

Date: May 08, 2012

MEMORANDUM

TO: Santa Clara Valley Transportation Authority - Executive Management

FROM: Chief Information Manager & RIM program Executive Sponsor, Gary Miskell

SUBJECT: Records Retention Schedule- Warning in using the Schedule

PRE DEPLOYMENT INSTRUCTIONS:

Even though VTA has an approved **Records Management Program Retention Schedule**, we are asking staff to **not destroy records** until after your department or division has completed a deployment review, employee training, closed all critical gaps in your processes; edited the retention schedule and have completed the compliance audit.

In accordance with the **Records Management Program Procedure**, Staff will work with each division or department in evaluating their document storage processes and train staff to evolve into an efficient RIM organization including eDiscovery and Record Destruction. VTA can make edits to the **Records Management Program Retention Schedule** with proper notification and approval by the General Manager or the Board per section 5.16 in procedure AS-IT-PR-5210.

BACKGROUND:

The VTA Board of Directors, in May 2012, approved the Auditor General's assessment on VTA's Records Management program, **Records Management Program Retention Schedule** and Capital funding to deploy the RIM program starting in July 2012 and completion around December 2015. In April 2012, the General Manager approved the **Records Management Program Policy** document number OGC-PL-1001 and a **Records Management Program Retention Schedule Procedure** document number AS-IT-PR-5210.

VTA's Records Information Management (RIM) program is **being** established in accordance with all related federal, state, local laws, and contractual requirements. To this end VTA has written and approved a **Records Management Program Policy** document # OGC-PL-1001 and a **Records Management Program Retention Schedule Procedure** document # AS-IT-PR-5210 which includes the Retention schedule. In March of 2012, VTA established a Records Management committee comprised of representatives from VTA's divisions and shall be responsible for deploying and ensuring compliance. In calendar Q3 2012 the Records Management committee will sponsor the **Records Management Program Procedure** Document # AS-IT-PR-5200 which outlines employee roles and responsibilities related to record retention, specific procedures to be followed, ownership and the life-cycle of records.

Prepared by: Gary Miskell, Chief Information Office and Sponsoring Executive for Record Management at VTA

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
General Enterprise Wide								
General Administrative								
GA01	Administration Records include correspondence and memos		All Depts.	1	CU + 2	CU + 2	GC 34090 is 2 years	
GA02	Awards & Recognitions	H	All Depts.	2	P	CU + 2	GC 34090 is 2 years,	Admin. Decision-Historical Record retain Permanently
GA03	Consultant Files		All Depts.	2	AU, CL + 10 T + 4	CL + 4 years	GC 34090 is 2 years, 4 yrs. Statute for breach of contract	AU, CL-If consultant worked on a Bond Measure or Fed/State project *Bonds - CL+10 yrs Could be <30 years *Grants - applications, reports, contracts, supporting doc T+4 Could be <30 years
GA04	Goals & Objectives Includes department goals and objectives		All Depts.	1	CU + 2	CU + 2	GC 34090 is 2 years	
GA05	Departments Reports Includes department reports (special/or final summary, review or evaluation)		All Depts.	2	CU + 2	CU + 2	GC 34090 is 2 years	
GA06	Travel Records		All Depts.	2	CU + 2	CU + 2	GC 34090 is 2 years	
GA07	Policies & Procedures Includes all internal department policies and procedures, work Instructions, and operating manuals.		All Depts.	2	S + 5	S + 5	GC 34090 is 2 years, State of California guidelines is S + 5 years.	
GA08	Complaints About departments, services; received by email, paper, phone, etc.; Does not include complaints about specific employees added to the employee's Human Resources file. (*Must not include any pending litigation)		General Manager & Lead Dept	2	CL + 2	CL + 2	GC 34090 is 2 years, State of California Guidelines states this series is an Administrative/ Reference Record.	

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
General Enterprise Wide								
General Administrative								
GA09	Staff Reports/Minutes Includes staff meeting minutes, reports and supporting documentation. Does not include Board & Committee agenda related information.		All Depts.	2	CU + 2	CU + 2	GC 34090 is 2 years	
GA10	Timesheets/Leave Requests Includes original signed timesheets, and leave requests.	H	All Depts.	2	T + 6	T + 6	GC12946; GC34090* FMLA1993 US OSHA; 29CFR; 1910.20*	If employee who charged time to the following; *Bonds - CL+10 yrs Could be <30 years *Grants - T+4 Years Could be <30 years *all others 7 years
GA11	Public Records Act Copies of requests for for public records		All Depts.	2	CU + 3	CU + 3	GC 34090 is 2 years, Public Records Act is 3 years for certain contract records, State of California Guidelines are completion of request + 2 years.	is this all depts or Records MGmt?
GA12	Forms Management		All Depts.	2	S + 2 YRS	CU + 2	GC 34090 is 2 years	

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

General Enterprise Wide

General Administrative

GA13	Personnel Files- Departmental -Includes hourly & salaried, non-safety employees general information paperwork. Documents may include release authorizations, certifications, reassignments, outside employment, commendations, disciplinary actions, terminations, oaths of office, evaluations, pre-employment medical information, fingerprints, identifications cards, volunteer program training, employee applications and internships. Note: Files do not include medical documents		All Depts.	2	T* *ONCE EMPLOYEE TERMINATES, FILES MUST BE SENT TO THE BENEFITS & PAYROLL DEPARTMENT	T + 6	GC 34090, 12946, 29 USC 1113, 29 CFR 1602.31 & 1627.3(b)(ii), 8 CCR 3204(d)(1) et seq. SOL is Termination plus six years.	
------	---	--	------------	---	--	-------	---	--

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Disposal Review: 1 = Notify 2 = Notify and Approve	Office of Record	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Administrative Division								
Employee Relations								
ER01	Affirmative Action Program Information/Policy			Employee Relations	2	CL + 3	CU + 2	41 CFR 60-250.52 29 CFR 1602.14
ER02	Affirmative Action/Equal Employment Opportunity (EEO)			Employee Relations	2	CL + 15	CL+3	29 CFR 1602.32
ER03	Agreements - Bargaining Unit - Settlement Complaints			Employee Relations	2	P	LE + 5	29 cfr 1602.14 (all related records) from date of personnel action taken or made whichever is later of if litigation until all litigation is terminated
ER04	Arbitration			Employee Relations	2	P	UNION CONTRACT/ PPP	UNION CONTRACT/ PPP Atu/seiu/local 521/taea/non rep.
ER05	HR Attendance Program <input type="checkbox"/> Nominations, Awards, Employee of the Month			Employee Relations	2	CU + 5	T+3	29 CFR 1627.3; Lab Code 1174; 29 CFR 1602.32
ER06	Certificates of Completion <input type="checkbox"/> All Programs			Employee Relations	2	T + 10	CU + 3	29 cfr 516.5
ER07	Claims, Charges, Lawsuit (Title VII, ADA, ADEA, etc) & Complaints/Grievances-Finding, Decisions, Reports			Employee Relations	2	P	CL+2	29 CFR 1602.14 29 CFR 1627.3 Eeoc reserves the right to impose specific record-keeping requirements pertaining to the charge
ER08	Complaints/Investigations			Employee Relations	2	CL + 10	CL+2	29 CFR 1602.14 29 CFR 1627.3
ER09	Court Ordered Compliance <input type="checkbox"/> Related to Civil Rights Issues			Employee Relations	2	CL + 5	CL+4	CCP 337
ER10	Disciplinary Hearing Decisions			Employee Relations	2	P	SEIU/ ATU/ AFSME/TAEA/ NON-REP	UNION CONTRACT/ PPP
ER11	Discipline and Appeal Policy (Non-Rep.)			Employee Relations	2	P	LE + 1	29 CFR 1602.14

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Disposal Review: 1 = Notify 2 = Notify and Approve	Office of Record	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Administrative Division								
Employee Relations								
ER12	Drafts/Working Papers For Settlements		2	Employee Relations	DESTROY WHEN FINAL DONE	NONE SPECIFIED	29CFR 1602.12;14	Only final documents require permanent retention
ER13	Employee Advisory Committee (Minutes, Agendas)		2	Employee Relations	CU + 2	CU + 2	Gov't Code 34090	
ER14	Equal Opportunity Form EEO-1		2	Employee Relations	P	CU + 3	29 CFR 1602.32	
ER15	Employee Suggestion Program		2	Employee Relations	CU + 2	CU + 2	Gov't Code 34090	
ER16	Exit Interviews <input type="checkbox"/> Process/Contacts		2	Employee Relations	CL + 2	CU + 2	Lab Code 12946	(all related records) from date of personnel action taken or made whichever is later of if litigation until all litigation is terminated
ER17	General Information <input type="checkbox"/> Pamphlets, Brochures, Notices, Memos		2	Employee Relations	CU + 2	CU + 2	Lab Code 12946	Time dated-destroyed
ER18	Grievance Hearing Decisions, Minutes, Notes, Agendas, Discipline Settlement/Offers		2	Employee Relations	P	LE + 5	29 CFR 1602.12;14	(all related records) from date of personnel action taken or made whichever is later of if litigation until all litigation is terminated
ER19	Investigations- All Complaints (e.g., Discrimination, Sexual Harassment, ADA)		2	Employee Relations	P	LE + 5	29 CFR 1602.14;32	(all related records) from date of personnel action taken or made whichever is later of if litigation until all litigation is terminated; complaints under ada required to be kept until final disposition of charge or action

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Administrative Division								
Employee Relations								
ER20	Orientation Program <input type="checkbox"/> New Employees		Employee Relations	2	CU + 2	CU + 2	Lab Code 12946	(all related records) from date of personnel action taken or made whichever is later or if litigation until all litigation is terminated
ER21	Out-sourcing <input type="checkbox"/> Contracting Out Work		Employee Relations	2	CU + 2	CU + 2	Lab Code 12946	
ER22	Training- In-House Seminars, Workshops, Classes <input type="checkbox"/> Including Materials		Employee Relations	2	CU + 5	CU + 2	Gov't Code 34090	Time dated-destroyed
ER23	Training -Tuition Reimbursement Program		Employee Relations	2	CU + 10	CU + 2	Labor Code 12946	
ER24	Union Contracts <input type="checkbox"/> Including Negotiations Notes		Employee Relations	2	P	CU + 3	29 CFR 1627.3	
Human Resources								
HR01	Administrative Policies Procedures and Work Instructions		Human Resources	2	In (10)	In	5 CFR 1320.6	
HR02	Affirmative Action Program <input type="checkbox"/> Age/Gender/Race/Ethnicity/Disabled		Human Resources	2	In (10)	NONE SPECIFIED	41 CFR 60-250.52 29 CFR 1602.12 29 CFR 1602.32 29 CFR 1627.3	Completed forms must be kept separately form records used by persons making personnel related decisions
HR03	Any Action Affecting Job Status (e.g., Change of Class, Wooc, Layoffs, Promotion, Transfer, Demotion, Probation, Part Time to Full Time)		Human Resources	2	T + 10	T+3	29 CFR 1627.3; Lab. Code 1174; 29 CFR 1602.30.32	
HR04	Applications, Resumes, Curriculum Vitae-Including All Attached Correspondence (Personnel File)		Human Resources	2	T + 10	LE + 1	CA GOV <input type="checkbox"/> T CODE 12946 29 CFR 1627.3	(all related records) from date of personnel action taken or made whichever is later or if litigation until all litigation is terminated

