

STAFF REPORT

SUBJECT: LAVTA Records Retention Policy

FROM: Tamara Edwards, Director of Finance

DATE: March 24, 2025

Action Requested

Staff requests that the Finance and Administration forward Resolution 11-2025 and the Records Retention Policy to the Board for approval.

Background

In 1968 the California Legislature passed the California Public Records Act (PRA) (Government Code, Section 6250 et seq.) which is modeled after the federal Freedom of Information Act and details what government information is, and is not, available to the public. The PRA applies to all records, in whatever form, maintained by either state or local public agencies. Since, with the exception of the PRA, legislation and directives establishing the state Records Management Program do not apply to local government, county and/or city government agencies do not have a standardized program of accountability for their treatment of public records. Nor does local government have standard retention periods for various record categories other than certain record types identified in government codes that mandate specific local programs. To alleviate this situation, in 1999 a bill was signed creating a new Local Government Records Program, to be administered by the California State Archives. While this program is a work in progress, LAVTA Counsel has provided guidance regarding the creation of LAVTA's Record Retention Policy, and confirmed that LAVTA should look to the guidelines for the Local Government Records Program in determining the appropriate record retention schedule for the agency.

Discussion

A properly prepared and approved Records Retention Schedule is an agency's legal authority to do whatever needs to be done with records and documents entrusted to the agency's care. It certifies the life, care, and disposition of all agency records. If subpoenaed records have been destroyed, agency schedules (and evidence of compliance with those schedules) will defend the agency's actions. It is important to note the applicable statutory requirements that apply to LAVTA.

In 2007 LAVTA adopted a record retention policy. However, over time additional rules and regulations have been developed that necessitated an update. Additionally, the policy adopted in 2007 did not include an options for retaining these records electronically.

Government Code section 60201 authorizes the “legislative body of a district” to destroy records. For LAVTA, the legislative body is the Board and once the Board adopts the record retention schedule, the implementation can be delegated to any appropriate staff person (Executive Director, Director of Finance, etc.). The record destruction itself can be performed on an annual, quarterly or sporadic basis, according to whatever is most convenient to the agency. A journal of all records destroyed will be kept by the agency.

Recommendation

Staff recommends that the Finance and Administration Committee forward Resolution 11-2025 and the Records Retention Policy to the Board for approval.

Attachments:

1. Resolution 11-2025
2. Records Retention Policy

RESOLUTION NO. 11-2025

* * *

**RESOLUTION OF THE BOARD OF DIRECTORS OF THE LIVERMORE AMADOR
VALLEY TRANSIT AUTHORITY APPROVING LAVTA'S RECORDS RETENTION
POLICY**

WHEREAS, the County of Alameda and the cities of Dublin, Livermore, and Pleasanton (hereinafter "Member Jurisdictions") have formed the Livermore Amador Valley Transit Authority ("LAVTA"), a joint exercise of powers agency created under California Government Code Section 6500 et seq., for the joint exercise of certain powers to provide coordinated and integrated public transportation services within its service area; and

WHEREAS, in 1968 the California Legislature passed the California Public Records Act (PRA) (Government Code, Section 6250 et seq.) which is modeled after the federal Freedom of Information Act and details what government information is, and is not available to the public; and

WHEREAS, LAVTA has an obligation to apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, and disposal of agency records, ensuring that records are kept only as long as they have some administrative, fiscal, or legal value; and

WHEREAS, with the exception of the PRA, legislation and directives establishing the State Records Management Program do not apply to local government, and county and/or city government agencies do not have a standardized program of accountability for their treatment of public records, nor does local government have standard retention periods for various record categories other than certain record types identified in government codes that mandate specific local programs; and

WHEREAS, to alleviate this situation the 1999 Legislature added Section 12236 to the Government Code, which states in Section 12236 (a) "The Secretary of State shall establish the Local Government Records Program to be administered by the State Archives to establish guidelines for local government retention and to provide archival support to local agencies in this state"; and

WHEREAS, the Board of Directors approved a record retention policy in 2007 and;

WHEREAS, given the passage of time, it is desirable to update, clarify and streamline LAVTA's record retention procedures and record management policies to promote the greatest economy and efficiency to LAVTA, and to maintain appropriate safeguards to preserve fairness and accountability in all of LAVTA's records management activities; and

WHEREAS, it is recommended that LAVTA staff and General Counsel prepare Records Management Procedures as necessary to be consistent with the revised Secretary of State Local Government Records Management Guidelines, current law, and best records management practices.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Livermore Amador Valley Transit Authority hereby:

1. Concurs with the policies described above, including the California Secretary of State Local Government Records Management Guidelines.
2. Approves the updated record retention policy revised on March 17, 2025.

APPROVED AND PASSED, this 7th day of April, 2025.

Evan Branning, Chair

ATTEST:

Christy Wegener, Executive Director

Adopted April 7, 2025

Revised 03/17/2025

Table of Contents

I.	PURPOSE.....	3
II.	GENERAL GUIDELINES	3

I. PURPOSE

The purpose of this Policy is to provide guidelines to staff regarding the retention or disposal of Livermore Amador Valley Transit Authority (LAVTA) records; provide for the identification, maintenance, safeguarding, and disposal of records in the normal course of business; ensure prompt and accurate retrieval of records; and ensure compliance with legal and regulatory requirements.

The Board of Directors authorizes the Executive Director to interpret and implement this Policy and to cause to be destroyed any and all records, papers, and documents that meet the specifications of this section. This Policy is adopted pursuant to Government Code sections 60200-60204.

For the purposes of this Policy, electronic records, including, but not limited to, email communications, must be analyzed and retained in the same manner and to the same extent as paper records. However, because older emails are periodically deleted through automated system maintenance, staff must take measures to preserve emails and attachments whose contents are subject to retention under this Policy.

