![newgen](newgen logo)

Modern Digital Records Management

Compliance, and Beyond!

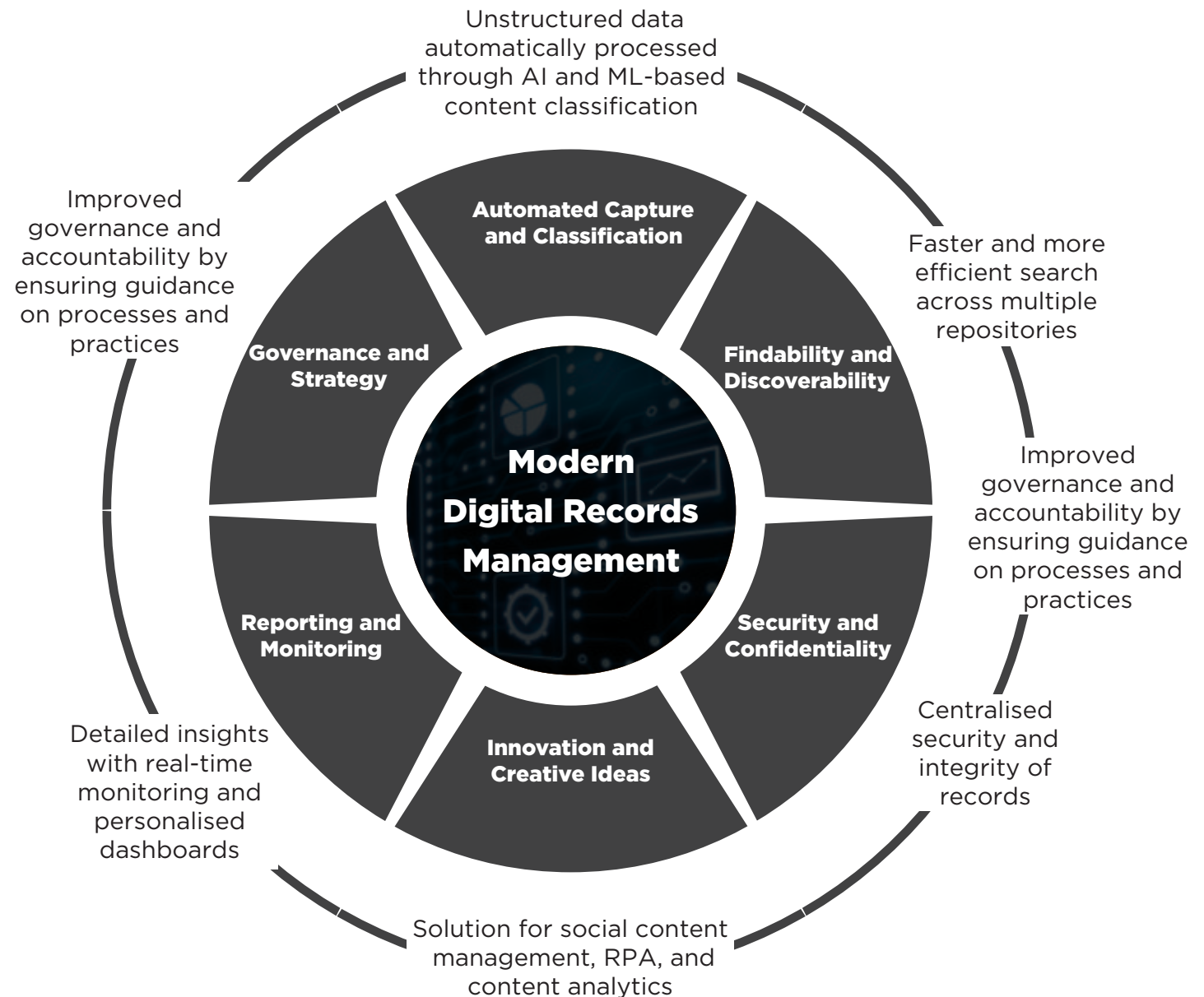# Enabling Effective Governance During COVID-19

The COVID-19 outbreak has had a major impact on global business operations. Businesses around the world, including government organisations, are striving to innovate, modernise, and respond to the dynamic needs of their stakeholders.

