



## Board Report

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### EXECUTIVE MANAGEMENT COMMITTEE JULY 15, 2021

**SUBJECT: 2021 RECORDS RETENTION SCHEDULE**

**ACTION: APPROVE THE REVISED RECORDS RETENTION SCHEDULE**

**RECOMMENDATION**

CONSIDER:

- A. APPROVING the 2021 Records Retention Schedule in Attachment A; and
- B. DELEGATING administrative authority to the CEO to eliminate obsolete records categories or to reduce retention periods as necessary due to changes in law or business requirements.

**ISSUE**

California Public Utilities Code Section 130051.23 requires the Los Angeles County Metropolitan Transportation Authority (LACMTA) to maintain records used for operational, financial, and legal reasons, and requires the board authorize any destruction of significant records. Revisions to the Records Retention Schedule have been routinely brought before the Board of Directors in past years.

At its September 2002 meeting, the board delegated administrative authority to the CEO for approving additions of new records categories and for extending the retention periods of categories. Authority to remove obsolete categories or reduce retention time periods was retained by the Board at that time. Delegating this additional administrative authority will streamline processing and reduce the amount of routine, administrative procedures that the Board must review.

To ensure Metro meets its legal requirements and business requirements for records retention, Board approval of the revised Records Retention Schedule ("Retention Schedule"), is required.

**BACKGROUND**

Since the Board last approved the Retention Schedule in November 2004, new legal requirements for retention emerged, and others were superseded. Beyond requirements, guidance from State and Federal authorities on best practices for retention has evolved; and the way Metro employees work has changed dramatically - Metro is creating new types of records, the period of time they need to be accessible has shifted, and some systems and formats referenced in the Retention Schedule are

obsolete.

In 2019, Metro's Research and Records Information Management (RRIM) Department procured a Records Retention Schedule Management Tool and configured the tool to work on Metro's network and manage Metro's Retention Schedule. This procurement included professional services of attorneys with expertise in records retention legal requirements to assist with modernizing the Retention Schedule. In 2020, these experts reviewed the schedule at length, mapped appropriate legal citations to retention categories, and recommended areas where categories with similar records and retention periods could be consolidated so the schedule is easier for employees to use.

The revised schedule attached is the product of over two years of research by Metro RRIM staff into State and Federal requirements and recommendations; hours reviewing Retention Schedules of other agencies, and interviewing their Records Managers; multiple reviews by records attorneys, including a final review before submitting for Board approval.

Summaries of changes and targeted trainings on the revised Retention Schedule are being prepared for Metro staff and departmental Records Coordinators. These will be finalized upon Board approval of the schedule.

## **DISCUSSION**

The revised Records Retention Schedule accounts for the following changes to law and practice since the version approved by the Board:

- Per National Archives and Records Administration (NARA) guidance, indefinite retention periods are only used in rare cases. Permanent, archival records are now identified and retained as such, and other records are given finite retention based on legal and/or business requirements.
- The State of California no longer permits agencies to have Email as a stand-alone category on Retention Schedules. Email will now be retained based on its content, not its format.
- The internal organization of Metro has changed. For example, the Office of Records for "ADM7100 - Security Records" has shifted from Operations to System Security & Law Enforcement.
- Categories with similar types of records and similar retention periods have been identified and consolidated.
- Records Metro no longer creates or manages have been identified and removed from the Schedule. They will remain stored until the end of their life cycle and then destroyed. See Attachment C for a list of obsolete categories which were removed.

## **DETERMINATION OF SAFETY IMPACT**

The Records Retention Schedule revisions do not impact the physical safety of Metro's staff or customers.

### **FINANCIAL IMPACT**

The financial impact of approving the revised Retention Schedule is a reduction in legal exposure for Metro.

#### **Impact to Budget**

There is no impact to budget if approved.

### **EQUITY PLATFORM**

The Retention Schedule is a tool which facilitates fair and just access to Metro's records. It standardizes information into categories, provides transparency into what records Metro creates, and defines the periods of time they are retained.

### **IMPLEMENTATION OF STRATEGIC PLAN GOALS**

The Retention Schedule supports Metro's fifth Strategic Plan Goal:

Goal #5 - Provide responsive, accountable, and trustworthy governance within the Metro organization.

### **ALTERNATIVES CONSIDERED**

The alternative is to not accept the Retention Schedule revisions. This is not recommended as it would cause Metro's records retention practices to fall out of compliance with legal requirements, and the agency would continue to incur unnecessary costs of maintaining obsolete records.

### **NEXT STEPS**

Guidance and training for departments on the changes to the Retention Schedule are being developed and will be implemented agency-wide upon Board approval of the schedule. Records Management will periodically bring the Retention Schedule to the CEO for review as new initiatives or legal changes require and will provide an annual summary of revisions.

### **ATTACHMENTS**

Attachment A - 2021 LACMTA Records Retention Schedule

Attachment B - Obsolete Categories Removed from the Schedule

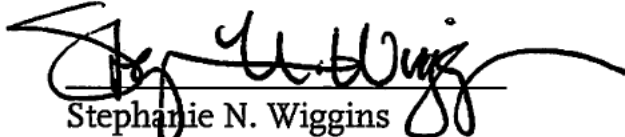
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Stephanie N. Wiggins  
Chief Executive Officer

2021 LACMTA Records Retention Schedule – DRAFT

ATTACHMENT A

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Old Retention Category Code	Years to Retain Original in Dept. Files (Physical)	Yrs.to Retain Original in Off-site Storage (Off-Site)	Yrs.to Retain System Storage (Electronic)	TOTAL RETENTION	OFFICE OF RECORDS	COMMENTS	Sensitive Records	Executive Area	Notes
<b>ACC1000</b> <b>Accounts Payable</b>	ACCTS PAYABLE VOUCHERS/INVOICES Records related to payment of financial obligations. Includes vouchers, invoices, travel reimbursement, business expenses, and statements. <b>INCLUDES GRANT-RELATED FORMERLY IN ACC1110</b>	<b>ACC1100</b>	<b>ACC1001, ACC1110</b>	UCP	NA	6  (Grant-related: LOG+3)	<b>6</b>  <b>(Grant-related: LOG+3)</b>	ACCOUNTING	Destroy paper after 6 mo. & retain electronic file 6 yrs. <b>(Grant-related: retain electronic file LOG+3)</b>		FIN/CFO	<b>Citation: 49 C.F.R. § 18.42</b>
<b>ACC1000</b> <b>Accounts Payable</b>	NON-SEGREGATED AND POTENTIALLY GRANT-RELATED PAYABLE RECORDS Payable records not segregated as grant-related or not-grant related (1992-1998). Records related to payment of financial obligation that have been electronically scanned. <b>INCLUDES RECORDS FORMERLY IN ACC1130</b>	<b>ACC1120</b>	<b>ACC1130</b>	2	28	30	<b>30</b>	ACCOUNTING	For paper records, retain in department for 2 years and in offsite storage for 28 years; for electronic records, retain for 30 years.		FIN/CFO	<b>Citation: 49 C.F.R. § 18.42</b>  <b>Disposition of paper records should begin in 2022.</b>
<b>ACC2000</b> <b>Accounts Receivable</b>	ACCOUNTS RECEIVABLE RECORDS (GENERAL) Accounts Receivable with records not fitting into any sub-category.	<b>ACC2100</b>		2	2		<b>4</b>	ACCOUNTING			FIN/CFO	<b>Citation: 49 C.F.R. § 18.42</b>
<b>ACC2000</b> <b>Accounts Receivable</b>	CASH RECEIPT RECORDS Records documenting the receipt of cash.	<b>ACC2200</b>	ACC1003	2	4		<b>6</b>	ACCOUNTING			FIN/CFO	<b>Citation: 49 C.F.R. § 18.42</b>
<b>ACC2000</b> <b>Accounts Receivable</b>	PASS SELLERS RECORDS Records pertaining to the sales of fare media. Includes correspondence with sellers.	<b>ACC2300</b>	ACC1005	ACT	6 MO	4	<b>ACT+4</b>	TAP OPERATIONS	EL. Destroy paper after 6 mo. & retain electronic file for 4 years		COM	<b>Citation: 49 C.F.R. § 18.42</b>
<b>ACC2000</b> <b>Accounts Receivable</b>	FARE COLLECTION RECORDS Records of money received for transportation fare. Includes sales receipts, credit card receipts, bank deposit receipts, and cash receipts with complete back up documentation.	<b>ACC2400</b>		0.25	5.75		<b>6</b>	TREASURY/COMMUNICATIONS			COM	<b>Citation: 49 C.F.R. § 18.42</b>

Retention Codes

ACT = While active	LOS = Life of System
AR = Annual Review	LOV = Life of Vehicle
EL = Electronic Record	MO = Months
ESS = Expired, Sold or Surplused	NA = Not Applicable
FR = Final Resolution of Claim or Litigation	PE = Permanent
G = Grant Related	PA = Potentially Archival
IND = Indefinite. Must be reviewed periodically.	UC = Upon completion
LOC = Life of Contract	UCP = Until Captured
LOG = Life of Grant	US = Until Superseded or obsolete

Special Records Categories

- C** - Confidential Records
- DR** - Records Stored Offsite for Disaster Recovery
- I** - Investigative Records
- N** - Internal Negotiation Records
- P** - Privileged Records
- SS** - Security Sensitive Records
- TS** - Procurement/Trade Secret

Legal Citation Codes

- CCP** - Code of Civil Procedure
- CCR/Cal. Code Regs.** - California Code of Regulations
- CFR** - Code of Federal Regulations
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ACC2000 Accounts Receivable	TRANSIT ACCESS PASS Application records for Reduce Fare TAP cards (Senior, Disabled, College/Vocational, and Student) and Annual Contract Agreements for A-TAP, B-TAP and I-TAP cards. Applications are scanned and electronically stored on-line at the Regional TAP Service Center.	ACC2500		UCP	NA	4	4	CUSTOMER PRO. & SERVICE & METRO COMMUTE SERVICES	Destroy paper after 90 days & retain electronic file for 4 years or loss of eligibility	C		
ACC2000 Accounts Receivable	TAP REDUCED FARE DISABLED AND SENIOR APPLICATIONS Disabled and senior application records for Reduced Fare TAP cards. Applications are scanned into the department CRM database system. The application and support documents are then scanned into the Enterprise Content Management System and stored ten years..	ACC2510		UCP	NA	10	10	CUSTOMER PRO. & SERVICE & METRO COMMUTE SERVICES	Destroy paper after 90 days once images are captured in ECMS	C		New Category was added after the expiration date for permanently disabled and senior TAP card holders was extended to 10 years.
ACC3000 Ledgers	ACCOUNTING JOURNALS/LEDGERS Records used to transfer charges between accounts and for summarizing account information.	ACC3100	ACC1002	2	8		10	ACCOUNTING			FIN/CFO	Citation: 49 C.F.R. § 18.42
ACC4000 Capital Accounting	EQUIPMENT PURCHASE & SALES RECORDS Records documenting the procurement and disposition of long term organizational assets and property other than real-estate, depreciation, and improvements, as well as financial obligations associated with capital expenditures, such as purchases of equipment, furnishings, material transfers, and improvement to buildings or fixtures. <b>INCLUDES GRANT-RELATED EQUIPMENT AND PURCHASE RECORDS FORMERLY IN ACC4110</b>	ACC4100	ACC2000, ACC4110	Life of asset.	3		Life of Asset+3 (Grant-related: LOG+3)	ACCOUNTING	Grant-related: retain 3 years after final payment		FIN/CFO	Citation: 49 C.F.R. § 18.42
ACC4000 Capital Accounting	VEHICLE DMV REGISTRATION CERTIFICATE Records documenting ownership of revenue and non-revenue vehicles.	ACC4210		ACT	NA		ACT	OFFICE OF BOARD SECRETARY			BD	
ACC4000 Capital Accounting	VEHICLE ACQUISITION RECORDS Documenting the purchase, decommission and disposition of each revenue and non-revenue vehicle.	ACC4220	OPM5008	LOV	3		LOV+3	OPERATIONS VEHICLE TECHNOLOGY, NON-REVENUE VEHICLES			OPM	Citation: 49 C.F.R. § 18.42