II. GENERAL GUIDELINES

The following general guidelines apply to all LAVTA records:

- A. LAVTA generally shall retain all documents in their original form for **two years** unless a different duration is specifically authorized by State or Federal regulation. The Executive Director may authorize the destruction of any duplicate records, including duplicates less than two years old, if no longer needed.
- B. Except where required to maintain paper records with wet signatures, records may be kept in the form of a photographic/scanned record.
- C. Except where a longer retention period is required hereunder, after two years, LAVTA, with the Executive Director's approval, may destroy any original document without LAVTA retaining a record or copy of these documents.

- D. Except where the law or this Policy requires that an original record shall be retained, LAVTA may authorize destruction of any record provided that an unalterable duplicate is retained in conjunction with the following requirements:
1. The item must be electronic image; recorded in an electronic data processing system; reproduced by electronically recorded video images on magnetic surfaces; recorded on optical disk; reproduced on film or any other medium that is a trusted system and that does not permit additions, deletions or changes to the original document, or reproduced on film, optical disk, or any other medium in compliance with Government Code section 12168.7; and
 2. The recording medium must be able to reproduce the original document in all details, and in a manner that does not permit additions, deletions, or changes to the original document; and
 3. The reproductions must be stored in conveniently accessible files, and provision must be made for preserving, examining, and using the files.

For the purposes of this Policy, every reproduction shall be deemed to be an original record, and a transcript, exemplification, or certified copy of any reproduction shall be deemed to be a transcript, exemplification, or certified copy, as the case may be, of the original. (Gov't Code § 60203.)

- E. Under certain circumstances, automated destruction of emails and destruction of other records in accordance with this Policy may be suspended for certain individuals in the event that LAVTA counsel determines that a legal hold is necessary. Legal holds are most often implemented in the following circumstances:
1. a lawsuit filed by or against LAVTA;
 2. threatened or anticipated litigation known to LAVTA;
 3. government investigation conducted in connection with LAVTA;
 4. protection or enforcement of LAVTA's legal rights;
 5. assessments, or other investigations.

LAVTA counsel will coordinate with the Executive Director to suspend automatic deletion of email communications for affected LAVTA staff.

LAVTA counsel will disseminate instructions to affected LAVTA personnel to inform them what email communications and other records must be retained. Although automatic email deletion will be suspended, affected LAVTA staff must nevertheless take care not to manually delete email communications that are subject to the legal hold and must not destroy relevant email communications or other records until LAVTA counsel or Executive Director has notified them in writing that the legal hold has been lifted. Every six months, LAVTA counsel must conduct a periodic review to determine the status of legal holds.

No records may be destroyed—even if to do so would otherwise be compliant with this Policy, if they reasonably relate to ongoing or reasonably anticipated litigation, audits, or investigation, regardless of whether LAVTA counsel has issued a formal legal hold. All questions regarding whether records or writings should be retained for legal or litigation purposes should be directed to LAVTA counsel. Prompt reporting is critical in order for LAVTA to take appropriate steps to impose a legal hold, to suspend destruction of relevant records (including pertinent emails), and to ensure LAVTA's compliance with a legal obligation to preserve potential evidence.

F. Email Record Retention Requirements

Email communications in "Deleted Items," "Inbox," "Sent Items," are managed by LAVTA Information Technology ("IT") staff through an automated process.

Email Category	Retention Period	Method of Destruction
Emails in "Deleted Items" folder	Destroyed 90 days after the email enters the "Deleted Items" folder	Automated destruction by the IT Department
Emails in "Inbox" and "Sent Items" folder	Destroyed 2 years after the receipt or sending of the email	Automated destruction by the IT Department
Emails in "Archive Indefinite" folder	Destroyed after the applicable retention period passes	Executive Director, who is the designated record keeper, determines when the applicable retention period has passed and confirms with LAVTA counsel and Project Manager before destruction

LAVTA staff have an "Archive Indefinite" folder in their Outlook program that should be used for the retention of emails of greater significance than simply transitory communication. More specifically, where emails pertain to ongoing projects or business and have value to LAVTA beyond the two-year period used for standard transitory emails in the "Inbox" and "Sent Items" folders, each email user is responsible for moving those emails to the "Archive Indefinite" folder. Emails in the "Archive Indefinite" folder should be used for emails which fall into any one of the categories listed in the categories listed below. Emails pertaining to projects and/or grants should also be converted to PDF and filed in the appropriate folder on Sharepoint.

The LAVTA Executive Director is the designated record keeper of email records and is assigned the task of reviewing records to determine what the applicable retention period is.

The Records Retention Schedule lists the time period that LAVTA records remain active and when, if ever, they are to be disposed of in the normal course of business. Records covered within the Retention Schedule must be retained for the minimum retention period as specified in the table below. LAVTA recommends the disposition of records at the end of their minimum retention period for the efficient and effective management of local resources unless otherwise required for LAVTA operations. LAVTA reserves the right to retain records longer than the recommended minimum retention period. The Executive Director and LAVTA counsel, is authorized to amend this Retention Schedule periodically to reflect updates to LAVTA's inventory of records, and in a manner that is consistent with the Secretary of State guidelines and applicable laws.

All Records must be retained for a minimum of two years, unless otherwise provided for in this Policy.

