



## **LOCAL SCHEDULE UT**

### **Retention Schedule for Records of Utility Services**

*Effective November 1, 1994*

This schedule establishes mandatory minimum retention periods for the records listed. No local government office may dispose of a record listed in this schedule prior to the expiration of its retention period. A records control schedule of a local government may not set a retention period for a record that is less than that established for the record on this schedule. The originals of records listed in this schedule may be disposed of prior to the expiration of the stated minimum retention period if they have been microfilmed or electronically stored pursuant to the provisions of the Local Government Code, Chapter 204 or Chapter 205, as applicable, and rules of the Texas State Library and Archives Commission adopted under authority of those chapters. Actual disposal of such records by a local government or an elective county office is subject to the policies and procedures of its records management program.

Destruction of local government records contrary to the provisions of the Local Government Records Act of 1989 and administrative rules adopted under its authority, including this schedule, is a Class A misdemeanor and, under certain circumstances, a third degree felony (Penal Code, Section 37.10). Anyone destroying local government records without legal authorization may also be subject to criminal penalties and fines under the Open Records Act (Government Code, Chapter 552).

## **INTRODUCTION**

The Government Code, Section 441.158, provides that the Texas State Library and Archives Commission shall issue records retention schedules for each type of local government, including a schedule for records common to all types of local government. The law provides further that each schedule must state the retention period prescribed by federal or state law, rule of court, or regulation for a record for which a period is prescribed; and prescribe retention periods for all other records, which periods have the same effect as if prescribed by law after the records retention schedule is adopted as a rule of the commission.

Local Schedule UT sets mandatory minimum retention periods for records series (identified in the Records Series Title column) maintained in water districts and by local government owned water and wastewater, solid waste, electric, and gas utility departments. If the retention period for a record is established in a federal or state law, rule of court, or regulation, a citation to the relevant provision is given; if no citation is given, the authority for the retention period is this schedule.

The retention period for a record applies to the record regardless of the medium in which it is maintained. Some records listed in this schedule are maintained electronically in many offices, but electronically stored data used to create in any manner a record or the functional equivalent of a record as described in this schedule must be retained, along with the hardware and software necessary to access the data, for the retention period assigned to the record, unless backup copies of the data generated from electronic storage are retained in paper or on microfilm for the retention period.

Unless otherwise stated, the retention period for a record is in calendar years from the date of its creation. The retention period, again unless otherwise noted, applies only to an official record as distinct from convenience or working copies created for informational purposes. Where several copies are maintained, each local government should decide which shall be the official record and in which of its divisions or departments it will be maintained. Local governments in their records management programs should establish policies and procedures to provide for the systematic disposal of copies.

If a record described in this schedule is maintained in a bound volume of a type in which pages are not designed to be removed, the retention period, unless otherwise stated, dates from the date of last entry.

If two or more records listed in this schedule are maintained together by a local government and are not severable, the combined record must be retained for the length of time of the component with the longest retention period. A record whose minimum retention period on this schedule has not yet expired and is **less than permanent** may be disposed of if it has been so badly damaged by fire, water, or insect or rodent infestation as to render it unreadable, or if portions of the information in the record have been so thoroughly destroyed that remaining portions are unintelligible. If the retention period for the record is **permanent** on this schedule, authority to dispose of the damaged record must be obtained from the director and librarian of the Texas State Library. The Request for Authority to Destroy Unscheduled Records (Form SLR 501) should be used for this purpose.

Requests for Authority to Destroy Unscheduled Records (SLR 501), whose submission to the director and librarian of the Texas State Library is required by the Local Government Code, Section 203.045, need not be filed for records shown as exempt from the requirement.

Certain records listed in this schedule are assigned the retention period of AV (as long as administratively valuable). This retention period affords local governments the maximum amount of discretion in determining a specific retention period for the record described. Although AV may be used as a retention period on a records control schedule of a local government, it is in the best interests of any records management program that fixed retention periods be assigned for each records series. AV records tend to accumulate and go unmanaged.

## **ABBREVIATIONS USED IN THIS SCHEDULE**

AV - As long as administratively valuable

CFR - Code of Federal Regulations

FE - Fiscal year end

LA - Life of asset

TAC - Texas Administrative Code

US - Until superseded

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## RECORDS OF UTILITY SERVICES

**Retention Notes:** a) This schedule should be used by water districts and by local government owned water and wastewater, solid waste, electric, and gas utility departments.

b) For administrative, financial, personnel, and support services records not included in this schedule, see Local Schedule GR (Records Common to All Governments).

### PART 1: GENERAL RECORDS

**Retention Note:** The records listed in this part are those common to two or more of the utility operations covered in Parts 2-5 of this schedule.

