Knowledgeone K1

USING KNOWLEDGEONE K1 AS A RECORDS MANAGEMENT SOLUTION

Using Knowledgeone K1 as a Records Management Solution

Overview

This paper covers how any organization can use Knowledgeone K1 as a complete records management solution. It also covers how you can use the features of Knowledgeone K1, the DRM K1 and Xchange K1 to easily and quickly meet any compliance standard.

Knowledgeone K1 comes with a records management personality already configured. This means that you can use Knowledgeone K1 'out-of-the-box' as a working records management solution.

In addition, if you are a RecFind customer, we provide a special conversion program called 'RecFind2K1' that will automatically convert all of your RecFind databases to a single Knowledgeone K1 database. All of your RecFind information will be brought across to Knowledgeone K1 including Action Officers, Security, File Folders, Document Profiles, Box Profiles, File Titling, File and Document numbering, Movements, Resubmits, Retention and any attachments (electronic documents and images).

For non RecFind customers, you can utilize Knowledgeone K1's Xchange K1 program to import all your data (from virtually any source) into Knowledgeone K1 and build all of the tables you require.

Note: All of the information covered in this paper is also covered in Knowledgeone K1's online help system.

This is about Business Process

When I first began writing this paper it was intended to be a roadmap for our customers telling them how to setup Knowledgeone K1 to manage their records.

But, the more I spoke to our customers the more I realized that the 'problem' wasn't so much that the customers didn't understand Knowledgeone K1, it was that they didn't really understand the business processes that existed in their organization and therefore were not able to get to first base.

Ergo, if you don't really understand the business process then you don't have a snowball's chance in hell of implementing those same business processes in Knowledgeone K1.

This is one of the dilemmas of a new genre product like Knowledgeone K1 that empowers the customer to be able to change almost any aspect of the system. Apart from the 'out-of-the-box' personalities of Knowledgeone K1, business processes are not pre-programmed into the system. Rules are also not pre-programmed into the system because it is a generic application processing system.

Knowledgeone K1 was not designed to do one specific set of tasks or run a single application, it was designed so it could do literally anything, run any application and run multiple applications concurrently. And, unlike conventional application systems where core business processes are 'hard-coded' and unchangeable by the customer, any business process in Knowledgeone K1 is changeable by the Knowledgeone K1 customer.

So, using Knowledgeone K1 requires a completely different mindset, basically, "If you don't like it, then change it."

Because of the above realization, I changed the content of this paper to include information on records management principles and practice (not my original intention). I have tried to describe and cover all the business processes involved in an electronic records management system as an

aid to our customers struggling to understand how to first analyse and then convert those business processes to Knowledgeone K1.

This means it has become something of a mini text book as opposed to a white paper. I apologize for the length but didn't feel I could do the subject justice with including a significant amount of discourse on records management business processes.

So, What is Records Management?

The simple answer is that records management is the management of all records within any organization. This is course begs the question, "What is a record?"

I have answered this same question many times in white papers and conferences but perhaps the most appropriate reference can be found on our old gmbsupport website at:

http://www.gmbsupport.com/News/Papers/Electronic%20Records%20Principles.htm

The paper was written in 1996 but the principles are as valid today as they were then. In short, a record is evidence of a business transaction. It can be in many forms, e.g., a four-page paper document, a cardboard file folder, an electronic document like Word or Excel, a fax or an email (e.g., frank.msg).

Every country has laws governing what records each enterprise must keep and how long they must be kept. The laws and regulations will vary from country to country, from state to state, from province to province, from county to county. They will also vary from industry to industry but, be assured that there **are always laws and regulations governing how you should be managing your corporate records**.

What Processes are involved in Managing Records?

There are many publications and papers that describe the processes or functions required in an electronic records management system. One could say that there is a plethora of often conflicting statements about what processes or functions should be employed and should be 'mandatory'.

This isn't bad news, it is good news because the industry is involved in an ongoing, very active and very healthy debate about what should and should not be. The various statements reflect different compliance standards, different schools of though on records management principles and practice and sometimes even features from popular records management software applications that have become pseudo standards.

There isn't a single 'bible' on records management practice and nor will the debate soon end because it needs to be ongoing to reflect the rapidly evolving profession and to cater for the rapidly occurring changes in both computer hardware and computer software.

However, I have compiled a simple overview, as follows. Note that the terminology will vary country to country, state to state, province to province (so please do not get hung up on terminology) but essentially this is what has to happen in any organization committed to managing its corporate records:

Capture

We first have to capture a record before we can do anything with it. This means record it in some way in our system.

In Knowledgeone K1 we can capture records in many different ways. For example:

1. Import the record(s) using Xchange K1

2. Import the record(s) using Scan K1
3. Capture the record(s) using the Button K1
4. Capture the record(s) using the Read Method in Knowledgeone K1
5. Capture the record(s) using the Scan Method in Knowledgeone K1
6. Add the record(s) by keying in the information, e.g., adding a new MetadataProfile record (MDP) using the Knowledgeone K1 standard user interface; keying in all the details.

So rest assured that Knowledgeone K1 will meet all of your requirements for capturing corporate records.

Declare/Register

You have to assign a unique identifier and register a record within your system.

In Knowledgeone K1 we provide multiple options for defining the 'uniqueness' of a record and registering it with a unique ID, e.g., have Knowledgeone K1 automatically generate a unique External ID every time a new record is captured using the 'Auto Number Format' feature.

We also provide for any number of 'different' record types by supporting both multiple number formats and multiple number sequences. You can fundamentally set up and enforce any number system you like and you can set up and enforce any number of numbering formats; there is no limit in Knowledgeone K1. And, all of these numbering systems can be set up and configured without programming.

There is also always a backup unique identifier in Knowledgeone K1 because the system always assigns each record a unique Internal ID (normally invisible to the end user). This unique Internal ID will stay with the record for its entire life and is the ultimate ID for all auditing transactions.

Organize (File Plan)

We will go into much more detail about a File Plan later in this paper. Fundamentally, the system must facilitate the organization of records in a logical manner and the usual way to do this is by the creation and application of a File Plan that will govern how all types (classes, categories) of records are managed and organized within an enterprise.

Knowledgeone K1's records management personality is built around the concept of a File Plan governing all aspects of a record's life cycle and management. It is a standard part of the 'out-of-the-box' records management personality of Knowledgeone K1.

Secure

Corporate records should be kept in an inviolate state. But electronic records include two components, the original electronic object (e.g., an email, a Word document, a PDF document, an Excel spreadsheet) and the Metadata.

We should ensure that the electronic object is inviolate (i.e., cannot be overwritten) but we need to allow updating of Metadata. The trick is to ensure that you record and audit all changes to Metadata and manage access rights to that same Metadata.

Knowledgeone K1 protects the original electronic object and prevents it being overwritten and also provides a comprehensive security regime so you can control who is allowed to modify the Metadata. And finally, Knowledgeone K1 also keeps an audit trail of all changes to Metadata.

Of course, keeping records secure goes far beyond the application features of the electronic record keeping system. Issues like the following (not an exhaustive list) must be considered:

- Does the internal logic of the application prevent data integrity problems (this is an application architecture and design issue)? For example, can two users simultaneously update the same record with unpredictable results? If they can then your system has failed the multi-user test and you cannot guarantee the security of your records.
- Does the system employ failsafe rollback and recovery functionality to guard against application, operating system, network and database failures? If it doesn't, then you cannot guarantee the security of your records.
- Is the database regularly and systematically backed up (and the backup verified) to guard against a catastrophic system or environmental failure (e.g., a fire or a flood)? If not, then you cannot guarantee the security of your records.

Knowledgeone K1 provides all of the above application functionality to ensure that your records are secure.

Manage Access

Basically, "Who gets to do what to what and when?"

This is about controlling access to both data and methods. It is not enough to control what records a person may 'see', you also have to control what a person can do with a record once he or she can see it. For example, can the user view the record, can the user add a new record, can the user modify a record, and can the user delete a record? And, this control has to be down to the field level.

Access Control in Knowledgeone K1 is part of the Knowledgeone K1 Security regime which we will discuss later in this topic under the sub heading 'Security'. However, be assured that Knowledgeone K1 provides all of the access control features you will require.

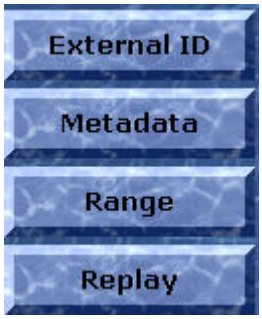
Retrieve/Search

This isn't much point in storing stuff away in a secure place if you can't find it again is there?

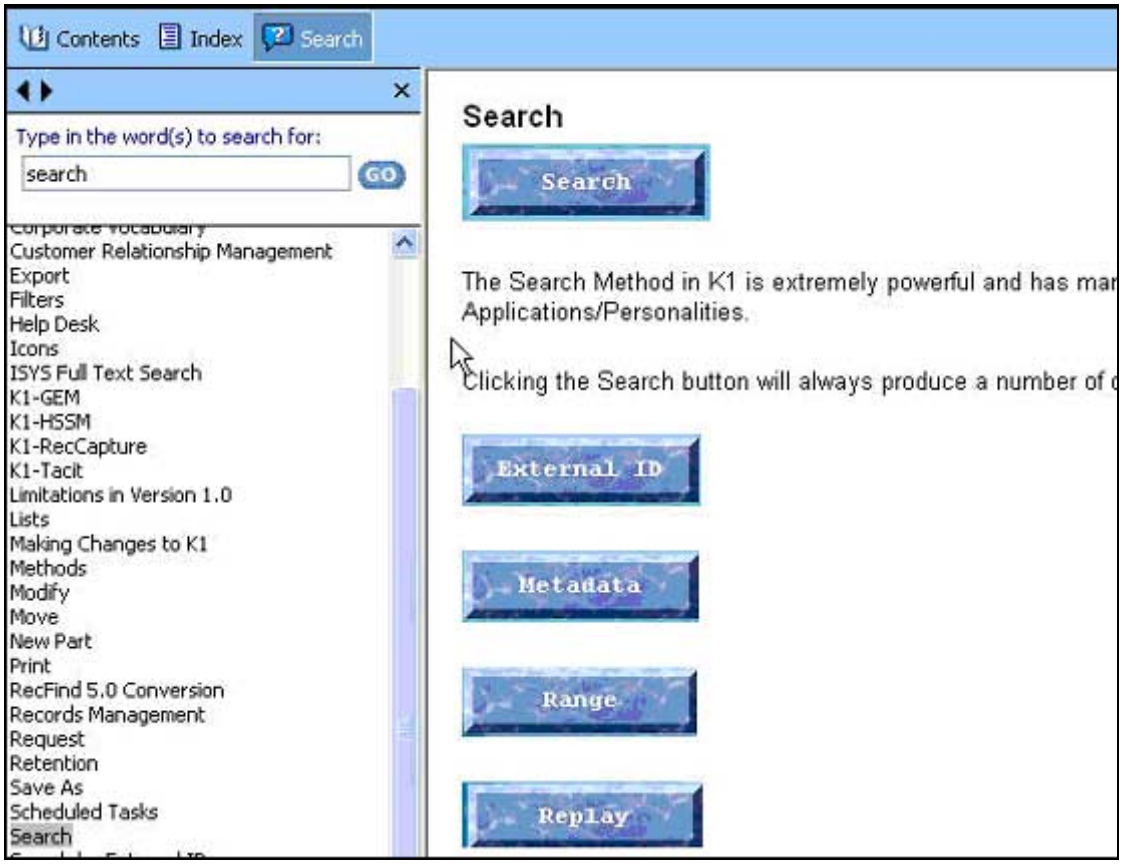
If you store records then you must be able to easily and quickly find them again. For example:

- Can you find them by their unique IDs?
- Can you find them by their Record Category?
- Can you find them by their Barcode Number?
- Can you find them by their Retention Code?
- Can you find them by values on one or more elements of Metadata?
- Can you find an electronic record by its Type, e.g., .doc, .msg, .pdf, etc?
- Can you find an electronic record by a Search of the Contents of its Full Text?

Knowledgeone K1's Search Method provides the ability to search for a record by any attribute or combination of attributes of that record. It provides both Metadata and full text searching capabilities. It also allows you to save searches for future use (Replay).



Note: Please click on Knowledgeone K1's online help and search on "Search" and then select the Search topic, as follows, for a detailed explanation of how to use Knowledgeone K1's Search Methods.



