



**Metro**

GENERAL MANAGEMENT  
Records Management

(GEN 8)

POLICY STATEMENT

Under the California Public Records Act (CPRA), the Los Angeles County Metropolitan Transportation Authority (LACMTA) is required to make its public records available for public disclosure, unless there is a specific reason not to do so. The reasons for withholding disclosure of a record are set forth in the exemptions contained in the CPRA. The LACMTA is authorized to develop the procedures to be followed when making its public records available to the public. Further, the LACMTA is authorized to determine that any significant record in the possession of the agency that is no longer of any value to the agency may be disposed of in accordance with the Records Retention Schedule. Authority was delegated by the Board of Directors to the CEO in September 2002 to administer the Records Management Policy, including defining and adding new categories to the Records Retention Schedule and extending the terms of retention for any category or document.

The LACMTA has developed the Records Management Program to provide guidance on the management of its public records and the process to follow when making those records available for public disclosure, or withholding records from disclosure.

PURPOSE

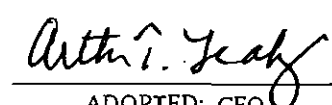
The purpose of this policy is to establish the responsibilities and requirements for managing LACMTA records and to ensure compliance with the CPRA and other applicable federal or state laws and regulations.

APPLICATION

This policy applies to all Board Members, Board Officers, LACMTA/PTSC employees, consultants, contractors, vendors, agents, affiliates, and any other entities directly engaged in LACMTA business that are responsible for creation, management and storage of LACMTA records.

  
\_\_\_\_\_  
Chief of SBU

  
\_\_\_\_\_  
APPROVED: County Counsel or N/A

  
\_\_\_\_\_  
ADOPTED: CEO

Effective Date: 8/17/2010

Date of Last Review: \_\_\_\_\_



## GENERAL MANAGEMENT Records Management

(GEN 8)

### 1.0 GENERAL

The Records Management Center (RMC) administers the Records Management Program, which governs the manner in which records are received, created, retained, stored, and disposed. The Records Management Program includes the approved Retention Schedule (Attachment 1).

Departments, in conjunction with County Counsel, ITS, Risk Management and Security, have the ultimate responsibility for validating and assessing the business and information system security risks. Departments must define the data resources under their control and determine the appropriate access level of staff. Departments should refer to the Information Security (IT 1) Policy for information on business and information system security risks.

#### 1.1 Use of LACMTA Records and Data Files

Employees may not copy, retain, or send LACMTA records or data files for any purpose not related to LACMTA business. Sensitive documents or data files must be protected against unwarranted disclosure. Access to sensitive documents and data files must be safeguarded. Sensitive documents may not be removed from LACMTA worksites unless for business use and the information content is properly logged and authorized by a department manager. Use of encryption and/or password protection is required for access and use of LACMTA computers or other electronic devices storing electronic data files.

##### 1.1.1 Use of Personal Computers or Other Personal Devices

Employees who transfer electronic data files onto a personal computer or other personal device may be subject to search and seizure at the direction of the LACMTA, or a court order, which could tie up an employee's use of their personal computer or personal device until searched and relevant files are copied and removed. If an employee chooses to use a personal computer or similar device, to do work, LACMTA offers no protections or guarantees regarding personal information, which may be unintentionally disclosed, while searching a personal computer or personal device. The LACMTA is not responsible for any such disclosures as a result of an employee transferring or saving electronic data files to their personal computer or personal device.



**Metro**

Los Angeles County  
Metropolitan Transportation Authority

## GENERAL MANAGEMENT Records Management

(GEN 8)

### 1.1.2 E-mail

LACMTA e-mail is for business purposes only. Employees may not send or attach data files to e-mails and send or forward them outside of the LACMTA for non-business use.

### 1.2 Records and Non-Records

Public records includes any writing containing 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.

Writing means any handwriting, typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored.

Every organization generates records and non-records, physical and electronic. A record holds operational, legal, fiscal, vital or historical value. A non-record is information with no operational, legal, fiscal, vital or historical value and does not constitute a public record. Non-records lack evidence of lasting value or official business activities. Non-records should be disposed of as soon as they are no longer of use.

Employees are required to discard all draft copies of completed documents. Employees must also discard all non-significant and/or miscellaneous notes, etc., at the end of a project. The LACMTA does not maintain such records in the regular course of business.

Public records have legally recognizable and enforceable qualities of establishing fact and are generally identified on the LACMTA Records Retention Schedule.

### 1.3 Public Records Disclosure

LACMTA records that are not subject to being withheld will be open to public inspection during the regular business hours of the RMC, which is located at Gateway Headquarters Building. Copies of LACMTA records that may be released must be obtained through the RMC.



## GENERAL MANAGEMENT Records Management

(GEN 8)

Requests from the public or media to view or receive copies of LACMTA public records must be submitted directly to the RMC, which coordinates LACMTA's response to records requests. RMC is solely responsible for releasing LACMTA records as they relate to public records requests. LACMTA departments and divisions may not disclose record information and must direct all public or media requests for LACMTA records to the RMC. Failure to direct a public records request to RMC may result in a delayed response as the time for a response will not start until the request is received by the RMC. Where appropriate, County Counsel must review and authorize the release of Special Record Category records or when responding to a legally served subpoena.

All requests to conduct research with respect to transportation historical reference or other related materials maintained by LACMTA in its library will be forwarded to the Research Center/Library. Some historical records may not be disclosed if they are a Special Category record.

### 1.4 Special Record Categories

LACMTA has identified the Special Record Categories for specific types of records. Special Record Category records are subject to special care, handling and additional review as appropriate\*. Such records will only be released when authorized by the CEO or designee. Departments must follow these standards for the management of LACMTA records covered under the Special Record Categories:

- The RMC is responsible for the collection, storage, management and release of Special Record Category records;
- Counsel must review requests for Special Record Category records; and
- No Board Members, Board Officers, LACMTA/PTSC, employees, consultants, agents, contractors, vendors, affiliates, and any other entity directly engaged in LACMTA business is authorized to release, disclose, provide, copy, transfer, attach as an e-mail attachment, or otherwise deliver any Special Record Category records to anyone not authorized by LACMTA to have access to these records.

---

\* In addition, some categories of records listed below may contain writings that are exempt from disclosure under the California Public Records Act and will be handled accordingly.



**Metro**

Los Angeles County  
Metropolitan Transportation Authority

## GENERAL MANAGEMENT Records Management

(GEN 8)

### 1.4.1 Security Sensitive Information

Security Sensitive Information (SSI) and/or documents may not be disclosed to the extent that they may compromise the security of the Metro Bus and Metro Rail systems' infrastructure, rolling stock, computer systems, or equipment that supports the operation of the transit system, and/or the physical safety of customers and/or employees. Such records include any hard copy and/or electronic records generated by LACMTA staff, its contractors, consultants, or other public entities. Security Sensitive Information may include any kind of design specification or construction documents that relate to facilities, transportation systems, transit stations, vehicles, communications, security systems, vulnerability assessments, contingency plans, and other information covered under 49 CFR 1520.5 (a) and/or California Government Code sec. 6254.

### 1.4.2 Investigative Records

Records of complaints to, or investigations conducted by, or for the LACMTA are investigative records. Such information may endanger the safety of a person involved in an investigation; may endanger the successful completion of an investigation; may identify confidential sources; or may reveal information supplied in confidence.

Investigative records include documents related, but not limited to, criminal investigations, worker's compensation investigations, internal administrative investigations, third-party claim or compliant investigations, property damage investigations, bus and rail incident/accident investigations, and other similar types of investigations.

### 1.4.3 Privileged Records

Documents and records, or portions thereof, prepared by, at the direction of, or in conjunction with the County Counsel's Office or outside legal counsel, including attorney-client communications, shall be considered privileged or work product communications and may be redacted or withheld.

County Counsel is legal counsel for the Board of Directors as set forth under Public Utilities Code Section 130051. The Board may legally request and receive communications from County Counsel on issues of concern to the Board and these communications, whether oral or written, shall be considered



**Metro**

Los Angeles County  
Metropolitan Transportation Authority

## GENERAL MANAGEMENT Records Management

(GEN 8)

privileged communications as provided under California Evidence Code and other Federal, State and locally related statutes, regulations and rules.

County Counsel may release privileged records only in such cases as a court has determined that it is necessary for such a record or records be produced in a civil or criminal matter and has ordered that such records be released, or when the Board of Directors has determined that there is an appropriate basis upon which the privileged records should be released. County Counsel is authorized to make every reasonable effort to protect the release of such records beyond the purpose of the civil or criminal case through the use of protective orders.

### 1.4.4 Confidential Records

Confidential records include documents whose disclosure would constitute an unwarranted invasion of personal privacy. Confidential records include personnel, medical, or similar files.

The LACMTA will only act as a stakeholder of confidential records provided by any third party and will be fully indemnified by the third party in any legal proceeding that challenges LACMTA's right to retain the records as confidential.

### 1.4.5 Procurement/Trade Secret Records

LACMTA receives many different kinds of information and records from bidders and proposers through its various procurement related activities. These documents may include materials that the bidder/proposer claims as trade secret or proprietary records of the bidder/proposer, which if released to a competitor or other third parties, may injure their ability to successfully compete in future contracting opportunities. These documents may contain any formula, plan, design, pattern, process, tool, mechanism, compound, procedure, production data or software and software based application or process. For example, a bidder may be required to submit fabricating information used to produce a product as part of their bid/proposal package at the time they submit the bid/proposal to LACMTA.



**Metro**

Los Angeles County  
Metropolitan Transportation Authority

## GENERAL MANAGEMENT Records Management

(GEN 8)

### 1.4.6 Audio/Video Surveillance Records

Audio or visual images captured by recording surveillance equipment are audio/video surveillance records. These records include incidents occurring on LACMTA bus and rail vehicles, stations and facilities and are considered incident evidence. Audio/surveillance records are not releasable to the public due the potential impact to a criminal investigation, pending civil lawsuit, or revelation of security systems, processes or procedures, etc.

All copies of recorded incidents must be secured and provided to the RMC by the division or department maintaining the vehicle or the property involved.

No LACMTA division or department may release any copy of an audio/visual surveillance record to any third party. Only authorized LACMTA employees may view an audio/video surveillance recording. Law enforcement personnel must request to receive a copy of an audio/video surveillance recording incident through designated system safety and security personnel.

### 1.4.7 Internal Negotiation Records

LACMTA is involved in negotiations of many kinds. Negotiation positions are often put into written or electronic form and exchanged internally between staff, consultants or legal counsel. Such internal negotiation records may not be disclosed to any third party as they may disclose LACMTA's position on a particular negotiation or its method for conducting negotiations. It is in the best interest of the public that LACMTA be permitted to negotiate in private to achieve the best possible outcome.

### 1.4.8 E-Mail Records

The LACMTA considers e-mail as transitory communication and therefore, the LACMTA does not maintain non-significant e-mail. However, where an e-mail message constitutes a significant record, as in an affirmative act regarding a particular Board or agency activity, or approval or rejection of a contract or management decision, the e-mail must be retained either in the departmental database or as a paper document in a project file in accordance with the Retention Schedule (Attachment 1).



**Metro**

Los Angeles County  
Metropolitan Transportation Authority

## GENERAL MANAGEMENT Records Management

(GEN 8)

### 1.4.9 Computer Software Records

Computer software, including but not limited to computer mapping systems, computer programs, and computer graphics systems, developed by and for the LACMTA are computer software records. These records are proprietary information of the LACMTA and may not be disclosed.

### 1.4.10 Records Stored Offsite for Disaster Recovery

LACMTA maintains a separate set of records in case of a catastrophic event or disaster. These records are duplicates of official records that are stored in a secured offsite location for their protection. All LACMTA disaster recovery records are not deemed public records and not be reviewable by any outside third party for any reason.

