



WISCONSIN
HISTORICAL
SOCIETY

Guidance and GUs

Developing an E-Records Transfer Process



NHPRC Grant

Wisconsin State Preservation of Electronic Records Project

WiSPER



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

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

 Year 1

 Year 2

 Year 3

Key Project Pieces



Content transfer and acquisition from agencies

Transfer Piece

Tool (GUI)
Exactly



Guidance

Best practices

Transfer instructions

Forms and templates



Exactly

- **Free, open source**
- **Safe remote transfer of digital data**
- **Features:**
 - “Enhanced” BagIt packages (bags)
 - Customizable metadata templates
 - Fixity checking
 - Email notifications
 - Supports FTP/SFTP transfer
 - Integrates into file sharing workflows with Dropbox, etc.



Bag Structure

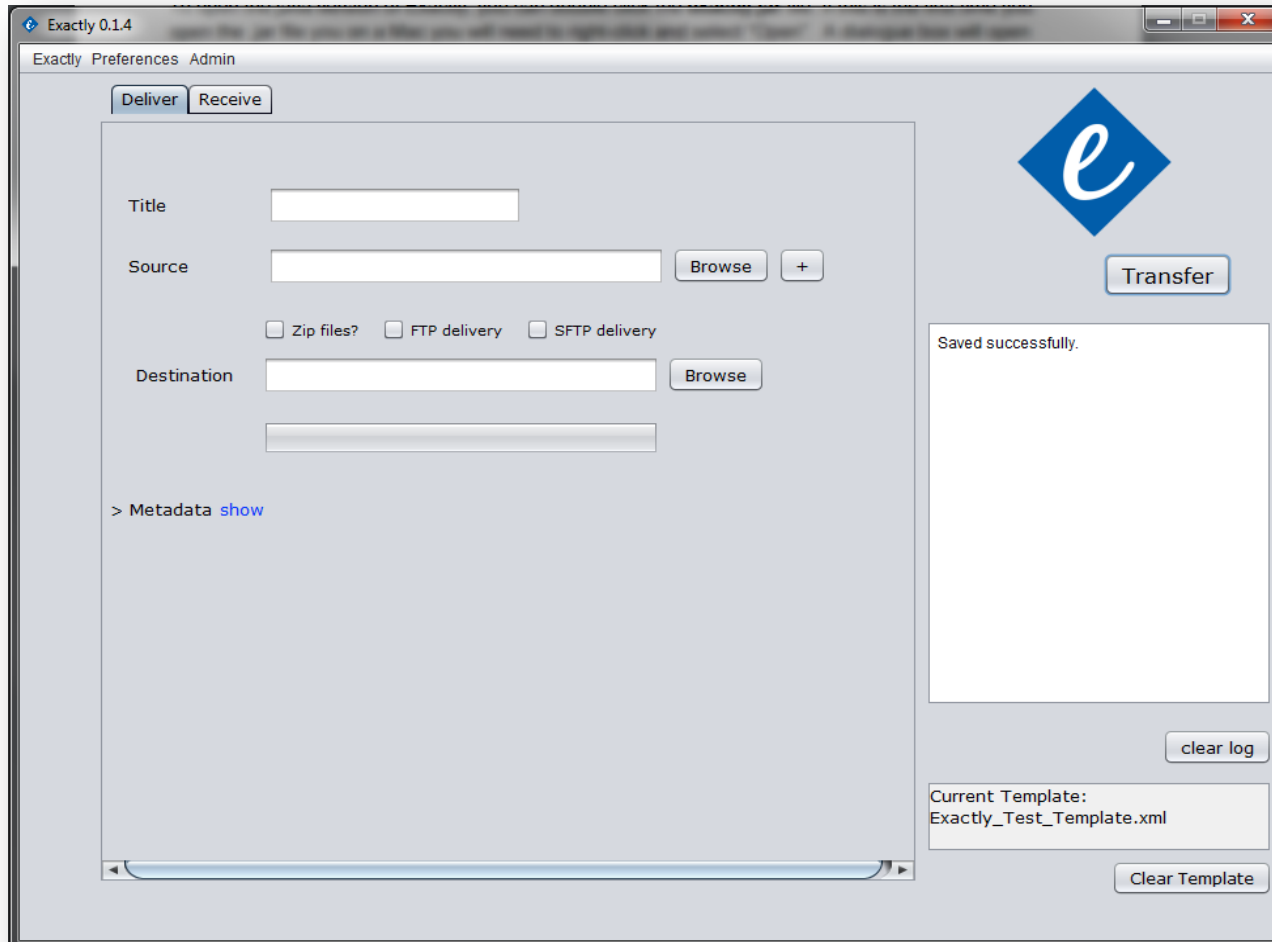
<bag> /

bagit.txt	Bag declaration – required BagIt element
bag-info.txt	Bag metadata – optional BagIt element
manifest-md5.txt	Payload manifest – required BagIt element
tagmanifest-md5.txt	Tag manifest – optional BagIt element
data /	Payload directory – required BagIt element
[payload files]	

Exactly Bag Structure

<bag> /		
	bagit.txt	Bag declaration – required BagIt element
	bag-info.txt	Bag metadata – optional BagIt element
	bag-info.csv	Bag metadata (csv) – Exactly
	bag-info.xml	Bag metadata (xml) – Exactly
	manifest-md5.txt	Payload manifest – required BagIt element
	tagmanifest-md5.txt	Tag manifest – optional BagIt element
	FileSystemData.txt	File system information – Exactly
	TransferComplete.txt	Transfer report – Exactly
	data /	Payload directory – required BagIt element
	[payload files]	

