



DATE: January 23, 2019

TO: Waste Management Authority Board

FROM: Wendy Sommer, Executive Director

BY: Arliss Dunn, Clerk of the Board

SUBJECT: Records Retention Schedule

SUMMARY

A records retention schedule outlines the minimum time a record must be retained and a method of purging information on a scheduled basis when no longer useful or relevant. The attached schedule was developed after reviewing state guidelines for local agencies, and was also reviewed by Legal Counsel. Once a year, if needed, a list of documents to be purged will be provided to the Board for authorization.

COMMITTEE ACTION

By a vote of 8-0 (Bacon, Hernandez, Rood, and Wengraf absent), the P&A Committee reviewed and recommended forwarding for approval the updated records retention policy with the following modification: change the retention period for CEQA documents and Strategic Planning records to permanent (P).

The attached retention schedule provides that all CEQA Negative Declarations, Mitigated Negative Declarations, and Environmental Impact Reports will be retained permanently. It also provides that all Strategic Plans will be retained permanently.

The staff report submitted to the P&A Committee is available at the following link:
[Records-Retention-Schedule.pdf](#)

RECOMMENDATION

That the WMA Board adopt the following as recommended by the P&A Committee:

1. Adopt the attached resolution and records retention schedule effective immediately.
2. Authorize the Executive Director to make administrative changes that are minor in nature and/or are consistent with applicable, state, local or federal laws or guidelines.

ALAMEDA COUNTY WASTE MANAGEMENT AUTHORITY

RESOLUTION # 2019- 01

**MOVED:
SECONDED:**

AT THE MEETING HELD JANUARY 23, 2019 ADOPTING A RECORDS RETENTION SCHEDULE

WHEREAS, Authority operations require a method of maintaining information in a systematic and accessible fashion, and

WHEREAS, the Authority also requires a method of purging information on a scheduled basis when no longer useful or relevant consistent with sound records management practices; and

WHEREAS, the State of California has adopted guidelines for retention periods for various government records; and

WHEREAS, staff has developed a records retention schedule which has been reviewed by Legal Counsel and approved by the Programs and Administration Committee at its meeting on January 10, 2019 and is now before the Authority Board for adoption; and

WHEREAS, this resolution supersedes any previous records retention policy or practice;

NOW, THEREFORE, BE IT RESOLVED, that the Alameda County Waste Management Authority hereby:

1. Adopts the attached records retention schedule effective immediately.
2. Authorizes the Executive Director to make administrative changes that are minor in nature and/or are consistent with applicable state, local or federal laws or guidelines.

ADOPTED BY THE FOLLOWING VOTE:

AYES:

NOES:

ABSENT:

ABSTAIN:

Wendy Sommer, Executive Director

Records Retention Schedule

Alameda County Waste Management Authority/Recycling Board/Energy Council

The center column in the table below lists the retention period for various categories of records. For records not to be retained permanently (designated with a "P"), the retention period is a designated number of years following a specific event. The referenced events are:

AU = Year of Audit

CL = Year the Matter (contract, lease, etc.) is Closed

CU = Year Record is Created

SU = Year the Record is Superseded by a New Record

T = Year an Employee Leaves the Agency

All records not described below must be maintained for at least two years from the date created.

Administration		
<i>GENERAL ADMINISTRATION</i>		
General Correspondence	CU+2	Records of a general nature including copies of memos, letters, chronological files, archived calendars, delivery receipts, etc. that pertain to the general administrative activities and duties of the department.
Policies and Procedures	SU+5	All Agency policies and procedures, including appropriate policy manuals, organizational charts, forms, and handbooks. Records documenting the implementation of management and administrative policies and directions for various Agency functions.
Complaints	CU+2	Records related to complaints filed by the public regarding the Agency's operations, activities, or policies.
Delegation of Authority - Signature Authorization Forms	P	Records authorizing specified employees to sign for and approve certain activities or documents during the

