

UNIVERSITY POLICY

SUBJECT:	ADMINISTRATION	TITLE:	RECORDS MANAGEMENT		
CATEGORY: Check One	Board of Trustees <input checked="" type="checkbox"/>	Presidential <input type="checkbox"/>	Functional <input type="checkbox"/>	School/Unit <input type="checkbox"/>	
Responsible Executive:	Executive Vice President of Academic and Clinical Affairs		Responsible Office:	Ethics and Compliance	
CODING:	00-01-10-50:00	ADOPTED:	12/01/88	AMENDED:	04/15/08
				LAST REVIEWED: 04/15/08	

I. PURPOSE

To establish UMDNJ policy for the administration of the Records Management Program and to develop procedures for the creation, use, retention, storage, and destruction of the University's records to ensure sound records management practices and comply with all applicable State and Federal retention laws and regulations and in accordance with N.J.S.A. Title 47, Public Records, the Department of State, Division of Archives and Records Management (DARM), and N.J.A.C. 15:3 et seq.

II. ACCOUNTABILITY

Under the direction of the President, the Executive Vice President for Academic and Clinical Affairs, the Senior Vice Presidents, Deans, Vice Presidents and Presidents/CEOs of the Healthcare Units shall ensure compliance with this policy.

III. APPLICABILITY

This policy applies to all public records created or received at the University schools, hospitals and units.

IV. DEFINITIONS

- A. "Government Entity" - any officer, commission, agency or authority of the State or of any political subdivision thereof, including subordinate boards thereof.
- B. "Public Record" - A public record 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;
 - 1. made or is required by law to be received for filing, indexing, or reproducing by a government entity in the course of entity business, or
 - 2. received and/or retained by a government entity in the course of entity operations.

Records scanned and stored under the State of New Jersey, State Records Committee scanning certification are subject to this policy. Records kept in the library special collections are subject to this policy. Records access guidelines outlined in the Federal laws listed below supersede this policy and other State policies:

Health Insurance Portability and Accountability Act (HIPAA)

Family Educational Rights and Privacy Act (FERPA),

- C. "Nonrecord Material" - Material that is not included in the definition of a public record. Examples of nonrecord material include; rough notes used to collect or compile data after the data has been included in a record; answer pads for a telephone or other informal notes; stenographers' notes

after the information contained therein has been transcribed; non-UMDNJ brochures, newsletters, magazines and newspapers, except those portions of newspapers retained as evidence of publication; personal notes which are not prepared for transacting University or government business; materials pertaining solely to an individual's private affairs; extra copies and duplicates, the use of which is temporary; information notes that do not represent significant basic steps in the preparation of the public record copies; unofficial copies of documents kept only for convenience or reference; extra identical copies of a public record; stocks of printed or reproduced documents kept for supply purposes where file copies have been retained for record purposes; unused forms; blank forms; and other material of similar nature. Whenever doubt arises whether certain papers are nonrecord materials, it should be presumed that they are records. Material that is not included in the definition of a public record may be disposed of at the discretion of the custodian or the creator of the document, as applicable, subject to any other UMDNJ policy.

- D. "Cubic Feet of Destroyed Records" - The New Jersey Department of State, DARM defines 1 cubic foot as the size of a box of copier paper, and a file draw of records will equal 2 cubic feet.

V. REFERENCES

- A. State of New Jersey State Records Committee Certificate of Compliance No. 04071501-NM
- B. N.J.S.A. Title 47, Public Records
- C. N.J.A.C. 15:3 et seq.
- D. State of New Jersey State General Records Retention Schedule
- E. State of New Jersey Four Year College Record Retention Schedule
- F. State of New Jersey Health Care Facilities Retention Schedule
- G. HIPAA
- H. FERPA
- I. Access to University Records [00-01-10-52:00](#)

