



**AGENDA
STATE RECORDS COMMITTEE
July 20, 2017
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 May 18, 2017 Minutes

II. Administrative Actions:

- A. Announcement of Approval of Destruction Authorization:**
 - 1. Artemis Request: #535790 – 537926
- B. Records Management:**
 - Report to the State Records Committee: (See Attached)
- C. Registered Imaging Systems / Amendments / Annual Reviews:**
 - Report to the State Records Committee: (See Attached)
- D. Archival Review Report:** (See Attached)

III. New Business:

- A. Records Retention Schedules:** (See Attached)
 - 1. **Law and Public Safety** – Presented by John Berry
Gaming Enforcement – S661100-004
 - 2. **State General Schedule**– Presented by Vilirie Perry
I-9 Employment Eligibility Verification Forms – G100000-010 Item 1313-0000

IV. Other Business: None



MINUTES
STATE RECORDS COMMITTEE
May 18, 2017

Michael J. Tyger, Secretary, called the 429th meeting of the State Records Committee to order at 10:05 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. Mr. Tyger welcomed Paul Urbish from Local Government Services to the State Records Committee and also noted that Mr. Urbish will serve as the alternate designee from Local Government Services.

ATTENDANCE:

SRC: State Treasurer, Michael J. Tyger, Designee
Division of Local Government Services, Paul Urbish, Alternate Designee
Attorney General, Valentina DiPippo, Alternate Designee
State Auditor, William Robinson, Designee
Division of Archives and Records Management, Department of State, Joseph Klett

Staff: Robert Benco, Assistant Director, Division of Revenue and Enterprise Services
Elizabeth Hartmann, Administrative Analyst III, Records Management Services
Ellen Callahan, Supervising Archivist, Division of Archives and Records Management,
Department of State
Marcella Campbell, Technical Assistant I, Records Management Services
James Jenkins, Records Analyst III, Records Management Services
Sharon Allen, Technical Assistant II, Records Management Services
Baljinder Pannu, Technical Assistant III, Records Management Services
Vilirie D. Perry, Records Analyst I, Records Management Services

Other: Cathy Cuning, Karen Shuster, Carla Colletti, Motor Vehicle Commission
Lauren Wiley, Mercer County Clerk's Office
Arthur Staerk, AccuScan

MINUTES:

APPROVAL OF PREVIOUS SRC MEETING MINUTES:

Upon motion, seconded, the Committee voted to approve the March 16, 2017 Minutes five (5) yes, and none (0) no.

I. Administrative Actions:

A. Announcement of Approval of Destruction Authorization:

1. **Secretary Tyger announced the approval of routine requests for disposal of public records: 87-448 – 87-458**
2. **Secretary Tyger announced the approval of routine Artemis requests for disposal of public records: #534479 – 535789**

B. Registered Imaging Systems / Amendments / Annual Reviews:

Report to the State Records Committee: (See Attached)

C. Archival Review Report: (See Attached)

II. New Business:

A. Records Retention Schedules: (See Attached)

Motor Vehicle Commission – Presented by Marcella Campbell

Business & Government Operations – Imaging Services Center (ISC) – S790702-002 –Approved with two changes to record series 0006-0005: add the word “electronic” to read “electronic images of original or certified copies” and spell out the full name from “SS Card” to “Social Security Card.”

III. Other Business: None

There being no other business, the Committee adjourned at 10:25 a.m.

Michael J. Tyger
Secretary
State Records Committee

**Department of the Treasury
Division of Revenue and Enterprise Services
Records Management Services**

**Records Management Administrative Action
State Records Committee Meeting 7/20/2017**

State General Records Retention Schedule G100000-009

On the State General Retention Schedule G100000-009 item 1425-0002 Open Public Records Act (OPRA) File - Request Form With Fee, must be corrected to read: 1425-0002 Open Public Records Act (OPRA) File - Request Form **Without** Fee.

This administrative change will ensure that the details below are reflected in the agency's files.

Agency Level Amendments

Current Agency Name (Department/Division/Bureau)	State General Retention Schedule
Current Agency Number	G100000
(Old Schedule number)	009
(New Schedule number)	010

Records Series Level Amendments

Record Series #	Record Series Name		Type of Change	Former Designation (if applicable)	New Designation (if applicable)
1425-0002	Open Public Records Act (OPRA) File - Request Form Without Fee		Records Series Title	Open Public Records Act (OPRA) File - Request Form With Fee	Open Public Records Act (OPRA) File - Request Form Without Fee

Registered Imaging Systems / Amendments / Annual Reviews July 20, 2017				
Action Type/Analyst	Registration #	Agency	Comments	Vendor (if Applicable)
New Registration: Vilirie Perry	17051101- MP	West Milford School District	System meets all requirements for registration	AccuScan
New Registration: Vilirie Perry	17051102- MP	Spotswood Public Schools	System meets all requirements for registration	AccuScan
New Registration: Vilirie Perry	17051103- MP	Manalapan- Englishtown Regional School District	System meets all requirements for registration	AccuScan
New Registration: John Berry	17052501- MP	Borough of Glassboro	System meets all requirements for registration	AccuScan
New Registration: Vilirie Perry	17052502- MP	Maple Shade Township	System meets all requirements for registration	AccuScan
New Registration: Vilirie Perry	17060801- MP	Stratford School District	System meets all requirements for registration	AccuScan
New Registration: Marcella Campbell	17060802- MP	Borough of Sayreville	System meets all requirements for registration	AccuScan

Registered Imaging Systems / Amendments / Annual Reviews July 20, 2017				
Action Type/Analyst	Registration #	Agency	Comments	Vendor (if Applicable)
New Registration: Vilirie Perry	17060803- MP	Township of Parsippany Troy- Hills	System meets all requirements for registration	Sunrise Systems
New Registration: Marcella Campbell	17062201- MP	Woodbury Heights Borough	System meets all requirements for registration	AccuScan
New Registration: Vilirie Perry	17062202- MP	Morris County Vocational School District	System meets all requirements for registration	AccuScan
Amendment: John Berry	10061701- MP	Department of Law and Public Safety, Election Law and Enforcement Commission	Approved Migration Path	Binary Tech Systems Inc.
Annual Review & Amendment: Marcella Campbell	08061902- MF	County of Morris E-Recording	Added additional record series	N/A
Annual Review & Amendment: James Jenkins	03051501- MP	Township of Brick, Municipal Utilities Authority	Upgraded software system/ updated disaster recovery plan	N/A

Registered Imaging Systems / Amendments / Annual Reviews July 20, 2017				
Action Type/Analyst	Registration #	Agency	Comments	Vendor (if Applicable)
Annual Review & Amendment: James Jenkins	08011702- MP	County of Cape May, Office of the Clerk – New Vision	Approved Migration Path	N/A
Annual Review & Amendment: Vilirie Perry	11012030- MP	Lakeland Regional High School	Approved Migration Path	N/A
Annual Review & Amendment: Vilirie Perry	13032106- MP	East Windsor Regional School District	Approved Migration Path	N/A
Annual Review & Amendment: Vilirie Perry	13051604- MP	Florham Park School District	Approved Migration Path	N/A
Annual Review & Amendment: Vilirie Perry	13071806- MP	Wallington Public Schools	Approved Migration Path	N/A
Annual Review & Amendment: Marcella Campbell	08022101- MP	County of Somerset Enterprise	Upgraded software system	N/A
Annual Review & Amendment: John Berry	14051506- NM	Hudson County Department of Family Services, Division of Welfare	Upgraded software system	N/A

Registered Imaging Systems / Amendments / Annual Reviews July 20, 2017				
Action Type/Analyst	Registration #	Agency	Comments	Vendor (if Applicable)
Annual Review & Amendment: John Berry	04041502-NM	Township of Freehold, Municipal Clerk	Added additional record series/updated disaster recovery plan	N/A
Annual Review: Marcella Campbell	03091802-MF	New Jersey Motor Vehicle Commission, Customer Operations and Support Imaging System Center	N/A	N/A
Annual Review: James Jenkins	06092107-MP	Township of Egg Harbor	N/A	N/A
Annual Review: Vilirie Perry	12041903-MP	Woodbridge School District	N/A	N/A
Annual Review: Vilirie Perry	14051511-MP	Sterling High School District	N/A	N/A
Annual Review: Vilirie Perry	14071703-MP	Monroe Township School District	N/A	N/A

Registered Imaging Systems / Amendments / Annual Reviews July 20, 2017				
Action Type/Analyst	Registration #	Agency	Comments	Vendor (if Applicable)
Annual Review: Marcella Campbell	06042001- NM	City of Summit, Clerk's Office	N/A	N/A
Annual Review: Vilirie Perry	09021903- NM	County of Hunterdon, Prosecutor's Office	N/A	N/A
Annual Review: Vilirie Perry	10071501- NM	Ocean County Utilities Authority	N/A	N/A
Annual Review: Vilirie Perry	11051906- NM	Ocean County College, Financial Aid, Admissions and Records, Accounting	N/A	N/A
Annual Review: Marcella Campbell	11051908- NM	New Jersey Motor Vehicle Commission, (Matrix-P8 System)	N/A	N/A
Annual Review: James Jenkins	14032014- NM	Bergen County, Board of Social Services	N/A	N/A

Registered Imaging Systems / Amendments / Annual Reviews July 20, 2017				
Action Type/Analyst	Registration #	Agency	Comments	Vendor (if Applicable)
Annual Review: Marcella Campbell	14051502- NM	Monmouth County, Division of Social Services	N/A	N/A

