OnBase®
Foundation EP5

Document Knowledge Transfer & Compliance

Reference Guide

Includes:

Installation Guide

Administration Guide

User Guide

Copyright

Document Name .... Document Knowledge Transfer & Compliance

Department/Group .... Documentation

Revision Number .... Foundation EP5

ADMINISTRATION GUIDE

CONFIGURATION

CONFIGURING THE DISTRIBUTION SERVICE

COMPLIANCE TESTING ADMINISTRATION

COMPLIANCE TESTING USAGE - WEB CLIENT

USAGE AND ADMINISTRATION - UNITY CLIENT

Overview

Many business processes mandate employees have prerequisite knowledge prior to performing specific tasks or taking on new roles in an organization. New employees may be required to read the company's employee handbook. Document Knowledge Transfer (DKT) assists organizations in meeting these requirements by:

- Ensuring employees read required documents.
- Tracking reader compliance.

DKT facilitates distribution of required reading materials through Reading Groups. DKT also tracks compliance when a user acknowledges that the required document is read. Required documents reside in OnBase, where they can be added to a specific Reading Group.

DKT can be configured according to an organization's compliance policies and business processes.

Applications

DKT empowers organizations to:

- Rapidly distribute documents, including video files, to the workforce.
- Allow multiple users to access a document at the same time.
- Ensure that users read the correct revision of a document.
- Ensure that new users have immediate access to all required documents.
- Verify that documents have actually been read by the logged-in user.
- Provide a solid foundation for knowledge transfer in compliance-oriented environments.
- Comply with external regulations (e.g., ISO, SOX, HIPAA, etc.) by providing documented proof of knowledge distribution and acknowledgement by users.

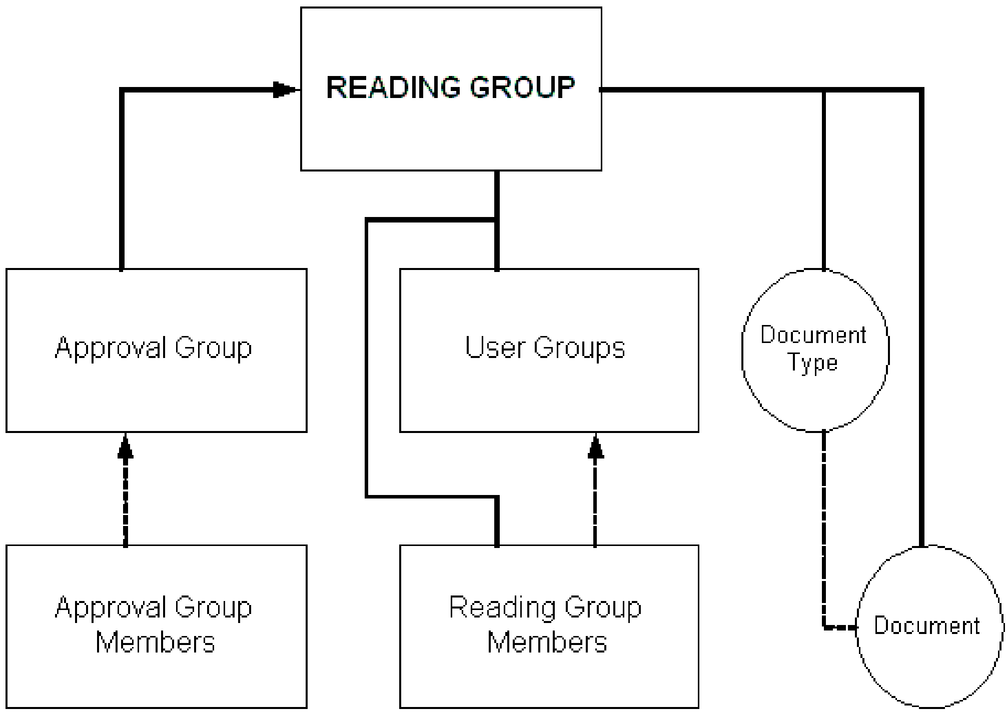
DKT is a tool for distributing required reading documents to employees and for enforcing or tracking compliance to these requirements. DKT:

- Provides users with a central interface for accessing the required documents.
- Allows users to read required documents from within OnBase. Users logged on to OnBase through the OnBase Client, Web Client, or Unity Client can access Reading Groups.
- Informs users which documents remain to be read. Reading documents are categorized according to viewing status.
- Allows users to flag important documents for future reference.
- Empowers users to do their job, and do it well according to correct documented procedures.

Definitions

Structure

The diagram below shows the basic elements that make up the DKT process.



Reading Groups

Reading Groups are sets of users who can be assigned documents for required reading. It can be given a unique name reflecting the types of documents assigned to the Reading Group or the user profiles of Reading Group members. For example, the Medical Billing Reading Group may contain documents related to ICD-9, CPT4, and HCPCS coding references, electronic claims processing procedures, and others.

Once created, the Reading Group defines the characteristics of the reading list. Users or User Groups assigned to a specific Reading Group are required to read all documents in that Reading Group list.

In a traditional Reading Group, membership is determined by the User Groups or individual users assigned to the Reading Group. Compound Reading Groups (CRGs) are composed of other Reading Groups, called child Reading Groups. Membership in a CRG is determined by the users or user groups assigned to the child Reading Groups. For more information about CRGs, see Compound Reading Group on page 5.

Note: CRGs are available only in the OnBase Client.

Attributes

A Reading Group is made up of the following components:

- Members
- Documents
- Approval Type
- Approval Group
- Deadline for compliance

Members

Every Reading Group has members selected from User Groups and/or users already existing in OnBase. Members must read and acknowledge every document in their respective Reading Groups.

- Members are selected individually to become part of a Reading Group or by virtue of being part of a User Group in OnBase.
- OnBase users can be members of more than one Reading Group.
- Only the Reading Group Administrator or a user with Member rights can select users to become members of a specific Reading Group.

Note: All users added to or removed from a User Group that belongs to a Reading Group are automatically added to or removed from the Reading Group.

Note: You can also use the **User Import** function in the Configuration module to import users into the system and add them to existing Reading Groups in OnBase. Refer to the System Administration documentation for more information.

Documents

Every Reading Group has documents added by the Document Administrator for reading and acknowledgement by Reading Group members. These documents:

- Must already exist in the system.
- Can be assigned to more than one Reading Group.
- Can be added to a Reading Group manually or automatically by belonging to a Document Type that is auto-assigned to a Reading Group.
- May have revisions. When the Reading Group is set up to **Hide old Revisions**, only the most recently added revision of the document is distributed to readers. See your system administrator for more information about this option.

Approval Type

Every Reading Group is assigned an **Approval Type** which determines whether or not the documents need prior approval before distribution to reader queues. Three approval types are available for each Reading Group:

- No Approval
- Allow Approval
- Require Approval

Approval Group

When a Reading Group is configured to **Allow** or **Require Approval**, it is assigned an **Approval Group**. The members of these Approval Groups approve or reject the documents in a Reading Group before distribution to reader queues.

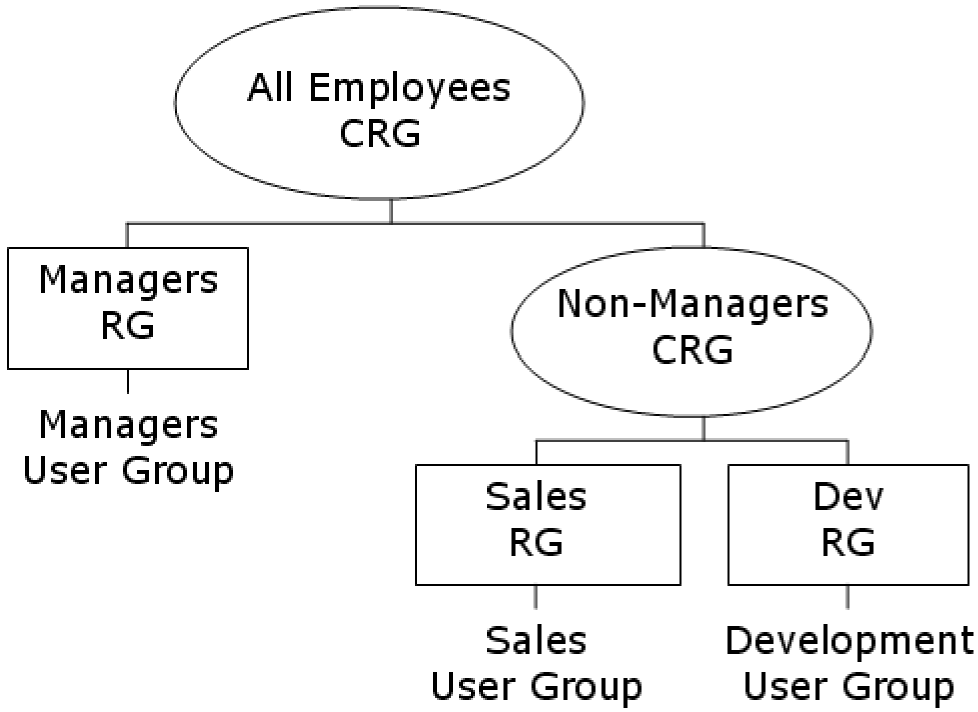
Note: The Approval Type and Approval Group are set at the Reading Group level, not at the document level. However, approvers make decisions at the document level.

Deadline for compliance

Reading Groups may be assigned a Deadline Date by which documents must be read for compliance; documents not read before the assigned Deadline Date are marked as **Delinquent**. The default Deadline Date is specified in the Configuration module as the number of days that Reading Group members have to acknowledge documents after the documents are added to the Reading Group.

Compound Reading Group

A Compound Reading Group (CRG) is composed of two or more child Reading Groups, which are traditional Reading Groups. CRGs allow Reading Group administration to be performed at a more granular level. An example of a CRG structure is displayed below:



This structure allows the All Employees CRG to have multiple compliance administrators, who ensure Reading Group members have read and acknowledged reading requirements by their deadlines. For example, if a new employee policy was added to the All Employees CRG, the sales manager, who is the compliance administrator for the Sales Reading Group, can ensure that all sales employees have read and acknowledged the policy. This structure has multiple advantages:

- An administrator only has to add the document to the All Employees CRG to distribute the document to all child Reading Groups.
- The All Employees compliance administrator does not need to personally ensure the compliance of every employee in the company.
- Department managers can administer their own employees without seeing employees from other departments.

CRG members are determined by the members of their child Reading Groups, which are assigned to the CRG in the OnBase Client. CRGs may be composed of:

- All users who are members of any child Reading Group (e.g., members of either Managers, Sales, or Development).
- Only users who are common members of two or more child Reading Groups (e.g., members of Managers who are also members of Sales or Development).

- Only users who are members of a child Reading Group who are not also members of another Reading Group (e.g., members of Sales and Development who are not members of Managers).

For example, if you wanted to add a document as required reading for all sales managers, you could create a CRG composed only of users who belong to both Managers and Sales Reading Groups.

Note: Compound Reading Groups (CRGs) are not available in the Web Client, Unity Client, and standalone DKT Reader, which is documented in the Enterprise Document Knowledge Transfer Web Access module reference guide.

Explicit and Implicit CRGs

There are two types of CRGs: Explicit and implicit. Like traditional Reading Groups, explicit CRGs are created in the Configuration module, and members are assigned in the OnBase Client. All the configuration options of traditional Reading Groups are available for explicit CRGs.

Implicit CRGs are created dynamically in the OnBase Client when a user adds a document. Implicit CRGs allow documents to be added to any combination of Reading Groups without requiring the CRGs to be explicitly created in the Configuration module. Implicit Reading Groups are helpful when organizations do not want to create a CRG for every possible combination of Reading Groups.

For example, when a user is adding a document to a Reading Group, the user may choose to add the document for all members of Managers and Development. The user can create an implicit CRG meeting these requirements from the interface for adding documents to a Reading Group. For each document added in this way, a new Reading Group will be created from the OnBase Client, and the appropriate users will be added to it. Configuration options for an implicit CRG are inherited from its child Reading Groups.

Readers and approvers can view CRG documents the same way they view documents assigned to a traditional Reading Group. Like documents added to traditional Reading Groups, documents added to either explicit or implicit CRGs are displayed when the **Reading Group Filter** is set to **<ALL>**. Because implicit CRGs do not have names which can be selected from the filter, implicit CRG documents can be viewed when the list is filtered by a child Reading Group. To view documents added to an explicit CRG, users must select either the explicit CRG or **<ALL>** from the **Reading Group Filter**.

Assigning Membership

DKT offers two methods of assigning CRG membership: Manual configuration and the CRG wizard. Both methods allow you to review the users who will make up the CRG to ensure the CRG satisfies your requirements.

The CRG wizard guides you through each step of CRG creation, allowing you to define membership by selecting criteria. You can select multiple child Reading Groups and connect them using AND/OR relationships. Membership definition is entirely point-and-click configurable through the CRG wizard.

Manual configuration allows you to write the membership definition yourself, giving you greater flexibility to create complex relationships between child Reading Groups. Through manual configuration, you can write definitions which cannot be constructed by the CRG wizard. For example, only through manual configuration can you create a CRG which includes members of either Sales or Development and excludes Managers.

Stakeholders

The table below describes the roles of users involved in setting up and using DKT.

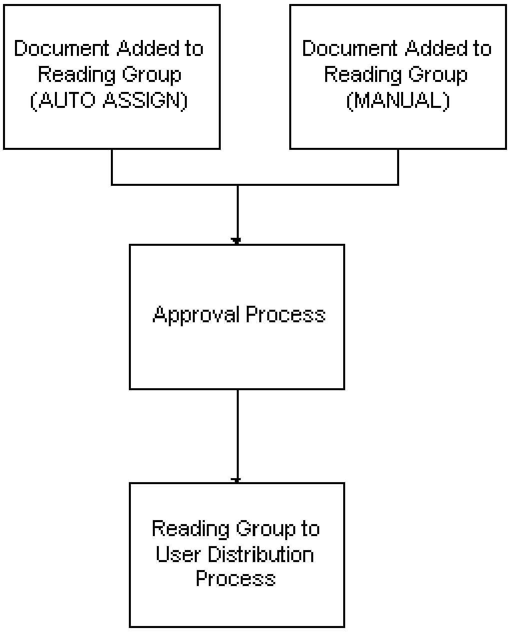
Role	Responsibility
Reading Group member	Members or end users of the Reading Groups. Members must read each document added to their Reading Group. **Note:** Members are existing users or User Groups in OnBase. Users and User Groups can be members of one or more Reading Groups.
Approval Group member	Members of Approval Groups who approve documents prior to distribution to Reader queues. Approvers may or may not be members of the Reading Group of which documents they are approving. Approvers are users individually selected or assigned to become members of an Approval Group. **Note:** Approving documents is a separate function from Reading Group Administration.
Administrator Roles	
Document administrator	Has rights to add to and remove the documents from a Reading Group. In Reading Group Configuration, this person is given the **Document** Privilege. **Note:** Documents must exist in the system before they are added to a Reading Group. External documents should be imported into the system first before they can be added to the Reading Group.
Member administrator	Has rights to add and remove Member readers from his Reading Group. In Reading Group Configuration, this person is given the **Member** Privilege.
Approval administrator	Has rights to create an Approval Group and add and remove Approval Members from an Approval Group. In Reading Group Configuration, this person is given the **Approval** Privilege.

Role	Responsibility
Compliance administrator	Has rights to view user compliance of reading requirements and deadlines. In Reading Group Configuration, this person is given the **Compliance** Privilege.
Reading Group administrator	Oversees overall configuration and administration of Reading Groups; creates the Reading Groups and settings, creates Approval Groups and settings, assigns administrator roles, etc. **Note:** The Reading Group administrator must be given **DKT Configuration Rights** by the system administrator to be able to configure Reading Groups.

Note: Administrator roles are described separately in the table above for clarity purposes, but one or two users can be designated several or all administrator roles.

Approval Process

A document manually added or auto-assigned to a Reading Group has to go through the approval process if the Reading Group is set to **Allow** or **Require Approval**. The diagram below explains the approval process for documents added to a Reading Group.



Below are the steps in the approval process:

1. A Reading Group is created and assigned an **Approval Type**.
2. When a Reading Group is set to **Allow** or **Require Approval**, Approval Groups are set up to review documents prior to distribution.
3. The Approval Group member opens and views each document for approval.
4. The approver either approves or reject the Reading Group document.
5. When **Approved** by the Approval Group, the document is immediately forwarded to the reader queues for viewing, unless the document is scheduled to release at a later date. When **Rejected**, the document shows a **Rejected** status in Document Administration.
6. The Document Administrator removes the rejected document from the Reading Group.

Note: Rejected and/or Removed documents are deleted only from the Reading Group, not from OnBase. Documents awaiting test assignment that have been rejected by the Approval Group will remain in the Document Administration Layout.

Note: The **Approval Type** is set at the Reading Group level, not at the document level. However, the Approval Group members approve or reject at the document level.

Licensing

Beginning in OnBase Foundation EP5, new customers must use simplified licensing to access DKT functionality. Existing customers upgrading from a version of OnBase prior to OnBase Foundation EP5 can continue to use legacy licensing to access this functionality.

If you are a new customer as of OnBase Foundation EP5 or greater, see Simplified Licensing on page 10.

If you are upgrading from a version of OnBase prior to OnBase Foundation EP5, see Legacy Licensing on page 10.

Simplified Licensing

The Standard User or Premier User license is required.

Legacy Licensing

DKT requires the Document Knowledge Transfer & Compliance license and a valid Client license.

If you are using DKT in conjunction with Reporting Dashboards, a Reporting Dashboards license is also required.

Check your current licensing status by selecting **Utils** | **Product Licenses** from the Configuration module.

Document Knowledge Transfer & Compliance

Installation Guide

Foundation EP5

Requirements

The following sections outline requirement information specific to DKT in OnBase Foundation EP5.

General Requirements

For general requirement information that applies to DKT and other modules, see the sections on the following topics in the **Installation Requirements** manual:

- Supported Desktop Operating Systems for the **OnBase Client**, **Web Client**, and **Unity Client** table columns
- Client Retrieval Workstation Hardware Requirements
- Web Client Hardware Requirements
- Web Client Browser Requirements

Note: DKT is not supported for use with the Microsoft Edge web browser.

- Unity Client Platform Hardware Requirements
- Unity Client Browser Requirements
- Microsoft .NET Framework Requirements
- Microsoft Visual C++ Requirements
- Database Supported
- Database/File Servers
- Database Client / Server Version Compatibility

Licensing

See Licensing on page 10 for licensing requirements.

Upgrade Considerations

The following information should be considered or noted when upgrading Document Knowledge Transfer & Compliance deployments. Read this information prior to upgrading your version of OnBase.

Compliance Testing Considerations — Beginning in OnBase 13, Compliance Testing functionality has been added to DKT. Compliance Testing allows OnBase administrators to create tests, associate them with documents in Document Knowledge Transfer module Reading Groups, and deliver them to Web Client and Unity Client users.

Existing customers upgrading to the latest version of OnBase will have continued access to all existing functionality. Customers desiring the added Compliance Testing functionality are encouraged to contact their first line of support.

There is no special installation procedure for Compliance Testing.

Reporting Services and Reporting Dashboards Considerations — Beginning in OnBase Foundation EP3, the Reporting Services module was removed from OnBase. To replace Reporting Services, Document Knowledge Transfer & Compliance now can be used in conjunction with Reporting Dashboards. A Document Knowledge Transfer data provider is available for configuration. If you previously used the Reporting Services module, you can convert the data from Reporting Services into a new Document Knowledge Transfer data provider which is used to configure a reporting dashboard.

For more information on configuring a Document Knowledge Transfer data provider, see the chapter on data provider type configuration in the **Document Knowledge Transfer & Compliance** documentation.

For more information on licensing requirements, necessary privileges, and using dashboards with configured data providers, see the **Reporting Dashboards** documentation.

DKT Installation

There is no special installation procedure for DKT.

Command Line Switches and INI Options

Command Line Switches

-DKTUPDATE

This switch removes expired documents from Reading Groups. On the date a document expires, a server with the **-DKTUPDATE** switch applied removes the document from the Reading Group. Document administrators can manually remove expired documents by selecting **Knowledge Transfer | Document Administration** in the OnBase Client.

The **-DKTUPDATE** switch is also required to send out Delinquency Notifications.

For more information on Command Line Switches, see the OnBase Client Module Reference Guide.

INI Options

DKTServerInterval

This setting specifies in minutes the time interval between DKT Server runs. The default interval is 60 minutes.

For information about the onbase32.ini file and where it resides, see INI File on page 15.

Backup/Recovery

Backup

Configuration

The configuration of DKT is stored in the database. A proper backup of the database will contain all DKT configuration information.

If you are using DKT, it is important that the **System** Disk Group is backed up along with your other Disk Groups.

Registry Settings

No Registry Settings apply to DKT.

External Files

You will need to backup your onbase32.ini file. For more information about the onbase32.ini file and where it resides, see INI File on page 15.

Module-related .INI Options

Record the **DKTServerInterval** INI option.

Recovery

Configuration

Restoring all Disk Groups and restoring your database from backup will recover your DKT module and data.

Registry Settings

No Registry Settings apply to DKT.

External Files

Restore the onbase32.ini file to its original location.

Module-related .INI Options

The .INI file can be restored from the backup if the recovery machine is intended to be used for exactly the same purpose as the original machine. If this machine will be used for other modules, you may need to recover only the listed INI settings listed in previous section.

Additional Steps

No additional steps are required.

INI File

INI files (initialization files) are plain-text files that contain configuration information. These files are used by Windows and Windows-based applications to save and access information about your preferences and operating environment. OnBase uses an initialization file named onbase32.ini. If users do not have rights to access the onbase32.ini file, they will be unable to use the Client or the Configuration module.

The onbase32.ini file is primarily used to store settings specified in the Client or the Configuration module. For example, when a user selects a default data source in the OnBase Client's Workstation Options dialog box, this selection is saved to the onbase32.ini file. The onbase32.ini file is also used to make modifications to OnBase modules that cannot be made through the module's interface.

Location

For modern Windows operating systems, the default location of the onbase32.ini file is **C:\ProgramData\Hyland Software**. For previous versions of OnBase running on older operating systems, the default location of the onbase32.ini file was **C:\Documents and Settings\All Users\Application Data\Hyland Software**.

Note: To maintain backwards compatibility with previous versions of OnBase, OnBase checks the workstation's **C:\Windows** folder for the OnBase INI file if it is not found in the folder specified above. If the OnBase INI file is found in the **C:\Windows** folder, OnBase copies the file to the new location. The previously existing version of the OnBase INI file remains in the **C:\Windows** folder, but it is no longer used by OnBase.

Your onbase32.ini file may reside in a different location, if that location is specified by the following command line switch on the OnBase Client shortcut target:

-INIFILE= "full path\filename", where **full path** and **filename** are replaced by the specific path and file name.

If this command line switch is not used and you move or rename your onbase32.ini file, OnBase recreates the file in the default folder and ignores the newly created file.

INI Considerations in a Citrix and Microsoft Windows Remote Desktop Environment

In Remote Desktop environments, a remote session is established in which the user is running applications that are not installed locally. This presents a challenge when an application, such as OnBase, requires a user-specific INI file to establish unique settings. In a Remote Desktop environment, you must ensure that each user has a single, unique INI file to make sure any user-specific settings are consistent for that user.

Note: The default location of the OnBase INI file is not unique in a Remote Desktop environment.

To ensure that the INI file is accessible by OnBase and unique to each user in a Remote Desktop environment, the **-INIFILE** command line switch must be applied to the OnBase Client and Configuration shortcuts and be set to a unique location for the INI file.

Note: Additional details regarding the deployment of OnBase in a remote desktop environment is discussed in detail in the **Citrix and Microsoft Windows Remote Desktop Environment Deployment Guide**, available from your first line of support.

Editing the INI File

Users with the **Configuration** product right can open the onbase32.ini file from the OnBase Client by selecting **Admin | Utilities | Edit INI File**. When multiple onbase32.ini files exist, opening the onbase32.ini file from the OnBase Client ensures that a user is editing the correct onbase32.ini file instance. In most cases, this will be the onbase32.ini file residing in the default directory described above. If an alternate location for the onbase32.ini file is specified by the **-INIFILE** command line switch, the file in the specified location will be opened.

DKT Troubleshooting

A primary purpose of the DKT module is to ensure that every document in each Reading Group is read by intended parties.

A document added to a Reading Group will either end up in:

- The Reading Group member queue, or
- The Approval Group member(s) approval queue if the Reading Group is set to require approval.

The Administrators should help ensure the end goal by tracking the movement of documents in the Reading Group from the time documents are added to the time they are read by the member readers. The Document Administrator should watch to see if a document is getting stuck in the Approval or Viewing process. Unanticipated deletion of system users or documents outside of DKT may cause unintended slippages in the approval or distribution process. The Document Administrator and/or Approval Administrator should find ways to resolve the situation.

Documents will slip through the Approval Process and end up in the reader queues for these cases:

- If no Approval Groups are selected for Auto-assigned document types of Reading Groups that are configured to Allow or Require Approval.
- If documents are set to be approved by Approval Groups that have no Approving members in it.

Reading Group Administrators, namely, the Document, Approval and Member Administrators, should try to troubleshoot problems that may arise in the following scenarios:

1. **Scenario 1**—Three Approval Groups are selected, two of which do not have members, and the remaining one has a single approval member.

   In this case, the document will go to the approving queue and will require only that member's approval. Once the document is approved, it will be available in the reading queue.
2. **Scenario 2**—A document is added to the approving queue of two Approval Groups, each with a single member. There are two cases for this scenario:
   - **Case 1**—The Approval Administrator or someone external to DKT deletes a user from either of the two Approval Groups.

     The document waits for approval from the user in the other Approval Group. Once the document is approved, it goes to the reading queue. In this case, even though the document is set to be approved by two groups, it will still be distributed when it is approved by a single user because the other user was deleted.
   - **Case 2**—One user has already approved the document, and the approval administrator or someone external to DKT deletes the other user from any of the two Approval Groups.

     The approval status of document changes to approved when the second user is deleted from the system. The document goes to the reading queue.
3. **Scenario 3**—A document is added to the approval queue with only one Approval Group that has only one approval member. In this case, the document requires only one approval to enter the reading queue.

   If the approval administrator or someone external to DKT deletes the single approval member, the document automatically goes to the reading queue.
4. **Scenario 4**—A document was deleted without being removed from the Reading Group it belongs to.

   In this case, the OnBase document will no longer be displayed in Document Administration, the Approval Viewer, or the Reading Group Viewer. To re-add the document to the Reading Group, an OnBase user must first import the document to OnBase before adding it to the Reading Group.

Deleting Users/User Groups

If an administrator deletes a user from OnBase, the user is removed from the Reading Group. The record of the user’s acknowledgment of documents is preserved in the database for auditing purposes. This record is never deleted from the database unless the document is deleted and purged from OnBase.

If an administrator deletes a User Group from OnBase that is assigned to a Reading Group, the users are removed from the Reading Group but the users are not deleted from OnBase. The record of the user's acknowledgment of documents is preserved in the database for auditing purposes.

Note: Within five minutes of a user's deletion in the Configuration module, the deleted user who is logged on to the Web Client at the time of deletion will be deactivated in the Reading Groups and automatically logged out of the Web Client. User accounts are not removed from the database, but rather are deactivated. Although the associated login is no longer valid, references to the user account remain in Document History.

Email Notifications

Microsoft Outlook automatically removes extra line breaks in notifications sent by DKT. This causes the lines of information in the notification to run together. The line breaks can be restored for improved readability by clicking the **Extra line breaks in this message were removed** bar at the top of the email and selecting **Restore line breaks**.

This Outlook feature can be disabled, so that line breaks are not removed in future notifications:

1. In Outlook, select **Tools | Options**.
2. On the **Preferences** tab, click **Email Options**.
3. Clear the **Remove extra line breaks in plain text messages** check box.
4. Click **OK**.

Contacting Support

When contacting your solution provider, please provide the following information:

- The OnBase module where the issue was encountered.
- The OnBase version and build.
- The type and version of the connected database, such as Microsoft SQL Server 2014 or Oracle 12c, and any Service Pack that has been installed.
- The operating system that the workstation is running on, such as Windows 10 or Windows Server 2012 R2, and any Service Pack that has been installed. Check the supported operating systems for this module to ensure that the operating system is supported.
- The name and version of any application related to the issue.
- The version of Internet Explorer and any Service Pack that has been installed, if applicable.
- A complete description of the problem, including actions leading up to the issue.
- Screenshots of any error messages.

Supplied with the above information, your solution provider can better assist you in correcting the issue.

OnBase®
Foundation EP5

Document Knowledge Transfer & Compliance

Administration Guide

Configuration Rights

User Groups and Rights

The OnBase administrator or the DKT Administrator must configure the appropriate user rights and privileges in the Configuration module to enable DKT Users/User Groups to use all or some DKT functions.

1. Select the **Users | User Groups / Rights**.
2. In the **User Groups & Rights** dialog box, configure the appropriate settings for each Reading Group User/User Group:
    - Configuration Rights
    - Privileges
    - Additional Privileges
    - Product Rights
    - Administrative Processing Privileges

Configuration Rights

The OnBase system administrator must first give **Configuration Rights** to the DKT Administrator. Without Document Knowledge Transfer Configuration Rights, the DKT Administrator cannot create, configure, or administer Reading Groups in the OnBase Configuration module.

To give Configuration Rights to the DKT Administrator:

1. In the **User Groups & Rights** dialog box, select a User Group.
2. Click **Configuration Rights**.
3. In the **Configuration Rights** dialog box, click the **Products** tab and select **Document Knowledge Transfer**.
4. Click **Save**.

Privileges

Grant users and administrators the appropriate privileges.

1. In the **User Groups & Rights** dialog box, select a User Group.
2. Click **Privileges**.

   The **Privileges** settings will depend upon your organization policies, roles, and responsibilities. The privileges in this table below are suggestions. Consult your system administrator for access to specific functions in the system.

Note: Regardless of their **Retrieve/View** privileges in the Configuration module, all Reading Group members can view every document available in their respective Reading Groups.

Role	Grant the following Privileges (at a minimum)
Reading Group members	Internal Mail OnBase privilege **Note:** Any Reading Group administrators who will be adding documents manually need to have the **View** privilege for the Document Type.
Approval Group members	Internal Mail OnBase privilege
Document Administrator	OnBase privileges: • View Revisions • Internal Mail • Retrieve/View • Retrieve Dialog DKT privilege: • Document **Note:** The right to add or remove documents from a Reading Group is granted from the Reading Group configuration by the Reading Group administrator.
Member Administrator	Member DKT privilege
Approval Administrator	Approval DKT privilege
Reading Group Administrator	Member DKT privilege Internal Mail OnBase privilege

Additional Privileges

- Grant the **Create** and **Import** OnBase privileges to users who create new documents.
- Grant the **Modify** OnBase privilege to users who create revisions from existing documents.
- Grant the **View Revisions** OnBase privilege to users who view previous revisions.

Product Rights

To perform some functions, you must have appropriate product rights. To grant rights in the Configuration module:

1. Select **User | User Groups/Rights**.
2. Select the User Group and click **Product Rights**.
3. DKT Administrators are given **Configuration** rights under **Configuration** and Reading Group members are given **Client** rights under **Registered Processing Products**. Additional rights may be given according to user roles and responsibilities, subject to the discretion of the OnBase administrator and/or DKT Administrator.

Configuring Reading Groups

Reading Groups are sets of users who can be assigned documents for required reading. The following types of Reading Groups are available:

- Traditional Reading Groups that are configured in the Configuration module
- Explicit Compound Reading Groups that are configured in the Configuration module
- Implicit Compound Reading Groups that are configured in the OnBase Client

Note: Compound Reading Groups are not available in the Web Client, Unity Client, or standalone DKT Reader.

The following sections discuss the configuration of traditional and explicit Compound Reading Groups in the Configuration module. For more information on configuring implicit Compound Reading Groups, see the section on creating implicit Compound Reading Groups in the **Usage and Administration - Client** chapter of the **Document Knowledge Transfer & Compliance** module reference guide.

To configure a Reading Group, complete the following steps:

1. Create the Reading Group and configure all relevant options in the **Reading Group Configuration** dialog box. This includes:
   a. Creating a New Reading Group on page 23
   b. Applying Settings on page 30
   c. Assigning Document Types to the Reading Group on page 43
   d. Selecting Approval Groups for Auto-Assigned Document Types on page 44
   e. Assigning Administrators to the Reading Group on page 45
   f. Configuring Email Notifications on page 47

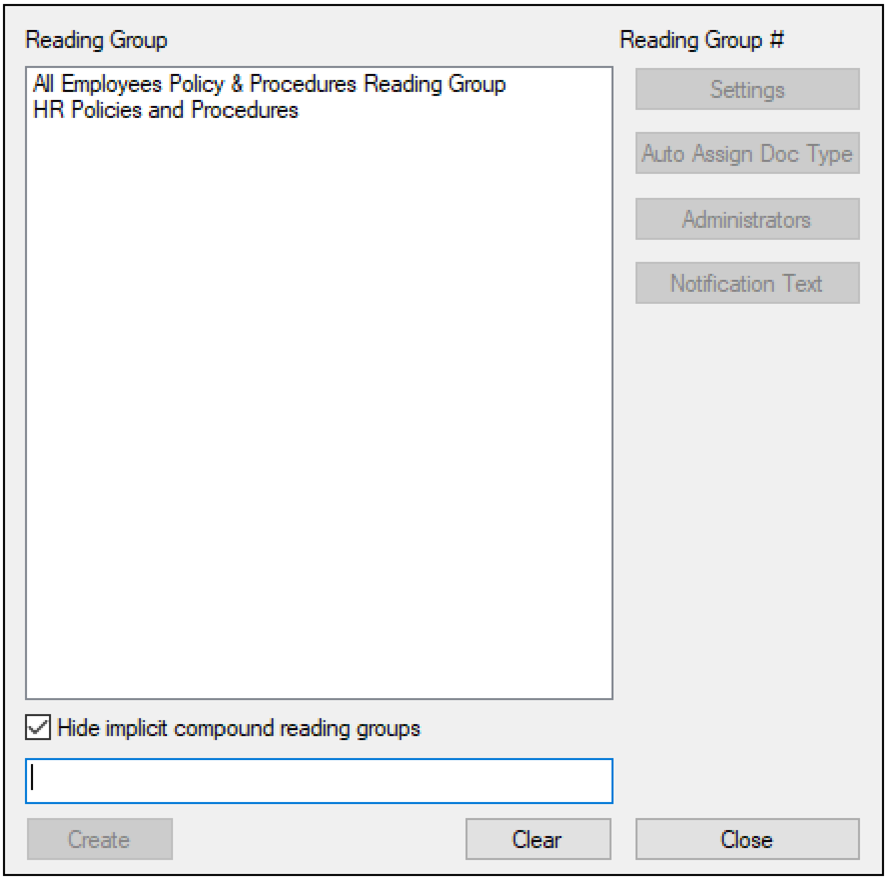
2. Create Approval Groups and select members for each Reading Group and Approval Group for the appropriate client. In the current documentation, see one of the following chapters:
   - For the OnBase Client, see the **Usage and Administration - Client** chapter
   - For the Web Client, see the **Usage and Administration - Web Client** chapter
   - For the Unity Client, see the **Usage and Administration - Unity Client** chapter

Creating a New Reading Group

You can create a Reading Group for a specific group of users to read and acknowledge assigned documents.

To create a new Reading Group:

1. In the Configuration module, select **Document | Reading Group**. The **Reading Group Configuration** dialog box is displayed.

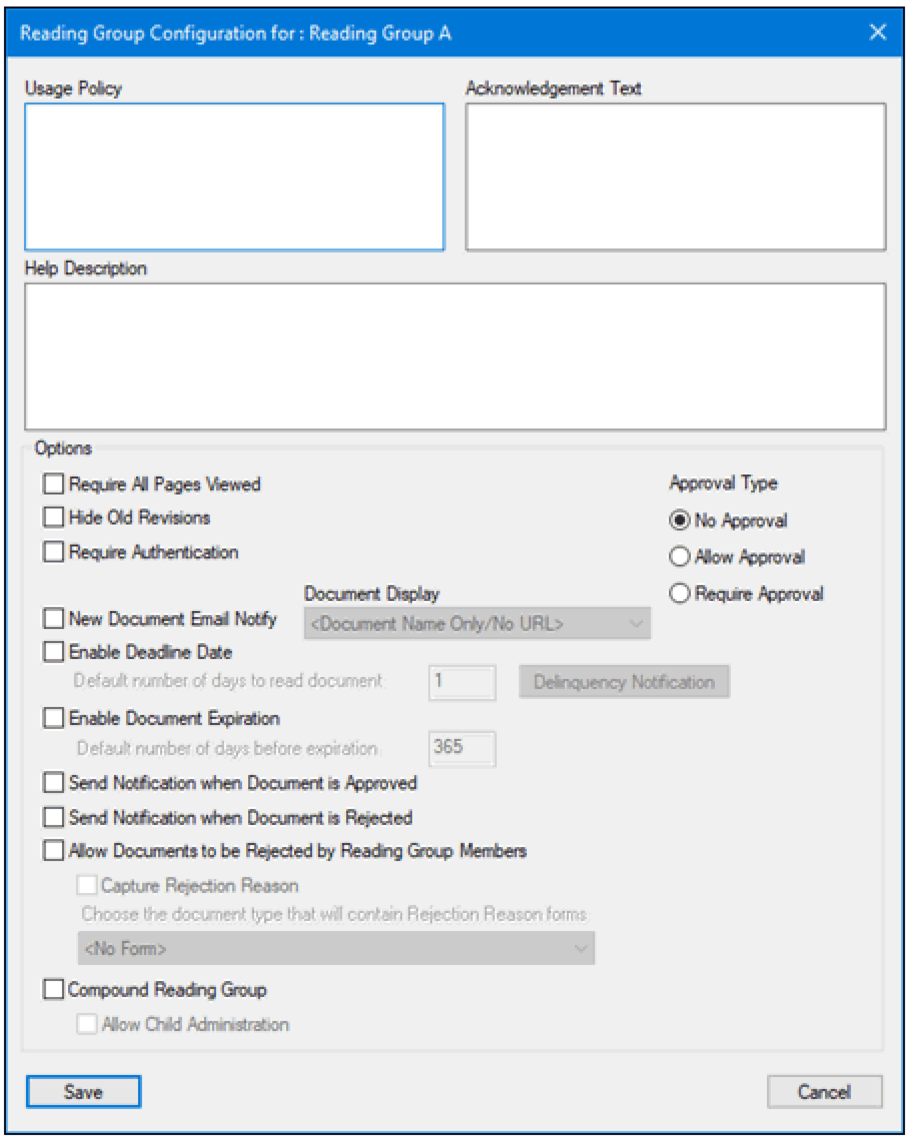


2. In the field below the **Hide implicit reading groups** option, enter the name of your Reading Group.

3. Click **Create**. One of the following may be displayed:
    - If another Reading Group was already configured, a copy settings confirmation dialog box is displayed to determine if you want to copy settings for the new Reading Group from an existing Reading Group.

Note: For more information on copying settings from an existing Reading Group, see Copying Reading Group Settings to a New Reading Group on page 25.

    - If no other Reading Groups exist, the **Reading Group Configuration** dialog box is displayed.
4. If the copy settings confirmation dialog box is displayed, click **No**. The **Reading Group Configuration** dialog box is displayed.



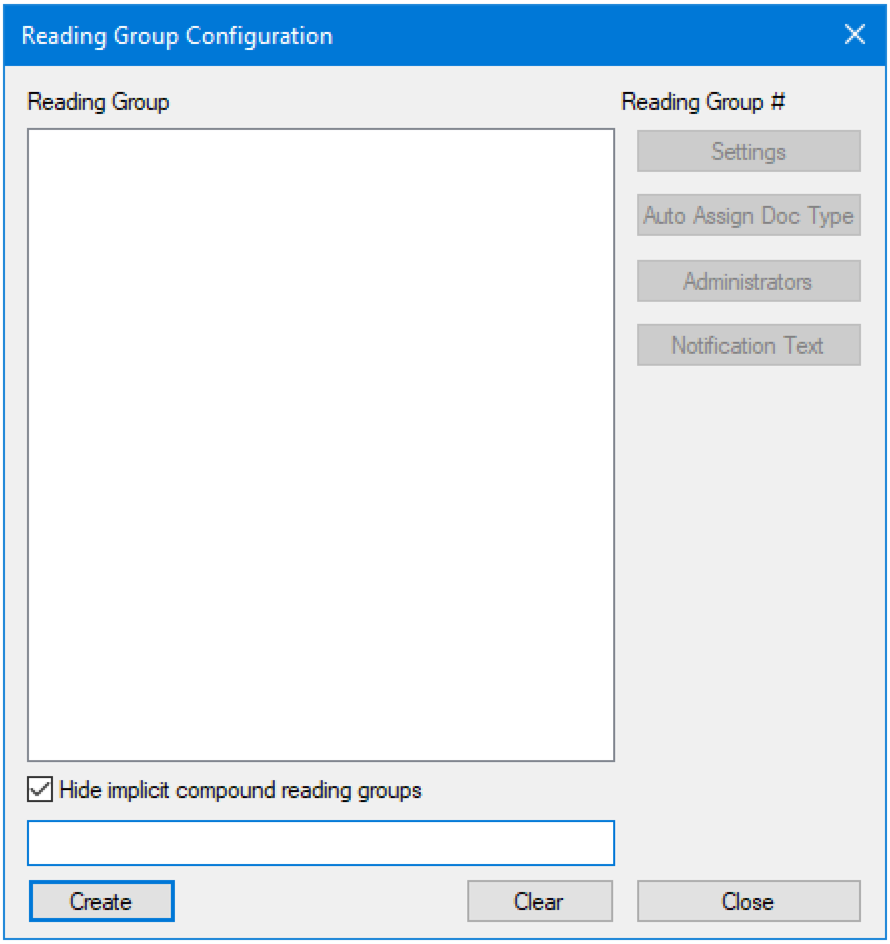
5. Configure settings for the Reading Group. See Applying Settings on page 30 for more information on Reading Group settings.

Copying Reading Group Settings to a New Reading Group

You can create a new Reading Group using the existing settings configured for another Reading Group.

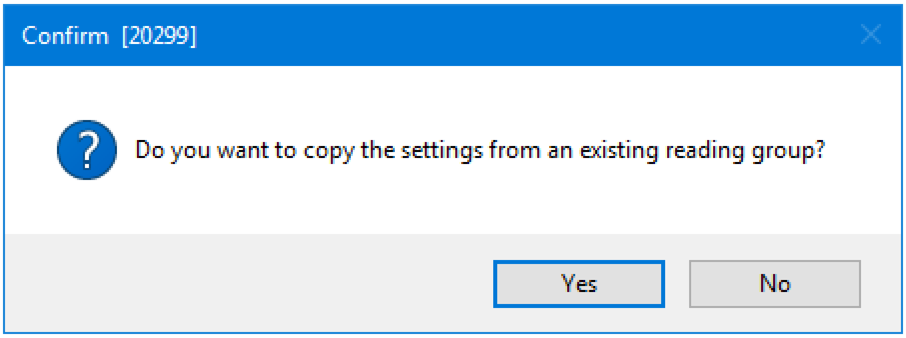
To copy Reading Group settings to a new Reading Group:

1. In the Configuration module, select **Document | Reading Group**. The **Reading Group Configuration** dialog box is displayed.

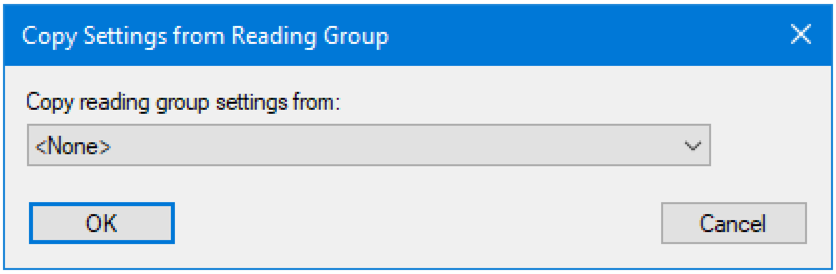


2. In the field below the **Hide implicit compound reading groups** option, enter the name of the new Reading Group.

3. Click **Create**. A copy setting confirmation dialog box is displayed.

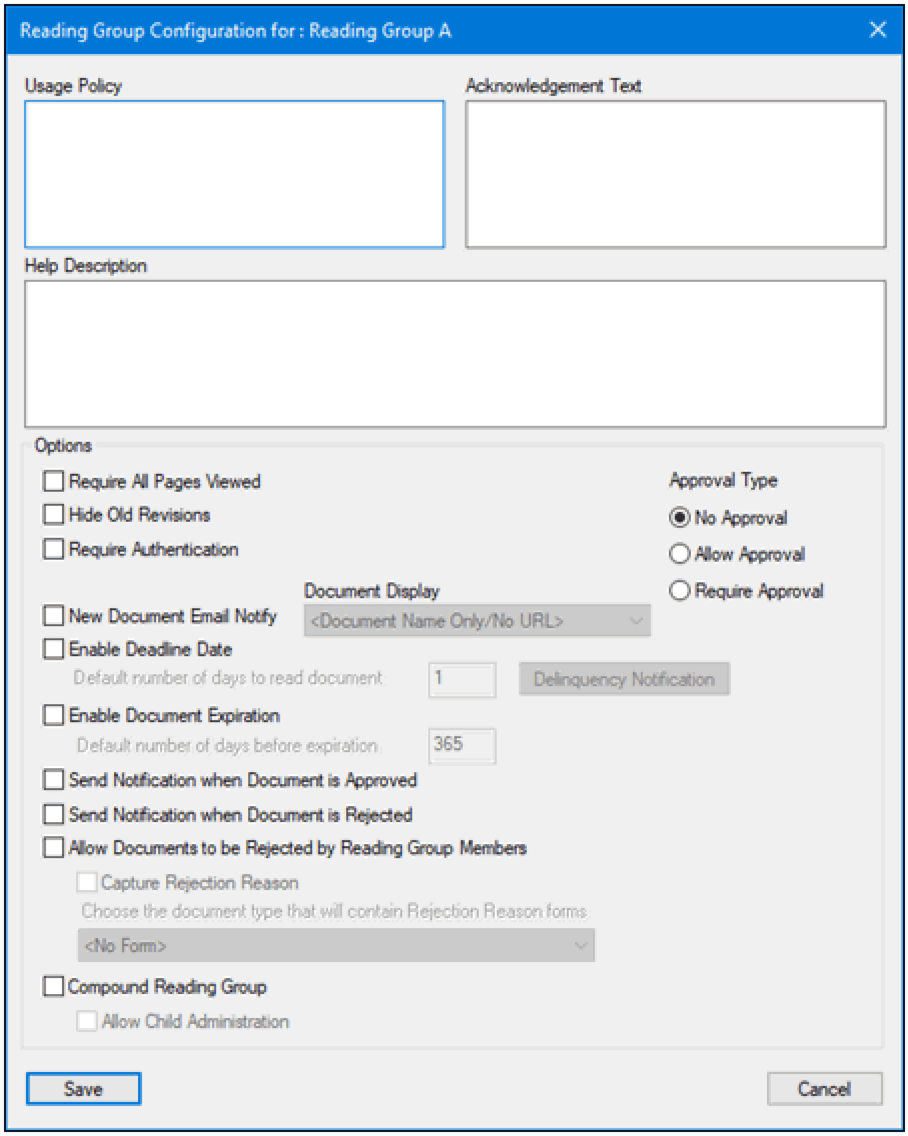


4. Click **Yes** to copy settings from an existing Reading Group to the new Reading Group. The **Copy Settings from Reading Group** dialog box is displayed.



5. Select the Reading Group you want to copy settings from in the **Copy reading group settings from** drop-down list.

6. Click **OK**. The **Reading Group Configuration** dialog box is displayed.



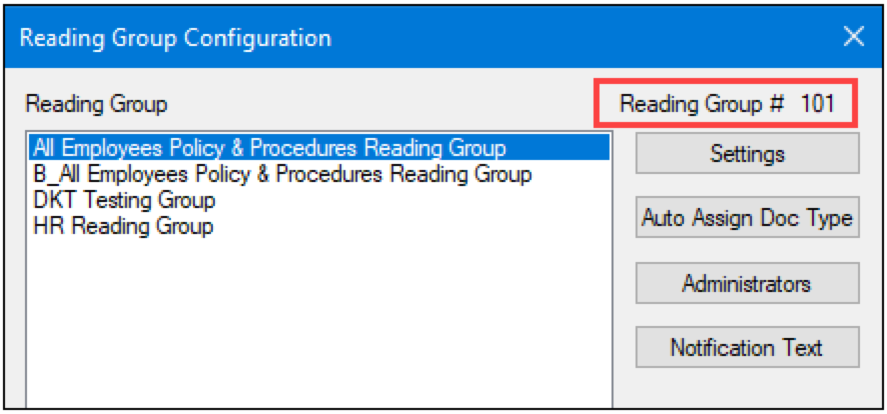
7. Modify or apply new settings as needed. See Applying Settings on page 30 for more information on each Reading Group configuration setting.

Acquiring the Reading Group ID

A Reading Group ID, or the **Reading Group #**, is created when a new Reading Group is created in the OnBase Configuration module. Users can use the Reading Group ID to log on to a default Reading Group in the Web Client.

To acquire the Reading Group ID:

1. In the Configuration module, select **Document | Reading Group**. The **Reading Group Configuration** dialog box is displayed.
2. Select a Reading Group from the **Reading Group** list. The Reading Group ID is listed as the **Reading Group #** in the top right corner of the **Reading Group Configuration** dialog box.



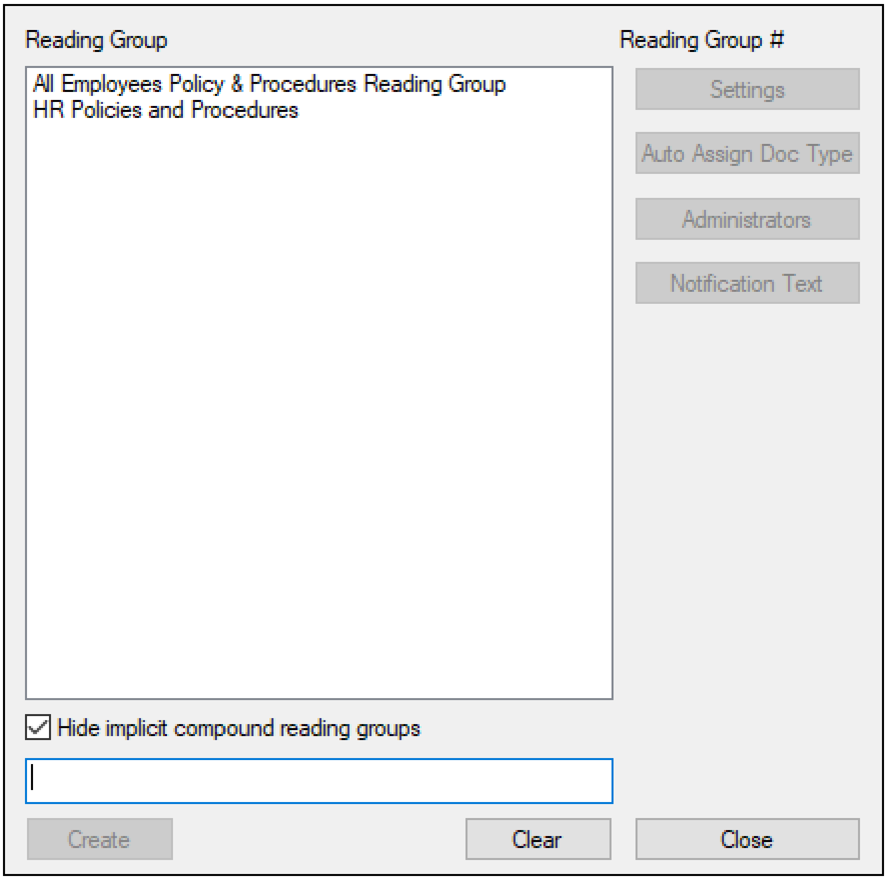
For information on how to log on to the Web Client with a default Reading Group using the Reading Group ID, see the section about logging on to the Web Client in the **Usage and Administration - Web Client** chapter of the **Document Knowledge Transfer & Compliance** module reference guide.

Modifying a Reading Group

You can modify a Reading Group that was previously configured to update any necessary settings.

To modify a Reading Group:

1. In the Configuration module, select **Document | Reading Group**. The **Reading Group Configuration** dialog box is displayed.



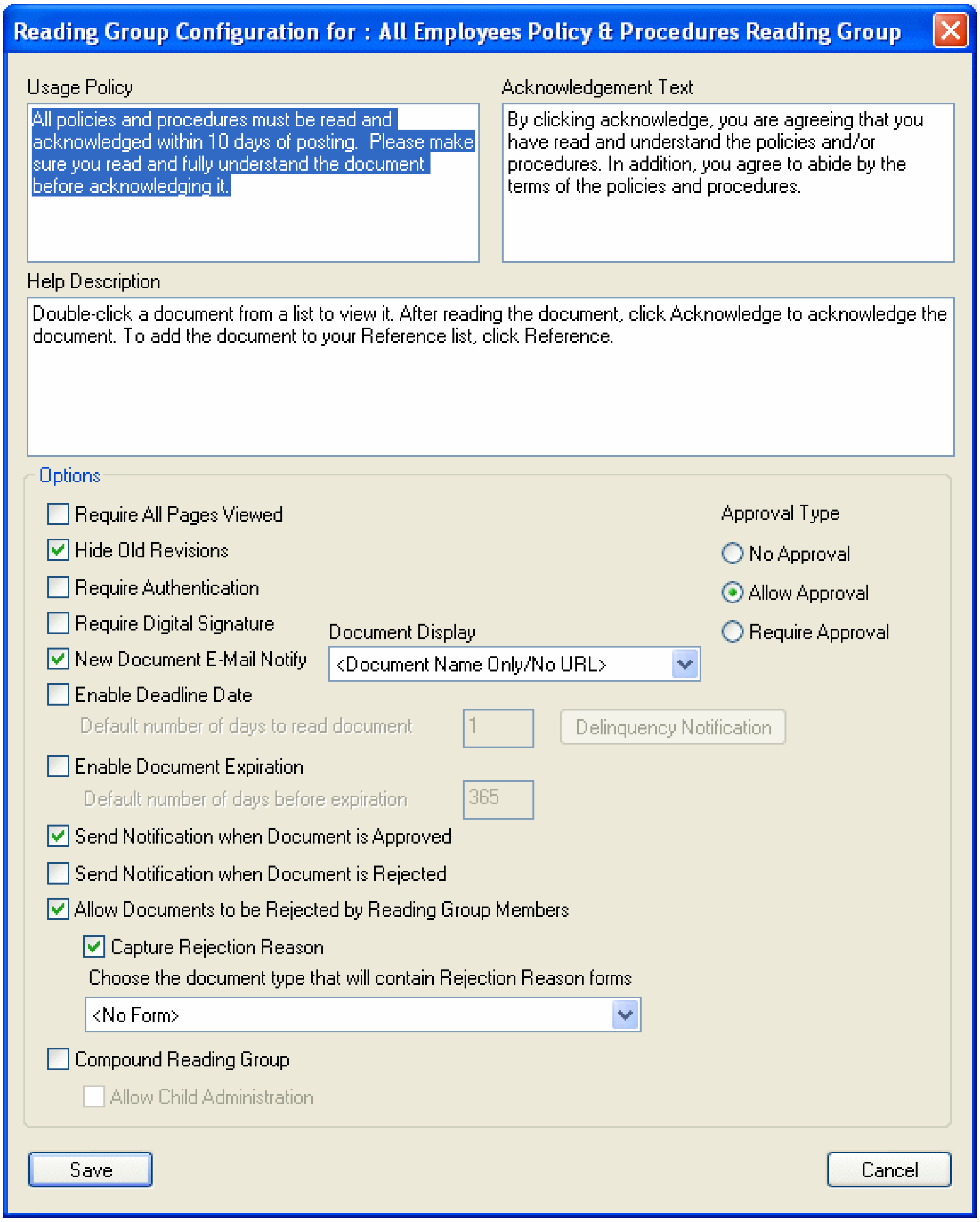
2. Select **Hide implicit compound reading groups** to display only Reading Groups and explicit Compound Reading Groups created in OnBase Configuration in the **Reading Group** list. Deselect this option to display all Reading Groups, including implicit Compound Reading Groups created in the OnBase Client.

Note: For more information on creating implicit Compound Reading Groups in the OnBase Client, see the Usage and Administration - Client chapter in the **DKT** documentation.

3. Select an existing Reading Group from the **Reading Group** list.

Tip: When selecting an existing Reading Group, the **Reading Group #** is displayed in the top right corner of the **Reading Group Configuration** dialog box. The **Reading Group #** can be used to automatically display the associated Reading Group when logging on to the Web Client. See the Usage and Administration - Web Client chapter in the **DKT** documentation for more information.

4. Click **Settings**. The **Reading Group Configuration** dialog box is displayed.



5. Modify the settings for the selected Reading Group. For more information on each of these settings, see Applying Settings on page 30.

Applying Settings

The options you select in the **Reading Group Configuration** dialog box define the attributes of the Reading Group.

A Reading Group can be defined as an explicit Compound Reading Group (CRG) in **Reading Group Configuration**. Implicit CRGs are created in the OnBase Client.

Traditional Reading Groups created in the Configuration module may be added to an implicit CRG when it is created. The added Reading Groups become the implicit CRG's child Reading Groups. Implicit CRGs inherit their configuration settings from their child Reading Groups. For information about settings inherited from child Reading Groups, see Settings Inherited by Implicit Compound Reading Groups on page 41.

To configure settings for a traditional Reading Group or an explicit CRG:

1. In the **Reading Group Configuration** dialog box, type text in the following fields:

Field Name	Description
Usage Policy	Type any confidentiality policies, protocol, warnings, etc. specific to this Reading Group. This text displays when a user accesses the Reading Group if there are unacknowledged documents in the Reading Group. Usage Policy text includes additional information about the importance or implications of viewing the required reading.
Acknowledgment Text	Type the text that displays after a user clicks the **Acknowledge** button in the Reading Group Viewer. For example, this text may inform the user that by clicking the **Acknowledge** button, the user understands and accepts the acknowledged document.
Help Description	Type any help information a user may need when accessing the Reading Group. This information is displayed when the user clicks the **Help** button in the Reading Group Viewer from the OnBase Client, or the **Show Help** button in the Reading Group Viewer from the Web Client.

2. Select from the following options for the Reading Group:

Option	Description
Require All Pages Viewed	Ensures that the reader views all pages of multi-page documents in a single reading session. The **Acknowledge** and **Reject** buttons in the Reading Group Viewer will only become available after the reader has finished viewing the first and last page of a multi-page document. **Note:** This option is only available in the OnBase Client. **Require All Pages Viewed** applies only to documents that open using the OnBase internal viewer. For more information about Viewer Types, see the Configuration Help files.

Option	Description
Hide Old Revisions	Ensures that only the most recently added revision is visible in the Reading Group Viewer. For more information about this setting, see Hide Old Revisions on page 37. **Note:** For audit purposes, the history of prior revisions is retained in the Reading Group to maintain a complete history of all revisions available in the Reading Group.
Require Authentication	Prompts Reading Group members to enter a password to acknowledge a document in the Reading Group Viewer. The following authentication methods are supported: • OnBase • NT • LDAP **Note:** This option applies on a day-forward basis; it affects only those documents added to the selected Reading Group after this option is set.
Require Digital Signature	If your system is licensed for Digital Signatures, selecting this option requires that a user digitally sign a document as part of the Acknowledgment process. For more information about Digital Signatures, see the Digital Signatures documentation. **Note:** This option is only available in the OnBase Client.

Option	Description
New Document Email Notify	Emails notifications to Reading Group members when a new document is added or if an existing document is re-added to the Reading Group. If the document requires approval, all Approval Group members are notified first. Once approved, all Reading Group members are then notified. For more information, see DKT Email Notification on page 37. **Note:** This option must be selected in order to use the Distribution Service for DKT in the Web Client. See Configuring the Distribution Service on page 52 for further information on configuring this feature. To include a DocPop link to the document in the notification, select a document display URL from the **Document Display** drop-down list. See Configuring Document Display URLs on page 50 for more information on configuring Document Display URLs for DKT. **Note:** When **<Document Name Only/No URL>** is selected, the document name is included in the notification. A DocPop link is not included in the notification.
Enable Deadline Date	Allows for a deadline date by which readers have to read a document. Documents not read by the deadline date have a status of **Delinquent**. When this option is selected, the **Default number of days to read document** field and the **Delinquency Notification** button are available. The **Deadline Date** column also is displayed in the Reading Group viewer. To enable and configure Delinquency Notification, see Delinquency Notification on page 38.
Default number of days to read document	Sets the number of days Reading Group members have to read a document added to the Reading Group. The default deadline date will be this number of days after the date the document was added to the Reading Group. In the Unity Client and Web Client, when a new user is added to the Reading Group, they will be given the full configured amount of time to read the document before it becomes delinquent. The **Default number of days to read document** setting is respected on a per-user basis. The deadline date can be modified in the **Assign Document** dialog box when documents are added manually.

Option	Description
Enable Document Expiration	Allows documents in the Reading Group to expire. Expired documents will be removed from the Reading Group after the specified number of days elapse. **Note:** This option is only available in the OnBase Client.
Default number of days before expiration	Sets the number of days that a document will remain in the Reading Group. The default expiration date will be this number of days after the date the document was added to the Reading Group. The expiration date can be modified in the **Assign Document** dialog box when documents are added manually. Use the **-DKTUPDATE** switch when launching the client to update Reading Groups. **Note:** This option is only available in the OnBase Client.
Send Notification when Document is Approved	Emails an approval notification to the administrator who added a document to the Reading Group, if the Approval Group approves the document.
Send Notification when Document is Rejected	Emails a rejection notification to the administrator who added a document to the Reading Group, if the Approval Group rejects the document.
Allow Documents to be Rejected by Reading Group Members	Gives Reading Group members the option to reject a document. Rejected documents have a status of **Rejected by User**. When this option is selected, the **Rejected** pane in the Reading Group viewer is displayed.
Capture Rejection Reason	Select to allow members to specify a reason for rejecting a document. **Note:** Rejection reasons are limited to 250 characters. To capture the rejection reason in an E-Form, select the E-Form Document Type from the drop-down list. If **<No Form>** is selected, the rejecter is presented with the **Rejection Reason** dialog box. **Note:** Capturing the rejection reason in an E-Form is only available in the OnBase Client. Rejection reasons cannot be captured in an E-Form when a document is rejected from the Web Client, Unity Client, or DKT Reader.

Option	Description
Compound Reading Group	Select to designate the Reading Group as an explicit Compound Reading Group (CRG). CRGs are composed of other Reading Groups, called child Reading Groups. **Note:** CRGs are not available in the Web Client, Unity Client, or DKT. You cannot administer or assign documents to CRGs in the Web Client, Unity Client, or DKT.
Allow Child Administration	Select to allow users who are administrators of child Reading Group to administer CRG documents to their respective child Reading Groups. For example, if a user is an administrator for the Sales Reading Group, the user can administer a document added to the All Employees CRG to all members of the Sales Reading Group.

3. Select the **Approval Type** for the Reading Group.

   This setting complements the approval settings selected in the OnBase Client, where the Approval Administrator configures each Approval Group and its members. See Configuring Reading Groups on page 22 for more information.

   Approval Types are described in the following table:

Approval Type	Description
No Approval	All documents added to this Reading Group are immediately available for viewing by the Reading Group members. Added documents are not routed through the approval process.
Allow Approval	Documents added to this Reading Group may or may not require approval prior to distribution. This selection depends upon the discretion of the Document Administrator. In the OnBase Client, when the Document Administrator adds documents to this Reading Group without assigning an Approval Group or selecting Approval Group members, the added document is immediately available to member readers.
Require Approval	Documents added to this Reading Group must be approved through an Approval Group before becoming available to Reading Group members. When you save the Reading Group settings after selecting this **Approval Type**, OnBase displays a message reminding you that Approval Groups must be configured for this feature to work. **Note:** The Approval Administrator sets up Approval Groups and Approval Group members for each Reading Group in the OnBase Client, Web Client, or Unity Client. The Document Administrator will not be able to add any document to a Reading Group with this Approval Type until they assigned an Approval Group to approve the documents.

Note: Changes made to **Approval Type** are applied on a day-forward basis. Documents assigned to the Reading Group before this setting was changed will not re-enter the approval process.

Hide Old Revisions

Select this option if you want only the latest revision to be displayed in the Reading Group list. The older revisions of a document previously added to a Reading Group will remain in OnBase, but will not be available to the Readers for viewing.

Note: The **Hide Old Revisions** function is governed by the order the document revision is added to the Reading Group, not by the revision number in OnBase. For example, if revision 3 of a document is already in a Reading Group, and then revision 2 of that same document is added, revision 3 is considered the old revision and will not appear in the Reading Group list.

The following example scenarios further explain this functionality:

1. **The Document Administrator adds the document to the Reading Group.**

   All Reading Group members will see only the latest revision of the document irrespective of the **Hide Old Revisions** setting.
2. **A user, external to the Reading Group, adds a new revision to this document in OnBase.**

   Since the new revision has not been added to the Reading Group, no changes are seen in the Reading Group revision of this document. Readers will continue to see the old revision of the document.
3. **The Document Administrator adds the new revision to the Reading Group.**

   The result depends upon the **Hide Old Revisions** setting, as follows:
   - If **Hide Old Revisions** is not selected

     The new revision of the document is added to the reading queue. All Reading Group members see both revisions of the document. The readers will have to read both revisions of the document. If a user has read the previous revision of the document, then the user only has to read the new revision of the document.

     If a new reader is added to the Reading Group at this point, the user will see both revisions of the document in his reading queue.

     If a third revision is added, then the readers will have to read all three revisions.
   - If **Hide Old Revisions** is selected

     The old revision of the document is deactivated. Readers will have to read the new revision of the document whether or not they have read the previous revision or not. Since the previous revision is only deactivated, there is still an audit trail of all users who read the previous revision of the document.

     If a new reader is added to the Reading Group at this point, the new reader will only see the latest revision of the document in his reading queue.

DKT Email Notification

The **New Document Email Notify** option allows members of Reading Groups and Approval Groups to receive an email notification when an unacknowledged or unapproved document is added to their respective queues.

If this option is not selected, Reading Group members and approvers will not receive email notifications. In this case, the Reading Group members must periodically check the Reading Group Viewer for new documents to read. In the same manner, Approval Group members must also check the Document Approval Viewer for documents needing approval.

DKT uses the **External Email** address first which is entered for a user in the Configuration module. If a user has no **External Email** address entered in the Configuration module, then DKT uses **Internal Email** to send notifications. The **DKT Email Notification** system works with whatever email integration is supported by OnBase.

Note: For more information on Internal and External Mail, see the **OnBase Client** documentation.

The OnBase Client can use Internal Mail, External Mail, and the Distribution Service to send email notifications. To use DKT email notifications in the Web Client and the Unity Client, the Distribution Service must be installed and running. For more information about this service, see Configuring the Distribution Service on page 52.

Note: When **New Document Email Notify** is selected, adding a new member to a Reading Group will send that member email notifications for every document in the Reading Group that requires reading.

Delinquency Notification

A document becomes delinquent if it is not acknowledged by a user before the assigned Deadline Date. You can configure Delinquency Notifications to automatically send emails to a compliance administrator when users have or will soon have delinquent documents in their Reading Group.

Note: DKT uses the **External Email** address first which is entered for a user in the Configuration module. If a user has no **External Email** address entered in the Configuration module, then DKT uses **Internal Email** to send notifications. For more information on Internal and External Mail, see the **OnBase Client** documentation.

You can configure OnBase to send Delinquency Notifications for multiple events. Events determine the conditions under which Delinquency Notifications are sent and the actions that compose the Delinquency Notification process.

Conditions are the number of days before or after a document becomes delinquent. When the conditions are met, a Delinquency Notification is emailed to one or all compliance administrator(s). Additional actions include sending a Delinquency Notification to the user whose document is or will be delinquent.

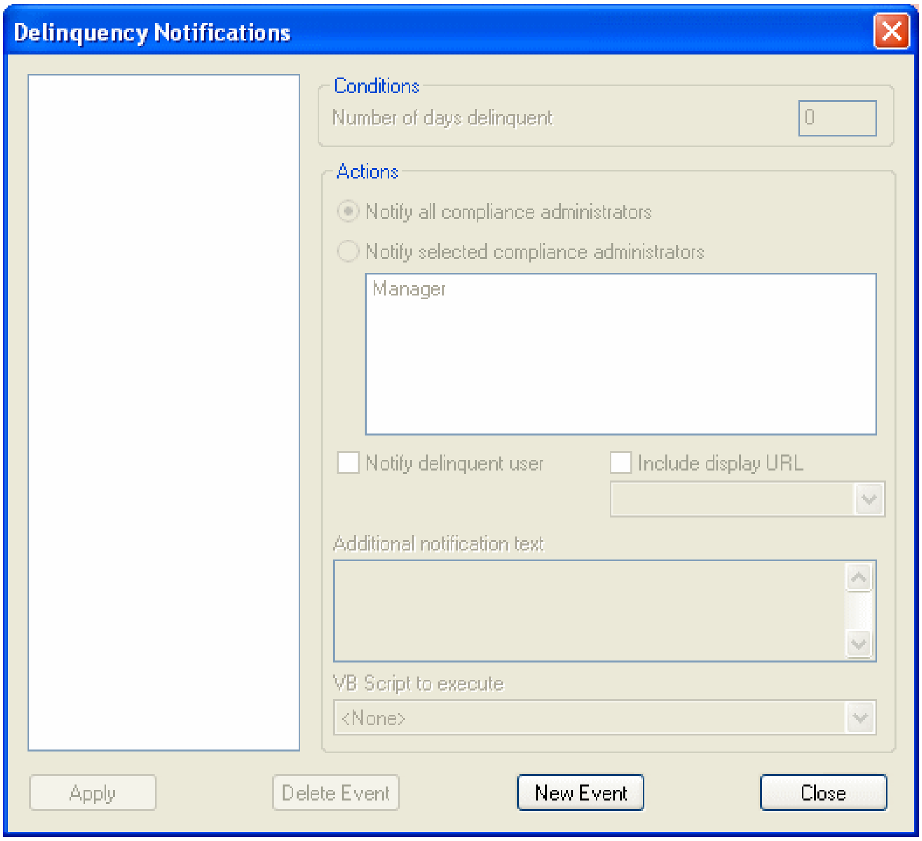
For information about how DKT sends email notifications, see DKT Email Notification on page 37.

If you configure a Deadline Date for a Reading Group but do not configure Delinquency Notifications, the Reading Group's compliance administrators must access the **Reading Group - User Administration** dialog box to determine which users have delinquent documents. Document administrators can manually email Delinquency Notifications to users with delinquent documents from the **Reading Group - Document Administration** dialog box.

Configuring Delinquency Notifications

To configure Delinquency Notifications:

1. Click **Delinquency Notification**.
   The **Delinquency Notifications** dialog box displays.



2. Click **New Event**.
3. In the **Number of days delinquent** field, type the number of days a document must be delinquent before a Delinquency Notification is sent.

Note: You can type a negative number of days to send a Delinquency Notification prior to a document becoming delinquent.

4. Select **Notify all compliance administrators** to send notifications to all compliance administrators when a document becomes delinquent.

   Select **Notify selected compliance administrators** to send notifications to only the compliance administrator(s) selected. Select the compliance administrator(s) from the list.

   Select **Notify selected compliance administrators** if you do not want to send notifications to compliance administrators. Ensure that no compliance administrators are selected.

Tip: This configuration is useful if you are only using the event to trigger a VBScript.

5. (Optional) Click **Notify delinquent user** to send a notification to the user whose delinquent document triggered the event.
6. (Optional) Click **Include display URL** to include a DocPop link to the delinquent document(s) in the delinquent document notification. Select a document display URL from the corresponding drop-down list. See Configuring Document Display URLs on page 50 for more information on configuring Document Display URLs.
7. (Optional) In the **Additional notification text** field, type any additional instructions or warnings to include in the notification.
8. (Optional) From the **VB Script to execute** drop-down list, select a pre-configured VB Script to run when the event is triggered.

Tip: Use a VBScript to update or notify an external system that a document is delinquent.

9. Click **Apply**.
10. When you have configured all the Delinquency Notification events for a Reading Group, click **Close**.

Note: In addition to the above, an administrator must log into the OnBase Client with the -DKTUPDATE command line switch to trigger Delinquency Notifications. Only administrators should use this switch. For more information on this switch, see Administrative Switches on page 50.

Removing a Delinquency Notification Event

To remove a Delinquency Notification event:

1. From the **Delinquency Notification** dialog box, select the event and click **Delete Event**.
2. Click **Apply**.

Configuring E-Forms for Rejection Reasons

If your system is licensed for E-Forms, you can configure E-Forms to record users' reasons for rejecting documents. If your system is licensed for Workflow, rejection E-Forms can be added to Workflow for review.

Note: Configuration information for E-Forms and Workflow can be found in the respective documentation for these modules.

To capture DKT data on E-Forms, map form fields to DKT properties using the following identifiers:

- OBDKT_ReadingGroupName
- OBDKT_ReadingGroupNum
- OBDKT_UserName
- OBDKT_UserNum
- OBDKT_DocumentName
- OBDKT_DocumentHandle
- OBDKT_RevisionID
- OBDKT_RejectionReason

  The OBDKT_RejectionReason field is read by DKT once the form is submitted, and its value is stored as the user's rejection reason. Rejection reasons are truncated to 250 characters.

After you have configured the E-Form, assign the E-Form's Document Type to the Reading Group by selecting it from the drop-down select list in **Reading Group Configuration**.

Note: If the user rejects a document for multiple Reading Groups, and each Reading Group is configured to display an E-Form, an E-Form is displayed for each Reading Group. Only one rejection reason (typically the last given) is stored in OnBase.

Settings Inherited by Implicit Compound Reading Groups

If a user creates an implicit Compound Reading Group (CRG) in the OnBase Client, the CRG inherits its settings from its child Reading Groups. The following list describes how configuration settings are applied to implicit CRGs:

Option	Description
Require All Pages Viewed	This option is enabled if it is applied to **any** child Reading Group.
Hide Old Revisions	The CRG inherits this option only if it is applied to **all** child Reading Groups.
Require Authentication	This option is enabled if it is applied to **any** child Reading Group.

Option	Description
Require Digital Signature	This option is enabled if it is applied to **any** child Reading Group.
New Document Email Notify	This option is enabled if it is applied to **any** child Reading Group.
Enable Deadline Date	This option is enabled if it is applied to **any** child Reading Group. The deadline date for documents added to the implicit CRG is inherited from the child Reading Group with the lowest integer (greater than 0) in the **Default number of days to read document** field.
Enable Document Expiration	This option is enabled if it is applied to **any** child Reading Group. The expiration date is inherited from the child Reading Group with the highest integer in the **Default number of days before expiration** field.
Send Notification when Document is Rejected	This option is enabled if it is applied to **any** child Reading Group.
Allow Documents to be Rejected by Reading Group Members	This option is enabled if it is applied to **any** child Reading Group.
Capture Rejection Reason	This option is enabled if it is applied to **any** child Reading Group. If all child Reading Groups use the same rejection reason form, that form is also used by the CRG.
Approval Type	Approval is allowed if any child Reading Groups allow approval. Approval is required if any child Reading Groups require approval.

Assigning Document Types to the Reading Group

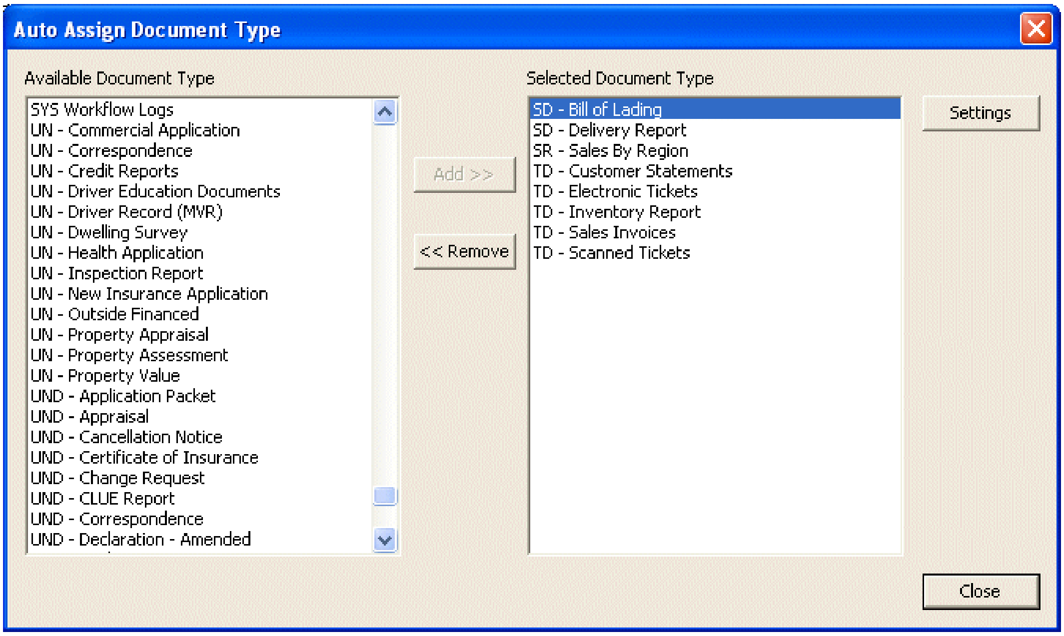
The **Reading Group Configuration** dialog box includes an **Auto Assign Document Types** feature that automates adding documents into a Reading Group. When a document is imported into a Document Type that is auto-assigned to a Reading Group, the document is automatically added to the Reading Group.

Note: Like all documents in OnBase, each Reading Group document is associated with a Document Type that already exists in the system. You must configure Document Types before using the **Auto Assign Doc Type** feature.

Caution: Reading Groups override other security measures on documents. In other words, a user is able to read all documents in a Reading Group to which he is assigned, even if he would not normally have access to those documents. The Reading Group also overrides any Security Keywords assigned to documents. Keep this in mind when assigning documents and users to Reading Groups.

1. In the **Reading Group Configuration** dialog box, click **Auto Assign Doc Type**.
2. The **Auto Assign Document Type** dialog box displays.

   Available Document Types lists all OnBase Document Types. **Selected Document Types** lists all Document Types assigned to the selected Reading Group.



3. Select a Document Type from the left pane and click **Add**. Your selected Document Type appears in the right pane.

4. Proceed to Selecting Approval Groups for Auto-Assigned Document Types on page 44.

   If your Reading Group is configured to **Allow** or **Require Approval**, a **Settings** button is also displayed in the **Auto Assign Document Types** dialog box. If the Reading Group is set to **No Approval Required**, the **Settings** button is unavailable.

   If your Reading Group is set to **Allow** or **Require Approval**, you must assign at least one **Approval Group** to each auto-assigned Document Type. Otherwise, the auto-assigned documents will bypass the approval process and go straight to the reader queues, regardless of the Reading Group's **Approval Type** settings.
5. Proceed to Assigning Administrators to the Reading Group on page 45.

Selecting Approval Groups for Auto-Assigned Document Types

Documents auto-assigned to a Reading Group that is configured to **Allow** or **Require Approval** must first be approved by specified Approval Groups before they are made available to Reading Group members.

Note: You can eliminate this procedure altogether if you apply the **Auto Assign** feature only to Document Types that require **No Approval**, thus reducing the need for manual intervention by the Approval Group(s). If an auto-assigned Document Type does require approval, it is not automatically added to a Reading Group; it still has to be approved by designated approvers.

To select **Approval Groups** for **Auto-Assigned Document Types**:

1. In the **Selected Document Types** pane, select a Document Type and click **Settings**. The **Auto Document Type Transfer** dialog box displays. The **Approval Group** options in the drop-down lists are determined through Reading Group Administration in the OnBase Client.

Note: These Approval Groups and Approval Members must first be configured to see them listed as options in the drop-down list. See Configuring Reading Groups on page 22.

2. Using the drop-down lists, select **Approval Groups 1** and **Approval Group 2** for your selected Document Type.

   Approval Group 1 and **Approval Group 2** are weighted equally; neither has precedence over the other. If two Approval Groups are specified, both groups must approve before a document can be forwarded for readers to view. If only one Approval Group is specified and the other **Approval Group** drop-down list is set to **No Approval Group Required**, the selected Approval Group will be used to approve a document.

   If the Reading Group is set to **Require Approval** you must select an **Approval Group** from the drop-down list in this dialog box. Otherwise, the auto-assigned documents will bypass the approval process and go straight to the reader queues, regardless of the Reading Group's **Approval Type** settings.

Note: Approval Group 1 and **Approval Group 2** cannot be the same. Otherwise, you will receive an error message.

3. Click **Save**.

Assigning Administrators to the Reading Group

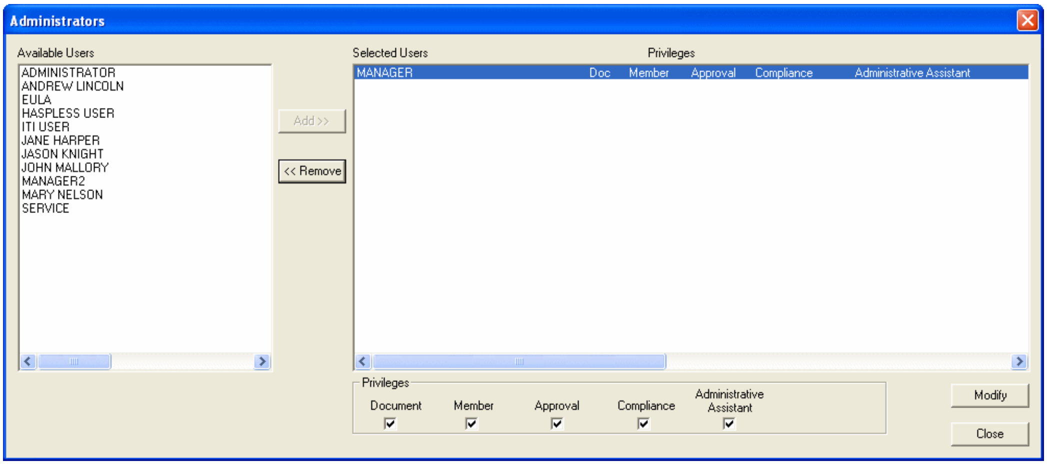
In this step, you will assign Administrators for the created Reading Group. You will also assign the roles and privileges of each administrator.

For explicit Compound Reading Groups (CRGs) which allow child administration, users with administrative privileges to child Reading Groups can administer CRG documents to their respective child Reading Groups, but cannot re-add CRG documents.

Administrators cannot be assigned to implicit CRGs; implicit CRG administration is performed through child Reading Group administration. Child Reading Group administrators can re-add CRG documents to child Reading Group users.

1. In the **Reading Group Configuration** dialog box, select a Reading Group and click **Administrators**.

   The **Administrators** dialog box displays:



   The **Available Users** pane lists existing OnBase users. The **Selected Users** pane lists users assigned to the Reading Group as administrators.

2. Select the user(s) from the left pane and click **Add**. The selected users are added to the **Selected Users** pane.
3. Select a user from the **Selected Users** pane.
4. Select the **Privileges** to grant to the selected user.

   The **Privileges** are described in the following table:

Privileges	Description
Document	Grants rights to add and remove documents to and from the Reading Group. **Note:** If a Document Administrator also has Compliance privileges for one Reading Group, the user can email delinquent readers in all Reading Groups by selecting the **All Reading Groups** option in the **Email Delinquent Users** dialog box.

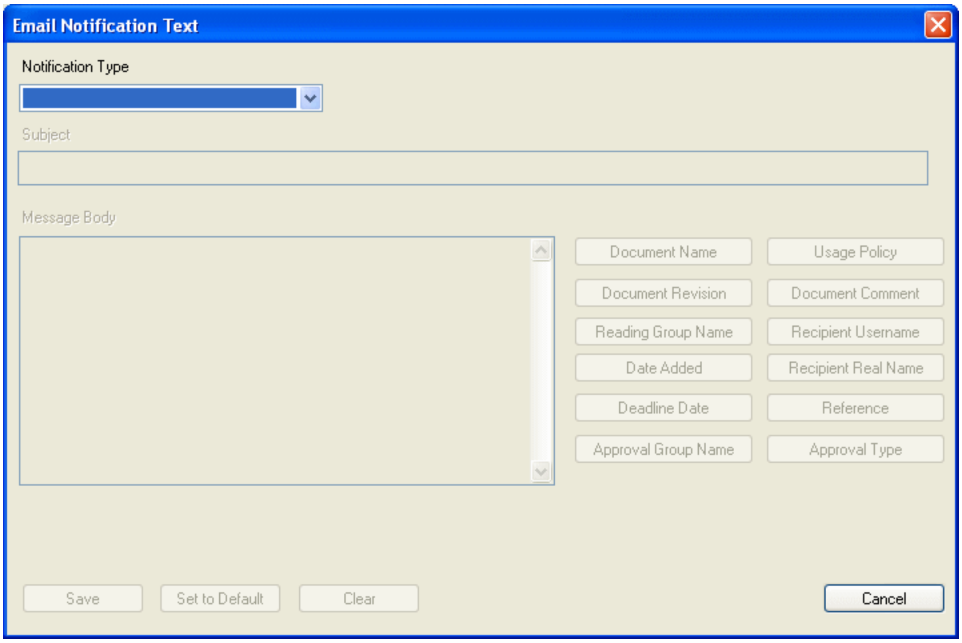
Privileges	Description
Member	Grants rights to add and remove Reading Group members to and from the Reading Group.
Approval	Grants rights to add and remove Approval Members to and from the Approval Group. Can also create, delete, and rename Approval Groups.
Compliance	Grants rights to view reader compliance with Reading Group document requirements and deadlines.
Administrative Assistant	Grants the right to acknowledge documents by proxy for other non-computer users. This function is only available in the OnBase Client.

5. After selecting **Privileges** for each selected user, click **Modify** to save your selection(s).
6. After assigning all administrators, click **Close**.
7. To configure Approval Groups and Reading Group members, see DKT Usage and Administration.

Configuring Email Notifications

In this step, you will configure custom email notifications for the created Reading Group.

1. In the **Reading Group Configuration** dialog box, select a Reading Group and click **Notification Text**.
2. The **Email Notification Text** dialog box is displayed:



3. Select one of the following notification types from the **Notification Type** drop-down list:

Notification Type	Description
Document Added to Approval Group	The notification that will be sent when a document is added to an Approval Group.
Document Approved by Approval Group	The notification that will be sent when a document is approved by an Approval Group.
Document Rejected by Approval Group	The notification that will be sent when a document is rejected by an Approval Group.
Document Added to Reading Group	The notification that will be sent when a document is added to a Reading Group.

4. The selected notification is displayed. The **Subject** and/or **Message Body** are already populated with the default text.
5. Modify the default text if necessary, customizing it to suit your needs.

Note: The tilde (~) and percent (%) characters cannot be used in the **Subject** or **Message Body**.

6. You can also use the following buttons to insert placeholders. These placeholders will be replaced by the applicable text when the email notification is sent:

Placeholder Button	Description
Document Name	Click to insert the document's Auto-Name string.
Document Revision	Click to insert the document's revision number.
Reading Group Name	Click to insert the document's Reading Group name.
Date Added	Click to insert the date the document was added to the group.
Deadline Date	Click to insert the reading deadline date.
Approval Group Name	Click to insert the Approval Group name. **Note:** This is only available when configuring the **Document Added to Approval Group** notification type.
Usage Policy	Click to insert the text of the Reading Group's usage policy.
Document Comment	Click to insert the comment specified by the administrator when the document was added to the Reading Group.
Recipient Username	Click to insert the message recipient's OnBase user name.
Recipient Real Name	Click to insert the message recipient's real name.
Reference	Click to insert the whether the document has been flagged as **Reference**, either by the Document Administrator or the Reading Group member.
Approval Type	Click to insert the **Approval Type** for the Reading Group. **Note:** This is only available when configuring the **Document Added to Approval Group** notification type.

Note: If Internal Mail will be used to send the notification, limit the **Message Body** field to 250 characters. Notifications longer than 250 characters will be truncated.

7. If necessary, click **Clear** to remove all text from the notification or click **Set to Default** to revert to the default notification.
8. Click **Save** to save changes to the notification, or click **Cancel** to close the **Email Notification Text** dialog box without saving changes.

Configuring Document Display URLs

A Document Display URL is used to include link to documents in DKT email notifications. Links are displayed as document names.

When configuring a Document Display URL for DKT, the URL should resemble the following:

```
http://[Web Server]/appnet/login.aspx?readinggroupid=%G&dktdocid=%R
```

Note: For information about configuring Document Display URLs, see the System Administration documentation.

Web Client Configuration

DKT

Enabling DKT

The Document Knowledge Transfer module uses the Web Server's Web.config file to activate the Knowledge Transfer context. Set **enabled** to **true** to ensure the **Knowledge Transfer** is available from the Web Client's Context drop-down list. See the example below:

```
<ContextInfo>
<name><![CDATA[KnowledgeTransfer]]></name>
<displayName><![CDATA[Knowledge Transfer]]></displayName>
<displayOrder>3</displayOrder>
<icon><![CDATA[NavPanel/KnowledgeTransferUp.gif]]></icon>
<enabled>true</enabled> <!--Turns DKT Context Button on-off-->
</ContextInfo>
```

Prompting Users About Unread Documents

The **PromptWithUnreadDKTDocs** setting allows you to prompt users about unread DKT documents that have been assigned a deadline date after logging in to the Web Client. If the value is set to **true**, users will be prompted. If the value is set to **false**, users will not be prompted.

Administrative Switches

An administrator may need to launch the OnBase Client with the **-DKTUPDATE** switch applied. Usage of this switch allows you to perform the following actions:

- Update documents in a Reading Group
- Remove documents that have passed their expiration date

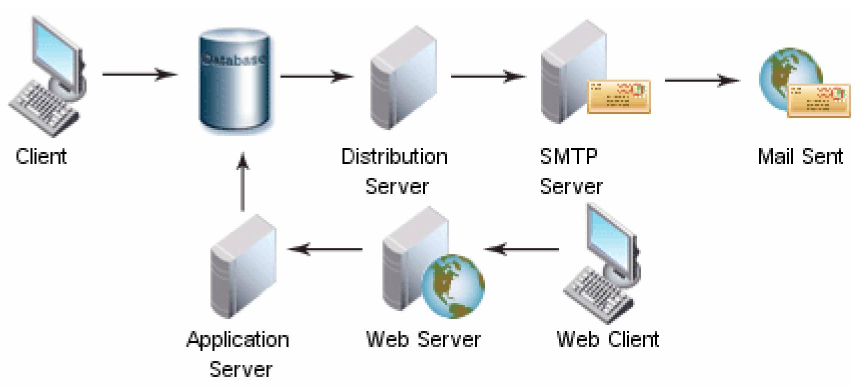
- Re-add documents whose Acknowledgments have expired
- Trigger email notifications for documents that were added to a Reading Group with an availability date later than the import date
- Trigger Delinquency Notifications

Caution: Only administrators should use this switch, as the update ability is not restricted by any DKT privileges.

Overview

The Distribution Service is a Core Services component that integrates with several OnBase modules, allowing email notifications to be sent through a centralized mail service. All installation and configuration settings are located on one workstation as opposed to several workstations. This provides high security, control, and easy maintenance.

The Distribution Service process is depicted in the following illustration. The process begins when OnBase Client applications send system notifications to the database. The Distribution Service polls the database on a configured interval and composes an email when it receives a new notification. The service then sends the email to an SMTP server, where it is distributed externally to all users who are configured to receive notifications from modules that use the Distribution Service. When OnBase documents are attached to these emails, attachment names reflect the documents' Auto-Name strings in OnBase.



The Distribution Service can run on a machine separate from that of the Application Server.

Using the Distribution Service with Document Distribution

If you are upgrading from a version of OnBase prior to OnBase 15, and you are using the Distribution Service with Document Distribution, new configuration steps are required. If your system is configured with the Global Client Setting **Use Email Distribution Service for Document Distribution** enabled, a temporary file cache must be configured and associated with the Distribution Service.

See Configuring a Temporary File Cache on page 73 for more information.

Note: When the **Use Email Distribution Service for Document Distribution** setting is enabled and the **-STMTMAILSRVR** switch is applied to the OnBase Client shortcut, the OnBase Client will not check for bounce backs.

Configuration

There are several items that need to be configured to allow the Distribution Service to function properly. These items include:

- Configuring the Email Sending Unity Scheduler Task on page 53
- Enabling the Distribution Service on page 68
- Users Configuration Requirements on page 69
- Configuring Test Mode on page 70
- Adding Support for Multiple Data Sources on page 71
- Displaying the User Who Triggered the Notification as the Sender on page 80
- Configuring EML Transfer Encoding on page 72
- Configuring EML Transfer Encoding on page 72
- Sending Notifications in HTML Format on page 73
- Sending Unity Forms on page 73
- Configuring a Temporary File Cache on page 73
- Configuring Retry Settings on page 77
- Configuring Maximum Recipients on page 78
- Configuring Default Sender Options on page 79
- Configuring Attachment Options on page 80
- Configuring Email Server Settings on page 82
- Generating and Sending Test Notifications on page 84

Note: If you are using multiple databases, each database must have the Distribution Service Settings configured individually.

Configuring the Email Sending Unity Scheduler Task

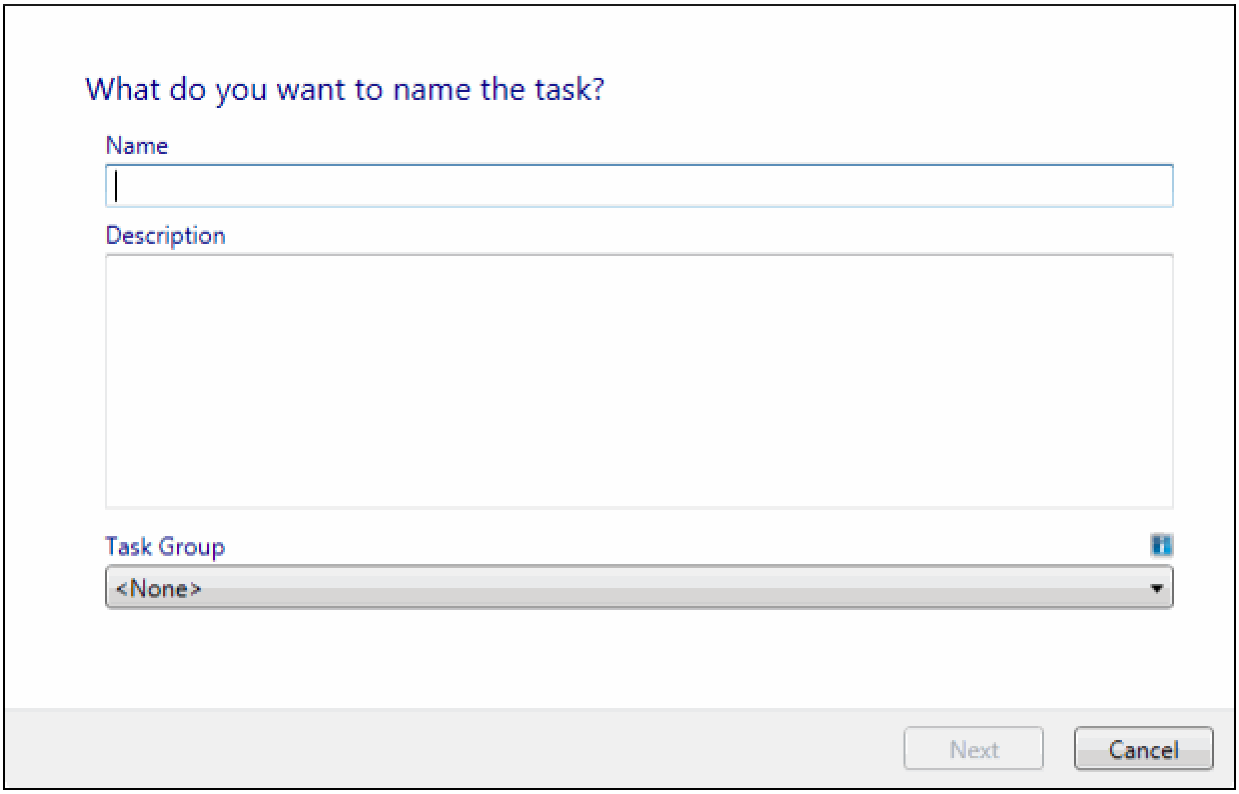
In order for the Distribution Service to function properly, a corresponding **Email Sending** Unity Scheduler task must be created and configured.

