RECORDS COORDINATOR ALL-HANDS
DECEMBER 16, 2024

NORTH Dakota | Information Technology
Be Legendary.

Agenda

- New Process for Annual Disposal Certification in RMS
- Questions

Introduction

Project History

- Governor Burgum's Red Tape Initiative 2023
- Approved by NDIT leadership early 2024
- Work began summer 2024

Key Objectives

- Save users time by simplifying the process while still complying with statutory requirements
- Create a better process for transferring records to State Archives when retention is met

Annual Records Disposals

- Annually, Records Coordinators receive automated notifications from RMS when disposal process is initiated
  - Calculated disposal dates are updated and disposal status reset
- Start disposals as soon as notification is received
  - All media (paper, electronic, etc.)
  - Use 'Eligible Disposal Date' column to physically dispose of records
  - Report disposed record volumes
    - NDIT reports to Legislature
  - List of record series can be sent to employees as excel spreadsheet
  - Coordinators - 6 months to complete reporting

Sample notification:

Annual Records Disposal

ITDRecMgmt@ITDRecMgmt.nd.gov
To ● Bader, Aimee; ● McCormack, Jesse L.

ⓘ You forwarded this message on 10/31/2024 9:12 AM.
We removed extra line breaks from this message.

😊 ↩ Reply

***** CAUTION: This email originated from an outside source. Do not click links or open attachments unless you know they are safe. *****

Records Disposal Certification is Ready for Completion Dept Name:Information Technology Dept

Annual Records Disposals

Physical Disposals

Use the "Eligible Disposal Dates" column (either from search results or excel file) to physically dispose records (all media) meeting retention requirements:

- If only a year displays (2020), records dated through the end of that year (December 31st) can be disposed or deleted.

Division	RCN	Title	Total Retention	Eligible Disposal Date	Disposal Method
General Schedule	600701	TIME RECORDS	6 years	2017	Dispose/Delete

- If Month/Year display (i.e. June 2019), records dated through the end of that month/year (i.e. June 30th) are eligible.

General Schedule	010401	BUDGETS (OMB WILL TRANSFER)	Current Biennium 2 Previous Bienniums	JUNE 2019 CB2P	Transfer to Archives

- Event-based timeframes – the disposal clock doesn't "start" until action is complete. In the example below, employee files are retained 6 years AFTER employee departs or last action.

General Schedule	600601	EMPLOYEE FILES	ALA+6 - After Last Activity/After Last Action Plus 6 Years	2017 ALA+6	Shred/Delete

Annual Records Disposals

Disposal Methods:

1. **Shred/Delete** – records confidential/exempt, by law, must be restricted to those with a need to know and shred/deleted once retention is met (determined by the agency or Attorney General's office and identified in each record series).

> **Confidential/Exempt By Law:** Yes
>
> **Cite Statute:** Personal information as defined by NDCC 44-04-18.1 is exempt.

2. **Transfer to Archives** – historical records must be transferred to the State Archives or its designated depository (determined by the State Archivist)

> **Historical Value:** Yes
>
> **Explanation:** Governor's Office must transfer all correspondence. State agency directors must transfer correspondence related to policies, programs, or fiscal matters.

3. **Dispose/Delete** – no special restrictions (can toss in trash or recycle)

Disposal Method ⇕
- Shred/Delete
- Transfer to Archives
- Dispose/Delete

NEW DISPOSAL PROCESS

December 2024

WHAT'S NEW?

1. **Disposal Reporting (NEW Tab)** – report records disposal volumes (separate tab instead of under Department)

2. **Department –** check disposal status (In-Process, Pending Finalization or Complete), but **no longer** report disposal volume information in this section.

3. **Record Series –** can be used to search record series or view disposal details (adding archival transfer details – transfer date and accession number).

- To start the disposal reporting process, click the "Disposal Reporting" menu option at the top

| Home | Record Series | State Forms | Department | Reports | Forms Inventory | Disposal Reporting |
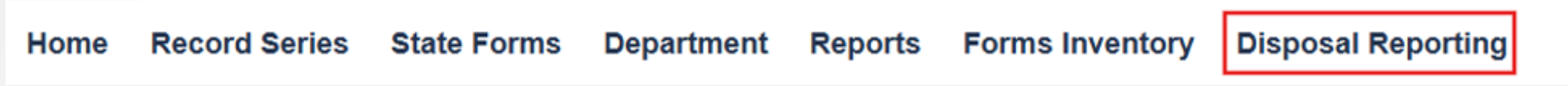
- Department and Division must be filled out to start the process:
  Note: If your agency only has one division, RMS should automatically populate.

