

San Francisco Public Library Commission Policy Manual

Records Retention and Destruction Policy

Policy #401

Section: Administration

Adopted: 5/98

Revised: 9/02

The Public Library 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 was approved by the Library Commission on September 3, 2002 and supercedes all previous record retention and destruction policies issued by the Public Library.

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

PART I: POLICY AND PROCEDURES

A. RETENTION POLICY

The Public Library shall retain records for the period of their immediate or current use, unless longer retention is necessary for historical reference, or to comply with contractual or legal requirements, or for other purposes as set forth below.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 Public Library 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. Admin. Code Section 8.4. Once these measures are followed, 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 Public Library. Examples of permanent records include audio/video recordings, agendas, notices, and minutes of Library Commission meetings.
- **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 legal advice letters and opinions and policy memoranda.

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 Public Library will retain the records for the period specified by law. Examples of records required to be maintained for a specific period are Conflict of Interest Form 700 must be retained 7 years pursuant to Gov. Code §81009(e); Accident-Injury reports must be retained 5 years pursuant to 29 CFR 1404.6
- 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. Examples of current records include financial records such as cash reports, bank reconciliation/statements, and budget documents.

Category 3: Storage Records. Storage records are records that are retained offsite. Storage records are subject to the same retention requirements as current records. Examples of storage records include agendas, notices and minutes of Library Commission meetings older than three calendar years.

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 retention is otherwise required by local law or by the attached Record Retention and Destruction Schedule. 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 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.

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 the document’s business utility has ended.

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 Public Library'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 Public Library's office space or equipment include active chronological files, research and reference files, legislative drafting files, pending complaint files, administrative files and personnel files. Inactive records, for which use or reference has diminished sufficiently to permit removal from the Public Library's office space or equipment, may be sent to the City's off-site storage facility or maintained in the Public Library's storage facility.

D. HISTORICAL RECORDS

Historical records are records which are no longer of use to the Public Library 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. PENDING CLAIMS AND LITIGATION

The retention period 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 Public Library becomes aware of the existence of a claim against the department, the Public Library should retain all documents and other materials related to the claim until such time as the claim or subsequent litigation has been resolved. When the Public Library 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.

Division	Record Category	TYPE OF RECORD	RETENTION CATEGORY	RETENTION PERIOD			REMARKS
				Total	On Site	Off Site	
Administration	General and Administrative	Administrative Records-miscellaneous	2	2 years	2 years	0	
Administration	General and Administrative	Annual Reports	1	Permanent	Permanent	0	
Administration	General and Administrative	Audit Reports	1	Permanent	Permanent	0	
Administration	General and Administrative	Calendar, Prop G	4	2 years	2 years	0	Required by Admin. Code §67.29-5
Administration	General and Administrative	Chronological Files	4	2 years	2 years	0	
Administration	General and Administrative	Comments & Suggestions Forms	2	5 years	5 years	0	
Administration	General and Administrative	Conflict of Interests Form 700	2	7 years	7 years	0	Gov't Code 81009(e)
Administration	General and Administrative	Correspondence, miscellaneous	2	2 years	2 years	0	
Administration	General and Administrative	Grant Resolutions/Files	1	5 years	5 years	0	
Administration	General and Administrative	Legal Advice	1	Until superceded	Until superceded	0	
Administration	General and Administrative	Manuals	2	Until superceded	Until superceded	0	
Administration	General and Administrative	Correspondence from other City Departments	2	2 years	2 years	0	
Administration	General and Administrative	Policies and Procedures	1	Until superceded	Until superceded	0	
Administration	General and Administrative	Public Information Requests	2	5 years	5 years	0	
Administration	General and Administrative	Statistical Information	2	5 years	5 years	0	

Commission	Commission	Agendas, Notices & Minutes of Commission Meetings	1	Permanent	3 years	City Archives	
Commission	Commission	Audio/Video recordings of meetings of policy bodies	1	Permanent	3 years	Gov't Info. Center	Admin Code §67.14
Commission	Commission	Commission Correspondence	2	3 years	3 years	0	
Commission	Commission	Conflict of Interest Form 700	2	7 years	7 years	0	Gov't Code § 81009 (e)
Commission	Commission	Policy Manual	2	Until superceded	Until superceded	0	
Commission	Commission	Public Information Requests	2	3 years	3 years	0	
Commission	Commission	Resolutions	1	Permanent	3 years	Archived	
Finance	Financial	Bank Reconciliation/ Statements	2	5 years after applicable fiscal year	3 years	2 years	
Finance	Financial	Blanket Documents	2	5 years after applicable fiscal year	3 years	2 years	
Finance	Financial	Budget Documents	2	5 years after applicable fiscal year	3 years	2 years	
Finance	Financial	Cash Reports	2	5 years after applicable fiscal year	3 years	2 years	
Finance	Financial	Cash Receipts	2	5 years after applicable fiscal year	3 years	2 years	
Finance	Financial	Contracts	2	20 years + term of agreement	3 years		
Finance	Financial	Employee Expense Claims	2	5 years after applicable fiscal year	3 years	2 years	
Finance	Financial	Gift Files	2	5 years after applicable fiscal year	3 years after term	2 years	
Finance	Financial	Grant Files	2	5 years after applicable fiscal year	3 years after term	2 years	
Finance	Financial	Journal Entry Adjustments	2	5 years after applicable fiscal year	3 years	2 years	
Finance	Financial	Payment Documents/Invoices	2	5 years after applicable fiscal year	3 years	2 years	
Finance	Financial	Petty Cash Records	2	5 years after applicable fiscal year	3 years	2 years	
Finance	Financial	Purchase Order Documents	2	5 years after applicable fiscal year	3 years	2 years	
Finance	Financial	Resolutions/Ordinances	2	5 years after applicable fiscal year	3 years	2 years	
Finance	Financial	Requests for Proposals (RFPs) & Requests for Qualifications (RFQs); Responses to RFPs and RFQs	2	2 years	2 years	0	
Finance	Financial	RFP Scoring Records	2	2 years	2 years	0	Admin Code §67.24 (e)
Human Resources	Personnel	Accident-Injury Reports	2	5 years	5 years	0	29 CFR 1904.6
Human Resources	Personnel	Chronological File	2	5 years	5 years	0	
Human Resources	Personnel	Classification	1	Permanent	Permanent	0	