Newgen is enabling government agencies to deliver efficient and uninterrupted administrative services remotely. Newgen's Electronic Documents and Records Management System (EDRMS), enabled with our Intelligent Document Classification Software, is driving digital records transformation initiatives by facilitating automatic classification and the secure disposal of records based on their content. Government officials can access and search for records across a range of devices, including desktop, web, and mobile, while maintaining information security and integrity.

Digital is no longer a matter of choice!

Globally, National Archives are tasked with preserving records and heritage. They provide decision makers and the public with trusted information and serve as tools for social justice.

While undertaking their digital records transformation initiatives, government agencies must stand ready to hand over records to the National Archives in accordance with relevant guidelines and standards for long-term preservation.

Unstructured data automatically processed through AI and ML-based content classification

Improved governance and accountability by ensuring guidance on processes and practices

Faster and more efficient search across multiple repositories

Improved governance and accountability by ensuring guidance on processes and practices

Centralised security and integrity of records

Solution for social content management, RPA, and content analytics

Detailed insights with real-time monitoring and personalised dashboards

Automated Capture and Classification

Governance and Strategy

Findability and Discoverability

Modern Digital Records Management

Reporting and Monitoring

Security and Confidentiality

Innovation and Creative Ideas

Challenges in Records Management.

Government agencies must be rigorous in adhering to recordkeeping and archival standards. With digitisation initiatives posing additional demands in the short term, the challenge is how to remain compliant.

Each step that is undertaken to achieve a long-term strategy requires an individual assessment of the overall impact on compliance.

Agencies need proper planning and a clear road-map in order to address these challenges.

