



AGENDA
STATE RECORDS COMMITTEE
September 17, 2015
10:00AM

Location: New Jersey State Records Center Conference Room
2300 Stuyvesant Avenue
Trenton, NJ 08625-0661
(www.nj.gov/treasury/revenue/rms/directions.shtml)

Announcement of Open Public Meeting

- I. Review of July 16, 2015 minutes**
- II. Administrative Actions:**
 - A. Announcement of Approval of Destruction Authorization:**
 - 1. Routine Request: #86-270 – #86-879
 - 2. Artemis Request: #521188 - #522030
 - B. Registered Imaging Systems / Amendments / Annual Reviews:**
Report to the State Records Committee (See Attached)
- III. Old Business:**
 - A. Records Retention Schedules:** (See Attached)
 - County Agency General Schedule** - C820000-010 – Presented by Nichole Carthan & Vilirie Perry – Item 0706-0000 - Video Surveillance Recordings Only
 - Municipal Agency General Schedule** – M100000-009 – Presented by Nichole Carthan & Vilirie Perry - Item 0706-0000 - Video Surveillance Recordings Only
 - State General Schedule** - G100000-007 – Presented by Nichole Carthan & Vilirie Perry – Item 2100-0000 - Video Surveillance Recordings Only
- IV. Records Retention:**
 - A. Records Retention Schedules:** (See Attached)
 - Department of Health** – Presented by John Berry
Commissioner's Office, Health Care Quality Assessment – S460119-002
 - State General Schedule** - Presented by Irwin Nadel
Electronic Records - G100000-007 Items 2200-0000 – 2214-0000
- V. Other Business: (None)**



MINUTES
STATE RECORDS COMMITTEE
July 16, 2015

Michael J. Tyger, Secretary, called the 418th meeting of the State Records Committee to order at 10:04 a.m. on the above date. He stated that notice of the meeting had been posted in the Secretary of State's Office and published in the state's daily newspapers in conformance with the requirements of the Open Public Meetings Act.

Mr. Tyger stated that there is a quorum with all members present and welcomed Colleen Kelly, from Department of Community Affairs, Division of Local Government Services. Mr. Tyger also stated that Ms. Kelly is observing today's proceedings as we transition to new representation from that department.

ATTENDANCE:

SRC: State Treasurer, Michael Tyger, designee
State Auditor, William Robinson, designee
Division of Local Government Services, Colleen Kelly
Attorney General, Todd Wigder, designee & Cameryn Hinton, alternate designee
State Archives, Joseph Klett

Staff: Sharon Allen, Technical Assistant II, Records Management Services
John Berry, Records Analyst I, Records Management Services
Nichole Carthan, Records Manager, Records Management Services
Vilirie D. Perry, Records Analyst I, Records Management Services
Irwin Nadel, Chief of Operations, Records Management Services
Marcella Giordano, Records Analyst II, Records Management Services
Baljinder Pannu, Data Entry Operator, Records Management Services
Marcella Campbell, Technical Assistant I, Treasury
Virma Guzman-Reyes, Head Audit Account Clerk, Records Management Services
Ellen Callahan, NJ State Archives, Department of State

Other: Elaine White, Department of Health
Marguerite Hubscher, Lisa Chiarello, George Rojas, Mercer County Clerk's Office
Robert Gallagher, City of Jersey City
Dan Freed, Sussex County
Allen Kurdyln, Vinny Giacomini, Somerset County
Marc Pfeiffer, Bloustein Local

Joanne McKinley, Accses NJ /CNA Services
Sharon Young, West Windsor Township

MINUTES:

APPROVAL OF PREVIOUS SRC MEETING MINUTES:

Upon motion, seconded, the Committee voted to approve the May 21, 2015 minutes, three (3) yes, none (0) no, and one (1) abstention.

I. ADMINISTRATIVE ACTIONS:

A. Announcement of Approval of Destruction Authorizations:

- 1. Secretary Tyger announced the approval of routine hardcopy request for disposal of public Records: #86-019 - #86-269**
- 2. Secretary Tyger announced the approval of routine online Artemis requests for disposal of public records: #520248 - #521187**

B. Records Management:

Report to the State Records Committee: (See attached)

C. Imaging Processing System Certification:

Report to the State Records Committee: (See attached)

II. IMAGING CERTIFICATION:

- A. Borough of Ship Bottom** – Borough of Ship Bottom proposes an imaging system. AccuScan Digital Archival Solutions is the vendor. Hudson Community Enterprises will produce their archival microfilm. As recommended by the certifying Records Analyst, Marcella Giordano, the system meets all of the requirements for certification. Upon motion, seconded, the Committee approved certification of the applicant’s image processing system. (Certification #15071601-MF)
- B. Clearview Regional High School** - Clearview Regional High School proposes an imaging system. AccuScan Digital Archival Solutions is the vendor. Hudson Community Enterprises will produce their archival microfilm. As recommended by the certifying Records Analyst, Vilirie Perry, the system meets all of the requirements for certification. Upon motion, seconded, the Committee approved certification of the applicant’s image processing system. (Certification #15071602-MF)
- C. Ridgewood Public Schools** - Ridgewood Public Schools proposes an imaging system. AccuScan Digital Archival Solutions is the vendor. Access New Jersey will produce their archival microfilm, by way of Hudson Community Enterprises. As recommended by the certifying Records Analyst, Vilirie Perry, the system meets all of the requirements for certification. Upon motion, seconded, the Committee approved certification of the applicant’s image processing system. (Certification #15071603-MF)

III. OLD BUSINESS:

- A. Special Request and Authorization for Disposal of Damaged Records** - (See attached)
1. **Old Bridge Library** – Presented by Vilirie Perry – Old Bridge Library met all conditions that were required when the destruction request was approved at the May 21, 2015 meeting.

IV. NEW BUSINESS:

A. Records Retention Schedules (See Attached)

Community Affairs – Presented by Nichole Carthan

Local Government Services – Local Finance Board (DCA) – S220303-004 Item 0002-0000 – Approved without changes.

Department of Health – Presented by John Berry

Division of HIV, STD and TB Services, Bureau of Tuberculosis Control – S461310-001 – Approved without changes.

County Agency General Schedule (Video Surveillance Recordings) – Presented by Nichole Carthan & Vilirie Perry – C820000-010 Item 0706-0000 – Tabled

Municipal Agency General Schedule (Video Surveillance Recordings) – Presented by Nichole Carthan & Vilirie Perry – M100000-009 Item 0706-0000 - Tabled

State General Schedule (Video Surveillance Recordings) – Presented by Nichole Carthan & Vilirie Perry – G100000-007 Item 2100-0000 - Tabled

After some excellent questions and debate on exact meaning and wording, as well as some valuable input from the attendees of this public session, the committee decided to hold any voting on the County, Municipal & State schedules for video surveillance records until the language can be modified and Criminal Justice review can be completed. The plan will be to complete the changes and review and bring the schedules back for voting at the next SRC meeting.