## 2.0 PROCEDURES

Departments are responsible for organizing and managing their departmental records. Departments must develop internal desk procedures that are in accordance with the standards of the Records Management Program and work in conjunction with the Retention Schedule (Attachment 1). Departmental procedures must also allow for efficient and cost-effective management of LACMTA records.

### 2.1 Records Management Program

The Records Management Program provides the standards regarding the management of all LACMTA records throughout their life-cycle. These standards cover all paper and electronic LACMTA records received, prepared, handled, stored, and disposed. Each Department Head must appoint a staff person to be the Records Coordinator. The Records Coordinator serves as the point of contact for the RMC and is a department source for employee assistance in managing department records and compliance with the Records Management Program.

#### 2.1.1 Legal Hold

It is prohibited to destroy any information potentially relevant to any legal action affecting the LACMTA. The RMC, in conjunction with County Counsel, will be the sole department authorized to send out Legal Hold Notices for responsive materials. The purpose of the Legal Hold Notice is to ensure that LACMTA complies with its ongoing responsibility to preserve all





**Metro**

Los Angeles County  
Metropolitan Transportation Authority

## GENERAL MANAGEMENT Records Management

(GEN 8)

record files identified by the Notice as relevant to or reasonably related to anticipated or known litigation.

Upon notification about an incident that may result in litigation or upon receipt of an actual legal claim, County Counsel may give notice to the RMC to issue a Legal Hold Notice to any department that potentially holds LACMTA records that may be necessary in order to respond to the legal claim or the various causes of action in the complaint.

The RMC will coordinate with the affected department(s) to identify, list and retain all records that may be relevant to the issues raised by a claim or complaint. RMC will coordinate the method(s) of protecting records in conjunction with legal counsel.

### 2.1.2 Disposing of Electronic Storage Devices

The ITS department shall provide assistance with disposing of all computer equipment and electronically stored data, programs and systems collected from all LACMTA offices and facilities. All hard drive disk (HDD) devices that are scheduled for destruction by ITS must be reviewed by the responsible ITS staff since the devices may contain LACMTA work products that may contain special records category records. HDD devices will be held for a period of 60 days prior to disposal. This period allows for the user's department to retrieve data from the hard drive disk device, if necessary. The HDD device will be held indicating the last user's name, badge and the date when the device can be sanitized and reused as a working device or destroyed. HDD devices are kept in a safe and secured location so that special record category data may be secured and not available for misuse or retrieval by unauthorized staff. All HDD devices that are deemed obsolete by the ITS Department will be sent to the RMC for destruction according to Retention Schedule (Attachment 1).

All computer storage devices (CD's, DVD's, flash drives, zip disks, floppy disks, magnetic tapes, etc.) that no longer possess any legal, fiscal, administrative or historical value subject to destruction will be recovered by the ITS department and submitted to RMC for disposal. Other departments may submit other computer storage devices containing data files to RMC for disposition.



**Metro**

Los Angeles County  
Metropolitan Transportation Authority

## GENERAL MANAGEMENT Records Management

(GEN 8)

### 2.1.3 Disposing of Non-Electronic Records.

Non-electronic records which no longer possess any legal, fiscal, vital or historical value are disposed of in accordance with the Retention Schedule (Attachment 1). No record should be kept longer than its retention period, unless it is subject to a legal hold, or should be destroyed before the retention period expires. All backup record copies must be disposed of in accordance with the Retention Schedule (Attachment 1).

The RMC is the only department authorized to dispose of LACMTA records under the Retention Schedule (Attachment 1). No other Board Members, Board Officers, LACMTA/PTSC employees, consultant, agents, contractors, vendors, affiliates and any other entity directly engaged in LACMTA business may destroy records or copies of records. The RMC will document the destruction of LACMTA records by the owner of records, retention code, description, and date of records (from-to-dates).

#### 2.1.3.1 Department Stored Records

When the retention period expires, the department will need to prepare and submit the Direct Destruction of Inactive Records (Attachment 2) Form along with the records to RMC. The department Records Coordinator and the Department Head must sign the form and authorize the RMC to dispose of the records. The RMC will review the form and complete the final approval and destruction.

#### 2.1.3.2 Records Stored Off-Site

When the retention period expires for records that are stored off-site, RMC will send a Review for Destruction of Records Form (Attachment 3) to each of the applicable departments that includes an eligibility report for review and approval. If records are to be destroyed, the Department Head must sign the form and authorize the RMC to dispose of the records. The RMC will review the form with County Counsel and complete the destruction process



**Metro**

Los Angeles County  
Metropolitan Transportation Authority

## GENERAL MANAGEMENT Records Management

(GEN 8)

### 2.1.4 Procedures for Special Record Categories

Procedures must be developed by the department designated as the record owner for records covered by a Special Record Category. At a minimum, the procedures for Special Record Categories must contain the following elements of information:

- How, when, and where the “record” is created and stored;
- Method by which the original records will be transferred to RMC for storage;
- Whether or not copies of the records are made, and if so, where they are stored;
- Requirements for labeling/ identification of the records;
- Identify personnel who are authorized to use, maintain, review, release records or information to the RMC; and
- Who are authorized to retrieve records from the RMC.

### 2.1.5 Distribution and Communication of Desk Procedures

Department Heads should ensure that desk procedures are readily available to all staff who handle departmental records within the department or Strategic Business Unit (SBU).

### 2.1.6 Review and Update of Desk Procedures

Departmental record owners should conduct a biannual review and update of their records management desk procedures to ensure they reflect current practice and are meeting the Records Management Program standards. The RMC conducts periodic inspections and audits of department records. The RMC may request a copy of the desk procedures from the department records owner during inspections or audits. RMC may review desk procedures to assess if a department is adhering to acceptable standards with the Records Management Program.



**Metro**

Los Angeles County  
Metropolitan Transportation Authority

## GENERAL MANAGEMENT Records Management

(GEN 8)

### 2.1.7 Records Management when Employees Separate

When employees separate from service, the department manager is responsible for insuring that the employee's records are left in an orderly manner and are maintained, transferred, and/or disposed of according to the retention schedule. Responsibility for any remaining active records should be transferred to the employee to whom the job duties of the departing employee are assigned or to the department manager.

### 2.1.8 Training

The RMC provides training to staff that relates to the Records Management Program. Training courses are offered through the Management Orientation Program (MOP).

## 3.0 DEFINITION OF TERMS

**Electronic Records** – any electronically created or generated record that is stored, sent, forwarded, replied to, transmitted, distributed, broadcast, copied, downloaded, displayed, viewed, read, or printed.

**Electronic Storage Device** – a device used for storing digital data, such as, hard disk drives (HDD), CD's, DVD's, flash drives, zip disks, floppy disks, magnetic tapes, thumb drives, etc.

**Incident** – any event or occurrence that did or could have resulted a in bus or rail accident, injury, fatality, property damage, environmental release, near miss, endangerment, or adverse reaction.

**Legal Hold** – indicates subject to litigation or government investigation; therefore, a record labeled as such cannot be destroyed even though the record's retention period has expired.

**Non-Records** – information with no operational, legal, fiscal, vital or historical value. Non-records lack evidence of lasting value or official business activities. Non-records should be disposed of as soon as they are no longer of use.



## GENERAL MANAGEMENT Records Management

(GEN 8)

**Official Records** – documents related to the agency’s official duties or activities as recorded by the Board Secretary and/or that have LACMTA’s official seal affixed them. These may include, but are not limited to, Board agendas, minutes, resolutions, bonds, contracts, deeds, official statements, memoranda, letters, bylaws, reports, or official publications of the LACMTA Board of Directors.

**Obsolete** – equipment or records that are inoperable, damaged beyond economical repair, or no longer practical to use due to outdated technology.

**Public Records** – any writing containing information relating to the conduct of the public's business prepared, owned, used, or retained in the regular course of business by LACMTA, regardless of physical form or characteristics.

**Retention Period** – the period of time records must be maintained by the LACMTA because they are needed for operational, legal, fiscal, historical, or other purposes.

**Records Disposal** – the transfer of records, especially inactive records, to their final state, either disposal or transfer to an archive.

**Record Files** – all communications related to public business regardless of physical form or characteristics, including any writing, picture, sound or symbol, whether paper, magnetic or other media.

**Record Owner** – the department that is the subject matter expert on the content of the record and is responsible for the lifecycle management of the record.

**Sensitive Documents** – documents or data files solely intended for use by the authorized user. They include, but are not limited to, memoranda or reports regarding internal departmental matters; investigations; working papers; preliminary drafts; informal internal comments and suggestions; financial information related to budget preparation and review; and other types of similar information

**Significant Documents** – significant documents are: organizational, policy, and procedural directives, reports and recommendations and technical documentation related to programmatic activities; agendas and minutes of meetings sponsored by LACMTA; legal and contractual documents; and correspondence regarding programmatic activities which the Department Head determines is worthy of preservation retained in the regular course of LACMTA business.



**Metro**

## GENERAL MANAGEMENT Records Management

(GEN 8)

Special Records – information either specifically exempted from public disclosure by statute, or subject to special care, handling and additional review as appropriate. Such records may be security sensitive, investigative, privileged, confidential, trade secret, recorded on video surveillance cameras, are internal negotiations, email, computer software, and/or necessary for disaster recovery.

Vital Records – any records that are essential to the functions of an organization during and after an emergency. They also include those records essential to the protection of the rights and interests of that organization and of the individuals for whose rights and interests it has responsibility.

Writing – any handwriting, typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored.

### 4.0 RESPONSIBILITIES

Board of Directors approves reductions to the Records Retention Schedule.

Chief Executive Officer administers the Records Management Policy, including the Records Retention Schedule, for the purpose of adding and defining new document categories and extending the terms of retention for categories and documents.

County Counsel reviews requests for the release of Special Record Category records and responds to legally served subpoenas.

Departments are responsible for organizing and managing their record files and developing internal desk procedures that are accordance with the standards of the Records Management Program.

Information & Technology Services (ITS) maintains electronic records stored on hard disk drives (HDD) devices according to the approved Retention Schedule.

Records Coordinator serves as the point of contact for the Records Management Center and a department source for employee assistance; also responsible for assisting in the management of department records and compliance with the Records Management Program.



## GENERAL MANAGEMENT Records Management

(GEN 8)

Records Management Center (RMC) administers the Records Management Program, including maintenance, review and update of the Retention Schedule; maintenance and quality control of repository of LACMTA documents; coordination of the transfer of records to, and retrieval from, inactive storage; and the destruction of records in accordance with the retention schedule. Audits LACMTA departments on records management development of records procedures.

