

# SANDAG Records Retention Schedule

	DEPARTMENT	RECORD CATEGORY	RETENTION (IN YEARS)	DESCRIPTION
1	<b>All Staff</b>	General Correspondence (Letters, Text Messages and Email)	2	General correspondence, including letters, text messages, and email, and various files not otherwise specifically covered by the retention schedule if needed or beneficial for future use or reference and retained for more than 60 days. Housekeeping matters are not SANDAG Business Records and may be deleted at any time.
2		Draft documents	see description	With regard to preliminary drafts, notes, and interagency and intra-agency memoranda, if retained for less than 60 days, and no longer needed for use or reference then should be disposed of. If retained for more than 60 days for use or reference, then must be kept for a minimum of 2 years. Please see Office of General Counsel for more information if needed.
3		Project Management Files	2	Substantive and necessary correspondence about a specific ongoing project. Information should include all staff meeting notes, team agendas, etc. See specific departments for additional guidance.
1	<b>Administration - Business Services</b>	Accidents, SANDAG Vehicles	5	
2		Accidents, Reports (other than employee)	3	
3		Affidavits of Publication/Posting of Legal and other Notices	2	Notices of public hearings and proof of publication notices; Legal notices for public hearings, publication of ordinances, etc.
4		Equipment Service and Maintenance (Non-Computer) Log Books	5	Daily logs of work performed and vehicle logs
5		Equipment Service and Maintenance (Non-Computer) Repair Records	3	
6		Inventories of Equipment	3	
7		Lease Agreement	until terminated + 4 years	Property and equipment
8		Recordings - routine video monitoring	1	Recordings of routine video monitoring, monitoring systems, or building security systems
9		Work/Orders Service Requests (Requests for maintenance on equipment)	2	

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1	<b>Administration - Contracts</b>	Agreements/Contracts	10 years from contract close-out (construction document timeframes may conflict)	This category of records includes all original contract files (including leases, license agreements, MOUs/MOAs, work orders, etc.) regardless of discipline/topic, task orders, amendments, and all documentation/correspondence related to contract management.
2		Bids and Proposals, Successful	10 years from contract close-out	Includes plan and specifications; notices/affidavits.
3		Bids and Proposals, Unsuccessful	2	
4		Procurement Documents	5	This category of records includes all original procurement related materials such as RFPs, RFQs, IFBs, prequalification requests, proposals and pricing data received, evaluation committee declarations, score sheets, all notices related to intent to award/negotiate. Note, this category does not include unsuccessful bids and proposals, see above for retention period.
5		Records of Safety Program Development and Training	3	Training attendance and certification 2 years under 29 CFR 1620.32
6		Vehicle ownership documents/titles	hard copy (original paper) permanent	
	<b>Administration - DBE/Small Business</b>	Records/documents	3	Records documenting SANDAG's attempt to provide economic opportunities to small and/or disadvantaged businesses.
1	<b>Administration - Human Resources</b>	Accident/Illness Report	Length of Employment plus 30 years	Exempt from public disclosure; For Employee Medical Records & Employee Exposure Records regarding exposure to toxic substances or harmful physical agents--includes Material Safety Data Sheets (MSDS) Does NOT include: records of health insurance claims maintained separate from employer's records; first aid records of one-time treatments for minor injuries; records of employees who worked less than one (1) year if records are given to employee upon termination.
2		Accidents/Damage to SANDAG Property	10	Risk management administration
3		Benefits, Retired Employee Files	Permanent	
4		Compensation Plans	6	