V. OTHER BUSINESS:

1. Records Management noted that, with rule changes now in effect, the Image Processing System Certification process will no longer be required. Rather, agencies will go through Registration for Public Records Management systems and some type of report will be developed to put these routine registrations on the record through SRC minutes. Marc Pfeiffer commended the Records Management staff for all the work that was done for updating and streamlining records management rules.
2. Irwin Nadel of DORES brought up the continuing need to meet with Archives regarding procedural changes and Mr. Klett's concerns about identifying records for archival review. Mr. Nadel noted that Artemis may assist with some of the procedural issues.

3. Mr. Nadel asked about scheduling a special SRC meeting in August regarding the IT Data Retention Schedules that were presented a few months ago. However, the details must still be worked out between Archives and DORES. Without the schedules being ready at this point, and without a definite commitment that they could be ready for August, Mr. Tyger suggested that a Special Meeting is premature. Instead, the goal will be to bring final schedules to the next SRC Meeting in September.

There being no other business, the Committee adjourned at 11:05 am.

Michael Tyger
Secretary
State Records Committee

Registered Imaging Systems / Amendments / Annual Reviews September 17, 2015

| Action Type/Analyst | Registration # | Agency | Comments | Vendor (if Applicable) |
|---|-----------------------|---|--|---|
| New Registration: Vilirie Perry | 15091701- MF | Folsom Elementary School District | System meets all requirements for registration. | AccuScan Digital Archival Solutions/ ACCSES New Jersey CNA |
| New Registration: Vilirie Perry | 15091702- MF | Pascack Valley Regional High School District | System meets all requirements for registration. | AccuScan Digital Archival Solutions/ ACCSES New Jersey CNA |
| New Registration: Vilirie Perry | 15091703- MF | Passaic County Educational Services Commission | System meets all requirements for registration. | AccuScan Digital Archival Solutions/ ACCSES New Jersey CNA |
| New Registration: Vilirie Perry | 15091704- MF | Pohatcong Schools | System meets all requirements for registration. | AccuScan Digital Archival Solutions/ ACCSES New Jersey CNA |
| New Registration: Vilirie Perry | 15091705- NM | William Paterson University | System meets all requirements for registration. | N/A |

Registered Imaging Systems / Amendments / Annual Reviews September 17, 2015

| Action Type/Analyst | Registration # | Agency | Comments | Vendor (if Applicable) |
|--|-----------------------|---|---|--|
| Annual Review & Amendment: Marcella Campbell | 00121401-MF | County of Middlesex Office of the County Clerk | Added Records Series | N/A |
| Annual Review & Amendment: Marcella Campbell | 02051601-NM | Township of Upper Clerk's Office | Added Records Series, New/Upgrade of Hardware | N/A |
| Annual Review & Amendment: James Jenkins | 03061901-NM | New Jersey Health Care Facilities Financing Authority Division of Operations | Change in Support Vendor, Upgrade of Disaster Recovery Plan | Integrated Data Solutions |
| Annual Review & Amendment: John Berry | 07031501-MF | Union County Enterprise Wide | Added Records Series New/Upgrade of Software, Upgrade of Disaster Recovery Plan | N/A |
| Annual Review & Amendment: Marcella Campbell | 07110802-MF | County of Middlesex Planning and Engineering | Change in Support Vendor | Switched from LargDoc solutions to AccScan |
| Annual Review & Amendment: John Berry | 08032004-MF | County of Sussex Clerk's Office | New/Upgrade of Software | N/A |

Registered Imaging Systems / Amendments / Annual Reviews September 17, 2015

| Action Type/Analyst | Registration # | Agency | Comments | Vendor (if Applicable) |
|--|-----------------------|---|---|-------------------------------|
| Annual Review & Amendment: John Berry | 08071702-MF | County of Sussex Office of the Clerk E-Recording | New/Upgrade of Software | N/A |
| Annual Review & Amendment: John Berry | 08121801-MF | Department of Law & Public Safety, Consumer Affairs | Added Records Series, Upgrade of Disaster Recovery Plan, New/Upgrade of Hardware, New/Upgrade of Software | N/A |
| Annual Review & Amendment: John Berry | 09082004-MF | County of Union Engineering | Added Records Series, Upgrade of Disaster Recovery Plan | N/A |
| Annual Review & Amendment: John Berry | 11012030-NM | Lakeland Regional High School | Added Records Series | N/A |
| Annual Review & Amendment: John Berry | 12021601-NM | Borough of Roselle Park | Added Records Series, Upgrade of Disaster Recovery Plan | N/A |
| Annual Review & Amendment: Vilirie Perry | 13071807-NM | Rowan University Enterprise Systems | New/Upgrade of Hardware | N/A |
| Annual Review: James Jenkins | 02041802-NM | Borough of Carteret Clerk's Office | N/A | N/A |

Registered Imaging Systems / Amendments / Annual Reviews September 17, 2015

| Action Type/Analyst | Registration # | Agency | Comments | Vendor (if Applicable) |
|--|-----------------------|---|-----------------|-------------------------------|
| Annual Review: James Jenkins | 06042001- NM | City of Summit Clerk's Office | N/A | N/A |
| Annual Review: James Jenkins | 07021505- MF | County of Hudson Enterprise Wide | N/A | N/A |
| Annual Review: Marcella Giordano | 07051703- MF | County of Morris Clerk's Office | N/A | N/A |
| Annual Review: Marcella Giordano | 08061902- MF | County of Morris E- Recording | N/A | N/A |
| Annual Review: Marcella Campbell | 09021903- NM | County of Hunterdon Prosecutor's Office | N/A | N/A |
| Annual Review: Vilirie Perry | 09071605- NM | Rutgers University Robert Wood Johnson Medical School | N/A | N/A |
| Annual Review: Marcella Giordano | 10102126- MF | Parsippany- Troy Hills Township | N/A | N/A |

| Registered Imaging Systems / Amendments / Annual Reviews September 17, 2015 | | | | |
|--|-----------------------|--|-----------------|-------------------------------|
| Action Type/Analyst | Registration # | Agency | Comments | Vendor (if Applicable) |
| Annual Review: Marcella Giordano | 10052010- MF | Borough of Palisades Park | N/A | N/A |
| Annual Review: Vilirie Perry | 11012031- NM | West Orange Board of Education | N/A | N/A |
| Annual Review: Marcella Giordano | 11072106- MF | City of Millville | N/A | N/A |
| Annual Review: Vilirie Perry | 12062104- MF | New Providence School District | N/A | N/A |
| Annual Review: Marcella Campbell | 14051503- NM | Ocean County Board of Social Services | N/A | N/A |
| Annual Review: John Berry | 14051506- NM | Hudson County Department of Family Services Division of Welfare | N/A | N/A |

| RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT | | | |
|---|--|---|------------------------|
| DEPARTMENT SCHEDULE HEADING | County Agency General Records Retention Schedule | | AGENCY #C820000 |
| DIVISION: | SCHEDULE #010 | | |
| BUREAU: | PAGE # | 1 | OF 1 |

