AGENDA SUMMARY REPORT

SUBJECT:

Adoption of Resolution #2021-09 Approving Mendocino Transit Authority Record Retention Schedule

SUMMARY:

Mendocino Transit Authority does not have a current adopted Records Retention Schedule. A Records Retention Schedule is necessary to adhere to state and federal grant requirements, reduce current and future storage space and costs, increase efficiency and create a standardized program of accountability for the treatment of public records. Effective Records Management ensures that records are kept only as long as they have some administrative, fiscal, or legal value.

The attached Resolution #2021-09 Authorizes the MTA Executive Director to update the MTA Record Retention Schedule as needed, without further board adoption, in the event new laws are enacted which would change the retention time of any MTA document. The Record Retention Schedule will be reviewed annually by MTA staff and should be presented to the MTA Board for update and adoption at least every 5-years.

STAFF RECOMMENDATION:

Adopt Resolution #2021-09 Approving Mendocino Transit Authority’s Record Retention Schedule

ATTACHMENTS

Resolution 2021-09

Exhibit A – MTA Records Retention Schedule
RESOLUTION #2021-09
Adopting Mendocino Transit Authority's
Record Retention Schedule

WHEREAS, the Maintenance of numerous records is expensive, slows down document retrieval, and is not necessary after a certain period of time for the effective and efficient operation of Mendocino Transit Authority, and

WHEREAS, The California Secretary of State established a Local Government Records Program to assist agencies in the record keeping requirements; and

WHEREAS, California Code, Government Code Section 60201 states that a legislative body, by resolution, can adopt and comply with a record retention schedule that complies with guidelines provided by the Secretary of State pursuant to Section 12236, that classifies all of the agency's records by category, and that establishes a standard protocol for destruction or disposition of records.

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of the Mendocino Transit Authority that:

1. The Records Retention Schedule attached hereto as Exhibit A and incorporated herein by reference, is hereby adopted and the Board of Directors.

2. The MTA Executive Director is authorized to update the MTA Records Retention Schedule as needed without further action by the Board of Directors of Mendocino Transit Authority.

Adoption of the Resolution was MOVED by Director__ and SECONDED by Director at a Special Meeting of the Board of Directors on May 12, 2021 by the following roll call vote:

AYES:
NOES:
ABSTAIN:
ABSENT:

AGENCY BOARD DESIGNEE:

BY:____________________________
Saprina Rodriguez, MTA Board Chair
Explanations and Definitions
This Retention Schedule serves as the starting point for establishing the guidelines that define the length of time for which MTA should retain records and information. Records refer to information — regardless of its format or media — that documents the actions and transactions of MTA, as well as information that is needed to comply fully with legal, financial, reporting, and regulatory requirements, and to maximize business efficiencies.

**Column Heading Explanations**
- **Record No.** - a unique identifying number for the category of information (to be added after all categories have been determined)
- **Business Process** - the high-level grouping of business processes within MTA (this is not the departments or functions of MTA, but rather high-level general business functions)
- **Record Category Name** - the actual category or grouping of "like" information upon which retention will be applied.
- **Record Category Description** - a description of the category or grouping of "like" information for clarification purposes.
- **Example Records** - records and information names that fall within the category or grouping; many actual departmental retention schedule record series are mapped to one of these high-level categories.
- **Retention** - how long information in this category must be retained, including any triggering events (described at the top of the schedule, with additional codes below)
- **Legal Citations** - the legal or regulatory requirements or statutes that lead to the calculation of retention (not all information has a legal requirement to be kept; other considerations are mentioned above).
- **Comments** - any special handling or other requirements for information of this category.

**Other Records Retention Event Codes and Acronyms**
- **CCP** - Code of Civil Procedure
- **CCR** - California Code of Regulations
- **CFR** - Code of Federal Regulations
- **GOV** - Government
- **HSC** - Health and Safety Code
- **LAB** - Labor Code
- **MAINT** - Maintain records
- **UIC** - Unemployment Insurance Code
- **USC** - US Code
Definitions
Obtained from the California Secretary of State Guidelines.

Active Records - Retention period for a Perpetual Record that remains "active" until some event occurs to change its status, at which time it has fulfilled its function. (See also Perpetual Record)

Administrative Records - Records commonly found in all offices and typically retained only for short time periods - less than five years. Examples include subject, chronological, budget, and policy files.

Archival Records - Records with enduring value because they reflect significant historical events, document the history and development of an agency, or provide valuable research data.

Discovery - The pretrial disclosure of pertinent facts or documents by one or both parties to a civil action or processing. Anything requested during discovery must be disclosed if it exists - even non-records and records that should have been destroyed earlier. Discovery effectively freezes selected holdings until release by opposing attorney or the court.

Local Government - Government Code, Section 6252 states: "'Local Agency' includes a county; city, whether general law or charter; city and county; school district; municipal corporation; district; political subdivision; or any board, commission or agency thereof; other local public agency; or nonprofit entities that are legislative bodies of a local agency pursuant to subdivisions (c) and (d) of Government Code, Section 54952."

