

Metro Board Approved Policy

Records Management Policy

Adopted: May 24, 1996

Historical Perspective

This policy was amended on August 27, 2013.

every year from 1995 through 2001, however on September 26, 2002, it adopted the current, more comprehensive Records Management Policy. Prior to the adoption of the 1999 Records Retention schedule, employees complied with the predecessor agencies policies and schedules in disposing and retaining of records.

In May 1995, the Board adopted its first consolidated Records Retention Schedule specifying the retention periods and disposition of agency records. In May 1996, the Board approved minor revisions to the Records Retention Schedule.

In June 1997, the Retention Schedule was, again, revised to ensure compliance with state statute as well as for satisfying our basic records management needs. Separate categories were created for Pass Sellers' Records, Construction Dig Alerts, Purchase Orders, Home to Work Survey, and E-mail messages were added for the first time.

In September 1998, two changes were made to the schedule. The first covered an increase in retention period for the Pass Sellers' Records and the second, the creation of a new category called Operations Planning Files. To ensure continued compliance with the retention schedule, staff updated the Records Management Policy and provided training to employees on how to follow the schedule.

In September 1999, the schedule was revised to incorporate departments' request for administrative changes. For example, records series were consolidated to streamline the schedule and eliminate unnecessary categories. In addition, several changes were requested due to functions being reorganized.

In March 2001, the Board approved revisions to the Records Retention Schedule and directed staff to include development of a category for "institutional

memory. Although there were no changes in the law necessitating a revision to the schedule, revisions were incorporated to ensure that the schedule reflects current practices.

At the same time that the Board approved this policy, it authorized the Chief Executive Officer (CEO) to revise the Records Retention Schedule for the purpose of adding new categories of records and extending the terms of retention. Since September 2002, the CEO has approved 29 revisions to the Retention Schedule, none of which reduced the retention period of a category of records. However, the changes now proposed by staff will reduce the retention of six categories of technical engineering documents, and therefore, specific Board approval is required to implement the changes.

In November 2004, the Executive Management and Audit Committee discussed and approved changes to the Records Retention Schedule that included a reduction to the retention schedule for the rail system's pre-construction and project progress photographs, from 100 years to 15 years, post project completion. Some concerns were raised that such photographs have historical value and local cultural institutions and universities should be contacted prior to disposing of any project photographs.



Metro



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

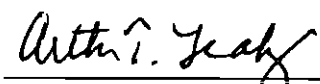
The purpose of this policy is to establish the responsibilities and requirements for managing LACMTA records and to ensure compliance with the CPRA and other applicable federal or state laws and regulations.

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 Counselor N/A


ADOPTED: CEO

Effective Date: 8/17/2010

Date of Last Review: _____



Metro

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

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.



Metro

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.



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 complaint 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

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

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

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.



Metro

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 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
ACC1000 Accounts Payable	ACCTS PAYABLE VOUCHERS/INVOICES (Not Grant-related) Records related to payment of financial obligations. Includes vouchers, invoices, travel reimbursement, business expenses, and statements.	ACC1100	UCP	NA	ACCOUNTING	6	Destroy paper after 6 mo. & retain electronic file 6 yrs. V	
ACC1000 Accounts Payable	GRANT-RELATED ACCOUNTS PAYABLE RECORDS Records related to payment of financial obligations that are funded by a grant. Includes vouchers, invoices, and statements.	ACC1110	UCP+ .5	NA	ACCOUNTING	LOG+3	Destroy paper after 6 mo. & retain electronic file LOG + 3	
ACC1000 Accounts Payable	NON-SEGREGATED PAYABLE RECORDS Payable records not segregated as grant or non-grant. (1992-1998)	ACC1120	2	30	ACCOUNTING	32	GR	
ACC1000 Accounts Payable	POTENTIALLY GRANT-RELATED ELECTRONIC ACCOUNTING RECORDS Records related to payment of financial obligation that have been electronically scanned.	ACC1130	30	NA	ACCOUNTING	30	Destroy paper after 6 mo. & retain electronic file for 30 years	
ACC2000 Accounts Receivable	ACCOUNTS RECEIVABLE RECORDS (GENERAL) Accounts Receivable with records not fitting into any sub-category.	ACC2100	2	2	ACCOUNTING	4		
ACC2000 Accounts Receivable	CASH RECEIPT RECORDS Records documenting the receipt of cash.	ACC2200	2	4	ACCOUNTING	6		
ACC2000 Accounts Receivable	PASS SELLERS RECORDS Records pertaining to the sales of fare media. Includes correspondence with sellers.	ACC2300	ACT	4	TAP OPERATIONS	ACT+4	EL. Destroy paper after 6 mo. & retain electronic file for 4 years	
ACC2000 Accounts Receivable	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.	ACC2400	0.25	5.75	TREASURY/COMMUNICATIONS	4		

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
ACC2000 Accounts Receivable	TRANSIT ACCESS PASS Application records for Reduce Fare TAP cards (Senior, Disabled, College/Vocational, and Student) and Annual Contract Agreements for A-TAP, B-TAP and I-TAP cards. Applications are scanned and electronically stored on-line at the Regional TAP Service Center.	ACC2500	4	NA	CUSTOMER PRO. & SERVICE & METRO COMMUTE SERVICES	4	Destroy paper after 90 days & retain electronic file for 4 years or loss of eligibility	
ACC3000 Ledgers	ACCOUNTING JOURNALS/LEDGERS Records used to transfer charges between accounts and for summarizing account information.	ACC3100	2	8	ACCOUNTING	10		
ACC4000 Capital Accounting	EQUIPMENT PURCHASE & SALES RECORDS (Not grant-related) 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.	ACC4100	ACT	3	ACCOUNTING	ACT+03		
ACC4000 Capital Accounting	GRANT-RELATED EQUIPMENT PURCHASE & SALES Records documenting the procurement of property other than real-estate that is grant-related.	ACC4110	ACT	LOG+3	ACCOUNTING	LOG+3	Retain 3 years after final payment	
ACC4000 Capital Accounting	VEHICLE DMV REGISTRATION CERTIFICATE Records documenting ownership or revenue and non-revenue vehicles.	ACC4210	ACT	NA	OFFICE OF BOARD SECRETARY	ACT		
ACC4000 Capital Accounting	VEHICLE ACQUISITION RECORDS Documenting the purchase and disposition of each revenue and non-revenue vehicle.	ACC4220	LOV	2	OPERATIONS VEHICLE TECHNOLOGY, NON-REVENUE VEHICLES	LOV+2		

