

Capital Area Regional Tolling Authority
Board of Directors



Wednesday, October 14, 2026, at 1:00 p.m.
SACOG Board Room
1415 L Street, Suite 300
Sacramento, CA 95814

Consistent with California Government Code Section 54953, a meeting of the Board of Directors will be held in person.

Attend or watch

- Attend the meeting at the location noted above
- Watch on CARTA's [YouTube channel](#) where the meeting will be streamed. If you do not see the live broadcast, indicated by the red "live" icon, refresh your browser.

Provide public comment - Note: No public comment will be taken through live stream or by telephone

Comments will be taken on the item at the time it is taken up by the Board. Members of the public can participate in the meeting via written or verbal comments as described below.

• ***In-person:***

Public comment may be made in person at SACOG's offices or at an alternative meeting location designated on the agenda (if any). You will have 3:00 minutes to speak, unless a different time is set by the Chair. Please complete a speaker form and provide it to the clerk. If attending at the alternative meeting location, please inform a SACOG official in attendance that you request to speak.

• ***Written:***

Written comment may be submitted via email to the clerk at rtadevich@sacog.ca.gov or by regular mail sent to the SACOG offices (see address above). Written comment will be shared with the Board in advance of the meeting if received by the Clerk at least 24 hours prior to the meeting. Otherwise, comments will be shared after the meeting. Written comment will not be read into the record.

Agenda Timing: Time durations are estimates only. Action may be taken on any item on this agenda. The board may take up any agenda item at any time, regardless of the order listed.

Writings, Documents, Supplemental Materials: Any writings or documents provided to a majority of this board regarding any item on this agenda (other than writings legally exempt from public disclosure) are available on CARTA's website: <https://carta.ca.gov/board-meetings>

Accessibility and Title VI: CARTA provides access to all agenda and meeting materials online at <https://carta.ca.gov/>. Additionally, interested persons can sign up for email notifications at <https://carta.ca.gov/about>. CARTA provides modifications or accommodations, auxiliary aids or services, including receiving this agenda and attachments in an alternative format in order to participate in this meeting. CARTA also provides services/accommodations to individuals who are limited-English proficient who wish to address agency matters. For accommodation or translation assistance, please call (916) 321-9000, or for TDD/TTY dial 711, or email at contact@carta.ca.gov. We require three working days' notice to accommodate your request.

La CARTA puede proveer asistencia/facilitar la comunicación a las personas y los individuos con conocimiento limitado del inglés quienes quieran dirigirse a la agencia. Para asistencia, por favor llame al número 916.321.9000 o para TDD/TTY llame al numero 711, o email a contact@carta.ca.gov. Requerimos que solicite asistencia con tres días hábiles de anticipación para poderle proveer asistencia.

Pledge of Allegiance

Roll Call: Directors Aceves, Chapman, Kennedy, Vice Chair Early, Chair Villegas, and Ex-Officio Members Click, Deloria and Talamantes

Public Communications: Any person wishing to address the Board on any item not on the agenda may do so at this time. After ten minutes of testimony, any additional testimony will be heard following the action items.

Disclosures: Directors will disclose any item in which they have a conflict of interest under state law, and acknowledge whether they will recuse from that item. Among other state laws, the Levine Act may require recusal on items involving a contract or entitlement where a campaign donor is a participant.

Consent:

1. September 30, 2026, Meeting Minutes (0 minutes, Robert Tadevich, SACOG)
 - a. Issue: Approval of the meeting minutes from the prior CARTA Board meeting
 - b. Attachment 1A: Minutes

Action:

2. Records Retention Policy (5 minutes, Kathleen Aziz, CARTA)
 - a. Issue: Approval of CARTA's records retention policy
 - b. Attachment 2A: Staff Report
 - c. Attachment 2B: CARTA Retention Policy
 - d. Attachment 2C: CARTA Retention Schedule
 - e. Attachment 2D: Resolution

Information:

3. Equity Study Scope and Early Analysis (30 minutes, Tatum Lau, AECOM)
 - a. Issue: Discussion of Regional Toll Equity Study's scope and early analysis on precedents
 - b. Attachment 3A: Staff Report
 - c. Attachment 3B: Presentation
 - d. Attachment 3C: Study Schedule
4. Toll Revenue Investment Plan: Reserve, Replacement, Repayment Scenarios (40 minutes, Kathleen Aziz, CARTA)
 - a. Issue: Discussion of debt repayment, reserves, and toll system replacement cost scenarios for future Yolo 80 toll revenue
 - b. Attachment 4A: Staff Report
 - c. Attachment 4B: Presentation
 - d. Attachment 4C: List of Scenarios
5. CARTA Executive Director's Report (5 minutes, Kathleen Aziz, CARTA)
 - a. Issue: A brief report from the CARTA Executive Director
 - b. Attachment 5A: Staff Report
 - c. Attachment 5B: Presentation

Receive and File:

6. Caltrans Yolo 80 Construction Update (0 minutes, Gurtej Bhattal, Caltrans)
 - a. Issue: Informational report on status of Yolo 80 construction contract
 - b. Attachment 6A: Staff Report
 - c. Attachment 6B: Presentation
7. Yolo 80 Express Toll Lanes Bimonthly Communications Update (0 minutes, Marie Fiore, Drago Vantage)
 - a. Issue: Informational update on communications items
 - b. Attachment 7A: Staff Report
 - c. Attachment 7B: Presentation

Other Matters**Adjournment**

The next meeting of CARTA will be held on Wednesday, November 18, 2026, at 10:00 a.m. in the SACOG Board Room, 1415 L Street, Suite 300, Sacramento, CA.

This agenda and attachments are available on CARTA's website at <https://carta.ca.gov/>. CARTA is accessible to the disabled. As required by Section 202 of the Americans with Disabilities Act of 1990 and the Federal Rules and Regulations adopted in implementation thereof, a person who requires a modification or accommodation, auxiliary aids or services in order to participate in a public meeting, including receiving this agenda and attachments in an alternative format, should contact CARTA by phone at (916) 321-9000, email contact@carta.ca.gov or in person as soon as possible and preferably at least 72 hours prior to the meeting. Parking is available at the meeting location. To take transit to a meeting, go to [google.com/maps](https://www.google.com/maps).



Capital Area Regional Tolling Authority

Meeting Date: October 14, 2026

Agenda Item: 1

Approve Minutes of the September 30, 2026, Board Meeting

Prepared By: Robert Tadevich, SACOG

Attachments: Yes

Recommendation:

Staff recommend approval of the minutes as submitted.

Background:

The board met on September 30, 2026.

Discussion:

Each meeting the board is asked to approve the minutes (Attachment 1A) from the prior meeting.

Attachments:

1A: CARTA September 30, 2026, Minutes



CARTA Board of Directors

Draft Action Minutes

The CARTA Board of Directors met in person on September 30, 2026, at 10:00 a.m. at the CARTA office, 1415 L Street, Suite 300, Sacramento, CA.

Call to Order: Chair Villegas called the meeting to order at 10:00 a.m.

Present: Directors Aceves, Chapman, *Kennedy, ***Vice Chair Early, Chair Villegas and Ex-Officio Members Click and **Talamantes

Absent: Ex-Officio Member Deloria

Public Communications: Written comment was provided by Tyson Shower of Hanson Bridgett LLP raising concerns regarding the proposed award of the Yolo 80 Toll System Integration contract to Indra USA, Inc., and requesting further review before the contract is awarded.

Consent: It was moved, seconded (Early/Aceves) and passed by unanimous vote that the following Consent items be approved:

1. Minutes of the August 19, 2026, Board Meeting
2. Elect Workers' Compensation Coverage for Unpaid Volunteers
3. Toll Program Management Contract Amendment

Action:

4. Toll System Integrator Contract and Caltrans Fund Transfer Agreement

Chadi Chazbek, Kimley-Horn staff, and Kathleen Aziz, CARTA Executive Director, presented the report. Following discussion, a motion was made by Vice Chair Early, seconded by Director Aceves, and passed by unanimous vote that the CARTA Board:

1) Authorize the executive director to execute an agreement with Caltrans to receive \$40,047,429 of project funding to fund Toll System Integrator (TSI) and Back Office System (BOS) capital costs; and 2) award the Yolo 80 TSI contract to Indra USA, Inc. and authorize the executive director to execute a contract substantially similar to Attachment 4B, not to exceed \$46,636,089.

Public comment was provided by:

Saida Williams of Indra USA responded to concerns raised in a previously submitted public comment letter regarding Indra's qualifications and the procurement process. Indra stated that it met the solicitation requirements, including applicable licensing and

tolling-system experience requirements, and provided additional context regarding its experience and prior projects.

Tyson Shower raised concerns regarding Indra USA's qualifications and responsibility for the proposed contract, citing licensing, experience, and past project performance. He encouraged CARTA to conduct additional due diligence before proceeding with the contract award.

*Director Kennedy arrived for this item.

5. Fiscal Year 2026-2027 Budget Amendment #1

Kathleen Aziz, CARTA Executive Director, presented the report. Following discussion, a motion was made by Vice Chair Early, seconded by Director Aceves, and passed by unanimous vote that the CARTA Board:

Approve Amendment #1 to the Fiscal Year (FY) 2026-2027 Budget (Attachment 5B).

Information:

6. Toll Revenue Investment Plan Development Process

The Board received and reviewed this report, presented by Kathleen Aziz, CARTA Executive Director.

**Director Talamantes was absent for this item.

7. Yolo 80 Interim Use Update

The Board received and reviewed this report, presented by Gurtej Bhattal, Caltrans staff.

*Director Kennedy was absent for this item.

**Director Talamantes was absent for this item.

***Vice Chair Early was absent for this item.

8. CARTA Executive Director's Report

The Board received and reviewed this report, presented by Kathleen Aziz, CARTA Executive Director.

*Director Kennedy was absent for this item.

**Director Talamantes was absent for this item.

***Vice Chair Early was absent for this item.

Other Matters: None

Adjournment: The meeting was adjourned at 11:13 a.m.



Capital Area Regional Tolling Authority

Meeting Date: October 14, 2026

Agenda Item: 2

Approve CARTA Records Retention Policy

Prepared By: Kathleen Aziz, CARTA

Attachments: Yes

Recommendation:

Staff recommend that board adopt by Resolution 08-2026 a Records Retention and Destruction Policy for CARTA (Attachment 2B).

Background:

California Government Code 60200 et seq., authorizes the Board of Directors to destroy obsolete and unnecessary records by complying with a records retention policy schedule that has been adopted by resolution. This item adopts such a policy.

Discussion:

Staff, in partnership with legal counsel, have developed a Records Retention and Destruction Policy (Attachment 2B) that meets legal requirements for document retention and is appropriately consistent with CARTA's implementation partners, including its planned back-office partner agency, Toll Corridors Agency. The policy authorizes the Executive Director to make updates as needed to stay in compliance with state and federal laws and regulations.

Attachments:

2B: CARTA Retention Policy

2C: CARTA Retention Schedule

2D: Resolution

RECORDS RETENTION AND DESTRUCTION POLICY

Effective: October 7, 2026

I. WHO WE ARE

The Capital Area Regional Tolling Authority (CARTA)(“the Authority”) is a Joint Powers Authority (JPA) between the Sacramento Area Council of Governments, the Yolo Transportation District, and Caltrans District 3. Each of these agencies has appointed directors to serve on CARTA’s governing board. CARTA also includes non-voting directors from Sacramento Transportation Authority, Placer County Transportation Planning Agency, and El Dorado County Transportation Commission.

CARTA develops and operates toll facilities in the Sacramento region.

II. PURPOSE

The purposes of this policy are: (1) to provide guidelines to staff regarding the retention of records and the destruction of obsolete and unnecessary records of CARTA; (2) provide for the identification, maintenance, safeguarding of records; (3) the destruction of obsolete and unnecessary records in the normal course of business; (4) ensure prompt and accurate retrieval of records; and (5) ensure compliance with legal and regulatory requirements.

III. DEFINITIONS

The terms “record” and “records” used in this policy shall have the same meaning as the terms “public records,” “records,” and “writing” used in the California Secretary of State Local Government Records Management Guidelines and the California Public Records Act (Government Code § 7920-7931). Those terms are defined as follows:

From the California Secretary of State Local Government Records Management Guidelines:

“Public Records – 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.”

“Records – 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.”

From the California Public Records Act – Government Code section 7920.525(a) and Government Code section 7920.545:

GC 7920.525(a) As used in this division, “public records” includes any writing containing 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.

GC 7920.545 As used in this division, “writing” means any handwriting, typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and



every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored.

IV. AUTHORIZATION

(1) Under Government Code sections 60200 *et seq.*, the Board of Directors is authorized to destroy obsolete and unnecessary records by complying with a records retention policy and schedule that has been adopted by resolution. Pursuant to the resolution adopted by the Board of Directors, except where a record is expressly required to be preserved according to State or federal law, the Board of Directors approves the destruction of any original document without retaining a copy of the document as long as the retention and destruction of the document complies with the retention schedule as set forth in this policy (Gov. Code § 60201).

