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STATE OF NEW JERSEY

DEPARTMENT OF THE TREASURY

NO.: 07-11-OMB	ORIGINATING AGENCY: OFFICE OF MANAGEMENT AND BUDGET	PAGE 1 OF 2
EFFECTIVE DATE: 11-01-06	EXPIRATION DATE: INDEFINITE	SUPERSEDES:
SUBJECT: AUTOMATED RECORDS MANAGEMENT/STORAGE SYSTEMS AND RELATED SERVICES		
ATTENTION: DIRECTORS OF ADMINISTRATION		
FOR INFORMATION CONTACT: GARY J. BRUNE, ASSOCIATE DIRECTOR		PHONE: (609) 984-5234

PURPOSE/SCOPE

This letter establishes procedures for the review and approval of all proposals for new automated records management/storage systems and related services intended to supplement or replace paper-based records systems. All Executive Branch agencies are required to comply with these procedures effective immediately.

The procedures outlined in this letter apply to the purchase of automated records management/storage systems and services regardless of funding source.

Executive Branch agencies may not procure or obtain State funding for automated records management/storage systems/services without the approvals outlined herein.

GENERAL DEFINITION OF AUTOMATED RECORD MANAGEMENT/STORAGE SYSTEMS AND SERVICES

Automated records management/storage systems involve electronic scanning, photographic microfilming from scanned images or from digital sources, computerized indexing of record images, as well as the processing, maintenance, dissemination and disposition of record images in electronic formats such as bit-mapped facsimiles, character-coded data, and analog microforms. Automated records management/storage systems include, but are not limited to, systems based on electronic work flow automation, on-line storage and retrieval of record images, Internet-based filing/record retrieval, electronic payment systems (i.e., electronic fund transfer (EFT), e-check, credit card, etc.), email archive systems and records management systems or combinations using technological platforms such as these. Services include mail processing, document screening/preparation, electronic scanning, index/application data capture, and hosting of electronic record images on server platforms.

REVIEW/APPROVAL OF AUTOMATED RECORD SYSTEM/SERVICE PROPOSALS

The review/approval process includes the following agencies:

- **The Division of Archives and Records Management (DARM)** - DARM will focus on records management issues including retention rule-related issues and electronic image processing system certification pursuant to N.J.A.C. 15:3-5.1 et seq. DARM will also work in conjunction with DOR to review all proposed solutions focusing on the effectiveness and efficiency of proposed service arrangements, as well as work to identify opportunities for streamlining and consolidating record systems.

REVIEW/APPROVAL OF AUTOMATED RECORD SYSTEM/SERVICE PROPOSALS - continued

- **The Division of Revenue (DOR)** - DOR will concentrate on the review of all proposed solutions focusing on the effectiveness and efficiency of proposed service arrangements, as well as work to identify opportunities for streamlining and consolidating record systems. DOR will lend their expertise as a leader in this field to either provide services internally or provide direction to the requestor in ensuring a successful implementation that meets their needs.
- **Office of Information Technology (OIT)** - OIT will evaluate the technological and information management dimensions of the proposed systems, and will provide support to DOR and DARM in pursuing streamlining and consolidation opportunities identified through the review process. OIT will ensure that state technology standards are met, impacts on the Garden State Network are considered, and implementation strategies are sound and effective to ensure successful project delivery.
- **Office of Management and Budget (OMB)** - OMB will monitor for compliance with the review/approval process, and work with the Division of Purchase and Property to ensure that appropriate compliance controls are incorporated in the State's budgetary and procurement systems and processes.

Procedures for the Review/Approval Automated Record System/Service Proposals

All system/service proposals must be forwarded directly to the Chief Technology Officer (CTO) of OIT, who in turn will forward copies to OMB, DOR, and DARM. Proposals may be forwarded electronically to the CTO at PMO@OIT.state.nj.us or mailed to OIT -- Project Management Office (PMO), PO Box 212 Riverview Plaza Building 300, 1st Floor. The PMO under the state CTOs office will coordinate the review/approval cycle and act as the communications conduit to the agency throughout the cycle.

Agency proposals must conform to the Statewide Information Technology Strategic Planning Process as outlined and administered by OIT if submitted after November 1, 2006. Initiatives submitted prior to November 1, 2006 must include the following:

- Designation of an agency project manager. Name, title, and a brief description of the designated project manager's education and experience qualifications must be included.
- A feasibility study that outlines the current record system/service and its deficiencies, summary of the system/service alternatives considered, and rationale for selection of the proposed alternative, including a cost/benefit analysis. For alternatives that involve cost savings/avoidance and/or revenue enhancements the cost/benefit analysis must include a pay-back or return on investment section (ROI).
- A conceptual design or requirements statement that describes what the agency desires the proposed alternative to deliver.
- The anticipated duration, cost and funding source for the new system/service development project, along with estimates for annual costs associated with operating the system/service (minimum of three years). Included must be a detailed project work plan indicating milestones and delivery dates.

DARM, DOR, and OIT may approve, reject, or propose modifications to the agency's proposal. All three reviewing agencies must approve a proposal before it may progress to the funding or procurement stage.

Approvals, rejections, proposed modifications, questions, and requests for additional information will be communicated through the PMO under the CTO to the designated agency project manager. Incomplete or unsatisfactory submissions will be returned to the requesting agency with no action.

Charlene M. Holzbaaur
Director