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
ACC4000 Capital Accounting	REAL-ESTATE ACQUISITION/APPRaisal/SURPLUS FILES Records pertaining to the MTA's acquisition, appraisal, and surplus of property for right of way facilities, etc.	ACC4300	ACT+01	10	REAL ESTATE	ACT+11		
ACC4000 Capital Accounting	RELOCATION FILES Pertaining to businesses that have been relocated	ACC4310	ACT+01	10	REAL ESTATE	ACT+11		
ACC4000 Capital Accounting	LEASE FILES (INCLUDES PROPERTY MGMT) Records pertaining to the MTA's management of property it purchased for potential future right of way or facilities locations.	ACC4320	ACT+01	9	REAL ESTATE	ACT+10		
ACC4000 Capital Accounting	ELECTRONIC LEASE FILES Electronic lease files of records pertaining to the MTA's management of property it purchased for potential future right of way or facilities locations.	ACC4325	ACT+10	NA	REAL ESTATE	ACT+10	EL	
ACC4000 Capital Accounting	DEEDS Original deeds for MTA property	ACC4330	IND	NA	REAL ESTATE	IND		
ACC4000 Capital Accounting	JOINT DEVELOPMENT PROJECT FILES Records pertaining to the MTA's partnering with other organizations to develop property near its stations or other transportation elements.	ACC4340	ACT+01	UCP	COUNTYWIDE PLANNING & DEV.	IND		
ACC4000 Capital Accounting	UNION STATION GATEWAY RECORDS Records pertaining to the acquisition and development of the USG property and building.	ACC4350	ACT+03	UCP+2	GENERAL SERVICES	IND	PA	SS
ACC4000 Capital Accounting	UNION STATION ARCHIVAL RECORDS Summary and detailed records reports, plans schedules, photographs, drawings, contracts, agreements, and older personnel files, from 1937	ACC4360	ACT	IND	GENERAL SERVICES	IND	PA	

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
ACC4000 Capital Accounting	UNION STATION ADMINISTRATIVE, DEVELOPMENT, & FINANCIAL RECORDS Significant correspondence, project, and development records pertaining to the Union Station building and property. Records also include: Purchase, Ownership, and Planning Activities.	ACC4370	ACT + 3	IND	GENERAL SERVICES	IND	PA	
ADM1000 General Administration Records	GENERAL ADMINISTRATIVE REQUEST FORMS Forms used to request services and track its completion.	ADM1001	3	NA	MULTIPLE	3		
ADM1000 General Administration Records	DEPARTMENTAL PROCUREMENT FILE Department copies of documents (including requisitions, purchase orders, and invoices) used for departmental procurement, tracking, and administration of services and goods.	ADM1100	3	NA	MULTIPLE	3		
ADM1000 General Administration Records	DEPARTMENTAL BUDGET PREPARATION RECORDS Records used by departments in developing, justifying, and tracking a cost center's budget.	ADM1200	3	NA	MULTIPLE	3		
ADM1000 General Administration Records	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).	ADM1310	3	NA	MULTIPLE	3		
ADM1000 General Administration Records	GENERAL DEPARTMENTAL RECORDS: LOGS Records used in tracking activities and events.	ADM1320	3	NA	MULTIPLE	3		
ADM1000 General Administration Records	GENERAL DEPARTMENTAL RECORDS: SCHEDULES Records documenting the planned and actual achievement of departmental goals.	ADM1330	3	NA	MULTIPLE	3		

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
ADM1000 General Administration Records	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.	ADM1400	ACT	NA	MULTIPLE	ACT		
ADM1000 General Administration Records	SUBJECT AND REFERENCE MATERIALS Any materials maintained for informational purposes only, and not containing official records pertaining to significant MTA activities.	ADM1500	ACT	NA	MULTIPLE	ACT		
ADM1000 General Administration Records	ADMINISTRATIVE PROJECT FILES Files documenting departmental administrative projects.	ADM1600	ACT+1	2	MULTIPLE	ACT+3		
ADM1000 General Administration Records	RMC SCAN Electronic and microfilmed copies of documents significant to LACMTA activities received in mail or from MTA staff.	ADM1700	0.5	NA	RECORDS MANAGEMENT	IND	EL	
ADM1000 General Administration Records	PUBLISHED REPORTS (Significant) All documents reporting on significant MTA activities (i.e, those with permanent historical or evidentiary value).	ADM1800	ACT	IND	MULTIPLE	IND	EL	
ADM1000 General Administration Records	PD/EMC/MOS-1 Electronic Records Imaged construction records related to Parsons Dillingham, Engineering Management Consultant and Minimum Operation Segment construction projects.	ADM1810	ACT	IND	RECORDS MANAGEMENT	IND	EL	
ADM1000 General Administration Records	LIBRARY ARCHIVAL DOCUMENTS Records that possess, archival value, that pertain to the MTA's history, and are maintained in the MTA's Library.	ADM1900	IND	NA	LIBRARY	IND	EL	
ADM2000 Equipment, Property Inventories, & Logs	PROPERTY MANAGEMENT: INVENTORY Records related to the tracking of moveable agency property. Includes records related to vehicle equipment, tools, materials, and supplies owned, rented, or leased.	ADM2110	3	NA	MULTIPLE	3		

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
ADM2000 Equipment, Property Inventories, & Logs	PROPERTY MANAGEMENT: SECURITY SENSITIVE INVENTORY Inventories of equipment that should not be disclosed for security reasons.	ADM2120	3	NA	MULTIPLE	3		SS
ADM2000 Equipment, Property Inventories, & Logs	PROPERTY MANAGEMENT: MAINTENANCE Records related to the maintenance of moveable agency property.	ADM2130	3	NA	MULTIPLE	3		
ADM2000 Equipment, Property Inventories, & Logs	PROPERTY MANAGEMENT: SECURITY SENSITIVE MAINTENANCE Records related to the maintenance of moveable property that for security reasons should not be disclosed.	ADM2210	3	NA	MULTIPLE	3		SS
ADM3000 Policies & Procedures	MTA POLICIES AND PROCEDURES Authority-wide records documenting approved procedures for performing activities to ensure uniformity and compliance with agency and legal requirements.	ADM3100	US	NA	RECORDS MANAGEMENT	IND		
ADM3000 Policies & Procedures	DEPARTMENTAL POLICIES AND PROCEDURES Records documenting approved procedures for performing activities pertaining to individual departments.	ADM3200	US	UCP	MULTIPLE	IND		
ADM6000 Computer Related Administrative Records	E-MAIL MESSAGES ON SERVERS E-mail messages maintained on ITS servers.	ADM6100	01 MO	NA	INFORMATION TECHNOLOGY	01 MO	EL	
ADM6000 Computer Related Administrative Records	E-MAIL SYSTEM BACK-UPS E-mail messages maintained on back-up tapes.	ADM6110	01 MO	NA	INFORMATION TECHNOLOGY	01 MO	EL	DR

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
ADM6000 Computer Related Administrative Records	INTERNET DOCUMENTS Electronic documents maintained on the MTA's public internet web sites.	ADM6120	ACT	NA	MULTIPLE	ACT	EL	
ADM6000 Computer Related Administrative Records	INTRANET DOCUMENTS Electronic documents maintained on the MTA's internal intranet web sites, sharepoint collaboration sites, shared drives, and internet based applicatos.	ADM6130	ACT	NA	MULTIPLE	ACT	EL	SS, I, N, AV, C
ADM6000 Computer Related Administrative Records	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.	ADM6135	IND	NA	PUBLIC RELATIONS	IND	EL	
ADM6000 Computer Related Administrative Records	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.	ADM6140	ACT	NA	INFORMATION TECHNOLOGY SERVICES	ACT	EL	
ADM6000 Computer Related Administrative Records	CALL DETAIL RECORDS Details of all calls to and from MTA phones through the PBX.	ADM6150	1	NA	INFORMATION TECHNOLOGY SERVICES	1		
ADM6000 Computer Related Administrative Records	CONTROL/INPUT DOCUMENTS Documents used by staff to input data into a computer, to verify that input, or to track the status of a database.	ADM6200	UV	NA	MULTIPLE	UV		
ADM6000 Computer Related Administrative Records	HISTORICAL DATA FILES Computer records with enduring significance to MTA activities (I.E., Permanent, evidentiary, and/or historical value).	ADM6310	IND	NA	MULTIPLE	IND	EL	