### 5.0 FLOW CHART

Not Applicable

### 6.0 REFERENCES

Information Security (IT 1) Policy  
Public Document Disclosure (Gen 12) Policy  
California Public Records Act. Government Code Sec. 6250 et al.  
Internationals Standards Organization, Records Management Standards, ISO 15489  
U.S. Department of Defense 5015.02-STD Electronic Records Management Standards  
49 CFR 1520.5 (a) Security Sensitive Information

### 7.0 ATTACHMENTS

1. Retention Schedule
2. Direct Destruction of Inactive Records Form
3. Review for Destruction of Records Form
4. Records Management Center Transmittal Form

### 8.0 PROCEDURE HISTORY

- |          |   |
|----------|---|
| 3/23/93  | Former LACTC and former SCRTD interim procedures Board-adopted.   |
| 7/25/99  | Revised for the MTA.  |
| 11/25/02 | Revised to define and streamline process.   |
| 07/22/10 | Revised Records Management Program procedures based on audit recommendations. New Special Records Categories added to identify specific types of records. Definitions and Responsibilities updated. Revised Records Retention Schedule added. |

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>ACC1000 Accounts Payable</b>	ACCTS PAYABLE VOUCHERS/INVOICES (Not Grant-related) Records related to payment of financial obligations. Includes vouchers, invoices, and statements.	<b>ACC1100</b>	UCP	NA	ACCOUNTING	6	Destroy paper after 6 mo. & retain electronic file 6 yrs. V	
<b>ACC1000 Accounts Payable</b>	GRANT-RELATED ACCOUNTS PAYABLE RECORDS Records related to payment of financial obligations that are funded by a grant. Includes vouchers, invoices, and statements.	<b>ACC1110</b>	UCP+ .5	NA	ACCOUNTING	LOG+3	Destroy paper after 6 mo. & retain electronic file LOG + 3	
<b>ACC1000 Accounts Payable</b>	NON-SEGREGATED PAYABLE RECORDS Payable records not segregated as grant or non-grant. (1992-1998)	<b>ACC1120</b>	2	30	ACCOUNTING	32	GR	
<b>ACC1000 Accounts Payable</b>	POTENTIALLY GRANT-RELATED ELECTRONIC ACCOUNTING RECORDS Records related to payment of financial obligation that have been electronically scanned.	<b>ACC1130</b>	30	NA	ACCOUNTING	30	Destroy paper after 6 mo. & retain electronic file for 30 years	
<b>ACC2000 Accounts Receivable</b>	ACCOUNTS RECEIVABLE RECORDS (GENERAL) Accounts Receivable with records not fitting into any sub-category.	<b>ACC2100</b>	2	2	ACCOUNTING	4		
<b>ACC2000 Accounts Receivable</b>	CASH RECEIPT RECORDS Records documenting the receipt of cash.	<b>ACC2200</b>	2	4	ACCOUNTING	6		
<b>ACC2000 Accounts Receivable</b>	PASS SELLERS RECORDS Records pertaining to the sales of fare media. Includes correspondence with sellers.	<b>ACC2300</b>	2	2	COMMUNICATIONS	4		
<b>ACC2000 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	TREASURY/COMMUNICATIONS	6		
<b>ACC2000 Accounts Receivable</b>	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.	<b>ACC2500</b>	4	NA	CUSTOMER PRO. & SERVICE & METRO COMMUTE SERVICES	4	Destroy paper after 90 days & retain electronic file for 4 years or loss of eligibility	



LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>ACC3000</b> <b>Ledgers</b>	<b>ACCOUNTING JOURNALS/LEDGERS</b> Records used to transfer charges between accounts and for summarizing account information.	<b>ACC3100</b>	2	8	ACCOUNTING	10		
<b>ACC4000</b> <b>Capital Accounting</b>	<b>EQUIPMENT PURCHASE &amp; SALES RECORDS (Not grant-related)</b> 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>ACC4100</b>	ACT	3	ACCOUNTING	ACT+03		
<b>ACC4000</b> <b>Capital Accounting</b>	<b>GRANT-RELATED EQUIPMENT PURCHASE &amp; SALES</b> Records documenting the procurement of property other than real-estate that is grant-related.	<b>ACC4110</b>	ACT	LOG+3	ACCOUNTING	LOG+3	Retain 3 years after final payment	
<b>ACC4000</b> <b>Capital Accounting</b>	<b>VEHICLE DMV REGISTRATION CERTIFICATE</b> Records documenting ownership or revenue and non-revenue vehicles.	<b>ACC4210</b>	ACT	NA	OFFICE OF BOARD SECRETARY	ACT		
<b>ACC4000</b> <b>Capital Accounting</b>	<b>VEHICLE ACQUISITION RECORDS</b> Documenting the purchase and disposition of each revenue and non-revenue vehicle.	<b>ACC4220</b>	LOV	2	OPERATIONS VEHICLE TECHNOLOGY, NON-REVENUE VEHICLES	LOV+2		
<b>ACC4000</b> <b>Capital Accounting</b>	<b>REAL-ESTATE ACQUISITION/APPRaisal/SURPLUS FILES</b> Records pertaining to the MTA's acquisition, appraisal, and surplus of property for right of way facilities, etc.	<b>ACC4300</b>	ACT+01	10	REAL ESTATE	ACT+11		
<b>ACC4000</b> <b>Capital Accounting</b>	<b>RELOCATION FILES</b> Pertaining to businesses that have been relocated	<b>ACC4310</b>	ACT+01	10	REAL ESTATE	ACT+11		
<b>ACC4000</b> <b>Capital Accounting</b>	<b>LEASE FILES (INCLUDES PROPERTY MGMT)</b> Records pertaining to the MTA's management of property it purchased for potential future right of way or facilities locations.	<b>ACC4320</b>	ACT+01	9	REAL ESTATE	ACT+10		

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>ACC4000</b> Capital Accounting	<b>ELECTRONIC LEASE FILES</b> Electronic lease files of records pertaining to the MTA's management of property it purchased for potential future right of way or facilities locations.	<b>ACC4325</b>	ACT+10	NA	REAL ESTATE	ACT+10	EL	
<b>ACC4000</b> Capital Accounting	<b>DEEDS</b> Original deeds for MTA property	<b>ACC4330</b>	IND	NA	REAL ESTATE	IND		
<b>ACC4000</b> Capital Accounting	<b>JOINT DEVELOPMENT PROJECT FILES</b> Records pertaining to the MTA's partnering with other organizations to develop property near its stations or other transportation elements.	<b>ACC4340</b>	ACT+01	UCP	COUNTYWIDE PLANNING & DEV.	IND		
<b>ACC4000</b> Capital Accounting	<b>UNION STATION GATEWAY RECORDS</b> Records pertaining to the acquisition and development of the USG property and building.	<b>ACC4350</b>	ACT+03	UCP+2	GENERAL SERVICES	IND	PA	SS
<b>ACC4000</b> Capital Accounting	<b>UNION STATION ARCHIVAL RECORDS</b> Summary and detailed records reports, plans schedules, photographs, drawings, contracts, agreements, and older personnel files, from 1937 - 2011.	<b>ACC4360</b>	ACT	IND	GENERAL SERVICES	IND	PA	
<b>ACC4000</b> Capital Accounting	<b>UNION STATION ADMINISTRATIVE, DEVELOPMENT, &amp; FINANCIAL RECORDS</b> Significant correspondence, project, and development records pertaining to the Union Station building and property. Records also include: Purchase, Ownership, and Planning Activities.	<b>ACC4370</b>	ACT + 3	IND	GENERAL SERVICES	IND	PA	
<b>ADM1000</b> General Administration Records	<b>GENERAL ADMINISTRATIVE REQUEST FORMS</b> Forms used to request services and track its completion.	<b>ADM1001</b>	3	NA	MULTIPLE	3		
<b>ADM1000</b> General Administration Records	<b>DEPARTMENTAL PROCUREMENT FILE</b> Department copies of documents (including requisitions, purchase orders, and invoices) used for departmental procurement, tracking, and administration of services and goods.	<b>ADM1100</b>	3	NA	MULTIPLE	3		

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>ADM1000 General Administration Records</b>	DEPARTMENTAL BUDGET PREPARATION RECORDS Records used by departments in developing, justifying, and tracking a cost center's budget.	<b>ADM1200</b>	3	NA	MULTIPLE	3		
<b>ADM1000 General Administration Records</b>	GENERAL DEPARTMENTAL RECORDS: CORRESPONDENCE Includes copies of department correspondence and other general administrative documents. May be organized by date, subject, or correspondent (Significant correspondence is captured electronically in ADM1700).	<b>ADM1310</b>	3	NA	MULTIPLE	3		
<b>ADM1000 General Administration Records</b>	GENERAL DEPARTMENTAL RECORDS: LOGS Records used in tracking activities and events.	<b>ADM1320</b>	3	NA	MULTIPLE	3		
<b>ADM1000 General Administration Records</b>	GENERAL DEPARTMENTAL RECORDS: SCHEDULES Records documenting the planned and actual achievement of departmental goals.	<b>ADM1330</b>	3	NA	MULTIPLE	3		
<b>ADM1000 General Administration Records</b>	WORKING PAPERS & PAPER DRAFTS - 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.	<b>ADM1400</b>	ACT	NA	MULTIPLE	ACT		
<b>ADM1000 General Administration Records</b>	SUBJECT AND REFERENCE MATERIALS Any materials maintained for informational purposes only, and not containing official records pertaining to significant MTA activities.	<b>ADM1500</b>	ACT	NA	MULTIPLE	ACT		
<b>ADM1000 General Administration Records</b>	ADMINISTRATIVE PROJECT FILES Files documenting departmental administrative projects.	<b>ADM1600</b>	ACT+1	2	MULTIPLE	ACT+3		
<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>	0.5	NA	RECORDS MANAGEMENT	IND	EL	

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>ADM1000</b> <b>General Administration Records</b>	<b>PUBLISHED REPORTS (Significant)</b> All documents reporting on significant MTA activities (i.e, those with permanent historical or evidentiary value).	<b>ADM1800</b>	ACT	IND	MULTIPLE	IND	EL	
<b>ADM1000</b> <b>General Administration Records</b>	<b>PD/EMC/MOS-1 Electronic Records</b> Imaged construction records related to Parsons Dillingham, Engineering Management Consultant and Minimum Operation Segment construction projects.	<b>ADM1810</b>	ACT	IND	RECORDS MANAGEMENT	IND	EL	
<b>ADM1000</b> <b>General Administration Records</b>	<b>LIBRARY ARCHIVAL DOCUMENTS</b> Records that possess, archival value, that pertain to the MTA's history, and are maintained in the MTA's Library.	<b>ADM1900</b>	IND	NA	LIBRARY	IND	EL	
<b>ADM2000</b> <b>Equipment, Property Inventories, &amp; Logs</b>	<b>PROPERTY MANAGEMENT: INVENTORY</b> Records related to the tracking of moveable agency property. Includes records related to vehicle equipment, tools, materials, and supplies owned, rented, or leased.	<b>ADM2110</b>	3	NA	MULTIPLE	3		
<b>ADM2000</b> <b>Equipment, Property Inventories, &amp; Logs</b>	<b>PROPERTY MANAGEMENT: SECURITY SENSITIVE INVENTORY</b> Inventories of equipment that should not be disclosed for security reasons.	<b>ADM2120</b>	3	NA	MULTIPLE	3		SS
<b>ADM2000</b> <b>Equipment, Property Inventories, &amp; Logs</b>	<b>PROPERTY MANAGEMENT: MAINTENANCE</b> Records related to the maintenance of moveable agency property.	<b>ADM2130</b>	3	NA	MULTIPLE	3		
<b>ADM2000</b> <b>Equipment, Property Inventories, &amp; Logs</b>	<b>PROPERTY MANAGEMENT: SECURITY SENSITIVE MAINTENANCE</b> Records related to the maintenance of moveable property that for security reasons should not be disclosed.	<b>ADM2210</b>	3	NA	MULTIPLE	3		SS

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>ADM3000 Policies &amp; Procedures</b>	MTA POLICIES AND PROCEDURES Authority-wide records documenting approved procedures for performing activities to ensure uniformity and compliance with agency and legal requirements.	<b>ADM3100</b>	US	NA	RECORDS MANAGEMENT	IND		
<b>ADM3000 Policies &amp; Procedures</b>	DEPARTMENTAL POLICIES AND PROCEDURES Records documenting approved procedures for performing activities pertaining to individual departments.	<b>ADM3200</b>	US	UCP	MULTIPLE	IND		
<b>ADM6000 Computer Related Administrative Records</b>	E-MAIL MESSAGES ON SERVERS E-mail messages maintained on ITS servers.	<b>ADM6100</b>	01 MO	NA	INFORMATION TECHNOLOGY	01 MO	EL	
<b>ADM6000 Computer Related Administrative Records</b>	E-MAIL SYSTEM BACK-UPS E-mail messages maintained on back-up tapes.	<b>ADM6110</b>	01 MO	NA	INFORMATION TECHNOLOGY	01 MO	EL	DR
<b>ADM6000 Computer Related Administrative Records</b>	INTERNET DOCUMENTS Electronic documents maintained on the MTA's public internet web sites.	<b>ADM6120</b>	ACT	NA	MULTIPLE	ACT	EL	
<b>ADM6000 Computer Related Administrative Records</b>	INTRANET DOCUMENTS Electronic documents maintained on the MTA's internal intranet web sites, sharepoint collaboration sites, shared drives, and internet based applicatos.	<b>ADM6130</b>	ACT	NA	MULTIPLE	ACT	EL	SS, I, N, AV, C
<b>ADM6000 Computer Related Administrative Records</b>	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>ADM6135</b>	IND	NA	PUBLIC RELATIONS	IND	EL	

