

Records Management System

User Guide

February 2022

North Dakota Information Technology
Records Management

N O R T H
Dakota

Be Legendary.™

Table of Contents

| | |
|--|---|
| What is the Records Management System (RMS)..... | 1 |
| Login Requirements (NDGov Account Setup) | 1 |
| Records Management System (RMS) Login..... | 2 |
| Home Page | 2 |
| Roles..... | 3 |
| Submitting Record Series Requests..... | 4 |
| Review/Approving Requests..... | 5 |
| Searching Record Series/Displaying details | 6 |
| Searching State Forms/Displaying details..... | 6 |
| Annual Forms Inventory..... | 6 |
| Department options..... | 7 |
| Annual Records Disposal Process..... | 7 |

What is the Records Management System (RMS)?

The NDIT Records Management System (RMS) is used to house record series (retention schedule) and state form number (SFN) details.

Agency Coordinators will be granted rights to this system based on role. RMS can be accessed at: <https://apps.nd.gov/itd/recmgmt/rm/user/login>, and is used for the following:

- View record series information
- Submit, track and approve record series changes
- Report/Certify records disposals as complete annually
- View state forms details
- Certify forms inventory (list of SFN's) annually

RMS Login Requirements (ndgov account)

An NDGov account (user id/password) is required for access to NDIT's Records Management System (RMS). If you do not have a current ndgov account, you can submit a ServiceNow request or contact the NDIT Service Desk: 701-328-4470 for assistance.

Initial Setup - ServiceNow request

- From the ServiceNow Portal: <https://northdakota.service-now.com/serviceportal> click "Request Something", then navigate to "NDGov User ID" under Security.
- After initial setup, you will be required to change the temp password:
 - <https://www.nd.gov/itd/chanpass/default.aspx>
- Must complete Password Change Information with challenge questions, so the NDIT Service Desk can verify your identification if you call for assistance.
 - Inside the network <https://intranetapps.nd.gov/itd/passwordchg/emailentry.htm>
 - Outside the network <http://www.nd.gov/eforms/Doc/sfn52378.pdf>
 - Try the link for inside the network first. If the website can't be displayed, use the link for outside the network.

Ongoing Maintenance

- Password expires annually
- Customer won't receive an error message, just won't be able to log in
- Call ITD's Service Desk at (701) 328-4470 or (877) 328-4470 to reset your password

Password Requirements

NDIT Security has rules for password compliance. Refer to the following website for current password standards: <https://www.nd.gov/itd/standards/access-control>

Records Management System (RMS)

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

Log in with NDGov ID and password.

MAIN - Home Page

1. Home Record Series State Forms Department Forms Inventory

2. Record Series Requests Submit Request
Nothing found to display.

3. Record Series State Forms Forms Inventory

Search Record Series

RCN: [input field]

Title: [input field]

Description: [input field]

Department: [input field]

Division: Select Division [dropdown menu]

Date Range: Start Date [calendar icon] to End Date [calendar icon]

Media Type: Paper Electronic Other

Additional Filters

Include Inactive Records

Include ND General Records

Include Disposed Records

Search Record Series [button]

4. Working As: Clear Change

1. Home menu options across the top of the page.
2. Record Series Requests on the left side of the page displays requests submitted to add, change or delete/inactivate record series.
3. Records and forms options from the main menu at the top also appear on the right side of the page.
4. Working As option: Click 'Change' button to preset the Department/Division drop downs to a specific area for all pages (Record Series search, State Forms search, etc.). Useful when an individual is the records or forms coordinator for several departments or divisions and wants to conduct work for one specific area.

The home page display and options available may vary depending on your role.