AMENDMENTS

| | |
|-----------------------------|--|
| FORMER AGENCY NAME | County Agency General Records Retention Schedule |
| FORMER AGENCY NUMBER | C820000 |
| FORMER SCHEDULE # | 009 |

AMENDMENTS

| RECORD SERIES # | RECORD SERIES NAME | TYPE OF CHANGE | FORMER DESIGNATION | NEW DESIGNATION |
|----------------------------|-------------------------------|---------------------------|---------------------------|------------------------|
| 0706-0000 | Video Surveillance Recordings | New | | |

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|---|--|---|---|--------------------------|
| RECORDS RETENTION AND DISPOSITION SCHEDULE | | AGENCY # C820000 | SCHEDULE # 010 | PAGE # 1 OF 32 |
| DEPARTMENT: County Agency General Records Retention Schedule | | AGENCY REPRESENTATIVE: Colleen Kelly | | |
| DIVISION: | | TITLE: Supervising Community Service Officer | | |
| BUREAU: | | PHONE #: 609-292-0827 | | |
| SCHEDULE APPROVAL: Unless in litigation, the records covered by this schedule, upon expiration of their retention periods, will be deemed to have no continuing value to the State of New Jersey and will be disposed of as indicated in accordance with the law and regulations of the State Records Committee. This schedule will become effective on the date approved by the State Records Committee. | | | | |
| AGENCY REPRESENTATIVE SIGNATURE | | DATE: | SECRETARY, STATE RECORDS COMMITTEE SIGNATURE | DATE: |
| | | | | |

| RECORDS SERIES # | RECORD TITLE & DESCRIPTION | RETAIN IN | | DISPOSITION |
|------------------|---|-----------|----------------|-------------|
| | | AGENCY | RECORDS CENTER | |
| | <p style="text-align: center;">Acknowledgement</p> <p>Please review the attached Records Retention Schedule, making any additions, deletions or changes as necessary. Once the schedule has met your satisfaction, please sign this page as the agency representative. With this signature, you acknowledge that you have reviewed and approved this schedule. Please be advised that changes may subsequently be suggested/made to this schedule by a panel of Records Analysts at the State Records Center. If revisions are suggested/made, you will be notified of such. The schedule will then be presented to the State Records Committee for final approval.</p> <p style="text-align: center;">Management of Electronic Records</p> <p>This records retention schedule includes records series which are maintained in an electronic format. In the normal course of business, the agency will take the necessary actions to ensure: hardware and software maintenance, backup procedures, security measures, and compliance with the rules and regulations pertaining to the maintenance of public records. Any reference made herein to the process of data erasure means the process of data degaussing.</p> | | | |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE | AGENCY # | SCHEDULE # | PAGE # |
| | C820000 | 010 | 32 OF 32 |

| RECORDS SERIES # | RECORD TITLE & DESCRIPTION | RETAIN IN | | DISPOSITION |
|------------------|--|--|----------------|-----------------|
| | | AGENCY | RECORDS CENTER | |
| 0705-0001 | Usage Log Log tracking agency and/or employee Internet usage. Includes: history file listing, cache, cookies, and supporting documentation. | 30 days | | Destroy |
| 0705-0002 | Transaction/Click Through Log Log tracking the number of times an agency's website is accessed from outside the agency. | 30 days | | Destroy |
| 0705-0003 | Website Creation and Update File File pertaining to an agency's website creation and upgrade(s). Contains: research documents, source code, input documents, testing reports, screen copies, and supporting documentation. | 30 days after website is discontinued | | Destroy |
| 0705-0004 | Information Technology Program Documentation File File contains but is not limited to application documentation, source and object code, test results, data models for application development, backup and recovery documentation, and application standards. | 7 yrs after program is either superseded or discontinued | | Archival review |
| 0705-0005 | Information Technology Operating System Documentation File File contains but is not limited to system requirements, design, and supporting documents; production environment data; and backup and recovery documentation. | 7 yrs after system is either superseded or discontinued | | Archival review |
| 0706-0000 | Video Surveillance Recordings Real-time footage of buildings, grounds, and physical properties that are owned or controlled via leases or other contractual arrangements by the County offices of the State of New Jersey. If an incident on the footage has been reported, the agency must defer to appropriate law enforcement schedule. (Incidents may include things such as a slip and fall, motor vehicle accident or crime). | 30 days after last recording or until the footage is properly passed to a responsible official if a reportable incident occurs | | Destroy |

| RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT | | | |
|---|---|------------------------|-------------|
| DEPARTMENT SCHEDULE HEADING | Municipal Agency General Records Retention Schedule | AGENCY #M100000 | |
| DIVISION: | | SCHEDULE #009 | |
| BUREAU: | | PAGE # 1 | OF 1 |

AMENDMENTS

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|-----------------------------|---|
| FORMER AGENCY NAME | Municipal Agency General Records Retention Schedule |
| FORMER AGENCY NUMBER | M100000 |
| FORMER SCHEDULE # | 008 |

AMENDMENTS

| RECORD SERIES # | RECORD SERIES NAME | TYPE OF CHANGE | FORMER DESIGNATION | NEW DESIGNATION |
|------------------------|-------------------------------|-----------------------|---------------------------|------------------------|
| 0706-0000 | Video Surveillance Recordings | New | | |

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|---|--|---|---|--------------------------|
| RECORDS RETENTION AND DISPOSITION SCHEDULE | | AGENCY # M100000 | SCHEDULE # 009 | PAGE # 1 OF 33 |
| DEPARTMENT: Municipal Agency General Records Retention Schedule | | AGENCY REPRESENTATIVE: Colleen Kelly | | |
| DIVISION: | | TITLE: Supervising Community Service Officer | | |
| BUREAU: | | PHONE #: 609-292-0827 | | |
| SCHEDULE APPROVAL: Unless in litigation, the records covered by this schedule, upon expiration of their retention periods, will be deemed to have no continuing value to the State of New Jersey and will be disposed of as indicated in accordance with the law and regulations of the State Records Committee. This schedule will become effective on the date approved by the State Records Committee. | | | | |
| AGENCY REPRESENTATIVE SIGNATURE | | DATE: | SECRETARY, STATE RECORDS COMMITTEE SIGNATURE | |
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| RECORDS SERIES # | RECORD TITLE & DESCRIPTION | RETAIN IN | | DISPOSITION |
|------------------|---|-----------|----------------|-------------|
| | | AGENCY | RECORDS CENTER | |
| | <p align="center">Acknowledgement</p> <p>Please review the attached Records Retention Schedule, making any additions, deletions or changes as necessary. Once the schedule has met your satisfaction, please sign this page as the agency representative. With this signature, you acknowledge that you have reviewed and approved this schedule. Please be advised that changes may subsequently be suggested/made to this schedule by a panel of Records Analysts at the State Records Center. If revisions are suggested/made, you will be notified of such. The schedule will then be presented to the State Records Committee for final approval.</p> <p align="center">Management of Electronic Records</p> <p>This records retention schedule includes records series which are maintained in an electronic format. In the normal course of business, the agency will take the necessary actions to ensure: hardware and software maintenance, backup procedures, security measures, and compliance with the rules and regulations pertaining to the maintenance of public records. Any reference made herein to the process of data erasure means the process of data degaussing.</p> | | | |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE | AGENCY # M100000 | SCHEDULE # 009 | PAGE # 33 OF 33 |
|---|----------------------------|--------------------------|---------------------------|

