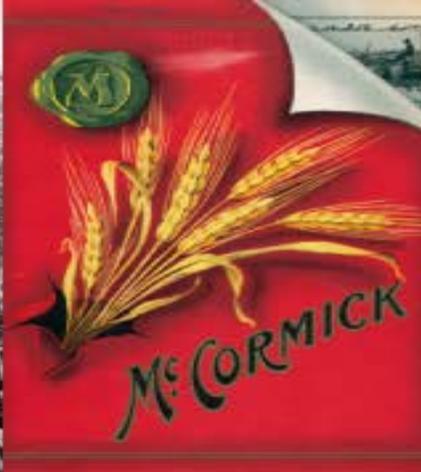


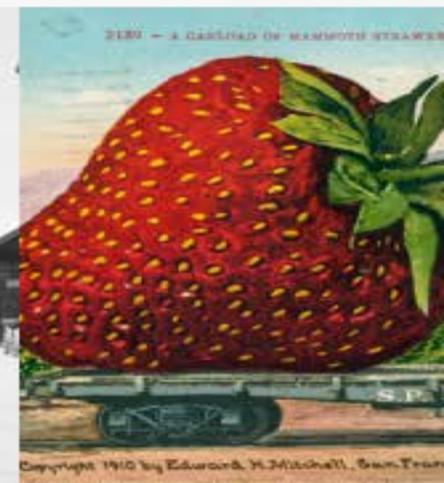
# Current State of Electronic Records in Government

