

WEST TRAVIS COUNTY PUBLIC UTILITY AGENCY NOTICE OF MEETING

TO: THE BOARD OF DIRECTORS OF THE WEST TRAVIS COUNTY PUBLIC UTILITY AGENCY AND TO ALL OTHER INTERESTED PERSONS:

Notice is hereby given that the Board of Directors of the West Travis County Public Utility Agency ("WTCPUA") will hold its regular meeting at 9:00 a.m. on Thursday, January 19, 2017, at City of Bee Cave City Hall, 4000 Galleria Parkway, Bee Cave, Texas. The following matters will be considered and may be acted upon at the meeting.

The Consent Agenda allows the Board of Directors to approve all routine, non-controversial items with a single motion, without the need for discussion by the full Board. Any item may be removed from the Consent Agenda and considered individually upon request of a Board member.

Public comments will be accepted only during designated portions of the Board meeting. Citizens wishing to address the Board should complete the citizens' communication form provided at the entrance to the meeting room so they may be recognized to speak. Speakers will be limited to three minutes to facilitate the opportunity to comment by all those so interested and to support the orderly flow of the meeting.

- I. CALL TO ORDER**
- II. ESTABLISH QUORUM**
- III. PUBLIC COMMENT**
- IV. CONSENT AGENDA (R. Pugh)**
 - A. Approve minutes of December 15, 2016 Board Meeting.**
 - B. Approve bookkeepers report, payment of outstanding invoices and other related bookkeeping matters.**
 - C. 30% Developer Reimbursement Payment to CCNG in the amount of \$597,367.00 for:**
 - a. Spanish Oaks Verde Trails.**
 - b. Spanish Oaks Section II.**
 - c. Spanish Oaks Section II-B.**
 - d. Spanish Oaks Section III-B.**
 - e. Spanish Oaks Section III-C.**
 - D. Approve Contractor Pay Requests including:**

- a. Pay Application No. 5 for Spillman Pond Liner Project; and
- b. Pay Application No. 9 for SH71 1280 Elevated Storage Tank Project.

V. STAFF REPORTS

A. General Manager's Report

B. Controller's Report

C. Engineer's Report

- 1. Capital Improvements Plan Update;
- 2. Operations Report.

VI. OLD BUSINESS

A. Discuss, consider and take action regarding pending and/or anticipated litigation, including:

- 1. Cause No. D-1-GN-16-000538; *Travis County Municipal Utility District No. 12 vs. Public Utility Commission of Texas* in the 250th District Court of Travis County, Texas (D. Klein).
- 2. *Travis County Municipal Utility District No. 12 v. West Travis County Public Utility Agency; in the 201st Judicial District Court, Travis County, Texas; Cause No. D-1-GN-16-002274* (D. Klein).
- 3. Cause No. D-I-GN-15-002149; *West Travis County Public Utility Agency v. Severn Trent Environmental Services, Inc.*, in the 98th District Court of Travis County, Texas and Cause No. D-I-GN-15-002169; *Severn Trent Environmental Services, Inc. v. West Travis County Public Utility Agency*, in the 98th District Court of Travis County, Texas (D. Klein/J. de la Fuente).
- 4. *CCNG Development Co., L.P. v West Travis County Public Utility Agency and Lower Colorado River Authority; in the 345th Judicial District Court, Travis County, Texas; Cause No. D-1-GN-14-000163* (D. Klein).

(The items under VI A may be taken into Executive Session under the consultation with attorney exception)

VII. NEW BUSINESS


A. Discuss, consider and take action on appointment of two new members to the Impact Fee Advisory Committee position (R. Pugh/D. Klein).

(This item may be taken into Executive Session under the consultation with attorney exception)

- B. **Discuss, consider and take action on adoption of a WTCPUA Records Retention Policy (R. Pugh/S. Albright).**
- C. **Discuss, consider and take action regarding Engineering Proposals including:**
 - a. **Change Order No. 5 for Spillman Pond Liner Project;**
(This item may be taken into Executive Session under the consultation with attorney exception)

VIII. ADJOURNMENT

Dated: January 13, 2017



Robert Pugh
WTCPUA General Manager

The Board of Directors may go into Executive Session, if necessary, pursuant to the applicable section of Subchapter D, Chapter 551, Texas Government Code, of the Texas Open Meetings Act, on any of the above matters under the following sections: Texas Government Code Ann. 551.071 – Consultation with Attorney; Texas Government Code Ann. 551.072 – Real and Personal Property; Texas Government Code Ann. 551.074 – Personnel Matters. No final action, decision, or vote will be taken on any subject or matter in Executive Session.

The West Travis County Public Utility Agency is committed to compliance with the Americans with Disabilities Act. Reasonable modifications and equal access to communications will be provided upon request. Please call Robert Pugh, General Manager at (512) 263-0100 for information.

IV. CONSENT AGENDA

ITEM A

**MINUTES OF MEETING OF
THE BOARD OF DIRECTORS OF THE
WEST TRAVIS COUNTY PUBLIC UTILITY AGENCY**

December 15, 2016

Present:

Scott Roberts, President
Fred Goff, Vice President
Ray Whisenant, Secretary
Bill Goodwin, Assistant Secretary
Don Walden, Assistant Secretary

Staff and Consultants:

Robert Pugh, General Manager
Curtis Wilson, District Engineer
Jennifer Riechers, Agency Program Manager
Keith Parkan, Senior Engineer
Jennifer Smith, Agency Controller
Stefanie Albright (Lloyd Gosselink Rochelle & Townsend, P.C.), Agency General Counsel
David Klein (Lloyd Gosselink Rochelle & Townsend, P.C.), Agency General Counsel
Dennis Lozano (Murfee Engineering Company, Inc.), Agency Engineer
Autumn Phillips (Municipal Accounts & Consulting), Agency Bookkeeper

I. CALL TO ORDER

Director Roberts called the meeting to order at 9:02 a.m.

II. ESTABLISH QUORUM

A quorum was established. Also present were the above-referenced staff and consultants.

III. PUBLIC COMMENT

No public comment was received.

IV. CONSENT AGENDA

- A. Approve bookkeepers report, payment of outstanding invoices and other related bookkeeping matters.**
- B. Approve minutes of November 17, 2016 Board Meeting.**

- C. Approve Austin Engineering Company Pay Application No. 3 for the Spillman Pond Liner.**
- D. Approve Austin Engineering Company Pay Application No. 4 for the Spillman Pond Liner.**
- E. Approve Pay Application No. 8 for the SH71 1280 Elevated Storage Tank Project.**
- F. Recommendation of Award for the Crystal Mountain EST Service Area Control Valve Project.**
- G. Approve First Amendment to the Agreement for the Provision of Nonstandard Water and Wastewater Service to Gateway to Falconhead.**

MOTION: A motion was made by Director Goodwin and seconded by Director Whisenant to approve the consent agenda items as presented, attached as **Exhibits A – G.**

The vote was taken with the following result:

Voting Aye: Directors Whisenant, Goodwin, Goff, Walden and Roberts

Voting Nay: None

Absent: None

V. ENGINEERS/OPERATOR'S REPORT

- A. Discuss, consider and take action on reports from staff and agency engineering representatives:**

- 1. Capital Improvements Plan Update, including:**
 - a. Raw Water Line Permitting Update;**

No discussion was held on this item.

- 2. Proposal from Murfee Engineering Company, Inc. to provide engineering services for the TLAP Temporary Relief Irrigation Project;**

Mr. Wilson presented on this item, provided as **Exhibit H**, stating that this was a project that would extend irrigation capabilities. Director Roberts stated that he had asked Murfee Engineering to look into this project and Mr. Wilson stated that during times of need this irrigation would give up to 200,000 gallons per day of disposal for treated effluent.

Director Goodwin asked how many acres are irrigated as a component of the Spillman contract, to which Mr. Wilson stated 150 acres are approximately being irrigated. Director Walden stated that the golf course itself is less than the 176 acres referenced in the PUA's permit, but all of the golf course is irrigated. Director Walden asked who would be paying for the disposed effluent, to which Mr. Wilson stated that no customer would be purchasing the water, but rather the project would be an opportunity to dispose of effluent in times of need when the ponds are approaching full capacity and the PUA needs to dispose of effluent at the maximum amount allowed.

MOTION: A motion was made by Director Whisenant and seconded by Director Goodwin to approve the proposal from Murfee Engineering Company to provide engineering services for the TLAP Temporary Relief Irrigation Project, as presented.

The vote was taken with the following result:

Voting Aye: Directors Whisenant, Goodwin, Goff, Walden and Roberts

Voting Nay: None

Absent: None

3. Proposal from Murfee Engineering Company, Inc. to provide engineering services for the Bohls CCNG Gravity Effluent Service Line;

MOTION: A motion was made by Director Walden and seconded by Director Whisenant to approve the proposal from Murfee Engineering Company, provided as Exhibit I, to provide engineering services for the Bohls CCNG Gravity Effluent Service Line, as presented.

The vote was taken with the following result:

Voting Aye: Directors Whisenant, Goodwin, Goff, Walden and Roberts

Voting Nay: None

Absent: None

4. Task Order 14A from The Wallace Group for Lake Pointe WWTP 2016 Plant Improvements; and

MOTION: A motion was made by Director Walden and seconded by Director Whisenant to approve Task Order 14A from The Wallace Group, provided as Exhibit J.

The vote was taken with the following result:

Voting Aye: Directors Whisenant, Goodwin, Goff, Walden and Roberts

Voting Nay: None

Absent: None

5. Spillman Pond Liner Project Update.

Director Walden asked about an update on completion, to which Mr. Pugh stated that December 21, 2016 was the date of completion identified for TCEQ. However, the Bohls effluent pond is currently too high to bring down the Spillman Pond, so the contract has not yet been mobilized. Staff is identifying ways to reduce the pond levels in order to make the repairs.

Mr. Pugh stated that the PUA met with TCEQ to discuss the concerns relating to the repair, and the PUA is prepared to submit a formal request to extend the deadline. Mr. Pugh stated that he expected that the TCEQ would be favorable to this request for an extension of time based on his take on the meeting.

Director Roberts asked why the City would not let the PUA dispose of additional effluent, to which Director Goodwin stated that there is no benefit to the City in allowing the disposal. Director Roberts stated that he didn't understand why the City wasn't willing to allow the disposal when the wastewater system is to the benefit of City residents.

B. Discuss, consider and take action on report regarding water and wastewater system operations, maintenance and billing.

Mr. Wilson presented on this item, provided as **Exhibit K.**

Director Goodwin asked how many pumps are at the raw water intake, to which Mr. Wilson responded that there are five pumps but two of them have issues that will need maintenance.

VI. CONTROLLER'S REPORT

A. Discuss, consider and take action on report from Agency Controller.

Ms. Smith presented on this item, provided as **Exhibit L.**

Director Roberts inquired about budgeted reimbursements and the timing of payments to developers. He stated that he would like staff to perform an audit of reimbursement obligations. Director Walden stated that the reimbursement process with the PUA has been initiated by the Developers, whereas the LCRA had previously reached out to the developers regarding payment. Director Roberts asked that this be on the April agenda, but wanted updates starting in January. He also stated that he wanted to see a policy recommendation as to how to address these reimbursement liabilities.

Director Roberts stated that Directors Whisenant and Walden would be the subcommittee to address developer reimbursements. Ms. Smith stated that staff is currently analyzing the budget and the feasibility of making payments with fund balances versus debt. Director Roberts stated

that fund balances should be dedicated to maintaining the system rather than paying for future contract liabilities.

VII. TARIFF/POLICIES AND SERVICE REQUESTS

A. Discuss, consider and take action on Notice of, Consent to, and Agreement Regarding Collateral Assignment of Reimbursement Rights for HM Highpointe Development, Inc.

Ms. Albright presented on this item, provided as **Exhibit M**. She stated that the document presented is additional to the consent to assignment between BHM Highpointe and HM Highpointe, and that the enclosed document is required by HM Highpointe's lender and provides that reimbursement payments owing to the developer will be made directly to the lender.

MOTION: A motion was made by Director Goodwin and seconded by Director Whisenant to approve the Notice of, Consent to, and Agreement Regarding Collateral Assignment of Reimbursement Rights for HM Highpointe Development, Inc.

The vote was taken with the following result:

Voting Aye: Directors Whisenant, Goodwin, Goff, Walden and Roberts

Voting Nay: None

Absent: None

VIII. GENERAL MANAGER'S REPORT

A. Discuss, consider and take action on report from General Manager's Agency and Administrative and Operations Report, including:

1. Impact Fee Advisory Committee on December 8, 2016.

Mr. Pugh presented this report, presented as **Exhibit N**. Director Goodwin asked a question about the meeting with the fire marshal, to which Mr. Pugh stated that this was related to a hydrant request by a developer. Director Goodwin confirmed that the PUA does not guarantee fire flow.

Director Walden asked about Number 11 and confirmed that this was a meeting with the Lake Pointe HOA. Mr. Pugh stated that the HOA had asked for the meeting to meet him and to provide information on rates as well as the proposed second raw water line and wastewater system capital improvements. Director Goodwin confirmed that the routing of the raw water line still has not been confirmed.

Director Roberts asked whether there had been additional meetings with CCNG, to which Mr. Pugh stated that there was a meeting on December 14, 2016 and that CCNG provided the information requested relating to reimbursements.

Mr. Pugh confirmed that he had also met with Joe DiQuinzio regarding Rough Hollow and stated that it was a positive discussion.

IX. OLD BUSINESS

Director Roberts announced that the Board would go into executive session at 10:22 a.m. pursuant to Texas Government Code § 551.071 – Consultation with Attorney to address the following matters:

Items IX. A – F
Item X.A.2

Director Roberts announced that the Board would go back into open session at 12:40 p.m. and that no action was taken in executive session.

- A. Discuss, consider and take action regarding Cause No. D-1-GN-16-000538; Travis County Municipal Utility District No. 12 vs. Public Utility Commission of Texas in the 250th District Court of Travis County, Texas.**

This item was discussed in executive session.

- B. Discuss, consider and take action concerning Travis County Municipal Utility District No. 12 v. West Travis County Public Utility Agency; in the 201st Judicial District Court, Travis County, Texas; Cause No. D-1-GN-16-002274.**

Mr. Klein stated that there was a hearing held this week on the plea to the jurisdiction, and that the WTCPUA had twenty days to file a notice of appeal of the decision of the district court.

MOTION: A motion was made by Director Whisenant and seconded by Director Goodwin to file a notice of appeal.

The vote was taken with the following result:

Voting Aye: Directors Whisenant, Goodwin, Goff and Walden

Voting Nay: Director Roberts

Absent: None

- C. Discuss, consider and take action regarding Cause No. D-I-GN-15-002149; West Travis County Public Utility Agency v. Severn Trent Environmental Services, Inc., in the 98th District Court of Travis County, Texas and Cause No. D-I-GN-15-002169; Severn Trent Environmental Services, Inc. v. West**

Travis County Public Utility Agency, in the 98th District Court of Travis County, Texas.

This item was discussed in executive session.

- D. Discuss, consider and take action regarding *CCNG Development Co., L.P. v. West Travis County Public Utility Agency and Lower Colorado River Authority; in the 345th Judicial District Court, Travis County, Texas; Cause No. D-1-GN-14-000163.***

This item was discussed in executive session.

- E. Discuss, consider and take action on Second Amendment to Operations, Maintenance, and Customer Services Agreement between WTCPUA and US Waters.**

Mr. Klein presented this item, provided as **Exhibit O**. He stated that this agreement is a reflection of the work of PUA Staff and US Waters to terminate the operator agreement for convenience. He also indicated that from a timing perspective, the proposed agreement will be effective upon signature of all parties, and then the PUA will be required to make a payment to US Waters within 10 days.

Director Goodwin thanked Jeff DuPont for his efforts. Director Roberts thanked Mr. DuPont and PUA Staff on their professionalism and efforts. Director Whisenant stated that he was also appreciative with the efficient and professional resolution of the matter.

MOTION: A motion was made by Director Walden and seconded by Director Whisenant to approve the second amendment and authorize execution by the Board President and make payment upon signature by USWUG.

The vote was taken with the following result:

Voting Aye: Directors Whisenant, Goodwin, Goff, Walden and Roberts
Voting Nay: None
Absent: None

- F. Discuss, consider and take action on Financial Management Consulting Services Agreement Between West Travis County Public Utility Agency and Nelisa Heddin Consulting, LLC.**

This item was discussed in executive session.

- G. Discuss, consider and take action on updates to Bylaws of the Board of Directors of the West Travis County Public Utility Agency.**

Ms. Albright presented on this item, provided at **Exhibit P**, and stated that the edits provided in redline were based on discussions and direction provided by the Board at the November Board meeting.

MOTION: A motion was made by Director Goodwin and seconded by Director Goff to approve the updates to the Bylaws, as presented in **Exhibit P**.

The vote was taken with the following result:

Voting Aye: Directors Whisenant, Goodwin, Goff, Walden and Roberts
Voting Nay: None
Absent: None

X. NEW BUSINESS

A. Discuss, consider and take action on the following matters pertaining to the WTCPUA Impact Fee Advisory Committee:

1. Accept resignation of Don Walden from Impact Fee Advisory Committee, and;

Director Whisenant thanked Director Walden for his service, and Director Walden stated he still planned on attending the Committee meetings as a director.

MOTION: A motion was made by Director Whisenant and seconded by Director Roberts to accept the resignation of Don Walden from the Impact Fee Advisory Committee.

The vote was taken with the following result:

Voting Aye: Directors Whisenant, Goodwin, Goff and Roberts
Voting Nay: None
Absent: None
Abstain: Director Walden

2. Adopt resolution appointing new member to fill the vacant Impact Fee Advisory Committee position.

This item was discussed in executive session. In open session, the following motion was made:

MOTION: A motion was made by Director Roberts and seconded by Director Goodwin to approve the resolution, provided as **Exhibit Q**, to appoint Jack Creveling to the Impact Fee Advisory Committee position.

The vote was taken with the following result:

Voting Aye: Directors Whisenant, Goodwin, Goff and Roberts
Voting Nay: Director Walden
Absent: None

Then, the Board directed PUA Staff to bring another item relating to the Impact Fee Advisory Committee at the January meeting so that the PUA could consider expanding the Impact Fee Advisory Committee to seven members.

B. Discuss, consider and take action on Utility Billing Software Solutions and Services Agreement with AVR, Inc.

Mr. Pugh presented on this item, provided as **Exhibit R**, stating that the agreement with US Waters is not transferrable, and the PUA will need a new contract when this function moves in-house to the PUA.

MOTION: A motion was made by Director Whisenant and seconded by Director Roberts to approve the Utility Billing Software Solutions and Services Agreement with AVR, Inc., provided as **Exhibit R**.

The vote was taken with the following result:

Voting Aye: Directors Whisenant, Goodwin, Goff, Walden and Roberts
Voting Nay: None
Absent: None

C. Discuss, consider and take action on updates to West Travis County Public Utility Agency Personnel Policy Manual.

Mr. Pugh presented on this item, provided as **Exhibit S**, stating that updates to the policy are needed, especially relating to new employees that will be coming over to the PUA when operations and billing moves in-house. Mr. Pugh stated that Sheila Gladstone, employment attorney with Lloyd Gosselink, provided some updates related to changes in law that will be applicable to the PUA. Director Goff asked about the financial impact of the policy changes, to which Mr. Pugh stated that the only change he can anticipate would be the clothing allowance for certain staff. Director Whisenant confirmed that staff had reviewed these changes and that the changes were acceptable.

MOTION: A motion was made by Director Goff and seconded by Director Roberts to approve the updates to the Personnel Policy Manual, provided as **Exhibit S**.

The vote was taken with the following result:

Voting Aye: Directors Whisenant, Goodwin, Goff, Walden and Roberts
Voting Nay: None
Absent: None

D. Discuss, consider, and take action on amendment to Raw Water and Effluent Agreement with CCNG Golf, L.L.C.

Mr. Pugh presented this item, provided as **Exhibit T**, stating that this amendment primarily seeks to reduce the rate for raw water and treated effluent. Mr. Klein confirmed that this amendment includes an annual rate escalator based upon changes in the consumer price index and the agreement not to challenge such rate increases, and that this proposed amendment is consistent with the recent amendment to the PUA's contract with Fire Phoenix.

MOTION: A motion was made by Director Walden and seconded by Director Roberts to approve the amendment to the Raw Water and Effluent Agreement with CCNG Golf, L.L.C.

The vote was taken with the following result:

Voting Aye: Directors Whisenant, Goodwin, Goff, Walden and Roberts
Voting Nay: None
Absent: None

E. Discuss, consider, and take action on second amendment to Raw Water and Effluent Agreement with Spillman Ranch Community, Inc.

Director Walden stated that he would abstain from this item.

Mr. Pugh presented this item, provided as **Exhibit U**, stating that this proposed amendment seeks to amend the PUA's raw water and effluent agreement with Spillman Ranch Community, Inc., and that it contains the same provisions as the proposed amendment for CCNG, discussed in the previous item.

MOTION: A motion was made by Director Goodwin and seconded by Director Roberts to approve the second amendment to the Raw Water and Effluent Agreement with Spillman Ranch Community, Inc.

The vote was taken with the following result:

Voting Aye: Directors Whisenant, Goodwin, Goff and Roberts
Voting Nay: None
Absent: None
Abstain: Director Walden

F. Discuss, consider and take action concerning purchase of maintenance equipment.

Mr. Parkan presented on this item, provide as **Exhibit V**, relating to a proposal to purchase maintenance equipment. Director Walden questioned the use of Kubota and Mr. Parkan stated that the brand was not an issue so long as the costs were approved to authorize purchase.

MOTION: A motion was made by Director Goodwin and seconded by Director Whisenant to approve purchase of maintenance equipment based on the proposal in **Exhibit V**.

The vote was taken with the following result:

Voting Aye: Directors Whisenant, Goodwin, Goff, Walden and Roberts
Voting Nay: None
Absent: None

Director Whisenant asked that Mr. Parkan look for comparisons and look to certain domestic suppliers that may have some advantages.

G. Discuss, consider and take action concerning Board agendas and packet organization including:

- 1. Prioritizing action items and essential backup material**
- 2. Referencing location of agenda items.**

Director Goff presented on this item, stating that he thought there could be a way to streamline the items in the Board meeting and that he would continue to work with Jennifer Riechers on this issue.

Director Roberts asked if there were any other Board members that had any concerns about this issue. Director Goodwin stated that he had a concern and would rather have too much information rather than not enough information. Director Goodwin stated that he would prefer to have less items referenced for executive session.

Director Walden stated that the presentation to the public is the issue and the PUA doesn't want to present to the public as though every item will go into executive session. Director Roberts stated that as much as possible needed to be discussed in open session. He stated that the perception is that too much is done in executive session, which he doesn't believe is correct, but for those who don't attend Board meetings it would seem as though more is addressed in executive session than actually occurs.

Ms. Albright stated that she would work with Ms. Riechers to adjust the agenda and packet based on the Board's direction

XI. ADJOURNMENT

MOTION: A motion was made by Director Goodwin to adjourn. The motion was seconded by Director Whisenant.

The vote was taken with the following result:

Voting Aye: Directors Roberts, Goff, Whisenant, Goodwin and Walden
Voting Nay: None
Absent: None

The meeting adjourned at 12:48 p.m.

PASSED AND APPROVED this _____ day of _____ 2017.

Scott Roberts, President
Board of Directors

ATTEST:

Ray Whisenant, Secretary/Treasurer
Board of Directors

ITEM B



MUNICIPAL ACCOUNTS
& CONSULTING, L.P.

West Travis County Public Utility Agency

Bookkeeper's Report

January 19, 2017

Cash Flow Report - Checking Account

As of January 19, 2017

Num	Name	Memo	Amount	Balance
BALANCE AS OF 12/16/2016				\$521,775.17
Receipts				
	Wire Transfer from Money Market		395,000.00	
	US Water Lease Payment		2,241.52	
	Industrial Pre-Treatment Surcharge		1,614.24	
	Wholesale Revenue		14,333.33	
	Hays 5 Wastewater Billing		500.00	
	Interest Earned on Checking		23.33	
	Sweep to Operating		2,027,787.33	
	BB&T- Credit Card Credit		1,000.29	
Total Receipts				2,442,500.04
Disbursements				
1845	BB&T	Credit Card Purchases	(37.60)	
1846	BB&T	Credit Card Purchases	(390.68)	
1847	BB&T	Credit Card Purchases	(39.37)	
1848	West Travis County PUA Manager's Account	Transfer Funds to Manager's Account	(151,858.49)	
1849	USW Utility Group	2016 True Up	(763,684.68)	
1850	AVR Inc.	Billing Inserts	(41,550.00)	
1851	Lloyd Gosselink Rochelle & Townsend, P.C.	Legal Fees	(44,532.76)	
1852	Murfee Engineering Company Inc.	Engineering Fees	(29,835.00)	
1853	Nelisa Heddin Consulting, LLC	Financial Manager Fees - Operational	(1,861.88)	
1854	Smith Pump Company, Inc.	Repair & Maintenance	(17,306.00)	
1855	USW Utility Group	Monthly Compensation for Operations	(343,792.41)	
1856	West Travis County PUA Manager's Account	Transfer Funds to Manager's Account	(224,120.61)	
1857	Xylem Water Solutions U.S.A., Inc.	Repair & Maintenance -Lift Station #14	(25,954.50)	
1858	BB&T	Credit Card Purchases- J. Smith	(1,696.21)	
1859	BB&T	Credit Card Purchases	(130.21)	
1860	BB&T	Credit Card Purchases- R. Pugh	(1,647.73)	
1861	BB&T	Credit Card Purchases- C. Wilson	(2,357.31)	
1862	BB&T	Credit Card Purchases- K. Parkin	(14,679.85)	
TRANSF	BB&T	Wire Transfer to Money Market	(1,000,000.00)	
WIRE	BB&T	Transfer Fund to Payroll Account	(54,337.71)	
Total Disbursements				(2,719,813.00)
BALANCE AS OF 01/19/2017				\$244,462.21

West Travis County PUA - GOF
Cash Flow Report - Managers Account
As of January 19, 2017

Num	Name	Memo	Amount	Balance
BALANCE AS OF 12/16/2016				\$500,000.00
Receipts				
	Transfer Funds to Manager's Account		151,858.49	
	Interest Earned on Checking		4.29	
	Transfer Funds to Manager's Account		224,120.61	
Total Receipts				375,983.39
Disbursements				
14351	Xylem Water Solutions U.S.A., Inc.	VOID: Repair & Maintenance -Lift Station #14	0.00	
14357	Hohmann's Automotive, Inc	Repair & Maintenance	(496.59)	
14358	Keith Parkan.	December 2016 Reimbursement-Best Buy	(198.86)	
14407	Affordable Climate Controlled	Customer Deposit Refund	(1,833.48)	
14408	Blake Betts / Tod Arbogast	Customer Deposit Refund	(870.98)	
14409	Bobby Hargrove	Customer Deposit Refund	(268.13)	
14410	Brett & Jenica Alder	Customer Deposit Refund	(97.35)	
14411	Dana & Susan Willis	Customer Deposit Refund	(176.72)	
14412	David & Rachel Price	Customer Deposit Refund	(27.02)	
14413	Debra Dunn	Customer Deposit Refund	(100.00)	
14414	Dennyne Crumm	Customer Deposit Refund	(83.73)	
14415	Derrick & Jessica Dixon	Customer Deposit Refund	(2.42)	
14416	Drive 512 Auto Ranch LLC	Customer Deposit Refund	(62.75)	
14417	Eric Gohdes	Customer Deposit Refund	(21.93)	
14418	Eric Viksnins	Customer Deposit Refund	(53.63)	
14419	Greg Stein / Marla Tanimoto	Customer Deposit Refund	(100.00)	
14420	James Martin	Customer Deposit Refund	(44.44)	
14421	Jimmy Jacobs Homes	Customer Deposit Refund	(22.97)	
14422	John Michael & Krista Wray	Customer Deposit Refund	(403.76)	
14423	Kelli Brewer	Customer Deposit Refund	(232.92)	
14424	Kerry Carpio / Erica Guyton	Customer Deposit Refund	(63.20)	
14425	Kyle & Nicole Campbell	Customer Deposit Refund	(56.09)	
14426	Lennar Homes of Texas	Customer Deposit Refund	(565.27)	
14427	Lisa & Chris Hugman	Customer Deposit Refund	(73.98)	
14428	Matthew Upton	Customer Deposit Refund	(0.07)	
14429	Michel Thibault	Customer Deposit Refund	(162.28)	
14430	Michele Robbins	Customer Deposit Refund	(43.84)	
14431	Padraic Fonseca	Customer Deposit Refund	(46.94)	
14432	Paul Streeter	Customer Deposit Refund	(16.71)	
14433	Robert Hardy	Customer Deposit Refund	(87.11)	
14434	Sarah Cardona	Customer Deposit Refund	(501.65)	
14435	Sheree Leonard / Beimin Wang	Customer Deposit Refund	(44.15)	
14436	Susan Avila	Customer Deposit Refund	(91.48)	
14437	Vintage Estate Homes	Customer Deposit Refund	(73.27)	
14438	Aqua-Tech Laboratories, Inc	Pre-Treatment Lab Fees	(19,362.14)	
14439	AT&T	Telephone Expense-Consolidated Bill	(1,650.78)	
14440	Brenntag Southwest Corp.	Chemicals	(20,828.48)	
14441	Capital Courier	Courier Services	(106.11)	
14442	City of Austin	Utility Expense	(68,766.54)	
14443	City of Austin	Utility Expense	(99.08)	
14444	City of Austin	Utility Expense	(13,284.74)	
14445	HT Staffing	Staffing Agency	(922.33)	
14446	HydroPro Solutions, LLC	Maintenance & Repair	(8,801.40)	
14447	Kodi Sawin	Public Affairs/Communications	(312.50)	

Cash Flow Report - Managers Account

As of January 19, 2017

Num	Name	Memo	Amount	Balance
Disbursements				
14448	Pedernales Electric Cooperative, Inc.	Utility Expense	(5,305.50)	
14449	Stratus Building Solutions of Austin	Janitorial Services	(115.90)	
14450	Texas Community Propane, Ltd	Gas Expense	(15.45)	
14451	Texas Municipal League	Annual Insurance Premium	(5,037.20)	
14452	Time Warner Cable	Internet Service	(239.99)	
14453	Time Warner Cable	Internet/Telephone Service	(782.08)	
14454	Environmental Improvements, Inc.	Maintenance & Repair	(1,217.00)	
14455	Elliott Electric Supply, Inc	Water Treatment Plant- 2 High Service Motors	(2,884.40)	
14456	Hamilton Electric Works, Inc.	Replacement Pump	(3,218.00)	
14457	Joey Sifuentes	Water Line Repair	(3,200.00)	
14458	Municipal Valve & Equipment Co., Inc.	Repair & Maintenance	(1,043.10)	
14459	City of Austin	Utility Expense	(151.99)	
14470	Buffington Homes	Customer Deposit Refund	(33.69)	
14471	Christina Hearn	Customer Deposit Refund	(58.95)	
14472	Josie McKain	Customer Deposit Refund	(52.78)	
14473	Matt & Dana Ames	Customer Deposit Refund	(98.44)	
14474	Richard L Slone	Customer Deposit Refund	(83.65)	
14475	Rob Essl	Customer Deposit Refund	(89.11)	
14476	Rocky Creek HOA	Customer Deposit Refund	(1,880.15)	
14477	Stephen Brown	Customer Deposit Refund	(68.06)	
14478	Timothy Hill	Customer Deposit Refund	(87.74)	
14479	AT&T Wireless	Wireless Expense	(263.18)	
14480	Brenntag Southwest Corp.	Chemicals	(789.41)	
14481	City of Austin	Utility Expense	(155.48)	
14482	City of Austin	Utility Expense	(322.31)	
14483	Department of Information Resources	Internet Service- Raw Water Lift Station	(167.78)	
14484	HT Staffing	Staffing Agency	(926.30)	
14485	Rain For Rent	Maintenance & Repair	(2,520.00)	
14486	Stratus Building Solutions of Austin	Janitorial Services	(175.00)	
14487	CSHV HCG Retail LLC	Pre-Treatment Surcharge Refund	(2,294.39)	
14488	ARC Document Solutions LLC	Printing	(1,118.36)	
14489	ChemEquip	Maintenance & Repairs	(355.00)	
14490	Discount Tire	Tires	(695.50)	
14491	DSHS Central Lab	Lab Test	(415.40)	
14492	Elliott Electric Supply, Inc	Repair & Maintenance	(432.88)	
14493	Generator Field Services LLC	Maintenance & Repair	(9,483.02)	
14494	Hamilton Electric Works, Inc.	Repair & Maintenance	(5,691.00)	
14495	Holt Cat	Vehicle Maintenance	(1,357.10)	
14496	HT Staffing	Staffing Agency	(910.65)	
14497	HydroPro Solutions, LLC	Repair & Maintenance	(4,472.74)	
14498	Mission Communications, LLC	M800-1 Year Service Package Renewal	(347.40)	
14499	Odessa Pumps & Equipment Inc,	Spillman Pond	(1,560.00)	
14500	Office Depot	Supplies	(357.14)	
14501	United Site Services of Texas, Inc.	Restroom Rental	(84.68)	
14502	Wastewater Transport Services, LLC	Sludge Disposal	(9,942.50)	
14503	Lower Colorado River Authority	Raw Water Reservation/Purchase	(86,387.78)	
14504	Time Warner Cable	Internet Service	(419.57)	
14505	Ben White Automotive	Customer Deposit Refund	(92.97)	
14506	Douglas Fusselman	Customer Deposit Refund	(81.12)	
14507	Jimmy Lopez / Kristen Valko	Customer Deposit Refund	(92.97)	
14508	TH Development, LLC	Customer Deposit Refund	(335.65)	
14509	Aqua-Tech Laboratories, Inc	Pre-Treatment Lab Fees	(2,580.00)	

Cash Flow Report - Managers Account

As of January 19, 2017

Num	Name	Memo	Amount	Balance
Disbursements				
14510	AT&T Wireless	Wireless Expense	(1,753.77)	
14511	Bill Bailey's Signs Corp.	Signage	(1,135.00)	
14512	City of Austin	Utility Expense	(204.55)	
14513	Central Texas Equipment	Equipment Purchase	(3,327.32)	
14514	City of Austin	Utility Expense	(15,683.34)	
14515	Dell Business Credit	SCADA	(751.00)	
14516	Highland Lakes Firm Water Customers Coop.	Annual Membership Fee	(4,000.00)	
14517	Hill Country Office Systems	Quarterly Copy Machine Maintenance	(1,316.61)	
14518	Kodi Sawin	Public Affairs/Communications	(1,062.50)	
14519	Lower Colorado River Authority	Raw Water Reservation/Purchase	(2,850.30)	
14520	Peacock Systems	Computer Repair	(2,947.00)	
14521	Pedernales Electric Cooperative, Inc.	Utility Expense	(7,075.17)	
14522	Republic Services Inc.	Garbage Expense	(492.90)	
14523	Time Warner Cable	Internet Service	(102.63)	
14524	Time Warner Cable	Internet/Telephone Service	(781.42)	
14525	Time Warner Cable	Internet Service	(239.99)	
14526	United Site Services of Texas, Inc.	Restroom Rental	(84.68)	
14527	TML Governmental Employee Benefits Pool	Employee Benefits	(6,867.85)	
14528	Calabria Investments L.P.	Lease Payment	(4,483.05)	
14529	HarHos Bee Caves, LLC	Lease Payment- Suite 130	(3,480.63)	
14530	HarHos Bee Caves, LLC	Lease Payment- Suite 120	(5,776.45)	
ACH	Dell Business Credit	SCADA	(10,013.95)	
BNKFEE	BB&T	Bank Fee Chared in Error	(5.00)	
Total Disbursements				(375,983.39)
BALANCE AS OF 01/19/2017				\$500,000.00