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5	<b>Administration - Human Resources</b>	Discipline Policy	Permanent	
6		DMV Driver's Records Reports (DMV pull-notice system)	until termination + 7 years	Motor vehicle pulls - personnel record - exempt from public disclosure.
7		Employee Benefits (including claims)	life of plan/policy + 6 years	Benefit plans (including "cafeteria" and other plans); health insurance programs; records regarding COBRA – extension of benefits for separated employees, insurance policies (health, vision, dental, deferred compensation, etc.), retirement plans and mandated programs (ie: unemployment and disability).
8		Employee Bonds	while employed + 2 years	Form of insurance that covers employer for losses resulting from fraudulent acts of specified employees.
9		Employee Files	Permanent	Personnel file - exempt from disclosure
10		Employee recruitment Information and Applicant Identification Records, Advertising	current + 2 years	Personnel data regarding race, sex, national origin of non-hired applicants & employees. Employee data must be kept separate from personnel files.
11		Employee Information, general	6	Includes name, address, date of birth, occupation.
12		Employee Information, payroll	7	Rate of pay and compensation earned, including deferred compensation documentation
13		Employee, Medical and Exposure Records (toxic substances or harmful physical agents)	while employed + 30 years	<p>Medical records are part of personnel file --not a public record. Includes medical records made or maintained by a physician, nurse, or other health care personnel, or technician pertaining to employees exposed to toxic substances or harmful physical agents.</p> <p>Does not include first-aid records of one-time treatment made on-site by a non-physician or observation of minor scratches, cuts, burns, splinters, etc., which do not involve medical treatment, loss of consciousness, restriction of work or motion, or transfer to another job.</p> <p>(For employees of less than 1 year, no need to retain medical records regarding exposure to toxic substances/harmful physical agents if they are returned to employee upon termination)</p>
14		Employee, Non-Safety	while employed + 3 years	Non-safety employee records may include: Release Authorizations; Certifications; Reassignments; outside employment; commendations, disciplinary actions; terminations; Oaths of Office; evaluations-pre-employee medicals; fingerprints; identification cards (IDs).
15		Employee Orientation	6	
16		Employee, Reports	while employed + 2 years	Employee statistics, benefit activity, liability loss

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17	<b>Administration - Human Resources</b>	Employment Eligibility Verification (I-9 Forms)	3 years after date of hire OR 1 year after date of termination, whichever is later	Federal Immigration and Nationality Act
18		Employment, Personnel Training (by name)	while employed + 2 years	Paperwork documenting internal and external training. See also Training section below.
19		Equal Employment Opportunity Commission (EEOC Records)	3	Records, reports showing compliance with federal equal employment requirements (EEO-4 Reports, etc.)
20		Family and Medical Leave Act	while employed + 3 years (federal) or 2 years (state)	Records of leave taken, SANDAG policies relating to leave, notices, communications relating to taking leave.
21		Grievances and Investigations	Permanent	
22		Insurance Bonds, Public Official	Permanent	
23		Job Descriptions and Specifications	6	Descriptions of duties, qualifications, responsibilities for each position/classification/job title.
24		New Position Requests	3	
25		Organization Charts	Permanent	
26		PERS Reports	Permanent	
27		Surveys, Employee opinions	2	GC 12946 does not discuss surveys/employee opinions
28		Training, Mandatory training programs	5	Includes ethics, sexual harassment and other mandatory trainings as well as all sign-in sheets/records of attendance and materials used in performing the training.
29		Unemployment Claims	Permanent	

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30	<b>Administration - Human Resources</b>	Wage Garnishment	active until garnishment is satisfied; then until audited + 4 years	wage or salary garnishment
31		Workers' Compensation Files	Permanent	Includes work-injury claims (including denied claims); claim files, reports, etc.
1	<b>Communications</b>	Language Assistance Program Policy and Procedure Documents	10	
2		Language Assistance Program: Translated SANDAG Documents	2	
3		Brochures, Reports, Publications and Newsletters	2	
4		Presentations and Speeches	2	
5		Marketing, Promotional and Advertising	2	Brochures, announcements, marketing campaigns, promotional events, etc.
6		Press Releases and Advisories	2	Related to SANDAG actions/activities
7		Public Ceremonies and Event Preparation	2	
8		Legally Required Advertising	4	
9		Public Inquiries Requests and Complaints	2	
10		Graphics and Images	2	

