

CITY OF ANDERSON

ELECTRONIC RECORD RETENTION POLICY

Electronic records include all documents, applications, databases, spreadsheets, email and other materials created on a computer.

I. Records Management

Electronic records of the City of Anderson are subject to the same controls and legal requirements as paper documents and information on other media.

A. Communications generated through these systems are not City records retained in the ordinary course of business and subject to record retention policies unless the communication has been printed and retained or downloaded into a local file folder and specifically recognized as a City record, *i.e.*, record copy (original).

B. If a paper version of documents exists, said paper version will constitute the record copy of said document. Any duplicate or draft versions of said document will not be retained. If a document generated on a computer is the record copy, the electronic record copy will be retained pursuant to the City of Anderson's Record Retention Schedule. The location and type of media (paper or electronic) of each record for the City can be identified on the City of Anderson's Record Retention Schedule.

C. If the electronic record is going to be used as the record copy (original) of a document, electronic records must be kept pursuant to routine procedures designed to ensure their accuracy.

D. Retention periods for the record copy (original) of an electronic record are contained on the City of Anderson's Record Retention Schedule.

E. Erase drafts, notes and memoranda not retained in the original course of business on a regular basis from all computer media.

II. Disposable Media Policy

All disposable media and computer hard drives must be destroyed by the Information Technology Division when they are no longer usable. Disposable media includes CD's, DVD's, floppy discs, flash drives, external hard drives and any other type of device used to store or record electronic records.

III. Operations

As an employee of the City of Anderson, you may routinely create, use, and manage information electronically in your daily work as you use computers to send email, create spreadsheets, publish webpages, manage databases, and create other electronic materials. Because you work for a municipality, state laws mandate that you treat that information as official government records.

To ensure compliance with laws related to records retention, the following operational guidelines are being established for continuity between electronic users.

A. Standardized operational procedures have been established within each department to ensure all employees can find information quickly and easily at each other's workstations.

B. Store all files in a designated folder on networked drives; these are backed up nightly and are accessible to other department employees as well as temporary employees during illness or vacation.

C. Sign off, and turn off your computer when not in use, especially at night. This will prevent unauthorized access to the City's network.

D. The use of portable electronic devices is prohibited without specific permission of the IT Division for the City.

E. Recommended operational procedure:

1. Electronic Documents

Step 1: Develop standard directory and file name per department or user; example, all documents must be placed in a folder with dedicated subfolders within.

Step 2: Save files on the appropriate drive and directory for you or your department.

Step 3: Type the file location at the end of the document in a very small font. This is an automatic function in your word processor (insert Autotext, file name and path).

Step 4: Backup. The IT Department will backup all computer systems on a nightly basis. Backup information is for disaster recovery only and is accessible for one month. Only information contained on the network is backed up.

Step 5: Deletion. Computerized records must be deleted in accordance with the adopted retention schedule. (See Retention Schedule attached.)

2. Email

In compliance with the City of Anderson's Document Retention Policy, beginning July 1, 2009, IT Infrastructure will automatically filter and purge Outlook Mailboxes at intervals specified below:

- All emails located in the **Deleted Items** folder will be automatically deleted after 30 days of being moved to the **Deleted Items** folder.
- All emails located in the **Inbox** and **Sent Items** folders that have been there for more than **180 days** will be moved to the **Deleted Items** folder, and will be automatically deleted after 30 days.
- Emails located in user-created subfolders under **Inbox** or **Sent Items** will be retained indefinitely.

To ensure users do not accidentally lose email messages as a result of this auto-delete process, this procedure explains how to set up and move messages into user-created subfolders which are exempt from deletion.

This policy applies to all IT resources and data within the possession of the City of Anderson, including, without limitation, internally and externally generated data, and includes the systems that may access this data (including servers, personal computers, laptops, handhelds.)