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>ADM6000</b> <b>Computer Related Administrative Records</b>	VOICE MAIL MESSAGES MTA Voice Mail System (Call Pilot) are messages that are deleted permanently as soon as recipient deletes them or within ten days after the recipient reads them even if recipient does not delete them.	<b>ADM6140</b>	ACT	NA	INFORMATION TECHNOLOGY SERVICES	ACT	EL	
<b>ADM6000</b> <b>Computer Related Administrative Records</b>	CALL DETAIL RECORDS Details of all calls to and from MTA phones through the PBX.	<b>ADM6150</b>	1	NA	INFORMATION TECHNOLOGY SERVICES	1		
<b>ADM6000</b> <b>Computer Related Administrative Records</b>	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.	<b>ADM6200</b>	UV	NA	MULTIPLE	UV		
<b>ADM6000</b> <b>Computer Related Administrative Records</b>	HISTORICAL DATA FILES Computer records with enduring significance to MTA activities (I.E., Permanent, evidentiary, and/or historical value.	<b>ADM6310</b>	IND	NA	MULTIPLE	IND	EL	
<b>ADM6000</b> <b>Computer Related Administrative Records</b>	PC WORKING FILES Documents stored in each staff member's "My Documents" folder.	<b>ADM6320</b>	ACT + 3	NA	MULTIPLE	ACT + 3	EL	
<b>ADM7000</b> <b>Security</b>	SECURITY RECORDS Records related to protecting employees, equipment, buildings and information. Includes security clearances, pass card lists, and password lists.	<b>ADM7100</b>	3	NA	TRANSIT SECURITY	3		SS
<b>ADM8000</b> <b>Administrative Audit</b>	INTERNAL and EXTERNAL AUDIT REPORTS - IMAGED Formal documents detailing the findings and recommendations of an audit.	<b>ADM8100</b>	UCP	6 MONTHS	MANAGEMENT AUDIT SERVICES	IND	Destroy paper after 6 months, EL	
<b>ADM8000</b> <b>Administrative Audit</b>	INTERNAL AUDIT WORKING PAPERS Imaged collection of documents accumulated during an audit that support the conclusions of the audit report.	<b>ADM8110</b>	3	US	MANAGEMENT AUDIT SERVICES	US		

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>ADM8000</b> <b>Administrative Audit</b>	INVESTIGATION FILES and REPORTS (INSPECTOR GENERAL) Records documenting investigation by the OIG.	<b>ADM8200</b>	ACT+2	IND	OFFICE OF INSPECTOR GENERAL	IND		C, I
<b>CON1000</b> <b>Vendor Contractual Records</b>	CONTRACT ADMINISTRATOR'S FILE File maintained by the contract administrator containing pre-award records (including unsuccessful proposals) and post award records pertaining to an MTA vendor contract including the RFP or IFB with all amendments; executed contract; all amendments are changed orders to the contract; official contractual correspondence; documents pertaining to insurance, subcontractors, contract closeout.	<b>CON1100</b>	LOC+1	29	PROCUREMENT	LOC+3 0	V, GR	SS, C, N, TS
<b>CON1000</b> <b>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>	LOC+1	29	PROCUREMENT	LOC+3 0	GR	
<b>CON1000</b> <b>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. (Does not include bus warranty OPM5300).	<b>CON1140</b>	ACT	UCP	MULTIPLE	IND		
<b>CON1000</b> <b>Vendor Contractual Records</b>	EXECUTED CONTRACTUAL DOCUMENTS CAPTURED ON MICROFILM OR ELECTRONIC MEDIA Executed contracts, and amendments imaged by RMC on permanent media.	<b>CON1200</b>	UCP	NA	RECORDS MANAGEMENT	IND	EL, V	
<b>CON1000</b> <b>Vendor Contractual Records</b>	PURCHASE ORDERS Imaged authorizations for purchase of goods or expenditure of funds issued by Procurement.	<b>CON1300</b>	LOC+1	29	PROCUREMENT	LOC+3 0	EL, GR	
<b>CON1000</b> <b>Vendor Contractual Records</b>	GRANT-RELATED PURCHASE ORDERS Executed purchase orders related to grant-funded projects.	<b>CON1310</b>	3	LOG+3	PROCUREMENT	LOG+3	Retain 3 years after last payment	

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
CON1000 Vendor Contractual Records	PACKING SLIPS Purchase receipt for items procured by MTA from outside vendors.	CON1320	ACT+1	3	PROCUREMENT	ACT+4		
CON1000 Vendor Contractual Records	CONTRACTOR PRE-QUALIFICATION FILE Imaged submittals and evaluations of documents qualifying a firm to bid on an MTA procurement.	CON1400	2	3	PROCUREMENT	5	EL	C, TS
CON1000 Vendor Contractual Records	LABOR COMPLIANCE FILES Records related to the contractors' compliance with all terms of the contract including, fair wage and equal opportunity requirements.	CON1500	LOC+1	29	LABOR COMPLIANCE	LOC+30	GR	
CON1000 Vendor Contractual Records	GRANT-RELATED LABOR COMPLIANCE FILES Records related to the contractors' compliance with all terms of the contract including grant-related, fair wage and equal opportunity requirements.	CON1510	LOC+1	LOG+3	LABOR COMPLIANCE	LOG+3	Retain 3 yrs. After last payment	
CON1000 Vendor Contractual Records	CONTRACT COMPLIANCE FILES Contract Compliance files contain contract documents including Goal Evaluation Form, BIS/Proposal Evaluation Summary & Calculations, Conformed Documents, Board Report, and other contract related correspondence.	CON1530	LOC+3	27	LABOR COMPLIANCE	LOC+30	GR	
CON1000 Vendor Contractual Records	ESTIMATING Back-up and supporting materials of estimated cost of contract.	CON1600	UC	15	ESTIMATING	UC+15	EL. Destroy paper files after 6 months & retain electronic files upon project completion plus 15 years	C, N
CON1000 Vendor Contractual Records	CONTRACT ACCOUNTING FILES Contract Accounting payment backup records.	CON1700	2	28	ACCOUNTING	30	GR	
CON2000 Agreements	AGREEMENTS Memoranda of understanding and other agreements with other organizations, except 3rd party and vendor contracts.	CON2100	LOC+1	NA	PROCUREMENT	IND	V	



LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>CON2000 Agreements</b>	MASTER COOPERATIVE AGREEMENTS (Not Grant-related) Agreements with other organizations with interests & projects overlapping those of the MTA.	<b>CON2200</b>	LOC+1	3	PROCUREMENT	LOC+4		
<b>CON2000 Agreements</b>	GRANT-RELATED COOPERATIVE AGREEMENTS Agreements with other organizations with interests & projects overlapping those of the MTA.	<b>CON2210</b>	LOG+1	3	PROCUREMENT	LOG+4	Retain 3 yrs. After final payment	
<b>ENG1000 Design Engineering Documents</b>	DESIGN REVIEW DOCUMENTS Records documenting the various formal reviews of engineering project designs.	<b>ENG1100</b>	UC+03	12	CONSTRUCTION, OPERATIONS	UC+15		SS
<b>ENG1000 Design Engineering Documents</b>	DESIGN SUBJECT FILES Records organized by approved file codes reflecting the design of the system or facility.	<b>ENG1200</b>	UC+03	12	CONSTRUCTION, OPERATIONS	UC+15	Destroy paper 6 months after captured into Project Quest.	SS
<b>ENG1000 Design Engineering Documents</b>	CADD DRAWINGS Design drawings executed and maintained in Computer Assisted Drawing and Design software for MTA. May be updated throughout the project as source for other drawings.	<b>ENG1300</b>	ACT	LOS+10	CONSTRUCTION, OPERATIONS	LOS+10		SS
<b>ENG1000 Design Engineering Documents</b>	CANCELLED PROJECTS Engineering records related to cancelled construction projects.	<b>ENG1400</b>	ACT	10	CONSTRUCTION, OPERATIONS	ACT+10		SS
<b>ENG2000 Construction Implementation Engineering Docs</b>	CONSTRUCTION DIG ALERTS Notifications of excavations in areas containing utility lines.	<b>ENG2001</b>	1	2	CONSTRUCTION, OPERATIONS	3		
<b>ENG2000 Construction Implementation Engineering Docs</b>	DRAWINGS, CONFORMED PROJECT Mylar or CADD drawings developed for the conformed contract.	<b>ENG2110</b>	ACT	LOS+10	CONSTRUCTION, OPERATIONS	LOS+10		SS

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>ENG2000 Construction Implementation Engineering Docs</b>	<b>DRAWINGS, AS-BUILT</b> Drawings marked up by contractor to indicate actual construction.	<b>ENG2120</b>	ACT	UCP	CONSTRUCTION, OPERATIONS	IND	Destroy paper 6 months after captured into Project Quest.	SS
<b>ENG2000 Construction Implementation Engineering Docs</b>	<b>CALCULATIONS</b> Engineering calculations for MTA systems and facilities.	<b>ENG2125</b>	ACT	IND	CONSTRUCTION, OPERATIONS	IND	Destroy paper 6 months after captured into Project Quest.	SS
<b>ENG2000 Construction Implementation Engineering Docs</b>	<b>DRAWINGS, CONSTRUCTION SHOP</b> Drawings detailed items or equipment made in-house or purchased to perform necessary functions.	<b>ENG2130</b>	LOS+10	NA	CONSTRUCTION, OPERATIONS	IND	Destroy paper 6 months after captured into Project Quest.	SS
<b>ENG2000 Construction Implementation Engineering Docs</b>	<b>DRAWINGS, PROJECT RECORD</b> Redone drawings based upon as-built mark-ups to reflect actually completed projects	<b>ENG2140</b>	LOS+10	NA	CONSTRUCTION, OPERATIONS	IND	Destroy paper 6 months after captured into Project Quest.	SS
<b>ENG2000 Construction Implementation Engineering Docs</b>	<b>FIRE/SAFETY RECORDS</b> System safety records that include as-built drawings, specifications, and drawings per code at the time of construction.	<b>ENG2150</b>	UC	15	SYSTEM SAFETY	UC+15		SS
<b>ENG2000 Construction Implementation Engineering Docs</b>	<b>PHOTOS, PRECONSTRUCTION</b> Photos & videos taken by insurance consultant and maintained by Risk Management to protect against illegitimate claims of damage.	<b>ENG2210</b>	UC	15	CONSTRUCTION, OPERATIONS	UC+15		

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
ENG2000 Construction Implementation Engineering Docs	PHOTOS, PROJECT PROGRESS Photos taken during construction of construction site and work.	ENG2220	UC	15	CONSTRUCTION, OPERATIONS	UC+15	Destroy paper 6 months after captured into Project Quest.	SS
ENG2000 Construction Implementation Engineering Docs	PROJECT RECORD SPECIFICATIONS Reprinted contract technical specification that incorporate changes annotated onto as-built specifications.	ENG2300	LOS+10	NA	CONSTRUCTION, OPERATIONS	IND	Destroy paper 6 months after captured into Project Quest.	SS
ENG2000 Construction Implementation Engineering Docs	OPERATION & MAINTENANCE DATA Manuals and other material related to operating and maintaining the system constructed.	ENG2400	LOS+10	NA	CONSTRUCTION, OPERATIONS	IND	Destroy paper 6 months after captured into Project Quest.	SS
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	15	CONSTRUCTION, OPERATIONS	UC+15	Destroy paper 6 months after captured into Project Quest.	SS
ENG2000 Construction Implementation Engineering Docs	SUBMITTALS Work-products submitted by contractors to satisfy terms of contract.	ENG2600	ACT+01	UCP	PROCUREMENT	IND	Destroy paper 6 months after captured into Project Quest.	SS
ENG2000 Construction Implementation Engineering Docs	QUALITY MANAGEMENT FILES Quality Management audits and surveillance files of the MTA's construction projects.	ENG2700	ACT+03	12	QUALITY ASSURANCE	ACT+15		SS

