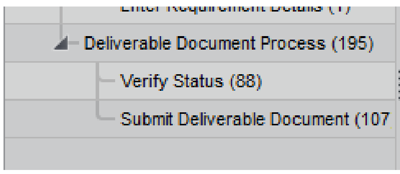
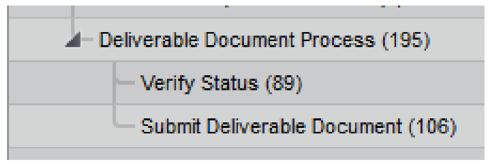


2. Update any of the fields other fields (optional). Verify the LBNL ID#.
3. Note that the related Dependent requirement will likely NOT be displayed under Associations. Don't panic - the Deliv Requirement "knows" and associated the Generated, but the reverse is not yet saved in the system.

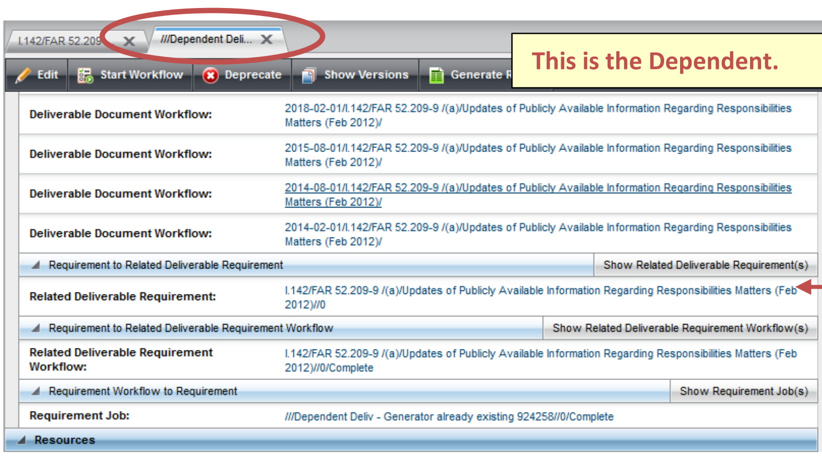
4. Hit "Complete Task" when ready, and then RMS will generate a new set of DelivDocs. The difference between these and the previous will be the added "Yes, this is the generator" to the question "Is this deliverable shared?"
   - See How-to AD06 explanation to monitor generation of the DelivDocs. It will take about 15 to 30 minutes (time depends on connection to server, busy-ness of the server, etc.)



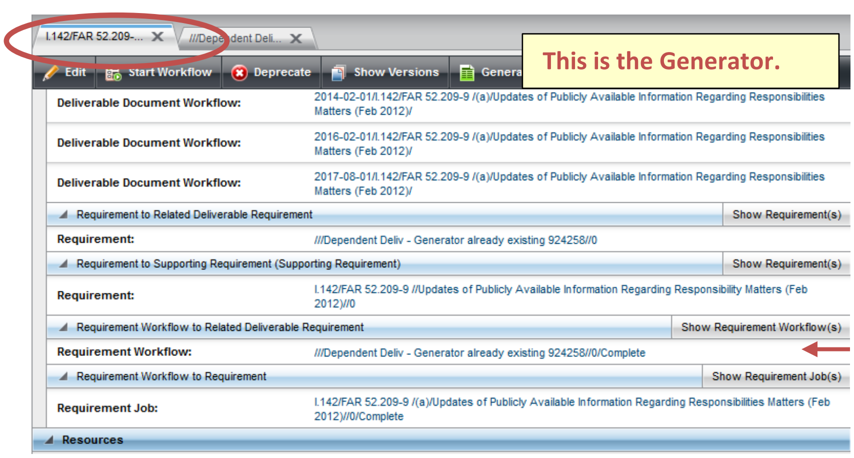
d. Verify that the association between the Generator and the Dependent has been established.
   i. Search: Browse/Requirement/(Generator info) and Browse/Requirement/(Dependent info)
      1. Can use LBNL ID # as filter and both Generator and Dependent should result.
      2. Check each req's Associations list: They should be listed in each other's.
      3. Check that each "knows" about the other (Yes, this relies on another and Yes, this is the generator).
   ii. Browse/Open Deliverables:
      1. Search by LBNL ID number. Open any of the Generator DelivDocs
         - Make sure the Dependent Req appears as an association

Before regeneration	After regeneration
	

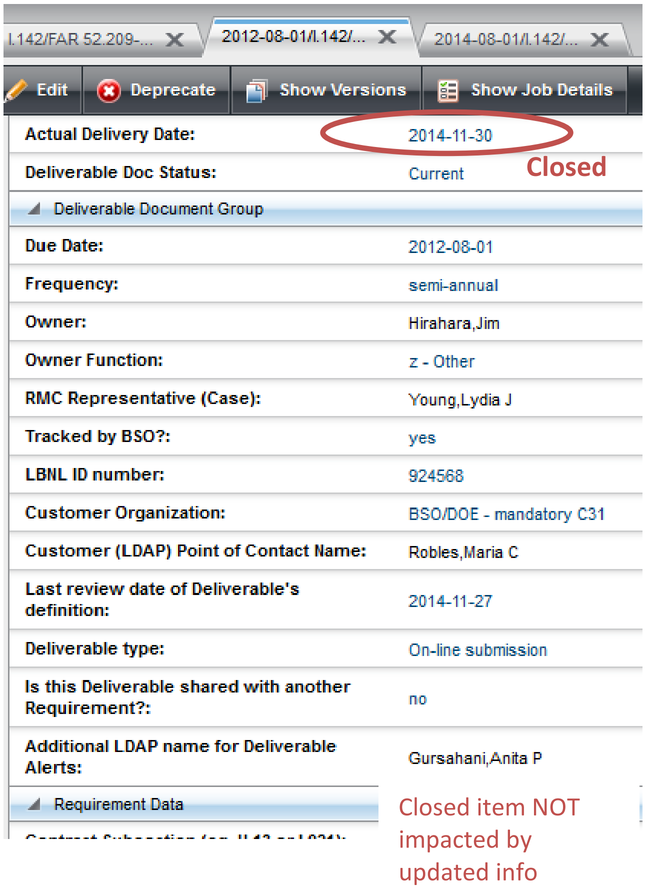
(For this example, I had moved one DelivDoc from Verify to Submit before regeneration. During regeneration, the system pulled ALL the impacted open DelivDocs from both Verify and Submit piles, and replaced them with regenerated DelivDocs in the RM PM's Verify pile.)

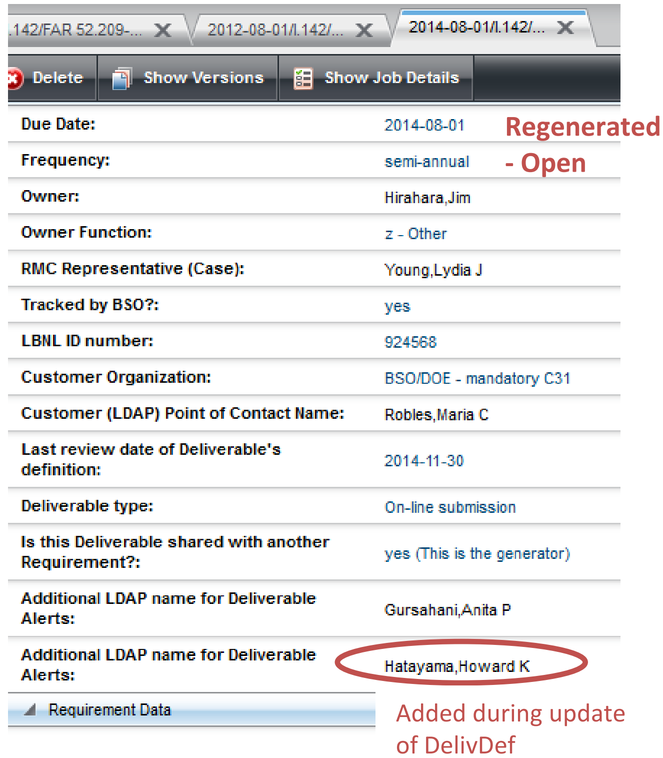


Associated to Generator



Associated to Dependent





Technical/Historical Comment: This particular feature was set up after some of the association definitions were established. The Dependent is a child of the Generator parent. A "Generate Report" will show this hierarchical relationship. However, the association process is unique from all other association set-ups. The user sets up the association in the Dependent/child workflow, under the label "related Requirement". All other processes set up associations within the parent, bringing in the child under the category "related". The Comment is merely for the record – ok to ignore – just follow the procedure as stated and you'll be successful.

Revision History

Revision	Date	Who	Description
0	1/13/2014	L.J. Young	Initial
0.1	11/30/2014	L.J.Young	Formalize; add figures

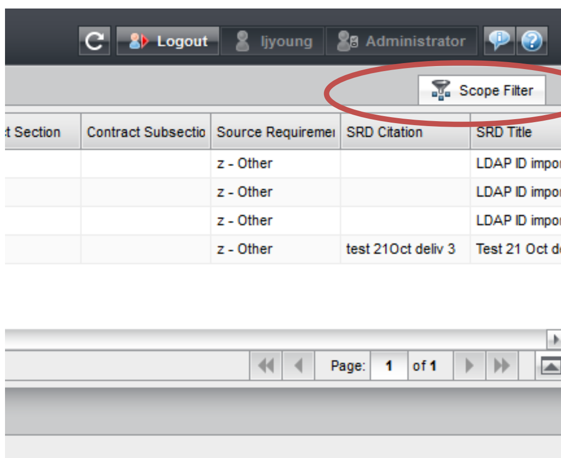
AD12 – View Deprecated Concepts

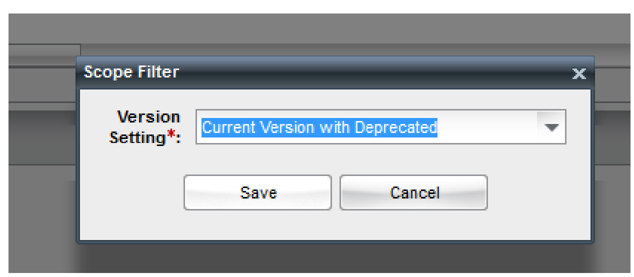
A. Purpose:
This document explains how to view deprecated concepts (requirement, document).

B. Who can do this procedure:
Persons who are RMS administrators.

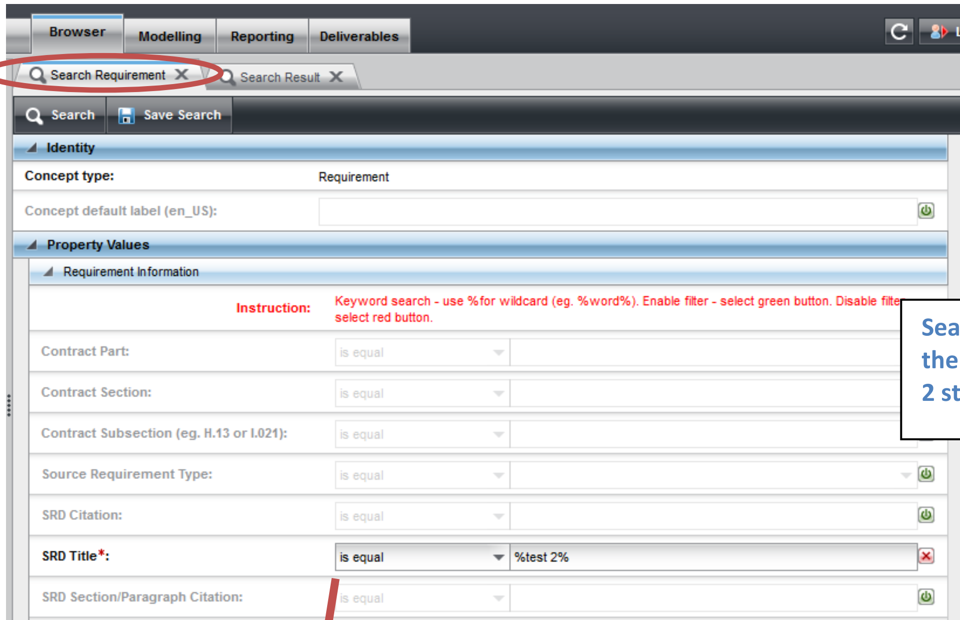
C. Procedure:
Deprecating does not remove the concept from the system. A person with administrative permissions may view the deprecated items.

1. At any time, go to upper right hand corner of the browser window, and select "Scope Filter"
2. Then select "Current Version with Deprecated" from the dropdown.
3. Then Save.



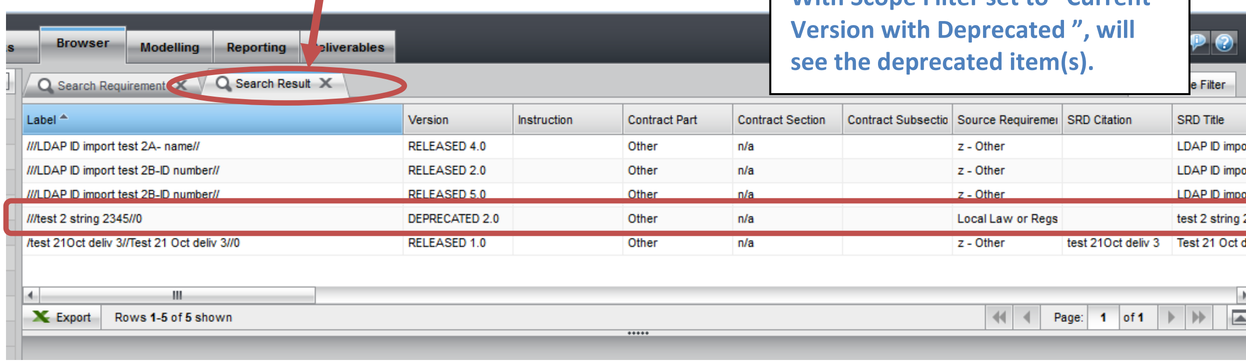


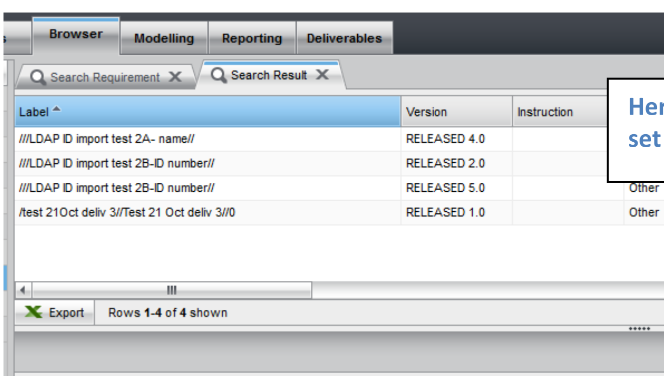
4. Search for deprecated items. (Use the example in AD13: "Test 2 string 2345"). Browser/Search Requirement/ SRD title = %test2%



Search for the item deprecated in the How-to #AD12 example ("test 2 string 2345")

With Scope Filter set to "Current Version with Deprecated ", will see the deprecated item(s).





Here's the result (same Search filter) if the Scope Filter is set to "Current Version" only (the default).

5. "Current Version" is the default setting whenever first logging into the system.

E. Related How-to's

AD13 – Deprecating a Concept

F. Revision History

Revision	Date	Who	Description
0	11-28-2014	L.J. Young	Initial

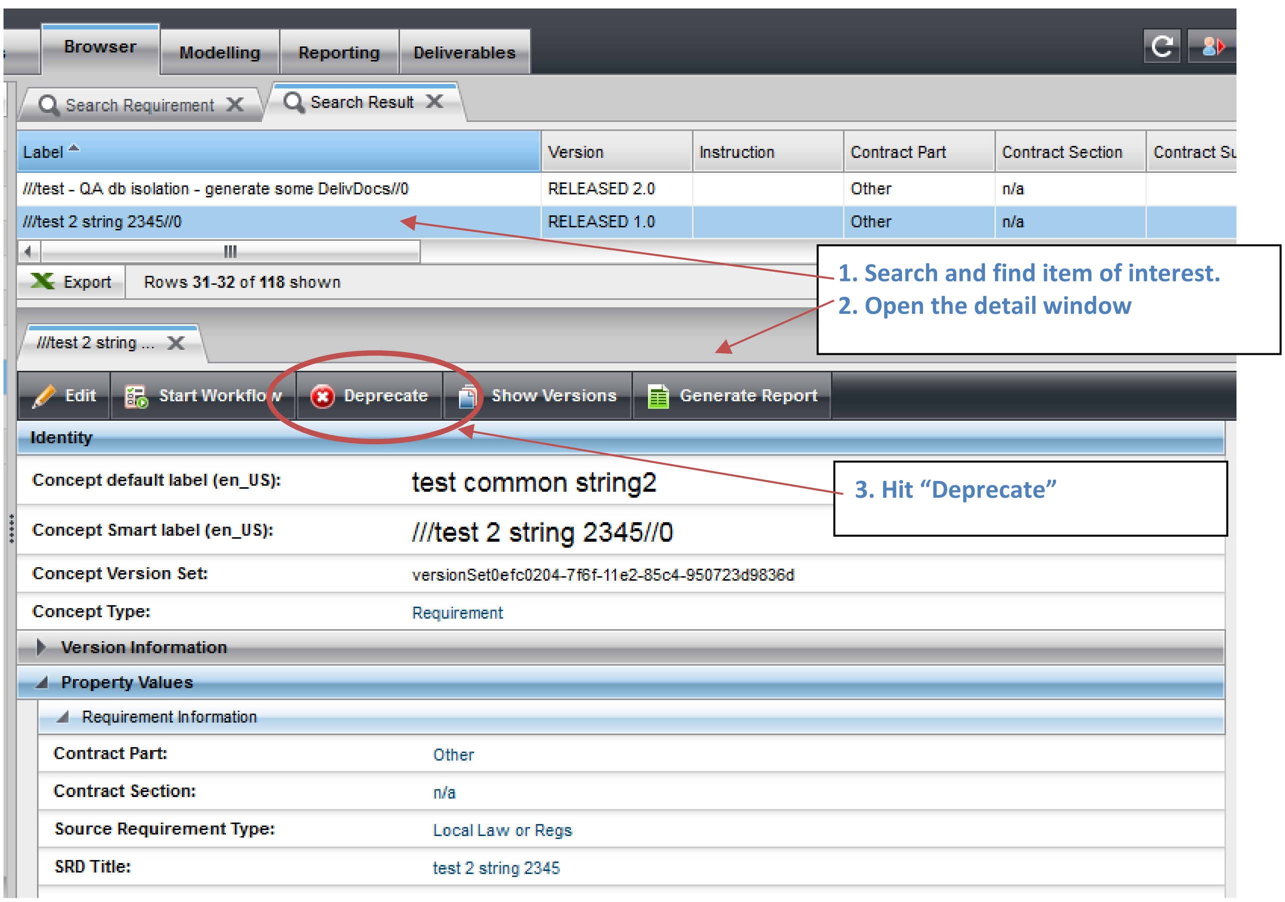
AD13 – Deprecating a Concept

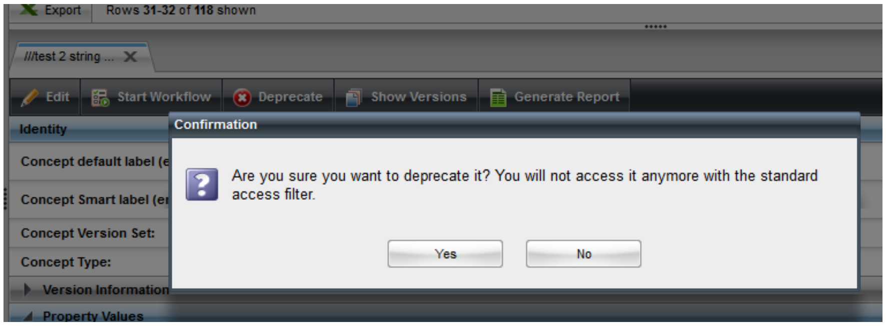
A. Purpose:
This document explains how to deprecate a concept (requirement, document).

B. Who can do this procedure:
Persons who are RMS administrators.

C. Caveat
Though deprecating does not remove the concept from the system, it should not be invoked unless absolutely necessary. A person with administrative permissions may view the deprecated items (see How-to #AD12)

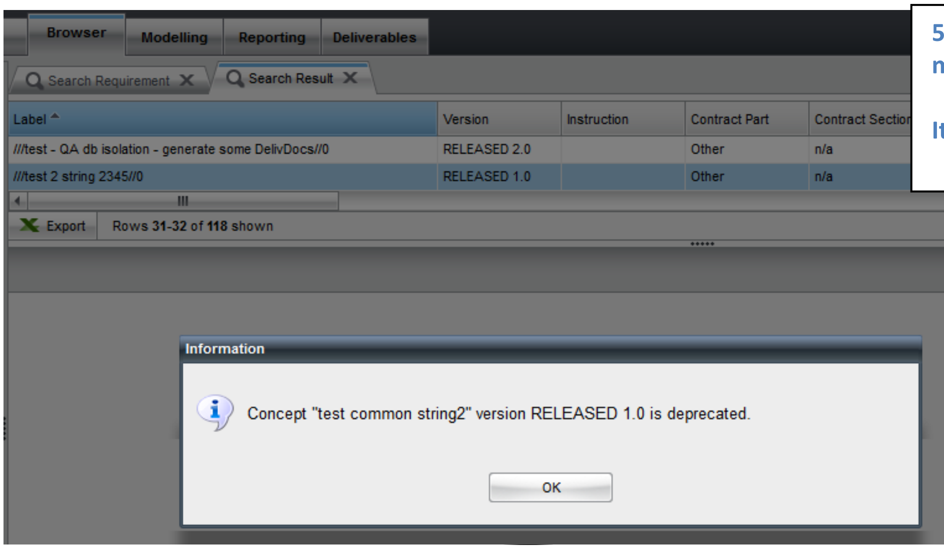
D. Procedure:
1. In Browser tab, search for a document or requirement.
2. Open detailed window.
3. Select "Deprecate"





4. Upon selecting "Deprecate", this message appears.

If you are absolutely sure, hit "Yes".



5. Upon selecting "Yes", this message appears.

It's "gone".

Follow How-to #AD12, View Deprecated Concepts (video or text), to verify that the item has been deprecated.

D. Revision History

Revision	Date	Who	Description
0	11-28-2014	L.J. Young	Initial

AD14 Using the User Admin Workflow

I. Purpose:

This document explains how to manage Users and groups using the OWP User Admin Workflow. Specifically, the procedure describes how to add new users, add a User to groups, remove a User from groups, delete a User.

