NHPRC State Electronic Records Grant
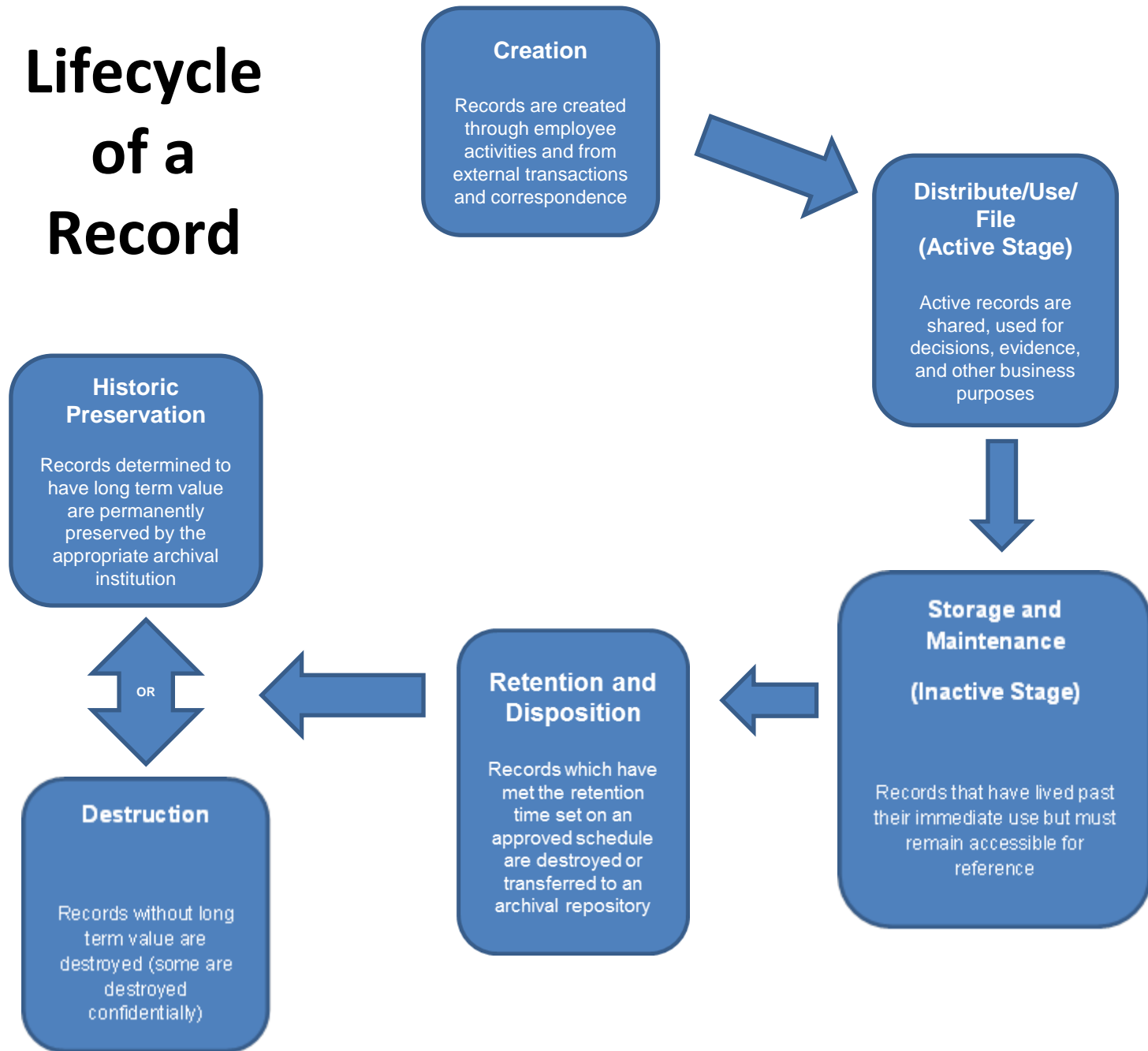
Wisconsin State Archives