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>ENV1000</b> Environmental Records	<b>ENVIRONMENTAL TESTING/EXPOSURE/MONITORING</b> Records related to the testing, monitoring, and analysis of the environment for hazardous substances.	<b>ENV1100</b>	ACT+01	29	CORPORATE SAFETY	IND		
<b>ENV1000</b> Environmental Records	<b>ENVIRONMENTAL PROJECT FILES</b> Environmental reports and related documents, including final reports, maps specifications and similar documents pertaining to environmental issues associated with MTA construction, functions, operation, and maintenance.	<b>ENV1200</b>	ACT	15	ENVIRONMENTAL	ACT+15		
<b>ENV2000</b> Hazardous Material Records	<b>HAZARDOUS MTA CHEM INV FORMS (HCS-88)</b> Records explaining the dangers associated with different chemicals found in the workplace.	<b>ENV2100</b>	ACT	IND	CORPORATE SAFETY	IND		
<b>ENV3000</b> Hazardous Waste Records	<b>HAZARDOUS WASTE MANIFEST FORMS</b> Records detailing the disposition of environmentally dangerous materials.	<b>ENV3100</b>	ACT+01	10	MULTIPLE	IND	Destroy paper 10 years after captured.	
<b>ENV3000</b> Hazardous Waste Records	<b>UNDERGROUND STORAGE TANK O&amp;M</b> Records documenting the maintenance and disposition of waste storage tanks.	<b>ENV3200</b>	ACT+01	10	MULTIPLE	IND	Destroy paper 10 years after captured.	
<b>ENV4000</b> Environmental Impact	<b>ENVIRONMENTAL IMPACT REPORT</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: Drafts, Final Reports, Supplemental Reports, Impact Statements, and Community Comments.	<b>ENV4100</b>	ACT	IND	MULTIPLE	IND		
<b>FIN1000</b> Finance Transactions	<b>FINANCE GENERAL</b> Finance records not belonging in more specialized categories.	<b>FIN1100</b>	3	NA	FINANCE	3		

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>FIN1000 Finance Transactions</b>	<b>BANKING (DEPOSITS/CANCELLED CHECKS, ETC.)</b> Records related to banking activities.	<b>FIN1200</b>	2	4	TREASURY	6		
<b>FIN1000 Finance Transactions</b>	<b>WIRE TRANSFER BOOKS</b> Records documenting electronic transfer of MTA funds.	<b>FIN1300</b>	2	IND	TREASURY	IND	V	
<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	TREASURY	ACT	Destroy when no longer needed.	C, N, P
<b>FIN2000 Investment Records</b>	<b>PENSION FUND INVESTMENT RECORDS</b> Records related to passive investments for Pension Fund.	<b>FIN2100</b>	ACT+02	UCP	TREASURY	IND	V	
<b>FIN2000 Investment Records</b>	<b>BOND/DEBENTURE/INVESTMENT RECORDS</b> Records related to passive investments in stocks, bonds, and mutual funds to track and manage investments.	<b>FIN2200</b>	ACT+02	UCP	TREASURY	IND	V	
<b>FIN3000 Credit Records</b>	<b>LOAN/CREDIT RECORDS</b> Credit statements and lending files.	<b>FIN3100</b>	ACT+03	IND	ACCOUNTING	IND		
<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 uncollectable accounts.	<b>FIN3200</b>	ACT+03	3	ACCOUNTING	ACT+06		
<b>FIN4000 Credit Records</b>	<b>FINANCIAL STATEMENTS (ANNUAL)</b> Financial statements, reports, and background information submitted to government agencies, stakeholders, etc.	<b>FIN4100</b>	10	UCP	ACCOUNTING	IND		
<b>FIN5000 Credit Records</b>	<b>FINANCIAL AUDITS (EXTERNAL)</b> Audits and work papers related to financial statements.	<b>FIN5100</b>	10	UCP	ACCOUNTING	IND		
<b>FIN6000 Grants Management</b>	<b>GRANT MANAGEMENT FILES</b> Programmatic, statistical, and supporting documents relevant to program regulations of state and federal grant agreements, including audit reports.	<b>FIN6100</b>	ACT+01	2	PROGRAM MANAGEMENT	ACT+03		

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>FIN9000 OMB Records</b>	<b>BUDGET (ANNUAL)</b> Approved annual budget for each fiscal year.	<b>FIN9100</b>	ACT+01	UCP+10	OFFICE OF MANAGEMENT & BUDGET	IND	PA	
<b>FIN9000 OMB Records</b>	<b>BUDGET (ANNUAL) SUPPORT DOCUMENTS</b> Records related to budget preparation, including department budget submittals.	<b>FIN9110</b>	ACT+02	4	OFFICE OF MANAGEMENT & BUDGET	ACT+06		
<b>FIN9000 OMB Records</b>	<b>BUSINESS PLANNING/FORECASTING</b> Records related to future planning and forecasting for internal processes. Includes annual plans, strategic plans, facility planning. Does not include transportation planning.	<b>FIN9200</b>	ACT+2	UCP+5	OFFICE OF MANAGEMENT & BUDGET	IND	PA	
<b>HUM1000 Human Resources</b>	<b>HUMAN RESOURCES GENERAL</b> HR records not classified in other categories.	<b>HUM1100</b>	ACT+3	NA	HUMAN RESOURCES	ACT+3		C
<b>HUM2000 Benefits</b>	<b>BENEFITS/INSURANCE PLANS, CONTRIBUTIONS</b> Records related to agency-sponsored benefit plans. Includes insurance, pension, disability, medical, and survivor program; vesting; vacation; educational assistance; savings plans; and correspondence explaining benefits plans.	<b>HUM2100</b>	ACT+03	3	BENEFITS	ACT+06	V	
<b>HUM2000 Benefits</b>	<b>PENSION SUMMARY INFORMATION</b> Records related to cumulative years of service, total pension contributions, accrued benefits, pension plans vendor payment records, etc.	<b>HUM2200</b>	ACT	6	BENEFITS	ACT+06		C
<b>HUM2000 Benefits</b>	<b>BENEFITS CONTRIBUTIONS/DISTRIBUTIONS</b> Records detailing actual monies contributed and disbursed.	<b>HUM2300</b>	ACT	6	BENEFITS	ACT+6		C
<b>HUM2000 Benefits</b>	<b>PENSION PLAN RPT (IRS FORM 5500)</b> Records related to pension plans, pension valuations, actuarial reports, benefits statements, performance evaluation reports, etc.	<b>HUM2400</b>	3	3	BENEFITS	6		C
<b>HUM3000 Individual Employee Files</b>	<b>HR EMPLOYEE PERSONNEL FILE (NON-MED)</b> Summary and detailed records for individual employees related to hiring, promotion, performance, transfer, termination, etc. maintained by HR.	<b>HUM3100</b>	ACT	5	HUMAN RESOURCES	ACT+05		C

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs. to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>HUM3000 Individual Employee Files</b>	DEPARTMENTAL EMPLOYEE PERSONNEL FILE (NON-MED) Summary and detailed records for individual employees maintained by the employee's department.	<b>HUM3110</b>	ACT	NA	MULTIPLE	ACT	Send to HR when employee separates from MTA. Exception: Active Bus/Train Operators files can be sent to RMC for convenience storage after 3-yrs.	C
<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>	ACT+03	NA	HUMAN RESOURCES	ACT+03	Keep in department until employee separates from MTA plus 3-yrs.	C
<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.	<b>HUM4100</b>	ACT	5	HUMAN RESOURCES	ACT+5		C
<b>HUM4000 Employee Health &amp; Safety Records</b>	DEPT. EMPLOYEE MEDICAL RECORDS – GENERAL Employee medical records related to medical treatment, examinations, and history in employee's department	<b>HUM4110</b>	ACT	NA	MULTIPLE, HUMAN RESOURCES	ACT	Send to HR when employee separates from MTA	C
<b>HUM4000 Employee Health &amp; Safety Records</b>	EMPLOYEE MEDICAL RECORDS-HAZARD EXPOS Records pertaining to exposures to hazardous materials.	<b>HUM4200</b>	ACT	UCP	CORPORATE SAFETY	IND	If injury occurred, documents may be required for litigation or claim.	C
<b>HUM4000 Employee Health &amp; Safety Records</b>	INJURY/ILLNESS PROGRAM FILES Records detailing MTA programs promoting employee health and safety.	<b>HUM4300</b>	ACT+2	3	CORPORATE SAFETY	ACT+5		

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>HUM4000</b> Employee Health & Safety Records	EMPLOYEE ACCIDENT/INJURY RECORDS Records related to on-the-job injury, including Safety-5.	<b>HUM4310</b>	ACT+02	NA	MULTIPLE	ACT+02		C
<b>HUM4000</b> Employee Health & Safety Records	OSHA 200 LOG AND SUMMARY (MONTHLY) Monthly report sent to OSHA each month detailing accidents.	<b>HUM4320</b>	6	NA	CORPORATE SAFETY	6		
<b>HUM4000</b> Employee Health & Safety Records	MATERIAL SAFETY DATA SHEETS Imaged MSDS sheet required by OSHA that details dangers & proper handling of dangerous substances maintained on electronic imaging system.	<b>HUM4410</b>	ACT	UCP	CORPORATE SAFETY	IND	EL	
<b>HUM4000</b> Employee Health & Safety Records	NOISE EXPOSURE/AUDIOMETRIC TESTING Records related to audiometric testing conducted for employees.	<b>HUM4420</b>	2	UCP	CORPORATE SAFETY	IND		
<b>HUM4000</b> Employee Health & Safety Records	WORKPLACE INSPECTION/TESTING Records related to inspection and testing of workplace for possible hazards.	<b>HUM4430</b>	3	NA	CORPORATE SAFETY	3		
<b>HUM4000</b> Employee Health & Safety Records	SAFETY AND EMERGENCY PLANS Plans for coping with disaster and emergency (e.g. fire and earthquake evacuation, etc.).	<b>HUM4500</b>	ACT	3	CORPORATE SAFETY/GENERAL SERVICES	ACT+3		S
<b>HUM4000</b> Employee Health & Safety Records	DRUG & ALCOHOL PROGRAM MIS REPORTS TO FTA Records relating to the drug and alcohol that MIS report to the FTA records included Contractor Monitoring Files.	<b>HUM4610</b>	2	8	HUMAN RESOURCES	10		



LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>HUM4000</b> Employee Health & Safety Records	<b>DRUG &amp; ALCOHOL POSITIVE TEST RESULTS</b> Records related to positive drug test results including completed follow-up files.	<b>HUM4620</b>	3	5	HUMAN RESOURCES	8		C
<b>HUM4000</b> Employee Health & Safety Records	<b>DRUG &amp; ALCOHOL PROGRAM RANDOM SELECTION FILES</b> Records related to random testing and files of selectees not tested and reason.	<b>HUM4630</b>	2	4	HUMAN RESOURCES	6		C
<b>HUM4000</b> Employee Health & Safety Records	<b>DRUG &amp; ALCOHOL POST-ACCIDENT NEGATIVE RESULTS</b> Records related to the Alcohol testing program, including copies of related reports.	<b>HUM4640</b>	1	2	HUMAN RESOURCES	3		C
<b>HUM4000</b> Employee Health & Safety Records	<b>DRUG &amp; ALCOHOL PRE-EMPLOYMENT/RTW NEGATIVE RESULTS</b> Records related to alcohol tests with negative results, including Non-DOT new hire negative tests.	<b>HUM4650</b>	2	NA	HUMAN RESOURCES	2		C
<b>HUM4000</b> Employee Health & Safety Records	<b>DRUG &amp; ALCOHOL RANDOM NEGATIVE RESULTS</b> Records showing proof of testing.	<b>HUM4660</b>	2	NA	HUMAN RESOURCES	2		C
<b>HUM5000</b> Training Development	<b>TRAINING/EMPLOYEE DEVELOPMENT FILES</b> Records related to the development and operation of agency-sponsored training programs and seminars. Includes educational assistance, management and supervisor development, job progression, course listings, schedules, requests and approvals. Also includes records related to certification for individual to perform tasks.	<b>HUM5100</b>	ACT	3	HUMAN RESOURCES	ACT+3	Not Grant-Related	
<b>HUM5000</b> Training Development	<b>ORGANIZATIONAL DEVELOPMENT &amp; TRAINING (OD&amp;T)</b> - Imaged records related to training and employees development records for Organizational Development & Training.	<b>HUM5101</b>	ACT	3	ORGANIZATIONAL DEVELOPMENT & TRAINING	ACT+3	EL	

