Applying the Rational Unified Process:  
A Web Service Sample

The Rational Unified Process (RUP) is a disciplined approach to engineering a piece of software. In this article, we’ll walk through using the RUP and related products from Rational to develop a sample application. We’ll describe the process used by the imaginary Catapulse Pacific Bank to migrate their currency exchange services onto the Web by providing a Web service — a component that runs on a server and can be invoked using an XML-based, operating system–independent protocol. Where relevant, we’ll briefly describe the key technologies used to develop the project.

If you’re new to the RUP, you’ll find this sample useful as a starting point. Readers already familiar with the RUP (who may want to skip the next section) will be able to observe the RUP in action as applied to relatively new technologies.

About the RUP

The RUP is flexible and scalable enough to be applied to projects of varying sizes. Moreover, it’s fairly independent of the type of software being developed. You can apply the RUP to standalone applications, client/server applications, and Web applications with equal facility.

In this article, we’ll look at the key RUP roles *** You used “actor,” which I understand is now called “role” in the RUP; however, Kruchten (see Related Reading), p 36, seems to use “worker” (reserving “actor” for the context of use cases). I’ve left this as “role” for now, but should we really be using “worker” instead? ***, activities, and artifacts for our sample project. These are three of many terms defined in the RUP; most are self-explanatory, but a good source for additional information is the book *The Rational Unified Process: An Introduction*.

The RUP is an iterative rather than a sequential process. Nevertheless, it’s broken up roughly into four phases — inception, elaboration, construction, and transition — each of which can be cycled through multiple times. We’ll take our sample project through the first three phases and present artifacts to mark key milestones reached during these phases.

About Catapulse Pacific Bank

Catapulse Pacific Bank built its business on the basis of its currency exchange services in the 1980s and early part of the 1990s. Customers carried out currency exchange over the phone or on a walk-in basis at the bank. Soon, the popularity of the service prompted
Catapulse Pacific to open counters at other banks, malls, and international tourist attractions.

When the Internet emerged as a powerful medium of conducting business, Catapulse Pacific seized the opportunity to put its currency exchange services online. The benefits would be enormous. By making its services globally accessible and round-the-clock, the bank could save its customers the inconvenience of finding an exchange location, making sure they arrived during business hours, and waiting in line. Catapulse Pacific would also save on the operational costs of running counters at multiple locations.

The Beginning: Inception

At the very beginning of a project — the inception phase — the business-process analyst plays a key role. (Like all roles, this one can be played by a team of people as well.) The business-process analyst’s job is to capture the business requirements and the critical use cases for the project. Later we’ll see how another analyst — the system analyst — contributes to some of the artifacts created during this phase.

The Vision Document

A key artifact to emerge from the business-process analyst’s efforts is the vision document, which does the following:

- Describes the market and the reason or idea behind the product being developed.

- Defines the problem, explains the product concept, and positions the product vis-à-vis the company’s priorities.

- Lists the different types of stakeholders and customers that are important to the product. (Stakeholder means someone with a vested interest in the end result of the system — for example, clients, business partners, and investors.) Thumbnail sketches of the different stakeholder and customer types describe the nature of their involvement in the system, why they’re interested in the end result, and what deliverables they’re expecting. This information allows subsequent roles involved in the project to identify the type of people they should be collecting input from and what needs to be delivered to them at various points in the project.

Since projects can produce copious output in the form of documents, Rational provides an application, called Rational RequisitePro, that not only manages requirements but also acts as a repository for all the documents generated during any phase of the system. (The documents are actually Microsoft Word documents, although you can access them only through RequisitePro; we’ll learn more about RequisitePro in a moment.) Table 1 sums up the key points about the vision document; a similar table follows the description of each artifact introduced in this article.
### The Business Glossary

At the same time that the vision document is being written, another artifact is taking shape: the **business glossary**. This document keeps track of terms and acronyms specific to the problem domain, explaining terms that may be unfamiliar to the reader of the use case descriptions or other project documents. Functioning as a project dictionary of sorts, it’s constantly updated throughout the life of the project. This brings us to a key point: artifacts generated in the RUP are not static but rather dynamic pieces of information; they can be modified during an iteration of the phase (or phases) they belong to.

### Using RequisitePro

Before you can create the first document in RequisitePro, you must identify the different types of documents that the project will produce. You do this by choosing Properties from the File menu and then clicking the Document Types tab; you can create new document types from there.