Non-Records - Material not usually included within the definition of records, such as unofficial copies of documents kept only for convenience or reference, working papers, appointment logs, stocks of publications and processed documents, and library or museum material intended solely for reference or exhibition. Also, documents such as rough notes, calculations or drafts assembled or created and used in the preparation or analysis of other documents. (See also Discovery)

Permanent Records - Records that are required in perpetuity, usually identified by statute or other written guidance. Examples include original birth certificates, death certificates, Spanish land grants, etc.

Perpetual Records - Records retained for an indefinite period of time and then stored or destroyed after some event takes place. Examples include office personnel files which are kept until a person leaves the office, policy files kept until the policy is changed, contract files kept until the contract terminates, etc.

Public Records - Any information relating to the conduct of the public's business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics.

Records - All papers, maps, exhibits, magnetic or paper tapes, photographic films and prints, punched cards, and other documents produced, received, owned or used by an agency, regardless of physical form or characteristics.

Records Retention Schedule - A list of all records produced or maintained by an agency and the actions taken with regards to those records. A retention schedule is an agency's legal authority to receive, create, retain, and dispose of official public records. It assists the agency by documenting which records require office or temporary storage, which records have historic or research value, and which records should be destroyed because they no longer have any administrative, fiscal, or legal value. In the event of litigation, courts accept a retention schedule as establishing an agency's "normal course of doing business".

Retention Period - The length of time a record must be retained to fulfill its administrative, fiscal and/or legal function. Then, a record should be disposed of as soon as possible in accordance with an approved Records Retention Schedule.
<table>
<thead>
<tr>
<th>Record No.</th>
<th>Business Process</th>
<th>Record Category Name</th>
<th>Record Category Description</th>
<th>Example Records</th>
<th>Retention</th>
<th>Legal Citations</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>001</td>
<td>Administrative</td>
<td>Audits</td>
<td>Correspondence; memos, emails that are not required as part of an audit</td>
<td>Minutes, reports, correspondence, memos, and other documentation related to audits</td>
<td>AU+FY</td>
<td>CA - GOV 34000 - SOS Guidelines (FY)</td>
<td>Closure of audit if not completed within 3Y.</td>
</tr>
<tr>
<td>002</td>
<td>Administrative</td>
<td>Authorizations - Executive Director</td>
<td>Authorizations for staff members to act on behalf of the Executive Director</td>
<td>Authorization requests</td>
<td>AC+3Y*</td>
<td>CA - GOV 34000 - SOS Guidelines (FY)</td>
<td>Audit complete after 3Y.</td>
</tr>
<tr>
<td>003</td>
<td>Administrative</td>
<td>Chronological and Non-Specific Correspondence</td>
<td>Correspondence; memos, emails that are not required as part of an audit</td>
<td>Audit trail; ecological files</td>
<td>AC+2Y*</td>
<td>CA - GOV 34000 - SOS Guidelines (FY)</td>
<td>Correspondence, including emails, related to specific projects or a policy-making decision should be retained per the project or related subject's retention time frame.</td>
</tr>
<tr>
<td>004</td>
<td>Administrative</td>
<td>Department Administration</td>
<td>General internal administrative records of MTA administrative departments</td>
<td>Correspondence; memos, emails, etc.</td>
<td>AC+2Y</td>
<td>CA - GOV 34000 - SOS Guidelines (FY)</td>
<td>For CA GOV 34236 SOS Guidelines, inventories, software/hardware documentation, plans and goals remain active until revised/suspended/rescinded.</td>
</tr>
<tr>
<td>005</td>
<td>Administrative</td>
<td>Policies and Procedures</td>
<td>Documentation of MTA or Department policy and procedures</td>
<td>Correspondence; memos, emails, etc.</td>
<td>AC+3Y*</td>
<td>CA - GOV 34000 - SOS Guidelines (FY)</td>
<td>For CA GOV 34236 SOS Guidelines, an organizational policies and procedures remain active until revised/suspended/rescinded.</td>
</tr>
<tr>
<td>006</td>
<td>Administrative</td>
<td>Project and Subject Files</td>
<td>Records documenting activities related to specific projects or subjects (infrastructure).</td>
<td>Correspondence; memos, emails, etc.</td>
<td>AC+3Y</td>
<td>CA - GOV 34000 - SOS Guidelines (FY)</td>
<td>Exception: If grant specifies a longer retention period, retain per the grant's requirements. If pertaining to facilities/infrastructure, please follow the retention requirements for Construction, Engineering and Infrastructure Project Files (Operations business process).</td>
</tr>
<tr>
<td>007</td>
<td>Administrative</td>
<td>Records, Information Management</td>
<td>Documentation of the compliance with Records and Information Management policy and procedures</td>
<td>Correspondence; memos, emails, etc.</td>
<td>AC+4Y</td>
<td>CA - GOV 34000 - SOS Guidelines (FY)</td>
<td>Considered non-record research material.</td>
</tr>
<tr>
<td>008</td>
<td>Administrative</td>
<td>Reference Materials</td>
<td>Documents and materials retained for ongoing personal research or ongoing research purposes not covered in a more specific process related series</td>
<td>Correspondence; memos, emails, etc.</td>
<td>PR</td>
<td>CA - GOV 34000 - SOS Guidelines (FY)</td>
<td>Retain permanently for historical reference.</td>
</tr>
<tr>
<td>009</td>
<td>Communications</td>
<td>Historical Documents, Events, Memorabilia, Collections, Artifacts, Schedules, Brochures, Tickets/Passes</td>
<td>Records and information documenting the history and significance of MTA, and publications providing information on routes, schedules and services provided by MTA.</td>
<td>Correspondence; memos, emails, etc.</td>
<td>PR</td>
<td>CA - GOV 34000 - SOS Guidelines (FY)</td>
<td>Considered non-record research material.</td>
</tr>
</tbody>
</table>
## Record No.: 010
### Business Process: Communications
### Record Category: Community Outreach, Media and Public Relations
### Record Category Description: External facing communications, advertising and press relations materials, including documentation of outreach activities/events held in cooperation with or for the benefit of the customer service community.
### Example Records: Marketing (media, mailers, media packets, mailers, promotional items), Articles, Media (Press Releases, Media Packets), Events (community outreach, special events), Mailers, Media Packets, Newsletters, Promotional Items
### Retention: AC+3Y
### Legal Citations: CA - GOV 12236 - SOS Guidelines (3Y)