**5000-01 COMMUNICATIONS WITH REGULATORY AUTHORITY, RECORD OF** - Record maintained by a municipality as a utility regulatory authority detailing contacts by regulated utilities or their affiliates or representatives with the municipality. RETENTION: 2 years.

**5000-02 COMPLAINTS** - Record of complaints made in person, by telephone, or by letter to utilities from customers or applicants for services *except* that complaints requiring no further action by the utility need not be recorded. Includes the name and address of the complainant, the date and nature of the complaint, and the adjustment or disposition made. RETENTION: Final settlement of complaint + 2 years. [By regulation - 30 TAC 291.81(b)(4) for water utilities, 16 TAC 23.41(b)(4) for electricity services by river authorities, and by authority of this schedule for all others.]

**5000-03 CONFIDENTIALITY REQUESTS** - Forms or other written requests submitted by utility customers requesting confidentiality of personal information (address, telephone number, and social security number) in account records, including any subsequent written instructions to rescind requests for confidentiality.

a) If indication of confidentiality *is* made in a customer account history (item number 5000-05). RETENTION: AV after indication made. (Exempt from destruction request requirement)

b) If indication of confidentiality *is not* made in a customer account history (item number 5000-05). RETENTION: Until destruction of all records that contain personal information about the customer.

**Retention Note:** This record consists only of separate forms used by a utility to determine the wishes of a customer concerning confidentiality. It does not include confidentiality requests made on return portions of statements, service applications, etc.

**5000-04 CUSTOMER BILLING RECORDS** - Monthly or other periodic billing detail records on each customer utility account documenting utility charges and payments.

a) River authorities for electricity. RETENTION: 2 years. [By regulation - 16 TAC 23.45(m).]

b) River authorities for services other than electricity and all other government utilities, if records *do not document* the payment of any monies remittable to the State Comptroller of Public Accounts. RETENTION: FE + 3 years.

c) River authorities for services other than electricity and all other government utilities, if records *document* the payment of any monies remittable to the State Comptroller of Public Accounts. RETENTION: FE + 5 years.

**5000-05 CUSTOMER ACCOUNT HISTORIES** - Account history of each customer of a utility, including all information (name, address, account number, etc.) necessary to provide and bill for services. RETENTION: Close of account + 2 years.

**5000-06 CUSTOMER USAGE REPORTS AND PLANS** - Reports, plans, or similar records that by law or regulation must be submitted to a utility from customers concerning intended or actual use of the utility system (e.g. statements of intent to irrigate acreage submitted to an irrigation district, industrial user discharge reports submitted to publicly-owned treatment works, etc.). RETENTION: 3 years. [By regulation - 40 CFR 403.12(o)(3) for industrial user discharge reports and by authority of this schedule for all others.]

**5000-07 DISCONTINUANCE OF SERVICE RECORDS** - Records relating to the actual or threatened disconnection or discontinuance of utility service to a customer for non-payment or violation of terms of service, including termination notices, attending physician statements, energy assistance grant notifications, deferred payment agreements, and resolution of dispute review documents. RETENTION: 1 year. (Exempt from destruction request requirement)

**5000-08 EQUIPMENT HISTORY RECORDS** - Records on individual items of equipment, machinery, apparatus, or other physical components integral to the functioning of a utility system, including records of installation, inspection, testing, maintenance, and repair. See also item number 5000-09.

a) Records of installation, inspection, testing, maintenance, and repair of equipment *except* for equipment and vehicle preventive maintenance records of solid waste facilities for the storage, processing, or disposal of whole used or scrap tires. RETENTION: LA.

b) Equipment and vehicle preventive maintenance records of solid waste facilities for the storage, processing, or disposal of whole used or scrap tires. RETENTION: 3 years. [By regulation - 30 TAC 330.845(b).]

c) Records of the calibration of testing and monitoring instruments. RETENTION: 3 years. [By regulation - 30 TAC 319.7(c) for instrumentation used in monitoring waste discharge, 30 TAC 335.366(b)(3) for instrumentation used to monitor air emissions, and by authority of this schedule for all others.]

**5000-09 EQUIPMENT INVENTORY RECORDS** - Registers, index cards, or similar records providing an inventory of equipment, machinery, apparatus, and other physical components installed or in use in a utility system, showing location, date of installation, and similar data.

a) For a complete inventory that is periodically revised and reprinted. RETENTION: US + 1 year. (Exempt from destruction request requirement)

b) For an inventory that is maintained on cards or similar discrete media. RETENTION: PERMANENT, *but see retention note.*

**Retention Note:** Records of individual items may be pulled from a card or similar file and destroyed when the item is junked or salvaged. (Exempt from destruction request requirement)

**5000-10 MAPS AND PLATS** - Maps and plats of local government owned utility systems showing service areas, facilities, and infrastructure. See also item number 5000-14.

a) Landfills. RETENTION: PERMANENT.

b) All other utilities. RETENTION: US. (Review before disposal; some maps may merit permanent retention for historical reasons. Exempt from destruction request requirement)

**5000-11 METER READING RECORDS** - Books, cards, sheets, or similar records, such as those maintained in automated systems, showing monthly or other periodic utility consumption recorded on each meter, including those provided by customers in customer-read programs. RETENTION: 3 years.