LuAnn Leggett  
David Meyer  
Abbie Norderhaug



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



Image ID  
52555

# Electronic Records

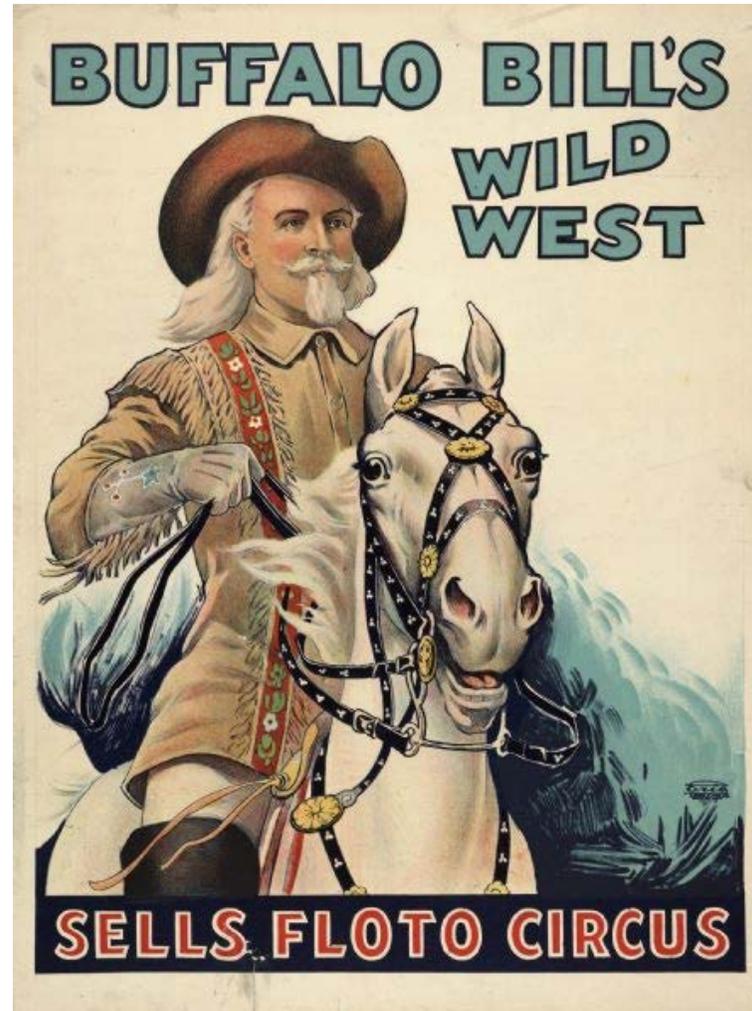


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# WiSPER Project

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.*

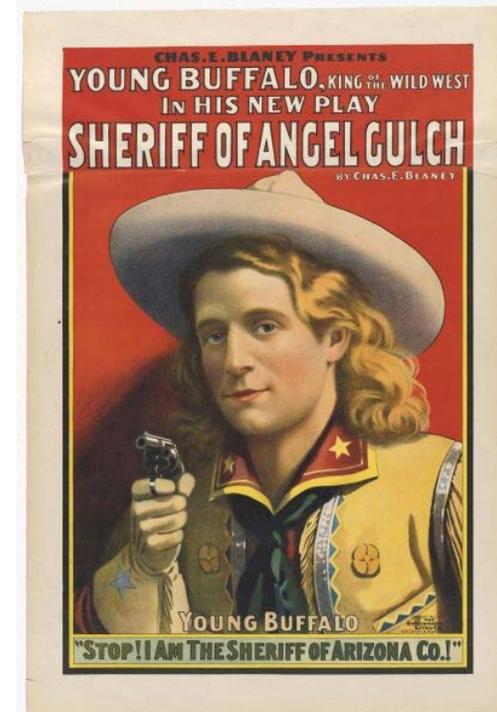


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# Key Project Pieces

- ✓ 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

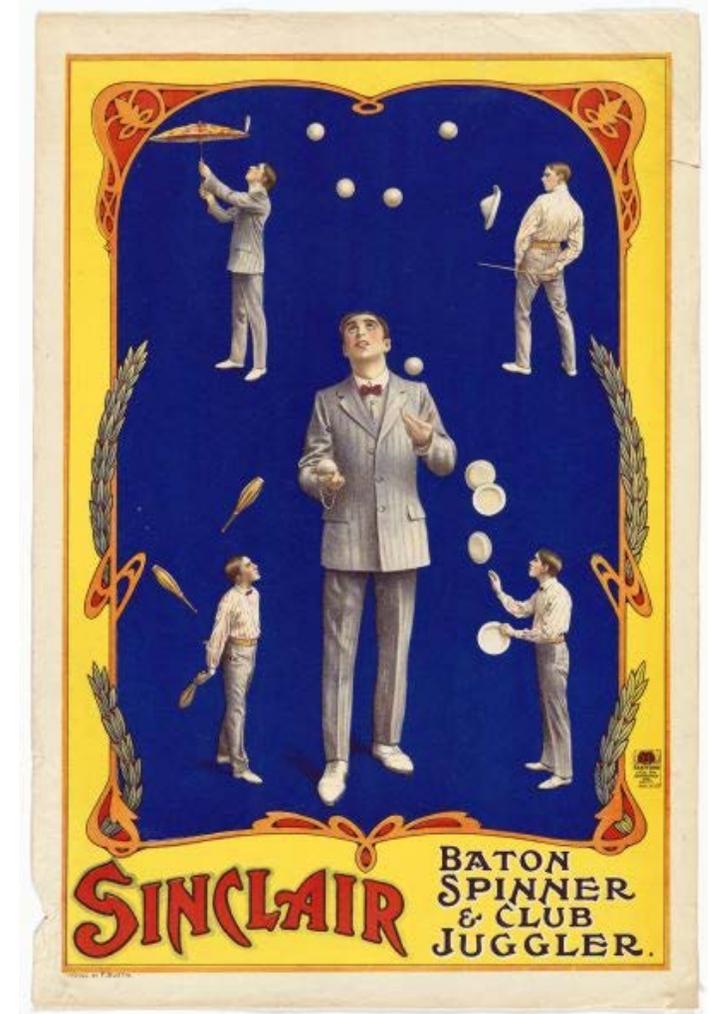


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# Shared Drives: Inventory

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