Cash Flow Report - Bee Cave 231 Account

As of January 19, 2017

Num	Name	Memo	Amount	Balance
BALANCE AS OF 12/16/2016				\$5,000.04
Receipts				
	Interest Earned on Checking		0.04	
	Accounts Receivable		957,628.19	
Total Receipts				957,628.23
Disbursements				
RTNCHK	BB&T	Customer Return Item Fee	(67.50)	
RTNCHK	T-Tech	Customer Returned Items (4)	(135.18)	
RTNCHK	BB&T	Customer Returned Items (2)	(204.23)	
SWEEP	BB&T	Sweep to Operating	(957,221.32)	
Total Disbursements				(957,628.23)
BALANCE AS OF 01/19/2017				\$5,000.04

Cash Flow Report - Bee Cave So 237 Account

As of January 19, 2017

Num	Name	Memo	Amount	Balance
BALANCE AS OF 12/16/2016				\$5,000.04
Receipts				
	Interest Earned on Checking		0.04	
	Accounts Receivable		276,056.84	
Total Receipts				276,056.88
Disbursements				
SWEEP	BB&T	Sweep to Operating	(276,056.88)	
Total Disbursements				(276,056.88)
BALANCE AS OF 01/19/2017				\$5,000.04

Cash Flow Report - Homestead 466 Account

As of January 19, 2017

Num	Name	Memo	Amount	Balance
BALANCE AS OF 12/16/2016				\$5,000.04
Receipts				
	Interest Earned on Checking		0.04	
	Accounts Receivable		34,961.38	
Total Receipts				34,961.42
Disbursements				
SWEEP	BB&T	Sweep to Operating	(34,961.42)	
Total Disbursements				(34,961.42)
BALANCE AS OF 01/19/2017				\$5,000.04

Cash Flow Report - 290/HPR 477 Account

As of January 19, 2017

Num	Name	Memo	Amount	Balance
BALANCE AS OF 12/16/2016				\$5,000.04
Receipts				
	Interest Earned on Checking		0.04	
	Accounts Receivable		519,812.10	
Total Receipts				519,812.14
Disbursements				
SWEEP	BB&T	Sweep to Operating	(519,812.14)	
Total Disbursements				(519,812.14)
BALANCE AS OF 01/19/2017				\$5,000.04

West Travis County PUA - GOF
Cash Flow Report - Wholesale Account
 As of January 19, 2017

Num	Name	Memo	Amount	Balance
BALANCE AS OF 12/16/2016				\$5,000.04
Receipts				
	Interest Earned on Checking		0.04	
	Wholsale Revenue		239,735.53	
Total Receipts				239,735.57
Disbursements				
SWEEP	BB&T	Sweep to Operating	(239,735.57)	
Total Disbursements				(239,735.57)
BALANCE AS OF 01/19/2017				\$5,000.04

Cash Flow Report - TC MUD 12 Account

As of January 19, 2017

Num	Name	Memo	Amount	Balance
BALANCE AS OF 12/16/2016				\$506,468.62
Receipts				
	Interest Earned on Checking		3.91	
	Wholsale Revenue		47,822.11	
	Impact Fees		52,056.00	
Total Receipts				99,882.02
Disbursements				
	No Disbursements Activity		0.00	
Total Disbursements				0.00
BALANCE AS OF 01/19/2017				\$606,350.64

Cash Flow Report - Checking Account

As of January 19, 2017

Num	Name	Memo	Amount	Balance
BALANCE AS OF 12/16/2016				\$0.01
Receipts				
	Interest Earned on Checking		0.34	
	SR 2013-- Wire Transfer		91,279.17	
Total Receipts				91,279.51
Disbursements				
1233	Murfee Engineering Co., Inc.	Engineering Fees	(42,164.51)	
1234	Phoenix Fabricators & Erectors, Inc.	SR 2013 SH 71 1280 Elevated Storage Tank - Pay	(49,115.00)	
Total Disbursements				(91,279.51)
BALANCE AS OF 01/19/2017				\$0.01

West Travis County PUA - DSF
Cash Flow Report - Series 2012 Account
 As of January 19, 2017

Num	Name	Memo	Amount	Balance
BALANCE AS OF 12/16/2016				\$3,795.01
Receipts				
	Interest Earned on Checking		0.03	
Total Receipts				0.03
Disbursements				
	No Disbursements Activity		0.00	
Total Disbursements				0.00
BALANCE AS OF 01/19/2017				\$3,795.04

West Travis County PUA - DSF
Cash Flow Report - Reserve Account
 As of January 19, 2017

Num	Name	Memo	Amount	Balance
BALANCE AS OF 12/16/2016				\$18,608,455.83
Receipts				
	Interest Earned on Checking		131.41	
Total Receipts				131.41
Disbursements				
	No Disbursements Activity		0.00	
Total Disbursements				0.00
BALANCE AS OF 01/19/2017				\$18,608,587.24

West Travis County PUA - Facilities
Cash Flow Report - Checking Account
 As of January 19, 2017

Num	Name	Memo	Amount	Balance
BALANCE AS OF 12/16/2016				\$0.01
Receipts				
	Wire Transfer to Checking		357,029.00	
	Interest Earned on Checking		0.81	
	Wire Transfer to Checking		24,789.19	
Total Receipts				381,819.00
Disbursements				
1180	Austin Engineering Co., Inc.	Spillman Pond Liner- Pay App 4	(357,029.00)	
1181	Murfee Engineering Company	Engineering Fees	(19,207.50)	
1182	Peacock Systems	SCADA	(3,100.00)	
1183	The Wallace Group, Inc	Spillman Pond Liner Replacement	(2,482.50)	
Total Disbursements				(381,819.00)
BALANCE AS OF 01/19/2017				\$0.01

West Travis County PUA - Impact
Cash Flow Report - Checking Account
 As of January 19, 2017

Num	Name	Memo	Amount	Balance
BALANCE AS OF 12/16/2016				\$0.01
Receipts				
	Impact Fees		43,494.00	
	Impact Fees		234,970.75	
	Impact Fees		64,690.00	
	Interest Earned on Checking		2.91	
	Lloyd Gosselink & Townsend		83.00	
	Impact Fees		79,268.00	
Total Receipts				422,508.66
Disbursements				
1195	Murfee Engineering	Engineering Fees	(19,342.25)	
1196	Nelisa Hedding Consulting, LLC	Impact Fee Study	(426.13)	
WIRE	BB&T	Wire Transfer to Money Market	(402,740.28)	
Total Disbursements				(422,508.66)
BALANCE AS OF 01/19/2017				\$0.01

West Travis County PUA - Rate Stab
Cash Flow Report - Checking Account
 As of January 19, 2017

Num	Name	Memo	Amount	Balance
BALANCE AS OF 12/16/2016				\$2,972,641.72
Receipts				
	Interest Earned on Checking		22.66	
Total Receipts				22.66
Disbursements				
	No Disbursements Activity		0.00	
Total Disbursements				0.00
BALANCE AS OF 01/19/2017				\$2,972,664.38

Account Balances

As of January 19, 2017

Financial Institution (Acct Number)	Issue Date	Maturity Date	Interest Rate	Account Balance	Notes
Fund: Operating					
Certificates of Deposit					
THIRD COAST BANK, SSB (XXXX9627)	10/28/2016	10/28/2017	0.50 %	240,000.00	
GREEN BANK (XXXX0402)	11/20/2016	11/20/2017	0.50 %	240,000.00	
Money Market Funds					
BB&T (XXXX6877)	07/05/2013		0.20 %	3,484,288.50	
Checking Account(s)					
BB&T-CKING (XXXX8314)			0.01 %	500,000.00	Managers
BB&T-CKING (XXXX8322)			0.01 %	120,000.00	Payroll
BB&T-CKING (XXXX8357)			0.01 %	0.00	Encumbered
BB&T-CKING (XXXX8365)			0.01 %	244,462.21	Checking Account
BB&T-CKING (XXXX4007)			0.01 %	5,000.04	Bee Cave - 231
BB&T-CKING (XXXX3091)			0.01 %	5,000.04	Bee Cave So - 237
BB&T-CKING (XXXX3105)			0.01 %	5,000.04	Homestead - 466
BB&T-CKING (XXXX3113)			0.01 %	5,000.04	290/HPR - 477
BB&T-CKING (XXXX3121)			0.01 %	5,000.04	Wholesale
BB&T-CKING (XXXX5965)			0.01 %	606,350.64	TC MUD 12
Totals for Operating Fund:				\$5,460,101.55	
Fund: Capital Projects					
Money Market Funds					
BB&T (XXXX7016)	07/05/2013		0.20 %	4,245,711.03	SR 2012
BB&T (XXXX7032)	07/19/2013		0.20 %	7,617,080.72	SR 2013
BB&T (XXXX1978)	04/07/2015		0.20 %	15,126,397.65	SR 2015
Checking Account(s)					
BB&T-CKING (XXXX8330)			0.01 %	0.01	Checking Account
Totals for Capital Projects Fund:				\$26,989,189.41	
Fund: Debt Service					
Certificates of Deposit					
GREEN BANK - DEBT (XXXX0403)	01/31/2016	01/30/2017	0.50 %	240,000.00	
FIRST STATE BANK-DEBT (XXXX1643)	02/01/2016	01/31/2017	0.50 %	240,000.00	
INDEPENDENT BANK-DEBT (XXXX1587)	02/01/2016	01/31/2017	0.60 %	240,000.00	
CENTRAL BANK - DEBT (XXXX0251)	02/02/2016	02/01/2017	0.40 %	240,000.00	
ALLEGIANCE BANK (XXXX7706)	08/04/2016	04/01/2017	0.50 %	240,000.00	
THIRD COAST BANK-DEBT (XXXX2183)	08/12/2016	08/12/2017	0.50 %	240,000.00	
Checking Account(s)					
BB&T-CKING (XXXX8349)			0.01 %	18,608,587.24	Cash - Reserve
BB&T-CKING (XXXX6740)			0.01 %	3,795.04	Cash - Series 2012
Totals for Debt Service Fund:				\$20,052,382.28	
Fund: Facility					
Money Market Funds					
BB&T (XXXX7024)	07/17/2013		0.20 %	5,135,750.48	Facility Acquisit

Account Balances

As of January 19, 2017

Financial Institution (Acct Number)	Issue Date	Maturity Date	Interest Rate	Account Balance	Notes
Fund: Facility					
Checking Account(s)					
BB&T-CKING (XXXX7186)			0.01 %	0.01	Cash In Bank
Totals for Facility Fund:				\$5,135,750.49	
Fund: Impact Fees					
Money Market Funds					
BB&T (XXXX6974)	07/05/2013		0.20 %	22,802,901.84	
Checking Account(s)					
BB&T-CKING (XXXX8373)			0.01 %	0.01	Checking Account
Totals for Impact Fees Fund:				\$22,802,901.85	
Fund: Rate Stabilization					
Checking Account(s)					
BB&T-CKING (XXXX8381)			0.01 %	2,972,664.38	Checking Account
Totals for Rate Stabilization Fund:				\$2,972,664.38	
Grand total for West Travis County Public Utility Agent:				\$83,412,989.96	

West Travis County Public Utility Agent
Summary of Pledged Securities
As of January 19, 2017

Financial Institution: ALLEGIANCE BANK			
Total CDs, MM:	\$240,000.00	Collateral Security Required:	No
Less FDIC coverage:	\$250,000.00	Collateral Security Agreement On File:	No
Total pledged securities:	\$0.00	Investment Policy Received:	Yes
Ratio of pledged securities to investments:	N/A		
Financial Institution: BB&T			
Total CDs, MM:	\$58,412,130.22	Collateral Security Required:	Yes
Less FDIC coverage:	\$250,000.00	Collateral Security Agreement On File:	Yes
Total pledged securities:	\$64,687,573.00	Investment Policy Received:	Yes
Ratio of pledged securities to investments:	111.21 %		
Financial Institution: BB&T-CKING (Depository Bank)			
Total CDs, MM, and Checking Accounts:	\$23,080,859.74	Collateral Security Required:	Yes
Less FDIC coverage:	\$250,000.00	Collateral Security Agreement On File:	Yes
Total pledged securities:	\$27,112,577.00	Investment Policy Received:	Yes
Ratio of pledged securities to investments:	118.75 %		
Financial Institution: CENTRAL BANK - DEBT			
Total CDs, MM:	\$240,000.00	Collateral Security Required:	No
Less FDIC coverage:	\$250,000.00	Collateral Security Agreement On File:	No
Total pledged securities:	\$0.00	Investment Policy Received:	Yes
Ratio of pledged securities to investments:	N/A		
Financial Institution: FIRST STATE BANK-DEBT			
Total CDs, MM:	\$240,000.00	Collateral Security Required:	No
Less FDIC coverage:	\$250,000.00	Collateral Security Agreement On File:	No
Total pledged securities:	\$0.00	Investment Policy Received:	Yes
Ratio of pledged securities to investments:	N/A		
Financial Institution: GREEN BANK			
Total CDs, MM:	\$240,000.00	Collateral Security Required:	No
Less FDIC coverage:	\$250,000.00	Collateral Security Agreement On File:	No
Total pledged securities:	\$0.00	Investment Policy Received:	Yes
Ratio of pledged securities to investments:	N/A		
Financial Institution: GREEN BANK - DEBT			
Total CDs, MM:	\$240,000.00	Collateral Security Required:	No
Less FDIC coverage:	\$250,000.00	Collateral Security Agreement On File:	No
Total pledged securities:	\$0.00	Investment Policy Received:	Yes
Ratio of pledged securities to investments:	N/A		
Financial Institution: INDEPENDENT BANK-DEBT			
Total CDs, MM:	\$240,000.00	Collateral Security Required:	No
Less FDIC coverage:	\$250,000.00	Collateral Security Agreement On File:	No
Total pledged securities:	\$0.00	Investment Policy Received:	Yes
Ratio of pledged securities to investments:	N/A		

West Travis County Public Utility Agent
Summary of Pledged Securities
As of January 19, 2017

Financial Institution: THIRD COAST BANK, SSB

Total CDs, MM:	\$240,000.00	Collateral Security Required: No
Less FDIC coverage:	\$250,000.00	Collateral Security Agreement On File: No
Total pledged securities:	\$0.00	Investment Policy Received: Yes
Ratio of pledged securities to investments:	N/A	

Financial Institution: THIRD COAST BANK-DEBT

Total CDs, MM:	\$240,000.00	Collateral Security Required: No
Less FDIC coverage:	\$250,000.00	Collateral Security Agreement On File: No
Total pledged securities:	\$0.00	Investment Policy Received: Yes
Ratio of pledged securities to investments:	N/A	

West Travis County PUA - GOF
Actual vs. Budget
November 2016

Ordinary Income/Expense	Nov 16	Budget	\$ Over Budget	Oct - Nov 16	YTD Budget	\$ Over Budget	Annual Budget
Income							
(1) Water Department - Revenue							
14100 · Retail Revenues - Revenue							
14101 · Minimum Bill Revenues (W)	369,981	335,501	34,480	733,693	670,795	62,898	4,492,396
14102 · Volumetric Revenues (W)	857,558	543,860	313,698	1,729,267	1,686,100	43,167	8,797,011
14103 · Application Fee (W)	3,500	4,458	(958)	7,500	8,916	(1,416)	53,494
14104 · Tap Fees (W)	0	0	0	0	0	0	0
14105 · Late Fee (W)	18,828	21,523	(2,695)	36,382	43,047	(6,665)	258,280
14106 · Return Check Fee (W)	150	177	(27)	750	355	395	2,129
14107 · Inspection Fee (W)	0	0	0	0	0	0	0
14108 · Inquiry Fee	0	0	0	0	0	0	0
14109 · Capital Recovery Fees	4,206	4,178	27	8,411	8,357	55	50,140
14109a · Bad Debt-Retail Water-Minimum B	0	0	0	0	0	0	0
14109b · Drought Contingency Surch (W)	0	0	0	0	0	0	0
14109c · Pro-Rata Fee (Homestead)	0	1,625	(1,625)	0	3,250	(3,250)	19,500
14109d · Subsequent User Fee (W)	0	0	0	0	0	0	0
Total 14100 · Retail Revenues - Water	1,254,223	911,323	342,900	2,516,003	2,420,819	95,184	13,672,950
14110 · Wholesale Revenues - (WSW)							
14111 · Minimum Bill Revenues (WSW)	167,025	155,440	11,585	468,809	310,879	157,930	1,865,275
14112 · Volumetric Revenues (WSW)	165,704	116,211	49,493	527,191	325,116	202,075	1,495,919
14113 · Drought Contingency Surch (WSW)	0	0	0	0	0	0	0
14114 · Deer Creek Capital Fee	0	0	0	0	0	0	50,000
14115 · Raw Water Transportation (WSW)	1,357	462	895	4,056	923	3,133	5,539
Total 14110 · Wholesale Revenues - (WSW)	334,085	272,112	61,973	1,000,056	636,918	363,138	3,416,733
14120 · Other Revenues (W)							
14121 · LUE Reservation Fees (W)	0	0	0	0	0	0	1,180,761
14122 · Raw Wat/Effl Irrig Sales (W)	16,780	37,471	(20,691)	82,398	139,560	(57,162)	422,750
14123 · Meter Set Fee (W)	18,750	5,171	13,579	21,250	10,342	10,908	62,050
14124 · Connection Fees	74,500	12,651	61,849	89,100	25,302	63,798	151,812
14125 · Billing Services (W)	500	708	(208)	1,000	1,417	(417)	8,500
14126 · Drainage Fees	0	0	0	0	0	0	0
14127 · Volumetric Rate-Capital Charge	1,924	1,915	9	6,783	3,830	2,953	22,980
14128 · Lump Sum - Capital Charge	0	2,083	(2,083)	0	4,167	(4,167)	25,000
14129 · Transfer Fees	0	68	(68)	0	135	(135)	810
14130 · Meter Test Fees	0	0	0	0	0	0	0
14131 · Same Day Service Fees	0	0	0	0	0	0	0
14132 · Rate Order Fines	0	0	0	0	0	0	0
14133 · Customer Request Turn On Fees	0	0	0	0	0	0	0
14134 · Reconnection Fees	600	808	(208)	1,500	1,617	(117)	9,700
14135 · Data Log Fees	300	0	300	350	350	0	0
14120 · Other Revenues (W) - Other	0	0	0	0	0	0	0
Total 14120 · Other Revenues (W)	113,354	60,875	52,479	202,380	186,369	16,011	1,884,363
Total (1) Water Department - Revenue	1,701,662	1,244,310	457,352	3,718,439	3,244,106	474,333	18,974,046
(2) Wastewater Department - Rev							
14200 · Retail & Wholesale Revenues (WW)							

	Nov 16	Budget	\$ Over Budget	Oct - Nov 16	YTD Budget	\$ Over Budget	Annual Budget
14201 · Minimum Bill/Volumetric Rev (WW)	324,084	311,906	12,178	625,667	630,951	(5,284)	3,960,433
14204 · Tap Fee (WW)	0	0	0	0	0	0	0
14205 · Late Fees (Wholesale)	0	0	0	1	0	1	0
14206 · Fire Phoenix							
14206a · Fire Phoenix Late Fee	0	0	0	0	0	0	0
14206b · Fire Phoenix Accrued P&I	5,646	0	5,646	16,775	0	16,775	0
Total 14206 · Fire Phoenix	5,646	0	5,646	16,775	0	16,775	0
14208 · Wholesale Minimum Bill	29,515	29,515	(0)	84,093	59,031	25,062	354,184
14209 · Wholesale Volumetric Rate	19,336	12,149	7,187	54,096	27,715	26,381	183,910
14210 · LUE Reservation Fees (WW)	0	0	0	0	91,809	(91,809)	91,809
Total 14200 · Retail & Wholesale Revenues (WW)	378,582	353,570	25,011	780,632	809,506	(28,874)	4,590,336
14220 · Other Revenues (WW)							
14221 · Grinder Pump Surcharge (WW)	1,000	1,000	0	1,998	2,000	(1)	11,999
14222 · Billing Services (WW)	0	1,243	(1,243)	1,630	2,487	(857)	14,920
14223 · Industrial Pre Treatment Surchg	14,874	20,381	(5,507)	24,852	40,762	(15,910)	244,572
14224 · Industrial Pre Treatment Testin	0	0	0	0	0	0	0
Total 14220 · Other Revenues (WW)	15,874	22,624	(6,750)	28,480	45,249	(16,768)	271,491
Total (2) Wastewater Department - Rev	394,456	376,195	18,261	809,112	854,754	(45,642)	4,861,827
(3) Shared Department - Revenue							
14300 · Shared Department							
14301 · Inspection Fees & Plan Review	0	0	0	0	0	0	0
14302 · Legal Review Fees	0	0	0	0	0	0	0
14303 · Vehicle Lease	0	0	0	0	0	0	0
14304 · Interest Earned on Checking	29	24	5	56	48	9	286
14305 · Miscellaneous Income	32	313	(280)	32	626	(593)	3,753
14306 · Construction Inspections	4,422	20,737	(16,314)	31,369	41,473	(10,104)	248,840
14307 · Interest Earned on Temp Investm	2,038	653	1,384	2,328	1,307	1,022	7,840
14308 · Office Space Build-Out	0	0	0	0	0	0	0
14309 · Customer Service Office							
14309a · Customer Service Office Lease	0	0	0	0	0	0	0
14309b · Customer Service Utilities	0	0	0	0	0	0	0
14309c · Cust. Serv Offc Repair/Maint.	0	0	0	0	0	0	0
Total 14309 · Customer Service Office	0	0	0	0	0	0	0
14310 · SER Fees	1,700	6,901	(5,201)	7,450	13,803	(6,353)	82,815
Total 14300 · Shared Department	8,221	28,628	(20,407)	41,236	57,256	(16,020)	343,534
Total (3) Shared Department - Revenue	8,221	28,628	(20,407)	41,236	57,256	(16,020)	343,534
14430 · Sale of Bond	0	0	0	0	0	0	0
14440 · Other Source	0	0	0	0	0	0	0
14460 · Grant Income	0	0	0	0	0	0	0
Total Income	2,104,339	1,649,133	455,207	4,568,788	4,156,116	412,672	24,179,407

	Nov 16	Budget	\$ Over Budget	Oct - Nov 16	YTD Budget	\$ Over Budget	Annual Budget
Expense							
(1) Water Department - Expense							
16100 · LCRA Raw Water Reservation Fees							
16101 · LCRA · Raw Water Used (W)	37,864	47,294	(9,430)	73,046	111,896	(38,850)	481,304
16102 · LCRA · Raw Water Reservation(W)	57,094	74,856	(17,762)	114,188	149,710	(35,523)	782,782
Total 16100 · LCRA Raw Water Reservation Fees	94,957	122,150	(27,193)	187,234	261,606	(74,372)	1,264,086
16110 · Contract Operations - Water							
16111 · Base Fee for Services (W)	0	0	0	0	0	0	0
16112 · Maintenance & Repairs (W)							
16112a · System Wide	8,085	4,508	3,577	14,703	9,016	5,687	54,093
16112b · Distribution System	18,111	7,270	10,841	46,444	14,540	31,904	87,240
16112c · Preventative Maintenance-Plant	0	1,989	(1,989)	355	3,979	(3,624)	23,871
16112d · Preventative Maintenance-Distri	0	42	(42)	0	83	(83)	500
16112f · Lawn Service (W)	0	403	(403)	0	805	(805)	4,831
16112g · STES Audit Work	0	0	0	0	0	0	0
16112h · 30" Water Line Repairs	0	0	0	0	0	0	0
Total 16112 · Maintenance & Repairs (W)	26,196	14,211	11,985	61,501	28,423	33,079	170,535
16113 · Customer Service (W)	0	0	0	0	0	0	0
16114 · Engineering/ Const Fees (W)	0	0	0	0	0	0	0
16110 · Contract Operations - Water - Other	0	0	0	0	0	0	0
Total 16110 · Contract Operations - Water	26,196	14,211	11,985	61,501	28,423	33,079	170,535
16120 · Material & Supplies (W)	0	0	0	1,062	0	1,062	0
16130 · Chemicals (W)	13,765	24,326	(10,561)	45,109	48,653	(3,544)	291,917
16150 · Outside Services (W)	0	0	0	0	0	0	0
16160 · Utilities - Electric (W)	89,225	86,615	2,610	202,013	203,728	(1,715)	1,287,909
16170 · Utilities - Telephone (W)	1,415	1,298	117	2,787	2,607	180	15,295
16190 · Other Expenses (W)	0	33	(33)	0	65	(65)	390
16195 · Permit Expense (W)	15,033	8,471	6,562	15,033	8,471	6,562	16,942
16196 · Laboratory Fees (W)	415	420	(4)	415	840	(424)	5,038
16197 · Sludge Disposal (W)	0	14,906	(14,906)	0	29,812	(29,812)	178,872
Total (1) Water Department - Expense	241,007	272,430	(31,423)	515,154	584,204	(69,050)	3,230,984
(2) Wastewater Department - Exp							
16200 · Contract Operations-Wastewater							
16201 · Base Fee for Services (WW)	0	0	0	0	0	0	0
16202 · Maintenance & Repairs (WW)							
16202a · Lake Point WWTP Maintenance	0	1,593	(1,593)	0	3,187	(3,187)	19,119
16202b · Bohl's WWTP Maintenance	0	325	(325)	8,300	650	7,650	3,898
16202c · Lift Station #14 Maintenance	1,043	0	1,043	1,987	0	1,987	0
16202d · Other Lift Station Maintenance	8,652	248	8,404	12,012	496	11,516	2,977
16202e · Collection System Maintenance	0	3	(3)	496	5	491	31
16202f · Preventative Maintenance-Plant	0	0	0	0	0	0	0
16202i · Industrial Pre Treatment Progra	2,955	4,167	(1,212)	4,458	8,333	(3,875)	50,000
16202j · Lawn Service (WW)	0	403	(403)	0	805	(805)	4,831
16202k · Odor Control	0	2,917	(2,917)	0	5,833	(5,833)	35,000

	Nov 16	Budget	\$ Over Budget	Oct - Nov 16	YTD Budget	\$ Over Budget	Annual Budget
Total 16202 · Maintenance & Repairs (WW)	12,651	9,655	2,996	27,254	19,309	7,945	115,856
Total 16200 · Contract Operations-Wastewater	12,651	9,655	2,996	27,254	19,309	7,945	115,856
16220 · Chemicals (WW)							
16230 · Sludge Disposal (WW)	2,748	2,555	193	4,695	5,110	(415)	30,660
16240 · Utilities - Electric (WW)	6,721	42,117	(35,395)	10,819	84,233	(73,415)	505,400
16240a · Lakepointe WWTP							
16240a · Lakepointe WWTP	5,664	9,017	(3,353)	11,043	17,504	(6,461)	92,399
16240b · Lift Station #14	2,598	1,712	886	5,271	3,406	1,865	22,023
16240c · Remaining WW Electric	8,008	8,939	(931)	16,639	18,160	(1,521)	115,085
16240d · Utilities - Electric (WW) Other	0	0	0	0	0	0	0
16240 · Utilities - Electric (WW) - Other	0	0	0	0	0	0	0
Total 16240 · Utilities - Electric (WW)	16,270	19,668	(3,398)	32,953	39,070	(6,117)	229,507
16250 · Utilities - Telephone (WW)							
16280 · Utilities - Gas (WW)	739	775	(36)	1,460	1,778	(318)	9,091
16295 · Garbage Expense (WW)	15	14	1	37	28	9	180
16296 · Bohl's Irrigation	448	333	115	878	666	213	3,993
16297 · WW Spill Assessment	0	0	0	0	0	0	0
16330 · Special Programs	0	6,703	(6,703)	0	13,406	(13,406)	80,434
Total (2) Wastewater Department - Exp	39,593	81,819	(42,226)	78,096	163,600	(85,503)	975,121
(3) Shared Department - Expense							
Customer Service Office							
16390 · Customer Service Office- Lease	0	2,382	(2,382)	2,242	4,764	(2,522)	28,582
16391 · Customer Servv Office- Utilities	782	374	408	1,564	749	816	4,491
16392 · Customer Service Office- R&M	0	0	0	0	0	0	0
Total Customer Service Office	782	2,756	(1,974)	3,806	5,512	(1,707)	33,073
General Programs and Support							
16810 · Special Contracts							
16810a · Crane Loading Testing	0	250	(250)	0	500	(500)	3,000
16810 · Special Contracts - Other	0	204	(204)	2,450	408	2,042	2,450
Total 16810 · Special Contracts	0	454	(454)	2,450	908	1,542	5,450
16820 · Board Meeting Expense							
16820a · Meals	133	179	(46)	530	359	171	2,153
16820b · Agenda Posting	0	0	0	0	0	0	0
Total 16820 · Board Meeting Expense	133	179	(46)	530	359	171	2,153
Total General Programs and Support	133	634	(500)	2,980	1,267	1,713	7,603
16300 · Professional Services							
General Operating							
16311 · General Counsel - Operating	19,999	22,917	(2,918)	36,251	45,833	(9,583)	275,000
16312 · Engineering - Operating	9,350	12,174	(2,824)	23,155	24,347	(1,192)	146,082
16314 · Bookkeeping - Operating	15,371	15,000	371	31,367	30,000	1,367	75,000
16315 · Financial Manager - Operating	1,482	7,500	(6,018)	3,963	15,000	(11,037)	90,000
16316 · Legislative Efforts							

	Nov 16	Budget	\$ Over Budget	Oct - Nov 16	YTD Budget	\$ Over Budget	Annual Budget
16316a · Legal Counsel	0	0	0	0	0	0	0
16316b · Lobbyist	0	0	0	0	0	0	0
16316c · Consultant	0	0	0	0	0	0	0
16316 · Legislative Efforts - Other	0	0	0	0	0	0	0
Total 16316 · Legislative Efforts	0	0	0	0	0	0	0
16317 · General Counsel-Litigation	9,575	41,667	(32,092)	17,741	83,333	(65,592)	500,000
16318 · Auditor-Operating	0	0	0	0	0	0	75,000
16319 · Rate Case (TCMUD12)							
16319a · Rate Case-Legal Counsel	0	0	0	0	0	0	0
16319b · Rate Case- Consultants	0	0	0	0	0	0	0
16319 · Rate Case (TCMUD12) - Other	0	0	0	0	0	0	0
Total 16319 · Rate Case (TCMUD12)	0	0	0	0	0	0	0
16320 · Reconciliation							
16320a · Recon - Sept/Oct	0	0	0	0	0	0	0
16320b · Recon - Nov-Feb	0	0	0	0	0	0	0
Total 16320 · Reconciliation	0	0	0	0	0	0	0
16328 · STES Litigation	0	0	0	0	0	0	0
16329 · District 231 Billing Issue 2/16	0	0	0	0	0	0	0
16361 · Public Relations Consulting Ser	313	1,667	(1,354)	1,063	3,333	(2,271)	20,000
16362 · TCEQ Regulatory Compliance	0	0	0	0	0	0	0
16363 · TC MUD I2 Breach of Contract	0	0	0	0	0	0	0
16364 · GM Transitional Consulting Fees	0	0	0	0	0	0	50,000
Total General Operating	56,088	100,924	(44,835)	113,539	201,847	(88,308)	1,231,082
Special Contract Services							
16322 · Rate Study - Special Contract	0	3,473	(3,473)	0	6,947	(6,947)	41,680
16324 · Other Engineering Analyses-Spec	1,988	4,067	(2,079)	3,060	8,134	(5,074)	48,801
16325 · Construction Inspection Consult	0	0	0	0	0	0	0
16326 · Fire Phoneix Collections	0	0	0	0	0	0	0
16327 · Zero Rate Code Billing	0	0	0	0	0	0	0
Total Special Contract Services	1,988	7,540	(5,553)	3,060	15,080	(12,020)	90,481
Transitional Support Services							
16308 · Operations-USWUG Transition	0	2,083	(2,083)	0	4,167	(4,167)	25,000
Total Transitional Support Services	0	2,083	(2,083)	0	4,167	(4,167)	25,000
16365 · Public Relations	0	0	0	0	0	0	0
16300 · Professional Services - Other	0	0	0	0	0	0	0
Total 16300 · Professional Services	58,076	110,547	(52,471)	116,599	221,094	(104,495)	1,346,563
16332 · Leak Detection Program	0	6	(6)	0	13	(13)	76
16333 · SCADA Control System Maintenan	0	83	(83)	0	165	(165)	990
16335 · Tools & Shop Supplies	0	0	0	0	0	0	0
16336 · Computer Maintenance & Repair	0	0	0	0	0	0	0

	Nov 16	Budget	\$ Over Budget	Oct - Nov 16	YTD Budget	\$ Over Budget	Annual Budget
16338 · Janitor/Contract Labor	291	175	116	466	350	116	2,100
16339 · Office Data & Supplies	0	425	(425)	7,450	849	6,601	5,096
16340 · Membership & Dues	0	500	(500)	4,200	1,000	3,200	6,000
16341 · Utilities - Office & Outside Fa	834	909	(75)	1,660	1,818	(158)	10,908
16342 · Conservation Education & Enforc	0	3	(3)	0	6	(6)	35
16343 · Insurance - General	5,037	0	5,037	94,207	88,828	5,379	88,828
16344 · Bank Charges	90	77	13	158	155	3	928
16345 · Misc. Operating Expense	4,173	1,625	2,548	15,048	3,250	11,798	19,498
16347 · Lease Expense	11,499	9,752	1,746	20,756	19,505	1,251	117,028
16351 · GST/EST Maintenance	0	0	0	0	0	0	0
16352 · WTP Filters	0	0	0	0	0	0	0
16353 · Meter Calibration	0	0	0	0	0	0	0
16354 · Storage Tank Corrosion Preventi	0	0	0	0	0	0	0
16355 · Office Equipment	0	2,397	(2,397)	3,340	4,793	(1,453)	28,760
16356 · Software Licenses	0	699	(699)	2,902	1,398	1,504	8,390
16357 · Vehicle Expense							
16357a · Fuel	43	38	6	90	75	15	450
16357b · Maintenance	3,182	0	3,182	4,827	0	4,827	0
16357c · Insurance	0	0	0	0	0	0	0
Total 16357 · Vehicle Expense	3,225	38	3,187	4,917	75	4,842	450
16358 · Outside Printing	775	1,347	(572)	1,196	2,694	(1,498)	16,166
16359 · Website Maintenance	0	11	(11)	0	23	(23)	135
16410 · Salaries	70,476	62,387	8,089	119,046	124,774	(5,727)	748,641
16420 · FICA and Benefits	14,385	16,540	(2,155)	26,666	33,081	(6,415)	198,485
16540 · Travel Expense	0	7	(7)	0	14	(14)	86
16550 · Maint & Repairs - Misc	0	0	0	0	0	0	0
16560 · Miscellaneous Expense	1,418	8,421	(7,003)	1,418	16,841	(15,423)	101,046
16570 · Postage and Delivery Expense	605	199	406	630	398	233	2,385
16600 · Payroll Expenses	0	0	0	0	0	0	0
16710 · Contract Operations							
16710a · Customer Service Personnel	0	0	0	0	0	0	0
16710b · Meter Readers	0	0	0	0	0	0	0
16710c · Management & Administration Per	0	0	0	0	0	0	0
16710d · Water Plant Operators Personnel	0	0	0	0	0	0	0
16710e · Wastewater Plant Opertors Perso	0	0	0	0	0	0	0
16710f · Maintenance Personnel	0	0	0	0	0	0	0
16710g · Repairs & Maintenance Fund	0	0	0	0	0	0	0
16710h · Uniforms	0	0	0	0	0	0	0
16710i · Monthly Sampling	0	0	0	0	0	0	0
16710j · Utility Billing (AVR)	0	0	0	0	0	0	0
16710k · Transition Cost Amortization	0	0	0	0	0	0	0
16710l · Answering Service	0	0	0	0	0	0	0
16710m · Organizational & Business Dues	0	0	0	0	0	0	0
16710n · Continuing Education	0	0	0	0	0	0	0
16710o · Reagents & Op Supplies	0	0	0	0	0	0	0
16710p · Reserve	0	0	0	0	0	0	0
16710q · Equipment	0	0	0	0	0	0	0
16710r · Vehicle Lease	0	0	0	0	0	0	0
16710s · Fuel & Gasoline	0	0	0	0	0	0	0
16710t · Vehicel Maintenance	0	0	0	0	0	0	0

