

CHAPTER 3

RECORDS MANAGEMENT

Authority

N.J.S.A. 47:3-15.

Source and Effective Date

R.1991 d.452, effective August 19, 1991.
See: 23 N.J.R. 1912(b), 23 N.J.R. 2519(a).

Executive Order No. 66(1978) Expiration Date

Chapter 3, Records Management, expires on August 19, 1996.

Chapter Historical Note

The rules in Chapter 3 were formerly codified at N.J.A.C. 6:66. Pursuant to N.J.S.A. 52:146-2, the Bureau of Records Management Services in the Division of the State Library in the Department of State and the Archives Section in the Bureau of Law, Archives and Reference Services in the Division of the State Library, Archives and History in the Department of Education, were transferred to the Division of Archives and Records Management in the Department of State, effective June 24, 1983. See: 15 N.J.R. 818(a). Pursuant to Executive Order No. 66(1978), Chapter 3 expired on May 20, 1986 and was adopted as new rules by R.1986 d.238, effective July 7, 1986. See: 18 N.J.R. 820(b), 18 N.J.R. 1401(b). Pursuant to Executive Order No. 66(1978), Chapter 3 expired on July 7, 1991. In accordance with N.J.A.C. 1:30-4.4(f), the rules proposed for readoption with amendments were adopted as new rules by R.1991 d.452. See: Source and Effective Date.

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SUBCHAPTER 1. GENERAL PROVISIONS

15:3-1.1 Purpose and scope

The Division of Archives and Records Management is charged with the responsibility for establishing the framework for the management of public records in a systematic and comprehensive fashion. This chapter encompasses all public entities at the State, county and local government levels, including subdivisions thereof.

15:3-1.2 Definitions

The following words and terms, when used in this chapter, shall have the following meanings unless the context clearly indicates otherwise.

“Agency” means any unit of State, county, or municipal government whether known as a department, division, board, commission or otherwise.

“Archival records” means permanent records which are noncurrent and are not required to be retained in the office in which they originate.

“Current year” means year prior to date on which a record had been filed.

"Disposable records" means records which have a temporary value and, in consequence, may be destroyed after the lapse of a specified time, or after the occurrence of some Act which renders them valueless.

"Division" means Division of Archives and History in the Department of State.

"Permanent records" means records which have a permanent or enduring administrative, legal, fiscal, research or historical value, and, in consequence thereof should be retained and preserved indefinitely.

"Public records" means any paper, written or printed book, document or drawing, map or plan, photograph, microfilm, sound-recording or similar device, or any copy thereof which has been made or is required by law to be received for filing, indexing, or reproducing by any officer, commission, agency or authority of the State or of any political subdivision thereof, including subordinate boards thereof, or that has been received by any such officer, commission, agency or authority of the State or of any political subdivision thereof, including subordinate boards thereof, in connection with the transaction of public business and has been retained by such recipient or its successor as evidence of its activities or because of the information contained therein.

"Records center" means an intermediate area where agencies send inactive material which is maintained in an accessible manner until the agency obtains authority for its disposal.

"Records series" means any groups of related records which are normally used and filed as a unit and which permit evaluation as a unit for disposition purposes.

"Retention period" means the period of time that must elapse before the records are disposed.

"Retention schedule" means a list indicating the length of time records must be retained.

"Semicurrent records" means any records that are needed infrequently for the conduct of current operations and are not required to be retained in the office in which they accumulate.

"State records committee" means a committee set up under N.J.S.A. 47:3 et seq. to approve retention schedules and review requests for disposal of public records. The committee consists of the State Treasurer, the Attorney General, the State Auditor, the Director of the Division of Local Government Services, and the Head of the Division of Archives and History, or their designated representatives.

SUBCHAPTER 2. STATE RECORDS MANUAL

15:3-2.1 Destruction of State public records

No State agency shall destroy, sell or otherwise dispose of any public records, archives or printed public documents which are under its control or in its care or custody, whether or not they are in current use, without having first secured from the Division authorization to do so in accordance with the provisions of Destruction of Public Records law.

15:3-2.2 Authorization for destruction of State public records

Each State agency shall secure from the Division in the manner and form prescribed by it, authorization to destroy or otherwise dispose of those records in its possession which are considered by it to have no further administrative, legal, fiscal or historical value sufficient to warrant their continued retention.

15:3-2.3 Records retention schedule

No destruction authorization shall be issued by the Division to a State agency unless a records retention schedule has been prepared and approved for the particular agency or department.

15:3-2.4 Secretary to State Records Committee

The Head of the Division of Archives and History shall act as secretary to the State Records Committee and shall be responsible for the proper recording or its proceedings.

15:3-2.5 Procedure for establishing records retention schedules for State agencies

(a) Record retention schedules provide a uniform, effective and systematic control on records keeping and destruction. Through the use of such schedules, agencies can insure that valuable records are preserved and that records of a temporary nature are disposed of when no longer needed.

This, of course, will reduce the need for expensive filing equipment and, in general, provide a more efficient filing system. The installation of systematic controls on records keeping and the establishment of approved retention and disposal schedules within State departments shall include the following steps:

1. The Division will assist the various departments in preparing the inventory and drafting the records retention schedule.
2. When the inventory and appraisal are completed, Records Retention Schedule, Form AH-3 as set forth in N.J.A.C. 6:66-2.2 (Form AH-3), is to be prepared.

3. Clearance for the recommended records retention schedule are obtained on the Records Retention Schedule, Form AH-3. Initial clearances are made by the officials primarily concerned with the record. These officials indicate their approval by initiating the form. The department or division heads or the chief executive officer of any autonomous agency gives approval by signing the schedule in the designated space.