Print/Report

Despite the fact that we are all supposed to be living in a paper free world we are using more paper per annum than ever before. But this isn't necessarily a bad thing as there are many circumstances where paper is absolutely the best medium and there are still many, many regulatory requirements for paper.

So, as well as being able to search for and view records we also need to be able to print records and print information about records, e.g., the File Plan or the Corporate Vocabulary or the File Titling terms.

Knowledgeone K1 embeds both the Active Reports print engine and a printing wizard so you can literally produce (and save for re-use) any report you require. You can also select records from any table in Knowledgeone K1 and print a report on any table in Knowledgeone K1. Knowledgeone K1 meets all of the printing requirements of any electronic records management system.

Continued…

Note: Please click on Knowledgeone K1's online help system and search on "Print" for a detailed explanation of how to use the Knowledgeone K1 Print Method.

Preserve

Preserving records is all about ensuring that a record can be found and read and continues to be accurate throughout its lifecycle.

Ensuring that a record can be read and is still accurate at any stage in its life cycle involves more than just the features of the electronic records management system. It involves preserving both the physical and logical state of the record. For example:

- If it is a paper record, is the paper acid free and is the record being kept in a controlled environment? Is it protected in the case of a fire or a flood?
- If it is an electronic record, is it still accessible and readable using today's technology? Is the existing storage media (e.g., a tape or hard disk) at or past its MTBF (Mean Time Between Failure) date? Have you organized to move the electronic record to new media whilst preserving its integrity?
- Is the application software (e.g., WordStar 2.0) used to create the record still available and does it still work under the latest version of Windows?
- If you plan on moving your records to new media and/or new application software (e.g., XML or PDF) will the move maintain all links?

- Will the new version, now maintained under new application software (e.g., moving a record from WordStar format to PDF or XML format) still meet the Rules Of Evidence as an identical facsimile of the original record? Will the courts still regard it as being in 'original format'?

- Will the record still be readable in one hundred years time?

Fortunately Knowledgeone K1 uses heavy-duty relational database software from Microsoft (SQL Server) and Oracle to store all records, both metadata and electronic objects (as Blobs). Transferring everything totally intact is as easy as doing a database backup on the old media and then a database restore onto the new media. In this process, all links and references are maintained.

The Knowledgeone Corporation employs (and has employed for over 22 years) a rigorous system of ongoing certification of its products against the latest development software, database software and operating system software ensuring that there is always a version of the Knowledgeone K1 application available for the latest operating environment. We always provide you with the upgrade tools to move your records to the latest operating environment maintaining 100% upwards compatibility and ensuring database integrity.

As long as you utilize Knowledgeone K1 to manage your records you are assured of being able to move your records intact to the latest technology guaranteeing that they continue to be readable, accurate and complete.

Request

We request a record (e.g., a cardboard file folder) in the real world so we can read or update the documents it contains. We also need to record this transaction within the computer system.

In Knowledgeone K1 we use the Request Method to record the 'booking' of a record by someone (a Person) or somewhere, (e.g., a Location or Department).

Note: Please click on Knowledgeone K1's online help system and search on "Request" for a detailed explanation of how to use the Request Method.

Move

In the real world we move a physical record (i.e., a file folder) to a person or location, generally to meet a previous Request (or booking). We also need to record this transaction within the computer system.

In Knowledgeone K1 we use the Move Method to record this transaction.

Note: Please click on the Knowledgeone K1 online help system and search on "Move" for a detailed explanation of how to use Knowledgeone K1's Move Method.

Track

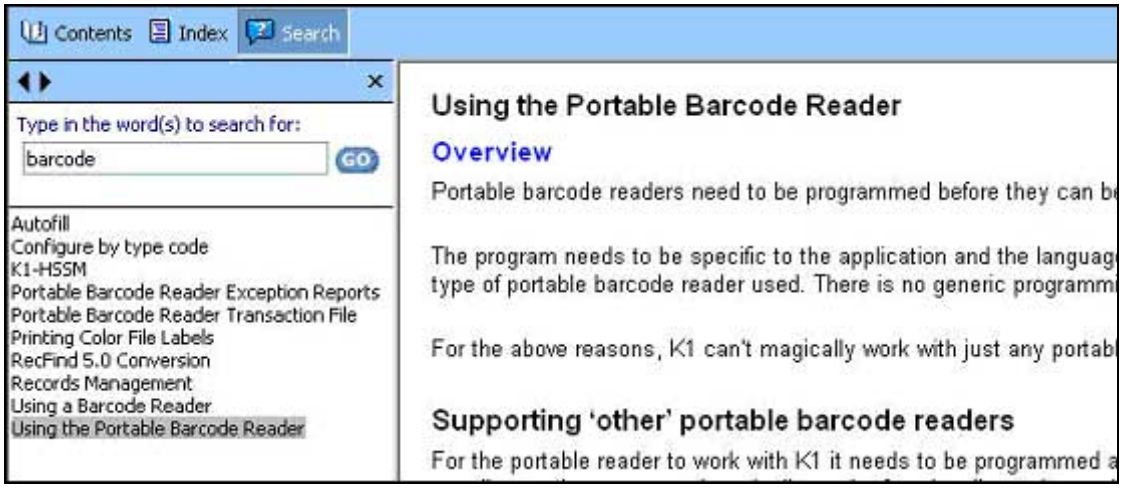
In the real world it is imperative that we know at all times where our records are and who has them. To do this we need to track each and every 'movement' of a physical record. There are several ways to do this in Knowledgeone K1.

The problem in real life, as opposed to our nice neat computer system, is that people do not always follow rules. This means that we have to allow for this unassailable fact; not ignore it. Records often go missing or are "temporarily unaccounted for".

We can give users access to the Request and Move methods of Knowledgeone K1 so they can lodge their own requests and record any records that have been moved to them BUT, we cannot guarantee that every user will always do the right thing. Users are people and people make mistakes and people forget and sometimes people don't want us to know what they have.

So, in Knowledgeone K1 we give you some alternative ways to track records, (other than allowing people to do their own Requests and Moves). The best is by using the portable barcode reader and the suite of barcode programs embedded within Knowledgeone K1.

Note: Please click on the Knowledgeone K1 online help system and search on "barcodes" and then select the "Using the Portable Barcode Reader" topic (as below) for a full and detailed description of how to use the portable barcode reader functions in Knowledgeone K1.



Security

Every records management system has to have a security regime. You must be able to control who sees what and who does what. Without an effective security system you have Chaos.

Knowledgeone K1 has an integrated security system that controls all access to the application (User ID and Password) and all access to any table, any record or any field.

Note: Please click on Knowledgeone K1's online help and then search on "security". Then select the Security topic (as below) for a detailed explanation of how to use Knowledgeone K1's comprehensive security system.

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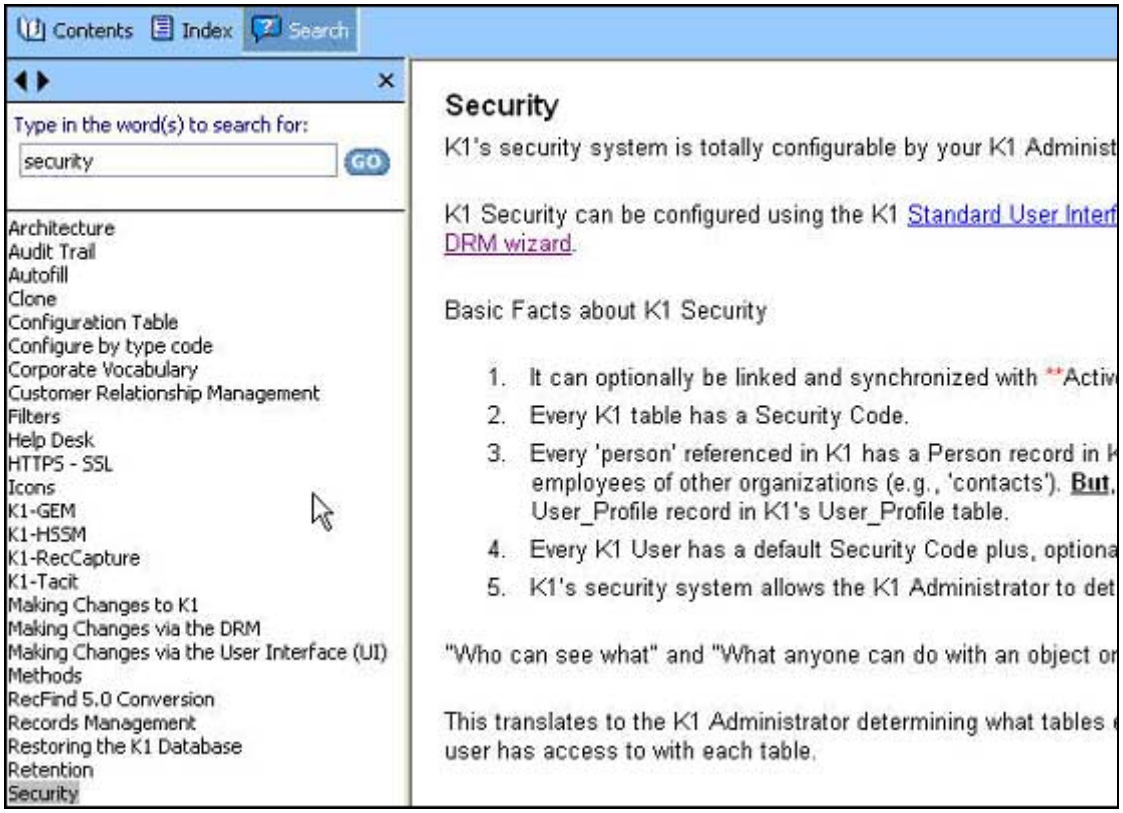

Audit

Even though you may have a comprehensive security system in place you still need to know, "Who did what to what and when?"

This is because users are people and people occasionally step out of line either accidentally or intentionally. It is also because a transaction today may appear to be very ordinary and apparently all in order but, that same transaction may be viewed very differently in weeks or months or a year's time because of future events. We don't all have the power of foresight so we need an audit trail.

Knowledgeone K1's Audit Trail function is 100% customer configurable and can be set up to audit each and every transaction on each and every table should you desire. It also audits logins and failed logins.

Note: Please click on Knowledgeone K1's online help and search on "Audit Trail" for a detailed explanation of how to configure and use Knowledgeone K1's Audit Trail feature.

Archive

When we talk about archiving records we are speaking about the processes involved in what is generally know as the 'Disposition' of records. It is about managing records through a known life cycle. What do we do with a record at the end of its active life? Do we ship it to the salt mines for long term storage or do we destroy it by consigning it to the furnace in the basement?

As part of its File Plan methodology, Knowledgeone K1 includes all of the functionality required to manage the disposition of records of all types.

Note: Please click on Knowledgeone K1's online help and search on "Retention" and then select the Retention topic for a detailed explanation of the File Plan and Retention functionality of Knowledgeone K1.

Transfer

Many organizations have a requirement to be able to transfer records to other organizations, for example to NARA (National Archives and Records Service). When transferring records you need to be able to transfer the entire record, complete with Metadata and electronic object, (if one exists) in a standard format that another organization can easily read and process.

Knowledgeone K1 provides two Methods for the export of records. For small volumes you can use the Export Method from within the standard Knowledgeone K1 user interface. For large volumes and for automated transfers, you should use the Xchange K1 product supplied with Knowledgeone K1. Note that Xchange K1 can be run either manually or automatically under program control.

The standard format of exported records is the universally standard XML format. The Export Method also allows you to select the CSV format (probably more useable than XML for mail merges, etc). The XML format will include both Metadata and the electronic object in encapsulated form.

Note: Please click on Knowledgeone K1's online help and search on "Export" for a detailed explanation of the Knowledgeone K1 Export Method.

Note: Please click on Xchange K1's online help for a detailed explanation of how to use K1's Xchange K1 product as follows:

Single Table Centric

ALL personalities (applications) in Knowledgeone K1 are single-table-centric. This is a fundamental principle of the design and architecture of Knowledgeone K1.

What this means is that the user can open just a single Knowledgeone K1 table and then perform all functions required and see all information needed from within that single table.

For the records management personality, the single table is the MetadataProfile (MDP) table.

The MetadataProfile (MDP) table

The MDP table was specifically designed to hold Metadata on any object. The MDP table (like any table in Knowledgeone K1) is also infinitely flexible and extensible. You can easily (without programming) add and modify and delete fields, change captions, change column headings etc. Using the 'Configure-By-Type-Code' feature of Knowledgeone K1, you can also create multiple views of the MDP; one for each personality. This is a very useful and very powerful feature of K1.