(2) Pursuant to the resolution adopting this policy, the Authority Executive Director has ongoing authorization to destroy any duplicate record, paper or document, in accordance with Government Code sections 53161 and 60200.

V. PROCEDURE

- A. The Authority Employee completes and signs a “Request for Destruction of Obsolete Records” form, listing the date and description of each document to be destroyed. A sample form is attached to this policy as Attachment “B” and is incorporated into this policy by this reference. The Authority Executive Director (or designee) shall have the authority to make any changes to this form which he or she deems necessary from time to time.
- B. The Authority Executive Director (or designee) checks the documents listed on the submitted form to confirm that each document is: (1) not required to be permanently retained, or (2) has been retained for the legally required period of time. The Authority Executive Director (or designee) confirms that any applicable reproduction requirements (i.e., electronic imaging, etc.) for each document are complete. The Authority Executive Director (or designee) verifies that the documents are not relevant to a lawsuit, a claim, or an investigation, or any similar proceeding, which is in progress or which may reasonably be anticipated.
- C. The Authority Executive Director (or designee) oversees the destruction of the documents and indicates the method of destruction on the form. The Authority Executive Director signs the form and files the original.
- D. The Authority Executive Director (or designee) will retain all original signed forms requesting destruction of records for a minimum period of two (2) years.
- E. The Authority Executive Director (or designee) will permanently retain documentation of all destroyed documents, which will include brief descriptions of the documents and their dates of destruction.

VI. GENERAL GUIDELINES

- A. The Authority Executive Director or designee shall be responsible for the



administration of this policy and shall assist all Authority personnel to comply with the provisions of this policy and with the Records Retention Schedule, set forth in Attachment "A" and incorporated into this policy by this reference.

B. The following general guidelines apply to all Authority records.

1. In addition to the retention periods required under this policy, the Authority shall retain original administrative, legal, fiscal and/or historical records with continued value (i.e., records for long-term transactions and/or special projects) until all matters pertaining to such records are completely resolved, or the time for appeals has expired. (Gov. Code 60201, subd. (d).
2. Pursuant to Government Code section 60201, the Authority shall not destroy any of the following records:
 - (a) Records relating to the formation, change of organization, or reorganization of the Authority;
 - (b) Resolutions adopted by the Authority, unless they have been repealed or have become invalid or otherwise unenforceable for five years;
 - (c) Minutes of any meeting of the Authority Board of Directors;
 - (d) Records relating to any pending claim or unresolved litigation, or any settlement or other disposition of litigation less than (2) years old;
 - (e) Records that are the subject of any pending request for records under the California Public Records Act, whether or not the record is exempt from disclosure, until two (2) years after the request has been granted or denied in writing by the Authority;
 - (f) Records relating to any pending construction that the Authority has not accepted or as to which a stop notice claim may be legally presented;
 - (g) Records relating to any nondischarged debt of the Authority;
 - (h) Records relating to the title to real property in which the Authority has an interest;
 - (i) Records relating to any nondischarged contract to which the Authority is a party;
 - (j) Records that have not fulfilled the administrative, fiscal, or legal purpose for which they were created or received;

The originals of the records listed above are to be retained in their original format, whether the original is a hard (paper) copy or is in electronic format.

VII. EXCEPTIONS TO SCHEDULED DISPOSAL OF OBSOLETE RECORDS

Scheduled disposal of records that have met or exceeded their retention periods must be



postponed if the records are responsive to, subject to, or relate in some way to any of the following:

- A. A pending Public Records Act request received by the Authority;
- B. A subpoena served on the Authority;
- C. A Request for Production received by the Authority from an opposing party in litigation;
- D. A court order;
- E. A litigation hold or request for preservation of evidence received by the Authority; or
- F. A claim filed against the Authority under the Government Claims Act.

The above exceptions apply to all records, regardless of physical form or characteristics, or the manner in which the record has been stored.

VIII. RECORDS RETENTION SCHEDULE

The “Records Retention Schedule” is attached to this policy as Attachment “A” and is incorporated herein by reference. This policy and the Records Retention Schedule comply with the records retention guidelines provided by the California Secretary of State and may be updated by the Authority Executive Director (or designee) as needed in order to stay in compliance with federal and State laws and regulations.

IX DATA RETENTION

- A. All stored data at the Host level shall meet the following minimum retention requirements without adverse system performance impact:
- B. All Lane Transactions including Exceptions shall be stored for four years and six months.
- C. Trip Transactions and their corresponding Commercial Back Office (CBO) reconciliation data shall be stored for four years and six months.
- D. All data necessary to run monthly and annual financial reports shall be stored for four years and 6 months.
- E. All data related to pricing, including, but not limited to, toll rates, supporting traffic data, sign displays, historical toll rates, pricing algorithm versions, incident reports, etc. shall be stored for a minimum of five years.



- F. All data needed to follow audit trails regarding adjustments, toll rate corrections, and toll rate overrides shall be stored for a minimum of five years. All other data types, including but not limited to alarms, events, user rights tables, and CBO file exchanges shall be stored for a length of time to be determined during design.
- G. Images associated with transactions posted to accounts will be stored for 1 year and images associated with violation transactions will be stored for 2 years.
- H. The Roadside Toll System (RTS) shall allow authorized users to configure the deletion of data, as approved by CARTA during design.
- I. Retention requirements shall be configurable.

X. EMAIL RETENTION

Email generates correspondence and other documentation which may be recognized as Official Authority Records in need of protection/retention in accordance with the California Public Records Act. The email system is only intended as a medium of communication only. Therefore, the email system should not be used for the electronic storage or maintenance of documentation, including, but not limited to, Official Authority Records.

If an email message, including any attachments thereto can be considered an Official Authority Record, as defined by the Authority Executive Director, such emails should be stored in an electronic system outside the email system. Generally, the sender of the email should be the person responsible for filing it accordingly, but persons responsible for a particular program or project file shall be responsible for retaining all email they send or receive related to that program or project.

Although the System Administrator will automatically delete any data stored in Authority inboxes that is ninety (90) days old, individual employees are responsible for the management of their mailboxes and associated folders. To ensure maximum efficiency in the operation of the email system, staff is encouraged to delete email messages from their inboxes once they are no longer needed. All deleted items will be held in a "deleted items file" for only seven days.

It is the responsibility of individual employees to determine if email is an Official Authority Record which must be retained in accordance with the Authority's Record Retention Schedule. The Authority Executive Director will assist employees in making such a determination. Employees should keep in mind, however, that preliminary drafts, notes or interagency or intra-agency memoranda which are not retained by the Authority in the ordinary course of business are generally not considered to be Official Authority Records subject to disclosure. Employees are encouraged to delete documents which are not otherwise required to be kept by law, or whose preservation is not necessary or convenient to the discharge of your duties or the conduct of the Authority's business.

Periodically, the Authority receives requests for inspection or production of documents pursuant to



the Public Records Act, as well as demands by subpoena or court order for such documents. In the event such a request or demand is made for email, the employees having control over such email, once they become aware of the request or demand, shall use their best efforts, by any reasonable means available, to temporarily preserve any email which is in existence until it is determined whether such email is subject to preservation, public inspection or disclosure. The Authority General Manager shall be contacted regarding any such emails within the employee's control.



ATTACHMENT "A"
RECORDS RETENTION SCHEDULE

[See Separate Attachment 2C]



ATTACHMENT "B"

REQUEST FOR DESTRUCTION OF OBSOLETE RECORDS FORM

[See Next Page]



CAPITAL AREA REGIONAL TOLLING AUTHORITY
REQUEST FOR DESTRUCTION OF OBSOLETE RECORDS

To:

From:

Subject: Request for Destruction of Obsolete Records

I am requesting approval to destroy the obsolete records listed below.

DATES OF RECORDS	DESCRIPTION OF RECORD

(If additional space is needed to describe records, please attach additional
pages.) APPROVED

Employee Name & Title

Date

Executive Director

Date

The obsolete records described above or on any attached pages were destroyed under my supervision using the following method: ☐ Shredding ☐ Other
(specify method)

I certify that such destruction meets the requirements of the Capital Area Regional Tolling Authority Records Retention and Destruction Policy and Records Retention Schedule adopted on _____, and all applicable requirements of State and federal law.

RECORDS RETENTION SCHEDULE FOR CAPITAL AREA REGIONAL TOLLING AUTHORITY

Destruction of any record must be authorized by the legislative body. (Gov. Code §§ 60200 - 60204.)

Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Accident/Illness Reports	Administration	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	GC 7927.700 8 CCR 3204(d)(1)(A)(B)	Length of employment plus 30 years
Accidents/Damage to Authority Property	Administration	Risk management administration	CCP 337.15	10 years

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		

RECORDS RETENTION SCHEDULE FOR CAPITAL AREA REGIONAL TOLLING AUTHORITY

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Accounting Records – General Ledger	Finance	General Ledger	CCP 337 Sec. of State Local Gov't. Records Retention Guidelines	Permanent
Accounting Records – - Permanent Books of Accounts	Finance	Records showing items of gross income, receipts and disbursement (including inventories, per IRS regulations)	26 CFR 1.6001-1(c) & (e)	Permanent
Accounts Payable	Finance	Journals, 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. Expense reimbursements to employees & officers; travel expense reimbursements or travel compensation	CCP 337 26 CFR 31.6001-1(e)(2); Sec. of State Local Gov't Records Mgmt. Guidelines recommendation GC 60201(d)(12)	Until audited + 4 years 7 years after date of payment

Legal Authority Abbreviations

CCP Code of Civil Procedure (California)
CCR California Code of Regulations
CFR Code of Federal Regulations
EC Elections Code (California)

GC Government Code (California)
H&S Health & Safety Code
R&TC Revenue & Taxation Code (California)
USC United States Code

LC Labor Code (California)
PC Penal Code (California)
PRC Public Resources Code (California)

RECORDS RETENTION SCHEDULE FOR CAPITAL AREA REGIONAL TOLLING AUTHORITY

Destruction of any record must be authorized by the legislative body. (Gov. Code §§ 60200 - 60204.)

Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Accounts Receivable	Finance	Receipts for deposited checks, coins, currency; checks received, reports, investments, receipt books, receipts, cash register tapes, payments for fees, permits, etc.	CCP 337 26 CFR 31.6001-1(e)(2); Sec. of State Local Gov't Records Mgmt. Guidelines recommendation	Until audited + 4 years
Affidavits of Publication / Posting	Administration	Legal notices for public hearings, publication of ordinances, etc.	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	2 years
Agency Report of Consultants (FPPC Form 805)	Administration	Identifies consultants hired by the Authority who must file Form 700	2 CCR 18734; GC 81009(e)	7 years
Agency Report – Events and Ticket/Pass Distribution (FPPC Form 802)	Administration	Report of tickets/passes; identifies persons who received tickets/passes and describes the public purpose for the distribution	GC 81009(e)	7 years

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CFR	Code of Federal Regulations	R&TC	Revenue & Taxation Code (California)	PRC	Public Resources Code (California)
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RECORDS RETENTION SCHEDULE FOR CAPITAL AREA REGIONAL TOLLING AUTHORITY

Destruction of any record must be authorized by the legislative body. (Gov. Code §§ 60200 - 60204.)

Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Agency Report of Public Official Appointments (FPPC Form 806)	Administration	Report of additional compensation received by agency officials when appointing themselves to committees, boards or commissions of other public agencies, special Authorities, joint powers agencies or joint powers authorities. Current report must be posted on the agency's website.	FPPC Reg. 18702.5(b)(3); GC 34090	Length of appointment + 2 years
Agenda / Agenda Packets	Administration	Original agendas / special meeting notices / certificates of posting, etc. - Board of Directors meetings	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Current + 2 years
Agenda reports (staff reports)	Administration	Documentation received, created and/or submitted to Board of Directors	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Current + 2 years

Legal Authority Abbreviations

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RECORDS RETENTION SCHEDULE FOR CAPITAL AREA REGIONAL TOLLING AUTHORITY

Destruction of any record must be authorized by the legislative body. (Gov. Code §§ 60200 - 60204.)

Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Agreements (see also Contracts)	Administration	Original contracts and agreements and back-up materials, including leases, license agreements, service/maintenance contracts, etc.	CCP 337 CCP 337.2 CCP 343	4 years after termination/ completion
		Original contracts/agreements regarding the development of real property, design, specifications, surveying, planning, supervision, testing, or observation of construction or improvement to real property; may include records of retention releases, retention withheld, change orders, etc.	CCP 337.15	10 years after termination/completion
Annexations / Reorganizations	Development	Notices, Resolutions, Certificates of Completion (Documents should be retained in original format, whether hard copy or electronic)	GC 34090 GC 60201(d)(1)	Permanent
Annual Comprehensive Financial Reports (ACFR)	Finance	Finance	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines; CCP 337	Until audited + 4 years

Legal Authority Abbreviations

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Appraisals	Development	For real property owned by Authority – Exempt from public disclosure until real estate transaction is complete	GC 34090 GC 7928.705	2 years
Articles of Incorporation	Administration		GC 34090 GC 60201	Permanent
Audit Reports	Finance	Financial services; internal and/or external reports	GC 60201 CCP 337, 343 Sec. of State Local Gov't Records Mgmt. Guidelines	Permanent
Audit Hearing or Review	Finance	Documentation created and or received in connection with an audit hearing or review	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	2 years
Backflow Test Reports	Public Works	Reports of testing and maintenance – water supply	17 CCR § 7605	3 years

Legal Authority Abbreviations

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RECORDS RETENTION SCHEDULE FOR CAPITAL AREA REGIONAL TOLLING AUTHORITY

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Bank Account Reconciliations	Finance	Bank statements, receipts, certificates of deposit, etc.	26 CFR 31.6001-1(e)(2)	Audited + 5 years
Behested Payment Report (FPPC Form 803)	Finance	FPPC form used by elected officials to disclose payments made at their behest (\$5,000 or more from same source) for legislative, governmental, or charitable purposes.	GC 81009; 82015(b)(2)(B)(iii)	7 years
Bids, Successful	Development	Includes plan and specifications; notices/affidavits.	GC 34090 CCP 337, 337.1	4 years
Bids, Unsuccessful	Development	Unsuccessful bid packages only (Documents should be retained in original format, whether hard copy or electronic)	GC 34090 GC 60201	2 years
Billing records	Finance	Utility bill stubs – submitted with payment	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Current + 2 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Bonds	Finance	Authorization/public hearing records/prospectus/proposals/certificates/notices (transcripts)/registers/statements.	CCP 337.5	Upon cancellation, redemption, or maturity + 10 years
Bonds – Employee (Fidelity Bonds)	Finance	Form of insurance that covers employer (Authority) for losses resulting from fraudulent acts of specified employees	GC 34090	Current + 2 years
Bonds – Paid/Cancelled	Finance	Paid or cancelled bonds; warrant certificates; interest coupons	CCP 337.5	10 years
Bonds – Unsold/Unused	Finance	Unsold/unused bonds	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines; GC 43900 et seq.	2 years (specific requirements for disposal of unused bonds)
Bonds - Final	Finance	Final bond documentation; monthly statement of transactions; supporting documents	CCP 337.5	Upon cancellation, redemption, or maturity + 10 years
Bonds, Development	Finance	Housing; Industrial Development	CCP 337.5	Upon cancellation, redemption, or maturity + 10 years

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Bonds, Surety	Finance	Documentation created and/or received in connection with the performance of work/services for the Authority	CCP 337	4 years
Brochures/ Publications	Administration	Retain selected documents only for historic value.	GC 34090 Sec. of State Local Gov't Records Mgmt. Guidelines	Current + 2 years
Budget, Annual	Finance	Annual operating budget approved by legislative body	GC 34090 Sec. of State Local Gov't Records Mgmt. Guidelines	Permanent
Cal-OSHA	Administration	Log of work related injuries & illnesses (Form 300), Annual Summary (Form 300A), Incident reports (Form 301)	LC 6410; 8 CCR 14300.33	5 years
California State Tax Records	Finance	Forms filed annually; quarterly and year-end reports	R&TC 19530 R&TC 19704	6 years

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Checks – Authority-issued	Finance	Authority checks paid – expense reimbursement to employees; payments to independent contractors; etc. Includes check copies; canceled or voided checks; electronic versions of checks	GC 60201(d)(12) CCP 337	7 years
		Authority checks paid to vendors; other Authority payments. Includes check copies; canceled or voided checks; electronic versions of checks.	Sec. of State Local Gov't. Records Mgmt. Guidelines; CCP 337; 26 CFR 31.6001-1(e)(2)	Until audited + 4 years
Claims Filed Against the Authority	Administration	Government Claims Act – Claims paid/denied (Documents are to be retained in original format, whether hard copy or electronic)	GC 60201(d)(4); GC 34090	Until settled + 2 years
Collective Bargaining Agreements	Administration	Memoranda of Understanding (MOUs) with employee unions; represented employee groups	29 CFR 516.5(b)	Current + 3 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Complaints – Customer Complaints – Water Quality, Water Outages	Customer Relations	Customer complaints regarding water quality – odor, taste, appearance; or water outages	40 CFR 122.41(j)(2) 22 CCR 64470	5 years
Complaints - Miscellaneous	Administration	Miscellaneous complaints, not related to specific lawsuits involving the Authority and not otherwise specifically covered by the retention schedule.	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	2 years
Comprehensive Annual Financial Reports (ACFR, formerly CAFR) (See Annual Comprehensive Financial Reports)	Finance	Finance	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines; CCP 337	Until audited + 4 years
Conflict of Interest Code	Administration	Conflict of Interest Code – required under Political Reform Act; must be reviewed by July 1st of every even-numbered year and amended if necessary	GC 87300 et seq.	Permanent

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Contracts (see also Agreements)	Administration	Original contracts and agreements and back-up materials, including leases, service/maintenance contracts, etc.	CCP 337 CCP 337.2 CCP 343	4 years after termination/ completion
		Original contracts/agreements regarding the development of real property, design, specifications, surveying, planning, supervision, testing, or observation of construction or improvement to real property; may include records of retention releases, retention withheld, change orders, etc .	CCP 337.15	10 years after termination/completion

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Correspondence	Administration	General correspondence regarding Authority business, including but not limited to letters, email, and text messages; Posts/comments on Authority-owned social media accounts	GC 34090; Sec. of State Local Gov. Recordapps Mgmt. Guidelines	2 years
Credit Cards, Authority-owned	Finance	Credit card bills or statements, and other records related to use of Authority-owned credit cards	26 CFR 31.6001-1(e)(2)	Until audited + 4 years
Deeds, Real Property (Grant Deeds)	Development	File with recorded documents; originals may not be destroyed. (Documents are to be retained in original format, whether hard copy or electronic)	GC 34090 GC 60201(d)	Permanent
Deferred Compensation Reports	Finance	Finance - pension/retirement funds	29 CFR 516.5 29 CFR 1627.3	3 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Demographic/ Statistical Data	Administration	Raw demographic, land use, and economic data from external agencies (e.g., Census, ACS, EDD), including base-year datasets used for modeling and GIS Intermediate datasets, GIS shapefiles, model inputs and outputs, and scenario analysis used in planning documents	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Current + 2 years
DMV Driver's Records Reports (DMV Pull-Notice System)	Administration	Motor vehicle pulls – Personnel record—Exempt from public disclosure.	GC 34090 GC 7927.700 VC 1808.1(c) Sec. of State Local Gov't. Records Mgmt. Guidelines;	Until superseded (should receive new report every 12 months) Sec. of State recommends until termination + 7 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Easements, Real Property	Development	File with recorded documents; originals may not be destroyed. (Documents are to be retained in original format, whether hard copy or electronic)	GC 60201(d)(8)	Permanent
EEOC Records (Equal Employment Opportunity Commission)	Human Resources	Records, reports showing compliance with federal equal employment requirements (EEO-4 Reports, etc.)	29 CFR 1602.30	3 years
Election - Ballots - Prop. 218 (Assessment Authorities)	Administration	Ballots - Property related fees (assessment ballot proceeding) [Ballots are disclosable public records during and after tabulation]	GC 53753(e)(2)	2 years
Election Petitions - Initiative/Recall/Ref. Charter Amendments	Administration	Not a public record - documents resulting in an election - retention is from election certification	EC 17200, 17400 GC 7924.100; EC 17400; GC 34458-60	8 months
Election Petitions - No election	Administration	Not a public record. Not resulting in an election. Retention is from final examination	EC 17200, 17400 GC 7924.100	8 months

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Election Petitions – No election (examined by proponents)	Administration	Not a Public Record. Not resulting in an election. Retention is from date last examined by the proponents	EC 17200, 17400 GC 7924.100	12 months
Employee Benefits	Administration	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.)	29 USC 1027 28 CCR 1300.85.1 11 CCR 560 29 CFR 1627.3(b)(2)	For life of plan/policy + 6 years
Employee Bonds (Fidelity Bonds)	Administration	Form of insurance that covers employer for losses resulting from fraudulent acts of specified employees	GC 34090; Sec. of State Local Gov’t Records Mgmt. Guidelines	While employed + 2 years
Employee Files	Administration	Personnel files – Exempt from disclosure	GC 12946 GC 7927.700	While current + 2 years
Employee Information, General	Administration	Name, address, date of birth, occupation	29 CFR 1627.3(a) LC 1174	3 years

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Employee Information, Payroll	Administration	Rate of pay and weekly compensation earned (Documents are to be retained in original format, whether hard copy or electronic)	GC 60201 29 CFR 1627.3(a)	7 years
Employee Information - CEIR	Administration	Personnel--California Employer Information Report (for employers of 100 or more employees)	2 CCR 11013(a), (c)(2) GC 12946	2 years
Employee Information & Applicant Identification Records	Administration	Personnel--Data regarding race, sex, national origin of non-hired applicants & employees [Employee data must be kept separate from personnel files]	2 CCR 11013(b), (c)(2), (c)(3)	Current + 2 years

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Employee, Medical & Exposure Records (toxic substances or harmful physical agents)	Administration	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. Does <u>not</u> 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. (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)	GC 7927.700 29 CFR 1910.1020 8 CCR 3204 (d)(1)(A)(B)	Length of employment + 30 years

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Employee, Non-safety	Administration	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 (ID's)	29 CFR 1627.3 GC 12946	Length of employment + 3 years
Employee Programs	Administration	Includes EAP and Recognition	GC 34090 GC 12946	Current + 2 years
Employee, Recruitment	Administration	Alternate lists/logs, ethnicity disclosures, examination materials, examination answer sheets, job bulletins	GC 12946 GC 34090 29 CFR 1602.31 29 CFR 1627.3	Current + 3 years
Employee, Reports	Administration	Employee statistics, benefit activity, liability loss	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Current + 2 years

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Employee, Safety	Administration	Police, fire, emergency employees may include: Release authorizations; certifications; reassignments; outside employment; commendations; disciplinary actions; terminations; Oaths of Office; evaluations-pre-employment medical evaluations	29 CFR 1627.3 29 CFR 1602.31 29 CFR 516.6 et. seq. 45 CFR 1068.6(a) GC 34090 GC 12946	Current + 3 years
Employment Applications - Not Hired	Administration	Applications submitted for existing or anticipated job openings, including any records pertaining to failure or refusal to hire applicant	GC 12946 29 CFR 1627.3(b)(1)(i)	2 years
Employment Eligibility Verification (I-9 Forms)	Administration	Federal Immigration and Nationality Act	8 USC 1324a (b)(3)	3 years after date of hire, or 1 year after date of termination, whichever is later
Employment - Personnel (by name)	Administration	Paperwork documenting internal and external training	GC 12946	Length of employment + 2 years
Employment - Public Safety	Administration	Certification/designations	GC 34090 GC 12946	Length of employment + 2 years

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Employment - Surveys and Studies	Administration	Includes classification, wage rates	29 CFR 516.6(a)(2)	2 years
Employment - Training Records, Non-Safety	Administration	Volunteer program training - class training materials, internships	GC 34090 GC 12946	Length of employment + 2 years
Employment - Vehicle Mileage Reimbursement Rates	Administration	Annual mileage reimbursement rates	GC 60201(d)(10)	Until superseded
Environmental Quality Air Quality (AQMD)	Development	Participants/voucher logs, Total Daily Mileage Survey (TDM); various local authorities; Commute Alternative	CCP 338(k); GC 34090	3 years
Environmental Quality Asbestos	Development	Documents, abatement projects, public buildings	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Permanent

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Environmental Quality California Environmental Quality Act (CEQA)	Development	Exemptions, Environmental Impact Report, Mitigation monitoring, negative declaration, notices of completion and determination, comments, statements of overriding considerations	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines; CEQA Guidelines CEQA Guidelines Golden Door Properties, LLC v. Superior Court (2020) 53 Cal.App.5th 733; PRC 21167.6	Permanent CEQA Drafts Released to the public for review must be retained 2 years
Environmental Quality Congestion Management	Development	Ride sharing, trip management	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Completion + 2 years
Environmental Quality Environmental Review	Development	Correspondence, consultants, issues, conservation	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Completion + 2 years

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Environmental Quality Pest Control	Development	Pesticide applications, inspections and sampling documents	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Completion + 2 years
Environmental Quality Soil	Development	Analysis, construction recommendations	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Completion + 2 years
Environmental Quality Soil Reports	Development	Final Reports	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Permanent
ERISA Records (Employee Retirement Income Security Act)	Administration	Employee Retirement Income Security Act of 1974 - plan reports, certified information filed	29 USC 1027	6 years after date filed