Automatic Classification

Collaboration

AI and ML-driven Content Analytics

Automation

Federation

Hybrid Records Management

Integration

Inter-operablity

Security

Conditional Access

Scalability

Multi-tenancy

Retention Schedules

Automating content classification for seamless content archival

Maintaining information security across various systems

Updating the system in the future, based on new retention schedules

Following the framework approach with effective integration

Maintaining information per the standards for transfer to National Archives

Enabling a federated view to search and exchange information across repositories

Encompassing both agency and industry capabilities

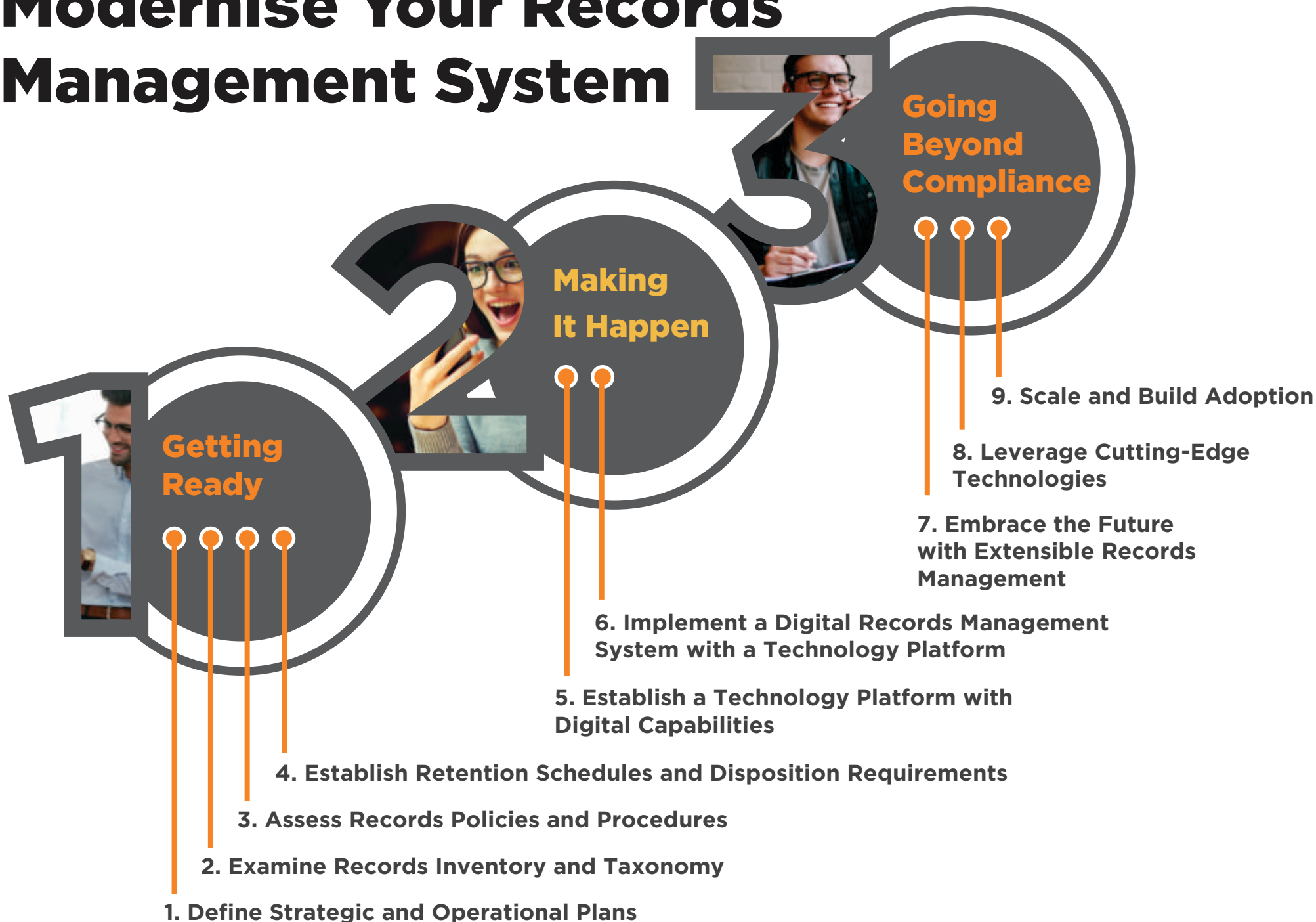**Adhering to unique compliance items, each with their own comprehensive requirements**

First things first, consider future goals.

Managing records and ensuring compliance with government policies and procedures is a challenging task. It is critical to consider the long-term vision when attempting to digitize and automate the records management process.

1. Treat information as an asset and exercise tighter control on the record lifecycle, from automatic capture and classification to disposition and archival, in order to ensure integrity and accountability

2. Ensure content-based findability and discoverability of records across repositories and existing business systems for effective use of information, governance, and visibility

3. Make all records accessible to immediate stakeholders, other departments and agencies, and the broader community, based on the requisite authorizations

4. Build a system that is not only sustainable and scalable, but also secure and compliant with the applicable standards

Modernise Your Records Management System

1 Getting Ready

2 Making It Happen

3 Going Beyond Compliance

9. Scale and Build Adoption

8. Leverage Cutting-Edge Technologies

7. Embrace the Future with Extensible Records Management

6. Implement a Digital Records Management System with a Technology Platform

5. Establish a Technology Platform with Digital Capabilities

4. Establish Retention Schedules and Disposition Requirements

3. Assess Records Policies and Procedures

2. Examine Records Inventory and Taxonomy

1. Define Strategic and Operational Plans

Define Strategic and Operational Plans for Digital Records Management

It is critical to have a good balance of long-term and short-term goals.

Yes, adherence to retention schedules and compliance timelines is of the utmost importance in the short term. However, you must take the right steps in the foundational stage for long-term effectiveness.

What are the key considerations?

- Do you already have an automated system for records lifecycle management? What is your current degree of automation? Assess your organization's readiness as thoroughly as possible.

- Define the scope clearly. In this digital age, the scope of records management goes beyond traditional records. You must deal with a variety of documents and records in several formats. The automatic classification of records is critical to efficient management

- Decide on a licensing model. Most government agencies opt for a subscription-based, centrally-hosted model

- Define 2-year and 5-year milestones to develop and sustain long-term focus

Pro Tip!