**5000-12 OPERATION AND MAINTENANCE MANUALS** - Manuals detailing procedures for the operation and maintenance of utility systems and equipment. RETENTION: US. (Exempt from destruction request requirement)

**5000-13 PLANNING STUDIES AND REPORTS** - Studies, reports, analyses, research data, projections, graphic material, and similar planning documents by outside consultants or in-house staff relating to comprehensive planning, capital improvements, land use and open space, economic development and outlook, regional and intergovernmental cooperation, growth patterns, demographics, long range forecasts and projections, and other aspects of utility planning *not* listed elsewhere in this schedule.

a) Special planning studies or reports prepared by order or request of the governing body or considered by the governing body (as reflected in its minutes) or ordered or requested by a state or federal agency or a court. RETENTION: PERMANENT.

b) All other planning reports or studies. RETENTION: 10 years. [Review before disposal; many records of this type may merit permanent or long-term retention for administrative or historical reasons. See also item number 1000-39 in Local Schedule GR (Records Common to All Local Governments).]

**Retention Note:** Be certain that planning documents do not fall within other records series. For example, excavation and construction plans are included under item number 5000-14(a) and plans required for a solid waste land disposal site are included under item number 5050-07(b).

**5000-14 PRIVATE UTILITY PLANS AND MAPS** - Excavation and construction plans, maps and diagrams, and similar records concerning the transmission and distribution systems of privately owned electric, gas, water, telephone, telegraph, and cable television companies maintained by a local government.

a) Excavation and construction plans. RETENTION: AV after completion of work. (Exempt from destruction request requirement)

b) Maps. RETENTION: US. (Exempt from destruction request requirement)

**5000-15 RATE SCHEDULES, REGULATIONS, AND CHANGE DOCUMENTATION** - Tariffs containing schedules of all rates, tolls, charges, and regulations pertaining to all services provided by a utility, including notices of intent to change rates and associated rate change or rate appeal documentation.

a) Maintained by a local government as operator of a utility (including superseded tariffs). RETENTION: PERMANENT.

b) Maintained by a municipality or other local government as a regulatory authority. RETENTION: a) Tariffs - US; b) All other documentation - 5 years. (Exempt from destruction request requirement)

c) Received and maintained by a local government as an entity to be affected by proposed change. RETENTION: AV. (Exempt from destruction request requirement)

d) Rate appeal documentation maintained by a local government appealing a rate determination. RETENTION: AV after final disposition of the appeal.

**5000-16 SERVICE APPLICATION AND DEPOSIT RECORDS**

a) Service applications, unless needed for (b). RETENTION: 1 year. (Exempt from destruction request requirement)

b) Receipts, refund cards, and related records documenting customer deposits and refunds. RETENTION: FE of refund of deposit or its credit to unpaid balance + 3 years.

c) Records of unclaimed deposits. RETENTION: 4 years. [By regulation - 30 TAC 291.84(f)(3) for water utilities, 16 TAC 23.45(m) for electricity services by river authorities, and by authority of this schedule for all others.]

**5000-17 SERVICE INTERRUPTION RECORDS** - Reports, logs, or similar records detailing location, time, and cause of interruption of utility services or operations, including any written reports of service interruptions submitted to a regulatory authority as required by law or regulation. RETENTION: 3 years.

**5000-18 STANDARDS AND SPECIFICATIONS FILES** - Standards and specifications for materials, supplies, and services. RETENTION: AV. (Exempt from destruction request requirement)

**Retention Note:** Standards and specifications related to records series listed in Local Schedule GR (Records Common to All Governments) such as bid proposals (item number 1075-01) and construction project files (item number 1075-16) should be maintained for the retention period adopted for those records.

**5000-19 WORK ORDERS** - Work orders, service orders, and similar records requesting, authorizing, and describing work to be done by utility personnel. RETENTION: 2 years.

## **PART 2: WATER AND WASTEWATER RECORDS**

**5025-01 BACTERIOLOGICAL ANALYSIS RECORDS** - Records of bacteriological analyses of water and wastewater systems. RETENTION: 5 years. [By regulation - 30 TAC 290.112(1).]

**5025-02 CHEMICAL ANALYSIS RECORDS** - Records of chemical analyses of water and wastewater systems. RETENTION: 10 years. [By regulation - 30 TAC 290.112(1).]