The following sections provide general instructions for creating Unity Scheduler tasks in the Unity Management Console. For more information on the Unity Scheduler, see the **Unity Scheduler** module reference guide.

Creating Tasks

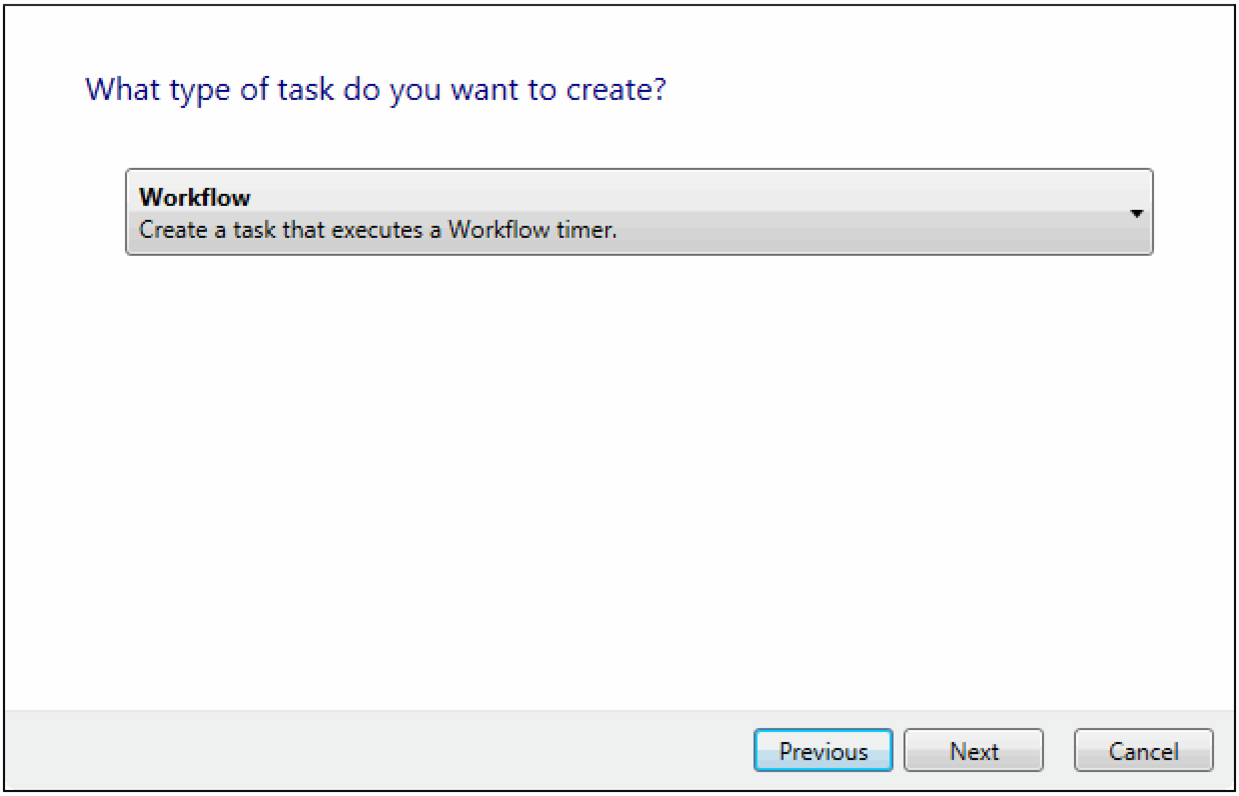
To create a task:

1. In the **Console** tree, select the task scheduler for which you want to add a task.
2. Right-click and select **Create Task**, or select **Create Task** in the **Action** pane.
   The **Task Wizard** is displayed.



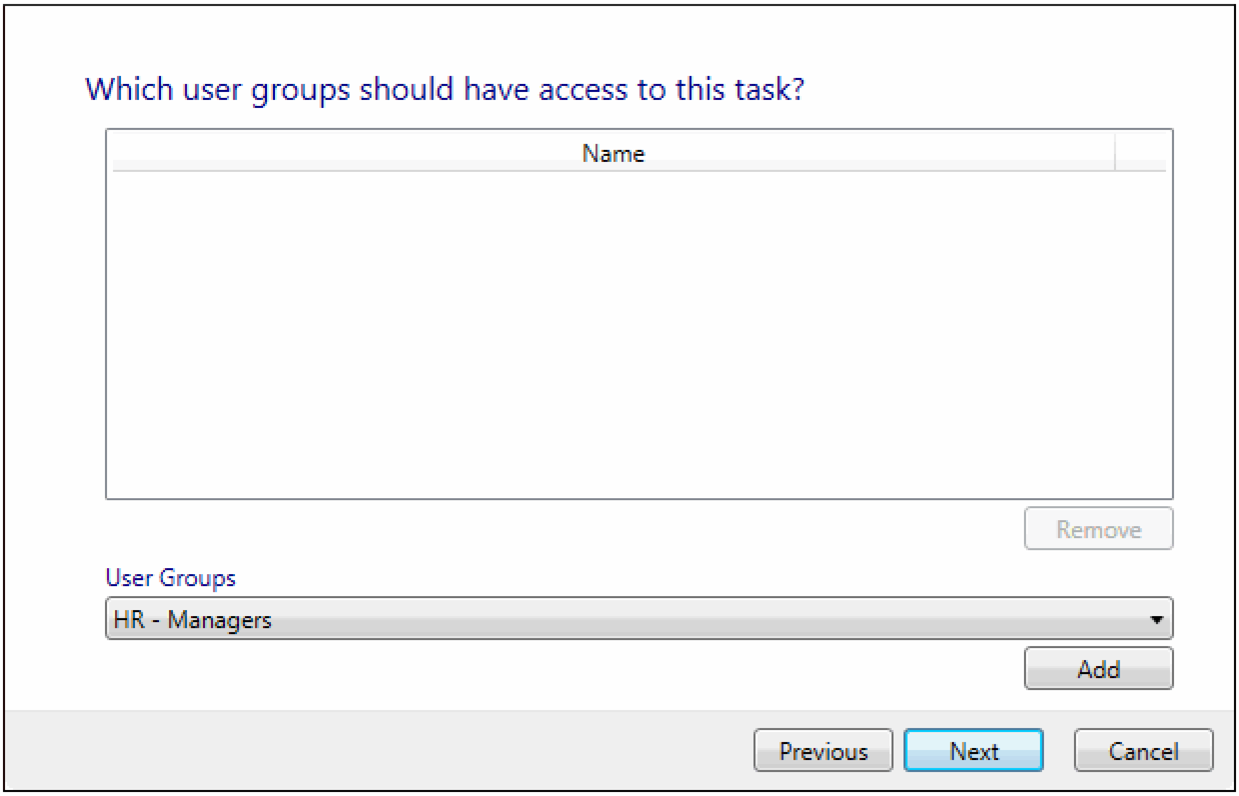
3. Enter a unique name for the task in the **Name** field.
4. Enter a description for the task in the **Description** field.
5. Select a task group from the **Task Group** drop-down list. Existing task groups are available for selection. If **<None>** is selected, the task is added to the **<Unassigned>** task group.

6. Click **Next**. The **Task Type Selection** page is displayed.



7. Select **Email Sending** from the drop-down list.
8. Complete the process in the next section, Configuring Tasks on page 56.

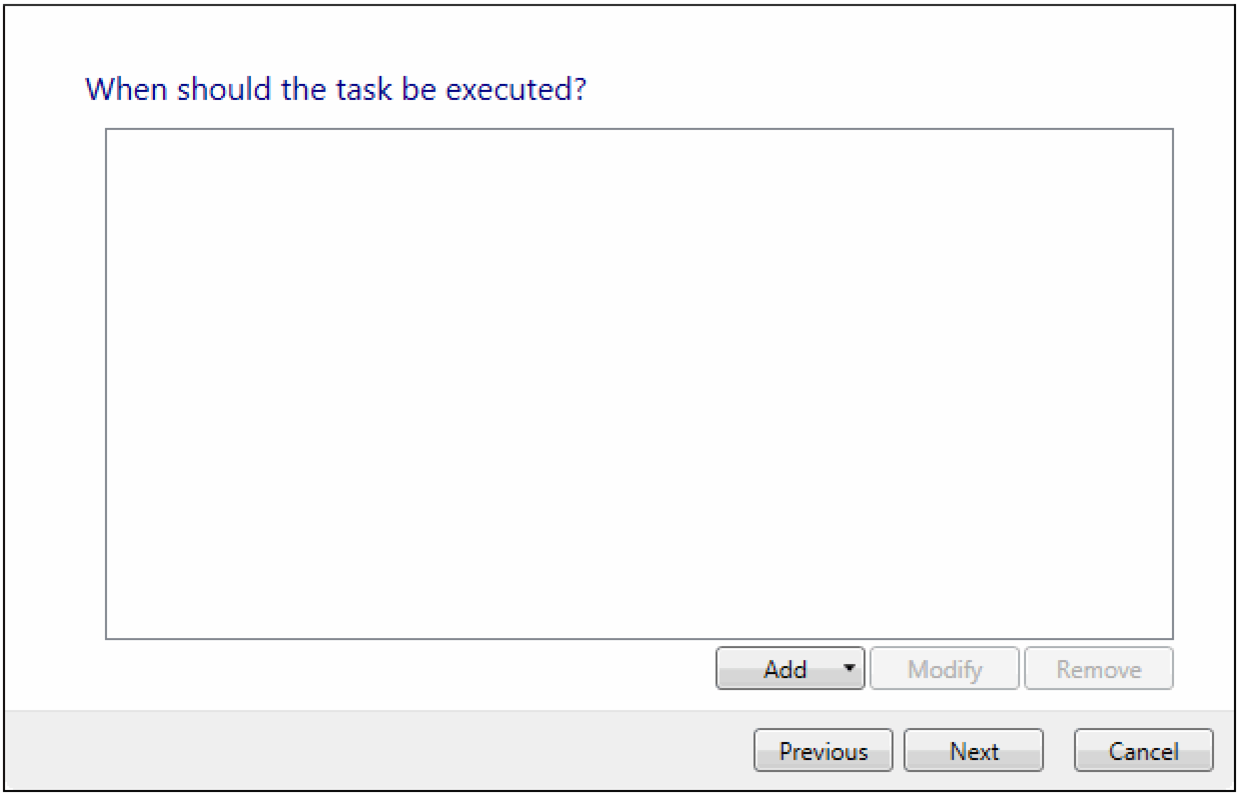
Configuring Tasks



1. Configure the user groups that will have access to manage this task. Select a user group from the **User Groups** drop-down list, then click **Add**.

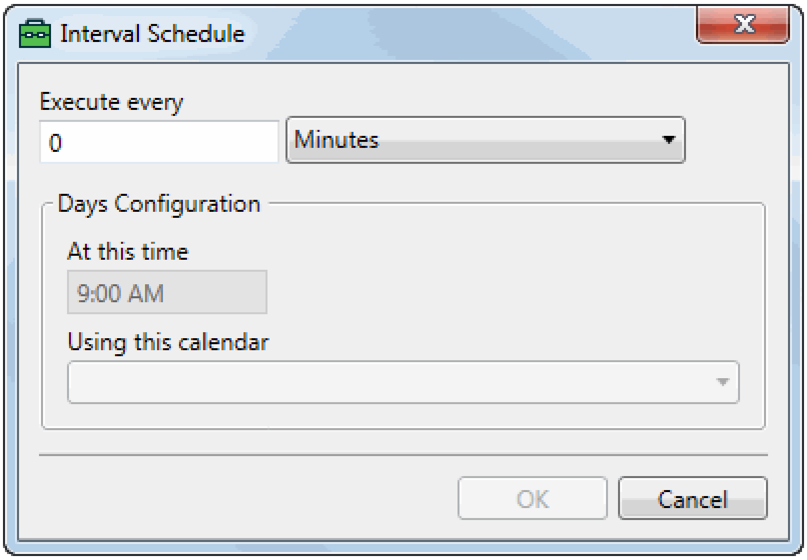
   To remove a group, select it from the list, then click **Remove**.

2. Click **Next**.


When should the task be executed?
Add
Modify
Remove
Previous
Next
Cancel

3. Click the **Add** drop-down list to choose a schedule for the task. Select one of the following options:
   - **Interval** - Executes the task once for every specified interval. For example, the task can be scheduled to execute once every two hours.

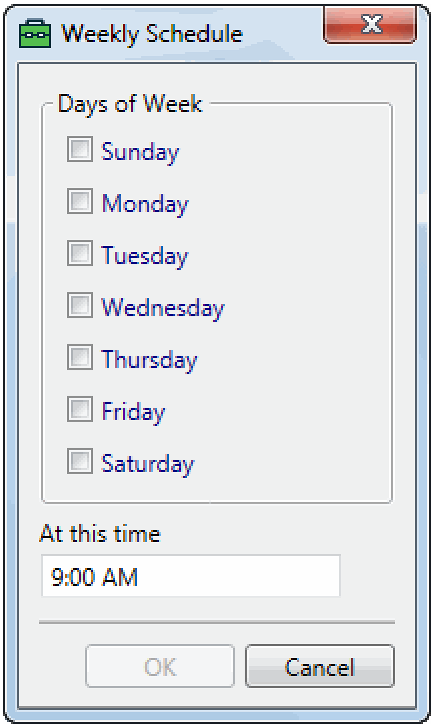
     The **Interval Scheduler** dialog box is displayed:



     Enter a numerical value in the **Execute every** field, then choose a unit of time in the drop-down list. If **Days** or **Business Days** is selected, enter a time in the **At this time** field to determine at what time in the day the task should execute. If **Business Days** is selected, select a calendar in the **Using this calendar** drop-down list to specify the calendar that defines business days. Click **OK**.

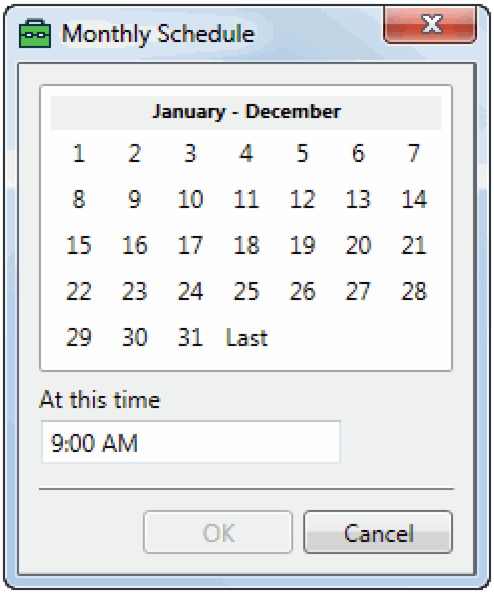
Note: If the **Using this calendar** drop-down list is unpopulated, a calendar has not yet been configured. For more information about configuring calendars, see the Org Charts and Calendars section of the **Workflow** module reference guide.

- **Weekly -** Executes the task every week at a specified time. The **Weekly Schedule** dialog box is displayed:



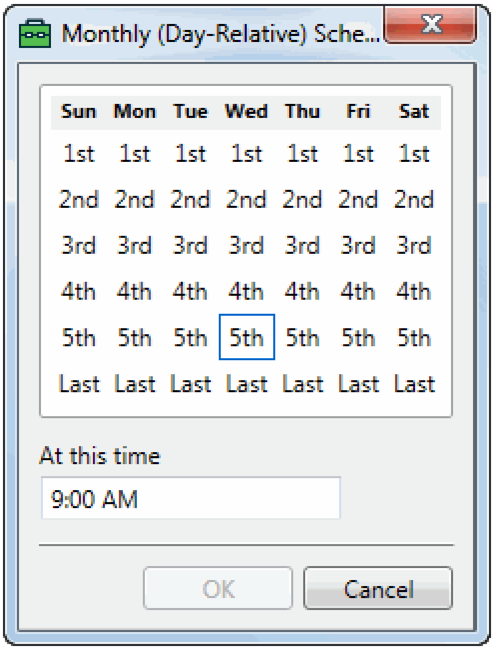
Select the days of the week on which you want this task to execute every week. Enter a time in the **At this time** field to specify the time of day this task should execute, then click **OK**.

- **Monthly** - Executes the task every month at a specified time. The **Monthly Schedule** dialog box is displayed:



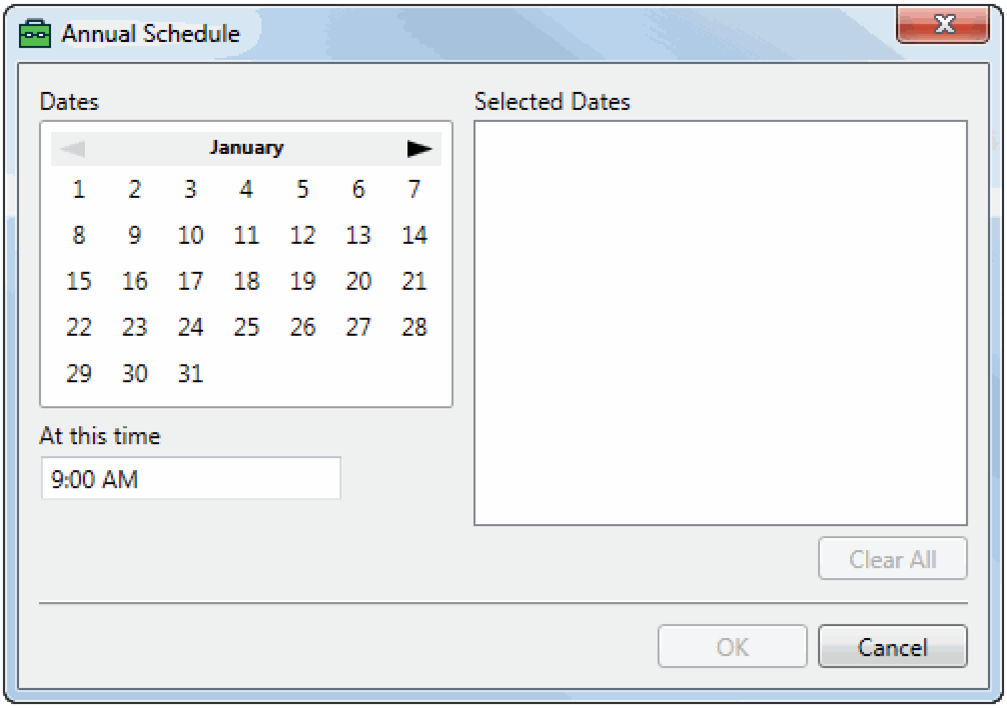
Select the dates on which you want this task to execute every month. Multiple dates can be selected. Select **Last** to schedule the task to execute on the last day of every month. Enter a time in the **At this time** field to specify the time of day at which this task should execute, then click **OK**.

- **Monthly (Day-Relative)** - Executes the task every month on either the first, second, third, fourth, or last instance of a specific day of the week. The **Monthly (Day-Relative) Schedule** dialog box is displayed:



Under the preferred day of the week, select whether you want this task to run on the 1st, 2nd, 3rd, 4th, 5th, and/or last instance of that day in the month. More than one selection can be made; for example, you can choose to schedule this task for both the 1st and 3rd Friday of every month). Enter a time in the **At this time** field to specify the time of day at which this task should execute, then click **OK**.

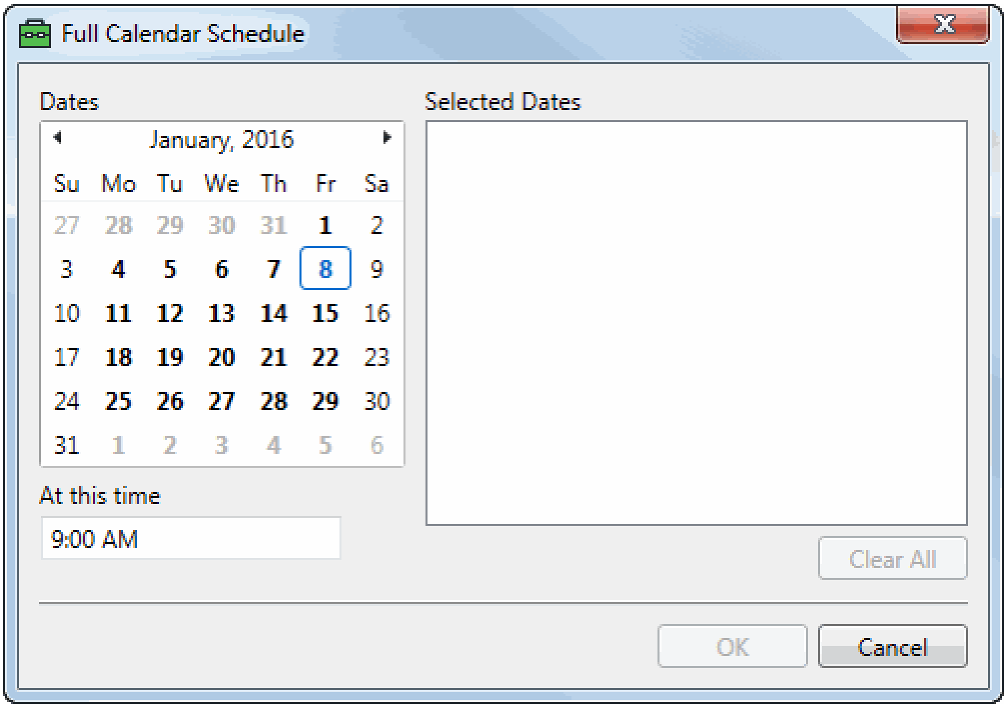
- **Annual -** Executes the task every year on a specified date. The **Annual Schedule** dialog box is displayed:



Select the date on which this task should execute every year. Multiple dates can be selected. Enter a time in the **At this time** field to specify the time of day at which this task should execute, then click **OK**.

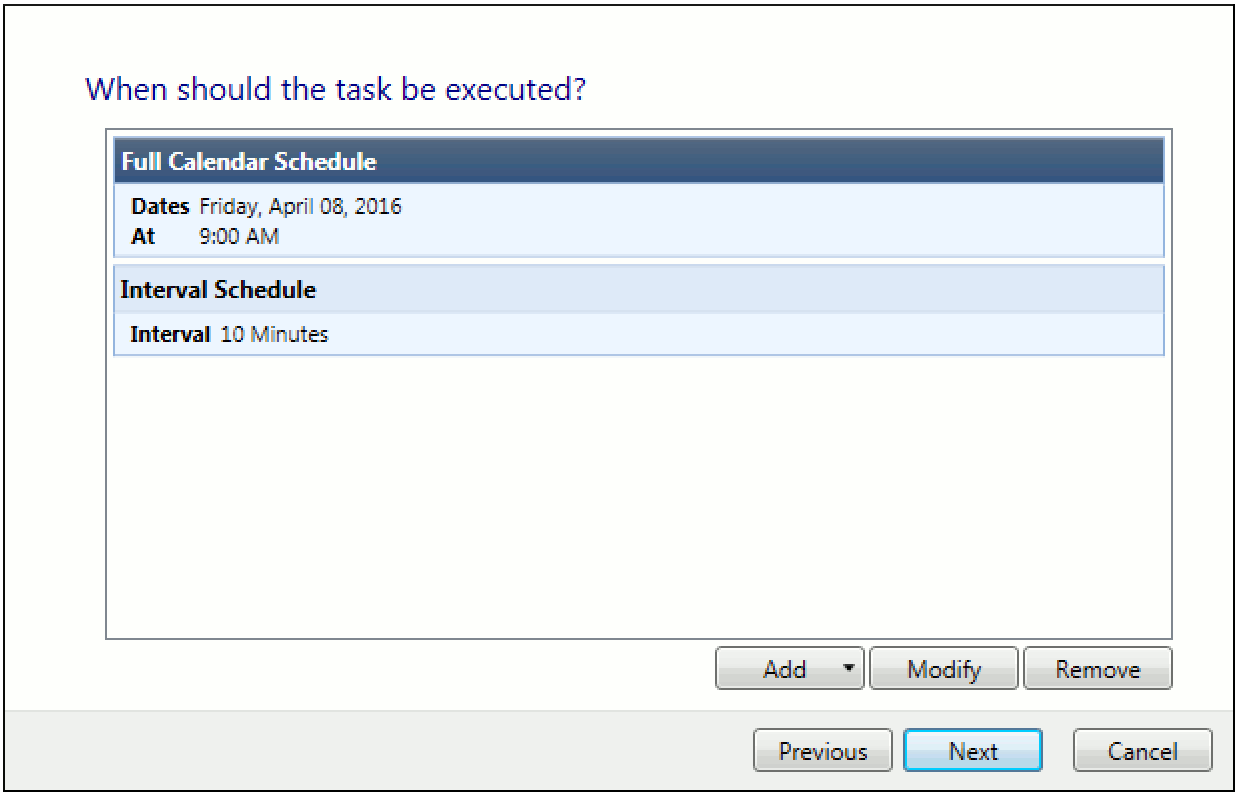
Note: The month of February also contains the **Last** option, so that the task can be scheduled to run on the last day of February every year, regardless of whether or not it is a leap year.

- **Full Calendar** - Executes the task on specific dates in a year. The **Full Calendar Schedule** dialog box is displayed:

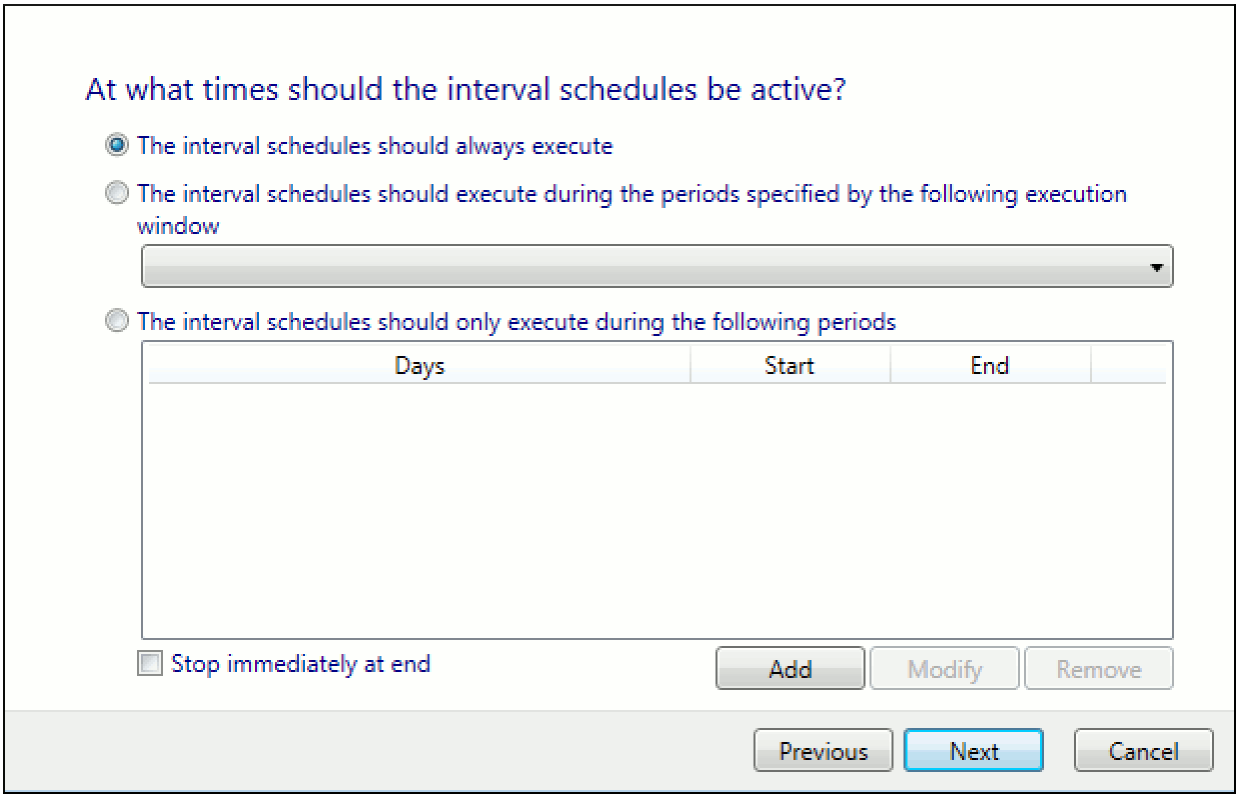


  Select the dates on which the task should execute. To select multiple dates, press and hold **Ctrl** while making your selections. To select multiple consecutive dates, select the first date, press and hold **Shift**, then select the last consecutive date. You can remove all of your selected dates by clicking **Clear All**. Enter a time in the **At this time** field to specify the time of day at which this task should execute, then click **OK**.
- **Existing Schedule** - Choose an existing named schedule that determines when the task should execute.

The configured schedules are added to the list.


When should the task be executed?
Full Calendar Schedule
Dates Friday, April 08, 2016
At 9:00 AM
Interval Schedule
Interval 10 Minutes
Add
Modify
Remove
Previous
Next
Cancel

4. Click **Next**. If you added one or more interval schedules, the following dialog box is displayed.

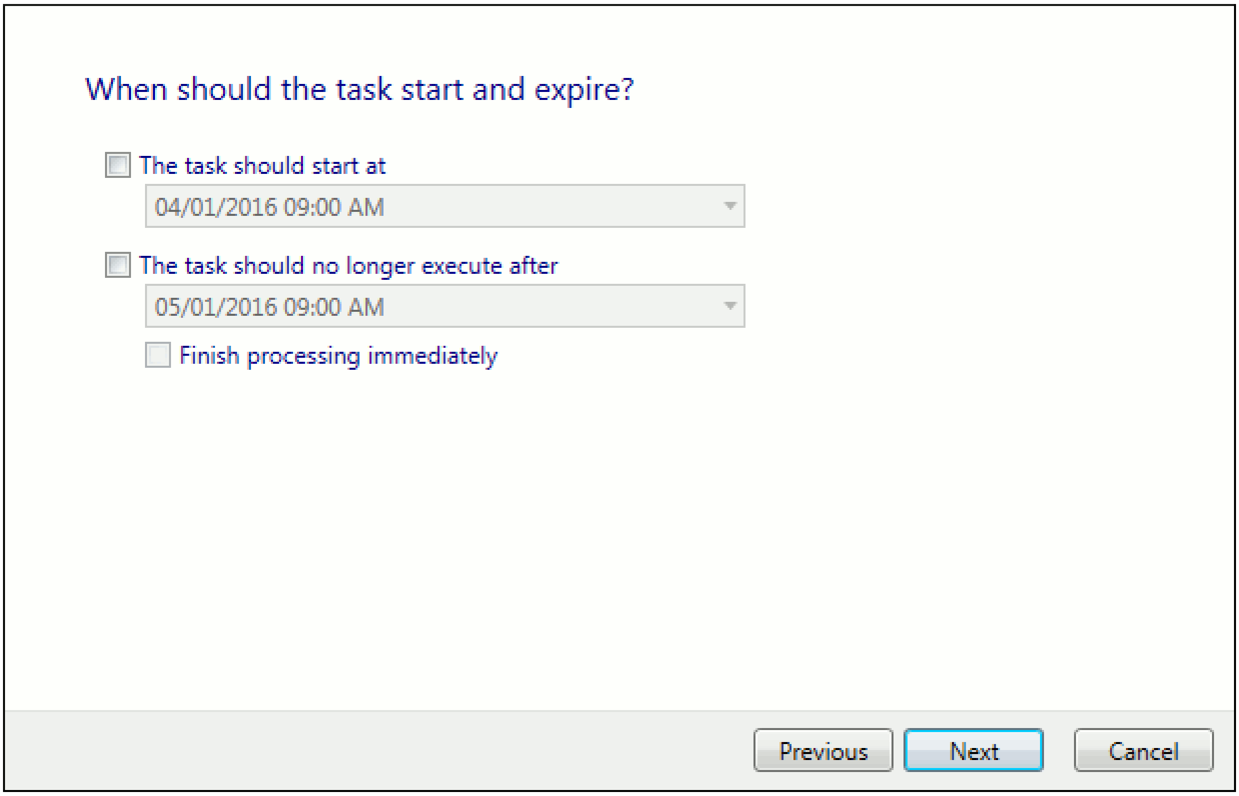


5. Select from the following options to determine when the interval schedules should execute:

Option	Description
The interval schedules should always execute	The interval schedules always execute at their configured times. For example, if an interval schedule is configured for 30 minutes, the interval schedule executes every 30 minutes without restriction.
The interval schedules execute during the periods specified by the following execution window	The interval schedules only execute during the days and times configured within the specified execution window. For example, if an interval schedule is configured for 30 minutes, and the execution window is Saturday, 9 a.m. until 5 p.m., the interval schedule executes at 9 a.m. on Saturday and every 30 minutes until 5 p.m. that Saturday. From the drop-down list, select the appropriate execution window.
The interval schedules should only execute during the following periods	The interval schedules only execute during the time periods configured within the ad hoc execution window. To create an ad hoc execution window, click the **Add** button. Select the days of the week and the time period the interval schedule should be run. Continue adding time periods as necessary. To abort task execution after the ad hoc execution window reaches the end of a time period, select the **Stop immediately at end** option. This makes it so that at the end of a time period, the schedule finishes processing the current item and stops. **Note:** Unity Script scheduler tasks must be written to specifically support the ability to stop immediately.

Note: Interval schedules are run at the earliest allowed time and then continue running for the configured intervals. For example, if an interval schedule is set for 10 minutes, and it begins on the current day, the next run time for the schedule is the time you finish configuration in the Task Wizard. The schedule then runs every 10 minutes for the duration of the specified time period.

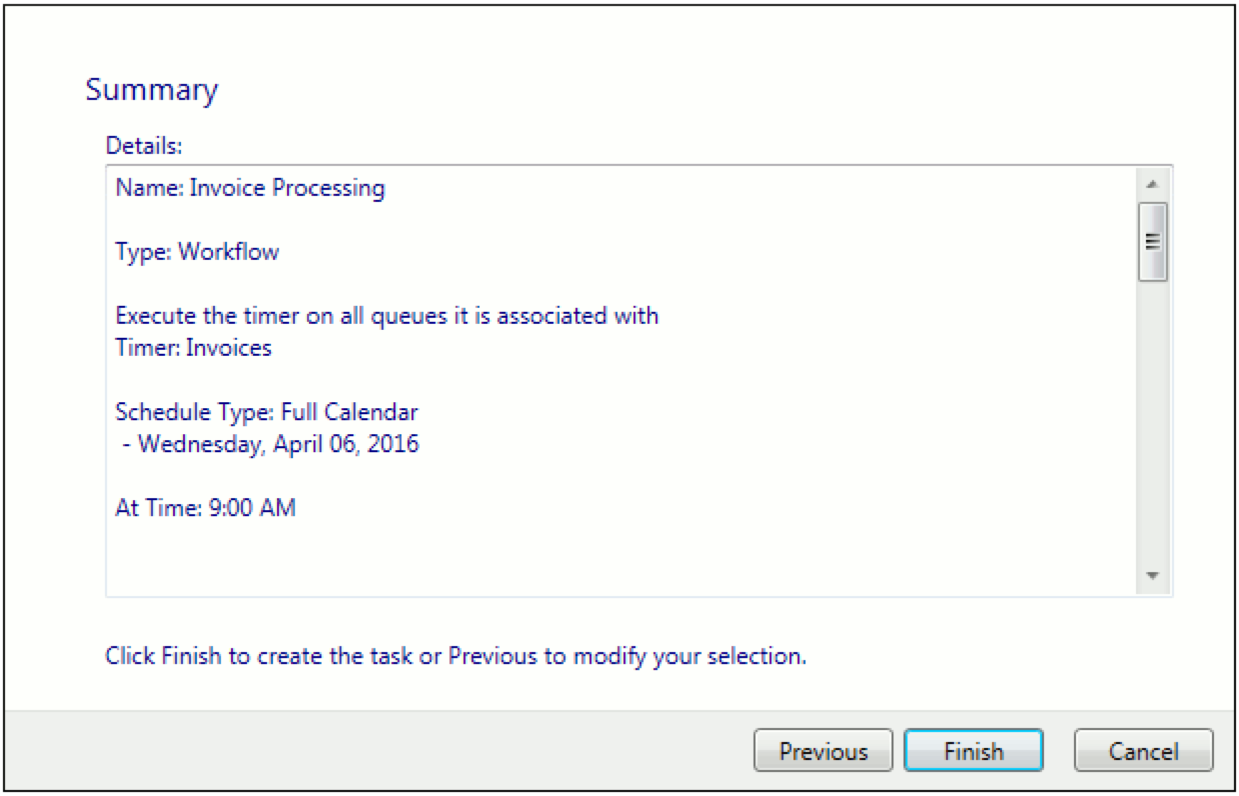
6. Click **Next**.



7. To set a specific start time, expiration time, or both, select from the following options:

Option	Description
The task should start at	Select to set a specific start time for the task. Enter or select the appropriate date and time.
The task should no longer execute after	Select to set a specific end time for the task. Enter or select the appropriate date and time.
Finish processing immediately	When selected, the task ends at its earliest opportunity after the end time passes. When deselected, the task ends after the end time passes and the entire task is completed. **Note:** This option is only enabled when **The task should no longer execute after** option is selected.

8. Click **Next**. The summary of your configuration is displayed.



9. Click **Finish** to save the task.

Enabling the Distribution Service

To use the Distribution Service to send users email notifications or to distribute emails, you must enable it through Global Client Settings. (This step is not necessary if the Distribution Service is used only by WorkView.)

The Distribution Service can be used to send email distributions while using the Document Distribution module and is optional.

The Distribution Service is optional if you want to send notifications for the following modules in the OnBase Client: Document Knowledge Transfer, Workflow, and Physical Records Management. The Distribution Service is required for all other modules that are able to send notifications (such as Document Knowledge Transfer or Workflow in the Web Client).

Enable Email Automation

To enable email automation using the Distribution Service:

1. From the Configuration module, select **Users | Global Client Settings**.
2. Click the **Email** tab.

3. Select the **Use Email Distribution Service for automated emails** check box or, if you are configuring the Distribution Service for Document Distribution, select the **Use Email Distribution Service for Document Distribution** check box.
4. Click **Save**.

Send Attachments

The Distribution Service can be configured to send attachments with certain file names.

Note: Image documents are sent in their native format if possible. However, if the document uses overlays or the page count is greater than one, it will revert to using the original method for sending attachments.

To configure file names for attachments:

1. From the Configuration module, select **Users | Global Client Settings**.
2. Click the **Email** tab.
3. Select one of the following from the **Auto-Name string for external email attachments** drop-down list:
   - **Random String:** OnBase will generate a random file name for the attachment.
   - **Document Type Autoname String:** OnBase will use the Auto-Name string configured for the Document Type of the document being sent.
   - **Document Type Print Autoname String:** OnBase will use the Print Title string configured for the Document Type of the document being sent. If no Print Title string has been configured for that Document Type, OnBase will use the Document Type and the Document Date.

Note: The **Document Type Print Autoname String** feature is not supported in the OnBase Client.

4. Click **Save**.

Note: The Distribution Service needs to be restarted after changes are made to the **Auto-Name string for external email attachments** setting.

Users Configuration Requirements

The following procedure describes the steps necessary to configure the Distribution Service for system notifications. Ensure users who will receive notifications have email accounts configured in their User Settings.

1. From the Configuration module, select **Users | User Names/Passwords**.
2. Select the user name and click **Settings**.
3. In the **Users Email** field, type the user’s email address.
4. Click **Save**.

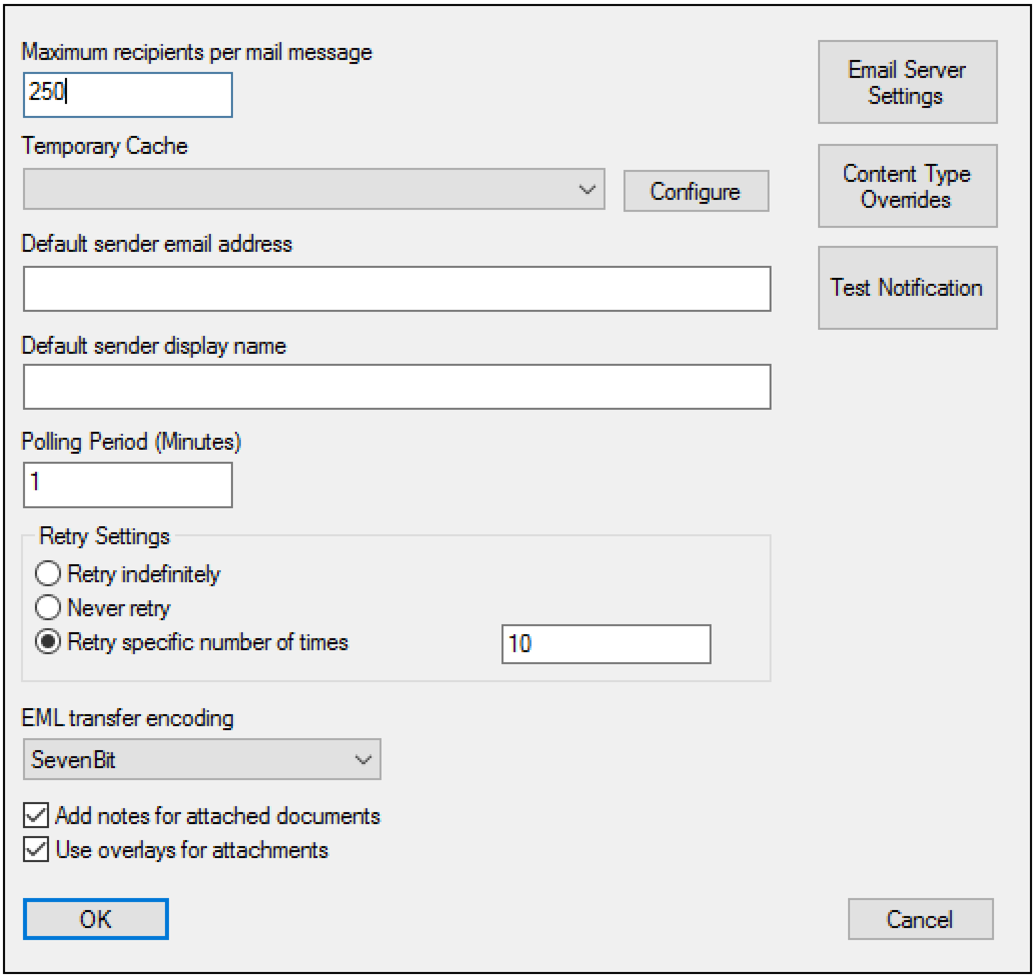
Configuring Test Mode

In a testing environment, you can configure the Distribution Service to write emails to a file in order to test messages without actually sending them to recipients.

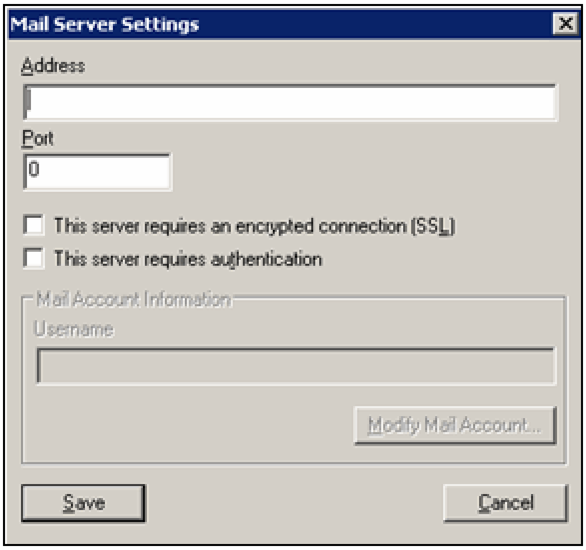
Caution: Testing should be performed in a separate testing environment. It is not recommended to use test mode in an environment with live data.

To configure test mode:

1. Open the OnBase Configuration module.
2. From the **Utils** menu, select the **Distribution Service Settings** option. The Distribution Service Settings dialog box is displayed.



3. Click the Email Server Settings button. The Mail Server Settings dialog box is displayed.



4. In the **Address** field, enter an address to a valid UNC path.
5. Click **Save**.

With test mode enabled, messages are saved in EML format to the specified location. These messages can be viewed, verified, and deleted as necessary.

Adding Support for Multiple Data Sources

If your solution uses multiple data sources, then the Hyland Distribution Service can be configured to access each data source. This provides multiple data sources for redundancy should a data source go down.

To configure the Hyland Distribution Service to access multiple data sources, a corresponding **Email Sending** Unity Scheduler task must be created for each data source. See the **Unity Scheduler** module reference guide for more information.

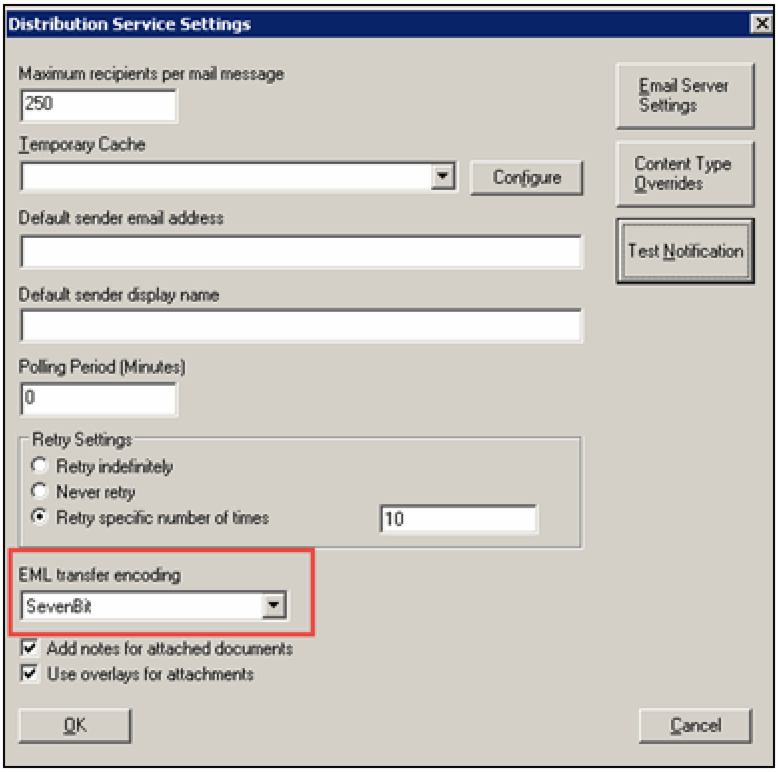
Note: To conserve system resources, increasing the polling period is recommended. This can be modified from the Unity Management Console. For more information on task scheduling, see the **Unity Scheduler** module reference guide.

Configuring EML Transfer Encoding

In some instances, you might want to output email notifications to EML files to be processed by a third-party mail application. When this method for distributing notifications is necessary, complete the following steps:

Note: EML files can also be used in testing.

1. Create a directory to store the EML files. This directory should be accessible locally, in a mapped drive or through an UNC path to a shared directory. The path name must be fully qualified. It must start with \\Name, where Name is the name of the machine name, or X:\, where X is any drive letter.
2. From the **Distribution Service Settings** dialog box, select an encoding option from the **EML transfer encoding** drop-down list.



3. Select from either **ServerBit** or **EightBit**.
4. Click **OK** to save the option.

Configuring the Distribution Service to Save Notifications as E-Mail (EML) Files

In some instances, you might want to output email notifications to EML files to be processed by a third-part mail application. When this method for distributing notifications is necessary, complete the following steps:

1. Create a directory to store the EML files. This directory should be accessible locally, in a mapped drive or through a UNC path to a shared directory. The path name must be fully qualified. It must start with \\[Name], where [Name] is the name of the machine name, or X:\, where X is any drive letter.
2. Modify the address in Configuration | Utils | Distribution Service Settings | Email Server Settings so that the address entry specifies this directory name. One file per notification will be written to the target directory specified.

Sending Notifications in HTML Format

If you want your notification to be received by the user in HTML format, the notification must be in plain text, and you must add the <HTML> tag to the body of your message.

Note: This applies only to plain text notifications. Formatted notifications does not support the use of HTML tags.

Sending Unity Forms

If you plan to send Unity Forms using the Distribution Service, please see Unity Forms Limitations on page 96.

Configuring a Temporary File Cache

A temporary file cache is recommended because email notifications and their attachments sent from Document Distribution may include emails and attachments that are not archived in OnBase. The Distribution Service sends these emails from the temporary file cache. Attachments are sent in their configured file format.

Access to the UNC share path of the Temporary File Cache must be provided for the following:

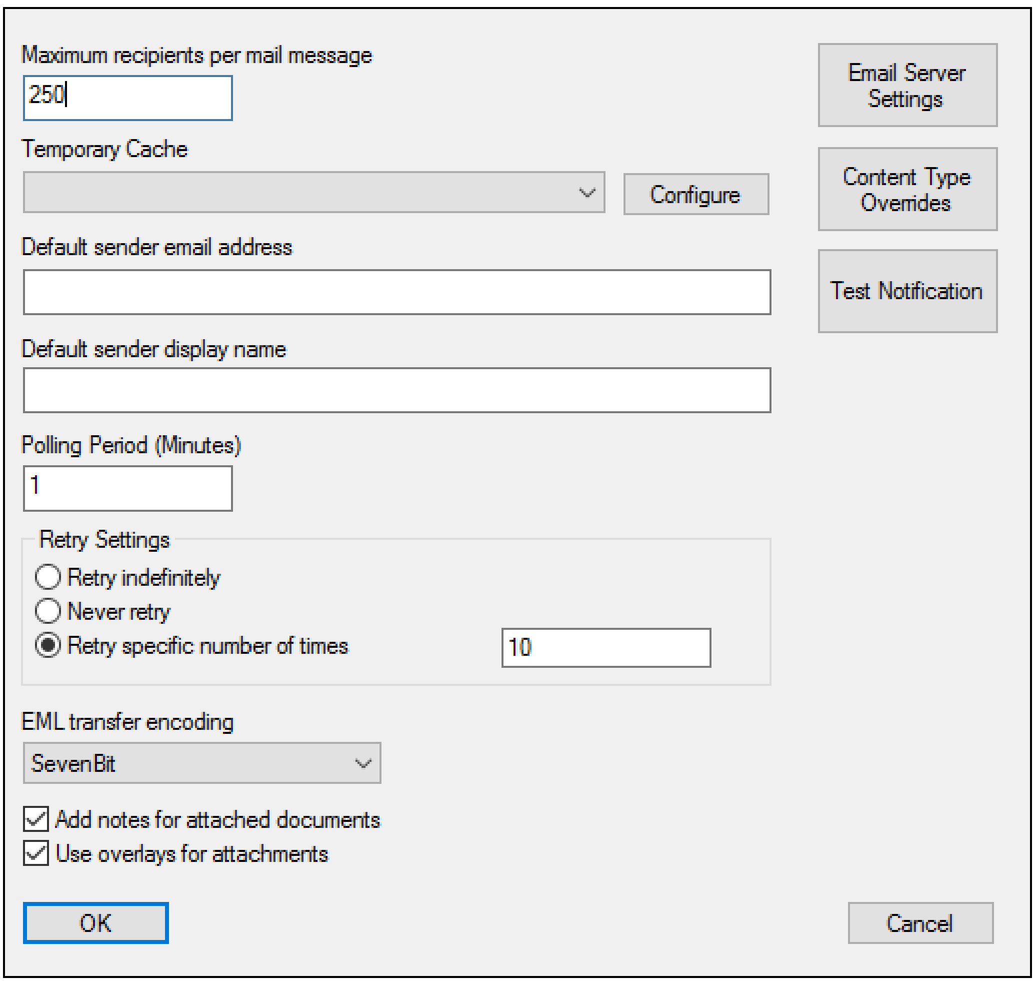
- Within a Core-based Workflow, the Application Pool Identity and Distribution Service account must have access.
- Both the Windows account that is accessing the OnBase Client as well as the Distribution Service account must have access.

A temporary file cache must be configured and associated with the Distribution Service under the following circumstances:

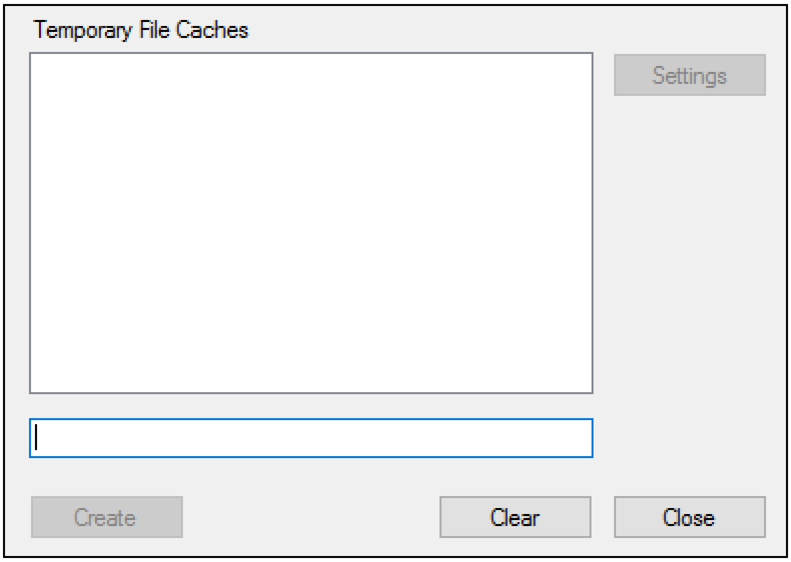
- When the Global Client Setting **Use Email Distribution Service for Document Distribution** is enabled.
- When using formatted or rich text notifications. In order to use formatted notifications, you must have Temporary Cache enabled and set up for the database you are using for testing purposes.
- When sending messages larger than 64000 bytes using WorkView | Case Manager.
- When using HTML WorkView | Case Manager notifications.

To create a temporary file cache:

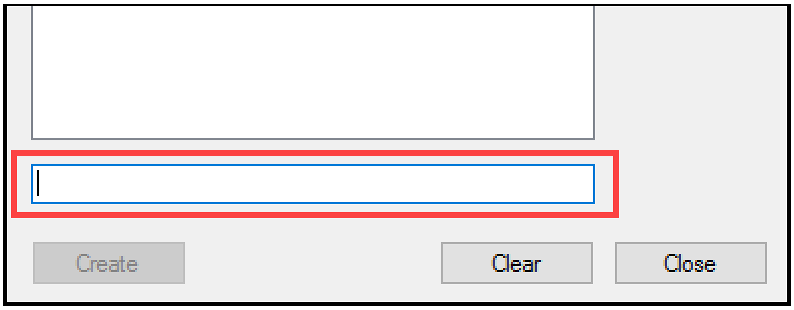
1. In the Configuration module, select **Utils | Distribution Service Settings**. The **Distribution Service Settings** dialog box is displayed.



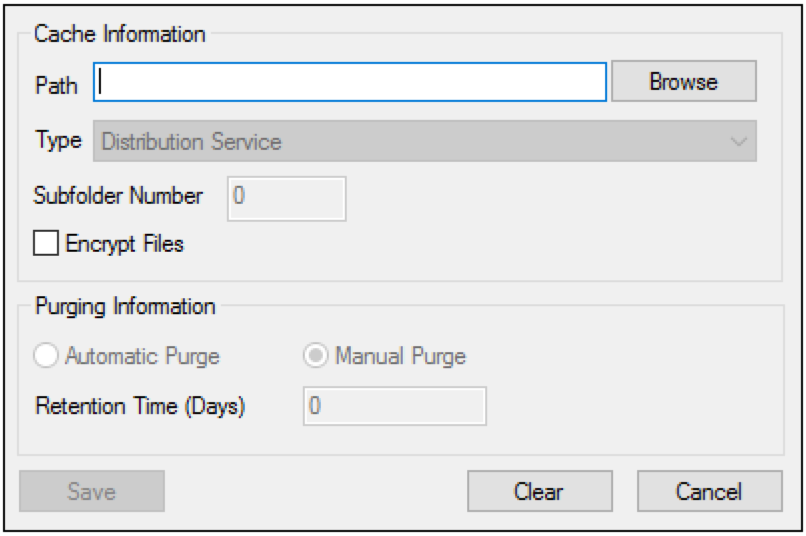
2. Click the **Configure** button next to the **Temporary Cache** drop-down list. The **Temporary Caches: Distribution Service** dialog box is displayed.



3. In the empty field, type the name of the cache you want to create.



4. Click **Create**. The **Cache Configuration** dialog box is displayed.



5. Enter the file path of the temporary file cache in the **Path** field, or click the **Browse** button to navigate to the location.

Note: The file you browse to must be a UNC Share, in which the application pool and the account running the Distribution Service have access to this share. The share name must not contain spaces.

The **Type** drop-down list is set to **Distribution Service** by default. This is the service that is automatically used when creating a temporary file cache.

Note: If the **Cache Configuration** dialog box is accessed from the **Distribution Service Settings** or **Integrated Office Viewer Settings** dialog box, the **Type** field is set to **Distribution Service** or **Microsoft Office Web Apps**, depending on the point of access, and cannot be changed. These temporary caches, created from the **Configure** button in the **Distribution Service Settings** dialog box or the **Integrated Office Viewer Settings** dialog box, are automatically associated with the desired functionality upon completion of configuration.

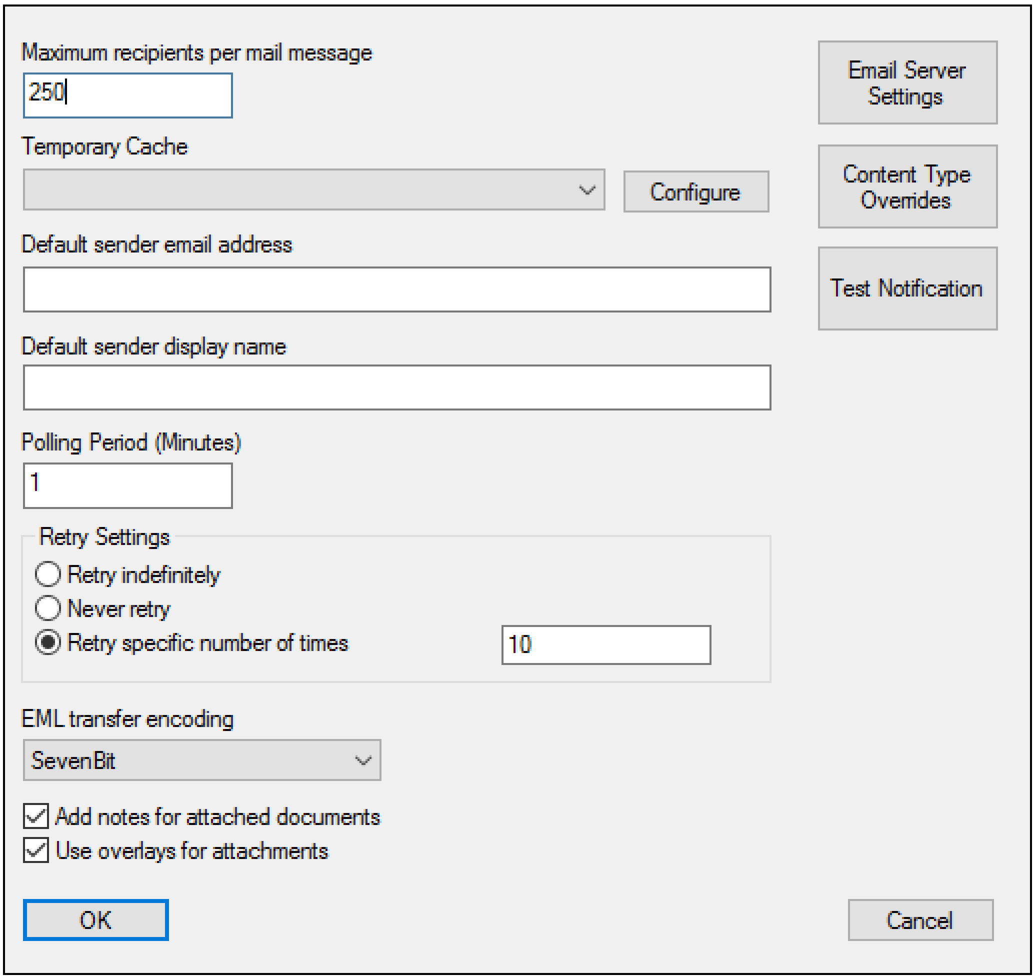
6. Select **Encrypt Files** to encrypt the temporary files. Encrypting the data prevents people from opening the files, which keeps the information more secure.
7. Click **Save**.

Note: Once a temporary file cache is configured, it must be associated with the Distribution Service. See Configuring Retry Settings on page 77 for more information.

Configuring Retry Settings

The Distribution Service can be configured to attempt to send notifications again upon a failure. To configure these settings:

1. In the Configuration module, navigate to **Utils | Distribution Service Settings.** The **Distribution Service Settings** dialog box is displayed:

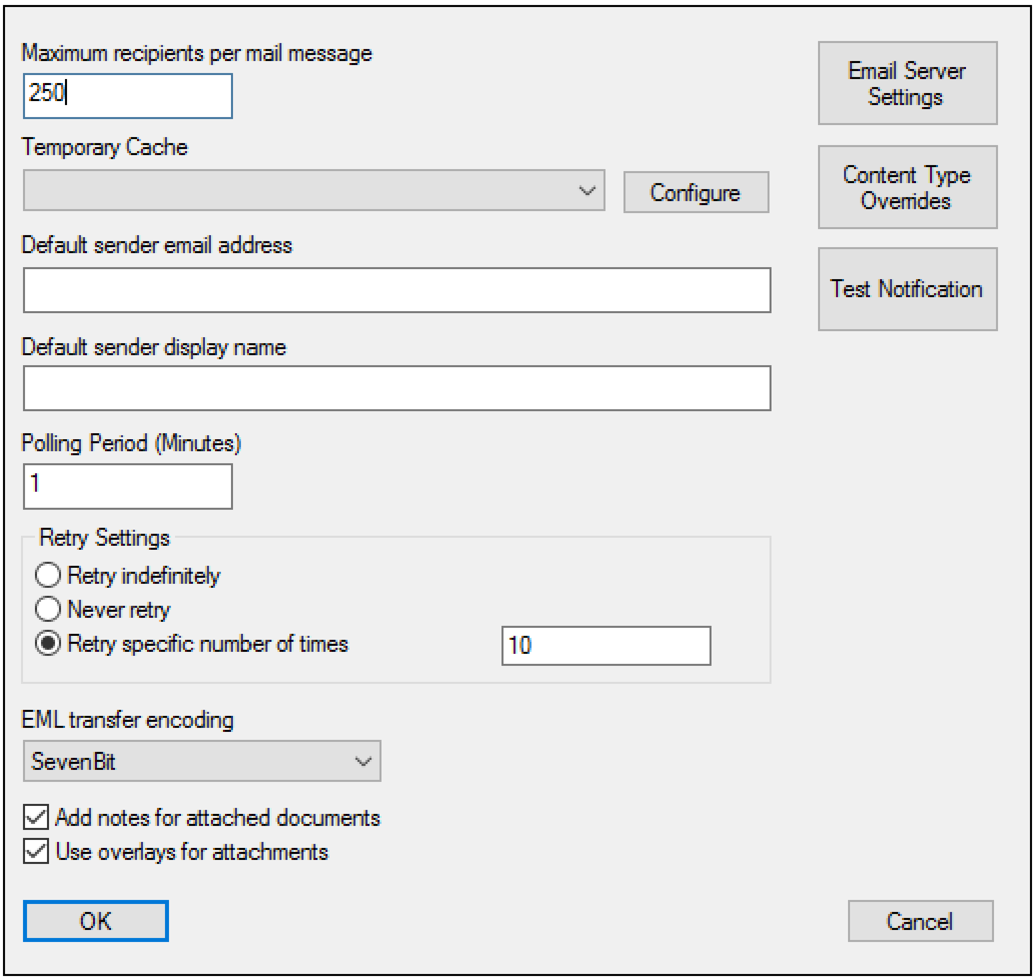


2. In the **Retry Settings** section, select one of the following options:
   - **Retry indefinitely -** The Distribution Service continuously tries to send a notification if a failure occurs.
   - **Never retry** - The Distribution Service does not attempt to send the notification if a failure occurs.
   - **Retry specific number of times** - The Distribution Service tries to send the notification until the specified number of attempts is reached. In the field provided, enter the number of attempts that you want the Distribution Service to make.
3. Click **Save**.

Configuring Maximum Recipients

A maximum number of recipients per each generated notification email message can be configured. This ensures that in the case of a long list of recipients, recipients are broken up and multiple emails are generated in order to prevent timeout errors. To configure a maximum number of recipients per email:

1. In the Configuration module, navigate to **Utils | Distribution Service Settings.** The **Distribution Service Settings** dialog box is displayed:



2. In the **Maximum recipients per mail message** field, enter the maximum number of recipients that a message should have. If the recipient list is longer than the value of this setting, emails are sent in multiple batches.

Note: If you do not want a maximum number of recipients per mail message, set the **Maximum recipients per mail message** value to **0**. This does not set a maximum number of recipients. A single message is generated for all recipients.

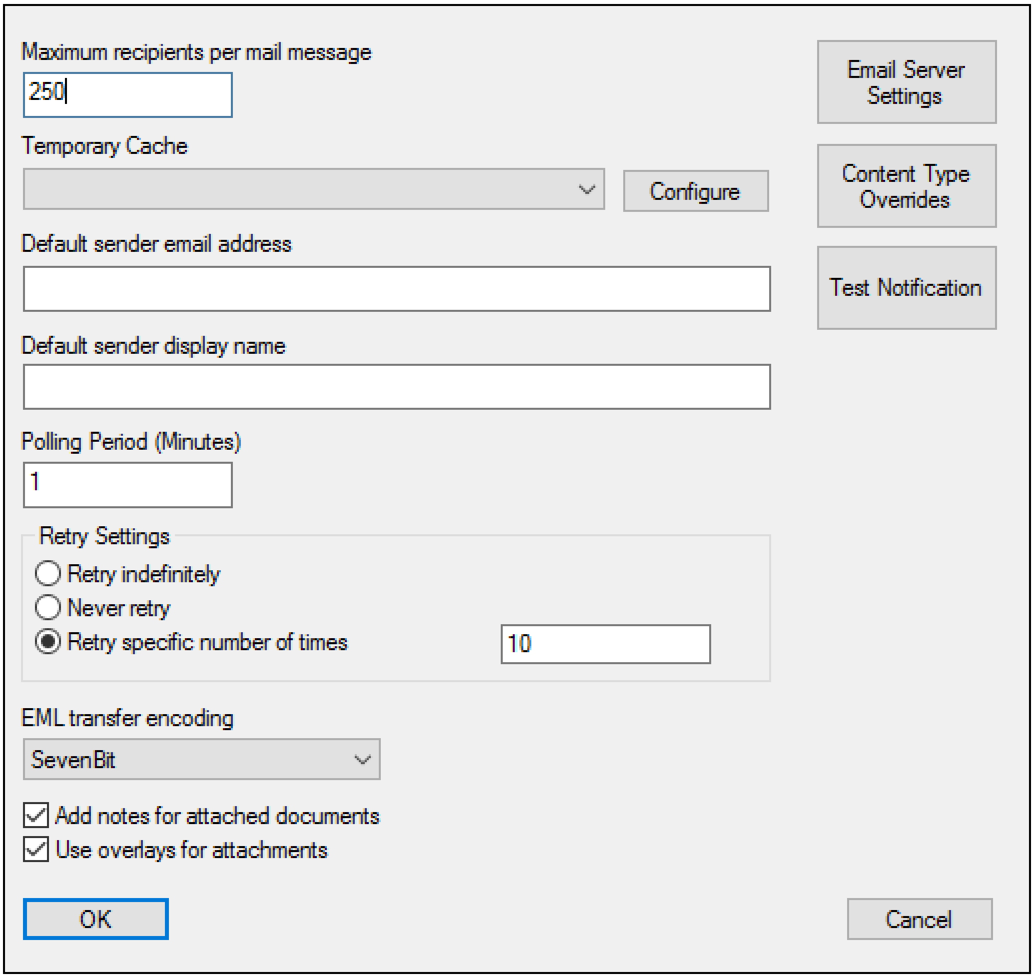
Configuring Default Sender Options

You can establish a default sender for any emails that are distributed using the distribution service. This can be used if you want to send emails using a generic account. For example, if you want to send general information to a group of people, you may want to set up an Information email account.

Note: The sender that displays is either the authenticated user or the sender of the request. If those are not available, then the default sender value is used.

To configure a default sender:

1. In the Configuration module, navigate to **Utils | Distribution Service Settings**. The **Distribution Service Settings** dialog box is displayed.



2. In the **Default sender email address** field, type the email address belonging to the sender you want listed as the default. For example, the sender email could be info@email.com.

3. In the **Default sender display name** field, type the name for the default sender. If this is to be a general information account, you may want to type Information as the default sender.
4. Click **OK**.

Displaying the User Who Triggered the Notification as the Sender

The Default Sender email address is configured in the OnBase Configuration module, using the Distribution Service Settings dialog box. See Configuring Default Sender Options on page 79 for more information.

The following progression is taken if authentication is not used:

- Initially, the sender who generated the notification will be used.
- If that value is null, then the Distribution Service's default sender address value will be used.
- If that value is null, then the user who generated the notification will be used as the sender.

Note: When displaying the user who triggered the notification as the sender, leave the **Default Sender** field empty.

Users who trigger notifications must have valid email addresses configured in OnBase. Otherwise, the notifications are not sent, and the message **Server Error: 501 5.5.4 Invalid Address** is displayed in the **Errors** tab of the Diagnostics Console.

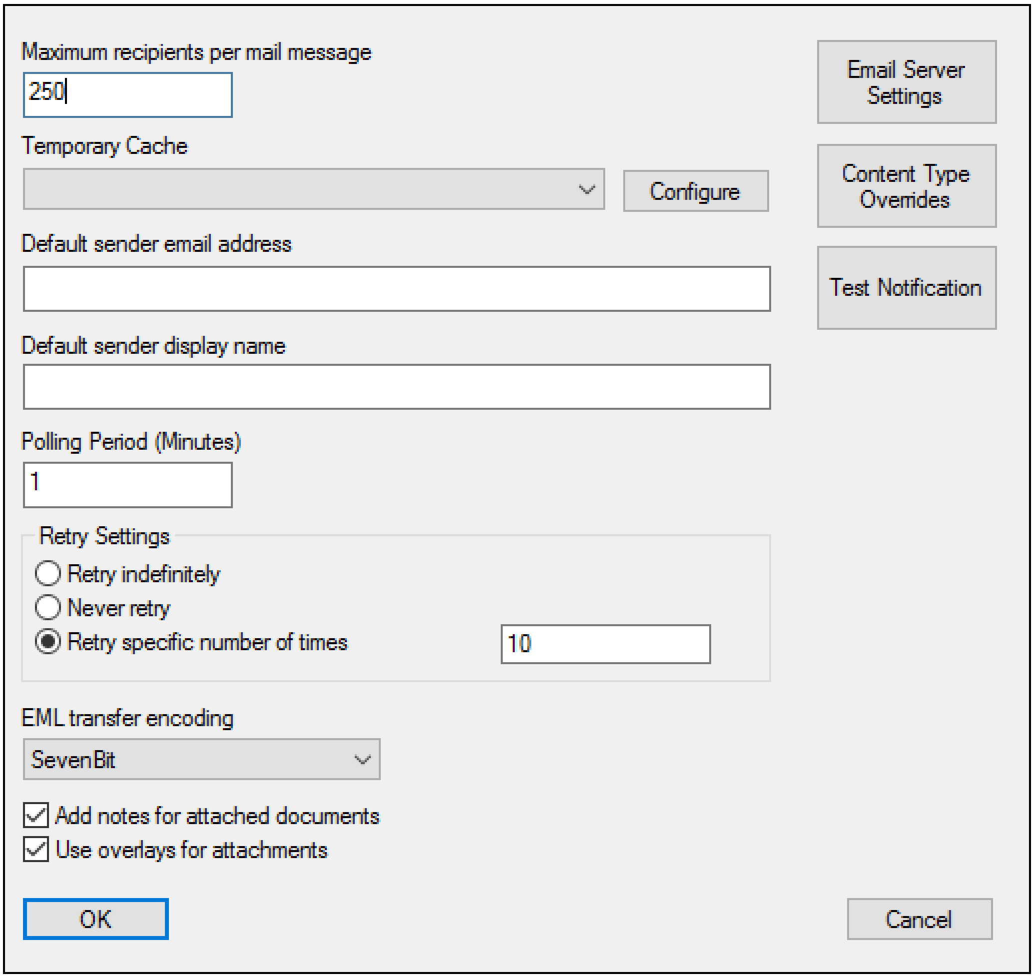
The **Default Sender** setting can be overridden by modules like Workflow and WorkView, which allow you to configure the sender address for notifications.

Configuring Attachment Options

If a document that has been attached to an email contains notes or overlays, you can configure the document to not include notes and overlays when the document is sent as an attachment.

To configure document options:

1. In the Configuration module, navigate to **Utils | Distribution Service Settings**. The **Distribution Service Settings** dialog box is displayed.



2. De-select the **Add notes for attached documents** check box to remove the notes from attached documents.
3. De-select the **Use overlays for attachments** check box to remove overlays from attached documents.
4. Click **OK**.

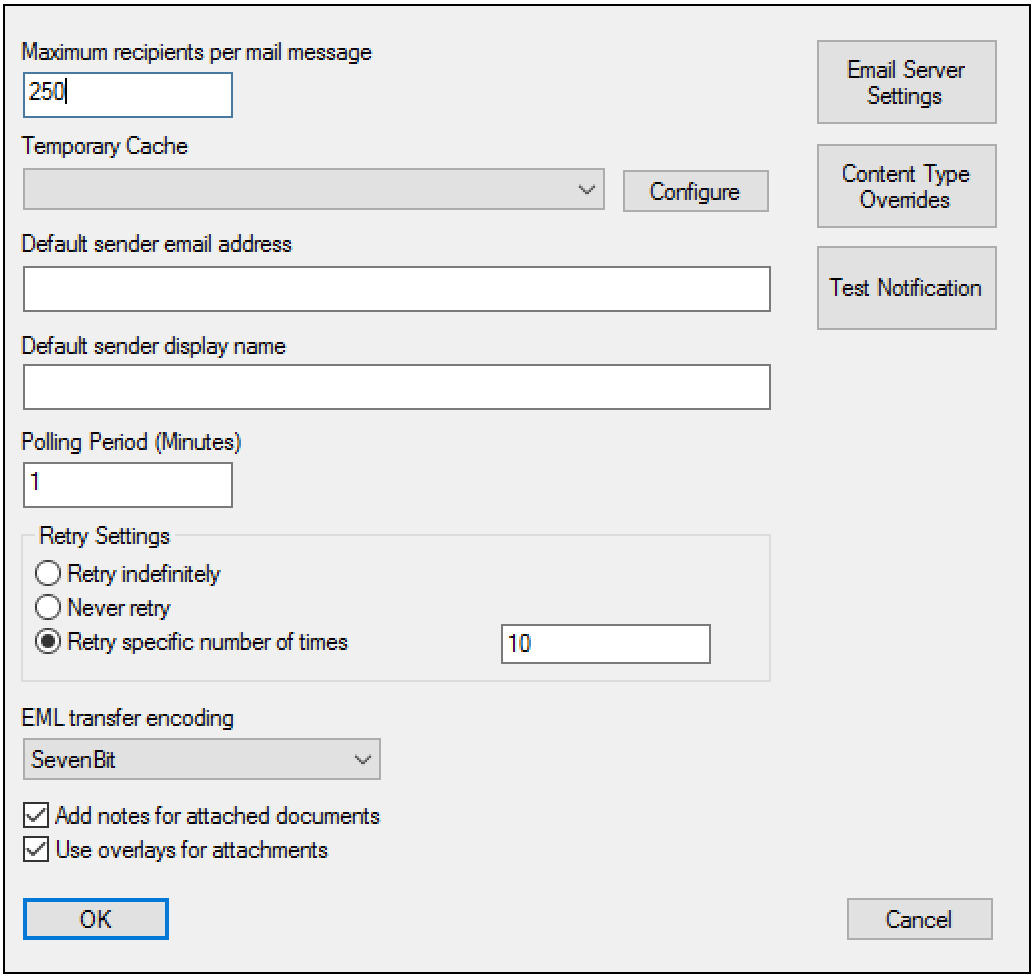
Configuring Email Server Settings

The Email Server Settings option provides the ability to configure the mail server to send emails. From this dialog box, you can specify an address for the server, the port number and other settings that are specific to the server. You can also require that emails are routed with an SSL encrypted connection.

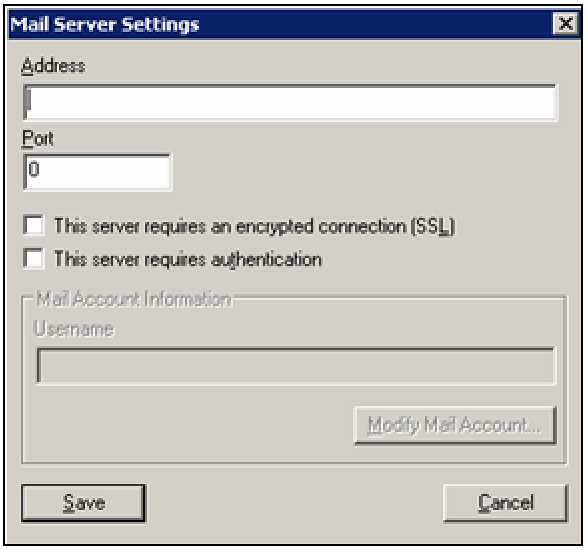
Note: The SmtpClient class for routing emails using SSL encryption only supports the SMTP Service Extension for secure SMTP over Transport Layer Security as defined in RFC 3207, which is published by the Internet Engineering Task Force (IETF). In this mode, the SMTP session begins on an unencrypted channel, then a STARTTLS command is issued by the client to the server to switch to secure communication using SSL.

To configure email server settings:

1. In the Configuration module, navigate to **Utils | Distribution Service Settings**. The **Distribution Service Settings** dialog box is displayed.

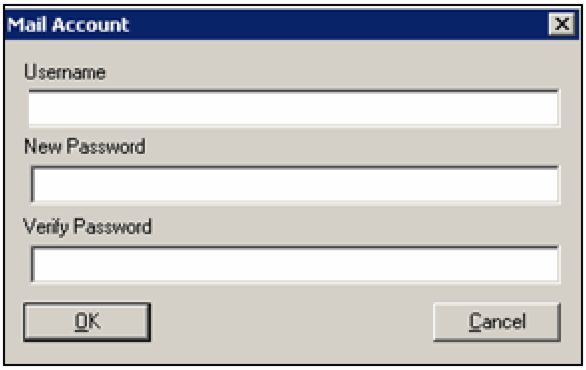


2. Click **Email Server Settings**. The **Mail Server Settings** dialog box is displayed.



3. In the **Address** field, type the address for the mail server.
4. In the **Port** field, type the port number that is used for the mail server.
5. Select the **This server requires an encrypted connection (SSL)** check box to require that the server has an encrypted SSL connection.

6. Select the **This server requires authentication** to validate that a mail account has been configured for the mail server. When this option is selected, the **Modify Mail Account** button is enabled. Select this button to display the Mail Account dialog box.



Enter a valid username and password in the **Username** and **New Password** fields. Re-enter the password in the **Verify Password** field, and then click **OK**.

Note: The user name must be formated as the following: email@domain.com.

When authentication is enabled, note the following:

- When replying to an email, the authenticated email (your email) is displayed in the From field.
- If the Default Sender field is populated, and authentication is enabled, the Reply to field is automatically populated with the request's sender when replying to emails.

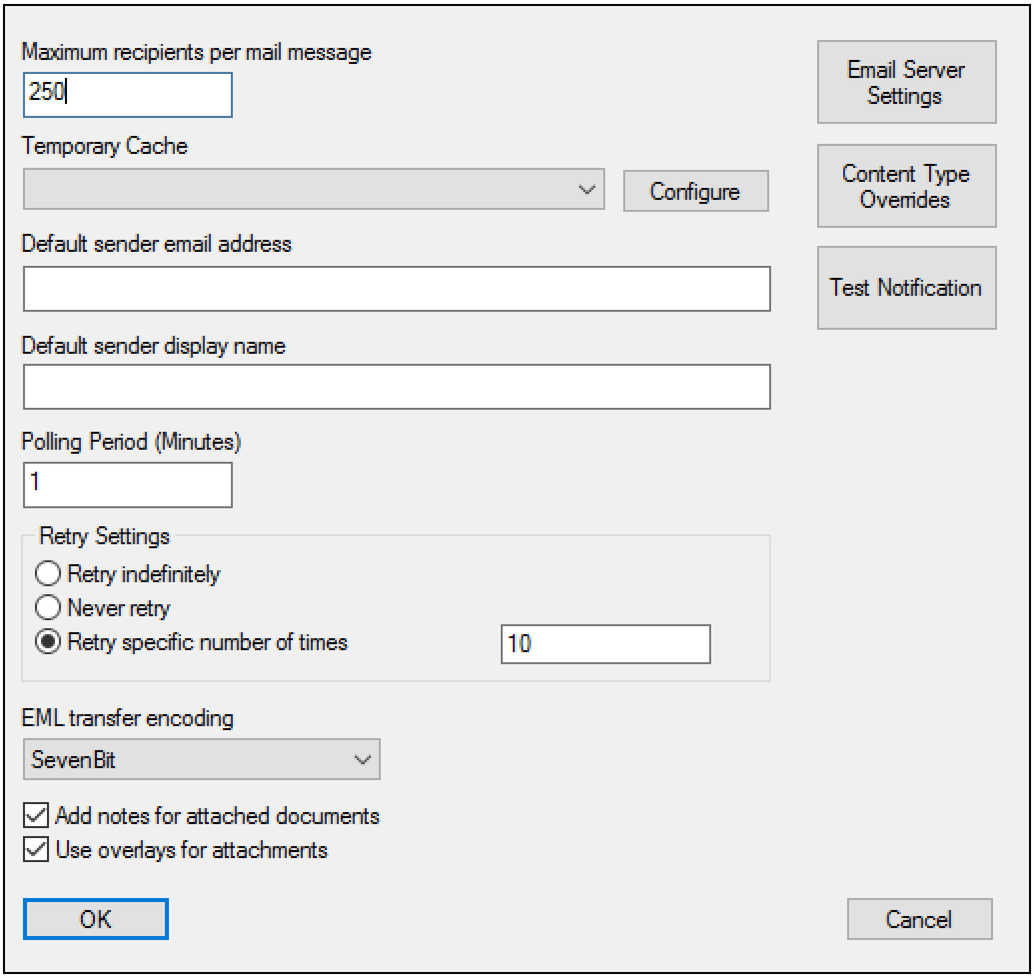
7. Click **Save** to save the mail server settings.

Generating and Sending Test Notifications

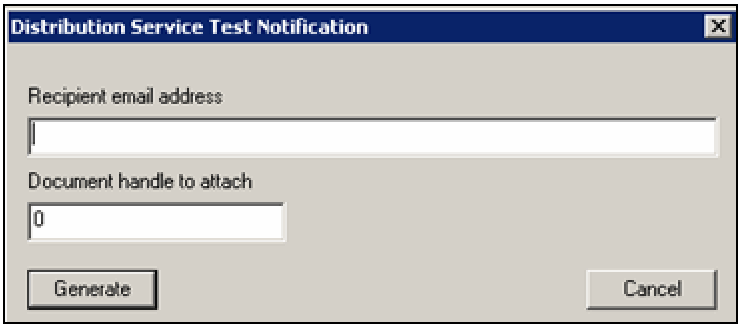
To ensure that the Distribution Service is configured properly, test notifications can be generated from the Distribution Service Settings dialog box.

To generate test notifications:

1. In the Configuration module, navigate to **Utils | Distribution Service Settings.** The **Distribution Service Settings** dialog box is displayed:



2. Click **Test Notification**. The **Distribution Service Test Notification** dialog box is displayed.



3. Enter a valid SMTP email address in the **Recipient email address** field.

4. If you want to attach a document, enter a document handle in the **Document handle to attach** field. The specified document will be sent as an attachment in the email.
5. Click **Generate**. The notification is sent when the Distribution Service is started. Check the recipient email mailbox to ensure the notification was sent.

Viewing Reports in the Unity Management Console

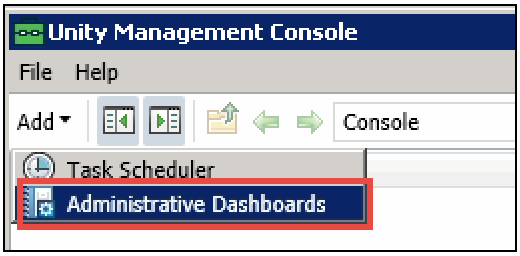
The Distribution Service Administrative Dashboard is available in the Unity Management Console. This dashboard allows you to view the status of emails that have been sent through the Distribution Service. Using the dashboard, you can view reports for the following:

- All Emails
- Successful Emails
- Failed Emails
- Pending Emails

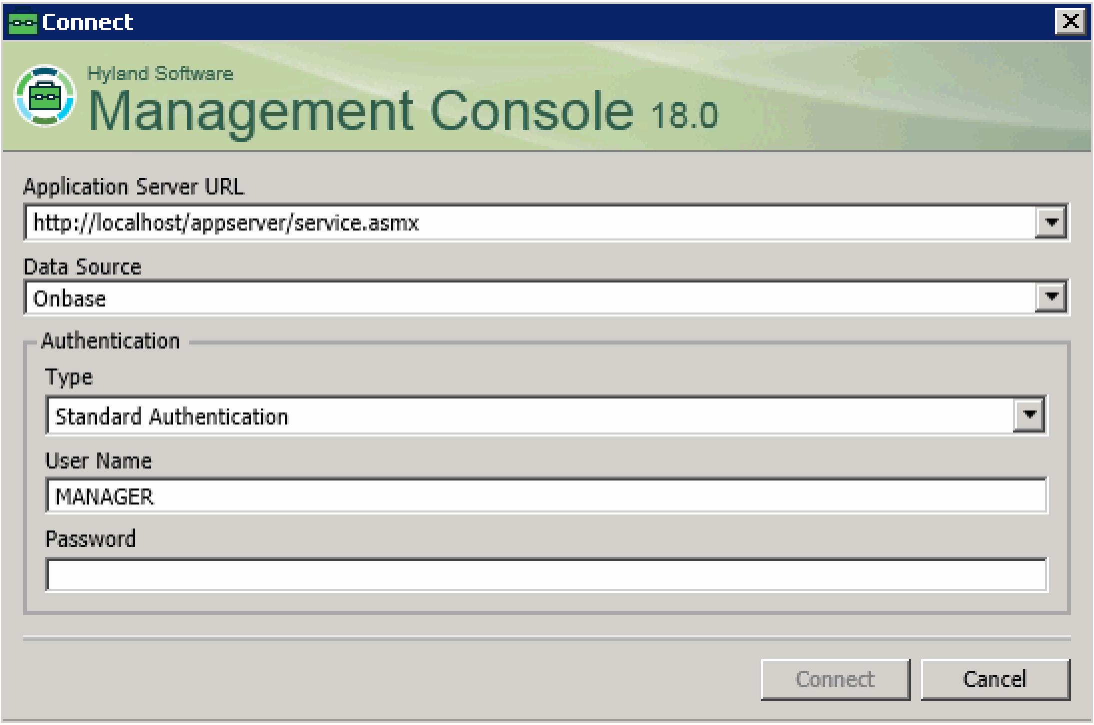
Before you can use the new dashboard, you must install the Unity Management Console. See the **Unity Scheduler** module reference guide for more information.

To add the Distribution Service Administrative Dashboard:

1. Open the Unity Management Console.
2. Click **Add | Administrative Dashboards**.

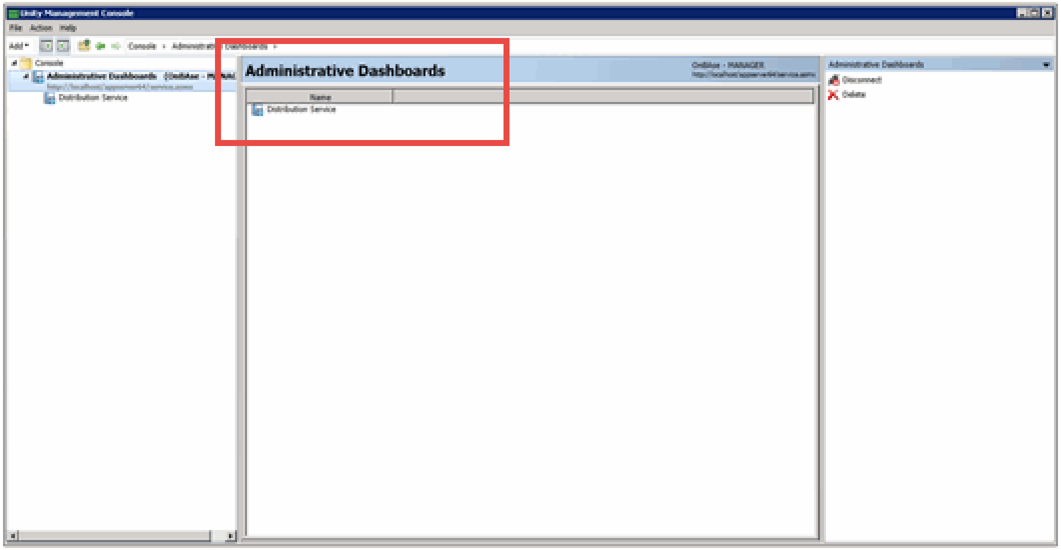


The **Connect** dialog box is displayed.



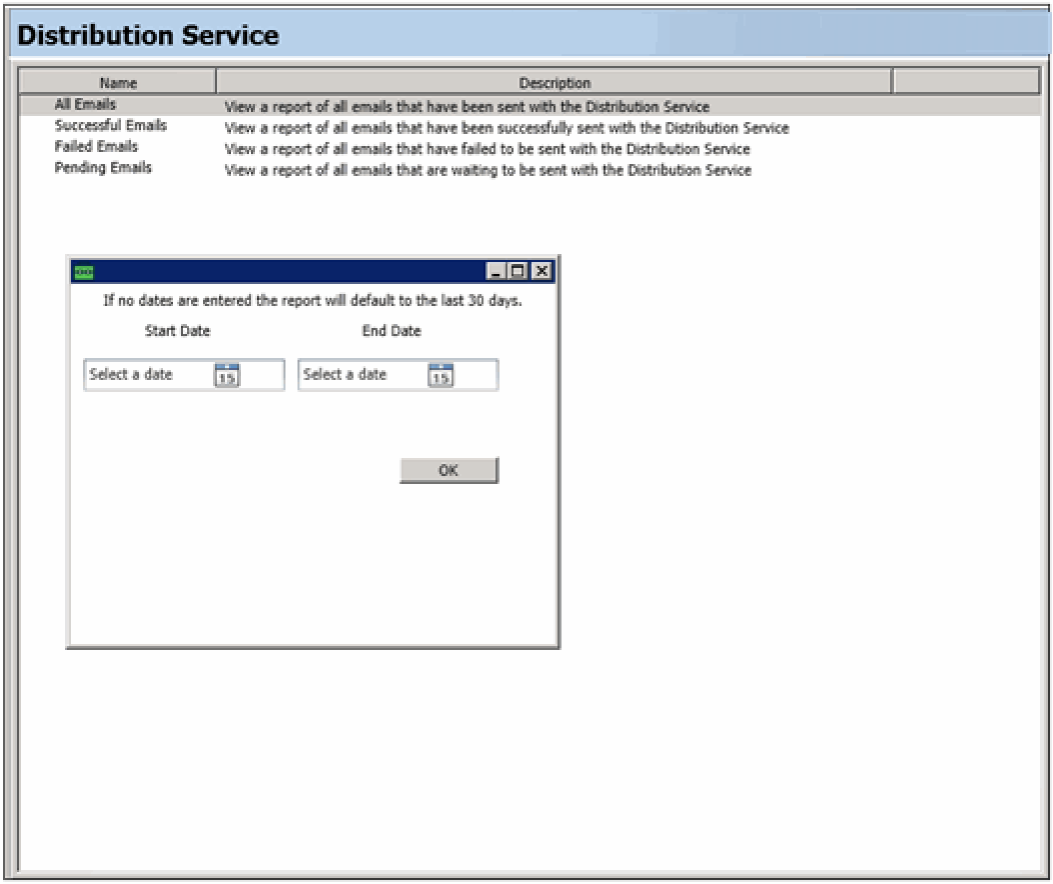
3. Ensure that the information provided in the fields is correct.
4. Enter your password in the **Password** field to authenticate the connection.

5. Click **Connect**. The **Distribution Service** dashboard is displayed in the **Administrative Dashboards** pane.



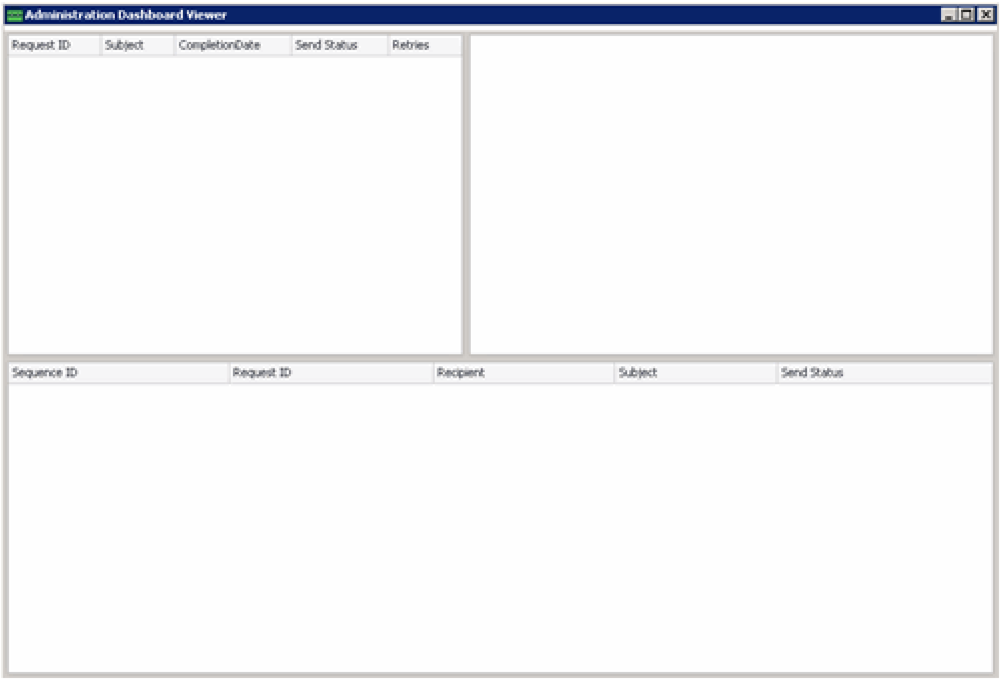
6. Double-click the **Distribution Service** dashboard.

7. Double-click a report to view one of the email report options. A date range dialog box is displayed.



8. Choose a date range from the **Start Date** and **End Date** pickers.

9. Click **OK**. The **Administration Dashboard Viewer** is displayed, listing information for any emails that fall into the category of the report you selected.



10. Click the **X** to close the **Administration Dashboard Viewer** window.

Troubleshooting

The following troubleshooting information may help you diagnose and resolve issues with the Hyland Distribution Service.

