

New Jersey Department of the Treasury
Records Management Services

Preview of Conceptual Frameworks for:

Electronic Mail Retention/Disposition; and
Electronic File Plan Programs

(Based on Circular Letter 14-12 DORES/OIT)

Review of Existing Policy Framework for the State of New Jersey

Circular Letter 14-12 DORES/OIT ENTERPRISE ELECTRONIC MAIL RETENTION AND DISPOSITION FRAMEWORK (For State of New Jersey Executive Branch Agencies)

Broad-band Seven Year Retention Period (As a starting point for approaching e-mail retention)

Six Foundational Elements:

- Acceptable use policies covering e-mail and the Internet
- Litigation hold process
- OPRA response/tracking process
- E-mail vaulting/journaling platform combined with central management of end-user e-mail boxes*
- System security*
 - Goals:
 - ✓ 1) Prevent unauthorized or unintended access, use, distribution, modification, or destruction of e-mail records
 - ✓ 2) Assure message authenticity, integrity and retrievability/usability over time
- E-mail back-up/recovery and disaster recovery/continuity of operations programs*

*The State Enterprise Messaging Solution is designed to provide the requisite functions.

Certificate of Participation (New Jersey Executive Branch Agencies)

Adoption of Electronic Mail Framework

Indicates Agency Has:

- Implemented the 6 foundational elements covered in the previous slide
- Is adopting the Enterprise Electronic Mail Retention and Disposition program set forth in Circular Letter 14-12 DORES/OIT
- Developed an Electronic File Plan as the basis for the maintenance of electronic records with retention periods exceeding the broadband period (7 years)

Other Key Considerations

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

Annual e-mail system sustainability review

Example Platform -- New Jersey Department of the Treasury

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

*Treasury is likely to settle on either the Archive or Journal as its platform for immutable copies of Treasury e-mail and not continue with 2 platforms.

Excerpt from the New Jersey Department of the Treasury's Draft Electronic File Plan (Will Remain a Work in Progress)

Agency: Department of the Treasury (All Agencies Within)

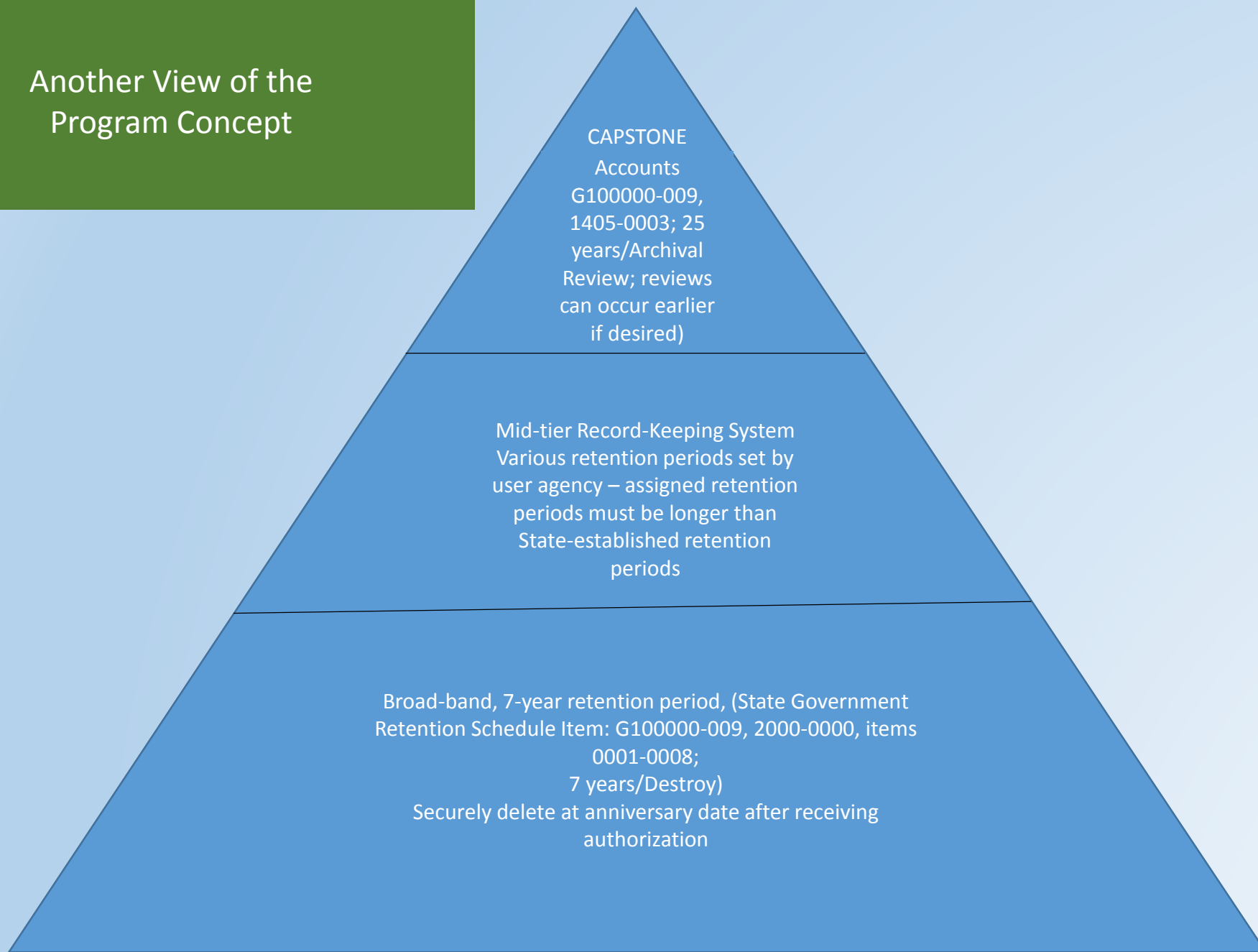
Data Systems			Use Classification			
Division / Agency Name	System	Description	General Administrative	Record-Keeping Source (Used as Original Records)	Confidential / Sensitive	Retention Policy
DPM&C	Investors Tracking Database	This is a database of investors interested in the purchase of state properties. The primary use of the application is to track qualified prospective investors with specific assets for sale.	x			Supplemental Information Sources, Finding Aids and Indexes -- 2200-0000

