

Objective 7 by Objective Corporation Ltd.

Objective 7 Summary Report

The Joint Interoperability Test Command (JITC) tested Objective Corporation Ltd.'s Objective 7, a stand-alone records management application (RMA), at the Objective Corporation facility in North Sydney, Australia, from 18 through 27 February 2004. JITC verified the implementation using version 7.1 of the Test Procedures and found it is compliant with DOD 5015.2-STD, dated June 2002. All mandatory requirements were satisfied.

TABLE OF CONTENTS

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

1 Product Identification

Objective 7, hereafter referred to as Objective, is a stand-alone RMA. It combines document management and records management.

2 Test Configuration

The initial testbed hardware configuration consisted of:

- One server running the Microsoft (MS) Windows 2000 Server (Service Pack [SP] 3). Installed software included Oracle 9i and Objective Server 7.
- One server running MS Windows NT 4 (SP6). Installed software included MS Exchange v5.5.
- One personal computer (PC) running the MS Windows 2000 Professional (SP4). Installed software included MS Office 2000 (Service Release [SR] 1), MS Internet Explorer v5.5 (SP4), Crystal Reports v8.5, and Objective Client 7.
- One PC running MS Windows XP Professional (SP1). Installed software included MS Office 2002, MS Internet Explorer v6.0, Crystal Reports v9, and Objective Client 7.

In a second configuration, JITC repeated the compliance test using the following:

- One server running Solaris 8. Installed software included Oracle 9i, Tomcat v4.1.24, and Objective Server 7.
- One server running MS Windows NT 4 (SP6). Installed software included MS Exchange v5.5.
- One personal computer (PC) running the MS Windows 2000 Professional (SP4). Installed software included MS Office 2000 (SR-1), MS Internet Explorer v5.5 (SP4), Crystal Reports v8.5, and Objective Client 7.
- One PC running MS Windows XP Professional (SP1). Installed software included MS Office 2002, MS Internet Explorer v6.0, Crystal Reports v9, and Objective Client 7.

In a third configuration, JITC repeated the compliance test using the following:

- One server running MS Windows 2003. Installed software included MS SQL Server 2000 and Objective Server 7.
- One server running MS Windows NT 4 (SP6). Installed software included MS Exchange v5.5.
- One personal computer (PC) running the MS Windows 2000 Professional (SP4). Installed software included MS Office 2000 (SR-1), MS Internet Explorer v5.5 (SP4), Crystal Reports v8.5, and Objective Client 7.
- One PC running MS Windows XP Professional (SP1). Installed software included MS Office 2002, MS Internet Explorer v6.0, Crystal Reports v9, and Objective Client 7.

3 RMA Mandatory Requirements

3.1 *Managing Records [C2.1.1.]*

Objective 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.]*

Objective 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.]*

Objective provides the capability to implement standard data. It can be configured with all the data elements as defined in DoD 5015.2-STD. Records managers can configure Objective with additional fields for custom use and can assign pick lists and default values to assist users in filing records.

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 to verify backwards compatibility.¹

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

3.5 Accessibility [C2.1.5.]

Objective Corporation Ltd. provided the 508 Voluntary Product Accessibility Templates (VPATS) included as Appendix C in the detailed report.

3.6 Implementing File Plans [C2.2.1.]

Objective provided the required capabilities for creating and maintaining disposition schedules and file plans.

Records managers create disposition schedules and assign them to record categories or folders. If a disposition schedule is assigned at the record category level, folders under that level inherit the same disposition schedule (unless a different disposition instruction is specified at that level).

3.7 Scheduling Records [C2.2.2.]

Objective provided records managers with tools to screen and perform disposition processing. Records managers rescheduled files by assigning a different disposition schedule to the record category/folder or by altering the disposal schedule (which rescheduled all record categories/folders associated with that schedule).

3.8 Declaring and Filing Records [C2.2.3.]

Objective offers the following options when filing electronic records.

- Drag and Drop: Users drag and drop files into the desired Objective record folder.
- Right click and select "New": Users navigate to the desired Objective record folder, right mouse click, and select "New" and "New Document."
- File from MS Office Applications: Users create a document in an MS Office application. When they click "Save As," they have the option of saving the document to Objective or of saving it to their computer.

To file non-electronic records, users navigate to the desired folder, right-mouse click, and select "New" and "New Physical Document" (if filing a paper record) or "New Physical Object" (if filing a CD, tape, etc.).

In all cases, Objective presents a filing profile. Users complete the profile, ensure the "Corporate Value" checkbox is ticked, and click "Save" to file the record.

At the time of filing, Objective 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.]

Objective provides the capability to file e-mail messages from MS Outlook 2000 and MS Outlook 2002.

When filing e-mail from MS Outlook, users have three options.

- Store Message In Objective: Stores the e-mail message (including attachments) as an .msg file.
- Store Message And Attachments In Objective: Stores the e-mail message (including attachments) as an .msg file and then files each attachment separately, all with the same metadata. Objective automatically links each attachment to the e-mail message.
- Store Attachment In Objective: Provides the user with an electronic document profile for the selected attachment and stores the record.

3.10 Storing Records [C2.2.5.]

Objective stores records on the server file system. Permissions assigned at the category and folder levels determine who has access to the records and what they can do with those records. Only users with appropriate access can delete records.

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 databases during the compliance tests.