### Comments: Exception 1: Pertaining to procurements and cost reports should be retained for the duration specified for the related federal procurement.

### Exception 2: If records pertain to agency milestones or historic events, keep permanently per the Historical Documents Events/Memorabilia/Collectibles: Artifacts retention.

## Record No.: 011
### Business Process: Communications
### Record Category: Customer Service
### Record Category Description: Documentation regarding customers and passengers, including participation in MTA programs, and customer complaints or issues and the actions taken to address and resolve them.
### Example Records: Customer Correspondence (Mail, Text, etc.), No Show Letters, Reduced Fare Applications (Mail, etc.), Issues Log, Passenger Information
### Retention: AC+3Y
### Legal Citations: CA - GOV 34010 - (2Y)

### Comments: Regardless of how received (e.g., phone, email, etc.)

## Record No.: 012
### Business Process: Compliance
### Record Category: Non-Financial Reporting
### Record Category Description: Official non-financial reports and studies issued by MTA to meet and comply with regulatory requirements.*
### Example Records: Internal Audits (Audit Reports, 300 Reports / Logs), Risk Management Reports (Federal OSHA, tax analysis, safety), Workers Compensation Reports (monthly, annual)
### Retention: GY
### Legal Citations: CA - GOV 14302.33 - (2Y)

### Comments: Retention is 6 yrs. because most records in this grouping must be retained for 5 yrs following the calendar year in which they pertain.

## Record No.: 013
### Business Process: Compliance
### Record Category: Legal Compliance
### Record Category Description: Forms and filings mandated by state and federal laws, including those related to economic interests of Officials designated in MTA Conflict of Interest Code.
### Example Records: Form 707 Filings (Conflict of Interest Code (Revisions, Correspondence), Fair Political Practices Commission (FPCC) Statements of Economic Interests)
### Retention: AC+7Y
### Legal Citations: CA - GOV 34010 - (2Y)

### Comments: Remains active until individual leaves MTA.

## Record No.: 014
### Business Process: Compliance
### Record Category: Public Information
### Record Category Description: Records requested by the public, required for provision to the public, and related inquiries.
### Example Records: Public Records Requests
### Retention: CL+2Y
### Legal Citations: CA - GOV 34010 - (2Y)

## Record No.: 015
### Business Process: Finance
### Record Category: Accounting
### Record Category Description: Records and information related to management of MTA accounts, including receivables, payables, grants, expenses, books and ledgers.
### Example Records: Accounts Payable, Accounts Receivable, Bank Reconciliations, Cash, Chart of Accounts, Expenses, General Ledger, Journal Entries, Liabilities (Accounts Payable, Payroll Accruals), Revenue (Fare, Farecard, State, etc.)
### Retention: FY+7Y
### Legal Citations: CA - GOV 65001 - (AU)

### Comments: Retain FY+7Y or until audited, whichever comes first.

## Record No.: 016
### Business Process: Finance
### Record Category: Banking Administration
### Record Category Description: Records and information related to the administration of banking activities, with signatures.
### Example Records: Banking Resolutions (Signature Authority)
### Retention: AC+2Y
### Legal Citations: CA - GOV 34010 - (2Y)