Agenda

- **State of our State**   (A quick look at how we got here…)

- **NHPRC Grant**

- **Agency Collaborations**

- **Inventories**

- **Transferring records to the state archives**

- **What's next**

State of Our State

- **We (state agencies) are pretty good at paper records, but electronic records……Not so much**

- **Of the 120+TB we are currently managing**
  - Processed and in the catalog
    - 28 GB Gov Pubs   (6,500 files : 1,450 folders)
    - 250 GB State records (215,000 files : 19,000 folders)

  - Still in process
    - Roughly 2 TB of Doyle folders (.psts and images)
    - 40 GB from a small handful of other agencies

Lifecycle of a Record

Creation

Records are created through employee activities and from external transactions and correspondence

Distribute/Use/File (Active Stage)

Active records are shared, used for decisions, evidence, and other business purposes

Storage and Maintenance (Inactive Stage)

Records that have lived past their immediate use but must remain accessible for reference

Retention and Disposition

Records which have met the retention time set on an approved schedule are destroyed or transferred to an archival repository

Historic Preservation

Records determined to have long term value are permanently preserved by the appropriate archival institution

OR

Destruction

Records without long term value are destroyed (some are destroyed confidentially)

NHPRC

- **National Historical Publications and Records Commission is the funding arm of the National Archives (NARA)**

- **Grants tend to support projects that promote access to America's historical records to encourage understanding of our democracy, history, and culture.**

- **2015 they announced a new State Electronic Records grant for projects that would accession, describe, preserve, and provide access to state government electronic records of enduring value. They were looking for projects that actively engaged in activities that preserved electronic records and made them <u>available for public discovery /access</u>.**

What We Did

Wisconsin State Preservation of Electronic Records Project (WiSPER) seeks to implement a sustainable electronic records workflow and transfer management system in selected state agencies producing a measurable increase in the preservation of, and research access to, state agency records with historic value.

Translation: WiSPER will create an e-records workflow and transfer process to increase the number of state records series preserved and available to users.

Goals…

- **Increase the percentage of scheduled state agency electronic records with historic value that are transferred to the WHS.**

- **Document the processes and tools used to identify and schedule electronic records, sort through agency "network drive attics," develop transfer workflows, and train employees in electronic records governance best practices.**

- **Improve discovery and access to electronic records in the repository through the development of links from cataloged series and web-based access points to records collections.**

Key Project Pieces (3 year grant)

☑ **State Agency e-record identification and management**

☑☑ **Content transfer and acquisition from agencies**

☑☑☑ **E-Records management testing at the agency level**

☑☑ **Repository development**

☑ **Access to state records (web, reading room, catalog)**

Who? (THIS HAS CHANGED)

- **Wisconsin Historical Society (WHS) (The Guinea Pigs)**

- **Governor's Office (GOV)**

- **Department of Workforce Development (DWD)**

What Are We (WHS) Doing?