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ACC4000 Capital Accounting	REAL-ESTATE ACQUISITION/APPRaisal/SURPLUS FILES Records pertaining to the MTA's acquisition, appraisal, and surplus of property for right of way facilities, etc.	ACC4300	LEG2000	ESS+1	10		ESS+11	REAL ESTATE	Retain for 11 years after the sale or disposition of property		ADM/CO S	Citation: 49 C.F.R. § 18.42, CA GC 60201(d)(12)
ACC4000 Capital Accounting	RELOCATION FILES Pertaining to businesses that have been relocated	ACC4310		ACT+1	10		ACT+11	REAL ESTATE	Retain for 11 years after relocation		ADM/CO S	
ACC4000 Capital Accounting	LEASE FILES (INCLUDES PROPERTY MGMT) Lease files and records pertaining to the MTA's management of property it purchased for potential future right of way or facilities locations. <b>INCLUDES RECORDS FORMERLY IN ACC4325</b>	ACC4320	LEG2003 ACC4325	ESS+10	9		ESS+10	REAL ESTATE	Retain for 10 years after the sale or disposition of property		ADM/CO S	Citation: 49 C.F.R. Pt. 379, Appx. A
ACC4000 Capital Accounting	DEEDS AND LONG TERM REAL ESTATE AGREEMENTS Original deeds for MTA property, original long term easements, original long term ground leases, and related closing documents, deeds, easements, etc.	ACC4330		PE	NA		PE	REAL ESTATE			ADM/CO S	Citation: 49 C.F.R. Part 379, Appendix A(A)(3)(d), CA GC 34090(a), CA GC 6254
ACC4000 Capital Accounting	UNION STATION ARCHIVAL RECORDS Summary and detailed records reports, plans schedules, photographs, drawings, contracts, agreements, and older personnel files, from 1937 - 2011.	ACC4360		ACT	IND		IND	GENERAL SERVICES	PA		PL	
ADM1000 General Administration Records	GENERAL ADMINISTRATION RECORDS Copies of department correspondence, announcements, and other general administrative documents (Significant correspondence is to be captured electronically and retained according to the relevant category on this schedule); activity and event tracking logs, schedules, and departmental goal records; Forms used to request services and track their completion (includes ITS requests and Travel requests). Also includes Department procurement files which contain departmental copies of requisitions, purchase orders and invoices. <b>INCLUDES RECORDS FORMERLY IN ADM1100, ADM1200, ADM1310, ADM1320, ADM1330</b>	ADM1001	ADM1100 ADM1200 ADM1310 ADM1003 ADM1320 ADM1330	3	NA		3	MULTIPLE	Travel Requests may contain security sensitive of personal information.	SS	MUL	Citation: CA GC 34090(d)

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<b>ADM1000 General Administration Records</b>	WORKING PAPERS AND REFERENCE MATERIALS - Preliminary drafts and supporting materials used in developing a finalized significant document, as well as individual project team members' copies of materials related to a project that is documented in final form elsewhere. Any materials maintained for informational purposes only, and not containing official records pertaining to significant MTA activities. INCLUDES RECORDS FORMERLY IN ADM1500 and ADM6230	<b>ADM1400</b>	ADM1004, ADM1500, REF1000, ADM6230, ADM1009	ACT	NA		<b>ACT</b>	MULTIPLE	EL		MUL	<b>Citation: CA GC 34090</b> Next RRS review - consider removing this category and dealing with non- records/working papers in the Records Management policy.
<b>ADM1000 General Administration Records</b>	PROJECT MANAGEMENT & ADMINISTRATIVE PROJECT FILES Files documenting departmental administrative project activities.	<b>ADM1600</b>	ADM4000	ACT+1	2		<b>ACT+3</b>	MULTIPLE			MUL	<b>Citation: CA GC 34090</b>
<b>ADM1000 General Administration Records</b>	RMC SCAN Electronic and microfilmed copies of documents significant to LACMTA activities received in mail or from MTA staff.	<b>ADM1700</b>	ADM1003	UCP+0.5	NA	IND	<b>PA</b>	RECORDS MANAGEMENT	EL, PA - For Archival review every 30 years.		ADM/CO	As of January 2021, this category is no longer used. Records scanned by RMC will be processed into the appropriate category upon capture
<b>ADM1000 General Administration Records</b>	PUBLISHED REPORTS (Significant) All documents reporting on significant MTA activities (i.e. those with permanent historical or evidentiary value) not described in another category on this schedule.	<b>ADM1800</b>	ADM7000	UCP	IND	IND	<b>PA</b>	MULTIPLE	EL, PA - For Archival review every 30 years.			As of January 2021, this category is no longer used. Records scanned by RMC will be processed into the appropriate category upon capture
<b>ADM1000 General Administration Records</b>	PD/EMC/MOS-1 Electronic Records Imaged construction records related to Parsons Dillingham, Engineering Management Consultant and Minimum Operation Segment construction projects.	<b>ADM1810</b>		UCP	LOS+10	LOS+10	<b>LOS+10</b>	RECORDS MANAGEMENT	EL, PA - For Archival review every 30 years.			
<b>ACC4000 Capital Accounting</b>	UNION STATION and UNION STATION GATEWAY ADMINISTRATIVE, DEVELOPMENT, & FINANCIAL RECORDS Significant correspondence, project, and development records pertaining to the Union Station and Union Station Gateway building and property. Records also include: Purchase, Ownership, and Planning Activities. <b>INCLUDES RECORDS FORMERLY IN ACC4370</b>	<b>ACC4350</b>	LEG1003 ACC4370	ACT+3	IND, UCP+2	IND	<b>IND</b>	GENERAL SERVICES	PA, Gateway Building records - destroy paper 2- yrs after scanning	SS	ADM	<b>Citation: 49 C.F.R. Part 379, Appendix A(A)(3)(d), 49 C.F.R. Part 379, Appendix A(D)(1)(a), 49 C.F.R. Part 379, Appendix A(K)(1)(d), CA GC34090(a), CA GC6254</b>

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<b>ADM1000 General Administration Records</b>	LIBRARY ARCHIVAL DOCUMENTS AND DATA FILES Records that possess, archival value, that pertain to the MTA's history, and are maintained in the MTA's Library. Includes digital records with enduring significance to MTA activities - Permanent, evidentiary, and/or historical value. <b>INCLUDES RECORDS FORMERLY IN ADM6310</b>	<b>ADM1900</b>	ADM6310	IND	NA	IND	<b>IND</b>	LIBRARY	EL		ADM/COS/MUL	<b>Citation: CA GC 34090</b>
<b>ADM2000 Equipment, Property Inventories, &amp; Logs</b>	PROPERTY MANAGEMENT RECORDS Records related to the tracking and maintenance of moveable agency property, including records related to vehicle equipment, tools, materials, and supplies owned, rented, or leased. Also includes security sensitive inventory and maintenance of moveable property that should not be disclosed for security reasons. <b>INCLUDES RECORDS FORMERLY IN ADM2120, ADM2130, ADM2210</b>	<b>ADM2110</b>	ADM2000, ADM2120, ADM2130, ADM2210	3	NA		<b>3</b>	MULTIPLE		SS	MUL	<b>Citation: CA GC 34090</b>
<b>ADM3000 Policies &amp; Procedures</b>	LACMTA POLICIES Authority-wide records documenting approved procedures for performing activities to ensure uniformity and compliance with agency and legal requirements.	<b>ADM3100</b>	ADM3000	US	NA	US+10	<b>US+10</b>	RECORDS MANAGEMENT			ADM/CO	<b>Citation: CA GC 34090, CA GC 40801</b>
<b>ADM3000 Policies &amp; Procedures</b>	DEPARTMENTAL PROCEDURES Records documenting approved procedures for performing activities pertaining to individual departments.	<b>ADM3200</b>		US	UCP	US+5	<b>US+15</b>	MULTIPLE			ADM/COS	<b>Citation: CA GC 34090</b>

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ADM6000 Computer Related Administrative Records	TRANSITORY COMMUNICATIONS Email, voicemail, text messages and chat messages should be retained as records based on their content, not their method of transmission. <b>If the content of any message closely matches the subject matter contained in another category on this schedule, it must be retained for the same period of time specified for that category. Employees are responsible for managing communication records the same way they would any other records – according to the retention category which governs them.</b> Transitory and personal emails which do not provide insight into Metro business, such as an email regarding lunch, should be deleted after no longer needed. Unless a communication is governed by another category and actively preserved by an employee under it, it is considered transient and will be dispositioned according to the ITS communication disposition schedule. <b>CONTAINS RECORDS FORMERLY IN ADM6110 and ADM6410</b>	ADM6100	ADM6110, ADM1008, ADM6140	NA	NA	NA	NA	MULTIPLE	EL		MUL	<b>Citation: CA GC 6252(g)</b>  Next RRS review - consider removing this category and dealing with transitory communications in the Records Management policy. Transitory e-mail consists of electronic messages that are created primarily for the communication of informal information as opposed to the perpetuation or formalization of knowledge. Destroy transitory email when it has served its purpose.
ADM6000 Computer Related Administrative Records	INTERNET DOCUMENTS Electronic documents maintained on the MTA's public internet web sites, such as webpages and web documents which are not described in another records category. <b>If the content of the webpage, document or data is a record of another another category on this schedule, it must be retained for whichever retention period is longer.</b>	ADM6120		ACT	NA		ACT	MULTIPLE	EL		MUL	<b>Citation: CA GC 34090</b>
ADM6000 Computer Related Administrative Records	CALL DETAIL RECORDS Details of all calls to and from MTA phones.	ADM6150		NA	NA	1	1	INFORMATION TECHNOLOGY SERVICES				

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- |  |                                   |
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- |                            |   |                                   |
|----------------------------|---|-----------------------------------|
| <b>CCP</b>                 | - | Code of Civil Procedure           |
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2021 LACMTA Records Retention Schedule – DRAFT