LAVTA Retention Schedule

AC = Active AU = Audit AY = Award Year CL = Closed/Completion FR = Final Resolution FY = Fiscal Year LA = Last Activity LI = Life (of contract, program, asset) PR = Permanent S = Superseded TE = Termination						
Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments
Administration	Audits	Records and information related to preparation and follow up on auditing activities, including operational, compliance, or financial information created as a part of an audit.	Expense reports Budgets Procurement records Audit reports	AU*+7Y	CA - GOV 12236 - SOS Guidelines	* Closure of audit Exception: If grant specifies a longer retention period, retain per the grant's requirements.
Administration	Authorizations - Executive Director		Authorization Forms (from various Government entities, etc.) Related Communication	AC+3Y*	CA - GOV 34090 - (2Y) CA - GOV 12236 - SOS Guidelines (4/7Y or until audited, whichever is first)	* Audit complete after 3Y
Administration	Chronological and Non-Specific Correspondence	Correspondence, memos, notes, emails that do not require acknowledgment or follow-up, pertain to non-essential subjects, or are not subject to another category	Casual Correspondence Chronological Files Internal memos (announcements, new programs, notices) Form Letters Notes of Appreciation General emails	AC+2Y*	CA - GOV 34090 - (2Y) CA - GOV 12236 - SOS Guidelines (2Y	* Correspondence, including emails, related to specific projects or a policy-making decision should be retained per the project or related subject's retention time frame.
Administration	Department Administration	General internal administrative records of SolTrans administrative departments, including:- Documentation of department activities- Information captured on a log or a list	Computing Equipment (inventories, manuals, software, licenses, warranties, service records) Department Administrative Documents (calendars, project goals/objectives, staff/dept. meeting agendas and minutes, etc.) Logs	AC+2Y	CA - 8 CCR 3203 - (CY+1Y) CA - GOV 34090 - (2Y)	Per CA GOV 12236 SOS Guidelines, inventories, software/hardware documentation, plans and goals remain active until revised/superseded/rescinded.
Administration	Policies and Procedures	All documentation of LAVTA's or department policy and procedures.	Correspondence Directives Guidelines Handbooks Policies Procedure Manuals Procedures Records Retention Schedule Rules / Regulations Standards Legislative Principles/Programs	AC+3Y*	CA - GOV 34090 - (2Y)	Per CA GOV 12236 SOS Guidelines, all organizational policies and procedures remain active until revised. * Retain 3Y for audit.

Administration	Project and Subject Files	Records documenting activities related to specific projects or subjects (unrelated to construction, facilities/ infrastructure).	Consultants Data Processing Subject Files (Correspondence, Reference Publications, Reports) Extracted Data Summaries Forms Project Files Project/Program Plan Project Reporting Project Studies Subject Files Templates & Letterhead Working Files	AC+3Y	CA - GOV 34090 - (2Y) CA - GOV 12236 - SOS Guidelines (3Y)	Exception: If grant specifies a longer retention period, retain per the grant's requirements. If pertaining to facilities/ infrastructure, please follow the retention requirements for Construction, Engineering and Infrastructure Project Files (Operations business process).
Administration	Records, Information Management	Documentation of the compliance with Records and Information Management policy and procedures.	Certificates of Destruction Document Hold Notices, Updates Lists of Stored / Destroyed Records Master Records Inventory Records Transfers (to storage, to other depts.)	AC+4Y	CA - GOV 34090 - (2Y) CA - GOV 12236 - SOS Guidelines (4Y)	
Administration	Reference Materials	Documents and materials retained for ongoing personal reference or ongoing research purposes not covered in a more specific process related series.	Census Data Data Processing Subject Files (Correspondence, Reference Publications, Reports) Environmental Regulatory Data Extracted Data Summaries Records Inventory	S		Considered non-record research material
Communications	Historical Documents, Events, Memorabilia, Collections, Artifacts, Schedules, Brochures, Tickets/Passes	Records and information documenting the history and significant milestones of SolTrans; and publications providing information on routes, schedules and services provided by LAVTA.	Brochures Bus Schedules LAVTA Official Communications, Speeches, Videos Historical Events, Artifacts, Architecture Mission Statement Artwork Pictures Video Collections (logos, identity/branding) Organization Charts Significant News Clippings, Releases (regarding agency milestones) Transit Services Maps Transit Tickets and Passes	PR	CA - GOV 34090 - (2Y)	Retain permanently for historical reference.

Communications	Community Outreach, Media and Public Relations	External-facing communications, advertising and press relations materials, including documentation of outreach activities/events held in cooperation with or for the benefit of the customer service community.	Bus Advertising Marketing (media, mailers, media packets, mailers, promotional items) ArticlesMedia (Press Releases, Media Packets) Events (community outreach, special) Mailers Media Packets Newsletters Promotional Items Rider Relief Seat Drops Subsidy Programs	AC*+3Y	CA - GOV 34090 - (2Y) CA - GOV 12236 - SOS Guidelines (3Y)	Exception 1: Postings for procurements and civil rights should be retained for the duration specified for the related federal procurement. Exception 2: If records pertain to agency milestones or historic events, keep permanently per the Historical Documents/ Events/ Memorabilia/ Collections/ Artifacts retention.
Communications	Customer Service	Documentation regarding customers and passengers, including participation in LAVTA programs, and customer complaints or issues and the actions taken to address and resolve them.	Customer Correspondence Dial-A-Ride (DAR Eligibility List, No Show Letters, Reduced Fare Applications, etc.) Issues Log Passenger Information	AC+3Y	CA - GOV 34090 - (2Y) CA - GOV 12236 - SOS Guidelines (3Y)	Regardless of how received (e.g., phone, email, etc.) Exception: If pertaining to grant funds, and grant specifies a longer retention period, retain per the grant's requirements.
Compliance	Non-Financial Reporting	Official non-financial reports and studies issued by SolTrans to meet and comply with regulatory requirements*.	Actuarial Studies Risk Management Reports (loss analysis, safety) Workers Compensation Reports (monthly, annual)	6Y	CA - 8 CCR 14300.33 - (5Y) CA - GOV 34090 - (2Y) CA - LAB 6401.7 - (MAINT) US - 29 CFR 1602.14 - (FR+1Y) US - 29 CFR 1904.4 - (MAINT) US - 29 CFR 1904.33 - (CY+5Y)	Retention is 6 yrs, because most records in this grouping must be retained for 5 yrs following the calendar year in which they pertain. * Exception: If pertaining to Transit Operator Compliance Records, and Transit Program Reports, retain as specified under the respective record category's retention period.
Compliance	Legal Compliance	Forms and filings mandated by state and federal laws, including those related to economic interests of Officials designated in LAVTA's Conflict of Interest Code.	Form 700 Filings Conflict of Interest Code (Revisions, Correspondence) Fair Political Practices Commission (FPPC) Statements of Economic Interest	AC*+7Y	CA - GOV 34090 - (2Y) CA - GOV 81009(e), (f) - (4Y, 7Y)	* Remains active until individual leaves LAVTA.
Compliance	Public Information	Records requested by the public, required for provision to the public, and related inquiries.	Public Records Requests	CL+2Y	CA - GOV 34090 - (2Y) CA - GOV 12236 - SOS Guidelines (2Y)	

