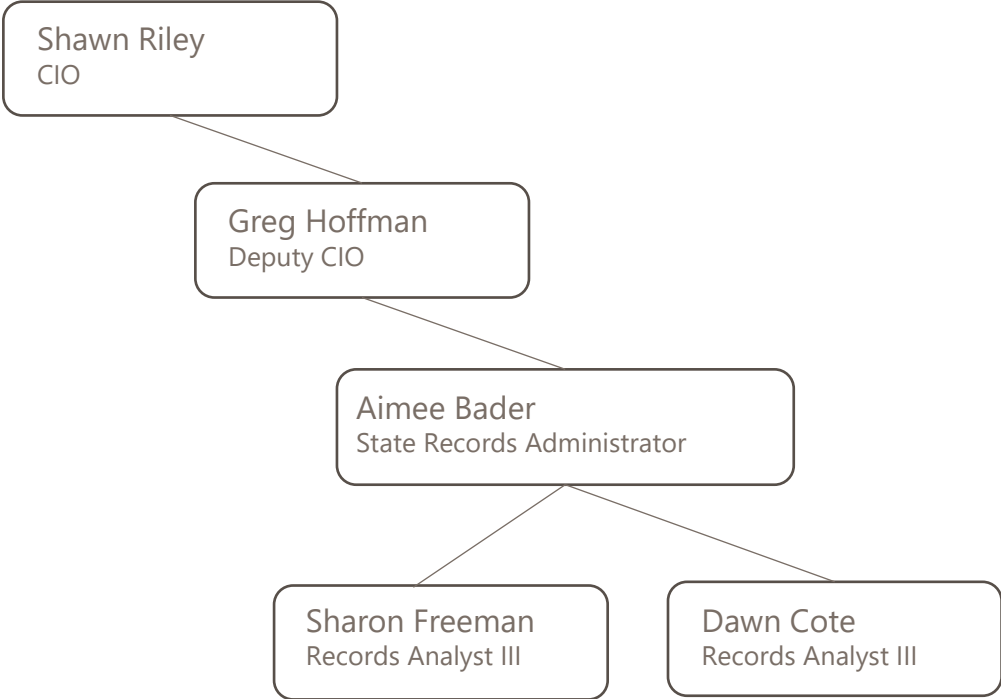# NORTH Dakota

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Information Technology

RECORDS COORDINATOR TRAINING
NOVEMBER 4, 2022

Agenda:

- Introductions
- Review of Records Coordinator Responsibilities
- Discussion of Annual Records Disposal Process
- Record Series Updates
- News from Records Management
- Questions

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NDIT Records Management Team

Shawn Riley
CIO

Greg Hoffman
Deputy CIO

Aimee Bader
State Records Administrator

Sharon Freeman
Records Analyst III

Dawn Cote
Records Analyst III

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Records Coordinator Responsibilities

- Act as liaison between the state agency and NDIT in carrying out records management program requirements.

- Ensure Records Retention Schedules are kept current and submit requests for changes, adds or deletions directly in RMS.

- Distribute/collect annual records disposal information to/from divisions/sections and report/certify disposal details in RMS.

- Follow established procedures when transferring records to the State Archives.

- Coordinate records management issues and projects, including the following:
  - Identify and protect essential records
  - Assist in disaster recovery efforts
  - Respond to open records requests
  - Assist with litigation hold orders and the discovery process

- Provide technical advice and training to employees regarding the establishment and maintenance of effective records management programs.

- Assist in periodic evaluations of records management practices within the department to determine the effectiveness of the program.

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Annual Records Disposal Process

- The records coordinator will receive an email notification when the records disposal process is initiated (resets each year to 'In-Process').

- You will need to attest to (certify as complete) the any record series belonging to your Department and Division and those on the ND General Schedule in order to complete the report.

