

APPENDIX "A"							
<div>Definitions</div> <div>Obtained from the California Secretary of State Guidelines, last updated February 2006.</div> <div><b>Active Records</b> - As a measure of activity for records that are referred to at least once a month per cubic foot of records. Also - as a retention period for a Perpetual Record that remains "active" until some event occurs to change its status, at which time it has fulfilled its function. (See also Perpetual Record)</div> <div><b>Administrative Records</b> - Records commonly found in all offices and typically retained only for short time periods - less than five years. Examples include subject, chronological, budget, and policy files.</div> <div><b>Archival Records</b> - Records with enduring value because they reflect significant historical events, document the history and development of an agency, or provide valuable research data.</div> <div><b>Discovery</b> - The pretrial disclosure of pertinent facts or documents by one or both parties to a civil action or processing. Anything requested during discovery must be disclosed if it exists - even non-records and records that should have been destroyed earlier. Discovery effectively freezes selected holdings until release by opposing attorney or the court.</div> <div><b>Local Government</b> - Government Code, Section 7920.510 states: "'Local Agency' includes a county; city, whether general law or charter; city and county; school district; municipal corporation; district; political subdivision; or any board, commission or agency thereof; other local public agency; or nonprofit entities that are legislative bodies of a local agency pursuant to subdivisions (c) and (d) of Government Code, Section 54952."</div> <div><b>Non-Records</b> - Material not usually included within the definition of records, such as unofficial copies of documents kept only for convenience or reference, working papers, appointment logs, stocks of publications and processed documents, and library or museum material intended solely for reference or exhibition. Also, documents such as rough notes, calculations or drafts assembled or created and used in the preparation or analysis of other documents. (See also Discovery)</div> <div><b>Permanent Records</b> - Records that are required in perpetuity, usually identified by statute or other written guidance. Examples include original birth certificates, death certificates, Spanish land grants, etc.</div> <div><b>Perpetual Records</b> - Records retained for an indefinite period of time and then stored or destroyed after some event takes place. Examples include office personnel files which are kept until a person leaves the office, policy files kept until the policy is changed, contract files kept until the contract terminates, etc.</div> <div><b>Program Records</b> - Records that relate to the primary function of the agency in response to its daily mission. Examples include lien files, records files, election files, probate records, medical records, etc.</div> <div><b>Public Records</b> - Any information relating to the conduct of the public's business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics.</div> <div><b>Records</b> - All papers, maps, exhibits, magnetic or paper tapes, photographic films and prints, punched cards, and other documents produced, received, owned or used by an agency, regardless of physical form or characteristics.</div> <div><b>Records Retention Schedule</b> - A list of all records produced or maintained by an agency and the actions taken with regards to those records. A retention schedule is an agency's legal authority to receive, create, retain, and dispose of official public records. It assists the agency by documenting which records require office or temporary storage, which records have historic or research value, and which records should be destroyed because they no longer have any administrative, fiscal, or legal value. In the event of litigation, courts accept a retention schedule as establishing an agency's "normal course of doing business".</div> <div><b>Retention Period</b> - The length of time a record must be retained to fulfill its administrative, fiscal and/or legal function. Then, a record should be disposed of as soon as possible in accordance with an approved Records Retention Schedule.</div> <div><b>Administrative Decision</b> - An administrative decision was made to retain the records for administrative, historical, informational, or evidentiary value.</div>							
Legal Authority Abbreviations							
CCP = Code of Civil Procedure (California)   GC = Government Code (California)   LC = Labor Code (California)   CCR = California Code of Regulations   H&S = Health & Safety Code   PC = Penal Code (California) CFR = Code of Federal Regulations   R&TC = Revenue & Taxation Code (California)   PRC = Public Resources Code (California)   EC = Elections Code (California)   USC = United States Code							
AC = Active   AU = Audit   CL = Closed/Completion   FR = Final Resolution   FY = Fiscal Year   LA = Last Activity   LI = Life (of contract, program, asset)   PR = Permanent   S = Superseded   TE = Termination							
Record No.	Business Process	Record Category Name	Record Category Description	Example Records	Retention	Legal Citations	Comments
001	All Departments	Annual Plans	Special or long range program plans. Coordination of services, strategic planning.	Management Plan Service Plan Capital Plan Marketing Plan	20Y	GC 26202 - (2Y)	Retained by responsible department. Administrative decision to retain for administrative, historical, informational, or evidentiary value.
