

Enterprise Content Management (ECM) Record Processing Consulting Review

Michelle Hoehne, Auditor

Office of Internal Audit



Project Overview

Management requested to include the review on the fiscal year (FY) 2022-2023 Biennial Audit Plan because of the new ECM (Enterprise Content Management) system implementation.

Objective

Conduct before and after ECM implementation reviews to ensure appropriate record processing procedures and adequate controls.

Scope

- Record processing under myETF and OnBase ECM systems
- Full OnBase system implementation review out of scope; some basic analysis regarding migration process completed

Background

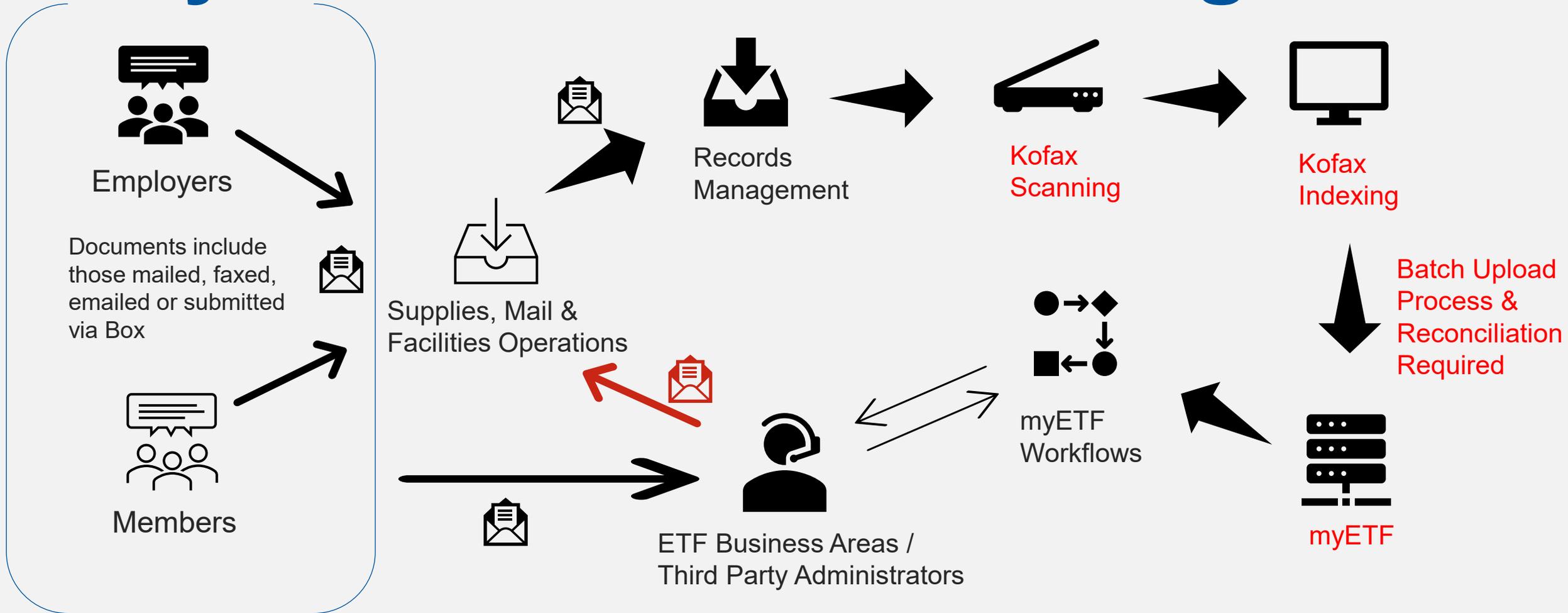
ECM System Migration

New ECM system implemented in November 2021

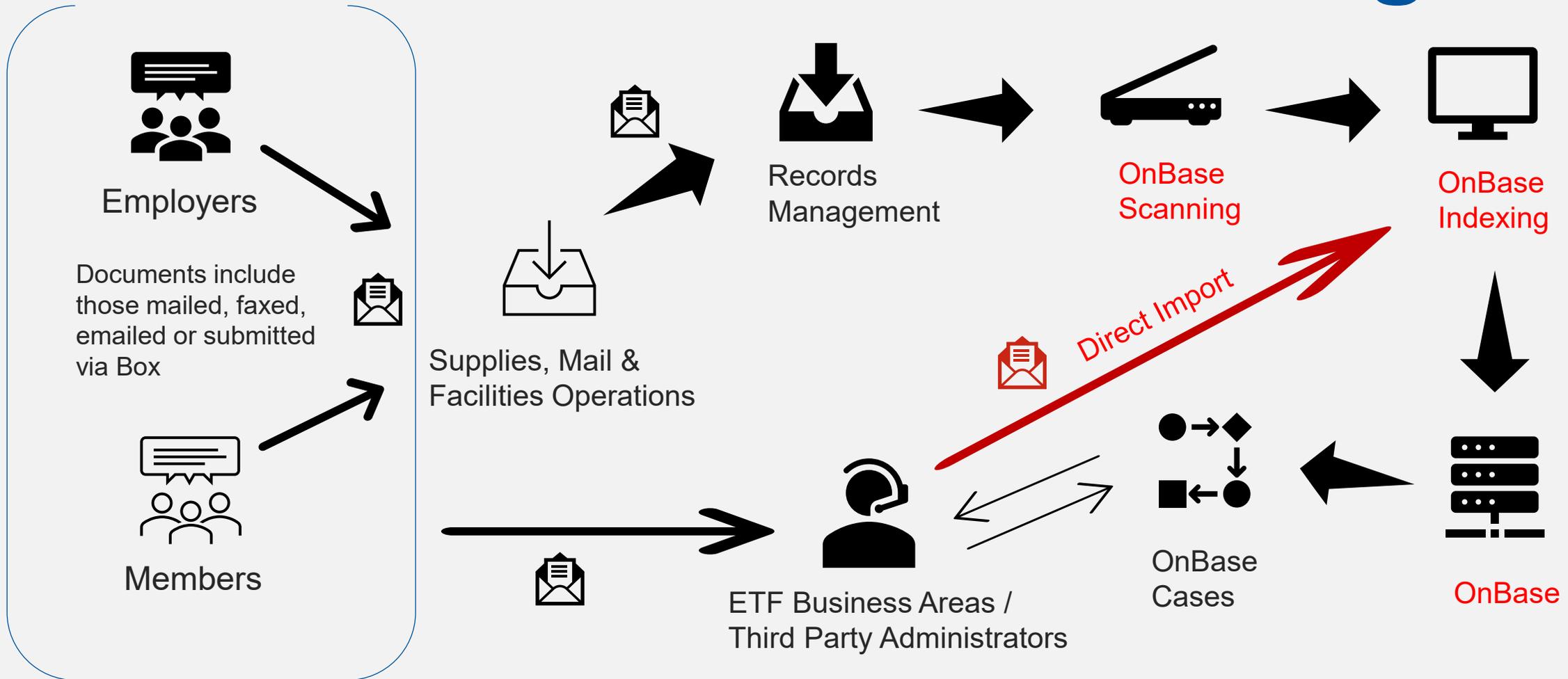
- Prior system: myETF
- New system: OnBase

Imaging, content management and workflows

myETF Record Processing



OnBase Record Processing



Record Processing Statistics

- Total documents in OnBase: Over 21 million
- Documents imported in 2021 by Records Management: Approx. 407,000
- Documents Imported Since OnBase Go-Live (through 2/21/22):

| | Ad Hoc Import | Scan/Sweep | Total |
|---------------|---------------|------------|---------|
| November 2021 | 6,684 | 6,204 | 12,888 |
| December 2021 | 22,341 | 17,208 | 39,549 |
| January 2022 | 24,607 | 26,161 | 50,768 |
| February 2022 | 16,774 | 16,147 | 32,921 |
| Grand Total | 70,406 | 65,720 | 136,126 |

Ad Hoc Import – ETF Business Areas
Scan / Sweep – ETF Records Management

Review and Observations

Review Focus

Records Processing: Process, Procedures, Risks and Controls (myETF and OnBase)

OnBase Implementation (limited review): Testing, Training and Document Migration

Records Processing Review

Records Processing Review Areas

Review of Procedures and Walkthrough of Process

System Access Controls

Import Review Process

Other Reviews as Requested by Management

Records Processing Review Assessment

