



Meeting Date: September 29, 2021

Agenda Item: D.2

AGENDA SUMMARY REPORT

SUBJECT:

Discussion and Possible Adoption of 2021-15 Approving Updated Record Retention Schedule

SUMMARY:

On May 26, 2021, the Board adopted Resolution 2021-09 which approved MTA's record retention schedule. Subsequent to Board approval, staff was informed that the record retention schedule should specifically state that Prop 1B program files should be retained for 35 years after project close out.

The attached updated record retention document includes the 35-year requirement for Prop 1B records.

STAFF RECOMMENDATION:

Adopt Resolution 2021-15 approving an updated record retention schedule.

ATTACHMENTS

Updated record retention schedule.

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.

AC = Active AU = Audit AY = Award Year CL = Closed/Completion FR = Final Resolution FY = Fiscal Year LA = Last Activity LI = Life (of contract, program, asset) PR = Permanent S = Superseded TE = Termination							
Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments
001	Administrative	Audits	Records and information related to preparation and follow up on auditing activities, including operational, compliance, or financial information created as a part of an audit.	Expense reports Budgets Procurement records Audit reports	AU*+7Y	CA - GOV 12236 - SOS Guidelines (7Y)	* Closure of audit Exception: If grant specifies a longer retention period, retain per the grant's requirements.
002	Administrative	Authorizations - Executive Director	Authorizations for staff members to act on behalf of the Executive Director in the Executive Director's absence. Authorizations for staff members to sign for grants, Certifications and Assurances, etc.	Authorization Forms (<i>from various Government entities, etc.</i>) Related Communication	AC+3Y*	CA - GOV 34090 - (2Y) CA - GOV 12236 - SOS Guidelines (4/7Y or until audited, whichever is first)	*Audit complete after 3Y
003	Administrative	Chronological and Non-Specific Correspondence	Correspondence, memos, notes, emails that do not require acknowledgment or follow-up, pertain to non-essential subjects, or are not subject to another category.	Casual Correspondence Chronological Files Internal memos (announcements, new programs, notices) Form Letters Notes of Appreciation General emails	AC+2Y*	CA - GOV 34090 - (2Y) CA - GOV 12236 - SOS Guidelines (2Y)	*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.
004	Administrative	Department Administration	General internal administrative records of MTA administrative departments, including: - Documentation of department activities - Information captured on a log or a list	Computing Equipment (<i>inventories, manuals, software, licenses, warranties, service records</i>) Department Administrative Documents (<i>calendars, project goals/objectives, staff/dept. meeting agendas and minutes, etc.</i>) Logs	AC+2Y	CA - 8 CCR 3203 - (CY+1Y) CA - GOV 34090 - (2Y)	Per CA GOV 12236 SOS Guidelines, inventories, software/hardware documentation, plans and goals remain active until revised/superseded/rescinded.
005	Administrative	Policies and Procedures	All documentation of MTA or department policy and procedures.	Correspondence Directives Guidelines Handbooks Policies Procedure Manuals Procedures Records Retention Schedule Rules / Regulations Standards Legislative Principles/Programs	AC+3Y*	CA - GOV 34090 - (2Y) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1627.3 - (TE+1Y)	Per CA GOV 12236 SOS Guidelines, all organizational policies and procedures remain active until revised. *Retain 3Y for audit.
006	Administrative	Project and Subject Files	Records documenting activities related to specific projects or subjects (unrelated to construction, facilities/ infrastructure).	Consultants Data Processing Subject Files (Correspondence, Reference Publications, Reports) Extracted Data Summaries Forms Project Files Project/Program Plan Project Reporting Project Studies Subject Files Templates & Letterhead Working Files	AC+3Y	CA - GOV 34090 - (2Y) CA - GOV 12236 - SOS Guidelines (3Y)	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).
007	Administrative	Records, Information Management	Documentation of the compliance with Records and Information Management policy and procedures.	Certificates of Destruction Document Hold Notices, Updates Lists of Stored / Destroyed Records Master Records Inventory Records Transfers (<i>to storage, to other depts.</i>)	AC+4Y	CA - GOV 34090 - (2Y) CA - GOV 12236 - SOS Guidelines (4Y)	
008	Administrative	Reference Materials	Documents and materials retained for ongoing personal reference or ongoing research purposes not covered in a more specific process related series.	Census Data Data Processing Subject Files (<i>Correspondence, Reference Publications, Reports</i>) Environmental Regulatory Data Extracted Data Summaries Records Inventory	S		Considered non-record research material
009	Communications	Historical Documents, Events, Memorabilia, Collections, Artifacts, Schedules, Brochures, Tickets/Passes	Records and information documenting the history and significant milestones of MTA; and publications providing information on routes, schedules and services provided by MTA.	Brochures Bus Schedules Executive, MTA Official Communications, Speeches, Videos Historical Events, Artifacts, Architecture Mission Statement Artwork, Pictures, Video Collections (logos, identity/branding) Organization Charts Significant News Clippings, Releases (regarding agency milestones) Transit Services Maps Transit Tickets and Passes	PR	CA - GOV 34090 - (2Y)	Retain permanently for historical reference.

