



Metro

**EXECUTIVE MANAGEMENT AND AUDIT COMMITTEE
NOVEMBER 18, 2004**

SUBJECT: REVISED RECORDS RETENTION SCHEDULE

**ACTION: APPROVE THE 2004 REVISION OF THE RECORDS RETENTION
SCHEDULE**

RECOMMENDATION

Approve revisions to the Records Retention Schedule.

ISSUE

The Public Utilities Code, Section 130051.23, states that the Los Angeles County Metropolitan Transportation Authority (LACMTA) must maintain records that are used for operational, financial, and legal reasons. In order to comply with this Code, the Board approved the Records Retention Schedule on May 24, 1995 and subsequently approved several revisions to it. On September 23, 2002, the Board approved the Records Management Policy (Gen 8), which included a revision of the Records Retention Schedule and detailed the policies and procedures required to ensure compliance with it.

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.

POLICY IMPLICATIONS

The Records Retention Schedule is the instrument for complying with the Public Utilities Code, as well as for satisfying the agency's basic records management needs. For this schedule to remain valid, it must be continually revised to reflect current law and administrative needs. Although this year there were no changes in the law necessitating a revision to the Schedule, staff is proposing a reduction in the retention period of technical engineering documents not required for operational or legal reasons in order to eliminate the cost of maintaining obsolete records.

The six categories of technical engineering documents for which a reduction in retention is recommended are listed in the table below:

RETENTION CATEGORY	TITLE	# OF BOXES CURRENTLY STORED	Current Retention Period	Proposed Retention Period
ENG1100	Design Review Documents	1099	Indefinite	Project Completion + 15 years
ENG1200	Design Subject Files	68	Indefinite	Project Completion + 15 years
ENG2150	Fire/Safety Records	22	Life of System (estimated to be 100 years) + 10 years	Project Completion + 15 years
ENG2210	Photos, Pre-construction	75	Life of System (estimated to be 100 years) + 10 years	Project Completion + 15 years
ENG2220	Photos, Project Progress	213	Life of System (estimated to be 100 years) + 10 years	Project Completion + 15 years
ENG2500	Construction Subject Files	4329	Indefinite	Project Completion + 15 years

Staff has determined that none of these records are required for operational purposes longer than the proposed period, and County Counsel has advised that they will not be needed for legal reasons beyond this period of time. Once their operational and legal values have expired, these records are no longer considered “significant agency records” and can be legally destroyed without first being copied to other media. Therefore, staff recommends that these records be destroyed fifteen years after the completion of the project to which they pertain.

OPTIONS

Not to revise the schedule. This is not recommended because the unnecessary cost of maintaining obsolete records would continue.

FINANCIAL IMPACT

It is projected that this revision will significantly reduce storage costs for technical engineering records no longer required for operational or legal reasons. The cost to

retain the 5,806 boxes of records from these categories already in storage for their currently scheduled retention period is \$1,644,228 while the cost to store them for the proposed fifteen years is only \$156,762. (These costs are detailed in Attachment A.) Thus, the savings on records already in storage alone would be \$1,487,466. Additional savings will accrue from the reduction of storage time for engineering documents produced by the agency and its consultants in the future. Potentially significant savings will also result from not having to unnecessarily produce these records to satisfy public records requests or litigation.

DISCUSSION

The revised schedule benefits the agency in two ways:

- Avoiding the cost to maintain records with no further value by disposing of those that are obsolete while moving those that are inactive to less expensive off-site storage.
- Increasing staff productivity by reducing the impediment of maintaining outdated, irrelevant materials and by ensuring that records are maintained as long as they are needed for operational purposes.

NEXT STEPS

The Records Management section of the General Services Department will provide training to staff on the revised Records Retention Schedule and Records Management Program. If the Public Utilities Code is changed, or if legal or administrative requirements necessitate future revisions to the Records Retention Schedule or Records Management Program, staff will seek appropriate Board approval.


ATTACHMENTS

- A. Explanation of proposed costs savings of documents already in storage
- B. Revised Records Retention Schedule with changes indicated by shading
- C. Resolution authorizing revision of the Records Retention Schedule

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Attachment A
Proposed Cost Savings of Documents Already in Storage

RETENTION CATEGORY	TITLE	# OF BOXES CURRENTLY STORED	CURRENT RETENTION REQUIREMENT	CURRENT RETENTION COST PER BOX	CURRENT RETENTION COST PER CATEGORY	PROPOSED RETENTION REQUIREMENT	PROPOSED RETENTION COST PER BOX	PROPOSED RETENTION COST PER CATEGORY	PROPOSED SAVINGS
ENG1100	Design Review Documents	1099	Capture electronically for indefinite retention	\$288	\$316,512	Project Completion + 15 years	\$27	\$29,673	\$286,839
ENG1200	Design Subject Files	68	Capture electronically for indefinite retention	\$288	\$19,584	Project Completion + 15 years	\$27	\$1,836	\$17,748
ENG2150	Fire/Safety Records	22	Life of System (estimated at 100 years) + 10 years	\$198	\$4,356	Project Completion + 15 years	\$27	\$594	\$3,762
ENG2210	Pre-construction Surveys	75	Life of System (estimated at 100 years) + 10 years	\$198	\$14,850	Project Completion + 15 years	\$27	\$2,025	\$12,825
ENG2220	Construction Progress Photos	213	Life of System (estimated at 100 years) + 10 years	\$198	\$42,174	Project Completion + 15 years	\$27	\$5,751	\$36,423
ENG2500	Construction Subject Files	4329	Capture electronically for indefinite retention	\$288	\$1,246,752	Project Completion + 15 years	\$27	\$116,883	\$1,129,869
TOTALS		5806			\$1,644,228			\$156,762	\$1,487,466

ATTACHMENT B
LACMTA RECORDS RETENTION SCHEDULE
REVISION 9

SERIES TITLE	New Retention Category	Retention Category Code	Years to Retain in Dept. Storage	Years to Retain in Originals in Off-site Storage	Office of Records	Total Retention	Comment	Sensitive Records
ACCOUNTS PAYABLE (ACC 1000)								
ACCTS PAYABLE VOUCHERS/INVOICES (Not Grant-related) Records related to payment of financial obligations. Includes vouchers, invoices, and statements	ACC1100	ACC1001	UCP	NA	ACCTG	6	Destroy paper after 6 mo. & retain electronic file 6 yrs. V	
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	ACCTG	LOG+3	Destroy paper after 6 mo. & retain electronic file LOG + 3	
NON-SEGREGATED PAYABLE RECORDS Payable records not segregated as grant or non-grant. (1992-1998)	ACC1120		2	30	ACCTG	32	GR	
POTENTIALLY GRANT-RELATED ELECTRONIC ACCOUNTING RECORDS Records related to payment of financial obligation that have been electronically scanned.	ACC1130		30	NA	ACCTG	30	Destroy paper after 6 mo. & retain electronic file for 30 years	
ACCOUNTS RECEIVABLE (ACC2000)								
ACCOUNTS RECEIVABLE RECORDS (GENERAL) Accounts Receivable with records not fitting into any sub-category	ACC2100		2	2	ACCTG	4		
CASH RECEIPT RECORDS Records documenting the receipt of cash	ACC2200	ACC1003	2	4	ACCTG	6		
PASS SELLERS RECORDS Records pertaining to the sales of fare media. Includes correspondence with sellers.	ACC2300	ACC1005	2	2	MAR	4		
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	MAR	6		
LEDGERS (ACC3000)								
Accounting books postings credits and debits								
ACCOUNTING JOURNAL/LEDGERS Records used to transfer charges between accounts and for summarizing account information.	ACC3100	ACC1002	2	8	ACCTG	10		

