

# Hummingbird Enterprise v5.1.1 by Hummingbird, LTD

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## Hummingbird Enterprise v5.1.1 Summary Report

The Joint Interoperability Test Command (JITC) tested Hummingbird, LTD's Hummingbird Enterprise Version (v) 5.1.1, a stand-alone records management application (RMA) at the Hummingbird facility in Tallahassee, Florida, from 18 through 28 August 2003. The implementation was verified using version 7.0 of the Test Procedures and was compliant with DOD 5015.2-STD, dated June 2002. All mandatory requirements were satisfied.

In addition, JITC tested Hummingbird Enterprise v5.1.1 for compliance with Chapter 4, Management of Classified Records. All mandatory requirements of Chapter 4 were satisfied.

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## 1. Product Identification

Hummingbird Enterprise v5.1.1, hereafter referred to as Hummingbird Enterprise, includes document and records management as well as business intelligence for reporting. Hummingbird includes a security module that can be configured to handle the management of classified records. Organizations have the option of implementing Hummingbird Enterprise with or without activating the security module.

## 2. Test Configuration

The baseline test configuration consisted of:

- One server running MS Windows 2000 Server (SP3) and Hummingbird NTSS v5.1.1.
- One server running MS Windows 2000 Server (SP4), Hummingbird DM Server v5.1.1, Hummingbird RM Server v5.1.1, Hummingbird Development Tools, Hummingbird DM Server Admin Tools v5.1.1, and MS SQL 2000 Client (SP3a).
- One server running Windows 2000 Server (SP4), Hummingbird DM Web Server v5.1.1, Hummingbird RM Web Server, and Hummingbird Imaging v5.1.1.
- One 2000 server running MS Windows 2000 Server (SP4) and MS SQL 2000 Server (SP3a).
- One server running MS Windows 2000 Server (SP4) and Lotus Notes 6.0.
- One server running MS Windows 2000 (SP4) and MS Exchange 2000 (SP3).
- Four client PCs running Windows 2000 Professional (SP4), MS Office 2000 (SP3), MS Outlook 2000 (SP3), Lotus Notes 6.0, Hummingbird Enterprise v5.1.1, Hummingbird BI v5.1.1, and MS IE 5.5 (SP2).

- One client PC running MS Windows XP Professional (SP1a), MS Office SP (SP2), MS Outlook XP (SP2), Lotus Notes 6.0, Hummingbird Enterprise v5.1.1, Hummingbird BI v5.1, and MS IE 6.0 (SP1).

The baseline configuration for Hummingbird Enterprise was tested with the Security Module inactive. In subsequent configurations, JITC repeated the certification test with the security module activated.

### **3. RMA Mandatory Requirements**

#### **3.1 *Managing Records [C2.1.1.]***

Hummingbird Enterprise 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.

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

Hummingbird Enterprise 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.]***

Hummingbird Enterprise provides the capability to implement standard data. Records managers create data entry templates. They can assign default values and pick lists to user-defined metadata fields to assist the user in filling out the metadata profiles.

Hummingbird Enterprise can be configured with all the data elements as defined in DOD 5015.2-STD. The records manager can also configure Hummingbird Enterprise with additional fields for custom use.

#### **3.4 *Backward Compatibility [C2.1.4.]***

This is the first test for this product against version two of DOD 5015.2-STD<sup>1</sup>, therefore test data was not available to verify backwards compatibility.

#### **3.5 *Accessibility [C2.1.5.]***

Hummingbird Enterprise provided the 508 Voluntary Product Accessibility Templates (VPATS) provided as Appendix C in the detailed report.

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

Hummingbird Enterprise provides the required capabilities for creating and maintaining disposition instructions and file plans.

Disposition instructions are created separately and assigned to file plan components when creating the file plan categories. If a disposition instruction is assigned at the record category level, components under that level inherit the same disposition instruction unless another disposition instruction is specified for that component. Administrators may override parent level permissions where necessary.

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<sup>1</sup> Backwards Compatibility is a new requirement in the June 2002 version of DOD 5015.2-STD.

Access to the associated Hummingbird Enterprise functions is granted/restricted through the assignment of privileges to groups and/or users. Hummingbird Enterprise 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.]**

Hummingbird Enterprise automatically tracks the disposition schedules for screening and disposition processing. Records managers reschedule categories by assigning a different disposition instruction to them or altering the retention period (which reschedules all records associated with that schedule).

### **3.8 Declaring and Filing Records [C2.2.3.]**

Users file directly into the Hummingbird Enterprise repository from the following:

- Hummingbird DM Extension
- MS Windows Explorer Extension
- MS Outlook Extension
- Hummingbird Webtop
- MS Office Extensions

At the time of filing, Hummingbird Enterprise 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.]**

Hummingbird Enterprise provides the capability to file e-mail messages from MS Outlook 2000, MS Outlook XP, and Lotus Notes 6.0. Hummingbird Enterprise automatically captures message transmission and receipt data.

