



**AGENDA
STATE RECORDS COMMITTEE
October 21, 2021
10:00AM**

Location: Online/Teleconference
(<https://www.state.nj.us/treasury/revenue/rms/srcpackets.shtml>)

Announcement of Open Public Meeting

I. Review of July 15, 2021 Minutes

II. Administrative Actions:

- A. Announcement of Approval of Destruction Authorization:**
Artemis Request: # 574205 - 576958
- B. Registered Imaging Systems / Amendments / Annual Reviews:**
Report to the State Records Committee: (See attached)
- C. Report to the State Records Committee:** (See attached)

III. New Business:

- A. Records Retention Schedules:** (See attached)
 - 1. Motor Vehicle Commission – Imaging Services Center – Imaging Unit/Transaction S794001** – Presented by Marcella Campbell
 - 2. Environmental Protection – Environmental Safety & Health – Discharge Prevention** – Presented by Marcella Campbell
 - 3. Community Affairs – NJ Housing and Mortgage Finance Agency – S221509 Retired** – Presented by Marcella Campbell
- B. Special Request for Authorization for Records Disposal:** (See attached)
 - 1. NJ Transit** – Damaged Records – Presented by Karen Perry
 - 2. Bernards Township** – Damaged Records – Presented by James Jenkins

IV. Other Business: None



MINUTES
STATE RECORDS COMMITTEE
July 15, 2021

Amanda Truppa, Secretary, called the 446th meeting of the State Records Committee to order at 10:04 a.m. on the above date. This meeting was conducted virtually.

Ms. Truppa stated there was a quorum present; Mr. Klett was excused.

ATTENDANCE:

SRC: State Treasurer, Amanda Truppa, designee
Department of Community Affairs, Division of Local Government Services, Jason Martucci, designee
State Auditor, Ken Kramli, designee
Attorney General, Susan Scott, designee

Staff: Liz Hartmann, Administrative Analyst 3, Records Management Services
John Berry, Records Analyst 1, Records Management Services
Marcella Campbell, Records Analyst 3, Records Management Services
Virma Guzman-Reyes, Head Audit Clerk, Records Management Services
Karen A. Perry, Records Analyst 1, Records Management Services
Robert Herrick, Records Analyst 2, Records Management Services

Other: Michele Everly, CARMA, Gloucester County
Argean Cook, NJ Transit
Joan DePaolo, NJ Transit
Patricia Horrell, Health
Lauren Wiley, CARMA, Mercer County
Dan Freed, CARMA, Sussex County
Gary Dalina, CARMA, Middlesex County
Anthony Vetrano, NJ Transit

MINUTES:

APPROVAL OF PREVIOUS SRC MEETING MINUTES:

Upon motion, seconded, the Committee voted to approve the minutes of the April 15, 2021 meeting all present approved.

I. ADMINISTRATIVE ACTIONS:

A. Announcement of Approval of Destruction Authorizations:

Artemis Request # 572259-574204

B. Imaging Certification Amendments/Annual Reviews/Administrative Actions:

Report to the State Records Committee

II. New Business

A. Records Retention Schedule: All schedules presented were tabled pending further consideration related to the Committee's discussion regarding clarification on the language in the Attorney General Directive and NJ Transit's recommendation to consider scheduling these records series on law enforcement schedules.

1. State General Schedule - G100000 – tabled pending further consideration

2. County General Schedule - C820000 – tabled pending further consideration

3. Municipal General Schedule – M100000 – tabled pending further consideration

There being no further business, the Committee adjourned at 10:33 a.m.

Amanda Truppa
Secretary
State Records Committee

Certification #	Agency	Amendment Type
21091401-MP	Cape May County Municipal Utilities Authority	New Registration
21091402-MP	Township of Eastampton	New Registration
21072101-MP	Pennsauken Public Schools	New Registration
21072102-MP	Burlington County Health Department	New Registration
21072103-MP	Borough of Collingswood	New Registration
21072104-MP	Cape May Technical High School	New Registration
21072801-MP	Alexandria Township School District	New Registration
21072802-MP	Borough of Midland Park	New Registration
21072803-MP	Bloomington Public Schools	New Registration
09012219-MF	Borough of Midland Park	Amendment
06042001-NM	City of Summit Clerk's Office	Annual Review/Amendment
09121702-MP	County of Camden Prosecutor's Office	Added Records Series
09121702-MP	County of Camden Prosecutor's Office	Annual Review/Amendment
10071502-MP	County of Burlington RIM	Annual Review
02012401-MP	Township of Bernards Office of Municipal Clerk Systems Administration	Annual Review/Amendment
03051501-MP	Township of Brick Municipal Utilities Authority Accounting	Annual Review/Amendment
18020801-MP	Rowan College at Burlington County	Annual Review/Amendment
01071901-MP	County of Somerset County Clerk	Annual Review
11072110-NM	Woodbridge Fire Department	Annual Review
14051506-NM	Hudson County Department of Family Services Division of Welfare	Annual Review
17112202-MP	Wall Township Police Department	Amendment
14071703-MP	Monroe Township School District	Annual Review
12201801MP	North Brunswick Township Public Schools	Annual Review
17051103-MP	Manalapan-Englishtown Regional School District	Annual Review
12062102-MP	Bogota Public School	Annual Review
08121804-MP	NJ Transit Corporation Accounts Payable Department	Annual Review
16042804-MP	Freehold Township Schools	Annual Review
12041905-MP	Perth Amboy School District	Annual Review
14071708-MP	Midland Park School District	Annual Review
13071807-NM	Rowan University Enterprise Systems	Annual Review
09071605-MP	Rutgers University Robert Wood Johnson Medical School	Annual Review
17052501-MP	Borough of Glassboro	Annual Review
04021902-MF	Township of Woodbridge Building Department	Annual Review
13091902-MP	Delaware Valley Regional High School	Annual Review
09012219-MF	Borough of Midland Park	Annual Review/Amendment

Certification #	Agency	Amendment Type
10102127-MF	Township of Randolph	Annual Review
09101502-MP	Borough of Atlantic Highlands	Annual Review
10061701-MP	Department of Law & Public Safety Election Law and Enforcement Commission	Annual Review
14051508-MP	Township of Long Beach	Annual Review
10041501-MP	South Orange-Maplewood School District	Annual Review
19100301-MP	Roseland School District	Annual Review
06031601-MF	County of Burlington Board of Social Services	Annual Review
09012218-MF	Borough of Maywood	Annual Review/ Amendment
18083001-MP	Burlington Township	Annual Review
14032009-NM	Warren County Division of Temporary Assistance and Social Services	Annual Review
02101702-MF	County of Union Office of the Clerk	Annual Review
06072004-MF	County of Union Office of the Clerk e-Recording	Annual Review
11072109-MP	Wall Township Public Schools	Annual Review

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

**Records Management Administrative Action
State Records Committee Meeting 4/15/21**

New Jersey Transit – Administrative Support – Local Programs - S809037

On the schedule S809037 0001-0000 – 0014-0000 will be removed and records series 0020-0000 – 0028-0003 will be added to correct a data entry error.

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)	New Jersey Transit – Administrative Support – Local Programs
Current Agency Number	S809037
(Old Schedule number)	003
(New Schedule number)	004

Records Series Level Amendments

Record Series #	Record Series Name	Type of Change	Former Designation (if applicable)	New Designation (if applicable)
0001-0000	Accessibility Project File	Obsolete	File used to maintain status of the different stages of the project. Projects are done periodically. Includes correspondence from Advisory Committee and the Legislature and Maintenance of Effort Schedule (represents the amounts of	

			federal, state and local government funds expended on a project).	
0002-0000	Casino Revenue Yearly File	Obsolete	The Casino Revenue Program is available to counties through New Jersey Transit for capital, operating and/or administrative expenses to provide locally coordinated paratransit services for senior citizens and disabled persons.	
0002-0001	Casino Revenue Yearly File-Application for Funds, New Jersey Senior Citizen Disabled Resident Transportation Assistance Program File	Obsolete	Includes application, budget information, Public Hearings, transcripts, correspondence, Citizen Advisory Group agenda and minutes, contracts, service provider contracts, REP, proposals and riderships reports.	
0002-0002	Casino Revenue Yearly File - Reimbursement Form - Invoice	Obsolete	Lists: agreement period, expense period, budget expenditure report/line items, reimbursement source and amount.	
0003-0000	Federal Aid to Urban System (FAUS)	Obsolete	Federal program to provide capital	

			funds to counties for vehicles for the elderly. Includes: grant award, federal guide agreement with county, and correspondence	
0004-0000	Section 16B-2 Files	Obsolete	Section 16b-2 is part of Urban Mass Transportation Act (UMTA) of 1964, which provides funds to nonprofit organizations (counties) to lease vehicles for the elderly and the handicapped.	
0004-0001	Section 16B-2 Files	Obsolete	Section 16 Files - Application File includes: FTA (Federal Transportation Authority) review selection process, application, copy of lease agreements, quarterly reports, and correspondence.	
0004-0002	Section 16B-2 Files	Obsolete	Section 16 Vehicle Purchase File includes: vendor names, vendor specifications, bids, correspondence, reference material and other vehicle information.	
0004-0003	Section 16B-2 Files	Obsolete	Section 16 Vehicle Lease	

			Files Includes: Original lease for vehicles used by Section 16 programs. Consists of: Insurance information, quarterly reports by agency, copy of original title, vehicle inspection sheets, and vehicle accident reports.	
0004-0004	Section 16B-2 Files	Obsolete	Section 16 Vehicle Disposal Record - Motor Vehicle Title includes: original title until signed over to agency and disposal records.	
0005-0000	Section 18 Files	Obsolete	Section 18 is part of Urban Mass Transportation Act (UMTA) of 1964 to provide funds to non-urbanized areas and rural areas of public transportation.	
0005-0001	Section 18 Files Section 18 Files Agreement	Obsolete	Includes: application, budget information Public Hearing Transcripts, correspondence contracts, service provider contracts, REP, proposals, ridership reports, ADA plans, Drug and Alcohol annual report by	

			county.	
0005-0002	Section 18 Files Program Audit Files	Obsolete	Includes: financial statement, account report, and project expenditures.	
0006-0000	Public Hearing Case Files - Casino Program	Obsolete	Includes: transcripts, support material, report of proceedings, public notices, speaker attendance sheet, and other materials regarding the case.	
0007-0000	Grant Program Files	Obsolete	The Federal Transportation Authority (FTA) yearly application file for Section 16 and Section 18 programs.	
0008-0000	Accessible Bus Reservation Application	Obsolete	Used to insure that a bus rider can take a regular trip with handicapped accessible equipment (buses) available. Form lists: name of person, making reservation, date of trip, bus line, and type of impairment.	
0009-0000	Drivers Manifest File	Obsolete	Manifest lists: trip number, passenger name, address, special instructions, fare amount and fare	

			collected; (this information is kept on a daily basis as well as in a monthly summary). Also includes daily, weekly and drivers manifests and copy of invoice and letter to service provider acknowledging invoice. This information is used to generate payment.	
0010-0000	Access Link Operations Report	Obsolete	Access Link is NJ Transits fixed route complementary paratransit service. Used to show ridership of Access Link NJ Transit bused for any given time. Purpose of the information is to allow NJ Transit to have control of service provider. Also reflects any comments by Manager.	
0010-0001	Access Link Operations Report - Daily	Obsolete	Used to show daily ridership, lists total trips, schedule, date, region, weather, information on vehicles and previous day's operation.	
0010-0002	Access Link Operation Report - Weekly	Obsolete	Used to show ridership, certified riders, and service quality on a	

			monthly and weekly basis, i.e. trips late, trip breakdowns, accidents, incidents, complaints, etc., and service provider comment.	
0011-0000	Service Provider File	Obsolete	Contains: DMV abstract copy of substance test results of service provider drivers, driver training records and other related materials.	
0012-0000	Paratransit Application	Obsolete	Consist of: a five part application to establish eligibility for paratransit services. May include but not limited to, application, medical certification from doctor, correspondence, etc.	
0012-0001	Paratransit Application - Certified	Obsolete		
0012-0002	Paratransit Application - Denied	Obsolete		
0012-0003	Paratransit Application - Conditional and/or Temporary Definition	Obsolete	Consists of application in which eligibility for paratransit services has not been sufficiently substantiated to grant full privileges. Riders have the right to an appeal process.	