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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments
010	Communications	Community Outreach, Media and Public Relations	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.	Bus Advertising Marketing (media, mailers, media packets, mailers, promotional items) Articles Media (Press Releases, Media Packets) Events (<i>community outreach, special</i>) Mailers Media Packets Newsletters Promotional Items	AC*+3Y	CA - GOV 34090 -(2Y) CA - GOV 12236 - SOS Guidelines (3Y)	Exception 1: Postings for procurements and civil rights 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/ Collections/ Artifacts retention.
011	Communications	Customer Service	Documentation regarding customers and passengers, including participation in MTA programs, and customer complaints or issues and the actions taken to address and resolve them.	Customer Correspondence Dial-A-Ride (DAR Eligibility List, No Show Letters, Reduced Fare Applications, etc.) Issues Log Passenger Information	AC+3Y	CA - GOV 34090 -(2Y) CA - GOV 12236 - SOS Guidelines (3Y)	Regardless of how received (e.g., phone, email, etc.) Exception: If pertaining to grant funds, and grant specifies a longer retention period, retain per the grant's requirements.
012	Compliance	Non-Financial Reporting	Official non-financial reports and studies issued by MTA to meet and comply with regulatory requirements*.	Actuarial Studies OSHA 300, 300a, 301 Reports / Logs Risk Management Reports (<i>Federal OSHA, loss analysis, safety</i>) Workers Compensation Reports (<i>monthly, annual</i>)	6Y	CA - 8 CCR 14300.33 -(5Y) CA - GOV 34090 -(2Y) CA - LAB 6401.7 -(MAINT) US - 29 CFR 1602.14 -(FR+1Y) US - 29 CFR 1904.4 -(MAINT) US - 29 CFR 1904.33 -(CY+5Y)	Retention is 6 yrs, because most records in this grouping must be retained for 5 yrs following the calendar year in which they pertain. *Exception: If pertaining to Transit Operator Compliance Records, and Transit Program Reports, retain as specified under the respective record category's retention period.
013	Compliance	Legal Compliance	Forms and filings mandated by state and federal laws, including those related to economic interests of Officials designated in MTA' Conflict of Interest Code.	Form 700 Filings Conflict of Interest Code (Revisions, Correspondence) Fair Political Practices Commission (FPPC) Statements of Economic Interest	AC*+7Y	CA - GOV 34090 -(2Y) CA - GOV 81009(e), (f) - (4Y, 7Y)	*Remains active until individual leaves M T A .
014	Compliance	Public Information	Records requested by the public, required for provision to the public, and related inquiries.	Public Records Requests	CL+2Y	CA - GOV 34090 -(2Y) CA - GOV 12236 - SOS Guidelines (2Y)	
015	Finance	Accounting	Records and information related to management of MTA accounts, including payables, receivables, grants, expenses, books and ledgers.	1099 Accounts Payable Accounts Receivable Bank Reconciliations Cash Chart of Accounts Expenses General Ledger Journal Entries Liabilities (Accounts Payable, Payroll Accruals) Revenue (Fare, Federal, State, etc.) W-9	*FY+7Y	CA - GOV 60201 -(AU) CA - GOV 12236 - SOS Guidelines (7Y, or until audited, whichever is first) US - 26 CFR 1.162-17 -(MAINT) US - 26 CFR 31.6001 (4Y)	*Retain FY+7Y or until audited, whichever comes first. Exception: If pertaining to grant funds, and grant specifies a longer retention period, retain per the grant's requirements. Prop 1B grant files must be maintained for 35 years upon project close out.
016	Finance	Banking Administration	Records and information related to the administration of banking activities.	Banking Resolutions Signature Authority	AC+2Y	CA - GOV 34090 -(2Y)	
017	Finance	Budgets	Records and information relating to creating and implementing organizational budgets.	Capital Budget Operating Budget Budget Adjustments Budget Outlook Presentations Supporting Documents	*FY+7Y	CA - GOV 34090 (2Y) CA - GOV 12236 - SOS Guidelines (7Y, or until audited, whichever is first)	*Retain FY+7Y or until audited, whichever comes f i r s t .
018	Finance	Final Reports	Final versions of MTA financial reports, whether required by regulations or generated to track financial transactions and achievements.	Audit Report NTD State Controller Report (Finance, Compensation) Triennial Reviews (Reports, Findings, Correspondence, Financial Management, Capacity, Maintenance, ADA, Title VI, Procurement, DBE, Legal, Project Planning/Program, Public Comment, Safety, Security, Drug Free Workplace, Drug and Alcohol, EEO, etc.)	PR	CA - GOV 34090 (2Y) CA - GOV 12236 - SOS Guidelines (7Y, or until audited, whichever is first)	Retain permanently for historical reference .