**5025-03 GROUNDWATER MONITORING RECORDS** - For water and wastewater permits containing a groundwater monitoring requirement, records from all groundwater monitoring wells and associated groundwater surface elevations. RETENTION: 3 years. [By regulation - 30 TAC 319.7(c) for waste discharge permits and by authority of this schedule for all others.]

**5025-04 INSPECTION RECORDS** - Logs, reports or similar records of inspection of septic tanks, catch basins, or other private sector water-related facilities by water or wastewater personnel. RETENTION: 3 years.

**5025-05 LEAD AND COPPER COMPLIANCE RECORDS** - Records of all sampling data and analyses, reports, surveys, letters, evaluations, schedules, state determinations, and other information required by the Environmental Protection Agency to demonstrate compliance with requirements concerning corrosion control treatment, source water treatment, lead service line

replacement, public education and supplemental monitoring, water quality parameters, and monitoring of lead and copper in source and tap water. RETENTION: 12 years. [By regulation - 40 CFR 141.91.]

#### **5025-06 OPERATIONAL PERMITS AND APPROVALS**

a) Permits and approvals from the Texas Natural Resource Conservation Commission, the Environmental Protection Agency, and other county, state, and federal agencies as required by law or regulation concerning wastewater treatment and disposal, water use, water districts, environmental protection; and any reports, correspondence, or other documentation bearing directly on the application for, the issuance of, or the renewal of the permit or approval.

RETENTION: Expiration, cancellation, revocation, or denial + 5 years.

b) Records concerning any variance or exemption granted to a system. RETENTION: Expiration of variance or exemption + 5 years. [By regulation - 30 TAC 290.112(4).]

**5025-07 OPERATIONS RECORDS** - Internal records, reports, logs, or similar records that document or summarize the operations of water supply, treatment, and distribution facilities, stations, and systems; and wastewater collection and treatment facilities, plants, and systems.

a) Records of monitoring activities, including records concerning measurements and analyses performed and concerning calibration and maintenance of flow measurement and other instrumentation. RETENTION: 3 years. [By regulation - 30 TAC 319.7(c) for wastewater operations and by authority of this schedule for all others.]

b) Periodic logs or reports compiled on less than an annual basis. RETENTION: 3 years.

c) Annual or biennial reports. RETENTION: PERMANENT.

**5025-08 REPORTS TO REGULATORY AUTHORITIES** - Periodic monitoring, financial, and operational reports submitted to the Texas Natural Resource Conservation Commission, the Environmental Protection Agency, or other agencies and local governments as required by law or regulation on the collection, treatment, and disposal of wastewater and for monitoring the quality of any water in the state.

a) Periodic reports compiled and submitted on less than an annual basis. RETENTION: 3 years.

b) Annual and biennial reports or special reports ordered or required by a regulatory authority. RETENTION: PERMANENT.

**5025-09 SANITARY SURVEYS** - Surveys, studies, or reports examining the overall sanitary condition of water and wastewater systems. RETENTION: 10 years. [By regulation - 30 TAC 290.112(3).]

**5025-10 TAP AND HOOK-UP LOGS** - Logs, log sheets, or comparable documents providing a record of water or sewer tap and hook-up permits issued showing location, date of installation, and similar data. RETENTION: PERMANENT.

**5025-11 VIOLATION REPORTS** - Reports, correspondence, and similar records relating to actions taken to correct violations of federal, state, or local primary drinking water regulations; or of other water or wastewater-related laws, ordinances, or regulations. RETENTION: 3 years after last action taken with respect to the particular violation. [By regulation - 30 TAC 290.112(2).]

**5025-12 WATER AND WASTEWATER PERMIT FILES**

a) Applications for and similar records relating to the issuance and renewal of permits by a local government for the installation of septic tanks, water and sewer taps and hook-ups, and water meters; for waste discharge; and for other water or wastewater-related installations or activities required by ordinance, regulation, or statute (for logs of such permits see item numbers 5025-10 and 5025-13). RETENTION: Expiration, cancellation, revocation, or denial of the permit + 5 years.

b) Records concerning variances or exemptions. RETENTION: Expiration of variance or exemption + 5 years. [By regulation - 30 TAC 290.112(4).]

**5025-13 WATER AND WASTEWATER PERMIT LOGS** - Logbooks, registers, or comparable documents providing a record of water and wastewater permits issued by a local government or any of its departments or subdivisions. RETENTION: PERMANENT.