- **Evaluations of personal and share drives**

- **Identifying orphans**

- **Format migrations where deemed necessary**

- **Diagraming institutional processes**

- **Identifying record owners**

Personal Drives: Inventory

	Folder Name	General Summary of Contents	Assigned To	Proposed disposition	Final Disposition
1	**Folder Name** ▼	**General Summary of Contents** ▼	**Assigned To** ▼	**Proposed dispositic** ▼	**Final Dispositi** ▼
2	AEB	Current Personal Files	Keep	Keep	Keep
3	AJB	Current Personal Files	Keep	Keep	Keep
4	AJN	Current Personal Files	Keep	Keep	Keep
5	AJS	Current Personal Files	Keep	Keep	Keep
6	Andrea	Project files for Lynda Barry and Emile Quiner	Michael E.	Keep and transfer	Deleted
7	AWK	Current Personal Files	Keep	Keep	Keep
8	AXD	Current Personal Files (but empty)	Mullen	Evaluate	Deleted
9	AXJ	Current Personal Files (but empty)	Keep	Keep	Keep
10	BB3	Ben Brewster M: drive - Lots of older/odd formats	Huelsbeck	Evaluate and delete	Deleted
11	CAB	Current Personal Files	Keep	Keep	Keep
12	CBJ	Current Personal Files	Keep	Keep	Keep
13	cd1	Collection of Manuscript abstracts, EADs, inventories, arrangements	Krause	Evaluate	Deleted
14	CIRC	Lots of folders, but not much content. Much is likely out of date	Hemming	Evaluate	Deleted
15	CM4	No real content	Knies	Evaluate	Deleted
16	CM8	Personal Drive	Krause/Knies		TBD
17	CMM	Several Accessions/Appraisals that were apparently printed out	Snyder		Deleted

What's Next?

- **Staff beginning work in shared drives**

- **Training (what is a record, schedule, RDA, etc…)**

- **Creating processes**
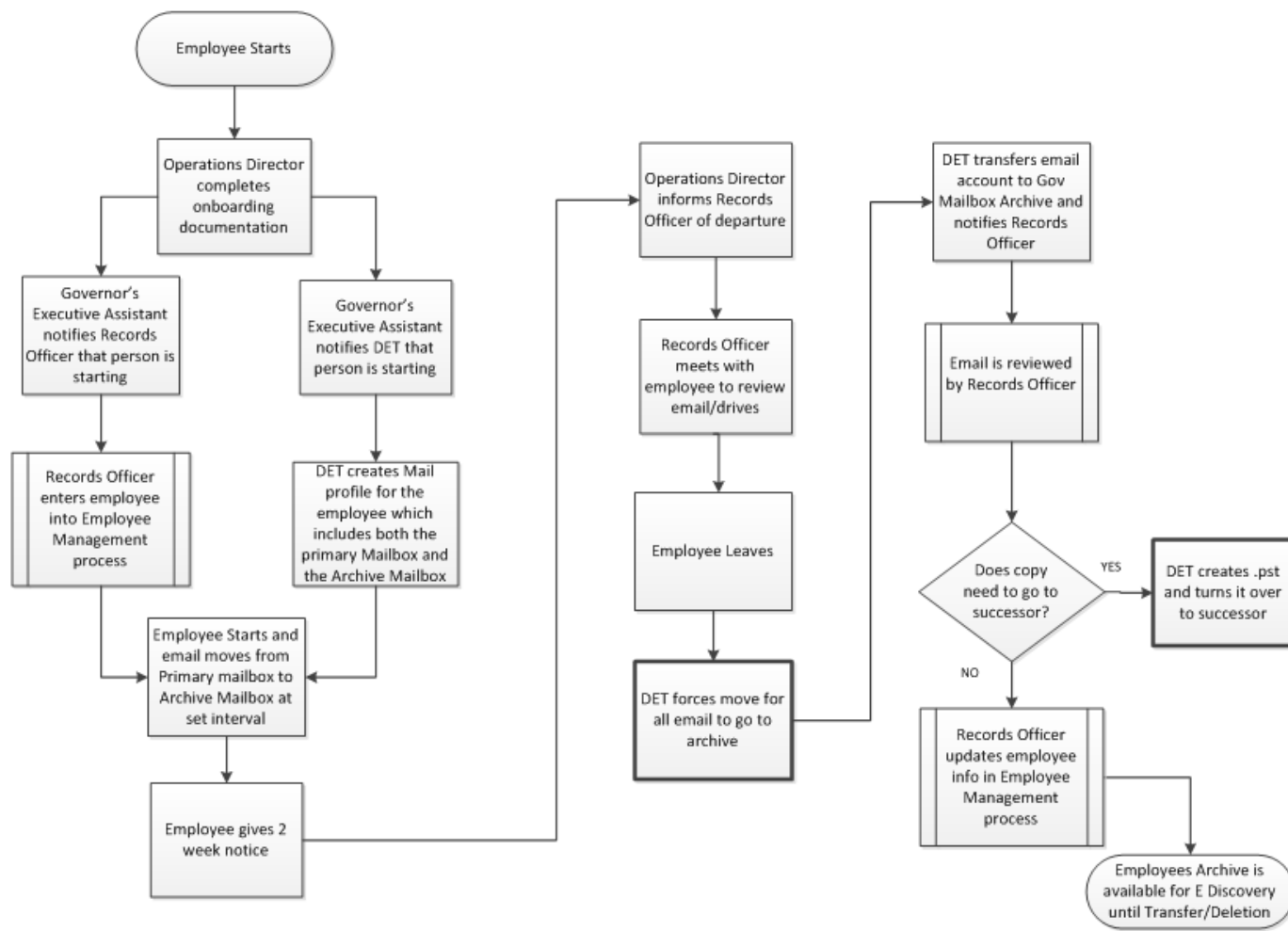
- **Deduplication**

