

**Bay Area Air Quality Management District**  
939 Ellis Street  
San Francisco, CA 94109

## **Record Retention Schedule**

This schedule is a catalog of all record types employed by the Bay Area Air Quality Management District (Air District) in carrying out the work of the agency. Pursuant to California Government Code section 60201, this schedule and any revisions to the schedule must be adopted by the Air District Board of Directors. This schedule is a component of the Air District's records management program. Guidelines for the records management program are set forth in the Air District Administrative Code, Division I, Operating Policies and Procedures, Section 11. The purpose of this program is to maintain records in a manner that furthers the public purposes of the Air District while ensuring prompt and accurate retrieval of records and compliance with all legal requirements.

For each record type, the schedule establishes a retention period. The record types are sorted by retention period. Certain records will be kept permanently because of their continuing importance to the Air District and the public. For records not kept permanently, the schedule establishes a retention period. The retention period is the period of time that the Air District will keep a record after its "use period" is over. For most records, use occurs at a point in time, with the retention period beginning after this brief active use period. Most of the records in this schedule are of this type.

For certain records, the use period extends over a significant period of time. Examples include building blueprints, equipment manuals, contract documents, and grant documents. For these records, the schedule includes a note in boldface indicating the triggering event for the running of the retention period.

The substance of a record, rather than the format or medium in which it is held, determines the appropriate category for the record. Thus, paper records, e-mails, and electronic data alike acquire the retention period of the applicable substantive category.

Record type	Including these specific records:
<b>PERMANENT RECORDS</b>	
<b>Activity authorization</b>	Asbestos dust mitigation plans, asbestos removal, naturally occurring asbestos reports
<b>Board records</b>	Board, Board subcommittees, Hearing Board, Advisory Council and Advisory Council committees: agenda packages, minutes, reports, resolutions, and rosters
<b>Bonds, insurance and warrants records</b>	Bonds, property and liability insurance policies and documentation, warrants
<b>Emission inventory records</b>	Criteria pollutant and toxic emissions by facility and source, plan emission inventory, modeling & other related data (baseline years), EPA update
<b>Emission monitoring records</b>	Continuous emission monitoring (CEMS) monthly reports, CEM indicated excesses – source test evaluation forms, CEM approvals pursuant to Regulation 1, Section 522
<b>Employee HR records</b>	Disciplinary action log, employee workforce data, grievances & arbitrations, negotiations, complaint summary logs
<b>Fiscal information</b>	End-of-year statements and expenditure ledgers, final budgets
<b>Legal records</b>	Litigation-pleadings and orders, settlement agreements, opinions and advice files, rule interpretations/opinions, civil enforcement case records
<b>Meteorological and air monitoring data</b>	Ambient air monitoring data – data logger data, forecasts, meteorological monitoring data, ground level monitoring data; ground level monitoring audit reports
<b>Payroll records</b>	Payroll direct deposit records, CALPERS reports, Form 941 quarterly reports, payroll history YTD totals report, SF county payroll records, year end clearing/closing reports
<b>Permit update and renewal records</b>	Forms related to regular permit information updates and permit renewal
<b>Permit application records</b>	Authority to Construct documents, Permit to Operate documents, banking documents, registration documents, application forms, permit exemptions
<b>Plant (facility) files</b>	Facility correspondence, change of ownership/facility status records, source data forms
<b>Rules, regulations, and plans</b>	All versions of rules and regulations and rule development files, state and federal air quality plans, EPA annual updates