Covers records maintained in various content stores -- production databases, file shares, enterprise content management systems, etc.

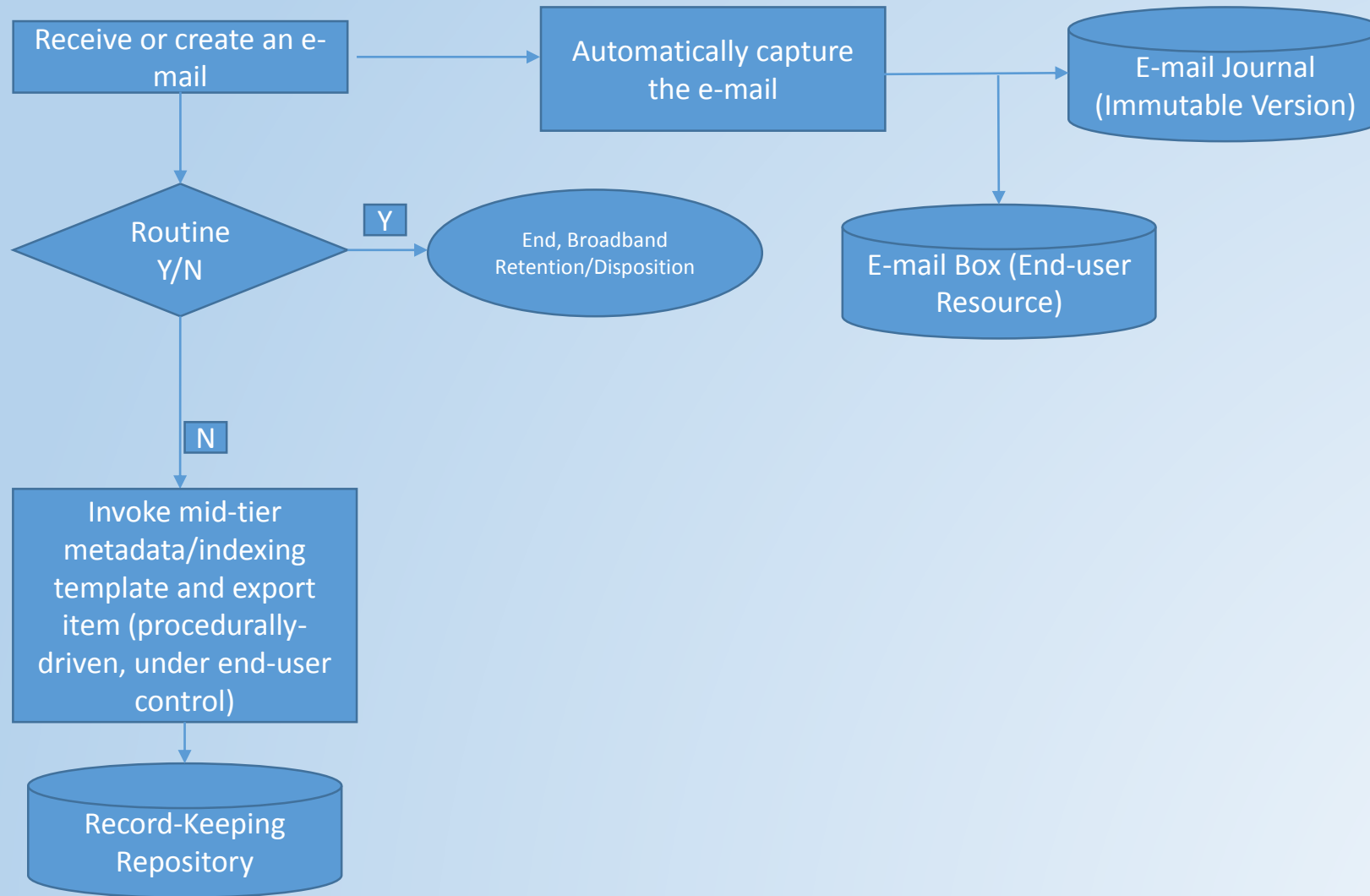
Conceptual View
of Electronic
Mail and Record-
keeping
System
Retention/
Disposition
Program

