

Records Management System (RMS)

Records Coordinator Training

November 2022



Records Management System

The Records Management System (RMS) was implemented in 2016.

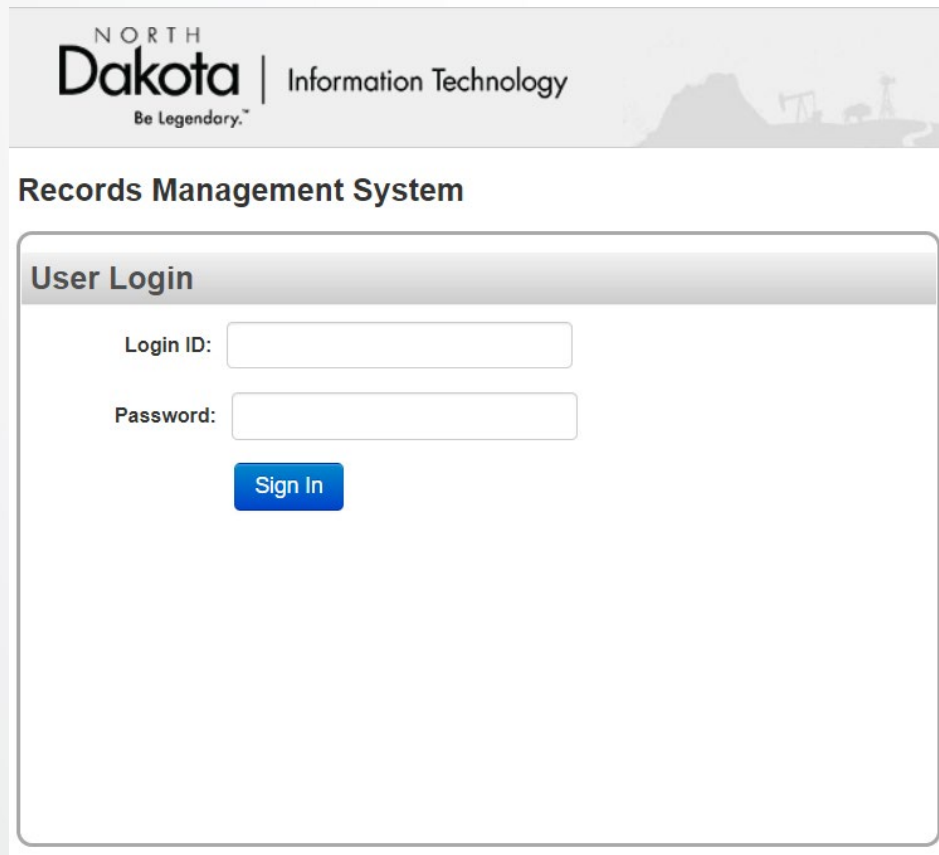
Records-related data includes:

- Records Retention Schedules:
 - Search for individual record series (groups of like records) under the “Record Series” tab
 - History of previous updates (found under “Record Series History”, including SFN 2042-Record Series Description forms)
- Records Disposal information
 - Found under Department tab for each division
 - Replaced SFN 7694 Certification of Records Disposal
- Reporting
- Only agency Records and/or Forms Coordinators have access

Log In

<https://apps.nd.gov/itd/recmgmt/rm/user/login>

- Use nd.gov (active directory) account credentials



The screenshot shows the login interface for the North Dakota Information Technology Records Management System. At the top, there is a header with the North Dakota logo and the text "Information Technology" and "Be Legendary.™". Below the header, the text "Records Management System" is displayed. The main content area is titled "User Login" and contains two input fields: "Login ID:" and "Password:". Below the password field is a blue "Sign In" button.

Home Screen

Record Series Requests

Nothing found to display.

Record Series

State Forms

Forms Inventory

Search Record Series

RCN:

Title:

Department:

Division:

Date Range: to

Media Type: Paper Electronic Other

Additional Filters

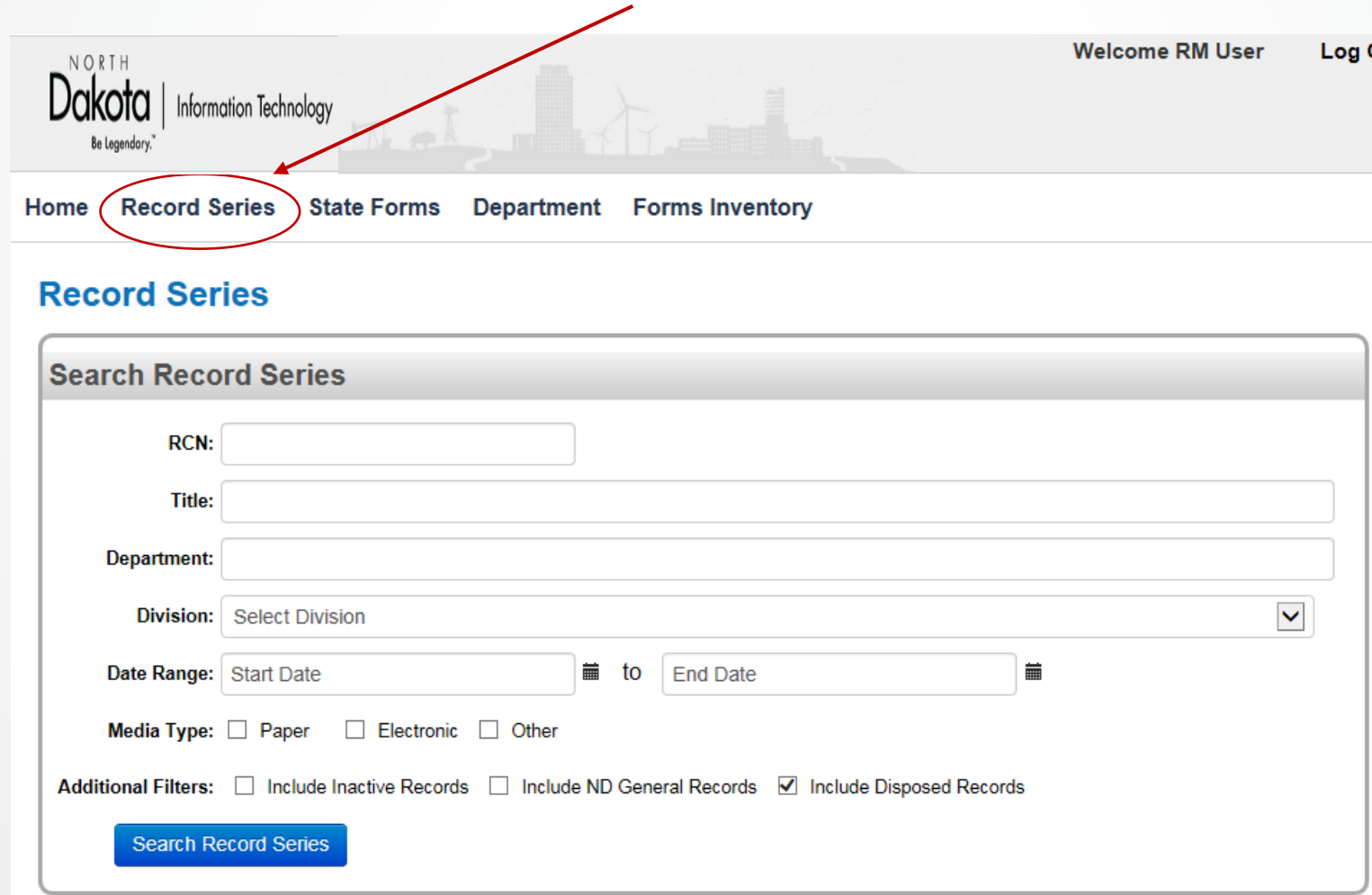
- Include Inactive Records
- Include ND General Records
- Include Disposed Records

View “Record Series”

Information on record series (retention schedule details) is available from two areas (**Home** screen - below):

The screenshot displays the North Dakota Information Technology system interface. At the top, the logo for North Dakota Information Technology is visible, along with the text "Welcome RM User" and "Log Out". A red button labeled "Working As:" with "Clear" and "Change" options is also present. Below the header, a navigation menu includes "Home", "Record Series", "State Forms", "Department", and "Forms Inventory". The "Record Series" tab is selected, and a red arrow points to it from the text above. The main content area is divided into two sections: "Record Series Requests" on the left, which shows "Nothing found to display.", and "Search Record Series" on the right. The search form includes fields for "RCN:", "Title:", "Department:", "Division:" (a dropdown menu), and "Date Range:" (with "Start Date" and "End Date" sub-fields). There are also checkboxes for "Media Type:" (Paper, Electronic, Other) and "Additional Filters" (Include Inactive Records, Include ND General Records, and Include Disposed Records). A blue "Search Record Series" button is located at the bottom of the search form.

Or the **Record Series** option at the top:



The screenshot shows the North Dakota Information Technology website. The header includes the logo "NORTH Dakota | Information Technology" with the tagline "Be Legendary." and the text "Welcome RM User" and "Log Out". The navigation bar contains links for "Home", "Record Series", "State Forms", "Department", and "Forms Inventory". The "Record Series" link is circled in red, and a red arrow points to it from the text above. Below the navigation bar is a section titled "Record Series" with a sub-header "Search Record Series". The search form includes the following fields and options:

- RCN:
- Title:
- Department:
- Division:
- Date Range: to
- Media Type: Paper Electronic Other
- Additional Filters: Include Inactive Records Include ND General Records Include Disposed Records

A blue button labeled "Search Record Series" is located at the bottom of the search form.

