

## RECORDS INVENTORY WORKSHEET DEPARTMENT OF HUMAN SERVICES

DEPARTMENT OF HUMAN SERVICE LEGAL ADVISORY UNIT SFN 909 (01/2019) INSTRUCTIONS: Complete one Inventory Worksheet for each record series. DO NOT use abbreviations or in-house terminology to describe records.

Add Change Delete Inventory Only

	Change Belete	inventory only				
1.ÁAgency Name:		2.ÁRecord Control N	2.ÁRecord Control Number:			
3.ADepartment/Section/Unit		4 Location of Pocc	4. Location of Decords/Directors Name/Decords			
owepartneni/occiton/onit		4. Location of Necc	Location of Records/Directory Name/Room:			
Name and Title of Person Responsible for Maintaining Records:		<u> </u>	6. Telephone Number:			
			·			
		SERIES IDENTIFICATION	•			
7. Working or Current Record Series	Title or Electronic Application	Common Name (Including Acrony	m, If Appropriate):			
8. Description (Include any of the followed and th	8. Description (Include any of the following - Department/Employees who use the records or application, purpose of these records, processes the records document.) Do not use abbreviations or in-house terminology to describe records (Use continuation page for more space).					
records document.) Do not use abbre	eviations or in-nouse terminor	ogy to describe records (Use contir	luation page for more space	).		
			T. c.			
Record Medium (Specify)	10. Arrangement	Alpha-Numeric	11. Storage			
Paper	Alphabetical	Chronological	Filing Cabinet	Boxed		
Microform/Microfilm	Subject	Other (Please identify)	Rolled/Flat Network Drive	Shelving		
Electronic	Numeric	Other (Flease Identity)	FileNet Remote	Outlook PST Other		
Email	Geographical Date		Storage	Other		
Computer Printout	Date		-			
12. Status	13. Restrictions (Mark all that apply)		14. Estimated Access Activity:			
Record Copy	Vital (Essential)	Legal	High (Daily)			
Convenience Copy	Subject to Audit	Archival	Medium (Weekly to N	- ·		
	Confidential (Any Part)		Low (Less than Once	e a Month)		
15. Current Retention Period (Enter of	current retention period from	retention schedule. Leave blank if	new record)			
16. Recommended Retention Perio	od (Complete only if new or re	ecommending change in retention p	period of current record series	s)		
16. Recommended Retention Period (Complete only if new or recommending change in retention period of current record series)  a. Active Office:  b. Inactive Storage:  c. Destroy or State Archives:						
a. Active Office. b. Iffactive Storage. c. Destroy of State Archives.						
d. Total Retention:						
17. List any applicable State or F you attach a copy of the applicable re	ederal Law, Requirement, equirement document.	Policy, or other requirements wh	nich apply to the retention	of records. Ensure		
,	, , , , , , , , , , , , , , , , , , , ,					
December Confidential/Fusion Delicus No.						
Record Series Confidential/Exempt By Law? No Yes - Cite Statute(s) Below						
18. When this information is changed (For example, updating an address, version, price etc.) is a copy of the older data kept? If so, where						
is that copy stored?						
19. Information maintained on more than one medium (Paper, FileNet, Systems, etc.)? Explain and identify which medium is the "Record"						
20. Is the information duplicated elsewhere? For example, information is in more than one division, unit, institution, center, etc.						
20. 10 the minimation depredict electricity. The example, information is in more than one division, unit, institution, center, etc.						
21. Information summarized elsewhere (If compiled into a report, please list names of reports).						
21. Information summarized eisew	nere (if compiled into a re	eport, please list names of reports).				
21. Information summarized elsew	nere (if compiled into a re	eport, piease list names of reports).				
Information summarized eisew     Electronic Signature of Person		23. Telephone Number	24. Date of Inventory			

25. Continuation page for any section needed to expand explanation from above form. Enter block number and continue with remarks. This space may also be used for additional comments useful by each division.					

## Instructions:

PREPARING A SEPARATE INVENTORY WORKSHEET FOR EACH RECORDS SERIES - A records series is a group of identical or related documents that are arranged under a single filing system or kept together as a unit because they relate to the same subject, result from the same activity, or document the same transaction, and which, because of any of these common characteristics, may be treated as a unit for retention and disposition purposes. A records series is determined by the function and the retention of the record, not defined by chronological, numerical, or alphabetical filing considerations or by format. Select one of the actions: Check the block that is relevant to this inventory: "Add", "Change", or "Delete". The add block is for new Record Series which need to be created. The "Change" box, is if the record series exists, there is changes that need to be done. This includes, but not limited to: Record name change; retention; regulatory authority, etc. The "Delete" box is used to delete a record series from the retention schedule.