| RECORDS SERIES # | RECORD TITLE & DESCRIPTION | RETAIN IN | | DISPOSITION |
|------------------|---|--|----------------|-----------------|
| | | AGENCY | RECORDS CENTER | |
| 0705-0004 | Information Technology Program Documentation File File contains but is not limited to application documentation, source and object code, test results, data models for application development, backup and recovery documentation, and application standards. | 7 yrs after program is either superseded or discontinued | | Archival review |
| 0705-0005 | Information Technology Operating System Documentation File File contains but is not limited to system requirements, design, and supporting documents; production environment data; and backup and recovery documentation. | 7 yrs after system is either superseded or discontinued | | Archival review |
| 0706-0000 | Video Surveillance Recordings Real-time footage of buildings, grounds, and physical properties that are owned or controlled via leases or other contractual arrangements by the Municipal offices of the State of New Jersey. If an incident on the footage has been reported, the agency must defer to appropriate law enforcement schedule. (Incidents may include things such as a slip and fall, motor vehicle accident or crime). | 30 days after last recording or until the footage is properly passed to a responsible official if a reportable incident occurs | | Destroy |

| RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT | | | |
|---|---|---|-------------------------|
| DEPARTMENT | State Agency General Records Retention Schedule | | AGENCY # G100000 |
| DIVISION: | SCHEDULE # 007 | | |
| BUREAU: | PAGE # | 1 | OF 1 |

AGENCY AMENDMENTS

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| FORMER AGENCY NAME (DEPARTMENT/DIVISION/BUREAU) | State Agency General Records Retention Schedule |
| FORMER AGENCY NUMBER | G100000 |
| FORMER SCHEDULE # | 006 |

RECORDS SERIES AMENDMENTS

| RECORD SERIES # | RECORD SERIES NAME | TYPE OF CHANGE | FORMER DESIGNATION (IF APPLICABLE) | NEW DESIGNATION (IF APPLICABLE) |
|------------------------|-------------------------------|-----------------------|---|--|
| 2100-0000 | Video Surveillance Recordings | New | | |

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|---|--|---|---|--------------------------|
| RECORDS RETENTION AND DISPOSITION SCHEDULE | | AGENCY # G100000 | SCHEDULE # 007 | PAGE # 1 OF 43 |
| DEPARTMENT: State General Records Retention Schedule | | AGENCY REPRESENTATIVE: Irwin Nadel | | |
| DIVISION: | | TITLE: Chief | | |
| BUREAU: | | PHONE# 609.530.3201 | | |
| SCHEDULE APPROVAL: Unless in litigation, the records covered by this schedule, upon expiration of their retention periods, will be deemed to have no continuing value to the State of New Jersey and will be disposed of as indicated in accordance with the law and regulations of the State Records Committee. This schedule will become effective on the date approved by the State Records Committee. | | | | |
| AGENCY REPRESENTATIVE SIGNATURE | | DATE: | SECRETARY, STATE RECORDS COMMITTEE SIGNATURE | |
| | | | | |

| RECORDS SERIES # | RECORD TITLE & DESCRIPTION | RETAIN IN | | DISPOSITION |
|------------------|---|-----------|----------------|-------------|
| | | AGENCY | RECORDS CENTER | |
| | <p style="text-align: center;">Acknowledgement</p> <p>Please review the attached Records Retention Schedule, making any additions, deletions or changes as necessary. Once the schedule has met your satisfaction, please sign this page as the agency representative. With this signature, you acknowledge that you have reviewed and approved this schedule. Please be advised that changes may subsequently be suggested/made to this schedule by a panel of Records Analysts at the State Records Center. If revisions are suggested/made, you will be notified of such. The schedule will then be presented to the State Records Committee for final approval.</p> <p style="text-align: center;">Management of Electronic Records</p> <p>This records retention schedule includes records series which are maintained in an electronic format. In the normal course of business, the agency will take the necessary actions to ensure: hardware and software maintenance, backup procedures, security measures, and compliance with the rules and regulations pertaining to the maintenance of public records. Any reference made herein to the process of data erasure means the process of data degaussing.</p> | | | |

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|---|----------------------------|--------------------------|---------------------------|
| RECORDS RETENTION AND DISPOSITION SCHEDULE | AGENCY # G100000 | SCHEDULE # 007 | PAGE # 43 OF 43 |
|---|----------------------------|--------------------------|---------------------------|

| RECORDS SERIES # | RECORD TITLE & DESCRIPTION | RETAIN IN | | DISPOSITION |
|------------------|---|--|----------------|-------------|
| | | AGENCY | RECORDS CENTER | |
| 2000-0008 | E-Mail Record Reports and Publications Agency e-mail records pertaining to or encompassing: Agency Monthly Report(Copy) and Agency Weekly Report (Original and Copy). Records Series Included: 1601-0000 through 1602-0000. *Destroy as per CL. 14-12 DORES/OIT | 7 yrs | | Destroy |
| 2100-0000 | Video Surveillance Recordings Real-time footage of buildings, grounds, and physical properties that are owned or controlled via leases or other contractual arrangements by the State of New Jersey. If an incident on the footage has been reported, the agency must defer to appropriate law enforcement schedule. (Incidents may include things such as a slip and fall, motor vehicle accident or crime). | 30 days after last recording or until the footage is properly passed to a responsible official if a reportable incident occurs | | Destroy |

