

1 [Amend Department of the Environment's Record Retention and Destruction Schedule]

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3 **Resolution amending the Department of the Environment's Record Retention and**
4 **Destruction Schedule to change the retention of Human Resources (1) Payroll Records**
5 **and (2) Time Sheets from two to five years.**

6 WHEREAS, Chapter 8, SEC. 8.3 of the San Francisco Administrative Code requires
7 each department head to maintain records and create a Records Retention and Destruction
8 Schedule; now, therefore, be it

9 RESOLVED, that the Commission on the Environment amends the attached Record
10 Retention and Destruction Policy for the Department of the Environment to reflect changes
11 made on the retention of Human Resources payroll records and time sheets from two to five
12 years; and, be it

13 FURTHER RESOLVED, that the Commission on the Environment empowers the
14 President of the Commission to sign off on the Department of the Environment Record
15 Retention and Destruction Policy on behalf of the Commission.

16 I hereby certify that this Resolution was adopted at the Commission on the
17 Environment's Meeting on April 29, 2008.

18  _____

19 Monica Fish, Commission Secretary

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21 VOTE: Approved (6-0) (1 Absent)

22 Ayes: President Pelosi Jr., Vice President Gravanis, Commissioners King, Rodriguez

23 Heyman, Tuchow and Wald

24 Noes: None

25 Absent: Commissioner Martin

DEPARTMENT OF THE ENVIRONMENT
Record Retention and Destruction Policy

The Department of the Environment Record Retention and Destruction Policy is adopted pursuant to Chapter 8 of the San Francisco Administrative Code, which requires each department head to maintain records and create a records retention and destruction schedule.

This policy covers all records and documents, regardless of physical form or characteristics, which have been made or received by the Department of the Environment in connection with the transaction of public business.

PART I: POLICY AND PROCEDURES

A. RETENTION POLICY

The Department of the Environment shall retain records for the period of their immediate or current use, unless longer retention is necessary for historical reference, or to comply with contractual or legal requirements, or for other purposes as set forth below. For record retention and destruction purposes, the term "record" is defined as set forth in Section 8.1 of the San Francisco Administrative Code. Documents and other materials that do not constitute "records" under that section, including those described below in Category 4, may be destroyed when no longer needed, unless otherwise specified in Part II. The records of the Department of the Environment shall be classified for purposes of retention and destruction as follows:

Category 1: Permanent Retention. Records that are permanent or essential shall be retained and preserved indefinitely.

- **Permanent records.** Permanent records are records required by law to be permanently retained and which are ineligible for destruction unless they are microfilmed and special measures are followed. Admin. Code Section 8.4. Once microfilmed, the original paper records may be destroyed. Duplicate copies of permanent records may be destroyed whenever they are no longer necessary for the efficient operation of the Department of the Environment. Examples of permanent records include audit reports, citizen complaints and settlement agreements.

- **Essential records.** Essential records are records necessary for the continuity of government and the protection of the rights and interests of individuals. Admin. Code Section 8.9. Examples of essential records include Code Interpretations, and Regulations.

Category 2: Current Records. Current records are records which for convenience, ready reference or other reasons are retained in the office space and equipment of the Department. Current records shall be retained as follows:

- **Where retention period specified by law.** Where federal, state, or local law prescribes a definite period of time for retaining certain records, the Department of the Environment will retain the records for the period specified by law. Examples of records required to be maintained for a specific period are permit applications, Commission packets & correspondence, contracts and grants exchanged drafts of contract and grant agreements. Records relating to financial matters may only be destroyed after the approval of the Controller, and "payroll checks, time cards and related documents" may be destroyed only after approval by the Retirement Board. If the Retirement Board determines that they need certain payroll records, they "shall be delivered to the Retirement Board instead of being destroyed." (S.F. Administrative Code Section 8.3).
- **Where no retention period specified by law.** Where no specific retention period is specified by law, the department must specify the retention period for those records that the department is required to retain. Records shall be retained for a minimum of two years, although such records may be treated as "storage records" and placed in storage at any time during the applicable retention period. Examples of current records include files on specific environmental issues and organizations.

Category 3: Storage Records. Storage records are records that are retained offsite. Storage records are subject to the same retention requirements as current records.