II. Who can do this procedure:

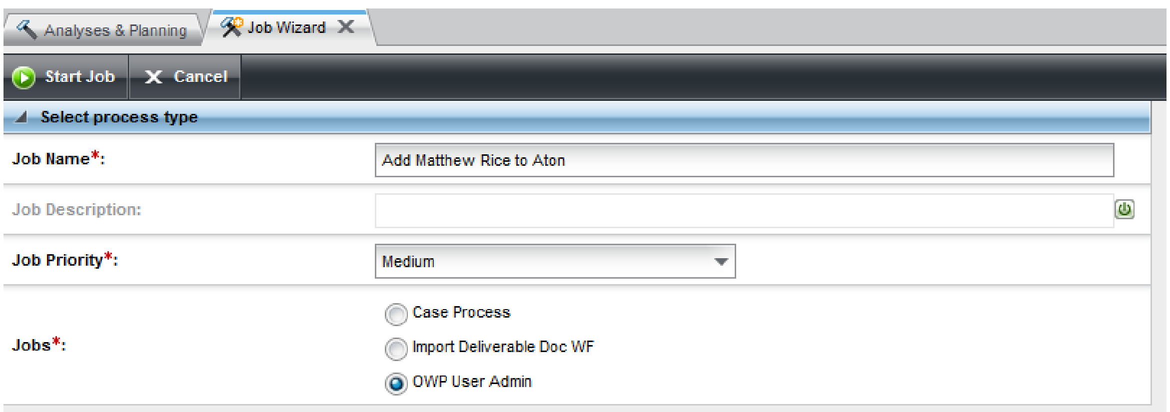
Persons who are RMS administrators.

III. Caveats

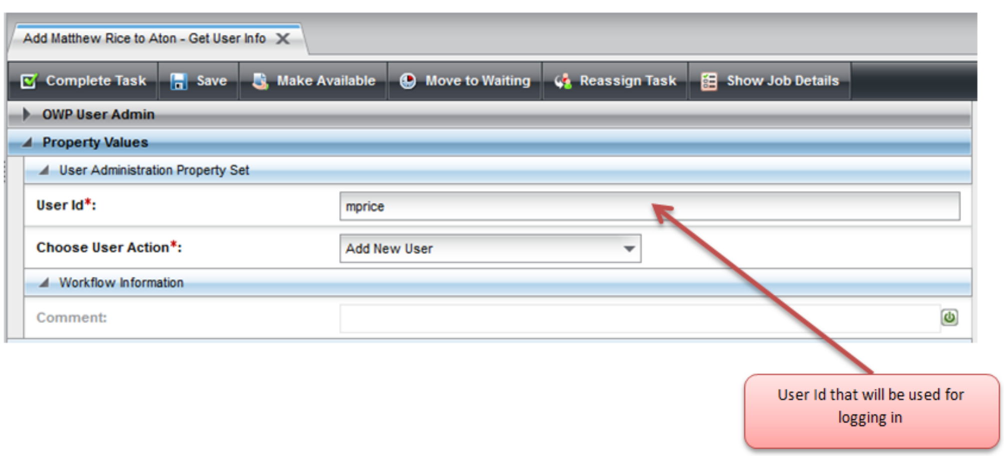
- A User who is "deleted" still retains View-Only rights, if he/she has general LDAP permissions.
- In "Removing a User from Groups", there is one step that is not intuitive. Be very careful.

IV. Procedure:

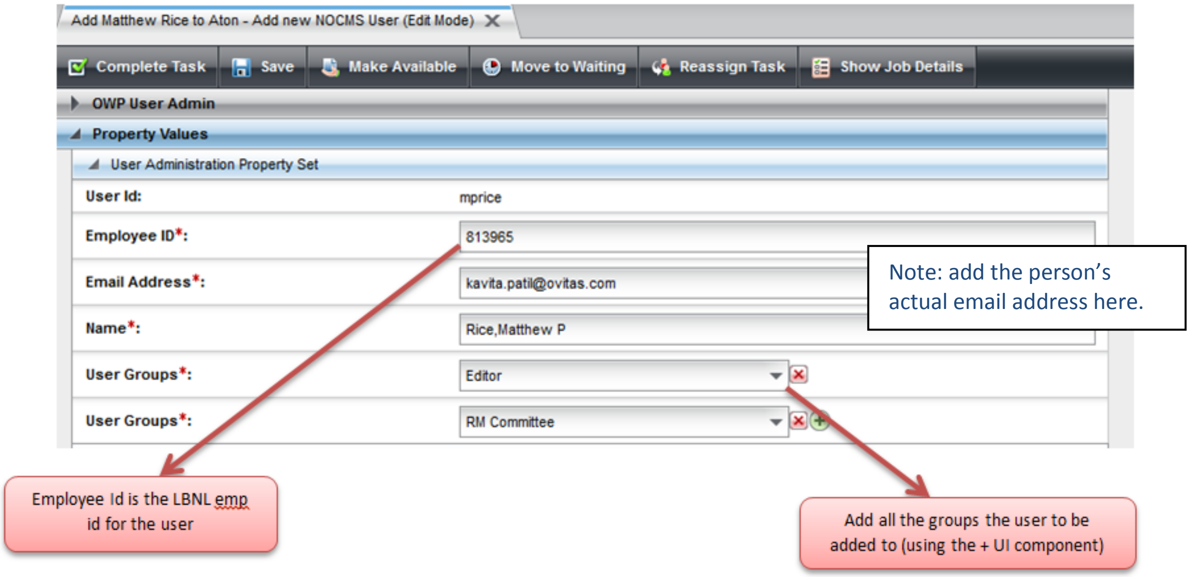
1. ***Adding an existing LDAP user to RMS***
   a. Start a new Job



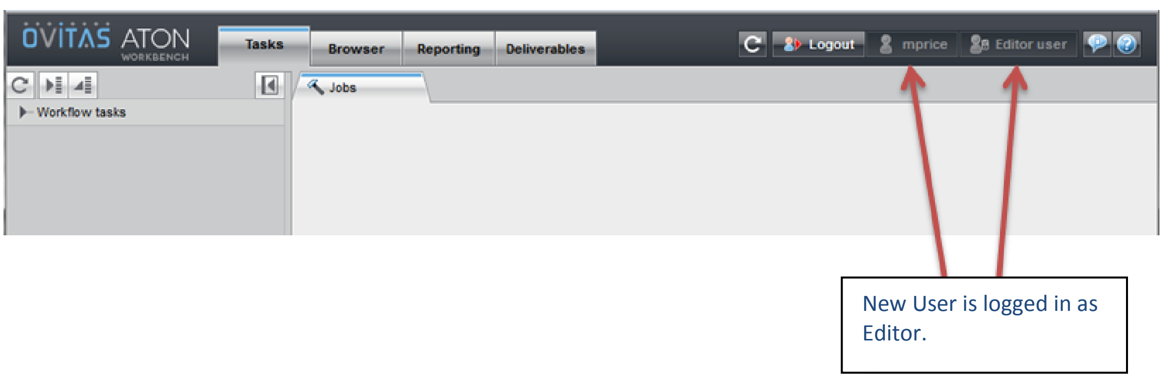
   b. Enter the User Id and Action
   Example: Add "Rice,Matthew P" who has a LDAP id. Enter the first part of his email address.



c. Get User Info from LBNL directory. This is a one step process to add user and the groups associated with the user.

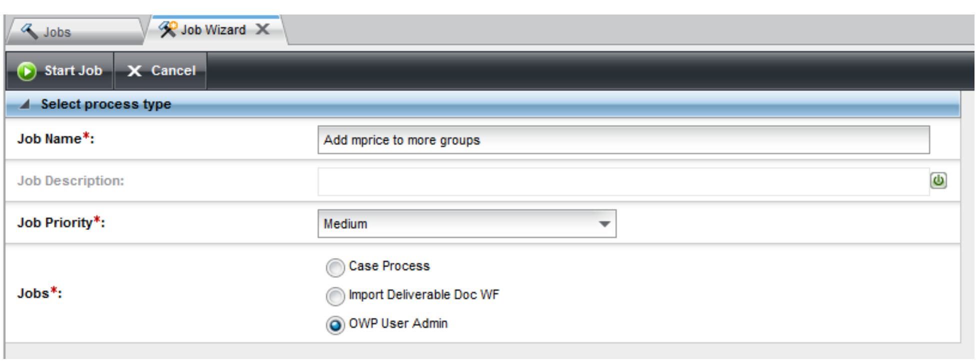


d. Verify!! New User added to the system logs into RMS. (You may have to ask the New User to do the checking!!)

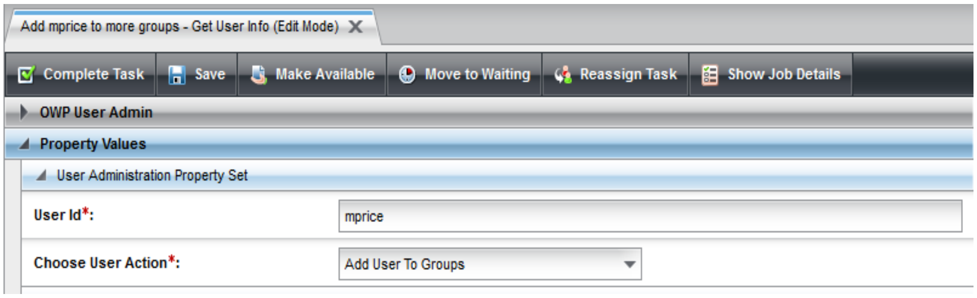


2. ***Adding an existing RMS User to additional groups.***

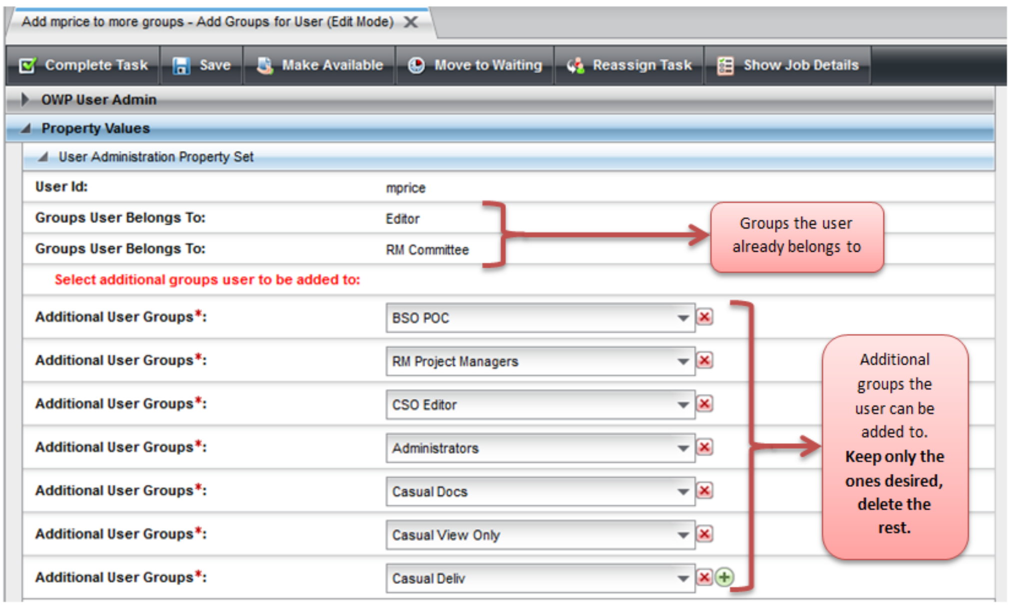
a. Start a new job



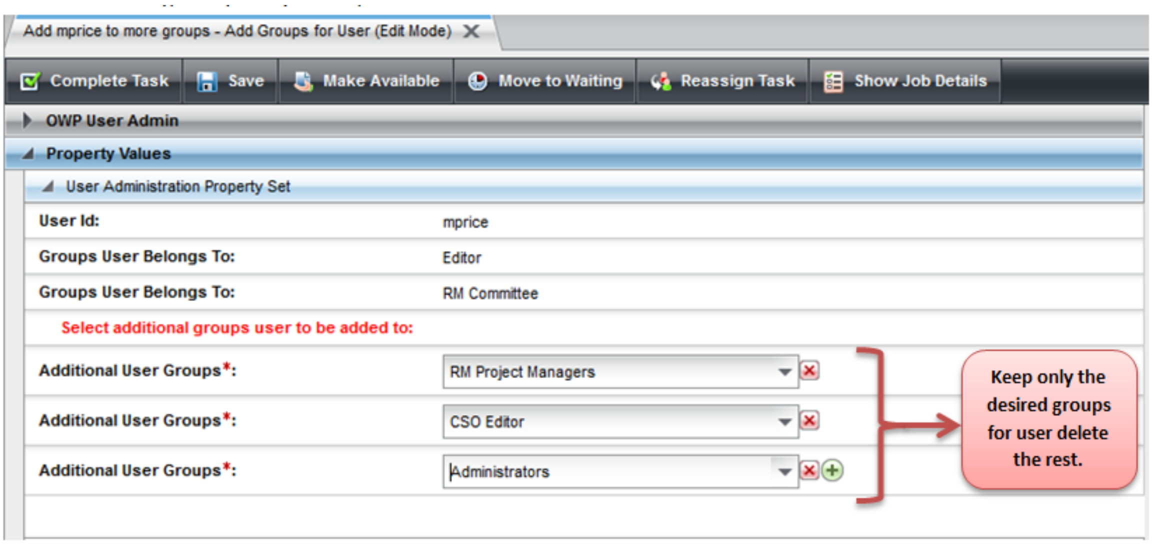
b. Enter User ID and Action



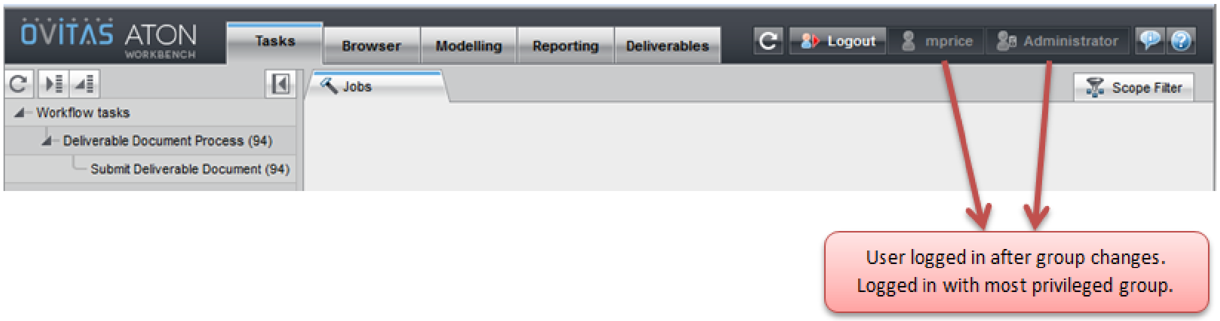
c. Window to enter additional groups for user:



Example: To add mprice to 3 additional groups (RM Project Managers, CSO Editor, Administrators), keep only those, delete the rest.

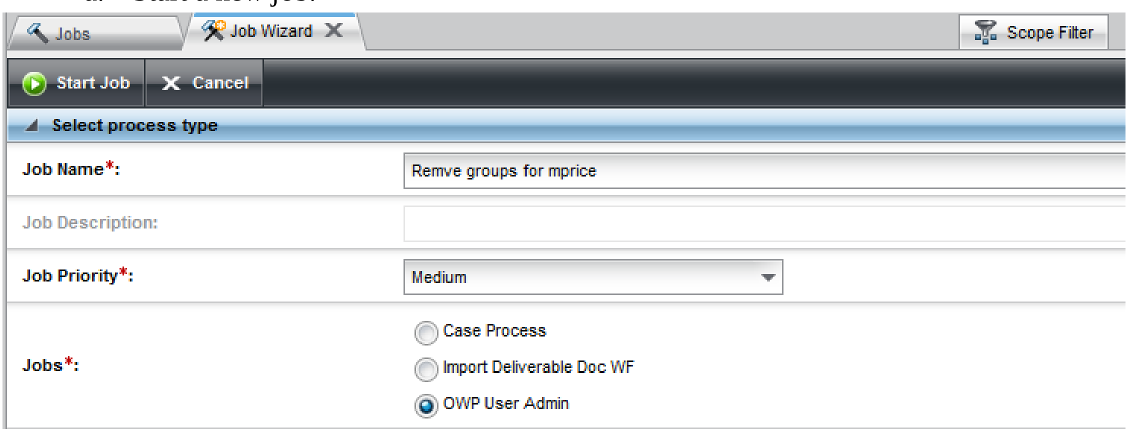


d. VERIFY!! In this case, the User was assigned to a higher permission level (Administrator), and the log-in reflects this now.

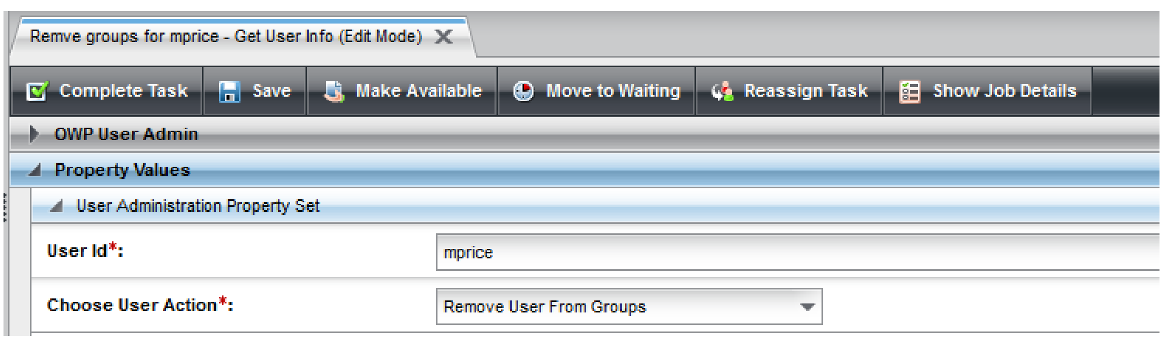


3. *Removing an existing RMS User from some groups*

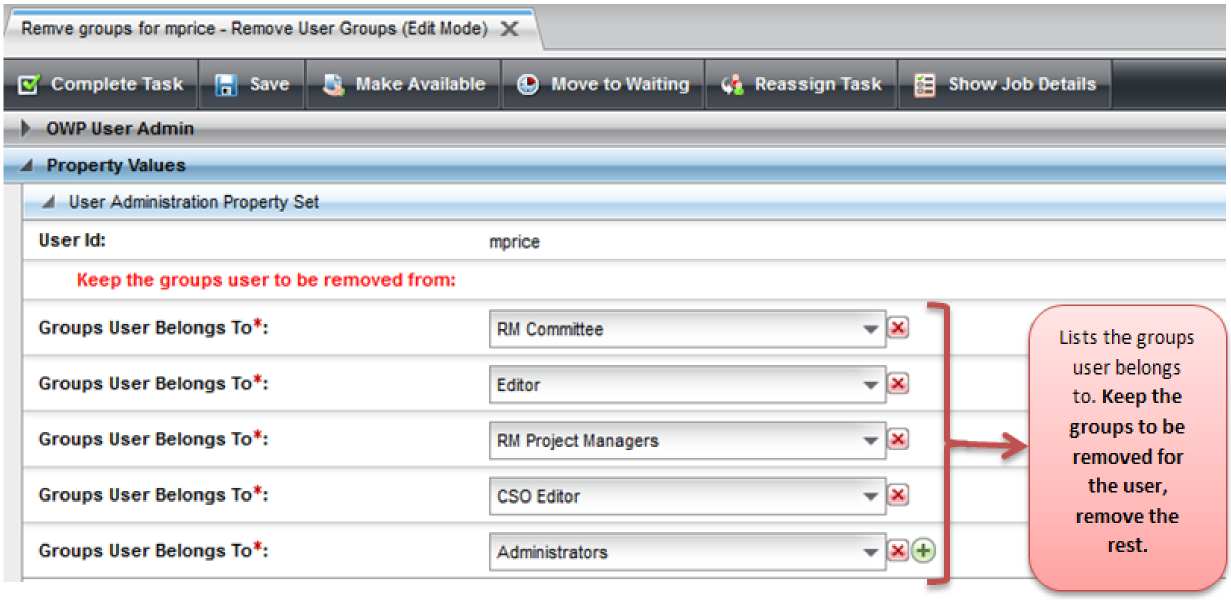
a. Start a new job.