Finance	Accounting	Records and information related to management of LAVTA's accounts, including payables, receivables, grants, expenses, books and ledgers.	1099 Accounts Payable Accounts Receivable Bank Reconciliations Cash Chart of Accounts Expenses General LedgerJournal Entries Liabilities (Accounts Payable, Payroll Accruals) Revenue (Fare, Federal, State, etc.) W-9	*FY+7Y	CA - GOV 60201 - (AU) CA - GOV 12236 - SOS Guidelines (7Y, or until audited, whichever is first) US - 26 CFR 1.162-17 - (MAINT) US - 26 CFR 31.6001 (4Y)	* Retain FY+7Y or until audited, whichever comes first. Exception: If pertaining to grant funds, and grant specifies a longer retention period, retain per the grant's requirements. Can be destroyed if LAVTA retains a permanent photographic record.
Finance	Banking Administration	Records and information related to the administration of banking activities.	Banking Resolutions Signature Authority	AC+2Y	CA - GOV 34090 - (2Y)	
Finance	Budgets	Records and information relating to creating and implementing organizational budgets.	Capital Budget, Operating Budget, Budget Adjustments, Budget Outlook, Presentations, Supporting Documents	*FY+7Y	CA - GOV 34090 (2Y) CA - GOV 12236 - SOS Guidelines (7Y, or until audited, whichever is first)	* Retain FY+7Y or until audited, whichever comes first.
Finance	Final Reports	Final versions of LAVTA financial reports, whether required by regulations or generated to track financial transactions and achievements.	Audit Report, NTD, State Controller Report (Finance, Compensation), Triennial Reviews (Reports, Findings, Correspondence, Financial Management, Capacity, Maintenance, ADA, Title VI, Procurement, DBE, Legal, Project Planning/Program, Public Comment, Safety, Security, Drug Free Workplace, Drug and Alcohol, EEO, etc.)	PR	CA - GOV 34090 (2Y) CA - GOV 12236 - SOS Guidelines (7Y, or until audited, whichever is first)	Retain permanently for historical reference.
Finance	Fixed Assets	Records and information related to the ownership, purchase, sale, lease or improvement of land, buildings, infrastructure, equipment and other capital and fixed assets owned or used by LAVTA.	Asset Records, Depreciation, Disposal	LI*+2Y	CA - CCP 337.15 - (10Y) CA - GOV 34090 - (2Y) US - 26 CFR 31.6001 (4Y)	* Life of Asset Exception: If pertaining to grant funds and grant specifies a longer retention period, retain per the grant's requirements.

Finance	Grants and Funding	Documents the application, award, administration, monitoring, reporting, and status of grants and other funding sources for SolTrans programs and operations	Applications Approval Letter, Authorizations, Awards, and Notifications, Correspondence, Federal Grant, Grant Agreement, Grant Funding, Local Grant, Reports, State Grant, Tracking Reports	*AC+2Y	CA - GOV 34090 - (2Y) CA - GOV 12236 - SOS Guidelines (AC+ 2Y)	* Active until end of grant year or until audited, whichever is greater. If grant specifies a longer retention period, retain per the grant's requirements.
Finance	Payroll	Records and information related to the accounting of LAVTA payroll. This also includes records and information reflecting all remuneration paid to each employee, including: - Name, address, SSN - Total amount and date of payments - Period of service covered for each - Withholding - Tax collected	Bi-monthly Processing Quarterly Payroll Taxes W-2	FY+5Y	CA - 2 CCR 570.5 - (5Y) CA - 2 CCR 571(b)(1)(E) - (5Y) CA - 22 CCR 1085-2(c) - (4Y) CA - GOV 12946 - (TE+4Y) CA - GOV 60201 - (2Y) CA - LAB 226(a) - (3Y) CA - LAB 1174(d) - (3Y) CA - LAB 1197.5 - (3Y) US - 29 CFR 516.5 - (3Y) US - 29 CFR 516.6 - (2Y) US - 29 CFR 1620.32 - (2Y) US - 29 CFR 1627.3 - (3Y)	
Human Resources	Benefit Plans	Plans established to provide employee benefits, including changes to those plans and associated administrative documents.	Correspondence Dental Life Insurance Medical Reporting Vision Workers Compensation FSA PARS STD/ LTD	LI*+6Y	US - 29 CFR 1627.3 - (TE+1) US - 29 CFR 4007.10 - (6Y) US - 29 CFR 4041.5 - (LI*+6Y) US - 29 USC 1027 - (6Y) US - 29 USC 1059 - (TE+1Y) US - 29 USC 1113 - (6Y) US - 29 USC 1451 - (6Y) US - 29 Code Chapter 18 ERISA (LI*+6)	* LI = Life of Plan or System; plan/system is considered alive while any employee, retiree, or other eligible participant is receiving benefits
Human Resources	Confidential Records	Confidential records and information related to Human Resources activities not covered by other record categories.	Classification Studies & Job Descriptions Compensation Studies & Salary Schedules	S	CA - GOV 60201 CA - GOV 12236 - SOS Guidelines (Active until revised/superseded)	