**ATTACHMENT D
LACMTA RECORDS RETENTION SCHEDULE
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SERIES TITLE	New Retention Category	Retention Category Code	Years to Retain in Dept. Storage	Years to Retain in Off-site Storage	Office of Records	Total Retention	Comment	Sensitive Records
CAPITAL ACCOUNTING (ACC4000)								
Records pertaining to long-term generational assets. Purchases of property and equipment, 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	ACC2000	ACT	3	ACCTG	ACT+03		
Records documenting the procurement and disposition of property other than real-estate.								
GRANT-RELATED EQUIPMENT PURCHASE & SALES Records documenting the procurement of property other than real-estate that is grant-related.	ACC4110		ACT	LOG+3	ACCTG	LOG+3	Retain 3 years after final payment	
VEHICLE DMV REGISTRATION CERTIFICATE Records documenting ownership or revenue and non-revenue vehicles.	ACC4210		ACT	NA	BD SEC	ACT		
VEHICLE ACQUISITION RECORDS Documenting the purchase and disposition of each revenue and non-revenue vehicle.	ACC4220	OPM5008	LOV	2	EQUIP ENGIN/ NON-REVENUE VEHICLES	LOV+2		
REAL-ESTATE ACQUISITION FILES Records pertaining to the agency's acquisition of property for right of way facilities, etc.	ACC4300	LEG2000	ACT+01	10	REAL-ESTATE	ACT+11		
RELOCATION FILES Pertaining to businesses that have been relocated	ACC4310		ACT+01	10	REAL-ESTATE	ACT+11		
LEASE FILES (INCLUDES PROPERTY MGMT) Records pertaining to the agency's management of property it purchased for potential future right of way or facilities locations.	ACC4320	LEG2003	ACT+01	9	REAL-ESTATE	ACT+10		
ELECTRONIC LEASE FILES Electronic lease files of records pertaining to the agency's management of nonrentv it purchased for potential future right of way or facilities locations.	ACC4325		ACT+10	NA	REAL-ESTATE	ACT+10		
DEEDS Original deeds for agency property	ACC4330		IND	NA	REAL-ESTATE	IND		
JOINT DEVELOPMENT PROJECT FILES Records pertaining to the agency's partnering with other organizations to develop property near its stations or other transportation elements.	ACC4340	LEG2004	ACT+01	UCP	PLANNING	IND		
UNION STATION GATEWAY RECORDS Records pertaining to the acquisition and development of the USG property and building.	ACC4350	LEG1003	ACT+03	UCP+2	GEN. SRV	IND	PA	S

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**GENERAL ADMINISTRATION RECORDS
(ADM1000)**
Records that document support activities common to all departments.

GENERAL SERVICES WORK REQUEST Forms used to request services from General Services and to track its completion	ADM1001	ADM1001	3	NA	MULTIPLE	3		
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		
DEPARTMENTAL BUDGET PREPARATION RECORDS Records used by departments in developing, justifying, and tracking a cost center's budget.	ADM1200		3	NA	MULTIPLE	3		
GENERAL DEPARTMENTAL RECORDS: CORRESPONDENCE Includes copies of department correspondence used for reference purposes. May be organized by date, subject, or correspondent (Significant correspondence is captured electronically in ADM1700).	ADM1310	ADM1003	3	NA	MULTIPLE	3		
GENERAL DEPARTMENTAL RECORDS: LOGS Records used in tracking activities and events.	ADM1320		3	NA	MULTIPLE	3		
GENERAL DEPARTMENTAL RECORDS: SCHEDULES Records documenting the planned and actual achievement of departmental activities.	ADM1330		3	NA	MULTIPLE	3		
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	ADM1004	ACT	NA	MULTIPLE	ACT		
SUBJECT AND REFERENCE MATERIALS Any materials maintained for informational purposes only, and not containing official records pertaining to significant agency activities	ADM1500	REF1000	ACT	NA	MULTIPLE	ACT		
ADMINISTRATIVE PROJECT FILES Files documenting departmental administrative projects.	ADM1600	ADM4000	ACT+1	2	MULTIPLE	ACT+3		
RMC SCAN Electronic and microfilmed copies of documents significant to LACMTA activities received in mail or from agency staff.	ADM1700	ADM1003	0.5	NA	RMC	IND	EL	
PUBLISHED REPORTS (Significant)	ADM1800	ADM7000	ACT	IND	MULTIPLE	IND		
LIBRARY ARCHIVAL DOCUMENTS Records that possess archival value, that pertain to the agency's history, and are maintained in the agency's Library	ADM1900		IND	NA	LIBRARY	IND		

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EQUIPMENT/PROPERTY INVENTORIES/LOGS
(ADM2000)

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	ADM2000	3	NA	MULTIPLE	3		
PROPERTY MANAGEMENT: SECURITY SENSITIVE INVENTORY Inventories of equipment that should not be disclosed for security reasons.	ADM2120	ADM2000	3	NA	MULTIPLE	3		S
PROPERTY MANAGEMENT: MAINTENANCE Records related to the maintenance of moveable agency property.	ADM2130	ADM2000	3	NA	MULTIPLE	3		
PROPERTY MANAGEMENT: SECURITY SENSITIVE MAINTENANCE Records related to the maintenance of moveable property that for security reasons should not be disclosed.	ADM2210	ADM2000	3	NA	MULTIPLE	3		S

POLICIES AND PROCEDURES
(ADM3000)

AGENCY POLICIES AND PROCEDURES Authority-wide records documenting approved procedures for performing activities to ensure uniformity and compliance with agency and legal requirements.	ADM3100	ADM3000	US	NA	RMC	IND		
DEPARTMENTAL POLICIES AND PROCEDURES Records documenting approved procedures for performing activities pertaining to individual departments.	ADM3200	ADM3000	US	UCP	MULTIPLE	IND		

COMPUTER RELATED ADMINISTRATIVE RECORDS
(ADM6000)

Records maintained in electronic media on the agency mainframe, organizational network, local networks, and individual PC's.

