Kofax Capture 9.0 Upgrade Considerations
Upgrading to Kofax Capture 9.0 from Ascent Capture 7.x or Kofax Capture 8.0
Application Note

Date	July 22, 2010
Applies To	Kofax Capture 9.0
Summary	Considerations when upgrading to Kofax Capture 9.0 from the two previous major versions of Capture (Ascent Capture 7.x or Kofax Capture 8.0).
Revision	1.0

Upgrade considerations

The purpose of this document is to review two upgrade paths to the Kofax Capture 9.0 product. Special consideration is given to the particular case of upgrading from Ascent Capture 7.x.

It is intended as an abstract to help in the decision of what type of upgrade to perform and is not a replacement for the complete instructions found in other documents. Please carefully read, understand and follow all of the instructions provided with your software prior to upgrading to Kofax Capture 9.0.

Two main ways to upgrade

There are two main ways to upgrade an Ascent or Capture environment to Kofax Capture 9.0. An Upgrade Install which upgrades the environment in place. Or, a Fresh Install, where the Capture software is installed as a new environment and the old environment's data is then imported.

Upgrade Install Overview

The software on a machine is upgraded directly to the newer version. The procedure is fully described in the Kofax Capture 9 Installation Guide starting on page 48. Ascent Capture 7.x and Kofax Capture 8.0 product installations can use these upgrade installation instructions. Environments running earlier versions than Ascent Capture 7.0 must perform an intermediate upgrade to Ascent Capture 7.x or Kofax Capture 8.0 before upgrading to Kofax Capture 9.0.

The Upgrade Install is performed by running the Kofax Capture 9.0 installation. It will upgrade all of the main program files in place, retaining settings, batch classes and batches in the system. The standard database (MSDE for 7.x and SQL Server Express 2005 for 8.0) will be uninstalled and SQL Server Express 2008 will be installed. The old database is then renamed, mounted and copied into the new database. Kofax Capture 8.0 introduced significantly different file paths in order to bring it current with programming best practices. Upgrades from Ascent Capture 7.x do not upgrade the file paths which can lead to confusion in support situations.

When the Upgrade Install process works successfully, the upgrade is quick and requires very little interaction. When it fails, it is sometimes difficult to diagnose where the failure occurred and to recover and resume the upgrade process. The lists below contain the pros and cons of upgrading to Kofax Capture 9.0.

Pros

- Requires the least interaction
- Preserves settings without effort
- Batches can be left in the system

Cons

- Failures in upgrade can be difficult to recover

- Retains legacy file paths (from Ascent Capture 7.x to newer)

- Can retain large amounts of User Tracking data

Fresh Install Overview

The new software is installed on new hardware or, if on the same hardware, the old software is removed and the new software is installed fresh. The lists below contain the pros and cons of running a fresh install (not upgrading) to install Kofax Capture 9.0.

Pros

- If done on new hardware, can minimize production downtime

- If done on new hardware, allows for easy rollback to old system in the event of serious issues

- Ensures current file paths for ease of support/security considerations

- No conversion means less chance for issues

- The process leaves no choice but to perform backups

Cons

- On existing hardware, takes slightly more time.

- May require reinstallation of clients

- Some preferences may need to be set again

Preparation

Back up your environment

Regular backups are an important part of any Capture environment. But before upgrading software it is essential that backups are done in order to restore an original environment should something in the upgrade or installation process go wrong.

Backup strategies include:

- Your IT department's backup implementation

- Manual backups of your Capture software using the appropriate Knowledgebase article.
    - Ascent Capture 7.x – Kofax Knowledgebase article QAID #6428
    - Kofax Capture 8.0 – Kofax Knowledgebase article QAID #12788

For convenience and accessibility, export your batch classes (including any Xtrata settings) so they are handy should an Upgrade Install turn into a Fresh Install. Likewise, using the Batch Removal Utility to remove batches in the system can give you a backup of what is currently being processed through the environment.

Test for compatibility

Before upgrading your production environment, it is part of due diligence to ensure that your existing environment will still perform with the new software. Setting up a test environment with Kofax Capture 9.0 provides you a dry run for what your production upgrade will be like. In the instance of a Fresh Install to new hardware, this new server could form the basis of your upgraded production environment.

In addition to testing standard Capture functions to verify that the new results are acceptable, be sure to test the following for compatibility and performance:

- Workflow Agents
- Database Validations
- Custom or Third-Party Release Scripts
- High Performance Recognition engines
- Custom Modules
- Validation Scripts
- Recognition Scripts
- Performance and capabilities of new Operating Systems on any new hardware

The Upgrade Install

Upgrade installations should follow the supplied instructions in the [Kofax Capture 9 Installation Guide](#).

1. Back up the Capture server and database.
2. Install per instructions in the Installation Guide starting on page 48.

The Fresh Install

The Fresh Install on new hardware is perhaps the most useful of any of the upgrading methods. Because the upgraded environment is set up in parallel to the production environment, it can be tested and tuned before the production environment is transitioned. The new server takes the place of the old server and then the clients are upgraded (if the new server has the identical name) or repointed and upgraded or removed and reinstalled.