4. Proposed record retention schedules shall be reviewed by the State Records Committee and either approved, disapproved or amended. If approved, the record retention schedule is signed by the Head of the Division as Secretary to the State Records Committee and the agency shall be notified.

15:3-2.6 Procedures for requesting authorization for disposal of records

(a) Any State agency desiring authorization to destroy records in its possession shall, at least 30 days prior to the date proposed for the destruction of the records, submit to the Division a request for such authorization in the manner and form prescribed by the Division. The following procedure will be followed by the appropriate parties in sequence in processing requests for authorization:

1. The agency shall prepare Form ED-6 as set forth in N.J.A.C. 6:66-2.25, in quadruplicate. The agency shall send the completed form to the Division Archives and History.

2. The Division of Archives and History reviews the Form ED-6 for completeness, and enters the date of authorization and the authorization number. The Division of Archives and History will approve, disapprove or amend the request for authorization as based upon the adopted schedule. If approved, authorization is signed by the Head of the Division, or his designee, as Secretary to the State Records Committee and if not approved, the request is returned to the originating agency with an explanation of errors to be corrected.

3. The State Records Committee approves, disapproves or amends request for authorization if the item is not based upon the adopted schedule.

4. The Division of Archives and History files the State copy; returns signed form to the agency; and forwards Auditor's copy to the Office of the State Auditor.

5. The requesting agency shall examine the returned copy for any changes or omissions. When destruction has been completed, returns follow-up copy to the Division with the necessary disposition information.

Cross References

Disposal of original state records after microfilming, see 15:3-2.22.

Local records on microfilm, destruction of originals, see 15:3-3.12.

15:3-2.7 Audit of fiscal records of State agencies

Fiscal records may not be disposed of until they have been audited and the audit approved, or upon approval by the Office of the State Auditor, that they are not required for future audit.

15:3-2.8 Physical destruction of State records

When disposal is authorized, records must be destroyed in fact and not be allowed to fall into unauthorized hands. Non-confidential records may be sold for waste, providing that they will eventually be processed to destroy their identity. Confidential records must be destroyed by burning, shredding or pulping, and a responsible official shall supervise such disposal or accompany the records, if they have to be transported, to see that they are in fact totally destroyed.

15:3-2.9 Wastepaper revenue

All revenues obtained from the sale of wastepaper shall be made payable to the General Fund of the State Treasurer.

15:3-2.10 Records center

(a) A records center is a low cost, centralized area for housing and servicing semicurrent records whose reference rate does not warrant their storage in expensive office space and equipment. Records are transferred to the center when they become sufficiently inactive to permit their removal from the offices having custody of them. The records center will furnish the necessary reference service to the files in its custody and will dispose of them after their retention period has expired.

(b) The Division may designate a records center for the storage of semicurrent State records.

15:3-2.11 Permanent preservation in the State Archives

Archival records must be transferred to the Division of Archives and History for permanent preservation. The Head, Division of Archives and History; or his representative, shall designate which records are archival.

15:3-2.12 Time and manner of transfer to State Archives

The transfer of archival records from the office of their origin to the State Archives shall be made at such times and in the manner and form prescribed by the Division.

15:3-2.13 Standards for microfilming public records:

Purpose

(a) These microfilm standards have been designed to promote uniformity and quality in the production of microfilm for State, county and municipal governments in New Jersey. All agencies engaged in microfilming government records must meet these standards to insure the following:

1. That microfilm copies contain all significant detail shown on the original record;

2. That microfilm copies are usable and legible reproductions of the original record;

3. That the microfilm reproduction will have the same acceptability and legal status as the original record; and

4. That the microfilm reproduction will meet standards of archival quality.

15:3-2.14 Authority to establish microfilm standards

Concerning the photographic reproduction of public records, N.J.S.A. 47:3-26 provides that: "The Division of Archives and History in the Department of State, with the approval of the State Records Committee established by section six hereof, shall formulate standards and procedures for the photographing, micro-photographing and microfilming of public records and for the preservation, examination and use of such records, including the indexing and arrangement thereof, for convenient reference purposes."

15:3-2.15 Microfilm standards

(a) The following standards must be met before permission to destroy the originals is granted:

1. Since many factors are involved in the use of microphotography for records management, a careful analysis of each record group should be made before microfilming. Following are some of the most important factors in determining which records are to be filmed.

i. Retention period and volume are perhaps the most important aspects to consider. Since microfilming is not inexpensive, only records in large volume with retention periods of seven years or longer should be considered. Records of shorter retention periods but of such volume or use that storage becomes a problem would be an exception to this rule.

ii. Rate and reference to records: records with high reference rates or unusual methods of indexing may be poor subjects for microfilming.

iii. All roll film will have the following targets at the end of each reel: density targets; National Bureau of Standards' resolution target; and operator's certificate. Should any reel(s) lack an operator's certificate, an agency may upon prior notification and approval of the supervisor of microfilm services, splice a certificate on the end of the reel(s). This will be permitted only in those cases where the operator who actually filmed the documents on the reel(s) signs the certificate. Splicing must also be done in accordance with the standards set forth in 3vii below.

2. When converting documents to microfilm, certain measures must be followed to insure quality, legality and access to information contained on the microfilm.

i. The records to be filmed must be arranged, identified and indexed to insure reasonable ease in locating individual documents.

ii. All roll film must have the following targets at the beginning of the reel: density targets; National Bureau of Standards' resolution target; reel number target; certificate of authenticity; title target containing title of records filmed, start file and end file (if known), reduction ratio, camera type, film type, department or agency having custody of the records.

iii. All roll film will have the following targets at the end of each reel: density targets; National Bureau of Standards' resolution target; and operator's certificate. Should any reel(s) lack an operator's certificate, an agency may upon prior notification and approval of the supervisor of microfilm services, splice a certificate on the end of the reel(s). This will be permitted only in those cases where the operator who actually filmed the documents on the reel(s) signs the certificate. Splicing must also be done in accordance with the standards set forth in 3vii below.

iv. Where applicable, roll film should contain retake and correction targets.

v. Examples of the targets given in (a)2ii through iv above are available from the Division of Archives and History.