Human Resources	Employee Medical Records - Confidential	Documents related to paid employees (whether full or part-time), including but not limited to: - medical records, including exposure and drug screens (includes records subject to HIPAA requirements) - workers compensation	Employee Injury / Accident Reports Exposure Monitoring FMLA/CFRA PDL Other Medical Leaves of Absence Hazardous Exposure Incident Reports (Occupational Illness or Injury) Medical Waivers and Changes Pre-employment Physical Workers Compensation (claims, claim logs, incident/accident reports) Health and Welfare Benefit Plan Documents (kept in personnel file if no medical information is included)	TE+30Y	US - 29 CFR 1910.1020 - (TE+30Y) CA - 8 CCR 3204 - (TE+30Y) CA - 8 CCR 14300.33 - (5Y) US - 29 USC 1027 - (6Y) US - 29 CFR 825.500 - (3Y)	Exception: The medical records of employees who have worked for less than (1) year for LAVTA need not be retained beyond the term of employment if they are provided to the employee upon termination of employment.
-----------------	---	---	---	--------	---	--

Human Resources	Employee Records - Confidential	Documents related to paid employees (whether full or part-time), including but not limited to: - hiring documents (application, resume, job description) - promotion - demotion - transfer - layoff / recall / out -placement - retirement plan reporting and disclosure records (plan summaries, participant benefit statements, etc.) - termination / discharge / resignation - training (harassment/discrimination, ethics, fire extinguisher, first aid/CPR, safety, Title VI non-discrimination) - pay rates / other terms of compensation	Awards COBRA Correspondence Death Claims Life Event Documents Disciplinary Actions Employment Authorizations Terminations Confirmations Status Changes Coverage Changes Exit Form Incident Reports (non-injury or illness related incidents) Job Descriptions Leaves of Absence Personnel Files (Personnel Action Form, Master log records, Onboarding documentation, Compensation, etc.) PARS Plan Summaries Participant Benefit Statements Policy Acknowledgements Recruitment (Applications, Applicant Tracking, Background Checks, Interview Notes, Job Postings, Board & Executive Candidates) Timesheets Training certificates	TE+6Y	CA - GOV 12946 - (4Y) CA - 8 CCR 3203 - (CY+1Y) CA - 8 CCR 11040(7) - (3Y) US - 29 CFR 1602.14 - (FR+1Y) CA - GOV 53235.2(b) - (5Y) US - 29 CFR 4007.10 - (6Y) US - 29 USC 1027 - (6Y) US - 29 CFR 1602.31 - (TE+2Y) US - 29 CFR 1627.3 - (3Y, TE+1Y) US - 29 CFR 1904.33 - (CY+5Y)	Where a charge of discrimination has been filed, or an action brought by the Commission or the Attorney General, against an employer under title VII, the ADA, or GINA, the respondent employer shall preserve all personnel records relevant to the charge or action until final disposition of the charge or the action.
Human Resources	Employee Benefits Records - Confidential	Benefits Determination Records	Beneficiary Designations Benefits (elections, enrollment, terminations, additions, changes) Custodial agreements Eligibility/ vesting/ breaks in service records Health and Welfare Benefit Plan Documents (retain in EE medical record file instead, if medical information is included) PARS/ Retirement Trust documents	LI*+6Y	US - 29 Code Chapter 18 ERISA (LI*+6Y)	* For the life of the plan/document, or until the participant's complete withdrawal from the plan, plus an additional 6 years. Essentially, records are active until no longer relevant to a determination of benefit entitlements.

Human Resources	Work Authorizations - Confidential	Employment eligibility verification forms collected for active employees and supporting documentation regarding immigration status.	I-9 Documents	TE+3Y*	US - 20 CFR 655 Subpart H - (TE+1Y) US - 8 CFR 274a.2 - (3Y, or TE+1Y)	* Form I-9 and ID copies must be retained for the entire time an employee works for the agency, and 3 years after date of hire or 1 year after employment ended, whichever is later. (USCIS Forms and Information guidelines)
Information Technology	Application, System Development and Maintenance	Technical documentation related to development of SolTrans technology processes, applications, or systems, as well as conversions, changes or modifications to existing applications or systems.	Backups (Security, System) Business Functional Requirements End User Documentation User Manuals Hardware (licenses, purchases, maintenance, upgrades) Hardware Configurations Network Circuits Inventories Network/Equipment Control Support Documentation (Service Histories, Site Visit Reports, Trouble Reports) Program Listings Software (licenses, purchases, maintenance, upgrades) Source Code Support Documentation (Logical & Physical Architectural Diagrams, Specifications, Systems Support Materials) System Documentation (Codebooks, Record Layouts, Reference Guides, Specifications) System Test FilesSystem, Application Maintenance Documentation (Hardware/Operating System Requirements, Monitoring Logs, Operating Manuals) Telecommunications System (Telephones, Phones)	LI*+2Y	CA - GOV 34090 - (2Y)	* LI = Life of Application, System