**Artemis -
Archival Review Status Report**

Date Submitted	Request ID	County	Muni	Agency Name	Archival Review	Comment	Add'l Information
8/15/2016	37338	Sussex	N/A	COUNTY DETENTION CENTER/JAIL	Archival Review Pending	Approved Migration Path - Permanent Records	Storage Offer: 12/1/16
9/7/2016	40160	Sussex	N/A	COUNTY PLANNING AND ZONING BOARDS OF ADJUSTMENT	Archival Review Pending	Approved Migration Path - Permanent Records	Storage Offer: 12/1/16
9/7/2016	37327	Sussex	N/A	COUNTY TREASURER	Archival Review Pending	Approved Migration Path - Permanent Records	Storage Offer: 12/1/16
10/4/2016	40424	Burlington	Moorestown Twp.	MUNICIPAL TAX COLLECTOR	Archival Review Pending	Permanent records - Microfilm Cert present	
10/4/2016	41043	Cape May	N/A	COUNTY PROSECUTOR'S OFFICE	Archival Review Pending	Permanent records - Microfilm Cert present	
10/18/2016	41376	Sussex	N/A	COUNTY PLANNING AND ZONING BOARDS OF ADJUSTMENT	Archival Review Pending	Approved Migration Path - Permanent Records	Storage Offer: 1/3/17
10/20/2016	40984	Sussex	N/A	COUNTY SHERIFF'S OFFICE	Archival Review Pending	Approved Migration Path - Permanent Records	Storage Offer: 1/3/17
11/16/2016	37246	Sussex	N/A	COUNTY BOARD OF TAXATION	Archival Review Pending	Approved Migration Path - Permanent Records	Storage Offer: 1/3/17
11/17/2016	37298	Sussex	N/A	COUNTY CLERK/REGISTER OF DEEDS	Archival Review Pending	Approved Migration Path - Permanent Records	Storage Offer: 1/3/17
11/17/2016	37302	Sussex	N/A	COUNTY CLERK/REGISTER OF DEEDS	Archival Review Pending	Approved Migration Path - Permanent Records	Storage Offer: 1/3/17
1/11/2017	43195	Sussex	N/A	COUNTY TREASURER	Archival Review Pending	Approved Migration Path - Permanent Records	Storage Offer: 3/10/17
2/21/2017	44968	Burlington	New Hanover Township	Administration	Archival Review Pending	Approved Migration Path - Permanent Records	Storage Offer: 6/13/17
5/2/2017	45402	Sussex	N/A	COUNTY SHERIFF'S OFFICE	Archival Review Pending	Approved Migration Path - Permanent Records	

Date Submitted	Request ID	County	Muni	Agency Name	Archival Review	Comment	Add'l Information
2/10/2016	33155	Somerset	Bernards Twp.	MUNICIPAL CLERK	Archival Review Completed 8/16/2016	Approved Migration Path - Permanent Records	
4/8/2016	35322	Gloucester	N/A	COUNTY MEDICAL EXAMINER	Archival Review Completed 8/16/2016	Permanent records - Microfilm Cert present	
5/13/2016	36475	Gloucester	N/A	COUNTY MEDICAL EXAMINER	Archival Review Completed 8/16/2016	Permanent records - Microfilm Cert present	
7/19/2016	36823	Sussex	N/A	COUNTY BOARD OF TAXATION	Archival Review Completed 8/22/2016	Permanent records - Microfilm Cert present	
4/5/2016	35051	Mercer	Hamilton Twp.	MUNICIPAL CLERK	Archival Review Completed 8/24/2016	Permanent records scanned with MF backup	

**Artemis -
Archival Review Status Report**

Date Submitted	Request ID	County	Muni	Agency Name	Archival Review	Comment	Add'l Information
4/1/2016	35117	Middlesex	N/A	COUNTY BOARD OF TAXATION	Archival Review Completed 8/24/2016	Permanent records scanned with MF backup	
3/23/2016	34884	Ocean	Ship Bottom Boro	MUNICIPAL CLERK	Archival Review Completed 10/6/2016	Approved Migration Path - Permanent Records	email sent for storage option 9/26/16
2/5/2016	32699	Ocean	Brick Twp.	MUNICIPAL ENGINEERING DEPARTMENT	Archival Review Completed 10/19/2016	Approved Migration Path - Permanent Records	email sent for storage option 9/26/16
3/23/2016	34885	Ocean	Ship Bottom Boro	MUNICIPAL CLERK	Archival Review Completed 11/1/2016	Approved Migration Path - Permanent Records	email sent for storage option 9/26/16
3/21/2016	32799	Atlantic	Estell Manor City	MUNICIPAL TAX COLLECTOR	Archival Review Completed 11/1/2016	Permanent records - Microfilm Cert present	
12/23/2016	42882	Monmouth	N/A	COUNTY ARCHIVES AND RECORDS MANAGEMENT	Archival Review Completed 1/11/2017	Approved Migration Path - Permanent Records	
11/18/2016	42085	Ocean	N/A	COUNTY BOARD OF TAXATION	Archival Review Completed 1/11/2017	Permanent records - Microfilm Cert present	
11/17/2016	42112	Somerset	Bernards Twp.	MUNICIPAL CLERK	Archival Review Completed 1/11/2017	Approved Migration Path - Permanent Records	
11/10/2016	42078	Middlesex	N/A	COUNTY BOARD OF TAXATION	Archival Review Completed 1/12/2017	Permanent records scanned with MF backup	
10/6/2016	40980	Somerset	Bernards Twp.	MUNICIPAL TREASURER	Archival Review Completed 1/20/2017	Approved Migration Path - Permanent Records	12/15/16 - Records Stored on 1/6/17 (RSC) (1 box)
10/18/2016	41370	Burlington	Moorestown Twp.	MUNICIPAL HEALTH DEPARTMENT	Archival Review Completed 1/20/2017	Permanent records - Microfilm Cert present	
12/23/2016	42876	Gloucester	N/A	COUNTY BOARD OF TAXATION	Archival Review Completed 1/20/2017	Permanent records - Microfilm Cert present	
1/17/2017	43091	Sussex	N/A	COUNTY CLERK/REGISTER OF DEEDS	Archival Review Completed 1/23/2017	Permanent records scanned with MF backup	
1/10/2017	42913	Bergen	N/A	COUNTY BOARD OF TAXATION	Archival Review Completed 1/26/2017	Permanent records scanned with MF backup	
1/5/2017	42974	Sussex	N/A	COUNTY CLERK/REGISTER OF DEEDS	Archival Review Completed 1/26/2017	Permanent records scanned with MF backup	
8/15/2016	39431	Somerset	Bernards Twp.	MUNICIPAL CLERK	Archival Review Completed 1/30/2017	Approved Migration Path - Permanent Records	Storage Offer: 12/1/16 Records Stored: 1/6/17 (RSC) (1 box)
1/26/2017	43310	Sussex	N/A	COUNTY CLERK/REGISTER OF DEEDS	Rejected 3/13/2017	Approved Migration Path - Permanent Records	Reject as per agency
1/26/2017	43295	Sussex	N/A	COUNTY CLERK/REGISTER OF DEEDS	Rejected 3/13/2017	Approved Migration Path - Permanent Records	Reject as per agency
1/26/2017	43286	Sussex	N/A	COUNTY CLERK/REGISTER OF DEEDS	Rejected 3/13/2017	Approved Migration Path - Permanent Records	Reject as per agency
3/10/2017	55603	Gloucester	N/A	COUNTY MEDICAL EXAMINER	Archival Review Completed 4/12/2017	Permanent records - Microfilm Cert present	
3/10/2017	55657	Gloucester	N/A	COUNTY BOARD OF TAXATION	Archival Review Completed 4/12/2017	Permanent records - Microfilm Cert present	

