RECORDS MANAGEMENT

DEPARTMENT OF THE TREASURY,
DIVISION OF REVENUE AND
ENTERPRISE SERVICES,
RECORDS MANAGEMENT SERVICES

RECORDS MANAGEMENT SERVICES
Records Management Services, Division of Revenue and Enterprise Services, Department of the Treasury is the agency responsible for records management for all public agencies throughout the State of New Jersey.

The Units’s primary functions are:

• Records Management
• Imaging Registration
• Artemis
DESTRUCTION OF PUBLIC RECORDS ACT
(PL 1953, C. 410): STATE RECORDS COMMITTEE

The Destruction of Public Records Act (PL 1953, c. 410) created the State Records Committee (SRC) with having final authority over public records. State Records Committee Meetings are held every other month at the State Records Center.

The SRC consists of representatives from:

- State Attorney General
- State Auditor
- State Treasurer
- Director of Division of Archives
- Director of Local Government Services/Department of Community Affairs

WHAT IS A PUBLIC RECORD?

- Public records are records of activities, created on a daily basis, of an operating unit of government or an agent of government. These records are owned by the citizens.
- Any document, in any format, that has been created, maintained, or kept on file by the agency is a public record.
  - Paper
  - Microfilm
  - Electronic
  - Recordings (Tapes, CDs, Videos, etc.)
- Any information that a public agency generates or receives in the transaction of its official duties is a public record.

These records may be subject to the OPEN PUBLIC RECORDS ACT (OPRA)
Contact OPRA at 1-866-850-0511
RECORDS RETENTION SCHEDULE

- Detailed listing of the records maintained by an agency and the minimum legal and fiscal time periods they must be retained.

The records retention schedule addresses:

- Legal, Fiscal & Administrative Value
- Records retention - how long the record must maintained (permanent, yearly, periodic review, as updated, after verification, etc.)
- Historical Record
- Final Disposition: Destroy, Archival Review, Archives

2 Types of Schedules:

- **General** schedules list record series that are common to most offices-e.g., correspondence, invoices, personnel files, etc.

- **Agency Specific** schedules list record series unique to a particular agency.

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<table>
<thead>
<tr>
<th>Record Series #</th>
<th>Record Title and Description</th>
<th>Retention Policy</th>
<th>Minimum Period in Agency</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>0001-0002</td>
<td>Bank Books</td>
<td>X</td>
<td>P 5 Years</td>
<td>Destroy</td>
</tr>
<tr>
<td>0002-0002</td>
<td>Bank Statements</td>
<td>X</td>
<td>P 5 Years</td>
<td>Destroy</td>
</tr>
<tr>
<td>0003-0002</td>
<td>Cashier Slips</td>
<td>X</td>
<td>P 5 Years</td>
<td>Destroy</td>
</tr>
<tr>
<td>0004-0002</td>
<td>Check File</td>
<td>X</td>
<td>P 5 Years</td>
<td>Destroy</td>
</tr>
<tr>
<td>0004-0001</td>
<td>Check File - Checks</td>
<td>X</td>
<td>P 5 Years</td>
<td>Destroy</td>
</tr>
<tr>
<td>0004-0002</td>
<td>Check File - Check Register</td>
<td>X</td>
<td>P 5 Years</td>
<td>Destroy</td>
</tr>
<tr>
<td>0004-0003</td>
<td>Check File - Self Scanned Deposited Checks</td>
<td>X</td>
<td>P 5 Years</td>
<td>Destroy</td>
</tr>
</tbody>
</table>

* P - Public, C - Confidential
DAMAGED RECORDS - PREVENTION

State and Local government agencies, districts and authorities are required by law to protect their records. A disaster prevention/recovery plan should be established before the disaster occurs. Damage can result from catastrophic events (a computer system crash, security breach, terrorist attack), or following damage to agency facilities due to as a acts of nature (floods, fires, hurricanes, earthquakes or water leak.)

A Prevention plan involves protection of records starting from their creation. It’s records-proofing your office; making the office environment safe and protecting the records from damage or harm’s way.

Make these considerations when developing a plan:

- Records should be stored in areas that protect against damage or destruction from fire, water and other disasters. Consider temperature and climate controlled rooms, fire proof cabinets, pest control, etc.
- For computerized records and database systems, work with your information technology team to obtain off-site back-up and/or replication of records that are stored in digital format.
- Safeguarding privacy and security of records — create authorization procedures and institute theft prevention measures.

AN OUNCE OF PREVENTION IS WORTH A POUND OF CURE
DAMAGED RECORDS - RECOVERY

Despite the steps taken to prevent damage to records, systems may fail and records will occasionally be damaged. A Recovery Plan will assist the agency that has been impacted by a disaster.

In the aftermath of a disaster, once the facility is safe to enter, it is imperative that the agency conduct an assessment to determine the status of records. These are the initial and some of the most important steps to take:

- Consult with a qualified records restoration company to determine the extent of the damage and restoration costs.
- Review your insurance policy and determine your coverage.
- Obtain a master list of all damaged documents and apply appropriate records retention schedule.
- Determine if damaged records can be duplicated from other sources.