ROLES: Users are set up in RMS based on the following roles:

1. Records Coordinator (all activities under Department and Record Series)
 - Approve Record Series Requests
 - Search Record Series
 - Report AND finalize Record Series disposals
2. Records Coordinator Report Only (search Record Series only)
 - NOT able to approve Record Series Requests
 - Search Record Series
 - Report but NOT finalize Record Series disposals
3. Records Coordinator View Only (search record series and finalize disposals)
 - NOT able to approve Record Series Requests
 - Search Record Series
 - Report AND finalize Record Series disposals
4. Forms Coordinator
 - Search State Forms
 - Review/Certify Forms Inventory (list of State Form Numbers, SFNs)
5. Both Coordinators (all activities of Records Coordinator, #1 above, and Forms Coordinator, #4 above)
 - Approve Record Series Requests
 - Search Record Series
 - Report AND finalize Record Series disposals
 - Search State Forms
 - Review/Certify Forms Inventory
6. Both Coordinators Report Only (can report disposal volumes, but not finalize; cannot approve submitted requests)
 - NOT able to approve Record Series Requests
 - Search Record Series
 - Report but NOT finalize Record Series disposals
 - Search State Forms
 - Review/Certify Forms Inventory
7. Both Coordinators View Only (can search for records/forms data and certify forms inventory/list of SFNs)
 - NOT able to approve Record Series Requests
 - Search Record Series
 - Report AND finalize Record Series disposals
 - Search State Forms
 - Review/Certify Forms Inventory

HOME - Record Series Requests

Submitting Requests:

1. Click "Submit Request" button to initiate a request to add, change or delete a record series.

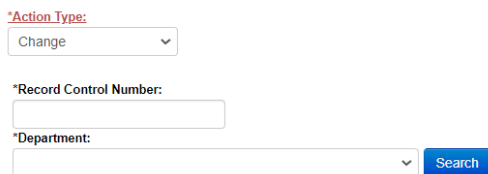


Record Series Requests Submit Request

RESET: To refresh/start over, simply click the "Home" button to back out. Do not use the browser's 'back' button/arrow.

2. To delete or modify existing record series, reference the department and record control number (RCN) and click Search to find data already in the system:

New Record Series Request



*Action Type:
Change

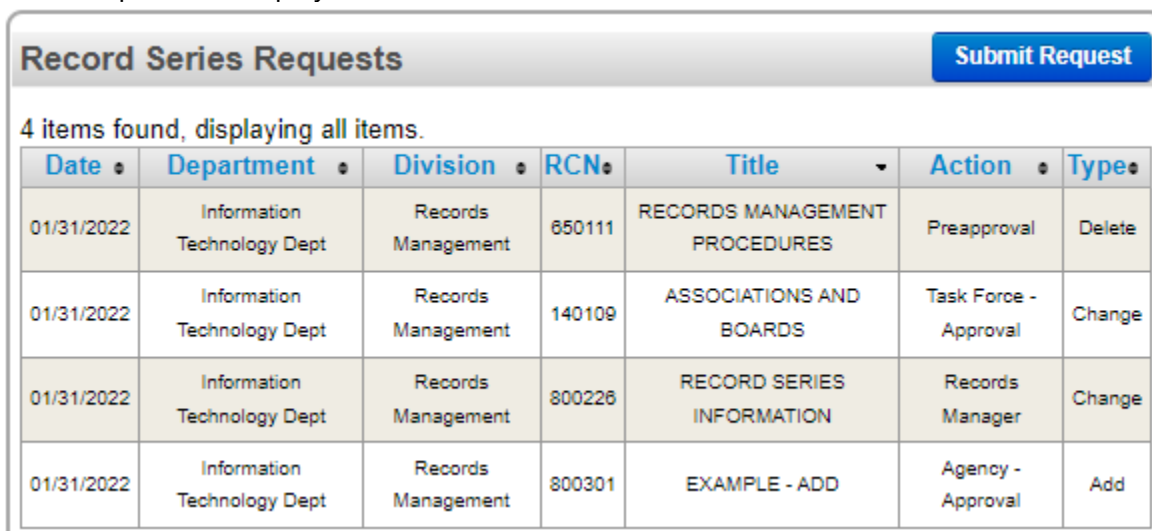
*Record Control Number:

*Department:
 Search

- a. For Deletes: Indicate reason for the delete in Special Instructions (i.e. program no longer exists, all records disposed; records now covered by another record series (reference RCN); etc.).
 - b. For Changes: replace new details in appropriate field(s) and indicate what is changing in the Special Instructions (i.e. change title, description and retention). For record series that haven't been updated since migrating to RMS, additional details may be required (i.e. media details-paper/electronic and associated fields, confidential statutes, administrative/agency-recommended retention period, etc.).
 - c. For Adds: complete all fields.
3. For division transfers, use the Change option and indicate the current division in the Division field. Then indicate the new division in the Special Instructions field.