		absence of the individual normally authorized to do so.
Internal Administrative Meetings	CU+2	Meeting minutes and other records associated with staff meetings.
<i>PUBLIC INFORMATION/RELATIONS</i>		
General	CU+2	Records related to providing information to the public and to staff about Agency activities. Includes brochures/publications/maps, press releases, surveys/questionnaires, newsletters, County/member agency profiles, newspaper/periodical clippings, public service announcements. Includes presentations to public groups by Board and staff.
Public Records Act Requests	CL+2	Records reflecting Public Record Act requests and material sent in response to same.
<i>RISK MANAGEMENT/INSURANCE</i>		
Worker's Compensation Insurance	P	Workers Compensation insurance policies and records relating to claims. Likely to contain confidential information. (See Gov't Code 6410; 8 CCR 15400.2(a); Labor Code 110-139.6.)
Claim Files	CL+5	Records regarding claims of wrongdoing by the Agency or its employees. Records include lost analysis reports, photographs taken by Agency employees or members of the public, and other materials documenting claims, accidents, or incidents involving Agency property or employees. Likely to contain confidential information. (See Gov't Code 25105.5.)
Safety Plans	CU+5	Evacuation drills, safety inspection reports, injury illness prevention program

		records, and safety training.
Errors and Omissions/Liability Insurance	P	Includes insurance policies, declarations, exclusions.
Certificates of Insurance	P	Insurance certificates issued by the Agency's insurer as well as certificates naming the Agency as additionally insured (e.g., by Agency contractors or for events taking place on Agency property).
<i>ADMINISTRATIVE SERVICES</i>		
Information Systems	CU+2	
Reproduction/Printing	CU+2	
Mailing/Postal Services	CU+2	
Telecommunication Services	CU+2	
Building Maintenance	CU+2	
<i>INFORMATION TECHNOLOGY</i>		
Electronic Mail	CU+2	E-mail shall be maintained for two years; however, this does not override any specific retention requirements of individual records series. E-mails that constitute records must be preserved according to their retention periods elsewhere in this schedule.
Computer System Administration	SU+5	Records regarding activities to maintain and ensure continued operation of computer systems and applications. Checklists and special requests regarding new users, new system set up, and termination.
Network Configuration	SU+5	Network information systems (LAN/WAN) configuration maps and plans. Records relating to the infrastructure and set-up of servers.
Security Clearance Records	SU+5	Records related to authorizing employees or contractors to have access to the Agency computer system, system module or the data stored in a computer system or system module. Generally tracks permissions by position or employee classifications.

		Likely to contain confidential information.
Software Application Files	SU+2	Records related to software applications owned by the Agency. Includes software registrations and records related to the maintenance of software applications. Licenses, authorization codes and certificates for support services.
Financial		
<i>ACCOUNTING</i>		
Policies and Procedures	SU+2	
Accounts Payable	AU+6	Records relating to payment of financial obligations (money owed by the Agency). Includes vendor and contractor invoices, bills, statements and any non-discharged debt. Also includes delivery receipts and employee travel reimbursements, petty cash requests for reimbursement, check requests, and expense reports. Records listing individual checks issued, and the date, payee, amount and purpose of each expense.
Sales Tax Reports	AU+6	
Measure D Disbursements	AU+6	
Waste Management Authority Disbursements	AU+6	
Worker's Compensation Payroll Reports	AU+6	
Journal Entries	AU+6	Summary of all financial accounts. Records relating to postings to the General Ledger.
Fixed Assets	AU+6	Records relating to the acquisition, depreciation, accrual, and disposal of fixed assets.
Annual Audits - Authority	P	Audits of the Authority, Recycling Board, and Energy Council
<i>BANKING</i>		

Policies and Procedures	SU+2	
Investment Policy	SU+2	
Authorized Signatures	SU+5	Records authorizing specified employees to sign checks and other banking documents.
Bank Records	CU+6	Records related to bank transactions including deposit of funds, bank statements, bank reconciliations, disbursements, cancelled checks, and wire fund transfers.
BUDGET		
Adopted Annual Operating Budget and Adjustments for: - Authority - Recycling Board - Energy Council	P	Annual operating and capital budget documents relating to internal planning and financial management. Includes budget vs. cost reports, summaries, schedules, goals and objectives and milestones and records of alterations to the budget due to changes in revenue or expenditures.
Financial Reports	CU+10	
FIXED ASSETS		
Equipment/Inventory List	SU+2	
Surplus Equipment – Disposal List	SU+2	
PAYROLL		
Employee Information	T+2	
Policies and Procedures	SU+2	
Payroll Reports	CU+10	
Quarterly Reports	CU+10	
W-2s & 1099s	P	
Deferred Compensation Reports	P	
Retirement Reports	P	
Payroll register	P	
PURCHASING		
Procurement Bids, RFQ	AU+6	Bids, proposals, and records of request for qualifications and requests for proposals regarding goods and services.
Purchase Orders	AU+6	Original copies of Purchase