Logging Information to the Diagnostics Console

You can use the Diagnostics Console to troubleshoot Distribution Service issues. Diagnostics information is logged under the **Timer / Distribution Service** tab in the Diagnostic Console.

Note: For general information on diagnostics, see the Diagnostics Service reference guide or the Diagnostics Console help files.

When an **Email Sending** task is manually initiated from the Unity Management Console, the logging levels set in the Application Server's web.config file are respected. When an **Email Sending** task is automatically triggered by the Unity Scheduler, the logging levels set in the Unity Scheduler's app.config file are respected.

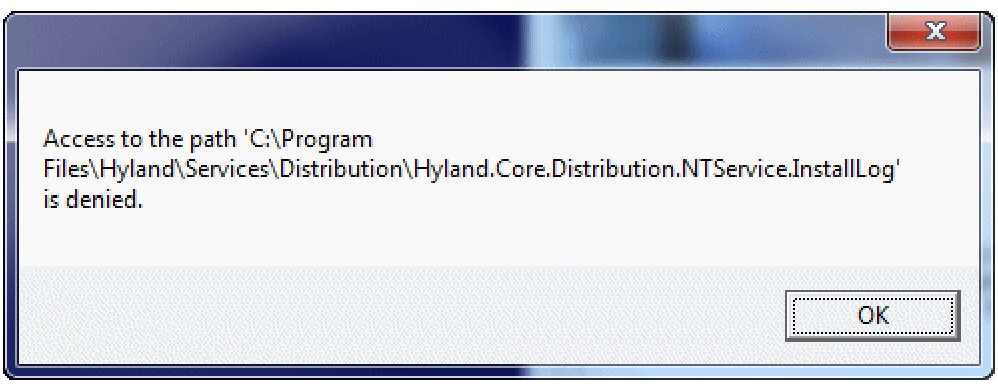
In either the Application Server's web.config file or the Unity Scheduler's app.config file, modify the logging level to activate logging. If logging is activated, it always occurs at the **Verbose** level. Setting the **minimum-level** key to different values will yield the results described below:

- If the line specifying the **minimum-level** is commented out, information about the Distribution Service is logged at the **Verbose** level.
- **Trace** - Information about the Distribution Service is logged at the **Verbose** level.
- **Verbose** - Logs important information and events regarding the Distribution Service.
- **Warning** - No Distribution Service information is logged.
- **Error** - No Distribution Service information is logged.
- **None** - No Distribution Service information is logged.

Note: If the Distribution Service sends an email without a specified **To** address, an SMTP server error displays on the **Errors** tab. The SMTP server sends Undeliverable Message notifications to the **From** address specified in the message template.

Access to the path...is denied

If you try to manually install or uninstall the Hyland Distribution Service on a server with Windows User Account Control (UAC) enabled, an "Access denied" message may be displayed.



To address this issue, run the Command Prompt as an administrator. Under **Start | Accessories**, right-click on **Command Prompt** and select **Run as administrator**.

For more information about how the User Account Control can affect OnBase deployments, see Windows User Account Control Statement on page 96.

Error Loading Document: Attachments Are Not Sent

When the Hyland Distribution Service sends emails with attachments, the body of the emails may say the following:

- ERROR LOADING DOCUMENT: Document Number: [#]

This error may occur because the account running the Hyland Distribution Service lacks privileges to the document on the OnBase disk group.

To resolve this issue, perform the following steps on the server where the Hyland Distribution Service is installed.

1. Using a **Run** dialog box, run **services.msc**.
   To do this, select **Start | Run**, type **services.msc** and click **OK**. The **Services** console is displayed.
2. Double-click **Hyland Distribution Service** from the list of services.
3. Click the **Log On** tab.
4. Under **Log on as**, select **This account**.
5. Type a valid domain user name and password that has access to the OnBase disk groups. This user account will be used to run the service.
6. Click **OK** to save your changes and close the properties dialog box.
7. Restart the Hyland Distribution Service.

Messages Are Not Sent

Messages may not be sent for multiple reasons. The following are general steps to troubleshoot the issue. Steps to address specific issues are provided in the following topics.

1. Ensure the Distribution Service Settings are configured correctly.
2. If there are any firewalls between the servers running the Unity Scheduler and the SMTP server, open the SMTP port to allow the traffic to pass through.
3. Verify proper credentials are used if using authentication.
4. Verify that your antivirus software is not configured to block the SMTP port.

Workstation Registration Not Found

When you run the Distribution Service, messages are not sent, and the following error is logged to the Diagnostics Console: **Workstation Registration not found for distribution server machine**.

This error is displayed because required OnBase components such as registry keys and the onbase32.ini file have not been created on the server running the Distribution Service.

To resolve this issue, log in to either the OnBase Client or the OnBase Configuration module from the server that is running the Distribution.

Cannot Create a Session Pool

If the Distribution Service is running but fails to send messages, the following error may be logged to the Diagnostics Console:

- Cannot create a session pool without a data source, user name, and password.

When this error occurs, do the following:

- Check the **Hyland.Core.Distribution.NTService.exe.config** file and ensure the **datasource**, **username**, and **password** parameters are specified correctly.
- Ensure the names of the parameters in the configuration file are spelled correctly, including case. Parameter names are case sensitive. For example, if **username** is spelled as **UserName**, the parameter is not loaded.

"No Count" Is On

If the Diagnostics Console reveals that notifications are being processed but are not being sent, you may need to turn off the No Count variable on your SQL Server. Please contact your solution provider for assistance.

Version Mismatch

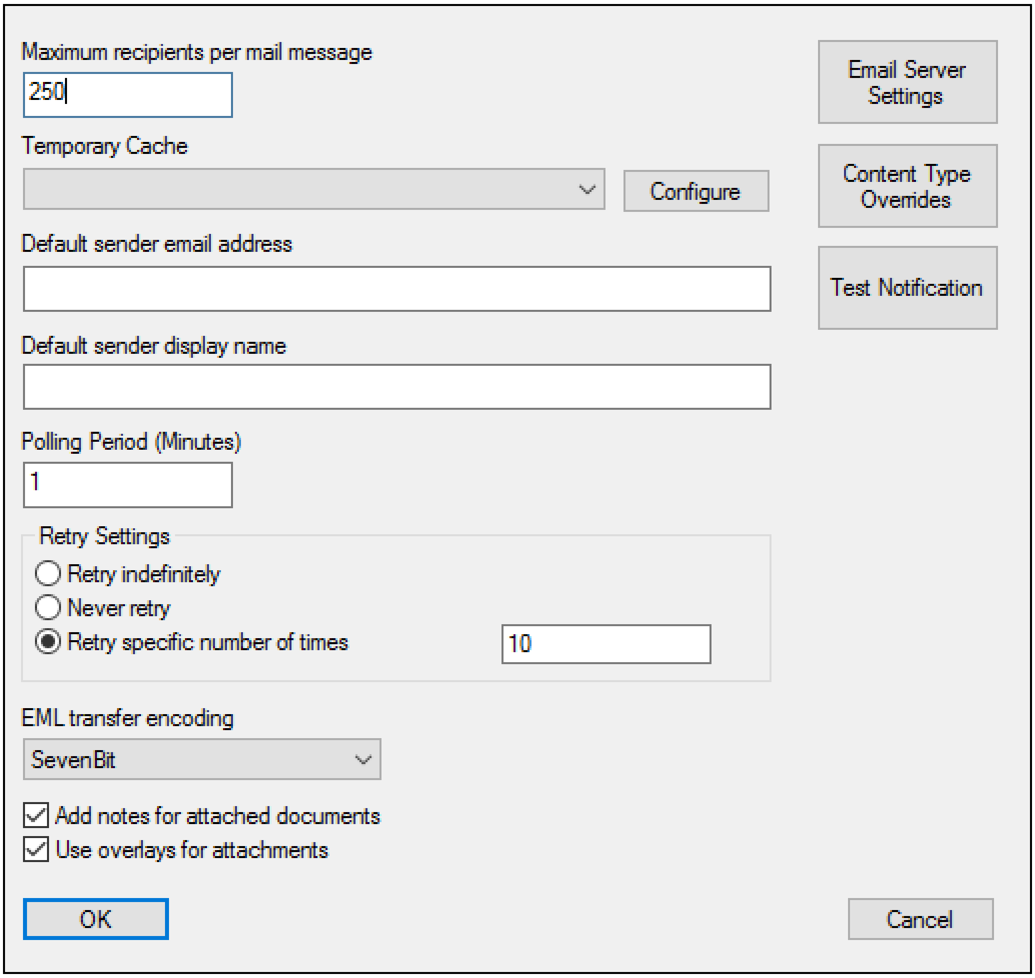
If you find that messages are not being sent, you may be using a version of the Distribution Service that is incompatible with your current version of OnBase. If this is the case, an error is logged to the Diagnostics Console indicating that there is a database version mismatch. Ensure the Distribution Service is upgraded to the same version as the rest of your OnBase solution.

Message Content and Attachments Are Reversed

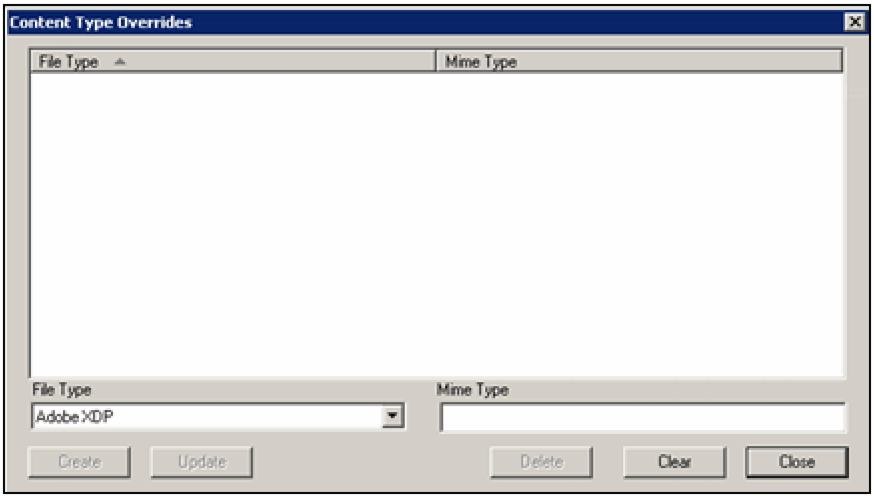
Some email clients do not properly handle content types for attachments with certain file formats. As a result, documents with these file formats are sent as the message text instead of as attachments, and the actual message text is sent as the attachment. If users receive emails where the message and the attachment are reversed, you may need to configure the Distribution Service to override the content type for those attachments' file formats.

Note: E-Forms are one example of documents with a file format that may be handled incorrectly. By default, the Distribution Service's configuration file is configured to override the content type on E-Forms, allowing them to be sent correctly as attachments.

1. In the Configuration module, navigate to **Utils | Distribution Service Settings.** The **Distribution Service Settings** dialog box is displayed:



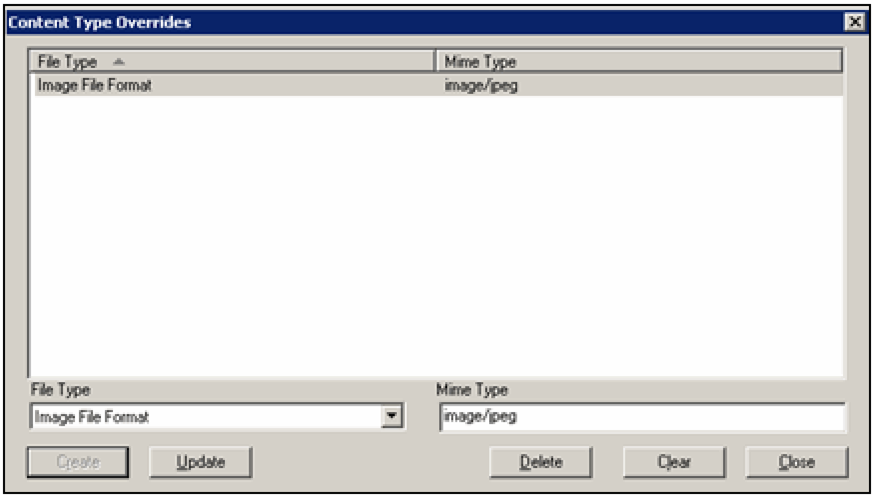
2. Click **Content Type Overrides**. The **Content Type Overrides** dialog box is displayed.



3. From the File Type drop-down list, select the file type that needs to be overridden.
4. In the Mime type field, enter the generic MIME type to label attachments that have the specified file format. Override options include:
   - application/octet-stream
   - application/pdf
   - application/rtf
   - application/soap+xml
   - application/zip
   - image/gif
   - image/jpeg
   - image/tiff
   - text/html
   - text/plain
   - text/richtext
   - text/xml

Note: If necessary, click **Clear** to clear the contents of the Mime Type field.

5. Click **Create**. The override is listed in the dialog box.



You can do any of the following if needed:

- **Update**. Click to update the override. The **Mime Type** field is activated, allowing you to modify the information.
- **Delete**. Click to delete the override.

6. Click **Close** to close the **Content Type Overrides** dialog box.

Unity Forms Limitations

- When Unity Forms are sent using the Distribution Service, section and page security configured on a Unity Form is not respected. The entire form is sent regardless of the security settings on the form.
- When Unity Forms are sent using the Distribution Service via the right-click **Send to** option, page tabs are not displayed in the form. Instead, the form's pages are displayed laterally.

Note: Unity forms are automatically sent as a .tif image when sent through the Distribution Service.

Windows User Account Control Statement

Hyland Software is dedicated to ensuring that OnBase is compatible with Windows User Account Control (UAC). UAC is a feature of Windows operating systems that was introduced with Windows Vista. It limits the ability of standard users to make global system changes to a workstation and prevents malicious software from making unauthorized changes to protected areas.

For details on UAC, refer to your Microsoft support information or see http://technet.microsoft.com/en-us/library/cc709691(WS.10).aspx.

You may encounter UAC in OnBase when:

- Installing or uninstalling OnBase, OnBase modules, or OnBase ActiveX controls.
- Copying, moving, or saving files to the Program Files directory, Windows directory, or another protected location.
- Modifying system-wide settings, such as the registry.
- Re-indexing a document or opening a scanned batch using published Internet Explorer from a Remote Desktop Server.

If Windows UAC is enabled, the above operations may prompt for administrator privileges or credentials, even if an administrator is currently logged on.

Overview

Beginning in OnBase 13, Compliance Testing functionality has been added to DKT. Compliance Testing allows OnBase administrators to create tests, associate them with documents in Document Knowledge Transfer module Reading Groups, and deliver them to Web Client and Unity Client users.

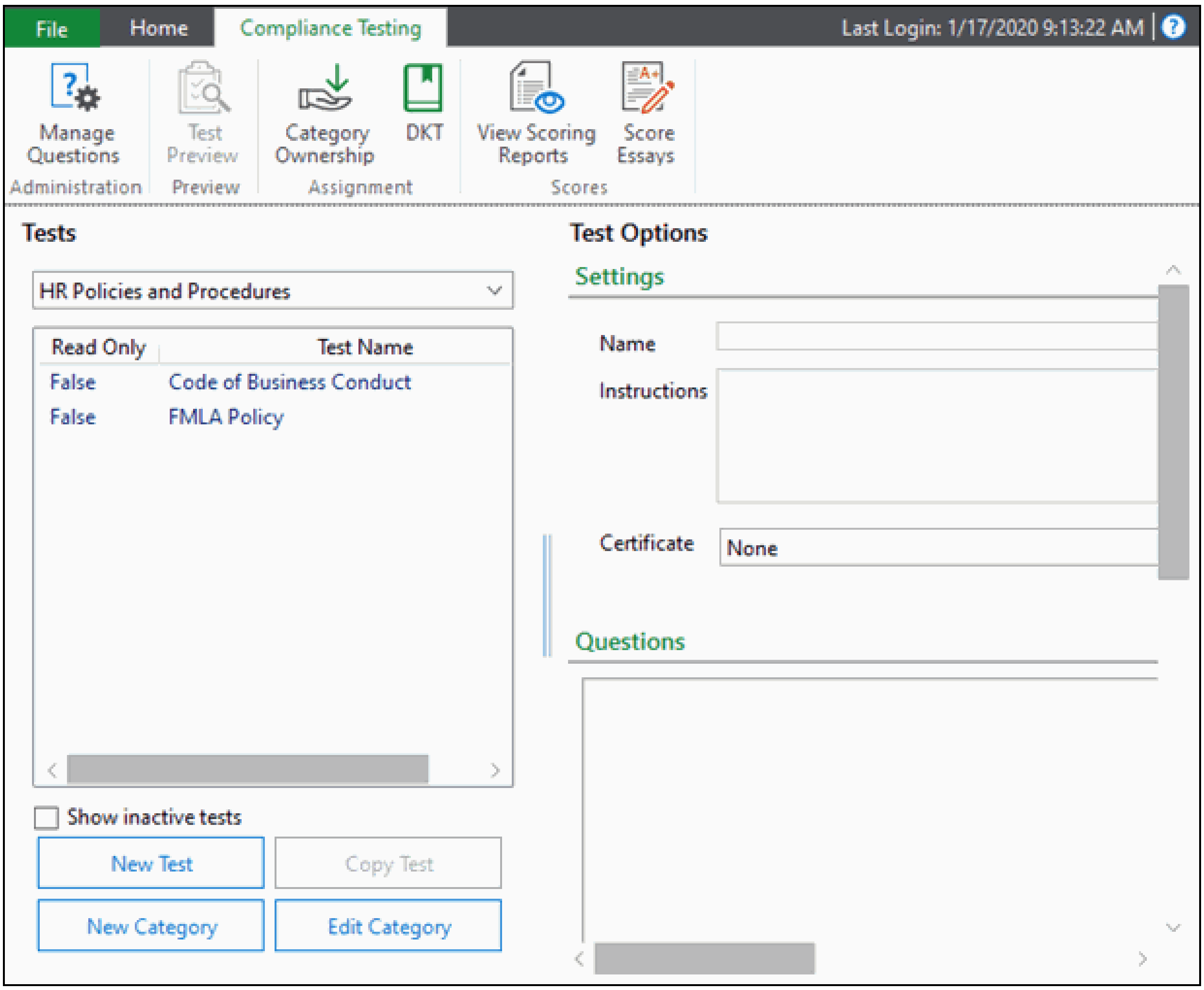
Existing customers upgrading to OnBase Foundation EP5 will have continued access to all existing functionality. Customers desiring the added Compliance Testing functionality are encouraged to contact their first line of support.

The Compliance Testing for Document Knowledge Transfer license is required in order to administer tests. Additionally, users configuring Compliance Testing must be granted the **Compliance Testing** product right. For more information, see Compliance Product Right on page 150.

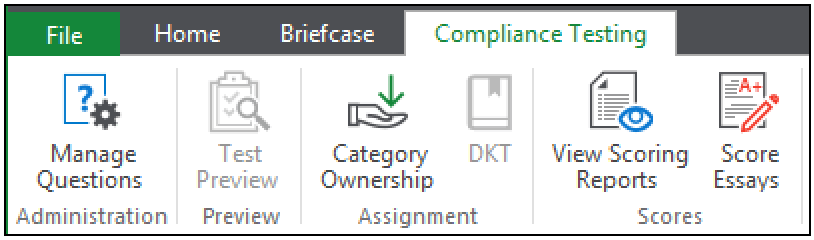
Administration for Compliance Testing is performed in the Unity Client's **Compliance Testing Administration** layout. To open the **Compliance Testing Administration** layout, select **File | Administration | Compliance Testing Administration**.

Compliance Testing Administration Interface

After selecting **Compliance Testing Administration** from the **File** menu, the **Compliance Testing Administration** layout is displayed:



The **Compliance Testing** ribbon contains available actions for administration of tests and questions:



Ribbon Category	Description
Administration	**Manage Questions** allows you to create and edit question categories. For information about creating and editing question categories, see Creating Question Categories on page 105.
Preview	**Test Preview** allows you to preview a test after all options are configured. See Previewing a Test on page 131 for more information.
Assignment	**Category Ownership** - Clicking on this button displays the Categories Owned By Other Administrators window, which allows you to take ownership of a Test or Question Category. See Test and Question Category Ownership on page 139 for more information. **DKT** - Clicking on this button displays the DKT Assignment layout. See Assigning a Test to a Document Knowledge Transfer Document on page 136 for more information.
Scores	**View Scoring Reports** - See Viewing Scoring Reports on page 140 for more information. **Score Essays** - See Scoring Essay Questions on page 148 for more information.

The **Compliance Testing Administration** layout is divided into two separate panes: **Tests** and **Test Options**. The following table briefly describes each pane.

Pane	Description
Tests	Displays a list of tests associated with the selected test category and options to create a new test, copy an existing test, create a new test category, and edit an existing test category. For information about creating test categories, see Creating Test Categories on page 101. For information about creating a new test, see Creating Tests on page 117.

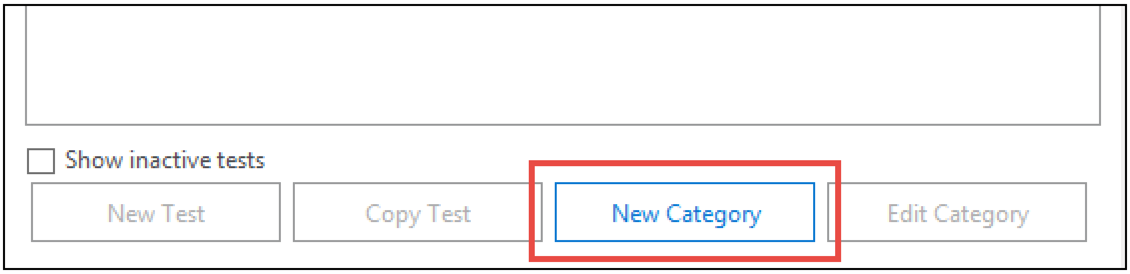
Pane	Description
Test Options	The **Settings** section contains the configurable options when creating a test. See Creating Tests on page 117 for more information. The **Questions** section contains a list of questions that are linked to the selected test in the **Tests** pane, and allows you to create, remove, or add existing questions to the selected test. See Creating Questions on page 109 for more information.

Creating Test Categories

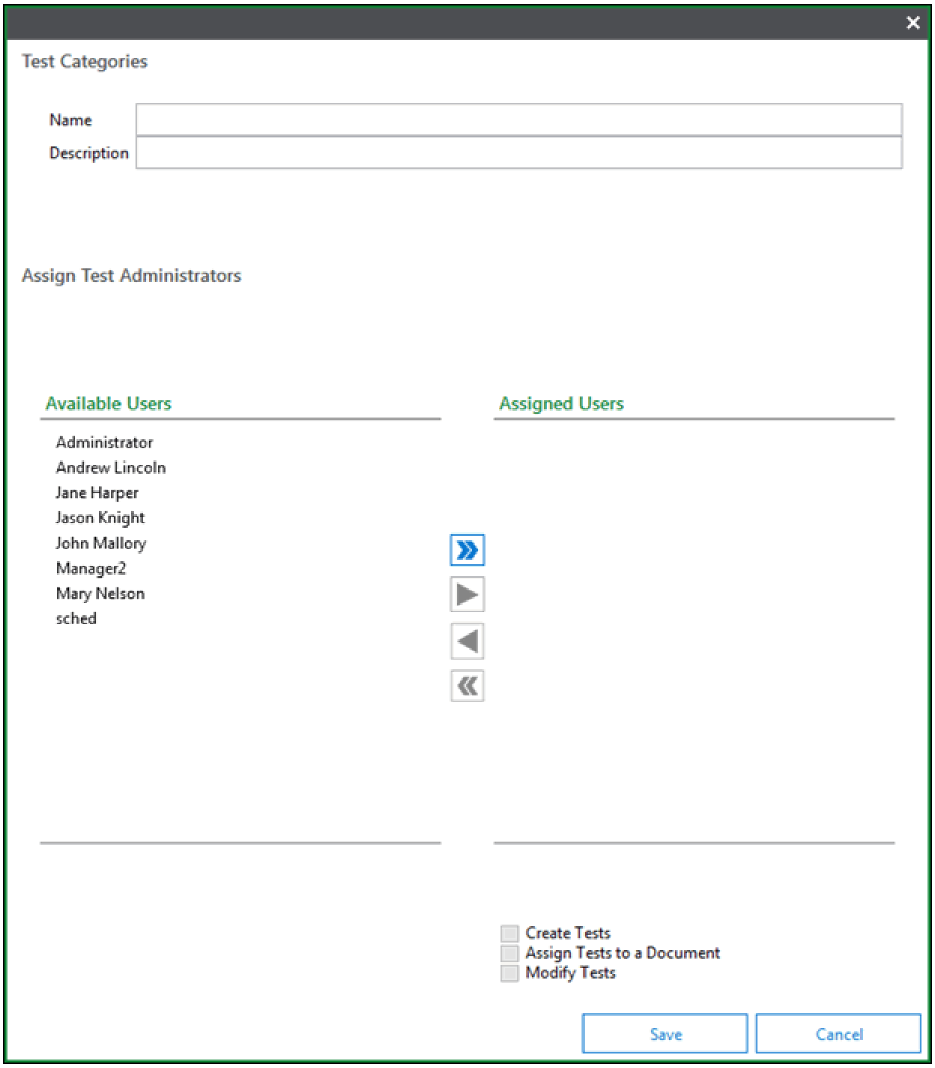
Test categories are used to group tests together.

To create a test category:

1. In the **Tests** pane of the Administration layout, click the **New Category** button.



2. The **Test Categories** layout is displayed.



3. In **Name**, type a name for the category.

Note: The maximum length for a category name is 100 characters.

4. In **Description**, type any text that describes the category.
5. If the category should be enabled, select the **Enabled** check box.
6. In the **Assign Test Administrators** section, select one or more users from the **Available Users** list and add them to the **Assigned Users** list.

7. Select one or more users from the **Assigned Users** list and assign additional rights using the following check boxes:

Check Box	Description
Create Tests	Select this option to allow the user to create tests. Users with this privilege can also modify or copy the tests they create.
Assign Tests to a Document	Select this option to allow the user to assign tests to a document. For more information on assigning tests to a document, see Assigning a Test to a Document Knowledge Transfer Document on page 136.
Modify Tests	Select this option to allow the user to modify tests.

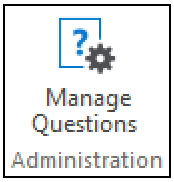
8. Click **Save**.
9. The category you created is displayed in the drop-down menu on the **Tests** pane.

To edit the test category, in the Tests pane, click the drop-down menu and select the test category, then click the **Edit Category** button:

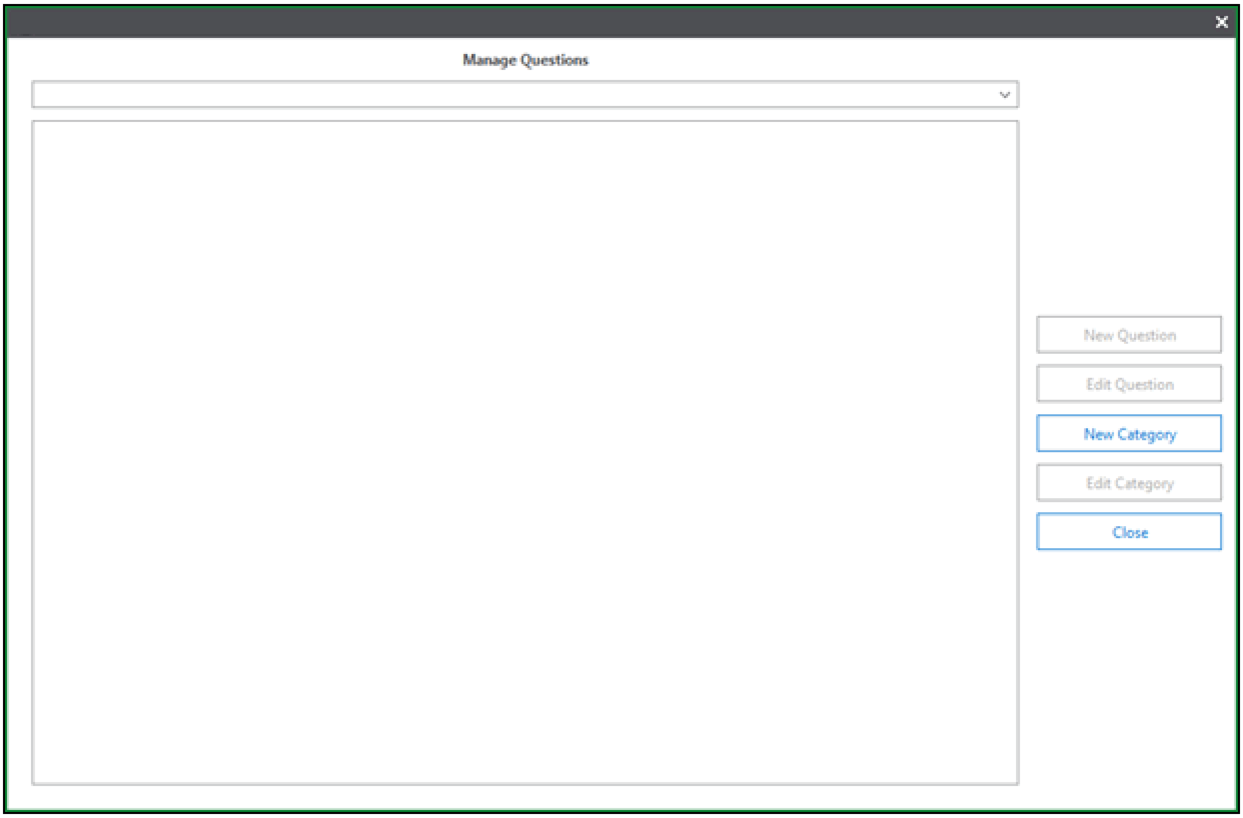
Proceed to step 2 above.

Question Management

Compliance Testing question categories and questions are created and managed in the **Manage Questions** layout. To access the Manage Questions layout, click the **Manage Questions** button in the ribbon menu:



The **Manage Questions** layout is displayed:



The following actions are available:

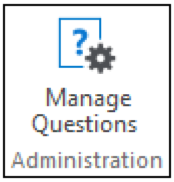
Action	Description
New Question	Click to create a new test question. See Creating Questions on page 109 for more information. **Note:** A question category must be created before questions can be created.

Action	Description
Edit Question	Click to edit an existing test question. **Note:** Questions belonging to a test which has been completed by a user cannot be edited.
New Category	Click to create a new Question Category. See Creating Question Categories on page 105 for more information.
Edit Category	Click to edit an existing Question Category.
Close	Click to close the Manage Questions layout.

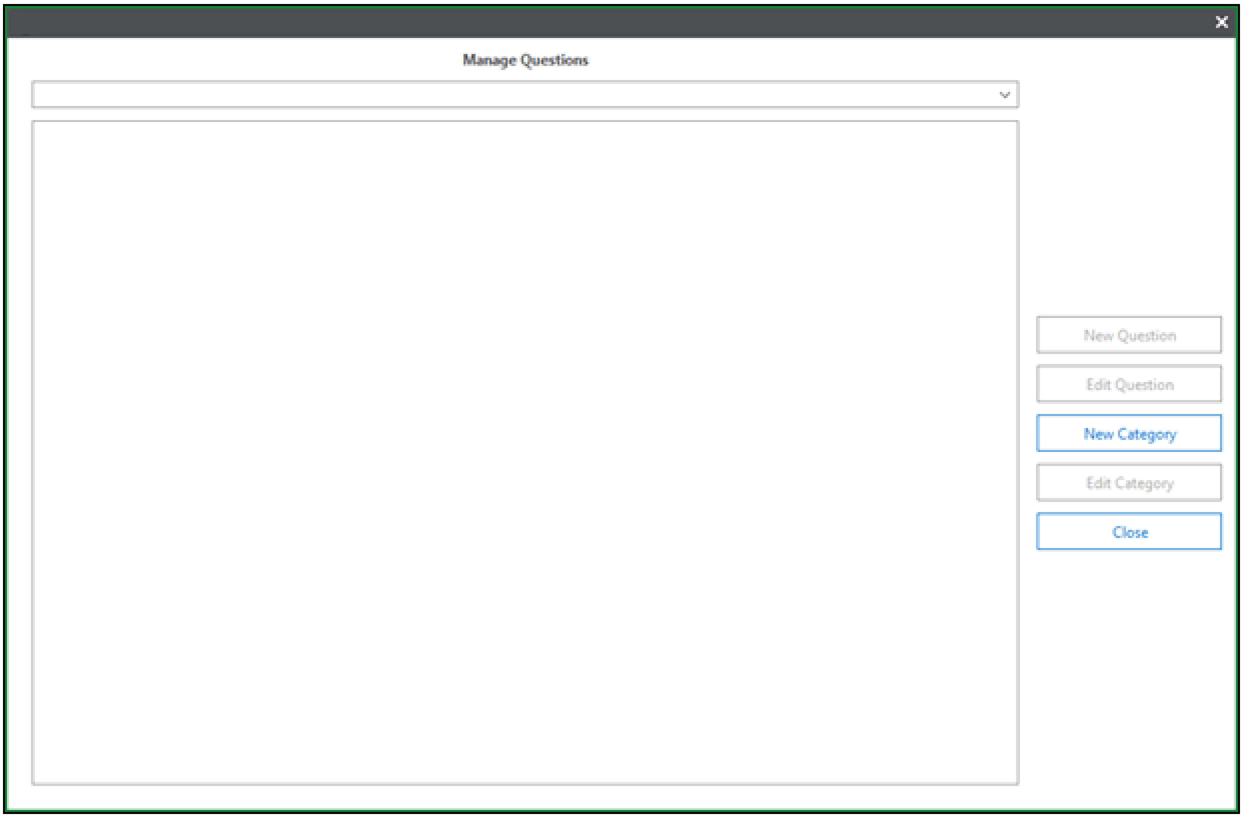
Creating Question Categories

Question categories are used to group questions. To create question categories from the Unity Client's **Compliance Testing Administration** layout:

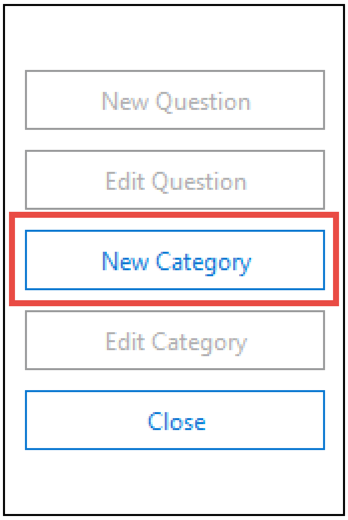
1. On the **Compliance Testing** tab, in **Administration**, click **Manage Questions**:



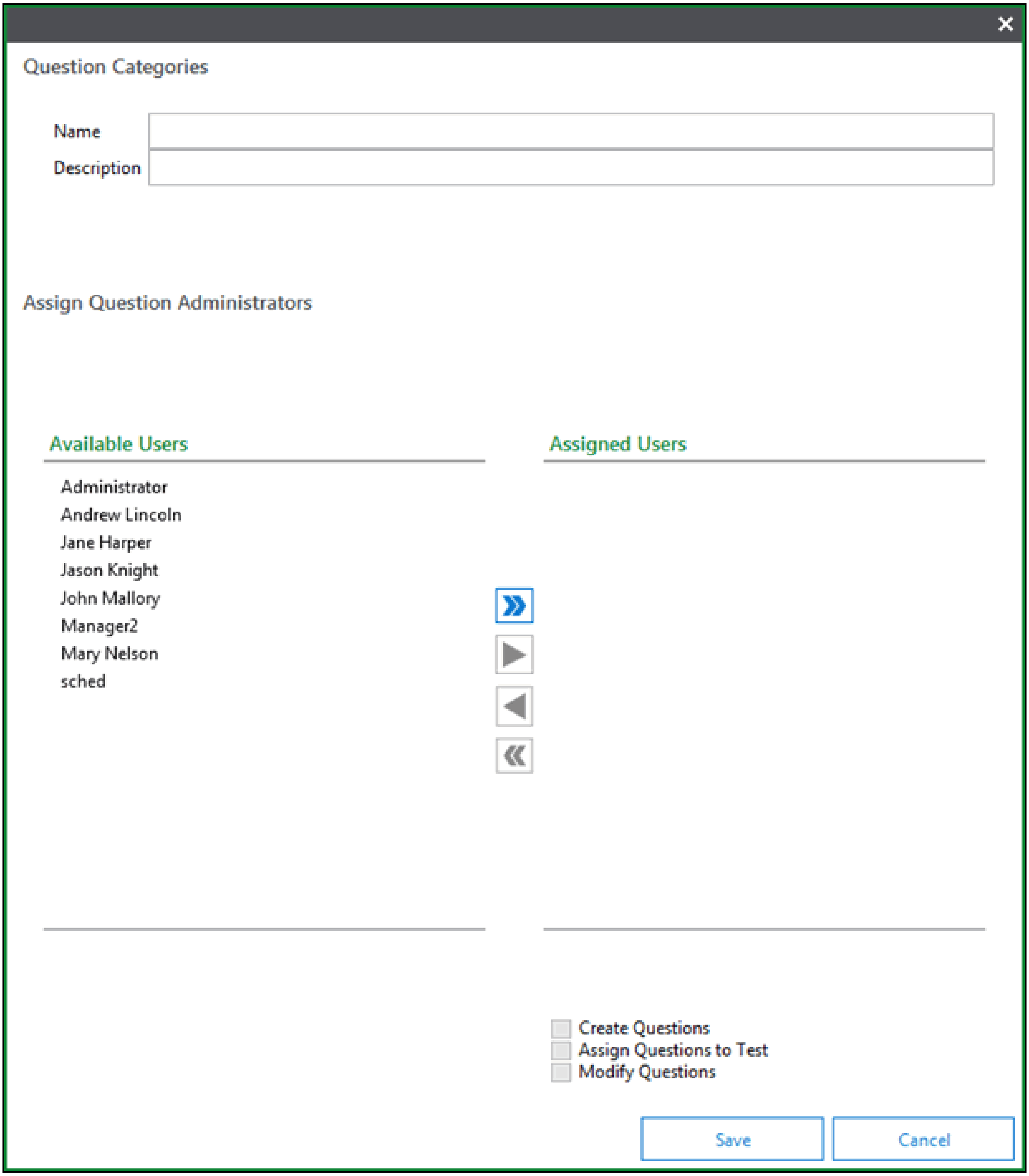
2. The **Manage Questions** layout is displayed:



3. Click the **New Category** button:



The **Question Categories** layout is displayed:



4. In **Name**, type a name for the question category.

Note: The maximum length for a question category name is 100 characters.

5. In **Description**, type any text to describe the question category.

6. In the **Assign Question Administrators** pane, select one or more users from the **Available Users** list and add them to the **Assigned Users** list.
7. Select one or more users from the **Assigned Users** list and assign additional rights using the following check boxes:

Check Box	Description
Create Questions	Select to allow the user to create questions. Users with this privilege can also modify the questions they create.
Assign Questions to a Test	Select to allow the user to assign questions to a test.
Modify Questions	Select to allow the user to modify questions. This includes the question text, answers, and feedback.

8. Click **Save**.
9. The question category you created is displayed in the drop-down select box in the **Manage Questions** layout.

To edit a question category, select it in the drop-down select menu and click **Edit Category**. Proceed to step 2 above.

Creating Questions

Test questions are created in the question creation wizard. The wizard is accessed from the **Manage Questions** dialog box or from the **Test Options** pane.

See one of the following sections on accessing the question creation wizard:

- Accessing the Question Creation Wizard from the Manage Questions Dialog Box on page 109
- Accessing the Question Creation Wizard from the Test Options Pane on page 110

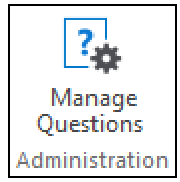
For instructions on creating questions in the question creation wizard, see Creating Questions in the Question Creation Wizard on page 111.

Accessing the Question Creation Wizard from the Manage Questions Dialog Box

The **Manage Questions** dialog box is accessed from the **Compliance Testing** layout.

To access the question creation wizard from the **Manage Questions** dialog box:

1. Select **File | Administration | Compliance Testing Administration**. The **Compliance Testing** layout is displayed.
2. From the **Compliance Testing** ribbon, in the **Administration** ribbon group, click the **Manage Questions** button.



The **Manage Questions** dialog box is displayed.
3. Click the **New Question** button. The question creation wizard is displayed.
4. Continue to Creating Questions in the Question Creation Wizard on page 111.

Accessing the Question Creation Wizard from the Test Options Pane

Questions can be created with the question creation wizard directly from the **Test Options** pane located in the **Compliance Testing** layout. You must already have a test created that exists in the **Tests** pane but has not been used for testing. To create a test, see Creating Tests on page 117.

To access the question creation wizard from the **Test Options** pane:

1. Select **File | Administration | Compliance Testing Administration**. The **Compliance Testing** layout is displayed.
2. From the **Tests** pane, select a test category from the drop-down list. Available tests for that category are displayed.
3. Select the test you want to create questions for.

Note: Tests completed by a user cannot be edited to add new questions, remove questions, or revise questions already added to the test.

4. From the **Test Options** pane, under the **Questions** section, click the **Create New Question** button.

Note: The **Create New Question** button is only available if you were given the **Create Questions** privilege. For more information on assigning this privilege, see Creating Question Categories on page 105.

The question creation wizard is displayed.
5. Continue to Creating Questions in the Question Creation Wizard on page 111.

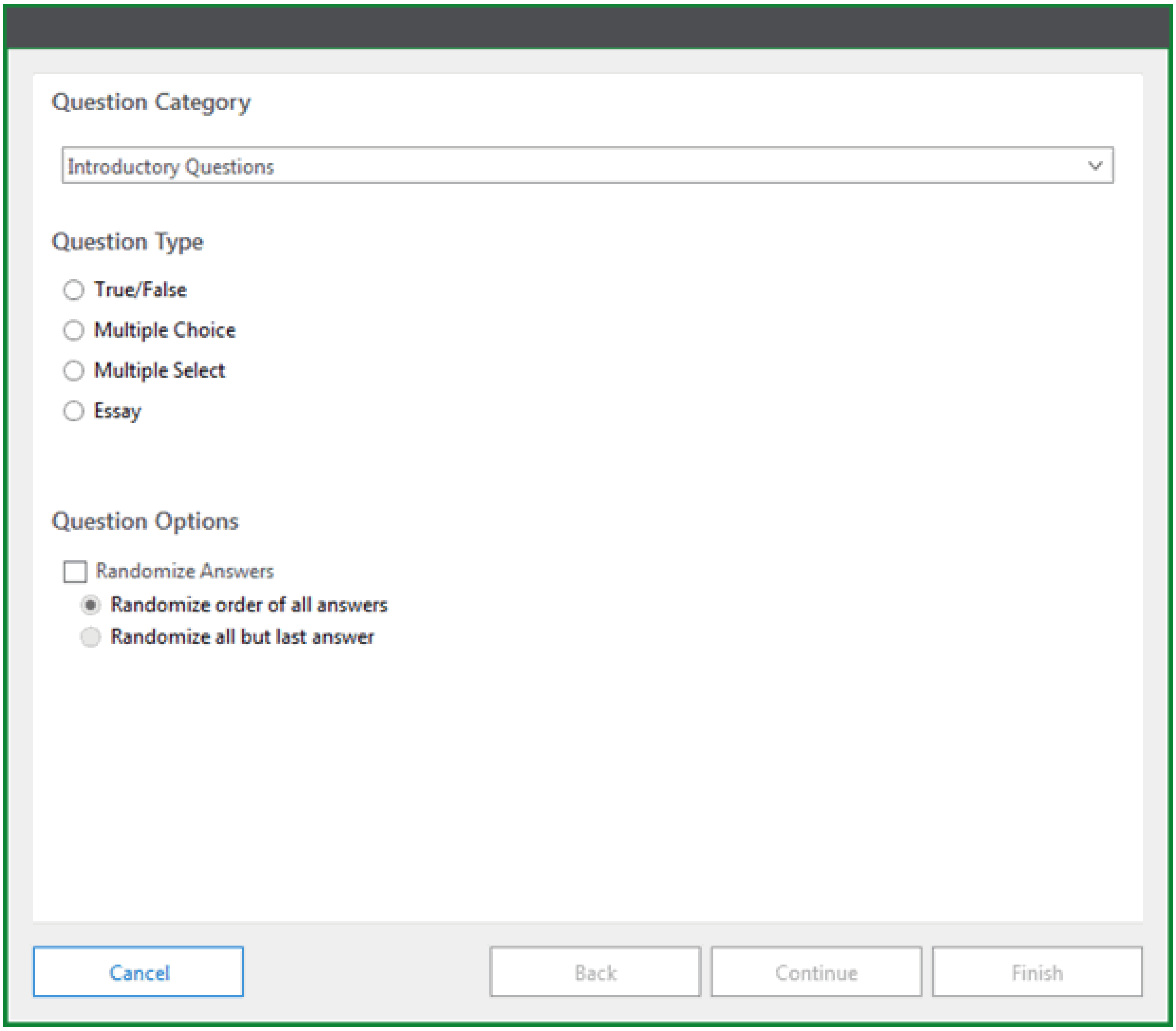
Creating Questions in the Question Creation Wizard

You can create different types of questions for tests using the question creation wizard. The question creation wizard guides users through each step of the question creation process.

To create questions in the question creation wizard:

1. Open the question creation wizard in one of the following ways:
   - From the **Manage Questions** dialog box, see Accessing the Question Creation Wizard from the Manage Questions Dialog Box on page 109.
   - From the **Test Options** pane, see Accessing the Question Creation Wizard from the Test Options Pane on page 110.

   The question creation wizard is displayed.



2. In the **Question Category** drop-down list, select a question category.

Note: You can create question categories as needed. For more information on creating a question category, see Creating Question Categories on page 105.

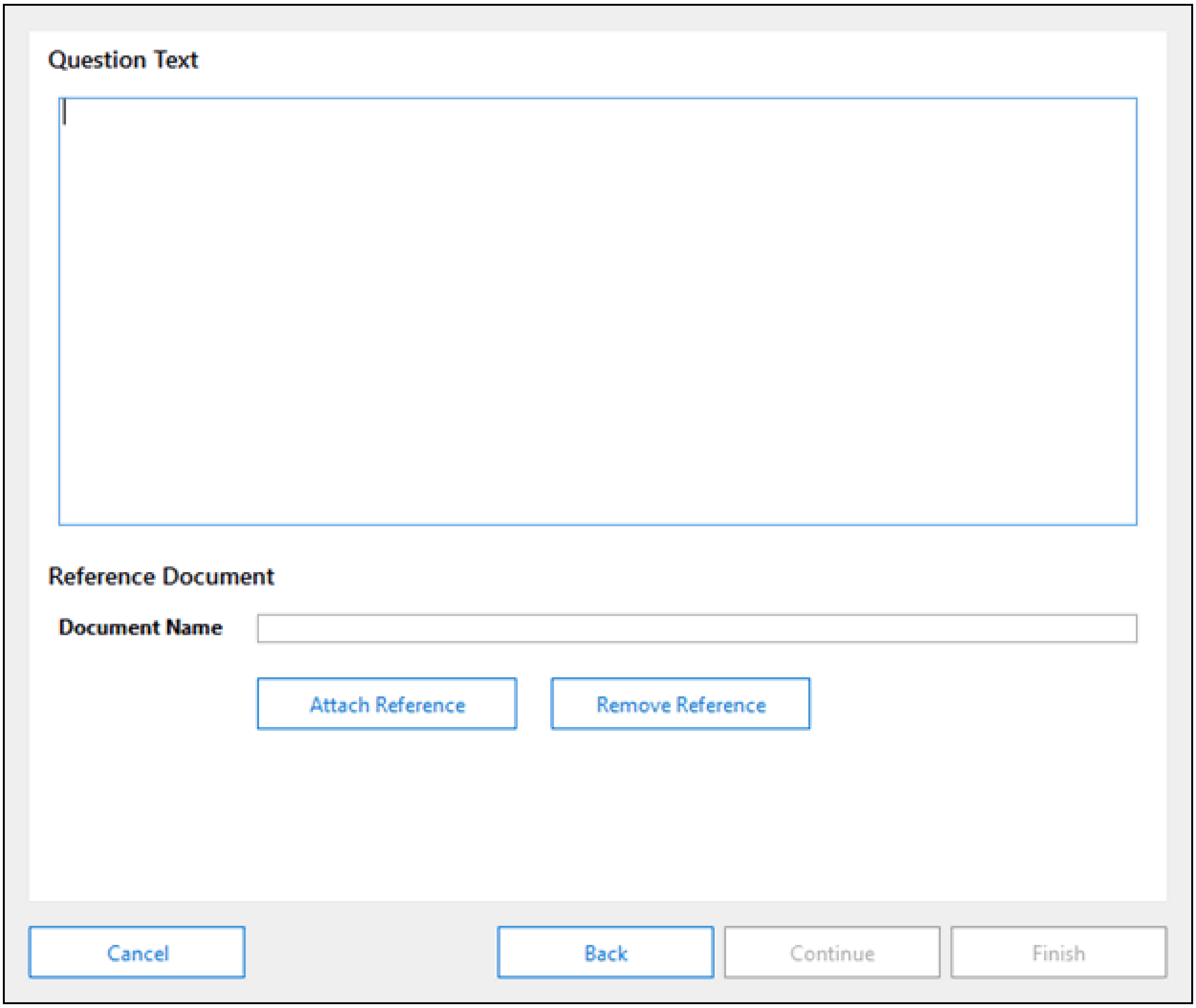
3. From the **Question Type** section, select one of the following:

Question Type	Description
True/False	Select if the question requires a true or false answer.
Multiple Choice	Select if the question requires a multiple choice answer. Users are presented with radio buttons for multiple choice questions.
Multiple Select	Select if the question requires multiple answers. Users are presented with check boxes for multiple select questions.
Essay	Select if the question requires an essay answer.

4. If you selected **Multiple Choice** or **Multiple Select** and want the answers to the question to appear in a random order, select **Randomize Answers** from the **Question Options** section and specify one of the following options.

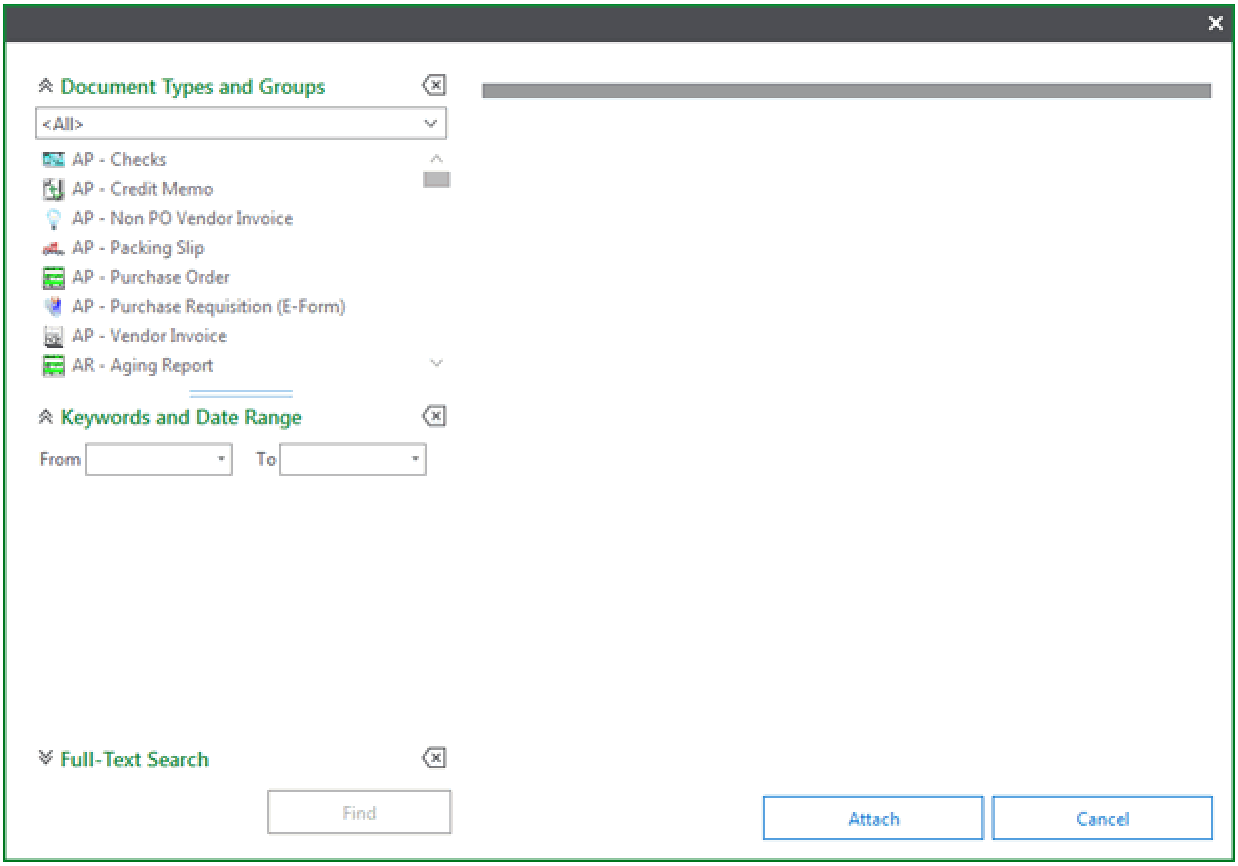
Question Options	Description
Randomize order of all answers	Select to randomize the order of all answers.
Randomize all but last answer	Select to randomize the order of all but the last answer. **Tip:** Select this option when creating a multiple choice question that has an “All of the Above” answer.

5. Click **Continue**. The question text page is displayed.



6. In the **Question Text** field, type the question to ask the user.

7. If a reference document should be attached to this question, click the **Attach Reference** button. The **Document Retrieval** window is displayed.



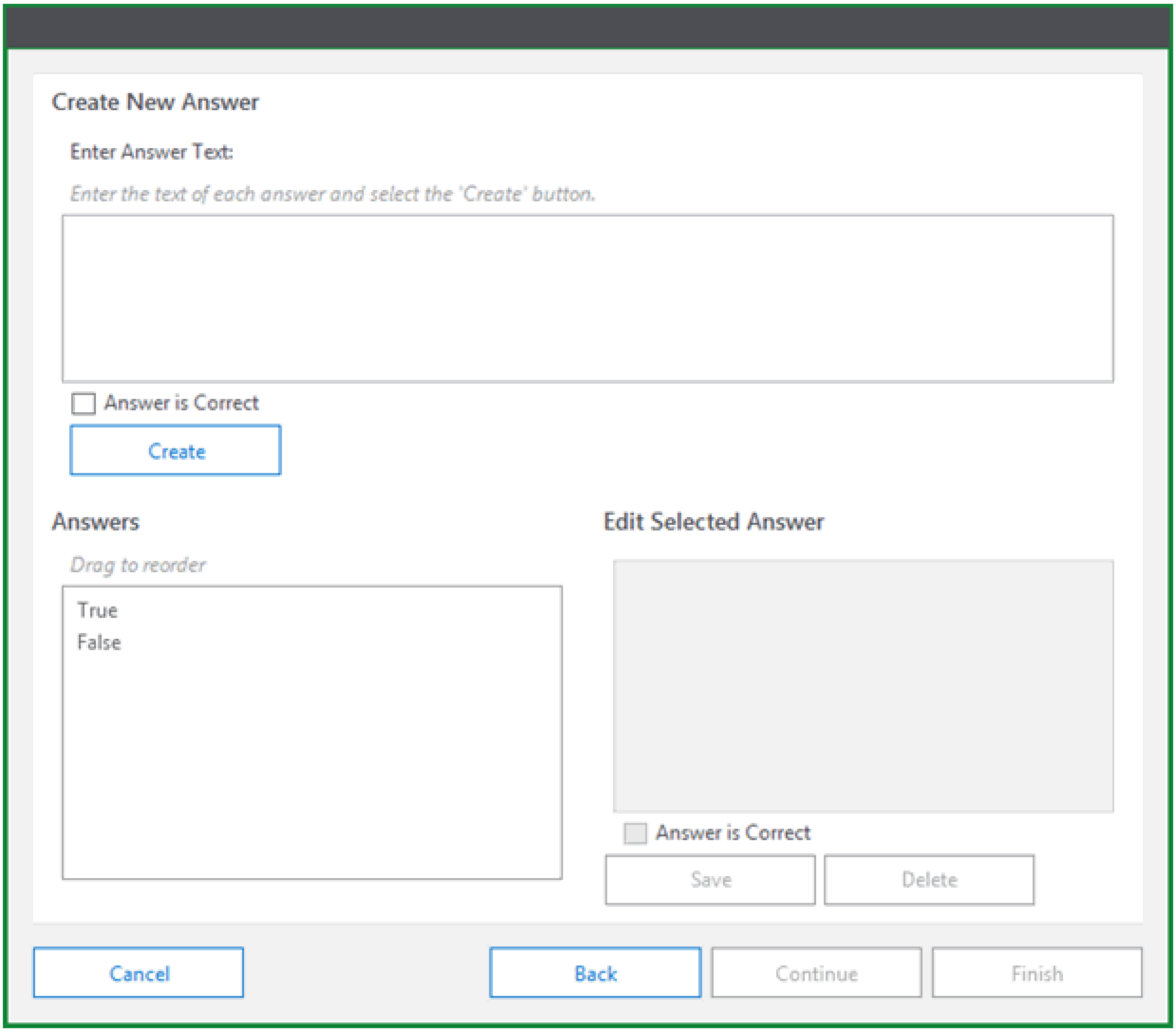
To attach a reference document:

a. Search for the document using Document Types and Keyword Values.
b. Select a document from the search results pane.
c. Click **Attach**.The document retrieval layout is closed and the **Document Name** field in the question creation wizard is populated with the auto-name string of the OnBase document.

Note: Users can view reference documents they would not normally have rights to view if the document is attached to a test assigned to the user. This is similar to the way documents are viewed through Document Knowledge Transfer.

---

8. Click **Continue**. The create new answer page is displayed.



Note: The create new answer page is not displayed for essay questions.

9. In the **Enter Answer Text** field, type a potential answer to the question that you are creating.

   If the answer is the correct answer, select **Answer is Correct**.
10. Click **Create**. The answer is displayed in the **Answers** pane.
11. Create additional answers as needed.
12. If necessary, you can edit an answer you created.

    To edit an answer:

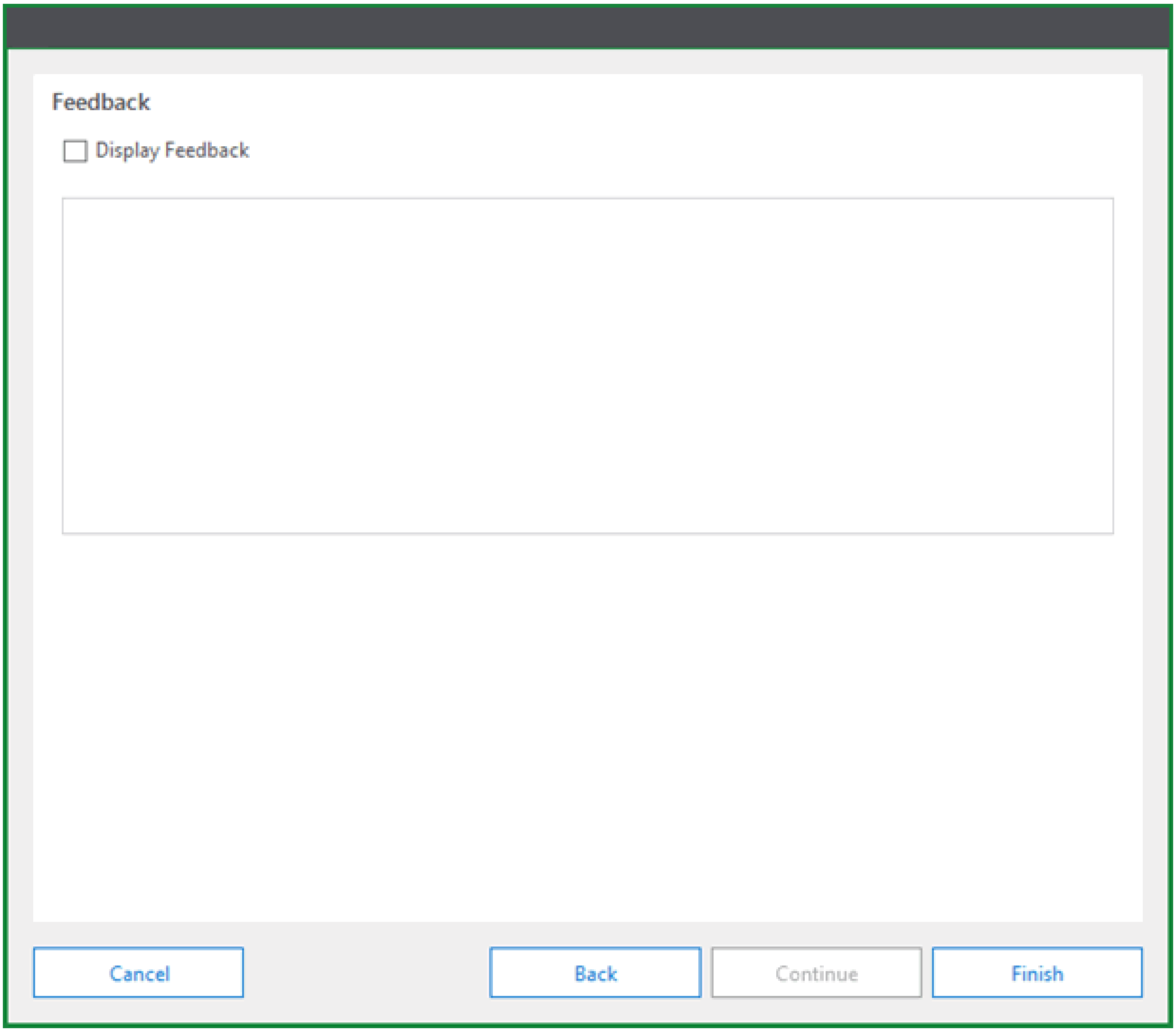
    a. Select the answer you want to edit in the **Answers** pane.

    b. In the **Edit Selected Answer** pane, edit the text of the answer you selected. If the answer you edited is the correct answer for the question, select **Answer is Correct**.

c. Click **Save**.

Note: You can also re-order the answers in the **Answers** pane by dragging and dropping, or delete an answer by selecting it and clicking **Delete**.

13. Click **Continue**. The **Feedback** page is displayed.



14. Select **Display Feedback** to display any information you want the user to know about the question once the user submits the test. This information is displayed below the question.
15. Enter the feedback you want displayed in the empty field below the **Display Feedback** option.

16. Click **Finish**. The question you created is displayed in the **Questions** section of the **Test Options** pane.

    The following information is displayed for each question in the **Questions** section.

Column	Description
ID	The numeric ID of the question.
Type	The type of question. For example, **Essay**.
Text	The text of the question.

17. To edit a question from the **Questions** section, double-click the question or select the question and click **Edit Question**. Follow the instructions for Accessing the Question Creation Wizard from the Test Options Pane on page 110.

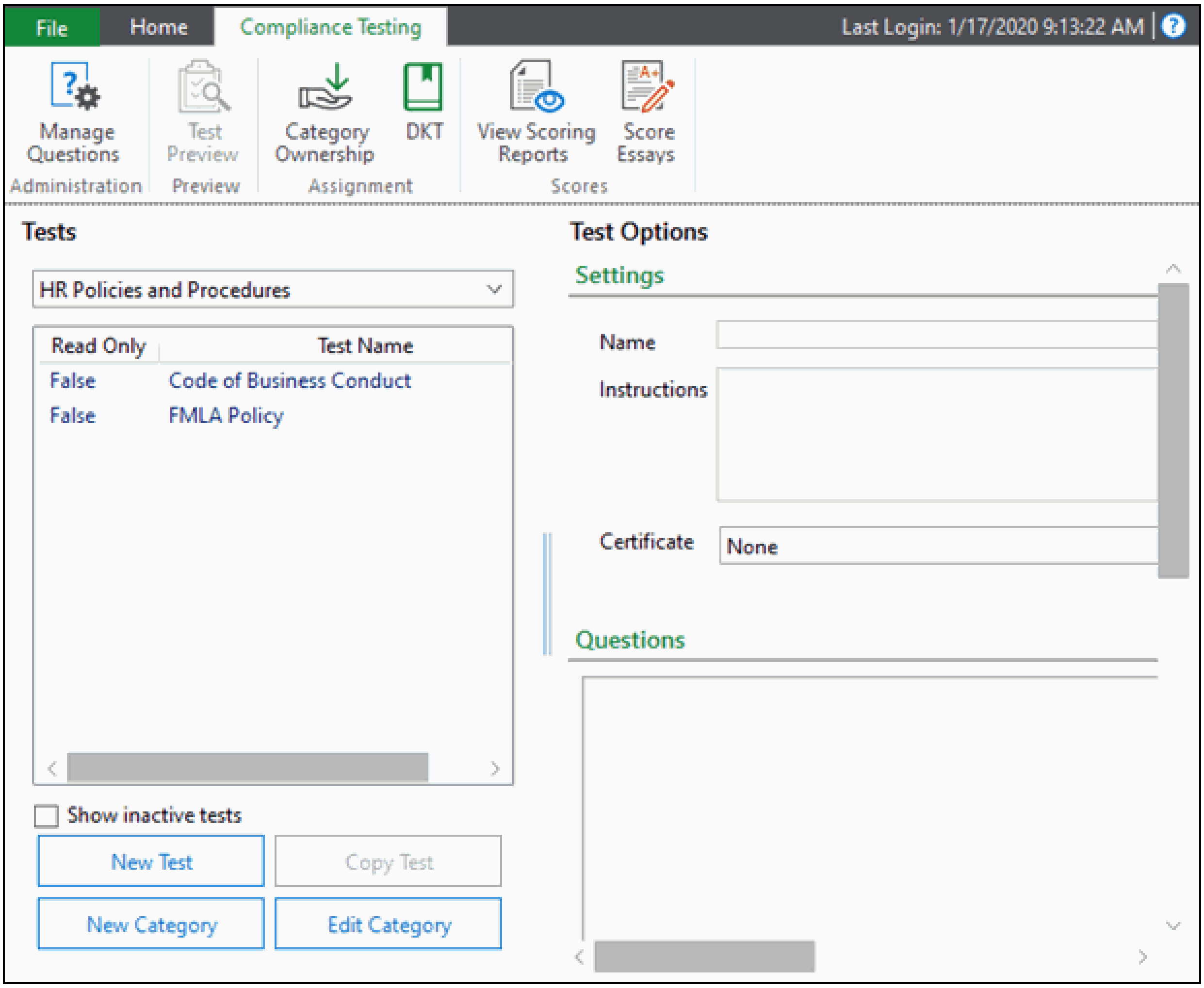
Note: A test and the questions assigned to it cannot be modified after an instance of the test was taken.

Creating Tests

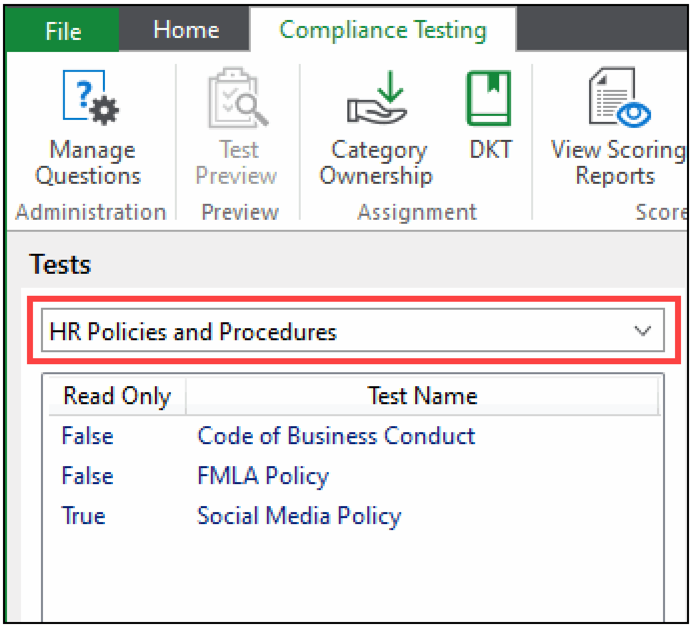
Creating a test allows you to create a comprehensive assessment for users in a specific test category, for example, HR policies and procedures.

To create a test:

1. Select **File | Administration | Compliance Testing Administration**. The **Compliance Testing** layout is displayed.



2. In the **Tests** pane, select a test category from the drop-down list.



   A list of tests belonging to the selected category is displayed.
3. Click **New Test**. The **Test Options** pane is now enabled.
4. From the **Test Options** pane, in the **Settings** section, enter a name for the test in the **Name** field.

Note: The maximum length for a name is 100 characters.

5. In the **Instructions** field, enter instructions for taking the test.

6. In the **Certificate** drop-down list, select from the following options:

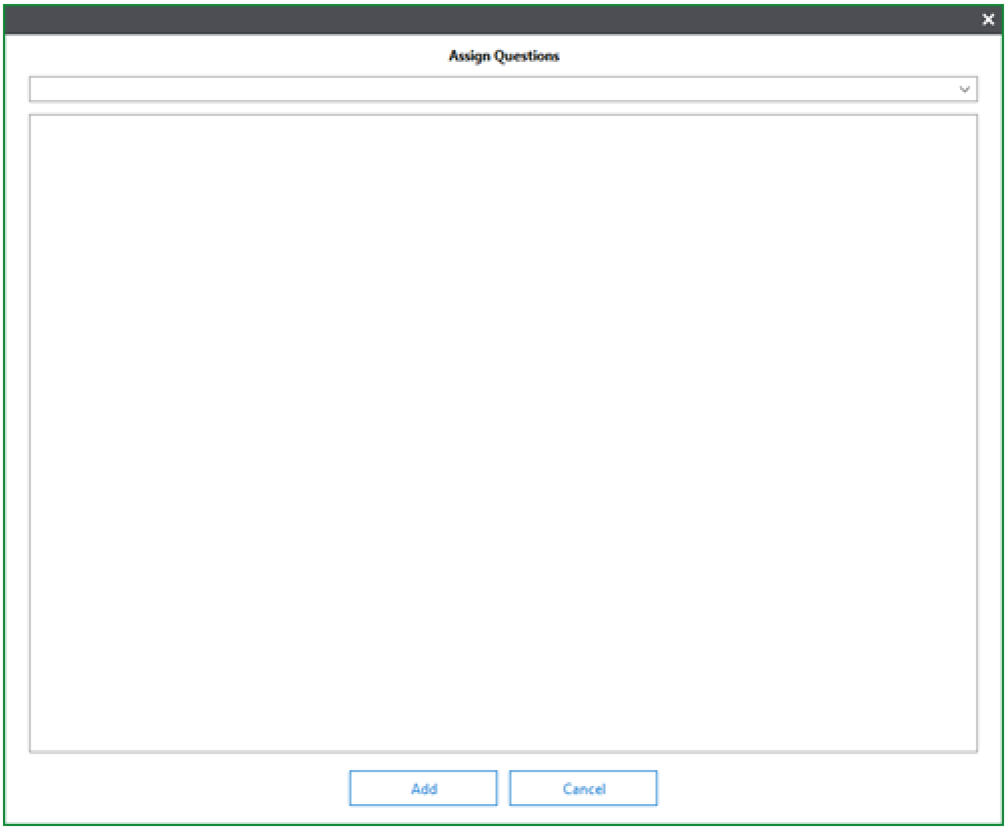
Option	Description
None	A certificate is not generated for the user upon completion of a test.
Always Generate Certificate	A certificate is always generated for the user when a test is completed. When this option is selected, the **Customize** button is enabled. For more information on customizing the compliance certificate, see Customizing Compliance Test Certificates on page 126.
Generate Certificate on Pass	A certificate is only generated for the user if a passing score is attained. When this option is selected, the **Customize** button is enabled. For more information on customizing the compliance certificate, see Customizing Compliance Test Certificates on page 126.

Tip: You can configure testing certificates to use the **SYS Compliance Certificates** Document Type or a custom Document Type. For more information on configuring the **SYS Compliance Certificates** Document Type, see The SYS Compliance Certificates Document Type on page 150. For more information on configuring a custom Document Type, see Customizing Compliance Test Certificates on page 126.

7. In the **Questions** section, do one of the following:
   - Add existing test questions.
   - Create new test questions.

Note: For more information on creating new questions for a test, see Creating Questions on page 109.

8. To add an existing test question, click **Add Existing Question**. The **Assign Questions** dialog box is displayed.



9. Select a question category from the drop-down list. The questions belonging to that category are displayed in the field below the drop-down list.
10. Select a question and click **Add** to add it to the test. Select multiple questions by pressing the **Ctrl** key while clicking on each question. The added questions are displayed in the **Questions** section of the **Test Options** pane.

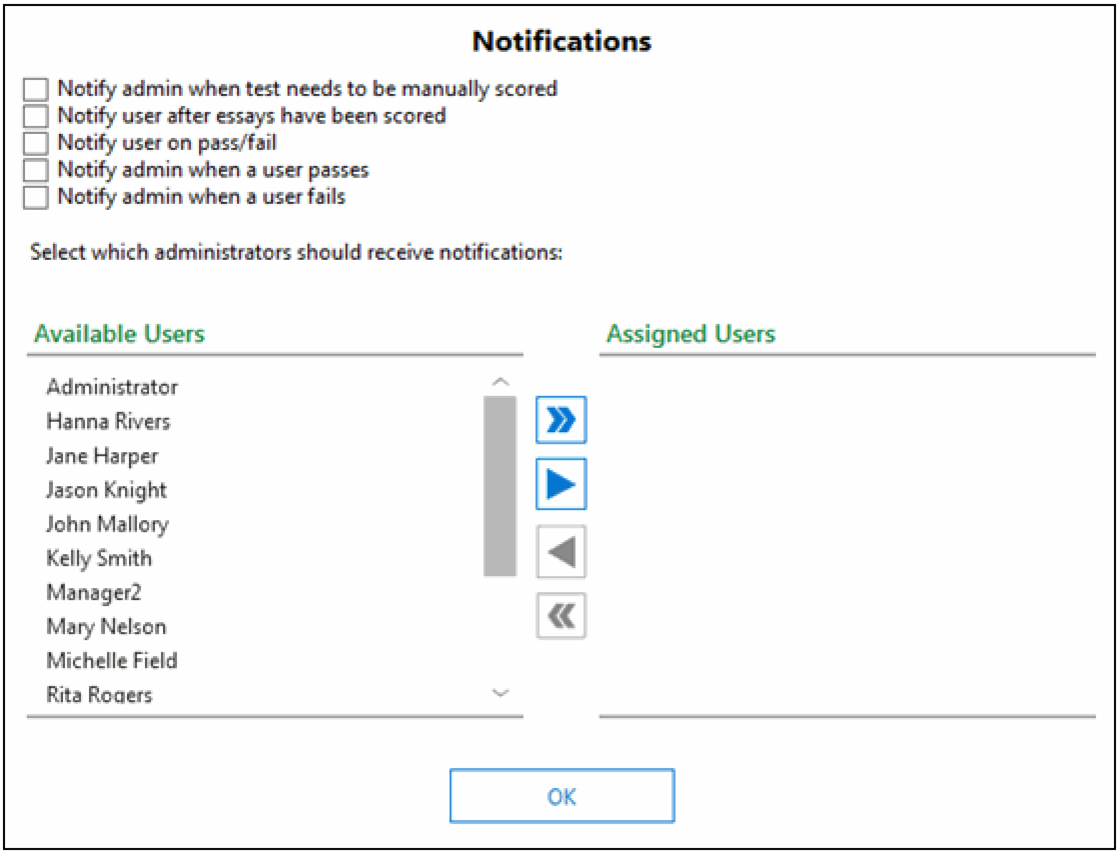
Tip: Questions can be re-ordered in the **Questions** section by clicking and dragging a question to a new position.

11. To remove a question from the test, select the question to be removed and click **Remove Question**.

12. Select the following options if desired:

Option	Description
Minimum number of correct answers to pass	Allows assigned tests to be scored. Enter the minimum number of questions the user must answer correctly to pass the test in the corresponding field.
Allow Retries	Allows users to retry an assigned test if they failed the last attempt. The following options are available: • **Infinite Retries**: Allows users to retry an assigned test as many times as needed. • **Maximum number of retries allowed**: Allows users to only retry an assigned test a specified number of times. Enter the allowed number of retries in the corresponding field.
Allow Practice Test	Allows users to take a practice test before attempting the assigned test. **Note:** Practice tests cannot be saved or continued at a later date. Practice test results are not visible in scoring reports and certificates are not generated upon completion. From the corresponding drop-down list, select any existing test to use as the practice test. Select **Use same questions on practice test** to create a practice test from the questions on the currently selected test. **Tip:** It is considered a best practice to offer feedback on practice tests featuring essay questions. Essay questions in practice tests are scored as correct regardless of user input.
Randomize Questions	Allows questions on the test to be placed in a random order for each attempt. The following options are available: • **Randomize order of all questions**: Places every question on the test in a random order. • **Randomize all but last question**: Places every question except the last question on the test in a random order. **Tip:** Select **Randomize all but last question** when creating a test that has a feedback question at the end.

13. Click **Notifications** if you want to configure notifications for the DKT administrator or notifications to the user taking the test. The **Notifications** dialog box is displayed.

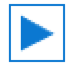


14. Select any of the following options as necessary:

Option	Description
Notify admin when test needs to be manually scored	An email is sent to the selected administrators when a user completes a test that includes an essay question which needs to be scored by an administrator.
Notify user after essays have been scored	An email is sent to a user when a test he or she completed that contained an essay question was scored.
Notify user on pass/fail	An email is sent to a user when he or she completes a test to notify him or her whether he or she passed or failed.
Notify admin when a user passes	An email is sent to the selected administrators when a user passes a test.
Notify admin when a user fails	An email is sent to the selected administrators when a user fails a test.

15. Select administrators that should receive notifications from the **Available Users** list. You do not need to specify any administrators if you have not selected any notifications that are sent to administrators.

16. Click **Add Selected Items** to add the selected users to the **Assigned Users** list.

    Or, click **Add All Items** to add all users to the **Assigned Users** list.

17. Click **OK**. Your notification preferences are saved.
18. Click **Save**. The created test is displayed in the **Tests** pane.

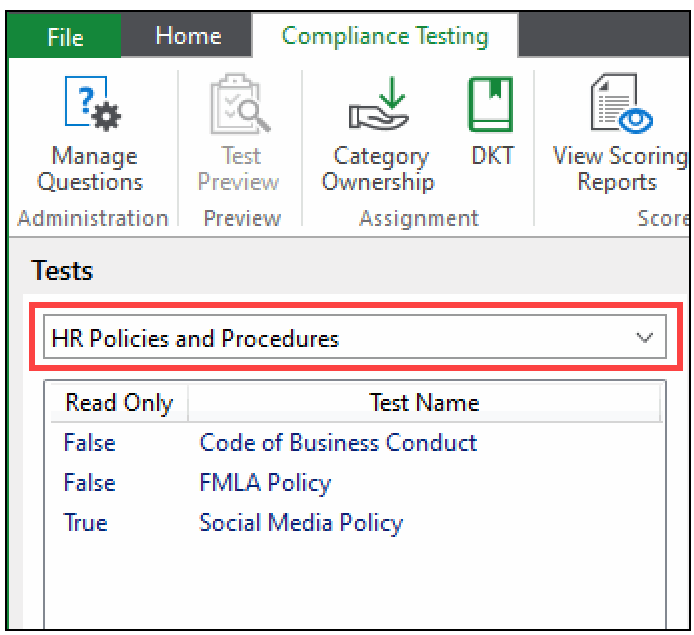
Editing a Test

You can edit a test to change questions or options that were applied.

Note: You can only edit tests that were not taken by a user.

To edit a test:

1. From the **Tests** pane in the **Compliance Testing Administration** layout, select a test category from the drop-down select list.

    A list of tests belonging to the test category is displayed.
2. Select a test whose **Read Only** status is **False**. The **Test Options** pane is now available. Edit any options or questions as necessary.

Note: If the **Read Only** status of a test is **True**, this indicates an instance of the test was taken and the test and questions assigned to it cannot be modified.

3. From the **Test Options** pane, click **Save**.

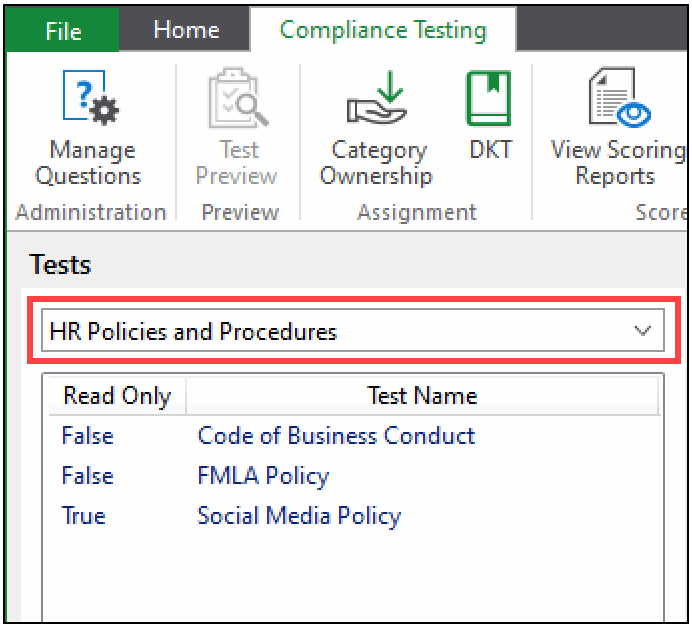
Copying a Test

If you are assigned the **Create Tests** privilege for a test category, you can create copies of tests in those test categories assigned to you. When you copy a test, all questions and the order in which they appear are copied. You can remove questions from the copied test and add new questions if you are assigned to question categories.

Note: Copies of inactive tests are marked active by default.

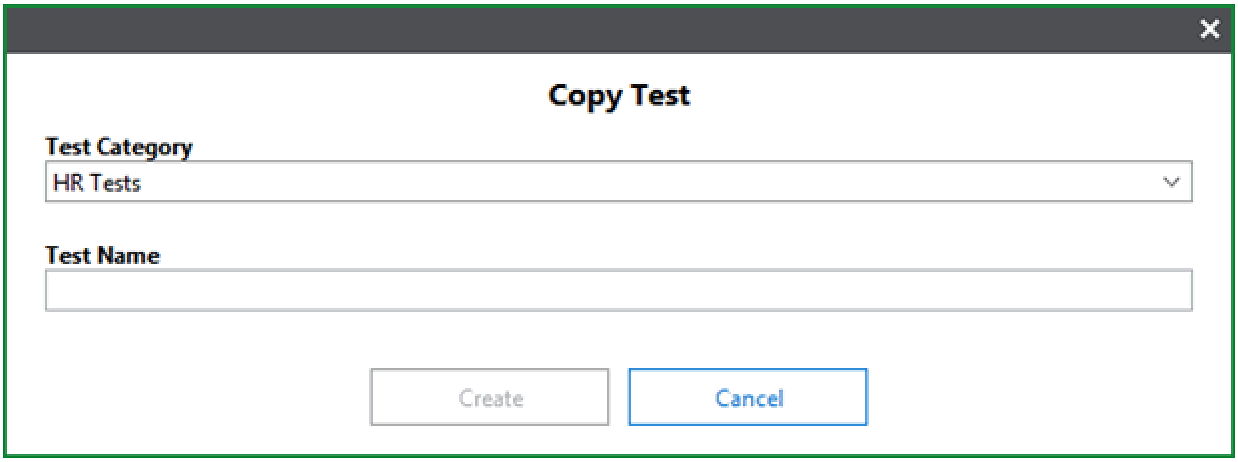
To copy a test:

1. From the **Tests** pane in the **Compliance Testing Administration** layout, select a test category from the drop-down select list.

   A list of available tests from that test category is displayed.

2. Select the test to copy and click **Copy Test**. The **Copy Test** window is displayed.



The test category selected at the beginning of this procedure is displayed by default.

3. Enter a new name for the copied test in the **Test Name** field.

Note: The maximum length for a name is 100 characters.

4. Click **Create**. The newly copied test is now listed in the **Tests** pane.

Customizing Compliance Test Certificates

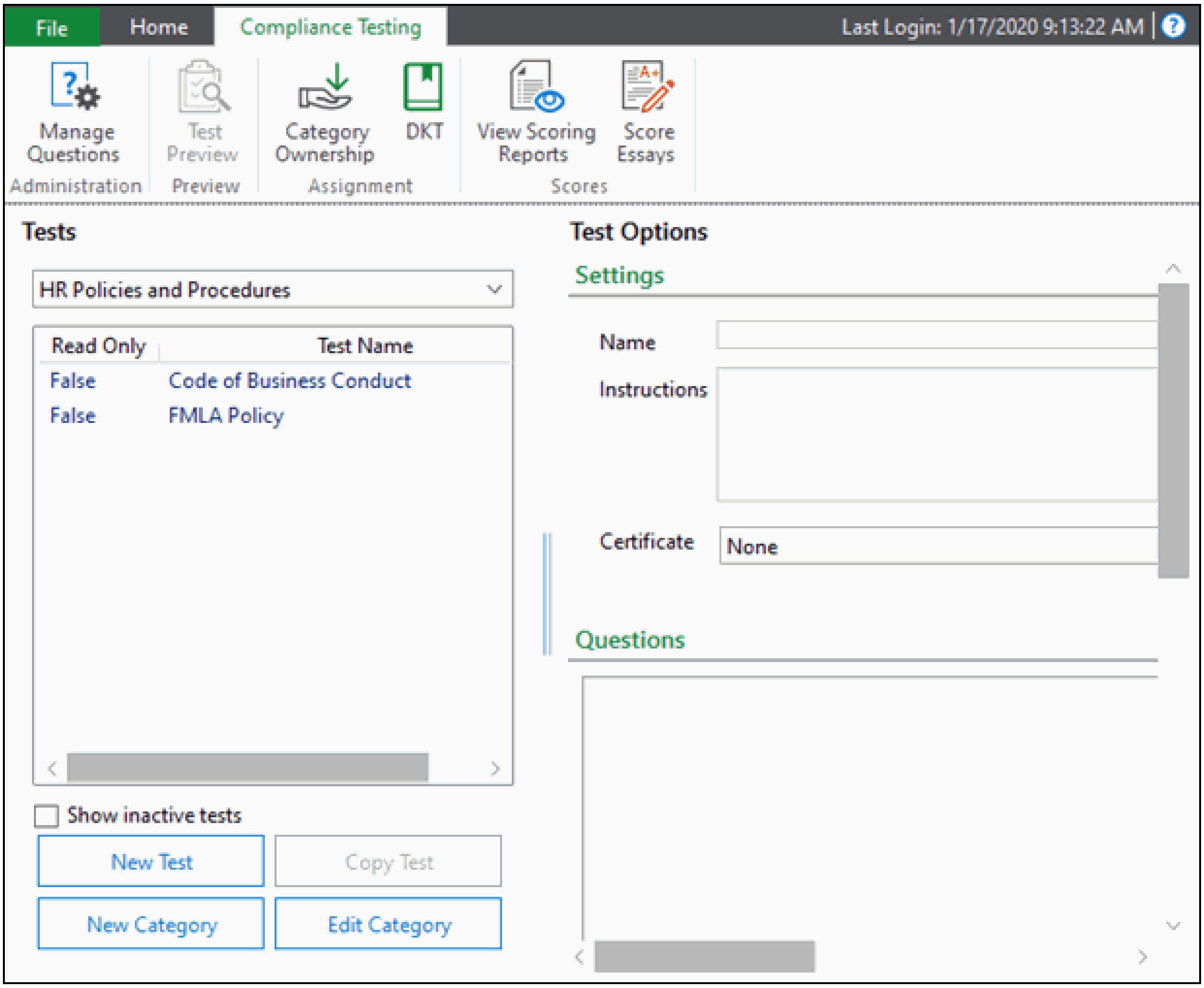
A compliance test certificate can be created as a documented reference of the completion of a compliance test by the user. You can choose to customize these generated compliance test certificates to use a specific Document Type with custom Keyword Types.

You can customize test certificates if you have selected **Always Generate Certificate** or **Generate Certificate on Pass** when creating a compliance test.

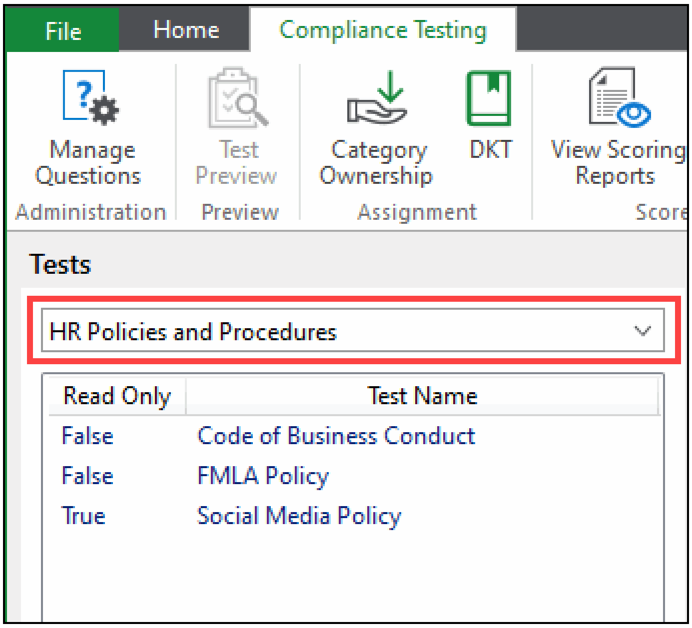
If you have not already created a test and assigned a certificate to it, see Creating Tests on page 117.

To customize compliance test certificates:

1. Select **File | Administration | Compliance Testing Administration**. The **Compliance Testing** layout is displayed.



2. From the **Tests** pane, select a test category from the drop-down list that contains the test with a compliance certificate you want to customize.



A list of tests belonging to the selected category is displayed.

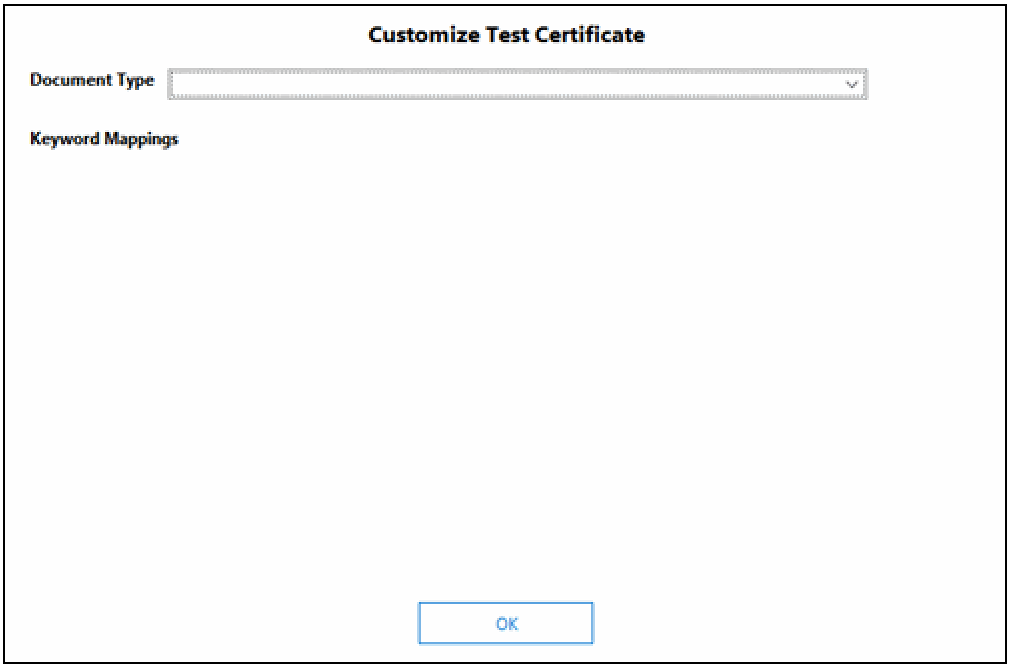
3. Select the test from the list of tests with the compliance certificate you want to customize.

Note: You must select a test that was not completed by a user. Tests already completed by a user cannot be edited. Tests that can be edited have a status of **False** in the **Read Only** column.

4. In the **Test Options** pane, from the **Certificate** drop-down list, an option may already be selected from the initial creation of the test. However, if necessary, you can select a different option from the following list of options:

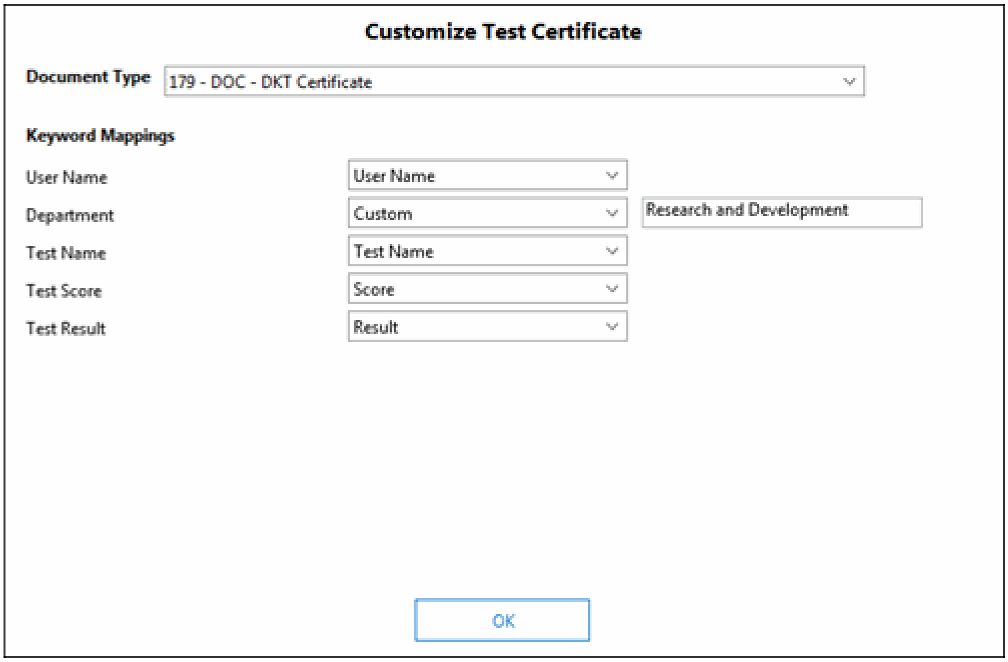
Option	Description
None	This option should not be selected for this procedure because, if selected, a certificate is not generated for the user upon completion of a test.
Always Generate Certificate	A certificate is always generated for the user when the test is completed, even if a passing score is not achieved.
Generate Certificate on Pass	A certificate is only generated for the user when the test is completed and a passing score is achieved.

5. Click **Customize**. The **Customize Test Certificate** dialog box is displayed.



6. Select a Document Type from the **Document Type** drop-down list that you want to associate with compliance certificates.

7. From the **Keyword Mappings** section, map the compliance testing values provided in the corresponding drop-down lists to the Keyword Types for the selected Document Type.



The following compliance testing values are available:

DKT Keyword Type	Description
None	No values are displayed on the certificate for the corresponding Keyword Type of the Document Type.
Test ID	The ID number of the test is displayed on the certificate.
Test Name	The name of the test is displayed on the certificate.
Associated Document ID	The ID number of the document associated with the assigned test is displayed on the certificate.
User ID	The ID number of the user who completed the test is displayed on the certificate.
User Name	The user name or the real name of the user who completed the test is displayed on the certificate. **Note:** Whether the certificate displays the user name or the real name of the user depends on your Global Client Setting configuration. See the **System Administration** module reference guide for more information.