## Record No.: 017
### Business Process: Finance
### Record Category: Budgets
### Record Category Description: Records and information relating to creating and implementing organizational budgets.
### Example Records: Capital Budget, Operating Budget, Budget Adjustments, Budget Outline, Presentations, Supporting Documents
### Retention: FY+7Y
### Legal Citations: CA - GOV 34010 - (2Y)

### Comments: Retain FY+7Y or until audited, whichever comes first.

## Record No.: 018
### Business Process: Finance
### Record Category: Final Reports
### Record Category Description: Final versions of MTA financial reports, whether required by regulations or generated to track financial transactions and achievements.
### Example Records: Audit Report (FYTD, State Controller Report (Finance, Compensation), Financial Statements, Findings, Correspondence, Financial Management, Capacity, Maintenance, ADA, Title VI, Procurement, FEE, Legal, Project Planning/Program, Public Safety, Security, Drug Free Workplace, Drug and Alcohol, etc.)
### Retention: FY
### Legal Citations: CA - GOV 34010 - (2Y)

### Comments: Retain permanently for historical reference.
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<tbody>
<tr>
<td>019</td>
<td>Finance</td>
<td>Fixed Assets</td>
<td>Records and information related to the ownership, purchase, sale, lease or improvement of land, buildings, infrastructure, equipment and other capital and land assets owned or used by MTA.</td>
<td>Grant Records: Depreciation Disposal</td>
<td>LI=3Y</td>
<td>CA - CPP 337.11 - (EDV) CA - GOV 34069 - (2Y) US - 28 CFR 31.6001(4Y)</td>
<td>Life of Asset</td>
</tr>
<tr>
<td>020</td>
<td>Finance</td>
<td>Grants and Funding</td>
<td>Documents the application, award, administration, monitoring, reporting, and status of grants and other funding sources for MTA programs and operations.</td>
<td>Applications, Approval Letter, Authorization, Awards and Notifications, Correspondence Federal/Grant Agreement, Grant Funding, Local Grant Reports, State Grant Tracking Reports</td>
<td>AC=2Y</td>
<td>CA - GOV 34069 - (2Y) CA - GOV 12236 - SOS Guidelines (AC=2Y)</td>
<td>Active until end of grant year or until audited, whichever is greater. If grant specifies a longer retention period, retain per grant's requirements.</td>
</tr>
<tr>
<td>021</td>
<td>Finance</td>
<td>Payroll</td>
<td>Records and information related to the accounting of MTA payroll. This also includes records and information reflecting all remuneration paid to each employee, including: Name, address, SSN - Total amount and date of payments - Period of service covered for each - Withholding - Tax collected</td>
<td>Bi-monthly Processing Quarterly Payroll Taxes W-2</td>
<td>FY=3Y</td>
<td>CA - 2 CCR 576.5 - (2Y) CA - 2 CCR 571(6)(1)(E) - (2Y) CA - 22 CFR 5688-2 (c) - (2Y) CA - GOV 12946 - (TE+2Y) CA - GOV 62021 - (2Y) CA - LAB 256a(2Y) CA - LAB 11746 - (2Y) CA - LAB 1197.5 - (2Y) US - 29 CFR 515.5 - (2Y) US - 29 CFR 515.6 - (2Y) US - 29 CFR 1620.32 - (2Y) US - 29 CFR 1623.7 - (2Y)</td>
<td></td>
</tr>
<tr>
<td>023</td>
<td>Human Resources</td>
<td>Confidential Records</td>
<td>Confidential records and information related to Human Resources activities not covered by other record categories.</td>
<td>Classification Studies &amp; Job Descriptions, Compensation Studies &amp; and Salary Schedules</td>
<td>S</td>
<td>CA - GOV 62021 CA - GOV 12236 - SOS Guidelines (Active until revised/superseded)</td>
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<tr>
<td>024</td>
<td>Human Resources</td>
<td>Employee Medical Records - Confidential</td>
<td>Records related to paid employees (whether full or part-time), including but not limited to: medical records, including exposure and drug screens (includes records subject to HIPAA requirements) workers compensation</td>
<td>Employee Injury/Accident Reports, Exposure Monitoring FMLA/CFRA/FMLA, PDL Other Medical Leave of Absence Hazardous Exposure Incident Reports (Occupational illness or injury), Medical Warnings and Changes Pre-employment Physical Workers Compensation Claims, claim logs, incident/accident reports, Health and Welfare Benefit Plan Documents (kept in personnel file if no medical information is included)</td>