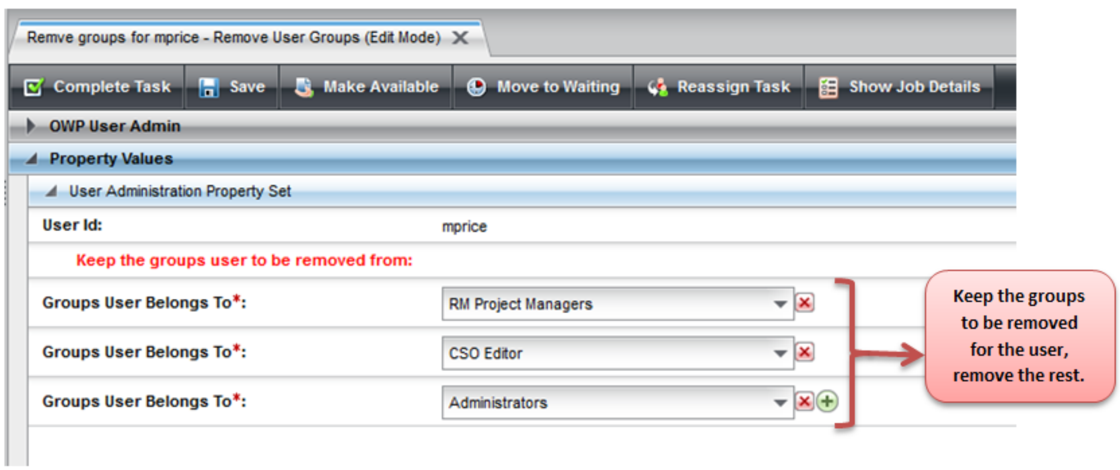
b. Select the User ID and Action



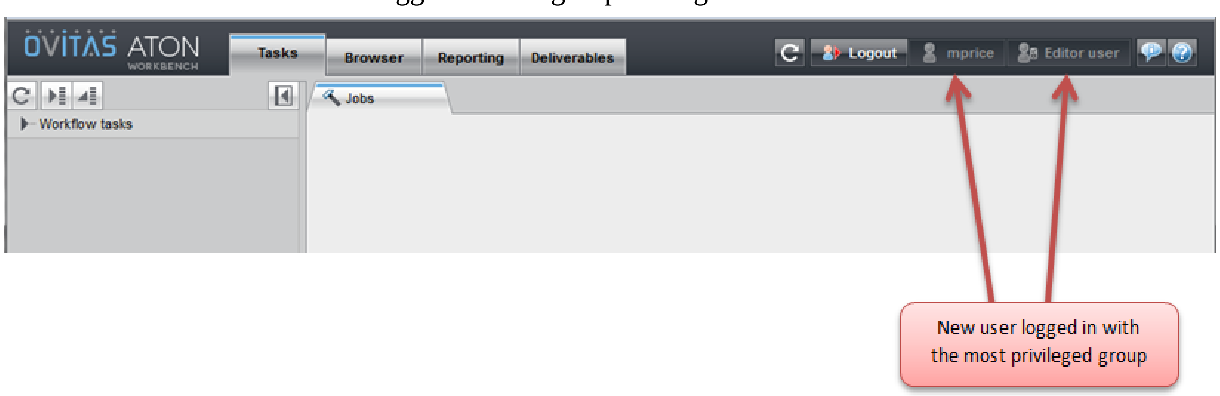
c. Window to remove user from groups, it lists all the groups the user currently belongs to



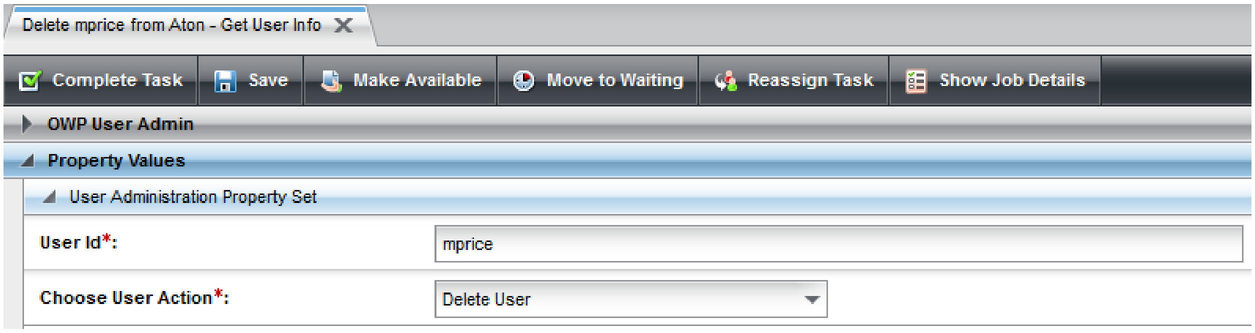
Example: Remove mprice from 3 groups (Administrators, CSO Editor and RM Project Managers) This is the tricky (non-intuitive) step!!! Leave in the list the groups the User is to be removed from.



d. VERIFY!! User logged in after groups changes



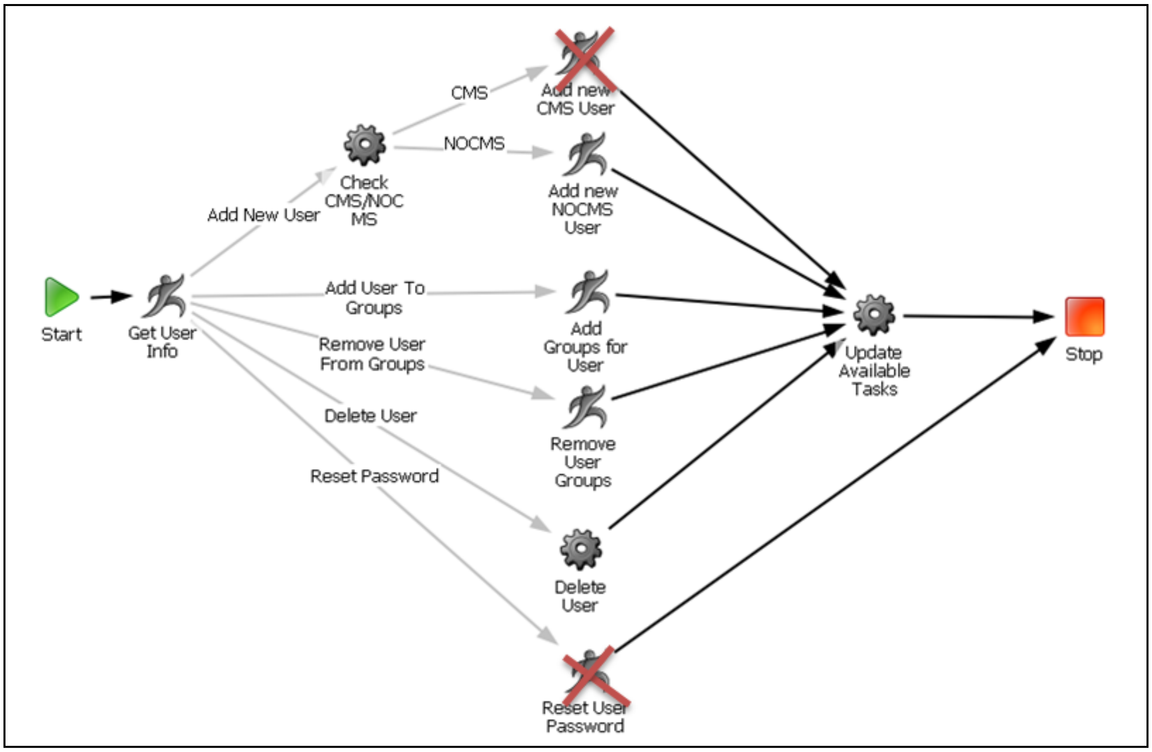
4. ***Remove an existing RMS user (Retains general View Only permissions)***
    a. Start a new job as previously.
    b. Enter User ID and Action.



    c. The User will be able to access the system as View-Only

5. ***Notes:***
    a. If a User is already in the system, “Add New User” will give an error message.
    b. If a User is not in the system, “Delete User” will give an error message
    c. CanNOT remove a user from ALL groups. User must be assigned to at least one group. Select “Casual View Only” as default setting.
    d. The Employee id entered in the New User form MUST match LDAP, otherwise alerts may not go out.
    e. There is NO RESET USER PASSWORD capability

Workflow Map (Transitions not used in LBNL crossed out)



V. Revision History

Revision	Date	Who	Description
0	12-22-2014	L.J. Young	Initial

AD15 Bulk Importer (Admin only)

I. Purpose:

The Bulk Importer enables us to import Document concepts and Requirement concepts and their respective associations (relationships) in bulk. The Bulk Importer is a specially configured Excel spreadsheet comprised of 3 sheets: Requirement, Document, Links. Portions of these are illustrated in the Figures below. Instructions on obtaining an updated template, entering data, and then importing are provided below.

The Bulk Importer is intended for entering a lot of data all at once – it is NOT intended for circumventing the normal data entry process (via Cases).

II. Who Can Do This:

This is for Administrators only. I think there are no safeguards to prevent others from doing this, if they could get hold of the links and know the procedure.

III. Warning

Using the Importer to modify previously imported data will OVERWRITE the data – including eliminating any changes that may have been made between the original import and the proposed one. ***STRONG RECOMMENDATION: Use the Importer to enter NEW data only.***

IV. Caveats on Use

The bulk importer was intended to be used for initial population of the database, and then retired from use. It is not user-friendly. It does not always issue error messages, and the ones it does issue are not always understandable. The agreement with Ovitas was that there would be very little effort in the development and support of this utility. It is not worth additional money or time making the tool any better than it is. ***Advice: use at your own risk and be ready to exercise great patience.***

V. Procedure Details:

The following describes

- How to find the template
- How to populate the Excel template
- How to import
- Activating deliverable docs
- Troubleshooting hints.

Figures below show portions of the Excel Bulk Importer Template:

Requirement Sheet

REQUIREMENTS					
Import Type	**Concept VsId**	**Instruction**	**Is this a modification or is it new?***	**Contract Part***	**Contract Section***
Update	20120627_req_C31_I.021		new	Contract Section	I
Update	20120627_req_FedApproprLaw		new	Other	n/a
New	20120627_deliv_924167		modification	Contract Clause - DEAR	I
New	20120627_deliv_924191		modification	Contract Appendix	J.09 ESH - Appendix I

Document Sheet:

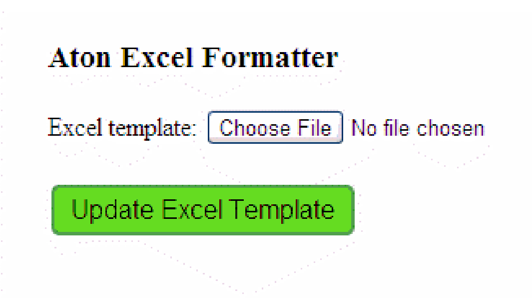
DOCUMENTS				
Import Type	**Concept VsId**	**Instruction**	**Document Number (xx.yy.zzz.aaa)**	**Document Title**
New	20120627_doc_LETSUserGuide		11.05.001.001	LETS User Guide
New	20120627_pol_TimeLabor		11.05.001.000	Time and Labor Reporting

Link Sheet:

Link Category	Parent Role	Parent Concept VsId	Child Role	Child Concept VsId
Requirement to Supporting Document (Supporting Docs)	Requirement	20120627_req_C31_I.021	Document	20120627_pol_TimeLabor
Requirement to Supporting Document (Supporting Docs)	Requirement	20120627_req_FedApproprLaw	Document	20120627_pol_TimeLabor
Document to Document (Related Documents)	Document	20120627_pol_TimeLabor	Document	20120627_doc_LETSUserGuide

A. Template Preparation
   1. Obtain a blank template at:
      http://rms.xx.lbl.gov:8080/lbl-aton-server/spring/mvc/importer/template
      and "xx." = *dev.* or *qa.* or is blank for production.
   2. Templates must match the model.

B. Verifying that a Template conforms to the model:
   1. NOTE: do this only if the model has been updated, or if you are not about the template.
   2. Go to https://rms.xx.lbl.gov:8080/lbl-aton-server/spring/mvc/importer/update and "xx" = *dev* or *qa* or is blank for production.
   3. Upload the Excel template
   4. Update the template
   5. The result is a new template that can be saved locally.



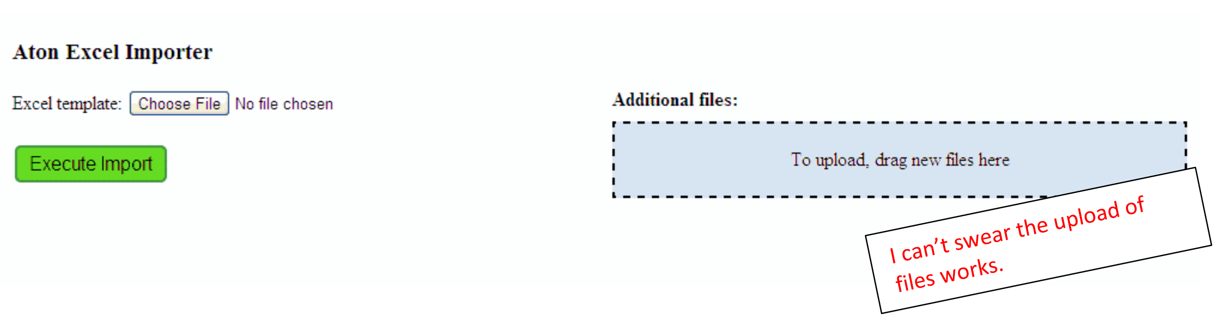
C. Entering Data

1. Best to prepare and manipulate data within a separate Excel sheet.
2. The user is expected to be intimately familiar with all the definitions of the Documents and the Requirements metadata fields. In particular, the user must know the parent-child relationships between the requirement, embedded requirements, deliverables, and so forth.
3. The user is expected to know the naming conventions for the picklists as well as the citations (main, sections, etc.)
4. In the Template, "red font" and the red asterisk next to the field title means a value must be non-blank.
5. To preserve Importer Template (the picklists!!), MUST USE "Paste Values" from Excel menu. Do NOT use quick keys (Ctl-V).
6. Persons' names <u>must be</u> converted to LDAP ID numbers – this is one reason for building a separate Excel sheet.
7. "Pipe" format is used for parameters that have cardinality >=1. For example, "aaa|bbb|ccc" under "additional owners" would mean Owner "aaa", Owner "bbb" and Owner "ccc".
    a. Unfortunately, when pipe separators are applicable, there is no picklist. This makes listing of detailed Policy Areas particularly agonizing to get right. Go to the Workflow Design Specification for the picklists.
8. Ignore any columns marked "Instructions" – the macro pulls in all fields in the App, including the ones that don't need any data.
9. <u>Column 1: Import Type (new/update):</u> This refers to whether or not the imported data is new or a modification. (Modifications may be uploaded in bulk! BUT this is not advised except as noted below.)
10. <u>Column 2: Concept VS ID:</u>
    a. This is a **unique** user-created label which (1) enables the system to identify a previously bulk-imported concept so that it can be modified again by the bulk import process, and (2) enables the user to more quickly establish links between concepts. Item (2) drives definition of a label that can help the user quickly identify the concept – that is, the label should relay the context of the concept.
        - If the Concept VS ID is <u>not</u> unique (i.e. there's a previously uploaded value), the importing process will <u>not</u> continue unless Column 1 says "update."
    b. The following definitions yield a unique label for Concept VS ID. In these, "yyyymmdd" refers to the original import date and "#" is a sequential number, where the number of digits is reflected by the number of "#" symbols. For Requirements and Documents, the "###" refers to a specific portion (section, chapter, page, etc.) of the requirement or document.
        - Deliverable: yyyymmdd_deliv_(LabID#) [The "LabID#" is the same identifier used in BSO database – "924xxx"
        - Requirement: yyyymmdd_req_(Brief Title or citation)_###
        - Policy document: yyyymmdd_pol_(Brief Title)
        - Document: yyyymmdd_doc_(Brief Title or citation)_###
    c. Make sure there are NO spaces in the assigned Concept VS ID.
    d. Examples:

- 20120315_pol_travel
- 20121104_req_O_4141D
- 20120131_req_10CFR851.3
- 20140205_prog_PPE
- 20140205_doc_PPE_WFA
- 20130825_form_reimbursement
- 20110921_deliv_924123

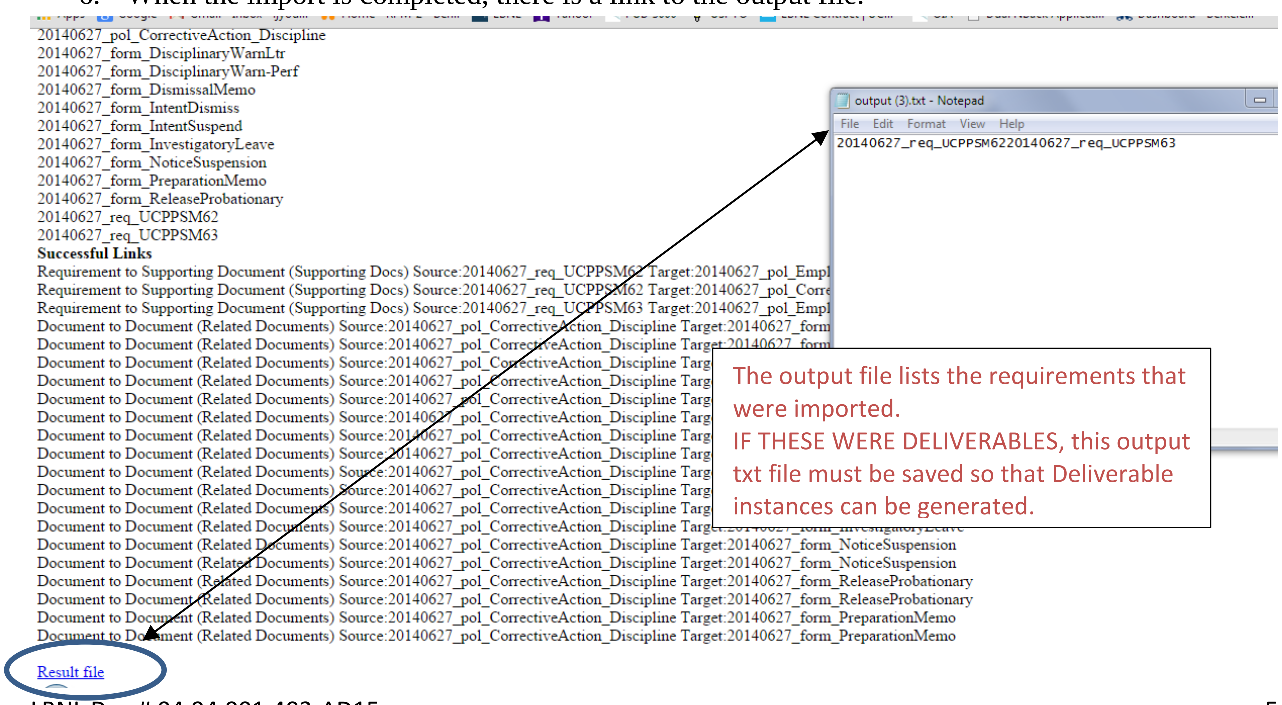
11. Setting up Links Sheet (Associations):
    a. This is quite tedious, and the User is advised to have a systematic way to set up and then check the many associations. A document tree is a helpful graphical method.
    b. The Concept VS IDs (Step 11 above) must be assigned to both Reqs and Docs before associations can be established.
    c. In the Link sheet left column, select from the provided picklist the relationship to be established. This selection automatically populates the "parent role" and the "child role" columns AND also sets up the picklists of available Concept VS ID values for the third and fifth columns.
    d. The picklist order is the same order that is in the doc or req sheet. A systematic approach (for example) would be to put the docs or reqs in alphabetical or numerical order.
    e. Select the specific parent and child items (3rd and 5th columns).

D. Importing Data
1. Access the Bulk Importer at:
   i. http://rms.xx.lbl.gov:8080/lbl-aton-server/spring/mvc/importer/import
   ii. and "xx" = *dev* or *qa* or is blank for production.
2. Upload the Excel template
3. Drag any documents referenced by the URL properties (for example: Link to Document) in the Excel template in the "additional files" box. [Note: I have never used this feature, and I don't know if it works or not.]
4. Select the Execute Import button to start.



5. As the system is processing, it will provide real-time progress such as:

6. When the import is completed, there is a link to the output file.



7. The detailed information is "temporary" and can be copied and pasted into Word or other file for studying. In the example below, for the failed RM Governance I had mis-read "Document Approver approval" and inserted the Doc Approver's ID number instead of "approved". Note that the error message is reasonably suggestive. The root hang-up for the second error is not clear; but re-typing the date cleared the failure.

Import Complete

Successful Concepts
20120621_req_10CRFR830
20120621_req_H.30_ContractorAssurance
20120621_req_I.76_ManagementControls
20120621_req_O414.1D_QualityAssurance_part
20120621_req_O414.1D_QualityAssurance_full
Failed Concepts

20120621_doc_RMGovernance	The Enumeration value "496689" for Property "Document Approver approval" is not a valid Enumeration value
20120621_pol_ContractorAssurance	Could not format value "1/2/2012" as a Date

Here's another example of a failure message: Can't tell what this means at all.

Failed Concepts
20140627_req_UCPPSM62 Could not retrieve the Property for the property version set ID of "versionSet618733e5-4962-11e3-857c-2b16d70d5b20"
20140627_req_UCPPSM63 Could not retrieve the Property for the property version set ID of "versionSet618733e5-4962-11e3-857c-2b16d70d5b20"
Successful Links
Document to Document (Related Documents) Source:20140627_pol_CorrectiveAction_Discipline Target:20140627_form_DisciplinaryWarnLtr

8. The Production RMS has a lot of data (as of November, 2014). If you are new or rusty at using the Importer, try first on the QA RMS. This will minimize the number of tries on the Prod tool.

E. Modifying data via Bulk Importer:

WARNING: *The Importer will overwrite the information of whatever item in the system has the same VD ID value in the Importer sheet. Do not use to update info that has resided in the system for a while. (See Section III above).*

The main use of the new vs update switch in the Importer is while troubleshooting a particular pile of data. Often a portion of an import will succeed and some will fail. For failed items, the user should try to correct them and then re-run the sheet. If there are links to be made, the items that succeeded the first (or previous) time around need to remain. However, since they succeeded, they are now considered uploaded. The way to get everything to succeed is to switch to "update" for any line item that succeeds.

If you choose to update data previously uploaded via the Bulk Importer, here's the process.

1. Find the line item that is to be modified – its Concept VD ID is required!
2. Change first column to "update".
3. Make all the necessary mods.
4. Then run the Importer per usual.

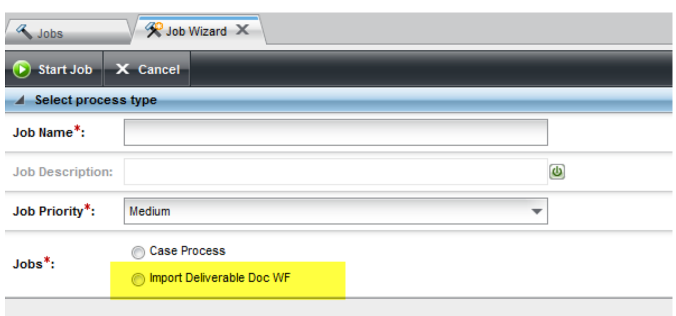
5. If the line item(s) of interest is one of a bunch of other items that are not changing:
   a. Be sure to change the first column to “update” for all those other items.
   b. Note that the other items will still be imported, and their version numbers incremented.
   c. There is huge risk if you don’t know whether or not the “other stuff” has been changed between its original upload and this import. (If running a series of imports in a row to troubleshoot and get the whole pile in, then obviously the “other” (successful items) have no changes.) Better is to remove anything that you are not interested in changing. Best is to NOT use the importer to fix just a couple of items – go through the proper way: Case and Req workflows.

The Production RMS has a lot of data (as of November, 2014). If you are new or rusty at using the Importer, try first on the QA RMS. This will minimize the number of troubleshooting tries on the Prod tool.

As of this writing, I have not tested modifying a requirement that has associations (that is, if a requirement has associations, and it is modified by the Importer that does not include info in the Link sheet, will those associations be impacted?). The reader is free to experiment at his/her own risk – do not practice on Prod RMS. [My humble opinion: it is better to modify the requirement via the usual method through Case.]