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
ADM6000 Computer Related Administrative Records	PC WORKING FILES Documents stored in each staff member's "My Documents" folder.	ADM6320	ACT + 3	NA	MULTIPLE	ACT + 3	EL	
ADM7000 Security	SECURITY RECORDS Records related to protecting employees, equipment, buildings and information. Includes security clearances, pass card lists, and password lists.	ADM7100	3	NA	TRANSIT SECURITY	3		SS
ADM8000 Administrative Audit	INTERNAL and EXTERNAL AUDIT REPORTS - IMAGED Formal documents detailing the findings and recommendations of an audit.	ADM8100	UCP	6 MONTH S	MANAGEMENT AUDIT SERVICES	IND	EL. Destroy paper after 6 months	
ADM8000 Administrative Audit	INTERNAL AUDIT WORKING PAPERS Imaged collection of documents accumulated during an audit that support the conclusions of the audit report.	ADM8110	3	US	MANAGEMENT AUDIT SERVICES	US		
ADM8000 Administrative Audit	INVESTIGATION FILES and REPORTS (INSPECTOR GENERAL) Records documenting investigation by the OIG.	ADM8200	ACT+2	IND	OFFICE OF INSPECTOR GENERAL	IND		C, I
CON1000 Vendor Contractual Records	CONTRACT ADMINISTRATOR'S FILE File maintained by the contact administrator containing pre-award records (including unsuccessful proposals to awarded contracts; and only retain solicitation material of a cancelled procurement. Bids and proposals of a cancelled solicitation are to be shredded or sent back to the proposer) and post award records pertaining to an MTA vendor contract including the RFP or IFB with all amendments; executed contract; all amendments or change orders to the contract; official contractual correspondence; documents pertaining to insurance, subcontractors, and/or contract closeout.	CON1100	LOC+1	29	PROCUREMENT	LOC+30	V, GR	SS, C, N, TS

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
CON1000 Vendor Contractual Records	CONTRACT WORK ORDERS Orders dealing with budget, schedule, and scope to accomplish a task within a contractual scope of work.	CON1130	LOC+1	29	PROCUREMENT	LOC+30	GR	
CON1000 Vendor Contractual Records	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).	CON1140	ACT	UCP	MULTIPLE	IND		
CON1000 Vendor Contractual Records	EXECUTED CONTRACTUAL DOCUMENTS CAPTURED ON MICROFILM OR ELECTRONIC MEDIA Executed contracts, and amendments imaged by RMC on permanent media.	CON1200	UCP	NA	RECORDS MANAGEMENT	IND	EL, V	
CON1000 Vendor Contractual Records	PURCHASE ORDERS Imaged authorizations for purchase of goods or expenditure of funds issued by Procurement.	CON1300	LOC+1	29	PROCUREMENT	LOC+30	EL, GR	
CON1000 Vendor Contractual Records	GRANT-RELATED PURCHASE ORDERS Executed purchase orders related to grant-funded projects.	CON1310	3	LOG+3	PROCUREMENT	LOG+3	Retain 3 years after last payment	
CON1000 Vendor Contractual Records	PACKING SLIPS Purchase receipt for items procured by MTA from outside vendors.	CON1320	4	NA	PROCUREMENT	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	

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
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	
CON2000 Agreements	MASTER COOPERATIVE AGREEMENTS (Not Grant-related) Agreements with other organizations with interests & projects overlapping those of the MTA.	CON2200	LOC+1	3	PROCUREMENT	LOC+4		
CON2000 Agreements	GRANT-RELATED COOPERATIVE AGREEMENTS Agreements with other organizations with interests & projects overlapping those of the MTA.	CON2210	LOG+1	3	PROCUREMENT	LOG+4	Retain 3 yrs. After final payment	

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
ENG1000 Design Engineering Documents	DESIGN REVIEW DOCUMENTS Records documenting the various formal reviews of engineering project designs.	ENG1100	UC+03	12	CONSTRUCTION, OPERATIONS	UC+15		SS
ENG1000 Design Engineering Documents	DESIGN SUBJECT FILES Records organized by approved file codes reflecting the design of the system or facility.	ENG1200	UC+03	12	CONSTRUCTION, OPERATIONS	UC+15	Destroy paper 6 months after captured into Project Quest.	SS
ENG1000 Design Engineering Documents	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.	ENG1300	ACT	LOS+10	CONSTRUCTION, OPERATIONS	LOS+10		SS
ENG1000 Design Engineering Documents	CANCELLED PROJECTS Engineering records related to cancelled construction projects.	ENG1400	ACT	10	CONSTRUCTION, OPERATIONS	ACT+10		SS
ENG2000 Construction Implementation Engineering Docs	CONSTRUCTION DIG ALERTS Notifications of excavations in areas containing utility lines.	ENG2001	1	2	CONSTRUCTION, OPERATIONS	3		
ENG2000 Construction Implementation Engineering Docs	DRAWINGS, CONFORMED PROJECT Mylar or CADD drawings developed for the conformed contract.	ENG2110	ACT	LOS+10	CONSTRUCTION, OPERATIONS	LOS+10		SS
ENG2000 Construction Implementation Engineering Docs	DRAWINGS, AS-BUILT Drawings marked up by contractor to indicate actual construction.	ENG2120	ACT	UCP	CONSTRUCTION, OPERATIONS	IND	Destroy paper 6 months after captured into Project Quest.	SS
ENG2000 Construction Implementation Engineering Docs	CALCULATIONS Engineering calculations for MTA systems and facilities.	ENG2125	ACT	IND	CONSTRUCTION, OPERATIONS	IND	Destroy paper 6 months after captured into Project Quest.	SS

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

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

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
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
ENV1000 Environmental Records	ENVIRONMENTAL TESTING/EXPOSURE/MONITORING Records related to the testing, monitoring, and analysis of the environment for hazardous substances.	ENV1100	ACT+01	29	CORPORATE SAFETY	IND		
ENV1000 Environmental Records	ENVIRONMENTAL PROJECT FILES 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.	ENV1200	ACT	15	ENVIRONMENTAL	ACT+15		
ENV2000 Hazardous Material Records	HAZARDOUS MTA CHEM INV FORMS (HCS-88) Records explaining the dangers associated with different chemicals found in the workplace.	ENV2100	ACT	IND	CORPORATE SAFETY	IND		
ENV3000 Hazardous Waste Records	HAZARDOUS WASTE MANIFEST FORMS Records detailing the disposition of environmentally dangerous materials.	ENV3100	ACT+01	10	MULTIPLE	IND	Destroy paper 10 years after captured.	
ENV3000 Hazardous Waste Records	UNDERGROUND STORAGE TANK O&M Records documenting the maintenance and disposition of waste storage tanks.	ENV3200	ACT+01	10	MULTIPLE	IND	Destroy paper 10 years after captured.	

