

LaserFiche Records Management Edition v7 by LaserFiche

LaserFiche Summary Report

The Joint Interoperability Test Command (JITC) tested LaserFiche's LaserFiche Records Management Edition v7, a stand-alone records management application (RMA) at the LaserFiche facility in Long Beach, California from 16 through 23 September 2003. 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

LaserFiche Records Management Edition v7, hereafter referred to as LaserFiche, is a stand-alone RMA.

2. Test Configuration

The test configuration consisted of:

- One server running LaserFiche Server on the Windows 2000 Server Operating System (OS) Service Pack (SP) 4.
- One server running MS SQL Server 2000 (SP 3a).
- One server running MS Exchange 2000.
- Two client Personal Computers (PCs) running MS Windows 2000 Professional (SP4). Installed software included MS Office 2000 Professional (SP3), MS Internet Explorer (IE) 6.0 (SP1), and LaserFiche Records Management Edition v7.
- Two client PCs running MS Windows XP Professional (SP1). Installed software included MS Office XP Professional (SP2), MS IE 6.0 (SP1), and LaserFiche Records Management Edition v7.

In a subsequent configuration, JITC repeated the test using the MS Windows 2003 Server OS while using the same client configuration.

3. RMA Mandatory Requirements

3.1 *Managing Records [C2.1.1.]*

LaserFiche 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.]*

LaserFiche 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.]*

LaserFiche provides the capability to implement standard data elements using a combination of object properties and index field values. LaserFiche provides the capability to create up to 250 user defined fields per index card template. Field names, data types and organization 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-STD¹, therefore test data was not available to verify backwards compatibility.

3.5 *Accessibility [C2.1.5.]*

LaserFiche 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.]*

LaserFiche 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 instruction.

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

LaserFiche 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).

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.]

LaserFiche provides the capability to file both electronic and non-electronic records. LaserFiche allows users to file records through the main user interface or to drag and drop files from Windows Explorer onto the LaserFiche window on the desktop, complete the record profile, and file the record.

At the time of filing, LaserFiche 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.]

LaserFiche provides the capability to file e-mail messages from MS Outlook. LaserFiche automatically captures message transmission and receipt data to populate the Author/Originator, Addressee(s), Publication Date, and Subject record profile fields.

When filing e-mail that has an attachment(s), LaserFiche allows the user to file the e-mail message and the attachment(s) as a single record, or file each attachment separately. LaserFiche automatically senses the format of the attachment and presents the most appropriate profile template to the user. Users can also choose to apply the metadata specified for the e-mail to each attachment if desired.

3.10 Storing Records [C2.2.5.]

LaserFiche uses the server's NT File System (NTFS) for storing and preserving electronic records. The permissions assigned at the series, folder, and document levels 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.

File plan and document profile data are stored separately from the actual records in a relational database. MS SQL Server 2000 provided the database during the compliance test.

3.11 Screening Records [C2.2.6.1.]

LaserFiche provides record screening functionality via search functions. Templates guide the creation of search queries. To find out which folders have outstanding disposition actions, records managers must search by disposition action (transfer, accession, or destroy) and a date range. Records managers can enter a future date to calculate disposition for planning purposes.

3.12 Closing Record Folders [C2.2.6.2.]

LaserFiche offers records managers and privileged users the ability to close folders by assigning edit privileges to folders. To close a folder to further filing, authorized users highlight the folder, select the "Records" menu, and choose "Close Folder." For event-based dispositions, authorized users can specify an event date, which automatically closes the folder.

3.13 Cutting Off Record Folders [C2.2.6.3.]

To cut off record folders, records managers search for folders due for cutoff as of a certain date. LaserFiche displays a list of folders matching the search criteria. Records managers select the folder(s) they wish to perform cutoff on, select the "Records" menu, and then select "Cutoff Folder." They press "OK" to approve the cutoff.

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

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

3.15 Transferring Records [C2.2.6.5.]

Records managers search the database for all folders with a disposition action of "Transfer." LaserFiche displays a list of folders matching the search criteria. They highlight the folder they wish to transfer, select the "Records" menu, and then select "Transfer Records." LaserFiche transfers a copy of the records and metadata to a user specified directory.