Record Series Searches

- Department field - either start typing the department name (or number) and scroll through/select from the drop-down list
- Keywords in Title or Description can be used (Date Range: includes dates the record series are updated, not actual dates of records or disposals)
- Narrow search results through options at the bottom:

Additional Filters: Include Inactive Records Include ND General Records Include Disposed Records

1. Record series are not deleted from RMS – “Include Inactive Records” can be used to find record series hidden from the initial view
2. “Include ND General Records” displays record series from the state’s “General” retention schedule (records common to all state agencies)
3. “Include Disposed Records” is automatically flagged to include record series finalized during the annual records disposal process
 - This flag is unchecked under “Department” when viewing disposal details (“in-process” link) so record series are NOT displayed once finalized.

Viewing Search Results

Record Series

Search Record Series

RCN:

Title:

Description:

Department: Information Technology Dept (1120)

Division: Records Management (004)

Date Range: Start Date to End Date

Media Type: Paper Electronic Other

Additional Filters: Include Inactive Records Include ND General Records Include Disposed Records

[Search Record Series](#)

Disposal Amounts

Paper: 0 inches

Electronic: 0 MB

[Export Table Data](#)

16 items found, displaying all items.

Control Number	Title	Department	Division	Active	Retention	Disposition	To Dispose	Status
140109	ASSOCIATIONS AND BOARDS	Information Technology Dept	Records Management	Yes	1 year	Landfill/Delete backups	2020	Undisposed
350104	RECORDS MANAGEMENT PRESENTATIONS	Information Technology Dept	Records Management	Yes	UD - Updated/update	Landfill/Delete backups	UD	Undisposed

- Results sorted by RCN (record control number), then Dept/Div (“ND General” last)
 - Summarizes record series details (retention period, disposal method, To Dispose (the system automatically calculates dates records eligible to be disposed))
 - Click anywhere on highlighted row to display record series details
- Can be exported to excel using “Export Table Data”

- From the Record Series details screen, a “Record Series History” is available on the right
 1. By clicking the Approved date (status), users can see previous updates (shown in red), or
 2. Clicking on the “Prior 2015 - Historic” displays a pdf of the Record Series Descriptions (2042 forms) maintained prior to implementation

800509 - RECORD DISPOSAL REPORTS

This series contains disposal information for each record series in the individual departments and divisions.

Information Technology Dept - Records Management (1120 - 004)

Series Details

Status: Approved

Approval Date: 01/10/2017

Confidential/Exempt By Law: No

Applicable State or Federal law, requirement, or policy that applies to the retention of this record:

Send to State Library: No

Essential Record: No

Original Record Series: Yes

Estimated Volume:

Annual Accumulation:

Requested By: Becky Lingle, 701-328-3585, 01/09/2017

Retention Period

Administrative Value: 25 years

Audit Value: No

Legal Value: No

Historical Value: No

Total Retention: 25 years

Transfer to Microfilm: No

Inactive Storage: No

Retention Comment:

Special Instructions:

WMS SR Number: 1648736

Record Series History

Current Record Series - 01/10/2017

Filter Dates

to

[Change Date Range](#)