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Disposal Review: 1 = Notify 2 = Notify and Approve	Office of Record	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Administrative Division								
Human Resources								
HR05	Applications, Resumes, Curriculum Vitae-Including All Attached Correspondence (Recruitment Files)		2	Human Resources	7	LE + 1	CA GOV □ T CODE 12946 29 CFR 1627.3	(all related records) from date of personnel action taken or made whichever is later or if litigation until all litigation is terminated
HR06	Appointment Form (In Personnel File)		2	Human Resources	T + 10	T+3	29 CFR 1627.3; Lab. Code 1174; 29 CFR 1602.30.32	
HR07	Authorization to Fill Position (In Recruitment File)		2	Human Resources	7	T+3	29 CFR 1627.3; Lab. Code 1174; 29 CFR 1602.30.32	(all related records) from date of personnel action taken or made whichever is later or if litigation until all litigation is terminated
HR08	Certification/Eligibility Lists		2	Human Resources	7	LE + 1	29 CFR 1602.14	Dept. should return original document; applies to (all related records) from date of personnel action taken or made whichever is later or if litigation until all litigation is terminated
HR09	Change of Class Applications		2	Human Resources	In (10)	T+3	29 CFR 1627.3; Lab. Code 1174; 29 CFR 1602.30.32	
HR10	Classification & Compensation-Classification Requests/Studies and Salary Surveys		2	Human Resources	CL + 5	CL + 2	CA GOV □ T CODE 12946	
HR11	Commendations/Honors □ Awards, Honors, Letters from Public (Personnel File)		2	Human Resources	T + 10	T+3	29 CFR 1627.3; Lab. Code 1174; 29 CFR 1602.30.32	
HR12	Benefit Files (There is a Separate Benefits File for each Employee)		2	Human Resources	T + 10	T+6	29 USC 1113	

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Administrative Division								
Human Resources								
HR13	Personnel Files		Human Resources	2	T + 7	T+3	29 CFR 1627.3; Lab. Code 1174; 29 CFR 1602.30.32	
HR14	Drivers Licenses /Driving History-CA Dept of Mtr Vehicles <input type="checkbox"/> Printouts, Report, Waivers (Dmv Pull Notice Files)		Human Resources	2	T + 5	T+3	29 CFR 1627.3; Lab. Code 1174; 29 CFR 1602.30.32	
HR15	Employee of the Month		Human Resources	2	T + 7	T+3	29 CFR 1627.3; Lab. Code 1174; 29 CFR 1602.30.32	
HR16	Employee <input type="checkbox"/> Awareness <input type="checkbox"/> List <input type="checkbox"/> Signed Acknowledgment of VTA Policies		Human Resources	2	T + 10	CU + 2	CA GOV <input type="checkbox"/> T CODE 12946	(all related records) from date of personnel action taken or made whichever is later or if litigation until all litigation is terminated
HR17	Employee Development/Training		Human Resources	2	CU + ALL YRS	CU + 2	CA GOV <input type="checkbox"/> T CODE 12946 29 CFR 1627.3	
HR18	Employment Verification		Human Resources	2	CU + 3	CU + 2	CA GOV <input type="checkbox"/> T CODE 12946	
HR19	Extra Help Requests and Related Materials		Human Resources	2	CU + 7	CU + 1	ADEA SEC 401;29 CFR 1627.3	
HR20	Fingerprint Clearances, Waivers <input type="checkbox"/> Including Criminal History Investigations, Security Clearances		Human Resources	2	T + 10	CU + 2	CA GOV <input type="checkbox"/> T CODE 12946	
HR21	Immigration Status (I-9 Files)	C	Human Resources	2	T + 1 OR 3 YRS AFTER HIRING, WHICHEVER IS LONGER	T + 1 OR 3 YRS AFTER HIRING, WHICHEVER IS LONGER	20 CFR 655; YSC1324(A)(B) (3) IRCA 8 USC 1324(B)(1)(E)(3)	Confidential; these records must be kept separate from records used in personnel decision making; if hb1-visa status then see 20 CFR 655.760

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Administrative Division**Human Resources**

HR22	Job Descriptions/Classifications <input type="checkbox"/> Including Intern Program		Human Resources	2	CL+ 10	LE + 1	29 CFR 1627.3 ADEA SEC 626	(all related records) from date of personnel action taken or made whichever is later or if litigation until all litigation is terminated
HR23	Job Offer Letters (Personnel File)		Human Resources	2	T + 10	LE + 1	29 CFR 1602.14	(all related records) from date of personnel action taken or made whichever is later or if litigation until all litigation is terminated
HR24	Jury Duty <input type="checkbox"/> Certificate of Appearance (Personnel File)		Human Resources	2	T + 10	CU + 2	CA GOV <input type="checkbox"/> T CODE 34090	
HR25	Names &/or Address Change <input type="checkbox"/> Forms (Personnel File)		Human Resources	2	T + 10	CU + 2	29 CFR 1627.3 CA GOV <input type="checkbox"/> T CODE 12946	
HR26	Next of Kin Data <input type="checkbox"/> Emergency Notifications (Personnel File)		Human Resources	2	T + 10	CU + 2	CA GOV <input type="checkbox"/> T CODE 12946	
HR27	Oath of Office <input type="checkbox"/> Employees (Personnel File)		Human Resources	2	T + 10	CU + 2	CA GOV <input type="checkbox"/> T CODE 34090	
HR28	Outside Employment Statement (Personnel File)		Human Resources	2	T + 10	CU + 2	CA GOV <input type="checkbox"/> T CODE 12946	
HR29	Pay Data; Notices of Wage/Hours		Human Resources	2	CU + 5	CU + 5	29 CFR 516.6 29 CFR 1620.32 29 CFR 1627.3	Equal Pay Act, ADEA
HR30	Performance Evaluation (Personnel File)		Human Resources	2	T + 10	CU + 1 CU + 2 CU + 3	29 CFR 1620.14 41 CFR 60-741.80 29 CFR 1627.3 CA GOV <input type="checkbox"/> T CODE 12946	Applies to all related records including memos, reports, letters, notes, lists, acknowledgments, etc. keep detailed data separately

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Administrative Division**Human Resources**

HR31	Personnel Rules & Regulations		Human Resources	2	CL + 5	S + 2	Gov't Code 34090	
HR32	Prehire Exam Tests, Test Results		Human Resources	2	MAINTAINED BY MEDICAL FACILITY	T +1 YR AND 1 YR FROM THE MAKING OF THE RECORD/ACTION	ADEA SEC 626 29 CFR 1602.14 29 CFR 1627.3 TITLE VII 790C	(all related records) from date of personnel action taken or made whichever is later or if litigation until all litigation is terminated
HR33	Promotion/Transfer/Demotion/Layoff/Termination (Personnel File)		Human Resources	2	T + 10	CU + 1 CU + 2	29 CFR 1620.14 41 CFR 60-741.80	
HR34	EEO1- Records for Each Job Showing Whether Selection Process Has Adverse Impact.		Human Resources	2	In (10)	FOR ANY PERIOD WHERE ADVERSE IMPACT EXISTED	29 CFR 1607.15	EEO-1 report
HR35	Recruitment Files- (Exam Files) Placement On/Removal From Employment List Applications + Supporting Materials Examinations Recruitment Files (Hiring Authority)		Human Resources	2	7 MIN 3 YRS	T +1 YR AND 1 YR FROM THE MAKING OF THE RECORD/ACTION. WHERE A CHARGE HAS BEEN FILED, UNTIL COMPLETION OF THE ACTION	ADEA 29 CFR 1602.14 TITLE VII 790C CA GOV'T CODE 12946	(all related records) from date of personnel action taken or made whichever is later or if litigation until all litigation is terminated
HR36	Reference Checks (Personnel File) Reference Checks (Hiring Authority)		Human Resources	2	T + 10 MIN 3 YRS	CU + 2	CA GOV'T CODE 12946	(all related records) from date of personnel action taken or made whichever is later or if litigation until all litigation is terminated

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Administrative Division								
Human Resources								
HR37	Salary Schedules/Tables		Human Resources	2	S + 5	LE + 2	29 CFR 516.6 29 CFR 1620.32	
HR38	Seniority Lists		Human Resources	2	S + 10	LE + 1	29 CFR 1627.3	
HR39	Separation Report (Personnel File)		Human Resources	2	T + 10	T+3	29 CFR 1627.3; Lab. Code 1174; 29 CFR 1602.30.32	
HR40	Temporary Employees (Payrolled Extra Help, Same as for Regular Employees)		Human Resources	2	T + 3	T+3	29 CFR 1627.3; Lab. Code 1174; 29 CFR 1602.30.32	
HR41	Terminated Employees □ Clearance Lists (Personnel File)		Human Resources	2	T + 10	LE + 1	29 CFR 1627.3	
HR42	Verifications of Employment and Salary		Human Resources	2	CL + 2	CL + 2	Gov't Code 34090	Kept in separate file- not placed in personnel file
HR43	Administration		Human Resources	2	CL + 2	CL + 2	Gov't Code 12946	
HR44	Benefit Plan Contracts		Human Resources	2	CL + 7	CL + 6	29 USC 1113	
HR45	Benefits Files- Separated Not Retired		Human Resources	2	T + 10	T + 6	29 USC 1113	
HR46	Benefits Files- Separated Retired		Human Resources	2	DEATH + 7	DEATH + 6	29 USC 1113	
HR47	Cobra Program/Related Files		Human Resources	2	LE+6	LE+6	29 USC 1113	Cobra files LE+6
HR48	Deferred Compensation Plans (Personnel File)		Human Resources	2	T + 10	CU +6	29 USC 1113, 29 CFR 1627.3	
HR49	Disability Plans		Human Resources	2	CL + 6	CL+6	29 USC 1113	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Disposal Review: 1 = Notify 2 = Notify and Approve	Office of Record	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Administrative Division								
Human Resources								
HR50	Employee Assistance Programs		2	Human Resources	CL + 5	CL+3	29 CFR 1627.3	
HR51	General Information - Brochures, Notices Pamphlets, Memos Describing Policies and Procedures		2	Human Resources	LE+6	LE+6	29 USC 1113, 29 CFR 1627.3	Only for originals of published policy & procedures; one high quality original should be kept indefinitely
HR52	Medical/Dental/Vision/Life Insurance/Dependent Care <input type="checkbox"/> Registration, Enrollments, Change in Acct.		2	Human Resources	T + 10	LE+6	29 USC 1113, 29 CFR 1627.3	As they may apply to all contributions to such plans
HR53	Pension Files- Individual Retiree Benefits Calculations, Retirement Application etc.		2	Human Resources	DEATH + 7	CL+6	29 USC 1113	
HR54	Public Employees Retirement System (PERS) <input type="checkbox"/> Service Credit Certification Pkg		2	Human Resources	T + 10	LE+6	29 USC 1027, 1059	
HR55	Public Employees Retirement System Forms <input type="checkbox"/> Enrollment, Change of Status		2	Human Resources	T + 10	LE+6	29 USC 1027, 1059	
HR56	Release of Information (Pension File)		2	Human Resources	DEATH + 7	CL+6	29 USC 1113	
HR57	Retirement Benefits Plan Information		2	Human Resources	P	CL+6	29 USC 1113	
HR58	Section 125, Flex Benefit Plan		2	Human Resources	T + 7	LE+6	29 USC 1113, 29 CFR 1627.3	
Information Technology								

