

OnBase Records and Information Management Module v1.0 by Hyland Software, Inc.

OnBase Records and Information Management Module v1.0 Summary Report

The Joint Interoperability Test Command tested OnBase Records and Information Management Module v1.0, a web-based records management application (RMA), at Hyland Software, Inc.'s facility in Westlake, Ohio, from 30 September through 9 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 Chapter 2 mandatory requirements were satisfied.

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1. Product Identification

OnBase Records and Information Management Module v1.0, hereafter referred to as OnBase, is a web-based records management application.

2. Test Configuration

The installed OnBase components consisted of:

- OnBase Config v4.37
- OnBase Web Server v4.37
- OnBase Client v4.37
- OnBase Records and Information Management Module v1.0

The baseline configuration consisted of:

- One server running the Microsoft (MS) Windows 2000 Server (SP4). Installed software included MS SQL Server 2000 (SP3), OnBase v4.37 (with Records and Information Management Module v1.0 activated), MS Outlook 2000 (SP3), MS Exchange 2000, MS Office 2000 (SP3), and MS Internet Explorer (SP1).
- Two client PCs running MS Windows 2000 Professional (SP4), MS Outlook 2000 (SP3), MS Office 2000 (SP3), and MS Internet Explorer 6.0 (SP1).

3. RMA Mandatory Requirements

3.1 *Managing Records [C2.1.1.]*

OnBase 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, and tape by adding record profiles through the user interface.

3.2 *Accommodating Dates and Date Logic [C2.1.2.]*

OnBase stores and displays dates using a 4-digit year format, and recognizes leap years including the year 2000. It accepts user input of valid dates from current, previous, and future centuries.

3.3 *Implementing Standard Data [C2.1.3.]*

OnBase provides the capability to implement standard data. Records managers can configure OnBase with all the data elements as defined in DOD 5015.2-STD and additional fields for custom use. The additional fields can consist of integer, string, or date/time fields.

3.4 *Backward Compatibility [C2.1.4.]*

This is the first test for this product against version two of DOD 5015.2-STD; therefore, test data was not available verify backwards compatibility.¹

3.5 *Accessibility [C2.1.5.]*

OnBase 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.]*

OnBase provides the required capabilities for creating and maintaining disposition instructions and file plans. Folders created under a record category inherit that category's disposition instruction.

3.7 *Scheduling Records [C2.2.2.]*

OnBase automatically tracks the disposition schedules for screening and disposition processing. Records managers reschedule records by altering the disposition instruction of the record category (which reschedules all records associated that category).

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

Users file electronic records through the OnBase interface. OnBase assigns a unique record identifier and a date stamp to each record. The date stamp serves as the required Date Filed field. Users cannot modify either field.

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

3.9 Filing E-mail Records [C2.2.4.]

OnBase provides the capability to file e-mail messages by saving MS Outlook messages as .msg files and bringing them into OnBase as e-mail records. OnBase automatically captures message transmission and receipt data to populate the Author/Originator, Addressee(s), Other Addressee(s), Subject/Title, Publication Date, and Date Received record profile fields.

OnBase gives users the option of saving the e-mail message as a single .msg file, or by saving the e-mail message and attachments separately. When filing e-mail and attachments separately, all records are filed with the same set of metadata. If typical users intend to file an attachment with its own set of metadata, they must first save the attachment to the hard drive and file it as a regular electronic document.

3.10 Storing Records [C2.2.5.]

OnBase uses the server's NT File System (NTFS) for storing and preserving electronic records. The permissions granted at the record category and system 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.

3.11 Screening Records [C2.2.6.1.]

Records managers perform screening functions using the "Record Cycle" tab's search capabilities. From here, they design queries for information relating to folders or record that are qualified for disposition, including transfers, accession, or destruction.

3.12 Closing Record Folders [C2.2.6.2.]

Authorized users close folders by entering the relevant criteria in to the "Record Cycle" tab and performing a search. From the results list, they select the desired folders and click "Close" and "Go." Authorized users can also close folders by navigating the file plan on the "Records - Browse" tab and selecting "Close" and "Go" from the drop down menu located on the bottom of the screen.

3.13 Cutting Off Record Folders [C2.2.6.3.]

Records managers cut off folders by entering the relevant criteria in to the "Record Cycle" tab and performing a search. From the results list, they select the desired folders and click "Cut-Off" and "Go." Authorized users can also cut off folders by navigating the file plan on the "Records - Browse" tab and selecting "Cut-Off" and "Go" from the drop down menu located on the bottom of the screen.

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

To freeze record folders, records managers navigate to the appropriate folder in the "Records – Browse" tab and select "Freeze" and "Go" from the drop down menu located at the bottom of the screen. They can also search for folders by entering relevant criteria in the "Record Cycle" tab and performing a search. From the results list, they select the desired folders and click "Freeze" and "Go." In both instances, OnBase provides the ability to enter a reason for freezing the records/folders. Records managers use the same basic steps to unfreeze records; however, they select "Thaw" instead of "Freeze."

3.15 Transferring Records [C2.2.6.5.]

Records managers find records/folders due for transfer by entering the relevant search criteria in the "Record Cycle" tab and performing a search. From the results list, they select the desired records/folders and click "Export" and "Go." OnBase writes the affected electronic records and record metadata to a specified directory that must be shared with the server. The extracted metadata is in XML format. After the organization receives confirmation that transfer was successful, they again search for items due for transfer and move those records/folders into their next life cycle phase by selecting "Transition" and "Go."

3.16 Destroying Records [C2.2.6.6.]

Records managers find records/folders due for destruction by entering the relevant search criteria in the "Record Cycle" tab and performing a search. From the results list, they select the desired records/folders and click "Delete" and "Go." OnBase provides the ability to either delete the electronic files and their metadata, or just the electronic files. OnBase then deletes the records from the repository and database. Records cannot be reconstructed once they have been deleted.

3.17 Cycling Vital Records [C2.2.6.7.]

OnBase provides the capability for authorized users to gather vital records based on cycling dates by entering the relevant criteria to the "Record Cycle" tab and performing a search. From the results list, they select the desired folders and click "Update Review Date" and "Go." Authorized users can also close folders by navigating the file plan on the "Records - Browse" tab and selecting "Update Review Date" and "Go" from the drop down menu located on the bottom of the screen.

During the test, Hyland Software representatives attached logic to the vital record review date fields that sent e-mail to a specified records manager when the folders were due for vital records review.

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

OnBase provides the required capability for searching for and retrieving records. OnBase allows users to export copies of the records to a server-shared directory.

3.19 Access Control [C2.2.7.]

Records managers assign access control and functional permissions to users and groups at various levels of the file plan. Permissions are inherited down, but records managers can modify those permissions at lower levels of the file plan, if desired. For instance, a user may have permission to search through all categories within a record series, and may be given specific access to file into select categories within that series.

3.20 System Audits [C2.2.8.]

OnBase provides the required system audit reporting capabilities.

3.21 System Management Requirements [C2.2.9.]

MS Windows 2000 Server and MS SQL Server 2000 provided the required system management capabilities.

4. Non-Mandatory Features Demonstrated

4.1 *Internal Viewer [C3.2.14.]*

Users can open image, text, PCL, OLE, HTML, and Adobe files using the OnBase internal viewer.

4.2 *Web Capability [C3.2.15.]*

OnBase is a web-based solution. The application is available through Internet Explorer and requires IIS v5.0.

Last revision: **12 November 2003**