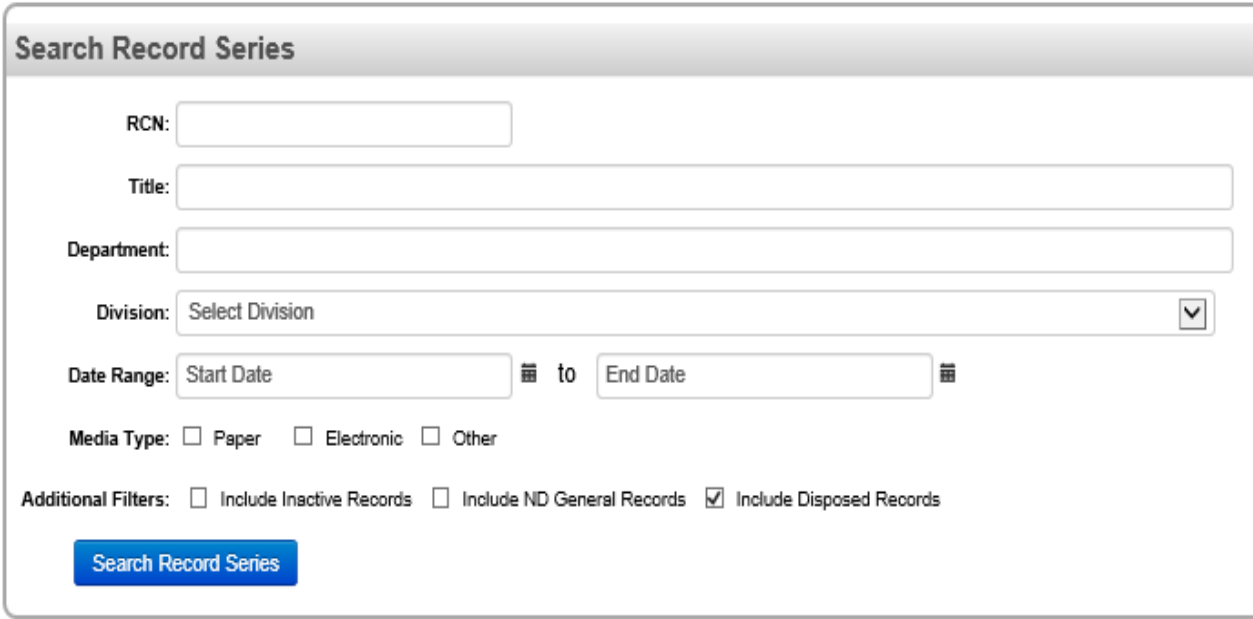
Effective Date	Status
01/10/2017	Approved
Prior 2015	Historic

Prev 1 2 3 4 Next

Retention Schedules on the Web

- Records Retention Schedules (record series details) can be viewed by users that do not have direct access to RMS (similar search screen/results available):

<https://apps.nd.gov/itd/recmgmt/rm/recSer/retention.pdf>

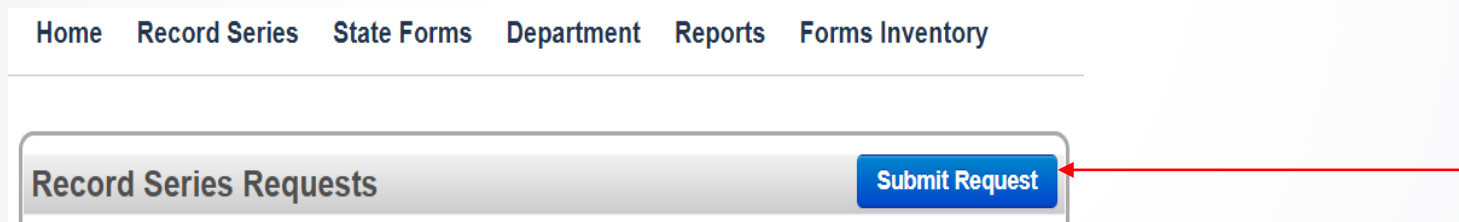


The screenshot shows a web form titled "Search Record Series". It contains several input fields and checkboxes:

- RCN:** A text input field.
- Title:** A wide text input field.
- Department:** A wide text input field.
- Division:** A dropdown menu with the text "Select Division" and a downward arrow icon.
- Date Range:** Two date input fields labeled "Start Date" and "End Date" separated by a "to" label and calendar icons.
- Media Type:** Three checkboxes labeled "Paper", "Electronic", and "Other".
- Additional Filters:** Three checkboxes labeled "Include Inactive Records", "Include ND General Records", and "Include Disposed Records". The "Include Disposed Records" checkbox is checked.
- Search Button:** A blue button labeled "Search Record Series".

Record Series Updates

- Submit requests for updates to record series
 - Directly in RMS
 - Click the “Submit Request” button on Home screen



- Can submit adds (new series), changes (bring details current) or deletes (inactivate a series)
- If, at any time, you do not wish to submit, clicking the “Home” tab to go back to the main screen (do NOT click the browser’s Back button)

Record Series Requests - Phases/Steps

During the update process, you can track status under “Action” column:


1. Draft – displayed when ‘finish later’ button selected. User needs to click the “Submit” button before NDIT can process the request.
2. PreApproval/Initiate (NDIT Records Management review)
3. Task Force Approval (Attorney General, State Auditor and State Archivist review)
4. Analyst/Records Manager approvals (NDIT)
5. **Agency Approval** – Once updates are complete, the agency needs to review and either approve or reject updates (rejecting means deleting the request). An email notification is sent to the user that submitted the request.
6. Final Approval – NDIT (once approved, this series becomes available by searching under “Record Series” and is now part of the disposal process under “Department”, or made “inactive”, if delete request was submitted.