Human Resources	Personnel	DHR Rules	2	Current	Until superseded	0	
Human Resources	Personnel	Discrimination & Harassment Complaints	2	Lesser of 50 years or life of employee	Lesser of 50 years or life of employee	0	
Human Resources	Personnel	Employee Handbook	2	Current	Until superseded	0	
Human Resources	Personnel	Family Medical Leave Act Records	2	Lesser of 50 years or life of employee	Lesser of 50 years or life of employee	0	3 year minimum Required by Fair Labor Standards Act §11 c
Human Resources	Personnel	Grievance File & Log	2	Current or 5 years after separation	Current or 5 years after separation	0	Unless employee has pending case
Human Resources	Personnel	Inactive Personnel Files	3	5 years after final separation	5 years after final separation	0	Unless employee has pending case
Human Resources	Personnel	Injury/Illness Prevention Plan	2	Current	Until superseded	0	
Human Resources	Personnel	Job Announcements	1,2	Permanent	Permanent	0	SFPL: Permanent; Others: until due date of application
Human Resources	Personnel	Job Applications	2	1 year	1 year	0	
Human Resources	Personnel	Job Descriptions	2	Current	Until superseded	0	
Human Resources	Personnel	Leave Request Track File	2	1 year	1 year	0	
Human Resources	Personnel	Medical Files	2	Lesser of 50 years or life of employee	Lesser of 50 years or life of employee	0	
Human Resources	Personnel	Misc. Subjects	2	10 years	10 years	0	
Human Resources	Personnel	MOU/SEIU Contract	1	Permanent	Until superseded	0	
Human Resources	Personnel	Payroll Reports	2	5 years	5 years	0	Secure permission from SFERS prior to destruction
Human Resources	Personnel	Performance Evaluation Tracking File	2	Current	Current	0	Until employee separates
Human Resources	Personnel	Personnel Files	2	Lesser of 50 years or life of employee	Lesser of 50 years or life of employee	0	
Human Resources	Personnel	Personnel Office Notes	1	Permanent	Permanent	0	
Human Resources	Personnel	Personnel/DHR Forms	2	Current	Until superseded	0	
Human Resources	Personnel	Reassignment Requests	2	1 year	1 year	0	
Human Resources	Personnel	Reduced Work Schedule	2	Current	Current	0	Until employee separates
Human Resources	Personnel	Request to Hire PT Pages	2	1 year	1 year	0	
Human Resources	Personnel	Retired Employees List	1	Permanent	Permanent	0	
Human Resources	Personnel	SFPL Policies/Regulations	2	Permanent	Until superseded	0	
Human Resources	Personnel	Staff Badge List	2	Current	Current	0	Until employee

							separates
Human Resources	Personnel	Time Rosters	2	5 years	5 years	0	Secure permission from SFERS prior to destruction
Human Resources	Personnel	Time Sheets	2	5 years	5 years	0	Secure permission from SFERS prior to destruction
Human Resources	Personnel	Warrant Transmittal Forms	2	1 year	1 year	0	
Human Resources	Personnel	Worker's Compensation	2	Lesser of 50 years or life of employee	Lesser of 50 years or life of employee	0	Title 8 Cal. Code of Regulations, Section 10102
Operations	Capital Improvements	Blueprints	1	Permanent	Permanent	0	
Operations	Capital Improvements	Files, Memos & Reports	2	5 years	5 years	0	
Operations	Administrative	Claims Against City (Library Copy)	2	2 years	2 years	0	
	Card Catalog	Old Cards	1	Permanent	Permanent		Contents in Brooks Hall
	Card Catalog	Departmental	2	Until superceded	Until superceded	0	In Depts & Branches
	Card Catalog	Shelf Lists	2	Until superceded	Until superceded	0	In Depts & Branches
	Card Catalog	Indexes	2	Until superceded	Until superceded	0	In Depts & Branches
	Collection	Books & Other Materials	1, 2	See Collection Maintenance Policy	See Collection Maintenance Policy	0	
	Collection	State & Federal Documents	1, 2	As required by gov't guidelines	As required by gov't guidelines	0	
	CCSF Archives	Archival Files	1	Permanent	Permanent	0	SF Admin Code 8.7