

Current State of Electronic Records in Government

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WISCONSIN
HISTORICAL
SOCIETY

Wisconsin State Preservation of Electronic Records Project



Wisconsin Historical Society

- State Archives
- De facto state library
- Regional federal repository
- American history library for UW-Madison
- Manuscript repository



Image ID 82269

Paper Records

Each year we receive about 1100 cubic feet of paper records from state agencies and local units of government



The process is a well-oiled machine



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Electronic Records

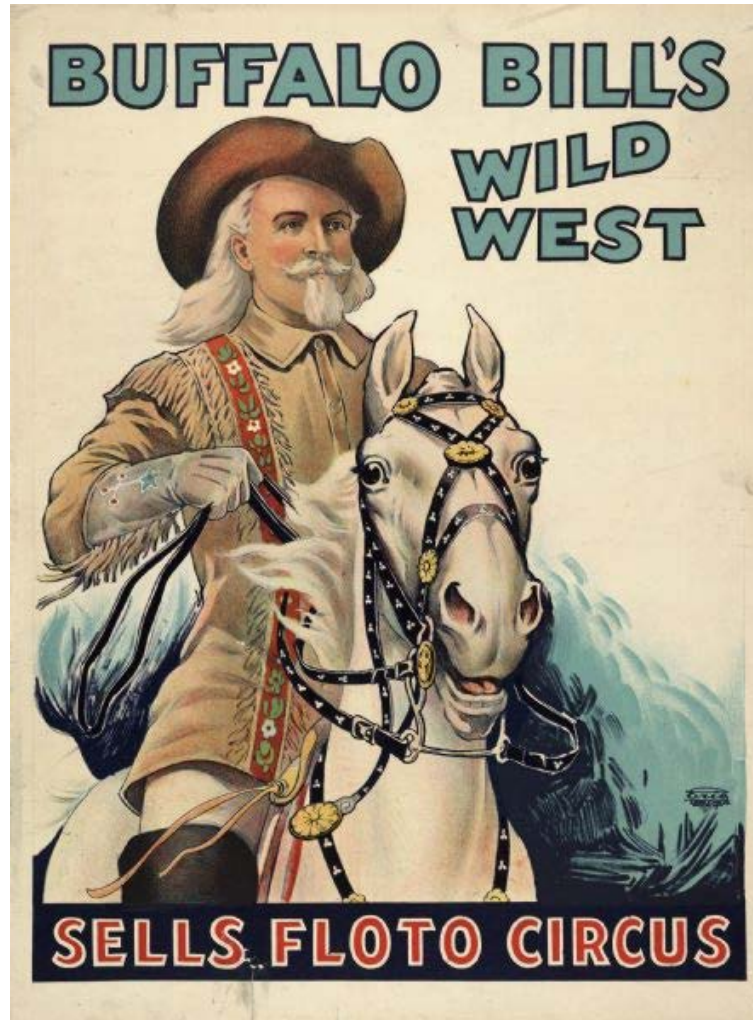


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WiSPER Project

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.

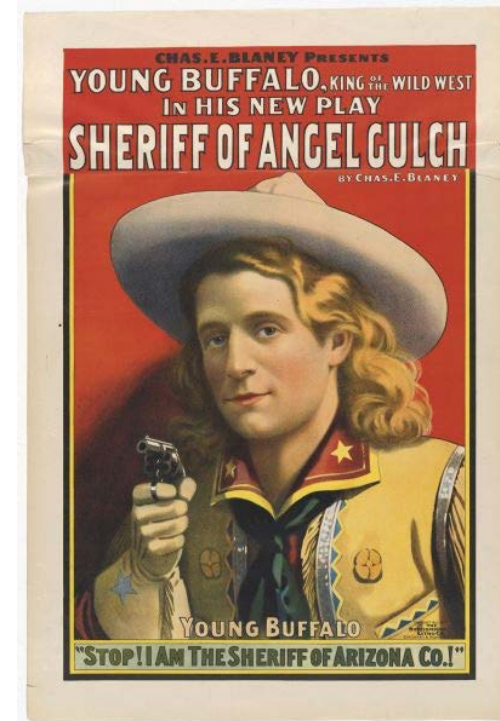


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Key Project Pieces

- ✓ 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 via repository / catalog

What Are We Doing?