<td>TE=3Y</td>
<td>(CA - GOV 34069 - (2Y) CA - GOV 12236 - SOS Guidelines (Active until revised/superseded)</td>
<td>Exception: the records of employees who worked for less than (1) year for MTA need not be retained beyond the term of employment if they were provided to the employee upon termination of employment.</td>
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<tr>
<td>Record No.</td>
<td>Business Process</td>
<td>Record Category Name</td>
<td>Record Category Description</td>
<td>Example Records</td>
<td>Retention</td>
<td>Legal Citations</td>
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<tr>
<td>025</td>
<td>Human Resources</td>
<td>Employee Records - Confidential</td>
<td>Documents related to paid employees (whether full or part-time), including but not limited to: hiring documents (application, resume, job description), promotion, demotion, transfer, layoff/recall/supervision, retirement plan reporting and disclosure records (plan summaries, participant benefit statements, etc.), terminations/discharge/resignation, training (harrassment/discrimination, ethics, fire extinguisher, first aid/CPR, safety, Title VI non-discrimination), pay rates/other terms of compensation, Health COBRA Correspondence Death Claims, Life Event Documents, Disciplinary Actions Employment Authorizations, Terminations, Confirmations, Status Changes, Coverage Changes Exit Form Incident Reports (non-injury or illness related incidents), Job Descriptions Leaves of Absence Personal Files (Personnel Action Form, Master log records, Biodata, S-360, etc.), Table of Contents (EE medical records), CaPERS Plan Summaries Participant Benefit/Statements Policy Acknowledgments Recruitment (Applications, Applicant Tracking, Background Checks, Interview Notes, Job Postings, Executive Candidates) Timesheets Training certificates</td>
<td>TE+6Y</td>
<td>LA - GOV 1224-0 (CY)</td>
<td>Where a charge of discrimination has been filed, or an action brought by the Commission or the Attorney General, against an employer under title VII, the ADA, or GINA, the respondent employer shall preserve all personnel records relevant to the charge or action until final disposition of the charge or action.</td>
<td></td>
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<tr>
<td>027</td>
<td>Human Resources</td>
<td>Employee Benefits Records - Confidential</td>
<td>Benefits Determination Records, Benefits designations, Benefits (elections, enrollment, terminations, additions, changes, Coordination of Benefits), Eligibility: Research: Breaks in service records, health and welfare benefit plan documents (retain in EE medical record file instead, if medical information is included), CaPERS Retirement</td>
<td>LI+6Y</td>
<td>20 - 29 USC 1107 (CY+6Y)</td>
<td>For the life of the plan/document, or until the participant's complete withdrawal from the plan, plus an additional 6 years. Essentially, records are active until no longer relevant to a determination of benefit entitlements.</td>
<td></td>
</tr>
<tr>
<td>028</td>
<td>Human Resources</td>
<td>Work Authorizations - Confidential</td>
<td>Employment eligibility verification forms collected for active employee and supporting documentation regarding immigration status</td>
<td>TE+3Y*</td>
<td>20 - 20 CFR 455.5 (CY+1Y)</td>
<td>Form I-9 and I-90 copies must be retained for the entire time an employee works for the agency, and 3 years after date of hire or 1 year after employment ended, whichever is later. (USCIS Forms and Information guidelines)</td>
<td></td>
</tr>
<tr>
<td>029</td>
<td>Information Technology</td>
<td>Application, System Development and Maintenance</td>
<td>Technical documentation related to development of ITA technology processes, applications, or systems, as well as conversions, changes or modifications to existing applications or systems.</td>
<td>LI+2Y</td>
<td>LA - GOV 34400-0 (CY)</td>
<td>LTI = Life of Application, system</td>
<td></td>
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<tr>
<td>Record No.</td>
<td>Business Process</td>
<td>Record Category Name</td>
<td>Record Category Description</td>
<td>Example Records</td>
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<tr>