Record type	Including these specific records:
<b>Source test results and raw data</b>	Source test results and raw data from both the District and outside contractors, field accuracy test results, raw data, and reports, contractor-conducted source test notifications (ref: Volume IV, V, MOP)
<b>Training records</b>	Training program files, employee training completion records, ethics training certificates.
<b>Violation and violation recommendation records</b>	Notice of Violation and internal activity and tracking documents, Notice to Comply and internal activity and tracking documents, recommendations for violations including District and outside contractor tests, CEM indicated recommendations for violations, notifications of breakdowns, episodes, excesses and supporting documentation  <b>KEEP FOR 35 YEARS</b>
<b>I-Bond records</b>	I-Bond records  <b>KEEP FOR 7 YEARS</b>
<b>Accident and injury records</b>	Accident files, employee injury (first aid) files
<b>Activity authorization</b>	Open burns, exemption petitions, tank pulls/excavations, PERP, landfill reports
<b>Asset tracking records</b>	Fixed asset list, library acquisition records
<b>Board files</b>	Oaths of office, expense reports for Advisory Council, Board, Hearing Board, Board member correspondence, Board member travel authorizations and Board expense claims <b>END OF TERM + 7 YEARS</b>
<b>Building records</b>	Building blueprints, building equipment information, building maintenance information, construction drawings & information, drawings – space plans, maintenance working records. <b>LIFE OF BUILDING + 7 YEARS</b>
<b>CEQA records</b>	CEQA responsible agency project comments
<b>Community meeting records</b>	Community outreach community meeting files and resource team records
<b>Compliance records</b>	Compliance advisories and compliance reports required by regulation (Regs. 8-5, 8-10, 8-17, 8-18, 8-40, 9-10)
<b>Complaints</b>	All complaint information including wood smoke and smoking vehicle complaints
<b>Contracts</b>	Contract files and any related task orders or purchase orders, and any related bids, RFPs, RFQs or accepted proposals, contractor timesheets, contractor logs <b>CONTRACT FINAL EXPIRATION + 7 YEARS</b>
<b>Employee benefit records</b>	Tuition reimbursement, COBRA documentation, Section 125 documentation

Record type	Including these specific records:
<b>Employee recruitment records</b>	Classification studies, class specifications, recruitment files, wage and salary data, acquisition records
<b>Executive files</b>	Chronological correspondence files, conflict of interest forms, lobbyist employer/lobbyist registration
<b>Hearing Board docket</b>	All case related files <b>FINAL COMPLIANCE DATE + 7 YEARS</b>
<b>Invoice and payment records</b>	Automotive services contractor invoices, utility & service invoices, receivable paid invoices, claims (expenses and mileage), credit card payment and records, contract payment and records, fixed asset invoices
<b>Laboratory samples and air quality monitoring data</b>	PM 2.5 filters and PM 10 filters collected from sampling equipment, ambient air monitoring data – strip charts, air monitoring station log books, asbestos samples submitted for analysis, instrument log books, laboratory notebooks, results, methods of analysis, photo-micrographics, standard operating procedures
<b>Legal records</b>	Comments on legislative, administrative and hearing board matters
<b>News media records</b>	News releases and clips
<b>Reports to CARB/EPA</b>	Engineering and grant reports to CARB/EPA <b>REVISED + 7 YEARS</b>
<b>Payroll records</b>	Payroll registers, tickler files, timecards, vacation requests, family/medical leave requests
<b>Personnel files</b>	Personal and professional files of Executive Officer, deputies and staff. disciplinary support files, discrimination complaint files <b>LAST DAY OF EMPLOYMENT + 7 YEARS</b>
<b>Policies, procedures and workbooks</b>	Engineering, Enforcement, Information Systems, Technical Services (including source test protocols and plans), BACT/TBACT workbook, Permit Handbook <b>REVISED + 7 YEARS</b>
<b>Flare records</b>	Flare minimization – approved plans (Reg. 12-12), flaring notifications and reports (Reg. 12-12), plan review documents (Reg. 12-12), flare monitoring reports (Reg. 12-11)
<b>Inspection records</b>	Inspection reports, internal correspondence on inspections
<b>QA/QC and calibration records</b>	Lab, source test, and air monitoring equipment calibration records and QA/QC records, quality assurance manual
<b>Tax records</b>	457 deferred comp documents, income tax reports (1099), supporting documents, W2, W2 reports , transmittal of W2, use/sales tax returns and records, quarterly underground storage tank tax
<b>Toxics Hotspots records</b>	Toxics emissions inventory reports, risk assessments <b>FACILITY DEMOLITION + 7 YEARS</b>
<b>Title V reports</b>	Title V semi-annual and annual reports, Title V 10-day and 30-day deviation reports