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Administrative Division**Information Technology**

IT01	Project and Program Documentation - Internal Non-critical Projects Documents the development, design, control, support and close out of VTA technical projects. Includes pre-project proof of concept, project charter, cost schedules, project plans, meeting minutes, specification documents, PMO template forms and project/program audits.		Information Technology	2	CL + 5	CL + 2	Gov't Code 34090	
IT02	Project and Program Documentation □ Grant Funding and Critical Business Functions Projects Includes pre-project proof of concept, project charter, cost schedules, project plans, meeting minutes, specification documents, PMO template forms and project/program audits.		Information Technology	2	CL + 5	CL + 2	Gov't Code 34090	
IT03	Technology Software End User License Agreements - Custom/One-off License agreements for larger software systems. Copies of agreements maintained with the Management Analyst in Technology. End User License Agreements - Standard Unmodified/unnegotiated license agreements. Maintenance Agreements □ Negotiated Maintenance Agreements - Standard/Unnegotiated Warranties		Information Technology	2	CU + 5	CU + 5	CCP 337.2 & CCP 343 are statutes of limitations of 4 years, 48 CFR 4 is 5 years for procurements exceeding \$25,000.	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Administrative Division

Information Technology

IT04	Technology Software Inventory Records Listing of software on individual machines. Maintained in Helpdesk software (information entered in by computer technician installing software) & Audit Wizard (network run software system) databases, and in paper listings.		Information Technology	2	S + 2	CU + 2	State of California recommends 2 years after superseded.	Admin. decision-until superseded. document is a snapshot of current system status maintained in tracking software system.
IT05	Equipment □ Information Technology Inventory tracked by asset tags. Information stored and managed in helpdesk application and SAP.		Information Technology	2	S + 2	S + 2	State of California recommends 2 years after superseded.	Admin. decision-information maintained in electronic database. previous versions not maintained.
IT06	Infrastructure - Information Technology System Configuration Includes diagrams on network connectivity and equipment placement for buildings. Network Topography Diagrams □ Internal Network Topography Diagrams - Validation/Regulatory Information may be communicated between DOJ/other agencies for validation and law enforcement security purposes		Information Technology	2	CU + 4	CU + 4	GC 34090 is 2 years, CCP 337.2 is SOL is 4 years for actions to commence, CCP 343 is SOL is 4 years for actions to commence, State of California Guidelines are current year plus 4 years.	
IT07	Level 3 Documentation Includes Policies, Procedures and other documentation for items such as PCI compliance and Disaster Recovery Documentation.		Information Technology	2	S + 2	S + 2	State of California Guidelines are 2 years after superseded for emergency planning documentation.	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Administrative Division**Information Technology**

IT08	Telecommunications Phone transactions listing of phone numbers dialed, call duration, and cost for internal phone system. received electronically, in paper, and on internal databases. for non-emergency or dispatching use only. stored in multiple locations.		Information Technology	N	180 DAYS	180 DAYS	GC 34090.6 is 100 days for telephone communication recordings, State of California Guidelines are 180 days.	
IT09	General Information Services Employee Internet Access Database tracking employee internet usage. Currently tracked for 90 days, then information is purged. Does not include tracking of usage for Human Resources investigations		Information Technology	2	CU + 2	CU + 2	GC 34090	
IT10	Backup and Recovery Plans, Schedules, etc for system backup and data recovery.		Information Technology	2	S + 2	S + 2	GC 34090 is 2 years, State of California Guidelines are 2 years after superseded for emergency planning documentation.	
IT11	Backup: Weekly Full Backups Daily Incremental Backups Monthly Backups		Information Technology	2	Daily retained for 2 weeks; Weekly retained for 2 months; Monthly retained for 2 years	0	N/A	

Records Management

IT12	Records Authorization Destruction	H	Information Technology	2	P	CU + 2	Gov't Code 34090	
IT13	Program Audits/Inventories		Information Technology	2	In (10)	CU + 2	Gov't Code 34090	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Administrative Division								
Records Management								
IT14	Records Retention Schedule	H	Information Technology	2	P	S + 4	CCP 343 is Superseded + 4	Retain versions for historical value.
Risk Management								
RM01	Accident Review Committee Includes findings, decisions, reports from accident review meeting		Risk Management	2	CU + 10	CU + 5	29 CFR 1904.6	
RM02	Administrative Policies, Procedures and Work Instructions		Risk Management	2	CU + 20	In	5 cfr 1320.6	
RM03	Designated Doctors Request	C	Risk Management	2	In (10)	CU + 3	29cfr825.500	Required to be secure & kept from other employee's records
RM04	Workers Compensation Files (Includes All Matter Except for Asbestos, and Industrial Related)	C	Risk Management	2	CU + 5	CU + 3	29cfr825.500	Required to be secure & kept from other employee's records
RM05	Workers Compensation Files (Includes Industrial Related With Chemical and Toxic Materials)	C	Risk Management	2	CU + 30	CU + 3	29cfr825.500	Required to be secure & kept from other employee's records
RM06	Workers Compensation Files (Includes Asbestos)	C	Risk Management	2	Death + 1	CU + 3	29cfr825.500	Required to be secure & kept from other employee's records
RM07	OSHA IOG/Annual Summary/ Illness and Incident Report		Risk Management	2	CU + 5	LE +5	29 CFR 1904.33(A)	
RM08	ADA Reasonable Accommodation Requests		Risk Management	2	CU + 5	CU + 2	29 CFR 1602.14 41 CFR 60-741.80	
RM09	Records of Adverse Reactions: To Health or Environment (Minor; Not Significant)		Risk Management	2	CU + 5	CU + 5	TOXIC SUBSTANCES CONTROL ACT 15 USC 2601 15 USC 2607	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Administrative Division								
Risk Management								
RM10	Records of "Significant" Adverse Reactions to Health or Environment		Risk Management	2	CU + 30	CU + 30	TOXIC SUBSTANCES CONTROL ACT 15 USC 2601 15 USC 2607	
RM11	Unemployment Insurance Claims		Risk Management	2	CU + 10	4	22 CA CODE REGS 1085 29 USC 1113, 29 CFR 1627.3	
RM12	Liability Insurance Policies and Property Policies		Risk Management	2	P	P	Industry practice	
RM13	FMLA Files (Includes Family Leave <input type="checkbox"/> Forms and Information regarding Lost Time, Leaves of Absence-Request For Medical Information-Examinations, Physician Designations, Health Clearances and Return to Work Order.		Risk Management	2	T + 10	CU + 3	29 CFR 825.500	
						CU + 3	CA CODE 56-56.37	
						CU + 3	29 CFR 825.500 29 CFR 1627.3 29 CFR 1630.14 41 CFR 60-250.23	
						CU + 3	CA CIV CODE 56-56.37; 29CFR 825.500	
RM14	Liability Claims Against VTA (Filed by Claim Number)		Risk Management	2	Disposition + 5	CU + 5	Industry practice	
Safety & Environmental								
RM15	Injury and Illness Prevention Program (IIPP)		Risk Management	2	P	In	cal/osha	
RM16	OSHA 300A Log and Summary		Risk Management	2	CU + 5	CU + 5	Cal/OSHA	
RM17	Safety Inspections		Risk Management	2	CU + 3	CU + 3	cal/osha	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Administrative Division								
Safety & Environmental								
RM18	Environmental Inspections, Submittals and Records		Risk Management	2	CU + 3	CU + 3	cal/osha	
RM19	Safety / Environmental Investigations		Risk Management	2	CU + 3	CU + 1	cal/osha	
RM20	Employee Training Records		Risk Management	2	CU + 3	CU + 3	cal/osha	
RM21	Safety Committee Meeting Records Includes Files for Joint Safety Meeting with ATU and Management and Meeting Files for SEIU and Management)		Risk Management	2	CU + 3	CU + 3	cal/osha	
RM22	Employee Safety Communication (Suggestions and Responses)		Risk Management	2	CU + 3	CU + 3	cal/osha	
RM23	Employee Disciplinary Action Resulting From Unsafe Acts		Risk Management	2	CU + 3	CU + 3	cal/osha	
RM24	All Safety Records Other Than those Subject to the Access Standard		Risk Management	2	Employment Duration	Employment Duration	cal/osha	
RM25	Medical and Employee Exposure Records Subject to the Access standard		Risk Management	2	CU + 3	CU + 3	cal/osha	
RM26	Material Safety Data Sheets (MSDS) Current and archived		Risk Management	2	Employment duration + 30	Employment duration + 30	cal/osha	
RM27	Environmental Regulatory records		Risk Management	2	CL + 5	CU + 5	cal/osha	
Substance Abuse								
RM28	Substance Abuse Program (Drug & Alcohol) <input type="checkbox"/> Education and Training Records	C	Risk Management	2	CU + 2	CU + 5	49 CFR PART 40.333	Note: current year = calendar program year. retention dependent on record type - See addendum and/or legal counsel for guidance

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Administrative Division								
Substance Abuse								
RM29	Substance Abuse Program (Drugs & Alcohol) <input type="checkbox"/> Employee Evaluation and Referrals	C	Risk Management	2	CU + 5	CU + 5	49 CFR PART 40.333	Note: current year = calendar program year. retention dependent on record type - See addendum and/or legal counsel for guidance
RM30	Substance Abuse Program (Drugs and Alcohol) <input type="checkbox"/> Annual MIS (Management Information System) Reports	C	Risk Management	2	CU + 5	CU + 5	49 CFR PART 40.333	Note: current year = calendar program year. retention dependent on record type - See addendum and/or legal counsel for guidance
RM31	Substance Abuse Administration		Risk Management	2	CU + 2	CU + 2	Gov't Code 34090	
RM32	Records of Alcohol Test Results of 0.02 or Greater		Risk Management	2	CU + 5	CU + 5	49 CFR PART 40.333	
RM33	Records of Verified Positive Drug Test Results		Risk Management	2	CU + 5	CU + 5	49 CFR PART 40.333	
RM34	Documentation of Refusals to Take Required Tests		Risk Management	2	CU + 5	CU + 5	49 CFR PART 40.333	
RM35	Substance Abuse Professional Reports		Risk Management	2	CU + 5	CU + 5	49 CFR PART 40.333	
RM36	All Follow-Up Tests and Schedules for Follow-Up Tests		Risk Management	2	CU + 5	CU + 5	49 CFR PART 40.333	
RM37	Previous Employer Information		Risk Management	2	CU + 3	CU + 3	49 CFR PART 40.333	
RM38	Records of the Inspection, Maintenance, & Calibration of EBT's		Risk Management	2	CU + 2	CU + 2	49 CFR PART 40.333	
RM39	Records of Negative & Cancelled Drug & Alcohol Test Results		Risk Management	2	CU + 1	CU + 1	49 CFR PART 40.333	