- Evaluations of personal and share drives
- Identifying orphans
- Format migrations where deemed necessary
- Diagramming institutional processes
- Identifying record owners



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Shared Drives: Inventory

	A	E	F	G	H
1	Folder Name	General Summary of Contents	Assigned To	Proposed disposition	Final Disposition
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

Inventory Next Steps

- Staff beginning work in shared drives
- Training (what is a record, schedule, RDA, etc...)
- Creating processes
- Deduplication
- Reorganization of shares

Governor's Office

Action: Evaluate/Describe/Record Processes

The Products:

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



Image ID 34333

GOV-Workflows

GOV-Employee Tracker

GOV-RDA Cheatsheet

DWD

- Grant focus is smaller (Secretary's 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

Files

+	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				

Folders

33							
34	Directory	of S:\SO\S	O-Share\SO-Admin\D	WD Overview 2010 for New Admin_ADM00021_EVT_2	30 files	2010-2011	Transition / info for new admins - do any of these describe
35				ys			policy programs and need to be transferred to WHS?
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							

Grant Changes

- Working on the transfer process
 - Build vs. Open Source Tool (Exactly)
- Working on the technology
 - Versatile to Onbase
- Working on the Preservation System
- New partners in various pieces of the grant



Image ID 108219

Sharing our Work

Documentation

- File naming
- File organization
- Share drive management
- Photo management
- File formats
- Digitization

Other Guides

- Tools Guides (preview later today!)
- Redaction policies
- Access policies
- Transfer Guidance
- How To's
(ex: inventories)

OnBase – Enterprise Document Management System Update

8/3/2017



Wisconsin Department of Administration

Agenda

- Document Management/OnBase Overview
- Document Retention
- Records Management
- Current Project Status
- Next Steps

Goals of Document Management

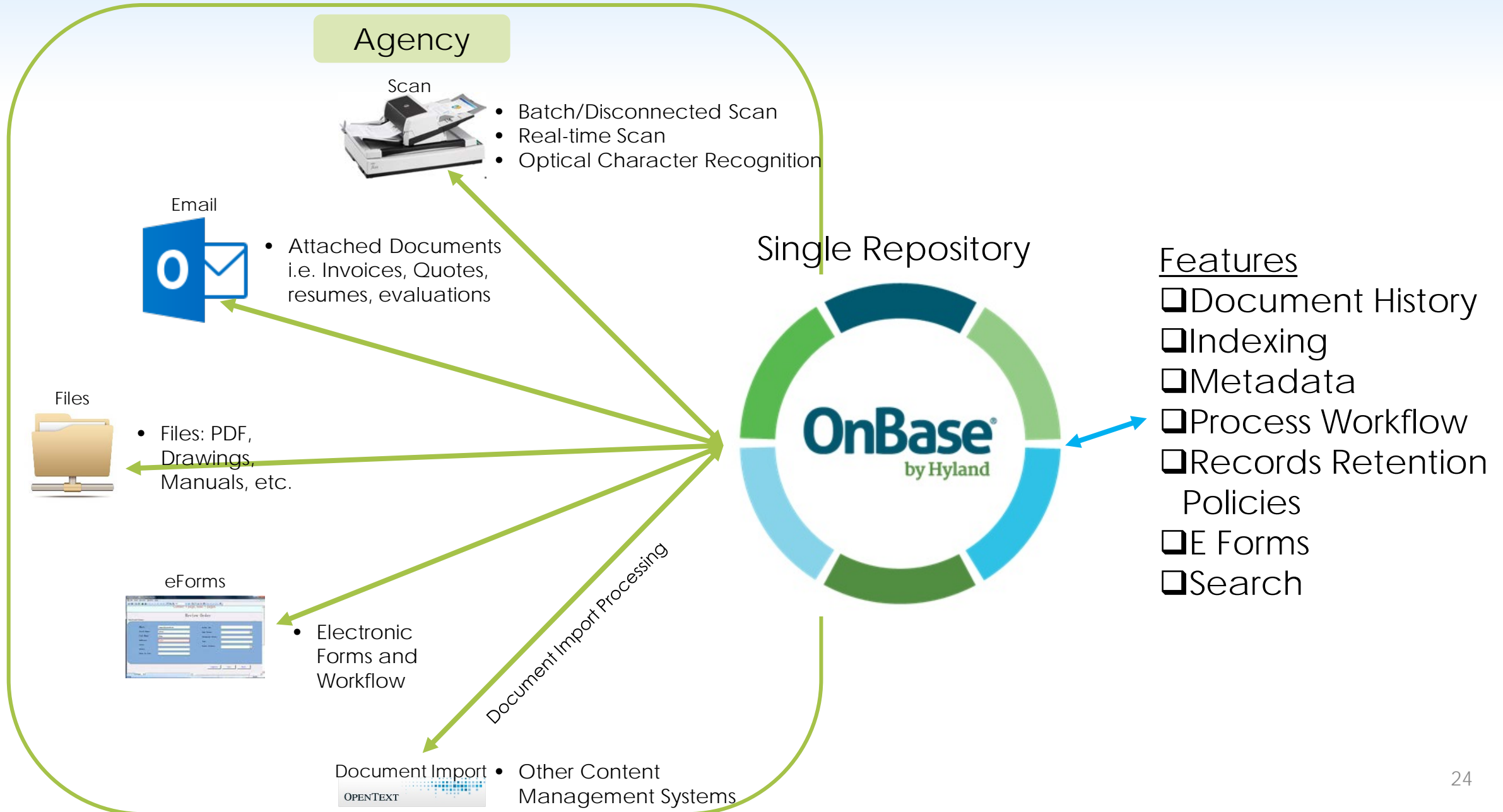
- **Capture:** Captures images into electronic files, as well as pulls specific data off documents, so you can keep all content in one secure location.
- **Manage:** Document retention helps efficiently manage the preservation and destruction of documents.
- **Search:** Access documents using tools such as full-text search to make document retrieval more efficient.
- **Integrate:** OnBase integrated with PeopleSoft saves time and reduces risk of error.
- **Measure:** Provides reports and a real-time view of data.
- **Store:** Secures content and controls records to ensure information is safe.

