

Training for New Records Coordinators

March 2023

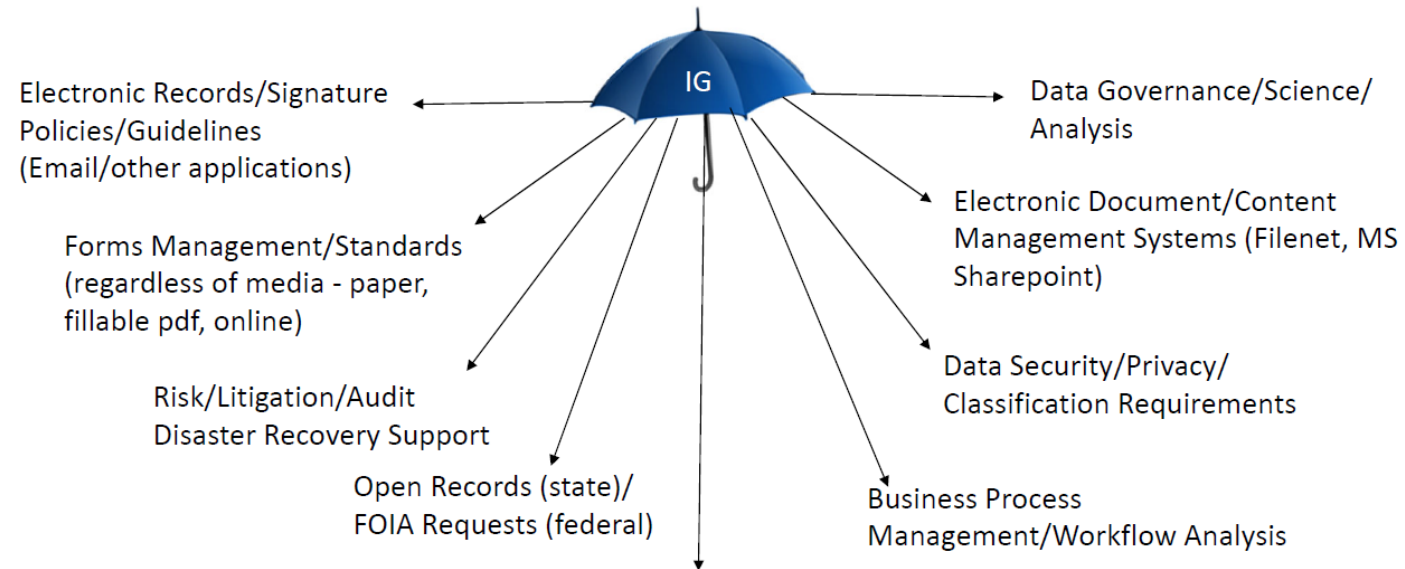
NDIT Records Management



Understanding Records & Information Governance

(records policies are basis for good IG program)

Information Governance (IG)



RIM=Records & Information Management
(lifecycle management of records – from creation to final disposal)

WHAT DOES A GOOD RM PROGRAM MEAN TO MY ORGANIZATION?

- NDCC 54-46: Agency employees to follow state records management program:
 - Records retention schedules (record series housed/updated in Records Management System (RMS))
 - Annual records disposals (all employees dispose records with expired retention periods and report to Records Coordinator to certify in RMS)
- Every agency – designate a Records Coordinator
 - Ensure agency retention schedule is current (submit updates on behalf of the agency)
 - Work with all employees to ensure annual disposal process is complete
 - Involved with periodic reviews of agency programs
 - Should be involved with system design to identify records and retention as applies to agency retention schedule



WHAT DOES IT MEAN TO ME?

- Records Coordinator:
 - Will need to request access to:
 - 1) Records Management System (RMS): <https://apps.nd.gov/itd/recmgmt/rm/user/login>
 - Need ndgov account to login
 - Identify and update record series (agency retention schedules-how long to retain records)
 - Annually, report and certify record disposals as complete
 - Typically: January (due June 30th) or July (due December 31st)
 - Quarterly, NDIT will provide training (attendance optional)
 - Each agency assigned an NDIT Records Analyst. This is your contact should you have questions. Also, they will add you to their distribution list for future communications.

What are Records and How do I Know How Long to Keep?

RECORDS ARE...

- Defined as:
 - NDCC 54-46-02 says “A document, book, paper, photograph, sound recording or other material, ***regardless of physical form or characteristics (including electronic records, email messages, etc)***, made or received pursuant to law or in connection with the transaction of official business.” This includes activities, policies, decisions that provide agency administrative/business or operational, financial/fiscal, historical, legal or audit value.
- Received or created
- Not media-dependent (can be paper, electronic, etc.)
- Flow diagram: “Is it a Record”

■ EXAMPLES: Meeting minutes, accounting files, budget files, correspondence, personnel files, policies and procedures, contracts, project files, program documents, etc.