What this means is that users of different personalities (e.g., Asset Management and Records Management) can all use the same MDP table, but only 'see' those fields that are appropriate to each personality and also see unique field captions. So, each personality user sees what he/she assumes is a table uniquely configured to the precise needs of that personality. In reality, all users are working with the same table, it is just the 'view' that is different.

The MDP record has been designed to hold Metadata for a records management application.

For customers converting from RecFind please note that we automatically create multiple views of the MDP during the conversion to convert your RecFind File Folder profiles, Document profiles and Box profiles. You don't have to do anything but run the RecFind2K1 conversion program.

Please keep in mind that you can change (without programming) any field in the MDP table. You can make fields 'visible' or 'invisible', add new fields, delete fields, modify fields, change the field captions and you can change the sort order (i.e. the order you see fields on the screen). And, you can do any of the former actions in just a few seconds using the DRM.

For each customer, there will probably be fields that you will not want to use and will 'turn off' or 'delete'. There will probably also be additional fields you would like to add to the MDP.

This is reiterating the mindset of Knowledgeone K1. Knowledgeone K1 empowers the customer; "If it isn't exactly how you would like then change it!"

Please refer to the paper on our website under Support/Knowledgebase titled "Modifying the Knowledgeone K1 Data Model" for a detailed guideline on changing the Knowledgeone K1 Data Model at:

http://www.knowledgeonecorp.com/support/faq/pdfs/Modifying%20the%20Knowledgeone%20Data%20Model.pdf

For most customers, the standard MDP will be a superset of your requirements, (this is by design). You will probably 'turn off' more fields than you will add.

Continued…


Metadata Profile
*File Folder Number
05/[SEQUENCE]
Type
STANDARD - File Folder
ParentProfile
WorkFlows
Subject
LinkMetadataProfiles
ExtendedMetadatas
LinkedDocuments
Description
Contents
OwnerOrganization
OwnerPerson
Barcode#
F[SEQUENCE]
CurrentStatus

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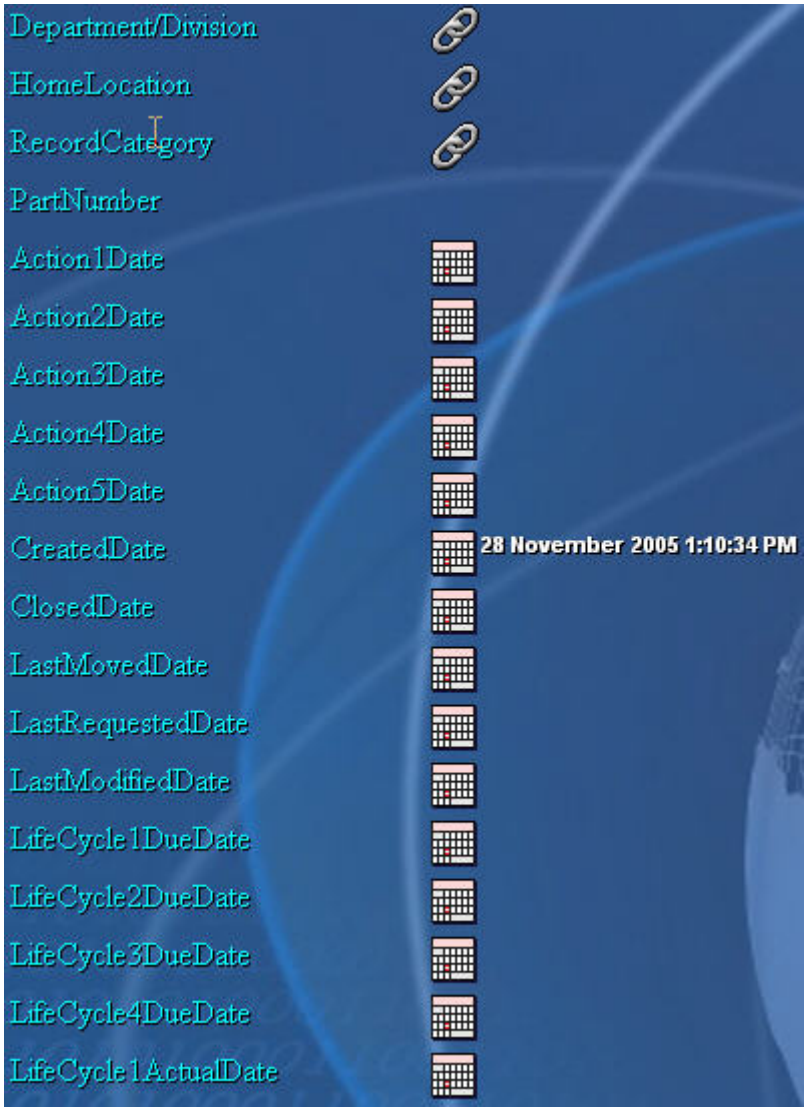

Department/Division
HomeLocation
RecordCategory
PartNumber
Action1Date
Action2Date
Action3Date
Action4Date
Action5Date
CreatedDate
28 November 2005 1:10:34 PM
ClosedDate
LastMovedDate
LastRequestedDate
LastModifiedDate
LifeCycle1DueDate
LifeCycle2DueDate
LifeCycle3DueDate
LifeCycle4DueDate
LifeCycle1ActualDate

Continued…


LifeCycle2ActualDate
LifeCycle3ActualDate
LifeCycle4ActualDate
LastActionDate
VitalRecordLastReviewDate
VitalRecordNextReviewDate
FrozenDate
FrozenReason
UnfrozenDate
UnfrozenReason
*isFrozen
Yes
No
FrozenBy
UnfrozenBy
FileType
EDOCs
SupplementalMarkups
Codes
Movements
Requests
Title1
Title2
Title3
Title4
Title5
OldNumber
TrapReason
*SecurityCode
Basic

Continued…

The following table lists and describes all of the 'standard' MDP fields and explains how each is used in a records management personality.

Field	RM usage
File Folder Number (External ID)	The External ID field in K1 is where we usually put the record's number or name. In this case we have changed the caption to read "File Folder Number" AND, we have set up an auto number sequence, "05/[SEQUENCE]" so that K1 will automatically number each new File Folder record as we create it.
Type	The Type Code is very important because this determines which 'Configure-by-Type-Code' changes apply to our view of the MDP record. When you add a new MDP record K1 will ask "What Type" first. Depending on the Type Code chosen, K1 will display a 'view' of the MDP record linked to that Type Code.
Parent Profile	This field is a link field. It provides the possibility of linking this MDP record to another MDP record in a child:parent relationship.
Workflows	This is another link field; it provides the possibility of linking this MDP to one or more workflows.
Subject	This is a free text field. This is where you would enter the subject of this file folder.
LinkMetadataProfiles	Another link field. This time allowing you to link this MDP to one or more MDPs as 'related' MDPs.
ExtendedMetadatas	Another link field this time linking to any ExtendedMetadata records. This is here to support RecFind users.
LinkedDocuments	The MDP is used to record the Metadata of both File Folders and Documents using different views of the MDP. This is a link field allowing you to link this MDP to one or more 'Document' MDPs. In other words, you are recording details of all the important documents contained within this file folder. You are representing the physical world where a cardboard file folder contains many paper documents.
Description	Another text field where you can enter a description of this object/file folder.
Contents	Another text field where you can describe in detail the contents of this file folder.
OwnerOrganization	This is a link field to the Entity table (where we record the details on all the organizations we deal with). This is where you establish a link to the organization that 'owns' this file folder.
OwnerPerson	This is a link field to the Person table (where we record the details of all the people we deal with). This is where you establish a link to the person that 'owns' this file folder.
Barcode#	This is a text field but we can also use an autonumber sequence here so K1 will automatically generate a new barcode number each time we add a new MDP record.
CurrentStatus	This is a link to the Codes table. You select a code appropriate to the status of this record, e.g., 'active'.
Department/Division	This is a link to the Department/Division table where

	we maintain details of all the Departments we deal with. Select a Department here if this record is owned by or linked to a particular Department.
HomeLocation	This is a link to the Location table where details of all locations are stored. Select the Location where this file folder is normally stored.
RecordCategory	This is a link to the RecordCategory table. When you select a particular Record Category your records inherits all of the properties of that Record Category including Retention rules.
PartNumber	This field is automatically incremented by Knowledgeone K1 every time you add a new part record (to reflect the generation of a new file folder part in the 'real' world)
Action1Date	There are five optional date fields in K1 that you can use as triggers for retention actions in addition to 'natural' triggers such as 'Date Created', 'Date Closed', 'Date Last Moved', etc.
Action2Date	Ditto
Action3Date	Ditto
Action4Date	Ditto
Action5Date	Ditto
CreatedDate	This is the date the file folder/record was created.
ClosedDate	This is the date that this 'part' was closed.
LastMovedDate	This date is automatically updated by K1 every time the File Folder is 'moved'.
LastRequestDate	This date is automatically updated by K1 every time the File Folder is 'requested', (called a Resubmit in RecFind).
LastModifiedDate	This date is automatically updated by K1 every time the File Folder is 'moved'.
LifeCycle2DueDate	This date is automatically updated by K1 depending upon your selected Record Category/Retention Code
LifeCycle2DueDate	This date is automatically updated by K1 depending upon your selected Record Category/Retention Code
LifeCycle3DueDate	This date is automatically updated by K1 depending upon your selected Record Category/Retention Code
LifeCycle4DueDate	This date is automatically updated by K1 depending upon your selected Record Category/Retention Code
LifeCycle1ActualDate	This is updated by you during Retention processing
LifeCycle2ActualDate	This is updated by you during Retention processing
LifeCycle3ActualDate	This is updated by you during Retention processing
LifeCycle4ActualDate	This is updated by you during Retention processing
LastActionDate	This is the date of the last Retention Action, automatically updated by K1
VitalRecordLastReviewDate	This date is entered by you when you review a Vital record
VitalRecordNextReviewDate	This date is automatically updated by K1 (based on the Vital Record's review cycle)
FrozenDate	This date is entered by you when a record is Frozen.
FrozenReason	The Frozen reason is entered by you.
UnfrozenDate	This date is entered by you when a record is UnFrozen.
UnfrozenReason	The UnFrozen reason is entered by you.
*IsFrozen?	This field is automatically set by K1

FrozenBy	This field is automatically updated by K1
FileType	This is a link to the Codes table where you can select an appropriate File Type code, e.g., Property File, Administration File, Purchasing File, etc.
EDOCs	This is a link to the EDOC table where all electronic documents and images are stored. You can link the MDP to one or more EDOC records when capturing and registering electronic records.
SupplementalMarkups	This is a link to the SupplementalMarkup table where you can select to link to one or more SupplementalMarkup codes (a DoD5015 requirement).
Codes	This is another link to the Codes table so you can select one or more 'other' codes. For compatibility with RecFind.
Movements	This is a link to the Movements table and it will display the Movements history for this record.
Requests	This is a link to the Requests table and it will display the Request history for this record.
Title1	The first level of your file title. It can be manually selected from the Title table or automatically generated by K1 when you add a new record.
Title2	Second level of title.
Title3	Third level of title.
Title4	Fourth level of title.
Title5	Fifth level of title.
OldNumber	This is where you enter the 'old' file folder number if you are changing numbering systems.
TrapReason	This is where you enter the reason this file folder (the physical one) is required urgently. For compatibility with RecFind.
SecurityCode	K1 will automatically link this record to your nominated Security Code. You may change this to any Security Code you have access to.

***Note:** If the standard fields in your copy of Knowledgeone K1 don't look like the above then your Knowledgeone K1 Administrator has probably already modified the MDP and/or the background, and/or the fonts.

The DRM K1

The DRM K1 is where you make all changes to the Knowledgeone K1 Data Model, Stored Procedures, Triggers and Security Groups.

Note: Please refer to the K1 online help system (searching on "The DRM Wizard") and the DRM K1 online help system for detailed information on how to use the DRM to modify the MDP.

For a detailed step by step description of how to change the Knowledgeone K1 Data Model please also refer to the white paper titled "Modifying the Knowledgeone K1 Data Model" on our website as follows:

http://www.knowledgeonecorp.com/support/faq/pdfs/Modifying%20the%20Knowledgeone%20Data%20Model.pdf

Xchange [K1]

Xchange [K1] is the Import/Export Engine for Knowledgeone [K1]. It includes a number of standard import data sources (e.g., Access, SQL, Oracle, ACT, etc) and allows you to easily and quickly populate any Knowledgeone [K1] table by importing data from another application.