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ADM7000 Security	SECURITY RECORDS Records related to protecting employees, equipment, buildings and information. Includes security clearances, pass card lists, and password lists.	ADM7100		3	NA		3	SYS. SECURITY & LAW ENFORCEMENT/GE N. SERVS./ ITS		SS	SSLE	
ADM7000 Security	SYSTEM SECURITY PLAN (SSP) Records related to the System Security Plan (SSP) Metro is required to prepare and keep on file pursuant to California Public Utilities Commission (CPUC) General Order (GO) 164.	ADM7110		US		US+6	US+6	SYS. SECURITY & LAW ENFORCEMENT		S	SSLE	Citation: CPUC General Order 164, item 5.2 - "This total scope must be completely covered by the internal safety and security audit conducted within a 3-year period, and every 3-year period thereafter."
ADM8000 Administrative Audit	INTERNAL and EXTERNAL AUDIT REPORTS Formal documents detailing the findings and recommendations of an audit, and response to recommendations. This includes departmental audits. <b>INCLUDES FINANCIAL AUDITS FORMERLY RETAINED IN FIN5100.</b>	ADM8100	ADM3001, FIN6001, FIN5100	UCP		ACT+15	ACT+15 (Grant-related: LOG+3)	MANAGEMENT AUDIT SERVICES, ACCOUNTING	EL. Destroy paper after 6 months upon captured		INT, FIN	Citation: 49 C.F.R. Part 379, Appendix A(A)6) - 3 years
ADM8000 Administrative Audit	INTERNAL AUDIT WORKING PAPERS Imaged collection of documents accumulated during an audit that support the conclusions of the audit report. Includes responses to audit recommendations.	ADM8110		3	US		US	MANAGEMENT AUDIT SERVICES			INT	Citation: 49 C.F.R. § 18.42; CA GC 34090; CA GC 40801
ADM8000 Administrative Audit	OIG FINAL RECORDS - OPINIONS, INVESTIGATION and AUDIT REPORTS (INSPECTOR GENERAL) - OIG final investigation reports including annual reports and confidential board communications. - OIG final reports of audits, studies, spot checks, inspections, reviews and other projects of a similar nature. Includes reports received by the OIG but generated by consultant hired by the OIG. - OIG final opinions, research, and records not otherwise part of an audit or investigative file.	ADM8200	ADM3002	ACT+5, digital or paper form		ACT+15 (including years in Dept.), digital or paper form	ACT +15	OFFICE OF INSPECTOR GENERAL		C, I, SS	OIG	Citation: 49 C.F.R. Part 379, Appendix A(A)6)(b); AB1960 130051.9.(d) - intranet1/dept/mtlibrary/About_the_LACMTA/Legislation_Full_Text/AB1960_1994.txt

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<b>ADM8000 Administrative Audit</b>	OIG AUDIT and INVESTIGATION WORKING PAPERS Does not include drafts, or consultant working papers which are not received by the OIG, or to which OIG does not have access.	<b>ADM8210</b>		ACT+3 years digital or paper form		ACT+5 years (including years in Dept.) digital or paper form	ACT+5 years digital or paper form	OFFICE OF INSPECTOR GENERAL		C, SS	OIG	<b>Citation: 49 C.F.R. § 18.42; CA GC 34090; CA GC 40801</b>
<b>CON1000 Vendor Contractual Records</b>	CONTRACT ADMINISTRATOR'S FILE File maintained by the contact administrator containing pre-award records including unsuccessful proposals to awarded contracts (only retain solicitation material of a cancelled procurement; Bids and proposals of a cancelled solicitation are to be shredded or sent back to the proposer) and post award records pertaining to an MTA vendor contract including official contractual correspondence; documents pertaining to insurance, subcontractors, and/or contract closeout. <b>Executed solicitations, contracts, amendments and change orders are retained in CON1200.</b>	<b>CON1100</b>	CON2000	LOC+1	29		<b>LOC+30</b>	PROCUREMENT	V, GR	SS, C, N, TS		<b>Citation: 49 C.F.R. § 18.42; CA GC 26202.1, 60201</b>
<b>CON1000 Vendor Contractual Records</b>	CONTRACT WORK ORDERS Orders dealing with budget, schedule, and scope to accomplish a task within a contractual scope of work.	<b>CON1130</b>	CON5000	LOC+1	29		<b>LOC+30</b>	PROCUREMENT	GR		PRO/CFO	<b>Citation: 49 C.F.R. § 18.42</b>
<b>CON1000 Vendor Contractual Records</b>	WARRANTIES Records documenting the contractor's written guarantee of a product's performance and responsibility or rectify defective work or equipment. <b>Does not include bus warranties, see OPM5300.</b>	<b>CON1140</b>	CON6000	ACT	UCP	Life of Warranty +10	<b>Life of Warranty +10</b>	MULTIPLE	EL. Destroy paper upon captured		PRO/CFO	
<b>CON1000 Vendor Contractual Records</b>	EXECUTED CONTRACTUAL DOCUMENTS CAPTURED ON ELECTRONIC MEDIA Executed contracts along with their RFP/solicitation, proposals, amendments and change orders, imaged by RMC on permanent media.	<b>CON1200</b>	CON1000	UCP	NA	LOC+10	<b>LOC+10</b>	RECORDS MANAGEMENT	EL, V		PRO/CFO	<b>Citation: 49 C.F.R. Part 379, Appendix A(A)5); CCP 337</b>

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CON1000 Vendor Contractual Records	PURCHASE ORDERS Imaged authorizations for purchase of goods or expenditure of funds issued by Procurement. <b>INCLUDES GRANT-RELATED PURCHASE ORDERS FORMERLY IN CON1310</b>	CON1300	CON2002, CON1310	LOC+1	9	LOC+10	LOC+10 <b>(Grant-related: LOG+3)</b>	PROCUREMENT	EL, GR  Grant-related: retain 3 years after final payment		PRO/CFO	
CON1000 Vendor Contractual Records	PACKING SLIPS Purchase receipt for items procured by MTA from outside vendors.	CON1320		4	NA		4	PROCUREMENT				Citation: 49 C.F.R. § 18.42; CA GC 34090; CCP 337
CON1000 Vendor Contractual Records	CONTRACTOR PRE-QUALIFICATION FILE Imaged submittals and evaluations of documents qualifying a firm to bid on an MTA procurement.	CON1400	CON4000	2	3	5	5	PROCUREMENT	EL	C, TS	INT/CFO	
CON1000 Vendor Contractual Records	LABOR COMPLIANCE AND CONTRACT COMPLIANCE FILES Records related to the contractors' compliance with all terms of the contract including, fair wage and equal opportunity requirements. Contract Compliance files contain contract documents including Goal Evaluation Form, BIS/Proposal Evaluation Summary & Calculations, Conformed Documents, Board Report, Project Labor Agreement (PLA) and Construction Careers Policy (CCP) closed out project files, and other contract related correspondence. <b>INCLUDES CONTRACT COMPLIANCE AND GRANT-RELATED LABOR COMPLIANCE FILES FORMERLY IN CON1510 AND CON1530</b>	CON1500	CON7000, CON1510, CON1530	LOC+1	29		LOC+30 <b>(Grant-related: LOG+3)</b>	LABOR COMPLIANCE	GR  Grant-related: retain 3 years after final payment		COS/EO	Citation: 49 C.F.R. § 18.42  Future RRS review - consider reducing retention to LOC+10. 30 years is well beyond the legal requirement, and other contacts are retained for 10 years (also well beyond the legal requirement)
CON1000 Vendor Contractual Records	ESTIMATING Back-up and supporting materials of estimated cost of contract.	CON1600		UC	15	UC+15	UC+15	ESTIMATING	EL. Destroy paper files after 6 mo. & retain electronic files upon project completion plus 15 years	C, N		

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CON1000 Vendor Contractual Records	CONTRACT ACCOUNTING FILES Contract Accounting payment backup records.	CON1700		2	28		30	ACCOUNTING	GR			
CON2000 Agreements	AGREEMENTS Memoranda of understanding and other agreements with other organizations, except 3rd party and vendor contracts. Includes Master Cooperative Agreements, and grant-related agreements. <b>INCLUDES AGREEMENT RECORDS FORMERLY IN CON2200 AND CON2210</b>	CON2100	CON2200, CON2210	LOC+1  (Grant related: LOG+1)	3		LOC+4  (Grant related: LOG+4)	PROCUREMENT	Grant-related: retain 3 years after final payment  V		PRO/CFO	Citation: 49 C.F.R. § 18.42; 49 C.F.R. Part 379, Appendix A(A)5; CCP 337
ENG1000 Design Engineering Documents	DESIGN SUBJECT AND REVIEW DOCUMENTS Records documenting the various formal reviews of engineering project designs. <b>INCLUDES RECORDS FORMERLY IN ENG1200.</b>	ENG1100	ENG1200	UC+3	12		UC+15	CONSTRUCTION, OPERATIONS		SS		
ENG1000 Design Engineering Documents	ENGINEERING DRAWINGS Design drawings executed and maintained for MTA. May be updated throughout the project. Includes CADD drawings, Mylar drawings, As-Built drawings, drawings of items or equipment made in-house or purchased, and redone drawings to reflect actually completed projects. <b>INCLUDES RECORDS FORMERLY IN ENG2110, ENG2120, ENG2130, ENG2140</b>	ENG1300	ENG1300 ENG2110 ENG2120 ENG2130 ENG2140	ACT	LOS+10		LOS+10	CONSTRUCTION, OPERATIONS	Previous retention was Indefinite, it is now Life of System, plus 10 years.	SS	CON	
ENG1000 Design Engineering Documents	CANCELLED PROJECTS Engineering records related to cancelled construction projects.	ENG1400		ACT	10		ACT+10	CONSTRUCTION, OPERATIONS		SS	CON	
ENG2000 Construction Implementation Engineering Docs	CONSTRUCTION DIG ALERTS Notifications of excavations in areas containing utility lines.	ENG2001	ENG1001	1	2		3	CONSTRUCTION, OPERATIONS			CON	Citation: CA GC 34090

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ENG2000 Construction Implementation Engineering Docs	CALCULATIONS Engineering calculations for MTA systems and facilities.	ENG2125		ACT	UCP	IND	IND	CONSTRUCTION, OPERATIONS	Destroy paper 6 months after captured	SS		
ENG2000 Construction Implementation Engineering Docs	FIRE/SAFETY RECORDS System safety records that include as-built drawings, specifications, and drawings per code at the time of construction.	ENG2150		UC	15		UC+15	SYSTEM SAFETY		SS	CON	
ENG2000 Construction Implementation Engineering Docs	PHOTOS, PRECONSTRUCTION Photos & videos taken by insurance consultant and maintained by Risk Management to protect against illegitimate claims of damage.	ENG2210		UC	15		UC+15	CONSTRUCTION, OPERATIONS			CON	Future RRS review: Consider combining ENG2210 AND ENG2220
ENG2000 Construction Implementation Engineering Docs	PHOTOS, PROJECT PROGRESS Photos taken during construction of construction site and work.	ENG2220		UC	15	IND	UC+15	CONSTRUCTION, OPERATIONS	Destroy paper 6 months after captured.	SS	CON	Future RRS review: Consider combining ENG2210 AND ENG2220
ENG2000 Construction Implementation Engineering Docs	PROJECT RECORD SPECIFICATIONS Contract technical specifications that incorporate changes annotated onto as-built specifications.	ENG2300		LOS+10	NA	IND	IND	CONSTRUCTION, OPERATIONS	Destroy paper 6 months after captured. PA - For Archival review every 30 years post-LOS.	SS	CON	
ENG2000 Construction Implementation Engineering Docs	OPERATION & MAINTENANCE DATA Manuals and other material related to operating and maintaining the system constructed.	ENG2400		LOS	NA	LOS+10	LOS+10	CONSTRUCTION, OPERATIONS	Destroy paper 6 months after captured.	SS	CON	
ENG2000 Construction Implementation Engineering Docs	CONSTRUCTION SUBJECT FILES Subject/correspondence/reports arranged by approved subject codes maintained by the Project Manager or Resident Engineer and constituting the official Project Record.	ENG2500		UC	LOS+10	LOS+10	LOS+10	CONSTRUCTION, OPERATIONS	Destroy paper 6 months after captured.	SS	CON	