**5025-14 WATER AND WASTEWATER TREATMENT SLUDGE RECORDS**

a) Records of operators of public water and wastewater treatment plants that apply sewage sludge to land for beneficial use or prepare/provide sewage sludge to persons who prepare, apply, sell, or give away sewage sludge for land application for beneficial use. Includes sludge sample analyses; certification statements; and descriptions of how pathogen requirements, vector attraction reduction requirements, site restrictions, and management practices are met. RETENTION: 5 years. [By regulation - 30 TAC 312.47(a) and (b).]

b) Records of operators of public water and wastewater treatment plants that prepare sewage sludge that is to be placed on a surface disposal site including sludge sample analyses, certification statements, and descriptions of how pathogen requirements and vector attraction reduction requirements are met. RETENTION: 5 years. [By regulation - 30 TAC 312.67(a)(1).]

c) Monitoring information relating to sewage sludge use and disposal activities. RETENTION: 5 years. [By regulation - 30 TAC 305.125(11)(B).]

d) Trip tickets completed by transporter and retained by generator of sludge. RETENTION: 5 years.

**5025-15 WATER POLLUTION CONTROL AND ABATEMENT FILES** - Studies, staff reports, surveys, and similar monitoring and planning records relating to the control and abatement of actual or potential water pollution in a municipality designed to meet the pollution abatement responsibilities of cities pursuant to provisions of the Water Code, Section 26.177.  
RETENTION: 5 years.

### **PART 3: SOLID WASTE AND HAZARDOUS WASTE MANAGEMENT RECORDS**

**Retention Notes:** a) This section applies to facilities owned, operated, or leased by a local government for the collection, handling, transfer, storage, processing, and disposal of solid waste, including medical waste and sludges generated by water supply or wastewater treatment plants, and hazardous waste except for radioactive materials.

b) For Radiation Control Records see item number 4750-07, Local Schedule HR (Records of Public Health Agencies).

**5050-01 AIR POLLUTION CONTROL MONITORING RECORDS** - Documentation required by solid and hazardous waste permits to assure compliance with air pollution control standards including stack sampling analyses, emissions monitoring, or other tests related to air emissions to prove satisfactory equipment performance *except* for sewage sludge incineration. See also item number 5050-07(c)(2). RETENTION: 3 years. [By regulation - 30 TAC 120.21(b)(3).]

#### **5050-02 ASBESTOS DISPOSAL RECORDS**

a) Waste shipment record. RETENTION: 2 years. [By regulation - 40 CFR 61.154(e)(4).]

b) Map or diagram showing location, depth and area, and quantity of asbestos-containing waste within the disposal site. RETENTION: Until closure of site. [By regulation - 40 CFR 61.154(f).]

**5050-03 GROUNDWATER MONITORING RECORDS** - Records of solid waste and hazardous waste collection, storage, processing, and disposal facilities that have a groundwater monitoring requirement, including analyses of samples, measurements of indicator parameters, certifications, and any other demonstrations, findings, testing, and analytical data relating to groundwater monitoring and corrective action. RETENTION: Life of the facility including the post-closure care period. [By regulation - 30 TAC 330.113(d) for solid waste land disposal sites, 30 TAC 335 117(a)(1) and (b)(1) for hazardous waste storage, processing, and disposal facilities, and by authority of this schedule for all others.]

**5050-04 HAZARDOUS WASTE TRAINING RECORDS** - Documentation of classroom instruction and on-the-job training of hazardous waste personnel sufficient to demonstrate appropriate training in compliance with federal requirements for personnel training.

a) Current personnel. RETENTION: Until closure of facility. [By regulation - 40 CFR 264.16(e).]

b) Former employees. RETENTION: Date of termination + 3 years. [By regulation - 40 CFR 264.16(e).]

**5050-05 MANIFESTS AND TRIP TICKETS** - Documents maintained to provide a record of solid waste or hazardous waste shipments, including manifests, trip tickets, shipping papers, bills of lading, daily logs, and other similar approved documentation.

a) Manifests and trip tickets retained by operators of collection, storage, processing, or disposal facilities to document the type and quantity of solid waste delivered *except* solid waste disposal sites that receive special wastes and facilities that handle used oil filters, waste tires, sewage sludge, hazardous waste, or Class I industrial waste.

1) If the ticket is the only source document used for any billing purposes. RETENTION: 1 year. (Exempt from destruction request requirement)

2) If another document is used for any billing purposes. RETENTION: 90 days. (Exempt from destruction request requirement)

b) Bills of lading and other shipping records retained by operators of processing facilities and collection centers to document the transfer of used oil filters. RETENTION: 3 years. [By regulation - 30 TAC 330.1185(c)(1) for processors and 30 TAC 330.1186((b) for collection centers.]

c) Manifests, documentation of specific locations of tires upon delivery, and daily shipment logs retained by operators of waste tire facilities. RETENTION: 3 years. [By regulation - 30 TAC 330.845(b).]

d) Trip tickets or similar documentation retained by the operators of facilities that apply prepared sewage sludge, water treatment sludge, and domestic septage to the land for beneficial uses or place it on a surface disposal site. RETENTION: 5 years.

