



MAYOR'S OFFICE
RECORDS AND DOCUMENT RETENTION AND DISPOSAL SCHEDULE

The Mayor's Office Record Retention and Destruction Policy is adopted pursuant to Section 8.1 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 the records and documents, regardless of physical form or characteristics, which have been made or received by the Mayor's Office in connection with the transaction of public business.

PART I POLICY AND PROCEDURES:

A. RETENTION POLICY

The Mayor's Office shall retain records for the period of their immediate or current use, unless longer retention is necessary for historical reference, to comply with contractual or legal requirements, or for records which would be essential to the continuity of government and the protection of rights and interests of individuals in an event of a major disaster, 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 H. The records of the Mayor's Office 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 or placed on an optical imaging system and special measures are followed, Administrative Code Section 8.4. Once these measures are followed, the original paper records must be destroyed. Duplicate copies of permanent records may be destroyed whenever they are no longer necessary for the efficient operation of the Mayor's Office.
- Essential Records: Essential records are records necessary for the continuity of government and the protection of the rights and interests of individuals, in an event of a major disaster be preserved against possible destruction by fire, earthquake, flood, enemy attack or other cause, Administrative Code Section 8.9.

Category 2: Current Records. Current records are records that 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 Mayor's Office will retain the records for the period specified by law.
- Where no retention period specified by law. Where no specific retention period is specified by law, the retention period for records that the department is required to retain shall be specified in the attached Record Retention and Destruction Schedule. 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.

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 defined as "records" pursuant to the Administrative Code Section 8.1 need not be retained unless retention is otherwise specified by local law or required by this policy. Documents and other materials (including originals and duplicates) that are not required for retention, 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 documents and materials generated for the use and convenience of the person generating them, draft documents which have been superseded by subsequent versions and duplicate copies of records that are no longer needed. Specific examples include telephone message slips, notes from ongoing projects, preliminary drafts that have been superseded by subsequent versions, routine e-mails that do not contain information required to be retained under this policy, miscellaneous correspondence not requiring follow-up or departmental action, notepads and chronological files.

With limited exceptions, no specific retention requirements are assigned to documents in this category. Instead, it is up to the originator or recipient to determine when document's business utility has ended.

B. RECORDS NOT ADDRESSED IN THE RECORD RETENTION POLICY

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 periods prescribed for records for substantially similar records.

C. STORAGE OF RECORDS

Active records may be stored in the Mayor'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 Mayor's Office space or equipment include active administrative files, personnel files, contracts and grants, and civil grand jury reports. Inactive records, for which use or reference has diminished sufficiently to permit removal from the Mayor's Office space or equipment, may be sent to the City's off-site storage facility or

maintained in the Mayor's Office storage facility.

D. HISTORICAL RECORDS

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

E. DESTRUCTION OF RECORDS


It shall be the policy of the Mayor's Office that once the requisite retention period for a record has passed; the record shall be destroyed unless there are particular circumstances that dictate that the record be retained.

F. RECORDS RELATING TO PENDING CLAIMS AND LITIGATIONS

The retention periods set forth in the attached record retention schedule shall not apply to materials that are otherwise eligible for destruction, but which may be relevant to a pending claim or litigation against the City. Once the Mayor's Office becomes aware of the existence of a claim against the office, the Mayor's Office should retain all documents and other materials related to the claim until such time as the claim or subsequent litigation has been resolved. Where the Mayor's Office has reason to believe that one or more other departments also have records relating to the claim or litigation, those departments should also be notified of the need to retain such records.

