



TEXAS STATE LIBRARY AND ARCHIVES COMMISSION

LOCAL SCHEDULE UT (Second Edition)

RETENTION SCHEDULE FOR RECORDS OF PUBLIC UTILITY SERVICES

This schedule establishes mandatory minimum retention periods for records maintained in water districts and by local government-owned water and wastewater, solid waste, electric, gas, or other special utility districts. 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 that is less than that established for the record in this schedule. Original paper records may be disposed of prior to the expiration of their minimum retention periods 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 those chapters. Actual disposal of such records by a local government 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 it, 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 Public Information 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.

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 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.

A local government record may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated prior to the destruction of the record until the completion of the action and the resolution of all issues that arise from it or until the expiration of the retention period of the record, whichever is later.

If a record described in this schedule is maintained in a bound volume of a type in which pages were not meant 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** in this schedule, authority to dispose of the damaged record must be obtained from the director and librarian of the Texas State Library and Archives Commission. A Request for Authority to Destroy Unscheduled Records (Form SLR 501) should be used for this purpose.

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.

Use of Asterisk (*)

The use of an asterisk (*) in this second edition of Local Schedule UT indicates that the record is either new to this edition, the retention period for the record has been changed for the record, or substantive amendments have been made to the description of or remarks concerning the record. An asterisk is not used to indicate minor amendments to grammar or punctuation.

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.

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5000-01	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.	2 years.	
*UT5000-02	COMPLAINTS			
UT5000-02a	COMPLAINTS	Record of complaints from customers or applicants for public utility 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.	Final settlement of complaint + 2 years.	By regulation - 30 TAC 291.81(b)(4) for water and sewer utilities, and by authority of this schedule for all others.
*UT5000-02b	COMPLAINTS	Complaints to the Public Utility Commission about electric service providers.	Determination by the Public Utility Commission + 2 years.	By regulation - 16 TAC 25.30 (c)(3) for electric service providers.
*UT5000-02c	COMPLAINTS	Complaints to public water utilities regarding quality, outage, or pressure.	2 years.	By regulation - 30 TAC 290.46(f)(3)(A)(iii).

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5000-03	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.		
UT5000-03a	CONFIDENTIALITY REQUESTS	If indication of confidentiality is made in a customer account history (item number UT5000-05).	AV after indication made.	
UT5000-03b	CONFIDENTIALITY REQUESTS	If indication of confidentiality is not made in a customer account history (item number UT5000-05).	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.
* UT5000-04	CUSTOMER BILLING RECORDS	Monthly or other periodic billing detail records on each customer utility account documenting utility charges and payments.		
* UT5000-04a	CUSTOMER BILLING RECORDS	Electric service providers.	2 years.	By regulation - 16 TAC 25.25(e).
* UT5000-04b	CUSTOMER BILLING RECORDS	Electric service providers 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.	FE + 3 years.	
* UT5000-04c	CUSTOMER BILLING RECORDS	Electric service providers 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.	FE + 5 years.	
* UT5000-04d	CUSTOMER BILLING RECORDS	Authorization forms used to enroll in electronic funds transfer or other automatic payment methods.	US or close of account.	

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5000-05	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.	Close of account + 2 years.	
UT5000-06	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.).	3 years.	By regulation - 40 CFR 403.12(o)(3) for industrial user discharge reports and by authority of this schedule for all others.
UT5000-07	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.	1 year.	
*UT5000-08	EQUIPMENT HISTORY RECORDS			
UT5000-08a	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 UT5000-09.	L.A.	
* UT5000-08b	EQUIPMENT HISTORY RECORDS	Records of the calibration of testing and monitoring instruments, except those to monitor air emissions.	3 years.	By regulation - 30 TAC 319.7(c) for instrumentation used in monitoring waste discharge, and by authority of this schedule for all others, except those to monitor air emissions.
* UT5000-08c	EQUIPMENT HISTORY RECORDS	Records of the calibration of instrumentation used to monitor air emissions.	2 years.	By regulation - 30 TAC 111.111.