Records Category	Retention Schedule Reference	Role(s)	Management Method	Retention Period	Content Storage Resource	Disposition
Policy-related	G-1000000-904-1405-0003	CAPSTONE Accounts Roles-based, TBD by Top Management	Automated Hold Policy Combined with Selective Movement of E-mail	25 Years with Request for Archival Review Following Lapse of the Retention Period (Reviews may occur earlier at the request of the Archives)	Record-keeping System	Archival Review Depending upon outcomes of review, accession into Archives with secure erasure from all content resources storage areas following successful accessioning, or if Archives declines to accession, destroy via secure erasure from all content resources storage areas)
Mid-Tier -- Reference Value (Legal, Research, Policy, Contractual, etc.)	Various	All Employees Except CAPSTONE Role	Manual (Employee Discretion)	Determined by the Management of Each Division (Must be greater than 7 year email broad band or individual retention periods set for other files)	Record-keeping System	Agency Review (Copy items to newly initialized file(s) if there is residual research value or destroy via secure erasure, depending upon outcomes of review). Also provide for Archival Review if needed
Broad-band	G100000-009, 2000-0000; 7 years/Destroy	All Employees Except CAPSTONE Role	Automated Policy	7 Years	Departmental E-mail System, E-mail Archive and Electronic Mail Journal	Destroy by securely erasing from all content resources storage areas via secure erasure