3.11 Screening Records [C2.2.6.1.]

Records managers perform screening functions using a combination Objective's search capabilities from the "Find Objects" screen and the repository's "Disposals" search. They design queries relating to record folders due for vital records review, cutoff, and disposition processing. Records managers can enter future dates to facilitate planning.

3.12 Closing Record Folders [C2.2.6.2.]

Objective offers records managers and privileged users the ability to close folders by assigning the following:

- Edit privileges to record folder metadata
- Designating the privileged user as a "Staff" member (at a minimum) for the virtual repository

Users cannot file records into closed folders. When necessary, records managers can re-open folders to further filing.

3.13 Cutting Off Record Folders [C2.2.6.3.]

To cut off record folders, records managers search for the desired cut off date on record folders. They right mouse click on the desired record folder and change the "Cut Off Approved" value to "true." Objective performs cutoff processing, automatically cutting off the folder and creating a new folder for subsequent filing. Objective creates a "Former/Later" link between the folders. (Organizations can rename the link, if desired.)

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

Objective provides the ability to freeze and unfreeze record folders by placing/releasing embargoes. If a record folder is frozen, records managers cannot execute disposition actions on that folder.

3.15 Transferring Records [C2.2.6.5.]

Objective allows users to transfer and accession records. To transfer records, users perform a disposition search from the repository. They export the record folder and transfer custody of the folder. After receiving confirmation of receipt, they remove the content (which deletes the electronic files from the repository).

To accession records, records managers perform a disposition search from the repository. They export the record folder and transfer custody of the folder. After receiving confirmation of receipt, they execute the "Delete" sentence on the folder.

3.16 Destroying Records [C2.2.6.6.]

To destroy records, records managers perform a disposition search from the repository. They execute the "Delete" sentence on the folder. Objective queues the folder for deletion. Records managers then right mouse click on the folder and click "Delete" to delete the records from the repository and database. Objective requires a second confirmation prior to deleting the records.

Records cannot easily be reconstructed once they have been deleted.

3.17 Cycling Vital Records [C2.2.6.7.]

Objective provides the ability to find record folders due for vital records review. After reviewing the records, records managers or privileged users update the "Last Reviewed Date" and save. Objective then calculates the date the folder is next due for vital records review. Organizations can set up Objective such that an e-mail to the records manager (or a select party) is generated when folders are due for vital records review. The e-mail contains an attachment that automatically takes the user to the appropriate folder in Objective to aid in reviewing vital records.

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

Objective provides the required capability for searching for and retrieving records. Users also have an opportunity to select what fields should be presented in the search results by using the "Show Columns" capability. Objective allows users to export copies of the records to their hard drives.

3.19 Access Controls [C2.2.7.]

Access to the associated Objective functions is granted/restricted through the assignment of privileges to groups and/or users and the record series/category and file plan repository levels. Objective provides support for multiple levels of file plan access. Permissions are hierarchical and inherited down to lower levels. Records managers can alter the permissions at lower levels, if desired. During the test, privileged users were able to create and manage record folders.

In addition, records managers create virtual repositories in Objective to further control access. Within a virtual repository, records managers assign roles to users to determine privileges they have to the objects held in that repository. During the test, records managers were assigned the "Manager" role and privileged users were assigned "Staff" role. Typical users were not granted privileges to the virtual repositories.

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

3.20 System Audits [C2.2.8.]

Administrators determine what events to log for each item type. Examples of audited events include create, move, export, delete, login, and logout.

Objective collects the audit metadata specified in the Standard; however, it does not collect sufficient data to adequately reconstruct a user's attempt at unauthorized access. Organizations can implement Objective's "Single Sign On" functionality and rely on the operating system to track this; however, we did not use this during testing.

3.21 System Management Requirements [C2.2.9.]

Operating systems (MS Windows 2000 Server, MS Windows 2003, and Solaris 8) and database management systems (MS SQL Server 2000 and Oracle 9i) provided the required system management capabilities.

4 Non-Mandatory Features Demonstrated

4.1 Workflow Features [C3.2.11.]

Objective Workflow allows users to create and define tasks that describe business processes used by the organization. After creating tasks and making them part of the Workflow, Objective Workflow monitors the tasks and automatically generates e-mails to users when they have items due for action. Workflow objects can be filed as records.

4.2 Fax Capability [C3.2.7.]

The "Objective Xlink – Fax Gateway" and the "Objective Xlink – Fax Gateway Optical Character Recognition (OCR)" modules allow incoming faxes to be automatically added and filed into the Objective system.

- The Objective Xlink – Fax Gateway Server - allows organizations to receive incoming faxes directly into Objective. This system utilizes Fax Server technology to monitor all incoming faxes and registers these documents into Objective, including naming and indexing the faxes based upon the caller identification information provided by the sending fax machine.
- The Objective Xlink – Fax Gateway OCR - enables incoming faxes to enter Objective through OCR, producing a text version of the document. Objective automatically links the fax image and the text file.

4.3 Bar Code Capability [C3.2.8.]

Objective provides a barcode interface that allows all objects to have a barcode assigned. This interface allows physical objects to be tracked and transferred using barcodes on the physical documents. In addition, barcodes can be assigned to users, locations, and Objective commands; thereby minimizing the keystrokes necessary to perform various functions.

4.4 Web Capability [C3.2.15.]

Objective offers the Objective Web Portal. Users log into Objective through the Internet. The Web Portal provides typical user functions including filing (electronic, non-electronic, and e-mail), searching for records, and retrieving records. In addition, records managers and privileged users can create folders using the Web Portal.

Last revision: **5 April 2004**