3. The master negative is the original reel of film produced.

i. Only a safety-base, permanent record film with a gelatin-silver halide emulsion, developed to a black and white image and meeting the standards of the American National Standards Institute: PH 1.28, PH 1.29, and PH 1.41, will be used for copies of such records.

ii. For most documents, optimum density should read 1.0 to 1.20 for original first generation camera film. Acceptable standards will fall between a minimum of 0.80 and a maximum of 1.35. The supervisor must use judgment to determine the most suitable density within this range for the documents being filmed. To permit a more accurate reproduction of the original roll, each image should maintain, as far as possible, a specific density throughout the roll. Since the color of the original documents will affect the density of the image, and not all documents in a particular record series may have the same color, an average density aim point should be chosen.

iii. A density minimum reading taken from the non-image or clear area of the film will not exceed a reading of 0.12 or manufacturer's specifications using automatic retrieval systems. Readings should be made close to the center of the film strip to avoid edge fog interference. (Note: Both background density and D-min density must be taken with a transmission densitometer.)

iv. A microscope having a magnification of 50X to 150X with achromatic objectives must be used to read the resolution from the National Bureau of Standards' microcopy resolution test chart. The line direction method will be used in making the determination of resolution. A minimum resolution of 80 lines per millimeter on rotary cameras and 110 lines per millimeter on planetary cameras must be obtained on first generation camera film.

v. Thiosulfate residual content should be tested at least once a month. Only the methylene blue test method will be considered sufficiently reliable to determine archival quality. American National Standards Institute: PH 1.28 of 1973 states the following levels of thiosulfate concentration that must be observed for archival microfilm:

"Limits for Thiosulfate Concentration"

Classification of Films according to graininess of developed image	Maximum Permissible Concentration of Thiosulfate ₂ Ion, S ₂ O ₃ in micrograms per cm
Class 1 Fine-grain copying, duplication and printing films (includes ordinary microfilms)	0.7
Class 2 Medium-grain continuous-tone camera films (negative and reversal) and coarse-grain X-ray films	2

vi. A target indicating the beginning and end of retakes must be used. Retakes may be placed at the beginning or end of a roll of film and, when possible, in sequence. When computer-assisted or random retrieval methods are used, retakes may be placed on the following roll without retake targets. Placement of retakes should be decided before the start of filming and remain consistent.

vii. Splices should be kept to a minimum: no more than four splices per roll will be accepted. When splicing images in proper sequence within the roll, only heat-weld splicing will be considered archival. Splicing tapes may be used for splices at the beginning and end of a roll.

viii. All film will be processed to meet National Bureau of Standards' PH 4.8. Dry chemical processing will not be acceptable. Film failing to meet the specified limits for thiosulfate concentration will not be acceptable.

ix. All film must be inspected for proper indexing, density, resolution and, for residual thiosulfate. Film should be free of scratches, abrasions, blemishes or other defects.

4. The original roll of film must be maintained in archival storage when the records contain information essential to the continuity of governmental operations and the protection of the rights of individuals. Any irreplaceable records having a retention period classified as permanent should be included in this category. When film is to be cut for jackets or aperture cards, the original roll may be used provided an uncut duplicate roll of silver halide film has been prepared for storage. American National Standards Institute requires film specifications for archival storage PH 1.28, PH 1.25 and PH 1.41. The following specifications must be followed for archival storage:

i. The relative humidity of the storage vault or room must not exceed 40 percent.

ii. Temperatures must not exceed 70 degrees Fahrenheit.

iii. Rapid and wide-range cycling of humidity or temperature must be avoided and in no instance exceed plus and/or minus five percent in a 24 hour period.

iv. No rubber bands, tape or other foreign objects may be used to hold film on the reels.

v. The materials used for storage should not ignite, decompose, or develop reactive fumes or vapors.

vi. Film must be stored in a closed container of such inert material as metal or plastic.

vii. At every two year intervals, a one percent random sample must be inspected. For each biennial inspection, a different lot sample should be chosen with some samples of the previous lot reinspected. Any signs of deterioration noted must be reported to the Division of Archives and History. Look for signs of peeling emulsion, brittleness, molding and blemishes.

5. Methods of duplication include the use of silver halide, diazo and vesicular film.

i. Silver halide duplication film is the only duplicating film considered suitable for producing microfilm of archival quality. Silver halide film must be used when producing copies of the original master negative intended for archival storage. Although the cost is high compared to other types of duplicating film, both negative and positive copies can be produced.

ii. Diazo duplication film is not considered archival in quality and must not be used to produce master-negative copies of originals. A diazo copy will maintain the same polarity as the original master (negative to negative; positive to positive). Unexposed diazo film has a very short shelf life unless refrigerated. After exposure and processing, diazo film has an estimated usability of 20 years under ideal storage conditions. Diazo film is less expensive than silver halide film and very durable.

iii. Vesicular duplication film is not archival in quality and must not be used to produce master-negative film. Vesicular film is a reversing process film—the polarity of the copy will be reversed to that of the original master (positive to negative, negative to positive) through exposure and processing by heat. Vesicular film should be only used for short term storage applications. However, when not fully exposed, vesicular film may develop eligible, cosmetic blemishes. Vesicular duplication film may also be considered suitable for distribution or working copies when archival quality is not a factor.