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019	Finance	Fixed Assets	Records and information related to the ownership, purchase, sale, lease or improvement of land, buildings, infrastructure, equipment and other capital and fixed assets owned or used by MTA.	Asset Records Depreciation Disposal	LI*+2Y	CA - CCP 337.15 - (10Y) CA - GOV 34090 - (2Y) US - 26 CFR 31.6001 (4Y)	* Life of Asset Exception: If pertaining to grant funds, and grant specifies a longer retention period, retain per the requirements.
020	Finance	Grants and Funding	Documents the application, award, administration, monitoring, reporting, and status of grants and other funding sources for MTA programs and operations.	Applications Approval Letter Authorizations Awards and Notifications Correspondence Federal Grant Grant Agreement Grant Funding Local Grant Reports State Grant Tracking Reports	*AC+2Y	CA - GOV 34090 -(2Y) CA - GOV 12236 - SOS Guidelines (AC+2Y)	*Active until end of grant year or until audited, whichever is greater. If grant specifies a longer retention period, retain per the grant's requirements. Prop 1B grant files must be maintained for 35 years upon project close out.
021	Finance	Payroll	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	Bi-monthly Processing Quarterly Payroll Taxes W-2	FY+5Y	CA - 2 CCR 570.5 -(5Y) CA - 2 CCR 571(b)(1)(E) -(5Y) CA - 22 CCR 1085-2 (c) -(4Y) CA - GOV 12946 - (TE+2Y) CA - GOV 60201 -(2Y) CA - LAB 226a (3Y) CA - LAB 1174(d) -(3Y) CA - LAB 1197.5 -(3Y) US - 29 CFR 516.5 -(3Y) US - 29 CFR 516.6 -(2Y) US - 29 CFR 1620.32 -(2Y) US - 29 CFR 1627.3 -(3Y)	
022	Human Resources	Benefit Plans	Plans established to provide employee benefits, including changes to those plans and associated administrative documents.	Correspondence Dental Life Insurance Medical Reporting Vision Workers Compensation FSA CalPERS AD&D	LI*+6Y	US - 29 CFR 1627.3 -(TE+1) US - 29 CFR 4007.10 -(6Y) US - 29 CFR 4041.5 -(LI*+6Y) US - 29 USC 1027 -(6Y) US - 29 USC 1059 -(TE+1Y) US - 29 USC 1113 -(6Y) US - 29 USC 1451 -(6Y) US - 29 Code Chapter 18 ERISA (LI*+6Y)	* LI = Life of Plan or System; plan/system is continued as long as the plan is alive while any employee, retiree, or other eligible participant is receiving benefits.
023	Human Resources	Confidential Records	Confidential records and information related to Human Resources activities not covered by other record categories.	Classification Studies & Job Descriptions Compensation Studies & and Salary Schedules	S	CA - GOV 60201 CA - GOV 12236 - SOS Guidelines (Active until revised/superseded)	
024	Human Resources	Employee Medical Records - Confidential	Documents 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	Employee Injury / Accident Reports Exposure Monitoring FMLA/CFRA/E-FMLA PDL Other Medical Leaves of Absence Hazardous Exposure Incident Reports (Occupational Illness or Injury) Medical Waivers 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)	TE+30Y	US - 29 CFR 1910.1020 -(TE+30Y) CA - 8 CCR 3204 -(TE+30Y) CA - 8 CCR 14300.33 -(5Y) US - 29 USC 1027 -(6Y) US - 29 CFR 825.500 -(3Y)	Exception: The medical records of employees who have worked for less than (1) year for MTA need not be retained beyond the term of employment if they are provided to the employee upon termination of employment.