	Nov 16	Budget	\$ Over Budget	Oct - Nov 16	YTD Budget	\$ Over Budget	Annual Budget
16710u · Vehicle Insurance	0	0	0	0	0	0	0
16710v · Office Supplies	0	0	0	0	0	0	0
16710w · Permits & Licenses	0	0	0	0	0	0	0
16710x · Postage & Shipping	0	0	0	0	0	0	0
16710y · Replacement Hardware	0	0	0	0	0	0	0
16710z · IT Service & Repair	0	0	0	0	0	0	0
16710za · System Administration	0	0	0	0	0	0	0
16710zb · Insurance	0	0	0	0	0	0	0
16710zc · Misc Exp	(2,416)	0	(2,416)	(2,416)	0	(2,416)	300,000
16710 · Contract Operations - Other	332,849	314,165	18,685	665,699	628,329	37,370	3,769,974
Total 16710 · Contract Operations	330,433	314,165	16,269	663,283	628,329	34,954	4,069,974
16830 · SER Review Fees	14,959	7,012	7,948	32,925	14,023	18,902	84,138
Total (3) Shared Department - Expense	517,192	540,713	(23,521)	1,123,652	1,170,254	(46,601)	6,897,382
16360 · Transfer to Facilities Fund	0	0	0	0	0	0	2,516,918
16370 · Transfer to I&S Reserve	0	0	0	0	0	0	10,067,672
16380 · Transfer to Rate Stabilization	0	0	0	0	0	0	0
17110 · Capital Outlay	0	0	0	0	0	0	64,139
17120 · Capital Outlay - Engineering	0	0	0	16,883	0	16,883	0
17130 · Capital Outlay-Leak Detection G	0	0	0	0	0	0	0
17500 · Principal Payments on LCRA Debt	0	0	0	0	0	0	0
17510 · Interest Payments on LCRA Debt	0	0	0	0	0	0	0
18000 · Interest Expense	0	0	0	0	0	0	189,170
18100 · Bad Debt Expense	0	0	0	0	0	0	0
18200 · Developer Principal Payments	0	0	0	0	0	0	0
Total Expense	797,792	894,962	(97,170)	1,733,786	1,918,057	(184,272)	23,941,386
Net Ordinary Income	1,306,547	754,171	552,376	2,835,002	2,238,059	596,943	238,021
Other Income/Expense							
Other Income							
15950 · Assigned Surplus	0	0	0	0	0	0	0
Total Other Income							
Net Other Income							
Net Income	1,306,547	754,171	552,376	2,835,002	2,238,059	596,943	238,021

West Travis County PUA - CPF
Actual vs Budget
November 2016

	Nov 16	Budget	\$ Over Budget	Oct - Nov 16	YTD Budget	\$ Over Budget	Annual Budget
Income							
25310 - Interest On Temp Investments	2,815.31	0.00	2,815.31	5,729.04	0.00	5,729.04	0.00
25320 - Interest Earned On Checking	0.08	0.00	0.08	0.36	0.00	0.36	0.00
25330 - Sale Of Bond	0.00	0.00	0.00	0.00	0.00	0.00	0.00
25340 - Reoffering Premium	0.00	0.00	0.00	0.00	0.00	0.00	0.00
25360 - Miscellaneous Income	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total Income	2,815.39	0.00	2,815.39	5,729.40	0.00	5,729.40	0.00
Expense							
Series 2012							
27410 - SW Parkway 20" TM							
27410-1 - SW Parkway 20" TM-Const Admin	95.00	0.00	95.00	475.00	0.00	475.00	0.00
27410-2 - SW Parkway 20" TM-Construction	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total 27410 - SW Parkway 20" TM	95.00	0.00	95.00	475.00	0.00	475.00	0.00
27430 - .325 MGD Plant							
27430-1 - .325 MGD Plant-Const Admin	0.00	0.00	0.00	0.00	0.00	0.00	0.00
27430-2 - .325 MGD Plant-Construction	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total 27430 - .325 MGD Plant	0.00	0.00	0.00	0.00	0.00	0.00	0.00
27440 - Regional LS/FM							
27440-1 - Regional LS/FM-Const Admin	0.00	0.00	0.00	0.00	0.00	0.00	0.00
27440-2 - Regional LS/FM-Construction	0.00	0.00	0.00	0.00	0.00	0.00	0.00
27440-4 - Regional LS/FM-Easement	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total 27440 - Regional LS/FM	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total Series 2012	95.00	0.00	95.00	475.00	0.00	475.00	0.00
Series 2013							
28120 - Raw Water Line #2 and WTP PER							
28130 - 1340/1240 Pressure Plane Proj	0.00	0.00	0.00	0.00	0.00	0.00	0.00
28130-1 - 1340/1240 Pressure Pln-Design	0.00	0.00	0.00	0.00	0.00	0.00	0.00
28130-2 - 1340/1240 Pressure Pln-Const	0.00	0.00	0.00	0.00	0.00	0.00	0.00
28130-3 - 1340/1240 Pressure Pln-Const Ad	0.00	0.00	0.00	0.00	0.00	0.00	0.00
28130 - 1340/1240 Pressure Plane Proj - Other	35,499.29	573,839.42	(538,340.13)	56,786.44	1,147,678.80	(1,090,892.36)	6,886,073.00
Total 28130 - 1340/1240 Pressure Plane Proj	35,499.29	573,839.42	(538,340.13)	56,786.44	1,147,678.80	(1,090,892.36)	6,886,073.00
28150 - 1280 EST							
28150-1 - 1280 EST.	37,129.32	96,007.92	(58,878.60)	40,470.98	192,015.80	(151,544.82)	1,152,095.00
28150-2 - 1280 EST-Legal Fees	0.00	0.00	0.00	0.00	0.00	0.00	0.00
28150-3 - 1280 EST Construction Admin.	0.00	2,609.17	(2,609.17)	0.00	5,218.30	(5,218.30)	31,310.00
Total 28150 - 1280 EST	37,129.32	98,617.09	(61,487.77)	40,470.98	197,234.10	(156,763.12)	1,183,405.00
28160 - 1280 Pressure Plan Analysis							
28170 - Rehabilitation Projects	0.00	0.00	0.00	0.00	0.00	0.00	0.00
28170-1 - SW Pump Stations & Storage	0.00	0.00	0.00	0.00	0.00	0.00	0.00
28170-2 - Bee Cave Ground Storage Tank	0.00	33,333.33	(33,333.33)	0.00	66,666.70	(66,666.70)	400,000.00
28170-3 - Crystal Mountain EST	0.00	36,750.00	(36,750.00)	0.00	73,500.00	(73,500.00)	441,000.00
28170-4 - Regional WTP Trident Building	0.00	0.00	0.00	0.00	0.00	0.00	0.00
28170-5 - Regional WTP Trident Bldg Elect	0.00	0.00	0.00	0.00	0.00	0.00	0.00
28170-6 - Trident BldgPlumbing Fixtures	0.00	0.00	0.00	0.00	0.00	0.00	0.00
28170-7 - Trident Bldg Basin & Equip	0.00	0.00	0.00	0.00	0.00	0.00	0.00
28170-8 - Misc. 1280 Improvements	4,325.26	2,061.08	2,264.18	7,407.76	4,122.20	3,285.56	24,733.00
Total 28170 - Rehabilitation Projects	4,325.26	72,144.41	(67,819.15)	7,407.76	144,288.90	(136,881.14)	865,733.00
28180 - 1240 Conversion Water Line	0.00	112,916.67	(112,916.67)	0.00	225,833.30	(225,833.30)	1,355,000.00

West Travis County PUA - Facilities

Actual vs Budget Comparison

November 2016

	Nov 16	Budget	\$ Over Budget	Oct - Nov 16	YTD Budget	\$ Over Budget	Annual Budget
Ordinary Income/Expense							
Income							
44310 · Interest On Temp Investments	585.68	0.00	585.68	1,212.73	0.00	1,212.73	0.00
44320 · Interest Earned On Checking	0.67	0.00	0.67	1.99	0.00	1.99	0.00
44330 · Miscellaneous Income	0.00	0.00	0.00	0.00	0.00	0.00	0.00
44980 · Transfer From Operating	0.00	0.00	0.00	0.00	0.00	0.00	2,516,918.00
Total Income	586.35	0.00	586.35	1,214.72	0.00	1,214.72	2,516,918.00
Expense							
46100 · 1340 Pressure Plane CIP Imprv.							
46120 · Lake Point WWTP Odor Remediatio	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46130 · LPWTP Filter Replacement & Mete	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46140 · Bayton Odor Control Installatio	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46150 · Circle Drive Relocation	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46160 · 24" Encasement Pipe Extension	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46170 · 6" Nutty Brown Road	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46180 · HPR 1420 Hydro Tank	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46190 · Modify Home Depot Hydro System							
46190-1 · Home Depot Hydro - Design	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46190-2 · Home Depot Hydro - Const	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total 46190 · Modify Home Depot Hydro System	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46200 · Beneficial Recycling Feasibilit							
46201 · Ben. Recycl.Fac. Design&TCEQ	1,387.50	2,877.50	(1,490.00)	3,562.50	5,755.00	(2,192.50)	34,530.00
46230 · TxDOT Road/Coordination/Design	8,315.50	33,325.83	(25,010.33)	26,599.04	66,651.70	(40,052.66)	399,910.00
46250 · TCEQ WWTP Permit App	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46250-0 · TCEQ WWTP Permit App-Plan	0.00	0.00	0.00	1,250.00	0.00	1,250.00	0.00
46250-1 · TCEQ WWTP Permit App-Land App	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46250-2 · TCEQ WWTP Permit App-Legal	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total 46250 · TCEQ WWTP Permit App	0.00	0.00	0.00	1,250.00	0.00	1,250.00	0.00
46260 · Developer Reimbursement							
46260a · Principal	0.00	0.00	0.00	0.00	0.00	0.00	801,971.00
46260b · Interest	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46260c · SH71 Main Reimb.	0.00	0.00	0.00	0.00	0.00	0.00	155,000.00
46260 · Developer Reimbursement - Other	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total 46260 · Developer Reimbursement	0.00	0.00	0.00	0.00	0.00	0.00	956,971.00
46270 · SCADA							
46285 · Plant Rehabilitation	12,430.95	20,833.33	(8,402.38)	14,510.95	41,666.70	(27,155.75)	250,000.00
46285-1 · SW Pump Stations & Storage Tank	0.00	22,916.67	(22,916.67)	0.00	45,833.30	(45,833.30)	275,000.00
46285-2 · Bee Cave Ground Storage Tank	0.00	833.33	(833.33)	0.00	1,666.70	(1,666.70)	10,000.00
46285-3 · Regional WTP Trident Building	0.00	22,166.67	(22,166.67)	0.00	44,333.30	(44,333.30)	266,000.00
46285-4 · Regional Trident Electrical	0.00	8,583.33	(8,583.33)	0.00	17,166.70	(17,166.70)	103,000.00
46285-5 · Trident Treatment Basis & Equip	0.00	12,500.00	(12,500.00)	0.00	25,000.00	(25,000.00)	150,000.00
Total 46285 · Plant Rehabilitation	0.00	67,000.00	(67,000.00)	0.00	134,000.00	(134,000.00)	804,000.00
46290 · 1280 Elevated Storage Tank							
46290-1 · 1280 Elevated Storage-Site Plan	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46290-3 · 1280 Elevated Storage-Const Adm	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total 46290 · 1280 Elevated Storage Tank	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46295 · 1280 Pressue Plane							
46295-1 · 1280 Pressue Plane- Easements	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46295-2 · 1280 Pressue Plane- Legal Fees	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46295-3 · 1280 Pressue Plane Imprv. Misc	0.00	83,333.33	(83,333.33)	0.00	166,666.70	(166,666.70)	1,000,000.00

	Nov 16	Budget	\$ Over Budget	Oct - Nov 16	YTD Budget	\$ Over Budget	Annual Budget
Total 46295 - 1280 Pressure Plane	0.00	83,333.33	(83,333.33)	0.00	166,666.70	(166,666.70)	1,000,000.00
46300 - Darden Hill 16" Relocation	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46350 - Vehicle & Equipment	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46360 - Uplands WTP Disinfect. Tnk Impr	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46370 - SWPPS 20" Main - Legal Fees	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46380 - Water Loss Program Phase II	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46390 - Raw Water Line	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46390-1 - Raw Water Line- Legal Fees	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46390-2 - Raw Water Line- Easements	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46390-3 - WTP Corrosion Study & Plan/RawW	0.00	6,666.67	(6,666.67)	0.00	13,333.30	(13,333.30)	80,000.00
46390-4 - Raw Water Line Trans Main & Eng	0.00	24,709.17	(24,709.17)	0.00	49,418.30	(49,418.30)	296,510.00
46390-5 - Raw Water Line Repairs	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total 46390 - Raw Water Line	0.00	31,375.84	(31,375.84)	0.00	62,751.60	(62,751.60)	376,510.00
46400 - WW I&I Study	0.00	16,666.67	(16,666.67)	0.00	33,333.30	(33,333.30)	200,000.00
46410 - LP Plant 2 Clarifier Rehab	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46420 - WWTP Odor CA Improvements	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46430 - LP WWTP CA Imprv. -Other	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46440 - Reroute LSII to Bohl's WWTP	0.00	27,564.17	(27,564.17)	0.00	55,128.30	(55,128.30)	330,770.00
46450 - Shops Parkway Utility Relocation	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46450-1 - Shops Parkway Relocation Constr.	0.00	21,831.92	(21,831.92)	48,410.84	43,663.80	4,747.04	261,983.00
46450-2 - Shops Parkway Relocation Design	0.00	2,947.08	(2,947.08)	0.00	5,894.20	(5,894.20)	35,365.00
46450-3 - Shops Parkway Relocation Admin	858.14	3,870.83	(3,012.69)	7,161.45	7,741.70	(580.25)	46,450.00
46450 - Shops Parkway Utility Relocatio - Other	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total 46450 - Shops Parkway Utility Relocatio	858.14	28,649.83	(27,791.69)	55,572.29	57,299.70	(1,727.41)	343,798.00
46460 - Meter Replacement	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46470 - 1080 Bee Cave Trans Main.- Eng	3,955.00	14,583.33	(10,628.33)	5,610.00	29,166.70	(23,556.70)	175,000.00
46480 - 10 MGD Water Plant	0.00	0.00	0.00	0.00	0.00	0.00	0.00
46490 - Spillman Pond Liner Replacement	338,751.50	90,583.33	268,168.17	452,966.00	181,166.70	271,799.30	1,087,000.00
46495 - Spillman Pnd Liner Repl. Design	760.00	1,477.58	(717.58)	1,425.00	2,955.20	(1,530.20)	17,731.00
46500 - Chloramine Booster Stations	0.00	1,605.00	(1,605.00)	0.00	3,210.00	(3,210.00)	19,260.00
46510 - Orthophosphate Chem. Injection	0.00	2,081.67	(2,081.67)	0.00	4,163.30	(4,163.30)	24,980.00
47860 - Capital Outlay	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total Expense	386,458.59	421,957.41	(35,498.82)	561,495.78	843,914.90	(282,419.12)	6,020,460.00
Net Ordinary Income	(385,872.24)	(421,957.41)	36,085.17	(560,281.06)	(843,914.90)	283,633.84	(3,503,542.00)
Other Income/ Expense							
45950 - Assigned Surplus	0.00	0.00	0.00	0.00	0.00	0.00	3,503,542.00
Total Other Income							
Net Other Income	0.00	0.00	0.00	0.00	0.00	0.00	3,503,542.00
Net Income	(385,872.24)	(421,957.41)	36,085.17	(560,281.06)	(843,914.90)	283,633.84	0.00

	Nov 16	Budget	\$ Over Budget	Oct - Nov 16	YTD Budget	\$ Over Budget	Annual Budget
28190 · WW Treatment Plant Expansion	0.00	16,666.67	(16,666.67)	0.00	33,333.30	(33,333.30)	200,000.00
28191 · Subsurface Disposal Area Dev	0.00	5,416.67	(5,416.67)	0.00	10,833.30	(10,833.30)	65,000.00
Total Series 2013	76,953.87	879,600.93	(802,647.06)	104,665.18	1,759,201.70	(1,654,536.52)	10,555,211.00
27250 · Bond Discount	0.00	0.00	0.00	0.00	0.00	0.00	0.00
27260 · Bond Insurance Premium	0.00	0.00	0.00	0.00	0.00	0.00	0.00
27310 · Bond Issuance Expense	0.00	0.00	0.00	0.00	0.00	0.00	0.00
27391 · Developer Reimb.-W/WW	0.00	449,238.50	(449,238.50)	0.00	898,477.00	(898,477.00)	5,390,862.00
27392 · HPR PS Upgrade	0.00	22,916.67	(22,916.67)	0.00	45,833.30	(45,833.30)	275,000.00
Total Expense	77,048.87	1,351,756.10	(1,274,707.23)	105,140.18	2,703,512.00	(2,598,371.82)	16,221,073.00
Net Income	(74,233.48)	(1,351,756.10)	1,277,522.62	(99,410.78)	(2,703,512.00)	2,604,101.22	(16,221,073.00)

Balance Sheet

As of November 30, 2016

Nov 30, 16

ASSETS

Current Assets

Checking/Savings

11110 · Cash in Bank	3,309,537
11117 · Payroll	51,272
11118 · Managers	482,171
11119 · Bee Cave - 231	5,000
11120 · Bee Cave So - 237	5,000
11121 · Homestead - 466	5,000
11122 · 290/HPR - 477	5,000
11123 · Wholesale	5,000
11124 · TC MUD 12	506,469

Total Checking/Savings	4,374,450
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Other Current Assets

11300 · Time Deposits	4,221,215
11530 · A/R - Bee Cave-Rate District	1,883,236
11540 · A/R - Bee Cave So-Rate Dis	474,599
11550 · A/R - 290/HPR-Rate District	760,374
11560 · A/R - Homestead/Meadow Fox-Rate	55,281
11575 · A/R-WS	1,929,094
11580 · Accrued Interest	1,450
11610 · A/R - W/W Fee - Hays Co MUD 5	500
11800 · Due From Bank	110
11810 · Due From Others	17,492
11896 · Lease Deposit	12,307
11899 · Due From Facility Fund	11,611
11930 · Due from Employee	1,275

Total Other Current Assets	9,368,544
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Total Current Assets	13,742,995
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TOTAL ASSETS

13,742,995

LIABILITIES & EQUITY

Liabilities

Current Liabilities

Accounts Payable

12000 · Accounts Payable	754,335
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Total Accounts Payable

754,335

Credit Cards

12115 · BB&T Credit Card	3,128
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Total Credit Cards

3,128

Other Current Liabilities

12005 · Accrued AP	47,627
12100 · Payroll Liabilities	6,051
12105 · Accrued Payroll.	18,839
12110 · Benefit Liability	1,601
12125 · 457 Plan	978
12140 · TCERS	1,708
12395 · Due to Impact Fee Fund	540,748
12510 · TC MUD No 16 WW Collections	60,984
12530 · Hays Co MUD 4 WW Collections	18,662

Balance Sheet

As of November 30, 2016

	Nov 30, 16
12550 · ST Final Invoiced Amounts	576,788
12610 · Customer Meter Deposits	
261001 · Customer Meter Dep-Bee Cav	199,500
261002 · Customer Meter Dep-Bee Cave So	92,000
261003 · Customer Meter Dep-290/HPR Rate	174,525
261004 · Customer Meter Dep-Homestead/Me	5,500
Total 12610 · Customer Meter Deposits	471,525
12700 · Due to TCEQ	
270001 · Due to TCEQ - Bee Cave Rate Dis	45,244
270002 · Due to TCEQ-Bee Cave So Rate Di	11,304
270003 · Due to TCEQ-290/HPR Rate Dist	17,482
270004 · Due to TCEQ-Homestead/Meadow Fo	1,072
Total 12700 · Due to TCEQ	75,102
Total Other Current Liabilities	1,820,612
Total Current Liabilities	2,578,076
Total Liabilities	2,578,076
Equity	
13000 · Opening Bal Equity	349,613
13010 · Unassigned Fund Balance	7,980,305
Net Income	2,835,002
Total Equity	11,164,919
TOTAL LIABILITIES & EQUITY	13,742,995

Balance Sheet

As of November 30, 2016

	Nov 30, 16
ASSETS	
Current Assets	
Checking/Savings	
21200 · Cash in Bank	0
Total Checking/Savings	0
Other Current Assets	
21300 · Time Deposits	27,253,201
21930 · SH71 20" Transmission-CoA Fisc	92,348
Total Other Current Assets	27,345,549
Total Current Assets	27,345,549
TOTAL ASSETS	27,345,549
LIABILITIES & EQUITY	
Liabilities	
Current Liabilities	
Accounts Payable	
22000 · Accounts Payable	175,631
Total Accounts Payable	175,631
Total Current Liabilities	175,631
Total Liabilities	175,631
Equity	
23010 · Restricted Fund Balance	27,269,329
Net Income	(99,411)
Total Equity	27,169,918
TOTAL LIABILITIES & EQUITY	27,345,549

Balance Sheet

As of November 30, 2016

	Nov 30, 16
ASSETS	
Current Assets	
Checking/Savings	
41100 · Cash in Bank	1
Total Checking/Savings	1
Other Current Assets	
41300 · Time Deposits	5,641,942
Total Other Current Assets	5,641,942
Total Current Assets	5,641,942
TOTAL ASSETS	5,641,942
LIABILITIES & EQUITY	
Liabilities	
Current Liabilities	
Accounts Payable	
42000 · Accounts Payable	470,573
Total Accounts Payable	470,573
Other Current Liabilities	
42400 · Retainage Payable	45,264
42710 · Due to Operating Fund	11,611
Total Other Current Liabilities	56,875
Total Current Liabilities	527,448
Total Liabilities	527,448
Equity	
43010 · Restricted Fund Balance	5,674,775
Net Income	(560,281)
Total Equity	5,114,494
TOTAL LIABILITIES & EQUITY	5,641,942

Balance Sheet

As of November 30, 2016

	Nov 30, 16
ASSETS	
Current Assets	
Checking/Savings	
71200 · Cash in Bank	454,591
Total Checking/Savings	454,591
Other Current Assets	
71700 · Time Deposits	22,199,479
71810 · Due From Operating	450,748
71850 · Due From Others	24,145
Total Other Current Assets	22,674,372
Total Current Assets	23,128,963
TOTAL ASSETS	23,128,963
LIABILITIES & EQUITY	
Liabilities	
Current Liabilities	
Accounts Payable	
72100 · Accounts Payable	7,159
Total Accounts Payable	7,159
Other Current Liabilities	
27290 · 1340 Pressure Plan Escrowed	940,656
72750 · Retainage Payable	137,683
Total Other Current Liabilities	1,078,339
Total Current Liabilities	1,085,498
Total Liabilities	1,085,498
Equity	
73900 · Restricted Fund Balance	20,153,510
Net Income	1,889,956
Total Equity	22,043,465
TOTAL LIABILITIES & EQUITY	23,128,963

Balance Sheet

As of November 30, 2016

	Nov 30, 16
ASSETS	
Current Assets	
Checking/Savings	
31100 · Cash - Series 2012	3,795
31110 · Cash - Reserve	15,574,059
Total Checking/Savings	15,577,854
Other Current Assets	
31300 · Time Deposits	1,440,000
31530 · Accrued Interest Receivable	3,532
Total Other Current Assets	1,443,532
Total Current Assets	17,021,385
TOTAL ASSETS	17,021,385
LIABILITIES & EQUITY	
Equity	
33010 · Restricted Fund Balance	17,021,152
Net Income	234
Total Equity	17,021,385
TOTAL LIABILITIES & EQUITY	17,021,385

Balance Sheet

As of November 30, 2016

	Nov 30, 16
ASSETS	
Current Assets	
Checking/Savings	
71100 · Cash In Bank	2,972,642
Total Checking/Savings	2,972,642
Total Current Assets	2,972,642
TOTAL ASSETS	2,972,642
LIABILITIES & EQUITY	
Equity	
73010 · Unassigned Fund Balance	2,972,597
Net Income	45
Total Equity	2,972,642
TOTAL LIABILITIES & EQUITY	2,972,642

West Travis County Public Utility Agent
District Debt Service Payments
02/01/2017 - 09/30/2017

Paying Agent	Series	Date Due	Date Paid	Principal	Interest	Total Due
Debt Service Payment Due 02/15/2017						
Bank of Texas	2013R	02/15/2017		0.00	3,895,012.50	3,895,012.50
Bank of Texas	2015	02/15/2017		0.00	716,281.25	716,281.25
		Total Due 02/15/2017		0.00	4,611,293.75	4,611,293.75
Debt Service Payment Due 08/15/2017						
Bank of Texas	2013R	08/15/2017		2,725,000.00	3,895,012.50	6,620,012.50
Bank of Texas	2015	08/15/2017		190,000.00	716,281.25	906,281.25
		Total Due 08/15/2017		2,915,000.00	4,611,293.75	7,526,293.75
		District Total		\$2,915,000.00	\$9,222,587.50	\$12,137,587.50



MUNICIPAL ACCOUNTS
& CONSULTING, L.P.

December 16, 2016

BB&T
901 S. Mopac Bldg. III, Suite 115
Austin, TX 78746

RE: **WEST TRAVIS COUNTY PUA - FACILITES**

Please consider this letter as written authorization by the **West Travis Coutny PUA** to transfer

\$ 357,029.00

From Facility Fund MM Account #,
To Facility Fund Checking #

If you should have any questions, please contact Autumn Phillips at (512) 782-2401.

Sincerely,

WEST TRAVIS COUNTY PUA

TRANSFER FROM BB&T FACILITY FUND MM TO BB&T FACILITY FUND CHECKING



MUNICIPAL ACCOUNTS
& CONSULTING, L.P.

December 15, 2016

BB&T
901 S. Mopac Bldg. III, Suite 115
Austin, TX 78746

RE: **WEST TRAVIS COUNTY PUA - FACILITES**

Please consider this letter as written authorization by the **West Travis Coutny PUA** to transfer

\$ 93,732.00

From Facility Fund MM Account #,
To Facility Fund Checking #

If you should have any questions, please contact Autumn Phillips at (512) 782-2401.

Sincerely,

WEST TRAVIS COUNTY PUA

TRANSFER FROM BB&T FACILITY FUND MM TO BB&T FACILITY FUND CHECKING



MUNICIPAL ACCOUNTS
& CONSULTING, L.P.

January 19, 2017

BB&T
901 S. Mopac Bldg. III, Suite 115
Austin, TX 78746

RE: WEST TRAVIS COUNTY PUA - CPF

Please consider this letter as written authorization by the West Travis County PUA to transfer

\$ 91,279.17

From BB&T CPF 2013 Account #,
To BB&T CPF Account #

If you should have any questions, please contact Autumn Phillips at (512) 782-2401.

Sincerely,

WEST TRAVIS COUNTY PUA

TRANSFER FROM BB&T CPF MM TO BB&T CPF CHECKING



MUNICIPAL ACCOUNTS
& CONSULTING, L.P.

January 19, 2017

BB&T
901 S. Mopac Bldg. III, Suite 115
Austin, TX 78746

RE: WEST TRAVIS COUNTY PUA - GOF

Please consider this letter as written authorization by the West Travis Coutny PUA to transfer

\$ 54,337.71

From BB&T GOF Account #

To BB&T Payroll Account #

If you should have any questions, please contact Autumn Phillips at (512) 782-2401.

Sincerely,

WEST TRAVIS COUNTY PUA

TRANSFER FROM BB&T GOF CHECKING TO BB&T PAYROLL CHECKING



MUNICIPAL ACCOUNTS
& CONSULTING, L.P.

January 19, 2017

BB&T
901 S. Mopac Bldg. III, Suite 115
Austin, TX 78746

RE: **WEST TRAVIS COUNTY PUA - GOF**

Please consider this letter as written authorization by the **West Travis Coutny PUA** to transfer

\$ 1,000,000.00

From BB&T GOF Account #,
To BB&T GOF Account #

If you should have any questions, please contact Autumn Phillips at (512) 782-2401.

Sincerely,

WEST TRAVIS COUNTY PUA

TRANSFER FROM BB&T GOF CHECKING TO BB&T GOF MM



MUNICIPAL ACCOUNTS
& CONSULTING, L.P.

January 19, 2017

BB&T
901 S. Mopac Bldg. III, Suite 115
Austin, TX 78746

RE: **WEST TRAVIS COUNTY PUA - IMPACT**

Please consider this letter as written authorization by the **West Travis Coutny PUA** to transfer

\$ 402,740.28

From Impact Checking Account #,
To Impact MM Account #

If you should have any questions, please contact Autumn Phillips at (512) 782-2401.

Sincerely,

WEST TRAVIS COUNTY PUA

TRANSFER FROM BB&T IMPACT CHECKING TO BB&T IMPACT MM



MUNICIPAL ACCOUNTS
& CONSULTING, L.P.

January 19, 2017

BB&T
901 S. Mopac Bldg. III, Suite 115
Austin, TX 78746

RE: **WEST TRAVIS COUNTY PUA - FACILITES**

Please consider this letter as written authorization by the **West Travis Coutny PUA** to transfer

\$ 24,789.19

From Facility Fund MM Account #,
To Facility Fund Checking #

If you should have any questions, please contact Autumn Phillips at (512) 782-2401.

Sincerely,

WEST TRAVIS COUNTY PUA

TRANSFER FROM BB&T FACILITY FUND MM TO BB&T FACILITY FUND CHECKING



MUNICIPAL ACCOUNTS
& CONSULTING, L.P.

January 19, 2017

BB&T
901 S. Mopac Bldg. III, Suite 115
Austin, TX 78746

RE: WEST TRAVIS COUNTY PUA - FACILITIES

Dear Ed,

Please consider this letter as written authorization by the West Travis Coutny PUA to transfer

\$ 12,171.81

From Facilities Fund MM Account #,
To Operating Fund MM #

If you should have any questions, please contact Autumn Phillips at (512) 782-2401.

Sincerely,

WEST TRAVIS COUNTY PUA

TRANSFER FROM BB&T FACILITY MM TO BB&T OPERATING FUND MM



MUNICIPAL ACCOUNTS
& CONSULTING, L.P.

January 19, 2017

BB&T
901 S. Mopac Bldg. III, Suite 115
Austin, TX 78746

RE: WEST TRAVIS COUNTY PUA - OPERATING

Please consider this letter as written authorization by the West Travis Coutny PUA to transfer

\$ 183,838.00

From Operating MM Account #
To Impact MM Account #

If you should have any questions, please contact Autumn Phillips at (512) 782-2401.

Sincerely,

WEST TRAVIS COUNTY PUA

TRANSFER FROM BB&T OPERATING MM TO BB&T IMPACT MM

ITEM C

CCNG DEVELOPMENT COMPANY, L.P.

13453 HIGHWAY 71 WEST
BEE CAVE, TEXAS 78738

July 29, 2016

***Via Regular Mail and
Certified Mail Return Receipt Requested***

Lower Colorado River Authority
3700 Lake Austin Boulevard
Austin, Texas 78703
Attn: Manager WaterCo

***Via Regular Mail and
Certified Mail Return Receipt Requested***

Don Rauschuber
General Manager
West Travis County Public Utility Agency
12117 Bee Cave Road, Bldg. 3, Suite 120
Bee Cave, Texas 78738

Re: Utility Facilities Acquisition Agreement between the
Lower Colorado River Authority and CCNG Development Company, L.P. dated
November 19, 1999, as amended (the "UFAA")
Default Notice and Demand for Payment of \$1,224,620.00 in Reimbursable Costs for
Spanish Oaks Sections I, II, IIB, IIIB, IIIC and Verde Trails

Gentlemen:

As you know, CCNG Development Company, L.P. ("CCNG") and the Lower Colorado River Authority ("LCRA") are parties to the referenced UFAA. Pursuant to the UFAA, CCNG agreed to build at its own expense the required Internal Facilities to be located within the CCNG Tract, and then subsequently convey those Internal Facilities to the LCRA upon completion of the construction. The LCRA agreed to acquire and reimburse CCNG for the actual costs incurred by CCNG for the construction of the Internal Facilities in two (2) separate closings as follows: i) seventy percent (70%) of CCNG's costs would be reimbursed upon the conveyance of the facilities to the LCRA, and ii) the remaining thirty percent (30%) would be paid to CCNG when certain criteria are satisfied pursuant to Article 10.02 of the UFAA. The rights to collect these Reimbursable Costs are now owned by Synchro Realty, L.L.C. ("Synchro"), 11505 Development Company (11505), and Spanish Oaks Master Builder, L.P. ("SOMB"), affiliates of CCNG (collectively hereinafter referred to as the "CCNG Parties"). CCNG is acting as the authorized agent for Synchro, 11505 and SOMB in pursuing collection of these Reimbursable Costs owed.

This letter gives formal written notice that a Default has occurred under the UFAA. Further, this represents the CCNG Parties Demand for the thirty percent (30%) portion of the Reimbursable Costs for the Internal Facilities constructed by the CCNG Parties relative to Spanish Oaks Sections I, II, IIB, IIIB, IIIC, and Verde Trails, as outlined in Section 10.02 of the UFAA. The total amount currently owed to the CCNG Parties for the thirty percent (30%) portion of the Reimbursable Costs corresponding to those six (6) phases of the CCNG Tract is \$1,224,620.00. The CCNG Parties hereby demand payment in full for these Reimbursable Costs, as required pursuant to the UFAA.

Pursuant to the UFAA, the CCNG Parties constructed the Internal Facilities for Spanish Oaks Sections I, II, IIB, IIIB, IIIC and Verde Trails, and the LCRA accepted the conveyance of these Internal Facilities and paid the seventy percent (70%) portion of the Reimbursable Costs.

The closing dates, the amounts representing 100% of the Reimbursable Costs, 70% of the Reimbursable Costs already paid, and the amounts representing the thirty (30%) portion of the Reimbursable Costs to be paid, plus interest, are set forth below.

Spanish Oaks Section	100% - Total Reimbursement	Date 70 % Paid	70% Reimbursement Paid	30% Reimbursement to be Paid	Accrued Interest Due on 30% Reimbursement	Total Due	
Section I (I1505)	2,242,383	10/25/02	1,654,681	582,703	44,550	627,253	Exhibit B
Verde Trails (SOMB)	101,207	10/3/03	71,021	30,186	2,032	32,218	Exhibit C
Section II (I1505)	218,869	11/25/03	156,111	62,758	4,223	66,982	Exhibit D
Section II B (I1505)	321,557	12/14/05	227,731	93,826	6,314	100,140	Exhibit E
Section III B (Synchro)	929,138	2/27/07	662,820	266,318	17,922	284,240	Exhibit F
Section III C (Synchro)	365,771	12/28/07	259,158	106,612	7,175	113,787	Exhibit G
TOTAL	\$4,178,925		\$3,031,521	\$1,142,404	\$82,216	\$1,224,620	

The remaining thirty percent (30%) Reimbursable Costs were calculated from the audit report backups provided to CCNG by LCRA on February 14, 2012. The total amounts are derived from calculating thirty percent (30%) of the Eligible Costs and two (2) years of interest. Copies of the audit report backups are attached hereto as Exhibits B-G.