It’s not necessary to define all document types at the beginning of a project. You can come back and set up new types later. It’s good practice to decide on the minimal set of
documents your project requires and create document types for them up front, then create additional types as the need evolves.

**The Business Use-Case Model**

The business-process analyst also captures use cases during the inception phase, in the **business use-case model**. The use cases are focused around business entities; in other words, the analyst looks at the use cases the way a customer would. Use-case diagrams and other Unified Modeling Language (UML) diagrams are best captured in Rational Rose.

<table>
<thead>
<tr>
<th>Phase</th>
<th>Artifact</th>
<th>Roles</th>
<th>Rational product used</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inception</td>
<td>Business use-case model</td>
<td>Business-process analyst</td>
<td>Rational Rose</td>
</tr>
</tbody>
</table>

| Table 3: Business use-case model |

If you start Rose and load the sample use-case model referred to in this table, you can take a look at the use cases for Catapulse Pacific Bank. Rose takes you first to the main class diagram. One possible area of confusion when using Rose is that the program doesn’t impose any kind of sequence in the way the system is modeled. Although this flexibility is generally a good thing, there tends to be no clear path in reading a Rose file. For our project, the first diagrams you should navigate to (through the top-left pane) are those in the Use Case View folder, in its Business Use-Case Model subfolder. There you’ll find these uses cases:

- **Global View**, which outlines the higher-level features offered by the system
- **Account Manager**, which captures the functions related to creating and maintaining customer accounts

**Moving On: The Elaboration Phase**

We’re ready to collect additional requirements during the **elaboration** phase. Whereas the focus is on high-level requirements during the inception phase, the focus during the elaboration phase is on more detailed, lower-level requirements.

Like the business-process analyst, the system analyst is responsible for gathering requirements and capturing them using models like use cases. This analyst captures the needs of customers and shapes the system accordingly, and also captures interactions between use cases — not necessarily doing all this work personally, but at least ensuring that it gets done.
The system analyst contributes to two earlier documents, the vision document and the business glossary, and also produces two additional documents: the requirements management plan and the stakeholder requests document. These documents are essential to setting the stage before going out to elicit and capture requirements. Let’s take a closer look at each of these artifacts, and then at the actual requirements collection and creation.

**The Requirements Management Plan**

The requirements management plan (RMP) is sort of a “meta-requirements” document, in that it describes what type of requirements must be collected. In our sample, the system analyst decides to collect three types of requirements: features, needs, and change requests. Each requirement can be further described by properties such as importance, cost, and benefit. These properties are captured as attributes, and the RMP lists and describes each attribute for every type of requirement that will be collected.

<table>
<thead>
<tr>
<th>Phase</th>
<th>Artifact</th>
<th>Roles</th>
<th>Rational program used</th>
</tr>
</thead>
<tbody>
<tr>
<td>Elaboration</td>
<td>Requirements management plan</td>
<td>System analyst</td>
<td>Rational RequisitePro</td>
</tr>
</tbody>
</table>

**Table 4: Requirements management plan**

Once the requirement types have been established, you must enter them (along with their attributes) into RequisitePro. The first step is to add the requirement types themselves. You do this by choosing Properties from the File menu and then clicking the Requirements tab. After entering the requirement types, you can add their attributes by clicking the Attributes tab.

Ideally you’d be able to simply enter the information about requirements into RequisitePro and have it generate the RMP for you; however, since that’s not the case, you’ll need to make sure the information is consistent in both places: the RMP document and RequisitePro.

**The Stakeholder Requests Document**

Along with the RMP, the system analyst creates the stakeholder requests document, which is used in collecting the actual requirements (as we’ll see in the next section). The concept behind it is simple: you establish a set of questions, to be asked during a stakeholder interview, that will yield all the information needed to characterize a set of requirements. The stakeholder requests document lends structure to the process of requirements collection and analysis, thereby enabling the requirements to be categorized, prioritized, and documented consistently.
Table 5: Stakeholder requests document

Requirements Collection and Creation
Armed with the above documents, the team can go about collecting the requirements. A second iteration of the inception phase can occur at this time. Really? You’re in the elaboration phase but then you go back into the inception phase? Seems odd. I thought iterations happened within the same phase. to collect high-level requirements. The requirements collected during the elaboration phase must be sufficient detailed to enable the system architect and designer to construct the system in the next phase.

