

OptiView® Enterprise Content Management v 9.0 by Advanced Processing & Imaging, Inc.

OptiView® Summary Report

The Joint Interoperability Test Command (JITC) tested Advanced Processing and Imaging, Inc.'s OptiView® Enterprise Content Management Version (v) 9.0, a stand-alone Records Management Application (RMA), at API's facility in Deerfield Beach, Florida, from 27 November through 6 December 2007.

JITC verified OptiView® Enterprise Content Management v 9.0 is compliant with Chapter 2, Mandatory Requirements, of Department of Defense 5015.2 Standard, "Design Criteria Standard for Electronic Records Management Software Applications," dated 19 June 2002. JITC verified compliance using version 7.5 of "RMA Compliance Test Procedures."

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1. Product Identification

OptiView® Enterprise Content Management v 9.0, hereafter referred to as OptiView®, is a stand-alone RMA.

2. Test Configuration

The baseline test configuration consisted of:

- One AS/400 (iSeries) server running IBM OS/400. Installed software included IBM DB2 V5R4M0 and OptiView® Enterprise Content Management v 9.0.
- One server running Microsoft (MS) Windows Server 2003 for Small Business (Service Pack [SP] 1). Installed software included MS Exchange v6.5.
- One server running MS Windows Server 2003 Enterprise Edition. (This served as the Network-Attached Storage/Storage Area Network (NAS/SAN) storage repository.)
- Three workstations running MS Windows XP Professional (SP2). Installed software included OptiView® Client v 9.0, MS Outlook 2003, and MS Office 2003.
- One workstation running MS Windows XP Professional (SP2). Installed software included OptiView® Client v 9.0, OptiView® Disposition Manager v 9.0, MS Outlook 2003, and MS Office 2003.

3. RMA Mandatory Requirements

3.1 *Managing Records [C2.1.1.]*

OptiView® 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.]*

OptiView® 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.]*

OptiView® provides the capability to implement standard data elements. Field names are customizable and consistent throughout the user interface, including input screens, search menus and report output.

3.4 *Backward Compatibility [C2.1.4.]*

This was the first test for OptiView®. Previous test data was not available to verify backwards compatibility.

3.5 *Accessibility [C2.1.5.]*

API provided the 508 Voluntary Product Accessibility Templates (VPATS) provided as Appendix B in the detailed test report.

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

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

Access to the associated OptiView® functions is granted or restricted through the assignment of privileges and access rights to groups and/or users. OptiView® 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.]*

OptiView® automatically tracks the disposition schedules for screening and disposition processing. Records managers reschedule files by modifying the record category/folder's disposition schedule (which reschedules all records associated with that schedule).

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

OptiView® provides the capability to file both electronic and non-electronic records. When filing electronic files, users can either drag and drop the file into OptiView® as a document and then file it as a record, or they can import the file into OptiView®. When importing the file, users have the option of making it a record immediately or importing it as a document and making it a record at a later date.

To file non-electronic records, users add a reference record to OptiView®. Users have the option of making it a record as part of this process, or they can add it as a document and make it a record at a later date.

OptiView® also offers the capability to scan documents into the system. OptiView® saves the scanned image as a Tagged Image File Format file. Administrators can set up the system to automatically file the scanned images as records or to file the scanned image as a document which can be filed as a record at a later date.

At the time of filing, OptiView® 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.]

OptiView® provides the capability to file MS Outlook e-mail messages. Users access MS Outlook and highlight the message they want to file. Then they open OptiView® and click "Import e-mail from Outlook." OptiView® gives the option of storing the e-mail and attachment as a single record or they can store only the selected attachment. Users have the option of making the e-mail/attachment a record as part of this process, or they can add it as a document and make it a record at a later date.

When filing the e-mail as a record, OptiView® automatically captures message transmission and receipt data to populate the Subject, Publication Date, Date Received, Originator, Addressee(s), and Other Addressee(s) fields.

3.10 Storing Records [C2.2.5.]

OptiView® uses the server's NT File System (NTFS) for storing and preserving electronic records. Security assigned in MS Windows 2003 Enterprise Edition determines who has access to the NTFS.

The privileges and access rights assigned at the category and folder levels determine who has access to the records and what they can do with those records. Only users with appropriate access can remove records from the repository.

File plan and document profile data are stored separately from the actual records in a relational database. IBM DB2 V5R4M0 provided the databases during the compliance test.

3.11 Screening Records [C2.2.6.1.]

OptiView® provides record screening functionality via search functions and the OptiView® Disposition Manager. To find out which folders have outstanding disposition actions, records managers access the Disposition Manager and run reports to show what is due for destruction, transfer, or accession. For planning purposes, records managers can enter future dates to calculate upcoming actions. In addition, they can specify which record categories to search through.

3.12 Closing Record Folders [C2.2.6.2.]

OptiView® offers records managers and privileged users the ability to close folders. To close a folder to further filing, authorized users right-click on the folder and select "Close Folder," or they access the folder details and click "Close Folder." OptiView® automatically closes folders that have been cut off.

3.13 Cutting Off Record Folders [C2.2.6.3.]

OptiView® automatically cuts off record folders when they are due. Records managers can also manually cut off folders by either right-clicking on the folder and selecting "Close Folder," or by accessing the folder metadata and clicking "Close Folder."

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

OptiView® provides the capability to freeze and unfreeze folders. If a freeze is applied to a record folder, OptiView® prevents records managers from disposing of the folder and/or records attached to the folder. Only one freeze can be applied per folder. Freezing the record folder freezes all records within that folder.

3.15 Transferring Records [C2.2.6.5.]

To transfer records, records managers open the OptiView® Disposition Manager and click "Disposition: and "Run Transfer." OptiView® creates a transfer package that records managers download and send to the receiving agency. After receiving notification of successful transfer, records managers confirm the transfer.

Records managers follow the same basic steps to perform accession processing. After they confirm the accession, OptiView® destroys the electronic files.

3.16 Destroying Records [C2.2.6.6.]

To destroy records, records managers open the OptiView® Disposition Manager and click "Disposition: and "Run Destruction." OptiView® requires a second confirmation of the destruction. OptiView®'s audit logs record all destruction transactions. Deleted records could not be reconstructed with a file recovery utility.

3.17 Cycling Vital Records [C2.2.6.7.]

OptiView® 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, they specify a cycle period for when vital records need to be reviewed. During the test, OptiView® created a scheduled task to send e-mail to the records manager when vital records were due for review.

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

Users can search for Record Categories, Record Folders, Records, and Deleted Records. They add the desired metadata fields and search criteria and OptiView® presents the search results. Users also have the opportunity to select exactly what fields should be presented in the search results view pane and specify the order. Users can save searches for personal or public (if given the authority) use.

3.19 Access Controls [C2.2.7.]

OptiView® provides several methods to control user access to records. This control is managed in four ways: User/Group Level Access, File Plan Access, Supplemental Markings, and Restrictive Markings Security. Combinations of these functions ensure that records are held securely and are only accessed by users. OptiView® supports multiple-user access.

3.20 System Audits [C2.2.8.]

OptiView® offers the capability to perform audit logging. The system administrator selects the events that are written to the system. The system audit log captures all activity that occurs in the repository including record movements and record deletions. OptiView® collects all the audit metadata specified in the Standard.

3.21 System Management Requirements [C2.2.9.]

The operating system (IBM OS/400) and database management system (IBM DB2 V4R4M0) provide the required system management capabilities.

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