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>HUM5000</b> Training Development	ELECTRONIC VERSION OF CLASS RECORDS Electronic version of the records relating to the development and operation of agency-sponsored training programs and seminars, including but not limited to course listings, schedules, requests and approvals, outlines and materials. Also includes records related to certification for individual to perform tasks.	<b>HUM5105</b>	ACT+6	NA	OPERATIONS MAINTENANCE INSTRUCTION, OPERATIONS CENTRAL INSTRUCTION, ORGANIZATIONAL DEVELOPMENT & TRAINING	ACT+6		
<b>HUM5000</b> Training Development	GRANT-RELATED TRAINING/EMPLOYEE DEVELOPMENT FILES Grant-funded training and employee development.	<b>HUM5110</b>	ACT	LOG+3	HUMAN RESOURCES	LOG+3	Retain 3 years after final payment	
<b>HUM5000</b> Training Development	CONFIDENTIAL TEAM BUILDING/STRATEGIC PLANNING Electronic records relating to the team building/strategic planning sessions for MTA departments, including: needs assessment questionnaires, interview responses, Executive Summaries, and supportive team building/strategic planning retreat documents.	<b>HUM5115</b>	3	NA	ORGANIZATIONAL DEVELOPMENT & TRAINING	3		C
<b>HUM5000</b> Training Development	VEHICLE TRANSIT TRAINING FILES Files documenting each operator's training and certification.	<b>HUM5200</b>	ACT	5	OPERATIONS DIVISIONS TRANSPORTATION	ACT+5		
<b>HUM5000</b> Training Development	DMV CERTIFICATE FILES Files reviewed by DMV to ensure operator training and readiness.	<b>HUM5210</b>	5	IND	OPERATIONS DIVISIONS TRANSPORTATION	IND		C
<b>HUM6000</b> Salary Administration	SALARY ADMINISTRATION GENERAL RECORDS Records related to the payment of salaries and wages that are not included under any other sub-category.	<b>HUM6100</b>	3	3	HUMAN RESOURCES	6		
<b>HUM6000</b> Salary Administration	TIMESHEETS AND ADJUSTMENTS (Not electronically Captured) Employee timesheets, payroll adjustments( ACCT-172), and leave balance records (ACCT-10) in a paper format. Include MMAS,TOTS and SCM.	<b>HUM6110</b>	3	27	PAYROLL, OPERATIONS DIVISIONS	30		

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
HUM6000 Salary Administration	TIMESHEETS AND ADJUSTMENTS (Electronically Captured) Employee timesheets, payroll adjustments, and leave balances captured on CD/R.	HUM6120	UCP	2	PAYROLL	30	EL. Destroy paper after 2-yr upon capture and retain image 30 years.	
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	PAYROLL	4	EL. Destroy paper after 2-yr upon capture and retain image 4 years	
HUM6000 Salary Administration	GARNISHMENT Records documenting court-ordered withholding from an employee's pay for a third party.	HUM6140	UCP	2	PAYROLL	30	EL. Destroy paper after 2-yr upon capture and retain image 30 years	
HUM6000 Salary Administration	BI-WEEKLY EMPLOYEE PAYROLL REPORTS ON COM Computer generated microfilm reports related to the payment of salaries and wages.	HUM6200	6	NA	PAYROLL	6		C
HUM6000 Salary Administration	W-2 FORMS ON COM Annual records of employee earnings given to the employee and to the government.	HUM6300	6	NA	PAYROLL	6		C
HUM6000 Salary Administration	W-4 FORMS Imaged records modifying the number of deductions an employee is claiming.	HUM6310	6	NA	HUMAN RESOURCES	6	EL. Destroy paper after 6 months, capture and retain image for 6 years	C
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	1	5	OPERATIONS DIVISIONS TRANSPORTATION	6	Also electronically stored in Toast/Hastus Resource Sys.	
HUM6000 Salary Administration	OPERATORS PERFORMANCE RECORD Individual employee records related to on the job performance. These records maybe included with HUM3100.	HUM6510	ACT	5	HUMAN RESOURCES	ACT+5		C
HUM6000 Salary Administration	WORK TIME ALTERATIONS Overtime slips-Operators schedule deviation time.	HUM6520	3	NA	OPERATIONS DIVISIONS MAINTENANCE	3		

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>HUM6000</b> Salary Administration	SCHEDULE CHECKERS ASSIGN Records related to employees daily assignments.	<b>HUM6600</b>	1	5	PLANNING	6		
<b>HUM7000</b> Employee Selection Files	EMPLOYEE SELECTION FILES Records related to all Metro Job postings/bulletens	<b>HUM7000</b>	1	9	HUMAN RESOURCES	10		C
<b>HUM7000</b> Employee Selection Files	BACKGROUND INVESTIGATION RECORDS Records pertaining to investigation of people that applied for employment with LACMTA.	<b>HUM7100</b>	3	7	HUMAN RESOURCES	IND		C, I
<b>HUM7000</b> Employee Selection Files	LEADER TESTING RECORDS Employee performance test results.	<b>HUM7110</b>	ACT+3	NA	CENTRAL INSTRUCTION MAINTENANCE	ACT+3		C
<b>HUM8000</b> Employment Standards and Compliance	TRIP REDUCTION PLAN (SCAQMD) Records documenting MTA's effort to reduce number of employee vehicle trips.	<b>HUM8100</b>	1	UCP	HUMAN RESOURCES	IND		
<b>HUM8000</b> Employment Standards and Compliance	HOME TO WORK SURVEY Surveys to determine how employees commute and thereby determine compliance with PLAN.	<b>HUM8110</b>	ACT	3	HUMAN RESOURCES	ACT+3		
<b>HUM8000</b> Employment Standards and Compliance	ADA FILES Records documenting compliance with Americans with Disabilities Act.	<b>HUM8200</b>	ACT	6	HUMAN RESOURCES	ACT+6		
<b>HUM8000</b> Employment Standards and Compliance	VIOLENT INCIDENT REPORTS Reports of violent employee behavior in the work place.	<b>HUM8300</b>	1	3	HUMAN RESOURCES	4		C, I

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>HUM8000</b> Employment Standards and Compliance	FAMILY CARE AND MEDICAL LEAVE (FCML) FILES Records documenting applications, and authorizations for FCML.	<b>HUM8400</b>	1	3	HUMAN RESOURCES	4		C
<b>LEG1000</b> Business Organization	CEO MAIL RECORDS Imaged records of communications addressed to the CEO	<b>LEG1010</b>	ACT	IND	EXECUTIVE OFFICE	IND	EL	
<b>LEG1000</b> Business Organization	BUSINESS ORGANIZATION GENERAL RECORDS Records related to the establishment of, and rules governing, the operation of the organization.	<b>LEG1100</b>	10	UCP	OFFICE OF BOARD SECRETARY	IND		
<b>LEG1000</b> Business Organization	BOARD AND FORMAL COMMITTEE RECORDS Records related to Board meetings. Includes all non-board meetings required by law, as well as all Board sub-committee meetings.	<b>LEG1200</b>	1	UCP	OFFICE OF BOARD SECRETARY	IND	V, PA	
<b>LEG1000</b> Business Organization	BOARD AND FORMAL COMMITTEE MEETING MEDIA Electronic audio and audio tapes of Board meetings.	<b>LEG1210</b>	1	IND	OFFICE OF BOARD SECRETARY	IND	Stored in RMC and Share Point	
<b>LEG1000</b> Business Organization	CONFIDENTIAL BOARD & COMMITTEE MEETING RECORDS Records of closed Board sessions involving eminent domain, personnel, and other confidential matters.	<b>LEG1220</b>	IND	NA	OFFICE OF BOARD SECRETARY	IND	Tape and hard copy stored in Board Sec. Office	C, P, N
<b>LEG1000</b> Business Organization	BOARD RESOLUTIONS AND ORDINANCES Formal legal determinations by the Board of Directors.	<b>LEG1300</b>	1	UCP	OFFICE OF BOARD SECRETARY	IND		
<b>LEG1000</b> Business Organization	INFORMAL MEETING AGENDAS/MINUTES Minutes of informal or unofficial committee meeting.	<b>LEG1400</b>	3	UCP	MULTIPLE	IND	PA	
<b>LEG1000</b> Business Organization	BOARD BOX ITEMS Informational items distributed by the Board Secretary to Board members.	<b>LEG1500</b>	03 MO	UCP	OFFICE OF BOARD SECRETARY	IND		
<b>LEG1000</b> Business Organization	INSURANCE (POLICIES/AMENDMENTS, ETC.) Records related to coverage affecting agency liability. Includes policies, amendments, riders, and proof of payment.	<b>LEG1600</b>	ACT+01	IND	RISK MANAGEMENT	IND	V	C, SS

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs. to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>LEG1000 Business Organization</b>	<b>CLAIM/LITIGATION CASE FILES</b> Records of claims and lawsuits against the MTA.	<b>LEG1700</b>	ACT	2	RISK MANAGEMENT, COUNTY COUNSEL	ACT+2		C, SS, P, I, N
<b>LEG1000 Business Organization</b>	<b>WORKERS COMP. CLAIMS</b> Workers compensation claims for job-related injuries.	<b>LEG1730</b>	ACT+01	IND	RISK MANAGEMENT	IND		C, SS, I
<b>LEG1000 Business Organization</b>	<b>EO COMPLAINT FILES</b> Formal complaints of violation of federal equal opportunity laws.	<b>LEG1740</b>	ACT+02	3	OFFICE OF CIVIL RIGHTS	ACT+05		C, SS, I
<b>LEG1000 Business Organization</b>	<b>GRIEVANCE FILES (MAJOR 2nd LEVEL CASES)</b> Records pertaining to the disposition of formal employee complaints against management	<b>LEG1750</b>	ACT+02	8	MULTIPLE	ACT+10		C, I
<b>LEG1000 Business Organization</b>	<b>TCU GRIEVANCE FILES (MAJOR 2nd LEVEL CASES)</b> Records pertaining to the TCU grievance records pertaining to the disposition of formal employee complaints against management	<b>LEG1755</b>	ACT+10	NA	LABOR/EMPLOYEE RELATIONS	ACT+10		C, SS, I
<b>LEG1000 Business Organization</b>	<b>LABOR/ARBITRATION FILES</b> Records of precedent-setting settlements and rulings.	<b>LEG1760</b>	ACT+02	8	LABOR/EMPLOYEE RELATIONS	IND		C, I, N, P
<b>LEG1000 Business Organization</b>	<b>GRIEVANCE FILE 2nd LEVEL (MINOR INFRACTIONS)</b> Records pertaining to the disposition of minor infractions of employee complaints.	<b>LEG1770</b>	3	NA	LABOR/EMPLOYEE RELATIONS	3		C, I
<b>LEG5000 Legal Compliance</b>	<b>LEGAL COMPLIANCE DOCS (FTA, EEOC, ETC.)</b> 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>	7	UCP	MULTIPLE	IND		
<b>LEG5000 Legal Compliance</b>	<b>FTA-FEDERAL TRANSPORTATION</b> FTA electronic system which collects information from the TOTS, Scheduling, and ATMS for reporting to the FTA.	<b>LEG5110</b>	10	NA	SERVICE PERFORMANCE & ANALYSIS	10		