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Ethics Training Records	Administration	Records required to be kept. Records must show dates that local officials and designated staff satisfied the training requirements and the entity that provided the training	GC 53235.2	5 years after receipt of training
Family and Medical Leave Act	Administration	Records of leave taken, Authority policies relating to leave, notices, communications relating to taking leave	29 CFR 825.500 GC 12946	While employed + 2 years
Federal Tax Records	Finance	May include as attachments copies of Forms 1095-C, 1096, 1099, W-4 and W-2	26 CFR 31.6001.1-4 26 CFR 31.6001-1(e)(2) 29 CFR 516.5-516.6	Current + 4 years
Fire Safety Administration	Public Safety	General orders, policies & procedures	GC 34090	Until superseded + 2 years
Fixed Assets Inventory	Finance	Reflects purchase date, cost, account number	GC 34090 CCP 337, 343	Until audited + 4 years

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Fixed Assets Surplus Property	Finance	Auction; disposal – Listing of property; sealed bid sales of equipment	GC 34090 CCP 337, 343	Until audited + 4 years
Fixed Assets Vehicle Ownership & Title	Finance	Title transfers when vehicle is sold.	VC 9900 et. seq.; GC 60201(d)(10)	Until sold
Fund Transfers	Finance	Internal; bank transfers & wires	CCP 337; 26 CFR 31.6001-1(e)(2)	Until audited + 4 years
General Ledgers	Finance	All annual financial summaries--all agencies	GC 34090 CCP 337 Sec. of State Local Gov't Records Mgmt. Guidelines	Permanent

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Gift to Agency Report (FPPC Form 801)	Administration	FPPC form showing payment or donation made to the Authority or to a Authority official and which can be accepted as being made to the Authority	2 CCR 18944(c)(3)(F), (G); FPPC Fact Sheet : “Gifts to an Agency – Part 2	7 years
Gifts/Bequests	Finance	Receipts or other documentation	GC 34090	Until completed + 2 years
GIS Enterprise Database	Centralized GIS datasets maintained as authoritative system records		GC 34090	Permanent
Grants - Successful Community Development Block Grant (CDBG); Urban Development; other Federal and State grants	Development	Grant documents and all supporting documents: applications, reports, contracts, project files, proposals, statements, sub-recipient dockets, environmental review, inventory, consolidated plan, etc.	GC 34090 24 CFR 570.502 24 CFR 85.42	Until completed + 4 years
Grants – Unsuccessful	Development	Applications; Documents showing rejection or denial of application	GC 34090; Sec. of State Local Gov’t Records Mgmt. Guidelines	2 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Hazardous Materials - Hazardous Waste Disposal Records	Public Safety	Documents regarding handling and disposal of hazardous waste [Permanent retention of environmentally sensitive materials is recommended]	H&S 117945 H&S 118165 22 CCR 66279.91 3 CCR 6624(g)	While current + 3 years
Hazardous Materials - Permits, Hazardous Materials Storage	Public Safety	[Permanent retention of environmentally sensitive materials is recommended]	H&S 117945 H&S 118165 22 CCR 66279.91 3 CCR 6624(g)	While current + 3 years
Hazardous Materials - Exposure Records, etc.	Public Safety	Employee exposure records; name/identity of chemical substance used; when & where chemical substance was used	8 CCR 3204(d)(1)(B)	30 years
Hazardous Materials - Underground Storage Tank - Compliance	Public Safety	Documents regarding: storage, location, installation, removal, remediation, maintenance and repair	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Permanent

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CFR	Code of Federal Regulations	R&TC	Revenue & Taxation Code (California)	PRC	Public Resources Code (California)
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RECORDS RETENTION SCHEDULE FOR CAPITAL AREA REGIONAL TOLLING AUTHORITY

Destruction of any record must be authorized by the legislative body. (Gov. Code §§ 60200 - 60204.)

Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Hazardous Materials - Underground Storage Tank – Maintenance and Repair	Public Safety	Documents regarding: repairs, lining and upgrades	23 CCR 2660(j), 2712	For the life of the tank
Improvements (lighting, underground utility) – supporting documents	Public Works	Supporting documents – bonds, taxes, construction	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines	Permanent
Insurance	Finance	Personnel related	GC 34090	Current + 2 years
Insurance, Joint Powers Agreement	Finance	Accreditation, MOU, agreements and agendas	GC 34090 Sec of State Guidelines	Permanent
Insurance Certificates	Finance	Liability, performance bonds, employee bonds, property: Insurance certificates filed separately from contracts, includes insurance filed by licensees.	GC 34090 Sec. of State Guidelines	Permanent

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RECORDS RETENTION SCHEDULE FOR CAPITAL AREA REGIONAL TOLLING AUTHORITY

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Insurance, Liability/Property	Finance	May include liability, property, Certificates of Participation, deferred, use of facilities	GC 34090 Sec. of State Guidelines	Permanent
Insurance, Risk Management Reports	Finance	Federal OSHA Forms; Loss Analysis Report; Safety Reports; Actuarial Studies	29 CFR 1904.44 GC 34090	2 years
Investment Reports, Transactions	Finance	Summary of transactions, inventory and earnings report	GC 34090 CCP 337 Sec. of State Local Gov't Records Mgmt. Guidelines	Permanent

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RECORDS RETENTION SCHEDULE FOR CAPITAL AREA REGIONAL TOLLING AUTHORITY

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Invoices	Finance	Invoices from vendors and back-up documents	CCP 337 26 CFR 31.6001-1(e)(2); Sec. of State Local Gov't Records Mgmt. Guidelines recommendation	Until audited + 4 years
Job Descriptions	Human Resources	Descriptions of duties, qualifications, responsibilities for each position/classification/job title	29 CFR 1627.3	While current + 3 years
Lease Agreement	Administration	Property or equipment	CCP 337 CCP 337.2 CCP 343	Until terminated + 4 years
Legal Notices/Affidavits of Publication	Administration	Notices of public hearings, proof of publication of notices	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	2 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Legal Opinions	Administration	Confidential – not for public disclosure (attorney-client privilege)	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Until superseded + 2 years
Litigation	Administration	Case files (Documents are to be retained in original format, whether hard copy or electronic)	GC 60201(d)(4)	Until settled or adjudicated + 2 years
Lobbying or Lobbyist Forms (FPPC forms)	Administration	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	FPPC Reg. 18615(d)	5 years
Maintenance Manuals	Administration	Equipment service/maintenance	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Current + 2 years

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RECORDS RETENTION SCHEDULE FOR CAPITAL AREA REGIONAL TOLLING AUTHORITY

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Maintenance/Repair Records	Administration	Equipment	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	2 years
Marketing, Promotional	Administration	Brochures, announcements, etc.	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	7 years
Meter Operations	Public Works	Reader reports; orders; tests; maintenance reports	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	2 years
Meter Reading	Public Works	Reports and rebate reports	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Current + 2 years

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RECORDS RETENTION SCHEDULE FOR CAPITAL AREA REGIONAL TOLLING AUTHORITY

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Minutes – Board meetings	Administration	Minutes of Authority Board meetings. Documents may be imaged immediately. (Documents are to be retained in original format, whether hard copy or electronic)	GC 34090, 60201	Permanent
Newsletter, Authority	Administration	May wish to retain permanently for historic reference.	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	2 years
Notices – Public Meetings	Administration	Special Meetings	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	2 years
Oaths of Office	Administration	Elected and public officials – Board Members	GC 34090 29 USC 1113 Sec. of State Local Gov't Records Mgmt. Guidelines	Length of term/employment plus 6 years

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RECORDS RETENTION SCHEDULE FOR CAPITAL AREA REGIONAL TOLLING AUTHORITY

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
OSHA	Administration	OSHA 300 Log, privacy case list, OSHA 300A annual summary, OSHA 301 incident report forms	LC 6410; 8 CCR 14300.33 29 CFR 1904.33	5 years
OSHA (Accident/Illness Reports)	Administration	Personnel - Employee Exposure Records & Employee Medical Records regarding exposure to toxic substances Exempt from disclosure	LC 6410; 8 CCR 14307; 8 CCR. 3204(d)(1)(A); GC 7927.700	Duration of employment plus 30 years
Payroll - Federal/State Reports	Finance	Annual W-2's, W-4's, Form 1099s, etc.; quarterly and year-end reports	GC 60201	7 years
Payroll Deduction/ Authorizations	Finance	Finance	29 CFR 516.6(c) GC 60201	While Current + 7 years
Payroll records	Finance	Records that specify compensation paid to employees, officers (Documents are to be retained in original format, whether hard copy or electronic)	GC 60201(d)(12)	7 years after date of payment

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RECORDS RETENTION SCHEDULE FOR CAPITAL AREA REGIONAL TOLLING AUTHORITY

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Payroll records -employee information	Finance	Records showing employee information/data – names, addresses, etc.	29 CFR 516.5 LC 1174(d)	3 years from date of last entry
Payroll records, terminated employees	Finance	Finance files (Documents are to be retained in original format, whether hard copy or electronic)	29 CFR 516.5 GC 60201(d)(12)	7 years from date of last entry
Payroll, registers	Finance	Payroll registers, payroll reports (Documents are to be retained in original format, whether hard copy or electronic) Registers that show labor costs by employee and program	29 CFR 516.5(a) LC 1174(d) GC 60201(d)(12) Sec. of State Local Gov't Records Mgmt. Guidelines	Permanent
Payroll, time cards/sheets	Finance	Employee	29 C.F.R. 516.6; LC 1174; Sec. of State Local Gov't. Records Mgmt. Guidelines	Audited + 6 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Payroll - Wage Rates / Job Classifications	Finance	Employee records	LC 1197.5(d) LC 1174(d) GC 12946 29 CFR 516.6 29 CFR 1602.4 29 CFR 1627.3	While current + 3 years
PERS - Employee Benefits	Human Resources	Retirement Plan – annual reports required to be filed under ERISA PERS Employee Benefit Plan – original document, or copies	29 USC 1027 29 CFR 1627.3(b)(2) GC 34090	6 years Current + 2 years
Personnel Policies -- Rules and Regulations	Human Resources	Including employee handbooks, employee manuals, and other policies/procedures	29 CFR 516.6 29 CFR 1627.3(a)	Current + 3 years
Personnel Records	Human Resources	Other records (not payroll) – job applications, resumes; records relating to promotion, demotion, transfer, lay-off, termination; results of employment tests, etc.	GC 12946 29 CFR 1627.3	Current + 3 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Petitions	Administration	Submitted to legislative bodies	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	2 years
Policies, Administrative	Administration	All policies and procedures, directives rendered by the Authority not assigned a resolution number	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Current + 2 years
Policies, Authority Board	Administration	Original policies adopted by the Authority Board	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Current + 2 years
Press Releases	Administration	Related to Authority actions/activities.	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	2 years
Procedure Manuals	Administration	Administrative.	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Current + 2 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Property, Abandonment	Development	Buildings, condemnation, demolition	GC 34090, 60201; Sec. of State Local Gov't Records Mgmt. Guidelines	Permanent
Property Acquisition/ Disposition	Development	Authority owned. Supporting documents regarding sale, purchase, exchange, lease or rental of property by Authority	CCP 337.15	10 years
Public Records Request	Administration	Requests from the public to inspect or copy public documents	GC 34090 GC 60201(d)(5)	2 years
Purchasing RFQ's, RFP's	Finance	Requests for Qualifications; Requests for Proposals regarding goods and services	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Until audited + 4 years
Purchasing, Requisitions, Purchase Orders	Finance	Original Documents	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines; CCP 337	Until audited + 4 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Recordings – audio (e.g., for preparation of meeting minutes)	Administration	Audio recordings of Board meetings – “made for whatever purpose by or at the direction of the local agency”	GC 54953.5(b)	Minimum 30 days
Recordings - routine video monitoring, telephone, and radio communications	Administration	Routine daily recording of telephone communications & radio communications; recordings of routine video monitoring, monitoring systems, or building security systems	GC 53160, 53161	Videos - 1 year; Phone & Radio communications - 100 days (destruction must be approved by legislative body and with written consent of agency attorney). If recordings relate to a claim or pending litigation, they must be preserved until the matter is resolved. If another record of the video recording is kept (written minutes or audio recording), video needs to be kept for only 90 days after the recorded event.
Recordings, video recordings – meetings of legislative bodies	Administration	Recordings of public meetings made by or at the direction of the Authority (e.g., Board meetings)	GC 54953.5(b)	Minimum 30 days

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Recordings, video or digitally recorded – other events (Duplicate – See Description or Example of Record)	Administration	Other than videos or digital recordings of public meetings; Considered duplicate records if another record of the same event is kept (i.e., written minutes or audio recording)	GC 53161 85 Ops. Cal. Atty. Gen. 256 (2002)	Minimum 90 days after event is recorded
Records Management Disposition/Destruction Certification	Administration	Documentation of final disposition/destruction of records	GC 34090, 60201(d)(10)	Permanent
Records Retention Schedules	Administration		GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Current + 4 years
Recruitments and Selection	Administration	Records relating to hiring, promotion, selection for training	29 CFR 1627.3	3 years
Resolutions	Administration	Vital records – may be imaged immediately	GC 60201 GC 34090	Permanent