DKT Keyword Type	Description
Score	The number of questions answered correctly by the user is displayed on the certificate.
Result	The result of the test is displayed on the certificate. The result is displayed as either **Passed** or **Failed**.
Custom	The entered value is displayed on the certificate. When this option is selected, a text field is displayed to enter a custom Keyword Value.

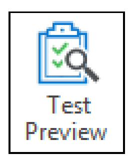
8. Click **OK**. Your custom settings are saved.

Previewing a Test

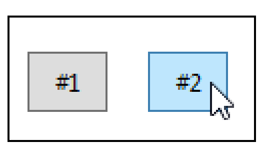
After you create a test, you can preview it before you assign it to users. This allows you to navigate through the assigned questions, seeing the question text, answers, and feedback.

To preview a test in the **Compliance Testing Administration** layout:

1. In the **Tests** pane, select a **Test Category** from the drop-down select box.
   A list of available tests is displayed.
2. Select the test to preview.
3. Click the **Test Preview** button:



4. The first question in the test is displayed.
5. Review the question.
6. Click **Continue** to proceed to the next question.
7. Repeat the above steps for additional questions on the test.
   Use the **Back** button to return to the previous question, or click the button that corresponds to the question:



Note: If a test has been randomized, the questions appear in random order. If answers have been randomized for a question, they appear in random order.

8. When you have navigated to the last question and are finished previewing the test, click **Finish**.

Marking a Test as Inactive

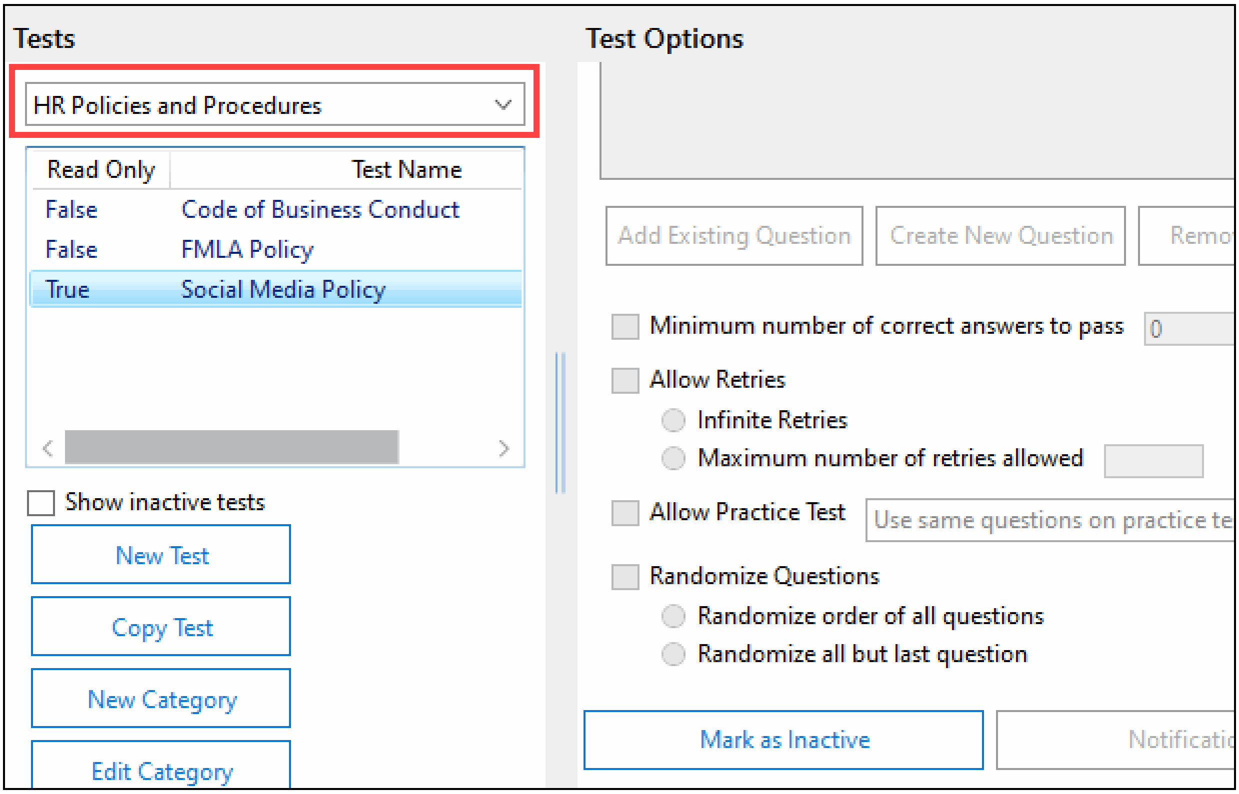
Tests created in DKT can be marked as inactive when not in use. Inactive tests are not shown in the **Compliance Testing Administration** layout unless **Show inactive tests** is selected. Inactive tests also are not shown in the **Score Essays** and **Scoring Reports** dialogs.

Inactive tests cannot be altered until reactivated.

Note: Before making a test inactive, unassign any Document Knowledge Transfer documents that are assigned to the test. For information on unassigning Document Knowledge Transfer documents from a test, see Assigning a Test to a Document Knowledge Transfer Document on page 136.

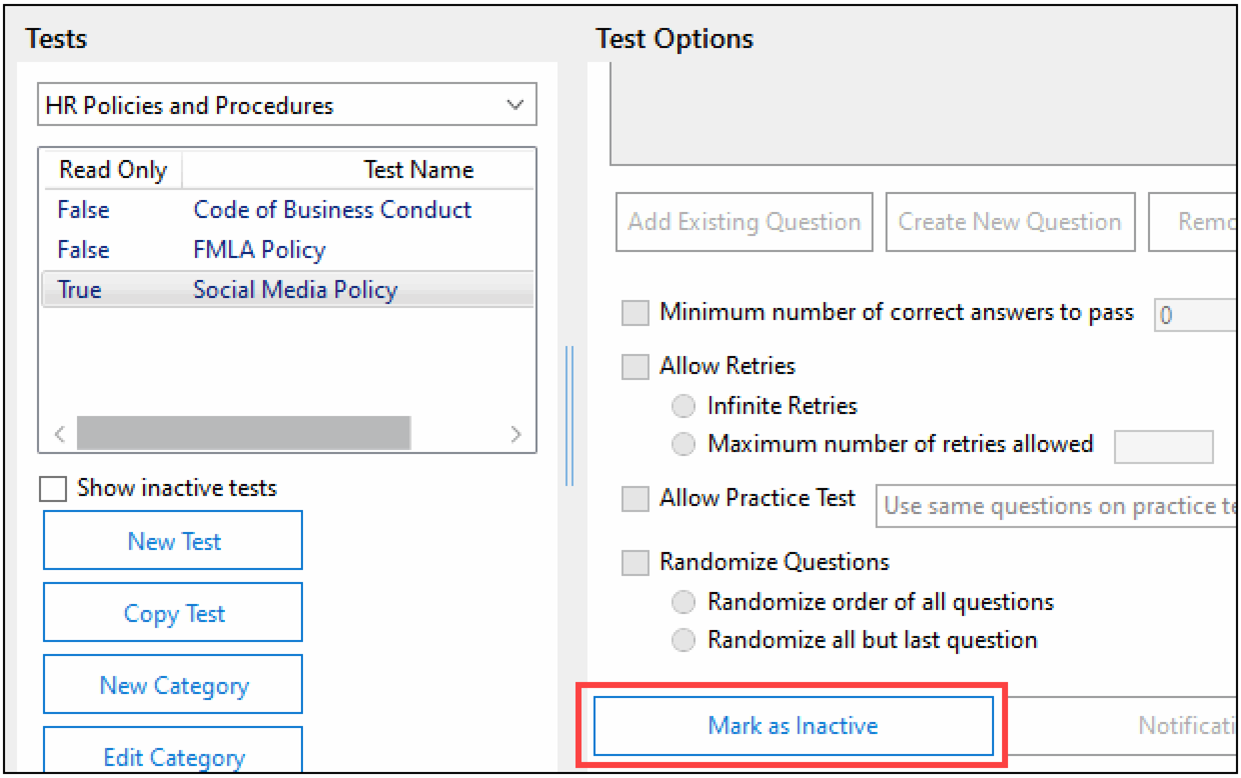
To mark a test as inactive:

1. From the Unity Client, select **File | Administration | Compliance Testing Administration**. The **Compliance Test Administration** layout is displayed.
2. From the **Tests** pane, select a test category from the drop-down list.



Tests associated with the selected test category are displayed.

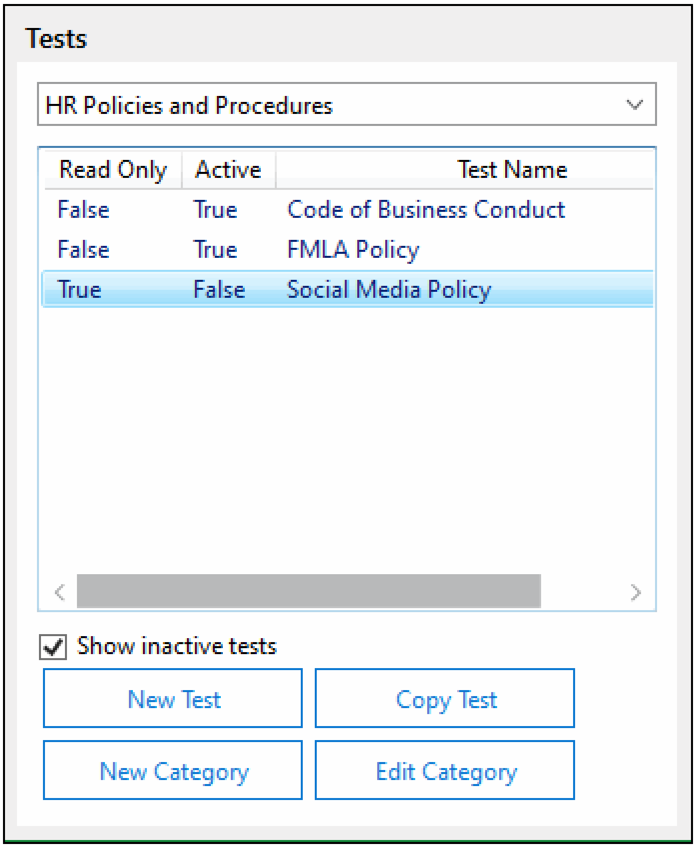
3. Select a test and click **Mark as Inactive** from the **Test Options** pane.



You are prompted to confirm this action.

Note: Any unsaved changes to the test are lost. DKT documents should be unassigned from the test before marking it inactive. See Assigning a Test to a Document Knowledge Transfer Document on page 136 for information on how to unassign documents from a test.

4. Click **Yes**. The test is removed from the list of tests in the **Tests** pane. If you have **Show inactive tests** selected, the test is still displayed, but the **Active** column now displays **False** for the selected test.

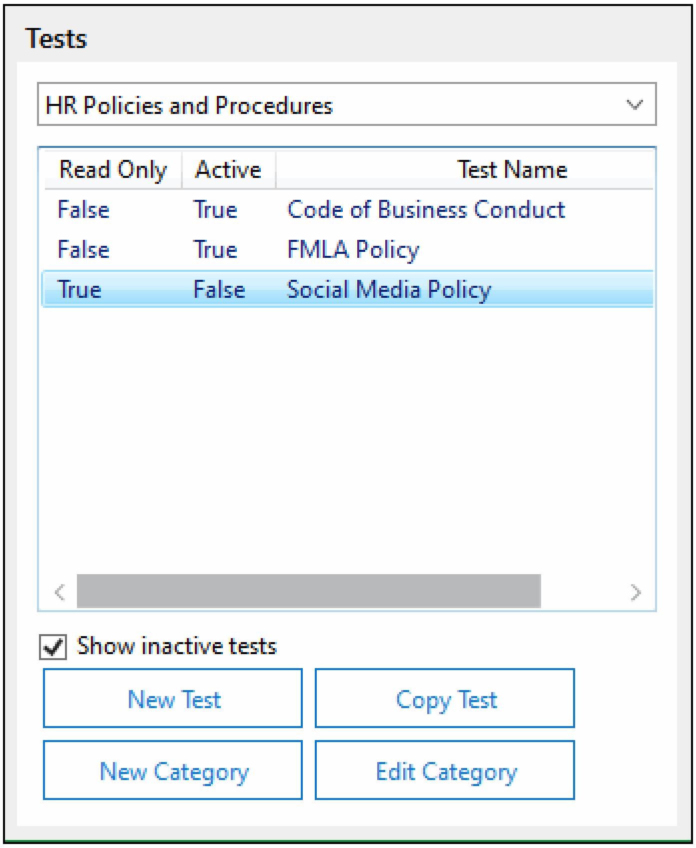


Reactivating a Test

Tests marked as inactive can be reactivated when the test is needed again.

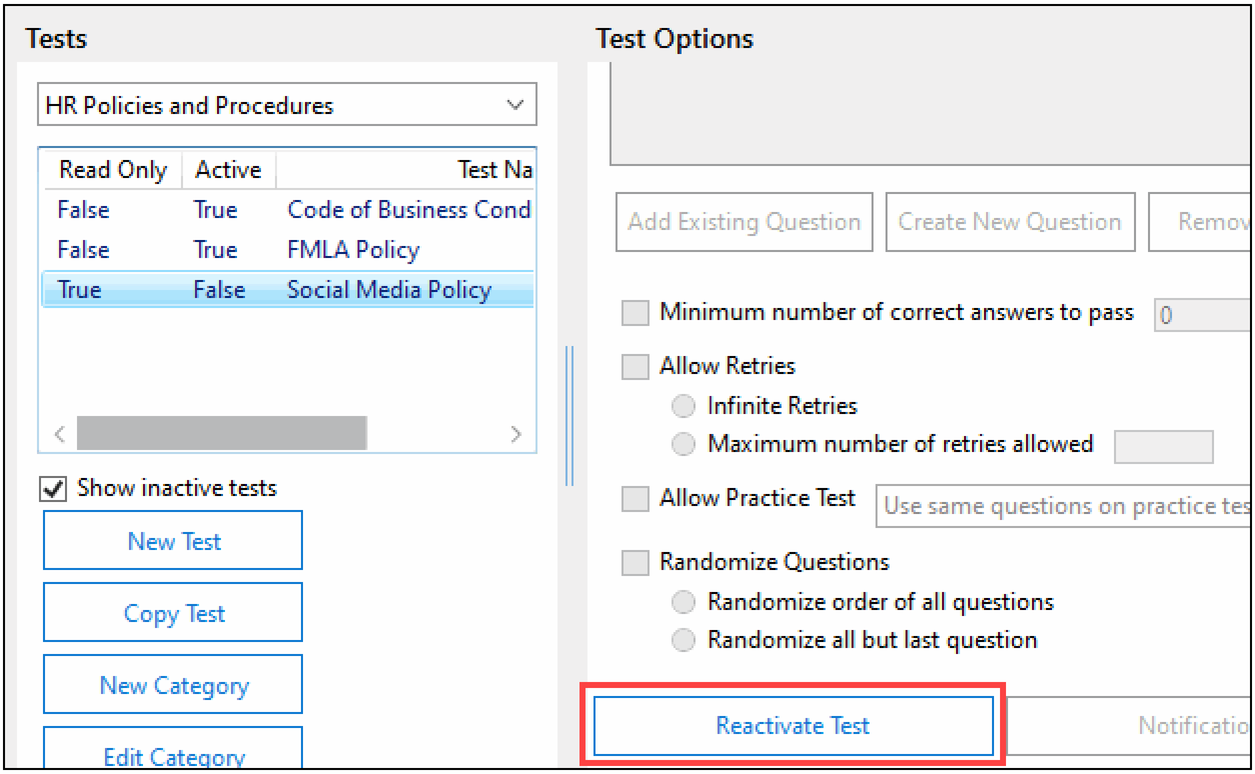
To reactivate a test:

1. From the Unity Client, select **File | Administration | Compliance Testing Administration**. The **Compliance Testing Administration** layout is displayed.
2. From the **Tests** pane, select **Show inactive tests** if it is not already selected.



Inactive tests are displayed in the **Tests** pane with a status of **False** in the **Active** column.

3. Select an inactive test and click **Reactivate Test** from the **Test Options** pane.



The test is reactivated and displayed in the **Tests** pane. DKT documents can now be assigned to the reactivated test. See Assigning a Test to a Document Knowledge Transfer Document on page 136 for information on how to assign documents to a test.

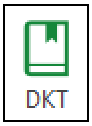
Assigning a Test to a Document Knowledge Transfer Document

After creating and configuring a test, you can assign it to a document in a Document Knowledge Transfer Reading Group. Multiple tests cannot be assigned to a document.

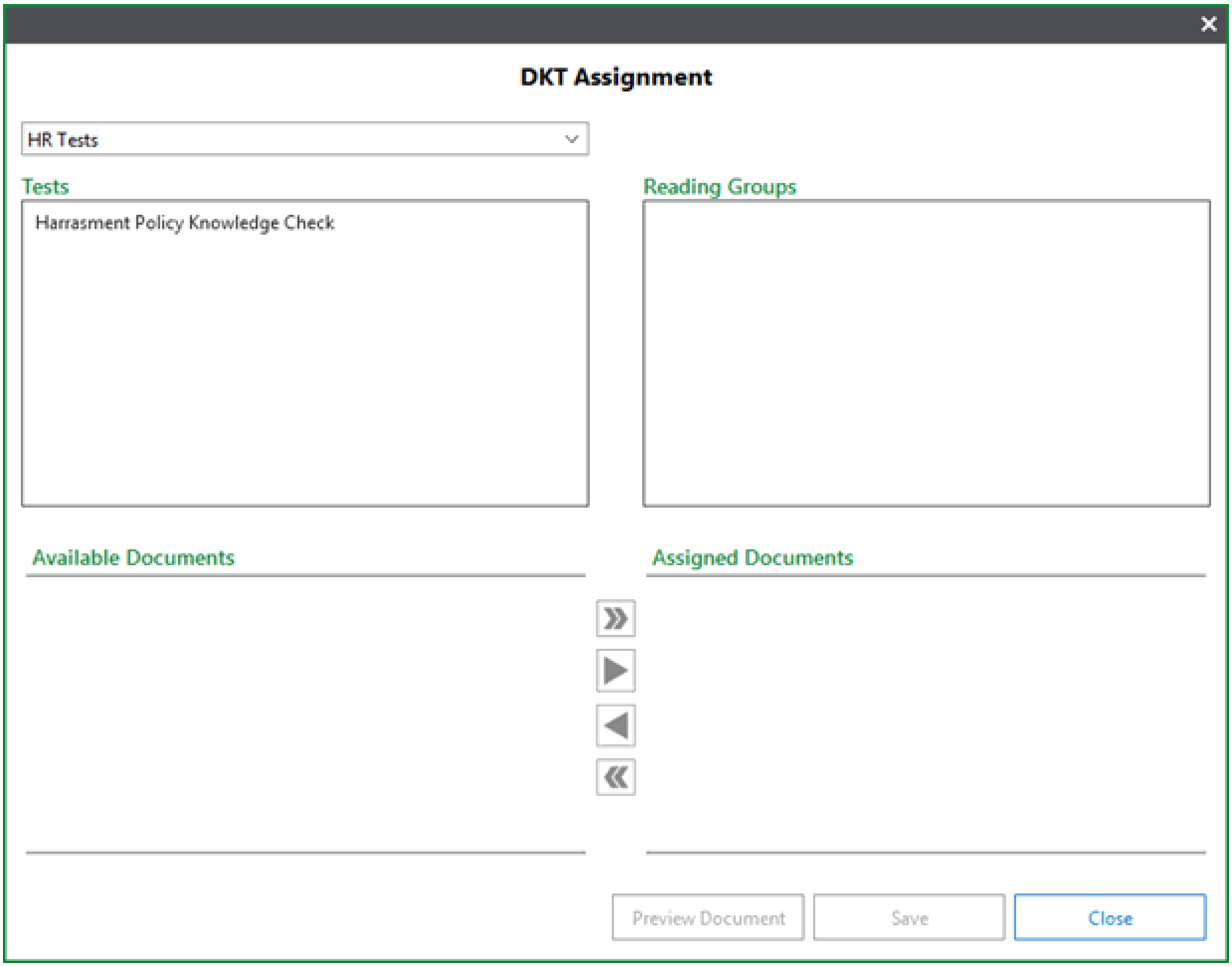
Note: To assign a test to a document, you must be a Reading Group Administrator.

To assign a test to a document:

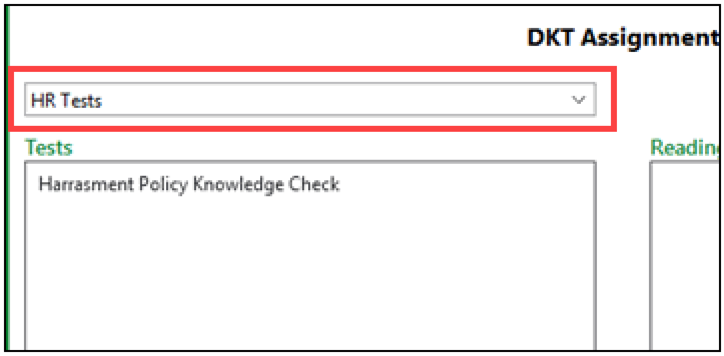
1. From the Unity Client, select **File** | **Administration** | **Compliance Testing Administration**. The **Compliance Testing** tab is displayed.
2. On the **Compliance Testing** tab, in **Assignment**, click the **DKT** button.



The **DKT Assignment** dialog box is displayed.



3. Select a test category from the drop-down list at the top left of the **DKT Assignment** dialog box. A list of tests associated with the selected test category is displayed in the **Tests** field.



4. Select a test to assign from the **Tests** field. A list of Reading Groups to which you are assigned is displayed in the **Reading Groups** field.
5. Select a Reading Group to assign the selected test to from the **Reading Groups** field. A list of documents assigned to the selected Reading Group is displayed in the **Available Documents** field.

Note: Documents that require approval are not shown in the **Available Documents** field until they are approved. Documents that are pending approval, are rejected, or are already assigned a test also will not appear in the **Available Documents** field.

6. Select a document from the **Available Documents** field. Select multiple documents by pressing the **Shift** key or **Ctrl** key while selecting a document.
7. To assign the test to the selected documents, click **Add Selected Items**.

To assign the test to all documents in the **Available Documents** list, click **Add All Items**.

The selected documents are displayed in the **Assigned Documents** field.
8. To preview an assigned document before saving, select an assigned document and click **Preview Document**. The document is displayed in a Document Viewer window.
9. To remove a test assignment from documents, select the documents in the **Assigned Documents** list and click **Remove Selected Items**.

To remove a test assignment from all documents in the **Assigned Documents** list, click **Remove All Items**.

10. Click the **Save** button to save changes.
11. Click **Close** to close the **DKT Assignment** dialog box.

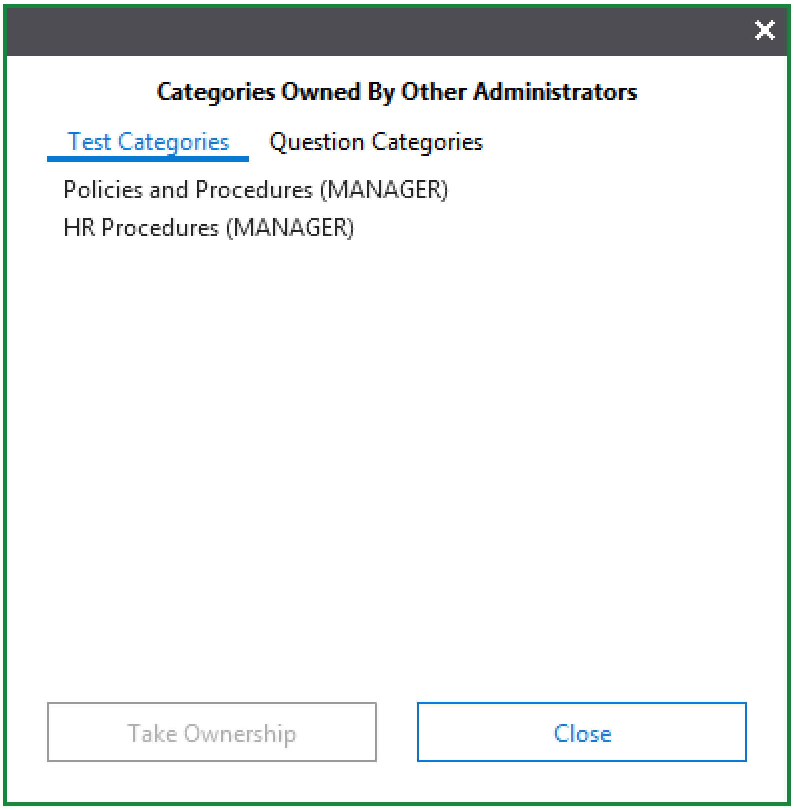
Test and Question Category Ownership

When you create a Compliance Testing test or question category, you are considered the owner of that category. Other users cannot edit these categories. You can take ownership of another user's test or question category if necessary (for example, if that user leaves your organization).

To take ownership of a test or question category:

1. On the **Compliance Testing** tab, in the **Assignment** ribbon group, click **Category Ownership**.

The **Categories Owned By Other Administrators** dialog box is displayed.



2. Test categories are displayed on the **Test Categories** tab, and question categories on the **Question Categories** tab. The OnBase user name of the category's current owner is displayed in parentheses next to the name of the category.

Note: You can only see test and question categories in the **Categories Owned By Other Administrators** dialog box if you are assigned as a test administrator or question administrator for the category. For information on assigning test or question administrators, see Creating Test Categories on page 101 and Creating Question Categories on page 105.

3. Select a test category from the **Test Categories** tab, or a question category from the **Question Categories** tab.
4. Click **Take Ownership**. The test or question category is assigned to you.

Note: A category must be selected first in order to click the **Take Ownership** option.

Scoring

Test administrators can score essays, review score reports, and review test answers for each user in a particular Reading Group. The following topics about scoring are available:

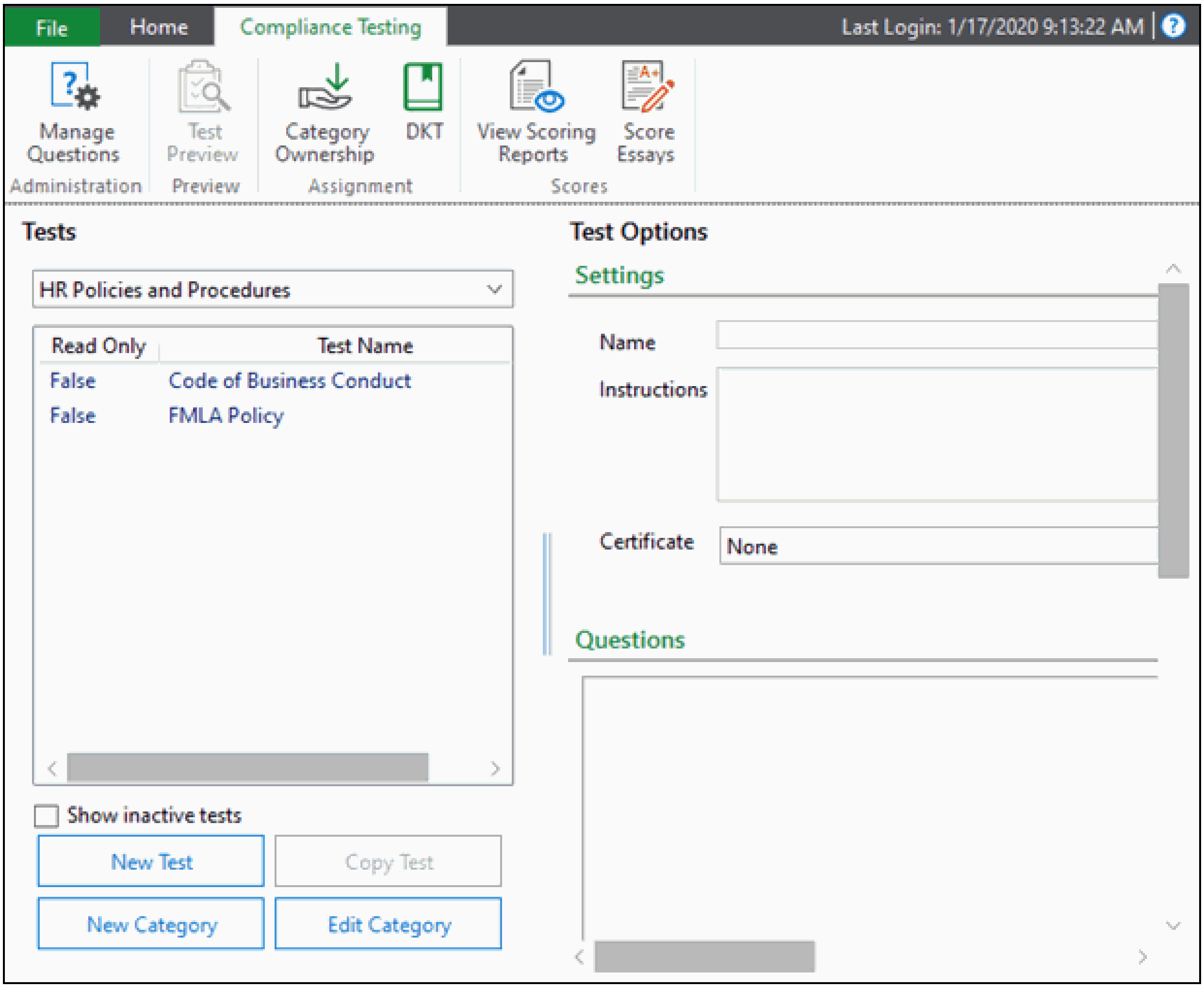
- Viewing Scoring Reports on page 140
- Viewing Test Scores as a Graph on page 144
- Exporting Scoring Reports on page 144
- Scoring Essay Questions on page 148

Viewing Scoring Reports

Test administrators can view scoring reports that show how many answers a user scored correctly and whether the user passed or failed. A scoring report also allows the testing administrator to view the user's test and the answers a user entered to see which answers were answered correctly and incorrectly.

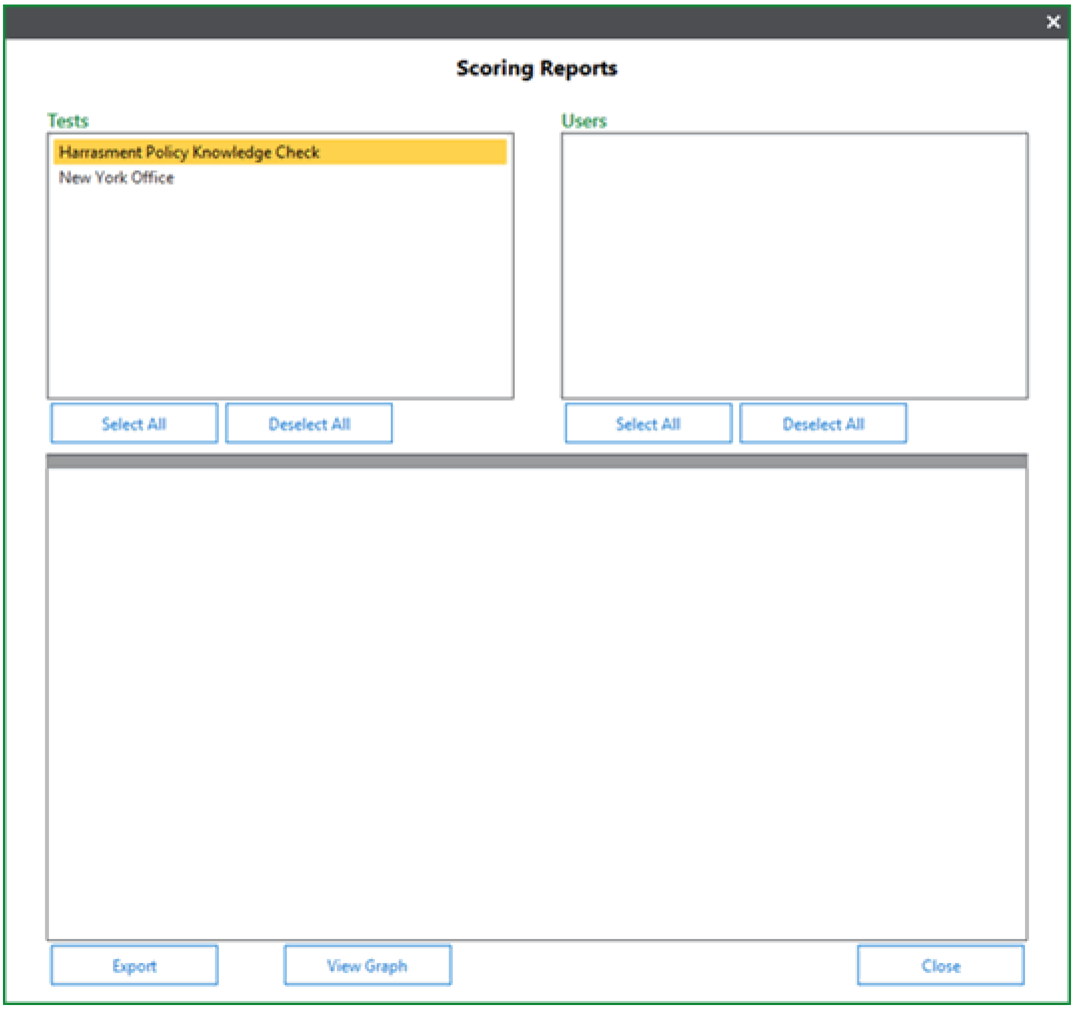
To view scoring reports for a test:

1. Select **File | Administration | Compliance Testing Administration**. The **Compliance Testing** layout is displayed.



2. Click **View Scoring Reports** from the **Compliance Testing** ribbon, in the **Scores** ribbon group.

The **Scoring Reports** dialog box is displayed.



3. From the **Tests** list, select a test. Or, select multiple tests in one of the following ways:
   - Press and hold the **Ctrl** or **Shift** keys and select multiple tests.
   - Click **Select All** to select all tests, or **Deselect All** to clear your selections.

4. From the **Users** list, select a user. Or, select multiple users in one of the following ways:
   - Press and hold the **Ctrl** or **Shift** keys and select multiple users.
   - Click **Select All** to select all users, or **Deselect All** to clear your selections.

   The Test Scores list, below the **Tests** and **Users** lists, displays information on the selected user's performance for the selected test. The following information is displayed:

Scoring	Description
Test Name	The name of the test.
User Name	The user's OnBase user name.
Date Completed	The date the test was completed.
Status	The grading status of the test. • **Graded**: The test is completely graded and test answers can be viewed. • **Partially Graded**: The test is only partially graded and an essay needs to be scored by the testing administrator. **Note:** For more information on scoring essays, see Scoring Essay Questions on page 148. • **Test in Progress**: The test is not completed by the user and is still in progress.
Score	The number of questions correctly answered on the test.
Question Count	The total number of questions on the test.
Passed	Whether the user achieved a passing score on the test.

Note: This list can be sorted, grouped, and filtered like other Unity Client data lists. For more information, see the **Unity Client** documentation.

5. Double-click a test from the Test Scores list that has a **Status** of **Graded**. The user's test is displayed along with his or her answers.

Note: You can only view a user's test answers if the status of the test is **Graded**.

6. Click **Continue** to see the answers for each question of the test.
7. Click **Close** when all answers are reviewed.
8. Click **Close** to exit the **Scoring Reports** layout.

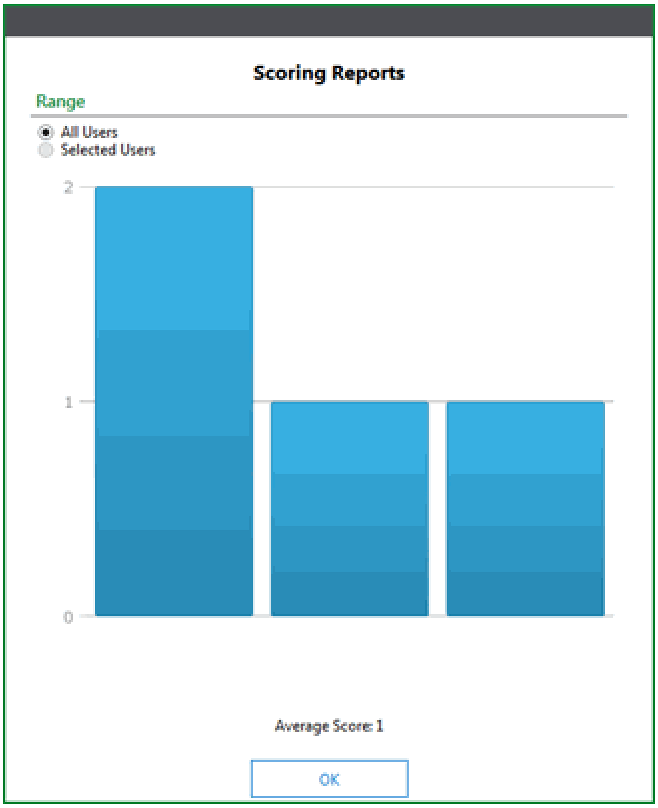
Viewing Test Scores as a Graph

Test Scores in the Scoring Reports layout can also be viewed as graphs. To view test scores as a graph:

1. In the **Tests** pane, select a test.
2. In the **Users** pane, select a user. Use the Ctrl or Shift keys to select multiple users. Click **Select All** to select all users. Click **Deselect All** to clear your selection(s).

Note: Selecting no users will generate a graph of all user answers for the selected test only.

3. Click **View Graph**.
4. The graph is displayed:



   If users were selected in step two, you can view these users' scores by selecting the **Selected Users** option in the **Range** field.

   To view the scores of everyone who took the test, select **All Users** in the **Range** field.

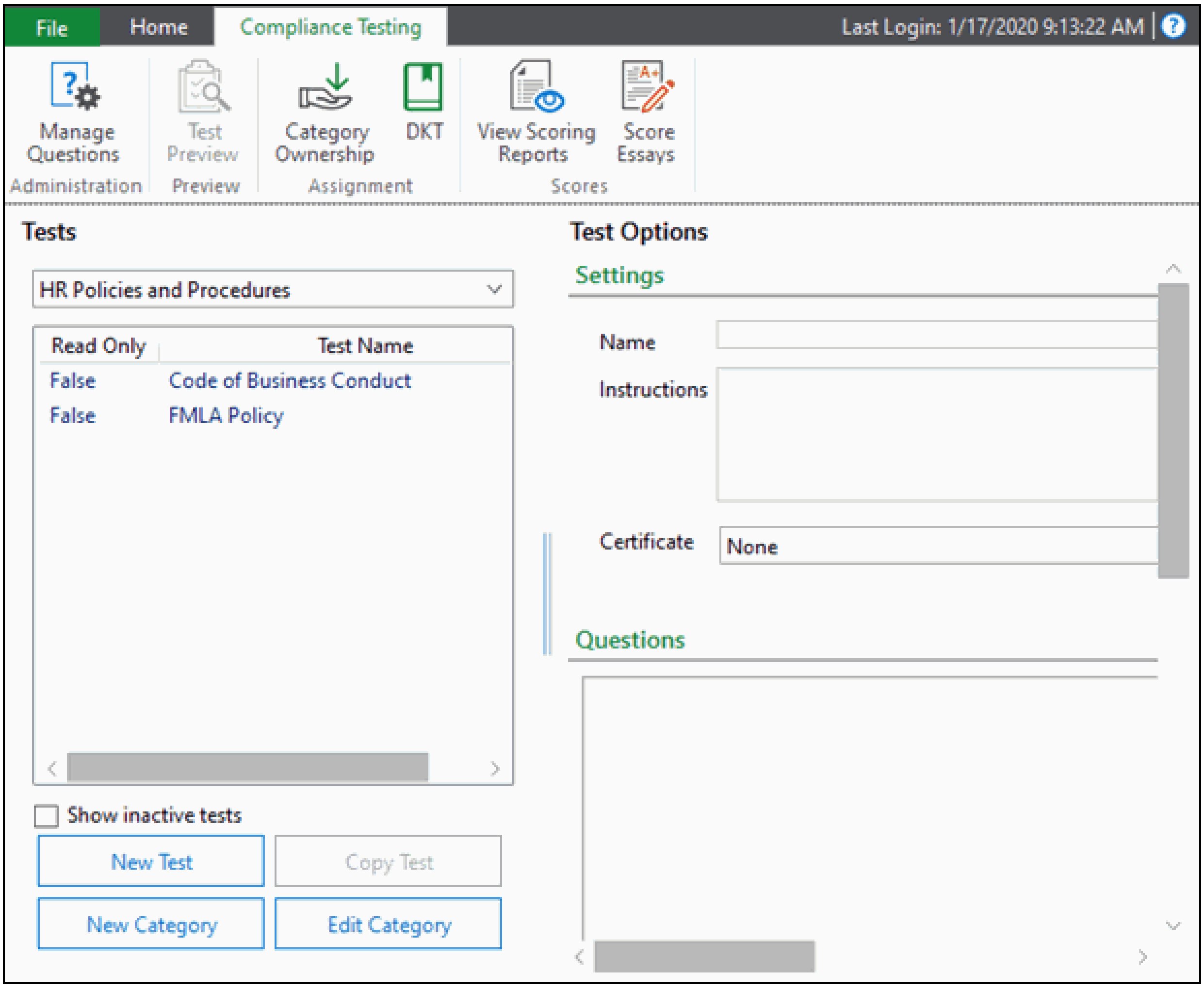
5. To close the graph, click **OK**.

Exporting Scoring Reports

Scoring reports of completed tests can be exported to a CSV file. You can select specific tests or specific users to export only those scoring reports. Or, do not select any tests or users to export scoring reports for all tests and all users.

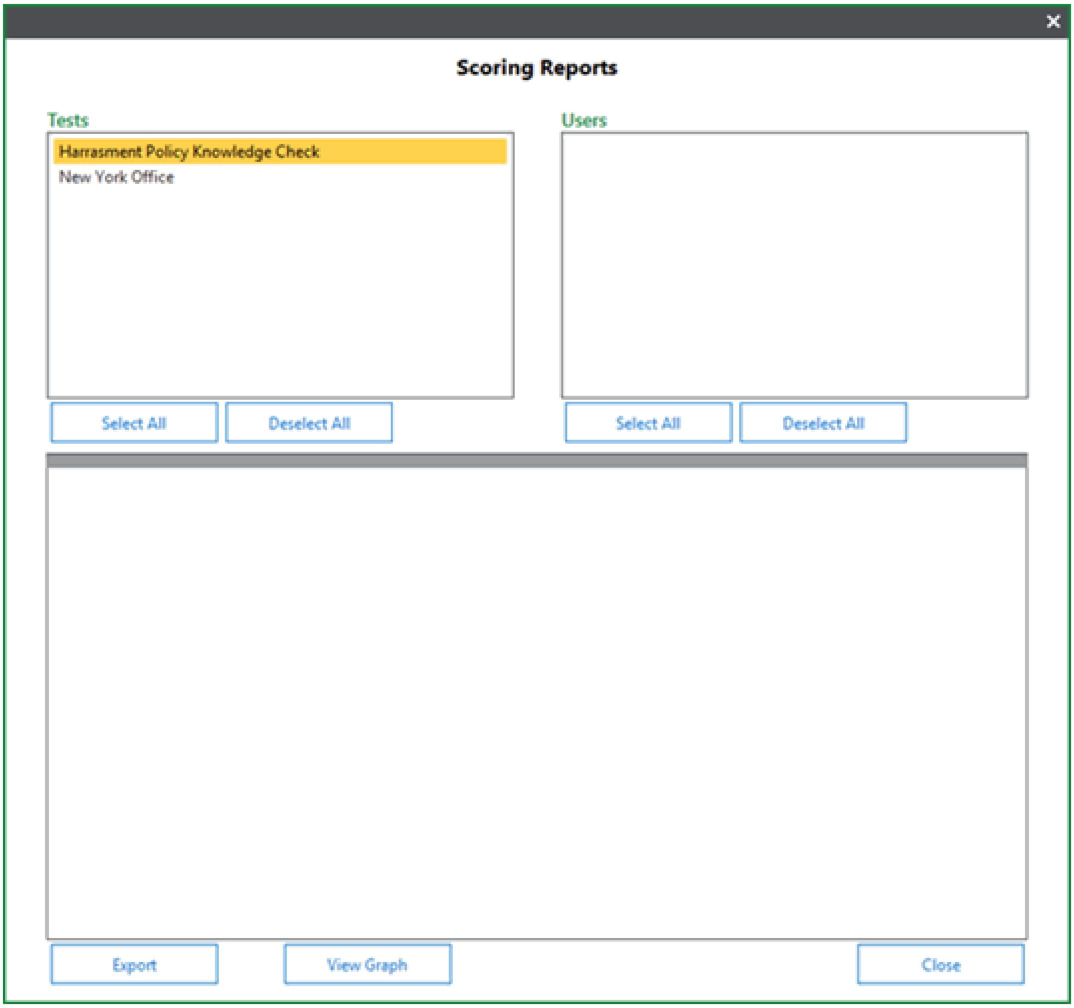
To export scoring reports:

1. From the Unity Client, select **File | Administration | Compliance Testing Administration**. The **Compliance Testing** layout is displayed.



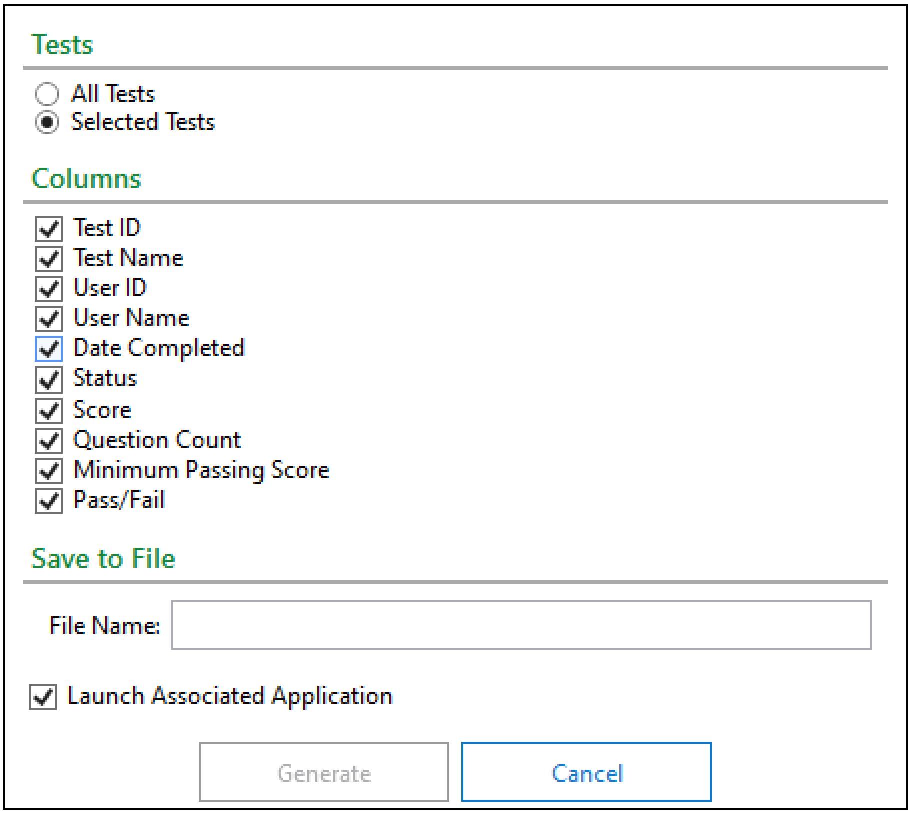
2. Click **View Scoring Reports** from the **Compliance Testing** ribbon, in the **Scores** ribbon group.

The **Scoring Reports** dialog box is displayed.



3. From the **Tests** list, do one of the following:
   - Select one or more tests to only export scoring reports for specific tests.
   - Do not select any tests to export scoring reports for all tests.
4. From the **Users** list, do one of the following:
   - Select one or more users to only export scoring reports for specific users.
   - Do not select any users to export scoring reports for all users.

5. Click **Export**. The Generate CSV File dialog box is displayed:



6. From the **Tests** section, do one of the following:
   - Select **All Tests** to generate a CSV file of scoring reports for all tests.
   - Select **Selected Tests** to generate a CSV file of scoring report for only the tests selected in the **Scoring Reports** dialog box.

Note: The **Selected Tests** option is only available when you select tests from the **Tests** list in the **Scoring Reports** dialog box prior to clicking **Export**.

7. From the **Columns** section, do the following:
   - Select any column options you want to include in your CSV file.
   - Deselect any column options you do not want to include in your CSV file.
8. From the **Save to File** section, in the **File Name** field, enter the name of the CSV file to be generated. You do not need to include the file extension in the name, for example, .csv.
9. Select **Launch Associated Application** if you want the generated CSV file to automatically open in its default application, for example, Microsoft Excel.

10. Click **Generate**.

Note: The **Generate** button is unavailable until you enter a name for the CSV file in the **File Name** field.

Depending on whether you selected the **Launch Associated Application** option, the following may occur:

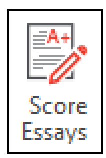
- If **Launch Associated Application** is not selected, the file is saved to your desktop.
- If **Launch Associated Application** is selected, the file is saved to your desktop and the report is opened in its native application.

Caution: If the type of CSV file you are generating already exists and is currently open, you cannot generate a new CSV file and overwrite the existing CSV file. You must close the existing CSV file before you can overwrite it with your newly generated CSV file.

Scoring Essay Questions

To score essay questions for a test:

1. In the **DKT Administration** layout, click **Score Essays** in the Scores section of the Ribbon Menu:



2. The **Score Essays** layout is displayed.
3. Click the **Test Category** drop-down list to select a test category. All tests that are part of that test category are displayed in the **Tests** pane. The following information is displayed for each test:

Column	Description
Test Name	The test name.
Ungraded Essays?	Whether the test has any ungraded essay questions.

4. In the **Tests** pane, select a test containing ungraded essay questions. Any ungraded essay questions are displayed in the **Essays for [name of test]** pane.

Note: If the selected test is configured to allow retries and a retry is initiated by the user, only the latest essay attempt is displayed in the **Essays for [name of test]** pane.

5. By default, the ungraded essay questions that are displayed are grouped by question (the **Question** selection in the **Group By** drop-down select box). All ungraded instances of the first question are grouped together, followed by all ungraded instances of the second question, followed by all ungraded instances of subsequent questions. The following information is displayed in the **Essays for [name of test]** pane for each question:

Column	Description
Question ID	The question's numeric identifier.
Question Text	The question text.
Ungraded Instances	The number of ungraded instances of the question.

To group ungraded essay questions by test instance, click **Test Instance**. When ungraded essay questions are grouped by test instance, the list of ungraded questions corresponds to the test instance, by user. The first, second, and third questions are displayed for the first user, followed by the first, second, and third questions for the second user. The following information is displayed in the **Essays for [name of test]** pane for each test instance:

Column	Description
Test Instance	The instance of the test.
Ungraded Essay Questions	The number of ungraded essay questions.

6. To score a question or test instance, double-click the row in the **Essays for [name of test]** pane.
7. The essay scoring wizard is displayed.

   The essay question is displayed in **Question Text**. The answer is displayed in **Answer Text**.

Note: If the question has both graded and ungraded instances, the essay scoring wizard skips to the first ungraded instance.

The following buttons are available:

Scoring	Description
Correct	Select to mark the essay question correct.
Incorrect	Select to mark the essay question incorrect.
Back	Click to move to the previous essay question.
Continue	Click to move to the next essay question.

8. After you have scored all ungraded essay questions, click **Finish** to close the essay scoring wizard.

Note: If you grade the last ungraded essay question and there are still ungraded essay questions available, the scoring wizard will return to the previous ungraded essay question. This allows you to score any questions you skipped.

After scoring a question or test instance, you can re-grade or reference graded questions or test instances by double-clicking the question or test instance in the **Essays for [name of test]** pane.

Configuration

Compliance Product Right

The **Compliance Testing** product right grants privileges to create and administer tests and questions, as well as take ownership of a test or question category. This product right is available in the OnBase Configuration module in the **Administrative Privileges** section of the **Assigning Product Rights for [User Group Name] Group** dialog box.

Note: For information on configuring product rights for OnBase User Groups, see the **System Administration** module reference guide.

The SYS Compliance Certificates Document Type

The **SYS Compliance Certificates** Document Type is used to store test completion certificates.

This XML Document Type is automatically created the first time the OnBase Configuration module is opened after licensing Compliance Testing. You are also prompted to add this Document Type to a Disk Group.

The following Keyword Types are automatically created and associated with the **SYS Compliance Certificates** Document Type.

Keyword Type	Description	Data Type
TS - Test Name	The name of the test.	Alphanumeric
TS - Test ID	The numeric ID of the test.	Numeric 9
TS - Associated Doc ID	The ID of the document associated with the test.	Numeric 9
TS - User Name	The name of the user who took the test.	Alphanumeric
TS - User ID	The numeric ID of the user who took the test.	Numeric 9
TS - Score	The score of the user.	Numeric 9

Keyword Type	Description	Data Type
TS - Result	The results of the user.	Alphanumeric

After this Document Type is created, you must perform the following actions in the OnBase Configuration module:

1. Assign the **SYS Compliance Certificates** Document Type to a Disk Group.
2. Assign the **SYS Compliance Certificates** Document Type to the appropriate OnBase User Groups.

Note: For more information on assigning a Document Type to a Disk Group and OnBase user groups, see the **System Administration** documentation.

3. Assign an XML style sheet to the **SYS Compliance Certificates** Document Type. For more information, see Assigning XML Style Sheets on page 151.

Assigning XML Style Sheets

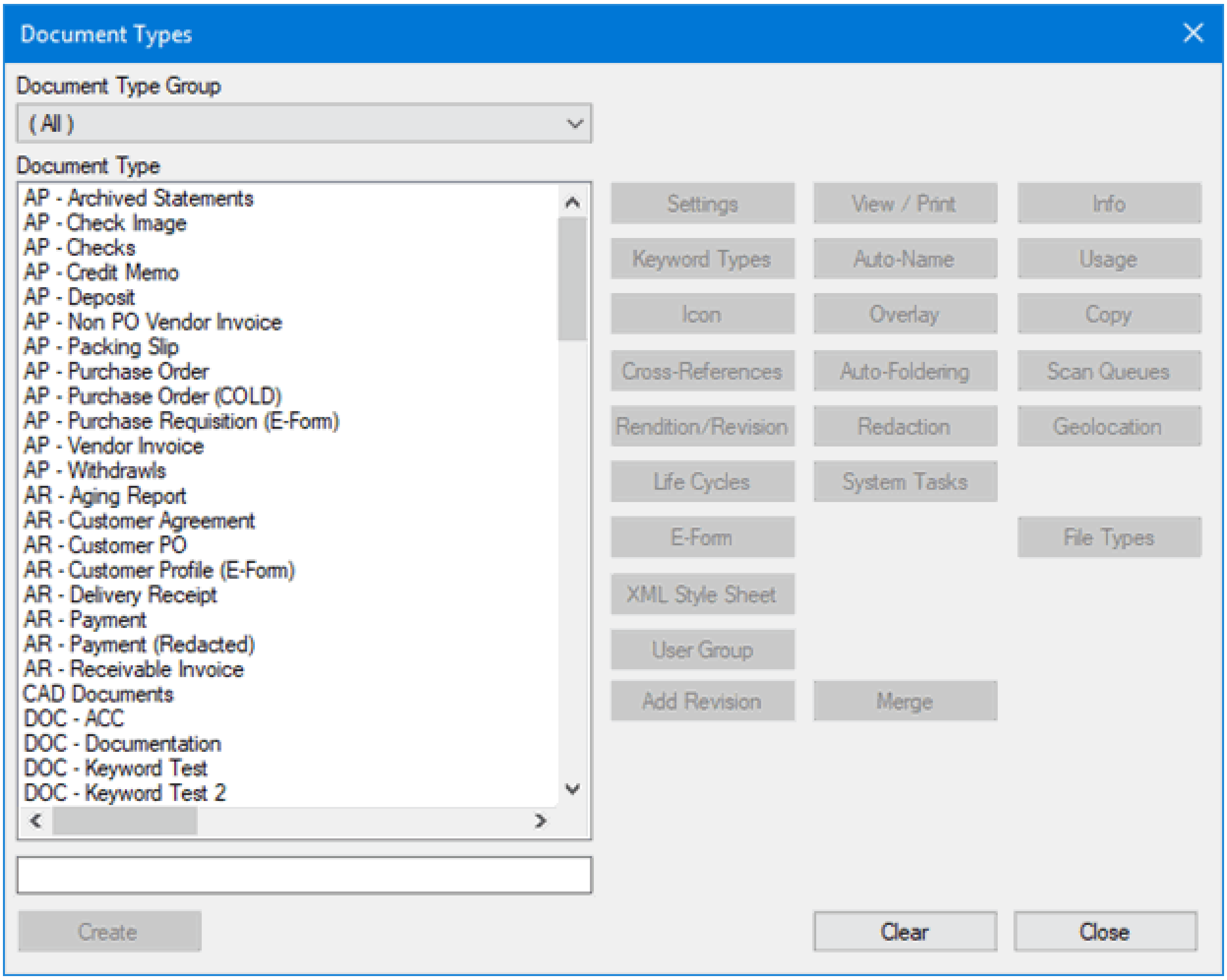
Style sheets are used with XML documents to define the appearance of the data in test completion certificates. The purpose of the style sheet is to allow a single XML document to be re-targeted for different usages and audiences.

Within OnBase, you can assign different style sheets to an XML Document Type to change the appearance of the document depending on how it is being used or viewed. These options are located in the **XML Style Sheet Settings** dialog box.

Note: Contact your solution provider if you want to use a pre-configured style sheet.

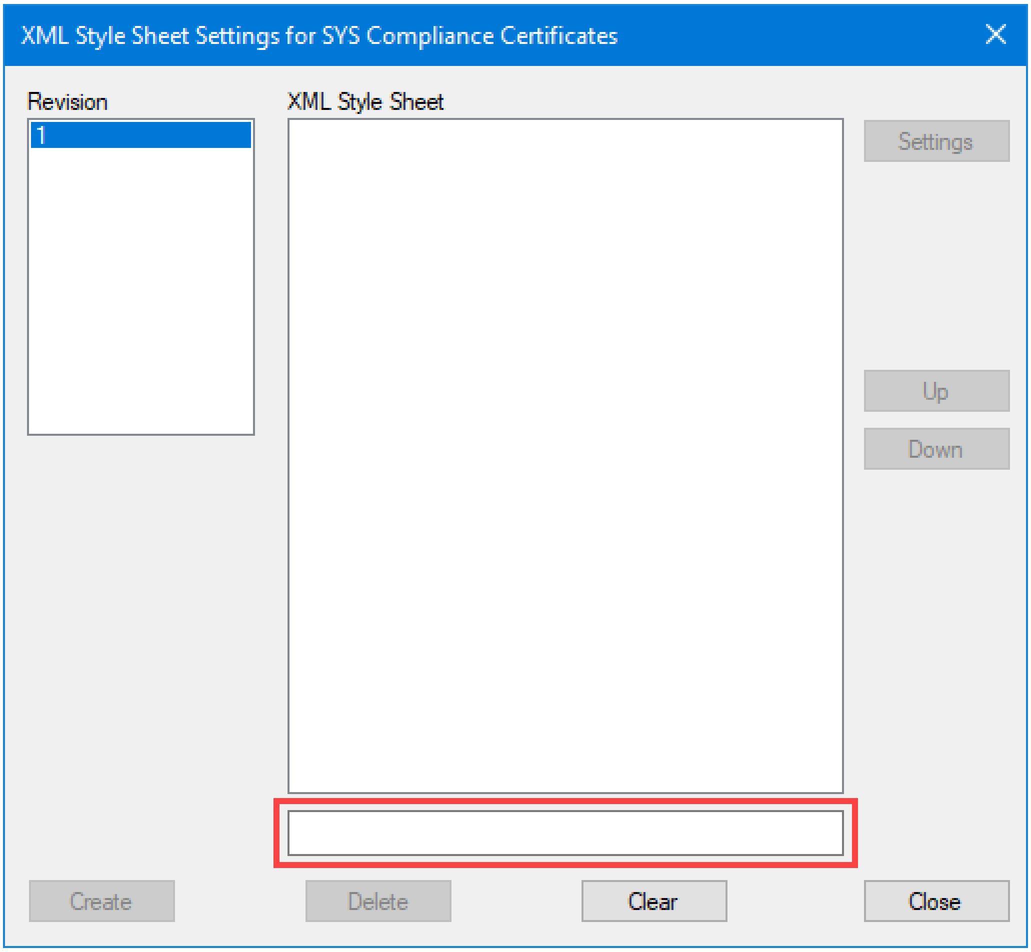
To associate an XML style sheet with the **SYS Compliance Certificates** Document Type:

1. From the OnBase Configuration module, click **Document | Document Types**. The **Document Types** dialog box is displayed.

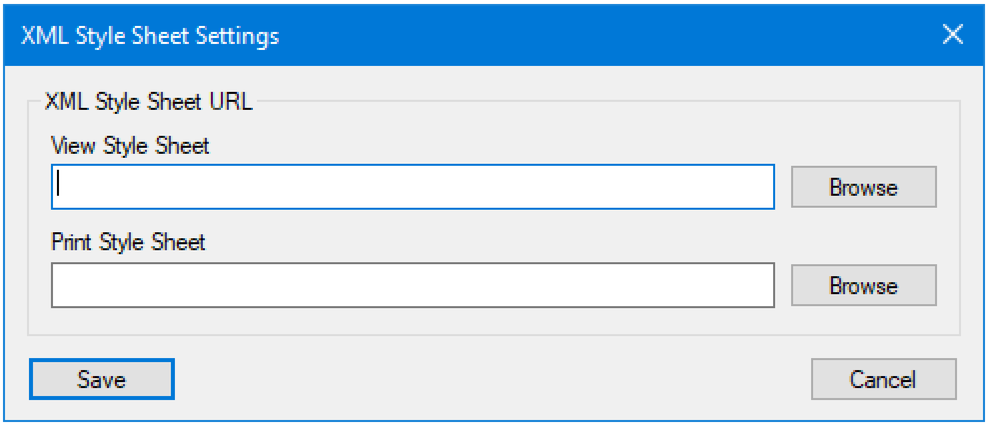


2. From the **Document Type** list, select the **SYS Compliance Certificates** Document Type.
3. Click **XML Style Sheet**. The **XML Style Sheet Settings** dialog box is displayed.

4. Enter a name for the XML style sheet in the field at the bottom of the dialog box.



5. Click **Create**. The **XML Style Sheet Settings** dialog box is displayed.



6. In the **View Style Sheet** field, browse to or enter the full path to the style sheet used for viewing. This path must be a UNC or URL to which the user has access from the workstation used to view the document.

7. In the **Print Style Sheet** field, browse to or enter the full path to the style sheet used for printing. This path must be a UNC or URL to which the user has access from the workstation used to view the document.
8. Click **Save**. The **XML Style Sheet Settings** dialog box is closed and the style sheet is added to the **XML Style Sheet** list in the **XML Style Sheet Settings** dialog box.

Note: To disassociate a style sheet with a Document Type, select it in the **XML Style Sheet** list and click **Delete**.

9. Click **Close**.

DKT Data Provider Type

Data providers return from a data source information to be displayed in a dashboard. New dashboards cannot be used unless at least one data provider is added to it. For more information on using dashboards, see the **Reporting Dashboards** documentation.

The **Create Data Provider Wizard** is used to create new data providers. The process is the same for copying an existing data provider or creating a completely new data provider, except the options are pre-configured with the information from the data provider that was copied if you choose to copy an existing data provider. The pre-configured options for copied data providers can be changed or edited to reflect the requirements of the new data provider, unless otherwise noted.

The configuration process depends on the data provider type selected. The data provider type available for systems with a Document Knowledge Transfer & Compliance license is the **Document Knowledge Transfer** data provider type. This data provider type retrieves data from DKT approval groups and reading groups.

Note: When any DKT dashboard or report is accessed by a user, the user must have **Compliance** or **Approval** DKT-level permissions for a reading group to generate data. If these privileges are not assigned, the user cannot select any existing reading groups or approval groups as an input parameter for the configured dashboard. For more information on these privileges, see Configuring DKT Privileges to Generate Data on page 164.

Adding a DKT Data Provider Type

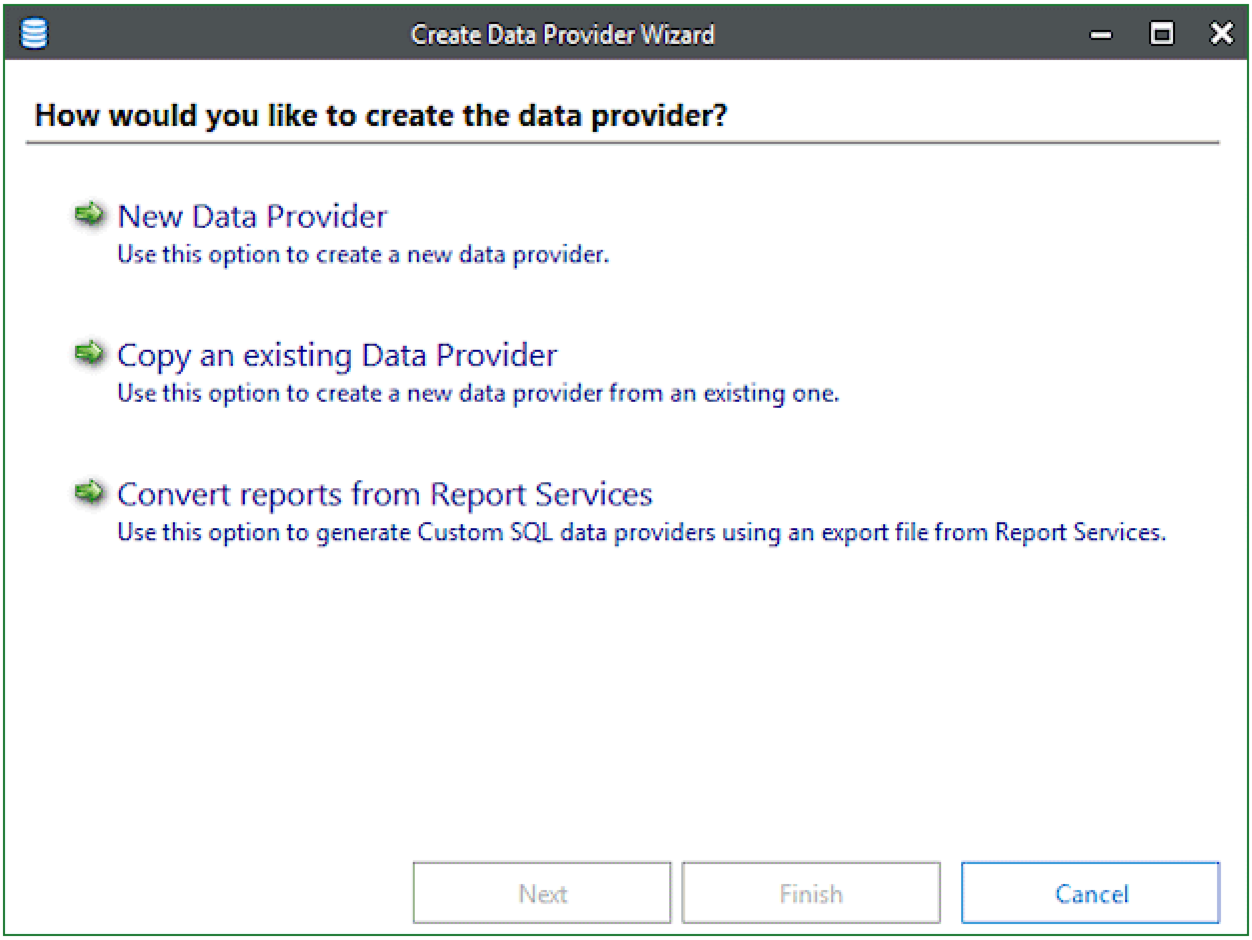
The Document Knowledge Transfer data provider type retrieves data from DKT approval groups and reading groups. For example, this can include data on the reading group name, the users in the reading group, and whether the user has acknowledged documents.

You can also convert data from Report Services to use in a new Document Knowledge Transfer data provider type.

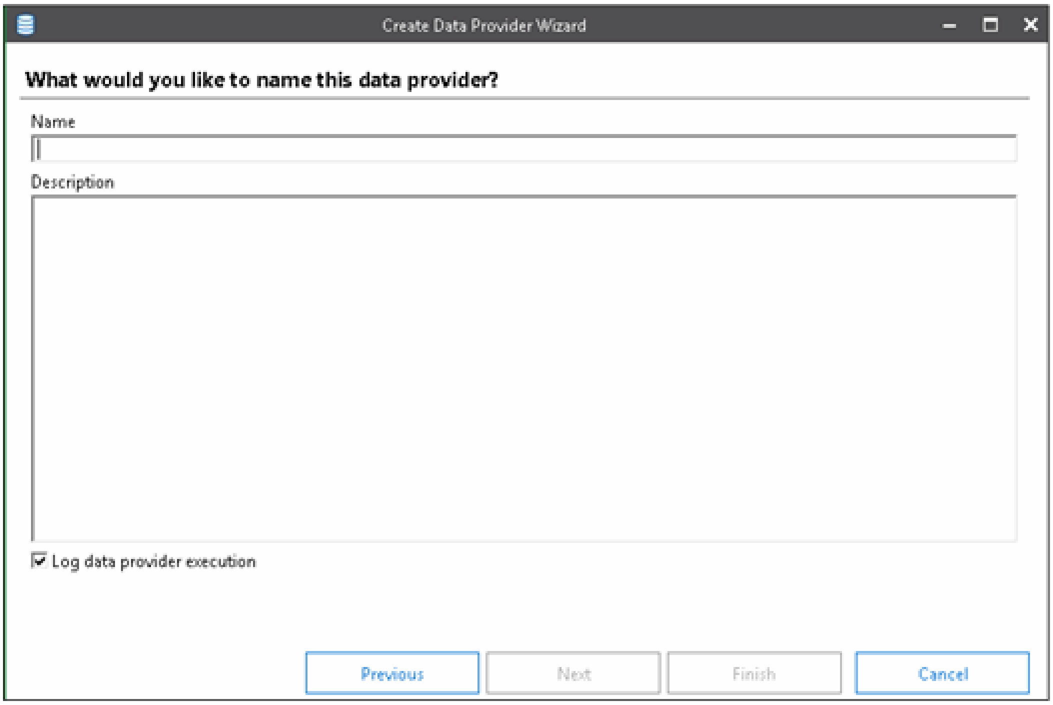
The **Create Data Provider Wizard** is used to create new data providers. To create a new data provider:

1. From the Dashboard Viewer, click **Administration** from the bottom of the Dashboard Gallery screen, and then click the **Create new Data Provider** button from the **Data Provider Administration** ribbon of the Unity Client:

2. At the **How would you like to create the data provider?** page:
   - Click **Create new Data Provider** to create a completely new data provider.
   - Click **Copy an existing Data Provider** to use an existing data provider as the template for a new data provider. The process is the same as creating a completely new data provider except the options are pre-configured with the information from the data provider that was copied. The pre-configured options can be changed or edited to reflect the requirements of the new data provider, unless otherwise noted.
   - Click **Convert reports from Report Services** to use an export file from Report Services to create a custom SQL data provider.



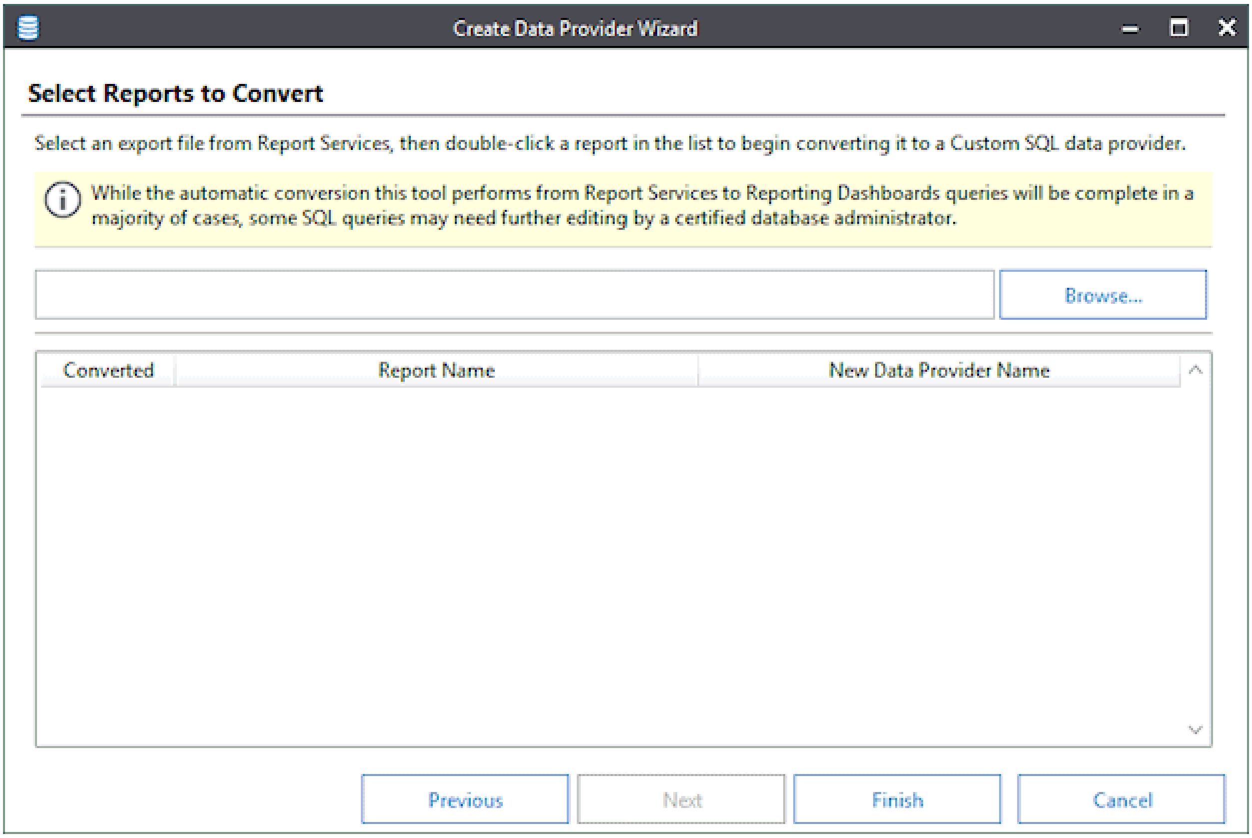
3. If you clicked **Create new Data Provider**, the **What would you like to name this data provider?** page is displayed.



If you clicked **Copy an existing Data Provider**, the **Select the data provider to copy from** page is displayed. You can search for a data provider to copy by typing the name of the data provider into the **Search** bar in this page. Select the data provider to copy, then click **Next**. The **What would you like to name this data provider?** page is displayed.

Note: When a data provider is copied, the options in the remaining pages are pre-configured with the information from the data provider that was copied. Unless otherwise noted, the pre-configured options can be changed or edited to reflect the requirements of the new data provider.

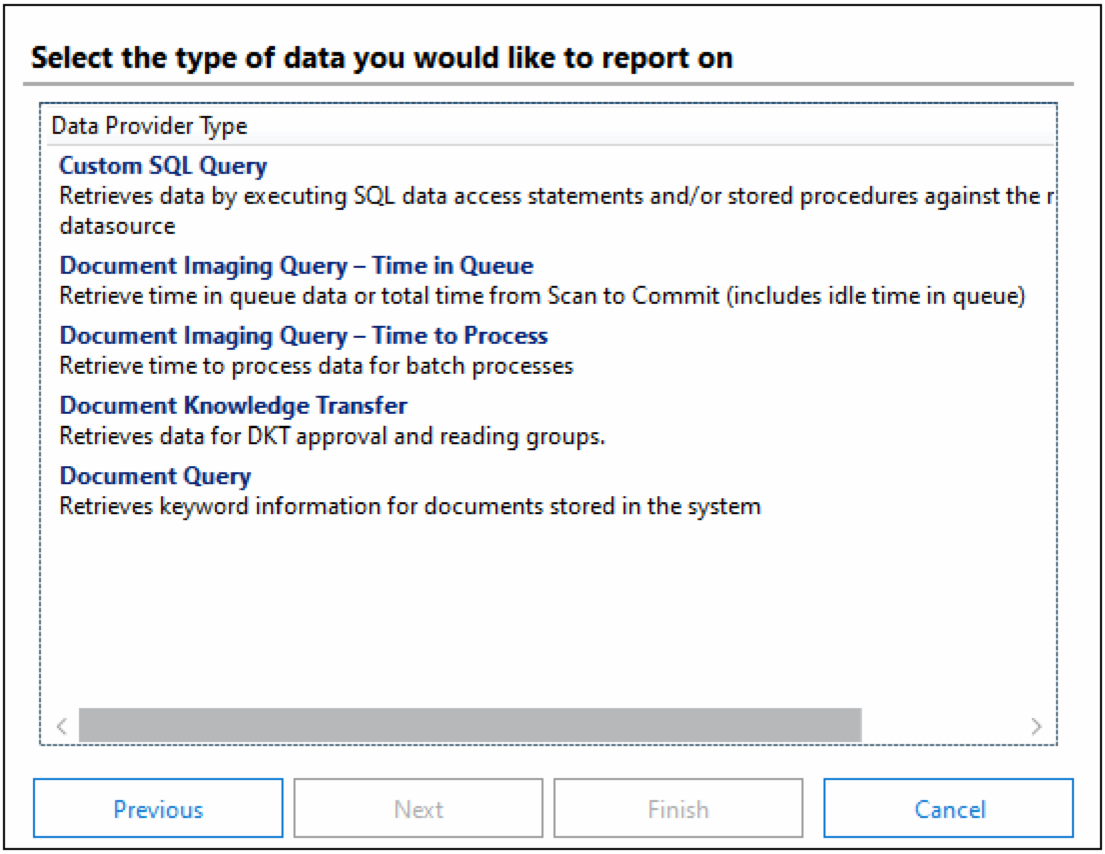
if you clicked **Convert reports from Report Services**, the **Select Reports to Convert** page is displayed. Click **Browse** to select a Report Services export file (**.xml**) to import. The file is imported as a Custom SQL data provider. Multiple Report Services export files can be added on this screen.



To edit the details of each individual import, double-click on the file in the list. The **What would you like to name this data provider?** page is displayed.

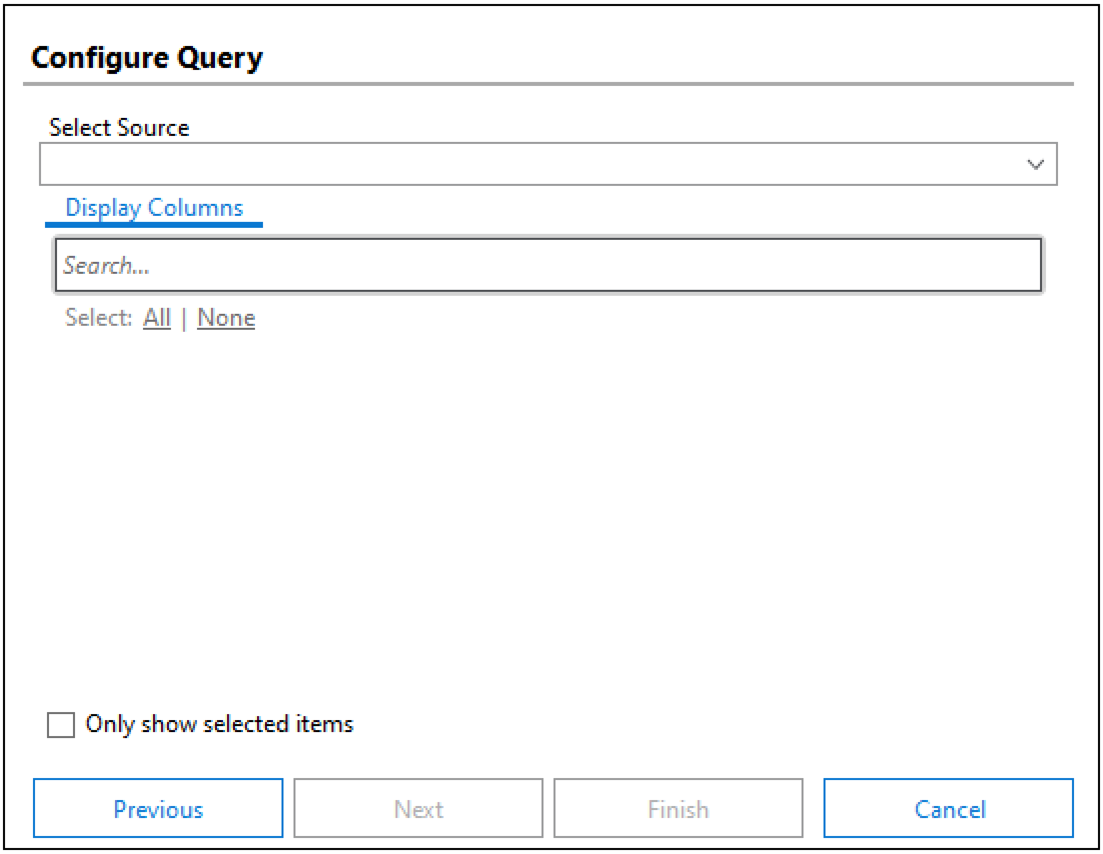
4. Type a name for the data provider in the **Name** field. The name should be unique and allow the data provider to be easily distinguished from other data providers.
5. Type a brief description of the data provider in the **Description** field. The description should briefly explain what the data provider is and what type of data a user can expect to retrieve from it.
6. Select **Log data provider execution** to include the elapsed time of data retrieval and runtime parameter information for this data provider in the **History** log. Data requests for the data provider are always logged in the history even if this option is deselected.
7. Click **Next**. Unless you are converting data from Report Services, the **Select the type of data you would like to report on** page is displayed. If you are converting data from Report Services, the **Edit SQL query** page is displayed.

Note: If you copied an existing data provider this page is not displayed. You cannot change the data provider type for copied data providers.



Note: The data providers available depend on the modules licensed for your system. The **Custom SQL Query**, **Document Query**, and **Document Imaging Query** data provider types are available to all systems with Reporting Dashboards installed.

8. Select **Document Knowledge Transfer** and click **Next**. The **Configure Query** page is displayed.



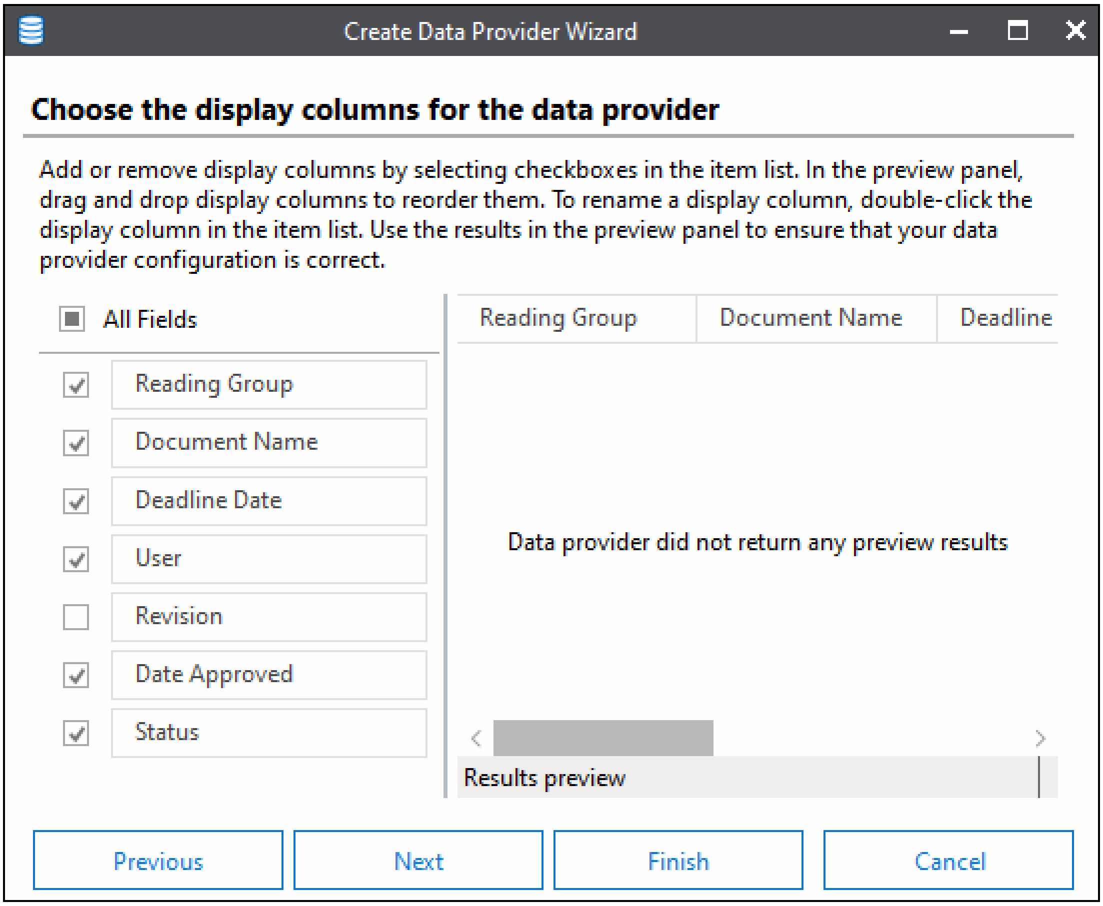
9. From the **Select Source** drop-down list, select one of the following options:

Source	Description
Active Reading Group Documents	Provides display columns specific to information that can be found in a Reading Group.
Active Approval Group Documents	Provides display columns specific to information that can be found in an Approval Group.

The **Display Columns** list is populated with columns related to the selected source.

10. Select one or more display columns from the **Display Columns** list to include it in the reporting results.

11. Click **Next**. The **Choose the display columns for the data provider** page is displayed.

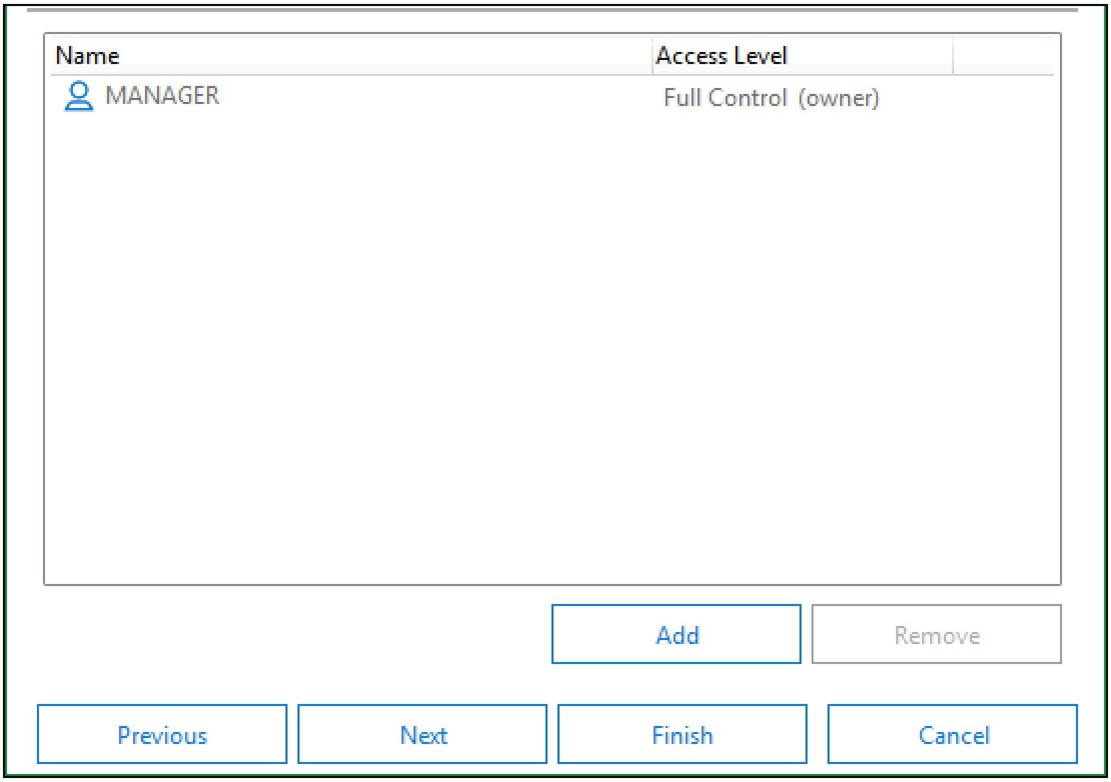


12. Select a display column to include it in the results.

Tip: You can also select **All Fields** to select or deselect all display columns.

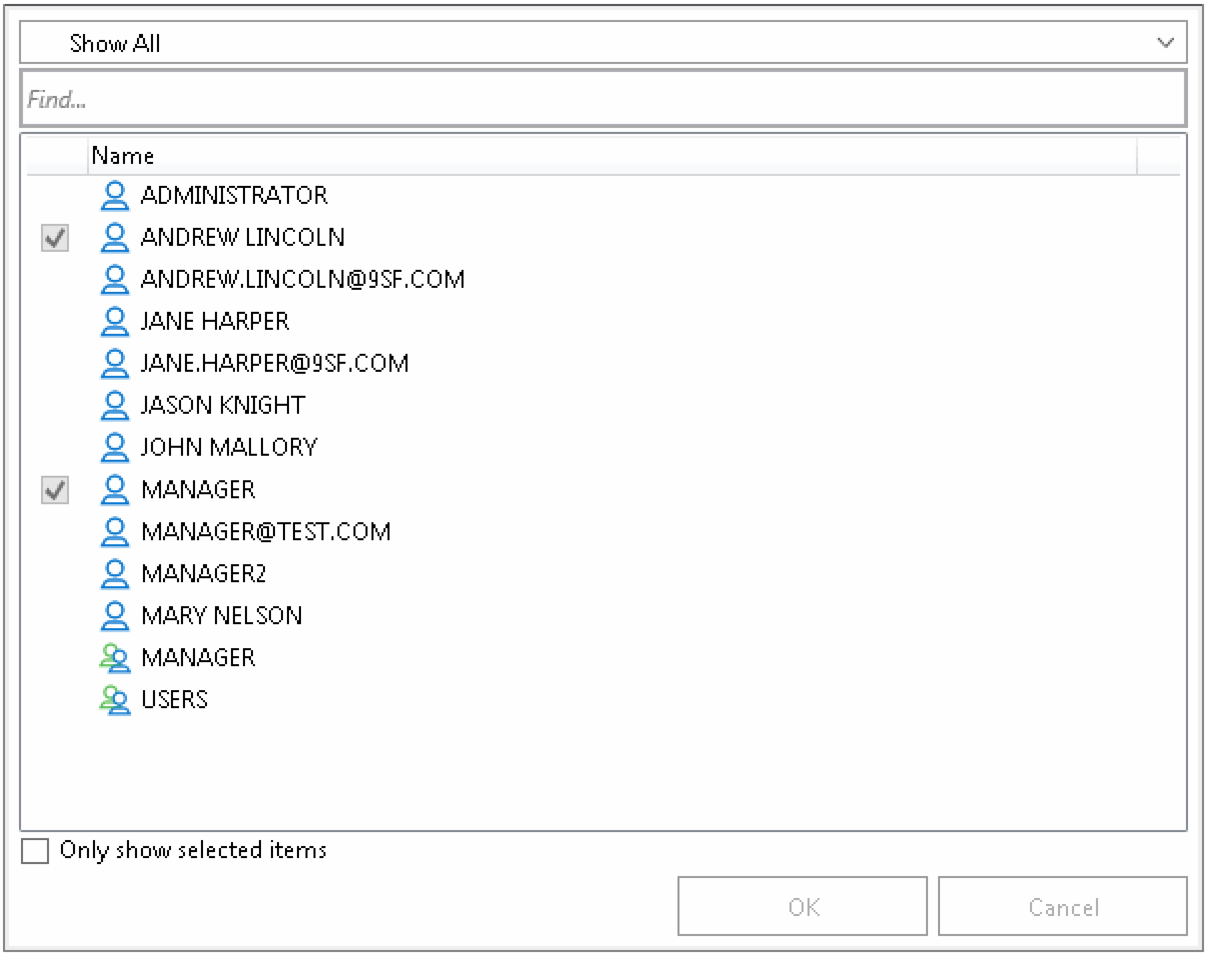
13. To reorder the display columns, drag the column headings in the preview pane to put them in the desired order.
14. To rename a display column, double click it in the list and type the new name in the field provided. Click anywhere outside the field or press **Enter** to save the changes.

15. Click **Next**. The **Who should have access to the data provider?** dialog box is displayed.



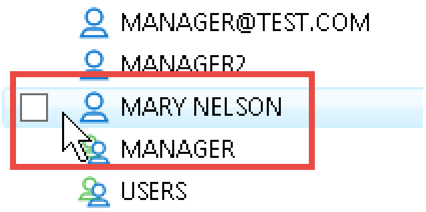
16. To grant access to a new user, click **Add**. The **Select Users** dialog box is displayed. Only users and users groups with access to DKT are listed.

Note: When any DKT dashboard or report is accessed by a user, the user must have **Compliance** or **Approval** DKT-level permissions for a reading group to generate data. If these privileges are not assigned, the user cannot select any existing reading groups or approval groups as an input parameter for the configured dashboard. For more information on these privileges, see Configuring DKT Privileges to Generate Data on page 164.



Tip: To show only users, select **Specific User** from the drop-down list, and to show only User Groups, select **User Group** from the drop-down list. To find a specific user or User Group, type the first few letters of the name or the full name in the **Find...** field and the list is filtered accordingly. To show only previously selected users, select **Only show selected items**.

17. To grant access to the dashboard or report to a user or User Group, move the cursor over that user or User Group's row and select the check box that is displayed.



To remove a user or User Group's access, deselect the check box beside their name.

Note: Access cannot be changed for the owner.

18. Click **OK** to save your user selections.

Caution: When any dashboard or report is accessed by a user, data for all configured items (such as Document Types or Workflow queues) is returned, even if the user accessing the dashboard or report does not have access to those items in OnBase.

19. Click **Next**. The **Summary** dialog box is displayed. Review the information in the main pane to confirm that the data provider is correctly configured. If not, click **Previous** to return to the various configuration dialog boxes so that changes can be made.
20. Click **Finish**. The data provider is saved and is available for use with dashboards.

Configuring DKT Privileges to Generate Data

When a user accesses a configured dashboard or report, to provide data from either a Reading Group or an Approval Group for the configured Document Knowledge Transfer data provider, the user must have certain DKT-level privileges. These privileges allow the user to select a Reading Group or Approval Group of which they are a member as the input parameter used to generate data for the dashboard or report.

The following privileges are required based on the **Reading Group** input parameter of the data provider:

- The **Compliance** DKT-level privilege
- Access to Document Types used in the Reading Group

The following privileges are required based on the **Approval Group** input parameter of the data provider:

- The **Approval** DKT-level privilege
- Access to Document Types used in the Reading Group of which the Approval Group is assigned

For more information on DKT-level privileges and how to configure them, see Assigning Administrators to the Reading Group on page 45.

Document Knowledge Transfer & Compliance

User Guide

Foundation EP5

Usage - Client

You must be a Reading Group member or approver to use DKT. Usage of DKT normally entails:

1. Receiving email notifications about the availability of the documents for reading or for approval.
2. Using the **Reading Group Viewer** to view and acknowledge reading of required documents.
3. Using the **Approval Viewer** to approve or reject documents for distribution.

Reading Group and Approval Group members can access the required documents by selecting **User | Knowledge Transfer | Reading Group Viewer**.

Approval Group members can approve documents by selecting **User | Knowledge Transfer | Approval Viewer**.

DKT Email Notification

If email notification is enabled for a Reading Group, Reading Group members and approvers receive email notifications when documents are added to their respective queues.

If Delinquency Notification is enabled for a Reading Group, the Reading Group's compliance administrator(s) receive email notifications when a document is or will soon be delinquent in a Reading Group member's queue. The member may also receive a notification, depending on how your system is configured.