E-MAIL MESSAGES ON SERVERS E-mail messages maintained on ITS servers.	ADM6100	ADM1007	01 MO	NA	ITS	01 MO	EL	
E-MAIL SYSTEM BACK-UPS E-mail messages maintained on back-up tapes.	ADM6110	ADM1008	01 MO	NA	ITS	01 MO	EL	
INTERNET DOCUMENTS Electronic documents maintained on the agency's public internet web site.	ADM6120	ADM1008	ACT	NA	MULTIPLE	ACT		
INTRANET DOCUMENTS Electronic documents maintained on the agency's Corporate internet web site.	ADM6130	ADM1008	ACT	NA	MULTIPLE	ACT		S
CONTROL/INPUT DOCUMENTS Documents used by agency staff to input data into a computer, to verify that input, or to track the status of a database	ADM6200	ADM6000	UV	NA	MULTIPLE	UV		

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HISTORICAL DATA FILES Computer records with enduring significance to agency activities (i.e., Permanent, evidentiary, and/or historical value).	ADM6310	ADM8000	IND	NA	MULTIPLE		EL	
PC WORKING FILES Documents stored in each staff member's "My Documents" folder.	ADM6320	ADM1009	ACT	3****	MULTIPLE	ACT + 3	EL	
SECURITY RECORDS Records related to protecting employees, equipment, buildings and information. Includes security clearances, pass card lists, and password lists.	ADM7100		3	NA	SECURITY	3		S
INTERNAL AUDIT REPORTS Formal documents detailing the findings and recommendations of an audit.	ADM8100	ADM3001	3	UCP	INT	IND		
INTERNAL AUDIT WORKING PAPERS Collection of documents accumulated during an audit that support the conclusions of the audit report.	ADM8110		3	US	INT	US		
INVESTIGATION FILES (INSPECTOR GENERAL) Records documenting investigation by the OIG	ADM8200	ADM3002	ACT+2	IND	OIG	IND		
CONTRACT ADMINISTRATOR'S FILE File maintained by the contact administrator containing pre-award records (except unsuccessful proposals) and post award records pertaining to an agency vendor contract including the RFP or IFB with all amendments; executed contract; all amendments are changed orders to the contract; official contractual correspondence; documents pertaining to insurance, subcontractors, contract closeout and bid packages from proposers that were not selected.	CON1100	CON2000	LOC+1	29	CONTRACTS	LOC+30	V/GR	
CONTRACT WORK ORDERS Orders dealing with budget, schedule, and scope to accomplish a task within a contractual scope of work.	CON1130	CON5000	LOC+1	29	CONTRACTS	LOC+30	GR	
WARRANTIES Records documenting the contractor's written guarantee of a product's performance and responsibility to rectify defective work or equipment. (Does not include bus warranty OPM5300)	CON1140	CON6000	ACT	UCP	MULTIPLE	IND		
EXECUTED CONTRACTUAL DOCUMENTS CAPTURED ON MICROFILM OR ELECTRONIC MEDIA Executed contracts, and amendments captured by RMC on permanent media.	CON1200	CON1000	UCP	NA	RMC	IND		V

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PURCHASE ORDERS Authorizations for purchase of goods or expenditure of funds issued by Procurement.	CON1300	CON2002	LOC+1	29	CONTRACTS	LOC+30	GR	
GRANT-RELATED PURCHASE ORDERS Executed purchase orders related to grant-funded projects.	CON1310		3	LOG+3	CONTRACTS	LOG+3	Retain 3 years after last payment	
PACKING SLIPS Purchase receipt for items procured by agency from outside vendors	CON1320		ACT+1	3	PROCUREMENT	LOC+4		
CONTRACTOR PRE-QUALIFICATION FILE Submittals and evaluations of documents qualifying a firm to bid on an agency procurement	CON1400	CON4000	2	3	PRE-QUAL	5		
LABOR COMPLIANCE FILES Records related to the contractors' compliance with all terms of the contract including, fair wage and equal opportunity requirements.	CON1500	CON7000	LOC+1	29	DEO	LOC+30	GR	
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	DEO	LOG+3	Retain 3 yrs. After last payment	
CONTRACT COMPLIANCE FILES Contract Compliance files contain contract documents including Goal Evaluation Form, Bid/Proposal Evaluation Summary & Calculations, Conformed Documents, Board Report, and other contract related correspondence.	CON1530		LOC+3		27 DEO	LOC+30	GR	
ESTIMATING Back-up and supporting materials of estimated cost of contract.	CON1600		LOC+1	4	ESTIMATE	LOC+4		
AGREEMENTS (CON2000)								
AGREEMENTS Memoranda of understanding and other agreements with other organizations, except 3rd party and vendor contracts.	CON2100		LOC+1	NA	CONTRACT	IND	V	
MASTER COOPERATIVE AGREEMENTS (Not Grant-related) Agreements with other organizations with interests & projects overlapping those of the agency.	CON2200		LOC+1	3	CONTRACT	LOC+4		
GRANT-RELATED COOPERATIVE AGREEMENTS Agreements with other organizations with interests & projects overlapping those of the agency.	CON2210		LOG+1	3	CONTRACT	LOG+4	Retain 3 yrs. After final payment	

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DESIGN ENGINEERING DOCUMENTS (ENG1000)								
DESIGN REVIEW DOCUMENTS Records documenting the various formal reviews of engineering project designs	ENG1100		ACT+03 UC+3 UCP 12		CONSTRU/OPS	IND UC+15		S
DESIGN SUBJECT FILES Records organized by approved file codes reflecting the design of the system or facility								
CADD DRAWINGS Design drawings executed and maintained in Computer Assisted Drawing and Design software for agency. May be updated throughout the project as source for other drawings.	ENG1200		ACT+03 UC+3 UCP 12		CONSTRU/OPS	IND UC+15		S
CADD DRAWINGS Design drawings executed and maintained in Computer Assisted Drawing and Design software for agency. May be updated throughout the project as source for other drawings.	ENG1300	ACT	LOS+10		CONSTRU/OPS	LOS+10		S
CONSTRUCTION/IMPLEMENTATION ENGINEERING DOCUMENTS (ENG2000)								
CONSTRUCTION DIG ALERTS Notifications of excavations in areas containing utility lines.	ENG2001	ENG1001	1	2	CONSTRU/OPS	3		
DRAWINGS, CONFORMED PROJECT Mylar or CADD drawings developed for the conformed contract	ENG2110	ACT	LOS+10		CONSTRU/OPS	LOS+10		S
DRAWINGS, AS-BUILT Drawings marked up by contractor to indicate actual construction	ENG2120	ACT	UCP		CONSTRU/OPS	IND		S
DRAWINGS, CONSTRUCTION SHOP Drawings detailed items or equipment made in-house or purchased to perform necessary functions	ENG2130	LOS+10	NA		CONSTRU/OPS	IND		S
DRAWINGS, PROJECT RECORD Redone drawings based upon as-built mark-ups to reflect actually completed projects	ENG2140	LOS+10	NA		CONSTRU/OPS	IND		S
FIRE/SAFETY RECORDS System safety records that include as-built drawings, specifications, and drawings per code at the time of construction								
FIRE/SAFETY RECORDS System safety records that include as-built drawings, specifications, and drawings per code at the time of construction	ENG2150	ACT UC	LOS+40 15		SYS. SAFETY	LOS+40 UC+15		S
PHOTOS/PRECONSTRUCTION Photos & videos taken by insurance consultant and maintained by Task Management to protect against illegitimate claims of damage.								
PHOTOS/PRECONSTRUCTION Photos & videos taken by insurance consultant and maintained by Task Management to protect against illegitimate claims of damage.	ENG2210	ACT UC	LOS+40 15		CONSTRU/OPS	LOS+40 UC+15		S
PHOTOS/PROJECT PROGRESS Photos taken during construction of construction site and work.								
PHOTOS/PROJECT PROGRESS Photos taken during construction of construction site and work.	ENG2220	ACT UC	LOS+40 15		CONSTRU/OPS	LOS+40 UC+15		S