RETAINING RECORDS

- Do not retain Non-Records:
 - Copies, reference, duplicates, provide no legal, business or financial value
- Follow Department-specific and ND General Records retention schedules
 - Retention and Disposal method (shred, landfill, archives) part of RMS Record Series search
 - ND General applies to all state agencies, boards, commissions and contains records common to all entities (employee files, contracts, accounting records, etc.)
- Annual Disposals
 - Ensures agencies are only retaining what is necessary
 - Litigation/discovery, audit or open records request response – must produce
 - Every year, complete physical disposals and report/certify disposals as complete
 - Part of RMS “Department” option (only Records Coordinators have access)

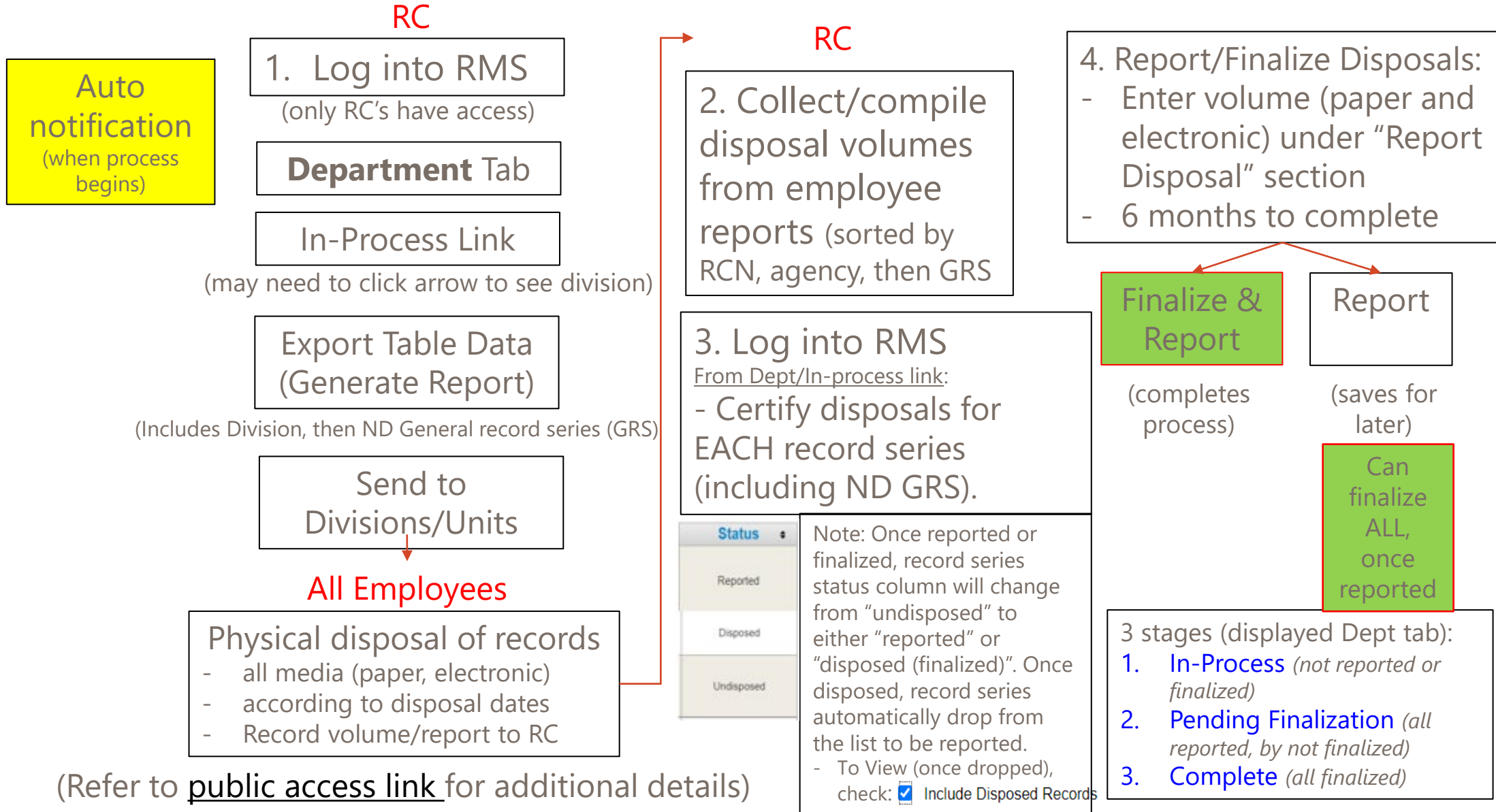


DISPOSAL PROCESS

- Annually, Agency Records Coordinators:
 - Receive notification from NDIT (auto notification RMS) – Coordinators notify employees (due date, etc.)
 - Start physical disposals (includes electronic records) as soon as get notification
 - **Disposition** (disposal method): **Shred** (if confidential/exempt by law), **Landfill** (recycle)/ **Delete** (if electronic), or **Archives** (**Transfer to State Archives**, if historical),
NOTE: If indicates “Archives”, contact State Archives at 328-2663 to arrange for pickup
- Once complete, report and certify in RMS
 - Will need disposal volumes for each record series (NDIT reports-legislative requirement)
- For more info, see RMS User Guide

