



Agenda Item: 8

Date: February 9, 2010

Subject: Electronic Mail Management and Retention Policy (PL - IT 003) Review

Staff Contact: Dan Bills, Director of Finance

Recommended Board Action:

Adopt the updated Electronic Mail Management and Retention Policy (PL - IT 003).

Discussion:

Staff completed the biennial review of the Electronic Mail Management and Retention Policy (PL - IT 003). The Electronic Mail Management and Retention Policy has been established for the purpose of stating the responsibilities of all District employees concerning the creation, removal, storage, and retention of e-mails that are designated as official District records.

Three clarifying edits were made to the policy. The following summarizes the proposed changes:

- Page one; clarification edit.
- Page two; clarification edit.
- Page three; clarification edit.

Included with this report is a redline version. As there were minimal changes, a clean version is not included to save paper.

Fiscal Impact:

None.

Strategic Plan Alignment:

4.A. Monitor District operations through internal control procedures, documentation and such other processes necessary to ensure effective financial performance.

Sacramento Suburban Water District

**Electronic Mail Management
and Retention Policy**

Adopted: February 25, 2008

Revised: February XX, 2010**100.00 Purpose**

The Sacramento Suburban Water District (SSWD) provides electronic mail (“e-mail”) to its employees to facilitate the conduct of SSWD business. In return for providing e-mail, SSWD expects its employees to manage and protect records resulting from their e-mail communications. This policy is adopted by the Board for the purposes of stating the responsibilities of all SSWD employees concerning the creation, removal, storage, and retention of e-mails that are designated as official SSWD records.

SSWD e-mail and e-mail systems are intended solely as a means of communicating information. All SSWD e-mail users are forbidden from using the SSWD e-mail system other than for the storage and maintenance of SSWD records. To ensure the SSWD e-mail system functions as intended, it is imperative that all SSWD employees and e-mail users regularly delete e-mails from the system as provided in this policy.

This policy supplements and is intended to be carried out in concert with SSWD’s Records Inspection, Retention, Disposal, and Storage Policy (PL – Adm 002, “Records Policy”). While not all e-mail communications are SSWD records, all e-mail communications are subject to discovery and can be used as electronic evidence in the event of litigation. Unmanaged and unidentified e-mails residing on SSWD computers could create expensive and unmanageable problems in the event of litigation and pose a threat to SSWD’s ability to properly and coherently document and reconstruct business and decision-making processes.

The Board makes the following findings concerning specific features of SSWD’s computer network and related hardware and software that comprise the SSWD e-mail system:

1. SSWD performs an electronic back-up of its computer network, including the e-mail system, on a regular schedule. Those back-ups are an electronic recording of the status of SSWD’s computer systems at a particular moment in time and cannot accurately capture or reflect all e-mail or other activity that occurred on SSWD’s computer network on a specific day. For

example, a back-up does not capture items on employees' desktops or in their non-networked drives.

2. SSWD maintains a particular computer system back-up for a set period of time, after which that back-up is completely over written. Such overwriting is necessary for management and security reasons and to aid the recovery of the computer system in case of a complete failure. Because the process is transitory, a back-up is not reliable and cannot constitute SSWD records.
3. SSWD maintains an e-mail filter which reduces SPAM, Phishing, viruses, and other unwanted e-mail from entering the District's system. Employees of the District are responsible for reviewing summary e-mail lists from the e-mail filter to determine if valid e-mails were captured by the filter. The e-mail filter system automatically deletes filtered e-mail after a certain set time period.
4. SSWD has implemented a Records Management System (RMS) which serves as the repository of all District records for future storage and retrieval, retention control, and document protection. The RMS will be used to notify District employees of all records that have met retention policy requirements and are available for deletion from the system.

100.10 Scope

E-mail communications are considered public records and therefore, the retention and disposition of public records is governed by SSWD's Records Policy. In general, e-mail communications fall into three categories:

1. E-mails that document official SSWD business, which include without limitation, approvals for staff action initiating a business transaction, requests and replies to a request for public information, and direction to employees or consultants. Such e-mail communications generally should be transferred to a paper or electronic medium (such as RMS or CD-ROM) as appropriate and then filed and retained in accordance with SSWD's Records Policy.
2. E-mails that provide general information, such as announcing the date and time of a meeting, responses to professional ~~listserves~~ organizations in which an employee participates, external colleague communications, ~~and requests~~ and for information about SSWD other than for public records. Such e-mail communications are not considered SSWD records that must be managed according to SSWD's Records Policy and shall be routinely deleted from the SSWD e-mail system. If a SSWD employee believes that any e-mail of this type constitutes a SSWD official record, such an e-mail or e-mail attachment should be printed or stored on an electronic storage

medium, filed in the appropriate file and retained in accordance with the SSWD Records Policy.

3. Electronic documents such as personal e-mail correspondence, informal e-mail communications between SSWD employees, and working notes and drafts (unless intentionally saved for an official purpose). Such documents are not SSWD records and should be deleted from SSWD's computer network as soon as they are received and read, or are otherwise superseded or subject to deletion under this policy.

SSWD's Administrative Services Manager shall administer this policy, with oversight and ultimate authority over the policy exercised by the General Manager.

200.00 Policy

It is the Policy of SSWD that any e-mail communication containing information that documents SSWD business must be saved as a paper or electronic document in accordance with the SSWD Records Policy. Responsibility for complying with this policy is imposed on each SSWD employee. If an employee has any question or concern about retaining an e-mail or attachment or other issues of compliance with this policy, he or she should discuss the issue with the Administrative Services Manager. If deemed necessary, the Administrative Services Manager may consult with the General Manager and legal counsel about any e-mail retention or removal issue.

200.10 Violation of Policy

While the Board recognizes that occasional lapses in the use and management of e-mail occur in the ~~press-process~~ of business, a failure to adhere to this policy also could have serious legal and financial consequences for SSWD. Therefore, violations of this policy will be reviewed on a case-by-case basis. In appropriate cases, as determined by the General Manager, a violation may result in disciplinary action against an employee, up to and including termination.

200.20 Procedures

The General Manager will prepare procedures outlining implementation protocols for this policy.

300.00 Policy Review

This Policy shall be reviewed at least biennially.