

Records Management System

User Guide

August 2018

Information Technology Department
Records Management



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NDGov Account (Active Directory)

A NDGov account is required for access to ITD's Work Management System (WMS) and Records Management System (RMS).

Initial Setup

- Required to change password after initial set up
 - <https://www.nd.gov/itd/chanpass/default.aspx>
 - On the Change Password screen, the User field is your NDGOV id
- Must complete Password Change Information with challenge questions, so the ITD 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 every 90 days
- Customer won't receive an error message, just won't be able to log in to WMS or RMS
- Call ITD's Service Desk at (701) 328-4470 or (877) 328-4470 to reset your password

Password Requirements

ITD Security has rules for password compliance. Refer to the following website for current password standards: <https://www.nd.gov/itd/standards/access-control> *Requires a login with NDGov account.

Work Management System (WMS)

<https://apps.nd.gov/itd/workorder/login.htm>

All requests for work from ITD Records Management will be submitted through the Work Management System. The Work Management System involves two steps for submitting work: a Work Order and Service Requests. One work order can be used to submit multiple service requests for related work throughout the year. The work order should be closed at the end of the year and a new one created for the upcoming year.

1. Log in with NDGov ID and password.
2. A 'Select Department' page will be displayed if you are the coordinator for multiple departments. Select the appropriate department.
3. A 'Work Queue' page will display.

Work Order

1. On the left side of the gray bar is the 'Main Menu' link and 'My Work Queue' link.
2. On the right side of the gray bar is the department that you are logged into, the 'Logout' link, and the 'Select Department' button to toggle between departments if you are the coordinator for multiple departments.



[Main Menu](#) | [My Work Queue](#)

User: **blingle** Dept: **ITD - 1100** | [Logout](#)

Work Queue: Becky L. Lingle

Select Department


3. Select the 'Main Menu' link.
4. Under the Work Orders section, select 'Add Work Order' link.

5. The 'Add Work Order' page will display.
6. Fill in the 'Add Work Order' page. The required fields have asterisks by them.
 - Select the appropriate division from the 'Division' dropdown list
 - Enter a Charge Code. Some departments have validation built in to verify the code while others allow any alphanumeric combination. Check with the accounting area in your department for specific requirements.
 - Enter the current year and forms or records depending on the work required for the 'Short Description.' For example, '2018 Forms' or '2018 Records.'
 - Use this Work Order for all requests submitted for the year
 - Enter the last day of the year (12/31/20XX) for the 'Need By Date'
 - Always leave 'General Header' marked 'No'
 - Enter a generic description of the work required for the 'Narrative'
9. Do not attach documents to the Work Order. Documents should be attached to the service request specific to the work requested.
10. Scroll to the bottom of the page and select the 'Submit Work Order' button.
11. A 'Work Order Details' page will display.
12. Service requests can now be created under the Work Order.
13. More than one Work Order can be created each year based on the department's needs.

Service Request

1. Click the 'Serv Req' link in the 'Action' column of the 'Work Queue' page under the 'My Work Orders' section.

North Dakota nd.gov Official Portal for North Dakota State Government



[Main Menu](#) | [My Work Queue](#)

Work Queue: Becky L. Lingle

[WO](#) | [WOGH](#) | [Assignments](#) | [Process Req](#)

My Work Orders

Sort by clicking on column headers. Multiple clicking will sort alternately in ascending and descending order.

Div - Desc	Work Order - Desc	End User	Request Manager	Status	Need By Date	Action
35 - Records Management	151738 - Support for EDMS Projects		Becky L. Lingle	Open	12/31/2010	Serv Req Edit Close
35 - Records Management	166764 - Record Series SR		Becky L. Lingle	Open	12/30/2015	Serv Req Edit Close
35 - Records Management	166954 - 2016 Records		Becky L. Lingle	Open	12/30/2016	Serv Req Edit Close

2. The 'Work Order Service Requests' page will display.
3. Click the 'Add Service Request' button.
4. The 'Select Type of Service Request' page will display.