Record Number	Record Title	Record Description	Retention Period	Remarks
*UT5000-09	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.		
UT5000-09a	EQUIPMENT INVENTORY RECORDS	For a complete inventory that is periodically revised and reprinted.	US + 1 year.	
* UT5000-09b	EQUIPMENT INVENTORY RECORDS	For an inventory that is maintained on cards or similar discrete media.	LA, 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.
UT5000-10	MAPS AND PLATS	Maps and plats of local government-owned utility systems showing service areas, facilities, and infrastructure. See also item number UT5000-14.		
UT5000-10a	MAPS AND PLATS	Landfills.	PERMANENT.	
UT5000-10b	MAPS AND PLATS	All other utilities.	US.	Retention Note: Review before disposal; some maps may merit PERMANENT retention for historical reasons.
UT5000-11	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.	3 years.	
UT5000-12	OPERATION AND MAINTENANCE MANUALS	Manuals detailing procedures for the operation and maintenance of utility systems and equipment.	US.	

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5000-13	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.		
UT5000-13a	PLANNING STUDIES AND REPORTS	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.	PERMANENT.	
UT5000-13b	PLANNING STUDIES AND REPORTS	All other planning reports or studies.	10 years.	<p>Retention Notes: a) Review before disposal; many records of this type may merit PERMANENT or long-term retention for administrative or historical reasons. See also item number GR1000-39.</p> <p>b) Be certain that planning documents do not fall within other records series. For example, excavation and construction plans are included under item number UT5000-14(a) and plans required for a solid waste landfill disposal site are included under item number UT5050-07(b).</p>

Record Number	Record Title	Record Description	Retention Period	Remarks
*UT5000-14	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.		
*UT5000-14a	PRIVATE UTILITY PLANS AND MAPS	Excavation and construction plans.	Completion of work + 3 years.	
UT5000-14b	PRIVATE UTILITY PLANS AND MAPS	Maps.	US.	Review before disposal; some maps may merit PERMANENT retention for historical reasons.
UT5000-15	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.		
UT5000-15a	RATE SCHEDULES, REGULATIONS, AND CHANGE DOCUMENTATION	Maintained by a local government as operator of a utility (including superseded tariffs).	PERMANENT.	
UT5000-15b	RATE SCHEDULES, REGULATIONS, AND CHANGE DOCUMENTATION	Maintained by a municipality or other local government as a regulatory authority. (1) Tariffs. (2) All other documentation.	US. 5 years.	
UT5000-15c	RATE SCHEDULES, REGULATIONS, AND CHANGE DOCUMENTATION	Received and maintained by a local government as an entity to be affected by proposed change.	AV.	
UT5000-15d	RATE SCHEDULES, REGULATIONS, AND CHANGE DOCUMENTATION	Rate appeal documentation maintained by a local government appealing a rate determination.	AV after final disposition of the appeal.	

Record Number	Record Title	Record Description	Retention Period	Remarks
*UT5000-16	SERVICE APPLICATION AND DEPOSIT RECORDS			
UT5000-16a	SERVICE APPLICATION AND DEPOSIT RECORDS	Service applications, unless needed for (b).	1 year.	
UT5000-16b	SERVICE APPLICATION AND DEPOSIT RECORDS	Receipts, refund cards, and related records documenting customer deposits and refunds.	FE of refund of deposit or its credit to unpaid balance + 3 years.	
* UT5000-16c	SERVICE APPLICATION AND DEPOSIT RECORDS	Records of unclaimed deposits for water and sewer utilities.	7 years.	By regulation - 30 TAC 291.84(g)(3) for water and sewer utilities.
* UT5000-16d	SERVICE APPLICATION AND DEPOSIT RECORDS	Records of unclaimed deposits except for water and sewer utilities.	4 years.	By regulation - 16 TAC 25.24(i)(3) for electric service providers, and by authority of this schedule for all others except water and sewer utilities.
*UT5000-17	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.	5 years.	
UT5000-18	STANDARDS AND SPECIFICATIONS FILES	Standards and specifications for materials, supplies, and services.	AV.	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 GR1075-01) and construction project files (item number GR1075-16) should be maintained for the retention period adopted for those records.
UT5000-19	WORK ORDERS	Work orders, service orders, and similar records requesting, authorizing, and describing work to be done by utility personnel.	2 years.	

