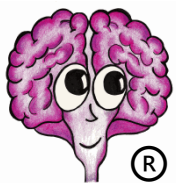


DocuBrain® TechDoc Records Manager Guide



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By Prevo Technologies, Inc.

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Revision History

Revision	Date	Comments
11	06/21/2023	Initial TechDoc 11 Release

1. Introduction

TechDoc is an Electronic Document and Records Management System that is used to manage the entire lifecycle of documents and the records related to them. You might ask, "Why do I need such a system?" In a small office, you would probably know everything that is going on; where important drawings, papers, invoices and the like would be stored in personal or shared file cabinets. Information could be easily shared simply by asking the person sitting next to you or looking in the file cabinet.

But what if your office has multiple locations, thousands of employees and/or hundreds of contractors who are all creating, reading, writing, and sharing documents, pictures, drawings, audio, video and other electronic files?

Hundreds or thousands of documents could be in circulation at any given point in time. Some of these documents may be proprietary or confidential and must be restricted to authorized parties. Other documents may be "works-in-progress" not ready for distribution, or may require revision or approval by different groups or individuals. And don't forget that all of these documents must be properly accounted for. TechDoc provides a document management and search engine environment that handles these important tasks. This allows your staff, department, and program to gain competitive efficiencies and maintain a secure repository.

By US law, Government organizations are required to maintain records. TechDoc helps ease this burden with many innovative features. TechDoc has the concept of automatic records. Certain types of documents should always have a record tied to them. For example, legal business agreements between the Government and other organizations should always have a record associated with them. TechDoc can automatically create and maintain a record for a legal business agreement as soon as a user places it in the system. TechDoc can also create automatic records when documents are placed into specific cabinets or folders.

In addition to automatic records, TechDoc supports manual records. A user can create a record set for a specific need, such as a new contract, an accident, a law suit, etc., and then create records in that set against documents stored in TechDoc. Because TechDoc supports non-resident documents (documents that refer to physical real-world items or electronic items that must be stored in another system), it is possible to add a record to the set that refers to the non-resident item.

1.1. How TechDoc Is Organized

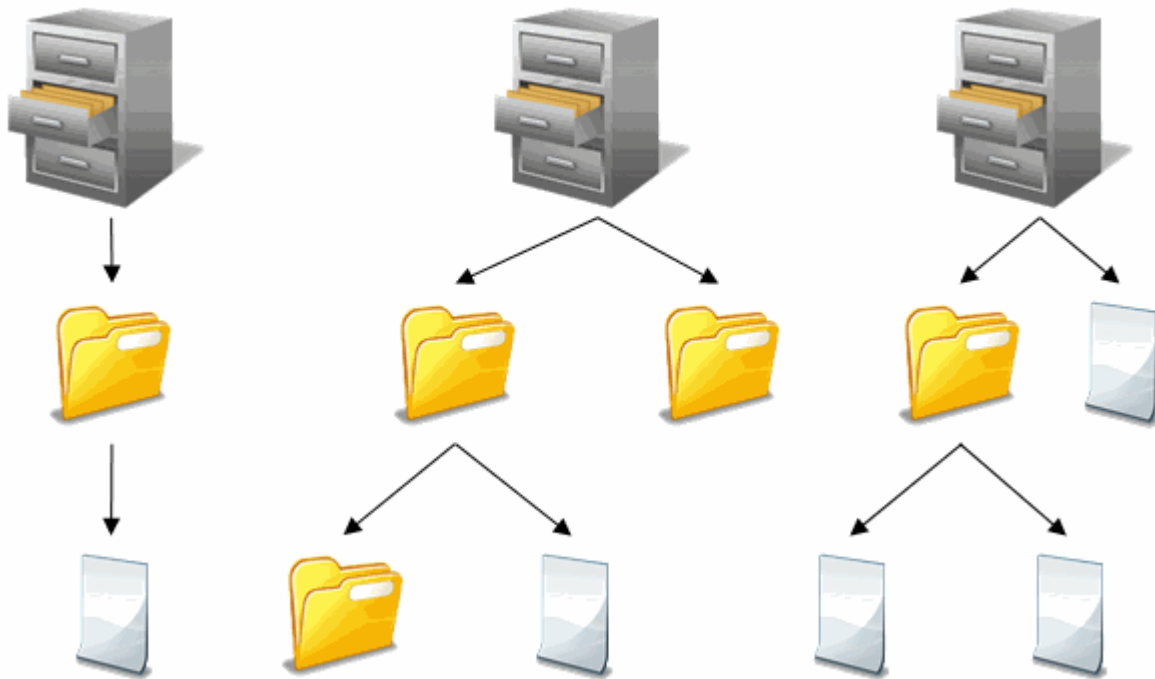
TechDoc stores electronic documents, folders, and file cabinets in a database that is similar in many ways to a conventional office file cabinet.

Throughout this guide, references will be made to cabinets, folders, and documents. TechDoc stores these items similar to Windows or Linux by using an organized hierarchy. Cabinets are at the top level. They can contain documents and folders. Folders are at the second level. They can contain single or multiple documents as well as other folders. Documents are at the bottom

level. As mentioned earlier, documents can contain text documents, photographs, audio, video, engineering drawings, spreadsheets, and flowcharts.

The figure below gives a visual example of how this works:

TechDoc Organization



1.2. TechDoc Navigation

TechDoc has been designed for easy navigation. Consistency is a key part of the design. Let's first look at the different areas that make up a typical screen.

DocMgr		demo		NormalUser			
Explorer	Lists	My Work	Reports	Reviews	Records	Support	Log Out
Search by: Document Number		For:		OK		Advanced Search	
Root		/		3 Cabinets			
Explore	Explore Home	Name/Number		Description/Title			
Set Default	Show Tree	Root		Contains All Cabinets			
Help		Mailboxes	All user mailboxes				
		Projects	All project folders				
		Users	All user home folders				

- A. On the top of the screen is the main menu bar, which performs several functions. The first line of the main menu is mainly for informational purposes. It tells you that you are working on a document manager (left), what server you are working on

- (center), and whom you are currently logged in as (right). The second line provides navigation to the main areas of the application. Finally, the third line provides searching features; quick search for the most common items (left) and advanced search for all major items (right).
- B. In the main body of the screen is the current item this is being worked on. When multiple items are display, the current item will be highlighted. Notice that the Root is highlighted in this example.
 - C. To the left of the current item is the side menu. The side menu provides all the commands that are available for the current item. In additional, a help link is available at the bottom of each side menu. The help provides information about the current screen that is being displayed.

1.3. Data Security and TechDoc

TechDoc is a robust platform for data storage and retrieval. It provides data storage and access capabilities for ITAR (International Traffic in Arms), EAR (Export Administration Regulations), as well as various organization specific security standards (such as NASA's NPG 2810.1 which defines procedures and guidelines for implementing security for Information Technology Systems).

TechDoc is designed to support a wide range of different environments, locations, and operating systems. Security is integrated into TechDoc at multiple levels all of which are configurable by the Administrator. You can assign security via user sign-on, grant specific permissions to a single document, or create broader access by group, physical network location, project, document classification or by defining custom roles. Once defined, these settings can be applied automatically so that security is in place each time a document is created by a specific user.

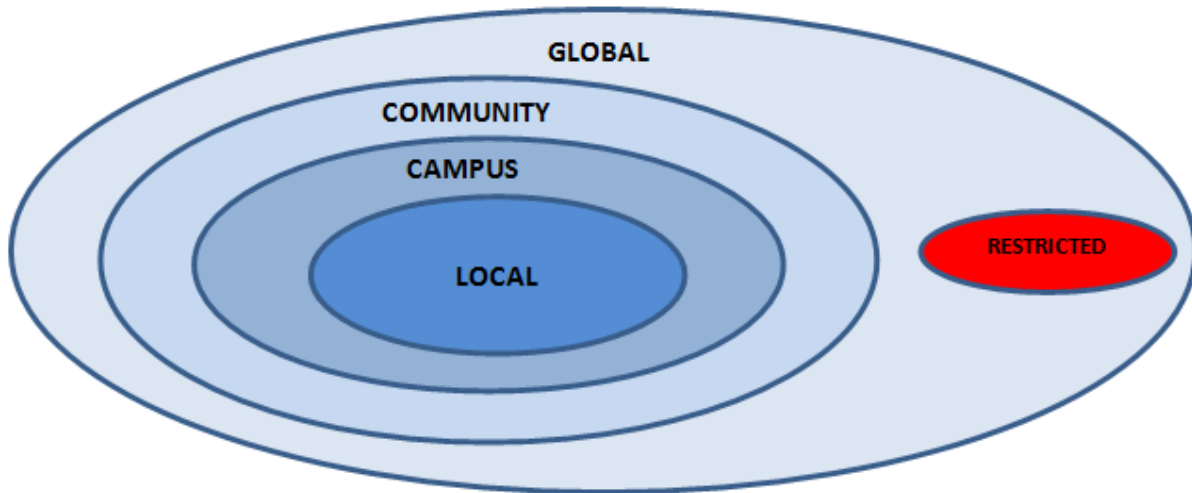
TechDoc features document encryption, encrypted transmission via https, internal firewall support, and a complete audit trail of all changes, log ins, log outs, and document fetches.