As amended, R.1983 d.241, effective June 20, 1983.

See: 15 N.J.R. 590(a), 15 N.J.R. 1019(b).

In (a)2iii, added operator's certificate requirement.

Correction: Added missing text to (a)2iii "Should any reel(s) . . . in 3vii below."

See: 18 N.J.R. 1623(b).

15:3-2.16 Notice to Division of Archives and History of intention to microfilm State records

If, after considering all of the above factors, a particular record series is selected to be microfilmed, notice shall be given to the Division of Archives and History of such intention specifying the record series involved. Such notification will give the Division's technical staff an opportunity to make constructive recommendations shall such be necessary. This will also insure proper conformance with the statute.

15:3-2.17 Microfilm projects

(a) The Division of Archives and History shall provide agencies with expert assistance and advice in the establishment and operation of all approved microfilming projects.

(b) Projects requiring approximately six months or less to complete shall be undertaken by the Microfilm Unit located in the Division of Archives and History. These projects shall be provided with equipment and supplies on a debit and credit basis, debiting the user the expendable items supplied to them, that is, microfilm machine use, film, and so on. The debit and credit for personnel will be based on the actual working days expended in preparation, filming and checking film for the project. Projects of permanent or lengthy duration, including service contracts with private vendors, may, on approval, be conducted by the Department under whose custody the records remain; provided the following conditions are adhered to:

1. Standard operating procedures for the project shall be instituted and supervised by the Division of Archives and History to insure the accuracy and quality of the work.
2. Full responsibility for maintaining these specifications and standards shall be assumed by the agency conducting the project.
3. Within the limits of time available, the State Microfilm Supervisor shall make periodic inspections to insure that the Microfilm Standards of the State of New Jersey are being implemented.

As amended, R.1983 d.241, effective June 20, 1983.

See: 15 N.J.R. 590(a), 15 N.J.R. 1019(b).

In (b), added "including service contracts with private vendors."

15:3-2.18 Monthly Microfilm Activities Report

The supervisor of every microfilm unit shall submit to the Supervisor of Microfilm Services, Education, in the Division of Archives and History, Department of State, a monthly activities report. Such report, to be submitted within five working days of the end of the month, shall detail the work accomplished by the unit during the preceding month.

15:3-2.19 Filming, inspection, destruction of records

Records to be microfilmed by the Microfilm Unit shall be transferred to the Division of Archives and History. When Records have been filmed and the film properly inspected, the Bureau will notify the agency that the original records are eligible for destruction. Form ED-6 shall be used for this purpose.

15:3-2.20 Notice to Division of Archives and History of installation of a permanent microfilm project

State agencies considering the installation of a permanent microfilm project shall notify the Division of Archives and History in order to obtain approval as to the feasibility of purchasing microfilm equipment or instituting such a project. Additional purchases of equipment will also require the approval of the Division. This includes purchase of computer output microfilm (COM) and computer assisted retrieval (CAR) systems/services and the purchases of all computer-related microfilm technology.

As amended, R.1983 d.241, effective June 20, 1983.

See: 15 N.J.R. 590(a), 15 N.J.R. 1019(b).

Added last sentence.

15:3-2.21 Expert assistance from Division of Archives and History concerning microfilm projects

The Division of Archives and History shall provide agencies with expert assistance and advice in establishment and operations of all approved microfilming projects. This included the establishment and operation of computer output microfilm (COM) and computer assisted retrieval (CAR) systems services and all computer-related microfilm technology.

As amended, R.1983 d.241, effective June 20, 1983.

See: 15 N.J.R. 590(a), 15 N.J.R. 1019(b).

Added last sentence.

15:3-2.22 Disposal of original State records after microfilming

(a) No original records may be destroyed after microfilming unless the agency obtains permission to do so from the Division. Form ED-6 Request and Authorization for Records Disposal, as set forth in N.J.A.C. 15:3-2.26 (Form ED 6) may be used for this purpose. Signed certification shall accompany the form stating that the listed records have been microfilmed in accordance with the rules and regulations of the subchapter and that with the creation of these microfilm copies, the original records have ceased to have sufficient value to warrant their retention.

(b) Authority to destroy the paper records may be withheld when inspection reveals improper photographic exposure, distorted or unreadable microfilm images, or evidence of loss of the integrity of the original files through inadequate identification, lack of proper indexing, or rearrangement of papers in such a manner that their original identity and usability is lost.

(c) See N.J.A.C. 15:3-2.7 (Audit of fiscal records) and 2.8 (Fiscal destruction of State records) for disposing of paper records.

15:3-2.23 Records retention schedule: Form AH-3

This form is available from the following address: Department of State, Division of Archives and Records Management, 2300 Stuyvesant Avenue, CN 300, Trenton, New Jersey 08625.

15:3-2.24 Instructions for preparing Form AH-3: Records Retention Schedule

(a) Form AH-3, Records Retention Schedule, shall be prepared in triplicate and typed in double space. The original and second copy shall be forwarded to the Head, Division of Archives and History. The third copy shall be retained by the requesting agency as a permanent record. Upon receipt and review by the Division, the schedule will then be submitted to the State Records Committee for approval. Supplemental Form AH-3a shall be used to continue items after first sheet has been filled. Information for the preparation of the schedule should be taken directly from Form RM-1, State Records Inventory and Appraisal Worksheet. Only active and continuing records should be scheduled. Nonrecurring or discontinued records should not be listed on this schedule.

