

TRIM Context v5.2 by TOWER Software with Microsoft SharePoint Portal Server 2003 by Microsoft Corporation

TRIM/SharePoint Summary Report

The Joint Interoperability Test Command (JITC) tested the integration of TOWER Software's TRIM Context v5.2 Records Management Application (RMA) with Microsoft Corporation's Microsoft Windows SharePoint Portal Server 2003. BizTech Solutions, Inc. developed the web parts that enabled the integration. The test was conducted at the Tucson Airport-Palo Verde Holiday Inn in Tucson, Arizona, from 10 through 12 August 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.

TABLE OF CONTENTS

- [Section 1. Product Identification](#)
 - [Section 2. Test Configuration](#)
 - [Section 3. RMA Mandatory Requirements](#)
-

1. Product Identification

Microsoft SharePoint Portal Server 2003 provides web portal functionality through which organizations can establish a central point of access to share information. Its integration with TRIM Context v5.2 allows users to collaborate on documents and file them as records when they are complete.

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 TRIM Context, which are performed by SharePoint, and which both products perform either jointly (both share the function) or separately (both perform the function independently).

Table 1. Mandatory Functions Allocation				
Para	DOD 5015.2-STD Requirement	TRIM	SharePoint	Comments
C2.1.1.	Managing Records	✓		
C2.1.2.	Accommodating Dates and Date Logic	✓	✓	Separately
C2.1.3.	Implementing Standard Data	✓		
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	✓	✓	Jointly
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 test configuration consisted of:

- One server running Microsoft (MS) Windows 2000 Operating System (OS) and MS SQL Server 2000 (SP3a)
- One server running MS Windows 2003 Enterprise Server, Internet Information Services (IIS) 6.0, MS Share Point Portal Server 2003, Windows SharePoint Services 2003, and TRIM Context v5.2 Services (Synchronization, Workgroup, and Event Processor)
- One server running MS Windows 2003 Enterprise Server, MS Active Directory 2003, and MS Exchange Server 2003
- Two client Personal Computers (PCs) running MS Windows XP Professional. Installed software included MS Office 2003 Professional, Outlook 2003, TRIM Context v5.2, and Internet Explorer 6.0

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.]*

TRIM Context v5.2 provides all required capabilities for managing records. For more information, see the JITC "TRIM Context v5.2 DOD 5015.2-STD Compliance Detailed Report," dated September 2003.

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

TRIM Context and SharePoint 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.]*

TRIM Context provides the required elements necessary to implement standard data. Metadata elements added to record profiles in TRIM Context are available for population in the SharePoint interface, including any defaults or pick lists pre-defined in TRIM Context.

3.4 *Backward Compatibility [C2.1.4.]*

This is the first test for this integrated system against version two of DoD 5015.2-STD², therefore test data was not available to verify backwards compatibility.

3.5 *Accessibility [C2.1.5.]*

Microsoft Corporation provided the 508 Voluntary Product Accessibility Templates (VPATs) provided as appendices to the detailed test report. TOWER Software's VPATs are included as an appendix to the JITC "TRIM Context v5.2 DOD 5015.2-STD Compliance Detailed Report," dated September 2003.

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

TRIM Context provides all required capabilities for creating and maintaining disposition instructions and file plans. For more information, see the JITC "TRIM Context v5.2 DOD 5015.2-STD Compliance Detailed Report," dated September 2003.

SharePoint provides the capability for authorized users to create file folders.

3.7 *Scheduling Records [C2.2.2.]*

TRIM Context provides all required capabilities for scheduling records. For more information, see the JITC "TRIM Context v5.2 DOD 5015.2-STD Compliance Detailed Report," dated September 2003.

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

To file electronic documents as records from SharePoint to TRIM Context, users first select the "Add to TRIM Context" radio button and select the appropriate record type. Users are presented with the record entry form. They complete the record entry form using a combination of data entry and pick lists. Users click on "Create New Record" to save the record.

² Backwards Compatibility is a new requirement in the June 2002 version of DoD 5015.2-STD.

Alternatively, users may also file electronic documents from the SharePoint shared document workspace to TRIM. Once the user is ready to file the document as a record in TRIM, they select the "Submit to Context" menu option and complete the record entry form.

Users are able to file non-electronic documents from SharePoint to TRIM Context by selecting the Non-Electronic record type and following the same steps specified for filing an electronic record. In addition, users can file electronic versions, renditions, and superseding documents in SharePoint.

3.9 Filing E-mail Messages [C2.2.4.]

TRIM Context provides all required capabilities to file e-mail messages as records. For more information, see the JITC "TRIM Context v5.2 DOD 5015.2-STD Compliance Detailed Report," dated September 2003.

3.10 Storing Records [C2.2.5.]

At the time of filing, SharePoint removes the document from the SharePoint repository and writes it to the TRIM Context repository. Permissions granted in TRIM Context 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.

TRIM Context stores the file plan and record profile data 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 all required capabilities to screen records. For more information, see the JITC "TRIM Context v5.2 DOD 5015.2-STD Compliance Detailed Report," dated September 2003.

3.12 Closing Record Folders [C2.2.6.2.]

TRIM Context provides all required capabilities to close record folders. For more information, see the JITC "TRIM Context v5.2 DOD 5015.2-STD Compliance Detailed Report," dated September 2003.

Additionally, authorized users have the ability to enter a folder close date on folders created in SharePoint, provided the information is entered upon record creation.

3.13 Cutting Off Record Folders [C2.2.6.3.]

TRIM Context provides all required capabilities to cut off record folders. For more information, see the JITC "TRIM Context v5.2 DOD 5015.2-STD Compliance Detailed Report," September 2003.

Additionally, authorized users have the ability to enter a cutoff date on folders created in SharePoint, provided the information is entered upon record creation.

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

TRIM Context provides all capabilities to freeze and unfreeze records. For more information, see the JITC "TRIM Context v5.2 DOD 5015.2-STD Compliance Detailed Report," dated September 2003.

3.15 Transferring Records [C2.2.6.5.]

TRIM Context provides all required capabilities necessary to transfer records. For more information, see the JITC "TRIM Context v5.2 DOD 5015.2-STD Compliance Detailed Report," dated September 2003.

3.16 Destroying Records [C2.2.6.6.]

TRIM Context provides all required capabilities necessary to destroy records. For more information, see the JITC "TRIM Context v5.2 DOD 5015.2-STD Compliance Detailed Report," dated September 2003.

3.17 Cycling Vital Records [C2.2.6.7.]

TRIM Context provides all required capabilities necessary to cycle vital records. For more information, see the JITC "TRIM Context v5.2 DOD 5015.2-STD Compliance Detailed Report," dated September 2003.

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

SharePoint provides the capability to search for and retrieve records filed through both SharePoint and TRIM Context. Users can search the repository using combinations of record and record folder metadata elements and relational and Boolean operators.

TRIM Context provides access control. Only records the user has permission to see appear in the search results.

3.19 Access Controls [C2.2.7.]

TRIM Context provides all required capabilities necessary to control access to records. For more information, see the JITC "TRIM Context v5.2 DOD 5015.2-STD Compliance Detailed Report," dated September 2003.

3.20 System Audits [C2.2.8.]

TRIM Context provides all required auditing capabilities. For more information, see the JITC "TRIM v5.2 DOD 5015.2-STD Compliance Detailed Report," dated September 2003.

3.21 System Management Requirements [C2.2.9.]

Operating systems (MS Windows 2000 Server and MS Windows 2003 Enterprise Server) and the database management system (MS SQL Server 2000) provide the required system management capabilities.