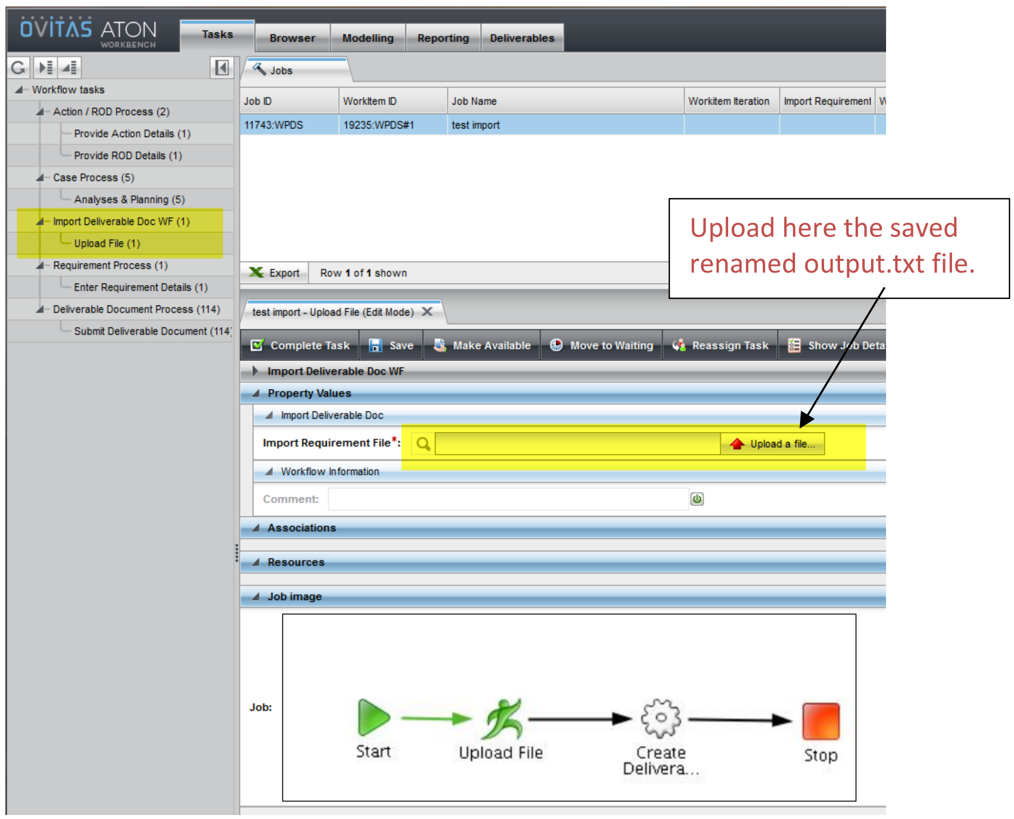
F. Activating (Generating) Deliverable Docs

1. If the Imported data includes DeliverableDef entries, then these will have to be “activated” within the application to generate DelivDoc instances.
2. When the Excel import is finished, it creates an output.txt file (see Step D.6 image above), and places it in either temporary folder or on the desk top. The file is a string of all the requirements concepts that were created successfully in the particular import process.
3. Save the output.txt file on your hard-drive. Should rename it.
4. Log into the Aton Workbench as a user with “Admin” privileges.
5. Go to the Job Wizard (Inbox column) and start a job of type “Import Deliverable Doc WF”. The Job Name should be reasonably descriptive.



6. This workflow has one activity. Find the “Import Deliverable Doc WF” jobs in the “Workflow Tasks” tree and select a Workflow to work on. (See figure below)
7. There is one property that needs to be uploaded (Import Requirement File). This is to upload the corresponding output.txt file that you saved (step 3 above).

8. Select the “Complete Task” button. Depending on how many requirements there are, it could take a while for all of the deliverable doc jobs to get created. You don’t have to wait, however, as they are created in the background.



G. Archiving Imported Template Data (Recommended):

1. Since it is possible to modify the database using the Bulk Importer, it is important to archive any Importer spreadsheets.
    a. Label these files with filename: “yyyymmdd (Brief descriptor) AtonBulkImportTemplate.xlsx”, where in this case the date refers to the import date.
2. Archive the various Importer spreadsheets for possible later use.
3. Archive the output.txt files – recommend a filename that matches the spreadsheet (distinguished by the suffix xlsx vs txt)

H. Troubleshooting Tips

1. Remember Section IV above. Good luck. You’ll have to be patient and clever.
2. Some common errors in preparing the spreadsheet (see Section C above):
    - ID value has a space (failure to load the name)
    - “New” instead of “update” for a repeated item (failure because the line item is loaded already)
    - Unrecognized formats or items:

- Remember to "Paste Value" from the Excel Menu – don't use the general "Paste" or shortcut Control+C.
- Mis-typed value instead of using the dropdown value
- "Approved" when answer is "yes"
- Person's name instead of LDAP number
- Date – sometimes you just have re-type (cut/paste doesn't always work)
- Omitted value in mandatory (red asterisk) column
- The most painful: Policy Areas that don't match exactly the picklist wording.
- The second most painful: there's an extra space at the end of "DOE Acquisition Regulation (DEAR). " So if you cut and paste and don't use the dropdown value, you'll get a failure.
- Not using the template for the particular RMS system (Prod vs QA vs Dev). All 3 systems are at the same level (as of Nov, 2014) so it is likely that the same spreadsheet might be applicable to all three.

Revision History

Revision	Date	Who	Description
0	11-15-2014	L.J. Young	Initial

AD16 Managing Public Search Masks (Reports)

I. Purpose:

This procedure allows RMS Administrator to create, modify, or delete a customized Search Mask (or filter) for PUBLIC use that might be frequently needed: for example, a search of active policies or a search of closed contract deliverables delivered within a certain date range.

II. Who this is for:

Only RMS Administrators can manage public Search Masks.

III. Prerequisites

The user of this procedure may also wish to review the two procedures for general users: How-to #V11, Creating a Private Search Mask, and #V12, Deleting a Private Search Mask.

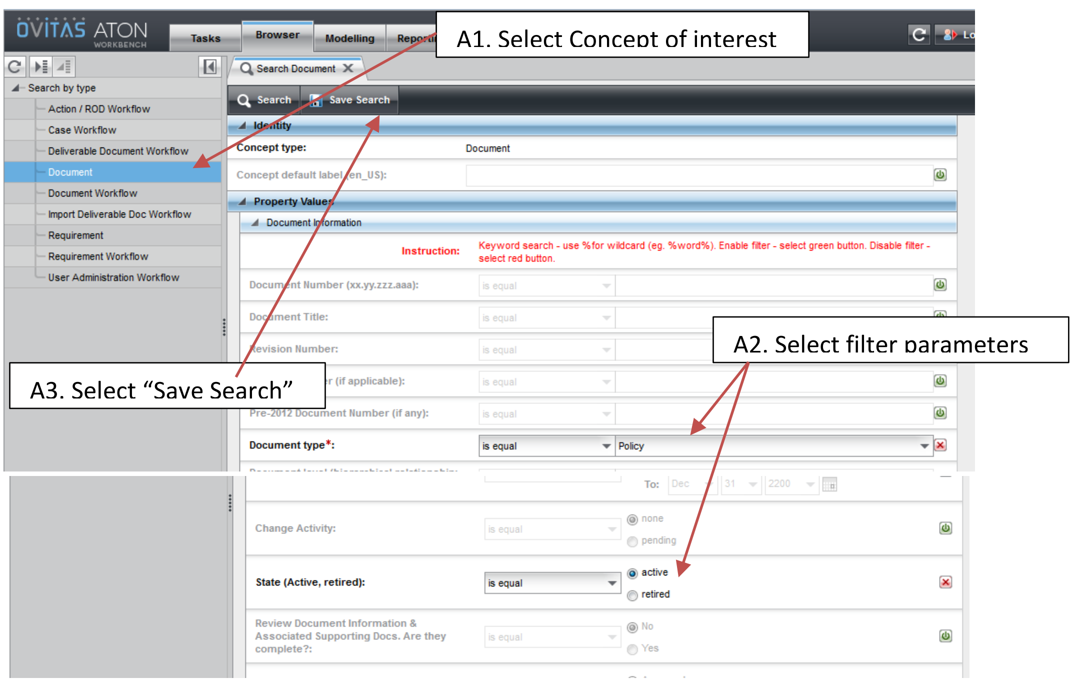
IV. Definitions

In this procedure, “mask”, “filter” and “reports” are used interchangeably. These refer to the search page that enables the user to select values to search.

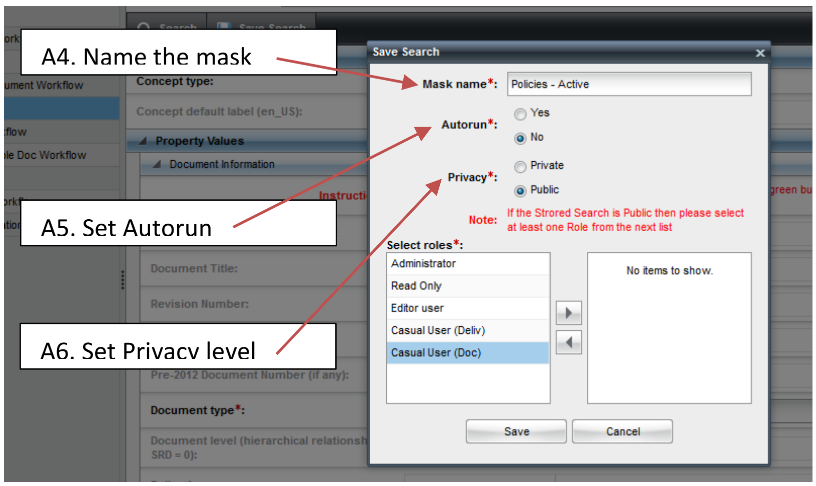
V. Specific Details

A. Create a Public Search Mask (this is mostly the same as How-to #V11).

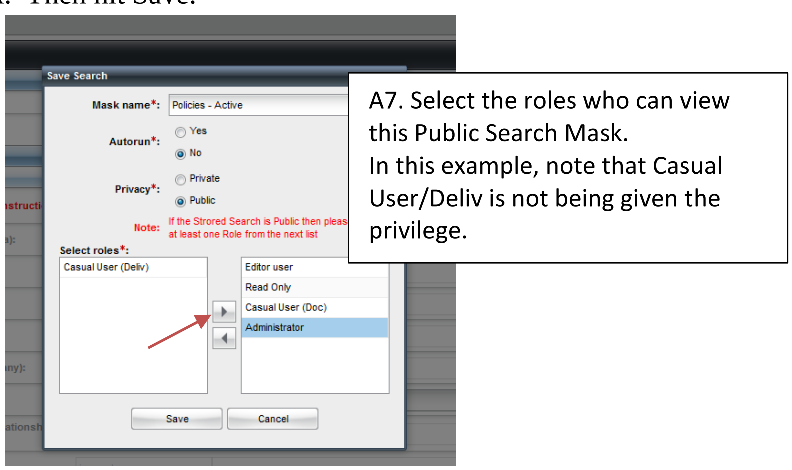
1. In Browser tab, select Concept of interest in Inbox to display a related Search Window.
2. Enter desired filter data.
3. Then select “Save Search”.



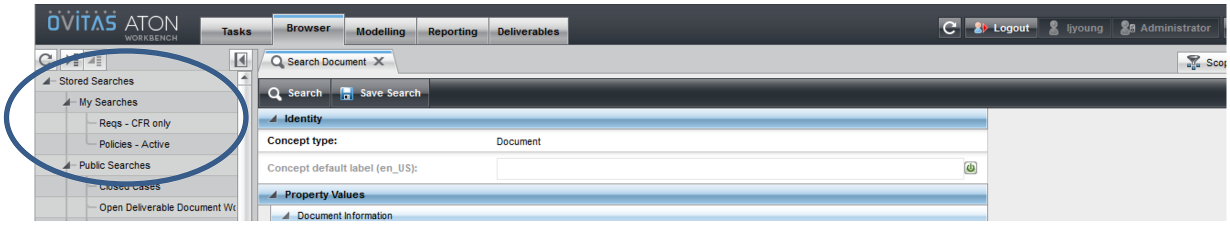
4. Result is a "Save Search" window, which has more options than shown in How-to #V11. Name the Mask (filter). This is for general users, so be sure to select a name that is helpful to users.
5. Set "Autorun"
   - "Autorun" = "yes" means that when the Mask is selected, it will automatically generate the desired List.
   - "Autorun" = "no" will result in a display of the named Search Mask with the saved field values, and then you have to hit "Search" to generate the List.
6. Set "Privacy". This is different from #V11. The Administrator can:
   - Create her own private masks (Private) OR
   - Create masks for general use (Public)



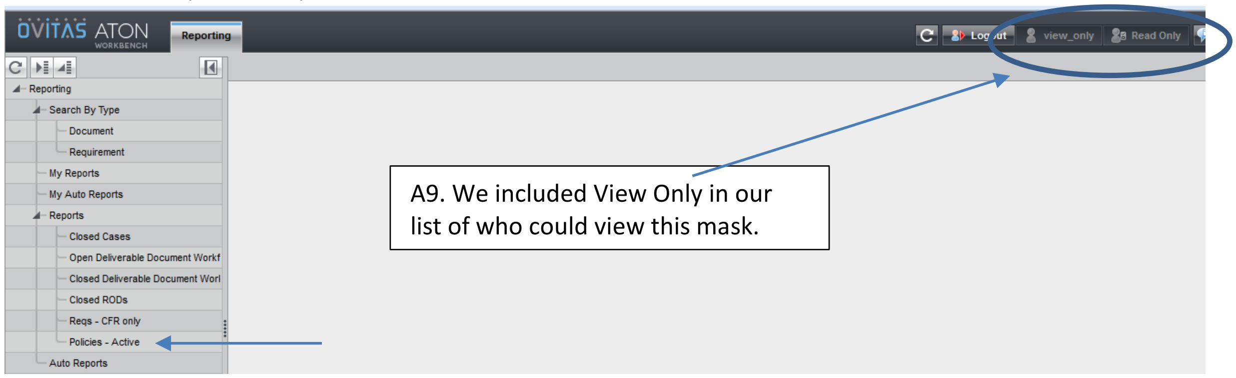
7. If Public mask, then must select the roles that will be allowed to view the mask. This is different from #V11. Select the roles by highlighting the chosen role and using the arrows to move to the right box. Then hit Save.

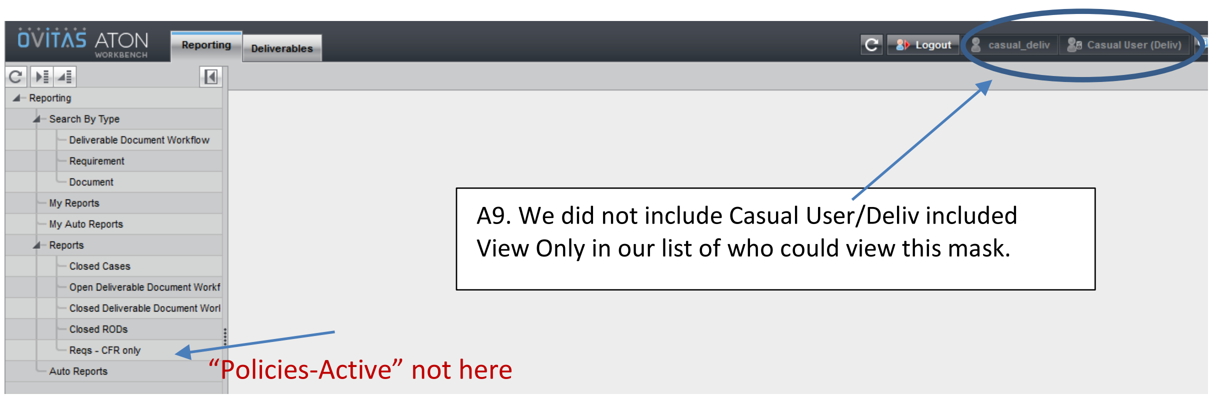


8. When "Save" is hit, then the screen returns with the new mask added to the list.



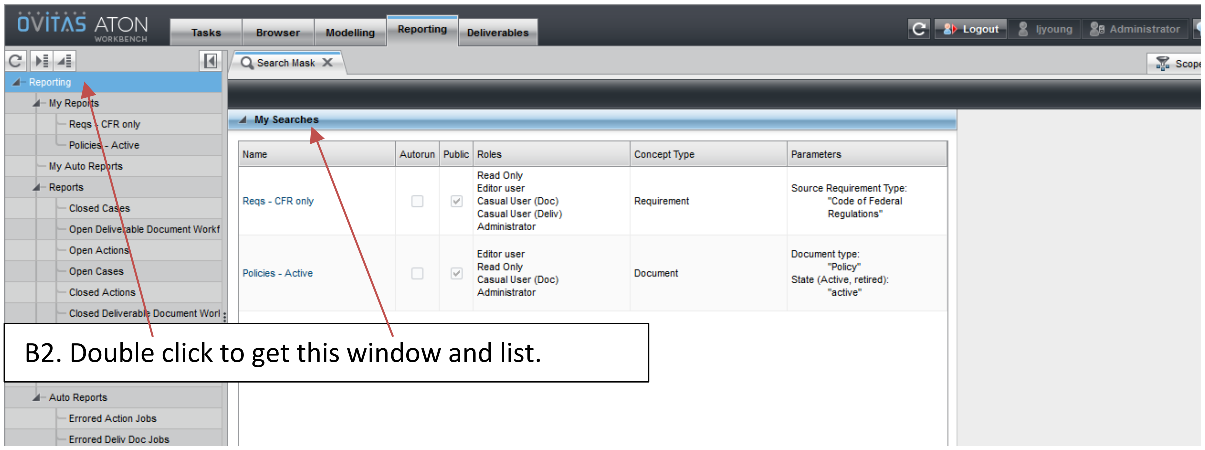
9. Verify that only the selected user roles can see the "Policies-Active" mask.



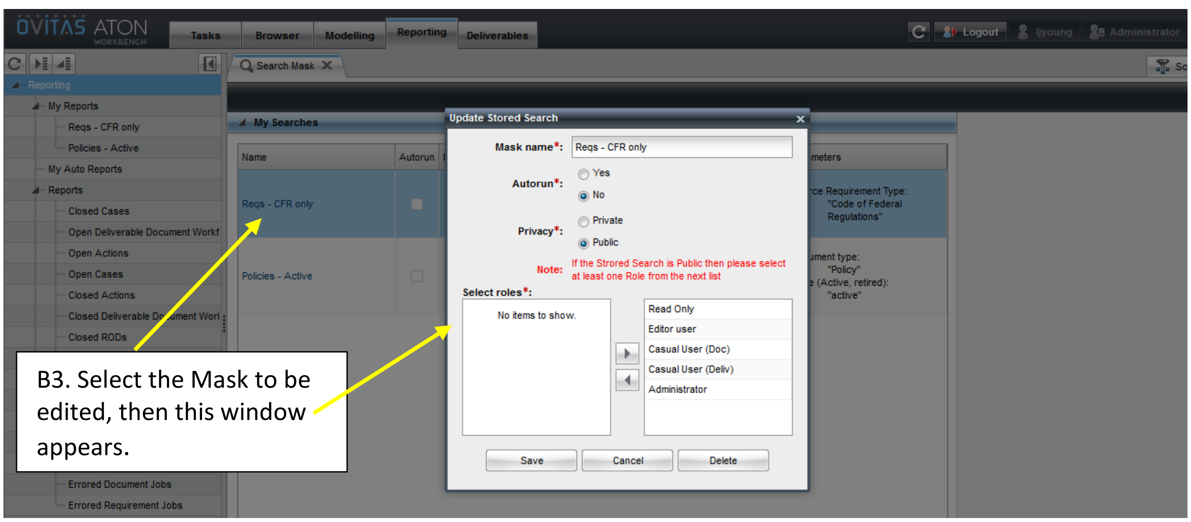


B. Managing Public Search Masks.

1. This procedure shows how to change the Search Mask viewing properties, including deleting it.
2. In Browser or Reporting tab, double click "Stored Search" or "Reports" in the left pane. The "My Searches" window appears.

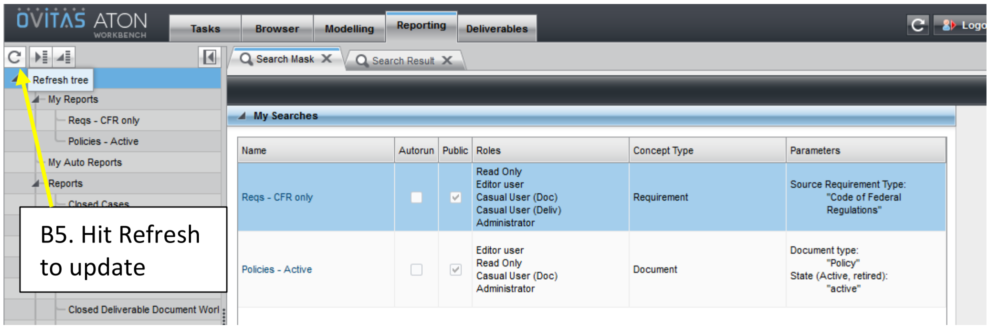


3. Select the Search Mask to be edited, by clicking the name. The Edit window appears.

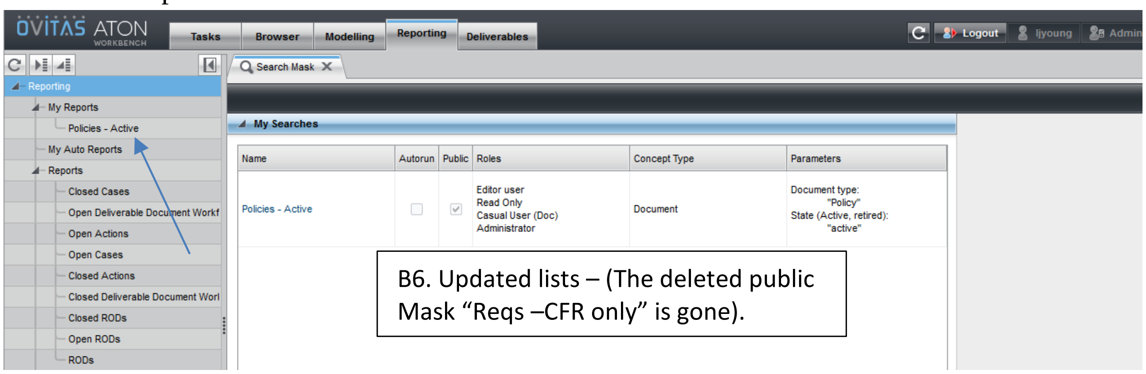


4. Edit as desired.
   - Can change to Private (Then hit "save")
   - Can remove roles from the viewing/user list. (Then hit "save")
   - Can let this "Autorun" (Then hit "save")
   - Can delete the mask (Just hit "Delete")

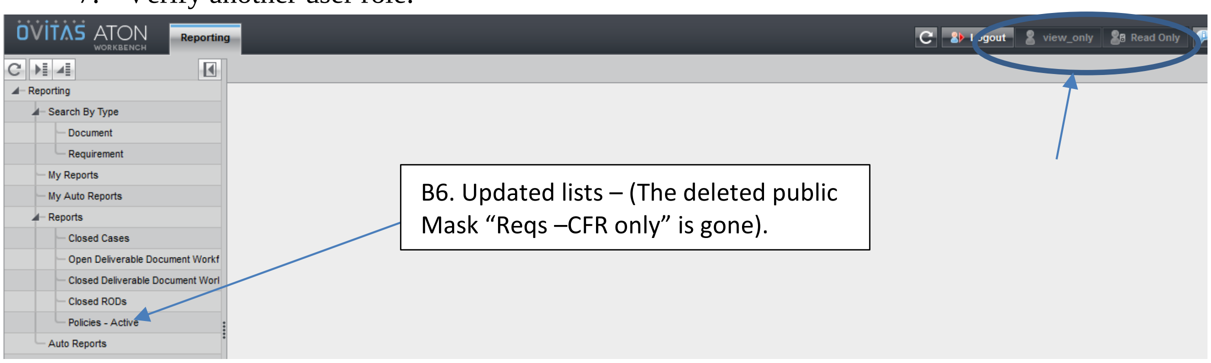
5. For this Example, we are going to Delete the “Reqs-CFR only” mask. The following screen results – the listings are not yet changed!!! Hit “Refresh”



6. The updated information looks like this. Done!



7. Verify another user role.



VI. Revision History

Revision	Date	Who	Description
0	12/26/2014	L.J. Young	Initial

AD17 – Backdoor Editing

I. Purpose:

This document explains how to do "backdoor editing" of the RMS.