Record type	Including these specific records:
<b>Tort and workers compensation claims</b>	Tort claim liability files, worker’s compensation files <b>UNTIL CLOSED + 7 YEARS</b>
<b>Cal OSHA reports</b>	Cal OSHA reports and citations
	<b>KEEP FOR 5 YEARS</b>
<b>Grant files</b>	Program audit documents, program eligibility guideline documents; grant application, review and decision documents; grant program financial records; grantee monitoring documents; internal activity and tracking documents; project audit documents <b>END OF PROJECT + 5 YEARS</b>
	<b>KEEP FOR 3 YEARS</b>
<b>Asset purchase records</b>	Fixed asset purchase orders and requisitions <b>LIFE OF EQUIPMENT + 3 YEARS</b>
<b>Check files</b>	Bad checks, checks – self insurance, detailed accounts payable check register, Clerk of Board check registers
<b>Deposit records</b>	Bank deposits/receipts - supporting documents, bank statements, deposits permits
<b>EPA grants</b>	EPA grants, EPA 105 grant documents <b>FINAL REPORT + 3 YEARS</b>
<b>Fiscal records</b>	Account analysis statement, accounts receivable aging report, BAAQMD receipts, bills (payable) - supporting documents, general journal, journal report, miscellaneous revenue registers, monthly statements, PAATS – overpayment report, budget – draft, budget transfer documents, payroll tax deposits, request for trust warrant, Toxic Hot Spot fee records, subvention – <b>AUDIT + 3 YEARS</b>
<b>Fleet vehicle records</b>	vehicle maintenance expenses, vehicle mileage reports, vehicle request forms, vehicle registration fees, travel trip slips <b>LIFE OF VEHICLE + 3 YEARS</b>
<b>General correspondence</b>	General interoffice memoranda, general correspondence
<b>Insurance benefits records</b>	Insurance contracts, life insurance documentation, health insurance documentation <b>LIFE OF POLICY + 3 YEARS</b>
<b>Inventory records</b>	Plan emission inventory, modeling & other related data (non-baseline years)
<b>Legislative and bill files</b>	Bill file (documents, analyses, correspondence), Legislative Committee records
<b>Mailroom records</b>	Certified mail log, certified mail receipts – fee invoices, fee billing invoices, fee billing problem resolution files, returned mail (fee invoices and validations)
<b>Physical security reports</b>	Security guard activity reports

Record type	Including these specific records:
<b>Rejected bids</b>	RFPs/RFQs/evaluations/unaccepted proposals and bids <b>FISCAL YEAR OF BID + 3 YEARS</b>
<b>Requests from public</b>	Requests for general information, requests for publications, requests for speaker, public records requests and responses
<b>Technical equipment records</b>	Manuals and maintenance records, 10% quality assurance analysis reports, additional records required by NVLAP accreditation program, audit records, blind sample analysis reports, inter-laboratory analysis reports, maintenance and calibration reports, proficiency test, quality control charts and data <b>LIFE OF EQUIPMENT + 3 YEARS</b>  <b>KEEP FOR 1 YEAR</b>
<b>Board audio records</b>	Audio records of Advisory Council, Board of Directors, and committee meetings; Hearing Board hearings
<b>Meteorological reports</b>	Meteorological reports
<b>Stockroom records</b>	Stockroom requisitions  <b>KEEP UNTIL REPLACED</b>
<b>IT system backups</b>	System backups
<b>Outreach documents</b>	Brochures
<b>Mailing lists</b>	Mailing lists
<b>Affirmative action plan</b>	Affirmative action plan
<b>Vehicle Buy Back program</b>	Vehicle Buy Back program – duplicates of scrapped vehicle eligibility documents retained by scrappers