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
ENV4000 Environmental Impact	ENVIRONMENTAL IMPACT REPORT 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.	ENV4100	ACT	IND	MULTIPLE	IND		
FIN1000 Finance Transactions	FINANCE GENERAL Finance records not belonging in more specialized categories.	FIN1100	3	NA	FINANCE	3		
FIN1000 Finance Transactions	BANKING (DEPOSITS/CANCELLED CHECKS, ETC.) Records related to banking activities.	FIN1200	2	4	TREASURY	6		
FIN1000 Finance Transactions	WIRE TRANSFER BOOKS Records documenting electronic transfer of MTA funds.	FIN1300	2	IND	TREASURY	IND	V	
FIN1000 Finance Transactions	OFFICIAL TRANSCRIPTS 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.	FIN1320	ACT	NA	TREASURY	ACT	Destroy when no longer needed.	C, N, P
FIN2000 Investment Records	PENSION FUND INVESTMENT RECORDS Records related to passive investments for Pension Fund.	FIN2100	ACT+02	UCP	TREASURY	IND	V	
FIN2000 Investment Records	BOND/DEBENTURE/INVESTMENT RECORDS Records related to passive investments in stocks, bonds, and mutual funds to track and manage investments.	FIN2200	ACT+02	UCP	TREASURY	IND	V	
FIN3000 Credit Records	LOAN/CREDIT RECORDS Credit statements and lending files. Includes TIFIA America fast forward TIFIA loans.	FIN3100	ACT+03	IND	ACCOUNTING	IND		

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
FIN3000 Credit Records	BAD DEBTS/UNCOLLECTABLE ACCT RECORDS Records related to the monitoring, collecting, and writing off of bad debts. Includes authorizations, supporting details of uncollectible accounts.	FIN3200	ACT+06	NA	ACCOUNTING	ACT+06	EL. Destroy paper after scanned and verified & retain electronic file 6 yrs.	
FIN4000 Credit Records	FINANCIAL STATEMENTS (ANNUAL) Financial statements, reports, and background information submitted to government agencies, stakeholders, etc.	FIN4100	10	UCP	ACCOUNTING	IND		
FIN5000 Credit Records	FINANCIAL AUDITS (EXTERNAL) Audits and work papers related to financial statements.	FIN5100	10	UCP	ACCOUNTING	IND		
FIN6000 Grants Management	GRANT MANAGEMENT FILES Programmatic, statistical, and supporting documents relevant to program regulations of state and federal grant agreements, including audit reports.	FIN6100	ACT+01	2	PROGRAM MANAGEMENT	ACT+03		
FIN9000 OMB Records	BUDGET (ANNUAL) Approved annual budget for each fiscal year.	FIN9100	ACT+01	UCP+10	OFFICE OF MANAGEMENT & BUDGET	IND	PA	
FIN9000 OMB Records	BUDGET (ANNUAL) SUPPORT DOCUMENTS Records related to budget preparation, including department budget submittals.	FIN9110	ACT+02	4	OFFICE OF MANAGEMENT & BUDGET	ACT+ 06		
FIN9000 OMB Records	BUSINESS PLANNING/FORECASTING Records related to future planning and forecasting for internal processes. Includes annual plans, strategic plans, facility planning. Does not include transportation planning.	FIN9200	ACT+2	UCP+5	OFFICE OF MANAGEMENT & BUDGET	IND	PA	
HUM1000 Human Resources	HUMAN RESOURCES GENERAL HR records not classified in other categories.	HUM1100	ACT+3	NA	HUMAN RESOURCES	ACT+3		C

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
HUM2000 Benefits	BENEFITS/INSURANCE PLANS, CONTRIBUTIONS Records related to agency-sponsored benefit plans. Includes insurance, pension, disability, medical, and survivor program; vesting; vacation; educational assistance; savings plans; flexible spending claims; and correspondence explaining benefits plans.	HUM2100	ACT+03	3	BENEFITS	ACT+06	V	
HUM2000 Benefits	PENSION SUMMARY INFORMATION Records related to cumulative years of service, total pension contributions, accrued benefits, pension plans vendor payment records, etc.	HUM2200	ACT	6	BENEFITS	ACT+06		C
HUM2000 Benefits	BENEFITS CONTRIBUTIONS/DISTRIBUTIONS Records detailing actual monies contributed and disbursed.	HUM2300	ACT	6	BENEFITS	ACT+6		C
HUM2000 Benefits	PENSION PLAN RPT (IRS FORM 5500) Records related to pension plans, pension valuations, actuarial reports, benefits statements, performance evaluation reports, etc.	HUM2400	3	3	BENEFITS	6		C
HUM3000 Individual Employee Files	HR EMPLOYEE PERSONNEL FILE (NON-MED) Summary and detailed records for individual employees related to hiring, promotion, performance, transfer, termination, etc. maintained by HR.	HUM3100	ACT	5	HUMAN RESOURCES	ACT+05		C
HUM3000 Individual Employee Files	DEPARTMENTAL EMPLOYEE PERSONNEL FILE (NON-MED) Summary and detailed records for individual employees maintained by the employee's department.	HUM3110	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
HUM3000 Individual Employee Files	IMMIGRATION & NATURALIZATION SVC FORM I-9 Immigration & naturalization Form 1-9. Individuals employment eligibility verification records.	HUM3200	ACT+03	NA	HUMAN RESOURCES	ACT+03	Keep in department until employee separates from MTA plus 3-yrs.	C

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
HUM4000 Employee Health & Safety Records	HR EMPLOYEE MEDICAL RECORDS – GENERAL Employee medical records related to medical treatment, examinations, medical history, etc. maintain by HR.	HUM4100	ACT	5	HUMAN RESOURCES	ACT+5		C
HUM4000 Employee Health & Safety Records	DEPT. EMPLOYEE MEDICAL RECORDS – GENERAL Employee medical records related to medical treatment, examinations, and history in employee's department	HUM4110	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
HUM4000 Employee Health & Safety Records	EMPLOYEE MEDICAL RECORDS-HAZARD EXPOS Records pertaining to exposures to hazardous materials.	HUM4200	ACT	UCP	CORPORATE SAFETY	IND	If injury occurred, documents may be required for litigation or claim.	C
HUM4000 Employee Health & Safety Records	INJURY/ILLNESS PROGRAM FILES Records detailing MTA programs promoting employee health and safety (IIPP Binders).	HUM4300	5	NA	DIVISIONS	5		
HUM4000 Employee Health & Safety Records	EMPLOYEE ACCIDENT/INJURY RECORDS Records related to on-the-job injury, including Safety-5.	HUM4310	ACT+02	NA	MULTIPLE	ACT+02		C
HUM4000 Employee Health & Safety Records	OSHA 200 LOG AND SUMMARY (MONTHLY) Monthly report sent to OSHA each month detailing accidents.	HUM4320	6	NA	CORPORATE SAFETY	6		
HUM4000 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.	HUM4410	ACT	UCP	CORPORATE SAFETY	IND	EL	
HUM4000 Employee Health & Safety Records	EXPOSURE AND AUDIOMETRIC TESTING Records related to exposure and audiometric testing conducted for employees.	HUM4420	2	UCP	CORPORATE SAFETY	IND		