PART 2: WATER AND WASTEWATER RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
* UT5025-01	MICROBIOLOGICAL ANALYSIS RECORDS	Records of microbiological analyses of water and wastewater systems.	5 years.	By regulation - 30 TAC 290.46(f)(3)(D)(i).
* UT5025-02	CHEMICAL ANALYSIS RECORDS	Records of chemical analyses of water and wastewater systems.	10 years.	By regulation - 30 TAC 290.46(f)(3)(E)(ii).
UT5025-03	GROUNDWATER MONITORING RECORDS	For water and wastewater permits containing a groundwater monitoring requirement, records from all groundwater monitoring wells and associated groundwater surface elevations.	3 years.	By regulation - 30 TAC 319.7(c) for waste discharge permits and by authority of this schedule for all others.
UT5025-04	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.	3 years.	
UT5025-05	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.	12 years.	By regulation - 40 CFR 141.91.
*UT5025-06	OPERATIONAL PERMITS AND APPROVALS			

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5025-06a	OPERATIONAL PERMITS AND APPROVALS	Permits and approvals from the Texas Commission on Environmental Quality, 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.	Expiration, cancellation, revocation, or denial + 5 years.	
* UT5025-06b	OPERATIONAL PERMITS AND APPROVALS	Records concerning any variance or exemption granted to a system.	Expiration of variance or exemption + 5 years.	By regulation - 30 TAC 290.46(f)(3)(C)(i).
*UT5025-07	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.		
* UT5025-07a	OPERATIONS RECORDS	Records of monitoring activities, including records concerning measurements and analyses performed and concerning calibration and maintenance of flow measurement and other instrumentation.	3 years.	By regulation - 30 TAC 319.7(c) for wastewater operations, 30 TAC 290.46(f)(3)(B) for public water systems, and by authority of this schedule for all others.
UT5025-07b	OPERATIONS RECORDS	Periodic logs or reports compiled on less than an annual basis.	3 years.	
UT5025-07c	OPERATIONS RECORDS	Annual or biennial reports.	PERMANENT.	

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5025-08	REPORTS TO REGULATORY AUTHORITIES	Periodic monitoring, financial, and operational reports submitted to the Texas Commission on Environmental Quality, 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.		
UT5025-08a	REPORTS TO REGULATORY AUTHORITIES	Periodic reports compiled and submitted on less than an annual basis.	3 years.	
UT5025-08b	REPORTS TO REGULATORY AUTHORITIES	Annual and biennial reports or special reports ordered or required by a regulatory authority.	PERMANENT.	
* UT5025-09	SANITARY SURVEYS	Surveys, studies, reports, summaries, or communications examining the overall sanitary condition of water and wastewater systems.	10 years.	By regulation - 30 TAC 290.46(f)(3)(E)(iii).
UT5025-10	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.	PERMANENT.	
* UT5025-11	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.	3 years after last action taken with respect to the particular violation.	By regulation - 30 TAC 290.46(f)(3)(B)(i).
*UT5025-12	WATER AND WASTEWATER PERMIT FILES			

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5025-12a	WATER AND WASTEWATER PERMIT FILES	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 UT5025-10 and UT5025-13).	Expiration, cancellation, revocation, or denial of the permit + 5 years.	
* UT5025-12b	WATER AND WASTEWATER PERMIT FILES	Records concerning variances or exemptions.	Expiration of variance or exemption + 5 years.	By regulation - 30 TAC 290.46(f)(3)(C)(i) for public water systems and by authority of this schedule for all others.
UT5025-13	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.	PERMANENT.	
UT5025-14	WATER AND WASTEWATER TREATMENT SLUDGE RECORDS			
UT5025-14a	WATER AND WASTEWATER TREATMENT SLUDGE RECORDS	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.	5 years.	By regulation - 30 TAC 312.47(a) and (b).

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5025-14b	WATER AND WASTEWATER TREATMENT SLUDGE RECORDS	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.	5 years.	By regulation - 30 TAC 312.67(a)(1).
UT5025-14c	WATER AND WASTEWATER TREATMENT SLUDGE RECORDS	Monitoring information relating to sewage sludge use and disposal activities.	5 years.	By regulation - 30 TAC 305.125(11)(B).
UT5025-14d	WATER AND WASTEWATER TREATMENT SLUDGE RECORDS	Trip tickets completed by transporter and retained by generator of sludge.	5 years.	
UT5025-15	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.	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 sludge generated by water supply or wastewater treatment plants, and hazardous waste except for radioactive materials.

b) For Radiation Control Records see item number HR4750-07.

