

*Welcome to*

# Control Schedule Basics

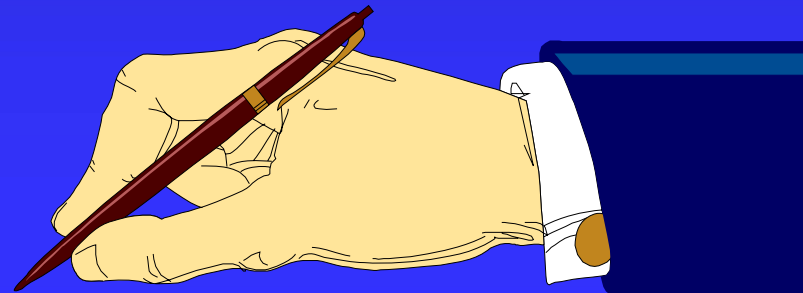
Your Instructor today is

Karon Teague



# Control Schedule Basics

- Creation of Policy/Ordinance/Order
- Overview of Schedule Choices
- Implementation of Schedule



# Definitions

- Local Government Record
- Essential (Vital) Record

# Definitions

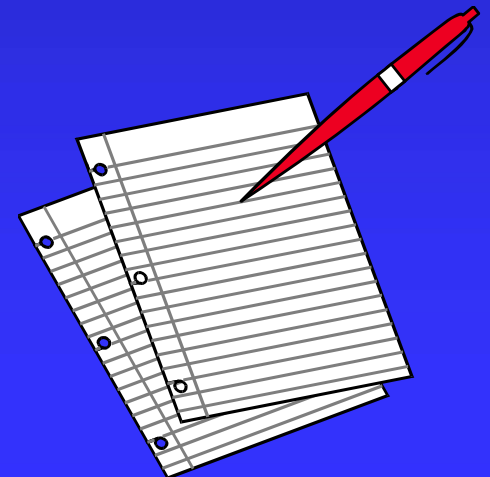
- Records Series
- Retention Period
- Records Control Schedule
- Records Retention Schedule

# Definitions

- Records Management
- Records Management Officer

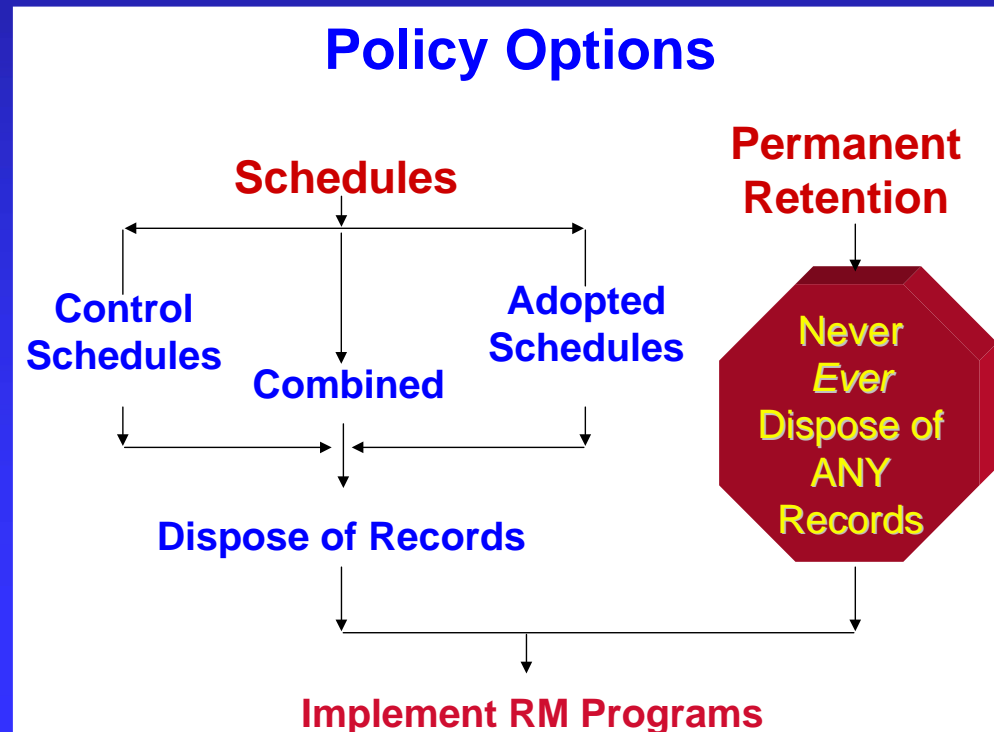
# The Records Management Program

- Establish a Written Plan
  - ◆ Elected Officials (§203.005)
  - ◆ Other Governments (§203.026)



# Local Government Records Act

- Filing Deadline
- Decisions



# Benefits of Establishing RM Program

- Gain Authority to Destroy Records
- Preserve Records of Value



# Benefits

- Effective Use of Resources
- Compliance with Legal Requirements



# Records Control Schedule

- Records Inventory
- Analysis and Appraisal

**Texas State Library • State and Local Records Management Division**  
**RECORDS INVENTORY AND ANALYSIS FORM**

INVENTORY (to be completed by inventory taker)	
1. Records Inventory Taker (name, telephone, extension)	
2. Office	3. Department
4. Records Series Location (building, room, storage equipment)	
5. Record Working Title	
6. Describe Records Series (purpose, contents, form numbers) (Continue description on reverse, if needed)	
»	
Component documents (please number)	
( ) _____	»
( ) _____	»
( ) _____	»
( ) _____	»
( ) _____	»
( ) _____	»
( ) _____	»
7. Format and Size	
Paper _____	Audiotape _____
Bound Volume _____	Videotape _____
Computer Media _____	Microfilm _____
8. Inclusive Dates	9. Volume (cubic feet)
10. Records Liaison Officer Review, Initials, and Date	

ANALYSIS (to be completed by records liaison officer)		
11. Records Liaison Officer (name, telephone, extension)		
12. Record Copy? Yes _____ No _____	13. If yes, what other depts. have copies?	
14. If no, what dept. has record copy?	15. Is records series obsolete? Yes _____ No _____	
16. Vital Record? Yes _____ No _____	17. Access Restricted? Yes _____ No _____	
18. State Record Number	19. State Retention Period	20. Department Retention Recommendations (state reason for recommendation; if inactive storage available, divide retention period between office and storage)
«		
«		
«		
«		
«		
«		21. Department Head Review, Initials and Date
«		
<b>For use of Records Management Officer and Committee</b>		
22. Record Number	23. Records Series Title	
24. Retention Period		
Office _____ Storage _____ Total _____		
25. Disposition and Special Considerations		

# Preparing Records Control Schedules

- Creating the Records Control Schedule
- SLR 500 Form
- Substitute SLR 500 Form

**LOCAL GOVERNMENT  
RECORDS CONTROL  
SCHEDULE**

Pursuant to Local Government Code § 203.041  
Texas State Library and Archives Commission  
**SLR 500 (2/93)**

Government \_\_\_\_\_  
Office (if Applicable) \_\_\_\_\_  
Department (If Applicable) \_\_\_\_\_  
Address \_\_\_\_\_  
City \_\_\_\_\_ Zip \_\_\_\_\_ Telephone \_\_\_\_\_  
Records Management Officer \_\_\_\_\_

ORIGINAL FILING     AMENDED FILING  
Date \_\_\_\_\_ Page \_\_\_\_\_ of \_\_\_\_\_

RECORD NUMBER	RECORD TITLE	RETENTION PERIOD			DISPOSITION
		OFFICE	STORAGE	TOTAL	
<h1>Form SLR 500</h1>					

# Submitting Records Control Schedules

- SLR 540 Certification and Acceptance
- Process
- Common Causes for Rejection

# Local Government—Records Control Schedule

## CERTIFICATION AND ACCEPTANCE



Texas  
State Library  
and Archives  
Commission

### Section 1 USE OF FORM (check one, see reverse)

- Original Filing—Form SLR 500  
 Amended Schedule—Form SLR 500  
 Amendment to Schedule—Form SLR 520

Number of Pages in Attachment \_\_\_\_\_

Date of Attachment \_\_\_\_\_

Date of previous schedule the attachment amends,  
if applicable \_\_\_\_\_

### Section 2 SUBMISSION OF DATA (see reverse)

Government \_\_\_\_\_

Office \_\_\_\_\_

Department \_\_\_\_\_

RMO Address \_\_\_\_\_

City \_\_\_\_\_ Zip \_\_\_\_\_

Telephone \_\_\_\_\_

### Section 3 LOCAL GOVERNMENT CERTIFICATION

*The attached document of the type indicated above is submitted for filing pursuant to Local Government Code §203.041. The attachment has been approved according to the ordinance, order, or plan of the local government or elective county office for which I am the Records Management Officer. I certify that the administrative rules for electronic records, adopted under Local Government Code §205.003(a), will be followed for records subject to the rules.*

Name and Title (print or type) \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

### Section 4 TEXAS STATE LIBRARY ACCEPTANCE (to be completed by Texas State Library)

The records control schedule, amended schedule, or amendment to schedule for filing with this transmittal sheet has:

- been accepted for filing pursuant to Local Government Code §203.043(a). A record appearing on the schedule or amendment may be disposed of at the expiration of its retention period without additional notice to the director and librarian, subject to the provisions of Local Government Code §203.041(d).
- been accepted for filing subject to the conditions stated in the accompanying letter pursuant to Local Government Code §203.043(d).
- not been accepted for filing pursuant to Local Government Code §203.043(b). See accompanying letter for explanation.

Name and Title (print or type) \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

# Form SLR 540

Texas  
State Library  
and Archives  
Commission

State and  
Local Records  
Management Division

Box 12927  
Austin, Texas 78711-2927

512-452-9242  
512-323-6100 FAX

SLR 540 (3/96)

# Declaring Compliance

- SLR 508 Declaration of Compliance
- Select Appropriate Schedules
- Complete and Submit Forms



## Texas State Library and Archives Commission

State and Local Records Management

PO Box 12927 • Austin, Texas 78711-2927 • Telephone 512-452-9242

### **Declaration of Compliance with the Records Scheduling Requirement of the Local Government Records Act**

(Submitted pursuant to § 203.041(a)(2), Local Government Code)

\_\_\_\_\_  
Name of Government

# Form SLR 508

\_\_\_\_\_  
Address

\_\_\_\_\_  
City and Zip

\_\_\_\_\_  
Telephone

As records management officer for the local government or elective county office named, I hereby declare, that in lieu of filing records control schedules, we have adopted records control schedules that comply with minimum requirements established on records retention schedules issued by the Texas State Library and Archives Commission (as checked below) for use in our records management program. In doing so, **I also certify that the administrative rules for electronic records, adopted by the commission under § 205.003(a), Local Government Code, will be followed for records subject to the rules. I understand that:**

- (1) the validity of this declaration is contingent on its acceptance for filing by the commission;
- (2) if we have previously filed documentation with the commission in which we declared our intent to retain all records permanently, we must attach amended documentation to this declaration before it can be accepted for filing;
- (3) the records control schedules adopted by this declaration may be amended by filing for approval a Supplemental Records Control Schedule (SLR Form 509) on which are listed proposed retention periods for records that do not appear on schedules issued by the commission (as checked below);
- (4) if a Supplemental Records Control Schedule is not filed, we must file a Request for Authorization to Destroy Unscheduled Records (SLR 501) in order to destroy records that do not appear on schedules issued by the commission (as checked below);
- (5) the commission will supply us with subsequent editions of any schedules issued by the commission (as checked below) and supplemental forms for declaring compliance with amended requirements; and
- 6) should we file locally developed records control schedules under § 203.041(a)(1), Local Government Code, retention periods on any approved locally developed schedule shall prevail over those in any schedule adopted by this declaration in the event of any conflict.