Pursuant to Section 10.02 (b) of the UFAA, the conditions required to cause the thirty percent (30%) portion of the Reimbursable Costs to be due have occurred. Section 10.02 (b) of the UFAA reads as follows:

“LCRA will reimburse CCNG for the remaining thirty percent (30%) of CCNG’s Reimbursable Costs related to the same phase of the Internal Facilities within (30) days, following an annual review of final tax appraisal values when both the following have occurred:

- (i) the CCNG Tract has an appraised value of land and improvements thereon equal to at least ten times the amount of capital expenditures made by LCRA for the design, engineering, permitting, construction and/or acquisition of those portions on a prorata basis of the Regional Facilities and the Internal Facilities necessary to serve the CCNG Tract (this appraised value to capital expenditures ratio is intended to correlate to the ten-to-one assessed value to debt ratio contemplated by the Texas Administrative Code, title 30, section 293.47(a)(1)); and,
- (ii) eighty percent (80%) of all living unit equivalents (“LUEs”) projected to be served by any previously constructed phases of the Treated Water Distribution System and the Wastewater Collection Facilities, purchased from CCNG by the LCRA, have connected to the System and are receiving retail water and wastewater service from the LCRA.”

Both of these criteria have been satisfied, as follows:

Appraised Value

- The total appraised value within Municipal Utility Districts No. 6 and No. 8 alone is approximately \$536 million, as evidenced by the TCAD certified tax statements for 2015 which are included in Exhibit A attached hereto.
- The uncertified value for the two districts in 2016 is \$640.7 million.
- According to the LCRA audit report, the total dollars spent on the Internal Facilities is \$12.7 million.
- Despite multiple prior requests, we have not received from the LCRA or the WTCPUA the proposed allocation related to the total dollars spent on the Regional Facilities. Unless the LCRA or the WTCPUA can demonstrate that CCNG's pro rata share of the Regional Facilities exceeds \$51.4 million (based upon the 2016 uncertified values), the data outlined herein satisfies the conditions necessary for the remaining thirty percent (30%) to be due and payable under the UFAA.

Connectivity

The connectivity percentages by lot of the various Sections which are receiving retail water and wastewater service from the LCRA/WTCPUA are summarized below:

<u>Section</u>	<u>Total Lots</u>	<u>Connected Lots</u>	<u>% Connected</u>
Section I	94	82	87.2%
Verde Trails	20	17	85.0%
Section II	16	14	87.5%
Section IIB	26	21	80.8%
Section IIIB	15	13	86.7%
Section IIIC	10	8	80.0%

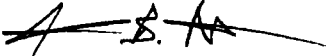
The CCNG Parties are hereby providing written notice to the LCRA and the WTCPUA that a "Default" has occurred under the UFAA for: i) failing to communicate with the CCNG Parties about our multiple request to receive from the LCRA or the WTCPUA the proposed allocation related to the total dollars spent on the Regional Facilities; ii) failing notify CCNG Parties that the criteria from "an annual review of final tax appraisal values" has triggered the obligation to pay the CCNG Parties the thirty percent (30%) portion of the Reimbursable Costs; and iii) failing to pay the CCNG Parties the remaining thirty percent (30%) portion of the Reimbursable Costs plus interest within thirty (30) days following the date the criteria for triggering the obligation to pay the CCNG Parties had occurred, as required pursuant to Article X of the UFAA.

In addition, this letter represents the CCNG Parties "Demand" for the LCRA or the WTCPUA to pay the CCNG Parties the thirty percent (30%) portion of the Reimbursable Costs equal to \$1,224,620.00, as required pursuant to Article X of the UFAA.

We look forward to receiving your payment for the amounts due for the thirty percent (30%) portion of the Reimbursable Costs as outlined herein.

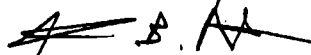
Respectfully,

Synchro Realty, L.L.C.


Daniel B. Porter
Manager

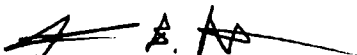
11505 Development Company

SOMB, Inc.
General Partner


Daniel B. Porter
Manager

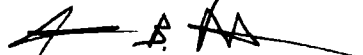
Spanish Oaks Master Builder, L.P.

SOMB, Inc.
General Partner


Daniel B. Porter
Manager

CCNG Development Company, L.P.

CCNG Realty, L.P.
General Partner


Daniel B. Porter
Chairman and CEO

c: James Rader (LCRA)
Doug Kilday (GDHM)
Will Douglas (CCNG)
Jack Creveling (CCNG)

ITEM D

SECTION 00 62 76

APPLICATION FOR PAYMENT FORM

Contractor's Application for Payment No.

FIVE (5)

Contract Time:	<u>150</u>	Days	Project No.:	<u>23008</u>
Elapsed Time:	<u>120</u>	Days	Period:	<u>12/1/16</u> To: <u>12/31/16</u>
Project Name:	<u>Spillman Pond Liner</u>		Engineer:	<u>The Wallace Group</u>
Owner:	<u>West Travis PUA</u>		Contractor:	<u>Austin Engineering Co., Inc.</u>

1.	Original Contract Amount.....	\$	1,082,000.00
2.	Owners Change Orders Thru No. 1-2.....	\$	67,630.95
3.	Total Current Contract Amount	\$	1,149,630.95
4.	Total Completed To Date	\$	468,230.95
5.	Total Materials Stored To Date	\$	111,070.00
6.	Total Completed And Stored To Date	\$	579,300.95
7.	Retainage (5% Of Line 6)	\$	28,965.05
8.	Total Completed, Less Retainage	\$	550,335.90
9.	Less Amount Of Previous Estimates	\$	509,836.50
10.	Amount Due This Application	\$	40,499.40

11.	Balance To Finish, Plus Retainage (Line 3 - Line 6)	\$	570,330.00
12.	Percent Completed To Date (Line 6 : Line 3)	\$	50.39%

Contractor's Certification

The undersigned Contractor certifies that to the best of its knowledge: (1) all previous progress payments received from Owner on account of Work done under the Contract have been applied on account to discharge Contractor's legitimate obligations incurred in connection with Work covered by prior Applications for Payment; (2) title of all Work, materials and equipment incorporated in said Work or otherwise listed in or covered by this Application for Payment will pass to Owner at time of payment free

By: <u>Austin Keller</u>	Date:
Austin Keller, Project Manager, Austin Engineering Co., Inc.	12/30/2016

Payment of:	\$ <u>40,499.40</u>	<u>SW</u>
	(Line 10 or other - attach explanation of the other)	
Recommended	<u>[Signature]</u>	<u>12/29/2016</u>
	(Engineer)	(Date)
Payment of:	\$	
	(Line 10 or other - attach explanation of the other amount)	
is approved by:		
	(Owner)	(Date)

Contractor: Austin Engineering Co., Inc.
P. O. Box 342349
Austin, Texas 78734-2349
Phone: (512)327-1464 FAX (512) 327-1765

INVOICE

Estimate Number: **FIVE (5)**

Invoice No: **16697**

Estimate Date: **12/30/2016**

Owner: WEST TRAVIS COUNTY P.U.A.
12117 BEE CAVES ROAD
BEE CAVE, TEXAS 78738

Original Contract Amount: **\$1,082,000.00**
Change Orders 67,630.95
Contract Amount **\$1,149,630.95**

Project: **SPILLMAN EFFLUENT HOLDING POND LINER REPLACEMENT**

AECO Client No. **65**

AECO Job No. **16019**

ITEM	DESCRIPTION	QTY	UNIT	UNIT PRICE	AMOUNT	PREVIOUS		CURRENT		TOTAL		% COMPL
						QTY	AMOUNT	QTY	AMOUNT	QTY	AMOUNT	
1	GENERAL CONDITIONS											
1.01	MOBILIZATION, BONDING, INSURANCE & OTHER INCIDENTALS (10% MAX)	1.0	LS	\$ 60,000.00	\$ 60,000.00	55%	\$ 33,000.00	0%	\$ -	55%	\$ 33,000.00	55%
1.02	SWPPP	1.0	LS	\$ 15,000.00	\$ 15,000.00	71%	\$ 10,650.00	0%	\$ -	71%	\$ 10,650.00	71%
1.03	TRENCH SAFETY PLAN	1.0	LS	\$ 1,500.00	\$ 1,500.00	100%	\$ 1,500.00	0%	\$ -	100%	\$ 1,500.00	100%
1.04	TRAFFIC CONTROL, SIGNS, BARRICADES & PLAN	1.0	LS	\$ 1,000.00	\$ 1,000.00	100%	\$ 1,000.00	0%	\$ -	100%	\$ 1,000.00	100%
TOTAL GENERAL CONDITIONS					\$ 77,500.00		\$ 46,150.00		\$ -		\$ 46,150.00	60%
2	SITE WORK											
2.01	ACCESS SITE ROADWAY MODIFICATIONS & MAINTENANCE	1.0	LS	\$ 60,000.00	\$ 60,000.00	20%	\$ 12,000.00	0%	\$ -	20%	\$ 12,000.00	20%
2.02	SITE CLEARING/MOWING, TREE/BRUSH REMOVAL, GRADING, FINAL RESTORATION, SEEDING/SODDING & IRRIGATION	1.0	LS	\$ 28,000.00	\$ 28,000.00	85%	\$ 23,800.00	0%	\$ -	85%	\$ 23,800.00	85%
2.03	FENCING REMOVAL & INSTALLATION	1.0	LS	\$ 45,000.00	\$ 45,000.00	0%	\$ -	0%	\$ -	0%	\$ -	0%
2.04	UTILITY POT-HOLING & INVESTIGATION	1.0	LS	\$ 3,500.00	\$ 3,500.00	100%	\$ 3,500.00	0%	\$ -	100%	\$ 3,500.00	100%
TOTAL SITE WORK					\$ 136,500.00		\$ 39,300.00		\$ -		\$ 39,300.00	29%
3	POND IMPROVEMENTS											
3.01	EXISTING LINER SYSTEM AND SELECT POND APPURTENANCES REHAB AND DEMOLITION	1.0	LS	\$ 77,000.00	\$ 77,000.00	0%	\$ -	0%	\$ -	0%	\$ -	0%
3.02	FINISH GRADING AND COMPACTION OF LINER BEDDING MATERIAL	1	LS	\$ 25,000.00	\$ 25,000.00	0%	\$ -	0%	\$ -	0%	\$ -	0%
3.03	PROVIDE AND INSTALL ADDITIONAL LINER BEDDING MATERIAL TO ACHIEVE 6" MINIMUM DEPTH	3,800.0	TN	\$ 25.00	\$ 95,000.00	0%	\$ -	0%	\$ -	0%	\$ -	0%
3.04	GEOCOMPOSITE GAS/VENTILATION STRIPS & INSTALLATION	1	LS	\$ 38,000.00	\$ 38,000.00	0%	\$ -	0%	\$ -	0%	\$ -	0%
3.05	NEW 40 MIL HDPE LINER SYSTEM	1	LS	\$ 175,000.00	\$ 175,000.00	0%	\$ -	0%	\$ -	0%	\$ -	0%
TOTAL POND IMPROVEMENTS					\$ 410,000.00		\$ -		\$ -		\$ -	0%

Contractor: Austin Engineering Co., Inc.
P. O. Box 342349
Austin, Texas 78734-2349
Phone: (512)327-1464 FAX (512) 327-1765

INVOICE

Estimate Number: **FIVE (5)**

Invoice No: **16697**

Estimate Date: **12/30/2016**

Owner: WEST TRAVIS COUNTY P.U.A.
12117 BEE CAVES ROAD
BEE CAVE, TEXAS 78738

Original Contract Amount: **\$1,082,000.00**
Change Orders 67,630.95
Contract Amount **\$1,149,630.95**

Project: **SPILLMAN EFFLUENT HOLDING POND LINER REPLACEMENT**

AECO Client No. **65**

AECO Job No. **16019**

ITEM	DESCRIPTION	QTY	UNIT	UNIT PRICE	AMOUNT	PREVIOUS		CURRENT		TOTAL		%
						QTY	AMOUNT	QTY	AMOUNT	QTY	AMOUNT	COMPL
4	UTILITY WORK/IMPROVEMENTS											
4.01	INSTALL PERMANENT BURIED 12" GATE VALVES	2.0	EA	\$ 4,000.00	\$ 8,000.00	100%	\$ 8,000.00	0%	\$ -	100%	\$ 8,000.00	100%
4.02	RETROFIT/CONSTRUCT RECIRCULATION LIFT STATION & FORCE MAIN	1	LS	\$ 30,000.00	\$ 30,000.00	0%	\$ -	0%	\$ -	0%	\$ -	0%
	TOTAL UTILITY WORK/IMPROVEMENTS				\$ 38,000.00		\$ 8,000.00		\$ -		\$ 8,000.00	21%
5	ELECTRICAL/CONTROL/SCADA											
5.01	ELECTRICAL/CONTROL/SCADA	1.0	LS	\$ 80,000.00	\$ 80,000.00	0%	\$ -	0%	\$ -	0%	\$ -	0%
	TOTAL ELECTRICAL/CONTROL/SCADA				\$ 80,000.00		\$ -		\$ -		\$ -	0%
6	ADDITIVE/ALTERNATE BID ITEMS #1											
6.01	INSTALL AND MAINTAIN 12" AND 15" TEMPORARY FRAC TANK FILL & DISCHARGE PIPING	1.0	LS	\$ 30,000.00	\$ 30,000.00	100%	\$ 30,000.00	0%	\$ -	100%	\$ 30,000.00	100%
6.02	TEMPORARY PIPING CONNECTIONS TO EXISTING BURIED PIPING	2	EA	\$ 6,500.00	\$ 13,000.00	100%	\$ 13,000.00	0%	\$ -	100%	\$ 13,000.00	100%
6.03	INSTALL & MAINTAIN 15 TEMPORARY FRAC STORAGE TANKS (21,000 GAL/EACH; 300,000 GAL MIN TOTAL), 3" TEMPORARY FILL PIPING, 3" ELECTRICALLY ACTUATED BUTTERFLY VALVES, 4" LEVER OPERATED BUTTERFLY VALVES, TEMPORARY CONTAINMENT OR FULL-TIME TANK MONITORING/SUPERVISION, ALL FITTINGS/APPURTENANCES	1	LS	\$ 140,000.00	\$ 140,000.00	100%	\$ 140,000.00	0%	\$ -	100%	\$ 140,000.00	100%
6.04	SELECT ELECTRICAL FOR ADDITIVE/ALTERNATE BID ITEMS	1	LS	\$ 157,000.00	\$ 157,000.00	95%	\$ 149,150.00	0%	\$ -	95%	\$ 149,150.00	95%
	TOTAL ADDITIVE/ALTERNATE BID ITEMS #1				\$ 340,000.00		\$ 332,150.00		\$ -		\$ 332,150.00	98%
	CHANGE ORDER NO. 1 - ADDITIVE/ALTERNATE BID ITEM #2											
A	INSTALL NEW 60 mil HDPE MEMBRANE LINER SYSTEM IN LIEU OF 40 mil HDPE LINER	1.0	LS	\$ 25,000.00	\$ 25,000.00	0%	\$ -	0%	\$ -	0%	\$ -	0%
	TOTAL CHANGE ORDER NO. 1				\$ 25,000.00		\$ -		\$ -		\$ -	0%

Contractor: Austin Engineering Co., Inc.
P. O. Box 342349
Austin, Texas 78734-2349
Phone: (512)327-1464 FAX (512) 327-1765

INVOICE

Estimate Number: **FIVE (5)** Invoice No: **16697**

Estimate Date: **12/30/2016**

Owner: WEST TRAVIS COUNTY P.U.A.
12117 BEE CAVES ROAD
BEE CAVE, TEXAS 78738

Original Contract Amount: **\$1,082,000.00**
Change Orders 67,630.95
Contract Amount **\$1,149,630.95**

Project: **SPILLMAN EFFLUENT HOLDING POND LINER REPLACEMENT**


AECO Client No. **65**

AECO Job No. **16019**

ITEM	DESCRIPTION	QTY	UNIT	UNIT PRICE	AMOUNT	PREVIOUS		CURRENT		TOTAL		% COMPL
						QTY	AMOUNT	QTY	AMOUNT	QTY	AMOUNT	
CHANGE ORDER NO. 2 - MONTHLY COSTS REGARDING FRAC TANK WORK												
A	MONTHLY RENTAL ON FRAC TANK & LINE (DEC)	1.0	LS	\$ 32,125.00	\$ 32,125.00	0%	\$ -	100%	\$ 32,125.00	100%	\$ 32,125.00	100%
B	MONTHLY RENTAL ON FRAC TANK & LINE (1/2 NOV)	1.0	LS	\$ 16,062.50	\$ 16,062.50	0%	\$ -	100%	\$ 16,062.50	100%	\$ 16,062.50	100%
C	SWPPP INSPECTIONS FOR 1.5 MONTHS	1.0	LS	\$ 600.00	\$ 600.00	0%	\$ -	100%	\$ 600.00	100%	\$ 600.00	100%
D	STORAGE COSTS OF THE HDPE LINER FIXED COST	1.0	LS	\$ 1,635.00	\$ 1,635.00	0%	\$ -	100%	\$ 1,635.00	100%	\$ 1,635.00	100%
E	BOND PREMIUM 2% OF TOTAL (\$50,42250)	1.0	LS	\$ 1,008.45	\$ 1,008.45	0%	\$ -	100%	\$ 1,008.45	100%	\$ 1,008.45	100%
F	CREDIT FOR FRAC TANK FLOATS IN LIEU OF BW RELAYS & RADIOS	-1.0	LS	\$ 8,800.00	\$ (8,800.00)	0%	\$ -	100%	\$ (8,800.00)	100%	\$ (8,800.00)	100%
TOTAL CHANGE ORDER NO. 2					\$ 42,630.95		\$ -		\$ 42,630.95		\$ 42,630.95	100%
TOTAL CONTRACT					\$ 1,149,630.95		\$ 425,600.00		\$ 42,630.95		\$ 468,230.95	41%

Submitted by:

AUSTIN ENGINEERING CO., INC.


Project Manager

Date: 12/30/2016

Approved for Payment:

THE WALLACE GROUP

Title:

Date:

Total Work Complete to Date \$ 468,230.95

Stored Materials \$ 111,070.00

Less 5% Retainage \$ (28,965.05)

Subtotal \$ 550,335.90

Less Previous Pay Request \$ 509,836.50

Amount Due This Estimate **\$ 40,499.40**

Accepted by Owner:

WEST TRAVIS COUNTY P.U.A.

Date:



Murfee Engineering Company

January 4, 2017

Mr. Scott Roberts, President and
Board of Directors
West Travis County Public Utility Agency
12117 Bee Cave Road, Building 3, Suite 120
Bee Cave, Texas 78738

**Re: WTCPUA SH71 1280 Elevated Storage Tank CIP Project
Contractor's Application for Payment No. 9**

President Roberts:

Enclosed is Application for Payment No. 9 from Phoenix Fabricators & Erectors, Inc. for the period ending December 27th, 2016. We have reviewed this application for payment, conducted site inspections, reviewed testing reports, concur with the items and quantities, and recommend approval and payment in the amount of forty-nine thousand, one hundred fifteen dollars and zero cents (\$49,115.00). This application for payment is broken down as follows:

Original Contract Price:	\$2,700,346.00
Total Completed and Stored to Date:	\$2,163,199.55
Retainage (5%):	\$108,159.98
Previous Payment	\$132,867.00
Amount Due this Application:	\$49,115.00
Balance to Finish, Plus Retainage:	\$645,306.43

If you have any questions, please do not hesitate to contact me.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Dennis Lozano', is written over a blue circular stamp.

Dennis Lozano, P.E.
Project Manager

cc: Curtis Wilson, P.E. – WTCPUA
George Murfee, P.E. – MEC
MEC File No. 11051.78C

Contractor's Application For Payment No. NINE

		Application Period: 11/29/16 to 12/27/16	Application Date: December 27, 2016
To (Owner): West Travis County Public Utility Agency 12117 Bee Cave Road, Suite 120 Bee Cave, TX 78738	From (Contractor): Phoenix Fabricators & Erectors, Inc. P.O. Box 631541 Cincinnati, Ohio 45263-1541	Via (Engineer) Murfee Engineering Co., Inc. 1101 Capital of Texas HWY South Austin, TX 78746	
	Project No.: PFE# 3532		
Project: 1MM Gallon Composite Elevated Water Storage Tank	Owner's Contract No.: SH71 1280 Elevated Storage Tank	Engineer's Project No.: 11051.78B	

Application for Payment

Change Order Summary

Approved Change Orders		
Number	Additions	Deductions
TOTALS	0.00	0.00
NET CHANGE BY CHANGE ORDERS		0.00

1.	ORIGINAL CONTRACT PRICE	\$	2,700,346.00
2.	Net change by Change Order	\$	0.00
3.	CURRENT CONTRACT PRICE (Line 1 ± 2)	\$	2,700,346.00
4.	TOTAL COMPLETED AND STORED TO DATE (Column F on Progress Estimate)	\$	2,163,199.55
5.	RETAINAGE:		
a.	5 % × \$ 2,163,199.55 Work Completed	\$	108,159.98
6.	AMOUNT ELIGIBLE TO DATE (Line 4 - Line 5c)	\$	2,055,039.57
7.	LESS PREVIOUS PAYMENTS (Line 6 from prior Application)	\$	2,005,924.57
8.	AMOUNT DUE THIS APPLICATION	\$	49,115.00
9.	BALANCE TO FINISH, PLUS RETAINAGE (Column G on Progress Estimate + Line 5 above)	\$	645,306.43

Contractor's Certification

The undersigned Contractor certifies that: (1) all previous progress payments received from Owner on account of Work done under the Contract have been applied on account to discharge Contractor's legitimate obligations incurred in connection with Work covered by prior Applications for Payment; (2) title of all Work, materials and equipment incorporated in said Work or otherwise listed in or covered by this Application for Payment will pass to Owner at time of payment free and clear of all Liens, security interests and encumbrances (except such as are covered by a Bond acceptable to Owner indemnifying Owner against any such Liens, security interest or encumbrances); and (3) all Work covered by this Application for Payment is in accordance with the Contract Documents and is not defective.

is recommended by:

(Construction Inspector)

is recommended by:

(Engineer)

1-4-17
(Date)

is approved by:

(Owner)

(Date)

Phoenix Fabricators & Erectors, Inc.

By: _____ Date: 12/27/16

Tamara J. Schaub A/R Manager

Lump Sum Progress Estimate

Contractor's Application

For (contract): 1MM Gallon Composite Elevated Water Storage Tank West Travis County Public Utility Agency				Application Number: NINE				
Application Period: 11/29/16 to 12/27/16				Application Date: 12/27/16				
A		B	Work Completed		E	F		G
Item		Scheduled Value	C	D	Materials Presently Stored (not in C or D)	Total Completed and Stored to Date (C + D + E)	% (F) B	Balance to Finish (B - F)
Specification Section No.	Description		From Previous Application (C +	This Period				
E1	LOC Restoration 7996 SY @ .50	3,998.00				\$0.00	0%	\$3,998.00
E2	Silt Fence 941' @ 3.00	2,823.00	\$2,399.55			\$2,399.55	85%	\$423.45
E3	Stabilized Construction Entrance	1,000.00	\$850.00			\$850.00	85%	\$150.00
E4	Rock Berm 70' @ 20.00	1,400.00	\$1,400.00			\$1,400.00	100%	\$0.00
W1	Engineering/Bonds/Insurance	135,000.00	\$135,000.00			\$135,000.00	100%	\$0.00
	Foundation	235,000.00	\$230,300.00	\$4,700.00		\$235,000.00	100%	\$0.00
	Concrete Shaft	680,000.00	\$680,000.00			\$680,000.00	100%	\$0.00
	Tank Fabrication/Delivery	462,000.00	\$462,000.00			\$462,000.00	100%	\$0.00
	Tank Erection	250,000.00	\$250,000.00			\$250,000.00	100%	\$0.00
	Tank Painting	175,000.00	\$70,000.00	\$17,500.00		\$87,500.00	50%	\$87,500.00
W2	16" Water Line 640' @ 200.00	128,000.00	\$126,000.00			\$126,000.00	98%	\$2,000.00
W3	12" Solenoid Control Valve	40,000.00	\$39,200.00			\$39,200.00	98%	\$800.00
W4	2-Way Master Meter	23,000.00				\$0.00	0%	\$23,000.00
W5	Drain Valve/Fire Hydrant	12,000.00	\$11,760.00			\$11,760.00	98%	\$240.00
W6	Chemical Fee Infrastructure	\$20,000.00	\$19,000.00			\$19,000.00	95%	\$1,000.00
W7	20" Tie-In	\$32,000.00	\$32,000.00			\$32,000.00	100%	\$0.00
W8	Demolition-Old Pump Station/Piping	\$5,000.00	\$4,750.00			\$4,750.00	95%	\$250.00
W9	Demolition-Pneumatic Tank/Piping	\$14,000.00		\$700.00		\$700.00	5%	\$13,300.00
W10	Tree Removal	\$5,000.00	\$5,000.00			\$5,000.00	100%	\$0.00
W11	Tree Protection	\$2,000.00	\$1,800.00			\$1,800.00	90%	\$200.00
	Totals	\$2,227,221.00	\$2,071,459.55	\$22,900.00	\$0.00	\$2,094,359.55	94%	\$132,861.45

Lump Sum Progress Estimate

Contractor's Application

For (contract): 1MM Gallon Composite Elevated Water Storage Tank West Travis County Public Utility Agency				Application Number: NINE				
Application Period: 11/29/16 to 12/27/16				Application Date: 12/27/16				
A		B	Work Completed		E	F		G
Item		Scheduled Value	C	D	Materials Presently Stored (not in C or D)	Total Completed and Stored to Date (C + D + E)	% (F) B	Balance to Finish (B - F)
Specification Section No.	Description		From Previous Application (C +	This Period				
S1	Gravel Drive 792SY @ 20.00	\$15,840.00				\$0.00	0%	\$15,840.00
S2	Security Fence 1071' @ 32.00	\$34,272.00				\$0.00	0%	\$34,272.00
S3	Grading-Quality Control 4453' @ 1.00	\$4,453.00				\$0.00	0%	\$4,453.00
EL1	Electrical Work	\$320,000.00				\$0.00	0%	\$320,000.00
O1	Off-Site 12" Solenoid Control Valve	\$35,000.00			\$12,500.00	\$12,500.00	36%	\$22,500.00
TS1	Trench Safety 640' @ 4.00	\$2,560.00	\$2,540.00			\$2,540.00	99%	\$20.00
AL1	16" Westfall Static Mixer	\$20,000.00	\$20,000.00			\$20,000.00	100%	\$0.00
AL2	Guardian Safety Station	\$5,000.00	\$5,000.00			\$5,000.00	100%	\$0.00
AL3	In-Tank Hydrodynamic Mixer	\$36,000.00		\$28,800.00		\$28,800.00	80%	\$7,200.00

PARTIAL WAIVER OF LIEN

Contractor: Phoenix Fabricators & Erectors, Inc.
182 S. County Road 900 East
Avon, IN 46123

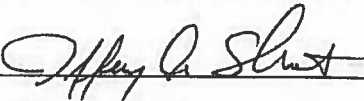
Owner: West Travis County Public Utility Agency
12117 Bee Cave Road, Suite 120
Bee Cave, TX 78738

Project: 1MM Gallon Composite Elevated Water Storage Tank
SH71 1280 Elevated Storage Tank
11051.78B
PFE# 3532

The undersigned Contractor warrants it has been paid to date for all labor, services, equipment, and materials furnished for the above referenced project, through the period ending 11/28/16. The undersigned hereby waives and releases any right to Mechanic's Lien, any state or federal statutory bond rights, any private bond rights, any claim for payment or payment rights for persons in the undersigned position.

The undersigned warrants that it has paid in full all laborers, subcontractors, material men and suppliers for all work, equipment, materials, and services provided to the referenced project through the period ending 11/28/16.

Phoenix Fabricators & Erectors, Inc.

By: 

Title: President

Date: 12/27/16

CONTRACTOR'S AFFIDAVIT OF BILLS PAID

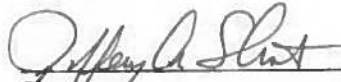
I hereby certify that the work performed and the material supplied to date, as shown on Pay Estimate No. 9 represent the actual value of accomplishment under the terms of the Contract (and all authorized changes thereto) between the undersigned and West Travis County Public Utility Agency relating to the: SH71 1280 Elevated Storage Tank Project.

I also certify that payments, less applicable retention, have been made through the period covered by previous payments received from the West Travis County Public Utility Agency to (1) all my subcontractors, and (2) for all materials and labor used in or in connection with the performance of the Contract. I further certify that I have complied with Federal, State and Local tax laws, Workers Compensation laws, Social Security laws and Unemployment compensation laws insofar as applicable to the performance of this Contract.

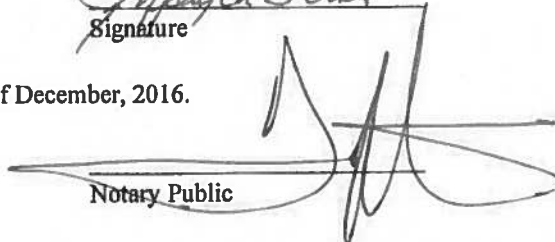
State of: Indiana
County of: Hendricks

Contractor: Phoenix Fabricators & Erectors, Inc.

Name Jeffery A. Short
Title President


Signature

Subscribe and sworn before me this 27th day of December, 2016.


Notary Public

My Commission Expires: 8/26/22

WAIVER OF LIEN

Contractor: Phoenix Fabricators & Erectors, Inc.
182 S. County Road 900 East
Avon, IN 46123

Subcontractor: Keystone Construction, Inc.
P.O. Box 90398
Austin, TX 78709

Owner: West Travis County Public Utility Agency
12117 Bee Cave Road, Suite 120
Bee Cave, TX 78738

Project: 1MM Gallon Composite Elevated Water Storage Tank
SH71 1280 Elevated Storage Tank
11051.78B
PFE# 3532

The undersigned Subcontractor warrants it has been paid to date for all labor, services, equipment, and materials furnished for the above referenced project, through the period ending 11/28/16. The undersigned hereby waives and releases any right to Mechanic's Lien, any state or federal statutory bond rights, any private bond rights, any claim for payment or payment rights for persons in the undersigned position.

The undersigned warrants that it has paid in full all laborers, subcontractors, material men and suppliers for all work, equipment, materials, and services provided to the referenced project through the period ending 11/28/16.

Keystone Construction, Inc.

By: Don Hart

Title: V. Pass

Date: 1-2-17

V. STAFF REPORTS

ITEM A
GENERAL MANAGER'S
REPORT

General Manager's Report
January 19, 2017.

1. Developed and executed Exit Agreement with USW Utility Group and new Agreement with AVR for customer service and billing software services. Ongoing meetings and conference calls with USWUG and AVR to ensure as smooth a transition as possible. Notification letter also mailed and emailed to customers.
2. Developed job descriptions for Customer Service Supervisor, Operations Manager, Accountant, Plant Operator, and Meter Reader.
3. Continuing search and interviews for Engineering Technician, Operations Manager, Plant Operators, and Meter Readers. Hired two Plant Operators on January 10, 2017: Haskell Ballew and Brandum Peirson. Will start week of January 23, 2017. Have final candidates for Engineering Technician and Operations Manager. Offers to be made in one-two weeks.
4. Lizzy Black started as Executive Assistant (PUA Employee) on December 19, 2016.
5. All payroll functions have been brought in-house.
6. Scheduling meetings in first quarter with Developers with whom we have reimbursement agreements (9 total). Plan is to confirm total amounts owed and timing of payments for financial and rate planning. Meetings held in December, 2016 and January, 2017:
 - a. CCNG.
 - b. Bee Cave Oaks Development, Inc.
 - c. Hays Reunion Ranch.
7. Capital planning meeting with Murfee Engineering, N. Heddin and staff on December 20, 2016 to develop master Capital, CIP and Developer Reimbursement planning spreadsheet for financial and rate planning. Next meeting January 23, 2017. Goal is to correlate all project costs, schedules and funding sources, and prioritize projects. Planning to present/summarize at Special Board Meeting work session in second quarter.
8. Meeting with TCEQ on December 12, 2016 to review Spillman Liner project and request time extension. Formal letter requesting 180 day extension was submitted on December 21, 2016. Approval received from TCEQ on January 4, 2017.
9. Proposal to City of Bee Cave for effluent irrigation on Staadts Tract, 6 acres across from Galleria on Bee Cave Parkway, not accepted by City Council. Meeting with Travis Askey on January 13, 2017 to follow-up and also discuss opportunity to apply effluent to City Park.

10. CCNG Effluent Operations and Engineering kick-off meeting held January 12, 2017.
11. Customer Service training scheduled for staff through Fathom Corporate Training in Austin on January 24, 2017 (J. Riechers and D. Rendon) and March 14, 2017 (Stefanie Flores).
12. Meeting with Jay Hanna and team on Parten Ranch on January 4, 2017 to review NSSA and engineering details. Also discussed Highpointe Agreement including reservation fee payment amounts and timing.
13. Meeting with Greg Perrin and Mark Keyes of DSWSC on January 5, 2017 to review wholesale agreement between WTCPUA and DSWSC. Concurrence on interpretation of Agreement. DSWSC has obtained approval for 500 acre-feet of groundwater supply. They will be looking for 1MGD of supply from PUA in 2024.
14. On January 10, 2017 authorized Scott Wetzel of CP and Y (Wallace Group) to put together Design Services Task Order for Water Tank and Pump Station Repainting (Items 33-73 in 2015 Wallace Group Study Report – Construction Cost = \$1,514,250). Task Order will be on February, 2017 agenda.
15. Meeting with Kevin Granger of Peloton Commercial Real Estate on January 11, 2017 to discuss long term office space needs. Customer Service Office Lease expires October 1, 2018 and Administrative Office Lease expires May 31, 2019.
16. Received three proposals for installing Operations security system at Water Treatment Plant. NSS Net Solutions provided best cost proposal of \$34,845.
17. Completed review and finalization of Second Amendment to City of Dripping Springs Agreement for Blue Blazes Property. Will be on February Agenda.
18. Developed Document Retention Policy.
19. Updating Budget Policy and developing Purchasing Policy.

Mr. Castleberry's Direct Line: (512) 322-5856
Email: bcastleberry@lglawfirm.com

December 21, 2016

Mr. Shawn Stewart
TCEQ Austin Regional Office – MC R11
P.O. Box 13087
Austin, Texas 78711-3087

VIA E-MAIL & REGULAR MAIL

Re: TLAP No. WQ00135594-001
RN 102077989; Investigation Nos.: 1296023 & 1355588
SPILLMAN TREATED EFFLUENT STORAGE POND, COOPER HAWKS
DRIVE, AUSTIN, TEXAS 78738, TRAVIS COUNTY TEXAS

Dear Mr. Stewart:

This letter is submitted on behalf of the West Travis County Public Utility Agency (“WTCPUA”) to request an extension of time to comply with the above-referenced Notice of Violation (“NOV”). Specifically, based on our meeting with you and your staff on December 12, 2016, this letter is submitted to request a revised final compliance date of June 30, 2017. In support of its request, the WTCPUA shows the following:

Procedural History

On or about January 4, 2016, the TCEQ inspected the WTCPUA’s Spillman Treated Effluent Storage Pond, which was alleged to have been leaking, and WTCPUA subsequently received a TCEQ Exit Interview Form alleging that the liner for such Pond may have been compromised. On or about January 25, 2016, the WTCPUA responded to the TCEQ with a plan of action to replace the pond liner (the “Project”) with an estimated completion date of August 22, 2016. On or about July 22, 2016, an extension request was filed requesting an extension of deadlines for the Contract Document Execution, Notice to Proceed and the Construction of the Project be complete on or before December 21, 2016. The extension request was approved by TCEQ on or about August 16, 2016.

Subsequent Actions Taken by WTCPUA

Two contractors bid on the Project, and the lowest bid received was from Austin Engineering Co., Inc. in the amount of \$1,082,000. There was a significant difference between the two bids, and the low bid was approximately 50% over the Engineer’s estimate. Often under

such circumstances projects are re-advertised and re-bid to try and obtain better pricing. Nevertheless, the Project was awarded and notice to proceed was issued, with a substantial completion date of December 21, 2016. Further, WTCPUA has already obtained the new pond liner, frac-tanks and temporary piping necessary to start the Project.

