

**MINNESOTA DEPARTMENT OF HEALTH**

Information Systems & Technology Management  
 RECORDS MANAGEMENT PROGRAM  
 Freeman Building, St. Paul, MN 651/201-5005

**RECORDS INVENTORY**  
 Identification and Risk Assessment  
 of a Records Series / Data Set

**IDENTIFICATION**

1. <b>Who “owns” the records?</b> <i>Also known as the “business data steward.” (Division / Section / Unit)</i>	
2. <b>What are the records called?</b> <i>This name will be used to identify the records series in retention schedules and reports.</i>	
3. <b>Who conducted this Records Inventory?</b> <i>(Name of individual)</i>	
4. <b>When was the Records Inventory conducted?</b> <i>(Date)</i>	
5. <b>What state statute (or federal regulation) permits MDH to collect the data in these records?</b>	
6. <b>Why is the data in the records collected?</b> <i>Describe the purpose of the records series. What is the business reason for having the records? What process (business function) is being supported by the records?</i>	

**PROTECTION** (Protection from unintended destruction and undocumented modification)

7. <b>Will the records be migrated or converted to a storage medium that is different from the medium in which it was created?</b> <i>(Paper, electronic, microfilm)</i>	<input type="checkbox"/> No. <input type="checkbox"/> Yes. Created in: Changed to:
8. <b>Check the life cycle phases in which the records are digital or contain electronically stored data:</b>	<input type="checkbox"/> Created or received (source document) <input type="checkbox"/> Active use <input type="checkbox"/> Inactive storage <input type="checkbox"/> Long term storage for legal, fiscal, or operational purposes
9. <b>Who is the Technical Steward for the electronic records?</b> <i>(Name of the individual or group that is responsible for maintaining the information system)</i>	
10. <b>What is the continuity of operations [planning] (COOP) category for the records?</b> <i>This is the priority given to the records for recovery after loss from an emergency or declared disaster. Consider the resources that must be dedicated to backing up and recovering the data when choosing the category.</i>	<input type="checkbox"/> <b>Vital</b> to the continuation of the MDH mission (requires duplicate copy stored off site). <input type="checkbox"/> <b>Important</b> – mission critical but could be recovered from another source (expensive). <input type="checkbox"/> <b>Useful</b> – necessary to conduct business; backed up at the Owner’s discretion. <input type="checkbox"/> <b>Nonessential</b> – allows MDH to work efficiently but would not be recovered if lost because of an emergency or disaster.

**ACCESS** (Protection from unauthorized disclosure or modification)

<p>11. <b>Do any of the data elements in the records identify individuals?</b> <i>Personal information about a human.</i> Enter statute/regulation citation:</p>	<p><input type="checkbox"/> No.  <input type="checkbox"/> Yes – <b>Private</b> data – can be accessed by subject of the data but not by the public.  <input type="checkbox"/> Yes – <b>Confidential</b> data – cannot be accessed by the subject of the data nor by the public.</p>
<p>12. <b>Do any of the data elements in the records contain data that is not public on entities other than people?</b> <i>Information on a business or corporation.</i> Enter statute/regulation citation:</p>	<p><input type="checkbox"/> No.  <input type="checkbox"/> Yes – <b>Nonpublic</b> – can be accessed by the subject of the data but not the public.  <input type="checkbox"/> Yes – <b>Protected nonpublic</b> – cannot be accessed by the subject of the data nor by the public.</p>
<p>13. <b>Are any of the data in the records “security information” as defined by M.S. 13.37?</b> <i>“Security information” means government data the disclosure of which would be likely to substantially jeopardize the security of information, possessions, individuals or property against theft, tampering, improper use, attempted escape, illegal disclosure, trespass, or physical injury.</i></p>	<p><input type="checkbox"/> No.  <input type="checkbox"/> Yes. <i>List:</i></p>
<p>14. <b>Are the records in this series considered “Protected Health Information” as defined in the Health Insurance Portability and Accountability Act (HIPAA)?</b></p>	<p><input type="checkbox"/> No.  <input type="checkbox"/> Yes. <i>List:</i></p>
<p>15. <b>List other entities (including government agencies) that have access to the data in this records series:</b></p>	

**PRESERVATION / RETENTION** (Duration of the time the records have value to the department)

<p>16. <b>List the time, event, or condition that “triggers” the records to become inactive:</b> <i>Inactive means the frequency of access is less than once a month.</i></p>	
<p>17. <b>List any state statute or federal regulation that specifies a retention time for the records in this series:</b></p>	
<p>18. <b>Do statutes of limitations apply to the records in this series?</b></p>	<p><input type="checkbox"/> No.  <input type="checkbox"/> Yes. <i>List:</i></p>
<p>19. <b>Are the records subject to financial audit?</b></p>	<p><input type="checkbox"/> No.  <input type="checkbox"/> Yes. <i>By whom?</i></p>
<p>20. <b>How many years do the records have administrative, operational or business value to the department?</b></p>	