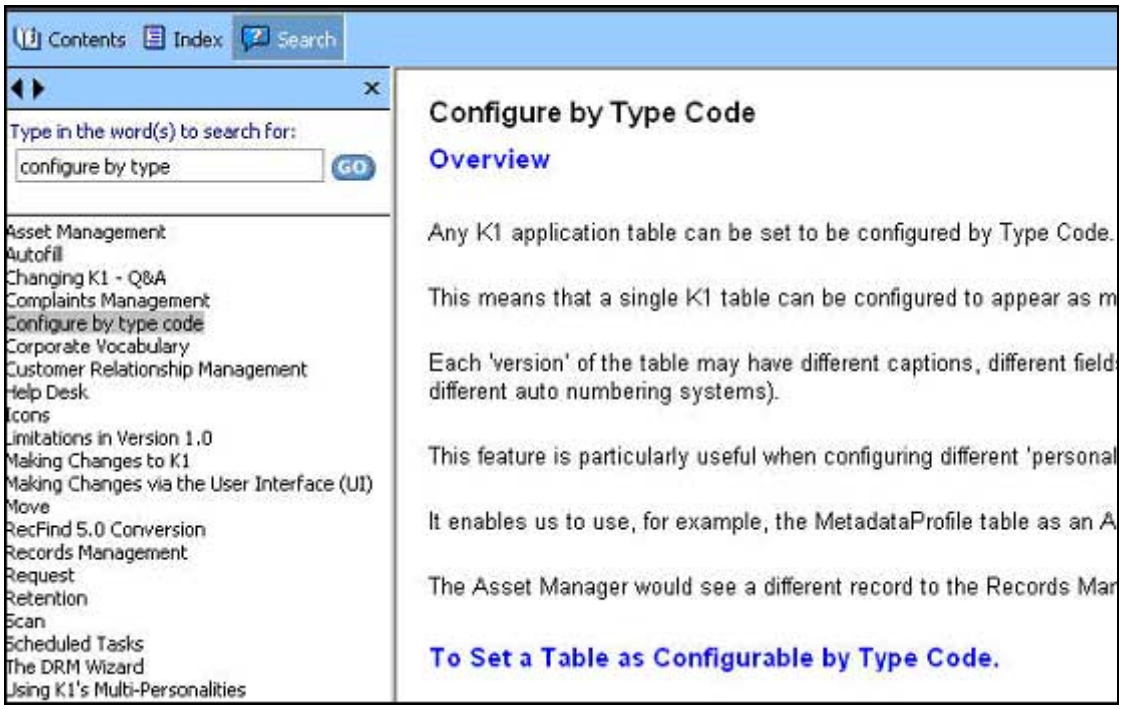
Xchange [K1] also allows you to easily and quickly export data from any Knowledgeone [K1] table in XML format (including encapsulated binaries if you are exporting EDOC records) for ease of migration to any other application.

Note: Please refer to the online help system in Xchange [K1] for detailed information on how to utilize its powerful features.

Configure by Type Code

This is where you define different views of any Knowledgeone [K1] table. It is especially useful when defining different views of the MDP table for records management use.

Note: Please refer to the Knowledgeone [K1] online help screens for a detailed description of how to use the Configure by Type Code feature. Simply search on "Configure by type" as follows:



File Titling

Overview

It is the custom in most records management applications to assign one or more file titles to a file folder. These file titles are usually selected from a particular classification system (i.e., agricultural science) or from what is generally known as a Keyword Thesaurus.

There may be more than one level of title and the tiles may be linked in a hierarchical system whereby the selection of a parent title will automatically determine the sub set of child titles that may be selected for the next level.

There is no universally standard way to title file folders; there are a plethora of options to be seen in the real world.

The file titling options available in Knowledgeone K1 attempt to mimic most of what we have seen in the real world and provide customers with a similar plethora of options.

In our 'out-of-the-box' records management personality we have configured up to five levels of title as the default. However, you can easily modify Knowledgeone K1 to have a fewer or greater number of file titles should five levels be either overkill or deficient for your implementation.

File titling in Knowledgeone K1 has been modified somewhat since the help screens were first written so an update is called for (and is provided in the following section).

RecFind customers should be aware that all your file titles and hierarchies will be automatically brought across to Knowledgeone K1 when you run the RecFind2K1 conversion program.

For new Knowledgeone K1 customers, let's walk through the steps required to set up automatic file titling in Knowledgeone K1. First, the Title table:

The Title table

This is where you enter your file titling standard titles.

Field	Description
External ID	This is the actual title line, up to *100 characters
Type	This is a link to the Type Code table
Code	This can be the short version of the title or the code
SecondLevelTitles	This is where you can link this Title to one or more 'child' titles
ParentTitles	This is where you can link this Title to one or more 'Parent" titles
ParentTitle	This is where you link to a single Parent Title
Level	This is the level of the title in the titling hierarchy
Security Code	This is the Title record's Security Code

*You can use the DRM to increase the length of any field in Knowledgeone K1 if required.

You can enter all of your File Titles in this table or use Xchange K1 to import them from another application.

Generating File Titles automatically when adding a new MDP

If you don't wish to add your various levels of title manually every time you add a new MDP record then you can configure Knowledgeone K1 to do it automatically for you.

You will need to work with another two tables as follows:

The Auto Number Format table is where you configure any number of auto number sequences for use in any field in any table in Knowledgeone K1. They can be of virtually any configuration, e.g., YYYY/S, AA/YY/S, YY/S etc, where S is a Knowledgeone K1 automatically generated sequential number.

The coding available as follows:

A = Letter (A - Z)

9 = Number (0 - 9)

***** = Any single character

S = Sequence

D or **DD** = Day

M or **MM** = Month

YY or **YYYY** = Year

The Auto Number Format Multiple Sequence is the table where you define any multiple sequences for an Auto Number Format.

For example, suppose your Auto Number Format was AA/S and was applied to the MDP External ID field (as a File Folder number). AA means any two letters. But, Knowledgeone K1 won't know what to generate when you add a new File Folder so you will have to define what letter combinations are valid and enter them each time you create a new MDP record.

The Auto Number Format Multiple Sequence table is where you would define the valid multiple sequences such as: AA, AB, AC, AD, etc. So, your Knowledgeone K1 generated file folder numbers would like look like the following:

AA/000001, AB/000232, AD/000001, etc.

Why?

Well, think about it. How does Knowledgeone K1 know what titles you want automatically added to a new MDP? How does it know the particular titles and hierarchies to apply in each case?

The correct answer is that Knowledgeone K1 can't know unless you tell it in some way at the beginning of the Add process.

The file titles have to be linked to the file folder number, (usually the External ID field in Knowledgeone [K1]). And, the file folder number has to have multiple sequences defined otherwise every file folder (MDP) generated for a particular Type would always have the identical titles.

So, in order for us to automatically generate the MDP's file titles, the type of MDP record you are adding MUST HAVE an intelligent file folder number with multiple sequences defined.

Note: For additional information on the following processes please refer to the Knowledgeone [K1] online help system. Search on "Autofill" as follows:

How?

1. Add your Standard File Titles in the Title Table
2. Define a File Folder (MDP) Type Code in the Type Table
3. Configure the MDP by Type Code and Configure the External ID as an auto number
4. Configure the Autonumber with Multi-Sequences
5. Add a new File Folder and See How it All Works

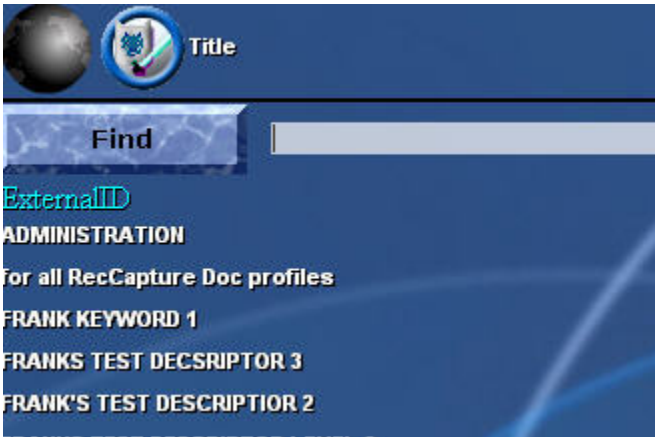
See below as we walk through the above steps:

1. Add your Standard File Titles in the Title Table

Select the Title table from Knowledgeone [K1]'s main screen.

Select Search by External ID (so you can see what already exists).

Continued…



K1 displays the Title list.

Click Add.

Enter your title information.

***Note:** Make sure you add the Level so Knowledgeone K1 'knows' where this title should fit in the hierarchy.

Click OK.

Repeat the above process until you have added all your file titles to Knowledgeone K1.

2. Define a File Folder (MDP) Type Code

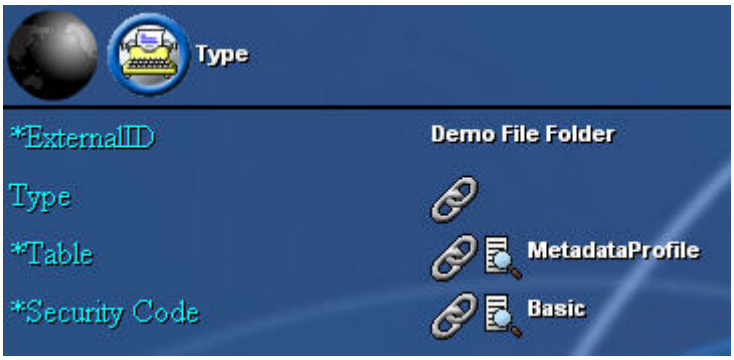
Select the Type table.

Select Search by External ID (so you can see what already exists).

Continued…

Knowledgeone K1 displays the Type Code list.

Click Add.



Enter the details of your new Type Code.

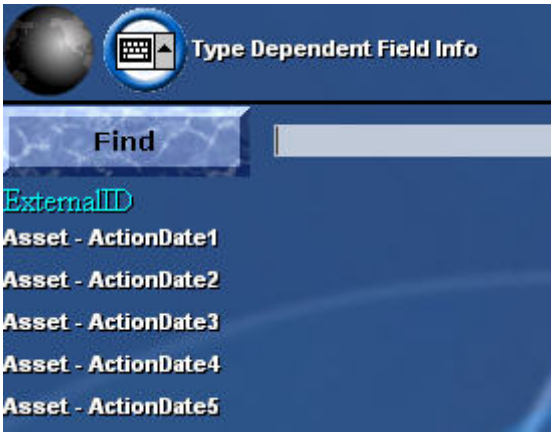
***Note:** Make sure you select the link to the MetadataProfile (MDP) table so Knowledgeone K1 knows to which table this Type Code applies.

Click OK to save it.

3. Configure the MDP by Type Code and Configure the External ID as an Auto Number

Select the Type Dependent Field Info table.

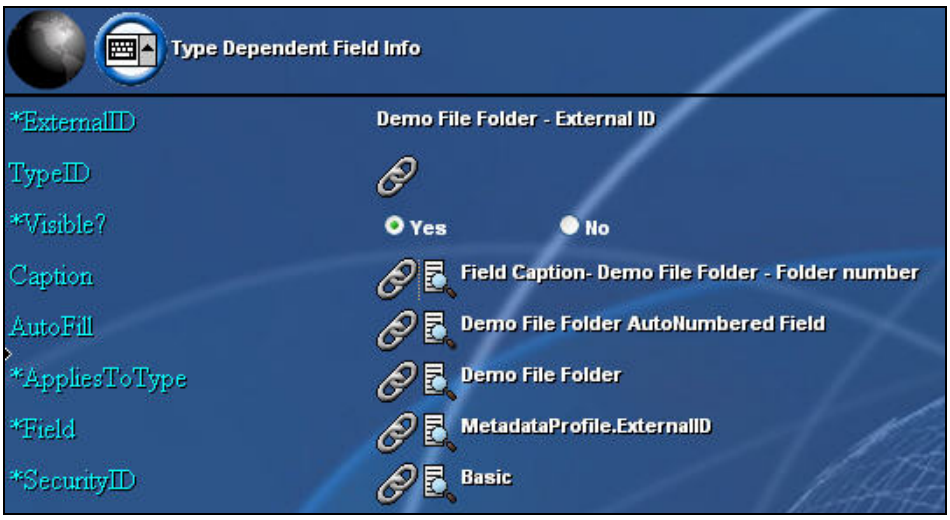
Select Search by External ID so you can see the existing list.