When filing e-mail, Hummingbird Enterprise presents the user with the following options:

- **Save message(s) body:** Allows the user to save only the message body in the native e-mail format.
- **Save attachments:** Used in conjunction with the "Save message(s) body" option, saves the message body and attachments in the native e-mail format.
- **Save attachments separately:** Allows users to select which attachments to save and presents a profile for each attachment.

Hummingbird Enterprise also allows users to file e-mail upon sending, if desired.

### **3.10 Storing Records [C2.2.5.]**

Hummingbird Enterprise uses the server's NT File System (NTFS) for storing and preserving electronic records. The permissions assigned at the category, folder and document 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.

File plan and document profile data are stored separately from the actual records in a relational database. MS SQL Server 2000 provided the database during the compliance tests.

### **3.11 Screening Records [C2.2.6.1.]**

Records managers perform screening functions using the “Cycle Search” template. From here, they run queries for information relating to folders or records that are qualified for vital review, review, or disposition, including transfer, accession, or destruction. Records managers can enter a future date to calculate disposition for planning purposes. Hummingbird BI provides several “canned” screening reports that can be tailored to meet the organization’s needs.

### **3.12 Closing Record Folders [C2.2.6.2.]**

Hummingbird Enterprise offers records managers and privileged users the ability to close folders by assigning edit privileges to record category metadata. Privileged users can only close folders in the record categories in which they have been assigned folder management privileges. When the records manager checks the "Closed Flag" users are prevented from assigning new documents to that folder as it is no longer selectable.

### **3.13 Cutting Off Record Folders [C2.2.6.3.]**

To cut off record folders, records managers use the “Cycle Search” to search for folders due for cutoff. They select the folder they wish to perform cutoff on from the search results and select “Mark Complete” to perform the cutoff.

### **3.14 Freezing/Unfreezing Records [C2.2.6.4.]**

Hummingbird Enterprise provides the ability to freeze and unfreeze records at all levels of the file plan. If a record series is frozen, records managers are not able to perform disposition functions on those items.

### **3.15 Transferring Records [C2.2.6.5.]**

Records managers define multiple phases within the disposition instructions to distinguish between record transfers and record accessions. In both cases, the records are removed from the repository; however, records managers can choose to retain the metadata of the transferred records in the system. . The export creates a copy of the records due for transfer, along with an XML output of record metadata in the RMA until receipt of successful transfer is received. To search for folders due for accession or transfer, the records managers access the “Cycle Search” query screen and design an appropriate query. Hummingbird Enterprise presents a list of items meeting the criteria. Records managers select “Mark Complete” to complete the action. Hummingbird Enterprise then writes the affected electronic records and record metadata to a user specified directory and deletes these items from the repository and database. The extracted metadata is in XML format.

### **3.16 Destroying Records [C2.2.6.6.]**

To destroy records, records managers use the “cycle search” query and design a query for records due for destruction. They select “mark complete” for the desired items. Hummingbird Enterprise then deletes the records from the repository and database. Records cannot be reconstructed once they have been deleted.

### **3.17 Cycling Vital Records [C2.2.6.7.]**

Hummingbird Enterprise provides the ability to gather records based on cycling dates and to do updates of cycle dates after records have been reviewed. There is logic attached to the vital record "Next Review" date field that will send e-mail to the records manager when the record folder is due for vital records review.

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

Hummingbird Enterprise 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 by using the Customizable Search Interface. Hummingbird Enterprise allows users to export copies of the records to their hard drives.

### **3.19 Access Controls [C2.2.7.]**

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

Hummingbird Enterprise 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 item type. Examples of audited events include create, move, permissions changed, delete, and copy. Hummingbird Enterprise can also audit user events such as create, edit, delete, login, and logout.

### **3.21 System Management Requirements [C2.2.9.]**

MS Windows 2000 Advanced Server and MS SQL 2000 provided the required system management capabilities.

## **4. Non-Mandatory Features Demonstrated**

### **4.1 Bulk Loading Capability [C3.2.2.]**

Hummingbird Enterprise offers a bulk load capability whereby file plans, documents, or databases can be loaded into the RMA.

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

Hummingbird Enterprise demonstrated application integration with MS Office 2000, MS Office XP, Lotus Notes 6.0, Hummingbird Portal, and Hummingbird Collaboration.

#### **4.3 Report Writer Capability [C3.2.4.]**

Authorized users are given reporting functionality from Hummingbird BI. A pre-defined report set is available for reporting on in-process documents and records throughout their lifecycle. Authorized users can also create their own custom reports that analyze record metadata, represented by the RMA data model supplied by Hummingbird BI. Report results can be saved into the Hummingbird repository.