II. Who can do this procedure:

Persons who are RMS administrators.

III. WARNINGS!

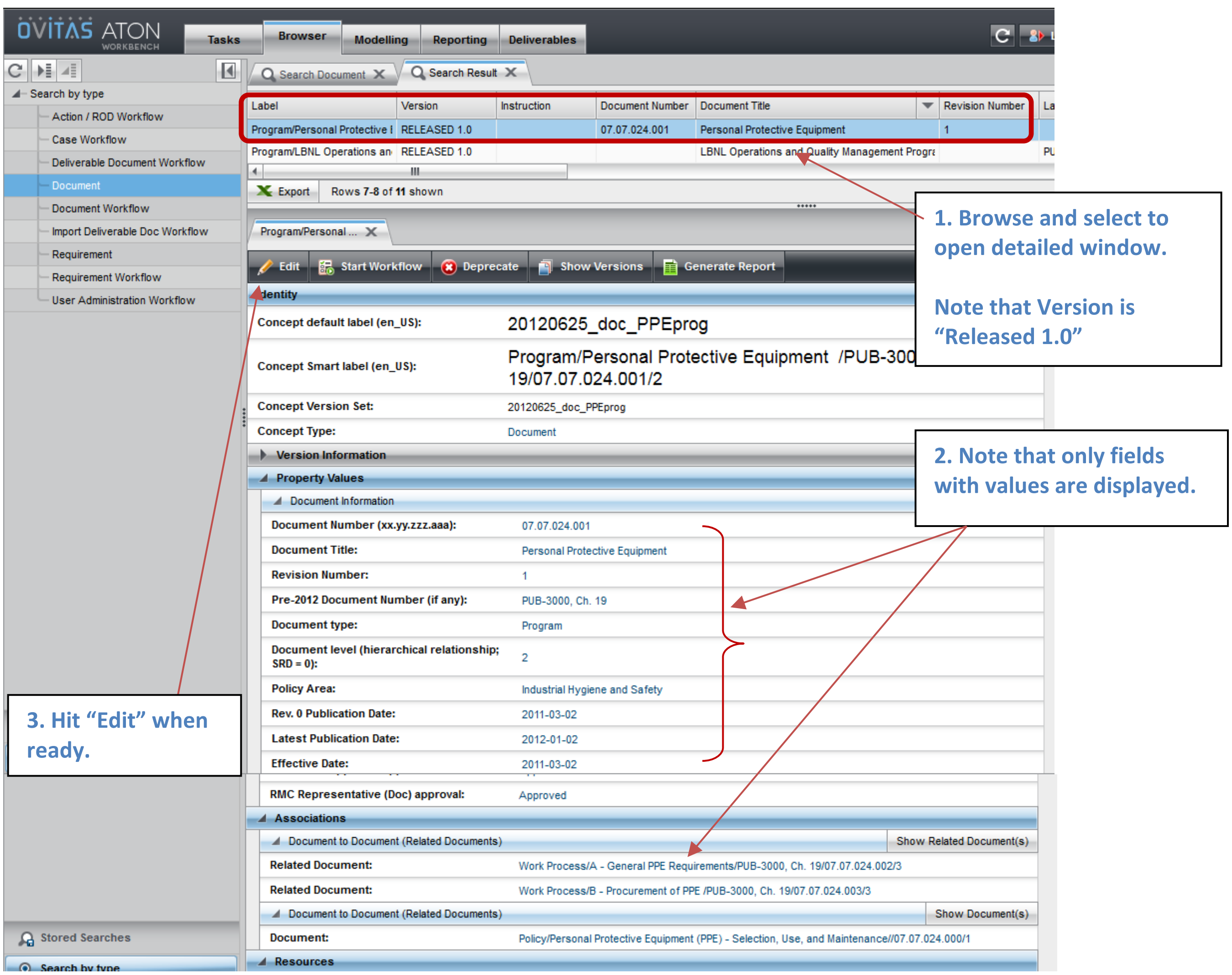
1. *This capability is not intended to replace the workflows.* There are NO records of workflows using this process. The main objective of the RMS is to capture a traceable history of record changes, including "why" as well as "what". Backdoor editing only captures the "what".
   - For example, if a requirement is formally modified by Contract Mod, its metadata could be updated via the backdoor editing, but there would be no requirement workflow captured that will reflect the formal Mod.
2. *This capability will not generate deliverable instances!!!*
   - If the deliverable definition (the parent requirement) is changed using this backdoor, it will indeed be updated as a requirement. But the process will NOT cause the RMS to generate new deliverable instances. So the end result will be a mismatch between the deliverable definition (requirement) and the instances.
3. *The procedure does not work on in-process workflows.*
4. *Use this process as seldom as possible.* Do not use it as a crutch for sloppiness.
   a. Always maintain as high accuracy as possible when doing standard workflows (cases, requirements, docs, RODS). Strive to "get it right the first time…".
      - Always check entries before hitting "complete task"
      - Always check associations before hitting "complete task"
         - Remember to enter docs or reqs children first. Then when entering parent data, you can associate the children.
   b. If an association or a field entry error is made, the preferred approach is to open another workflow.
5. This procedure is best on completed (released) records or completed (released workflows for the following situations:
      - Editorial errors (typos) that do not need to be historically retained.
      - Updating only "Next Review" dates and doc revision. [If any other information needs to be updated, go through the full doc wf.]
      - Fixing records by other users (usually RMC members). Most often this will be adding associations.
6. It is very easy to mess up the integrity of the RMS database. Always exercise caution when using this process, and double check your work.

IV. Pre-requisites

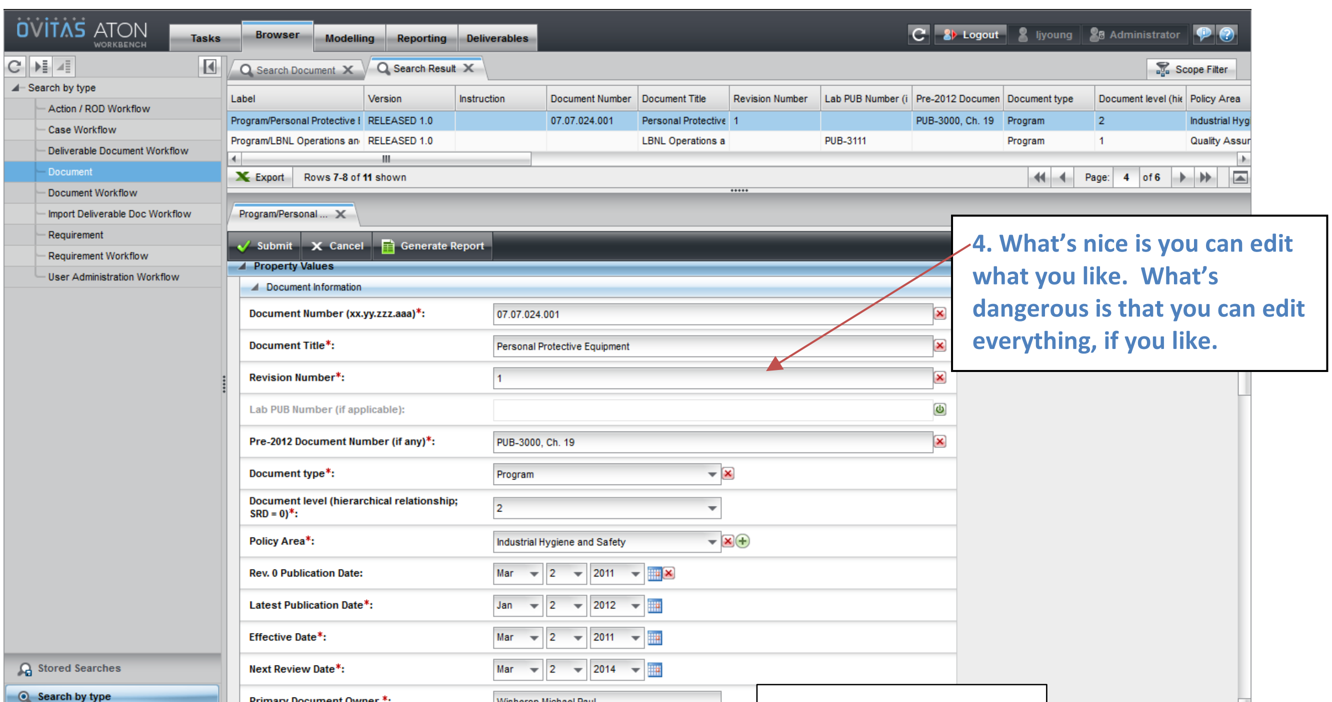
- User must know the RM process very well so as to judge whether the desired change is low impact (no history record needed).
- User must be well practiced in the standard workflow process.
- User must know which fields establish parent associations and which ones establish children associations (see How-to #DC07 – Setting up Associations).

V. Procedure:

1. In Browser tab, search for the concept of interest (requirement, document, case, ROD, etc.).
    - In the Example, note the Version = "Released 1.0"
2. Open detailed window.
    - In the Example, note that only fields with values are displayed. For example, there are 3 associations.
3. Select "Edit".



4. Selecting “Edit” results in the following display –
   - **ALL** possible fields are displayed and **ALL** are editable.
     - Note in particular the long list of possible associations. If you want to add associations (parent or child relative to this particular concept), you MUST know what label goes with what level (parent or child).
       - For example, entering data in Document to Supporting Document/Document will set up a parent document to this one, while entering data in Document to Supporting Document/Related Document will set up a child document to this one.
       - Unfortunately, the Ovitas designers were not self-consistent. Sometimes they applied “supporting” and sometimes “related” to indicate child.
       - Recommend NOT associating workflows/jobs, because then you must also associate the concept version that was created/amended under that workflow. [If you have no idea what this statement means, then just remember: don’t make edits that associate workflows/jobs.]
       - The list of associations for a requirement being edited is far longer and more complicated than the example here (document).
5. Edit what you want. In the example, we will change dates.



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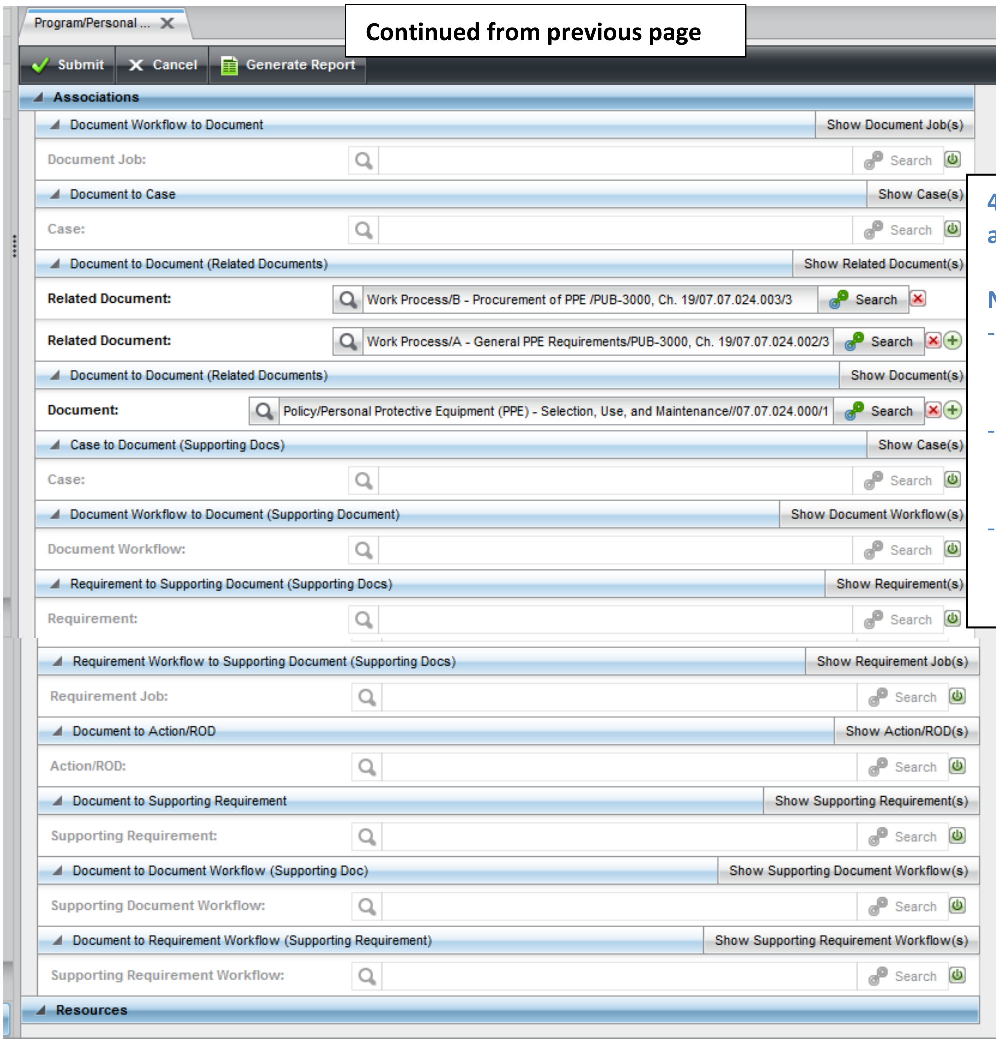
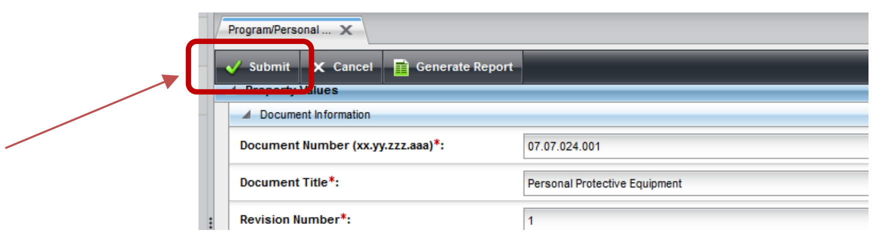


4 (continued). ALL the possible associations are listed, too.

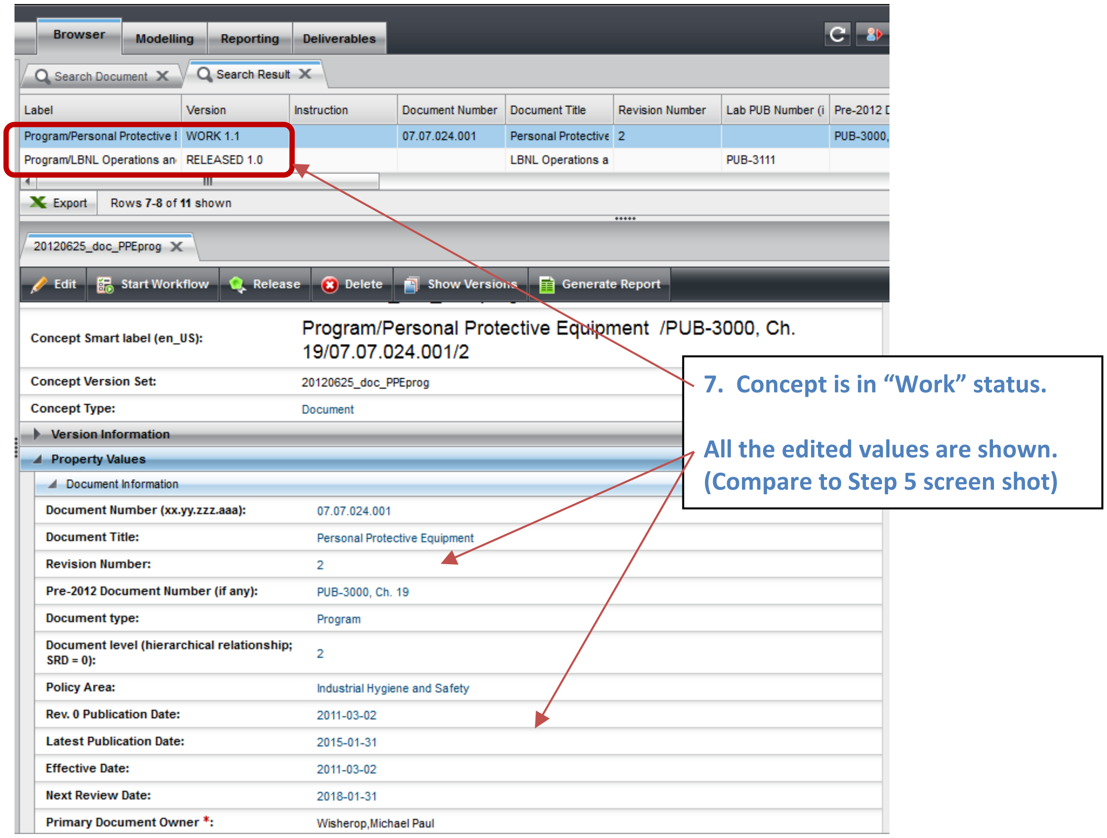
Notes:

- **Be sure to know the difference between what's a child and what's a parent.**
- **Strongly recommend NOT associating workflows/jobs (see text explanation).**
- **A requirement that is being edited will have a longer list of associations.**

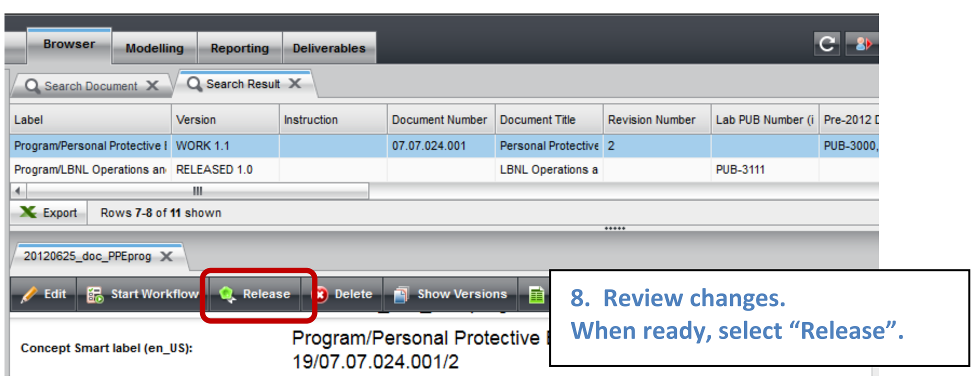
6. When editing is complete, hit Submit button.



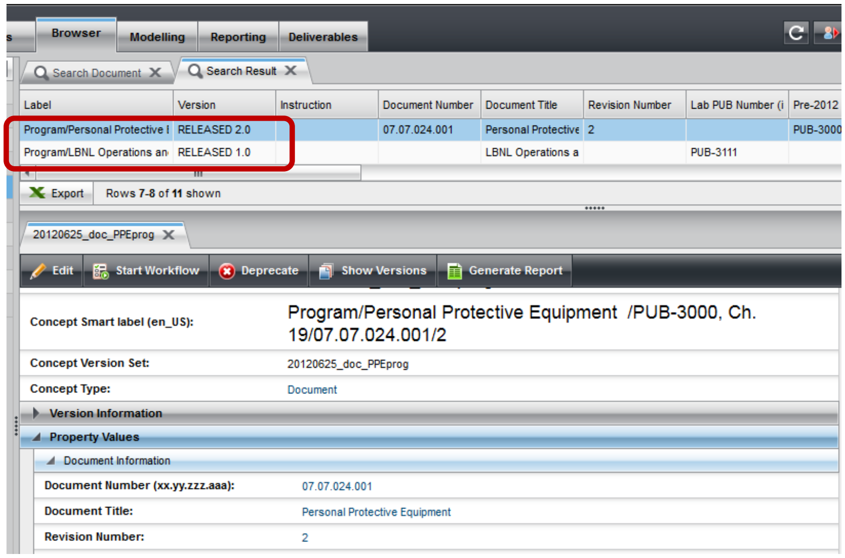
7. The system returns a display with locked fields, including the changes made during editing. Note that the list indicates that the concept Version is in a “Work” state.



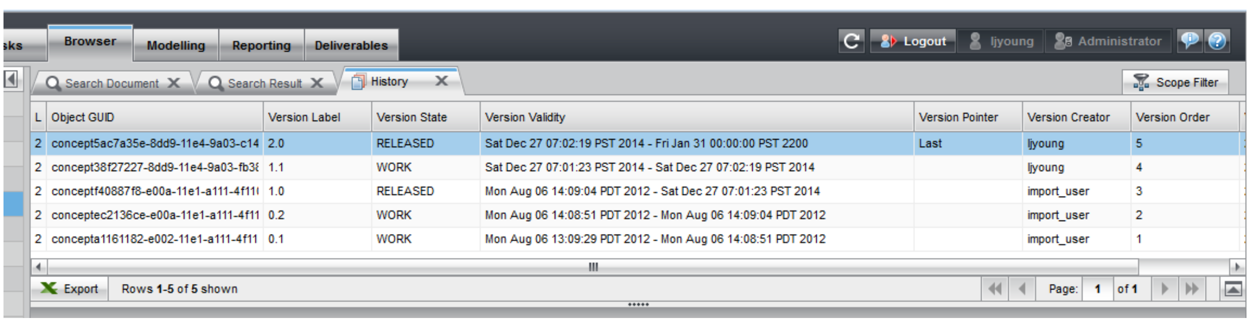
8. Review the changes.
   - If the changes are not ok, then select “Edit” and fix whatever needs fixing.
   - If the changes are correct, then select “Release”. ***This is a VERY IMPORTANT step!!!!*** All records must be in the “Released” state.