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Disposal Review: 1 = Notify 2 = Notify and Approve	Office of Record	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Congestion Management Agency Division								
CMA Planning								
CL01	Administration		2	Planning	CU + 2	CU + 2	Gov't Code 34090	
CL02	Applications/Appointments/Resignation Letters		2	Planning	P	T+3	29 CFR 1627.3; Lab Code 1174; 29 CFR 1602.32	
CL03	Congestion Management Program		2	Planning	CU + 7	CU + 2	Gov't Code 34090	
CL04	Countywide Modeling Program / Research		2	Planning	CU + 7	CU + 2	Gov't Code 34090	
CL05	Agency-Wide Plans (Vtp And Srtp) Supporting Materials (Memos, Etc.)		2	Planning	CU + 7	CU + 2	Gov't Code 34090	
CL06	Agency-Wide Plans (Vtp, Srtp, Other Planning Studies, Etc.)		2	Planning	P	CU + 2	Gov't Code 34090	
Congestion Management Program								
CP01	Capital Improvement Program (CIP)		2	Congestion Management Program	P	CU + 2	Gov't Code 34090	
CP02	Congestion Management (CMP)		2	Congestion Management Program	P	CU + 2	Gov't Code 34090	
CP03	Land Use and Transportation Integration		2	Congestion Management Program	P	CU + 2	Gov't Code 34090	
CP04	Plans and Studies		2	Congestion Management Program	P	CU + 2	Gov't Code 34090	
Environment Review								
EV01	Administration		2	Environmental Programs	CU + 2	CU + 2	Gov't 34090	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Congestion Management Agency Division								
Environment Review								
EV02	Applications/Appointments/Resignation Letters		Environmental Programs	2	P	T+3	29 CFR 1627.3; Lab Code 1174; 29 CFR 1602.32	
EV03	Sustainability Program		Environmental Programs	2	CU + 10	CU + 2	Gov't Code 34090	
EV04	Litter Control		Environmental Programs	2	CU + 2	CU + 2	Gov't Code 34090	
EV05	Conservation Property Management		Environmental Programs	2	P	P	CEQA; Gov't Code 34090(a)	
Geographical Information Program								
CL07	Administration		Planning	2	CU + 2	CU + 2	Gov't Code 34090	
CL08	GIS Project Documents	H	Planning	2	P	CU + 2	Gov't Code 34090	
Grants								
GP01	Administration Includes documents for daily operations, guidelines by FTA and MTC, meeting notes, program notes.		Grants	2	P	CL+3	FTA C5010.1D, Chap. III(7)	
GP02	Applications/Appointments/Resignation Letters		Grants	2	P	CL+3	FTA C5010.1D, Chap. III(7)	
GP03	Grant Files Includes Grant documents.		Grants	2	The longer of the bond maturity + 3 years or the useful life of the asset +3 years that is grant funded.	CL+3	FTA C5010.1D, Chap. III(7)	Per Finance: Originally defined as longest life of asset in grant + 3 years but if bond proceeds are used then the final maturity on bonds for the grant drives the retention period.

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Congestion Management Agency Division								
Grants								
GP04	Project Files Documents Support: 1) the final design used; 2) ROW use and utility relocation performed; 3) adequacy of field control; 4) conformance to contract specifications; and 5) ROW, utility and contract payments made; 6) use of and payment for VTA labor and other VTA expenses.		Grants	2	The longest life of the asset in the project + 3 years.	CL+3	FTA C5010.1D, Chap. III(7)	
Real Estate								
RE01	Surplus Property		Real Estate	2	CL+5	CL+4	CCP 337	
RE02	Applications/Appointments/Resignation Letters		Real Estate	2	T+3	T+3	29 CFR 1627.3; Lab Code 1174; 29 CFR 1602.32	
RE03	Right-Of-Way Acquisition Documents		Real Estate	2	CU + 10	CL+4	CCP 337	for bond financed projects 3 yrs preceeding + current + 3 yrs after final maturity
RE04	Right-Of-Way Acquisition Recorded Documents		Real Estate	2	P	P	Gov't Code 34090(a)	
RE05	Real Property Sale Documents		Real Estate	2	CU + 10	CL+4	CCP 337	for bond financed projects 3 yrs preceeding + current + 3 yrs after final maturity
RE06	Real Property Sale Recorded Documents		Real Estate	2	P	P	Gov't Code 34090(a)	
RE07	Real Property Licenses And Leases		Real Estate	2	CU + 10	CL+4	CCP 337	for bond financed projects 3 yrs preceeding + current + 3 yrs after final maturity
RE08	Administration		Real Estate	2	CU + 2	CU + 2	Gov't Code 34090	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Engineering & Construction Division								
Engineering & Construction								
EC01	General Project Documents All documents unless they are addressed in the following Record Series. In addition, all documents that have an Office of Record other than E&C are treated by E&C as General Project Documents (e.g. <input type="checkbox"/> Appraisals <input type="checkbox"/> Office of Record is Real Estate; if E&C has a copy of an Appraisal that copy will be treated as a General Project Document). Document types include, but are not limited to,; Agendas, Meeting Minutes, Letters, RFI's, 35/65/95% Design Documents, Survey and Utility Documents, Submittals not addressed in other Categories, Change Notices, Field Memos, Emails, NCR's, Transmittals, Risk Management Plan, Risk Register, etc.		E&C	2	CL+10	CL+10	CCP 337.15 is 10 years	General correspondence/ documentation regarding construction projects
EC02	Construction Contracts, Amendments, Contract Change Orders, Purchase Orders; Design and Construction Agreements, Operations and Maintenance, and Third Party Agreements, Amendments, Task Orders		CAMM	2	CL+10	CL+04	CCP 337 SOL is 4 years for breach of contract	(CM01, CM06) (CM03)
EC03	Permits, Applications and Approvals, General Orders (CPUC), Resolutions; Memorandums of Understanding, Reciprocity Agreements, Co-Op Agreements, Letters/Memos of Agreement, etc.		E&C	2	P	CL+04	CCP 337 SOL is 4 years for breach of contract	

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Engineering & Construction Division								
Engineering & Construction								
EC04	As-Built Records- All documents that define or document the final configuration of any project. Conformed Plans and Specifications, Project Record Documents (As-Built Drawings and Specifications), Electronic Files, Survey Records, Utility Documentation, Final System and Acceptance Testing, Closeout Binder, etc. Photographs/Videos Safety and Security Certifications		E&C	2	LOS*	P	GC 34090(a), Real property records to maintain permanently; State of California Guidelines, Permanent for Capital Improvement Projects	*If Asset is transferred to another Governemnt Entity, and all As-Built records are transferred, then records can be destroyed after transfer and acceptance per Agreement.
EC05	Labor/EEO Compliance	C or Regular	CAMM/ E&C	2	CL+10	CL+03	FMLA, FLSA, EEO	Also State Labor Code 1776
EC06	Planning and Design Phase Analysis/Studies/Reports that document the completion of required elements of the Project		CMA/ Env./ E&C	2	CL+10	CL+04	CCP 337	CMA/Env. Retention per their schedule; E&C Copies EC01
EC07	Construction Phase Analysis/Studies/Reports, Calculations, Memos, Presentations	H or Regular	E&C	2	CL+10 or P*	CL+04	CCP 337	*P if Historic
EC08	Analysis/Studies/Reports that are approved by a third party (e.g. Caltrans, FTA, etc.)		E&C	2	LOS*	CL+04	CCP 337	
EC09	Survey Engineer, Resident Engineer, and Duty Senior Project Files		E&C	2	LOS*	CL+04	CCP 337	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Engineering & Construction Division

Engineering & Construction

EC10	Insurance Documentation		E&C	2	CL+10	CL+04 or CL+10	CCP 337 SOL is 4 years for breach of written contract; CCP 337.15 SOL is 10 years for latent defects. Retention period depends on type of policy and when claims can be made	
EC11	Quality Records VTA and Contractor Quality Assurance Plans, Procedures, Organization Charts, Training Materials/Records, Surveillance and Audit Reports, Audit Findings and Responses, and Corrective Action Requests and Responses. Construction Test Reports, Certifications, Inspection Reports, Materials Test Reports, Non-Conformance Reports, Progress Reports.		E&C	2	LOS*	2	Gov't Code 34090 is 2 years, State of California Guidelines is Permanent	
EC12	Legal Descriptions, Appraisal and Plat Maps		E&C	2	P	P	Gov't Code 34090(a)	
EC13	Right of Way Data Sheet		CMA/E&C	2	CL+10	CU + 2	Gov't Code 34090	(CMA)
EC14	Project Controls Administrative (not Project) Documents- Schedules, Budget, Estimates, Cost Reports, Work Authorizations/Directives etc.		E&C	2	CL+4	CU + 2	GC 34090 is 2 years	(GA01)
EC15	Work Instructions, Procedures, Policies		E&C	2	CL+4	S + 5	GC 34090 is 2 years, State of California guidelines is S + 5 years.	(GA07)

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Engineering & Construction Division								
Engineering & Construction								
EC16	Safety Meeting Minutes, Training Materials, Safety/Security Criteria or Checklists, Safety Inspection Reports, MSDS Sheets		E&C	2	CL+10	CL+5	OSHA	
EC17	Public Records Act Requests		Legal E&C	2	CL+5 CL+10	CU + 2	Gov't Code 34090	GC20 if Request goes to Legal; CL+10 if request goes to E&C

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
External Affairs								
Customer Service								
CS01	Administration: Forms/Sheets/Logs Administration: Performance/Stat Review		Customer Service	2	CU + 4	CU + 2	Gov't Code 34090	
CS02	Regional Transit Sale Programs: Annual Pass, Eco Pass, Monthly Pass, Regional Transit Connection (Rtc), Youth Outreach Program (Yop), Summer Blast Pass, Paratransit Pass		Customer Service	2	CU + 2	CU + 2	Gov't Code 34090	Receipts only
CS03	Accessibilty: Mobility Device Tether Installation		Customer Service	2	CU + 2	CU + 2	Gov't Code 34090	
CS04	Travel Training Referral□		Customer Service	2	CU + 2	CU + 2	Gov't Code 34090	Funded through a grant.
CS05	Effective Date Letter		Customer Service	2	CU + 2	CU + 2	Gov't Code 34090	
CS06	Transit Resource And Supply (Trs)		Customer Service	2	CU + 2	CU + 2	Gov't Code 34090	
CS07	CARE Reports		Customer Service	2	In (10)	CU + 2	Gov't Code 34090	
CS08	Customer Service Correspondance/Response		Customer Service	2	In (10)	CU + 2	Gov't Code 34090	
CS09	RTC Documentation -Applications		Customer Service	2	CU + 2	CU + 2	Gov't Code 34090	Administrative Action: Ensure that the MOU with MTC for RTC does not require more retention before destroying
CS10	RTC Documentation -Transmission Lists		Customer Service	2	CU + 1	CU + 2	Gov't Code 34090	
CS11	Clipper Applications		Customer Service	2	CU + 2	CU + 2	Gov't Code 34090	These are retained by the Secretary in Market Development.

