


**THE OHIO STATE
UNIVERSITY**

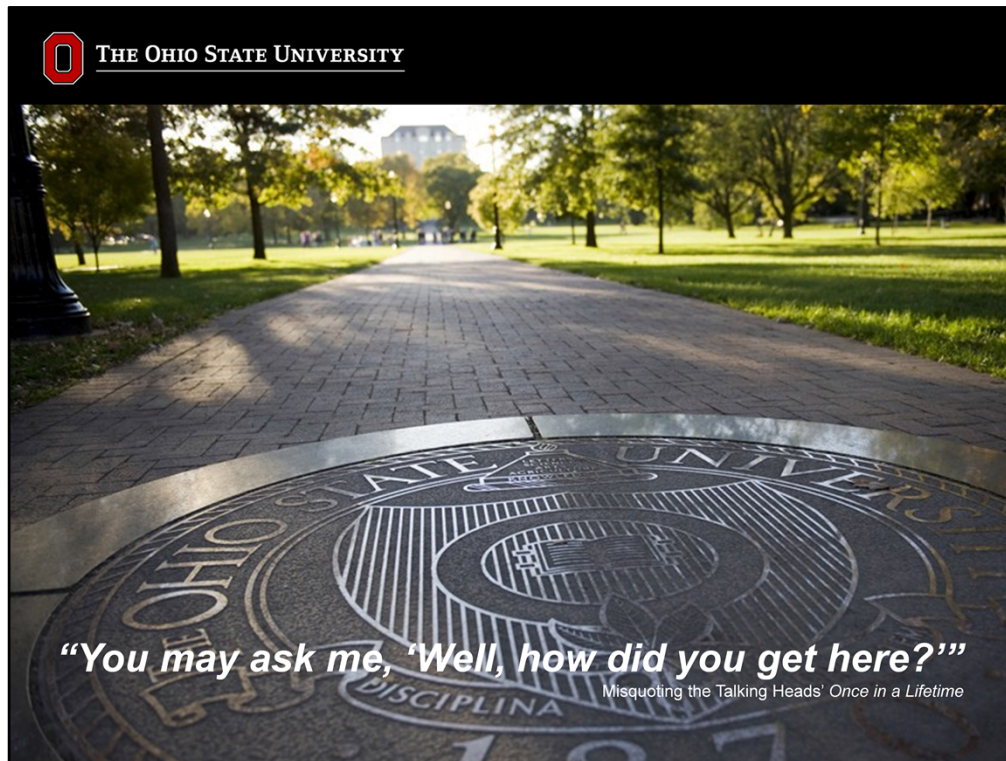


The (Đảo) of

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Processing for the OtP @ OSU

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Good morning! Dǎo is the Chinese concept that signifies the way, path or route.


So to misquote the Talking Heads, you may ask me “Well how did you get here? What was your Dǎo to MPLP and electronic records?”

For the past couple of years or so I have been involved in a project to begin to accession the correspondence and other manuscript materials of President Gee from an electronic document management system (an EDMS) as opposed to accessioning boxes of paper. This project pre-dates his decision to retire last June, and is meant to establish a means of accessioning presidential electronic records on a regular basis and to develop a framework for doing so beyond the Office of the President or “OTP”.

In reality, this project dates back to the point in fall of 2007 when President Gee arrived for his second go-around at OSU. He had had a document management system at Vanderbilt to manage his correspondence and wanted to implement something similar at OSU. For various reasons OTP's IT team determined that existing document management solutions utilized on campus did not meet their needs. They engaged the Office of the CIO to assist in the business process analysis and EDMS acquisition process. Due to my then dotted-line reporting role to OCIO I was added to the team.

The process of conducting the BPA, developing the RFP, interviewing vendors,

selecting a vendor and finally implementing a system took more than a year. And it is now 6-years on since the system was being implemented, and I wish I had lobbied for a records management module, had been more thorough in examining the system's exporting capabilities, and been more intimately involved in the implementation process--but we'll come back to all that.

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APPRAISAL

- Records appraisal via RM program:
 - Retention = xfer to archives
 - Retention = archival review = appraisal part II

“No amount of archival theory can provide a definitive answer to the question of exactly what to keep and what to discard. There is no scientific formula or master checklist that replaces the judgment and analysis of the individual archivist.”