Reviewing/Approving Requests

Record Series requests submitted will appear in the records coordinator's queue in this section. The status of the request will display under the 'Action' column.



| Date | Department | Division | RCN | Title | Action | Type |
|------------|-----------------------------|--------------------|--------|-------------------------------|-----------------------|--------|
| 01/31/2022 | Information Technology Dept | Records Management | 650111 | RECORDS MANAGEMENT PROCEDURES | Preapproval | Delete |
| 01/31/2022 | Information Technology Dept | Records Management | 140109 | ASSOCIATIONS AND BOARDS | Task Force - Approval | Change |
| 01/31/2022 | Information Technology Dept | Records Management | 800228 | RECORD SERIES INFORMATION | Records Manager | Change |
| 01/31/2022 | Information Technology Dept | Records Management | 800301 | EXAMPLE - ADD | Agency - Approval | Add |

1. Action field status:
 - a. *Draft*: displayed when user selects "Finish Later" button
 - b. *PreApproval/Initiate*: reviewed by NDIT Records Management (RM) Analyst
 - c. *Task Force Approval*: reviewed by the Task Force (Attorney General, Auditor, and State Archives)
 - d. *Analyst Approval*: NDIT RM Analyst – provides total retention
 - e. *Records Manager*: approval of State Records Manager
 - f. **Agency-Approval*: Agency needs to review and either approve or reject updates
 - g. *Final Approval*: final approval by NDIT

Once approved, this series is available by searching under "Record Series" and becomes part of the disposal process under "Department".

2. **Agency review/approval*:

When the record series is ready for the Records Coordinator to review/approve, an email will be sent and the 'Action' will display with 'Agency-Approval'.

 - a. Click anywhere on row to open Record Series Request details (changes to existing text will be displayed in red).
 - b. Review the information and scroll to the bottom of the page.
 - c. Under the 'Agency User' section, click the appropriate option:
 - a. If everything is accurate, click the 'Yes - I approve this Record Series' option.
 - b. If the information is not accurate, click the 'No - I reject this Record Series' option. A new Record Series service request will need to be submitted with the correct information to initiate the process again.
 - d. Click the 'Submit' button.

3. Once approved, NDIT will provide a final approval. The request will be removed from the requestor's Home page, notification sent, and the record series will be available by performing a Record Series search.

RECORD SERIES

View information on record series by entering search criteria on either 'Record Series' tab (top or Home-right panel). Once criteria entered, click Search button.

- Click the 'Export Table Data' link to export the list to a spreadsheet.
- Click anywhere on the row to display Record Series details.

1. Most common search options:
 - a. Department and Division to display a list of all record series for a division.
 - b. ND General Records Retention Schedule (ND GRS), enter Department=*General (9990), and place checkmark in box 'Include ND General Records' under Additional Filters.
 - Include ND General Records**

**Note: You can also search by your Department and ND GRS at the same time by including your agency/department name in Department field and placing a checkmark in ND General Records box.*
 - c. Search by a Record Control Number (RCN) and Department to display details for a specific record series.
 - d. Search by keyword in the Title or Description to display a list of record series that match the criteria.

2. The 'Date Range' applies to dates the record series was updated. For example, search for record series updated within a window of time (i.e. all RCN's updated between 1/1/2022 to 2/1/2022).
3. The 'Record Series Details' page includes information about a specific record:
 - a. Title, description, confidential status, retention periods, media format, associated State Form Numbers, etc.
 - b. The 'Record Series History' is available on the right side of the page.
 - Click the date option under the 'Effective Date' column to view most recent changes made (based on date updated). The changes will display in red text.
 - Click on the 'Prior 2015 Historic' option under the 'Effective Date' column to display the PDF of the Record Series Descriptions maintained prior to RMS implementation.