The requirements are created in RequisitePro, where the attributes of each requirement can now be assigned values. These requirements can then be used to generate the software requirements plan (SRP). Why is there no table or reference to the corresponding document(s) as for all the other documents? Also, doesn’t the RUP call this a software requirements specification, and isn’t that what the corresponding files are named in the Project subfolder? Our sample shows two iterations of an SRP document: one generated during the inception phase and another during the elaboration phase. What about the other two documents with “Software Requirements” in their names?

Also at this time, the business-process analyst can complete the business object model (captured under that name in the Logical View of the system in Rose). This object model describes the realization of business use cases. This is the first mention of the “business object model,” hence my explicitly introducing it here. But by “complete” this model, do you mean it was started in an earlier phase? In our sample, we use collaboration diagrams to model the three key functions to be provided by the system: advertise currency, buy currency, and sell currency.

Design and Implementation: The Construction Phase
Once a sufficient set of requirements has been captured, the design and implementation of the system may begin, in the construction phase of the development lifecycle. During the design, we match our customers’ requirements with existing technology to see how we can best build the system. In our sample, we use the Microsoft .NET Framework to produce a Web service. A Web service is a component that runs on a server and can be invoked using the Simple Object Access Protocol (SOAP), an XML-based, operating system–independent protocol. Microsoft .NET offers an implementation of SOAP over...
HTML (hence the name web service). Results from the Web service are returned in XML.

Catapulse Pacific Bank will (in addition to moving account management online) provide a Web service to allow online currency exchange. It’s expected that third-party banks or financial institutions will use this Web service and offer it to their clients as part of their services. In such cases, the client that consumes the Web service may be a script that’s embedded in a vendor’s Web page.

Each customer of the system must have previously set up an account, which involves creating a debit account and a credit account. (These accounts can be the same but are internally tracked as two separate accounts.) When a currency exchange is made, the money is moved from the debit account, converted to the desired currency, and moved into the credit account.

Clients of the Web service can browse a list of available currencies and query the exchange rate of each one. When the client requests a currency exchange *** Is this what you meant by “an actual exchange”? I reworded it because you go on to say no transfer of funds takes place at this time, so this strikes me more as a request. ***, the Web service returns a transaction ID. Receipt of the transaction ID doesn’t guarantee a transfer of funds. The actual transaction may *** Why “may”? Do you mean, “If approved, the actual transaction (transfer of funds) will occur later”? *** occur later, but no later than in three hours.

As we’ll see in the following sections, we make heavy use of Rational Rose when designing and implementing the system.

**Design**

Rational Rose allows you to choose the most appropriate UML diagram for illustrating what you’re trying to convey. From the top-left pane in Rose, select the Design Model folder. *** I’m not sure I understand why there’s no table here as in all the other sections above. *** It has four subfolders, each one representing a different layer in the system and illustrated using the most appropriate diagram for that layer (see Table 6). As you can see, separating the design model into layers conveys an excellent breakdown of the system architecture.

<table>
<thead>
<tr>
<th>Layer</th>
<th>Contents of layer</th>
<th>Diagram used in Rose</th>
</tr>
</thead>
<tbody>
<tr>
<td>System software layer</td>
<td>Components such as operating systems, databases, and interfaces to specific hardware</td>
<td>Class diagram</td>
</tr>
</tbody>
</table>
### Table 6: Design model layers

<table>
<thead>
<tr>
<th>Layer</th>
<th>Description</th>
<th>Diagram</th>
</tr>
</thead>
<tbody>
<tr>
<td>Middleware layer</td>
<td>Components such as GUI builders, interfaces to database management systems, platform-independent operating system services, and OLE components (such as spreadsheets and diagram editors)</td>
<td>Class diagram</td>
</tr>
<tr>
<td>Business-specific layer</td>
<td>Business-specific components, used in several applications</td>
<td>None for our sample</td>
</tr>
<tr>
<td>Application layer</td>
<td>Application-specific services and value-added software developed by the organization</td>
<td>Sequence diagram</td>
</tr>
</tbody>
</table>

A critical design artifact for our sample is the class diagram for the Web service, which can be found in the subsystem folder by that name in the design model’s Application layer. This diagram shows the Web service interface as defined in the business model. This is the first (and only) occurrence of “business model.” Should this term have been introduced earlier (or should it be “business object model”)? and then breaks down the various classes and their methods and properties. Elements can be copied in Rose between different folders (that is, phases of implementation), in which case Rose will cross-reference the element by tagging it with its origin; you can see this in the Web service interface diagram. The diagram also shows the various system modules that the Web service uses, allowing us to map dependencies between our modules and system services — dependencies that intimately affect development and deployment.