ℹ Identify early wins in the lead up to your compliance goals

ℹ Establish parallel tracks with common milestones in the operational plan. These include, policies, schedules, functional coverage, architecture, infrastructure, training, deployment, and testing

Examine Your Records Inventory and Taxonomy

A thorough documentation of the record categories and functional classifications that drive how records are handled across their lifecycle is a fundamental requirement for an effective records management program. Also, all records must be processed, monitored, and accessed according to functional and legal requirements. A well-defined taxonomy and metadata structure are the foundations for an effective digitisation program.

What are the key considerations?

- Classify all the records across the organisation through a broad lens. Today, critical records can arrive in all kinds of formats (physical as well as digital) spread across various types of media. Therefore, a tool to capture and classify records is crucial

- Define metadata carefully. Metadata is the foundation for the bulk of record digitisation efforts

- Enable access-based authorisation of records by officials

- Recognise the various types of access requirements—for business processing, for user collaboration, for responses to legal queries, and/or for compliance purposes

- Establish a well-defined and effectively implemented access mechanism to ensure privacy and security

Pro Tip!

- ⅰ It's critical to consider that records originate in many different formats, such as email, images, PDF, MS Office, social content, etc.

- ⅰ Be sure to allow access based on user personas

- ⅰ Consider a hybrid records management solution to track and manage electronic and physical records

Assess Your Organisation's Records Policies and Procedures

A well-defined set of policies and procedures, with respect to all record types, is the backbone of an effective records digitisation initiative.

What are the key considerations?

- Create an effective policy that includes the areas under direct compliance and surveillance, as well as the entire lifecycle, from creation to disposition, for all kinds of records

- Manage electronic and paper records with a reusable, reliable, and customizable framework

- A well-defined, organization-wide records policy is crucial to delineate which records can be destroyed or retained and archived during disposition

- Assess the effectiveness of policy controls. Are there clearly defined responsibilities for all personnel who directly or indirectly handle records or carry out recordkeeping? Are these policies translated to operations with effective controls? What measures are in place to ensure process adherence? Have you implemented any form of automated controls?

Pro Tip!

ℹ Develop a single set of policies and procedures for all stages of the records lifecycle, including but not limited to retention and disposal

ℹ A platform with records management workflow capabilities goes a long way in ensuring consistent and effective implementation of defined policies and procedures

Establish Retention Schedules and Disposition Requirements

The guiding principle that drives retention and archival processes is that information is an asset.

A well-defined retention schedule is fundamental to the protection of all organisational records.

What are the key considerations?

- Retention is a fundamental requirement for an effective long-term records management program. Digitisation presents the opportunity to ensure more control on retention—from policy and schedule definition to implementation

- Only 5-10% of organisation-wide records are archived at disposition. It is critical to clearly define which records should be destroyed (and how they are destroyed) for greater security and efficiency

- Consider an automated, workflow-driven system to cover all types of records, regardless of whether they are archived or not

- Enable centralised security, along with multiple levels of security classifications

- Records must only be deleted once the retention period lifecycle is complete

Pro Tip!

ⓘ You need tight control over your retention and disposition process. You also need the flexibility to deal with future changes in retention schedules and guidelines. A solution must comply with the applicable legislation, regulations, and guidelines with respect to security, confidentiality, and privacy

Establish a Technology Platform with Digital Capabilities

An effective digital records management initiative requires a future-ready platform. The key capabilities include artificial intelligence (AI) and machine learning (ML)-based content classification, metadata generation, mobile-based access, social content management, straight-through integration, and scalability of cloud.

What are the key considerations?

- Tightly control the records management lifecycle for all types of records

- Leverage EDRMS, with deep foundations in contextual content services (ECM), to manage large volumes of records, spread across a variety of formats and media

- Integrate with existing repositories for continuous growth and manage records in federation

- Digitise policies with a modeling-driven environment and boost efficiency through configurability

- Consider the scalability of your digitised systems through private cloud

Pro Tip!

i   In the long term, digitisation needs to go beyond internal records management toward a more connected, collaborative, and centralised digital records management system and taking into account National Archives requirements.