Record Series Requests Submit Request

9 items found, displaying 1 to 8. [First/Prev] 1, 2 [Next/Last]

Date	Department	Division	RCN	Title	Action	Type
05/02/2022	Bank of North Dakota	Risk Management	010202	EXTERNAL AUDIT WORKPAPERS & FINAL RESULTS	Draft	Change

Adding a Record Series

- Fill in the fields under “Request Details” (asterisk indicates required fields):
 - *Record Series Title
 - *Department/Division
 - *Record Series Description
 - *Series Details – refer side 
 - *Requester details (name, phone, date)
 - State Form Number(SFN)
(Must click “Add” button to include a form as part of the record series)
 - *Media (paper, electronic and related details)
 - *Administrative Value (agency-recommended retention period)
- Record Series Details
 - *Original Record Series (vs. copy elsewhere)
 - *Confidential/Exempt (indicate statute/other law)
 - *Essential Record (those needed during emergency/disaster) - If yes, describe
 - *Send Copies to State Library (per NDCC 54-24-09)
 - Applicable Retention law/policy (citations from law indicating how long records must be retained)

Note: the Record Control Number (RCN) will not be displayed for adds (NDIT will assign). If you wish to assign the first 2-digits, refer to the ND Classification System: <https://www.ndit.nd.gov/sites/www/files/documents/operations-section/records-management/nd-subject-classification-system.pdf> and indicate in “Special Instructions”.

- Click “Submit” when all information entered (or “Finish Later” to create a draft)

*Action Type:

Add

Service Request: Requested By: RM User Type: Add

*Title: RECORD SERIES TITLE

*Department: Information Technology Dept (1120)

*Division: Records Management (004)

*Description: This record series includes (describe types of documents found in this series), as well as purpose of the records. For example: This series includes reports for records management audits.

Series Details

*Original Record Series: Yes No

Estimated Volume: Annual Accumulation:

*Confidential/Exempt By Law: Yes No

*Cite Statute: NDCC ...

*Essential Record: Yes No

*Explain: Records needed during or following a disaster or emergency (typically part of a COOP or Emergency Plan). Examples may include, but not limited to: Emergency plans/procedures, maps, delegations of authority, contracts/agreements, financials, payroll, insurance records, prison/parole records, deeds/land records, vital records (birth, death, marriage), medical records, court proceedings, education, military service, licenses, tax records, historical documents, etc.

*Send Copies to State Library: Yes No

Applicable State or Federal law, requirement, or policy that applies to the retention:

Laws-how long to retain records

*Requested By: RM User *Requestor Phone: 328-1234 *Date Requested: 11/04/2022

State Forms

State Form Number: 2042 Remove

State Form Number: Add

*Medium

Paper

Letter Legal Other

Electronic

Storage Location

Local Drive Network External - USB/CDs/DVDs Electronic Document Management Other

File Type

Audio Video Image Text Database Graphic Web Page Engineer Drawing

File Formats:

.docx, .pdf, .tif

Backed Up

Yes No

*How Often:

Daily

Periodically Purged

Yes No

*How:

Manual

Electronic Attachments

Electronic Attachment: Choose File No file chosen Add

*Administrative Value:

3 years

Special Instructions/Notes:

Submit Finish Later

Process - Record Series Updates

- NDIR Information Analyst will review and initiate routing through the Records Management Task Force:
 - State Auditor, Attorney General, and State Archivist review the request and add audit, legal and historical value
- Request status will display under Home throughout the process:
 - Preapproval/Initiate (NDIT review), Task Force, Records Manager, and Agency Approvals
- Agency Coordinator will receive email notification to approve prior to finalizing
- Once finalized, the new/updated record series is available under Record Series search and Department disposal areas

Changing a Record Series

- Fill in the fields under Home-Submit Request, “Request Details”
 - It may be helpful to search for/review existing details (RCN, division, etc.) prior to submitting request
- Using the existing RCN and Department, you can search for details already in the system:

Request Details

*Action Type:

Change

*Record Control Number:

650101

*Department:

Information Technology Dept (1120)

Search



- Fields are similar to an Add (previously described), with exception of RCN (required for changes/deletes)
- Modify each field to display intended wording moving forward
 - Note: The Description field is “Record Series” description, not description of changes.
- Describe summarized change(s) in the Special Instructions/Notes field

Record Series Changes (cont'd)

- Once all fields are complete, Click “Submit” (or Finish Later, previously described)
- Process will follow the same routing/approvals as additions
- To change a Division (transfers) or Record Control Number (RCN) category:
 - For division transfers, indicate the existing division in the “Division” field and the new division in the “Special Instructions/Notes”
 - RCN categories can be found in the Subject Classification System:
<https://www.ndit.nd.gov/sites/www/files/documents/operations-section/records-management/nd-subject-classification-system.pdf>
 - For adds/changes to RCNs, indicate existing RCN in the “record control number” field and the first 4 digits from the classification system in the “Special Instructions/Notes”. NDIT will assign last 2 digits.