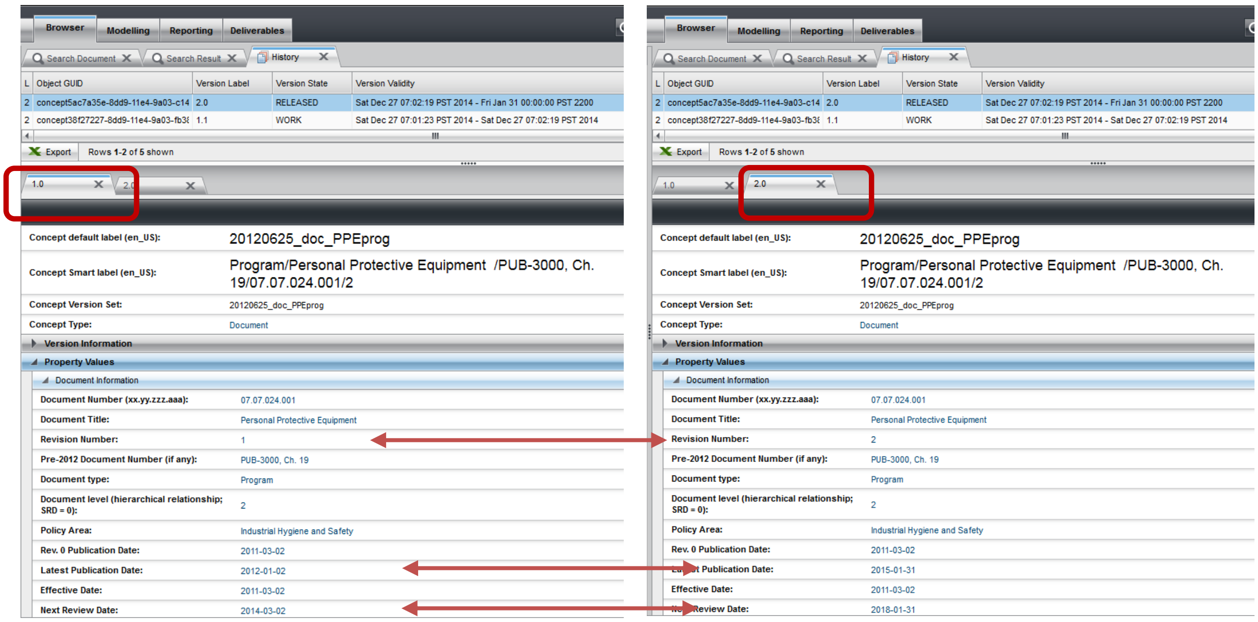
9. The following screen results. Note the update of the Version.



10. There is no record of the changes via Case, because a Case was not created. The only record that a change was made is through the RMS system versions. To verify that the change was captured, select "Show Versions" (above screenshot) to obtain the history list of the concept. The history list provides the dates of change and who did it, etc.



11. Open details for the "released" version states. In the above example, there are 2: 1.0 and 2.0. Compare the detailed information.



12. Recommendation: Perform QA of RMS data (requirements and documents) periodically. Search all. Get the list, and sort the list by Version. If a concept (requirement, document) is found to be in the "work" state, then check first that it is not being amended by an in-process workflow/job. If it was an edited item and was inadvertently left in the "work" state, then open the item and release it.

VI. Revision History

Revision	Date	Who	Description
0	12-26-2014	L.J. Young	Initial

AD18 Troubleshooting Tips, Error Messages, Getting Help

I. Purpose:

This document describes some tips on troubleshooting the RMS (Section IV), illustrates some error messages (Section V), and describes the process used to get assistance from Ovitas (Section VI).

II. Who this is for:

RMS Administrators

III. Prerequisites

The users of this procedures are expected to be expert in the RMS application design and to be expert users of the application. The users should be good technical problem solvers.

IV. Troubleshooting Tips

As of December, 2014, RMS version 2.2.1.10786.8852 has been relatively well tested. The main errors that will arise will likely come from data entry actions (i.e. opening, progressing through, and then closing workflows). Nearly all the techniques for troubleshooting the RMS are the same as what might be used to verify changes or actions performed.

- Use Browser looking from different perspectives.
  - Look not only at the concept type (for example, Requirement), but also the associated workflow (for example, Requirement Job)
  - Look at RMS status (under Version) – to see if the workflow or concept is released or still in progress (work state).
- For a concept or workflow, look at the state of associated workflows/jobs. The concatenated descriptor should include "/complete" at its end.

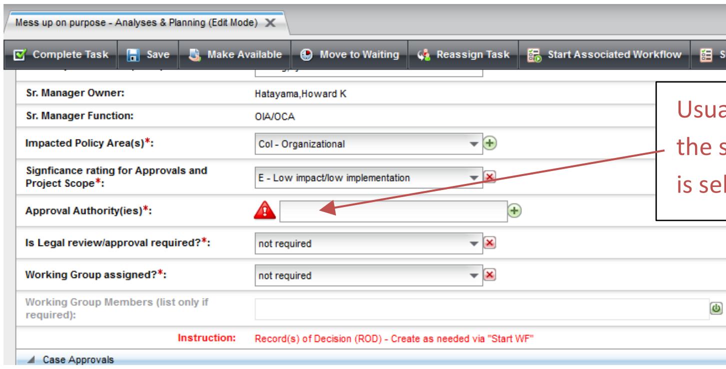
	Problem	**Likely Causes/Guidance to Remedy**
Workflows (How-to DC04, DC05, DC07, DC31, AD02, AD03, etc.)	A. Case is still open, even though the user believed he/she closed it.	1. An associated workflow (for example, Doc, Req or ROD) is still open. Find open workflow and complete it, or see tip for Problem D or E below. 2. Selected "Save" instead of "Complete Task". [Note: "Save" only saves, it does not progress the flow.] 3. For Case/RMC Review step/Status (Quality Review), forgot to select radio button with "OK to proceed". 4. Case/RMC Rep Review Completed – forgot to check that date is entered.
	B. Case workflow does not progress to next step.	1. Forgot to select Status field radio button = "OK to proceed" 2. Selected "Save" instead of "Complete Task". [Note: "Save" only saves, it does not progress the flow.]
	C. Document workflow returns to "Develop" step.	Review step: Did not select "Review Doc info…ok?" = Yes Mgmt approve step: Did not select "Doc Approver" = approved RMC Review step: Did not select "RMC Rep" = approved

	Problem	**Likely Causes/Guidance to Remedy**
		See also Job diagram at bottom of workflow: Trace dotted lines that will cause return.
	D. Doc wf – made a mistake midstream, don't like the wf; can't close Case	Remedy: Get rid of it by deleting Job workflow (How-to #DC31)
	E. Case has active workflow, but can't find in Inbox.	Possible remedy: 1. Search workflow via Browser. (Go to Req Workflow type rather than "Req", or Doc Workflow and not "Doc") 2. Find the open workflow by searching all, and then sorting by Version. 3. Open details of the unfinished workflow. Select "View Job", then open the last job step, THEN select "Delete Job".
Search (How-to #V01, VO2, VO3, VO3A)	F. Search results in nothing found	1. A field in search mask is enabled, but no value. Disable (make the red button turn green) 2. Too many filter fields (overconstrained problem) 3. Too precise string. Use few words and/or intersperse with wild cards.
	G. Search results in too long a list	1. Did not apply any filter. Narrow search to shorten list.
	H. Search results show duplication	1. Might indeed be a duplicate (verify, then deprecate per How-to #AD12 – be careful.) 2. One item might be retired. Look at Status column
	I. Exported or generated file does not come up	1. Browser may need to allow popup (usually for Firefox). Allow but then re-request the export.
System	No log-in window	LBNL server is down. Contact LBNL IT
	Log-in window appears, but application won't work	RMS app has a problem. Contact LBNL IT first to make sure who owns resolution; then if IT can't guide, contact Ovitas
	System response time is consistently slow (>15 seconds) for all interactions with RMS.	Contact LBNL IT – there may be something interfering with data paths (with app, or between app and database, etc.) Note: Dev RMS system is KNOWN to be exceedingly slow.
	App display not clean looking	Could be mismatch between Browser and RMS. Ovitas does not update RMS interfaces to Browsers very often. Firefox usually auto-updates.
	App not working smoothly on Internet Explorer.	RMS is not tuned for IE. Better to use Firefox or Chrome

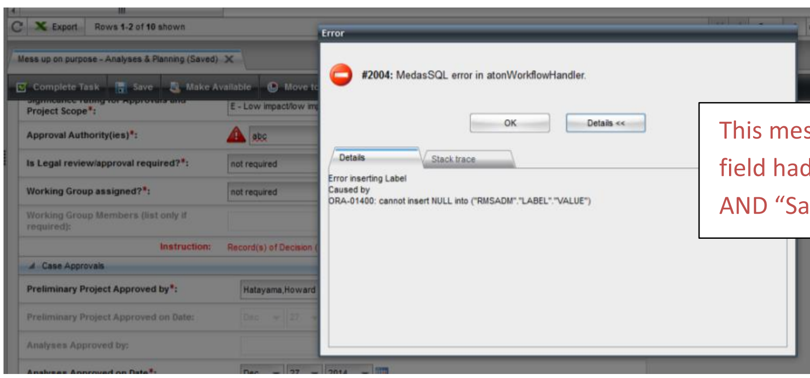
V. Sample Error Messages

Ovitas RMS error messages are very cryptic. We had asked Ovitas for (Issue Tracker #270), but did not receive the list of error message codes and roughly what they mean.

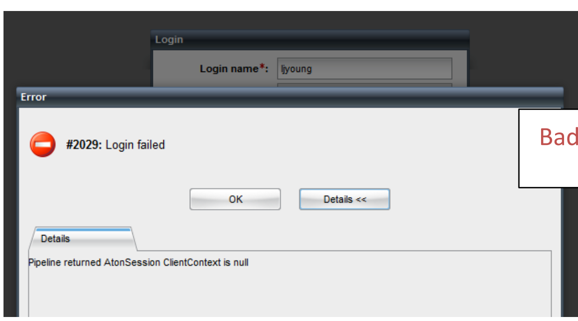
Here are some of the common errors:



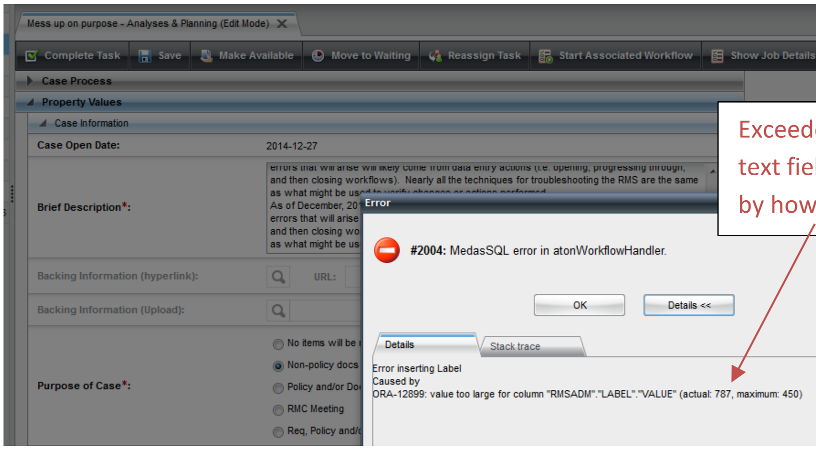
Usually, but not always, if a * field is left blank, the system returns the ! when "Complete Task" is selected.



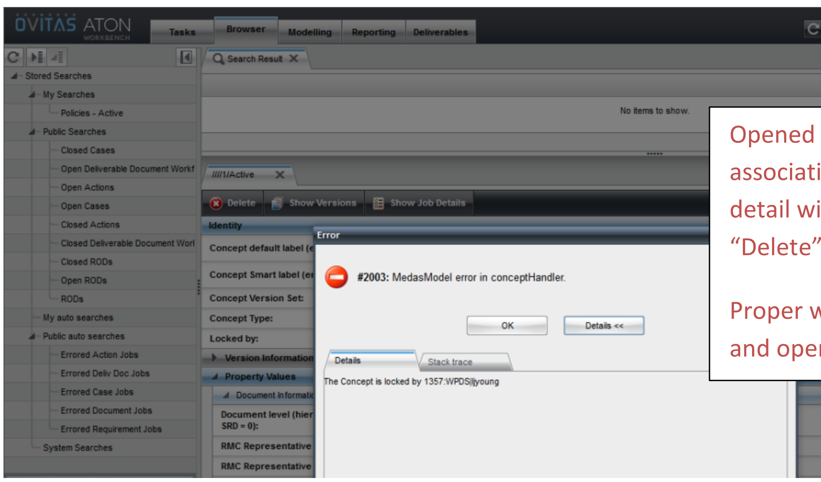
This message resulted when the * field had an unacceptable entry AND "Save" was selected.



Bad password upon log-in.



Exceeded 450 character limit for text field. Message does tell you by how much.



Opened a Case, then saw "active" doc wf in associations list. Clicked the item, and got the detail window shown. Want to delete, so hit "Delete" – and got the error message.

Proper way: Go to Inbox, find the workflow, and open via Inbox, then Delete Job.

VI. Getting Help

During the development of the RMS, LBNL IT-Business Systems engineers played a very limited role. The assigned IT engineer has since left LBNL (August, 2014). The original RM PM has also left LBNL (August, 2014).

1. As of December, 2014, the most expert LBNL users of the RMS reside in RM Program. No one in LBNL IT Business Systems is familiar with the usage of the RMS application.
2. As of August, 2014, **no** LBNL person is expert in the RMS application design details or the Ovitas Workpoint Designer.
    a. For any problem with the application, errors, lockups, stuck workflows, contact Ovitas.
    b. For any changes to set up or application definitions, contact Ovitas.
3. LBNL IT Business Systems can help with:
    a. Server system issues: down, poor performance
    b. Coverage of annual Ovitas maintenance/license fees (IT issues PO – should double check with IT Business Systems group lead)
    c. Coverage of RMS improvement costs: OIA/OCA may pay the costs, but IT will set up the PO and arrangements (talk to IT Business Systems group lead).

Methods of communications with Ovitas: With completion of development of the RMS, Ovitas prefers that LBNL purchase a "Service Package", which is payment for an agreed-to block of time to provide consultation and assistance. To date, LBNL has not purchased blocks of time. For the several upgrades, a time-material PO was set up, based on a request for quote for a specific list of upgrades or fixes. Completion of an upgrade included full test of the changes by the RM PM.

- Minor fixes that are known to be Ovitas responsibility: If it is possible to prove that the RMS design is at fault, then Ovitas will respond and fix. LJY note: there are very few of these, if any at all. The RMS (at least through September 2014) has been pretty well tested.
- Minor fixes due to LBNL user error: On occasion, LBNL users have entangled workflows and only Ovitas can clear these. If the fix is quick, Ovitas has sometimes not charged.
- General recommendation:
    - Upgrades/changes to definitions:
        - Picklist items, instructions, wording of field labels, wording of alerts: these are quick and have no impact on workflows, require almost no testing – very low cost. [How-to #AD30 captures the simple stuff – however, as noted in AD30, no one at LBNL is qualified to perform the steps.]
        - Workflow changes: Only Ovitas can do these. Because workflows have intertwining steps, dependencies, triggers (for example: alerts), Ovitas must test thoroughly – usually half a day or more. Further, LBNL must also verify. To minimize cost, best is to bundle several changes requiring full system test together.
    - Use Issues Tracker to log in problems or requests. Collect a bunch and then request quote from Ovitas to fix, update, etc. As of 2014, the charges were approximately $250/hr. The Issues Tracker is helpful to record history and should be kept up to date.

- For the longer term, it may be worthwhile for LBNL IT Business Systems to become fluent in the basics of the Ovitas technology and the RMS application. The alternative is to continue purchasing the services of Ovitas, whether annually (via the service package program) or as needed via individual POs.

VI. Revision History

Revision	Date	Who	Description
0	12/28/2014	L.J. Young	Initial

AD30 – Management of the RMS Application

I. Purpose:

This document captures information provided by Ovitas on 8 June 2012.

WARNING!!!

- Some of this information may be dated.
- Except for the few indicated (#1, 2, 3), the outlined procedures have NEVER been tested by LBNL personnel (neither IT nor RM PM).
- Attempting to do this without Ovitas is very high risk and jeopardizes the RMS Application.
- This document is reference only for persons not trained by Ovitas.

II. Who can do these procedures:

Only Ovitas engineers or LBNL IT personnel who are fully qualified in the Ovitas/RMS application and/or server system architecture can execute these procedures.
Notes:

- As of December, 2014, **no** LBNL IT engineer is trained on the RMS application nor on the Ovitas Workpoint Designer (referenced in this procedure).
- LBNL-IT **does** support the servers and server architecture where the RMS application and the data reside.

III. RMS Database Management Topics

1. List of users by role.

a. Ovitas can do this.
b. Ovitas supplied us with a SQL generator. M. Kremer (LBNL-IT Business) applied it successfully. See Appendix A of this document for details.
c. An outstanding feature request (Issues Tracking #214) is enabling a RMS administrator to download the list of user roles.

2. LDAP updates (also known as "people-picker" and "data warehouse")

a. On Production RMS, Ovitas established the set up for LDAP information to be updated automatically and daily (approximately midnight).
b. On QA RMS and Development RMS, LDAP information is out of date. QA was last updated approximately 2013; Dev was updated approximately Aug, 2014. LBNL IT-Business Systems may know how to do this. Ask for their assistance first, then ask Ovitas for help.
c. Appendix B cites some historical correspondence on this topic.

3. CMIS server: start/stop and general support info

[LBNL IT-Business Systems know how to do manage this. *Note: the exact details displayed below were taken approximately January, 2012 and may have since changed.*]

This requires access to the Linux Server.
To see if the CMIS Tomcat server is running; execute the following command:

```
[ovitas@lbl-app-dev2 test-importer]$ ps -ef | grep tomcat
ovitas   11400  7845  0 11:43 pts/1    00:00:00 grep tomcat
ovitas   27917     1  0 Jun19 ?        00:02:51 /usr/java/jdk1.6.0_16/bin/java -
Djava.util.logging.config.file=/opt/apache-tomcat-7.0.22/conf/logging.properties -
Djava.util.logging.manager=org.apache.juli.ClassLoaderLogManager -
Djava.endorsed.dirs=/opt/apache-tomcat-7.0.22/endorsed -classpath /opt/apache-
tomcat-7.0.22/bin/bootstrap.jar:/opt/apache-tomcat-7.0.22/bin/tomcat-juli.jar -
Dcatalina.base=/opt/apache-tomcat-7.0.22 -Dcatalina.home=/opt/apache-tomcat-7.0.22
-Djava.io.tmpdir=/opt/apache-tomcat-7.0.22/temp
org.apache.catalina.startup.Bootstrap start
```

If the CMIS Tomcat server is running you will see the java process that is the CMIS Tomcat server. If that java process is missing, the server is not running.

To start the CMIS Server, execute the following command:

```
[ovitas@lbl-app-dev2 bin]$ /opt/apache-tomcat-7.0.22/bin/shutdown.sh
Using CATALINA_BASE:   /opt/apache-tomcat-7.0.22
Using CATALINA_HOME:   /opt/apache-tomcat-7.0.22
Using CATALINA_TMPDIR: /opt/apache-tomcat-7.0.22/temp
Using JRE_HOME:        /usr/java/jdk1.6.0_16
Using CLASSPATH:       /opt/apache-tomcat-7.0.22/bin/bootstrap.jar:/opt/apache-
tomcat-7.0.22/bin/tomcat-juli.jar
```

To stop the CMIS Server, execute the following command:

```
[ovitas@lbl-app-dev2 bin]$ /opt/apache-tomcat-7.0.22/bin/startup.sh
Using CATALINA_BASE:   /opt/apache-tomcat-7.0.22
Using CATALINA_HOME:   /opt/apache-tomcat-7.0.22
Using CATALINA_TMPDIR: /opt/apache-tomcat-7.0.22/temp
Using JRE_HOME:        /usr/java/jdk1.6.0_16
Using CLASSPATH:       /opt/apache-tomcat-7.0.22/bin/bootstrap.jar:/opt/apache-
tomcat-7.0.22/bin/tomcat-juli.jar
```

4. What are the Admin rights? – Can Admin override to close out items?

Admins cannot take over workflow tasks that are currently assigned to other users. The user that “opens” a workflow task becomes assigned to that task. Only that user can work on that task unless that user makes it available for other users by using that “Make Available” button. Alternatively, that user can assign the tasks to another user with the “Reassign Task” button.

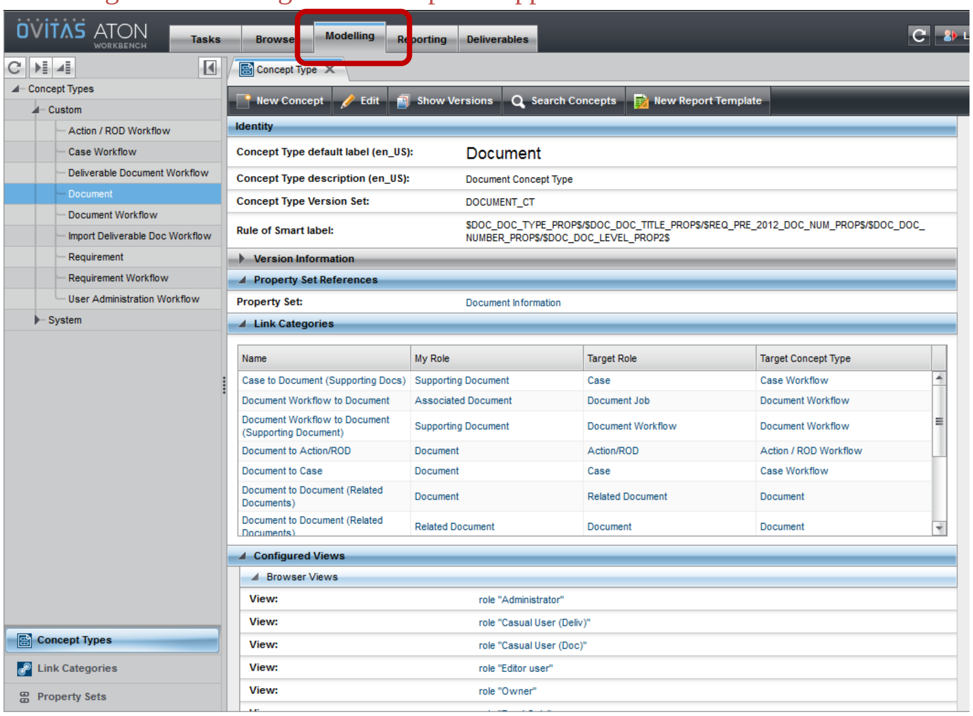
[12/2014 LJY comment: this means that any person who is leaving the Laboratory or is no longer in a RMC role MUST either re-assign or make available before he/she leave the role. Otherwise, Ovitas can help move workflows to the RM PM’s Inbox.]

5. **How to manage turn on of email notifications**
   This requires the Workpoint Designer. Request Ovitas assistance.

6. **How to modify wording in an alert**
   This requires the Workpoint Designer. Request Ovitas assistance.

7. **Workflow engine (Workpoint) – how to reset or stop workflows**
   This requires the Workpoint Designer. Request Ovitas assistance.

The next several topics involve the Modelling tab. **DO NOT MESS WITH MODELLING on any system (Prod, QA or Dev) -** unless you have been trained by Ovitas. Merely "playing" without knowledge in Modelling can mess up the Application.