Implement a Digital Records Management System with a Technology Platform

Records management is all about consistency. From the capture or creation of a record to its disposition, an automated lifecycle management system wins you half the battle.

Process automation with an automatic document classifier and RPA-based automatic classification scheme is integral to end-to-end records lifecycle management.
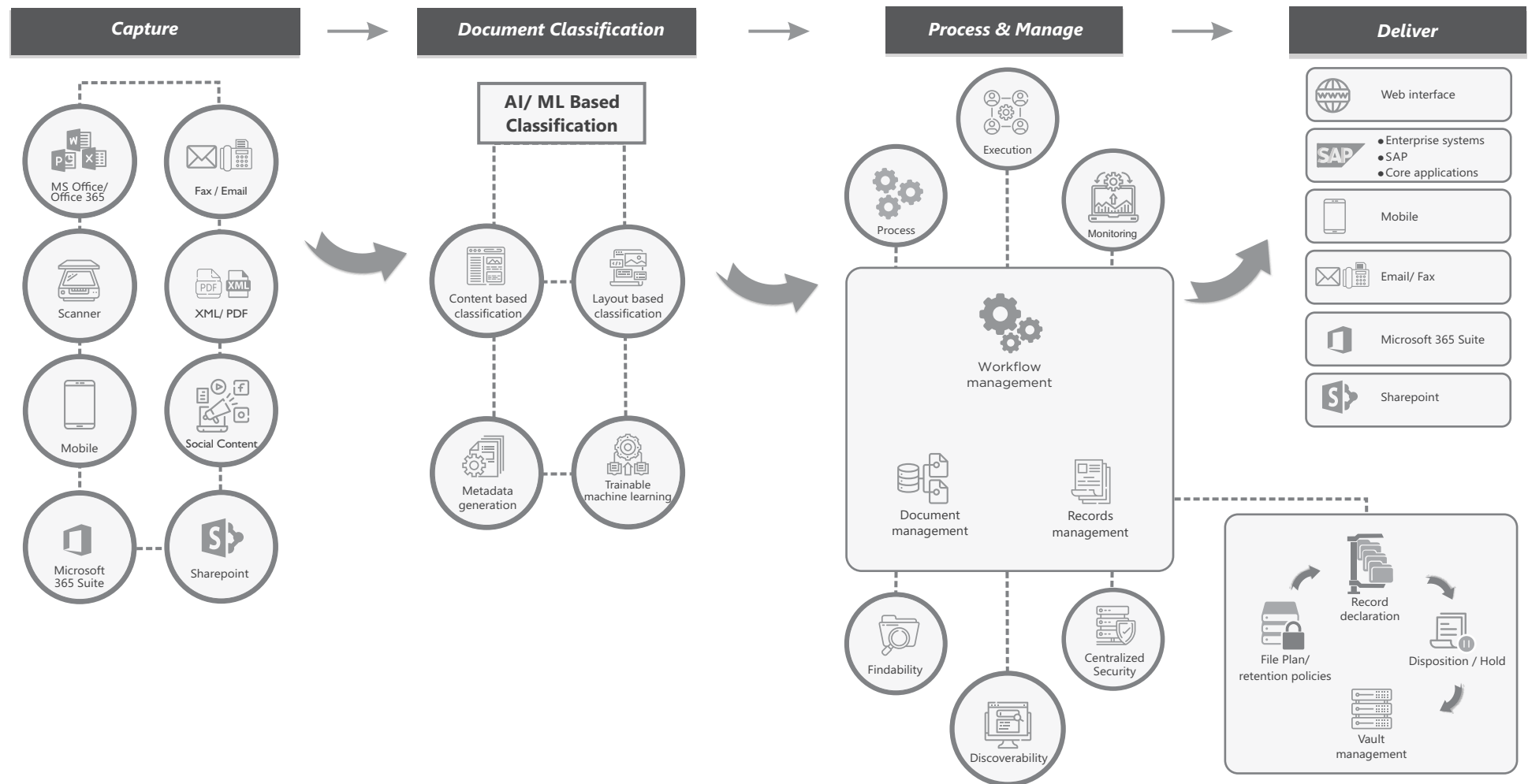
What are the key considerations?