Select Type of Service Request

Work Order: [282889](#) - 2018 Records Requests [Cost Summary](#)

Department: 1120 ITD Division: 35 - Records Management Charge Code: RM

<p>Computer Systems</p> <p>Additional/Ongoing Charges Database Change Desktop EDMS Email/IM/RightFax/Quota FTP Access File/Print Server General Server Generation Data Group JCL Maintenance Job Rerun/Restart Job Run Job Schedule Job Special Run Mainframe/AS400 Terminal Printer On-Demand Report Transfer Reverse Proxy Storage Websphere Deployment</p>	<p>Security</p> <p>AS400 User ID ConnectND User ID Dataset Authorization Disaster Recovery Firewall Access ITD User ID LDAP Access Mainframe User ID Oracle User ID Virtual Private Network (VPN) Windows Domain User ID</p>	<p>Software Development</p> <p>Load Test Software Dev/GIS/PM/QA Static Web Site Changes</p> <p>Network Services</p> <p>IP Addressing Network Telecommunications</p> <p>Records Management</p> <p>Eforms Website Form Design Form Number Form Review Record Series</p> <p>Other</p> <p>Generic</p>
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5. In the lower right under the Records Management section, click on the appropriate link for the type of service request needed.
 - Eforms Website - request to have a form posted to the eforms website for customers to access
 - Form Design - request to have a form designed or make changes to an existing form
 - Form Number - request a new State Form Number, or change or delete an existing State Form Number
 - Form Review - request a review of a form with a State Form Number, but not designed by ITD Records Management to verify State Forms Design Standards are utilized
 - Record Series - request to add, change or delete a record series
6. The 'Request Information' page will display. The 'Required Date' will be populated with a date calculated automatically based on the service request type. The 'Short Description' will be pre-filled with the Short Description from the Work Order. Change it to include a brief description of the specific service request. For example, 'Change RCN 010101' or 'Design New Request Form.'
7. Click the 'Continue' button.
8. Fill in the appropriate information for the service request type as specified below.
9. The 'Comments/Special Instructions' will be pre-filled with the Narrative from the Work Order. Change the information to include more specific details related to the request.
10. If you get interrupted while filling in a service request, select the 'Finish Later' button to retain the information until you get back to the request. When ready to continue filling in information, select the service request under the Work Queue and click the 'Edit' button.

Service Request Types

Eforms Website

1. Attach the form if designed by your department and fill in the 'Comments/Special Instructions' field.
2. If the user is different from the individual filling out the service request, complete these fields.

Form Design

1. Attach a draft of the form if available and fill in the 'Comments/Special Instructions' with specific information related to the form.
2. If the user is different from the individual filling out the service request, complete these fields.
3. Once the form is designed, a draft will be attached to a Project Acceptance in WMS for your review and approval.
4. Click on the appropriate Project Acceptance in your Work Queue in WMS to view the attached draft form.
5. Click the 'Approval Process' button.
6. If the design is accurate, click the 'Approve' option and 'Submit' button.
7. If design changes are needed to the draft, click the 'Return' option and add information in the 'Comments' field regarding the changes. Click the 'Submit' button.

Form Number

1. Indicate the 'Action' as 'Add,' 'Change,' or 'Delete' on the 'Request Information' page.
2. Click the 'Continue' button.
3. Add: Fill in the 'Division Number/Name' and 'Form Name.' Attach the form if the department designed the form internally. The new State Form Number will be sent through WMS.
4. Change: Fill in the 'Division Number/Name,' 'Form Name,' 'Form Number' and describe the change in the 'Comments/Special Instructions' field.
5. Delete: Fill in 'Form Name' and 'Form Number.' Include the reason the form is being deleted in the 'Comments/Special Instructions' field.
6. Click the 'Submit' button.