Research: Video Surveillance Recordings

| Source: | Series # | Description | Retention Time |
|----------------------------------|-----------------------|--|--|
| Missouri | GS 088 | Surveillance Camera Video - Records activities in public area such as streets, parking garage, and public buildings including city halls, schools, courthouses and jails | 30 days and review |
| Virginia | 12281 | Security and Surveillance Tapes: Not Used as Evidence - This series documents the surveillance and monitoring of a building or area for security purposes. This series may include, but is not limited to audio or video recordings. | 30 Days after creation |
| Rhode Island | GRS 3.6 | Video Monitoring Tapes/Digital Recordings - Recording media used for the surveillance of property/building/rooms for security purposes. May include video tapes, digital media. | thirty (30) days before reuse |
| Washington State | GS50-06B-18 | Security Monitoring – Oversight/ Surveillance Recordings | Retain for 30 days after last recording or until determined that no incident occurred, whichever is sooner |
| New York State | 90303 | Building Visitor Logs and Security Videotapes - Logs of entry to and exit from agency facilities containing visitor name, organization or business, address, reason for visit or person/unit visited, and dates and times of entry and exit. Also includes videotapes or other recordings prepared for security purposes that document specific incidents and merit retention for administrative or potential legal uses. | Destroy 3 years after the end of the year to which they relate |
| North Carolina County Management | #37 | Office Security Records - Records concerning the security of county offices, facilities, vehicles, equipment, and personnel. May include visitor register, security, employee or contractor access to facilities or resources, and surveillance system reports and recordings. | a) Destroy in office or reuse after 30 days recordings not required to support known investigations or litigation. b) Destroy in office all remaining records after 1 year. |
| NARA | Schedule #21, item 18 | Routine Surveillance Recordings | Destroy when 6 months old (N1-GRS-98-2, item 40) |

Records Retention and Disposition Schedule Amendment

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|--|-----------------|---|----|
| DEPARTMENT: Health | AGENCY #S460119 | | |
| DIVISION: Commissioner's Office | SCHEDULE #002 | | |
| BUREAU: Health Care Quality Assessment | PAGE # | 1 | OF |
| | | | 3 |

Agency Level Amendments

| | |
|--|--|
| Former Agency Name (Department/Division/Bureau) | Department: Health and Senior Services |
| Former Agency Number | N/A |

Records Series Level Amendments

| Record Series # | Record Series Name | Type of Change | Former Designation (if applicable) | New Designation (if applicable) |
|-----------------|--|--|--|--|
| 0001-0000 | Cardiac Services Data Collection/Report (Electronic) | Title; Description; Superseded record series | Cardiac Services Data Collection/Report (Electronic); Patient-level data on cardiac procedures such as surgery, primary and elective angioplasty (also known as PCI), and diagnostic catheterization, performed in NJ hospitals. Patient level cardiac surgery data has been collected since 1994 while catheterization data has been collected since 2001.; S460119 001 0001-0000 | Cardiac Services Data Collection Documents (Electronic); Delete description; S460119 002 0001-0000 |
| 0001-0001 | Cardiac Surgery in New Jersey - Annual Report | Obsolete record series - See: State General Records Retention Schedule | S460119 001 0001-0001 | N/A |
| 0001-0002 | Cardiac Services Data Collection/Report (Electronic) | Title; Description; Superseded record series | Cardiac Services Data Collection/Report (Electronic); N/A; S460119 001 0001-0002 | Cardiac Services Data Collection Documents (Electronic); Patient-level data on cardiac procedures such as surgery, primary and |

*SRC = STATE RECORDS CENTER; CRC = COMMERCIAL RECORDS CENTER

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

RM-10 (1/13)

RECORDS RETENTION AND DISPOSITION SCHEDULE

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|---------------------|-------------------|------------------|
| AGENCY # S460119 | SCHEDULE # 002 | PAGE # 2 OF 3 |
|---------------------|-------------------|------------------|

| | | | | |
|-----------|--|--|---|--|
| | | | | elective angioplasty (also known as PCI), and diagnostic catheterization, performed in NJ hospitals. Patient level cardiac surgery data has been collected since 1994 while catheterization data has been collected since 2001.; S460119 002 0001-0000 |
| 0002-0000 | Uniform Billing Data (UB-04 Form) (Electronic) | Description; Superseded record series | Data collected and used to produce reports on patient admissions and emergency room visits in New Jersey each year. Data is submitted using federally-approved Medicare billing forms (currently UB-04; previously UB92, UB82, and UBPS), for certain categories, such as inpatient admissions, same day surgery, outpatient visits, emergency department visits, and long-term acute care discharges. Data is extracted and provided to specific DHSS programs for analysis. Data is also made available to the public in response to OPRA requests. Summary data is available electronically (DHSS website) on admissions, charges, etc.; S460119 001 0002-0000 | Data collected and used to produce reports on patient admissions and emergency room visits in New Jersey each year. Data is submitted using federally-approved Medicare billing forms (currently UB-04; previously UB92, UB82, and UBPS), for certain categories, such as inpatient admissions, same day surgery, outpatient visits, emergency department visits, and long-term acute care discharges. Data is extracted and provided to specific Department of Health (DOH) programs for analysis. Data is also made available to the public in response to OPRA requests. Summary data is available electronically (DOH website) on admissions, charges, etc.; S460119 002 0002-0000 |
| 0003-0000 | Bariatric Surgery in NJ Report | Obsolete record series - See: State General Records Retention Schedule | S460119 001 0003-0000 | N/A |
| 0004-0000 | Hospital Quality | Obsolete record series - See: State General Records | S460119 001 0004-0000 | N/A |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE | AGENCY # | SCHEDULE # | PAGE # |
| | S460119 | 002 | 3 OF 3 |

| | | Retention Schedule | | |
|-----------|--|--|--|---|
| 0004-0001 | Hospital Quality Indicators Reports | Obsolete record series - See: State General Records Retention Schedule | S460119 001 0004-0001 | N/A |
| 0004-0002 | Hospital Performance Report | Obsolete record series - See: State General Records Retention Schedule | S460119 001 0004-0002 | N/A |
| 0005-0000 | Patient Safety/Medical Error Reporting System | Superseded record series | S460119 001 0005-0000 | S460119 002 0003-0000 |
| 0005-0001 | Patient Safety/Medical Error Reporting System (Data) | Title; Add description; Retention; Superseded record series | Patient Safety/Medical Error Reporting System (Data); N/A; 5 years/Erased; S460119 001 0005-0001 | Patient Safety/Medical Error Reporting System (Electronic/Paper Data); The Patient Safety Regulations provide for the use of aggregated, de-identified data to determine statewide averages and trends in reported preventable adverse events and near-misses within New Jersey healthcare facilities. *NOTE: Retention of the electronic data for 10 years allows the healthcare facilities to monitor trends at their facilities and would be beneficial in their Quality Improvement efforts.; 10 years*/Erased; S460119 002 0003-0000 |
| 0005-0002 | Annual Summary Statistical Report on Patient Safety | Obsolete record series - See: State General Records Retention Schedule | S460119 001 0005-0002 | N/A |

*SRC = STATE RECORDS CENTER; CRC = COMMERCIAL RECORDS CENTER

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

RM-10 (1/13)