- Implement automatic document classification in conjunction with robotic process automation (RPA). Automate various business processes in your organisation to ensure tighter the records lifecycle

- Physical records are susceptible to tampering or misplacement. Implement a hybrid records management system and plan your implementation phases with the goal of 100% digitisation in the future

- Ensure search capabilities across multiple repositories simultaneously

- Enable support for microservices and containerisation-based deployment

- Mitigate risks through information governance and strategy

- Integrate scanning and intelligent information extraction solutions to digitise physical content as early in the process as possible

Pro Tip!

ℹ️ AI and ML-driven, analytics-based automatic classification ensures tighter control on the content lifecycle and also provides visibility to stakeholders regarding adherence to schedules and SLAs. This helps in managing complex record filing and approval cycles

End-to-End Records Lifecycle Management

Capture	Document Classification	Process & Manage	Deliver

Capture
- MS Office/Office 365
- Fax / Email
- Scanner
- XML/ PDF
- Mobile
- Social Content
- Microsoft 365 Suite
- Sharepoint

Document Classification
- AI/ ML Based Classification
- Content based classification
- Layout based classification
- Metadata generation
- Trainable machine learning

Process & Manage
- Execution
- Process
- Monitoring
- Workflow management
- Document management
- Records management
- Findability
- Discoverability
- Centralized Security
- File Plan/ retention policies
- Record declaration
- Disposition / Hold
- Vault management

Deliver
- Web interface
- Enterprise systems
- SAP
- Core applications
- Mobile
- Email/ Fax
- Microsoft 365 Suite
- Sharepoint

i An effective records management system requires the consistent treatment of all record types, from creation until the final outcome. ECM, comprised of automatic capture, ML-based document classification, and records management, forms the core engine that drives this approach.