### Implementation

Our implementation is written in C# in Microsoft .NET or Visual Studio 7. Shouldn’t this match better with what’s shown in the last column below? (Pronounced “C sharp,” this language is based on C++ but was designed specifically with Web services in mind.) We used the Beta 1 version of the product. Which product? You just mentioned two products (or so it seems). So if you’re using a later beta version or the final release, you may encounter some differences in the implementation. For a step-by-step guide of how to build and test the Web service, see the accompanying document “Building and Testing the Web Service Sample.” Would this last paragraph be more appropriate at the end of this section, after the following activities of loading the source code file and looking at the Component View?
<table>
<thead>
<tr>
<th>Phase</th>
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<th>Roles</th>
<th>Program used</th>
</tr>
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<tbody>
<tr>
<td>Construction</td>
<td>Source code</td>
<td>Developers, testers, managers</td>
<td>Microsoft Visual Studio .NET Beta 1</td>
</tr>
</tbody>
</table>

**Table 7: Source code**

The roles mentioned in Table 7 are really categories of roles. The RUP specifies the different roles within each category. Loading the source code file referred to here into Visual Studio .NET will show the implementation of the Web service. Explaining how a Web service is written and executed is beyond the scope of this article, but you can consult some of the references provided ***Where?*** to gain a thorough understanding.

The implementation details of the system are captured in the Component View in Rose. This view is used to set up a description of the subsystems that make up in the implementation. Rose is more restrictive here in terms of the diagrams that can be used: the only one allowed is a component diagram, because the others don’t make sense in this context. The Currency Exchange Service diagram maps out the implementation of the sample.

**Documentation**

At this point, since you’re probably getting familiar with Rose, let’s explore another of its key features related to design. Rose allows a lot of documentation about the design to be embedded in the models themselves. Each element in Rose has associated documentation. To view the documentation, you first need to locate the element in a diagram. Each element is listed in the same view in which the diagram appears. For example, in the Implementation View under the component diagram, you’ll see each of the elements in the form of packages and components used in the diagram. Double-clicking any of these elements in this view will bring up the element’s specification, which contains additional documentation for that element. You can also bring up this specification by double-clicking the element from within the diagram itself.

If documentation is embedded throughout the Rose diagrams, you may wonder whether you have to navigate to every element to view all of it. Here the Rational Development Suite comes to the rescue with a report-generation utility called Rational SoDA. SoDA allows contents of the Rose file to be selectively saved to a Microsoft Word document. SoDA also works with RequisitePro; you can select the type of information you want from RequisitePro and use SoDA to save it to a Word file. Table 8 lists some SoDA reports that are part of our sample.

***Why no Phase, Roles, and Program Used columns as in the other tables?***
Design document SoDA report *** Title calls it the “WebService” system; compare to my comment below. ***

Use-case model survey SoDA report

Requirements summary SoDA report *** Is it a mistake that this report and the next call it the “WebRate” project? ***

Requirements details SoDA report

| Table 8: Sample SoDA reports |

**Summary**

We’ve seen how the RUP can be applied to a project that migrates a bank’s currency exchange services onto the Web. We’ve looked at the first three RUP phases — inception, elaboration, and construction — and the related roles, activities, and artifacts. Table 9 summarizes the artifacts that entered into our sample project.

<table>
<thead>
<tr>
<th>Phase</th>
<th>Artifact</th>
<th>Roles</th>
<th>Rational product used</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inception</td>
<td>Vision document</td>
<td>Business-process analyst, system analyst</td>
<td>Rational RequisitePro</td>
</tr>
<tr>
<td></td>
<td>Business use-case model (Use Case View &gt; Business Use-Case Model)</td>
<td>Business-process analyst</td>
<td>Rational Rose</td>
</tr>
<tr>
<td>Elaboration</td>
<td>Requirements management plan, stakeholder requests document</td>
<td>System analyst</td>
<td>Rational RequisitePro</td>
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<td>Source code</td>
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</tr>
</tbody>
</table>
Table 9: Summary of sample artifacts

In the fourth and final phase, transition, the software product is moved to the user community; for the sake of brevity, we’ve omitted exploring this phase of our sample project, but you can learn more about this phase and any other aspects of the RUP from the introductory RUP book or the RUP product itself.

Related Reading


- *** Any other references you’d like to add here? ***

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