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
HUM4000 Employee Health & Safety Records	WORKPLACE INSPECTION/TESTING Records related to inspection and testing of workplace for possible hazards.	HUM4430	3	NA	CORPORATE SAFETY	3		
HUM4000 Employee Health & Safety Records	SAFETY AND EMERGENCY PLANS Plans for coping with disaster and emergency (e.g. fire and earthquake evacuation, etc.).	HUM4500	ACT	3	CORPORATE SAFETY/GENERAL SERVICES	ACT+3		S
HUM4000 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.	HUM4610	2	8	HUMAN RESOURCES	10		
HUM4000 Employee Health & Safety Records	DRUG & ALCOHOL POSITIVE TEST RESULTS Records related to positive drug test results including completed follow-up files.	HUM4620	3	5	HUMAN RESOURCES	8		C
HUM4000 Employee Health & Safety Records	DRUG & ALCOHOL PROGRAM RANDOM SELECTION FILES Records related to random testing and files of selectees not tested and reason.	HUM4630	2	4	HUMAN RESOURCES	6		C
HUM4000 Employee Health & Safety Records	DRUG & ALCOHOL POST-ACCIDENT NEGATIVE RESULTS Records related to the Alcohol testing program, including copies of related reports.	HUM4640	3	NA	HUMAN RESOURCES	3		C
HUM4000 Employee Health & Safety Records	DRUG & ALCOHOL PRE-EMPLOYMENT/RTW NEGATIVE RESULTS Records related to alcohol tests with negative results, including Non-DOT new hire negative tests.	HUM4650	2	NA	HUMAN RESOURCES	2		C
HUM4000 Employee Health & Safety Records	DRUG & ALCOHOL RANDOM NEGATIVE RESULTS Records showing proof of testing.	HUM4660	2	NA	HUMAN RESOURCES	2		C

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
HUM5000 Training Development	TRAINING/EMPLOYEE DEVELOPMENT FILES 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.	HUM5100	ACT	3	HUMAN RESOURCES	ACT+3	Not Grant-Related	
HUM5000 Training Development	ORGANIZATIONAL DEVELOPMENT & TRAINING (OD&T) - Imaged records related to training and employees development records for Organizational Development & Training.	HUM5101	ACT	3	ORGANIZATIONAL DEVELOPMENT & TRAINING	ACT+3	EL	
HUM5000 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.	HUM5105	ACT+6	NA	OPERATIONS MAINTENANCE INSTRUCTION, OPERATIONS CENTRAL INSTRUCTION, ORGANIZATIONAL DEVELOPMENT & TRAINING	ACT+6		
HUM5000 Training Development	GRANT-RELATED TRAINING/EMPLOYEE DEVELOPMENT FILES Grant-funded training and employee development.	HUM5110	ACT	LOG+3	HUMAN RESOURCES	LOG+3	Retain 3 years after final payment	
HUM5000 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.	HUM5115	3	NA	ORGANIZATIONAL DEVELOPMENT & TRAINING	3		C
HUM5000 Training Development	VEHICLE TRANSIT TRAINING FILES Files documenting each operator's training and certification.	HUM5200	ACT	5	OPERATIONS DIVISIONS TRANSPORTATION	ACT+5		

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
HUM5000 Training Development	DMV CERTIFICATE FILES Files reviewed by DMV to ensure operator training and readiness.	HUM5210	5	IND	OPERATIONS DIVISIONS TRANSPORTATION	IND		C
HUM6000 Salary Administration	SALARY ADMINISTRATION GENERAL RECORDS Records related to the payment of salaries and wages that are not included under any other sub-category (e.g. Acct-10's, TOWP, vacation adjustments, cash out, sick donations, etc.)	HUM6100	3	3	HUMAN RESOURCES	6		
HUM6000 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.	HUM6110	3	27	PAYROLL, OPERATIONS DIVISIONS	30		
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-yrs 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-yrs 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-yrs 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

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
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 Operators overtime slips and Operators scheduled deviation time.	HUM6520	3	NA	OPERATIONS DIVISIONS MAINTENANCE	3		
HUM6000 Salary Administration	SCHEDULE CHECKERS ASSIGNMENT Records related to employees daily assignments. Scheduled Checkers assignmint with alterations to their assignments.	HUM6600	1	5	PLANNING	6		
HUM7000 Employee Selection Files	EMPLOYEE SELECTION FILES Records related to all Metro Job postings/bulletens	HUM7000	1	9	HUMAN RESOURCES	10		C
HUM7000 Employee Selection Files	BACKGROUND INVESTIGATION RECORDS Records pertaining to investigation of people that applied for employment with LACMTA.	HUM7100	3	7	HUMAN RESOURCES	IND		C, I
HUM7000 Employee Selection Files	LEADER TESTING RECORDS Employee performance test results.	HUM7110	ACT+3	NA	CENTRAL INSTRUCTION MAINTENANCE	ACT+3		C
HUM8000 Employment Standards and Compliance	TRIP REDUCTION PLAN (SCAQMD) Records documenting MTA's effort to reduce number of employee vehicle trips.	HUM8100	1	UCP	HUMAN RESOURCES	IND		
HUM8000 Employment Standards and Compliance	HOME TO WORK SURVEY Surveys to determine how employees commute and thereby determine compliance with PLAN.	HUM8110	ACT	3	HUMAN RESOURCES	ACT+3		

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
HUM8000 Employment Standards and Compliance	ADA FILES Records documenting compliance with Americans with Disabilities Act, for employees and future employees and riders	HUM8200	ACT+ 6	NA	HUMAN RESOURCES	ACT+6	EL.Destroy paper file after captured into Share Point.	
HUM8000 Employment Standards and Compliance	VIOLENT INCIDENT REPORTS Reports of violent employee behavior in the work place.	HUM8300	ACT+5	NA	HUMAN RESOURCES	ACT+5		C, I
HUM8000 Employment Standards and Compliance	FAMILY CARE AND MEDICAL LEAVE (FCML) FILES Records documenting applications, and authorizations for FCML.	HUM8400	4	NA	HUMAN RESOURCES	4		C
LEG1000 Business Organization	CEO MAIL RECORDS Imaged records of communications addressed to the CEO	LEG1010	ACT	IND	EXECUTIVE OFFICE	IND	EL	
LEG1000 Business Organization	BUSINESS ORGANIZATION GENERAL RECORDS Records related to the establishment of, and rules governing, the operation of the organization.	LEG1100	10	UCP	OFFICE OF BOARD SECRETARY	IND		
LEG1000 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.	LEG1200	1	UCP	OFFICE OF BOARD SECRETARY	IND	V, PA	
LEG1000 Business Organization	BOARD AND FORMAL COMMITTEE MEETING MEDIA Electronic audio and audio tapes of Board meetings.	LEG1210	1	IND	OFFICE OF BOARD SECRETARY	IND	Stored in RMC and Share Point	
LEG1000 Business Organization	CONFIDENTIAL BOARD & COMMITTEE MEETING RECORDS Records of closed Board sessions involving eminent domain, personnel, and other confidential matters.	LEG1220	IND	NA	OFFICE OF BOARD SECRETARY	IND	Tape and hard copy stored in Board Sec. Office	C, P, N
LEG1000 Business Organization	BOARD RESOLUTIONS AND ORDINANCES Formal legal determinations by the Board of Directors.	LEG1300	1	UCP	OFFICE OF BOARD SECRETARY	IND		

