# SOUTH COAST

# AIR QUALITY MANAGEMENT DISTRICT

## *ADMINISTRATIVE CODE*

*Revised September 2, 2016*

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**Section 10 - *Administrative Code***

The administrative code of rules and procedures prescribing the responsibilities, conduct, and specified reimbursements of South Coast Air Quality Management District (SCAQMD) employees and SCAQMD Board Members is included herein.

**Section 10.1 - No Denial of Rights**

Nothing in this *Code* shall be construed to deny any person, organization, or employee any rights granted by federal, State, or local law or by charter provision.

**Section 10.2 - Invalid Section of *Code***

If any provision of this *Code* or application of such provision to any person, organization, employee or circumstance shall be held to be invalid, the remainder of this *Code* or the application of such provision to persons, organizations, employees, or circumstances other than those being held invalid shall not be affected thereby.

**Section 10.3 - Nondiscriminatory Language Reference**

Whenever the masculine gender is used in the *Administrative Code*, it shall be understood to include the feminine gender.

**Section 15 - Definitions**

**Section 15.1 - Appointing Authority -** the Executive Officer or other person designated by the Executive Officer as the appointing authority.

**Section 15.2 - SCAQMD Board, Governing Board, or Board of Directors** – South Coast Air Quality Management District Board.

**Section 15.3 - Executive Officer -** the employee appointed by SCAQMD Board to direct the activities of SCAQMD, or his or her designated representative.

**Section 15.4 - SCAQMD**- the South Coast Air Quality Management District.

**Section 15.5 - Designated Deputy -** an employee employed on an "at-will" basis who serves at the pleasure of the Executive Officer. This definition covers the management classes at or above the Director level. Designated Deputies shall be exempt from the provisions of the *Administrative Code* unless specifically referenced in the *Code*.

**Section 15.6 - Employee -** those hired into regular budgeted positions, Board Member Assistants, and, when hired under the "employee" option, Board Member Consultants, but excluding temporary agency employees, independent contractors (including Board Member Consultants hired under the "independent contractor" option), students enrolled in cooperative education programs, volunteers, and members of SCAQMD's Board, Hearing Board, or SCAQMD committees.

**Section 15.7 - Board Member Assistant and Board Member Consultant** - individuals employed on a contract basis who serve at the pleasure of SCAQMD's Board and can be terminated by either the Board or the Board Member for whom they serve. These individuals shall be exempt from the provisions of the *Administrative Code* unless specifically referenced in the *Code* or in their contract with SCAQMD.

**Section 15.8 - Management Employee** - for purposes of the provisions of the *Salary Resolution*, *Personnel Rules*, and *Administrative Code*, the term "management employee" is defined to include employees in attorney classifications, even though they may not have management responsibilities.

**Section 20 - Executive Officer**

There is hereby created the position of Executive Officer who, under the direction of SCAQMD's Board, has full responsibility for the operation of SCAQMD.

**Section 20.1 - Duties**

The Executive Officer creates an air pollution control master plan and augments this plan through basin-wide strategies for controlling and suppressing air pollution; is responsible for fiscal, personnel, and other administrative policies for SCAQMD; directs air pollution control in source test, instrumentation and methods development, meteorological, enforcement, and engineering; and develops and implements changes in organization, staffing, and management information systems in order to increase effectiveness and efficiency.

The Executive Officer is authorized to employ and discharge all personnel, and to make assignments of such personnel as necessary.

The Executive Officer shall observe and enforce, within SCAQMD, all orders, regulations, and rules pertaining to air quality control as prescribed by SCAQMD's Board and by the State *Health and Safety Code*.

The Executive Officer is authorized to employ Designated Deputies who shall serve at the pleasure of the Executive Officer. The Executive Officer is authorized by SCAQMD's Board to terminate Designated Deputies without cause and without notice or a hearing.

**Section 20.2 - Reservation of Authorities by SCAQMD Board**

SCAQMD's Board specifically reserves for itself the following authorities:

1. Appointment of boards and committees
2. Appointment of Executive Officer and General Counsel
3. Approval of annual budget
4. Appropriation of over realized revenue
5. Approval of memoranda of understanding
6. Authority to create new positions

7. Approval of unbudgeted expenditures exceeding ten thousand dollars ($10,000) within SCAQMD's total appropriation in accordance with the *Procurement Policy and Procedure*
8. Approval of contracts, with the exception that the Executive Officer can contract for items or services costing $75,000 or less in accordance with the Procurement Policy and Procedure and the *Consultant Selection Policy and Procedures*

Pursuant to Section 40482 of the California *Health and Safety Code*, all other powers, duties, functions, and jurisdictions not specifically detailed in Section 20.2 above, and that may legally be delegated are hereby presumed to be delegated to the Executive Officer.

**Section 30 ─ SCAQMD's Governing Board Meeting Procedures**

**30.1 – Index**

**30.2 General**
**30.3 Placement of Items on the Board Agenda**
**30.4 Authorities and Duties of the Chair**
**30.5 Receipt of Public Testimony**
**30.6 Changes to Text of Proposed Items**
**30.7 Motions**
**30.8 Voting**
**30.9 Reconsideration or Amendment of Completed Agenda Items**
**30.10 Continuance Upon Lack of Action**
**30.11 Prohibition of Megaphones, Large Signs, and Sticks**

**Section 30.2 ─ General**

These rules shall apply to meetings of SCAQMD's Governing Board. Except as otherwise required by law, these rules may be suspended by order of the Board. Failure to follow these rules shall not invalidate any action taken.

**Section 30.3 ─ Placement of Items on the Board Agenda**

1. Placement. Any Board Member may place an item on the agenda for the next regular Board meeting, provided that the request for such placement is made prior to or at the Administrative Committee meeting which reviews the agenda for that Board meeting. The Chair may authorize the addition of items to the agenda after the Administrative Committee meeting if there is an urgent need for Board action.

2. Removal. A Board Member may remove an agenda item that he or she placed on the agenda if such a request is made prior to public distribution of the agenda.

3. Reconsideration. The Board may reconsider any agenda item that previously received official action (i.e., approval or disapproval by the required majority vote of the Board), provided that the request for reconsideration is made by a Board Member who voted with the prevailing side. If there was no prevailing side, i.e., no side received the number of votes required for action under applicable statutes, any member may request reconsideration.

**Section 30.4 ─ Authorities and Duties of Chair**

The Chair shall preside over meetings of the Board and shall possess the authorities and perform the duties specified in this subdivision, subject to the right of appeal to the Board pursuant to subparagraph (e)(2)(D). In the absence of the Chair, the Vice Chair shall exercise the authorities and duties of the Chair. The authorities and duties of the Chair are as follows:

(1) call the meeting to order;

(2) preserve order and decorum;

(3) consistent with paragraph (d)(2), limit the amount of time that a person may address the Board during public testimony in order to accommodate those persons desiring to speak and to facilitate the business of the Board;

(4) recognize members who are entitled to the floor;

(5) state and put to vote all motions that are properly made, or, if a motion is not in order, to rule it out of order;

(6) decide all questions of order;

(7) schedule recesses and take other actions to endeavor to assure the presence of a quorum in the Board room at all times during a meeting;

(8) declare the meeting adjourned when the Board so votes, or if less than a quorum is present, on the Chair's own initiative; and

(9) designate an acting Chair to preside at the Board meeting in the absence of the Chair and Vice Chair.

**Section 30.5 ─ Receipt of Testimony**

(1) Public's Right to Testify. The Board will allow testimony by the public on any agenda item before or during the Board's consideration of the item. The Board need not allow public testimony on any item that has already been considered by the Board or a Board committee at a public meeting where all interested members of the public were afforded the opportunity to testify on the item, unless the item has been substantially changed since the Board or committee considered the item.

(2) Time Allotted for Testimony. Each member of the public wishing to testify shall file a Request to Speak card with the Clerk of the Board. To facilitate an orderly proceeding, the card should be filed prior to commencement of consideration of the item, and must be filed prior to the close of the public testimony regarding the item. Each member of the public,

timely filing a Request to Speak card, shall be afforded at least three minutes to testify. The Chair may increase this allotment for an individual speaker if the issues addressed are complex or if the speaker represents other persons.

(3) Written Submittals. The Clerk of the Board shall not be required to accept written testimony or comments unless 25 copies of such testimony or comments are provided.

(4) Public Hearings. Agenda items requiring a public hearing shall be subject to this paragraph.

(A) Closing Public Testimony. The Chair shall close the public testimony portion of a public hearing after all persons timely filing Request to Speak cards have testified. The Board may thereafter deliberate and vote on the item.

(B) Reopening Public Testimony.

(i) Reopening During Hearing. Public testimony may be reopened by the Chair or Board at any time prior to the conclusion of the Board's consideration of the item. The Chair or Board may restrict testimony to a limited number of persons specified by the Chair or Board, if such testimony is solely to summarize or clarify information already in the record.

(ii) Reopening After Continuance. If, after closing public testimony, the Board continues the item to a later time or date for deliberations and voting, public testimony may not be reopened at the continued hearing unless (1) public notice required for a hearing on the matter has been given, or (2) prior to continuing the item, the Board announced its intention to reopen public testimony at the continued hearing.

(C) Receipt of Information Outside of Record Regarding Proposed Rules. If a Board Member receives information which is not in the record and which is material to the member's vote on a proposed rule, the member shall disclose that information on the record either verbally or in writing. If the information disclosed by a Board Member could substantially influence the decision of the Board and was not available to the public prior to the close of public testimony, the hearing shall be reopened to allow public comment on the new information.

(D) Testimony and Action on Proposed Rules Modified After Public Notice

(i) If, subsequent to issuance of the 30-day public notice of hearing to adopt or amend a rule, changes are made in the text of the proposed rule which significantly affect its meaning, the Board may consider and hear public comment regarding the proposed rule at the noticed hearing but shall not take action on the changed text. The Board shall publicly release or summarize the text changes and shall continue the hearing to no earlier than its next regular meeting. At the subsequent meeting, the Board shall allow testimony regarding the changed text prior to taking final action. In

determining whether or not a proposed change significantly affects the meaning of a rule, the following factors shall be considered:

(a) impact of the change on emission reductions,

(b) impact of the change on sources regulated by the rule,

(c) the contents of the public notice, and

(d) the range of project alternatives described in the CEQA document.

**Section 30.6 ─ Changes to Text of Proposed Items**

It is the Board's policy that no changes may be made to the text of any item after the Friday of the week prior to the Board meeting unless the change responds to an emergency. The determination of whether an emergency exists will be made by the Chairman in consultation with the Executive Officer. The Board retains the discretion to change the text of proposed rule or rule amendment at a public hearing on the item consistent with the provisions in 4.D. above.

**Section 30.7 ─ Motions**

(1) Procedure, General. The following procedure shall be utilized in making and ruling upon motions:

(A) Making Motion. A member who has been recognized by the Chair as having the floor may make a motion.

(B) Seconding. A motion may be seconded without receiving the floor.

(C) Stating by Chair. The Chair shall state the question on the motion. Alternatively, the Chair may request the Clerk or the member making the motion to state the motion. The Chair shall ensure that the question is put into clear and suitable form--preserving the content to the satisfaction of the mover--before the question is stated. The Chair shall require that lengthy or complex motions be in writing before stating.

(D) Modification. Until the question on the motion is stated by the Chair, it may be modified by its maker and, if so, the second may be withdrawn. After stating by the Chair, a motion may only be modified by the Board through a motion to amend.

(E) Debate. The Chair shall assign the floor for debate on the motion first to the maker of the motion and then to each member wishing to speak to the motion. Unless a motion calling for the question is adopted by the Board (see subparagraph (e)(2)(C)), the Chair shall not close debate so long as any member has not had the opportunity to speak twice on the question.

(F) Vote. The Chair shall put the question to a vote.

(G) Announcement, Change of Vote. The Chair shall announce the result of the vote, either verbally or by electronic display. A member has the right to change his or her vote up to the time the result is announced. Thereafter the member can change a vote only by permission of the Board.

(2) Types of Motions. The following types of motions shall be handled in the manner specified:

(A) Main Motion. A main motion must be seconded, is debatable, and may only be made when no other motion is pending.

(B) Amend a Pending Motion. A motion to amend must be seconded, is debatable if the motion to be amended is debatable, and takes precedence over (i.e., must be voted upon prior to) the main motion. A motion to amend may be amended (i.e., a "second degree" motion to amend). A motion to amend a second degree motion is not allowed. An amendment must be germane to the subject of the motion amended, but may be hostile to the original motion. An amendment is improper if it merely makes adoption of the amended question equivalent to a rejection of the original motion. A "substitute" is a type of amendment striking all or part of a main motion and inserting new provisions. The Chair may first accept only amendments to the motion proposed to be struck, and then only amendments to the proposed substitute, so that the Board will understand the final form of the main motion and proposed substitute prior to voting on the substitute.

(C) Call for the Question ("Previous question"). Adoption of a motion calling for the question immediately closes debate and subsidiary motions and puts the matter to a vote. The motion must be seconded, and is not debatable. In order to minimize restriction of a member's right to debate, the motion must be adopted by the affirmative votes of two-thirds of the members present, or by a majority of the members of the full Board, whichever is greater.

(D) Appeal. An appeal allows the Board to decide whether or not to overrule a procedural ruling of the Chair. An appeal must be made immediately upon the Chair's ruling, must be seconded, and is debatable. A majority vote is required to reverse the Chair's decision. The appeal takes precedence over any question pending at the time the Chair makes a ruling from which the appeal is made.

(E) Point of Order. A point of order questions the appropriateness of procedure. A point of order need not be seconded, is not debatable, may be made by a member who does not have the floor, and is ruled upon by the Chair. It takes precedence over any pending question out of which it may arise.