Check those schedules issued by the commission with which your records control schedules, adopted by this declaration, comply:

Schedule CC (Records of County Clerks)

Schedule DC (Records of District Clerks)

Schedule EL (Records of Elections and Voter Registration)

**Schedule GR (Records Common to All Governments)**

Schedule HR (Records of Public Health Agencies)

Schedule JC (Records of Public Junior Colleges)

Schedule LC (Records of Justice and Municipal Courts)

Schedule PS (Records of Public Safety Agencies)

Schedule PW (Records of Public Works and Services)

Schedule SD (Records of Public School Districts)

Schedule TX (Records of Property Taxation)

Schedule UT (Records of Utility Services)

Texas State Library and Archives

Commission Use Only

Accepted for Filing:

Date: **SLR508 (8-95)**

Name (printed

or typed): \_\_\_\_\_

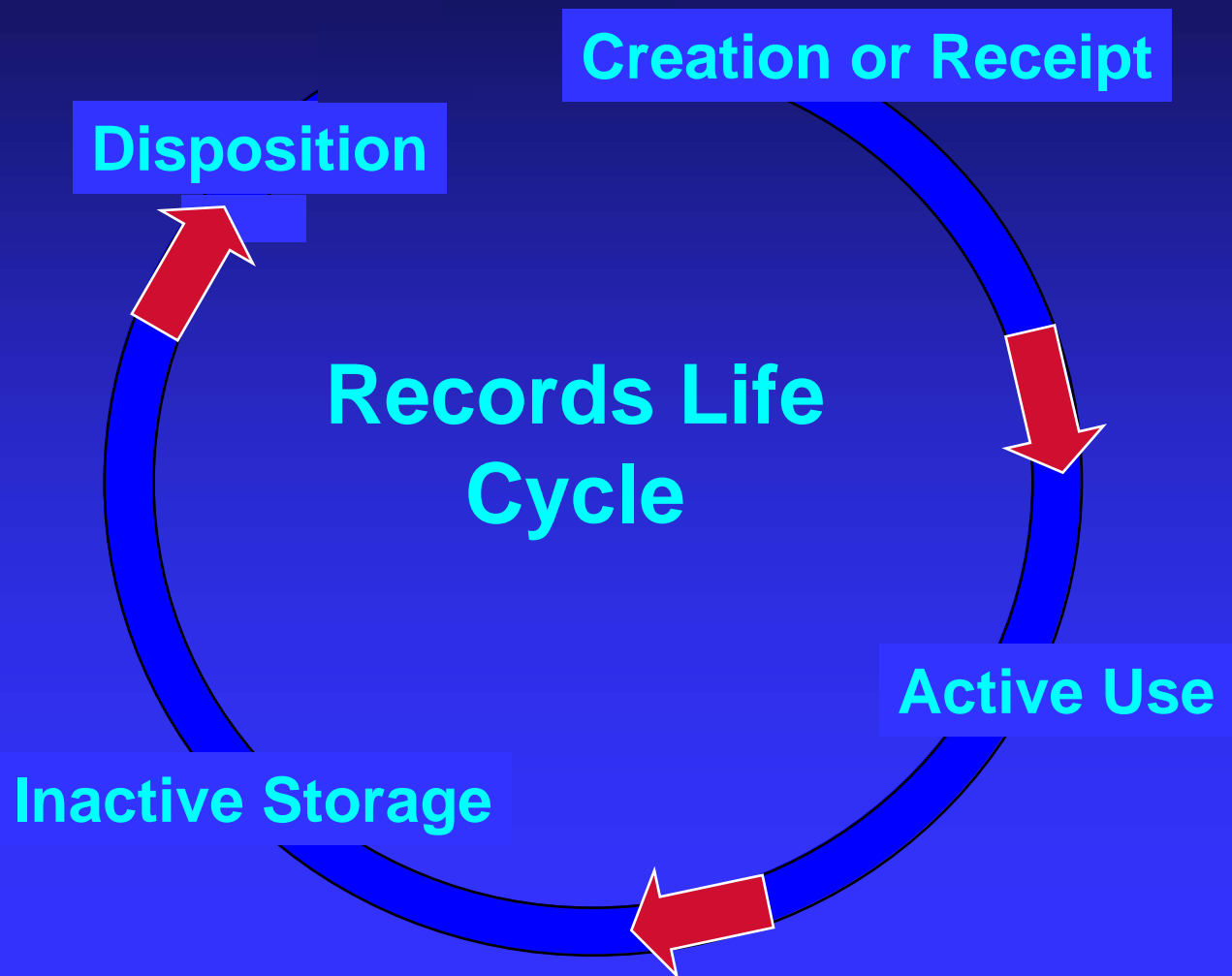
Signature: \_\_\_\_\_

Date: \_\_\_\_\_

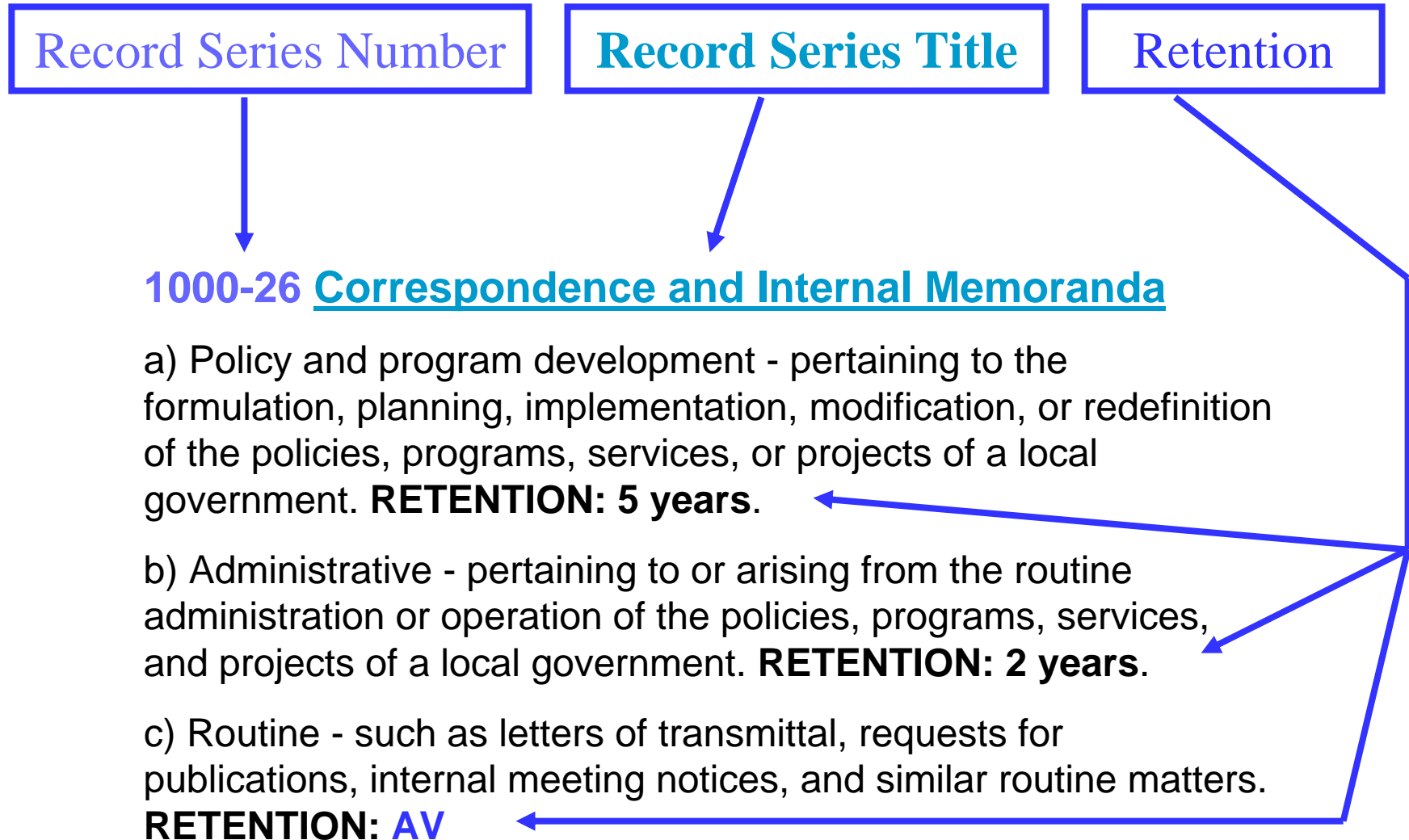
# Declaring Compliance

- Identify Records
- Determine Retention Periods
- Implement Schedules

# Schedule Implementation



# *Schedule GR Records Series Example*



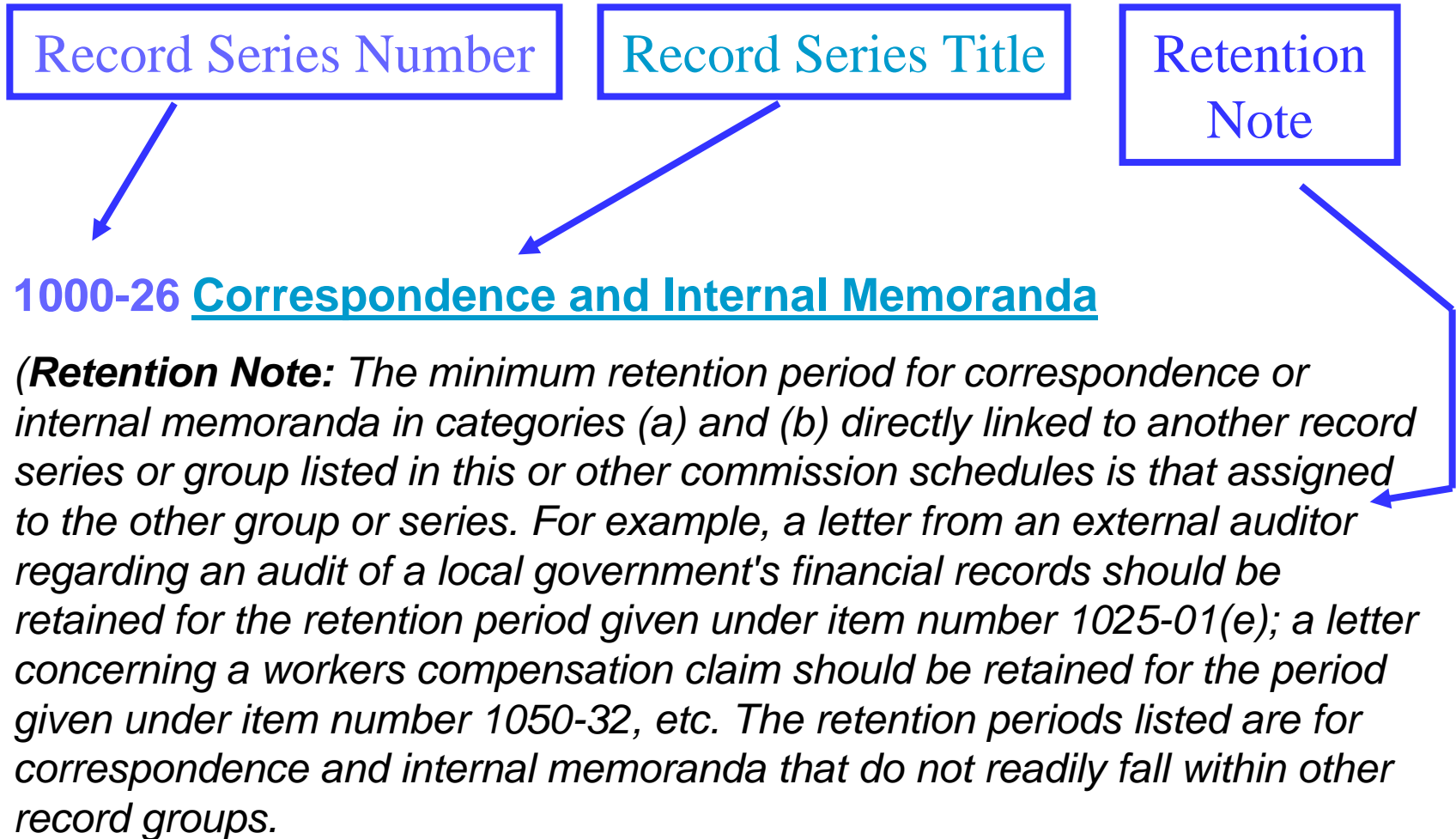
**1000-26** Correspondence and Internal Memoranda

a) Policy and program development - pertaining to the formulation, planning, implementation, modification, or redefinition of the policies, programs, services, or projects of a local government. **RETENTION: 5 years.**

b) Administrative - pertaining to or arising from the routine administration or operation of the policies, programs, services, and projects of a local government. **RETENTION: 2 years.**

c) Routine - such as letters of transmittal, requests for publications, internal meeting notices, and similar routine matters. **RETENTION: AV**

# Schedule GR Retention Note Example



# Establish Policies and Procedures

- Records Disposition
  - ◆ Dispose on a Regular Schedule
  - ◆ Establish Internal Approvals
  - ◆ Maintain Disposition Log



# Protect the Interests of the Government

- Destruction Holds
- Alienation of Records
- Penalty for Destruction or Alienation



# Protect Records with Special Needs

## ■ Confidential Records

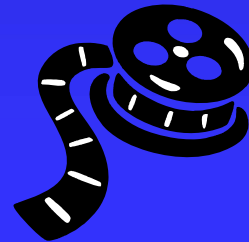
- ◆ Open Records Act
- ◆ Secure Maintenance
- ◆ Appropriate Destruction

## ■ Vital Records

- ◆ Secure Cabinets
- ◆ Fire-resistant Vaults
- ◆ Duplicates Off-site
- ◆ Electronic Backups

# Protect Records with Special Needs

- Permanent Records
  - ◆ Appropriate Media
  - ◆ Preservation
- Electronic Records
  - ◆ Electronic Records Rules
  - ◆ Access
- Microfilm Records
  - ◆ Microfilm Rules
  - ◆ Conversion



# Maintain Schedules

- Reasons for Amending Approved Schedules
- Complete and Submit Forms

# Reduce Costs and Improve Efficiency

- Report Costs and Savings
- Store Inactive Records
- Implement Forms Management Program

# Reduce Costs and Improve Efficiency

- Improve Filing Systems
- Evaluate Records Media
- Implement Disaster Recovery Program
- Approve Records-Related Purchases