TechDoc supports all many authentication methods including eAuth Single Sign-On (using SAML), Two Factor (RSA SecurID), LDAP, NT Domain, and Radius. User access to documents can be restricted or granted in a variety of ways that best serve your workflow and security needs.

1.3.1. Configuring TechDoc Security

TechDoc uses multiple layers of security as an effective barrier to non-authorized use. Access can be limited to the location (Network Address) of your computer, type of user, category of document, or a particular document. Security is quite flexible and can be easily created and then later modified.

Below is a visual example of the TechDoc Security Model – Location (Network Address):



The innermost circle is more restrictive while the outermost circle is the least restrictive. The exception is the "Restricted" circle, which we will discuss in a moment.

Example: Local is the most restrictive circle, while Global is the least restrictive.

Each inner circle is considered to be a subset of the outer circle containing it and is also considered to be in that circle. The table below summarizes this relationship with a more detailed explanation following.

Circle	Restricted	Local	Campus	Community	Global
Subset Of	Global	Campus Community Global	Community Global	Global	-

←
More restrictive

1.3.2. Network Address Categories

Local

Local is anyone who successfully logs in with a valid username and password from a computer whose IP address lies within a network circle trusted for log in purposed by the system. Only Local users are permitted to make modifications to documents that they own or have been granted access. Read access is granted to the Local circle by associating access to a document or folder and adding "*Local users" to the selected users' column.

Campus

Campus is normally used to define the IP addresses that are trusted for log-in purposes, which are part of the logical "Campus" for a specific TechDoc installation. This circle can also be used to let anonymous users from these campus addresses the ability to read documents without them having to log in or even having an actual account on the Document Manager. Campus users are considered to be more trusted than community and global users.

Community

Community is normally used to define the IP addresses that are not trusted for log-in purposes but are trusted for reading documents that are somewhat sensitive but not enough to require accounts. It is normally used to let anonymous users from these community addresses to read documents without them having to log in or not even having an actual account on the Document Manager. Community users are considered to be more trusted than global users but less trusted than campus users.

Global

Global is used to specify that anyone who has internet access to the Document Manager can read a document that has global access assigned to it. The exceptions are known hacker sites and countries with technology restrictions. Global is synonymous with Public, which is used on many other systems.

The term "Global" was chosen to emphasize the fact that you are giving worldwide access and it must be used wisely due to the sensitive nature of many documents that should not be distributed outside of the US. When in doubt, you should consult your local export control office for guidance.

Restricted

Restricted is used to limit and control individual users having access to TechDoc. It is defined by a set of IP addresses ranges, which are considered to be partially trusted for a specific Document Manager. A user coming from a restricted address may fetch (read) a document if the document is Global or if the user enters a valid username and password that has been specifically associated to the document for read access. In addition, someone originating from a restricted address can only log into a user account that is marked as restricted.

When a restricted user logs into TechDoc, they are still considered outside of the local circle. This means that restricted users cannot access documents just because a document has Local, Campus, or Community read permissions. A restricted user must own a document, have been specifically associated to the document for access, or the document must have Global read permissions.

Additionally, restricted users cannot access folders just because a folder has Local read. A restricted user must own a folder or have been specifically associated to a folder to access it.

2. Getting Started Managing Record

Before creating records on documents in TechDoc, you should contact your local Records Manager for assistance with establishing a records environment that conforms with your organization's records requirements. Typically, your system will need guidelines such as:

- What kinds of document should have records created against them?
- What file plans should be created for those documents?
- What naming scheme(s) should be used for file plans and record sets?
- What metadata (RMA Keywords) should be put on record sets and their records?

Remember that you don't have to have everything laid out in the beginning. TechDoc allows new RMA file plans, RMA record sets, and RMA keywords to be created at any time. Usually, it's best to identify a small number of record sets that need to be managed and work with those first. Once happy with them, move on to larger or more complicated sets of records.

Throughout TechDoc, the acronym RMA is used frequently when referring to features and objects stored in TechDoc. It stands for Records Management Application; which NARA (The National Archives) would use to describe TechDoc or other applications that electronically manage records. The term record is very generic and means many different things to different people. TechDoc always prefaces Record Management-related items with the RMA acronym to minimize confusion and to emphasize that these are items that are stored in TechDoc. For instance, after accession to NARA's ERA (Electronic Records Archive), TechDoc would refer to those records as ERA Records.

Let's get started going over some of the basic objects that are involved with records management using TechDoc.

2.1. RMA File Plans

Records management "101" says that your entire organization should have a records retention schedule. It defines your organization's legal and compliance requirements for recordkeeping. It describes the different categories of records within your organization and how they should be retained (permanently, deleted after a year, accessioned to NARA five years after contract end, etc.)

In TechDoc, the records retention schedule is implemented by a TechDoc Records Manager creating and maintaining RMA File Plans for each type of record series your organization is required to maintain. Each RMA File Plan specifies the category name/ identifier/description, permanent/vital status, etc., for the RMA Records that will be covered by the file plan.

2.2. RMA Record Sets

When a record set is created, it is associated to a specific file plan. It is perfectly fine to have more than one record set associated to a single file plan. For instance, your organization probably has a file plan for records related to procuring goods and services. The file plan might

describe the standard retention for records related to procurements from others entities outside of your own. For each procurement your organization has, a separate record set could be created using that file plan to track all records related to that specific procurement while the file plan describes that retention standards applied to procurements.

Record sets can have RMA Keywords added to them for capturing extra metadata (including DoD 5015 metadata). In order to help keep RMA Keywords more uniform, only records managers or TechDoc admins can define new RMA Keywords. Once defined, a records manager or record set owner can add additional information to a record set using RMA Keywords beyond what TechDoc normally captures about each set.

Record sets can also be frozen; meaning that the records and the documents tied to those records cannot be modified or deleted until the records are unfrozen. Freezing records is a simple way to prevent changes, unintentional or not, to information that must be protected due to legal discovery, an accident investigation, etc.

In addition, one thing that really sets TechDoc apart from other records management systems is that record sets can be manual or automatic. We discuss each of these types of records next.

2.2.1. Manual Records

Manual records, as the name implies, are manually maintained by individuals. This is how most RMA applications work. Someone creates a record set for a specific purpose with a file plan tied to it. Then one or more people manually create records that are added to that record set. It works but it can be very labor intensive, especially if some records could be maintained automatically.

2.2.2. Automatic Records

Automatic records are where TechDoc really shines. TechDoc can be told when to recognize that a document should automatically have a record created against it based on different criteria.

TechDoc supports Doc Types that categorize documents based on their business use. For instance, your system might have a Business Agreements Doc Type that identifies documents used as legal agreements with other entities. Simply because of how this document is used, it may legally necessitate RMA recordkeeping. TechDoc can be told that a particular Doc Type will be assigned to a particular file plan. As soon as that is done, TechDoc will create an Automatic Record Set for that Doc Type and create a record for each document of that type. As documents are created or deleted using that Doc Type, records will be created or deleted from the record set automatically.

TechDoc also supports assigning a file plan to a folder. When documents are created or deleted in that folder, records will be created or deleted from the folder's record set automatically.

2.3. RMA Records

A document can have one or more records created against it. The reason for this is that the document could be a business agreement that requires a record under one file plan and the document could be used in the procurement of goods and services that requires a record under a different file plan.

So how does this affect a document with two different records under two different plans. The requirements of both plans are considered and the longest retention wins when it comes to the document itself. If one plan says that the record is permanent and the other record says the it should be deleted after 5 years, the second record can be deleted after 5 years but the document itself and the permanent record will never be deleted.