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Returned Checks	Finance	Adjustments-NSF, etc. (not Authority checks)	GC 34090 CCP 337, 343	Until audited + 4 years
Salary/Compensation Studies, Surveys	Human Resources	Studies or surveys of other agencies regarding wages, salaries and other compensation or benefits	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	While current + 2 years
Settlement Agreements	Administration	Final, signed/approved settlement agreements for litigation matters, claims, etc. For Workers Compensation claims – final, signed/approved settlement agreements	GC 60201(d)(4) 8 CCR 10102 8 CCR 15400.2	2 years after signed/approved 5 years after signed/approved
State Controller	Finance	Annual reports.	GC 34090	2 years
State Tax Records	Finance	Forms filed annually; quarterly and year-end reports	R&TC 19530 R&TC 19704	6 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Statements of Economic Interest (SEI) - Form 700 (copies) (elected officials)	Administration	Copies of original statements of elected officials forwarded to Fair Political Practices Commission. (Retain hard copy for 2 years, then retain imaged electronic version)	GC 81009(f), (g)	4 years (can image after 2 years)
Statements of Economic Interest Statements (SEI) - Form 700 (originals) - non-elected	Administration	Originals of statements of designated employees (Retain hard copy for 2 years, then retain imaged electronic version)	GC 81009(e), (g)	7 years (can image after 2 years)
Taxes, Special	Finance	Special tax levied by a local agency on a per parcel basis	CCP 338	Until audited + 3 years
Transportation Model Runs (Final)	Administration	Model runs used in final adopted long- and short-range planning documents	GC 34090	Permanent
Underground Utility – supporting documents	Public Works	Supporting documents for improvements, lighting – bonds, taxes, construction	GC 34090 Sec. of State Local Gov't. Records Mgmt. Guidelines	Permanent

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Unemployment Insurance Records	Finance	Records relating to unemployment insurance – claims, payments, correspondence, etc.	26 USC 3301-3311; Calif. Unemployment Insurance Code; CCP 343	While current + 4 years
Utility Services - Applications	Public Works	Applications for utility connections, disconnects, registers, service	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines recommendation	Current + 2 years
Utility Services - Billing Records	Public Works	Customer name, service address, meter reading, usage, payments, applications/cancellations	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines recommendation	Until audited + 2 years
Utility Services - Connection Records	Public Works	Maps, water line connections	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines recommendation	Permanent

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Utility Services - Journals, Utility Billing	Public Works	Billing including monthly activity	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines recommendation	Current + 2 years
Utility Services - Meter Reading; Reports	Public Works		GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Current + 2 years
Utility Services - Utility Rebates, Reports	Public Works		GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Current + 2 years
Vouchers - Payments	Finance	Account postings with supporting documents	GC 34090 CCP 337	Until audited + 4 years
Wage Garnishment	Finance	Wage or salary garnishment	CCP 337	Active until garnishment is satisfied; then retain until audited + 4 years

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Type of Record	Category	Description or Example of Record	Legal Authority	Retention Period
Warrant Register/Check Register	Finance	Record of checks issued; approved by legislative body (copy is normally retained as part of agenda packet information)	GC 34090; Sec. of State Local Gov't Records Mgmt. Guidelines	Until audited + 2 years
Workers Compensation Files	Finance	Work-injury claims (including denied claims); claim files, reports, etc.	8 CCR 10102	Until the latest of the following dates: 5 years from date of injury; or 1 year from date compensation was last provided; or when all compensation due has been paid.
Work Orders (which do not require board approval)	Administration		None	1 Year for administrative purposes (not an official record)

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Resolution No. 08-2026**A RESOLUTION ADOPTING A RECORDS RETENTION POLICY**

WHEREAS, the Sacramento Area Council of Governments, the Yolo County Transportation District, and the California Department of Transportation (collectively, the “Member Agencies”) entered into that certain Joint Exercise of Powers Agreement for Capital Area Regional Tolling Authority (“Agreement”), forming CARTA effective on January 24th, 2024;

WHEREAS, California Public Records Act – Government Code section 7920.525(a) and Government Code section 7920.545 define “public records” and “records”;

WHEREAS, Under Government Code sections 60200 et seq., the Board of Directors is authorized to destroy obsolete and unnecessary records by complying with a records retention policy and schedule that has been adopted by resolution;

NOW THEREFORE, BE IT RESOLVED that the Capital Area Regional Tolling Authority adopts the attached Records Retention Policy, effective October 14, 2026.

[SIGNATURES ON FOLLOWING PAGE]

PASSED, APPROVED, AND ADOPTED this 14th day of October, 2026, by the following vote:

AYES:

NOES:

ABSTAIN:

ABSENT:

CHAIR OF THE BOARD

ATTEST:

SECRETARY TO THE BOARD

APPROVED TO FORM:

COUNSEL TO THE BOARD



Capital Area Regional Tolling Authority

Meeting Date: October 14, 2026

Agenda Item: 3

Equity Study Scope and Early Analysis

Prepared By: Tatum Lau, AECOM

Attachments: Yes

Recommendation:

None; this item is for information only.

Background:

The implementation of toll lanes will enable some users to purchase a faster commute, while others continue to utilize general purpose lanes. Any toll program therefore raises questions of how the program can operate in an equitable manner for all users of the corridor. This concern is not unique to the Sacramento Region and other toll authorities have conducted studies to measure the potential impact of toll lanes and develop recommendations to improve equity outcomes.

In October 2024, the Board authorized staff to apply to Caltrans' Sustainable Transportation Planning Grant program to fund a Regional Toll Equity Study (Study). In July 2025, Caltrans announced that CARTA had received the maximum award amount of \$500,000. In October 2025, the Board authorized staff to release a Request for Proposals (RFP) for consultant services for the Study and select, negotiate, and award a contract. In August 2026, CARTA signed a contract with AECOM and work on the Study began.

The Study is being conducted between August 2026 and December 2027 to support development of a Regional Toll Equity Framework that can guide equitable implementation of future toll facilities across the Capital Region.

Discussion:

Since project initiation, the Study Team has completed three foundational efforts:

- Task 1.3 Existing Community Engagement Review, which evaluated prior engagement efforts related to tolling, pricing, and travel behavior to identify key themes, community concerns, and engagement gaps.
- Task 1.4 Study Engagement Plan, which establishes a two-phase outreach strategy to gather community input on Equity Priority Communities, affordability concerns, customer experience, and future framework recommendations.

- Task 2.1 Equity Study and Low-Income Program Precedent Review, which evaluated tolling, transportation, and utility assistance programs to identify approaches, implementation considerations, and best practices relevant to CARTA.

Key findings from this work indicate that residents generally support affordability measures and customer benefits, seek greater clarity regarding tolling policies and managed lanes, and value transparent communication. The precedent review found that program eligibility, enrollment processes, and customer experience are significant factors influencing participation in affordability programs.

These efforts establish the foundation for upcoming study activities, including development of an Equity Priority Communities definition, analysis of how Equity Priority Communities may use future toll corridors, and preparation of the Regional Toll Equity Framework and Implementation Strategy.

By the January 2027 Board meeting, the Study Team anticipates presenting the recommended Equity Priority Communities definition, providing an update on Phase 1 community engagement activities, sharing findings from the Toll Corridor Profiles analysis, and reporting on Community-Based Organization focus group findings.

Attachments:

3B: Presentation

3C: Study Schedule

Equity Study Scope and Early Analysis

Board of Directors
October 14th, 2026
Attachment 3B



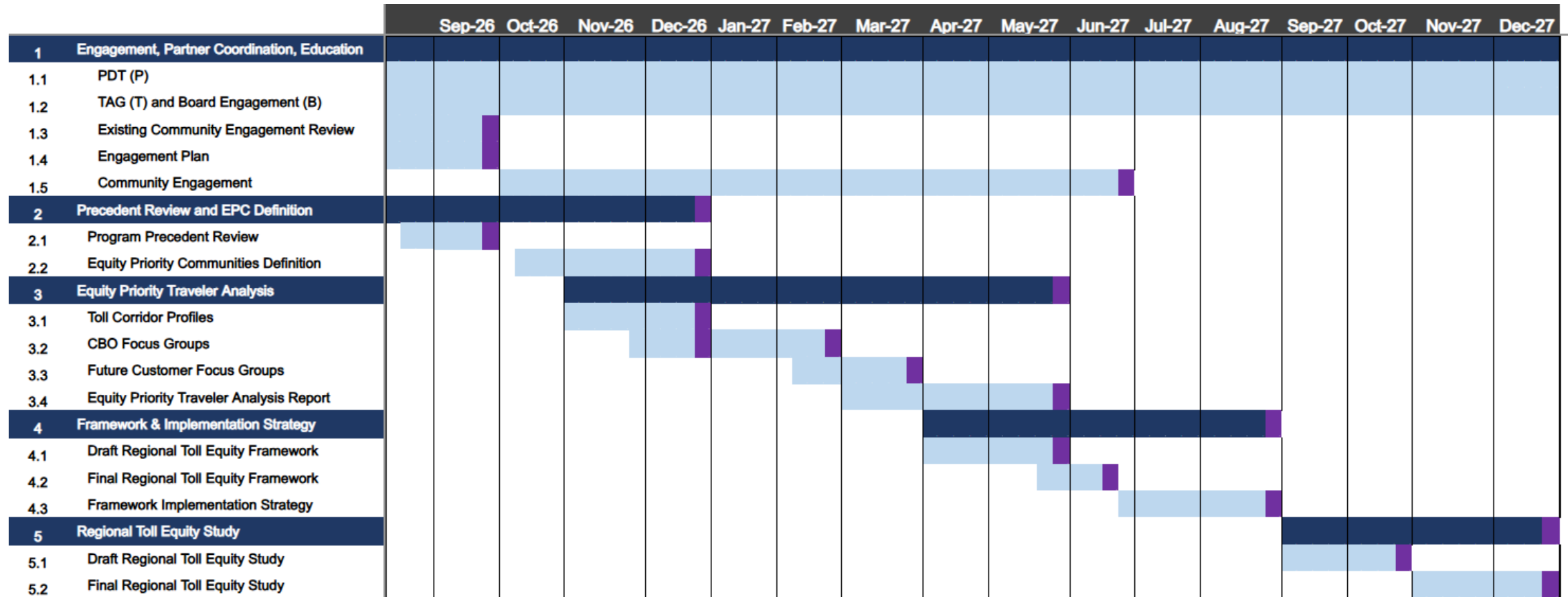
Agenda

- Study Context
- Project Status Update
 - Existing Community Engagement Review
 - Study Engagement Plan
 - Equity Study and Low-Income Program Precedent Review
- Implications for Next Steps

Study Objectives

- **Build public understanding and trust** in the new tolling program
- Implement toll lanes in a way that facilitates **access, reliability, and mobility for Equity Priority Communities**
- **Align equity goals** with operational, governance and financial objectives
- **Establish equity measures** for CARTA to take near-term action prior to 2028 operations

Schedule



Deliverables

Task 1: Community Engagement, Partner Coordination, and Public Education

- ✓ Task 1.1: Project Development Team
- ✓ Task 1.2: TAG and Board Engagement
- ✓ Task 1.3: Existing Community Engagement Review
- ✓ Task 1.4: Study Engagement Plan
- Task 1.5: Equity Framework Community Engagement

Task 2: Precedent Review and Equity Priority Communities Definition

- ✓ Task 2.1: Equity Study and Low-Income Program Precedent Review
- Task 2.2: Equity Priority Communities Definition

Task 3: Equity Priority Traveler Analysis

Task 4: Regional Toll Equity Framework and Implementation Strategy

Task 5: Draft and Final Regional Toll Equity Study

1.3 Existing Community Engagement Review

Purpose

Review previous regional engagement and related planning materials to understand what community members have already shared about tolling and travel, identify gaps, and focus the Study's engagement on questions that need further input.