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<b>ENG2000 Construction Implementation Engineering Docs</b>	SUBMITTALS Work-products submitted by contractors to satisfy terms of contract.	<b>ENG2600</b>		ACT+1	UCP	LOC+10	<b>LOC+10</b>	PROCUREMENT	Destroy paper 6 months after captured.	SS	CON	
<b>ENG2000 Construction Implementation Engineering Docs</b>	QUALITY MANAGEMENT FILES Quality Management audits and surveillance files of the MTA's construction projects.	<b>ENG2700</b>		ACT+3	12		<b>ACT+15</b>	QUALITY ASSURANCE		SS	CON	
<b>ENV1000 Environmental Records</b>	ENVIRONMENTAL AND WORKPLACE INSPECTION/TESTING/EXPOSURE/MONITORING Records related to the inspection, testing, monitoring, and analysis of the environment and workplace for possible hazards and hazardous substances. <b>CONTAINS RECORDS FORMERLY IN HUM4430</b>	<b>ENV1100</b>	ENV1000, HUM4430	ACT+1	29		<b>IND</b>	CORPORATE SAFETY			OPM	<b>Citation: 8 Cal. Code Regs. § 3204 - at least 30 years</b>
<b>ENV1000 Environmental Records</b>	ENVIRONMENTAL PROJECT FILES Environmental report working files/deskfiles and related documents, including maps specifications and similar documents pertaining to environmental issues associated with MTA construction, functions, operation, and maintenance.	<b>ENV1200</b>		ACT	15		<b>ACT+15</b>	ENVIRONMENTAL				
<b>ENV2000 Hazardous Material Records</b>	HAZARDOUS MTA CHEM INV FORMS (HCS-88) and MATERIAL SAFETY DATA SHEETS Records explaining the dangers associated with different chemicals found in the workplace. Imaged MSDS sheet required by OSHA that details dangers & proper handling of dangerous substances maintained on electronic imaging system. <b>INCLUDES RECORDS FORMERLY IN HUM4410</b>	<b>ENV2100</b>	ENV2000, HUM4410, HUM4004	ACT	ACT+40		<b>ACT+40</b>	CORPORATE SAFETY	Retain for as long as the material is present/used, plus 40 years.		OPM	<b>Citation: 8 Cal. Code Regs. § 3204(d)(1)(B)(2); 29 C.F.R. § 1910.1200(g)(4) - Retain for as long as the material is present/used, plus 30 years.</b>
<b>ENV3000 Hazardous Waste Records</b>	HAZARDS, HAZARDOUS WASTE MANIFEST FORMS, UNDERGROUND STORAGE TANK O&M Records detailing the disposition of environmentally dangerous materials, Including the maintenance and disposition of waste storage tanks. <b>INCLUDES RECORDS FORMERLY IN ENV3200</b>	<b>ENV3100</b>	ENV3000, ENV3200, ENV4000	ESS+1	ESS+10	ESS+11	<b>ESS+11</b>	MULTIPLE	Retain for 11 years after sale or disposition of the material or property.		MUL	<b>Citation: 40 CFR 122.21(p) - at least 3 years</b>

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<b>ENV4000 Environmental Impact</b>	<b>ENVIRONMENTAL IMPACT RECORDS</b> Reports that are prepared under the California Environmental Quality Act (CEQA) and Environmental Impact Statements required by the National Environmental Policy Act (NEPA). Environmental reports describe and analyze the significant environmental effects of a project and include: Published Drafts, Final Reports, Supplemental Reports, Negative Declarations, Impact Statements, and Community Comments.	<b>ENV4100</b>		ACT	IND		<b>IND</b>	MULTIPLE	PA - For Archival review every 30 years.		MUL	
<b>FIN1000 Finance Transactions</b>	<b>FINANCE GENERAL</b> Finance records not belonging in more specialized categories.	<b>FIN1100</b>	FIN1003	3	NA		<b>3</b>	FINANCE			FIN	
<b>FIN1000 Finance Transactions</b>	<b>BANKING (DEPOSITS/CANCELLED CHECKS, ETC.)</b> Records related to banking activities.	<b>FIN1200</b>	FIN1001	2	4		<b>6</b>	TREASURY			FIN	
<b>FIN1000 Finance Transactions</b>	<b>OFFICIAL TRANSCRIPTS</b> CD copy of official transcripts produced by bond counsel for all debt and lease issues; records of bond proceeds expenditures and investment of bond proceeds; Final Arbitrage Reports for each debt issue after 1986; private use analysis and mitigation.	<b>FIN1320</b>		ACT	NA		<b>ACT</b>	TREASURY	Destroy when no longer needed.	C, N, P		
<b>FIN2000 Investment Records</b>	<b>INVESTMENT AND LOAN/CREDIT RECORDS</b> Records related to passive investments in stocks, bonds, mutual funds and pension funds to track and manage investments. Records documenting electronic transfer of MTA funds. Credit statements and lending files, including TIFIA America fast forward TIFIA loans. <b>INCLUDES RECORDS FORMERLY IN FIN1300, FIN2200 and FIN31000</b>	<b>FIN2100</b>	FIN2000	ACT+2	UCP	IND	<b>IND</b>	TREASURY, ACCOUNTING	V		FIN	<b>Citations: CA GC 34090; CCP 337; CA GC 53607</b>
<b>FIN3000 Credit Records</b>	<b>BAD DEBTS/UNCOLLECTABLE ACCT RECORDS</b> Records related to the monitoring, collecting, and writing off of bad debts. Includes authorizations, supporting details of uncollectible accounts.	<b>FIN3200</b>	FIN5000	UCP	NA	ACT+6	<b>ACT+6</b>	ACCOUNTING	EL. Destroy paper after scanned and verified & retain electronic file 6 yrs.		FIN	<b>Citations: CCP 337.5</b>

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2021 LACMTA Records Retention Schedule – DRAFT

ATTACHMENT A

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Old Retention Category Code	Years to Retain Original in Dept. Files (Physical)	Yrs.to Retain Original in Off-site Storage (Off-Site)	Yrs.to Retain System Storage (Electronic)	TOTAL RETENTION	OFFICE OF RECORDS	COMMENTS	Sensitive Records	Executive Area	Notes
<b>FIN4000 Credit Records</b>	FINANCIAL STATEMENTS (ANNUAL) Financial statements, reports, and background information submitted to government agencies, stakeholders, etc.	<b>FIN4100</b>	FIN6000	10	UCP	IND	<b>IND</b>	ACCOUNTING			FIN	Citation: 26 C.F.R. § 1.1244(e)-1(a)(2)(iv) - requirement is 5 years, Virgo recommends 10.
<b>FIN6000 Grants Management</b>	GRANT MANAGEMENT FILES Programmatic, statistical, and supporting documents relevant to program regulations of state and federal grant agreements. Includes record of grant award, and audit reports.	<b>FIN6100</b>	ADM5001	LOG+1	2		<b>LOG+3</b>	PROGRAM MANAGEMENT	G		FIN	Citation: 49 C.F.R. § 18.42
<b>FIN9000 OMB Records</b>	BUDGET (ANNUAL) Approved annual budget for each fiscal year, and proposed budgets.	<b>FIN9100</b>	FIN9000	ACT+1	UCP+10	IND	<b>IND</b>	OFFICE OF MANAGEMENT & BUDGET	PA - For Archival review every 30 years.		FIN	
<b>FIN9000 OMB Records</b>	BUDGET (ANNUAL) SUPPORT & BUSINESS PLANNING/FORECASTING DOCUMENTS Records related to budget preparation, including department budget submittals. Records related to future planning and forecasting for internal processes. Includes annual plans, strategic plans, facility planning. Does not include transportation planning. <b>INCLUDES RECORDS FORMERLY IN FIN9200</b>	<b>FIN9110</b>	FIN9001, FIN9200	ACT+2	UCP+5	US+5	<b>US+5</b>	OFFICE OF MANAGEMENT & BUDGET	Retain for 5 years after the final document is superseded.		FIN	Citation: CA GC 34090
<b>HUM1000 Human Resources</b>	HUMAN RESOURCES GENERAL HR records not classified in other categories.	<b>HUM1100</b>	HUM1000	ACT+3	NA		<b>ACT+3</b>	HUMAN RESOURCES		C	ADM	
<b>HUM2000 Benefits</b>	BENEFITS/INSURANCE PLANS, CONTRIBUTIONS & DISTRIBUTIONS Records related to agency-sponsored benefit plans. Includes insurance, pension, disability, medical, and survivor program; vesting; vacation; educational assistance; savings plans; flexible spending claims; and correspondence explaining benefits plans. Also includes records detailing actual monies contributed and disbursed. <b>INCLUDES RECORDS FORMERLY IN HUM2300</b>	<b>HUM2100</b>	HUM2000, HUM2300	ACT+3	3		<b>ACT+6</b>	BENEFITS	V	C	FIN	Citation: 29 C.F.R. § 4007.10(a)

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<b>HUM2000 Benefits</b>	PENSION PLANS AND SUMMARY INFORMATION Records related to IRS Form 550 including, pension plans, pension valuations, actuarial reports, benefits statements, and performance evaluation reports. Also includes records pertaining to cumulative years of service, total pension contributions, accrued benefits, pension plans vendor payment records, etc. <b>INCLUDES RECORDS FORMERLY IN HUM2400</b>	<b>HUM2200</b>	HUM2002, HUM2400, HUM2400	ACT	6		<b>ACT+6</b>	BENEFITS		C	ADM	<b>Citation: 29 C.F.R. § 4007.10(a)</b>
<b>HUM3000 Individual Employee Files</b>	HR EMPLOYEE PERSONNEL FILE (NON-MED) Summary and detailed records for individual employees related to hiring, promotion, performance, transfer, termination, etc. maintained by HR or the department. Records of training and development activities, including requests, approvals, educational assistance, certificates of completion, and certification to perform tasks. Also includes files documenting each operator's training and certification. <b>INCLUDES OPERATORS PERFORMANCE RECORDS FORMERLY IN HUM6510 and VEHICLE TRANSIT TRAINING FILES FORMERLY IN HUM5200</b>	<b>HUM3100</b>	HUM3000, HUM6510, HUM6007, HUM5200, HUM5001	UNTIL TERMINATION OF EMPLOYMENT	5		<b>UNTIL TERMINATION OF EMPLOYMENT +5</b>	HUMAN RESOURCES	Send department files to HR when employee separates from MTA. Exception: Active Bus/Train Operator files can be sent to RMC for convenience storage after 3-yrs.	C	MUL	<b>Citations: CA GC 34090; CA GC 6250; PRA 6254; IPA 1798.40; 49 C.F.R. § 655.71(b)(2); CA GC 12946; 29 CFR 1627.3</b>
<b>HUM3000 Individual Employee Files</b>	IMMIGRATION & NATURALIZATION SVC FORM I-9 Immigration & naturalization Form 1-9. Individuals employment eligibility verification records.	<b>HUM3200</b>	HUM3002	ACT+3	NA		<b>ACT+3</b>	HUMAN RESOURCES	Keep in department until employee separates from MTA plus 3-yrs.	C	ADM	
<b>HUM4000 Employee Health &amp; Safety Records</b>	HR EMPLOYEE MEDICAL RECORDS – GENERAL Employee medical records related to medical treatment, examinations, medical history, etc. maintain by HR or the department. <b>INCLUDES RECORDS FORMERLY IN HUM4110</b>	<b>HUM4100</b>	HUM4000, HUM4110	UNTIL TERMINATION OF EMPLOYMENT	5		<b>UNTIL TERMINATION OF EMPLOYMENT +5</b>	HUMAN RESOURCES	Send files to HR when employee separates from MTA. Exception: Active Bus/Train Operator files can be sent to RMC for convenience storage after 3-yrs.	C	MUL	<b>Citation: 29 C.F.R. § 1910.1020, 29 C.F.R. 825.500</b>