Exactly GUI

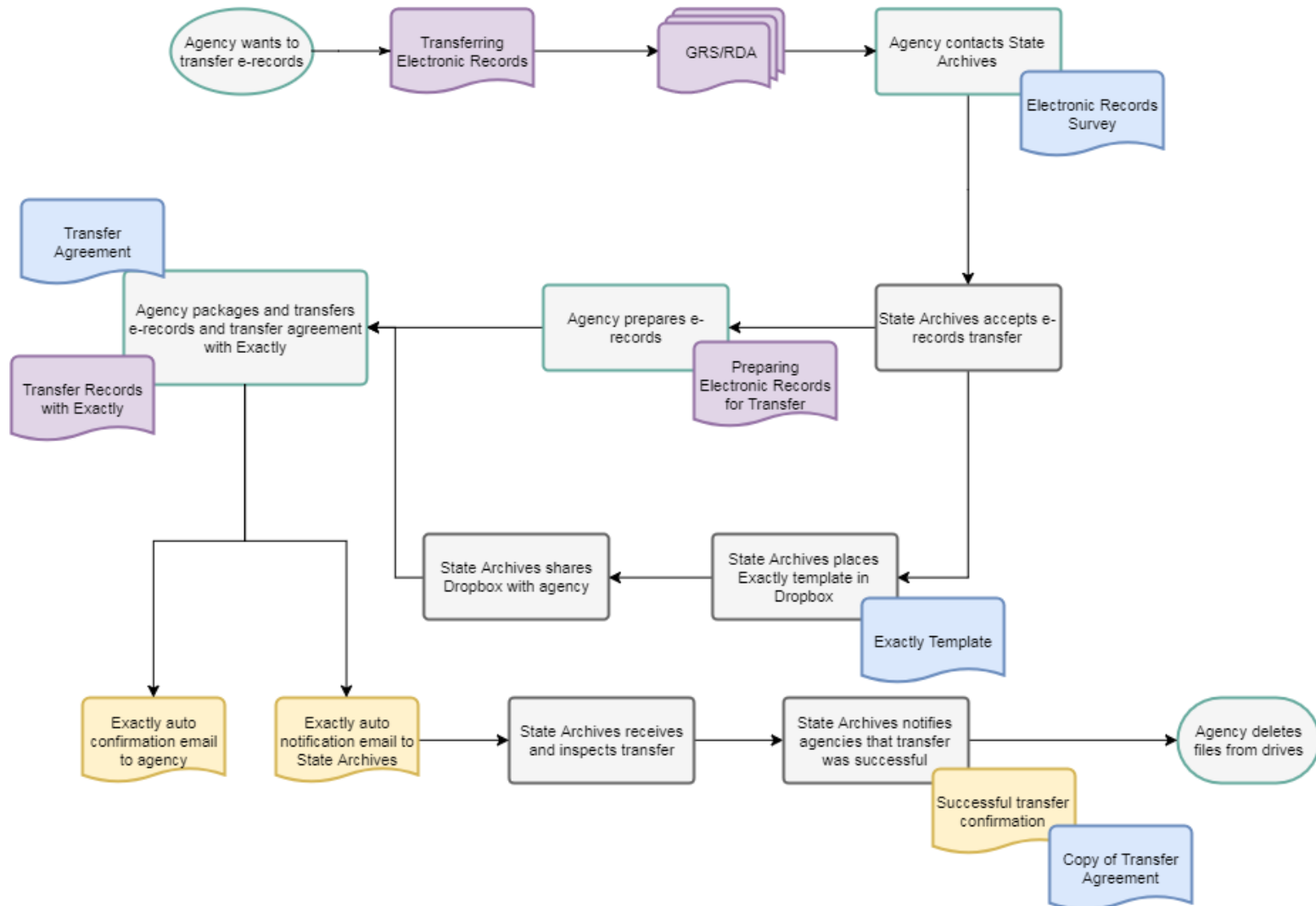


Exactly and Dropbox

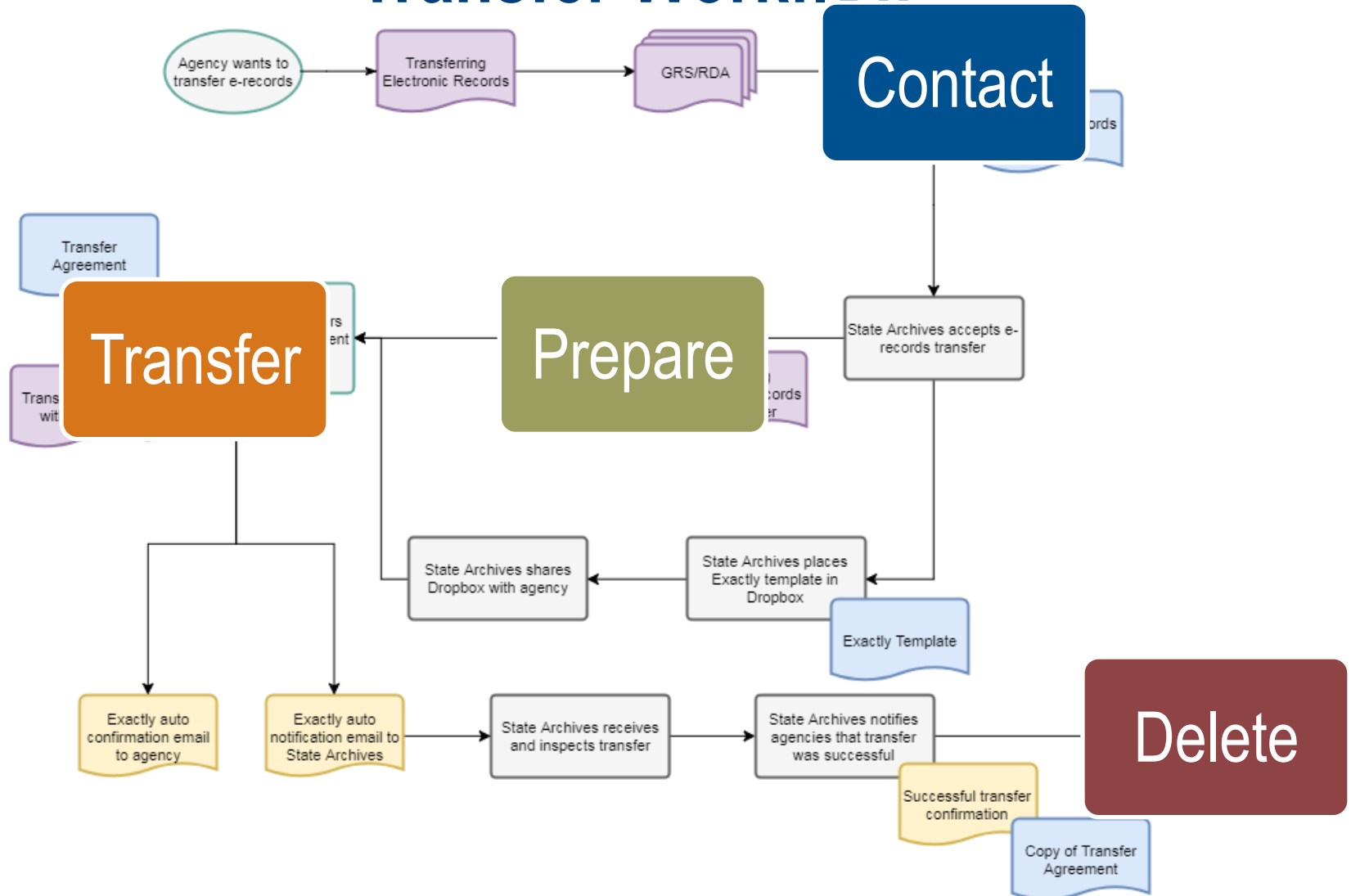
- **Requires:**
 - Both parties have Dropbox accounts
 - Shared folder between sender and recipient
 - Local Dropbox directory watched by Dropbox application
- **Dropbox:** cloud transfers, easy to use, built-in encryption
- **Exactly:** fixity checking, error logging, automatic notifications