- **Reorganization of share drives**

GOV

Action: Evaluate/Describe/Record Processes

The Products:
- Workflows (.psts, personal folders, shared folders, paper)
- Records Officer Employee Tracker
- RDA Cheatsheet

GOV-Workflows

Employee with Exchange 2013 – To-Be

GOV-Employee Tracker

Employee Name	Position	Department	Payroll Start	Payroll End	RDA's: RED = Destroy Remaining Items Transfer to SHSW
EXECUTIVE					
Governor Walker	Governor	Executive			
Rich Zipperer	Chief of Staff	Executive			19, 20
Moroney, Matt	Deputy Chief of Staff-Operations	Executive			3, 17, 23
Moore, Dorothy	Governor's Executive Assistant	Executive			28, 30, 31
POLICY					
Hurlburt, Waylon	Policy Director	Policy			3, 17, 23, 32
O'Neill, Eileen	Senior Policy Advisor	Policy			3, 17, 23, 32
Himebauch, Casey	Senior Policy Advisor	Policy			3, 17, 23, 32
Skenandore, Rachel	Policy Assistant	Policy			3, 17, 23, 32
LEGISLATIVE AFFAIRS					
Polzin, Cindy	Deputy Chief of Staff - Legislative	Legislative Affairs			27
Van Asten, Matthew	Legislative Liaison	Legislative Affairs			27
COMMUNICATIONS					
Jablonski, Jack	Deputy Chief of Staff - Comms.	Communications	4/18/2016		3, 17, 23
Patrick, Laurel	Governor's Spokesperson	Communications			3, 17, 23
Grinder, Jennifer	Director of External Comm & Ops	Communications			10, 11, 44
Schick, Katie	Communications Assistant	Communications			10, 11
Hummel, Brian	Director of External Operations	External Operations			7, 8
Fhlug, Alexander	External Relations Coordinator	External Operations			7, 8
Craft, Nathan	External Relations Coordinator	External Operations			7, 8
Schlavensky, Neal	External Relations Coordinator	External Operations			7, 8
Wipperman, Mallory	Scheduling Director	Scheduling			7, 8
CONSTITUENT SERVICES					
Colfin, Al	Director of Constituent Services	Constituent Services			12, 14, 45
Nenno, Bob	Proclamations Director	Constituent Services			15, 16
Nycz, Amy	Front Desk Manager	Constituent Services			12, 14, 45

GOV-RDA Cheatsheet

RDA #	RDA Name	Description	Event + Date
00003000	Policy Files	Working subject matter files maintained by policy staff and others relating to specified policy areas, particular policy initiatives, designated state agencies, and intergovernmental affairs, among others.	Term
00017000	Publications and Reports	Reports received by the Governor's Office from state or federal agencies, the legislature, private companies and from other states...for potential reference or official use, but not used in connection with specific staff projects.	Receipt + 1
00023000	Staff Issue Files	Maintained by individual policy staff and others for personal convenience and reference purposes. May include some email correspondence, clippings, reports and publications, staff notes, and other informational materials used...	Superseded + 0/6
00032000	Building & Land Contract Correspondence	Correspondence and internal or agency generated memoranda relating to state contracts signed by the Governor at the request of various state agencies. These files do not ordinarily contain copies of the contracts themselves...	Term + 2