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<b>HUM4000 Employee Health &amp; Safety Records</b>	EMPLOYEE MEDICAL RECORDS-HAZARD EXPOS Records pertaining to exposures to hazardous materials.	<b>HUM4200</b>	HUM4001	ACT	UCP	UNTIL TERMINATION OF EMPLOYMENT +40	<b>UNTIL TERMINATION OF EMPLOYMENT +40</b>	CORPORATE SAFETY	If injury occurred, documents may be required for litigation or claim.	C	OPM/ADM	<b>Citation: 29 C.F.R. § 1910.1020; 8 Cal. Code Regs. §3204 (d)(1)(A)(B)</b>
<b>HUM4000 Employee Health &amp; Safety Records</b>	INJURY/ILLNESS PROGRAM FILES Records detailing MTA programs promoting employee health and safety (IIPP Binders).	<b>HUM4300</b>	HUM4012	5	NA		<b>5</b>	DIVISIONS			OPM/ADM	
<b>HUM4000 Employee Health &amp; Safety Records</b>	EMPLOYEE ACCIDENT/INJURY RECORDS Records related to on-the-job injury.	<b>HUM4310</b>	HUM4002	UNTIL TERMINATION OF EMPLOYMENT + 5	NA		<b>UNTIL TERMINATION OF EMPLOYMENT + 5</b>	MULTIPLE		C	MUL	<b>Citation: Citation: 29 C.F.R. § 1910.1020, 29 C.F.R. 825.500, CCP 335.1 (Statute of limitations for filing a workers compensation claim is 2 years.)</b>
<b>HUM4000 Employee Health &amp; Safety Records</b>	OSHA 200 LOG AND SUMMARY (MONTHLY) Monthly report sent to OSHA each month detailing accidents, OSHA inspection records and response to incidents.	<b>HUM4320</b>	HUM4003	6	NA		<b>6</b>	CORPORATE SAFETY			OPM/ADM	<b>Citation: CAL. CODE REGS. tit. 8, § 14300.44</b>
<b>HUM4000 Employee Health &amp; Safety Records</b>	EXPOSURE AND AUDIOMETRIC TESTING Records related to exposure and audiometric testing conducted for employees.	<b>HUM4420</b>	HUM4005	UNTIL TERMINATION OF EMPLOYMENT + 2	UCP	UNTIL TERMINATION OF EMPLOYMENT + 2	<b>UNTIL TERMINATION OF EMPLOYMENT + 2</b>	CORPORATE SAFETY				
<b>HUM4000 Employee Health &amp; Safety Records</b>	SAFETY AND EMERGENCY PLANS Plans for coping with disaster and emergency (e.g., fire and earthquake evacuation, etc.) and safe operation of the transit system. Includes required state and federal reports.	<b>HUM4500</b>		US	3		<b>US+3</b>	CORPORATE SAFETY/GENERAL SERVICES		S	OPM	<b>Citation: 49 CFR Part 673.31</b>

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HUM4000 Employee Health & Safety Records	DRUG & ALCOHOL POSITIVE TEST RESULTS, TEST REFUSALS, AND MIS REPORTS TO FTA Records of employee verified positive drug or alcohol test results including completed follow-up files, documentation of refusals to take required drug or alcohol tests, employee referrals to the substance abuse professional, and copies of annual MIS reports submitted to FTA. <b>INCLUDES RECORDS FORMERLY IN HUM4620</b>	HUM4610	HUM4006, HUM4007, HUM4620	5	NA		5	HUMAN RESOURCES		C	ADM	Citation: 49 CFR Part 655.71(b)(1) FTA requires these records are retained in departmental file for 5 years. No off-site storage.
HUM4000 Employee Health & Safety Records	DRUG & ALCOHOL PROGRAM SELECTION, COLLECTION AND TRAINING FILES Records related to random testing and files of selectees not tested and reason. Documents generated in connection with decisions to administer reasonable suspicion drug or alcohol tests, and decisions on post-accident drug and alcohol testing. Records related to the collection process, and employee training.	HUM4630	HUM4008	2	NA		2	HUMAN RESOURCES		C	ADM	Citation: 49 C.F.R. § 655.71(b)(2)
HUM4000 Employee Health & Safety Records	DRUG & ALCOHOL NEGATIVE TEST RESULTS Records showing proof of negative drug or alcohol test results. <b>INCLUDES RECORDS FORMERLY IN HUM4650 AND HUM4660</b>	HUM4640	HUM4009, HUM4650, HUM4011, HUM4660, HUM4010	1	NA		1	HUMAN RESOURCES		C	ADM	Citation: 49 C.F.R. § 655.71(b)(3)
HUM5000 Training Development	ORGANIZATIONAL TRAINING AND DEVELOPMENT FILES Records related to the development and operation of agency-sponsored training programs and seminars, and organizational development. Includes management and supervisor development, course listings, schedules, outlines and materials. <b>INCLUDES TRAINING AND CLASS RECORDS FORMERLY IN HUM5101, HUM5105, AND GRANT-RELATED TRAINING FROM HUM5110.</b> Individual employee training records go in HUM3100.	HUM5100	HUM5000, HUM5110, HUM5101, HUM5105	US	3 (Grant-related: LOG+3)	US+6	US+6 (Grant-related: LOG+3)	HUMAN RESOURCES, ORGANIZATIONAL DEVELOPMENT & TRAINING	Grant-related: Retain 3 years after final payment		ADM	Citations: 49 C.F.R. § 655.71(b)(2), GC6250 et seq

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HUM5000 Training Development	DMV CERTIFICATE FILES Files reviewed by DMV to ensure operator training and readiness.	HUM5210	HUM5003	5	IND		IND	OPERATIONS DIVISIONS TRANSPORTATION		C	OPM	
HUM6000 Salary Administration	SALARY ADMINISTRATION GENERAL RECORDS Records related to the payment of salaries and wages that are not included under any other sub-category (e.g. Acct-10's, TOWP, vacation adjustments, cash out, sick donations, etc.)	HUM6100	HUM6000	3	3		6	HUMAN RESOURCES			ADM	Citation: 29 C.F.R. § 516.5; Labor Code 226; GC 60201
HUM6000 Salary Administration	TIMESHEETS AND ADJUSTMENTS Employee timesheets, payroll adjustments( ACCT-172), and leave balance records (ACCT-10). Include MMAS,TOTS and SCM. <b>INCLUDES RECORDS FORMERLY IN HUM6120</b>	HUM6110	HUM6001, HUM6120	3	27	30	30	PAYROLL, OPERATIONS DIVISIONS				Citation: 29 C.F.R. Part 516.5; Labor Code §§ 1174, 1197.5; GC 60201 These records are electronically captured and no more paper records are being accepted into storage - the paper retention requirement can be removed from the schedule after 2033
HUM6000 Salary Administration	DIRECT DEPOSIT SLIPS/MANUAL CHECKS Records documenting employees' electing to have their paycheck deposited directly in to their bank account and manually prepared payroll checks.	HUM6130		UCP	2	4	4	PAYROLL	EL. Destroy paper after 2-yrs upon capture and retain image 4 years			For future RRS review - potentially combine with hum6100; these are also admin records, not records of the deposits themselves.
HUM6000 Salary Administration	GARNISHMENT Records documenting court-ordered withholding from an employee's pay for a third party.	HUM6140		UCP	2	30	30	PAYROLL	EL. Destroy paper after 2-yrs upon capture and retain image 30 years			Citation: 29 C.F.R. 825.500
HUM6000 Salary Administration	BI-WEEKLY EMPLOYEE PAYROLL REPORTS Computer generated reports related to the payment of salaries and wages.	HUM6200	HUM6004	NA	NA	6	6	PAYROLL	EL.	C	FIN	Citation: 29 C.F.R. § 516.5; Labor Code Section 226(a) - at least three years. Statute of limitations for labor code violations can extend back four years. For future RRS review - Potentially consolidate with HUM6100.
HUM6000 Salary Administration	W-2 FORMS ON COM Annual records of employee earnings given to the employee and to the government.	HUM6300		UCP	NA	6	6	PAYROLL	EL.	C		For future RRS review - Consider combining HUM6300 and HUM6310

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HUM6000 Salary Administration	W-4 FORMS Imaged records modifying the number of deductions an employee is claiming.	HUM6310		UCP	NA	6	6	HUMAN RESOURCES	EL. Destroy paper after 6 months upon capture and retain image 6 years	C		For future RRS review - Consider combining HUM6300 and HUM6310
HUM6000 Salary Administration	OPERATORS DAILY PAY PACKAGE Daily collection of annotated computer-generated daily reports listing which buses were in service and which drivers were driving them.	HUM6500	HUM6002	1	5	6	6	OPERATIONS DIVISIONS TRANSPORTATION	Also electronically stored in TOAST/HASTUS Resource Sys.		OPM	
HUM6000 Salary Administration	WORK TIME ALTERATIONS Operators overtime slips and Operators scheduled deviation time.	HUM6520	HUM6006	3	NA		3	OPERATIONS DIVISIONS MAINTENANCE			OPM	
HUM6000 Salary Administration	SCHEDULE CHECKERS ASSIGNMENT Records related to employees daily assignments. Scheduled Checkers assignment with alterations to their assignments.	HUM6600	HUM6003	1	5		6	PLANNING			PL	
HUM7000 Employee Selection Files	METRO JOB POSTINGS Records related to all Metro Job postings/bulletins.  Applicant records, resumes, etc., are retained in HUM3100. Metro internal announcements/bulletins about postings are retained in PUB4000.	HUM7000	HUM7000	1	9		10	HUMAN RESOURCES		C		
HUM7000 Employee Selection Files	BACKGROUND INVESTIGATION RECORDS Records pertaining to investigation of people that applied for employment with LACMTA.	HUM7100		3	7		IND	HUMAN RESOURCES		C, I		
HUM7000 Employee Selection Files	LEADER TESTING RECORDS Employee performance test results.	HUM7110		ACT+3	NA		ACT+3	CENTRAL INSTRUCTION MAINTENANCE		C		

