

Acorde Records Management v4.0 and Acorde Context Records Management v4.0 by Optika

Optika Summary Report

The Joint Interoperability Test Command (JITC) tested Optika's Acorde Context v4.0 and Acorde Records Management (ARM) v4.0, an integrated records management solution, at the Optika facility in Colorado Springs, Colorado from 20 through 31 October 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

Optika's Acorde Records Management (ARM) v4.0 and Acorde Context v4.0, hereafter referred to as Acorde, is an integrated RMA solution. ARM also provides stand-alone capability for managing non-electronic documents, but was not tested in that mode.

2. Test Configuration

The test configuration consisted of:

- One server running Acorde Server on the Windows 2000 (SP4) Server Operating System (OS) Service Pack (SP4).
- One server running MS SQL Server 7.0, 2000 (SP 3a).
- One server running Oracle 9i.
- One client Personal Computers (PCs) running Windows 2000 Professional (SP4) Installed software included MS Office XP Professional (SP2), MS Internet Explorer (IE) 6.0 (SP1), MS Exchange 5.5 (SP4), and Acorde Records Management v4.0.
- One client PCs running MS Windows XP Professional (SP1). Installed software included MS Office XP Professional (SP2), MS IE 6.0 (SP1), and Acorde Records Management v4.0.

In a subsequent configuration, JITC repeated the test using the Oracle 9i Server OS while using the same client configuration.

3. RMA Mandatory Requirements

3.1 *Managing Records [C2.1.1.]*

Acorde 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.]*

Acorde 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.]*

Acorde provides the capability to implement standard data elements using a combination of object properties and index field values. Acorde provides the capability to create an unlimited number of user-defined fields by editing the underlying data set. Records managers can also rename provided fields if they do not use them for their organizations. 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.]*

Acorde provided the 508 Voluntary Product Accessibility Templates (VPATS) provided as Appendix C of the detailed test report.

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

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

Acorde 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.]

Acorde provides the capability to file both electronic and non-electronic records. Acorde allows users to import or create documents in the Context portion of the solution. Users then use the mouse right menu to show the record profile. All mapped document fields are populated in the record profile. Users complete the record profile and file the record. Records may also be filed in bulk through a data mapping and scheduling mechanism.

At the time of filing, Acorde 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.]

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

Acorde 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 and Oracle 9i provided the database during the compliance test.

3.11 Screening Records [C2.2.6.1.]

Acorde provides record screening functionality via search functions. Templates guide the creation of search queries. Records Managers can develop and save commonly used screening searches. 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.]

Acorde 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 edit the folder and tick the Close check box on the DoD Settings Tab. For event-based dispositions, authorized users can specify an event date, and close the folder on the DoD Settings Tab.

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. Acorde displays a list of folders matching the search criteria. Records managers select the folders they wish to perform cutoff on, and use the global editing mechanism to assign cut off dates to the folders and the records in those folders.

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

Acorde provides the capability to apply holds to folders and records. If a hold is applied to a record folder, Acorde 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 transfer action date within the date range in question. Acorde displays a list of folders matching the search criteria. They highlight the folder they wish to transfer, and create a batch to process the transfer. Once the batch is created, the Records Manager chooses options for transferring content and presses the "Process" button. Acorde transfers a copy of the records and metadata to a user specified directory.

3.16 Destroying Records [C2.2.6.6.]

Records managers search the database for all folders with a destruction action date within the date range in question. Acorde displays a list of folders matching the search criteria. They highlight the folder they wish to destroy, and create a destruction batch. Once the batch is created, the Records Manager chooses options for destroying or keeping metadata and presses the "Process" button.

Acorde and Context 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.]

Acorde 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, Acorde 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.]

Acorde includes an object search as well as a primary and advanced search capability. To use the object search, users type search criteria in searchable fields and select browse. The object search also allows users to retrieve a record by object id and browse through all objects one record at a time. The primary search allows users to search on keywords, primary dates, lookups and flags, and generic terms and retention information. Users enter search criteria and press the search button. The advanced search allows users to build searches based on all fields in the data set, Boolean connectors, and search operators. Users can save searches built in the advanced search for later use.

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.