**Artemis -
Archival Review Status Report**

Date Submitted	Request ID	County	Muni	Agency Name	Archival Review	Comment	Add'l Information
2/17/2017	44944	Mercer	N/A	COUNTY BOARD OF TAXATION	Archival Review Completed 4/12/2017	Permanent records - Microfilm Cert present	
4/7/2017	55864	Ocean	Brick Twp.	MUNICIPAL UTILITIES & AUTHORITIES	Archival Review Completed 4/12/2017	Approved Migration Path - Permanent Records	
4/12/2017	56644	Gloucester	Monroe Township Public School District	Administration	Rejected 4/20/2017	Approved Migration Path - Permanent Records	Reject as per agency
4/10/2017	45075	Ocean	Brick Twp.	MUNICIPAL UTILITIES & AUTHORITIES	Rejected 5/10/17	Approved Migration Path - Permanent Records	Reject as per agency
1/27/2017	43221	Sussex	N/A	COUNTY CLERK/REGISTER OF DEEDS	Archival Review Completed 5/10/17	Approved Migration Path - Permanent Records	Storage Offer: 3/24/17 Rejected as per agency
10/3/2016	37234	Sussex	N/A	COUNTY ENGINEERING DEPARTMENT	Archival Review Completed 5/16/17	Approved Migration Path - Permanent Records	Storage Offer: 12/15/16
9/7/2016	40163	Sussex	N/A	COUNTY PLANNING AND ZONING BOARDS OF ADJUSTMENT	Archival Review Completed 5/16/17	Approved Migration Path - Permanent Records	Storage Offer: 12/1/16
9/1/2016	37248	Sussex	N/A	COUNTY ENGINEERING DEPARTMENT	Archival Review Completed 5/16/17	Approved Migration Path - Permanent Records	Storage Offer: 12/1/16
3/23/2017	55913	Middlesex	Woodbridge Twp.	MUNICIPAL PLANNING AND ZONING BOARDS OF ADJUSTMENT	Archival Review Completed 5/16/17	Approved Migration Path - Permanent Records	
3/7/2016	34268	Middlesex	N/A	COUNTY PLANNING AND ZONING BOARDS OF ADJUSTMENT	Archival Review Completed 5/16/17	Approved Migration Path - Permanent Records	NJ Archives received requested project listing on 01/25/2017.
3/11/2016	34412	Middlesex	N/A	COUNTY ENGINEERING DEPARTMENT	Archival Review Completed 5/16/17	Approved Migration Path - Permanent Records	NJ Archives received requested project listing on 11/30/2016.
6/3/2016	35992	Middlesex	Woodbridge Twp.	MUNICIPAL PLANNING AND ZONING BOARDS OF ADJUSTMENT	Archival Review Completed 5/16/17	Permanent records scanned with MF backup	
6/3/2016	35994	Middlesex	Woodbridge Twp.	MUNICIPAL LOCAL BUILDING OFFICIAL	Archival Review Completed 5/16/17	Permanent records scanned with MF backup	
6/3/2016	36006	Middlesex	Woodbridge Twp.	MUNICIPAL ENGINEERING DEPARTMENT	Archival Review Completed 5/16/17	Permanent records scanned with MF backup	
2/23/2017	45035	Middlesex	Woodbridge Twp.	MUNICIPAL ENGINEERING DEPARTMENT	Archival Review Completed 5/16/17	Permanent records scanned with MF backup	
3/23/2017	55901	Middlesex	Woodbridge Twp.	MUNICIPAL ENGINEERING DEPARTMENT	Archival Review Completed 5/16/17	Approved Migration Path - Permanent Records	
3/23/2017	55904	Middlesex	Woodbridge Twp.	MUNICIPAL LOCAL BUILDING OFFICIAL	Archival Review Completed 5/16/17	Approved Migration Path - Permanent Records	
3/23/2016	34854	Morris	Parsippany-Troy Hills Twp.	MUNICIPAL ENGINEERING DEPARTMENT	Archival Review Completed 5/19/17	Permanent records scanned with MF backup	
2/1/2017	41225	Ocean	Brick Twp.	MUNICIPAL UTILITIES & AUTHORITIES	Archival Review Completed 06/07/17	Approved Migration Path - Permanent Records	Storage Offer: 4/11/17
4/4/2017	45320	Sussex	N/A	COUNTY CLERK/REGISTER OF DEEDS	Archival Review Completed 06/12/17	Permanent records - Microfilm Cert present	
3/7/2017	44404	Ocean	Brick Twp.	MUNICIPAL UTILITIES & AUTHORITIES	Archival Review Completed 06/12/17	Approved Migration Path - Permanent Records	

**Artemis -
Archival Review Status Report**

Date Submitted	Request ID	County	Muni	Agency Name	Archival Review	Comment	Add'l Information
3/22/2017	55967	Warren	Phillipsburg School District	Administration	Request rescinded 4/19/17	Approved Migration Path - Permanent Records	Request rescinded
4/4/2017	56413	Burlington	New Hanover Township	Administration	Archival Review Completed 6/23/17	Approved Migration Path - Permanent Records	Rejected as per agency
4/24/2017	57138	Bergen	South Bergen Jointure Commission School District	Administration	Archival Review Completed 6/23/17	Approved Migration Path - Permanent Records	Rejected as per agency

Records Retention and Disposition Schedule Amendment

DEPARTMENT: Law and Public Safety	AGENCY # S661100		
DIVISION: Gaming Enforcement	SCHEDULE # 004		
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Agency Level Amendments

Former Agency Name (Department/Division/Bureau)	N/A
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)
	RECORDS AND IDENTIFICATION BUREAU			
0001-0000	Employee Licensing Files (Known as License 35 or 40)	Title; Description; Retention	Employee Licensing File(Background Investigation Files); Consists of: Personal History Disclosure Form, Investigation Reports, Exhibits, Credit Reports, Request for Criminal History Record, License Recommendation Letters, Tax Returns, Inquiry Checklists, "Flag" Investigations, arrest records, Stipulations of Settlement, Alien Checks, correspondence, and Revocation, Reports. Licenses are renewed every 5 years. Results of investigations are provided to the Casino Control commission for Decision; 15 years	Employee Licensing Files (Known as License 35 or 40); Background investigation files that consists of: Personal History Disclosure Forms, Investigation Reports, Exhibits, Credit Reports, Requests for Criminal History Record, License Recommendation Letters, Tax Returns, Inquiry Checklists, "Flag" Investigations, arrest records, Stipulations of Settlement, Alien Checks, correspondence, and Revocation, Reports and Division actions. See: N.J.A.C.13:69-C.2. Note: License 21(Casino Employee) was converted to license 35 in 2016.; 3 years after inactive

RECORDS RETENTION AND DISPOSITION SCHEDULE				AGENCY #	SCHEDULE #	PAGE #
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Record Series #	Record Series Name	Type of Change	Former Designation (if applicable)	New Designation (if applicable)		
0001-0001	Self-Exclusion Program	New Item				
0001-0002	Criminal-Underage, Conditional Discharge	New Item				
0001-0003	Director's Actions And Orders	New Item				
0001-0004	Advisory Director's Bulletins	New Item				
	SERVICE INDUSTRY LICENSING BUREAU					
0010-0000	Service Industry Licensing Files	Description; Retention	Includes: Business Entity Disclosure Forms, Personal History Disclosure Forms, correspondence, Tax Returns, Background Checks, SEC Filings, Investigation Reports with exhibits, Financial Statements, Accounts Receivable and Payable Ledgers, Legal Documents, Notices and Transcripts. Licenses are renewed every 5 years. Results of investigations are provided to the Casino Control Commission for Decision.; 15 years	A Service Industry is a vendor that supplies items to the hotel/casino. File includes: Business Entity Disclosure Forms, Personal History Disclosure Forms, correspondence, Tax Returns, Background Checks, SEC Filings, Investigation Reports with exhibits, Financial Statements, Accounts Receivable and Payable Ledgers, Legal Documents, Notices and Transcripts and Division actions. Licenses are renewed every 5 years. See: N.J.A.C.13:69-3.5.; 15 years after license is issued		
	CASINO ENTITY LICENSING					
0020-0000	Casino Entity Licensing Files	Title; Description; Retention	Casino Entity Licensing; Includes: Business Entity Disclosure Forms, Personal History Disclosure Forms, Tax Returns, Background Checks, SEC Filings, Office of Financial Investigations Analyses, Investigation Reports and Final Reports. Financials are received every 2/1/2 years. Licenses are renewed every 5 years and includes, Mergers, sales and restructurings.	Casino Entity Licensing Files; A casino entity is the casino licensee and qualifiers and casino employees. File includes: Business Entity Disclosure Forms, Qualifier and Casino Key Employee Personal History Disclosure Forms, Tax Returns, Background Checks, SEC Filings, Mergers, Sales and Restructurings, Office of Financial Investigations Analyses,		

RECORDS RETENTION AND DISPOSITION SCHEDULE				AGENCY #	SCHEDULE #	PAGE #
				S661100	004	3 OF 15
Record Series #	Record Series Name	Type of Change	Former Designation (if applicable)	New Designation (if applicable)		
			Results of investigations are provided to the Casino Control Commission for Decision.; 15 years	investigation Reports and Final Reports and Division actions. Note: Licenses are resubmitted every 5 years. See: N.J.A.C.13:69C-1.1.; 10 years after license is issued		
	ADMINISTRATION - LOGISTICS					
0029-0000	Intake: Petitions	New Item				
0030-0000	Parking Passes And Building Passes Sign Sheet	Description; Retention	No Description; 3 years after update or cancelled	DGE issues parking passes for the controlled access to gated parking lots in Atlantic City and Trenton.; 1 year		
	RECORDS AND IDENTIFICATION BUREAU					
0032-0000	Fingerprint Log Book	Description	.	A manual fingerprint log was used to record each person fingerprinted. See: N.J.A.C. 13:69A-7.7. Note: The log books have not been used since the start of Live Scan digital prints in 2002. Live Scan retains an electronic record with the New Jersey State Police. The retention time for log books ends in 12/2017 and will be destroyed.		
	EXECUTIVE					
0040-0000	Employee Criminal Investigations (Internals)	Record Series #: Title; Description; Retention	0040-0000; Employee Criminal Investigations (Background Checks); Consists of Confidential investigations regarding employees, Travel (destination and purpose), and background information.; Section Record Header Only	0040-0003; Employee Criminal Investigations (Internals); Consists of Confidential investigations regarding employees.; 6 years after termination of employment		

RECORDS RETENTION AND DISPOSITION SCHEDULE			AGENCY #	SCHEDULE #	PAGE #
			S661100	004	4 OF 15
Record Series #	Record Series Name	Type of Change	Former Designation (if applicable)	New Designation (if applicable)	
0040-0001	Employee Criminal Investigations - Hired (Background Check)	Title; Description	Employee Criminal Investigations – Hired; No Description	Employee Criminal Investigations - Hired (Background Check); The Division conducts an investigation on personnel considered for employment with the Division.	
0040-0002	Employee Criminal Investigation - Not Hired (Background Check)	Title; Description	Employee Criminal Investigation - Not Hired; No Description	Employee Criminal Investigation - Not Hired (Background Check); The Division conducts an investigation on personnel considered for employment with the Division.	
0040-0003	Employee Criminal Investigations (Internals)	Title; Description	0040-0000; Employee Criminal Investigations (Background Checks); Consists of Confidential investigations regarding employees, Travel (destination and purpose), and background information.; Section Header Record Only	0040-0003; Employee Criminal Investigations (Internals); Consists of Confidential investigations regarding employees.; 6 years after termination of employment	
0041-0000	Inquiry Responses	Superseded - See State Records Retention Schedule	Requests for Information-No Fee Non-OPRA; Includes: backup material.; 3 years/Destroy	G100000 009 1405-0001 Correspondence – External; 3 years/Destroy	
REGULATORY ENFORCEMENT and TECHNICAL SERVICES					
0050-0000	On-Sight Inspections (OSI)	Description; Retention	Includes: Jackpot Inspection Reports, Progressive Math Calculations, Correspondence. These Inspections are performed daily. Commencing in 2008, documents are stored electronically. Note: Prior OSIs are in hard copy.; 3 years after inspection is closed	Includes: Jackpot Inspection Reports, Progressive Math Calculations, Correspondence. These Inspections are performed daily. Commencing in 2008, documents are stored electronically. Note: Prior OSIs are in hard copy. See:N.J.A.C. 3:69D-1.37B.; 2 years after inspection is closed	