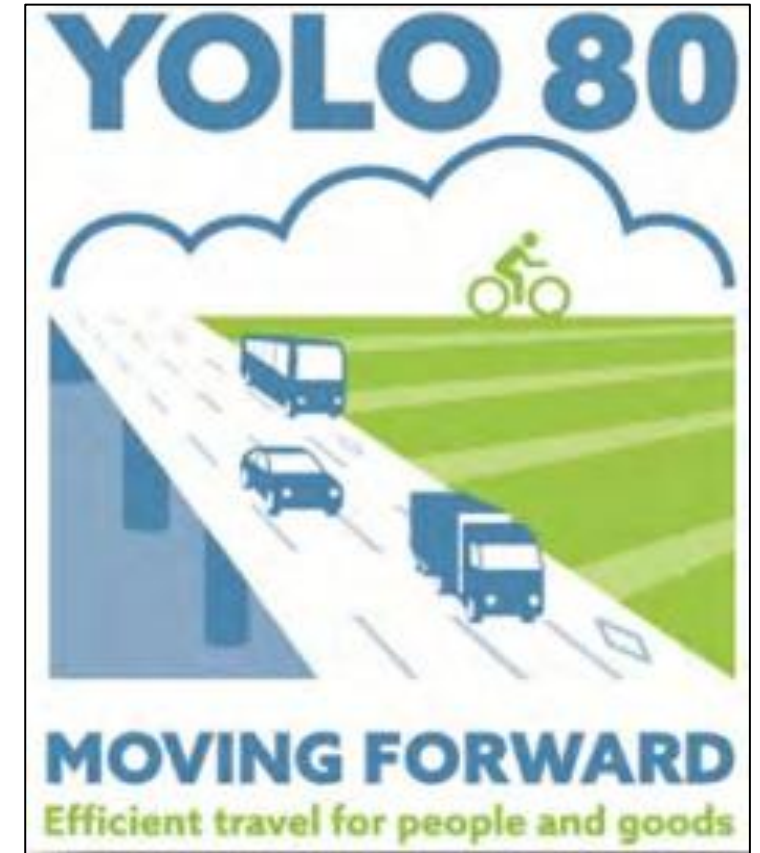
What have community members
already shared?

Where are there **gaps** in the
existing engagement?

1.3 Existing Community Engagement Review

Engagement efforts reviewed include

- Survey of Likely November 2024 Voters in Sacramento County (2023)
- SACOG 2050 Blueprint Appendix (2025)
- Yolo 80 Task 8 Exploratory Equity Actions Memo (2026)
- CARTA 5 Year Strategic Community Engagement Education Plan (2026)
- CALCOG Managed Lanes Focus Group Memo (2026)
- YoloTD Yolo 80 Survey (2023)



1.3 Existing Community Engagement Review

Key findings:

- Existing engagement efforts do not provide a clear, consistent definition of equity
- Support for tolling increased when low-income discounts or direct user benefits were included
- Participants reported confusion regarding tolling rules, eligibility requirements, and policies
- Residents are eager to understand toll revenue reinvestment plans
- Toll perceptions and concerns vary across the region

1.3 Existing Community Engagement Review

Engagement Gaps:

Future engagement should prioritize communities underrepresented in previous engagement efforts including:

- People with disabilities
- People without reliable internet
- Communities who speak the prioritized languages (Spanish, Mandarin, Vietnamese, Russian, Ukrainian & Punjabi)
- Shift workers, people with limited car access, and older travelers.

1.4 Study Engagement Plan

Purpose:

- Help people understand the planned Express Lanes
- Gather input to shape affordability measures, customer access, and the Regional Toll Equity Framework

What other concerns and needs of community should we consider?

What does community think of potential solutions and strategies?

1.4 Study Engagement Plan

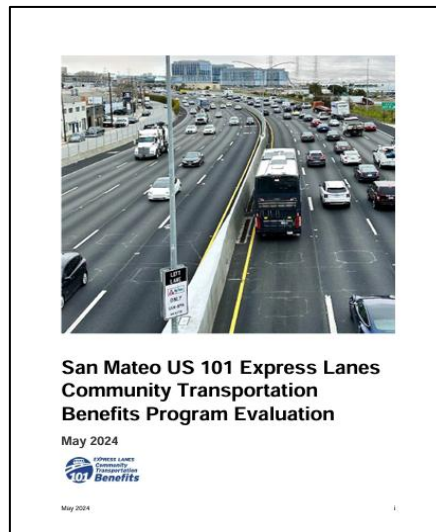
PHASE	Phase 1: Early Input & Equity Definition	Phase 2: Draft Framework Refinement
GOALS	Understand travel needs, affordability concerns, barriers to using the system	Understand how future customers respond to draft options
OUTCOMES	Identify equity priorities and customer barriers to address through the Study	Refine options and identify improvements

2.1 Equity Study and Low-Income Program Precedent Review

Purpose:

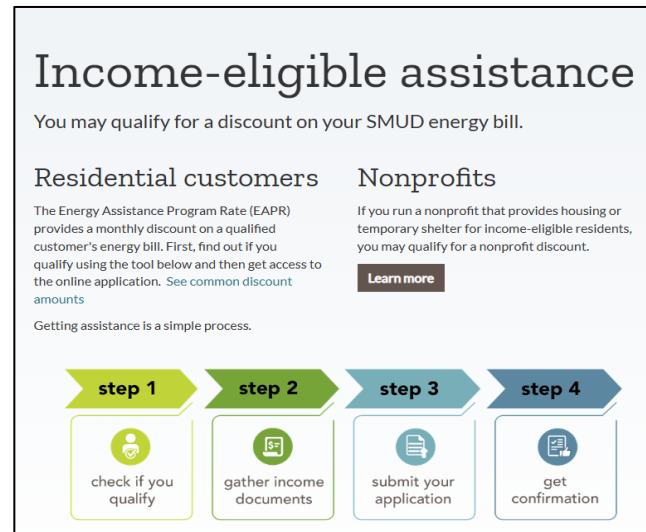
- Establish a baseline understanding of comparable affordability programs
- Examine program design levers, performance findings, and key lessons that CARTA can use to develop its own equity-focused tolling program

2.1 Equity Study and Low-Income Program Precedent Review



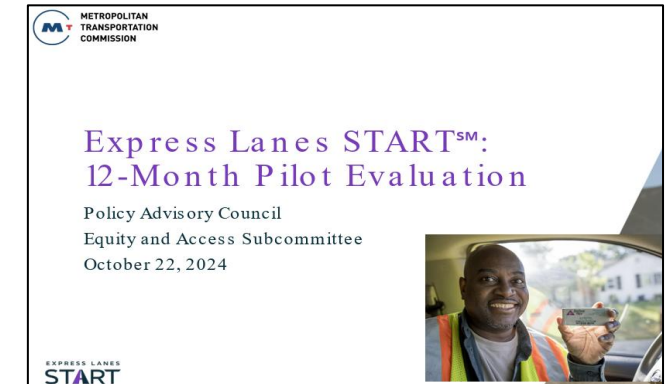
Transit/general mobility assistance programs

Example: San Mateo County Community Transportation Benefits (San Mateo County Express Lanes JPA)



Utility discount programs

Example: Energy Assistance Program Rate (SMUD)



Tolling/roadway pricing assistance programs

Example: Express Lanes Start (MTC)

2.1 Equity Study and Low-Income Program Precedent Review

Project design key findings:

- Programs varied in the types of assistance provided (e.g., per-trip or per-bill discounts)
- Higher-cost regions more likely to use AMI rather than FPL
- Enrollment in existing benefit programs (e.g., CalFresh) is commonly accepted as proof of income, but no programs reviewed allow auto-enrollment
- Transportation programs typically offer higher discount rates relative to utility programs

2.1 Equity Study and Low-Income Program Precedent Review

Program performance key findings:

- Assistance programs consistently reach a small fraction of the eligible population, particularly for tolling
- The design and experience of the enrollment process drive participation more than the level of discount or benefit

Implications

Together, these efforts establish the foundation for upcoming decisions on:

- How Equity Priority Communities (EPCs) will be defined and applied
- How EPC populations and other corridor users may experience future toll facilities
- Which equity-focused strategies and program elements CARTA should consider as part of the Regional Toll Equity Framework

Next Steps

By the January 2027 Board Meeting, the Study Team will:

- Present the recommended Equity Priority Communities (EPC) definition
- Provide an update on Phase 1 community engagement activities
- Share findings from the Toll Corridor Profiles analysis
- Report on insights from the Community-Based Organization (CBO) focus groups

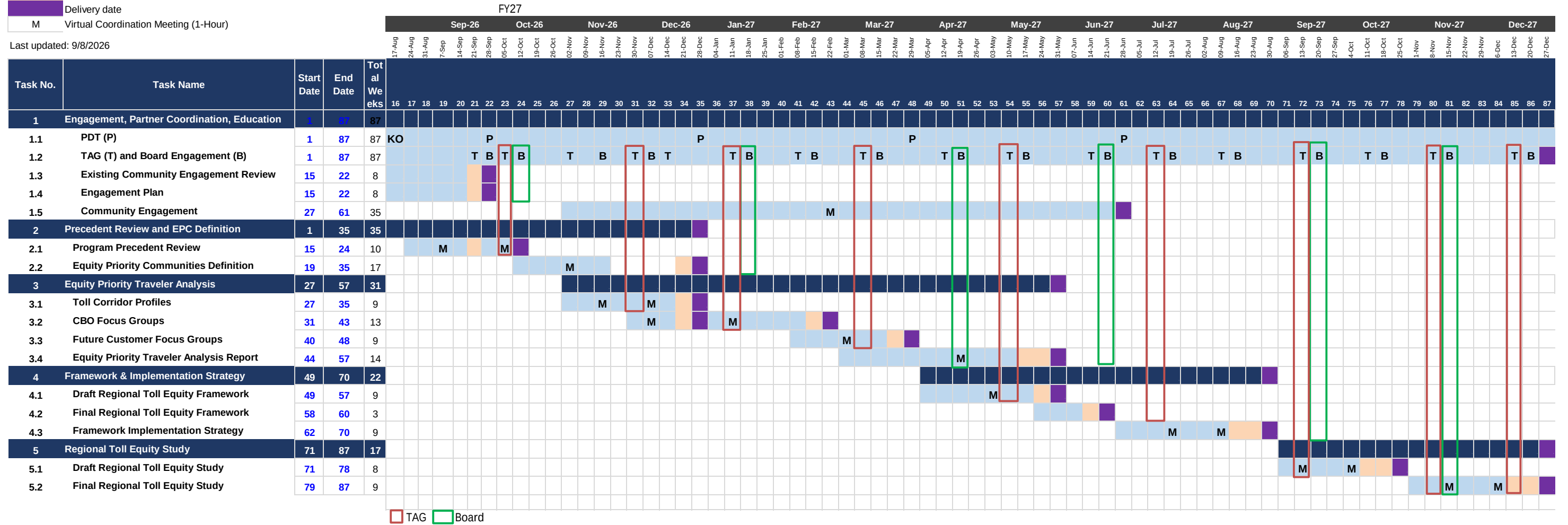


Capital Area Regional Tolling Authority

CARTA Regional Toll Equity Study- Project Schedule

	Client review period
	Delivery date
M	Virtual Coordination Meeting (1-Hour)

Last updated: 9/8/2026





Capital Area Regional Tolling Authority

Meeting Date: October 14, 2026

Agenda Item: 4

Toll Revenue Investment Plan: Reserve, Replacement, Repayment Scenarios

Prepared By: Kathleen Aziz, CARTA

Attachments: Yes

Recommendation:

None; this item is for information only.

Background:

State and federal statutes regarding the development of toll facilities includes requirements on how toll revenue must be spent. Toll agencies use a revenue waterfall to demonstrate compliance with these requirements and to provide a clear and structured view of how toll revenues are allocated across various obligations and priorities. By mapping the flow of revenue over a series of funds—from gross collections to net revenues—revenue waterfalls ensure transparency, accountability, and strategic financial planning.

In October 2025, staff presented a revenue waterfall for Yolo 80. The Board deferred action on the waterfall and directed staff to return when more accurate revenue and expenditure estimates are available. In September 2026, staff outlined a process to develop a Toll Revenue Investment Plan (TRIP) for Yolo 80, including developing a waterfall. The process would have two information items in October and November, each focused on a different category of expenses, and one action item in December to finalize the waterfall. Board discussion reflected support for this process.

Discussion:

Board Direction on TRIP Desired Outcomes

As part of the September TRIP item, the Board requested that the Desired Outcomes be less explicit about the types of VMT reduction measures, to allow for consideration of how the project-funded VMT mitigation measures perform. The Board also requested the Desired Outcome related to equity recognize the equity benefits of other allocations within the waterfall, including for VMT reduction. The slides for this month's item (Attachment 4B) provide updated language aligned with this direction.

Scenario Development

Staff have developed 54 scenarios (Attachment 4C) that evaluate the impacts of different reserve, replacement, and repayment options. All 54 scenarios include the same assumptions for the "Mostly Fixed" costs. "Mostly Fixed" costs are based on negotiated agreements, extensions of assumptions in the Five-Year Budget Forecast, and where necessary, pulled from

Peer Agencies. Together “Mostly Fixed” costs total \$8.5 million in 2029 and escalate to \$16.1 million in 2048. Where “Mostly Fixed” costs have defined escalation in an agreement, the forecast shows them as-is. Where “Mostly Fixed” costs use a cost model based on trips or transactions, costs are escalated according to forecasted trip/transaction escalation. Otherwise, “Mostly Fixed” costs are escalated with a 3% annual inflation rate.