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1	<b>Construction/ Engineering</b>	Construction As-Built	Permanent	
2		Construction Records (See SANDAG Construction Manual for specific file codes)	10	Ten is the minimum standard. If the construction manual mandates a higher retention period then that retention period shall be used.
3		Comment Review Plans and Logs	10	
4		Designer or CM Project Reports or Tracking Docs	10	
1		Final Engineering Technical Reports (including basis of design reports)	Permanent	
2		Final Engineering Plans, Drawings, and Specifications	Permanent	
3		In-house Project Reports and Project Study Reports	Permanent	
4		Preliminary Engineering Plans	10	
5		Right of Way Maps	Permanent	
6		Soils Analysis and Final Soils Reports	Permanent	
7		Warranties on Equipment Purchases	Permanent	
1	<b>DAM - Applied Research Division</b>	Clearinghouse Records (crime, arrest, SCAAP, and jail data)	Permanent	Varies by application.
2		Substance Abuse Monitoring (interviews with arrestees and urinalysis results)	7	
3		Program Evaluations	7 years unless otherwise specified by the granting agency	

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1	<b>DAM - Arjis</b>	Grants	4	Minimum retention is four years unless otherwise specified by the granting agency.
2		License Plate Reader data	1	see MOA with the ARJIS member agencies
3		All other data (except LPR)	7	The MOA with the ARJIS member agencies calls for agreement on the number of years, currently policy established at 7 years for maintaining member agency related data (including crime mapping data).
4		User access logs	3	Those logs are maintained for three years per Department of Justice standards.
1	<b>DAM - Modeling</b>	Census/American Community Survey	Permanent	Files in SQL database.
2		Economic Demographic/Statistical Data for Agency Programs	2	Custom data for agency programs
3		Economic Forecasts	10	
4		Estimates	10	Annual estimates of population and housing characteristics.
5		Growth Forecasts used in Regional Plan	Permanent	
6		Transportation Models used in Regional Plan	Permanent	

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1	<b>DAM - Service Bureau / SourcePoint</b>	Contracts	Permanent	
2		Correspondence	2	
3		Final Reports	2	
4		Proposals for Work	2	
5		Travel Demand Modeling Products	8	Lifecycle policy in Board Policy 12 includes 8 years.
1	<b>DAM - Surveys</b>	Household Travel Behavior Survey	Permanent	Files in SQL database.
2		Onboard Transit Passenger Survey	Permanent	Files in SQL database.
3		Before-After Transit Studies	5	Before/after comparisons to estimate impact of new infrastructure.
4		Other surveys and studies	5	
1	<b>Executive Office/Clerk of the Board</b>	Agenda Packets	Permanent	Board of Directors and Policy Advisory Committee meeting agendas, reports, meeting minutes, resolutions, ordinances & Public Hearing Notices
2		Board of Directors and Policy Advisory Committee meeting audio tapes	90 days	Audio tapes are retained for 90 days in-house as back-up to electronic recordings, and then tapes are re-used. All audio tapes prior to 2009 (implementation of SoniClear) are housed off-site and kept as permanent record.
3		Board of Directors and Policy Advisory Committee Member Payments	7	
4		Bylaws, Governing Documents, and Board Policies	Permanent	
5		Conflict of Interest Code	Permanent	Required under the Political Reform Act; must be reviewed by July 1st of every even-numbered year and amended if necessary.