0013	Paratransit Application Agency (Log) Sheet	Obsolete	Lists: Agency name, address, name of sender, telephone number, applicants name, address, location interview conducted, clientele and interviews initials, agency directors and interviews signatures. Also included is copy of an invoice from agency contracted to interview applicants for paratransit services which is used to compare information from contractor regarding interviews and for invoicing.	
0014-0000	Access Link Implement Report	Obsolete	Used to record the implementation of the Access Link weekly service.	
0020-0000	Senior Citizens Disabled Resident Transportation Assistance Program (SCDRTAP):	New		SCDRTAP is a casino revenue funded program available to counties through NJ Transit for operating, administration, and/or capital expenses to provide locally coordinated paratransit services for senior citizens and disabled persons.
0020-0001	SCDRTAP County Files	New		Includes program timeline, state program guidelines, county paratransit grant allocation letter, application, agreement, sub-contracts, general correspondence, contract & budget modifications, ridership, public hearing (part of application),

				<p>local advisory committee minutes and general administration.</p> <p>7 years after contract closed or 3 years after termination of grant, whichever is longer.</p>
0020-0002	SCDRTAP Reimbursement Files	New		<p>Includes casino revenue monthly reimbursement request form indicating agreement period, expense period, administration, operating, and/or capital budget expenditure report line/line items, invoices and backup documentation and general correspondence.</p> <p>7 years after contract closed, or 3 years after termination of grant, whichever is longer.</p>
0020-0003	SCDRTAP Audit Files	New		<p>Includes financial statement, account reports and expenditures. Single program audit or equivalent.</p> <p>7 years after contract closed, or 3 years after termination of grant, whichever is longer.</p>
0020-0004	SCDRTAP Closeout Files	New		<p>Includes casino revenue closeouts, backup documentation and general correspondence.</p> <p>7 years after contract closed, or 3 years after termination of grant, whichever is longer.</p>
0020-0005	SCDRTAP Public Hearing Files	New		<p>Includes public notice, newspaper advertisements, support materials, PowerPoint presentations, attendance and speaker sheets, hearing transcripts and general correspondence.</p> <p>7 Years</p>
0021-0000	Citizen Advisory Committee Files	New		<p>Includes notices, agendas, minutes, handouts, monthly schedule, accessibility projects, resolutions, casino county application review forms, membership bio, membership terms, appointment and resignation, mileage reimbursement, catering invoices and general</p>

				correspondence. 7 Years
0022-0000	Section S5311 (S5311) Program	New		The S5311 Program is part of the Federal Transit Administration (FTA) to provide funds to non-urbanized areas and rural areas for public transportation. 7 years after contract closed, or 3 years after termination of grant, whichever is longer
0022-0001	S5311 County Files	New		Includes program timeline, state management plan, intercity waiver, Department of Labor certification, sub-recipient grant allocation, application, agreement, subcontracts, general correspondence, contract and budget modifications, ridership, site audits, public hearings transcript if applicable, DBE reports and general administration. 7 years after contract closed, or 3 years after termination of grant, whichever is longer.
0022-0002	S5311 Reimbursement Files	New		Includes S5311 monthly reimbursement request form indicating agreement period, expense period, administration, operating and/or capital budget expenditure, report line/line items, invoices, backup documentation and general correspondence. 7 years after contract closed, or 3 years after termination of grant, whichever is longer.
0022-0003	S5311 Audit Files	New		Includes financial statement, account reports and project expenditures. 7 years after contract closed, or 3 years after termination of grant, whichever is longer.
0022-0004	RTAP Closeout Files	New		Include RTAP closeouts, backup documentation and general correspondence.

				7 years after S5311 and SCDRTAP contract closed, or 3 years after termination of grant, whichever is longer.
0023-0000	Rural Transportation Assistance Program (RTAP)	New		The RTAP program provides training and technical assistance to rural community transportation providers throughout New Jersey offering training techniques to small transit agency managers, dispatchers, drivers, mechanics and support staff.
0023-0001	RTAP Files	New		<p>Include correspondence on Passenger Assistance Safety & Securement Course (PASS), defensive driving, manager/supervisor/dispatcher certification, telephone techniques, customer service, vehicle maintenance management and inspection, scheduler/dispatcher training, Train the Trainer programs, RTAP scholarships, RTAP newsletters and general correspondence, contract with National Transit Institute (NTI).</p> <p>7 years after S5311 and SCDRTAP contract closed, or 3 years after termination of grant, whichever is longer.</p>
0023-0002	RTAP Scholarship Reimbursement Files	New		<p>Includes reimbursement expense forms, backup documentation and general correspondence. Invoices from Rutgers NTI for conducting RTAP program.</p> <p>7 years after S5311 and SCDRTAP contract closed, or 3 years after termination of grant, whichever is longer.</p>
0023-0003	RTAP Class And Workshop Announcements And NTI Activity Reports	New		<p>Flyers and announcements for classes and workshops, as well reports from NTI on class attendance, class satisfaction surveys and any documentation relating to classes.</p> <p>7 years after S5311 and SCDRTAP contract closed, or 3 years after termination of</p>

				grant, whichever is longer.
0024-0000	Section S5307 (S5307) Program	New		S5307 is an FTA formula grant program for urbanized areas providing capital, operating and planning assistance for mass transportation.
0024-0001	S5307 County Files	New		Includes program timeline, program management plan, sub-recipient grant proposal, agreement, general correspondence, contract and budget modifications, capital purchase correspondence, audits and general administration. 7 years after contract closed, or 3 years after termination of grant, whichever is longer.
0024-0002	S5307 Reimbursement Files	New		Includes S5307 reimbursement request form indicating agreement period, expense period, administration, operating, and/or capital budget expenditure report line/line items, invoices, backup documentation and general correspondence. 7 years after contract closed, or 3 years after termination of grant, whichever is longer.
0024-0003	S5307 Audit Files	New		Includes financial statement, account reports and project expenditures. Single program audit acceptable. 7 years after contract closed, or 3 years after termination of grant, whichever is longer.
0025-0000	S5307 Closeout Files	New		S5310 is an FTA grant program that provides funds to nonprofit organizations and counties, municipalities to lease vehicles to transport senior citizens and persons with disabilities.
0025-0001	S5310 General Administration Files	New		Includes program timeline, state management plan, S5310 mailing list, public body certification, final application, selection review process, Title VI legal acts,

				inclusion and non-inclusion letters and general correspondence..7 Years
0025-0002	S5310 Vehicle Lease Files	New		Includes vehicle lease, Part I and Part II application, quarterly reports, certificates of insurance, accident reports, transfer, disposal and retired vehicle agreements and general correspondence. 7 years after termination of lease, or 3 years after disposal of vehicle, whichever is longer.
0025-0003	S5310 Vehicle Procurement Files	New		Includes vehicle purchase and vendor correspondence, specifications, bids, reference material, brochures and general correspondence. 7 years
0025-0004	S5310 Audit File	New		Includes financial statements, account reports and project expenditures 7 years
0026-0000	Community Transportation Vehicle Inspection Files	New		Includes inspection forms, vehicle maintenance records and general correspondence relating to inspections for community transportation vehicles, S5310 vehicles and other vehicles purchased under a variety of FTA grant coming under the administrative authority of Local Programs. 7 years after termination of lease, or 3 years after disposal of vehicle, whichever is longer.
0027-0000	Drug And Alcohol Testing Program (D&A Testing)	New		Drug and alcohol testing is a requirement under select FTA S5311 and S5307 grant programs.
0027-0001	D&A Testing Audit Files	New		Includes D&A plans, annual federal drug and alcohol testing reports submitted to NJ Transit from sub-recipients, site audits and general correspondence. 7 years

0027-0002	D&A Testing Audit Files	New		Includes financial statement, account reports and project expenditures pertaining to consultant used to conduct audits. 7 years
0028-0000	United We Ride Program (UWR)	New		FTA planning grant that establishes coordination planning activities amongst various state agencies and grant sub- recipients. 7 years after contract closed, or 3 years after termination of grant, whichever is longer.
0028-0001	UWR Files	New		Includes program timeline, sub-recipient grant proposal, application, agreement, general correspondence and general administration. 7 years after contract closed, or 3 years after termination of grant, whichever is longer.
0028-0002	UWR Audit Files	New		Includes financial statement, account reports and project expenditures. 7 years after contract closed, or 3 years after termination of grant, whichever is longer.
0028-0003	UWR Closeout Files	New		Includes UWR closeouts, backup documentation and general correspondence. 7 years after contract closed, or 3 years after termination of grant, whichever is longer.

STATE OF NEW JERSEY



New Jersey Transit-Administrative Support-Local Programs

S809037-004



Prepared by:
DORES Records Management Services
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<https://www.nj.gov/treasury/revenue/rms/>
609-292-8711

Records Retention and Disposition Schedule		Agency: S809037	Schedule: 004	Page #:1 of 10
Department:	New Jersey Transit-Administrative Support-Local Programs	Agency Representative:		
		Title:		
		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		
0020-0000	Senior Citizens Disabled Resident Transportation Assistance Program (SCDRTAP): --- SCDRTAP is a casino revenue funded program available to counties through NJ Transit for operating, administration, and/or capital expenses to provide locally coordinated paratransit services for senior citizens and disabled persons.									
0020-0001	SCDRTAP, County Files --- Includes program timeline, state program guidelines, county paratransit grant allocation letter, application, agreement, sub-contracts, general correspondence, contract & budget modifications, ridership, public hearing (part of application), local advisory committee minutes and general administration.					P	7 years after contract closed or 3 years after termination of grant, whichever is longer.		Destroy	

Records Retention and Disposition Schedule				Agency: S809037			Schedule: 004		Page #:2 of 10	
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		
0020-0002	SCDRTAP, Reimbursement Files --- Includes casino revenue monthly reimbursement request form indicating agreement period, expense period, administration, operating, and/or capital budget expenditure report line/line items, invoices and backup documentation and general correspondence.					P	7 years after contract closed, or 3 years after termination of grant, whichever is longer.		Destroy	
0020-0003	SCDRTAP, Audit Files --- Includes financial statement, account reports and expenditures. Single program audit or equivalent.					P	7 years after contract closed, or 3 years after termination of grant, whichever is longer.		Destroy	
0020-0004	SCDRTAP, Closeout Files --- Includes casino revenue closeouts, backup documentation and general correspondence.					P	7 years after contract closed, or 3 years after termination of grant, whichever is longer.		Destroy	
0020-0005	SCDRTAP, Public Hearing Files --- Includes public notice, newspaper advertisements, support materials, PowerPoint presentations, attendance and speaker sheets, hearing transcripts and general correspondence.					P	7 Years		Destroy	

Records Retention and Disposition Schedule				Agency: S809037			Schedule: 004		Page #:3 of 10	
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		
0021-0000	Citizen Advisory Committee Files --- Includes notices, agendas, minutes, handouts, monthly schedule, accessibility projects, resolutions, casino county application review forms, membership bio, membership terms, appointment and resignation, mileage reimbursement, catering invoices and general correspondence.					P	7 Years		Destroy	
0022-0000	Section 5311 (S5311) Program --- The S5311 Program is part of the Federal Transit Administration (FTA) to provide funds to non-urbanized areas and rural areas for public transportation.									
0022-0001	S5311, County Files --- Includes program timeline, state management plan, intercity waiver, Department of Labor certification, sub-recipient grant allocation, application, agreement, subcontracts, general correspondence, contract and budget modifications, ridership, site audits, public hearings transcript if applicable, DBE reports and general administration.					P	7 years after contract closed, or 3 years after termination of grant, whichever is longer.		Destroy	
0022-0002	S5311, Reimbursement Files --- Includes S5311 monthly reimbursement request form indicating agreement period, expense period, administration, operating and/or capital budget expenditure, report line/line items, invoices, backup documentation and general correspondence.					P	7 years after contract closed, or 3 years after termination of grant, whichever is longer.		Destroy	

Records Retention and Disposition Schedule				Agency: S809037			Schedule: 004		Page #:4 of 10	
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		
0022-0003	S5311, Audit Files --- Includes financial statement, account reports and project expenditures.					P	7 years after contract closed, or 3 years after termination of grant, whichever is longer.		Destroy	
0022-0004	RTAP, Closeout Files --- Include RT AP closeouts, backup documentation and general correspondence.					P	7 years after S5311 and SCDRTAP contract closed, or 3 years after termination of grant, whichever is longer.		Destroy	
0023-0000	Rural Transportation Assistance Program (RT AP) --- The RTAP program provides training and technical assistance to rural community transportation providers throughout New Jersey offering training techniques to small transit agency managers, dispatchers, drivers, mechanics and support staff.									

Records Retention and Disposition Schedule				Agency: S809037			Schedule: 004		Page #:5 of 10	
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		
0023-0001	RTAP, Files --- Include correspondence on Passenger Assistance Safety & Securement Course (PASS), defensive driving, manager/supervisor/dispatcher certification, telephone techniques, customer service, vehicle maintenance management and inspection, scheduler/dispatcher training, Train the Trainer programs, RTAP scholarships, RTAP newsletters and general correspondence, contract with National Transit Institute (NTI).					P	7 years after S5311 and SCDRT AP contract closed, or 3 years after termination of grant, whichever is longer.		Destroy	
0023-0002	RTAP, Scholarship Reimbursement Files --- Includes reimbursement expense forms, backup documentation and general correspondence. Invoices from Rutgers NTI for conducting RTAP program.					P	7 years after S5311 and SCDRT AP contract closed, or 3 years after termination of grant, whichever is longer.		Destroy	
0023-0003	RT AP Class And Workshop Announcements And NTI Activity Reports --- Flyers and announcements for classes and workshops as well reports from NTI on class attendance, class satisfaction surveys and any documentation relating to classes.					P	7 years after S5311 and SCDRT AP contract closed, or 3 years after termination of grant, whichever is longer.		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		
0023-0004	RTAP, Closeout Files --- Include RT AP closeouts, backup documentation and general correspondence.					P	7 years after S5311 and SCDRTAP contract closed, or 3 years after termination of grant, whichever is longer.		Destroy	
0024-0000	Section 5307 (S5307) Program --- S5307 is an FTA formula grant program for urbanized areas providing capital, operating and planning assistance for mass transportation.									
0024-0001	S5307, County Files: --- Includes program timeline, program management plan, sub-recipient grant proposal, agreement, general correspondence, contract and budget modifications, capital purchase correspondence, audits and general administration.					P	7 years after contract closed, or 3 years after termination of grant, whichever is longer.		Destroy	
0024-0002	S5307, Reimbursement Files --- Includes S5307 reimbursement request form indicating agreement period, expense period, administration, operating, and/or capital budget expenditure report line/line items, invoices, backup documentation and general correspondence.					P	7 years after contract closed, or 3 years after termination of grant, whichever is longer.		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		
0024-0003	S5307, Audit Files --- Includes financial statement, account reports and project expenditures. Single program audit acceptable.					P	7 years after contract closed, or 3 years after termination of grant, whichever is longer.		Destroy	
0024-0004	S5307, Closeout Files --- Includes S5307 closeouts, backup documentation and general correspondence.					P	7 years after contract closed, or 3 years after termination of grant, whichever is longer.		Destroy	
0025-0000	Section 5310 (S5310) Program --- S5310 is an FTA grant program that provides funds to nonprofit organizations and county municipalities to lease vehicles to transport senior citizens and persons with disabilities.									
0025-0001	S5310, General Administration Files --- Includes program timeline, state management plan, 5310 mailing list, public body certification, final application, selection review process, Title VI legal acts, inclusion and non-inclusion letters and general correspondence.					P	7 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		
0025-0002	S5310 Vehicle Lease Files --- Includes vehicle lease, Part I and Part II application, quarterly reports, certificates of insurance, accident reports, transfer, disposal and retired vehicle agreements and general correspondence.					P	7 years after termination of lease, or 3 years after disposal of vehicle, whichever is longer.		Destroy	
0025-0003	S5310 Vehicle Procurement Files --- Includes vehicle purchase and vendor correspondence, specifications, bids, reference material, brochures and general correspondence.					P	7 Years		Destroy	
0025-0004	S5310 Audit File --- Includes financial statements, account reports and project expenditures.					P	7 Years		Destroy	
0026-0000	Community Transportation Vehicle Inspection Files --- Includes inspection forms, vehicle maintenance records and general correspondence relating to inspections for community transportation vehicles, S5310 vehicles and other vehicles purchased under a variety of FTA grant coming under the administrative authority of Local Programs.					P	7 years after termination of lease, or 3 years after disposal of vehicle, whichever is longer.		Destroy	
0027-0000	Drug And Alcohol Testing Program (D&A Testing) --- Drug and alcohol testing is a requirement under select FTA S5311 and S5307 grant programs.									
0027-0001	D&A Testing Files --- Includes D&A plans, annual federal drug and alcohol testing reports submitted to NJ Transit from sub-recipients, site audits and general correspondence.					P	7 Years		Destroy	