1. Detailed instructions:

i. Address. After the word "from"—indicate department, board or commission or other governmental agency and subdivisions by division or bureau, section or unit and location.

ii. Item Number. Itemize each record in numerical sequence starting with number one, and so forth.

iii. Title of Record. Before typing Title of Record arrange items alphabetically, and by Division or Bureau. Use the title found on Form RM-1, State Records Inventory and Appraisal Worksheet.

iv. Retention Periods. Indicate retention period by the number of _____ years; _____ years after audit; permanent; periodic review; or the happening of some event. Do not indicate a period of less than one year unless absolutely necessary.

v. Department Head or Division Head Approval. Rules and regulations of the State Records Committee require the written approval of the schedule by the

department head or the division head before the Committee's approval is granted.

vi. State Records Committee Approval. Upon approval of the retention schedule, the Secretary shall affix his signature to the schedule and officially notify the requesting agency.

15:3-2.25 General records retention schedule

The State Records Committee will issue a general records retention schedule covering records common to all State agencies. The chairman of the State Records Committee will sign the retention schedule as the requestor.

15:3-2.26 Request and Authorization for Records Disposal: Form ED-6

This form is available from the following address:

Department of State, Division of Archives and Records Management, 2300 Stuyvesant Avenue, CN300, Trenton, New Jersey 08625.

15:3-2.27 Instructions for preparing Form ED-6: Request and Authorization for Records Disposal

(a) These instructions are issued for your guidance in the preparation of Form ED-6. Before preparing this form, please read the instructions carefully.

1. Purpose. Form ED-6 provides a procedure, approved by the State Records Committee, by which State officials may:

i. Request authorization for destruction of records in accordance with N.J.S.A. 47:3;

ii. Obtain permission from the Division of Archives and History for the destruction of records listed on an approved records retention schedule.

2. Preparation. This form is to be prepared in quadruplicate. The form is to be forwarded to the Division of Archives and History. Upon approval, the agency copy will be returned to the requesting agency, along with the follow-up copy. When destruction has been completed, destruction information shall be inserted on both the original and the follow-up copy and the follow-up copy then returned to the Division of Archives and History.

3. Detailed instructions:

i. Request Number: Each agency shall assign its own number to each request and the date upon which it is submitted.

ii. Authorization Number: No entry shall be made in this section except by the Division of Archives and History, which will insert an authorization number and date of approval.

iii. Form: When filling out this block, each agency shall identify itself and indicate the name of the organi-

zation unit responsible for the records. For example, this entry may read:

Health Benefits
Pensions
Department of Treasury
Trenton, New Jersey

iv. Item No. 1: In this column, numbers appearing on established records retention schedules should be inserted. In cases where records have no established schedule number, the items should be numbered in sequence beginning with number one.

v. Item No. 2: In this column, the titles and descriptions appearing on established records retention schedules should be inserted. In cases where items are not on an established schedule, the entry should explain in some detail the title and function of the record so that no misunderstanding may arise regarding the record itself or its use.

vi. Item No. 3: This column should include the dates, by year.

vii. Item No. 4: Volume should be measured in cubic feet bearing in mind that one file drawer, either letter or legal size is equal to two cubic feet. Fractions should be rounded-off. Do not use a measurement of less than one cubic foot.

viii. Item No. 5: The retention period should be the same as that contained in an established records retention schedule. In cases where items are not on a schedule, the requesting official should contact the Division of Archives and History for assistance in establishing a schedule.

ix. Item No. 6: Signature and title of the official primarily concerned with the record.

x. Item No. 7: Signature and title of officer approving the request which should be the head of the agency or one officially designated by him. Such person may not be the same person affixing his signature in (a)ix above.

xi. Item No. 8: Date records requested for disposal were audited and signature of State Auditor. This information will be supplied directly by the State Auditor.

xii. Item No. 9: Formal approval by the Division of Archives and History.

xiii. Item No. 10: The disposition action should give the date, method of disposal, and signature of the approving officer.

15:3-2.28 Updatable microfiche systems

(a) An updatable microfiche system is to be used only in special applications. Any agency considering using such a system should first contact the Supervisor, Microfilm Services Education to review the proposed applications. The updatable microfiche must meet the microfilm specifications as outlined in section N.J.A.C. 15:3-2.15 with the following additions:

1. Each microfiche must have the specified targets at the beginning and ending of each microfiche.
2. Each time a microfiche is updated a certificate of authenticity must be inserted at the end of the added documents.
3. If permanent records are to be microfilmed and the hard copy records destroyed the microfiche security copy must be on silver halide film and stored under archival conditions.
4. The expunging equipment on the updatable microfiche camera must be rendered inoperable or the hard copy of the microfilmed records may not be destroyed.

SUBCHAPTER 3. LOCAL RECORDS MANUAL

15:3-3.1 Destruction of local public records

No county or municipal agency shall destroy, sell or otherwise dispose of any public records, archives or printed public documents which are under its control or in its care or custody, whether or not they are in current use, without having first secured from the Division authorization to do so in accordance with the provision of the Destruction of Public Records Law.

15:3-3.2 Authorization for destruction of local public records

Each county or municipal agency shall secure from the Division, in the manner and form prescribed by it, authorization to destroy or otherwise dispose of public records in its possession which are considered by it to have no further administrative, legal, fiscal or historical value sufficient to warrant their continued retention. Records with no further administrative, legal or fiscal value, but that are considered to have historical significance can be deposited in an archival repository with the approval of the Division. The request for deposit must stipulate that any subsequent destruction must be in conformance with the provisions of the Destruction of Public Records Law. All applications for destruction or other disposition will be considered on an individual basis.

15:3-3.3 Secretary to State Records Committee

The Head of the Division of Archives and History shall act as secretary to the State Records Committee and shall be responsible for the proper recording of its proceedings.