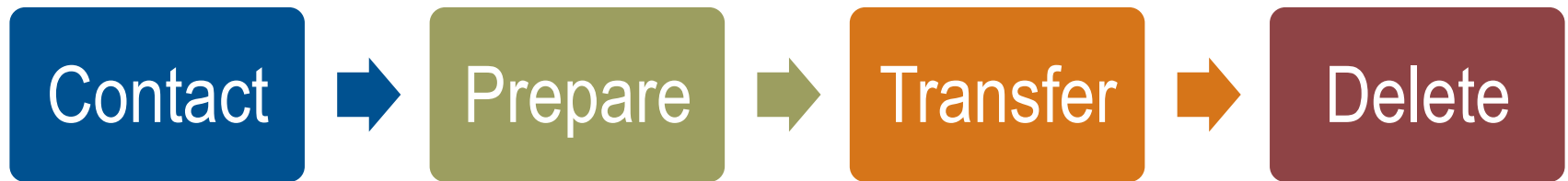
Transfer Workflow



Transfer Workflow



Transfer Workflow



Contact

Electronic Records Survey

- **Surveys information about:**
 - Content (records creators, records schedules, date range)
 - Format
 - Access (statutory restrictions, PII)
- **Collected via email**



ELECTRONIC RECORDS SURVEY

This survey is intended to assist in the collection of data about electronic records as both the creating agency and the State Archives prepare for transfer.

The State Archives accepts electronic records that are governed by a records retention schedule with a disposition of **transfer**. It is the responsibility of the creating agency to appropriately manage records prior to transfer, with good faith effort made by the records creator (or records manager) to delete non-records, transitory records, and purely personal material.

State Archives staff are not familiar with the inner workings of each state agency, so while staff will make efforts to screen for personally identifiable information (PII), non-records, transitory records, and purely personal material, this material **may** be made available to the public if transferred.

Contact information for the person transferring these records

Name: _____ Phone: _____
Agency: _____ Email: _____

Person to contact for questions about this material (if different than above)

Name: _____ Phone: _____
Agency: _____ Email: _____

What records schedule(s) is (are) associated with these records? _____

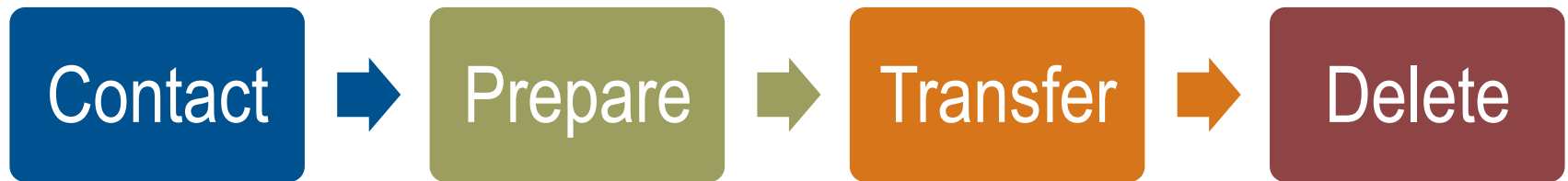
When will the records be transferred to the State Archives? _____

Total size of the files being transferred in gigabytes: _____

What method will be used to transfer the records?