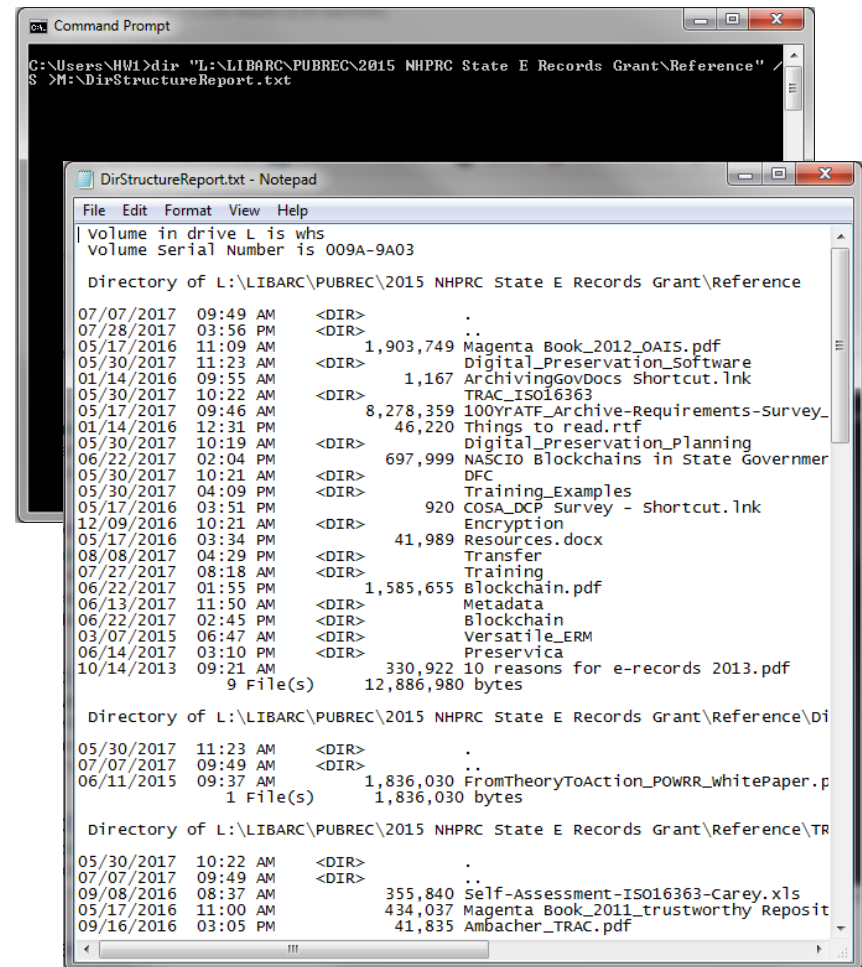|				
	Destroy	The Executive, Policy, Communications, and/or Legal Departments will hold the records for RDA 00023000. Maintain electronic files in proper email folders and/or shared subject folders until term then transfer to SHSW.	The Executive, Policy, Communications, and/or Legal Departments will hold the records for RDA 00023000. Maintain paper files in the proper subject folders until term then transfer to SHSW.	*Policy Director/Policy Staff most likely to hold this RDA
	SHSW	The Policy Department will hold the records for RDA 00032000. Maintain electronic files in proper email folders and/or shared subject folders until term then transfer to SHSW.	The Policy Department will hold the records for RDA 00032000. Maintain paper files in the proper subject folders until term then transfer to SHSW.	*Policy Director/Policy Staff most likely to hold this RDA