15:3-3.4 Types of destruction authorized for local agencies

(a) Authorizations issued by the Division to agencies to destroy public records in their possession shall be of two major types:

1. Listed authorizations. Authorization to destroy a specific record series. Does not include any authorization to destroy a part or parts of the record series in the future.
2. Scheduled authorization. Authorization to destroy a specific record series for which a minimum retention period has been set. Such period must elapse before the record may be destroyed.

15:3-3.5 Procedure for requesting authorization for disposal of records

(a) Any county or municipal agency desiring authorization to destroy records in its possession shall, at least 30 days prior to the date proposed for the destruction of the records, submit to the Division a request for such authorization in the manner and form prescribed by the Division. The following procedure will be followed by the form prescribed by the Division. The following procedure will be followed by the appropriate parties in sequence in processing such authorizations:

1. The agency shall prepare Form ED-6, as set forth in N.J.A.C. 15:3-3.14 (Form ED-6) in quadruplicate; the agency shall send the completed form to the Division of Archives and History.
2. The Division of Archives and History reviews the Form ED-6 for completeness; and enters the date of authorization and the authorization number. The Division of Archives and History will approve, disapprove or amend the request for authorization as based upon the adopted schedule. If approved, authorization is signed by the Head of Division or his designee, as Secretary to the State Records Committee and if not approved, the request will be returned to the originating agency with an explanation of errors to be corrected.
3. The State Records Committee approves, disapproves or amends request for authorization if the item is not based upon the adopted schedules.
4. The Division of Archives and History files the State copy and returns the signed form to the agency.
5. The requesting agency examines the returned copy for any changes or omissions. When destruction has been completed, enters disposition action on original and follow-up copies and returns follow-up copy to the Division.

15:3-3.6 Audit of fiscal records of local agencies

No fiscal records may be disposed of until either they have been audited and the audit approved, or they are not required for future audit.

15:3-3.7 Physical destruction of local public records

When disposal is authorized, records must be destroyed in fact and should not be allowed to fall into unauthorized hands. Nonconfidential records may be sold for waste providing that they will eventually be processed to destroy their identity. Confidential records must be destroyed by burning, shredding or pulping, and a responsible official shall supervise such disposal or accompany the records, if they have to be transported, to see that they are in fact totally destroyed.

15:3-3.8 Use of record retention schedules for local public records

(a) Record retention schedules provide a uniform, effective and systematic control on records keeping and destruction. Through the use of such schedules agencies can insure that valuable records are preserved and that records of a temporary nature are disposed of when no longer needed. This, of course, will reduce the need for expensive filing equipment, and, in general, provide a more efficient filing system.

(b) In cooperation with county and municipal agencies, the Division has prepared a general Records Retention Schedule for Municipal and County Officers which has been approved by the State Records Committee as well as records retention schedules for specific county and municipal agencies. For copies contact the Division.

(c) The retention periods indicated are recommendations based upon experience, legal requirements in some instances, and the best information available as to the length of time various record series should be kept.

(d) Form ED-6, Request and Authorization for Records Disposal, as set forth in N.J.A.C. 15:3-3.14 (Form ED-6), must be submitted to the Division prior to the disposition of items listed on approved schedules.

(e) Any municipality having numerous records not included on schedules prepared by the Division may draft its own records retention schedules and submit them to the Division for approval by the State Records Committee.

15:3-3.9 General records retention schedule

The State Records Committee will issue a general records retention schedule covering records common to all local governments. The chairman of the State Records Committee will sign the schedule as the requestor.

15:3-3.10 Standards for microfilming local public records: Purpose

(a) These microfilm standards have been designed to promote uniformity and quality in the production of microfilm for State, county and municipal governments in New Jersey. All agencies engaged in microfilming government records must meet these standards to insure the following:

1. That microfilm copies contain all significant detail shown on the original record;
2. That microfilm copies are usable and legible reproductions of the original record;
3. That the microfilm reproduction will have the same acceptability and legal status as the original;
4. That the microfilm reproduction will meet standards of archival quality.

(b) Authority to establish microfilm standards: Concerning the photographic reproduction of public records, N.J.S.A. 47:3-26 provides that: "The Division of Archives and History in the Department of State, with the approval of the State Records Committee established by N.J.A.C. 15:3-3.6, shall formulate standards and procedures for the photographing, microphotographing and microfilming of public records and for the preservation, examination and use of such records, including the indexing and arrangement thereof, for convenient reference purposes."

15:3-3.11 Notice to Division of Archives and History of intention to microfilm local public records

If, after considering all of the above factors, a particular record series is selected to be microfilmed, notice should be given to the Division of Archives and History of such intention specifying the record series involved. Such notification will give the Division's technical staff an opportunity to make constructive recommendation should such be necessary. This will also insure proper conformance with the statute.

15:3-3.12 Microfilm standards

(a) The following standards must be met before permission to destroy the originals is granted:

1. Since many factors are involved in the use of microphotography for records management, a careful analysis of each record group should be made before microfilming. Following are some of the most important factors in determining which records are to be filmed.

- i. Retention period and volume are perhaps the most important aspects to consider. Since microfilming is not inexpensive, only records in large volume with retention periods of seven years or longer should be considered. Records of shorter retention but of such volume or use that storage becomes a problem would be an exception to this rule.

- ii. Rate and reference to records: Records with high reference rates or unusual methods of indexing may be poor subjects for microfilming.

- iii. Physical make-up of the records series: Size, color, legibility and condition can affect the cost and quality of the microfilm.

2. When converting documents to microfilm, certain measures must be followed to insure quality, legality and access to information contained on the microfilm.