Record Number	Record Title	Record Description	Retention Period	Remarks
* UT5050-01	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 UT5050-07(c)(2).	5 years.	By regulation - 30 TAC 101.8(d).
UT5050-02	ASBESTOS DISPOSAL RECORDS			
UT5050-02a	ASBESTOS DISPOSAL RECORDS	Waste shipment record.	2 years.	By regulation - 40 CFR 61.154(e)(4).
UT5050-02b	ASBESTOS DISPOSAL RECORDS	Map or diagram showing location, depth and area, and quantity of asbestos-containing waste within the disposal site.	Until closure of site.	By regulation - 40 CFR 61.154(f).
* UT5050-03	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.	Life of the facility including the post-closure care period.	By regulation - 30 TAC 330.125(d) for solid waste landfill 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.
UT5050-04	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.		
UT5050-04a	HAZARDOUS WASTE TRAINING RECORDS	Current personnel.	Until closure of facility.	By regulation - 40 CFR 264.16(e).
UT5050-04b	HAZARDOUS WASTE TRAINING RECORDS	Former employees.	Date of termination + 3 years.	By regulation - 40 CFR 264.16(e).

Record Number	Record Title	Record Description	Retention Period	Remarks
*UT5050-05	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.		
UT5050-05a	MANIFESTS AND TRIP TICKETS	<p>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.</p> <p>(1) If the ticket is the only source document used for billing purposes.</p> <p>(2) If another document is used for billing purposes.</p>	<p>1 year.</p> <p>AV.</p>	
* UT5050-05b	MANIFESTS AND TRIP TICKETS	Bills of lading and other shipping records of used oil filters which must be retained by the generator of the filters, transporter of the filters, storage facility at which the filters were stored, and processor of the filters.	3 years after the date the filters were transported, stored, or processed.	By regulation - 30 TAC 328.25(b).
* UT5050-05c	MANIFESTS AND TRIP TICKETS	Manifests, work orders, invoices, or other documentation used to support activities related to the accumulation, handling, and shipment of used or scrap tires or scrap tire pieces.	3 years.	By regulation - 30 TAC 328.58(f).
UT5050-05d	MANIFESTS AND TRIP TICKETS	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.	5 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
* UT5050-05e	MANIFESTS AND TRIP TICKETS	Manifests and trip tickets and other tracking records retained by operators of solid waste landfill 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 sludge; septic tank pumpings; grease and grit trap wastes; and other solid waste requiring special handling to protect human health or the environment.	Life of facility including post-closure care period.	By regulation - 30 TAC 330.125(b)(10).
* UT5050-05f	MANIFESTS AND TRIP TICKETS	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 landfill disposal sites that receive special wastes.	3 years.	By regulation - 30 TAC 335.15(1) and (4).
* UT5050-05g	MANIFESTS AND TRIP TICKETS	Waste shipping records retained by transporters to document the collection and deposit of solid wastes and hazardous waste except sewage sludge. Includes manifests, waste shipping control tickets, shipping papers, bills of lading, daily logs, or other similar approved documentation.	3 years.	By regulation - 30 TAC 328.58(f) for used or scrap tires; 30 TAC 335.14(a)-(d) for municipal hazardous wastes or Class I industrial solid wastes; 30 TAC 328.25(b) for used oil filters; and by authority of this schedule for all others.
UT5050-05h	MANIFESTS AND TRIP TICKETS	Trip tickets or similar documentation retained by transporters of sewage sludge, water treatment sludge, septage, chemical toilet waste, or grit trap waste.	5 years.	
*UT5050-06	OPERATIONAL PERMITS AND APPROVALS			

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5050-06a	OPERATIONAL PERMITS AND APPROVALS	Permits, registrations, and other approvals from the Texas Commission on Environmental Quality 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 landfill 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.	Expiration, cancellation, revocation, or denial + 5 years.	
* UT5050-06b	OPERATIONAL PERMITS AND APPROVALS	Permits from the Texas Commission on Environmental Quality concerning the operation of a solid waste landfill 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.	Life of the facility including the post-closure care period.	By regulation - 30 TAC 330.125(a) and (d).
*UT5050-07	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 UT5050-06 and UT5050-11.		