Narrow search results through the following filter options:

Additional Filters: ¹ Include Inactive Records ² Include ND General Records ³ Include Disposed Records

1. Record series are not deleted from the system. They are made inactive and can be included in the search results.
2. Include records from the ND General Records Retention Schedule.
3. Records that have been disposed as part of the annual records disposal process are included by default.

Employees who don't have access to the Records Management System can search for record series on the public site at <https://apps.nd.gov/itd/recmgmt/rm/recSer/retention.pdf>

STATE FORMS

View/Search state form details by entering search criteria on either 'State Forms' tab (top or Home-right panel), or under Forms Inventory (see next section).

1. Search by Department and Division to display a list of all forms for that area.
 - Click the 'Export Table Data' link to export the list to a spreadsheet.
 - Click a specific Form Number for details.
2. Search by a State Form Number (SFN) to display details for a specific form.
3. Search by all or part of a Title to display forms with a similar title.
4. SFN details are not deleted from the system. They are made inactive and can be included in the search results by placing a checkmark in the "Include Inactive Forms" box.

Additional Filters: Include Inactive Forms

NOTE: All requests for form and/or SFN updates, need to be submitted using a ServiceNow, State Forms request: <https://northdakota.service-now.com/serviceportal>.

3 types of State Forms requests:

Submit a request to have NDIT design/update a form

Submit a form for review and/or assignment of SFN

Modify State Forms Inventory

- a. To modify state form details, submit a "State Forms Inventory" request;
- b. To have NDIT create/design a form on behalf of the agency, submit a request to have "NDIT design/update a form"; or
- c. To submit an agency-designed form for review to ensure [state forms design standards](#) are met, submit a request for "review and/or assignment of a SFN, if form is new.

For additional training on submitting State Forms requests in ServiceNow, search on Knowledge Article: KB0014934, or simply click on the link once in the request for a step-by-step guide.

FORMS INVENTORY

The forms coordinator will receive an email notification when the forms inventory process is initiated in July of each year. The forms inventory review (report of active state form numbers (SFNs) by division) *must* be completed by **December 31st** of the year initiated.

1. Access the Forms Inventory Reports through one of the following options in RMS:
 - Option 1 - Click on the link in the email notification to be directed to the Forms Inventory Reports.
 - Option 2 - Click the 'Department' option from top menu. Shows status of review (will display as "complete" once the process is finalized).
 - Click the arrow to the left of the Department to display the list of divisions.
 - Click the "Incomplete" link under the 'Forms Inventory' (far right) column to display the list of SFNs.
 - Option 3 - Click the 'Forms Inventory' tab either on the top of the page or on the Home screen (right side of the page).
 - Enter search criteria to locate the appropriate report.
2. Review the list of SFNs and titles (by division). Under the 'Forms Inventory Certification' section, select the appropriate option:

Forms Inventory Certification

I Certify that the State Forms Have Been Reviewed and Are Correct.

I Certify that the State Forms Have Been Reviewed and Requires Corrections. A request Will Be Submitted to update the State Form Inventory.

- Click the first option indicating the forms have been reviewed and are correct if the information is accurate. Click the 'Submit' button. The status will display as 'Complete' under the Department tab, Form Inventory (last column).
- Click the second option indicating the forms have been reviewed and corrections are required if changes are needed to the form details (inactivate/delete SFNs associated with obsolete forms, change form titles, move SFN to a new division, etc.). Click the 'Submit' button. The status will display as 'Updates Required' under the Department tab, Form Inventory (last column).
 - Submit updates to the forms inventory by submitting a State Forms request using the ServiceNow portal: <https://northdakota.service-now.com/serviceportal>. Once the updates are completed, return to RMS, Forms Inventory certification and select the option indicating the forms have been reviewed and are correct (first option). Click the 'Submit' button. The status will now display as 'Complete' under the Department tab, Form Inventory (last column).