<td>030</td>
<td>Legal</td>
<td>Claims, Litigation, Arbitration and Resolution</td>
<td>Records and information created or collected in support of MTA’s position in actual or potential litigation or to otherwise evaluate actual or potential litigation relating to the organization, including claims, consultant/contracts, grievances, witness compensation. Litigation includes third party litigation, government investigations, mediations, arbitrations, and other judicial or quasi-judicial proceedings, whether handled by the General Counsel or outside counsel on behalf of MTA.</td>
<td>None</td>
<td>P+10Y</td>
<td>CA - 2 CCR 10130 (FY)</td>
<td>Unit claim, litigation or complaint has been satisfactorily resolved and closed/settled, the file remains open. Exception: If paid with grant funds, and grant specifies a longer retention period, retain per the grant’s requirements.</td>
</tr>
<tr>
<td>032</td>
<td>Legal</td>
<td>Legal Advice and Opinions</td>
<td>Memoranda containing legal advice prepared by General Counsel or other attorneys for MTA.</td>
<td>Memorandum - Covered by Attorney/Client Privilege Notes - Public Information</td>
<td>P+10Y</td>
<td>CA - GOV 34930 (FY)</td>
<td></td>
</tr>
<tr>
<td>033</td>
<td>Legal</td>
<td>Purchasing and Agreements, Awarded - General</td>
<td>Records and information created or retained in the requisitioning, purchasing, contracting or acquisition of goods and services other than for real property, infrastructure or facilities, between MTA and other parties. Includes: Executed agreements and contracts Terms and conditions and associated ancillary documents Consultant agreements Professional services</td>
<td>Vendor Awards Agreements Amendments Attachments / Exhibits RFP, Awards Certificates of Insurance Change Orders Contracts Correspondence Delivery Receipt Records Disclosures Exhibits RFP, Invitation for Bids (IFBs) Lease Letters of Intent License Agreements, Licenses Memoranda of Agreement (MDAs) Memoranda of Understanding (MOUs) Purchase Orders, Quotes/Quotations Purchase Orders, Quotes/Quotations Request for Proposals (RFP) Request for Qualifications Request for Quotes (RFQ) Reports Scorecards Specifications Staff Reports Statements of Work (SOW) Surety Bonds (bid bonds, payment bonds, performance bonds, ancillary bonds) Warranties</td>
<td>A+2Y</td>
<td>CA - CCP 337 (FY)</td>
<td>Exception: If paid with grant funds, and grant specifies a longer retention period, retain per the grant’s requirements.</td>
</tr>
<tr>
<td>Record No.</td>
<td>Business Process</td>
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<tr>
<td>034</td>
<td>Legal</td>
<td>Purchasing and Agreements, Awarded - Real Property and Facilities</td>
<td>Records and information created or retained in the requisitioning, purchasing, contracting for the acquisition, development, improvement or maintenance of real property, facilities, or other infrastructure assets, between MTA and other parties. Includes: - Executed agreements. - Terms and conditions and associated ancillary documents. - Title insurance agreements.</td>
<td>Exhibits, Agreements, Amendments, Attachments / Exhibits, Rols. Awards, Certificates of Insurance, Change Orders, Contracts, Correspondence, Delivery/Receipt Records, Disclosures, Exhibits, Inclusions for Bid (IFBs), Leases, Letters of Intent, Maintenance/Bonds, Memoranda of Agreement (MDAs), Memoranda of Understanding (MOUs), Performance Bonds, Proof of Insurance/Certificates, Purchase Orders, Requests for Proposals (RFP), Requests for Qualifications, Requests for Quotes (RFQ), Reports, Scorecards, Specifications, Staff Reports, Statements of Work (SOW), Surety Bonds (bid bonds, payment bonds, performance bonds, ancillary bonds), Warranties</td>
<td>PR</td>
<td>CA - GOV 34090 - (2Y)</td>
<td></td>
</tr>
<tr>
<td>035</td>
<td>Legal</td>
<td>Purchasing and Agreements, Cancelled</td>
<td>Records and information created or retained in the requisitioning of goods, services, or real property between MTA and other parties, but where the purchase order or contract was cancelled or unsuccessful.</td>