RECORDS RETENTION AND DISPOSITION SCHEDULE				AGENCY #	SCHEDULE #	PAGE #
				S661100	004	5 OF 15
Record Series #	Record Series Name	Type of Change	Former Designation (if applicable)	New Designation (if applicable)		
0051-0000	TSB Submission Documentation (Electronic And Hard Copy)	Title; Description; Retention	Slot Machine Submission Documentation; Includes: Hardware, software, and peripheral equipment documentation (Electronic and Hard Copy).; 5 Years	TSB Submission Documentation - Submitted by Gaming Vendors (Electronic And Hard Copy); Includes: Hardware, software, and peripheral equipment documentation submitted for review by Division of Gaming Enforcement. See: N.J.A.C.13:69E-1.20.; 10 years after the equipment is no longer in use		
0052-0000	TSB Submission Software	Title; Description; Retention	Slot Machine Submission Software; Includes: d-base, personalities, sound and graphics. These are stored electronically using various storage media (i.e. E-Prom, Flash Cards, and CD's.); Until revoked	TSB Submission Software; Technical Services Bureau (TSB) requires software/data sent in from various slot manufacturers to complete inspections. Includes: d-base, personalities, sound and graphics. These are stored electronically using various storage media (i.e. E-Prom, Flash Cards, and CD's). See: N.J.A.C. 13:69E-1.20.; 10 years after revoked		
0055-0000	Progressive Appendix E Submissions (Electronic And Hard Copy)	Title; Description; Retention	Progressive Appendix E Submissions; Includes: vendor documentation and math certification. (Electronic and Hard Copy).; 1 year	Progressive Appendix E Submissions (Electronic And Hard Copy); These are submissions specifically for Slot Machines which includes vendor documentation and math certifications. See: N.J.A.C.13:69D-1.39.; 1 year after progressive is removed from play		
0056-0000	Division Models	Title; Description	Math Models; Includes Division created analysis tools used to verify payback percentages of slot submissions.	Division Models; Includes Division created analysis tools used to verify payback percentages of slot submissions.		

RECORDS RETENTION AND DISPOSITION SCHEDULE				AGENCY #	SCHEDULE #	PAGE #
				S661100	004	6 OF 15
Record Series #	Record Series Name	Type of Change	Former Designation (if applicable)	New Designation (if applicable)		
			(Electronically Stored)	(Electronically Stored) Division's Actions, Checklists and Tracking Forms. See: N.J.A.C.13:69D-1.39		
0057-0000	Investigative Reports (Hard Copy)	Title; Description; Retention	Investigative Reports; Consists of: Investigations and audits of casino operations pertaining to electronic aspects of the gaming industry. (Hard Copy); 5 years after case closed	Investigative Reports (Hard Copy); Consists of: Investigations and audits of casino operations pertaining to electronic aspects of the gaming industry. See: N.J.A.C.13:69-2.5.; 3 years after case closed		
0058-0000	DGE Exclusions	New				
0059-0000	Progressive Appendix I Submissions (Electronic And Hard Copy)	New				
0060-0000	Audit/Investigation Case Files	Title; Description; Retention	Audit/Investigation Case Files-No Further Action; Consist of: Audits/Investigations arising from complaints, discussions, etc. involving all aspects of the gaming industry operations. Litigated cases are forwarded to the Casino Control Commission for Final Decision. Also includes video tapes of suspected criminal or illegal activities.; 5 years after case closed	Audit/Investigation Case Files; Consist of: Audits/Investigations arising from complaints, discussions, etc. involving all aspects of the gaming industry operations, including Division actions. See: N.J.A.C. Chapter 69D Subchapter 1.; 3 years after case closed		
	OFFICE OF FINANCIAL INVESTIGATIONS					
0070-0000	Quarterly Financial Reporting Filings (Originals)	Record Series Transfer; Description; Retention	Used to evaluate financial conditions of casino licensers. Includes: Balance Sheets, Statements of Income, Statements of Changes in Stockholder's Equity, Statements of Changes in Partner's Equity, Statements of Cash Flows, Schedule of Promotional Expenses and Allowances and Statement of	Transfer from S821230 001 0002-0001; Includes: Balance Sheets, Statements of Income, Statements of changes in Stockholder's Equity/Partner's Equity, Statements of Cash Flows, Schedule of Promotional Expenses and Allowances, Statements of		

RECORDS RETENTION AND DISPOSITION SCHEDULE				AGENCY #	SCHEDULE #	PAGE #
				S661100	004	7 OF 15
Record Series #	Record Series Name	Type of Change	Former Designation (if applicable)	New Designation (if applicable)		
			Conformity, Accuracy and Compliance.; 20 years after casino closes	Conformity, Accuracy and Compliance and Footnotes. See: N.J.A.C.13:69D-1.4.; 20 years after license surrender		
0071-0000	Supplemental Quarterly Filings (Originals)	New Item				
0072-0000	Quarterly Financial Report Filings And Supplemental Quarterly Filings (Analysis)	Record Series Transfer; Title; Description	Quarterly Financial Reporting - Work papers; Consists of Commission's analysis of information reported on Quarterly Financial Reporting Filings.	Transfer form S821230 001 0002-0002; Quarterly Financial Report Filings And Supplemental Quarterly Filings (Analysis); Division analysis of required quarterly financial filings. Includes worksheets, graphs, and projections. See: N.J.A.C.13:69D-1.4.		
0073-0000	Annual Financial Reporting Filings (Originals)	Record Series Transfer; Description; Retention	No Description; 50 years after casino closes	Transfer form S821230 001 0003-0001; Includes: Schedule of Receivables and Patrons' Checks, reconciliation of Casino Revenue, Employment and Payroll Report, Annual Statement of Capital and Maintenance Expenditures, Annual Filings Statement of Conformity, Accuracy and Compliance. See: N.J.A.C.13:69D-1.4; 20 years after license surrender		
0074-0000	Annual Financial Reporting Analysis	Record Series Transfer; Title; Description;	Annual Financial Reporting - Work papers; Consists of Commission's analysis of information reported on Annual Financial Reporting Filings.	Transfer form S821230 001 0003-0002; Annual Financial Reporting Analysis; Analysis of information reported on Annual Financial Reporting Filings. See: N.J.A.C.13:69D-1.4.		
0075-0000	Annual Forecasts	New Item				

RECORDS RETENTION AND DISPOSITION SCHEDULE				AGENCY #	SCHEDULE #	PAGE #
				S661100	004	8 OF 15
Record Series #	Record Series Name	Type of Change	Former Designation (if applicable)	New Designation (if applicable)		
0076-0000	Casino Industry Statistical Analysis	Record Series Transfer; Description;	No Description	Transfer form S821230 001 0007-0001; Division prepared analysis of casino gaming trends. The analysis provides comparison of industry performance. See: N.J.A.C.13:69D-1.4.		
0077-0000	Bond Prospectus Data	Record Series Transfer; Description; Retention	No Description 20 Years	Transfer form S821230 001 0008-0000; Casinos file when bond issues are proposed. The data is used to evaluate investors. See: N.J.A.C. 13:69D-1.4.; 5 years		
0078-0000	OFI Report - Initial Casino License	Record Series Transfer; Title; Description; Retention	Petition Review Report and Workpapers - Major Financial Transactions; Consists of Commission's workpapers and casino operators for reorganizations, restructuring, refinances, expansion, etc.; 25 years after term of transaction	Transfer form S821230 001 0010-0001; OFI Report - Initial Casino License; Material submitted by casinos for license requirements. Includes: Initial Casino License, Resubmission, Material Debt Transactions, and Major Financial Transactions such as mergers, reorganizations, restructuring, etc. See: N.J.A.C. 13:69C-4.2.; 20 years after license surrender		
0079-0000	OFI Analysis - Initial Casino License	Record Series Transfer; Title; Description; Retention	Petition Review Report and Workpapers - Major Financial Transactions; Consists of Commission's workpapers and casino operators for reorganizations, restructuring, refinances, expansion, etc.; 25 years after term of transaction	Transfer form S821230 001 0010-0001; OFI Analysis - Initial Casino License; Material prepared by the Division for assessment of license qualification. Includes: Initial Casino License, Resubmission, Material Debt Transactions, Major Financial Transactions such as mergers and acquisitions.		