* P - Public, C - Confidential

Records Retention and Disposition Schedule				Agency: S809037			Schedule: 004		Page #:9 of 10	
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		
0027-0002	D&A Testing Audit Files --- Includes financial statement, account reports and project expenditures pertaining to consultant used to conduct audits.					P	7 Years		Destroy	
0028-0000	United We Ride Program (UWR) --- FT A planning grant that establishes coordination planning activities amongst various state agencies and grant sub- recipients.					P	7 years after contract closed, or 3 years after termination of grant, whichever is longer.		Destroy	
0028-0001	UWR Files --- Includes program timeline, sub-recipient grant proposal, application, agreement, general correspondence and general administration.					P	7 years after contract closed, or 3 years after termination of grant, whichever is longer.		Destroy	
0028-0002	UWR Audit Files --- Includes financial statement, account reports and project expenditures.					P	7 years after contract closed, or 3 years after termination of grant, whichever is longer.		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		
0028-0003	UWR Closeout Files --- Includes UWR closeouts, backup documentation and general correspondence.					P	7 years after contract closed, or 3 years after termination of grant, whichever is longer.		Destroy	

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT SCHEDULE HEADING	MVC	AGENCY # S794001		
DIVISION:	Motor Vehicle Commission-Imaging Services Center-Imaging Unit/Transaction	SCHEDULE # 004 (RETIRED)		
BUREAU:	Imaging Unit/Transaction	PAGE #	1	OF
				1

RETENTION SCHEDULE AMENDMENTS

FORMER AGENCY NAME (DEPARTMENT/DIVISION/BUREAU)	Motor Vehicle Commission-Imaging Services Center-Imaging Unit/Transaction
FORMER AGENCY NUMBER	S794001-004

RECORDS SERIES LEVEL AMENDMENTS

RECORD SERIES #	RECORD SERIES NAME	TYPE OF CHANGE	FORMER DESIGNATION (IF APPLICABLE)	NEW DESIGNATION (IF APPLICABLE)
0003-0000	DMV Power Of Attorney (Additional Copies) Original maintained in Certificate of Ownership File.	Supersede		0003-0000 MVC (Motor Vehicle Commission) Power Of Attorney (Additional Copies) Original maintained in Certificate of Ownership File. Retention: Periodic Review
0007-0001	Home Care Service Agency Placard(Microfilm)	New		RS#0007-0001 Home Care Service Agency Placard(Microfilm) Retention: 6 years 1 month Agency: Until Completion of Audit

STATE OF NEW JERSEY



Motor Vehicle Commission-Imaging Services Center- Imaging Unit/Transaction

S794001-005



Prepared by:
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Records Retention and Disposition Schedule		Agency: S794001	Schedule: 005	Page #:1 of 5
Department:	Motor Vehicle Commission-Imaging Services Center-Imaging Unit/Transaction	Agency Representative:		
		Title:		
		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		
0001-0001	Certificate of Ownership File						8 yrs after date of issuance or until microfilmed*	8 yrs after date of issuance or until microfilmed*	Destroy	
0001-0002	Certificate of Ownership File (Microfilm)						8 yrs from date of issuance	8 yrs from date of issuance	Destroy	
0001-0003	Certificate of Ownership File (Database)						8 yrs from date of issuance	8 yrs from date of issuance	Destroy	
0002-0000	Certificate Of Mail List File --- Contains mail list for scheduled suspensions and orders of suspensions, certifying that the notice was mailed to the driver. Lists: suspension code, driver license number, and name and address of the driver. *Note: Recommend Microfilming					P	60 Years	60 Years	Destroy	

* P - Public, C - Confidential

Records Retention and Disposition Schedule				Agency: S794001			Schedule: 005		Page #:2 of 5	
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		
0003-0000	MVC (Motor Vehicle Commission) Power Of Attorney (Additional Copies) --- Original maintained in Certificate of Ownership File.					P	Periodic review	Periodic review	Destroy	
0004-0000	Driver History Purge File (COM) --- Consist of listings of violations per driver that have been purged from the database. Includes: date, type of violation, and point value. Note: Purged listings are currently on Computer Output Microfilm (COM) subject to compliance with COM guidelines to be issued by the Division of Archives and Records Management and approved by the State Records Committee.					P	Periodic review not to exceed 1 Years	Periodic review not to exceed 1 Years	Destroy	
0005-0000	Driver History Records --- These records list information pertaining to the driving records of individuals. May include but is not limited to the following: accident reports, Schedule Suspension Notices, Order of Suspension Notice, Violations (Magistrate Report - MF-1) Fee Payment Forms, and Fee Payment/Authorization Forms (RSC-1).									
0005-0001	Driver History Records (Electronic) --- Summary of events that occurred on the driving record.						60 yrs from date of entry	60 yrs from date of entry	Destroy	
0005-0002	Driver History Records (Microfilm) --- Documents events that occurred on the driver history summary.						60 yrs from date of entry	60 yrs from date of entry	Destroy	
0006-0000	Driver License and Registration Applications --- Contain driver license and registration applications.									

Records Retention and Disposition Schedule				Agency: S794001			Schedule: 005		Page #:3 of 5	
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		
0006-0001	Driver License and Registration Applications --- Processed by mail through the remittance Processor (RPs), or issued at an agency.						At Record Center: 3 yrs after expiration* At Agency: Until completion of audit	Until completion of audit	Destroy	
0006-0002	Driver License and Registration Applications (Microfilm)						At Record Center: 3 yrs after expiration* At Agency: Until completion of audit	Until completion of audit	Destroy	
0006-0003	Driver License and Registration Renewal (Electronic)						At Record Center: 3 yrs after expiration* At Agency: Until completion of audit	Until completion of audit	Destroy	

Records Retention and Disposition Schedule				Agency: S794001			Schedule: 005		Page #:4 of 5	
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		
0006-0004	Driver Examination Permit Application --- Contains initial application for drivers permit and original Ride Slip (ST-10).						At Record Center: 3 yrs after expiration* At Agency: Until completion of audit	Until completion of audit	Destroy	
0007-0000	Handicapped Plates And Placards Files (Microfilm)					P	At Record Center: 6 Years and 1 Months At Agency: Until completion of audit	Until completion of audit	Destroy	
0007-0001	Home Care Service Agency Placard Files(Microfilm)					P	6 Years and 1 month	Until completion of Audit.	Destroy	
0008-0000	Returned Undelivered Mail --- Notices that have been returned by the Postal authorities as undeliverable. May include but not limited to Scheduled and Order of Suspension Notices, etc.					P	Until completion and verification of data entry	Until completion and verification of data entry	Destroy	
0009-0000	Schedule of Highway Motor Vehicles, Copy (Form 2290) --- Consist of an Internal Revenue Service (IRS) business income tax return form. According to 23 CFR Ch. 1 669.21: Procedure for evaluating state compliance. This form is used to ensure compliance with Federal requirements. States are required to retain the form 1 yr.						1 Years	1 Years	Destroy	

Records Retention and Disposition Schedule				Agency: S794001			Schedule: 005		Page #:5 of 5	
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		
0010-0000	<p>Drivers/Vehicle Information Request</p> <p>---</p> <p>Forms used by Motor Vehicle Commission (MVC) to collect data necessary to fill public information request. This involves various forms depending on particular information requested, i.e. vehicle registration. Lien search, title search, driver's license abstract, etc. Information completed by requestor may include but not limited to requestors name, address, Driver's License No. type of information requested, and signature.</p>					P	3 Years	6 Months after request processed	Destroy	
0011-0000	<p>Agency Voids</p> <p>---</p> <p>Contains field offices; voided misprints of: Certificate of Title (Copy), Driver License Voids, Transaction File Record; and possible transactions duplicate summary (printout). Financial audit involved.</p>						At Record Center: 3 yrs from transaction date At Agency: Until completion of audit	Until completion of audit	Destroy	

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT SCHEDULE HEADING	Environmental Protection	AGENCY # S421707		
DIVISION:	Environmental Safety, Health and TCPA/DPHS	SCHEDULE # 002 (RETIRED)		
BUREAU:	Release Prevention	PAGE #	1	OF
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RETENTION SCHEDULE AMENDMENTS

FORMER AGENCY NAME (DEPARTMENT/DIVISION/BUREAU)	Environmental Protection Environmental Safety, Health and TCPA./DPHS
FORMER AGENCY NUMBER	S421707-002

RECORDS SERIES LEVEL AMENDMENTS

RECORD SERIES #	RECORD SERIES NAME	TYPE OF CHANGE	FORMER DESIGNATION (IF APPLICABLE)	NEW DESIGNATION (IF APPLICABLE)
0001-0000	Discharge Cleanup Organization Registration Files	Obsolete	S421707-001	
0002-0000	Discharge Confirmation Reports	Supersede	0002-0000 Retention: Permanent	S421707-003 RS# 0002-0000 Discharge Confirmation Reports Includes: Supplemental and supporting documentation about discharges that had occurred at major facilities or former major facilities. Reports list substance(s) that were discharged and the method of cleanup*Scanning Recommended Retention: 15yrs Agency 100yrs Records Center

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT	AGENCY #	SCHEDULE #	PAGE #
	S421707	002	2 OF 7

0003-0000	Discharge Prevention Containment and Countermeasure(DPCC) and Discharge Cleanup and Removal(DCR)Plan	Supersede	0003-0000	<p>S421707-003 RS#0003-0000 Discharge Prevention Containment Countermeasure (DPCC) Plans and Discharge Cleanup and Removal (DCR) Plan Includes: Name, phone number and address of facility, site plans (hardcopy and digital), drainage and land use map (hardcopy and digital), description of all storage areas, description of the personnel training program and procedures, equipment listing and all upgrades, Standard Operating Procedures and other related information concerning a facility's compliance with the discharge prevention rules.</p> <p>Retention: 10yrs after update Destroy</p>
0003-0001	Discharge Prevention Containment and Countermeasure (DPCC) and Discharge Cleanup and Removal (DCR) Plan – Not Approved	New		<p>S421707-003 RS#0003-0001 Includes: Submissions of DPCC/DCR plans/plan sections/plan pages that contain incorrect and/or missing information and have never been approved or part of the actual (approved) DPCC/DCR plan.</p> <p>Retention: 30 days after plan is approved. Destroy</p>

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT	AGENCY #	SCHEDULE #	PAGE #
	S421707	002	3 OF 7

0004-0000	Enforcement Files	Supersede/ Description Retention	0004-0000	<p>S421707-003 RS#0004-0000 Includes: Copies of Notices of Violations(NOVs) Prescribed Enforcement Action(PEA) documents or Negotiated Enforcement Action(NEA) documents, any evidence collected to support the finding of a violation and any correspondence pertaining to the enforcement action received from or mailed to facility. Agency:</p> <p>2yrs after final disposition/settlement Retention: 8yrs Records Center Destroy</p>
0005-0000	Facility Tracking System(FTS)	Obsolete	0005-0000 Retention 10yrs	
0006-0000	Inspection Files	Supersede	0006-0000 Retention 10yrs	<p>S421707-003 RS#0006-0000 Includes: Inspection Reports that contain the findings and recommendations of the inspecting engineer. Reports are initiated by upgrade, compliance and annual audit inspections of major facilities N.J.S.A 58:10-23. 11d13.</p> <p>Retention: 5yrs Agency 5yrs Records Center Destroy</p>
0007-0000	Integrity Test Reports	Supersede	0007-0001 Retention:10yrs	<p>S421707-003 RS#0007-0000 Includes: the results of Integrity tests performed on above ground storage tanks at major facilities N.J.S.A 58:10-23.11d13.</p>

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT	AGENCY #	SCHEDULE #	PAGE #
	S421707	002	4 OF 7

				Retention: 5yrs agency 5yrs Records Center Destroy
0008-0000	Minor Facility Files	Supersede Description Retention	0008-0000-Rentention: Permanent	S421707-003 0008-0000 Includes: Files that support and/or supplement a Non-Major Facility Status (minor facility) Determination and any documentation pertaining to facilities found not to be subject to the Discharge Prevention Rules. When previous Major Facility Status is applicable, select portions of the Discharge Prevention Countermeasure Plans (DPCC)/Discharge Cleanup and Removal Plans (DCR) such as chemical inventory, financial documents, descriptions of storage areas, and general site plans will be retained. Also, inspection reports, enforcement actions, and discharge confirmation reports are retained.*Scanning recommended Agency: 15yrs from the most recent file Records Center: 100yrs Destroy
0009-000	Toxic Catastrophe Prevention Action (TCPA) Files	New Header		
0009-00001	Toxic Catastrophe Prevention Action (TCPA) Deregistered Facility Files	New		S421707-003 0008-0001 Includes: All files for Deregistered (facilities that have submitted a deregistration letter stating that they are no longer subject to the TCPA Program rules because they are below the threshold quantity or are closed).

