

# **New Jersey Department of the Treasury Records Management Services**



## **Update on Electronic Records Management Program**

## Summary of Program Described During the Division's March 2017 Presentation to the State Records Committee

SRC-approved Seven Year Retention Period for Electronic Mail

SRC-endorsed Circular Letter (Circular Letter (CL) 14-12 DORES/OIT) Outlining Foundational Program Elements

- Acceptable use policies covering e-mail and the Internet
- Litigation hold process
- OPRA response/tracking process
- E-mail vaulting/journaling platform combined with central management of end-user e-mail boxes
- System security: 1) Prevent unauthorized or unintended access, use, distribution, modification, or destruction of e-mail records; and 2) Assure message authenticity, integrity and retrievability/usability over time
- E-mail back-up/recovery and disaster recovery/continuity of operations programs
- For general electronic records management -- electronic File Plan as the basis for the maintenance of electronic records with retention periods exceeding the 7 year retention period

Use of records disposition request and authorization process for any disposition actions involving electronic mail/records (now done through a system called Artemis)

Annual e-mail system sustainability review (really applies to all electronic records systems/repositories)

Certificate of Participation indicating agency has implemented the foundational program elements listed above and is adopting the retention and disposition program set forth in the CL

## Review of the Technical Platform that Supports the New Jersey Department of the Treasury's Electronic Records Management Program


Platform Element	Product	Commentary
Basic Office Communications -- Electronic Mail, Calendaring, Tasks, etc.	CloudConnect	Cloud-based service; secure OIT-sanctioned solution with strong continuity of operations features; expansive capacity
E-mail Journal and Archive	CloudConnect and Third-Party Platform	Immutable cloud-based copies of all electronic mail messages; includes cross-mailbox searching and litigation hold features
Record-keeping System	Third Party Enterprise Content Management System (Planned in March 2017)	Separate repository for static long term retention and management of selected e-mail and digital records content

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Deployed  
In December  
2017



# T-DRE Enables the Department of the Treasury to Implement Its Electronic Records Management Program



CAPSTONE Accounts  
G100000-009, 1405-0003; 25  
years/Archival Review; reviews  
can occur earlier if desired)

Mid-tier Record-Keeping System  
Various retention periods set by user agency – assigned retention  
periods must be longer than State-established retention periods

7-year retention period, (State Government Retention Schedule Item: G100000-009, 2000-0000, items 0001-0008;  
7 years/Destroy)  
Securely delete at anniversary date after receiving authorization

## Some Features of the T-DRE

Electronic records import/export -- individual file and bulk options for one-time or on-going/timed imports/exports (maintains original content, structure and context of items moved to the system, including metadata with the ability to add additional descriptors for data management and curation)

Supports long term retention of imported records with ability to check on data integrity

Common, industry-supported data base/operating system architecture with ability to migrate records to new technology platforms as needed

Implemented on a virtualized platform, a private cloud that scales to petabytes of storage and massive processing capacity (CPU and memory) on demand; provides for economies of scale, which is a key for long term responsiveness

Supports cross-agency repository services

Role-based security (for access control) and encryption

Integrated with existing back-up/recovery program

Displays content in original file format or PDF

Parameterized and free text searching – in-house at first, but has out-of-the-box feature that can be configured for secure public access if the Department chooses to move in this direction

Provides for customized reporting on records holdings

State-owned resource – obviates the need for contract management and mitigates risk of contract termination/system transfer

## Resources and Governance to Support T-DRE

### T-DRE sustainability:

- Covered by Treasury's IT budget
- Is under Treasury's technology planning regime (update, upgrade, replacement/migration planning)
- Administered by regular Treasury/OIT technical staff (all elements of the technology stack covered)

Departmental policies/procedures (currently in draft form) that support import, retention/maintenance, access/export, and authorized disposition, including transfer to archival repositories:

- Long term electronic mail retention and disposition (including import regime and retention/disposition schedule management)
- Long term electronic records retention and disposition (including import regime and retention/disposition schedule management)
- Records retrieval

**\*\*These elements complement the robust controls set forth in CL 14-12 DORES/OIT**

Questions?

Thank You!