002	All Departments	Department Administration	General internal administrative records of Omnitrans departments, including: - Documentation of department activities - Information captured on a log or a list - Department monthly reports	Department Administrative Documents ( <i>calendars, project goals/objectives, staff/dept. meeting agendas and minutes, etc.</i> ) Logs	AC+2Y	GC 26202 - (2Y)	
003	All Departments	Project and Subject Files	Records documenting activities related to specific projects or subjects (unrelated to construction, facilities/ infrastructure).	Consultants Project Files Project/Program Plan Project Reporting Project Studies Subject Files Templates & Letterhead Working Files	AC+4Y	GC 26202 - (2Y) GC 12236 - (AC+4Y) 24 CFR 570.502 (AC+4Y) 24 CFR 85.42 (prior to 2014) 2 CFR 200 (after 2014)	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.
004	All Departments	Travel	Travel records.	Travel Authorizations	AC+2Y	GC 26202 (2Y)	

005	Administration/ Executive	Board & Committees Administrative Records	Documentation associated with administration, planning, and communication of the activities of the Omnitrans Board of Directors and Committees of the Board, respectively.	Follow-Up Items Existing / Proposed Legislation ( <i>County, State, Federal</i> ) Public Comment ( <i>speaker slips, public correspondence distributed to Board or Committees, public sign-in sheets</i> ) Correspondence (Board of Directors & Committees)	AC+2Y*	GC 26202 - (2Y)	
006	Administration/ Executive	Omnitrans JPA Board & Committee Official Meetings and Decisions	Official records of the Omnitrans JPA Board of Directors that document meetings, decisions and policies.	Agendas Agenda Packets Attachments / Exhibits Bylaws Minutes Resolutions Supplemental Meeting Handouts/ PowerPoint Presentations Board Policies	PR	GC 26202 - (2Y) GC 12236 - SOS Guidelines (PR)	
007	Administration/ Executive	Bylaws	Governing rules of organization.	Adopted bylaws and amendments.	PR	GC 26202 - (2Y) GC 12236 - SOS Guidelines (PR)	Drafts kept only until final version approved by Board.
008	Administration/ Executive	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*	GC 26202 - (2Y) GC 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.
009	Administration/ Executive	Ethics Training Certificates	AB 1234	Certificates of training hard copy or electronic.	AC+5Y	GOV 53535.2 - (5Y)	
010	Administration/ Executive	FPPC Forms	Forms and filings mandated by state and federal laws, including those related to economic interests of Officials designated in Omnitrans' Conflict of Interest Code. Identifies new positions, not currently included in the agency's conflict of interest code that must file a Statement of Economic Interests, From 700 Identifies consultants the agency has determined must file a Statement of Economic Interests, Form 700.	Form 700 Filings Conflict of Interest Code (Revisions, Correspondence) Fair Political Practices Commission (FPPC) Statements of Economic Interest Form 804 Form 805	AC*+7Y (copies 4Y)	GC 26202 - (2Y) GC 81009(e), (f) - (4Y, 7Y)	*Remains active until individual leaves Omnitrans.
011	Administration/ Executive	Grand Jury Recommendations & Responses	Records related to Grand Jury requests.		PR *	GC 26202 - (2Y) GC 12236 - SOS Guidelines (2Y)	*Administrative decision to retain for administrative, historical, informational, or evidentiary value.