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
LEG5000 Legal Compliance	TAX RETURNS Tax returns and supporting documents filed by the MTA.	LEG5200	10	NA	ACCOUNTING	10		
LEG5000 Legal Compliance	LICENSES/PERMITS Records, including licenses and permits, required to conduct business, collect fares, etc.	LEG5300	ACT	3	MULTIPLE	ACT+03		
LEG5000 Legal Compliance	COURT ORDER/AGENCY COMPLIANCE DOCS Records related to unique court orders issued to the MTA.	LEG5400	ACT	3	MULTIPLE	ACT+03		
LEG5000 Legal Compliance	ETHICS COMPLIANCE RECORDS Records pertaining to compliance with ethics requirements issued by the MTA and other government bodies.	LEG5500	2	5	ETHICS	7		
LEG5000 Legal Compliance	LOBBYIST REPORTS (QUARTERLY) Reports of lobbyist registration and activities produced by the Ethics office.	LEG5510	4	3	ETHICS	7		
LEG5000 Legal Compliance	ETHICS OPINIONS Evaluation of potential Code of Conduct violation documentation.	LEG5515	IND	NA	ETHICS	IND		
LEG5000 Legal Compliance	STATEMENT OF ECONOMIC INTERESTS Imaged forms detailing economic holdings of employees and Board members.	LEG5520	2	5	ETHICS	7	EL	
LEG5000 Legal Compliance	RECONSIDERATION OPINIONS Evaluation of a bidders and proposers good faith efforts documentation.	LEG5525	4	NA	ETHICS	4		
LEG5000 Legal Compliance	CONFLICT OF INTEREST REPORTS Reports produced by the Ethics Office detailing potential conflicts of interests.	LEG5530	4	3	ETHICS	7		
LEG5000 Legal Compliance	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.	LEG5535	3	2	ETHICS	5		

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
LEG5000 Legal Compliance	METRO PARKING CITATION HEARINGS Documents Maintained for record keeping purposes including copies of the original citation, photos, correspondence, notes taken at the hearing, copies of the findings from the 1st level review and the 2nd level hearing officials recommended finding.	LEG5540	3	NA	TRANSIT COURT	3		
LEG5000 Legal Compliance	DBE CERTIFICATION RECORDS – APPROVED File of businesses certified as disadvantaged. Records pertaining to MTA's attempt to provide economic opportunities to small and/or disadvantaged businesses.	LEG5610	ACT+02	1	DIVERSITY & ECONOMIC OPPORTUNITY	ACT+03		
LEG5000 Legal Compliance	DBE CERTIFICATION RECORDS – DENIED Records of applicants denied certification as DBE's.	LEG5620	2	1	DIVERSITY & ECONOMIC OPPORTUNITY	3		
LEG5000 Legal Compliance	COMMUNITY SERVICE FILE Files that are mandated by the court to track community service work hours.	LEG5700	5	NA	STOPS & ZONES	5		
LEG5000 Legal Compliance	LEGAL CORRESPONDENCE RECORDS Imaged official legal correspondence created to substantiate the rights, obligation and interests of public transportation system, employees and client. Also include rec	LEG5800	ACT	ACT+6	COUNTY COUNSEL	ACT+6	EL	P
LEG5000 Legal Compliance	LEGAL DOCUMENT RECORDS Imaged records related to court proceedings for County Counsel.	LEG5810	ACT	ACT+6	COUNTY COUNSEL	ACT+6	EL	P
LEG5000 Legal Compliance	PLEADINGS Imaged court records of litigation and court documentation for County Counsel	LEG5820	ACT	ACT+6	COUNTY COUNSEL	ACT+6	EL	P
LEG5000 Legal Compliance	LEGAL PROJECT FILES Records related to determining legal requirements and providing legal advice for the agency.	LEG6000	ACT	10	COUNTY COUNSEL	ACT+10		C, SS, P, N, I, TS
LEG5000 Legal Compliance	LEGAL OPINIONS Records that document specific legal advice provided.	LEG6010	IND	NA	COUNTY COUNSEL	IND		C, SS, P, N, I, TS
LEG5000 Legal Compliance	EVIDENCE CASE FILES Legal cases that have historical value and contain evidence.	LEG6020	ACT	20	COUNTY COUNSEL	ACT+20		C, SS, P, N, I, TS



LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>LEG5000 Legal Compliance</b>	<b>COPYRIGHT/TRADEMARK/PATENT RECORDS</b> Records related to preparation, filing, maintenance, and rights for patents and copyrights.	<b>LEG7000</b>	ACT+01	UCP	RECORDS MANAGEMENT	IND		C, SS, I, TS
<b>LEG5000 Legal Compliance</b>	<b>LABOR RELATIONS NEGOTIATION FILES</b> Records pertaining to the negotiation of labor contracts with the Unions.	<b>LEG8000</b>	ACT+03	UCP	LABOR/EMPLOYEE RELATIONS	IND		C, N, P
<b>LEG5000 Legal Compliance</b>	<b>LEGAL SERVICE COPIES (SUBPOENAS, ETC)</b> Copies of subpoenas maintained by the Legal Service Office.	<b>LEG9000</b>	1	NA	LEGAL SERVICES	1		
<b>LEG5000 Legal Compliance</b>	<b>LEGAL SERVICE ORIGINAL SUBPOENAS</b> Original subpoenas received in Legal Services to garnish Metro employees' wages.	<b>LEG9005</b>	1	2	LEGAL SERVICES	3		
<b>MAR1000 Marketing</b>	<b>MARKETING ACTIVITY RECORDS</b> Records related to marketing or sales activities with vendors and potential customers.	<b>MAR1100</b>	3	NA	COMMUNICATIONS	3	Not Grant-Related	
<b>MAR1000 Marketing</b>	<b>GRANT-RELATED MARKETING RECORDS</b> Records related to marketing grant-funded projects.	<b>MAR1110</b>	3	LOG+3	COMMUNICATIONS	LOG+3	Retain 3 years after last payment	
<b>OPM1000 Operations and Maintenance Records</b>	<b>OPERATIONS &amp; MAINTENANCE GENERAL</b> Records generated by the Divisions not belonging to another category.	<b>OPM1100</b>	2	3	OPERATIONS	5		SS
<b>OPM2000 Operations and Maintenance Records</b>	<b>OPERATIONS SCHEDULING RECORDS</b> Records pertaining to the development, revision, and issue of bus schedules.	<b>OPM2100</b>	US	10	SERVICE PERFORMANCE ANALYSIS	10	Sch. Dept. keeps their copy until superseded & RMC keeps their copy for 10yrs.	SS
<b>OPM2000 Operations and Maintenance Records</b>	<b>OPERATIONS PULLOUT SHEETS</b> Daily sheets produced by Scheduling detailing pull-out time for each scheduled bus for a division; the transportation and maintenance sections annotate the drivers and coach numbers assigned.	<b>OPM2200</b>	01 MO	10	OPERATIONS	10		
<b>OPM2000 Operations and Maintenance Records</b>	<b>OPERATIONS PLANNING LINE FILES</b> Records pertaining to the development and revision of bus routes.	<b>OPM2300</b>	ACT	AR	OPERATIONS PLANNING, SCHEDULING	AR		SS

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>OPM2000</b> Operations and Maintenance Records	STOPS & ZONES T2 LINE FILES Master lists of bus lines and stops.	<b>OPM2400</b>	ACT	AR	STOPS & ZONES	AR		SS
<b>OPM3000</b> Operations and Maintenance Records	RAIL SAFETY & TRAINING RECORDS Records related to the program for periodic instruction of railroad employees, including program amendments.	<b>OPM3100</b>	5	NA	OPERATIONS RAIL	5		
<b>OPM3000</b> Operations and Maintenance Records	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	OPERATIONS CENTRAL INSTRUCTION	5		
<b>OPM4000</b> Accident and Incident Records	VEHICLE ACCIDENT/INCIDENT REPORTS Reports of accidents and incidents occurring on buses or trains.	<b>OPM4100</b>	01MO	10	OPERATIONS DIVISIONS	10		C, SS, I
<b>OPM4000</b> Accident and Incident Records	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>	2	1	OPERATIONS/ SAFETY	3		C, I
<b>OPM4000</b> Accident and Incident Records	OPERATIONS CONTROL CENTER TAPES Functional data collected by Central Control on data tapes.	<b>OPM4200</b>	1	NA	OPERATIONS CONTROL CENTERS	1		C, I
<b>OPM4000</b> Accident and Incident Records	OPERATIONS CONTROL TAPES Data routinely collected daily by Central Control.	<b>OPM4210</b>	1	NA	OPERATIONS CONTROL CENTERS	1		C, I
<b>OPM4000</b> Accident and Incident Records	OPERS CTRL CTR TAPES (MAJOR INCIDENT) Data collected by Central Control related to serious accidents and injuries.	<b>OPM4220</b>	1	IND	OPERATIONS CONTROL CENTERS	IND		C, SS, I

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>OPM4000</b> <b>Accident and Incident Records</b>	OPERATIONS CTRL CTR DIV TELEPHONE TAPES Tapes of telephone conversations between Central Control and operators regarding incidents in stations or vehicles.	<b>OPM4330</b>	1	NA	OPERATIONS CONTROL CENTERS	1		C, I
<b>OPM4000</b> <b>Accident and Incident Records</b>	OPS CTRL CTR TELEPHONE TAPES (MAJOR) Tapes of telephone conversations regarding serious accidents and injuries.	<b>OPM4340</b>	3	IND	OPERATIONS CONTROL CENTERS	IND		C, I
<b>OPM4000</b> <b>Accident and Incident Records</b>	VSS-VEHICLE SECURITY and DVR Video Accident and incident records preserved by video recording systems that record all activity in a bus, on rail cars, at stations and facilities.	<b>OPM4360</b>	US	2	OPERATIONS	US+2	Tape is overwritten every 72 hours. Only the portion of a recording reported as an incident is preserved for two years.	
<b>OPM5000</b> <b>Vehicle Maintenance Records</b>	VEHICLE MAINTENANCE GENERAL Revenue vehicle maintenance records not fitting into the more specialized category.	<b>OPM5100</b>	1	19	OPERATIONS MAINTENANCE	20		
<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>	6	14	OPERATIONS MAINTENANCE	20		
<b>OPM5000</b> <b>Vehicle Maintenance Records</b>	BUS WARRANTEE FILES Records of warranty arrangements, warranty claims and warranty coverage and repair documentation and invoices.	<b>OPM5300</b>	7	LOV+4	OPERATIONS MAINTENANCE	LOV+4		
<b>OPM5000</b> <b>Vehicle Maintenance Records</b>	OPERATIONS EQUIPMENT DAMAGE RPT Hard copy reports on damages to buses and trains.	<b>OPM5400</b>	1	5	OPERATIONS MAINTENANCE	6		
<b>OPM5000</b> <b>Vehicle Maintenance Records</b>	COACH/CAR INSPECTION RECORDS Records of periodic inspection of coaches.	<b>OPM5500</b>	2	18	OPERATIONS DIVISIONS MAINTENANCE	20		