Form Review

1. Fill in the 'Division Number/Name,' 'Form Name,' and 'Form Number.'
2. Attach the form.
3. Click the 'Submit' button.

Record Series

1. Indicate the 'Action' as 'Add,' 'Change,' or 'Delete' on the 'Request Information' page.
2. Click the 'Continue' button.
3. The 'Records Management Division' is a three-digit number assigned by ITD Records Management. If you are not sure of the division number, please contact the Information Management Analyst assigned to your department.
4. Add: Fill in the required fields marked with an asterisk. Include any State Form Numbers associated with the record series.
5. Change: Fill in the required fields marked with an asterisk. Complete any fields that require changes on the record series and describe the changes in the 'Comments/Special Instructions' field.
 - To request a change to a Record Control Number or move the record series to a new Division enter the current Record Control Number (RCN) or Division in the request and describe the change in the 'Comments/Special Instructions' field.
6. Delete: Fill in the required fields marked with an asterisk and include the reason the record series is being deleted in the 'Comments/Special Instructions' field.
7. Include attachments if necessary.
8. Click the 'Submit' button.

Submit additional service requests for related work under the existing work order for the year. New work orders should be created each year and the old ones closed.

- * **Records Series Requests will be exported to the Records Management System (RMS). The request will be routed for review and approval through the RMS. The coordinator will receive an email notification when there is work in the queue in RMS that requires action and when the request is completed.**

Records Management System (RMS)

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

Log in with NDGov ID and password.

Home Page

The screenshot displays the RMS Home Page. At the top, there is a navigation bar with the ITD logo on the left and user information on the right: 'Welcome RM User', 'Log Out', and 'Working As: Clear Change'. Below the navigation bar is a main menu with options: 'Home', 'Record Series', 'State Forms', 'Department', and 'Forms Inventory'. On the left side, there is a 'Record Series Requests' box containing the text 'Nothing found to display.'. On the right side, there is a 'Search Record Series' form with fields for 'RCN', 'Title', 'Description', 'Department', 'Division' (a dropdown menu), and 'Date Range' (with 'Start Date' and 'End Date' sub-fields). Below these fields are 'Media Type' checkboxes for 'Paper', 'Electronic', and 'Other'. Underneath is an 'Additional Filters' section with checkboxes for 'Include Inactive Records', 'Include ND General Records', and 'Include Disposed Records'. A 'Search Record Series' button is located at the bottom of the form.

1. Home menu options across the top of the page.
2. Record Series Requests on the left side of the page displays requests submitted through WMS.
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.

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

1. Records Coordinator
 - Approve Record Series Requests
 - Search Record Series
 - Report AND finalize Record Series disposals
2. Records Coordinator Report Only
 - NOT able to approve Record Series Requests
 - Search Record Series
 - Report but NOT finalize Record Series disposals

3. Records Coordinator View Only
 - NOT able to approve Record Series Requests
 - Search Record Series
 - Report AND finalize Record Series disposals
4. Forms Coordinator
 - Search State Forms
 - Certify Forms Inventory Review
5. Both Coordinators
 - Approve Record Series Requests
 - Search Record Series
 - Report AND finalize Record Series disposals
 - Search State Forms
 - Certify Forms Inventory Review
6. Both Coordinators Report Only
 - NOT able to approve Record Series Requests
 - Search Record Series
 - Report but NOT finalize Record Series disposals
 - Search State Forms
 - Certify Forms Inventory Review
7. Both Coordinators View Only
 - NOT able to approve Record Series Requests
 - Search Record Series
 - Report AND finalize Record Series disposals
 - Search State Forms
 - Certify Forms Inventory Review

Record Series Requests

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

Record Series Requests					
3 items found, displaying all items.					
Date	RCN	Department	Division	Action	Type
09/08/2016	800525	Information Technology Dept	Records Management	Task Force - Approval	Add
09/08/2016	050102	Information Technology Dept	Records Management	Agency - Approval	Change
09/08/2016	800391	Information Technology Dept	Records Management	Records Manager	Delete

When the record series is ready for the records coordinator to review, an email notification will be distributed and the 'Action' will display as 'Agency - Approval' in RMS.