Holding the “Mostly Fixed” costs constant, the 54 scenarios evaluate different combinations of four variables:

- Debt Repayment: Graduated or Accelerated
- Debt Reserve: 6 months, 12 months, or 18 months
- Operating Reserve: 6 months, 9 months, or 12 months
- Toll System Replacement: No contingency, 10% contingency, 25% contingency

Consistent with Board discussion in September, these scenarios are divided into four policy buckets:

- Accelerated Repayment: which includes all scenarios that have accelerated debt repayment. This bucket contains 27 scenarios. Someone might prefer a scenario in this bucket if they are most interested in reducing the amount of total interest paid or moving up the year when significant funding flows to Policy Priorities.
- Fiscal Responsibility: which includes scenarios that have no variable at its lowest or most risky setting. This bucket contains 8 scenarios. Someone might prefer a scenario in this bucket if their priority is insulating Policy Priorities from ebbs and flows in toll revenue or demonstrating CARTA’s fiscal responsibility for public confidence and future credit worthiness
- Reinvestment Focused: which includes all scenarios that generate at least \$1.5 million for Policy Priorities, even in the low revenue case. This bucket contains 9 scenarios. Someone might prefer a scenario in this bucket if their priority is generating funding for Policy Priorities, especially in early years.
- Leftovers: which includes the remaining 10 scenarios. These scenarios include combinations that don’t have a clear policy objective, including scenarios that are very conservative on some variables and very risky on others. Staff does not recommend advancing any of these scenarios, but they remain in this analysis to capture all 54 scenarios that were analyzed.

Scenario Performance

The four scenario buckets were analyzed against each of the three revenue scenarios from the 2025 Level 2 Traffic and Revenue Study for Yolo 80. This discussion primarily focuses on the middle scenario for simplicity. The middle revenue scenario best matches CARTA’s adopted toll policy and best illustrates the tradeoffs between the policy buckets.

The scenarios within the Accelerated Repayment policy bucket introduce significant risk that no funding will be generated for Policy Priorities. Staff recommend that the initial Yolo 80 TRIP focus on graduated debt repayment, and reevaluate that decision if sufficient revenue exists to warrant accelerating.

Although there are differences, the scenarios within the Fiscal Responsibility and Reinvestment Focused policy buckets perform very similarly. For both buckets, it takes until 2037 for the amount of revenue flowing to Policy Priorities to exceed \$7.7 million, the amount of annual VMT mitigation funding from the Yolo 80 project budget. Although Policy Priorities will also include Corridor Improvement Fund and any allocation for a separate Equity Program, the \$7.7 million project VMT mitigation number serves as a useful threshold for comparing scenarios. Scenarios in the Fiscal Responsibility bucket generate \$0.3 million to \$1.4 million less funding for Policy Priorities in 2032 than scenarios in the Reinvestment Focused bucket.

Board Discussion

Staff request that the board provide direction to focus in on three or fewer scenarios heading into the next phase of the waterfall discussions. This reduction in options makes it easier to focus on the impacts of options for allocations within Policy Priorities. Staff sees this being accomplished two ways:

- The Board selects one bucket and directs staff to identify 1-3 best performing scenarios within that bucket to advance to the next phase.
- The Board retains both the Fiscal Responsibility and Reinvestment Focused buckets, but directs staff to identify the best scenario in each bucket and those two scenarios advance to the next phase.

Staff also sees utility in further refining the scenarios with policies and processes to reduce the risks of any scenarios tradeoffs. Staff request direction on how to narrow scenarios and whether to include refining recommendations as part of the eventual waterfall action in December.

Attachments:

4B: Presentation

4C: List of Scenarios

TRIP: Repayment, Reserve, Replacement

Board of Directors
October 14th, 2026
Attachment 4B



Recap: Desired Outcomes for Yolo 80 TRIP

- Allocate funding to reduce VMT along the Yolo 80 Express Lanes corridor
- Advance equity, including identifying opportunities to provide equity co-benefits in other program activities
- Pay operating costs consistent with board-approved contracts and budgets
- Pay off debts on-time
- Maintain a toll system that can effectively generate revenue
- Maintain reserves to withstand unexpected expenses and economic downturns

Recap: Process

Mostly Fixed

- TSI operating costs
- BOS operating costs
- Debt service
- Staffing + admin costs

OCT INFO ITEM

Flexible in a Range

- Debt service
- Reserve levels
- Toll system replacement cost assumptions

Policy-Driven

- VMT fund level
- Corridor improvement fund level
- Equity program

NOV INFO ITEM

DEC ACTION ITEM

Recap: Process

Mostly Fixed

- TSI operating costs
- BOS operating costs
- Debt service
- Staffing + admin costs

Flexible in a Range

- Debt service
- Reserve levels
- Toll system replacement cost assumptions

Policy-Driven

- VMT fund level
- Corridor improvement fund level
- Equity program

Mostly Fixed Costs

Based on Negotiated Agreements

- TSI operating costs
- Back office and walk in center operating costs

Extended from Five-Year Budget

- Admin costs (staffing, legal, insurance, etc.)
- Toll program management consultants

Based on Peer Agencies

- Electricity costs
- Annual asset management (not covered by TSI)
- Express lane operations center staffing

**\$8.5 million
in 2029**

**\$16.1 million
in 2048**

Recap: Process

Mostly Fixed

- TSI operating costs
- BOS operating costs
- Debt service
- Staffing + admin costs

Flexible in a Range

- Debt service
- Reserve levels
- Toll system replacement cost assumptions

Policy-Driven

- VMT fund level
- Corridor improvement fund level
- Equity program

Flexible Within a Range

Variables

- Debt repayment
 - Graduated: all debt paid by 2041
 - Accelerated: all debt paid by 2036
- Debt reserve
 - Low: next 6 months of debt payments
 - Mid: next 12 months of debt payments
 - High: next 18 months of debt payments
- Operating Reserve
 - Low: next 6 months of operating costs
 - Mid: next 9 months of operating costs
 - High: next 12 months of operating costs
- Toll System Replacement
 - Low: Assumes only 3% annual inflation on estimate, no additional contingency
 - Mid: Assumes 10% contingency
 - High: Assumes 25% contingency

Attachment 4C: List of Scenarios

	Debt Payment	Debt Reserve	Operating Reserve	Toll System Replacement
Scenario 1	Graduated	6 months	6 months	No contingency
Scenario 2	Graduated	12 months	6 months	No contingency
Scenario 3	Graduated	18 months	6 months	No contingency

...

Scenario 52	Accelerated	6 months	12 months	25% contingency
Scenario 53	Accelerated	12 months	12 months	25% contingency
Scenario 54	Accelerated	18 months	12 months	25% contingency

Scenario Policy Buckets: Definition

- Accelerated Repayment
 - Accelerated debt repayment
 - 27 Scenarios: # 28-54
- Fiscal Responsibility
 - No variables set to low end of range
 - 8 Scenarios: # 14, 15, 17, 18, 23, 24, 26, 27
- Reinvestment Focused
 - At least \$1.5 million for Policy Priorities, even in low revenue case
 - 9 Scenarios # 1, 2, 4, 5, 7, 8, 10, 13, 16
- Leftovers
 - Remaining scenarios
 - 10 Scenarios # 3, 6, 9, 11, 12, 19, 20, 21, 22, 25

Scenario Policy Buckets: Purpose

- Accelerated Repayment
 - Reduce total interest paid, particularly on West Sacramento loans
 - Move up year when significant funding flows to Policy Priorities
- Fiscal Responsibility
 - Insulate Policy Priorities from toll revenue ebbs and flows
 - Demonstrate CARTA fiscal responsibility for public confidence future credit worthiness
- Reinvestment Focused
 - Have meaningful funding for Policy Priorities every year, beginning in Year 3 (2032)
- Leftovers
 - No consistent policy justification for these combinations
 - Often has a higher-risk reserve/replacement setting and still doesn't generate meaningful revenue for Policy Priorities

Scenario Policy Buckets: Performance

	Low Revenue Case		Mid Revenue Case		High Revenue Case	
	\$ for Policy Priorities in 2032	Year Policy Priority \$ Exceeds Yolo 80 Project VMT \$	\$ for Policy Priorities in 2032	Year Policy Priority \$ Exceeds Yolo 80 Project VMT \$	\$ for Policy Priorities in 2032	Year Policy Priority \$ Exceeds Yolo 80 Project VMT \$
Accelerated Repayment						
Fiscal Responsibility						
Reinvestment Focused						
Halfway in the Mud						

Scenario Policy Buckets: Performance

	Low Revenue Case		Mid Revenue Case		High Revenue Case	
	\$ for Policy Priorities in 2032	Year Policy Priority \$ Exceeds Yolo 80 Project VMT \$	\$ for Policy Priorities in 2032	Year Policy Priority \$ Exceeds Yolo 80 Project VMT \$	\$ for Policy Priorities in 2032	Year Policy Priority \$ Exceeds Yolo 80 Project VMT \$
Accelerated Repayment	\$0-\$0.15m	Never	\$5.3-\$6.1m	2034-2036	\$13.0-\$13.8m	2029
Fiscal Responsibility	\$0-\$1.43m	Never	\$6.6-\$7.4m	2037	\$15.4-\$15.7m	2029
Reinvestment Focused	\$1.7-\$2.1m	Never	\$7.7-\$8.0m	2037	\$15.4-\$15.7m	2029
Leftovers	\$0.7-\$1.4m	Never	\$6.6-\$7.4m	2036-2037	\$14.4-\$15.1m	2029

Borrowing Against Future Revenue

Considerations

- CARTA needs operations history before it can be enticing for debt
- Likely debt-service coverage at 2x
- It can take 12-18 months to secure
- Treasury benchmark yields are about 5.5%
- Added costs to obtain debt can be about 3% of debt amount
- More formal debt will likely require changes to the waterfall and TRIP policies
- Additional debt repayment will reduce funding for Policy Priorities

Board Discussion

- How do you want to narrow from here?
 - Focus on one bucket
 - Keep both Fiscal Responsibility and Reinvestment Focused but identify strongest scenario in each bucket
- Do you want accompanying recommendations for the December action?
 - I.e. staff recommend modifying a scenario in years 1-3 to reduce pinch
 - I.e. staff recommend updating the engineer's estimate for toll system replacement in 2031

Next Steps

Mostly Fixed

- TSI operating costs
- BOS operating costs
- Debt service
- Staffing + admin costs

OCT INFO ITEM

Flexible in a Range

- Debt service
- Reserve levels
- Toll system replacement cost assumptions

Policy-Driven

- VMT fund level
- Corridor improvement fund level
- Equity program

NOV INFO ITEM

DEC ACTION ITEM



Capital Area Regional Tolling Authority



TRIP Reserve, Replacement, and Repayment Scenarios

	Debt Repayment Schedule	Debt Reserve Level	Operating Reserve Level	Toll System Replacement Cost
Scenario 1	Graduated	6 months	6 months	No Contingency
Scenario 2	Graduated	12 months	6 months	No Contingency
Scenario 3	Graduated	18 months	6 months	No Contingency
Scenario 4	Graduated	6 months	9 months	No Contingency
Scenario 5	Graduated	12 months	9 months	No Contingency
Scenario 6	Graduated	18 months	9 months	No Contingency
Scenario 7	Graduated	6 months	12 months	No Contingency
Scenario 8	Graduated	12 months	12 months	No Contingency
Scenario 9	Graduated	18 months	12 months	No Contingency
Scenario 10	Graduated	6 months	6 months	10% Contingency
Scenario 11	Graduated	12 months	6 months	10% Contingency
Scenario 12	Graduated	18 months	6 months	10% Contingency
Scenario 13	Graduated	6 months	9 months	10% Contingency
Scenario 14	Graduated	12 months	9 months	10% Contingency
Scenario 15	Graduated	18 months	9 months	10% Contingency
Scenario 16	Graduated	6 months	12 months	10% Contingency
Scenario 17	Graduated	12 months	12 months	10% Contingency
Scenario 18	Graduated	18 months	12 months	10% Contingency
Scenario 19	Graduated	6 months	6 months	25% Contingency
Scenario 20	Graduated	12 months	6 months	25% Contingency
Scenario 21	Graduated	18 months	6 months	25% Contingency
Scenario 22	Graduated	6 months	9 months	25% Contingency
Scenario 23	Graduated	12 months	9 months	25% Contingency
Scenario 24	Graduated	18 months	9 months	25% Contingency
Scenario 25	Graduated	6 months	12 months	25% Contingency
Scenario 26	Graduated	12 months	12 months	25% Contingency
Scenario 27	Graduated	18 months	12 months	25% Contingency
Scenario 28	Accelerated	6 months	6 months	No Contingency
Scenario 29	Accelerated	12 months	6 months	No Contingency
Scenario 30	Accelerated	18 months	6 months	No Contingency
Scenario 31	Accelerated	6 months	9 months	No Contingency
Scenario 32	Accelerated	12 months	9 months	No Contingency
Scenario 33	Accelerated	18 months	9 months	No Contingency
Scenario 34	Accelerated	6 months	12 months	No Contingency

Scenario 35	Accelerated	12 months	12 months	No Contingency
Scenario 36	Accelerated	18 months	12 months	No Contingency
Scenario 37	Accelerated	6 months	6 months	10% Contingency
Scenario 38	Accelerated	12 months	6 months	10% Contingency
Scenario 39	Accelerated	18 months	6 months	10% Contingency
Scenario 40	Accelerated	6 months	9 months	10% Contingency
Scenario 41	Accelerated	12 months	9 months	10% Contingency
Scenario 42	Accelerated	18 months	9 months	10% Contingency
Scenario 43	Accelerated	6 months	12 months	10% Contingency
Scenario 44	Accelerated	12 months	12 months	10% Contingency
Scenario 45	Accelerated	18 months	12 months	10% Contingency
Scenario 46	Accelerated	6 months	6 months	25% Contingency
Scenario 47	Accelerated	12 months	6 months	25% Contingency
Scenario 48	Accelerated	18 months	6 months	25% Contingency
Scenario 49	Accelerated	6 months	9 months	25% Contingency
Scenario 50	Accelerated	12 months	9 months	25% Contingency
Scenario 51	Accelerated	18 months	9 months	25% Contingency
Scenario 52	Accelerated	6 months	12 months	25% Contingency
Scenario 53	Accelerated	12 months	12 months	25% Contingency
Scenario 54	Accelerated	18 months	12 months	25% Contingency



Capital Area Regional Tolling Authority

Meeting Date: October 14, 2026

Agenda Item: 5

CARTA Executive Director's Report

Prepared By: Kathleen Aziz, CARTA

Attachments: Yes

Recommendation:

None; this item is for information only.