Laura A. Millar,
Archives: principles and practices
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The University Archives at OSU, as an institutional archives, must decide what records to keep and which records OSU personnel can and should dispose of at the end of their lifecycles. OSU benefits from the fact that the records management program is tightly integrated with the Archives, whereby essentially the appraisal of records value for accessioning is accomplished via the records retention scheduling process.

Therefore we look to two record dispositions to determine what we collect; they are:

- Transfer to archives and
- Archival review

The “Transfer to archives” category is one that usually defines very narrow single record series such as Minutes or Annual Reports that clearly document the history of the campus; whereas the “archival review” record series identify larger buckets of functional record types that are usually desirable to collect to better document the University's history, but are in need of a final review (or appraisal) before we actively accession them.

So that while, yes we do have a “master checklist” of record series, in some cases as Laura Millar suggests:

“There is no scientific formula or master checklist that replaces the judgment and analysis of the individual archivist.”

| THE OHIO STATE UNIVERSITY | | | |
|--|----------|---------------------------------------|---|
| OHIO STATE UNIVERSITY OSU GENERAL RECORDS RETENTION SCHEDULE | | | |
| Administrative Records | | | |
| Record Series | IUC Code | Retention and Disposition | Notes |
| Accreditation Files University, college or department files documenting accreditation review by accrediting agencies. | ADM3020 | 10 years <i>Archival Review</i> | Review for continuing administrative or historical value |
| Advertising | JAR1000 | 5 years <i>Archival Review</i> | Review for continuing historical value |
| Annual Reports Annual report of the originating department. | ADM9910 | 3 years <i>University Archives</i> | One (1) copy must be transferred to the University Archives. All others may be destroyed. |
| Audits, Internal | ADM3010 | 4 years Destroy | n/a |
| Camp Registration Form | ADM9900 | 1 year | If incident occurs, record is covered under retention for |
| General Files, Upper Administrative Consists of files of the President's Office , deans, directors, chairs and upper-level administrators including email. | ADM9910 | 3 years <i>Archival Review</i> | Destroy all materials not documenting a significant action or interaction; transfer remainder to University Archives. |
| As of March 15, 2013 go.osu.edu/records Page 17 of 22 | | | |
| Consists of files of the President's Office , deans, directors, chairs and upper-level administrators including email. | | | |
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When we look at OSU's General Records Retention Schedule we see that the Office of the President's records falls into the "big bucket" record series **[CLICK]** "General Files, Upper Administrative" that has a 3 year retention w/archival review.

And while the notes direct the originating office to "Destroy all materials not documenting a significant action or interaction..."

...it is likely records will be transferred to the Archives that include materials that should have been disposed of by the originating office, that we will need to do so during processing. This occurs through:

- lack of will to actually identify records that may or should be disposed of or
- through benign ignorance.

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TRADITIONAL PROCESSING OF OTP RECORDS

- @ 3 years transferred to Archives
- Come with inventory
- When available more in-depth processing
 - Sub-series
 - De-duplication
 - Re-folding



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Traditionally, the University Archives receives records from the Office of the President, once they are three years old. Historically, this followed not only the retention schedule, but allowed the Office to maintain a history of correspondence providing information to assist the OTP staff in responding to current correspondence. These records are transferred to the Archives with a folder-level, which we utilize as the finding aid. That is all the processing that occurs until:

- a) The presidential term is complete and we have a complete record series and
- b) at such time as we have an appropriate volunteer available to process the records.

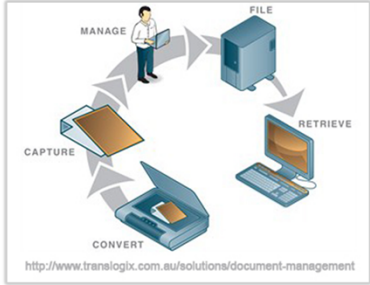
MPLP right? It is the way we've always have done it.

When we do have the opportunity to have the records further processed, it is still a light processing that re-organizes the records from a chronological-based system to one that is based upon sub-series. This process includes the re-folding of the documents and de-duplication.

Of the 14 OSU presidents (w/Gee serving twice) and 5 acting or interim presidents, we have “fully processed” all presidential records up to President Gee’s immediate predecessors, Karen Holbrook and Interim President Alutto.