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
LEG1000 Business Organization	INFORMAL MEETING AGENDAS/MINUTES Minutes of informal or unofficial committee meeting. Including audio recordings	LEG1400	3	UCP	MULTIPLE	IND	PA Send audio recording to RMC	
LEG1000 Business Organization	BOARD BOX ITEMS Informational items distributed by the Board Secretary to Board members.	LEG1500	03 MO	UCP	OFFICE OF BOARD SECRETARY	IND		
LEG1000 Business Organization	INSURANCE (POLICIES/AMENDMENTS, ETC.) Records related to coverage affecting agency liability. Includes policies, amendments, riders, and proof of payment.	LEG1600	ACT+01	IND	RISK MANAGEMENT	IND	V	C, SS
LEG1000 Business Organization	CLAIM/LITIGATION CASE FILES Records of claims and lawsuits against the MTA.	LEG1700	ACT	2	RISK MANAGEMENT, COUNTY COUNSEL	ACT+2		C, SS, P, I, N
LEG1000 Business Organization	WORKERS COMP. CLAIMS Workers compensation claims for job-related injuries.	LEG1730	ACT+01	IND	RISK MANAGEMENT	IND		C, SS, I
LEG1000 Business Organization	EO COMPLAINT FILES AND TITLE VI COMPLAINT FILES Formal complaints of violation of federal equal opportunity laws.	LEG1740	ACT	5	CIVIL RIGHTS PROGRAM COMPLIANCE	ACT+05		C, SS, I
HUM8000 Employment Standards and Compliance	TITLE 6 RECORDS Records documenting analysis reports, notice of title 6, memos, postings, complaints, etc.	LEG1745	2	3	CIVIL RIGHTS PROGRAM COMPLIANCE	5		
LEG1000 Business Organization	GRIEVANCE FILES (MAJOR 2nd LEVEL CASES) Records pertaining to the disposition of formal employee complaints against management	LEG1750	ACT+02	8	MULTIPLE	ACT+10		C, I
LEG1000 Business Organization	TCU GRIEVANCE FILES (MAJOR 2nd LEVEL CASES) Records pertaining to the TCU grievance records pertaining to the disposition of formal employee complaints against management	LEG1755	ACT+10	NA	LABOR/EMPLOYEE RELATIONS	ACT+10		C, SS, I
LEG1000 Business Organization	LABOR/ARBITRATION FILES Records of precedent-setting settlements and rulings.	LEG1760	ACT+02	8	LABOR/EMPLOYEE RELATIONS	IND		C, I, N, P

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
LEG1000 Business Organization	GRIEVANCE FILE 2nd LEVEL (MINOR INFRACTIONS) Records pertaining to the disposition of minor infractions of employee complaints.	LEG1770	3	NA	LABOR/EMPLOYEE RELATIONS	3		C, I
LEG5000 Legal Compliance	LEGAL COMPLIANCE DOCS (FTA, EEOC, ETC.) Records related to the preparation of documents required by various agencies. Includes reporting and filings with agencies such as FTA, OSHA, EPA, EEOC, SBOE, etc.; also includes external program audits required by government agencies.	LEG5100	7	UCP	MULTIPLE	IND		
LEG5000 Legal Compliance	FTA-FEDERAL TRANSPORTATION FTA electronic system which collects information from the TOTS, Scheduling, and ATMS for reporting to the FTA.	LEG5110	10	NA	SERVICE PERFORMANCE & ANALYSIS	10		
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		

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
LEG5000 Legal Compliance	ETHICS OPINIONS Evaluation of potential Code of Conduct violation documentation. Records pertaining to ethics compliance issued by Metro and other government bodies and advice letters.	LEG5515	IND	NA	ETHICS	IND		
LEG5000 Legal Compliance	STATEMENT OF ECONOMIC INTERESTS Imaged CA700 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		
LEG5000 Legal Compliance	METRO PARKING CITATION AND FARE EVASION HEARINGS Documents maintained for record keeping purposes including copies of the original citation (parking or fare evasion ticket), photos, correspondence, notes taken at the hearing, hearing video, copies of the findings from the 1st level review and the 2nd level hearing official's finding recommendation.	LEG5540	5	NA	TRANSIT COURT	5		
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		

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
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
LEG5000 Legal Compliance	COPYRIGHT/TRADEMARK/PATENT RECORDS Records related to preparation, filing, maintenance, and rights for patents and copyrights.	LEG7000	ACT+01	UCP	RECORDS MANAGEMENT	IND		C, SS, I, TS
LEG5000 Legal Compliance	LABOR RELATIONS NEGOTIATION FILES Records pertaining to the negotiation of labor contracts with the Unions.	LEG8000	ACT+03	UCP	LABOR/EMPLOYEE RELATIONS	IND		C, N, P

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
LEG5000 Legal Compliance	LEGAL SERVICE COPIES (SUBPOENAS, ETC) Copies of subpoenas maintained by the Legal Service Office.	LEG9000	1	NA	LEGAL SERVICES	1		
LEG5000 Legal Compliance	LEGAL SERVICE ORIGINAL SUBPOENAS Original subpoenas received in Legal Services to garnish Metro employees' wages.	LEG9005	1	2	LEGAL SERVICES	3		
MAR1000 Marketing	MARKETING ACTIVITY RECORDS Records related to marketing or sales activities with vendors and potential customers.	MAR1100	3	NA	COMMUNICATIONS	3	Not Grant-Related	
MAR1000 Marketing	GRANT-RELATED RIDE SHARE RECORDS Records related to ride share grant-funded projects.	MAR1110	ACT	3	COMMUNICATIONS	ACT+3	Retain in department until grant has closed	
OPM1000 Operations and Maintenance Records	OPERATIONS & MAINTENANCE GENERAL Records generated by the Divisions not belonging to another category (e.g. track allocation, mainline operating clearance, inspection records, yard switch, manual block, clearance card, etc.).	OPM1100	2	3	OPERATIONS	5		SS
OPM2000 Operations and Maintenance Records	OPERATIONS SCHEDULING RECORDS Records pertaining to the development, revision, and issue of bus schedules (paddle board, work runs, supervisor summaries, consent decree, etc.).	OPM2100	US	10	SERVICE PERFORMANCE ANALYSIS	10	Sch. Dept. keeps their copy until superseded & RMC keeps their copy for 10yrs.	
OPM2000 Operations and Maintenance Records	OPERATIONS PULLOUT SHEETS (Rollout) Daily sheets produced by Scheduling detailing pull-out time for each scheduled bus/train for a division; the transportation and maintenance sections annotate the drivers and coach numbers assigned.	OPM2200	01 MO	10	OPERATIONS	10		
OPM2000 Operations and Maintenance Records	OPERATIONS PLANNING LINE FILES Records pertaining to the development and revision of bus routes (Route Instructions, Service Change Summaries, timeload, etc.).	OPM2300	ACT	AR	OPERATIONS PLANNING, SCHEDULING	AR		