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<b>HUM8000</b> <b>Employment Standards and Compliance</b>	TRIP REDUCTION PLAN (SCAQMD) RECORDS Records documenting MTA's effort to reduce number of employee vehicle trips. Includes Home-to-Work Surveys used to determine how employees commute and thereby determine compliance with SCAQMD trip/commute reduction plans including Employee Commute Reduction Program. <b>INCLUDES RECORDS FORMERLY IN HUM8110</b>	<b>HUM8100</b>	HUM8000, HUM8001, HUM8110	UCP	NA	ACT+3	<b>ACT+3</b>	GENERAL SERVICES	EL		ADM	Per SCAQMD Rule 2202, these records must be retained for a minimum of 3 years. In some cases, they require longer retention. See Rule 2202(I)(G) for exceptions. Longer retention is authorized to meet these exceptions, or if the records are required for business use. Paper records are no longer generated. All records currently in off-site storage will be destroyed after 3 years.
<b>HUM8000</b> <b>Employment Standards and Compliance</b>	VIOLENT INCIDENT REPORTS Reports of violent employee behavior in the work place.	<b>HUM8300</b>	HUM8003	ACT+5	NA		<b>ACT+5</b>	HUMAN RESOURCES		C, I	ADM	
<b>HUM8000</b> <b>Employment Standards and Compliance</b>	FAMILY CARE AND MEDICAL LEAVE (FCML & FMLA) FILES Records documenting applications, and authorizations for FCML.	<b>HUM8400</b>	HUM8004	ACT+6M O	NA	4	<b>ACT+4</b>	HUMAN RESOURCES	EL. Destroy paper after 6 months upon capture	C	ADM	<b>Citation: 29 CFR § 825.500</b> From Joe Parise: Department has requested the files to be scanned into ECMS
<b>LEG1000</b> <b>Business Organization</b>	CEO MAIL RECORDS Imaged records of communications addressed to the CEO	<b>LEG1010</b>		UCP	NA	IND	<b>IND</b>	EXECUTIVE OFFICE	EL, PA - For Archival review every 30 years.			
<b>LEG1000</b> <b>Business Organization</b>	BUSINESS ORGANIZATION GENERAL RECORDS Records related to the establishment of, and rules governing, the operation of the organization.	<b>LEG1100</b>	LEG1000	10	UCP	PE	<b>PE</b>	OFFICE OF BOARD SECRETARY	EL		BD	<b>Citation: GC34090(d), 49 C.F.R. § Part 379 Appendix A(A)(1)b</b>
<b>LEG1000</b> <b>Business Organization</b>	BOARD AND FORMAL COMMITTEE MEETING RECORDS Records related to Board meetings. Includes all non-board meetings required by law, as well as all Board sub-committee meetings. Includes recordings of Board meetings, and all communications distributed by the Board Secretary to Board members. <b>INCLUDES RECORDS FORMERLY IN LEG1210, LEG1300 and LEG1500</b>	<b>LEG1200</b>	LEG1001, LEG1210, LEG1300, LEG1500	1	UCP	PE	<b>PE</b>	OFFICE OF BOARD SECRETARY	V		BD	<b>Citation: GC34090(d), 49 C.F.R. § Part 379 Appendix A(A)(2)</b>  <b>CONFIDENTIAL MEETINGS SHOULD REMAIN SEPARATE in LEG1200</b>
<b>LEG1000</b> <b>Business Organization</b>	CONFIDENTIAL BOARD & COMMITTEE MEETING RECORDS Records of closed Board sessions involving eminent domain, personnel, and other confidential matters.	<b>LEG1220</b>		PE	NA		<b>PE</b>	OFFICE OF BOARD SECRETARY	Tape and hard copy stored in Board Sec. Office	C, P, N	BD	<b>Citation: GC34090(d), 49 C.F.R. § Part 379 Appendix A(A)(2)</b>

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LEG1000 Business Organization	INSURANCE (POLICIES/AMENDMENTS, ETC.) Records related to coverage affecting agency liability. Includes policies, amendments, riders, and proof of payment.	LEG1600	LEG3000	ACT+1	IND		IND	RISK MANAGEMENT	V	C, SS		
LEG1000 Business Organization	CLAIM/LITIGATION CASE FILES Records of claims and lawsuits.	LEG1700	LEG4000	FR	FR		FR+4	RISK MANAGEMENT		C, SS, P, I, N	MUL	
LEG1000 Business Organization	WORKERS COMP. CLAIMS Workers compensation claim files for job-related injuries.	LEG1730		FR	5		FR+5	RISK MANAGEMENT		C, SS, I	RISK	Citation: CAL. CODE REGS. tit. 8, § 10102(a)
LEG1000 Business Organization	ADA, EO, AND TITLE VI COMPLAINT FILES COMPLAINT FILES (BY INDIVIDUALS) Formal complaints of violation of federal equal opportunity laws.	LEG1740	LEG4004	FR	5		FR+5	CIVIL RIGHTS PROGRAM COMPLIANCE		C, SS, I		Citation: 49 CFR § 27.121
HUM8000 Employment Standards and Compliance	TITLE 6 RECORDS (ANALYSIS) AND ADA RECORDS Records documenting analysis reports, notice of Title 6, memos, postings, etc. Records documenting compliance with Americans with Disabilities Act, for employees, future employees and riders. <b>INCLUDES RECORDS FORMERLY IN HUM8200</b> <b>Formal complaints go in LEG1740.</b>	LEG1745	HUM8002, HUM8200	ACT+4		ACT+4	ACT+4	CIVIL RIGHTS PROGRAM COMPLIANCE,	Required for reporting to FTA every 3 years. Destroy 4 years after report submittal.			Citation: FTA Circular 4702.1B - requires reporting on compliance every 3 years.
LEG1000 Business Organization	COLLECTIVE BARGAINING AGREEMENT (CBA) GRIEVANCE FILES (MAJOR 2nd LEVEL CASES) Records pertaining to the disposition of formal employee complaints against management. Includes TCU grievances. <b>INCLUDES RECORDS FORMERLY IN LEG1755</b>	LEG1750	LEG4002, LEG1755, LEG4004	ACT+2	8		ACT+10	MULTIPLE		C, SS, I	MUL	
LEG1000 Business Organization	LABOR/ARBITRATION FILES Records of precedent-setting settlements and rulings.	LEG1760	LEG4003	ACT+2	UCP	IND	IND	LABOR/EMPLOYEE RELATIONS		C, I, N, P	ADM	
LEG1000 Business Organization	GRIEVANCE FILE 2nd LEVEL (MINOR INFRACTIONS) Records pertaining to the disposition of minor infractions of employee complaints.	LEG1770		3	NA		3	LABOR/EMPLOYEE RELATIONS		C, I		

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<b>LEG5000 Legal Compliance</b>	LEGAL COMPLIANCE DOCS (FTA, EEOC, ETC.) Records related to the preparation of documents required by various agencies. Includes reporting and filings with agencies such as FTA, OSHA, EPA, EEOC, SBOE, etc.; also includes external program audits required by government agencies.	<b>LEG5100</b>	LEG5000	7	UCP	IND	IND	MULTIPLE				
<b>LEG5000 Legal Compliance</b>	FTA-FEDERAL TRANSPORTATION FTA electronic system which collects information from the TOTS, Scheduling, and ATMS for reporting to the FTA.	<b>LEG5110</b>		NA	NA	10	10	SERVICE PERFORMANCE & ANALYSIS	EL			
<b>LEG5000 Legal Compliance</b>	TAX RETURNS Tax returns and supporting documents filed by the MTA.	<b>LEG5200</b>	LEG5001	10	NA		10	ACCOUNTING			FIN	
<b>LEG5000 Legal Compliance</b>	LICENSES/PERMITS Records, including licenses and permits, required to conduct business, collect fares, etc.	<b>LEG5300</b>	LEG5002	ACT	3		ACT+3	MULTIPLE			MUL	
<b>LEG5000 Legal Compliance</b>	COURT ORDER/AGENCY COMPLIANCE DOCS Records related to unique court orders issued to the MTA.	<b>LEG5400</b>	LEG5003	ACT	3		ACT+3	MULTIPLE			MUL	
<b>LEG5000 Legal Compliance</b>	ETHICS COMPLIANCE RECORDS Records pertaining to compliance with ethics requirements issued by the MTA and other government bodies. Includes documentation of evaluations of potential Code of Conduct violations; Ethics Opinions; Lobbyist Reports (Quarterly); Reconsideration opinions (evaluation of bidder and proposer good faith efforts) documentation; and Conflict of Interest Reports. <b>INCLUDES RECORDS FORMERLY IN LEG5515, LEG5510, LEG5525, and LEG5530</b>	<b>LEG5500</b>	LEG5515, LEG5510, LEG5004, LEG5525, LEG5530, LEG5008	2	5		7	ETHICS			ETHICS	
<b>LEG5000 Legal Compliance</b>	STATEMENT OF ECONOMIC INTERESTS Imaged CA700 forms detailing economic holdings of employees and Board members.	<b>LEG5520</b>	LEG5005	2	5	7	7	ETHICS	EL			Citation: GC 81009
<b>LEG5000 Legal Compliance</b>	AB1234 ETHICS TRAINING Ethics training records of elected and other specified agency officials. Ethics department is required to maintain all related documents (certificates, training notifications, legal updates, etc.) and proof of completion certifications.	<b>LEG5535</b>		3	2		5	ETHICS				

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LEG5000 Legal Compliance	METRO PARKING CITATION, FARE EVASION AND CODE OF CONDUCT VIOLATION HEARINGS Documents maintained for record keeping purposes including copies of the original citation (parking or fare evasion ticket), photos, correspondence, notes taken at the hearing, hearing video, copies of the findings from the 1st level review and the 2nd level hearing official's finding recommendation.	LEG5540		FR+5, digital or paper form		FR+5, digital or paper form	FR+5	TRANSIT COURT	May include personal identifying information. For historical purposes, records of this sort may be retained beyond the minimum.	C, SS	OIG	
LEG5000 Legal Compliance	DBE CERTIFICATION RECORDS File of businesses certified as disadvantaged. Records pertaining to MTA's attempt to provide economic opportunities to small and/or disadvantaged businesses, both approved and denied. <b>INCLUDES RECORDS FORMERLY RETAINED IN LEG5620</b>	LEG5610	LEG5006, LEG5620, LEG5007	ACT+2	1		ACT+3	DIVERSITY & ECONOMIC OPPORTUNITY	Keep approved certification records 3 years after expiration. Keep denied application records 3 years after denial.		EO	Citation: 49 C.F.R. § 26.11(d), 49 C.F.R. § 26.109, 49 C.F.R. § 18.42
LEG5000 Legal Compliance	COMMUNITY SERVICE FILE Files that are mandated by the court to track community service work hours.	LEG5700	LEG5009	5	NA		5	STOPS & ZONES			OPM	
LEG5000 Legal Compliance	COPYRIGHT/TRADEMARK/PATENT RECORDS Records related to preparation, filing, maintenance, and rights for patents and copyrights.	LEG7000	LEG7000	ACT+1	UCP	IND	IND	RECORDS MANAGEMENT	PA	C, SS, I, TS	ADM	
LEG5000 Legal Compliance	LABOR RELATIONS NEGOTIATION FILES Records pertaining to the negotiation of labor contracts with the Unions.	LEG8000	LEG8000	ACT+3	UCP	IND	IND	LABOR/EMPLOYEE RELATIONS		C, N, P	LAB REL	
LEG5000 Legal Compliance	LEGAL SERVICE ORIGINAL SUBPOENAS Original subpoenas received in Legal Services to garnish Metro employees' wages. <b>INCLUDES RECORDS FORMERLY IN LEG9005</b>	LEG9000	LEG9005	1	2		3	LEGAL SERVICES	Retain originals for 3 years, destroy copies after 1 year.			
MAR1000 Marketing	MARKETING ACTIVITY RECORDS Records related to marketing or sales activities with vendors and potential customers. <b>INCLUDES GRANT-RELATED RIDE SHARE MARKETING RECORDS FORMERLY IN MAR1110</b>	MAR1100	MAR1000, MAR1110	3 (Grant-related: LOG)	NA (Grant-related: 3)		3 (Grant-related: LOG+3)	COMMUNICATIONS	Grant-related: retain in department until after grant has closed.		COM	