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Disposal Review: 1 = Notify 2 = Notify and Approve	Office of Record	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
External Affairs								
Customer Service								
CS12	Outreach: -Safety -Presentations -Youth Outreach Presentation (YOP) Documents -MOP and Accessibility		2	Customer Service	CU + 2	CU + 2	Gov't Code 34090	
CS13	City Year Request for Monthly Passes		2	Customer Service	CU + 2	CU + 2	Gov't Code 34090	
CS14	Permission to Film		2	Customer Service	In (10)	CU + 2	Gov't Code 34090	
CS15	Website Archive		2	Customer Service	In (10)	CU + 2	Gov't Code 34090	Electronic
CS16	Gov Delivery: -Bulletins		2	Customer Service	In (10)	CU + 2	Gov't Code 34090	Through the GD service. Electronic
CS17	Downtown Center Deposit Pickup Sheet		2	Customer Service	CU + 2	CU + 2	Gov't Code 34090	Not maintained by Protective Services Dept.
CS18	Cash Register Receipts		2	Customer Service	CU + 1	N/A	N/A	Administrative Action: Fiscal Resources & Legal need to verify retention period before destroying
CS19	New Freedom Grant Documents (Travel Training Reports, Invoices, Etc)		2	Customer Service	4 Years following the fiscal year of the final expenditure under the agreement or 3 years following final payment to VTA	CL +4	CCP 337	Per Grant Funding Agreement

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Disposal Review: 1 = Notify 2 = Notify and Approve	Office of Record	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
External Affairs								
Customer Service								
CS20	ATU Attendance Records: -Bids (quarterly, permanent, vacation, etc) -Checkerboards -Daily Log Sheets -Time off Request Forms -Doctor's Notes		2	Customer Service	Duration of Employment	T+3	29 CFR 1627.3; Lab Code 1174; 29 CFR 1602.32	ATU bids--Should these be kept as part of Attendance/Timekeeping Records under VTA Enterprise-Wide?
CS21	Customer Correspondence		2	Customer Service	CU + 2	CU + 2	Gov't Code 34090	
CS22	Uniform Vouchers (ATU Employees)		2	Customer Service	CU + 2	CU + 2	Gov't Code 34090	
CS23	Personnel Record Entries (PRE's)		2	Customer Service	CU + 4	T+3	29 CFR 1627.3; Lab Code 1174; 29 CFR 1602.32	
CS24	Former Employee Records		2	Customer Service	CU + 7	T+3	29 CFR 1627.3; Lab Code 1174; 29 CFR 1602.32	Also retained by HR
Federal & State								
GR01	Administration: Annual Legislative Program-State & Federal		2	Government Relations	CU + 2	CU + 2	Gov't Code 34090	
GR02	Bureau Of State Audit Report		2	Disbursements Dept.	CU + 10	CU + 2	Gov't Code 34090	
GR03	Correspondence: Contract Award Letters Correspondence: Letters To Federal/State Officials Correspondance: Resolutions To Federal/State Elected Officials		2	Government Relations	CU + 4	CU + 4	CCP 337□	Matters relating to contracts should be kept for at least 4 years as the sol for a breach of contract action is 4 years. if contract requires longer retention, such as 3 years after termination of contract for audit purposes, then should keep longer.

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
External Affairs								
Federal & State								
GR04	Fair Political Practices Commission (Fppe) Reports		Government Relations	2	In (10)	CU + 2	Gov't Code 34090	The Government Affairs Manager (for State&Federal) get's independent audits.
GR05	Lobbying Activities: General Lobbying Activities: Auditable Cost Center Documents (11002)		Government Relations	2	CU + 2	CU + 2	Gov't Code 34090	
GR06	Lobbying Activities: Federal Lobbying Contract Lobbying Activities: State Lobbying Contract		CAMM	2	CU + 4	CU + 4	CCP 337	These are contracts, keep minimum of 4 years. ccp 337. Lobbying Activities relate to the day to day management of the consultants. The actual contract documentation is kept by CAMM.
GR07	Legislative Activities: Legislative History Matrix Legislative Activities: Reports to Stake Holder Groups Legislative Activities: Legislative Reports to Board Of Directors		Government Relations		In (10)	CU + 2	Gov't Code 34090	No historical relevance
GR08	Legislative Activities: Legislation Position/ Bill Opinion Files Legislative Activities: State Ballot Measure Position Files	H	Office of Board Secretary	2	P	CU + 2	Gov't Code 34090	Historical relevance so retain permanently
Local								
GR09	Administrative: General		Government Relations	2	CU + 2	CU + 2	Gov't Code 34090	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
External Affairs								
Local								
GR10	Ballot Measures <input type="checkbox"/>	H	Office of Board Secretary	2	P	CU + 2	Gov't Code 34090	For ballot measures in which vta sponsors or supports, keep permanently
GR11	Civil Grand Jury Report <input type="checkbox"/>	H	General Counsel	2	CU+10	CU + 2	Gov't Code 34090	
GR12	Correspondence: General Correspondence: Letters To Regional Organizations Correspondence: Letters To City Representatives		Government Relations	2	CU + 5	CU + 2	Gov't Code 34090	
Marketing								
MA01	Printing Services Contracts <input type="checkbox"/>		CAMM	2	CU + 4	CU + 4	CCP 337	All contract documentation kept by CAMM.
MA02	Professional Services Contracts <input type="checkbox"/> (ie.Translation Services)		CAMM	2	CU + 4	CU + 4	CCP 337	Contracts should be kept for at least 4 years. All contract documentation kept by CAMM.
MA03	Transit Pass Programs: Eco Pass, Convention Pass, Adopt-A-Stop		Marketing	2	CU + 5; eco pass Convention Pass CU + 1	CU + 2	Gov't Code 34090	
MA04	Partnership Agreements <input type="checkbox"/> Promotional Marketing Trades Summer Blast Pass		Marketing	2	CU + 4	CU + 4	CCP 337	Contracts should be kept for at least 4 years. All contract documentation kept by CAMM.
MA05	Service/Fare Changes: -Collateral -Outreach/Public Meetings	H	Marketing	2	P	CL+3	FTA C 5010.1D Chap III(7)	
MA06	Translink/Clipper		Marketing	2	CU + 2	CU + 2	Gov't Code 34090	

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

External Affairs

Marketing

MA07	Transit Advertising Contract		CAMM	2	CU + 5	CL+4	CCP 337	
MA08	VTA Services & Promotions - Campaign Collateral	H	Marketing	2	In (10)	CU + 2	Gov't Code 34090	

Media Relations

MR01	Construction Projects: -Collateral Materials -Correspondance/Responses -Sign in Sheets -Day After Reports -Hot Line Logs		Media Relations & Community Outreach	2	In (10)	CL+4	CCP 337	
MR02	Media Activity: -Releases -Contacts -Clips -Distribution Lists	H	Media Relations & Community Outreach	2	P	CU + 2	Gov't Code 34090	
MR03	Clipping Contract: Records Include All Clippings and Broadcasts of VTA Found by External Organization.	H	CAMM	2	P	CU + 2	Gov't Code 34090	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Fiscal Resources**Accounting**

DF01	General Administration (Includes Chrons)		Finance	2	CU + 10	CU + 2	GC 34090	
DF02	Applications/Appointments/Resignation Letters		Finance	2	CU + 10	T+3	29 CFR 1627.3(2); GC12946, 34090	for bond financed projects 3 yrs preceeding + current + 3 yrs after final maturity
DF03	Account Reconciliation		Finance	2	CU + 10	CL + 3	IRS Guidelines	

Accounts Receivable

DF15	Receipt Journals		Finance	2	CU + 10	CL + 3	IRS Guidelines	
------	------------------	--	---------	---	---------	--------	----------------	--

Banking

DF25	Administration		Finance	2	CU + 2	CU + 2	Gov't Code 34090	
DF26	Bank Statements/Reconciliations		Finance	2	AU + 5	CL + 3	IRS Guidelines	
DF27	Bank Accounts Related To Tax-Exempt Bond Proceeds		Finance	2	CU + 3 yrs after final maturity	CL + 3	IRC 6001	
DF28	Daily Cash/Cash Flow Reports		Finance	2	CU + 5	CL + 3	IRS Guidelines	

Budget

DF29	Administration		Finance	2	CU + 3	CU + 2	Gov't Code 34090	
DF30	Capital Improvement Program		Finance	2	P	CU + 2	Gov't Code 34090	
DF31	Adopted Fiscal Year Budget		Finance	2	P	CU + 2	Gov't Code 34090	
DF32	Department Budget/Work Programs		Finance	2	CL + 3	CL + 3	IRS Guidelines	

Capitla Accounting

DF07	Periodic Reports (Single Audit, Fed Financial Report)		Finance	2	CU + 10	CL + 3	IRC Guidelines	
------	---	--	---------	---	---------	--------	----------------	--

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Fiscal Resources

Capitla Accounting

DF08	Periodic Reports For Projects Financed With Tax-Exempt Proceeds		Finance	2	3 yrs preceeding + current + 3 yrs after final maturity	CL + 3	IRC 6001	
DF09	Invoices/Billings To Federal, State, Local		Finance	2	CU + 10	CL + 3	IRS Guidelines	
DF10	Bond Proceed Requisitions		Finance	2	3 yrs preceeding + current + 3 yrs after final maturity	CL + 3	IRC 6001	
DF11	Indirect Cost Allocation Plan		Finance	2	CU + 10	CL + 3	IRS Guidelines	for bond financed projects 3 yrs preceeding + current + 3 yrs after final maturity

Cash Management

DF16	Bank Deposit Slips		Finance	2	CU + 10	CL + 3	IRS Guidelines	
DF17	Original Checks Remotely Deposited		Finance	2	CU + 2 yrs	0 Assuming Accessing to Proper Digital Image; Otherwise CU + 3	Check 21 Act; UCC 4-406; IRS Guidelines	
DF18	Wire-In Notices		Finance	2	CU + 10	CL + 3	IRS Guidelines	
DF19	Interest Allocation Worksheet		Finance	2	CU + 10	CL + 3	IRS Guidelines	
DF20	Bank Statements And Reconciliations		Finance	2	CU + 10	CL + 3	IRS Guidelines	
DF21	Bank Statements And Reconcialtions <input type="checkbox"/> Bond Trustee Accounts		Finance	2	CU + 3 yrs after final maturity	CL + 3	IRC 6001	

Compliance Review

DF22	Ratio Analysis		Finance	2	CU + 2	CU + 2	Gov't Code 34090	
------	----------------	--	---------	---	--------	--------	------------------	--

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Fiscal Resources

Compliance Review

DF23	Indirect Cost Rate Reviews		Finance	2	CU + 2	CU + 2	Gov't Code 34090	
DF24	External Agency Reviews & Responses		Finance	2	CU + 10	CL + 3	IRS Guidelines	