The screenshot shows the Outlook 'Folder List' pane. The 'All Folders' section lists the following folders: Mailbox - Postmaster, Calendar, Contacts, Deleted Items (highlighted in red), Drafts, Inbox (highlighted in red), Subfolder A (highlighted in green), Subfolder B (highlighted in green), Journal, Junk E-mail, Notes, Outbox, Sent Items (highlighted in red), Subfolder C (highlighted in green), Tasks, and Search Folders. Overlaid on the right side of the folder list are two text boxes. The first box, titled 'Retention Requirements Apply to Folders in Red.', lists three bullet points: '* Emails residing in Calendar, Contacts, Drafts, Journal, Notes, and Tasks will not be deleted by Retention Requirements.', '* Emails in the Deleted Items are automatically deleted after 30 days of being placed in the folder.', and '* Emails in the Inbox and Sent Items folder older than 180 days will automatically be moved to the Deleted Items folder and are deleted after 30 days.' The second box, titled 'Subfolders in Green would NOT be affected by Retention Requirements.', contains one bullet point: '* Subfolders created in the Inbox and Sent Items with emails residing in them will not be affected by Retention Requirements.'

Folder List

All Folders

- Mailbox - Postmaster
 - Calendar
 - Contacts
 - Deleted Items
 - Drafts
 - Inbox
 - Subfolder A
 - Subfolder B
 - Journal
 - Junk E-mail
 - Notes
 - Outbox
 - Sent Items
 - Subfolder C
 - Tasks
 - Search Folders

Retention Requirements Apply to Folders in Red.

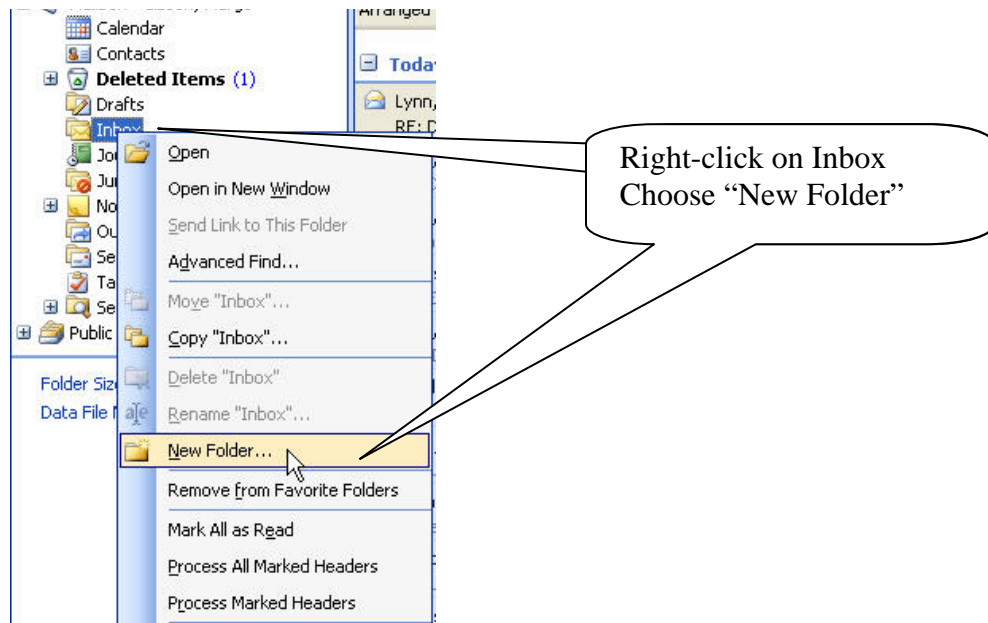
- * Emails residing in Calendar, Contacts, Drafts, Journal, Notes, and Tasks will not be deleted by Retention Requirements.
- * Emails in the Deleted Items are automatically deleted after 30 days of being placed in the folder.
- * Emails in the Inbox and Sent Items folder older than 180 days will automatically be moved to the Deleted Items folder and are deleted after 30 days.

Subfolders in Green would NOT be affected by Retention Requirements.