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SERIES TITLE	New Retention Category	Retention Category	Years to Retain in Dept. Storage	Years to Retain in Off-site Storage	Office of Records	Total Retention	Comment	Sensitive Records
PROJECT RECORD SPECIFICATIONS Reprinted contract technical specification that incorporate changes annotated onto as-built specifications.	ENG2300		LOS+10	NA	CONSTRU/OPS	IND		S
OPERATION & MAINTENANCE DATA Manuals and other material related to operating and maintaining the system constructed.	ENG2400		LOS+10	NA	CONSTRU/OPS	IND		S
CONSTRUCTION SUBJECT FILES Subject/response/reports arranged by approved subject codes maintained by the Project Manager or Resident Engineer and constituting the official Project Record	ENG2500		ACT+01	UCP 15	CONSTRU/OPS	IND UC+15		S
SUBMITTALS Work-products submitted by contractors to satisfy terms of contract.	ENG2600		ACT+01	UCP	CONTRACTS	IND		S
ENVIRONMENTAL RECORDS								
(ENV1000) Records pertaining to environmental dangers and protection.								
ENVIRONMENTAL TESTING/EXPOSURE/MONITORING Records related to the testing, monitoring, and analysis of the environment for hazardous substances.	ENV1100	ENV1000	ACT+01	29	SAFETY	IND		
HAZARDOUS MATERIAL RECORDS								
(ENV2000) Records explaining the dangers associated with different chemicals found in the workplace								
HAZARDOUS CHEM INV FORMS (HCS-88)	ENV2100	ENV2000	ACT	IND	OP. QUALITY CONT.	IND		
HAZARDOUS WASTE RECORDS								
(ENV3000) Records pertaining to industrial or project waste materials dangerous to human health								
HAZARDOUS WASTE MANIFEST FORMS Records detailing the disposition of environmentally dangerous materials.	ENV3100	ENV3000	ACT+01	10	MULTIPLE	IND		
UNDERGROUND STORAGE TANK O&M Records documenting the maintenance and disposition of waste storage	ENV3200	ENV4000	ACT+01	10	MULTIPLE	IND		
ENVIRONMENTAL IMPACT								
(ENV4000) ENVIRONMENTAL IMPACT REPORT								
ENVIRONMENTAL IMPACT REPORT	ENV4100	ACT		IND	MULTIPLE	IND		

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FINANCE TRANSACTIONS (FIN1000)								
FINANCE GENERAL Finance records not belonging in more specialized categories.	FIN1100	FIN1003	3	NA	FINANCE	3		
BANKING (DEPOSITS/CANCELLED CHECKS, ETC.) Records related to banking activities	FIN1200	FIN1001	2	4	TREASURY	6		
WIRE TRANSFER BOOKS Records documenting electronic transfer of agency funds.	FIN1300	FIN1003	5	IND	TREASURY	IND	V	
INVESTMENT RECORDS (FIN2000)								
PENSION FUND INVESTMENT RECORDS Records related to passive investments for Pension Fund.	FIN2100	FIN2000	ACT+03	UCP	TREASURY	IND	V	
BOND/DEBENTURE/INVESTMENT RECORDS Records related to passive investments in stocks, bonds, and mutual funds to track and manage investments.	FIN2200	FIN3000	ACT+03	UCP	TREASURY	IND	V	
CREDIT RECORD (FIN3000)								
LOAN/CREDIT RECORDS Credit statements and lending files.	FIN3100	FIN4000	ACT+03	IND	ACCTG	IND		
BAD DEBTS/UNCOLLECTABLE ACCT RECORDS Records related to the monitoring, collecting, and writing off of bad debts. Includes authorizations, supporting details of uncollectable accounts.	FIN3200	FIN5000	ACT+03	3	ACCTG	ACT+06		
FINANCIAL STATEMENTS (ANNUAL) Financial statements, reports, and background information submitted to government agencies, stakeholders, etc.	FIN4100	FIN6000	10	UCP	ACCTG	IND		
FINANCIAL AUDITS (EXTERNAL) Audits and work papers related to financial statements.	FIN5100	FIN6001	10	UCP	ACCTG	IND		
GRANTS MANAGEMENT (FIN6000)								
GRANT MANAGEMENT FILES Programmatic, statistical, and supporting documents relevant to program regulations of state and federal grant agreements, including audit reports.	FIN6100	ADM5001	ACT+01	2	GRANTS	ACT+03		

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BUDGET (ANNUAL) Approved annual budget for each fiscal year.	FIN9100	FIN9000	ACT+01	UCP+10	OMB	IND	PA	
BUDGET (ANNUAL) SUPPORT DOCUMENTS Records related to budget preparation, including department budget submittals.	FIN9110	FIN9001	ACT+02	4	OMB	ACT+06		
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	OMB	IND	PA	
HUMAN RESOURCES (HUM1000) Records pertaining to the recruitment, training, promoting, evaluating, compensating, nurturing, and terminating of agency employees.								
HUMAN RESOURCES GENERAL HR records not classified in other categories	HUM1100	HUM1000	ACT+3	NA	HR	ACT+3		
BENEFITS (HUM2000) Records related to all employee benefits other than salary.								
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; and correspondence explaining benefits plans.	HUM2100	HUM2000	ACT+03	3	FINANCE	ACT+06	V	
PENSION SUMMARY INFORMATION Records related to cumulative years of service, total pension contributions, accrued benefits, etc.	HUM2200	HUM2002	ACT	6	FINANCE	ACT+06		C
BENEFITS CONTRIBUTIONS/DISTRIBUTIONS Records detailing actual monies contributed and disbursed	HUM2300		ACT	6	FINANCE	ACT+6		C
PENSION PLAN RPT (IRS FORM 5500)	HUM2400	HUM2001	3	3	FINANCE	6		C

**ATTACHMENT D
LACMTA RECORDS RETENTION SCHEDULE
REVISION 9**

SERIES TITLE	New Retention Category	Retention Category Code	Years to Retain in Dept. Storage	Years to Retain in original site Storage	Office of Records	Total Retention	Comment	Sensitive Records
INDIVIDUAL EMPLOYEE FILES (HUM3000)								
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	HUM3000	ACT+1	4	HR	ACT+05		C
DEPARTMENTAL EMPLOYEE PERSONNEL FILE (NON-MED) Summary and detailed records for individual employees maintained by the employee's department	HUM3110	HUM3000	ACT	NA	MULTIPLE	ACT	Send to HR when employee separates from agency/Bus Operators files are sent to RMC for convenience storage after 3-yrs.	C
IMMIGRATION & NATURALIZATION SVC FORM I-9 Immigration & naturalization Form 1-9. Maintain 1 year after separation or 3 years after hire date, whichever is later.	HUM3200	HUM3002	ACT+01***	NA	HR	ACT+01***	*Separation +1 or Hire + 3	C
EMPLOYEE HEALTH & SAFETY RECORDS (HUM4000)								
Records pertaining to promoting employee health and safety								
HR EMPLOYEE MEDICAL RECORDS - GENERAL Employee medical records related to medical treatment, examinations, and history maintained in HR	HUM4100	HUM4000	ACT+1	4	HR	ACT+5		C
DEPT. EMPLOYEE MEDICAL RECORDS - GENERAL Employee medical records related to medical treatment, examinations, and history in employee's department	HUM4110	HUM4000	ACT	NA	MULTIPLE/HR	ACT	Send to HR when employee separates from agency	C
EMPLOYEE MEDICAL RECORDS-HAZARD EXPOS Records pertaining to exposures to hazardous materials.	HUM4200	HUM4001	ACT	UCP	SAFETY	IND	If injury occurred, documents may be required for litigation or claim.	C
INJURY/ILLNESS PROGRAM FILES Records detailing agency programs promoting employee health and safety	HUM4300	HUM4012	ACT+2	3	SAFETY	ACT+5		C
EMPLOYEE ACCIDENT/INJURY RECORDS Records related to on-the-job injury, including Safety-5.	HUM4310	HUM4002	ACT+02	NA	MULTIPLE	ACT+02		C
OSHA 200 LOG AND SUMMARY (MONTHLY) Monthly report sent to OSHA each month detailing accidents.	HUM4320	HUM4003	6	NA	SAFETY	6		C
MATERIAL SAFETY DATA SHEETS MSDS sheet required by OSHA that details dangers & proper handling of dangerous substances maintained on electronic imaging system	HUM4410	HUM4004	ACT	UCP	SAFETY	IND	EL. Lotus Notes MSDS	C