It is very important to realize the benefits of having document and record management being performed by one system. Because a document can have records tied to it, any document management command that can cause a document to be deleted will be denied if a permanent or frozen record is tied to it.

Also, TechDoc allows non-resident documents which reference physical items or items that must be stored in another electronic repository. Records can be created against these types of documents too. This allows you to do things like track physical items such as video tapes and use records to determine when they should be physically disposed of.

Like record sets, records can have RMA Keywords added to them for capturing extra metadata (including DoD 5015 metadata). In order to help keep RMA Keywords more uniform, only records managers or TechDoc admins can define new RMA Keywords. Once defined, a records manager or record owner can add additional information to a record using RMA Keywords beyond what TechDoc normally captures about each record.

3. Records Manager Reference Section

This section contains a description of all the Records Manager-specific commands available on the Document Manager. Records Managers and Admins can use all of these commands. In addition, Users with the Record Sets privilege can maintain RMA Record Sets (minus freezing or unfreezing) and Users with the Records privilege can maintain manual RMA Records.

3.1. Accessing Records Management Commands

All Records Management commands can be accessed by clicking on Records on the main menu bar. The Records link is only displayed for Users with the Record Sets or Records Manager privilege, or Admins.

Navigation: [[DocMgr](#) > [Records](#)]

A User with the Records Manager or Admin privilege will have access to all of the Records Management functions. A User with the Record Sets privilege will only have access to the RMA Record Set related functions.

3.2. RMA File Plans

An RMA Records Retention Schedule is comprised of RMA File Plans created for each type of record your organization is required to maintain. Each RMA File Plan specifies the Category Name, Category Identifier, Category Descriptions, Permanent Records Status, Vital Records Status, etc, for the RMA Records that will be covered by the plan.

An RMA File Plan can be associated directly to an RMA Record Set or it can be associated to a Doc Type or a Folder. Unlike most Records Management Applications, TechDoc has the concept of automatic records. When a Document is assigned to a Doc Type that has an associated RMA File Plan, TechDoc automatically creates an RMA Record for the Document in the Doc Type's associated RMA Record Set. Likewise, if the Document is placed in a Folder that has an associated RMA File Plan, TechDoc automatically creates an RMA Record for the Document in the Folder's associated RMA Record Set.

It is important to note that an individual Document may have multiple RMA Records assigned to it. See the [RMA Record](#) section below for more information.

3.2.1. Creating an RMA File Plan

Create RMA File Plan provides the capability for Records Managers to create RMA File Plans that make up a system's Records Schedule.

- The user must have the Records Manager privilege.
- The Record Category Name cannot be the same as any other RMA File Plan in the system.
- The Record Category Identifier cannot be the same as any other RMA File Plan in the system.
- If Permanent Records is set to yes, Retention Period cannot be set.
- If Vital Records is set to yes, Review Period is required.

Navigation: [[DocMgr](#) > [Records](#) > [RMA File Plan](#)]

Step 1:

1. Enter name of the record category for this RMA File Plan in the Record Category Name box. The record category name should usually be a short version of the heading used in the Records Schedule to identify this file plan by. Record category names must be unique within the same Document Manager. Record category name is a required field. The maximum length of this field is 128 characters.
2. Enter unique number identifying the record category for this RMA File Plan in the Record Category Identifier box. Record category identifiers must be unique within the same Document Manager. Record category identifier is a required field. The maximum length of this field is 32 characters. For many government agencies, this column should be composed of the Agency Filing Scheme (AFS) number, then any subsequent item number, sub item number, etc. If you are unsure, you should contact your local Records Liaison Officer or Records Manager for assistance.
3. Enter description of the record category for this RMA File Plan in the Record Category Description box. Record category description is a required field. The length of this field is not limited.
4. Enter RMA File Plan owner in the Owner box by clicking on the down arrow and selecting a name from the list. Note: Only an Admin can assign the owner of an RMA File Plan.
5. In the Permanent Records box, click the down arrow, and select Yes (records that belong to this RMA File Plan are permanent) or select No (records that belong to this RMA File Plan are not permanent). Permanent records are records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the Agency's need for them.
6. In the Vital Records box, click the down arrow, and select Yes (records that belong to this RMA File Plan are vital) or select No (records that belong to this RMA File Plan are not vital). Vital records are essential Agency records needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records).
7. Enter max period before documents under this RMA File Plan must be reviewed again in the Review Period box. Click on down arrow and select Day(s), Week(s), Month(s) or

Year(s). This field is optional unless Vital Records is set to yes, in which case this field is required.

8. Enter period before documents under this RMA File Plan are eligible to be deleted in the Retention Period box. Click on down arrow and select Day(s), Week(s), Month(s) or Year(s). This field is must be empty if Permanent Records is set to yes.
9. Choose the Cutoff Data Source for the RMA File Plan. The Cutoff Date determines the start date of the retention period. The source must be set to None for permanent records.
10. Enter reason for creating this RMA File Plan in the Reason box. Reason is a required field. The maximum length of this field is 255 characters.

Note: To save this RMA File Plan and create another one, click the box next to "Save this RMA File Plan and Create Another" This will place a check in the box. If you do not want to create another RMA File Plan, leave the box blank.

11. Click the Cancel button to cancel the command, or click the Next button to continue.

Step 2:

This step will vary depending on the Cutoff Date Source chosen on the previous step. If None was chosen:

1. There is no additional information needed to finish creating the RMA File Plan.
2. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the OK button to create the RMA File Plan.

If a non-Keyword source was chosen for the Cutoff Date Source on the previous step:

1. Choose the Cutoff Trigger Source that will be used with the RMA File Plan. This is an optional additional trigger to decide if the Cutoff Date should be used to determine the start of the retention period yet. Even if the Cutoff Date is present, the start of the retention period will not begin if a trigger is specified and it's conditions have not been met.
2. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the Next button to continue.

If a Keyword source was chosen for the Cutoff Date Source on the previous step:

1. Choose the Keyword that will be used as the Cutoff Date Source.
2. Choose the Cutoff Trigger Source that will be used with the RMA File Plan. This is an optional additional trigger to decide if the Cutoff Date should be used to determine the start of the retention period yet. Even if the Cutoff Date is present, the start of the retention period will not begin if a trigger is specified and it's conditions have not been met.

3. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the Next button to continue.

Step 3:

This step will vary depending on the Cutoff Trigger Source chosen on the previous step. If None was chosen:

1. There is no additional information needed to finish creating the RMA File Plan.
2. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the OK button to create the RMA File Plan.

If a Cutoff Trigger Source other than None was chosen for the Cutoff Date Source on the previous step:

1. Choose the Keyword that will be used as the Cutoff Trigger Source.
2. Enter the Value of the Cutoff Trigger Keyword. An empty value means that the mere presence of the Cutoff Trigger Keyword meets the conditions of the trigger. Otherwise, the Cutoff Trigger Keyword must be present with the specific value specified here in order to meet the conditions of the trigger. The value comparison is case-insensitive.
3. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the OK button to create the RMA File Plan.

Note:

- A history record will be generated for creation of the RMA File Plan.

3.2.2. Modifying an RMA File Plan

Modify RMA File Plan provides the capability for Records Managers to modify an existing RMA File Plan.

- The user must have the Records Manager privilege.
- The Record Category Name cannot be the same as any other RMA File Plan in the system.
- The Record Category Identifier cannot be the same as any other RMA File Plan in the system.
- If Permanent Records is set to yes, Retention Period cannot be set.
- If Vital Records is set to yes, Review Period is required.

