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Information Technology

House Industry, Business and Labor

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Room 327C



EMPOWER PEOPLE – IMPROVE LIVES – INSPIRE SUCCESS

RECORDS MANAGEMENT PROGRAM- OVERVIEW

- The Records Management Program is governed by North Dakota Century Code 54-46.
- Records Management in North Dakota is structured under North Dakota Information Technology (NDIT). The State Records Administrator oversees the Program and is appointed by the Chief Information Officer (CIO) per NDCC 54-46-03.
- NDCC 54-46-03 also outlines the establishment of a Records Management Program:
“The administrator shall establish and administer in the executive branch of state government a records management program, which will apply efficient and economical management methods to the creation, utilization, maintenance, retention, and final disposition of state records.”

RECORDS MANAGEMENT PROGRAM- RETENTION SCHEDULE OVERVIEW

- The Records Retention Schedule is housed electronically in the Records Management System (RMS) which can be accessed publicly using a link from www.ndit.nd.gov : [Records Management - Record Series \(nd.gov\)](http://www.ndit.nd.gov/Records%20Management%20-%20Record%20Series)
- A Records Management Task Force (“the Task Force”) exists to approve additions or changes to the Records Retention Schedule. This approval process is a workflow built into RMS.
 - Per NDCC 54-46-08, the Task Force was created to assist agencies in establishing an accurate, legally-approved records retention schedule. It consists of the State Archivist, State Auditor, Attorney General, and State Records Administrator.
 - The Task Force is responsible for reviewing and assigning the historical, fiscal, and legal values to the record series being submitted by the Agency.
- The Records Retention Schedule is made up of Agency-Specific schedules as well as the North Dakota (ND) General Schedule, which is utilized by all State Agencies.

RECORDS MANAGEMENT PROGRAM- ND GENERAL SCHEDULE OVERVIEW

- The ND General Schedule contains record series that are commonly used by all State Agencies. Its purpose is to eliminate redundancies and improve consistency in application of records retention schedules. It was created in 1999 with the bulk of the original submissions being approved by the Task Force in early 2000. The project was managed by then-State Records Administrator Becky Lingle (retired February 2021).
- As of January 2023, there are 74 records series listed on the ND General Schedule.
- The State Records Administrator oversees (acts as Records Coordinator for) the ND General Schedule.
- Each year, State Agencies must report and certify records as disposed according to retention requirements on the ND General Schedule and Agency-Specific schedules. This is done in RMS.

RECORDS MANAGEMENT PROGRAM- RETENTION APPROVAL PROCESS

- Changes made to Agency-Specific Records Retention schedules begin with the designated Records Coordinator in each State Agency. This user places 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 rather than an Agency user.

RECORDS MANAGEMENT PROGRAM- TRANSFER OF RECORDS TO THE STATE ARCHIVES

- If records are identified as having historical value by the State Archivist, they must be disposed/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. Electronic records require the submission of State Form Number (SFN) 60838- Electronic Records Transfer Information in advance of making the transfer.
- 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.

RECORDS MANAGEMENT PROGRAM- AGENCY REVIEWS

- Records Management is required by NDCC 54-46-04.2 to “make continuing surveys of paperwork operations and recommend improvements in current records management practices including the use of space, equipment, and supplies employed in creating, maintaining, storing, and servicing records.”
- These reviews are done periodically by the Records Analyst assigned to that Agency under the direction of the State Records Administrator.
- Records Management Program elements reviewed include:
 - Agency Self-Evaluation: Prior to the review, Agencies complete a Program Assessment (SFN 59608) to determine Agency needs and status of their Records Management Program implementation.
 - Annual Record Disposals: The Records Analyst will review the Records Disposal Reports in RMS to determine if the Agency has completed their annual records disposals according to both their Agency-Specific schedule and the ND General Schedule.

RECORDS MANAGEMENT PROGRAM- AGENCY REVIEWS (CONT'D)

- Records Retention Schedule: The Records Analyst will review the Agency-Specific schedule with the Agency representatives (Records Coordinators) to determine if it is still current or if records need to be added, deleted, or changed.
- Filing System: The Records Analyst will evaluate the current filing systems used to store active and inactive records for efficiency.
- Forms Management: The Records Analyst will evaluate State Forms used by the Agency to determine compliance with established forms design standards.
- The Records Analyst will develop a report which summarizes the findings and recommendations of the review and provide it to the State Records Administrator and Agency Director.
 - The report is intended to provide the Agency with information required to maintain their records management program accurately and in compliance with applicable North Dakota Century Code statutes.

EMAIL – CURRENT STATE

- Email system: Cloud service managed by NDIT
- Email by itself is not a record
- Records may exist inside emails
- Data ownership resides with each respective agency
- Agencies formally request for NDIT to make changes to accounts
- Offboarding:
 - Agency requests account removal
 - Triggers 30-day window to review data
 - Data can be moved to any alternate storage location



CURRENT STATE OFFICE 365 ENVIRONMENT

G1 State

~850 Users

- No Technological Retention Capabilities
- No Technological Hold Capabilities

G1 Non-State

~1600 Users

- No Retention Capabilities
- No Hold Capabilities

G5 State

~10,250 Users

- Retention Capabilities
- E-Discovery Capabilities
- Possible event-based actions, future automation, disposition review

G5 Non-State

~50 Users

- Retention Capabilities
- E-Discovery Capabilities
- Possible event-based actions, future automation, disposition reviews



CURRENT STATE – SYSTEMS/SERVERS

- Hosting
 - Authority
 - 54-59-22. Required use of electronic mail, file and print server administration, database administration, application server, and hosting services
 - Approximately 2,300 Servers
 - Roughly 2,000-3,000 applications across State Government
 - Cloud Services can be unique
 - Exception process for externally provided solutions
- SLA's for Hosted Services
 - Daily Backup for 30 days (Servers)
 - Weekly for 7 weeks (Servers)
 - Exceptions exist and must be approved by the Systems Platforms Manager
 - Data Backups are optimized for Disaster Recovery Purposes and not intended to be used for records retention



CURRENT STATE – OTHER PLATFORMS

- Challenges:
 - Every Platform/Application itself has unique capabilities
 - Office 365, for example, has different capabilities than on-prem file storage
 - The standard EDMS solution is different from SharePoint, for example.
 - Many do not have any inherent capability for recovery after deletion within the application layer
 - Applications and hosting provided by exempted applications may require significant contract amendments to meet new standards for retention.
 - E-Discovery and Litigations holds are unique per product
 - Not all agencies are using NDIT for hosting
 - NDIT does not require services to be consumed in a specific manner today as it relates to retention but provides services based on Service Offering Descriptions and SLA's.
 - Retention to cover all systems and applications to a level not currently provided would carry a very large financial and operational impact.
 - Data can change multiple times per day.
 - Backup products operate on schedules that only capture data at certain points in time, but will often not capture all changes.