

TRIM Context v5.2 by TOWER Software

TRIM Context Summary Report

The Joint Interoperability Test Command (JITC) tested TOWER Software's TRIM Context v5.2, a stand-alone records management application (RMA) at the TOWER Software facility in Reston, Virginia from 21 through 24 June 2004. 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.

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1. Product Identification

TRIM Context v5.2, hereafter referred to as TRIM Context, is a stand-alone RMA.

The TRIM software package, as tested, consisted of the following programs and utilities:

- TRIM Context v5.2
- TRIM Master (Synchronization) Server
- TRIM Workgroup Server
- TRIM Event Processor
- TRIM Document Store

2. Test Configuration

The test configuration consisted of:

- One server running the Microsoft (MS) Windows 2000 Server Operating System (OS), MS SQL Server 2000, and TRIM Context v5.2.
- One server running the MS Windows 2003 Server OS, and TRIM Context v5.2 Services (TRIM Workgroup Server, the TRIM Master Server, the TRIM Event Server, the TRIM Document Content Indexes, and the TRIM Document Store.)
- One server running MS Exchange 2000.
- Two client Personal Computers (PCs) running MS Windows XP Professional. Installed software included MS Office 2003 Professional, MS Outlook 2003, and TRIM Context v5.2.

3. RMA Mandatory Requirements

3.1 *Managing Records [C2.1.1.]*

TRIM Context 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.]*

TRIM Context 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.]*

TRIM Context provides the capability to implement standard data. It allows the use of unlimited user-defined fields, with complete customization of data element labels for record profile entry templates, on-screen displays, and report output.

3.4 *Backward Compatibility [C2.1.4.]*

This is the first test for this product against version two of DoD 5015.2-STD¹, therefore test data was not available to verify backwards compatibility.

3.5 *Accessibility [C2.1.5.]*

TOWER Software provided the 508 Voluntary Product Accessibility Templates (VPATS) provided as Appendix C in the detailed test report.

¹ Backwards Compatibility is a new requirement in the June 2002 version of DoD 5015.2-STD.

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

TRIM Context provides the required capabilities for creating and maintaining disposition instructions and file plans. Disposition instructions are created separately and assigned to record plan components when creating the file plan categories. Subcomponents under that level inherit the same disposition instruction unless another disposition instruction is specified for that lower level component.

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

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

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

TRIM Context provides the capability to file both electronic and non-electronic records. TRIM Context allows users to file records through the main user interface or drag and drop files from Windows Explorer onto the TRIM icon on the desktop, complete the record profile, and file the record.

At the time of filing, TRIM Context 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.]*

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

When filing e-mail that has an attachment(s), TRIM Context allows the user to file the e-mail message and the attachment(s) as a single record, or file each attachment separately. Users can specify in the TRIM Context e-mail system options whether they want to use the e-mail or electronic record profile when filing attachments separately.

3.10 *Storing Records [C2.2.5.]*

TRIM Context uses the server's NT File System (NTFS) for storing and preserving electronic records. The permissions assigned at the file, 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 capabilities during the compliance test.

3.11 Screening Records [C2.2.6.1.]

TRIM Context provides record screening functionality via search functions. Templates guide the creation of both simple and advanced search queries. To find out which records and files have outstanding pending events, records managers must search by "pending event," specify the event type (transfer, destroy, etc.), and a reference date, user-defined date, or date range. Records managers can enter a future date to calculate disposition for planning purposes.

3.12 Closing Record Folders [C2.2.6.2.]

TRIM Context offers records managers and privileged users the ability to close folders by assigning edit privileges to folders. To close a folder to further filing, authorized users right click on the folder, select the "Details" menu, and then select the "Dates" option. They enter the current date and click "OK" to close the folder.

3.13 Cutting Off Record Folders [C2.2.6.3.]

When creating folders with time-based dispositions, records managers can add a user-defined "Cutoff Date" field to the folder profile to assist in screening for cutoff. When creating folders with event-based dispositions, records managers should also add either an "Event" field to place on the folders or add the event information to the "Notes" field.

To cut off record folders, records managers search on the appropriate field for folders due for cutoff as of a certain date or event. A list of folders matching the criteria will display. Records managers select the folder(s) they wish to perform cutoff on and enter the date in the "Cutoff Date" field. Records managers must also close the folder as described in 3.12 to prevent users from filing into the cut off folder.

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

TRIM Context provides the capability to freeze and unfreeze folders and records. If a hold is applied to a record folder or a single record contained within a folder, TRIM Context prevents records managers from disposing of the folder and/or records attached to the folder.

3.15 Transferring Records [C2.2.6.5.]

Records managers search the database for all records with a pending event of "Archive (Local, Interim, or Permanent)." They invoke TRIM Context's Retention function to physically process the records due for transfer. The records manager selects the records due for transfer and changes the disposition to Local, Interim, or Permanent Archive, based on the disposition schedule. Records managers then use TRIM Context's Export utility to export the records and their metadata to a user-specified directory.

3.16 Destroying Records [C2.2.6.6.]

Records managers search the database for all records due for destruction and invoke TRIM Context's Retention function to process the eligible records. The Retention function displays a template with the status of the last completed trigger (i.e., cutoff or closed). Records managers must change the disposition to "Destroy."

TRIM Context allows the records manager to delete the records from the repository and automatically updates the profiles to reflect the records destruction. Profiles of deleted records remain in the database by default; however, records managers can delete the profiles if desired. TRIM Context's audit log records all of the destruction transactions. Deleted records are not recoverable with a file recovery utility.

3.17 Cycling Vital Records [C2.2.6.7.]

TRIM Context provides the capability to gather records based on cycling dates and to do updates of cycle dates after records have been reviewed. When records managers create file plan categories and designate them as vital, TRIM Context prompts them to schedule a task to review the vital records. They specify a cycle period and assign a contact to receive an e-mail notification when the vital records need to be reviewed.

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

Simple searches in TRIM Context allow users to search on one value at a time, whereas advanced searches allow users to search using two or more values and the Boolean AND, OR, or NOT operators. Users can save frequently used searches and share them with others, if desired.

Users also have the opportunity to select exactly what fields should be presented in the search results view pane and specify the order. Records are retrieved based on the user's permissions.

The user can also extract a copy of the record to the workstation.

3.19 Access Controls [C2.2.7.]

TRIM Context provides several methods to control user access to records held in the repository. This control is managed in three ways: Security Levels, Supplemental Markings (Security Caveats), and Access Control. Combinations of these functions ensure that records can be held securely and can only be accessed by users with the permission to view or modify those records.

TRIM Context 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.]

TRIM Context offers the capability to perform two types of audit logging. The system audit log captures all activity that occurs in the repository to include record title, number and container changes, record movements, and record deletions. TRIM Context can also be configured so that a record's individual audit log is captured. The individual record audit trails can be configured differently from one record type to the next. The system administrator selects the events that are written to the system and individual record audit logs.

TRIM Context 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.]

The operating system (MS Windows 2003 Server) and database management systems (MS SQL Server 2000) provided the required system management capabilities.

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