

Documentum Records Manager (RM) v4.1 by Documentum, Inc.

Documentum RM v4.1 Summary Report

The Joint Interoperability Test Command (JITC) tested Documentum Inc.'s Documentum RM Version (v) 4.1 records management application (RMA) at the Documentum facility in Ottawa, Canada, from 21 June through 1 July 2004 using version 7.0 of the RMA Test Procedures.

JITC also tested the product combination of Documentum RM v4.1 with EMC Corporations EMC Centera v2.2 (Service Pack [SP] 2). EMC Centera served as the record repository.

JITC verified Documentum RM v4.1 and the product combination of Documentum RM v4.1 and EMC Centera v2.2 (SP2) as compliant with Chapter 2, Mandatory Requirements, of the Department of Defense 5015.2 Standard, "Design Criteria Standard for Electronic Records Management Software Applications," dated 19 June 2002.

TABLE OF CONTENTS

- Section 1. Product Identification
 - Section 2. Test Configuration
 - Section 3. RMA Mandatory Requirements
 - Section 4. Non-Mandatory Features Demonstrated
-

1. Product Identification

Documentum RM v4.1 is a stand-alone records management application. The Documentum software package, as tested, consisted of the following component programs and utilities:

- Documentum RM v4.1
- Crystal Reports (Must be purchased separately)*

* Documentum RM v4.1 ships with the run time version of Crystal Reports. Administrators who design report templates need to purchase the full version of Crystal Reports separately. Documentum RM v4.1 supports Crystal Reports v8 or v9.

2. Test Configuration

The Documentum RM software package, as tested, consisted of the following component programs and utilities.

- Documentum RM v4.1
- Crystal Reports (Must be purchased separately. Documentum RM v4.1 ships with the run-time version of Crystal Reports. To fully meet the reporting requirements of DOD 5015.2-STD, organizations must purchase a full version of Crystal Reports. Documentum RM supports Crystal Reports v8.0 or v9.0.)

EMC Centera v2.2 (SP2) served as the record repository during follow-on testing.

3. RMA Mandatory Requirements

3.1 *Managing Records [C2.1.1.]*

Documentum RM manages electronic, non-electronic, and e-mail records. It stores electronic records in its repository and maintains them in their original, native file format. Users maintain records stored on other media, such as paper, diskette, or tape by adding metadata through the user interface.

When used in combination with EMC Centera, Documentum RM stores electronic records in EMC Centera.

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

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

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

Documentum RM provides the capability to implement standardized data. Records managers create data entry templates. They can assign default values to metadata fields and can also assign default templates to users. In addition, they can create pick lists to assist the user in filling out the templates.

The records manager can configure Documentum RM with all the data elements as defined in DoD 5015.2-STD. The records manager can also configure Documentum RM with additional fields for custom use. Custom fields are added to the data entry templates using the Documentum RM Profile Designer. The records manager or system administrator can modify the order in which the fields appear on the template.

3.4 *Backward Compatibility [C2.1.4.]*

JITC verified backward compatibility by loading the Documentum RM v3.1 database into Documentum RM v4.1.

3.5 *Accessibility [C2.1.5.]*

Documentum RM's statement of compliance with Title 36 of the Code of Federal Regulations, Parts 1194.21 and 1194.31, is provided as Appendix C in the detailed test report.

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

Documentum RM provides the required capabilities for creating and maintaining disposition instructions and file plans. Documentum stores the information in a relational database. Disposition instructions are assigned to record plan components when creating the file plan categories. If a disposition instruction is assigned at the file level, components under that level inherit the same disposition instruction unless another disposition instruction is specified for that component. Access to the associated Documentum RM functions is granted/restricted through the assignment of privileges to groups and/or users using Access Control Lists (ACLs). Documentum RM provides support for multiple levels of file plan access. During the test, "privileged" users were able to create and manage folders.

3.7 Scheduling Records [C2.2.2.]

Documentum RM tracks the disposition schedules for screening and disposition processing. Records managers reschedule files by assigning a different disposition instruction to the file or by altering the retention period (which reschedules all records associated with that schedule). If the records have previously been qualified under a previous retention rule, they must be unqualified and re-qualified under the new rule.