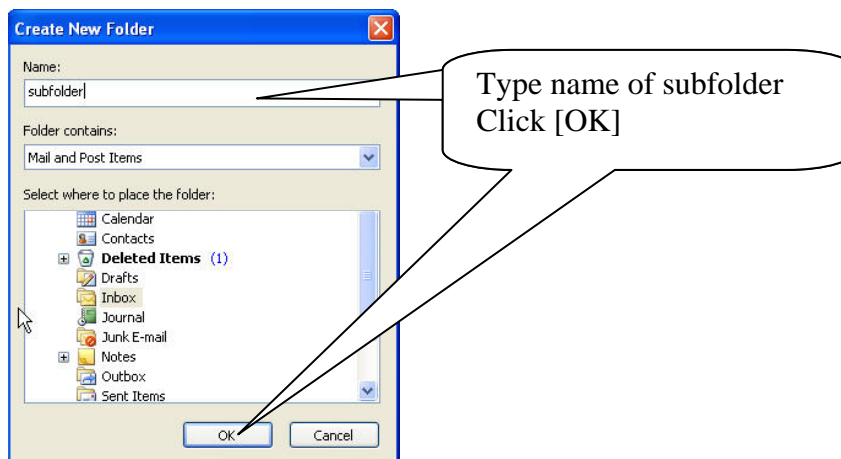
- * Subfolders created in the Inbox and Sent Items with emails residing in them will not be affected by Retention Requirements.

To create safe subfolders in the Inbox (or Sent Items) folder, follow these steps:

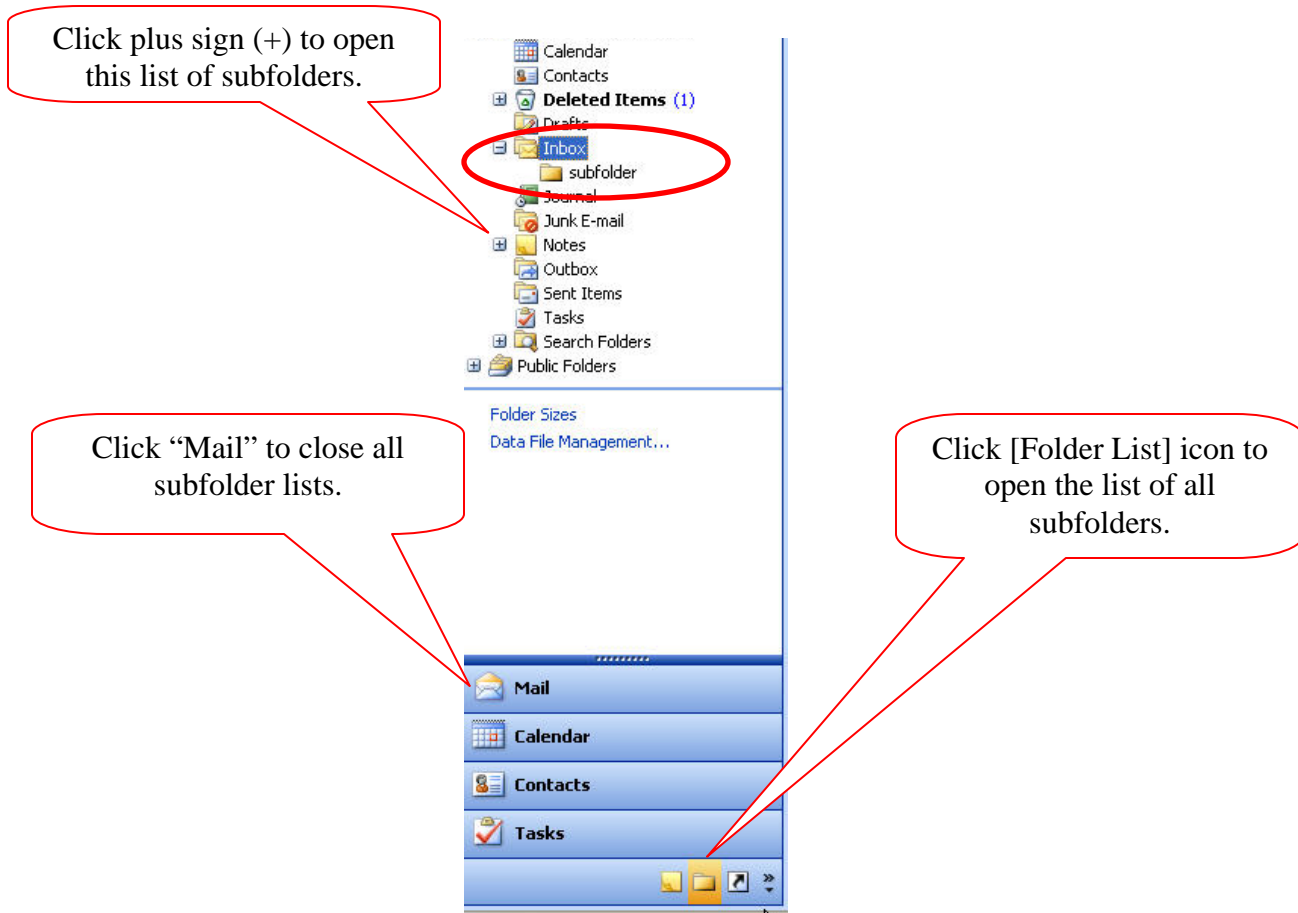
1. Right-Click on Inbox (or Sent Items)
2. Choose [New Folder] from the drop-down list.