1. Click on the appropriate Record Series Request.
2. Details regarding the specific record series will display.
 - Changes to an existing record series will display in red text.
3. Review the information and scroll to the bottom of the page.

4. Under the 'Agency User' section, click the appropriate option:
 - If everything is accurate, click the 'Yes - I approve this Record Series' option.
 - 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 through WMS with the correct information to initiate the process again.
5. Click the 'Submit' button.

Record Series

View information on record series by entering search criteria on either 'Record Series' tab (top or right side).

1. Search by Department and Division to display a list of all record series for that area.
 - Click the 'Export Table Data' link to export the list to a spreadsheet.
 - Click on a Control Number in the list to display Record Series Details.
2. To display the ND General Records Retention Schedule, enter General (9990) in the Department field, General (001) in the Division field, and select 'Include ND General Records' under Additional Filters.
3. Search by a Record Control Number (RCN) and Department to display details for a specific record series.
4. Search by Title or Description to display a list of record series that match the criteria.

The 'Record Series Details' page includes information about a specific record:

1. Title, description, confidential status, retention periods, media format, associated State Form Numbers, etc.
2. The 'Record Series History' is available on the right side of the page.
 - 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.
 - Click the date option under the 'Effective Date' column to view changes made on that date. The changes will display in red text.

Narrow search results through the following filter options:

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.

Department 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 information on state forms by entering search criteria on either 'State Forms' tab (top or right side).

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. Form numbers are not deleted from the system. They are made Inactive and can be included in the search results.

Department

Lists the divisions 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

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 must be completed by June 30 of the following year.

1. Access the Forms Inventory Review through one of the following options:
 - Option 1 - If logged into RMS, click on the link in the email notification to be directed to the Forms Inventory Review.
 - Option 2 - Click the 'Department' option from top menu.
 - A list of divisions will display.
 - Click the link under the 'Forms Inventory' column for the appropriate division.
 - Option 3 - Click the 'Forms Inventory' tab either on the top of the page or on the right side of the page.
 - Enter search criteria to locate the appropriate report.
2. Review the list of form numbers and titles. Under the 'Forms Inventory Certification' section, select the appropriate option:
 - Click the 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 Form Inventory column on the Department page.
 - Click the option indicating the forms have been reviewed and corrections are required if changes are needed to the form information. Click the 'Submit' button. The status will display as 'Updates Required' under the Form Inventory column on the Department page.
 - Submit updates to the forms inventory with a 'Form Number' service request in WMS. Once the updates are completed, return to the Forms Inventory Review and select the option indicating the forms have been reviewed and are correct. Click the 'Submit' button. The status will now display as 'Complete' under the Form Inventory column on the Department page.

Records Disposal Process

The records coordinator will receive an email notification when the records disposal process is initiated. The disposal process must be completed within a year.

1. Click the 'Department' option from top menu.
2. A list of divisions will display.
3. Click the link under the 'Disposal' column for the appropriate division.
4. Select the appropriate record to certify as disposed.
5. The 'Records Disposal' area will display at the bottom of the Record Series page.
6. The year and method for disposal are listed under the 'Disposal Information' area.
7. Enter the volume disposed for the record series for Paper and Electronic.
8. Enter information in the 'Comment' field if records are not disposed due to litigation hold, etc.
9. Click 'Report and Finalize Disposal - Go to Next' if the disposal of record series is complete for the year.
10. Click 'Report Disposal - Go to Next' if additional records in this series will be disposed during the year or if the overall records coordinator will finalize the disposal.
11. Continue through each record series until all disposals have been documented.
12. 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.

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

1. 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

2. 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

If all records under a division have been reported, a records coordinator can click the 'Finalize All' button to finalize the disposal of all records.

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:

Division: ▼

Date Range: to

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