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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments
025	Human Resources	Employee Records - Confidential	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 / out-placement - retirement plan reporting and disclosure records (plan summaries, participant benefit statements, etc.) - termination / discharge / resignation - training (harassment/discrimination, ethics, fire extinguisher, first aid/CPR, safety, Title VI non-discrimination) - pay rates / other terms of compensation	Awards 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 Personnel Files (Personnel Action Form, Master log records, Onboarding documentation, Compensation, etc.) CalPERS Plan Summaries Participant Benefit Statements Policy Acknowledgments Recruitment (Applications, Applicant Tracking, Background Checks, Interview Notes, Job Postings, Executive Candidates) Timesheets Training certificates	TE+6Y	CA - GOV 12946 -(2Y) CA - 8 CCR 3203 -(CY+1Y) CA - 8 CCR 11040(7) -(3Y) US - 29 CFR 1602.14 -(FR+1Y) CA - GOV 53235.2b -(5Y) US - 29 CFR 4007.10 -(6Y) US - 29 USC 1027 -(6Y) US - 29 CFR 1602.31 -(TE+2Y) US - 29 CFR 1627.3 -(3Y, TE+1Y) US - 29 CFR 1904.33 -(CY+5Y)	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 the action.
027	Human Resources	Employee Benefits Records - Confidential	Benefits Determination Records	Beneficiary Designations Benefits (elections, enrollment, terminations, additions, changes) Custodial agreements Eligibility/ vesting/ breaks in service records Health and Welfare Benefit Plan Documents (retain in EE medical record file instead, if medical information is included) CalPERS Retirement	LI*+6Y	US - 29 Code Chapter (LI*+6Y)	*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 u n t i l no longer relevant to a determination of benefit entitlements.
028	Human Resources	Work Authorizations - Confidential	Employment eligibility verification forms collected for active employees and supporting documentation regarding immigration status.	I-9 Documents	TE+3Y*	US - 20 CFR 655 Subpart H -(TE+1Y) US - 8 CFR 274a.2 -(3Y, or TE+1Y)	*Form I-9 and ID 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)
029	Information Technology	Application, System Development and Maintenance	Technical documentation related to development of MTA technology processes, applications, or systems, as well as conversions, changes or modifications to existing applications or systems.	Backups (Security, System) Business, Functional Requirements End User Documentation, User Manuals Hardware (licenses, purchases, maintenance, upgrades) Hardware Configurations Network Circuits Inventories Network/Equipment Control Support Documentation (Service Histories, Site Visit Reports, Trouble Reports) Program Listings Software (<i>licenses, purchases, maintenance, upgrades</i>) Source Code Support Documentation (Logical & Physical Architectural Diagrams, Specifications, Systems Support Materials) System Documentation (Codebooks, Record Layouts, Reference Guides, Specifications) System Test Files System, Application Maintenance Documentation (Hardware/Operating System Requirements, Monitoring Logs, Operating Manuals) Telecommunications System (Telephones, Phones)	LI*+2Y	CA - GOV 34090 -(2Y)	*LI = Life of Application, System