(F) Amend Something Previously Adopted.[1] This motion must be seconded and is debatable.

(G) Reconsider.[1] A motion to reconsider brings back for further consideration a motion which has already been voted on. In order to protect against dilatory use, the motion can be made only by a member who voted with the prevailing side. If there was no prevailing side, i.e., no side received the number of votes required for action under applicable statutes, any member may move to reconsider. The motion must be seconded (by any member) and is debatable. Unless otherwise specified in the motion, the effect of adoption of the motion is to suspend all action that depends on the vote to be reconsidered.

(H) Depart From Agenda[1] (e.g., immediately take up an item out of order). This motion must be seconded and is not debatable.

**Section 30.8 ─ Voting**

(1) Majority Vote Requirement. Notwithstanding any contrary principles of parliamentary procedure, adoption of any motion by the Board shall require the affirmative votes of a majority of the members of the Board, unless otherwise required by law. Calif. Health & Saf. Code §40424 ("no official action shall be taken by the Board except in the presence of a quorum and upon the affirmative votes of a majority of the members of the Board").

(2) Procedure. Voting on the adoption of all items on the Board agenda shall be by roll call or by electronic display of the vote of each member. Unless any Board Member objects, a unanimous voice vote may be utilized to adopt any motion, including adoption of an agenda item. A unanimous voice vote shall be recorded by the Clerk as an "aye" vote for each member present. For purposes of this subdivision, the consent calendar may be considered a single item.

**Section 30.9 ─ Reconsideration or Amendment of Completed Agenda Items**

(1) Requirement. In the case of an agenda item requiring a public hearing, the Board shall not reopen the agenda item for reconsideration or amendment if the Board completed its consideration of the item earlier during the same meeting and (1) such completion was publicly announced by the Chair, (2) the Board proceeded to consider another item, or (3) the Board subsequently recessed.

(2) Exceptions. Paragraph (1) shall not apply if:

(A) prior to completing consideration of the agenda item, the Chair announced its intention to further consider the item at a later time during the meeting;

[1] See subdivision (g) for restrictions on reconsidering or amending an agenda item after the Board completes consideration of the item.

(B) the Board is reopening an item for the sole purpose of determining whether or not to schedule a motion to reconsider or amend the item for a subsequent meeting which will be publicly noticed pursuant to law; or

(C) placement of a new agenda item for the purpose of reconsidering or amending an agenda item would be authorized by Government Code Section 54954.2(b)(1) (emergencies involving threatened disruption of public facilities) or Government Code Section 54954.2(b)(2) (authorizing addition of new agenda items at regular meetings after 72 hour agenda posting if Board, by two-thirds vote, determines that there is a need to take immediate action and that the need for action came to the attention of the agency subsequent to the agenda being posted).

(3) The agenda for each meeting of the Board shall include a notice to the public that the Board may reconsider or amend any item not requiring a public hearing at any time during the meeting.

**Section 30.10 ─ Continuance Upon Lack of Action**

Unless otherwise specified by the Board, any agenda item which is not acted upon by the Board shall by operation of this provision be continued to the next regular meeting of the Board. The Clerk shall provide notice of such continuance as set forth in Government Code Section 54955.1. As used in this subdivision, the term "acted upon" shall mean adoption or defeat of a main motion by the votes of a majority of the Board.

**Section 30.11 ─ Prohibition of Megaphones, Large Signs, and Sticks**

No megaphones, bullhorns, or placards, signs, or posters which are higher or wider than 18 inches, or which have protruding sticks or handles, shall be brought into the Board room during a Board meeting or prior to a Board meeting on the day of the meeting. Upon prior authorization of the Chairman, charts, graphs, or other graphic devices to be used in conjunction with testimony may be brought into the Board room.

**Section 40 - Code of Ethics**

SCAQMD employees' conduct shall be such as to avoid the appearance of conflict between their public duties and private interests. Employees shall adhere to work rules and performance standards established by the Executive Officer. As representatives of SCAQMD, employees shall use good manners, manifest dignity, be accurate in statement, express opinions that do not misrepresent SCAQMD, and exercise sound judgment in the performance of work.

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**Section 40.1 - Solicitation of Gifts**

No employee shall accept or solicit gifts from any business or firm or transact or have financial or other personal interest, direct or indirect, which is in conflict with the proper discharge of duties or would tend to impair independence of judgment or action in the performance of such duties.

**Section 40.2 - Disciplinary Action**

Violations of the provisions of this policy will result in disciplinary action from the Executive Officer.

**Section 42 – Conflict-of-Interest Code**

The Political Reform Act, Government Code Sections 8100, et. seq., requires state and local government agencies to adopt and promulgate conflict-of-interest codes. The Fair Political Practices Commission has adopted a regulation, 2 Cal. Code of Regs. Section 18730, which contains the terms of a standard conflict-of-interest code, which can be incorporated by reference, and which may be amended by the Fair Political Practices Commission to conform to amendments to the Political Reform Act after public notice and hearings. Therefore, the terms of 2 Cal. Code of Regs. Section 18730 and any amendments to it duly adopted by the Fair Political Practices Commission, along with Appendices "A" and "B" in which officials and employees are designated and disclosure categories are set forth, are hereby incorporated by reference and constitute the conflict-of-interest code of SCAQMD.

Designated employees and officials shall file their statements of economic interest with SCAQMD. Upon receipt of the statements of SCAQMD's Governing Board Members and Executive Officer, SCAQMD shall make and retain copies and forward the originals to the Fair Political Practices Commission. Statements for all designated employees shall be retained with SCAQMD. All statements shall be made available for public inspection and reproduction upon request. (Gov. Code Section 81008.)

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## APPENDIX "A"

### Designated Positions

| Position | Reportable Economic Interest Category Number (See Appendix "B") |
|---|---|
| Air Quality Analysis & Compliance Supervisor | 1, 2 |
| Atmospheric Measurements Manager | 1, 2 |
| Board Member Assistant | 1-7 |
| Board Member Consultant | 1-7 |
| Brain & Lung Tumor and Air Pollution Foundation Directors | 6 |
| Building Maintenance Manager | 1 |
| Business Services Manager | 1 |
| Clean Fuels Officer | 1, 2, 6 |
| Clerk of the Board | 1, 2 |
| Community Relations Manager | 1, 2 |
| Controller | 1-4, 6, 7 |
| Designated Deputy | 1-7 |
| Designated Deputy- Legal | 1-7 |
| Deputy District Counsel I | 1-7 |
| Deputy District Counsel II | 1-7 |
| Executive Officer | 1-7 |
| Financial Services Manager | 1-4, 6, 7 |
| Health Effects Officer | 1-4, 6, 7 |
| Human Resources Manager | 1 |
| Investigator | 2 |
| Investigations Manager | 1-7 |
| Mobile Source Air Pollution Reduction Review Committee Member | 1, 2, 6 |
| Mobile Source Air Pollution Reduction Review Committee Member Alternate | 1, 2, 6 |
| Planning & Rules Manager | 1-7 |
| Principal Air Quality Chemist | 1, 2 |
| Principal Deputy District Counsel | 1-7 |
| Procurement Manager | 1-4, 6, 7 |
| Program Supervisor | 1-7 |

| Position | Reportable Economic Interest Category Number (See Appendix "B") |
|---|---|
| Public Affairs Manager | 1, 2, 6 |
| Public Benefits Programs Oversight Committee Member | 6 |
| Purchasing Assistant | 1 |
| Purchasing Supervisor | 1 |
| Quality Assurance Manager | 1, 2 |
| Risk Manager | 1 |
| SCAQMD Board Member | 1-7 |
| SCAQMD Hearing Board Member | 1-7 |
| SCAQMD Hearing Board Member Alternate | 1-7 |
| Senior Air Quality Engineer | 2 |
| Senior Air Quality Engineering Manager | 1, 2 |
| Senior Deputy District Counsel | 1-7 |
| Senior Enforcement Manager | 1, 2 |
| Senior Public Affairs Manager | 1, 2, 6 |
| Senior Public Information Specialist | 1, 2, 6 |
| Senior Staff Specialist | 1-7 |
| Staff Specialist | 1, 2, 6 |
| Supervising Air Quality Engineer | 1, 2 |
| Supervising Investigator | 2 |
| Systems & Programming Manager | 1, 2 |
| Technical Advisory Committee of the Mobile Source Air Pollution Reduction Review Committee | 1, 2, 6 |
| Technical Advisory Committee of the Mobile Source Air Pollution Reduction Review Committee Alternate | 1, 2, 6 |
| Technology Implementation Manager | 1, 2, 6 |
| Consultants/New Positions | * |

*Consultants/new positions shall be included in the list of designated employees and shall disclose pursuant to the broadest disclosure category in the code subject to the following limitation:

The Executive Officer may determine in writing that a particular consultant or new position, although a "designated position," is hired to perform a range of duties that is limited in scope and thus is not required to comply fully with the disclosure requirements described in this section. Such determination shall include a description of the consultant's or new position's duties and, based upon that description, a statement of the extent of disclosure requirements. The Executive Officer's determination is a public record and shall be retained for public inspection in the same manner and location as this conflict-of-interest code (Gov. Code Section 81008).

## Disclosure Categories

Investments and business positions in business entities, and income, including receipt of loans, gifts, and travel payments, from sources that provide services, supplies, materials, machinery, or equipment to SCAQMD.

Investments and business positions in business entities, and income, including receipt of loans, gifts, and travel payments, from sources (including business entities, governmental entities and non-profits) for which the agency has oversight authority. Sources include those subject to SCAQMD rules, regulation, permits, fines, or citations.

Investments and business positions in business entities, and sources of income, including receipt of loans, gifts, and travel payments, from sources that engage in the acquisition, appraisal, disposal, or development of real property within SCAQMD.

Investments and business positions in business entities, and sources of income, including receipt of loans, gifts, and travel payments, from sources that regularly engage in the preparation of environmental impact statements or reports for projects within SCAQMD.

Interests in real property located within the jurisdiction of SCAQMD or within one mile of the boundaries of the jurisdiction of SCAQMD.

Investments and business positions in business entities, and sources of income, including receipt of loans, gifts, and travel payments, from sources that apply for or receive financial or technical assistance, including grants, from SCAQMD.

Investments and business positions in business entities, and sources of income, including receipt of loans, gifts, and travel payments, from sources that have a claim for money or damages pending or have filed such a claim within the last two years.

### Section 45 – Ticket Policy

1. Purpose. The purpose of this Policy is to ensure that all tickets SCAQMD receives from public and private entities and individuals are distributed in furtherance of governmental and/or public purposes.

2. Definitions.
   a. “SCAQMD” shall mean and refer to the South Coast Air Quality Management District.
   b. “SCAQMD Official” shall mean and refer to SCAQMD's “public officials,” as that term is defined by Government Code section 82048 and Fair Political Practices Commission Regulation 18701.
   c. “FPPC” shall mean and refer to the California Fair Political Practices Commission.
   d. “Immediate family” shall mean and refer to the spouse or domestic partner, and dependent children.
   e. “Policy” shall mean and refer to this Ticket Policy.

f. “Ticket” shall mean and refer to a “ticket or pass” as that term is defined in FPPC Regulation 18944.1, as amended from time to time, but which currently defines a “ticket or pass” as admission to a facility, event, show, or performance for an entertainment, amusement, recreational, or similar purpose.

3. Limitation. This Policy shall only apply to SCAQMD's distribution of tickets to, or at the behest of, an SCAQMD Official.

4. Ticket Distribution Public Purposes. SCAQMD may accomplish one or more of the following governmental and/or public purposes through the distribution of tickets to, or at the behest of, an SCAQMD Official. The following list is illustrative rather than exhaustive:

a. Promotion of health and environmental improvement activity within SCAQMD;
b. Promotion of community resources available to SCAQMD residents and businesses, including charitable and nonprofit organization resources;
c. Promotion of SCAQMD resources available to SCAQMD residents and businesses;
d. Promotion of SCAQMD-run, sponsored, or supported community programs;
e. Promotion of SCAQMD facilities available for SCAQMD resident and business use;
f. Promotion of SCAQMD recognition, visibility, and/or profile on a local, state, national, or worldwide scale;
g. Promotion of open government by SCAQMD Official appearances, participation and/or availability at business and/or community events;
h. Performance of a ceremonial role or function representing SCAQMD at the event, for which SCAQMD Official may receive enough tickets for SCAQMD Official and each member of his or her immediate family;
i. Job duties of SCAQMD Official that require his or her attendance at the event, for which SCAQMD Official may receive enough tickets for SCAQMD Official and each member of his or her immediate family;
j. Intergovernmental relations purposes, including but not limited to attendance at an event with or by elected or appointed public officials from other jurisdictions.

5. Public Purpose Requirement. The distribution of any ticket by SCAQMD to, or at the behest of, an SCAQMD official shall accomplish a governmental and/or public purpose.

6. Transfer Prohibition. The transfer by any SCAQMD Official of any ticket distributed to such SCAQMD Official pursuant to this Policy to any other person, except to members of SCAQMD Official’s immediate family for their personal use, is prohibited.

7. Website Posting. This Policy shall be posted on SCAQMD’s website in a prominent fashion.

8. Website Disclosure. The distribution of a ticket or tickets pursuant to this Policy shall be posted on SCAQMD’s website in a prominent fashion within thirty (30) days after the ticket distribution. Such posting shall use FPPC California Form 802 or such alternate form as from time to time the FPPC may designate.

9. Designation of Agency Head. For the purpose of implementing this policy, and completing and posting the FPPC California Form 802, the Executive Officer or his/her designee shall be the "Agency Head."

**Section 50 - Employee Affirmative Action Committee**

**Section 50.1 - Purpose**

There is hereby established an ad hoc committee designed to achieve an increase in qualified female, minority, and disabled representation at all levels within SCAQMD and to improve diversity awareness and appreciation.