DWD

- **Grant focus was smaller (Secretaries Office) to start with…**

- **Started with an analysis of records schedules that would transfer items to us**

- **Reviewed email process flow**

- **Inventories –**
  - SO drive review
  - Bureau of Workforce Training
  - Migrant Workers Division

Inventories

- **Assess and clean up shared drives (WHS)**

- **Remote analysis of drives at other agencies (DWD)**

    – Identify records for transfer, RDAs that need to be updated or streamlined (SO drive, Migrant Workers Division)

    – Restructure drives (BWT)

DIR Command

- **DIR = directory (folder)**

- **Simple command prompt scripts to create reports of directory structures**

- **Good for:**
  - Large, complex shared drives
  - Remote analysis

- **Another tool: FolderSizes**

DWD SO Drive Inventory

	759				
		Directory	of S:\SO\S	O-Share\SO-Admin\D	WD Overview 2010 for New Admin_ADM00021_EVT_2 yrs
	760				
	795				
		Directory	of S:\SO\S	O-Share\SO-Admin\F	orms-Templates-Logos-Misc
	796				
	822				
	823	Directory	of S:\SO\S	O-Share\SO-Admin\F	orms-Templates-Logos-Misc\Table Tents
·	824				
·	825	3/3/2016	10:36 AM	<DIR>	.
·	826	1/12/2017	4:00 PM	<DIR>	..
·	827	6/15/2010	3:58 PM	62,976	06-16-10 Hessen Delegation.doc
·	828	9/3/2009	1:30 PM	21,504	09-08-09 SESP Leadership Team Meeting.doc
·	829	10/27/2010	5:00 PM	20,992	10-28 10 Manitoba Green Jobs Workshop.Plus.doc
·	830	10/27/2010	4:08 PM	66,048	10-28-10 Manitoba Green Jobs Workshop.doc
·	831	10/6/2011	10:46 AM	77,824	10.10.11 Minhang Delegation Visit table tents.doc
·	832	8/26/2013	11:16 AM	27,136	DWD Logo TENT CARDS 2.doc
·	833	12/7/2011	5:57 PM	63,488	DWD Logo TENT CARDS.doc
·	834	5/19/2003	9:53 AM	19,456	Name Tents for Jan 30 mtg..doc
·	835	4/7/2011	10:45 AM	20,992	TEMPLATE - TABLE TENTS 2.doc
·	836	2/19/2004	5:51 PM	19,456	TEMPLATE - TABLE TENTS.doc
·	837	3/15/2004	1:15 PM	82,432	Tents - Health Care Committee.doc
·	838	11/18/2009	8:58 AM	57,856	Tents - WSSI Staff Team.doc
·	839		12 File	(s) 540,160	bytes
−	840				

DWD SO Drive Inventory

33							
34	Directory	of S:\SO\S	O-Share\SO-Admin\D	WD Overview 2010 for New Admin_ADM00021_EVT_2 yrs	30 files	2010-2011	Transition / info for new admins - do any of these describe [policy programs and need to be transferred to WHS?
35							
36	Directory	of S:\SO\S	O-Share\SO-Admin\F	orms-Templates-Logos-Misc	20 files	2003 - 2015	Admin type docs
37							
38	Directory	of S:\SO\S	O-Share\SO-Admin\F	orms-Templates-Logos-Misc\Table Tents	12 Files	2003-2011	Admin type docs
39							
40	Directory	of S:\SO\S	O-Share\SO-Admin\G	eorgia Maxwell	15 files	2011-2016	Vouchers, memos, letters, agreements
41							

823	Directory	of S:\SO\S	O-Share\SO-Admin\F	orms-Templates-Logos-Misc\Table Tents
824				
825	3/3/2016	10:36 AM	<DIR>	.
826	1/12/2017	4:00 PM	<DIR>	..
827	6/15/2010	3:58 PM	62,976	06-16-10 Hessen Delegation.doc
828	9/3/2009	1:30 PM	21,504	09-08-09 SESP Leadership Team Meeting.doc
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839		12 File	(s) 540,160	bytes
840				