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Record								
No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments	
030	Legal	Claims, Litigation, Arbitration and Resolution	Records and information created or collected to support MTA's position in actual or potential litigation or to otherwise evaluate actual or potential litigation relating to the organization, including claims, constituent complaints, grievances, worker 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.	Accident/ Incident Files - claim filed (<i>accident/incident reports, courtesy, related photographs/ video footage, supporting documentation</i>) ADA Case Files Amicus Briefs Case Correspondence Claims Complaints Contract Disputes Court Orders Demand Letters Discovery EEO Charges, Cases Evidence Exhibits Injury Reports Judgments Meet and Confer Pleadings (Affidavits, Depositions, Exhibits, Court Filings) Related Correspondence Releases Settlement Agreements Stipulations Subpoenas Unemployment Compensation Claims Unemployment Compensation Data, Weekly Earnings Data Worker Compensation Benefits (Claims, Orders, Reports, Rewards)	FR*+10Y	CA - 2 CCR 11013 -(FR+2Y) CA - 8 CCR 10102 - (5Y; AC+1Y) CA - 8 CCR 10103.1 -(5Y) CA - 22 CCR 1085-2 -(4Y) CA - CCP 315 -(10Y) CA - CCP 337.15 -(10Y) CA - GOV 945.6 -(2Y) CA - GOV 60201 -(2Y) CA - LAB 5410 - (5Y) CA - UIC 1132 -(3Y) US - 26 CFR 31.6001 (4Y) US - 26 USC 6531 -(6Y) US - 29 USC 255 -(2Y) US - 29 USC 626 (d) - (300D) US - 42 USC 2000e-5 (e) - (180D) US - 42 USC 2000e-5 (f) - (180D)	* Until 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. Prop 1B grant files must be maintained 35 years upon project close out.	
031	Legal	Joint Powers	Records of agreements between MTA and JPA member agencies.	Joint Powers Agreements (JPA) Bylaws	PR	CA - CCP 336a -(6Y) CA - GOV 34090 -(2Y)		
032	Legal	Legal Advice and Opinions	Memoranda containing legal advice prepared by General Counsel or other attorneys for MTA.	Memos Opinions - Covered by Attorney/Client Privilege Opinions - Public	S+10Y			
033	Legal	Purchasing and Agreements, Awarded - General	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	Addendums Agreements Amendments Attachments / Exhibits Bids, Awards Certificates of Insurance Change Orders Contracts Correspondence Delivery/Receipt Records Disclosures Exhibits Invitation for Bids (IFBs) Leases Letters of Intent License Agreements, Licenses Memoranda of Agreement (MOAs) Memoranda of Understanding (MOUs) Price Lists Proof of InsuranceCertificates Purchase Orders Quotes/Quotations Requests for Proposals (RFP) Requests for Qualifications Requests for Quotes (RFQ) Reports Scorecards Specifications Staff Reports Statements of Work (SOW) Surety Bonds (<i>bid bonds, payment bonds, performance bonds, ancillary bonds</i>) Warranties	AC+5Y	CA - CCP 337 -(4Y) CA - CCP 337.2 -(4Y) CA - CCP 343 -(4Y) CA - GOV 34090 -(2Y)	Exception: If paid with grant funds, and grant specifies a longer retention period, retain per the grant's requirements. Prop 1B files must be maintained 35 years upon project close out.	