Records managers send the contents of the transfer directories to the appropriate agency. After the agency acknowledges receipt of these items, records managers highlight the folder again, select the "Records" menu, and then select "Confirm Transfer."

3.16 Destroying Records [C2.2.6.6.]

Records managers search the database for all folders with a disposition action of "Destruction." LaserFiche displays a list of folders matching the search criteria. They highlight the folder they wish to destroy, select the "Records" menu, and then select "Destroy Records."

LaserFiche'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.]

LaserFiche 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, LaserFiche created a scheduled task to send e-mail to the records manager when vital records were due.

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

Templates guide simple and advanced searches in LaserFiche. Simple searches allow users the option to search on one value at a time, whereas advanced searches allow users to search two or more values using more than one template at a time if desired.

Users also have the opportunity to select exactly what fields should be presented in the search results view pane and specify the order. Records are retrieved based on the user's permissions.

The user can also extract a copy of the record to the workstation.

3.19 Access Controls [C2.2.7.]

LaserFiche provides several methods to control user access to records held in the repository. This control is managed in three ways: User Level access, File Plan Access, and Supplemental Markings. 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.

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

3.20 System Audits [C2.2.8.]

LaserFiche offers the capability to perform audit logging. The system audit log captures all activity that occurs in the repository to include, number and container changes, record movements, and record deletions. The system administrator selects the events that are written to the system.

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

4. Non-Mandatory Features Demonstrated

4.1 Bulk Loading Capability [C3.2.2.]

LaserFiche provides the capability to bulk load electronic records. Users have the option of highlighting multiple records and dragging and dropping them onto the LaserFiche desktop window. Once users drop the files onto the window, Laserfiche presents a new template for the user to complete for each individual file.

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

LaserFiche provides an on-line help capability. Users can navigate through a variety of help topics, or they can perform a search of the help index to locate a topic of their choice. Help is context-sensitive and extensible.

4.3 Document Imaging Capability [C3.2.6.]

LaserFiche provides extensive document imaging capabilities. LaserFiche can integrate with a variety of scanning devices to provide efficient filing of scanned images as records in LaserFiche. LaserFiche Quick Fields offers organizations the capability to automate the indexing process by mapping the text of scanned documents to record profile metadata fields. In addition to providing OCR capability to support full text searching of scanned images, LaserFiche includes full redaction capabilities within the core product. Redaction capabilities include the ability to black out or white out specific text without changing the record in LaserFiche. In addition, access control can be applied to redactions to enable authorized users to see through them.

4.4 Fax Integration Capability [C3.2.7.]

LaserFiche provides the capability to interface with desktop and server-based fax products to capture fax records in their native format. LaserFiche offers an Import Agent module that can be set to monitor a specified directory for incoming faxes. The Import Agent allows authorized users to establish business rules to assist in filing the incoming faxes as records in LaserFiche.

Laserfiche also allows users to output a LaserFiche record to a fax server application. The user selects the appropriate fax machine from their printer drop-down list.

4.5 Retrieval Assistance Capability [C3.2.9.]

LaserFiche has extensive search and retrieval capabilities. Users can perform detailed searches using a variety of pre-defined search templates. Users also have the capability to do a full text search on any TIFF images that have been OCR'd.

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

LaserFiche includes a search template that allows a user to search within the file plan. Users enter their search criteria in the Record Category Identifier or Record Category Description search fields under the Records Manager search template. LaserFiche returns the list of file plan folders meeting the search criteria based on the user's permissions.

4.7 *Workflow/Document Management Capability [C3.2.11.]*

LaserFiche offers a workflow module that integrates directly with LaserFiche. LaserFiche's WorkFlow Suite includes a graphical user interface to allow authorized users to create workflows that automate work processes using rules-based monitoring and routing and notification functionality.

4.8 *Internal Viewer Capability [C3.2.14.]*

LaserFiche includes it's own internal viewer for viewing TIFF Group IV images. When users open a TIFF image in the LaserFiche viewer, LaserFiche displays the image, the record profile metadata, and a separate thumbnail image for each page of the document.

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