RECORDS RETENTION AND DISPOSITION SCHEDULE				AGENCY #	SCHEDULE #	PAGE #
				S661100	004	9 OF 15
Record Series #	Record Series Name	Type of Change	Former Designation (if applicable)	New Designation (if applicable)		
				reorganizations, restructuring, etc. See: <u>N.J.A.C.13:69C-4.2.</u> ; 10 years		
0080-0000	OFI Report And Analysis - Minor Financial Transactions	Record Series Transfer; Title; Description; Retention	Petition Review Workpapers - Other Financial Transactions; Consists of Commission's workpapers and financial analysis of petitions filed by casino operators for management contracts, profit sharing agreements, etc.; 3 years after term of transaction	Transfer form S821230 001 0010-0002; OFI Report And Analysis - Minor Financial Transactions; Material prepared by the Division for assessment of license qualification. Division financial analysis of petitions filed by casino operators for exempt material debt transactions, management contracts, profit sharing agreements, etc. See: <u>N.J.A.C.13:69C-4.2.</u> ; 10 years		
0081-0000	Casino Operator's Chart Of Accounts	Record Series Transfer; Title; Description; Retention	Casino Operator's Accounting Record; Consists of: Charts of Accounts and Records of Investments.; 20 years after casino closes	Transfer form S821230 001 0012-0000; Casino Operator's Chart Of Accounts; Casino provided record of how expenses are recorded. See: <u>N.J.A.C.13:69D-1.2.</u> ; 3 years after closure		
0082-0000	Casino Operator's Annual Audit And Related Materials	Record Series Transfer; Description; Retention	Including Annual Audit Financial Statements and Reports of C.P.A., Internal Controls, System Reports, Material Weakness Reports, S.E.C. Reports, Minimum/Maximum Wagers, Minimum/Maximum Submissions.; 20 years after casino closes	Transfer form S821230 001 0013-0000; Includes: Annual Audited Financial Statements and Reports of C.P.A., Internal Controls, System Reports, and Material Weakness Report. See: <u>N.J.A.C.13:69D-1.6.</u> ; 20 years after license surrender		
0083-0000	Monthly Gross Revenue Reports And Tax Returns; Monthly Internet Gross Revenue Tax Returns	Record Series Transfer; Title; Description; Retention	Casino Operator's Standard Financial and Statistical Reports; Consists of: Casino Revenues and Estimated Tax on Gross Revenues.;	Transfer form S821230 001 0014-0000; Monthly Gross Revenue Reports And Tax Returns; Monthly Internet		

RECORDS RETENTION AND DISPOSITION SCHEDULE				AGENCY #	SCHEDULE #	PAGE #
				S661100	004	10 OF 15
Record Series #	Record Series Name	Type of Change	Former Designation (if applicable)	New Designation (if applicable)		
			20 years after casino closes	Gross Revenue Tax Returns; Reports submitted to the Division by casinos and gaming companies. See: N.J.A.C.13:69D-1.6.; 20 years after license surrender		
0084-0000	Monthly Internal Financial Reports, Financial Statements, And Statistics	New Item				
	CASINO CONTROL FUND					
0100-0000	Division Invoice Register - Casino	Record Series Transfer; Title; Description	No Description; Casino Control Invoice Register	Transfer from S821232 001 0001-0000; Division Invoice Register – Casino; The Register is a list of invoice numbers that have been billed to the applicants and licensees for a certain time period. All Division expenses invoiced to each casino. Includes Division record of billable hours to casinos. See: Casino Control Act 5:12-139 & 5:12-141.		
0101-0000	Cost Reports - Casino	Record Series Transfer; Title; Description	Cost Reports; (Time and Expense Summaries) (Duplicate) (Computer Run)	Transfer from S821232 001 0004-0000; Cost Reports – Casino; All Division expenses invoiced to each casino. Includes Time Expense Summaries (Duplicate) (Computer Run). See: Casino Control Act 5:12-139 & 5:12-141.		
0102-0000	Reports And Analyses - Casino	Record Series Transfer; Title; Description; Retention	Reports and Analyses; Regular reports and statistical analyses produced by or received by the Revenue Unit.; Section Record Header Only	Transfer from S821232 001 0005-0000; Reports And Analyses - Casino Regular reports and statistical analyses produced by or received by the Revenue Unit. See: Casino		

RECORDS RETENTION AND DISPOSITION SCHEDULE				AGENCY #	SCHEDULE #	PAGE #
				S661100	004	11 OF 15
Record Series #	Record Series Name	Type of Change	Former Designation (if applicable)	New Designation (if applicable)		
				Control Act 5:12-139 & 5:12-141.; 3 years		
0103-0000	Reports And Analyses - Treasury	Record Series Transfer; Title; Description	Reports and Analyses - Treasury Listing, Revenue Account, Activity Report; No Description	Transfer from S821232 001 0005-0001; Reports And Analyses – Treasury; Treasury Listing, Revenue Account, Activity Report. See: Casino Control Act 5:12-139 & 5:12-141.		
0104-0000	License Fee Schedules	Record Series Transfer; Description; Retention	No Description; 20 years after update	Transfer from S821232 001 0006-0000; Established by DGE regulations. Amount charged for license applications. See: Casino Control Act 5:12-139 & 5:12-141; 10 years after update		
0105-0000	Regulations And Procedures, Internal	Record Series Transfer; Description	No Description	Transfer from S821232 001 0007-0000; DGE procedures for Revenue Unit. See: Casino Control Act 5:12-139 & 5:12-141		
0106-0000	Credit Memos, Issued On Overpayments	Record Series Transfer; Title; Description	Credit Memos; Issued on overpayments.	Transfer from S821232 001 0008-0000; Credit Memos, Issued On Overpayments; See: Casino Control Act 5:12-139 & 5:12-141		
0107-0000	Invoices - Casino	Record Series Transfer; Title; Description	Invoices; No Description	Transfer from S821232 001 0009-0000; Invoices – Casino; Actual invoices being sent to the applicants and licensees. Billable amounts to casinos for DGE expenses. See: Casino Control Act 5:12-139 & 5:12-141.		
0108-0000	Advice From Dishonored Checks-Uncollectible, Non-Sufficient Fund (NSF) Checks	Record Series Transfer; Title; Description;	Advice for Dishonored Checks - Uncollectible Non-Sufficient Fund (NSF) Checks;	Transfer from S821232 001 0010-0000; Advice From Dishonored Checks-		

RECORDS RETENTION AND DISPOSITION SCHEDULE				AGENCY #	SCHEDULE #	PAGE #
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Record Series #	Record Series Name	Type of Change	Former Designation (if applicable)	New Designation (if applicable)		
		Retention	No Description; Section Record Header Only	Uncollectible, Non-Sufficient Fund (NSF) Checks; A record of each check paid to DGE that is returned unpaid. See: Casino Control Act 5:12-139 & 5:12-141.; 5 years		
0109-0000	Copies Of Letters - NSF Notices That Have Been Paid	Record Series Transfer; Title; Description	Copies of Letters Sent to Persons Who Submitted New Checks for Payment of Fees, Noting the Return of the NSF Check; No Description	Transfer from S821232 001 0010-0001; Copies Of Letters - NSF Notices That Have Been Paid; Letters sent to persons who submitted new checks for payment of fees, noting the return of the NSF check. See: Casino Control Act 5:12-139 & 5:12-141.; 1 year		
0110-0000	Non-Sufficient Fund (NSF) File	Record Series Transfer; Description; Retention	No Description; 7 Years after all NSF's listed in individual file are satisfied	Transfer from S821232 001 0010-0002; Payment of fees by applicants who issued a check that was returned unpaid. See: Casino Control Act 5:12-139 & 5:12-141.; 1 year after all NSF's listed in individual file are satisfied		
0111-0000	DGE Certifications Of Accuracy (Original)	Record Series Transfer; Description	Letters that accompany computer runs of billable hours and travel expenses certifying their accuracy.	Transfer from S821232 001 0011-0000; Letters that accompany computer runs of billable hours and travel expenses certifying their accuracy. See: Casino Control Act 5:12-139 & 5:12-141		
0112-0000	Accounts Receivable Analysis And Aging Reports	Record Series Transfer; Description	Consists of a listing by revenue source and aging of debtors to the Casino Control Fund and Casino Revenue Fund.	Transfer from S821232 001 0015-0000; Consists of listing by revenue source and aging of debtors to the		

RECORDS RETENTION AND DISPOSITION SCHEDULE				AGENCY #	SCHEDULE #	PAGE #
				S661100	004	13 OF 15
Record Series #	Record Series Name	Type of Change	Former Designation (if applicable)	New Designation (if applicable)		
				Casino Control Fund and Casino Revenue Fund. See: Casino Control Act 5:12-139 & 5:12-141.		
0113-0000	Collection Dunning Letters	Record Series Transfer; Description	Consists correspondence to delinquent debtors of the Casino Control Fund and Casino Revenue Fund.	Transfer from S821232 001 0016-0000; Consists of correspondence to delinquent debtors of the Casino Control Fund and Casino Revenue Fund. See: Casino Control Act 5:12-139 & 5:12-141.		
0114-0000	Division Litigation Files	Record Series Transfer; Title; Description; Retention	Litigation Files - Delinquent Debtors; Includes: complaint, summons, notions, orders, etc. filed permanently with the courts.; 20 years after case closed	Transfer from S821232 001 0017-0000; Division Litigation Files; Includes: complaint, summons, motions, orders, etc. Filed permanently with the courts. See: Casino Control Act 5:12-139 & 5:12-141.; 10 years after case closed		
0115-0000	Doubtful Accounts - Write-Off Files	Record Series Transfer; Description	Requests to Remove Uncollectible Accounts Receivable from Agency Records.	Transfer from S821232 001 0019-0000; Request to remove uncollectible accounts receivable from agency records. See: Casino Control Act 5:12-139 & 5:12-141.		
0116-0000	Casino Control Cost Fund Cost Studies	Record Series Transfer; Title; Description	Casino Control Fund Cost Studies; Consists of Workpapers and analysis to determine the hourly rates to bill the casino industry and the licensing fees to be charged for non-casino licenses.	Transfer from S821232 001 0020-0000; Casino Control Cost Fund - Cost Studies; Consists of analysis to determine the hourly rates to bill the casino industry and the licensing fees to be charged for non-casino licenses. See: Casino Control Act 5:12-139 & 5:12-141.		