012	Administration/ Executive	Joint Powers	Records of agreements between Omnitrans and JPA member agencies.	Joint Powers Agreements (JPA) Bylaws	PR	CCP 336a - (6Y) GC 26202 - (2Y)	*Administrative decision to retain for administrative, historical, informational, or
013	Administration/ Executive	Legal Advice and Opinions	Memoranda containing legal advice prepared by General Counsel or other attorneys for Omnitrans.	Memos Opinions - Covered by Attorney/Client Privilege Opinions - Public	S+ 10	GC 26202 - (2Y)	*Administrative decision to retain for administrative, historical, informational, or evidentiary value. Maintain legal opinions until
014	Administration/ Executive	Meetings - Audio Recordings	Audio recordings of Omnitrans official meetings.	Recordings - Board of Directors & Committee ( <i>audio</i> )	AC+2Y*	GC 26202 - (2Y) GC 26206.7 - (90D) GC 54953.5(b) - (30D)	
015	Administration/ Executive	Public Information	Records requested by the public, required for provision to the public, and related inquiries.	Public Records Requests	CL+2Y	GC 26202 - (2Y) GC 12236 - SOS Guidelines (2Y)	
016	Administration/ Executive	Records, Information Management	Documentation of the compliance with Records and Information Management policy and procedures.	Updates Lists of Stored / Destroyed Records Master Records Inventory Records Transfers ( <i>to storage, to other depts</i> .)	AC+4Y	GC 26202 - (2Y) GC 12236 - SOS Guidelines (4Y)	

017	Finance	Accounting	Records and information related to management of Omnitrans accounts, including payables, receivables, grants, expenses, books and ledgers.	1099 Accounts Payable Accounts Receivable Bank Reconciliations Cash Chart of Accounts Expenses General Ledger Journal Entries Liabilities (Accounts Payable, Payroll Accruals) Revenue (Fare, Federal, State, etc.) W-9	*FY+7Y	GC 26202 - (AU) GC 12236 - SOS Guidelines (7Y, or until audited, whichever is first) 26 CFR 1.162-17 - (MAINT) 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.
018	Finance	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 NTD State Controller Report (Finance, Compensation) Triennial Reviews	AU*+7Y	GC 26202 - (2Y) GC 12236 - SOS Guidelines (7Y)	* Closure of audit Exception: If grant specifies a longer retention period, retain per the grant's requirements.
019	Finance	Budgets	Records and information relating to creating and implementing organizational budgets.	Capital Budget Operating Budget Budget Adjustments Budget Presentations Supporting Documents	PR	GC 26202 - (2Y) GC 12236 - SOS Guidelines (PR)	*Retain FY+7Y or until audited, whichever comes first.
020	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 Omnitrans.	Inventory Asset Records Depreciation Sales of obsolete equipment	AU*+7Y	GC 26202 - (2Y) 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.
021	Finance	Grants and Funding	Documents the application, award, administration, monitoring, reporting, and status of grants and other funding sources for Omnitrans programs and operations.	Applications Approval Letter Authorizations Awards and Notifications Correspondence Federal Grant Grant Agreement Grant Funding Local Grant Reports State Grant Tracking Reports	FY+7Y	GC 26202 - (2Y) GC 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.
022	Finance	Non-Financial Reporting		Actuarial Studies	FY+7Y	GC 26202 - (2Y) CCR 14300.33 - (5Y)	Retention is 6 yrs, because most records in this grouping must be retained for 5 yrs following the
023	Finance	Payroll	Records and information related to the accounting of Omnitrans 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 - Payroll - PERS Employment Deduction Reports	Bi-monthly Processing Quarterly Payroll Taxes W-2	FY+7Y	GC 26202 - (AU) GC 12236 - SOS Guidelines (7Y,or until audited, whichever is first) 26 CFR 1.162-17 26 CFR 31.6001 (4Y) CAC 22- 1085-2	*Retain FY+7Y or untiled audited, whichever comes first. Exception: If pertaining to grant funds, and grant specifies a longer retention period, retain per the grant's requirements.

024	Finance	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 Omnitrans.	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	GC 26202 - (2Y) GC 12236 SOS Guidelines (PR) 2 CFR 200.33 - (AC+3Y) US - FTA Master Agreement - (AC+3Y) CCP 337.15 - (10Y)	
025	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	LI*+6Y	GC 26202 - (2Y) GC 12236 - SOS Guidelines 29 CFR 1627.3 - (TE+1) 29 CFR 4007.10 - (6Y) 29 CFR 4041.5 - (LI*+6Y) 29 USC 1027 - (6Y) 29 USC 1059 - (TE+1Y) US - 29 USC 1113 - (6Y) 29 USC 1451 - (6Y) 29 Code Chapter 18 ERISA (LI*+6Y)	* LI = Life of Plan or System; plan/system is considered alive while any employee, retiree, or other eligible participant is receiving benefits.

