Current State of Electronic Records in Government

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

BUFFALO BILL'S WILD WEST

Sells Floto Circus

Image ID 67515
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.
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
- Diagraming institutional processes
- Identifying record owners
# Shared Drives: Inventory

<table>
<thead>
<tr>
<th>A</th>
<th>General Summary of Contents</th>
<th>E</th>
<th>Assigned To</th>
<th>F</th>
<th>Proposed disposition</th>
<th>G</th>
<th>Final Disposition</th>
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<tr>
<td>2</td>
<td>Current Personal Files</td>
<td>Keep</td>
<td>Keep</td>
<td>Keep</td>
<td>Keep</td>
<td></td>
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<tr>
<td>3</td>
<td>Current Personal Files</td>
<td>Keep</td>
<td>Keep</td>
<td>Keep</td>
<td>Keep</td>
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<td>Keep</td>
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<td>5</td>
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<tr>
<td>6</td>
<td>Andrea</td>
<td>Michael E.</td>
<td>Keep and transfer</td>
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<td>7</td>
<td>Current Personal Files</td>
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<td>Keep</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Current Personal Files</td>
<td>Mullen</td>
<td>Evaluate</td>
<td>Deleted</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>9</td>
<td>Current Personal Files</td>
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<td>Keep</td>
<td>Keep</td>
<td>Keep</td>
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<tr>
<td>10</td>
<td>Ben Brewster M: drive - Lots of older/odd formats</td>
<td>Huelsbeck</td>
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<td>11</td>
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<td>Keep</td>
<td>Keep</td>
<td>Keep</td>
<td>Keep</td>
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<td>12</td>
<td>Current Personal Files</td>
<td>Keep</td>
<td>Keep</td>
<td>Keep</td>
<td>Keep</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Collection of Manuscript abstracts, EADs, Inventories, arrangements</td>
<td>Krause</td>
<td>Evaluate</td>
<td>Deleted</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>14</td>
<td>Lots of folders, but not much content. Much is likely out of date</td>
<td>Hemming</td>
<td>Evaluate</td>
<td>Deleted</td>
<td></td>
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<tr>
<td>15</td>
<td>No real content</td>
<td>Knies</td>
<td>Evaluate</td>
<td>Deleted</td>
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<td></td>
<td></td>
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<td>16</td>
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<td>Krause/Knies</td>
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<td>Several Accessions/Appraisals that were apparently printed out</td>
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<td>Deleted</td>
<td></td>
<td></td>
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<td></td>
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</table>
Inventory Next Steps

- Staff beginning work in shared drives
- Training (what is a record, schedule, RDA, etc...)
- Creating processes
- Deduplication
- Reorganization of shares
Action: Evaluate/Describe/Record Processes

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

<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>Size</th>
<th>File Name</th>
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<td>10:36 AM</td>
<td></td>
<td>WD Overview 2010 for New Admin_ADM00021_EVT_2 yrs</td>
</tr>
<tr>
<td>1/12/2017</td>
<td>4:00 PM</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6/15/2010</td>
<td>3:58 PM</td>
<td>62,976</td>
<td>06-16-10 Hessen Delegation.doc</td>
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<td>O-Share\SO-Admin\D</td>
<td>WD Overview 2010 for New Admin ADM0021_EVT 2 yrs</td>
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<tr>
<td>Directory of S:\SO\S</td>
<td>O-Share\SO-Admin\G</td>
<td>corgia Maxwell</td>
<td>15 files</td>
</tr>
</tbody>
</table>
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
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
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
How do I get Documents into OnBase?

Agency

- Batch/Disconnected Scan
- Real-time Scan
- Optical Character Recognition

Files
- Files: PDF, Drawings, Manuals, etc.

Scan
- Attached Documents i.e. Invoices, Quotes, resumes, evaluations

Email

- Attached Documents

Files Import Processing

- Electronic Forms and Workflow

Document Import

- Other Content Management Systems

Single Repository

Features
- Document History
- Indexing
- Metadata
- Process Workflow
- Records Retention Policies
- E Forms
- Search
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
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

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.
OnBase Records Management (RM) 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

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**