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
OPM2000 Operations and Maintenance Records	STOPS & ZONES T2 LINE FILES Master lists of bus lines and stops.	OPM2400	ACT	AR	STOPS & ZONES	AR		SS
OPM3000 Operations and Maintenance Records	RAIL SAFETY & TRAINING RECORDS Records related to the program for periodic instruction of railroad employees, including program amendments.	OPM3100	5	NA	OPERATIONS RAIL	5		
OPM3000 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.	OPM3200	1	4	OPERATIONS CENTRAL INSTRUCTION	5		
OPM4000 Accident and Incident Records	VEHICLE ACCIDENT/INCIDENT REPORTS Reports of accidents and incidents occurring on buses or trains.	OPM4100	01MO	10	OPERATIONS DIVISIONS	10		C, SS, I
OPM4000 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.	OPM4110	2	1	OPERATIONS/ SAFETY	3		C, I
OPM4000 Accident and Incident Records	OPERATIONS CONTROL CENTER RECORDINGS Functional data collected by Central Control. Recorded on ATMS System.	OPM4200	1	NA	OPERATIONS CONTROL CENTERS	1		C, I
OPM4000 Accident and Incident Records	OPERATIONS CONTROL RECORDINGS Data routinely collected daily by Central Control. Recorded on ATMS System.	OPM4210	1	NA	OPERATIONS CONTROL CENTERS	1		C, I
OPM4000 Accident and Incident Records	OPERS CTRL CTR RECORDINGS (MAJOR INCIDENT) Data collected by Central Control related to serious accidents and injuries. Recorded on ATMS System.	OPM4220	1	IND	OPERATIONS CONTROL CENTERS	IND		

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
OPM4000 Accident and Incident Records	OPERATIONS CTRL CTR DIV TELEPHONE RECORDINGS Tapes of telephone conversations between Central Control and operators regarding incidents in stations or vehicles. Recorded on Call Parrot System.	OPM4330	1	NA	OPERATIONS CONTROL CENTERS	1		C, I
OPM4000 Accident and Incident Records	OPS CTRL CTR TELEPHONE RECORDINGS (MAJOR) Tapes of telephone conversations regarding serious accidents and injuries. Recorded on Call Parrot System.	OPM4340	3	IND	OPERATIONS CONTROL CENTERS	IND		
OPM4000 Accident and Incident Records	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.	OPM4360	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.	
OPM5000 Vehicle Maintenance Records	VEHICLE MAINTENANCE GENERAL Revenue vehicle maintenance records not fitting into the more specialized category.	OPM5100	1	19	OPERATIONS MAINTENANCE	20		
OPM5000 Vehicle Maintenance Records	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.	OPM5200	6	14	OPERATIONS MAINTENANCE	20		
OPM5000 Vehicle Maintenance Records	BUS WARRANTY FILES Records of warranty arrangements, warranty claims and warranty coverage and repair documentation and invoices.	OPM5300	7	LOV+4	OPERATIONS MAINTENANCE	LOV+4		
OPM5000 Vehicle Maintenance Records	OPERATIONS EQUIPMENT DAMAGE RPT Hard copy reports on damages to buses and trains.	OPM5400	1	5	OPERATIONS MAINTENANCE	6		

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
OPM5000 Vehicle Maintenance Records	COACH/CAR INSPECTION RECORDS Records of periodic inspection of coaches.	OPM5500	2	18	OPERATIONS DIVISIONS MAINTENANCE	20		
OPM5000 Vehicle Maintenance Records	ELECTRONIC COACH MAINTENANCE REPORTS Electronic records system that tracks maintenance activities, including preventative maintenance, unscheduled repairs, modifications to equipment. Includes current and historical inventory information.	OPM5600	LOV+2	NA	OPERATIONS MAINTENANCE	LOV+2	EL	
OPM5000 Vehicle Maintenance Records	DEFECT CARDS (B/O Cards) Cards filled out by operator noting defects and annotated by Mechanics with indication of repair.	OPM5700	2	18	OPERATIONS DIVISIONS MAINTENANCE	20		
OPM5000 Vehicle Maintenance Records	ROAD FAILURE TREND ANALYSIS (33-72) Statistical report of road failures of revenue vehicles.	OPM5800	1	NA	OPERATIONS DIVISIONS MAINTENANCE	1		
OPM5000 Vehicle Maintenance Records	ROAD FAILURE REPORTS & SUMMARIES (Road Call) Individual and summarized reports of revenue vehicles road failures.	OPM5810	1	6	OPERATIONS DIVISIONS MAINTENANCE	7		
OPM5000 Vehicle Maintenance Records	MAINTENANCE ADMINISTRATIVE RECORDS Copies of department correspondence and other general administrative documents.	OPM5900	1	NA	OPERATIONS DIVISIONS MAINTENANCE	1		
OPM5000 Vehicle Maintenance Records	OPERATIONS TRAINING RECORDS Imaged basic operator training, maintenance training, division support, TOS training, student records, and DMV-ETP.	OPM5910	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	
OPM5000 Vehicle Maintenance Records	OPERATIONS TRAINING MATERIALS Imaged Training Manuals and Course Materials	OPM5920	ACT	10	OPERATIONS CENTRAL INSTRUCTION	10	EL	

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
OPM5000 Vehicle Maintenance Records	OPERATIONS CONTRACT RECORDS Imaged contracts	OPM5930	ACT	3	OPERATIONS CENTRAL INSTRUCTION	3	EL	
OPM6000 Transit Police	TRANSIT SECURITY GENERAL RECORDS Records pertaining to activities of the Transit Security.	OPM6100	2	4	TRANSIT SECURITY	6		C, I
OPM6000 Transit Police	TRANSIT SECURITY DISPATCH RECORDINGS Dispatched audio recording of incidents.	OPM6200	04 MO	NA	TRANSIT SECURITY	04 MO		C, I
OPM7000 Congestion Relief	FREEWAY SERVICE PATROL RECORDS Records related to the program to provide tow trucks to motorists stranded on the freeways.	OPM7100	2	IND	MOTORIST SERVICES	IND		
OPM7000 Congestion Relief	MOTORIST ASSIST FORMS – SCANNED Scantron forms recording assistance provided to individual motorists.	OPM7110	0.05	0.05	MOTORIST SERVICES	1		C
OPM8000 Rail Maintenance	SIGNAL & COMMUNICATION FILES Records related to inspection, maintenance and testing of grade crossing signals.	OPM8100	3	1	OPERATIONS DIVISIONS MAINTENANCE RAIL	4		
PPA1000 Transportation Planning	SCAG OVERALL WORK PROJECT PLAN Records pertaining to transportation projects approved and monitored by SCAG.	PPA1010	3	NA	COUNTYWIDE PLANNING & DEV.	3	PA	
PPA1000 Transportation Planning	REGIONAL TRANSPORTATION PLANS Regional transportation plans for all modes.	PPA1100	3	UCP	COUNTYWIDE PLANNING & DEV.	IND		
PPA1000 Transportation Planning	MTA TRANSPORTATION SUPPORT DOCUMENTATION Working papers and support documents for transportation plan.	PPA1110	ACT	3	COUNTYWIDE PLANNING & DEV.	ACT+3	PA, GR	
PPA1000 Transportation Planning	QUARTERLY REPORT FOR COUNTY WIDE PLANNING Countywide Planning and Programming section quarterly status reports.	PPA1200	3	IND	COUNTYWIDE PLANNING & DEV.	IND		

