

Meridio v4.2 by Meridio, Inc.

Meridio Summary Report

The Joint Interoperability Test Command (JITC) tested Meridio, Inc.'s Meridio v4.2, a web-based Records Management Application (RMA) at the Compliance Solutions Group's facility in Reston, Virginia from 12 through 22 July 2004. The implementation was verified using version 7.5 of the Test Procedures and was compliant with DoD 5015.2-STD, dated June 2002. All mandatory requirements were satisfied.

In addition, JITC tested Meridio v4.2 for compliance with Chapter 4, Management of Classified Records using version 7.1 of the Test Procedures. Meridio v4.2 satisfied all mandatory Chapter 2 and Chapter 4 requirements.

TABLE OF CONTENTS

- [Section 1. Product Identification](#)
 - [Section 2. Test Configuration](#)
 - [Section 3. RMA Mandatory Requirements](#)
 - [Section 4. Non-Mandatory Features Demonstrated](#)
 - [Section 5. Management of Classified Records](#)
-

1. Product Identification

Meridio v4.2, hereafter referred to as Meridio, is a web-based RMA. Meridio includes a security module that can be activated to handle the management of classified records. Organizations have the option of implementing Meridio with or without activating the security module.

The Meridio software package, as tested, consisted of the following programs and utilities:

- Meridio Web Client
- Meridio Administration
- Meridio Secure Lookup
- Meridio Audit Administration
- Meridio Audit Reporting
- Meridio Property Modifier
- Meridio Import/Export

2. Test Configuration

The test configuration for the Reston, Virginia test consisted of:

- One server running the Microsoft (MS) Windows 2000 Advanced Server (SP4) Operating System (OS) and MS SQL Server 2000 (SP3a).
- One server running MS Exchange 2000 (SP1).
- One web server running IIS 5.0 and ASP.NET 1.1.
- One client Personal Computer (PC) running MS Windows 2000 Professional. Installed software included MS Office 2000 Professional and Internet Explorer 6.0.
- One client PC running MS Windows XP Professional. Installed software included MS Office XP Professional and Internet Explorer 6.0.
- One client PC running MS Windows XP Professional. Installed software included MS Office 2003 Professional and Internet Explorer 6.0.

3. RMA Mandatory Requirements

3.1 *Managing Records [C2.1.1.]*

Meridio 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.]*

Meridio 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.]*

Meridio provides the capability to implement standard data. It allows the use of unlimited user-defined fields, with complete customization of data element labels for record profile entry templates, on-screen displays, 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.]*

Meridio, Inc. 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.]*

Meridio provides the required capabilities for creating and maintaining disposition instructions and file plans. Disposition instructions are created separately and assigned to record plan components when creating the file plan categories. Subcomponents under that level inherit the same disposition instruction unless another disposition instruction is specified for that lower level component.

¹ Backwards Compatibility is a new requirement in the June 2002 version of DoD 5015.2-STD.

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

Meridio 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).

3.8 Declaring and Filing Records [C2.2.3.]

Meridio provides the capability to file both electronic and non-electronic records. Users file records to Meridio using the Meridio Web Client. They select "Document" to file an electronic record or "Marker" to file a non-electronic record and click on "Add." Meridio presents a record entry form and users specify metadata for the record using a combination of data entry and pick lists. They click on "Add to Meridio" to save the record to the database.

At the time of filing, Meridio 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.]

Meridio provides the capability to file e-mail messages from MS Outlook. Meridio 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), Meridio allows the user to file the e-mail message and the attachment(s) as a single record, or file each attachment separately.

3.10 Storing Records [C2.2.5.]

Meridio uses the server's NT File System (NTFS) for storing and preserving electronic records. The permissions assigned at the class, 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 (SP3a) provided the database capabilities during the compliance test.

3.11 Screening Records [C2.2.6.1.]

Meridio provides record screening functionality via search functions. Records managers choose "Folders and Classes" under "Search For" and specify their criteria. Records managers can screen for records due for disposition as of a specific date, event, or a combination of the two. They can enter a future date to calculate disposition for planning purposes.

3.12 Closing Record Folders [C2.2.6.2.]

Meridio offers records managers and privileged users the capability to close folders. To close a folder to further filing, authorized users view the properties of the folder, click the "Close" button, and then click on "Update." Meridio presents a confirmation screen and records managers click on "OK" to complete the operation.

3.13 Cutting Off Record Folders [C2.2.6.3.]

When creating folders with time-based dispositions, records managers can populate the "Cutoff Frequency" field with the appropriate cut off cycle information. Meridio automatically performs the cutoff at the specified time interval. The next cutoff date is automatically calculated and listed under the "Effective Cutoff Date" metadata field on the folder profile.

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

Meridio provides the capability to freeze and unfreeze folders and records. Meridio prevents records managers from disposing of the folder and/or records attached to the folder. Meridio has the capability to apply multiple holds to a folder or record.

3.15 Transferring Records [C2.2.6.5.]

Meridio automatically tracks records and folders eligible for transfer and/or accession. Records managers select the "Scheduling" node from the tree view to see the records and folders ready for transfer. Records managers approve the transfer and then initiate the export process by using the "Meridio Import/Export" utility. The records manager specifies a directory where the records and associated metadata is transferred.

3.16 Destroying Records [C2.2.6.6.]

Meridio automatically tracks records and folders eligible for destruction. Records managers select the "Scheduling" node from the tree view to see the records and folders ready for destruction. Meridio requires records managers to confirm destruction twice by enabling the "Dispose" button only after "Confirm disposal" is selected. Records managers click on "Execute" to finalize destruction.

Meridio allows the records manager to retain metadata of destroyed records, if desired. Meridio's audit log records all destruction transactions. Deleted records are not recoverable with a file recovery utility.