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6	<b>Executive Office/Clerk of the Board</b>	Internal Audit Reports	7	Audits completed by SANDAG's internal auditor
7		Legislative Working Files	2	Successful, pending, and failed legislative activities and general correspondence with elected officials at the federal, state, and local level.
8		Lobbying Reports & Registration Materials (includes FPPC non Form 700)	Permanent	Potential forms may include: FPPC Form 602 - lobbying firm activity authorization; FPPC form 635 - report of lobbyist employer & report of lobbying coalition - forms used when employing or contracting with a lobbying firm.
9		Political Support/Opposition	2	Requests and Responses
10		Procedure Manuals	2	Human Resources Manual, Procurement Manual and other documents that memorialize SANDAG internal policies and procedures.
11		Resolutions	Permanent	
12		Statements of Economic Interest - Form 700 copies	Current year + 1 year	Copies of original statements of elected officials, employees, and consultants filed with the County of San Diego
1	<b>Finance</b>	Accounts payable	7	Journals, journal voucher, statements, asset inventories, account postings with supporting documents, vouchers, investments, invoices and back-up documents, purchase orders, petty cash, postage, PERS reports, check requests, etc. (Secretary of State recommends until audited +4 years but permanent because of bonds)
2		Accounts receivable	7	
3		Annual Financial Report	7	Includes audit administration records and reports, audit hearing or review and independent auditor analysis
4		Annual Operating/C.I.P. Budget	Permanent	
5		Bank Account Reconciliations	5	Includes deposit correspondence, deposit slips, bank statements, receipts, certificates of deposit, etc.
6		Bonds	5	Authorization/public hearing records/prospectus/proposals/certificates/notices (transcripts)/registers/statements.

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7	<b>Finance</b>	Bonds – Employee (Fidelity Bonds)	2	Form of insurance that covers employer for losses resulting from fraudulent acts of specified employees
8		Credit Card Statements	7	
9		Electronic Transactions	5	
10		Fixed Assets	until audited + 4 years	reflects purchase date, cost, account number; includes information on disposal of property and all paperwork associated with asset ownership such as inventory and maintenance records.
11		Fixed Assets, Vehicle Ownership & Title	life of the asset + 3 years	Includes title transfers when vehicle is sold. All paperwork will be kept three years beyond the life or SANDAG ownership of the asset.
12		General Ledger	4	All annual financial summaries
13		Investment Documents	10	Investment documents include summary of transactions, inventory and earnings report, policies and procedures, month end reports, investment statements, and investment studies.
14		Invoices	until audited + 4 years	invoices from vendors and back-up documents
15		Payroll Records	8	Documents include Deferred Comp reports, Direct deposit, computer purchase plan, employee files, Form 1099s, leave registers, manual checks, payroll registers/reports/deductions/authorizations, time cards, quarterly tax reports, TDM back-up, W-2 registers, W-4 forms, Worker Comp reports and year-end reports.
15		Petty Cash Requests	3	
16		1098 and 1099 Tax Forms (Vendors)	8	
17		California State Tax Records	6	Forms filed annually; quarterly and year-end reports
18		Federal Tax Records	4	May include as attachments copies of Forms 1095-C, 1096, 1099, W-4 and W-2
19		Tax Returns	Permanent	

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20	<b>Finance</b>	Travel Expense Statements	7	
21		W-2 Register	Permanent	
1	<b>Legal</b>	Claims Against SANDAG	10	All claims and supporting materials including settlement agreements.
2		Disaster Preparedness Planning, Risk Management Reports, Studies and Surveys	5	
3		Fair Political Practices Commission Form 801	7	FPPC form showing payment or donation made to SANDAG or to a SANDAG official and which can be accepted as being made to SANDAG. A COPY MUST BE POSTED ON THE SANDAG WEBSITE.
4		Legal Opinions	Permanent	Confidential - not for public disclosure (attorney-client privilege)
5		Litigation Files	10	
6		Policies, Administrative/Internal Processes	2	All policies and procedures used to guide staff in their work for the agency
7		Public Records Requests	5	
8		Records Management Disposition/Destruction Certification	Permanent	Documentation of final disposition/destruction of hard copy records located at the SANDAG offsite facility.
9		Records Retention Schedule	2	Per Board Policy, the records retention schedule must be reviewed annually. Previous version must be retained for two years.
10		Voter Initiatives, Ordinances, and Ballot Measures	Permanent	