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034	Legal	Purchasing and Agreements, Awarded - Real Property and Facilities	Records and information created or retained in the requisitioning, purchasing, or 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	Addendums Agreements Amendments Attachments / Exhibits Bids, Awards Certificates of Insurance Change Orders Contracts Correspondence Delivery/Receipt Records Disclosures Exhibits Invitations for Bid (IFBs) Leases Letters of Intent Maintenance Bonds Memoranda of Agreement (MOAs) 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 (<i>bid bonds, payment bonds, performance bonds, ancillary bonds</i>) Warranties	PR	CA - GOV 34090 - (2Y) CA - CCP 315 - (10Y) CA - CCP 337.1 - (AC+4Y) CA - CCP 337.15 - (AC+10Y)	
035	Legal	Purchasing and Agreements, Cancelled	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.	Exhibits Invitation for Bid (IFB) Price Lists Quotations Requisitions Requests for Proposals (RFP) Requests for Qualifications Requests for Quotes (RFQ) Scorecards Specifications Staff Reports	AC+2Y	CA - GOV 34090 - (2Y)	
036	Legislative	Real Estate Records	Records and information related to the ownership, purchase, sale, lease or improvement of real property, infrastructure and facilities owned by or used by MTA.	Acquisitions Amortization Attachments Buildings Capital Asset Records Capital Improvements (CIP) Deeds Deeds of Trust Depreciation Schedules Easements Encroachments Right of Way Land Mortgages Possessory Interest Rights of Way Schedule of Infrastructure and Buildings Title Title Insurance Valuation Information	PR	CA - CCP 337.15 - (10Y) CA - GOV 34090 - (INDEF) US - 2 CFR 200.33 - (AC+3Y) US - FTA Master Agreement - (AC+3Y)	

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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments
037	Legislative	MTA Board Administrative Records	Documentation associated with administration, planning, and communication of the activities of the MTA Board of Directors.	Action Logs (<i>distributed to staff</i>) / Follow-Up Agenda Planner Existing / Proposed Legislation (<i>County, State, Federal</i>) Public Comment (<i>speaker slips, public correspondence distributed to Board or Committees, public sign-in sheets</i>) Public Records Requests Working Papers Correspondence (Board of Directors)	AC+2Y	CA - GOV 34090 -(2Y)	
038	Legislative	MTA Board of Directors Official Meetings and Decisions	Official records of the MTA Board of Directors that document meetings, decisions, and policies.	Agendas Agenda Packets Attachments / Exhibits Bylaws Minutes Minute Books & Index Oaths of Office Resolutions Supplemental Meeting Handouts/ PowerPoint Presentations	PR	CA - CCP 336 -(5Y) CA - CCP 336a -(6Y) CA - CCP 337 -(4Y) CA - CCP 337.5 -(LA10Y) CA - GOV 34090 -(PR) CA - GOV 60201 -(PR) CA - GOV 60201 -(AC+5Y)	
039	Legislative	MTA Standing Committees and Ad Hoc Committee(s) Administrative Records and Meetings - May Contain Some Confidential Records	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.	Action logs (<i>distributed to staff</i>) / Follow-Up Agendas Agenda Packets Attachments/ Exhibits Informal Meeting Notes Minutes Supplemental Meeting Handouts/ PowerPoint Presentations	AC+5Y	CA - GOV 34090 -(2Y)	Retain 5Y for reference in S RTP planning, as well as audits.
040	Legislative	Meetings - Audio Recordings	Audio recordings of MTA official meetings.	Recordings - Board of Directors, Ad Hoc, Standing Committees	AC+2Y	CA - GOV 34090 -(2Y) CA - GOV 34090.7 -(90D) CA - GOV 54953.5(b) -(30D)	
041	Operations	Public Notices	Records documenting compliance with laws requiring public notice of MTA activities.	Proof of Posting (Agendas, Notice of Adjournment) Affidavits of Publication/Legal Notices (Solicitation Advertisement, Service Changes, Fare Structure Changes) Public Hearing Notices	4Y	CA - CCP 343 -(4Y) CA - GOV 34090 -(2Y)	
042	Operations	Building and Property Maintenance	Includes routine, preventive, and reactive maintenance activities for MTA facilities and non-vehicle equipment.	Checklists Preventive Maintenance Log Repair Orders Replacement Schedules Work Orders	LI*+2Y	CA - GOV 34090 -(2Y)	* LI = Life of Equipment, Asset + 2Y, if no claim filed.
043	Operations	Building and Property Management	Records and information regarding the structure of MTA physical buildings and facilities.	As-Built Blueprints Certificates (compliance, occupancy) Construction Records Easements Electrical Wiring Schematics Facility Key and Fob Log Facility Key Request Forms Floor Plans Property Inventory Storm Drains/Sewers	LI*+10Y	CA - CCP 337.1 -(4Y) CA - CCP 337.15 -(10Y) CA - HSC 19850 -(LI)	* LI = Life of Building, Asset
044	Operations	Business Continuity	All documentation of MTA activities for dealing with disasters and/or system failures.	Business Continuity Plans Disaster Preparedness Disaster Recovery Plan Drill Records Emergency Contact Lists, Employee Lists, Roster of Workers Emergency Evacuation Procedures Emergency Operations Emergency Preparedness Emergency Response Emergency Services Hazardous Materials Response Planning Telephone Trees	FR*+4Y	CA - CCP 337.1 -(4Y) CA - GOV 34090 -(2Y) CA - LC 6401.7 -(MAINT) US - 29 CFR 1910.38 -(MAINT)	*Final Resolution of emergency response processes which require specific records be retained, including but not limited to requests for funding and reimbursement after a disaster.