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EDMS BENEFITS




- More timely accessioning
- OTP able to conduct business more effectively
- Rethinking retention

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With the implementation of an EDMS, the University Archives now not only has the opportunity to accession records in a more timely fashion, it also allows the Office of the President to retain copies to assist them in the correspondence management process. At some point the maintenance of the historical back-file will become burdensome, so we're beginning re-think the retention of this series for offices of this type. We are contemplating an Active+3 years retention, where "active" = "term of officer" but w/a disposition note that file copies are transferred to the archives on an annual basis, which allows the Archives to be relatively certain correspondence is complete.

This is not a blanket endorsement that electronic records should be scheduled differently, because they are electronic. But recognition that the electronic tools have changed the "business process" and as business processes change so may our retention, accessioning and processing practices.

...and this is where a records management module would come in handy; to have an annual trigger to export copies for the Archives and to allow a trigger to be set on all materials at the end of a presidency.

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INITIAL HARVEST EXTENT



<http://www.wikiart.org/en/camille-pissarro/the-harvest-of-hay-in-eragny-1887>

- Initial harvest:
 - 2008 through June 30, 2012
 - 176K docs
 - 140GB
- Subsequent harvests:
 - Annually June 30, 20YY-1
 - e.g. July of 2014 all docs thru June 30, 2013

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When we officially began to implement the export module about 9-months ago we anticipated harvesting all the documents in the EDMS from its inception in 2008 that included a small back-file conversion, thru June of 2012. Then annually we would harvest in July the additions thru June of the previous year.

We have calculated the initial take would be approximately 176,000 documents totaling 140GB.

And as we are still in the process of getting the export the way we want it, that initial harvest will likely go from 2008 thru June 30, 2013.

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EDMS FUNCTIONALITY HEADACHES



- Export = 1 doc @ a time w/o export module
- Cost to implement upgrade = \$9K for part & labor
- “Data leak” i.e. we broke the system

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But you may be asking yourselves, what was that that he just said about beginning to implement an export module 9 months ago?

Why did they wait so long to accession an initial harvest? The reason has been twofold:


- We delayed the transferring/accessioning discussion during the first three-years the system was operational to mimic the paper-based process, providing the opportunity to make sure the OTP personnel were comfortable with the system before we came knocking...
- ...and then when we did come knocking we ran into some significant technical & fiscal hiccups.

We initially approached the OTP in October of 2011, to discuss beginning to export documents from the EDMS. This was when I wished I had been more thorough in examining the system's exporting capabilities—yes the vendor had indicated that the system can export documents and in open formats, **[CLICK]** but only one at a time, unless you own the export module **[CLICK]** which comes @ a cost of about \$9K for parts and labor. It took about 18 months before we got sign-off from OTP to purchase the module and ironically that was just before President Gee retired and it was about 9 months ago the vendor actually began developing export scripts for us.

But the headaches were not over yet, when the vendor delivered and installed the module, and the export scripts had been developed and deployed, we began export


testing and we started “leaking” data **[CLICK]** – that is we broke the system! It was never designed to try to export the number of documents that we are trying to. Further, it is a slow process, typically exporting 1,500 – 5,000 documents per day. Yes, the process runs 24/7 to get us that many documents. In addition to exporting the documents, it creates an xml metadata/index file for each document and it aggregates the metadata/index on a daily basis in a CSV file.

Through a valiant effort of the OTP's IT staff working with the vendor and having to manually clean-up and export certain difficult files (typically mail-merges), we believe we now have an operating export module. We recently completed a relatively “clean” export test.

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EDMS MPLP PROCESSING

- Provides a snapshot summary of the records
- Provides a high-level “archival review”
- Provides for de-duplication
- *Caveat:* users are utilizing system correctly
 - The system “knows” more than the users



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So technological hiccups aside, how does an EDMS allow us to process light, but effectively? First and foremost, we can analyze the metadata, aggregating it to provide a snapshot of the totality of the records in the system. This allows the archives to review the record types within the system and to determine what records we want to accession—and along with provisions for de-duplication—we no longer will have to weed, de-duplify, or de-accession materials while processing.

