ZyIMAGE Records Management Module v1.0
By ZyLAB Technologies, BV

ZyIMAGE Summary Report

The Joint Interoperability Test Command (JITC) tested ZyLAB Technologies BV's ZyIMAGE Records Management Module v1.0, a web-based records management application (RMA) at the ZyLAB facility in Amsterdam, The Netherlands 20 through 29 April 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

ZyIMAGE Records Management Module v1.0 is a web-based RMA.

2. Test Configuration

The test configuration consisted of:

- One server running the MS Windows 2000 Server Service Pack (SP) 4 Server Operating System (OS), MS SQL Server 2000 (SP 3a), and ZyIMAGE Records Management Module v1.0
- One web server running Internet Information Server (IIS) v5.0 and .NET framework v1.1
- One server running MS Exchange 5.5 (SP 3)
- One client Personal Computer (PC) running MS Windows NT 4.0 (SP 6), MS Office 2000 Professional Service Release (SR) 1, and Netscape v7.1
- One client PC running MS Windows 2000 Professional, MS Office 2000 Professional SR 1, Internet Explorer (IE) v6.0, and Netscape v7.1
- One client PC running MS Windows XP Professional, MS Office 2000 Professional SR 1, IE v6.0, and Netscape v7.1

3. RMA Mandatory Requirements

3.1 Managing Records [C2.1.1.]

ZyIMAGE Records Management Module v1.0, hereafter referred to as ZyIMAGE, manages electronic, non-electronic, and e-mail records. It stores electronic records in its repository and maintains them in 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.]

ZyIMAGE 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.]

ZyIMAGE provides the capability to implement standard data elements. User-defined field names and data types are customizable and are consistent throughout the user interface, including input screens, search menus 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-STD[1], therefore test data was not available to verify backwards compatibility.

3.5 Accessibility [C2.1.5.]

ZyLAB Technologies BV provided the 508 Voluntary Product Accessibility Templates (VPATs) provided as Appendix C in the detailed test report.

3.6 Implementing File Plans [C2.2.1.]

ZyIMAGE provides the required capabilities for creating and maintaining disposition instructions and file plans. Disposition instructions are assigned to record plan components when creating the file plan categories. Subcomponents under that level inherit the same disposition instructions.

Access to the associated ZyIMAGE functions is restricted through the assignment of privileges to groups and/or users. ZyIMAGE 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.]

ZyIMAGE 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).

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[1] 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.]

ZyIMAGE provides the capability to file both electronic and non-electronic records. Users file records to ZyIMAGE by logging in to the ZyIMAGE Records Management Module home page and navigating through the file plan to the desired location where they wish to file a record. They click on "Add Record" and complete the record profile. They click on "Edit Components" to add an electronic file and click on "Declare" to file the record.

At the time of filing, ZyIMAGE 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.]

ZyIMAGE provides the capability to file e-mail messages from MS Outlook. ZyIMAGE automatically captures message transmission and receipt data to populate the Author/Originator, Addressee(s), Other Addressees, Publication Date, and Subject record profile fields. E-mail messages with attachments are filed as single records in ZyIMAGE. If users wish to specify different metadata for the attachments they save the attachments to their hard drive and file them as regular electronic records.

3.10 Storing Records [C2.2.5.]

ZyIMAGE uses the server's file system 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 each user 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 capability during the compliance test.

3.11 Screening Records [C2.2.6.1.]

ZyIMAGE provides record screening functionality via a graphical timeline. To determine which folders are due for disposition actions, records managers click on the "Timeline" hyperlink under the Disposition menu on the ZyIMAGE Records Management Module home page. ZyIMAGE displays cutoffs, vital record reviews, export dispositions, destruction dispositions, and transfer dispositions by month with days, years with months, or years with weeks. Records managers can enter a start and end date to view future disposition actions for planning purposes.

3.12 Closing Record Folders [C2.2.6.2.]

ZyIMAGE offers authorized users the ability to close folders by assigning them edit privileges on folders. To close a folder to further filing, authorized users navigate to the folder and click on "Close Folder."