026	Human Resources	Claims, Litigation, Arbitration and Resolution	Records and information created or collected to support Omnitrans' 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 Omnitrans.	Accident/ Incident Files - claim filed ( <i>accident/incident reports, courtesy, related photographs/ video footage, supporting documentation</i> ) 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	CCR 11013 - (FR+2Y) CCR 10102 - (5Y; AC+1Y) CA - 8 CCR 10103.1 - (5Y) 22 CCR 1085-2 - (4Y) CCP 315 - (10Y) CCP 337.15 - (10Y) GC 945.6 - (2Y) GC 26202 - (2Y) LAB 5410 - (5Y) UIC 1132 - (3Y) 26 CFR 31.6001 (4Y) 26 USC 6531 - (6Y) 29 USC 255 - (2Y) 29 USC 626 (d) - (300D) 42 USC 2000e-5 (e) - (180D) 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.
027	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 & and Salary Schedules	S	GC 26202 - (2Y) GC 12236 - SOS Guidelines (Active until revised/superseded)	
028	Human Resources	Deferred Compensation	Records of employee & Agency contributions.	Forms, statements, logs.	T+5Y	GC 26202 - (2Y) GC 12236 - SOS Guidelines (T+5Y) 26 CFR 16001 -1* GC 12946 - (2Y) 29 CFR 1627.3(b)(2) EEOC/ADEA requires 1 year after benefit plan termination	
029	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 PERS/ Retirement Trust documents	LI*+6Y	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.
030	Human Resources	Drug & Alcohol	Drug & Alcohol tests	Drug & Alcohol Test Records	AC+5Y	CFR 655.71 (5Y)	
031	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 FMLA/CFRA PDL Other Medical Leaves of Absence Hazardous Exposure	TE+6Y	GC 26202 - (2Y) CCR 14300.33 - (5Y) 29 USC 1027 - (6Y) 29 CFR 825.500 - (3Y)	Exception: The medical records of employees who have worked for less than (1) year for Omnitrans need not be retained beyond the term of employment if they are provided to the employee upon termination of employment.

032	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, Title VI non-discrimination) - pay rates / other terms of compensation	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) Personnel Files (Personnel Action Form, Master log records, Onboarding documentation, Compensation, etc.) PERS Plan Summaries Participant Benefit Statements Policy Acknowledgements Recruitment (Applications, Applicant Tracking, Background Checks, Interview Notes, Job Postings, Training Certificates	TE+6Y	GC 12946 - (2Y) CCR 3203 - (CY+1Y) CCR 11040(7) - (3Y) 29 CFR 1602.14 - (FR+1Y) GC 53235.2b - (5Y) 29 CFR 4007.10 - (6Y) 29 USC 1027 - (6Y) 29 CFR 1602.31 - (TE+2Y) 29 CFR 1627.3 - (3Y, TE+1Y) 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.
033	Human Resources/Risk	Incidents - Other	Records of accidents and incidents that do not involve injuries to employees or contractors. NOTE: If a claim is filed, see <b>Claims, Litigation, Arbitration and Resolution</b> , above.	Accident Files - no claim filed ( <i>accident reports, courtesy cards, photographs, supporting documentation</i> ) Arson / Graffiti Incident Reports, Videos Property Damage Theft Vandalism	AC*+7Y (copies 4Y)	GC 26202 - (2Y) CCP 337 - (4Y) CCP 337.2 - (4Y) CCP 343 - (4Y)	* Closed and no claim filed
034	Human Resources/Risk	Insurance Coverage	Records detailing Omnitrans' 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 ( <i>disability, flood, liability, property</i> ) Insurance Quotes	S+6Y	GC 26202 - (2Y) 22 CCR 3267-2 - (MAINT) CCP 337 - (4Y) CCP 337.2 - (4Y) CCP 343 - (4Y)	
035	Human Resources	Labor Relations	Labor negotiation files.		20Y PR*	GC 26202 - (2Y) GC 12236 - SOS Guidelines (CR+2) GC 12946 (2Y) 29 CFR 516.6(2) 29 CFR 1602.14	Administrative decision to maintain general and salary surveys relating to labor relations negotiations permanently to support the negotiation. Exception: Maintain Memorandums of Understanding / Employee Bargaining records permanently.