- Field 1 This field is pre-filled for you.
- Field 2: Enter Record Control Number if there is one currently assigned. If the record is not on your current retention schedule, place N/A in the block.
- Field 3: Select the Department in which this records inventory pertains (i.e. Business Office etc.) from the drop down menu. You can press the first letter of your Division (i.e. L for LSTC, N for NDSH, C for Central Office, and H for Human Service Center). This will bring you to the section where you can select your specific department.
- Field 4: Enter the location of the records. If in a office or room, enter the room number, and the drawer, bookshelf, file cabinet number from your mapping document. If the records are electronic, enter the relevant path if on share drive; system name if the record is on a system (i.e. Frame, etc.), or FileNet, ect. In the case where records are being stored by an off-campus location, provide the name of the company storage facility.
- Field 5 and 6: Enter the name and telephone number of the person responsible for maintaining the record series.
- Field 7: Enter the record series title if there is a retention schedule for them. If there is not a schedule and one needs to be created, enter the appropriate name of the record. This information will be used when requesting a retention schedule approval upon completion of SFN 2042.
- Field 8: Describe of the record series. Ensure it is complete and easy to understand for anyone who is reviewing the document. In a separate paragraph, include the Department/Employees who use the records or application, the purpose of the the record, etc. Avoid using abbreviations or inhouse terminology to describe records.
- Field 9: Select the medium of the records. More than one choice can be selected.
- Field 10: Select the arrangement of the records
- Field 11: Where are the records located. More than one choice can be selected if the records are in multiple locations (i.e Filing Cabinet and FileNet).
- Field 12: Select whether the record is "Record" or "Convenience Copy". A significant consideration in the analysis of a records series is determining if the records are the official record copy, which must be retained for the full retention period. For example, analysis of a records series maintained in a particular department may show that it is the official record copy and must be kept for the full retention period. There may be convenience copies of the same records in other departments that are needed for only a brief period of time. One of the best ways a records management program can save money is to identify and destroy convenience copies when they are no longer needed, especially if they are normally maintained in expensive office space.

In another example, however, a records series may be located in more than one department but one set of the records should not be destroyed before the other. One department may have the record copy while a second department, in a separate location, has a disaster recovery backup copy that needs to be maintained for the full retention period. To be in legal compliance with the records retention schedule, convenience copies may not be retained any longer than the retention period approved for the record copy.

- Field 13-14: Field 13 Check any and all restrictions the record may have on them. Field 14 Check how often you access the records.
- Field 15: Enter the current retention period for the record series. You will be able to find this information on your division retention schedule under the heading "Retention".
- Field 16: If you are changing a retention period for an established or new record series, use this block. Refer to the detailed instruction sheet on how to fill out this field correctly. Block a. Enter the active period of the record series; b. Enter the "Inactive" period (i.e. 6 yrs), etc.; c. Select the appropriate selection of "State Archives or Destroy/Delete; d. Combine all three of the above into one statement (i.e. ACFY plus 6 years; Destroy/Delete, etc.). If you need additional information to help complete this item, please contact your Records Custodian.
- Field 17: List any and all supporting law, requirement, policy, accreditation, etc, that support the retention of the record series. This is important as it provides a baseline to start to ensure records are kept for the appropriate amount of time. In addition, if the record contains Confidential Information or is exempt by law, you must provide the correct Citation (i.e. NDCC, CFR, HIPAA, etc.).
- Field 18: Is a copy of older data kept if information is changed? If there is a copy kept, identify the location of where the record is stored.
- Field 19: If the information is maintained on more than one medium, explain what medium. In addition, identify which medium is "The Record".
- Field 20: If the information is duplicated anywhere else, please identify where the duplicate is located. If the duplicate information is in a system, identify the system (i.e. FileNet, Frame, etc.)
- Field 21: If the information is summarized in a report, identify appropriately.
- Fields 22: Name of person conducting inventory (Electronic Signature). This will be useful if someone has questions in reference to the records inventory.
- Field 23: Telephone Number of person conducting the inventory. This can be the same period responsible for managing the records, or a different individual.
- Field 24: Date of Inventory.
- NOTE: Some fields will not apply to all the records you are examining. If the fields do not apply, enter "N/A" in the field. You will be tailoring your inventory worksheet to meet your own needs.

There are three buttons at the top of the page, Print, Save As, and Clear Form. Recommend saving a copy of this PDF for each record series being inventoried. After saving, you can Clear Form. However, upon creating a new Record Inventory, ensure to save the file to the new Record Series name and not overwrite the previous inventory.