Another View of the Program Concept

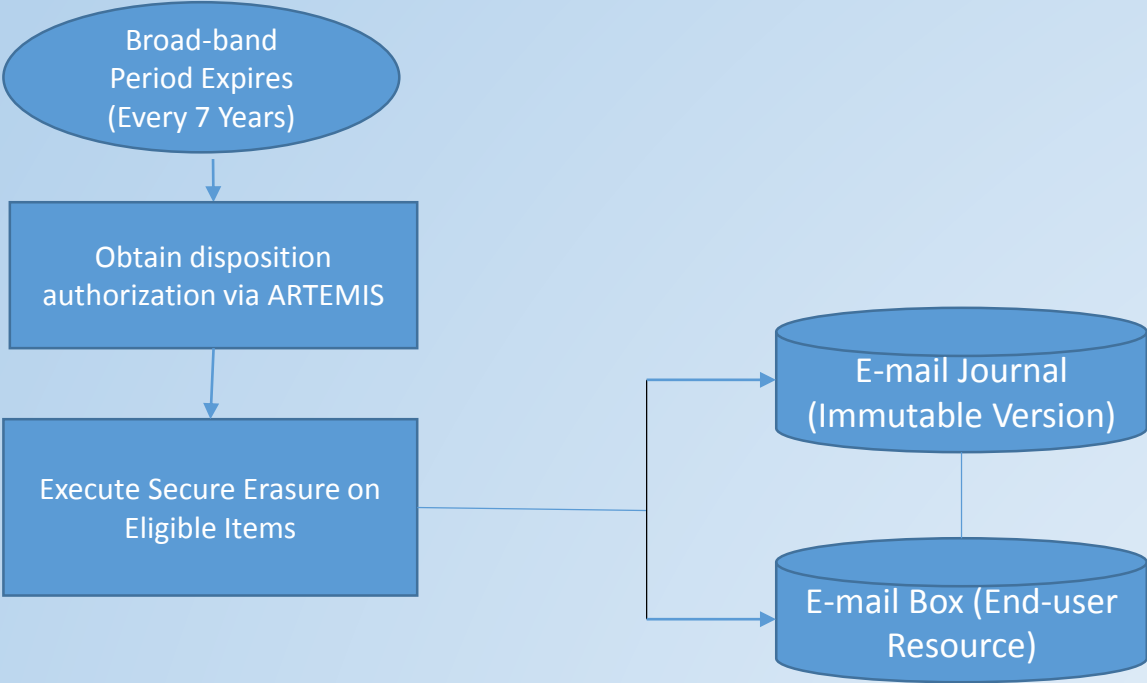


Receipt/Retention of E-mail

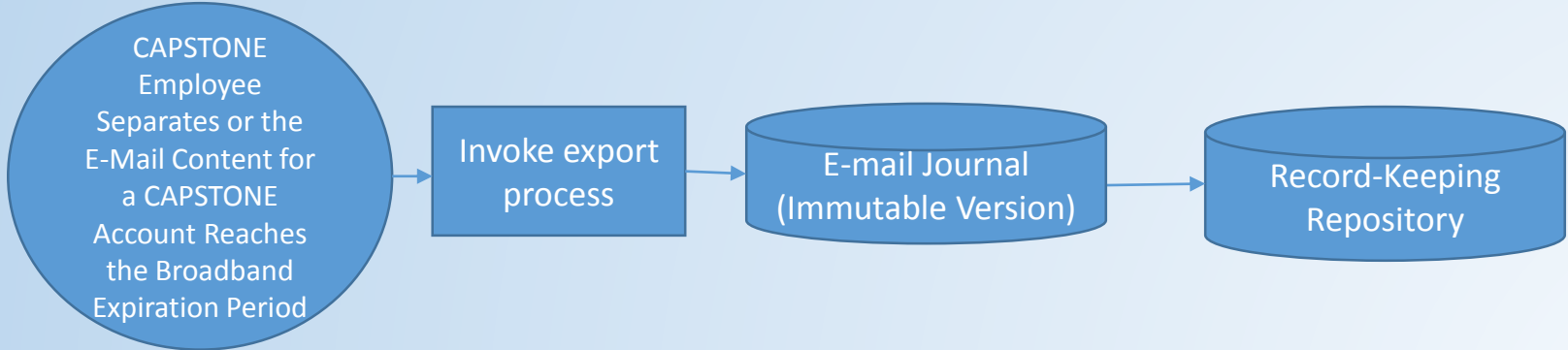