DWD Migrant

- **Report from FolderSizes**
- **Grouping by color**
- **Notes**
- **RDAs**

Folder	File Name	Modified	Notes	RDA
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	RO-07.doc	08/14/2012 1:17:10 PM		
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	2016 BMPSP Inspector Responsibilities.doc	06/28/2017 8:33:06 AM	Program documentation	ADM00026
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	2016 Under The Wisconsin Migrant Labor Law.doc	02/23/2016 9:16:38 AM		
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	DET MSFW Program Matrix.doc	06/20/2014 9:29:59 AM		
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	Foreign Labor Certification Program.doc	08/12/2009 10:02:59 AM		
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	2013 All Staff Post Season Meeting Memo.doc	11/25/2013 12:23:57 PM	Meeting minutes and report	ADM00026
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	2014 Juan's MSFW Pre Season Report.doc	05/28/2014 11:50:34 AM		
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	2016 Migrant Section Staff.doc	03/16/2016 9:02:11 AM	Transitory - some are recent	ADM00011
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	Migrant Section Staff 06-2012.doc	02/02/2015 11:05:35 AM		
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	Migrant Section Staff 11.09.16.doc	11/09/2016 11:21:45 AM		
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	MLE Staff Contact Info 05.04.17.doc	05/15/2017 1:58:24 PM		
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	agenda 12-01-09.doc	12/01/2009 9:45:08 AM	MSA Meeting minutes and report	ADM00026
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	meeting agenda June 20 2008.doc	05/28/2008 2:26:35 PM		
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	Migrant Staff Agenda for Nov 30.doc	11/29/2010 3:17:32 PM		
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	Migrant Staff Agenda.doc	02/09/2006 5:22:55 PM		
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	Migrant Staff Meeting Agenda-Nov.30.2007.doc	11/28/2007 10:19:10 AM		
\\dwdnafems1c1\vol1\DET\BMRLS\Migrant\Admin	minutes 12-01-09.doc	12/01/2009 6:09:27 PM		

Benefits of Inventories

- **Distributes responsibility of managing records**

- **Helps keep track of decisions and progress**

- **Provides a visual representation of very complicated structures that have been created over time**

Key Project Pieces

✅   **State Agency e-record identification and management**

✅🟨   **Content transfer and acquisition from agencies**

✅🟨🟥   **E-Records management testing at the agency level**

🟨🟥   **Repository development (Preservica)**

🟥   **Access to state records via Preservica / Catalog**

Transfer Piece

- **In-house developed transfer tool → Exactly (AVPreserve)**

- **Guidance documentation and forms for transferring e-records:**
  - Preparing records for transfer
  - File format guidance
  - Inventory and metadata templates
  - Transfer agreement

Coming up

- **Web site**

- **Documentation**

- **Communications coming out via social media**

- **Working on the technology**
  - Versatile to Onbase

- **Working on the Preservation System**

Documentation

- **Best practices**
  - File naming
  - File organization
  - Share drive management
  - Photo management
  - File formats
  - Digitization **** This is new

- **Other Docs**
  - Tools Guides
  - Redaction policies
  - Access policies
  - Transfer Guidance
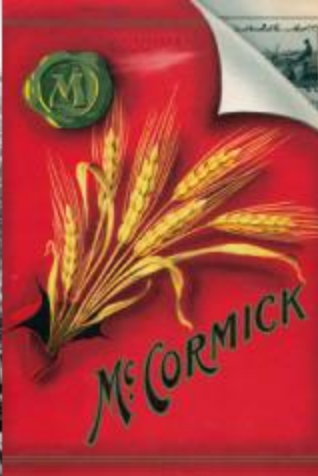 - How To's
    (ex: inventories)

Questions?

Feel free to contact us!
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THANK YOU

WISCONSIN HISTORICAL SOCIETY

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