

Newgen

Records Management System



Newgen Records Management System enables end-to-end management of enterprise records right from creation, maintenance, and usage to disposition. It helps improve accountability for physical and electronic records by maintaining their authenticity, reliability, and integrity. By leveraging the system, enterprises can excel audits and meet compliance goals for legal and regulatory requirements such as DoD 5015.02, VERS, ISO 16175 1 & 2, ISO 15489, and NRAA Oman.

The platform provides a workspace for record managers that enables them to streamline the record lifecycle—classify, process, and retrieve records and perform various other operations. It enables rule-based governance of storage and destruction of records per organizational requirements. Furthermore, it facilitates record security, report generation, and seamless integration with third-party systems while allowing enterprises to control their records through exhaustive system configuration options.

Records Management Workspace



Dashboard

- ◆ Ensure a unified view of all relevant record information for different users and allow instant access to widgets, enabling them with required data at a glance
- ◆ Create persona-based dashboards based on user roles and rights
- ◆ Leverage various widgets such as:
 - ◆ **Favorites** – Enables users to mark items as favorites and view them in the dashboard section
 - ◆ **Recently accessed favorites** – Displays recently used items
 - ◆ **Alarms and reminders** – Shows any alarms and reminders set up by users
 - ◆ **My tasks** – Ensures quick access to tasks associated with the user
 - ◆ **Vital management** – Provides an overview of records currently marked as vital
 - ◆ **Pending disposition** – Presents an overview of records currently in the disposition queue
 - ◆ **Profile** – Provides an overview of the user profile
 - ◆ **My searches** – Enables quick access to user-defined custom searches



Fileplan

- ◆ Organize records in a hierarchy of classes, subclasses, files, and fileparts in the RMS Fileplan
- ◆ Get a unified view of the record repository, and simplify the physical record retrieval process using the record archival mechanism
- ◆ Set multiple levels of access rights on class, subclass, file, and filepart:
 - ◆ **Class** – Main organizing principle in RMS defined based on the function, activity, or process that generates the records and the type of information. Classes contain sub-classes and files
 - ◆ **Subclass** – A class within the class mainly used to apply a unique set of policies to the records contained. A subclass contains files
 - ◆ **File** – Contains file parts and records
 - ◆ **Filepart** – Filepart contains records and new fileparts can be created automatically based on the defined cut-off rollover rule





Record Operations

- ◆ Support various file formats such as PDF, JPEG, TIF, DOC, XLS files, etc.
- ◆ Capture extensive audit trails at user, folder, and cabinet levels and track version history
- ◆ Assign multiple levels of access rights to users (view metadata and content, create or modify metadata, modify content, annotate, print, etc.) with an expiry duration
- ◆ Create paper profiles to represent physical records like tape drives, damaged documents, etc. that cannot be digitized
- ◆ Suspend records to enable legal hold, restricting the record from going into any destruction or retention cycle
- ◆ Add copies of records in different formats and save them as renditions



Processing

- ◆ **Storage Processing:** Enable movement of files, fileparts, and records from one location to another through Transfer Note
- ◆ **Destruction Processing:** View the list of items that are ready to be disposed of where files, fileparts, and records are listed per defined destruction rule
- ◆ **Transfer Processing:** Maintain the list of all items ready to be transferred to the next phase, where files, fileparts, and records are listed per the defined retention rule. Once an item is listed in the Transfer Processing tab, the user receives an alert to transfer the item to the next phase. The user must manually transfer the item to the subsequent phases till the item gets transferred to NARA
- ◆ **Purge Image:** Allow users to delete only the images from a particular record while keeping the data intact. It deletes the entire image set for a specific time period in a click



Search

- ◆ Leverage extensive search and retrieval capabilities such as full-text search and easy search
- ◆ Enable full-text search on images and electronic documents
- ◆ Allow searching based on the metadata tagged with the records
- ◆ Perform various types of advanced searches such as Fuzzy Search, Proximity Search and Phrase Search
- ◆ Utilize different types of views, such as list view, thumbnail view, and detailed view for displaying search results
- ◆ Apply filters on the facets generated for the search



Vital Records Management

- ◆ Mark essential files, fileparts, and records as "vital" so that they are not destroyed or disposed
- ◆ Specify the time duration for which records remain "vital"
- ◆ Notify user per defined review date to check the status of the item marked as vital
- ◆ Enable operations like request record, check-in/check-out, and more

Rules and Policies



Retention Rule

- ◆ Define the duration for which records must be retained, after which they can be either destroyed or archived
- ◆ Retention rules can be defined per organization policy which can be time-based or event-based
- ◆ Allow admin users to define retention rules and specify the respective disposition action like Transfer, Destroy, Export, Selective Transfer, and Keep Indefinitely