**Section 50.2 - Authority**

The Committee is advisory and, as such, reports directly to the Executive Officer, or designee.

**Section 50.3 - Membership**

The Executive Officer shall determine the size and membership of the Committee in accordance with the Affirmative Action Plan.

**Section 50.4 - Responsibilities**

The responsibilities of the Committee will be the following:

1. To provide assistance in the development of equal employment opportunities

2. To provide assistance to the Affirmative Action Officer in the identification and solution of affirmative action problems

3. To develop and implement educational programs in the areas of equal opportunity and diversity

4. To serve as a channel of communication between SCAQMD and all protected groups as provided for under Equal Employment Opportunity laws, including, but not limited to, minority communities, women, and the disabled

5. To refer Equal Employment Opportunity complaints to SCAQMD's Affirmative Action Officer

6. To develop recommendations for improvement of the existing program and to help in the implementation of new ideas and programs, and

7. To keep the Executive Officer and other management personnel informed on progress, effectiveness, and trends in the field of affirmative action

**Section 60 - Sexual Harassment**

Sexual harassment is unacceptable conduct, which takes various forms. It is deliberate or repeated unsolicited verbal comments, questions, representations, or physical contacts of an intimate sexual nature that are unwelcome to the recipient. Sexual harassment can also take the form of making or threatening to make decisions affecting an employee's job on the basis of an acceptance or refusal of a request for sexual intimacy.

Sexual harassment is a form of employee misconduct that undermines the integrity of SCAQMD and the employment relationship. It has a negative impact on employee morale and interferes with the productivity of its victims and their co-workers. While it is not SCAQMD's intent to regulate employees' social interactions or relationships freely entered into, conduct constituting sexual harassment will not be tolerated and will be thoroughly investigated. Such investigation may result in appropriate disciplinary or corrective measures being taken.

**Section 80 - Office Hours**

Except as otherwise provided by the Executive Officer, or designee, all SCAQMD business offices shall be open to the public from 7:00 a.m. to 5:30 p.m., Tuesdays through Fridays, except SCAQMD-observed holidays.

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## Section 90 – Records Retention Policy and Schedule

**SCOPE**:

This Records Retention Policy applies agency-wide, including all departments and all SCAQMD offices and facilities maintaining records and information for SCAQMD.

This document does not, however, constitute SCAQMD policy with regard to public access to its records. Rather, SCAQMD's *Guidelines for Implementing the California Public Records Act* provide procedures and principles governing the public's right to access public records.

**PURPOSE:**

The purpose of this policy is to provide requirements and guidelines for managing the life cycle of all SCAQMD records and information. The policy establishes a records retention program to apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, and disposal of all records used in the operations of SCAQMD business.

All SCAQMD records and information shall be retained and disposed of only in accordance with the retention periods specified in SCAQMD's Records Retention Schedule and with this and related policies and procedures. The Schedule is SCAQMD's official policy for information retention and disposal, and it is developed in accordance with all applicable state and federal laws and regulations, as well as good business practices.

**DEFINITIONS:**

Record - A record is any document containing information relating to the conduct of the public's business prepared, owned, received, used, or retained by SCAQMD, regardless of media, physical form, or characteristics. Formats can include paper, electronic records, microform, photographs, maps, disks, film, magnetic tapes, and sound recordings.

Original Record - The Original Record is a document on file with the Primary Recordkeeping Department, as identified in the Records Retention Schedule. Every reproduction of an electronically stored document maintained by the Primary Recordkeeping Department shall be deemed to be an Original Record, pursuant to Government Code §34090.5.

Non-Record - A non-record is material not usually included within the definition of records and not retained in the normal course of business, such as: unofficial copies of documents kept only for convenience or reference, working papers, research material, rough notes, drafts used in the preparation of other documents, and library material intended solely for reference or exhibition.

**RESPONSIBILITIES**:

## A. Departments, Divisions, and Other Units

Employees in all departments, divisions, and other business units are directly responsible for the management of all records, documents, files, data, and other information pertaining to SCAQMD's official business. To fulfill this responsibility, each department or unit will do the following:

- Identify and maintain the records for which it serves as the Primary Recordkeeping Department.
- Appoint a person or persons to serve in the capacity of Records Retention Coordinator, with overall responsibility for implementing the Records Retention Policy within their respective department.
- Ensure that each person within the department or unit implements the Records Retention Schedule for all records and information within the scope of their responsibility.
- Conduct one or more Records Purge Days per year to effect the disposal of all records eligible for such disposition, as set forth in the Records Retention Schedule.

## B. Records Retention Coordinators

Records Retention Coordinators are responsible for operating the records retention program within their respective departments or business units. This responsibility includes, but is not limited to:

- Ensuring full and complete implementation of the Records Retention Schedule.
- Coordinating one or more Records Purge Days each year.
- Evaluating the effectiveness of the retention schedules, and proposing revisions to the Records Retention Schedule relating to the records within the scope of their responsibility.
- Working with the General Counsel’s Office to periodically update the Records Retention Schedule.
- Ceasing the disposal of relevant records or information promptly upon notification by SCAQMD attorneys of a disposal suspension for litigation or other reasons.

## C. Information Management Division

Information Management Division is responsible for the following:

- Assist with the development and maintenance of the records retention program throughout SCAQMD. The program will consist of this Policy, and of the Records Retention Schedule.

- Develop and maintain a website for the Records Retention Schedule on SCAQMD's intranet, together with all policies, practices, and other tools such that all SCAQMD employees can comply fully with the records retention program.

- Develop policies, standards, and guidelines for the operation of centralized facilities for the storage, retrieval, and other management of records. Assume the direct responsibility for the operation of all centralized electronic document management and offsite storage facilities for the storage and retrieval of records throughout SCAQMD.

## D. Legal Divisions

SCAQMD's General Counsel's Office is responsible for the following:

- Reviewing, periodically, the Records Retention Policy and Schedule, in coordination with the Records Retention Coordinators from each department or unit, and determine if revisions should be proposed to SCAQMD's Governing Board.

- Assisting with the development and maintenance of the Records Retention Schedule.

- Advising all departments and employees of actual or potential litigation, government investigations, or other circumstances that will or may affect records retention or disposal actions. For example, for pre-trial discovery proceedings, disclosure of all existing records is generally required - including the production of non-records, or records that should have been destroyed previously in accordance with the Records Retention Schedule.

- Issuing Disposal Suspensions that formally suspend records disposal, specifying the types of records to which these suspensions relate, and removing these suspensions when appropriate.

- A Disposal Suspension means, among other reasons, that the information contained in the records is, or may be, subject to production under a subpoena or document discovery order issued by proper authority and that disposal under authority of the Records Retention Schedule is not authorized.

- Providing legal advice to all departments concerning all matters related to the legal aspects of the Records Retention Policy and Schedule.

## ADDITIONAL RETENTION POLICY GUIDELINES:

### A. Copies of Original Records

Copies of Original Records may be maintained by SCAQMD's employees in their own offices or elsewhere for convenient reference or other purposes. Such additional copies may be in the same format (paper, photographic, or electronic) or in a different format as the Original Record. In either case, they are considered duplicate records for retention purposes. Copies of an Original Record (1) may be kept no longer than the retention period set forth in the Records Retention Schedule, and (2) may be destroyed at any time.

Employees are cautioned, however, that on some occasions a duplicate record can become a "new" record and would, therefore, be subject to the records retention program. For example, when annotations of substantive value are made to a duplicate record, that record may attain value as a separate record, which may be considered a new "official" record for purposes of retention.

### B. Long-Term Document Retention

It is SCAQMD policy to minimize the storage of documents in paper format. Electronic media should be utilized as the primary means for storage. For records with an established retention period of at least 10 years, the records should be electronically imaged immediately, or at the earliest time practical, and the paper copy should be destroyed. Under some circumstances, the department or other staff may make the determination that the paper copy of a record should also be kept for a period up to, but not exceeding, the retention period. In addition, where electronic storage is impractical for a particular record, long-term retention will be in the appropriate format.

### C. Non-Records

Non-records are not kept in the normal course of business, therefore, they may be disposed of at any time. However, if a non-record is retained as an integral part of a file or in conjunction with Original Records, then it shall be retained in accordance with the appropriate retention schedule.

### D. E-mail Communications

Electronic communications, including electronic mail messages (“e-mail”) created, received, retained, used, or disposed of using SCAQMD’s electronic mail system and which meet the criteria of the definition of a record may be considered public documents. E-mail messages are merely a means of transmitting information and are not, by themselves, considered a record type or category for retention purposes. The content and function of the message, as well as any attachments associated with that message, determine the e-mail’s retention period. To that end, it is the employee’s responsibility to accurately classify an e-mail message according to the record retention categories set forth in the Records Retention Schedule and to ensure that the record is maintained for the prescribed retention period.

If the content of an e-mail message is necessary for, or convenient to, the conduct of SCAQMD business and was made for the purpose of preserving its informational content, employees are required to take appropriate steps to ensure its retention in accordance with the Records Retention Schedule.

## E. Electronic Data Retention

All retained information must be stored in a manner designed to ensure its accessibility, integrity, confidentiality, authenticity, and legibility. All departments are responsible for ensuring that the storage media selected for retention purposes (as well as the hardware, software, and other system components) are sufficient to ensure the integrity of the records for the specified retention period. Conversion from one storage medium to another will include adequate controls to support these requirements.

## F. Destruction/Disposal of Records

Records shall be destroyed at the end of the appropriate retention period. SCAQMD's Governing Board action is not required for the destruction of documents in accordance with the Board-approved Records Retention Schedule. However, no records may be destroyed or otherwise disposed of except as provided in this policy and in compliance with the Records Retention Schedule.

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| SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT<br>RECORDS RETENTION SCHEDULE | | | |
|---|---|---|---|
| **ITEM NO.** | **TITLE AND DESCRIPTION OF RECORDS** | **RETENTION PERIOD** | **NOTES** |

## DISTRICTWIDE

**SECTION/DIVISION: Districtwide**

| | | | |
|---|---|---|---|
| 1 | Correspondence | 2 yrs. | D |
| 2 | Interoffice Memoranda | 2 yrs. | D |
| 3 | Calendars | 1 yr. | D |

## EXECUTIVE OFFICE

**SECTION/DIVISION: Executive Office**

| | | | |
|---|---|---|---|
| 1 | Chronological Files of Executive Officer | T + 5 yrs. | D |
| 2 | Personal and Professional Files of Executive Officer | UCC + 5 yrs. | D |
| 3 | Board Member Correspondence | 10 yrs. | D |
| 4 | Board Member Travel Authorizations | 7 years from date of issuance | D |
| 5 | Advisory Council Agendas, Minutes, Rosters, etc. | P | |
| 6 | Administrative Committee and Board Assistants Briefing (presentations, agendas, and other materials) | 3 yrs. | D |
| 7 | Administrative Code | P | |

**SECTION/DIVISION: Clerk of the Boards**

| | | | |
|---|---|---|---|
| 1 | Hearing Board Case Files | 10 yrs. | D |
| 2 | Audio Recordings of Hearing Board Hearings | 5 yrs. | D |
| 3 | Check Registers | 2 yrs. | D |
| 4 | Oaths of Office | T + 2 yrs. | D |
| 5 | Governing Board Agenda/Minutes Package | P | |
| 6 | Proofs of Publication for Notice of Rules (SCAQMD Board) | Rule Adoption + 1 yr. | D |
| 7 | Proofs of Publication for Notices of SCAQMD Board Meetings | 1 yr. | D |
| 8 | Governing Board Member Travel Reports | 1 yr. | D |
| 9 | Hearing Board General Meetings (agendas and actions) | 2 yrs. | D |
| 10 | Comment Cards | 4 yrs. | D |

| | | | | | |
|---|---|---|---|---|---|
| ASP | As Space Permits | DUP | Duplicate Record | SUP | When superseded |
| CU | Current | L | Life of Contract or Project or Object | T | Termination |
| D | Destroy | P | Permanent | UCC | Until Closed or Completed |

| SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT<br>RECORDS RETENTION SCHEDULE | | | |
|---|---|---|---|
| **ITEM NO.** | **TITLE AND DESCRIPTION OF RECORDS** | **RETENTION PERIOD** | **NOTES** |
| **GENERAL COUNSEL'S OFFICE** | | | |
| 1 | Legislation (comments submitted) | 5 yrs. | D |
| 2 | Legislation (comments received) | 3 yrs. | D |
| 3 | Regulatory Proceedings (submissions, filings, etc.) | P | |
| 4 | Opinions/Advice (letters and memos, including those from outside counsel) | P | |
| 5 | Rule Interpretations | P | |
| 6 | Non-Enforcement Civil Litigation (pleadings and orders) | UCC + 10 yrs. | D |
| 7 | Non-Enforcement Civil Litigation (discovery) | UCC + 3 yrs. | D |
| 8 | Conflict of Interest Forms | Original filings - 7 yrs./ Copies of those filed with the FPPC - 4 yrs. | D |
| 9 | Settlement Agreements and Inter-Agency MOUs (non-enforcement) | UCC + 10 yrs. | D |
| 10 | FPPC California Form 802 – Agency Report | 7 yrs. | D |
| 11 | Hearing Board Matters (correspondence, notes, penalties, settlement agreements, receipts, and filings[2]) | UCC + 7 yrs. | D |
| 12 | Enforcement Cases (including MSA and small claims matters) | UCC + 7 yrs. | D |
| 13 | Third Party Subpoenas (personal appearance, trial, and document subpoenas) | 2 yrs. | D |
| 14 | Bankruptcy Claims | UCC + 1 yr. | D |
| 15 | Settlement Reports | 7 yrs. | D |
| 16 | Settlement Agreements (enforcement-related) | UCC + 7 yrs. | D |
| 17 | Policies and Manuals | CU | D |

[2] Note that the Clerk of the Boards retains all Hearing Board filings for 10 years.

## SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT
## RECORDS RETENTION SCHEDULE

# FINANCE

### SECTION/DIVISION: Accounting

| ITEM NO. | TITLE AND DESCRIPTION OF RECORDS | RETENTION PERIOD | NOTES |
|---|---|---|---|
| 1 | Bad Checks | 3 yrs. | D |
| 2 | Bank Deposits/Receipts (including supporting documents) | 5 yrs. | D |
| 3 | Bank Statement | 7 yrs. | D |
| 4 | Bills – Payable (including supporting documents) | 7 yrs. | D |
| 5 | Claims (expense and mileage) | 7 yrs. After payment | D |
| 6 | Contract Payment and Records | 7 yrs. After payment | D |
| 7 | Credit Card Payment and Records | 7 yrs. After payment | D |
| 8 | Deposits Permits Registers | 5 yrs. | D |
| 9 | Expenditure Ledger (old system) | P | |
| 10 | Fiscal Year End Statements | P | |
| 11 | Fixed Asset Invoices | 7 yrs. | D |
| 12 | General Journal | 7 yrs. | D |
| 13 | Income Tax Reports -1099 (including supporting documents) | 7 yrs. | D |
| 14 | Journal Report | 3 yrs. | D |
| 15 | Miscellaneous Revenue Registers | 7 yrs. | D |
| 16 | Monthly Statements | 5 yrs. | D |
| 17 | SCAQMD Receipts | 5 yrs. | D |
| 18 | Use/Sales Tax Returns and Records | 7 yrs. | D |
| 19 | Voucher to be Posted Reports | 3 yrs. | D |
| 20 | Financial Audit Reports | P | |

### SECTION/DIVISION: Cash Management

| | | | |
|---|---|---|---|
| 1 | Account Analysis Statement | 3 yrs. | D |
| 2 | Accounts Receivable Report -240/807 Report | 5 yrs. | D |
| 3 | Automated/Manual Refund Check Register | 3 yrs. | D |
| 4 | Daily Bank Reports | Current FY + 3 yrs. | D |
| 5 | Bank Statements | 7 yrs. | D |
| 6 | Cancelled Applications/Fee Data Sheet | 5 yrs. | D |
| 7 | Check Registers | 7 yrs. | D |
| 8 | Fixed Asset Inventory Reports | 5 yrs. | D |
| 9 | PAATS – Overpayment Report | 3 yrs. | D |
| 10 | Payroll Direct Deposit | P | |
| 11 | Payroll Tax Deposits | 5 yrs. | D |
| 12 | Quarterly CNG Tax | 7 yrs. | D |
| 13 | Request for Trust Warrant | 3 yrs. | D |
| 14 | Receivable Paid Invoices/Online Payment Reports | 5 yrs. | D |
| 15 | Receipts – SCAQMD Receipts | 5 yrs. | D |
| 16 | Transmittal of W2 | 7 yrs. | D |
| 17 | Warrants | 7 yrs. | D |

### SECTION/DIVISION: Billing Services

| | | | |
|---|---|---|---|
| 1 | Billing Services Correspondence | 3 yrs. | D |
| 2 | Certified Mail Log | 3 yrs. | D |
| 3 | Returned Mail (fee invoices and validations) | 3 yrs. | D |
| 4 | Fee Billing Invoices | 3 yrs. | D |
| 5 | Certified Mail Receipts – Fee Invoices | 3 yrs. | D |

| SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT<br>RECORDS RETENTION SCHEDULE | | | |
|---|---|---|---|
| **ITEM NO.** | **TITLE AND DESCRIPTION OF RECORDS** | **RETENTION PERIOD** | **NOTES** |

## FINANCE

**SECTION/DIVISION: Financial Services**

| | | | |
|---|---|---|---|
| 1 | AB 2766 Mobile Source and SB 1928 Clean Fuels | Audit + 3 yrs. | D |
| 2 | AB 2588 "Hot Spots" | Audit + 3 yrs. | D (Or until CARB invoice is paid + 3 yrs.) |
| 3 | Budget Documents | P | |
| 4 | EPA Grants | Final Report + 3 yrs. | D |
| 5 | State Subvention Documents | Audit + 3 yrs. | D |
| 6 | Investment Oversight Committee (presentations, agendas, and other materials) | 3 yrs. | D |
| 7 | Finance Committee (presentations, agendas, and other materials) | P | |
| 8 | Fee Studies | P | |

**SECTION/DIVISION: Payroll**

| | | | |
|---|---|---|---|
| 1 | Tickler Files | 5 yrs. | D |
| 2 | Payroll History YTD Totals Report | P | |
| 3 | W2s | P | |
| 4 | W2 Reports | P | |
| 5 | Year End Clearing/Closing Reports | P | |
| 6 | 941 Quarterly Reports | P | |
| 7 | LA County Payroll Records | P | |
| 8 | Timecards | P | |
| 9 | Payroll Registers | P | |
| 10 | LACERA Reports | P | |
| 11 | SBCERA Reports | P | |

**SECTION/DIVISION: Procurement**

| | | | |
|---|---|---|---|
| 1 | Contract Files (including Board letters or memos authorizing signatories, Contract Request Authorization Memos, RFPs –if applicable – and successful proposals, as well as miscellaneous notes/correspondence) | L + 5 yrs./+ 7 yrs. If federal funding | D |
| 2 | Fixed Asset Purchase Orders | Current FY +7 yrs. | D |
| 3 | Stockroom Requisitions | Current FY + 2 yrs. | D |
| 4 | Purchase Orders and Requisitions | Current FY + 5 yrs./+7 yrs. If federal funding | D |
| 5 | RFPs/RFQs/Proposals | Current FY + 1 yr. | D |

| SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT<br>RECORDS RETENTION SCHEDULE | | | |
|---|---|---|---|
| **ITEM NO.** | **TITLE AND DESCRIPTION OF RECORDS** | **RETENTION PERIOD** | **NOTES** |

## ADMINISTRATIVE & HUMAN RESOURCES

| **SECTION/DIVISION: Equal Employment Opportunity** | | | |
|---|---|---|---|
| 1 | Workforce Reports | 5 yrs. | D |
| 2 | Discrimination Complaint Files | T + 8 yrs. | D |
| 3 | Complaint Summary Log | P | |
| 4 | EEO-4 Reports | 5 yrs. | D |

| **SECTION/DIVISION: Risk Management** | | | |
|---|---|---|---|
| 1 | Cal OSHA Reports and Citations | 5 yrs. | D |
| 2 | Training Programs and Records | 3 yrs. | D |
| 3 | Worker's Compensation Files | UCC + 5 yrs. | D |
| 4 | Accident Files | 3 yrs. | D |
| 5 | Bonds and Insurance Policies | P | |
| 6 | Employee Injury (First Aid) Files | 3 yrs. | D |
| 7 | Tort Claim Liability Files | UCC + 5 yrs. | D |
| 8 | Toxic Exposure Files | T + 30 yrs. | D |

| **SECTION/DIVISION: Employee/Labor Relations, Benefits & Records** | | | |
|---|---|---|---|
| 1 | Individual Personnel Files (non-termination) | T + 5 yrs. | D |
| 2 | Individual Personnel Files (termination) | P | |
| 3 | Negotiations | P | |
| 4 | Grievances and Arbitrations | P | |
| 5 | Disciplinary Support Files | T + 5 yrs. | D |
| 6 | Tuition Reimbursement Correspondence | 3 yrs. | D |
| 7 | Family/Medical Leave | UCC + 5 yrs. | D |
| 8 | Health Insurance Documentation | 3 yrs. | D |
| 9 | COBRA Documentation | 6 yrs. | D |
| 10 | Section 125 Documentation | 6 yrs. | D |
| 11 | Health Savings Account | 6 yrs. | D |
| 12 | Driver Complaint Logs | 10 yrs. | D |
| 13 | Preventive Harassment, Discipline, Bullying Training log | 10 yrs. | D |
| 14 | Training Log | 10 yrs. | D |
| 15 | Life Insurance Documentation | T + 1 yr. | D |
| 16 | 457 Deferred Compensation Documentation | 2 yrs. | D |
| 17 | Annual Plans, Individual Employee and Committee Documents | 2 yrs. | D |
| 18 | Insurance Contracts | L + 3 yrs. | D |
| 19 | Disciplinary Action Log | P | |
| 20 | MOUs | P | |
| **SECTION/DIVISION: Recruitment, Selection, Classification & Compensation** | | | |
| 1 | Deleted Class Specifications | ASP | D |
| 2 | Wage and Salary Data | ASP | D |
| 3 | Recruitment Files (job descriptions, employment lists, etc.) | SUP | D |
| 4 | Classification Studies | SUP | D |
| 5 | Salary Resolutions | P | |

| SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT<br>RECORDS RETENTION SCHEDULE | | | |
|---|---|---|---|
| **ITEM NO.** | **TITLE AND DESCRIPTION OF RECORDS** | **RETENTION PERIOD** | **NOTES** |

## ADMINISTRATIVE & HUMAN RESOURCES

**SECTION/DIVISION: Maintenance**

| | | | |
|---|---|---|---|
| 1 | Original Building Blueprints | L of Building | D |
| 2 | Building Equipment Information | L of Building | D |
| 3 | Building Maintenance Information | L of Building | D |
| 4 | Maintenance Working Records | 5 yrs. | D |
| 5 | Construction Drawings and Information | L of Building | D |

**SECTION/DIVISION: Business Services**

| | | | |
|---|---|---|---|
| 1 | Drawings – Floor Plans | SUP | D |
| 2 | Utility and Service Invoices | 3 yrs. | D |
| 3 | Conference Room Records | 1 yr. | D |
| 4 | Video Backup Tapes – Perimeter Security Cameras | 1 yr. | D |
| 5 | Security Guards Daily Activity Reports (DAR) | 3 yrs. | D |
| 6 | Property Passes | 1 yr. | D |
| 7 | Security Badge Requests | 1 yr. | D |
| 8 | Access Control I.D. Badges (old, returned, etc.) | 1 yr. | D |
| 9 | Visitors Sign-in Books | 1 yr. | D |
| 10 | RFP/Qs documentation (mailing lists, sign-in sheets, correspondence, advertising) | SUP | D |

**SECTION/DIVISION: Print Services**

| | | | |
|---|---|---|---|
| 1 | Invoices | 1 yr. | D |

**SECTION/DIVISION: Mail Center**

| | | | |
|---|---|---|---|
| 1 | Accountable Mail Log Sheets | 1 yr. | D |

**SECTION/DIVISION: Subscription Services**

| | | | |
|---|---|---|---|
| 1 | Subscription Order Form | 1 yrs. | D |
| 2 | Invoices | 1 yrs. | D |
| 3 | Subscription Services Request Forms | 1 yrs. | D |

**SECTION/DIVISION: Automotive**

| | | |
|---|---|---|
| Automotive Services Contractor Invoices | 5 yrs. | D |
| Errand Request Form | 3 yrs. | D |
| Vehicle Mileage Reports | L of Vehicle | D |
| Vehicle Maintenance Cost | L of Vehicle | D |
| Travel Trip Slips | 3 yrs. | D |

| SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT<br>RECORDS RETENTION SCHEDULE | | | |
|---|---|---|---|
| **ITEM NO.** | **TITLE AND DESCRIPTION OF RECORDS** | **RETENTION PERIOD** | **NOTES** |

## INFORMATION MANAGEMENT

| **SECTION/DIVISION: Records Services** | | | |
|---|---|---|---|
| 1 | Annual Report of Records Statistics | 3 yrs. | D |

| **SECTION/DIVISION: Administration** | | | |
|---|---|---|---|
| 1 | IM Projects | L + 5 yrs. | D |
| 2 | IM Policies and Procedures | SUP | D |
| 3 | IM Reports and Presentations | CU + 1 yr. | D |
| 4 | Audio/Video Recordings (Board meetings, workshops, conferences, etc.) | 3 yrs. | D |
| 5 | Webcasts (YouTube) | P | |

| **SECTION/DIVISION: SCAQMD Library** | | | |
|---|---|---|---|
| 1 | Circulation Records and Statistics | T of borrower's privilege expires | D |
| 2 | Acquisition Records | 4 yrs. | D |

| **SECTION/DIVISION: Database Management** | | | |
|---|---|---|---|
| 1 | Database Unload (weekly/monthly) | 1 yr. | D |
| 2 | Database Unload (yearly) | 3 yrs. | D |
| 3 | Data Models | L + 6 mo. | D |

| **SECTION/DIVISION: Computer Operations** | | | |
|---|---|---|---|
| 1 | System Backup (daily) | 1 mo. | D |
| 2 | System Backup (monthly) | 1 yr. | D |
| 3 | System Backup (yearly) | 3 yrs. | D |
| 4 | System Backup (fiscal year end) | 3 yrs. | D |

| **SECTION/DIVISION: Data Center/Telecommunications** | | | |
|---|---|---|---|
| 1 | Hardware/Software Licenses and Agreements | L + 3 yrs. | D |

| **SECTION/DIVISION: Information Technology** | | | |
|---|---|---|---|
| 1 | Task Order Documents | L + 3 yrs. | D |

| **SECTION/DIVISION: Public Records Unit** | | | |
|---|---|---|---|
| 1 | Public Records Request and Response | 5 yrs. | D |
| 2 | Public Records Requests Weekly Summary and Report | 6 mo. | D |

| SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT<br>RECORDS RETENTION SCHEDULE | | | |
|---|---|---|---|
| **ITEM NO.** | **TITLE AND DESCRIPTION OF RECORDS** | **RETENTION PERIOD** | **NOTES** |