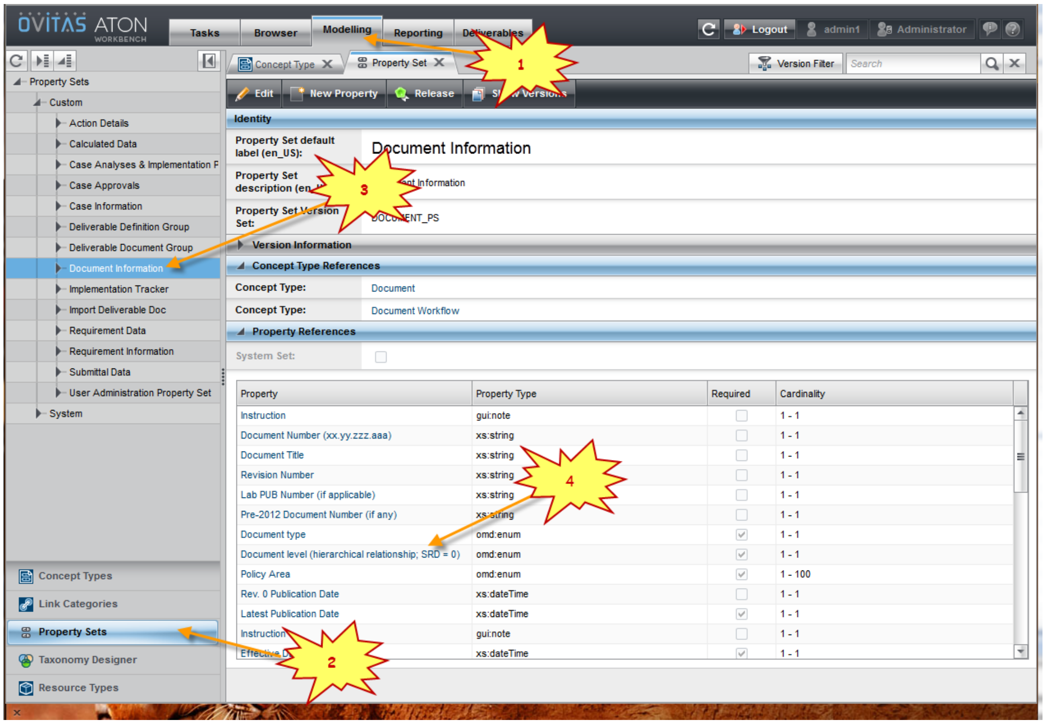


8. **How to manage picklists.**
   [Comment: LJY did this once with Ovitas's phone help….and we messed up royally because we didn't think first, and changed an item that was a triggered workflow actions. Lesson learned: Persons who make changes must know the workflow architecture, dependencies, etc. intimately. Let Ovitas make these sorts of changes!!]

   A picklist is simply a property of type "enum" or enumeration. To manage this type of property (or any type of property), you must first navigate to the enumerated property.

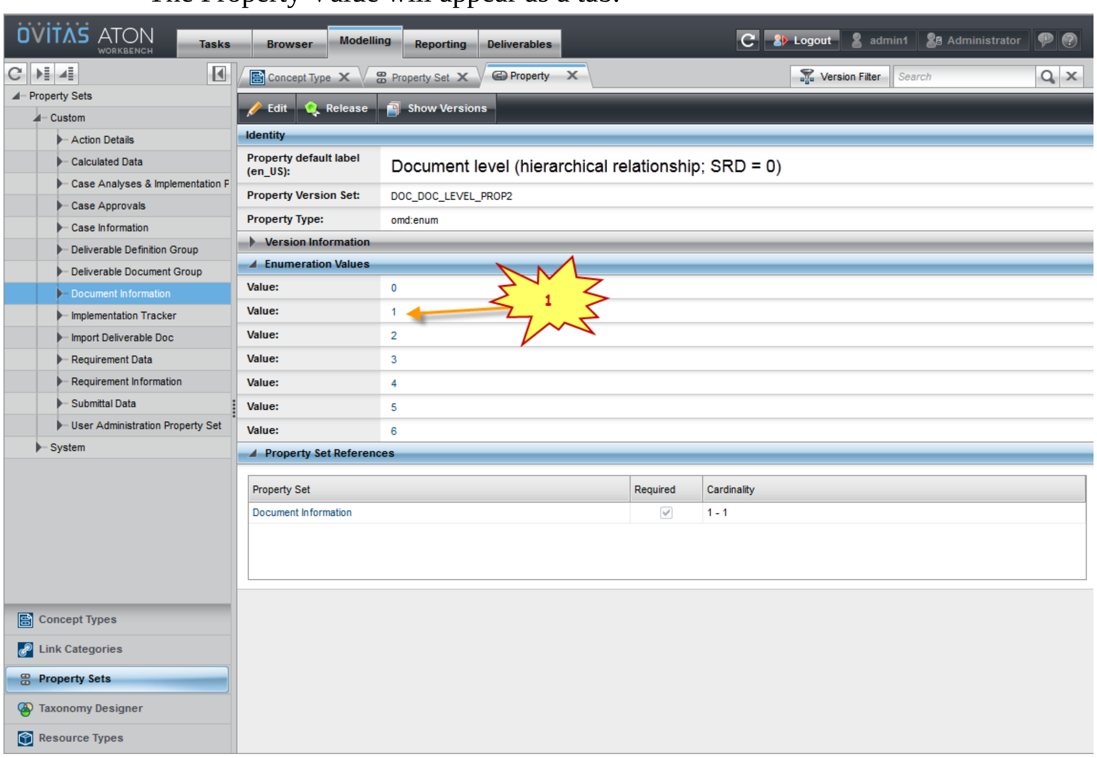
   a. Select the Modeling Tab
   b. Select "Property Sets"
   c. Select which property set you wish to manage. In this case we selected "Document Information". The property set will appear as a tab.

d. Select which property you wish to manage. In this case, we selected "Document Level …". The property will appear as a tab.



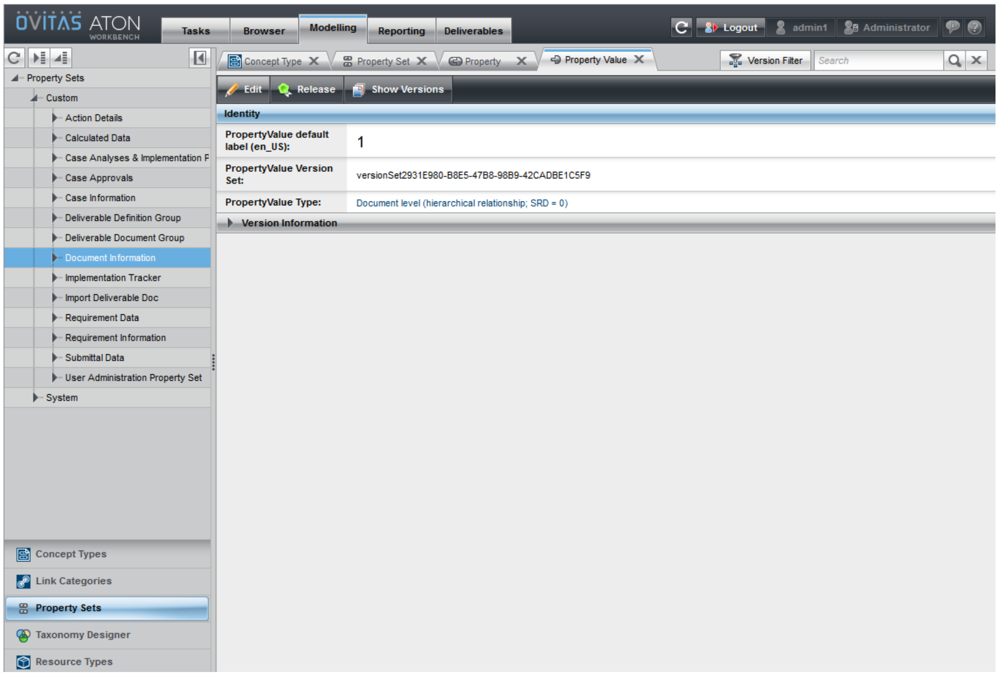
e. From the Property tab, you can edit the property, or view a property value.

f. To view or edit a property value, select the value you wish to edit from the property tab. The Property Value will appear as a tab.



g. From the Property Value tab, the only thing you can do is to edit the text of the property value.

h. Click the "Edit" button to bring the property value into edit mode. Click "Submit" to save your changes.



9. Change parameter status (edit, req, read only)

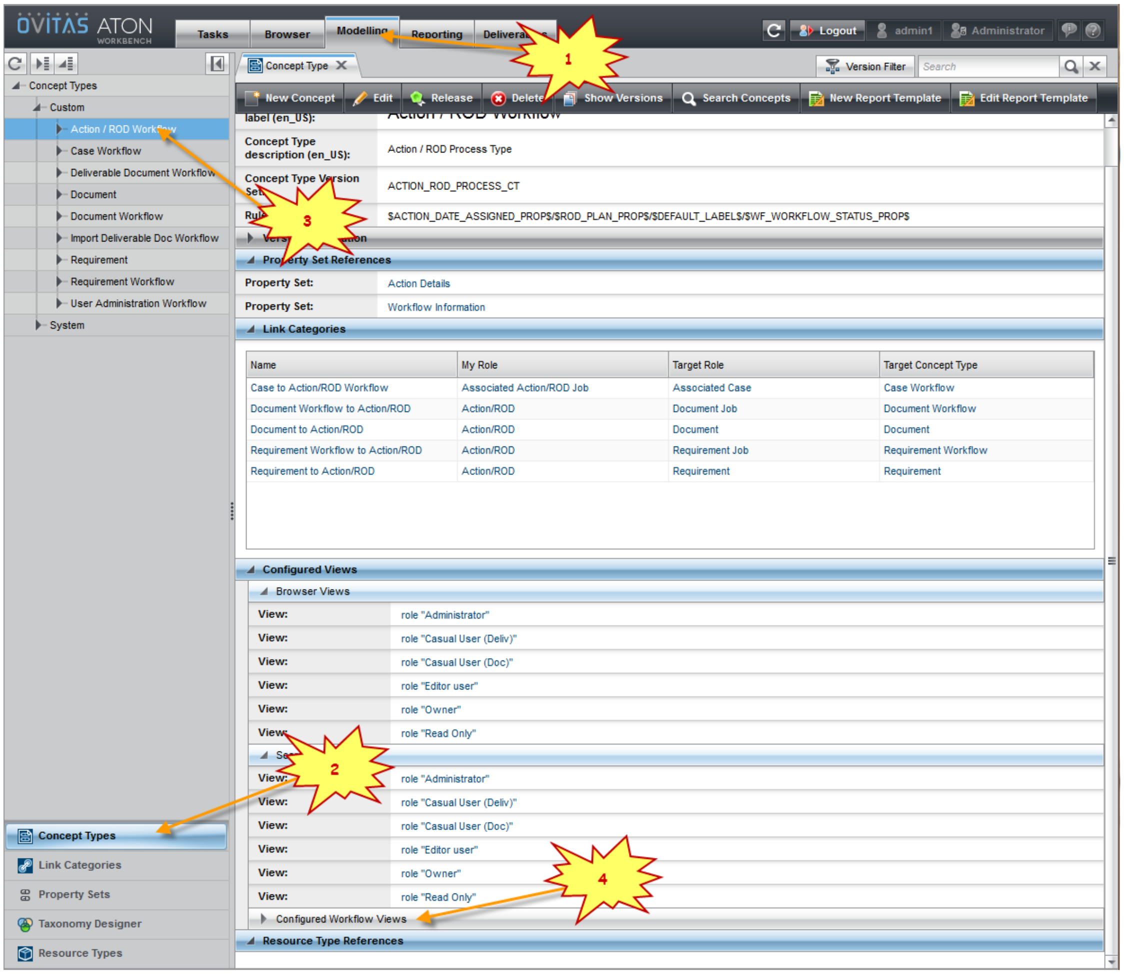
To change a property's status to editable/required/read-only, you have to modify the view corresponding to the Workflow Step.

a. Select the "Modeling" tab.

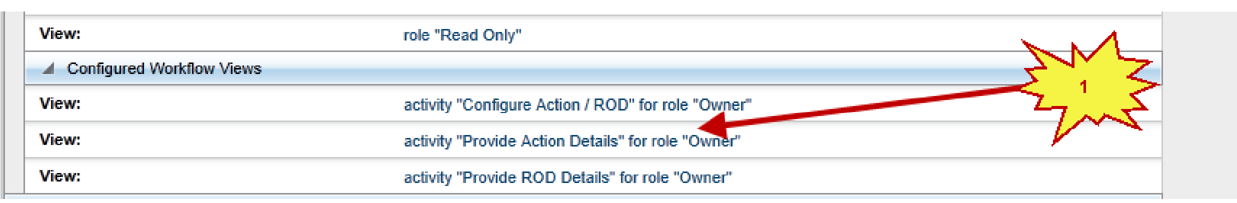
b. Select "Concept Types" from the bottom of the left panel.

c. Select the concept type from the concept type tree in the left panel.

d. Expand "Configured Workflow Views" in the right panel. This will show all of the workflow views for the selected concept type. If the selected concept type is not a workflow concept type, this will not appear.



e. Select the view that corresponds to the Workflow task you wish to modify. If you wish to change the property settings in all tasks you will have to modify each of the views.



f. When you select a view, it will show you a read-only view of the view. Click on the "Edit" button to modify the view.

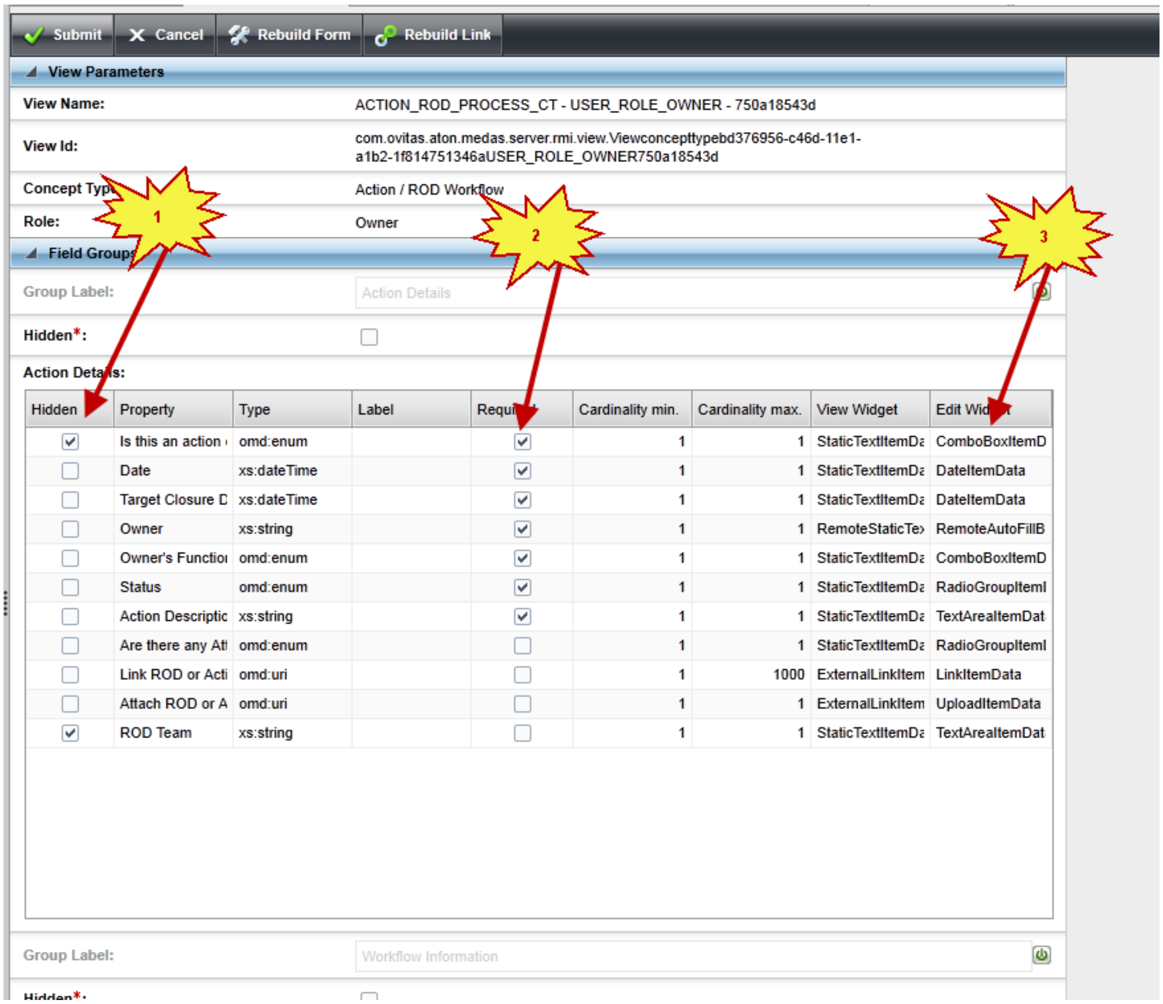
g. To make the property hidden (or un-hide it if it is already hidden), use the "Hidden" checkbox for that property.

h. To make the property required in that view (or not required if it is already required), use the "Required" checkbox for that property. Note that this will only modify the view. The Property Set can also denote whether a property in a property set is required or not. If a property is not required in ANY view then it should not be marked as required in the property set as this may cause the release operation to fail.

i. To make the property editable or read-only, you have to modify the Edit Widget. Note that depending on the Type, only certain widgets make sense. For example, you wouldn't want to select the widget DateItemData for a field of type String, as that widget is only for the type dateTime. The following Edit Widgets are read-only:

   i. RemoteStaticTextItem : this is the read-only people picker widget.

   ii. StaticTextItemData: use this for most other properties.



10. Add/modify Instructions

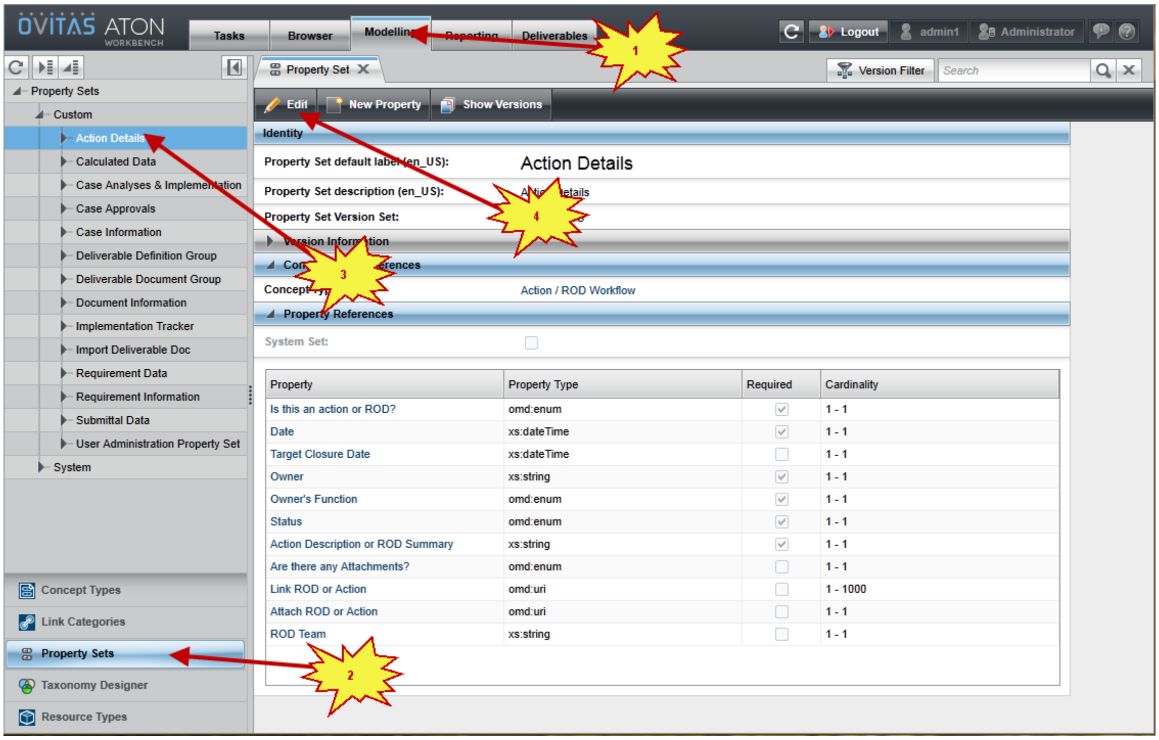
An Instruction is a property much like any other property. To add a property, you must modify the Property Set where that property will reside.

a. Select the Modeling Tab

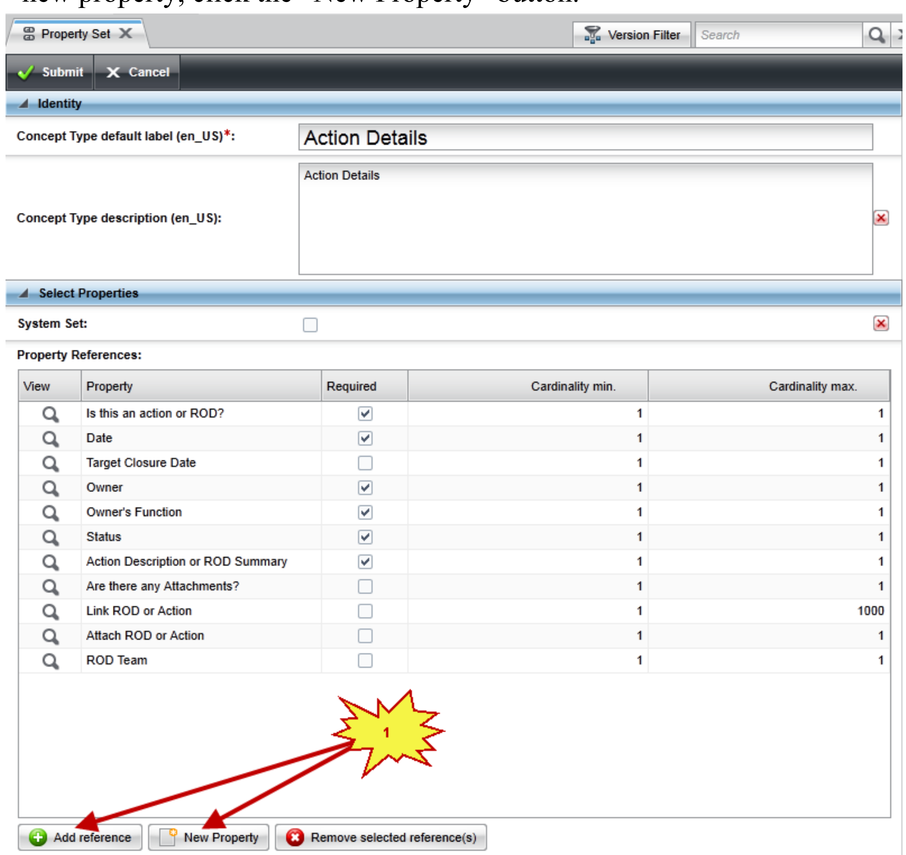
b. Select "Property Sets" from the bottom of the left panel.

c. Select the property set that you wish to modify

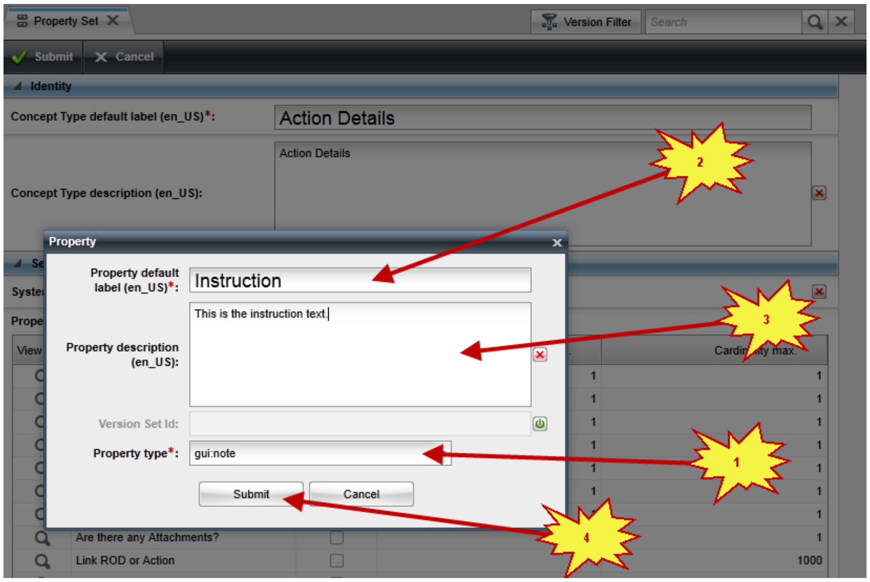
d. Click the "Edit" button.



e. To add a reference to an existing property, click the "Add reference" button. To add a new property, click the "New Property" button.



f. When adding an instruction, set the Property Type to "gui:note".
g. The Property default label should be set to the label that appears next to the instruction. As a convention, I like to use "Instruction" or "Warning".
h. In the Property Description, put the instruction text.
i. Click the Submit button.



