FileSurf v7.50 by MDY Advanced Technologies, Inc. with PowerDOCS v4.0 by Hummingbird, LTD

FileSurf/PowerDOCS Summary Report

The Joint Interoperability Test Command (JITC) tested the integration of MDY Advanced Technologies, Inc.'s FileSurf v7.50 with PowerDOCS v4.0 by Hummingbird, LTD at the MDY Advanced Technologies, Inc.'s facility in Fair Lawn, New Jersey on 31 January 2003. The implementation was verified using version 6.8 of the Test Procedures and was compliant with DoD 5015.2-STD, dated June 2002. All mandatory requirements were satisfied.

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1. Product Identification

FileSurf/PowerDOCS is an integrated records management system. PowerDOCS is a document management system with a full range of document management capabilities. Its integration with FileSurf gives organizations the ability to manage PowerDOCS documents as records.

The FileSurf/PowerDOCS software package, as tested, consisted of the following component programs and utilities:

- FileSurf v7.50
- PowerDOCS v4.0
  - PowerDOCS Server (Fusion v4.01 (SP1))
  - PowerDOCS DesktopClient v4.0 (SP7)

1.1 Allocation of RMA Requirements

Table 1 identifies the mandatory functions required by the Standard and indicates which of those functions are performed by FileSurf, which are performed by PowerDOCS, and which both products perform either jointly (both share the function) or separately (both perform the function independently).

Table 1. Mandatory Functions Allocation				
	DoD 5015.2-STD	**FileSurf**	**PowerDOCS**	**Comments**
Para	**Requirement**			
C2.1.1.	Managing Records	✓		
C2.1.2.	Accommodating Dates and Date Logic	✓	✓	Separately
C2.1.3.	Implementing Standard Data	✓	✓	Separately
C2.1.4.	Backward Compatibility			Not Tested[1]
C2.1.5.	Accessibility	✓	✓	Separately
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	✓		
C2.2.5.	Storing Records	✓		
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	✓		
C2.2.6.7.	Cycling Vital Records	✓		
C2.2.6.8.	Searching and Retrieving Records	✓		
C2.2.7.	Access Controls	✓		
C2.2.8.	System Audits	✓		
C2.2.9.	System Management Requirements			Performed by the operating system and DBMS

2. Test Configuration

The baseline test configuration consisted of:

- One server running the Microsoft (MS) Windows 2000 Server (SP3) operating system (OS), MS SQL Server 2000 (SP2), MS Exchange 2000, and Fusion v4.01 (SP1).
- One server running the MS Windows 2000 Server (SP3) OS and Internet Information Server (IIS) 5.0.
- One server running the MS Windows 2000 Server (SP3) OS and Lotus Notes Mail 5.08.
- One client PC running MS Windows 2000 Professional (SP3). Installed software included MS Office 2000 (SP2), MS Outlook 2000, Lotus Notes Mail 5.10, Internet Explorer 6.0, FileSurf Administrator, FileSurf Desktop Client, and PowerDOCS v4.0 (SP7).
- One client PC running MS Windows NT 4.0 Workstation (SP6a). Installed software included MS Office 2000 (SP2), MS Outlook 2000, Lotus Notes Mail 5.10, Internet Explorer 5.5, FileSurf Administrator, FileSurf Desktop Client, and PowerDOCS v4.0 (SP7).
- One client PC running MS Windows XP. Installed software included MS Office XP, MS Outlook 2002, Lotus Notes Mail 5.10, Internet Explorer 5.5, FileSurf Administrator, FileSurf Desktop Client, and PowerDOCS v4.0 (SP7).

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

3. RMA Mandatory Requirements

3.1 Managing Records [C2.1.1.]

PowerDOCS manages electronic documents. When a document is declared a record and assigned a FileSurf file code, it is transferred to the FileSurf repository and deleted from the PowerDOCS repository. It then becomes accessible from the FileSurf user interface and can be searched on and retrieved for viewing. E-mail records are filed through and stored in FileSurf. Users maintain records stored on other media, such as paper, diskette, or tape by adding metadata through the FileSurf user interface.

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

FileSurf and PowerDOCS store and display dates using a 4-digit year format, and recognize leap years including the year 2000. Both products accept user input of valid dates from current, previous, and future centuries.

3.3 Implementing Standard Data [C2.1.3.]

FileSurf provides the required elements necessary to implement standard data. Records managers can configure PowerDOCS with most of the record metadata elements as defined in DoD 5015.2-STD. When paired with FileSurf, PowerDOCS data elements can be mapped to FileSurf. Records managers create custom fields in PowerDOCS to exactly match those created in FileSurf. They can create pick lists for user-defined fields in both products to assist the user in filling out the templates.