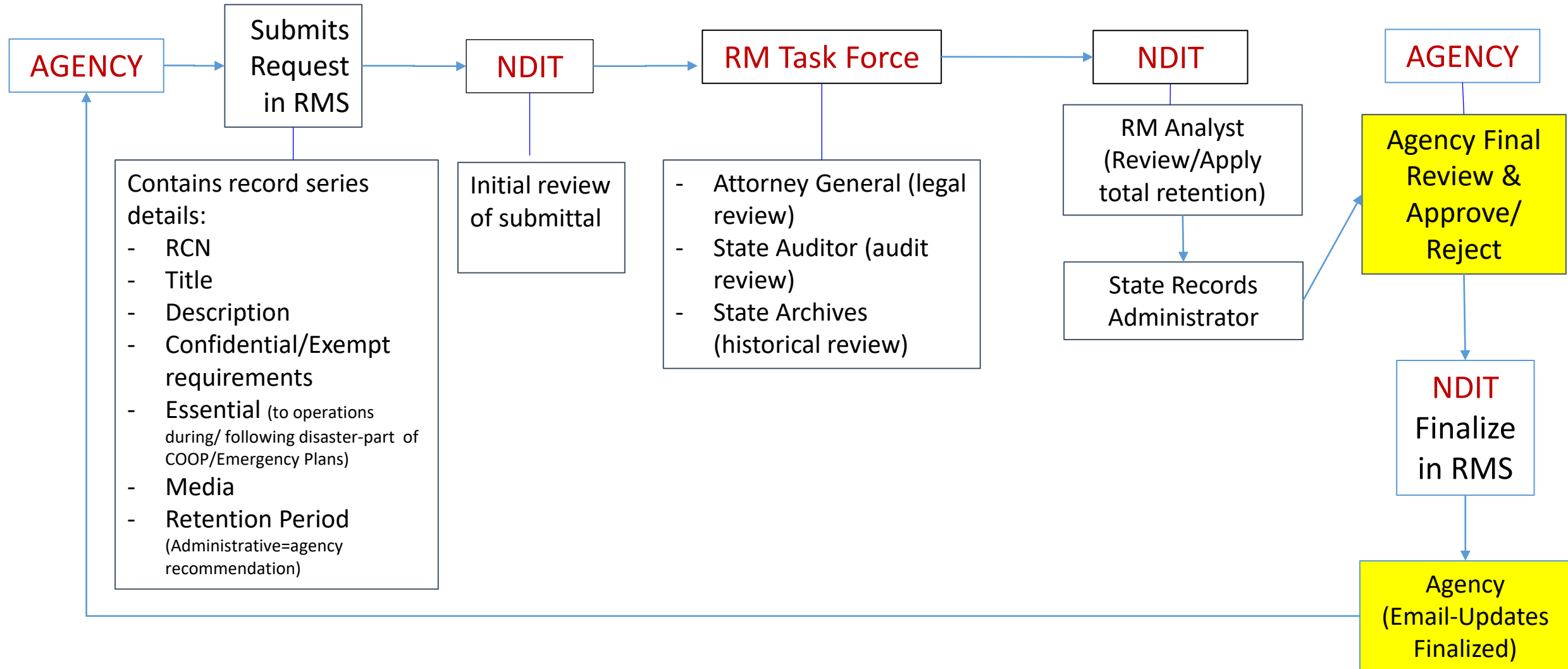
Deleting a Record Series

- Fill in the fields under Submit Request, “Request Details”
- Using the existing RCN and Department, search for details already in the system (similar to a change)
- For deletes, only a few fields displayed: RCN, Title, Dept/Div, Requester details and Special Instructions/Notes
- Describe the reason for deleting the record series in the “Special Instructions” field (i.e. Program discontinued. All records disposed). If record series is being merged, indicate RCN/Title transferring to.
 - This will become part of the history for justifying records no longer available
- NDIT Analyst will review/initiate routing to State Records Manager for approval (delete requests do not get routed through the Task Force)
- Once approved, the series is made ‘inactive’ and only available when “Include Inactive Records” is selected in a Record Series search.

Summary - Record Series Updates

- 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 (Submit Request button)
 - 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](#) for additional details.