**ATTACHMENT B
LACMTA RECORDS RETENTION SCHEDULE
REVISION 9**

SERIES TITLE	New Retention Category	Retention Category Code	Years to Retain in		Office of Records	Total Retention	Comment	Sensitive Records
			Dept. Storage	site Storage				
NOISE EXPOSURE/AUDIOMETRIC TESTING Records related to audiometric testing conducted for employees	HUM4420	HUM4005	2	UCP	SAFETY	IND		
WORKPLACE INSPECTION/TESTING Records related to inspection and testing of workplace for possible hazards	HUM4430		3	NA	SAFETY	NA		
SAFETY AND EMERGENCY PLANS Plans for coping with disaster and emergency (e.g. fire and earthquake evacuation, etc.)	HUM4500		ACT	3	SAFETY/IGEN SERVICES	ACT+3		S
DRUG PROGRAM COLLECTION & TRAINING RECORDS Records relating to the drug testing program, including awareness training materials	HUM4610	HUM4006	2	NA	HR	2		
DRUG PROGRAM POSITIVE TEST RESULTS Records related to positive drug test results	HUM4620	HUM4007	2	3	HR	5		C
DRUG PROGRAM NEGATIVE TEST RESULTS Records related to negative drug test results.	HUM4630	HUM4008	1	NA	HR	1		C
ALCOHOL PROG COLLECTION & TRAINING RECORD Records related to the Alcohol testing program, including awareness-training materials.	HUM4640	HUM4009	2	NA	HR	2		
ALCOHOL PROG NEGATIVE TEST A258 RESULTS Records related to alcohol tests with negative results.	HUM4650	HUM4011	1	NA	HR	1		C
ALCOHOL PROGRAM POSITIVE TEST RESULTS Records relating to alcohol tests with positive results.	HUM4660	HUM4010	2	3	HR	5		C

ATTACHMENT B
LACMTA RECORDS RETENTION SCHEDULE
REVISION 9

Retention Category Code Years to Retain in Dept. Storage Years to Retain in originals in Off-site Storage

Sensitive Records

SERIES TITLE

Comment

Total Retention

Office of Records

TRAINING DEVELOPMENT
(HUM5000)

New Retention Category	Retention Category Code	Years to Retain in Dept. Storage	Years to Retain in originals in Off-site Storage	Office of Records	Total Retention	Comment	Sensitive Records
HUM5100	HUM5000	ACT	3	HR	ACT+3	Not Grant-Related	
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.							
HUM5105		ACT+6	NA	OMI/OCI/OD&T	ACT+6		
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.							
HUM5110		ACT	LOG+3	HR	LOG+3	Retain 3 years after final payment	
GRANT-RELATED TRAINING/EMPLOYEE DEVELOPMENT FILES Grant-funded training and employee development.							
HUM5115		3	NA	OD&T	3		C
CONFIDENTIAL TEAM BUILDING/STRATEGIC PLANNING Electronic records relating to the team building/strategic planning sessions for agency departments, including: needs assessment questionnaires, interview responses, Executive Summaries, and supportive team building/strategic planning retreat documents.							
HUM5200	HUM5001	ACT	5	DIVISIONS-TRAINING	ACT+5		
VEHICLE TRANSIT TRAINING FILES Files documenting each operator's training and certification							
HUM5210	HUM5003	5	IND	DIVISIONS-TRAINING	IND		C
DMV CERTIFICATE FILES Files reviewed by DMV to ensure operator training and readiness							

SALARY ADMINISTRATION
(HUM6000)

New Retention Category	Retention Category Code	Years to Retain in Dept. Storage	Years to Retain in originals in Off-site Storage	Office of Records	Total Retention	Comment	Sensitive Records
HUM6100	HUM6000	3	3	HR	6		
SALARY ADMINISTRATION GENERAL RECORDS Records related to the payment of salaries and wages that are not included under any other sub-category							
HUM6110	HUM6001	3	27	PAYROLL/DIV	30		
TIMESHEETS AND ADJUSTMENTS (Electronically Captured) Employee timesheets, payroll adjustments(ACCT-172), and leave balance records. (ACCT-10) in a paper format. Include MMAS, TOTS, and SCM							
HUM6120		UCP	2	PAYROLL	30	Destroy paper after 2-yrs upon capture and retain CD/R 30 years	
TIMESHEETS AND ADJUSTMENTS (Electronically Captured) Employee timesheets, payroll adjustments, and leave balances captured on CD/R.							
HUM6130		UCP	2	PAYROLL	4	Destroy paper after 2-yrs upon capture and retain CD/R 4 years	
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.							

**ATTACHMENT D
LACMTA RECORDS RETENTION SCHEDULE
REVISION 9**

SERIES TITLE	New Retention Category	Retention Category Code	Years to Retain in Dept. Storage	Years to Retain in original site Storage	Office of Records	Total Retention	Comment	Sensitive Records
HUM6140 GARNISHMENT Records documenting court-ordered withholding from an employee's pay for a third party.	HUM6140		UCP	2	PAYROLL	30	Destroy paper after 2-yrs upon capture and retain CD/R 30 years	
HUM6200 BI-WEEKLY EMPLOYEE PAYROLL REPORTS ON COM Computer generated microfilm reports related to the payment of salaries and wages.	HUM6200	HUM6004	6	NA	PAYROLL	6		C
HUM6300 W-2 FORMS ON COM Annual records of employee earnings given to the employee and to the government.	HUM6300		6	NA	PAYROLL	6		C
HUM6310 W-4 FORMS IN PAPER Records modifying the number of deductions an employee is claiming	HUM6310		6	NA	HR	6	Destroy paper upon capture and retain CD/R 6 years	C
HUM6500 OPERATORS DAILY PAY PACKAGE Daily collection of annotated computer-generated daily reports listing which buses were in service and which drivers were driving them.	HUM6500	HUM6002	1	5	OPS	6		
HUM6510 OPERATORS PERFORMANCE RECORD	HUM6510	HUM6007	ACT	5	HR	ACT+5		C
HUM6520 WORK TIME ALTERATIONS	HUM6520	HUM6006	3	NA	DIV-MAINT	3		
HUM6600 SCHEDULE CHECKERS ASSIGN/CALL-IN SHEETS	HUM6600	HUM6003	1	5	PLANNING	6		
HUM7000 EMPLOYEE SELECTION FILES Records related to personnel requests, job applications, testing, advertising, interviews, etc.	HUM7000	HUM7000	2	8	HR	10		C
HUM7100 BACKGROUND INVESTIGATION RECORDS Records pertaining to investigation of people that applied for employment with agency	HUM7100		3	7	HR	IND		C
HUM7110 LEADER TESTING RECORDS Employee performance test results.	HUM7110		ACT+3	NA	CNTRL.INSTR. MAINT.	ACT+3		C