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| RECORDS RETENTION AND DISPOSITION SCHEDULE | | AGENCY # S460119 | SCHEDULE # 002 | PAGE # 1 OF 2 |
| DEPARTMENT: | Health | AGENCY REPRESENTATIVE: Elaine White | | |
| DIVISION: | Commissioner's Office | TITLE: Administrative Analyst 1 | | |
| BUREAU: | Health Care Quality Assessment | PHONE #: (609) 292-3614 | | |
| <p>SCHEDULE APPROVAL: Unless in litigation, the records covered by this schedule, upon expiration of their retention periods, will be deemed to have no continuing value to the State of New Jersey and will be disposed of as indicated in accordance with the law and regulations of the State Records Committee. This schedule will become effective on the date approved by the State Records Committee.</p> | | | | |
| AGENCY REPRESENTATIVE SIGNATURE | | DATE: | SECRETARY, STATE RECORDS COMMITTEE SIGNATURE | |
| | | | | |

| RECORDS SERIES # | RECORDS SERIES TITLE AND DESCRIPTION | RETAIN IN | | DISPOSITION |
|------------------|---|-----------|----------------|-------------|
| | | AGENCY | RECORDS CENTER | |
| | <p style="text-align: center;">Acknowledgement</p> <p>Please review the attached Records Retention Schedule, making any additions, deletions or changes as necessary. Once the schedule has met your satisfaction, please sign this page as the agency representative. With this signature, you acknowledge that you have reviewed and approved this schedule. Please be advised that changes may subsequently be suggested/made to this schedule by a panel of Records Analysts at the State Records Center. If revisions are suggested/made, you will be notified of such. The schedule will then be presented to the State Records Committee for final approval.</p> <p style="text-align: center;">Management of Electronic Records</p> <p>This records retention schedule includes records series which are maintained in an electronic format. In the normal course of business, the agency will take the necessary actions to ensure: hardware and software maintenance, backup procedures, security measures, and compliance with the rules and regulations pertaining to the maintenance of public records. Any reference made herein to the process of data erasure means the process of data degaussing.</p> | | | |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE | AGENCY # S460119 | SCHEDULE # 002 | PAGE # 2 OF 2 |
|---|----------------------------|--------------------------|-------------------------|

| RECORDS SERIES # | RECORDS SERIES TITLE AND DESCRIPTION | RETAIN IN | | DISPOSITION |
|------------------|---|-----------|----------------|---------------|
| | | AGENCY | RECORDS CENTER | |
| 0001-0000 | Cardiac Services Data Collection Documents (Electronic) Patient-level data on cardiac procedures such as surgery, primary and elective angioplasty (also known as PCI), and diagnostic catheterization, performed in NJ hospitals. Patient level cardiac surgery data has been collected since 1994 while catheterization data has been collected since 2001. | 20 years | | Erase |
| 0002-0000 | Uniform Billing Data (UB-04 Form) (Electronic) Data collected and used to produce reports on patient admissions and emergency room visits in New Jersey each year. Data is submitted using federally-approved Medicare billing forms (currently UB-04; previously UB92, UB82, and UBPS), for certain categories, such as inpatient admissions, same day surgery, outpatient visits, emergency department visits, and long-term acute care discharges. Data is extracted and provided to specific Department of Health (DOH) programs for analysis. Data is also made available to the public in response to OPRA requests. Summary data is available electronically (DOH website) on admissions, charges, etc. | 10 years | | Erase |
| 0003-0000 | Patient Safety/Medical Error Reporting System (Electronic/Paper Data) Currently, acute care hospitals are required to report adverse patient events and analyze their causes. In the future, reporting requirements will be expanded to include long term care and ambulatory facilities. The Patient Safety Regulations provide for the use of aggregated, de-identified data to determine statewide averages and trends in reported preventable adverse events and near-misses within New Jersey healthcare facilities. *NOTE: Retention of the electronic data for 10 years allows the healthcare facilities to monitor trends at their facilities and would be beneficial in their Quality Improvement efforts. | 10 years* | | Erase/Destroy |

| RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT | | | |
|---|---|---|-------------------------|
| DEPARTMENT | State Agency General Records Retention Schedule | | AGENCY # G100000 |
| DIVISION: | SCHEDULE # 007 | | |
| BUREAU: | PAGE # | 1 | OF 3 |

AGENCY AMENDMENTS

| | |
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| FORMER AGENCY NAME (DEPARTMENT/DIVISION/BUREAU) | State Agency General Records Retention Schedule |
| FORMER AGENCY NUMBER | G100000 |
| FORMER SCHEDULE # | 006 |

RECORDS SERIES AMENDMENTS

| RECORD SERIES # | RECORD SERIES NAME | TYPE OF CHANGE | FORMER DESIGNATION (IF APPLICABLE) | NEW DESIGNATION (IF APPLICABLE) |
|------------------------|--|-----------------------|---|--|
| 2200-0000 | Supplemental Information Sources, Finding Aids and Indexes | New | | |
| 2201-0000 | Output records | New | | |
| 2201-0001 | Ad hoc and routine operational reports | New | | |
| 2201-0002 | Data file outputs | New | | |
| 2202-0000 | Non-recordkeeping copies of electronic records | New | | |
| 2203-0000 | Systems and data security records | New | | |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT | AGENCY # | SCHEDULE # | PAGE # 2 OF 3 |
|---|-----------------|-------------------|-------------------------|

| RECORD SERIES # | RECORD SERIES NAME | TYPE OF CHANGE | FORMER DESIGNATION (IF APPLICABLE) | NEW DESIGNATION (IF APPLICABLE) |
|------------------------|---|-----------------------|---|--|
| 2204-0000 | Computer security incident handling, reporting and follow-up records | New | | |
| 2205-0000 | System access records | New | | |
| 2205-0001 | Records associated with systems that do not require special accountability for access | New | | |
| 2205-0002 | Records associated with systems that require special accountability for access (as defined via regulation or statute) | New | | |
| 2206-0000 | System/transaction backups and tape library records | New | | |
| 2206-0001 | Incremental back-up files | New | | |
| 2206-0002 | Full back-up files | New | | |
| 2206-0003 | Backups of master files and databases | New | | |
| 2207-0000 | Public Key Infrastructure (PKI) records | New | | |
| 2207-0001 | Administrative records | New | | |
| 2207-0002 | Transaction-specific records | New | | |
| 2208-0000 | Information technology development project records | New | | |
| 2209-0000 | System development records | New | | |
| 2210-0000 | Special purpose computer programs and applications | New | | |
| | Information technology operations and | New | | |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT | AGENCY # | SCHEDULE # | PAGE # 3 OF 3 |
|---|-----------------|-------------------|-------------------------|

