

CEXEC eRecords Enabler v1.0 by CEXEC, Inc.

Enabler Summary Report

The Joint Interoperability Test Command tested CEXEC eRecords Enabler v1.0 by CEXEC, Inc., from 16 through 19 December 2002. The implementation was verified using version 6.6 of the RMA Compliance Test Procedures and is compliant with DoD 5015.2-STD, dated June 2002. All mandatory requirements were satisfied.

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1. Product Identification

CEXEC eRecords Enabler v1.0 (referred to as Enabler) integrates the records management capabilities of IBM Records Manager v2.0 (referred to as IBM RM) with the document management capabilities of Microsoft (MS) SharePoint Portal Server 2001 (referred to as SharePoint), and allows records to be stored in the SharePoint repository.

IBM RM is an integrated records scheduling and management engine. Administrators install IBM RM on the organization's server. Users can access IBM RM via the IBM RM-provided web interface.

SharePoint is a web-based application with document management capabilities providing a range of document management functions. Its integration with IBM RM gives SharePoint users the ability to declare documents as records and then use IBM RM to control the life cycle of the records.

The entire Enabler solution, as tested, consisted of the following component programs and utilities:

- CEXEC eRecords Enabler v1.0
- CEXEC eRecords Office Add-in Program
- IBM Records Manager v2.0 (formerly Tarian eRecordsEngine v2.0)
- Microsoft SharePoint Portal Server 2001

1.1 Allocation of RMA Requirements

Table 1 identifies the mandatory functions required by DoD 5015.2-STD and indicates which of those functions Enabler performs, which IBM RM performs, which SharePoint performs, and which are performed jointly or separately.

Table 1. Mandatory Functions Allocation					
DoD 5015.2-STD		Enabler	IBM RM	SharePoint	Comments
Para	Requirement				
C2.1.1.	Managing Records	✓	✓	✓	Jointly
C2.1.2.	Accommodating Dates and Date Logic		✓	✓	Separately
C2.1.3.	Implementing Standard Data		✓		
C2.1.4.	Backward Compatibility				Not Tested ¹
C2.1.5.	Accessibility		✓		
C2.2.1.	Implementing File Plans		✓		
C2.2.2.	Scheduling Records		✓		
C2.2.3.	Declaring and Filing Records	✓	✓	✓	Jointly
C2.2.4.	Filing E-mail Messages	✓	✓		Jointly
C2.2.5.	Storing Records	✓	✓	✓	Jointly
C2.2.6. Retention and Vital Records Management					
C2.2.6.1.	Screening Records		✓		
C2.2.6.2.	Closing Record Folders		✓		
C2.2.6.3.	Cutting Off Record Folders		✓		
C2.2.6.4.	Freezing/Unfreezing Records		✓		
C2.2.6.5.	Transferring Records		✓		
C2.2.6.6.	Destroying Records	✓	✓	✓	Jointly
C2.2.6.7.	Cycling Vital Records		✓		
C2.2.6.8.	Searching and Retrieving Records	✓	✓	✓	Jointly
C2.2.7.	Access Controls	✓	✓	✓	Jointly
C2.2.8.	System Audits		✓		
C2.2.9.	System Management Requirements		✓		Performed by the operating system and DBMS

¹ This test was the first test against this requirement. Test data from a previous system was not available.

2. Test Configuration

The test located at the CEXEC facility in Dulles, Virginia, consisted of:

- One personal computer (PC) running the Microsoft (MS) Windows 2000 Server (SP3), MS SharePoint Portal Server 2001 (SP1), IBM Records Manager v2.0 (SP1), CEXEC eRecords Enabler v1.0, MS IIS 5.0, and ASP 3.0.
- One PC running MS Windows Advanced Server (SP2), SQL Server 2000 (SE), Active Directory, and Primary Domain Controller.
- One client PC running MS Windows 2000 Professional (SP3), MS Office XP, MS Outlook 2000, MS Internet Explorer (IE) 5.5 (SP2), and Netscape 7.0.
- One client PC running MS Windows 98 (SE), MS Office 2000, MS Outlook 2000, MS IE 6.0 (SP1), and Netscape 6.1.

3. RMA Mandatory Requirements

3.1 *Managing Records [C2.1.1.]*

Enabler manages electronic, e-mail, and non-electronic records. Electronic and e-mail records are stored in the SharePoint repository. Descriptive information about the records is stored in a relational database.

3.2 *Accommodating Dates and Date Logic [C2.1.2.]*

The Enabler solution stores and displays dates using a 4-digit year format, and recognizes leap years, including the year 2000. It accepts user input of valid dates from current, previous, and future centuries.

3.3 *Implementing Standard Data [C2.1.3.]*

IBM RM provides all required elements necessary to implement the standard data as specified in the June 2002 version of DoD 5015.2-STD.

3.4 *Backwards Compatibility [C2.1.4.]*

This is the first test for this product against the June 2002 version of DoD 5015.2-STD²; therefore, test data from a previous test was not available to verify backwards compatibility.

3.5 *Accessibility [C2.1.5.]*

IBM provided the 508 Voluntary Product Accessibility Templates (VPATS) provided as Appendix C in the detailed test report. SharePoint's VPATs are available at http://www.microsoft.com/usa/government/SharePointPortalServer2001_VPAT.doc

3.6 *Implementing File Plans [C2.2.1.]*

IBM RM provides all required elements necessary to implement the file plan.