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<b>OPM1000</b> <b>Operations and Maintenance Records</b>	OPERATIONS & MAINTENANCE GENERAL Records generated by the Divisions not belonging to another category (includes track allocation, mainline operating clearance, inspection records, yard switch, manual block, clearance card, etc.).	<b>OPM1100</b>	OPM1000	2	3		5	OPERATIONS		SS	OPM	<b>Citation: GC 34090</b>
<b>OPM2000</b> <b>Operations and Maintenance Records</b>	OPERATIONS SCHEDULING RECORDS Records pertaining to the development, revision, and issue of bus schedules (paddle board, work runs, supervisor summaries, consent decree, etc.).	<b>OPM2100</b>	OPM2000	UCP	10	10	10	SERVICE PERFORMANCE ANALYSIS			OPM	Electronic records. All current records in off-site storage will be destroyed after 10 years (no more paper records being generated).
<b>OPM2000</b> <b>Operations and Maintenance Records</b>	OPERATIONS PULLOUT SHEETS (Rollout) Daily sheets produced by Scheduling detailing pull-out time for each scheduled bus/train for a division; the transportation and maintenance sections annotate the drivers and coach numbers assigned.	<b>OPM2200</b>	OPM2001	1 MO	10	10	10	OPERATIONS				
<b>OPM2000</b> <b>Operations and Maintenance Records</b>	OPERATIONS PLANNING LINE FILES Records pertaining to the development and revision of bus routes (Route Instructions, Service Change Summaries, timeload, etc.).	<b>OPM2300</b>	OPM2002	ACT	NA	AR	AR	OPERATIONS PLANNING, SCHEDULING	EL		OPM	
<b>OPM2000</b> <b>Operations and Maintenance Records</b>	STOPS & ZONES T2 LINE FILES Master lists of bus lines and stops.	<b>OPM2400</b>	OPM2003	UCP	NA	AR	AR	STOPS & ZONES	EL	SS	OPM	
<b>OPM3000</b> <b>Operations and Maintenance Records</b>	CERTIFICATE OF DRIVING SKILL Records related to the contract with the DMV for employee testing, licensing documentation. Includes the DL170, dl260, drive test, pre-trip examination, and all personal information for the person being tested.	<b>OPM3200</b>		1	4		5	OPERATIONS CENTRAL INSTRUCTION			OPM	
<b>OPM4000</b> <b>Accident and Incident Records</b>	VEHICLE ACCIDENT/INCIDENT REPORTS Reports of accidents and incidents occurring on buses or trains.	<b>OPM4100</b>	OPM3001	1MO	10	10	10	OPERATIONS DIVISIONS	EL	C, SS, I	OPM	<b>Citation: CA GC 34090</b>
<b>OPM4000</b> <b>Accident and Incident Records</b>	SUMMARY OF VEHICLE ACCIDENTS AND INCIDENTS High-level summary reports of accidents and incidents occurring on buses and trains and all regulatory reports.	<b>OPM4110</b>	OPM3002	2	1	3	3	OPERATIONS/ SAFETY	EL	C, I	OPM	<b>Citation: CCP 338</b>

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<b>OPM4000</b> <b>Accident and Incident Records</b>	OPERATIONS CONTROL CENTER RECORDINGS Data collected by Central Control. Includes data routinely collected daily, and functional data recorded on ATMS System. <b>Includes records formerly in OPM4210 and OPM4330</b>	<b>OPM4200</b>	OPM4000, OPM4210, OPM4330, OPM4002	UCP	NA	1	1	OPERATIONS CONTROL CENTERS	EL	C, I, SS, AV	OPM	<b>Citation:</b> CA GC 34090.6, CA GC 53160
<b>OPM4000</b> <b>Accident and Incident Records</b>	MAJOR INCIDENT RECORDINGS Data collected by Central Control related to serious accidents and incidents - Recorded on ATMS System. Tapes of telephone conversations regarding serious accidents and incidents. Accident and incident records preserved by video recording systems on buses, rail cars, and at stations and facilities. <b>Includes records formerly in OPM4340 and OPM4360</b>	<b>OPM4220</b>	OPM4001, OPM4340, OPM4003, OPM4360	2	NA	2	2	OPERATIONS CONTROL CENTERS	EL, Recordings which are evidence in a claim or litigation must be retained until litigation is resolved. Tape is overwritten every 72 hours.	C, SS, I, AV	OPM	Tape is overwritten every 72 hours. Only the portion of a recording reported as an incident is preserved. <b>Citation: CA GC 34090.6</b> "In the event that the recordings are evidence in any claim filed or any pending litigation, they shall be preserved until pending litigation is resolved."
<b>OPM5000</b> <b>Vehicle Maintenance Records</b>	VEHICLE MAINTENANCE, INSPECTION, AND DEFECT REORDS Revenue and non-revenue vehicle (including tow trucks and forklifts) maintenance records. Records of periodic inspections of coaches/cars, preventative maintenance, unscheduled repairs, and modifications to equipment - current and historical. Includes cards filled out by operator noting defects and annotated by Mechanics with indication of repair. <b>INCLUDES RECORDS FORMERLY IN OPM5500, OPM5600 and OPM5700.</b>	<b>OPM5100</b>	OPM5000, OPM5500, OPM5002, OPM5600, OPM5003, OPM5700, OPM5004	3	18	LOV+3	<b>LOV+3</b>	OPERATIONS MAINTENANCE , OPERATIONS DIVISIONS MAINTENANCE	If Life of Vehicle is unknown, destroy records after 20 years.		OPM	<b>Citation:</b> 8 CAL Code Reg. 3203 (b) (1)
<b>OPM5000</b> <b>Vehicle Maintenance Records</b>	BUS ACCEPTANCE DOCUMENTS Records of acceptance of each new bus; documentation checklist, NABI documentation list, NABI working notes, MTA documentation list, and MTA working notes.	<b>OPM5200</b>	OPM5008	6	14		<b>20</b>	OPERATIONS MAINTENANCE			OPM	
<b>OPM5000</b> <b>Vehicle Maintenance Records</b>	BUS WARRANTY FILES Records of warranty arrangements, warranty claims and warranty coverage and repair documentation and invoices.	<b>OPM5300</b>		7	LOV+4		<b>LOV+4</b>	OPERATIONS MAINTENANCE			OPM	

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OPM5000 Vehicle Maintenance Records	OPERATIONS EQUIPMENT DAMAGE RPT Hard copy reports on damages to buses and trains.	OPM5400	OPM5001	1	5		6	OPERATIONS MAINTENANCE			OPM	
OPM5000 Vehicle Maintenance Records	ROAD FAILURE TREND ANALYSIS (33-72) Statistical report of road failures of revenue vehicles.	OPM5800	OPM5005	1	NA		1	OPERATIONS DIVISIONS MAINTENANCE			OPM	
OPM5000 Vehicle Maintenance Records	ROAD FAILURE REPORTS & SUMMARIES (Road Call) Individual and summarized reports of revenue vehicles road failures.	OPM5810	OPM5006	1	6		7	OPERATIONS DIVISIONS MAINTENANCE			OPM	
OPM3000 Operations and Maintenance Records	OPERATIONS TRAINING RECORDS Training files including records related to the program for periodic instruction of railroad employees, including program amendments. Also includes basic operator training, maintenance training, division support, TOS training, course materials, and training manuals. <b>INCLUDES RECORDS FORMERLY IN OPM3100 and OPM5920.</b> Records documenting each operator's training and certification are retained in HUM3100.	OPM5910	OPM3000, OPEM3100, OPM5007, OPM5920	US	NA	US+10	US+10	OPERATIONS DIVISIONS TRANSPORTATION	EL, Keep original hardcopy in office storage for 18 months after they have been imaged		OPM	
OPM6000 Transit Police	TRANSIT SECURITY GENERAL RECORDS Records pertaining to activities of the Transit Security.	OPM6100	OPM6000	2	4		6	SYSTEM SECURITY & LAW ENFORCEMENT		C, I	SSLE	
OPM6000 Transit Police	TRANSIT SECURITY DISPATCH RECORDINGS Dispatched audio recording of incidents.	OPM6200	OPM6001	EL	NA	4 MO	4 MO	SYSTEM SECURITY & LAW ENFORCEMENT	EL	C, I	SSLE	
OPM7000 Congestion Relief	SAFE RECORDS Records related to Freeway Service Patrol, 511, Call boxes, RIITS and Metro Express Lanes.	OPM7100	OPM7000	2	IND		IND	MOTORIST SERVICES			OPM	
OPM7000 Congestion Relief	MOTORIST ASSIST FORMS – SCANNED Forms recording assistance provided to individual motorists.	OPM7110	OPM7001	1 MO	11 MO		1	MOTORIST SERVICES		C	OPM	

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Special Records Categories

<b>C</b> - Confidential Records
<b>DR</b> - Records Stored Offsite for Disaster Recovery
<b>I</b> - Investigative Records
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Legal Citation Codes

<b>CCP</b>	-	Code of Civil Procedure
<b>CCR/Cal. Code Regs.</b>	-	California Code of Regulations
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2021 LACMTA Records Retention Schedule – DRAFT

ATTACHMENT A

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Old Retention Category Code	Years to Retain paper in Dept. Files (Physical)	Yrs.to Retain Original in Off-site Storage (Off-Site)	Yrs.to Retain System Storage (Electronic)	TOTAL RETENTION	OFFICE OF RECORDS	COMMENTS	Sensitive Records	Executive Area	Notes
OPM8000 Rail Maintenance	SIGNAL & COMMUNICATION FILES Records related to inspection, maintenance and testing of grade crossing signals.	OPM8100		3	1		4	OPERATIONS DIVISIONS MAINTENANCE RAIL			PL	
PPA1000 Transportation Planning	SCAG OVERALL WORK PROJECT PLAN Records pertaining to transportation projects approved and monitored by SCAG.	PPA1010	PPA1000	3	NA		3	COUNTYWIDE PLANNING & DEV.	PA		PL	
PPA1000 Transportation Planning	REGIONAL TRANSPORTATION PLANS Regional transportation plans for all modes.	PPA1100		3	UCP		PE	COUNTYWIDE PLANNING & DEV.	PA - For Archival review every 30 years.			Citation: CA GC 34090
PPA1000 Transportation Planning	MTA TRANSPORTATION SUPPORT DOCUMENTATION Working papers and support documents for regional transportation plan.	PPA1110		ACT	3		ACT+3	COUNTYWIDE PLANNING & DEV.	PA, GR			Citation: CA GC 34090
PPA1000 Transportation Planning	MATERIALS FOR QUARTERLY REPORT FOR COUNTYWIDE PLANNING (Back-up material) Documents used to prepare Countywide Planning & Programming sections quarterly status reports.	PPA1300		1	2		3	COUNTYWIDE PLANNING & DEV.			PL	
PPA2000 Transportation Project Programming	TRANSPORTATION AND JOINT DEVELOPMENT PROJECT FILES Planning project files (Call For Projects and Non-Call for Projects) for multiple modes including highway, bikeway, and rail containing environmental reports conceptual studies, feasibility studies, correspondences, moves, project application materials (studies, surveys and pictures), etc.  Includes records pertaining to the MTA's partnering with other organizations to develop property near its stations or other transportation elements. <b>INCLUDES RECORDS FORMERLY IN ACC4340 AND PPA2110</b>	PPA2100	PPA1001, PPA2100, PPA2110, AC4340, LEG2004	UCP	UCP+10	IND	IND	COUNTYWIDE PLANNING & DEV.	EL, GR, PA Keep original hardcopy in off-site storage for 10-years after they have been imaged		PL	
PPA2000 Transportation Project Programming	LOCAL TRANSIT FILES (MUNI & CITY FILES) Local city file containing proposition A&C memoranda of understanding; TDA/STA claims; Section 9/n. D.T.I performance audits; SRTDS; State Control Reports, etc.	PPA2200		3	UCP	IND	IND	COUNTYWIDE PLANNING & DEV.	PA - For Archival review every 30 years.		PL	

