

# IBM DB2 Records Manager v3.1 by IBM Corporation

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## IBM DB2 Records Manager v3.1 Summary Report

The Joint Interoperability Test Command (JITC) tested IBM Corporation's IBM DB2 Records Manager v3.1, a web-based records management application (RMA), at the IBM facility in Ottawa, Canada from September 29 through October 2, 2003. The implementation was verified using version 7.1 of the Test Procedures and was compliant with DoD 5015.2-STD, dated June 2002. All mandatory requirements were satisfied.

The JITC performed a supplemental test for Oracle 9i and SQL Server 2000 databases from 18 through 21 May 2004, on IBM DB2 Records Manager v3.1.2. Testers used version 7.1 of the Test Procedures and tested via an IBM-provided Virtual Private Network (VPN). All mandatory requirements were again satisfied.

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### 1. Product Identification

IBM DB2 Records Manager v3.1 (IDRM) is a web-based records management system designed for integration into document management and workflow environments. It can also be used as a stand-alone application.

### 2. Test Configuration

One test configuration supported both tests and consisted of:

- One personal computer (PC) running the Microsoft (MS) Windows 2000 Advanced Server (SP 3), and IBM HTTP Server 1.3.26 as the web server. Installed software included MS Exchange 2000, IBM DB2 Records Manager v3.1 and IBM DB2 v8.1
- One client PC running MS Windows 2000 Server. Installed software included MS Outlook 2000 (SP1), MS Internet Explorer 6, Netscape 7, and Mozilla 1.4.

The May test configuration added Oracle 9i and SQL Server 2000 to the server PC.

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

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

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

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

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

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

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

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

JITC verified backwards compatibility by upgrading from IBM Records Manager v2.1.1 to IBM DB2 Records Manager v3.1.

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

IBM Corporation provided the 508 Voluntary Product Accessibility Templates (VPATS) provided as appendices to the detailed test report.

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

IDRM provides the required capabilities for creating and maintaining a file plan through the File Plan Administration screen. File plan information is stored in a relational database and consists of series, files, folders, and documents.

Disposition instructions are encompassed in the Life Cycle Code. Life cycle codes are then assigned to the record plan components. If a life cycle code is assigned at the series level, components under that series inherit that code unless another life cycle code is specified for that component.

Access to the associated IDRM functions is granted/restricted through the assignment of privileges to groups and/or users. IBM provides support for multiple levels of file plan access. During the test "privileged" users were able to create and manage case folders.

#### **3.7 *Scheduling Records [C2.2.2.]***

IDRM provides the capability to schedule records and automatically tracks the disposition schedules for screening and disposition processing. Record lifecycles are implemented using phases through which each record must pass for the period of time designated in the associate lifecycle codes.

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

Users can file directly into the IDRМ repository from the web browser either by navigating to the appropriate file and clicking the “Add Target” icon, or by navigating directly to the “Document” tab and selecting the “Add” button. Users can then select whatever template they have access to for adding the record metadata.

At the time of filing, IDRМ 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 Records [C2.2.4.]**

IDRМ provides the capability to file messages from MS Outlook 2000. It automatically captures message transmission and receipt data to populate the Author/Originator, Addressee(s), Document Creation Date, and Subject record profile fields.

When filing Outlook e-mail that has an attachment(s), IDRМ presents the user with three filing options.

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

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

IDRМ uses the server's NT File System (NTFS) for storing and preserving electronic records. The permissions granted at the folder, file, and document level 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. IBM DB2 v8.1 provided the database during the certification test.

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

Records managers perform screening functions through the Life Cycle Operations screens. From here, they design queries and reports for information relating to the records' life cycle, such as finding folders due for cutoff, transfer, or destruction. IBM added a user-defined “Event Description” field to assist records managers in finding event-related folders.

Version 3.1 treats screening and disposition queries as batch jobs that can be scheduled to run at the Record Manager's convenience. The jobs can also run immediately and show the status on the status screen.

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

IDRМ offers records managers and privileged users the ability to close folders through the folder profile-editing screen.

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

To cutoff records, records managers search for all folders eligible for cutoff on a certain date (called the Reference Date). IDRМ gives the records manager an opportunity to verify the life cycle transition. If the records manager verifies the change, IDRМ applies the Life Cycle Date to the folder. By cutting off the folder, all records within that folder are cutoff as well. IDRМ creates two XML transition log files consisting of the metadata transfer file and the Life Cycle Operation Log file.

Records managers can also choose to perform cutoff at the file or series level, in which case all folders and documents under that file or series are cutoff.

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

IDRМ 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 in a folder is frozen, the folder will not qualify for disposition processing.

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

IDRМ distinguishes between record transfers and record accessions. Transfers are treated as interim transfers, where a record is sent to secondary storage but the organization retains responsibility for that record. In this case, the actual file is removed from the repository, but the record metadata is kept within IDRМ. When IDRМ accessions records, it surrenders ownership of the record to another authority and the files and metadata are removed from the repository.

Interim transfers are set up to execute before a record enters the specified phase of the lifecycle. IBM transfers the records out, but continues to track the lifecycle through accession or destruction.

To search for folders due for accession, the records manager queries the RMA. IDRМ presents a list of those folders and the records manager verifies they should be accessioned. IDRМ then writes the affected electronic files, a transmission log, and the folders and record metadata to a user specified directory. IDRМ deletes these items from the repository and database. The transmission log and metadata are in XML format.

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

To destroy records, the records manager searches on those folders due for destruction, selects them, and verifies that the folders should be destroyed. IDRМ then deletes the folders (and any records within those folders) from the repository and database.

Records cannot be reconstructed once they have been deleted.

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

IDRМ provides the ability to gather records based on cycling dates and to do bulk updates of cycle dates after records have been reviewed. During the test, IBM attached logic to the vital record review date fields that sent email to a specified records manager when the folders were due for vital records review.

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

IDRM 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. IDRM allows users to download copies of the record to their hard drives.

IDRM shows all versions and renditions available for retrieval and displays a message that a newer version is available. Users can access previous versions through the renditions screen.

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

Records managers assign IDRM functional access to folders, files, and records at the user and/or group level. IDRM supports multiple-user access. During some 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 IDRM object type. Examples of audited events include add, delete, life cycle transitions, copy, update, view, and move. IDRM can also audit user events such as log on, log off, failed log on, and each time a user initiates a life cycle management operation.

IBM collects the audit metadata specified in the Standard, however, it does not collect sufficient data to adequately reconstruct a user's attempts at unauthorized access.

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

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

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

### **4.1 Global Changes [C3.2.1.]**

IDRM provides the ability to make global changes to IDRM 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 and Bulk Operation. IDRM presents a template with all fields available to the object through which users perform the global change.

### **4.2 On-line Help [C3.2.5.]**

IDRM provides on-line documentation. Users access on-line help via a Help hyperlink from the main form and can access the contents, index, or search on the topic of their choice. Help was also available on every page of IDRM.

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

IDRM allows users to browse the file plan through the file plan administration tab and supports searches on specific file components through the search screen.

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

IDRM is a web-based solution. The application is available through MS Internet Explorer 6, Netscape 7, and Mozilla 1.4 and requires IBM HTTP Server 1.3.26 to serve the pages.

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