## PLANNING, RULE DEVELOPMENT & AREA SOURCES

**SECTION/DIVISION: Planning, Rule Development & Area Sources**

| | | | |
|---|---|---|---|
| 1 | Rules – Administrative Files (i.e. staff reports, notices, publicly-reviewed drafts, presentations, working group, data analysis, e-mails other than Attorney-Client Privilege and Deliberative Process. | P | |
| 2 | Rule Interpretation/Guidelines | SUP + 3 yrs. | D |
| 3 | Certifications Related to a Rule (i.e., street sweepers) | P | |
| 4 | Annual Emission Reports (AERs), Greenhouse Gas Verifications, etc. | 10 yrs. | D |
| 5 | Rule Plans (i.e., Rule 1111, 1148.2, etc.) | SUP + 3 yrs. | D |
| 6 | AQMP Final Plan (including CEQA, socioeconomics, appendices, supplemental files, supporting documents, etc.) | P | |
| 7 | AQMP Drafts – Revised Drafts | SUP | D |
| 8 | AQMP Emission Inventory, Modeling, and other related data (non-Baseline years) | SUP + 10 yrs. | D – 2 yrs. after new AQMP is approved by EPA |
| 9 | AQMP Baseline Years (emission inventory, modeling, and other related data) | P | |
| 10 | AB 2588 Files | SUP + 16 yrs. | D |
| 11 | Governing Board Committees (i.e., Mobile Source, Climate Change, Refinery, etc.) | 5 yrs. | D |
| 12 | Rules 1415/1415.1 Plan Registrations | 10 yrs. | D |
| 13 | Rule 444 Permits and Plans | 5 yrs. | D |
| 14 | Rule 1610 MSERC Generation Documentation | 5 yrs. from approval of MSERC | D |
| 15 | Rule 1610 MSERC Transaction Forms | 5 yrs. | D |
| 16 | NSR Annual Reports and Accounting | P | |
| 17 | Advisory Groups: HRAG, AQMP, STMPR, etc. (agendas, presentations, minutes, rosters, and audio tapes/recordings) | 5 yrs. | D |
| 18 | Working Groups and Ad Hoc Committees (non-rule related, i.e., White Papers) | 5 yrs. | D |
| 19 | Public Hearing, Public Workshops and Consultation Meetings (audio tapes/recordings) | P | |
| 20 | Inspection and Investigative Reports | 10 yrs. | D |
| 21 | Notices to Comply (NTC) and Information Submitted to SCAQMD Noting That Corrective Action Has Been Taken | 10 yrs. | D |
| 22 | Notices of Violation and NOV Reports | 10 yrs. | D |
| 23 | Contracts/Grants (EPA Grants, AB 1318, Clean Communities Plan, BP Settlements, etc.) | UCC + 5 yrs. | D |
| 24 | Budget Files | 3 yrs. | D |

**SECTION/DIVISION: Meteorology**

| | | | |
|---|---|---|---|
| 1 | Meteorological Reports | 1 yr. | D |
| 2 | Forecasts | P | |
| 3 | Burn/No-Burn Reports | 5 yrs. | D |

| SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT<br>RECORDS RETENTION SCHEDULE | | | |
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## PLANNING, RULE DEVELOPMENT & AREA SOURCES

**SECTION/DIVISION: CEQA**

| | | | |
|---|---|---|---|
| 1 | Intergovernmental Review (IGR) Comment Letters, Board Letters, Testimony, CDs | P | |
| 2 | Hardcopies of IGR CEQA documents, analysis files | 6 months | D |
| 3 | Lead Agency CEQA documents for Rule Projects, AQMP Projects, and Permit Projects | P | |
| 4 | Responsible Agency CEQA documents for Permit Projects | P | |
| 5 | Software Versions (e.g., CalEEMod) | SUP + 5 yrs. | T |

**SECTION/DIVISION: Health Effects**

| | | | |
|---|---|---|---|
| 1 | MATES and Data | P | |
| 2 | Forecasts | P | |
| 3 | Health Studies | 3 yrs. | D |

**SECTION/DIVISION: Transportation Programs**

| | | | |
|---|---|---|---|
| 1 | Rule 2202 Employee Transportation Coordinator (ETC) Training (program records and contracts) | 5 yrs. | D |
| 2 | Rule 2202 ETC Training (class attendees and class evaluations) | 5 yrs. | D |
| 3 | Rule 2202 Guidelines | SUP + 3 yrs. | D |
| 4 | Rule 2202 Program (employer annual compliance forms and correspondence) | 5 yrs. | D |
| 5 | Transportation Conformity Meetings (meeting agenda packets, presentations, reports, correspondence) | 3 yrs. | D |
| 6 | SCAQMD Employee Commute Reduction Program (annual reports, employee commute activity data, incentive claim forms) | 4 yrs. | D |
| 7 | SCAQMD Employee Commute Reduction Program (employee enrollment information) | P | |
| 8 | AB 2766 Subvention Fund Program (local jurisdiction annual program reports, staff reports, and resource guides) | 4 yrs. | D |

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## SCIENCE & TECHNOLOGY ADVANCEMENT

**SECTION/DIVISION: Monitoring & Source Test Engineering**

| | | | |
|---|---|---|---|
| 1 | QA/QC Records | 3 yrs. | D |
| 2 | RECLAIM Relative Accuracy Test Audit (RATA) Test Report Summaries and Data | 5 yrs. | D |
| 3 | Air Quality Data Charts | 5 yrs. | D |
| 4 | Test Protocols and Plans | 5 yrs. | D |
| 5 | In-House Source Test Reports | 10 yrs. | D |
| 6 | Facility-submitted Source Tests (including BBQ and AB 2588 Reports) | SUP + 5 yrs. | D |
| 7 | Contract Source Testing | SUP + 5 yrs. | D |
| 8 | Laboratory Approval Programs | L + 2 yrs. | D – 2 years after closure of facility |
| 9 | Continuous Emission Monitoring System (CEMS) Reports | SUP + 5 yrs. | D |
| 10 | Station Log Books | 5 yrs. | D |
| 11 | Instrument Log Books | L + 5 yrs. | D |
| 12 | Calibration Records | 5 yrs. | D |
| 13 | Work Orders and Repair Orders | 3 yrs. | D |
| 14 | NATTS Monitoring Stations (station log books, instrument log books, calibration records, work orders, and repair orders for NATTS monitoring stations in Central Los Angeles and Rubidoux) | 6 yrs. | D |
| 15 | Air Quality Monitoring Data | P | |
| 16 | Sample Disposal | L + 2 yrs. | D |

**SECTION/DIVISION: Technology Advancement Office**

| | | | |
|---|---|---|---|
| 1 | Technology Committee Agendas, Presentations, Minutes, Rosters, etc. | 1 yr. | D |
| 2 | Advisory Group Agendas, Presentations, Minutes, Rosters, etc. | 2 yrs. | D |
| 3 | Clean Fuels Program Annual Report and Plan Update | P | |
| 4 | Program Project Files (correspondence, invoices, and reports) | UCC+ 3 yrs. | D |
| 5 | Program Project Final Reports (including 2-page synopsis) | 10 yrs. | D |
| 6 | MSRC Agenda/Minutes Package | 5 yrs. | D |
| 7 | MSRC TAC Agenda/Minutes Package | 5 yrs. | D |
| 8 | MSRC Project Files (Board letter, contract, modifications, correspondence, invoices, reports, including 2-page synopsis) | UCC + 3 yrs. | D |
| 9 | Conferences (attendee database, bio, outreach, etc.) | UCC + 2 yrs. | D |
| 10 | Mobile Source Rules administrative files | P | |
| 11 | Rule 1610 MSERC transaction documentation | 5 yrs. | D |
| 12 | Fleet Rule technical infeasibility certifications | 10 yrs. | D |
| 13 | Proposition 1B (Goods Movement Program) | 35 yrs. or date in grant agreement | D |
| 14 | Carl Moyer Program/Lower Emission School Bus | L + 4 yrs. | D |

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## SCIENCE & TECHNOLOGY ADVANCEMENT

**SECTION/DIVISION: Laboratory Services**

| | | | |
|---|---|---|---|
| 1 | Analytical Data | 10 yrs. | D |
| 2 | PM10 Filters and Envelopes | 5 yrs. | D |
| 3 | PM 2.5 Filters | 3 yrs. | D |
| 4 | Sample Request Sheets | 10 yrs. | D |
| 5 | Laboratory Reports of Analysis | 10 yrs. | D |
| 6 | PAMS Analysis Data | P | |
| 7 | Toxics Analysis Data | P | |
| 8 | Toxics Analysis Reports | P | |
| 9 | Laboratory Notebooks | 10 yrs. | D |
| 10 | Laboratory Reports of Analysis | 10 yrs. | D |
| 11 | Compliance Samples Analysis Data | 10 yrs. | D |
| 12 | XRD Spectra and Data | 10 yrs. | D |
| 13 | FTIR Spectra and Data | 10 yrs. | D |
| 14 | Methods of Analysis | SUP + 5 yrs. | D |
| 15 | Standard Operating Procedures | SUP + 5 yrs. | D |
| 16 | Chain of Custodies for Glass Plates and Samples | 10 yrs. | D |

**SECTION/DIVISION: Quality Control Testing**

| | | | |
|---|---|---|---|
| 1 | Proficiency Test | L of equipment + 3 yrs. | D |
| 2 | 10% Quality Assurance Analysis Reports | L of equipment + 3 yrs. | D |
| 3 | Blind Sample Analysis Reports | L of equipment + 3 yrs. | D |
| 4 | Interlab Analysis Reports | L of equipment + 3 yrs. | D |
| 5 | Quality Control Charts and Data | L of equipment + 3 yrs. | D |

**SECTION/DIVISION: Quality Assurance Program**

| | | | |
|---|---|---|---|
| 1 | Quality Assurance Manual | SUP + 7 yrs. | D |
| 2 | Maintenance and Calibration Reports | L of equipment + 3 yrs. | D |
| 3 | Audit Records | L of equipment + 3 yrs. | D |
| 4 | Additional Records Required by NVLAP Accreditation Program | L of equipment + 3 yrs. | D |

**SECTION/DIVISION: Microscopy – Instrument Documentation**

| | | | |
|---|---|---|---|
| 1 | Manuals and Maintenance Records | L of equipment | D |
| 2 | Requisitions and Purchase Orders | L + 3 yrs. | D |

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| ENGINEERING & PERMITTING | | | |
|---|---|---|---|
| **SECTION/DIVISION: Engineering** | | | |
| 1 | Permit File (including applications, drawings/schematics, assessments, evaluations, permit/reissuance, public notice, public comments/responses, and correspondence and related documentation) | P | |
| 2 | Plan File (including application, issued plan, drawings/schematics, evaluation, and correspondence and related documentation) | P | |
| 3 | ERC File (application and related documentation) | P | |
| 4 | Title V Permits | P | |
| 5 | RECLAIM Permits | P | |
| 6 | Certification and Registration Documents | P | |
| 7 | Source Tests | Subsequent = Sup. + 10 yrs.<br>No Subsequent = P | D |
| 8 | Inactive Permits | P | |

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## COMPLIANCE & ENFORCEMENT

| **SECTION/DIVISION: Compliance** | | | |
|---|---|---|---|
| 1 | Inspector Dailies | 5 yrs. | D |
| 2 | Equipment Lists | 10 yrs. | D |
| 3 | Inspection and Investigative Reports | 10 yrs. | D |
| 4 | Original Notices to Comply (NTC) and Issued NTC Submitted to SCAQMD Noting That Corrective Action Has Been Taken | 5 yrs. | D |
| 5 | Gasoline Dispensing Facility Backfill Notifications (Test Requests and Results) | 3 yrs. | D |
| 6 | Plans Submitted to, or Approved by, SCAQMD | L + 5 yrs. | D |
| 7 | Notifications, Reports, Analysis, and Other Information Submitted to Demonstrate Compliance Pursuant to Federal, State, or Local Requirements | 5 yrs. | D |
| 8 | Aerometric Information Retrieval System (AIRS) Compliance Checklist | P | |
| 9 | Title V Annual and Semi-Annual Certification Reports, Periodic Monitoring Reports | UCC + 7 yrs. | D |
| 10 | Notices of Violation and NOV Reports | 10 yrs. | D |

| **SECTION/DIVISION: RECLAIM** | | | |
|---|---|---|---|
| 1 | Initial RECLAIM File (pre-RECLAIM permits, correspondence, and related documentation) | P | |
| 2 | RECLAIM Trading Credit (RTC) Transaction Registration Files | P | |
| 3 | RECLAIM Trading Folder (forms and related documentation) | P | |
| 4 | RECLAIM APEP and QCER Reports | P | |
| 5 | RECLAIM Monitoring, Reporting, and Recordkeeping (MMR) Reports | 5 yrs. | D |
| 6 | RECLAIM Allocation Files | P | |
| 7 | Breakdown Emission Exemption Reports | P | |
| 8 | Rule 2009.1 Forecast Reports | 5 yrs. | D |
| 9 | Approved RECLAIM Audit | P | |

| **SECTION/DIVISION: Miscellaneous** | | | |
|---|---|---|---|
| 1 | Training (related ID cards, photos, licenses, certificates, exams, and other training related documentation) | 5 yrs. | D |
| 2 | Stationary Source Committee (presentations, agendas, and other materials) | P | |
| 3 | Enforcement Action Guidance Guidelines/Compliance Policy and Procedures/Rule Interpretation | P | |

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## LEGISLATIVE & PUBLIC AFFAIRS