Knowledgeone K1 displays the Type Dependent Field Info List.

Click Add.

Create your new record as follows:

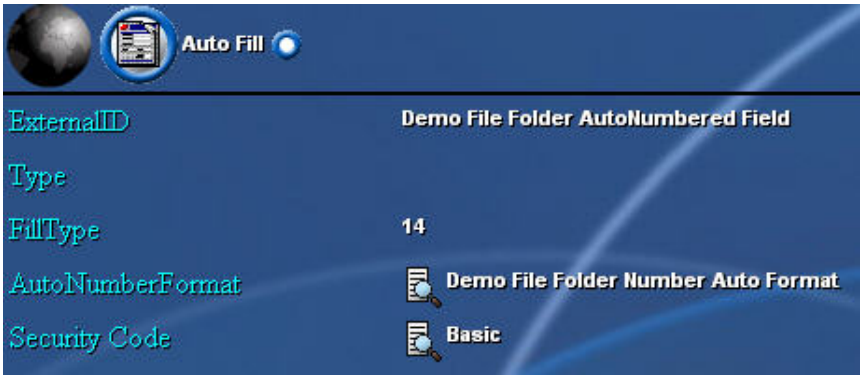


Click OK to save the record.

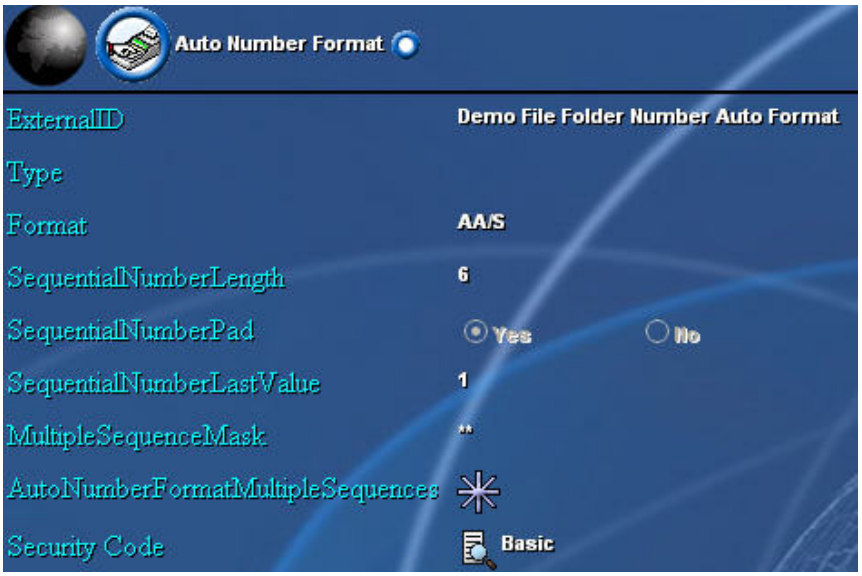
Now please read on for a more detailed explanation of each of the above fields.

4. Configure the Autonumber with Multi-Sequences

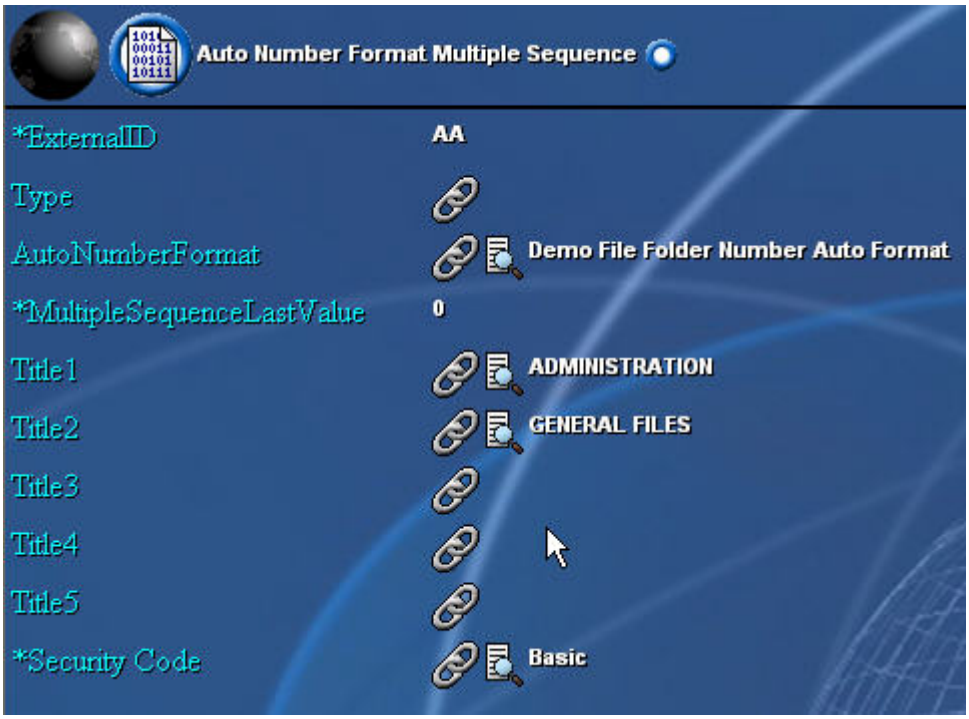
The AutoFill field (above) called "Demo File Folder Autonumbered Field" should be created as follows:



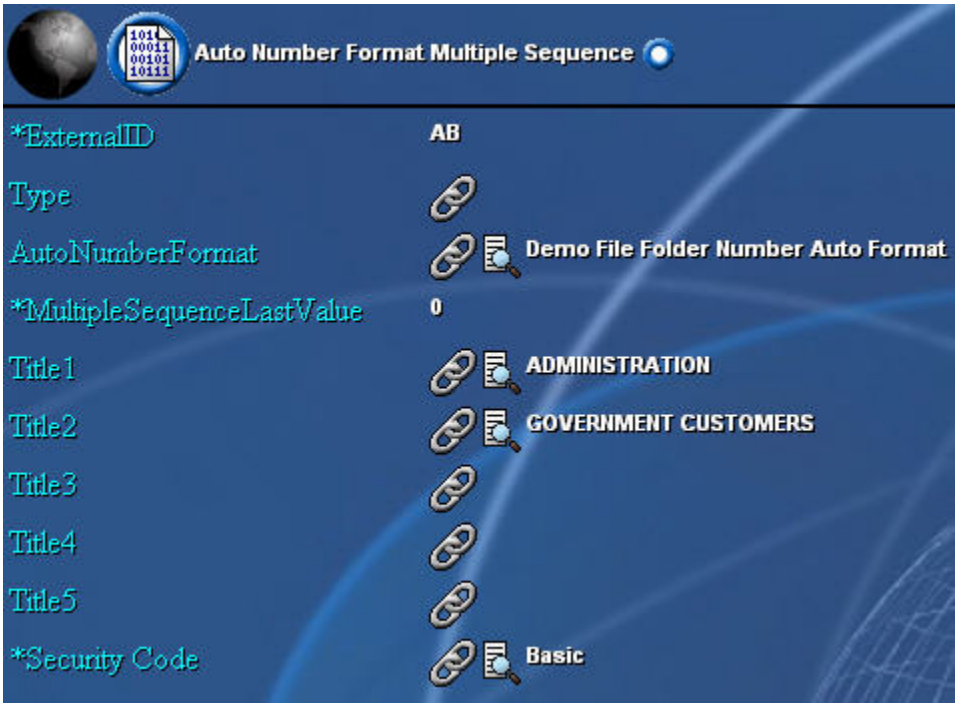
The field AutoNumberFormat (above) should be created as follows:



The AutoNumberFormatMultipleSequences (above) should be created as follows:



In the above example we have only defined two characters (AA) and therefore two levels of File Title. We can continue to add other multiple sequences, e.g., AB, AC, AD, etc and assign different a File Title to each one, see below for another example:



Click OK to save it.

Continued…

5. Add a new File Folder and See How it All Works

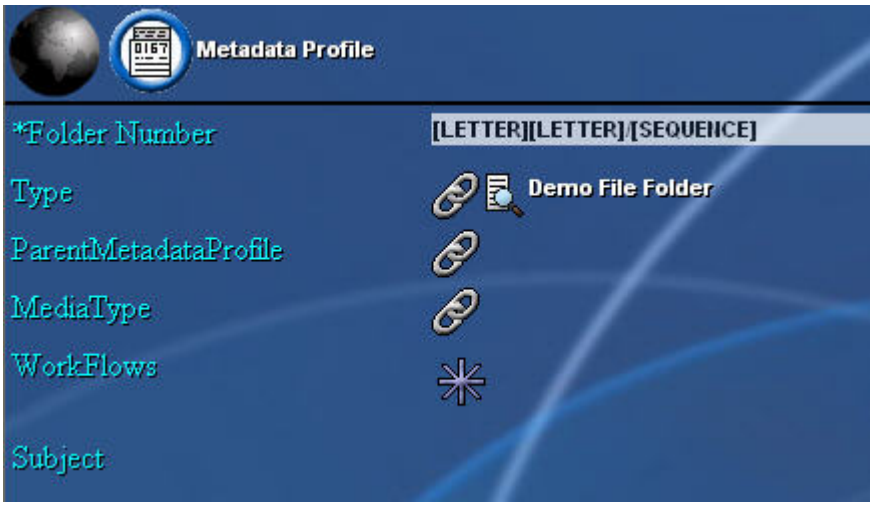
Now let's see what happens when we go to add a New Demo File Folder to our system.

Select the MDP table from Knowledgeone K1's main screen.

Click Add.

Knowledgeone K1 displays the following dialogue. This tells us that we have already configured multiple views (using the Configure by Type feature) of the MDP table. We select the type of MDP record we would like to add. In this case, "Demo File Folder".

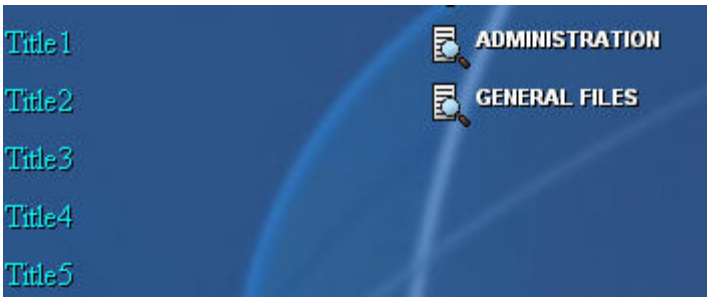
Knowledgeone K1 then displays the view of the MDP that we have configured so we can enter and select our Metadata.



Notice how the caption for the External ID field now says "Folder Number"
Also notice how this field is no longer text. It is now an autonumber field. Knowledgeone K1 requires us to enter the first two characters (remembering that we configured AA and AB as the only acceptable combinations).

Enter as follows (i.e., AA/[SEQUENCE]) and then click OK to save the new MDP record. You don't enter anything into the Sequence field because Knowledgeone K1 will automatically calculate the next number in the sequence.

After you have saved your new MDP please open it with the View Method and see if the number was generated as expected and if the File Titles were automatically inserted as expected.



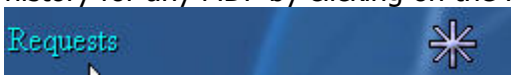
Tracking File and Document Movements

Overview

In this context we are talking about tracking physical objects within our work environment. These are usually file folders and loose documents. Knowledgeone K1 has two Methods designed specifically for these purposes.

Request

The Request Method is by default applied to the MDP table and is used to create a record of a request or 'future booking' for a file folder or set of file folders. You can easily see the Request history for any MDP by clicking on the Request link icon within the MDP record as follows:



Move

The Move Method is by default applied to the MDP table and is used to record the movements of file folders. You can easily see the Movement history of an MDP by clicking on the Movements link icon as follows:

The File Plan

Definition

Once again dear Google comes to our rescue. Do a search on the phrase "records management file plan" and you will have multiple pages of results to peruse. Notice that there are many variations in the definition of a File Plan. For example from:

- "A classification scheme for the physical arrangement, storage, and retrieval of files"; to
- "A pre-determined logical and systematic structure into which records are arranged and intellectually stored according to subject groups and subjects to facilitate efficient retrieval and disposal of records. The *file plan* is used for both current paper-based and current electronic correspondence systems. It usually contains the reference number, title, description and disposal authority of files/folders held in an office."