Background:

This report is to update the Board and members of the public on the ongoing activities related to CARTA's work that may not be addressed under the action or information items presented in other agenda sections each month.

Discussion:

General Program Updates

- There are no updates on the TFA agreement with Caltrans or Back Office agreement with TCA since the September 30th Board meeting
- On September 24th, CBS 13 aired a story about the signs going up for Yolo 80 Express Lanes. Additional updates on communications are provided as part of Item 7 in this agenda.

Major Milestones Dashboard

The presentation for this item (Attachment 5B) includes a matrix showing the current status of CARTA's program, including any items with schedule or fiscal risk.

Board Meeting Look Ahead

The presentation for this item (Attachment 5B) includes a list of planned agenda items for upcoming Board meetings. These are draft and subject to change.

Attachments:

5B: Presentation

CARTA Executive Director's Report

Board of Directors
October 14th, 2026
Attachment 5B



Other Program Updates

Toll Facility Agreement

- No update: Awaiting comments from Caltrans

Back Office Agreement

- Agreement nearly finished
- Will go to TCA in December and January, CARTA in November

TSI Contract

- Kickoff meeting with Indra scheduled for October 15th

Sac 5 Development

- No update: revenue forecast under development, AB 194 process to start soon

Major Milestones Dashboard

Milestone	Schedule Risk	Fiscal Risk	Notes
Deliver Roadside Toll System / TSI	Minor Risk	Minor Risk	Procurement delays, Cost increases
Stand Up Back Office and Walk Up Center	On Track	On Track	
Complete Required Caltrans / CHP Agreements	On Track	On Track	
Incorporate Equity Plan Actions Before Opening	Minor Risk	On Track	Procurement delays
Customer Roadmap Communications Implementation	On Track	On Track	
Toll Revenue Investment Plan "Waterfall"	Minor Risk	On Track	Compressed timeline

■ Significant Risk
 ■ Moderate Risk
 ■ Minor Risk
 ■ On Track

Board Meeting Look Ahead

November

FY 2025, 2026 Audit Final Reports

Back Office Agreement with TCA

Employee Handbook / Procedures

Yolo 80 TRIP: Policy Priorities

Sac 5 Revenue Forecast and Next Steps

ED Q1 Evaluation

December

Caltrans Toll Facility Agreement

Customer Readiness
Communications Implementation

Yolo 80 TRIP: Waterfall Approval

JPA Amendments: STA CARTA
Membership

January

YoloTD Board: JPA Amendments

SACOG Board: JPA Amendments

New Board Member Orientation



Action



Information



Closed Session



Capital Area Regional Tolling Authority



Capital Area Regional Tolling Authority

Meeting Date: October 14, 2026

Agenda Item: 6

Caltrans Yolo 80 Construction Update

Prepared By: Gurtej Bhattal, Caltrans

Attachments: Yes

Recommendation:

None; this item is for information only.

Background:

Information Item on Roadway Construction Status of Yolo 80 Managed Lanes

Discussion:

Major construction activities have continued over the past month. Specific, recent activities include:

- Install microwave units,
- Install permanent signs,
- Install erosion control,
- Pave lanes,
- Install fiber optic communications,
- Remove K-rail.

The remaining activities planned for the 2026 construction season (October to December) include:

- Install signs,
- Pave lanes,
- Install permanent striping,
- Perform ditch grading work,
- Install fiber optic communications,
- Build and stand poles.

Roadway construction completion is anticipated for December 2026. Toll system integrator (TSI) construction will follow.

Attachments:

6B: Presentation

Caltrans Yolo 80 Construction Update

Board of Directors
October 14th, 2026
Attachment 6B



Recent Yolo 80 Construction Activities



Installing Microwave Units

October 14th, 2026

Caltrans Yolo 80 Construction Update

Recent Yolo 80 Construction Activities



Installing Signs

Recent Yolo 80 Construction Activities



Installing Erosion Control

Recent Yolo 80 Construction Activities



Paving Lanes

Recent Yolo 80 Construction Activities



Removing K-Rail

October 14th, 2026

Caltrans Yolo 80 Construction Update

Recent Yolo 80 Construction Activities

- Install microwave units,
- Install permanent signs,
- Install erosion control,
- Pave lanes,
- Install fiber optic communications,
- Remove K-rail.

Oct – Dec '26 Anticipated Activities

- Install signs,
- Pave lanes,
- Install permanent striping,
- Perform ditch grading work,
- Install fiber optic communications,
- Build and stand poles.

Roadway construction completion is anticipated for December 2026. Toll system integrator construction will follow.





Capital Area Regional Tolling Authority

Meeting Date: October 14, 2026

Agenda Item: 7

Yolo 80 Express Toll Lanes Bimonthly Communications Update

Prepared By: Marie Fiore, Drago Vantage

Attachments: Yes

Recommendation:

Receive and file an update on communications and public engagement activities for the Yolo 80 Express Toll Lanes.

Background:

CARTA continues to advance communications and public engagement activities in coordination with project partners, including Caltrans District 3 and the Yolo Transportation District (YoloTD). Regular coordination among public information officers continues monthly to align messaging, identify upcoming communications opportunities, and provide consistent information across partner agencies.

Communications activities are guided by CARTA's Strategic Engagement Framework, which serves as a living document and is updated as project milestones, emerging issues, and customer-readiness needs evolve.

Discussion:

Express Toll Lane Signs Generate Media Interest

Installation of express toll lane signs along the Yolo I-80 corridor marked a highly visible project milestone and generated increased public and media interest.

CARTA posted a construction update explaining that the new signs are part of the ongoing Yolo 80 Express Toll Lanes project and are covered with "Under Construction" banners while construction continues. The update also directs the public to additional information about the project and Express Lane fact sheets, including a Spanish-language version.

The milestone generated positive earned media coverage, including a recent CBS 13 story about the newly installed signs and the Yolo 80 Express Toll Lanes. The coverage provided an opportunity to increase awareness of the project and explain the purpose of the new infrastructure motorists are beginning to see along the corridor.

The response illustrates the value of using visible construction milestones as opportunities for proactive communications and public education as the project progresses.

Ongoing Communications Coordination

CARTA, Caltrans District 3, and YoloTD public information staff continue to meet monthly to coordinate messaging, upcoming milestones, media inquiries, and public information needs. This coordination will become increasingly important as construction becomes more visible and public interest increases.

CARTA continues to maintain and update project information on its website, including construction updates, fact sheets, FAQs, and other customer-facing information. Talking points and supporting materials are also being refined as new questions emerge.

The most current version of the Strategic Engagement Framework was shared with the CARTA Technical Advisory Group and received positive feedback. The framework is intentionally maintained as a living document, allowing CARTA and its partners to proactively identify communications needs while responding to emerging issues, questions, and project milestones.

Recent internal communications work also includes development of a records retention policy and procedure for responding to Public Records Act requests.

Media and Public Sentiment Monitoring

CARTA and its communications partners continue to informally monitor media coverage, online discussion, public inquiries, and potential misinformation related to the project. While a formal media monitoring and reporting program has not yet been implemented, staff and project partners are monitoring emerging issues and public questions.

The recent CBS13 coverage provides an early example of the increased earned media attention anticipated as the project becomes more visible. Monitoring coverage and public response will help CARTA identify information gaps, refine FAQs and talking points, update website content, and determine when proactive communications may be warranted.

Next Steps

Communications activities will continue to evolve as additional project milestones occur and CARTA moves toward customer readiness. Near-term activities include continued monthly Public Information Officer (PIO) coordination, website and FAQ updates, proactive communications around visible construction milestones, development of customer education materials, and monitoring of media coverage and public questions.

The Strategic Engagement Framework will continue to be updated as emerging issues and communications opportunities are identified.

Fiscal Impact: Communications and public engagement activities described in this report are being performed within the approved project scope and budget.

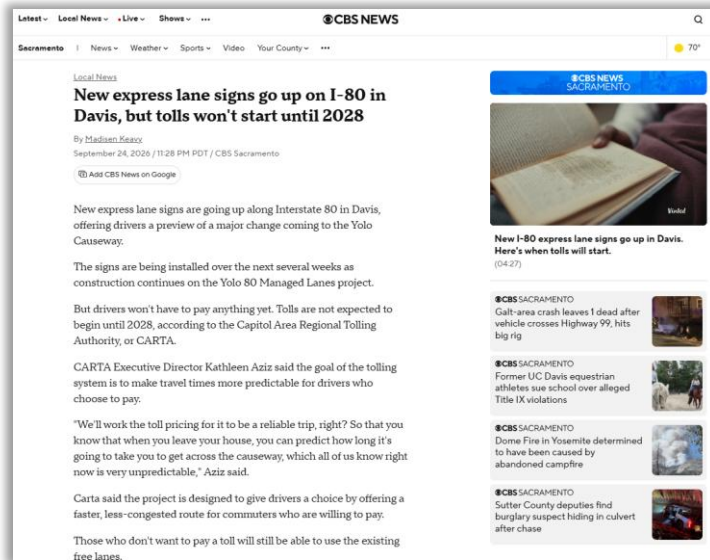
Attachments:
7B: Presentation

Yolo 80 Express Toll Lanes Bimonthly Communications Update

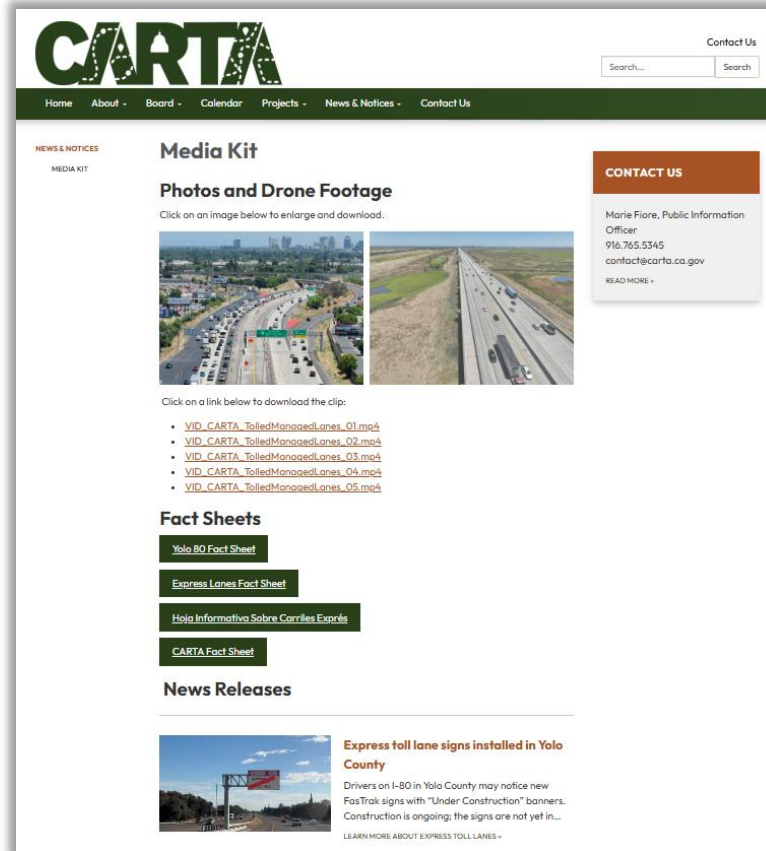
Board of Directors
October 14th, 2026
Attachment 7B



Communications Update



CBS13 news article
SEPTEMBER 24, 2026



Media Kit page on carta.ca.gov



Spanish Express Lanes Fact Sheet



Capital Area Regional Tolling Authority