3.17 Cycling Vital Records [C2.2.6.7.]

Meridio 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 the records should be reviewed. Meridio sends an email to the designated contact when records are due for review.

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

Searches in Meridio allow users to search on one value at a time, or to build complex searches using two or more values and the Boolean AND, OR, or NOT operators. Users can save frequently used searches and share them with others, if desired.

Users also have the opportunity to select exactly what fields should be presented in the search results 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.]

Meridio provides several methods to control user access to records held in the repository. This control is managed in four ways: end-user roles, supplemental markings, file plan access, 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.

Meridio 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.]

Meridio's audit log captures all activity that occurs in the repository to include add, update, and delete for user accounts, user groups, records, metadata elements, and file plan components. Meridio ships with full logging enabled. If administrators wish to log only specific events, they access the "Audit Reporting" module and specify events that are written to the system.

Meridio 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 Advanced Server) and database management system (SQL 2000) provided the required system management capabilities.

4. Non-Mandatory Features Demonstrated

4.1 Bulk Loading Capability [C3.2.2]

Meridio provides the capability to bulk load electronic records and file plans using the "Import/Export" module. Records managers specify the source of the import file and complete the wizard to import the records and/or file plans into the Meridio database.

4.2 Interfaces to Other Software Applications [C3.2.3.]

Meridio includes a plug-in to MS Office applications (Word, Power Point, and Excel) that allows users to file records to Meridio from within the application in which they were created.

During the test, the MS Office plug-in was not installed on the client workstations, therefore this capability was not part of the compliance test.

Meridio also provides a Microsoft Outlook plug-in for filing e-mail from Outlook to Meridio. Users are able to file email, including attachments, by dragging email from an Outlook folder to a Meridio folder. The Outlook plug-in was included in the compliance testing.

4.3 Report Writer Capability [C3.2.4.]

Meridio includes some standard reports out-of-the-box. Additionally, users are able to perform searches and customize their result sets for printing.

Meridio has the capability to interface with report writer software, including Crystal Reports.

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

Meridio 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. Help is context-sensitive and extensible.

4.5 Document Imaging Capability [C3.2.6.]

Meridio has the capability to interface with Kofax Ascent Capture for high-throughput scanning. Scanned documents are filed as records along with OCR renditions to support full-text searching of scanned documents.

4.6 Fax Integration Capability [C3.2.7.]

Meridio allows users to output a record to a fax server application. The user performs a search for the record, then selects the appropriate fax machine from their printer drop-down list.

4.7 Bar Coding Capability [C3.2.8.]

Meridio has the capability to work with a variety of external bar code equipment to support records center management and circulation of physical records. Meridio can be customized to use any existing barcode formats to automate the tracking of physical records.

4.8 Retrieval Assistance Capability [C3.2.9.]

Meridio has extensive search and retrieval capabilities. Users can build complex search queries and save them for future use. Full-text indexing allows for keyword searches.

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

Meridio includes several metadata fields to support searching the file plan. Users select "Folders and Classes" to isolate their search to file plan categories and folders, enter their search criteria, and Meridio displays any categories or folders that match the criteria, based on the user's permissions.

4.10 Internal Viewer Capability [C3.2.14.]

Meridio provides its own internal viewer that allows users to view up to 255 different file types.

4.11 Web Capability [C3.2.15.]

Meridio is a web-based RMA. All records (physical and electronic) and most records management functions are URL accessible. The application is available through Internet Explorer.

4.12 Enhanced Support for Off-Line Records [C3.2.17]

Meridio includes enhanced support for off-line records. Users can request and register new physical records with Meridio and privileged users can track location, authorize check-out, and confirm check-in of physical records through the Meridio web interface.

5. Management of Classified Records

Meridio satisfied all Chapter 4 requirements. The following paragraphs highlight Meridio's implementation of specific Chapter 4 requirements.

5.1 *Managing Classified Records [C4.1.]*

Meridio provides the capability to manage classified records. When the security module is activated, users can add metadata that describes the classified record and file it to Meridio.

5.2 *Mandatory Metadata [C4.1.1.]*

Meridio comes with all the classified metadata elements as specified in Table C4.T1 of the Standard.

5.3 *Classification Guides [C4.1.10.]*

Meridio provides the capability to establish automatically triggered classification guides. When a designated classification guide indicator is entered in the "Derived From" field, the "Reason(s) for Classification," "Initial Classification," "Current Classification," and the "Declassify On" fields are automatically populated. Additionally, users will only see those classification guide indicators that match their security profile.

5.4 *Editing Records [C4.1.12.]*

Authorized users can search for classified records due for downgrade or declassification. If the classification status of the record changes, authorized users are allowed to edit the classified record metadata.

5.5 *Restricted Data and Formerly Restricted Data [C4.1.13]*

Meridio provides the capability to handle classified records with the "Restricted Data" and "Formerly Restricted Data" supplemental markings. When a user selects either marking, any data in the "Downgrade On" or "Declassify On" fields is de-activated.

5.6 *Record History Audit [C4.1.16.]*

Meridio's record history captures changed metadata values, and the user who entered that value. Users can view, copy, save, and print the audit log based on their access permissions. The capability to delete the audit log is reserved for authorized users only.

5.7 *Access Control [C4.1.20]*

Meridio provides the capability to restrict access to classified records and their metadata based on access criteria. Users are assigned a classification (security) level of Top Secret, Secret, Confidential, or Unclassified. Security levels are hierarchical, therefore, those users assigned a "Secret" security level will only see documents marked Secret and below.

Users are also assigned supplemental markings. Supplemental markings do not override a user's access, but work in conjunction with the user's designated classification level to partition access. Additionally, Meridio has the ability to restrict access on user-defined fields.