<td>Exhibits, Inclusion for Bid (IFB), Price Lists, Quotations, Requisitions, Requests for Proposals (RFP), Requests for Qualifications, Requests for Quotes (RFQ), Scorecards, Specifications, Staff Reports</td>
<td>AC+2Y</td>
<td>CA - GOV 34090 - (2Y)</td>
<td></td>
</tr>
<tr>
<td>036</td>
<td>Legislative</td>
<td>Real Estate Records</td>
<td>Records and information related to the ownership, purchase, sale, lease or improvement of real property, infrastructure and facilities owned by or used by MTA.</td>
<td>Acquisition, Amortization, Attachments, Buildings, Capital Asset Records, Capital Improvements (CIP), Deeds, Deeds of Trust, Depreciation Schedules, Easements, Encroachments, Right of Way, Liens, Mortgages, Possessor's Interest, Rights of Way, Schedule of Infrastructure and Buildings, Title Insurance, Valuation Information</td>
<td>PR</td>
<td>CA - GOV 34090 - (10Y), CA - CCP 337.1 - (AC+4Y), CA - CCP 337.15 - (AC+10Y), US - 2 CFR 200.33 - (AC+2Y), US - FTA Master Agreement - (AC+3Y)</td>
<td></td>
</tr>
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<td>Record No.</td>
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<td>037</td>
<td>Legislative</td>
<td>MTA Board Administrative Records</td>
<td>Documentation associated with administration, planning, and communication of the activities of the MTA Board of Directors.</td>
<td>Agenda/minutes (distributed to staff): Follow-Up, Agenda Planner, Public Comments (speaker slips, public correspondence distributed to Board or Committee, public sign-in sheets), Public Records Requests, Working Papers, Correspondence (Board of Directors)</td>
<td>AC+2Y</td>
<td>CA - GOV 34090 - (2Y)</td>
<td></td>
</tr>
<tr>
<td>038</td>
<td>Legislative</td>
<td>MTA Board of Directors Official Meetings and Decisions</td>
<td>Official records of the MTA Board of Directors that document meetings, decisions, and policies.</td>
<td>Agenda/minutes, Agenda Packets, Attachments/Exhibits, Minutes, Minute Books &amp; Index, Drafts of Office Resolution, Supplemental Meeting Handouts, PowerPoint Presentations</td>
<td>PR</td>
<td>CA - CCP 336 - (ST), CA - CCP 336 - (90D), CA - CCP 337 - (4Y), CA - CCP 337 - (LA19F), CA - GOV 34000 - (PR), CA - GOV 60201 - (PR), CA - GOV 60201 - (AC+5Y)</td>
<td></td>
</tr>
<tr>
<td>039</td>
<td>Legislative</td>
<td>MTA Standing Committees and Ad Hoc Committee(s) Administrative Records and Meetings - May Contain Some Confidential Records</td>
<td>Documentation associated with administration, planning and communication of the activities of the Executive Committee and various Ad Hoc Committees as well as official records of meetings.</td>
<td>Action logs (distributed to staff)/Follow-Up, Agenda/minutes, Agenda Packets, Attachments/Exhibits, Informal Meeting Notes, Minutes, Supplemental Meeting Handouts, PowerPoint Presentations</td>
<td>AC+5Y</td>
<td>CA - GOV 34000 - (2Y)</td>
<td>Retain 5Y for reference in SRTP planning, as well as audits.</td>
</tr>
<tr>
<td>040</td>
<td>Legislative</td>
<td>Meetings - Audio Recordings</td>
<td>Recordings of MTA Board meetings.</td>
<td>Recordings - Board of Directors, Ad Hoc, Standing Committees</td>
<td>AC+2Y</td>
<td>CA - GOV 34000 - (2Y), CA - GOV 34000.7 - (90D), CA - GOV 54953.53b - (90D)</td>
<td></td>
</tr>
<tr>
<td>042</td>
<td>Operations</td>
<td>Building and Property Maintenance</td>
<td>Includes routine, preventive, and reactive maintenance activities for MTA facilities and non-vehicle equipment.</td>
<td>Preventive Maintenance Log, Repair Orders, Replacement Schedules, Work Orders</td>
<td>LI+2Y</td>
<td>CA - GOV 34000 - (2Y), CA - CCP 345 - (ST)</td>
<td>LI = Life of Equipment, Asset + 2Y, if no claim filed.</td>
</tr>
<tr>
<td>043</td>
<td>Operations</td>
<td>Building and Property Management</td>
<td>Records and information regarding the structure of MTA physical buildings and facilities.</td>
<td>Construction Records, Certificates (compliance, occupancy), Construction Records, Easements, Electrical Wiring Schematics, Facility Key and Fobs/Log, Facility Key Request Forms, Floor Plans, Property Inventory, Storm Drain/Sewers</td>
<td>LI+10Y</td>
<td>CA - CCP 337 - (ST), CA - CCP 337.15 - (10Y), CA - HSC 19890 - (LI)</td>
<td>LI = Life of Building, Asset</td>
</tr>
</tbody>
</table>
### Agenda Item D.5
May 12, 2021