The Project duration is projected as four (4) weeks. However, to implement the Project, the Spillman Pond must first be fully drained and the Bohls Pond must be at a low enough elevation to provide sufficient capacity to receive all effluent from the treatment systems without pumping to the Spillman Pond. Otherwise, a risk of the Bohls Pond spilling arises. As we discussed at our meeting, for a sufficient factor of safety, the Bohls Pond level needs to be at approximately the 32 - 36 ft-msl elevation.

Unfortunately, while the WTCPUA has taken steps to drain the Spillman Pond to a level suitable for the liner to be replaced, which has been achieved for a few months now, the level of the Bohls Pond has not dropped sufficiently to provide adequate storage capacity to implement the Project.

Path Forward

The WTCPUA is requesting an extension of time to complete the Project. Due to the many factors that determine the Bohls Pond level, including influent rates, wet weather flows, and TLAP disposal and 210 user demand, it is difficult to pinpoint a precise completion date. However, the WTCPUA clearly wants to complete the Project as soon as possible since it is incurring approximately \$35,000 in monthly frac-tank and temporary piping rental costs.

As we discussed during our December 12, 2016 meeting, the WTCPUA has taken a number of additional steps to facilitate expediting the Project notwithstanding weather conditions, and those are enumerated below.

1. The WTCPUA notified its 210 and TLAP customers that effluent will be provided at no charge from October 17, 2016 to December 15, 2016. Additional time of "free" effluent may be provided depending on conditions.
2. The WTCPUA retained an engineering consultant to develop plans and specifications, and obtain quote(s) from contractors to install approximately 400 linear feet of 12" pipe to directly connect the Bohls Pond to an effluent line that feeds Spanish Oaks golf course. This will facilitate approximately 300,000-400,000 gallons of effluent irrigation per day. Currently, effluent delivery to Spanish Oaks is far less than this daily volume since effluent has to be routed through Spillman Pond and the existing frac-tanks.
3. The WTCPUA submitted a proposal to the City of Bee Cave, which was on the City's December 13, 2016 agenda, for the City to license us to apply

effluent to six (6) acres across from the Hill Country Galleria on Bee Cave Parkway adjacent to our Bohls plant. The City owns the land and the Galleria has an easement to apply storm water irrigation to this property. WTCPUA Staff representative Keith Parkan has already contacted Boyd Guthrie of TCEQ to obtain written confirmation that we will be able to apply effluent to this land when it is not raining and no sooner than 72 hours after a rain event. As I understand it, this will facilitate approximately 150,000 gallons of effluent irrigation per day.

4. The WTCPUA has implemented improvements to its effluent irrigation system at the Bohls plant which will give it the ability to apply approximately 10,000-25,000 gallons per day to grounds at this facility, including repairing the pump and electrical system that provides irrigation to the right of way at the entrance to the plant, installing irrigation pipe to irrigate the pond berms, and installing irrigation tubing to facilitate irrigation tubing of all yard areas around the plant.

As described above, the WTCPUA continues to make significant progress towards completing the pond liner replacement, but respectfully requests an extension until June 30, 2017 to complete the Project. Should you have any questions about this matter, please feel free to contact me at your earliest convenience.

Sincerely,

 by permission 

Brad B. Castleberry

BBC/lmr

cc: Mr. Michael Daniels, P.E., TCEQ
Mr. Robert Pugh, General Manager, West Travis County PUA
Mr. David Klein, *of the firm*

COPY

Bryan W. Shaw, Ph.D., P.E., *Chairman*
Toby Baker, *Commissioner*
Jon Niemann, *Commissioner*
Richard A. Hyde, P.E., *Executive Director*



RECEIVED
JAN 09 2017
Lloyd Gosselink

TEXAS COMMISSION ON ENVIRONMENTAL QUALITY

Protecting Texas by Reducing and Preventing Pollution

January 4, 2017

CERTIFIED MAIL #9489 0090 0027 6009 9680 33
RETURN RECEIPT REQUESTED

Mr. Robert Pugh, General Manager
West Travis County PUA
12117 Bee Cave Rd.
Bldg. 3, Suite 120
Austin, TX 78738

Re: Acceptance of Revised Compliance Schedule for:
Lake Pointe WWTF, Travis County, Texas
RN102077989, TCEQ ID No.:WQ0013594-001, Investigation Nos.:1296023 &
1355588 & 1383303

Dear Mr. Pugh:

The Texas Commission on Environmental Quality (TCEQ) Austin Region Office has completed a review of the compliance schedule that was submitted December 21, 2016, for resolving the alleged violation dealing with pond liner replacement. The alleged violation was noted during the investigation of the above-referenced facility conducted on December 4 and 21, 2015. The revised compliance schedule appears to identify necessary corrective actions for the alleged violation. You should submit compliance documentation to our office by June 30, 2017, demonstrating that the alleged violation has been resolved. Please be advised, though, that if we determine during follow-up monitoring that you are not working towards compliance or the problem has escalated, further enforcement action will be considered.

The Texas Commission on Environmental Quality appreciates your assistance in this matter and anticipates that you will resolve the alleged violation as required in order to protect the State's environment. If you or members of your staff have any questions, please feel free to contact Mr. Michael Daniels in the Austin Region Office at (512) 339-2929.

COPY

Mr. Robert Pugh
Page 2
January 4, 2017

Sincerely,

A handwritten signature in black ink, appearing to read "Shawn Stewart". The signature is fluid and cursive, with the first name "Shawn" and last name "Stewart" clearly distinguishable.

Shawn Stewart
Water Program Work Leader
Austin Region Office

SS/mjd

cc: Mr. Brad Castleberry, Attorney at Law, Lloyd Gosselink, 816 Congress Ave., Suite 1900,
Austin, TX 78701 (include enclosure)

Enclosure: Summary of Investigation Findings

Summary of Investigation Findings

LAKE POINTE WWTP

Investigation #

1383303

Investigation Date: 12/30/2016

, TRAVIS COUNTY,

Additional ID(s): WQ0013594001
R13594001**OUTSTANDING ALLEGED VIOLATION(S)**

Track No: 594535 Compliance Due Date: 06/30/2017

30 TAC Chapter 305.125(1)

PERMIT WQ0013594001, Page 10, Item 1

Operational Requirement

Alleged Violation:

Investigation: 1296023

Comment Date: 02/03/2016

Failed to adequately operate and maintain disposal systems. Tears were observed in the liner for the treated effluent holding pond located at the Falconhead Golf Course.

Investigation: 1355588

Comment Date: 08/11/2016

A file review investigation was conducted on August 11, 2016, to determine compliance status of this alleged violation. On July 22, 2016, the WTCPUA sent a letter to TCEQ requesting an extension to its pond liner replacement schedule. Four of the work tasks to replace the pond liner have been completed. The extension to the implementation schedule is: Contract Document Execution by August 21, 2016; Notice to Proceed by August 22, 2016; and Construction (Substantial Completion) by December 21, 2016. The TCEQ approves the requested implementation schedule.

Investigation: 1383303

Comment Date: 12/30/2016

A file review was conducted on December 30, 2016, to determine compliance status of this alleged violation. On December 21, 2016, the WTCPUA sent a letter to TCEQ requesting an extension to its pond liner replacement schedule. The project has been bid and the contract has been awarded. The new pond liner, frac tanks and temporary piping has been obtained. The extension is needed to complete draining the Spillman Ranch treated effluent storage pond, provide sufficient capacity in the Bohls Effluent Storage Pond, mobilize the equipment, remove the existing liner, and install the new liner. The WTCPUA expects to complete the project by June 30, 2017. The extension request is approved.

Recommended Corrective Action: Repair or replace the liner. On January 25, 2016, WTCPUA provided a liner replacement preliminary project implementation schedule, which was modified on July 22, 2016, and on December 21, 2016. The TCEQ Austin Region Office should be notified when the project has been completed and if there are any significant changes in the schedule.

Lloyd Gosselink Attorneys at Law - October 2016 Invoice Summary

<u>Invoice #:</u>	<u>PDF:</u>	<u>Services Rendered Through (Date)</u>	<u>Matter:</u>	<u>Invoice Total:</u>
97478299	3319-01	30-Nov-16	General Operations	\$17,240.93
97478315	3319-07	30-Nov-16	Spanish Oaks	\$13,234.58
97478312	3319-10	30-Nov-16	Fire Phoenix Litigation	\$53.00
97478344	3319-11	30-Nov-16	General Employment	\$259.50
97478308	3319-12	30-Nov-16	TCEQ Regulatory Compliance	\$758.68
97478323	3319-13	30-Nov-16	SER Review	\$317.14
97478316	3319-14	30-Nov-16	Wholesale Rate Appeal	\$511.50
97478327	3319-24	30-Nov-16	Blue Blazes SER Review	\$416.50
97478314	3319-27	30-Nov-16	Severn Trent Litigation	\$7,915.31
97478328	3319-28	30-Nov-16	City of Dripping Spring	\$1,225.00
97478329	3319-29	30-Nov-16	Dripping Springs WSC	\$514.50
97478335	3319-36	30-Nov-16	Dripping Springs ISD NSSA	\$170.00
97478340	3319-42	30-Nov-16	Grumbles SER Review	\$34.50
97478281	3319-43	30-Nov-16	TCMUD 12 Litigation	\$1,095.00
97478343	3319-46	30-Nov-16	Highpointe SER Review	\$786.62
		<u>30-Nov-16</u>	<u>Total for the Month of November 2016</u>	<u>\$44,532.76</u>

3.0 PROJECT PRIORITIZATION & COST

The table below provides a summary of the projects identified in the previous sections of this report. These projects have been prioritized by The Wallace Group in the order of importance that we believe would best serve the PUA. In addition, we have compiled an opinion of probable construction cost (OPCC) associated with these projects as well to serve as budgeting and decision aids to the PUA. Appendix-B through Appendix-E contains a detailed cost breakdown for the various equipment and construction costs listed in the table. In addition, Appendix-F through Appendix-H contains the conditions assessment evaluation reports for the various infrastructure and equipment contained at the 11 sites.

2015
Task order

PROJECT	PROJECT PRIORITY			OPCC
	HIGH	MED	LOW	
UPLANDS WTP OFFICE/TRIDENT BUILDING				
Architectural Improvements:				
1. Exterior Office/Trident Building Finishes & Refurbishing	✓			\$266,000
2. Weatherproof & Paint Door/Window Frames & Joints	✓			
3. Replace Office Ceiling Tiles & Install Scrim Faced Insulation	✓			
4. Paint Office Hallways, Replace Wall Base & Frame/Cover Maps	✓			
5. Repair/Replace Trident Room Metal Wall Liner Panels	✓			
6. Repair/Replace Restroom Floor/Wall Tiling	✓			
7. Install Scrim Faced Insulation Over Existing Trident Room Ceiling	✓			
8. Replace Floor Vinyl Composite Floor Tile and/or Lighting	✓			
9. Refurbish and/or Replace Existing Interior Doors & Windows	✓			
10. Replace/Upgrade Manufactured Laboratory Casework	✓			
11. Install Additional Housekeeping/Janitorial Storage	✓			
12. Miscellaneous Facility/Building Enhancements/Improvements	✓			
Electrical Equipment Improvements:				
13. Replace Existing Corroded Electrical Cabinets and Enclosures	✓			\$103,000
14. Install Emergency, Office and Trident Room Lighting with LED	✓			
15. Replace Trident Unit #2 Magnetrol Control Unit	✓			
16. Install Interlock On Trident Room Exhaust/Ventilation Fan Unit	✓			
Mechanical & Plumbing Improvements:				
17. Replace Trident Room Exhaust/Ventilation Fan Unit	✓			\$381,000
18. Replace Office Area HVAC with Variable Refrigerant Flow System	✓			
19. Replace Plumbing Fixtures and Hangers with Non-Corrosion Type	✓			
Trident Treatment Basins & Equipment:				
20. Blast and Recoat Piping & Exterior of Trident Treatment Tanks	✓			\$195,500
21. Clean and Recoat Steel Hand Rail At Tanks/Basins	✓			
22. Power Wash and Clean Existing Aluminum Grating/Catwalks	✓			
23. Inspect Interior of Trident Treatment Tanks		✓		
TOTAL				\$945,500

overflow flappers are in good condition. The tank interior has corrosion on the ladder, pipes and heavy staining on the walls below the high water level. The tank exterior is in good overall condition and has debris buildup on the roof. The foundation is in fair condition, displaying signs of cracking, spalling and tank corrosion along the base. In addition, the aircraft warning lights are damaged and are missing the globes and bulbs. All security features are in place. We recommend that the interior of this tank be recoated, as well as the corrosion along the foundation base. A structural engineer should also inspect the foundation to determine the extent of the deterioration associated with the concrete cracking and spalling.

PROJECT	PROJECT PRIORITY			OPCC
	HIGH	MED	LOW	
RAW WATER INTAKE PUMP STATION (ORIGINAL)				
Architectural Improvements:				\$455,000
24. Install Roof Insulation and Membrane For Energy Efficiency	✓			
25. Replace Roof Hatches with Skylights For Better Illumination	✓			
26. Paint Ceiling and Walls to Improve Room Illumination	✓			
27. Seal or Epoxy Coat Floors	✓			
Electrical, Mechanical & Process Equipment:				
28. Upgrade Electrical Service from Pumps to Transformer		✓		\$455,000
29. Install Industrial Vapor-Tight LED Type Light Fixtures	✓			
30. Install Allen Bradley Compact Logix PLC	✓			
31. Air Condition Space with Filtered Recirculation System	✓			
32. Blast and Recoat Pumps, Piping, and Related Equipment	✓			
BEE CAVE PUMP STATION & STORAGE TANK				
New Pump Station:				\$92,500
33. New Pump Station – Blast and Repaint Piping & Appurtenances	✓			
34. Install Battery Powered Emergency and Exit Lights	✓			
35. Install Allen Bradley Compact Logix PLC	✓			
36. Replace Logo on 500,000 Gallon Ground Storage Tank	✓			
Old Pump Station:				By Others
37. Old Pump Station – Renovate/Recommission for Elevated Tank		✓		
COUNTY LINE PUMP STATIONS & STORAGE TANKS				
38. Clean, Remove Staining, and Seal CMU Block	✓			\$487,500
39. HSC Pump Station – Blast/Recoat Pumps, Piping & Equipment	✓			
40. VT Pump Station – Blast/Recoat Pumps, Piping & Equipment	✓			
41. Install Battery Powered Emergency and Exit Lights	✓			
42. Install Allen Bradley Compact Logix PLC	✓			
43. 200,000 Gal. Tank – Recoat Interior & Exterior; Replace Light	✓			
44. 500,000 Gal. Tank – Recoat Interior & Exterior	✓			
45. Hydropneumatic Tank – Recoat Interior & Exterior	✓			
CRYSTAL MOUNTAIN ELEVATED STORAGE TANK				
46. Repair Overflow Flapper; Power Wash Exterior Bowl	✓			\$41,000
47. Install Allen Bradley Compact Logix PLC	✓			
DRIPPING SPRINGS ELEVATED STORAGE TANK				
48. Recoat Tank Interior to Address Roof Beam Corrosion		✓		\$268,500
49. Power Wash Tank Roof to Remove Debris			✓	
50. Remove Trees From Perimeter Fence For Security Improvement	✓			
51. Install Allen Bradley Compact Logix PLC	✓			
HAMILTON POOL PUMP STATION & STORAGE TANK				
52. Install Battery Powered Emergency and Exit Lights	✓			\$20,750
53. Install Allen Bradley Compact Logix PLC	✓			
54. Replace/Repair Torn Tank Vent Screen	✓			

TANK PROJECTS
33-73

PROJECT	PROJECT PRIORITY			OPCC
	HIGH	MED	LOW	
HOME DEPOT PUMP STATION & STORAGE TANKS				
55. Paint Building Trim, Doors, Flashing, etc.	✓			\$50,500
56. Blast and Recoat Pumps, Piping, and Related Equipment	✓			
57. Install Allen Bradley Compact Logix PLC	✓			
58. All Tanks – Blast and Recoat Tank Fill & Overflow Piping/Valves	✓			
59. North Tank – Blast and Recoat Tank Interior		✓		\$132,500
60. Middle Tank – Blast and Recoat Tank Exterior Roof		✓		
61. South Tank – Blast and Recoat Tank Interior		✓		
62. Hydropneumatic Tank – Blast and Recoat Tank Interior & Exterior		✓		
SEVEN OAKS PUMP STATION & PNEUMATIC TANK				
63. Blast and Recoat Pumps, Piping, and Related Equipment	✓			\$30,000
64. Install Canopy and Lighting for Exterior Control Panel Rack	✓			
65. Hydropneumatic Tank – Blast and Recoat Tank Interior & Exterior	✓			
SOUTHWEST PUMP STATION & STORAGE TANK				
66. Blast and Recoat Pumps, Piping, and Related Equipment	✓			\$275,000
67. Blast and Recoat Tank Interior and Exterior	✓			
68. Install Allen Bradley Compact Logix PLC	✓			
69. Clean MCC Panel and Equipment		✓		
ZYLE STORAGE TANK				
70. Conduct Structural Engineering Evaluation of Tank Foundation	✓			\$23,500
71. Replace/Repair Aircraft Warning Lights and Globes	✓			
72. Blast and Recoat Tank Interior		✓		\$90,000
73. Power Wash Tank Roof			✓	\$2,500
GRAND TOTAL				\$2,914,750

Estimated Developer Reimbursement Schedule

RWP January 12, 2017

Estimated Payments

<u>Developer</u>	<u>Total Amount Due</u>	<u>2017</u>	<u>2018</u>	<u>2019</u>	<u>2020</u>	<u>2021</u>	<u>2022</u>	<u>Comments</u>
Bee Cave Oaks Development, Inc.	\$	465,014	\$	53,697	\$	411,317		Commercial, two office Buildings, \$305,531 in 2019. Rest residential
CCNG, Inc.	\$	9,073,478	\$1,731,697	\$4,137,155	\$	3,204,625		New Sections, East Village (\$835,528), Hillside (\$2,341,968) estimated 2018; West Village (\$2,114,735) estimated 2019.
Driftwood Water Co., Inc.	\$	150,566						
Forest City Sweetwater Limited Partnership and Lazy Nine MUD	\$	3,173,540						
Glen Rose Development Corporation	\$	15,257						
Hays Reunion Ranch, LP	\$	929,058	\$	154,843	\$	154,843	\$	Sawyer Ranch Road Pipeline Phases I, II and III, \$159,554; Phase IV, \$862,916.
Southwest Travis County, LTD	\$	231,667						
Wilson Family Communities	\$	229,194						Sawyer Ranch/Darden Hill Water Line, Phases 1 and 3, \$80,528; Sawyer Ranch Road Pipeline, Phase 2 \$82,918; Phases 1 and 3 of Sawyer Ranch/Darden Hill Water Line, \$65,748.
Totals:	\$	13,802,760	\$1,886,540	\$4,291,998	\$	3,359,468	\$	154,843 \$ 154,843 \$ 154,843

ITEM C
ENGINEER'S REPORT


MURFEE ENGINEERING COMPANY, INC.

Texas Registered Firm No. F-353
1101 Capital of Texas Hwy., South, Bldg, D
Austin, Texas 78746
(512) 327-9204

M E M O R A N D U M

DATE: January 13th, 2017

TO: BOARD OF DIRECTORS – WEST TRAVIS COUNTY PUBLIC UTILITY AGENCY

FROM: Dennis Lozano, P.E. 

RE: Capital Improvements Plan Projects Update – January 2017

CC: Rob Pugh – WTCPUA
Curtis Wilson – WTCPUA
George Murfee, P.E.

MEC File No.: 11051.10

A written summary of all CIP projects that are currently underway is provided below with a tabular summary following.

Raw Water Line No. 2

Following the meeting held on December 8th, we are preparing a resubmittal to address certain changes the USFWS requested in the organization of the package. We are continuing to explore the LCRA mitigation bank credit option, as the USFWS reiterated their expectation that mitigation will be provided. Alternative mitigation options are also being evaluated. A follow-up meeting will be scheduled promptly after resubmittal and an aerial video exhibit is being prepared to demonstrate clearly the de minimus impact the preliminary planning has achieved through the alignment selection.

Wastewater Permit Major Amendment

A staff-initiated minor amendment to correct some errors included in the final issued permit is in process and as soon as that process concludes the Major Amendment will be filed.

1080 Bee Cave Transmission Main Preliminary Engineering

A meeting with City of Bee Cave staff to discuss potential alignment alternatives was held and definitive feedback was received. A preferred alignment has been developed and is currently being vetted as well

as constructability evaluated. Property research is focusing on the preferred alignment to identify easement needs.

SH71 20" Transmission Main

Closeout of the project has been initiated and all three jurisdictions overseeing erosion and sedimentation control have been contacted to schedule final inspections.

Beneficial Water Recycling Project – The exception request and sampling protocol were submitted and follow-up contact with TCEQ staff was made. Dialogue has been established and official comments response will be provided by TCEQ staff prior to the statutory deadline in the begi March

1340 Transmission Main

Jurisdictional approvals are anticipated this month. Easement procurement is ongoing and nearing completion.

1340 Elevated Storage Tank

Design is underway and site plan preparation for Hays County complete.

SH71 1280 Elevated Storage Tank

Construction is on schedule. Mechanical and yard piping work is ongoing and the electrical subcontractor has mobilized and electrical work is underway.

CIP PROJECTS SUMMARY TABLE

Project	Phase	Original Budget	Total Change Orders	Revised Budget*	Percent Complete	Estimated Completion Date	
						Phase	Project
Raw Water Line No. 2	Permitting	\$495,560	\$52,900	\$548,460	76%	Q2 2016	Q3 2018
Wastewater Permit Major Amendment	Pre-submittal	\$51,000	N/A	\$70,000	90%	Q1 2017	2018-2019
1080 Bee Cave Transmission Main	Preliminary Engineering	\$103,500	N/A	N/A	11%	Q2 2017	Q4 2018
West Bee Cave PS – Pump No. 4 Addition	Warranty	\$144,990	None	\$157,141	100%	Q4 2016	Q4 2016
SH71 20" Transmission Main	Construction	\$5,100,000	\$249,781	\$3,560,551	99%	Q1 2017	Q1 2017
Beneficial Water Recycling Project	Permitting & Design	\$475,000	N/A	\$475,000	31%	Q4 2017	Q3 2018
1340 Transmission Main	Permitting & Design	\$230,730	N/A	\$230,730	84%	Q1 2017	Q3 2018
1340 Elevated Storage Tank	Permitting & Design	\$363,000	N/A	\$363,000	18%	Q2 2018	Q3 2019
SH71 1280 EST	Construction	\$1,700,000	None	\$1,900,000	82%	Q1 2017	Q1 2017

- - Does not include legal or other consulting fees unless they are sub-consultants to MEC

2.

Operational Report- December-2016

Items currently being dealt with:

- Liner Replacement for Spillman Pond is underway.
- Effluent ponds are currently at (55%) as of as of January 12, 2017

Ongoing Activities:

Low pressure calls other than system low pressure are due to usage or have been for customer side PRV's.

Line Maintenance

- Line Extension on Hamilton Pool Road
- 3" PRV at Sawyer Ranch and Darden Hill
- 1 ½" Service Line Repair at Paseo Apartment Complex
- 2 12" Taps at Lift Station #14 on the force main for chemical line
- 16" Main Line, 2" ARV Repair 1826
- Sewer Line Repair on Lomita
- 3" Meter Install on Four Star Blvd.
- ARV repair 16" main on 1826
- 24" Main Repair Midwood and 71
- 12" Main Repair 290 and Fitzhugh
- 8" Main Repair South 290 and Oliver
- Double Service Line Repair on Gandara Bend
- 4" Gate Valve at Water Plant

Maintenance and Meter Installation Activities:

- Meter installed (new customer) - 2 – 5/8", 4 – ¾", 1 – 1", 0 – 1 ½", 2 -2" , 1 – 3"
- Meters replaced – 4 – 5/8", 1– ¾", 1 – 1", 0 - 1 ½"
- Meter Register Replaced – 25 – 5/8", 16 – ¾"
- Customer Service Inspections – 11
- Leak Checks –5
- Accuracy Checks – 6
- Locate Meter – 6
- Turn on – Turn off – 45
- Re-Reads – 10
- Install FH Meters – 1



Operational Report- December-2016

- Remove FH Meters – 0
- Repair Curb Stops – 0
- Service Cut Off –
- Stuck or Vacant Meters – 0
- Data Log – 9
- Low/High Pressure - 6
- Various Customer Complaints Not Listed Above – 0
- Colored water Complaints (Blue Water/Green Water/Rusty Water) – 2
- Water Taste and Odor Complaints, this is normally due to not enough use to keep the water fresh in that area – 0

WTCPUA Effluent Irrigation Effluent Ponds Weekly Operating Report					
Week of:	January	12	2017		
Average Wastewater Flows:	Lake Pointe	0.373	MGD		
	Bohls	0.300	MGD		
	Combined	0.673	MGD		
Vertical Feeboard Reading:	Spillman	22.5	ft	Read Date:	1/12/2016
Pond Level Reading:	Bohls	40.5	ft		
Current Pond Elevation:	Spillman	1034.0	ft, msl	0%	
	Bohls	975.0	ft, msl	91%	
Combined Capacity:	55%				
Target Capacity:	75%				
Milestone Combined Capacity Levels:					
	Minimum Level	10%			
	Mandatory Irrigation	If combined capacity exceeds target by more than	5%		
	Trigger Level	73%			
	Maximum Management Level	75%			
	Permit Level	100%			
Current Operating Conditions:	Spanish Oaks Converts to Raw Wa				
Target Maintenance Flows:					
	Spanish Oaks:	0.400	MGD		
	Falconhead:	0.550	MGD		
	Falconhead POA:	0.050	MGD		
Previous Week Usage:					
		Effluent			Raw Water
	Spanish Oaks:	0.042	MGD	REQUIRED TAKE NOT MET	0.059 MGD
	Falcon Head:	NO READ	MGD	OK	-
	Falcon Head POA:	0.007	MGD	REQUIRED TAKE NOT MET	-
	Total	0.048			
By:	Curtis Jeffrey		Date:	1/12/2016	

Operational Report- December-2016

Water Treatment Plant Summary

Gallons Produced in MG	168.305
Peak Daily Demand in MG	6.393
Adverage Daily Demand in MG	5.429
Flushed, Leaks, & Other in MG	2.211
NTU average in mg/l	0.19

Wastewater Treatment Plant Summary

Lake Pointe WWTP	Permit	Actual	
Avg. Flow	0.675	0.395	58.5% permitted
Max. Flow		0.519	Flow
Avg. CBOD	5	1.7	
Avg. TSS	5	1	
Avg. Turb.	3	1.1	
Avg. NH3	2	0.48	
Avg. Fecal	20	1	

Bohls WWTP	Permit	Actual	
Avg. Flow	0.325	0.245	75.5% permitted
Max. Flow		0.354	Flow
Avg. CBOD	5	2.3	
Avg. TSS	5	6.25	
Avg. Turb.	3	4.5	
Avg. NH3	2	0.55	
Avg. Fecal	20	4.71	

Effluent Pond Pumpage	December	37 days
	Effluent To Daily Average	
Falcon Head Golf		
Falcon Head HOA	1.322	0.036
Spanish Oaks Golf	0.275	0.007

MAINTENANCE REPORT

DECEMBER 2016

Water Treatment Plant

- Unit #3 Waste Valve – Replaced failing motor.
- ACH Room Fan – Exhaust fan currently out of service. Fan has been repaired.
- Blower #1 & #2 – Troubleshoot Blower failures; as of now they appear to be linked to the backwash valve on Filter #4. In process.
- Replaced sump pump in High Service Pump Building.

Raw Water Intake

- Pump #1 – Troubleshoot “pump” failure; found failure was due to faulty pressure switch. After further investigation, we found the is pump unable to meet head demand.
- Pump #2 – Shaft is severely damaged due to improper packing procedures in the past. Working with three different contractors to have pump pulled and repaired.
- Pump #3 - Currently down due to motor issues; motor will be taken to Hamilton during removal of pump #2.
- Working with Smith pump to pull pump #1 for service, and relocate motor #1 onto pump #3. At that time, we will take motor #3 in for an evaluation.
- Created SOP for running Pumps 4&5 in manual.
- Responded to and resolved multiple communication failures.

Pump Station #1

- Replaced bad electrical outlet.

Pump Station #2

- Winterization.

Pump Station #3

- Power Failure – Power had been restored upon arrival.

Pump Station #7

- Winterization.

Lift Station #11

- Pulled pumps 1&2 each once to clear debris.

Lift Station #14

- Pump #4 - Currently down. Pump to be delivered December 14th. Repaired pump ran approx. four cycles and failed, it has been sent back to Smith for repair under warranty.
- Spare 100hp Pump – Has been installed.
- Spare 50hp Pump – We have received spare pump.

Lakepoint WWTP

- Effluent Pump #1 – Troubleshoot pump failure; found motor shorted to ground.
- Carbon Filter Blower - Troubleshoot Blower failure; found motor faulted and burned feed wires. Replaced Blower motor (spare) and burnt wire then returned to service.
- Influent Pumps – Cleared trash from all pumps and check valves.
- Effluent Pump #2 – Replaced packing on pump.
- Effluent Pump Station – Trouble shot complete power failure resulting from bad fuse in main disconnect. After replacing fuse, we found no other problems, and returned site to service.
- Pulled influent pumps to clear debris.

Bohls WWTP

- Researched adequate power at pond for installation of aerator. Turned over information to manager for approval.
- Winterization.
- Restored power to control panel at ponds edge.

Spillman Pond

- Have had two-man crew pumping daily.
- Approximately 85% of the pond is clear of debris.

CC&G Meter

- Finished moving water meter components onto new rack for Water Meter.

West Travis County Public Utility Agency Billing Summary Report



**This report contains estimates of monthly billing data based upon information at the time of report preparation. This report is not based upon audited information. Additionally, monthly billing adjustments may not be reflected on this report. This is prepared for trending purposes only. For final billed revenues net of adjustments, please see the monthly bookkeepers report.*



Summary of Retail Billed Revenues Water Utility

Bee Cave District	November	December	January	February	March	April	May	June	July	August	September	October	November	12 Month Total
	10/14-11/13	11/14-12/11	12/12-01/12	01/13-02/10	2/11-3/10	3/11-04/08	4/09-5/09	5/10-6/8	6/9-7/8	7/10-8/9	8/10-9/09	9/10-10/7	10/8-11/8	
Commercial Water	\$ 23,905	\$ 18,711	\$ 19,619	\$ 19,750	\$ 22,116	\$ 22,080	\$ 20,256	\$ 26,251	\$ 30,383	\$ 42,134	\$ 36,112	\$ 28,666	\$ 29,799	\$ 339,781
Commercial Base Water	20,429	20,422	20,395	20,854	20,854	21,007	21,253	20,955	20,979	21,085	21,102	21,123	21,560	\$ 272,019
Fire Hydrant Water	1,581	1,252	998	788	449	790	796	1,121	1,681	6,096	7,510	9,389	9,946	\$ 42,398
Multi Use Water	47,982	44,172	44,494	43,215	48,322	45,885	45,667	48,330	45,525	48,292	47,092	47,430	47,704	\$ 604,111
Residential Base Water	97,177	97,168	97,578	113,899	114,282	114,646	114,948	115,208	115,614	115,799	115,778	115,705	118,096	\$ 1,445,897
Residential Water	189,860	112,382	114,040	119,381	156,698	163,193	154,885	155,030	340,311	617,939	376,263	314,945	351,055	\$ 3,165,984
Irrigation Water	69,203	42,265	32,428	31,666	41,061	29,996	34,254	44,759	66,017	154,297	95,339	94,449	104,500	\$ 840,234
TOTALS	\$ 450,137	\$ 336,373	\$ 329,552	\$ 349,553	\$ 403,782	\$ 397,597	\$ 392,058	\$ 411,655	\$ 620,510	\$ 1,005,642	\$ 699,197	\$ 631,708	\$ 682,660	\$ 6,710,424

Bee Cave South	November	December	January	February	March	April	May	June	July	August	September	October	November	12 Month Total
	11/3-12/2	12/3-12/31	1/1-1/29	1/30-2/29	3/1-3/29	3/30-04/29	4/30-5/31	6/01-6/29	6/30-7/28	7/29-8/29	8/30-9/28	9/29-10/28	10/29-11/29	
Commercial Water	\$ 18,713	\$ 16,580	\$ 19,519	\$ 22,114	\$ 20,756	\$ 21,011	\$ 19,086	\$ 25,769	\$ 28,011	\$ 27,478	\$ 30,519	\$ 23,134	\$ 21,207	\$ 293,896
Commercial Base Water	5,163	5,196	5,589	5,466	5,855	5,868	6,063	6,111	6,039	6,021	6,071	6,156	6,239	\$ 75,838
Fire Hydrant Water	3,424	1,812	1,865	2,039	1,991	4,327	1,544	1,584	5,847	6,517	4,565	8,993	4,724	\$ 49,231
Residential Base Water	59,134	58,925	73,889	73,953	74,062	74,237	74,274	74,273	74,341	74,393	74,576	74,730	75,075	\$ 935,862
Residential Water	52,393	48,115	55,556	68,254	69,199	74,394	63,632	88,329	203,458	144,325	95,280	103,287	90,187	\$ 1,156,409
TOTALS	\$ 138,827	\$ 130,628	\$ 156,417	\$ 171,826	\$ 171,864	\$ 179,837	\$ 164,599	\$ 196,066	\$ 317,695	\$ 258,735	\$ 211,011	\$ 216,299	\$ 197,432	\$ 2,511,235

Homestead / Meadow Fox	November	December	January	February	March	April	May	June	July	August	September	October	November	12 Month Total
	10/21-11/19	11/20-12/21	12/22-1/20	1/21-2/19	02/20-3/21	3/22-4/22	4/21-5/19	5/20-6/20	6/21-7/20	7/21-8/18	8/19-9/19	9/20-10/19	10/20-11/18	
Residential Base Water	\$ 5,552	\$ 4,270	\$ 5,577	\$ 6,751	\$ 6,753	\$ 6,753	\$ 6,753	\$ 6,756	\$ 6,759	\$ 6,744	\$ 6,754	\$ 6,753	\$ 6,819	\$ 82,993
Residential Water	6,012	5,559	3,668	6,113	4,770	5,321	4,696	5,399	12,693	16,580	18,145	9,222	8,553	\$ 106,993
TOTALS	\$ 11,564	\$ 9,829	\$ 9,245	\$ 12,864	\$ 11,523	\$ 12,074	\$ 11,449	\$ 12,156	\$ 19,452	\$ 23,324	\$ 24,900	\$ 15,975	\$ 15,372	\$ 189,986

290 / HPR	November	December	January	February	March	April	May	June	July	August	September	October	November	12 Month Total
	10/23-11/23	11/24-12/23	12/24-1/22	1/23-2/23	2/24-3/23	3/24-04/22	04/23-5/23	5/24-6/22	6/23-7/22	7/23-8/22	8/23-9/23	9/24-10/21	10/22-11/22	
Commercial Water	\$ 3,917	\$ 3,383	\$ 2,934	\$ 3,138	\$ 3,896	\$ 3,415	\$ 3,850	\$ 4,352	\$ 5,265	\$ 5,421	\$ 5,740	\$ 4,305	\$ 4,122	\$ 53,739
Commercial Base Water	2,090	1,729	1,729	1,880	1,795	1,776	1,811	1,828	1,828	1,828	1,828	1,828	1,857	\$ 23,809
Fire Hydrant Water	2,331	1,788	3,160	8,951	6,214	7,069	6,696	11,585	417	621	536	654	531	\$ 50,553
Residential Base Water	87,643	88,140	88,382	101,104	101,935	102,721	103,473	104,224	104,745	105,454	106,338	107,082	109,829	\$ 1,311,070
Residential Water	98,348	78,039	72,202	111,382	107,863	121,648	107,332	133,369	386,986	336,481	203,183	229,418	189,654	\$ 2,175,904
Irrigation Water	8,988	5,031	2,255	3,878	5,574	11,535	22,140	39,372	31,942	53,003	31,365	35,794	20,671	\$ 271,547
TOTALS	\$ 203,316	\$ 178,110	\$ 170,661	\$ 230,334	\$ 227,277	\$ 248,164	\$ 245,302	\$ 294,729	\$ 531,183	\$ 502,810	\$ 348,991	\$ 379,082	\$ 326,664	\$ 3,886,623