If a Reading Group is not configured for email notification, Reading Group members and approvers will not receive email notifications. In this case, Reading Group members must periodically check the **Reading Group Viewer** for new documents to read. Reading Group members can also configure the **Reading Group Viewer** to automatically open when they log on to the OnBase Client. See Opening the Reading Group Viewer on page 167 for more information. Approval Group members must periodically check the **Document Approval Viewer** for documents needing approval. Compliance administrators must periodically check the **Reading Group - User Administration** dialog box to determine which members have delinquent documents.

Consult your DKT Administrator if you want email notifications enabled for your Reading Group.

Note: For more information about Internal and External Mail, see the Client documentation.

View Documents in a Reading Group

Reading Group members can read documents assigned to their respective Reading Groups using the **Reading Group Viewer**.

Note: You must be a member of a Reading Group or have rights to use the Reading Group before you can access the **Reading Group Viewer**.

Opening the Reading Group Viewer

To open the **Reading Group Viewer**, select **User | Knowledge Transfer | Reading Group Viewer** or click the **Reading Group Viewer** icon:

You can configure the **Reading Group Viewer** to automatically open when you log on to the OnBase Client:

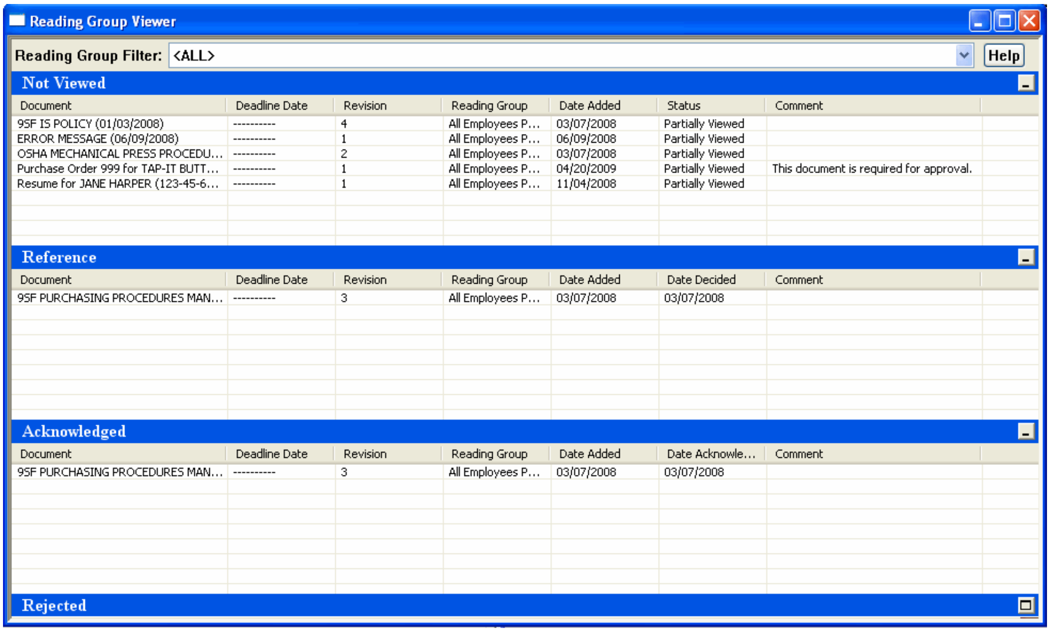
1. Select **User | User Options**. The **User Options** dialog box displays.
2. Select the **Startup** tab.
3. Select **Reading Group Viewer**.
    - To display the **Reading Group Viewer** on startup only when you have unacknowledged documents in your queue(s), select **Disable if no documents are present**.
    - Select **Iconized** if you want the **Reading Group Viewer** to be minimized upon startup.
4. Click **OK** to exit the **User Options** dialog box. Changes take effect the next time you log on to the OnBase Client.

Reading Group Viewer Overview

When you access the **Reading Group Viewer**, the Usage Policy displays for each Reading Group containing documents that need to be acknowledged. Click **OK** to acknowledge that you have read the Usage Policy.

Note: Usage Policies vary according to your business rules and/or depending on the settings made by the administrator(s) for your Reading Group.

The **Reading Group Viewer** is composed of columns and panes that dynamically change to reflect documents assigned to the Reading Group selected in the **Reading Group Filter** drop-down list.



The following table describes each pane:

Pane	Description
Not Viewed	Lists the unread documents in the selected Reading Group.
Reference	Lists documents that are flagged as **Reference**, either by the Document Administrator or the Reading Group member.
Acknowledged	Lists the documents that the member reader has **Acknowledged.**
Rejected	Lists the documents that a user has **Rejected**. **Note:** This pane is only displayed if documents for the Reading Group are configured to allow rejections from the user.

Columns display Reading Group properties for documents. The following table describes each column:

Column	Description
Document	Displays the name of the assigned document.

Column	Description
Deadline Date	Displays the date the document must be read by for compliance. This column is only displayed when deadlines are configured for a Reading Group. Documents not read by the Deadline Date have a Status of **Delinquent**. **Note:** When **Reading Group Filter** is set to **ALL**, this column displays the earliest available Deadline Date.
Revision	Displays the current revision of the document in the Reading Group.
Reading Group	Displays the Reading Group the document is assigned to. **Note:** When **Reading Group Filter** is set to **ALL**, this column displays all the Reading Groups the document is assigned to.
Date Added	Displays the date the document was added to the Reading Group. **Note:** When **Reading Group Filter** is set to **ALL**, this column displays the date the document was first added to a displayed Reading Group.
Status	In the **Not Viewed** pane, displays the status of the document as either **Not Viewed**, **Partially Viewed**, or **Delinquent**. Delinquent documents have not been read by Deadline Date.
Date Decided	In the **Reference** pane, displays the date you acknowledged or rejected the document.
Date Acknowledged	In the **Acknowledged** pane, displays the date you acknowledged the document.
Date Rejected	In the **Rejected** pane, displays the date you rejected the document.
Comment	Displays the comment specified by the administrator when the document was added to the Reading Group.
Reject Reason	In the **Rejected** pane, displays the rejection comment specified by the user when the document was rejected.

Read Documents in a Reading Group

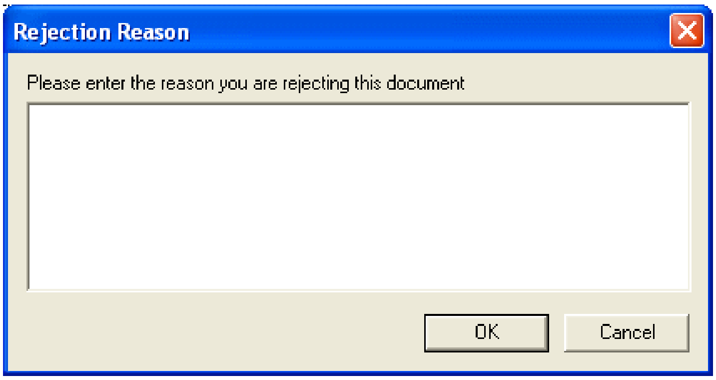
1. In the **Reading Group Viewer**, select a Reading Group from the **Reading Group Filter** drop-down list to display only documents belonging to the selected Reading Group.
2. From the **Not Viewed** pane, open a document to view by double-clicking it.

   The Document Viewer displays the open document. The following table describes the buttons that are available in the Document Viewer:

Button	Description
Comment	Click to display the comment specified by the administrator when the document was added to the Reading Group. **Note:** This button is only available if a comment was specified by the administrator when the document was added to the Reading Group.
Reject	Indicates that you have rejected the document and moves the document from the **Not Viewed** pane to the **Rejected** pane. Depending on how your system was configured: • The Reading Group administrator may receive an email notification that the document was rejected. • You may be prompted to provide a reason for rejecting the document. **Note:** This button is only available if the Reading Group has been configured to allow document rejection.
Acknowledge	Indicates that you have read the document and moves the document from the **Not Viewed** pane to the **Acknowledged** pane. **Note:** When the **Require All Pages Viewed** setting is configured, the **Acknowledge** button displays only after you have finished viewing the last page of a multi-page document.
Reference	Flags the document as **Reference** and adds the document to the **Reference** pane. This button changes to **Remove from Reference** for documents flagged as **Reference**. **Note:** When you flag a document as **Reference,** it is listed in both the **Reference** pane and the corresponding pane for the document's reading status (**Acknowledged**, **Rejected**, or **Not Viewed**).
Close	Closes Document Viewer. **Note:** If you close a document without clicking **Acknowledge** or **Rejected**, the document remains in the **Not Viewed** queue with a **Partially Viewed** status.

Note: Depending on how your system was configured, the **Acknowledge** and **Reject** buttons may not be available until after you have viewed all pages of a document.

3. Click the appropriate button.
    - When you click **Acknowledge** in an open document, an acknowledgement message displays.
    - Depending on your system's configuration, when you click **Reject**, you may be prompted to provide a reason for rejecting the document. Either an E-Form or the **Rejection Reason** dialog box is displayed.



Provide your reason for rejecting the document. Rejection reasons are limited to 250 characters.

To submit the rejection reason from an E-Form, click the button for submitting or saving the form. To submit the rejection reason from the **Rejection Reason** dialog box, click **OK**. To cancel the rejection, click **Cancel**.

Note: If the document was added to more than one Reading Group you are a member of, a rejection E-Form may be displayed for each Reading Group.

4. Depending on your system's configuration, the **Document View Verification** dialog box may prompt you for your password. Type your password and click **OK**. If you do not type your password, the document will have a status of **Partially Viewed**.

    The password requirement is determined when the Reading Group is configured by your system administrator.

Closing the Reading Group Viewer

When you close the **Reading Group Viewer**, all windows opened from within the **Reading Group Viewer** also close, including any documents you opened from within the viewer.

If you have any documents open, the **Confirm** dialog box displays the following message: **All documents from the Reading Group Viewer will also be closed. Do you want to continue?**

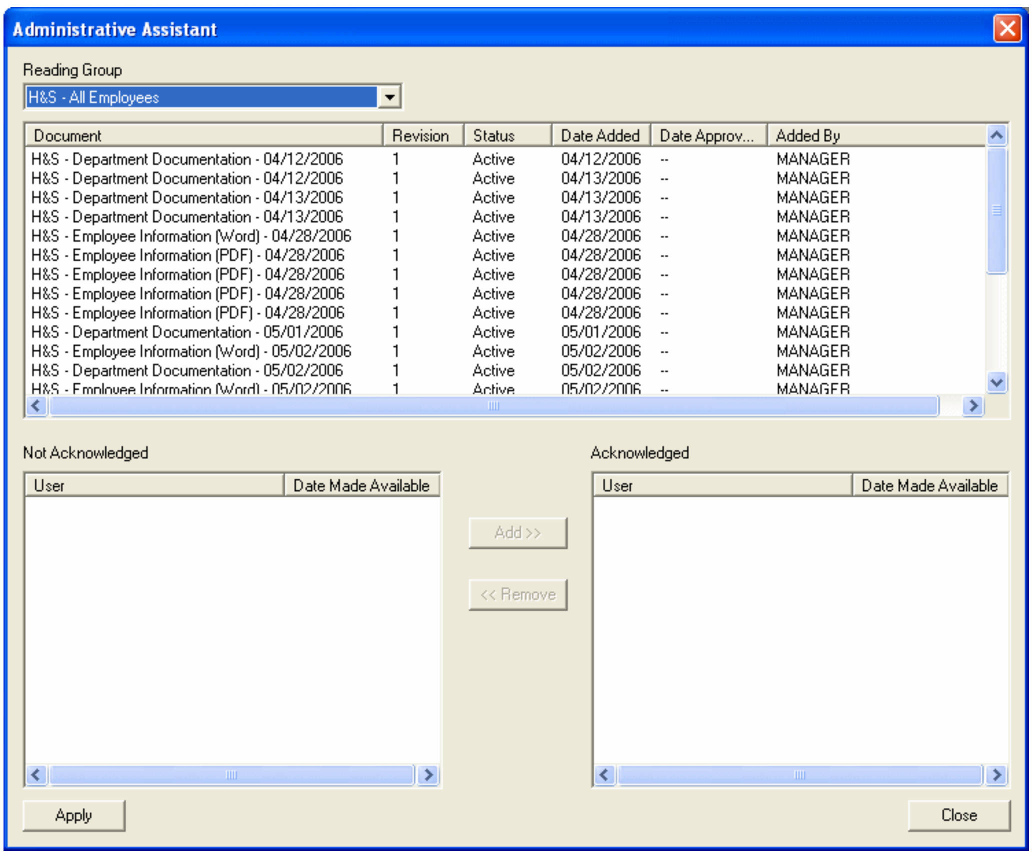
Click **Yes** to close the **Reading Group Viewer** and Reading Group documents, or click **No** to manually close all documents before closing the **Reading Group Viewer**.

The **Confirm** dialog box does not display if you exit the OnBase Client or if you click **Close All**.

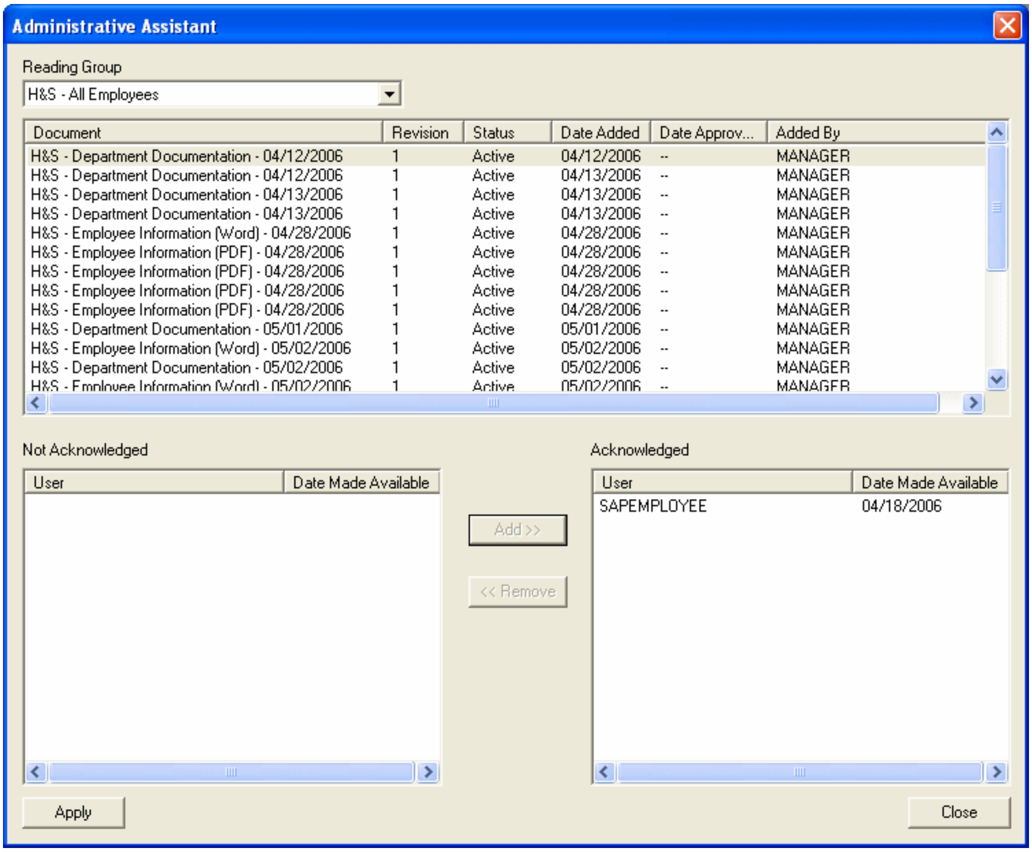
Acknowledging Documents by Proxy

A user with the **Administrative Assistant** privilege for a Reading Group can acknowledge documents by proxy for users who do not have computer access. The relevant documents are marked as **Acknowledged** in the system by the administrative assistant for compliance and ease of tracking.

1. Log on with a user account that has the **Administrative Assistant** privilege.
2. Select **Admin | Knowledge Transfer | Administrative Assistant**. The **Administrative Assistant** windows displays. From the **Reading Group** drop-down list, select the Reading Group to acknowledge documents for.



3. From the document list, select the document to acknowledge. Reading Group users who have not acknowledged the document display in the **Not Acknowledged** select list. To acknowledge that a user has read the document, select the user name from **Not Acknowledged** and click the **Add>>** button. The user name moves to **Acknowledged**.



To remove a user from **Acknowledged**, select the user name, and click **<<Remove**. The user name moves to **Not Acknowledged**.

4. When you are finished acknowledging documents for users, click **Apply**. This will stamp all **Acknowledged** documents as such in OnBase, and remove all user names from the **Acknowledged** column.

   Once you click **Apply**, all users in the **Acknowledged** column are marked as having acknowledged the document. If you click **Close** or select a new document or Reading Group without clicking **Apply**, any changes are discarded.
5. Click **Close**.

Note: A report of documents acknowledged by the Administrative Assistant can be found by accessing the **Document Acknowledged Transaction Log** under **Admin | Transaction Logs**. The Document Acknowledged Transaction Log only logs the Administrative Assistant user. Contact your system administrator for assistance in using the Transaction Log.

Approve Documents for a Reading Group

The **Approval Viewer** allows members of an Approval Group to:

- View a list of documents for approval prior to distribution to each Reading Group.
- Open and view each document that is pending approval.
- Approve or Reject the open document from within the viewer window.

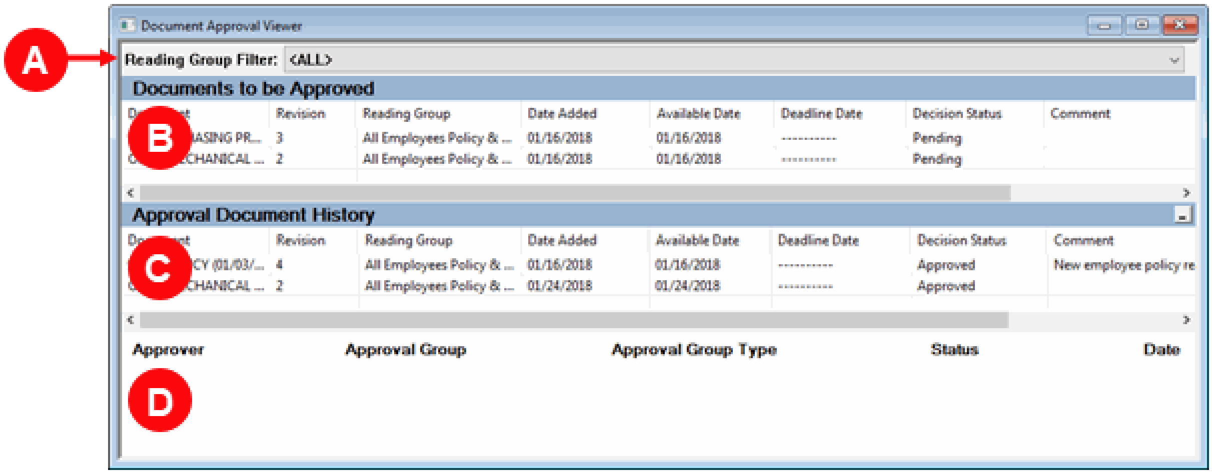
Prerequisites

- You must be a member of the Approval Group that has rights to approve or reject the documents for the specified Reading Group.
- Approval settings must be configured for the Reading Group in both the Configuration and OnBase Client modules.

Accessing the Approval Viewer

To access the **Document Approval Viewer**:

1. Select **User | Knowledge Transfer | Approval Viewer**. The **Document Approval Viewer** window is displayed.



The following table describes components of the **Document Approval Viewer**:

Section Name	Description
A | Reading Group Filter	Select a Reading Group to display only documents belonging to the selected Reading Group. Select **<ALL>** to display all Reading Group documents requiring approval. **Note:** Reading Groups configured for **No Approval** are not listed in the drop-down list.

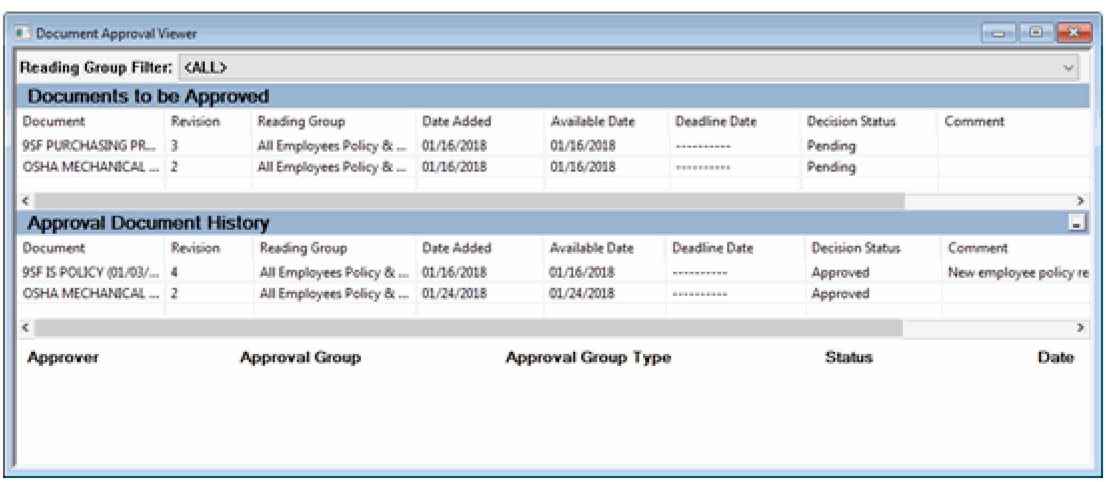
<table>
<tr><th>Section Name</th><th>Description</th></tr>
<tr><td>B | Documents to be Approved</td><td>By default, this section displays all documents pending approval for all Reading Groups. Select a Reading Group from Reading Group Filter to display only documents belonging to the selected Reading Group.
The columns in this section are described below:
Document - name of the document.
Revision - document revision number in the Reading Group.
Reading Group- name of the Reading Group that the document belongs to.
Date Added - date when the document was added to the Reading Group.
Available Date - date when the document becomes available to the Reading Group.
Deadline Date - date by which users must acknowledge the document.
Decision Status - the document’s approval status; can be In Progress or Pending.
Comment - comment specified by the administrator when the document was added to the Reading Group.</td></tr>
<tr><td>C | Approval Document History</td><td>This section displays all the user’s past approved or rejected documents for all Reading Groups. This does not include documents that have a Decision Status of Pending or In Progress. By default, this section is minimized.
The columns in this section are described below:
Document - name of the document.
Revision - document revision number in the Reading Group.
Reading Group - name of the Reading Group that the document belongs to.
Date Added - date when the document was added to the Reading Group.
Available Date - date when the document becomes available to the Reading Group.
Deadline Date - date by which users must acknowledge the document.
Decision Status - the document’s approval status; can be In Progress or Pending.
Comment - comment specified by the administrator when the document was added to the Reading Group.</td></tr>
</table>

Section Name	Description
D | Approval Status	This section displays the approval information for a selected document from the **Documents to be Approved** section or the **Approval Document History** section. The columns in this section are described below: • **Approver** - name of the user or member of the Approval Group assigned to the Reading Group • **Approval Group** - name of the Approval Group assigned to the Reading Group • **Approval Group type** - displays one of the following: **Any to Approve** - only one person from any of the assigned Approval Group(s) is needed to approve or reject a document. **All to Approve** - all members of all Approval Groups assigned to the Reading Group have to approve a document before it is made available for reader viewing. • **Status** - displays the approver's decision status for the document; can be either **Approved** or **Pending**. **Note:** Rejected documents are immediately removed from the **Document Approval Viewer**. They are not sent to the Reading Group.

Approving Documents for a Reading Group

If you are an Approval Group member, you can approve a Reading Group document from within the **Document Approval Viewer**. To do so:

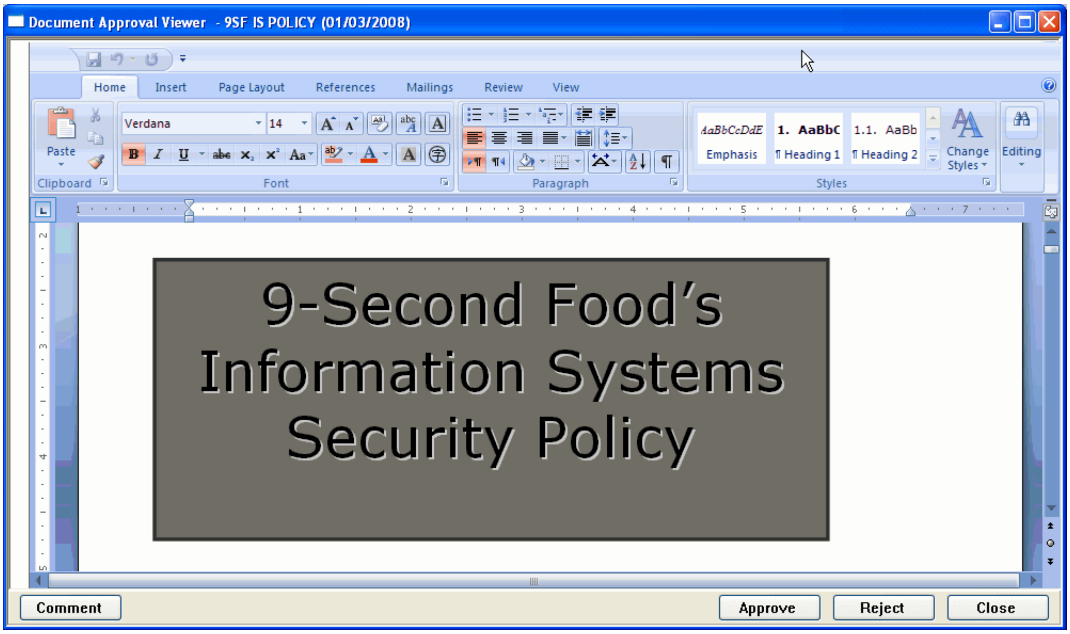
1. Select a Reading Group from the **Reading Group Filter**. The **Document Approval Viewer** window is displayed.



2. Double-click a document from **Documents to be Approved** to open and view it.

Note: You can select, open, and approve only one document at a time.

3. Once opened, the **Document Approval Viewer** shows the opened document within the Viewer.



4. Click one of the following buttons:

Button	Description
Comment	Click to display the comment specified by the administrator when the document was added to the Reading Group. **Note:** This button is only available if a comment was specified by the administrator when the document was added to the Reading Group.
Approve	A confirmation message displays. The document is removed from the **Document Approval Viewer**. Depending on your Approval Group Type, the document either remains in other approvers' **Documents to be Approved** lists or becomes available to the Reading Group (unless it is scheduled to become available at a later date).
Reject	A confirmation message displays. The document is removed from the **Document Approval Viewer** and will not be added to the Reading Group. The document has a **Rejected** status in **Reading Group - Document Administration**. Depending on how the Reading Group was configured, a rejection notification may be e-mailed to the user who added the document to the Reading Group.
Close	Closes the Document Viewer. If you have not approved or rejected the document, it remains in **Documents to be Approved**.

Administration - Client

DKT Administrator Functions

The following administrator functions are available in the OnBase Client.

- **Reading Group Administration** - allows the **Member Administrator** and/or the **Approval Administrator** to set up Reading Group members and Approval Groups and members. See Set up Reading Groups in the Client on page 178.
- **Document Administration** - allows the **Document Administrator** to view and delete documents in each Reading Group. See Document Administration on page 196.
- **Add Document** - allows the **Document Administrator** to add document(s) to the Reading Group. This function is available when a document or documents in OnBase are retrieved and opened from the **Search Results** list, or directly from the **Search Results** list itself. Documents can also be added from a search results list. Adding documents can be done manually (see Manually Add Documents to the Reading Group in the Client on page 197) or automatically. For more information about these options, see Add Documents to a Reading Group on page 197.
- **User Administration** - allows the **Compliance Administrator** or **User Administrator** to view a list of users who are “delinquent” or have not read the required Reading Group documents within the allotted time frame. See User Administration on page 217.

These administration functions are available from the **Admin | Knowledge Transfer** menu in the OnBase Client.

Note: Reading Group members without any Administration rights can only access the Reading Group Viewer from the **User** menu. Approval Group members can access both the **Reading Group Viewer** and the **Approval Viewer** from the **User | Knowledge Transfer** menu.

Set up Reading Groups in the Client

The **Member Administrator** and/or the **Approval Administrator** can perform the following functions in the OnBase Client:

1. Select Members for a Reading Group on page 179.
2. Set up Approval Groups and Members on page 182.

Before you can use the administration functions in the OnBase Client, the following prerequisites must be in place:

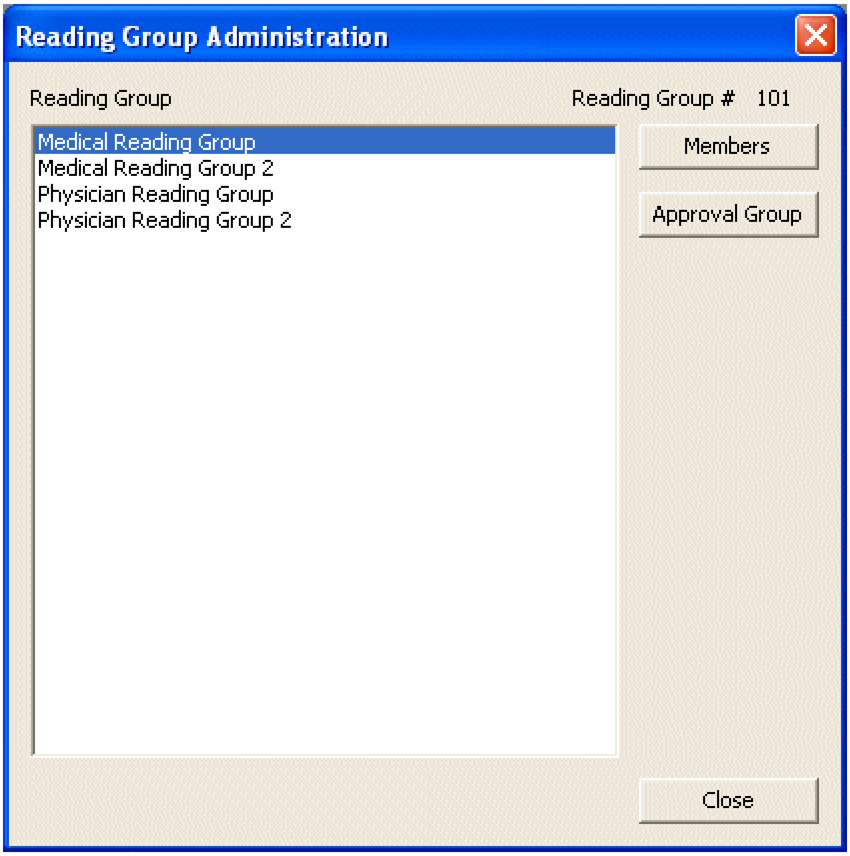
1. Your database is properly licensed.
2. In the Configuration module:
    - Reading Groups have been created and assigned attributes and approval types.
    - Administrators have been assigned to the Reading Group.

Note: If the Reading Group is a child Reading Group in a Compound Reading Group (CRG), CRG membership is updated accordingly. To assign child Reading Groups to a CRG, see Set up Compound Reading Groups in the Client on page 185.

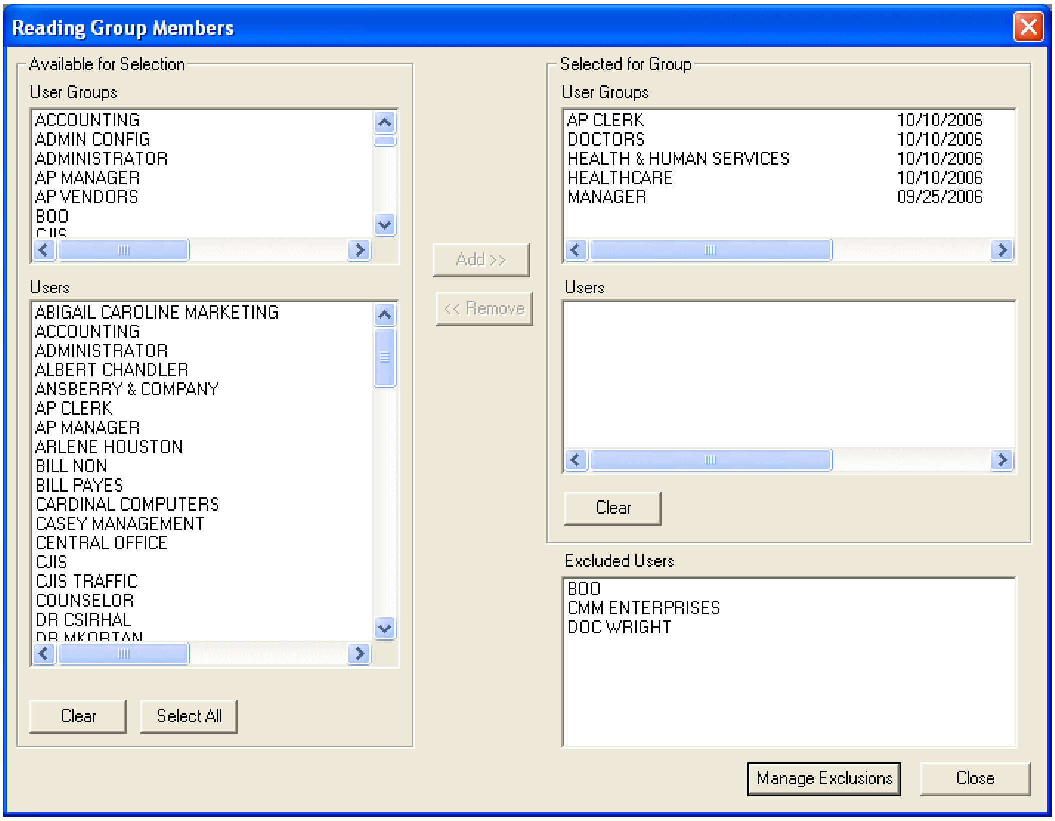
Select Members for a Reading Group

For users to see Reading Group documents in the **Reading Group Viewer**, they must first be assigned as members of the Reading Group.

1. Select **Admin | Knowledge Transfer | Reading Group Administration**.
2. In the **Reading Group Administration** dialog box, select a Reading Group.



3. Click **Members** to display the **Reading Group Members** dialog box.



4. Select a User/User Group from the **Available for Selection** pane and click **Add** to add it to the **Selected for Group** pane.

   The **Selected for Group** pane displays User(s)/User Group(s) that belong to the Reading Group followed by the date they were added.
5. Click **Close** to return to the **Reading Group Administration** dialog box.
6. Proceed to Set up Approval Groups and Members on page 182.

Note: The User Groups assigned to a Reading Group display under **User Groups** in the **Selected for Group** pane. Individual users in those User Groups do not display under **Users** in this pane. Only users assigned ad hoc to the Reading Group display under **Users**. To exclude an assigned User Group's individual users from a Reading Group, see Manage Excluded Users on page 181.

Manage Excluded Users

You may want to exclude an individual user from a Reading Group without removing the user's entire User Group from the Reading Group. You can use the **Excluded Users** list to manage user exclusions for a Reading Group.

Exclude Users

To exclude a user:

1. Click **Manage Exclusions**.
2. The **Reading Group Exclusions** dialog box displays.
3. Select the user(s) you want to exclude from **Available Users** and click **Add**.
4. Click **Close** when you are finished.

   Users who are specifically excluded from Reading Group membership display under **Excluded Users** in the **Reading Group Members** dialog box.

Note: If you exclude an individual user who was assigned ad hoc to the Reading Group, the excluded user displays both under **Excluded Users** and under **Users** in the **Selected for Group** pane. If you remove the user from **Users** in the **Selected for Group** pane and then remove the exclusion for the user, the user is not reassigned to the Reading Group.

Remove User Exclusions

To remove an exclusion for a user:

1. Click **Manage Exclusions**.
2. The **Reading Group Exclusions** dialog box displays.
3. Select the user(s) you want to remove an exclusion for from **Excluded Users**, and click **Remove**.
4. Click **Close** when you are finished.

When you remove an exclusion for a user, the user is automatically reassigned to the Reading Group if one of the following conditions are met:

- The user's User Group was assigned to the Reading Group before the user was excluded, and the user's User Group is still assigned to the Reading Group when the exclusion is removed.
- The user was assigned ad hoc to the Reading Group before the user was excluded, and the user is still assigned to the Reading Group under **Users** in the **Selected for Group** pane.

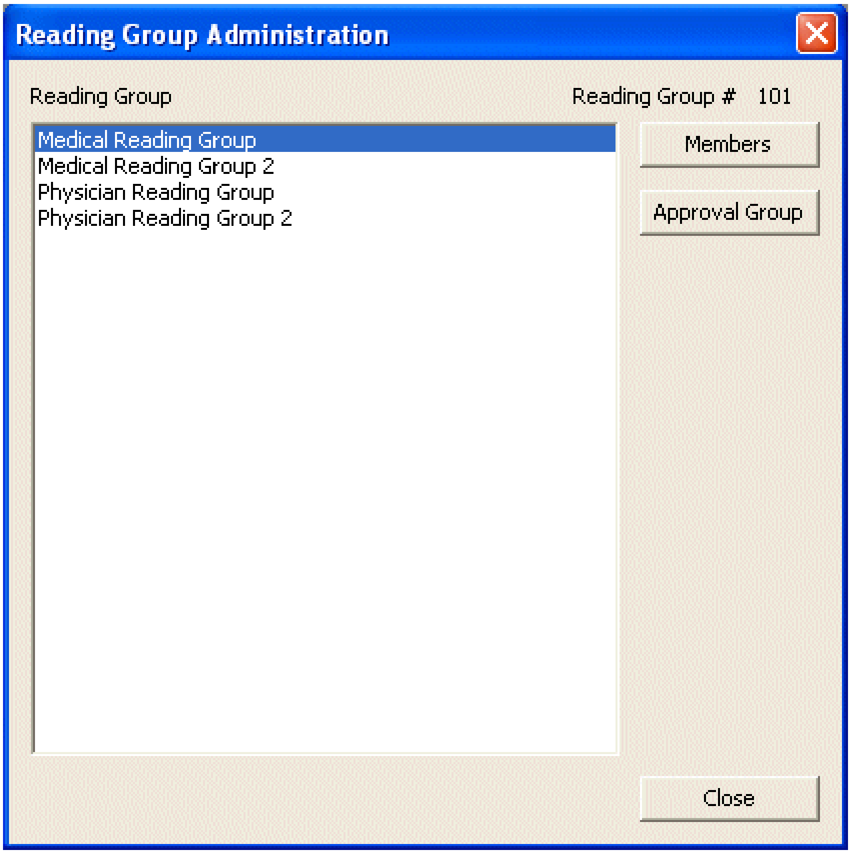
If neither condition is met, the user is available to add to the Reading Group under **Users** in the **Available for Selection** pane.

Set up Approval Groups and Members

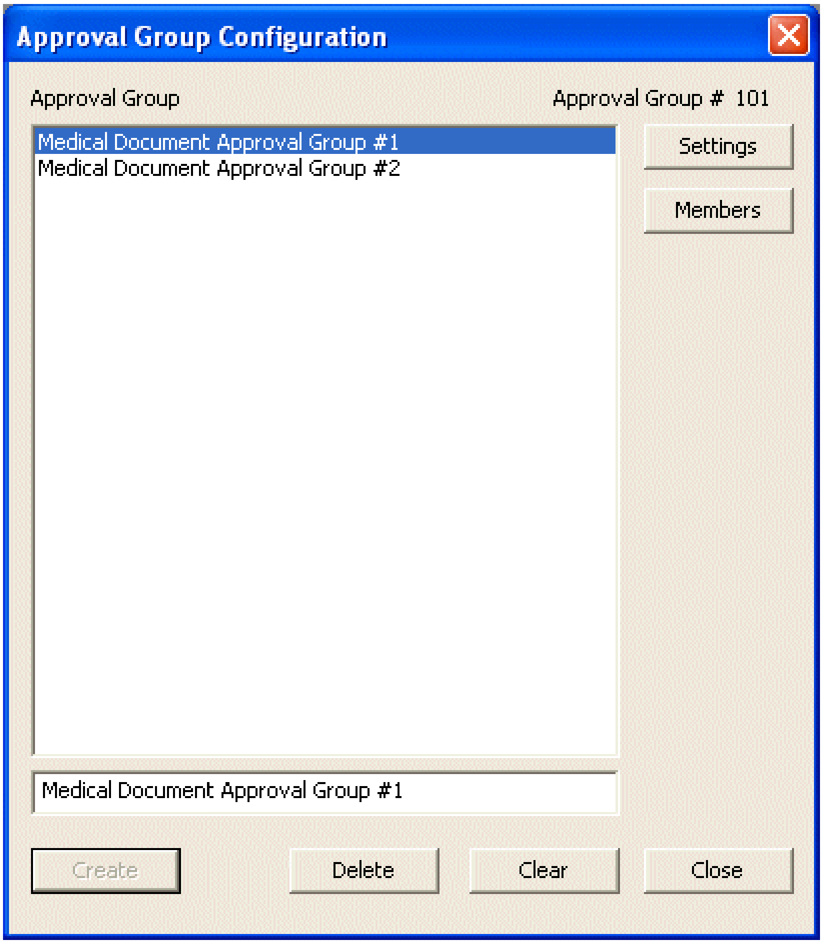
If you are an **Approval Administrator**, you can create Approval Groups and set up options and members for each Approval Group in the OnBase Client. This step complements the **Approval Types** settings configured in the Configuration module.

If a Reading Group is set to **Allow** or **Require Approval**, its documents must first be approved by the Approval Group assigned to the Reading Group before they are available to the Reading Group members for viewing.

1. In the **Reading Group Administration** dialog box, select a Reading Group and click **Approval Group**.



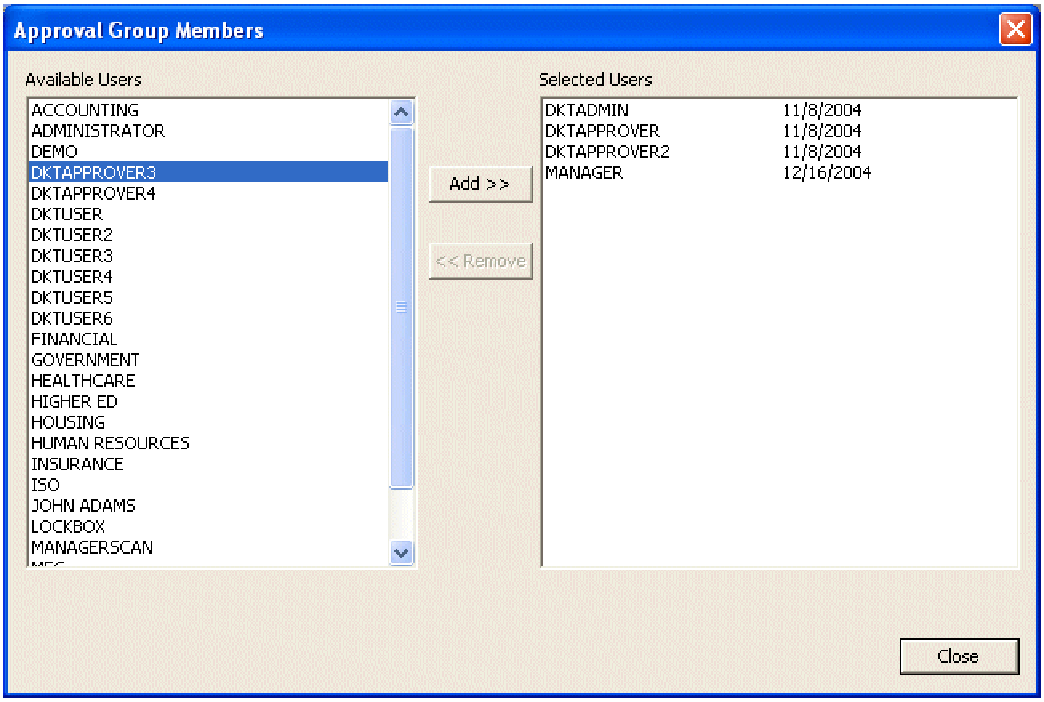
2. The **Approval Group Configuration** dialog box is displayed.



3. Type an approval group name in the field.
4. Click **Create**.
5. The **Approval Group Settings** dialog box is displayed.

You can also access this dialog box by clicking the **Settings** button.

6. Select one of the following approval settings:
   - **All to Approve Document** - means that every member of the Approval Group must first approve the document before it can be added to a Reading Group. If only one Approval member rejects the document, the document is rejected, and therefore, cannot be distributed.
   - **Any to Approve Document** - means that any member of the Approval Group can approve the document to be added to a Reading Group. In this case, only one person from an Approval Group is needed to make a decision on a document. If any member of this Approval Group rejects a document, no one else can vote to approve it, it is rejected by the entire Approval Group.
7. Click **Save**. The next step is to select the **Approval Group** members.
8. In the **Approval Group Configuration** dialog box, click **Members** to display the **Approval Group Members** dialog box.



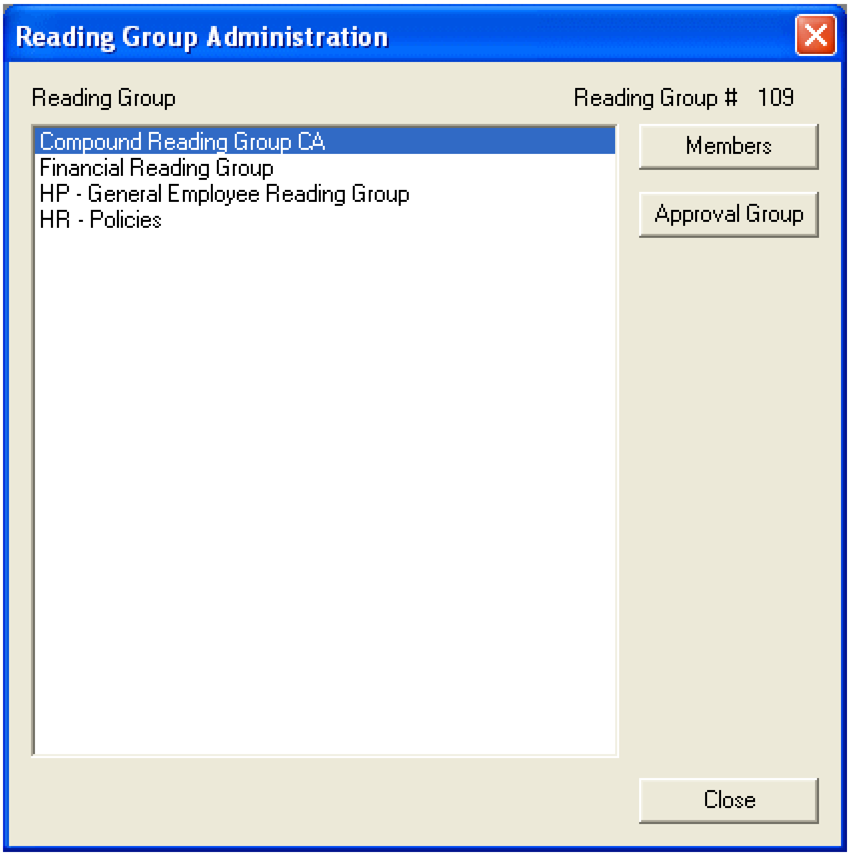
9. Select a user from the **Available Users** pane and click **Add** to add it to the **Selected Users** pane. This pane lists all members of the created Approval Group.
10. Click **Close** to return to the **Approval Group Configuration** dialog box.
11. Click **Close** again.

Set up Compound Reading Groups in the Client

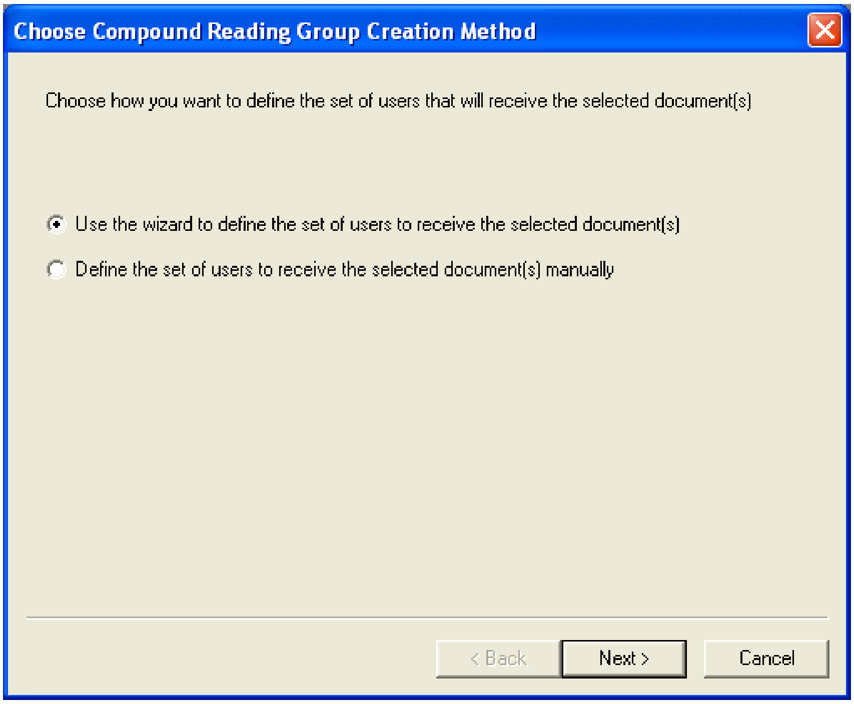
Membership for a Compound Reading Group (CRG) is determined by the members assigned to the CRG's child Reading Groups, which are traditional Reading Groups. To assign members to traditional Reading Groups, see Set up Reading Groups in the Client on page 178.

To assign child Reading Groups to a CRG:

1. Select **Admin | Knowledge Transfer | Reading Group Administration**.
2. In the **Reading Group Administration** dialog box, select a Compound Reading Group.



3. Click **Members**. The **Choose Compound Reading Group Creation Method** screen is displayed.

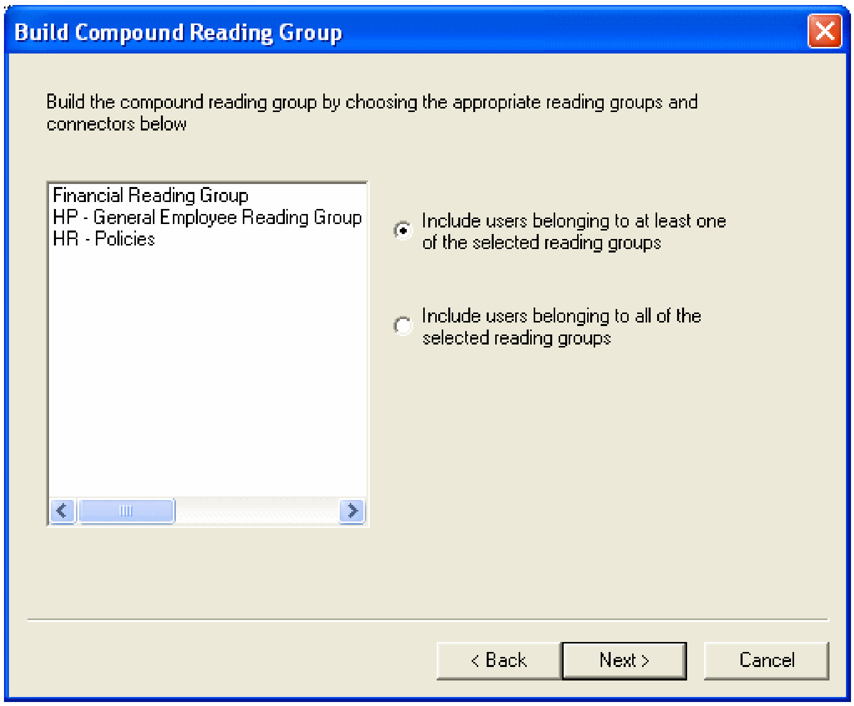


This screen allows you to choose between using the CRG wizard to define group membership or configuring the CRG definition manually.

4. Select one of the following options and click **Next**:
   - **Use the wizard to define the set of users to receive the selected document(s)**: Select to initiate the CRG wizard, which is an easy method for defining group membership. This method allows you to set AND/OR relationships between child Reading Groups for determining membership. After selecting this option, continue to CRG Wizard on page 187.
   - **Define the set of users to receive the selected document(s) manually**: Select to initiate manual configuration, which is more flexible than the CRG wizard, but also more advanced. Manual configuration allows you to construct complex statements defining group membership. For example, you can define the CRG to include users who are members of two child Reading Groups who are not also members of another child Reading Group. After selecting this option, continue to Manual Configuration on page 191.

CRG Wizard

The CRG wizard is initiated when you select **Use the wizard to define the set of users to receive the selected document(s)** and click **Next**:

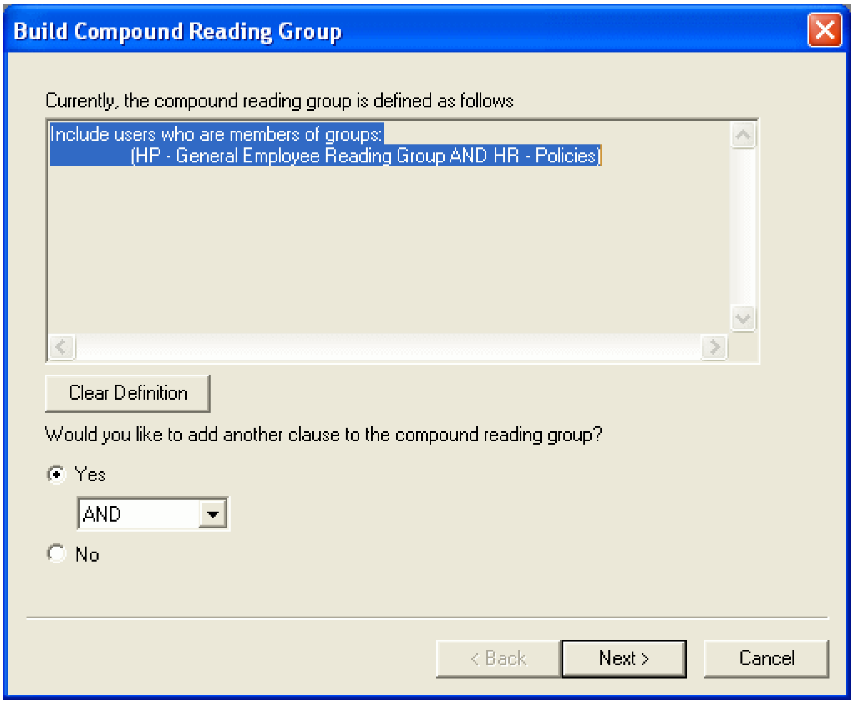


1. Select one of the following options:
   - **Include users belonging to at least one of the selected reading groups**: Select to include all members of all selected Reading Groups. For example, if you selected Sales and Development Reading Groups with this option, the CRG will include all members of the Sales Reading Group and all members of the Development Reading Group. The statement would read:

     Include users who are members of groups: [Sales OR Development]
   - **Include users belonging to all of the selected reading groups**. Select to include users who are common members of all selected Reading Groups. For example, if you selected Sales and Development Reading Groups with this option, the CRG will include only users who are members of both the Sales Reading Group and the Development Reading Group. The statement would read:

     Include users who are members of groups: [Sales AND Development]
2. From the pane on the left, select the child Reading Groups which will make up the CRG by clicking on each name. To clear a selected Reading Group, click the name again.

3. Click **Next**. The following screen allows you to review the current CRG definition and decide whether you want to add more criteria, clear the definition, or continue to the next step:

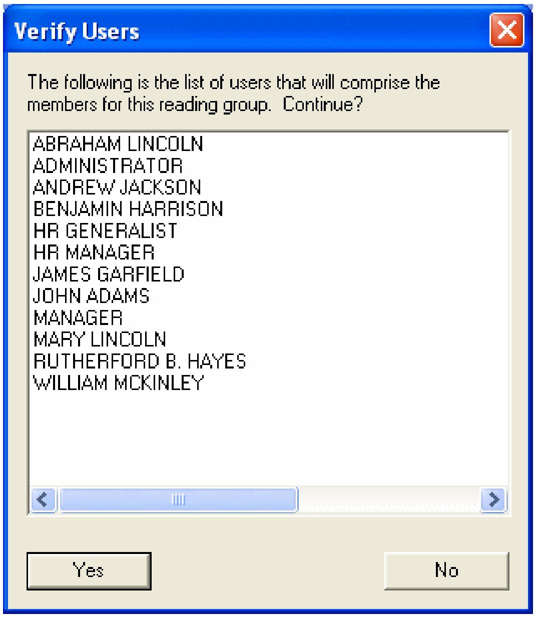


4. Review the definition. Definitions are composed of clauses, or criteria defining each component of group membership. Each clause is displayed on a new line.
   - If you want to expand on the definition by adding another clause, select **Yes**, then choose the operator that will join the new clause to the previous one. Options are AND and OR. If you select AND, the CRG will include members defined by the initial clause and the next clause you add. If you select OR, the CRG will include members meeting either of the initial clause or the next clause you add. When you click **Next**, you are returned to the first screen of the wizard. Return to step 1 and repeat this procedure for as many clauses as you want to add.

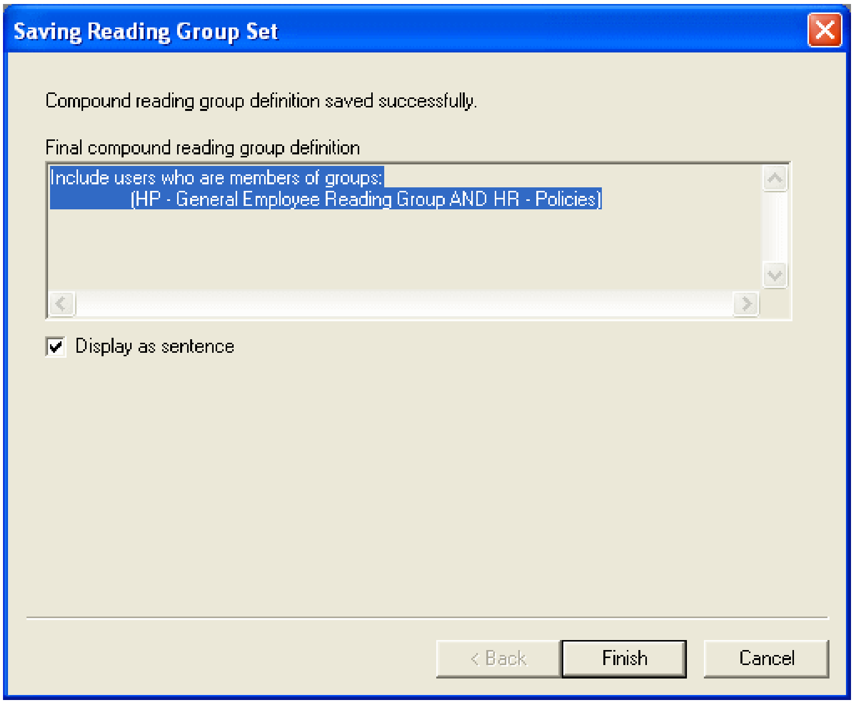
Note: When you select an AND/OR operator, that operator is used for each clause you add. If you return to this screen after adding another clause, the operator you selected the first time you accessed this screen is selected and must be used for each following clause. If you need more flexibility in defining the CRG, use the Manual Configuration method.

   - If you want to change the current definition, click **Clear Definition**. When you clear the definition, all clauses are removed and you begin from the first step. Return to step 1 and begin again.

- If you are satisfied with the current definition, select **No** and click **Next**. The **Verify Users** dialog box allows you to review the users who meet the criteria in the CRG definition. Documents added to the CRG are assigned to the users displayed.



5. To continue, click **Yes**. If you are not satisfied with the current CRG definition, click **No**.
   - If you click **No**, the **Saving Reading Group Set** screen indicates the CRG definition could not be saved. Click **Back** and return to the previous step.
   - If you click **Yes**, the following screen indicates the CRG definition was saved successfully.

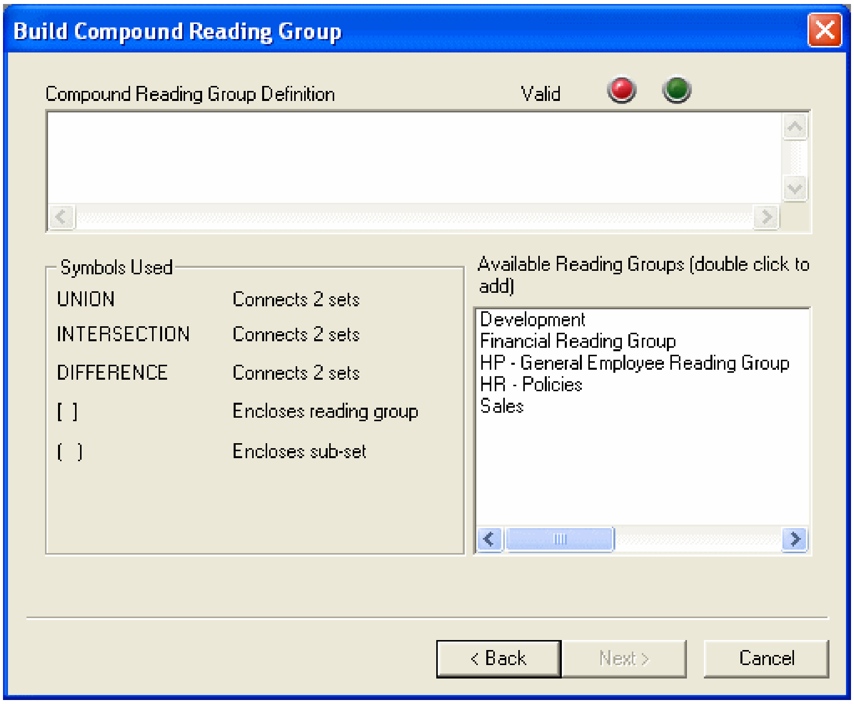


6. From the **Saving Reading Group Set** screen, select or clear the **Display as sentence** option to view the manual configuration syntax. Manual configuration uses INTERSECTION, UNION, and DIFFERENCE operators to define the CRG.

   In the CRG wizard, the DIFFERENCE operator is unavailable. Only INTERSECTION and UNION operators are used; these operators correspond with the AND and OR operators, respectively.
7. Click **Finish** to return to the **Reading Group Administration** dialog box.
8. If the CRG allows or requires approval, see Set up Approval Groups and Members on page 182 to configure the Approval Group.

Manual Configuration

Manual configuration is initiated when you select **Define the set of users to receive the selected document(s) manually** and click **Next**. Manual configuration allows you to construct complex statements for the CRG definitions in the field at the top of the screen.



CRG definitions are composed of a series of clauses. Clauses are criteria defining each component of group membership, and they include Reading Groups and operators. In definitions containing more than one clause, a clause may need to be enclosed in parentheses to determine which clause takes precedence. Clauses enclosed within parentheses are called subsets. Reading Group names must be enclosed within brackets.

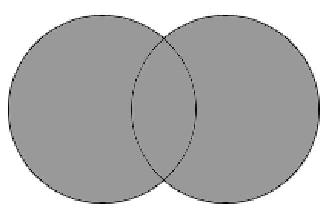
Operators, subsets, and interface components are described in the following sections.

Operators

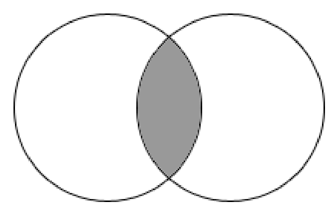
Clauses are connected by the following operators:

- UNION - This operator corresponds with the OR operator in the CRG wizard. When used to join two Reading Groups, UNION indicates that the CRG should include any user who is a member of either Reading Group. For example, a CRG defined as [Sales]UNION[Development] includes all members of Sales and all members of Development. A user who is a member of either Sales or Development becomes a member of the CRG.
- INTERSECTION - This operator corresponds with the AND operator in the CRG wizard. When used to join two Reading Groups, INTERSECTION indicates that the CRG should include only users who are members of both Reading Groups. For example, a CRG defined as [Sales]INTERSECTION[Development] includes only users who are members of both Sales and Development. A user who is a member of both Sales and Development becomes a member of the CRG.
- DIFFERENCE - This operator is not available in the CRG wizard. When used to join two Reading Groups, DIFFERENCE indicates that the CRG should include only users who are members of the first Reading Group and not members of the second Reading Group. For example, a CRG defined as [Sales]DIFFERENCE[Development] includes only users who are members of Sales and who are not also members of Development. A user who is a member of Sales but not Development becomes a member of the CRG.

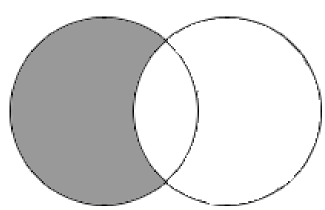
The following diagrams illustrate the relationships corresponding to each operator:



UNION



INTERSECTION



DIFFERENCE

Subsets

Depending on the operators and number of clauses used, you may need to enclose some clauses within parentheses as a subset. In definitions composed of two or more clauses, subsets determine which clause takes precedence. Without subsets, a definition may be invalid due to ambiguity. An example of an invalid definition might be:

- [Sales]UNION[Development]INTERSECTION[Managers].

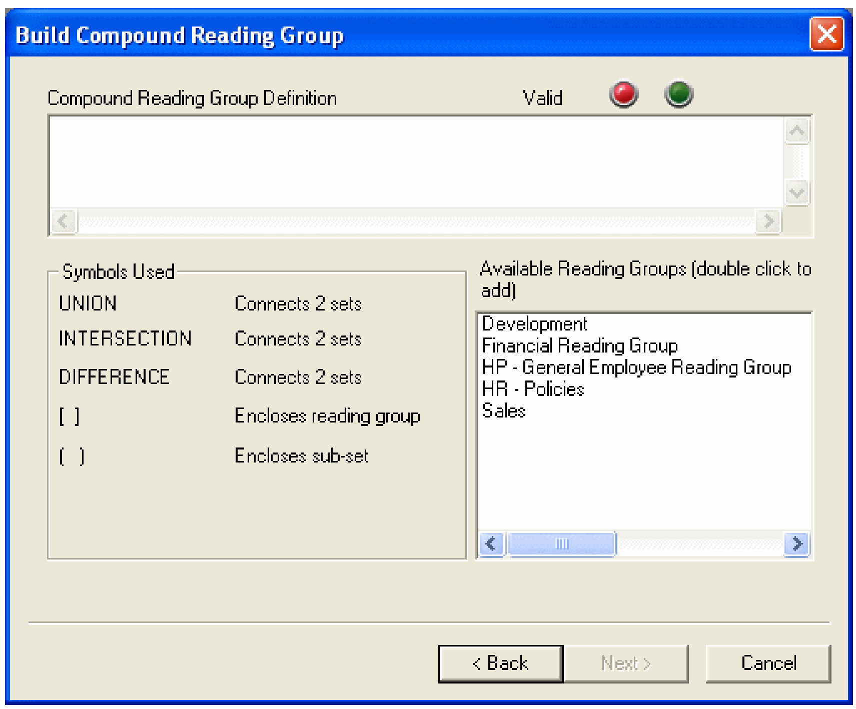
This definition is invalid because it is unclear which clause takes precedence: **[Sales]UNION[Development]** or **[Development]INTERSECTION[Managers]**. Placing a clause within a subset removes the ambiguity:

- [Sales]UNION**(**[Development]INTERSECTION[Managers]**)**

This definition is valid because the INTERSECTION clause is within a subset. It is clear that the CRG should include all users who are members of Sales and all users who are members of both Development and Managers.

Interface Components

When you begin manual configuration, the following screen is displayed:



The manual configuration screen has the following components:

Component	Description
Valid Indicator	Indicates whether the CRG definition is valid. The green light indicates the definition is valid. The red light indicates the definition is invalid. An invalid definition cannot be saved.

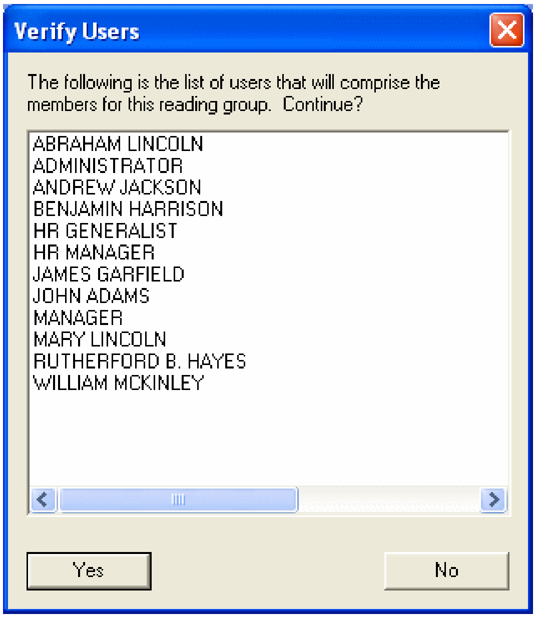
Component	Description
Compound Reading Group Definition	The CRG definition is composed in this field. You can define the CRG by typing directly in this field. Insert Reading Groups into the definition by double-clicking them from the pane in the bottom-right corner.
Symbols Used	Lists the symbols and operators you can use to construct the CRG definition. Brackets are used to enclose Reading Group names. Subsets are enclosed within parentheses. Blank spaces should be omitted from the definition.
Available Reading Groups Pane	Lists Reading Groups you can use to define the CRG. Double-click a Reading Group to insert it into the CRG definition field.

Procedure

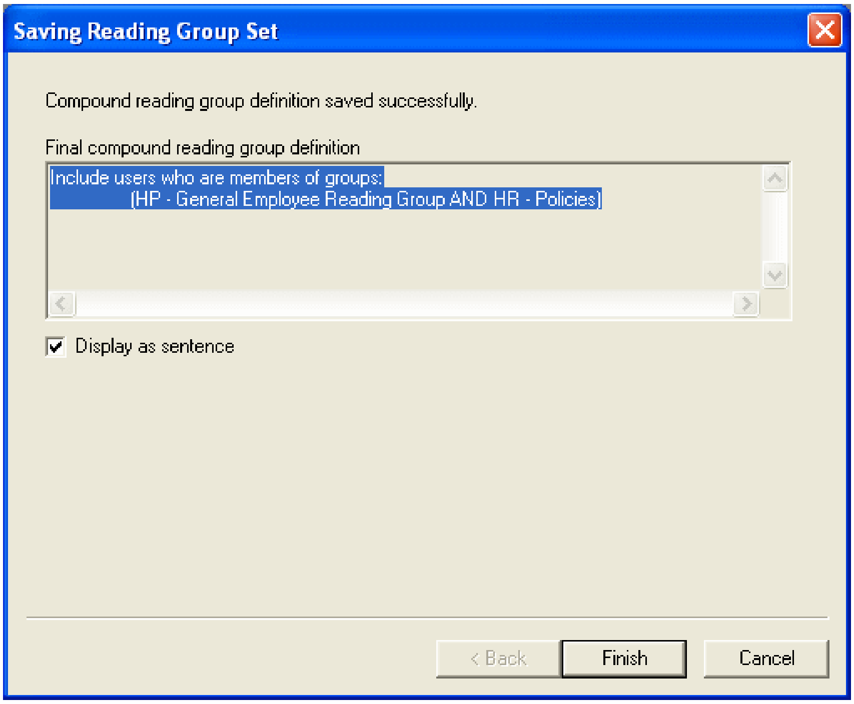
Before you begin, determine whom you want to include as members from existing Reading Groups. CRG membership is based on the child Reading Groups specified in the CRG definition. Then, determine how the CRG definition should be constructed using the operators and symbols described above. To define the CRG through manual configuration:

1. Click anywhere in the definition field. If the first clause of the definition needs to be in a subset, type the open parenthesis symbol. Subsets should be enclosed within parentheses where necessary. For a description of subsets, see Subsets on page 193.
2. Double-click the first Reading Group in the **Available Reading Groups** pane.
3. In the definition field, type the operator to join the first Reading Group with the next Reading Group. Do not insert any blank spaces. For a description of operators, see Operators on page 192.
4. Double-click the next Reading Group in the **Available Reading Groups** pane.
5. Continue adding subsets, operators, and Reading Groups to construct the CRG definition. If the definition is valid, the **Valid** indicator is set to green. If it is invalid, the **Valid** indicator is set to red.

6. When the definition is complete and valid, click **Next**. The **Verify Users** dialog box allows you to review the users who meet the criteria in the CRG definition and will compose the CRG. Documents added to the CRG are assigned to the users displayed.



7. To continue, click **Yes**. If you are not satisfied with the current CRG definition, click **No**.
    - If you click **No**, the **Saving Reading Group Set** screen indicates the CRG definition could not be saved. Click **Back** and return to the previous step.
    - If you click **Yes**, the following screen indicates the CRG definition was saved successfully.



8. From the **Saving Reading Group Set** screen, select or clear the **Display as sentence** option to view the manual configuration syntax. Depending on the complexity of the definition, OnBase may not be able to convert the definition to a sentence.
9. Click **Finish** to return to the **Reading Group Administration** dialog box.
10. If the CRG allows or requires approval, see Set up Approval Groups and Members on page 182 to configure the Approval Group.

Document Administration

In the OnBase Client, a **Document Administrator** can:

- Add one or more documents to a Reading Group
- View, remove, and track the status of documents and users in a Reading Group

You must have Document Administrator rights and privileges to access these functions.

Add Documents to a Reading Group

The Document Administrator can manually or automatically add a document to a Reading Group, as follows:

- **Automatic** - The **Auto-Assign Doc Type** feature is enabled when the Reading Group is configured in the Configuration module. If **Auto-Assign Doc Type** is enabled, importing a document with a Document Type that is auto-assigned to a Reading Group automatically assigns the document to that Reading Group.
- **Manual** - Documents can be added manually using right-click menu options.

Prerequisites

Before you can add a document to a Reading Group, ensure that:

- You have Administrator rights to add or remove documents to and from the Reading Group.
- The document to be added already exists in OnBase. If it is not, you must import the document to the system first before you can add it to the Reading Group.
- You must first retrieve the document(s) that you want to add.

Note: Without these prerequisites, the **Add Document** option will not be available. You should also make sure that you have the **Reading Group** prerequisites in place.

Manually Add Documents to the Reading Group in the Client

You can add documents to a Reading Group from the following locations:

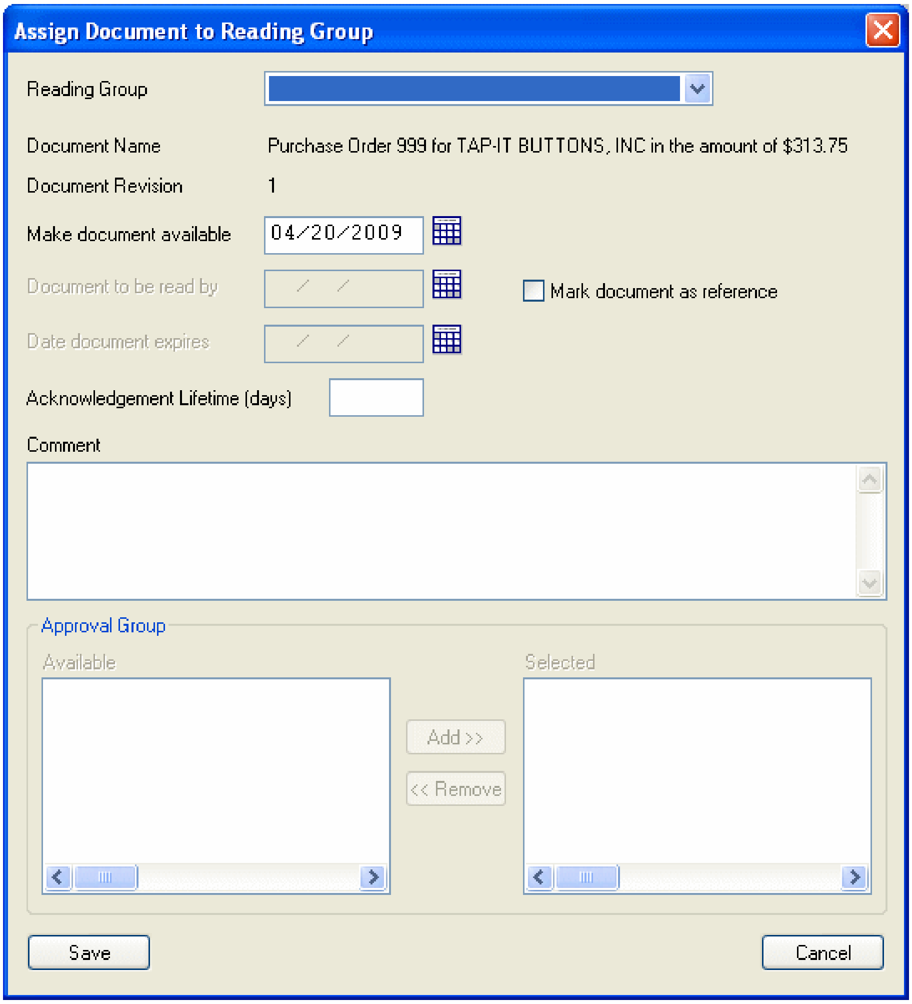
- Document Search Results list
- Internal document viewer
- Envelope document list
- Folder document list
- Custom Query document retrieval list
- Cross-referencing results hit list
- Batch processing hit list

To manually add a document or multiple documents to a Reading Group from a list of documents:

1. From a list of documents, select the document(s) to add to the Reading Group. You can also add an open document to the Reading Group.
2. To add the document(s), either:
   - Select **Admin | Knowledge Transfer | Add Document** or
   - Right-click and select **Knowledge Transfer | Add to Reading Group**.

Note: If one Reading Group is configured, and you attempted to add a document that is already present in that Reading Group, a **Reading Group Warning** dialog box displays stating that, “There are no available reading groups to add this document to.”

The **Assign Document to Reading Group** dialog box displays:



3. From the **Reading Group** drop-down list, select the Reading Group to add the document(s) to.

Note: If two or more Reading Groups are configured, and you attempted to add a document that is already present in one or more Reading Groups, the Reading Groups that the document has already been added to will not appear in the **Reading Group** drop-down list.

If a Reading Group that includes the appropriate members is not available, you can create an implicit Compound Reading Group (CRG). To create an implicit CRG, see Creating an Implicit Compound Reading Group on page 201.

Note: Because implicit CRGs are not configured in the Configuration module, they inherit the configuration settings of their child Reading Groups, which are configured in the Configuration module. See your system administrator for more information about how implicit CRGs inherit configuration settings.

4. Change the following settings as needed:

Option	Description
Make document available	Date when the selected document(s) will become available to the Reading Group members. This date cannot be after the deadline date for reading the document. If this field is made blank, you will receive an error. **Caution:** If Distribution Services are configured for the Reading Group, email distribution will occur on the day the document is added to the Reading Group - not on the day the document becomes available to members.
Document to be read by	Deadline date for reading the selected document(s). Documents not read by this date have a status of **Delinquent** in the **Reading Group Viewer**. If this field is made blank, no deadline date will be assigned to the selected documents.
Mark document as reference	When this check box is selected, the selected document(s) will be automatically added to the **Reading Group Viewer Reference** pane as well as the **Not Viewed** pane.
Date document expires	Document expiration date. Selected document(s) will be removed from the Reading Group after this date. This option is only available if the selected Reading Group has document expiration enabled. To disable document expiration, make this field blank.

Option	Description
Acknowledgment Lifetime (days)	Number of days an acknowledgment remains valid for the selected document(s). When this number of days since a user acknowledged a document has elapsed, the document is automatically added back into the Reading Group for that user. Leave this field blank or enter **0** for acknowledgments to remain valid indefinitely.
Comment	Type the reason why the document is being added to the Reading Group.

5. From the **Approval Group** section, select an **Approval Group** to approve the added document(s).
6. Click **Add**. The Approval Group is displayed in the **Selected** list.

Note: If the selected Reading Group is configured to **Require Approval**, you must select an **Approval Group** and click the **Add** button before you close this dialog box.

7. Click **Save**. A confirmation message is displayed.

Note: If you attempted to add documents that are already present in the Reading Group, a message displays the number of documents you are attempting to add that are already present. These documents will not be added to the Reading Group. Only documents that are not present in the Reading Group will be added.

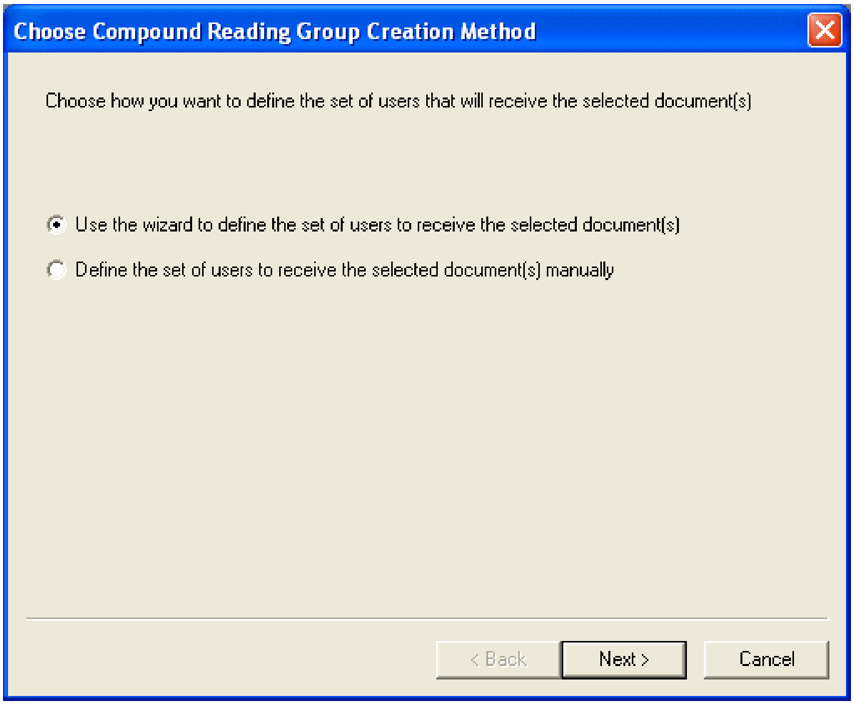
8. Click **OK** to close the message.

Creating an Implicit Compound Reading Group

Implicit Compound Reading Groups (CRGs) are created when manually assigning documents to a Reading Group.

Implicit CRG creation begins from the **Assign Document to Reading Group** dialog box. When you manually assign documents to a Reading Group, the **Assign Document to Reading Group** dialog box is displayed.

1. Select **<Compound reading group>** from the **Reading Group** drop-down list. The **Choose Compound Reading Group Creation Method** screen is displayed. This screen allows you to choose between using the CRG wizard to define group membership or configuring the CRG definition manually.

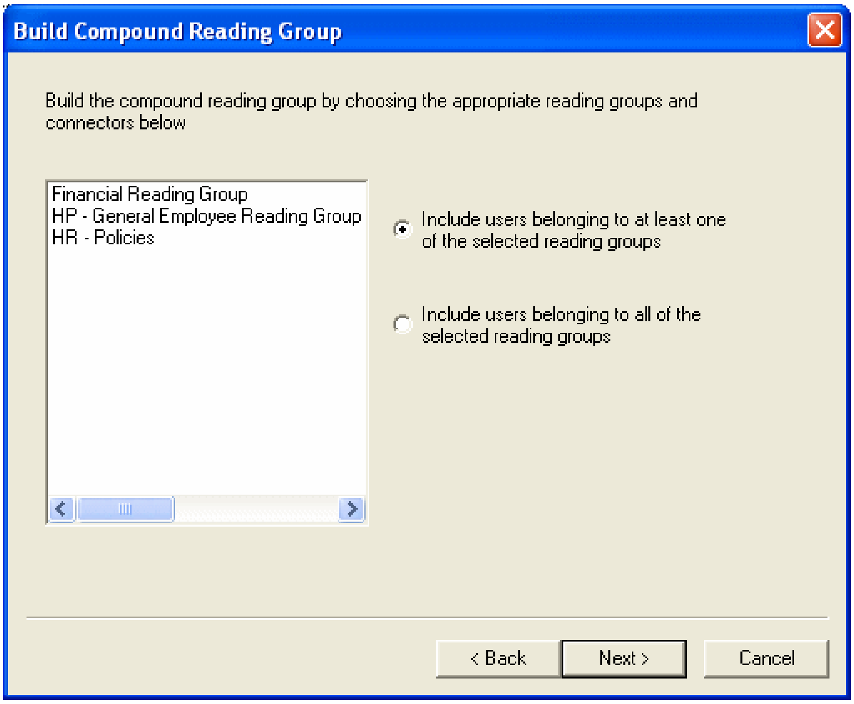


2. Select one of the following options and click **Next**:
   - **Use the wizard to define the set of users to receive the selected document(s)**: Select to initiate the CRG wizard, which is an easy method for defining group membership. This method allows you to set AND/OR relationships between child Reading Groups for determining membership. If you select this option, proceed to CRG Wizard on page 202.
   - **Define the set of users to receive the selected document(s) manually**: Select to initiate manual configuration, which is more flexible than the CRG wizard, but also more advanced. Manual configuration allows you to construct complex statements defining group membership. For example, you can define the CRG to include users who are members of two child Reading Groups who are not also members of another child Reading Group. If you select this option, proceed to Manual Configuration on page 206.

3. When you have finished creating the implicit CRG, return to Manually Add Documents to the Reading Group in the Client on page 197.

CRG Wizard

The CRG wizard is initiated when you select **Use the wizard to define the set of users to receive the selected document(s)** and click **Next**:

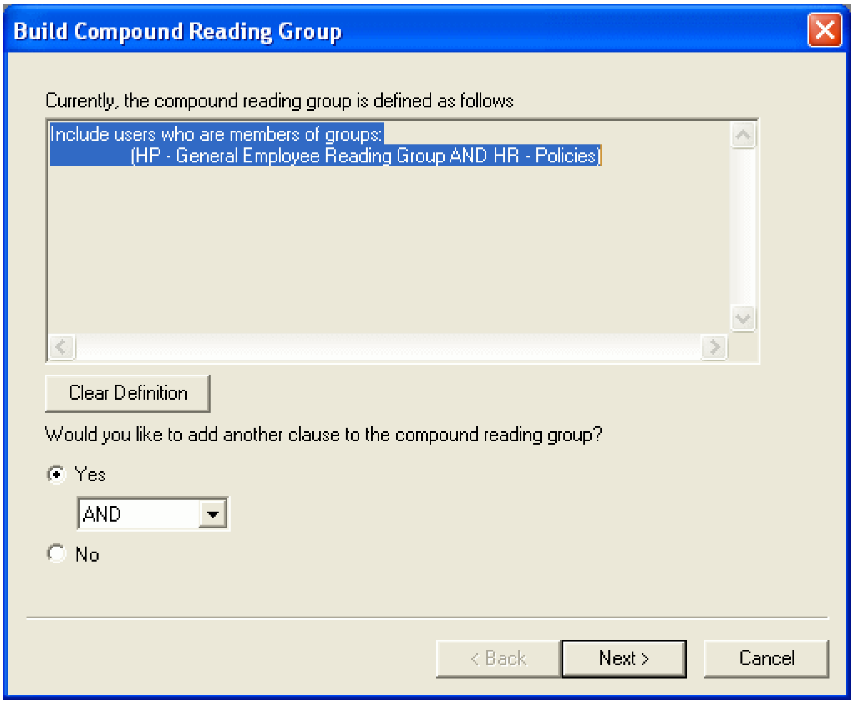


1. Select one of the following options:
   - **Include users belonging to at least one of the selected reading groups**: Select to include all members of all selected Reading Groups. For example, if you selected Sales and Development Reading Groups with this option, the CRG will include all members of the Sales Reading Group and all members of the Development Reading Group. The statement would read:

     Include users who are members of groups: [Sales OR Development]
   - **Include users belonging to all of the selected reading groups**. Select to include users who are common members of all selected Reading Groups. For example, if you selected Sales and Development Reading Groups with this option, the CRG will include only users who are members of both the Sales Reading Group and the Development Reading Group. The statement would read:

     Include users who are members of groups: [Sales AND Development]
2. From the pane on the left, select the child Reading Groups which will make up the CRG by clicking on each name. To clear a selected Reading Group, click the name again.

3. Click **Next**. The following screen allows you to review the current CRG definition and decide whether you want to add more criteria, clear the definition, or continue to the next step:

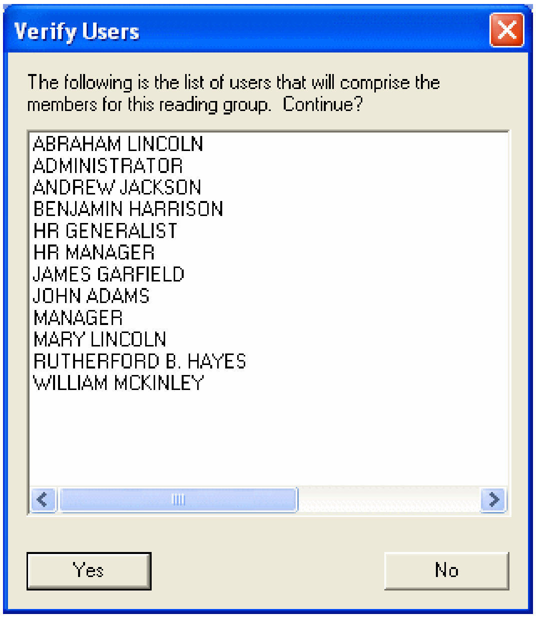


4. Review the definition. Definitions are composed of clauses, or criteria defining each component of group membership. Each clause is displayed on a new line.
   - If you want to expand on the definition by adding another clause, select **Yes**, then choose the operator that will join the new clause to the previous one. Options are AND and OR. If you select AND, the CRG will include members defined by the initial clause and the next clause you add. If you select OR, the CRG will include members meeting either of the initial clause or the next clause you add. When you click **Next**, you are returned to the first screen of the wizard. Return to step 1 and repeat this procedure for as many clauses as you want to add.

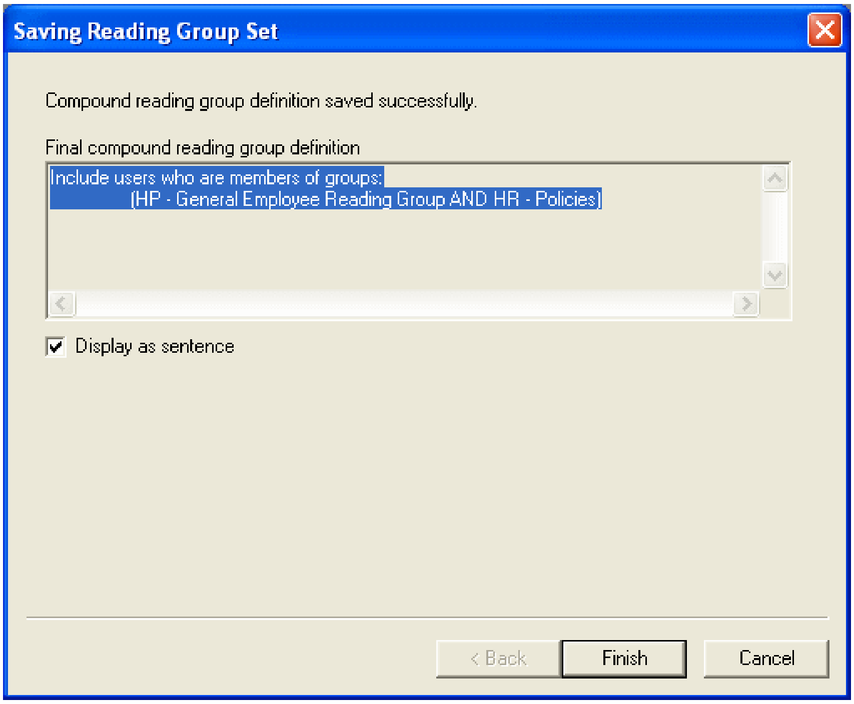
Note: When you select an AND/OR operator, that operator is used for each clause you add. If you return to this screen after adding another clause, the operator you selected the first time you accessed this screen is selected and must be used for each following clause. If you need more flexibility in defining the CRG, use the Manual Configuration method.

   - If you want to change the current definition, click **Clear Definition**. When you clear the definition, all clauses are removed and you begin from the first step. Return to step 1 and begin again.

- If you are satisfied with the current definition, select **No** and click **Next**. The **Verify Users** dialog box allows you to review the users who meet the criteria in the CRG definition. Documents added to the CRG are assigned to the users displayed.



5. To continue, click **Yes**. If you are not satisfied with the current CRG definition, click **No**.
   - If you click **No**, the **Saving Reading Group Set** screen indicates the CRG definition could not be saved. Click **Back** and return to the previous step.
   - If you click **Yes**, the following screen indicates the CRG definition was saved successfully.

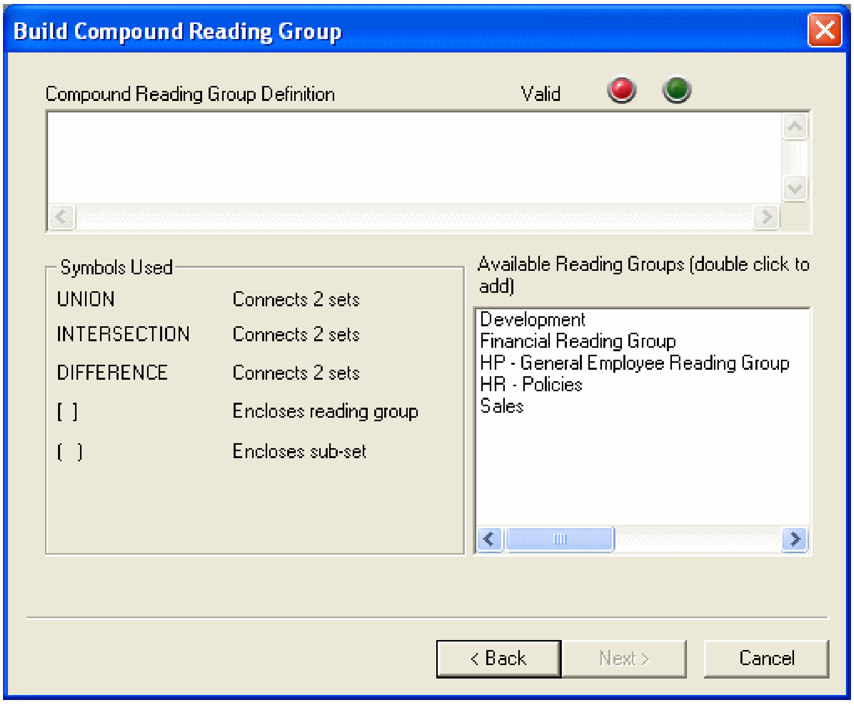


6. From the **Saving Reading Group Set** screen, select or clear the **Display as sentence** option to view the manual configuration syntax. Manual configuration uses INTERSECTION, UNION, and DIFFERENCE operators to define the CRG.

   In the CRG wizard, the DIFFERENCE operator is unavailable. Only INTERSECTION and UNION operators are used; these operators correspond with the AND and OR operators, respectively.
7. Click **Finish** to return to the **Reading Group Administration** dialog box.
8. Return to Manually Add Documents to the Reading Group in the Client on page 197.

Manual Configuration

Manual configuration is initiated when you select **Define the set of users to receive the selected document(s) manually** and click **Next**. Manual configuration allows you to construct complex statements for the CRG definitions in the field at the top of the screen.



CRG definitions are composed of a series of clauses. Clauses are criteria defining each component of group membership, and they include Reading Groups and operators. In definitions containing more than one clause, a clause may need to be enclosed in parentheses to determine which clause takes precedence. Clauses enclosed within parentheses are called subsets. Reading Group names must be enclosed within brackets.