Navigation: *[DocMgr > Records > RMA File Plans > Select Desired RMA File Plan > Side Menu > Modify]*

Step 1:

1. If applicable, modify the name of the record category for this RMA File Plan in the Record Category Name box. The record category name should usually be a short version of the heading used in the Records Schedule to identify this file plan by. Record category names must be unique within the same Document Manager. Record category name is a required field. The maximum length of this field is 128 characters.
2. If applicable, modify the unique number identifying the record category for this RMA File Plan in the Record Category Identifier box. Record category identifiers must be unique within the same Document Manager. Record category identifier is a required field. The maximum length of this field is 32 characters. For many government agencies, this column should be composed of the Agency Filing Scheme (AFS) number, then any subsequent item number, sub item number, etc. If you are unsure, you should contact your local Records Liaison Officer or Records Manager for assistance.
3. If applicable, modify the description of the record category for this RMA File Plan in the Record Category Description box. Record category description is a required field. The length of this field is not limited.
4. If applicable, modify RMA File Plan owner in the Owner box by clicking on the down arrow and selecting a name from the list. Note: Only an Admin can assign the owner of an RMA file plan.
5. If applicable, modify the Permanent Records box, click the down arrow, and select Yes (records that belong to this RMA File Plan are permanent) or select No (records that belong to this RMA File Plan are not permanent). Permanent records are records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the Agency's need for them.
6. If applicable, modify the Vital Records box, click the down arrow, and select Yes (records that belong to this RMA File Plan are vital) or select No (records that belong to this RMA File Plan are not vital). Vital records are essential Agency records needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records).
7. If applicable, modify the max period before documents under this RMA File Plan must be reviewed again in the Review Period box. Click on down arrow and select Day(s), Week(s), Month(s) or Year(s). This field is optional unless Vital Records is set to yes, in which case this field is required.
8. If applicable, modify the period before documents under this RMA File Plan are eligible to be deleted in the Retention Period box. Click on down arrow and select Day(s), Week(s), Month(s) or Year(s). This field is must be empty if Permanent Records is set to yes.
9. If applicable, modify the Cutoff Data Source for the RMA File Plan. The Cutoff Date determines the start date of the retention period. The source must be set to None for permanent records.
10. Enter reason for modifying this RMA File Plan in the Reason box. Reason is a required field. The maximum length of this field is 255 characters.
11. Click the Cancel button to cancel the command, or click the Next button to continue.

Step 2:

This step will vary depending on the Cutoff Date Source chosen on the previous step. If None was chosen:

1. There is no additional information needed to finish modifying the RMA File Plan.
2. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the OK button to modify the RMA File Plan.

If a non-Keyword source was chosen for the Cutoff Date Source on the previous step:

1. If applicable, modify the Cutoff Trigger Source that will be used with the RMA File Plan. This is an optional additional trigger to decide if the Cutoff Date should be used to determine the start of the retention period yet. Even if the Cutoff Date is present, the start of the retention period will not begin if a trigger is specified and it's conditions have not been met.
2. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the Next button to continue.

If a Keyword source was chosen for the Cutoff Date Source on the previous step:

1. If applicable, modify the Keyword that will be used as the Cutoff Date Source.
2. If applicable, modify the Cutoff Trigger Source that will be used with the RMA File Plan. This is an optional additional trigger to decide if the Cutoff Date should be used to determine the start of the retention period yet. Even if the Cutoff Date is present, the start of the retention period will not begin if a trigger is specified and it's conditions have not been met.
3. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the Next button to continue.

Step 3:

This step will vary depending on the Cutoff Trigger Source chosen on the previous step. If None was chosen:

1. There is no additional information needed to finish modifying the RMA File Plan.
2. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the OK button to modify the RMA File Plan.

If a Cutoff Trigger Source other than None was chosen for the Cutoff Date Source on the previous step:

1. If applicable, modify the Keyword that will be used as the Cutoff Trigger Source.

2. If applicable, modify the Value of the Cutoff Trigger Keyword. An empty value means that the mere presence of the Cutoff Trigger Keyword meets the conditions of the trigger. Otherwise, the Cutoff Trigger Keyword must be present with the specific value specified here in order to meet the conditions of the trigger. The value comparison is case-insensitive.
3. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the OK button to modify the RMA File Plan.

Note:

- A history record will be generated for modification of the RMA File Plan.

3.2.3. Deleting an RMA File Plan

Delete RMA File Plan deletes an existing RMA File Plan in the Document Manager. Multiple steps are required during the process in order to minimize the chances of an accidental deletion.

- The user must have the Records Manager privilege.
- The specified RMA File Plan cannot be deleted if there are Doc Types or RMA Record Folders using it.

Navigation: [*DocMgr > Records > RMA File Plans > Select Desired RMA File Plan > Side Menu > Delete*]

Step 1:

The RMA File Plan to be deleted and the RMA File Plan attributes are displayed.

1. Click the Cancel button to cancel the command, or click the Next button to continue.

Step 2:

The RMA File Plan to be deleted and the RMA File Plan attributes are displayed.

1. Enter reason for deleting the RMA File Plan in the Reason box. This is a required field. The maximum length of this field is 255 characters.
2. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the OK button to delete the RMA File Plan.

Notes:



- The RMA File Plan will be deleted.
- A history record will be generated for deletion of the RMA File Plan.

3.2.4. Showing RMA File Plans

Show RMA File Plans displays a listing of all RMA File Plans in this Document Manager. The RMA File Plans make up the Records Schedule for this system.

All RMA File Plans

Navigation: *[DocMgr > Records > RMA File Plans]*

- The Record Category Name, Record Category Identifier, Permanent Record Indicator, Vital Record Indicator, Review Period, and Retention Period are displayed for each RMA File Plan.
- The number of RMA File Plans is shown.
- The RMA File Plans are listed in alphabetical order by their Record Category Name.
- Click on  to View a specific RMA File Plan.
- Click on  to Show Info for a specific RMA File Plan.
- Use the scroll bar to scroll through the list.

A Specific RMA File Plan

Navigation: *[DocMgr > Records > RMA File Plans > Select Desired RMA File Plan]*

RMA File Plan Info displays the full details for a specific RMA File Plan.

Field Name	Definition
Record Category Name	The record category name should usually be a short version of the heading used in the Records Schedule to identify this file plan by.
Record Category Identifier	The record category identifier is a unique ID used in the Records Schedule to identify this file plan by. For many government agencies, this column is composed of the Agency Filing Scheme (AFS) number, then any subsequent item number, sub item number, etc.
Record Category Description	The description of records that belong in the record category for this File Plan.
Owner	This is the user that owns the RMA File Plan. It is normally the person that created the file plan.
Permanent Records	Yes - Records filed under this RMA File Plan are considered permanent records.

	<p>No - Records filed under this RMA File Plan are not considered permanent records.</p> <p>Note: Permanent records are records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the Agency's need for them.</p>
Vital Records	<p>Yes - Records filed under this RMA File Plan are considered vital records.</p> <p>No - Records filed under this RMA File Plan are not considered vital records.</p> <p>Note: Vital records are essential Agency records needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records).</p>
Review Period	<p>This is the max period before documents under this RMA File Plan must be reviewed again. The review period is optional unless Vital Records is set to yes, in which case this field is required.</p>
Retention Period	<p>This is the period before documents under this RMA File Plan are eligible to be deleted. The retention period must be empty if Permanent Records is set to yes.</p>
Cutoff Date Source	<p>This is the source that will be used in determining the Cutoff Date for RMA Records filed using this plan. The Cutoff Date determines the start date of the retention period.</p>
Cutoff Date Keyword	<p>This keyword name will be displayed if the Cutoff Date Source is set to one of the keyword-based sources. The keyword can be a Document Keyword, RMA Record Keyword, or RMA Record Set Keyword, but it must have a data type of date.</p>
Cutoff Trigger Source	<p>This is an optional additional trigger to decide if the Cutoff Date should be used to determine the start of the retention period yet. Even if the Cutoff Date is present, the start of the retention period will not begin if a trigger is specified and it's conditions have not been met.</p>
Cutoff Trigger Keyword	<p>This keyword name will be displayed if the Cutoff Trigger Source is set to one of the keyword-based sources. The keyword can be a Document Keyword, RMA Record Keyword, or RMA Record Set Keyword.</p>

Cutoff Trigger Value	This value will be displayed if the Cutoff Trigger Source is set to one of the keyword-based sources. An empty value means that the mere presence of the Cutoff Trigger Keyword meets the conditions of the trigger. Otherwise, the Cutoff Trigger Keyword must be present with the specific value specified here in order to meet the conditions of the trigger. The value comparison is case-insensitive.
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3.3. RMA Keywords

RMA Keywords are user-defined attributes that can be assigned to an RMA Record Set and/or individual RMA Records. This permits additional information to be added to an RMA Record Set or RMA Record that TechDoc does not already track.

A common use of RMA Keywords is to add additional information required by DOD 5015.2 or other Records Management standards. TechDoc comes pre-populated with all of the RMA Keywords necessary to meet all of the mandatory components for DOD 5015.2.

3.3.1. Creating an RMA Keyword

Create RMA Keyword creates a new RMA Keyword and possibly some RMA Keyword values if the keyword is a drop down. RMA Keywords can be created as a free form field or a drop down list.

RMA Keywords are used to help refine the search criteria when searching for RMA Records or RMA Record Sets.

