

1 [Amend 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 make revisions to naming conventions for types of records,**  
5 **retention categories, retention periods, and retention period title.**

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7 The following changes are to be amended in the record category of Contract/Grant Records,  
8 page 2:

- 9 1. Change the type of record for "Contracts/Agreements" to "Contract/Agreement Selection  
10 Process: (including RFPs, RFQs, and other responses and evaluation)."
- 11 2. Delete the type of record "MOUs/Grants", the retention category of "2", and the retention  
12 period of "2 years or life of agreement".
- 13 3. Change the type of record for "Records of Payments on Contracts/Agreements" to  
14 "Contract Agreements, Grant Agreements, MOU's and Payment Records for successful  
15 bids (actual signed agreement and attachments and payment records)"; and change the  
16 record retention from "life of agreement + 2 years term retention" to "life of agreement + 10  
17 years term retention" or the term required by the funding source.
- 18 4. Delete the type of record for "Records of Payments on MOUs/Grants", the retention  
19 category of "2", and the term retention of "2 years or life of agreement".

20 The following changes are to be amended under the title "RETENTION PERIOD":

- 21 1. Delete "Current" and "Storage".

22 The following changes are to be amended under Retention Category on page 4:

- 23 1. Under the field of "2. CURRENT" add "OR OFF-SITE STORAGE".
- 24 2. Delete "3. STORAGE."

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1           3. Change "4 NO RETENTION REQUIRED" to "3 NO RETENTION REQUIRED" and  
2           all fields throughout the document listed as "4" to "3".

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

6           RESOLVED, That the Commission on the Environment adopts the attached Record  
7           Retention and Destruction Schedule for the Department of the Environment with the proposed  
8           amendments; and, be it,

9           FURTHER RESOLVED, that the Commission on the Environment empowers the  
10          President of the Commission to sign off on the Department of the Environment Record  
11          Retention and Destruction Schedule and Policy on behalf of the Commission.

12          I hereby certify that this Resolution was adopted at the Commission on the  
13          Environment's Meeting on January 22, 2013.

14          Monica Fish  
15          Monica Fish, Commission Secretary

16  
17          VOTE: 5-0 Approved; 1 Absent; 1 Vacant  
18          Ayes: Commissioners Arce, King, Gravanis, Stephenson and Wald  
19          Noes: None  
20          Absent: Commissioner Mok

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**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 recycled 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 scanned and special measures are followed. Admin. Code Section 8.4. Once scanned the original paper records may be recycled. Duplicate copies of permanent records may be recycled 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 recycled after the approval of the Controller, and "payroll checks, time cards and related documents" may be recycled 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 recycled." (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 recycled 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 the Director'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 recycled 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 <small>(e.g., current, permanent)</small>	RETENTION PERIOD	REMARKS/ DISPOSITION INSTRUCTION OR TRIGGER
<b>GENERAL AND ADMINISTRATIVE RECORDS</b>		Total	
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	3	None	
Chronological files	3	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	3	None	
Correspondence, draft	3	None	
Executive Director Reports	2	5 years	
Fannin Reports	2	2 years	
Fax Transmittal Sheets	3	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	3	None	
Legal Advice	2	Until	

Legislative Drafts	3	superseded	None			
Memoranda, miscellaneous	3	None	None			
Memoranda, policy/decisional	2	5 years or until superseded	2 years			
Payables (Invoices)	2	2 years	2 years			
Publications, reports created by department	2	2 years	2 years			
Revolving Funds Records	2	2 years	2 years			
Settlement Agreements	1	Permanent	Permanent			
Work Orders and Payments	2	2 years	2 years			
Audio/Video recordings not otherwise specified	2	2 years	2 years			
Files on specific environmental organizations/issues	2	2 years	2 years			
Regulations	1	Permanent	Permanent			
<b>COMMISSION RECORDS</b>						
Commission Correspondence	2	2 years	2 years			
Commission Files	1	Permanent	Permanent			
Commission Packets	2	2 years	2 years			
Motions and Resolutions	1	Permanent	Permanent			
Agendas, Notices and Minutes of Commission and Committee Meetings	1	Permanent	Permanent			
Audio/Video recording of meetings of policy bodies	1	Permanent	Permanent			Required by Admin. Code §67.14
<b>CONTRACT/GRANT RECORDS</b>						
Contract/Agreement Selection Process: (including RFPs, RFQs, and other responses and evaluation)	2	Life of agreement + 20 years	Life of agreement + 20 years			
Contract/Agreement/MOU/Grant Correspondence	2	2 years or life of agreement	2 years or life of agreement			
Contract Agreements, Grant Agreements, MOU's and Payment Records for successful bids (actual signed agreement and attachments and payment records)	2	Life of agreement + 10 years	Life of agreement + 10 years			
Exchanged Drafts of Agreements	2	2 years	2 years			Admin. Code §67.24(a)
Lease Files	2	1 year after expiration	1 year after expiration			
Purchase Orders	2	2 years	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)
<b>HUMAN RESOURCES RECORDS</b>					Records relating to financial matters may only be recycled after the approval of the Controller, and "payroll checks, time cards and related documents" may be recycled 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 recycled." (S.F. Administrative Code Section 8.3)
ADA Request for Reasonable Accommodation Report	2	2 years			
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

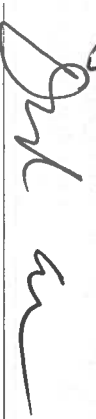
RETENTION CATEGORY: 1 – PERMANENT  
2 – CURRENT OR OFF-SITE STORAGE  
3 – NO RETENTION REQUIRED

**APPROVALS:**

Approved by:

  
President, Commission on the Environment

2/11/13  
Date Approved

  
David Assmann  
Deputy Director, Department of the Environment

2/13/13  
Date Approved

Approved as to Records Relating to Financial Matters:

Ben Rosenfield Controller  
  
Controller Staff

2/18/13  
Date Approved

Approved as to Records of Legal Significance:

Dennis Herrera, City Attorney

  
Deputy City Attorney

3/1/13  
Date Approved

Approved as to Records Relating to Payroll Matters:

  
Executive Director, Retirement System

3/12/2013  
Date/Approved