

MS Windows SharePoint Services 2003 by Microsoft Corporation With FileSurf v7.5 (SR3) by MDY Advanced Technologies, Inc.

FileSurf/SharePoint Summary Report

The Joint Interoperability Test Command (JITC) tested the integration of Microsoft Corporation's MS Windows SharePoint Services 2003 with MDY Advanced Technologies, Inc.'s FileSurf v7.5 (SR3) at the MDY Advanced Technologies, Inc.'s facility in Fair Lawn, New Jersey, from 26 through 27 May 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

SharePoint Services 2003 provides web portal functionality through which organizations can establish a central point of access to share information. Its integration with FileSurf 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 FileSurf, 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	FileSurf	SharePoint	Comments
C2.1.1.	Managing Records	✓		
C2.1.2.	Accommodating Dates and Date Logic	✓	✓	Separately
C2.1.3.	Implementing Standard Data	✓	✓	Separately
C2.1.4.	Backward Compatibility			Not Tested ¹
C2.1.5.	Accessibility	✓	✓	
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 the Microsoft (MS) Windows 2000 Server (Service Pack [SP] 4). Installed software included Novell GroupWise Server 6.5.0.
- One server running the MS Windows 2000 Server (SP4). Installed software included SQL Server 2000 (v8.0) and MS Exchange 2000.
- One server running the MS Windows Server 2003. Installed software included Domino Server v6.5.1, Internet Information Services (IIS) 6.0, MS Windows SharePoint Services 2003, and FileSurf v7.5 (SR3).
- One client PC running MS Windows 2000 Professional (SP4). Installed software included FileSurf 7.5, Novell GroupWise 6.0, MS Office 2003 (SP1), and Internet Explorer 6.0 (SP2).
- One client PC running MS Windows XP Professional (SP1). Installed software included FileSurf 7.5, Outlook 2003 (SP1), MS Office 2003 (SP1), and Internet Explorer 6.0 (SP2).
- One client PC running MS Windows 2000 Professional (SP4). Installed software included FileSurf 7.5, Outlook 2003 (SP1), Lotus Notes 6.5.1, MS Office 2003 (SP1), and Internet Explorer 6.0 (SP2).

¹ This test was the first test for this system against this requirement. Test data from a previous system was not available.

- One client PC running MS Windows XP Professional (SP1). Installed software included FileSurf 7.5, Novell GroupWise 6.0, Lotus Notes 6.5.1, MS Office 2003 (SP1), and Internet Explorer 6.0 (SP2).

3. RMA Mandatory Requirements

3.1 *Managing Records [C2.1.1.]*

FileSurf provides all required capabilities for managing records. For more information, see the JITC "FileSurf v7.5 (SR3) DOD 5015.2-STD Compliance Detailed Report."

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

FileSurf 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.]*

FileSurf provides the required elements necessary to implement standard data. Records managers can configure SharePoint with most of the record metadata elements as defined in DOD 5015.2-STD. When paired with FileSurf, SharePoint data elements can be mapped to FileSurf. Records managers create custom fields in SharePoint to exactly match those created in FileSurf. They can create pick lists for user-defined fields in both products to assist the user in filling out the templates.

The pairing does not offer the capability to constrain selection lists presented to users when filing through SharePoint. Users must complete fields configured with constrained selection lists on the FileSurf profile before filing the record.

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 provided the 508 Voluntary Product Accessibility Templates (VPATS) provided as appendices to the detailed test report. FileSurf's VPATS are included as an appendix to the JITC "FileSurf v7.5 (SR3) DOD 5015.2-STD Compliance Detailed Report."

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

FileSurf provides all required capabilities for creating and maintaining disposition instructions and file plans. For more information, see the JITC "FileSurf v7.5 (SR3) DOD 5015.2-STD Compliance Detailed Report."

3.7 *Scheduling Records [C2.2.2.]*

FileSurf provides all required capabilities for scheduling records. For more information, see the JITC "FileSurf v7.5 (SR3) DOD 5015.2-STD Compliance Detailed Report."

² 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.]

Users file e-mail and non-electronic documents using the FileSurf interface. To file electronic documents as records from SharePoint to FileSurf, users first upload the document into the SharePoint application. They complete the document profile and press "Save."

When the document is ready to be made a record, users select the document and click "File to FileSurf" as a new document, as a new version, or as a new rendition. FileSurf presents the record profile screen. All mapped metadata information from the SharePoint profile is inserted in the FileSurf profile. At this point, if users wish to assign metadata to a field that is configured with constrained selection lists, e.g., Supplemental Markings, they can populate the field and file the record.

At the time of filing, FileSurf 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.]

FileSurf provides all required capabilities to file e-mail messages as records. For more information, see the JITC "FileSurf v7.5 (SR3) DOD 5015.2-STD Compliance Detailed Report."

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 FileSurf repository. All records are stored in the FileSurf repository. Permissions granted in FileSurf 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.

FileSurf stores the file plan and record profile data in a relational database. MS SQL Server 2000 provided the database during the compliance test.

3.11 Screening Records [C2.2.6.1.]

FileSurf provides all required capabilities to screen records. For more information, see the JITC "FileSurf v7.5 (SR3) DOD 5015.2-STD Compliance Detailed Report."

3.12 Closing Record Folders [C2.2.6.2.]

FileSurf provides all required capabilities to close record folders. For more information, see the JITC "FileSurf v7.5 (SR3) DOD 5015.2-STD Compliance Detailed Report."

3.13 Cutting Off Record Folders [C2.2.6.3.]

FileSurf provides all required capabilities to cut off record folders. For more information, see the JITC "FileSurf v7.5 (SR3) DOD 5015.2-STD Compliance Detailed Report."

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

FileSurf provides all capabilities to freeze and unfreeze records. For more information, see the JITC "FileSurf v7.5 (SR3) DOD 5015.2-STD Compliance Detailed Report."

3.15 Transferring Records [C2.2.6.5.]

FileSurf provides all required capabilities necessary to transfer records. For more information, see the JITC "FileSurf v7.5 (SR3) DOD 5015.2-STD Compliance Detailed Report."

3.16 Destroying Records [C2.2.6.6.]

FileSurf provides all required capabilities necessary to destroy records. For more information, see the JITC "FileSurf v7.5 (SR3) DOD 5015.2-STD Compliance Detailed Report."

3.17 Cycling Vital Records [C2.2.6.7.]

FileSurf provides all required capabilities necessary to cycle vital records. For more information, see the JITC "FileSurf v7.5 (SR3) DOD 5015.2-STD Compliance Detailed Report."

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

FileSurf provides all required capabilities necessary to search for and retrieve records. For more information, see the JITC "FileSurf v7.5 (SR3) DOD 5015.2-STD Compliance Detailed Report."

When users select the "Documents Filed to FileSurf" link, SharePoint provides a list of records that were filed from SharePoint into FileSurf. FileSurf provides access control. Only records the user has permission to see appear in the listing.

3.19 Access Controls [C2.2.7.]

FileSurf provides all required capabilities necessary to control access to records. For more information, see the JITC "FileSurf v7.5 (SR3) DOD 5015.2-STD Compliance Detailed Report."

3.20 System Audits [C2.2.8.]

FileSurf provides all required capabilities necessary to audit records. For more information, see the JITC "FileSurf v7.5 (SR3) DOD 5015.2-STD Compliance Detailed Report."

3.21 System Management Requirements [C2.2.9.]

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

Last revision: **9 July 2004**