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	DEPARTMENT	RECORD CATEGORY	RETENTION (IN YEARS)	DESCRIPTION
1	<b>Operations</b>	Back-up of information on SANDAG network	6 weeks	Off-site back up tapes are for disaster recovery purposes only.
2		Environmental Quality, Asbestos	Permanent	Documents, abatement projects, public buildings.
3		Customer Account Information	Account Closure + up to 4.5 years	Includes records that are for FasTrak customers and non-FasTrak users (such as license plate photos), violation data, and information received from the DMV.
4		Fire and Safety Inspection Records	3	Record of annual fire inspections conducted.
5		Freeway Service Patrol/Call Box Data	7	
6		Hazardous Materials - Hazardous Waste Disposal	while current + 10 years	Documents regarding handling and disposal of hazardous waste. [Permanent retention of environmentally sensitive materials is recommended]
7		Hazardous Materials - Permits, Hazardous Materials Storage	while current + 2 years	Hazardous materials may include but not limited to pesticides for which materials may include application, inspection and sampling documentation. [Permanent retention of environmentally sensitive materials is recommended]
8		Hazardous Materials - Exposure Records, etc.	30	Employee exposure records; name/identity of chemical substance used; when & where chemical substance was used
9		Transportation System Performance Data	7 years or as long as useful	Includes ITS data, toll road usage data, revenue data and statistics, etc.
10		Maintenance Manuals and Repair Records	2	Equipment service/maintenance
11		Meter operations/readings	2	Reader reports; orders; tests; maintenance reports
12		Recordings - telephone communications from the Toll Operations Customer Service Center	2	Recording of telephone communications with those who call the Toll Operations Customer Service Center. If recordings relate to a claim or pending litigation, they must be preserved until the matter is resolved.
13		Transportation Demand Management Program data and statistics	10	Information includes participant data and statistics for the Guaranteed Ride Home, Bike Parking, Vanpool, and Rideshare programs. Data on participants will be retained for as long as the participant is involved in the program plus seven additional years after no longer in the program.
14		Administrative Policies, Rules and Regulations	Permanent	Rules, procedures and standards that govern the unique work done at the Toll Operations Center.

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15	<b>Operations</b>	Disaster Preparedness Planning	3	
16		Equipment Service and Maintenance (Non-Computer) Log Books	5	Daily logs of work performed and vehicle logs
17		Equipment Service and Maintenance (Non-Computer) Repair Records	3	
18		Inventories of Equipment	3	
19		Work/Orders Service Requests (Requests for maintenance on equipment)	3	
1	<b>Planning</b>	Airport Land Use Planning (CLUPs)	Permanent	AB93 formed the SDCRAA
2		Air Quality (Transportation program to improve air quality)	7	
3		Air Quality Conformity Planning	Permanent	
4		Beach Sand Monitoring Program	Permanent	
5		Final CEQA/NEPA documents for SANDAG projects	Permanent	Exemptions/Exclusion, Environmental Impact Report/Environmental Impact Statement, FONSI, initial studies, Mitigation monitoring, negative declaration, notices of completion and determination, comments, statements of overriding considerations, studies, etc.
6		Draft CEQA documents prepared by SANDAG as the lead agency and circulated for public review	Permanent	
7		Draft NEPA documents for SANDAG projects circulated for public review	Permanent	
8		Environmental Justice and Title VI	10	Programmatic and project specific documentation
9		Grant Administration and Oversight	5	Please check grant agreement for audit and retention timeframes. FTA Required Retention Period is three years (for grant-funded contracts/documents/records,) commences after completion of all FTA funded work and administrative matters are closed.

