

Summary #8

Scope of Monthly, Quarterly and Annual Reports

Introduction

The record keeping and reporting requirements of Article 9 identify the general record keeping provisions and monthly, quarterly and annual reporting requirements identified in the Franchise Agreement. Recology San Mateo County (RSMC) is primarily responsible for conducting the data collection, record keeping, and reporting activities necessary to meet the contract administration needs of the Member Agencies.

Contents

The following are the record keeping and reporting sections of Article 9 of the Franchise Agreement and are described below:

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Record Keeping and Reporting Requirements

General (Section 9.01): RSMC is required to conduct data collection, record keeping, and reporting activities necessary to meet the contract administration needs of the Member Agencies. The specific records and reports required to be provided by RSMC may be adjusted by the Member Agencies. RSMC must maintain all records necessary to allow Member Agencies to determine RSMC's compliance with the terms of the Franchise Agreement.

General Record Keeping Provisions (Section 9.02): RSMC is required to maintain the records necessary to conduct its operations, to support requests it may make to Member Agencies, and to respond to requests from Member Agencies. All records are to be maintained for five years after the expiration or early termination of the Franchise Agreement. Member Agencies have the right to inspect/review the payroll tax reports, specific documents or records required by the Franchise Agreement, or any other similar records or reports deemed reasonably necessary. The Member Agencies have the right, during regular business hours, to conduct unannounced on-site inspections and review of the records and accounting systems of RSMC and to make copies of any of RSMC's documents relevant to the Franchise Agreement.

Record Keeping Requirements (Section 9.03): RSMC is required to maintain financial and operational records, collection service records, other program records (e.g., plans, tasks, milestones and accomplishments), CERCLA (Comprehensive Environmental Response, Compensation, and Liability Act) defense records, and the compilation of information for State law purposes.

General Reporting Requirements (Section 9.04): RSMC records are to be maintained in a manner that facilitates the flexible use of the data. The format of all reports is subject to Agency and SBWMA approval. Reports and recorded data are intended to be used to, among other things:

1. Evaluate diversion performance
2. Evaluate RSMC's performance
3. Monitor customer participation in targeted recyclable materials and organic materials collection programs
4. Monitor changes in the number of customers and customers' service levels
5. Determine needs for adjustment to programs and cost for such changes
6. Evaluate customer service and complaints
7. Determine and set RSMC's compensation and rates

Monthly reports are to be submitted within 15 days after the end of the reporting month, quarterly reports are to be submitted within 30 days after the end of the reporting quarter, and annual reports are to be submitted within 45 days after the end of each rate year. All reports are to be submitted (via mail and e-mail) to the person(s) designated by SBWMA and the Member Agencies.

Monthly Reports (Section 9.05): Monthly reports are to be submitted by RSMC to Member Agencies and SBWMA. Each monthly report will present the information below for that month and for each of the preceding twelve (12) months:

1. Total solid waste, targeted recyclable materials, and organic materials collected by service sector
2. The monthly and year-to-date calculated overall diversion level, residential diversion level, and commercial diversion level
3. Complaint inquiry and service request data
4. Call center data
5. Monthly gross revenues and fee reports
6. On-site customer assessments and visual audits
7. Quality assurance program implementation

Quarterly Reports (Section 9.06): Quarterly reports are to be submitted by RSMC to Member Agencies and SBWMA. Each quarterly report will present the information required in the monthly reports and will include the following additional information:

1. Educational activities conducted during the quarter including the educational materials produced and distributed, and the dates and times of meetings or events attended
2. Determination and payment of liquidated damages
3. An account summary that identifies the number of customers, and the percentage of total customers subscribing to targeted recyclable materials collection services and organic materials collection services
4. A summary of significant accomplishments and problems
5. A public education plan for the coming year
6. A summary of hazardous waste records
7. A summary of collection route operational data, including GPS reports
8. A commercial recycling promotion program status report
9. Determination and payment of performance incentives and disincentives

Annual Reports (Section 9.07): Annual reports are to be submitted by RSMC to Member Agencies and SBWMA. Each annual report will present the information required in the quarterly reports and will include the following additional information.

1. Detailed customer account information
2. A customer service operations plan
3. Identification of all financial transactions with all related party entities
4. A report on RSMC's review of their billing
5. Determination and payment of liquidated damages
6. Determination and payment of performance incentives and disincentives

Required Specific Reporting (Section 9.08): RSMC reports will include: (i) addresses of any premises at which the driver observes that solid waste, recyclable, or organic materials are accumulating; and (ii) address at which materials have been dumped in an apparently unauthorized manner. The report will be delivered within one business day of such observation. RSMC will notify Member Agencies of hazardous waste within 24 hours of identification of such material. Two copies of all reports, pleadings, applications, notifications, notices of violation, communications, or other material relating specifically to RSMC's performance of services will be provided to Member Agencies.

Upon Request Reporting (Section 9.09): Within ten business days of a Member Agency's request, the tonnage of holiday trees collected at drop box sites or drop-off locations will be reported by RSMC. Member Agencies reserve the right to request additional reports from RSMC and such reports are to be delivered within twenty-five (25) business days of such request.