3. In the Create New Folder pop-up type a name for your subfolder
4. Click [OK].



5. Verify the new subfolder was created and added under your Inbox (or Sent Items) folder.



6. Use any conventional method to populate the new subfolder with the email messages that must be protected from the auto-deletion process:
 - Drag-and-Drop
 - Copy
 - Move
7. If there is a business need to retain an email beyond the specified retention period, the following options are available:
 - Create a hard copy file by printing the message and filing it
 - Move the message and/or attachment to a file on the network drive
 - Move the message to a Personal Folder (PST). Note: A personal folder saved on your local hard drive will not be protected by backed ups. If your hard drive crashes, you will lose all data including your Personal Folder file (PST)

- Move the message to one of the other standard Outlook folders, such as “CALENDAR, CONTACTS, and NOTES” that are not affected by the Retention Policy.
- 8. Upon the institution of a legal hold, this email policy will be discontinued for “key players” to the litigation.
- 9. Any requested exceptions to the auto-deletion process must be documented and submitted to the IT Department along with justification for the out-of-compliance need.
- 10. For extended absences, contact the IT Department to determine how incoming mail should be managed.

IV. Notice of Legal Action

A “legal hold” should be initiated by the Personnel Administrator. Once notice of a claim is received, it will be the responsibility of the Personnel Administrator to issue a Legal Hold Memorandum to all “key players” to ensure that electronic data is retained.

Notice of a legal action sufficient to institute a Legal Hold will include, but not be limited to: i) service of a summons and complaint in a legal action; ii) a notice of a formal administrative or regulatory proceeding, commenced by the filing of a notice of charge, formal investigative order, or similar document before a federal or state agency; iii) a written demand for monetary damages or non-monetary relief; and iv) arbitration proceeding commenced by a demand for arbitration.

The Legal Hold Memorandum should direct “key players” to the potential litigation to identify and preserve documents and data related to threatened or pending litigation and administrative actions. “Key players” may include supervisors, managers, Human Resources employees supporting the relevant organization, Information Technology, and others responsible for document and data retention.

Identifying documents and data related to the matter may differ for each litigation hold depending on the subject matter of the allegations. E-mail messages contained in employee inbox, sent mail and folders will be collected centrally by the City of Anderson’s IT Department staff. The IT staff will be responsible to disengaging all automatic delete functions for key personnel computers for the applicable time period of a Legal Hold. For e-mail messages created or received after a Legal hold has been instituted that are covered by the notice of the claim, employees are instructed to create a folder in their e-mail that is clearly identifiable and move (save) each message covered by the notice to that folder.

Recipients of the litigation hold letter are advised they should not just search for documents and data, but they should also refrain from overwriting, altering, destroying, or deleting any documents and data related to the matter at issue in the legal hold letter.

As the legal matter at issue continues, key players will be added to the Legal Hold if required and reminders of the legal hold may be given depending on the duration of the hold.

Once the legal matter that is subject to a legal hold has concluded, “key” employees will receive notice from the Personnel Administrator that the Legal hold has been lifted. Specific directions regarding the destruction of held data will be given at that time.