Record Number	Record Title	Record Description	Retention Period	Remarks
* UT5050-07a	OPERATIONS RECORDS	<p>Solid waste management operations except solid waste landfill disposal sites, sewage sludge disposal operations, and waste tire facilities.</p> <p>(1) Records of solid waste management and monitoring activities, including documentation of compliance with standards such as strip charts and instrument calibration.</p> <p>(2) Periodic logs or reports compiled on less than an annual basis.</p> <p>(3) Annual or biennial reports.</p>	<p>3 years.</p> <p>3 years.</p> <p>PERMANENT.</p>	
* UT5050-07b	OPERATIONS RECORDS	Operating record of solid waste landfill 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.	Life of the facility including the post-closure care period.	By regulation - 30 TAC 330.125(d).

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5050-07c	OPERATIONS RECORDS	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.	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.	5 years.	By regulation - 40 CFR 503.47(a).
* UT5050-07d	OPERATIONS RECORDS	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 Commission on Environmental Quality; 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.	3 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5050-07e	OPERATIONS RECORDS	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.	Until closure of the facility.	By regulation - 40 CFR 265.73(b)(1). 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.	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.	PERMANENT.	

Record Number	Record Title	Record Description	Retention Period	Remarks
* UT5050-07f	OPERATIONS RECORDS	<p>Affected and small-remote Hospital/Medical/Infectious Waste Incinerators.</p> <p>(1) Records and reports required by 30 TAC 113.2076(c).</p> <p>(2) Records of the annual equipment inspections, any required maintenance, and any repairs not completed within ten operating days of an inspection.</p> <p>(3) Annual reports.</p>	<p>5 years.</p> <p>5 years.</p> <p>PERMANENT.</p>	<p>By regulation – 30 TAC 113.2076(c).</p> <p>By regulation – 30 TAC 113.2076(d).</p> <p>By regulation – 30 TAC 113.2076(d).</p>
UT5050-08	REPORTS TO REGULATORY AUTHORITIES	Periodic monitoring, financial, and operational reports submitted to the Texas Commission on Environmental Quality, 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.		
UT5050-08a	REPORTS TO REGULATORY AUTHORITIES	Periodic reports compiled and submitted on less than an annual basis.	3 years.	Retention Note: Reports of monitoring programs related to specific permits such as hazardous waste operations and solid waste disposal landfill sites shall be maintained for the retention period required for the operations records.
UT5050-08b	REPORTS TO REGULATORY AUTHORITIES	Annual or biennial reports or special reports ordered by a regulatory authority.	PERMANENT.	
UT5050-09	SOLID WASTE MANAGEMENT PERMITS AND LICENSES			

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5050-09a	SOLID WASTE MANAGEMENT PERMITS AND LICENSES	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 Commission on Environmental Quality.	Expiration, cancellation, revocation, or denial of the permit + 3 years.	
UT5050-09b	SOLID WASTE MANAGEMENT PERMITS AND LICENSES	Records concerning any variance or exemption granted to a permittee.	Expiration of variance or exemption + 3 years.	
UT5050-10	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.	PERMANENT.	
UT5050-11	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 UT5050-05 and UT5050-07.		
UT5050-11a	TONNAGE REPORTS	If figures are totaled on a monthly report.	60 days.	
UT5050-11b	TONNAGE REPORTS	If figures are not totaled on a monthly report.	3 years.	
*UT5050-12	TRANSPORTATION OF SOLID AND HAZARDOUS WASTE RECORDS			
* UT5050-12a	TRANSPORTATION OF SOLID AND HAZARDOUS WASTE RECORDS	Documentation that solid waste or hazardous waste was taken to an authorized facility.	3 years.	By regulation - 30 TAC 330.1211(h) for medical waste, 30 TAC 330.32(c) for solid waste, and by authority of this schedule for all others.

Record Number	Record Title	Record Description	Retention Period	Remarks
* UT5050-12b	TRANSPORTATION OF SOLID AND HAZARDOUS WASTE RECORDS	Records of the cleaning and disinfecting of vehicles used to transport medical waste.	3 years.	By regulation - 30 TAC 330.1211(d) and 330.1221(d).
UT5050-12c	TRANSPORTATION OF SOLID AND HAZARDOUS WASTE RECORDS	Annual summary reports of waste shipment activities.	PERMANENT.	
* UT5050-13	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.	3 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.
*UT5050-14	UNDERGROUND INJECTION CONTROL PERMITS	Copies of injection well permits filed by rule (30 TAC, Chapter 331) of the Texas Commission on Environmental Quality with the health and pollution control authorities of the counties, cities, and towns where the wells are located.	3 years following well plugging and abandonment.	By regulation - 30 TAC 331.67(c).