Contracts & Material Management

CM01	Administration		Contracts & Material Mgmt	2	CU + 2	CU + 2	GC 34090	
CM02	Purchasing <input type="checkbox"/> Procurement Contracts Ifb		Contracts & Material Mgmt	2	CL + 5	CL+4	CCP 337	for bond financed projects 3 yrs preceeding + current + 3 yrs after final maturity
CM03	Professional Services Contracts Rfb		Contracts & Material Mgmt	2	CL + 5	CL+4	CCP 337	for bond financed projects 3 yrs preceeding + current + 3 yrs after final maturity
CM04	Construction Contract Ifb - Federal Funding Source		Contracts & Material Mgmt	2	CL + 10	CL+4	CCP 337	
CM05	Construction Contract Ifb - Local Funding Source		Contracts & Material Mgmt	2	CL+4	CL+4	CCP 337	
CM06	Purchase Orders		Contracts & Material Mgmt	2	CU + 5	CU + 2	Gov't Code 34090	for bond financed projects 3 yrs preceeding + current + 3 yrs after final maturity
CM07	Insurance Certificates (Construction Only)		Contracts & Material Mgmt	2	CU + 2	CL+4	CCP 337	
CM08	Prequalifications <input type="checkbox"/> Vendor Data		Contracts & Material Mgmt	2	CU + 2	CU + 2	Gov't Code 34090	
CM09	Vendor Protests		Contracts & Material Mgmt	2	CU + 2	CU + 2	Gov't Code 34090	
CM10	Dbc/Sbc Certification Files		Contracts & Material Mgmt	2	CL + 5	CL + 3	FTA C 5010.1D Chap III(7)	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Fiscal Resources								
Contracts & Material Management								
CM11	Dbe/Sbe Contract Files		Contracts & Material Mgmt	2	CL + 5	CL + 3	FTA C 5010.1D Chap III(7)	
CM12	Dbe/Sbe Outreach Program		Contracts & Material Mgmt	2	CL + 2	CL + 3	FTA C 5010.1D Chap III(7)	
CM13	Dbe/Sbe Data Collection And Reporting		Contracts & Material Mgmt	2	CL + 2	CL + 3	FTA C 5010.1D Chap III(7)	
Debt Admin								
DF36	Bond Transaction Related Documents		Finance	2	3 yrs preceeding + CU + 3 yrs after final maturity	CL + 3	IRC 6001	
Disbursements - AP								
FA01	Vendor Files Includes Invoice & Supporting Documents (Including Petty Cash, And Employee Reimbursements, P-Card, Travel); Cashed Check Copies; Check , Wire, And Ach Register And Void And/Or Re-Issued Checks (Including Affidavit For Lost/Destroyed, Authority To Issue Duplicate Check).	H	Fiscal Administration	2	CL + 10 years	AU+4/7	GC34090; 24CFR 570.502 24 CFR85.42*	4/7 = 4 yrs for state funds /7 for federal funds. *Bonds - CL+10 yrs Could be <30 years *Grants - applications, reports, contracts, supporting doc T+4 Could be <30 years *Leases - 6 Years after expiration *all others 7 years. for bond financed projects 3 yrs preceeding + current + 3 yrs after final maturity
FA02	Cashed Check Copies; Check , Wire, And Ach Register And Void And/Or Re-Issued Checks (Including Affidavit For Lost/Destroyed, Authority To Issue Duplicate Check).	H	Fiscal Administration	2	AU + 10 years or P	CL+4	CCP 337	Tax, property purchase, special contracts = Permanent

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Fiscal Resources**Disbursements - AP**

FA03	AP ledgers	H	Fiscal Administration	2	P	CU + 2	Gov't Code 34090	
FA04	Re-Accuring Payment Documents Leases, Rents, Communication Tower Lease, Etc.	H	Fiscal Administration	2	CL + 10 years	AU+4/7	GC34090; 24CFR 570.502 24 CFR85.42*	4/7 = 4 yrs for state funds /7 for federal funds. *Bonds - CL+10 yrs Could be <30 years *Grants - applications, reports, contracts, supporting doc T+4 Could be <30 years *Leases - 6 Years after expiration *all others 7 years
FA05	Audit Files Internal, Fiscal, Performance, State, Federal, & Tax - State, Federal, Sales & Use, Edd Independent Contractor	H	Fiscal Administration	2	PROPERTY CLAIM + 7 AU + 7	P	GC34090	
FA06	Delegation Of Authority	H	Fiscal Administration	2	S + 3 Years	4	CCP 337	
FA07	Vendor Tax Reporting 1099 , 1042, And Related Back-Up And B-Notice From Irs And Research Documents(Includes Due-Diligence Letters).	H	Fiscal Administration	2	AU + 7 years	AU+4/7	GC34090; 29USC436*	4/7 = 4 yrs for state funds /7 for federal funds.
FA08	Vendor Master Federal W-9, W-8, State 590, 587; New Vendor And Change Vendor Forms; And Levy And Garnishment Documenets	C	Fiscal Administration	2	S +7	P	GC34090	
FA09	Misc. Ap Reports	H	Fiscal Administration	2	5 years	P	GC 34090	
FA10	Journal Entries & Reconciliations	H	Fiscal Administration		AU + 7 years	AU +4	GC34090; CCP337	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Fiscal Resources**Disbursements - AP**

FA11	Other		Fiscal Administration		AU + 7 years	CL+4	CCP 337	
------	-------	--	-----------------------	--	--------------	------	---------	--

Disbursements - Payroll

FA12	Active Employee Files Includes Individual Employee Pay History, Direct Payroll Deposit Authorization, Grievance And Settlement Pay Documents, Garnishment Documents, W-4, De-4 - Employee Withholding Exemption Certificates, Leave Cash-Out Forms, Vacation Donation Forms, Over Payment Documentation, Military Pay Records And Entitlement, Timecards And Timesheets, Overtime Meal Allowance Pay Documentation, Wocc - Work Out Of Class Pay Documentation	H	Fiscal Administration	2	D + 6 T+6	T + 6	GC12946; GC34090* FMLA1993 US OSHA; 29CFR; 1910.20*	For employees that charged time to the following *Bonds - CL+10 yrs Could be <30 years *Grants - applications, reports, contracts, supporting doc T+4 Could be <30 years *all others 7 years Hourly employees T+6 Medical leave docs CL+30
FA13	Retiree Employee Files	H	Fiscal Administration	2	D + 6	T+3	29 CFR 1627.3; Labor Code 1174; 29 CFR 1602.32	
FA14	Deceased Employee Files	H	Fiscal Administration	2	D + 6	T+3	29 CFR 1627.3; Labor Code 1174; 29 CFR 1602.32	
FA15	Payroll Tax Returns Includes 1099 -Int, 1099- R, W-2; Audit Reference Files (Includes Internal, Edd, State, Federal).	C	Fiscal Administration	2	AU + 7 years	CL + 3	IRS Guidelines	
FA16	Direct Payroll Deposit Register Transmittal Detail	C	Fiscal Administration	2	AU + 7 years	T + 3	GC34090; 29 CFR 516.2	
FA17	Direct Payroll Deposit Pre-Notes	C	Fiscal Administration	2	3 years	T + 3	GC34090; 29 CFR 516.2	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Fiscal Resources

Disbursements - Payroll

FA18	Listing Of Payroll Deductions Includes Medical Insurance; Supporting Documents And Reports-Payroll Documentation Status Of And Adjustments To Payroll Accounts	H	Fiscal Administration	2	CL, AU + 7 years	T+3	GC34090; GC37207	For employees that charged time to the following *Bonds - CL+10 yrs Could be <30 years *Grants - applications, reports, contracts, supporting doc T+4 Could be <30 years *all others 7 years
FA19	Calpers- State Retirement Reports & Documents	V	Fiscal Administration	2	D + 6	T + 4	GC34090; CAC22-1085-2	
FA20	Retirement And Pension Records	V	Fiscal Administration	2	D + 6	P	29 CFR 1627.3(2); GC12946, 34090	
FA21	Leave Balance And Other Payroll Reports	H	Fiscal Administration	2	D + 6 7 years	P	GC34090; GC37207	
FA22	Savings Bonds Documentation	H	Fiscal Administration	2	7 years	T + 3	GC34090; 29CFR516.2	We stopped issuing Savings bonds 2011
FA23	Cashed checks	H	Fiscal Administration		AU + 10 years	AU + 5	GC34090; CCP337	Tax = Permanent
FA24	Levy And Garnishment Documenets	H, C	Fiscal Administration		CL + 4	T + 3	GC34090; 29CFR516.2	
FA25	Other: Grievance And Settlement Pay Documents,	C	Fiscal Administration		7 years	Gen EE T+2 Sfty EE T+5	GC12946; 29CFR1602; 29USC211(E); 203(M); 207(G)	

Fixed Assets

DF12	Addition, Disposal And Transfer Of Fixed Assets		Finance	2	CU + 10	CL + 3	IRS Guidelines	
DF13	Addition, Disposal And Transfer Of Fixed Assets Funded With Tax-Exempt Bond Proceeds		Finance	2	CU + 3 yrs after final maturity	CL + 3	IRC 6001	

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Fiscal Resources

Fixed Assets

DF14	Physical Inventory Records		Finance	2	CU + 10	CL + 3	IRS Guidelines	
------	----------------------------	--	---------	---	---------	--------	----------------	--

General Ledger

DF04	General Ledger/Trial Balance		Finance	2	CU + 10	CL + 3	IRS Guidelines	
------	------------------------------	--	---------	---	---------	--------	----------------	--

DF05	Periodic Reports (Cafr, Ntd, Atu, State Controller□S)		Finance	2	P	CL + 3	IRC 6001	
------	---	--	---------	---	---	--------	----------	--

DF06	Monthly Financial Reports		Finance	2	CU + 10	CL + 3	IRS Guidelines	
------	---------------------------	--	---------	---	---------	--------	----------------	--

Investments

DF33	Administration		Finance	2	CU + 3	CU + 2	Gov't Code 34090	
------	----------------	--	---------	---	--------	--------	------------------	--

DF34	Investment Reports		Finance	2	P	CU + 2	Gov't Code 34090	Note: Should have records sufficient enough to verify inception to date returns
------	--------------------	--	---------	---	---	--------	------------------	---

DF35	Records Related To Investment Of Proceeds		Finance	2	3 yrs preceeding + CU + 3 yrs after final maturity	CL + 3	IRC 6001	
------	---	--	---------	---	--	--------	----------	--

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Office of General Counsel								
General Counsel								
GC01	Agreements -retainer agreements w/outside Counsel -retainer agreements w/Legal Experts, Consultants, or Investigators -termination/separation re personnel issues - *Settlement Agreements (e.g., Impact fees, Business Tax Litigation) (Litigation settlement agreements maintained with Litigation file)	C	General Counsel	2	T + 16	CL+4-15, depending on type of Agreement	Gov't Code 945, 34090, 34090.6, CCP 337, PC 832.5 SOL is 4 years, errors & omissions 15 years, latent defect 10 years *Note: Impact fee agreements, Business Tax agreements are filed with project files. Litigation settlement agreements are filed in the case file.	
GC02	Applications/Appointments/Resignation Letters	C	General Counsel	2	T + 3	T+3	29 CFR 1627.3; Lab Code 1174; 29 CFR 1602.32	
GC03	Brown Act- correspondence, miscellaneous issues, training materials		General Counsel	2	CL + 10	CL + 10	Gov't Code 34090	
GC04	Calendars- Attorneys	C	General Counsel	2	CU + 5	CL + 2	Gov't Code 34090	
GC05	Case Logs and/or indexes	C	General Counsel	2	P	CL + 2	Gov't Code 34090	
GC06	Closed Session files	C	General Counsel	2	P	CL + 2	Gov't Code 34090	
GC07	Conflict of Interest * - correspondence - individual councilmember files	C	General Counsel	2	*10 years *5 years after leaving office	CL + 2	Gov't Code 34090	
GC08	Disaster Preparedness- includes EOC Committee and documentation		General Counsel	2	CL + 10	CL + 2	Gov't Code 34090	
GC09	Disciplines- includes Grievances	C	General Counsel	2	T + 4 years	T + 3	29 CFR 1627.3; Lab Code 1174; 29 CFR 1602.32	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Office of General Counsel								
General Counsel								
GC10	Property acquisition (non litigation)	C	General Counsel	2	CL + 11	CL + 2	Gov't Code 34090	for bond financed projects 3 yrs preceeding + current + 3 yrs after final maturity
GC11	Grand Jury	C	General Counsel	2	In (5)	CL + 2	Gov't Code 34090	
GC12	Invoices -legal invoices from outside counsel (CAO keeps original back-up data)	C	General Counsel	2	AU + 4	AU + 4	Secretary of State recommends audit + 4 years	
GC13	Legislative files- includes Proposition/Initiatives	H, C	General Counsel	2	In (10)	CL + 2	Gov't Code 34090	
GC14	Litigation files- includes arbitrations & mediations (H)*(C) Pitchess Motions Weapons Confiscation/Destruction ** Bankruptcy Civil Compromise General litigation that is very minor in nature	H, C	General Counsel	2	*CL + 10	CL + 2	Gov't Code 34090	
GC15	Opinions- legal opinions, external/internal	V	General Counsel	2	P	CL + 2	Gov't Code 34090	
GC16	Ordinances- conformed, working files, including ARO's	V, H, C	General Counsel	2	P	S + 2	Gov't Code 34090	Admin. Decision- retain permanently
GC17	Project Files- includes research (FLSA, ABC Cafeteria Plan, PERS) etc. (H) (C) Project files that are very minor in nature		General Counsel	2	CL +10 CL + 5	CL + 2	Gov't Code 34090	Admin. Decision-retain an additional 7 years
GC18	Public Records Act- (PRA) requests	C	General Counsel	2	*CL + 5	CL + 2	Gov't Code 34090	Admin. Decision- retain an additional 3 years. * If the request is regarding a case in litigation the original will be placed in the case file