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
PPA1000 Transportation Planning	QUARTERLY REPORT FOR COUNTYWIDE PLANNING (Back-up material) Back-up material for Countywide Planning & Programming sections quarterly status reports.	PPA1300	1	2	COUNTYWIDE PLANNING & DEV.	3		
PPA2000 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.	PPA2100	ACT+3	UCP	COUNTYWIDE PLANNING & DEV.	IND	EL, GR, PA	
PPA2000 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.	PPA2110	ACT	10	COUNTYWIDE PLANNING & DEV.	ACT + 10	Keep original hardcopy in off-site storage for 10-years after they have been imaged	
PPA2000 Transportation Project Programming	LOCAL TRANSIT FILES (MUNI & CITY FILES) Local city file containing proposition A&C memoranda of understanding; TDA/STA claims; Section 9/n. D.T.I performance audits; SRTDS; State Control Reports, etc.	PPA2200	3	UCP	COUNTYWIDE PLANNING & DEV.	IND		
PPA2000 Transportation Project Programming	IMMEDIATE NEEDS PROGRAM FILES Immediate needs program records (include trip information, trip summaries, funding authorizations, invoices, and vouchers) documenting the program that distributes taxi vouchers and bus tokens to those with transportation needs and no other means to meet them.	PPA2210	ACT+1	2	COUNTYWIDE PLANNING & DEV.	ACT+3		

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
PPA2000 Transportation Project Programming	CTC AGENDA (California Transportation Commission) CTC are agendas of all legislative, statewide information items.	PPA2300	3	5	COUNTYWIDE PLANNING & DEV.	8		
PPA3000 Transportation Systems Analysis	TRANSPORTATION SYSTEMS ANALYSIS AND MODELS Records pertaining to the development and publishing of analytical transportation studies and models.	PPA3100	3	UCP	COUNTYWIDE PLANNING & DEV.	IND	PA, GR	
PPA3000 Transportation Systems Analysis	NATIONAL TRANSPORTATION DATABASE SOURCE DOCS Documents used to provide statistical transportation data to the National Transportation Database.	PPA3200	3	UCP	COUNTYWIDE PLANNING & DEV.	IND	PA, GR	
PPA3000 Transportation Systems Analysis	TRANSPORTATION MODELING RECORDS Print outs of data describing alternative transportation forecast.	PPA3300	ACT+1	20	COUNTYWIDE PLANNING & DEV.	20		
PPA4000 Benefits Assessment	BENEFIT ASSESSMENT ADMIN FILES Records pertaining to the assessment of a fee on property benefiting from transportation improvements.	PPA4100	ACT+1	UCP	COUNTYWIDE PLANNING/REAL ESTATE	IND	Keep originals 11 yrs. after imaging	
PPA4000 Benefits Assessment	BENEFIT ASSESSMENT CASE FILES Records pertaining to the disposition of individual property owners contesting their benefit assessment.	PPA4200	ACT+04	UCP	COUNTYWIDE PLANNING/REAL ESTATE	IND	Keep originals 11 yrs. after imaging	
PUB1000 Public Affairs	PUBLIC AFFAIRS/COMMUNITY RELATIONS GENERAL Records related to public relations not fitting into one of the specialized categories below.	PUB1100	3	UCP	MULTIPLE	IND	PA, GR	
PUB1000 Public Affairs	PUBLIC MEETING FILES Records of public meetings held to discuss transportation issues and changes	PUB1200	1	UCP	MULTIPLE	IND	PA, GR	
PUB1000 Public Affairs	PUBLIC COMMENT LETTERS Letters received from the public regarding transportation issues and changes.	PUB1300	1	UCP	MULTIPLE	IND	PA, GR	

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to Retain in Dept. Files	Yrs.to Retain Ori. in Off-site or sys. Storage	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
PUB1000 Public Affairs	PUBLIC COMMENT/COMPLAINT RECORDS Transit service related comments, commendations, and complaints	PUB1500	5	5	CUSTOMER SERVICE	10	EL. Retain paper in Dept 5 years and 5 years offsite.	
PUB2000 Public Affairs	GOVERNMENT RELATIONS RECORDS Records related to the MTA's relations with local, state, and federal government officials and bodies.	PUB2000	5	NA	GOVERNMENT RELATIONS	5	PA	
PUB3000 Public Affairs	PUBLIC AFFAIRS (PHOTO, MODEL, & PRESS RELEASES) Photo release, press release, and model release forms, including consent agreement forms produced by multiple departments.	PUB3000	5	UCP	PUBLIC RELATIONS/COMMUNICATIONS, RESEARCH & RECORDS INFO.	IND	EL	
PUB4000 Public Affairs	EMPLOYEE NEWSLETTERS/ALL STAFF MEMOS Newsletters and memos distributed to all staff and/or special employee groups.	PUB4000	3	UCP	MULTIPLE	IND	EL	
PUB5000 Public Affairs	ART COLLECTION DATABASES/RECORDS Records of special art fabricator specifications, conservator reports, inventory assessments/surveys and financial appraisals. Public and portable artworks.	PUB5100	IND	NA	METRO ART	IND	EL	
	NOTES:							
	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 CHIEF EXECUTIVE OFFICER	10/17/2010						

LACMTA RECORDS RETENTION SCHEDULE REVISION 17

RECORD SERIES	RECORD CATEGORY NAME & DESCRIPTION	RETENTION CODE	Years to	Yrs.to	OFFICE OF RECORDS	TOTAL RETENTION	COMMENTS	Sensitive Records
			Retain in Dept. Files	Retain Ori. in Off-site or sys. Storage				
	Rev. 15 APPROVED BY CHIEF EXECUTIVE OFFICER	7/14/2011						
	Rev. 16 APPROVED BY CHIEF EXECUTIVE OFFICER	5/25/2012						
	Rev. 17 APPROVED BY CHIEF EXECUTIVE OFFICER	8/27/2013						
	RETENTION CODES	SPECIAL RECORDS CATEGORIES						
	ACT = While active	P = Privileged Records (Communication from Legal Counsel to the Board of Director).						
	AR = Annual Review	C = Confidential Records (Records received by Metro with the intention that Metro used without any transfer of ownership as a result of the nature of the records).						
	EL = Electronic Record	TS = Procurement/Trade Secret (Formulas, plan, patterns, process, tool, mechanism, compound, procedure, production data or compilation of information which is not patentee etc.						
	G = Grant Related	CS = Computer Software Records (Computer mapping systems, programs and graphic systems).						
	GR = Potentially Grant Funded, See ADM5000	AV = Audio & Video Records (Incidents reported by Metro employee, law enforcement or individuals involved in the incidents).						
	IND = Indefinite. Records must be reviewed periodically.	SS = Security Sensitive Records (Facility records, transportation systems, communication or security systems and all other systems).						
	LOC = Life of Contract	I = Investigative Records (Investigation information and data relating to incidents or accidents on all Metro vehicles and facilities).						
	LOG = Life of Grant	N = Internal Negotiation Records						
	LOS = Life of System	DR = Records Stored Offsite for Disaster Recovery (Backed-up data, systems and application records).						
	LOV = Life of Vehicle	E = Email Records						
	MO = Months							
	NA = Not Applicable							
	PA = Potentially Archival							
	UC = Upon completion							
	UCP = Until Captured							
	US = Until Superseded or obsolete							
	UV = Until Verified							
	V = Vital Business Record							
	WC = When Created							
	WI = When Inactivated							
	WU = While Useful							