Existing DET OnBase Capabilities

- **Capture**
 - Production Document Imaging (Batch)
 - Virtual Print Driver
 - Document Import Processor
 - AnyDoc OCR/IDC
- **Access**
 - Concurrent & Named Clients
 - Mobile Access for iPhone, iPad & Android
 - Full-Text Search for Autonomy IDOL
- **Integrate**
 - Enterprise Application Enabler
 - Enterprise Integration Server
 - Unity API Integration Toolkit
 - Integration for Microsoft Outlook 2010/13
- **Manage**
 - Workflow Server (Enterprise)
 - Workflow Clients (Concurrent & Named)
 - Unity Forms
 - Rules Engine
 - EDM Services
- **Store & Measure**
 - Multi-User Server (Enterprise)
 - Unity Client Server
 - Web Server
 - Distributed Disk Services
 - **Records Management**
 - Reporting Dashboards

The OnBase logo features the word "OnBase" in a bold, blue, sans-serif font. A small registered trademark symbol (®) is located at the top right of the letter "e".

How do I get Documents into OnBase?



Document Retention



Document Retention (16) manages the retention and disposition of stored documents according to predefined business rules per class of document. The destruction process is initiated by the passage of time, allowing for automatic destruction and/or removal from OnBase. As a result, organizations avoid fines and reduce legal risks associated with expired content. Document Retention is often the initial, critical component of a completely automated records management solution.