**SECTION/DIVISION: Public Affairs**

| | | | |
|---|---|---|---|
| 1 | Legislative Committee and Advisory Group Records | 3 yrs. | D |
| 2 | Miscellaneous Reports | 2 yrs. | D |
| 3 | Speeches/Statements/Presentations | 2 yrs. | D |
| 4 | Requests for General Information | 2 yrs. | D |
| 5 | Requests for Publications | 2 yrs. | D |

**SECTION/DIVISION: Small Business Assistance**

| | | | |
|---|---|---|---|
| 1 | Public Notices (flyers and advertisements) | 2 yrs. | D |
| 2 | SCAQMD Grant Program Records | L + 2 yrs. | D |
| 3 | Fee Review Committee | 3 yrs. | D |
| 4 | Expired Permit Callback and Outreach Program | 3 yrs. | D |
| 5 | SBA Policies | SUP + 1 yrs. | D |
| 6 | Clearance Letters and Related Documents | 3 yrs. | D |

**SECTION/DIVISION: Community Outreach & Environmental Justice**

| | | | |
|---|---|---|---|
| 1 | Requests for Speaker | 3 yrs. | D |
| 2 | Mailing Lists | SUP | D |
| 3 | Special Brochures | 2 yrs. | D |
| 4 | Conferences (attendee database, bio, outreach, etc.) | UCC + 2 yrs. | D |
| 5 | Events Information and Materials | 2 yrs. | D |
| 6 | Visitor Tours Information | 2 yrs. | D |
| 7 | Public Advisor/Web Inquiries Responses | 2 yrs. | D |
| 8 | Town Hall Meeting Records | 10 yrs. | D |

**SECTION/DIVISION: Communications Center**

| | | | |
|---|---|---|---|
| 1 | Reports and Complaints | 2 yrs. | D |
| 2 | Requests for Publications | 2 yrs. | D |

**SECTION/DIVISION: Graphics**

| | | | |
|---|---|---|---|
| 1 | Photos and Negatives | P | |
| 2 | Release and Authorization Forms | 2 yrs. | D |
| 3 | Videos | 5 yrs. | D |

**SECTION/DIVISION: Legislative**

| | | | |
|---|---|---|---|
| 1 | State and Federal Legislation (SCAQMD-related) | 5 yrs. | D |
| 2 | State and Federal Legislation (unrelated to SCAQMD) | 2 yrs. | D |
| 3 | Lobbyist Employer/Lobbyist Registration | 3 yrs. | D |
| 4 | FPPC Report | 10 yrs. | D |
| 5 | FPPC Disclosure Form – Quarterly | 10 yrs. | D |

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## LEGISLATIVE & PUBLIC AFFAIRS

**SECTION/DIVISION: Media**

| | | | |
|---|---|---|---|
| 1 | News Releases | P | |
| 2 | News Clippings (print, video, and audio) | P | |
| 3 | Editorial Products (Check Before You Burn, Google, Lawn Mower Exchange, media events, special projects, video productions, etc.) | 3 yrs. | D |
| 4 | Program Files | 5 yrs. | D |
| 5 | Administrative Files | 5 yrs. | D |
| 6 | Media Inquiries | 1 yr. | D |

(The remainder of this page is left intentionally blank.)

**Section 100 - SCAQMD Vehicle Policy**

The Executive Officer, or designee, will determine the purpose and use of SCAQMD vehicles. The specific directives will appear in SCAQMD's *Administrative Policies and Procedures* manual.

Use of available SCAQMD fleet vehicles shall be provided to groups of four or more employees who carpool for commute purposes to and from work. Vehicles shall be returned to the Automotive Services area each morning and shall become part of SCAQMD's vehicle fleet for the use and conduct of SCAQMD business by other employees. Employees are required to pay a monthly fee to cover the cost associated with utilizing or operating an SCAQMD vehicle. Beginning January 1, 2000, the rate shall be adjusted annually by the Chief Financial Officer based on the Internal Revenue Service Standard Mileage Rate.

**Section 100.1 – Rideshare Incentive**

Employees hired prior to January 1, 2006, are eligible to participate in SCAQMD's rideshare program and to receive incentives as provided for under the program. Those hired on or after January 1, 2006, may participate in the rideshare program but are not eligible to receive cash incentives.

**Section 110 - Mileage Reimbursement**

*Represented employees should consult Article 11, "Mileage Allowance," of their MOU.*

**Section 110.1 - Mileage Permittee**

A mileage permittee is any person traveling on SCAQMD business in his or her own private vehicle who claims mileage reimbursement. Such person's eligibility for mileage permittee status is established by the approval of the mileage claim by his or her Designated Deputy.

**Section 110.2 - Rules for Filing Mileage Claims**

The Chief Financial Officer is hereby authorized to establish procedures governing the preparation, filing, and payment of mileage and parking reimbursement claims.

**Section 110.3 - Mileage Permittee Insurance Requirements**

The mileage permittee's act of signing a mileage/parking reimbursement claim signifies that he has the automobile insurance or bond coverage required by the State of California. To so falsely state coverage will be grounds for disciplinary action.

**Section 110.4 - Mileage Rates**

Beginning January 1, 2000, the rate shall be adjusted annually by the Chief Financial Officer based on the Internal Revenue Service Standard Mileage Rate.

**Section 110.5 - Mileage Eligibility for Reimbursement**

Mileage permittees will be allowed to claim reimbursement for only the business mileage traveled each day in excess of that from their home to their designated headquarters and return. However, if a mileage permittee does not report to his headquarters location during the business day while conducting SCAQMD business which requires driving, he will be entitled to full reimbursement for actual miles traveled on business that day; i.e., no deduction will be made for the home-to-headquarters round trip. For purposes of mileage reimbursement, a headquarters location will be established for each mileage permittee by his Designated Deputy. Reimbursement will not be made if an SCAQMD pool car is available and the mileage permittee elects to drive his own private vehicle.

**Section 110.6 - Extra Trip Mileage**

Whenever a mileage permittee is ordered to return to his or her duties from home after regular working hours, mileage will be allowed from and return to home.

**Section 110.7 - Mileage on Weekends and Other Non-Work Days**

Mileage permittees working on weekends, holidays, or a regular scheduled day off under a 4/10 work schedule may claim mileage reimbursement for the round trip from home to their work site, as well as any other mileage claimable under Section 110.5 above. With the approval of the respective Deputy Executive Officer, mileage may also be claimed by permittees attending SCAQMD-approved functions (such as seminars) on weekends, holidays, or a regularly scheduled day off under a 4/10 work schedule, even if they are not in a paid status on these days. For these employees, mileage shall be computed as if the mileage permittee were in a paid status.

**Section 110.8 - Reimbursement for Occasional Parking**

A mileage permittee shall be entitled to reimbursement for actual expenses incurred for occasional parking as a necessary part of official travel.

**Section 111 - SCAQMD Board Members' Expenses**

1. **INTRODUCTION**. Health & Safety Code Section 40426 provides that: "Each member of the South Coast District Board shall receive compensation of one hundred dollars ($100) for each day, or portion thereof, but not to exceed one thousand dollars ($1,000) per month, while attending meetings of the South Coast District Board or any committee thereof or, upon authorization of the South Coast District Board, while on official business of the South Coast District, and the actual and necessary expenses incurred in performing the member's official duties."

2. **COMPENSATION**. SCAQMD Board Members shall be compensated as follows:

   a. For each meeting of SCAQMD's Board or a committee of the Board to which the member is appointed, $100 per day or portion thereof shall be paid. Committee meetings attended in person or via teleconferencing qualify a Board Member for the compensation.

   b. While on official business of SCAQMD, $100 per day or portion thereof shall be paid. Official business includes, but is not limited to:

      (1) Scheduled meetings with the Executive Officer, SCAQMD staff, Board Assistants, public officials, staff at public agencies, other Board Members, members of the public regarding any pending or proposed matter within SCAQMD's purview, or with an air quality related group. An air quality related group is one that has as a primary purpose, participation in dialogue regarding air quality policy.

      (2) Tours of facilities within SCAQMD, participation in radio, television, newspaper, or other mass media primarily concerning SCAQMD air quality issues, or presentation of an air-quality related speech.

      (3) Meetings or conferences on air pollution-related matters, when attendance at the meetings or conferences is approved by the Board Chair.

   c. When conducting official business of SCAQMD requiring out-of-basin travel, a Board Member must obtain advance approval by SCAQMD Board or advance written approval by its Chair in order to qualify for the $100-per-day compensation. In the interests of equity, up to $500 per Board Member per fiscal year may be approved by SCAQMD Board or by the Chair if, through oversight or in the event of unanticipated travel, a Board Member does not obtain advance approval. Such approval by the Chair shall be reported to the next regular meeting of the Governing Board as part of the monthly travel report. Examples of official business for which approval is required include, but are not limited to:

      (1) Meetings taking place outside of the geographical limits of the four counties that make up SCAQMD.

      (2) The travel day immediately preceding and immediately following the meetings specified in (c)(1) above.

   d. Total compensation to a single Board Member pursuant to subparagraphs 2.a., 2.b., and 2.c. shall not exceed the limits set forth in state law.

3. **EXPENSES**. Each member of SCAQMD's Board shall be entitled to the actual and necessary expenses incurred in performing the member's official duties:

   a. The actual cost of transportation when by public carrier.

b. Mileage as specified in Section 110 of the *Administrative Code*.

c. Actual reasonable and necessary cost of meals as evidenced by receipts.

d. Actual and necessary expenses associated with trips taken outside of the geographical limits of the four counties which make up SCAQMD while on official business of SCAQMD, when such trips are requested or approved *in advance* by action of SCAQMD Board or are approved *in advance* in writing by its Chair. In the interests of equity, expenses, subject to the total dollar limit specified in Section 2.c., may be approved by SCAQMD's Board or by the Chair if, through oversight or in the event of unanticipated travel, a Board Member does not obtain advance approval. Such approval by the Chair shall be reported to the next regular meeting of the Governing Board as part of the monthly travel report.

e. Rules for Board Member expense limits and claims shall follow the procedure described in Section 120 of the *Administrative Code*, except that meal expenses will be allowed within SCAQMD boundaries.

f. Government or group rates offered by transportation or lodging providers must be used when available.

g. Lodging that exceeds the limits described in Section 120 of this Code will only be reimbursed up to the government rate, or if not available, up to the corporate rate, or if neither a government nor corporate rate is available, the actual rate, as evidenced by receipts.

   (1) In addition, if only the convention/conference rate for the event the Board Member is attending is available at the convention/conference hotel and such rate is greater than government or corporate rate, the convention/conference rate is reimbursable.

   (2) If a rate greater than that permitted or authorized elsewhere in this section is the only rate available, or if there are overriding reasons why the mission of SCAQMD cannot be accomplished at the rates permitted or authorized elsewhere in this section, such rate may be approved by the Board upon written justification submitted by the requesting Board Member in advance of the proposed travel. (The Board Member Travel Request and Report form contains a section for justification and may be used to comply with this requirement.)

   Any upgrades or costs that exceed those allowed by this paragraph are the sole responsibility of the Board Member.

h. Board Members must provide a brief report on meetings attended at SCAQMD's expense at the Board's next regular meeting. The reports may be made in writing. Report forms are available from the Clerk of the Board's office. Travel reports are required when a Board Member receives expense reimbursement. They are not required when a Board Member only receives compensation for attending an event.

4. **FILING A CLAIM FOR COMPENSATION AND/OR EXPENSES**

a. Claims for compensation shall specify the applicable subparagraph 2 of this section.

b. Claims for expenses shall include full justification for expenses incurred, including receipts, when required.

c. Claims shall be made on SCAQMD expense claim form and submitted to SCAQMD Executive Office staff who will process for payment expeditiously.

d. Claims for compensation and/or expenses incurred in connection with travel outside the geographical boundaries of SCAQMD shall include a copy of the approved Board Member Travel Request and Report form and the Travel Report that includes:

(1) an assessment of the benefit to SCAQMD derived from the trip,

(2) individuals contacted, affiliations, addresses/phones,

(3) key information learned/points of interest/issues,

(4) items for staff follow-up, and

(5) description of materials (if any) received and a copy thereof, if feasible.

e. All air travel, lodging, and car rental expense should be made through the travel agency specified by the Executive Officer unless the Board Member can obtain an equal or lower rate through a different agency. In the latter case, a statement of the Board Member that the rate obtained was equal to or lower than that available through SCAQMD-designated travel agency must be included on the Board Member Travel Request and Report form or the expense claim form. Any upgrades or costs that exceed those allowed by this paragraph are the sole responsibility of the Board Member.

**Section 112 – Board Member Assistant and Board Member Consultant Policy**

1. That an employee classification of Board Member Assistant be established, with the following scope of duties, minimum requirements, and compensation rates:

Scope of Duties: performs for Board Member a variety of tasks ranging from liaison with constituent public entities, other Board Members, the public, and SCAQMD staff related to clerical functions. Typical functions may include preparing narrative and statistical reports, preparing correspondence, filing and maintaining records, arranging meetings and other group functions; monitoring various programs and projects; responding to inquiries from constituent public entities, SCAQMD Board Members, the public, and SCAQMD staff.

Minimum requirements: evidence of the required training and experience shall be demonstrated by coursework in business administration or a related field, and/or sufficient experience performing data analysis and adjunct clerical functions for which familiarity with personal computers is desirable.

Maximum compensation rate: up to $31.05 per hour effective January 1, 2015; $31.51 per hour effective January 1, 2016; and $31.99 per hour effective January 1, 2017, and as revised by the Governing Board.

2. That an employee classification of Board Member Consultant be established, with the following scope of duties, minimum requirements, and compensation rates:

   Scope of Duties: performs for Board Member a variety of professional-level assignments in the development and formulation of policy, data analysis, reports, plans, assessments, and strategies for SCAQMD programs; provides advice and recommendations to the Board Member regarding matters subject to the Board Member's decision-making authority; may provide liaison with the public on behalf of the Board Member. Typical functions may include planning, organizing, and developing a wide variety of programs on the Board Member's behalf and evaluating the effectiveness of various approaches.

