

ComplianceOne

System Requirements & Implementation Options

January 2010

How to Use

Use this information as a guide to identify the hardware and software components needed to implement ComplianceOne. Please review this document in its entirety. Please contact Wolters Kluwer Financial Services if you have any questions regarding specific configurations.

All requirements are for systems running ComplianceOne only. You will need to take into consideration any additional software that will be running in your environment, as this will increase the listed requirements.

Please review the additional notes at the end of this document for further explanations and information.

These requirements are subject to change without notice.

Visit our Software Support Web site at <http://Support.WoltersKluwerFS.com> for updates to the ComplianceOne System Requirements.

Standalone Implementation

Software Requirements

Operating Systems

- Windows XP Professional
- Windows Vista Business Edition

Other Required Software

- Internet Information Services (IIS)**
- Microsoft .NET 2.0 Framework***
- Microsoft Internet Explorer 6.0 or greater**
- Microsoft SQL Server 2005 Express Edition***

Hardware Requirements

- 2.66 GHz processor or greater (3.0 GHz processor or greater is recommended)*
- 1 GB RAM or greater (2 GB RAM or greater recommended)*
- At least 5 GB available hard disk space (7 GB or greater recommended)
- 24X speed or greater CD-ROM Drive

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Network - Small Implementation Server (Up to 10 concurrent users)

The specifications listed in this section are for an application server to run ComplianceOne only. You will need to take into consideration any additional software that will be running in your environment and size appropriately.

Due to security and workload concerns, application software, such as ComplianceOne, should not be installed on an Active Directory Server / Domain Controller. If a server class computer is not available, ComplianceOne can be installed on a workstation computer in a peer-to-peer configuration to act as the server for ComplianceOne clients. It is recommended to install to a computer that is a *member* of a domain as installations in a Workgroup may not work correctly.

Peer-to-peer configurations may be limited to 5 concurrent users. However, if you are running at least our recommended system requirements, up to 20 concurrent users may access ComplianceOne on a Network - Small Implementation server. If more concurrent users are desired, refer to the Network - Large Implementation Server option.

Consult with Wolters Kluwer Financial Services to ensure ComplianceOne will work in your environment.

Please review the additional notes at the end of this document for further explanations and information.

Software Requirements

Operating Systems

- Windows XP Professional
- Windows Vista Business
- Windows Server 2003 Standard or Enterprise Edition
- Windows Server 2008 Standard or Enterprise Edition

Other Required Software

- Internet Information Services (IIS)**
- Microsoft .NET 2.0 Framework***
- Microsoft Internet Explorer 6.0 or greater**
- Microsoft SQL Server 2005 Express Edition***

Hardware Requirements

- 2.66 GHz processor or greater (3.0 GHz processor or greater is recommended)*
- 2 GB RAM or greater (3 GB RAM or greater recommended)*
- At least 5 GB available hard disk space (7 GB recommended)
- 24X speed or greater CD-ROM Drive

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Network - Large Implementation Server (Greater than 10 concurrent users)

The specifications listed in this section are for an application server to run ComplianceOne only. You will need to take into consideration any additional software that will be running in your environment and size appropriately.

The specifications listed in this section are sized for a system with 10 concurrent users. ComplianceOne has the ability to support up to 100 users and may require a faster processor as well as additional RAM to achieve acceptable performance.

Due to security and workload concerns, application software, such as ComplianceOne, should not be installed on an Active Directory Server / Domain Controller.

Consult with Wolters Kluwer Financial Services to ensure ComplianceOne will work in your environment.

Please review the additional notes at the end of this document for further explanations and information.

Software Requirements

Operating Systems

- Windows Server 2003 Standard or Enterprise Edition
- Windows Server 2008 Standard or Enterprise Edition

Other Required Software

- Internet Information Services (IIS)**
- Microsoft .NET 2.0 Framework***
- Microsoft Internet Explorer 6.0 or greater**
- Microsoft SQL Server 2005 Standard Edition / Microsoft SQL Server 2008 Standard Edition**

Hardware Requirements

- 2.66 GHz processor or greater (3.0 GHz processor or greater is recommended)*
- 2 GB RAM or greater (3 GB RAM or greater recommended)*
- At least 5 GB available hard disk space (7 GB or greater recommended)
- 24X speed or greater CD-ROM Drive

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Network - Wide Area Network (WAN) Implementation (Terminal Services/Server)

To run effectively in a Wide Area Network (WAN) environment, ComplianceOne requires sufficient bandwidth for acceptable performance. At this time, Terminal Services/Server is required for Wide Area Network (WAN) implementations.

ComplianceOne must be installed on a separate application server (see *Network - Large Implementation Server* for requirements) and not the server hosting Terminal Services. Only the ComplianceOne client files are installed on the Terminal Server.

Additionally, Citrix Metaframe can be added on top of the Microsoft Terminal Services to allow more options for workstation connectivity and administration. Workstations that connect to Terminal Server need to meet the requirements set by Microsoft or Citrix. These requirements are less than the requirements for a local area network client allowing you to use legacy equipment without needing to do hardware upgrades to your workstations. Refer to your technical consultant or visit <http://www.microsoft.com> or <http://www.citrix.com> for Terminal Services/Server and workstation specifications.