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10	<b>Planning</b>	Grants, Successful Applications	Granting agency requirement or 7	Follow state and federal grant requirements as applicable. Grant documents and all supporting documents: applications, reports, contracts, project files, proposals, statements, sub-recipient docket, environmental review, inventory, consolidated plan, etc.
11		Grants, Unsuccessful Applications	3	
12		Intergovernmental Review Letters	7	Letters produced by SANDAG staff shall be kept a minimum of 7 years to cover the time it would likely take to complete the project being reviewed.
13		Intergovernmental Review - Environmental documents received from other entities	2	Comments from SANDAG on Environmental documents received by SANDAG for review as the Clearinghouse.
14		Long-Range Planning Documents - Final Version	Permanent	This category includes records in the areas of energy, freight, binational, habitat, shoreline, sustainability, transportation, transit, active transportation, tribal, military, housing, and corridor planning studies.
15		Long-Range Planning Documents - Draft Versions	60 days or 2 years consistent with Board Policy No. 15	Keep as needed to inform final versions.
16		Preliminary Engineering and Technical Reports	10	Please check the Construction/Engineering Section for additional information.
17		Short-Range transit plans	Permanent	This category includes records in the areas of transit fare studies, coordinated plan, transportation development act performance monitoring, and passenger counting.
1	<b>Property Acquisition</b>	Abandonments/Vacations/Disposals of Right-of-way or relinquishment of Public Right-of-way	Permanent, unless originals are on file with Caltrans	Includes building condemnation and demolition.
2		Acquisitions of Real Property (Active) agreements, and relocations	Permanent, unless originals are on file with Caltrans	SANDAG owned shall be kept permanent and include all supporting documents regarding sale, purchase, exchange, lease or rental of property by SANDAG.
3		Correspondence and background information in Caltrans ROW	10	This includes documents related to abandonment/vacations/disposals of right-of-way or relinquishment of public right-of-way, acquisitions of real property, appraisals, agreements, and relocations of real property.
4		Appraisals	10	For real property owned by SANDAG - exempt from public disclosure until real estate transaction is complete.
5		Deeds, Real Property (Grant Deeds)	Permanent	File with recorded documents; originals may not be destroyed.

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6	<b>Property Acquisition</b>	Easements, Real Property	Permanent	File with recorded documents; originals may not be destroyed
7		Property Ownership Documents (deeds, easements, surveys, legal descriptions, etc.)	Permanent	
8		Temporary Easements	10 years after expiration	
9		Temporary Licenses	10 years after expiration	
10		Right of Entry Permits	10 years after expiration	
11		Lot Split documentation	Permanent	
12		Relocation documentation	10	
1	<b>TransNet</b>	TransNet 10-year comprehensive reviews	Permanent	
2		ITOC Annual Reports	Permanent	
3		RTP Revenue Forecast	10	
4		RTIP	Permanent	
5		State and Federal Funding Programs	10	This category includes records related to TDA claims, the STIP (including CMAQ), Prop 1B, Stimulus, SB 1, and similar funding sources.
6		TransNet Triennial Performance Audit reports	Permanent	
7		TransNet Plan of Finance (capital, operations)	Permanent	

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<p>Notes:</p> <ul style="list-style-type: none"> <li>- The applicable retention periods begin once a project has been closed out or final action has been taken, such as adoption by the Board.</li> <li>- All files may be kept in a digital format unless otherwise stated, such as conveyances of land, vehicle titles, etc.</li> <li>- All questions and concerns should be sent to the Office of General Counsel.</li> <li>- In the event of litigation, a program audit or review, an environmental review, or CPRA request, the usual retention period for business records may must be suspended and the records must be maintained in their original condition and format. Employees shall use reasonable means to preserve applicable records until such time as they are notified by Office of General Counsel or a Department Director that the matter has been resolved.</li> </ul>			
<p><u>Legal Authority Abbreviations</u></p>			
CCP - Code of Civil Procedure (California)			
CCR - California Code of Regulations			
CFR - Code of Federal Regulations			
GC - Government Code (California)			
H&S - Health & Safety Code			
R&TC - Revenue & Taxation Code (California)			
USC - United State Code			
LC - Labor Code (California)			
PC - Penal Code (California)			
S&H - Streets & Highways Code (California)			