| RECORD SERIES # | RECORD SERIES NAME | TYPE OF CHANGE | FORMER DESIGNATION (IF APPLICABLE) | NEW DESIGNATION (IF APPLICABLE) |
|------------------------|---|-----------------------|---|--|
| 2211-0000 | maintenance records | | | |
| 2212-0000 | Configuration and Change Management Records | New | | |
| 2213-0000 | Information technology oversight and compliance records | New | | |
| 2214-0000 | Electronic administrative resource files | New | | |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE | | AGENCY # G100000 | SCHEDULE # 007 | PAGE # 1 OF 53 |
| DEPARTMENT: State General Records Retention Schedule | | AGENCY REPRESENTATIVE: Irwin Nadel | | |
| DIVISION: | | TITLE: Chief | | |
| BUREAU: | | PHONE# 609.530.3201 | | |
| SCHEDULE APPROVAL: Unless in litigation, the records covered by this schedule, upon expiration of their retention periods, will be deemed to have no continuing value to the State of New Jersey and will be disposed of as indicated in accordance with the law and regulations of the State Records Committee. This schedule will become effective on the date approved by the State Records Committee. | | | | |
| AGENCY REPRESENTATIVE SIGNATURE | | DATE: | SECRETARY, STATE RECORDS COMMITTEE SIGNATURE | |
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| | | AGENCY | RECORDS CENTER | |
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| | <p style="text-align: center;">Acknowledgement</p> <p>Please review the attached Records Retention Schedule, making any additions, deletions or changes as necessary. Once the schedule has met your satisfaction, please sign this page as the agency representative. With this signature, you acknowledge that you have reviewed and approved this schedule. Please be advised that changes may subsequently be suggested/made to this schedule by a panel of Records Analysts at the State Records Center. If revisions are suggested/made, you will be notified of such. The schedule will then be presented to the State Records Committee for final approval.</p> <p style="text-align: center;">Management of Electronic Records</p> <p>This records retention schedule includes records series which are maintained in an electronic format. In the normal course of business, the agency will take the necessary actions to ensure: hardware and software maintenance, backup procedures, security measures, and compliance with the rules and regulations pertaining to the maintenance of public records. Any reference made herein to the process of data erasure means the process of data degaussing.</p> | | | |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE | AGENCY # G100000 | SCHEDULE # 007 | PAGE # 44 OF 53 |
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| | | AGENCY | RECORDS CENTER | |
|-----------|--|--|-----------------------|---------|
| 2200-0000 | Supplemental Information Sources, Finding Aids and Indexes This series includes electronic abstracts or summaries of records contained in separate original records systems and/or indexes, lists, registers and other finding aids used as reference sources that complement and provide access to separately-stored original records. These records can be used as information sources apart from the related original records. | Retain with related original records or when the agency determines that the abstracts, summaries, finding aids/indexes are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later. | | Destroy |
| 2201-0000 | Output records This series includes records derived directly from the electronic system or database such as system-generated reports (in hardcopy or electronic format), online displays, summary statistical information, or any combination of the above. | | | |
| 2201-0001 | Ad hoc and routine operational reports. Includes reports derived from electronic records or system queries created on an ad hoc, one-time basis or on a periodic basis for reference purposes. This item encompasses ad hoc reports created from or queries conducted across multiple linked databases or systems. | Retain until business use ceases. | | Destroy |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE | AGENCY # G100000 | SCHEDULE # 007 | PAGE # 45 OF 53 |
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| | | AGENCY | RECORDS CENTER | |
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| 2201-0002 | <p>Data file outputs Data files or copies of electronic records created from databases or unstructured electronic records for the purpose of information sharing or reference, including data files consisting of summarized or aggregated information, electronic files consisting of extracted information, print files, and technical reformat files (electronic files consisting of copies of a master file or part of a master file used for information exchange).</p> <p>Exclusion 1: This schedule does not apply to:</p> <ul style="list-style-type: none"> • Reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or law, or other regular reports to management). • Query results/electronic reports created in response to a formal request from a higher-level office of the agency or an entity external to the agency. • Records containing substantive information not included in the resource electronic records system or database. • Data files consisting of summarized information from unscheduled electronic records or records scheduled as permanent but no longer exist or can no longer be accessed. <p>File the records above with an appropriate agency-specific records series when applicable. If not applicable, contact the Records Management Services Unit to schedule the records.</p> | Retain until business use ceases. | | Destroy |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE | AGENCY # G100000 | SCHEDULE # 007 | PAGE # 46 OF 53 |
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| | | AGENCY | RECORDS CENTER | |
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| 2202-0000 | <p>Non-recordkeeping copies of electronic records Includes non-recordkeeping copies of electronic records maintained in email systems, computer hard drives, network drives, collaboration sites, web servers, or other locations, after the official versions have been copied to a centralized recordkeeping system/database, or otherwise preserved. This encompasses non-record keeping copies of e-mails, attachments and associated metadata stored under the centralized framework set forth in CL NO 14-12 DORES/OIT. This series also includes: documents such as letters, memoranda, reports, handbooks, directives, manuals, briefings or presentations created on office applications, including Portable Document Format (PDF) or its equivalent; electronic spreadsheets; digital video or audio files; text messages; digital maps or architectural drawings; and copies of various types of electronic records maintained on websites or web servers, but EXCLUDING web pages themselves.</p> | Retain until copied to the centralized recordkeeping system/database or otherwise preserved. | | Destroy |
| 2203-0000 | <p>Systems and data security records Includes records related to maintaining the security of information technology (IT) systems and data, as well as security of facilities. It encompasses records such as official procedures for securing systems/data and maintaining underlying IT infrastructures, as well as system risk management/vulnerability analyses and analyses of security policies, processes, and guidelines.</p> <p>Specific document types included in this record series include: system security, disaster recovery and continuity of operations plans; published computer technical manuals and guides; references materials used to produce guidelines covering security issues (for specific systems and equipment); records on disaster exercises and resulting evaluations; network vulnerability assessments; risk surveys; service test plans; and test files/data.</p> | Retain for 1 year following system supersession or replacement. | | Destroy |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE | AGENCY # G100000 | SCHEDULE # 007 | PAGE # 47 OF 53 |
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| 2204-0000 | Computer security incident handling, reporting and follow-up records Contains records that relate to computer incidents as defined by the Office of Information Technology (11-03-P1-NJOIT). It encompasses records that document attempted or actual system security breaches, including break-ins ("hacks," including virus attacks), improper staff usage, failure of security provisions or procedures, and potentially compromised information assets. | Retain for 3 years after all necessary follow-up actions have been completed. | | Destroy |
| 2205-0000 | System access records Includes records that are created as part of the user identification and authorization process associated with information and records system access. The records contained in this records series are used to monitor inappropriate systems access by users. It may include user profiles, log-in files, password files, audit trail files/extracts, system usage files, and usage data required to assess charges for system use. | | | |
| 2205-0001 | Records associated with systems that do not require special accountability for access | Retain until no longer needed for business use. | | Destroy |
| 2205-0002 | Records associated with systems that require special accountability for access (as defined via regulation or statute) Exclusion 1. Excludes records relating to electronic signatures (see below). | Retain for 7 years following password change or account termination. | | Destroy |
| 2206-0000 | System/transaction backups and tape library records Includes back-up files maintained for potential system or transaction restoration in the event of a system failure or loss of data/records. | | | |