   Minimum requirements: evidence of the required training and experience shall be demonstrated by graduation from an accredited college or university preferably with a major in an academic discipline related to the assignment and/or sufficient experience involving technical or analytical work at a professional level which would demonstrate the required knowledge, skills, and abilities related to the assignment.

   Maximum compensation rate: up to $55.90 per hour effective January 1, 2015; $56.73 per hour effective January 1, 2016; and $57.59 per hour effective January 1, 2017, and as revised by the Governing Board, except for the Board Chair's Assistant/Consultant.

3. That class specifications of Board Member Assistant and Board Member Consultant be added to SCAQMD's Classification Plan at that maximum compensation rate and with the scope of duties and minimum requirements specified above.

4. That Board Member Consultants may be engaged as either independent contractors or exempt SCAQMD contract employees and that Board Member Assistants may only be employed as SCAQMD contract employees.

5. That the contracts for Board Member Consultants engaged as independent contractors shall specify that they shall not, during the term of their employment, engage in any performance of work that is in direct or indirect conflict with duties and responsibilities for SCAQMD, and that their contracts shall contain a provision so stating. Contracts for Board Consultants and Assistants engaged as contract employees shall be subject to Section 40 of SCAQMD's *Administrative Code*—Code of Ethics, except that they shall adhere to the work rules and performance standards established by the Board Member to whom they report.

6. That a Board Member wishing to engage the services of a person to provide assistance shall submit to the Administrative Committee a Proposal identifying the person and setting forth his or her qualifications, scope of duties, and proposed compensation. The proposal shall include a listing of other employment and/or clients sufficient to determine whether the person has existing work that conflicts directly or indirectly with his or her duties and responsibilities for SCAQMD. The Administrative Committee shall review the Proposal and determine if the proposed compensation rate is consistent with the required qualifications described above and shall, with advice of General Counsel, make a case-by-case determination of whether a person proposed to provide assistance complies with the conflict-of-interest requirements of this Policy and is a Board Member Assistant or a Board Member Consultant. If the determination is made that the person is a Board Member Consultant, the Administrative Committee also shall determine whether the Board Member Consultant be classified as an employee or an independent contractor. All Board Member Assistants shall be contract employees. Board Member Assistants, and Board Member Consultants who are SCAQMD employees, are exempt from SCAQMD's *Salary Resolution*, *Personnel Rules*, and *Administrative Code*, except as specifically referenced in the said documents, this policy, or in his/her contract with SCAQMD.

7. That the position of Board Member Consultant (whether SCAQMD employee or independent contractor) and Board Member Assistant be noticed for designation in SCAQMD's Conflict of Interest Code listing classifications subject to the Code and the incumbent must disclose economic interests and comply with the Conflict of Interest provisions of the Political Reform Act.

8. That Board Member Assistants and Board Member Consultants serve at the pleasure of the Board Member to whom support services are provided and pursuant to the provisions of the contract executed between the Board Member Assistant or Board Member Consultant and SCAQMD. The Board Member served may determine whether his/her Board Member Consultant is to be paid on an hourly or a monthly basis. Board Member Assistants must be paid on an hourly basis. Board Member Assistants and Board Member Consultants who are contract SCAQMD employees and who are paid on an hourly basis shall receive overtime pay at the rate of 1.5 times the hourly rate specified in his or her contract for hours worked in excess of ten per day or forty per week provided the Board Member approves in advance in writing the working of any overtime by the Board Member Assistant or Board Member Consultant. Board Member Consultants paid on a monthly basis will be paid a pro rata share of their annual contract amount each month, provided the Board Member approves in writing, which will also cover all expense reimbursements authorized under the contract.

9. That the maximum support service-related expenditure SCAQMD may make for the Chair and Vice-Chair is $116,250 for FY 2015-16; $117,993 for FY 2016-17; and $118,872 for FY 2017-18, and as revised by the Governing Board, not including business-related expenses. That the maximum support service-related expenditure SCAQMD may make for all other Board Members, not including business-related expenses shall be calculated prior to the beginning of each fiscal year based upon the Committee/Advisory/Other Group Assignment Points Methodology and Calculation, as described in Exhibit I. That the minimum support service-related expenditure SCAQMD may make for all other Board Members, is $38,750 for FY

2015-16; $39,331 for FY 2016-17; and $39,624 for FY 2017-18, and as revised by the Governing Board, not including business-related expenses. Effective May 1, 2009, expenses approved in advance that are associated with Board Member-approved attendance at mobile Board meetings and Board retreats will be reimbursed by SCAQMD upon presentation of expense receipts. Effective May 1, 2009, expenses approved in advance that are associated with Board Chair-approved attendance at mobile Board meetings and Board retreats will be reimbursed by SCAQMD upon presentation of expense receipts.

a. Board Member Assistants and Board Member Consultants will be provided vehicle mileage reimbursement, at the rate set forth in *Administrative Code* section 110.4, for travel within the geographical boundaries of SCAQMD for travel directly related to their duties as a Board Member Assistant or Board Member Consultant.

b. A Board Member Assistant or Board Member Consultant to the Board Member(s) serving as SCAQMD's CARB representative or as SCAQMD's representative to the California Fuel Cell Partnership (CaFCP) will be provided reimbursement for necessary expenses related to attending CARB or CaFCP workshops, hearings, meetings, or related events, subject to advance approval by the Board Chair.

c. The Board Chairman may also approve other Board Member Assistant/Consultant travel for SCAQMD-related activities provided such travel is requested by their supervising Board Member and is reported to the Administrative Committee.

10. That Board Member Assistants and Board Member Consultants who are contract SCAQMD employees and who work on average a minimum of 13 hours per week may elect, from among SCAQMD-sponsored health, dental, and vision insurance plans available to SCAQMD employees, SCAQMD-paid single-party coverage up to the dollar amount of the benefits cap approved by the Board for professional employees. Board Member Consultants who are independent contracts are not eligible for any SCAQMD benefits.

11. That Board Member Assistants and Board Member Consultants who are contract SCAQMD employees may elect to participate in the deferred compensation plan SCAQMD sponsors for employees, as covered under section 457 of the Federal Internal Revenue Code.

12. The total compensation provided under a contract between the Board Member Assistant or Board Member Consultant and SCAQMD for any Board Member shall not exceed the amounts specified in paragraph 9 above. At such time as the compensation for services reaches said amounts, the contract for services shall be terminated and the employment relationship between the Board Member Assistant or Board Member Consultant and SCAQMD shall be terminated.

13. That all present and future assistants to a Board Member (whether Board Member Assistant or Board Member Consultant and whether or not an independent contractor) shall be subject to this policy.

## EXHIBIT I

### Committee/Advisory/Other Group Assignment Points Methodology and Calculation

1.) Utilizes the Board Committee/Advisory Group/Other Group Assignment spreadsheet as maintained by the Executive Officer or his designee.

2.) Assumes various levels of effort per assignment, based on agenda size and routine/non-routine nature of agenda items (Board Meetings/CARB/CACFP - 3 points, Admin/Leg/etc. - 2 points, LGSBA/IOC/BLTAP - 1 point)

3.) Assumes the following points based on assignment/role:
   a. Governing Board Meetings (12 mtgs/Yr): 4 points per meeting for Chair, 2 points for Vice-Chair, 1 point per meeting for all other Governing Board Members
   b. Committee/Advisory Group/Other Group Meetings (1-12 mtgs/Yr, depending on Comm/Advisory/Other): 2 points per meeting for Chair, 1.5 points per meeting for Vice Chair, 1 point for all other Governing Board Members
   c. CARB Meetings (12 mtgs/Yr): 2 points per meeting for CARB representative
   d. CA Fuel Cell Partnership (2 mtgs/Yr): 2 points per meeting for CAFCP representative

4.) For Committee/Advisory Group/Other Group assignments that may not have any actual meetings scheduled, it is assumed they will meet one time per year to reflect the possibility of a meeting (Refinery, Marine Port Committees, etc.)

**Section 115 - Group Insurance**

*Represented employees should consult Article 17, "Group Insurance," of their MOU.*

**Section 115.1 - Flexible Benefit Plan**

Management and confidential employees are provided a fixed monthly benefit amount to use for enrolling in SCAQMD-sponsored insurance programs. If the cost of the benefit plan selected exceeds the monthly amount available, SCAQMD is authorized to deduct the additional amount from the employee's biweekly pay warrant. Insurance selections may be made from available plan options based on individual need; however, basic medical, dental, and life insurance coverage for the employee must be maintained. One hundred percent of any amount remaining in the monthly benefit allotment after insurance selections have been made may be used to purchase additional insurance or may be taken as cash or contributed to an IRS Section 125 tax-qualified reimbursement account.

**Section 115.2 - Health Insurance**

Where consistent with Section 115.5 below, management and confidential employees may choose medical, dental, and vision coverage for themselves and qualified dependents.

**Section 115.3 - Insurance Contribution Amount**

Effective September 1, 2010, the maximum health insurance contribution amount for management and confidential employees is $2,060.84. SCAQMD shall also pay to the health insurance providers, on behalf of each management and confidential employee, an amount equal to the monthly premium increases for the health plan(s) selected by each employee, such that there is no change to the premium amount paid by the employee from the rates in effect prior to September 1, 2011, but not for premium increases effective January 1, 2013. Effective January 1, 2014, SCAQMD shall pay an additional amount of $100.00 per month directly to the health insurance providers on behalf of each management and confidential employee for these health insurance premium increases. For premiums effective January 1, 2016, SCAQMD shall pay an additional contribution of $100.00 per month directly to the health insurance providers on behalf of each management and confidential employee for health insurance premium increases. Effective January 1, 2017, SCAQMD shall pay an additional amount of $45.00 per month directly to the health insurance providers on behalf of each management and confidential employees for health insurance premium increases. These payments to the health insurance company do not increase the existing health benefit cap of $2,060.84.

**Section 115.4 - Life Insurance and Other Benefits**

Where consistent with Section 115.5 below, full-time management and confidential employees receive, in addition to the $5,000 basic life insurance coverage a second SCAQMD-paid life insurance policy. Confidential employees receive an additional $20,000 of term life insurance. Management employees receive an additional $50,000 combination life insurance and accidental death and dismemberment policy.

In addition, management and confidential employees receive SCAQMD-paid long-term disability insurance. (See *Administrative Code*, Section 119.3.) The long-term disability insurance and the additional life insurance are not part of the Flexible Benefit Plan described in Section 115.1 above.

**Section 115.5 - Group Insurance - Eligible Employees and Eligible Dependents**

The contribution provided for in this section shall be made only on behalf of each employee who actually enrolls in such plan and who is a full-time regular management or confidential employee or who is a management or confidential employee exempted for a medical condition from the 4/10 schedule who is regularly scheduled to work a minimum of four 8-hour days per week.

Such contribution shall be made to only one medical/hospital plan per employee. No contribution shall be made on behalf of any employee who has not been in a pay status at least one day the prior month.

Eligible dependents for insurance coverage's described here are legal spouses, children, and stepchildren who meet eligibility criteria set by insurance providers.

Domestic partners of eligible employees and domestic partners' children are eligible for health insurance coverage described here, subject to SCAQMD domestic partner certification requirements for dependents set by insurance providers.

**Section 115.6 - State Disability Insurance**

SCAQMD shall continue to provide State Disability insurance coverage for non-industrial illness or injury. Said agreement shall provide for the integration of SCAQMD leave time with State Disability benefits. Employees shall not be entitled to receive more than one hundred (100%) percent of pay when leave time and State Disability benefits are combined. Employees charging partial-pay sick leave shall not be prevented from receiving up to 100% of salary when combining SDI benefits, partial-pay sick leave, and a sufficient amount of other leave time.

The administration of the State Disability Insurance Program is solely the responsibility of the State of California. SCAQMD is not responsible for benefit levels, the duration of benefits, or the eligibility of SCAQMD employees for benefits.

**Section 116 - Retirement**

*Represented employees should consult Article 21, "Retirement," of their MOU.*

**Section 116.1 - Employee Contributions**

For management and confidential employees hired prior to July 1, 2012, contributions to retirement shall be computed on the same basis as represented employees hired before July 1, 1979. That is, for employees who are active members of the San Bernardino County Employees' Retirement Association (SBCERA), SCAQMD will pick up, on employees' behalf, payment of 11.34 percent of the employee contribution rates established for SCAQMD by SBCERA's actuary. For those employees who are active members of the Los Angeles County Employees' Retirement Association, employee contribution rates shall be 6.05 percentage points less than those determined in the most recent actuarial study. Irrespective of the employee contribution rate determined after applying this 6.05 percentage point reduction, those employees with less than thirty years' retirement service credit shall pay a minimum of one dollar per month in employee retirement contributions. Beginning December 13, 1999, employee retirement contributions will be withheld on a pretax basis, within Internal Revenue Service requirements.

Effective January 2, 2006, except for those management, confidential, and attorney employees exempt from making retirement contributions pursuant to SBCERA by-laws, management, confidential, and attorney employees will contribute an additional 3.25% of "compensation earnable" as defined by SBCERA.

All new management, confidential, and attorney employees hired on or after July 1, 2012, shall pay the full General Member Contribution Rate towards their retirement through SBCERA.

Pursuant to the California Public Employees' Pension Reform Act of 2013, a new employee hired on or after January 1, 2013, who is being employed for the first time by any public employer, had a

break in service of more than six months, or was employed by another public employer but not subject to reciprocity with SBCERA, shall pay the employee contribution rate as determined by SBCERA. (As of January 1, 2013, the rate is 7.75% and is subject to change as determined by SBCERA's actuary according to the most recently completed valuation.)