Routine and Intermediate Disposition Cycles For Broad-band and CAPSTONE E-mail

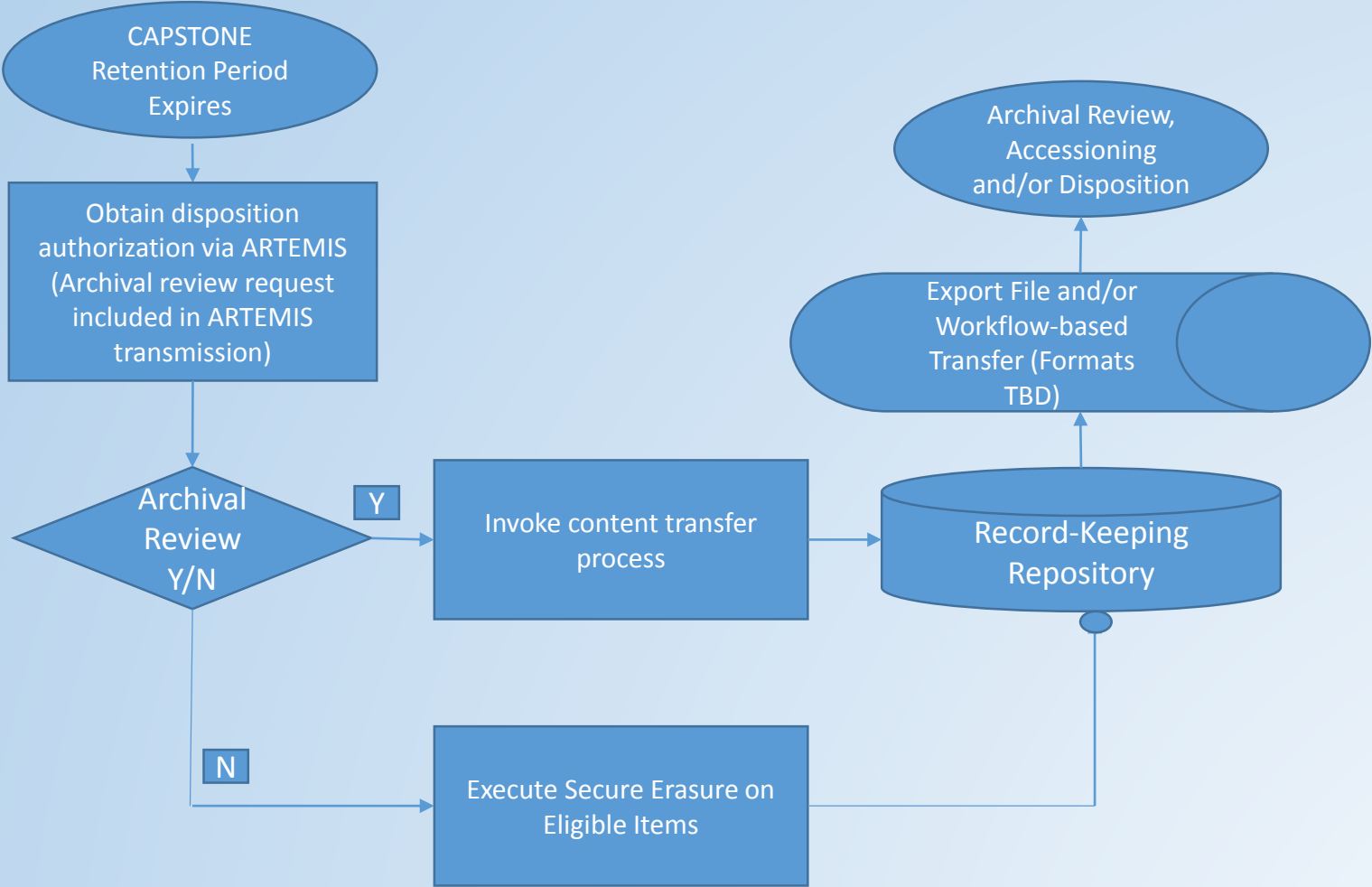
Broad-band