3.7 *Scheduling Records [C2.2.2.]*

IBM RM provides all required elements necessary to schedule records.

² Backwards Compatibility is a new requirement in the June 2002 version of DoD 5015.2-STD.

3.8 Declaring and Filing Records [C2.2.3.]

Enabler provides two methods for declaring and filing records: the SharePoint interface and the Enabler MS Office Add-in Program. At the time of filing, a unique record identifier and a date/time stamp is assigned to each record. The date/time stamp serves as the required Date Filed profile field. Users cannot modify either field.

3.9 Filing E-mail Records [C2.2.4.]

Enabler provides an MS Outlook add-in that facilitates the filing of e-mail messages. Enabler presents three options for filing e-mail:

- **Single Record:** Stores the e-mail as an .msg file (which includes the attachments).
- **File and Attachment Separately:** Stores the e-mail (without attachments) as an .msg file and, in addition, stores each attachment separately in its native file format.
- **Both:** Files the e-mail with all attachments as a single record and files each attachment as a record.

3.10 Storing Records [C2.2.5.]

The Enabler solution stores all records in the SharePoint repository. The permissions granted in IBM RM determine who has access to the records and what they can do with those records. Only users with appropriate access can delete records from the repository.

The Enabler solution utilizes IBM RM to store the file plan and record profile data in a relational database. MS SQL Server 2000 provided the database during the compliance test.

3.11 Screening Records [C2.2.6.1.]

IBM RM provides all required elements necessary to screen records.

3.12 Closing Record Folders [C2.2.6.2.]

IBM RM provides all required elements necessary to close record folders.

3.13 Cutting Off Record Folders [C2.2.6.3.]

IBM RM provides all required elements necessary to cut off record folders.

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

IBM RM provides all required elements necessary to freeze and unfreeze records and folders.

3.15 Transferring Records [C2.2.6.5.]

IBM RM provides the tools necessary to determine when records are due for transfer or accession. IBM RM sends a command to SharePoint telling it to write the selected records to a user-specified directory. SharePoint writes the records to that directory. SharePoint records are then destroyed.

3.16 Destroying Records [C2.2.6.6.]

IBM RM provides the tools necessary to determine which records and/or folders are due for destruction. After the records manager confirms the intent to destroy records, IBM RM sends a command to SharePoint telling it to destroy the selected records. Records cannot be reconstructed once they have been deleted.

3.17 Cycle Vital Records [C2.2.6.7.]

IBM RM provides all required elements necessary to cycle vital records.

3.18 Searching and Retrieving Records [C2.2.6.8.]

Users search for records by accessing the SharePoint or IBM RM search utility through the Enabler-enhanced SharePoint user interface.

The user can extract a copy of any electronic document filed through the Enabler-enhanced SharePoint user interface. Documents may also be extracted using the IBM RM user interface, if desired.

3.19 Access Control [C2.2.7.]

The Enabler solution utilizes IBM RM to provide all required elements necessary to control access to records. In this test, the Enabler-integrated IBM RM provided macros to control access based on supplemental markings or user-defined fields, such as "Project Name." Only users with the correct access permissions were allowed to see certain documents.

3.20 System Audits [C2.2.8.]

IBM RM provides system auditing capabilities.

3.21 System Management Requirements [C2.2.9.]

MS Windows 2000 Server, MS Windows 2000 Advanced Server and the MS SQL 2000 Server database management systems provide the required system management capabilities.

4. Non-Mandatory Features Demonstrated

CEXEC demonstrated the following non-mandatory features of Enabler. See the "Tarian eRecordsEngine v2.0 DOD 5015.2-STD Compliance Detailed Report" for details about additional features provided by IBM RM.

4.1 Bulk Load Capability [C3.2.2.]

CEXEC eRecords Bulk Load Program, a program included with CEXEC eRecords Enabler, allows users to bulk load and declare documents from a NTFS repository to a Microsoft SharePoint records repository.

4.2 Interface to Other Software Applications [C3.2.3.]

The Enabler solution offers a user interface through SharePoint. Users are able to navigate to all records function pages via SharePoint. The Enabler solution uses the Windows Active Directory Users and Groups and eliminates the need for users to log into IBM RM separately.

4.3 On-line Help Capability [C3.2.5.]

Both SharePoint and IBM RM provide on-line documentation. Users access on-line help via a Help hyperlink from the main form and then can access the contents, index, or search feature.

4.4 File Plan Component Selection/Search Capability [C3.2.10.]

Enabler allows users to search on documents (non-records) only, records only, or documents and records together. IBM RM allows users to select the record file plan component type (e.g. document, email, folder, file) to search on. Users are able to perform both simple and advance searches.

4.5 Workflow/Document Management Feature [C3.2.11.]

SharePoint has workflow and document management features. The workflow features include serial or parallel routed workflow for review and approval. The document management features include check-in, check-out, and publish. Enabler, with SharePoint and IBM RM, provides version control at both the document (non-records) and record levels.

4.6 Internal Viewer Capability [C3.2.14.]

SharePoint and IBM RM have the capability to launch the appropriate internal viewer in the user's system when a document is opened.

4.7 Web Capability [C3.2.15.]

The Enabler solution is web-based and available through IE 5.0 or higher, and Netscape 6.1 or higher browsers, and requires MS IIS to serve the pages.

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