Legal	Claims, Litigation, Arbitration and Resolution	Records and information created or collected to support SolTrans' position in actual or potential litigation or to otherwise evaluate actual or potential litigation relating to the organization, including claims, constituent complaints, grievances, worker compensation. Litigation includes third party litigation, government investigations, mediations, arbitrations, and other judicial or quasi-judicial proceedings, whether handled by the General Counsel or outside counsel on behalf of LAVTA.	Accident/ Incident Files - claim filed (accident/incident reports, courtesy, related photographs/ video footage, supporting documentation) ADA Case Files Amicus Briefs Case Correspondence Claims Complaints Contract Disputes Court Orders Demand Letters Discovery EEO Charges, Cases Evidence Exhibits Injury Reports Judgments Meet and Confer Pleadings (Affidavits, Depositions, Exhibits, Court Filings) Related Correspondence Releases Settlement Agreements Stipulations Subpoenas Unemployment Compensation Claims Unemployment Compensation Data, Weekly Earnings Data Worker Compensation Benefits (Claims, Orders, Reports, Rewards)	FR*+10Y	CA - 2 CCR 11013 - (FR+2Y) CA - 8 CCR 10102 - (5Y; AC+1Y) CA - 8 CCR 10103.1 - (5Y) CA - 22 CCR 1085-2 - (4Y) CA - CCP 315 - (10Y) CA - CCP 337.15 - (10Y) CA - GOV 945.6 - (2Y) CA - GOV 60201 - (2Y) CA - LAB 5410 - (5Y) CA - UIC 1132 - (3Y) US - 26 CFR 31.6001-1(e)(2) - (4Y) US - 26 USC 6531 - (6Y) US - 29 USC 255 - (2Y) US - 29 USC 626(d) - (300D) US - 42 USC 2000e-5(e) - (180D) US - 42 USC 2000e-5(f) - (180D)	* Until claim, litigation or complaint has been satisfactorily resolved and closed/settled, the file remains open. Exception: If paid with grant funds, and grant specifies a longer retention period, retain per the grant's requirements.
Legal	Joint Powers	Records of agreements between SolTrans and JPA member agencies.	Joint Powers Agreements (JPA) Bylaws	PR	CA - CCP 336a - (6Y) CA - GOV 34090 - (2Y)	
Legal	Legal Advice and Opinions	Memoranda containing legal advice prepared by General Counsel or other attorneys for LAVTA.	Memos Opinions - Covered by Attorney/Client Privilege Opinions - Public	S+10Y		

Legal	Purchasing and Agreements, Awarded - General	Records and information created or retained in the requisitioning, purchasing, contracting or acquisition of goods and services other than for real property, infrastructure or facilities, between LAVTA and other parties. Includes: - Executed agreements and contracts - Terms and conditions and associated ancillary documents - Consultant agreements - Professional services	Addendums Agreements Amendments Attachments / Exhibits Bids, Awards Certificates of Insurance Change Orders Contracts Correspondence Delivery/Receipt Records Disclosures Exhibits Invitation for Bids (IFBs) Leases Letters of Intent License Agreements, Licenses Memoranda of Agreement (MOAs) Memoranda of Understanding (MOUs) Price Lists Proof of Insurance Certificates Purchase Orders Quotes/Quotations Requests for Proposals (RFP) Requests for Qualifications Requests for Quotes (RFQ) Reports Scorecards Specifications Staff Reports Statements of Work (SOW) Surety Bonds (bid bonds, payment bonds, performance bonds, ancillary bonds) Warranties	AC+5Y	CA - CCP 337 - (4Y) CA - CCP 337.2 - (4Y) CA - CCP 343 - (4Y) CA - GOV 34090 - (2Y)	Exception: If paid with grant funds, and grant specifies a longer retention period, retain per the grant's requirements.
-------	--	--	---	-------	--	--

Legal	Purchasing and Agreements, Awarded - Real Property and Facilities	Records and information created or retained in the requisitioning, purchasing, or contracting for the acquisition, development, improvement or maintenance of real property, facilities, or other infrastructure assets, between LAVTA and other parties. Includes: - Executed agreements - Terms and conditions and associated ancillary documents - Title Insurance agreements	Addendums Agreements Amendments Attachments / Exhibits Bids, Awards Certificates of Insurance Change Orders Contracts Correspondence Delivery/Receipt Records Disclosures Exhibits Invitations for Bid (IFBs) Leases Letters of Intent Maintenance Bonds Memoranda of Agreement (MOAs) Memoranda of Understanding (MOUs) Performance Bonds Proof of Insurance Certificates Purchase Orders Requests for Proposals (RFP) Requests for Qualifications Requests for Quotes (RFQ) Reports Scorecards Specifications Staff Reports Statements of Work (SOW) Surety Bonds (bid bonds, payment bonds, performance bonds, ancillary bonds) Warranties	PR	CA - GOV 34090 - (2Y) CA - CCP 315 - (10Y) CA - CCP 337.1 - (AC+4Y) CA - CCP 337.15 - (AC+10Y)	
Legal	Purchasing and Agreements, Cancelled	Records and information created or retained in the requisitioning of goods, services, or real property between SolTrans and other parties, but where the purchase order or contract was cancelled or unsuccessful.	Exhibits Invitation for Bid (IFB) Price Lists Quotations Requisitions Requests for Proposals (RFP) Requests for Qualifications Requests for Quotes (RFQ) Scorecards Specifications Staff Reports	AC+2Y	CA - GOV 34090 - (2Y)	

Legislative	Real Estate Records	Records and information related to the ownership, purchase, sale, lease or improvement of real property, infrastructure and facilities owned by or used by LAVTA.	Acquisitions Amortization Attachments Buildings Capital Asset Records Capital Improvements (CIP) Deeds Deeds of Trust Depreciation Schedules Easements Encroachments Right of Way Land Mortgages Possessory Interest Rights of Way Schedule of Infrastructure and Buildings Title Title Insurance Valuation Information	PR	CA - CCP 337.15 - (10Y) CA - GOV 34090 - (INDEF) US - 2 CFR 200.334 - (AC+3Y) US - FTA Master Agreement - (AC+3Y)	
Legislative	LAVTA JPA Board, and Committee Administrative Records	Documentation associated with administration, planning, and communication of the activities of the LAVTA JPA Board of Directors and Committees.	Action Logs (distributed to staff) / Follow-Up Agenda Planner Existing / Proposed Legislation (County, State, Federal) Public Comment (speaker slips, public correspondence distributed to Board or Committees, public sign-in sheets) Public Records Requests Working Papers Correspondence	AC+2Y	CA - GOV 34090 - (2Y)	