The pairing does not offer the capability to constrain selection lists presented to users when filing through PowerDOCS. Users must complete fields configured with constrained selection lists on the FileSurf profile before filing the record.

3.4 Backward Compatibility [C2.1.4.]

This is the first test for this integrated system against version two of DoD 5015.2-STD[2], therefore test data was not available to verify backwards compatibility.

3.5 Accessibility [C2.1.5.]

Hummingbird provided the 508 Voluntary Product Accessibility Templates (VPATS) provided as appendices to the detailed test report. FileSurf's VPATS are included as an appendix to the JITC "FileSurf v7.50 DOD 5015.2-STD Compliance Detailed Report."

3.6 Implementing File Plans [C2.2.1.]

FileSurf provides the required capabilities for creating and maintaining disposition instructions and file plans. For more information, see the JITC "FileSurf v7.50 DOD 5015.2-STD Compliance Detailed Report."

3.7 Scheduling Records [C2.2.2.]

FileSurf provides the required capabilities for scheduling records. For more information, see the JITC "FileSurf v7.50 DOD 5015.2-STD Compliance Detailed Report."

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[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.]

To file electronic documents as records from PowerDOCS to FileSurf, users first import electronic documents into the PowerDOCS application. Users bring electronic documents into PowerDOCS using the Import function, or they can choose to save electronic documents into PowerDOCS using the Office Integration capability available in MS Word, PowerPoint, and Excel. When users decide to file the document as a record in FileSurf, they highlight the document in PowerDOCS and choose "Declare as Record" from the FileSurf menu option.

FileSurf presents a record profile screen. All mapped metadata information from the PowerDOCS profile is inserted in the FileSurf profile. At this point, if users wish to assign metadata to a field that is configured with constrained selection lists, e.g., Supplemental Markings, they can populate the field and file the record. When a document is declared a record, it is transferred to the FileSurf repository and deleted from the PowerDOCS repository.

At the time of filing, FileSurf 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.]

FileSurf provides the required capabilities to file e-mail messages as records. For more information, see the JITC "FileSurf v7.50 DOD 5015.2-STD Compliance Detailed Report."

3.10 Storing Records [C2.2.5.]

FileSurf stores electronic, non-electronic, and e-mail records in its own repository. When an electronic document in PowerDOCS is declared as a record in FileSurf, PowerDOCS transfers the record and the metadata to FileSurf and deletes all references to the document from the PowerDOCS repository.

FileSurf stores 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.]

FileSurf provides the required capabilities to screen records. For more information, see the JITC "FileSurf v7.50 DOD 5015.2-STD Compliance Detailed Report."

3.12 Closing Record Folders [C2.2.6.2.]

FileSurf provides the required capabilities to close record folders. For more information, see the JITC "FileSurf v7.50 DOD 5015.2-STD Compliance Detailed Report."

3.13 Cutting Off Record Folders [C2.2.6.3.]

FileSurf provides the required capabilities to cut off record folders. For more information, see the JITC "FileSurf v7.50 DOD 5015.2-STD Compliance Detailed Report."

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

FileSurf provides the capabilities to freeze and unfreeze records. For more information, see the JITC "FileSurf v7.50 DOD 5015.2-STD Compliance Detailed Report."

3.15 Transferring Records [C2.2.6.5.]

FileSurf provides the capabilities necessary to transfer records. For more information, see the JITC "FileSurf v7.50 DOD 5015.2-STD Compliance Detailed Report."

3.16 Destroying Records [C2.2.6.6.]

FileSurf provides the capabilities necessary to destroy records. For more information, see the JITC "FileSurf v7.50 DOD 5015.2-STD Compliance Detailed Report."

3.17 Cycling Vital Records [C2.2.6.7.]

FileSurf provides the required capabilities necessary to cycle vital records. For more information, see the JITC "FileSurf v7.50 DOD 5015.2-STD Compliance Detailed Report."

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

FileSurf provides the required capabilities necessary to search for and retrieve records from its repository. After the "Declare" function is applied to a PowerDOCS document (making it a record), the document and metadata are transferred to the FileSurf repository and removed from the PowerDOCS repository. For more information on searching and retrieving records, see the JITC "FileSurf v7.50 DOD 5015.2-STD Compliance Detailed Report."

3.19 Access Controls [C2.2.7.]

FileSurf provides the required capabilities necessary to control access to records. For more information, see the JITC "FileSurf v7.50 DOD 5015.2-STD Compliance Detailed Report."

3.20 System Audits [C2.2.8.]

FileSurf provides system auditing capabilities. For more information, see the JITC "FileSurf v7.50 DOD 5015.2-STD Compliance Detailed Report."

3.21 System Management Requirements [C2.2.9.]

Operating systems (MS Windows 2000 Server) and the MS SQL 2000 Server database management system provided the required system management capabilities.