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT	AGENCY #	SCHEDULE #	PAGE #
	S421707	002	5 OF 7

				Retention: Until facility is Closed or Deregistered plus 5yrs. Destroy
0009-0002	Toxic Catastrophe Prevention Action (TCPA) Risk Management Plans	New		Includes: TCPA Identification Number request and Facility Security Administrator forms, and correspondence related to the Department's review of the online Risk Management Plan (RMP) RMP's are submitted online electronically by facilities and are stored in the Department's Facilities and Chemical Inventories Tracking System (FACITS) database. RMP's include the facility's registration information like contact information, listings of covered processes with substances, and other risk management program summary information. TCPA Identification Number request and Facility Security Administrator forms are initial submission required to establish the facility in the FACITS database. Retention: Until facility is Closed or Deregistered plus 5yrs Destroy
0009-0003	Toxic Catastrophe Prevention Action(TCPA) Exemption Requests	New		S421707-003 0008-0003 Includes: Exemption request and related correspondence for Reactive Hazard Substance Mixture exemptions. The TCPA Program rules contain a provision for facilities to request an exemption from complying with the rule requirements for equipment handling of a Reactive Hazard Substance (RHS) Mixture; the facility must demonstrate to the Department that this equipment

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT	AGENCY #	SCHEDULE #	PAGE #
	S421707	002	6 OF 7

			does not have the potential for a catastrophic accident. Retention: Until facility is closed or Deregistered plus 5yrs Destroy
0009-0004	Toxic Catastrophe Prevention Action (TCPA) Enforcement	New	Includes: Records of violations, notice of violations, Administrative Order (AO), Civil Administrative Penalty Assessment (CAPA), Administrative Consent Order (ACO), Settlement Agreements, Consent Agreements and Addendum, and all related correspondence to and from the facility. Retention: Until facility is closed or Deregistered plus 5yrs. Records Center: 10yrs Destroy
0009-0005	Toxic Catastrophe Prevention Action (TCPA) Confidential and Trade Secret	New	Includes: Facility records claimed to be confidential or trade secret by regulated facilities, in accordance with N.J.A.C. 7:31-10, and related correspondence. Retention: Until facility is closed or Deregistered plus 15yrs. Destroy
0009-0006	Toxic Catastrophe Prevention Action (TCPA) Inherently Safer Technology Review Reports	New	Includes: Inherently Safer Technology (IST) Review Reports and related correspondence. IST Review Reports are included in a new facility's initial submission. An IST Review Report includes risk reduction measures that have been incorporated to prevent a release and additional recommendations. Retention: Until facility is closed or Deregistered plus 10yrs. Destroy

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT	AGENCY #	SCHEDULE #	PAGE #
	S421707	002	7 OF 7

0009-0007	Toxic Catastrophe Prevention Action (TCPA) Annual Reports	New	Includes: Annual Reports and related correspondence. Annual Reports submitted by each regulated facility and regulated correspondence, providing a yearly executive summary of their implementation of the risk management program and statements on their compliance with the TCPA Program rule requirements. Retention: 10yrs Agency: 5yrs Destroy
0009-0008	Toxic Catastrophe Prevention Action (TCPA) Safety Review Design Reports	New	Includes: Safety Review Design Reports and related correspondence. Safety Review Design Reports are included in a new facility's initial submission. A Safety Review Design Report documents that the design of the covered process follows accepted design and operating standards as reflected in the process's engineering and design specifications. Retention: Until facility is Closed or Deregistered plus 10yrs. Destroy

STATE OF NEW JERSEY



Environmental Protection-Environmental Safety & Health-Discharge Prevention

S421707-003



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Records Retention and Disposition Schedule		Agency: S421707	Schedule: 003	Page #:1 of 4
Department:	Environmental Protection-Environmental Safety & Health-Discharge Prevention	Agency Representative:		
		Title:		
		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		
0002-0000	Discharge Confirmation Reports --- Includes: Supplemental and supporting documentation about discharges that had occurred at major facilities. Reports list substance(s) that were discharged and the method of cleanup. *Microfilming Recommended.			X		P	100 Years	15 Years	Destroy	
0003-0000	Discharge Prevention Containment Countermeasure (DPCC) Plans And Discharge Cleanup And Removal (DCR) Plan --- Includes: Name, phone number and address of facility, site plan, drainage and land use map, description of all storage areas, description of the personnel training program and procedures, equipment listing and all upgrades, Standard Operating Procedures and other related information concerning a facility's compliance with the discharge prevention rules.					C	10 Years after update	10 Years after update	Destroy	
0003-0001	Discharge Prevention Containment And Countermeasure (DPCC) And Discharge Cleanup And Removal (DCR) Plan - Not Approved --- Includes: Submissions of DPCC/DCR plans/plan sections/plan pages that contain incorrect and/or missing information and have never been approved or part of the actual (approved) DPCC/DCR plan.					P	30 days after plan is approved		Destroy	

Records Retention and Disposition Schedule				Agency: S421707			Schedule: 003		Page #:2 of 4	
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		
0004-0000	<p>Enforcement Files ---</p> <p>Includes: Copies of Notices of Violations (NOVs) Prescribed Enforcement Action(PEA) documents or Negotiated Enforcement Action (NEA) documents, any evidence collected to support the finding of a violation and any correspondence pertaining to the enforcement action received from or mailed to facility.</p>					P	8 Years	2 Years after final disposition/ settlement	Destroy	
0006-0000	<p>Inspection Files ---</p> <p>Includes: Inspection Reports that contain the findings and recommendations of the inspecting engineer. Reports are initiated by upgrade, compliance and annual audit inspections of major facilities. N.J.S.A 58:10-23.11d13.</p>					P	10 Years	3 Years	Destroy	
0007-0000	<p>Integrity Test Reports ---</p> <p>Includes: the results of integrity tests performed on above-ground storage tanks at major facilities N.J.S.A 58:10-23.11d13.</p>					P	5 Years	5 Years	Destroy	
0008-0000	<p>Minor Facility Files ---</p> <p>Includes: Files that support and/or supplement a Non-Major Facility Status (minor facility) Determination and any documentation pertaining to facilities found not to be subject to the Discharge Prevention Rules. When previous Major Facility Status is applicable, select portions of the Discharge Prevention Countermeasure Plans (DPCC)/Discharge Cleanup and Removal Plans (DCR) such as: chemical inventory, financial documents, descriptions of storage areas, and general site plans will be retained. Also, inspection reports, enforcement actions, and discharge confirmation reports are retained.*Scanning recommended</p>			X		P	100 Years	15 Years	Destroy	
0009-0000	Toxic Catastrophe Prevention Action (TCPA) Files					P			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		
0009-0001	Pipeline Registration Files --- Includes: Business name, address, telephone numbers, maps or site plans, description of all products transported, inventory of all types of pipe used along with the repair, maintenance and leak history of the pipeline facility and any related information. The registration is renewed every 5 years. <u>N.J.S.A. 58:10-47.</u>					C	10 Years	5 Years	Destroy	
0009-0002	Toxic Catastrophe Prevention Action (TCPA) Risk Management Plans --- Includes: TCPA Identification Number request and Facility Security Administrator forms, and correspondence related to the Department's review of the online Risk Management Plan (RMP). RMP's are submitted online electronically by facilities and are stored in the Department's Facilities and Chemical Inventories Tracking System (FACITS) database. RMPs include the facility's registration information like contact information, listings of covered processes with substances, and other risk management program summary information. TCPA Identification Number request and Facility Security Administrator forms are initial submission required to establish the facility in the FACITS database. RMP's contain Offsite Consequence Analysis Data which is confidential.					P	Until facility is closed or Deregistered plus 5 Years		Destroy	
0009-0003	Toxic Catastrophe Prevention Action (TCPA) Exemption Requests --- Includes: Exemption request and related correspondence for Reactive Hazard Substance Mixture exemptions. The TCPA Program rules contain a provision for facilities to request an exemption from complying with the rule requirements for equipment handling of a Reactive Hazard Substance (RHS) Mixture; the facility must demonstrate to the Department that this equipment does not have the potential for a catastrophic accident.					P	Until facility is Closed or Deregistered plus 5 Years		Destroy	
0009-0004	Toxic Catastrophe Prevention Action (TCPA) Enforcement --- Includes: Records of violations, notice of violations, Administrative Order (AO), Civil Administrative Penalty Assessment (CAPA), Administrative Consent Order (ACO), Settlement Agreements, Consent Agreements and Addendum, and all related correspondence to and from the facility.					P	Until facility is Closed or Deregistered plus 5 Years		Destroy	

* P - Public, C - Confidential

Records Retention and Disposition Schedule				Agency: S421707			Schedule: 003		Page #:4 of 4	
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		
0009-0005	Toxic Catastrophe Prevention Action (TCPA) Confidential And Trade Secret --- Includes: Facility records claimed to be confidential or trade secret by regulated facilities, in accordance with <u>N.J.A.C. 7:31-10</u> , and related correspondence.					P	Until facility is Closed or Deregistered plus 15 Years		Destroy	
0009-0006	Toxic Catastrophe Prevention Action (TCPA) Inherently Safer Technology Review Reports --- Includes: Inherently Safer Technology (IST) Review Reports and related correspondence. IST Review Reports are included in a new facility's initial submission. An IST Review Report includes risk reduction measures that have been incorporated to prevent a release and additional recommendations.					P	10 Years Until facility is Closed or Deregistered plus 10 Years	5 Years	Destroy	
0009-0007	Toxic Catastrophe Prevention Action (TCPA) Annual Reports --- Includes: Annual Reports and related correspondence. Annual Reports submitted by each regulated facility and regulated correspondence, providing a yearly executive summary of their implementation of the risk management program and statements on their compliance with the TCPA Program rule requirements.					P	10 Years Until facility is Closed or Deregistered plus 10 Years		Destroy	
0009-0008	Toxic Catastrophe Prevention Action (TCPA) Safety Review Design Reports --- Includes: Safety Review Design Reports and related correspondence. Safety Review Design Reports are included in a new facility's initial submission. A Safety Review Design Report documents that the design of the covered process follows accepted design and operating standards as reflected in the process's engineering and design specifications.					P	Until facility is Closed or Deregistered plus 10yrs.		Destroy	

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT SCHEDULE HEADING	Community Affairs	AGENCY # S221509		
DIVISION:	Housing and Mortgage Finance Agency	SCHEDULE # 004 (RETIRED)		
BUREAU:	Single Family	PAGE #	1	OF
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RETENTION SCHEDULE AMENDMENTS

FORMER AGENCY NAME (DEPARTMENT/DIVISION/BUREAU)	Community Affairs Housing and Mortgage Finance Agency – Single Family
FORMER AGENCY NUMBER	S221509-004 (RETIRED)

RECORDS SERIES LEVEL AMENDMENTS

RECORD SERIES #	RECORD SERIES NAME	TYPE OF CHANGE	FORMER DESIGNATION (IF APPLICABLE)	NEW DESIGNATION (IF APPLICABLE)
0001-0000	Foreclosures	Supersede	<p>S221509-004 RS#0001-0000 Contains correspondence, Statement of Foreclosure Expenses (MFA 108), copy of mortgage foreclosure inspection, photo of property, individual delinquency report, copy of survey, loan application and disclosure statement.</p> <p>Retention: 1 year(Agency) Life of Mortgage plus 7 years (Record Center) Destroy</p>	<p>S221500-003 RS#0102-0000</p> <p>Retention: Life of Mortgage plus 7 years Destroy</p>

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT	AGENCY #	SCHEDULE #	PAGE #
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0002-0000	Lender Files	Supersede	S221509-004 RS#0002-0000 Involves banks that participate in lending funds to the Agency's various programs. Files include lenders annual report, insurance binder, service agreement (between lender and agency) and related information regarding lender. *Microfilming recommended. Retention: Permanent/Permanent	S221500-003 RS#0103-0000 Retention: 100 years Archival Review
0003-0000	Closing Cost Assistance	Supersede	S221509-004 RS#0003-0000 Monthly listing of employee names, their gross and net earnings, individual deductions, savings and check account balances (direct deposit). Retention: 3 mos (Agency) 7 years from date of discharge/Destroy	S221500-003 RS#0104-0000 Retention: 3 mos (Agency) 7 years from date of discharge/Destroy
0004-0000	Closed Real Estate Owned (REO) Files	Supersede	S221509-004 RS#0004-0000 Agency owned properties that were sold. Retention: 7 years after closing/Destroy	S221500-003 RS#0105-0000 Retention: 7 years after closing/Destroy
0005-0000	Paid Off Loan Files	Supersede/Description	S221509-004 RS#0005-0000	S221500-003 RS#0106-0000

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT	AGENCY # S225109	SCHEDULE # 002	PAGE # 3 OF 4
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			<p>Loans which were active accounts that have now been paid off by the mortgagors. File may include but is not limited to application and origination materials, credit reports and related materials.</p> <p>Retention: 3 mos (Agency) 7 years after payoff date/Destroy</p>	<p>Includes: Loans which were active accounts that have now been paid off by the mortgagors. File may include but is not limited to application and origination materials, credit reports and related materials that is (CHOICE) Choices in Home Ownership Program, Urban Home Ownership Recovery Program (UHORP), Market Oriented Neighborhood Investment Program (MONI). In Compliance with HMFA policy.</p> <p>Retention: 3 mos (Agency) 7 years after payoff date/Destroy</p>
0006-0000	Urban Home Ownership Recovery Program (UHORP)	Supersede	<p>S221509-004 RS#0006-0000 File may include but is not limited to loan application, and documents relating to closing construction and security.</p> <p>Retention: Life of shared appreciation or affordability controls (20 years) Destroy</p>	<p>S221500-003 RS#0107-0000</p> <p>Retention: Life of shared appreciation or affordability controls (20 years) Destroy</p>
0007-0000	Developer's Package Files	Supersede	<p>S221509-004 RS#0007-0000 File kept on Developers that applied to take part in the Urban Home Ownership Recovery Program (UHORP). Files may include but is not limited to application, financial records, tax records and related materials.</p> <p>Retention: 30 years/Destroy</p>	<p>S221500-003 RS#0108-0000</p> <p>Retention: 30 years/Destroy</p>