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. 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)(3), 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), and 125.3.

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5075-01	CERTIFICATES OF CONVENIENCE AND NECESSITY	Applications for and certificates of convenience and necessity issued by the Public Utility Commission.		
UT5075-01a	CERTIFICATES OF CONVENIENCE AND NECESSITY	Denied applications.	AV.	
UT5075-01b	CERTIFICATES OF CONVENIENCE AND NECESSITY	Approved applications and issued certificates.	PERMANENT.	
UT5075-02	GROSS RECEIPTS ASSESSMENT REPORT	Annual or quarterly gross receipts assessment reports submitted to the State Comptroller of Public Accounts.	FE + 5 years.	
UT5075-03	OPERATIONS REPORTS	Internal reports, logs, or charts that document or summarize the operations of electric utility facilities, plants, and systems.		
UT5075-03a	OPERATIONS REPORTS	Recording instrument charts.	1 year.	
UT5075-03b	OPERATIONS REPORTS	Periodic reports and logs compiled on less than an annual basis.	3 years.	
UT5075-03c	OPERATIONS REPORTS	Periodic surveys to secure data for compliance reports submitted to regulatory authorities (e.g., voltage surveys).	3 years.	
UT5075-03d	OPERATIONS REPORTS	Annual reports.	PERMANENT.	
UT5075-04	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.		
UT5075-04a	REPORTS AND PLANS TO THE PUBLIC UTILITY COMMISSION	Annual and biennial reports or special reports ordered or required by a regulatory authority.	PERMANENT.	
UT5075-04b	REPORTS AND PLANS TO THE PUBLIC UTILITY COMMISSION	Periodic reports compiled and submitted on less than an annual basis.	3 years.	
UT5075-04c	REPORTS AND PLANS TO THE PUBLIC UTILITY COMMISSION	Construction reports (including preliminary, monthly progress, quarterly status, and annual cost and schedule variance analyses).	PERMANENT.	

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5075-05	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.	5 years.	
UT5075-06	RIVER FLOW DATA	River flow data collected in connection with hydroelectric plant operations.	PERMANENT.	

PART 5: GAS UTILITY RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5100-01	GAS LEAK INVESTIGATION REPORTS	Reports of investigation of gas leaks.	2 years.	
*UT5100-02	ODORIZATION RECORDS			
UT5100-02a	ODORIZATION RECORDS	List of odorization equipment in use, showing location, brand name and model number, and date last serviced.	US + 1 year.	
UT5100-02b	ODORIZATION RECORDS	Malodorant injection reports.	2 years.	
* UT5100-02c	ODORIZATION RECORDS	Malodorant concentration test reports.	2 years.	By regulation - 16 TAC 8.215(e)(1) and (3).
*UT5100-03	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.		
UT5100-03a	OPERATIONS REPORTS	Recording and gas measuring instrument charts.	1 year.	
UT5100-03b	OPERATIONS REPORTS	Periodic reports and logs compiled on less than an annual basis unless includable in subsection (d).	3 years.	
UT5100-03c	OPERATIONS REPORTS	Periodic surveys to secure data for compliance reports submitted to regulatory authorities unless includable in subsection (d).	3 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
* UT5100-03d	OPERATIONS REPORTS	Periodic reports, logs, or surveys necessary to demonstrate compliance with natural gas pipeline safety rules of the Texas Railroad Commission, including accident reports.	5 years.	By regulation - 16 TAC 8.105.
UT5100-03e	OPERATIONS REPORTS	Annual reports.	PERMANENT.	
UT5100-04	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.		
UT5100-04a	REPORTS AND PLANS TO THE RAILROAD COMMISSION	Annual and biennial reports or special reports ordered or required by a regulatory authority.	PERMANENT.	
UT5100-04b	REPORTS AND PLANS TO THE RAILROAD COMMISSION	Periodic reports compiled and submitted on less than an annual basis.	3 years.	
UT5100-04c	REPORTS AND PLANS TO THE RAILROAD COMMISSION	Construction reports.	PERMANENT.	
UT5100-05	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.	5 years.	

Comments or complaints regarding the programs and services of the Texas State Library and Archives Commission can be addressed to the Director and Librarian, PO Box 12927, Austin, TX 78711-2927.
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