# Conclusion

- Private Consultants
- Review
- Question and Answer

# **Need More Information? Contact us**

**Texas State Library  
and Archives Commission**

**(512) 452-9242**

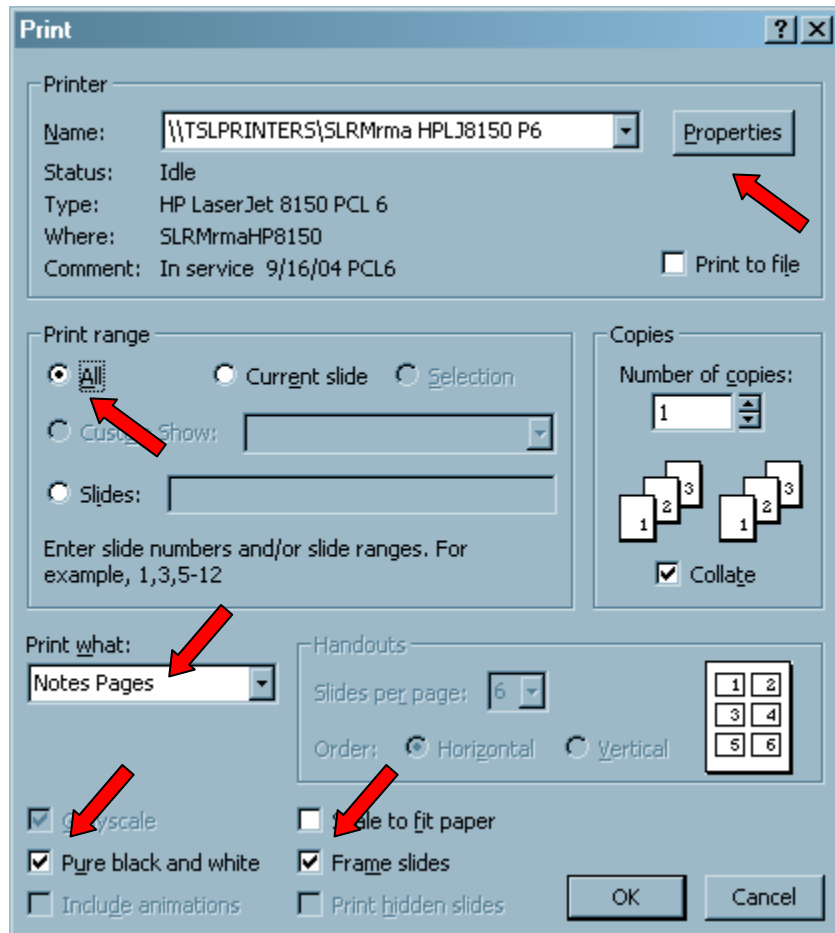
**<http://www.tsl.state.tx.us>**

**Austin, Texas 78711**

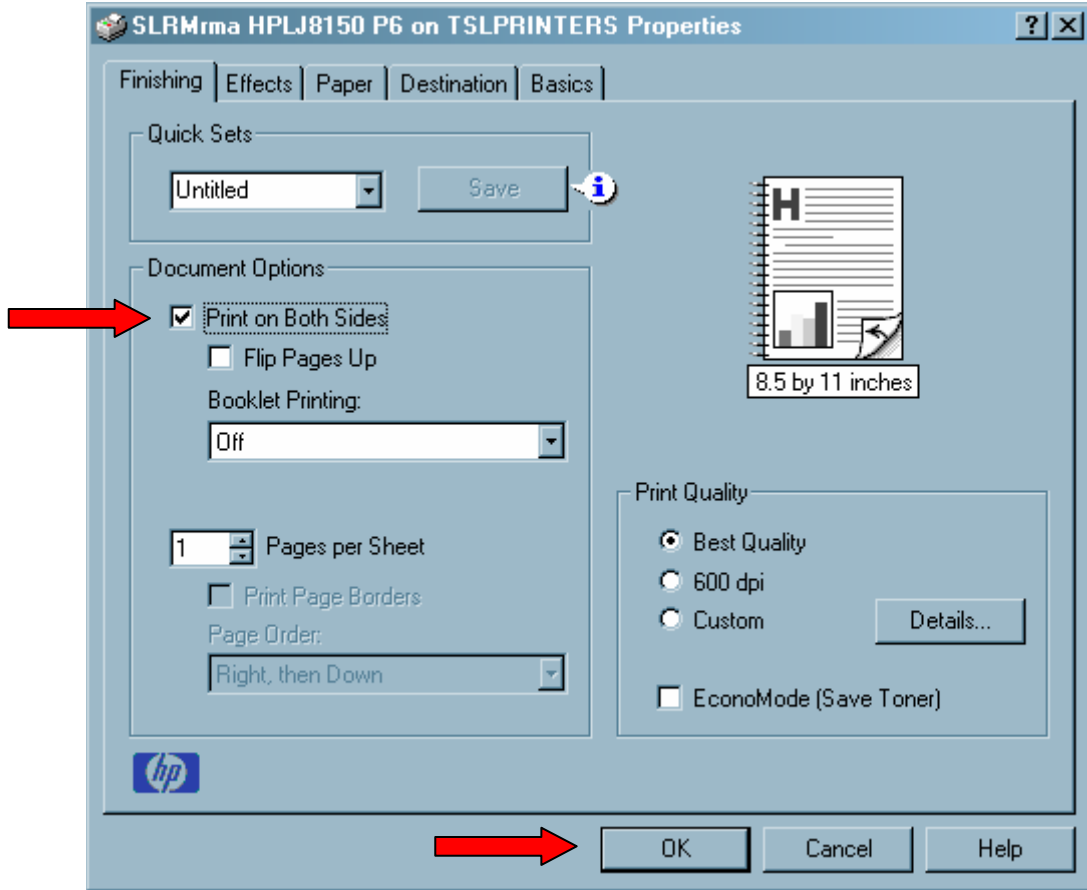


## Printing Instructions for CSB

The printing instructions are below. You will also need to go to properties and have it print double sided. Illustration for that is on the second page.



Go to properties on the previous screen to get to this screen





## **LOCAL SCHEDULE GR (3rd edition)**

### **Retention Schedule for Records Common to All Local Governments**

*Effective November 1, 1995*

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 GR sets mandatory minimum retention periods for records series that are usually found in all local governments, regardless of type. 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.

Circumstances occasionally dictate that the retention period for a record listed in this schedule be longer if it is maintained in a particular type of local government or documents a particular type of activity. Consequently, if the retention period for a record on another commission schedule, issued for a particular type of local government or local government activity, is longer than that listed for the same record in this schedule, the longer retention period must be followed.

### **USE OF ASTERISK (\*)**

The appearance of an asterisk (\*) before a record item number (or subitem number) or retention note indicates that either the record is new to this edition of Local Schedule GR or that the records description or retention period has been changed from the description or retention period that appeared in the 2nd edition of the schedule.

### **ABBREVIATIONS USED IN THIS SCHEDULE**

AV - As long as administratively valuable

CE - Calendar year end

CFR - Code of Federal Regulations

FE - Fiscal year end

TAC - Texas Administrative Code

US - Until Superseded

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Section 1-2: General Records

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Part 3: Personnel and Payroll Records

Section 3-1: Personnel Records

Section 3-2: Payroll Records

Part 4: Support Services Records

Section 4-1: Purchasing Records

Section 4-2: Facility, Vehicle, and Equipment Management Records

Section 4-3: Communications Records

Section 4-4: Workplace Safety Records

Part 5: Electronic Data Processing Records

Section 5-1: Records of Automated Applications

Section 5-2: Computer Operations and Technical Support Records

## **PART 1: ADMINISTRATIVE RECORDS**

### **SECTION 1-1: RECORDS OF GOVERNING BODIES**

**Retention Note:** SCOPE OF SECTION - The retention periods established in this section also apply to the records of subsidiary boards, bureaus, commissions, or committees established by the governing body of a local government that have rulemaking or quasi-judicial authority over any activity or program of the government or that were established by ordinance, order, or resolution for the purposes of advising the governing body or a subsidiary body on policy. Consequently, the use of the term “governing body” in a records description includes the corresponding records of these subsidiary bodies.

#### **1000-01 AGENDAS**

- a) Open meetings. RETENTION: 2 years.
- b) Closed sessions. RETENTION: 2 years. [By law - Government Code, Section 551.104(a).]

#### **1000-02 DEDICATIONS. RETENTION: PERMANENT.**

#### **1000-03 MINUTES (the use of the term audio tape in (c)-(e) includes videotapes with sound).**

- a) Written minutes. RETENTION: PERMANENT.
- b) Notes taken during meetings from which written minutes are prepared. RETENTION: 90 days after approval of minutes by the governing body. (Exempt from destruction request requirement)
- c) Audio tapes of open meetings, except as described in (d), for which written minutes *are not* prepared. RETENTION: PERMANENT.
- d) Audio tapes of workshop sessions of governing bodies in which votes are not made and written minutes are not required by law to be taken. RETENTION: 2 years.
- e) Audio tapes of open meetings for which written minutes *are* prepared. RETENTION: 90 days after approval of minutes by the governing body. (Exempt from destruction request requirement)
- f) Audio tapes of closed meetings. RETENTION: 2 years. [By law - Government Code, Section 551.104(a).]
- g) Supporting documentation - One copy of each document *of any type* submitted to a meeting

of a governing body for consideration, approval, or other action; *if* such action is reflected in the minutes of the meeting. RETENTION: 2 years.

**Retention Notes:** a) The retention periods for many of the documents submitted to a governing body for action are established elsewhere in this or other commission schedules and are often longer than the 2-year retention period for supporting documentation set here. The 2-year retention requirement does not override a longer retention requirement set elsewhere, but rather is meant to ensure that **all** documents presented for action by a governing body are retained at least two years. This schedule does not require that supporting documentation be maintained together, but the retention by the clerk or secretary to the governing body of one set of the documents submitted at each meeting (often called “council packets” in municipalities) for two years would ensure satisfaction of the minimum retention requirement. Clerks or secretaries to governing bodies should exercise caution in disposing of supporting documentation to avoid destruction of the record copy of a document for which they are custodian before the expiration of its retention period.

b) Review before disposal; some supporting documentation, not already required to be maintained permanently elsewhere in this or other commission schedules, may merit permanent retention for historical reasons.

**1000-04** OPEN MEETING NOTICES. RETENTION: 2 years.

**1000-05** ORDINANCES, ORDERS, RESOLUTIONS (including those that have been repealed, revoked, or amended). RETENTION: PERMANENT.

**1000-06** PETITIONS - Petitions from the public to the governing body or subsidiary boards or commissions of a local government. RETENTION: Consideration of the petition + 2 years.

**Retention Note:** Does not include petitions noted elsewhere in this or other commission schedules or any petition presented to a commissioners court that state law requires a county clerk to record. See Local Schedule CC (Records of County Clerks).

**1000-07** PROCLAMATIONS. RETENTION: 2 years.

## **SECTION 1-2: GENERAL RECORDS**

**1000-20** ACCIDENT REPORTS - Reports of accidents to persons on local government property or in any other situation in which a local government could be party to a law suit.

a) Reports of accidents to adults. RETENTION: 5 years.

b) Reports of accidents to minors. RETENTION: 5 years; or 2 years after the minor reaches the age of 18, whichever later.

**1000-21 AFFIDAVITS OF PUBLICATION** (including any accompanying clipping proofs or tear sheets)

a) Publication of municipal ordinances. RETENTION: PERMANENT

**Retention Note:** It is an exception to the permanent retention period that affidavits of publication and associated documentation for ordinances that are codified or re-codified may be disposed of after the effective date of the new code and are exempt from the destruction notice requirement.

b) Election notices.

1) Notices of election in which candidates for federal office *are not* involved. RETENTION: 60 days after election day. [By law - Election Code, Sections 4.005(d) and 66.058(a).] (Exempt from destruction request requirement)

2) Notices of election in which candidates for federal office *are* involved. RETENTION: 22 months after election day. [By law - Election Code, Sections 4.005(d) and 66.058(a).] (Exempt from destruction request requirement)

c) All other published legal notices. RETENTION: 2 years.

**1000-22 ANNEXATION, DISANNEXATION, ABOLITION, AND OTHER JURISDICTIONAL RECORDS** - Records relating to the annexation or disannexation of territory to or from a local government, to its abolition, or to other actions which affect its territorial jurisdiction or service area, including reports, correspondence, records of public hearings, agreements, and similar records. RETENTION: 5 years.

**Retention Notes:** a) A contract or agreement relating to territorial jurisdiction or the delivery of services between two or more governments (e.g., between a city and a county for fire services in an unincorporated area) must be kept for the retention period in item number 1000-25.

b) Review before disposal; many records of this type may merit permanent retention for historical reasons.

**1000-23 CHARTERS.** RETENTION: PERMANENT.

**1000-24 COMPLAINTS** - Complaints received from the public by a governing body or any officer or employee of a local government relating to government policy. RETENTION: Resolution or dismissal of complaint + 2 years.

**Retention Note:** The 2-year retention period applies only to complaints of a general nature that do not fall into a different category of complaint noted in this or other

commission schedules. For example, complaints from the public about potential fire hazards are scheduled in Local Schedule PS (Records of Public Safety Agencies) and have a longer retention period.

**1000-25 CONTRACTS, LEASES, AND AGREEMENTS** - Contracts, leases, and agreements, including reports, correspondence, performance bonds, and similar records relating to their negotiation, administration, renewal, or termination, *except* construction contracts (see item number 1075-16). **RETENTION:** 4 years after the expiration or termination of the instrument according to its terms.

**1000-26 CORRESPONDENCE AND INTERNAL MEMORANDA** (includes incoming and copies of outgoing correspondence and internal correspondence and memoranda).