ATTACHMENT D
LACMTA RECORDS RETENTION SCHEDULE
REVISION 9

SERIES TITLE	New Retention Category	Retention Category Code	Years to Retain in Dept. Storage	Years to Retain in original site Storage	Office of Records	Total Retention	Comment	Sensitive Records
EMPLOYMENT STANDARDS AND COMPLIANCE (HUM8000)								
Records from the HR office that coordinates a variety of specialized employee programs								
TRIP REDUCTION PLAN (SCAQMD) Records documenting agency's effort to reduce number of employee vehicle trips	HUM8100	HUM8000	1	UCP	HR	IND		
HOME TO WORK SURVEY Surveys to determine how employees commute and thereby determine compliance with PLAN	HUM8110	HUM8001	ACT	3	HR	ACT+3		
ADA FILES Records documenting compliance with Americans with Disabilities Act	HUM8200	HUM8002	ACT	6	HR	ACT+6		
VIOLENT INCIDENT REPORTS Reports of violent employee behavior in the work place	HUM8300	HUM8003	1	3	HR	4		C
FAMILY CARE AND MEDICAL LEAVE (FCML) FILES	HUM8400	HUM8004	1	3	HR	4		C
BUSINESS ORGANIZATION (LEG1000)								
Records pertaining to the agency's legal status, acts, rights, obligations, and compliance.								
BUSINESS ORGANIZATION GENERAL RECORDS Records related to the establishment of, and rules governing, the operation of the organization.	LEG1100	LEG1000	10	UCP	BD SEC	IND		
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	LEG1001	1	UCP	BD SEC	IND	V, PA	
BOARD AND FORMAL COMMITTEE MEETING AUDIO TAPES Audio tapes of Board meetings.	LEG1210		1	IND	BD SEC	IND		
CONFIDENTIAL BOARD & COMMITTEE MEETING RECORDS Records of closed Board sessions involving eminent domain, personnel, and other confidential matters.	LEG1220		IND	NA	BD SEC	IND	Tape and hard copy stored in Board Sec. Office	
BOARD RESOLUTIONS AND ORDINANCES Formal legal determinations by the Board of Directors	LEG1300		1	UCP	BD SEC	IND		
INFORMAL MEETING AGENDAS/MINUTES Minutes of informal or unofficial committee meeting.	LEG1400	LEG1002	3	UCP	MULTIPLE	IND	PA	
BOARD BOX ITEMS Informational items distributed by the Board Secretary to Board members.	LEG1500		03 MO	UCP	BD SEC	IND		

**ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 08-14-2013 BY 60322 UCBAW/STP**

**LACMTA RECORDS RETENTION SCHEDULE
REVISION 9**

SERIES TITLE	New Retention Category	Retention Category Code	Years to Retain in Dept. Storage	Years to Retain in Off-site Storage	Office of Records	Total Retention	Comment	Sensitive Records
INSURANCE (POLICIES/AMENDMENTS, ETC.) Records related to coverage affecting agency liability. Includes policies, amendments, riders, and proof of payment.	LEG1600	LEG3000	ACT+01	IND	RISK MGMT	IND	V	C
CLAIM/LITIGATION CASE FILES Records of claims and lawsuits against the agency	LEG1700	LEG4000	ACT	2	RISK MGMT	ACT+2		C/S
WORKERS COMP. CLAIMS Workers compensation claims for job-related injuries.	LEG1730		ACT+01	IND	RISK MGMT	IND		C/S
EO COMPLAINT FILES Formal complaints of violation of federal equal opportunity laws	LEG1740	LEG4004	ACT+02	3	EO	ACT+05		C/S
GRIEVANCE/ARBITRATION (1ST/2ND LEVEL) Records pertaining to the disposition of formal employee complaints against management	LEG1750	LEG4002	ACT+02	8	MULTIPLE	ACT+10		C
GRIEVANCE/ARBITRATION (3rd level) Records of precedent-setting settlements and rulings	LEG1760	LEG4003	ACT+02	8	EMP REL	IND		C
LEGAL COMPLIANCE (LEG5000) Records recording the agency's compliance with all laws and regulations								
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	LEG5000	6	UCP	MULTIPLE	IND		
TAX RETURNS Tax returns and supporting documents filed by the agency	LEG5200	LEG5001	10	NA	ACCTG	10		
LICENSES/PERMITS Records, including licenses and permits, required to conduct business, collect fares, etc.	LEG5300	LEG5002	ACT	3	MULTIPLE	ACT+03		
COURT ORDER/AGENCY COMPLIANCE DOCS Records related to unique court orders issued to the agency.	LEG5400	LEG5003	ACT	3	MULTIPLE	ACT+03		
ETHICS COMPLIANCE RECORDS Records pertaining to compliance with ethics requirements issued by the agency and other government bodies.	LEG5500		2	5	ETHICS	7		C

**ATTACHMENT D
LACMTA RECORDS RETENTION SCHEDULE
REVISION 9**

SERIES TITLE	New Retention Category	Retention Category Code	Years to Retain in		Office of Records	Total Retention	Comment	Sensitive Records
			Dept. Storage	originals in Off-site Storage				
BOBBYIST REPORTS (QUARTERLY) of lobbyist registration and activities produced by the Ethics office	LEG5510	LEG5004	4	3	ETHICS	7		
ETHICS OPINIONS of potential Code of Conduct violation documentation	LEG5515		IND	NA	ETHICS	IND		
STATEMENT OF ECONOMIC INTERESTS forms detailing economic holdings of employees and Board members.	LEG5520	LEG5005	2	5	ETHICS	7		
RECONSIDERATION OPINIONS evaluation of a bidders and proposers good faith efforts documentation	LEG5525		4	NA	ETHICS	4		
CONFLICT OF INTEREST REPORTS produced by the Ethics Office detailing potential conflicts of interests	LEG5530	LEG5008	4	3	ETHICS	7		
DBE CERTIFICATION RECORDS – APPROVED file of businesses certified as disadvantaged. Records pertaining to the agency's attempt to provide economic opportunities to small and/or disadvantaged businesses.	LEG5610	LEG5006	ACT+02	1	DEO	ACT+03		
DBE CERTIFICATION RECORDS – DENIED Records of applicants denied certification as DBE's	LEG5620	LEG5007	2	1	DEO	3		
COMMUNITY SERVICE FILE files that are mandated by the court to track community service work hours.	LEG5700	LEG5009	5	NA	STOPS & ZONES	5		
LEGAL PROJECT FILES Records related to determining legal requirements and providing legal advice for the agency.	LEG6000	LEG6000	ACT+10	NA	LEGAL	ACT+10		C/S
LEGAL OPINIONS Records that document specific legal advice provided.	LEG6010	LEG6001	IND	NA	LEGAL	IND		C/S
EVIDENCE CASE FILES legal cases that have historical value and contain evidence.	LEG6020		ACT	20	LEGAL	ACT+20		C/S
COPYRIGHT/TRADEMARK/PATENT RECORDS Records related to preparation, filing, maintenance, and rights for patents and copyrights.	LEG7000	LEG7000	ACT+01	UCP	RMC	IND		C/S
LABOR RELATIONS NEGOTIATION FILES Records pertaining to the negotiation of labor contracts with the Unions	LEG8000	LEG8000	ACT+03	UCP	LABOR REL	IND		C/S