GRAND TOTALS	November	December	January	February	March	April	May	June	July	August	September	October	November	12 Month Total
Commercial Water	\$ 46,534	\$ 38,674	\$ 42,072	\$ 45,003	\$ 46,768	\$ 46,507	\$ 43,192	\$ 56,373	\$ 63,658	\$ 75,033	\$ 72,372	\$ 56,105	\$ 55,128	\$ 687,417
Commercial Base Water	27,682	27,347	27,712	28,201	28,505	28,651	29,128	28,894	28,846	28,934	29,002	29,108	29,656	\$ 371,665
Fire Hydrant Water	7,336	4,852	6,023	11,779	8,653	12,186	9,037	14,290	7,945	13,235	12,610	19,036	15,201	\$ 142,182
Multi Use Water	47,982	44,172	44,494	43,215	48,322	45,885	45,667	48,330	45,525	48,292	47,092	47,430	47,704	\$ 604,111
Residential Base Water	249,506	248,503	265,426	295,707	297,032	298,357	299,447	300,461	301,458	302,390	303,446	304,269	309,819	\$ 3,775,822
Residential Water	346,614	244,095	245,465	305,130	338,530	364,556	330,545	382,128	943,447	1,115,326	692,871	656,872	639,449	\$ 6,605,029
Irrigation Water	78,191	47,297	34,683	35,544	46,634	41,531	56,394	339,488	597,200	657,107	444,330	473,530	431,164	\$ 3,283,093
TOTALS	\$ 803,843	\$ 654,940	\$ 665,875	\$ 764,577	\$ 814,446	\$ 837,672	\$ 813,409	\$ 1,348,461	\$ 2,167,165	\$ 2,420,165	\$ 1,782,638	\$ 1,768,162	\$ 1,713,025	\$ 16,554,379

FYE 2016 Budgeted Revenues

Retail Water	\$ 11,008,034
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**Summary of Retail Billed Revenues
Wastewater Utility**

Bee Cave District	November	December	January	February	March	April	May	June	July	August	September	October	November	12 Month Total
Commercial Sewer	\$ 60,875	\$ 57,781	\$ 58,481	\$ 49,362	\$ 51,816	\$ 51,571	\$ 51,722	\$ 53,369	\$ 57,038	\$ 64,401	\$ 63,944	\$ 58,168	\$ 57,210	\$ 735,738
Multi Use Sewer	\$ 60,774	\$ 57,836	\$ 59,318	\$ 55,581	\$ 61,314	\$ 58,805	\$ 58,579	\$ 61,369	\$ 58,296	\$ 61,228	\$ 59,997	\$ 60,334	\$ 60,632	\$ 774,061
Grinder Surcharge	\$ 1,000	\$ 1,000	\$ 1,000	\$ 1,000	\$ 1,000	\$ 1,000	\$ 1,000	\$ 1,000	\$ 1,000	\$ 1,002	\$ 1,000	\$ 998	\$ 1,000	\$ 13,000
Residential Sewer	\$ 142,875	\$ 130,184	\$ 130,644	\$ 166,949	\$ 176,380	\$ 174,385	\$ 173,909	\$ 173,309	\$ 183,600	\$ 188,462	\$ 184,520	\$ 181,252	\$ 204,828	\$ 2,211,297
TOTALS	\$ 265,523	\$ 246,801	\$ 249,442	\$ 272,892	\$ 290,510	\$ 285,761	\$ 285,210	\$ 289,047	\$ 299,934	\$ 315,092	\$ 309,460	\$ 300,753	\$ 323,670	\$ 3,734,096

FYE 2016 Budgeted Revenues

Retail Wastewater	\$ 2,791,104
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Summary of Retail Billed Re (Penalties & Regulatory Assessment)
Other Fees

	November	December	January	February	March	April	May	June	July	August	September	October	November
Bee Cave	57,586	58,865	49,200	52,262	41,284	42,369	42,015	38,819	40,033	41,440	27,870	17,990	18,829
Bee Cave South	4,921	3,732	3,761	2,860	2,174	1,010	1,395	1,508	1,751	4,087	4,470	2,878	2,231
Homestead / Meadow Fox	4,285	4,276	4,273	4,290	4,284	4,287	4,284	4,289	4,324	4,338	4,686	4,586	4,334
290 / HPR	17,109	11,620	8,333	7,471	5,973	5,247	5,314	6,381	4,920	9,089	12,081	7,548	8,141
TOTALS	\$ 83,900	\$ 78,493	\$ 65,566	\$ 66,883	\$ 53,715	\$ 52,914	\$ 53,008	\$ 50,998	\$ 51,029	\$ 58,955	\$ 49,107	\$ 33,002	\$ 33,535

FYE 2016 Budgeted Revenues

Other Fees	\$ 646,084
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Summary of Retail Billed Revenues

NON PUA Revenue

Hays MUD 4	November	December	January	February	March	April	May	June	July	August	September	October	November
Sewer	7,337	7,441	7,435	7,671	7,818	7,990	7,838	8,276	8,627	8,686	8,505	8,334	8,224
TOTALS	\$ 7,337	\$ 7,441	\$ 7,435	\$ 7,671	\$ 7,818	\$ 7,990	\$ 7,838	\$ 8,276	\$ 8,627	\$ 8,686	\$ 8,505	\$ 8,334	\$ 8,224

TC MUD 16	November	December	January	February	March	April	May	June	July	August	September	October	November
Sewer	18,857	16,521	17,955	19,148	21,120	21,233	20,959	21,723	22,865	23,433	23,123	23,447	23,605
TOTALS	\$ 18,857	\$ 16,521	\$ 17,955	\$ 19,148	\$ 21,120	\$ 21,233	\$ 20,959	\$ 21,723	\$ 22,865	\$ 23,433	\$ 23,123	\$ 23,447	\$ 23,605



Summary of Wholesale, Raw Water and Effluent Billed Revenues

Wholesale Water

Revenue	November 11/15-12/15	December 12/15-1/15	January 01/15-02/15	February 02/15-03/15	March 03/15-04/15	April 04/15-05/15	May 05/15-06/15	June 6/15-7/15	July 7/15-8/15	August 8/15-9/15	September 9/15-10/15	October 10/15-11/15	November 11/15-12/15
Barton Creek West	\$ 17,748	\$ 17,259	\$ 21,401	\$ 20,772	\$ 22,132	\$ 19,288	\$ 20,315	\$ 36,689	\$ 44,401	\$ 34,793	\$ 56,005	\$ 31,589	\$ 22,720
City of Dripping Springs (Headwaters)	8,085	8,085	8,085	8,085	8,085	8,085	8,085	8,087	8,556	9,748	8,771	18,017	16,427
Crystal Mountain HOA	2,657	2,690	3,626	3,989	4,415	3,584	3,724	6,999	6,269	5,557	5,443	5,121	4,152
Deer Creek Ranch	12,717	11,094	11,731	13,367	14,262	13,732	14,623	18,447	18,970	16,615	15,325	15,909	14,036
Dripping Springs WSC	39,050	35,268	41,555	36,961	41,451	39,688	42,230	52,910	53,637	42,644	42,910	51,905	47,774
Eanes ISD	1,406	1,005	1,359	1,903	1,962	2,144	1,633	2,189	2,376	1,650	2,435	1,979	1,306
Graham Mortgage	-	-	-	-	-	-	-	-	-	-	-	-	-
Hays WCID 1	36,142	35,545	35,279	31,630	34,559	32,078	33,508	53,693	63,897	41,320	44,591	41,334	34,663
Hays WCID 2	25,646	22,866	27,405	23,425	26,174	24,469	24,524	36,817	39,794	34,522	33,334	36,853	29,714
Hudson	-	-	-	-	-	-	-	-	-	-	-	-	-
Lazy Nine 1A	11,139	11,501	13,658	18,026	20,301	19,132	19,641	27,479	32,616	24,708	25,920	29,328	22,002
Masonwood	5,325	4,875	5,810	7,677	8,031	8,226	8,353	11,935	13,581	11,790	11,999	10,924	9,245
Reunion Ranch	5,197	4,118	7,346	8,434	10,182	9,322	9,887	16,357	15,601	13,399	13,928	9,525	11,712
Senna Hills	14,711	14,364	17,115	16,747	18,850	17,298	18,665	24,779	25,886	21,343	20,371	17,497	12,423
Travis County MUD 12	20,508	20,229	23,075	33,834	36,237	34,237	35,464	44,217	47,024	45,477	41,428	47,822	33,892
TOTALS	\$ 200,331	\$ 188,901	\$ 217,446	\$ 224,851	\$ 246,641	\$ 231,283	\$ 240,651	\$ 340,597	\$ 372,607	\$ 303,567	\$ 322,458	\$ 317,804	\$ 260,066

FYE 2016 Budgeted Revenues

Wholesale Water	\$ 2,750,279
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Wholesale Wastewater

Revenue	November	December	January	February	March	April	May	June	July	August	September	October	November
Masonwood Wastewater	\$ 6,705	\$ 6,547	\$ 9,747	\$ 13,053	\$ 13,220	\$ 13,116	\$ 13,539	\$ 12,483	\$ 12,282	\$ 11,790	\$ 12,886	\$ 17,642	\$ 17,260
WCID 17 Wastewater	19,488	15,380	23,259	23,135	23,902	23,586	22,188	24,082	24,307	24,849	27,600	31,210	29,764
TOTALS	\$ 26,193	\$ 21,927	\$ 33,006	\$ 36,187	\$ 37,121	\$ 36,702	\$ 35,726	\$ 36,565	\$ 36,589	\$ 36,638	\$ 40,485	\$ 48,852	\$ 47,024

FYE 2016 Budgeted Revenues

Wholesale Wastewater	\$ 285,972
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Effluent/Raw Water/Raw Water Deliver

Revenue	November	December	January	February	March	April	May	June	July	August	September	October	November
Brinker Texas (Chilis) Effluent	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	-	-	-	-	-	-	-
CCNG Effluent / Raw	3,646	11,109	17,673	19,317	23,382	-	-	-	9,885	17,398	11,479	-	-
Connel Falconhead Apts	1,093	949	1,237	1,603	1,722	-	-	-	3,580	8,224	2,022	2,022	-
Falconhead HOA (Spillman) Effluent	1,619	1,344	917	2,980	3,600	-	-	-	4,842	8,146	6,042	-	-
Fire Phoenix (Falconhead Golf) Effluent	6,640	10,168	32,513	26,775	35,678	-	-	-	95,083	26,683	28,181	9,737	-
First Star Bank Effluent	21	-	-	8	16	-	-	-	103	41	33	-	-
Lake Travis ISD Effluent / Raw	-	497	169	-	-	954	1,562	1,237	982	1,607	1,451	238	16
WTCMUD3 Raw Water Delivery Charge	-	-	452	-	-	-	-	1,260	1,915	-	1,343	1,357	604
Embrey Partners	173	127	275	1,595	1,365	-	-	-	1,114	1,582	1,122	-	-
Ash Creek Homes	510	991	259	1,874	2,199	-	-	-	1,570	1,870	3,083	1,212	-
Lakeway Dermatology	21	62	300	242	156	-	-	-	185	263	230	-	-
TOTALS	\$ 13,722	\$ 25,247	\$ 53,794	\$ 54,394	\$ 68,118	\$ 954	\$ 1,562	\$ 2,497	\$ 119,258	\$ 65,815	\$ 54,985	\$ 14,566	\$ 620

FYE 2016 Budgeted Revenues

Effluent/Raw Water	
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TOTAL	\$ 240,246	\$ 236,074	\$ 304,245	\$ 315,433	\$ 351,880	\$ 268,939	\$ 277,939	\$ 379,659	\$ 528,454	\$ 406,020	\$ 417,928	\$ 381,222	\$ 307,710
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FYE 2016 Budgeted Revenues

TOTAL Wholesale/Effluent	\$ 3,036,251
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Summary of Total Billed Revenues - PUA Revenues Only

Water Utility	October	November	December	January	February	March	April	May	June	July	August	September	October	November	12 Month Total
Retail Water	\$ 1,332,392	\$ 803,843	\$ 654,940	\$ 665,875	\$ 764,577	\$ 814,446	\$ 837,672	\$ 813,409	\$ 1,348,461	\$ 2,167,165	\$ 2,420,165	\$ 1,782,638	\$ 1,768,162	\$ 1,713,025	\$ 16,554,379
Wholesale Water	220,676	200,331	188,901	217,446	224,851	246,641	231,283	240,651	340,597	372,607	303,567	322,458	317,804	260,066	\$ 3,467,203
TOTALS	\$ 1,553,069	\$ 1,004,175	\$ 843,840	\$ 883,321	\$ 989,429	\$ 1,061,086	\$ 1,068,956	\$ 1,054,060	\$ 1,689,058	\$ 2,539,773	\$ 2,723,732	\$ 2,105,096	\$ 2,085,966	\$ 1,973,091	\$ 20,021,581

Wastewater Utility	October	November	December	January	February	March	April	May	June	July	August	September	October	November	12 Month Total
Retail Wastewater	\$ 274,089	\$ 265,523	\$ 246,801	\$ 249,442	\$ 272,892	\$ 290,510	\$ 285,761	\$ 285,210	\$ 289,047	\$ 299,934	\$ 315,092	\$ 309,460	\$ 300,753	\$ 323,670	\$ 3,734,096
Wholesale Wastewater	25,187	26,193	21,927	33,006	36,187	37,121	36,702	35,726	36,565	36,589	36,638	40,485	48,852	47,024	\$ 473,017
TOTALS	\$ 299,276	\$ 291,716	\$ 268,728	\$ 282,448	\$ 309,079	\$ 327,631	\$ 322,463	\$ 320,937	\$ 325,612	\$ 336,523	\$ 351,731	\$ 349,946	\$ 349,605	\$ 370,694	\$ 4,207,112

Other	October	November	December	January	February	March	April	May	June	July	August	September	October	November	12 Month Total
Other Fees - Retail	\$ 85,326	\$ 83,900	\$ 78,493	\$ 65,566	\$ 66,883	\$ 53,715	\$ 52,914	\$ 53,008	\$ 50,998	\$ 51,029	\$ 58,955	\$ 49,107	\$ 33,002	\$ 33,535	\$ 2,786,564
Raw Water/Effluent	\$ 50,343	\$ 13,722	\$ 25,247	\$ 53,794	\$ 54,394	\$ 68,118	\$ 954	\$ 1,562	\$ 2,497	\$ 119,258	\$ 65,815	\$ 54,985	\$ 119,258	\$ 65,815	\$ 2,407,936
TOTALS	\$ 135,669	\$ 97,622	\$ 103,740	\$ 119,360	\$ 121,277	\$ 121,834	\$ 53,867	\$ 54,570	\$ 53,495	\$ 170,287	\$ 124,769	\$ 104,092	\$ 152,260	\$ 99,350	\$ 5,194,500

TOTAL	\$ 1,988,014	\$ 1,393,513	\$ 1,216,308	\$ 1,285,129	\$ 1,419,785	\$ 1,510,551	\$ 1,445,286	\$ 1,429,567	\$ 2,068,165	\$ 3,046,582	\$ 3,200,232	\$ 2,559,133	\$ 2,587,830	\$ 2,443,135	\$ 29,423,193
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FYE 2016 Budgeted Re \$ 18,022,492



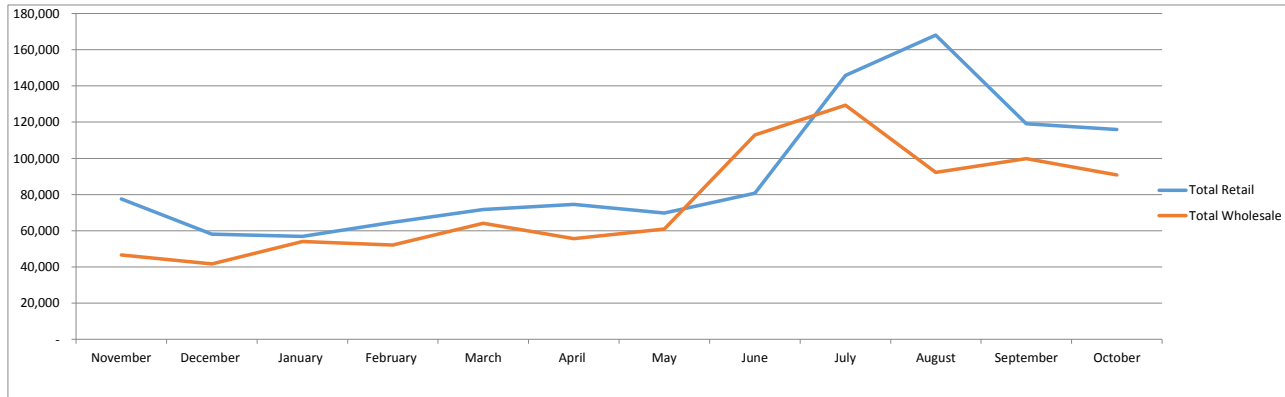
**Summary of Total Billed Consumption (1,000 Gallons)
Water Utility**

	November	December	January	February	March	April	May	June	July	August	September	October	November	12 Month Total
Bee Cave	44,887	29,586	28,907	29,093	36,252	35,098	34,139	35,279	59,049	90,062	63,674	57,535	59,693	603,254
Bee Cave South	13,139	12,081	12,693	14,927	14,717	15,941	13,777	18,387	32,078	25,867	20,047	20,551	17,753	231,958
Homestead / Meadow Fox	967	863	771	1,035	893	982	899	1,040	1,998	2,225	1,936	1,498	1,346	16,453
HPR / 290	18,566	15,619	14,439	19,552	19,789	22,480	20,927	25,986	52,768	49,930	33,474	36,382	29,248	359,160
Total Retail	77,559	58,149	56,810	64,607	71,651	74,501	69,742	80,692	145,893	168,084	119,131	115,966	108,040	1,210,825

Wholesale Water	November	December	January	February	March	April	May	June	July	August	September	October	November	12 Month Total
Barton Creek West	3,923	3,741	5,281	4,683	5,264	4,048	4,487	11,484	14,780	10,674	19,739	9,166	5,486	102,756
City of Dripping Springs (H)	-	-	-	-	-	-	-	1	223	788	325	1,690	821	3,848
Crystal Mountain HOA	319	331	674	687	866	517	576	1,952	1,645	1,346	1,298	1,204	800	12,215
Deer Creek Ranch	3,858	2,946	3,304	2,959	3,454	3,161	3,653	5,766	6,055	4,754	4,041	4,755	3,613	52,319
Dripping Springs WSC	12,519	10,823	13,642	13,373	15,953	14,940	16,401	22,539	22,957	16,639	16,792	21,812	19,324	217,714
Eanes ISD	343	175	323	462	486	560	352	578	654	359	678	736	340	6,046
Graham Mortgage	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Hays WCID 1	7,939	7,706	7,602	8,323	10,056	8,588	9,434	21,378	27,416	14,057	15,992	13,023	9,122	160,636
Hays WCID 2	5,824	4,610	6,592	5,498	6,992	6,065	6,095	12,776	14,394	11,529	10,883	9,966	6,228	107,452
Hudson	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Lazy Nine 1A	2,684	2,858	3,895	4,032	5,303	4,650	4,934	9,313	12,183	7,765	8,442	8,908	4,673	79,640
Masonwood	2	1	2	2	2	2	3	7	8	5	5	3	2	44
Reunion Ranch	1,237	782	2,144	2,305	3,201	2,760	3,050	6,368	5,980	4,851	5,122	5,007	3,259	46,066
Senna Hills	4,134	3,965	5,307	4,978	6,230	5,306	6,120	9,759	10,418	7,714	7,135	5,902	2,770	79,738
Travis County MUD 12	3,860	3,710	5,240	4,790	6,220	5,030	5,760	10,970	12,641	11,720	9,310	8,660	608	88,519
Total Wholesale	46,642	41,648	54,006	52,092	64,027	55,627	60,865	112,891	129,354	92,201	99,762	90,832	57,046	956,993

System Summary	November	December	January	February	March	April	May	June	July	August	September	October	November	12 Month Total
Total Retail	77,559	58,149	56,810	64,607	71,651	74,501	69,742	80,692	145,893	168,084	119,131	115,966	108,040	1,210,825
Total Wholesale	46,642	41,648	54,006	52,092	64,027	55,627	60,865	112,891	129,354	92,201	99,762	90,832	57,046	956,993
TOTAL WATER	124,201	99,797	110,816	116,699	135,678	130,128	130,607	193,583	275,247	260,285	218,893	206,798	165,086	2,167,818

Retail Percent of Total	62%	58%	51%	55%	53%	57%	53%	42%	53%	65%	54%	56%	65%	56%
Wholesale Percent of Total	38%	42%	49%	45%	47%	43%	47%	58%	47%	35%	46%	44%	35%	44%





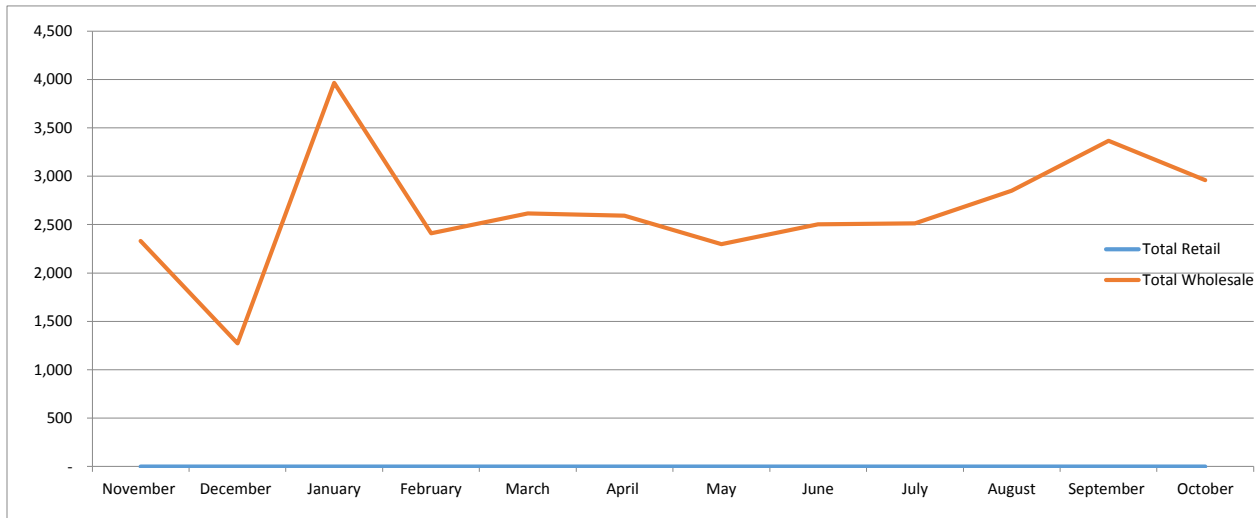
Summary of Total Billed Consumption (1,000 Gallons)
Wastewater

	November	December	January	February	March	April	May	June	July	August	September	October	November	12 Month Total
Bee Cave	-	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTALS	-	-	-	-	-	-	-	-	-	-	-	-	-	-

Wholesale Wastewater	November	December	January	February	March	April	May	June	July	August	September	October	November	12 Month Total
Masonwood Wastewater	380	344	1,073	640	674	653	739	524	483	701	606	719	669	8,205
WCID 17 Wastewater	1,952	930	2,890	1,770	1,940	1,940	1,560	1,980	2,030	2,150	2,760	2,240	2,006	26,148
TOTALS	2,332	1,274	3,963	2,410	2,614	2,593	2,299	2,504	2,513	2,851	3,366	2,959	2,675	34,353

System Summary	November	December	January	February	March	April	May	June	July	August	September	October	November	12 Month Total
Total Retail	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Wholesale	2,332	1,274	3,963	2,410	2,614	2,593	2,299	2,504	2,513	2,851	3,366	2,959	2,675	34,353
TOTAL WASTEWATER	2,332	1,274	3,963	2,410	2,614	2,593	2,299	2,504	2,513	2,851	3,366	2,959	2,675	34,353

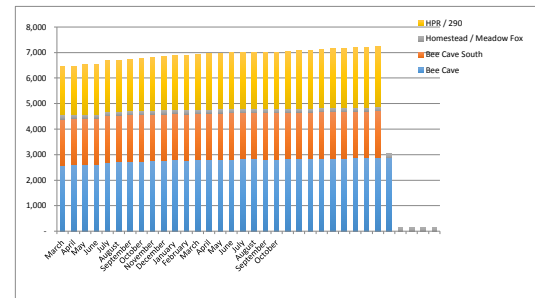
Retail Percent of Total	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Wholesale Percent of Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%





Summary of Total Retail Customer Count
Water

Meters	October	November	December	January	February	March	April	May	June	July	August	September	October	November	December	January	February	March	April	May	June	July	August	September	October	November	December	January	February	March	April	May	June	July	August	September	October	November
Bee Cave	2,502	2,501	2,500	2,544	2,554	2,557	2,552	2,580	2,613	2,617	2,620	2,709	2,727	2,744	2,746	2,762	2,766	2,809	2,774	2,799	2,810	2,816	2,820	2,830	2,830	2,829	2,829	2,832	2,838	2,836	2,854	2,859	2,859	2,871	2,873	2,875	2,876	2,872
Bee Cave South	1,785	1,785	1,788	1,787	1,799	1,803	1,803	1,805	1,805	1,807	1,808	1,813	1,822	1,820	1,818	1,817	1,820	1,821	1,809	1,814	1,809	1,815	1,814	1,818	1,816	1,815	1,813	1,814	1,816	1,821	1,825	1,827	1,830	1,828	1,829	1,836	1,840	1,832
Homestead / Meadow Fox	156	156	156	156	156	156	156	156	156	160	160	161	162	162	161	162	162	162	160	160	159	151	151	153	153	153	153	153	154	154	154	154	154	154	154	154	154	154
HPR 250	1,722	1,747	1,747	1,783	1,802	1,809	1,851	1,879	1,879	1,881	1,929	1,929	1,984	2,001	2,006	2,023	2,052	2,080	2,089	2,122	2,142	2,163	2,170	2,198	2,195	2,209	2,217	2,224	2,240	2,252	2,270	2,284	2,299	2,310	2,325	2,347	2,354	2,356
TOTALS	6,167	6,191	6,194	6,282	6,313	6,327	6,394	6,428	6,455	6,465	6,517	6,611	6,695	6,726	6,733	6,764	6,800	6,868	6,822	6,882	6,911	6,945	6,955	6,997	6,994	7,006	7,012	7,023	7,048	7,063	7,103	7,123	7,139	7,162	7,181	7,212	7,224	7,214
Customer Growth		24	3	88	31	14	67	34	27	10	52	94	84	31	7	31	36	68	166	60	25	34	10	42	10	12	6	11	25	15	40	20	16	23	19	31	12	(10)
Monthly Growth Rate		0.39%	0.06%	1.42%	0.49%	0.22%	1.06%	0.53%	0.42%	0.15%	0.80%	1.44%	1.27%	0.46%	0.10%	0.46%	0.53%	1.00%	-0.67%	0.88%	0.42%	0.49%	0.14%	0.60%	-0.04%	0.17%	0.09%	0.16%	0.36%	0.21%	0.57%	0.25%	0.22%	0.32%	0.27%	0.43%	0.17%	-0.14%
Annual Growth											359	444	528	559	542	578	518	555	495	498	483	490	490	480	383	311	296	290	284	263	235	301	297	251	236	257	227	220
Annual Growth Rate											9%	9%	9%	9%	9%	8%	9%	8%	9%	8%	7%	8%	8%	7%	6%	5%	4%	4%	4%	4%	3%	4%	4%	4%	3%	4%	3%	3%



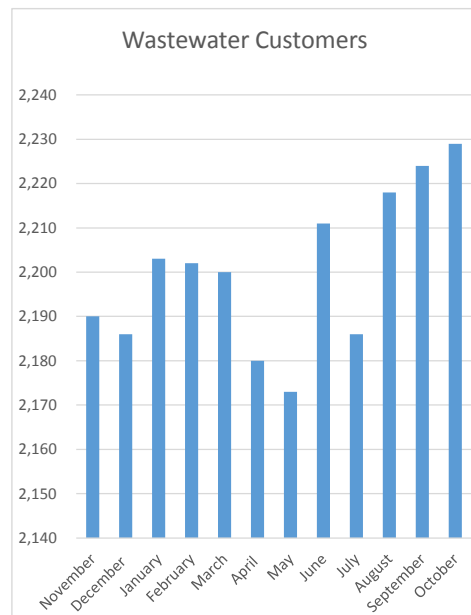


Summary of Total Retail Customer Count

Wastewater

Meters	November	December	January	February	March	April	May	June	July	August	September	October	November	Annual Growth Rate
Wastewater Customers	2,190	2,186	2,203	2,202	2,200	2,180	2,173	2,211	2,186	2,218	2,224	2,229	2,234	3%

Customer Growth	12	(4)	17	(1)	(2)	(20)	(7)	38	(25)	32	6	5	5
Monthly Growth Rate	0.55%	-0.18%	0.78%	-0.05%	-0.09%	-0.91%	-0.32%	1.75%	-1.13%	1.46%	0.27%	0.23%	0.22%
Annual Growth	165	142	152	117	111	67	20	33	24	49	52	42	56
Annual Growth Rate	8%	7%	7%	6%	5%	3%	1%	2%	1%	2%	2%	2%	3%

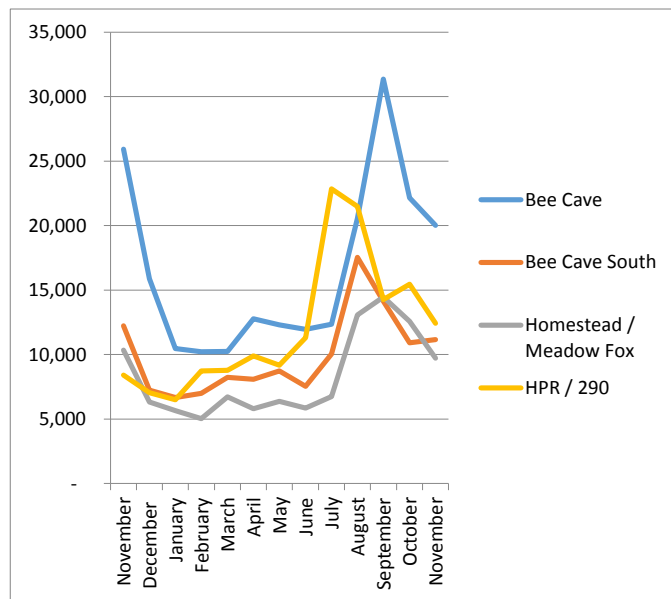




Retail Customer Average Use Analysis
Average Water Usage per Connection, per Month (Gallons)

	October	November	December	January	February	March	April	May	June	July	August	September	October	November
Bee Cave	25,924	15,867	10,458	10,207	10,251	12,783	12,298	11,945	12,340	20,567	31,348	22,147	20,005	20,784
Bee Cave South	12,215	7,239	6,664	6,997	8,220	8,082	8,735	7,541	10,048	17,548	14,143	10,919	11,169	9,691
Homestead / Meadow Fox	10,346	6,320	5,641	5,039	6,721	5,799	6,377	5,838	6,753	13,059	14,448	12,571	9,727	8,740
HPR / 290	17,892	8,405	7,045	6,492	8,729	8,787	9,903	9,162	11,318	22,843	21,475	14,262	15,455	12,414
System Wide Average	19,503	11,070	8,293	8,089	9,167	10,145	10,489	9,791	11,303	20,370	23,407	16,518	16,053	14,976

12-Month Average	13,591	13,543	13,500	13,457	13,414	13,375	13,341	13,297	13,259	13,223	13,189	13,152	13,120	13,089
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Retail Customer Average Use Analysis
Summary of Customer Contacts/Payment Processing

Customer Contacts	October	November	December	January	February	March	April	May	June	July	August	September	October	November
Date of		12/1-12/31	1/1-1/31	2/1-2/29	3/1-3/31	4/1-4/30	5/1- 5/31	6/1-6/30	7/1-7/31	08/1-8/31	9/1-9/30	10/1-10/31	11/1-11/30	12/1-12/31
Calls	827	385	860	632	911	885	770	787	863	935	862	1,080	803	759
Emails	54	38	81	75	84	101	194	170	141	125	270	167	141	84
In Office	294	301	228	221	312	257	282	273	263	292	314	363	269	295
TOTALS	1,175	724	1,169	928	1,307	1,243	1,246	1,230	1,267	1,352	1,446	1,610	1,213	1,138

Payments	October	November	December	January	February	March	April	May	June	July	August	September	October	November
Date of Payments		12/1-12/31	1/1-1/31	2/1-2/29	3/1-3/31	4/1-4/30	5/1-5/31	6/1-6/30	7/1-7/31	08/1-8/31	9/1-9/30	10/1-10/31	11/1-11/30	12/1-12/31
Mail	3,628	4,027	4,505	3,510	4,620	4,382	4,162	3,514	4,087	4,226	4,343	3,936	3,127	1,652
Walk In/Dropbox Payments	520	555	355	483	464	327	458	382	391	352	393	382	331	274
Online Payments Credit Cards	790	948	481	481	513	537	651	616	586	579	570	513	510	428
Online Payments Echeck	-	-	263	320	321	310	318	303	358	324	376	381	311	343
TOTALS	4,938	5,530	5,604	4,794	5,918	5,556	5,589	4,815	5,422	5,481	5,682	5,212	4,279	2,697



Retail Customer Delinquency Summary

ACCOUNTS	31-60	61-90	91+
Bee Cave	54	12	57
Bee Cave South	66	9	15
Homestead / Meadow Fox	5	1	1
290 HPR	68	18	21
TOTAL	193	40	94

DOLLARS	31-60	61-90	91+
Bee Cave	16,529	9,178	80,284
Bee Cave South	6,034	1,984	7,149
Homestead / Meadow Fox	721	946	13,556
HPR / 290	10,130	2,602	13,606
TOTAL	33,414	14,710	114,595

Delinquent Letters	Date Sent	Total Del
Bee Cave		
Bee Cave South		
Homestead / Meadow Fox		
290 HPR		
TOTAL		0

Disconnects	Date	How Many
Bee Cave		
Bee Cave South		
Homestead / Meadow Fox		
HPR / 290		

Still Off
0
0
0
0

VII. NEW BUSINESS

ITEM A

THE STATE OF TEXAS §
§
COUNTIES OF TRAVIS AND HAYS §

1

PASSED AND APPROVED this 19th day of January, 2017.

Scott Roberts, President,
Board of Directors

ATTEST:

Ray Whisenant, Jr., Secretary
Board of Directors

ITEM B



**West Travis County Public Utility Agency
Memorandum**

TO: WTCPUA Board of Directors

FROM: Robert Pugh, General Manager

CC:

SUBJECT: Document Retention Policy

DATE: January 9, 2017

The statutes and rules relating to records retention allow the PUA to create its own records retention schedules or adopt the form retention schedules provided by the Texas State Library and Archives Commission (TSLAC) that apply to the different activities conducted by the PUA.

To avoid the time-consuming process of drafting our own schedules and seeking approval from TSLAC we recommend that the PUA adopt pre-approved TSLAC schedules for Utilities (Local Schedule UT) and Local Governments (Local Schedule GR) which will provide comprehensive document retention schedules for our agency.