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Office of General Counsel								
General Counsel								
GC19	Resolutions- conformed, corresp. and working files	V, H, C	General Counsel	2	P	S + 2	Gov't Code 34090	
GC20	Subpeonas- including logs, corresp.	C	General Counsel	2	*CL + 5	CL + 2	Gov't Code 34090	Admin. Decision- Retain an additional 3 years. *If the request is regarding a case in litigation the original will be placed in the case file
GC21	Training files- includes correspondence, reimbursement, League of California Cities info., etc.		General Counsel	2	5	CL + 2	Gov't Code 34090	
GC22	Closed session files		General Counsel		P	CL + 2	Gov't Code 34090	
GC23	Work product on database		General Counsel		In (10)	CL + 2	Gov't Code 34090	
GC24	Labor grievances		General Counsel		In (10)	CL + 2	Gov't Code 34090	
GC25	Settlement agreements		General Counsel		CL + 10	CL + 2	Gov't Code 34090	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Office of Board Secretary								
Advisory & Standing Committees								
BD01	Administration		Office of Board Secretary	2	CU + 2	CU + 2	Gov't Code 34090	Includes: orientation, committee reimbursement, mileage, ethics training, ACE and other ad-hoc advisory committee materials
BD02	Applications/Appointments/Resignation Letters		Office of Board Secretary	2	CU + 5	CU + 2	Gov't Code 34090	
BD03	Secretary Packets		Office of Board Secretary	2	CU + 5	CU + 2	Gov't Code 34090	
BD04	Agenda/Minutes		Office of Board Secretary	2	P	P	Gov't Code 34090(e)	Includes; recognition of chairs/members
BD05	Committee Information		Office of Board Secretary	2	P	CU + 2	Gov't Code 34090	Committee info will include bylaws, rosters
BD06	Committee Meeting Support Materials		Office of Board Secretary	2	CU + 2	CU + 2	Gov't Code 34090	Committee meeting materials will include: polling sheet; mailing list (electronic&paper), food order, room reservations, Posting logs, packing sheets, committee reimbursements
BD07	Committee Recording (Digital)		Office of Board Secretary	2	CU + 7	CU + 2	Gov't Code 34090	

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Office of Board Secretary								
Advisory & Standing Committees								
BD08	Committee Correspondence		Office of Board Secretary	2	CU + 2	CU + 2	Gov't Code 34090	
Board of Directors								
BD09	Administration		Office of Board Secretary	2	CU + 5	CU + 2	Gov't Code 34090	Includes: attendance records, attendance certification/per diem, EEO statements; board orientation; board travel; board events; board referrals/ethics; trainingboard related materials (i.e. seating charts, new board member packets, etc)
BD10	Correspondence		Office of Board Secretary	2	CU + 10	CU + 2	Gov't Code 34090	
BD11	Boardmember Committee Assignments	H	Office of Board Secretary	2	P	CU + 2	Gov't Code 34090	electronic copy - table of board committee assignments
BD12	Proclamations/Certificates Of Recognition		Office of Board Secretary	2	CU + 2	CU + 2	Gov't Code 34090	
BD13	Goals & Objectives		Office of Board Secretary	2	CU + 5	CU + 2	Gov't Code 34090	
BD14	Policies		Office of Board Secretary	2	P	CU + 2	Gov't Code 34090	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Office of Board Secretary								
Board of Directors								
BD15	Board Meeting Support Materials		Office of Board Secretary	2	CU + 2	CU + 2	Gov't Code 34090	Committee meeting materials will include: polling sheet;, mailing list, food order, room reservations (electronic&paper); posting logs, PPTs, packing sheets, emails pertaining to meeting
BD16	Board Member Historical/Biographical		Office of Board Secretary	2	P	CU + 2	Gov't Code 34090	This is the Board Member folder which includes the following: Appointments, Committee Assignment, Form 700, Contact, Bio, Ethics trng cert, Travel
BD17	Minutes	h	Office of Board Secretary	2	P	P	Gov't Code 34090(e)	
BD18	Ordinances	v	Office of Board Secretary	2	P	P	Gov't Code 34090(e); 40801	
BD19	Resolutions	v	Office of Board Secretary	2	P	P	Gov't Code 34090(e); 40801	
BD20	Secretary Packets		Office of Board Secretary	2	P	CU + 2	Gov't Code 34090	
BD21	Recording		Office of Board Secretary	2	CU + 10	CU + 2	Gov't Code 34090	

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Disposal Review: 1 = Notify 2 = Notify and Approve	Office of Record	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Office of Board Secretary								
Board of Directors								
BD22	VTA Governance			Office of Board Secretary	2	P	2-4 years	Gov't Code 34090; CCP 337 This category will include the following: administrative code, rules of procedure, enabling act, city groupings, JPA agreement
BD23	Board Information	H		Office of Board Secretary	2	P	CU + 2	Gov't Code 34090 Include rosters
BD24	Ballot Measures			Office of Board Secretary	2	P	CU + 2	GC 34090
BD25	Form 700			Office of Board Secretary	2	CU + 4	CU + 2	Gov't Code 34090 includes correspondence relating to Form 700
VTA Brand								
BD26	Logo	H		Creative services	2	CU + 5	CU + 2	GC 34090
BD27	Seal	V		Office of Board Secretary	2	P	CU + 2	GC 34090

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Disposal Review: 1 = Notify 2 = Notify and Approve	Office of Record	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Operations Division								
Operations								
OS01	Training Files			Operations	2	T+3	T+3	29 CFR 1627.3; Lab Code 1174; 29 CFR 1602.32
OS02	Applications/Appointments/Resignation Letters			Operations	2	T+3	T+3	29 CFR 1627.3; Lab Code 1174; 29 CFR 1602.32
OS03	Citations			Operations	2	CU + 2	CU + 2	Gov't Code 34090
OS04	Drivers' Logs			Operations	2	CU + 2	CU + 2	Gov't Code 34090
OS05	Long Term Leave Reports			Operations	2	CU + 2	CU + 2	Gov't Code 34090
OS06	Lost And Found			Operations	1	CU + 2	CU + 2	Gov't Code 34090
OS07	Reports			Operations	2	CU + 2	CU + 2	Gov't Code 34090
OS08	Security Incident Reports			Operations	2	CU + 2	CU + 2	Gov't Code 34090
OS09	Contract Services			Operations	2	CL+4	CL+4	CCP 337
OS10	Correspondence			Operations	1	CU + 3	CU + 2	Gov't Code 34090
OS11	National Transit Department (Ntd) Statistics			Operations	2	CU + 3	CU + 2	Gov't Code 34090
OS12	Tri-Annual Federal Transportation Administration (Fta) Audit			Operations	2	CU + 3	CU + 2	Gov't Code 34090
OS13	Tri-Annual Metropolitan Transportation Commission (Mtc) Audit			Operations	2	CU + 3	CU + 2	Gov't Code 34090
OS14	Working Files			Operations	2	CU + 3	CU + 2	Gov't Code 34090

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Operations Division								
Operations								
OS15	Operations Scheduling Records		Operations	2	CU + 6	CU + 2	Gov't Code 34090	Records pertaining to the development, revision and issue of bus schedules. includes records generated from Trapeze, BDT, and FX .
OS16	Operations Scheduling Records w/ historical value	H	Operations	2	P	CU + 2	Gov't Code 34090	
OS17	Contract Services		Operations	2	CU + 7	CL+4	CCP 337	
OS18	Defect Cards		Operations	2	LOS	CU + 2	Gov't Code 34090	
OS19	Sap Vehicle History		Operations	2	LOS	CU + 2	Gov't Code 34090	
OS20	Design Drawings		Operations	2	CU + 2	CU + 2	Gov't Code 34090	
OS21	Inventory Control Requests (Icr)		Operations	2	CU + 2	CU + 2	Gov't Code 34090	
OS22	Material Disposition Request (Mdr)		Operations	2	CU + 2	CU + 2	Gov't Code 34090	
OS23	Packing Slips		Operations	2	CU + 2	CU + 2	Gov't Code 34090	
OS24	Project Communications		Operations	2	CU + 2	CU + 2	Gov't Code 34090	
OS25	Service Change Bulletin Schb		Operations	2	CU + 2	CU + 2	Gov't Code 34090	
OS26	Service Information Bulletin Sib		Operations	2	CU + 2	CU + 2	Gov't Code 34090	
OS27	Shipping Notice		Operations	2	CU + 2	CU + 2	Gov't Code 34090	
Protective Services								

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Operations Division								
Protective Services								
PS01	Documentation For Court: Includes Notice To Appear (Citations), Dismissals, Court Records		Protective Services	2	Retained CY2006 to current <input type="checkbox"/> this is a priority	CU + 2	Gov't Code 34090	
PS02	Internal Documentation For Court Includes Written Warnings, Data Base Entries (Cite And Warning List)		Protective Services	2	Retained CY2006 to current <input type="checkbox"/> this is a priority	CU + 2	Gov't Code 34090	
PS03	Fare Inspector Statistics Includes Fare Inspector Daily Logs Fare Inspector Daily Reports Fare Enforcement <input type="checkbox"/> Sting <input type="checkbox"/> Information Fare Enforcement Statistics (Ex. Citations Issued)		Protective Services	2	Retained CY2006 to current <input type="checkbox"/> this is a priority	CU + 2	Gov't Code 34090	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Operations Division