☐ Exactly ☐ CDs
☐ Hard drive/removable media ☐ Other, please describe: _____

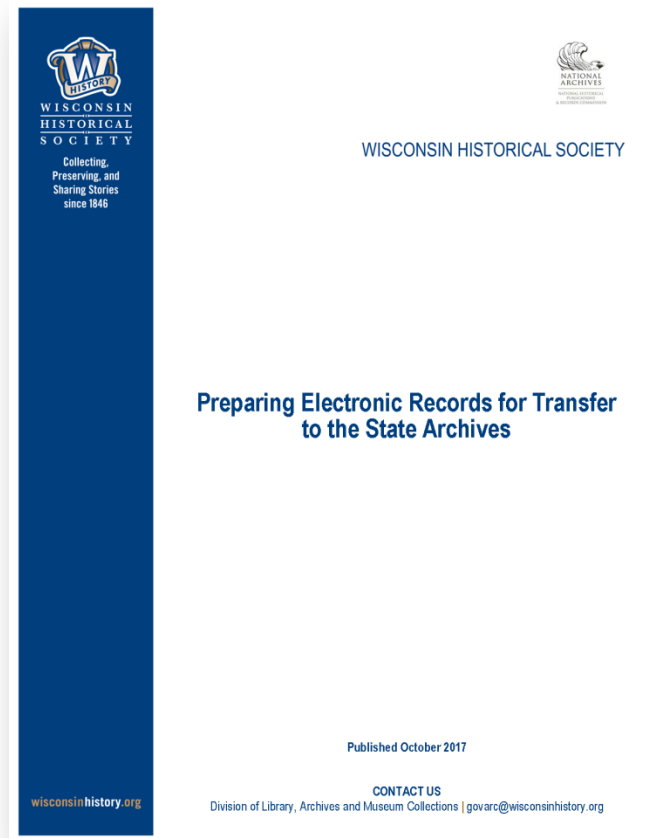
Transfer Workflow



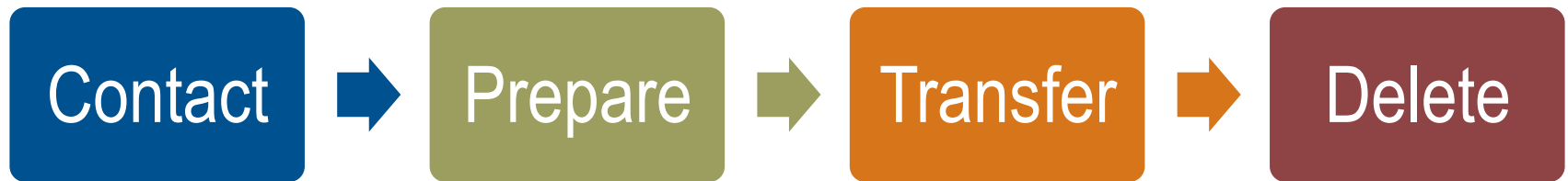
Prepare

Preparing Electronic Records for Transfer

- **Guidance on:**
 - Creating inventories
 - Items to purge
 - Making sense of your records
 - Special handling



Transfer Workflow



Transfer

Electronic Records Transfer Agreement

- **Covers:**
 - Practices specific to processing e-records
 - Privacy
 - Due diligence
 - Storage media
- **Included in transfer**



ELECTRONIC RECORDS TRANSFER AGREEMENT

I understand that upon transfer, the State Archives will become the custodian of the transferred records. I have followed the guidelines for [Preparing Electronic Records for Transfer to the State Archives](#).

I. Discretionary practices specific to electronic records

The State Archives, at its discretion, may conduct the following actions on the transferred records:

- Disable or bypass passwords or encryption systems, if any, to gain access to the transferred records.
- Recover deleted files or file fragments, if any, and provide access to these records.
- Provide access to log files, system files, and other similar data that document use of computers or systems, if any are received with the materials.
- Delete any files that are not deemed to be of historical long-term value.

II. Privacy

It is the responsibility of the transferring agency to screen for records that contain personally identifiable information and/or statutorily restricted material. The State Archives will provide a secondary review of the transferred records. Please indicate whether or not these records contain private information:

- ☐ To the best of my knowledge, these records do not contain private information.
- ☐ To the best of my knowledge, these records are likely to contain private information.