Users can extract copies of records to their workstations.

3.19 Access Controls [C2.2.7.]

Acorde provides several methods to control user access to records held in the repository. This control is managed in four ways: User Level Access, File Plan Access, Supplemental Markings, and User-defined Fields restrictions. 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.

Acorde 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.]

Acorde 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.

Acorde collects the audit metadata specified in the Standard; however, it does not log users' attempts at unauthorized access, except that of failed user attempts during login.

3.21 System Management Requirements [C2.2.9.]

The operating system (MS Windows 2000 Server) and the database management system (MS SQL Server 2000 and Oracle 9i) provide the required system management capabilities.

4. Non-Mandatory Features Demonstrated

4.1 Global Change Capability [C3.2.1.]

Acorde provides the capability to make global changes to Acorde objects. Global changes are an extension of reporting.

4.2 Bulk Loading Capability [C3.2.2.]

Acorde provides the capability to bulk load electronic documents and then through the application of logical conditions applied to each document's field values it provides an automated mechanism for declaring those documents as records.

4.3 Interface to other Software Applications [C3.2.3.]

Acorde Context provides integration with common office suites. Documents created in the office applications are saved as Context files.

4.4 Report Writer Capability [C3.2.4.]

Authorized users are given reporting functionality from Acorde. A pre-defined report set is available for reporting on in-process documents and records throughout their lifecycle. Authorized users can also create their own custom reports that analyze record metadata, represented by the RMA data model supplied by Acorde. Report results can be saved into the repository.

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

Acorde 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.

4.6 Document Imaging Capability [C3.2.6.]

Acorde provides extensive document imaging capabilities. Acorde can integrate with a variety of scanning devices to provide efficient filing of scanned images as records in Acorde. Acorde 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 Optical Character Recognition (OCR) capability to support full text searching of scanned images, Acorde 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 Acorde. In addition, access control can be applied to redactions to enable authorized users to see through them.

4.7 Fax Integration Capability [C3.2.7.]

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

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

4.8 Bar Coding Capability [C3.2.8.]

Acorde provides the capability to utilize bar coding to help track and manage records. Users can associate barcodes with physical documents of any media type, folders, and boxes, as well as users and physical locations.

4.9 Retrieval Assistance Capability [C3.2.9.]

Acorde 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 text-based documents and TIFF images. Acorde also extracts and indexes by keyword.

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

File Plan components are treated as objects and may be searched as any other Acorde object using the search tools.

4.11 Workflow/Document Management Capability [C3.2.11.]

Acorde offers a workflow module that integrates directly with Acorde. Acorde's work flow 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.

4.12 Records Management Forms Production [C3.2.12.]

Acorde both provide records management forms production capability using Crystal Reports. Optika also provides the most common NARA reports as pre-compiled reports.

4.13 *Print File Label Capability [C3.2.13.]*

Acorde offers the capability of generating single labels or labels for groups of records and includes support for printing color-coded or bar-coded labels.

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

Acorde includes its own internal viewer for viewing TIFF Group IV images, and over 200 hundred other file formats. When users open a document in the Acorde viewer, Acorde displays the image, the record profile metadata, and a separate thumbnail image for each page of the document.

4.15 *Web Capability [C3.2.15.]*

Acorde offers, Acorde RM Web, a web application that allows users to perform many records management functions. Testers used MS Internet Explorer 6.0 and IIS 5 during the certification test.

Application integration with common office applications is available through the RM Web. MS Office XP and MS Office XP were used during certification. Additionally, Acorde offers web access to files.

4.16 *Enhanced Support for Off-Line records [C3.2.17.]*

Acorde offers check-in and check-out tools that support off-line records management as well as inventory and census functionality.

5. *Other Non-Mandatory Features Demonstrated*

5.1 *Space Management for Hardcopy Records*

Acorde RM includes a graphical interface for defining, assigning and managing space for hardcopy and non-electronic records storage. The interface allows users to define different storage spaces including buildings, rooms, containers and folders. Users can defined multiple types of storage containers and use them in different rooms. The interface also allows retrieval of metadata associated with non-electronic records. Users can drill down to a folder on a shelf or in a file cabinet to review and request check out of records.

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