



## PA TURNPIKE COMMISSION POLICY

*This is a statement of official Pennsylvania Turnpike Policy*

**NUMBER:** 8.06

**APPROVAL DATE:** 9-17-2013

**EFFECTIVE DATE:** 10-2-2013

**REVISED DATE:** 8-6-2013

**POLICY SUBJECT:**

Records Management Policy

**RESPONSIBLE DEPARTMENT:**

Information Technology

**A. PURPOSE:**

The Records Management Policy is intended to:

Ensure that the PTC complies with legal requirements for records (e.g. litigation, government investigations, and audits);

Ensure that employees maintain only those records that are needed for legal compliance and that support current PTC operations;

Ensure that employees maintain only Official PTC Records and minimize retention of non-critical documents (i.e., Convenience Copies) immediately upon expiration of their active, useful value; and establish a consistent and cost-effective Records Management Program throughout the PTC.

**B. SCOPE:**

The Records Management program applies to all PTC records maintained in any form or format (e.g. physical form such as paper, map, or book, or information maintained or stored electronically on items such as laptops, handheld devices, and flash drives).

**C. GENERAL POLICY:**

Records Retention Schedule – The PTC Records Retention Schedule, as approved by the Commission, describes Records Classes and their retention periods. Keep Official PTC Records for as long as stated in the Records Retention Schedule and do not destroy Official PTC Records earlier than stated. Destroy Official PTC Records after the duration of the stated retention period unless a Litigation Hold is in place (i.e. upon the issuance of a Litigation Hold or Mandatory Preservation Notice, suspend all record destruction procedures).

Department head and employee responsibility - Department heads are responsible for ensuring that their respective departments implement and remain compliant at all times with the requirements of this policy. Employees are responsible for determining if information, maintained

in any form or format (physically or electronically), falls under the PTC Records Retention Schedule. Employees are also responsible for determining if information on voice mail, email, instant messaging, or the phone system falls under the PTC Records Retention Schedule. Failure to adhere to Litigation Holds or Mandatory Preservation Notices could result in discipline up to and including termination.

Amendments to the Records Retention Schedule – The PTC Records Retention Schedule shall be amended as necessary so that all Official PTC Records are covered by a Records Class and that all retention periods reflect legal requirements for records and support of PTC operations as applicable.

Ownership - All PTC business-related documents and records are the sole property of the PTC, and employees have no expectation of personal or property right to these documents and records, including those created by the employee.

Record Creation and Destruction - All Official PTC Records should be created with a specific purpose to communicate or document PTC business matters. Employees should use discretion and professionalism when creating records to ensure that the records appropriately reflect the business interests of the PTC. Employees should act as if every PTC business record that they create is discoverable in litigation regardless of the record's storage medium (including electronic records) and regardless of the record's physical location.

Approved Locations - Records shall remain on PTC premises or at PTC-approved locations. Records must never be permanently stored at employees' homes. However, the temporary use of PTC records at home is acceptable when a management approved legitimate business need exists. The PTC has locations to store the PTC's inactive records; employees should send only those inactive records as defined by the Retention Schedule to these locations.

Security and Access - All employees are responsible for protecting the confidentiality of PTC records and preventing unauthorized disclosure to anyone, including PTC employees, without a need to know. Only designated employees may request records from storage. Employee access to records is limited to records owned by the employee's department. Those departments that require access to records owned by another department must contact the appropriate department directly to request such access. Records must not be permanently stored on mobile computing devices. If a business need exists, records may be temporarily stored on a device, however immediately after use these records must be removed from the device and stored on the PTC network according to the PTC Retention Schedule.

#### **D. DEFINITIONS:**

Convenience Copies - Copies created for the convenience of business users; Convenience Copies must not be kept longer than the Official PTC Record.

Litigation Hold (also known as Mandatory Preservation Notices) – Suspension of all document destruction procedures where there is pending or imminent litigation, government investigation, subpoena, tax hold, audit, or other consideration.

Official PTC Record – Information, regardless of physical form or characteristics, that documents a transaction or activity of the PTC and that is created, received, or retained pursuant to law or in connection with a transaction, business, or activity of the PTC. The term Official PTC Record includes a document, paper, letter, map, book, tape, photograph, film or sound recording, information stored or maintained electronically, and a data-processed or image-processed document. The term

Official PTC Record excludes transitory records (which are records that have little or no documentary or evidential value and that need not be set aside for future use; have short term administrative, legal, or fiscal value and should be disposed of once that use has expired; or are only useful for a short period of time).

PTC Records Management Working Committee - Members consist of representatives from Legal, Audit, Information Technology, Finance, and Engineering to provide the following competencies: knowledge of legal requirements, audit procedures, PTC information technology system capabilities, and PTC operations and business practices.

Records Class – A grouping by topic of Official PTC Records that have a retention period as listed in the Records Retention Schedule.

Records Retention Schedule – A document that describes the PTC Records Classes and the retention periods for those Records Classes. The retention periods reflect legal requirements, legal considerations (e.g. limitation periods), PTC business needs, and business best practices.

**A. PROCEDURES:**

The PTC Records Retention Schedule and the PTC Records Management Procedures Manual shall be kept current on the PTC Intranet.

*This Policy Letter supersedes all previous Policy Letters on this subject.*