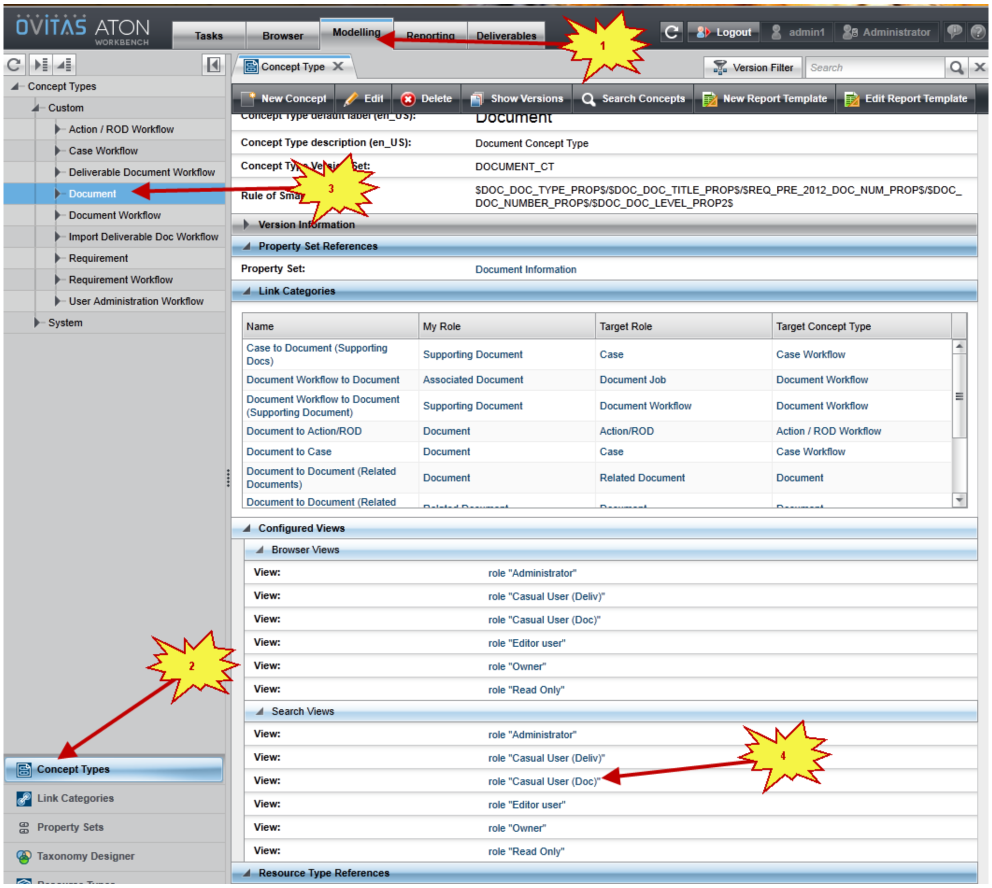
j. When the new property appears in the Property Set, you will have to assign a min and max cardinality. For instructions, this will be 1 and 1. You can also specify if the property is required. For instructions you want to make sure that the Required checkbox is not checked.
k. You can reorder the properties in the property set by dragging a property up and down the property set list. This will not change the views. After any property is added to a property set, each of the views will have to be modified to hide/unhide the property, change the widget from the default widget, etc.

11. Set default view settings: (Job lists at top of screen). Want to set up a default for View-Only, other Casual folk

The default job in the Tasks tab cannot contain a default. Each user may modify ordering of the columns by dragging them, or may hide columns by right-clicking on the header of the table.

The search results table is modified by changing the search view for each Concept/User Role combination.

a. Select the Modeling Tab
b. Select Concept Types from the bottom of the left panel.
c. Select the Concept Type that you wish to modify from the Concept Type tree in the left panel.
d. Select the view that corresponds to the Role that you wish to modify.



You can use the search view to hide which properties appear in the search masks for each Concept Type/User Role combination. This also restricts which properties appear in the Search Results table.

12. How to adjust reports

See Appendix C – this is rather cryptic and a draft. It may make little sense to a non-technical user.

VI. Revision History

Revision	Date	Who	Description
0	12-27-2014	L.J. Young	Initial

Appendix A: Copy of 29August 2012 email threads on generating list of users by role. (Item III.1)

SQL to generate RM User reports   RM database/After proj complete x

People (3)

Michael Kremer
mckremer@lbl.gov
Show details

Jeff Pouliot <Jeff.Pouliot@ovitas.com>   8/29/12
to mckremer, me, Kavita

Hi Michael,

Here is the SQL to generate the RM user reports.
There are two reports. They are basically the same except they order the results differently.
The first reports on all the users registered in the system and lists the groups that they belong to.
The second reports on all the groups in the system and the users that belong to that group.

```
-- report on the users and the groups they belong to
select usr_name, OWP_simple_db_user.usr_id, grp_name from
owp_simple_db_user_grp
left join OWP_simple_db_user on owp_simple_db_user_grp.usr_id = owp_simple_db_user.usr_id
left join owp_simple_db_group on owp_simple_db_user_grp.ug_id = owp_simple_db_group.grp_id
order by usr_name, grp_name;

-- report on the groups and the users contained in those groups.
select grp_name, OWP_simple_db_user.usr_id, usr_name  from
owp_simple_db_user_grp
left join OWP_simple_db_user on owp_simple_db_user_grp.usr_id = owp_simple_db_user.usr_id
left join owp_simple_db_group on owp_simple_db_user_grp.ug_id = owp_simple_db_group.grp_id
order by grp_name, usr_name;
```

Jeff Pouliot

Sr. Solution Lead

Ovitas, Inc.

Cell: +1-603-770-6289 / Fax: +1-781-272-0577 www.ovitas.com

Lydia Young <ljyoung@lbl.gov>   8/31/12
to Michael

can you test and/or verify that these are sufficient to extract the RM user reports?

Let me know - so I can close the task.

Thanks.
Lydia J. Young, Ph.D.
Requirements Management Program Manager
Office of Contractor Assurance
Lawrence Berkeley National Laboratory
(o) 510-486-6356
(c) 510-965-3467

Create Task...

Michael Kremer <mckremer@lbl.gov>   8/31/12
to me

Hello Lydia:

I tried the SQL statements in dev and they seem to work. Here is the output of the first one:

"USR_NAME"	"USR_ID"	"GRP_NAME"
"Abbott,Kim V"	"kvabbott"	"BSO POC"
"Administrator 1"	"admin1"	"Administrators"
"Amaden,Christopher"	"camaden"	"BSO POC"
"Basore,James D"	"jdbasore"	"Casual Docs"
"Bello,Madelyn"	"mtbello"	"RM Committee"
"Bello,Madelyn"	"mtbello"	"RMC Rep"
"Bonaguro,Joy Ellyn"	"jebonaguro"	"RM Committee"
"Young,Lydia J"	"ljyoung"	"Administrators"
"Young,Lydia J"	"ljyoung"	"RM Project Managers"
"Young,Lydia J"	"ljyoung"	"RMC Rep"
"view only"	"view_only"	"Casual View Only"

LJY note: copy of email is cropped….

And here is the second one:

"GRP_NAME"	"USR_ID"	"USR_NAME"
"Administrators"	"admin1"	"Administrator 1"
"Administrators"	"mckremer"	"Kremer,Michael C"
"Administrators"	"dstein"	"Stein,David"
"Administrators"	"ljyoung"	"Young,Lydia J"
"BSO POC"	"kvabbott"	"Abbott,Kim V"
"BSO POC"	"camaden"	"Amaden,Christopher"
"BSO POC"	"pmburke"	"Burke,Patrick M"
"BSO POC"	"jlbyrd"	"Byrd,Jacolyn L"
"BSO POC"	"macarr"	"Carr,Michael A"
"BSO POC"	"rwchapman"	"Chapman,Richard W"

Appendix B: Past Correspondence on People-Picker Scheduled Updates (Item III.2)

	Item	Issue Type	App Revision #	Date reported	Description	Date resolved/Comments	Ovitas Comments from Development Phase (pre-8 August)	Release Status
32	267	Tech - Support maintenance	2.2.9110.4022	8/6/12	Add "SmartLabel" column to Submit Deliverables list - make it first left column . [WF task/Scheduled Deliverables/Submit Deliverable --> List].	9/6 Jeff thinks he can handle same way as #206, and take about 1 day. 8/28 (LJY): SmartLabels are configured for	Right now, Can't put smartlabel in the inbox and there is no easy way to do this. Could be issues with some workflows because they start with no info (so smartlabel would be default label). We do the same	
33	356	change	2.2.1.10067.6032	6/4/13	Doc wf: insert non-LDAP approval			
34	348	new feature			Include ID numbers where names have been pulled from LDAP			
35	346	new feature			More complex logic in Search (AND, OR, NOT) within single			
36	271	Utility - Support maintenance	2.2.9110.4022	8/8/12	(Follow on to #261): As part of launching to broader set of users including alerts (#218 and #219), create utility that updates people-picker on some scheduled basis.	11/26 - "monitor" because we'd need a known change (like a new employee) to test 10/23 - test at "go live"	People Picker is updated when users are added to the groups associated with people picker. This should not be an issue.	No Action Required
	241	technical	4.7.10	7/17/12	Error in closing a "scheduled deliverable". It is caught in an un-released state. Selected "as required"		I am not seeing this here.	

Issues Tracker shows completion of scheduled updating of people-picker approximately 11/2012

On Mon, Aug 6, 2012 at 10:25 AM, Jeff Pouliot <Jeff.Pouliot@ovitas.com> wrote:

Hi Lydia,

We are working on the fix for #248.

#261: We manually populated the people_current table when the project started. We have not repopulated it as we want to preserve the emails as being set to your email. This issue will be resolved when we implement #219. When we implement #219 it will be updated from the data warehouse nightly. I can repopulate it again, but it will take some time.

I will update dev (with data from QA) but it might not happen until tomorrow morning.

We can easily strip the data out by doing an export and import. It requires one log into the Linux system and executing a coupl of script files we have. I can send the instructions if you are interested.

Jeff Pouliot

Sr. Solution Lead

Ovitas, Inc.

Cell: +1-603-770-6289 / Fax: +1-781-272-0577 www.ovitas.com

----

4 more

Jeff Pouliot

jeff.pouliot@ovitas.com

Show details

12/2014: For historical tracing, Issue 261 and 271 were tied to Issue 219 and the original "Go-Live" milestone (August, 2012). "Go-Live" included permitting alerts to go to owners.

Kavita Patil <Kavita.Patil@ovitas.com> 10/23/12

to me, Jeff, Michael

See my replies inline

From: Lydia Young [mailto:ljyoung@lbl.gov]
Sent: Tuesday, October 23, 2012 1:09 PM
To: Jeff Pouliot; Kavita Patil; Michael Kremer
Subject: Issue #271 - update of people picker - question

a. Is this on QA?
à No. Only DEV has the syncing with the datawarehouse setup, that too in a temp table (not used by the app)
b. What is frequency/schedule?
à Every day at midnight.

I have to change my LDAP password soon, and so I might as well test #271.
à The information synced with DW is Name, UserId and email address. Password is not stored in the people_current table. So we won't be able to test this anyways. Also if we put this on QA and sync the people_current table emails will start going to actual users.
Currently ALL email addresses are set to yours. So I suggest we keep it that way till go live.

Lydia J. Young, Ph.D.
Requirements Management Program Manager
Office of Contractor Assurance
Lawrence Berkeley National Laboratory
(o) 510-486-6356
(c) 510-965-3467

Create Task...

People (3)

Kavita Patil

kavita.patil@ovitas.com

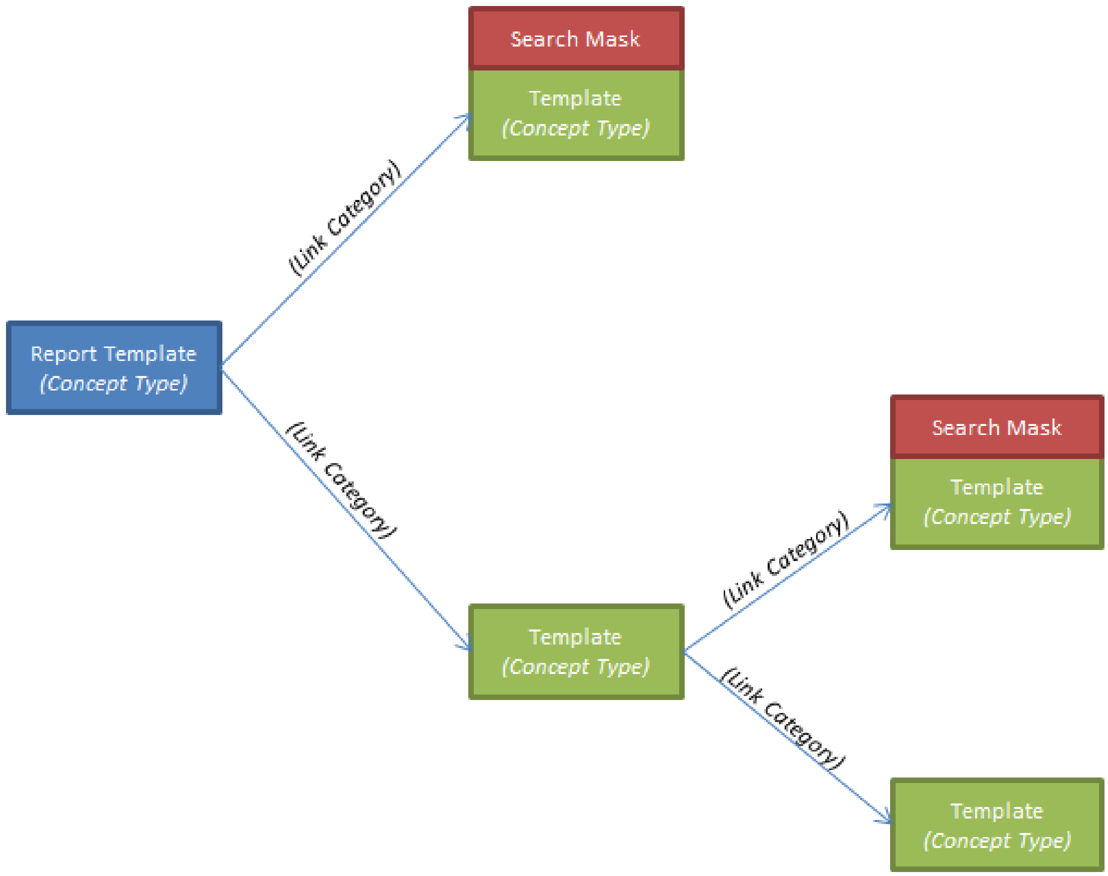
Show details

12/2014: DEV is not synch'ed.

<u>Appendix C</u>: Copy of 9 July 2012 Ovitas explanation of "Reports" (Item III.12)

Reports

Reports consist of a root **Report Template** defined for a specific Concept Type. This Report Template may also reference other **Templates** defined for specific Concept Types by specific Link Categories from the Report Template. Each of those Templates may in turn reference other Templates by additional Link Categories and so on. At any time a Template is referenced (with the exception of the root Report Template) an optional **Search Mask** may be applied in order to filter out specific content from the report. Below is a diagram showing the construction of a possible Report.

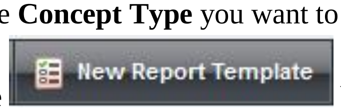


Templates

Templates, represented in the Report diagram above by the green boxes, always refer to a specific Concept Type. Users with appropriate permissions in the system can either **create** new Templates or **edit** existing Templates. Let's take a look at both sets of functionality.

Template Creation

To create a Template for a specific Concept Type

1. Go to the **Modeling** tab
2. Select the **Concept Type** you want to create a Template for
3. Click the 

button to open a editable template tab for your new template (note: this button will not appear if you do not have permissions to create a new Template)

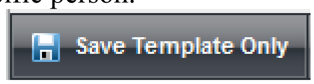
Each Template requires a **template name** for the Template (to indicate what the template should be used for, such as "Open Case Template" or "Policy Document Template"), and allows the user to select the **properties** you want to include in reports that use this Template (using the *include* checkboxes in the grid of properties), and define the **order** that those properties will be presented in reports that use this Template (by dragging and dropping properties into the order desired in the grid of properties).

The real power of Templates, however, lies in the ability to **chain Templates together** and use **Search Masks** to filter out irrelevant data.

In the **Linked Concept Type Settings** section of the Template editor you should see the Link Categories from the selected Concept Type to other Concept Types (if any exist).

You may assign a **Template** to the **Specify Report Template** field of any of these Link Categories, and by doing so you are indicating that whenever this template is used in a report, links of that specific Link Category type will be traversed and the resulting data at the end of the link will be included in the report and formatted using the template you assigned to the Link Category.

You may additionally assign a **Search Mask** to any Link Category with a Template assigned using its **Filter Results by Search Mask** field, which will filter out any links where the data at the end of the link doesn't meet the Search Mask's criteria. In this way it becomes much simpler to report on "open" cases or documents owned by a specific person.

Once finished, you can save your Template by using the 

button.

Template Editing

To edit an existing Template for a specific Concept Type

1. Go to the **Modeling** tab
2. Select the **Concept Type** you want to edit a Template for
3. Click the 

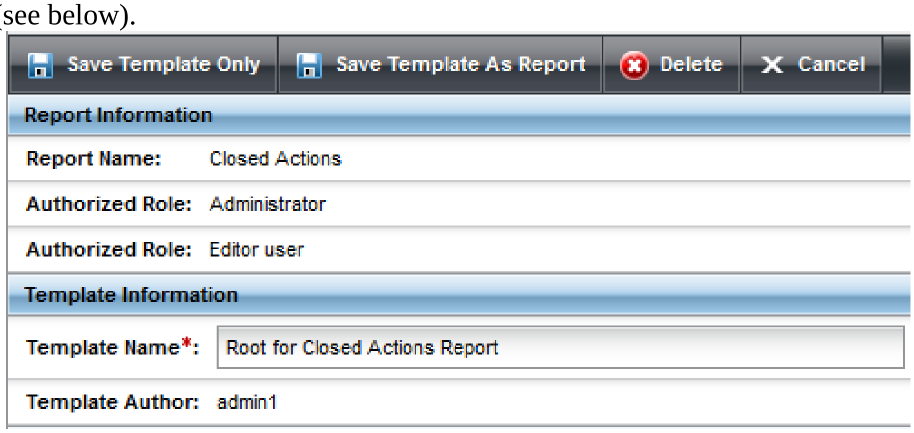
button and select the template you want to edit to open an editable template tab for the existing template (note: this button will not appear if no Template for the Concept Type exists or if you do not have permissions to edit any of the existing Templates)

An editor similar to the creation editor should appear and can be used in similar fashion.

Once finished, you can save your Template by using the 

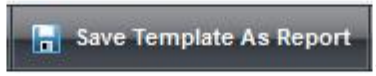
button.

Caution: When editing a Template you may see a **Report Information** section at the top of the page (see below).



This indicates that the Template you are editing is a **Report Template**. If you save this template using the 

button you will ***lose the report information set for this***

template. This may be desirable in some cases, such as when you want to turn off a report but use the Template in other reports. If you want to preserve the report information for a Report Template after editing, remember to select the 

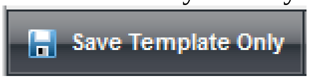
option instead.

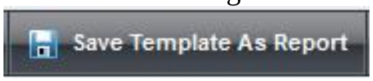
Report Templates

Report Templates, represented in the Report diagram above by the blue box, are Templates themselves with additional information to indicate

- That they can start a Report
- The users who have access to the Report

Report Template Creation

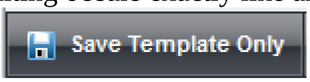
Report Template Creation occurs exactly like any other Template Creation with the exception that instead of using the 

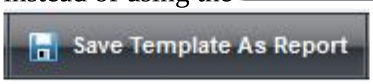
button to save the Template, you use the 

button to save the Template as a Report Template.

A user saving a Template as a Report Template will need to specify a **report name** for the Report Template, as well as select the **User Roles** who have permission to access the Report Template.

Report Template Editing

Report Template Editing occurs exactly like any other Template Editing with the exception that instead of using the 

button to save the Template, you use the 

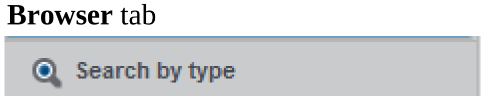
button to save the Template as a Report Template

A user saving a Template as a Report Template will need to specify a **report name** for the Report Template, as well as select the **User Roles** who have permission to access the Report Template.

Search Masks

Search Masks, represented in the Report diagram above by the red boxes, are filtering tools that allow you to select a subset Concepts from a specific Concept Type based on property values.

Search Mask Creation

1. Go to the **Browser** tab
2. Click the 

button
3. Select the **Concept Type** you want to create a Search Mask for to open an editable search tab

Each Search Mask requires the user to set the restrictions for the Concept Type's **properties**.

Once finished, the Search Mask can be saved using the 

button.