Please check all that may apply:

- ☐ Social Security numbers
- ☐ Passwords or PINs
- ☐ Credit card numbers
- ☐ Financial records
- ☐ Medical records
- ☐ Educational records
- ☐ Other, please specify: _____

- ☐ I have documented the location of these items on the Electronic Records Survey that was completed for this transfer (N.B. include any additional notes in the comments section below).

Transfer

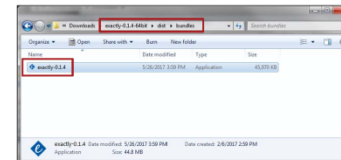
Transfer Records with Exactly

- Step-by-step instructions on downloading and using Exactly
- Supplements Exactly User Guide with:
 - Setting up Exactly with Dropbox
 - Metadata instructions (data dictionary)

SET UP EXACTLY

1. Download the appropriate version of Exactly here: <https://www.wisconsinhistory.org/Tools/Exactly/>. If you need additional assistance, you can find the official **Exactly User Guide** here, with download and installation instructions. You may need to contact your IT department to install Exactly for you.
2. Download the **State Archives transfer template** from the shared Dropbox folder. This is an XML file that will configure the transfer settings in Exactly and pre-populate Exactly with information specific to your agency. Save the template in a place where you can access it again if you need to.
3. Install and open Exactly:

For Windows users, open the Exactly zip package. Inside the main folder, go to **dist 1 bundles** and find the Exactly Windows Executable (.exe) file. Copy and paste this file somewhere you can find it in the future. You might even want to pin it to your task bar when you open it.

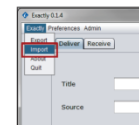


Double click the file to open the application. Your computer may ask you if you are sure you want to run this file – you can agree to this.

Every time you open the file, your computer may ask you if you are sure you want to install Exactly. You can agree to this – it just means that it is going to temporarily install the files that it needs to run the program on your computer.

4. Import the **State Archives transfer template** into Exactly:

In the toolbar, select **Exactly > Import**.