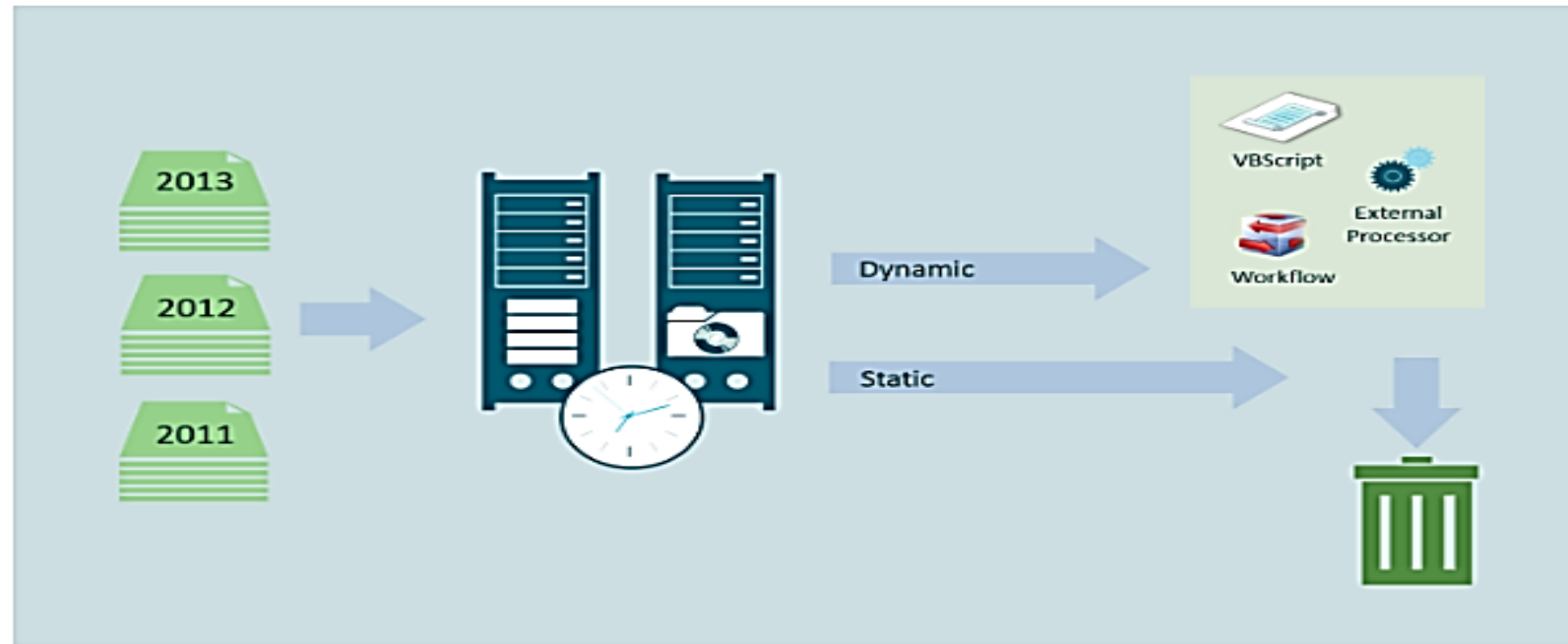
Document Retention Benefits

Benefits

- **Enforces a structured retention policy** for document destruction consistently across the enterprise
- **Supports compliance** with corporate and legal regulations through defined and enforced criteria for maintaining and destroying documents
- **Minimizes legal risks** associated with accumulation of expired records
- **Reduces processing expense** associated with manual deletion of unneeded documents
- **Save storage space** through the automatic destruction of documents that no longer have value

Document Retention Process

Design



Records managers can establish document retention schedules based on OnBase Document Types and/or Document Type Groups. When the retention period expires, the documents are automatically deleted from OnBase according to two methods:

1. **Static Retention** marks documents for deletion after a predefined retention period has been met, based on the document's creation or process date.
2. **Dynamic Retention** allows documents to be routed through OnBase Workflow, VBScript or evaluated by an External Processor before final purge (automatically or after user intervention).

Document Retention Reporting

Interface

Document Retention Configuration Report on 01/28/2008 at 4:25:05PM					
PAGE: 1					
Process Type	Retention Period			Date Used	
Univ - Correspondence (Purge) (Process Name) UNIV - Correspondence	Dynamic	Days 0	Months 6	Years 0	Document Date
Univ - Correspondence (VB) (Process Name) UNIV - Correspondence	Dynamic	Days 0	Months 6	Years 0	Document Date
Univ - Info Cards (Process Name) UNIV - Information Cards	Static	Days 0	Months 0	Years 1	Document Date
Univ - Questionnaires (Purge) (Process Name) UNIV - Alumni Questionnaires	Dynamic	Days 0	Months 3	Years 1	Document Date
Univ - Questionnaires (WF) (Process Name) UNIV - Alumni Questionnaires	Dynamic	Days 0	Months 3	Years 1	Document Date

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Document Retention Configuration Report

Enables Record Managers to view the retention plans associated to all document types across the entire repository. The report lists the Document Retention process type, associated Document Types, the retention period and the date used to determine expiration.