Please contact me if you have any questions.

ORDER ADOPTING RECORDS RETENTION POLICY POLICY AND APPOINTING RECORDS MANAGEMENT OFFICER

WHEREAS, Title 6, Subtitle C, Local Government Code (Local Government Records Act), provides that each local government must establish an active and continuing records management program; and

WHEREAS, the West Travis County Public Utility Agency (WTCPUA) desires to adopt a plan for that purpose and to prescribe policies and procedures consistent with the Local Government Records Act and in the interests of cost-effective and efficient recordkeeping;

On January 19, 2017, the Board of Directors of the WTCPUA met and reviewed the proposed Records Retention Policy, as shown in Attachment A. After consideration, the Board of Directors approved the Policy and the Records Retention Schedule as written.

IT IS THEREFORE ORDERED that the attached Records Retention Policy is hereby approved and adopted.

IT IS FURTHER ORDERED that the WTCPUA General Manager will serve as Records Management Officer for the WTCPUA and will ensure that the maintenance, destruction, electronic storage, or other disposition of the records of the WTCPUA are carried out in accordance with the requirements of the Local Government Records Act and other laws governing record management.

IT IS FURTHER ORDERED that this Order and the attached Records Retention Policy shall be forwarded within 30 days of adoption to the Director and Librarian of the Texas State Library and Archives Commission (TSLAC) for review and approval pursuant to Texas Local Government Code Chapter 203.

IT IS FURTHER ORDERED that, if approved by TSLAC, the WTCPUA Records Retention Policy shall become effective on the date of such approval.

PASSED AND APPROVED this 19th day of January, 2017.

Scott Roberts, President
Board of Directors

ATTEST:

Ray Whisenant, Jr., Secretary
Board of Directors

ATTACHMENT A
Records Retention Policy



SLRM
STATE AND LOCAL
RECORDS
MANAGEMENT

Declaration of Compliance

with the Records Scheduling Requirement of the Local Government Records Act
Submitted pursuant to Local Government Code §203.041(a)(2)

Section 1 SUBMISSION OF DATA

1. Government: _____
2. Address: _____
City: _____ ZIP code: _____
3. Telephone: _____ 4. Email (optional): _____

Section 2 LOCAL GOVERNMENT CERTIFICATION

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 Local Government Code §205.003(a) will be followed for records subject to the rules. I understand that:

- the validity of this declaration is contingent on its acceptance for filing by the commission;
- 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;
- the records retention schedules adopted by this declaration may be amended by filing for approval a supplemental Records Control Schedule Amendment (SLR 520) on which are listed proposed retention periods for records that do not appear on schedules issued by the commission (as checked below);
- if a supplemental Records Control Schedule Amendment 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); and
- the commission will provide us with access to subsequent editions of any schedules issued by the commission.

1. I hereby declare that our records control schedules will comply with the following schedules issued by the commission:

- | | |
|------------------------------------------------------------------------------------|--------------------------------------------------------------------------------|
| <input type="checkbox"/> Schedule CC (Records of County Clerks) | <input type="checkbox"/> Schedule LC (Records of Justice and Municipal Courts) |
| <input type="checkbox"/> Schedule DC (Records of District Clerks) | <input type="checkbox"/> Schedule PS (Records of Public Safety Agencies) |
| <input type="checkbox"/> Schedule EL (Records of Elections and Voter Registration) | <input type="checkbox"/> Schedule PW (Records of Public Works and Services) |
| <input type="checkbox"/> Schedule GR (Records Common to All Governments) | <input type="checkbox"/> Schedule SD (Records of Public School Districts) |
| <input type="checkbox"/> Schedule HR (Records of Public Health Agencies) | <input type="checkbox"/> Schedule TX (Records of Property Taxation) |
| <input type="checkbox"/> Schedule JC (Records of Public Junior Colleges) | <input type="checkbox"/> Schedule UT (Records of Utility Services) |

2. If any records control schedules or amendments have been filed with the commission, I also hereby declare that those schedules or amendments:

are superseded by this declaration.

are not superseded by this declaration. I understand that, in the event of a conflict between the previously filed records control schedules or amendments and the schedules adopted by this declaration, the longer retention period shall apply.

Name and Title: _____

Signature: _____ Date: _____

Section 3 TEXAS STATE LIBRARY ACCEPTANCE (to be completed by Texas State Library)

This Declaration of Compliance has been accepted for filing pursuant to Local Government Code §203.043(a). A record appearing on a schedule issued by the commission (as checked above) 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).

Name and Title: _____

Signature: _____ Date: _____

Instructions for Completing Form SLR 508

PURPOSE: *State law requires that each local government that wishes to have the authority to destroy records must submit to the Texas State Library and Archives Commission records control schedules listing the records created or received by the local government and retention periods for the records. Form SLR 508 may be used by a local government who wishes to adopt the records retention schedules promulgated by the commission in lieu of filing records control schedules with the commission.*

SECTION 1: SUBMISSION OF DATA

Field 1 Enter the complete name of the local government (e.g., City of Amarillo, Brownsville ISD, Brazos County, Harris County Municipal Utility District #25, Tarrant County Constable Pct. 4).

Fields 2-4 Enter the contact information for the Records Management Officer.

SECTION 2: LOCAL GOVERNMENT CERTIFICATION

Field 1 Check the boxes next to the Local Schedules with which your government will comply. If you are not sure which Local Schedules to adopt, please contact the State and Local Records Management Division.

Schedule CC is for use by county clerks, county surveyors, and local registrars.

Schedule DC is for use by district clerks.

Schedule EL is for use by any entity with records of elections and voter registration.

Schedule GR includes records such as meeting minutes, personnel files, and accounting records, and is for use by all local governments.

Schedule HR is for use by local health units and departments, public health districts, public hospitals, animal control departments, and animal shelters.

Schedule JC is for use by public junior colleges.

Schedule LC is for use by justice and municipal courts.

Schedule PS is for use by public safety agencies.

Schedule PW is for use by counties, municipalities, and any local government entity with records of public works and other government services (including, but not limited to: veterans service officers, soil and water conservation districts, public libraries, airports, social services, and planning and zoning offices).

Schedule SD is for use by public school districts, open-enrollment charter schools, and other educational districts and cooperatives.

Schedule TX is for use by appraisal districts and tax offices of taxing units.

Schedule UT is for use by public utilities (water districts and local government-owned water and wastewater, solid waste, electric, and gas utility departments).

Field 2 If no previous records control schedules have been filed with the commission, leave blank.

a. Choose "are superseded" if you would like for this declaration to replace a records control schedule previously filed with the commission.

b. Choose "are not superseded" if you would like any previously filed records control schedule to remain in effect.

Signature Declarations must be signed by the designated records management officer of the local government or elective county office. Declarations not signed by the records management officer will be returned for re-submission. Local Government Code, §203.041(a)(2)

SECTION 3: DO NOT WRITE IN THIS FIELD. TSLAC USE ONLY.

SUBMISSION: Mail to the address at the bottom of the form. The form may not be filed electronically. A copy of this form indicating its acceptance for filing will be returned to the records management officer.



TEXAS STATE LIBRARY AND ARCHIVES COMMISSION

LOCAL SCHEDULE PW (Second Edition)

RETENTION SCHEDULE FOR RECORDS OF PUBLIC WORKS AND OTHER GOVERNMENT SERVICES

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

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

INTRODUCTION

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

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

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

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

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

Certain records listed in this schedule are assigned the retention period of AV (as long as administratively valuable). This retention period affords local governments the maximum amount of discretion in determining a specific retention period for the record described.

Use of Asterisk (*)

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

ABBREVIATIONS USED IN THIS SCHEDULE

AV - As long as administratively valuable

CE - Calendar year end

CFR - Code of Federal Regulations

FE - Fiscal year end

TAC - Texas Administrative Code

US - Until superseded

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PART 1: GENERAL RECORDS

Retention Note: This schedule establishes retention periods for records found in various public works and services departments of local governments or for records kept by certain local government officers (e.g., veterans service officers) or local governments (e.g., soil and water conservation districts). For other administrative, fiscal, personnel, or support service records that may be found in these departments or governments, see Local Schedule GR (Records Common to All Local Governments).

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5200-01	PUBLIC WORKS AND SERVICES PLANNING STUDIES AND REPORTS	Feasibility studies, reports, analyses, projections, graphic material, and similar planning documents by outside consultants or in-house staff relating to comprehensive planning, capital improvements, land use and open space, economic development and outlook, neighborhood and housing renewal and renovation, regional and intergovernmental cooperation, transportation, traffic engineering, transit systems, airport operations, growth patterns, demographics, long-range forecasts and projections, and other aspects of local government planning <i>not</i> listed elsewhere in this schedule.		
PW5200-01a	PUBLIC WORKS AND SERVICES PLANNING STUDIES AND REPORTS	Special planning studies or reports prepared by order or request of the governing body or considered by the governing body (as reflected in its minutes) or ordered or requested by a state or federal agency or a court.	PERMANENT.	
PW5200-01b	PUBLIC WORKS AND SERVICES PLANNING STUDIES AND REPORTS	All other planning reports or studies.	5 years.	Retention Note: Review before disposal; developed comprehensive and capital improvements plans and other records of this type may merit PERMANENT or long term retention for administrative or historical reasons. See also item number GR1000-39 in Local Schedule GR.
PW5200-02	SERVICE REQUESTS/WORK ORDERS	Service requests and work orders to be performed by public works and services personnel except for work orders noted elsewhere in this schedule.	2 years.	

PART 2: PLANNING AND ZONING RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
*PW5225-01	ZONING/PLANNING BOARD CASE FILES	Staff reports, determinations and evaluations, correspondence, and comparable records concerning each planning, zoning, building code, or other public works-related case brought before local government zoning, planning, or development commissions or appeal bodies; or before other special or ad hoc committees constituted for similar purposes.	Disposition of case + 5 years.	<p>Retention Notes: a) The minutes of the various commissions must be retained PERMANENTLY in accordance with item number GR1000-03 in Local Schedule GR. In any action by these commissions involving real property, the minutes must identify the property which the action affects. If the minutes do not identify the property, documents referenced in the minutes that do provide such identification must be retained PERMANENTLY.</p> <p>b) Review before disposal; some case files may merit PERMANENT retention for historical reasons.</p>
*PW5225-02	ZONING MAPS AND PLATS		PERMANENT.	
PW5225-03	ZONING PERMIT RECORDS			
PW5225-03a	ZONING PERMIT RECORDS	Applications for zoning permits or variances.	5 years.	
PW5225-03b	ZONING PERMIT RECORDS	Copies of zoning permits or variances or a log or other form of record evidencing their issuance, showing to whom the permit or variance was issued, the property to which it applies, and the zoning classification.	PERMANENT.	
PW5225-04	ZONING VIOLATIONS RECORDS	Records relating to violations of local zoning ordinances, including documents verifying that the violation has ceased or been corrected.		
PW5225-04a	ZONING VIOLATIONS RECORDS	Alleged, but unfounded.	1 year after determination that zoning ordinances have not been violated.	
PW5225-04b	ZONING VIOLATIONS RECORDS	Violations.	Verification of correction of violation + 3 years.	

PART 3: BUILDING PERMIT AND INSPECTION RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
*PW5250-01	BLUEPRINTS AND SPECIFICATIONS	Blueprints and specifications submitted by building contractors or property owners when applying for building permits and as-builts submitted for issuance of certificates of occupancy.		

Record Number	Record Title	Record Description	Retention Period	Remarks
*PW5250-01a	BLUEPRINTS AND SPECIFICATIONS	For commercial and non-residential building permits or certificates of occupancy.	Life of structure + 3 years, but see retention notes.	<p>Retention Notes: a) If submission of as-builts is required before the issuance of a certificate of occupancy, the retention period applies only to the as-builts, and previously submitted blueprints and specifications need be retained only as long as administratively valuable.</p> <p>b) If a structure is remodeled, and new blueprints and specifications and/or as-builts are submitted [see retention note (a)], superseded documentation of the type described need be kept only as long as administratively valuable.</p> <p>c) For records of the types described for buildings or structures owned by the local government that issues the building permit, see item number GR1075-16 in Local Schedule GR.</p> <p>d) For commercial and non-residential buildings that have received local, state, or national designations as historic properties, see item number PW5250-01d in Local Schedule PW.</p> <p>e) Review before disposal; blueprints and/or as-builts of some structures may merit PERMANENT retention for historical reasons.</p>

Record Number	Record Title	Record Description	Retention Period	Remarks
*PW5250-01b	BLUEPRINTS AND SPECIFICATIONS	For residential building permits or certificates of occupancy.	AV.	<p>Retention Notes: a) Review before disposal; blueprints and specifications of some structures may merit PERMANENT retention for historical reasons.</p> <p>b) For residential buildings that have received local, state, or national designations as historic properties, see item number PW5250-01d in Local Schedule PW.</p>
*PW5250-01c	BLUEPRINTS AND SPECIFICATIONS	For miscellaneous permits (see item number PW5250-10).	AV.	<p>Retention Notes: a) Review before disposal; blueprints and specifications of some structures may merit PERMANENT retention for historical reasons.</p> <p>b) For miscellaneous structures that have received local, state, or national designations as historic properties, see PW5250-01d.</p>
*PW5250-01d	BLUEPRINTS AND SPECIFICATIONS	For commercial, non-residential, residential, and miscellaneous permits or certificates of occupancy on structures that have received local, state, or national historical property designation.	PERMANENT.	
PW5250-02	BUILDING CODE VIOLATIONS RECORDS	Records relating to violations of local building codes or ordinances, including documents verifying that the violation has been corrected.		
PW5250-02a	BUILDING CODE VIOLATIONS RECORDS	Alleged, but unfounded.	1 year after determination that building regulations have not been violated.	
PW5250-02b	BUILDING CODE VIOLATIONS RECORDS	Violations.	Verification of correction + 3 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5250-03	BUILDING MASTER RECORD	Master record of each commercial, non-residential, and residential structure detailing a history of permits issued for construction or alteration, certificates of occupancy issued, inspections carried out, code violations found, and similar information.	PERMANENT.	
PW5250-04	BUILDING PERMIT APPLICATIONS	Applications from property owners or contractors to erect new structures or to make alterations to existing structures.		
PW5250-04a	BUILDING PERMIT APPLICATIONS	Applications for which permit granted.	5 years; or, if property subject to issuance of certificate of occupancy, date of issuance of the certificate + 5 years.	
PW5250-04b	BUILDING PERMIT APPLICATIONS	Applications for which permit <i>not</i> granted.	1 year.	
PW5250-05	BUILDING PERMIT LOGS	Logs, registers, or similar records providing a listing of building permits and certificates of occupancy issued.		
PW5250-05a	BUILDING PERMIT LOGS	If a Building Master Record (PW5250-03) <i>is</i> maintained.	AV	
PW5250-05b	BUILDING PERMIT LOGS	If a Building Master Record (PW5250-03) <i>is not</i> maintained.	PERMANENT.	
PW5250-06	BUILDING PERMITS AND CERTIFICATES OF OCCUPANCY			
PW5250-06a	BUILDING PERMITS AND CERTIFICATES OF OCCUPANCY	Copies of issued building permits and certificates of occupancy if a Building Permit Log (PW5250-05b) or a Building Master Record (PW5250-03) <i>is not</i> maintained.	PERMANENT.	
PW5250-06b	BUILDING PERMITS AND CERTIFICATES OF OCCUPANCY	Copies of issued building permits and certificates of occupancy if a Building Permit Log (PW5250-05b) or a Building Master Record (PW5250-03) <i>is</i> maintained.	AV after entry of evidence of issuance in log or record.	

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5250-07	BUILDING TRADES OCCUPATIONAL LICENSING RECORDS	Applications, examinations, references, performance bonds, copies of licenses or permits or record of their issuance, and similar records relating to the issuance of occupational licenses to construction contractors and other members of the building trades, including electricians, plumbers, carpenters, welders, etc.	Expiration, cancellation, revocation, or denial of the license + 3 years.	
PW5250-08	INSPECTION REPORTS	Reports of inspections carried out with reference to new construction; alterations to existing structures; code violations; and other projects, activities, or situations requiring inspection by local ordinance, <i>excluding</i> those reports that are made part of any other record group noted elsewhere in this part.	3 years.	
*PW5250-09	DEMOLITION RECORDS	Records relating to the demolition and clearance of buildings deemed unfit for occupancy and condemned, including demolition orders, inspection reports, notices to property owners, and any related court documents.	Date of demolition + 3 years.	Retention Note: Review before disposal; some documentation of this type may merit PERMANENT retention for historic or legal reasons. See litigation note in Introduction, page 2, of Local Schedule GR.
PW5250-10	MISCELLANEOUS APPLICATIONS AND PERMITS	Applications for and copies of permits (or records of their issuance) involving sign installation, fencing, swimming pool construction, driveway construction, and for similar activities as might be required by local ordinance that are <i>not</i> , by ordinance or departmental policy, classified as building applications or permits under item numbers PW5250-04 or PW5250-06.		
PW5250-10a	MISCELLANEOUS APPLICATIONS AND PERMITS	Granted permits.	5 years.	
PW5250-10b	MISCELLANEOUS APPLICATIONS AND PERMITS	Denied permits.	1 year.	
PW5250-11	REPORTS OF BUILDING PERMITS ISSUED	Monthly and annual reports prepared for the U.S. Bureau of the Census on the number of commercial and residential building starts and local public construction.		
PW5250-11a	REPORTS OF BUILDING PERMITS ISSUED	Annual.	PERMANENT.	

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5250-11b	REPORTS OF BUILDING PERMITS ISSUED	Monthly.	3 years.	

PART 4: PUBLIC TRANSPORTATION AND ENGINEERING RECORDS

SECTION 4-1: ROAD AND STREET MAINTENANCE AND REPAIR RECORDS

Retention Note: For road and street construction records, see item number 1075-16 in Local Schedule GR (Records Common to All Local Governments).

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5275-01	INSPECTION REPORTS	Reports of inspection of roads, streets, bridges, street lights, sidewalks, rights-of-way, etc.		
PW5275-01a	INSPECTION REPORTS	Roads, streets, street lights, sidewalks, rights-of-way, etc.	3 years.	
PW5275-01b	INSPECTION REPORTS	Bridges and overpasses.	Life of structure.	
PW5275-02	MAPS AND PLATS	Maps, plats, engineering and field notes, and profiles and cross-sections of roads, streets, rights of way, bridges, etc.	PERMANENT.	
PW5275-03	PERMITS	Applications for and copies of permits (or records of their issuance) for excavation and fill; alterations to roads, streets, sidewalks, and curbs; and for similar activities involving alteration of streets and rights of way.		
PW5275-03a	PERMITS	Granted applications and permits.	5 years.	
PW5275-03b	PERMITS	Denied applications and permits.	1 year.	
*PW5275-04	SERVICE AND REPAIR REQUESTS	Complaints from the public or from other local government departments on street hazards, potholes, other needed repairs on roads, streets, and rights-of-way and requests for traffic signs, lights, changes to traffic flow, etc.	3 years.	
PW5275-05	STREET CLEANING RECORDS	Reports, logs, or similar records documenting street cleaning operations.	1 year.	

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5275-06	STREET NAME AND HOUSE NUMBER FILES	Records relating to street dedications, street closings, the assignment and alteration of street names and house numbers, and similar records that provide official control of the naming and numbering of streets and roads.	PERMANENT.	
PW5275-07	ROAD AND STREET MAINTENANCE RECORDS	Reports, logs, or similar records, compiled on a daily, weekly, and/or monthly basis documenting repair and maintenance work on the following:		
PW5275-07a	ROAD AND STREET MAINTENANCE RECORDS	Roads, streets, street lights, sidewalks, rights-of-way, etc.	3 years.	
PW5275-07b	ROAD AND STREET MAINTENANCE RECORDS	Bridges and overpasses.	Life of structure.	
PW5275-08	ROAD AND STREET MASTER RECORD	Master record in some form of every road and street providing a description, history, and classification of each.	PERMANENT.	By law - Civil Statutes, art. 6812b(3) for county engineers in counties with a population of 198,000 to 400,000; Civil Statutes, art. 6812b-1(2) for county engineers in counties with a population of 160,000 to 185,000; and by authority of this schedule for municipalities and all other counties.
*PW5275-09	ROAD MASTER PLANS	Planning survey of all existing roads and projected improvements and additions to county road systems developed by county engineers in certain counties.	PERMANENT.	By law - Civil Statutes, art. 6812b(7) for county engineers in counties with a population of 198,000 to 400,000 and Civil Statutes, art. 6812b-1(4) for county engineers in counties with a population of 160,000 to 185,000; and by authority of this schedule for municipalities and all other counties.
*PW5275-10	TREE AND PLANT FILES	Records relating to the planting, trimming, inspection, and removal of trees and shrubs along public streets, roads, and sidewalks.	3 years.	

SECTION 4-2: TRAFFIC ENGINEERING RECORDS

Retention Note: This part supplements and should be used in conjunction with Part 3 of Local Schedule GR (Records Common to All Governments).

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5300-01	ACCIDENT REPORTS	Reports, usually supplied by the police department, of traffic accidents used to monitor, redevelop, or redesign streets, intersections, speed limits, signal timing, directional flow patterns, etc.	AV.	
PW5300-02	SPECIAL EVENTS FILES	Reports, notifications, planning documents, and similar records used in the preparation for special events such as parades, motorcades, demonstrations, or situations resulting in unusually heavy traffic or street use requiring street closures, traffic rerouting, barricades, signal timing changes, etc.	2 years.	
*PW5300-03	TRAFFIC COUNT REPORTS	Reports of traffic passage on streets, roads, bridges, intersections, etc. or use of local government-owned parking lots or structures.	10 years.	Retention Note: If Traffic Count Report is used for special planning studies or reports, see item number PW5200-01a.
PW5300-04	TRAFFIC DEVICE INSTALLATION AND MAINTENANCE RECORDS	Reports, logs, or similar records documenting the following:		
PW5300-04a	TRAFFIC DEVICE INSTALLATION AND MAINTENANCE RECORDS	Installation, inspection, testing, maintenance, repair, or replacement of traffic signs, signals, and signal boxes.	5 years.	
PW5300-04b	TRAFFIC DEVICE INSTALLATION AND MAINTENANCE RECORDS	Painting, inspection, or repainting of pavement and curb markings.	2 years.	
PW5300-05	TRAFFIC PERMITS	Applications for and copies of permits for special parking, house moving, over-dimensional movements, and similar permits and permissions issued by or that concern traffic engineering departments.	Expiration, cancellation, revocation, or denial of the permit + 2 years.	
PW5300-06	TRAFFIC SIGNAL RECORDS	Drawings, wiring diagrams, code and circuit numbers, and similar data on traffic signal components.	Life of signal component.	

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5300-07	TRAFFIC SIGNS AND SIGNALS INVENTORY RECORDS	Registers, index cards, or similar records providing an inventory of all installed traffic signs and signals showing type of equipment or sign, location, date of installation, and similar data.		
PW5300-07a	TRAFFIC SIGNS AND SIGNALS INVENTORY RECORDS	If a complete inventory is periodically revised and reprinted.	Until Superseded + 1 year.	
PW5300-07b	TRAFFIC SIGNS AND SIGNALS INVENTORY RECORDS	If an inventory is maintained on cards, databases, or similar medium that permits purging.	PERMANENT, but purge records relating to junked signs and signals.	

SECTION 4-3: PARKING CONTROL RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5325-01	PARKING DEVICE INSPECTION RECORDS	Reports, logs, or similar records on the inspection, testing, maintenance, and repair of meters, toll gates, or other parking control devices.	2 years.	
PW5325-02	PARKING DEVICE INVENTORY RECORDS	Registers, index cards, or similar records providing an inventory of meters, toll gates, or other parking control devices showing location, type of equipment, date of installation, and similar data.		
PW5325-02a	PARKING DEVICE INVENTORY RECORDS	If a complete inventory is periodically revised and reprinted.	Until Superseded + 1 year.	
PW5325-02b	PARKING DEVICE INVENTORY RECORDS	If an inventory is maintained on cards, databases, or similar medium that permits purging.	PERMANENT, but purge records relating to junked signs.	

SECTION 4-4: TRANSIT SYSTEM RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5350-01	OPERATIONS REPORTS	Periodic reports on usage of rapid transit services.		
PW5350-01a	OPERATIONS REPORTS	Annual reports.	PERMANENT.	
PW5350-01b	OPERATIONS REPORTS	Monthly reports.	3 years.	
PW5350-01c	OPERATIONS REPORTS	Daily or weekly reports.	1 year.	
PW5350-02	VEHICLE HISTORY AND MAINTENANCE RECORDS			
PW5350-02a	VEHICLE HISTORY AND MAINTENANCE RECORDS	Master record on each transit vehicle containing the following: complete description including identification and license numbers; title and registration papers; annual beginning and ending odometer readings; total annual fuel, maintenance, labor, and parts costs; and complete maintenance and inspection history (in summary form showing date and nature of inspection, service, and repair).	Life of asset.	<p>Retention Notes: a) This schedule does not require the creation of a vehicle master record of the type described, but if a vehicle master record is not maintained, records containing the prescribed information must be retained for the life of the vehicle. For example, if work orders in PW5350b are the only record maintained of repairs to transit vehicles, they must be retained for the life of the vehicle.</p> <p>b) If a transit vehicle is salvaged as the result of an accident, the vehicle master record or, if one is not created, documents providing the types of information prescribed, must be retained for LA + 3 years.</p> <p>c) If a transit vehicle is sold or given to another transit authority or department for use as a transit vehicle, the vehicle master record may be transferred with the vehicle.</p>
PW5350-02b	VEHICLE HISTORY AND MAINTENANCE RECORDS	Service requests/work orders.	3 years.	
PW5350-02c	VEHICLE HISTORY AND MAINTENANCE RECORDS	Daily or other periodic activity reports on fuel and oil consumption, odometer readings, etc. from which data is derived for operating cost reports and the vehicle master record.	3 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5350-02d	VEHICLE HISTORY AND MAINTENANCE RECORDS	Daily or other periodic inspection reports of vehicles.	3 years.	
PW5350-02e	VEHICLE HISTORY AND MAINTENANCE RECORDS	Specifications, circuit diagrams, and similar documents relating to vehicles and their related apparatuses.	Life of asset.	

SECTION 4-5: AIRPORT RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5375-01	AIRFIELD INCIDENT FILES	Records of accidents or incidents occurring on the movement areas and involving air carrier aircraft and/or ground vehicles.	5 years.	Retention Note: Review before disposal; some documentation of this type may merit PERMANENT or long-term retention for historical or legal reasons.
PW5375-02	AIRSIDE REPORT/AIRFIELD LOG	Materials documenting the activity of a work shift including conditions or events that would adversely affect airport operations.	2 years.	Retention Note: Review before disposal; some documentation of this type may merit PERMANENT or long-term retention for historical or legal reasons.
PW5375-03	CARRIER RECORDS	Informational materials such as copies of airline schedules, brochures, advertising materials, and correspondence from the U. S. Department of Transportation approving carrier routes.	AV.	
PW5375-04	CERTIFICATION MANUAL	Manual specifying procedures, facilities and equipment descriptions, responsibility assignments, and any other information needed by personnel concerned with operating the airport in order to comply with Federal Aviation Authority (FAA) standards for airport operations.	Until superseded.	By regulation - 14 CFR 139.207(b). Retention Note: Review before disposal; some documentation of this type may merit PERMANENT or long-term retention for historical or legal reasons.
PW5375-05	COMMUNICATION TAPES	Daily recording of all phone lines and radios.	30 days.	
*PW5375-06	EMERGENCY PLANNING RECORDS	Procedures, instructions, and other records maintained to minimize the possibility and extent of personal injury and property damage on the airport in an emergency.	Until superseded + 2 years.	By regulation - 14 CFR 139.325(g)(4).
PW5375-07	FOREIGN TRADE ZONE (FTZ) RECORDS			

Record Number	Record Title	Record Description	Retention Period	Remarks
* PW5375-07a	FOREIGN TRADE ZONE (FTZ) RECORDS	FTZ company operation records.	5 years after deactivation from FTZ.	By regulation – 19 CFR 146.4(d).
PW5375-07b	FOREIGN TRADE ZONE (FTZ) RECORDS	FTZ tenants.	Until superseded.	
PW5375-08	MAINTENANCE AND INSPECTION RECORDS			
PW5375-08a	MAINTENANCE AND INSPECTION RECORDS	Non-federal navigation facility reports - Record of meter readings and adjustments, facility maintenance log, radio equipment operation record, ground check error data, facility equipment performance and adjustment data, technical performance report, and similar documentation relating to local government-owned and operated navigational facilities such as VOR facilities, nondirectional radio beacons, instrument landing systems, simplified directional facilities, distance measuring equipment, VHF marker beacons, interim standard microwave landing systems, and microwave landing systems.	PERMANENT.	By regulation - 14 CFR 171.13(a-e), 171.33(a-c), 171.53(a-c), 171.117(a-c), 171.163(a-c), 171.213(a-c), 171.275(a-c), and 171.327(a-c).
PW5375-08b	MAINTENANCE AND INSPECTION RECORDS	Runway maintenance records - Logs, reports, and similar records relating to the inspection, maintenance, and repair of runways, runway lights, beacons, and other such ground or device maintenance records directly related to the landing and taking off of aircraft, <i>except</i> those included in directional facility records.	10 years.	
*PW5375-08c	MAINTENANCE AND INSPECTION RECORDS	Safety self-inspections - Daily, or as otherwise required by the airport certification manual or airport certification specifications, reports of safety self-inspections of airport conditions in specific locations showing the conditions found and all corrective actions taken.	1 year.	By regulation - 14 CFR 139.327(c).
PW5375-08d	MAINTENANCE AND INSPECTION RECORDS	Tenant inspections - Materials documenting inspections of the physical facilities of each airport tenant fueling agent.	1 year.	By regulation - 14 CFR 139.321(d).
PW5375-08e	MAINTENANCE AND INSPECTION RECORDS	Other inspections.	3 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5375-09	NOTICES TO AIRMEN	Reports officially notifying the public, FAA, and airlines that a problem exists with the airport facility.	2 years after notice is canceled.	
PW5375-10	OPERATIONAL PERMITS AND CERTIFICATIONS			
PW5375-10a	OPERATIONAL PERMITS AND CERTIFICATIONS	Permits and certifications from the FAA or other state and federal agencies and any reports, correspondence, or other documentation bearing directly on the application for, the issuance of, or the renewal of the permit or certification.	5 years after final expiration, cancellation, revocation, or denial of the permit or certification.	
PW5375-10b	OPERATIONAL PERMITS AND CERTIFICATIONS	Records concerning any exemptions granted or deviations required by an emergency.	5 years after deviation or expiration of exemption.	
PW5375-11	OPERATIONS REPORTS	Periodic reports or logs of airport operations, services, and activities, and statistical summaries of such reports.		
PW5375-11a	OPERATIONS REPORTS	Daily reports or logs and weekly and/or monthly statistical summaries of such reports.	3 years.	
PW5375-11b	OPERATIONS REPORTS	Annual reports.	PERMANENT.	
PW5375-12	REPORTS TO REGULATORY AGENCIES	Reports on any aspect of airport operations to the Federal Aviation Administration (FAA) or to other state or federal agencies as required by law, regulation, or agency order.		
PW5375-12a	REPORTS TO REGULATORY AGENCIES	Annual reports.	PERMANENT.	
PW5375-12b	REPORTS TO REGULATORY AGENCIES	Special reports that are not recapitulated in annual reports.	PERMANENT.	
PW5375-12c	REPORTS TO REGULATORY AGENCIES	Interim or periodic reports on a less than annual basis that are recapitulated in an annual report or in a special report under PW5375-12b.	5 years.	

PART 5: SOIL AND WATER CONSERVATION RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5400-01	ALLOCATIONS OF FUNDS, REQUESTS AND CLAIMS FOR	Copies of requests and claims for allocations submitted to the Texas State Soil and Water Conservation Board.	FE + 3 years.	
PW5400-02	VARIANCE OF LAND USE REGULATIONS, PETITIONS FOR			
PW5400-02a	VARIANCE OF LAND USE REGULATIONS, PETITIONS FOR	Granted petitions.	As long as variance in effect + 2 years.	
PW5400-02b	VARIANCE OF LAND USE REGULATIONS, PETITIONS FOR	Denied petitions.	2 years.	
PW5400-03	WATER QUALITY MANAGEMENT PLANS	Water quality management and implementation plans developed by soil and water conservation plans for landowners to prevent and abate pollution, including any associated corrective action plans, notifications of withdrawal of certification, and maintenance agreements.	Life of plan + 2 years.	

PART 6: RECORDS OF AGRICULTURE EXTENSION AGENTS

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5425-01	CLIENT FILES	Original records documenting the work of agriculture extension agents with their clients and copies of documents that by law, regulation, or administrative policy of the Agriculture Extension Service at Texas A&M University or other authorizing agency are retained by the agent after filing originals with the service or other agency.	3 years.	

PART 7: ENVIRONMENTAL HAZARDS RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5450-01	ASBESTOS MANAGEMENT RECORDS			
PW5450-01a	ASBESTOS MANAGEMENT RECORDS	Records documenting asbestos abatement projects in public buildings.	30 years from the date of project completion.	By regulation - 25 TAC 295.62(a).
PW5450-01b	ASBESTOS MANAGEMENT RECORDS	Records of asbestos inspections.	5 years.	
PW5450-02	ENVIRONMENTAL PROTECTION AND NATURAL RESOURCES MANAGEMENT PLANS	Planning reports, background materials, and supporting documentation used to provide for the protection of the environment.	PERMANENT.	
PW5450-03	ENVIRONMENTAL QUALITY REVIEW RECORDS	Environmental impact statements and related reports, including background materials and supporting documentation used in preparing statements and reports.	PERMANENT.	
PW5450-04	PEST CONTROL RECORDS			
*PW5450-04a	PEST CONTROL RECORDS	Records of pesticide applications, inspections and sampling notifications, and other documentation required by pesticide regulations.	2 years.	By law - Agriculture Code, Section 76.114(c) and by regulation - 4 TAC 7.33(a) and 4 TAC 7.144(a).
* PW5450-04b	PEST CONTROL RECORDS	Records of aerial application of insecticides and of seasonal employees hired for mosquito control programs.	5 years.	By regulation – 25 TAC 267.11.
* PW5450-04c	PEST CONTROL RECORDS	Records of distribution of restricted-use pesticides, state limited-use pesticides, or regulated herbicides.	2 years.	By law – Agriculture Code, Section 76.075 and by regulation – 4 TAC 7.32(a).

Record Number	Record Title	Record Description	Retention Period	Remarks
* PW5450-04d	PEST CONTROL RECORDS	Records relating to local aquatic vegetation management plan authorized by Parks and Wildlife Code, §11.083, including all local plan submissions and approvals, all treatment proposals submitted to Texas Parks and Wildlife Department (TPWD), all notices received and provided, all control measures taken by the governing entity (including records of date, place, location, type, and amount of all aquatic herbicide applications), and any other information relevant to a particular individual request for shoreline treatment.	5 years.	By regulation – 31 TAC 57.936.
PW5450-05	STORAGE TANK (IMMOVABLE) SYSTEM RECORDS	Documentation of compliance with regulations for underground tank systems storing hazardous substances and petroleum substances, and immovable aboveground tanks storing petroleum products. (See item number PW5450-06 for records of movable aboveground storage tanks.)		
PW5450-05a	STORAGE TANK (IMMOVABLE) SYSTEM RECORDS	Original and amended tank registration documents, original and amended certifications for storage tank system installations and financial responsibility, and notifications to storage tank purchaser.	Operational life of the storage tank system.	By regulation - 30 TAC 334.130(b)(1)(A) and 334.10(b)(2)(A).
PW5450-05b	STORAGE TANK (IMMOVABLE) SYSTEM RECORDS	Records of requests for approval of variances or alternative procedures, and documentation of approval of such requests.	Operational life of the storage tank system.	By regulation: 30 TAC 334.43(e).
PW5450-05c	STORAGE TANK (IMMOVABLE) SYSTEM RECORDS	Installation records. (1) General information relating to the installation of new storage tank systems and as-built drawings or plans depicting the sizes, dimensions, and locations of site features, system components, etc. (2) Equipment tests including the air tests and the tightness tests conducted on the tanks and piping at the time of installation.	Operational life of the storage tank system. 5 years.	By regulation - 30 TAC 334.46(i)(2). By regulation - 30 TAC 334.46(i)(3).