Consult with Wolters Kluwer Financial Services to ensure ComplianceOne will work in your environment.

Please review the additional notes at the end of this document for further explanations and information.

Software Requirements

Operating Systems

- Windows Server 2003 Terminal Server**
- Windows Server 2008 Terminal Server**

Other Required Software

- Microsoft .NET 2.0 Framework***
- Microsoft Internet Explorer 6.0 or greater**

Hardware Requirements

- 2.66 GHz processor or greater (3.0 GHz processor or greater is recommended)*
- 1 processor each for up to 15 user connections
- 2 GB RAM for the operating system and at least 100 MB RAM per user connection*
- At least 500 MB available hard disk space (2 GB recommended)
- 24X speed or greater CD-ROM Drive

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Network - Clients

These requirements apply to all Local Area Network (LAN) client workstations regardless of the server. For Wide Area Network (WAN) implementations, refer to the *Network - Wide Area Network (WAN) Implementation* section earlier in this guide.

The specifications listed in this section are for a computer to run ComplianceOne only. You will need to take into consideration any additional software that will be running in your environment and size appropriately.

Consult with Wolters Kluwer Financial Services to ensure ComplianceOne will work in your environment.

Please review the additional notes at the end of this document for further explanations and information.

Software Requirements

Operating Systems

- Windows XP Professional
- Windows Vista Business Edition

Other Required Software

- Microsoft .NET 2.0 Framework***
- Microsoft Internet Explorer 6.0 or greater**

Hardware Requirements

- 2.66 GHz processor or greater (3.0 GHz processor or greater is recommended)*
- 1 GB RAM or greater (2 GB RAM or greater recommended)*
- At least 500 MB available hard disk space (2 GB recommended)
- 24X speed or greater CD-ROM Drive

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Printer Requirements

- PCL5 or PCL6 compatible laser printer
(Example: HP 4000 Series, 8000 Series, and Lexmark Optra Series.)
- Two programmable paper trays, one for letter size paper and one for legal size paper.
- Printer memory:
 - 8 MB installed for 300 dpi resolution
 - 16 MB installed for 600 dpi resolution
 - 32 MB installed for 1200 dpi resolution
- T1 communication is recommended for Wide Area Network printing

NOTE:

Due to the large variety of printers available in the market today, we are unable to test our programs with every printer.

Printers that are NOT supported include, but not limited to: HP L Series, HP P Series, HP1000 Series, HP2000 Series, Okipage Series and Brother HL 1000 Series.

Multi-purpose (printer, copier, fax) printers may meet the above requirements however; we do not recommend using multi-purpose printers with our software and may not be able to assist with problems printing to these printers.

Key:

- * These requirements are for systems running ComplianceOne only. A higher megahertz (MHz) processor and or more random access memory (RAM) have shown to improve the overall performance of ComplianceOne. Adding additional CPUs may also improve overall performance.

Consult with your technical staff if you will be running additional applications, as this will increase the listed requirements.

- ** Acquiring and installing these programs is the responsibility of your network administrator or technical consultant. Wolters Kluwer Financial Services is not responsible for providing or implementing these programs. Also, Wolters Kluwer Financial Services cannot provide assistance with implementing these programs beyond the information contained in the ComplianceOne Installation Instructions. Contact Microsoft Support for assistance, if needed.

- *** Microsoft SQL Server 2005 Express Edition and Microsoft .NET 2.0 Framework is supplied on the ComplianceOne installation CD.

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Additional Notes

Internet Access

High speed Internet access is required to use some components of ComplianceOne as well as for remote installation and support.

Service Packs

The most current service pack is required for all Microsoft applications.

Backup Restore

Backups are the sole responsibility of the institution. Your backup software may require an additional module to allow backing up of database files.

Novell NetWare

ComplianceOne cannot be installed to a Novell NetWare file server because ComplianceOne utilizes Microsoft IIS to create the screens and Microsoft SQL Server to manage the database. These components cannot be installed to or run from a Novell NetWare file server.

Windows Millennium Edition, Windows XP Home and Windows Vista Home

These operating systems are designed strictly for home use and are not supported.

Microsoft Small Business Server and Microsoft BackOffice Server

These operating systems are designed strictly for small business applications and are not supported.

Active Directory Server / Domain Controllers

Good networking practice dictates that application software, such as ComplianceOne, should not be installed on an Active Directory server (a.k.a. Domain Controller). This is due to security and workload concerns.

Exchange Server

Good networking practice dictates that application software, such as ComplianceOne, should not be installed on a Microsoft Exchange Server. This is due to security and workload concerns.

64-Bit Operating Systems

64-bit versions of Operating Systems such as Windows XP, Windows Server 2003, Windows Server 2008 and Windows Vista are not supported.

Upgrading Windows Operating Systems

If you have upgraded or are planning to upgrade your Windows operating system, please note the following:

Although Microsoft states they support an upgrade process from a previous version of the operating system, in order to install the Microsoft components to run ComplianceOne properly, it is required to perform a new installation (or clean install) of the new operating system. You should not upgrade over your existing installation of Windows. This means that the computer's hard drive must be re-formatted prior to installing Windows. You should back up your data, format the hard drive, install Windows, reinstall your applications and then restore your data from backup.