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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments
045	Operations	Construction, Engineering, and Infrastructure Project Files	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.	Assessments Bids Blueprints Billings Capital Improvement Projects (CIP) (<i>drawings, maps, plans</i>) Certifications (<i>daily reports</i>) Contract Schedules Contractor Documentation (Payroll, Pay Estimates, Prevailing Wages, Itemized Pay Sheets, Labor Compensation, Statement of Working Days) Construction Daily Reports Correspondence Encroachment/Right of Way (ROW) Permits, Certificates Environmental Impact Reports / Statements / Assessments Estimates / Budgets Field Inspections Final Improvement Plans Grading (<i>cut sheets, permits, erosion control plans</i>) Insurance Certificates Land Surveys (<i>project built</i>) Materials Testing Reports Notices of Completion Notices to Proceed Public Notices Request for Final Inspection RFIs & Responses Specifications Submittals	LI*+10Y	CA - CCP 337.1 - (4Y) CA - CCP 337.15 - (10Y) CA - GOV 34090 - (2Y) CA - HSC 19850 - (LI)	* LI = Life of Building, Asset
046	Operations	Transit Operator Compliance Records	Reports, logs and other information provided by transit operator to document compliance with MTA requirements and used in compiling reports prepared for funding entities.	Monthly Reports Key Performance Indicators	LI* or 5Y, whichever is greater	CA - GOV 34090 - (2Y)	* Life of transit operator contract
047	Operations	Field Services	Records and information regarding the ongoing maintenance and upkeep of MTA bus stops and other facilities for which MTA has responsibility.	Correspondence Incident Reports Maintenance Sign Maintenance Work Reports	4Y	CA - CCP 337 - (4Y) CA - GOV 34090 - (2Y)	
048	Operations	Fleet Management	Records related to the purchase and management of vehicles / buses owned or used and maintained by MTA.	Accident Logs Incident Logs Acquisitions (<i>purchases</i>) Buses Energy Logs Fuel Logs Mileage Reports Manuals Motor Vehicle Records and Reports Preventive Maintenance Reports Registrations, Operating Permits Maintenance / Repair (<i>orders, requests, labor costs, preventive</i>) Service Calls Smog Inspections Vehicle Certificates of Insurance Vehicle Health Reports Vehicle Inspections Vehicle License Plate Records Vehicle Maintenance History Vehicle Ownership / Title Warranties	LI*+4Y	CA - GOV 34090 - (2Y)	* LI = Life of Vehicle If purchased with grant funds, and grant specifies a longer retention period, retain per the grant's requirements.

