

Meridio v5.0 by Autonomy

Meridio Summary Report

The Joint Interoperability Test Command (JITC) tested Autonomy's Meridio v5.0, a web-based client Records Management Application (RMA) on-site at the Autonomy facility in Belfast, Northern Ireland from 23 Oct through 1 Nov 2007.

JITC verified that Meridio v5.0 is compliant with Chapter 2, Mandatory Requirements, and Chapter 4, Management of Classified Records, of Department of Defense 5015.2 Standard, "Design Criteria Standard for Electronic Records Management Software Applications," dated 19 June 2002. JITC used version 7.5 of "RMA Compliance Test Procedures" to verify compliance.

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1. Product Identification

Autonomy's Meridio v5.0, 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
- Meridio for Desktop Applications
- Meridio for Microsoft Outlook

2. Test Configuration

The test configuration for the Belfast, Northern Ireland tests consisted of:

- One server running the Microsoft (MS) Windows 2003 Server (R2) Operating System (OS) and MS SQL Server 2005 (SP1).
- One server running MS Exchange 2007.
- One web server running IIS 6.0.
- One client Personal Computer (PC) running MS Windows Vista Business Edition. Installed software included MS Office 2007 and Internet Explorer (IE) 7.0.
- One client PC running MS Windows XP Professional (SP2). Installed software included MS Office 2003 (SP3) and Internet Explorer 7.0.

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.]

Meridio demonstrated backwards compatibility by loading the Meridio v4.4 backup and upgrading it to Meridio v5.0.

3.5 Accessibility [C2.1.5.]

Meridio 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.

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. Meridio offers several methods for filing electronic records including:

- Meridio Web Client
- Meridio for Desktop Applications
- Meridio for Microsoft Outlook

To file records using the Meridio Web Client, users 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 check "Declare as Record" and click on "Add to Meridio" to save the record to the database.

Users can file records to Meridio from within the application in which they were created using Meridio for Desktop Applications. Users select "Save" from the "File" menu and are prompted to complete the "Save to Meridio System" dialog. Users check "Declare as Record" and "Save" to add the document to the Meridio repository.

In addition, Meridio provides the capability to file records to Meridio from MS Outlook using Meridio for Microsoft Outlook. Users can file directly to the Meridio file plan from MS Outlook.

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 while maintaining the links between them.

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 2005 (SP1) 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 the "Folder" item type under "Search" 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, and deselect the "Open" check box. Meridio presents a confirmation dialog, users then click on "OK" to continue, then click "Update" 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.

3.21 System Management Requirements [C2.2.9.]

The operating system (MS Windows Server 2003 (R2)) and database management system (SQL 2005 (SP1)) provided the required system management capabilities.

4. Non-Mandatory Features Demonstrated

4.1 Global Change Capability [C3.2.1]

Meridio provides the capability for authorized users to make global changes to record and file plan components. Authorized users have the ability to "Cascade" changes made to file plan components. During testing, changes made to file plan and record attributes were propagated throughout the RMA.

4.2 Bulk Loading Capability [C3.2.2]

Meridio provides the capability to bulk load electronic records and file plans using the Administration Client. Records managers have two options to import records into Meridio using the Meridio/Import Export utility:

1. Records and associated metadata can be imported in bulk via an XML format. This can be either from another Meridio system or other RMA systems where exported data has been mapped on the XML schema. Imported records are stored in their original format, and any relationships between records are maintained through the use of Meridio relationship objects. The hierarchy of classes and folders are also imported so that the structure is maintained.
2. File system directory structures can be imported and converted into a classification scheme. This can also optionally include any content that exists in the directory structure, where documents are in a recognized format (Microsoft Word, for example). Meridio can also extract any property data and register this with the record.

Meridio Templates can also be used in bulk addition to provide common information for new objects. Bulk addition allows users to add a number of objects to the system in one operation, rather than having to add each object individually. Documents, groups and users can all be added by this method.

4.3 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 (Meridio for Desktop Applications). In addition, Meridio provides a plug-in to MS Outlook that allows users to file records to Meridio from Outlook (Meridio for Microsoft Outlook).

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.

4.4 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.

Authorized users can create additional reports using the Microsoft Visual Studio Reports Server Project wizard which is available in the web-based Administration client. Authorized users can modify out-of-the-box reports or create custom reports.

4.5 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.

4.6 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.

4.7 Fax Integration Capability [C3.2.7.]

Meridio provides fax integration capability through its Enterprise Document Capture (EDC) module. Users define rules for automatic capture of content through fax servers.

4.8 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.

4.9 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 also allows for keyword searches. Authorized users can assign a hierarchical vocabulary to records, folders, or classes. Any number of keywords from the vocabulary may be assigned concurrently. When users search on a keyword, they will find any object which has been assigned that keyword or any descendant keyword from the hierarchy.

Meridio provides a Keyword Importer utility that enables a keyword hierarchy to be imported into Meridio from an XML file. This XML file defines a hierarchy of keywords taken from an existing schema.

4.10 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.

4.11 Workflow and/or Document Management Features [C3.2.11.]

Meridio comes enabled with capability for a basic document approval workflow. Meridio provides the capability to integrate with several other workflow products including K2.net and Metastorm.

4.12 Records Management Forms and Other Forms [C3.2.12.]

Meridio has the capability to interface with K2.net and other form generating software to generate standard records management forms. Workflows are created to auto-populate the forms.

4.13 Internal Viewer Capability [C3.2.14.]

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

4.14 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.

4.15 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.

4.16 Enterprise Document Capture (EDC)

Meridio offers a separate module to automatically capture document content. The Enterprise Document Capture (EDC) module provides the capability to capture Exchange e-mails and Live Communication Server messages. Authorized users can create a rule based on either the metadata or content of the documents to be captured that defines which documents are automatically captured. Users can specify a rule-set which can define the location of a document in the file plan based on data extracted from the document. The captured documents can be declared as records upon addition to Meridio. Users can also apply access control to documents and records added through the capture solution.

4.17 Autonomy Connector

Meridio offers a module that allows the Autonomy IDOL engine to be used as the search component of a Meridio solution. This provides Meridio users with the full capability of Autonomy IDOL™ and its meaning based computing solution. IDOL™ includes a wide range of retrieval methods, from simple legacy keyword search to highly sophisticated conceptual querying; The Autonomy IDOL connector allows Meridio to benefit from additional Autonomy features such as hyper linking (showing contextually linked content), auto summarization, automated taxonomy generation, auto categorization, result clustering, search agents for highlighting relevant items of interest, interest profiling, alerting users to new pertinent content.

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 Classifications 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.

Last revision: **11 January 2008**