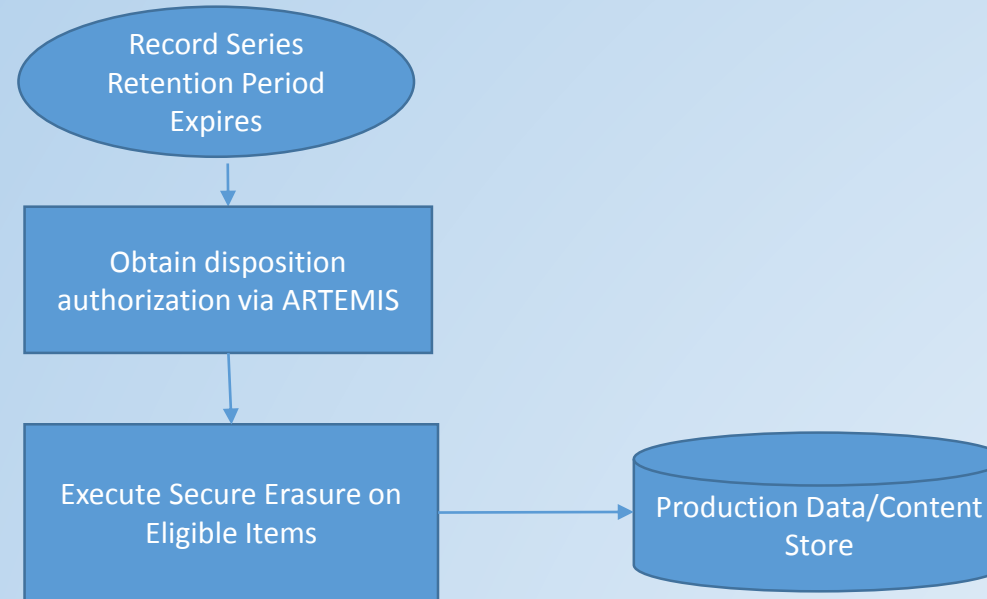
CAPSTONE



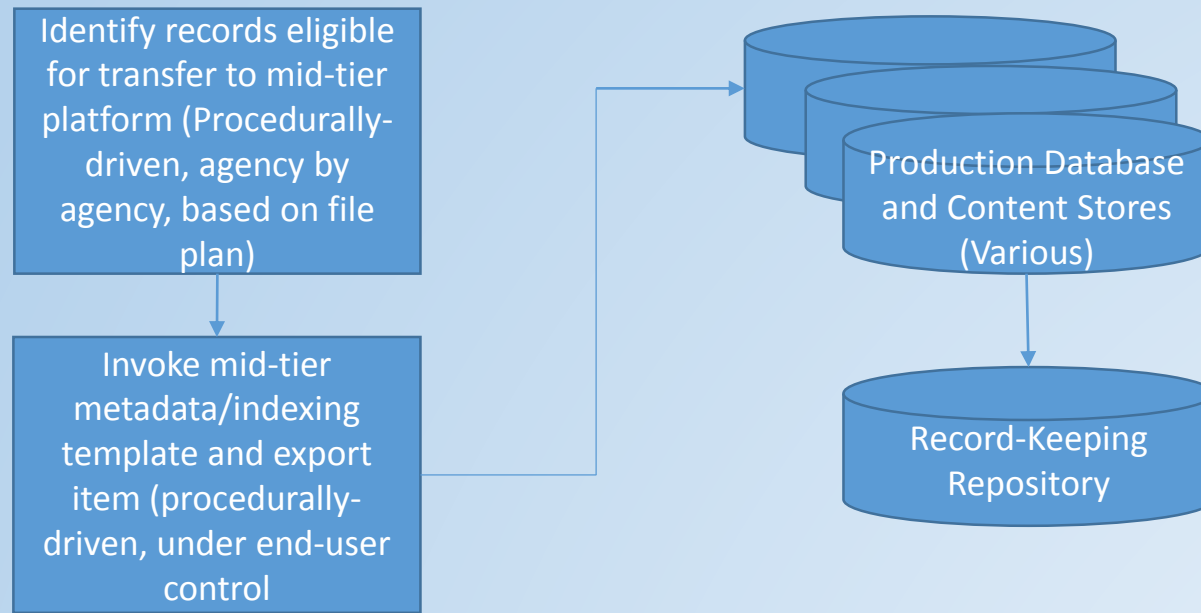
Final Disposition Cycle For CAPSTONE E-mail