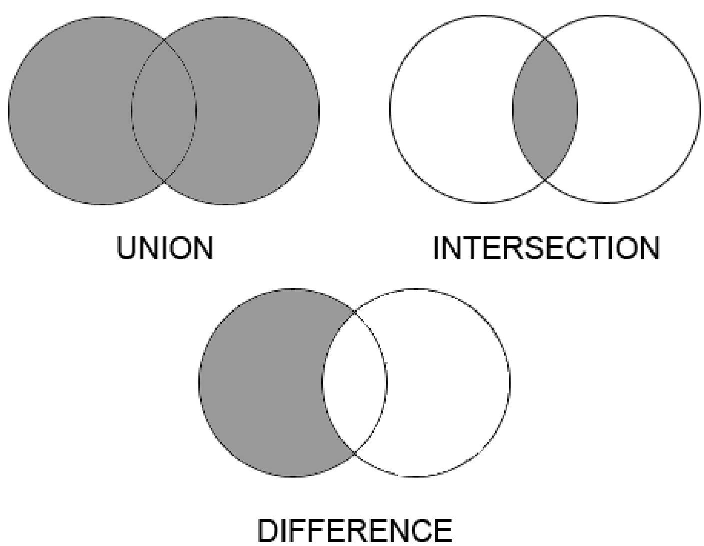
Operators, subsets, and interface components are described in the following sections.

Operators

Clauses are connected by the following operators:

- UNION - This operator corresponds with the OR operator in the CRG wizard. When used to join two Reading Groups, UNION indicates that the CRG should include any user who is a member of either Reading Group. For example, a CRG defined as [Sales]UNION[Development] includes all members of Sales and all members of Development. A user who is a member of either Sales or Development becomes a member of the CRG.
- INTERSECTION - This operator corresponds with the AND operator in the CRG wizard. When used to join two Reading Groups, INTERSECTION indicates that the CRG should include only users who are members of both Reading Groups. For example, a CRG defined as [Sales]INTERSECTION[Development] includes only users who are members of both Sales and Development. A user who is a member of both Sales and Development becomes a member of the CRG.
- DIFFERENCE - This operator is not available in the CRG wizard. When used to join two Reading Groups, DIFFERENCE indicates that the CRG should include only users who are members of the first Reading Group and not members of the second Reading Group. For example, a CRG defined as [Sales]DIFFERENCE[Development] includes only users who are members of Sales and who are not also members of Development. A user who is a member of Sales but not Development becomes a member of the CRG.

The following diagrams illustrate the relationships corresponding to each operator:



Subsets

Depending on the operators and number of clauses used, you may need to enclose some clauses within parentheses as a subset. In definitions composed of two or more clauses, subsets determine which clause takes precedence. Without subsets, a definition may be invalid due to ambiguity. An example of an invalid definition might be:

- [Sales]UNION[Development]INTERSECTION[Managers].

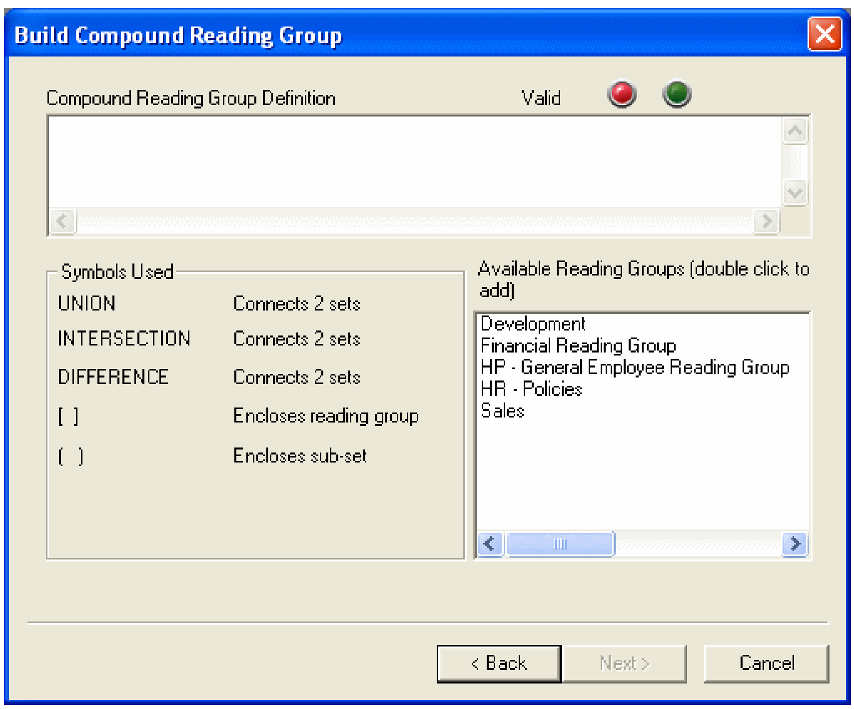
This definition is invalid because it is unclear which clause takes precedence: **[Sales]UNION[Development]** or **[Development]INTERSECTION[Managers]**. Placing a clause within a subset removes the ambiguity:

- [Sales]UNION([Development]INTERSECTION[Managers])

This definition is valid because the INTERSECTION clause is within a subset. It is clear that the CRG should include all users who are members of Sales and all users who are members of both Development and Managers.

Interface Components

When you begin manual configuration, the following screen is displayed:



The manual configuration screen has the following components:

Component	Description
Valid Indicator	Indicates whether the CRG definition is valid. The green light indicates the definition is valid. The red light indicates the definition is invalid. An invalid definition cannot be saved.

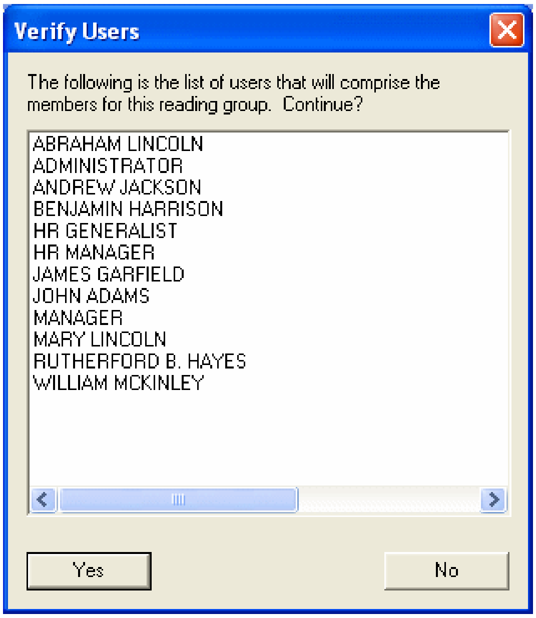
Component	Description
Compound Reading Group Definition	The CRG definition is composed in this field. You can define the CRG by typing directly in this field. Insert Reading Groups into the definition by double-clicking them from the pane in the bottom-right corner.
Symbols Used	Lists the symbols and operators you can use to construct the CRG definition. Brackets are used to enclose Reading Group names. Subsets are enclosed within parentheses. Blank spaces should be omitted from the definition.
Available Reading Groups Pane	Lists Reading Groups you can use to define the CRG. Double-click a Reading Group to insert it into the CRG definition field.

Procedure

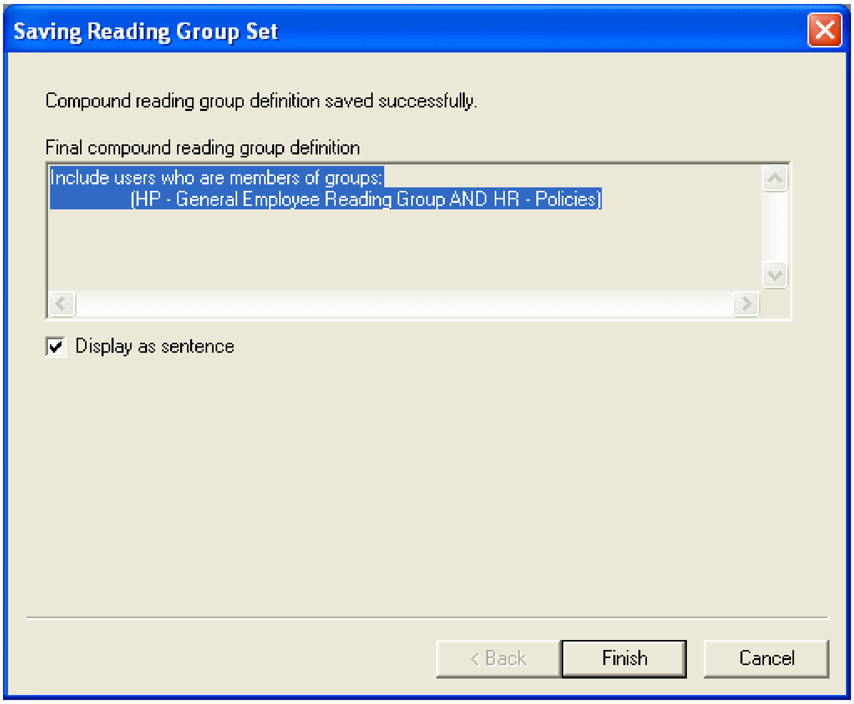
Before you begin, determine whom you want to include as members from existing Reading Groups. CRG membership is based on the child Reading Groups specified in the CRG definition. Then, determine how the CRG definition should be constructed using the operators and symbols described above. To define the CRG through manual configuration:

1. Click anywhere in the definition field. If the first clause of the definition needs to be in a subset, type the open parenthesis symbol. Subsets should be enclosed within parentheses where necessary. For a description of subsets, see Subsets on page 193.
2. Double-click the first Reading Group in the **Available Reading Groups** pane.
3. In the definition field, type the operator to join the first Reading Group with the next Reading Group. Do not insert any blank spaces. For a description of operators, see Operators on page 192.
4. Double-click the next Reading Group in the **Available Reading Groups** pane.
5. Continue adding subsets, operators, and Reading Groups to construct the CRG definition. If the definition is valid, the **Valid** indicator is set to green. If it is invalid, the **Valid** indicator is set to red.

6. When the definition is complete and valid, click **Next**. The **Verify Users** dialog box allows you to review the users who meet the criteria in the CRG definition and will compose the CRG. Documents added to the CRG are assigned to the users displayed.



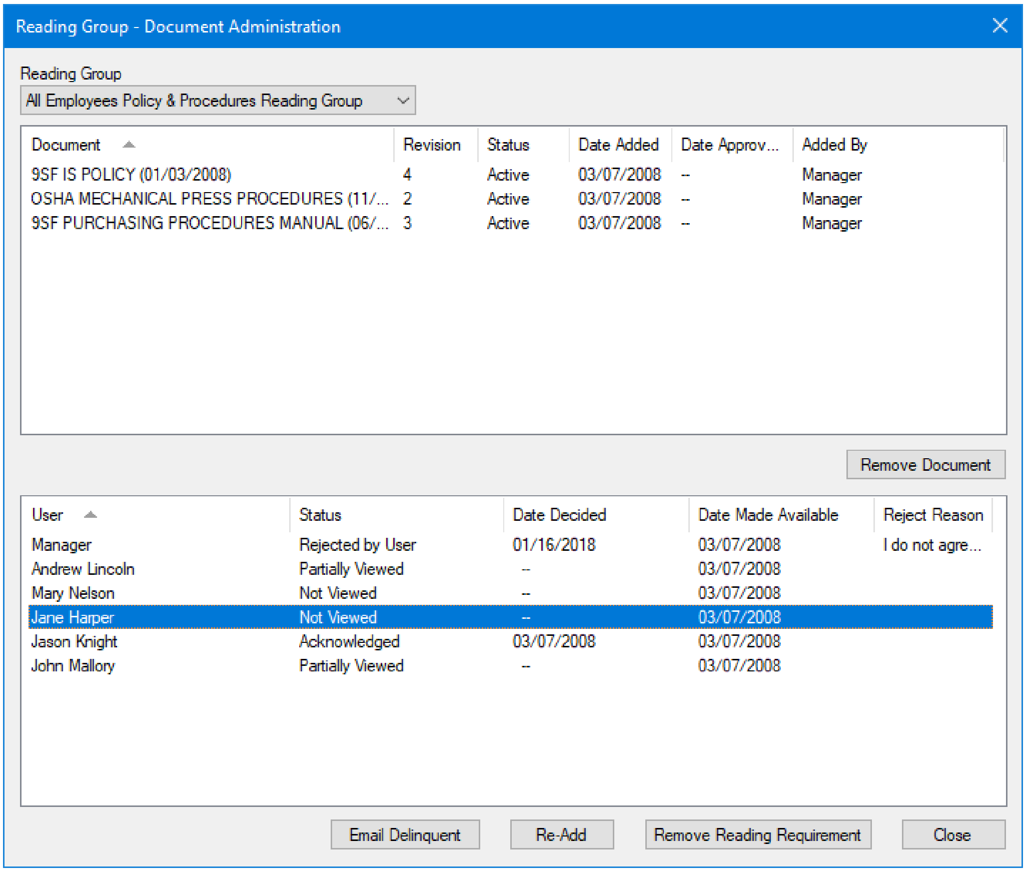
7. To continue, click **Yes**. If you are not satisfied with the current CRG definition, click **No**.
   - If you click **No**, the **Saving Reading Group Set** screen indicates the CRG definition could not be saved. Click **Back** and return to the previous step.
   - If you click **Yes**, the following screen indicates the CRG definition was saved successfully.



8. From the **Saving Reading Group Set** screen, select or clear the **Display as sentence** option to view the manual configuration syntax. Depending on the complexity of the definition, OnBase may not be able to convert the definition to a sentence.
9. Click **Finish** to return to the **Reading Group Administration** dialog box.
10. Return to Manually Add Documents to the Reading Group in the Client on page 197.

Document Administration in the Client

Document administration is performed in the OnBase Client from the **Reading Group - Document Administration** dialog box.



The **Reading Group - Document Administration** dialog box allows you to see the following information at a glance:

- All documents for each Reading Group or all Reading Groups
- All member readers of each Reading Group
- Document Status (according to revision number, approval status, reference dates, added by)
- Viewer Status (according to view status, date acknowledged, date when document was made available to the user, rejection comments)

If you are an administrator for a child Reading Group belonging to an explicit Compound Reading Group (CRG), you may be able to administer CRG documents for the child Reading Group. If you are an administrator for an explicit CRG, you can administer CRG documents by selecting the CRG from the **Reading Group** drop-down list.

Note: Implicit CRGs are unavailable from the **Reading Group** drop-down list. Select **<ALL>** to administer documents added to an implicit CRG. Select one of the implicit CRG's child Reading Groups to administer documents only to the child Reading Group.

To access **Document Administration** in the OnBase Client:

1. Select **Admin | Knowledge Transfer | Document Administration**.

   The **Reading Group - Document Administration** dialog box displays.
2. Select a Reading Group from the **Reading Group** drop-down list.

   All the documents assigned to the Reading Group are displayed in the **Document** pane. The **Document** pane displays the following information for each document in the selected Reading Group.

Column	Descriptions
Document	The Auto-Name string of the document added to the Reading Group.
Revision	The revision number of the document added to the Reading Group.
Status	Indicates whether the document is awaiting approval from an Approval Group, is in the Reading Group members' queues, has been rejected. Statuses are described below. • **Active** documents have been approved by the Approval Group or did not require approval. An active document is available in Reading Group members' queues on or after the **Make document available** date, which is specified when a document is added to a Reading Group. • **Pending Approval** documents are currently awaiting approval prior to distribution to the Reading Group members' queues. • **In Progress** documents are in the Approval process but are not yet fully approved. A document may be in progress if it has been approved by only one member of Approval Group that requires approval from all members. • **Rejected** documents have been rejected by the Approval Group. Rejected documents are not added to members' Reading Group queues.
Date Added	The date the document was added to the Reading Group.
Date Approved	The date when the document was approved for distribution, if the document was submitted for approval.
Added By	The name of the document administrator who added the document to the Reading Group.

3. Select a document in the **Document** pane to see the user/reader information for the selected document.

   The **User** pane displays all the Reading Group members as well as the following information for each Reading Group member in relation to the selected document in the **Document** pane:

Column	Description
User	Displays the name of the Reading Group member.

Column	Description
Status	Indicates the user's view/decision status for the document. Possible statuses are **Acknowledged**, **Rejected**, **Not Viewed**, or **Delinquent**. A user with Delinquent status has not read the required reading by the deadline date. The Document Administrator can use this information to notify delinquent users of their out-of-compliance status.
Date Decided	Displays the date the user acknowledged or rejected the document.
Date Made Available	Displays the date when the document was made available to the user. The user had access to the document in the Reading Group viewer beginning on this date.
Reject Reason	Displays the rejection comment specified by the user when the document was rejected.

Removing a Document from a Reading Group

To remove a document from a Reading Group through **Document Administration**.

1. Select the Reading Group from the drop-down list.
2. Select the document you want to remove.
3. Click **Remove Document**. A warning message asks you to confirm removal of the document.
4. Click **Yes** to confirm removal.

Note: Documents removed from this dialog box are not deleted from OnBase; they are removed only from the Reading Group they belong to.

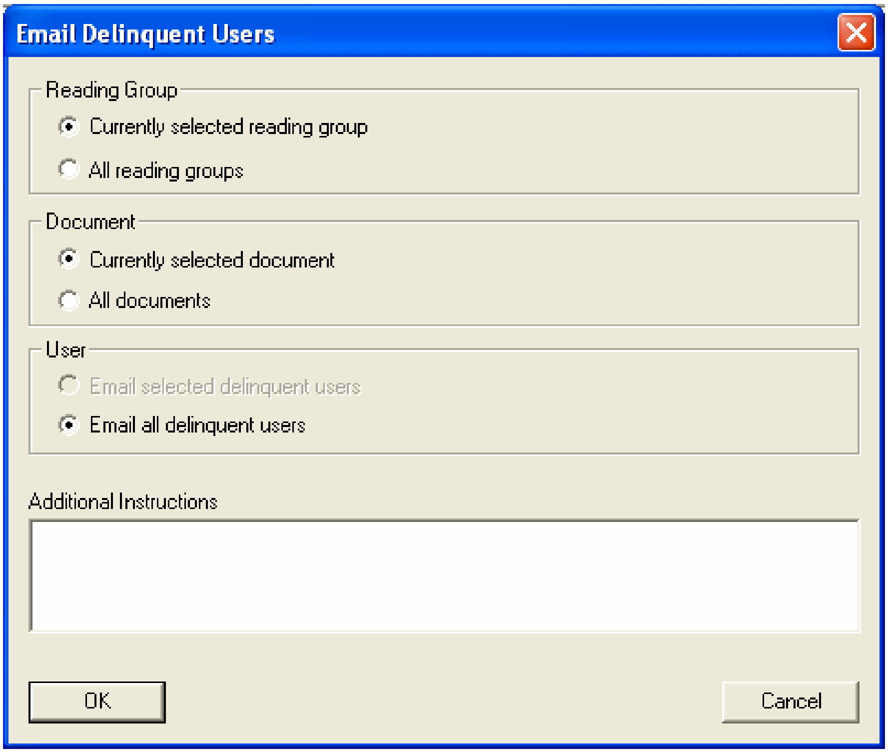
Emailing Delinquent Users

Reading Group members have a Delinquent status if they have not read a document by its assigned deadline date. If you have **Compliance** rights to a Reading Group, you can email Reading Group members to inform them of their Delinquent status through **Document Administration**.

From **Document Administration**:

1. Select the Reading Group from the drop-down list. If you are emailing all users with a Delinquent status in any Reading Group, go to step 4.
2. To email Reading Group members with a Delinquent status for a specific document, select the document from the **Document** pane. If you are emailing Reading Group members with a Delinquent status for any document, go to step 4.
3. To email a specific Reading Group members, select the Reading Group member(s) from the **User** pane. You can hold down the **Ctrl** key to select multiple users. If you are emailing all Reading Group members with a Delinquent status, you can skip this step.

4. Click **Email Delinquent**. The **Email Delinquent Users** dialog box is displayed.



5. Select one of the following **Reading Group** options:
   - **Currently selected reading group** - Send notifications only for the currently selected Reading Group.
   - **All reading groups** - Send notifications for all Reading Groups you have rights to administer.
6. Select one of the following **Document** options:
   - **Currently selected document** - Send notifications only for the currently selected document in the Reading Group.
   - **All documents** - Send notifications for all documents in the Reading Group.
7. Select one of the following **User** options:
   - **Email selected delinquent users** - Send notifications only for the currently selected users in the Reading Group.
   - **Email all delinquent users** - Send notifications to all delinquent users.

8. Type any **Additional Instructions**.

   The email that is sent contains a list of the documents for which each user is delinquent. This field allows you to modify the email by adding additional instructions.

Note: Internal email has a limit of 250 characters. Therefore, if the list of delinquent documents is long, the **Additional Instructions** field may not appear. External email does not have this limitation.

9. Click **OK** to send the notifications.

Removing a Reading Requirement for a User

To remove a document reading requirement for a specific user through **Document Administration**:

1. Select the Reading Group from the drop-down list.
2. Select the document from the **Document** pane.
3. Select the user from the **User** pane.
4. Click **Remove Reading Requirement**.
5. You are prompted to confirm that you want to remove a document reading requirement for the user. Click **Yes** to confirm, or **No** to cancel. If you click **Yes**, the user will be removed from the list of users for that document, and the document will no longer be listed in the **Reading Group Viewer** when the user accesses DKT.

Note: You must have rights to all Reading Groups the document belongs to in order to remove reading requirements.

Re-Adding a Document for a Reading Group or User

Document Administration allows you to re-add a document for all members or for individual members of a Reading Group. Re-added documents are listed in the user's **Not Viewed** pane. If a deadline is configured, the deadline is updated when the document is re-added.

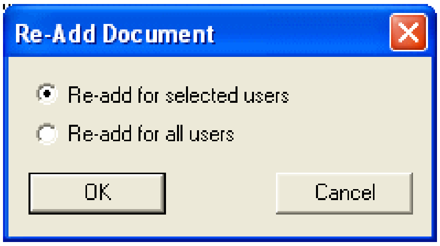
Note: You must be a administrator for the Reading Group with **Document** and **Compliance** privileges in order to re-add documents. Administrator privileges are assigned from the **Reading Group Configuration** dialog box in the Configuration module.

Note: You cannot re-add documents that were added to an explicit CRG.

To re-add a document through **Document Administration**:

1. Select the Reading Group from the drop-down list.
2. Select the document from the **Document** pane.
3. Select the Reading Group member(s) from the **User** pane. If you are re-adding the document for all Reading Group members, you can skip this step.

4. Click **Re-Add Document**. The **Re-Add Document** dialog box is displayed.



5. Select one of the following options:
   - **Re-add for selected users** - re-adds the document for only the users selected in the **User** pane.
   - **Re-add for all users** - re-adds the document for the entire Reading Group.
6. Click **OK**. The **User** pane is refreshed to reflect the re-added document.

User Administration

User Administration allows the Reading Group **Compliance Administrator** to track user reading compliance of documents in their respective Reading Groups. The **User Administration Viewer** can show the delinquency status of users according to their required reading assignments. Readers are said to be delinquent when they have not read a required document within the allotted time frame.

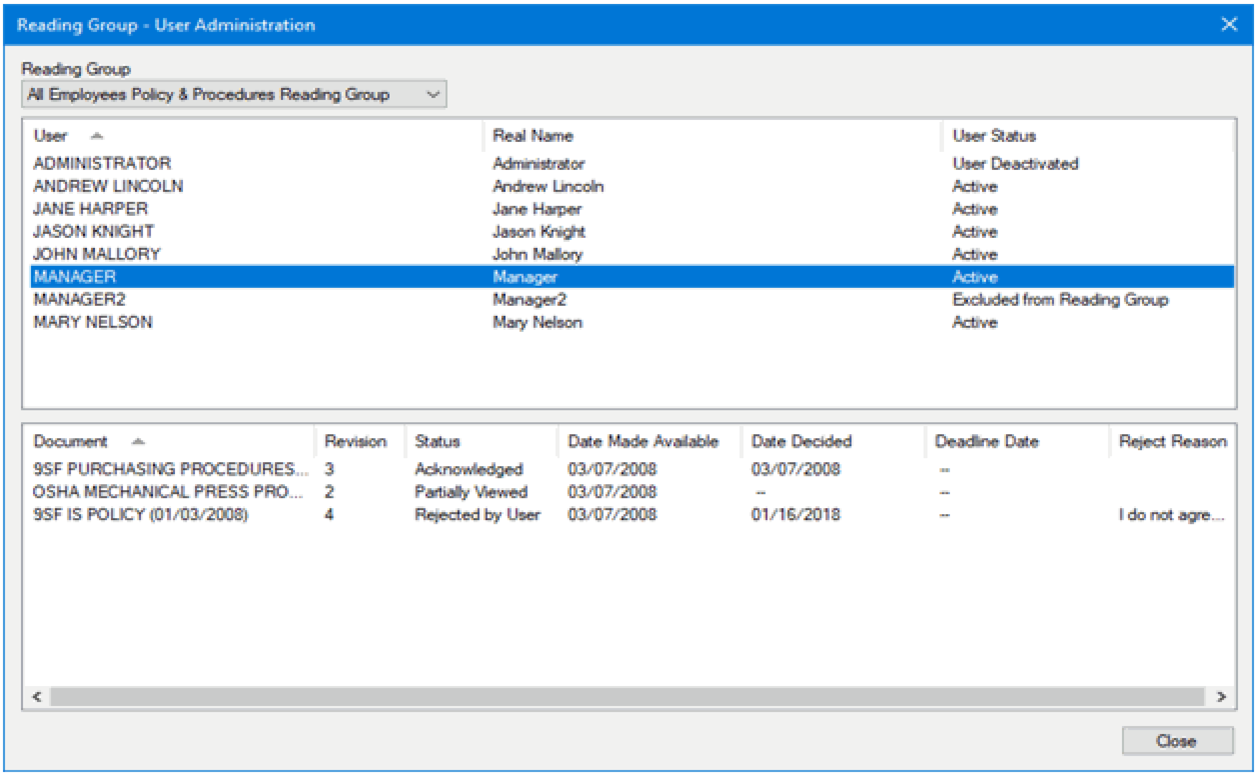
Note: The deadline for reading compliance is set when the Enable Deadline Date is selected in the Reading Group Configuration.

If you are an administrator for a child Reading Group belonging to a Compound Reading Group (CRG), you may be able to administer CRG documents for users in the child Reading Group. If you are an administrator for an explicit CRG, you can select the CRG from the **Reading Group** drop-down list to perform administration for the CRG's members.

Note: Implicit CRGs are unavailable from the **Reading Group** drop-down list. Select **<ALL>** to administer documents added to an implicit CRG. Select one of the implicit CRG's child Reading Groups to administer documents only to the child Reading Group.

To view reader compliance by Reading Group:

1. Select **Admin | Knowledge Transfer | User Administration**.
2. The **Reading Group - User Administration** dialog box is displayed.



The table below describes each option in this dialog box.

Dialog Box Item	Description
Reading Group	Select a Reading Group from this drop-down list to display only the members and documents of the selected Reading Group.
User	Displays the members of the selected Reading Group. **Note:** Users who have been deleted from OnBase are marked as **User Deactivated**.
Document	Displays the documents assigned to the selected user in the selected Reading Group.

3. Select a Reading Group from the **Reading Group** drop-down list. Only the users and documents that belong to the selected Reading Group are displayed in the **User** and **Document** panes.

4. Select a **User** from the **User pane**. The **Document** pane changes to show only the documents assigned to the selected user for viewing.

   The table below describes the information provided for each document listed in the **Document** pane.

Document Information	Description
Revision	The revision number of the document.
Status	Shows the status of the document as either **Acknowledged**, **Partially Viewed**, **Not Viewed**, or **Delinquent**.
Date Made Available	The date when the document was made available to the user.
Date Decided	The date when the user acknowledged or rejected the document.
Deadline Date	The date of compliance, by which a Reading Group member must have read the document.
Reject Reason	Displays the rejection comment specified by the user when the document was rejected.

Track Reader Compliance

The DKT module provides two ways by which Reading Group Administrators can view and track users who are out of compliance. Both dialog boxes include **Document** and **User** panes that list each document and member/user per Reading Group.

- **User Administration** - Delinquent users show up automatically. See User Administration on page 217 for more information.
- **Document Administration** - Displays Document and User panes that show the status of each document and user per Reading Group. See Document Administration on page 196 for more information.

Note: A user is said to be out of compliance or delinquent when he fails to read a required Reading Group document by the Deadline Date assigned by the Document Administrator.

In both the **User Administration** and the **Document Administration** screens, the columns are sortable for easier viewing by simply clicking on the column heading.

Usage - Web Client

You can access the following DKT functions in the Web Client:

- Reading Group members can view and acknowledge or reject required documents in their queue.
- Approval Group members can view and approve or reject documents of Reading Groups that are configured to Allow or Require Approval. If you are a member of an Approval Group but not a member of any Reading Groups, see Approving Documents for a Reading Group on page 228.
- Reading Group administrators can manage Approval and Reading Group members. If you are a Reading Group administrator, see DKT Administrator Functions on page 233 for administrative procedures.

The Reading Groups list can be accessed from the **Open Knowledge Transfer** option in the main menu of the Web Client.

DKT Email Notification

If email notification is enabled for a Reading Group, Reading Group members and Approval Group members receive email notifications when unacknowledged or unapproved documents are added to their respective queues.

If Delinquency Notification is enabled for a Reading Group, a Reading Group compliance administrator receives email notifications when:

- A document is delinquent in a Reading Group member's queue.
- A document will soon be delinquent in a Reading Group member's queue.

The Reading Group member may also receive a notification, depending on how your system is configured.

If a Reading Group is not configured for email notification, Reading Group members and Approval Group members will not receive email notifications. In this case, the Reading Group members must periodically check for new documents to read. Approval Group members should periodically check for documents needing approval.

Consult your DKT Administrator if you want email notifications enabled for your Reading Group.

Logging on to the Web Client

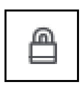
To access assigned documents, you must first log on to the Web Client.

To log on to the Web Client:

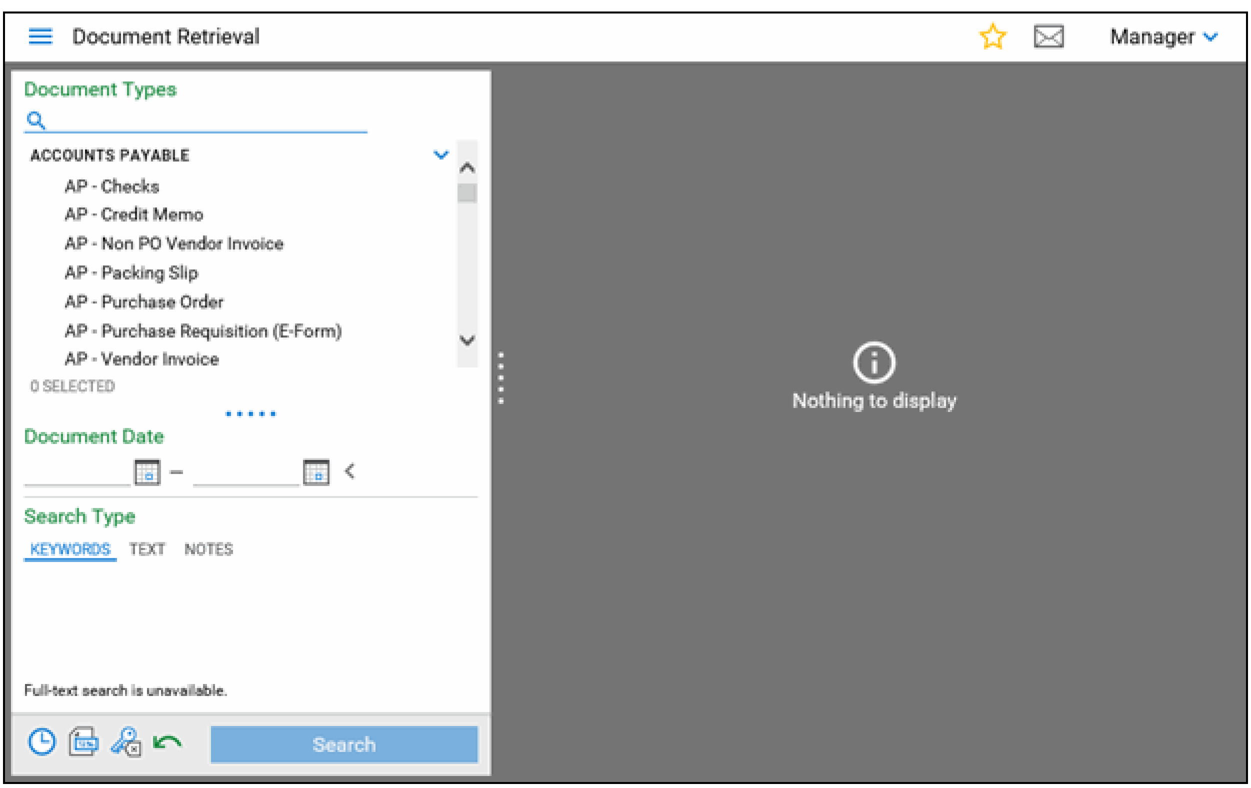
1. Open the Internet Explorer web browser.
2. Enter **http://[Web Server]/appnet/login.aspx** in the URL address field and press the **Enter** key.

Note: The **[Web Server]** in the URL must be replaced with the name of your web server.

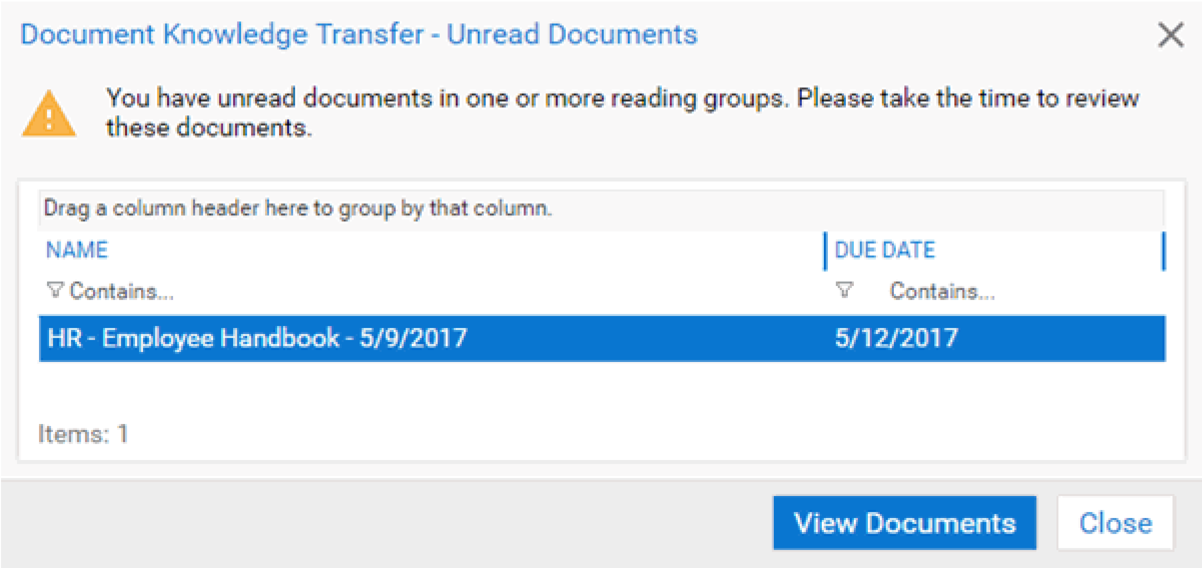
3. The Web Client logon window is displayed.
4. Enter the required information.

Icon	Description
User Name 	Type your OnBase user name.
Password 	Type your OnBase password.

5. Click **Login** to log on to the Web Client. The Web Client window is displayed.



6. If DKT is configured with a deadline, the **Document Knowledge Transfer - Unread Documents** dialog box is displayed after logging on to the DKT Reader. Delinquent documents are displayed in bold.



7. Click **View Documents** to display the **Not Viewed** tab for all Reading Groups and view delinquent documents.

Note: Delinquent documents with failed attempts for compliance tests are displayed in the **Document Knowledge Transfer - Unread Documents** dialog box if additional attempts are available to the user.

Logging on to a Default Reading Group

You can log on to the Web Client and automatically access a default Reading Group upon logon by using a unique Reading Group ID. See your system administrator for more information about obtaining a Reading Group ID.

To access a default Reading Group upon logon:

1. Open a web browser.
2. Add **?readinggroupid=###** to your Web Client URL, where **###** is the Reading Group ID provided by your administrator. For example, **https://domainname/webservername/login.aspx?readinggroupid=###**.
3. Enter your OnBase user name and password.
4. Click **Login** to log on to the Web Client. The Web Client window with the default Reading Group is displayed.

Accessing Assigned Groups

DKT allows Reading Group, Approval Group, and Administration Group members to access documents and information that belong to their assigned groups.

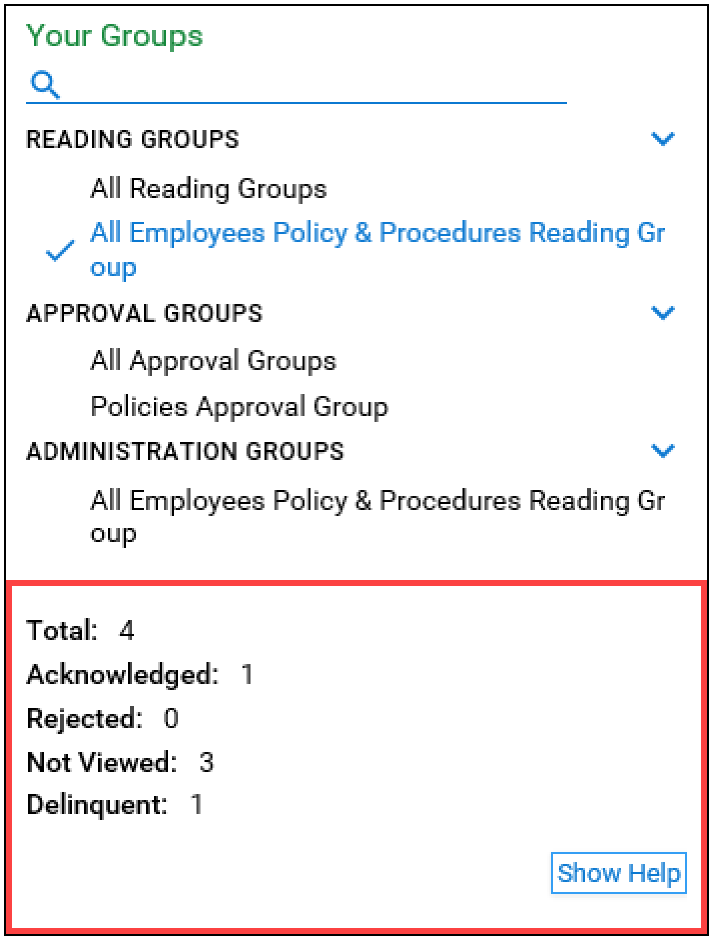
Note: You must have the appropriate rights and privileges to access Reading Groups, Approval Groups, or Administration Groups in the Web Client. Consult your Reading Group administrator or system administrator if you cannot access a group of which you are a member.

The Your Groups Pane

The **Your Groups** pane is displayed in the Knowledge Transfer layout. From this pane, users can access their assigned Reading Groups, Approval Groups, and Administration Groups.

Note: Depending on your configuration, you may see a combination of these groups in the **Your Groups** pane. Contact your system administrator if you do not see a group that you are a member of in the **Your Groups** pane.

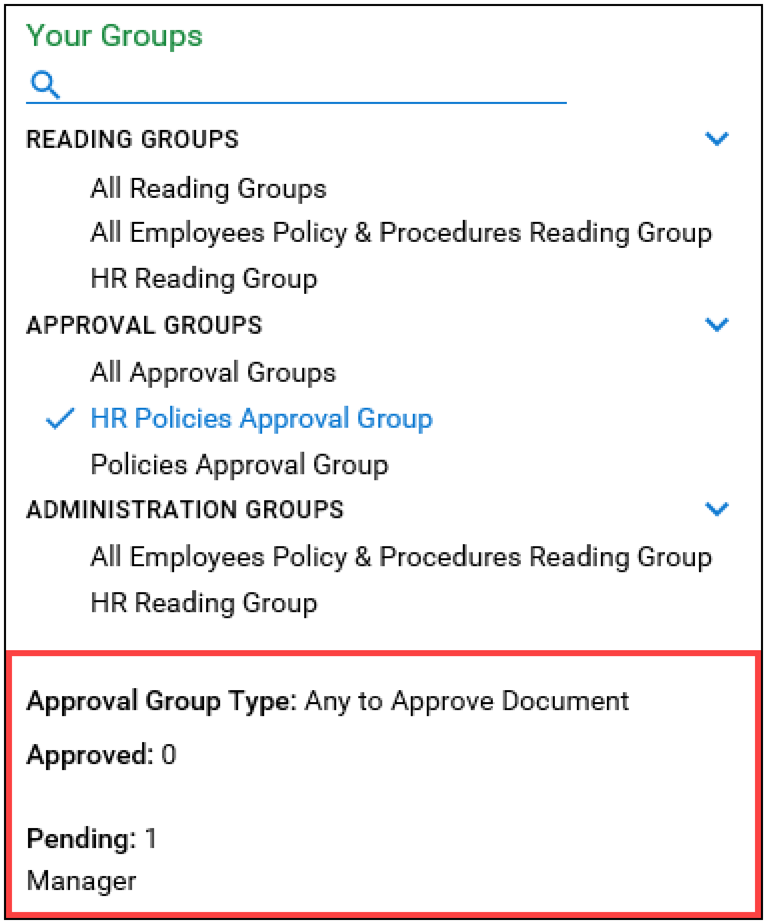
Statistics related to the selected Reading Group are displayed when a Reading Group is selected from the **Reading Groups** drop-down list. These statistics are displayed at the bottom of the **Your Groups** pane.



The following table describes the Reading Group statistics:

Item	Description
Total	The number of documents in your selected Reading Group.
Acknowledged	The number of documents already acknowledged.
Rejected	The number of documents already rejected.
Not Viewed	The number of documents not yet viewed.
Delinquent	The number of documents not viewed by their assigned deadline date.
Show Help	Displays help text if help text is configured for the Reading Group.

Statistics for an Approval Group are displayed when an Approval Group is selected from the **Approval Groups** drop-down list. These statistics are displayed at the bottom of the **Your Groups** pane.



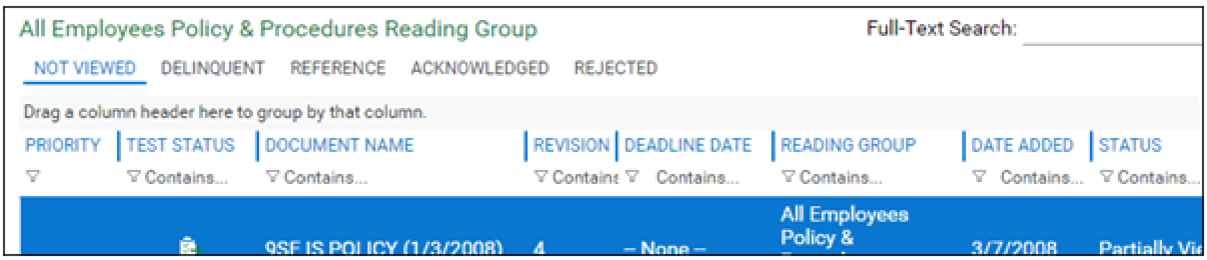
The following table describes the Approval Group statistics:

Item	Description
Approval Group Type	The required approval needed for assigned documents. The following types are available: • **Any to Approve Document**: Any member of the Approval Group can approve the document to add it to the Reading Group. • **All to Approve Document**: Every member of the Approval Group must approve the document before it can be added to a Reading Group. **Note:** Approval Group members who are also Reading Group administrators must select an Approval Group from the **Your Groups** pane to see documents pending approval.

Item	Description
Approved	The number of Approval Group members that have approved the selected document for a Reading Group. The names of the users that approved the selected document and the date they approved it are displayed.
Pending	The number of Approval Group members that need to approve the selected document to add it to the Reading Group. The names of the users that need to approve the document are displayed.

Reading Group Document Search Results List

The Reading Group document search results list allows users to see what documents are assigned for reading and acknowledgment. The search results list is displayed when a Reading Group is selected from the **Your Groups** pane. The **Not Viewed** tab is displayed by default.



Tip: If the Full-Text Search field is available you can use it to find documents by Document Name. Full-text searching for Reading Groups is only available if your system is licensed for full-text indexing.

The Reading Group document search results list contains multiple tabs with status information about the assigned documents. The following table describes the Reading Group document search results list tabs:

Tab	Description
Not Viewed	Lists the unread documents in the selected Reading Group.
Delinquent	Lists the delinquent documents not viewed by their assigned deadline date. These documents also appear in the **Not Viewed** tab. **Note:** This pane is only displayed if deadlines are configured for the selected Reading Group.
Reference	Lists the documents that are flagged as references by either the Document Administrator or the Reading Group member.
Acknowledged	Lists the documents that the reader has viewed and acknowledged in the selected Reading Group.

Tab	Description
Rejected	Lists the documents that a reader has viewed and rejected in the selected Reading Group. **Note:** This tab is only displayed if documents for the Reading Group are configured to allow rejections from the user.

Each tab has a set of columns containing information about the documents. The following table describes the tab columns that display for tabs of the selected Reading Group:

Column	Description
Priority	In the **Not Viewed** and **Delinquent** tabs, displays an icon if the document is a high priority item.
Test Status	Displays an icon based on the current status of the assigned test. **Note:** This column is only displayed if tests are assigned to a document in the selected Reading Group.
Document Name	Displays the name of the assigned document.
Revision	Displays the current revision number of the document in the Reading Group.
Deadline Date	Displays the date the document must be read by for compliance. **Note:** This column is only displayed if deadlines are configured for the selected Reading Group.
Reading Group	Displays the Reading Group the document is assigned to.
Date Added	Displays the date the document was added to the Reading Group.
Status	In the **Not Viewed** tab, displays the status of the document as either **Not Viewed**, **Partially Viewed**, or **Delinquent**. Delinquent documents have not been read by the deadline date.
Date Decided	In the **Reference** tab, displays the date you acknowledged or rejected the document.
Date Acknowledged	In the **Acknowledged** tab, displays the date you acknowledged the document.
Date Rejected	In the **Rejected** tab, displays the date you rejected the document.

Approving Documents for a Reading Group

Documents added to a Reading Group that are configured for approval must go through the approval process before becoming available to the Reading Group. This step is not necessary for Reading Groups configured with **No Approval** as their Approval Type. Members of an Approval Group can:

- View a list of documents to approve prior to distribution to the Reading Group queue.
- Open and view each document that is pending approval.
- Approve or reject the open document from within the viewer window.

Prerequisites

To approve a Reading Group document:

- You must be an Approval Group member assigned to a Reading Group.
- The Reading Group must be configured to either Allow or Require Approval in the Configuration module.
- The Reading Group must have been assigned Approval Groups with Approval Members through Reading Group Administration.

Approving Documents Pending Approval

If you are an Approval Group member, you can access and approve documents pending approval from an Approval Group listed in the **Your Groups** pane.

Note: You must be a member of an Approval Group or have the **Approval** DKT Administrator privilege configured to view Approval Documents.

To approve documents:

1. Open the **Knowledge Transfer** layout. The **Knowledge Transfer** layout is displayed.
   - If you are in the DKT Reader, this view is opened by default.
   - If you are in the Web Client, select **Open Knowledge Transfer** from the main menu.
2. From the **Your Groups** pane, select an Approval Group from the **Approval Groups** drop-down list. Documents to be approved for the selected Approval Group are displayed in the Approval Group document search results list.

Note: Approval Group members who are also Reading Group administrators must select an Approval Group from the **Your Groups** pane to see documents pending approval.

The following table describes the columns in the Approval Group document search results list:

Section Name	Description
Document Name	The name of the document.

Section Name	Description
Revision	The document revision number in the Reading Group.
Reading Group	The name of the Reading Group that the document belongs to.
Date Added	The date when the document was added to the Reading Group.
Status	Displays the current status of the document: • **Approval Pending**: The document is waiting for approval prior to distribution to the Reading Group queue. • **Approval In Progress**: The document is in the Approval stage, but not fully approved yet. • **Rejected**: The document was rejected by the approver. Reading Group members do not see rejected documents in their Reading Group queues. **Note:** Rejected documents are immediately removed from the Approval Group document search results list.

3. From the Approval Group document search results list, double-click a document to open it. The document is displayed in the Document Viewer.

Note: You can select, open, and approve only one document at a time.

4. Click one of the following buttons displayed to the right of the Document Viewer:

Button	Description
Approve	Approves the document for the assigned Reading Group. A confirmation message is displayed. The approved document is closed in the Document Viewer and is removed from the list. If you are the last person required to approve the document, or if the Approval Group requires only one member to approve the document, the document is added to the Reading Group.
Reject	Rejects the document for the assigned Reading Group. A confirmation message is displayed. The rejected document is closed and is removed from the list. The document is not added to the Reading Group.
View Comments	Displays the comment specified by the administrator when the document was added to the Reading Group. **Note:** This button is only available if a comment was specified by the administrator when the document was added to the Reading Group.

Note: Users with the **Approval** DKT Administrator privilege configured can see who has approved a document and who has documents pending approval within the **Approval Viewer**. This allows the administrators to contact users that still need to approve or reject documents for the Reading Group. When all required users have approved a document, the document is no longer viewable.

Acknowledging Documents in a Reading Group

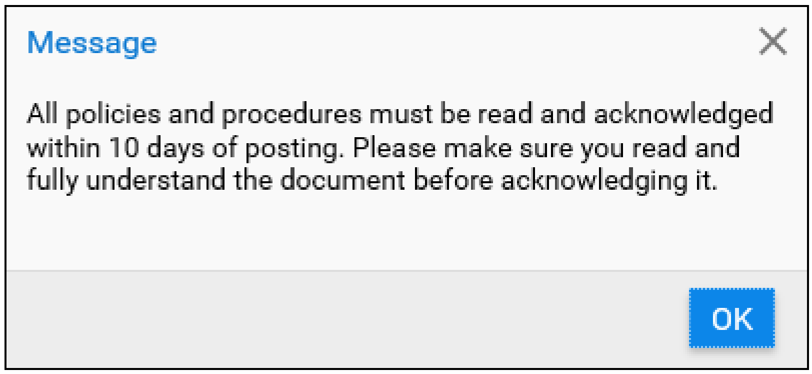
DKT allows Reading Group members to view, read, and acknowledge every document in their respective Reading Groups. After viewing, a user can acknowledge the document, signifying compliance with the reading requirement assigned to the user.

Note: To view a document in a Reading Group, you must first be a member of a Reading Group.

To view, open, and acknowledge a document in a Reading Group:

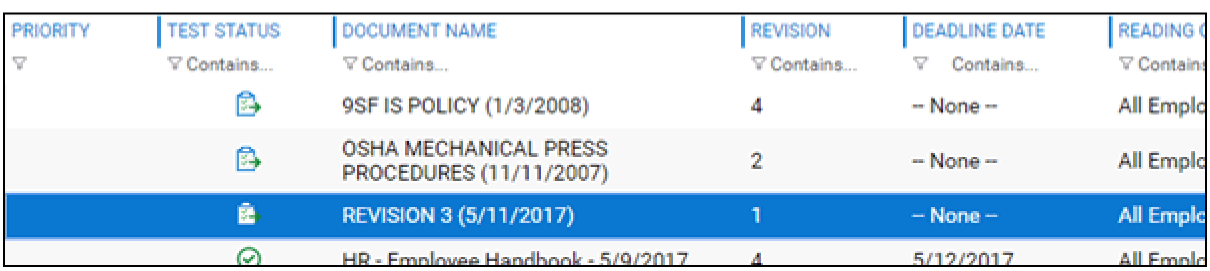
1. Open the **Knowledge Transfer** layout. The **Knowledge Transfer** layout is displayed.
    - If you are in the DKT Reader, this view is opened by default.
    - If you are in the Web Client, select **Open Knowledge Transfer** from the main menu.

2. If you have documents waiting to be viewed in your Reading Groups, the Usage Policy **Message** dialog box for the Reading Groups is displayed. The text contained in the Usage Policy is determined by your system administrator. Click **OK** to acknowledge that you have read the Usage Policy.
   - In the Web Client, the message displays when you select **Open Knowledge Transfer.**
   - In the DKT Reader, the message displays upon logging on.



3. From the **Your Groups** pane, select a Reading Group from the **Reading Groups** drop-down list. Documents assigned to the selected Reading Group are displayed.

Note: The Reading Group document list displays 50 documents at a time. If more than 50 documents are assigned to the Reading Group, click **Next** to view the next set of additional assigned documents.



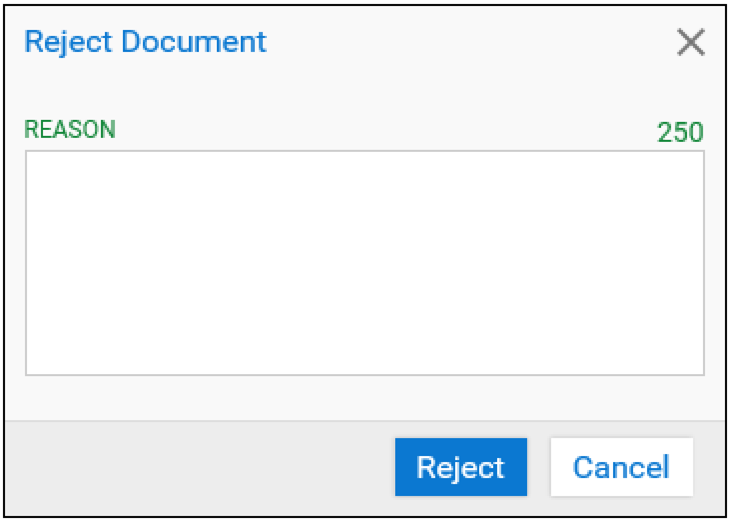
4. From the Reading Group document search results list, double-click a document to view it. The first page of the selected document is displayed in the Document Viewer.

5. From the right side of the displayed document, click one of the following buttons:

Button	Description
Acknowledge	Indicates you have read the document. Once viewed, the document is moved from the **Not Viewed** tab to the **Acknowledged** tab. If your system is configured to require authentication upon acknowledgment, you are prompted to enter your password. The password requirement is determined when the Reading Group is configured by your system administrator. Click **Acknowledge** in the **Authenticate Acknowledgment** dialog box to submit your password. Click **Cancel** to not submit an acknowledgment. **Note:** When the **Require All Pages Viewed** setting is configured, the **Acknowledge** button is displayed only after you have finished viewing the last page of a multi-page document.
Reject	Indicates you have rejected the document. Once viewed, the document is moved from the **Not Viewed** tab to the **Rejected** tab. Depending on how your system was configured, the Reading Group administrator may receive an email notification that the document was rejected. **Note:** This button is only available if the Reading Group has been configured to allow document rejection.
Mark As Reference	Flags the document as a reference. This button is changed to **Remove from Reference** when you open and view a document that was previously flagged as a reference. **Note:** When you flag a document as a reference, it is listed in the **Reference** tab as well as in the **Not Viewed**, **Acknowledged**, or **Rejected** tab, depending on the reading status of the document.
View Comments	Displays the comment specified by the administrator when the document was added to the Reading Group. **Note:** This button is only available if a comment was specified by the administrator when the document was added to the Reading Group.
Continue Test	Displays the test question dialog box from where the user previously left off. **Note:** This button is only available if a test is assigned to the document and the test is already in progress.

6. If you click **Acknowledge** and your system is configured for user's to take an assigned test, the test dialog box is displayed. See Taking a Compliance Test Assigned to a Document on page 267.

7. If you click **Reject** and your system is configured to prompt for a rejection reason, the **Reject Document** dialog box is displayed.



8. Type your reason for rejecting the document in the **Reason** field and click **Reject** to submit your response. Rejection reasons are limited to 250 characters.

Administration - Web Client

DKT Administrator Functions

The following administrator functions are available in the Web Client:

- **Reading Group Administration** - allows the **Member Administrator** and/or the **Approval Administrator** to set up Reading Group members and Approval Groups and members.
- **Document Administration** - allows the Document Administrator to view and delete documents in each Reading Group. See Document Administration on page 244.
- **Add Document** - allows the **Document Administrator** to add document(s) to the Reading Group. This function is available when a document or documents in OnBase are retrieved and opened from the Document Search Results list, or directly from the Document Search Results list itself. Documents can also be added from a hit list. Adding documents can be done manually (see Document Administration on page 244) or automatically.
- **User Administration** - allows the **Compliance Administrator** or **User Administrator** to view a list of users who are “delinquent” or have not read the required Reading Group documents within the allotted time frame. See User Administration on page 260.

Set Up Reading Groups

Select Members

If you are a **Member Administrator**, you can select individual users or User Groups to become members of a Reading Group. Reading Groups are created and configured in the Configuration module by the Reading Group Administrator.

Note: You can also add members to a Reading Group using the **User Import** functionality in the Configuration module.

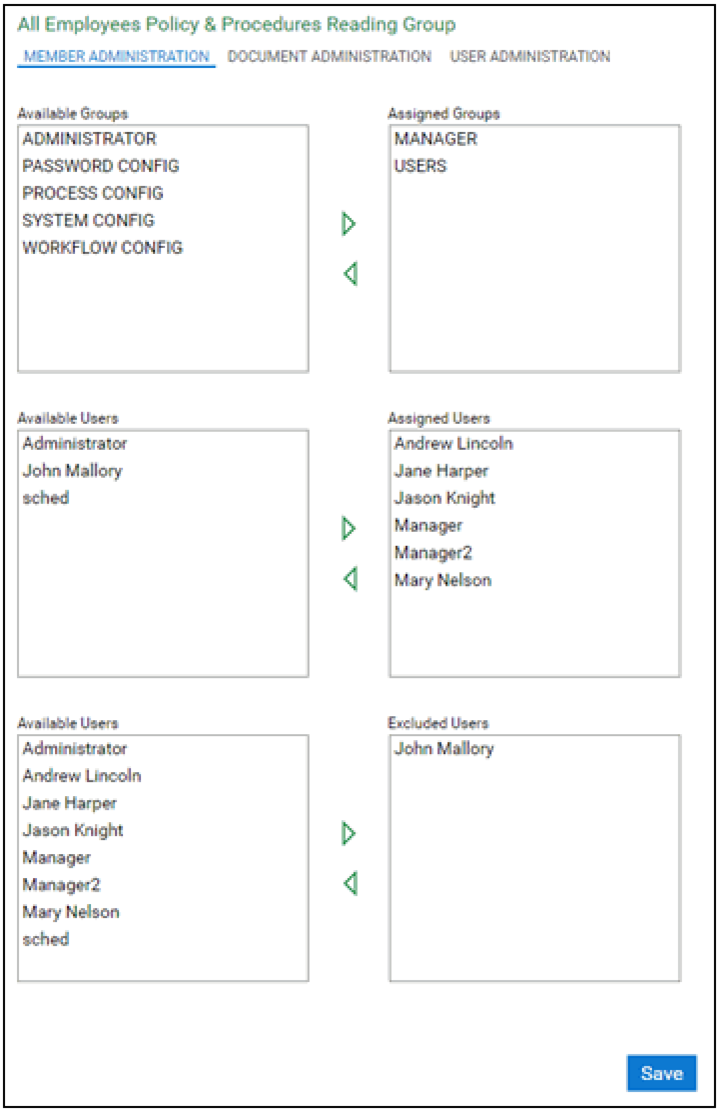
Consult your system administrator for assistance if you cannot access Reading Group-related items.

Note: You must have Administrator rights and prerequisites in place to select members for each Reading Group. Otherwise, you may not access the Reading Group administration panes.

1. Open the **Knowledge Transfer** view. The **Knowledge Transfer** view is displayed.
    - If you are in the DKT Reader, this view is opened by default.
    - If you are in the Web Client, select **Open Knowledge Transfer** from the main menu.

    The **Usage Policy** for each Reading Group is displayed if there are documents in the Reading Group that need to be acknowledged. The Usage Policy is configured when the Reading Group is created in the Configuration module.
2. If prompted, click **OK** to acknowledge that you read the **Usage Policy** and to exit the message dialog box.

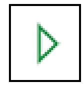
3. From the **Your Groups** pane, in the **Administration Groups** section, select a Reading Group to add members to. The **Reading Group Administration** pane is displayed and the **Member Administration** tab is selected by default.



4. Select a user or User Group from one of the following sections:
   - **Available Groups**: Lists all existing User Groups in the system that can be assigned to the selected Reading Group.
   - **Available Users**: Lists users in the system who are not yet members of the selected Reading Group.

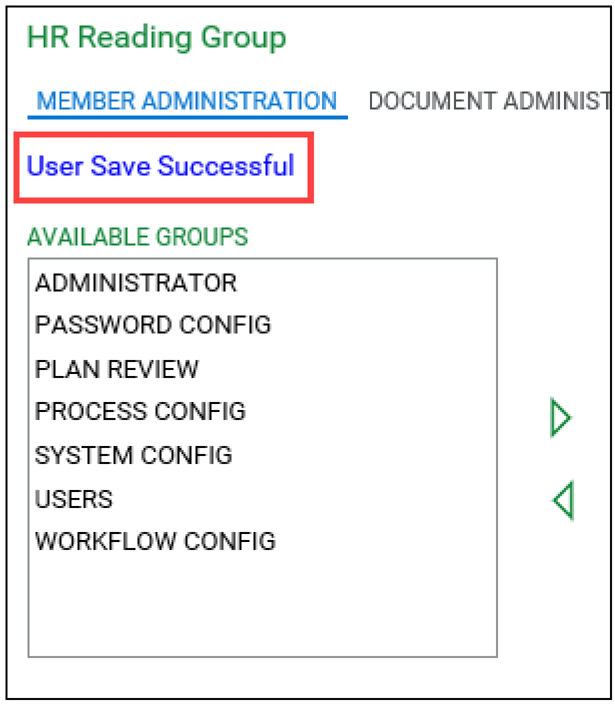
Note: If the browser window is resized and does not accommodate all tabs, existing tabs are consolidated in the **More** tab or under the active tab. Click the drop-down button or increase the browser window size to see all tabs.

5. Click the **Add** button.



The selected users or User Groups are now displayed in the **Assigned Groups** or **Assigned Users** section.

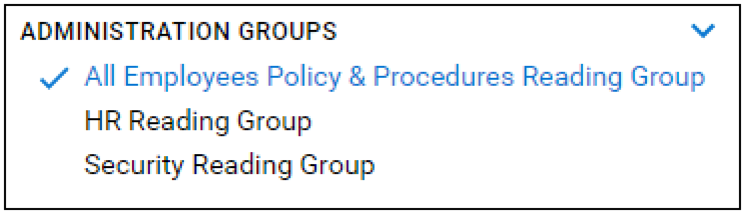
6. Click the **Save** button at the bottom of the Reading Group Administration pane. The message **User Save Successful** is displayed when saving is complete.



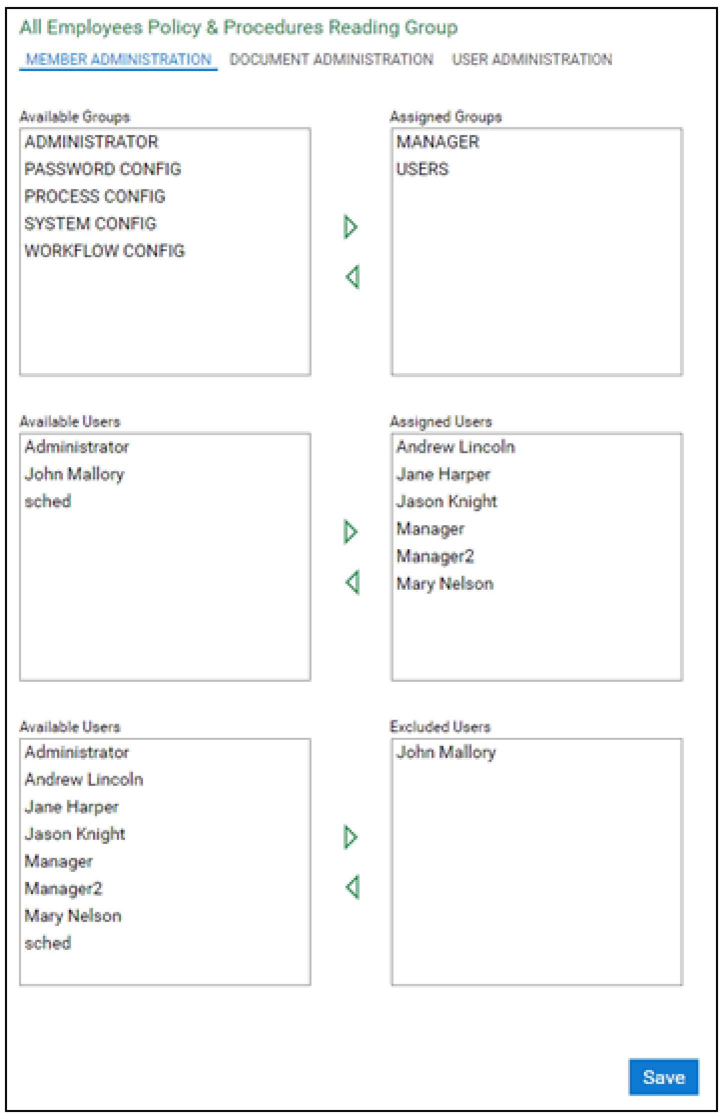
Delete Members

To delete a member from a Reading Group:

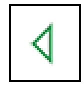
1. Select a Reading Group from the **Administration Groups** section in the **Your Groups** pane.



The **Reading Group Member Administration** pane for the selected Reading Group displays.



2. Select a User/User Group from the **Assigned** select lists and click the **Remove** button:

   The selected Users/User Groups are removed from the **Assigned** select lists and are listed in the **Available** select lists.
3. Click the **Save** button below the User/User Group lists to save your changes to the above lists.

Note: The above procedure only removes the selected member from the selected Reading Group, not from other Reading Groups that the selected member may be a member of.

To delete users from all Reading Groups to which they are assigned, manually perform the procedure above to each Reading Group to which the users are assigned.

The next time you log on to DKT, the names of deleted or deactivated members will no longer be displayed under **Available Users** in the **Reading Group Member Administration** pane.

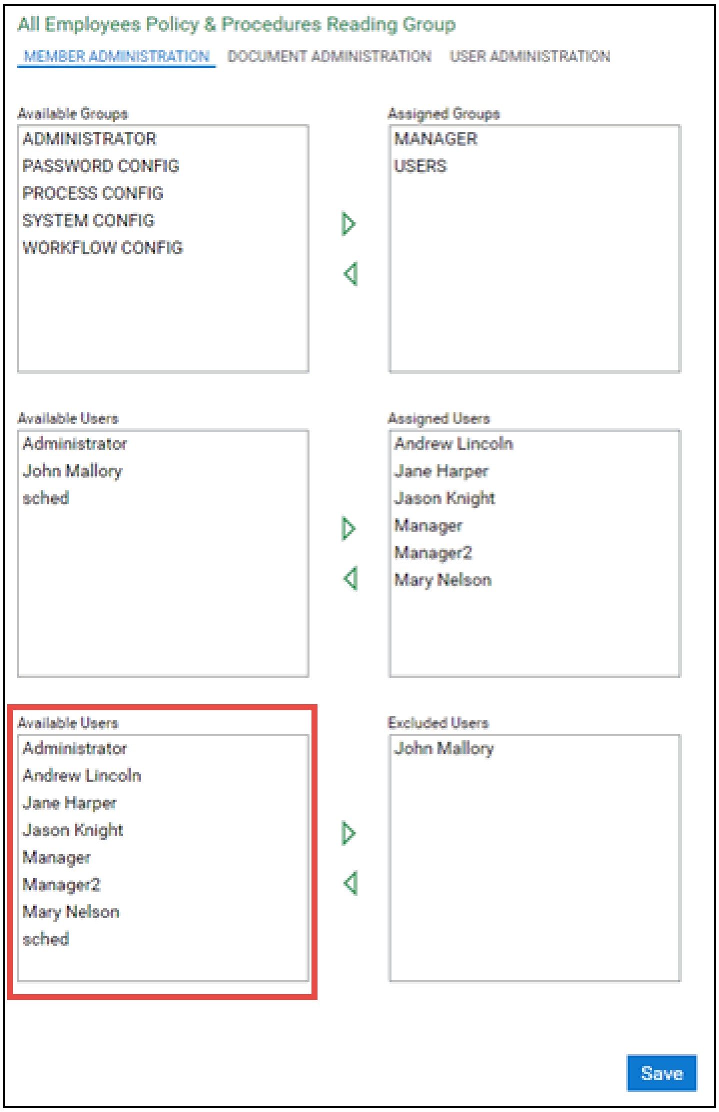
Manage Excluded Users

You may want to exclude an individual user from a Reading Group without removing the user's entire User Group from the Reading Group. You can use the **Excluded Users** list to manage user exclusions for a Reading Group.

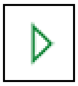
Exclude Users

To exclude a user:

1. Select a user from the **Available Users** select list:



2. Click the **Add** button to add the user to the **Excluded Users** select list:



3. Click the **Save** button below this select list when you are finished excluding users.

Note: If you exclude an individual user who was assigned ad hoc to the Reading Group, the excluded user displays both under **Excluded Users** and under **Assigned Users**. If you remove the user from **Assigned Users** and then remove the exclusion for the user, the user is not reassigned to the Reading Group.

Remove User Exclusions

To remove an exclusion for a user:

- Select the user from **Excluded Users** and click **Remove**.

When you remove an exclusion for a user, the user is automatically reassigned to the Reading Group if one of the following conditions are met:

- The user's User Group was assigned to the Reading Group before the user was excluded, and the user's User Group is still assigned to the Reading Group when the exclusion is removed.
- The user was added to the Reading Group's **Assigned Users** before the user was excluded. When the exclusion is removed, the user displays under **Assigned Users**.

If neither condition is met, the user is available under **Available Users** to add to the Reading Group.

Set up Approval Groups and Members

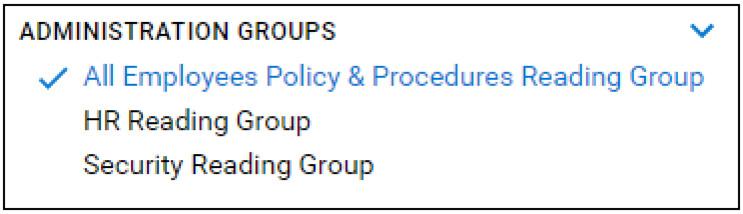
If you are an **Approval Administrator**, you can create Approval Groups, select members for each group, and set up other options related to the approval process.

Note: This step works in conjunction with the Approval Types selected in the Configuration module. If a Reading Group is set to **Allow or Require Approval**, its documents must first be approved by the assigned Approval Group before documents are viewed by the Reading Group members.

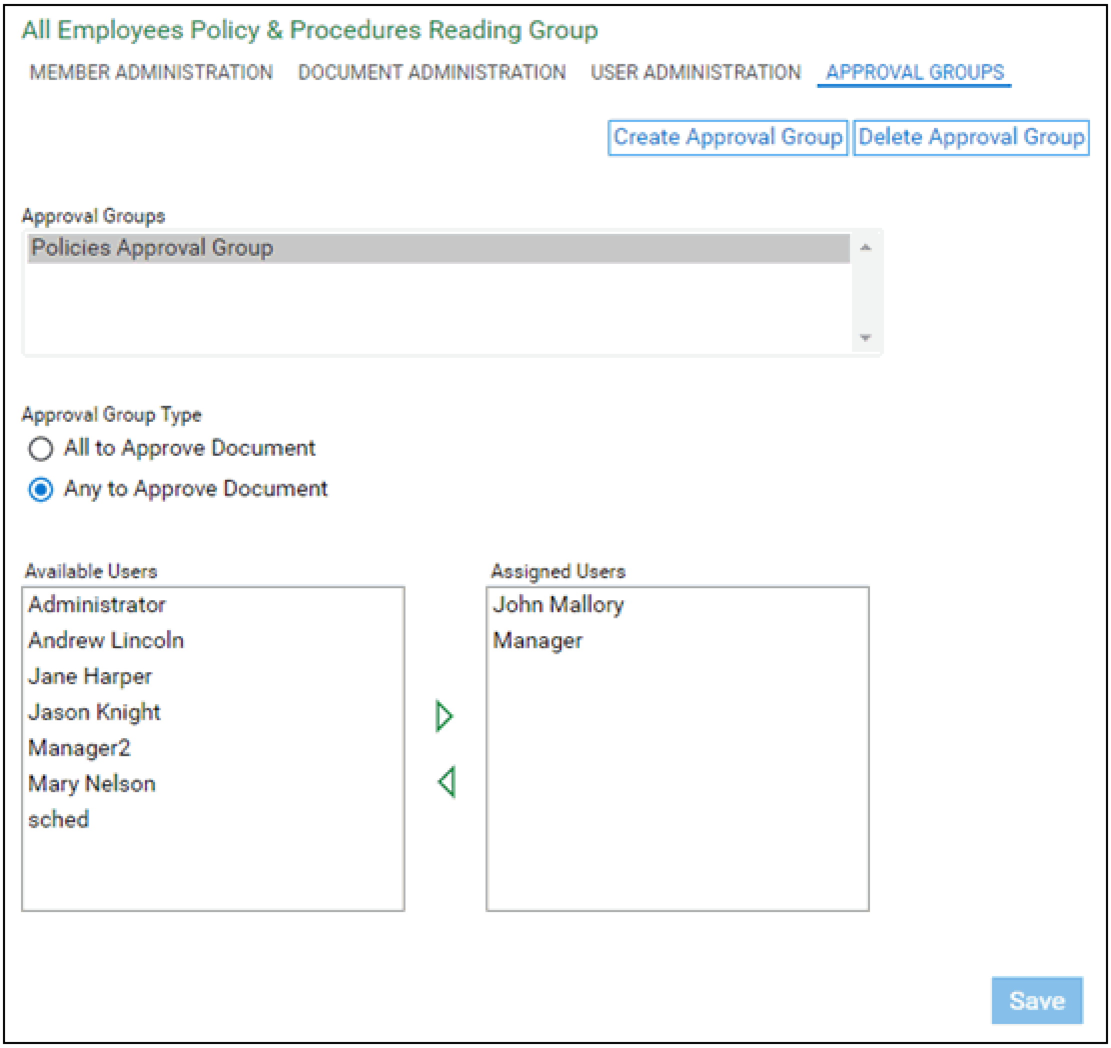
Note: To create and select members for Approval Groups, you must have **Administrator** rights and other prerequisites in place. Otherwise, you may not see the **Members** and **Approval Groups** panes.

1. Open the **Knowledge Transfer** view. The Knowledge Transfer view is displayed.
   - If you are in the DKT Reader, this view is opened by default.
   - If you are in the Web Client, select **Open Knowledge Transfer** from the main menu.

2. Select a Reading Group from the **Administration Groups** section in the **Your Groups** pane.



3. Select the **Approval Groups** tab at the top of the screen. The Approval Group administration pane displays:



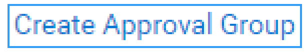
The **Approval Groups** list displays the Approval Groups assigned to the selected Reading Group. Members of these Approval Groups are tasked with approving/rejecting each document added to the Reading Group. If you do not see any Approval Group listed, you can create one. See Create an Approval Group on page 243.

Note: If a Reading Group is set to **No Approval** in the Configuration module, it is not necessary to create an Approval Group. Any document added to the Reading Group will go directly to the reader queues if the Reading Group is configured for **No Approval**.

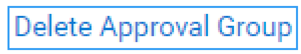
Create an Approval Group

To create an Approval Group:

1. Click the **Create new Approval Group** button:

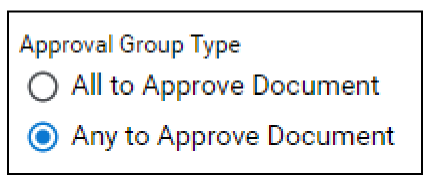
   Additionally, you can use the **Delete Approval Group** button to delete the selected Approval Group.

2. Type the new Approval Group name in the **Approval Group Name** field.
3. Click **OK** to save the created Approval Group name, or **Cancel** to discard your changes and exit out of creating the Approval Group.
4. Select the **Approval Setting** you want for the selected Approval Group. See Modify Approval Group Settings on page 243.

Modify Approval Group Settings

Approval Group Type settings govern who (either all or any) among the members of the selected Approval Group gets to approve the document before distribution to reader queues.

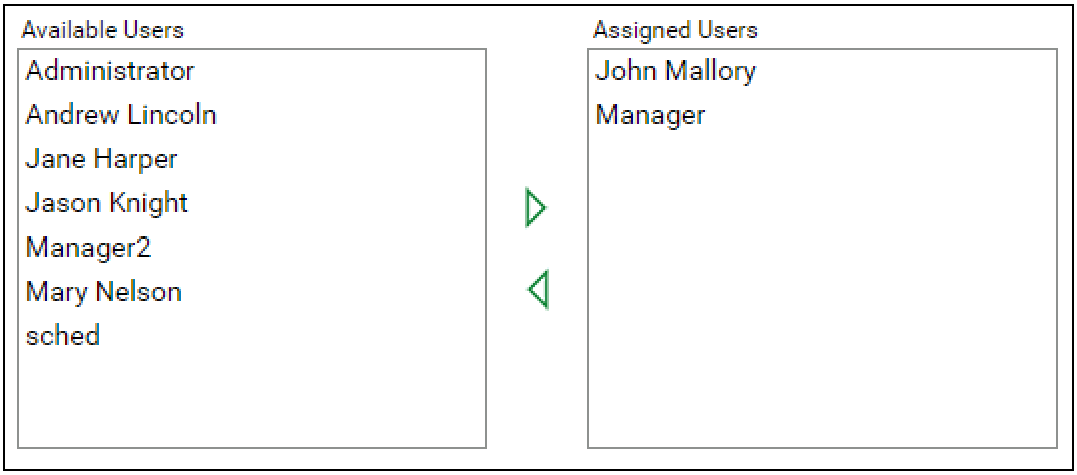


- **All to Approve Document** - Every member of the Approval Group must first approve the document before it can be added to a Reading Group. If only one Approval member rejects the document, the document is rejected, and therefore, cannot be distributed.
- **Any to Approve Document** - Any member of the Approval Group can approve the document to be added to a Reading Group. In this case, only one person from an Approval Group is needed to make a decision on a document. If any member of this Approval Group rejects a document, no one else can vote to approve it, it is rejected by the entire Approval Group.

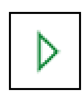
Select Members for each Approval Group

Note: Reading Group documents that require approval will bypass the approval process and go directly to the reader queues if the Approval Group assigned to the Reading Group does not have any members in it.

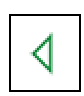
Use the **Available Users** and **Assigned Users** select lists to select members for the Approval Group.



1. Select a user from the **Available Users** select list.
2. Click the **Add** button to add the selected user to the **Assigned Users** select list, which lists all members of the selected Approval Group:

   Additionally, you can click the Remove button to remove a selected user from the Assigned Users select list:

3. Click **Save**.

Document Administration

In DKT, **Document Administrators** can add one or more documents to a Reading Group by right clicking on a document or Document Search Results list item, and selecting **Knowledge Transfer | Add to Reading Group**.

You must have document administrator rights and privileges to use this function. Ensure that you have the Prerequisites on page 245 in place to access this function.

Add Document to a Reading Group

The Document Administrator can manually or automatically add a document to a Reading Group, as follows:

- **Automatic** - Document **Auto-Assign** is enabled when the Reading Group is configured in the Configuration module. When **Auto-Assign** is enabled, any document imported into the system that belongs to a Document Type auto-assigned to a Reading Group is automatically added to that Reading Group.
- **Manual** - Documents are added using right-click menu options.

Prerequisites

Before you can add a document to a Reading Group, ensure that:

- You have Administrator rights to add or remove documents to and from the Reading Group.
- The document to be added already exists in OnBase. If the document does not exist in OnBase, you must import the document to the system first before you can add it to the Reading Group.
- You must first retrieve the documents that you want to add.

Note: Without these prerequisites, the **Add to Reading Group** option will not be available. You should also make sure you have the Reading Group prerequisites in place.

Manually Add Documents to a Reading Group

Documents can be manually added to a Reading Group from the following locations:

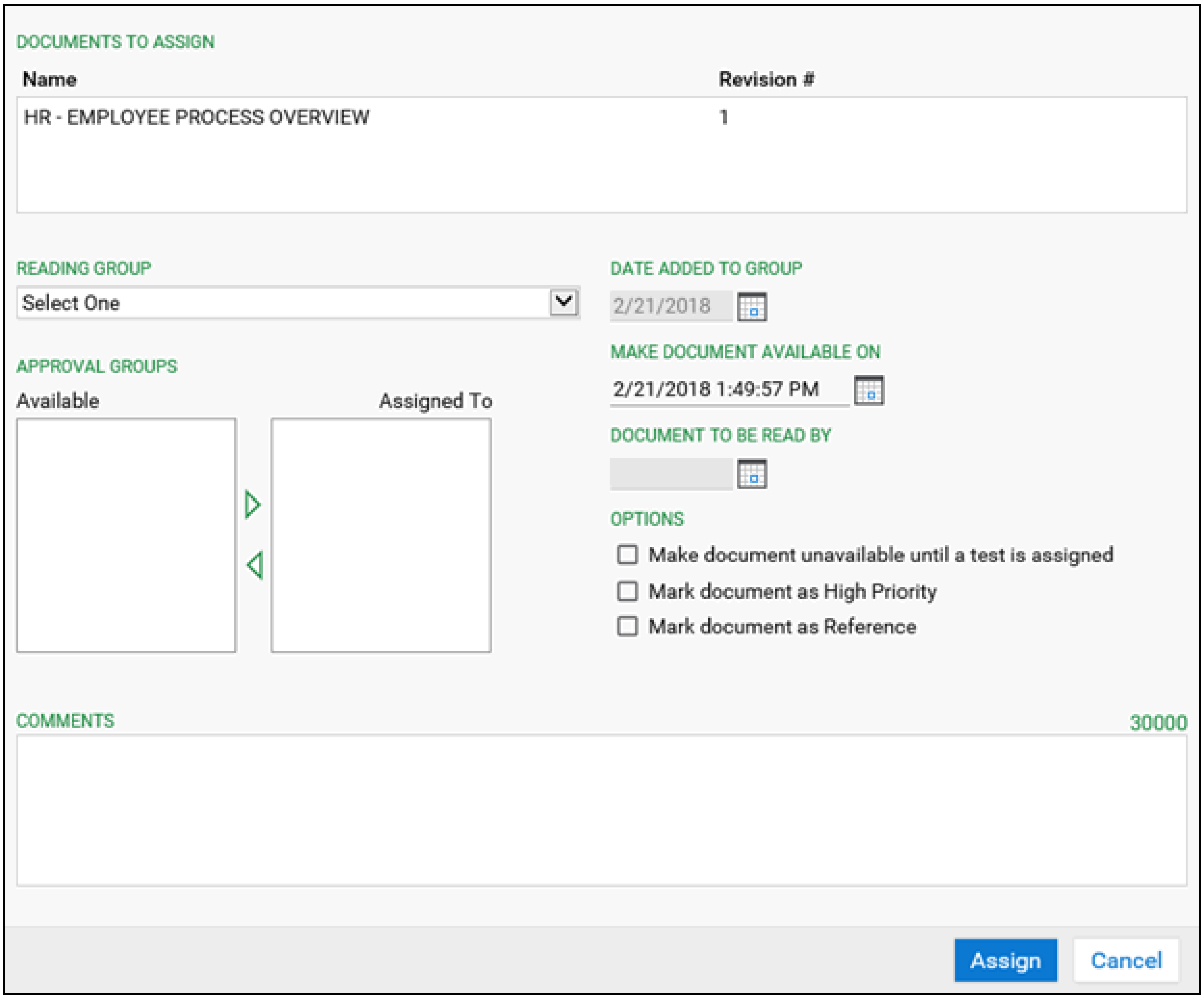
- Document search results list
- Internal document viewer (open text or image documents)
- Envelope document list
- Custom Query document retrieval list
- Cross-reference results list

To manually add a document or multiple documents to a Reading Group from a list of documents:

1. Select the documents to add to the Reading Group.
2. Right-click the selected documents and select **Knowledge Transfer | Add to Reading Group**.

Note: If one Reading Group is configured, and you attempt to add a document already present in that Reading Group, the DKT displays a message that the document is already assigned to all available Reading Groups.

The **Assign Document** dialog box is displayed.



3. Select a Reading Group from the **Reading Group** drop-down list.

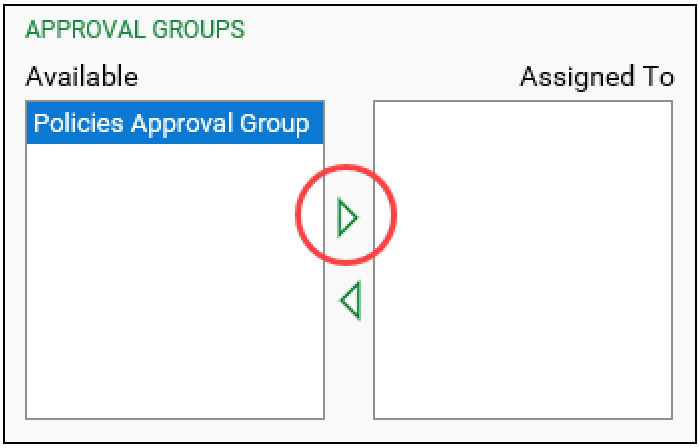
Note: If the document you are adding is already assigned to a Reading Group, that Reading Group cannot be selected in the **Reading Groups** drop-down list.

4. Specify the following settings:

Option	Description
Make document available on	The date and time when the selected documents will become available to the Reading Group members. This field cannot be left blank. This date and time cannot be after the deadline for reading the document. For example, if the deadline is set to 01/05/2018 05:00 PM, then the **Make document available on** date and time must be before the deadline date and time of 01/05/2018 05:00 PM. **Note:** If Distribution Services are configured for the Reading Group, email distribution occurs on the day the document is added to the Reading Group, not on the day the document becomes available to members.
Document to be read by	The deadline for reading the selected documents. Documents not read by this date appear in the **Delinquent** tab for the Reading Group. If this field is left blank, a deadline date will not be assigned to the selected documents. **Note:** This option can only be selected when a Reading Group is configured for deadlines.
Make document unavailable until a test is assigned	The option to make documents not visible in a Reading Group or in DKT Administration until after a test is assigned through Compliance Testing Administration.
Mark document as Reference	The option to automatically add selected documents to the Reading Group **Reference** tab and the **Not Viewed** tab.
Mark document as High Priority	The option to show a high priority alert on selected documents in the Reading Group.
Comments	The reason why the document is being added to the Reading Group. Comments are limited to 30,000 characters.

5. In the **Approval Groups** section, select an Approval Group from the **Available** list.

6. Click the right arrow button to add the selected Approval Group to the **Assigned To** list.



Note: If the Reading Group is configured to require approval, you must assign an **Approval Group** before you exit the dialog box.

7. Click **Assign** to assign the document to the specified Reading Group. You are prompted to confirm this action.

Note: If a Reading Group is configured to require or allow approval, users of the Approval Group must approve the document before it is displayed in a user's Reading Group list. To approve a document for a Reading Group, see Approving Documents for a Reading Group on page 6.

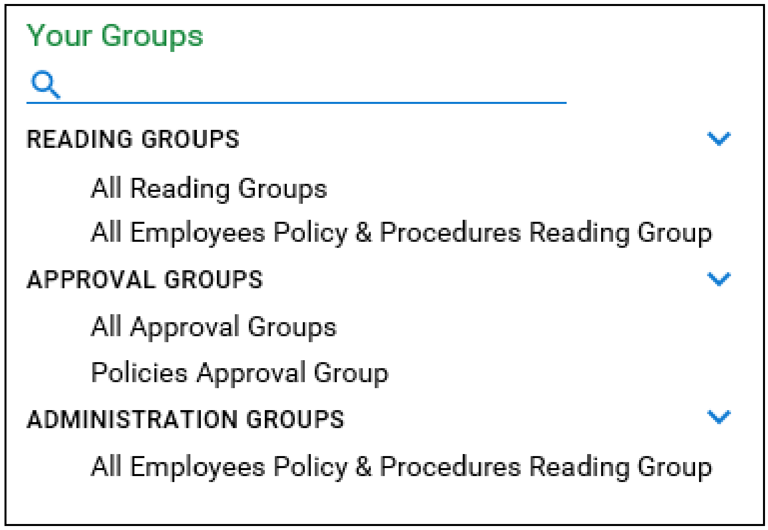
Document Administration in DKT

Document administration can be performed in DKT. This allows you to see the following information at a glance:

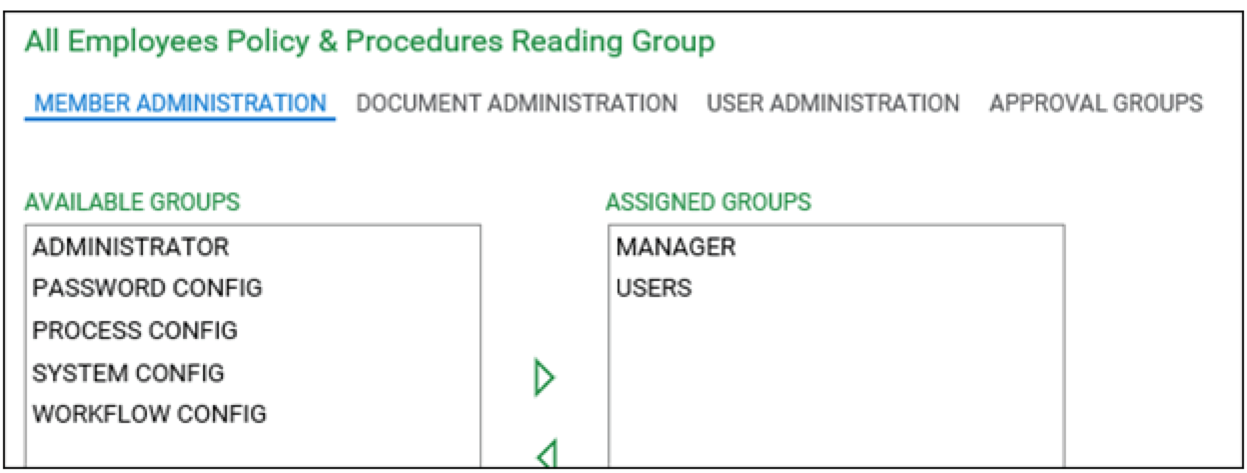
- All documents for each Reading Group or all Reading Groups
- All active and inactive users of each Reading Group
- Document Status (according to revision number, approval status, reference dates, added by)
- Viewer Status (according to view status, date acknowledged, date when document was made available to the user)

To access **Document Administration**:

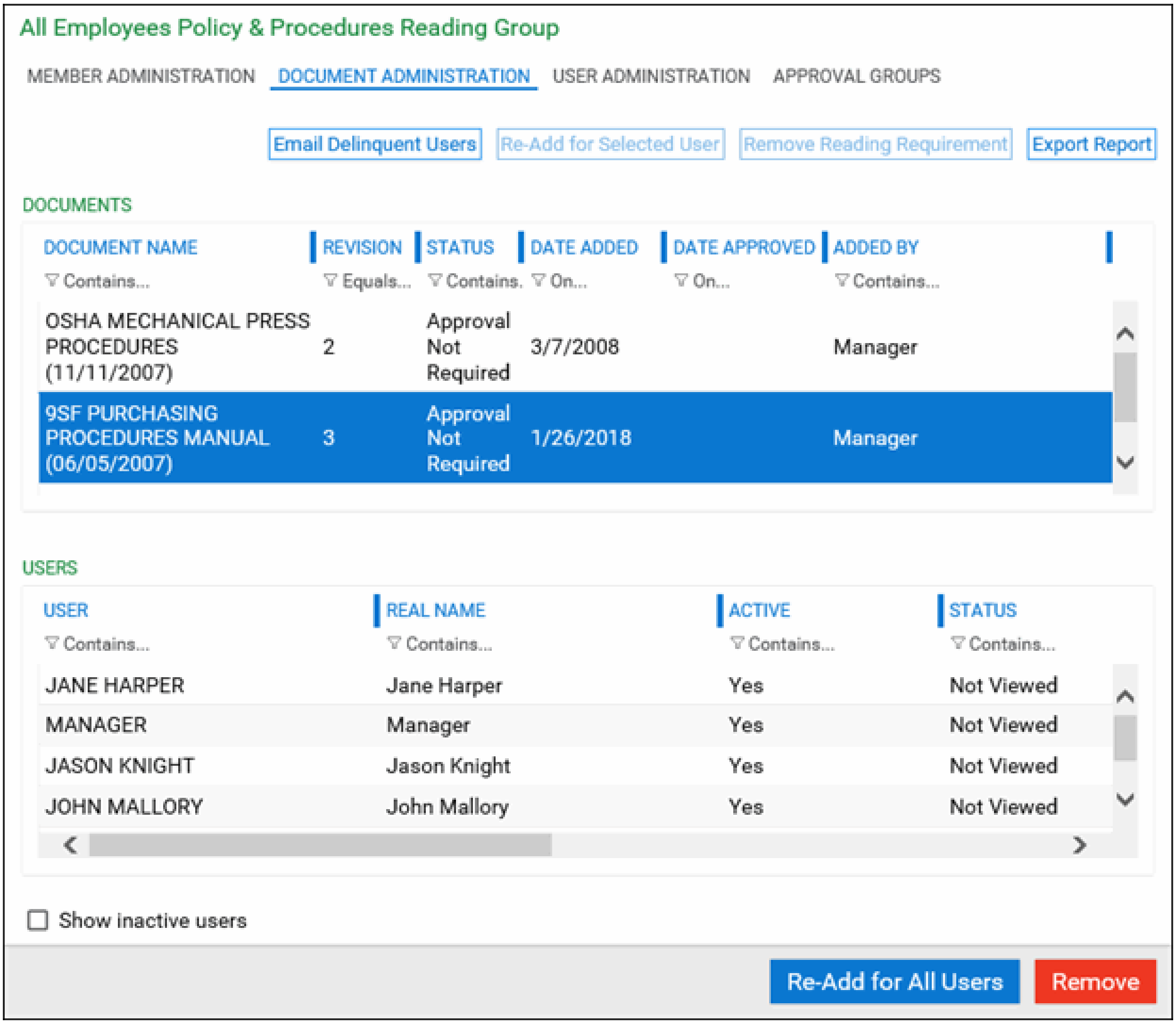
1. Open the **Knowledge Transfer** view. The Knowledge Transfer view is displayed.
   - If you are in the DKT Reader, this view is opened by default.
   - If you are in the Web Client, select **Open Knowledge Transfer** from the main menu.



2. Select a Reading Group from the **Administration Groups** drop-down list. The **Member Administration** tab is displayed by default.



3. At the top of the pane, click the **Document Administration** tab. The **Document Administration** tab is displayed.



All the documents assigned to the Reading Group are displayed in the **Documents** list. The **Documents** list displays the following information for each document.

Column	Description
Document Name	The Auto-Name string of the document added to the Reading Group.
Revision	The revision number of the document added to the Reading Group.

Column	Description
Status	The approval status of the document. The status indicates whether the document is awaiting approval from an Approval Group, is in the Reading Group users' queues, or was rejected. Statuses are:. • **Active**: Documents that are approved by the Approval Group or did not require approval. An active document is available in a user's Reading Group queue on or after the **Make document available** date, which is specified when a document is added to a Reading Group. • **Pending Approval**: Documents that are currently awaiting approval prior to distribution to the user's Reading Group queue. • **In Progress**: Documents that are in the approval process but are not yet fully approved. A document may be in progress if it is approved by only one member of an Approval Group that requires approval from all members. • **Rejected**: Documents that are rejected by the Approval Group. Rejected documents are not added to a user's Reading Group queue.
Date Added	The date the document was added to the Reading Group.
Date Approved	The date when the document was approved for distribution, if the document was submitted for approval. **Note:** If the document did not require approval or has not yet been approved, no date is displayed.
Added By	The name of the document administrator who added the document to the Reading Group.