**ATTACHMENT D
LACMTA RECORDS RETENTION SCHEDULE
REVISION 9**

SERIES TITLE	New Retention		Retention		Years to Retain in Originals in Off-site Storage	Office of Records	Total Retention	Comment	Sensitive Records
	Category	Code	Category	Code					
LEGAL SERVICE COPIES (SUBPOENAS, ETC) Copies of subpoenas maintained by the Legal Service Office	LEG9000	LEG9000	1	NA	NA	BD SEC	1		
MARKETING (MAR1000)									
MARKETING ACTIVITY RECORDS Records related to marketing or sales activities with vendors and potential customers.	MAR1100	MAR1000	3	NA	NA	MKTG	3	Not Grant-Related	
GRANT-RELATED MARKETING RECORDS Records related to marketing grant-funded projects.	MAR1110	MAR1000	3	LOG +3	LOG +3	MKTG	LOG +3	Retain 3 years after last payment	
OPERATIONS AND MAINTENANCE RECORDS (OPM)									
OPERATIONS & MAINTENANCE GENERAL Records generated by the Divisions not belonging to another category.	OPM1100	OPM1000	2	3	3	OPS	5		S
OPERATIONS SCHEDULING RECORDS Records pertaining to the development, revision, and issue of bus schedules.	OPM2100	OPM2000	2	8	8	SCHED	10		S
OPERATIONS PULLOUT SHEETS Daily sheets produced by Scheduling detailing pull-out time for each scheduled bus for a division; the transportation and maintenance sections annotate the drivers and coach numbers assigned	OPM2200	OPM2001	01 MO	10	10	OPS	10		
OPERATIONS PLANNING LINE FILES Records pertaining to the development and revision of bus routes.	OPM2300	OPM2002	ACT	AR	AR	OPS PLNG	AR		S
STOPS & ZONES T2 LINE FILES Master lists of bus lines and stops.	OPM2400	OPM2003	ACT	AR	AR	STOP&ZONES	AR		S
OPERATIONS SAFETY & TRAINING RECORDS Records related to the program for periodic instruction of railroad employees, including program amendments.	OPM3100	OPM3000	5	NA	NA	OPS	5		

LACMTA RECORDS RETENTION SCHEDULE
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SERIES TITLE	New Retention Category	Retention Category Code	Years to Retain in Dept. Storage	Years to Retain in originals in Off-site Storage	Office of Records	Total Retention	Comment	Sensitive Records
ACCIDENT/INCIDENT RECORDS (OPM4000)								
VEHICLE ACCIDENT/INCIDENT REPORTS Reports of accidents and incidents occurring on buses or trains.	OPM4100	OPM3001	01MO	10	OPS	10		C/S
SUMMARY OF VEHICLE ACCIDENTS AND INCIDENTS High-level summary reports of accidents and incidents occurring on buses and trains.	OPM4110	OPM3002	2	1	OPS	3		C
OPERATIONS CONTROL CENTER TAPES Functional data collected by Central Control on data tapes.	OPM4200	OPM4000	1	NA	OPS	1		C
OPERATIONS CONTROL TAPES Data routinely collected daily by Central Control	OPM4210	OPM4000	1	NA	OPS	1		C
OPERS CTRL CTR TAPES (MAJOR INCIDENT) Data collected by Central Control related to serious accidents and injuries.	OPM4220	OPM4001	1	IND	OPS	IND		C/S
OPERATIONS CTRL CTR DIV TELEPHONE TAPES Tapes of telephone conversations between Central Control and operators regarding incidents in stations or vehicles.	OPM4330	OPM4002	1	NA	OPS	1		C
OPS CTRL CTR TELEPHONE TAPES (MAJOR) Tapes of telephone conversations regarding serious accidents and injuries.	OPM4340	OPM4003	3	IND	OPS	IND		C
VEHICLE MAINTENANCE RECORDS (OPM5000)								
VEHICLE MAINTENANCE GENERAL Revenue vehicle maintenance records not fitting into the more specialized category.	OPM5100	OPM5000	1	LOV+02	OPS	LOV+2		
BUS ACCEPTANCE DOCUMENTS Records of acceptance of each new bus; documentation checklist, NABI documentation list, NABI working notes, the agency's documentation list, and the agency's working notes	OPM5200	OPM5008	6	LOV+4	OPS	LOV+4		
BUS WARRANTEE FILES Records of warranty arrangements, warranty claims and warranty coverage and repair documentation and invoices.	OPM5300	OPM5000	7	LOV+4	OPM	LOV+4		
OPERATIONS EQUIPMENT DAMAGE RPT	OPM5400	OPM5001	1	5	OPS	6		
COACH/CAR INSPECTION RECORDS Records of periodic inspection of coaches.	OPM5500	OPM5002	2	LOV+2	DIVISIONS	LOV+2		

**ATTACHMENT D
LACMTA RECORDS RETENTION SCHEDULE
REVISION 9**

SERIES TITLE	New Retention Category	Retention Category Code	Years to Retain in Dept. Storage	Years to Retain in Originals in Off-site Storage	Office of Records	Total Retention	Comment	Sensitive 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	OPM5003	LOV+2	NA	RRC	LOV+2	EL	
DEFECT CARDS Filled out by operator noting defects and annotated by Mechanics with indication of repair.	Cards OPM5700	OPM5004	2	LOV+2	DIVISIONS	LOV+2		
ROAD FAILURE TREND ANALYSIS (33-72) Statistical report of road failures of revenue vehicles	Statistical OPM5800	OPM5005	1	NA	DIV/MAINT	1		
ROAD FAILURE REPORTS & SUMMARIES Individual and summarized reports of revenue vehicles road failures	OPM5810	OPM5006	1	6	DIVISIONS	7		
MAINTENANCE ADMINISTRATIVE RECORD	OPM5900	OPM5007	1	NA	DIVISIONS	1		
TRANSIT POLICE (OPM6000)								
TRANSIT POLICE GENERAL RECORDS Records pertaining to activities of the Transit Police.	OPM6100	OPM6000	2	4	TP	6		C
TRANSIT POLICE DISPATCH TAPES Audio tapes of police units dispatched and directed during incidents.	OPM6200	OPM6001	04 MO	NA	TP	04 MO		C
CONGESTION RELIEF (OPM7000)								
FREEWAY SERVICE PATROL RECORDS Records related to the program to provide tow trucks to motorists stranded on the freeways.	OPM7100	OPM7000	2	IND	CONG. RELIEF	IND		
MOTORIST ASSIST FORMS - SCANNED Scantron forms recording assistance provided to individual motorists	OPM7110	OPM7001	0.05	0.05	CONG. RELIEF	1		C
TRANSPORTATION PLANNING (PPA1000)								
SCAG OVERALL WORK PROJECT PLAN Records pertaining to transportation projects approved and monitored by SCAG	PPA1010	PPA1000	3	NA	PP	3	PA	
REGIONAL TRANSPORTATION PLANS Regional transportation plans for all modes.	PPA1100		3	UCP	PP	IND		
AGENCY TRANSPORTATION SUPPORT DOCUMENTATION Working papers and support documents for transportation plan.	PPA1110		ACT	3	PP	ACT+3	PA, GR	