036	Human Resources	Non-Financial Reporting	Official non-financial reports and studies issued by Omnitrans to meet and comply with regulatory requirements*.	OSHA 300, 300a, 301 Reports / Logs Risk Management Reports ( <i>Federal OSHA, loss analysis, safety</i> ) Workers Compensation Reports ( <i>monthly, annual</i> ) +E74	6Y	GC 26202 - (2Y) CCR 14300.33 - (5Y) 29 CFR 1602.14 - (FR+1Y) 29 CFR 1904.4 - (MAINT) 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
037	Human Resources	PERS	Social Security, STD/LTD/SSI	EEOC/ADEA	PR	GC 26202 - (2Y) 29 CFR 1627.3(2) GC 12946	
038	Human Resources	Policies and Procedures	All documentation of Omnitrans or department policy and procedures.	Personnel policies and revisions.	AC (3Y)	GC 26202 - (2Y) 29 CFR 1602.14 - (FR+1Y) 29 CFR 1627.3 - (TE+1Y)	Per CA GOV 12236 SOS Guidelines, all organizational policies and procedures remain active until revised.
039	Human Resources	Work Authorizations - Confidential	Employment eligibility verification forms collected for active employees and supporting documentation regarding immigration status.	I-9 Documents	TE+3Y*	20 CFR 655 Subpart H - (TE+1Y) 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

040	Information Technology	Application, System Development and Maintenance	Technical documentation related to development of Omnitrans technology processes, applications, or systems, as well as conversions, changes or modifications to existing applications or systems.	Asset Management 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 ( <i>licenses, purchases, maintenance, upgrades</i> ) Source Code Support Documentation (Logical & Physical Architectural Diagrams, Specifications, Systems Support Materials) System Documentation (Codebooks, Record Layouts, Reference Guides, Specifications) System Test Files System, Application Maintenance Documentation (Hardware/Operating System Requirements, Monitoring Logs, Operating Manuals) Telecommunications System (Telephones, Phones)	LI*+2Y	GC 26202 - (2Y)	*LI = Life of Application, System
041	Information Technology	Cybersecurity	Audits and incidents.		AU+2Y AT+5Y*	GC 26202 - (2Y) CCP 337.2 - (4Y) CCP 343 - (4Y) 48 CFR 4.601 - (AC+5Y)	After audit + 2Y for documents supporting original agreements and third party services. Maintain all agreements and supporting documents for 5 years after termination of the system. *Exception: reports related to incidents, accidents and/or claims should be pulled and retained CL+2Y (claim or incident closed/completed).