APPROVALS

This Record Retention and Destruction Policy and attached Schedule are hereby approved:



Steve Kawa
Chief of Staff
Office of the Mayor

1/27/14
Date

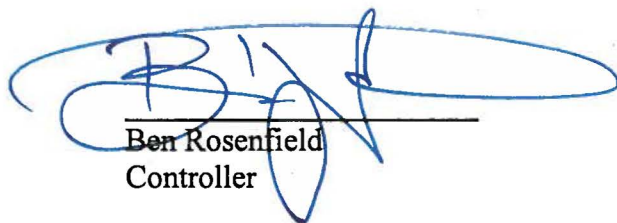
Approved as to Records of Legal Significance:



Dennis J. Herrera
City Attorney

2/13/14
Date


Approved as to Records Relating to Financial Matters:



Ben Rosenfield
Controller

2-13-14
Date

Approved as to Records Relating to Payroll Matters:



Jay Huish
Executive Director
Retirement System

2/28/2014
Date

DIVISION	RECORD CATEGORY	TYPE OF RECORD	RETENTION CATEGORY	RETENTION PERIOD			REMARKS
				Total	On site	Off site	
Administration	Administration	Accident-injury report	2	7 years	2 years	5 years	29 CFR 1904.6
Administration	Administration	Administrative files	4	Current year	Current year	N/A	
Administration	Administration	Audit reports	4	Current year	Current year	N/A	
Administration	Administration	Conflict of interest form 700	2	7years	2 years	5 years	GC Sec.81009(e)
Administration	Administration	Discrimination and harassment complaints	2	During employee tenure and 5 fiscal years post tenure	During employee tenure and 5 fiscal years post tenure	N/A	
Administration	Administration	Family Medical Leave Act Records	2	3 fiscal years	3 fiscal years	N/A	3 year minimum required by Fair Labor Standards A
Administration	Administration	Medical information	2	During employee tenure and 5 fiscal years post tenure	During employee tenure and 5 fiscal years post tenure	N/A	
Administration	Administration	Payroll Reports/Timecards and related documents	2	2 fiscal years	2 fiscal years	N/A	Secure Permission from SFERS
Administration	Administration	Personnel files	2	During employee tenure and 5 fiscal years post tenure	During employee tenure and 5 fiscal years post tenure	N/A	
Administration	Administration	Travel request (copy)	4	Current year	Current year	N/A	
Administration	Administration	Worker's Compensation Record	2	During employee tenure and 5 fiscal years post tenure	During employee tenure and 5 fiscal years post tenure	N/A	
Administration	Contracts/Grants	Contracts & Grants	2	Term of agreement plus 4 years	Term of agreement plus 4 years	N/A	
Administration	Contracts	Draft Contracts	4	Until approval	Until approval	N/A	Administrative CC Sec. 67.24 (a) (2)
Administration	Correspondences	General Correspondences	4	N/A	N/A	N/A	
Administration	Financial	Check Payments	2	2 fiscal years	2 fiscal years	N/A	
Administration	Financial	Office expenditure documents	2	2 fiscal years	2 fiscal years	N/A	
Administration	Financial	Payables (Invoices/Vendors)	2	2 fiscal years	2 fiscal years	N/A	
Administration	Financial	Purchase Orders (copy)	2	2 fiscal years	2 fiscal years	N/A	
Administration	Financial	Receipt/Deposits	2	2 fiscal years	2 fiscal years	N/A	
Administration	Financial	Work Orders	2	2 fiscal years	2 fiscal years	N/A	
Administration	Policies	Policies/Procedures	2	Later of 2 years or until superseded	Later of 2 years or until superseded	N/A	
Administration	RFA, RFQ	RFA, RFQ	2	Later of 2 years of no current use	Later of 2 years of no current use	N/A	
Scheduling	Calendar	Prop G Calendar	2	2 years	2years	N/A	
Public Policy	Public Policy and	Budget Files	2	2 fiscal years	2 fiscal years	N/A	

and Finance	Finance						
Public Policy and Finance	Reports	Grand Jury Reports (copy)	1	Permanently	Permanently	N/A	
Government Affairs	Legislative	Electronic Legislation (copies as approved to form)	4	Current year	Current year	N/A	
Government Affairs	Legislative	Electronic Legislative Drafts	4	Current year	Current year	N/A	