Disposal Reporting

Search Disposal Reporting

RCN:

Title:

Record Series Description:

Department: Information Technology Dept (1120)

Division: Records Management (004)

Additional Filters: ☑ Include ND General Records ☐ Include Disposed (Finalized) Records

Search Disposal

- **Double-click** anywhere on the row to activate the Paper, Electronic, No Records Eligible, and Comments fields:

Division	RCN	Title	Total Retention	Eligible Disposal Date	Disposal Method	Paper	Elec	No Record Eligible	Comment	Status
General Schedule	011202	SURPLUS PROPERTY	ACFY+3 - After Current Fiscal Year Plus 3 Years	JUNE 2021 ACFY	Dispose/Delete	☐	☐	☐		Undisposed

Note: clicking the "Enable All" button will activate all record series at one time:

Disposal Information   Enable All

84 items found, displaying 1 to 50.[First/Prev] **1**, 2 [Next/Last]

Division ⇕	RCN⇕	Title ⇕	Total Retention ⇕	Eligible Disposal ⇕ Date	Disposal Method ⇕	Paper⇕	Elec ⇕	No Record⇕ Eligible	Comment ⇕	Status ⇕
Administration	220104	ND TRADE OFFICE BOARD MEETINGS	WA+4 - While Active Plus 4 Years	2019 WA+4	Transfer to Archives	☐	☐	☐		Undisposed

Start entering volumes.

- Click the "Save Disposal" button after disposal volumes are added/modified on **EACH** page:

90 items found, displaying 1 to 50.[First/Prev] **1,** 2 [Next/Last]
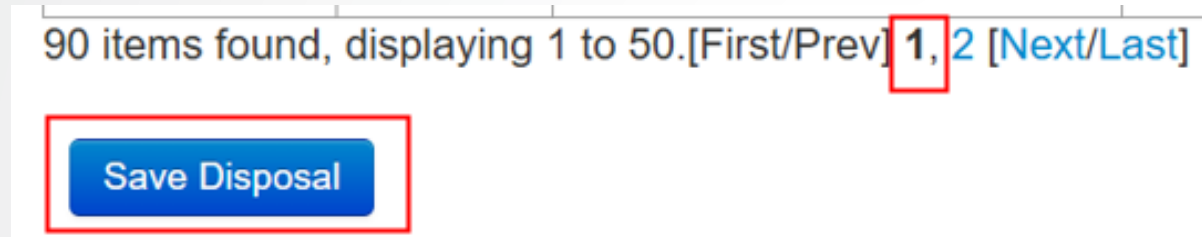
Save Disposal

The following message will be displayed:

Disposal Information Saved Successfully!
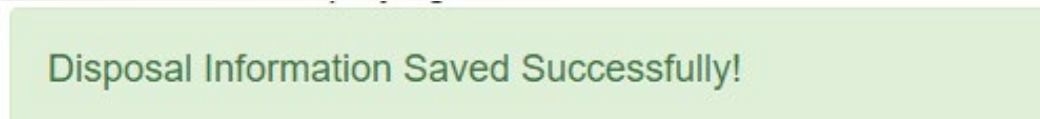
After ALL series have a disposal volume entered, "No Records Eligible" box is checked, or a Comment is added, click the "Save Disposal" button:

90 items found, displaying 1 to 50.[First/Prev] **1,** 2 [Next/Last]
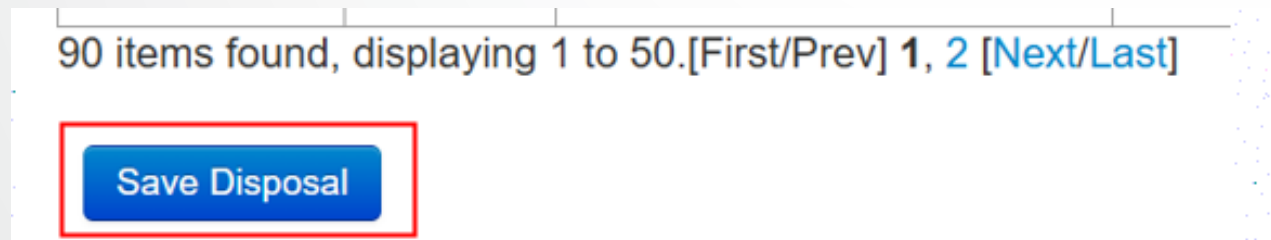
Save Disposal

Note: The last column (Status) should change from "Undisposed" to "Reported".

- The "Finalize Disposal" button will appear once ALL series (on all pages) indicate "Reported" in the status column:

General Schedule	970101	VENDOR INFORMATION	UD - Updated/update	UD	Dispose/Delete	0	0	☑		Reported

92 items found, displaying 51 to 92.[First/Prev] 1, **2** [Next/Last]

Save Disposal   Finalize Disposal

Notes:

- If you do not see the finalize button, sort by the Status column to make sure all show "Reported" (none show as "Undisposed")
- If you do not have access to finalize (i.e. "Report only" role-HHS/DOT), you will not see the finalize button

- After you click the "Finalize Disposal" button, you'll be prompted to Finalize All.

Finalize All   X

Are you sure you want to finalize all records?

Cancel   Finalize

Click the "Finalize" button.

- Upon completion of the process, a notification will display at the top of the RMS screen:

> All records for Records Management (004) are reported as disposed.