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT	AGENCY #	SCHEDULE #	PAGE #
	S221509	002	4 OF 4

0008-0000	Potable Water Files	Supersede	S221509-004 RS#0008-0000 A loan program to give financing to mortgagors with well water which was non-potable to enable them to fix the wells to produce potable water. File may include but is not limited to application, credit report and related material. Retention: 10 years(Agency) 7 years Record Center/Destroy	S221500-003 RS#0109-0000 Retention: 10 years(Agency) 7 years Record Center/Destroy
0009-0000	Budget Request - Divisional	Obsolete	S221509-004 RS#0009-0000 Annual request made to the Agency for the allocation of funds for operations during the upcoming fiscal year. Original retained by the Executive Division. Retention: 3 years/Destroy	G100000-012 RS#0303-0001 Retention: 3 Years/Destroy
0010-0000	Correspondence - (Electronic Or Hardcopy)	Obsolete	S221509-004 RS#0010-0000 Retention: 7 years/Destroy	G100000-012 RS#1405-0001 Retention: 7 Years/Destroy
0011-0000	Reverse Mortgage Files	Supersede	S221509-004 RS#0011-0000 Includes all application, submission, and closing documentation. Retention: Until Mortgage Closing (Agency) 7 years Record Center/Destroy	S221500-003 RS#0110-0000 Retention: Until Mortgage Closing (Agency) 7 years Record Center/Destroy

STATE OF NEW JERSEY



Community Affairs-NJ Housing and Mortgage Finance Agency

S221500-003



Prepared by:
DORES Records Management Services
33 West State St. 5th Floor, PO Box 661 Trenton NJ 08646-0661
<https://www.nj.gov/treasury/revenue/rms/>
609-292-8711

Records Retention and Disposition Schedule		Agency: S221500	Schedule: 003	Page #:1 of 8
Department:	Community Affairs-NJ Housing and Mortgage Finance Agency	Agency Representative:		
		Title:		
		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		
Federal Funded Housing Programs										
0020-0000	Federal Funding Housing Programs --- To establish and record a new federal grant program. To adhere to the HUD (Housing and Urban Development) guidelines set forth for program. Files are used to track mortgage loans for programs: Includes: applications, supporting verification documents, correspondence, contracts, payments, inspections, reports, etc.					P	Life of Mortgage plus 10 Years and or in accordance with Federal Regulations		Destroy	
0030-0000	Inactive Files --- Inactive files includes, but is not limited to Unified Application for Multifamily Rental Housing Production Programs (UNIAP), which is the application submitted by the developer, the project narrative, form 10, preliminary drawings and sometimes municipal documents.					P	7 Years		Destroy	
Audit Reports										
0040-0000	Audit Reports - Construction Cost Audit --- (Agency Projects) Includes: reports, work papers, and correspondence on Multi-Family and UHORP (Urban Home Ownership Recovery Program) (Single Family) projects.					P	Life of Mortgage plus 10 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		
0040-0001	Audit Reports - Servicer-Single Family Loans --- Includes: reports, work papers, quality control reviews and correspondence.					P	10 Years		Destroy	
0040-0002	Audit Workpapers - Managing Agent Audits - Multi-Family --- Includes: reports, work papers, quality control reviews, and correspondence.					P	10 Years	1 Years	Destroy	
0040-0003	Standard Development Cost Reviews (Audit) - Multi-Family Projects --- Includes: work papers, construction bank account reconciliation, correspondence and funding analysis for development.					P	Life of Mortgage plus 10 Years	Until Mortgage Closing	Destroy	
0050-0000	Return On Equity (ROE) Calculations - Multi-Family Projects --- Includes: Schedule which contain sponsors equity pledge by agency. ROE percentage, cumulative ROE, total paid to date and balance due.					P	Life of Mortgage plus 10 Years	Until mortgage closing	Destroy	
Capital Markets										
0060-0000	Bonds/Bond Closing File --- Includes: Bond sale information on Single Family and Multi-Family issues, Construction Investment Bond Account, Investment Note Issues, Mortgage Revenue Bonds, Mortgage and Revenue Bonds, Conduit Bonds, all bond debt service and redemption information (schedule and correspondence with trustee).					P	Life of issue plus 10 Years		Destroy	
Executive										
0070-0000	Special Projects Files --- Files include: Reports and related correspondence dealing with occupied building projects with serious problems.					P	Life of Mortgage plus 10 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		
0071-0000	<p>Special Projects/Investigations --- Includes: Reports, work papers, correspondence and internal and external audits requested by Executive staff.</p>					P	3 Years		Destroy	
Finance										
0072-0000	<p>Bond Fund Accounting --- Includes: Bond information on Single Family and Multi-Family issues, mortgage revenue bond, construction notes, investment note issues, ledgers, trustee bank statements, electronic ledgers and CR/CD journals and investments and related documents, audit work papers, financial statements and correspondence.</p>					P	Life of Issuance plus 10 Years	Life of Issuance Plus 10 Years	Destroy	
0073-0000	<p>All Federal Subsidized Files (HUD Section 8 Subsidy Housing And HUD Section 236 Multifamily Housing Interest Reduction Program) --- Includes: Mortgage certifications, rent increases, vouchers, monthly payments and related bank statements. In accordance with HUD (Housing and Urban Development) Section 8 Subsidy Housing, certificates or vouchers may be allocated to public housing tenants forced to move because of rehabilitation or demolition of their public housing unit. Section 8 assistance allows those residents to move into privately owned housing and still pay affordable rent. HUD (Housing and Urban Development) Section 236 Multifamily Housing Interest Reduction Program, under the HUD Act of 1968, a combined Federal Mortgage insurance with interest reduction payments to the lender for the production of low-cost rental housing. It provides interest Subsidies to lower a project's mortgage interest rate to as low as 1 percent. The interest reduction payment results in lower operating costs and reduced rent structure.</p>					P	Life of the Mortgage plus 10 Years	Life of the mortgage plus 10 years	Destroy	
0074-0000	<p>Mortgage Accounting (Single Family/Multi-Family/General Fund) --- Includes: Electronic Amortization schedules, mortgage payments, once reconciliation.</p>					P	Life of the Mortgage plus 10 Years	Life of the Mortgage plus 10 Years	Destroy	

* P - Public, C - Confidential

Records Retention and Disposition Schedule				Agency: S221500			Schedule: 003		Page #:4 of 8	
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		
0075-0000	Multi-Family Escrow Files --- Includes: deposits, project vouchers and disbursement (checks/wire letters).					P	Life of the Mortgage Plus 10 Years	Life of the Mortgage Plus 10 Years	Destroy	
0076-0000	Amortization Schedule - (Computer Printout)					P	Life of the Mortgage plus 10 Years	Life of the Mortgage plus 10 Years	Destroy	
0077-0000	Construction Loan Account Files --- Includes: First mortgage, requisition, copies of checks and correspondence.					P	Life of the Mortgage plus 10 Years	Life of the Mortgage plus 10 Years	Destroy	
0078-0000	Purchasing Statements - Single Family Loan --- Includes: Mortgage purchase statements, weekly purchase summaries, detailed purchase reports and disbursement letters.					P	3 Years	3 Years	Destroy	
0079-0000	Trustee Statements --- Contains mortgage purchase statements, weekly purchase summaries, detailed purchase report, cashier's slips.					P	3 Years	3 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		
	HMIS									
0080-0000	Homeless Management Information System (HMIS) --- Includes: Homeless Management Information System Software, Fiscal Funds, Grant Administration, Record Keeping requirements, Grant and Project changes. In accordance with codes of Federal Regulations (CFR) 578.101 et. seq., Grant Administration for the Continuum of Care Program is designed to promote community wide commitment to the goal of ending homelessness, providing funding for efforts by nonprofit providers, State and local government to quickly rehouse homeless individuals (including unaccompanied youth) and families, while minimizing the trauma and dislocation caused to homeless individuals, families and communities by homelessness.					P	Life of Mortgage plus 10 Years		Destroy	
	Human Resources									
0081-0000	Issuance Of HMFA ID Cards In Accordance With Homeland Security --- FIPS (Federal Information Processing Standards) for Personal Identity Verification.					P	5 Years		Destroy	
	Multi- Family Supporting Housing And Lending									
0082-0000	Multi-Family Funding/Projects Housing And Lending Programs (Construction And Mortgage Loans) --- Includes: application, supporting verification documents, Form 10, and project correspondence.					P	Life of Mortgage plus 10 Years		Destroy	
0082-0001	Multi-Family Program Files --- Regional Contribution Agreements (RCA)					P	23 Years	7 Years	Destroy	

* P - Public, C - Confidential

Records Retention and Disposition Schedule				Agency: S221500			Schedule: 003		Page #:6 of 8	
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		
Property Management										
0090-0000	Managing Agents-Management Agreement Package --- Includes: Management Plan, Resident Selection Policy, Affirmative Fair Housing Marketing Plan, Qualification Forms, NJ Real Estate License, Fidelity Bond, Administrative Questionnaire, Statement of Disclosure, Previous Participation Certification, Equal Employment Opportunity Certification and Owner's Building Registration Statement and Annual Evaluations.					P	3 Years after termination of contract		Destroy	
0090-0001	Projects Financial Operations --- Includes: Documents pertaining to the financial aspects of operating the project. Annual Audit, DCE and CDE requests and approval, Return on Equity requests and approvals.					P	Life of the Mortgage plus 10 Years		Destroy	
0090-0002	Projects Financial Operations --- Includes: Proposal, Rent Increase Package, HUD (Housing and Urban Development) Increase Approval Letters.					P	6 Years		Destroy	
0090-0003	Projects Financial Operations --- Includes: Section 8 Vouchers (HUD Forms 52570, 52570A, - Parts 1 and 2), Monthly Report of excess income, Annual Operating Budget					P	7 Years		Destroy	
0093-0004	Projects Financial Operations - Monthly/Quarterly Operating Report					P	2 Years		Destroy	
0095-0000	Contracts And Other Management Requirements --- Includes: Contract documents and other miscellaneous documents produced in the management of the projects. Insurance, Attorney's Letter of Agreement, Resident Correspondence, Maintenance Inspection Reports.					P	14 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		
Regulatory Affairs										
0100-0000	Case Register --- Includes: list name of case, DAG assigned, docket number, nature of case and motions.					P	Periodic review		Destroy	
0101-0000	Project Litigation Files --- Includes: Documents relating to building project litigation.					P	Life of Mortgage plus 10 Years		Destroy	
Single Family										
0102-0000	Foreclosures --- Contains correspondence, Statement of Foreclosure Expenses (MFA 108), copy of mortgage foreclosure inspection, photo of property, individual delinquency report, copy of survey, loan application and disclosure statement.					P	Life of Mortgage plus 7 Years	Life of Mortgage plus 7 Years	Destroy	
0103-0000	Lender Files --- Involves banks that participate in lending funds to the HMFA various programs. Files include lenders annual report, insurance binder, service agreement (between lender and HMFA) and related information regarding lender. *Microfilming recommended.					P	100 Years		Archival Review	
0104-0000	Closing Cost Assistance --- Monthly listing of employee names, their gross and net earnings, individual deductions, savings and check account balances (direct deposit).					P	7 Years from date of discharge	3 Months	Destroy	
0105-0000	Closed Real Estate Owned (REO) Files --- Includes: HMFA owned properties that were sold.					P	7 Years after closing	3 Months	Destroy	

* P - Public, C - Confidential

Records Retention and Disposition Schedule				Agency: S221500			Schedule: 003		Page #:8 of 8	
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		
0106-0000	Paid Off Loan Files --- Includes: Loans which were active accounts that have now been paid off by the mortgagors. File may include but is not limited to application and origination materials, credit reports and related materials that is (CHOICE) Choices in Home Ownership Program, Urban Home Ownership Recovery Program (UHORP), Market Oriented Neighborhood Investment (MONI) Program. In Compliance with HMFA policy.					P	7 Years after payoff date	3 Months	Destroy	
0107-0000	Urban Home Ownership Recovery Program (UHORP) --- File may include but is not limited to loan application, and documents relating to closing construction and security.					P	Life of shared appreciation or affordability controls (20 Years)	Life of shared appreciation or affordability controls (20 Years)	Destroy	
0108-0000	Developer's Package Files --- Includes: File kept on Developers that applied to take part in the Urban Home Ownership Recovery Program (UHORP). Files may include but are not limited to application, financial records, tax records and related materials.					P	30 Years		Destroy	
0109-0000	Potable Water Files --- Include: A loan program to give financing to mortgagors with well water, which was non-potable to enable them to fix the wells to produce potable water. File may include but is not limited to application, credit report and related material.					P	10 Years	7 Years	Destroy	
0110-0000	Reverse Mortgage Files --- Includes all application, submission, and closing documentation.					P	7 Years	Until Mortgage Closing	Destroy	

DEPARTMENT OF THE TREASURY
DIVISION OF REVENUE AND ENTERPRISE SERVICES
RECORDS MANAGEMENT SERVICES
Mailing: PO Box 661, Trenton, NJ 08625
Location: 2300 Stuyvesant Avenue, Trenton, NJ 08618

Damaged Records Report

Agency Name: New Jersey Transit-Medical Services

Address: 180 Boyden Avenue, Maplewood, NJ 07040

Phone: 973-378-6547 or 973-378-6744

Email: eloeong1@njtransit.com or lwooding@njtransit.com

Contact Person: Ellanore Leong or Laura Wooding

Date the damage occurred: Over time Between 1980-2017

Date the damage was discovered: 2019

Complete the following. (Answer field will expand to accommodate all answers)

1. Describe circumstances of how the damage occurred.
Boxes and shelves of sleeved X-rays were stored in a non-temperature controlled storage area. Over time the records began to deteriorate, likely due to the hot and humid conditions of the area that occur each summer.
2. What salvage attempts were made?
Attempts to salvage the x-rays included relocation of the files, reinforcement of storage boxes files were placed into large boxes covering the files with plastic tarp.
3. Were any of the records affected by this event salvageable?
No - the records are in poor condition. There is evidence of mold - see attached report.