Overall Process Assessment

Manual process susceptible to human error

- Training, procedural documentation, import reviews, and staff diligence reduce risk
- Additional modernization efforts and system improvements will provide efficiency in process and further risk reduction

Modernization Considerations to Improve Efficiency and Reduce Risk

Direct import of faxes, documents submitted through Box and Legacy system batch output reports

System issue resolution

- Bar code scanning functionality

Records Management Procedures

Procedural document updates needed

Restrict access to Records Management SharePoint documents

Avoidance of future backlogs in documents to be scanned

System Access Controls

Access is approved and attested to by supervisor

Some document configuration issues noted and corrected

Auditor access issue noted and corrected

Records Import Review

Designed to reduce errors in import process

Review in process of being implemented

Process review improvement suggestions provided

OnBase Implementation Review

Review Areas

System Testing

Training and Resources Available to Staff

Migration of Documents

Other Business Process Procedural Updates

Review Assessment

System Testing

- Process in place to test, track and address issues

Training and Resources Available

- Interactive training, detailed resources and support team

Review Assessment (cont.)

Document Migration

- No issues identified during our document review
- Project documentation not available to show complete and accurate migration of documents
 - ❖ Full reconciliation of documents migrated not within scope of our review

Business Process Procedural Updates

- Initiative undertaken, but completion not tracked

The background is a dark blue gradient with numerous out-of-focus light spots in shades of blue and purple, creating a bokeh effect.

Questions?

Thank you



[wi_etf](#)



[etf.wi.gov](#)



ETF E-mail Updates



608-266-3285
1-877-533-5020