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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments
049	Operations	Hazardous Waste, Monitoring and Remediation	Planning, monitoring and contingency/emergency action plans for hazardous waste, emergency and spill response, exposure emergencies, notifications and response; environmental action plans and supporting documentation; hazardous communications plans, including labeling, MSDS, training programs and procedures.	Chemical Use Reports Form Electronic Waste (E-Waste) HazMat Emergency Response Programs Employee Hazardous Chemical Exposure Hazardous Material Incident Reports Hazardous Substances Shipping Manifests Hazardous Waste Hazardous Waste Manifests Herbicide Application Permits Material Safety Data Sheets (MSDS) Proposition 65 Monitoring Site Mitigation Toxic Substance Inventory	AC+5Y	CA - CalOSHA CA - CCP 338 - (3Y) CA - CCP 338.1 - (5Y) CA - 22 CCR 66262.40 - (3Y) CA - 22 CCR 66263.22 - (3Y) US - 49 CFR 172.201 - (3Y)	
050	Operations	Project Files - NotAcquired	Records and information associated with projects that did not move forward.	Environmental Reports Land Surveys (<i>project not built</i>) Preliminary Studies Project Assessments Title Reports	5Y	CA - GOV 34090 - (2Y)	
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 work practices.	CalOSHA Field Safety Audits Fire Extinguishers Fire Marshal Inspections Lift Certifications OSHA Inspections CHP Inspections	AU*+7Y	CA - 8 CCR 3203(b)(1) - (1Y) CA - GOV 34090 - (2Y)	* Closure of FTA audit Exception: If pertaining to facilities acquired with grant funds, and grant specifies a longer retention period, retain per the grant's requirements.
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 (CCTV) Footage Security Plans Video Recordings Visitor Security / Access Logs	1Y*	CA - GOV 34090.8 - (1Y) CA - GOV 53162 - (1Y)	*Exception: Video related to incidents, accidents and/or claims should be pulled and retained CL+1Y (claim or incident closed/completed).
053	Operations	Surveillance Videos - Onboard Buses	Video recordings made on each bus, during each shift, and recorded continuously.	Onboard Surveillance System	1Y*	CA - GOV 34090.8 - (1Y) CA - GOV 53162 - (1Y)	*Exception: Video related to incidents, accidents and/or claims should be pulled and retained CL+1Y (claim or incident closed/completed).
054	Operations	System Safety and Security	Records associated with mandated safety and security plans.	Field Services Safety Audits Hazard Mitigation Plan Safety Meetings Safety and Security Officer Certification Safety and Security Plan Mutual Assistance Agreements	AC+7Y	CA - GOV 34090 - (2Y)	
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 nonrecurring.	Accidents, Safety and Security Reports Passenger Survey Reports Hours Report Mileage Report NTD (National Transit Database) Reports Ridership Report Survey Trip Sheets	AC+7Y	CA - GOV 34090 - (2Y)	
056	Risk Management	Transportation Planning	Documents regarding fares, riders, ridership, routes, monitoring of existing services and service development, including reports that compile information from multiple sources.	Fare Policy Mobility Management Routes and Schedules Route Statistics Service Changes (Routes, Outreach) Sign Policy Strategic Transit Planning Studies Surveys Title VI Reporting TDA Article 8 Plans	10Y	CA - GOV 34090 - (2Y)	

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Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments
057	Risk Management	Incidents - Other	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.	Accident Files - no claim filed (<i>accident reports, courtesy cards, photographs, supporting documentation</i>) Arson / Graffiti Incident Reports, Videos Property Damage Theft Vandalism	AC*+7Y	CA - CCP 337 - (4Y) CA - CCP 337.2 - (4Y) CA - CCP 343 - (4Y) CA - GOV 34090 - (2Y)	* Closed and no claim filed
058	Risk Management	Insurance Coverage	Records detailing MTA' general coverage against property damage and liability, including renewal submission information, insurance quotes, & broker correspondence.	Binders / Information / Correspondence Certificates of Insurance Completed Applications Insurance Policies (<i>disability, flood, liability, property</i>) Insurance Quotes	S+6Y	CA - 22 CCR 3267-2 - (MAINT) CA - CCP 337 - (4Y) CA - CCP 337.2 - (4Y) CA - CCP 343 - (4Y) CA - GOV 34090 - (2Y)	