3.13 Cutting Off Record Folders [C2.2.6.3.]

When record folders become eligible for cutoff, they are listed on records managers task lists accessible from the ZyIMAGE home page. Records managers click on the cutoff task. ZyIMAGE displays the category information (including the folder list) and records managers select "Cutoff Category."

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

ZyIMAGE provides the capability to freeze and unfreeze folders and records. If a freeze is applied to a folder, ZyIMAGE prevents records managers from disposing of the folder and/or records attached to the folder.

3.15 Transferring Records [C2.2.6.5.]

When record folders become eligible for transfer, they are listed on records managers' task lists accessible from the ZyIMAGE home page. Records managers click on the transfer task. ZyIMAGE displays the category information (including the folder list and records) and records managers select "Download" to create the export file.

Records managers send the contents of the transfer directories to the appropriate agency. After the agency acknowledges receipt of the items, records managers return to the transfer task and click on "Destroy" to delete the records. Records managers can also choose to destroy the records and keep the metadata.

3.16 Destroying Records [C2.2.6.6.]

When records become eligible for destruction, they are listed on records managers' task lists accessible from the ZyIMAGE home page. Records managers click on the destruction task. ZyIMAGE displays the folder and/or record information and records managers select "Destroy" to delete the records.

ZyIMAGE'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.]

ZyIMAGE provides the capability to gather records based on cycling dates and to do updates of cycle dates after records are reviewed. When records managers create file plan categories and designate them as vital, they specify a cycle period for when vital records need to be reviewed. Authorized users with review privileges will receive an email notifying them that a review task is due. The review task will also show up under the task list on the ZyIMAGE home page.

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

ZyIMAGE has the capability to search on categories, folders, parts, and records. Users can search on one metadata field at a time or they can build complex searches using a combination of metadata fields and Boolean operators.

Users can select the exact fields to display in the search results list and they can sort the list by clicking on the top of the metadata column they wish to sort by. Records are retrieved based on the user's permissions.

Authorized users can also extract a copy of the record to the workstation.

3.19 Access Controls [C2.2.7.]

ZyIMAGE provides several methods to control user access to records held in the repository. This control is managed in several ways: user/group level access, file plan access, supplemental markings, and field level security. 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.

ZyIMAGE supports multiple-user access. During much of the compliance test, two users worked simultaneously performing various functions including filing system maintenance, document filing, record retrieval, and disposition activities.

3.20 System Audits [C2.2.8.]

ZyIMAGE offers the capability to perform audit logging. The system audit log captures all activity that occurs in the repository to include delete, edit, create, and search. ZyIMAGE also logs changes to metadata including before and after values.

ZyIMAGE collects the audit metadata specified in the Standard, however it does not log users' attempts at unauthorized access.

3.21 System Management Requirements [C2.2.9.]

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

4. Non-Mandatory Features Demonstrated

4.1 Interface to other Software Applications [C3.2.3.]

ZyIMAGE includes a plug-in to MS Outlook for e-mail filing. Users select "Archive Message" on the Outlook toolbar to file e-mail to ZyIMAGE.

4.2 On-Line Help Capability [C3.2.5.]

ZyIMAGE includes an on-line help capability. Users can navigate through a variety of help topics, or they can search the help index to locate a topic of their choice. Help is also context-sensitive to the screen.

4.3 Document Imaging Capability [C3.2.6]

ZyIMAGE provides the capability to file a record and print a page or label containing a barcode representation of the record id. The barcode id can facilitate scanning paper records and linking them as a component of the electronic record stored in ZyIMAGE.

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

ZyIMAGE provides the capability to search the database for categories or folders. Users select the desired metadata component they wish to search for and ZyIMAGE displays the categories or folders that match the search criteria.

4.5 Web Capability [C3.2.15.]

ZyIMAGE is a fully web-based RMA. All records (physical and electronic) and records management functions are URL accessible. The application is available through Internet Explorer 6.0 or Netscape 7.1.

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