- The disposal process must be completed within six months from the month initiated.
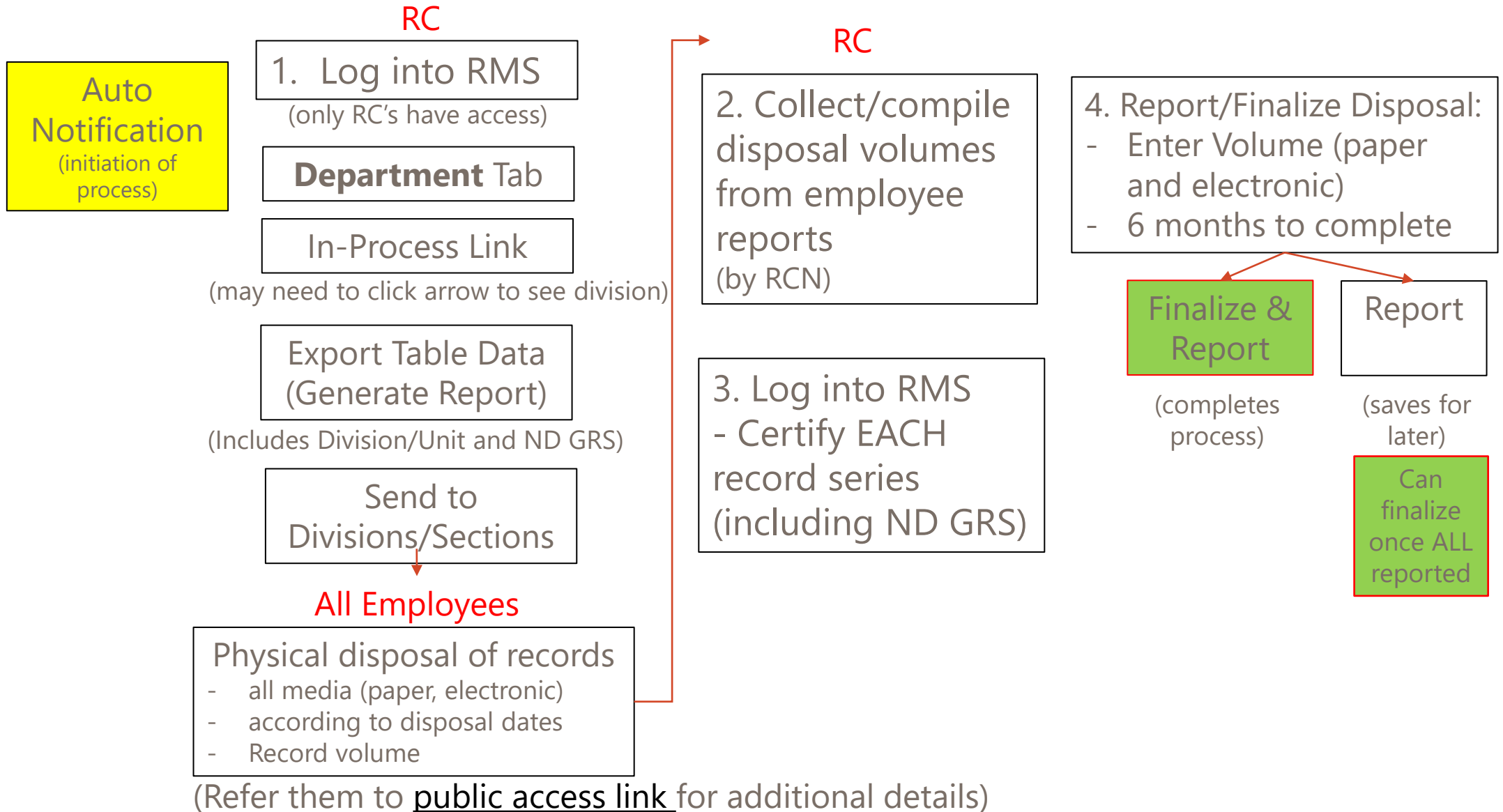
DEMO
- **Determining the status of the records disposal process.**
- **Steps to complete the annual disposal reporting and certification.**

These steps can be found in our RMS User Guide: <u>rms-user-guide.pdf (nd.gov)</u>
- Refer to pages 7-9

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ANNUAL RECORDS DISPOSAL CERTIFICATIONS

RMS

Auto Notification
(initiation of process)

RC

1. Log into RMS
(only RC's have access)

Department Tab

In-Process Link
(may need to click arrow to see division)

Export Table Data (Generate Report)
(Includes Division/Unit and ND GRS)

Send to Divisions/Sections

All Employees

Physical disposal of records
- all media (paper, electronic)
- according to disposal dates
- Record volume

(Refer them to public access link for additional details)

RC

2. Collect/compile disposal volumes from employee reports
(by RCN)

3. Log into RMS
- Certify EACH record series
(including ND GRS)

4. Report/Finalize Disposal:
- Enter Volume (paper and electronic)
- 6 months to complete

Finalize & Report
(completes process)

Report
(saves for later)

Can finalize once ALL reported

Why is this important?

- Completing the report ensures we are upholding our retention policy and in compliance with the standards outlined in Records Management statute.

- Disposing of records that have met retention mitigates risk should litigation or open records requests occur. If we have a record that is requested, we must provide it even if it is past retention.

- Upholding retention requirements reduces the risk of information being acquired during a cyberattack by making those records unavailable for malicious actors.

- Disposing of records that are eligible saves space and money. This may be physical space in an office or media vault, space in an off-site storage facility, or network or cloud space for which a cost is associated.

- Managing retention saves time. You can confidently know what records your agency has and doesn't have by understanding retention periods and assuring disposals have been completed on time each year.

- Going through the disposal report annually provides a great opportunity to make any changes or updates to your retention schedule that are needed.

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Retention Schedule Changes (Records Series Updates)

- Records Coordinator submits a request in RMS to add, change, or delete a records series that contains the information required to initiate the workflow process.

- This request is then routed to the Records Analyst assigned to that State Agency. The Analyst reviews the request and initiates routing to the Task Force.

- The Task Force members (State Auditor, Attorney General, and State Archivist) review the request and add appropriate values to required fields.

- Once approved by the Task Force, the request is given a final review by the State Records Administrator, including an approval of the final retention for the series (based on Task Force responses) before it is published to the Records Retention Schedule. This approval chain is date-stamped on the record series in RMS.

- Changes to the ND General Schedule go through the same workflow approval process but are initiated by the State Records Administrator.

Refer to the Records Coordinator Training on our website for in-depth information on this process.

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Transfer to State Archives

- Record series identified in RMS with a disposal method of "Archives" **must** be transferred to the State Archives once the retention period has been met.

- Agencies work directly with State Archives staff to arrange pickup of physical records or transfer of electronic records.

- Once transfer of records is complete, the State Archives provides the Agency with a receipt (SFN 13351).

- Agencies will report the disposition of these records in RMS as part of their annual disposal process.

More information on our Records Management website (link on next slide) and on the State Historical Society's site: Electronic Records - State Archives State Historical Society of North Dakota (nd.gov)

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<u>News from Records Management</u>

- Website Updates
  - Records Management/Forms Management: <u>Records Management | North Dakota Information Technology (nd.gov)</u>

- JotForm
  - Electronic Data Collection Platform (EDCP): <u>Enterprise Data Collection Platform (Online Forms) | North Dakota Information Technology (nd.gov)</u>

- Next session: **Friday, March 3rd, 2023, 1:00-2:00pm**
  - Agenda TBD
  - If you have topic suggestions for a future meeting, please let us know!

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Questions?

Contact us on Teams or email:
aimee.bader@nd.gov
dcote@nd.gov
sfreeman@nd.gov

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