Legislative	LAVTA JPA Board Official Meetings and Decisions	Official records of the LAVTA JPA Board of Directors that document meetings, decisions and policies.	Agendas Agenda Packets Attachments / Exhibits Bylaws Minutes Minute Books & Index Oaths of Office Resolutions Supplemental Meeting Handouts/ PowerPoint Presentations	PR	CA - CCP 336 - (5Y) CA - CCP 336a - (6Y) CA - CCP 337 - (4Y) CA - CCP 337.5 - (LA10Y) CA - GOV 34090 - (PR) CA - GOV 60201 - (PR) CA - GOV 60201 - (AC+5Y)	
Legislative	LAVTA Standing Committees and Ad Hoc Committee(s) Administrative Records and Meetings - May Contain Some Confidential Records	Documentation associated with administration, planning and communication of the activities of the standing committees and various Ad Hoc Committees; as well as, official records of meetings.	Action logs (distributed to staff) / Follow-Up Agendas Agenda Packets Attachments/ Exhibits Informal Meeting Notes Minutes Supplemental Meeting Handouts/ PowerPoint Presentations	AC+5Y	CA - GOV 34090 - (2Y)	Retain 5Y for reference in SRTP planning, as well as audits.
Legislative	Meetings - Audio/Video Recordings	Audio and video recordings of LAVTA official meetings.	Recordings	AC+2Y	CA - GOV 34090 - (2Y) CA - GOV 34090.7 - (90D) CA - GOV 54953.5(b) - (30D)	
Operations	Public Notices	Records documenting compliance with laws requiring public notice of LAVTA's activities.	Proof of Posting (Agendas, Notice of Adjournment) Affidavits of Publication/Legal Notices (Solicitation Advertisement, Service Changes, Fare Structure Changes) Public Hearing Notices	4Y	CA - CCP 343 - (4Y) CA - GOV 34090 - (2Y)	
Operations	Building and Property Maintenance	Includes routine, preventive, and reactive maintenance activities for SolTrans facilities and non-vehicle equipment.	Checklists Preventive Maintenance Log Repair Orders Replacement Schedules Work Orders	LI*+2Y	CA - GOV 34090 - (2Y)	* LI = Life of Equipment, Asset + 2Y, if no claim filed.

Operations	Building and Property Management	Records and information regarding the structure of LAVTA's physical buildings and facilities.	As-Built Blueprints Certificates (compliance, occupancy) Construction Records Easements Electrical Wiring Schematics Facility Key and card Log Facility Key Request Forms Floor Plans Property Inventory Storm Drains/Sewers	LI*+10Y	CA - CCP 337.1 - (4Y) CA - CCP 337.15 - (10Y) CA - HSC 19850 - (LI)	* LI = Life of Building, Asset
Operations	Business Continuity	All documentation of LAVTA activities for dealing with disasters and/or system failures.	Business Continuity Plans Disaster Preparedness Disaster Recovery Plan Drill Records Emergency Contact Lists, Employee Lists, Roster of Workers Emergency Evacuation Procedures Emergency Operations Center Emergency Preparedness Emergency Response Emergency Services Hazardous Materials Response Planning Telephone Trees	FR*+4Y	CA - CCP 337.1 - (4Y) CA - GOV 34090 - (2Y) CA - LC 6401.7 - (MAINT) US - 29 CFR 1910.38(d) - (MAINT)	* Final Resolution of emergency response processes which require specific records be retained, including but not limited to requests for funding and reimbursement after a disaster.

Operations	Construction, Engineering and Infrastructure Project Files	Records and information related to the administration, analysis, design, development, planning, construction and maintenance, capital improvement (CIP) and engineering projects for SolTrans facilities and infrastructure.	Assessments Bids Blueprints Billings Capital Improvement Projects (CIP) (drawings, maps, plans) Certifications (daily reports) Contract Schedules Contractor Documentation (Payroll, Pay Estimates, Prevailing Wages, Itemized Pay Sheets, Labor Compensation, Statement of Working Days) Construction Daily Reports Correspondence Encroachment/Right of Way (ROW) Permits, Certificates Environmental Impact Reports / Statements / Assessments Estimates / Budgets Field Inspections Final Improvement Plans Grading (cut sheets, permits, erosion control plans) Insurance Certificates Land Surveys (project built) Materials Testing Reports Notices of Completion Notices to Proceed Public Notices Request for Final Inspection RFIs & Responses Specifications Submittals	LI*+10Y	CA - CCP 337.1 - (4Y) CA - CCP 337.15 - (10Y) CA - GOV 34090 - (2Y) CA - HSC 19850 - (LI)	* LI = Life of Building, Asset
Operations	Transit Operator Compliance Records	Reports, logs and other information provided by transit operator to document compliance with SolTrans requirements and used in compiling reports prepared for funding entities.	Monthly Reports Key Performance Indicators	LI* or 5Y, whichever is greater	CA - GOV 34090 - (2Y)	* Life of transit operator contract
Operations	Field Services	Records and information regarding the ongoing maintenance and upkeep of LAVTA bus stops and other facilities for which LAVTA has responsibility.	Correspondence Incident Reports Maintenance Sign Maintenance Work Reports	4Y	CA - CCP 337 - (4Y) CA - GOV 34090 - (2Y)	