4. To display a document's user information, select a document in the **Documents** list. The user information is displayed in the **Users** list.
5. If you need to display users that were removed from the selected Reading Group, select **Show inactive users**.

   The **Users** list displays information about all Reading Group members. The following table describes the columns that appear in the **Users** list.

Column	Description
User	Displays the user name of the Reading Group member.
Active	Displays the user's active status in the Reading Group.
Real Name	Displays the configured Real Name of the user.
Active	Displays the active status of the user.

Column	Description
Status	Displays the user's view/decision status for the document. Possible statuses include the following: • **Delinquent**: Documents are not read by the required deadline. The Document Administrator can use this information to notify users of their out-of-compliance status. • **Rejected**: Documents are rejected. • **Acknowledged**: Documents are acknowledged. • **Partially Viewed**: Documents are partially viewed. • **Not Viewed**: Documents are not yet viewed.
Date Decided	Displays the date the user acknowledged or rejected the document.
Date Available	Displays the date when the document was made available to the user. The user had access to the document in the Reading Group viewer beginning on this date.
Rejection Reason	Displays the reason the document was rejected if the **Reject** option was selected by the user.

Exporting Reports from the Document Administration Pane

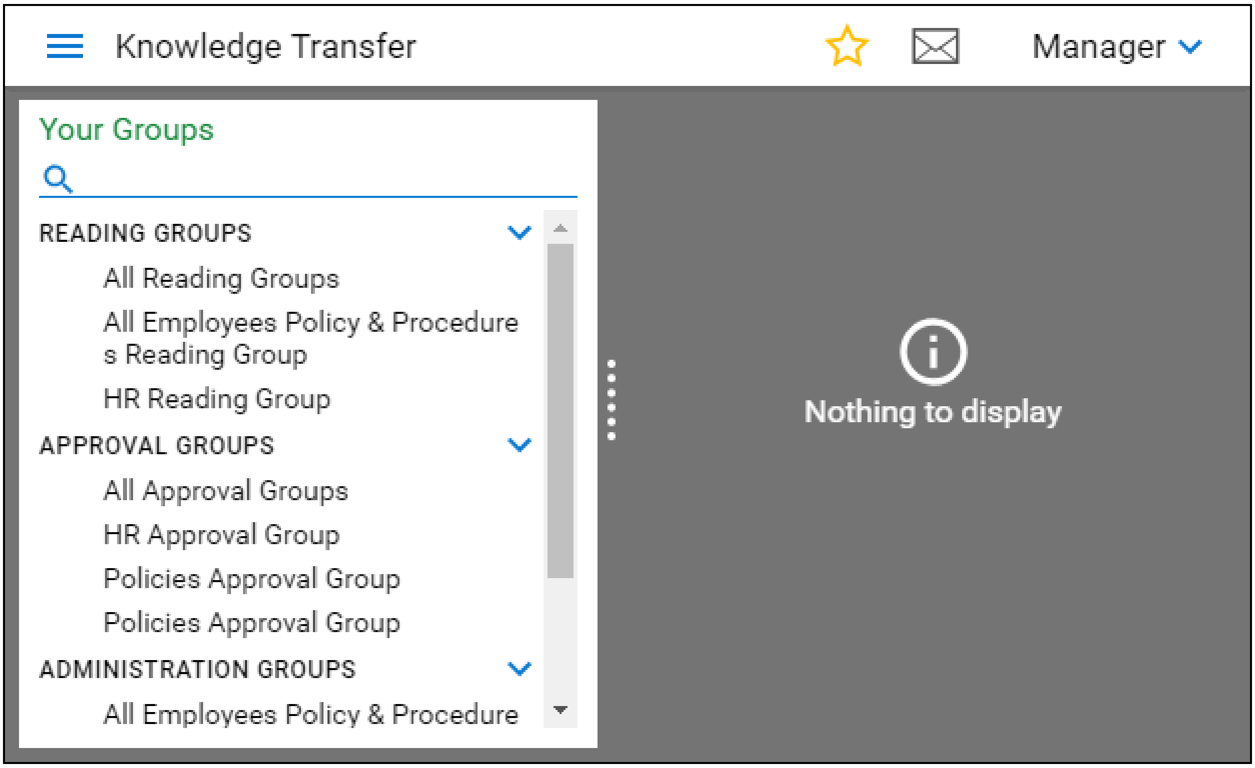
Reports can be generated from the **Document Administration** pane. These reports are CSV files that contain information found in the **Document** and **User** columns of the **Document Administration** pane. Exported reports contain information about selected documents for all users assigned to those documents.

To export a report based on selected users instead of selected documents, see Exporting Reports from the User Administration Pane on page 263.

To export a report from the **Document Administration** pane:

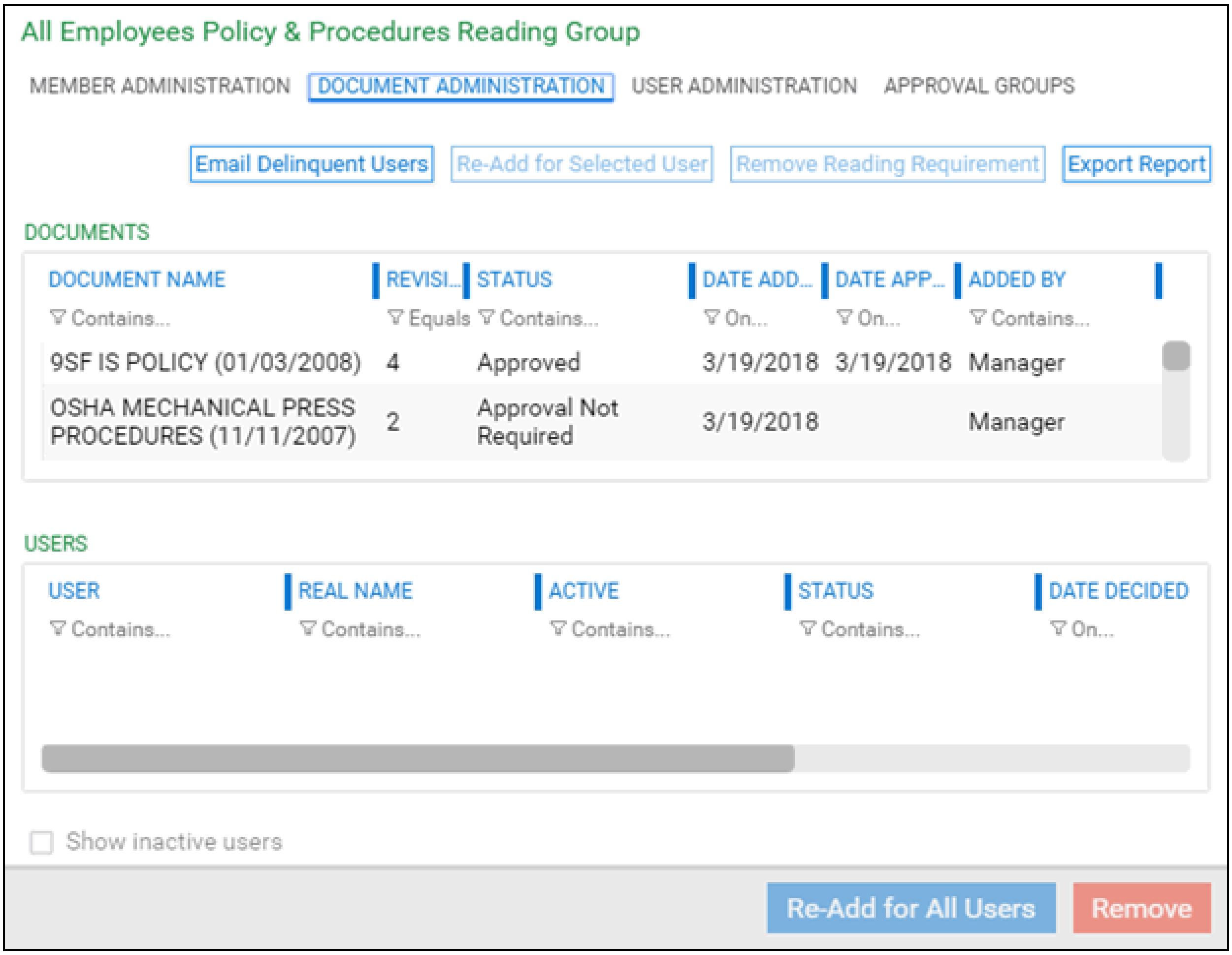
1. Open the **Knowledge Transfer** view.
   - If you are in the DKT Reader, this view is opened by default.
   - If you are in the Web Client, select **Open Knowledge Transfer** from the main menu.

   The **Knowledge Transfer** view is displayed.



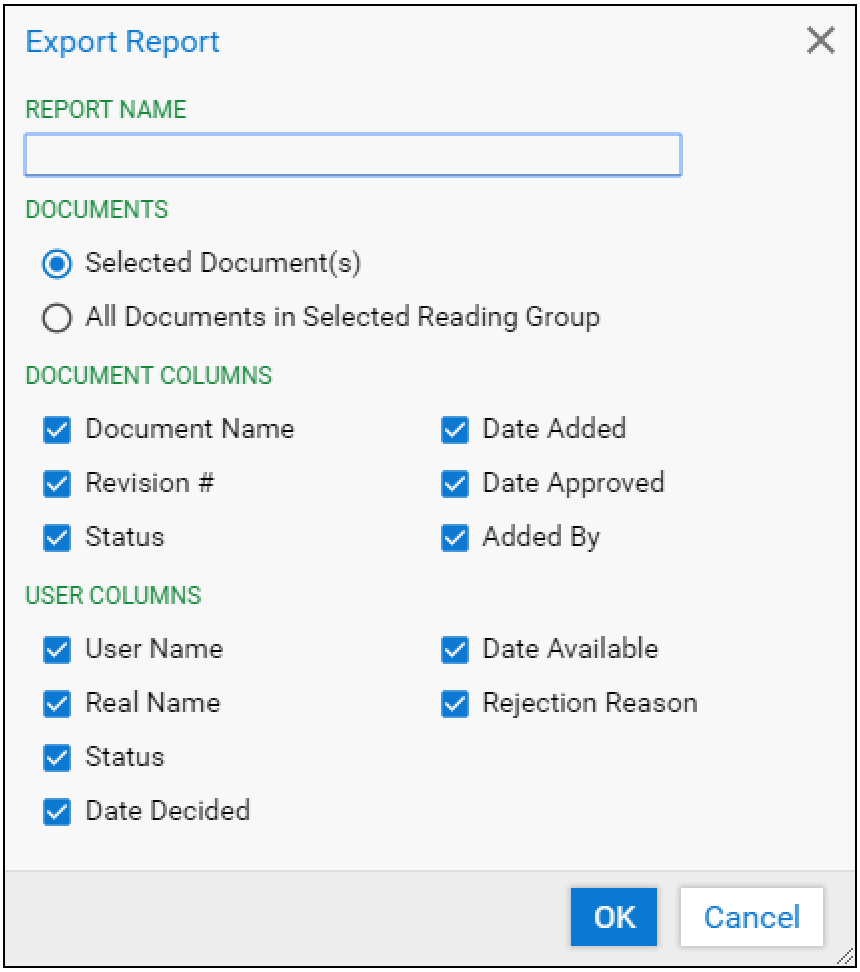
2. From the **Your Groups** pane, select a Reading Group from the **Administration Groups** drop-down list. The **Member Administration** tab is displayed by default.

3. Click the **Document Administration** tab. The **Document Administration** pane is displayed.



4. Do one of the following from the **Documents** list:
   - To include specific documents in the report, select one or more documents from the list.
   - To include all documents in the report, either select all documents in the list or do not select any documents in the list.

5. Click **Export Report**. The **Export Report** dialog box is displayed.



6. Enter a name for the report in the **Report Name** field.

Note: Report names cannot exceed 100 characters.

7. In the **Documents** section, select **Selected Document(s)** if you would like the report to be generated from the documents you selected earlier in this procedure. If you would like the report to be generated from all documents in the Reading Group, select **All Documents in Selected Reading Group**.

Note: The **Selected Document(s)** option is not available if no documents were selected before the **Export Report** button was clicked.

8. In the **Document Columns** section, select which columns of document information you would like included in the report.
9. In the **User Columns** section, select which columns of user information you would like included in the report.
10. Click **OK** to generate the report. The CSV report file is downloaded to your computer to the default location of your web browser downloads.

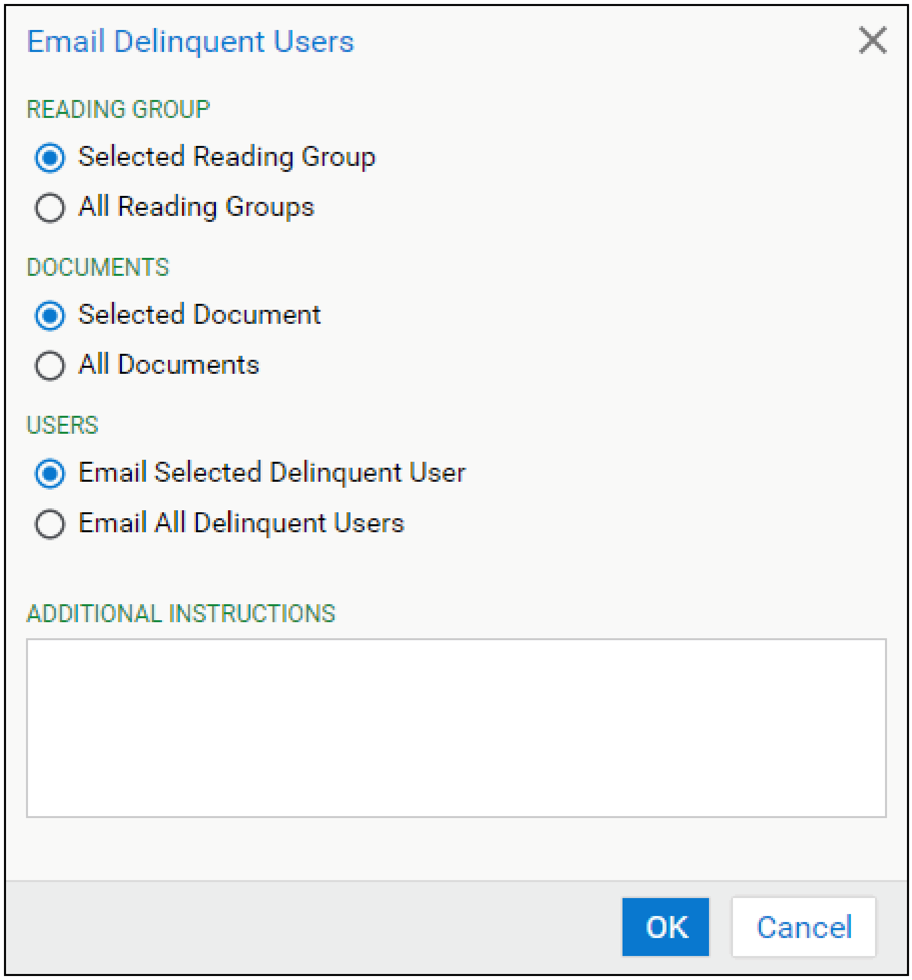
Emailing Delinquent Users

Reading group members have a Delinquent status if they have not read a document by its assigned deadline date. If you have **Compliance** rights to a Reading Group, you can email Reading Group members to inform them of their Delinquent status from the **Document Administration** pane.

From the **Document Administration** pane:

1. Select the Reading Group from the **Administration Groups** section in the **Your Groups** pane. If you are emailing all users with a Delinquent status in any Reading Group, go to step 4.
2. To email Reading Group members with a Delinquent status for a specific document, select the document from the **Documents** list. If you are emailing Reading Group members with a Delinquent status for any document, go to step 4.
3. To email a specific Reading Group member, select the Reading Group member(s) from the **Users** list. You can hold down the **Ctrl** key to select multiple users. If you are e-mailing all Reading Group members with a Delinquent status, you can skip this step.
4. Click the **Email Delinquent Users** button:

5. The **Email Delinquent Users** window is displayed:



6. Select one of the following **Reading Group** options:
   - **Selected Reading Group** - Send notifications only for the currently selected Reading Group.
   - **All Reading Groups** - Send notifications for all Reading Groups you have rights to administer.
7. Select one of the following **Documents** options:
   - **Selected Document** - Send notifications only for the currently selected document in the Reading Group.
   - **All Documents** - Send notifications for all documents in the Reading Group.
8. Select one of the following **Users** options:
   - **Email Selected Delinquent User** - Send notifications only for the currently selected users in the Reading Group.
   - **Email All Delinquent Users** - Send notifications to all delinquent users.

9. Type any **Additional Instructions**.

   The email that is sent contains a list of the documents for which each user is delinquent. This field allows you to modify the email by adding additional instructions.
10. Click **OK** to send the notification.

Re-Adding a Document for a Reading Group or User

Document Administration allows you to re-add a document for all members or for individual members of a Reading Group. Re-added documents are listed in the user's **Not Viewed** tab.

Note: You must be an administrator of the Reading Group with **Document** and **Compliance** privileges in order to re-add documents. Administrator privileges are assigned from the **Reading Group Configuration** dialog box in the Configuration module.

To re-add a document:

1. Open the **Knowledge Transfer** layout.
2. Select the Reading Group from the **Administration Groups** drop-down list in the **Your Groups** pane. The **Member Administration** tab is displayed by default.
3. Select the **Document Administration** tab. The **Document Administration** tab is displayed.
4. Select the document from the **Documents** pane.

5. If you are re-adding the document for individual users, select the Reading Group users from the **Users** pane. To select multiple users, press and hold the **Ctrl** key while selecting each user. To select a range of users, press and hold the **Shift** key, then select the first and last users in the range.
6. Click one of the following options:
   - **Re-Add for Selected User**: Re-adds the document for only the users selected in the **Users** pane. This button is located at the top right of the **Document Administration** tab.

   - **Re-Add for All Users**: Re-adds the document for the entire Reading Group. This button is located at the bottom right of the **Document Administration** tab.

Note: Documents that have a status of **Approval In Progress** or **Approval Pending** cannot be re-added for Reading Group users.

The **Users** pane is refreshed to reflect the re-added document.

Note: If you re-add a document to a Document Knowledge Transfer Reading Group, users who have already taken an associated compliance test are prompted to be tested again after acknowledging the re-added document.

Removing a Document from a Reading Group

To remove a document from a Reading Group:

1. From the **Your Groups** pane in the **Knowledge Transfer** layout, select the Reading Group from the **Administration Groups** list.
2. Select the **Document Administration** tab.
3. Select the document you want to remove from the **Documents** pane.
4. Click the **Remove** button below the **Users** pane.

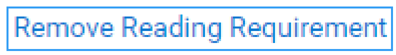
   A warning message is displayed to confirm removal of the document.
5. Click **OK** to confirm removal.

Note: Documents removed from a Reading Group are not removed from OnBase.

Removing a Reading Requirement for a User

To remove a document reading requirement for one or more users through **Document Administration**:

1. Select the Reading Group from the **Administration Groups** list in the **Your Groups** pane.
2. Select the document from the **Documents** list.
3. Select the user(s) from the **Users** list.
4. Click **Remove Reading Requirement**.



5. A warning message asks you to confirm the removal of the reading requirement for the selected user(s).
6. Click **OK** to confirm removal.
7. The user(s) will be removed from the list of users for that document, and the document will no longer be listed when the user accesses DKT.

Note: You must have rights to all Reading Groups the document belongs to in order to remove reading requirements.

User Administration

User Administration can be performed in the Web Client. This allows the Reading Group Compliance Administrator to see the following information at a glance:

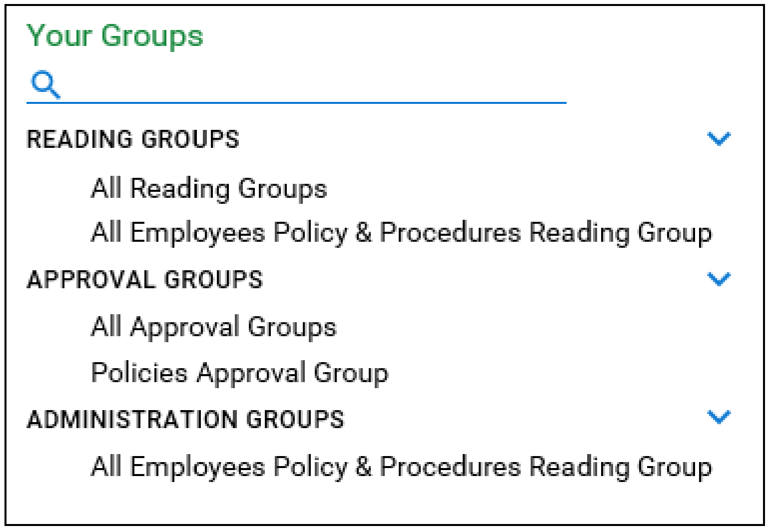
- All active and inactive users of the selected Reading Group
- All documents assigned to each user
- Delinquency status of users according to their required reading assignments

Users are considered delinquent when they have not read a required document within the allotted time frame. The deadline for reading compliance is set when the **Enable Deadline Date** option is selected in the Reading Group Configuration. See Applying Settings on page 30 for information about enabling Reading Group deadlines.

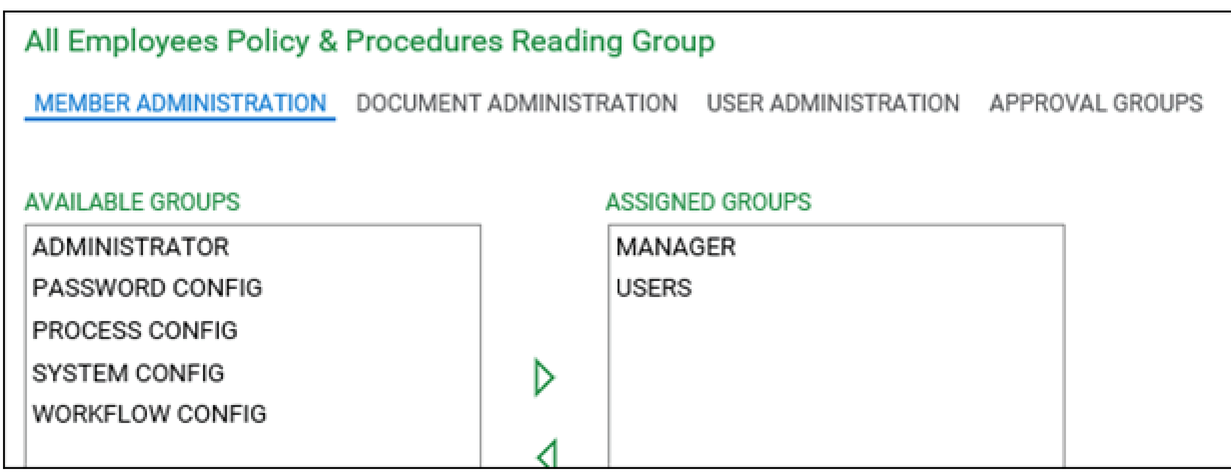
To view reader compliance by Reading Group from the **User Administration** pane:

1. Open the **Knowledge Transfer** view.
   - If you are in the DKT Reader, this view is opened by default.
   - If you are in the Web Client, select **Open Knowledge Transfer** from the main menu.

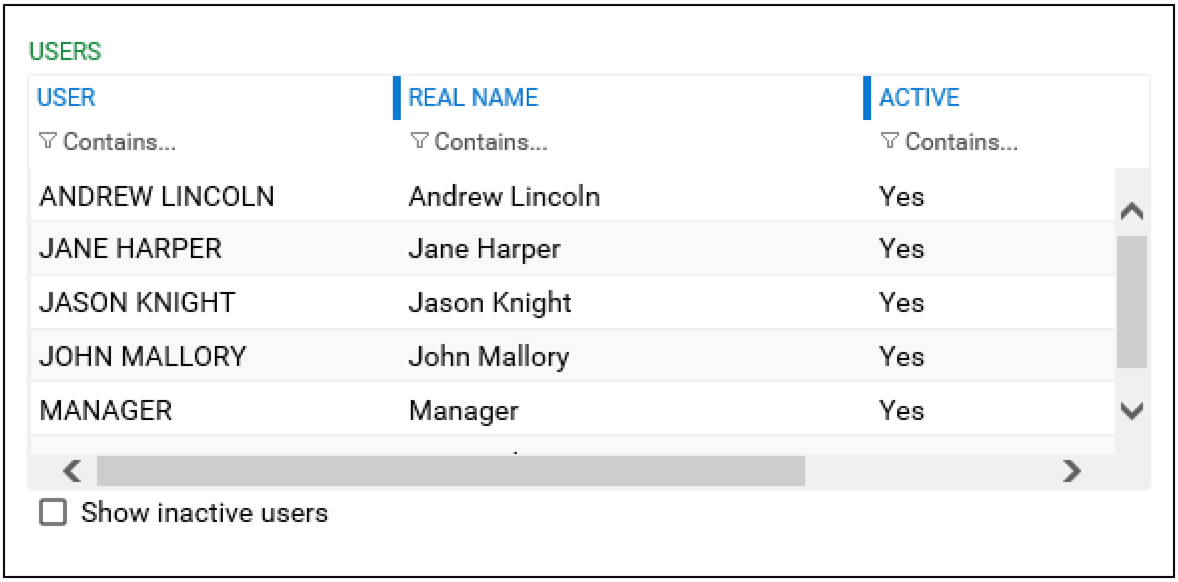
   The Knowledge Transfer view is displayed.



2. From the **Your Groups** pane, select the Reading Group from the **Administration Groups** drop-down list. The **Member Administration** tab is displayed.



3. Click the **User Administration** tab. The **Users** list is displayed.

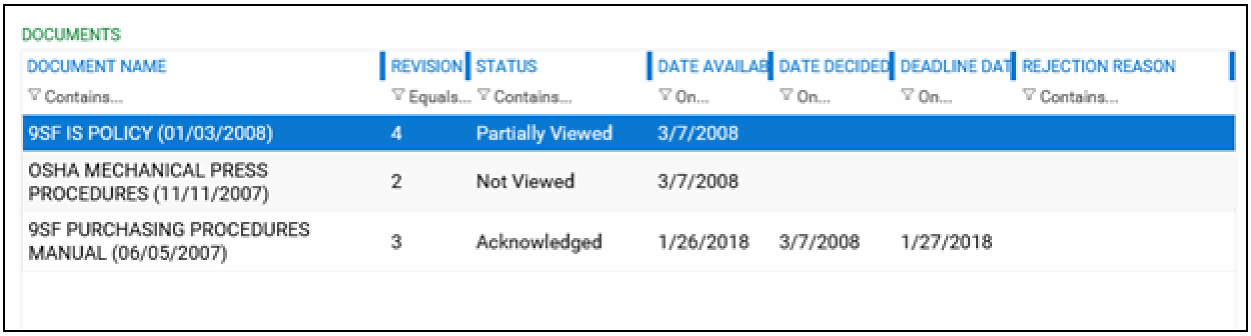


The following table describes the columns displayed in the **Users** list.

Column	Description
User	Displays the name of the user in the Reading Group.
Real Name	Displays the real name of the user in the Reading Group.
Active	Displays the active status of the user in the Reading Group.

4. If you need to display users that were removed from the selected Reading Group, select **Show inactive users**.

5. Select a user from the **Users** list. The **Documents** list displays only the documents assigned to the selected user for viewing.



The following table describes the information provided for each document listed in the **Documents** list.

Document Information	Description
Document	The Auto-Name string of the document added to the Reading Group.
Revision	The revision number of the document.
Status	The status of the document. Statuses can display as **Acknowledged**, **Partially Viewed**, **Not Viewed**, or **Delinquent**.
Date Available	The date when the document was made available to the user.
Date Decided	The date when the user acknowledged or rejected the document.
Deadline Date	The date by which a Reading Group user must read the document.
Rejection Reason	The reason the document was rejected if the **Reject** option was selected by the user.

Exporting Reports from the User Administration Pane

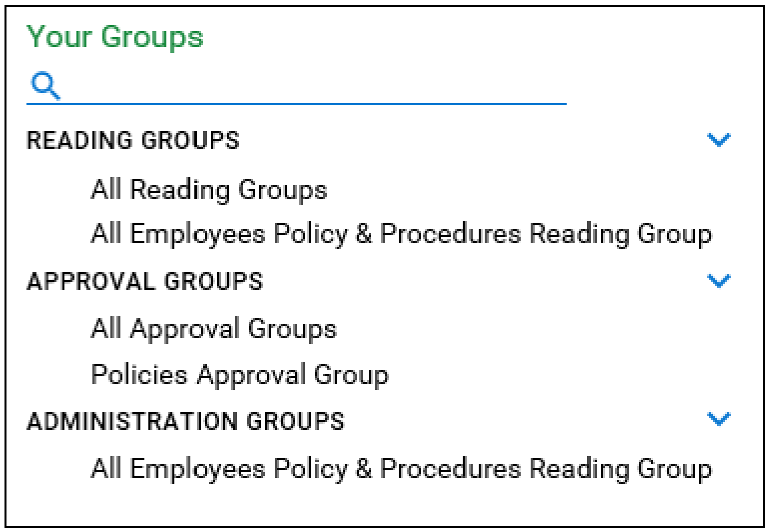
Reports can be generated from the **User Administration** pane. These reports are CSV files that contain information found in the **Users** and **Documents** lists of the **User Administration** tab. Exported reports contain information about selected users and all documents assigned to those users.

To export a report based on selected users instead of selected documents, see Exporting Reports from the Document Administration Pane on page 252.

To export a report from the **User Administration** tab:

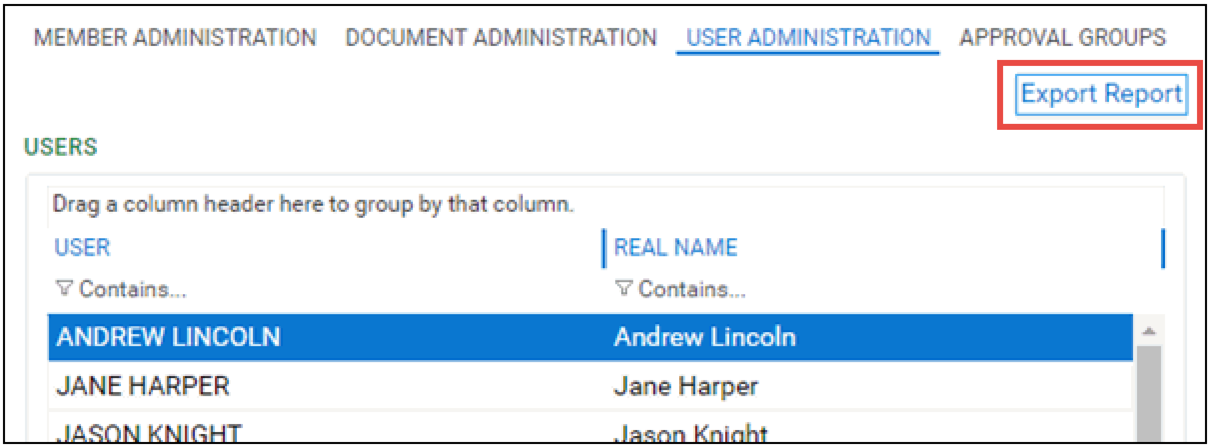
1. Open the **Knowledge Transfer** view.
   - If you are in the DKT Reader, this view is opened by default.
   - If you are in the Web Client, select **Open Knowledge Transfer** from the main menu.

   The **Knowledge Transfer** view is displayed.

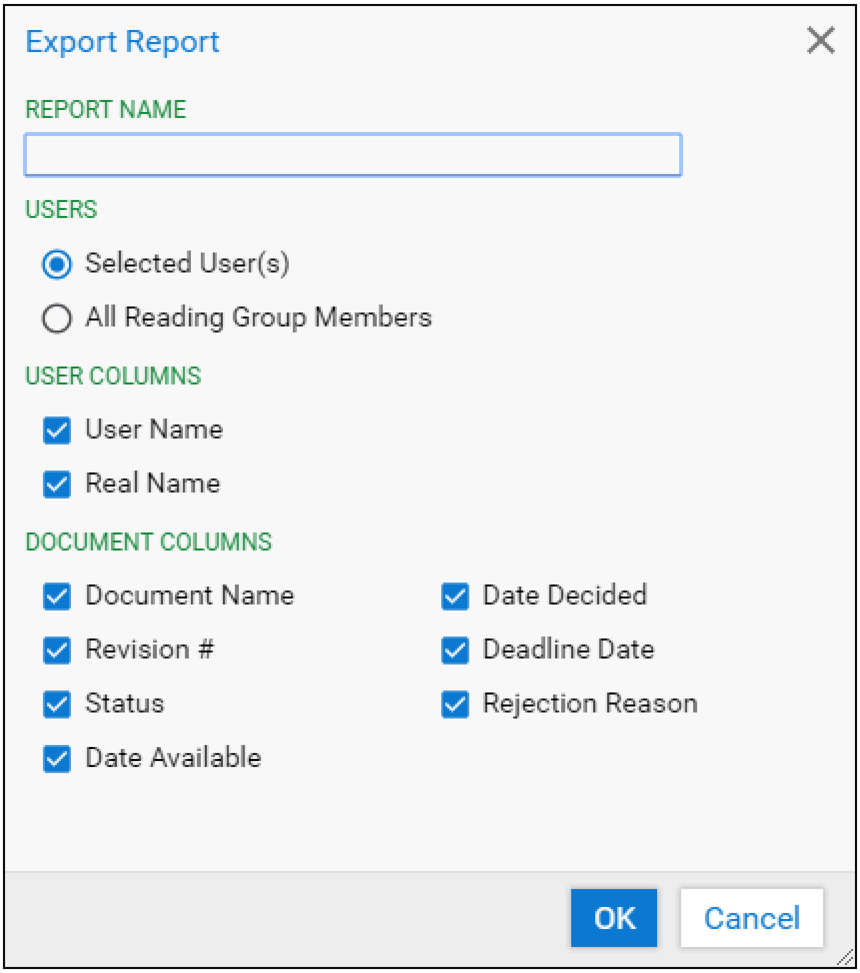


2. From the **Your Groups** pane, select a Reading Group from the **Administration Groups** drop-down list. The **Member Administration** tab is displayed by default.
3. Click the **User Administration** tab. The **User Administration** pane is displayed.
4. Select one or more users from the **Users** list that you want to include in the report.

5. Click **Export Report**.



The **Export Report** dialog box is displayed.



6. Enter a name for the report in the **Report Name** field.

Note: Report names cannot exceed 100 characters.

7. In the **Users** section, select **Selected User(s)** if you want the report to be generated from the users selected in Step 1. If you want the report to be generated from all users in the Reading Group, select **All Reading Group Members**.

Note: The **Selected User(s)** option is not available if a user was not selected before the **Export Report** button was clicked.

8. In the **User Columns** section, select which columns of document information you want to include in the report. Available columns include:
   - **User Name**
   - **Real Name**
9. In the **Document Columns** section, select the columns of user information you want to include in the report. Available columns include:
   - **Document Name**
   - **Revision #**
   - **Status**
   - **Date Available**
   - **Date Decided**
   - **Deadline Date**
   - **Rejection Reason**
10. Click **OK** to generate the report. The CSV report file is downloaded to your computer to the default location of your web browser downloads.

Taking a Compliance Test Assigned to a Document

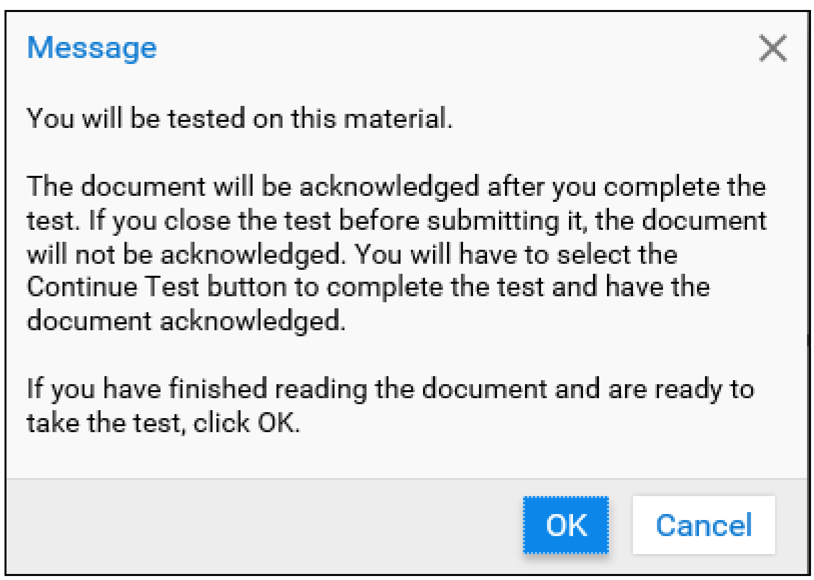
Compliance testing allows users to prove their understanding of the required Reading Group documents by answering questions assigned by a test administrator.

To take a compliance test:

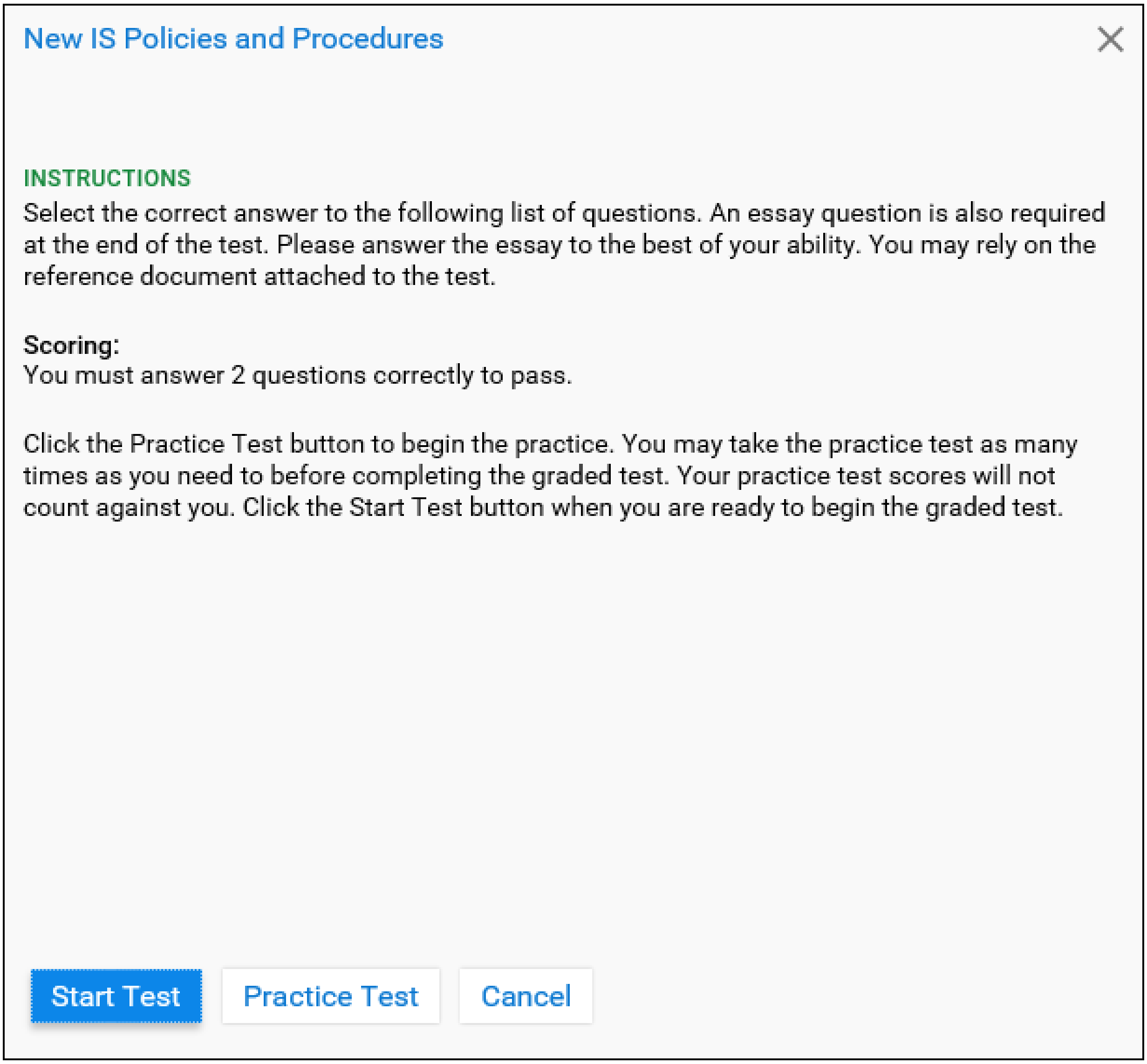
1. From the document search results list, select a document with an assigned test. A document with an assigned test displays the **Test Assigned** icon in the **Test Status** column.

   The document is displayed in the Document Viewer.
2. From the Document Viewer, click **Acknowledge** to acknowledge the document. For more information on acknowledging documents, see Acknowledging Documents in a Reading Group on page 230. The **Message** dialog box is displayed.



3. Click **OK**. The test instructions dialog box is displayed.

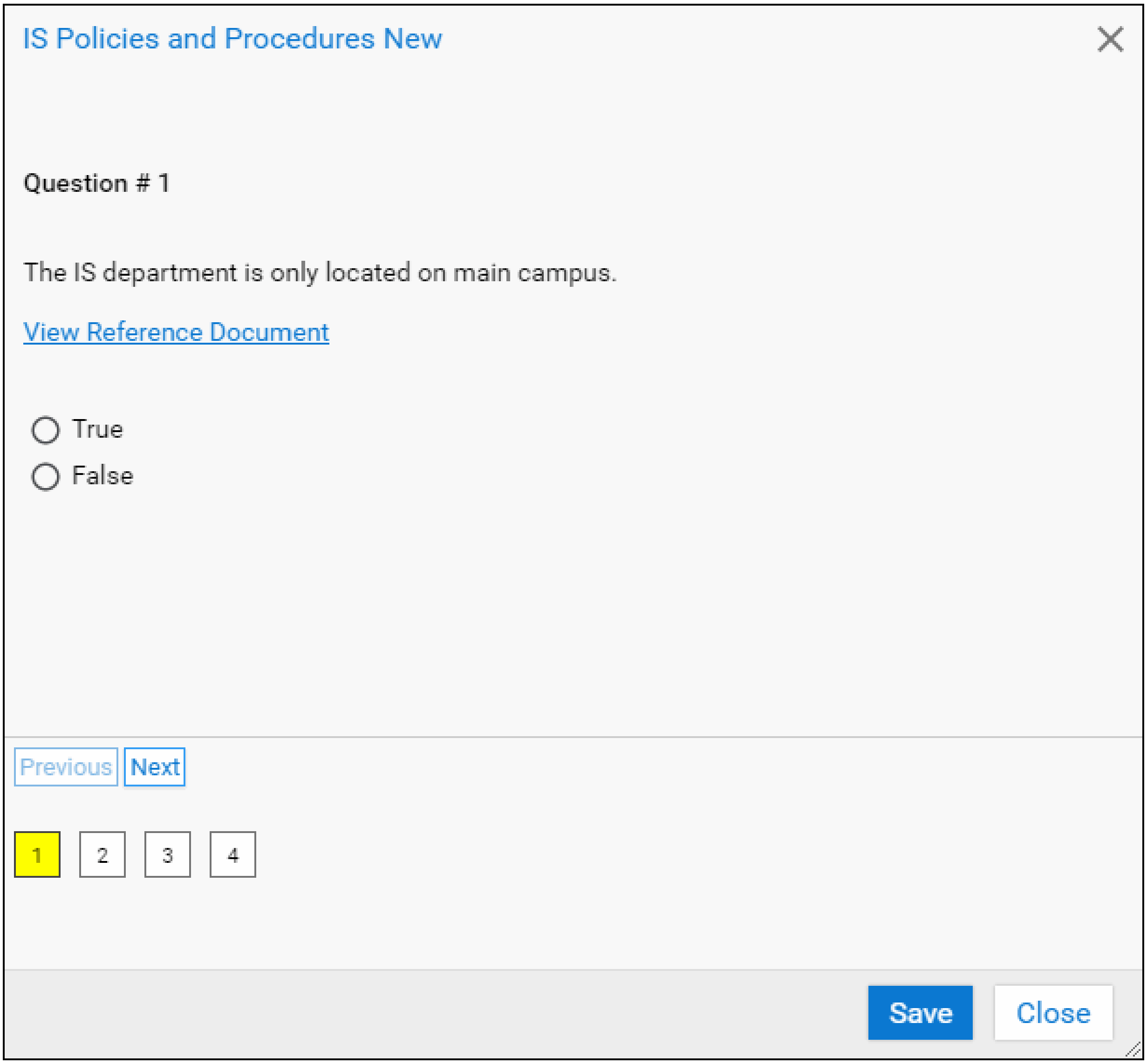


4. Choose one of the options in the test instructions dialog box:
   - Click **Practice Test** to begin a practice version of the assigned test that will not be scored

Note: The **Practice Test** button is only available if your test is configured for practice tests by the test administrator. For more information on considerations when taking a practice test, see Considerations for Practice Tests on page 277.

   - Click **Start Test** to begin the assigned test for the document

   The test question dialog box is displayed.



5. Click **View Reference Document** to view the associated reference document for the question.

Note: The **View Reference Document** option is only available if a reference document was configured by the test administrator when the test was created.

6. Depending on the format of the question, select or type the appropriate answer.
7. Once a question is answered, perform one of the following actions:
   - Click **Next** to move to the next test question.
   - Click **Previous** to move to the previous test question.
   - Click **Save** to save your current progress.

Note: Practice tests cannot be saved or continued at a later date.

   - Click **Close** to close the test question dialog box. If the answers to your questions were saved before clicking **Close**, you can continue your test where you left off at a later time. See Continuing a Test in Progress on page 270.
   - Click **Finish** to submit your test for scoring.

Note: The **Finish** button is not displayed until you are at the last question of the test.

If you did not have an assigned essay question, your test results are displayed in the test question dialog box upon clicking **Finish**. If you did have an assigned essay question, your results are displayed as soon as the test administrator has graded this portion of your test. A document with an essay awaiting scoring displays the **Awaiting Essay Scoring** icon in the **Test Status** column.

Note: Practice test results are not visible in scoring reports and certificates are not generated upon completion.

8. If you did not pass the test on the last attempt and your test is configured to allow retries, repeat these steps to start a second attempt.

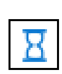
Continuing a Test in Progress

The progress of a test can be saved and continued later at your convenience.

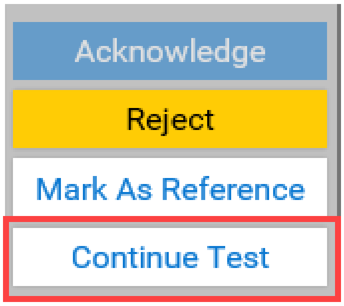
Note: Practice tests cannot be saved or continued at a later date.

To continue a test in progress:

1. Select the required document with the assigned test in progress. A document with a test in progress displays the **Test in Progress** icon in the **Test Status** column.



2. In the Document Viewer, click **Continue Test**.



   The test question dialog box is displayed where you previously left off.
3. Click **View Reference Document** to view the associated reference document for the question.

Note: The **View Reference Document** option is only available if a reference document was attached by the test administrator when the test was created.

4. Depending on the format of the question, select or type the appropriate answer.
5. Once a question is answered, perform one of the following actions:
   - Click **Next** to move to the next test question.
   - Click **Previous** to move to the previous test question.
   - Click **Save** to save your current progress.
   - Click **Close** to close the test question dialog box.
   - Click **Finish** to submit your test for scoring.

Note: The **Finish** button is not displayed until you are on the last question of the test.

   If you did not have an assigned essay question, your test results are displayed in the test question dialog box upon clicking **Finish**. If you did have an assigned essay question, your results are displayed as soon as the test administrator has graded this portion of your test. A document with an essay awaiting scoring displays the **Awaiting Essay Scoring** icon in the **Test Status** column.

6. If you did not pass the test on the last attempt and your test is configured to allow retries, see Taking a Compliance Test Assigned to a Document on page 267 to start a second attempt.

Reviewing a Test

Once a submitted test's scoring is complete, you can review your test answers along with any test administrator feedback that helps clarify why a question was answered incorrectly.

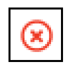
To review test answers:

1. Open a document with a graded test. Once a test is graded, the document will be in one of the following tabs:
   - The **Not Viewed** tab if you failed the test
   - The **Delinquent** tab if the document is past the deadline and you failed the test
   - The **Acknowledged** tab if you passed the test

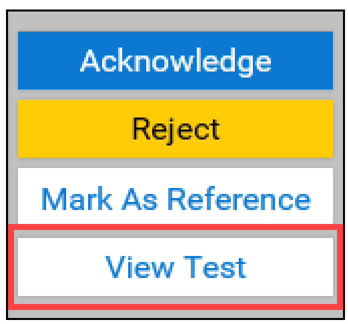
   A document with a graded test can display one of two icons in the **Test Status** column:
   - The **Test Passed** icon

   - The **Test Failed** icon

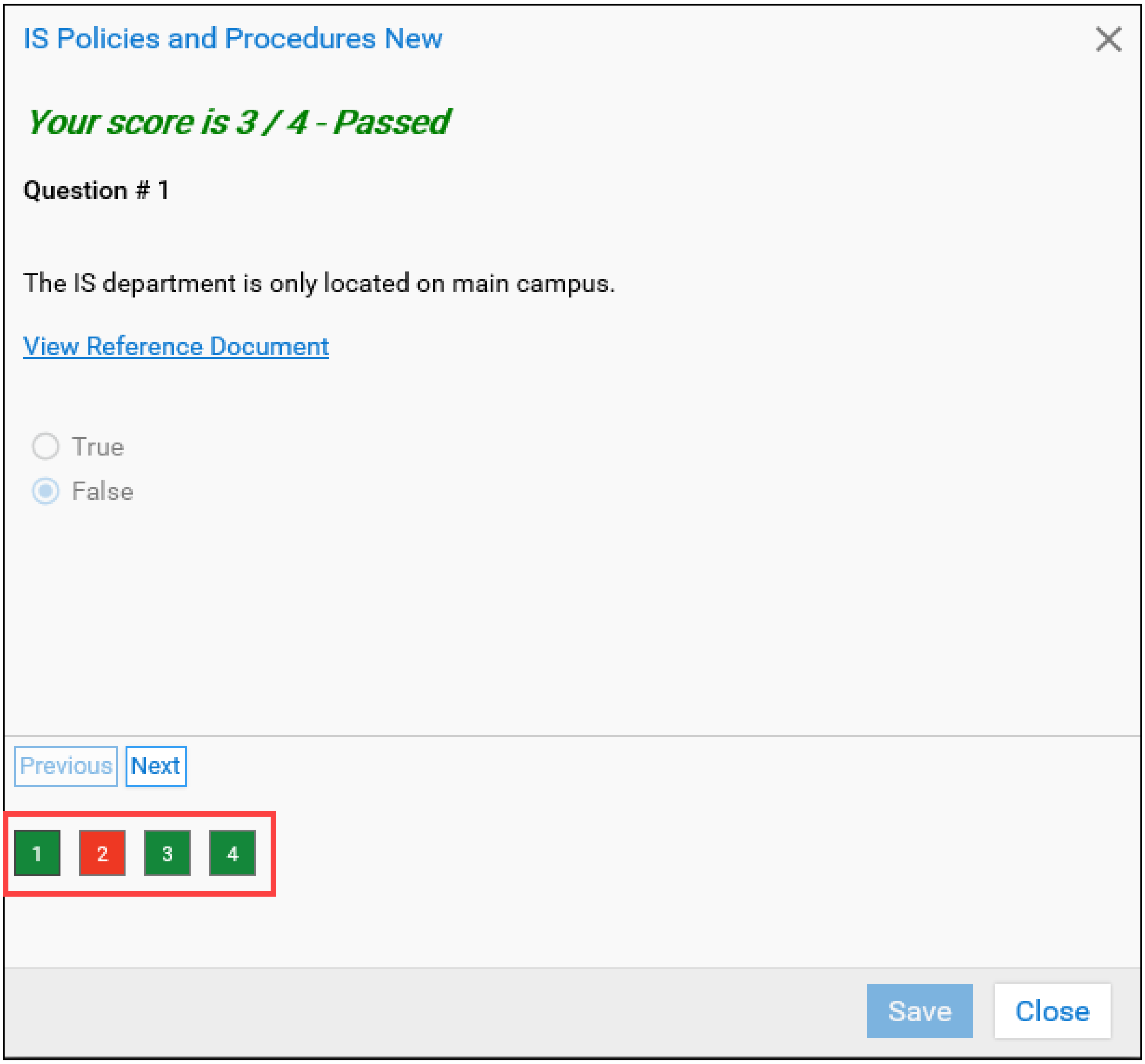
   

   The Document Viewer is displayed.
2. From the Document Viewer, click **View Test**.

   The test question dialog box is displayed.

3. From the bottom of the test question dialog box, select the numbered boxes to display the test questions and any feedback from the test administrator. Questions answered correctly are marked in green while questions answered incorrectly are marked in red.



4. Click **Close** to close the test question dialog box.

Retaking a Test

You can retake a test if your test is configured to allow retries and you failed your last attempt.

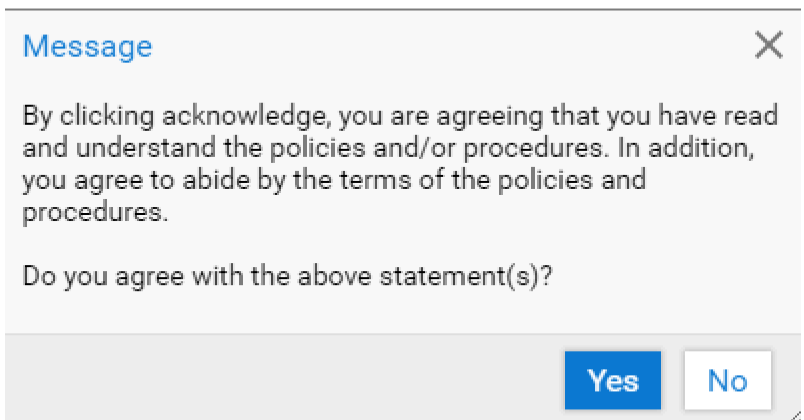
The **Scoring** section in the test instructions dialog box indicates whether you have multiple attempts and what attempt you are currently on. For example, the message may say: **You have 5 attempts to pass this test. You are on attempt 1 of 5.** Once you use all your attempts, you cannot retake the test.

To retake a test:

1. Open the **Knowledge Transfer** layout. The **Knowledge Transfer** layout is displayed.
   - If you are in the DKT Reader, this view is opened by default.
   - If you are in the Web Client, select **Open Knowledge Transfer** from the main menu.
2. From the **Your Groups** pane, select a Reading Group from the **Reading Groups** drop-down list. Documents assigned to the selected Reading Group are displayed.
3. From the document list, double-click the required document with the assigned test. The Document Viewer is displayed.
4. Click **Retake Test**.

Note: The **Retake Test** button is only available if you have additional attempts left on your test.

An acknowledgment dialog box is displayed.



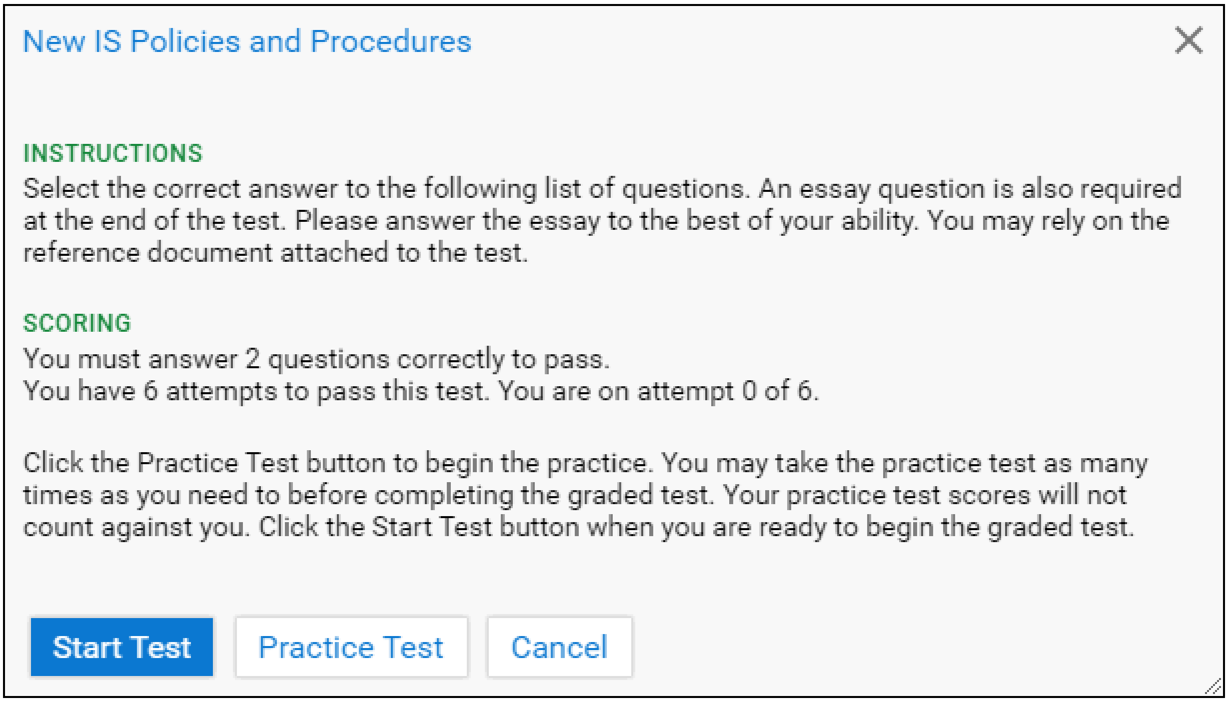
5. Click **Yes** to acknowledge the document. The **Authenticate Acknowledgment** dialog box is displayed.

Note: For more information on acknowledgment options, see Acknowledging Documents in a Reading Group on page 230.

6. Enter your password to confirm your acknowledgment and click **Acknowledge**. The testing acknowledgment dialog box is displayed.

7. Click **OK** when you are ready to take the test. The test instructions dialog box is displayed.

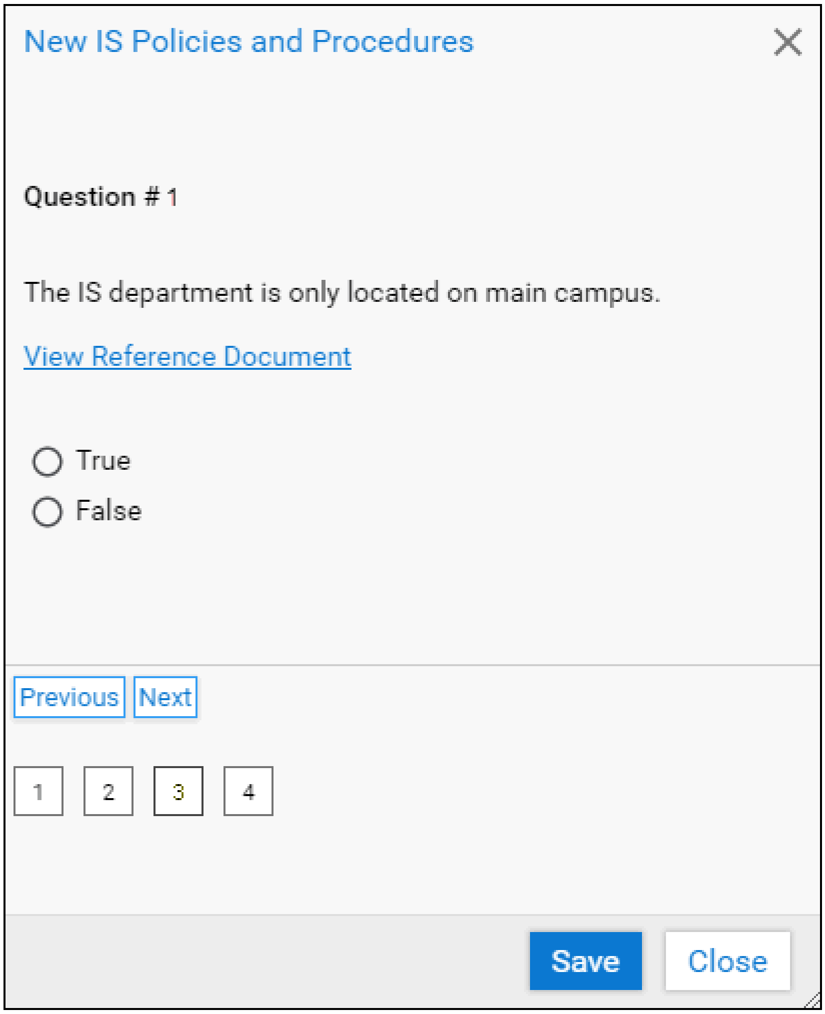
   The **Scoring** section indicates how many attempts you have to pass the test and what attempt you are currently on.



8. Choose one of the options in the test instructions dialog box:
   - Click **Practice Test** to begin a practice version of the assigned test that is not scored.

Note: The **Practice Test** button is only available if your test is configured with a practice test by the test administrator. For a list of considerations for practice tests, see Considerations for Practice Tests on page 277.

- Click **Start Test** to begin the assigned test for the document. The test question dialog box is displayed.



9. Click **View Reference Document** to view the associated reference document for the question.

Note: The **View Reference Document** option is only available if a reference document was attached by the test administrator when the test was created.

10. Depending on the format of the question, select or type the appropriate answer.
11. Once you answer a question, perform one of the following actions:
    - Click **Next** to move to the next test question.
    - Click **Previous** to move to the previous test question.
    - Click **Save** to save your current progress.

- Click **Close** to close the test question dialog box. If the answers to your questions were saved before clicking **Close**, you can continue your test where you left off at a later time. See Continuing a Test in Progress on page 270.
- Click **Finish** to submit your test for scoring.

Note: The **Finish** button is not displayed until you are at the last question of the test.

Your test results are displayed in the test question dialog box upon clicking **Finish**. If an essay question is assigned, your results appear as soon as the test administrator grades this portion of your test.

If you did not pass the test and you have additional attempts, repeat these steps to make another attempt.

Considerations for Practice Tests

The following information should be considered before taking a practice test.

- Practice tests are a version of the assigned test that are not scored. They are available to take as many times as needed.
- Practice tests cannot be saved or continued at a later date.
- Practice test results are not visible in scoring reports and certificates are not generated upon completion.

Usage - Unity Client

You can access the following DKT functions in the Unity Client:

- Reading Group members can view and acknowledge or reject required documents in their queue.
- Reading Group approvers can view and approve or reject documents of Reading Groups that are configured to Allow or Require Approval.

  If you are member of an Approval Group but not a member of any Reading Groups, see Approving Reading Group Documents on page 282.
- If you are a Reading Group administrator, see DKT Administrator Functions on page 287 for administrative procedures.

Note: Assuming you have the appropriate rights and privileges, you can access DKT from the Unity Client's **Home** tab.

Email Notifications

If email notification is enabled for a Reading Group, Reading Group members and Approval Group members receive email notifications when unacknowledged or unapproved documents are added to their respective queues.

If Delinquency Notification is enabled for a Reading Group, the Reading Group's compliance administrator(s) receive email notifications when a document is or will soon be delinquent in a Reading Group member's queue. The member may also receive a notification, depending on how your system is configured.

If a Reading Group is not configured for email notification, Reading Group members and approvers will not receive email notifications. In this case, the Reading Group members must periodically check for new documents to read. Approval Group members should periodically check for documents needing approval.

Consult your DKT Administrator if you want email notifications enabled for your Reading Group.

Logging on to the Unity Client

To access assigned documents, you must first log on to the Unity Client. To log on to the Unity Client:

1. Launch the Unity Client from the desktop shortcut or from the Hyland menu (located in the Windows Start menu). The login dialog box is displayed.
2. Enter the required information.

Icon	Description
Database 	Select your database. **Note:** The database drop-down list is only displayed if the Unity Client is configured to allow the selection of available databases.
User 	Type your OnBase user name.
Password 	Type your OnBase password.

3. Click **Login** to log on to the Unity Client. The Unity Client Home layout is displayed.

Accessing Reading Group Documents

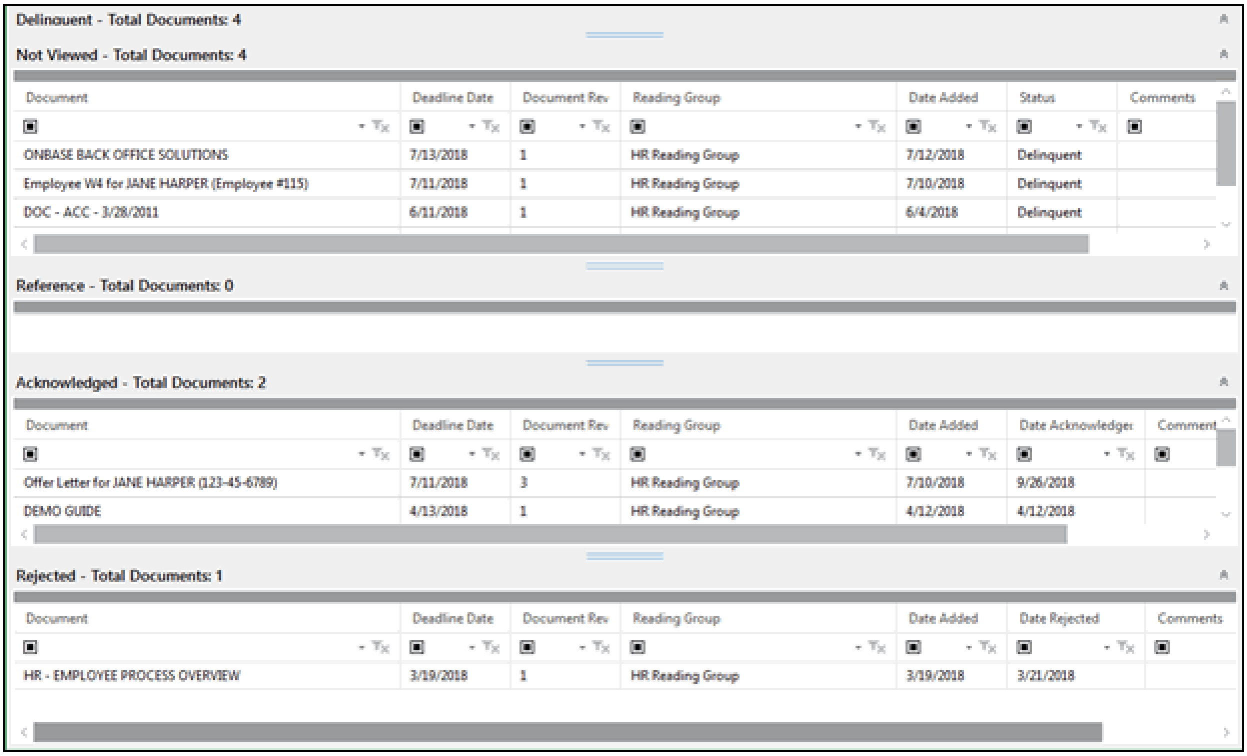
DKT allows Reading Group, Approval Group, and Administration Group members to access documents and information that belong to their assigned groups.

Note: You must have the appropriate rights and privileges to access Reading Groups in the Unity Client. Consult your Reading Group administrator or system administrator if you cannot access Reading Groups.

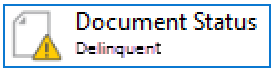
The Reading Group View

The Reading Group view is displayed when selecting a Reading Group from the **My Reading Groups** button on the **Home** tab.

From the Reading Group view, users can access their assigned Reading Group documents.



The Reading Group view includes the following panes:

Pane	Description
Delinquent	Lists the documents not viewed by their assigned deadline date. These documents also appear in the **Not Viewed** tab. If the document is delinquent, a **Delinquent** status is displayed above the document in the Document Viewer.  **Note:** This pane is only displayed if deadlines are configured and delinquent documents exist for the selected Reading Group.
Not Viewed	Lists the unread documents in the selected Reading Group.
Reference	Lists the documents that are flagged as references by either the Document Administrator or the Reading Group member.
Acknowledged	Lists the documents that the reader has viewed and acknowledged in the selected Reading Group.

Pane	Description
Rejected	Lists the documents that a reader has viewed and rejected in the selected Reading Group. **Note:** This pane is only displayed if documents for the Reading Group are configured to allow rejections from the user.

Each pane has a set of columns containing information about the documents. These columns can also filter the list of documents. See the section on data lists within the **Unity Client** documentation for more information on filtering lists.

The following table describes the pane columns that display for panes of the selected Reading Group:

Column	Description
Document	Displays the name of the assigned document.
Deadline Date	Displays the date the document must be read by for compliance. This column is only displayed when deadlines are configured for a Reading Group. **Note:** When the **<All>** Reading Group is selected, the nearest deadline date is displayed if the document is assigned to more than one Reading Group.
Document Revision	Displays the current revision of the document in the Reading Group.
Reading Group	Displays the Reading Group the document is assigned to. **Note:** When the **<All>** Reading Group is selected, this column displays all Reading Groups the document is assigned to.
Date Added	Displays the date the document was added to the Reading Group.
Status	In the **Not Viewed** pane, displays the status of the document as either **Not Viewed**, **Partially Viewed**, or **Delinquent**. Delinquent documents have not been read by the deadline date.
Date Decided	In the **Reference** pane, displays the date you acknowledged or rejected the document.
Date Acknowledged	In the **Acknowledged** pane, displays the date you acknowledged the document.
Date Rejected	In the **Rejected** pane, displays the date you rejected the document.
Comment	Displays the comment specified by the administrator when the document was added to the Reading Group.

Approving Reading Group Documents

Documents added to a Reading Group that are configured for approval must go through the approval process before becoming available to the Reading Group. This step is not necessary for Reading Groups configured with **No Approval** as their Approval Type. Members of an Approval Group can:

- View a list of documents to approve prior to distribution to the Reading Group queue.
- Open and view each document that is pending approval.
- Approve or Reject the open document from within the Document Viewer.

Note: You can select, open and approve only one document at a time.

Prerequisites

To approve a Reading Group document:

- You must be an Approval Group member assigned to a Reading Group.
- The Reading Group must be configured to either Allow or Require Approval in the Configuration module.
- The Reading Group must have been assigned Approval Groups with Approval Members through Reading Group Administration.

Approving Documents Pending Approval

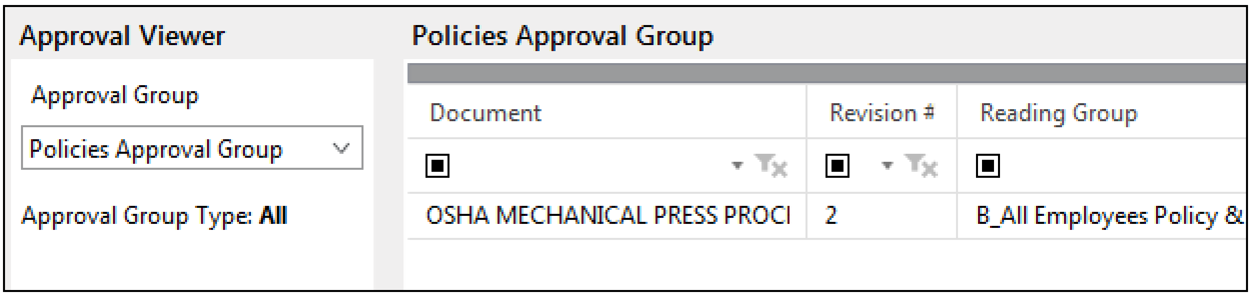
If you are an Approval Group member, you can access and approve documents pending approval from an Approval Group listed in the **Approval Viewer**.

Note: You must be a member of an Approval Group or have the **Approval** DKT Administrator privilege configured to view Approval Documents.

To approve documents:

1. From the **Home** tab, click **Approval Viewer**.

The **Approval Viewer** layout is displayed:



2. In the **Approval Viewer** pane, select an Approval Group from the **Approval Group** drop-down list. The **Approval Group Type** displays whether:
   - **All** members of the Approval Group must approve the document
   - **Any** member of the Approval Group can approve the document

   Documents to be approved for the selected Approval Group are displayed in the Approval Groups search results list to the right of the **Approval Viewer** pane. The search results list columns can be filtered. See the section on data lists within the **Unity Client** documentation for more information on filtering lists.

   The following table describes the columns in the pane displayed to the right of the **Approval Viewer** pane:

Section Name	Description
Document	The name of the document.
Revision	The document revision number in the Reading Group.
Reading Group	The name of the Reading Group that the document belongs to.
Date Added	The date when the document was added to the Reading Group

Section Name	Description
Decision Status	The status of the document, as follows: • **Pending**: The document is waiting for approval prior to distribution to the Reading Group queue. • **Approval In Progress**: The document is in the approval stage, but not fully approved yet. • **Rejected**: The document was rejected by the approver. Reading Group members do not see rejected documents in their Reading Group queues. **Note:** All rejected documents are immediately removed from the Approval Group search results list.
Comment	The comment specified by the administrator when the document was added to the Reading Group.

3. From the Approval Group search results list, double-click a document to open it. The document is displayed in the Document Viewer. Any specified administrator comments are displayed above the document.

Note: Annotations and notes applied to the document itself do not display in the Reading Group viewer.

4. Click one of the following buttons on the **Knowledge Transfer** tab:

Button	Description
Approve	Approves the document for the assigned Reading Group. A confirmation message is displayed. The approved document is closed in the Document Viewer and is removed from the list. If you are the last person required to approve the document, or if the Approval Group requires only one member to approve the document, the document is added to the Reading Group.
Reject	Rejects the document for the assigned Reading Group. A confirmation message is displayed. The rejected document is closed and is removed from the list. The document is not added to the Reading Group.
Cancel	Closes the document in the Document Viewer. The document remains in the Approval Group search results list.

Acknowledging Documents in a Reading Group

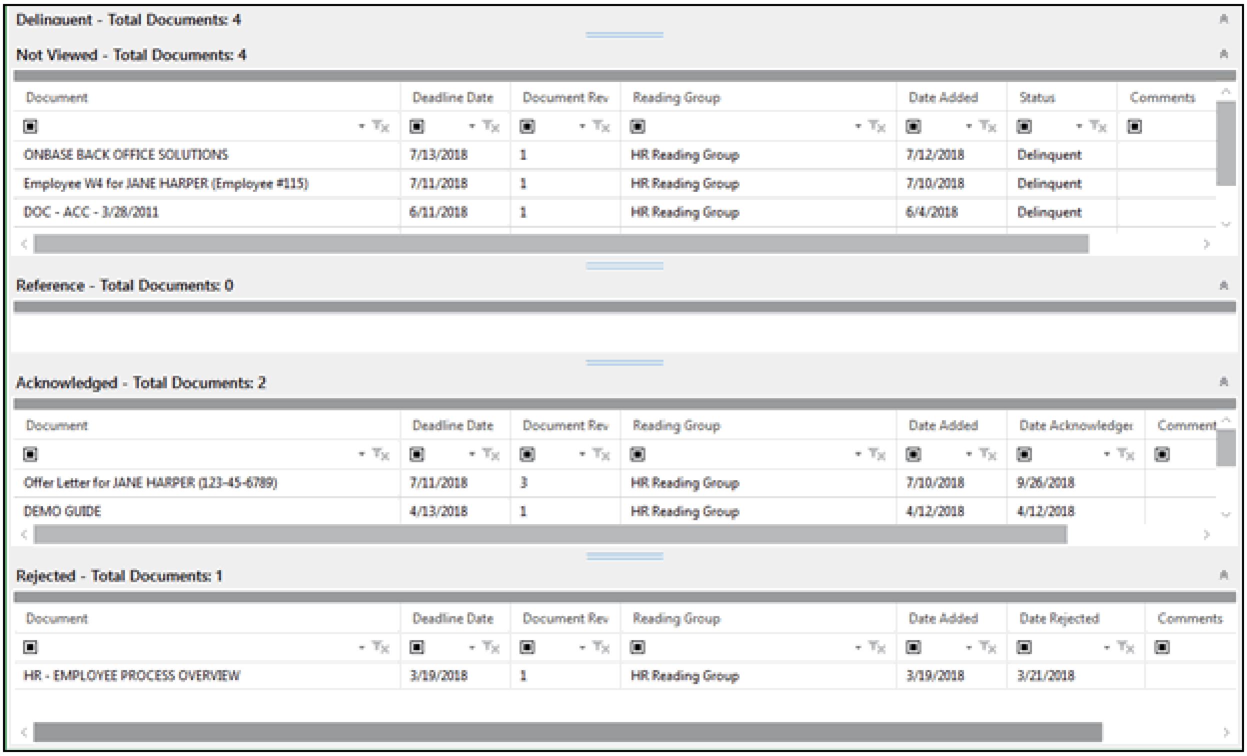
DKT allows Reading Group members to view, read, and acknowledge every document in their respective Reading Groups. After viewing, a user can acknowledge the document, signifying compliance with the reading requirement assigned to the user.

Note: To view a document in a Reading Group, you must first be a member of a Reading Group.

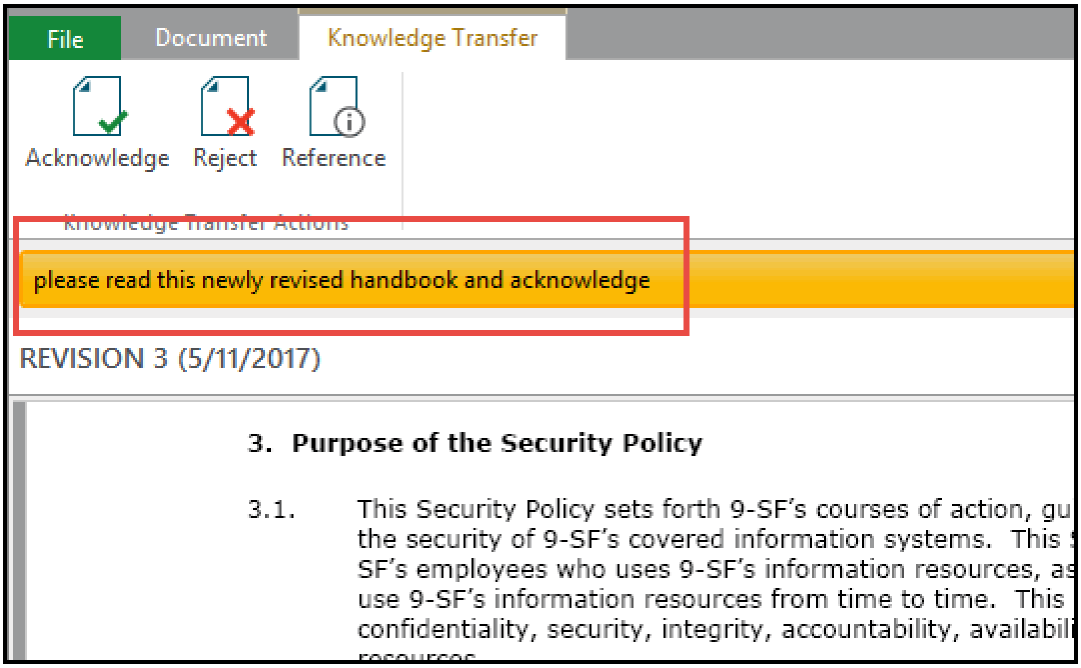
To view, open, and acknowledge a document in a Reading Group:

1. From the **Home** tab, click **My Reading Groups**.

2. Select a Reading Group from the **My Reading Groups** list. The Reading Group view is displayed.



3. From the Reading Group view, double-click a document to view it. The first page of the selected document is displayed in the Document Viewer. Any specified administrator comments are displayed above the document.



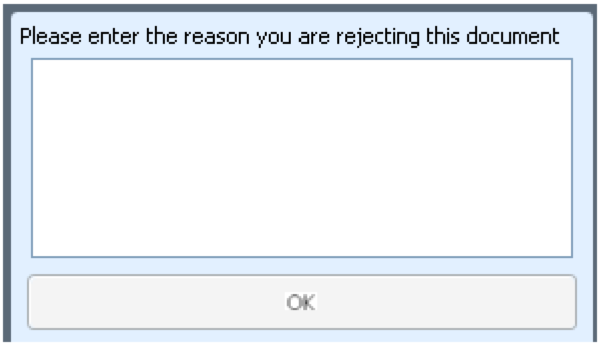
Note: Annotations and notes applied to the document itself do not display in the Reading Group viewer.

From the **Knowledge Transfer** tab, click one of the following buttons:

Button	Description
Acknowledge	Indicates that you have read the document. Once viewed, the document moves from the **Not Viewed** pane to the **Acknowledged** pane. If your system is configured to require authentication upon acknowledgment, a prompt to enter your password is displayed. The password requirement is determined when the Reading Group is configured by your system administrator. Enter your password in the field and click **OK** to submit your password.
Reject	Indicates that you have rejected the document and moves the document from the **Not Viewed** pane to the **Rejected** pane. Depending on how your system was configured, the Reading Group administrator may receive an email notification that the document was rejected. **Note:** This button is only available if the Reading Group has been configured to allow document rejection.

Button	Description
Reference	Flags the document as a reference. This button changes to **Remove from Reference** when you open and view a document that has been previously flagged as a reference. When you flag a document as a reference without clicking the **Acknowledge** button, the document will remain in the **Not Viewed** section with a status of **Partially Viewed**. **Note:** When you flag a document as a reference, it is listed in the **Reference** pane as well as in the **Not Viewed**, **Acknowledged**, or **Rejected** panes, depending on the reading status of the document.

4. If you click **Acknowledge** and your system is configured for users to take an assigned test, the test dialog box is displayed. See Taking a Compliance Test Assigned to a Document on page 319.
5. If you click **Reject** and your system is configured to prompt for a rejection reason, the **Reject Document** pane is displayed.



6. Type your reason for rejecting the document in the field and click **OK** to submit your response. Rejection reasons are limited to 250 characters. To cancel the rejection, click **Close**.

Administration - Unity Client

DKT Administrator Functions

The following administrator functions are available in the Unity Client:

- **Reading Group Administration –** allows the **Member Administrator** and/or the **Approval Administrator** to set up Reading Group members and Approval Groups and members.
- **Document Administration** - allows the **Document Administrator** to view and delete documents in each Reading Group. See Document Administration on page 296.

- **Add Document –** allows the **Document Administrator** to add document(s) to the Reading Group. This function is activated available when a document or documents in OnBase are retrieved and opened from the **Search Results** list, or directly from the **Search Results** list itself. Documents can also be added from a hit list. Adding documents can be done manually (See Document Administration on page 296) or automatically. For more information, see Adding Documents to Reading Groups on page 296.
- **User Administration** - allows the **Compliance Administrator** or **User Administrator** to view a list of users who are “delinquent” or have not read the required Reading Group documents within the allotted time frame. See User Administration on page 312.

Managing Reading Groups

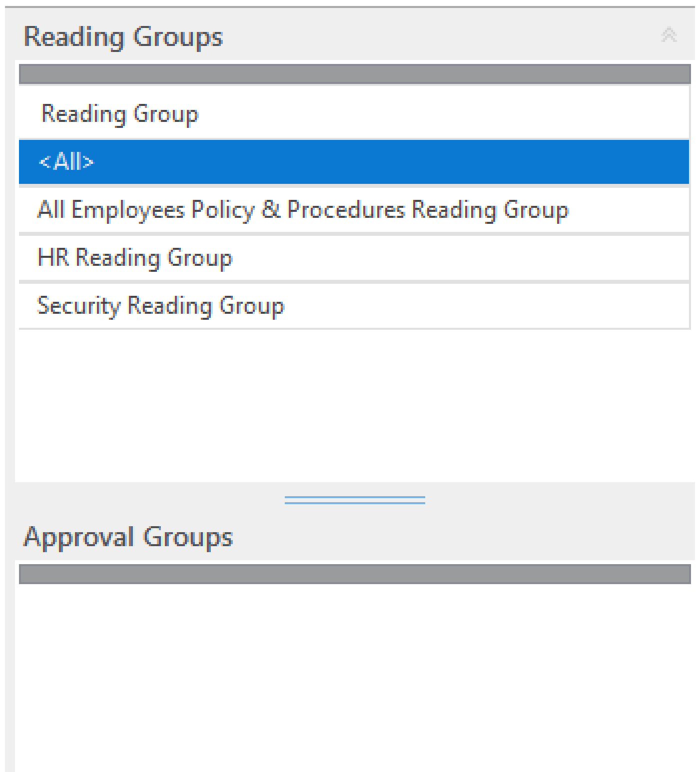
Adding Reading Group Members

If you are a **Member Administrator**, you can select individual users or User Groups to become members of a Reading Group. Reading Groups are created and set up in the Configuration module by the Reading Group Administrator. Consult your System Administrator for assistance if you cannot access Reading Group-related items.

You can also exclude an individual user from a Reading Group without removing the user's entire User Group from the Reading Group.

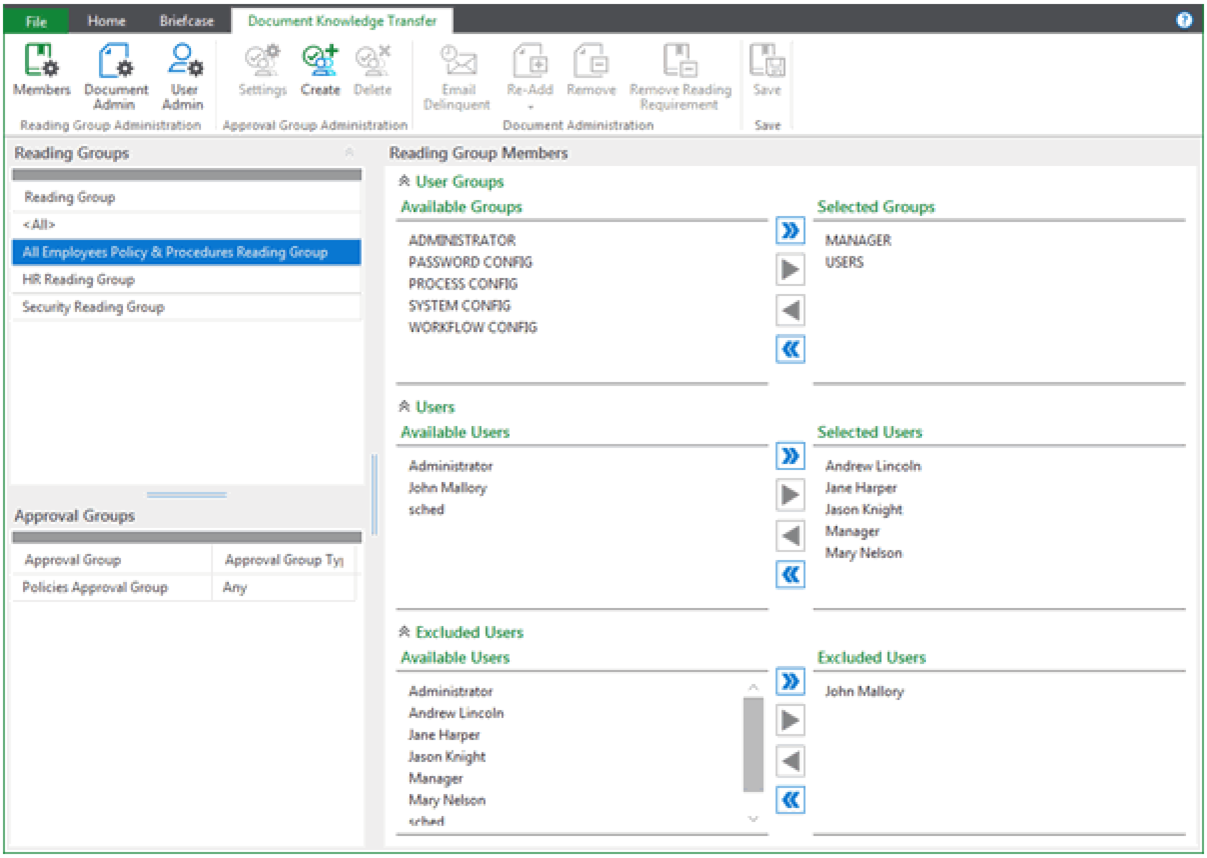
Note: You must have Administrator rights and prerequisites in place to select members for each Reading Group. Otherwise, you may not access the Reading Group administration panes.

1. Click **File** and select **Administration | DKT Administration**.
2. The **DKT Administration** layout is displayed:



3. Select a Reading Group from the **Reading Groups** pane. Select **<All>** to modify all Reading Groups.
4. On the **Document Knowledge Transfer** tab, click the **Members** button.

5. The following screen is displayed in the **DKT Administration** layout:



It contains the following panes:

User Groups	Description
Available Groups	Lists all existing User Groups in OnBase that can be assigned to the selected Reading Group.
Selected Groups	Lists all User Groups that already belong to the selected Reading Group.

Users	Description
Available Users	Lists users in OnBase who are not yet members of the selected Reading Group.
Selected Users	Lists all the users who already belong to the selected Reading Group. Individual users may already be members of a Reading Group if they are members of a User Group assigned to a Reading Group.

Excluded Users	Description
Available Users	Lists all existing User Groups in OnBase that can be excluded from the selected Reading Group. **Note:** If you exclude an individual user who was assigned ad hoc to the Reading Group, the excluded user displays both under **Excluded Users** and under **Assigned Users**. If you remove the user from **Assigned Users** and then remove the exclusion for the user, the user is not reassigned to the Reading Group.
Excluded Users	Lists all User Groups in OnBase that are excluded from the selected Reading Group.

6. Select a user/User Group from an **Available** list and click the following button to add it to a **Selected** list:

You can also click the following button to add all users/User Groups:

7. Click **Save**.

Note: You may also add members to a Reading Group using the **User Import** functionality in the Configuration module.

Removing Reading Group Members

To remove a member from a Reading Group:

1. Repeat steps 1 to 5 in Adding Reading Group Members on page 288.
2. Select a user/User Group from a **Selected** list and click the following button to remove it from the **Selected** list:

   You can also click the following button to remove all users/User Groups:

3. Click **Save**.

Note: The above procedure removes the selected member only from the selected Reading Group, not from the other Reading Groups that they may be a member of.

To delete users from all Reading Groups to which they are assigned, perform the procedure above for each Reading Group to which the users are assigned.

The next time you log on to use DKT, the names of deleted or deactivated members will no longer be displayed in the **Available** lists.

When you remove an exclusion for a user, the user is automatically reassigned to the Reading Group if one of the following conditions are met:

- The user's User Group was assigned to the Reading Group before the user was excluded, and the user's User Group is still assigned to the Reading Group when the exclusion is removed.
- The user was added to the Reading Group's **Assigned Users** before the user was excluded. When the exclusion is removed, the user displays under **Assigned Users**.

If neither condition is met, the user is available under **Available Users** to add to the Reading Group.

Managing Approval Groups

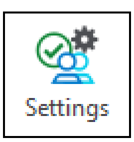
If you are an **Approval Administrator**, you can create Approval Groups, select members for each group, and configure other options related to the approval process.

Note: This step works in conjunction with the Approval Types selected in the Configuration module. If a Reading Group is set to **Allow or Require Approval**, its documents must first be approved by the assigned Approval Group before documents are viewed by the Reading Group members.

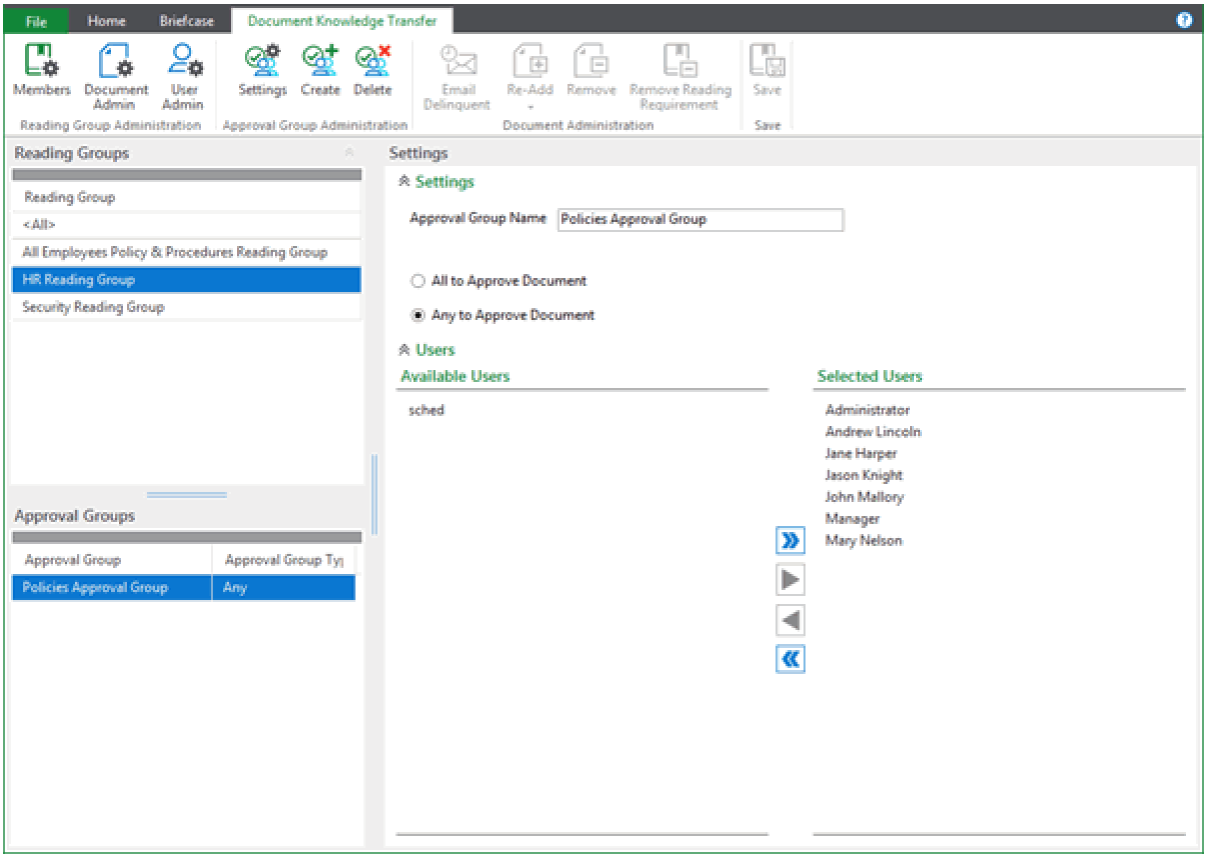
Note: To create and select members for Approval Groups, you must have **Administrator** rights and other prerequisites in place. Otherwise, you may not see the **Members** and **Approval Groups** panes. You must be a member of the Approval Group to view and edit it.

From the **DKT Administration** layout:

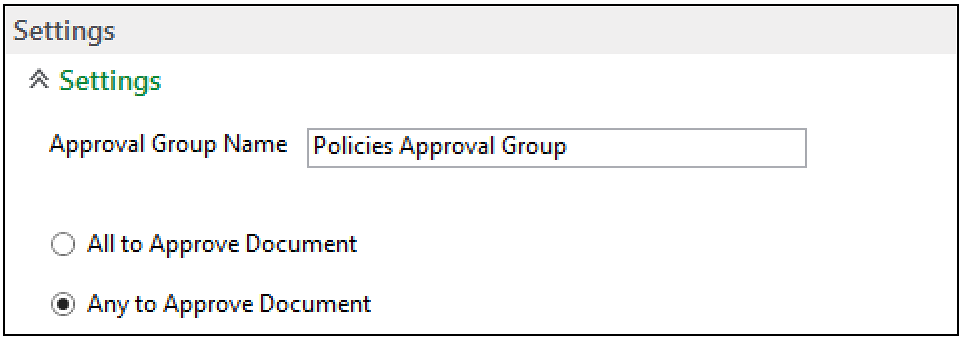
1. Select a Reading Group from the **Reading Groups** pane. The Approval Groups assigned to the selected Reading Group are displayed in the **Approval Groups** pane, along with the type of Approval Group.
2. On the **Document Knowledge Transfer** tab, in **Approval Group Administration**, click one of the following buttons:

Approval Group Administration	Description
	Click to modify the settings of the Approval Group selected in the **Approval Groups** pane.
	Click to create a new Approval Group. **Note:** If a Reading Group is set to **No Approval** in the Configuration module, it is not necessary to create an Approval Group. Any document added to the Reading Group will go directly to the reader queues if the Reading Group is configured for No Approval.
	Click to delete the Approval Group selected in the **Approval Groups** pane.