Refer to Records Management Services website for additional information and relevant forms.
http://www.state.nj.us/treasury/revenue/rms/disasterresponse.shtml

RECORDS DISPOSAL

DO NOT DESTROY WITHOUT APPROVAL!

A request and authorization for Records disposal submitted through Artemis is required to document an official request for destruction by all state, county and municipal agencies. This process ensures that records earmarked for destruction are not needed by the agency in the transaction of its current business and do not appear to have sufficient administrative, legal, research or other value to warrant their continued preservation by the agency.

All public records that contain private or confidential information shall require disposal by shredding, recycling, degaussing or deleting so that the information contained therein cannot be read or reconstructed.

Proper authorization removes OPRA, Legal, and Fiscal Liabilities.

Cost savings through reduced purchase and maintenance of real estate, equipment and supplies.

Increases in efficiency and safety through the removal of unnecessary files, and reduces staff time allocated to managing unneeded files.
WHAT IS ARTEMIS?

Artemis is a web based program designed to assist agencies with the “Request and Authorization for Records Disposal,” in a more efficient manner.

- Quicker Processing Time
- Less Data Entry Errors
- Access System Generated Reports
- Search Current Retention Schedules
- Designate Multiple Users
- Electronic Signatures for all agencies

IMAGING

All public agencies seeking to image their hardcopy public records must obtain an Imaging Certificate to ensure their compliance with the Public Records Laws and State Imaging Standards (N.J.A.C. 15:5-3).

- The system must be registered with the Division of Revenue and Enterprise Services – Record Management Services.
- Any records with a retention of 10+ years must have an additional form of backup (approved migration path, microfilm or original paper).

Key Benefits

Quick and Effective Retrieval
Space Savings
Preservation

File Integrity
Security
Preservation
AMENDED RULE CHANGES

Title 15 of the New Jersey Administrative Code was amended to mark a new era in public records management.

Major Changes Include:

- Imaging Systems are no longer certified. They now go through a “Registration” process and are approved by Records Management Services.
- PDF/A file format is now acceptable.
- Multi-Functional Devices (MFDs) with a secured log-in are acceptable.
- Elimination of hard copies and microfilm for those systems with an approved “Migration Path”.

E-MAIL FOR COUNTY AND LOCAL GOVERNMENT

An agency may use traditional general and agency-specific retention schedules when requesting authorization to dispose of email-based records, provided the requestors can attest that only the records series cited in the agency request (and no other types of records) are included. Alternately, the agency may use the general email record schedule item (0800-0001), to request disposition of E-Mail.

Record Series (0800-0001):

This schedule facilitates the management of E-Mail records of all kinds that pertain to routine administrative activities that are not otherwise classified by their record type. To use this schedule, agencies must attest that their E-Mail systems and general management practices incorporate elements designed to ensure soundness and accountability with respect to E-Mail records maintenance, access and destruction. Agencies must make these attestations each time they request authority, via ARTEMIS, to dispose of E-Mail in the general schedule category (Note 1).
Attestation elements include:

• That the agency's general records management program ensures that records with retention periods exceeding seven (7) years are held for the prescribed periods of time, in accessible form, in a records-keeping system(s) that is separate from the E-Mail system (Notes 2 and 3);

• That the E-Mail system used by the agency includes a central storage and management system for E-Mail that is separate from copies of E-Mail stored in the end-users' email boxes, wherein only authorized information technology and/or records management staff control the disposition of E-Mail records stored in the centrally-managed system, includes provisions for administration of "litigation holds" and wherein individual end-users cannot delete email records from the central storage/management system (Note 2);

• That the agency has adopted acceptable use polices for E-Mail and internet usage, with supporting employee training and/or informational programs;

• That the agency's system possesses security controls that guard against unauthorized access, use, modification, dissemination, disclosure and/or destruction of E-Mail records; and

• That the agency has back-up/disaster recovery services in place that allow for the restoration of E-Mail records following catastrophic or disruptive events.

Note 1: An agency may dispose of E-Mail records sooner than the retention period in this schedule if the planned disposition action is in accordance with a specific general records schedule item. In each disposition request involving shorter term items, the agency will be required to attest that the disposition action includes only the type of record described in the records schedule item referenced in the request. For instance, a request to dispose of E-Mail described as internal correspondence must include an attestation that in fact, only E-Mail records of internal correspondence aged greater than one year (and no other types of records) are included in the request.

Note 2: Centrally managed E-Mail vaults and journals, cloud-based services, enterprise content management platforms and/or file shares may be used as separate records-keeping systems and for addressing the general requirement for central storage and management of E-Mail.

Note 3: Use of this General E-Mail schedule is not permitted if the agency creates/receives E-Mail messages and/or associated attachments with retention periods exceeding seven (7) years and does not store the items in a separate records-keeping system.
Records Management Services (RMS)

http://www.state.nj.us/treasury/revenue/rms/index.shtml

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