For management, confidential, and attorney employees hired on or after January 1, 2006, only that portion of SCAQMD's benefits contribution that is taken as cash is "compensation earnable" for purposes of retirement.

The amount of the employee's share of the retirement contribution paid by SCAQMD for management, confidential, and Designated Deputy employees (unrepresented employees) shall be divided into three equal portions. The first portion shall be added to unrepresented employees' obligations effective the start of the pay period encompassing July 1, 2015; the second portion effective the start of the pay period encompassing July 1st, 2016; and the final portion shall become effective the start of the pay period encompassing July 1st, 2017. With the start of the pay periods encompassing July 1st of 2015, 2016, and 2017, respectively, unrepresented employees shall receive a salary increase equivalent to the amount of the additional retirement obligation assumed under this provision. Unrepresented employees who have 30 years or more of retirement service credit with SBCERA, were hired on or after July 1, 2012, and those employees hired on or after the implementation of PEPRA are not eligible to receive these increases to base salary. At a time an unrepresented employee reaches 30 years of SBCERA service credit, the salary increases to base salary previously received pursuant to this section shall be terminated and the employee's base salary will be adjusted accordingly.

**Section 116.2 - FICA Requirement for Nonmembers**

In accordance with Internal Revenue Code, Section 3121(b)(7)(f), employees who are not members of SCAQMD-sponsored retirement system will be subject to the full FICA tax effective for services rendered after July 1, 1991.

**Section 116.3 - Hourly Employees' Mandatory Deferred Compensation Contribution**

Hourly employees are required to make a mandatory contribution to a Section 457 deferred compensation plan in the amount of at least 7.5% of wages in lieu of paying the old age, survivors, and disability insurance portion of Social Security tax.

**Section 117 - Deferred Compensation**

*Represented employees should consult Article 19, "Deferred Compensation," of their MOU.*

SCAQMD shall provide all regular full-time employees, employees exempted for a medical condition from the 4/10 schedule who are regularly scheduled to work a minimum of four 8-hour days per week, and Board Member Assistants and Board Member Consultants who are contract SCAQMD employees with the opportunity to voluntarily participate in SCAQMD-sponsored Section 457 deferred compensation plan. Effective January 1, 2003, for all management and confidential employees choosing to participate, SCAQMD shall make a contribution equal to 50% of the total regular, non-catch-up contribution, up to the 2012 maximum total contribution rate

established by the Internal Revenue Service. The maximum annual total contribution made to the plan for each employee shall be as stipulated by law.

**Section 118 - IRS Section 125 Program**

*Represented employees should consult Article 20, "IRS Section 125 Program," of their MOU.*

Management and confidential employees may participate in SCAQMD's IRS Section 125 program, which permits, under existing law, employees to set aside pre-tax dollars to cover premium conversion, medical reimbursement, and/or dependent care expenses.

**Section 119 - Other Management Benefits**

**Section 119.1 - Physical Examinations**
SCAQMD shall contribute a maximum of $300 per calendar year toward the cost of a physical examination for any management employee requesting this benefit. If the employee does not use this benefit each year, the contribution will be allowed to carry over at the rate of $300 per year for up to three years, permitting a contribution toward the cost of a physical examination of up to a maximum of $600 biennially or $900 triennially. This contribution shall be made in accordance with the rules established by the Executive Officer or his designee.

**Section 119.2 - Salary Continuance**

SCAQMD shall provide a one-year salary continuance program to managers who have more than one year of continuous service. This program shall apply only to non-industrial injuries or illnesses and shall commence only after the manager has exhausted all of his or her accrued leave time. This program shall be administered in accordance with the rules established by the Executive Officer or his designee. (See Administrative Policy and Procedure No. 39, Management Salary Continuance Policy.)

**Section 119.3 - Long-Term Disability Insurance**

SCAQMD shall provide a fully paid long-term disability (LTD) insurance plan for management and confidential employees. The LTD insurance plan provides 60% of salary or $5,000 maximum per month, a severe disability rider, benefits payable up to 60 months, and a five-year own occupation benefit for management and two-year own occupation benefit for confidential employees.

**Section 120 - Travel Expenses**

**Section 120.1 - Expenses for travel shall not exceed:**

a. The actual cost of transportation when by public carrier.

b. The actual cost of meals and lodging, as evidenced by receipts, not to exceed:

(1) Lodging - $90 per night. If no lodging is available or it is not practicable at $90 per night, the Executive Officer, or designee, can approve additional amounts, when necessary. Effective July 1, 2006, the rate for lodging will increase to $150 per night.

(2) Meals - breakfast, $8.50; lunch, $10; dinner, $17. Effective July 1, 2006, meal rates will increase, for breakfast, to $10; for lunch, to $15; and, for dinner, to $25. Charges exceeding these limits require the approval of the Executive Officer or designee. Requests without proper receipts will be denied.

c. Employee meal expenses within SCAQMD shall be reimbursed only when approved by the Executive Officer or designee.

d. Meals and travel expenses for other than SCAQMD employees shall be reimbursed only when approved by the Executive Officer or designee. Reimbursement will be made for the actual cost of the meal and travel, subject to the limitations presented elsewhere in this *Code*.

e. Meals and travel for other than SCAQMD employees asked to sit on oral boards used for interviewing prospective employees of SCAQMD will be reimbursed for the actual cost of the meal and travel, subject to the limitations presented elsewhere in this *Code*. The Executive Officer, or designee, must approve a request in advance.

**Section 120.2 - Requests for Travel Expenses and Required Receipts**

All requests for travel expenses shall be filed in duplicate on forms and at times prescribed by the Chief Financial Officer. Requests must be submitted within 120 days after incurring the expense.

Receipts must be presented for all expenses, with the exception that the Chief Financial Officer may waive the receipt requirement for SCAQMD employees when they use public transportation on SCAQMD business where a receipt is not provided by the public agency. To qualify for this exception, the employee must provide sufficient information regarding the date, mode of travel, and the public agency providing the service.

**Section 140 - Tuition Reimbursement**

*Represented employees should consult Article 27, "Training," of their MOU.*

The objective of the tuition reimbursement program is to aid employees in career development within the scope of SCAQMD service.

The Designated Deputy over Administrative and Human Resources, or designee, shall administer SCAQMD's Tuition Reimbursement Program. Tuition reimbursement for management and confidential employees will apply to general, elective, and core courses which are related to the

employee's career development and are of benefit to SCAQMD. Applications for tuition reimbursement must be reviewed and approved by the employee's Designated Deputy.

An employee or Designated Deputy of SCAQMD, who has been appointed to a full-time position or Designated Deputy class, is eligible to apply for tuition reimbursement. Employees must successfully pass the course with a grade of "C" or better (or a “pass,” if a “pass”/”no pass” system) in order to be reimbursed. Effective for classes beginning on or after May 9, 1997, employees eligible for tuition reimbursement shall be entitled to receive a maximum of $2,000 per calendar year.

The necessary financing for reimbursement of employees shall be determined by SCAQMD’s Board in the annual budget.

**Section 141 - Professional Licenses and Memberships**

Management employees shall be eligible to be reimbursed for professional licenses/memberships (e.g., Professional Engineering Registration, etc.) up to a maximum of $300 per fiscal year. Professional licenses and memberships are those licenses and organizational affiliations which are closely related, as determined by the Executive Officer, or designee, to one's duties and responsibilities with SCAQMD and/or one's field of professional expertise. Attorneys shall be reimbursed for required bar affiliation up to a maximum of $478 per year. This section does not apply to memberships which the Executive Officer, or his designee, requires the employee to have, and which, therefore, are paid in full by SCAQMD. This section does apply to professional licenses or memberships that the employee is required to have by the class specification.

**Section 150 - Suggestion Award Plan and Suggestion Award Committee**

**Section 150.1 - Creation of Plan and Board**

There is hereby created a Suggestion Award Plan and a Suggestion Award Committee for SCAQMD.

**Section 150.2 - Suggestion Defined**

A suggestion is a constructive proposal for a new procedure or change in existing procedure in the operation of SCAQMD which makes possible the reduction, elimination, or avoidance of expenditures of public money or results in improvement in the operation of the functions of SCAQMD. Suggestions, which accomplish or tend to accomplish any of the following objectives shall be considered:

(1) The saving of time, labor, space, material, or supplies
(2) The improvement of service to the public
(3) The improvement of methods and procedures resulting in increased output or efficiency, or both
(4) The improvement of safety conditions
(5) The improvement of tools and equipment

(6) The elimination of unnecessary procedures, records, and forms

**Section 150.3 - Eligible Employees**

All full-time permanent or part-time employees of SCAQMD, except Designated Deputies, shall be eligible to participate.

**Section 150.4 - Ineligible Proposals**

The following suggestions are not eligible for awards:

(1) Propositions which call attention to a problem but do not suggest a solution

(2) Suggestions dealing with normal maintenance, unless such suggestions contribute to a solution of maintenance problems

(3) Suggestions dealing with salary adjustments and job classifications

(4) Suggestions that are not original with the suggester or which are submitted for other employees who would be ineligible because the suggestions would be within the scope of their normal job responsibilities

(5) Suggestions, which are, basically duplicates of suggestions submitted within the preceding 24-month period

(6) Suggestions which are within the scope of the normal job responsibility of a suggester

(7) Suggestions which, while otherwise eligible, are deemed by the Suggestion Award Committee, to be frivolous, impracticable, or inconsequential in character

**Section 150.5 - Cash Awards-Classification**

Cash awards shall be made for suggestions, which the Suggestion Award Committee finds, will result in tangible beneficial savings to SCAQMD. Said awards shall be divided into two categories as follows:

(1) Tangible budgetary savings
(2) Tangible, but not budgetary, savings

For tangible budgetary savings, the Suggestion Award Committee must be advised by the division involved and the Designated Deputy over Administrative and Human Resources that the suggestion will result in a budgetary savings. For tangible, but not budgetary, savings, the Suggestion Award Committee will make a finding that the suggestion will result in tangible benefit to SCAQMD although it will not result in a specific cost reduction.

**Section 150.6 - Cash Awards-Budgetary Savings**

Cash awards for budgetary savings shall consist of 10% the first year's net savings up to a maximum award of $750. In no case shall the award be less than $100. For the purpose of determining net savings, the cost of installing a suggestion shall be amortized on a reasonable basis.

**Section 150.7 - Cash Awards-No Budgetary Savings**

For tangible, but not budgetary, savings, the cash award shall be $100 for each suggestion adopted.

**Section 150.8 - Cash Awards-Limitation**

The Suggestion Award Committee shall not make any cash award unless sufficient funds are available in the appropriation authorized by SCAQMD's Board.

**Section 150.9 - Suggestion Award Committee Membership**

The Executive Officer, or designee, shall determine the size and membership of the Suggestion Award Committee.

**Section 160 - Claims Procedures**

**Section 160.1 - Applicability**

These procedures apply to claims arising under the Tort Claims Act, Government Code Sections 900 et seq., against the SCAQMD or SCAQMD employees acting within the scope and course of their employment. These procedures supplement and do not replace the requirements of the Tort Claims Act.

**Section 160.2 - Exempted Claims**

These procedures and the procedures in the Tort Claims Act apply to claims exempted from the Act by Government Code section 905 (a)-(l).

**Section 160.3 - Reporting of Potential Claims**

Any incident resulting in personal injury or property damage occurring on SCAQMD property, or involving SCAQMD staff or property, shall be reported promptly to Risk Management.

**Section 160.4 - Presentation of Claims and Applications**

All claims shall be presented to the Clerk of the Board on a form prepared by SCAQMD. Applications for leave to present a late claim shall also be presented to the Clerk of the Board.

**Section 160.5 - Demand Letters**

SCAQMD employees shall forward to General Counsel any demand letters or other materials that disclose the existence of a claim that if not resolved may result in litigation against SCAQMD.

**Section 160.6 - Claims Processing**

General Counsel and the Executive Officer and their designees are authorized to take all appropriate and necessary actions to process claims against SCAQMD. These actions shall include, but are not limited to, rejecting insufficient claims, returning untimely claims, acting on applications for leave to present late claims, and subject to their settlement authority, approving or rejecting claims.

**Section 160.7 - Authority for Settlement of Claims and Lawsuits**

The Executive Officer, on the recommendation of the General Counsel, may authorize settlements of $50,000 or less. The Executive Officer shall present proposed settlements exceeding $50,000 to the Governing Board for approval. Upon the written order of persons with authority to settle a claim, the Controller is authorized to cause a warrant or check to be issued upon SCAQMD treasury in the amount of the settlement.

**Section 161 - Involuntary Relocation Expense**

Employees who are temporarily or permanently transferred to an office in excess of 25 miles from the previous permanent office shall receive $6 per day to a maximum of 60 working days. Additionally, employees may not receive in excess of $360 for any one relocation. Transfer expenses will be designated only for those employees who drive their own vehicles.

**Section 162 - Employee Parking**

*Represented employees should consult Article 26, "Employee Parking," of their MOU.*

**Section 162.1**

SCAQMD shall, consistent with its present practice, provide employee parking as far as practicable.

**Section 162.2**

Once a month, for those who qualify under rules in effect in Section 162.2 of the 1988-91 *Administrative Code* will be paid $25. Those hired after January 1, 2006, are not eligible to receive this payment.

**Section 164 – Bilingual Pay**

Confidential employees hired after January 1, 2006, and assigned to specific positions designated by management as requiring regular and frequent use of SCAQMD-designated languages other than English who have met SCAQMD-established competency standards will be paid $11.54 each pay period they are required to use the second language. Confidential employees hired on or after January 1, 2006, are not eligible to receive additional compensation pursuant to SCAQMD's skill-based pay program.