Fresh Install on New Hardware:

1. Export the Batch Classes (.cab) from your old Capture environment.
2. Process all the batches to ensure that all the images will be released. Or, if that is not possible, use the Batch Removal Utility to export all of the batch images and data.
3. On the old Capture server, copy the contents of the \AscentSV\stationID or \CaptureSV\stationID folder, this folder contains the files names of the workstations IDs. These files will need to be copied back out to the same place after the Capture Server is installed on new hardware. There is one file per workstation.
4. Install Capture on the new hardware.
5. Setup any third-party Export Connectors, Workflow Agents or other customizations.
6. When that is done, import the cab file and copy the workstation files back out to the CaptureSV directory on the server. Publish and test the Batch Classes.
7. Import any exported batches using KCIC-XML.

If the new server has a different name than the old:

8. On every workstation, edit the Registry and change the "ServerPath" under

   "HKEY_LOCAL_MACHINE/Software/Kofax Image Products/Ascent Capture/3.0"

9. Change any other paths in any existing customizations from the workstation to the new server name.

10. Update all client workstations by running \\<server>\CaptureSV\WrkInst\setup.exe

> **NOTES:**
>
> Do not start any modules on any client after the ServerPath has been changed and before they have been upgraded. If the standard database is used, the clients will attempt to connect to the database with an incorrect password and that may cause your sa account to be locked out.
>
> The supported method of moving client machines to a new Capture server is to uninstall them and reinstall from the new server's WrkInst folder. This method of repointing a client and then reinstalling works and can save some time, but if any issues arise from it, the supported method is still to uninstall Capture from the client and install fresh from the new server.

If the new server will have its name changed to that of the old server:

> **NOTE**: Do not start any modules on any client before they have been upgraded. If the standard database is used, the clients will attempt to connect to the database with an incorrect password and that may cause your sa account to be locked out.

8. Remove the old server from the network and rename the new server.

9. On the server, in "..\CaptureSV\WrkInst\Install\Bin" edit Install.ini to modify any occurrences of the server name or path.

10. On the server, edit the Registry and change the "ServerPath" under

    "HKEY_LOCAL_MACHINE/Software/Kofax Image Products/Ascent Capture Server"

11. On the server, in "..\CaptureSV \BatchDB\Catalog" edit BatchCat.MTH to modify any occurrences of the server name or path.

12. On the server, in "..\CaptureSV \Config" edit ACConfig.xml (both HOST and STANDARD INSTANCE) to modify any occurrences of the server name or path.

13. Update all client workstations by running \\<server>\CaptureSV\WrkInst\setup.exe.

Fresh Install on Existing Hardware:

The goal of the Fresh Install on Existing Hardware is to remove all traces of the previous Capture installation before replacing it with the current version. This includes replacing the database. If the existing installation uses SQL Server, Oracle or DB2, install the new Capture server pointed to a new schema in your database. No data from the old database will be transferred.

1. Export the Batch Classes (.cab) from your old Capture environment.

2. Process all the batches to ensure that all the images will be released. Or, if that is not possible, use the Batch Removal Utility to export all of the batch images and data.

3. Install the new Capture server as a first time install per the instructions in the Capture 9 Installation Guide.

4. Set up any third-party Export Connectors, Workflow Agents or other customizations.

5. Import the Batch Classes from the .cab file. Publish and test the Batch Classes.

6. If the old server setup had an AscentSV share, make sure that path is still available. Create it pointing to the same position as CaptureSV if necessary. Use the "New Share" button in the folder sharing preferences to create a new share point to an existing share.

7. Update all client workstations by running \\<server>\CaptureSV\WrkInst\setup.exe.

Application Note Summary

When approaching a Capture upgrade, always ensure that you have good, working backups of your environment. If possible, test your backups by restoring them to a development environment. Use that environment to test your upgrade plan. Thoroughly test every aspect of your workflow from beginning to end on the upgraded environment.

Consider the age and lifespan of your hardware when upgrading. It may make sense to start over on new equipment if your hardware is old or underpowered and your upgrade cycle is long.

Below is an excerpt from the 2009 End of Sale/End of Support Announcement for Kofax / Ascent Products document (dated 11/12/2009) located on the Kofax.com Support Web site. Click the link to move to that page for the latest Kofax Capture / Ascent Capture End of Sale/End of Support information.

Product	Version	Language	End of Sale	End of Support
Capture Products				
Ascent Capture	5.x	All	March 31, 2005	December 31, 2005
ACI Server	5.x	All	March 31, 2005	December 31, 2005
Ascent Capture	6.x	All	June 30, 2005	July 31, 2008
ACI Server	6.x	All	June 30, 2005	July 31, 2008
Ascent Capture	7.x	All	April 17, 2008[1]	March 31,2011
ACI Server	7.x	All	April 17, 2008[1]	March 31, 2011
Capio	All	All	April 1, 2008	April 1, 2009
NOTE: 1. March 31, 2010 is the last day for existing Ascent Capture and ACI Server version 7.x customers to order additional 7.x licenses.				