



RECORDS MANAGEMENT PROGRAM REVIEW
 INFORMATION TECHNOLOGY DEPARTMENT
 RECORDS MANAGEMENT
 SFN 59608 (6-2013)

Agency <i>North Dakota Court System</i>	Division <i>_____</i>	Name of Person Completing Assessment <i>Sally Helene</i>	Telephone Number
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Please complete the questions below to assess the effectiveness of the Records Management Program in your department. If you are completing this review for multiple divisions, mark the appropriate answer for the majority of the divisions and attach an explanation for any differences.

Program Management

1. Authorization and Organization

	Yes	No
a. Does the agency have a designated records coordinator? <i>Staff Attorney (Vacant), + Secretary</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
b. Are records management responsibilities included in the position description for the records coordinator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
c. Does the agency have a designated forms coordinator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
d. Are forms management responsibilities included in the position description for the forms coordinator?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
e. Are all employees aware of the identity and role of the <u>records</u> and forms coordinators? <i>N/A</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
f. Does the records coordinator participate in planning for electronic information systems to ensure record keeping requirements and record disposition procedures are incorporated?	NA	<input checked="" type="checkbox"/>
g. Does the records coordinator participate in the development of document imaging systems?	NA	<input checked="" type="checkbox"/>

2. Guidance and Training

a. Has the records coordinator received training in records management practices and procedures and understands their responsibilities?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
b. Has the forms coordinator received training in forms management practices and understands their responsibilities?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
c. Does the agency inform <u>all</u> employees of the importance of records management and records handling responsibilities? <i>At time of hiring - not part of annual policy review</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
d. Does the agency receive records management guidance from an oversight agency, i.e. Federal agency? If yes, list agency:	<input type="checkbox"/>	<input checked="" type="checkbox"/>
e. Are the records and forms coordinators familiar with ITD's Records Management website? http://www.nd.gov/itd/services/records-management	<input type="checkbox"/>	<input checked="" type="checkbox"/>

3. Internal Evaluations

a. Does the records coordinator periodically evaluate the records management practices of the agency?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b. Does the forms coordinator periodically evaluate the forms management practices of the agency?	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Records Creation/Recordkeeping Requirements

1. Creation of Records/Adequacy of Documentation

	Yes	No
a. Has the agency provided employees with the definition of State records and non-record materials and the methods in which they must be managed? <i>Except for records not included in AR19 or AR45</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

2. Policies and Procedures

a. Is the records coordinator familiar with the Risk Management Litigation/Destruction Hold Process? http://www.nd.gov/risk/risk-management-fund/litigation-hold	<input type="checkbox"/>	<input checked="" type="checkbox"/>
b. Does your agency have a records management policy in place?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
c. Does your agency have a policy in place to address the records created and maintained by departing employees?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Records Maintenance

1. General	Yes	No
a. Does the agency use the North Dakota Subject Classification System for filing and retrieving paper records?	✓	
b. Does the agency use the North Dakota Subject Classification System for filing and retrieving electronic records?	✓	
c. Is access to confidential or exempt records limited to authorized personnel?	✓	
d. If you have records with a permanent retention value, how are they stored? <i>paper or electronic depending on creation date</i>		

2. Paper Records	Yes	No
a. Does the agency have procedures for filing, charging out, and re-filing records? <i>within individual offices</i>	✓	
b. Are the file drawers/cabinets and folders labeled correctly?	✓	

3. Electronic Records	Yes	No
a. Is the official record of a document identified to satisfy the retention requirements for a particular record series?	✓	
b. Are the non-official copies of a record series destroyed before or at the same time as the official record?		✓
c. Does the agency backup their electronic records?	✓	
d. Does the agency protect and maintain all software and hardware required to read electronic records until their retention requirements have been satisfied?	✓	
e. Are records migrated as necessary?		✓
f. Are procedures or measures in place to protect the integrity and legal admissibility of the agency's electronic records?		✓

4. Audiovisual Records	Yes	No
a. Are original and use copies of audiovisual records identified and maintained accordingly?	NA	✓
b. Does the agency store audiovisual records with a long-term or permanent retention in an environmentally-controlled space (72 degrees Fahrenheit or less and relative humidity between 30 and 40 percent)? <i>depends on individual office practice</i>	NA	—

Records Retention Schedule

1. Development	Yes	No
a. Do the agency's records retention schedule contain a complete list and description of each record series maintained in the agency?		✓
b. Are programs and services offered by the agency periodically reviewed to identify any new record series that should be added or any necessary changes to existing records retention schedules?		✓
c. Are all records, regardless of medium, included on the agency's records retention schedule?		✓

2. Implementation	Yes	No
a. Is the General Records Retention Schedule applied to pertinent records maintained in the agency?		✓
b. Are records destroyed/transferred according to the records retention schedule (dates and method)?		✓
c. Does the agency transfer records with historical value to the State Archives? <i>depends on individual office practice</i>	✓	

Essential Records - records necessary to resume business after a disaster.

		Yes	No
1.	Is the records coordinator familiar with the agency's Continuum of Government Plan (COOP)?	✓	
2.	Has the agency assessed potential risks to the agency's records?	✓	
3.	Has the agency identified their essential records?	✓	

Forms Management

		Yes	No
1.	Are the agency's forms inventories current? <i>If Self-help form, odyssey form or form adopted by Court rule or Court Committee</i>	✓	
2.	Are the agency's forms designed to meet State Forms Design Standards?		✓
3.	If the agency designs their own forms, list what software is used. <i>WORD, WordPerfect, ADOBE, EXCEL</i>		

Please provide a copy of each form used in the agency to the ITD Information Management Analyst.

Additional Comments or Questions