DEPARTMENT

Lists the department/division(s) with links to record series, state forms, records disposal, and forms inventory information.

| Department | Division | Record Series | State Forms | Disposal | Disposal Month | Forms Inventory |
|------------------------------------|--------------------------|---------------|-------------|----------------------|----------------|-----------------|
| Information Technology Dept (1120) | Records Management (004) | 21 | 13 | In-Process (0-92) | September | Incomplete |

DEPARTMENT - Records Disposal Process

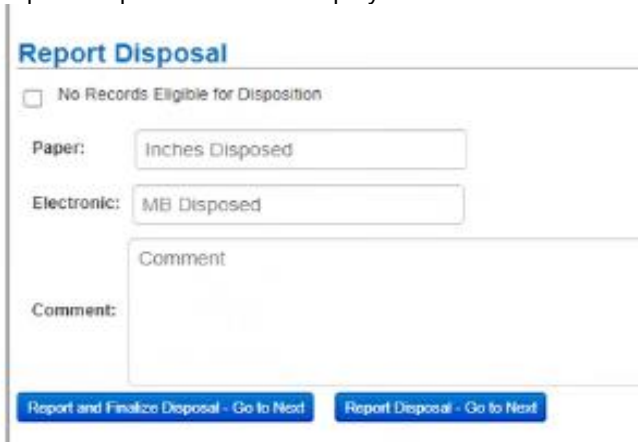
The records coordinator will receive an email notification when the records disposal process is initiated (resets each year to 'In-Process'). The disposal process must be completed within six months from the month initiated.

There are several areas where you can determine the status of the records disposal process.

1. On the Department page the 'Disposal' column will display as follows:
 - In-Process: disposal process not started or some of the records have been finalized
 - Pending Finalization: all records reported, but not finalized
 - Complete: all records reported and finalized
2. On the Record Series search results page the 'Status' column will display as follows:
 - Undisposed: record is not reported or finalized
 - Reported: record is reported, but not finalized
 - Disposed: record is reported and finalized

Follow these steps to complete the annual disposal reporting and certification process:

1. Click the Department tab from the top menu
2. Click the 'In-Process' link under the "Disposal" column to report disposals for each division
3. Once the list of RCNs (record control numbers) displays, click anywhere on row to view record series details
4. A 'Report Disposal' area will display at the bottom of the Record Series screen:



- Enter the volume (paper-inches/electronic-MB) disposed, deleted or transferred to the *State Archives for each record series (or check box-no records eligible),
- Click the appropriate button (two options):
 - A. **Report and Finalize Disposal - Go to Next** – Select this button to *complete* the disposal certification process (locks disposals - no additional volumes can be reported)
 - B. **Report Disposal - Go to Next** – Select this button if disposal volumes still need to be reported for the record series.
- Continue through the list until all record series have been visited (including all 'General' record series)

***Record transfers to the State Archives:** If you have records to transfer to the State Archives, contact Larissa Harrison 328-2663 to make arrangements for the transfer. Transferring electronic records requires special procedures. Review electronic record transfer instructions on the State Historical Society's website at: <http://history.nd.gov/archives/electronicrecords.html>. Finalize the transfer process prior to reporting disposals as complete.

5. You will know you are finished when the "In-Process" or "Pending Finalization" links change to "Complete".

Notes:

- Records from the ND General Records Retention Schedule will be integrated with the department/division specific records. If the department has a general records retention schedule, these records will also be integrated with the department/division specific records.
- If all record series include disposal volumes and have been reported (but not finalized), the 'In Process' link will be replaced with "Pending Finalization". Once final disposal volumes are reported, click Pending Finalization, then select the 'Finalize All' button between the search criteria and results (shown below) to complete the certification process.



- To share the records disposal information with other employees who don't have access to RMS, click the 'Export Table Data' link from the search results for a department or department/division which includes retention and disposal information. A prompt will display asking whether to open or save the spreadsheet.

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: 36.06 MB

Export Table Data

17 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 | 2015 | Disposed |
| 220309 | ELECTRONIC RECORDS GROUP | Information Technology Dept | Records Management | Yes | UD - Updated/update | Landfill/Delete backups | UD | Disposed |
| 350104 | RECORDS MANAGEMENT PRESENTATIONS | Information Technology Dept | Records Management | Yes | UD - Updated/update | Landfill/Delete backups | UD | Disposed |
| 650101 | POLICIES, STANDARDS & GUIDELINES | Information Technology Dept | Records Management | Yes | UD - Updated/update | Landfill/Delete backups | UD | Disposed |