		Orders issued by the Agency to sellers or service providers, detailing products or services ordered, terms of sale, and payment agreement.
Vendor List	CU+5	
Vendor Tax Records	AU+6	Forms 1099, and W-9s filed for reporting payments to vendors. Records relating to withholding orders on payments to instructors or vendors from federal, state, or other agencies. Likely to contain confidential information. (See 29 USC 436; IRS Reg 31.6001-1(e)(2); R&T 19530; 29 CFR 516.5-516.6.)
Credit Cards	SU+2	
<i>REVENUE</i>		
Accounts Receivable	AU+6	Records related to accounting for money owed to the Agency, where the Agency sends out billing invoices.
Fees/Receipts	AU+6	Records related to payment received by the Agency. Includes, cash, check, and credit card payments.
Benchmark	AU+6	
Facility Fee	AU+6	
Grazing	AU+6	
Household Hazardous Waste	AU+6	
Import Mitigation	AU+6	
Measure D	AU+6	
Wind Power	AU+6	
Rentals	AU+6	
Summary Tonnage Reports	AU+6	
State Mandated Cost Reimbursements	AU+6	
<i>GRANTS GIVEN AND RECEIVED</i>		
General Information	CU+2	

Policies and Procedures	SU+2	
Funding Agreements	CL+5	Grant information and documentation, including financial data, for all grants applied for by the Agency. (Certain grants may have individual requirements. Refer to grant's close-out procedures.)
Legal/Legislative		
<i>WASTE MANAGEMENT AUTHORITY</i>		
Policies and Procedures	SU+2	
Appointments/Resignations	P	
Roster of Members	SU+2	
Rules of Procedure	SU+10	
Agenda Packets/Meeting Notices	CU+10	Original agendas and special meeting notices, including certificates of posting, original summaries, original communications and action agendas for Agency Council. Agenda packets, including staff reports and attachments. Material provided to Agency Council from members of the public, relating to agenda or non-agenda items, for consideration at any noticed meeting of the Agency Council.
Legal Advertising	CU+10	Records related to legal advertising required for public hearings. Includes proof of publication notices. (See CCP 343, 349 et seq. and Gov't Code 911.2.)
Minutes	P	
Meeting Recordings	CU+2	
Resolutions	P	
Ordinances	P	
JPAs	P	The joint powers agreements

		creating the Waste Management Authority and Energy Council together with all amendments thereto, records of member agency approvals, and signatures.
FPPC Compliance	CU+7	Includes Board members Statements of Economic Interest (Form 700s) and related documents.
<i>RECYCLING BOARD/LOCAL TASK FORCE</i> (Same retention periods as set forth for the Waste Management Authority above.)		
<i>ENERGY COUNCIL</i> (Same retention periods as set forth for the Waste Management Authority above.)		
<i>WMA COMMITTEES</i> (Same retention periods as set forth for the Waste Management Authority above.)		
<i>LEGAL OPERATIONS</i>		
Legal Opinions – Authority	P	
Legal Opinions – Recycling Board	P	
Legal Opinions – Energy Council	P	
Litigation Files	CL+8	
<i>ORDINANCE COMPLIANCE</i>		
Policies and Procedures	SU+2	
Educational Materials	SU+2	
General Correspondence	CU+2	
Investigation Reports	CL+4	
Notices of Violation and Citations	CL+4	
Administrative Hearings	CL+4	Includes hearing request, decision, notes, evidence and tapes.
<i>LEGISLATION</i>		
General Information	CU+2	
Lobbyist Reporting Forms	CU+4	Forms filed with the State regarding Agency's lobbyist consultants.
<i>CONTRACTS</i>		
General Contracts, Leases, MOUs	CL+10	Does not include capital improvement projects. Includes MOUs, leases, equipment, services or supplies. Official contract filed with the Agency Clerk.
Capital Improvement Contracts	P	Capital improvement projects. Includes specifications and