# 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 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							

# 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

**OnBase**<sup>®</sup>

# 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.

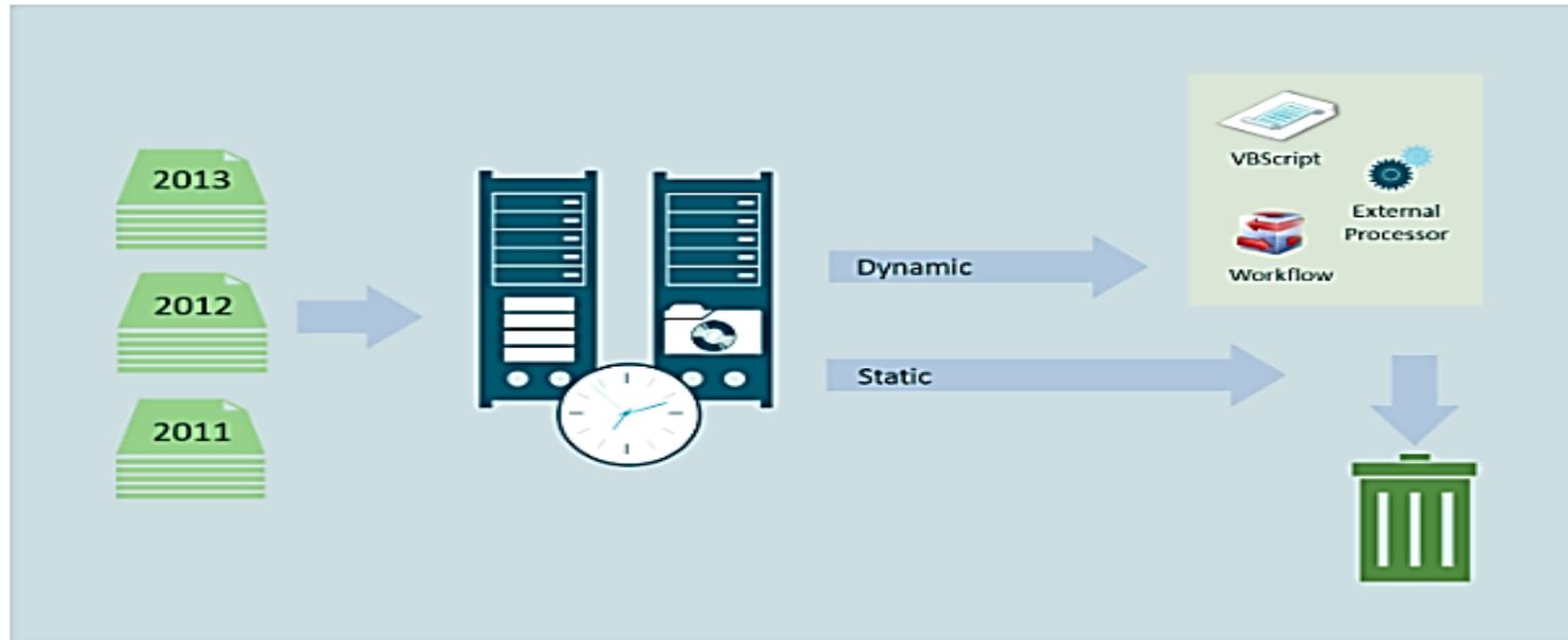
# Document Retention Benefits

## 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

Process Type	Retention Period	Date Used
Dynamic	Days 0 Months 6 Years 0	Document Date
Dynamic	Days 0 Months 6 Years 0	Document Date
Static	Days 0 Months 0 Years 1	Document Date
Dynamic	Days 0 Months 3 Years 1	Document Date
Dynamic	Days 0 Months 3 Years 1	Document Date

### *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.

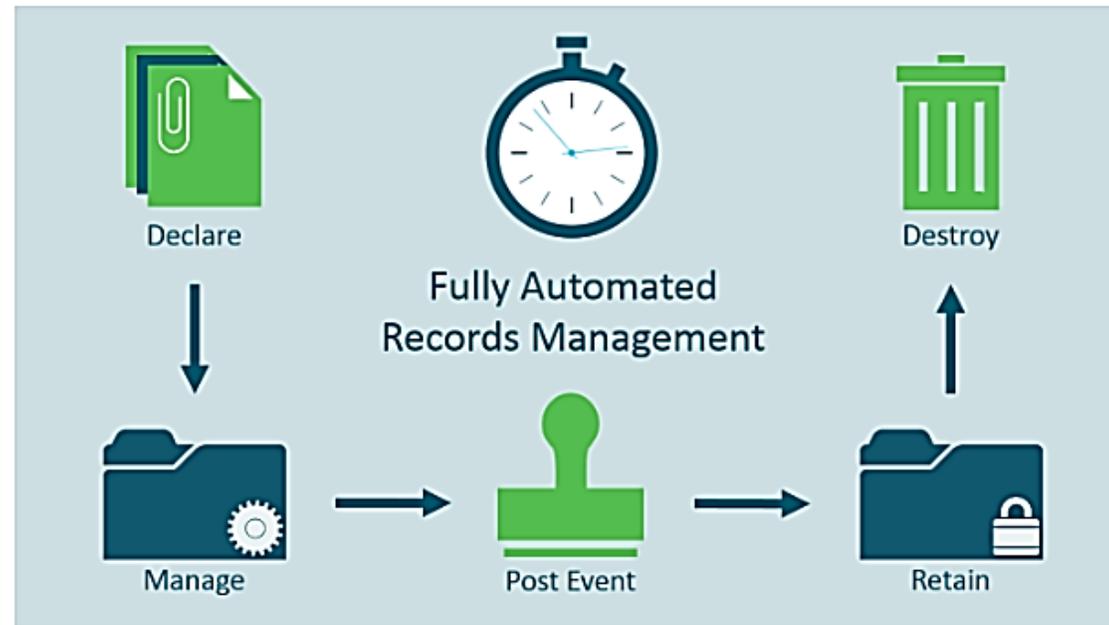
# Records Management

## 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**