**Retention Note:** The minimum retention period for correspondence or internal memoranda in categories (a) and (b) directly linked to another record series or group listed in this or other commission schedules is that assigned to the other group or series. For example, a letter from an external auditor regarding an audit of a local government's financial records should be retained for the retention period given under item number 1025-01(e); a letter concerning a workers compensation claim should be retained for the period given under item number 1050-32, etc. The retention periods that follow are for correspondence and internal memoranda that do not readily fall within other record groups.

a) Policy and program development - Correspondence and internal memoranda pertaining to the formulation, planning, implementation, modification, or redefinition of the policies, programs, services, or projects of a local government. **RETENTION:** 5 years.

**Retention Note:** Review before disposal; some correspondence of this type may merit permanent retention for historical reasons.

b) Administrative - Correspondence and internal memoranda pertaining to or arising from the routine administration or operation of the policies, programs, services, and projects of a local government. **RETENTION:** 2 years.

c) Routine - Correspondence and internal memoranda such as letters of transmittal, requests for publications, internal meeting notices, and similar routine matters. **RETENTION:** AV. (Exempt from destruction request requirement)

**1000-27 DEEDS** (including title opinions, abstracts and certificates of title, title insurance, documentation concerning alteration or transfer of title, and similar records evidencing public ownership of real property). **RETENTION:** PERMANENT.

**1000-28 EASEMENTS** - Documentation relating to easements and rights-of-way for public works or other local government purposes, including releases. **RETENTION:** PERMANENT.

**1000-29 INSURANCE POLICIES** - Liability, theft, fire, health, life, automobile, and other policies for local government property and personnel, including supporting documentation relevant to the implementation, modification, renewal, or replacement of policies. RETENTION: 4 years after expiration or termination of the policy according to its terms.

**1000-30 LEGAL OPINIONS** - Legal opinions rendered by counsel for a local government or the Attorney General, including any written requests for opinions, concerning the governance and administration of a local government. RETENTION: PERMANENT.

**1000-31 LITIGATION CASE FILES** (including all cases to which a local government is a party unless the case file is of a type noted elsewhere in this or other commission schedules). RETENTION: AV after final disposition of the case. (Exempt from destruction request requirement)

**Retention Note:** Review before disposal; some case files may merit permanent retention for historical reasons.

**1000-32 MINUTES (STAFF)** - Minutes of internal staff meetings. RETENTION: AV. (Exempt from destruction request requirement)

**1000-33 NEWS RELEASES.** RETENTION: AV. (Exempt from destruction request requirement)

**1000-34 OPEN RECORDS REQUESTS** - Open records requests, including correspondence and other documentation relating to the request. RETENTION: 1 year after final decision on request. (Exempt from destruction request requirement)

**1000-35 ORGANIZATIONAL CHARTS.** RETENTION: Until superseded. (Exempt from destruction request requirement)

**1000-36 PERMITS AND LICENSES** - Records documenting the application for and the issuance of permits and licenses by a local government for sales, solicitation, facility usage, and similar activities. *Does not include* permits and licenses issued for the construction of or alterations to real property, for those relating to health and sanitation, or for those issued by police or fire departments listed in other commission schedules. RETENTION: Expiration, cancellation, revocation, or denial + 2 years.

**1000-37 PHOTOGRAPHS, RECORDINGS, AND OTHER NON-TEXTUAL MEDIA** - Photographs, photographic scrapbooks, slides, sound recordings, videotapes, posters, and other non-textual media that document the history and activities of a local government or any of its departments, programs, or projects *except* such records noted elsewhere in this or other commission schedules. RETENTION: PERMANENT, but see retention note.

**Retention Note:** Most photographs and other non-textual media of the types described must be retained permanently for historical reasons, but latitude is allowed to the records management officer and the custodians of records in a local government to determine to what extent a particular photograph, for example, documents the history and activities of the local government. If it is determined that it does not, it need be kept only as long as administratively valuable. Be certain that photographs and other non-textual media do not fall within other records series. For example, mug shots and photographs of fire damage are listed in Local Schedule PS (Records of Public Safety Agencies) under police and fire department records respectively.

**1000-38 POLICY AND PROCEDURE DOCUMENTATION** - Executive orders, directives, manuals, and similar documents that establish and define the policies, procedures, rules, and regulations governing the operations or activities of a local government as a whole or any of its departments, programs, services, or projects. **RETENTION:** Until superseded + 5 years.

**Retention Note:** Review before disposal; some documentation of this type may merit permanent or long-term retention for historical or legal reasons.

**1000-39 PUBLICATIONS** - Pamphlets, reports, studies, proposals, and similar material printed by or for a local government or any of its departments, subdivisions, or programs and distributed to or intended for distribution to the public on request and departmental or program newsletters designed for internal distribution. **RETENTION:** One copy of each PERMANENT.

**Retention Note:** The following categories of printed material, whether distributed publicly or internally, are exempted from the retention period and may be disposed of at option; (a) educational or solicitative matter provided by charitable or public awareness organizations (e.g., United Way, American Heart Association); and (b) public service leaflets or flyers prepared by a local government or others whose contents are of a general nature and not specific to the government distributing them, beyond the inclusion of an address, telephone number, office hours, and similar information (e.g., a flyer detailing water conservation tips sent to customers of a municipal water utility; a pamphlet explaining the appraisal review board process sent to taxpayers by an appraisal district).

#### **1000-40 RECORDS MANAGEMENT RECORDS**

a) Records control schedules (including all successive versions of and amendments to schedules). **RETENTION:** PERMANENT.

b) Records destruction documentation - Records documenting the destruction of records under records control schedules, including requests submitted to the Texas State Library and Archives Commission for authorization to destroy unscheduled records or the originals of permanent records that have been microfilmed. **RETENTION:** PERMANENT.

c) Records inventories - Lists or inventories of the active and inactive records created or received by a local government. RETENTION: AV. (Exempt from destruction request requirement)

d) Records management plans and policy documents - Plans and similar documents establishing the policies and procedures under which a records management program operates. RETENTION: Until superseded + 5 years.

#### **1000-41 REPORTS AND STUDIES (NON-FISCAL)**

a) Annual, sub-annual, or irregularly prepared reports, performance audits, or planning studies submitted to the governing body or chief administrative officer of a local government or by the local government to a state agency, as may be required by law or regulation, on the non-fiscal performance of a department, program, or project or for planning purposes, including those prepared by consultants under contract with a local government, *except* documents of similar types noted in this or other commission schedules.

1) Annual reports. RETENTION: PERMANENT.

2) Special reports or studies 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 agency or a court. RETENTION: PERMANENT.

3) Special reports or studies prepared by order or request of the chief administrative officer. RETENTION: 5 years.

**Retention Note:** Review before disposal; many records of this type may merit permanent retention for historical reasons.

4) Monthly, bimonthly, quarterly, or semi-annual reports. RETENTION: 3 years.

b) Activity reports compiled on a daily or other periodic basis pertaining to workload measures, time studies, number of public contacts, etc., *except* reports of similar types noted in this or other commission schedules. RETENTION: 1 year. (Exempt from destruction request requirement)

**1000-42 WAIVERS OF LIABILITY** (including statements signed by volunteers acknowledging non-entitlement to benefits, agreeing to abide by local government policies, etc.). RETENTION: 3 years from date of cessation of activity for which the waiver was signed.

## **PART 2: FINANCIAL RECORDS**

**Retention Notes:** a) **AUDIT REQUIREMENTS** - Most local governments are required by state law to conduct annual or biennial audits of their records and accounts. These audit requirements were taken into account in setting the retention periods in this schedule. The following retention rules also apply:

1) In any local government for which there is no statutory audit requirement and audits are conducted irregularly or in a local government in which a statutorily required audit is delayed, any record in this schedule whose retention period dates from the end of a fiscal year (FE) must be retained for the retention period stated or one year after audit, whichever later.

2) With regard to any special fund of a local government or elective county office for which there is no statutory audit requirement and the fund is not audited, any records listed under item numbers 1025-26, 1025-27, 1025-28, and 1025-30 associated with receipts and disbursements from or to the fund must be retained for FE + 10 years.

b) GRANT RECORDS - Subsections (1)-(3) apply to any local government, except school districts, receiving federal, state, or private grants; subsection (4) applies to school districts only.

1) Direct Federal Grants - This subsection applies to grants received by a local government directly from a federal grantor agency.

i) Most federal grantor agencies require that grant-related records be retained for audit purposes for 3 years from the filing of expenditure reports. A few agencies, however, require a 5-year retention. Reference should be made to the specific terms of each grant to determine whether a 3-year or 5-year retention period is required and whether additional retention provisions apply.

ii) In addition to item number 1025-08(a)-(b), financial and programmatic records of grant-funded projects, including copies or documentation of relevant accounting, banking, purchasing, and payroll records, and other documents and working papers associated with the financial and programmatic administration of the grant funds or used to prepare reports or forms required by federal law or regulation must be retained for the following periods:

A) For grants continued or renewed annually or at other intervals except quarterly - 3 or 5 years from the date of submission of the annual or other periodic expenditure report.

B) For grants continued or renewed quarterly - 3 or 5 years from the date of submission of the expenditure report for the last quarter of the federal fiscal year.

C) For grants for which the requirement of a final expenditure report has been waived - 3 or 5 years from the date the report would have been due.

D) For all other grants - 3 or 5 years from the date of submission of the final expenditure report.

iii) The retention periods for the following types of records are exceptions to the periods noted above:

A) Records of non-expendable property or equipment acquired with grant funds - 3 or 5 years from the date of transfer, replacement, sale, or junking of the item.

B) Cost allocation plans and indirect cost records - 3 or 5 years from date of submission or, for plans prepared and retained by the grantee, from the close of the fiscal year covered by the plan.

C) Income records - 3 or 5 years from the end of the fiscal year in which the income is used.

iv) If any litigation or audit commences before the expiration of the 3 or 5 year period, the records must be retained until all litigation or audit findings are resolved or until the end of the regular 3 or 5 year period, whichever later.

v) If records are transferred to the grantor agency at its request, copies of the records need not be retained.

2) Indirect Federal Grants - This subsection applies to federal grants received as subgrants from state agencies or other local governments (e.g., regional councils of government).

The expenditure reports are submitted to the federal agency by the state or local subgrantor agency after all subgrantees have submitted reports to the subgrantor. Consequently, records under item number 1025-08(a)-(b) and records described in section (b)(1) must be retained by local government subgrantees for the following minimum retention periods:

i) For grant programs with a 3-year federal retention requirement - FE + 5 years.

ii) For grant programs with a 5-year federal retention requirement - FE + 7 years.

Copies of reports or records submitted to the subgrantor agency must be retained by the local government for the periods indicated.

3) State and Private Grants - This schedule extends the 3-year federal retention requirement described in section (b)(1) to state (excluding federal subgrants) and private grant records unless the state or private grantor agency has established different retention requirements, in which case those requirements shall prevail. It is an exception to the extension of federal grant requirements to state and private grants

that for state or private grants renewed quarterly as described in section (b)(1)(ii)(B), the 3-year retention requirement runs from the date of submission of the expenditure report for the last quarter of the state fiscal year for state grants and from the last quarter of the local government's fiscal year for private grants.

4) Grant Records and School Districts (including Educational Service Centers) - See Local Schedule SD (Records of Public School Districts). Because of the difficulty of effectively separating financial data that evidence the expenditure of federal funds from those that document the expenditure of local or state-allocated funds, a 7-year retention period has been adopted for most financial records of school districts. The use of the term "school district" in this schedule includes educational service centers, county departments of education, and educational cooperatives.

## **SECTION 2-1: FISCAL ADMINISTRATION AND REPORTING**

**1025-01** AUDIT RECORDS (by both internal and external auditors).

- a) Annual or biennial cumulative audit. RETENTION: PERMANENT.
- b) Annual, biennial, or other periodic audit of a department, program, fund, or account *if included* in a cumulative audit under (a). RETENTION: 2 years.
- c) Annual, biennial, or other periodic audit of a department, program, fund, or account *if not included* in a cumulative audit under (a). RETENTION: PERMANENT.
- d) Special audits ordered by a governing body, a court or grand jury, or mandated by administrative rules of a state or federal agency. RETENTION: PERMANENT.
- e) Working papers, summaries, and similar records created for the purposes of conducting an audit. RETENTION: 3 years after all questions arising from the audit have been resolved.

**1025-02** BANK SECURITY RECORDS - Records documenting the pledging of bonds or securities by banks serving as depositories for public funds including depository contracts, security pledges and statements, surety bonds, and similar records. RETENTION: 4 years after termination, expiration, or release of contractual obligations.

**1025-03** BOND RECORDS (*see retention note to item number 1025-09*).

- a) Bond administrative records consisting of preliminary studies, proposals and prospectuses, authorizations and certifications for issuance or cancellation, and related policy correspondence. RETENTION: PERMANENT.

b) Bond certificates and redeemed coupons. RETENTION: 1 year after payment. (Exempt from destruction request requirement) [By law - Civil Statutes, art. 717l-1 for counties (see statute for procedural instructions for destruction); by authority of this schedule for all other local governments.]

c) Bond registers. RETENTION: PERMANENT.

d) Records relating to the exchange, conversion, or replacement of bonds by bondholders. RETENTION: 1 year and exempt from destruction request requirement if information is contained in a bond register; PERMANENT, if information is not contained in a bond register.

#### **1025-04 BUDGETS AND BUDGET DOCUMENTATION**

a) Annual budgets (including amendments). RETENTION: PERMANENT.

b) Special budgets (includes budgets for capital improvement projects, grant-funded projects, or other projects prepared on a special or emergency basis and not included in an annual budget). RETENTION: PERMANENT.

c) Working papers created exclusively for the preparation of budgets, including budget requests, justification statements, and similar documents. RETENTION: 2 years.

d) Encumbrance and expenditure reports (status reports showing expenditures and encumbrances against a budget). RETENTION: 2 years.

e) Budget change documentation, including line item or contingency/reserve fund transfers and supplemental budget requests. RETENTION: 2 years.