RMS Record Series Updates – Process Review



Records Disposals – physical disposals

- Annually, Records Coordinators receive auto notification from RMS when disposal process initiated
 - Calculated disposal dates are updated and disposal status reset
- Start physical disposals as soon as receive notification
 - All media (paper, electronic, etc.)
 - According to disposal dates ('To Dispose' column)
 - Record volumes (by media)
 - NDIT reports to Legislature
 - List of record series can be sent to employees as excel spreadsheet
 - Coordinators - 6 months to complete reporting

Records Disposals (cont'd)

- To create excel file or report disposals once receive back:

From RMS, click “Department” from top menu

- List of divisions are displayed (may need to click drop-down arrow)
- Select disposal link under the Records Disposal column (the number behind link is total disposals - includes Division and ND General record series)

Department

Department	Division	Record Series	State Forms	Disposal	Disposal Month
Information Technology Dept (1120)		21	13		August
Information Technology Dept (1120)	Records Management (004)	21	13	In-Process (0-90)	August

Disposal Links:

- In-Process: disposals yet to report/finalize
- Pending Finalization- disposals reported, but not finalized
- Complete-all record series finalized (process complete)

- Once click “In Process” link, the list of record series displays (similar to search results)


- List by Department/Division, then ND General (sorted by RCN)
- List can be exported by clicking “Export Table Data” (above results – see Viewing Search Results)

Records Disposals (cont'd)

- Use the **To Dispose** column (either from search results or excel file) to identify records eligible to dispose:
 - If only a year displays, records through the end of that year (December 31st) can be disposed.
 - If Month/Year display (i.e. June 2022), records through the end of that month/year (i.e. June 30th) eligible.
 - A list of [retention abbreviations](#) available on website and displayed under Retention column (Total Retention within record series)
- Disposal Methods (Disposition column):
 - Landfill/Recycle/Delete backups – no special restrictions
 - Shred – records confidential/exempt, by law, must be restricted to those with a need to know and shred/deleted once retention met
 - To Archives – records must be transferred to the State Archives

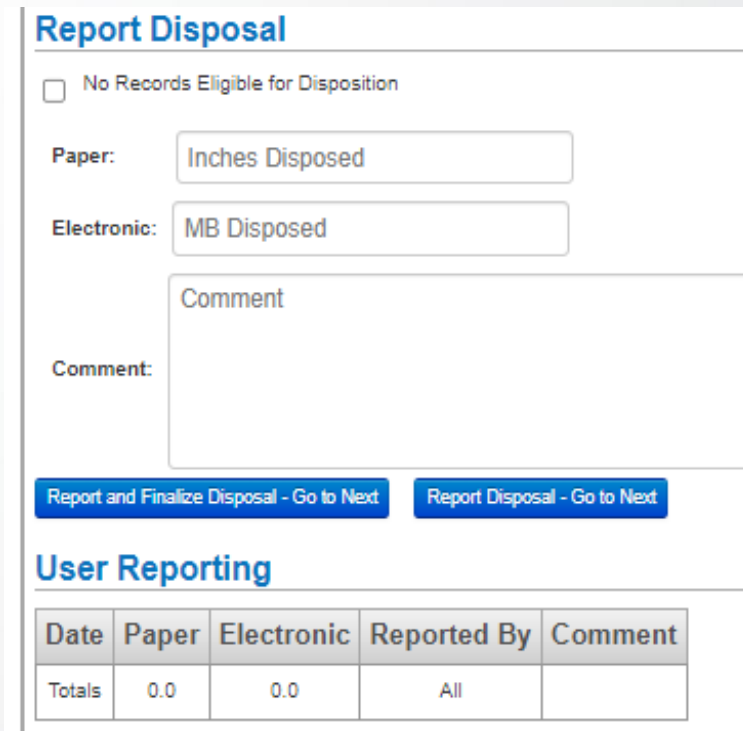
Report/Finalize Records as Disposed

When ready to report volumes, from Department/Disposal link, search results display:

- Click anywhere on a record series row to open/view disposal details and certify/report records as disposed
- “Records Disposal” area will display at the bottom of the Record Series screen 
 - Input Paper/Electronic volumes or check “no records eligible for disposal”

Two options to complete:

- Click ‘Report and Finalize Disposal - Go to Next’ if you’re done disposing of records for the year
- Click ‘Report Disposal - Go to Next’ if you plan to dispose of additional records in this series for the year



Date	Paper	Electronic	Reported By	Comment
Totals	0.0	0.0	All	

Records Disposals (cont'd)

- The “Disposal Information” section within record series details includes the disposal year and method to ease disposals and provides a history

Disposal Information

Disposal Date	Paper	Electronic	Disposed By	Comment	To Dispose	Method
12/27/2017			Becky L Lingle		2013 UD+3	TO ARCHIVES

- Records indicating ‘To Archives’ must be transferred to the State Archives and volume included
- Continue certifying disposal volumes until all records disposals have been documented
 - As disposals are finalized, record series drop from list
- Disposal process complete once Disposal status changes to “complete”