4. Why are these records unsalvageable?
Per the report attached the records are not salvageable. "Based on information provided by the Client, if the materials located in the X-Ray Storage cannot be disposed of, it is recommended to seal all materials located in the X-Ray Storage in air-tight plastic bags for long storage."
5. Who determined that the records could not be salvaged?
Laura Wooding, Medical Services Department Director Ellanore Leong, Manager, Medical Services Department Administration McCabe Environmental Services, L.L.C.464 Valley Brook Avenue Lyndhurst, New Jersey 07071 (See attached report)
6. Are there other copies of the damaged records in other locations or are there ways to reconstruct the damaged records (i.e. payroll records could be recovered from your payroll service provider)?
No
7. Are there additional records still maintained in the building? If yes, how are these records being protected?
Yes. Employee Medical Files are stored in the department file room. As of 2018, x-ray films are no longer received. Current x-rays are received digitally. We are in the process of migrating these and other digitally produced/converted medical records into New Jersey Transit's (NJT's) certified Electronic Content Management System (ECMS).
8. What measures are being taken to prevent future damage to the agency's records?
NJT is moving to Electric Content Management System for records storage.



464 Valley Brook Avenue, Lyndhurst NJ 07071
129 Sea Girt Avenue, Manasquan NJ 08736
Phone: (800) 423-0766 • Fax: (201) 438-1798
www.mccabeenv.com

MOLD CONTAMINATION TESTING VIA SWAB SAMPLING REPORT

Conducted for:

New Jersey Transit
One Penn Plaza East
Newark, New Jersey 07105

Conducted at:

General Office Building - Medical Office X-Ray Storage
180 Boyden Avenue
Maplewood, New Jersey 07040

Submitted by:

McCabe Environmental Services, L.L.C.
464 Valley Brook Avenue
Lyndhurst, New Jersey 07071

REPORT DATE: May 6, 2021

MES PROJECT NO.: 21-04090

Prepared by:

A handwritten signature in blue ink, appearing to read 'Jarred Panecki'.

**Jarred Panecki
Sr. Project Manager**

Signed for the Company by:

A handwritten signature in blue ink, appearing to read 'John H. Chiaviello'.

**John H. Chiaviello
Vice President**

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APPENDIX A

Laboratory Certificates of Analysis
&
Sample Chain of Custody Forms

APPENDIX B

Sample Location Drawings

APPENDIX C

Photographs

1.0 INTRODUCTION

McCabe Environmental Services, L.L.C. (McCabe) was retained by New Jersey Transit (NJ Transit) to conduct mold contamination testing in the Medical Office X-Ray Storage of the General Office Building (GOB) located at 180 Boyden Avenue, Maplewood, New Jersey 07040. The mold contamination testing would confirm or deny the presence of surface mold within the GOB Medical Office X-Ray Storage.

The project information is as follows:

<u>Client Name:</u>	New Jersey Transit
<u>Contact Person:</u>	Mr. Russel Samaroo
<u>Project Name:</u>	General Office Building - Medical Office X-Ray Storage
<u>Project Location:</u>	180 Boyden Avenue Maplewood, New Jersey 07040
<u>Date(s) of Service:</u>	April 16, 2021
<u>McCabe Microbial Consultant:</u>	John H. Chiaviello

2.0 SCOPE OF WORK

This mold contamination testing was conducted in order to determine if the GOB Medical Office X-Ray Storage located at 180 Boyden Avenue, Maplewood, New Jersey contained mold and to confirm or deny the presence of surface mold. This was conducted utilizing mold surface swab samples throughout the Medical Office X-Ray Storage.

To confirm or deny surface mold, McCabe collected ten (10) mold surface swabs samples. The 10 mold surface swab samples were collected from the following locations:

- X-Ray Film Back End 2nd Shelf-Left Side
- X-Ray Jacket Front End of 1st (Top) Shelf-Left Side
- Metal Shelf #4 - Left Side
- X-Ray Film From Older X-Ray – 3rd Shelf on Left
- X-Ray Film in Box on Floor
- X-Ray Jacket in Box on Floor
- X-Ray Jacket on Top Shelf of Right Side (Old Film 2000)
- X-Ray Film on Top Shelf of Right Side (Old Film)
- X-Ray Jacket on Shelf #4 (Old Film 2003)
- X-Ray Film From Shelf 4 – Rear (Film 2003)

3.0 TABLE OF SAMPLE RESULTS

The following table represents all significant mold surface swab sample results in order of sample number:

Sample #	Location	Spore Type	Category*
S – 01	X-Ray Film Back End 2nd Shelf - Left Side	<i>Alternaria</i>	Medium
		<i>Cladosporium</i>	Low
		<i>Penicillium/Talaromyces</i>	High
		<i>Rhizopus</i>	High
		<i>Fibrous Particulate</i>	Rare
S-02	X-Ray Jacket Front End of 1 st (Top) Shelf – Left Side	<i>Fibrous Particulate</i>	Rare
S-03	Metal Shelf #4 – Left Side	<i>Alternaria</i>	Medium
		<i>Cladosporium</i>	Medium
		<i>Curvularia</i>	Rare
		<i>Epicoccum</i>	Rare
		<i>Penicillium/Talaromyces</i>	High
		<i>Rhizopus</i>	Medium
		<i>Fibrous Particulate</i>	Low
S-04	X-Ray Film from Older X-Ray - 3 rd Shelf on Left	<i>Aspergillus/Penicillium</i>	Rare
		<i>Fibrous Particulate</i>	Rare
S-05	Surface Swab on X-Ray Film in Box on Floor	<i>Penicillium/Talaromyces</i>	High
		<i>Fibrous Particulate</i>	Rare
S-06	X-Ray Jacket in Box on Floor	<i>Aspergillus/Penicillium</i>	Rare
		<i>Fibrous Particulate</i>	Rare
S-07	X-Ray Jacket on Top Shelf of Right Side (Old Film 2000)	<i>Aspergillus/Penicillium</i>	Rare
		<i>Fibrous Particulate</i>	Rare

Sample #	Location	Spore Type	Category*
S-08	X-Ray Film on Top Shelf of Right Side (Old Film)	<i>Aspergillus/Penicillium</i>	Rare
		<i>Fibrous Particulate</i>	Rare
S-09	X-Ray Jacket on Shelf #4 (Old Film 2003)	<i>Fibrous Particulate</i>	Rare
S-10	X-Ray Film From Shelf 4 - Rear (Film 2003)	<i>Aspergillus/Penicillium</i>	Rare
		<i>Fibrous Particulate</i>	Rare
*Category; Count/per area analyzed Rare: 1 to 10 Low: 11 to 100 Medium: 101 to 1000 High: >1000 Bold Font – Indicates samples identified with Low to High Categories			

4.0 DISCUSSION AND CONCLUSION

This mold contamination testing was conducted in order to determine if the GOB Medical Office X-Ray Storage located at 180 Boyden Avenue, Maplewood, New Jersey contained mold, and to confirm or deny the presence of surface mold.

Based on the subsequent laboratory analytical data received, mold swab samples collected on April 16, 2021 confirmed the presence of surface mold growth on surfaces located in the X-Ray Storage. Based on information provided by the Client, if the materials located in the X-Ray Storage cannot be disposed of, it is recommended to seal all materials located in the X-Ray Storage in air-tight plastic bags for long storage. All cleanable surface such as shelving should be disinfected and decontaminated. Boxes located in the space should be disposed of and replace following the disinfecting and decontaminating of shelving and after materials are sealed in air-tight plastic bags. If the current mold growth is not properly corrected and/or remediated, it is believed the situation will worsen over time and the surface mold growth will become airborne.

NJAC 12-100 Chapter 13-Indoor Air Quality Standard requires that all surfaces that are wet must be dried, and all visible microbiological growth must be abated. Due to the sensitivity of the materials and not being able to dispose of them, it is recommended that the areas identified throughout this report be disinfected and decontaminate without disrupting the integrity of the materials and be placed in air-tight clear bags by a mold abatement contractor. It is also recommended that the source of water/moisture be identified and corrected. Attempts to clean or remove materials that contain suspect microbial growth by individuals or firms not properly trained and experienced in microbial remediation and/or water damage restoration may exacerbate the levels of contamination within the building.

It should be noted that fungi (molds) are naturally occurring, ubiquitous organisms that can be associated with various organic materials, substrates and environmental conditions. Mold spores travel in the ambient outdoor air and enter the indoor environment through natural and assisted ventilation such as windows, doors, and through heating, ventilation and air-conditioning (HVAC) systems, as well as, on people, animals and consumer building products. There can be no guarantee that mold is not currently present in other locations of the building or will be found in the future.

APPENDIX A

**LABORATORY CERTIFICATES OF ANALYSIS
&
SAMPLE CHAIN OF CUSTODY FORMS**



EMSL Analytical, Inc.

307 West 38th Street New York, NY 10018
Tel/Fax: (212) 290-0051 / (212) 290-0058
<http://www.EMSL.com> / manhattanlab@emsl.com

EMSL Order: 032106300
Customer ID: MCCA77
Customer PO:
Project ID:

Attention: McCabe Environmental Services, LLC
McCabe Environmental Services, LLC
464 Valley Brook Avenue
Suite 6
Lyndhurst, NJ 07071
Project: NJ TRANSIT/ GOB BUILDING (XRAY STORAGE) 180 BOYDEN AVE, MAPLEWOOD, NJ 07040/ 21-04090

Phone: (201) 438-4839
Fax: (201) 438-1798
Collected Date: 04/16/2021
Received Date: 04/19/2021
Analyzed Date: 04/26/2021

Test Report: Microscopic Examination of Fungal Spores, Fungal Structures, Hyphae, and Other Particulates from Swab Samples (EMSL Method MICRO-SOP-200)

Lab Sample Number: Client Sample ID: Sample Location:	032106300-0001 S - 01 SURFACE SWAB ON XRAY FILM BACK END 2ND SHELF - LEFT SIDE	032106300-0002 S - 02 SURFACE SWAB ON XRAY JACKET FRONT END OF 1ST (TOP) SHELF - LEFT SIDE	032106300-0003 S - 03 SURFACE SWAB ON METAL SHELF #4 - LEFT SIDE	032106300-0004 S - 04 SURFACE SWAB ON XRAY FILM FROM OLDER XRAY - 3RD SHELF ON LEFT	032106300-0005 S - 05 SURFACE SWAB ON XRAY FILM IN BOX ON FLOOR
Spore Types	Category	Category	Category	Category	Category
Alternaria (Ulocladium)	*Medium*	-	*Medium*	-	-
Ascospores	-	-	-	-	-
Aspergillus/Penicillium	-	-	-	Rare	-
Basidiospores	-	-	-	-	-
Bipolaris++	-	-	-	-	-
Chaetomium	-	-	-	-	-
Cladosporium	*Low*	-	*Medium*	-	-
Curvularia	-	-	Rare	-	-
Epicoccum	-	-	Rare	-	-
Fusarium	-	-	-	-	-
Ganoderma	-	-	-	-	-
Myxomycetes++	-	-	-	-	-
Pithomyces++	-	-	-	-	-
Rust	-	-	-	-	-
Scopulariopsis/Microascus	-	-	-	-	-
Stachybotrys/Memnoniella	-	-	-	-	-
Unidentifiable Spores	-	-	-	-	-
Zygomycetes	-	-	-	-	-
Penicillium/Talaromyces	*High*	-	*High*	-	*High*
Rhizopus	*High*	-	Medium	-	-
Hyphal Fragment	-	-	-	-	-
Insect Fragment	-	-	Rare	-	-
Pollen	-	-	-	-	-
Fibrous Particulate	Rare	Rare	Low	Rare	Rare

Category: Count/per area analyzed - Rare: 1 to 10 Low: 11 to 100 Medium: 101 to 1000 High: >1000
- Denotes Not Detected.
++ Includes other spores with similar morphology; see EMSL's fungal glossary for each specific category.
* = Sample contains fruiting structures and/or hyphae associated with the spores.

Aaron Patak, Microbiology Laboratory Director
or other Approved Signatory

No discernable field blank was submitted with this group of samples.

EMSL maintains liability limited to cost of analysis. Interpretation and use of test results are the responsibility of the client. This report relates only to the samples reported above, and may not be reproduced, except in full, without written approval by EMSL. EMSL bears no responsibility for sample collection activities or analytical method limitations. The report reflects the samples as received. Results are generated from the field sampling data (sampling volumes and areas, locations, etc.) provided by the client on the Chain of Custody. Samples are within quality control criteria and met method specifications unless otherwise noted.
Samples analyzed by EMSL Analytical, Inc. New York, NY AIHA-LAP, LLC-EMLAP Accredited #102581

Initial report from: 04/26/2021 05:22 PM

For information on the fungi listed in this report, please visit the Resources section at www.emsl.com



EMSL Analytical, Inc.