#### **1025-05 CAPITAL ASSETS RECORDS - Documentation relating to the capital and fixed assets of a local government.**

a) Equipment or property history cards or similar records containing data on initial cost, including disposal authorizations when disposed of. RETENTION: FE of date of disposal + 7 years for school districts; + 3 years for other governments.

b) Equipment or property cost and depreciation schedules or summaries used for capital outlay budgeting or other financial or budget control purposes. RETENTION: FE + 7 years for school districts; + 3 years for other governments.

c) Equipment or property inventories (including sequential number property logs). RETENTION: Until superseded + 3 years.

d) Property sale, auction, or disposal records of government-owned equipment or property. RETENTION: 1 year. (Exempt from destruction request requirement). [By law - Local

Government Code, Section 263.155(b) for counties; by authority of this schedule for all other local governments.]

**Retention Note:** Property sale or auction records under (d) do not include records arising from the sale or auction of property foreclosed or seized by a taxing unit for failure to pay property taxes or for the sale or auction of property seized by law enforcement officers. For such records use Local Schedule TX (Records of Property Taxation) or Local Schedule PS (Records of Public Safety Agencies) respectively.

**1025-06 FEDERAL REVENUE SHARING RECORDS** - Records concerning the use of federal revenue sharing funds by a local government, including revenue and expenditure summaries; status, budget, and audit reports; and other reports or documentation required by federal law or regulation. RETENTION: 3 years. [By regulation - 31 CFR 51.11(b), 51.12(c), and 51.108(a) and (d).]

**1025-07 FINANCIAL REPORTS** - Annual, sub-annual, or irregularly prepared financial reports or statements on the accounts, funds, or projects of a local government created either for internal use or for submission to state agencies as may be required by law or regulation, *except* reports of similar types noted in this or other commission schedules.

a) Monthly, bimonthly, quarterly, or semi-annual reports. RETENTION: FE + 3 years.

b) Annual reports. RETENTION: PERMANENT.

c) Long range fiscal planning reports. RETENTION: PERMANENT.

d) Capital improvement reports. RETENTION: PERMANENT.

**1025-08 GRANT DEVELOPMENT AND ADMINISTRATIVE RECORDS**

a) Successful grant applications and proposals and any documentation that modifies the terms of a grant. RETENTION: FE + 7 years for school districts; + 3, 5, or 7 years for other governments.

**Retention Note:** See note (b) at beginning of Part 2 of this schedule.

b) Financial, performance, and compliance reports submitted to grantor or subgrantor agencies. RETENTION: FE + 7 years for school districts; + 3, 5 or 7 years for other governments.

**Retention Note:** See note (b) at beginning of Part 2 of this schedule.

c) Reports, planning memoranda, studies, correspondence, and similar records created for and used in the development of successful grant proposals. RETENTION: 3 years.

d) Any records of the type noted in (a) or (b) relating to unsuccessful grant proposals.  
RETENTION: AV. (Exempt from destruction request requirement)

**1025-09 INVESTMENT TRANSACTION RECORDS** - Documentation relating to the investment of public funds (e.g., certificates of deposit) that evidences the investment of funds, the performance or return of investments, the cancellation or withdrawal of investments, and similar activity. RETENTION: FE + 7 years for school districts; + 5 years for other governments.

**Retention Note:** It is an exception to the retention period for this item that records of investments and the calculation of arbitrage rebate amounts (if any) on proceeds from the sale of tax exempt bonds must be retained for 6 years after the retirement of the last obligation of the bond issue.

## SECTION 2-2: ACCOUNTING RECORDS

**Retention Note:** PAYROLL RECORDS - For records relating to the disbursement of payroll see Section 3-2.

**1025-25 ACCOUNTING POLICIES AND PROCEDURES DOCUMENTATION** - Policy and procedure directives and similar records documenting accounting methodology. RETENTION: Until superseded + 5 years.

**1025-26 ACCOUNTS PAYABLE AND DISBURSEMENT RECORDS** - Claims, invoices, statements, copies of checks and purchase orders, expenditure authorizations, and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other employment-related expenses.  
RETENTION: FE of date of payment + 7 years for school districts; + 3 years for other governments, *except for the following:*

a) Accounts payable records sufficient to document the purchase costs of capital equipment or other fixed assets *if* capital asset documentation of the type noted under item number 1025-05(a) *is not* created. RETENTION: FE of date of disposal + 7 years for school districts; + 3 years for other governments.

b) Fund transmittal reports accompanying the transmittal of funds to federal, state, or other local government agencies (e.g., sales tax to the State Comptroller of Public Accounts), to retirement systems, or to other entities if the funds are collected in whole or in part on behalf of other agencies or individuals (e.g., retirement deductions of employees), *except* those accompanying the transmittal of federal and state payroll and unemployment taxes [see item number 1050-53(b)]. RETENTION: FE of period covered by report + 3 years.

**1025-27 ACCOUNTS RECEIVABLE RECORDS** - Bill copies or stubs, statements, billing registers, account cards, deposit warrants, cash receipts, receipt books, cash transfers, daily cash reports, cash drawer reconciliations, and similar records that serve to document money owed to or received by a local government and its collection or receipt. RETENTION: FE of date of receipt + 7 years for school districts; + 3 years for other governments, *except for the following*:

a) Accounts receivable records documenting the receipt of any monies by any local government that are remittable to the State Comptroller of Public Accounts (e.g., court costs in criminal cases, sales tax). RETENTION: Remittance due date + 7 years for school districts; + 5 years for other governments.

b) Account card or similar record documenting payments to a local government in which the government holds a property lien until the debt is satisfied (e.g., liens arising from demolition, lot cleaning), including original liens and lien releases. RETENTION: FE of date of final payment and release of lien + 3 years.

c) Account card or similar record relating to the receipt of cash deposits as sureties for the delivery of services (e.g., water and wastewater). RETENTION: FE of termination of service or refund of deposit + 3 years.

d) Records of accounts deemed uncollectable, including write-off authorizations. RETENTION: FE of write-off date + 7 years for school districts; + 3 years for other governments.

**Retention Note:** For accounts receivable records associated with the collection of property taxes, all local governments, including school districts, should use Local Schedule TX (Records of Property Taxation).

**1025-28 BANKING RECORDS** - Bank statements, canceled checks, check registers, deposit slips, debit and credit notices, reconciliations, notices of interest earned, etc. RETENTION: FE + 7 years for school districts; + 5 years for other governments.

**1025-29 COST ALLOCATION AND DISTRIBUTION RECORDS** - Records created to document the allocation of costs among accounts and funds of a local government, including records relating to chargebacks and other interdepartmental or interfund accounting transactions. RETENTION: FE + 7 years for school districts; + 3 years for other governments.

**Retention Note:** If any of the records in this group are used as ledger and journal entry documentation, they must be retained for FE + 5 years (see item number 1025-30) by all local governments.

## 1025-30 LEDGERS, JOURNALS, AND ENTRY DOCUMENTATION

**Retention Note:** Be certain to verify before the disposal of any ledger or journal under this item number that the ledger or journal does not serve to document financial activities that require a longer retention period (e.g. investment documentation of proceeds of tax exempt bonds under item number 1025-09).

a) General ledger showing receipts and expenditures from all accounts and funds of a local government.

1) For fiscal years for which an annual audit report (see item number 1025-01) exists. RETENTION: FE + 7 years for school districts; + 5 years for other governments.

**Retention Note:** Review before disposal; some ledgers may merit permanent retention for historical reasons.

2) For fiscal years for which an annual audit report (see item number 1025-01) *does not* exist. RETENTION: PERMANENT.

b) Subsidiary ledgers. RETENTION: FE + 7 years for school districts; + 5 years for other governments.

**Retention Note:** Review before disposal; some ledgers may merit permanent retention for historical reasons.

c) Receipt, disbursement, general, or subsidiary journals. RETENTION: FE + 7 years for school districts; + 5 years for other governments.

**Retention Note:** Review before disposal; some journals may merit permanent retention for historical reasons.

d) Journal vouchers and entries or similar posting control forms (including supporting documentation such as correspondence and auditor adjustments that evidence journal entries and amendments). RETENTION: FE + 7 years for school districts; + 5 years for other governments.

**Retention Note:** If bill stubs (see item number 1025-27) are used as entry documentation for account journals, they must be retained by all local governments other than school districts for FE + 5 years rather than the FE + 3 year retention period for accounts receivable records.

e) Perpetual care fund registers of municipally-owned cemeteries. RETENTION: PERMANENT. [By law - Health and Safety Code, Section 713.005(a).]

**1025-31 TRANSACTION SUMMARIES** - Periodic summaries or reports of accounting transactions or activity by department, budget code, program, account, fund, or type of activity, including trial balances, *unless* the summary is of a type noted elsewhere in this part.

- a) Daily. RETENTION: 30 days. (Exempt from destruction request requirement)
- b) Weekly. RETENTION: 90 days. (Exempt from destruction request requirement)
- c) Monthly, bimonthly, quarterly, or semi-annual. RETENTION: 2 years.
- d) Annual. RETENTION: FE + 7 years for school districts; + 3 years for other governments.

**Retention Note:** If an annual trial balance is not maintained, then the least frequent sub-yearly trial balance must be retained for FE + 7 years by school districts and FE + 3 years by all other local governments.

**1025-32 UNCLAIMED PROPERTY DOCUMENTATION** - Any form of record sufficient to verify information on unclaimed property previously reported to the State Treasurer showing the name and last known address of the apparent owner of reportable unclaimed property, a brief description of the property, and the balance of each unclaimed account, if appropriate. RETENTION: Date on which property is reportable + 10 years. [By law - Property Code, Section 74.103(b).]

### **PART 3: PERSONNEL AND PAYROLL RECORDS**

**Retention Notes:** a) **FEDERAL RETENTION REQUIREMENTS** - Federal retention periods for personnel and payroll records arise principally from the administration of the Civil Rights Act of 1964, Title VII; the Age Discrimination and Employment Act of 1967; the Equal Pay Act; the Fair Labor Standards Act; the Federal Insurance Contribution Act; and the Federal Unemployment Tax Act. These acts are administered by various federal agencies or departments of agencies and, because retention periods are set to enable each agency to carry out its particular oversight authority, different retention periods are often established for the same record. In compiling Schedule GR, the longest applicable federal retention period is cited as authority for the retention period indicated. A federal regulation is not cited if a state law or regulation requires a longer retention period. A federal retention period is also not cited if a Texas statute of limitations makes a longer retention period advisable. For example, the federal retention requirement for employment contracts [see item number 1050-15(a)] is given as 3 years from the last effective date of the contract in 26 CFR 516.5, but suits in Texas may be brought by either party to such a contract within four years of the occurrence of an alleged breach; therefore a retention period of 4 years from the last effective date of the contract is set in this schedule. All retention periods in this part apply, by authority of this schedule, to all local governments, although some of them may be otherwise exempt from the federal requirement

cited. This provision does not require the creation by exempted local governments of any special documentation demonstrating compliance with federal regulations that may be required of non-exempted governments.

b) **PERSONNEL FILES** - The individual employee personnel file is not scheduled as a unit in this section; documents normally placed in such files are scheduled separately. Please note, however, that some information must be retained permanently [see item numbers 1050-12, 1050-52(b) and 1050-54(a)] on each employee.

c) **TERMINATED EMPLOYEES** - Notwithstanding any retention periods in this part, all personnel records existing on the date of termination of an involuntarily terminated employee must be retained for 2 years from the date of termination [29 CFR 1602.31, 1602.40, and 1602.49].

d) **JTPA AND CETA EMPLOYEES** - Any records maintained on applicants for or holders of positions paid in whole or in part from Comprehensive Employees' Training Act (CETA) funds or affirmative action apprenticeship program funds administered by the U. S. Department of Labor must be retained for 5 years from the date of enrollment in the program. [20 CFR 676.35(b) and 29 CFR 30.8(e)]. This 5 year retention period is extended by authority of this schedule to comparable records on applicants for or holders of positions paid in whole or in part from Job Training Partnership Act (JTPA) funds.

e) **DEFINITION OF EMPLOYEE** - For the purposes of this part, the term "employee" also includes elected or appointed officials of a local government who are paid wages or a salary from any funds of the local government.

f) **PERSONNEL RECORDS IN SHERIFF'S DEPARTMENTS IN CERTAIN COUNTIES** - The Local Government Code, Section 157.904, provides that sheriff's departments in counties with a population of 2,000,000 or more shall maintain "a permanent personnel file on each department employee." The precise contents of a personnel file are not specified, but three groups of records are expressly mentioned. Consequently, any record in item numbers 1050-03, 1050-07, and 1050-21, all of which are records of a type mentioned in the statute, must be retained permanently. What other records may be includable in a permanent personnel file in sheriffs' departments subject to the law should be determined by the sheriffs and their legal counsel.

## **SECTION 3-1: PERSONNEL RECORDS**

### **1050-01 AFFIRMATIVE ACTION PLANS**

a) Reports, analyses, and statistical data compiled from source documentation used to develop, implement, and monitor affirmative action plans. **RETENTION:** 5 years. [By regulation - 29 CFR 30.8(e).]

b) Affirmative action plans. RETENTION: Until superseded + 5 years. [By regulation - 29 CFR 30.8(e).]