RECORDS RETENTION AND DISPOSITION SCHEDULE				AGENCY #	SCHEDULE #	PAGE #
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Record Series #	Record Series Name	Type of Change	Former Designation (if applicable)	New Designation (if applicable)		
0117-0000	Casino Control Fund Financial Statements (Originals) (General Ledger)	Record Series Transfer; Description; Retention	Includes: Balance Sheet, Statement of Revenues, Expenditures and changes in Fund Balances and Expenditure Detail.; Permanent	Transfer from S821232 001 0021-0001; Includes: Balance Sheet, Statement of Revenues, Expenditures and changes in fund balances, and Expenditure detail. See: Casino Control Act 5:12-139 & 5:12-141; 10 years from issuance		
0118-0000	Casino Control Fund Financial Statements - Analysis	Record Series Transfer; Title; Description	Casino Control Fund Financial Statements – Workpapers; No Description	Transfer from S821232 001 0021-0002; Casino Control Fund Financial Statements – Analysis; Internal analysis used for audits. See: Casino Control Act 5:12-139 & 5:12-141.		
0119-0000	Audit Reports - Office Of Legislative Services (Copy)	Record Series Transfer; Description	No Description	Transfer from S821232 001 0022-0000; See: Casino Control Act 5:12-139 & 5:12-141.		
	REVENUE CERTIFICATION					
0130-0000	Multi-Casino Jackpot Records - Primary Jackpots	Record Series Transfer; Description	(Primary Contribution Report Summary) 20 year pay off.	Transfer from S821234 001 0001-0001; Contains Primary Jackpots - Primary Contribution Report Summary (20 year pay-off). Annuity jackpots paid over 20 years. See: N.J.A.C.13:69D-1.40B.		
0131-0000	Multi-Casino Jackpot Records - Reconciliations	Record Series Transfer; Description	Consists of jackpots awarded from multi - casino slot systems with jackpots deducted from gross revenue by casino operators.	Transfer from S821234 001 0001-0003; Consists of jackpots awarded from multi-casino slot systems with jackpots deducted from gross revenue by casino operators. See: N.J.A.C.13:69D-1.40B		

RECORDS RETENTION AND DISPOSITION SCHEDULE				AGENCY #	SCHEDULE #	PAGE #
				S661100	004	15 OF 15
Record Series #	Record Series Name	Type of Change	Former Designation (if applicable)	New Designation (if applicable)		
0132-0000	Count Room Reports – Inspector's Copy	Record Series Transfer; Description	Consists of the commission's copy of Master Game Reports and Slot Win Sheets prepared by casino operators based on their counting of coin and currency.	Transfer from S821234 001 0002-0000; Consists of the Division's copy of Master Game Reports and Slot Win Sheets prepared by casino operators based on their counting of coin and currency. The originals are filed with the casino licensee. See: N.J.A.C. 13:69D-1.43.		
0133-0000	Gross Revenue Audit Analysis - Reports Of Casinos	Record Series Transfer; Title; Description; Retention	Gross Revenue Audit Workpapers - Reports of Casinos; No Description; Permanent	Transfer from S821234 001 0006-0001; Gross Revenue Audit Analysis - Reports Of Casinos; Internal audit conducted by DGE to certify revenue reported by casinos. See: N.J.A.C.13:69D-1.43.; 3 years after audit		
0134-0000	Gross Revenue Audit Analysis - Analysis/Correspondence	Record Series Transfer; Title; Description; Retention	Gross Revenue Audit Workpapers - Work papers/Correspondence; No Description; 7 Years	Transfer from S821234 001 0006-0002; Gross Revenue Audit Analysis - Analysis/Correspondence; DGE internal reports and work papers used to certify casino gross revenue reports. See: N.J.A.C.13:69D-1.43.; 3 years after audit		

STATE OF NEW JERSEY



Law and Public Safety-Gaming Enforcement

S661100-004

Records Retention and Disposition Schedule		Agency: S661100	Schedule: 004	Page #:1 of 12
Department:	Law and Public Safety-Gaming Enforcement	Agency Representative:	Saundra Boswell-Baker	
		Title:	Administrator Of Investigations	
		Phone #:		

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:

Record Series #	Record Title and Description	Audit	Alternate Media	Archival Review	Vital Record	Confidential	Retention Policy		Disposition	Citation
							Total Retention Period	Minimum Period in Agency		
Records & Identification Bureau										
0001-0000	Employee Licensing Files (Known As License 35 Or 40) --- Background investigation Files that consist of: Personal History Disclosure Forms, Investigation Reports, Exhibits, Credit Reports, Requests for Criminal History Record, License Recommendation Letters, Tax Returns, Inquiry Checklists, "Flag" Investigations, arrest records, Stipulations of Settlement, Alien Checks, correspondence, and Revocation, Reports and Division actions. See: <u>N.J.A.C. 13:69-C.2</u> . Note: License 21(Casino Employee) was converted to license 35 in 2016.					C	3 years after inactive		Destroy	
0001-0001	Self-Exclusion Program --- Consists of the application for addition to or removal from Self-Exclusion Program (Is a process that allows a person to request to be banned from all legalized gaming activities and to be prohibited from collecting any winnings, recovering any losses or accepting complimentary gifts or services or any other thing of value at any licensed facility). See: <u>N.J.A.C. 13:69G-2.1, 2.2, 2.3</u> and Casino Control Act 5:12-71.2.					C	6 months after term of self-exclusion		Destroy	

* P - Public, C - Confidential

Records Retention and Disposition Schedule				Agency: S661100			Schedule: 004		Page #:2 of 12	
Record Series #	Record Title and Description	Audit	Alternate Media	Archival Review	Vital Record	Confidential	Retention Policy		Disposition	Citation
							Total Retention Period	Minimum Period in Agency		
0001-0002	Criminal-Underage, Conditional Discharge --- A conditional discharge is a diversionary program available to individuals who were charged with underage gambling. If an underage person has never been convicted of a crime in New Jersey or any other State, that person is typically eligible (on probation for six months) for a conditional discharge. Contains input data sheets for individuals having fingerprints taken by RIDB and transmitted to Atlantic City Municipal Court. See: P.L. 2013, c.158.					C	6 months after the underage gambler has been fingerprinted		Destroy	
0001-0003	Director'S Actions And Orders --- The actions and orders signed by the Director are to remain in force until revoked. They are published on the Division's website and remain until revoked. Includes: Rulings, Petition Filings Report, Opinions, and Emergency Actions/Orders. See: P.L.1977, c.110 (C.5:12-1 et seq.).					P	5 years after a Director affirmatively revokes/reverses any action or order		Destroy	
0001-0004	Advisory Director'S Bulletins					P	5 years after being issued		Archives	
Service Industry Licensing Bureau										
0010-0000	Service Industry Licensing Files --- A Service Industry is a vendor that supplies items to the hotel/casino. File includes: Business Entity Disclosure Forms, Personal History Disclosure Forms, correspondence, Tax Returns, Background Checks, SEC Filings, Investigation Reports with exhibits, Financial Statements, Accounts Receivable and Payable Ledgers, Legal Documents, Notices and Transcripts and Division actions. Licenses are renewed every 5 years. See: <u>N.J.A.C. 13:69-3.5</u> .					C	15 years after license is issued		Destroy	

Records Retention and Disposition Schedule				Agency: S661100			Schedule: 004		Page #:3 of 12	
Record Series #	Record Title and Description	Audit	Alternate Media	Archival Review	Vital Record	Confidential	Retention Policy		Disposition	Citation
							Total Retention Period	Minimum Period in Agency		
Casino Entity Licensing										
0020-0000	Casino Entity Licensing Files --- A casino entity is the casino licensee and qualifiers and casino employees. File includes: Business Entity Disclosure Forms, Qualifier and Casino Key Employee Personal History Disclosure Forms, Tax Returns, Background Checks, SEC Filings, Mergers, Sales and Restructurings, Office of Financial Investigations Analyses, Investigation Reports and Final Reports and Division actions. Licenses are resubmitted every 5 years. See: <u>N.J.A.C. 13:69C-1.1.</u>					C	10 years after license is issued		Destroy	
Administration - Logistics										
0029-0000	Intake: Petitions --- The Intake Unit is where various forms of mail are sent to or delivered to. This includes petitions submitted on behalf of the licensees. See: <u>N.J.A.C. 13:69-3.5.</u>					P	2 years		Destroy	
Records & Identification Bureau										
0030-0000	Parking Passes And Building Passes Sign Sheet --- DGE issues parking passes for the controlled access to gated parking lots in Atlantic City and Trenton.					C	1 year		Destroy	
0032-0000	Fingerprint Log Book --- A manual fingerprint log was used to record each person fingerprinted. See: <u>N.J.A.C. 13:69A-7.7.</u> Note: The log books have not been used since the start of Live Scan digital prints in 2002. Live Scan retains an electronic record with the New Jersey State Police. The retention time for log books ends in 12/2017 and will be destroyed.					C	15 years after final entry		Destroy	

Records Retention and Disposition Schedule				Agency: S661100			Schedule: 004		Page #:4 of 12	
Record Series #	Record Title and Description	Audit	Alternate Media	Archival Review	Vital Record	Confidential	Retention Policy		Disposition	Citation
							Total Retention Period	Minimum Period in Agency		
Executive										
0040-0000	Employee Criminal Investigations --- Consists of Confidential investigations regarding employees.									
0040-0001	Employee Criminal Investigations - Hired (Background Check) --- The Division conducts an investigation on personnel considered for employment with the Division.					C	6 years after termination of employment		Destroy	
0040-0002	Employee Criminal Investigations - Not Hired (Background Check) --- The Division conducts an investigation on personnel considered for employment with the Division.					C	3 years		Destroy	
0040-0003	Employee Criminal Investigations (Internals) --- Consists of Confidential investigations regarding employees.					C	6 years after termination of employment		Destroy	
Regulatory Enforcement & Technical Services										
0050-0000	On-Sight Inspections (OSI) --- Includes: Jackpot Inspection Reports, Progressive Math Calculations, Correspondence. These Inspections are performed daily. Commencing in 2008, documents are stored electronically. Note: Prior OSIs are in hard copy. See: <u>N.J.A.C. 13:69D-1.37B</u> .					C	2 years after inspection is closed		Destroy	