042	Information Technology	Surveillance Videos - Onboard Buses	Video recordings made on each bus, during each shift, and recorded continuously.	Onboard Surveillance System	90 days*	GC 26202.8 - (1Y) GC 53162 - (1Y)	*Exception: Video related to incidents, accidents and/or claims should be pulled and retained
043	Maintenance	Building and Property Maintenance	Includes routine, preventive, and reactive maintenance activities for Omnitrans facilities.	Work Orders	3Y	GC 26202 - (2Y)	*Administrative decision to retain for administrative, historical, informational, or
044	Maintenance	Building and Property Management	Records and information regarding the structure of Omnitrans physical buildings and facilities.	As-Built Blueprints Certificates (compliance, occupancy) Construction Records Easements Electrical Wiring, Schematics, Facility Key Request Forms, Floor Plans Property Inventory Storm Drains/Sewers	LI*	HSC 19850 - (LI)	* LI = Life of Building, Asset
045	Maintenance	Stops & Stations	Records and information regarding the ongoing maintenance and upkeep of Omnitrans bus stops and other facilities for which Omnitrans has responsibility.	Correspondence Incident Reports Bus Stop Maintenance Work Orders	3Y	GC 26202 - (2Y)	*Administrative decision to retain for administrative, historical, informational, or evidentiary value

046	Maintenance	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 Omnitrans facilities and infrastructure.	Blueprints Capital Improvement Projects (CIP) ( <i>drawings, maps, plans</i> ) 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 ( <i>cut sheets, permits, erosion control plans</i> ) Insurance Certificates Land Surveys ( <i>project built</i> ) Materials Testing Reports Notices of Completion Notices to Proceed Public Notices Request for Final Inspection RFIs & Responses Specifications Submittals	LI*+10Y	GC 26202 - (2Y) CCP 337.1 - (4Y) CCP 337.15 - (10Y) HSC 19850 - (LI)	* LI = Life of Building, Asset
047	Maintenance	Fleet Management	Records related to the management of vehicles owned, used, and maintained by Omnitrans.	Vehicle Mileage Reports Vehicle Manuals CHP Terminal Inspections Preventive Maintenance Reports Vehicle Registrations Maintenance / Repair Work Orders Road Calls Vehicle Certificates of Insurance Periodic Paratransit Vehicle Inspections	3Y	GC 26202 - (2Y)	*Administrative decision to retain for administrative, historical, informational, or evidentiary value
048	<b>Marketing &amp; Communications</b>	Historical Documents, Events, Memorabilia, Collections, Artifacts, Schedules, Brochures, Tickets/Passes	Records and information documenting the history and significant milestones of Omnitrans; and publications providing information on routes, schedules and services provided by Omnitrans.	Brochures Bus Schedules Executive, Omnitrans Official Communications, Speeches, Videos Historical Events, Artifacts, Mission Statement Artwork, Pictures, Video Collections (logos, identity/branding) Transit Tickets and Passes	PR	GC 26202 - (2Y)	Retain permanently for historical reference.
049	Marketing & 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, media packets, mailers, promotional items) Social Media Articles Media (Press Releases) Events ( <i>community outreach, special</i> ) Newsletters Rider Alerts Subsidy Programs	AC*+3Y	GC 26202 - (2Y) GC 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.
050	Marketing & Communications	Customer Service	Documentation regarding customers and passengers, including participation in Omnitrans programs, and customer complaints or issues and the actions taken to address and resolve them.	Customer Correspondence Customer Complaints Passenger Information	AC+3Y	GC 26202 - (2Y) GC 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.
051	Marketing & Communications	Fare Media	Documentation regarding fare media sales and revenue.	Monthly Reports	AC+3Y	GC 26202 - (2Y) GC12236 - SOS Guidelines (3Y)	
052	Marketing & Communications	RideShare	SCAQMD-mandated rideshare program participation	Rideshare Applications Rideshare promotion efforts	AC*+3Y	GC 26202 - (2Y)	



053	Marketing & Communications	Audio recordings	Customer Service Center.		1Y	GC 53162 - (1Y)	*Exception: calls related to incidents, accidents and/or claims should be pulled and retained CL+1Y (claim or incident closed/completed).
054	<b>Mobility Services</b>	Eligibility: Mobility Services Programs & ADA Paratransit	Records pertaining to eligibility for Mobility Services programs and ADA paratransit services.	Application materials, certifications, appeals, appeals findings, no-shows, no-show appeals	AC+AU*	GC 26202 - (2Y)	*Closure of last audit after records become inactive.
055	Mobility Services	Regional Mobility Partner (RMP) Program Materials	Any records related to the RMP programs	Application, award documents, contracts, invoices, audit records, site visit summaries, RMP Guidelines	S+2Y* AU*	GC 26202 - (2Y)	*Maintain for life of program plus 2 years. Financial records after audit.
056	Mobility Services	Internally Administered Programs	Records related to Mobility Services Programs	Travel Training records, Contracts, Invoices, Usages/Ridership information	S+2Y* AU*	GC 26202 - (2Y)	*Maintain for life of program plus 2 years. Financial records after audit.