**1050-02 APTITUDE AND SKILLS TEST RECORDS** - Records relating to aptitude or skills tests *required* of job applicants or of current personnel to qualify for promotion or transfer, including civil service examinations.

a) Validation studies. RETENTION: Life of test + 2 years.

b) Tests. RETENTION: Until superseded + 2 years. [By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]

**Retention Note:** One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.

c) Test papers of persons taking tests. RETENTION: 2 years. [By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]

d) Records, *other* than those noted (a)-(c), relating to the planning and administration of tests. RETENTION: 3 years.

**1050-03 AWARDS AND COMMENDATIONS.** RETENTION: Date of separation + 5 years.

**1050-04 CERTIFICATES AND LICENSES** - Certificates, licenses, or permits required of employees to qualify for or remain eligible to hold a position requiring certification or licensing. RETENTION: Until superseded or separation of employee + 5 years.

**Retention Note:** If the submission of copies of certificates, licenses, or permits is required of all applicants for a position, those of applicants not hired must be retained for 2 years under item number 1050-14.

**1050-05 CONFLICT OF INTEREST AFFIDAVITS.** RETENTION: 5 years after leaving position for which the affidavit was filed.

**1050-06 COUNSELING PROGRAM FILES**

a) Reports of interviews, analyses, and similar records relating to the counseling of an employee for work-related, personal, or substance abuse problems. RETENTION: 3 years after termination of counseling.

b) Records relating to the planning, coordination, implementation, direction, and evaluation of a employee counseling program. RETENTION: 3 years.

**1050-07 DISCIPLINARY AND ADVERSE ACTION RECORDS** - Records created by civil service boards or by personnel or supervisory officers in considering, or reconsidering on appeal, an adverse action (e.g., demotion, probation, termination, suspension, leave without pay) against an employee, including, as applicable, witness and employee statements, interview reports, exhibits, reports of findings, and decisions and judgments. RETENTION: 2 years after case closed or action taken, as applicable. [By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]

**1050-08 EMPLOYEE PENSION AND BENEFITS RECORDS** [for records of pension and deferred compensation deductions from payroll see 1050-52(b)].

a) Employee benefit plans such as pension; life, health, and disability insurance; seniority and merit systems; and deferred compensation plans, including amendments. RETENTION: Termination of plan + 1 year. [By regulation - 29 CFR 1627.3(b)(2).]

**Retention Note:** If the plan or system is not in writing, a memorandum fully outlining the terms of the plan or system and the manner in which it has been communicated to affected employees, together with notations relating to any changes or revisions, must be retained for the same period as written plans.

b) Enrollment forms providing personal identifying data, beneficiary information, option selection, and similar information.

1) If the official record is maintained by the retirement system of which the local government is a member or by the service provider. RETENTION: AV. (Exempt from destruction request requirement)

2) If the official record is maintained by the local government.

A) Pension and deferred compensation. RETENTION: PERMANENT.

B) Life, health, and disability insurance. RETENTION: Termination of coverage + 4 years.

c) Annual reports from a pension system or fund. RETENTION: PERMANENT.

**1050-09 EMPLOYEE RECOGNITION RECORDS** - Award committee reports, selection criteria, nominations, and similar administrative records of employee award or incentive programs. RETENTION: 2 years.

**1050-10 EMPLOYEE SECURITY RECORDS**

a) Records created to control and monitor the issuance of keys, identification cards, passes, or similar instruments of identification and access. RETENTION: Until superseded, date of expiration, or date of separation + 2 years, as applicable.

b) Records relating to the issuance of parking permits. RETENTION: Until superseded. (Exempt from destruction request requirement)

**1050-11 EMPLOYEE SELECTION RECORDS** - Notes of interviews with candidates; audio and videotapes of job interviews; applicant rosters; eligibility lists; test ranking sheets; justification statements for violating eligibility or ranking sequence; background, criminal history, and previous injury checks; polygraph examination results; offers of employment letters; and similar records documenting the filling of a vacant position. RETENTION: 2 years from the creation (or receipt) of the record or the personnel action involved, whichever later. [By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]

**1050-12 EMPLOYEE SERVICE RECORD** - Summary employment history record for each employee maintained on one or more forms, containing the following *minimum* information: name; sex; date of birth; social security number; positions held with dates of hire, promotion, transfer, or demotion; dates of leaves of absence or suspension that affect computation of length of service; wage or salary rate for each position held, including step or merit increases within grades; and date of separation. [For other information on employees that must also be retained permanently either as part of this record or in another form, see item numbers 1050-52(b) and 1050-54(a)]. RETENTION: PERMANENT.

**Retention Notes:** a) This schedule does not require the creation of an employee service record of the type described, but the creation of the record is strongly recommended to allow frequent disposal of documents from which information has been summarized. If an employee service record is not maintained, documents (e.g., employment applications, personnel action forms) containing the prescribed information must be retained permanently. More than one document providing the same element of required information need not be retained.

b) The Teacher Service Record (Texas Education Agency Form FIN-115 or its equivalent), containing information required by statute or regulation, shall be considered an employee service record of the type described and must be retained permanently.

c) Salary or wage data on an employee service record may be indicated by grade and step numbers if all corresponding wage rate tables (see item number 1050-59) applicable to a person's employment history are retained permanently.

**1050-13 EMPLOYMENT ADVERTISEMENTS OR ANNOUNCEMENTS** - Advertisements or postings relating to job openings, promotions, training programs, or overtime opportunities, including jobs orders submitted to employment agencies. RETENTION: 2 years. [By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]

**1050-14 EMPLOYMENT APPLICATIONS** - Applications, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions (both hired and

not hired) or for promotion, transfer, or training opportunity (both selected and not selected) is required on the application form, by application procedures, or in the employment advertisement. RETENTION: 2 years from the creation (or receipt) of the record or the personnel action involved, whichever later, *except the following*: [By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]

a) Samples of publications, artwork, or other products of prior achievement not returned to applicants. RETENTION: AV. (Exempt from destruction request requirement)

b) Transcripts of persons *hired* if state or federal law or regulation mandates a level of education needed to qualify for employment (e.g., school district professional and paraprofessional personnel). See also item number 1050-28(a). RETENTION: Date of separation + 5 years.

**Retention Note:** If applicant screening or hiring decisions are based on resumes, with only successful or interviewed candidates completing employment applications, then resumes of persons not hired must be kept for the same period as employment applications. If resumes are supplemental to employment application forms, they need only be retained as long as administratively valuable.

#### **1050-15 EMPLOYMENT CONTRACT/COLLECTIVE BARGAINING RECORDS**

a) Contracts and agreements, including collective bargaining agreements, between a local government and an employee or a group of employees, including written acceptances of such contracts. RETENTION: Last effective date of contract + 4 years.

b) Records relating to the negotiation of collective bargaining agreements or similar group contracts, including reports; correspondence; mediation or arbitration agreements; the proceedings, findings, and awards of arbitration boards; and similar records. RETENTION: Last effective date of contract + 4 years or, if no agreement or contract results, 4 years.

#### **1050-16 EQUAL EMPLOYMENT OPPORTUNITY RECORDS AND REPORTS**

a) Reports, analyses, or statistical data compiled from source documentation used to complete EEO reports. RETENTION: 3 years. [By regulation - 29 CFR 1602.30, 1602.39, and 1602.48.]

b) EE0-1, EEO-4, EE0-5, and EE0-6 reports. RETENTION: 3 years. [By regulation - 29 CFR 1602.32, 1602.41; and 1602.50.]

c) Case files relating to discrimination complaints, including complaints, legal and investigative documents, exhibits, related correspondence, withdrawal notices, and decisions or judgments. RETENTION: Resolution of case + 3 years.

**1050-17 EQUAL PAY RECORDS** - Reports, studies, aggregated or summarized data, and similar documentation compiled to monitor and demonstrate compliance with the Equal Pay Act. RETENTION: 2 years. [By regulation - 29 CFR 1620.32(c).]

**1050-18 FIDELITY BONDS.** RETENTION: Effective life of bond + 5 years.

**Retention Note:** Does not include the Official Bond Record maintained by county clerks, which must be retained permanently.

**1050-19 FINGERPRINT CARDS.** RETENTION: Date of separation + 5 years.

**Retention Note:** If fingerprint cards are created for all applicants for a position, those of persons not hired must be retained 2 years under item number 1050-14.

**1050-20 GRIEVANCE RECORDS -** Records relating to the review of employee grievances against personnel policies, working conditions, etc. RETENTION: 2 years.

**Retention Note:** Do not confuse these records with those involving EEO complaints [see item number 1050-16(c)].

**1050-21 JOB EVALUATIONS (PERFORMANCE APPRAISALS)**

a) Evaluations of public school teachers, subject to the career ladder system, for the 1983-84 school year and subsequent years only. RETENTION: PERMANENT.

b) Evaluations of all other local government employees. RETENTION: Until superseded + 2 years. [By regulation - 29 CFR 1620.32(c).]

**1050-22 MEDICAL AND EXPOSURE REPORTS**

a) Health or physical examination reports or certificates of all job applicants if physical condition is a factor in hiring decisions, including the promotion, transfer or selection for training of current personnel. RETENTION: 2 years. [By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]

b) Health or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.

\* 1) For employees exposed in the course of their work to toxic substances, harmful physical agents, or bloodborne pathogens. RETENTION: Date of separation + 30 years. [By regulation - 29 CFR 1910.20(d)(1)(i) and 1910-1030(h)(1)(iv).]

2) For all other employees. RETENTION: Until superseded + 2 years.

c) Environmental, biological, and material safety monitoring reports concerning toxic substances and harmful physical agents in the workplace, including analyses derived from such reports. RETENTION: 30 years. [By regulation - 29 CFR 1910.20(d)(1)(ii).]

**1050-23 OATHS OF OFFICE.** RETENTION: Until superseded + 5 years; or, 5 years after leaving position for which oath required, whichever applicable.

**1050-24 PERSONNEL ACTION OR INFORMATION NOTICES** - Documents used by personnel officers to create or change information in the personnel records of individual employees concerning hiring, termination, transfer, pay grade, position or job title, leaves of absence, name changes, and similar personnel actions *except* those noted elsewhere in this part. RETENTION: 2 years. [By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]

**1050-25 PERSONNEL STUDIES AND SURVEYS** - Studies, statistical reports, surveys, cost analyses and projections, and similar records, *except* those noted elsewhere in this part, on any aspect of the personnel management or administration of a local government. RETENTION: 3 years.

**Retention Note:** Review before disposal; some documents may merit permanent retention for historical reasons.

**1050-26 POSITION DESCRIPTION, CLASSIFICATION, AND STAFF MONITORING RECORDS**

a) Job descriptions, including any associated task or skill statements. RETENTION: Until superseded or position abolished + 4 years. [By regulation - 40 TAC 301.6(i).]

b) Documentation concerning the development and analysis of job descriptions and classification systems, including survey, review and audit reports; classification standards and guidelines; selection criteria, determination of classification appeals, etc., as follows:

1) Documents linked to a specific position. RETENTION: Dispose with job description under (a).

2) Survey, audit, or other reports issued on a regular basis. RETENTION: Until superseded + 4 years.

3) Other documentation not included in (b)(1) or (b)(2). RETENTION: PERMANENT.

c) Position staffing and vacancy reports. RETENTION: Until superseded. (Exempt from destruction request requirement)

d) Personnel requisitions. RETENTION: 2 years.

**1050-27 REDUCTION IN FORCE PLANS** (including any related implementation documentation). RETENTION: Until superseded, or if implemented, 2 years from date of last RIF action under the plan.

**1050-28 TRAINING AND EDUCATIONAL ATTAINMENT RECORDS** (for other records relating to aptitude or skills tests *required* of job applicants or of current personnel to qualify for promotion or transfer see item number 1050-02).

a) Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee if such training or testing is required for the position held or if the educational or skill attainment or enhancement affects or could affect career advancement in the local government or, in the case of licensed or certified personnel (e.g., school professionals, firefighters, police officers, health care professionals), in other governments or the private sector. **RETENTION:** Date of separation + 5 years.

**Retention Note:** If information concerning training or testing (e.g., test scores) is transferred to an Employee Service Record (item number 1050-12), the document from which the information is taken need be retained for only 2 years.

b) Records documenting the planning, development, implementation, administration and evaluation of in-house training programs. **RETENTION:** 3 years.

c) Training manuals, syllabuses, course outlines, and similar training aids used in in-house training programs. **RETENTION:** Until superseded. (Exempt from destruction request requirement)

d) Skill or achievement measurement records of a training group or class as a whole (e.g., rosters with scores). **RETENTION:** 2 years.

**Retention Note:** If the only information documenting the in-house training of an employee of the types described in (a) is contained in the measurement records of a group or class as a whole, the group records must be retained for the date of separation + 5 years for all employees included in the group records.

**1050-29 UNEMPLOYMENT COMPENSATION CLAIMS FILES** - Unemployment claims, pertinent correspondence, and similar records documenting unemployment compensation cases. **RETENTION:** 5 years.

**1050-30 VERIFICATION OF EMPLOYMENT ELIGIBILITY (INS Form I-9).**  
**RETENTION:** 3 years from hire or 1 year after separation, whichever later. [By regulation - 8 CFR 474a.2(b)(2)(i)(A) and (c)(2).]