- If records show a disposal method of "Transfer to Archives" you'll see a popup message "eligible for archival transfer. Contact the State Archives."

> Records are eligible for archival transfer. Contact the State Archives at archivestransfer@nd.gov to arrange for transfer of historical records

Click anywhere on the screen to remove this message.
Note: See next page for instructions for identifying the records to transfer to the Archives.

- When all records are finalized, the Status column should show as "Disposed".

Division	RCN	Title	Total Retention	Eligible Disposal Date	Disposal Method	Paper	Elec	No Record Eligible	Comment	Status
Directors Office	050201	CORRESPONDENCE, FEDERAL AGENCIES	3 years	2020	Transfer to Archives	0		☐		Disposed

Identifying Records to Transfer to Archives:

- If you see the message to "Contact the State Archives" when you finalize, you will need to prepare records for transfer, then contact the State Archives at archivestransfer@nd.gov
  - They will forward your request to "Designated Depository" (i.e. UND, NDSU, etc.), if appropriate

- Sort by the "Disposal Method" column using the **Disposal Reporting** menu option and look for a status of either "Reported (saved)" or "Disposed (finalized)" or

Division	RCN	Title	Total Retention	Eligible Disposal Date	Disposal Method	Paper	Elec	No Record Eligible	Comment	Status
Records Management	650111	RECORDS MANAGEMENT PROCEDURES	UD+3 - Updated/update Plus 3 Years	2020 UD+3	Transfer to Archives	2		☐		Disposed

- Under **Reports**, use the Archives tab (will only show records to be transferred).

Home   Record Series   State Forms   Department   Reports

Records Disposals   Archives   Users

Archives Report
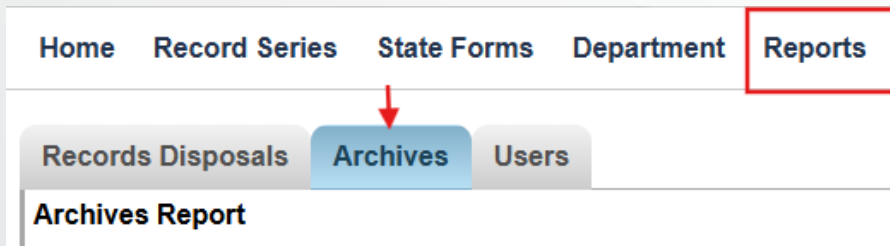
Verifying Disposals as Complete

1. Under "**Disposal Reporting**":
- Select the Department/Division and check the box "Include Disposed (Finalized) Records".
- Click "Search Disposal" button:

Additional Filters:	☑ Include ND General Records	☑ Include Disposed (Finalized) Records

Search Disposal

2. Under "**Department**", view list of department status under Disposal tab (may need to click drop-down arrow)

Department

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

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

3. Under "**Reports**", generate excel file listing disposed records

Home	Record Series	State Forms	Department	Reports

Records Disposals	Archives	Users

Records Disposal Report

Verifying Disposals (cont'd)

4. Within each "**Record Series**":
   a. "User Reporting" section shows the **current** year's disposal details.
   b. "Disposal Information" section shows the disposal **history**: Now includes the **Date** records are transferred to the archives, as well as the State Archives **Accession Number**)

User Reporting

Date	Paper	Electronic	Reported By	Comment
12/03/2024	2		RM User	
Totals	2.0	0.0	All	

Disposal Information

Disposal Date	Paper	Elec	Disposed By	Comment	To Dispose	Method	Cert No	Div No	Date Transfer Complete	Accession Number
12/27/2017			Becky L Lingle		UD	LANDFILL	2017041846	004		
12/26/2018			Becky L Lingle		UD	LANDFILL	2018039777	004		
12/13/2019			Becky L Lingle		UD	LANDFILL	2019054401	004		
12/21/2020		0.276	Becky L Lingle		2017 UD+3	TO ARCHIVES	2020041325	004		
03/17/2022			Aimee . Bader		2017 UD+3	TO ARCHIVES	2021074183	004		
12/06/2022			Aimee . Bader		2018 UD+3	TO ARCHIVES	2022040867	004		
12/21/2023			Aimee . Bader		2019 UD+3	TO ARCHIVES	2023042856	004	12/4/2024	1

SUMMARY

- Concepts still same:
  - Send notification to all employees (suggest start right away) - based on disposal month under Department tab (typically January or July)
  - 6 months to dispose records, collect disposal volumes and report/certify disposals as complete

- NEW - Disposal Reporting Tab (not Department)
  - Save after each page or only reporting a few (can go back later)
  - Finalize button only appears after all series shows "Reported"
  - Records to be transferred to the archives – can now see dates transferred and an accession number once archives receives records
  - Can use reports for identifying records to transfer to archives

Questions?

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Resources

Records Management Website: Records Management | North Dakota Information Technology

- Expand the Training Section:

Training

Records Management System (RMS) Training for Records Coordinators   +

Or use these links:

- RMS User Guide

- RMS Training for Records Coordinators

State Archives Website: State Archives - State Historical Society of North Dakota