! Architecture
The Fundamental Blocks of a Technology Platform
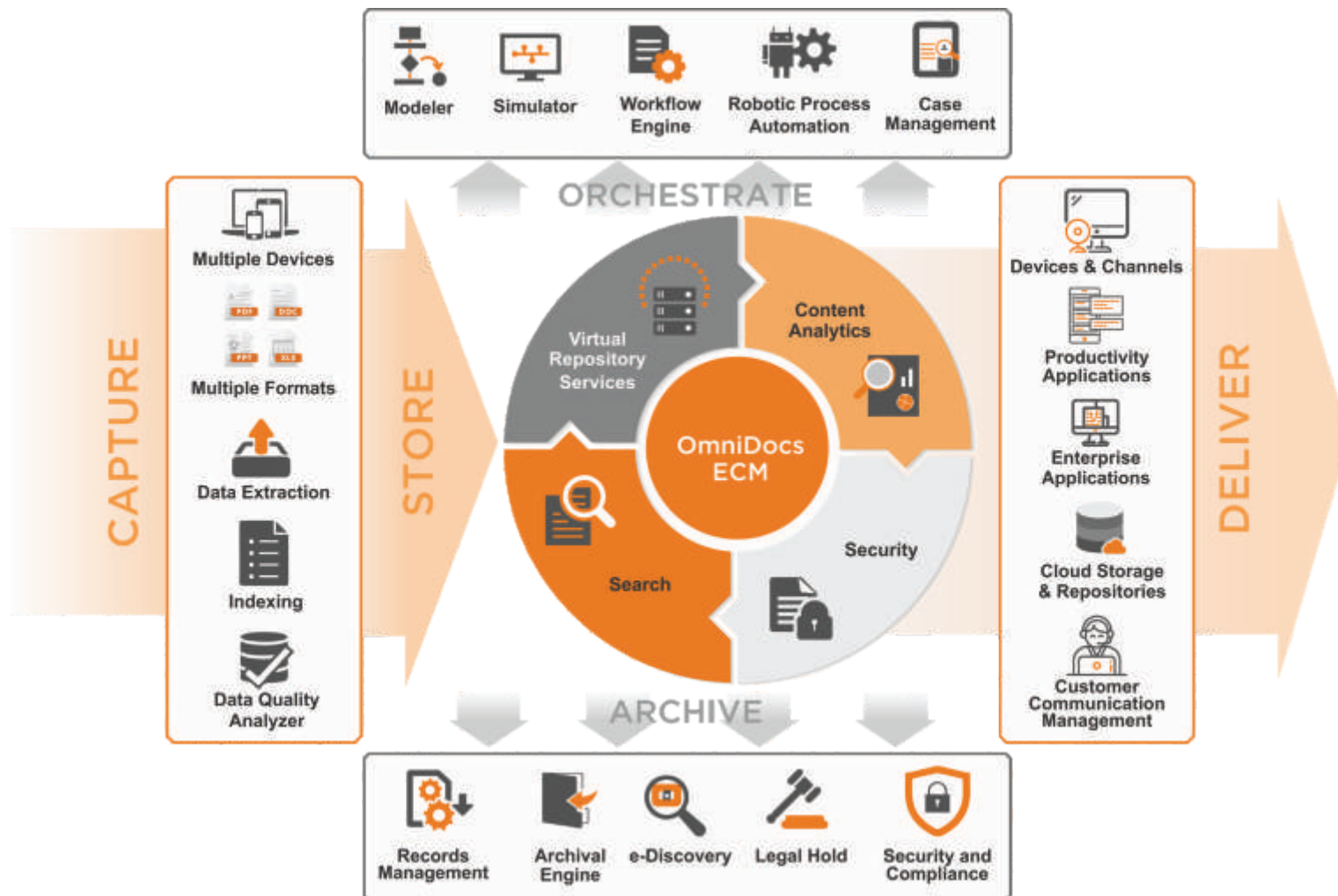
i An EDRMS forms the core of the digital records management system. The ability to capture a variety of incoming content formats (across records) is critical. It is also imperative that the system can manage content of all forms across the entire content lifecycle, including easy search and retrieval.

Embrace the Future with Extensible Records Management

A digital records management system needs to be able to adapt to "the new normal" in the future. Trends indicate that records that are "born digital" will soon become the standard. Also, modern government agencies will have to be more responsive and collaborative.

What are the key considerations?

- A large portion of data already originates in digital form. Your system must be able to ingest "born digital" records in their purest form

- "Born digital" records contain a myriad of structured metadata that holds the potential for more efficient management capabilities, provided that the metadata is mapped correctly and is retained during ingestion and processing

- Your system must also be able to handle records originating from social and electronic media (Facebook, Twitter, Office 365, Outlook, SharePoint, etc.) Consider social records management

- Real-time reports and dashboards help you to gain insights

Pro Tip!

i   You need to establish a platform that provides the ability to deal with a variety of incoming formats including "born digital' records. These records should be auto-classified based on the governance policy to help you focus on other important tasks.

Leverage Cutting-Edge Technologies

Digitisation is more than just building a paperless office, that's only the starting point.

Digital records transformation is about digitising the end-to-end records management process. It is an opportunity to build a futuristic records management system by embracing new-age technologies, such as social, mobility, analytics, cloud, AI/ML, and RPA.

What are the key considerations?

- Embed mobile capability. Mobility plays a crucial role in ensuring anytime-anywhere accessibility of records

- Incorporate analytics. Intelligent records classification, through analytics and natural language processing (NLP)-based search and retrieval, helps to increase efficiency

- Large volumes of records require the automation of routine tasks, such as data entry and corrections. RPA goes a long way in intelligently automating mundane processes and repetitive tasks

- A multi-tenant cloud architecture will drastically improve scalability in the centralisation of all enterprise-wide records

- Leverage content mining, layout and content-based classification using AI and ML, and deep learning capabilities

- Enable DevOps and a microservices architecture

Pro Tip!