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

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

#### **4.5 Document Imaging Capability [C3.2.6.]**

Hummingbird Imaging v5.1.1 allows users to open, annotate, and save images. Users can also use the OCR capabilities to prepare a document for full-text searching or for saving into text, RTF or MS Word format.

#### **4.6 Bar Coding Capability [C3.2.8.]**

Hummingbird Enterprise provides bar coding to help track and manage records. Users can associate barcodes with physical documents of any media type, folders, and boxes.

#### **4.7 Retrieval Assistance Capability [C3.2.9.]**

Hummingbird Enterprise provides the capability to refine simple searches by displaying the original search value(s) and allowing users to enter additional search values. Many other aspects of Hummingbird Enterprise assist in the retrieval of records.

1. Recently Used Documents – providing reference to recently used documents/records, files
2. Quick Searches provide users ways to save search criteria for re-use
3. Users can navigate areas of the file plan to which they have access, or they can browse Recently Used Files or Group Favorites.
4. Several search options enable simple or complex queries, including a Content Search option that simplifies complex Boolean query elements.

#### **4.8 File Plan Component Selection/Search Capability [C3.2.10.]**

Hummingbird Enterprise allows users to search on file plan components to assist users in filing to the proper location. Group and personal favorites are also supported through Workspace functionality.

#### **4.9 Workflow/Document Management Features [C3.2.11.]**

Hummingbird offers a set of workflow tools allowing users to define, automate, and manage processes associated with documents and records. Users can route documents/records in sequential, parallel, or broadcast mode. In addition, they can specify the time frame in which the route and each route member's tasks must be completed.

#### **4.10 *Print File Label Capability [C3.2.13.]***

Hummingbird Enterprise offers the capability of generating single labels or labels for groups of records.

#### **4.11 *Internal Viewer Capability [C3.2.14.]***

Hummingbird Enterprise incorporates an internal INSO viewer that allows users to view, zoom, and print over 200 formats including popular office automation suites, ASCII text, images, and PDF files.

#### **4.12 *Web Capability [C3.2.15.]***

Hummingbird Enterprise offers a Webtop application that allows users to perform many records management functions. Testers used MS Internet Explorer v5.5 and MS Internet Explorer v6.0 (SP1) during the certification test.

Application integration with common office applications is available through the Webtop. MS Office 2000 and MS Office XP were used during certification. Additionally, Hummingbird Portal offers web access to files.

#### **4.13 *Enhanced Support for Off-Line Records [C3.2.17.]***

Hummingbird Enterprise offers check-in and check-out tools that support off-line records management as well as inventory/census functionality.

### **5. Management of Classified Records**

Hummingbird Enterprise satisfied all Chapter 4 requirements. The following paragraphs highlight Hummingbird's implementation of specific Chapter 4 requirements.

#### **5.1 *Managing Classified Records [C4.1.]***

Hummingbird Enterprise provides the capability to manage classified records by activating the security module, which allows users to add metadata that describes the classified record and file it to the Hummingbird repository.

#### **5.2 *Mandatory Metadata [C4.1.1.]***

Hummingbird Enterprise comes with all the classified metadata elements as specified in Table C4.T1. of the Standard.

#### **5.3 *Classification Guides [C4.1.10.]***

Hummingbird Enterprise provides the capability to establish an automatically triggered classification guide. When a designated classification guide indicator is entered in the "Derived From" field, the "Reason(s) for Classification," "Initial Classification," "Current Classification," and "Declassify On" fields are automatically populated. Users only see those classification guide indicators that match their security profile.

#### **5.4 *Editing Records [C4.1.12.]***

Authorized users can search for classified records due for downgrade or declassification. If the classification status of the record changes, authorized users are allowed to edit the classified record metadata.

#### **5.5 *Restricted Data and Formerly Restricted Data [C4.1.13.]***

Hummingbird Enterprise provides the capability to handle classified records with the "Restricted Data" and "Formerly Restricted Data" supplemental markings. Hummingbird Enterprise prompts users to delete information in the "Downgrade" and "Declassify" fields when either of these markings are selected.

#### **5.6 *Record History Audit [C4.1.16.]***

Hummingbird Enterprise's record history audit captures replaced metadata values, and the user who entered that value. Users can view, copy, save, and print the audit log based on their access permissions. The capability to delete the audit log is reserved for authorized users only.

#### **5.7 *Access Control [C4.1.20.]***

Hummingbird Enterprise provides the capability to restrict access to records and their metadata based on access criteria. Users are assigned a classification (security) level of Top Secret, Secret, Confidential, or No Markings. Security levels are hierarchical, therefore, those users assigned a "Secret" security level will only see documents marked Secret and below.

Users are also assigned supplemental markings. Supplemental markings do not override a user's access, but work in conjunction with the user's designated classification level to partition access. Additionally, Hummingbird Enterprise has the ability to restrict access on user-defined fields.

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