e) Manifests and trip tickets and other tracking records retained by operators of solid waste land disposal sites to document the delivery of special wastes such as medical wastes (bulk human blood and blood products, microbiological waste, sharps, etc.); wastewater, sewage, and water-supply treatment sludges; septic tank pumpings; grease and grit trap wastes; and other solid waste requiring special handling to protect human health or the environment. RETENTION: Life of facility including post-closure period. [By regulation - 30 TAC 330.113(d).]

f) Manifests or shipping papers retained by operators of storage, processing, or disposal facilities to document the delivery of hazardous waste or Class I industrial waste *except* for solid waste land disposal sites that receive special wastes. RETENTION: 3 years. [By regulation - 30 TAC 335.15(1) and (3).]

g) Waste shipping records retained by transporters to document the collection and deposit of solid wastes and hazardous waste *except* sewage sludges. Includes manifests, waste shipping control tickets, shipping papers, bills of lading, daily logs, or other similar approved documentation. RETENTION: 3 years. [By regulation - 30 TAC 330.815(b) for used or scrap tires; 30 TAC 330.825(a) for mobile tire processors; 30 TAC 335.14(a)-(d) for municipal hazardous wastes or Class I industrial solid wastes; 30 TAC 330.1184(a)(6) for used oil filters; 30 TAC 330.1005(l) for medical waste, and by authority of this schedule for all others.]

h) Trip tickets or similar documentation retained by transporters of sewage sludge, water treatment sludge, septage, chemical toilet waste, or grit trap waste. RETENTION: 5 years.

#### **5050-06 OPERATIONAL PERMITS AND APPROVALS**

a) Permits, registrations, and other approvals from the Texas Natural Resource Conservation Commission and any other local, state, or federal agency, as may be required by law or regulation concerning the collection, handling, transfer, storage, processing, transportation, and disposal of solid waste or hazardous waste by a local government *except* for the operation of solid waste land disposal sites. Includes any reports, correspondence, or other documentation bearing directly on the application for, the issuance of, or the renewal of the permit or license and any variances or exemptions granted to a facility. RETENTION: Expiration, cancellation, revocation, or denial + 5 years.

b) Permits from the Texas Natural Resource Conservation Commission concerning the operation of a solid waste land disposal site, including any reports, correspondence, or other documentation bearing directly on the application for, the issuance of, or the renewal of the permit and any modifications to the permit. RETENTION: Life of the facility including the post-closure care period. [By regulation - 30 TAC 330.113(a) and (d).]

**5050-07 OPERATIONS RECORDS** - Internal operational records and reports on any aspect of the collection, handling, transfer, storage, processing, and disposal of solid waste or hazardous waste by a local government *except* those reports that might be included elsewhere in this schedule, such as item numbers 5050-06 and 5050-11.

a) Solid waste management operations *except* solid waste land disposal sites, sewage sludge disposal operations, and waste tire facilities.

1) Records of solid waste management and monitoring activities, including documentation of compliance with standards such as strip charts and instrument calibration. RETENTION: 3 years. [By regulation - 30 TAC 330.1182(4) for storage, processing, or handling of used oil filters and by authority of this schedule for all others.]

2) Periodic logs or reports compiled on less than an annual basis. RETENTION: 3 years.

3) Annual or biennial reports. RETENTION: PERMANENT.

b) Operating record of solid waste land disposal sites including required plans and related documents such as the approved Site Development Plan, the Final Closure Plan, the Post-Closure Plan, the Landfill Gas Management Plan; documentation of groundwater monitoring and corrective actions; cost estimates and financial assurance documentation relating to closure and post-closure; copies of correspondence and responses relating to the operation of the facility; and any other documents specified by the approved permit. RETENTION: Life of the facility including the post-closure care period. [By regulation - 30 TAC 330.113(d).]

c) Sludge disposal operations for sewage sludge, water treatment sludge, septage, chemical toilet waste, or grit trap waste.

1) Records of disposal of sewage sludge and domestic septage on a surface disposal site, including sludge sample analyses; certification statements; descriptions of how pathogen requirements, vector attraction reduction requirements, site restrictions, and management practices are met; and identification of land on which disposal operations are carried out. RETENTION: 5 years. [By regulation - 30 TAC 312.67(a)(2) for sewage sludge and 30 TAC 312.67(b)(1) and (b)(2) for domestic septage.]

2) Records of disposal of sewage sludge, water treatment sludge, septage, chemical toilet waste, or grit trap waste by firing in a sewage sludge incinerator, including measurements of the concentration of metals in the sludge fed to the incinerator, information verifying compliance with air pollution control requirements, and a calibration and maintenance log for the instruments used to monitor the exit gas and combustion temperatures. RETENTION: 5 years. [By regulation - 40 CFR 503.47(a).]

d) Records of waste tire facilities including a description of events at the facility relating to routine maintenance, fires, thefts, spraying for vectors, etc.; the annual report required by the Texas Natural Resources Conservation Commission; a log containing copies of all monthly reimbursement vouchers; a record of the dates and documentation of calibration by the manufacturer of the scale; and a log containing copies of the monthly operations reports. RETENTION: 3 years. [By regulation - 30 TAC 330.845(b).]

e) Hazardous waste operations.