How you define and use a File Plan really comes down to your needs; the size of your organization, the number and type of records you have to manage and the compliance regimes you come under.

Overview

Some years ago I met with one of the US Government's most senior records managers in Washington DC. I was investigating the practice of records management within the federal public sector. She told me that all federal government agencies were required to manage their records under an approved File Plan. When I asked for examples of agencies where this policy had been implemented she was unable to name a single agency that had actually managed to build its records program around an approved File Plan.

The more people in the government I spoke to, the more I realized that there was a huge chasm between policies and practice, between what the senior people think is happening and what is actually happening. As is always the case, passing a law and adopting a standard is just the beginning, not the end.

When I asked senior records people why they didn't have a File Plan as the basis for their records programs I received a cocktail of responses but in summary, it all came down to it being just too hard. In fact, a lot of people didn't actually know how to build a File Plan and were confused about what it was they were supposed to do.

In my opinion, much of the confusion came about because most of the records managers I spoke to actually had very little to do with active records. Their role seemed to kick in only after a record was scheduled for its first retention action, either destruction or boxing prior to being sent to an offsite storage company. As a File Plan is about managing the complete life cycle of records, it doesn't seem to make much sense if the records manager's responsibility only kicks in at the end of the life cycle. If that is indeed the case, then why bother with a File Plan that specifies how to manage the record in all stages of its life cycle?

Let's look at what a File Plan is and how it is supposed to be applied to records.

What is a File Plan?

As with everything these days, if you want a hundred different opinions on what a File Plan is and whether or not it is a good thing or a bad thing simply Google it. Enter "records management file plan" into the Google search field and then spend a few hours absorbing a cross section of opinions and theories.

However, if you want a simply view then read on.

A File Plan is an organized way to manage the life cycle (from creation to either long term archival storage or destruction) of all of the records of any enterprise. It attempts to predict all of the 'classes' or 'categories' (and no, I don't want to get into an esoteric argument about the difference between a class and a category) of records that the organization will encounter and then prescribes exactly how they will be handled during all stages of the life cycle. It describes all of the records an organization manages.

The Continuum Model

Generally, when we talk about managing the complete life cycle of a record we are referring to the Continuum Model. Basically, this means that we view records as dynamic entities, not static entities. It means we view records as having a transactional life after creation. In its simplest sense, a record is evidence of a business transaction. It has content, it has context and it has activity. A good records management system will capture all three.

A Record Category

Most File Plans are built around the concept of a record category. A single record category will prescribe how to deal with one class of record. A File Plan will therefore be composed of one or more record categories; one for each class of record the organization expects to deal with.

Typically, a record category will specify the properties of a record. For example, how it is numbered, how it is titled, whether or not it is a Vital record and if so, what class of vital record it is. It will also specify the retention plan for the record (i.e., how long it is to be retained and what happens to it at the end of its useful life).

In an object-oriented sense, a record category is regarded as a class and every record linked to a record category 'inherits' the properties of that class.

In an ideal world, every record in an enterprise would be automatically captured as soon as it was created and then assigned a record category which would then 'automatically' manage the record throughout its entire life cycle.

How is the File Plan implemented in Knowledgeone K1?

The File Plan is the basis for the records management personality in Knowledgeone K1.

It is assumed that every record will be assigned a record category.

The standard MDP record (where we maintain the Metadata for each record) has a link to the Record Category table.

Once you select a RecordCategory record using this link icon, the MDP then inherits all of the properties of that Record Category.

Continued…

Let's now have a look at an example of a standard Knowledgeone K1 Record Category record.

Keep remembering that you can change anything in Knowledgeone K1. You can easily add and modify fields in the MDP and you can also add and modify fields in the Record Category table. However, for now let's deal with the 'out-of-the-box' Record Category record.

Field	Explanation
External ID	Its identifying name or number.
Type	A link to the Type Code table. The Type Code allows you to create multiple sub-classes of this record category record.
Code	A unique code you assign.
Description	A description so users can determine how and when to use this record category.
VitalRecord	If it is a Vital Record then select the appropriate Vital Record category from the Vital Record table. This will automatically determine the Vital Record review cycle.
PermanentRecord	A binary field, is it a permanent record of not? That is, if it is classified as a permanent record then it should not be destroyed.
Series	*If it belongs to a record Series then select the appropriate Series from the Series table.
RetentionCode	Select the appropriate Retention Code from the Retention Code table. **This will automatically determine the four phases of the record's life cycle.
SecurityCode	Assign a security code to control access to this record category record.

*Retention is normally managed either by assigning a Series Code or a Retention Code. You decide whether to select just one or both depending upon the way you operate and the compliance standard you adhere to.
**We have allowed for four life cycle phases in the standard 'out-of-the-box' records management personality. You need to decide how many phases you need and then either remove or add life cycles.

File Plan Setup Sequence

Let's start by assuming you have a File Plan. If so, the following is the recommended order of steps to implement it in Knowledgeone K1.

1. Populate the RetentionCode table
2. Populate the SeriesCode table

3. Populate the VitalRecord table
4. Populate the RecordCategory table

You can either enter the data manually (using the Clone method to speed up the process) or if you data is in an electronic format, use Xchange K1 to import the data from another system into Knowledgeone K1.

There is no limit to the number of record categories you can create and there is no limit to the number of retention codes or in fact, any other record in Knowledgeone K1.

Retention

Overview

Retention (or Archiving) is really about two things:

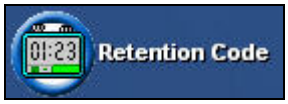
- Making sure that you retain certain categories of records for the minimum stipulated time period; and
- Making sure you don't retain any record longer than you need to.

In short, you want to be sure you are meeting all compliance regulations (because you don't want to get into trouble) but at the same time ensuring that the volume of records being managed is as low as possible (because you don't want to spend more money that you have to).

How?

Simple, integrate your retention rules (schedule) into your File Plan. Luckily for you, this is exactly how Knowledgeone K1 works.

The Knowledgeone K1 Retention Code Table



Overview

The Retention Code table is where we maintain an organization's Retention Schedule. This defines how the life cycle of a particular category of record is to be handled. For example, "Maintained as an active record for three years and then moved to Intermediate storage for four years and then destroyed."

There is no limit on the number of Retention Code records you can have.

Relationships

Knowledgeone K1 is a relational database and tables are related by links. In the records management personality the following standard relationships are maintained.

So, the MetadataProfile (MDP) record is linked to a RecordCategory record which is in turn linked to a RetentionCode record.

The MDP 'inherits' all its properties from the values in the RecordCategory (File Plan) and RetentionCode records.

Looking at the above you begin to understand why we say every personality in Knowledgeone K1 is single-table-centric. After you have opened an MDP record (where we maintain all the Metadata for your corporate records) you can simply click on a link icon, i.e., either  or  , and see any other information pertaining to this corporate record including all details of its record category and retention schedule.

Barcode Support

Barcodes are old but useful technology and until the day comes when we can all afford to insert passive electronic devices in every file folder, they certainly do a good job and can potentially save you hundreds or even thousands of man hours per year.

There are many ways to utilize barcodes but the three most useful are to barcode file folders, storage locations and people.

We do this so we can more accurately and more quickly move and track physical file folders.

Types of Barcodes

There are many different types of barcodes ranging from highly specialized industry specific designs to the most common Code3of9 alphanumeric code. Knowledgeone K1 doesn't care what barcodes you use, it will accept them all.

Fixed readers

Fixed or 'wedge' barcode readers attach to you PC via the serial port or the USB port and 'simulate' keyboard input. That is, the information Knowledgeone K1 receives from the barcode is exactly the same format that we receive from the keyboard.

This means that you can populate an alphanumeric or numeric field in Knowledgeone K1 using either the keyboard (by typing) or the barcode reader (by 'scanning' or 'wanding' a barcode). For example, if you wanted to enter an employee's name in the surname field of the Knowledgeone K1 Person record you could either type it in or (if you have a barcode label with the employee's name converted to a barcode) wand/scan it in using the barcode reader.

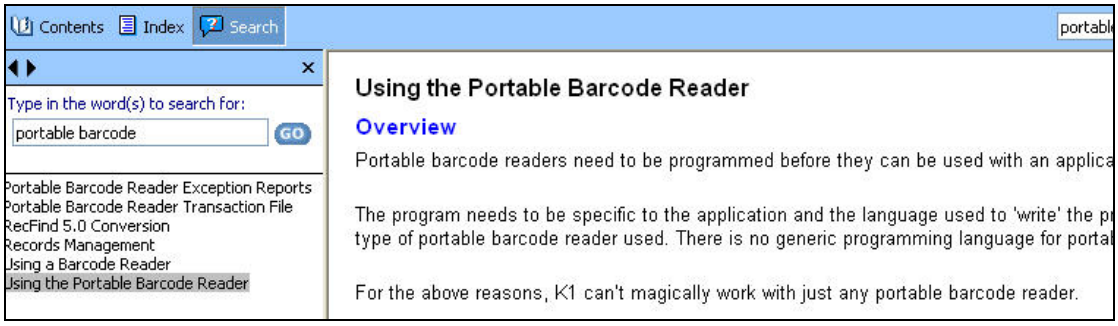
Portable Readers

Portable barcode readers are the real labor saving devices because they allow us to perform multiple, complex transactions just by wanding/scanning barcodes and uploading data.

Knowledgeone K1 includes a special set of functions designed for the portable barcode reader that will literally save you an enormous number of man hours and give you an instant and accurate picture of where every file folder is (or in some cases, is not).

Note: Please click on Knowledgeone K1's online help system and search on "portable barcode" and then select the topic "Using the portable barcode reader" topic as follows for a detailed explanation of Knowledgeone K1's portable barcode reader functions.

Continued…

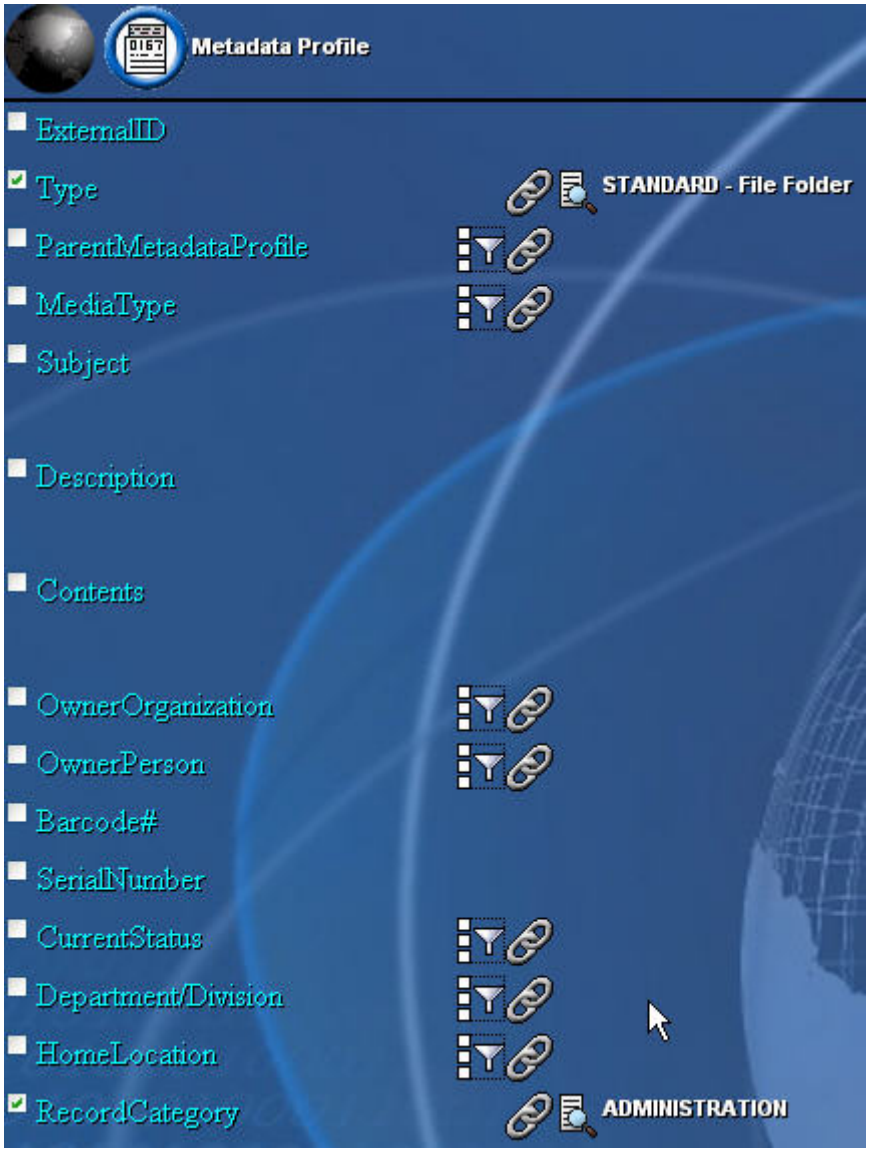


Global Change

Global Change (like Clone) is functionality specifically designed to save you time and make your job easier; it is a productivity aid.