057	Mobility Services	ADA Paratransit service	Records pertaining to the fulfillment of OmniAccess services and programs.	Paratransit fulfillment and trip data Monthly Reports NTD Data Invoices & Backup including performance penalties, etc	S+2Y* AU*	GC 26202 - (2Y)	*Maintain for life of program plus 2 years. Financial records after audit.
058	<b>Operations</b>	Dispatch Recorded Line and Radio Communications	Voice Recorders	JEI (Digital communication recording system)	1Y	GC 53162 - (1Y)	
059	Operations	Transit Operator Compliance Records	Reports, dispatch logs and other information provided by transit operator to document compliance with Omnitrans requirements and used in compiling reports prepared for funding entities.	Daily Reports Monthly Reports Run Bid/Schedule Information Day off volunteer list/Hold downs/Force list/ Extraboard list/ Daily Overtime Log Employee Disciplinary files	2Y	GC 26202 - (2Y)	
060	Operations/Field Supervisors	Field Supervisor Records (add any records kepts)	Field Supervisors daily reports	Accident/incident reports Customer Complaint Investigations Field Supervisor Daily activity Reports/ Relief car ODR's	CY+7Y	GC 26202 - (2Y) GC 12236 - SOS Guidelines (CL+7) 29 CFR 1904.33 29 CFR 1904.2 29 CFR 1904.6 OSHA 301 Incident Report forms (CY+5Y)	
061	Operations/ Training	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.	DMV Testing, class testing, flow chart, students exams, AIRC files, APW's ,RTW's,Ride checks,New hire packets, credentials, training material/log, Employee training files	CY+7Y	GC 26202 - (2Y) VEH 1808.1 (S+2) PUC 5444	*Administrative decision to retain for administrative, historical, informational, or evidentiary value.
062	<b>Procurement</b>	Purchasing and Agreements, Awarded - General Public Notices	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 Omnitrans and other parties. Includes: - Executed agreements and contracts - Terms and conditions and associated ancillary documents - Consultant agreements - Professional services Records documenting compliance with laws requiring public notice of Omnitrans activities.	Addendums Agreements Amendments Attachments / Exhibits Bids, Awards Certificates of Insurance Change Orders Contracts Correspondence Delivery/Receipt Records Disclosures Exhibits Invitation for Bids (IFBs) Leases Legal Notices (solicitation advertisement) 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)	TE+3Y*	2 CFR 200.333	*Exception: If paid with grant funds, and grant specifies a longer retention period, retain per the grant's requirements. Construction records may be indefinite.

063	Procurement	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 Omnitrans 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 ( <i>bid bonds, payment bonds, performance bonds,</i>	PR	GC 26202 - (2Y) GC 12236 - SOS Guidelines (PR) CCP 315 - (10Y) CCP 337.1 - (AC+4Y) CCP 337.15 - (AC+10Y)	
064	Procurement	Purchasing and Agreements, Cancelled	Records and information created or retained in the requisitioning of goods, services, or real property between Omnitrans 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	TE+3Y	2 CFR 200.333	
065	<b>Safety &amp; Regulatory Compliance</b>	OSHA Reportables		Exposure Monitoring/Hazardous Exposure	TE+30Y	29 CFR 1910.1020 - (TE+30Y) CCR 3204 - (TE+30Y)	
066	Safety, Security & Regulatory Compliance	Business Continuity	All documentation of Omnitrans activities for dealing with disasters and/or system failures.	Continuity of Operations Planning Roles and Responsibilities System Safety Emergency Response Plan Recovery Planning Emergency Response and Prevention Exercise and Drill Records Emergency Contact Lists, Employee Lists, Roster of Workers Emergency Evacuation Procedures Emergency Operations Centers and Alternates Emergency Response Procedures Response Planning Telephone Trees Security Emergency Program Plan Threat and Vulnerability Assessments	FR*+4Y	CCP 337.1 - (4Y) GC 26202 - (2Y) LC 6401.7 - (MAINT) 29 CFR 1910.38 - (MAINT)	
067	Safety, Security & Regulatory Compliance	Hazardous Materials, Monitoring and Mitigation Plans	Planning, monitoring and contingency/emergency action plans for hazardous materials, emergency and environmental and spill response amd prevention.	Chemical Use Reports Form Electronic Waste (E-Waste) (Facilities) Storm Water Pollution Prevention Plan Hazard Mitigation Plan Spill Prevention Control and Countermeasure Plan System Safety Emergency Response Plan Hazardous Waste Manifests Safety Data Sheets (SDS) Spill Response Plan Chemical Inventory System	AC+5Y	GC 26202 - (2Y) GC 12236 - SOS Guidelines (AC+5Y) CA - CalOSHA CCP 338 - (3Y) CCP 338.1 - (5Y) 22 CCR 66262.40 - (3Y) 22 CCR 66263.22 - (3Y) 49 CFR 172.201 - (3Y) 29 CFR 1904.33 (5Y) - OSHA reports 8 CCR 14300.33 (5Y) - OSHA 300 reports 8 CCR 10102 (DOI+5Y)	

068	Safety, Security & Regulatory Compliance	Scheduled and Periodic Facility Inspections	Records of inspections of Omnitrans facilities, equipment, and working conditions to ensure compliance with regulatory requirements and to identify unsafe conditions and work practices.	Quarterly Safety Audits Monthly Safety Inspections TSA Inspections California Building Code Inspections FTA Inspections CUPA Fire Marshall Inspections Department of Public Health and Safety SQAQMD Inspections Backflow Prevention Devices CalOSHA (FACILITIES) Elevator Inspections Field Safety Audits Fire Extinguishers (FACILITIES) Fire Marshal Inspections Lift Certifications (FACILITIES) Cal/OSHA and OSHA Inspections Stormwater Resource Board Inspections EPA Inspections Department of Toxic Substance Waste Inspections	AU*+7Y	CCR 3203(b)(1) - (1Y) GC 26202 - (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.
069	Safety, Security & Regulatory Compliance	Security and Access Controls - Omnitrans Facilities	Records of actions taken to ensure the security of Omnitrans facilities	Daily Security/ Activity Logs Visitor Security / Access Logs Security Plans	1Y*	GC 26202.6	
070	Safety, Security & Regulatory Compliance	Security Surveillance- Omnitrans Facilities	Video and audio recordings made from cameras installed on Omnitrans premises.	Security Camera (CCTV) Footage Video Recordings Audio Recordings	90 days*	GC53162	*Exception: Video related to incidents, accidents and/or claims should be pulled and retained CL+1Y (claim or incident closed/completed).
071	Safety, Security & Regulatory Compliance	System Safety and Security	Records associated with mandated safety and security plans.	EHS Safety Training Records New Employee Training Records TSA Training Plan Agency Safety Plan Field Services Safety Audits (Facilities) Hazard Mitigation Plan Agency Safety Meetings Security Emergency Response Plan Mutual Assistance Agreements	AC+7Y	GC 26202 - (2Y)	
072	Strategic Development	Public Notices	Records documenting compliance with laws requiring public notice of Omnitrans activities.	Legal Notices (Service Changes, Fare Structure Changes) Public Hearing Notices	AC+10Y	GC 26202 - (2Y) CCP 343 - (4Y) CCP 337.15 (10 Y)	*Administrative decision to retain for administrative, historical, informational, or evidentiary value. Maintain for 10 years after
073	Strategic Development	Project Files - Not Acquired	Records and information associated with projects that did not move forward.	Environmental Reports Land Surveys ( <i>project not built</i> ) Preliminary Studies Project Assessments Title Reports	5Y	GC 26202 - (2Y)	*Administrative decision to retain for administrative, historical, informational, or evidentiary value
074	Strategic Development	Key Performance Indicators			2Y	GC 26202 - (2Y)	
075	Strategic Development	Strategic Plan & SRTP	Records related to future planning and forecasting.	Final Strategic Plans & Final Short-Range Transit Plan	P *	GC 26202 (2Y)	*Administrative decision to retain for administrative, historical, informational, or evidentiary value.
076	Strategic Development	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) Surveys Title VI Reporting Transit Design Guidelines	10Y*	GC 26202 - (2Y) GC 12236 - SOS Guidelines (2Y)	*Administrative decision to retain for administrative, historical, informational, or evidentiary value.