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>045</td>
<td>Operations</td>
<td>Construction, Engineering, and Infrastructure: Project Files</td>
<td>Records and information related to the administration, analysis, design, development, planning, construction and maintenance, capital improvement (CIP), and engineering projects for MTA facilities and infrastructure.</td>
<td>Maintenance logs, invoices, Billings, Capital Improvement Projects (CIP) (drawings, maps, plans), Certifications (daily reports), Contract Schedules, Contractor Documentation (Payroll, Pay Estimates, Prevailing Wages, Itemized Pay Sheets, Labor Compensation, Statement of Working Days), Construction Daily Reports, Correspondence, Encumbrance/Right of Way (ROW) Permits, Certificates Environmental Impact Reports / Statements / Assessments, Estimates / Budgets, Field Inspections, Final Improvement Plans, Grading (cut sheets, permits, erosion control plans), Insurance Certificates, Land Survey (project built), Material Testing Reports, Notices of Completion, Notices to Proceed, Public Notices, Request for Final Inspection, RFIs &amp; Responses, Specifications, Submittals</td>
<td>L7 + 10Y</td>
<td>CA - CCP 337.15 - (10Y), CA - GOV 34090 - (2Y), CA - HSC 19850 - (LI)</td>
<td>( LI = ) Life of Building; ( LA = ) Last Activity</td>
</tr>
<tr>
<td>046</td>
<td>Operations</td>
<td>Harriet Operator Compliance Records</td>
<td>Reports, logs and other information provided by transit operator to document compliance with MTA requirements and used in compiling reports prepared for funding entities.</td>
<td>Monthly Reports, Key Performance Indicators.</td>
<td>L7 or SY, whichever is greater</td>
<td>CA - GOV 34090 - (2Y)</td>
<td>Life of transit operator contract</td>
</tr>
<tr>
<td>047</td>
<td>Operations</td>
<td>Field Services</td>
<td>Records and information regarding the ongoing maintenance and upkeep of MTA bus stops and other facilities for which MTA has responsibility.</td>
<td>Correspondence, Incident Reports, Maintenance Sign, Maintenance Work Reports</td>
<td>4Y</td>
<td>CA - CCP 337 - (4Y), CA - GOV 34090 - (2Y)</td>
<td></td>
</tr>
<tr>
<td>048</td>
<td>Operations</td>
<td>Fleet Management</td>
<td>Records related to the purchase and management of vehicles / buses owned or used and maintained by MTA.</td>
<td>Accident Logs, Incident Logs, Acquisitions (purchases), Buses, Energy Logs, Fuel Logs, Mileage Reports, Manuals, Motor Vehicle Records and Reports, Preventive Maintenance Reports, Registrations, Operating Permits, Maintenance / Repair (contracts, requests, labor costs, preventive), Service Calls, Shop Inspections, Vehicle Certificates of Insurance, Vehicle Health Reports, Vehicle Inspections, Vehicle License Plate Records, Vehicle Maintenance History, Vehicle Ownership / Title, Warranties</td>
<td>L7 + 4Y</td>
<td>CA - GOV 34090 - (4Y)</td>
<td>( LI = ) Life of Vehicle. If purchased with grant funds, and grant specifies a longer retention period, retain per the grant's requirements.</td>
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| 040        | Operations       | Hazardous Waste, Monitoring and Remediation | Planning, monitoring and configuring emergency action plans for hazardous waste, emergency and spill response, exposure emergencies, notifications and responses; environmental action plans and supporting documentation; hazardous communications plans, including labeling, MSDS, training programs and procedures. | Electrical Use Reports Form | AC+5Y | CA - CalOSHA, CCP 338 (3Y), CCP 338.1 (3Y), CA - 22 CCR 68262 40 (3Y), CA - 22 CCR 68262 20 (3Y), JS - 49 CFR 172.201 (3Y) | **AC** |}
| 050        | Operations       | Project Files - NetAcquired | Records and information associated with projects that did not move forward. | Environmental/Reports and Surveys (project not built) Preliminary Studies Project Assessments Title Reports | 5Y | CA - GOV 34090 (2Y) | **AC** |}
| 051        | Operations       | Scheduled and Periodic Facility Inspections | Records of inspections of MTA facilities, equipment, and working conditions to ensure compliance with regulatory requirements and to identify unsafe conditions and workpractices. | CalOSHA Field Safety Audits Fine Extinguishers Fire Marshal Inspections Lift Certifications OSHA Extinguishers CHP Inspections | AU+7Y | CA - 8 CCR 33030 (1Y), CA - GOV 34090 (2Y) | **AC** |}
| 052        | Operations       | Security and Access Controls - MTA Facilities | Records of actions taken to ensure the security of MTA facilities, including video recordings made from cameras installed on MTA premises. | Daily Security Activity Logs Security Camera (CCF)/Footage Security Plans Video Recordings Visitor Security / Access Logs | 1Y* | CA - GOV 34090 B (1Y), CA - GOV 53162 (1Y) | **AC** |}
| 053        | Operations       | Surveillance Videos - Onboard Buses | Video recordings made on each bus, during each shift, and recorded continuously. | Onboard Surveillance System | 1Y* | CA - GOV 34090 B (1Y), CA - GOV 53162 (1Y) | **AC** |}
| 055        | Operations       | Transit Program Reports | Documentation associated with preparation, delivery, and publication of transit program reports, whether daily, weekly, monthly, quarterly, semi-annual, annual, biennial or semi-annually. | Accidents, Safety and Security Reports Passenger Survey/Reports Hours Report Mileage Report MUTCD (National Transit Database) Reports Riderhip Report Survey Trip Sheets | AC+1Y | CA - GOV 34090 (2Y) | **AC** |}
<p>| 056        | Risk Management  | Transportation Planning | Documents regarding fares, rates, reliability, routes, monitoring of existing services and service development, including reports that compile information from multiple sources. | Far Policy Mobility Management Routes and Schedules Route Schedules Service Changes (Routes, Outreach) Sign Policy Strategic Transit Planning Studies Surveys Title VI Reporting TDA Article 8 Plans | 10Y | CA - GOV 34090 (2Y) | <strong>AC</strong> |</p>
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<td>057</td>
<td>Risk Management</td>
<td>Incidents - Other</td>
<td>Records of accidents and incidents that do not involve injuries to employees or contractors. NOTE: If a claim is filed, see Claims, Litigation, Arbitration and Resolution, above.</td>
<td>Incident File - No claim filed (accident reports, courtesy cards, photographs, supporting documentation)</td>
<td>AC*+7Y</td>
<td>CA - CCP 337 - (4Y)</td>
<td>Closed and no claim filed</td>
</tr>
<tr>
<td>058</td>
<td>Risk Management</td>
<td>Insurance Coverage</td>
<td>Records detailing MTA's general coverage against property damage and liability, including renewal submission information, insurance quotes, &amp; broker correspondence.</td>
<td>Records to Information - Correspondence Certificates of Insurance Completed Applications Insurance Policies (disability, flood, liability, property) Insurance Quotes</td>
<td>S+6Y</td>
<td>CA - CCP 337 - (4Y)</td>
<td></td>
</tr>
</tbody>
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