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs. to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>OPM5000 Vehicle Maintenance Records</b>	<b>ELECTRONIC COACH MAINTENANCE REPORTS</b> Electronic records system that tracks maintenance activities, including preventative maintenance, unscheduled repairs, modifications to equipment. Includes current and historical inventory information.	<b>OPM5600</b>	LOV+2	NA	OPERATIONS MAINTENANCE	LOV+2	EL	
<b>OPM5000 Vehicle Maintenance Records</b>	<b>DEFECT CARDS</b> Cards filled out by operator noting defects and annotated by Mechanics with indication of repair.	<b>OPM5700</b>	2	18	OPERATIONS DIVISIONS MAINTENANCE	20		
<b>OPM5000 Vehicle Maintenance Records</b>	<b>ROAD FAILURE TREND ANALYSIS (33-72)</b> Statistical report of road failures of revenue vehicles.	<b>OPM5800</b>	1	NA	OPERATIONS DIVISIONS MAINTENANCE	1		
<b>OPM5000 Vehicle Maintenance Records</b>	<b>ROAD FAILURE REPORTS &amp; SUMMARIES</b> Individual and summarized reports of revenue vehicles road failures.	<b>OPM5810</b>	1	6	OPERATIONS DIVISIONS MAINTENANCE	7		
<b>OPM5000 Vehicle Maintenance Records</b>	<b>MAINTENANCE ADMINISTRATIVE RECORDS</b> Copies of department correspondence and other general administrative documents.	<b>OPM5900</b>	1	NA	OPERATIONS DIVISIONS MAINTENANCE	1		
<b>OPM5000 Vehicle Maintenance Records</b>	<b>OPERATIONS CENTRAL INSTRUCTION RECORDS</b> Imaged basic operator training, maintenance training, division support, TOS training, student records, and DMV-ETP.	<b>OPM5910</b>	UCP+1. 5	NA	OPERATIONS CENTRAL INSTRUCTION	UCP+1 .5	EL, Keep original hardcopy in office storage for 18 months after they have been imaged	
<b>OPM5000 Vehicle Maintenance Records</b>	<b>OPERATIONS CENTRAL INSTRUCTION RECORDS</b> Imaged Training Manuals and Course Materials	<b>OPM5920</b>	ACT	10	OPERATIONS CENTRAL INSTRUCTION	10	EL	
<b>OPM5000 Vehicle Maintenance Records</b>	<b>OPERATIONS CENTRAL INSTRUCTION RECORDS -</b> Imaged contracts	<b>OPM5930</b>	ACT	3	OPERATIONS CENTRAL INSTRUCTION	3	EL	
<b>OPM6000 Transit Police</b>	<b>TRANSIT POLICE GENERAL RECORDS</b> Records pertaining to activities of the Transit Police.	<b>OPM6100</b>	2	4	TRANSIT SECURITY	6		C, I

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>OPM6000</b> Transit Police	TRANSIT POLICE DISPATCH TAPES Audio tapes of police units dispatched and directed during incidents.	<b>OPM6200</b>	04 MO	NA	TRANSIT SECURITY	04 MO		C, I
<b>OPM7000</b> Congestion Relief	FREEWAY SERVICE PATROL RECORDS Records related to the program to provide tow trucks to motorists stranded on the freeways.	<b>OPM7100</b>	2	IND	MOTORIST SERVICES	IND		
<b>OPM7000</b> Congestion Relief	MOTORIST ASSIST FORMS – SCANNED Scantron forms recording assistance provided to individual motorists.	<b>OPM7110</b>	0.05	0.05	MOTORIST SERVICES	1		C
<b>OPM8000</b> Rail Maintenance	SIGNAL & COMMUNICATION FILES Records related to inspection, maintenance and testing of grade crossing signals.	<b>OPM8100</b>	3	1	OPERATIONS - DIVISIONS MAINTENANCE RAIL	4		
<b>PPA1000</b> Transportation Planning	SCAG OVERALL WORK PROJECT PLAN Records pertaining to transportation projects approved and monitored by SCAG.	<b>PPA1010</b>	3	NA	COUNTYWIDE PLANNING & DEV.	3	PA	
<b>PPA1000</b> Transportation Planning	REGIONAL TRANSPORTATION PLANS Regional transportation plans for all modes.	<b>PPA1100</b>	3	UCP	COUNTYWIDE PLANNING & DEV.	IND		
<b>PPA1000</b> Transportation Planning	MTA TRANSPORTATION SUPPORT DOCUMENTATION Working papers and support documents for transportation plan.	<b>PPA1110</b>	ACT	3	COUNTYWIDE PLANNING & DEV.	ACT+3	PA, GR	
<b>PPA1000</b> Transportation Planning	QUARTERLY REPORT FOR COUNTY WIDE PLANNING Countywide Planning and Programming section quarterly status reports.	<b>PPA1200</b>	3	IND	COUNTYWIDE PLANNING & DEV.	IND		
<b>PPA1000</b> Transportation Planning	QUARTERLY REPORT FOR COUNTYWIDE PLANNING (Back-up material) Back-up material for Countywide Planning & Programming sections quarterly status reports.	<b>PPA1300</b>	1	2	COUNTYWIDE PLANNING & DEV.	3		

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>PPA2000</b> Transportation Project Programming	TRANSPORTATION PROJECT FILES Imaged Planning project files (Call For Projects) for multiple models including highway, bikeway, and rail containing environmental reports conceptual studies, feasibility studies, correspondences, moves, project application, etc.	<b>PPA2100</b>	ACT+3	UCP	COUNTYWIDE PLANNING & DEV.	IND	EL, GR, PA	
<b>PPA2000</b> Transportation Project Programming	TRANSPORTATION PROJECTS PAPER FILES Hardcopy originals of unfunded and/or closed project files (Call For Projects and Non-Call for Projects) that have been imaged including highway, bikeway, and rail containing environmental reports conceptual studies, feasibility studies, correspondences, moves, and project application materials (studies, surveys and pictures), etc.	<b>PPA2110</b>	ACT	10	COUNTYWIDE PLANNING & DEV.	ACT + 10	Keep original hardcopy in off-site storage for 10-years after they have been imaged	
<b>PPA2000</b> 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.	<b>PPA2200</b>	3	UCP	COUNTYWIDE PLANNING & DEV.	IND		
<b>PPA2000</b> 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.	<b>PPA2210</b>	ACT+1	2	COUNTYWIDE PLANNING & DEV.	ACT+3		
<b>PPA2000</b> Transportation Project Programming	CTC AGENDA (California Transportation Commission) CTC are agendas of all legislative, statewide information items.	<b>PPA2300</b>	3	5	COUNTYWIDE PLANNING & DEV.	8		
<b>PPA3000</b> Transportation Systems Analysis	TRANSPORTATION SYSTEMS ANALYSIS AND MODELS Records pertaining to the development and publishing of analytical transportation studies and models.	<b>PPA3100</b>	3	UCP	COUNTYWIDE PLANNING & DEV.	IND	PA, GR	

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>PPA3000</b> Transportation Systems Analysis	NATIONAL TRANSPORTATION DATABASE SOURCE DOCS Documents used to provide statistical transportation data to the National Transportation Database.	<b>PPA3200</b>	3	UCP	COUNTYWIDE PLANNING & DEV.	IND	PA, GR	
<b>PPA3000</b> Transportation Systems Analysis	TRANSPORTATION MODELING RECORDS Print outs of data describing alternative transportation forecast.	<b>PPA3300</b>	ACT+1	20	COUNTYWIDE PLANNING & DEV.	20		
<b>PPA4000</b> Benefits Assessment	BENEFIT ASSESSMENT ADMIN FILES Records pertaining to the assessment of a fee on property benefiting from transportation improvements.	<b>PPA4100</b>	ACT+1	UCP	COUNTYWIDE PLANNING/REAL ESTATE	IND	Keep originals 11 yrs. after imaging	
<b>PPA4000</b> Benefits Assessment	BENEFIT ASSESSMENT CASE FILES Records pertaining to the disposition of individual property owners contesting their benefit assessment.	<b>PPA4200</b>	ACT+04	UCP	COUNTYWIDE PLANNING/REAL ESTATE	IND	Keep originals 11 yrs. after imaging	
<b>PUB1000</b> Public Affairs	PUBLIC AFFAIRS/COMMUNITY RELATIONS GENERAL Records related to public relations not fitting into one of the specialized categories below.	<b>PUB1100</b>	3	UCP	MULTIPLE	IND	PA, GR	
<b>PUB1000</b> Public Affairs	PUBLIC MEETING FILES Records of public meetings held to discuss transportation issues and changes	<b>PUB1200</b>	1	UCP	MULTIPLE	IND	PA, GR	
<b>PUB1000</b> Public Affairs	PUBLIC COMMENT LETTERS Letters received from the public regarding transportation issues and changes.	<b>PUB1300</b>	1	UCP	MULTIPLE	IND	PA, GR	
<b>PUB1000</b> Public Affairs	PUBLIC COMMENT/COMPLAINT RECORDS Transit service related comments, commendations, and complaints	<b>PUB1500</b>	5	5	CUSTOMER SERVICE	10	EL. Retain paper in Dept 5 years and 5 years offsite.	
<b>PUB2000</b> Public Affairs	GOVERNMENT RELATIONS RECORDS Records related to the MTA's relations with local, state, and federal government officials and bodies.	<b>PUB2000</b>	5	NA	GOVERNMENT RELATIONS	5	PA	
<b>PUB3000</b> Public Affairs	PUBLIC AFFAIRS (PRESS RELEASES, PHOTOS) Press releases produced by the MTA's Media office.	<b>PUB3000</b>	5	UCP	PUBLIC RELATIONS	IND	EL	
<b>PUB4000</b> Public Affairs	EMPLOYEE NEWSLETTERS/ALL STAFF MEMOS Newsletters and memos distributed to all staff and/or special employee groups.	<b>PUB4000</b>	3	UCP	MULTIPLE	IND	EL	

LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
<b>PUB5000</b> <b>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>	IND	NA	METRO ART	IND	EL	
	<b>NOTES:</b>							
	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 BOARD OF DIRECTORS	09/23/1998						
	REV. 4 APPROVED BY BOARD OF DIRECTORS	09/23/1999						
	REV. 5 APPROVED BY BOARD OF DIRECTORS	03/22/2001						
	REV. 6 APPROVED BY 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 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 THE CHIEF EXECUTIVE OFFICER	10/17/2010						
	Rev. 15 APPROVED BY THE CHIEF EXECUTIVE OFFICER	7/14/2011						
	Rev. 16 APPROVED BY THE CHIEF EXECUTIVE OFFICER	5/25/2012						
	<b>RETENTION CODES</b>	<b>SPECIAL RECORDS CATEGORIES</b>						
	<b>ACT</b> = While active	<b>P</b> = Privileged Records (Communication from Legal Counsel to the Board of Director).						
	<b>AR</b> = Annual Review	<b>C</b> = 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).						
	<b>EL</b> = Electronic Record	<b>TS</b> = Procurement/Trade Secret (Formulas, plan, patterns, process, tool, mechanism, compound, procedure, production data or compilation of information which is not patentee etc.						
	<b>G</b> = Grant Related	<b>CS</b> = Computer Software Records (Computer mapping systems, programs and graphic systems).						
	<b>GR</b> = Potentially Grant Funded, See ADM5000	<b>AV</b> = Audio & Video Records (Incidents reported by Metro employee, law enforcement or individuals involved in the incidents).						
	<b>IND</b> = Indefinite. Records must be reviewed periodically.	<b>SS</b> = Security Sensitive Records (Facility records, transportation systems, communication or security systems and all other systems).						
	<b>LOC</b> = Life of Contract	<b>I</b> = Investigative Records (Investigation information and data relating to incidents or accidents on all Metro vehicles and facilities).						
	<b>LOG</b> = Life of Grant	<b>N</b> = Internal Negotiation Records						
	<b>LOS</b> = Life of System							
	<b>LOV</b> = Life of Vehicle							
	<b>MO</b> = Months							
	<b>NA</b> = Not Applicable							
	<b>PA</b> = Potentially Archival							



LACMTA RECORDS RETENTION SCHEDULE REVISION 16

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site Storage or in Oracle	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
	UC = Upon completion	DR = Records Stored Offsite for Disaster Recovery (Backed-up data, systems and application records).						
	UCP = Until Captured	E = Email Records						
	US = Until Superseded or obsolete							
	UV = Until Verified							
	V = Vital Business Record							
	WC = When Created							
	WI = When Inactivated							
	WU = While Useful							