VI. POLICY

- A. The University will create and maintain complete and accurate records. These records will be managed in an orderly manner that facilitates timely retrieval when necessary. Records stored off site must be stored at a UMDNJ approved facility.
- B. The President/CEO of each unit, including Central Administration, and the Dean of each school will appoint a Records Liaison. The Records Liaison will assist the University's Custodian of Records in implementing the Records Management policy, and will oversee the implementation and maintenance of the policy within each school or unit.
- C. Records will be retained and destroyed in accordance with all appropriate State and Federal laws and regulations and this policy, including the records retention schedules issued by DARM.
- D. Upon satisfaction of the required period of retention, public records may be destroyed only with prior written authorization from DARM.
- E. UMDNJ schools and units must obtain and retain a completed Request and Authorization for Records Disposal form, approved by DARM, prior to the destruction of public records. The form must be completed and signed by the school, hospital or unit's Record Liaison, and the University's Records Custodian to implement this policy, prior to submitting the form to DARM.
- F. Destruction/disposal of records with protected health information, personal financial or other personal identifying information, intellectual or other proprietary rights shall be accomplished by shredding, incineration or other comparable fashion ensuring that the record cannot be recovered or reconstructed. The disposition of such destruction must be documented on the Request and

Authorization for Records Disposal form.

- G. Email may be a public record and must be retained in compliance with all applicable State and Federal retention laws and regulations and in accordance with N.J.S.A., Title 47, Public Records, DARM, and N.J.A.C. 15:3 et seq.
- H. Electronic records, including but not limited to electronic medical, human resources, and student records, shall be created using the UMDNJ standard software. Mainframes, servers, Personal Computers (PCs), and other devices containing the electronic files must adhere to UMDNJ standards and procedures for data security, business continuity, and disaster recovery. All other University procedures, timelines, and requirements for records management and retention shall apply to electronic records.
- I. Microfilming and Imaging projects must be certified by DARM in accordance with state regulations NJAC 15:3 and annually renewed.
- J. The Vice President of Information Systems and Technology shall be responsible for ensuring that the State of New Jersey State Records Committee Public Records Image Processing System Certificate of Compliance is current.
- K. Records which contain confidential and/or proprietary information will be maintained in a secure environment with authorized access, protection against damage or destruction by fire, smoke, water or other means, and meet all State and Federal requirements.
- L. All public records are the property of UMDNJ and no employee has any personal or property right to such records regardless of his or her position or authorship.
- M. The unauthorized destruction, removal, or use of University records is prohibited.
- N. The falsification or inappropriate alteration of any public record is prohibited.
- O. UMDNJ Office of Ethics and Compliance will be responsible for performing periodic reviews of selected units and departments of the University to ensure compliance with this policy. These reviews must occur no less frequently than on an annual basis.
- P. The Vice President/Chief Ethics and Compliance Officer, through the Director of Ethics Programs, will develop and provide general training to the University workforce regarding record management policy, procedures and regulatory requirements.

VII. EXHIBITS

- A. State of New Jersey Records Committee Certificate of Compliance No. 04071501
- B. Request and Authorization For Records Disposal Form

By Direction of the President:

Executive Vice President for Academic and Clinical Affairs

Senior Vice President for Administration

EXHIBIT A

State of New Jersey State Records Committee Certificate of Compliance No. 04071501

Certificate No. 04071501-NM

**STATE OF NEW JERSEY
STATE RECORDS COMMITTEE**

**PUBLIC RECORDS IMAGE PROCESSING SYSTEM
CERTIFICATE OF COMPLIANCE**

This certifies that the
State Records Committee
has determined that the public records image processing system
submitted pursuant to P.L.1994, c.140 by the

**UNIVERSITY OF MEDICINE AND DENTISTRY
OF NEW JERSEY**

for

MEDICAL ADMINISTRATIVE AND FINANCIAL RECORDS

for consideration by the State Records Committee
is in compliance with all specifications and standards as set forth in
N.J.A.C. 15:3-4, Image Processing of Public Records
and has met the requirements for certification set forth in
N.J.A.C. 15:3-5, Certification of Image Processing Systems
and has therefore authorized the issuance of this
Certificate of Compliance.

This certification has no microfilm backup component,
therefore it is understood that the aforementioned agency
must retain, long term (ten (10) year retention or greater) and
permanent original records as backup up to
the image processing system.



Karl J. Niederer
Secretary, State Records Committee

19 August 2004