3.8 Declaring and Filing Records [C2.2.3.]

Documentum RM provides several methods for filing records. Users can file directly into the Documentum RM repository from within the main client by navigating to the appropriate file category, right clicking, and selecting "New" and "Electronic Document" or "Non-Electronic Document."

Users select the most appropriate template to add the record metadata. Users also have the option of filing records to Documentum RM using Windows Explorer. They can choose the document to be filed and select "File to Records Manager" from the menu. Users can also drag and drop files from Windows Explorer onto the Documentum RM application.

In addition, Documentum RM provides an MS Office plug-in for filing records to Documentum RM from within MS Word, MS Excel, and MS PowerPoint. Users select "RM File" on the toolbar, select the appropriate template, and complete the record metadata to file the record.

Users can also use personal or shared selection lists to file records to Documentum RM. Users configure their own personal selection list and file directly from the pre-set list.

At the time of filing, Documentum RM assigns a unique record identifier and a date/time stamp 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 Messages [C2.2.4.]

Documentum RM provides the capability to file e-mail messages from MS Outlook using the Documentum RM MS Outlook Plug-In. Documentum RM automatically captures message transmission and receipt data to populate the Author/Originator, Addressee(s), Publication Date, and Subject record profile fields.

When filing Outlook e-mail that has an attachment(s), Documentum presents the user with 2 filing options:

- **E-mail Only.** Stores the e-mail only as an .msg file. Users can save attachments to their hard drives and file them as any other electronic document.
- **E-mail and Each Attachment as a Record.** Stores the e-mail as an .msg file (which includes the attachments) and, in addition, stores each attachment separately in its native file format.

Documentum RM also allows users to file e-mail upon sending, if desired.

3.10 Storing Records [C2.2.5.]

Documentum RM uses the server's NT File System (NTFS) for storing and preserving electronic records. The ACL permissions assigned at the series, file, and folder levels 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.

Documentum RM stores file plan and document profile data separately from the actual records in a relational database. MS SQL Server 2000 (SP2) and Oracle 9i provided the databases during the compliance test.

JITC also tested the Documentum RM with EMC Corporation's EMC Centera v2.2 (SP2) as the repository. This combination allowed users to file and retrieve records, and worked with Documentum RM as required during transfer and destruction processes.

3.11 Screening Records [C2.2.6.1.]

Records managers perform screening functions using the Migration and Disposition Query template. From here, Record Managers design queries and reports for information relating to records that are qualified for disposition, including migration, transfer/accession, or destruction. Records managers can enter a future date to calculate disposition for planning purposes.

3.12 Closing Record Folders [C2.2.6.2.]

Documentum RM provides authorized users (records managers and privileged users) with tools to close record folders. Authorized users close folders by editing the properties of the record folder.

3.13 Cutting Off Record Folders [C2.2.6.3.]

To cutoff record folders, records managers select the folder they wish to perform cutoff on and change the "Status" metadata for that folder to "Inactive". By cutting off the folder, all records within that folder are cutoff as well.

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

Documentum RM provides the ability to freeze and unfreeze records at all levels of the file plan. If a record series is frozen, all files, folders, and documents in that series do not qualify for disposition processing.

If a record is frozen after it has already been qualified for disposition, when the records manager performs the final disposition action, the record will not be transferred or destroyed.

3.15 Transferring Records [C2.2.6.5.]

Documentum RM supports multiple phased transfers by allowing Records Managers to export documents due for intermediate transfer. The documents and metadata are copied to transfer media and the documents are removed from the repository. When the next transfer or destroy phase is due, the records will re-qualify and the metadata can be copied out again. Documentum RM allows records managers to configure up to six phases using the Custom Field capacity on the Retention Period table.