307 West 38th Street New York, NY 10018
Tel/Fax: (212) 290-0051 / (212) 290-0058
<http://www.EMSL.com> / manhattanlab@emsl.com

EMSL Order: 032106300
Customer ID: MCCA77
Customer PO:
Project ID:

Attention: McCabe Environmental Services, LLC
McCabe Environmental Services, LLC
464 Valley Brook Avenue
Suite 6
Lyndhurst, NJ 07071
Project: NJ TRANSIT/ GOB BUILDING (XRAY STORAGE) 180 BOYDEN AVE, MAPLEWOOD, NJ 07040/ 21-04090

Phone: (201) 438-4839
Fax: (201) 438-1798
Collected Date: 04/16/2021
Received Date: 04/19/2021
Analyzed Date: 04/26/2021

Test Report: Microscopic Examination of Fungal Spores, Fungal Structures, Hyphae, and Other Particulates from Swab Samples (EMSL Method MICRO-SOP-200)

Lab Sample Number: Client Sample ID: Sample Location:	032106300-0006 S - 06 SURFACE SWAB ON XRAY JACKET IN BOX ON FLOOR	032106300-0007 S - 07 SURFACE SWAB ON XRAY JACKET ON TOP SHELF OF RIGHT SIDE (OLD FILM 2000)	032106300-0008 S - 08 SURFACE SWAB ON XRAY FILM ON TOP SHELF OF RIGHT SIDE (OLD FILM)	032106300-0009 S - 09 SURFACE SWAB ON XRAY JACKET ON SHELF #4 - (OLD FILM 2003)	032106300-0010 S - 10 SURFACE SWAB OF XRAY FILM FROM SHELF 4 - REAR (FILM 2003)
Spore Types	Category	Category	Category	Category	Category
Alternaria (Ulocladium)	-	-	-	-	-
Ascospores	-	-	-	-	-
Aspergillus/Penicillium	Rare	Rare	Rare	-	Rare
Basidiospores	-	-	-	-	-
Bipolaris++	-	-	-	-	-
Chaetomium	-	-	-	-	-
Cladosporium	-	-	-	-	-
Curvularia	-	-	-	-	-
Epicoccum	-	-	-	-	-
Fusarium	-	-	-	-	-
Ganoderma	-	-	-	-	-
Myxomycetes++	-	-	-	-	-
Pithomyces++	-	-	-	-	-
Rust	-	-	-	-	-
Scopulariopsis/Microascus	-	-	-	-	-
Stachybotrys/Memnoniella	-	-	-	-	-
Unidentifiable Spores	-	-	-	-	-
Zygomycetes	-	-	-	-	-
Penicillium/Talaromyces	-	-	-	-	-
Rhizopus	-	-	-	-	-
Hyphal Fragment	-	-	-	-	-
Insect Fragment	-	-	-	-	-
Pollen	-	-	-	-	-
Fibrous Particulate	Rare	Rare	Rare	Rare	Rare

Category: Count/per area analyzed - Rare: 1 to 10 Low: 11 to 100 Medium: 101 to 1000 High: >1000

- Denotes Not Detected.

++ Includes other spores with similar morphology; see EMSL's fungal glossary for each specific category.

* = Sample contains fruiting structures and/or hyphae associated with the spores.

Aaron Patak, Microbiology Laboratory Director
or other Approved Signatory

No discernable field blank was submitted with this group of samples.

EMSL maintains liability limited to cost of analysis. Interpretation and use of test results are the responsibility of the client. This report relates only to the samples reported above, and may not be reproduced, except in full, without written approval by EMSL. EMSL bears no responsibility for sample collection activities or analytical method limitations. The report reflects the samples as received. Results are generated from the field sampling data (sampling volumes and areas, locations, etc.) provided by the client on the Chain of Custody. Samples are within quality control criteria and met method specifications unless otherwise noted.

Samples analyzed by EMSL Analytical, Inc. New York, NY AIHA-LAP, LLC-EMLAP Accredited #102581

Initial report from: 04/26/2021 05:22 PM

For information on the fungi listed in this report, please visit the Resources section at www.emsl.com

MCCABE ENVIRONMENTAL SERVICES, L.L.C.

464 VALLEY BROOK AVENUE LYNDHURST, NJ 07071 • PHONE: (201)438-4839 FAX: (201)438-1798

MOLD BULK/SWAB CHAIN-OF-CUSTODY FORM

CLIENT NAME: <i>NJ Transit</i>	SITE ADDRESS: <i>GOB Building (RAY Storage)</i>
ADDRESS: <i>One Penn Plaza East, Newark, NJ 07105</i>	<i>180 Boylen Ave, Maplewood, NJ 07040</i>
PROJECT #: <i>21-04090</i>	SAMPLE DATE: <i>4/16/21</i>
Turnaround Requested: Immediate 24 hr. 48 hr. 3-5 day <input checked="" type="radio"/> Other <i>- 1 week -</i>	

LAB ID	SAMPLE ID	SAMPLE LOCATION	ANALYSIS REQUESTED
	S-01	Surface Swab on XRAY Film Back end 2nd shelf - left side	<i>PMO41-1 week</i>
	S-02	Surface Swab on XRAY Jacket Front End of 1st (Top) shelf - left side	TAT
	S-03	Surface Swab on metal shelf #4 - left side	
	S-04	Surface Swab on XRAY Film from older XRAY - 3rd shelf on left.	
	S-05	Surface Swab on XRAY Film in Box on Floor	
	S-06	Surface Swab on XRAY Jacket in Box on Floor	
	S-07	Surface Swab on XRAY Jacket on top shelf of right side (old film 2000)	
	S-08	Surface Swab on XRAY Film on top shelf of right side (old film)	
	S-09	Surface Swab on XRAY Jacket on shelf #4 - (old film 2003)	
	S-10	Surface Swab of XRAY Film from shelf 4 - Rear (Film 2003)	

202 APR 19 AM 11:01
 RECEIVED
 MICHIGAN
 ENVIRONMENTAL
 SERVICES

Relinquished by: <i>[Signature]</i>	Date: <i>4/16/21</i>	Time: <i>1:00</i>	Received by: <i>[Signature]</i>	Date: <i>4/19/21</i>	Time: <i>11:04a</i>
1.					
2.					
3.					

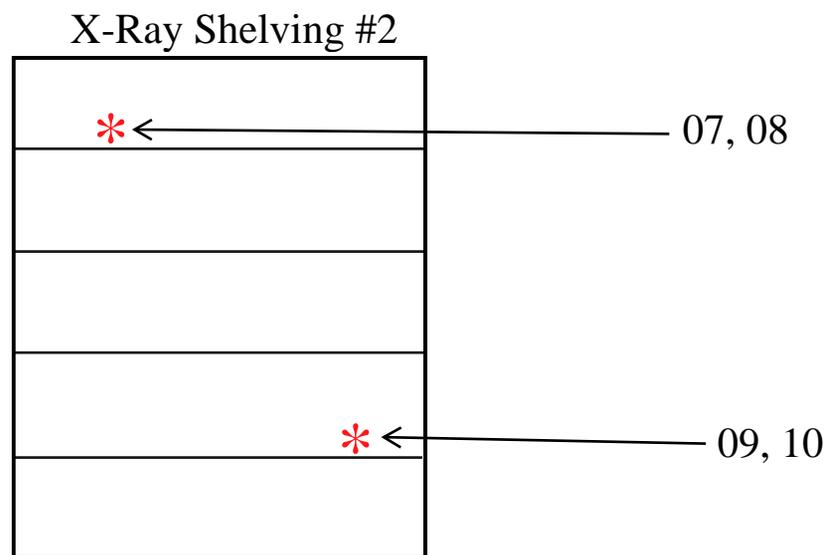
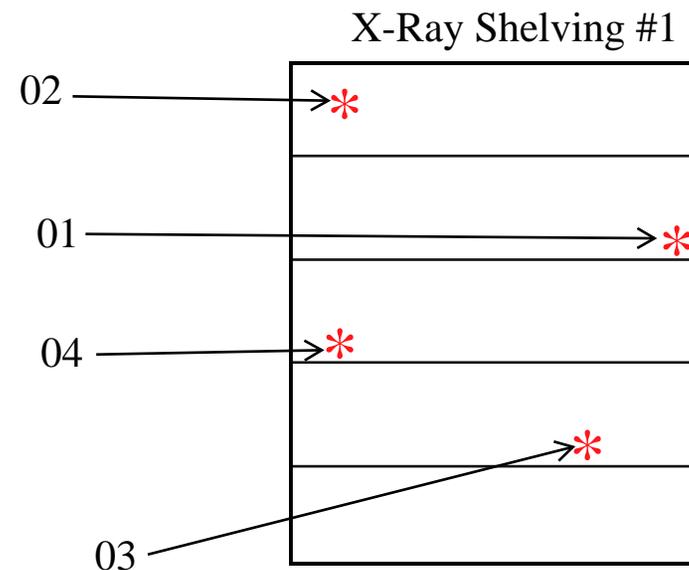
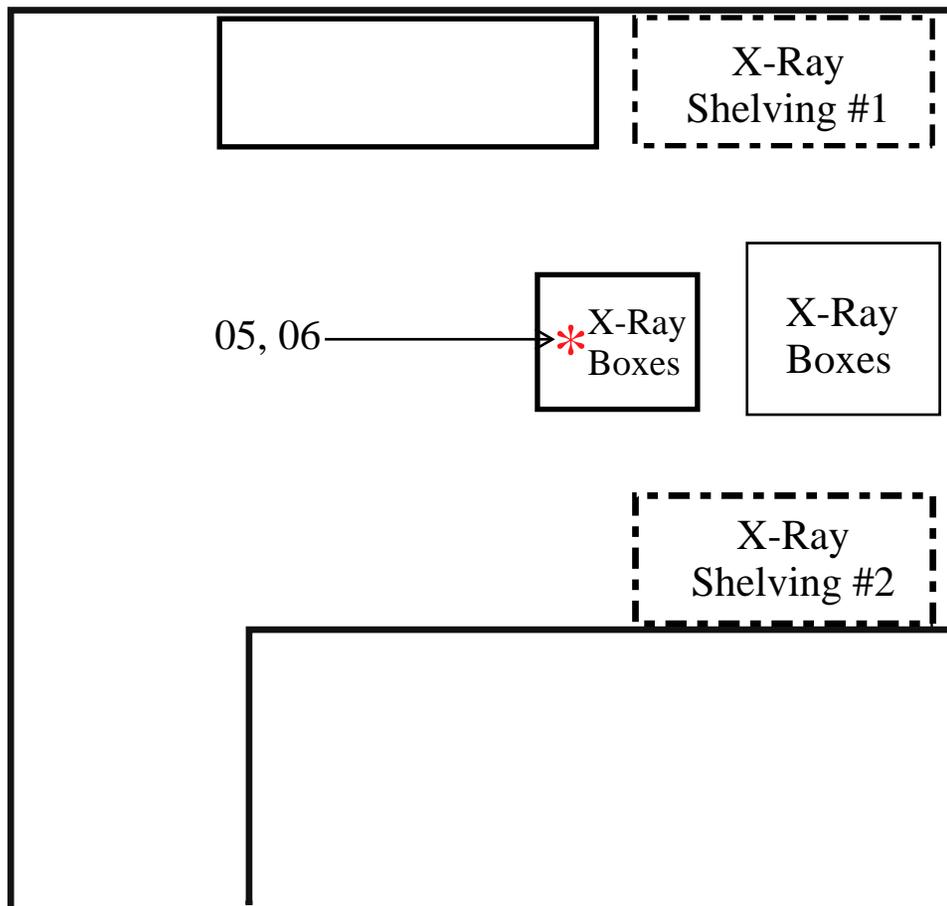
Comments: Email results to Data@mccabeenv.com

EFX. 7959 1898 6705

APPENDIX B

SAMPLE LOCATION DRAWING

General Office Building - Medical Office



464 Valley Brook Avenue, Lyndhurst NJ 07071
129 Sea Girt Avenue, Manasquan NJ 08736
Phone: (800) 423-0766 • Fax: (201) 438-1798
www.mccabeenv.com

Project:
NJ Transit
GOB - Medical Office
180 Boyden Ave
Maplewood, NJ 07040

Drawing Title: General Office Building
Medical Office - Mold Sample Locations

Note:
Not To Scale

MES Project Number:
21-04090

Date:
5/06/2021

APPENDIX C

PHOTOGRAPHS



Photograph #1: X-Ray Shelving



Photograph #2: X-Ray Shelving and Center X-Ray Boxes

DEPARTMENT OF THE TREASURY
DIVISION OF REVENUE AND ENTERPRISE SERVICES
RECORDS MANAGEMENT SERVICES
Mailing: PO Box 661, Trenton, NJ 08625
Location: 2300 Stuyvesant Avenue, Trenton, NJ 08618

Damaged Records Inventory

Agency Name: New Jersey Transit

Agency Retention Schedule: S808221

Retention Schedule Number: 007

Record Series Number: 0001-0004

Record Series Name: Medical Records - X-Rays - All X-Rays For Non- Maintenance Employees.

Retention Time: 5 years

Inclusive Years: 6/1980 - 12/2017

Volume (Cubic Feet): 30 cf

Damage Type: Mold and deterioration

Other copies available? No

Update Disposition Request Request Id : 129793 Status : Work In Progress

*Agency: S800000 - New Jersey Transit

*Schedule #: S808221-006-New Jersey Transit-Administrative Support Hu
those not requiring archival review

Limit Record Series to: those not requiring archival review

Requester First Name: Argean Requester Last Name: Cook

Custodian First Name: Joan Custodian Last Name: Depaolo

Microfilm Present: Digital Image Present:

Location: Medical Department

*Request Date: 03 / 09 / 2021

Requester Title: Director

Damaged Records Certificate:

Comments:

Would you like to sign this Disposition Request Electronically? Yes No

Does this Disposition Request require a Local Agency Auditor's Signature? Yes No

Disposition Request Details

S.#	Record Series #	Title	Retention Period	From (MM YYYY)	To (MM YYYY)	Dispose After (MM/YYYY)	Medium Type	Volume (Cu. ft)
1	0001 - 0004	Medical Records - X-Rays - All X-	5 Years	06 1980	12 2017	12/2022	Microfilm	30 .00

[Add New Row](#) [Add Multiple Rows](#)

DEPARTMENT OF THE TREASURY
DIVISION OF REVENUE AND ENTERPRISE SERVICES
RECORDS MANAGEMENT SERVICES
Mailing: PO Box 661, Trenton, NJ 08625
Location: 2300 Stuyvesant Avenue, Trenton, NJ 08618

Damaged Records Inventory

Agency Name: New Jersey Transit

Agency Retention Schedule: G100000

Retention Schedule Number: 011

Record Series Number: 0915-0000

Record Series Name: Employee Medical Records

Retention Time: 40 years after termination of employment

Inclusive Years: 6/1980 - 12/2017

Volume (Cubic Feet): 10 cf

Damage Type: Mold and deterioration

Other copies available? No

Update Disposition Request

Request Id : 129794

Status : Work In Progress

*Agency: S800000 - New Jersey Transit

*Schedule #: G100000-011-STATE GENERAL RECORDS SCHEDULE

Limit Record Series to: those not requiring archival review

Requester First Name: Argean Requester Last Name: Cook

Custodian First Name: Joan Custodian Last Name: Depaolo

Microfilm Present: Digital Image Present:

Location: Medical Department

*Request Date: 03 / 09 / 2021

Requester Title: Director

Damaged Records Certificate:

Comments: X-Ray portion of medical records only.