Category 4: No Retention Required. Documents and other materials that are not "records" as defined by Admin. Code section 8.1 need not be retained unless otherwise specified by local law (e.g., department head calendars). Documents and other materials (including originals and duplicates) that are not otherwise required to be retained, are not necessary to the functioning or continuity of the Department and which have no legal significance may be destroyed when no longer needed. Examples include materials and documents generated for the convenience of the person generating them, draft documents (other than some contracts) which have been superseded by subsequent versions, or rendered moot by departmental action, and duplicate copies of records that are no longer needed. Specific examples include calendars (other than Director Francesca Vietor's calendar), telephone message slips, miscellaneous correspondence not requiring follow-up or departmental action, notepads, e-mails that do not contain information required to be retained under this policy, and chronological files.

B. RECORDS NOT ADDRESSED IN THE RECORD RETENTION SCHEDULE

Records and other documents or materials that are not expressly addressed by the attached schedule may be destroyed at any time provided that they have been retained for the periods prescribed for substantially similar records.

C. STORAGE OF RECORDS

Records may be stored in the Department of the Environment's office space or equipment if the records are in active use or are maintained in the office for convenience or ready reference. Examples of active files appropriately maintained in the Department of the Environment's office space or equipment include active chronological files, research and reference files, legislative drafting files, pending complaint files, administrative files, personnel files, and calendars. Inactive records, for which use or reference has diminished sufficiently to permit removal from the Department of the Environment's office space or equipment, may be sent to the City's off-site storage facility or maintained in the Department of the Environment's storage facility.

D. HISTORICAL RECORDS

Historical records are records which are no longer of use to the Department of the Environment but which because of their age or research value may be of historical interest or significance may not be destroyed except in accordance with the procedures set forth in Administrative Code section 8.7.

ATTACHMENT B

PART II
RECORD RETENTION AND DESTRUCTION SCHEDULE

| TYPE OF RECORD | RETENTION CATEGORY [e.g., current, permanent] | RETENTION PERIOD | | | REMARKS/ DISPOSITION INSTRUCTION OR TRIGGER |
|-------------------------------------------|--------------------------------------------------|-----------------------------------------|---------|---------|---------------------------------------------------|
| | | Total | Current | Storage | |
| GENERAL AND ADMINISTRATIVE RECORDS | | | | | |
| Administrative records, miscellaneous | 2 | 2 years | | | |
| Advice Letters | 2 | 2 years, or until superseded | | | |
| Audit Reports | 1 | Permanent | | | |
| Audit Work Papers | 2 | 2 years | | | |
| Annual Reports | 1 | Permanent | | | |
| Annual Work Program | 1 | Permanent | | | |
| Budget Files | 2 | 2 years | | | |
| Calendar [department head] | 2 | 2 years | | | Required by Admin. Code §67.29-5 |
| Citizen Complaints | 1 | Permanent | | | |
| Complaint logs | 4 | None | | | |
| Chronological files | 4 | None | | | |
| Code Interpretations | 1 | Permanent | | | |
| Contributions (posted on web site) | 2 | 2 years (3 mos. on website) | | | |
| Correspondence, miscellaneous | 2 | 2 years | | | |
| Correspondence not requiring f/u | 4 | None | | | |
| Correspondence, draft | 4 | None | | | |
| Executive Director Reports | 2 | 5 years | | | |
| Famis Reports | 2 | 2 years | | | |
| Fax Transmittal Sheets | 4 | None | | | |
| Financial Records, miscellaneous | 2 | 2 years after of applicable fiscal year | | | |
| Invoices | 2 | 2 years after of applicable fiscal year | | | |
| Interdepartmental Correspondence | 2 | 2 years | | | |
| Journals/Magazines/Catalogs | 4 | None | | | |
| Legal Advice | 2 | Until | | | |