**Retention Note:** If a former employee is rehired and an INS Form I-9 is still on file for the employee, the 3 year retention period dates from date of first hire.

**1050-31 WORK SCHEDULES** - Work, duty, shift, crew, or case schedules, rosters, or assignments *except* work schedules includable in item number 1050-56. **RETENTION:** 1 year. (Exempt from destruction request requirement)

**1050-32 WORKERS COMPENSATION CLAIM FILES** - Initial and supplemental reports of accidents to or job-related illnesses of employees and documentation relating to any subsequent filing of claims by employees. RETENTION: 5 years. [By regulation - 29 CFR 1904.06 for accident and illness reports.]

**1050-33 FINANCIAL DISCLOSURE STATEMENTS** - Financial disclosure statements of officers and/or employees of a local government. RETENTION: 2 years.

**Retention Note:** For campaign contribution and expenditure statements see item number 3125-01 in Local Schedule EL (Records of Elections and Voter Registration).

### **SECTION 3-2: PAYROLL RECORDS**

**Retention Note: OTHER ACCOUNTING RECORDS** - This section supplements Section 2-2 and schedules financial and accounting records found in most local governments specific to the disbursement of payroll. If a payroll-related record is not scheduled in this section, use Section 2-2 for the comparable record; e.g., payroll fund reconciliations should be retained for FE + 3 years (or FE + 7 years in school districts) under the retention for Banking Records (see item number 1025-28).

**1050-50 DEDUCTION AUTHORIZATIONS** - Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including orders of garnishment or other court-ordered attachments. RETENTION: 4 years after separation or 4 years after amendment, expiration, or termination of authorization, whichever sooner.

**1050-51 DIRECT DEPOSIT APPLICATIONS/AUTHORIZATIONS.** RETENTION: Until superseded. (Exempt from destruction request requirement)

#### **1050-52 EARNINGS AND DEDUCTION RECORDS**

a) A record containing the following payroll information on each employee: name, last known address and social security number; amount of wages paid to the employee for each payroll period, including all deductions, and date of payment. RETENTION: Retention of any one of the following records for 7 years by school districts or 4 years by other governments will satisfy the retention requirement: [By regulation - See Local Schedule SD for school districts; 20 CFR 404.1225(b)(3) and 40 TAC 301.6(a) and (i) for other governments.]

1) Individual employee earnings card or record that shows earnings and deductions for each pay period.

2) Master payroll register which shows earnings and deductions for each pay period.

b) A record containing the following minimum pension and deferred compensation information on each employee: name, date of birth, social security number, and amount of pension and

deferred compensation deductions. RETENTION: PERMANENT retention of any one of the following will satisfy the retention requirement:

- 1) Individual employee earnings card or record as in (a)(1).
- 2) Employee Service Record (see item number 1050-12) if it contains the prescribed pension and deferred compensation deduction data.
- 3) Master payroll register, or the final year-to-date register of each calendar year, if the register shows *all* persons employed during the year from whose wages pension and deferred compensation deductions were made.
- 4) Pension and deferred compensation deduction register, or the final year-to-date pension deduction register of each calendar year, if the register lists *all* persons employed during the year from whose wages pension and deferred compensation deductions were made.
- 5) Copies of annual or other periodic statements furnished to each employee detailing the deductions and contributions to a pension or deferred compensation plan during the past year or period.

c) Master payroll register, including year-to-date registers, *if not used* to satisfy either of the retention requirements set in (a) or (b). RETENTION: FE + 3 years.

d) Subsidiary payroll registers, *if not used* to satisfy either of the retention requirements set in (a) or (b).

1) If data contained in the subsidiary payroll register *is not* contained in the master payroll register. RETENTION: FE + 3 years.

2) If data contained in the subsidiary payroll register *is* contained in the master payroll register. RETENTION: AV. (Exempt from destruction request requirement)

e) Copies of annual or other periodic statements furnished to each employee detailing the deductions and contributions to a pension or deferred compensation plan during the past year or period, *if not used* to satisfy the retention requirement set in (b). RETENTION: 2 years.

f) Payroll adjustment records, including transaction registers, authorizations, and similar records authorizing and detailing adjustments to payroll records because of overpayment, underpayment, etc. RETENTION: FE + 7 years for school districts; + 3 years for other governments.

### **1050-53 FEDERAL AND STATE TAX FORMS AND REPORTS**

a) Forms used to determine withholding from wages and salaries for payroll tax purposes. RETENTION: 4 years after separation or 4 years after form amended, whichever sooner.

[By regulation - 20 CFR 404.1225(b)(3), 26 CFR 31.6001-1(e)(2) for federal forms and by authority of this schedule for any state forms.]

b) Forms and reports used to report the collection, distribution, deposit, and transmittal of payroll or unemployment taxes. RETENTION: 4 years after tax due date or date tax paid, whichever later. [By regulation - 20 CFR 404.1225(b)(3), 26 CFR 31.6001-1(e)(2) for federal forms and by authority of this schedule for state forms.]

### **1050-54 LEAVE RECORDS**

a) A record containing a record of the unused accumulated sick leave of each employee *if* (1) all or a percentage of accumulated sick leave is used to calculate length of service and/or (2) accumulated sick leave is creditable to an employee if rehired. RETENTION: PERMANENT retention of any one of the following will satisfy the retention requirement:

1) Individual employee earnings card or record as described in item number 1050-52(a) if it also contains accumulated sick leave data.

2) Employee Service Record (see item number 1050-12) if it contains the accumulated sick leave data prescribed.

3) Copy of the final time summary or leave status report, as noted in (d), of each separated employee.

b) Requests and authorizations for vacation, compensatory, sick and other types of authorized leave. RETENTION: FE + 3 years.

c) Leave or hours-to-date registers. RETENTION: FE + 3 years.

d) Copies of periodic time summary or leave status reports furnished to each employee containing information on vacation, sick, compensatory, or other leave earned and used, including the final report of separated employees *if they are not used* to satisfy the retention requirement set in (a). RETENTION: 2 years.

**1050-55 PAYROLL ACTION OR INFORMATION NOTICES** - Documents used by payroll officers to create or change information in the payroll records of individual employees *except* deduction authorizations (see item number 1050-50) and federal tax forms [see item number 1050-53(a)].

a) Documents concerning hiring, termination, transfer, pay grade, position or job title, name changes, etc. RETENTION: 2 years. [By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.]

b) Documents concerning adjustments to payroll and leave status. RETENTION: FE + 3 years.

**1050-56 TIME AND ATTENDANCE REPORTS** - Time cards or sheets, including work schedules and documentation evidencing adherence to or deviation from normal hours for those employees working on fixed schedules. RETENTION: 4 years. [By regulation - 40 TAC 301.6(a) and (i).]

**1050-57 TIME CHANGE RECORDS** - Requests and authorizations for overtime, time trading, and other actions that affect normal work time *except* leave requests [see item number 1050-54(c)]. RETENTION: 2 years.

**1050-58 REQUESTS AND AUTHORIZATIONS TO ENGAGE IN REIMBURSABLE ACTIVITIES** - Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other *bona fide* work-related activities in which the expenses of an employee are defrayed or reimbursed. RETENTION: FE + 7 years for school districts; + 3 years for other governments.

**1050-59 WAGE AND SALARY RATE TABLES**

a) If wage or salary rate for each position listed on an Employee Service Record (see item number 1050-12) is expressed in dollars. RETENTION: 2 years after last effective date. [By regulation - 29 CFR 516.6(a)(2).]

b) If wage or salary rate for each position listed on an Employee Service Record (see item number 1050-12) is indicated by grade or step number only. RETENTION: PERMANENT.

**PART 4: SUPPORT SERVICES RECORDS**

**SECTION 4-1: PURCHASING RECORDS**

**Retention Notes: RELATIONSHIP WITH ACCOUNTS PAYABLE RECORDS** - In a local government in which purchasing and accounts payable records (see item number 1025-26) are maintained by the same individual or department, duplicate copies of a record need not be created and/or retained to satisfy the retention requirements of this section if the record is used in documenting both the ordering and procurement of and payment for goods and services. In such instances, retention requirements for accounts payable records prevail over those noted in this section.

**1075-01 BIDS AND BID DOCUMENTATION**

\* a) Successful bids and requests for proposals, including invitations to bid, bid bonds and affidavits, bid sheets, and similar supporting documentation. RETENTION: FE of award + 7 years for school districts; + 3 years for other governments.

**Retention Note:** If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation must be retained for the same period as the contract. See item number 1000-25.

b) Unsuccessful bids. RETENTION: 2 years.

c) Informal bid records, such a requests for quotations or estimates, for the procurement of goods or services for which state law or local policy does not require the formal letting of bids. RETENTION: 1 year. (Exempt from destruction request requirement)

**1075-02 INVENTORY RECORDS (PARTS AND SUPPLIES).** RETENTION: 1 year. (Exempt from destruction request requirement)

### **1075-03 PURCHASE ORDER AND RECEIPT RECORDS**

a) Purchase orders, requisitions, and receiving reports. RETENTION: FE + 7 years for school districts; + 3 years for other governments.

b) Purchasing log, register, or similar record providing a chronological record of purchase orders issued, orders received, and similar data on procurement status. RETENTION: FE + 3 years.

c) Packing slips and order acknowledgments. RETENTION: AV. (Exempt from destruction request requirement)

d) Vendor and commodity lists. RETENTION: Until superseded. (Exempt from destruction request requirement)

## **SECTION 4-2: FACILITY, VEHICLE, AND EQUIPMENT MANAGEMENT RECORDS**

**1075-15 ACCIDENT AND DAMAGE REPORTS (PROPERTY)** - Reports of accidents or damage to facilities, vehicles, or equipment *if* no personal injury is involved. RETENTION: 3 years.

**Retention Note:** For accident reports involving personal injury see item numbers 1000-20 and 1050-32.

**1075-16 CONSTRUCTION PROJECT FILES** - Records concerning the planning, design, construction, conversion, or modernization of local government-owned facilities, structures, and systems, including feasibility, screening, and implementation studies; topographical and soil surveys and reports; architectural and engineering drawings, elevations, profiles, blueprints, and as-builts; inspection and investigative reports; laboratory test reports; environmental impact

statements; construction contracts and bonds; correspondence; and similar documentation.  
RETENTION: PERMANENT, but see retention note.

**Retention Note:** Files relating to the construction of prefabricated storage sheds, bus shelters, parking lot kiosks, non-structural recreational facilities such as baseball diamonds and tennis courts, and similar structures and facilities need be retained for only 10 years after completion of the project.

**1075-17** LOST AND STOLEN PROPERTY REPORTS. RETENTION: FE + 3 years.

**1075-18** MAINTENANCE, REPAIR, AND INSPECTION RECORDS - Records documenting the maintenance, repair, and inspection of facilities, vehicles, and equipment.

**Retention Note:** This record group schedules records of maintenance and repair to general-purpose vehicles, office equipment, and office facilities. For retention requirements for the maintenance and repair of specialized vehicles (e.g., police cars, fire trucks, school buses), equipment (e.g., airport runway beacons, traffic lights), or facilities (e.g., wastewater treatment plants) see other commission schedules.

a) Vehicles and equipment.

1) Routine inspection records. RETENTION: 1 year. (Exempt from destruction request requirement)

2) Maintenance and repair records. RETENTION: Life of asset.

**Retention Note:** If a vehicle is junked as the result of an accident, the maintenance and repair records for the vehicle must be retained for LA + 3 years.

b) Facilities.

1) Routine cleaning, janitorial, and inspection work. RETENTION: 1 year. (Exempt from destruction request requirement)

2) All other facility maintenance, repair and inspection records (including those relating to plumbing, electrical, fire suppression, and other infrastructural systems).  
RETENTION: 3 years.

**1075-19** SERVICE REQUESTS/WORK ORDERS (for repairs and maintenance to facilities, vehicles, or equipment). RETENTION: 2 years.

**Retention Note:** If work orders serve as the only form of record documenting repairs to vehicles or equipment [see item number 1075-18(a)] they must be retained for the life of the vehicle or equipment.

**1075-20 USAGE REPORTS** - Reports of usage of facilities, vehicles, and equipment.

a) Any type of usage report (e.g., mileage, fuel consumption, copies run) *if* such reports are the basis for allocating costs, for determining payment under rental or lease agreements, etc. RETENTION: FE + 7 years for school districts; + 3 years for other governments.

b) Reservation logs or similar records relating to the use of facilities such as meeting rooms, auditoriums, etc. by the public or other governmental agencies. RETENTION: 2 years.

c) Usage reports compiled for purposes other than those noted in (a) or (b). RETENTION: 1 year. (Exempt from destruction request requirement)

**1075-21 VEHICLE ASSIGNMENT RECORDS** - Assignment logs, authorizations, and similar records relating to the assignment and use of government-owned vehicles by employees. RETENTION: 2 year.

**1075-22 VISITOR CONTROL REGISTERS** - Logs, registers, or similar records documenting visitors to limited access or restricted areas. RETENTION: 3 years.

**1075-23 WARRANTIES** (for vehicles and equipment). RETENTION: Expiration of warranty + 1 year. (Exempt from destruction request requirement)

### **SECTION 4-3: COMMUNICATIONS RECORDS**

**1075-40 POSTAL AND DELIVERY SERVICE RECORDS**

a) Meter and permit usage records. RETENTION: 1 year. (Exempt from destruction request requirement)

b) Registered, certified, insured, and special delivery mail receipts and similar records of transmittal by express or delivery companies. RETENTION: 1 year.