Would you like to sign this Disposition Request Electronically? Yes No

Does this Disposition Request require a Local Agency Auditor's Signature? Yes No

Disposition Request Details

S.#	Record Series #	Title	Retention Period	From (MM YYYY)	To (MM YYYY)	Dispose After (MM/YYYY)	Medium Type	Volume (Cu. ft)
1	0915 - 0000	Employee Medical Records		06 1980	12 2017		Microfilm	10 .00

Add New Row Add Multiple Rows

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

Damaged Records
Disposal Certification

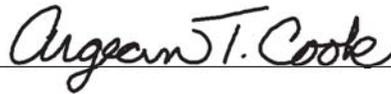
TO: State Records Committee

FROM: Argean T. P. Cook - Director
New Jersey Transit Records Management

DATE: March 9, 2021 Revised September 17, 2021

SUBJECT: Request to Destroy Mold Damaged X-Rays Located in the Medical Department
Artemis Disposition Request # 129793 and 129794

I hereby certify that the records listed on the attached *Request and Authorization for Records Disposal* form(s) have sustained significant damage that warrants their disposal. All attempts to salvage said records have proven unsuccessful or not cost-effective. Subsequently, continued retention of said records has been deemed impractical.



3/9/2021

Date

DEPARTMENT OF THE TREASURY
DIVISION OF REVENUE AND ENTERPRISE SERVICES
RECORDS MANAGEMENT SERVICES
Mailing: PO Box 661, Trenton, NJ 08625
Location: 33 West State Street 5th Floor, Trenton, NJ 08618

Damaged Records Report

Agency Name: Bernards Township
Address: 1 Collyer Lane, Basking Ridge NJ 07920
Phone: 908-204-3014
Email: rpisano@bernards.org
Contact Person: Rhonda Pisano, Municipal Clerk
Date the Damage Occurred: 09/01/2021 - 09/02/2021
Date the Damage was Discovered: 09/02/2021

Complete the following. (Answer field will expand to accommodate all answers)

1. Describe circumstances of how the damage occurred.

Heavy rain from tropical Depression Ida occurred in Bernards Township in the evening hours of 09-01-21 thru 09-02-21 with torrential rains of 7 – 8 inches overnight.

Several inches of water entered the basement and the lower-level Recreation Department office of the Municipal Building.

The records room located in the basement, had several boxes waiting for staged destruction stored on the lower shelf.

In the recreation office, files in the lower filing cabinet drawers were saturated with water as well as several boxes that were on the floor with records that were in the process of being moved.

2. Describe circumstances of how the damage was discovered.

When employees entered the building on the morning of 09-02-21, water was discovered in the basement area which includes a records room containing boxes for staged destruction. Water was also found in the lower-level Recreation Department staff office and the bottom drawers of several filing cabinets as well as several boxes of records on the floor that were being worked on got saturated with water.

3. What salvage attempts were made?

All the files were removed from the wet boxes and drawers. Many files were recovered by spreading out the documents on tables, chairs, the floor, etc. and air dried with fans, heaters, and dehumidifiers. Over several days, these documents were re-shuffled and turned to advance drying time and to prevent mold. Some boxes had documents where only the edges of the paper were wet and they successfully dried. Others were simply "moist" and not "wet" and air drying was successful. If documents could be separated without tearing and could still be read without ink running, they were recovered. Several documents from the Recreation Department were completely saturated, could not be separated, ink ran making the documents illegible and it was determined these records could not be recovered. These records were removed and placed in plastic bags until approval for destruction is obtained. Fortunately, no vital records were affected.

4. Were any of the records affected by this event salvageable?

Yes – approximately 10 - cu. ft. in volume was recovered.

5. Why are these records unsalvageable?

Saturated and damaged by water, pages sticking together, ink running, pages falling apart.

6. Who determined that the records could not be salvaged?

Rhonda Pisano, Municipal Clerk, in consultation with the Parks and Recreation Director, the CFO, and the Purchasing Agent

7. Are there other copies of the damaged records in other locations or are there ways to reconstruct the damaged records (i.e. payroll records could be recovered from your payroll service provider)?

Yes – We have scanned copies of the 2016 and 2018 bids located in the Engineering Department files.

Partial - The 2015 PO's can be re-created from Edmunds but will not contain the signature or the invoices however they have been audited by the auditor and they were 4 months shy of the end of their life expectancy .

Parks and Recreation reservations and information are stored electronically in the computer RecTrack System;

Partial information from individual employee jacket files can be captured through payroll and various correspondence on computers, such as hire letters and performance reviews.

Time records are also electronically recorded.

Contracts and agreements are stored in a registered document imaging system #18112901-MP.

8. Are there additional records still maintained in the building?

Yes – only a minimal amount of records were affected.

If yes, how are these records being protected?

Wood shelving is being replaced with higher metal shelving.

Plastic totes are being utilized

Drainage repairs were being made to foundation of building and down spouts.

9. What measures are being taken to prevent future damage to the agency's records?

The bottom shelves will no longer be utilized in the staged for destruction records room.

See above

Damaged Records Inventory

DEPARTMENT OF THE TREASURY
 DIVISION OF REVENUE AND ENTERPRISE SERVICES
 RECORDS MANAGEMENT SERVICES
 Mailing: PO Box 661, Trenton, NJ 08625
 Location: 2300 Stuyvesant Avenue, Trenton, NJ 08618

AGENCY NAME Bernards Township - Park Commission

RETENTION SCHEDULE AGENCY NUMBER: Municipal General M100000

SCHEDULE NUMBER: 013

Record Series Number	Record Series Name	Retention Time	Inclusive Years	Volume (cubic feet)	Damage Type	Other copies available?
0407-0000	Individual Employee Jacket File	6 Years	1/2016-12/2016	.25	Water/Flood	No
		After				
		termination				
		of				
		employment				
	*Some information can be captured					
	through payroll & correspondence					
	on computers(hire letters,					
	reviews)*					

Damaged Records Inventory

DEPARTMENT OF THE TREASURY
 DIVISION OF REVENUE AND ENTERPRISE SERVICES
 RECORDS MANAGEMENT SERVICES
 Mailing: PO Box 661, Trenton, NJ 08625
 Location: 2300 Stuyvesant Avenue, Trenton, NJ 08618

AGENCY NAME Bernards Township - Park Commission

RETENTION SCHEDULE AGENCY NUMBER: Municipal General M100000

SCHEDULE NUMBER: 013

Record Series Number	Record Series Name	Retention Time	Inclusive Years	Volume (cubic feet)	Damage Type	Other copies available?
0407-0000	Individual Employee Jacket File	6 Years	1/2017-12/2017	1.0	Water/Flood	No
		After				
		termination				
		of				
		employment				
	*Some information can be captured					
	through payroll & correspondence					
	on computers (hire letters,					
	performance reviews)*					

Damaged Records Inventory

DEPARTMENT OF THE TREASURY
 DIVISION OF REVENUE AND ENTERPRISE SERVICES
 RECORDS MANAGEMENT SERVICES
 Mailing: PO Box 661, Trenton, NJ 08625
 Location: 2300 Stuyvesant Avenue, Trenton, NJ 08618

AGENCY NAME Bernards Township - Park Commission

RETENTION SCHEDULE AGENCY NUMBER: Municipal General M100000

SCHEDULE NUMBER: 013

Record Series Number	Record Series Name	Retention Time	Inclusive Years	Volume (cubic feet)	Damage Type	Other copies available?
0407-0000	Individual Employee Jacket File	6 Years	1/2019-12/2019	3.0	Water/Flood	No
		After				
		termination				
		of				
		employment				
	*Some information can be captured					
	through payroll & correspondence					
	on computers (hire letters,					
	performance reviews)*					

Damaged Records Inventory

DEPARTMENT OF THE TREASURY
 DIVISION OF REVENUE AND ENTERPRISE SERVICES
 RECORDS MANAGEMENT SERVICES
 Mailing: PO Box 661, Trenton, NJ 08625
 Location: 2300 Stuyvesant Avenue, Trenton, NJ 08618

AGENCY NAME

Bernards Township - Park Commission

RETENTION SCHEDULE AGENCY NUMBER:

Municipal General M100000

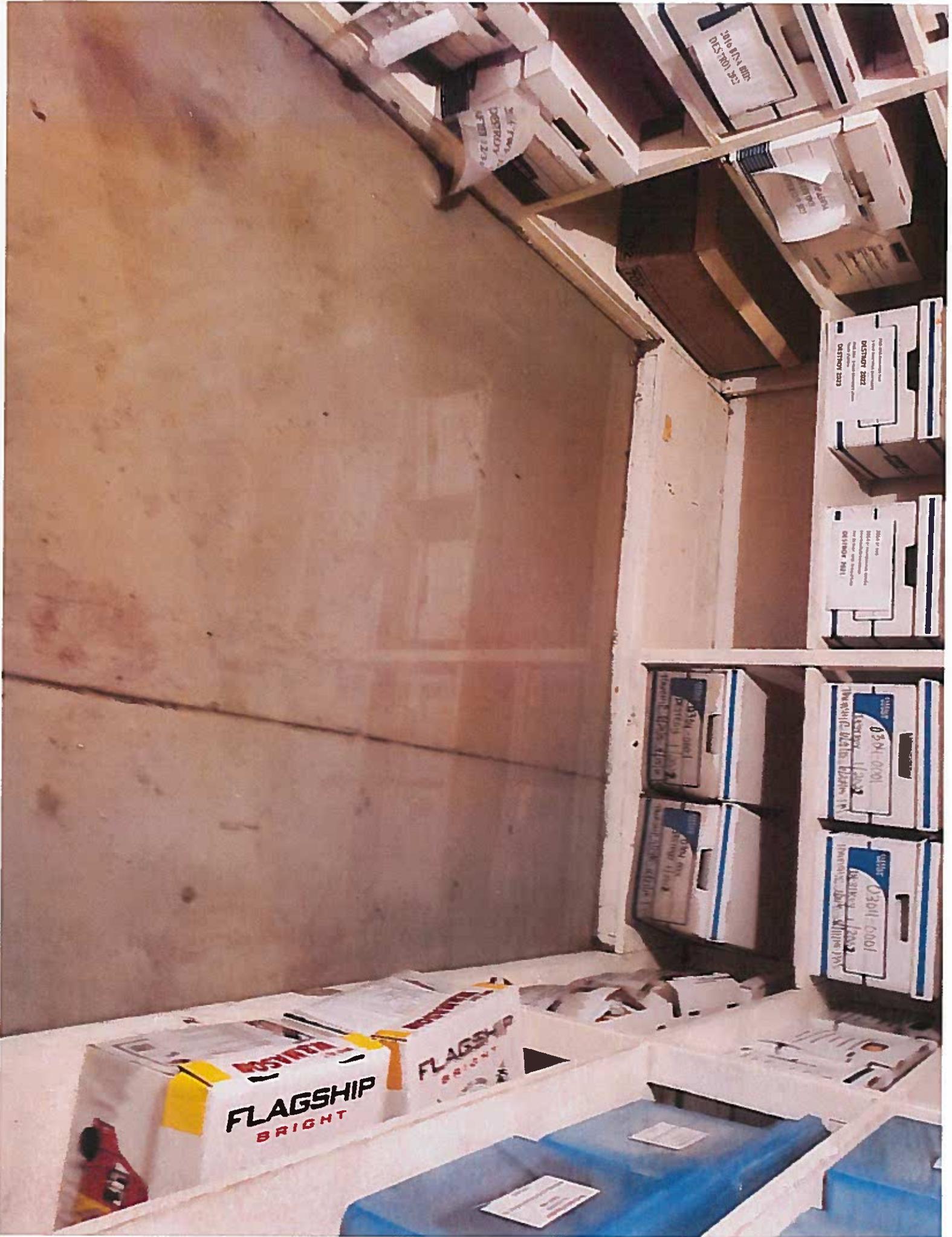
SCHEDULE NUMBER:

013

Record Series Number	Record Series Name	Retention Time	Inclusive Years	Volume (cubic feet)	Damage Type	Other copies available?
0407-0000	Individual Employee Jacket File	6 Years	1/2020-12/2020	.25	Water/Flood	No
		After				
		termination				
		of				
		employment				
	*Some information can be captured					
	through payroll & correspondence					
	on computers (hire letters,					
	performance reviews) *					



STITEC
DESTRON
04/10/01
04/10/02



FLAGSHIP
BRIGHT

FLAGSHIP
BRIGHT

DUSTY 2022
DUSTY 2023

DUSTY 2022
DUSTY 2023

DUSTY 2022
DUSTY 2023

DUSTY 2022
DUSTY 2023

316 811 800
DUSTY 2022

316 811 800
DUSTY 2022



0002-0000
2017-2018
DOG, CAT, COVER, etc.
DESTROY 1/11/2026

DOG

DOG

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

Damaged Records
Disposal Certification

TO: State Records Committee

FROM: Rhonda Pisano, Municipal Clerk

DATE: 09/03/21

SUBJECT: Request to Destroy Water-damaged Records Stored in the basement records room of the
Municipal Building

I hereby certify that the records listed on the attached *Request and Authorization for Records Disposal* form(s) have sustained significant damage that warrants their disposal. All attempts to salvage said records have proven unsuccessful or not cost-effective. Subsequently, continued retention of said records has been deemed impractical.

Rhonda Pisano, Municipal Clerk

09/15/2021

Date