Operations	Fleet Management	Records related to the purchase and management of vehicles / buses owned or used and maintained by LAVTA.	Accident Logs Incident Logs Acquisitions (purchases) Buses Energy Logs Fuel Logs Mileage Reports Manuals Motor Vehicle Records and Reports Preventive Maintenance Reports Registrations, Operating Permits Maintenance / Repair (orders, requests, labor costs, preventive) Service Calls Smog Inspections Vehicle Certificates of Insurance Vehicle Health Reports Vehicle Inspections Vehicle License Plate Records Vehicle Maintenance History Vehicle Ownership / Title Warranties	LI*+4Y	CA - GOV 34090 - (2Y)	LI = Life of Vehicle If purchased with grant funds, and grant specifies a longer retention period, retain per the grant's requirements.
Operations	Hazardous Waste, Monitoring and Remediation	Planning, monitoring and contingency/emergency action plans for hazardous waste, emergency and spill response, exposure emergencies, notifications and response; environmental action plans and supporting documentation; hazardous communications plans, including labeling, MSDS controls, training programs and procedures.	Chemical Use Reports Form Electronic Waste (E-Waste) HazMat Emergency Response Programs Employee Hazardous Chemical Exposure Hazardous Material Incident Reports Hazardous Substances Shipping Manifests Hazardous Waste Hazardous Waste Manifests Herbicide Application Permits Material Safety Data Sheets (MSDS) Proposition 65 Monitoring Site Mitigation Toxic Substance Inventory	AC+5Y	CA - CalOSHA CA - CCP 338 - (3Y) CA - CCP 338.1 - (5Y) CA - 22 CCR 66262.40 - (3Y) CA - 22 CCR 66263.22 - (3Y) US - 49 CFR 172.201 - (3Y)	

Operations	Project Files - Not Acquired	Records and information associated with projects that did not move forward.	Environmental Reports Land Surveys (project not built) Preliminary Studies Project Assessments Title Reports	5Y	CA - GOV 34090 - (2Y)	
Operations	Scheduled and Periodic Facility Inspections	Records of inspections of LAVTA facilities, equipment, and working conditions to ensure compliance with regulatory requirements and to identify unsafe conditions and work practices.	BAAQMD Backflow Prevention Devices CalOSHA Field Safety Audits Fire Extinguishers Fire Marshal Inspections Lift Certifications OSHA Inspections	AU*+7Y	CA - 8 CCR 3203(b)(1) - (1Y) CA - GOV 34090 - (2Y)	* Closure of FTA audit Exception: If pertaining to facilities acquired with grant funds, and grant specifies a longer retention period, retain per the grant's requirements.
Operations	Security and Access Controls - LAVTA Facilities	Records of actions taken to ensure the security of LAVTA facilities, including video recordings made from cameras installed on LAVTAs premises.	Daily Security / Activity Logs Security Camera (CCTV) Footage Security Plans Video Recordings Visitor Security / Access Logs	1Y*	CA - GOV 34090.8 - (1Y) CA - GOV 53162 - (1Y)	* Exception: Video related to incidents, accidents and/or claims should be pulled and retained CL+1Y (claim or incident closed/completed).
Operations	Special Transit Services and Programs Eligibility	Records pertaining to eligibility for special transit services and programs.	Paratransit applications and eligibility	AC+AU*	CA - GOV 34090 - (2Y)	* Closure of last audit after records become inactive.
Operations	Special Transit Services and Programs Fulfillment	Records pertaining to the fulfillment of special transit services and programs.	Paratransit/Parataxi fulfillment and trip data	AU*	CA - GOV 34090 - (2Y)	* Closure of last audit after services/trips are fulfilled.
Operations	Video recordings made on each bus, during each shift, and recorded continuously.	Video recordings made on each bus, during each shift, and recorded continuously.	Onboard Surveillance System	1Y*	CA - GOV 34090.8 - (1Y) CA - GOV 53162 - (1Y)	* Exception: Video related to incidents, accidents and/or claims should be pulled and retained CL+1Y (claim or incident closed/completed).
Operations	System Safety and Security	Records associated with mandated safety and security plans.	Field Services Safety Audits Hazard Mitigation Plan Safety Meetings Safety and Security Officer Certification Safety and Security Plan Mutual Assistance Agreements	AC+7Y	CA - GOV 34090 - (2Y)	

Operations	Transit Program Reports	Documentation associated with preparation, delivery and publication of transit program reports, whether daily, weekly, monthly, quarterly, semi-annual, annual, biennial or nonrecurring.	Accidents, Safety and Security Reports Passenger Survey Reports Hours Report Mileage Report NTD (National Transit Database) Reports Ridership Report Survey Trip Sheets	AC+7Y	CA - GOV 34090 - (2Y)	
Risk Management	Transportation Planning	Documents regarding fares, riders, ridership, routes, monitoring of existing services and service development, including reports that compile information from multiple sources.	Fare Policy Mobility Management Routes and Schedules Route Statistics Service Changes (Routes, Outreach) Sign Policy Strategic Transit Planning StudiesSurveys Title VI Reporting	10Y	CA - GOV 34090 - (2Y)	
Risk Management	Incidents - Other	Records of accidents and incidents that do not involve injuries to employees or contractors. NOTE: If a claim is filed, see Claims, Litigation, Arbitration and Resolution, above (under legal).	Accident Files - no claim filed (accident reports, courtesy cards, photographs, supporting documentation) Arson / Graffiti Incident Reports, Videos Property Damage Theft Vandalism	AC*+7Y	CA - CCP 337 - (4Y) CA - CCP 337.2 - (4Y) CA - CCP 343 - (4Y) CA - GOV 34090 - (2Y)	* Closed and no claim filed
Risk Management	Insurance Coverage	Records detailing LAVTAs general coverage against property damage and liability, including renewal submission information, insurance quotes, & broker correspondence.	Binders / Information / Correspondence Certificates of Insurance Completed Applications Insurance Policies (disability, flood, liability, property) Insurance Quotes	S+6Y	CA - 22 CCR 3267-2 - (MAINT) CA - CCP 337 - (4Y) CA - CCP 337.2 - (4Y) CA - CCP 343 - (4Y) CA - GOV 34090 - (2Y)	