The Global Change feature uses the standard Search and Modify Methods. It works with any table in Knowledgeone [K1].

First do a Search to find the record set you wish to change. For example, all standard file folders with a Record Category of "Administration" and a Retention Code of "R10-10-RET" as follows using the Search By Metadata feature:



*Note that Record Category "Administration" is linked to Retention Code "R10-10-RET" as follows:

Now Click 

to run the search.

Knowledgeone[K1] will then display the selected record set, similar to the following:

Now multi-select all the records you wish to change as follows:

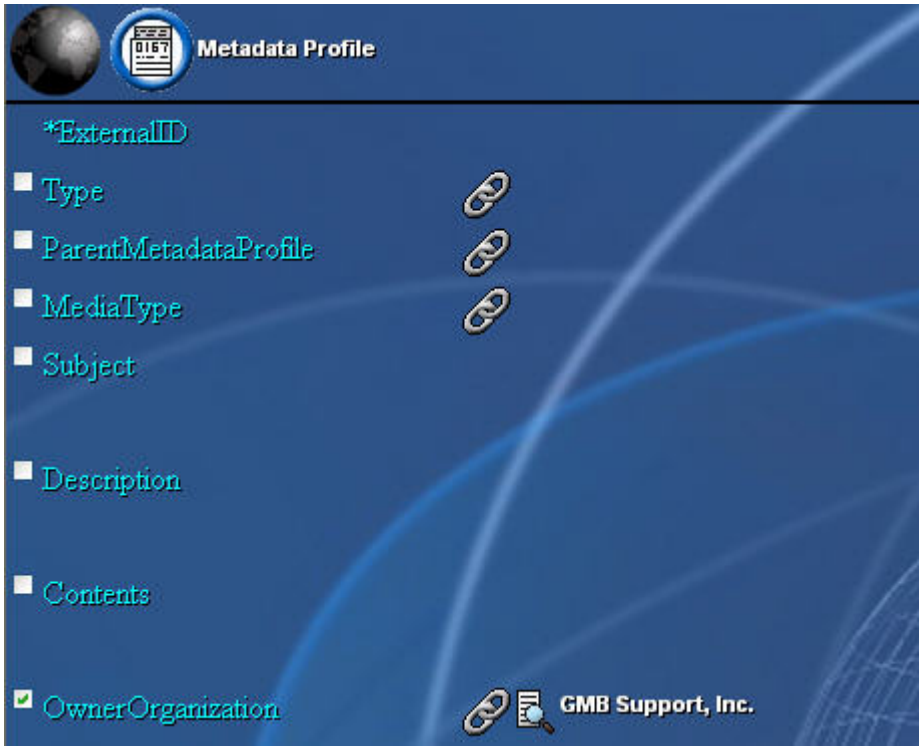
Then click the 

button.

Knowledgeone K1 will display a mask of the MDP record. Any field values you modify in this mask will be duplicated in all of the records you selected before Clicking Modify. Make

your changes and click the 

button to modify all of the selected records.



In the above example, every record you selected will have its OwnerOrganisation changed to GMB Support, Inc.

Nothing could be easier or more powerful.

Clone

The Knowledgeone K1 Clone Method doesn't create doppelgangers of sheep or people but it does instantly duplicate any Knowledgeone K1 record. It does this so you can easily and quickly create another instance of a 'similar' record with the absolute minimum of keystrokes.

Simply select the existing record that is the closest to the one you wish to add.

Click the 

button, make the changes required and then click OK to add the new record.

Nothing could be easier or faster.

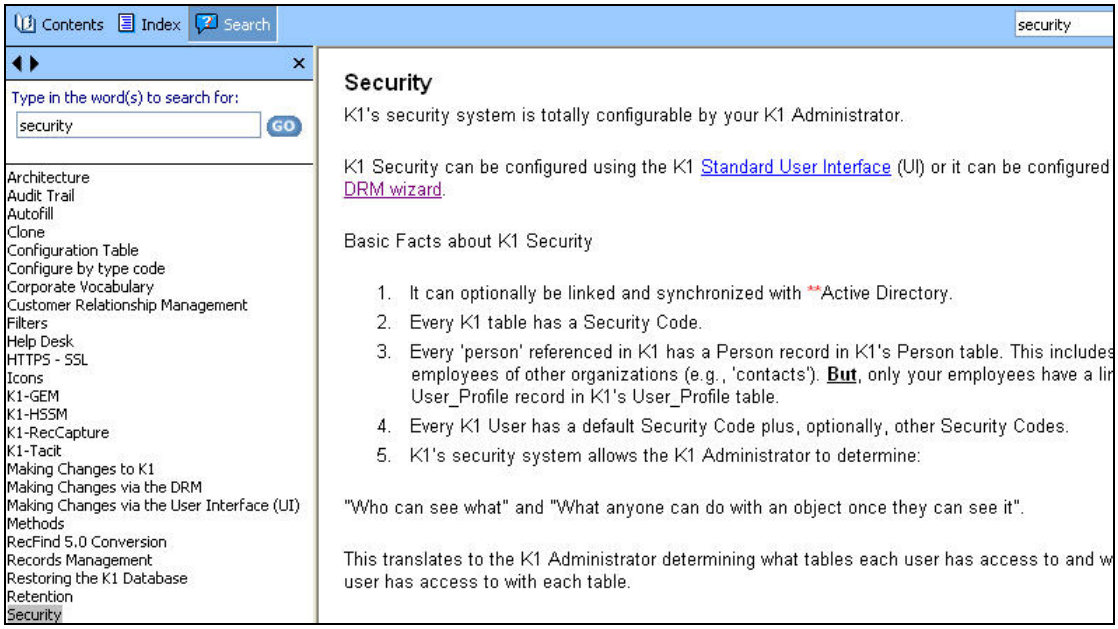
Note: Please click the Knowledgeone K1 online help system and search on "Clone" for detailed instructions on how to use the Knowledgeone K1 Clone feature.

Security

Overview

Security in Knowledgeone K1 has two foundations; the Security Code (every object in Knowledgeone K1 must have a Security Code) and the Security Group. Using these two features we can implement Access Control down to the field level.

Note: For a detailed explanation of how to implement Security in Knowledgeone K1 please refer to the Knowledgeone K1 online help system. Search on "security" and then select the Security topic as follows:



Stored Procedures and Triggers

Overview

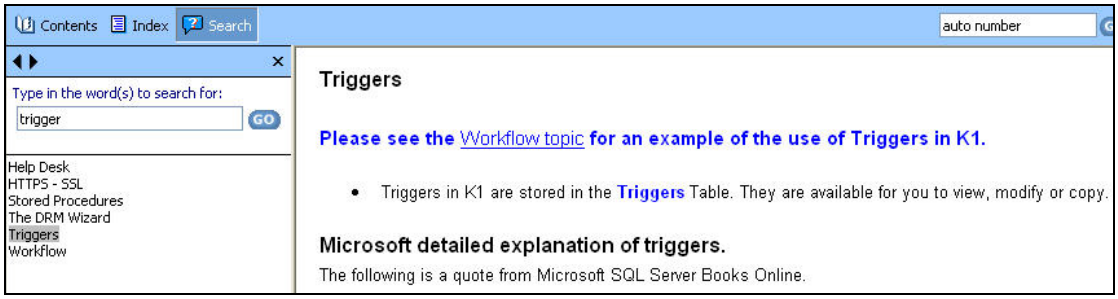
Any business process can be implemented either as a Trigger or a Stored Procedure. In Knowledgeone K1 we separate both into two categories, those that Knowledgeone K1 uses to manage itself (and there are hundreds of those) and those that you use to implement a Business Process.

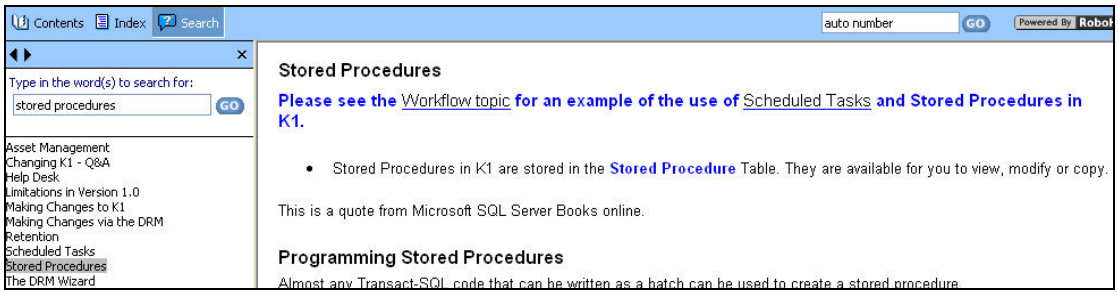
A Trigger is a process that is initiated each time a record is inserted, updated or deleted. A Stored Procedure is a process that is initiated on a timed sequence, e.g., hourly, weekly, monthly, annually.

The Triggers and Stored Procedures used for business processes are exposed within the DRM and can be created and maintained within the DRM. There are a number of examples we have coded for the 'out-of-the-box' personalities of Knowledgeone K1 for you to use as examples.

Note: For a detailed explanation of Stored Procedures and Triggers please refer to the Knowledgeone K1 online help system. Please search both "Triggers" and "Stored Procedures" as follows:

Continued…





Please note that the coding of Stored Procedures and Triggers is definitely not an end user job. This is a job for a programmer, someone familiar with SQL syntax and in particular, familiar with either the SQL Server or Oracle versions (yes, there are differences depending upon the database software in use).

Electronic Document Capture

Overview

It is pretty difficult today to find any records management system that does not include the requirement to capture electronic documents and images.

Remember our earlier definition of a record, "evidence of a business transaction". A record can be in any form, paper or electronic and any serious records management system MUST capture records of all types in order to meet its objectives. What is the point in capturing only the paper records if they are only fifty-percent of the 'record'?

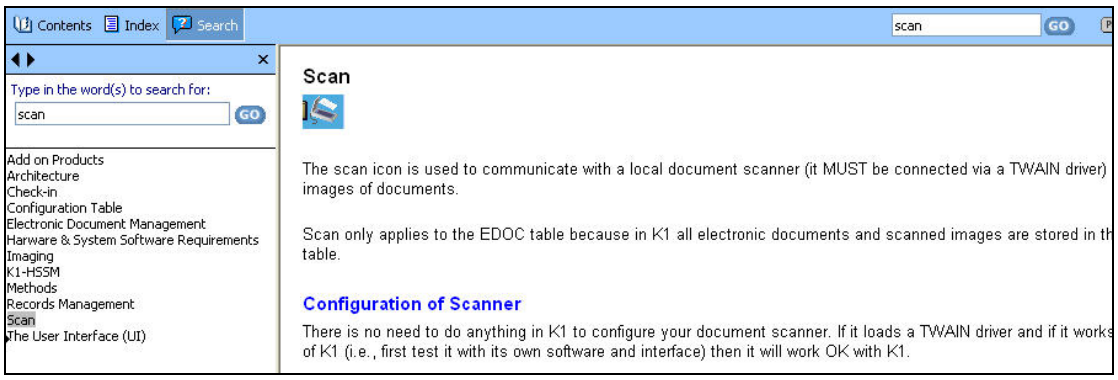
Knowledgeone K1 provides several easy and convenient ways for you to capture electronic documents and images as follows:

Scan

The Scan Method is a standard part of the Knowledgeone K1 User Interface. It can be found in the body of the EDOC object alongside the Read Method.