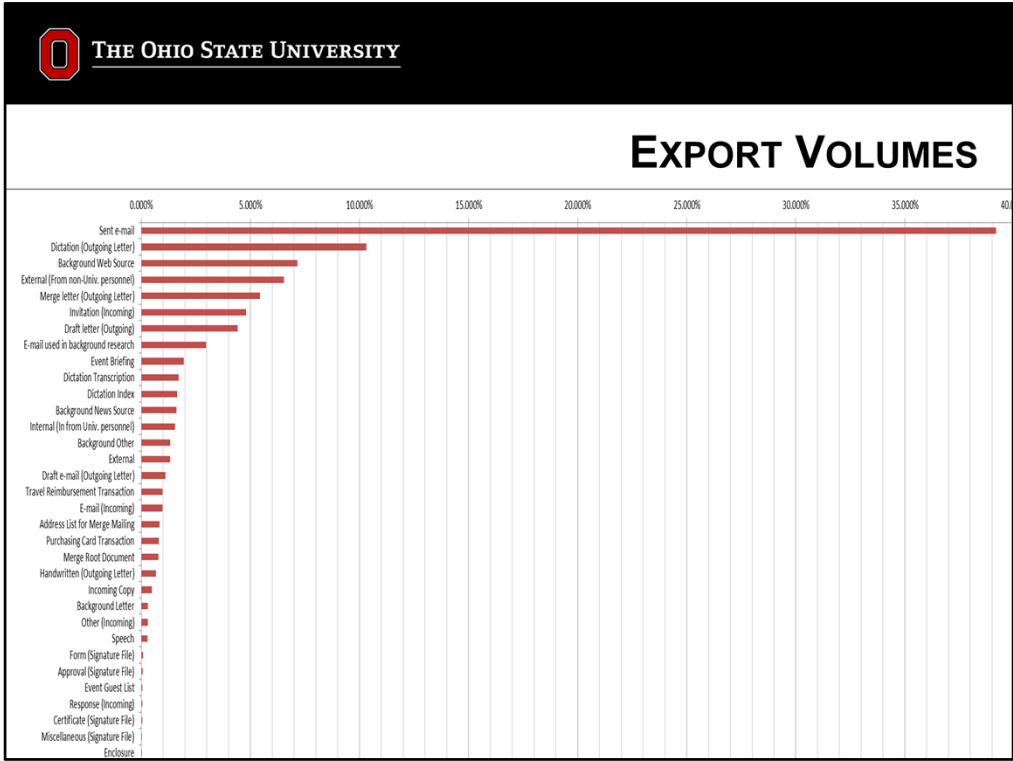
This is predicated on the notion that the users are utilizing the system as it is intended to and in a consistent manner, which is harder than it looks in an office that sees a lot of turnover as it is overly reliant on itinerant student workers. Sometimes the system knows more than the users. For example about a year ago when we were reviewing the Document types: **[CLICK]**

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|---------------------------|---|------------------|---------------------------------------|
| • BE | E-mail used in background research | • OA | Address List for Merge Mailing |
| • BL | Background Letter | • OC | Card (Outgoing Letter) |
| • BN | Background News Source | • OD | Draft letter (Outgoing) |
| • BO | Background Other | • OE | Draft e-mail (Outgoing Letter) |
| • BR | Mass Communication Request Form | • OH | Handwritten (Outgoing Letter) |
| • BT | <small>Internal Notes (we will not be accessioning these)</small> | • OL | Sent e-mail |
| • BW | Background Web Source | • OM | Merge letter (Outgoing Letter) |
| • BX | External | • ON | Enclosure |
| • DI | Dictation Index | • OO | Non-president (Outgoing Letter) |
| • DT | Dictation Transcription | • OP | Dictation (Outgoing Letter) |
| • EB | Event Briefing | • OR | Merge Root Document |
| • EF | Event Form | • RF | Address List (Reference) |
| • EI | Event Invoice | • | Briefings (Reference) |
| • EL | Event Guest List | • | Directory (Reference) |
| • EN | Event Invitation | • | Forms (Reference) |
| • EO | Event Other | • | Handbook (Reference) |
| • EP | Speech | • SG | Application (Signature File) |
| • ES | Event Script | • | Approval (Signature File) |
| • FA | Found Article | • | Certificate (Signature File) |
| • FP | Found PowerPoint | • | Endorsement (Signature File) |
| • IA | Annual Report | • | Form (Signature File) |
| • IC | Incoming Copy | • | Letter (Signature File) |
| • IE | External (From non-Univ. personnel) | • | Memorandum of Agreement (Sig) |
| • IL | E-mail (Incoming) | • | Miscellaneous (Signature File) |
| • IM | Immediate (Incoming) Letter | • WB | Book Foreward |
| • IN | Internal (In from Univ. personnel) | • WC | Written Column |
| • IO | Other (Incoming) | • WQ | Quote or Statement |
| • IR | Response (Incoming) | • | OAA-IT Forms |
| • IV | Invitation (Incoming) | • | Purchasing Card Review Checklist |
| • LO | Other (Legacy) | • | Purchasing Card Transaction |
| • MF | Media File | • | Travel Reimbursement Review Checklist |
| | | • | Travel Reimbursement Transaction |