		plans, certificates of insurance, insurance bonds, and scopes of work. Official contract filed with the Agency Clerk.
Notices/Mailing Lists	CU+2	
Proposals/Evaluation Summary	CU+5	
REAL PROPERTY		
Deeds of Trust	P	
Leases (Real Property)	CL+5	
Easements	P	
Personnel		
PERSONNEL ADMINISTRATION		
Policies and Procedures	SU+3	Includes employee handbook and all other documents concerning employment policies.
Job Descriptions	SU+3	
Classifications and Salaries	CU+4	Includes classification salary range tables, classification studies and surveys. See GC 12946; 29 CFR 516.6(a)(2); 29 CFR 1602.14.)
Surveys/Studies	CU+4	
Training	CU+5	Written records of which employees received training and the dates of all training sessions. For sexual harassment training, the name of the training provider. (See GC 12950.1); 2 CCR 7288.0; GC 6250 et seq.)
Volunteers	T+2	Records of the activities and administration of the Agency's volunteer program, including all records maintained on volunteers.
EMPLOYEE BENEFITS		
Brochures and related information	CU+2	Includes materials describing employee benefits. Includes Deferred Compensation, Health/Dental/Vision Benefits, Retirement, 125 Plan/FSA.
COBRA	T+10	May include enrollment

		application, release authorizations, copies of proof of premium payment, if applicable. Likely to contain confidential information. (See 29 CFR 1602.30-32, 1627.3; 29 USC 1027.)
Medical Leaves of Absence	CL+30	Records filed as part of a request for leave of absence. May include application and applicable medical records. Likely to contain confidential information. (See FMLA 1993 US OSHA; 29 CFR 1910.20; 29 CFR1602.30.32; 49 CFR 192-9.)
Retirement Plans	P	PERS and beneficiary documents. Likely to contain confidential information. (See GC 12946, 34090, 29 CFR 1627.3(2).)
CalOSHA	CU+5	Forms 300-A Annual Summary and 301 (workers compensation injury reports) filed with Cal OSHA. (See 8 CCR 14300.33.)
Workers Compensation	P	Workers Compensation records relating to employee industrial claims history. Insurance administered through ABAG. Likely to contain confidential information. (See GC 6410; 8 CCR 15400.2(a); LC 110-139.6.)
Unemployment Insurance Claim Records	T+6	All documented claims submitted by former employees for unemployment compensation. Records may include: claim records, notices, reports, records generated by the appeal of claim determinations. Likely to contain confidential information. (See GC 12946, 34090; 29 USC 1027, 1113; 29 CFR 1602 et seq., 516.2.)
RECRUITMENT		

Employment Applications	CU+2	May include applications and resumes for those considered and/or selected for the position, eligibility list, examination material and answer sheets, job announcements, written correspondence with candidates such as rejection letters or invitations to the next phase of the process. Likely to contain confidential information. (See GC 12946; GC 6250 et seq.; 29 CFR 1602 et seq.; 29 CFR 1607; 29 CFR 1627.3.)
EMPLOYEE RECORDS (Locked)		
Individual Personnel Files	T+5	Official records of personnel history for all active Agency employees of regular status (full-time and part-time) or temporary status (non-benefited full-time and part-time). Includes all job actions such as new hire paperwork, certifications, performance appraisals, personnel action changes - recorded on personal action forms (PAF), warning and discipline letters, grievances, commendations, emergency contact information, and records of leave taken under family leave laws. Separated employees' personnel files are kept as a personnel history record. Not a public record. Likely to contain confidential information. (See GC 34090; 29 CFR 1602.30-32, 1627.3.)
Health, Dental, Vision, enrollment	CU+2	
Life/Disability Insurance enrollment	CU+2	
I -9	Form I-9 must be kept three years after the date of hire or for one year	I-9 Form; proof of eligibility to work in the United States of America. Likely to contain confidential information. (See 8 CFR 274a.2(b)(2)(i);

	after employment is terminated, whichever is later	Immigration Reform/Control Act 1986 Pub. L 99-603 (8 USC 1324a.)
RETIREMENT CONTRACTS (locked)		
Public Employees Retirement System	P	
Deferred Compensation	P	
Planning		
STATE INTEGRATED WASTE MANAGEMENT PLAN		
Regulations	SU+2	
Countywide Element	P	
Source Reduction and Recycling Elements (Member Agencies)	SU+2	
Household Hazardous Waste Elements (Member Agencies)	SU+2	
Non-Disposal Facility Elements (Member Agencies)	SU+2	
GENERAL PLANNING		
Countywide Integrated Waste Management Plan and Amendments	P	
Final CEQA Documents	P	Negative Declarations, Mitigated Negative Declarations, and Environmental Impact Reports (EIRs)
Other CEQA Documents	CU+10	
STRATEGIC PLAN		
Adopted Strategic Plan	P	
Strategic Planning Documents	CU+10	
JOINT PLANNING DOCUMENT		
Recycling Plan	SU+5	