| | | | | | | |
|-------------------------------------------------------------------|---|---|--------------------------------|--|--|--------------------------------|
| Legislative Drafts | 4 | 4 | superseded | | | |
| Memoranda, miscellaneous | 4 | 4 | None | | | |
| Memoranda, policy/decisional | 2 | 2 | 5 years or until superseded | | | |
| Payables (Invoices) | 2 | 2 | 2 years | | | |
| Publications, reports created by department | 2 | 2 | 2 years | | | |
| Revolving Funds Records | 2 | 2 | 2 years | | | |
| Settlement Agreements | 1 | 1 | Permanent | | | |
| Work Orders and Payments | 2 | 2 | 2 years | | | |
| Audio/Video recordings not otherwise specified | 2 | 2 | 2 years | | | |
| Files on specific environmental organizations/issues | 2 | 2 | 2 years | | | |
| Regulations | 1 | 1 | Permanent | | | |
| COMMISSION RECORDS | | | | | | |
| Commission Correspondence | 2 | 2 | 2 years | | | |
| Commission Files | 1 | 1 | Permanent | | | |
| Commission Packets | 2 | 2 | 2 years | | | |
| Motions and Resolutions | 1 | 1 | Permanent | | | |
| Agendas, Notices and Minutes of Commission and Committee Meetings | 1 | 1 | Permanent | | | |
| Audio/Video recording of meetings of policy bodies | 1 | 1 | Permanent | | | Required by Admin. Code §67.14 |
| CONTRACT/GRANT RECORDS | | | | | | |
| Contracts/Agreements | 2 | 2 | Life of agreement + 20 years | | | |
| MOUs/Grants | 2 | 2 | 2 years or life of agreement | | | |
| Contract/Agreement/MOU/Grant Correspondence | 2 | 2 | 2 years or life of agreement | | | |
| Records of Payments on Contracts/Agreements | 2 | 2 | Life of agreement + 20 years | | | |
| Records of Payments on MOUs/Grants | 2 | 2 | * 2 years or life of agreement | | | |
| Exchanged Drafts of Agreements | 2 | 2 | 2 years | | | Admin. Code §67.24(a) |

| | | | | | |
|-------------------------------------------------------------------------------------------------|---|-------------------------|--|--|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Lease Files | 2 | 1 year after expiration | | | |
| Purchase Orders | 2 | 2 years | | | |
| Regulations | 1 | Permanent | | | |
| Requests for Proposals (RFPs) and Request for Qualifications (RFQs); Responses to RFPs and RFQs | 2 | 2 years | | | |
| RFP Scoring Records | 2 | 2 years | | | Admin. Code §67.24(e) |
| HUMAN RESOURCES RECORDS | | | | | |
| ADA Request for Reasonable Accommodation Report | 2 | 2 years | | | Records relating to financial matters may only be destroyed after the approval of the Controller, and "payroll checks, time cards and related documents" may be destroyed only after approval by the Retirement Board. If the Retirement Board determines that they need certain payroll records, they "shall be delivered to the Retirement Board instead of being destroyed." (S.F. Administrative Code Section 8.3) |
| Equal Opportunity Plan | 2 | 2 years | | | |
| Discrimination Complaints | 2 | 5 years | | | |
| Conflict of Interest Form 700 | 2 | 7 years | | | |
| Accident – Injury Reports | 2 | 5 years | | | |
| Employment Applications/Resumes | 2 | 2 years | | | |
| Ergonomic Records | 2 | 2 years | | | |
| Family Medical Leave Act Records | 2 | 3 years | | | Required by Fair Labor Standards Act §11(c) |
| Payroll Records | 2 | 5 years | | | |
| Personnel Files | 2 | 2 years | | | |
| Sexual Harassment Complaints | 2 | 2 years | | | |
| Time Rosters | 2 | 2 years | | | |
| Time Sheets | 2 | 5 years | | | |
| Travel and Reimbursement Records | 2 | 2 years | | | |
| Workers' Compensation Records | 2 | 5 years | | | Title 8, Cal. Code of Regulations, Section 10102 |

APPROVALS:

Approved by:

Paul Pelosi
Paul Pelosi Jr.
President, Commission on the Environment

1-28-09
Date Approved

David Assmann
David Assmann
Deputy Director, Department of the Environment

6-2-08
Date Approved

Approved as to Records Relating to Financial Matters:

Ben Rosenfield
Ben Rosenfield, Controller
Controller Staff

2-5-09
Date Approved

Approved as to Records of Legal Significance:

Dennis Herrera, City Attorney

Deputy City Attorney

6-02-08
Date Approved

Approved as to Records Relating to Payroll Matters:

Clare M. Murphy
Clare M. Murphy
Executive Director, Retirement System

6-2-2008
Date Approved