Cut-off Rollover Rule

- ◆ Define the time or the event based on which a file, filepart, or record needs to be closed
- ◆ Ensure that the records can be automatically added to the next filepart after a certain time or after a certain number of records are added in a filepart



File Numbering Rule

- ◆ Define how a file, filepart, and record within a class are numbered when they are created



Storage Rule

- ◆ Mention after how many days the record/file/filepart should be moved from its location
- ◆ Utilize Storage Rule for both physical records as well as electronic records



Physical Storage Management



Location

- ◆ Represents a physical entity used to store files/fileparts/records in an organization. It can be of three types:
 - ◆ **Active in-house:** Used for interim transfer and storing frequently used items
 - ◆ **Inactive in-house:** Used for interim transfer and storing infrequently used items
 - ◆ **External storage:** Used for accession (permanent transfer) of records to some outside authority, e.g., archiving authority



Box

- ◆ Create boxes after creating the locations where the physical records will be stored. These boxes are:
 - ◆ Used for storage of file/filepart
 - ◆ Required while transferring records from one location to another
 - ◆ Placed inside the locations

Security Settings



Functional Security

- ◆ Allow administrator to set functional or access rights for a user, group, or role based on the functionalities—Fileplan, Record, Request Return, Administrative Functions, Audit Log, Transfer, and Security
- ◆ Works only in combination with the Object Level Sharing rights as both Functional Security and Object Level Sharing rights must be provided to the relevant users, groups, or roles to carry out operations such as creating and deleting any object in RMS



Security Classification

- ◆ Allow the admin to restrict other users from accessing certain records by applying an appropriate level of security on groups, users, or roles
- ◆ Classify records into various categories in the RMS—Top Secret, Secret, Confidential, Restricted, and Unclassified



Marking Management

- ◆ Ensure security by applying marking on an object, resulting in a combination of original access permissions and settings of each marking applied to it
- ◆ Access to objects to be controlled based on specific property values

System Reports



Administrative

- ◆ Gain information about the administrative aspects of the system, such as user activity, system usage, and system configuration
- ◆ Generate various reports—Borrower Overdue Report, Dispose Report, Record Report, Fileplan Report, Request Return Report, User Activity Report, and Group Privilege Report



Transfer Activity

- ◆ Document the movement of records or files from one location to another within an organization
- ◆ Ensure record transfer is conducted efficiently, securely, and in compliance with relevant policies and regulations when an organization needs to transfer records or files from one department to another or from one physical location to another
- ◆ Generate various reports—Exported, Imported, and Due for Transfer



Accession

- ◆ Gain information about the records that have been transferred to a National archives repository, i.e., "Transferred to NARA"
- ◆ "Transferred to NARA" in a records management system refers to the process of transferring records from a federal agency to the National Archives and Records Administration (NARA) for permanent preservation and access. Federal agencies are required by law to transfer records to NARA when they are no longer needed for current business operations but are determined to have permanent historical, legal, or research value
- ◆ Ensure that the records are preserved for future generations and made available for public access and research through the transfer of records to NARA



System Configuration



Transfer Mapping

- ◆ Leverage import/export functionality from other third parties DMS in XML format
- ◆ Allow users to map the record properties with XML schema properties



Metadata Tagging and Management

- ◆ Utilize robust options to associate meta-data with the records or files to easily search, retrieve, and manage the end-to-end records lifecycle
- ◆ Ensure metadata tagging in the form of data class, global index, and keywords for quick retrieval of documents and folders
- ◆ Support for various types of validations for different field types of data classes and global index
- ◆ Validate field values from third-party systems
- ◆ Mark fields as hidden, read-only, and editable for securing the fields
- ◆ Define a range check, format check, and uniqueness for the metadata fields
- ◆ Ensure dual authorization scenarios for user group operations (e.g., maker-checker)
- ◆ Utilize detailed audit trails with a specific date, time log, old/new value, at user, folder, and cabinet levels



Configuration and Tailoring Support

- ◆ Leverage highly configurable user interfaces for tailoring GUI per business needs
- ◆ Provide configurable look and feel to align with enterprise's GUI standards
- ◆ Support for English and Arabic languages
- ◆ Provides localization kits for various languages
- ◆ Support for operating systems—Windows and Linux
- ◆ Support for various application servers: JBOSS, WebLogic, WebSphere, and WildFly
- ◆ Support for various databases: MS-SQL, Oracle, and PostgreSQL
- ◆ Support for multiple browsers: Google Chrome, Internet Explorer, Safari, and Mozilla



Personalization

- ◆ Personalize repository per user needs
- ◆ Gain flexibility to configure the landing page per requirements
- ◆ Support for custom tabs for the web module, custom tile for the admin module, and custom operations on records and files



- ## Newgen Records Management System Architecture



FOR SALES QUERY

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