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...we were informed that there were 13 DocTypes that are in the system 12 of which we were interested in. But you can see by this list, that OTP actually used more than 60 DocTypes, including several items we do not have interest in. But that is a good thing, this way we know up front to set parameters so those items are not exported to us.

...once again this is where a records management module or functionality would come in handy, especially for those DocTypes that are not correspondence related at all, such as purchase card transactions and travel reimbursements.




This graph represents the documents created in CY2010 that were exported during our most recent test and along with this enlargement ***[CLICK]*** provide you with a visual sense of the volume of the different document types. Conducting this type of analysis also allows us to be able to describe the collection and its extent very quickly.

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EDMS MPLP PROCESSING

- Provides a snapshot summary of the records
- Provides a high-level “archival review”
- Provides for de-duplication
- *Caveat:* users are utilizing system correctly
 - The system “knows” more than the users
 - Provide feedback-loop to records creator to improve records creation








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In addition, to helping us process the records it also allows us to provide feedback to the users to improve their records creation process, making for even more efficient transfer of records in the future. We have a meeting scheduled for the middle of next month to work with the folks wrapping up the interim administration and setting some standards for the incoming President’s staff. Had we been more intimately involved, like this, in the initial implementation, we may addressed it more effectively then.


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Is “PHYSICAL” ORIGINAL ORDER NECESSARY?

| | |
|--|---|
| Original Order  Drawer  Folder  Tab  Document | Export Order  Date of export  Document |
|--|---|

ADDITIONAL METADATA

<Field3> <Field4> <Field5> <DocType> <DraftedBy>
 <Relw/OSU> <Honorific> <Organization> <President>
 <Salutation> <Subject> <StudentComplaint> <Createdby>
 <Created> <Modifiedby> <Modified> <version>

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There will be one distinct difference when we complete our analysis and put all the pieces into place to begin systematically accessioning these records—we will technically receive the records in a manner that is physically different than their original order. We will receive them in folders based upon the date they were exported.

Is that a bad thing? It would be if we had no other metadata to rely upon or if the metadata did not allow us to recreate the original order. There is a certain “physicality” to the way the document are tagged within the EDMS where each document is assigned to a “tab” on a “folder” within a “drawer” So long as we have this information it does not matter what order we receive it in. It could be a big pile-o-mess on the floor, but we can still reconstruct the original order.


Further, because of the extent of additional metadata, we can provide considerably more avenues of access to the records than if they were in paper-based or other analog formats.

And while through supplementary processing of paper-based records we re-arrange the original physical order of the records to make them more intellectually accessible, this is one less processing step we will now have to take.

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NEXT STEPS ALONG THE DÃO...

- Finalize export protocol
- Determine most appropriate access mechanism
- Re-assess retention scheduling
- Assist OTP in system usage standardization



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Within the next month we expect to finalize the export protocol with the OTP's IT team. Further, we have a meeting next week with the Libraries IT team to determine the most appropriate place to store and access these records. While they are public records, we do not want to provide access via the WWW due to concerns of FERPA and other privacy issues.

It should be noted that the OSU Libraries are in the process of re-architecting its digital preservation and delivery environment to be more robust and OAIS compatible. (And you thought because this is a presentation about processing and not preservation, that I wasn't going to mention OAIS – at least I didn't include the diagram).

As mentioned previously, this project provides us the opportunity to re-assess how we schedule the retention and management of these records, being able to fine tune it to the actual business process

Lastly, we have an opportunity to provide the OTP guidance and suggest file structure/management standards for the Office to use as it gets ready to take on a new Presidency.

And these last two points, when done correctly should further lighten the processing load.



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