Records Retention and Disposition Schedule				Agency: S661100			Schedule: 004		Page #:5 of 12	
Record Series #	Record Title and Description	Audit	Alternate Media	Archival Review	Vital Record	Confidential	Retention Policy		Disposition	Citation
							Total Retention Period	Minimum Period in Agency		
0051-0000	TSB Submission Documentation - Submitted By Gaming Vendors (Electronic And Hard Copy) . --- Includes: Hardware, software, and peripheral equipment documentation submitted for review by Division of Gaming Enforcement. See: <u>N.J.A.C. 13:69E-1.20</u> .					C	10 years after the equipment is no longer in use		Destroy	
0052-0000	TSB Submission Software --- Technical Services Bureau (TSB) requires software/data sent in from various slot manufacturers to complete inspections. Includes: d-base, personalities, sound and graphics. These are stored electronically using various storage media (i.e. E-Prom, Flash Cards, and CD's). See: <u>N.J.A.C. 13:69E-1.20</u> .					C	10 years after revoked		Destroy	
0055-0000	Progressive Appendix E Submissions (Electronic And Hard Copy) --- These are submissions specifically for Slot Machines which includes vendor documentation and math certifications. See: <u>N.J.A.C. 13:69D-1.39</u> .					C	1 year after progressive is removed from play		Destroy	
0056-0000	Division Models --- Includes Division created analysis tools used to verify payback percentages of slot submissions. (Electronically Stored) Division's Actions, Checklists and Tracking Forms. See: <u>N.J.A.C. 13:69D-1.39</u> .					C	7 years		Destroy	
0057-0000	Investigative Reports (Hard Copy) --- Consists of: Investigations and audits of casino operations pertaining to electronic aspects of the gaming industry. See: <u>N.J.A.C. 13:69-2.5</u> .					C	3 years after case closed		Destroy	

Records Retention and Disposition Schedule				Agency: S661100			Schedule: 004		Page #:6 of 12	
Record Series #	Record Title and Description	Audit	Alternate Media	Archival Review	Vital Record	Confidential	Retention Policy		Disposition	Citation
							Total Retention Period	Minimum Period in Agency		
0058-0000	DGE Exclusions --- Individuals who are banned from entering a casino. Individuals remain on the list until the Order is revoked. Individuals are allowed to file petitions for removal at anytime. See: <u>N.J.A.C.</u> 13:69G-1.1.					P	5 years after removed from list		Destroy	
0059-0000	Progressive Appendix I Submissions (Electronic And Hard Copy) --- These are submissions specifically for Internet Gaming which includes vendor documentation and math certifications. See: <u>N.J.A.C.</u> 13:69D-1.39.					C	1 year after progressive is removed from play		Destroy	
0060-0000	Audit/Investigation Case Files --- Consist of: Audits/Investigations arising from complaints, discussions, etc. involving all aspects of the gaming industry operations, including Division actions. See: <u>N.J.A.C.</u> Chapter 69D Subchapter 1.					C	3 years after case closed		Destroy	
Office Of Financial Investigations										
0070-0000	Quarterly Financial Reporting Filings (Originals) --- Includes: Balance Sheets, Statements of Income, Statements of changes in Stockholder's Equity/Partner's Equity, Statements of Cash Flows, Schedule of Promotional Expenses and Allowances, Statements of Conformity, Accuracy and Compliance and Footnotes. See: <u>N.J.A.C.</u> 13:69D-1.4.					C	20 years after license surrender		Destroy	
0071-0000	Supplemental Quarterly Filings (Originals) --- Includes: Statements of Consolidating Gross Operating Profit, Reconciliation of Internet Casino Revenue, Schedule of Debt and Capital Lease Obligations, Statement of Casino Bankroll, Quarterly Statistics, Supplemental Quarterly Filings Signature Page. See: <u>N.J.A.C.</u> 13:69D-1.4.					C	20 years after license surrender		Destroy	

Record Series #	Record Title and Description	Audit	Alternate Media	Archival Review	Vital Record	Confidential	Retention Policy		Disposition	Citation
							Total Retention Period	Minimum Period in Agency		
0072-0000	Quarterly Financial Report Filings And Supplemental Quarterly Filings (Analysis) --- Division analysis of required quarterly financial filings. Includes worksheets, graphs, and projections. See: <u>N.J.A.C. 13:69D-1.4.</u>					C	10 years		Destroy	
0073-0000	Annual Financial Reporting Filings (Originals) --- Includes: Schedule of Receivables and Patrons' Checks, Reconciliation of Casino Revenue, Employment and Payroll Report, Annual Statement of Capital and Maintenance Expenditures, Annual Filings Statement of Conformity, Accuracy and Compliance. See: <u>N.J.A.C. 13:69D-1.4</u>					C	20 years after license surrender		Destroy	
0074-0000	Annual Financial Reporting Analysis --- Analysis of information reported on Annual Financial Reporting Filings. See: <u>N.J.A.C. 13:69D-1.4.</u>					C	10 years		Destroy	
0075-0000	Annual Forecasts --- All casinos file the forecast and are used to determine eligibility to retain casino license. See: <u>N.J.A.C. 13:69D-1.4.</u>					C	10 years		Destroy	
0076-0000	Casino Industry Statistical Analysis --- Division prepared analysis of casino gaming trends. The analysis provides comparison of industry performance. See: <u>N.J.A.C. 13:69D-1.4.</u>					C	5 years		Destroy	
0077-0000	Bond Prospectus Data --- Casinos file when bond issues are proposed. The data is used to evaluate investors. See: <u>N.J.A.C. 13:69D-1.4.</u>					C	5 years		Destroy	

* P - Public, C - Confidential

Record Series #	Record Title and Description	Audit	Alternate Media	Archival Review	Vital Record	Confidential	Retention Policy		Disposition	Citation
							Total Retention Period	Minimum Period in Agency		
0078-0000	OFI Report - Initial Casino License --- Material submitted by casinos for license requirements. Includes: Initial Casino License, Resubmission, Material Debt Transactions, and Major Financial Transactions such as mergers, reorganizations, restructuring, etc. See: <u>N.J.A.C. 13:69C-4.2.</u>					C	20 years after license surrender		Destroy	
0079-0000	OFI Analysis – Initial Casino License --- Material prepared by the Division for assessment of license qualification. Includes: Initial Casino License, Resubmission, Material Debt Transactions, Major Financial Transactions such as mergers and acquisitions, reorganizations, restructuring, etc. See: <u>N.J.A.C. 13:69C-4.2.</u>					C	10 years		Destroy	
0080-0000	OFI Report And Analysis – Minor Financial Transactions --- Material prepared by the Division for assessment of license qualification. Division financial analysis of petitions filed by casino operators for exempt material debt transactions, management contracts, profit sharing agreements, etc. See: <u>N.J.A.C. 13:69C-4.2.</u>					C	10 years		Destroy	
0081-0000	Casino Operator's Chart Of Accounts --- Casino provided record of how expenses are recorded. See: <u>N.J.A.C. 13:69D-1.2.</u>					C	3 years after closure		Destroy	
0082-0000	Casino Operator's Annual Audit And Related Materials --- Includes: Annual Audited Financial Statements and Reports of C.P.A., Internal Controls, System Reports, and Material Weakness Report. See: <u>N.J.A.C. 13:69D-1.6.</u>					C	20 years after license surrender		Destroy	
0083-0000	Monthly Gross Revenue Reports And Tax Returns; Monthly Internet Gross Revenue Tax Returns --- Reports submitted to the Division by casinos and gaming companies. See: <u>N.J.A.C. 13:69D-1.6.</u>					C	20 years after license surrender		Destroy	

* P - Public, C - Confidential

Records Retention and Disposition Schedule				Agency: S661100			Schedule: 004		Page #:9 of 12	
Record Series #	Record Title and Description	Audit	Alternate Media	Archival Review	Vital Record	Confidential	Retention Policy		Disposition	Citation
							Total Retention Period	Minimum Period in Agency		
0084-0000	Monthly Internal Financial Reports, Financial Statements, And Statistics --- Used for evaluation of performance and stability. See: <u>N.J.A.C. 13:69D-1.6.</u>					C	10 years		Destroy	
Casino Control Fund										
0100-0000	Division Invoice Register - Casino --- The Register is a list of invoice numbers that have been billed to the applicants and licensees for a certain time period. All Division expenses invoiced to each casino. Includes Division record of billable hours to casinos. See: Casino Control Act 5:12-139 & 5:12-141.					C	1 year after closed		Destroy	
0101-0000	Cost Reports - Casino --- All Division expenses invoiced to each casino. Includes Time Expense Summaries (Duplicate) (Computer Run). See: Casino Control Act 5:12-139 & 5:12-141.					C	1 year		Destroy	
0102-0000	Reports And Analyses - Casino --- Regular reports and statistical analyses produced by or received by the Revenue Unit. See: Casino Control Act 5:12-139 & 5:12-141.					C	3 years		Destroy	
0103-0000	Reports And Analyses - Treasury --- Treasury Listing, Revenue Account, Activity Report. See: Casino Control Act 5:12-139 & 5:12-141.					C	1 year		Destroy	
0104-0000	License Fee Schedules --- Established by DGE regulations. Amount charged for license applications. See: Casino Control Act 5:12-139 & 5:12-141					P	10 years after update		Destroy	