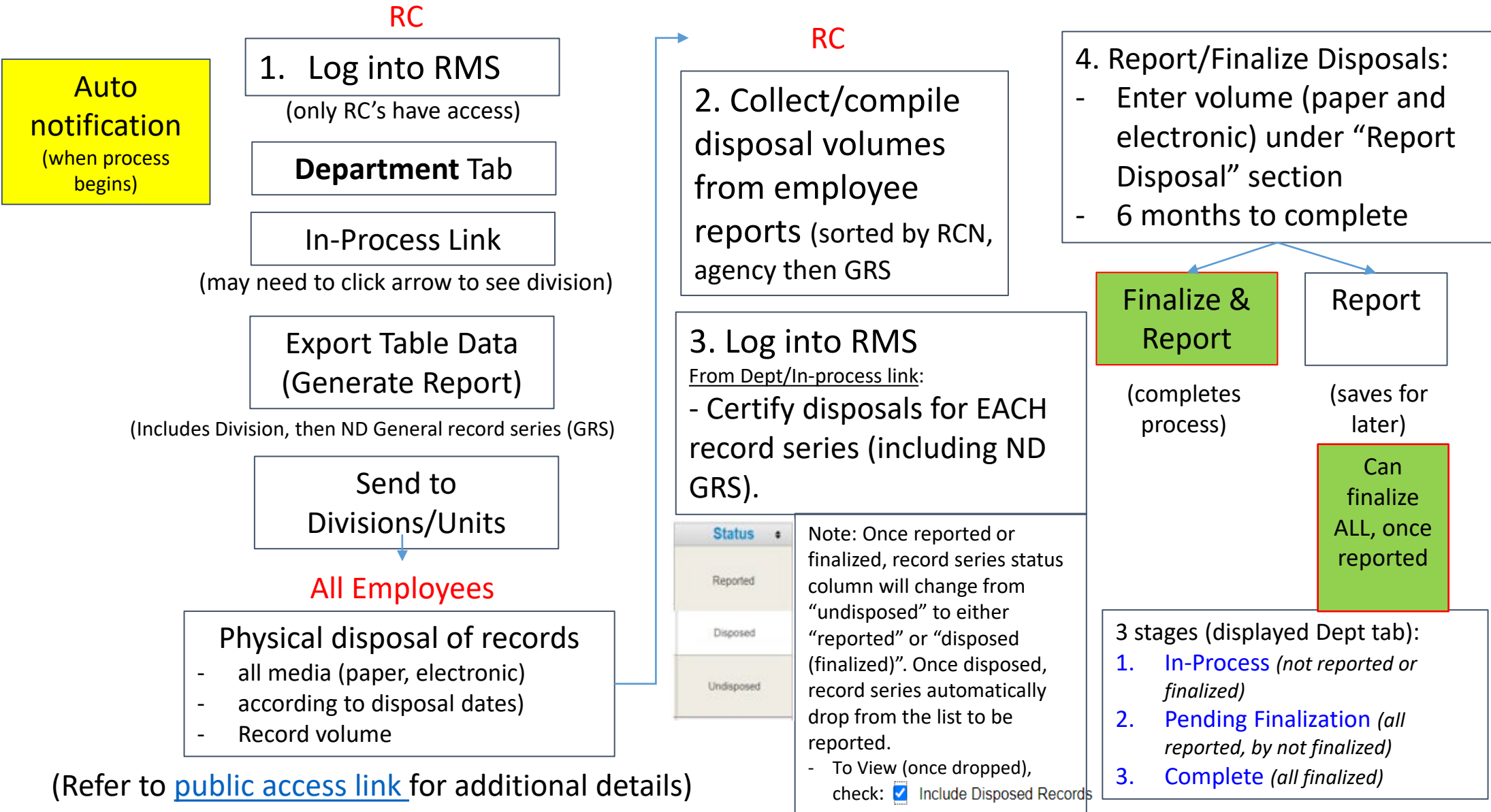
Records Disposal – Special Disposals

Certain Departments may elect to have Coordinators report, but not finalize (i.e. District/Regional offices, overall Records Coordinator)

- In these cases, District/Regional coordinators will click ‘Report Disposal – Go to Next’
- Overall coordinator will click ‘Report and Finalize Disposal – Go to Next’ when all district or regional offices have completed their disposal, or “Finalize All” once status indicates “Pending Finalization” status

Summary - Annual Records Disposals

RMS





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NDIT Service Desk

701-328-4470 or 877-328-4470

<https://northdakota.service-now.com/serviceportal> (click Get Help)



THANK YOU

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