ANNUAL RECORDS DISPOSAL CERTIFICATIONS

RMS

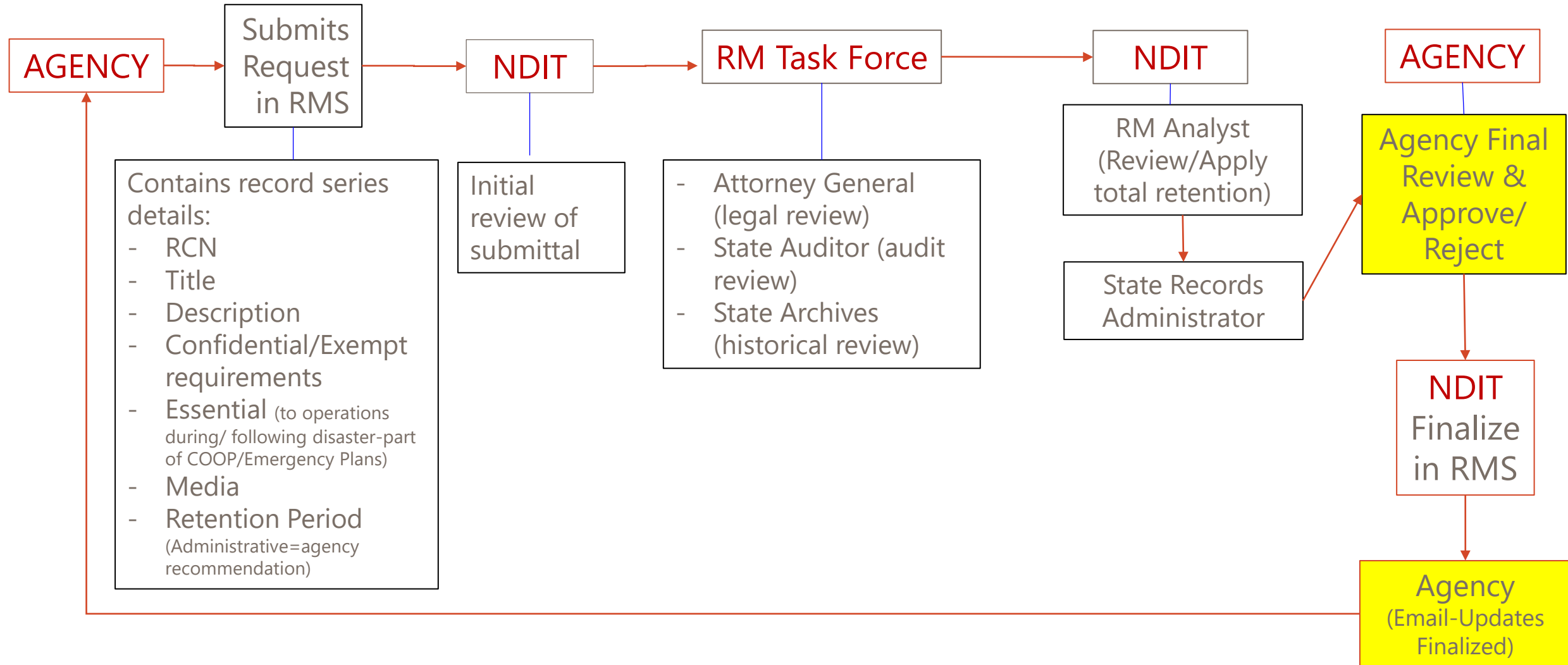


Record Series Changes

RECORD SERIES UPDATES

- Directly in Records Management System (RMS)
 - Adds, changes, deleting record series
 - For adds: A form is available for employees to complete (SFN 2042) – can be used as input with same fields to collect request details (form available on eforms website: www.nd.gov/eforms)
- Process:
 - Submit a “Record Series Request” on RMS Home screen
 - Records Management Task Force reviews (legal, audit, archival value)
 - Agency reviews/approves before finalizing in RMS
 - NDIT final review
 - Request details removed from Home and now part of “Record Series” search and “Department”, disposals (In-Process link)
 - Refer to the RMS User Guide and RMS RC training for additional details.

RMS RECORD SERIES UPDATES - OVERVIEW



SUMMARY

- **Annually:**
 - Send disposal reports to all employees
 - Certify records as disposed
- **Submit Record Series changes**
 - Record Series – any time throughout the year
 - Submit directly in RMS
 - A form is available for employees to complete (SFN 2042) – can be used as input for request details (eforms website: www.nd.gov/eforms)
- **Refer to NDIT Records Management website:**
<https://www.ndit.nd.gov/it-services/statewide-shared-platforms/records-management>
 - RMS User Guide and RMS Records Coordinator training

QUESTIONS?

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