1) Operating record of hazardous waste storage, processing, and disposal facilities, including a description of and quantity of each hazardous waste received; the method and date of its treatment, storage, or disposal; the location of each hazardous waste in the facility and the quantity at each location; a map or diagram of each cell or disposal area; results of waste analyses; reports of incidents that require implementation of the contingency plan; testing or analytical data and corrective action taken; and other records as required by federal regulation. RETENTION: Until closure of the facility. [By regulation - 40 CFR 265.73(b).]

**Retention Note:** The retention period for the hazardous waste operating record is extended automatically during the course of any unresolved enforcement action regarding the facility.

2) General inspection reports for hazardous waste storage, processing, and disposal facilities. RETENTION: 3 years. [By regulation - 40 CFR 265.73(b)(5).]

**Retention Note:** The retention period for the inspection reports is extended automatically during the course of any unresolved enforcement action regarding the facility.

3) Annual or biennial reports. RETENTION: PERMANENT.

**5050-08 REPORTS TO REGULATORY AUTHORITIES** - Periodic monitoring, financial, and operational reports submitted to the Texas Natural Resources Conservation Commission, the Environmental Protection Agency, or other agencies or local governments as required by law or regulation on the management of solid waste or hazardous waste.

a) Periodic reports compiled and submitted on less than an annual basis. RETENTION: 3 years.

**Retention Note:** Reports of monitoring programs related to specific permits such as hazardous waste operations and solid waste disposal land sites shall be maintained for the retention period required for the operations records.

b) Annual or biennial reports or special reports ordered by a regulatory authority. RETENTION: PERMANENT.

**5050-09 SOLID WASTE MANAGEMENT PERMITS AND LICENSES**

a) Applications, copies of permits or licenses, and related documentation concerning the issuance of permits or licenses by a local government for the collection, handling, transfer, storage, processing, transportation, and disposal of solid waste by private concerns or individuals as may be required by local ordinance; and similar records relating to the review by a local government of waste disposal plant permits submitted to the Texas Natural Resource Conservation Commission. RETENTION: Expiration, cancellation, revocation, or denial of the permit + 3 years.

b) Records concerning any variance or exemption granted to a permittee. RETENTION: Expiration of variance or exemption + 3 years.

**5050-10 SOLID WASTE MANAGEMENT PERMIT AND LICENSE LOGS** - Logbooks, registers, or comparable documents providing a record of solid waste management permits and licenses issued by a local government. RETENTION: PERMANENT.

**5050-11 TONNAGE REPORTS** - Daily tonnage reports of solid waste handled and processed in a sanitary landfill, disposal plant, composting plant, or resource recovery facility. See also item numbers 5050-05 and 5050-07.

a) If figures *are* totaled on a monthly report. RETENTION: 60 days. (Exempt from destruction request requirement)

b) If figures *are not* totaled on a monthly report. RETENTION: 3 years.

**5050-12 TRANSPORTATION OF SOLID AND HAZARDOUS WASTE RECORDS**

a) Documentation that solid waste or hazardous waste was taken to an authorized facility. RETENTION: 3 years. [By regulation - 30 TAC 330.1005(l) for medical waste, 30 TAC 330.32(c) for solid waste, and by authority of this schedule for all others.]

b) Records of the cleaning and disinfecting of vehicles used to transport medical waste. RETENTION: 3 years. [By regulation - 30 TAC 330.1005(h).]

c) Annual summary reports of waste shipment activities. RETENTION: PERMANENT.

**5050-13 UNDERGROUND INJECTION CONTROL MONITORING** - Records of all data resulting from any monitoring activities, including the chemical and physical characteristics of injected fluids or other records required by an underground injection well permit. RETENTION: 5 years following well plugging and abandonment. [By regulation - 30 TAC 331.67(c) for Class I hazardous well and 30 TAC 331.169(c) for Class I salt cavern solid waste disposal well.]

**5050-14 UNDERGROUND INJECTION CONTROL PERMITS** - Copies of injection well permits filed by rule (30 TAC, Chapter 331) of the Texas Natural Resource Conservation Commission with the health and pollution control authorities of the counties, cities, and towns where the wells are located. RETENTION: 5 years following well plugging and abandonment.