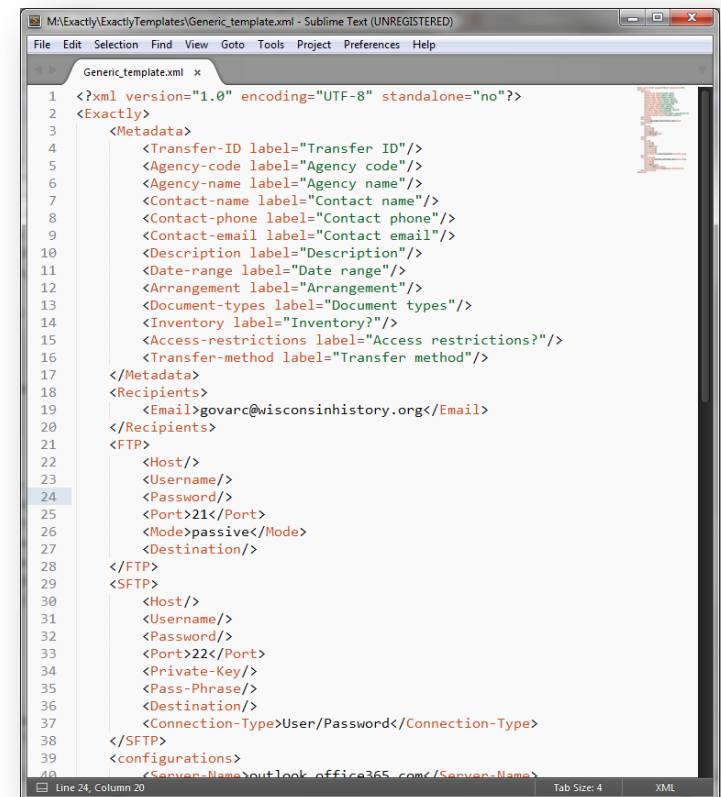
Last Updated October 2017

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Transfer

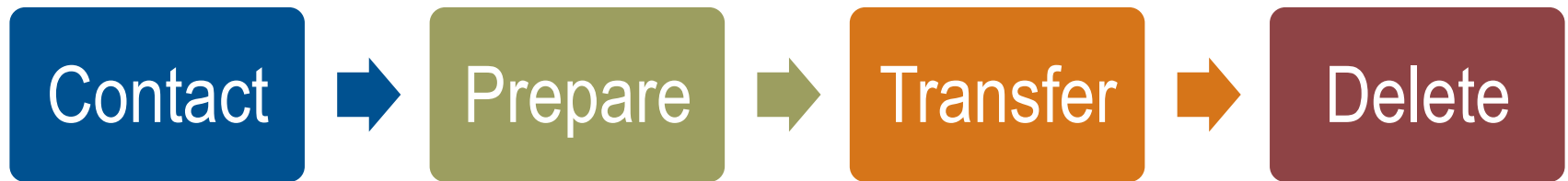
Exactly Metadata Template

- XML file created in Exactly
- Specifies:
 - Metadata fields
 - Email settings
 - FTP/SFTP settings
- Placed in shared Dropbox folder and imported by agency
- Also available as PDF form



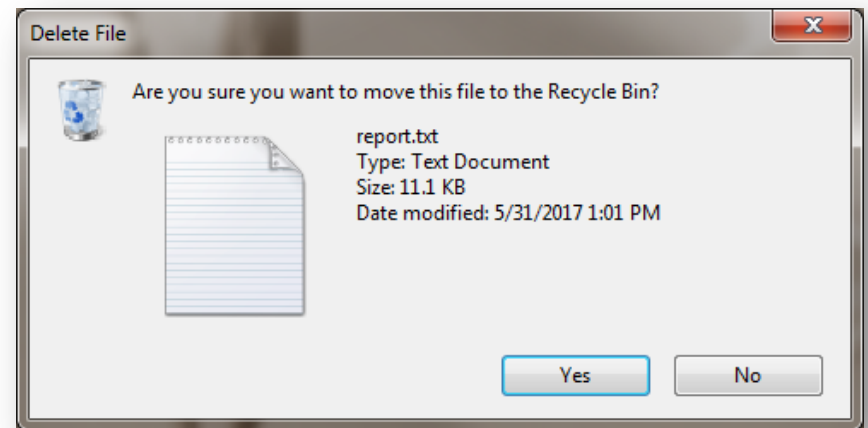
```
<?xml version="1.0" encoding="UTF-8" standalone="no"?>
<Exactly>
  <Metadata>
    <Transfer-ID label="Transfer ID"/>
    <Agency-code label="Agency code"/>
    <Agency-name label="Agency name"/>
    <Contact-name label="Contact name"/>
    <Contact-phone label="Contact phone"/>
    <Contact-email label="Contact email"/>
    <Description label="Description"/>
    <Date-range label="Date range"/>
    <Arrangement label="Arrangement"/>
    <Document-types label="Document types"/>
    <Inventory label="Inventory"/>
    <Access-restrictions label="Access restrictions"/>
    <Transfer-method label="Transfer method"/>
  </Metadata>
  <Recipients>
    <Email>govarc@wisconsinhistory.org</Email>
  </Recipients>
  <FTP>
    <Host/>
    <Username/>
    <Password/>
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    <Mode>passive</Mode>
    <Destination/>
  </FTP>
  <SFTP>
    <Host/>
    <Username/>
    <Password/>
    <Port>22</Port>
    <Private-Key/>
    <Pass-Phrase/>
    <Destination/>
    <Connection-Type>User/Password</Connection-Type>
  </SFTP>
  <configurations>
    <Server-Name>outlook_office365.com</Server-Name>
  </configurations>
</Exactly>
```

Transfer Workflow



Delete

- After automated confirmation from Exactly AND confirmation from State Archives
- State Archives becomes official owner of the records – all others must be deleted



Website



<https://www.wisconsinhistory.org/Records/Article/CS15415>

Next Steps & Challenges

- **Process needs to be tested!**
- **May be revised, depending on feedback**
- **Cannot be used for all transfers**
 - Former governor's office records
- **Currently, Exactly imposes 200GB limits on transfers – will be expanded in next release**
- **Digital preservation software TBD – how will it integrate?**

Questions?



Hannah Wang

Electronic Records Project Archivist

hannah.wang@wisconsinhistory.org

Sarah Grimm

Electronic Records Archivist

sarah.grimm@wisconsinhistory.org

[https://www.wisconsinhistory.org/
Records/Article/CS15415](https://www.wisconsinhistory.org/Records/Article/CS15415)



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THANK YOU

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