Routine Disposition Cycle For Electronic Records on the File Plan



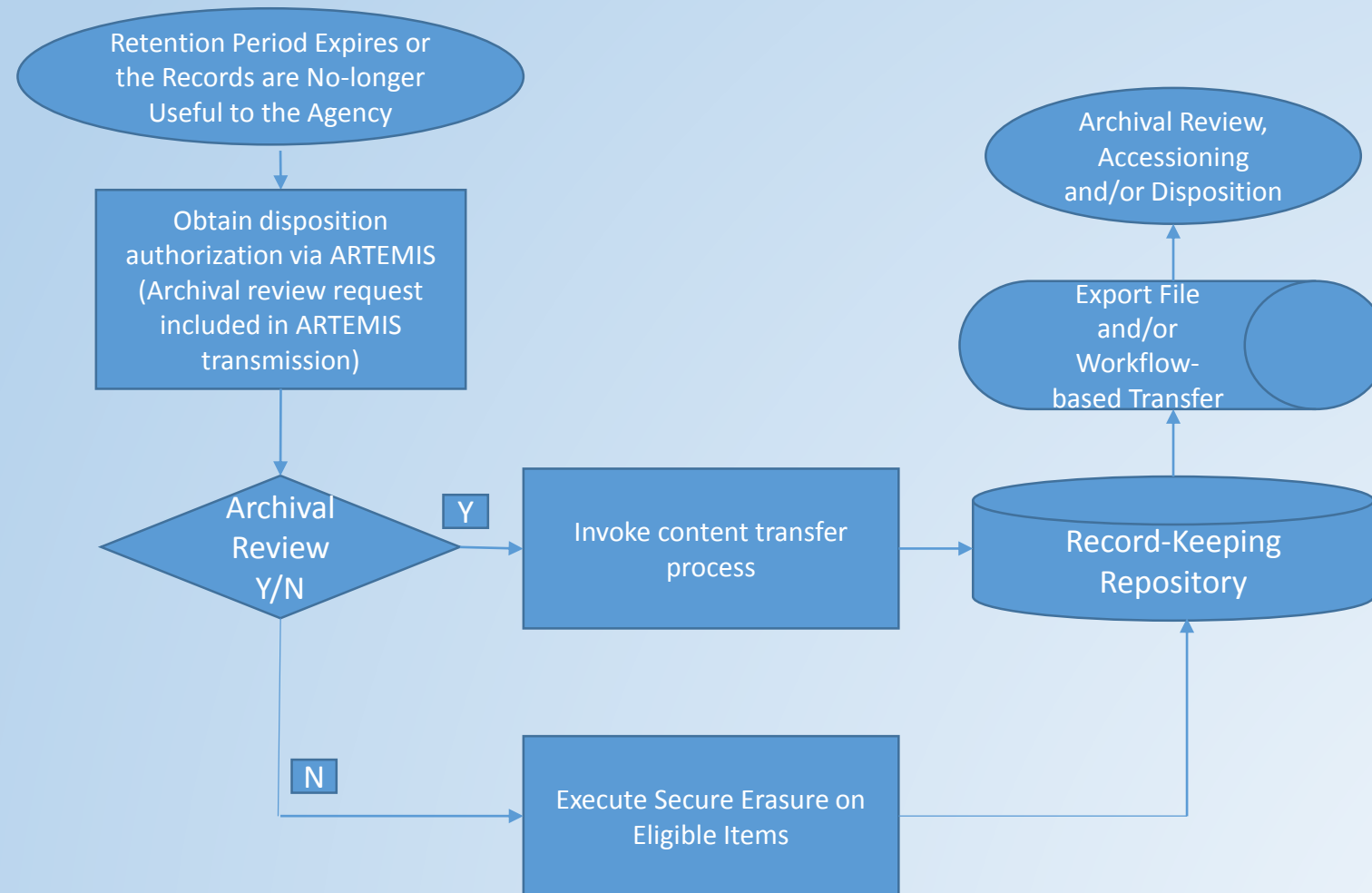
Maintenance Cycle for Selected Electronic Records with Long-Term or Permanent Value



Some Considerations:

- File format compatibility
- Storage and processing capacities of the record-keeping system
- Sequencing (adding by Increments)
- Transaction DBMS and data warehouses/marts (snaps shots?)
- Retention/disposition on production platform
- Social media content (TBD)
- Linking record-system with selected content/data stores via federated or universal search tools (create virtual, cross platform research hubs that allow end-users to search and retrieve electronic records from both the record-keeping system and external systems, using a search tool that resides on the records-keeping system)

Final Disposition Cycle for Electronic Records with Long-Term or Permanent Value



Questions?

Thank You!