- i. The records to be filmed must be arranged, identified and indexed to insure reasonable ease in locating individual documents.

- ii. All roll film must have the following targets at the beginning of the reel: density targets; National Bureau of Standards' resolution target; certificate of authenticity; title target containing title of records filmed, filmed start file and end file (if known), reduction ratio, camera type, film type, department or agency having custody of the records.

- iii. All roll film will have the following targets at the end of each reel: density targets; National Bureau of Standards' resolution target; and operator's certificate. Should any reel(s) lack an operator's certificate an agency may, upon prior notification and approval of the supervisor of microfilm services, splice a certificate on the end of the reel(s). This will be permitted only in those cases where the operator who actually filmed the documents on the reel(s) signs the certificate. Splicing must be done in accordance with standards set forth in 4vii below.

- iv. Where applicable, roll film should contain retake and correction targets.

3. Examples of the above targets are available from the Division of Archives and History.

4. The master negative is the original reel of film produced.

- i. Only a safe-base, permanent record film with a gelatin-silver halide emulsion, developed to a black and white image and meeting the standards of the American National Standards Institute: PH 1.28, PH 1.29, and PH 1.41, will be used for copies of records.

- ii. For most documents, optimum density should read 1.0 to 1.20 for original first generation camera film. Acceptable standards will fall between a minimum of 0.80 and a maximum of 1.35. The supervisor must use judgment to determine the most suitable density within this range for the documents being filmed. To permit a more accurate reproduction of the original roll, each image should maintain, as far as possible, a specific density throughout the roll. Since the color of the original documents will affect the density of the image, and not all documents in a particular record series may have the same color, an average density aim point should be chosen.

iii. A density minimum reading taken from the non-image or clear area of the film will not exceed a reading of 0.12 or manufacturer's specifications using automatic retrieval systems. Readings should be made close to the center of the film strip to avoid edge fog interference. (Note: Both background density and D-min density must be taken with a transmission densitometer.)

iv. A microscope having a magnification of 50X to 150X with achromatic objectives must be used to read the resolution from the National Bureau of Standards' microcopy resolution test chart. The line direction method will be used in making the determination of resolution. A minimum resolution of 80 lines per millimeter on rotary cameras and 110 lines per millimeter on planetary cameras must be obtained on first generation camera film.

v. Thiosulfate residual content should be tested at least once a month. Only the methylene blue test method will be considered sufficiently reliable to determine archival quality. American National Standards Institute: PH 1.28 of 1973 states the following levels of thiosulfate concentration that must be observed for archival microfilm:

"Limits for Thiosulfate Concentration"

Classification of Films according to graininess of developed image	Maximum Permissible concentration of Thiosulfate ₂ Ion, S ₂ O ₃ in micrograms per cm
Class 1 Fine-grain copying, duplication and printing films (includes ordinary microfilms)	0.7
Class 2 Medium-grain continuous-tone camera films (negative and reversal) and coarse-grain X-ray films	2

vi. A target indicating the beginning and end of retakes must be used. Retakes may be placed at the beginning or end of a roll of film and, when possible, in sequence. When computer-assisted or random retrieval methods are used, retakes may be placed on the following roll without retake targets. Placement of retakes should be decided before the start of filming and remain consistent.

vii. Splices should be kept to a minimum: no more than four splices per roll will be accepted. When splicing images in proper sequence within the roll, only heat-weld splicing will be considered archival. Splicing tapes may be used for splices at the beginning and end of a roll.

viii. All film will be processed to meet National Bureau of Standards' PH 4.8. Dry chemical processing will not be acceptable. Film failing to meet the specified limits for thiosulfate concentration will not be acceptable.

ix. All film must be inspected for proper indexing, density, resolution and for residual thiosulfate. Film should be free of scratches, abrasions, blemishes or other defects.

5. The original roll of film must be maintained in archival storage when the records contain information essential to the continuity of governmental operations and the protection of the rights of individuals. Any irreplaceable records having a retention period classified as permanent should be included in this category. When film is to be cut for jackets or aperture cards, the original roll may be used provided an uncut duplicate roll of silver halide film has been prepared for storage. American National Standards Institute requires film specifications for archival storage PH 1.28, PH 1.25 and PH 1.41. The following specifications must be followed for archival storage:

i. The relative humidity of the storage vault or room must not exceed 40 percent.

ii. Temperatures must not exceed 70 degrees Fahrenheit.

iii. Rapid and wide-range cycling of humidity or temperature must be avoided and in no instance exceed plus and/or minus five percent in a 24 hour period.

iv. No rubber bands, tape or other foreign objects may be used to hold film on the reels.

v. The materials used for storage should not ignite, decompose, or develop reactive fumes or vapors.

vi. Film must be stored in a closed container of such inert material as metal or plastic.

vii. At every two year intervals, a one percent random sample must be inspected. For each biennial inspection, a different lot sample should be chosen with some samples of the previous lot reinspected. Any sign of deterioration noted must be reported to the Division of Archives and History. Look for signs of peeling emulsion, brittleness, molding and blemishes.

6. Methods of duplication include the use of silver halide, diazo and vesicular film.

i. Silver halide duplication film is the only duplicating film considered suitable for producing microfilm of archival quality. Silver halide film must be used when producing copies of the original master negative intended for archival storage. Although the cost is high compared to other types of duplicating film, both negative and positive copies can be produced.

ii. Diazo duplication film is not considered archival in quality and must be used to produce master-negative copies of originals. A diazo copy will maintain the same polarity as the original master (negative to negative; positive to positive). Unexposed diazo film has a very short shelf life unless refrigerated. After exposure and processing, diazo film has an estimated usability of 20 years under ideal storage conditions. Diazo film is less expensive than silver halide film and very durable.

iii. Vesicular duplication film is not archival in quality and must not be used to produce master-negative film. Vesicular film is a reversing process film—the polarity of the copy will be reversed to that of the original master (positive to negative, negative to positive) through exposure and processing by heat. The shelf life of vesicular film is considerably longer than diazo film and the image is potentially more permanent. However, when not fully exposed, vesicular film may develop eyelegible, cosmetic blemishes. Vesicular duplication film may also be considered suitable for distribution or working copies when archival quality is not a factor.