**1075-41 TELEPHONE LOGS OR ACTIVITY REPORTS** - Registers or logs of telephone calls made and similar telephone activity reports.

a) If the log, report, or similar record is used for cost allocation purposes. RETENTION: FE + 7 years for school districts; + 3 years for other governments.

b) If the log, report, or similar record is used for internal control purposes other than cost allocation. RETENTION: 2 years.

#### \* SECTION 4-4: WORKPLACE SAFETY RECORDS

\* **5750-01** BLOODBORNE PATHOGEN TRAINING RECORDS - Records of training given employees with exposure to bloodborne pathogens showing the dates of training sessions, contents or summaries of the sessions, names and job titles of those who received training, and names and qualifications of instructors. RETENTION: 3 years. [By regulation - 29 CFR 1910.1030(h)(2)(ii).]

\* **5750-02** FACILITY CHEMICAL LISTS - Copies of tier two forms containing information of hazardous chemicals present in local government facilities submitted to the fire chief of the fire department having jurisdiction over the facilities and to the Texas Department of Health as required by Health and Safety Code, Section 506.006. RETENTION: Until superseded. (Exempt from destruction request requirement)

\* **5750-03** HAZARD COMMUNICATION PLANS - Plans describing how criteria of the Hazard Communications Act (Chapter 502, Health and Safety Code) with regard to the education and training of employees will be met. RETENTION: Until superseded + 5 years. [By law - Health and Safety Code, Section 502.009(g).]

\* **5750-04** HAZARDOUS MATERIALS TRAINING RECORDS - Records of training given employees in a hazard communications program showing the date of each training session, subjects covered during the session, rosters of employees who attended, and the names of instructors. RETENTION: 5 years. [By law - Health and Safety Code, Section 502.009(g).]

\* **5750-05** MATERIAL SAFETY DATA SHEETS (MSDS) - Material safety data sheets (MSDS) supplied to local government employers by manufacturers or distributors of hazardous chemicals. RETENTION: AV after receipt of updated sheet or the hazardous chemical is no longer present in the local government, as applicable. (Exempt from destruction request requirement)

\* **5750-06** WORKPLACE CHEMICAL LISTS - Lists of hazardous chemicals, including superseded lists, compiled and maintained by local governments in accordance with the Health and Safety Code, Section 552.005. RETENTION: 30 years. [By law - Health and Safety Code, Section 502.005(d).]

**Retention Note:** State law (Health and Safety Code, Section 502.005(d)) provides that if a local government is dissolved (e.g., a municipality through disincorporation), it shall send the workplace chemical lists in its possession to the director of the Texas Department of Health.

## **\* PART 5: ELECTRONIC DATA PROCESSING RECORDS**

**\* Retention Notes:** (a) This part establishes retention periods for records essential to the creation, maintenance, and use of electronic records (information recorded in a form for computer processing including data, graphics, digital images, multi-media records, etc.) and records related to computer operations/technical support not covered elsewhere in this schedule. Records in this part may be maintained on whatever medium is appropriate including electronic (on-line, magnetic tape, optical disk, CD-ROM, etc.), paper, and microform.

(b) Other types of records may be maintained electronically that are listed elsewhere in this schedule, such as administrative, fiscal, personnel, and support services records, or in other specialized schedules adopted by the Texas State Library and Archives Commission, such as Local Schedule PS (Records of Public Safety Agencies), Local Schedule HR (Records of Public Health Agencies), etc. The retention period for those electronic records will be as specified under the appropriate records series item number according to the function of the information. For example, if an electronic system is used to maintain encumbrance and expenditure reports, the retention period for these electronic records would be 2 years as specified in item number 1025-04(d). Retention requirements apply to records maintained on all types of electronic systems including mainframe, minicomputer, microcomputer, local-area-network based systems, etc.

c) Administrative rules of the Texas State Library and Archives Commission (13 TAC 7.71-7.79) require that retention procedures for electronic records with an approved retention of 10 years or more must include provisions for scheduling the disposition of the electronic records as well as related software, documentation, and indexes; and for regular recopying, reformatting, and other necessary maintenance or conversion activities to ensure the retention and stability of electronic records until the expiration of their retention periods.

d) If automated information is copied to paper or microform to create the official record, the electronic files do not have to be maintained for the full retention period of the record. The added value of electronic files for facilitating retrieval, making queries, providing for automated audit trails, etc., should be carefully reviewed prior to destruction of the electronic files even though there is an official record in another medium.

### **SECTION 5-1: RECORDS OF AUTOMATED APPLICATIONS**

**\* 5800-01 AUDIT TRAIL RECORDS** - Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs. **RETENTION:** Until audit requirements met.

**\* 5800-02 FINDING AIDS, INDEXES, AND TRACKING SYSTEMS** - Automated indexes, lists, registers, and other finding aids used to provide access to the hard copy and electronic

records. RETENTION: Until the related hard copy or electronic records have been destroyed. [By regulation - 13 TAC 7.77(a) for electronic records with an approved retention of 10 years or more, and by authority of this schedule for all others.]

**\* 5800-03 HARDWARE DOCUMENTATION** - Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems. RETENTION: Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. [By regulation - 13 TAC 7.77(a) for electronic records with an approved retention of 10 years or more, and by authority of this schedule for all others.]

**Retention Note:** If the retention period of electronic records is extended to meet requirements of an audit, litigation, open records action, etc. any hardware documentation required to retrieve and read the records must also be retained for the same period.

**\* 5800-04 MASTER FILES** - Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. RETENTION: Until completion of 3rd system backup cycle except for: a) Electronic file which replaces or serves in lieu of a textual record - Follow the retention period approved for the equivalent textual record; b) Electronic file containing fiscal information, for which an equivalent textual record exists, but which is also subject to audit - Dispose of after all audit questions have been resolved; c) Output data file extracted from system solely to distribute data to individuals or program units for reference and use or to produce printed reports or other publications - Dispose of after data is distributed or when no longer needed to create publication. [By regulation - 13 TAC 7.77(a) for electronic records with an approved retention of 10 years or more, and by authority of this schedule for all others.]

**Retention Note:** The need to retain “snapshots” of some continuing master files should be carefully evaluated. For example, if a Geographic Information System has only current mapping information, historical versions of zoning changes would not be available even though these records have long-term legal and historical value.

**\* 5800-05 PROCESSING FILES** - Electronic files used to produce a master file, including, but not limited to, work files, maintenance and test files, print files, and intermediate input/output records. RETENTION: Until completion of 3rd system backup cycle except for: a) Routine or benchmark file used to test system performance - AV and exempt from destruction notice requirement; b) File which facilitates processing of a particular job or system run, but which does not add to, delete from, or substantially modify information in a master file - AV and exempt from destruction notice requirement.

\* **5800-06 SOFTWARE PROGRAMS** - Automated software applications and operating system files including job control language, program listing/source code, etc. **RETENTION:** Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. [By regulation - 13 TAC 7.77(a) for electronic records with an approved retention of 10 years or more, and by authority of this schedule for all others.]

**Retention Note:** If the retention period of electronic records is extended to meet requirements of an audit, litigation, open records action, etc. any software program required to retrieve and read the records must also be retained for the same period.

\* **5800-07 SOURCE DOCUMENTS FOR ELECTRONIC RECORDS-** Documents used for the creation of electronic records by data entry or electronic imaging. **RETENTION:** Follow the retention period approved for the type of record but see the retention notes. [By law - Local Government Code, Section 205.008.]

**Retention Notes:** a) For records with an approved retention period of 10 years or more, the source document may be destroyed or returned to the person who filed it after the creation of the electronic record if an electronic storage authorization has been approved based on certification of compliance with the Standards and Procedures for Electronic Records of Local Governments (13 TAC Chapter 7).

b) For records with an approved retention of less than 10 years, the source document may be destroyed prior to the expiration of the retention period for the source document in a records retention schedule issued by the commission if the magnetic tape, optical disk, or similar medium and hardware and software necessary to provide access to local government record data on the medium are retained for the retention period given in the schedule.

\* **5800-08 TECHNICAL DOCUMENTATION** - Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. **RETENTION:** Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read. [By regulation - 13 TAC 7.77(a)]

for electronic records with an approved retention of 10 years or more, and by authority of this schedule for all others.]

**Retention Note:** If the retention period of electronic records is extended to meet requirements of an audit, litigation, open records action, etc. any technical documentation required to retrieve and read the records must also be retained for the same period.

## **SECTION 5-2: COMPUTER OPERATIONS AND TECHNICAL SUPPORT RECORDS**

**Retention Note:** Not all of the following types of records will be created with all electronic systems. A local government should determine which records are needed according to the type of computer operation in use (mainframe, individual personal computers, networked personal computers, etc.). The records in this section may be maintained electronically (on-line, magnetic tape, optical disk, etc.) or on another medium such as paper or microform provided the approved retention period is met.

\* **5825-01 ACCESS SECURITY RECORDS** - Records created for security purposes to control or monitor individual access to a system and its data, including but not limited to user account records, security login information, and password files. **RETENTION:** Until the individual no longer has access to the system or audit requirements for the records modified by the individual have been met, whichever later.

\* **5825-02 BATCH DATA ENTRY CONTROL RECORDS** - Forms and logs used to reconcile batches submitted for processing against batches received and processed. **RETENTION:** AV. (Exempt from destruction request requirement)

\* **5825-03 CHARGEBACK RECORDS TO DATA PROCESSING SERVICES USERS** - Records used to document, calculate costs and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes. **RETENTION:** FE + 7 for school districts; FE + 3 years for other governments.

\* **5825-04 COMPUTER JOB SCHEDULES AND REPORTS** - Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed. **RETENTION:** 90 days. (Exempt from destruction request requirement)

\* **5825-05 DATA PROCESSING POLICIES AND PROCEDURES** - Records of data processing policies and procedures including those covering access and security, systems development, data retention and disposition, and data ownership. Records of procedures for data entry, operation of computer equipment, production control, system backup, compliance with electronic records rules, etc. Does not include technical documentation of procedures necessary for reading or

processing of electronic records (see item number 5800-08). RETENTION: 5 years after policy or procedure is withdrawn, revised, updated, or superseded.

**Retention Note:** Review before disposal; some documentation of this type may merit permanent or long-term retention for historical or legal reasons.

\* **5825-06 DATA PROCESSING PLANNING RECORDS** - Reports, studies, analyses, projections, and similar records concerning the creation, development, or modification of data processing systems and services *except* for disaster recovery plans (see item number 5825-07). RETENTION: 5 years.

**Retention Note:** Before disposal appraise for continuing administrative usefulness and historical value. Those records relating to major development projects and other records considered of historical value should be retained permanently.

\* **5825-07 DISASTER PREPAREDNESS AND RECOVERY PLANS** - Records related to the protection and re-establishment of data processing services and equipment in case of a disaster. RETENTION: Until superseded. (Exempt from destruction request requirement)

\* **5825-08 ELECTRONIC MEDIA LIBRARY SYSTEM FILES** - Records used to control the location, maintenance, and disposition of media in an electronic media library *except* for records destruction documentation that is maintained permanently (see item number 1000-40). RETENTION: Until related records or media are destroyed or withdrawn from the library.

\* **5825-09 INPUT DOCUMENTS** - Copies of records or forms designed and used solely for data input and control when the data processing unit provides centralized data input services and original records are maintained by the program unit *except* for data entry documents noted elsewhere in this schedule or other schedules adopted by the commission. RETENTION: Until all data has been entered into the system and, if required, verified. (Exempt from destruction request requirement)

\* **5825-10 NETWORK CIRCUITS INVENTORY** - Records containing information on network circuits used by the government including circuit number, vendor, type of connection, terminal series, software, contact person, and other relevant information about the circuit. RETENTION: Until superseded. (Exempt from destruction request requirement)

\* **5825-11 NETWORK IMPLEMENTATION FILES** - Records used to implement a computer network including reports, diagrams of network, and wiring schematics. RETENTION: Until superseded. (Exempt from destruction request requirement)

\* **5825-12 OPERATING SYSTEM AND HARDWARE CONVERSION PLANS** - Records relating to the replacement of equipment or computer operating systems not included elsewhere in this schedule. RETENTION: 1 year after completion of conversion.

\* **5825-13** OUTPUT RECORDS FOR COMPUTER PRODUCTION - Reports showing transactions that were accepted, rejected, suspended, and/or processed. RETENTION: AV. (Exempt from destruction request requirement)

\* **5825-14** QUALITY ASSURANCE RECORDS - Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy. RETENTION: Until no longer needed as an audit trail for records modified.

\* **5825-15** PROJECT FILES - Records created and used in the development, redesign, or modification of automated systems or applications.

**Retention Note:** Does not include purchasing records for computer software or hardware such as individual personal computers, which are covered by Part 4 of this schedule.

a) Project management records, design documentation, feasibility studies, justifications, user requirements, etc. RETENTION: 3 years after completion of project.

b) Routine status reports, memos, and correspondence. RETENTION: AV. (Exempt from destruction request requirement)

\* **5825-16** SYSTEM ACTIVITY MONITORING RECORDS - Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc. RETENTION: AV. (Exempt from destruction request requirement)

\* **5825-17** TRAINING COURSE INFORMATION - Memoranda, flyers, catalogues, registration forms, rosters, and other records documenting training courses provided users of electronic records systems. RETENTION: AV. (Exempt from destruction request requirement)