| 2206-0001 | Incremental back-up files | Retain until superseded by a full back-up. | | Destroy |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE | AGENCY # G100000 | SCHEDULE # 007 | PAGE # 48 OF 53 |
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| 2206-0002 | Full back-up files | Retain until second subsequent full backup is verified as successful. | | Destroy |
| 2206-0003 | Backups of master files and databases Include back-ups that are full replications of database or records system contents that are to be used as replacements for databases or master files that have been lost due to system failures or errors. | Retain until second subsequent full backup is verified as successful. | | Destroy |
| 2207-0000 | Public Key Infrastructure (PKI) records Includes records that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process, as well as to transaction- specific records that are generated for each transaction using PKI digital signature technology. | | | |
| 2207-0001 | Administrative records Included in this grouping are records involved in the set-up and administration of a PKI program including: policies and procedures; planning records; configuration information; validation records; operation records; audit and monitor records; and termination, consolidation or reorganizing records. | Retain for 7 years following the supersession or termination of the certificate authority. | | Destroy |
| 2207-0002 | Transaction-specific records Encompasses transaction-specific records that are generated for each transaction that uses PKI digital signature technology. These records are embedded or referenced within the transaction stream and may be appended to the transaction content or information record. They may vary from transaction-to-transaction and agency-to-agency. | Retain for the same period of time set forth in the agency's retention schedule for the transaction that the PKI digital signature is designed to protect. | | Destroy |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE | AGENCY # G100000 | SCHEDULE # 007 | PAGE # 49 OF 53 |
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| 2208-0000 | <p>Information technology development project records Infrastructure project records.</p> <p>Includes records relating to Information Technology (IT) infrastructure, systems, and services projects, which document the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications resources. It includes requirements for and about implementation of functions such as: maintaining servers of all kinds; desktop computers; mobile devices and other hardware; network operating systems and shared applications; and data telecommunications facilities. It may also include records of infrastructure development and maintenance activities encompassing acceptance/authorization of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting.</p> <p>Examples of record types includes: procurement processing/ tracking content; installation and testing records; installation reviews and briefings; quality assurance and security reviews; requirements/specifications; technology refresh plans; operational support plans; test plans; and models, diagrams, schematics, and technical documentation.</p> <p>Exclusion: Records contained within agency application systems that support or document agency activities and decisions are not covered by this item. Such records must be covered under approved individual agency records schedules and/or approved General Records Schedule G100000-007</p> | Retain for 7 years following project completion. | | Destroy |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE | AGENCY # G100000 | SCHEDULE # 007 | PAGE # 50 OF 53 |
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| 2209-0000 | <p>System development records Relates to the development of Information Technology (IT) systems and software applications that provide agencies with specific business functionality from transaction processing, to content storage/analysis and through to policy and decision-making support. It covers records generated in the initial development stages up until hand-off to production, as well as procurement processing and tracking records related to system development activities.</p> <p>Exclusion: This item does not apply to system data or content.</p> <p>Note: For certain technical documentation (e.g., data dictionaries, file specifications, code books, record layouts, etc.) related to the detailed, as-built design or maintenance of an electronic system containing permanent records, consult with the Department of the Treasury, Records Management Unit before initiating disposal actions.</p> | Retain for 7 years following system supersession, iteration, or termination. | | Destroy |
| 2210-0000 | <p>Special purpose computer programs and applications Includes computer software programs or applications that are developed by an agency or under its direction solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule.</p> <p>Exclusion: This item does not cover commercial, off-the-shelf (COTS) programs or applications, unless the agency has modified such programs or applications considerably to perform a mission-related function.</p> <p>Note: Computer software needs to be kept as long as needed to ensure access to, and use of, the electronic records in the system throughout the authorized retention period.</p> | Retain until related master file or database has been deleted or until there is no longer a business use for the programs/applications. | | Destroy |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE | AGENCY # G100000 | SCHEDULE # 007 | PAGE # 51 OF 53 |
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| 2211-0000 | <p>Information technology operations and maintenance records Includes records that relate to activities associated with the operations and maintenance of information technology systems and services used to supply the agency and its staff with access to computers and data telecommunications. It includes records associated with IT equipment, IT systems, and storage media, IT system performance testing, asset and configuration management, change management, and maintenance on network infrastructure. Record types include: [Files identifying IT facilities and sites; files concerning implementation of IT facility and site management; equip. support services provided to specific sites (reviews, site visit & trouble reports, equip. service histories, reports of follow-up actions, related correspondence); equip. control systems; requests for service; work orders; services histories; workload schedules; run reports, schedules of maintenance and support activities; problem reports and related decision documents reports on operations; measure of benchmarks (performance indicators and monitoring, error and exception reporting, self-assessments, management reports); website administration (frames, templates, style sheets, site maps, codes that determine site architecture, changes requests)].</p> <p>Note 1: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the Configuration and Change Management Records (below).</p> <p>Note 2: Records needed to support contracts should be in procurement files, which are scheduled under General Records Schedule G100000.</p> | Retain for 6 years. | | Destroy |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE | AGENCY # G100000 | SCHEDULE # 007 | PAGE # 52 OF 53 |
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| 2212-0000 | <p>Configuration and Change Management Records Includes records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. It includes:</p> <ul style="list-style-type: none"> • Inventories of IT assets, network circuits, and building or circuitry diagrams. • Data and detailed reports on implementation of systems, applications and modifications. • Application sizing, resource and demand management records. • Documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes. • Documentation of software distribution (including COTS software license management files) and release or version management. <p>Note: For documentation relating to systems containing permanent electronic records, consult with the Department of the Treasury, Records Management Services before initiating disposal actions.</p> | Retain for 7 years following system supersession, iteration, or termination. | | Destroy |
| 2213-0000 | <p>Information technology oversight and compliance records Includes records associated with documenting compliance with information technology policies, directives, and plans.</p> <p>Note: Copies of security plans are covered under General Records Schedule G100000. However, copies of such plans may be interfiled within this series.</p> | Retain for 6 years following completion of compliance tracking project/activity/transaction is completed or superseded. | | Destroy |

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| RECORDS RETENTION AND DISPOSITION SCHEDULE | AGENCY # G100000 | SCHEDULE # 007 | PAGE # 53 OF 53 |
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| | | AGENCY | RECORDS CENTER | |
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| 2214-0000 | Electronic administrative resource files Electronic file shares and other digital content stores that contain administrative, research and reference information, along with commentary and staff dialogue on the information/content. Included are items such as periodic reports used for routine daily management of operations, copies of policies and procedures, form templates, staff announcements, work-in-progress materials including drafts of all kinds and associated commentary, help scripts for office information systems, help desk logs, discussion streams regarding daily operations, and contact lists. | Retain until no longer needed for administrative purposes. | | Destroy |