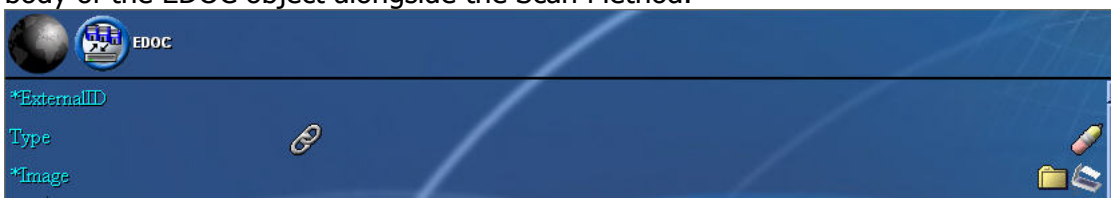
Scan is used to capture an image of a paper document. It supports any TWAIN compatible paper scanner connected to the workstation.

Note: For a detailed explanation of the Scan Method please refer to the Knowledgeone K1 online help system and search on Scan as follows:



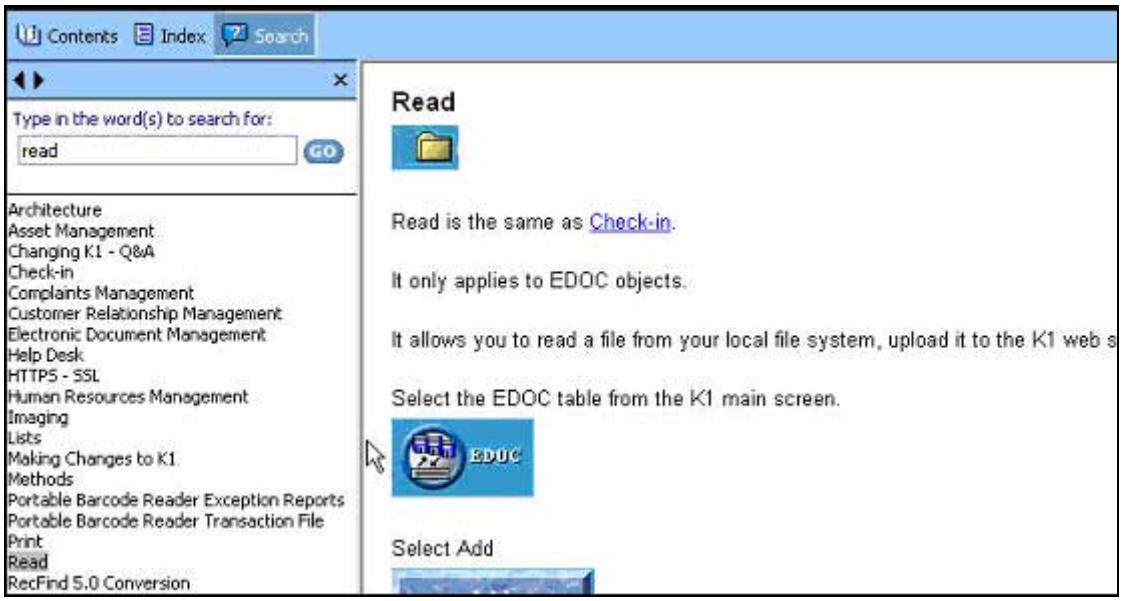
Read

The Read Method is a standard part of the Knowledgeone K1 User Interface. It can be found in the body of the EDOC object alongside the Scan Method.



Read is used to read in any electronic document (e.g., Word, Excel. .MSG, PDF, etc) from the local file system.

Note: For a detailed explanation of the Read Method please refer to the Knowledgeone K1 online help system and search on "read" as follows:



Continued…

Scan K1

Scan K1

Scan K1 is the third component in the Knowledgeone K1 High Speed Scanning Module (HSSM). The HSSM is a separate, optional product that supports high speed offline scanning using any TWAIN compatible scanner.

Scan K1 allows you to select all of the images and OCR text files created by the HSSM and add them to the Knowledgeone K1 relational database as new EDOC objects.

It also allows you to capture electronic documents of any kind created by any other application and add them to the Knowledgeone K1 relational database.

Button K1

Button K1

The Knowledgeone K1 Button is a separate, optional Knowledgeone K1 add-on and it is the world's easiest to use Check-in, Check-out tool. It is a .NET smart client that sits in the SysTray and communicates with the Knowledgeone K1 relational database via the SOAP (Web Services) protocol.

It can be used from anywhere in the world there is an Internet connection and all data transmissions are secure and encrypted.

With the Button K1 you can quickly and easily check-in and check-out electronic documents of any type.

Xchange K1

Xchange K1

Xchange K1 is the Knowledgeone K1 import/Export Engine. It can be run manually or fully automatically. It allows you to import data from any system into Knowledgeone K1 and populate any Knowledgeone K1 table. It can also be used to export any Knowledgeone K1 table in industry standard XML format. It is provided free with every copy of Knowledgeone K1.

GEM K1

GEM K1

GEM K1 is a separate, optional add-on for Knowledgeone K1. It provides a totally automatic, rules-driven and server centric way to analyse, capture and index all emails. It supports the Exchange, GroupWise and Lotus Domino email servers.

Continued…

RecCapture K1

RecCapture K1

RecCapture K1 is a separate, optional add-on for Knowledgeone K1. It provides a totally automatic, rules-driven, server-centric way to analyse, capture, version and index all electronic documents created in your enterprise.

Compliance

Overview

Compliance infers that there are one or more standards that your organization is supposed to meet/adhere to. These may be specific records management standards (e.g., DoD5015) or they may be industry standards (e.g., the oil industry, the chemical industry, the stock exchange) that should be applied to all records you generate and receive.

Compliance standards generally specify 'standards' for Metadata, Process and long term archival storage. Standards may also differentiate between the 'rules' for active records processing and the rules for the long-term storage of records. Let's have a brief look at each of the three specifications in turn.

Metadata

Metadata is information about information. In records management terms it is everything you know about a record; it is the 'context'. For example, if the record is an electronic document created using Microsoft Word then typical items of Metadata would be author, date created, size, publish date, record category, etc.

Most records management standards specify the elements of Metadata that you are supposed to capture with each type of record.

In Knowledgeone K1 the main carrier of Metadata is the MDP and you can define multiple views of the MDP (see the section on Configure by Type Code for an explanation on how to create different views of the MDP) to suite each type of record you manage.

Meeting the Standard

You use the DRM to add, modify and delete fields in a table and you use the Configure by Type Code logic in Knowledgeone K1 to produce all the different views of a table you require. You can modify the Knowledgeone K1 Data Model to meet any number of (often conflicting) standards in just minutes.

Process

Some standards not only tell you what information you have to collect but also how and when to collect it. They will specify what is supposed to happen every time a record is added, modified, viewed, deleted, archived, etc. In general, by specifying processes the authors of the standard are trying to ensure the authenticity of the record. They are trying to ensure that it remains inviolate and is not intentionally or accidentally modified.

Continued…

Meeting the Standard

In Knowledgeone K1 the customer is empowered and able to decide not only which processes (methods) a user has access to with particular records but also what each process actually 'does'. As well as deciding who can do what with what, (see the section on Security) you can also add and modify processes (see the section on Stored Procedures and Triggers).

Whereas adding and modifying processes will take longer than modifying the Data Model, it is still not a difficult task and Knowledgeone K1 has been designed so the customer's IT staff can easily view and modify any Knowledgeone K1 process.

Long Term Storage

Many standards bodies around the world are grappling with the problem of rapidly changing technology. What, for example, happens to the records on a WORM cartridge when that WORM drive is replaced with a more modern alternative and the cartridge is no longer readable? What happens to documents created in WordStar when WordStar no longer executes on the Windows platform? What happens to documents created in Word 1.0 when Word2003 no longer reads them?

In many ways this is a crossover into Vital Records processing because both express the same concern. That is, "Is this record still accessible and readable?" and "Do I need to move this record to a more current storage medium?"

There is also a possible conflict between standards that insist records be maintained in their 'native' format (e.g., Word or Excel or .MSG for Microsoft emails) and standards that insist records must be saved in a format best suited for long term archival storage (e.g., PDF or XML).

To further complicate this issue there is no common world or even country standard and the standards (yes, plural) keep evolving as technology changes.

Four or five years ago most people were betting on PDF as the 'safest' format for long term archival storage. My bet is that next year most people (including Microsoft and the OpenOffice consortium) will be betting on XML as the 'safest' format, replacing PDF as the usual default.

Confused? Join the club.

Meeting the Standard

In Knowledgeone K1 we play it safe (adhering to the 'Rules of Evidence' school of records management) by storing electronic records in their *'native' format and by exporting records in XML format (for ease of exchange with other systems).

As yet, (wait for version 2.0), we don't provide a way to optionally change the format of captured electronic documents (e.g., .DOC, .XLS, .JPG, etc) and store either the alternative format or both.

So, if you have to store electronic records in both native and say XML format, then you will need to create the XML version outside of Knowledgeone K1 and then add both to Knowledgeone K1 in the normal way.

*Native Formats

Many standards mandate that records must be stored in their 'native' format but to my knowledge there is no universally accepted standard for/specification of native formats. That is, no respected authority has yet listed all the electronic document applications and then specified what the mandated native formats are. It has basically been left up to the various software companies, like

Knowledgeone Corporation, to decide which of the available formats for each application is best described as 'native'.

Some applications (like Lotus Notes and GroupWise) don't appear to have a savable native format outside of the application other than .txt. Some applications (like Microsoft Exchange) have several formats like .EML within Exchange and Outlook Express and .MSG when the message is in Outlook. And of course, when you save an email from Outlook the default format chosen by Microsoft is always HTML.

Confused again or is this clear as mud? Once again, your only choice is to join the club and persevere like the rest of us until there is some reasonably internationally accepted standard we can adhere to.

Summary

Knowledgeone K1 is a generic application processing system able to run almost any application (we call them personalities) and is in fact, able to run multiple, disparate applications concurrently.

Another way to think of Knowledgeone K1 is as a .NET 2003, thin-client, rapid application development system.

Knowledgeone K1 was not designed as the next update for RecFind. Knowledgeone K1 was designed as a totally new genre of system and the design of RecFind played absolutely no part in the design of Knowledgeone K1; there is no RecFind DNA in Knowledgeone K1. Knowledgeone K1 looks and works entirely differently to RecFind.

We couldn't just deliver Knowledgeone K1 as an empty tool set because it would have been too difficult for our customers to come to terms with. So, we preconfigured a number or applications (personalities) as 'out-of-the-box', ready to run applications. These include:

- Records Management
- Electronic Document Management
- Imaging
- Workflow
- Asset Management
- Human Resources Management
- Help Desk
- Complaints Management
- Customer Relationship Management

These were pre-configured by us to show you what could be done with Knowledgeone K1. We expect each of these pre-configured, generic personalities to be about an 85% solution for most customers. Think of them as the almost finished building blocks for your application. All the really hard work has been done by us; all you need to do is add the finishing touches.

The exception to the 85% rule is where the customer is an existing RecFind customer and runs the RecFind2K1 conversion program. When you do this we convert **EVERYTHING** from your RecFind system to Knowledgeone K1. You will end up with all the data and all the functionality you enjoyed in RecFind.

HOWEVER, it will not look the same and it will not work the same way. It will in fact, look and work entirely differently to RecFind. This is by design, not accident.

This is why we talk about the need for a new mindset. Do not expect Knowledgeone K1 to look anything like RecFind and do not expect Knowledgeone K1 to work anything like RecFind BUT do

expect Knowledgeone K1 to be a vast superset of RecFind, able to do far more than RecFind ever could.

Do not approach Knowledgeone K1 with your RecFind mindset because it will not work. Please approach Knowledgeone K1 with an open mind. Please view Knowledgeone K1 as a totally, absolutely new product. A completely new way, based on the .NET 2003 thin-client model, to solve the records management problem.

Knowledgeone K1 has jumped at least five years ahead of RecFind in technology or as one RecFind user exclaimed recently after a demonstration, "This is space age stuff!"

One way to understand the fundamental difference between these two systems is when viewing the process of change.

With RecFind, as a traditional client-server product, almost everything was 'fixed'. If there was something you didn't like or a change you needed (like expanding a field from 15 to 20 characters) you made out an Enhancement Request form and sent it to GMB to be included in the list of possible future enhancements. You then waited and prayed that your enhancement would be included in the next major update.

With Knowledgeone K1, if there is something you don't like or a field you want expanded then just change it. There is no need to speak to Knowledgeone Corporation, there is no concept of an Enhancement Request, there is no wait and there is negligible cost (your time).

With Knowledgeone K1, the customer is empowered as it has never been empowered before with application software. Knowledgeone K1 can be whatever you want it to be, you just have to start thinking this way.

Frank McKenna, CEO