To search for folders due for accession or transfer, the records manager queries the database using the Export Query. Documentum RM presents a list of records that qualify for transfer and the records manager verifies that they should be transferred. Documentum RM then writes the affected electronic records and record metadata to a user specified directory and deletes these items from the repository if that option is selected. The extracted metadata is in XML format.

3.16 Destroying Records [C2.2.6.6.]

In Documentum RM, records eligible for transfer/accession or destruction are aggregated together. Therefore, records managers are advised to process records for transfer/accession and destruction separately.

To destroy records, records managers follow the same process as described above using the "Migration and Disposition Query" screen. Documentum RM presents the results of the query and records managers select and verify the records to be destroyed. Documentum RM deletes the records from the repository and database.

3.17 Cycling Vital Records [C2.2.6.7.]

To cycle vital records in Documentum RM, the records manager retrieves records with a specific cycling date using the Vital Records Review Manual Utility module. Records managers enter a reference date, a review cycle (monthly, yearly, etc.), a mailbox, e-mail address, and the name of the MS Exchange Server.

When records managers click "OK," an e-mail is automatically generated and sent to the specified mailbox. Attached to the e-mail is a report of folders and records due for cycling.

3.18 Searching for and Retrieving Records [C2.2.6.8.]

Documentum RM provides the required capability for searching for and retrieving records. Inter-field operators are available in the event the user wants to perform nested searches. Users also have an opportunity to select exactly what fields should be presented in the search results.

Documentum allows users to export copies of the records to their hard drives.

3.19 Access Controls [C2.2.7.]

Records managers assign Documentum RM functional access to files and folders at the user and/or group level using ACLs. ACLs are set at the record category or folder level to assign filing and/or search and retrieve access to users/groups.

Documentum RM supports multiple-user access. During much of the certification test, two users worked simultaneously performing various functions including filing system maintenance, document filing, record retrieval, reporting, and disposition activities.

3.20 System Audits [C2.2.8.]

Administrators determine what events to log for each Documentum RM object type. Examples of audited events include create, edit, delete, file plan maintenance functions, move, copy, and view profile.

Documentum can also audit user events such as create, edit, delete, login, logout, and failed login. Documentum RM collects the audit metadata specified in the Standard, however, it does not collect sufficient data to adequately reconstruct a user's attempt at unauthorized access.

3.21 System Management Requirements [C2.2.9.]

MS Windows 2000 Server (SP3) and the MS SQL Server 2000 (SP2) and Oracle 9i database management systems provide the required system management capabilities.

4. Non-Mandatory Features Demonstrated

4.1 Making Global Changes [C3.2.1.]

Documentum RM provides the capability to make global changes to Documentum RM objects. Global changes are an extension of reporting. Once users generate reports, they can perform a mass update on the report results by selecting the desired files. Documentum RM presents a template with all fields available to the object through which users perform the global change.

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

Documentum RM includes a Microsoft Office plug-in for MS Word, Excel, and PowerPoint. Users can file records to Documentum RM by selecting the "Documentum" toolbar button from within the application.

They can also perform a search of the Documentum RM repository from within Word, Excel, or PowerPoint by pressing the "Documentum" toolbar button.

4.3 Report Writer Capability [C3.2.4.]

Documentum RM has a generic reporting capability. Users perform searches in the database on any metadata field using the Documentum RM Search module. Users can also perform advanced searches using inter-field operators. They specify the sort order and configure the search results list in the User Preferences module, prior to executing the search.

Additional reporting capability is available to Records managers using a combination of the Documentum RM Report Query and Crystal Reports.

4.4 On-Line Help Capability [C3.2.5.]

Documentum RM provides on-line documentation. Users access help from the Help menu available from every Documentum RM screen. Users can search the contents, index, or search on a topic of their choice.

4.5 Retrieval Assistance Capability [C3.2.9.]

Documentum RM provides an advanced search capability accessible to all users through the Documentum Search module. Users can perform a search on any metadata field and use inter-field operators of narrow the search results list. Users can save their search criteria for frequent use.

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

Documentum RM provides the capability to perform a search of the Documentum RM file plan. Users perform a File Query search to retrieve a list of file plan components to which they have access.