As amended, R.1983 d.241, effective June 20, 1983.

See: 15 N.J.R. 590(a), 15 N.J.R. 1019(b).

In (a)2iii, added operator's certificate requirement.

15:3-3.13 Service contract specifications and technical assistance

(a) A county or municipality may wish to have its microfilming done by a private company on a service contract basis. In considering any such arrangements, the contracting agency should be cognizant of the following points:

1. All contracts must meet the microfilm specifications established by the State Records Committee. This includes microfilm/fiche produced or utilized in computer-related microfilm technology.

2. The State Microfilm Supervisor will serve as a consultant to any county or municipality requesting such consultation, and/or will, upon request, review the microfilm service contracts prepared by local agencies.

As amended, R.1983 d.241, effective June 20, 1983.

See: 15 N.J.R. 590(a), 15 N.J.R. 1019(b).

Added last sentence to (a)1.

15:3-3.14 Disposal of original local public records after microfilming

(a) No original records may be destroyed after microfilming unless the agency obtains permission to do so from the Bureau.

(b) Form ED-6 (Request and Authorization for Records Disposal) as set forth in N.J.A.C. 15:3-3.15 (Form ED-6) may be used for this purpose. Signed certification shall accompany the form stating that the listed records have been microfilmed in accordance with the rules and regulations of this subchapter and that with the creation of these microfilm copies, the original records have ceased to have sufficient value to warrant their retention.

15:3-3.15 Request and Authorization for Records Disposal: Form ED-6

This form is available from the following address:

Department of State

Division of Archives and Record Management

CN300 2300 Stuyvesant Avenue

Trenton, New Jersey 08625

15:3-3.16 Instructions for preparing Form ED-6 Request and Authorization for Records Disposal

(a) These instructions are issued for your guidance in the preparation of Form ED-6. Before preparing this form, please read the instructions carefully.

1. Purpose: Form ED-6 provides a procedure, approved by the State Records Committee, by which State, county and municipal officials may:

i. Request authorization for the destruction of records in accordance with N.J.S.A. 47:3-15;

ii. Obtain permission from the Division of Archives and History for the destruction of records listed on an approved records retention schedule.

2. Preparation: This form is to be prepared in quadruplicate. The form is to be forwarded to the Division of Archives and History: Upon approval the agency copy will be returned to the requesting agency, along with the follow-up copy. When destruction has been completed, destruction information shall be inserted on both the original and the follow-up copy and the follow-up copy then returned to the Bureau of Archives and History.

3. Detailed instructions:

i. Request Number: Each agency shall assign its own number to each request and the date upon which it is submitted.

ii. Authorization Number: No entry shall be made in this section except by the Division of Archives and History which will insert an authorization number and date of approval.

iii. Form. When filling out this block each agency shall identify and indicate the name of the organization unit responsible for the records. For example, this entry may read:

(1) Surrogate's Office, Camden County, Market and Federal 6th Streets, Camden, New Jersey;

(2) City Clerk's Office, City of Newark, City Hall, Newark, New Jersey.

iv. Item No. 1: In this column numbers appearing on established records retention schedules should be inserted. In cases where records have no established schedule number, the items should be numbered in sequence beginning with number 1.

v. Item No. 2: In this column the titles and descriptions appearing on established records retention schedules should be inserted. In cases where no established schedule exists the entry should explain in some detail the title and function of the record so that no misunderstanding may arise regarding the record itself or its use.

vi. Item No. 3: This column should include the inclusive dates, by year.

vii. Item No. 4: Volume should be measured in cubic feet bearing in mind that one file drawer, either letter or legal size, equals two cubic feet. Fractions should be rounded-off. Do not use a measurement of less than one cubic foot.

viii. Item No. 5: The retention period should be the same as that contained in an established records retention schedule. In cases where no schedule exists the requesting official should contact the Division of Archives and history for assistance in establishing a schedule.

ix. Item No. 6: Signature and title of official primarily concerned with the record.

x. Item No. 7: Signature and title of officer approving the request which should be the head of the agency or one officially designated by him. Such person may not be the same person affixing his signature in (a)ix above.

xi. Item No. 8: Date records requested for disposal were audited and signature of auditor.

xii. Item No. 9: Formal approval by the Division of Archives and History.

xiii. Item No. 10: The disposition action should give the date, method of disposal and signature of the approving officer.

15:3-3.17 Updatable microfiche systems

(a) An updatable microfiche system is to be used only in special applications. Any agency considering using such a system should first contact the Supervisor of Microfilm Services, Education to review the proposed application. The updatable microfiche must meet the microfilm specifications as outlined in N.J.A.C. 15:3-3.11 with the following additions.

1. Each microfiche must have the specified targets at the beginning and ending of each microfiche.

2. Each time a microfiche is updated a certificate of authenticity must be inserted at the end of the added documents.

3. If permanent records are to be microfilmed and the hard copy records destroyed, the microfiche security copy must be on silver halide film and stored under archival conditions.

4. The expunging equipment on the updatable microfiche camera must be rendered inoperable or the hard copy of the microfilmed records may not be destroyed.