Retention Codes

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2021 LACMTA Records Retention Schedule – DRAFT

ATTACHMENT A

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Old Retention Category Code	Yrs.to Retain paper in Dept. Files (Physical)	Yrs.to Retain Original in Off-site Storage (Off-Site)	Yrs.to Retain System Storage (Electronic)	TOTAL RETENTION	OFFICE OF RECORDS	COMMENTS	Sensitive Records	Executive Area	Notes
PPA2000 Transportation Project Programming	IMMEDIATE NEEDS PROGRAM FILES Immediate needs program records (include trip information, trip summaries, funding authorizations, invoices, and vouchers) documenting the program that distributes taxi vouchers and bus tokens to those with transportation needs and no other means to meet them.	PPA2210		ACT+1	2		ACT+3	COUNTYWIDE PLANNING & DEV.				
PPA3000 Transportation Systems Analysis	TRANSPORTATION SYSTEM ANALYSIS AND NATIONAL DATABASE Records pertaining to the development and publishing of analytical transportation studies and models. Also includes documents used to provide statistical transportation data to the National Transportation Database. <b>INCLUDES RECORDS FORMERLY IN PPA3200</b>	PPA3100	PPA1001, PPA3200	3	UCP	IND	IND	COUNTYWIDE PLANNING & DEV.	PA, GR		PL	
PPA3000 Transportation Systems Analysis	TRANSPORTATION MODELING RECORDS Print outs of data describing alternative transportation forecast.	PPA3300		ACT+1	20		20	COUNTYWIDE PLANNING & DEV.			PL	
PUB1000 Public Affairs	PUBLIC AFFAIRS/COMMUNITY RELATIONS RECORDS All records related to Public Relations. Includes records of public meetings held to discuss transportation issues and changes, letters received from the public regarding transportation issues and changes, Photo release, press release, and model release forms, including consent agreement forms produced by multiple departments. <b>Includes project notifications on Metro websites and electronic/email project newsletters.</b> <b>INCLUDES RECORDS FORMERLY IN PUB1200, PUB1300 and PUB3000</b>	PUB1100	PUB1000, PUB1200, PUB1001, PUB1300, PUB1002, PUB 3000	3	UCP	IND	IND	MULTIPLE	GR, PA - For Archival review every 30 years.		MUL	
PUB1000 Public Affairs	PUBLIC COMMENT/COMPLAINT RECORDS Transit service related comments, commendations, and complaints	PUB1500		5	5		10	CUSTOMER SERVICE	EL. Retain paper in Dept 5 years and 5 years offsite.			
PUB2000 Public Affairs	GOVERNMENT RELATIONS RECORDS Records related to the MTA's relations with local, state, and federal government officials and bodies.	PUB2000	PUB2000	5	NA		5	GOVERNMENT RELATIONS	PA		COM	

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2021 LACMTA Records Retention Schedule – DRAFT

ATTACHMENT A

<b>PUB4000 Public Affairs</b>	INTERNAL COMMUNICATIONS EMPLOYEE NEWSLETTERS/ALL STAFF MEMOS Newsletters and memos distributed to all staff and/or special employee groups.  MYMETRO.NET Documents posted on the Intranet that are internal communications to staff in the following categories: Headline news stories and photos, CEO hotline, news releases, employee policies and instructions. <b>CONTAINS RECORDS FORMERLY IN ADM6135</b>	<b>PUB4000</b>	PUB4000	3	UCP	IND	<b>IND</b>	MULTIPLE	EL, PA - For Archival review every 30 years.			
<b>PUB5000 Public Affairs</b>	ART COLLECTION DATABASES/RECORDS Records of special art fabricator specifications, conservator reports, inventory assessments/surveys and financial appraisals. Public and portable artworks.	<b>PUB5100</b>		UCP	NA	IND	<b>IND</b>	METRO ART	EL, PA - For Archival review every 30 years.		MUL	

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## Document Revision History

**Original – ADOPTED BY THE BOARD OF DIRECTORS, 05/24/1995**

REV. 1 – APPROVED BY THE BOARD OF DIRECTORS, 05/24/1996

REV. 2 – APPROVED BY THE BOARD OF DIRECTORS, 06/25/1997

REV. 3 – APPROVED BY THE BOARD OF DIRECTORS, 09/23/1998

REV. 4 – APPROVED BY THE BOARD OF DIRECTORS, 09/23/1999

REV. 5 – APPROVED BY THE BOARD OF DIRECTORS, 03/22/2001

REV. 6 – APPROVED BY THE BOARD OF DIRECTORS, 09/26/2002

Rev. 7 – APPROVED BY CHIEF EXECUTIVE OFFICER, 10/08/2003

Rev. 8 – APPROVED BY CHIEF EXECUTIVE OFFICER, 06/29/2004

Rev. 9 – APPROVED BY THE BOARD OF DIRECTORS, 12/13/2004

Rev. 10 – APPROVED BY CHIEF EXECUTIVE OFFICER, 04/05/2005

Rev. 11 – APPROVED BY CHIEF EXECUTIVE OFFICER, 06/14/2006

Rev. 12 – APPROVED BY CHIEF EXECUTIVE OFFICER, 07/10/2008

Rev. 13 – APPROVED BY CHIEF EXECUTIVE OFFICER, 10/21/2008

Rev. 14 – APPROVED BY CHIEF EXECUTIVE OFFICER, 10/17/2010

Rev. 15 – APPROVED BY CHIEF EXECUTIVE OFFICER, 7/14/2011

Rev. 16 – APPROVED BY CHIEF EXECUTIVE OFFICER, 5/25/2012

Rev. 17 – APPROVED BY CHIEF EXECUTIVE OFFICER, 8/27/2013

Rev. 18 – APPROVED BY CHIEF EXECUTIVE OFFICER, 4/06/2015

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	<b>V</b> = Vital Business Record

**LEGAL CITATION CODES**

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**SPECIAL RECORDS CATEGORIES**

**C** - Confidential Records (Records received by Metro with the intention that Metro used without any transfer of ownership as a result of the nature of the records.)

**DR** - Records Stored Offsite for Disaster Recovery (Backed-up data, systems and application records).

**I** - Investigative Records (Investigation information and data relating to incidents or accidents on all Metro vehicles and facilities)

**N** - Internal Negotiation Records

**P** - Privileged Records (Communication from Legal Counsel to the Board of Director).

**SS** - Security Sensitive Records (Facility records, transportation systems, communication or security systems and all other systems).

**TS** - Procurement/Trade Secret (Formulas, plan, patterns, process, tool, mechanism, compound, procedure, production data or compilation of information which is not patented.)

**US** - Until Superseded or obsolete

**V** - Vital Business Record

**2021 LACMTA RETENTION SCHEDULE**

Records which Metro no longer creates or manages which were removed from the schedule.

**I. Control/Input Documents**

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RECORD CODE	OFFICE OF RECORD	YRS ACTIVE	YRS INACTIVE	TOTAL YRS
ADM6000 Computer Related Administrative Records	CONTROL/INPUT DOCUMENTS Documents used by staff to input data into a computer, to verify that input, or to track the status of a database.	ADM6200	Multiple	UV*	NA	UV

\*UV = Until Verified

**Reason for removal:**

Each department inputting data into a database system has a more specific retention period based on the type of data and/or project it supports, therefore this series is no longer needed.

**II. Informal Meeting Agendas/Minutes**

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RECORD CODE	OFFICE OF RECORD	YRS ACTIVE	YRS INACTIVE	TOTAL YRS
LEG1000 Business Organization	INFORMAL MEETING AGENDAS/MINUTES Minutes of informal or unofficial committee meetings. Including audio recordings	LEG1400	Multiple	3	IND*	IND

\*IND = Indefinite

**Reason for removal:**

The Brown act prohibits a majority of the Board from gathering together to discuss LACMTA matters outside of formal meetings, and requires Board members to guard against discussing LACMTA matters in informal settings. Meetings with Agendas and Minutes documenting LACMTA business would be considered formal meetings and these records are retained under LEG1200 (Board & Formal Committee Meeting Records) or LEG1220 (Confidential Board & Committee Meeting Records)

**III. County Counsel Records**

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RECORD CODE	OFFICE OF RECORD	YRS ACTIVE	YRS INACTIVE	TOTAL YRS
LEG5000 Legal Compliance	COUNTY COUNSEL ELECTRONIC RECORDS: LEGAL CORRESPONDENCE RECORDS Imaged official legal correspondence created to substantiate the rights, obligation and interests of public transportation system, employees and client. LEGAL DOCUMENT RECORDS Imaged records related to court proceedings for County Counsel. PLEADINGS Imaged court records of litigation and court documentation for County Counsel	LEG5800	County Counsel	ACT*	ACT+6	ACT+6
LEG5000 Legal Compliance	LEGAL PROJECT FILES Records related to determining legal requirements and providing legal advice for the agency.	LEG6000	County Counsel	ACT	10	ACT+10
LEG5000 Legal Compliance	LEGAL OPINIONS Records that document specific legal advice provided.	LEG6010	County Counsel	IND	N/A	IND
LEG5000 Legal Compliance	EVIDENCE CASE FILES Legal cases that have historical value and contain evidence.	LEG6020	County Counsel	ACT	20	ACT+20

\*ACT = Active

**Reason for removal:**

These records were added when Metro started scanning County Counsel Records. Shortly after this program started, it was cancelled with internal organizational changes by County Counsel. County Counsel manages its records independently of Metro.

**IV. Operations Contract Records**

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RECORD CODE	OFFICE OF RECORD	YRS ACTIVE	YRS INACTIVE	TOTAL YRS
OPM5000 Vehicle Maintenance Records	OPERATIONS CONTRACT RECORDS Imaged contracts	OPM5930	Operations Central Construction	ACT	N/A	ACT+3

**Reason for removal:**

The Records Management Center has no records in this category. Additionally, contracts are managed in a dedicated category, CON1200 (Executed Contracts)

**V. Quarterly Report for Countywide Planning**

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RECORD CODE	OFFICE OF RECORD	YRS ACTIVE	YRS INACTIVE	TOTAL YRS
PPA1000 Transportation Planning	QUARTERLY REPORT FOR COUNTY WIDE PLANNING Countywide Planning and Programming section quarterly status reports.	PPA1200	Countywide Planning & Dev.	3	IND	IND

**Reason for removal:**

These reports are for the Board of Directors and are included in Board Reports. We have a separate retention category for retention of Board Reports (LEG1200 – board and Formal Committee Meeting Records). Managing Countywide Planning’s Quarterly Reports in an additional, stand-alone category is duplicative.

**VI. Benefit Assessment Files**

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RECORD CODE	OFFICE OF RECORD	YRS ACTIVE	YRS INACTIVE	TOTAL YRS
PPA4000 Benefits Assessment	BENEFIT ASSESSMENT ADMIN FILES Records pertaining to the assessment of a fee on property benefiting from transportation improvements.	PPA4100	Countywide Planning/Real Estate	ACT+1	UCP*	IND
PPA4000 Benefits Assessment	BENEFIT ASSESSMENT CASE FILES Records pertaining to the disposition of individual property owners contesting their benefit assessment.	PPA4200	Countywide Planning/Real Estate	ACT+4	UCP	IND

\*UCP = Until Captured on electronic media

**Reason for removal:**

The category is obsolete, as Metro no longer uses Benefit Assessment Districts. There are 59 boxes from 1984-1996 in off-site storage which will be retained indefinitely. Destruction of these records would require archival review, and approval if destruction is recommended.