Records Management



OnBase Records Management (RM) (16) controls the retention of all associated business records securely organized within the OnBase Folders interface. The retention cycle of a folder is triggered by an event (or the passage of time), which ties records management strategies into organizational business processes. The module provides cutoff periods, retention plans and multiple destruction options. OnBase Records Management also offers exception handling as well as an administrative management interface.

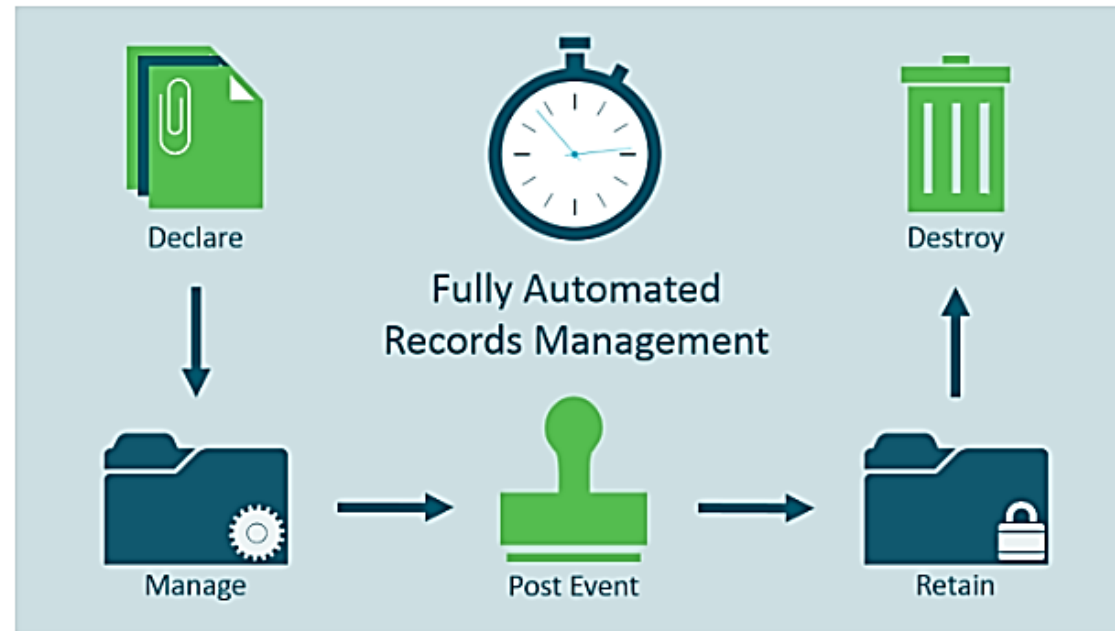
Records Management

Benefits

- **Enables complete life cycle management** from document creation to declaration through final disposition
- **Improves consistency and precision** by managing multiple documents as a single record
- **Automatically declares documents as records** using embedded, rules-based conditions
- **Ensures timely disposal of qualified records** automatically or after required approval
- **Minimizes legal risks** associated with accumulation of expired records
- **Manages all electronic records** within an enterprise OnBase ECM solution

Records Management Process

Design



Documents, automatically declared as records (**Declare**), are auto-folded into a managed folder that is in Open Status (**Manage**). An Event occurs (**Post Event**) on the record (folder) (e.g. employee separated, court case closed). When the event is posted, the record is moved to Closed Status, locking the record and preventing modification (**Retain**). This initiates the Retention Plan for the record. At the end of the retention period, the record, all documents and all metadata are destroyed (**Destroy**).

Current State of WI Projects

- **Enterprise Service Offering Available to all State Agencies**
 - Billed based upon transaction usage of the environment
 - Agencies can choose named or concurrent licensing
 - Storage is billed separately
- **STAR Integration**
 - Utilized to store P-File, Invoices, Expense Reports, etc.
 - Currently in User Acceptance Testing
- **DOA - Procurement Office – Contract Document Storage Project**
- **DOA - Records Center**
- **DHS – Radiology**
- **DNR – 15 Projects Identified**