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SERIES TITLE	New Retention Category	Retention Category Code	Years to Retain in Dept. Storage	Years to Retain in Off-site Storage	Office of Records	Total Retention	Comment	Sensitive Records
QUARTERLY REPORT FOR COUNTY WIDE PLANNING Countywide Planning and Programming section quarterly status reports	PPA1200		3		PP	IND		
QUARTERLY REPORT FOR COUNTYWIDE PLANNING (Back-up material) Back-up material for Countywide Planning & Programming sections quarterly status reports	PPA1300		1	2	PP	3		
TRANSPORTATION PROJECT PROGRAMMING (PPA2000) Records pertaining to the approval, funding, and monitoring of transportation projects								
TRANSPORTATION PROJECT FILES Planning project files for multiple models including highway, bikeway, and rail containing environmental reports conceptual studies, feasibility studies, correspondences, moves, project application, etc.	PPA2100	PPA1001	ACT+3	UCP	PP	IND	PA, GR	
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	PP	IND		
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	PP	ACT+3		
CTC AGENDA (California Transportation Commission) CTC are agendas of all legislative, statewide information items.	PPA2300		3		5 PP	8		
TRANSPORTATION SYSTEMS ANALYSIS (PPA3000)								
TRANSPORTATION SYSTEMS ANALYSIS AND MODELS Records pertaining to the development and publishing of analytical transportation studies and models.	PPA3100	PPA1001	3	UCP	PP	IND	PA, GR	
NATIONAL TRANSPORTATION DATABASE SOURCE DOCS Documents used to provide statistical transportation data to the National Transportation Database.	PPA3200	PPA1001	3	UCP	PP	IND	PA, GR	
TRANSPORTATION MODELING RECORDS Print outs of data describing alternative transportation forecast.	PPA3300		ACT+1	20	PP	20		

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SERIES TITLE	New Retention Category	Retention Category Code	Years to Retain in Dept. Storage	Years to Retain in Off-site Storage	Office of Records	Total Retention	Comment	Sensitive Records

**BENEFITS ASSESSMENT
(PPA4000)**

PPA4100 BENEFIT ASSESSMENT ADMIN FILES
Records pertaining to the assessment of a fee on property benefitting from transportation improvements.

PPA4200 BENEFIT ASSESSMENT CASE FILES
Records pertaining to the disposition of individual property owners contesting their benefit assessment.

**PUBLIC AFFAIRS
(PUB)**

PUB1100 PUBLIC AFFAIRS/COMMUNITY RELATIONS GENERAL
Records related to public relations not fitting into one of the specialized categories below.

PUB1200 PUBLIC MEETING FILES
Records of public meetings held to discuss transportation issues and

PUB1300 PUBLIC COMMENT LETTERS
Letters received from the public regarding transportation issues and

PUB2000 GOVERNMENT RELATIONS RECORDS
Records related to the agency's relations with local, state, and federal government officials and bodies.

PUB3000 PUBLIC AFFAIRS (PRESS RELEASES, PHOTOS)
Press releases produced by the agency's Media office.

PUB4000 EMPLOYEE NEWSLETTERS/ALL STAFF MEMOS
Newsletters and memos distributed to all staff and/or special employee

PUB5100 ART COLLECTION DATABASES/RECORDS
Records of special art fabricator specifications, conservator reports, inventory assessments/surveys and financial appraisals. Public and portable artworks.

**ATTACHMENT D
LACMTA RECORDS RETENTION SCHEDULE
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Retention Category Code	Years to Retain in Dept. Storage	Years to Retain in originals in Off-site Storage	Office of Records	Total Retention	Comment	Sensitive Records
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SERIES TITLE

CODES:

C=CONFIDENTIAL DOCUMENTS
 AR=ANNUAL REVIEW
 ACT = WHILE ACTIVE
 G = GRANT RELATED
 GR = POTENTIALLY GRANT-
 EL=ELECTRONIC RECORD
 IND = INDEFINITE
 LOC = LIFE OF CONTRACT
 LOG = LIFE OF GRANT
 LOS = LIFE OF SYSTEM
 LOV = LIFE OF VEHICLE
 MO = MONTH
 NA = NOT APPLICABLE
 NA = NOT APP./NO RESPONSE
 PA = POTENTIALLY ARCHIVAL
 S - SECURITY SENSITIVE
 UC = UPON COMPLETION
 UCP = UNTIL CAPTURED
 US = UNTIL SUPERSEDED
 UV = UPON VARIFIED
 UW = UNTIL MICROFILMED
 V = VITAL RECORD
 WC = WHEN CREATED
 WU = WHILE USEFUL
 WI=WHEN INACTIVATED

FUNDED, SEE ADM5000

NOTES:

ORIGINAL TO THIRD PARTY CLAIM ADMINISTRATOR AND/OR LEGAL COUNSEL FOR DISPOSITION
 ** IF SIGNIFICANT, COPY TO HARD DRIVE OR DISK AND MAINTAIN AS ADM1003
 ***MAINTAIN 1 YEAR AFTER SEPARATION OR 3 YEARS AFTER HIRE DATE, WHICHEVER IS LATER.
 ****Maintain in departmental storage for inactive period

REV. 1 APPROVED BY THE BOARD OF DIRECTORS ON	5/24/96
REV. 2 APPROVED BY THE BOARD OF DIRECTORS	6/25/97
REV. 3 APPROVED BY BOARD OF DIRECTORS	9/28/98
REV. 4 APPROVED BY BOARD OF DIRECTORS	9/23/1999
REV. 5 APPROVED BY BOARD	3/22/2001
REV. 6 APPROVED BY BOARD	9/26/2002
Rev. 7 APPROVED BY CHIEF EXECUTIVE OFFICE	10/8/2003
Rev. 8 APPROVED BY CHIEF EXECUTIVE OFFICE	6/29/2004

Attachment C

RESOLUTION

Resolved that the Board of the Los Angeles County Metropolitan Transportation Authority does hereby authorize the revision of the Los Angeles County Metropolitan Transportation Authority Records Retention Schedule and Records Management Policy as indicated on the attached documents.

CERTIFICATION

The undersigned, duly qualified and acting as Board Secretary of the Los Angeles County Metropolitan Transportation Authority, certifies that the attached is a true and correct copy of a Resolution adopted at a legally convened meeting of the Board of Directors of the Los Angeles County Metropolitan Transportation Authority held on December 2, 2004.

Michele Jackson
Board Secretary

DATED:

