

NORTH COUNTY TRANSIT SAN DIEGO RAILROAD

ATTACHMENT A BOARD POLICY NO. 15

RECORDS RETENTION SCHEDULE

RETENTION CODES	
AU = Audit	CU = Current
CL = Closed/Completed	PE = Permanent
EX = Expired	SU = Superseded
LIFE = Full term of position or life of manual	TE = Terminated

Destruction of any official record listed herein must be authorized by the CEO or designee. (Gov. Code 60200-60204)

RECORDS TYPE/DESCRIPTION	DEPARTMENT	MINIMUM RETENTION PERIOD	LEGAL AUTHORITY
OFFICE OF CHIEF OF STAFF			
Administration			
Annexations, Reorganizations (<i>i.e. Notices, Resolutions, Certificates of Completion</i>)	Administration	PE	GC 60201(d)(1)
Articles of Incorporation and other records relating to formation	Administration	PE	GC 60201(d)(1)
Board Agenda	Administration	PE	GC 34090
Correspondence, CEO	Administration	LIFE+3	GC 34090
Minutes, Board (speaker slips and written public comment)	Administration	PE	GC 34090(e), GC 60201(d)(3)
Notices, Public Meetings	Administration	CU+2	GC 34090
Ordinances	Administration	PE	GC 34090(e), GC 60201(d)(3), GC 40806
Policies, Administrative	Administration	SU+2	GC 34090
Policies, Board	Administration	SU+2	GC 34090
Recordings, audio (<i>Board Meetings</i>)	Administration	PE	GC 34090
Records Destruction Authorization Forms	Administration	PE	GC 34090
Staff Reports	Administration	PE	GC 34090
General Records			
Correspondence, General (certified mail receipts)	All	CU+2	GC 34090
Correspondence, Project Related (including substantive emails)	All	CL+7	GC 34090
Reports (Departmental/Consultants)	All	SU+2	GC 34090
Recordings, audio (phones)	All	2 years	GC 34090.6, GC 53160
Manuals and Plans	All	SU+3	GC 34090
Administrative Policies and Standard Operating Procedures	All	SU+3	GC 34090
Newsletters	All	CU+5	GC 34090
Memorandum of Understanding/Memorandum of Agreement	All	CL+7	GC 34090

Certified Payroll	All	CL+7	GC 34090
Marketing & Communications			
Marketing Literature (<i>Ads, outreach materials, press releases, etc.</i>)	Marketing	CU+5	GC 34090
Intergovernmental Affairs			
Grants	Government Affairs	EX+2	GC 34090
Customer Experience			
Reduced Fare Application	Customer Exp	CU+3	49 CFR 37A, 37.3, 49 CFR 609
Reports, Rider (<i>Complaints and Feedback</i>)	Customer Exp	CU+10	GC 25105.5, 60201(d)(4)
Riders Guide	Customer Exp	CU+3	GC 34090

Chief People Division			
Maintenance Manuals (Buses, vehicles)	Bus Operations	LIFE+3	GC 34090
Collective Bargaining Agreements (<i>Labor agreements</i>)	HR	PE	29 CFR 516.5
Drug & Alcohol/MIS reports	HR	CU+5	29 CFR 1627.3(b)(1)(v)
Economic Interest Statements - Form 700	HR	CU+4	GC 81009(f),(g)
Employment, ERISA Record, Benefit plans	HR	CL+4	GC 34090
Employment, Personnel Files	HR	TE+5	GC 12946
Ethics Training Records (AB 1234)	HR	CU+5	GC 53235.2
Family and Medical Leave Act (<i>Federal</i>)	HR	TE+5	29 CFR 825.500
Recruitment Files (Applications)	HR	CU+3	GC 34090, SB807
Unemployment Insurance Records	HR	TE+5	CCP 337
Employee Medical & Exposure Records (<i>toxic substances or harmful physical agents</i>)	HR	TE+30	8 CCR 3204

BUS OPERATIONS			
Bus Operations			
Maintenance Manuals (Buses, vehicles)	Bus Operations	LIFE+3	GC 34090
Maintenance Records (Buses, Vehicles)	Bus Operations	LIFE+3	FTA Cir. 5010.1E
Maintenance Plans (Buses, Vehicles)	Bus Operations	LIFE+3	GC 34090
Performance Reports/Contract Deliverables	Bus Operations	CL+4	CCP 337
Recordings, video: BREEZE	Bus Operations	3 days	GC 53160, 34090(6),
Recordings, audio: BREEZE dispatch & LIFT Reservations	Bus Operations	2 years	GC 34090.6, GC 53160
Reports: Driver Vehicle Inspection Reports	Bus Operations	90 days	13 CCR § 1234; 49 CFR 396
American Disabilities Act (ADA/Paratransit) (<i>ADA review group minutes.</i>)	Bus Operations	CL+4	49 CFR 37A
ADA Appeals	Bus Operations	CU+3	49 CFR 37A
Service Requests/Charter Bus	Bus Operations	CU+3	GC 34090
Security Oversight			
Citations	Security	CL+3	GC 34090

DEVELOPMENT SERVICES			
Environmental Planning			
Environmental Impact Report/Statement (CEQA / NEPA)	Development Svcs	PE	GC 34090(a)
Environmental Permits	Development Svcs	SU+2	GC 34090

*Represents On-Board NCTD system capacity limits

Hazardous Materials (<i>Waste Disposal, Storage, Permits</i>)	Development Svcs	PE	GC 34090
Storm Water Maintenance Program/Plan Documents	Development Svcs	SU+5	40 CFR 122.26
Rail Engineering			
Bridge Rating Report	Engineering	PE	GC 34090
Bridge Inspection Report (Construction)	Engineering	PE	49 CFR 237.109
Bridge Inspection Report (Special/Annual)	Engineering	PE	49 CFR 237.109
Drainage Study	Engineering	SU+5	GC 34090(d)
Drawings, (<i>As-Builts</i>)	Engineering	PE	GC 34090
Engineering Project Files (includes AWW/FAWW, Exhibit A, minutes, design plans, estimates, comments & responses, traffic control plans, RFI's, inspection reports, submittals, specifications, encroachment permits, SWPPP, and drawings)	Engineering	CL+3	GC 60201(d)(12)
Track Inspection Records	MOW	SU+1	49 CFR 213.369; CPUC GO 143.B
Real Estate			
Denied Real Estate Submittals	Real Estate	CL+2	GC 34090
Insurance Certificates, Real Estate	Real Estate	EX+6	GC 34090
Permits: Right-of-Way, Work plans, Activity, Hazard Analysis, Construction Drawings, Communications	Real Estate	EX+6	GC 34090(a)
Real Property; (<i>including Abandonment, Acquisition, Disposition, Deeds, Titles, Easements, Appraisals, Surveys, Work plans, Leases, Licenses, Environmental</i>)	Real Estate	PE	GC 34090; 40 C. Real E.R. 141.91; CCP 337.2

FINANCE			
General Accounting (<i>Non-grant related</i>) (Bank Deposits, Bank Statements, Cash Receipts, Invoices to Customers, Journal Entries-Non-Project Related, Reconciliations)	Finance	AU+4	CCP 337
General Reports, Financial (<i>Includes Survey, Audits, Investments, State Controller</i>)	Finance	CU+3	GC 34090
Journal Entries – Project Related (State and Federal Grants)	Finance	CL+7 or AU+3, whichever is later	24 CFR 85.42
Journal Entries – Project Related (Proposition 1A and 1B)	Finance	CL+35	CAL-EMA-GMM 2011-09
Scanned Accounts Payable Checks	Finance	PE	GC 34090
Accounting, Permanent Books of Accounts	Finance	PE	26 CFR 1.6001-1(e)
Annual Financial Reports (<i>includes CAFR</i>)	Finance	PE	17 CFR 210
Audit Hearing, Review, Analysis, or Findings (<i>Includes Survey, Audits, Investments, State Controller</i>)	Finance	CL+7	GC 34090
Bonds, Authorizations, Public Hearing Records, Proposals	Finance	See Bond Terms	GC 34090
Fixed Assets (Grant Related)	Finance	AU+4 from Date Sold/Disposed	CCP 337

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		or Grant Terms, whichever is later	
Fixed Assets (Non-Grant Related)	Finance	AU+4 from Date Sold/Disposed	VC 9900 et seq.
Vehicle Ownership & Title (Non-Grant related)	Finance	<i>AU+4 from Date Sold/Disposed</i>	VC 9900 et seq.
Deferred Compensation Reports	Finance	CU+7	29 CFR 1627.3
Employee Expense Reports	Finance	CU+7	GC 60201(d)(12)
Payroll	Finance	CU+7	GC 60201(d)(12)
Tax Records - Employee Related	Finance	CU+7	GC 34090
NCTD Tax Filings (fuel, etc.)	Finance	CU+7	26 USC §6501, et. seq (IRS); CA RTC § 19066.5 (FTB)
Grants			
Grants (State and Federal)	Grants	CL+7 or AU+3, <i>whichever is later</i>	24 CFR 85.42
Grants (Proposition 1A and 1B)	Grants	CL+35	CAL-EMA-GMM 2011-09

OFFICE OF CHIEF GENERAL COUNSEL			
Claims	Chief General Counsel	CL+2	GC 60201(d)(4)
Legal Opinions	Chief General Counsel	SU+2	GC 34090
Litigation	Chief General Counsel	CL+2	GC 60201(d)(4)
Audits (<i>Non-financial; Regulatory; Non-Regulatory; External</i>)	Chief General Counsel	AU+10	GC 34090
Audits (<i>Non-Financial; Internal</i>)	Chief General Counsel	AU+10	GC 34091
Investigatory files (<i>Internal</i>)	Chief General Counsel	CL+5	CCP 337, 338, 342; GC 34090
Investigatory files (<i>EEO</i>)	Chief General Counsel	TE+4	GC 12946; 29 CFR 1602.14
Investigatory files (<i>Title VI, UNRUH, ADA</i>)	Chief General Counsel	CL+5	CCP 338, 340; 49 CFR 27.121
Reasonable Accommodations (<i>includes Religious</i>)	Chief General Counsel	TE+4	GC 12946, 29 CFR 1602.14
Disparity Study	Chief General Counsel	CU+2	GC 34090
DBE Reports	Chief General Counsel	CU+4	GC 34090, 49 CFR 26.11
Insurance Policies	Chief General Counsel	CL+4	CCP 337

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Public Records Request	Chief General Counsel	CU+2	GC 60201(d)(5); 1 CFR 304.10
Recordings, Audio or Video (Litigation)	Chief General Counsel	CL+2	GC 60201(d)(4)
Workers Compensation	Chief General Counsel	CL+5	8 CCR 10102
Safety Oversight			
Accident Reports (<i>General/Bus</i>)	Safety	CL+3	CCP 335.1
Accident Reports (Rail – FRA)	Safety	CU+5	49 CFR 225.25
Accident Reports (Rail – CPUC)	Safety	AU+3	CPUC GO 164-E
Accident, Damage to NCTD Property	Safety	CL+4	GC 34090, CCP 338
Audits (<i>Safety</i>)	Safety	CU+5	29 CFR 1904.33
OSHA (Risk Management and all non-exposure accident reports)	Safety	CU+5	29 CFR 1904.33
Investigatory Files (<i>Safety</i>)	Safety	CL+5	GC 34090

Procurement and Contract Administration			
Licenses, Software	IT	TE+2	GC 34090
Procurement File: Successful-Non-Construction, Non-Public Works includes maintenance agreements subject to prevailing wages (<i>including, but not limited to: legal docs, contract, amendments, PO's, insurance bond termination docs, procurement summary form, Bid letter, legal opinion, sole source, SSC reports, RFP, RFSQ, RFB, IFB, abstracts, addendums, vendor submittals, bid, proposals, notices of publication, and protest docs.</i>)	Procurement & Contract Admin	CL+7	GC 34090; GC 60201(d)(12)
Procurement File: Successful- Construction, and Public Works (<i>including but not limited to: legal docs, contract, change orders, PO's, insurance bond termination docs, procurement summary form, Bid letter, legal opinion, sole source, SSC Reports, RFP, IFB, abstracts, addendums, vendor submittals, bid, notices of publication, and protest docs.</i>)	Procurement & Contract Admin	TE+15	CA Contracting Code; GC 60201(d)(12)
Procurement File: Unaccepted Bids and Proposals	Procurement & Contract Admin	CL+2	GC 60201(d)(11)
Procurement and Contract Administration Division Policies and Procedures	Procurement & Contract Admin	SU+6	GC 34090
Procurement Manual	Procurement & Contract Admin	SU+6	GC 34090
Unqualified Bid List	Procurement & Contract Admin	TBD	NCTD Ordinance No. 6

Facilities and Project Management			
Drawings, (<i>As-Builts</i>)	Facilities	PE	GC 34090
Geotechnical Reports	Facilities	PE	GC 34090(d)
Hydraulics and Hydrology Reports	Facilities	PE	GC 34090
Environmental Hazard Report (asbestos, PCBs, lead)	Facilities	PE	GC 34090(a)
Contract Oversight Reports (<i>Contract Deliverables including QA Reports, PMR, PM Reporting, Change orders, schedule modifications</i>)	Facilities	CU+3	GC 34090
Facility Inspection Reports (Generators, Exit Lights and Signs, UPS systems, Key Audits, Access Badge Issuance audits, Corrective action/verification)	Facilities	CU+5	GC 34090(d)
Environmental Testing/Exposure Monitoring	Facilities	SU+5	GC 34090

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Facility Project Files (minutes, design plans, estimates, comments & responses, traffic control plans, RFIs, inspection reports, submittals, specifications, encroachment permits, SWPP, and drawings (includes storm water reports))	Facilities	LIFE+3	GC 34090
Leases; Facilities (<i>Equipment</i>)	Facilities	TE+5	CCP 337.2
Maintenance Records, Facilities (<i>Work orders</i>)	Facilities	LIFE+3	FTA Cir. 5010.1E
Maintenance and Operation Warranties and Manuals	Facilities	LIFE+3	GC 34090(d)
Permits, Facilities (<i>Equipment</i>)	Facilities	SU+2	GC 34090
Underground Storage Tank O&M	Facilities	PE	HSC: 25296.10 USEPA 42 U.S.C. §6912
Business Intelligence			
Materials Management			

INFORMATION TECHNOLOGY			
Licenses, Software	IT	TE+2	GC 34090
Rail Technologies			
Event Recordings (If pulled, retain per this schedule)	Rail Technologies	(see video retention)	49 CFR 236.1037

PLANNING			
Service Planning			
Schedules (<i>Bus, Rail</i>)	Service Planning	SU+3	GC 34090
Performance Reports, Annual, Quarterly	Service Planning	CL+4	CCP 337
Strategic Planning			
Planning Studies	Strategic Planning	CL+2	GC 34090

RAIL OPERATIONS			
Maintenance Manuals (Rail)	Rail Operations	LIFE+3	GC 34090
Maintenance Records (Rail)	Rail Operations	LIFE+3	FTA Cir. 5010.1E
Performance Reports/Contract Deliverables	Rail Operations	CL+4	GC 34090
Recordings, audio (Dispatch, Rail)	Rail Operations	2 years	GC 34090.6, GC 53160,
Recordings, video: COASTER (Passenger area)	Rail Operations	*5 days	GC 53160, 34090(6)
Recordings, video: COASTER (Inward and Outward facing video)	Rail Operations	*14 days	GC 53160, 34090(6)
Recordings, video: SPRINTER (On-Board)	Rail Operations	*16 Days	GC 53160, 34090(6)
GO-88 Related Documents	Rail Operations	CU+5	PUC 12014-1220
Hours of Service	OPS	SU+3	49 CFR 228.11; CPUC GO 143B

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RAIL RIGHT-OF-WAY			
Track Inspection Records	MOW	SU+1	49 CFR 213.369; CPUC GO 143.B
Configuration Control Management Plan	MOS	SU+3	49 CFR 236.1037
Field Configuration Management Plan	MOS	SU+3	49 CFR 236.1037
NCTD Master Test Plan	MOS	SU+3	49 CFR 236.1037
Operations Manual	MOS	SU+3	49 CFR 236.1037
PTC Communications Restoration Plan	MOS	SU+3	49 CFR 236.1037
PTC Development Plan	MOS	SU+3	49 CFR 236.1037
PTC Failure Backup Plan	MOS	SU+3	49 CFR 236.1037
PTC Implementation Plan	MOS	SU+3	49 CFR 236.1037
PTC Safety Plan	MOS	SU+3	49 CFR 236.1037
Training Program Plan	MOS	SU+3	49 CFR 236.1037
PTC Project files	MOS	CL+10	GC 34090
PTC Inspection	MOS	SU+1	49 CFR 236.1037
Training & Testing Records	MOS	1) LIFE of Equipment 2) Until next record filed, not < 1yr	49 CFR 236.1037 49 CFR 236.1043 49 CFR 236.110 49 CFR 236.587 49 CFR 236.917
Type Approval	MOS	SU+3	49 CFR 236.1037
Crossings Tests and Inspections	MOS	SU+3	49 CFR 234.109; CPUC GO 143B
Signal Tests and Inspections	MOS	SU+3	49 CFR 236.110; CPUC GO 143B
Hours of Service	MOS	SU+3	49 CFR 228.11; CPUC GO 143B

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