Protective Services

PS04	General & Administrative (Atu, Seiu, And Afsme) Includes Fi Daily Attendance Log Fi Overtime Requests Forms Fi Remuneration Statements Fi General Sign-Up Documents (Vacation, Floating Holiday , Employee Incentive Plan Calendars And Holiday Sign-Ups) Fi Uniform Allotment Fi Less Than 9 Point Annual Letters Fi Attendance Program Vta Leave Balance Calculation Fi Attendance Record (Checkerboard) Employee Development And Training Records Daily Work Schedules And Areas Worked Fare Inspector Quarterly Sign-Up Information Fare Inspector Personal Files (Including Discipline, Attendance, Etc.) Equipment Distribution Records Industrial Injury Documentation		Protective Services	2	All Fare Inspector records retained CY2006 to current	T+3	29 CFR 1627.3; Lab Code 1174; 29 CFR 1602.32	
PS05	Management Reports Includes Care Report Records For All Protective Services Fare Enforcement Meeting Records Copies Of Fare Inspector Sir And Occurrence Reports Copies Of Supervisor Reports Copies Of Data Pack Requests Supervisor Memos To Fare Inspectors		Protective Services	2		2	Gov't Code 34090	
PS06	Fmla Documentation		Protective Services	2	T+3	T+3	FMLA Guidelines	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Operations Division								
Protective Services								
PS07	Sops, Work Instructions, Policies And Procedures		Protective Services	2	CU + 2	CU + 2	Gov't Code 34090	
PS08	Rv Program Includes Rv Parking Permit Records		Protective Services	2	CU + 2	CU + 2	Gov't Code 34090	
PS09	Security Incident Reports Includes Security Incident Reports		Protective Services	2	CU + 2	CU + 2	Gov't Code 34090	
PS10	Invoices Includes Procurement Card (Reference Only - Ap Also Keeps These) Alliedbarton Security Monthly Invoices (Reference Only - Ap Also Keeps These) Sheriff's Office Monthly Invoices (Reference Only - Ap Also Keeps These) Sheriff's Office Reserve Monthly Invoices (Reference Only - Ap Also Keeps These) Sheriff's Office Fingerprint Invoices (Reference Only - Ap Also Keeps These) Security Key Issuance Forms Citation Mgmt Monthly Invoices (Reference Only - Ap Also Keeps These) Pacific West Security Monthly Invoices (Reference Only - Ap Also Keeps These) Dish Network Monthly Invoices (Reference Only - Ap Also Keeps These)		Finance	2	CU + 2	CU + 2	Gov't Code 34090	
PS11	Contract Agreements Includes Contract Agreements (Reference Only - Contracts & Materials Mgmt Keeps These)		Contracts & Material Mgmt	2	CU + 2	CU + 2	Gov't Code 34090	

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Operations Division								
Protective Services								
PS12	Lost And Found Program Includes Lost And Found Property Receipt Log (Paper) Found Property Report (Paper) Lost And Found Database (Electronic)		Protective Services	2	CU + 2	CU + 2	Gov't Code 34090	
PS13	Access Control Logs Includes Visitor Logs All Divisions (Paper) Vehicle Logs All Operating Divisions (Paper) Badge Access Request Form For Consultant/Contractor Vault Room Access Log (Paper) Coach In/Out Log (Paper) Coach Inspection Log (Paper)		Protective Services	2	CU + 2	CU + 2	Gov't Code 34090	
PS14	Gfi/Tvm/Key Control Includes Gfi Inventory Report Gfi Equipment Report Fare Box Key Log Vault Pulling Control Log		Protective Services	2	CU + 2	CU + 2	Gov't Code 34090	

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Operations Division

Protective Services

PS15	Cctv Program Includes Crime, Employee Discipline, Risk Management Events - Cctv/Camera Data Crime, Employee Discipline, Risk Management Events Cd/Dvd Of The Event Data Pack Requests Soe <input type="checkbox"/> S That Reference The Event Or Url <input type="checkbox"/> S That Reference The Event Call Outs That Reference The Event Failure To Capture Log If The Equipment Failed Or Was Out Of Service Law Enforcement Release Forms Major Events Or Serious Crime (Fatality, Suicides, Murder) <input type="checkbox"/> Keep Indefinitely, Physical Hard Drives For Best Evidence	Protective Services	2	Retained everything since inception 2005 <input type="checkbox"/> this area is a priority. See Assembly Bill 839 for video retention.	1 year and up to indefinitely, depending on what is captured on video.	Gov't Code 34090.8		
------	---	---------------------	---	--	--	--------------------	--	--

Warranty & Quality Assurance

WQ01	Warranty Administration Documents That Support Wararnty, Administer Program, Communications To Vendor.	Warranty & Quality Assurance	2	CL+4	CL+4	CCP 337		
WQ02	Warranty Certificates And Support Plan Includes Certificates For Every Asset Operations Owns And Maintains. Includes Acceptance Or Turnover Documents To Operations Document. Includes Warranty Support Plan Contracts Explaining How Contractor And Manufacturer Support The Asset During The Warranty Period.	Warranty & Quality Assurance	2	End of Warranty Period + 4 or Until Sale or Retirement of an Asset	CL+4	CCP 337	Federal Acquisitions Regulations (use federal money so this is a federal asset)	

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Operations Division

Warranty & Quality Assurance

WQ03	Warranty Claims Includes Any Warranty Claims During The Warranty Period. Supplier Contractor Corrective Action Requests) Documents Notifying Vendor To Fix Defect. Warranty Field Service Notifications Documents That Request Vendor To Make Warranty Repair (Either Onsite Or Vta Ships Asset To Them To Vendor). Warranty Safety Recalls Documents Related To Assets And Parts That Are Recalled.		Warranty & Quality Assurance	2	Claim closed + 3	CL+2	Gov't Code 34090	
WQ04	Warranty Communications Includes All Communication To Vendors.		Warranty & Quality Assurance	2	Until Sale or Retirement of an Asset	End of Warranty Period + 4 or Until Sale or Retirement of Asset	CCP 337	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Silicon Valley Rapid Transit (SVRT) Program								
SVRT Program								
SV01	General Project Documents All documents unless they are addressed in the following Record Series. In addition, all documents that have an Office of Record other than E&C are treated by E&C as General Project Documents (e.g. <input type="checkbox"/> Appraisals <input type="checkbox"/> Office of Record is Real Estate; if E&C has a copy of an Appraisal that copy will be treated as a General Project Document). Document types include, but are not limited to,; Agendas, Meeting Minutes, Letters, RFI's, 35/65/95% Design Documents, Survey and Utility Documents, Submittals not addressed in other Categories, Change Notices, Field Memos, Emails, NCR's, Transmittals, Risk Management Plan, Risk Register, etc.		SVRT	2	CL+10	CL+10	CCP 337.15 is 10 years	General correspondence/ documentation regarding construction projects
SV02	Construction Contracts, Amendments, Contract Change Orders, Purchase Orders; Design and Construction Agreements, Operations and Maintenance, and Third Party Agreements, Amendments, Task Orders		CAMM	2	CL+10	CL+04	CCP 337	(CM01, CM06) (CM03)
SV03	Permits, Applications and Approvals, General Orders (CPUC), Resolutions; Memorandums of Understanding, Reciprocity Agreements, Co-Op Agreements, Letters/Memos of Agreement, etc.		SVRT	2	P	CL+04	CCP 337	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Silicon Valley Rapid Transit (SVRT) Program								
SVRT Program								
SV04	As-Built Records- All documents that define or document the final configuration of any project. Conformed Plans and Specifications, Project Record Documents (As-Built Drawings and Specifications), Electronic Files, Survey Records, Utility Documentation, Final System and Acceptance Testing, Closeout Binder, etc. Photographs/Videos Safety and Security Certifications		SVRT	2	LOS*	P	Gov't Code 34090(a),	*If Asset is transferred to another Governemnt Entity, and all As-Built records are transferred, then records can be destroyed after transfer and acceptance per Agreement.
SV05	Labor/EEO Compliance	C or Regular	CAMM/ SVRT	2	CL+10	T+03	FMLA, FLSA, EEO	Also State Labor Code 1776
SV06	Planning and Design Phase Analysis/Studies/Reports that document the completion of required elements of the Project		CMA/ Env./ SVRT	2	CL+10	CL+04	CCP 337	CMA/Env. Retention per their schedule; E&C Copies EC01
SV07	Construction Phase Analysis/Studies/Reports, Calculations, Memos, Presentations	H or Regular	SVRT	2	CL+10 or P*	CL+04	CCP 337	*P if Historic
SV08	Analysis/Studies/Reports that are approved by a third party (e.g. Caltrans, FTA, etc.)		SVRT	2	LOS*	CL+04	CCP 337	
SV09	Survey Engineer, Resident Engineer, and Duty Senior Project Files		SVRT	2	LOS*	CL+04	CCP 337	

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								

Silicon Valley Rapid Transit (SVRT) Program**SVRT Program**

SV10	Insurance Documentation		SVRT	2	CL+10	CL+04 or CL+10	CCP 337 SOL is 4 years for breach of written contract; CCP 337.15 SOL is 10 years for latent defects. Retention period depends on type of policy and when claims can be made	
SV11	Quality Records VTA and Contractor Quality Assurance Plans, Procedures, Organization Charts, Training Materials/Records, Surveillance and Audit Reports, Audit Findings and Responses, and Corrective Action Requests and Responses. Construction Test Reports, Certifications, Inspection Reports, Materials Test Reports, Non-Conformance Reports, Progress Reports.		SVRT	2	LOS*	P	GC 34090 is 2 years, State of California Guidelines is Permanent	
SV12	Legal Descriptions, Appraisal and Plat Maps		SVRT	2	P	2	GC 34090	
SV13	Right of Way Data Sheet		CMA/SVRT	2	CL+10	2	GC 34090	(CPxx)
SV14	Project Controls Administrative (not Project) Documents- Schedules, Budget, Estimates, Cost Reports, Work Authorizations/Directives etc.		SVRT	2	CL+4	CU + 2	GC 34090 is 2 years	(GA01)
SV15	Work Instructions, Procedures, Policies		SVRT	2	CL+4	S + 5	GC 34090 is 2 years, State of California guidelines is S + 5 years.	(GA07)

VTA RECORD RETENTION SCHEDULE

Record Series #	Retention Category and Content	Optional: Fill in for Record Type if (C, H, V)	Office of Record	Disposal Review: 1 = Notify 2 = Notify and Approve	VTA Retention Period	Legal Retention Period	Citation	Comments
RETENTION CODES: AU=Audit; CL=Closed/Completion; CU=Current Year; Death=Death; In=Indefinitely; LE=Last Entry; LOS=Life of System/Asset ; P=Permanent; S=Superseded; T=Termination								
RECORD TYPES: C = CONFIDENTIAL H = HISTORICAL V = VITAL								
Silicon Valley Rapid Transit (SVRT) Program								
SVRT Program								
SV16	Safety Meeting Minutes, Training Materials, Safety/Security Criteria or Checklists, Safety Inspection Reports, MSDS Sheets		SVRT	2	CL+10	CL+5	OSHA	
SV17	Public Records Act Requests		Legal/ SVRT	2	CL+5 CL+10	2	Gov't Code 34090	GC20 if Request goes to Legal; CL+10 if request goes to E&C
SV18	Operating and Maintenance Agreements between Agencies		SVRT	2	CL+4	CL+4	CCP 337	
SV19	Inter-agency Agreements (other than those that are O&M Agreements)		SVRT	2	CL+4	CL+4	CCP 337	
SV20	Federal funding documents/submittals		SVRT	2	CL+3	CL+3	FTA C5010.1D Chap III(7)	