- The user must have the Records Manager or Admin privilege.

Navigation: [\[DocMgr > Records > RMA Keyword\]](#)

Step 1:

Note: Examples of free form field keyword names could be expiration date, comments, etc.

1. Enter name of the RMA Keyword in the Name box. The RMA Keyword name must be unique within the same Document Manager. The RMA Keyword name is displayed in the New RMA Keyword drop down list, when creating or modifying an RMA record. This is a required field. The maximum length of this field is 32 characters.
2. Enter description of the RMA Keyword in the Description box. The maximum length of this field is 128 characters.

- Enter input type of the RMA Keyword in the Input Type box by clicking on the down arrow and selecting it from the list. This is a required field. (The type of user input allowed for this RMA Keyword.)

Input Type	Definition
Drop Down	Creates a drop down list of valid RMA Keywords.
Free Form	Creates an empty box to enter RMA Keyword value in.

- Enter data type of the RMA Keyword in the Data Type box by clicking on the down arrow and selecting it from the list. This is a required field.

Data Type	Definition
String	Value of RMA Keyword entered as text.
Date	Value of RMA Keyword must be entered as mm/dd/yyyy.
Number	Value of RMA Keyword must contain a number.
URL	Value of RMA Keyword entered as URL.

- Enter reason for creating the RMA Keyword in the Reason box. This is a required field. The maximum length of this field is 255 characters.

Note: To save this RMA Keyword and create another one click the box next to "Save this RMA Keyword and create another". This will place a check in the box. If you do not want to create another RMA Keyword, leave the box blank.

- Click the Cancel button to cancel the command, or click the OK button to create the RMA Keyword.

Creating RMA Keyword Valid Values

If the input type for the RMA Keyword is drop down, you must create the RMA Keyword valid values for the drop down list.

- Enter the valid RMA Keyword value in the New Valid RMA Keyword Value box. The maximum length of a valid keyword value is 2000 characters. Note: How you enter the valid RMA Keyword value, depends on the data type selected from previous page. Use the table below as a guide for entering valid RMA Keyword values.

Data Type	How to Enter New Valid RMA Keyword Value
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String	Value of RMA Keyword entered as text.
Date	Value of RMA Keyword must be entered as mm/dd/yyyy.
Number	Value of RMA Keyword must contain a number.
URL	Value of RMA Keyword entered as URL.

2. Click the Add button to add the valid RMA Keyword value.

Note: Repeat above steps to add additional valid RMA Keyword values. Click the Remove button to remove the RMA Keyword value.

Note: To save this RMA Keyword and create another one, click the box next to "Save this RMA Keyword and create another". This will place a check in the box. If you do not want to create another RMA Keyword, leave the box blank.

3. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the OK button to create the RMA Keyword.

Notes:

- A new RMA Keyword record will be created.
- If the input type of the keyword is Drop Down, then an RMA Keyword valid value record will be created for each valid value entered on the RMA Keyword valid values page.
- A history record will be generated for creation of the RMA Keyword.

3.3.2. Modifying an RMA Keyword

Modify RMA Keyword modifies an existing RMA Keyword in the Document Manager. RMA Keywords are used to refine the search criteria of an RMA Record or RMA Record Set. RMA Keywords can be displayed as a free form or drop down box.

- The user must have the Records Manager or Admin privilege.

Note:

Examples of free form field RMA Keyword names could be expiration date, comments, etc.

Navigation: [*DocMgr > Records > RMA Keywords > Select Desired RMA Keyword > Side Menu > Modify*]

Step 1:

1. If applicable, modify the name of the RMA Keyword in the Name box. The RMA Keyword name must be unique within the same Document Manager. The RMA Keyword name is displayed in the New RMA Keyword drop down list, it will also be displayed above the New RMA Keyword box, when creating or modifying an RMA Record. This is a required field. The maximum length of this field is 32 characters.
2. If applicable, modify the description of the RMA Keyword in the Description box. The maximum length of this field is 128 characters.
3. If applicable, modify the input type of the RMA Keyword in the Input Type box by clicking on the down arrow and selecting it from the list. (The type of user input allowed for this Keyword.)

Input Type	Definition
Drop Down	Creates a drop down list of valid RMA Keywords.
Free Form	Creates an empty box to enter RMA Keyword value in.

4. If applicable, modify the data type of the RMA Keyword in the Data Type box by clicking on the down arrow and selecting it from the list.

Data Type	Definition
String	Value of RMA Keyword entered as text.
Date	Value of RMA Keyword must be entered as mm/dd/yyyy.
Number	Value of RMA Keyword must contain a number.
URL	Value of RMA Keyword entered as URL.

5. Enter reason for modifying the RMA Keyword in the Reason box. This is a required field. The maximum length of this field is 255 characters.
6. Click the Cancel button to cancel the command, or click the OK button to modify the RMA Keyword.

Modifying RMA Keyword Valid Values

If the input type for the RMA Keyword is drop down, you must create/modify the RMA Keyword valid values for the drop down list.

1. If applicable, create/modify the valid RMA Keyword value in the New Valid RMA Keyword Value box. The maximum length of a valid RMA Keyword value is 2000 characters. Note: How you enter the valid RMA Keyword value, depends on the data type selected from previous page. Use the table below as a guide for entering valid RMA Keyword values.

Data Type	How to Enter New Valid RMA Keyword Value
String	Value of RMA Keyword entered as text.
Date	Value of RMA Keyword must be entered as mm/dd/yyyy.
Number	Value of RMA Keyword must contain a number.
URL	Value of RMA Keyword entered as URL.

2. Click the Add button to add the valid RMA Keyword value.

Note: Repeat above steps to add additional valid RMA Keyword values. Click the Remove button to remove the RMA Keyword value.

Note: To save this RMA Keyword and create another one, click the box next to "Save this RMA Keyword and create another". This will place a check in the box. If you do not want to create another RMA Keyword, leave the box blank.

3. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the OK button to modify the RMA Keyword.

Modifying an RMA Keyword

Warning

By changing the Input Type field from a Drop Down to a Free Form field for this RMA Keyword, all valid values associated with this RMA Keyword will be lost.

Input Type	Definition
Drop Down	Creates a drop down list of valid RMA Keywords.
Free Form	Creates an empty box to enter RMA Keyword value in.

Are you really sure you want to change this RMA Keyword type from drop down to free form and lose ALL of the valid values associated with this RMA Keyword?

1. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the OK button to modify the RMA Keyword.

Notes:

- The existing RMA Keyword record will be modified.
- A history record will be generated for modification of the RMA Keyword.

3.3.3. Deleting an RMA Keyword

Delete RMA keyword deletes an existing RMA keyword. Multiple steps are required during the process in order to minimize the chances of an accidental deletion.

- The user must have the Records Manager or Admin privilege.
- The specified RMA keyword must not be assigned to any RMA records, RMA record sets, or RMA file plans.

Navigation: [*DocMgr > Records > RMA Keywords > Select Desired RMA Keyword > Side Menu > Delete*]

Step 1:

The RMA keyword to be deleted and the RMA keyword attributes are displayed.

1. Click the Cancel button to cancel the command, or click the Next button to continue.

Step 2:

The RMA keyword to be deleted and the RMA keyword attributes are displayed.

1. Enter reason for deleting the RMA keyword in the Reason box. This is a required field. The maximum length of this field is 255 characters.
2. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the OK button to delete the RMA keyword.

Notes:

- The RMA keyword record will be deleted.
- If the RMA keyword's input type is Drop Down, then any valid values assigned to the RMA keyword will also be deleted.
- A history record will be generated for deletion of the RMA keyword.



3.3.4. Showing RMA Keywords

Show RMA keywords displays a listing of all the RMA keywords in the Document Manager.

All RMA Keywords

Navigation: [*DocMgr > Records > RMA Keywords*]

- The user must have the Records Manager or Admin privilege.
- The Name and Description are displayed for each keyword.

- The number of RMA keywords is shown.
- RMA keywords are listed in alphabetical order by Name.
- Click on  to View a specific RMA keyword.
- Click on  to Show Info for a specific RMA keyword.

A Specific RMA Keyword

Navigation: [DocMgr > Records > RMA Keywords > Select Desired RMA Keyword]

RMA Keyword Info displays the full details for a specific RMA keyword.

Field Name	Definition
Name	The name of this RMA keyword.
Description	The description of this RMA keyword.
Input Type	The type of user input allowed for this RMA keyword. Drop Down - Drop down list of valid values. Free Form - Enter RMA keyword value as free form text.
Data Type	String - Value of RMA keyword entered as text. Date - Value of RMA keyword must be entered as mm/dd/yyyy. Number - Value of RMA keyword must contain a number. URL - Value of RMA keyword entered as URL.

Note:

If input type is Drop Down the Valid RMA Keyword Values are displayed.

3.4. RMA Record Sets

An RMA Record Set aggregates a group of RMA Records under a single RMA File Plan. The RMA Records are usually related for a specific purpose, event, or period; such as for a specific contract, an accident inquiry, or all the business agreements entered into during 2011. An RMA Record Set enables the group of records to be easily identified and acted upon as a group.

3.4.1. Creating an RMA Record Set

Create RMA Record Set creates a new record set in the Document Manager.

- The user must have the Record Sets, Records Manager, or Admin privilege.

Navigation: [DocMgr > Records > RMA Record Set]

Step 1:

1. Enter the name of the record set in the Name box. RMA Record Set names must be unique within the same Document Manager. This is a required field. The maximum length of this field is 128 characters.
2. Select the record set owner in the Owner box by clicking on the down arrow and selecting a user from the list. This is a required field. Only a user with the Admin privilege will be able to choose the owner. If the user does not have the Admin privilege, they will be set as the owner of the RMA Record Set.
3. Select the RMA File Plan in the RMA File Plan box by clicking on the down arrow and selecting one from the list. This is a required field.
4. Enter reason for creating the RMA Record Set in the Reason box. This is a required field. The maximum length of this field is 255 characters.
5. Click the Cancel button to cancel the command, or click the Next button to continue.

Step 2:

RMA Keywords are user-defined attributes that can be assigned to an RMA Record Set.

1. If applicable, add an RMA Keyword to this record set in the New RMA Keyword box by clicking on the down arrow, selecting an RMA Keyword to assign, click the Add button, and the enter or select the value for the keyword chosen.
2. If applicable, remove an RMA Keyword from this record set in the by clicking the Remove button next to the RMA Keyword to remove from this record set.
3. Click the Cancel button to cancel the command, click the Previous button to go back to the previous screen or click the OK button to create the RMA Record Set.

Notes:

- A new RMA Record Set record will be created.
- A history record will be generated for creation of the RMA Record Set.

3.4.2. Modifying an RMA Record Set

Modify RMA record set provides the capability to modify an existing RMA record set.

- The user must have the Record Sets, Records Manager, or Admin privilege.

Navigation: [DocMgr > Records > RMA Record Sets > Select Desired RMA Record Set > Side Menu > Modify]

Step 1:

1. If applicable, modify the name of this RMA record set in the Name box. This is a required field. The maximum length of this field is 128 characters.
2. If applicable, modify the RMA record set owner in the Owner box by clicking on the down arrow and selecting a user from the list. This is a required field. Only a user with the Admin privilege will be able to modify the owner of this RMA record set.
3. If applicable, modify the RMA File Plan in the RMA File Plan box by clicking on the down arrow and selecting a one from the list.
4. Enter the reason for modifying this RMA record set in the Reason box. Reason is a required field. The maximum length of this field is 255 characters.
5. Click the Cancel button to cancel the command, or click the Next button to continue.

Step 2:

RMA Keywords are user-defined attributes that can be assigned to an RMA record set.

1. If applicable, add an RMA keyword to this record set in the New RMA Keyword box by clicking on the down arrow, selecting an RMA keyword to assign, click the Add button, and enter or select the value for the keyword chosen.
2. If applicable, remove an RMA keyword from this record set in the by clicking the Remove button next to the RMA keyword to remove from this record set.
3. Click the Cancel button to cancel the command, click the Previous button to go back to the previous screen or click the OK button to modify the RMA record set.

Notes:

- The existing RMA Record Set record will be modified.
- A history record will be generated for modification of the RMA Record Set.

3.4.3. Deleting an RMA Record Set

Delete RMA record set deletes an existing RMA record set in the Document Manager. Multiple steps are required during the process in order to minimize the chances of an accidental deletion.

- The user must have the Record Sets, Records Manager, or Admin privilege.

Navigation: [DocMgr > Records > RMA Record Sets > Select Desired RMA Record Set > Side Menu > Delete]

Step 1:

The RMA record set to be deleted and the RMA record set attributes are displayed.

1. Click the Cancel button to cancel the command, or click the Next button to continue.

Step 2:

The RMA record set to be deleted and the RMA record set attributes are displayed.

1. Enter reason for deleting the RMA record set in the Reason box. This is a required field. The maximum length of this field is 255 characters.
2. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the OK button to delete the RMA record set.

Notes:



- The RMA Record Set record will be deleted.
- A history record will be generated for deletion of the RMA Record Set.

3.4.4. Showing RMA Record Sets

Show RMA Record Sets displays a listing of all RMA Record Sets in this Document Manager.

All RMA Records Sets

Navigation: [\[DocMgr > Records > RMA Record Sets\]](#)



- The RMA Set Name, Type, Parent Name and Frozen are displayed for each RMA Record Set.
- The number of RMA Record Sets is shown.
- The RMA Record Sets are listed in alphabetical order by their Set Name.
- Click on  to View a specific RMA Record Set.
- Click on  to Show Info for a specific RMA Record Set.
- Use the scroll bar to scroll through the list.

Showing Auto Doc Type RMA Records Sets

Navigation: [\[DocMgr > Records > RMA Record Sets > Side Menu > Doc Type\]](#)

Show RMA Record Sets displays a listing of all automatic RMA Record Sets for Doc Types in this Document Manager. With automatic records, there is an RMA Record Set for each Doc Type that has an RMA File Plan associated to it.



- The RMA Set Name, Parent Doc Type, and Frozen are displayed for each Auto Doc Type RMA Record Set.
- The number of RMA Record Sets is shown.
- The RMA Record Sets are listed in alphabetical order by their Set Name.

- Click on  to View a specific RMA Record Set.
- Click on  to Show Info for a specific RMA Record Set.
- Use the scroll bar to scroll through the list.

Showing Auto Folder RMA Records Sets

Navigation: *[DocMgr > Records > RMA Record Sets > Side Menu > Folder]*



Show RMA Record Set displays a listing of all automatic RMA Record Set for Folders in this Document Manager. With automatic records, there is an RMA Record Set for each Cabinet or Folder that has an RMA File Plan associated to it.

- The RMA Set Name, Type, Parent Folder, and Frozen setting are displayed for each Auto Folder RMA Record Set.
- The number of RMA Record Sets is shown.
- The RMA Record Sets are listed in alphabetical order by their Set Name.
- Click on  to View a specific RMA Record Set.
- Click on  to Show Info for a specific RMA Record Set.
- Use the scroll bar to scroll through the list.

Showing Manual RMA Records Sets

Navigation: *[DocMgr > Records > RMA Record Sets > Side Menu > Manual]*



Show RMA Record Sets displays a listing of all manually created RMA Record Sets in this Document Manager.

- The RMA Set Name and Frozen are displayed for each Manual RMA Record Set.
- The number of RMA Record Sets is shown.
- The RMA Record Sets are listed in alphabetical order by their Set Name.
- Click on  to View a specific RMA Record Set.
- Click on  to Show Info for a specific RMA Record Set.
- Use the scroll bar to scroll through the list.

Showing My RMA Records Sets

Navigation: *[DocMgr > Records > RMA Record Sets > Side Menu > My]*

Show RMA Record Sets displays a listing of all RMA Record Sets in this Document Manager that are owned by you.

- The RMA Set Name, Type, Parent Name and Frozen are displayed for each RMA Record Set.
- The number of RMA Record Sets is shown.
- The RMA Record Sets are listed in alphabetical order by their Set Name.
- Click on  to View a specific RMA Record Set.
- Click on  to Show Info for a specific RMA Record Set.
- Use the scroll bar to scroll through the list.

A Specific RMA Records Set

Navigation: [*DocMgr > Records > Select Desired RMA Record Set*]

RMA Record Set Info displays the full details for a specific RMA Record Set.

Field Name	Definition
Name	The name of this Record Set. For automatic records, the name will automatically be generated from the Doc Type's Abbreviation.
Parent Type	The type of record set this is. It can be Manual, Doc Type or Folder. If the type is Doc Type, this will show the Doc Type this record set is associated with. With automatic records, when a document is created using the Doc Type, a record will automatically be generated in the record set for the document. If the type is Folder, this will show the regular Cabinet or Folder this record set is associated with. With automatic records, when a document is created in this Cabinet or Folder, a record will automatically be generated in the record set for the document.
RMA File Plan	The RMA File Plan associated to this record set. For automatic records, the RMA File Plan is automatically synchronized with the RMA File Plan associated to the Doc Type.
Owner	The owner of this record set. It is normally the person that created or modified the Doc Type that caused this Record Set to be created.
Frozen	Yes - This record set is frozen. No - This record set is not frozen. Note: Being frozen, indicates that the records in the RMA Record Set cannot be modified or deleted until the RMA Record Set is unfrozen.
Permanent	Yes - This record set contains permanent records. No - This record set does not contain permanent records. Note: Permanent records are records appraised by NARA as having sufficient historical or other value to warrant continued preservation by

	the Federal Government beyond the Agency's need for them. Only an Admin can delete a document that is associated to a permanent record.
Vital	<p>Yes - This record set contains vital records. No - This record set does not contain vital records.</p> <p>Note: Vital records are essential Agency records needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records).</p>

3.4.5. Freezing an RMA Record Set

Freeze RMA Record Set freezes all the records in an existing RMA Record Set in the Document Manager. Documents and Generations that are associated to frozen records cannot be modified or deleted until the RMA Record Set is unfrozen. Multiple steps are required during the process in order to minimize the chances of an accidental freezing of records.

- The user must have the Records Manager privilege.
- The specified RMA Record Set cannot be frozen again if it is already frozen.

Navigation: [*DocMgr > Records > RMA Record Sets > Select Desired RMA Record Set > Side Menu > Freeze*]

Step 1:

The RMA Record Set to be frozen is displayed.

1. Click the Cancel button to cancel the command, or click the Next button to continue.

Step 2:

The RMA Record Set to be frozen is displayed.

1. Enter the reason for freezing the RMA Record Set in the Reason box. This is a required field. The maximum length of this field is 255 characters.
2. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the OK button to freeze the RMA Record Set.

3.4.6. Unfreezing an RMA Record Set

Unfreeze RMA Record Set unfreezes all the records in an existing RMA Record Set in the Document Manager. Documents and Generations that are associated to frozen records cannot

be modified or deleted until the RMA Record Set is unfrozen. Multiple steps are required during the process in order to minimize the chances of an accidental unfreezing of records.

- The user must have the Records Manager privilege.
- The specified RMA Record Set must currently be frozen.

The RMA Record Set to be unfrozen is displayed.

Navigation: [*DocMgr > Records > RMA Record Sets > Select Desired RMA Record Set > Side Menu > Unfreeze*]

Step 1:

1. Click the Cancel button to cancel the command, or click the Next button to continue.

Step 2:

The RMA Record Set to be unfrozen is displayed.

1. Enter the reason for unfreezing the RMA Record Set in the Reason box. This is a required field. The maximum length of this field is 255 characters.
2. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the OK button to unfreeze the RMA Record Set.

3.5. RMA Records

All Federal employees are required by law to maintain and preserve records. In addition to Federal Regulations 36 CFR Part 1220 and 1222, most Government agencies have additional policies that their employees are required to follow 44 U.S.C. Section 3301 provides the following definition for records:

As used in this chapter, "records" includes all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included.

It is important to note that it may be necessary for a single TechDoc Document to have multiple RMA Records assigned to it. For example, the Document could have a manual RMA Record for being used on a particular contract, another manual RMA Record for being part of an accident investigation, an automatic RMA Record for being assigned a Doc Type of "Business Agreements", and another automatic RMA Record for being in someone's email record folder.

Each RMA Record designates a different reason why and how the TechDoc Document must be handled. When a Document has multiple RMA Records controlled by different RMA File Plans, the most restrictive constraints apply. For example:

- If any one of the RMA Records is frozen, the Document is frozen too.
- If any one of the RMA Records is permanent, the Document is permanent too.
- If any one of the RMA Records is vital, the Document is vital too.
- If one RMA Record must be retained for 1 year, another RMA Record must be retained for 2 years, and yet another RMA Record must be retained for 5 years, the Document must be retained for 5 years.

3.5.1. Creating an RMA Record

Create RMA Record creates a new record in the Document Manager.

- The user must have the Records, Records Manager, or Admin privilege.

Navigation: [*DocMgr > Explorer > Select Desired Document > Side Menu > Records > Side Menu > Create*]

Step 1:

1. Select the RMA Record Set this record will belong to in the RMA Record Set box by clicking on the down arrow and selecting an RMA Record Set from the list. This is a required field.
2. Enter the subject of this record in the Subject box.
3. Select the record owner in the Owner box by clicking on the down arrow and selecting a user from the list. This is a required field. Only a user with the Admin privilege will be able to choose the owner. If the user does not have the Admin privilege, they will be set as the owner of the record.
4. Enter the date filed in the Date Filed box. The Date Filed is usually the date and time of the creation of the RMA Record. By default, the current time is prefilled in. This is a required field.
5. Enter the date received in the Date Received box. The Date Received is usually the date and time when the information of for the record was received. By default, the current time is prefilled in. This is a required field.
6. Enter reason for creating the RMA Record in the Reason box. This is a required field. The maximum length of this field is 255 characters.

7. Click the Cancel button to cancel the command, or click the Next button to continue.

Step 2:

RMA Keywords are user-defined attributes that can be assigned to an RMA Record.

1. If applicable, add an RMA Keyword to this record in the New RMA Keyword box by clicking on the down arrow, selecting an RMA Keyword to assign, click the Add button, and the enter or select the value for the keyword chosen.
2. If applicable, remove an RMA Keyword from this record by clicking the Remove button next to the RMA Keyword to remove from this record.
3. Click the Cancel button to cancel the command, click the Previous button to go back to the previous screen or click the OK button to create the RMA Record.

Notes:

- A new RMA Record will be created.
- A history record will be generated for creation of the RMA Record.

3.5.2. Modifying an RMA Record

Modify RMA Record provides the capability to modify an existing RMA Record.

- The user must have the Records, Records Manager, or Admin privilege.

Navigation: [DocMgr > Explorer > Select Desired Document > Side Menu > Records > Select Desired RMA Record > Side Menu > Modify]

Step 1:

1. If applicable, modify the subject of this record in the Subject box.
2. If applicable, modify the record owner in the Owner box by clicking on the down arrow and selecting a user from the list. This is a required field. Only a user with the Admin privilege will be able to modify the owner.
3. If applicable, modify the date filed in the Date Filed box. The Date Filed is usually the date and time of the creation of the RMA Record. By default, the current time is prefilled in. This is a required field.
4. If applicable, modify the date received in the Date Received box. The Date Received is usually the date and time when the information of for the record was received. By default, the current time is prefilled in. This is a required field.
5. Enter reason for modifying this RMA Record in the Reason box. Reason is a required field. The maximum length of this field is 255 characters.
6. Click the Cancel button to cancel the command, or click the Next button to continue.

Step 2:

RMA Keywords are user-defined attributes that can be assigned to an RMA Record.

1. If applicable, add an RMA Keyword to this record in the New RMA Keyword box by clicking on the down arrow, selecting an RMA Keyword to assign, click the Add button, and the enter or select the value for the keyword chosen.
2. If applicable, remove an RMA Keyword from this record by clicking the Remove button next to the RMA Keyword to remove from this record.
3. Click the Cancel button to cancel the command, click the Previous button to go back to the previous screen or click the OK button to modify the RMA Record.

Notes:

- The existing RMA Record will be modified.
- A history record will be generated for modification of the RMA Record.

3.5.3. Deleting an RMA Record

Delete RMA record deletes an existing RMA record in the Document Manager. Multiple steps are required during the process in order to minimize the chances of an accidental deletion.

- The user must have the Records, Records Manager, or Admin privilege.
- Only manually created records can be deleted since an automatically created record will just be automatically created again if it is deleted.

Navigation: *[DocMgr > Explorer > Select Desired Document > Side Menu > Records > Select Desired RMA Record > Side Menu > Delete]*

Step 1:

The RMA record to be deleted and the RMA record attributes are displayed.

1. Click the Cancel button to cancel the command, or click the Next button to continue.

Step 2:

The RMA record to be deleted and the RMA record attributes are displayed.

1. Enter reason for deleting the RMA record in the Reason box. This is a required field. The maximum length of this field is 255 characters.
2. Click the Cancel button to cancel the command, click the Previous button to return to the previous screen, or click the OK button to delete the RMA record.

Notes:



- The RMA Record will be deleted.
- A history record will be generated for deletion of the RMA Record.

3.5.4. Showing RMA Records

Show RMA Records displays a listing of all RMA Records in a specific RMA Record Set, belonging to a document, or a specific RMA Record.

All RMA Records in an RMA Record Set

Navigation: *[DocMgr > Records > RMA Record Sets > Select Desired RMA Record Set]*

- The ID, Doc Number, Date Filed, Publication Date, Last Review Date, Next Review Date and Retention Date are displayed for each RMA Record.
- The number of RMA Records is shown.
- The RMA Records are listed in alphabetical order by their ID Number.
- Click on  to View a specific RMA Record.
- Click on  to Show Info for a specific RMA Record.
- Use the scroll bar to scroll through the list.

A Specific RMA Record

Navigation: *[DocMgr > Records > RMA Record Sets > Select Desired RMA Record Set > Select Desired RMA Record]*

RMA Record Info displays the full details for a specific RMA Record.



Field Name	Definition
ID	This is the unique ID number that identifies this RMA record.
RMA Record Set	The RMA Record Set that this record is filed in. The RMA Record Set is very important because it determines if the Record is frozen, permanent, or vital. If one of these settings are changed on the RMA Record Set, it immediately affects the record.
Subject	The subject of this record.
Doc Number	The document number that this record is associated to.

Owner	The owner of this record. For automatic records, it is always set to the owner of the document.
Date Filed	The date this record was created.
Date Received	The date the information for this record was received.
Publication Date	The date the document for this record was created.
Last Review Date	The last time this Record was reviewed or empty if it hasn't been reviewed yet. For automatic records, it is always set to the latest release date of the document.
Next Review Date	The next time this record should be reviewed or empty if a review period isn't set on the RMA Record Folder that this record belongs to. For automatic records, it is the next time the document for this record should be reviewed.
Retention Date	The date when this record may be deleted if the record is no longer useful. The document for this record should not be deleted before this retention date is reached.
Frozen	Yes - This record is a frozen record. No - This record is a not a frozen record. Note: Being frozen, indicates that this record and other records in the RMA Record Folder cannot be modified or deleted until the RMA Record Folder is unfrozen.
Permanent	Yes - This record is a permanent record. No - This record is not a permanent record. Note: Permanent records are records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the Agency's need for them. Only an Admin can delete a document that is associated to a permanent record.
Vital	Yes - This record is a vital record. No - This record is a vital record. Note: Vital records are essential Agency records needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records).

All RMA Records for a Document

Navigation: [DocMgr > Explorer > Select Desired Document > Side Menu > Records]

Show RMA Records for Document displays a listing of all the RMA Records for a specific document.

- The ID, Doc Number, Date Filed, Publication Date, Last Review Date, Next Review Date and Retention Date are displayed for each RMA Record.
- The number of RMA Records is shown.
- The RMA Records are listed in alphabetical order by their ID Number.
- Click on  to View a specific RMA Record.
- Click on  to Show Info for a specific RMA Record.
- Use the scroll bar to scroll through the list.

3.6. RMA Quick Reports

In addition to TechDoc's standard ad hoc reporting feature, numerous RMA Quick Reports are available that assist Records Managers with the task of monitoring and maintaining RMA Records contained within TechDoc.

3.6.1. Running an RMA Quick Report

RMA Quick Report runs a quick report on either all records, records that are frozen, records that are past retention, records that are permanent, records that are vital, or records that need to be reviewed. Various criteria can be chosen to tailor which records show up on the report.

- The user must have the Records Manager privilege.

Navigation: [DocMgr > Records > RMA Quick Reports > Select Desired Type of Records]

Step 1:

1. Enter description of the report in the Report Description box. The description will be displayed as the title of the report. This is a required field. The maximum length of this field is 128 characters.
2. Select whether or not to show the headings of Report in the Show Headings box by clicking on the down arrow and selecting Yes or No from the list. Headings are the titles over each column when the Report is displayed.

No	Headings will not be displayed on Report.
Yes	Headings will be displayed on Report.

3. Select whether or not to include the disk space used by the documents included in the report in the Include Doc Disk Space box by clicking on the down arrow and selecting Yes or No from the list. If Yes is selected, a report total line will also be shown at the bottom of the report.

No	Document Disk Space will not be displayed on Report.
Yes	Document Disk Space and a totals line will be displayed on Report.

4. Choose Optional Data to Limit Results
5. Optionally, enter the record subject in the Subject box. If a record subject is entered, only records with that subject will be returned on the report. The subject field will only appear on RMA Records that were either manually created or edited as it is just an additional metadata field. Automatically created RMA Records (those created by an RMA File Plan on a Cabinet/Folder or Doc Type) do not use the subject field at this time.
6. Optionally, enter the record owner in the Record Owner box by clicking on the down arrow and selecting a name from the list. If a record owner is chosen, only records belonging to that user will be returned on the report.
7. Optionally, enter the document category in the Document Category box by clicking on the down arrow and selecting one from the list. If a document category is chosen, only records belonging to a document with that document category will be returned on the report.
8. Optionally, enter the document type in the Document Type box by clicking on the down arrow and selecting one from the list. If a document type is chosen, only records belonging to a document with that document type will be returned on the report.
9. Optionally, enter a folder path in the Folder Path box. The folder path entered should be fully qualified beginning with a forward slash. If entered, only records belonging to a document in the folder will be returned on the report. Additionally, the Include Subfolders checkbox can be checked to also search all child folders of the folder entered.
10. Optionally, enter the organization in the Organization box by clicking on the down arrow and selecting the organization from the list. If an organization is chosen, only records belonging to a document with that organization will be returned on the report.
11. Optionally, enter the RMA file plan in the RMA File Plan box by clicking on the down arrow and selecting the RMA file plan from the list. If an RMA file plan is chosen, only records belonging to a document with that RMA file plan will be returned on the report.
12. Optionally, enter the RMA record set in the RMA Record Set box by clicking on the down arrow and selecting the RMA record set from the list. If an RMA record set is chosen, only records belonging to a document in that RMA record set will be returned on the report.
13. Optionally, enter a starting and/or ending date in the Date Filed boxes. If a date is entered in either box, only records whose Date Filed date is within the specified range will be returned on the report.

14. Optionally, enter a starting and/or ending date in the Date Received boxes. If a date is entered in either box, only records whose Date Received date is within the specified range will be returned on the report.
15. Optionally, enter a starting and/or ending date in the Publication Date boxes. If a date is entered in either box, only records whose Publication Date is within the specified range will be returned on the report.
16. Optionally, enter a starting and/or ending date in the Last Review Date boxes. If a date is entered in either box, only records whose Last Review Date is within the specified range will be returned on the report.
17. Optionally, enter a starting and/or ending date in the Next Review Date boxes. If a date is entered in either box, only records whose Next Review Date is within the specified range will be returned on the report.
18. Optionally, enter a starting and/or ending date in the Retention Date boxes. If a date is entered in either box, only records whose Retention Date is within the specified range will be returned on the report.
19. Click the Cancel button to cancel the command, or click the Next button to continue.

Step 2:

The RMA quick report can be viewed and saved in the following formats: CSV (Comma Separated Values), HTML (Hypertext Markup Language), and XML (eXtensible Markup Language).

1. Select the style of RMA quick report in the Report Style box by clicking on the down arrow and selecting a style from the list. The style setting only applies when an RMA quick report is output in HTML. The preview image beside the box can be clicked to see a sample or what the currently selected report style looks like.
2. In the Run As box click on CSV, HTML, or XML to display the report. When the report is displayed, it can be saved to your pc or printed.

Notes:

- If CSV (Comma Separated Value) format is chosen, a File Save As dialog window will open prompting the user to specify a location and file name for the CSV file. If the user specifies a valid folder, then a CSV file will be created in that folder with the name specified.
- If HTML (Hypertext markup Language) format is chosen, a separate browser window will open with report data in HTML format.
- If XML (eXtensible Markup Language) format is chosen, depending on the browser, either a separate browser window will open with the report data in XML format or a File Save As dialog window will open prompting the user to specify a location and file name for the XML file. If the user specifies a valid folder, then a XML file will be created in that folder with the name specified.

3. Click the Previous button to return to the previous screen, or click the Cancel button to return to the Records Management page where other RMA quick reports can be chosen.