Record Series #	Record Title and Description	Audit	Alternate Media	Archival Review	Vital Record	Confidential	Retention Policy		Disposition	Citation
							Total Retention Period	Minimum Period in Agency		
0105-0000	Regulations And Procedures, Internal --- DGE procedures for Revenue Unit. See: Casino Control Act 5:12-139 & 5:12-141					C	As updated		Destroy	
0106-0000	Credit Memos, Issued On Overpayments --- See: Casino Control Act 5:12-139 & 5:12-141					C	6 years		Destroy	
0107-0000	Invoices - Casino --- Actual invoices being sent to the applicants and licensees.Billable amounts to casinos for DGE expenses. See: Casino Control Act 5:12-139 & 5:12-141.					C	7 years		Destroy	
0108-0000	Advice From Dishonored Checks-Uncollectible, Non-Sufficient Fund (NSF) Checks --- A record of each check paid to DGE that is returned unpaid. See: Casino Control Act 5:12-139 & 5:12-141.					C	5 years		Destroy	
0109-0000	Copies Of Letters - NSF Notices That Have Been Paid --- Letters sent to persons who submitted new checks for payment of fees, noting the return of the NSF check. See: Casino Control Act 5:12-139 & 5:12-141.					C	1 year		Destroy	
0110-0000	Non-Sufficient Fund (NSF) File --- Payment of fees by applicants who issued a check that was returned unpaid. See: Casino Control Act 5:12-139 & 5:12-141.					C	1 year after all NSF's listed in individual file are satisfied		Destroy	
0111-0000	DGE Certifications Of Accuracy (Original) --- Letters that accompany computer runs of billable hours and travel expenses certifying their accuracy. See: Casino Control Act 5:12-139 & 5:12-141					C	20 years		Destroy	

Record Series #	Record Title and Description	Audit	Alternate Media	Archival Review	Vital Record	Confidential	Retention Policy		Disposition	Citation
							Total Retention Period	Minimum Period in Agency		
0112-0000	Accounts Receivable Analysis And Aging Reports --- Consists of listing by revenue source and aging of debtors to the Casino Control Fund and Casino Revenue Fund. See: Casino Control Act 5:12-139 & 5:12-141.					C	2 years		Destroy	
0113-0000	Collection Dunning Letters --- Consists of correspondence to delinquent debtors of the Casino Control Fund and Casino Revenue Fund. See: Casino Control Act 5:12-139 & 5:12-141.					C	Until debt paid in full		Destroy	
0114-0000	Division Litigation Files --- Includes: complaint, summons, motions, orders, etc.. Filed permanently with the courts. See: Casino Control Act 5:12-139 & 5:12-141.					C	10 years after case closed		Destroy	
0115-0000	Doubtful Accounts - Write-Off Files --- Request to remove uncollectible accounts receivable from agency records. See: Casino Control Act 5:12-139 & 5:12-141.					C	20 years after write off		Destroy	
0116-0000	Casino Control Cost Fund - Cost Studies --- Consists of analysis to determine the hourly rates to bill the casino industry and the licensing fees to be charged for non-casino licenses. See: Casino Control Act 5:12-139 & 5:12-141.					C	3 years		Destroy	
0117-0000	Casino Control Fund Financial Statements (Originals) (General Ledger) --- Includes: Balance Sheet, Statement of Revenues, Expenditures and changes in fund balances, and Expenditure detail. See: Casino Control Act 5:12-139 & 5:12-141					C	10 years from issuance		Destroy	
0118-0000	Casino Control Fund Financial Statements - Analysis --- Internal analysis used for audits. See: Casino Control Act 5:12-139 & 5:12-141.					C	3 years		Destroy	

Records Retention and Disposition Schedule				Agency: S661100			Schedule: 004		Page #:12 of 12	
Record Series #	Record Title and Description	Audit	Alternate Media	Archival Review	Vital Record	Confidential	Retention Policy		Disposition	Citation
							Total Retention Period	Minimum Period in Agency		
0119-0000	Audit Reports - Office Of Legislative Services (Copy) --- See: Casino Control Act 5:12-139 & 5:12-141.					C	3 years		Destroy	
	Revenue Certification									
0130-0000	Multi-Casino Jackpot Records - Primary Jackpots --- Contains Primary Jackpots - Primary Contribution Report Summary (20 year pay-off). Annuity jackpots paid over 20 years. See: <u>N.J.A.C. 13:69D-1.40B.</u>					C	25 years		Destroy	
0131-0000	Multi-Casino Jackpot Records - Reconciliations --- Consists of jackpots awarded from multi-casino slot systems with jackpots deducted from gross revenue by casino operators. See: <u>N.J.A.C. 13:69D-1.40B.</u>					C	5 years		Destroy	
0132-0000	Count Room Reports - Inspector'S Copy --- Consists of the Division's copy of Master Game Reports and Slot Win Sheets prepared by casino operators based on their counting of coin and currency. The originals are filed with the casino licensee. See: <u>N.J.A.C. 13:69D-1.43.</u>					C	2 years		Destroy	
0133-0000	Gross Revenue Audit Analysis - Reports Of Casinos --- Internal audit conducted by DGE to certify revenue reported by casinos. See: <u>N.J.A.C. 13:69D-1.43.</u>					C	3 years after audit		Destroy	
0134-0000	Gross Revenue Audit Analysis - Analysis/Correspondence --- DGE internal reports and work papers used to certify casino gross revenue reports. See: <u>N.J.A.C. 13:69D-1.43.</u>					C	3 years after audit		Destroy	

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT			
DEPARTMENT SCHEDULE HEADING	State General Retention Schedule	AGENCY #	G100000
DIVISION:		SCHEDULE #	010
BUREAU:		PAGE # 1	OF 1

RETENTION SCHEDULE AMENDMENTS

FORMER AGENCY NAME (DEPARTMENT/DIVISION/BUREAU)	State General Schedule
FORMER AGENCY NUMBER	G100000-009

RECORDS SERIES LEVEL AMENDMENTS

RECORD SERIES #	RECORDS AGENCY NUMBER	TYPE OF CHANGE	FORMER DESIGNATION (IF APPLICABLE)	NEW DESIGNATION (IF APPLICABLE)
1313-0000	I-9 Employment Eligibility Verification Forms	New		

STATE OF NEW JERSEY



STATE GENERAL RECORDS SCHEDULE

G100000-010

Records Retention and Disposition Schedule		Agency: G100000	Schedule: 010	Page #:1 of 69
Department:	STATE GENERAL RECORDS SCHEDULE	Agency Representative:	Robert Benco Jr	
		Title:	Assistant Director	
		Phone #:		

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:

Record Series #	Record Title and Description	Audit	Alternate Media	Archival Review	Vital Record	Confidential	Retention Policy		Disposition	Citation
							Total Retention Period	Minimum Period in Agency		
Financial Records										
0001-0000	Invoice/Quick Invoice(In/QI) --- Usage: to establish an account (s) receivable file. Formerly known as Accounts Receivable Request.									
0001-0001	Invoice/Quick Invoice (Using Agency)					P	7 Years	3 Years	Destroy	
0001-0002	Invoice/Quick Invoice (Electronic Record-Treasury)					P	7 Years	3 Years	Destroy	
0002-0000	Advice Of Charge --- Usage: notifies the Department of the Treasury which accounts need to be charged. Form lists the following information: pay number, pay period, fiscal year, appropriation account number, cost center, gross salary, food maintenance, and net case salary.									
0002-0001	Advice Of Charge (Using Agency)					P	7 Years	3 Years	Destroy	
0002-0002	Advice Of Charge (Electronic Record-Treasury)					P	7 Years	3 Years	Destroy	

* P - Public, C - Confidential

Record Series #	Record Title and Description	Audit	Alternate Media	Archival Review	Vital Record	Confidential	Retention Policy		Disposition	Citation
							Total Retention Period	Minimum Period in Agency		
1312-0000	Garnishment File --- File usually contains documentation for debt owed to State agencies because of former employees being overpaid, overdrawn sick time or bounced check for Health Benefit prepayments. A copy of the separation from PMIS, along with any calculations and Treadhoc copies used to figure amount of debt are included as well as letters sent informing of debt owed. File may include: a copy of the record once entered into the Department of the Treasury, Division of Revenue and Enterprise Services (DORES) system, if any payments have been made, will be copied in the file, Set-Off of Individual Liability File (S.O.I.L.) and related materials.					P	7 yrs after debit is satisfied	7 yrs after debit is satisfied	Destroy	
1313-0000	I-9 Employment Eligibility Verification Forms --- Form I-9 is used for verifying the identity and employment authorization of individuals hired for employment in the United States. All U.S.employers (including State agencies) must use Form I-9 for all employees (Citizens and noncitizens) hired on or after Nov. 6, 1986, who are working in the U.S. Form generated by Department of Homeland Security, U.S. Citizenship and Immigration Services. Retention period prescribed by the Immigration Reform and Control Act of 1986 (IRCA) Pub. L. 99-603).					P	3 yrs after date of hire or 1 yr after termination, whichever is later	3 yrs after date of hire or 1 yr after termination , whichever is later	Destroy	
General Administrative Records										
1400-0000	Administrative Subject File --- Correspondence, memoranda, publications, reports, bulletins, and other information received by a state agency and alphabetically filed by subject.					P	3 Years	3 Years	Destroy	
1401-0000	Agency - Sponsored Conferences File --- Public Information meetings sponsored by state agencies.									
1401-0001	Agency - Sponsored Conferences - Printed Matter Intended For Distribution To The Public (Master)			X		P	Permanent	Permanent	Archival review	