

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 in-house 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 person 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.