3. The **DKT Administration** layout displays the following:



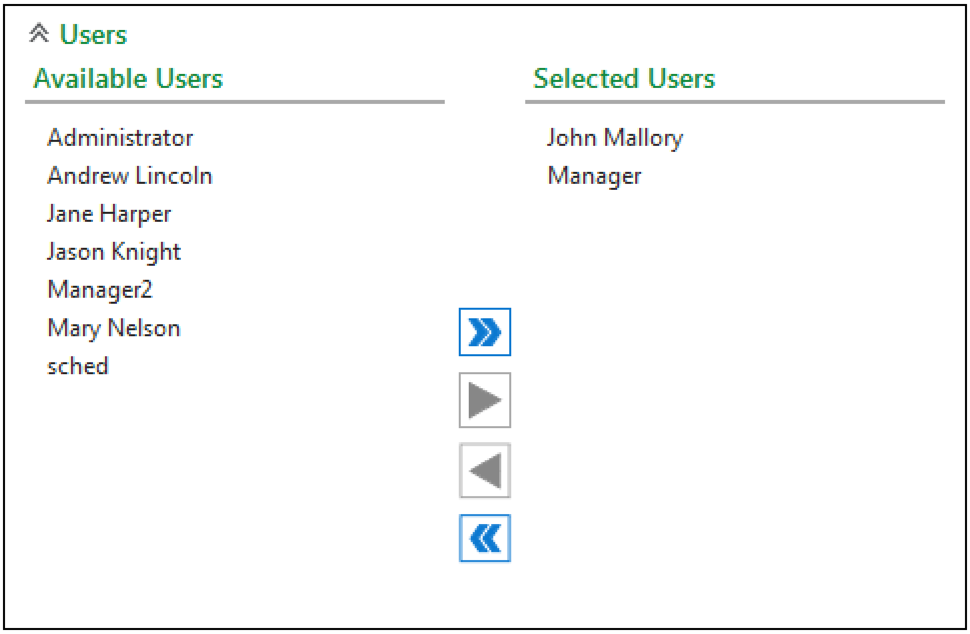
4. Type an Approval Group name in the **Approval Group Name** field in the **Settings** pane:



5. Select from the following Approval Group settings. Approval Settings govern who (either all or any) among the members of the selected Approval Group gets to approve the document before distribution to reader queues.

Settings	Description
All to Approve Document	Every member of the Approval Group must first approve the document before it can be added to a Reading Group. If only one Approval member rejects the document, the document is rejected, and therefore, cannot be distributed.
Any to Approve Document	Any member of the Approval Group can approve the document to be added to a Reading Group. In this case, only one person from an Approval Group is needed to make a decision on a document. If any member of this Approval Group rejects a document, no one else can vote to approve it, it is rejected by the entire Approval Group.

6. Select members for the Approval Group in the **Users** pane. Members are tasked with approving/rejecting each document added to the Reading Group.

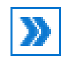


Note: Reading Group documents that require approval will bypass the approval process and go directly to the reader queues if the Approval Group assigned to the Reading Group does not have any members in it.

7. Select a user from the **Available Users** list and click the following button to add it to a **Selected Users** list:

   You can also click the following button to add all users:

   To remove a selected user from the **Selected Users** list, click the following button:

   You can also click the following button to remove all users:

8. Click **Save**.

Document Administration

In the Unity Client, Document Administrators add one or more documents to a Reading Group by right clicking on a document or hit list item, and selecting **Send To | Reading Group**.

You must have document administrator rights and privileges to use this function. Ensure that you have the Prerequisites on page 297 in place to access this function.

Adding Documents to Reading Groups

The Document Administrator can add documents to Reading Groups:

- **Automatically** - Document **Auto-Assign** is enabled when the Reading Group is configured in the Configuration module. When **Auto-Assign** is enabled, any document imported into the system that belongs to a Document Type auto-assigned to a Reading Group is automatically added to that Reading Group.
- **Manually** - Documents are added using right-click option. See Manually Adding Documents to Reading Groups on page 297.

Prerequisites

Before you can add a document to a Reading Group, ensure that:

- You have Administrator rights to add or remove documents to and from the Reading Group.
- The document to be added already exists in OnBase. If it is not, you must import the document to the system first before you can add it to the Reading Group.
- You must first retrieve the document(s) that you want to add.

Note: Ensure that you also have the **Reading Group** prerequisites in place.

Manually Adding Documents to Reading Groups

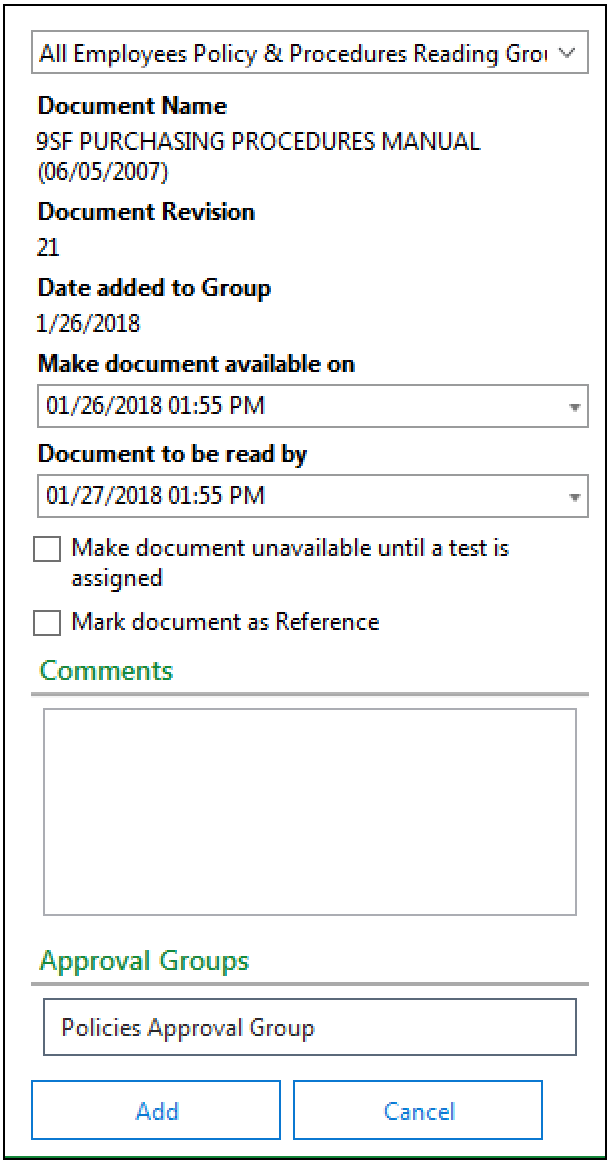
You may add documents to a Reading Group from several locations using the right-click menu option. From the following list of locations, the **Send To | Reading Group** option is available and allows you to add documents to a Reading Group.

- Document Search Results list
- Document viewer (open text or image documents)
- Envelopes
- Custom Query Search Results list
- Cross-References pane

Note: Adding a document back into a Reading Group through Document Retrieval after the document was deleted does not reset the status of the document to **Not Viewed**. To reset the status, see Re-Adding a Document for a Reading Group or User on page 305.

To manually add a document or multiple documents to a Reading Group from a list of documents:

1. Select documents to add to the Reading Group. Select multiple documents by holding down the **Ctrl** key while clicking.
2. Right-click and select **Send To | Reading Group**. The following pane is displayed:



3. Select the Reading Group to add the documents to from the Reading Group drop-down list.

4. Change the following settings as needed:

Option	Description
Make document available on	This is the date and time when the selected documents will become available to the Reading Group members. This field cannot be left blank. This date and time cannot be after the deadline for reading the document. For example, if the deadline is set to 01/05/2018 05:00 PM, then the **Make document available on** date and time must be before the deadline date and time of 01/05/2018 05:00 PM. **Note:** If Distribution Services are configured for the Reading Group, email distribution occurs on the day the document is added to the Reading Group, not on the day the document becomes available to members.
Document to be read by	**Note:** This option is only available when a Reading Group is configured for deadlines. If not configured, this option is not displayed. This is the deadline for reading the selected documents. Documents not read by this date are displayed in the **Delinquent** pane when a user accesses the Reading Group. If this field is left blank, no deadline date is assigned to the selected documents and the **Delinquent** pane is not displayed in the Reading Group viewer.
Make document unavailable until a test is assigned	When this check box is selected, the documents will not be visible in a Reading Group or DKT Administration until after a test is assigned through Compliance Testing Administration.
Mark document as Reference	When this check box is selected, the selected documents will be automatically added to the Reading Group Viewer **Reference Documents** pane as well as the **Documents Not Viewed** pane.
Comments	Type the reason why the document is being added to the Reading Group.

5. If the Reading Group is configured to allow or require approval, the **Approval Groups** section is displayed. Select an **Approval Group** to approve the added documents. Select multiple Approval Groups by holding down the **Ctrl** key while clicking.

Note: If the Reading Group is configured to **Require Approval**, you must select an **Approval Group**.

6. Click **Add**.

Note: If you attempt to add documents that are already present in the Reading Group, a message states the documents will not be added. Only documents that are not present in the Reading Group will be added.

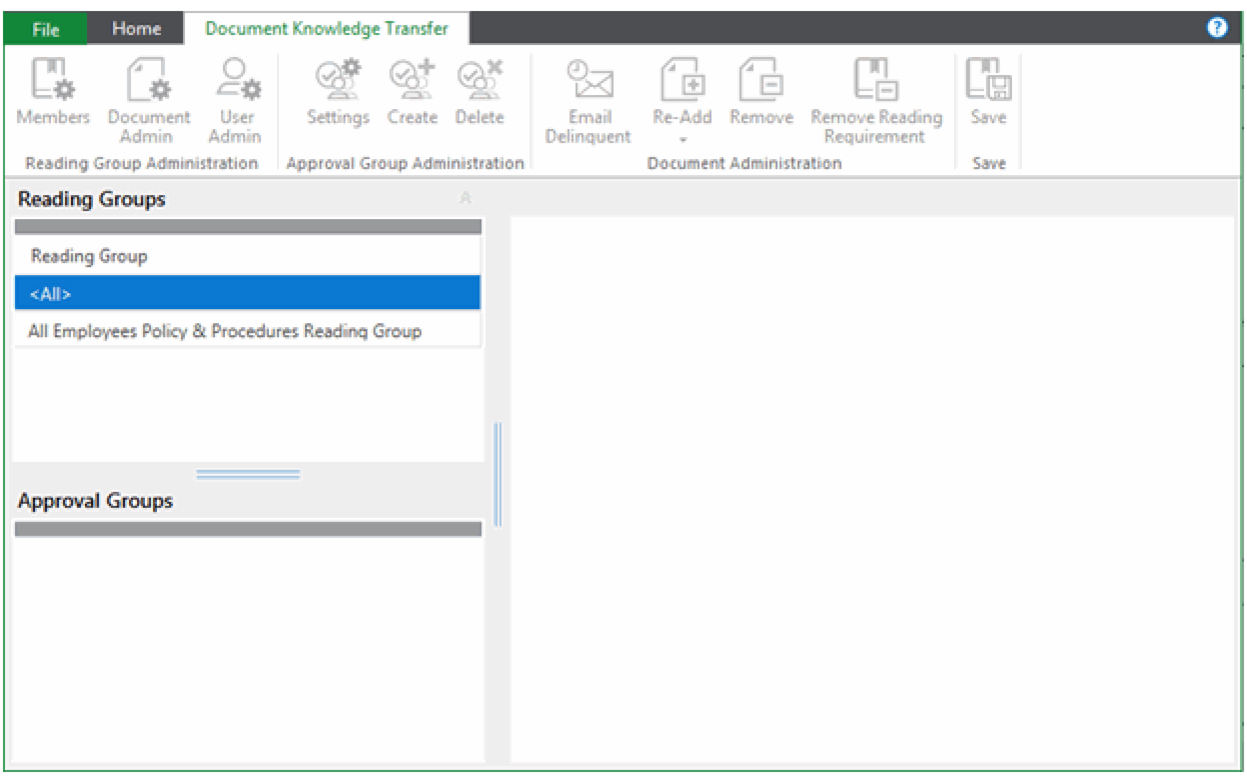
Document Administration in the Unity Client

Document administration can be performed in the Unity Client. This allows you to see the following information at a glance:

- All documents for each Reading Group or all Reading Groups
- All active and inactive users of each Reading Group
- Document Status (according to revision number, approval status, reference dates, added by)
- Viewer Status (according to view status, date acknowledged, date when document was made available to the user)

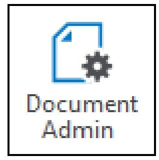
To access **Document Administration** in the Unity Client:

1. Select **File | Administration | DKT Administration**. The DKT Administration layout is displayed on the **Document Knowledge Transfer** tab.

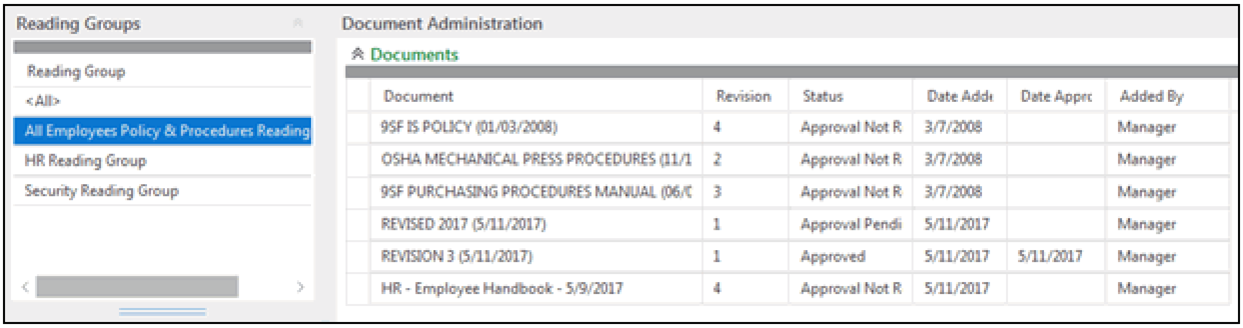


2. Select a Reading Group from the **Reading Groups** pane.

3. On the **Document Knowledge Transfer** tab, click **Document Admin**.



The **Document Administration** pane is displayed.



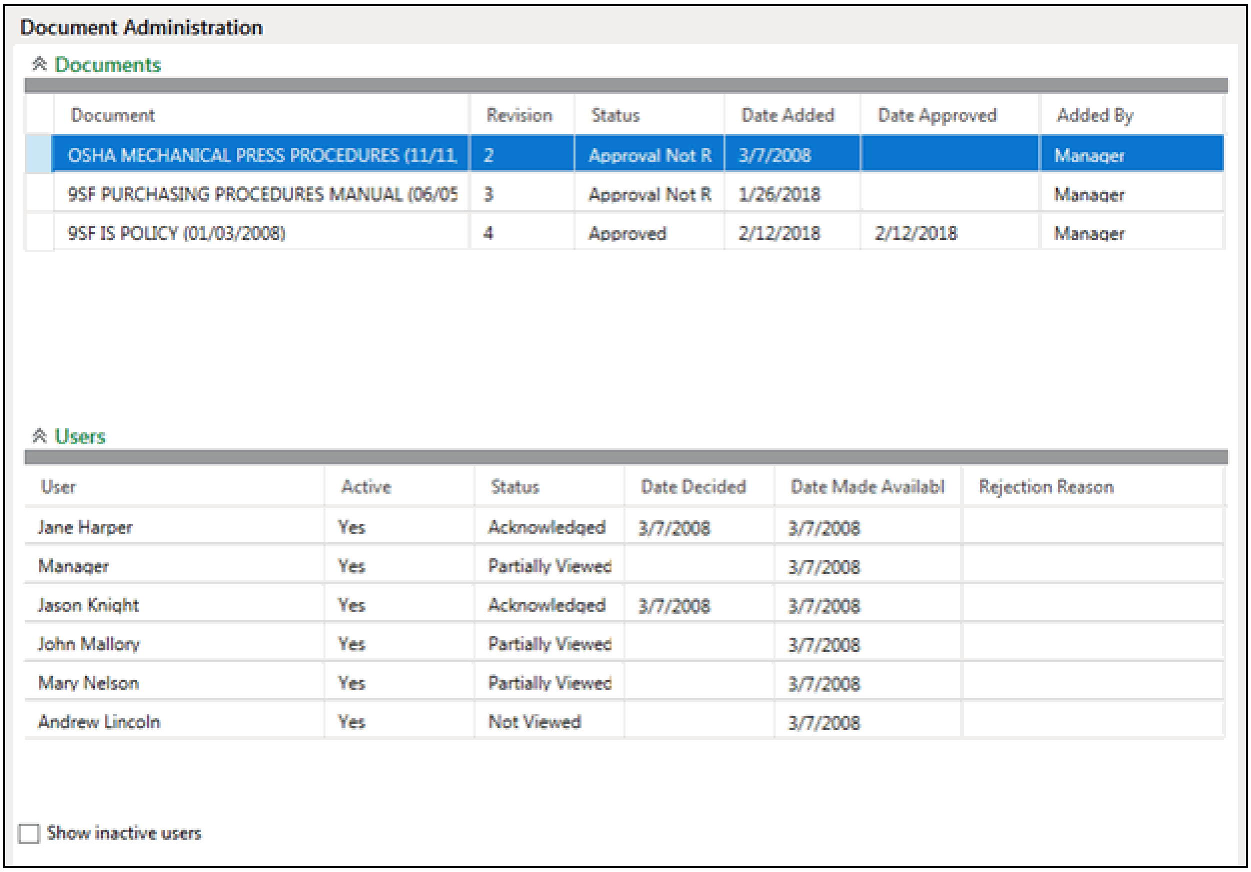
4. Select a Reading Group from the **Reading Groups** pane, or select **<All>** to display all documents currently assigned to a Reading Group.

   All the documents assigned to the Reading Group are displayed in the **Documents** list. The **Documents** list displays the following information for each document:

Column	Descriptions
Document	The Auto-Name string of the document added to the Reading Group.
Revision #	The revision number of the document added to the Reading Group.
Status	The approval status of the document. The status indicates whether the document is awaiting approval from an Approval Group, is in the Reading Group users' queues, or was rejected. The statuses are: • **Active**: Documents that are approved by the Approval Group or did not require approval. An active document is available in a user's Reading Group queue on or after the **Make document available** date, which is specified when a document is added to a Reading Group. • **Pending Approval**: Documents that are currently awaiting approval prior to distribution to the user's Reading Group queue. • **In Progress**: Documents that are in the approval process but are not yet fully approved. A document may be in progress if it is approved by only one member of an Approval Group that requires approval from all members. • **Rejected**: Documents that are rejected by the Approval Group. Rejected documents are not added to a user's Reading Group queue.
Date Added	The date the document was added to the Reading Group.

Column	Descriptions
Date Approved	The date when the document was approved for distribution, if the document was submitted for approval. **Note:** If the document did not require approval or is not yet approved, no date will be displayed.
Added By	The name of the document administrator who added the document to the Reading Group.
Reading Group	The name of the Reading Group to which the document belongs. **Note:** This column is only displayed when **<All>** is selected in the **Reading Groups** pane.

5. To display a document’s user information, select a document in the **Documents** list. The user information is displayed in the **Users** list.



6. If you need to display users that were removed from the selected Reading Group, select **Show inactive users**.

   The **Users** list displays information about all Reading Group members. The following table describes the columns that appear in the **Users** list.

Column	Description
User	Displays the name of the user in the Reading Group.
Active	Displays the user's active status in the Reading Group.
Status	Displays the user's view/decision status for the document. Possible statuses are: • **Delinquent**: Documents not read by the required deadline. The document administrator can use this information to notify users of their out-of-compliance status. • **Rejected by User**: Documents that are rejected. • **Acknowledged**: Documents that are acknowledged. • **Partially Viewed**: Documents that are partially viewed. No decision is made. • **Not Viewed**: Documents that are not yet viewed.
Date Decided	Displays the date the user acknowledged or rejected the document.
Date Made Available	Displays the date when the document was made available to the user. The user had access to the document in the Reading Group viewer beginning on this date.
Rejection Reason	Displays the reason the document was rejected if the **Reject** option was selected by the user.

Emailing Delinquent Users

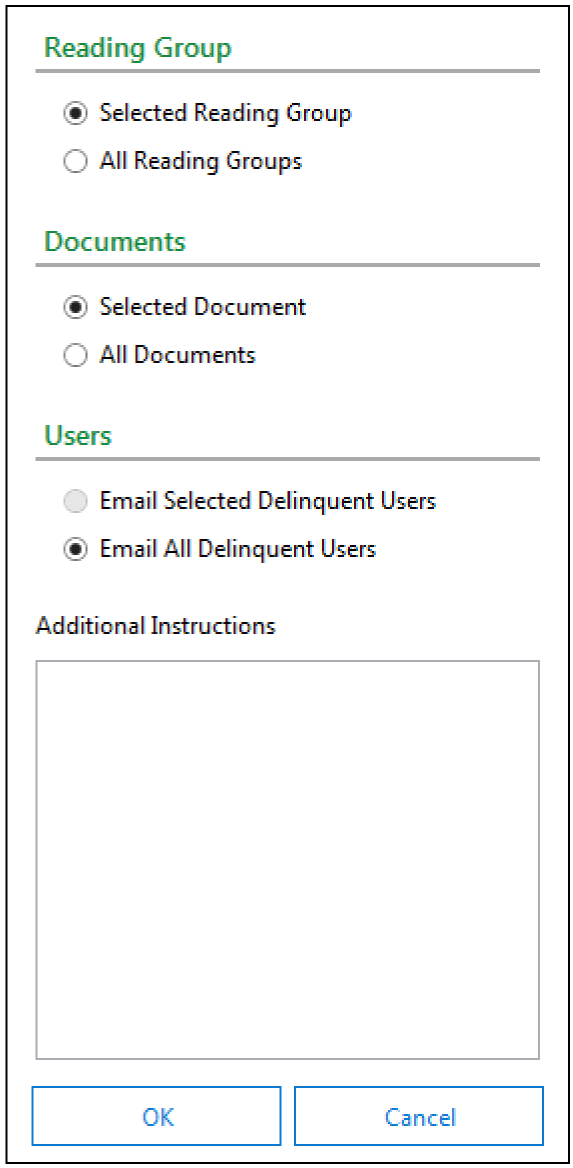
Reading Group members have a Delinquent status if they have not read a document by its assigned deadline date. If you have **Compliance** rights to a Reading Group, you can email Reading Group members to inform them of their Delinquent status from the **Document Administration** layout.

From the **Document Administration** layout:

1. Select the Reading Group from the **Reading Groups** pane. If you are emailing all users with a Delinquent status in any Reading Group, go to step 4.
2. To email Reading Group members with a Delinquent status for a specific document, select the document from the **Documents** pane. If you are emailing Reading Group members with a Delinquent status for any document, go to step 4.
3. To email a specific Reading Group members, select the Reading Group member(s) from the **Users** pane. You can hold down the **Ctrl** key to select multiple users. If you are emailing all Reading Group members with a Delinquent status, you can skip this step.

4. Click **Email Delinquent**:

5. The **Email Delinquent Users** pane is displayed:



6. Select one of the following **Reading Group** options:
   - **Selected Reading Group** - Send notifications only for the currently selected Reading Group.
   - **All Reading Groups** - Send notifications for all Reading Groups you have rights to administer.

7. Select one of the following **Documents** options:
   - **Selected Document** - Send notifications only for the currently selected document in the Reading Group.
   - **All Documents** - Send notifications for all documents in the Reading Group.
8. Select one of the following **Users** options:
   - **Email Selected Delinquent Users** - Send notifications only for the currently selected users in the Reading Group.
   - **Email All Delinquent Users** - Send notifications to all delinquent users.
9. Type any **Additional Instructions**.

   The email that is sent contains a list of the documents for which each user is delinquent. This field allows you to modify the email by adding additional instructions.

Note: Internal email has a limit of 250 characters. Therefore, if the list of delinquent documents is long, the **Additional Instructions** field may not appear. External email does not have this limitation.

10. Click **OK** to send the notifications.

Re-Adding a Document for a Reading Group or User

Document Administration allows you to re-add a document for all members or for individual members of a Reading Group. Re-added documents are listed in the user's **Not Viewed** pane. If a deadline is configured, the deadline is updated when the document is re-added.

Note: You must be an administrator for the Reading Group with **Document** and **Compliance** privileges in order to re-add documents. Administrator privileges are assigned from the **Reading Group Configuration** dialog box in the Configuration module.

To re-add a document:

1. Select **File | Administration | DKT Administration**. The **Document Knowledge Transfer** tab is displayed.
2. Select the Reading Group from the **Reading Groups** pane.
3. Select the document from the **Documents** pane.
4. If you are re-adding the document for individual users, select the Reading Group users from the **Users** pane. Press the **Ctrl** key or the **Shift** key to select multiple users.
5. Click the **Re-Add** button in the **Document Administration** section of the ribbon.

6. Select one of the following options:
    - **Add for Selected Users**: Re-adds the document for only the users selected in the **Users** pane.
    - **Add for All Users**: Re-adds the document for the entire Reading Group.

    The **Users** pane is refreshed to reflect the re-added document.

Note: If you re-add a document to a Document Knowledge Transfer Reading Group, users who have already taken an associated compliance test are prompted to be tested again after acknowledging the re-added document.

Removing a Document from a Reading Group

To remove a document from a Reading Group in the **Document Administration** layout.

1. Select the Reading Group from the **Reading Groups** pane.
2. Select the document you want to remove from the **Documents** pane.
3. Click **Remove**:

4. A warning message asks you to confirm removal of the document.
5. Click **Yes** to confirm removal.

Note: Documents removed from a Reading Group are not deleted from OnBase; they are removed only from the Reading Group they belong to.

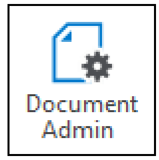
Removing a Reading Requirement for a User

You can remove a reading requirement for a user who is assigned to read a specific document.

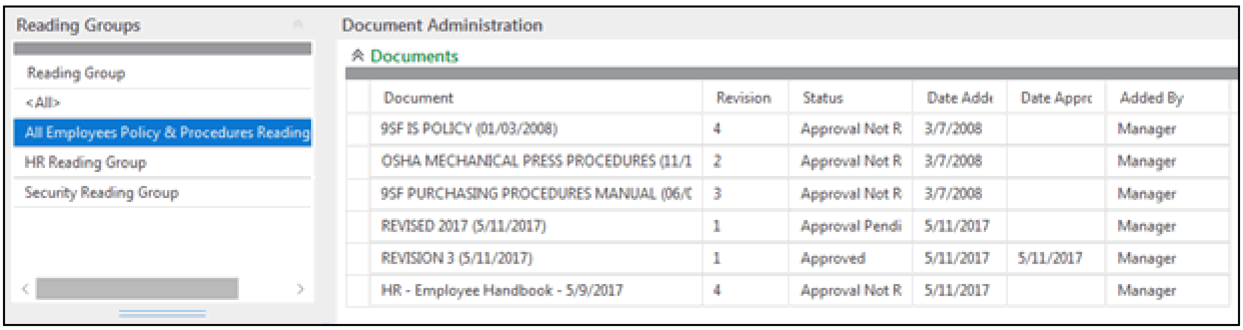
To remove a document reading requirement for a user:

1. Select **File | Administration | DKT Administration**. The **Document Knowledge Transfer** layout is displayed.
2. Select a Reading Group from the **Reading Groups** pane.

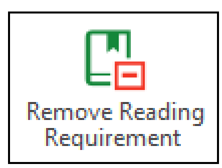
3. Click the **Document Admin** button in the **Reading Group Administration** ribbon group of the **Document Knowledge Transfer** ribbon.



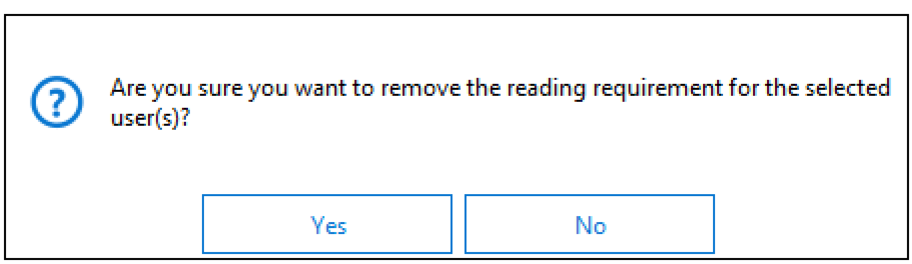
The **Document Administration** layout is displayed.



4. Select the document to remove as a reading requirement from the **Documents** list.
5. Select the user from which to remove the reading requirement from the **Users** list.
6. Click **Remove Reading Requirement** from the **Document Administration** ribbon group of the **Document Knowledge Transfer** ribbon.



A confirmation message is displayed.



7. Click **Yes** on the confirmation message displayed. The selected user is removed from the list of users for that document and the document is no longer listed in the **Reading Group Viewer** when the user accesses DKT.

Note: You must have rights to all Reading Groups to which the document belongs to remove reading requirements.

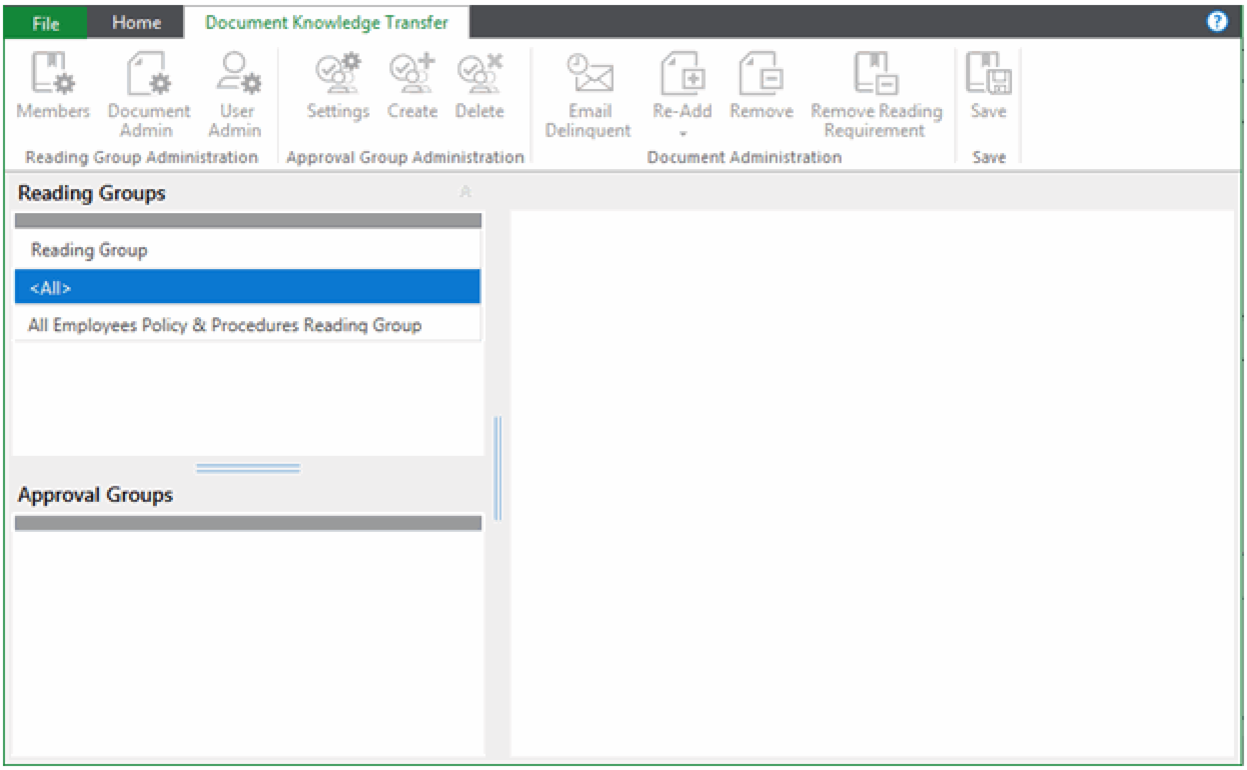
Exporting a Document Administration Report

Document administration allows you to generate and export a CSV report of the information displayed in the **Document Administration** layout. Exported reports contain information about selected documents for all users assigned to those documents.

To export a report based on selected users instead of selected documents, see Exporting a User Administration Report on page 314.

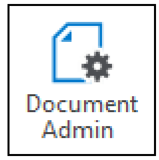
To export a document administration report:

1. Select **File | Administration | DKT Administration**. The **Document Knowledge Transfer** layout is displayed.

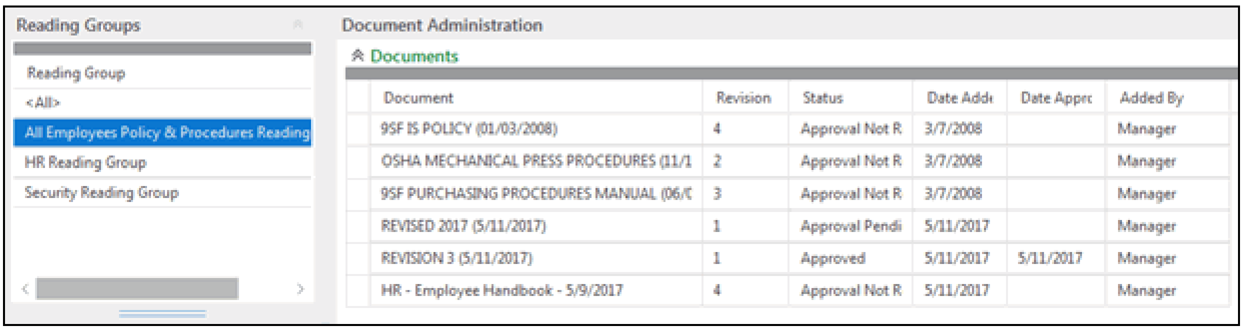


2. Select a Reading Group from the **Reading Groups** pane.

3. Click the **Document Admin** button in the **Reading Group Administration** ribbon group of the **Document Knowledge Transfer** ribbon.

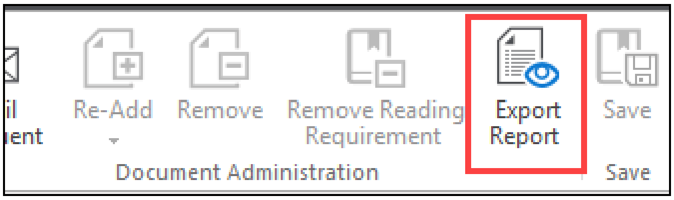


The **Document Administration** layout is displayed.

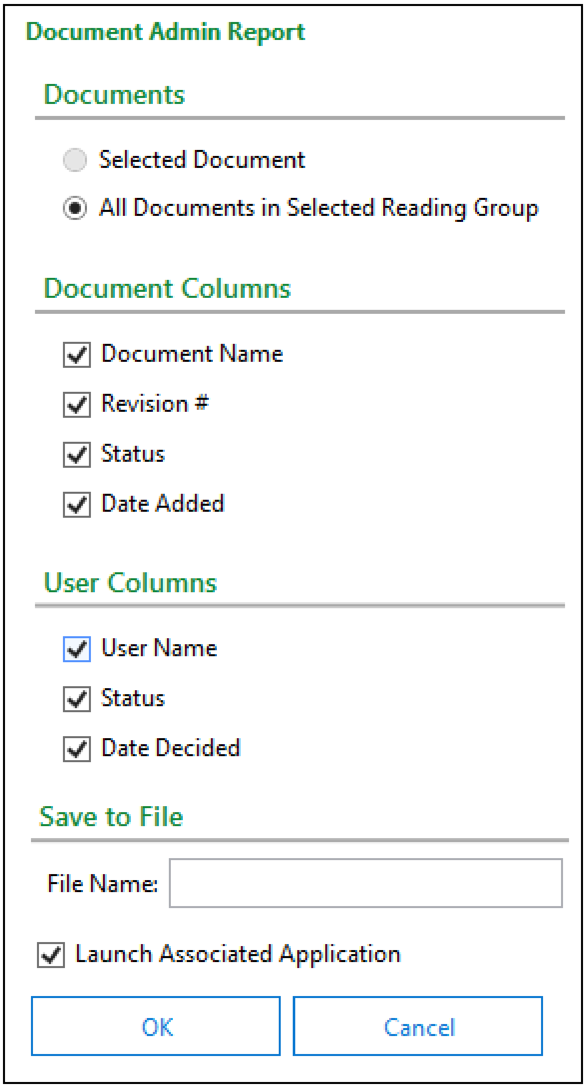


4. Do one of the following in the **Documents** list from the **Document Administration** pane:
   - To include specific documents in the report, select one or more documents from the list.
   - To include all documents in the report, either select all documents in the list or do not select any documents in the list.

5. Click the **Export Report** button in the **Document Administration** ribbon group of the **Document Knowledge Transfer** ribbon.



The **Document Admin Report** pane is displayed.



6. From the **Documents** section, do one of the following:
   - Select **Selected Document** to generate a report only for documents selected in the **Documents** list.
   - Select **All Documents in Selected Reading Group** to generate a report for all documents in the Reading Group.

Note: The **Selected Document** option is only available when you select documents from the **Documents** list in the **Document Administration** pane prior to clicking **Export Report**.

7. From the **Document Columns** section, do the following:
   - Select any document column options you want to include in your report.
   - Deselect any document column options you do not want to include in your report.
8. From the **User Columns** section, do the following:
   - Select any user column options you want to include in your report.
   - Deselect any user column options you do not want to include in your report.
9. From the **Save to File** section, in the **File Name** field, enter the name of the report file to be generated. You do not need to include the file extension in the name, for example, .csv.
10. Select **Launch Associated Application** if you want the generated report file to automatically open in its default application, for example, Microsoft Excel.
11. Click **OK**. Depending on whether you selected the **Launch Associated Application** option, the following may occur:
    - If **Launch Associated Application** is not selected, the file is saved to your desktop.
    - If **Launch Associated Application** is selected, the file is saved to your desktop and the report is opened in its native application.

User Administration

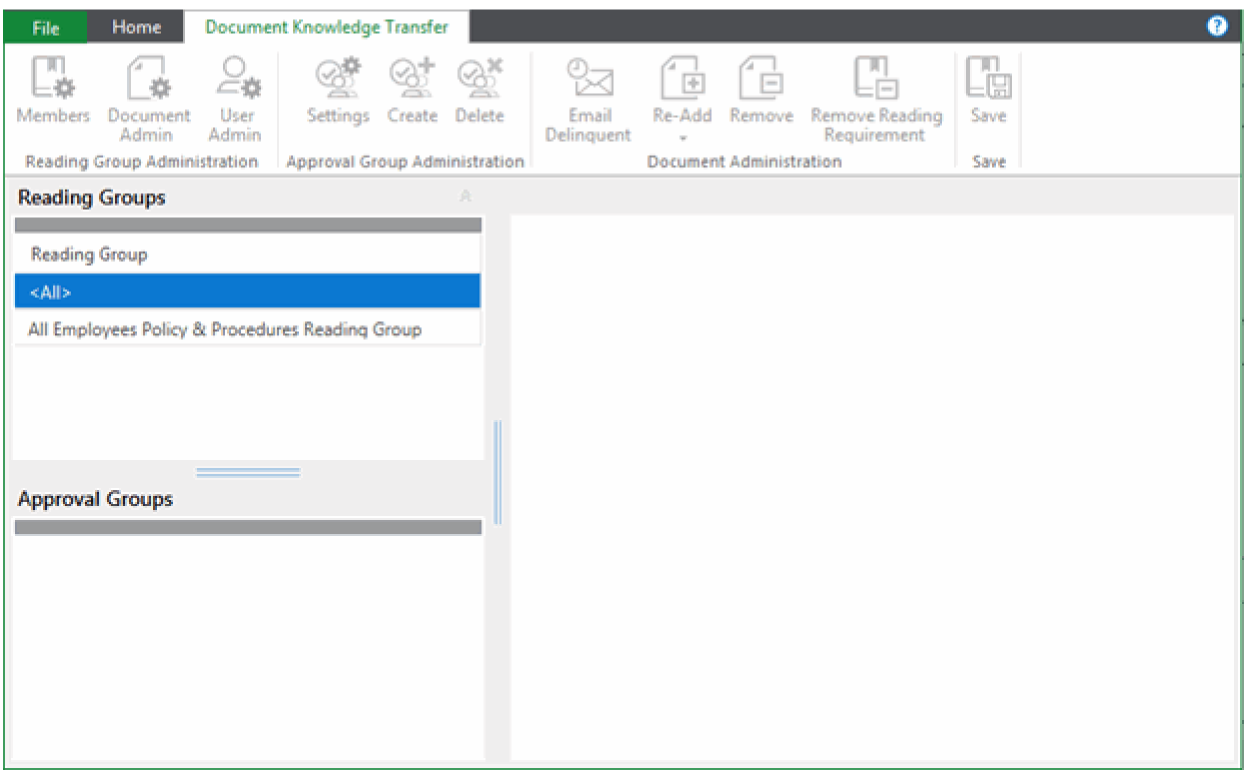
User Administration can be performed in the Web Client. This allows the Reading Group Compliance Administrator to see the following information at a glance:

- All active and inactive users of the selected Reading Group
- All documents assigned to each user
- Delinquency status of users according to their required reading assignments

Users are considered delinquent when they have not read a required document within the allotted time frame. The deadline for reading compliance is set when the **Enable Deadline Date** option is selected in the Reading Group Configuration. See Applying Settings on page 30 for information about enabling Reading Group deadlines.

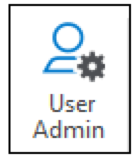
To view user compliance by Reading Group from the **User Administration** pane:

1. Select **File | Administration | DKT Administration**. The DKT Administration layout is displayed on the **Document Knowledge Transfer** tab.

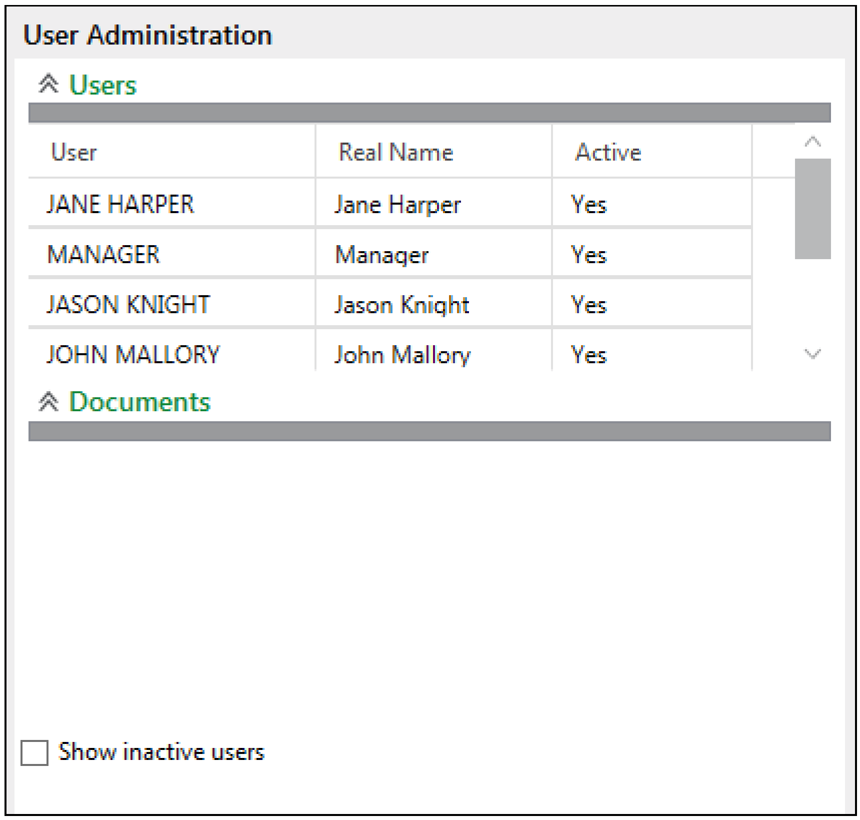


2. Select the Reading Group from the **Reading Groups** pane.

3. On the **Document Knowledge Transfer** tab, click **User Admin**.



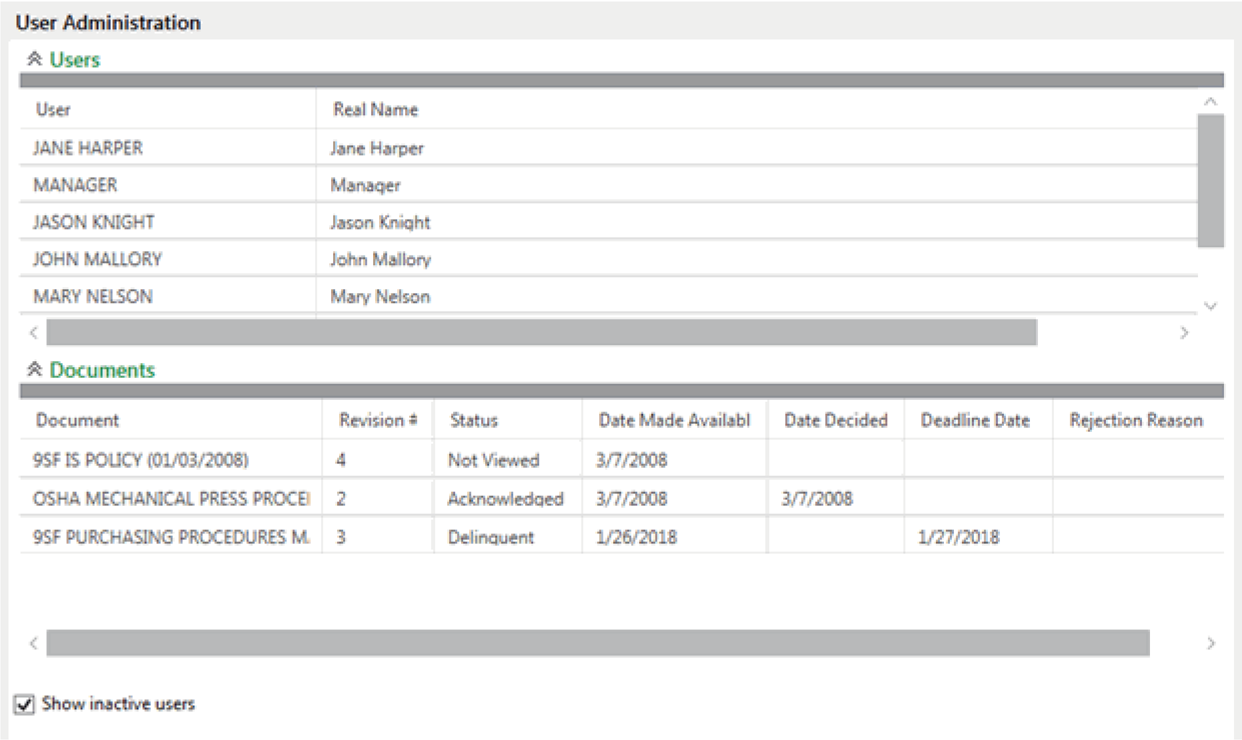
The **User Administration** pane is displayed.



4. If you need to display users that were removed from the selected Reading Group, select **Show inactive users**.
   The **Users** list displays information about all Reading Group members. The following table describes the columns displayed in the **Users** list.

Column	Description
User	Displays the name of the user in the Reading Group.
Real Name	Displays the real name of the user in the Reading Group.
Active	Displays the active status of the user in the Reading Group.

5. Select a user from the **User Administration** pane. The **Documents** list changes to show only the documents assigned to the selected user for viewing.



The following table describes the information provided for each document listed in the **Documents** list:

Document Information	Description
Document	The Auto-Name string of the document added to the Reading Group.
Revision #	The revision number of the document.
Status	The status of the document. Statuses can display as **Acknowledged**, **Partially Viewed**, **Not Viewed**, or **Delinquent**.
Date Made Available	The date when the document was made available to the user.
Date Decided	The date when the user acknowledged or rejected the document.
Deadline Date	The date by which a Reading Group user must read the document.

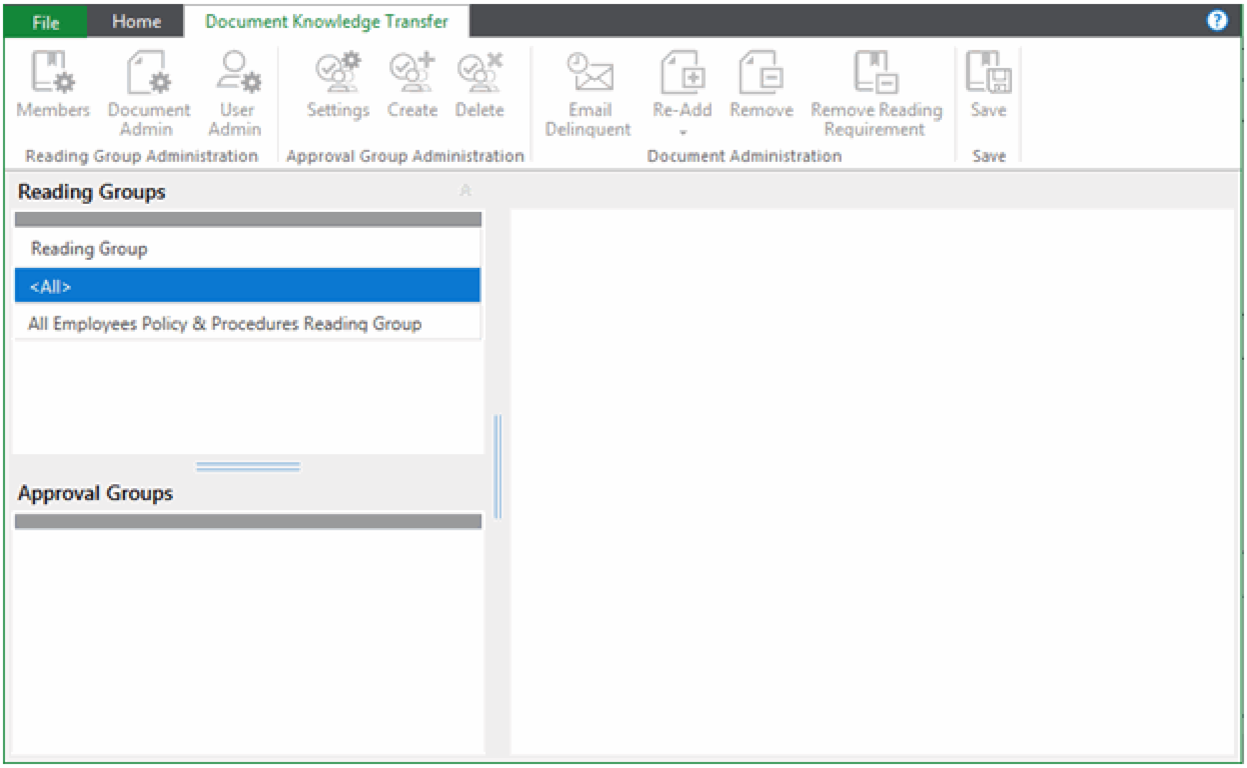
Exporting a User Administration Report

User administration allows you to generate and export a CSV report of the information displayed in the **User Administration** layout. Exported reports contain information about selected users and all documents assigned to those users.

To export a report based on selected documents instead of selected users, see Exporting a Document Administration Report on page 308.

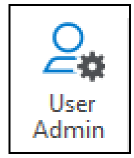
To export a user administration report:

1. Select **File | Administration | DKT Administration**. The **Document Knowledge Transfer** layout is displayed.

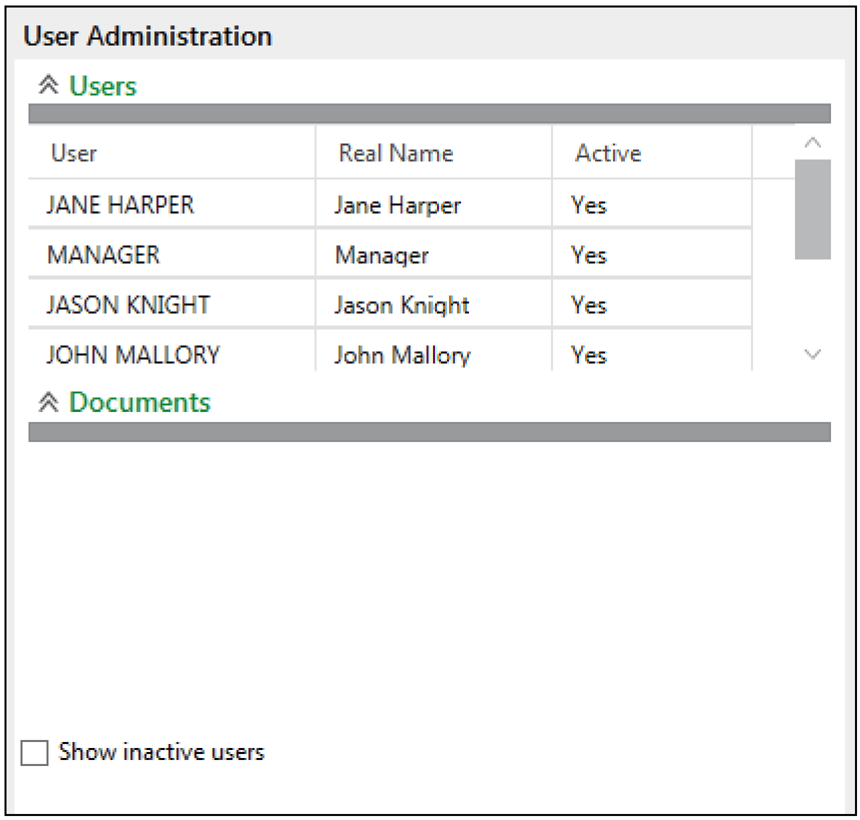


2. Select a Reading Group from the **Reading Groups** pane.

3. Click **User Admin** in the **Reading Group Administration** ribbon group of the **Document Knowledge Transfer** ribbon.

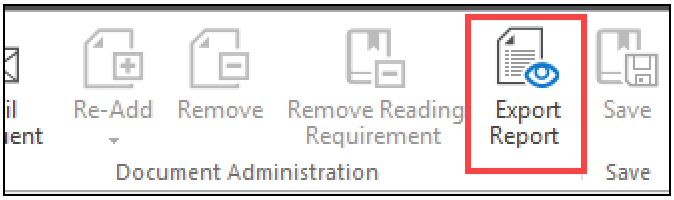


The **User Administration** layout is displayed.

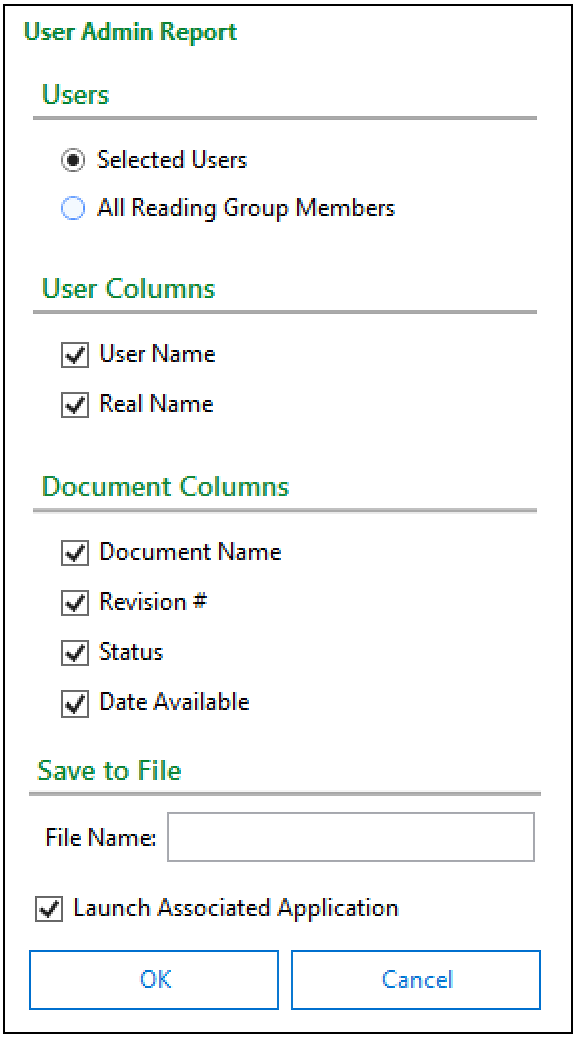


4. From the **Users** list, do one of the following:
   - To include specific users in the report, select one or more users from the list.
   - To include all users in the report, either select all users in the list or do not select any users in the list.

5. Click **Export Report** in the **Document Administration** ribbon group of the **Document Knowledge Transfer** ribbon.



The **User Admin Report** pane is displayed.



6. From the **Users** section, do one of the following:
   - Select **Selected Users** to generate a report only for users selected in the **Users** list.
   - Select **All Reading Group Members** to generate a report for all users in the Reading Group.

Note: The **Selected Users** option is only available when you select users from the **Users** list in the **Document Administration** pane prior to clicking **Export Report**.

7. From the **User Columns** section, do the following:
   - Select any user column options you want to include in your report.
   - Deselect any user column options you do not want to include in your report.
8. From the **Document Columns** section, do the following:
   - Select any document column options you want to include in your report.
   - Deselect any document column options you do not want to include in your report.
9. From the **Save to File** section, in the **File Name** field, enter the name of the report file to be generated. You do not need to include the file extension in the name, for example, .csv.
10. Select **Launch Associated Application** if you want the generated report file to automatically open in its default application, for example, Microsoft Excel.
11. Click **OK**. Depending on whether you selected the **Launch Associated Application** option, the following may occur:
    - If **Launch Associated Application** is not selected, the file is saved to your desktop.
    - If **Launch Associated Application** is selected, the file is saved to your desktop and the report is opened in its native application.

Track Reader Compliance

The DKT module provides two ways by which Reading Group Administrators can view and track users who are out of compliance. Both dialog boxes include **Document** and **User** panes that list each document and user per Reading Group.

- **User Administration** - Delinquent users show up automatically. See User Administration on page 312 for more information.
- **Document Administration** - Displays Document and User panes that show the status of each document and user per Reading Group. See Document Administration on page 296 for more information.

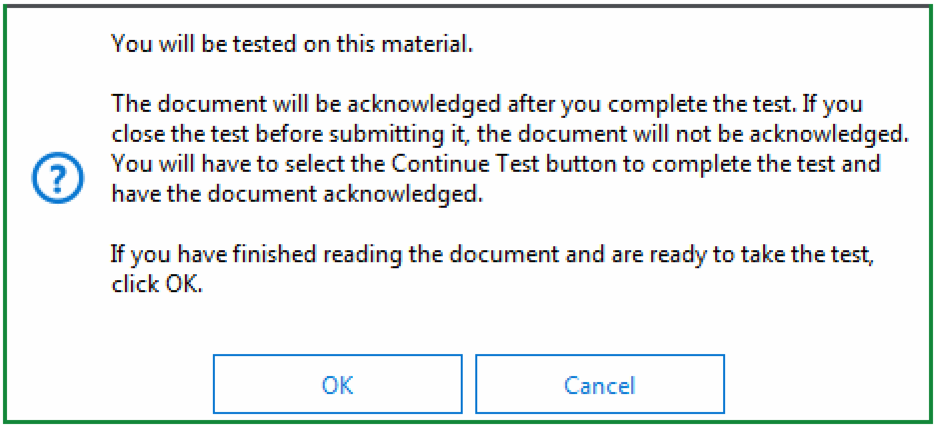
Note: A user is said to be out of compliance or delinquent when he or she fails to read a required Reading Group document by the Deadline Date assigned by the Document Administrator.

Taking a Compliance Test Assigned to a Document

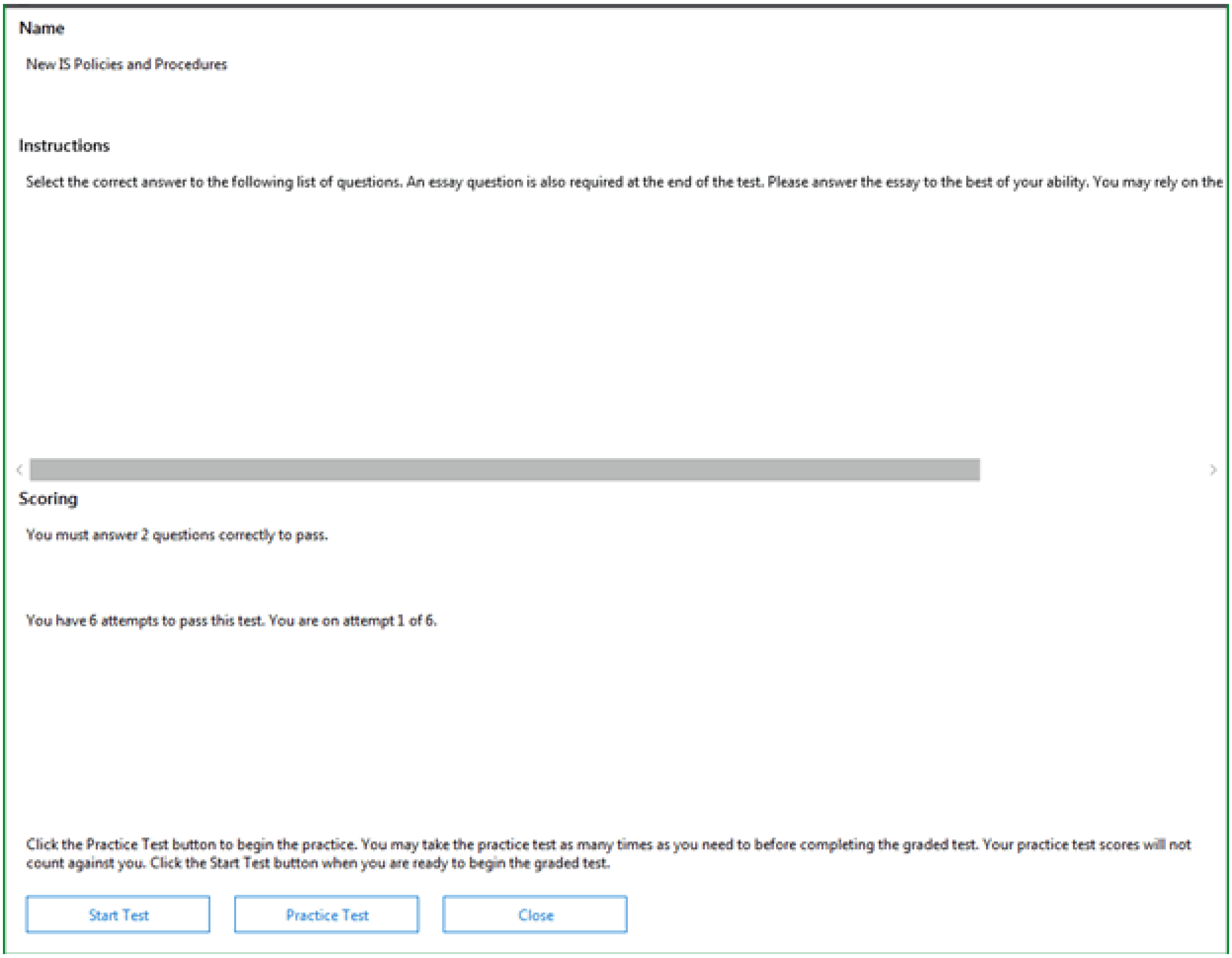
Compliance testing allows users to prove their understanding of the required reading group documents by answering questions assigned by a test administrator.

To take a compliance test:

1. From the **Not Viewed** or the **Delinquent** panes in the Reading Group view, select a document with an assigned test. The document is displayed in the Document Viewer.
2. From the Document Viewer, click **Acknowledge** to acknowledge the document. For more information on acknowledging documents, see Acknowledging Documents in a Reading Group on page 284. A test acknowledgment dialog box is displayed.



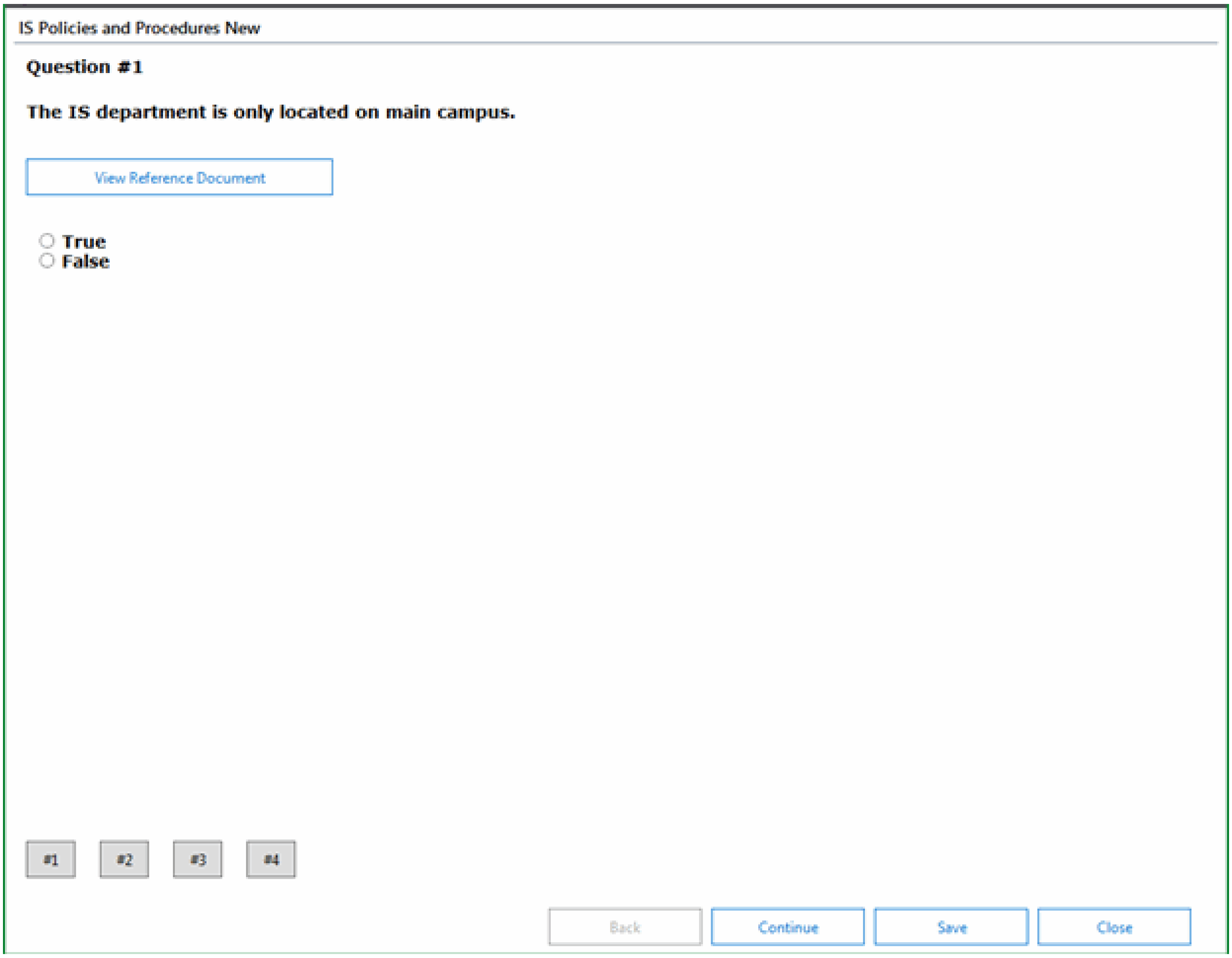
3. Click **OK**. The test instructions dialog box is displayed.



4. Choose one of the options in the test instructions dialog box:
   - Click **Practice Test** to begin a practice version of the assigned test that is not scored.

Note: The **Practice Test** button is only available if your test is configured with a practice test by the test administrator. For a list of considerations for practice tests, see Considerations for Practice Tests on page 330.

- Click **Start Test** to begin the assigned test for the document. The test question dialog box is displayed.



5. Click **View Reference Document** to view the associated reference document for the question.

Note: The **View Reference Document** option is only available if a reference document was attached by the test administrator when the test was created.

6. Depending on the format of the question, select or type the appropriate answer.
7. Once a question is answered, perform one of the following actions:
   - Click **Continue** to move to the next test question.
   - Click **Back** to move to the previous test question.
   - Click **Save** to save your current progress.

- Click **Close** to close the test question dialog box. If the answers to your questions were saved before clicking **Close**, you can continue your test where you left off at a later time. See Continuing a Test in Progress on page 322.
- Click **Finish** to submit your test for scoring.

Note: The **Finish** button is not displayed until you are at the last question of the test.

If you did not have an assigned essay question, your test results are displayed in the test question dialog box upon clicking **Finish**. If you did have an assigned essay question, your results appear as soon as the test administrator grades this portion of your test.

8. If you did not pass the test on the last attempt and your test is configured to allow retries, see Retaking a Test on page 326.

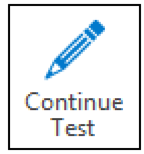
Continuing a Test in Progress

The progress of a test can be saved and continued later at your convenience.

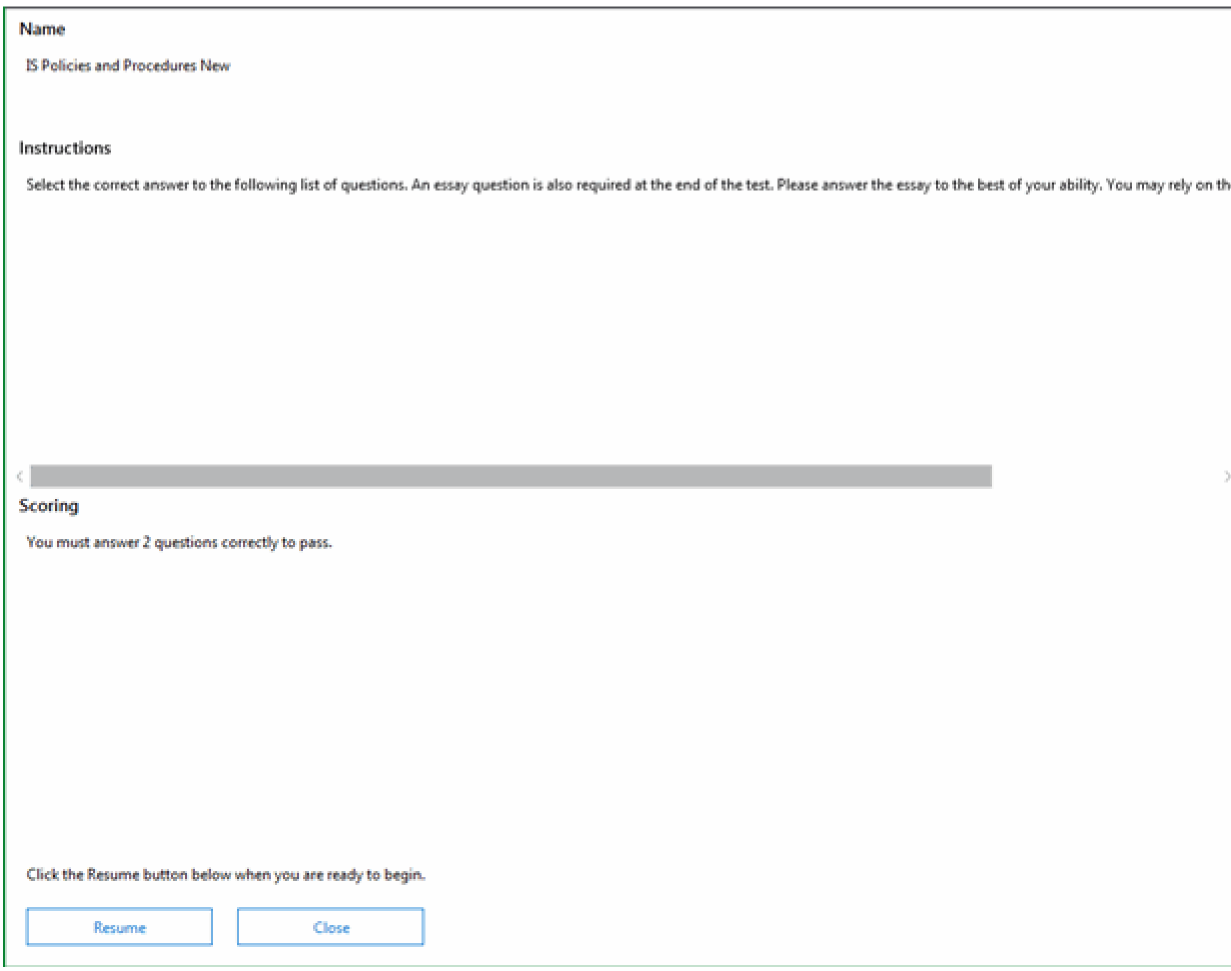
Note: Practice tests cannot be saved or continued at a later date.

To continue a test in progress:

1. From the Reading Group, double-click the required document with the assigned test in progress. The Document Viewer is displayed.
2. From the **Knowledge Transfer** tab, click **Continue Test**.



The test instructions dialog box is displayed.



3. Click **Resume** to continue your test.
4. Click **View Reference Document** to view the associated reference document for the question.

Note: The **View Reference Document** option is only available if a reference document was attached by the test administrator when the test was created.

5. Depending on the format of the question, select or type the appropriate answer.

6. Once a question is answered, perform one of the following actions:
   - Click **Continue** to move to the next test question.
   - Click **Back** to move to the previous test question.
   - Click **Save** to save your current progress.
   - Click **Close** to close the test question dialog box.
   - Click **Finish** to submit your test for scoring.

Note: The **Finish** button is not displayed until you are at the last question of the test.

   If you did not have an assigned essay question, your test results are displayed in the test question dialog box upon clicking **Finish**. If you did have an assigned essay question, your results will appear as soon as the test administrator has graded this portion of your test.
7. If you did not pass the test on the last attempt and your test is configured to allow retries, see Taking a Compliance Test Assigned to a Document on page 319 to start a second attempt.

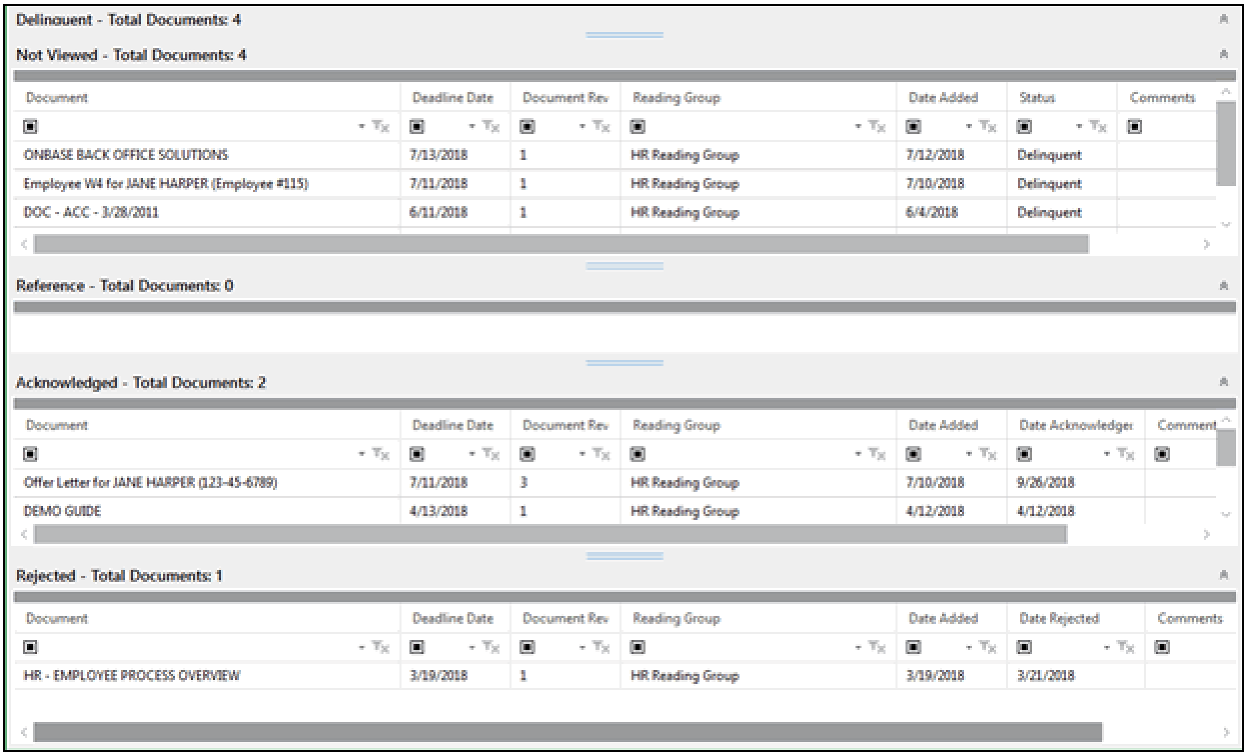
Reviewing a Test

Once a submitted test's scoring is complete, you can review your test answers along with any test administrator feedback that helps clarify why a question was answered incorrectly.

To review test answers:

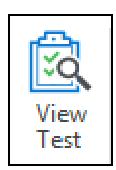
1. From the **Home** tab, click **My Reading Groups**.

2. Select a Reading Group from the **My Reading Groups** list. The Reading Group view is displayed.



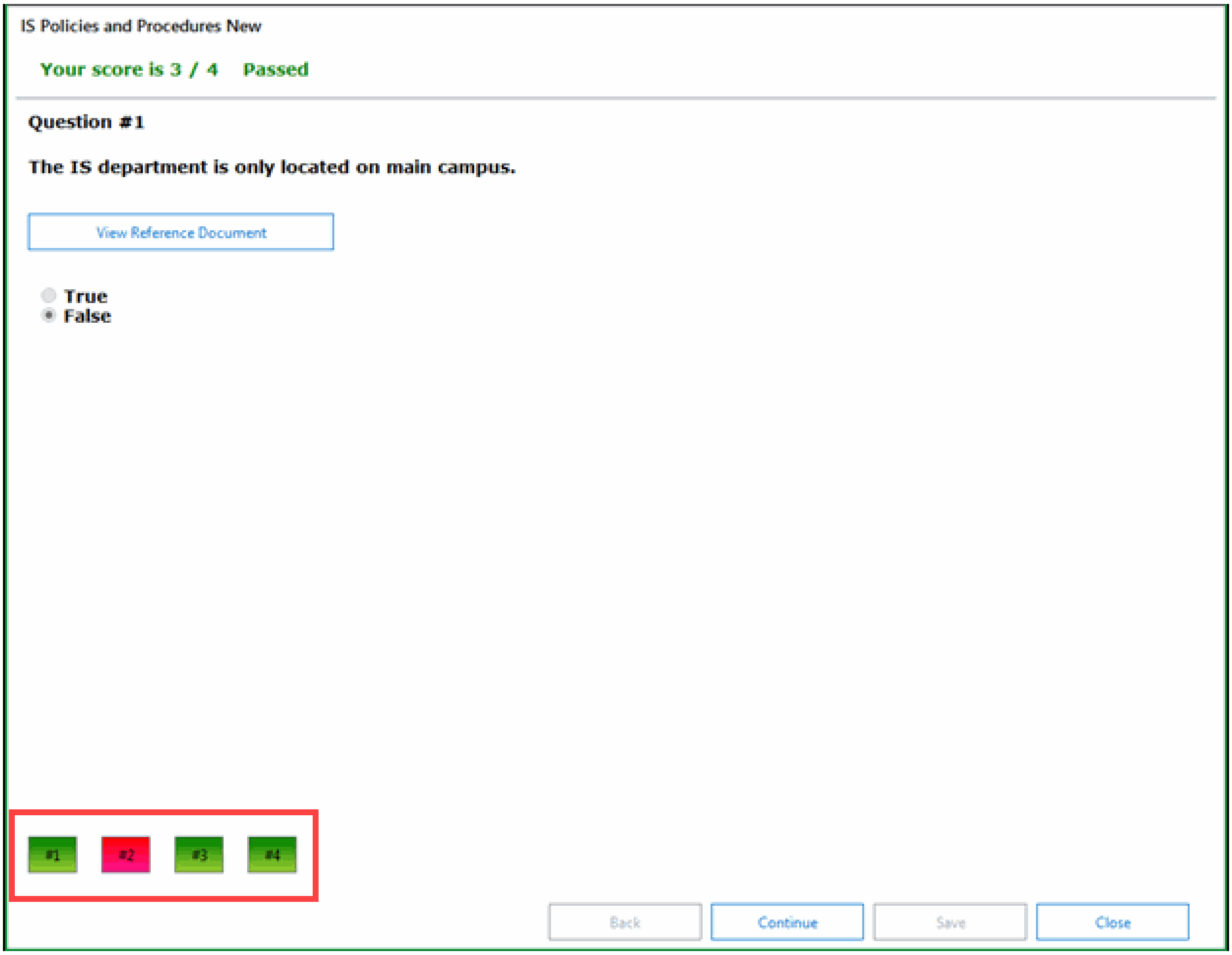
3. Open a document with a graded test. Once a test is graded, the document will be in one of the following panes:
   - The **Not Viewed** pane if you failed the test
   - The **Delinquent** pane if the document is past the deadline and you failed the test
   - The **Acknowledged** pane if you passed the test

   The Document Viewer is displayed.
4. On the **Knowledge Transfer** tab, click **View Test**.



The test question dialog box is displayed.

5. From the bottom of the test question dialog box, select the numbered boxes to display the test questions and any feedback from the test administrator. Questions answered correctly are marked in green while questions answered incorrectly are marked in red.



6. Click **Close** to exit the test question dialog box.

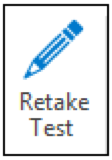
Retaking a Test

You can retake a test if your test is configured to allow retries and you failed your last attempt.

The **Scoring** section in the test instructions dialog box indicates whether you have multiple attempts and what attempt you are currently on. For example, the message may say: **You have 5 attempts to pass this test. You are on attempt 1 of 5.** Once you use all your attempts, you cannot retake the test.

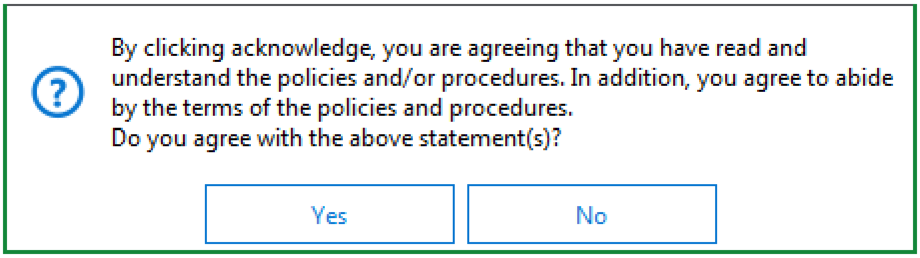
To retake a test:

1. From the Reading Group, double-click the required document with the assigned test. The Document Viewer is displayed.
2. From the **Knowledge Transfer** ribbon, click **Retake Test**.



Note: The **Retake Test** button is only available if you have additional attempts left on your test.

An acknowledgment dialog box is displayed.



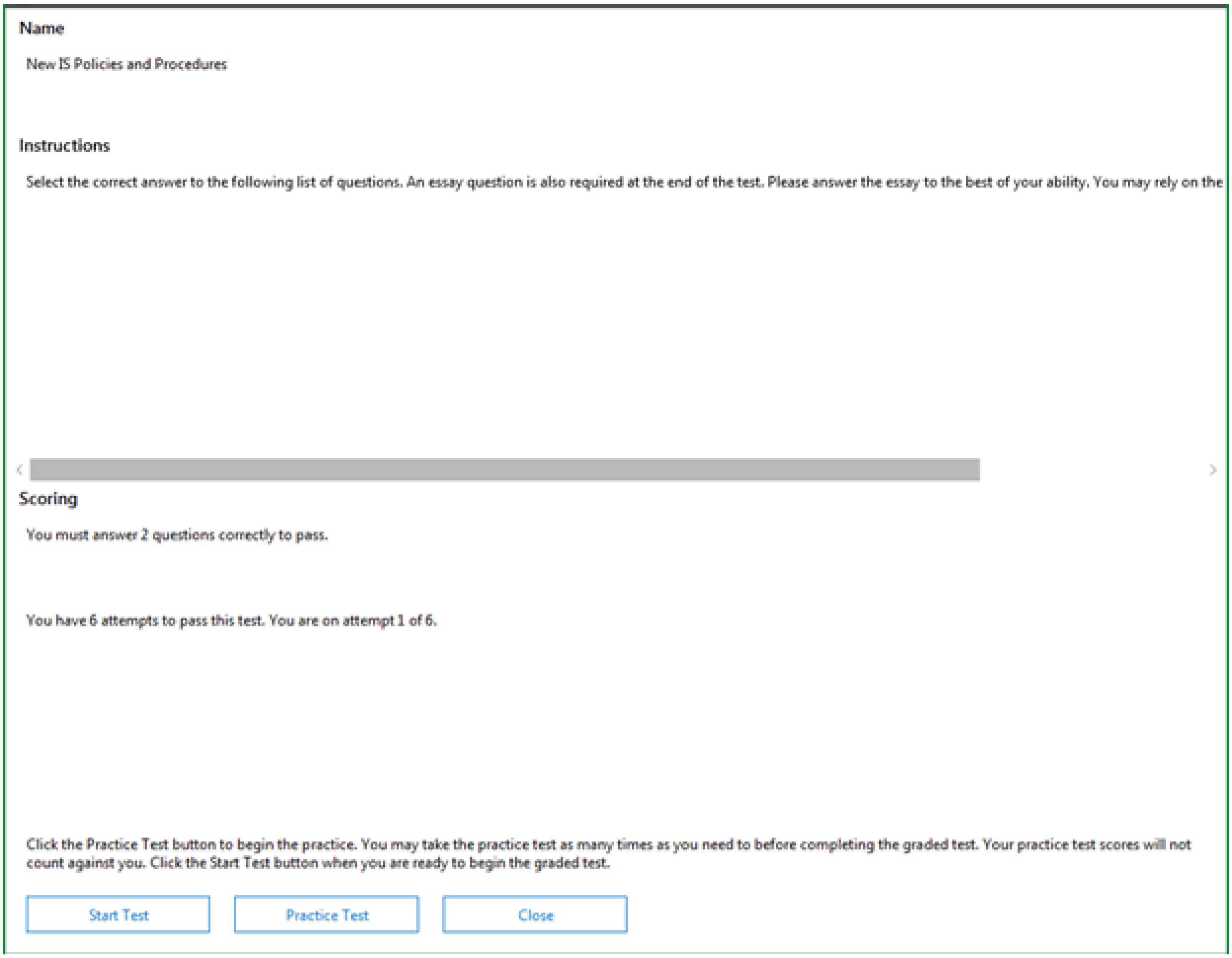
3. Click **Yes** to acknowledge the document. The acknowledgment password panel is displayed.

Note: For more information on acknowledgment options, see Acknowledging Documents in a Reading Group on page 284.

4. Enter your password to confirm your acknowledgment and click **OK**. The testing acknowledgment dialog box is displayed.

5. Click **OK** when you are ready to take the test. The test instructions dialog box is displayed.

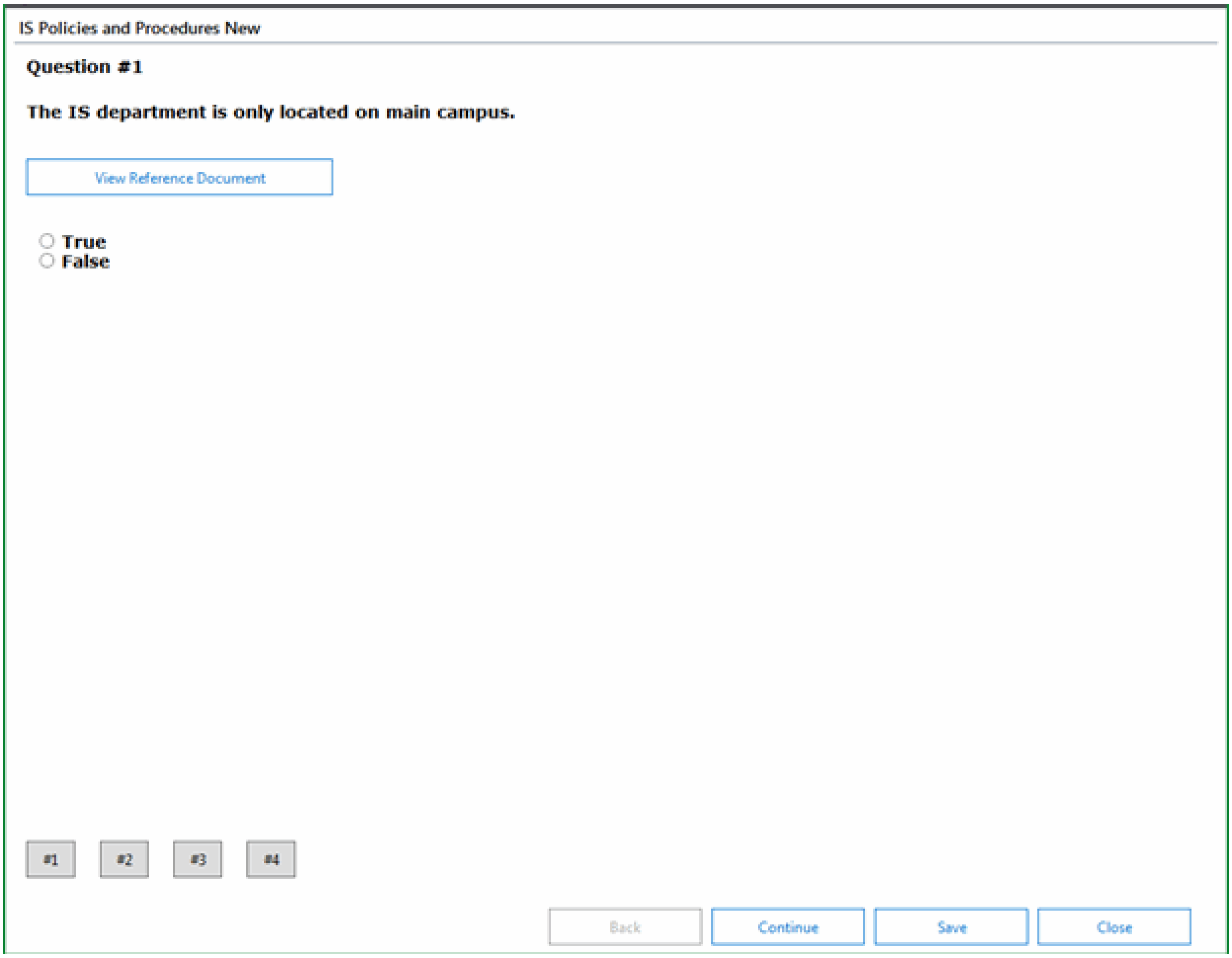
   The **Scoring** section indicates how many attempts you have to pass the test and what attempt you are currently on.



6. Choose one of the options in the test instructions dialog box:
   - Click **Practice Test** to begin a practice version of the assigned test that is not scored.

Note: The **Practice Test** button is only available if your test is configured with a practice test by the test administrator. For a list of considerations for practice tests, see Considerations for Practice Tests on page 330.

- Click **Start Test** to begin the assigned test for the document. The test question dialog box is displayed.



7. Click **View Reference Document** to view the associated reference document for the question.

Note: The **View Reference Document** option is only available if a reference document was attached by the test administrator when the test was created.

8. Depending on the format of the question, select or type the appropriate answer.
9. Once you answer a question, perform one of the following actions:
   - Click **Continue** to move to the next test question.
   - Click **Back** to move to the previous test question.
   - Click **Save** to save your current progress.

- Click **Close** to close the test question dialog box. If the answers to your questions were saved before clicking **Close**, you can continue your test where you left off at a later time. See Continuing a Test in Progress on page 322.
- Click **Finish** to submit your test for scoring.

Note: The **Finish** button is not displayed until you are at the last question of the test.

Your test results are displayed in the test question dialog box upon clicking **Finish**. If an essay question is assigned, your results appear as soon as the test administrator grades this portion of your test.

10. If you did not pass the test and you have additional attempts, repeat these steps to make another attempt.

Considerations for Practice Tests

The following information should be considered before taking a practice test.

- Practice tests are a version of the assigned test that are not scored. They are available to take as many times as needed.
- Practice tests cannot be saved or continued at a later date.
- Practice test results are not visible in scoring reports and certificates are not generated upon completion.

System Interaction

The following sections describe other modules that can be used with Document Knowledge Transfer & Compliance.

Digital Signatures

If your system is licensed for Digital Signatures, Reading Groups can be configured to require that a user digitally sign a document as part of the acknowledgment process in the OnBase Client. This option is enabled when the Reading Group is configured in the Configuration module. For more information about Digital Signatures, see the Digital Signatures help files or module reference guide.

EDM Services

If your system is licensed for EDM Services, you can use EDM Services revision functionality to revise DKT documents.

Caution: When using EDM Services with DKT, do not configure the Document Type to **Prompt to overwrite or create new document**. Doing so results in a configuration whereby the DKT document could be changed without alerting the users that have already acknowledged the DKT document.

E-Forms

If your system is licensed for E-Forms, E-Forms can be configured to capture users' reasons for rejecting documents in the OnBase Client. This option is enabled when the Reading Group is configured in the Configuration module. If your system is also licensed for Workflow, these E-Forms can be routed to a Workflow queue for review. For more information about E-Forms and Workflow, see the respective help files or module reference guides for these modules.

Exporting and Importing

DKT configuration items can be exported and imported using OnBase Configuration or OnBase Studio.

Note: Export packages can only be imported using the OnBase Configuration module or using the module from which they were exported.

Configuration

In OnBase Configuration, in addition to the configuration items listed in the **System Administration** module reference guide, the following DKT configuration items can be exported and imported:

- Reading Groups
- Approval Groups

Note: Approval Groups are exported implicitly when the Reading Groups with which they are associated are exported. Approval Groups are not available to be exported explicitly.

When Reading Groups are exported, the following configuration items associated with them are exported implicitly:

- Users configured as Reading Group administrators
- Approval Groups
- Users configured as members of Approval Groups

Note: Exporting Reading Groups does not export users assigned to the Reading Group.

When importing an export package, additional associated configuration items may require decisioning.

For more information, see the **System Administration** module reference guide.

Studio

In OnBase Studio, in addition to the configuration items listed in the **Studio** module reference guide, the following DKT configuration items can be exported and imported:

- Reading Groups
- Approval Groups

Note: Approval Groups are exported implicitly when the Reading Groups with which they are associated are exported. Approval Groups are not available to be exported explicitly.

When Reading Groups are exported, the following configuration items associated with them are exported implicitly:

- Users configured as Reading Group administrators
- Approval Groups
- Users configured as members of Approval Groups

Note: Exporting Reading Groups does not export users assigned to the Reading Group.

When importing an export package, additional associated configuration items may require decisioning.

For more information, see the **Studio** module reference guide.

Network Security

If your OnBase system is configured for Active Directory Authentication, users added to an Active Directory group that is mapped to a Reading Group are added to the Reading Group when they log on to OnBase. For more information about Active Directory Authentication and OnBase, see the **Legacy Authentication Methods** module reference guide.

Reporting Dashboards

If your system is licensed for Reporting Dashboards, you can add a DKT data provider type for use with Reporting Dashboards. Data providers return from a data source information to be displayed in a dashboard. For more information about configuring a DKT data provider type, see DKT Data Provider Type Configuration on page 155. For more information about configuring and designing a reporting dashboard, see the **Reporting Dashboards** documentation.