**PART 4: ELECTRIC UTILITY RECORDS**

**Retention Note:** In addition to retention periods listed in this schedule and other commission schedules, the Texas State Library and Archives Commission (TSLAC) adopts certain rules, as listed below, of the Federal Energy Regulatory Commission relating to the preservation and retention of electric utility records for use by Texas river authorities. River authorities that provide electricity must follow the retention periods in the federal schedule (see 18 CFR 125.3) for records listed and follow retention periods set in this and other TSLAC schedules for records not listed in the federal schedule. In accordance with 18 CFR 125.2(a)(2), if a record is listed in both the federal and a TSLAC schedule and the retention period given on a TSLAC schedule is longer, the longer retention period must be followed.

The Texas State Library and Archives Commission adopts the following rules of the Federal Energy Regulatory Commission by reference: 18 CFR 125.2(a)(1)-(3); 125.2(j); 125.2(n)(2)-(5); and 125.3.

**5075-01 CERTIFICATES OF CONVENIENCE AND NECESSITY** - Applications for and certificates of convenience and necessity issued by the Public Utility Commission.

a) Denied applications. RETENTION: AV.

b) Approved applications and issued certificates. RETENTION: PERMANENT.

**5075-02 GROSS RECEIPTS ASSESSMENT REPORT** - Annual or quarterly gross receipts assessment reports submitted to the State Comptroller of Public Accounts. RETENTION: FE + 5 years.

**5075-03 OPERATIONS REPORTS** - Internal reports, logs, or charts that document or summarize the operations of electric utility facilities, plants, and systems.

a) Recording instrument charts. RETENTION: 1 year. (Exempt from destruction request requirement.)

b) Periodic reports and logs compiled on less than an annual basis. RETENTION: 3 years.

c) Periodic surveys to secure data for compliance reports submitted to regulatory authorities (e.g., voltage surveys). RETENTION: 3 years.

d) Annual reports. RETENTION: PERMANENT.

**5075-04 REPORTS AND PLANS TO THE PUBLIC UTILITY COMMISSION** - Reports or plans, as required by law or regulation, submitted to the Public Utility Commission as regulatory authority by local government owned electric utilities *except* reports listed elsewhere in this schedule.

a) Annual and biennial reports or special reports ordered or required by a regulatory authority. RETENTION: PERMANENT.

b) Periodic reports compiled and submitted on less than an annual basis. RETENTION: 3 years.

c) Construction reports (including preliminary, monthly progress, quarterly status, and annual cost and schedule variance analyses). RETENTION: PERMANENT.

**5075-05 REPORTS AND PLANS TO MUNICIPALITY AS REGULATORY AUTHORITY** - Reports prescribed by state law or regulation or local policy received by a municipality as regulatory authority from electric utilities. RETENTION: 5 years.

**5075-06 RIVER FLOW DATA** - River flow data collected in connection with hydroelectric plant operations. RETENTION: PERMANENT.

## **PART 5: GAS UTILITY RECORDS**

**5100-01 GAS LEAK INVESTIGATION REPORTS** - Reports of investigation of gas leaks. RETENTION: 2 years.

### **5100-02 ODORIZATION RECORDS**

a) List of odorization equipment in use, showing location, brand name and model number, and date last serviced. RETENTION: US + 1 year. (Exempt from destruction request requirement)

b) Malodorant injection reports. RETENTION: 2 years.

c) Malodorant concentration test reports. RETENTION: 2 years. [By regulation - 16 TAC 7.71(g)(1) and (3).]

**5100-03 OPERATIONS REPORTS** - Internal reports, logs, or charts that document or summarize the operations of gas utility facilities, plants, and systems, *except* those noted elsewhere in this schedule.

a) Recording and gas measuring instrument charts. RETENTION: 1 year. (Exempt from destruction request requirement)

b) Periodic reports and logs compiled on less than an annual basis *unless* includable in subsection (d). RETENTION: 3 years.

c) Periodic surveys to secure data for compliance reports submitted to regulatory authorities *unless* includable in subsection (d). RETENTION: 3 years.

d) Periodic reports, logs, or surveys necessary to demonstrate compliance with natural gas pipeline safety rules of the Texas Railroad Commission, including accident reports. RETENTION: 5 years. [By regulation - 16 TAC 7.70(h).]

e) Annual reports. RETENTION: PERMANENT.

**5100-04 REPORTS AND PLANS TO THE RAILROAD COMMISSION** - Reports or plans, as required by law or regulation, submitted to the Railroad Commission as regulatory authority by local government owned gas utilities *except* reports listed elsewhere in this schedule.

a) Annual and biennial reports or special reports ordered or required by a regulatory authority. RETENTION: PERMANENT.

b) Periodic reports compiled and submitted on less than an annual basis. RETENTION: 3 years.

c) Construction reports. RETENTION: PERMANENT.

**5100-05 REPORTS AND PLANS TO MUNICIPALITY AS REGULATORY AUTHORITY -**

Reports prescribed by state law or regulation or local policy received by a municipality as regulatory authority from gas utilities. RETENTION: 5 years.