ℹ Records management is not a one-time effort, but rather an ongoing digital initiative. Extensibility and flexibility are critical for your system remain on the cutting edge. An ECM-based architecture with automated classification provides the necessary agility to adapt to future needs

Scale and Build Adoption

Moving beyond basic governance requires a full understanding of your agency's compliance requirements. Adherance to these standards and guidelines is critical to ensuring effective and compliant workflows and collaboration.

As the the digital age evolves and data growth spreads exponentially, all government agencies must be prepared to rapidly scale in response to the needs of their users and citizens.

What are the key considerations?

- Ease-of-use is a fundamental requirement for the broad adoption of digital records management systems. Easy search and reliable retrieval mechanisms are critical. For these to work, you need a fully functional ECM capability in the underlying platform

- Adopting a persona-based approach helps to manage authorisation matrices while improving the user-friendliness of the system

- Ensure compliance with various records management standards, such as VERS, ISO 15489 and ISO 16175

Pro Tip!

ℹ Consider the trade-off of user experience versus system complexity. Persona-based access and integrated content can help create an efficient and user-friendly system

ℹ Automation can help leverage intelligently defined metadata structures or hierarchies to create effective algorithms. This, along with a scalable content repository, can go a long way in ensuring long-term agility

Digital Records Management: What Success Looks like

Digitisation of records in the public sector, by government state agencies and non-corporate Commonwealth entities (NCEs), is an ambitious and critical undertaking. It is essential that it be completed to deliver a more efficient, secure, and connected government ecosystem. The impact of this initiative is not just limited to the way in which government agencies and department's function: it has the potential to alter the economic landscape and national heritage.

Here's how a successful digital records management initiative looks like:

1. A citizen-centric government organisation with better tie-ins and traceability of government operations to citizen welfare

2. A connected governance ecosystem where agencies and departments can collaborate toward common goals

3. An updated, scalable, and secure records archive that is immune to corruption, loss, and leakages

4. A responsive governance with secure, anytime-anywhere accessibility

! The Solution

Newgen's Modern Digital Records Management Solution

The Newgen Electronic Documents and Records Management System (EDRMS) manages content from creation to disposal. It is built on an integrated platform that allows users to capture, automate, classify, process, and view content, ranging from physical documents and emails to social media content. With capabilities for multi-channel content capture, compliant physical and social records management, secure archival, comprehensive version management, and faster retrieval, Newgen's EDRMS is your one-stop solution for effective service delivery and public accountability.

What are the key features?

- Comprehensive records and document lifecycle management

- Automated classification of records using AI and ML capabilities

- Support for multiple record types across physical, electronic, and social content

- Online, centralized repository with enterprise-wide security for secure records archival and management

- Easy search, retrieval, findability, and discoverability of content across repositories

- Governance through reliable and reusable methods for managing records, standards, and compliance

- Multi-tenancy, microservices, and containerization

- Comprehensive reporting capability

- Mobile-based access for records management

Key Benefits

- Enhanced citizen service delivery with fast and easy access to vital information
- Comprehensive tracking of physical documents & records
- End-to-end records lifecycle management
- Removal of information silos with a robust and integrated, enterprise-wide ECM platform
- 100% compliance and security

You may also like to read:

Newgen
**Records
Management System**

A business requires to maintain security of organizational records, controlled access, and adherence with regulatory requirements. A records management system addresses these needs by enabling indexing, archival, movement tracking, and search functionalities. It also defines the filing, retention, and preservation rules for records.

Or, contact us to learn more!

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About Newgen

Newgen is the leading provider of a unified digital transformation platform with native process automation, content services, and communication management capabilities. Globally, successful enterprises rely on Newgen's industry-recognized low code application platform to develop and deploy complex, content-driven, and customer-engaging business applications on the cloud. From onboarding to service requests, lending to underwriting, and for many more use cases across industries. Newgen unlocks simple with speed and agility.

For more details, visit www.newgensoft.com

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