Record Number	Record Title	Record Description	Retention Period	Remarks
*PW5450-05d	STORAGE TANK (IMMOVABLE) SYSTEM RECORDS	<p>Records for upgrading existing storage tank systems.</p> <p>(1) General information related to the tank integrity assessment and cathodic protection requirements and as-built drawings or plans depicting the sizes, dimensions, and locations of any system components or equipment added.</p> <p>(2) Results of equipment tests and tank integrity tests required when upgrading existing storage tank systems including internal inspections, tank and piping tightness tests, and site assessments.</p>	<p>Operational life of the storage tank system.</p> <p>5 years.</p>	<p>By regulation - 30 TAC 334.47(e)(2).</p> <p>By regulation - 30 TAC 334.47(e)(3).</p>
PW5450-05e	STORAGE TANK (IMMOVABLE) SYSTEM RECORDS	Operation and maintenance records of storage tank systems including records related to inspection, servicing, testing, and inventory control.	5 years.	By regulation - 30 TAC 334.48(g).
PW5450-05f	STORAGE TANK (IMMOVABLE) SYSTEM RECORDS	<p>Corrosion protection records.</p> <p>(1) Installation records relating to the corrosion protection system including information on the system designer, drawings or plans depicting the locations of all system components, operating instructions and warranty information, maintenance schedules, and testing procedures.</p> <p>(2) Results of tests and inspections of corrosion protection systems and components.</p>	<p>As long as the corrosion protection system is used.</p> <p>5 years.</p>	<p>By regulation - 30 TAC 334.49(e)(2)(A).</p> <p>By regulation - 30 TAC 334.49(e)(2)(B).</p>

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5450-05g	STORAGE TANK (IMMOVABLE) SYSTEM RECORDS	<p>Release detection records.</p> <p>(1) Installation records related to the release detection system; all written performance claims pertaining to the system used and documentation of how those claims have been justified or tested by the equipment manufacturer or installer; and any schedules of required calibration and maintenance provided by the release detection equipment manufacturer.</p> <p>(2) Results of sampling, testing, or monitoring of releases (including tank tightness tests); records and calculations related to inventory control reconciliation; and documentation of service, calibration, maintenance, and repair of release detection equipment.</p>	<p>As long as the release detection system is used.</p> <p>5 years.</p>	<p>By regulation - 30 TAC 334.50(e)(2)(A), (B), and (E).</p> <p>By regulation - 30 TAC 334.50(e)(2)(C), (D), and (E).</p>
PW5450-05h	STORAGE TANK (IMMOVABLE) SYSTEM RECORDS	<p>Spill and overfill control records.</p> <p>(1) Installation records of spill and overfill prevention equipment.</p> <p>(2) Records of servicing, calibration, maintenance, and repair of spill and overfill equipment.</p> <p>(3) Transfer or inventory records documenting the basis for claiming an exemption from the spill and overfill equipment requirements, if applicable.</p>	<p>As long as the spill and overfill prevention equipment is used.</p> <p>5 years.</p> <p>5 years.</p>	<p>By regulation - 30 TAC 334.51(c)(2)(A).</p> <p>By regulation - 30 TAC 334.51(c)(2)(B).</p> <p>By regulation - 30 TAC 334.51(c)(3).</p>

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5450-05i	STORAGE TANK (IMMOVABLE) SYSTEM RECORDS	Records for repairs and relining. (1) General information related to the repair or relining of a storage tank including materials specifications, warranty information, recommended test procedures, and inspection and maintenance schedules applicable to the relining of a storage tank. (2) Results of inspections, tests, and maintenance activities.	Operational life of the storage tank system. 5 years.	By regulation - 30 TAC 334.52(d)(2)(A) and (C). By regulation - 30 TAC 334.52(d)(2)(B).
PW5450-05j	STORAGE TANK (IMMOVABLE) SYSTEM RECORDS	Records of the installation of a used tank including inspection and tank tightness test results required for the reuse of used tank.	As long as the tank remains in operation.	By regulation - 30 TAC 334.53(c).
PW5450-05k	STORAGE TANK (IMMOVABLE) SYSTEM RECORDS	Documentation of compliance with requirements for the temporary removal from service of a storage tank.	5 years.	By regulation - 30 TAC 334.54(e)(4)(B).
PW5450-05l	STORAGE TANK (IMMOVABLE) SYSTEM RECORDS	Documentation of compliance with requirements for the permanent removal from service of a storage tank.	As long as any underground storage tank remains in service at the facility or 5 years after the storage tank system is permanently removed from service, whichever longer.	By regulation - 30 TAC 334.54(e)(4)(B).
PW5450-06	STORAGE TANK (MOVABLE) SYSTEM RECORDS	Records of movable aboveground storage tanks that are regularly used to store petroleum products (e.g., skid tanks), are intended to be moved from one location to another on a regular basis, and are not permanently part of any particular facility.	5 years.	By regulation - 30 TAC 334.127(f)(2).
PW5450-07	WASTE GENERATORS, RECORDS OF			

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5450-07a	WASTE GENERATORS, RECORDS OF	Authorized discharges to surface waters - Records documenting permit requirements for monitoring and processing the surface discharge of wastewater generated from treatment of water contaminated by petroleum substances, and discharges to surface waters from locally-owned or operated activities including ready-mixed concrete plants and concrete products plants and their associated facilities, sand and gravel mining and processing facilities, motor vehicle cleaning facilities, and petroleum bulk stations and terminals.	3 years.	
PW5450-07b	WASTE GENERATORS, RECORDS OF	<p>Hazardous waste - Operation records of generators of hazardous waste regarding the quantities generated and shipped off-site for storage. For retention requirements of records for local government-owned facilities that store, process, or dispose of hazardous waste, see Part 3 of Local Schedule UT (Records of Utility Services).</p> <p>(1) Records of any test results, waste analyses, or other methods used to determine if waste is hazardous.</p> <p>(2) Manifests and shipping papers, such as monthly shipment summaries and exception reports, retained by generators of hazardous waste.</p> <p>(3) Annual summary reports submitted by the generator to the Texas Commission on Environmental Quality.</p>	<p>3 years after the waste was last sent to an on-site or off-site storage, processing, or disposal facility.</p> <p>3 years.</p> <p>3 years.</p>	<p>Retention Note: The retention period for the following records maintained by generators of hazardous waste is extended automatically during the course of any unresolved enforcement action regarding the regulated activity.</p> <p>By regulation - 30 TAC 335.70(a).</p> <p>By regulation - 30 TAC 335.13(d), (i), and (k).</p> <p>By regulation - 30 TAC 335.70(b) and (c).</p>

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5450-07c	WASTE GENERATORS, RECORDS OF	<p>Spill prevention and control.</p> <p>(1) Notifications of all discharges or spills required to be reported by regulations of the Texas Commission on Environmental Quality such as any quantity of oil, hazardous substances, or other substances, discharged or spilled into or which may enter water in the state if not immediately contained, controlled, or removed; any discharge or spill during transportation; any discharge or spill which presents an imminent and substantial endangerment to public health or public safety; etc.</p> <p>(2) Records of all discharges or spills and historical contamination, not subject to notification requirements, and maintained by facilities registered with the Texas Commission on Environmental Quality as a solid waste generator.</p>	<p>3 years.</p> <p>3 years.</p>	
PW5450-07d	WASTE GENERATORS, RECORDS OF	Used oil filters - Shipping documentation retained by generators of used oil filters.	3 years.	
PW5450-07e	WASTE GENERATORS, RECORDS OF	Whole used or scrap tires - Manifests, work orders, invoices, daily logs, or other documentation used to support activities related to the accumulation, handling, and shipment of whole used or scrap tires.	3 years.	By regulation - 30 TAC 330.828(e).

PART 8: WEIGHTS AND MEASURES RECORDS

Retention Note: The retention periods in this part apply to the records of county public weighers and county or municipal sealers of weights and measures. This part should not be used by state public weighers or state sealers of weights and measures.

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5475-01	RECORD OF WEIGHTS	Copies of certificates of weight or measure issued by a public weigher.	3 years.	
PW5475-02	WEIGHTS AND MEASURES INSPECTION RECORDS			
PW5475-02a	WEIGHTS AND MEASURES INSPECTION RECORDS	Record, maintained in a bound volume or on separate forms, of each inspection, measurement, and test made by a sealer of weights and measures.	3 years.	
PW5475-02b	WEIGHTS AND MEASURES INSPECTION RECORDS	Copies of reports to the Texas Department of Agriculture on violations of state weights and measures laws.	1 year.	

PART 9: LIBRARY AND MUSEUM RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5500-01	ACCESSION/DEACCESSION RECORDS	Records used to update library catalogs or inventory records of the accession through purchase or gift or the deaccession through loss or withdrawal of library and museum materials.	AV.	Retention Note: This record series does not include the record copy of purchase requisitions or orders or accounts payable documentation. See item numbers GR1025-26 and GR1075-03 in Local Schedule GR.
PW5500-02	BORROWER REGISTRATION RECORDS	Records documenting the registration of borrowers.	AV.	
PW5500-03	CIRCULATION RECORDS	Records documenting the circulation of library materials to individual borrowers.	AV.	

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5500-04	INTERLIBRARY LOAN RECORDS	Records relating to the lending and borrowing of library materials through interlibrary loan.	AV.	Retention Note: It is an exception to the retention period for this item that if interlibrary loan services are funded by indirect grants from the U.S. Department of Education, the record copy of documents evidencing interlibrary loan activity must be retained for FE + 5 years. See introductory retention note concerning grant records in Part 2 of Local Schedule GR (Records Common to All Local Governments).
PW5500-05	INVENTORY RECORDS	Shelf lists or equivalent records showing current library and museum holdings.	Until superseded.	
PW5500-06	LIBRARY CATALOGS		Until superseded.	

PART 10: PARKS AND RECREATION RECORDS

Retention Note: This part concerns records associated with the use of parks; playgrounds; community centers; swimming pools; theaters; concert halls; golf courses; zoos; civic auditoriums; and other sports, recreational, and cultural facilities owned and operated by a local government.

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5525-01	ATTENDANCE REPORTS	Reports, statistical compilations, and similar records of attendance at and the use of parks and recreational facilities.		
PW5525-01a	ATTENDANCE REPORTS	Annual reports.	PERMANENT.	
PW5525-01b	ATTENDANCE REPORTS	Monthly reports.	3 years.	
PW5525-01c	ATTENDANCE REPORTS	Daily or weekly reports.	1 year.	
PW5525-02	HORTICULTURAL FILES	Inventories, maps, and similar records relating to the botanical description and location of all plants, trees, and shrubs in local government parks, botanical gardens, arboretums, zoos, etc.	AV.	Retention Note: Review before disposal; some records in this group may merit PERMANENT retention for historical reasons.

Record Number	Record Title	Record Description	Retention Period	Remarks
*PW5525-03	PROGRAM FILES	Records relating to sports, recreational, or cultural activities and programs sponsored by a local government, including activity schedules, programs, rosters, status sheets, scorebooks, rules and regulations, activity planning records, and all other similar records not noted elsewhere in this part.	2 years.	Retention Note: Review before disposal; some records in this group may merit PERMANENT retention for historical reasons.
PW5525-04	RESERVATION AND REGISTRATION RECORDS			
PW5525-04a	RESERVATION AND REGISTRATION RECORDS	Logs or similar records documenting the reservation of park and recreational facilities.	2 years.	
PW5525-04b	RESERVATION AND REGISTRATION RECORDS	Applications for reserved use of park and recreational facilities not requiring a permit under local ordinance or policy.	2 years.	Retention Note: For reserved or special use of park or recreational facilities requiring a permit under local ordinance or policy see item number GR1000-36 in Local Schedule GR.
*PW5525-04c	RESERVATION AND REGISTRATION RECORDS	Waivers of liability/parental consents.	3 years from cessation of activity for which the waiver was signed.	Retention Note: If an accident occurs to any person covered by a signed waiver of liability, it must be retained for the same period as accident reports. See item number GR1000-20 in Local Schedule GR.
PW5525-05	SWIMMING POOL REPORTS	Swimming pool water quality test and analysis reports.	3 years.	
PW5525-06	VISITOR LOGS	Guest books, registers, logs, or similar records of visitors to museums, historical sites, and other facilities owned or operated by a local government.	2 years.	

PART 11: ZOO RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5550-01	PERMITS AND LICENSES	Permits and licenses required by law or regulation from the U. S. Department of Agriculture, the Fish and Wildlife Service of the U. S. Department of Interior, or other federal or state agencies.	Expiration or termination + 3 years.	
PW5550-02	MIGRATORY BIRD RECORDS	Records showing the species and number of migratory birds acquired, possessed and disposed of; the names and addresses of persons from whom the birds were acquired and to whom such birds were donated or sold, and the dates of the transaction.	CE + 5 years.	By regulation - 50 CFR 21.12(b).
PW5550-03	WILDLIFE RECORDS	Records relating to zoo wildlife, except migratory birds (see item number PW5500-02).		
PW5550-03a	WILDLIFE RECORDS	Records relating to the taking, possession, transportation, sale, purchase, barter, exportation, or importation of wildlife under permit issued by the Fish and Wildlife Service of the U. S. Department of Interior.	Expiration of permit + 5 years.	By regulation - 50 CFR 13.46.
PW5550-03b	WILDLIFE RECORDS	Records relating to the euthanization or disposal of dead zoo animals except as noted in PW5550-03c.	1 year.	By regulation - 9 CFR 2.80(a).
PW5550-03c	WILDLIFE RECORDS	Necropsy reports on dead marine mammals.	3 years.	By regulation - 9 CFR 3.110(g).
PW5550-03d	WILDLIFE RECORDS	Water quality test reports for marine mammal facilities.	1 year.	By regulation - 9 CFR 3.106(a)(3).

PART 12: PUBLIC BROADCASTING RECORDS

Retention Notes: a) The retention periods in this part are for the records of noncommercial AM or FM radio and television broadcasting stations owned and operated by a local government.

b) Throughout this part the Federal Communication Commission is referred to as the FCC.

c) It is an exception to the retention periods given in this part, that records having a substantial bearing on a matter which is the subject of a claim against the licensee, or relating to an FCC investigation or a complaint to the FCC of which the licensee has been advised, shall be retained until the licensee is notified in writing that the records may be discarded, or, if the matter is a private one, the claim has been satisfied or is barred by statutes of

limitation. In addition, it is an exception to the retention period for item number PW5575-08 that logs involving communications incident to a disaster or which include communications incident to or involved in an investigation by the FCC and about which the licensee has been notified, shall be retained by the licensee until specifically authorized in writing by the FCC to destroy them.

Record Number	Record Title	Record Description	Retention Period	Remarks
* PW5575-01	APPLICATIONS AND RELATED MATERIALS	A copy of any application tendered for filing with the FCC, together with all related material, including supporting documentation of any points claimed in the application pursuant to Sec. 73.7003, and copies of FCC decisions pertaining thereto. If petitions to deny are filed against the application and have been served on the applicant, a statement that such a petition has been filed shall be maintained in the file together with the name and address of the party filing the petition.	Applications shall be retained until final action has been taken on the application, except that applications for a new construction permit granted pursuant to a waiver showing and applications for assignment or transfer of license granted pursuant to a waiver showing shall be retained for as long as the waiver is in effect. In addition, license renewal applications granted on a short-term basis shall be retained until final action has been taken on the license renewal application filed immediately following the shortened license term.	By regulation - 47 CFR 73.3527(e)(2).

Record Number	Record Title	Record Description	Retention Period	Remarks
* PW5575-02	ISSUES/PROGRAMS LISTS	For nonexempt noncommercial educational broadcast stations, every three months a list of programs that have provided the station's most significant treatment of community issues during the preceding three month period. The list shall include a brief narrative describing what issues were given significant treatment and the programming that provided this treatment. The description of the programs shall include, but shall not be limited to, the time, date, duration, and title of each program in which the issue was treated.	Until final action has been taken on the station's next license renewal application.	By regulation - 47 CFR 73.3527(e)(8)(i).
PW5575-03	CONSTRUCTION PERMIT RECORDS	Records relating to applications for the construction of new stations in the noncommercial educational broadcast services, including copies of applications and all exhibits, letters, and other documents tendered with or incorporated by reference in the application; all correspondence between the applicant and the FCC; any initial and final decisions in any hearings on the application; copies of any petitions filed to deny the application; and documentation relating to any requests for an extension of time to complete construction.		
PW5575-03a	CONSTRUCTION PERMIT RECORDS	If permit is granted.	Until the expiration of the first licensing term (5 years for television licensees and 7 years for radio licensees) or until the grant of the first renewal application of the license in question, whichever later.	By regulation - 47 CFR 73.3527(e)(2).
PW5575-03b	CONSTRUCTION PERMIT RECORDS	If permit is denied.	Until denial of permit by the FCC or, if appealed to a court, until decision of FCC upheld.	

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5575-04	DONOR LISTS	Lists of donors supporting specific programs broadcast by the station.	2 years.	By regulation - 47 CFR 73.3527(e)(9).
*PW5575-05	EQUAL EMPLOYMENT OPPORTUNITY FILE	Copies of annual employment reports filed with the FCC, including all exhibits, letters, and other documents filed with or incorporated by reference in the report.	Until final action has been taken on the station's next license renewal application.	By regulation - 47 CFR 73.3527(e)(6).
PW5575-06	OPERATIONAL LICENSES AND PERMITS	Station operation and broadcasting licenses and permits from the FCC, <i>except</i> those noted elsewhere in this part.	Expiration or cancellation of license or permit + 3 years.	
PW5575-07	POLITICAL FILES	Record of requests made by or on behalf of political candidates for broadcast time, including a schedule of time purchased or provided free, when spots actually aired, the rates charged (if any), and the classes of time purchased (if any).	2 years.	By regulation - 47 CFR 73.1943(c).
PW5575-08	STATION LOGS	Logs containing technical data on the operation of the station as required by regulations of the FCC (47 CFR 73.1800 and 73.1820).	2 years, but see retention note.	By regulation - 47 CFR 73.1840(a). Retention Note: It is an exception to the retention period indicated that logs involving communications incident to a disaster or which include communications incident to or involved in an investigation by the FCC and about which the licensee has been notified, shall be retained by the licensee until specifically authorized in writing by the FCC to destroy them. In addition, logs incident to or involved in any claim or complaint of which the licensee has notice shall be retained by the licensee until such claim or complaint has been fully satisfied or until the same has been barred by statute limiting the time for filing of suits upon such claims.

PART 13: SOCIAL SERVICES RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5600-01	AGING AND DISABLED, RECORDS OF SERVICES FOR THE	Records of local government services for the elderly and disabled, funded through grants from the Texas Department of Aging and Disability.		
*PW5600-01a	AGING AND DISABLED, RECORDS OF SERVICES FOR THE	Financial records, supporting documents, statistical records, and other records relating to the performance of local governments designated to receive grants as area agencies on aging or local governments subcontracting for services to older persons such as transportation, homemaker services, multipurpose senior centers, information and referral, nutrition services, etc.	5 years following the end of the federal fiscal year to which the record pertains and until any pending litigation, claim, or audit findings, issuance or proposed disallowed costs or other disputes have been resolved.	
PW5600-01b	AGING AND DISABLED, RECORDS OF SERVICES FOR THE	Records relating to all complaints filed concerning a grantee agency.	5 years after the end of grantee's fiscal year and until any pending litigation, claim or audit findings, issuance of proposed disallowed costs, or other disputes have been resolved.	By regulation - 40 TAC 81.21(d).
PW5600-01c	AGING AND DISABLED, RECORDS OF SERVICES FOR THE	Training records certifying completion of an approved National Safety Council Defensive Driving Course for vehicle operators providing transportation services authorized under Title III of the Older Americans Act.	Until superseded.	Retention Note: Current certification must be retained to verify that training has been received.

Record Number	Record Title	Record Description	Retention Period	Remarks
* PW5600-01d	AGING AND DISABLED, RECORDS OF SERVICES FOR THE	Administrative, fiscal, personnel, and client case records documenting case management services and nursing facilities.	3 years and 90 days after termination of the contract or until any litigation, claim, or audit is resolved, whichever is longer.	By regulation- 40 TAC 69.158(a) and 40 TAC 19.1924(2) Retention Note: Any personnel or payroll records in this record group must be kept for the retention period indicated here or for the retention period for the record in Part 3 of Local Schedule GR (Records Common to All Local Governments), whichever longer.
* PW5600-01e	AGING AND DISABLED, RECORDS OF SERVICES FOR THE	Records relating to services performed by local authorities under the Texas Home Living Program.	6 years from the date the records were created; any audit exception or litigation involving the records is resolved; or the individual becomes 21 years of age.	By regulation - 40 TAC 9.574(a)(b).
* PW5600-01f	AGING AND DISABLED, RECORDS OF SERVICES FOR THE	Records relating to services performed by local authorities under the ICF/MR Program.	5 years from the date the records were created; any audit exception or litigation involving the records is resolved; or the individual becomes 21 years of age.	By regulation - 40 TAC 9.213(b).
* PW5600-01g	AGING AND DISABLED, RECORDS OF SERVICES FOR THE	Clinical records relating to Nursing Facility Requirements for Licensure and Medicaid Certification.	5 years after medical services end; or for a minor, three years after a resident reaches legal age under Texas law.	By regulation - 40 TAC 19.1910(b).
* PW5600-01h	AGING AND DISABLED, RECORDS OF SERVICES FOR THE	Index of admissions and discharges.	PERMANENT.	By regulation - 40 TAC 19.1912(a).
PW5600-02	CHILD PROTECTIVE SERVICE RECORDS	Records of local government services to protect children from abuse and neglect.		

Record Number	Record Title	Record Description	Retention Period	Remarks
*PW5600-02a	CHILD PROTECTIVE SERVICE RECORDS	<p>Child placement services (24-hour care and adoption).</p> <p>(1) Case records of children placed in substitute care <i>except</i> for health records and documentation of the termination of parental rights.</p> <p>(2) For children placed in substitute care, health records that physicians advise will be of medical importance to the child and information concerning the termination of parental rights or the court order.</p> <p>(3) Case records of children placed in adoption.</p>	<p>Date minor reaches majority age + 5 years.</p> <p>PERMANENT.</p> <p>PERMANENT.</p>	
PW5600-02b	CHILD PROTECTIVE SERVICE RECORDS	Child welfare contracts - Fiscal documents maintained by a county to ensure that claims for federal matching funds for child welfare contracts with the Department of Family and Protective Services (DFPS) meet applicable federal requirements.	3 years after the final expenditure date is submitted.	Retention Note: If audited during the three-year period, the county must keep the documents until any audit exceptions are reconciled.

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5600-02c	CHILD PROTECTIVE SERVICE RECORDS	<p>Contracts with Department of Family and Protective Services (DFPS) for services for runaways and at-risk youth.</p> <p>(1) Financial and supporting documents, statistical records, and any other records pertinent to the services for which a claim or cost report was submitted to the department or its agent.</p> <p>(2) Records of nonexpendable property acquired under the contract.</p>	<p>3 years and 90 days after the end of the contract period or 3 years after the end of the federal fiscal year in which services were provided (if a provider agreement/contract has no specific termination date in effect) or until all litigation, claims, or audit findings are resolved.</p> <p>3 years after the final disposition of the property.</p>	<p>By regulation - 40 TAC 732.262(b).</p> <p>Retention Note: Contract period means the beginning date through the ending date specified in the original agreement/contract; extensions are considered separate contract periods.</p> <p>By regulation - 40 TAC 732.262(b).</p>
PW5600-02d	CHILD PROTECTIVE SERVICE RECORDS	Client files documenting protective services funded through contracts with the Department of Family and Protective Services (DFPS).	5 years from the last date of services.	By regulation - 40 TAC 732.262(c) for medical records, and by authority of this schedule for documentation of other child welfare services.
PW5600-03	PURCHASED SOCIAL SERVICES RECORDS	Documentation of social services funded through a contract with the Health and Human Services Commission except purchased health services listed in Local Schedule HR (Records of Public Health Agencies).		

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5600-03a	PURCHASED SOCIAL SERVICES RECORDS	Financial and supporting documents, statistical records, and any other records pertinent to the services for which a claim or cost report was submitted to the department or its agent.	3 years and 90 days after the end of the contract period or 3 years after the end of the federal fiscal year in which services were provided (if a provider agreement/contract has no specific termination date in effect) or until all litigation, claims, or audit findings are resolved.	Retention Note: Contract period means the beginning date through the ending date specified in the original agreement/contract; extensions are considered separate contract periods.
PW5600-03b	PURCHASED SOCIAL SERVICES RECORDS	Records of nonexpendable property acquired under the contract.	3 years after the final disposition of the property.	
PW5600-03c	PURCHASED SOCIAL SERVICES RECORDS	Social services client files.	5 years from the last date of services.	
PW5600-04	SOCIAL SERVICE CLIENT CASE FILES	Records of local government programs that provide social services such as emergency assistance, child care programs, services to the aged and disabled, housing and homelessness programs, etc., <i>except</i> for those programs funded by contracts with state agencies, as specified elsewhere in this section.		
PW5600-04a	SOCIAL SERVICE CLIENT CASE FILES	Denied applicant records including application, eligibility worksheet, note of eligibility decision, reason for denial, and explanation of appeal process.	3 years.	
PW5600-04b	SOCIAL SERVICE CLIENT CASE FILES	Eligible applicant records documenting services provided including application for services, eligibility verification, case assessment, referrals to community resources, etc.	5 years from last date of service.	
* PW5600-05	VOLUNTEER SERVICE FILES	Information about individual volunteers and duties they perform.	US or date of separation + 3 years.	

PART 14: VETERANS SERVICE OFFICER RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5625-01	CLIENT FILES	Original records documenting the work of veterans service officers with their clients and copies of documents that by law, regulation, or administrative policy of authorizing federal or state agencies are retained by the agent after filing originals with the agency.	3 years.	

PART 15: GAMING RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5650-01	BINGO APPLICATIONS AND LICENSES	Copies of applications to conduct bingo games and copies of bingo licenses.		
PW5650-01a	BINGO APPLICATIONS AND LICENSES	Applications.	1 year.	
PW5650-01b	BINGO APPLICATIONS AND LICENSES	Licenses and license renewals.	Until superseded, <i>but see retention note.</i>	Retention Note: If a bingo license is 2 years old and has not been superseded by a new license, it may be disposed of.
PW5650-02	REPORTS OF PROCEEDS	Reports of proceeds of bingo operators licensed to operate in counties and cities.		
PW5650-02a	REPORTS OF PROCEEDS	If the city or county has imposed a gross receipts tax on bingo proceeds.	FE + 3 years.	
PW5650-02b	REPORTS OF PROCEEDS	If the city or county has not imposed a gross receipts tax on bingo proceeds.	AV.	

PART 16: CEMETERY RECORDS

Retention Note: This part applies to the records of cemeteries operated by counties, cities, or any other local government.

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5675-01	CREMATION RECORDS	Records relating to the cremation of human remains in a cemetery crematorium showing name and age of deceased (if known), date of cremation, and disposition of cremated remains.	PERMANENT.	
PW5675-02	INTERMENT RECORDS	Records showing name and age of deceased (if known), date of interment, and type and location of interment.	PERMANENT.	
PW5675-03	DISINTERMENT RECORDS	Court or health department exhumation orders, copies of disinterment permits, reports concerning the disinterment and subsequent disposition of the exhumed remains, and similar records relating to the disinterment or exhumation of human remains.	PERMANENT.	
PW5675-04	CEMETERY MAPS AND PLATS	Maps, plats, or similar records showing the location of all graves and gravesites in the cemetery.	PERMANENT.	
PW5675-05	CEMETERY REGISTERS	Ledgers, registers, or similar records showing all cemetery lots by plat number with the name of the purchaser, purchase price, and date of purchase.	PERMANENT.	
PW5675-06	DEEDS (CEMETERY)	Deed books or copies of deeds or comparable instruments of ownership of lots and gravesites, including similar records relating to deed transfers.	PERMANENT.	

PART 17: COUNTY HISTORICAL COMMISSION RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
PW5700-01	COUNTY REGISTER OF HISTORICAL PLACES AND MEMORABILIA	Register containing data on historical places and memorabilia required of county historical commissions by the Local Government Code, Section 318.006(b).	PERMANENT.	

PART 18: MISCELLANEOUS RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
*PW5725-01	OIL AND GAS RECORDS	Records relating to drilling for oil and gas on land owned by municipalities or other local governments.		
*PW5725-01a	OIL AND GAS RECORDS	Permits.	Expiration, cancellation, revocation, or denial of permit + 5 years.	
*PW5725-01b	OIL AND GAS RECORDS	Inspection reports.	3 years.	
*PW5725-01c	OIL AND GAS RECORDS	Oil and gas lease and production records, and division orders.	Expiration, cancellation, or revocation of associated lease + 5 years.	

Comments or complaints regarding the programs and services of the Texas State Library and Archives Commission can be addressed to the Director and Librarian, PO Box 12927, Austin, TX 78711-2927.
512-463-5460 or 512-463-5436 Fax

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TEXAS STATE LIBRARY AND ARCHIVES COMMISSION

LOCAL SCHEDULE UT (Second Edition)

RETENTION SCHEDULE FOR RECORDS OF PUBLIC UTILITY SERVICES

This schedule establishes mandatory minimum retention periods for records maintained in water districts and by local government-owned water and wastewater, solid waste, electric, gas, or other special utility districts. No local government office may dispose of a record listed in this schedule prior to the expiration of its retention period. A records control schedule of a local government may not set a retention period that is less than that established for the record in this schedule. Original paper records may be disposed of prior to the expiration of their minimum retention periods if they have been microfilmed or electronically stored pursuant to the provisions of the Local Government Code, Chapter 204 or Chapter 205, as applicable, and rules of the Texas State Library and Archives Commission adopted under those chapters. Actual disposal of such records by a local government is subject to the policies and procedures of its records management program.

Destruction of local government records contrary to the provisions of the Local Government Records Act of 1989 and administrative rules adopted under it, including this schedule, is a Class A misdemeanor and, under certain circumstances, a third degree felony (Penal Code,

Section 37.10). Anyone destroying local government records without legal authorization may also be subject to criminal penalties and fines under the Public Information Act (Government Code, Chapter 552).

INTRODUCTION

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

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

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

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

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

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

Certain records listed in this schedule are assigned the retention period of AV (as long as administratively valuable). This retention period affords local governments the maximum amount of discretion in determining a specific retention period for the record described.

Use of Asterisk (*)

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

ABBREVIATIONS USED IN THIS SCHEDULE

- AV - As long as administratively valuable
- CFR - Code of Federal Regulations
- FE - Fiscal year end
- LA - Life of asset
- TAC - Texas Administrative Code
- US - Until superseded

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RECORDS OF UTILITY SERVICES

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

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

PART 1: GENERAL RECORDS

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

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5000-01	COMMUNICATIONS WITH REGULATORY AUTHORITY, RECORD OF	Record maintained by a municipality as a utility regulatory authority detailing contacts by regulated utilities or their affiliates or representatives with the municipality.	2 years.	
UT5000-02	COMPLAINTS			
UT5000-02a	COMPLAINTS	Record of complaints from customers or applicants for public utility services except that complaints requiring no further action by the utility need not be recorded. Includes the name and address of the complainant, the date and nature of the complaint, and the adjustment or disposition made.	Final settlement of complaint + 2 years.	By regulation - 30 TAC 291.81(b)(4) for water and sewer utilities, and by authority of this schedule for all others.
*UT5000-02b	COMPLAINTS	Complaints to the Public Utility Commission about electric service providers.	Determination by the Public Utility Commission + 2 years.	By regulation - 16 TAC 25.30 (c)(3) for electric service providers.
*UT5000-02c	COMPLAINTS	Complaints to public water utilities regarding quality, outage, or pressure.	2 years.	By regulation - 30 TAC 290.46(f)(3)(A)(iii).

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5000-03	CONFIDENTIALITY REQUESTS	Forms or other written requests submitted by utility customers requesting confidentiality of personal information (address, telephone number, and social security number) in account records, including any subsequent written instructions to rescind requests for confidentiality.		
UT5000-03a	CONFIDENTIALITY REQUESTS	If indication of confidentiality is made in a customer account history (item number UT5000-05).	AV after indication made.	
UT5000-03b	CONFIDENTIALITY REQUESTS	If indication of confidentiality is not made in a customer account history (item number UT5000-05).	Until destruction of all records that contain personal information about the customer.	Retention Note: This record consists only of separate forms used by a utility to determine the wishes of a customer concerning confidentiality. It does not include confidentiality requests made on return portions of statements, service applications, etc.
*UT5000-04	CUSTOMER BILLING RECORDS	Monthly or other periodic billing detail records on each customer utility account documenting utility charges and payments.		
*UT5000-04a	CUSTOMER BILLING RECORDS	Electric service providers.	2 years.	By regulation - 16 TAC 25.25(e).
*UT5000-04b	CUSTOMER BILLING RECORDS	Electric service providers for services other than electricity and all other government utilities, if records do not document the payment of any monies remittable to the State Comptroller of Public Accounts.	FE + 3 years.	
*UT5000-04c	CUSTOMER BILLING RECORDS	Electric service providers for services other than electricity and all other government utilities, if records document the payment of any monies remittable to the State Comptroller of Public Accounts.	FE + 5 years.	
*UT5000-04d	CUSTOMER BILLING RECORDS	Authorization forms used to enroll in electronic funds transfer or other automatic payment methods.	US or close of account.	

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5000-05	CUSTOMER ACCOUNT HISTORIES	Account history of each customer of a utility, including all information (name, address, account number, etc.) necessary to provide and bill for services.	Close of account + 2 years.	
UT5000-06	CUSTOMER USAGE REPORTS AND PLANS	Reports, plans, or similar records that by law or regulation must be submitted to a utility from customers concerning intended or actual use of the utility system (e.g. statements of intent to irrigate acreage submitted to an irrigation district, industrial user discharge reports submitted to publicly-owned treatment works, etc.).	3 years.	By regulation - 40 CFR 403.12(o)(3) for industrial user discharge reports and by authority of this schedule for all others.
UT5000-07	DISCONTINUANCE OF SERVICE RECORDS	Records relating to the actual or threatened disconnection or discontinuance of utility service to a customer for non-payment or violation of terms of service, including termination notices, attending physician statements, energy assistance grant notifications, deferred payment agreements, and resolution of dispute review documents.	1 year.	
*UT5000-08	EQUIPMENT HISTORY RECORDS			
UT5000-08a	EQUIPMENT HISTORY RECORDS	Records on individual items of equipment, machinery, apparatus, or other physical components integral to the functioning of a utility system, including records of installation, inspection, testing, maintenance, and repair. See also item number UT5000-09.	LA.	
*UT5000-08b	EQUIPMENT HISTORY RECORDS	Records of the calibration of testing and monitoring instruments, except those to monitor air emissions.	3 years.	By regulation - 30 TAC 319.7(c) for instrumentation used in monitoring waste discharge, and by authority of this schedule for all others, except those to monitor air emissions.
*UT5000-08c	EQUIPMENT HISTORY RECORDS	Records of the calibration of instrumentation used to monitor air emissions.	2 years.	By regulation - 30 TAC 111.111.

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5000-09	EQUIPMENT INVENTORY RECORDS	Registers, index cards, or similar records providing an inventory of equipment, machinery, apparatus, and other physical components installed or in use in a utility system, showing location, date of installation, and similar data.		
UT5000-09a	EQUIPMENT INVENTORY RECORDS	For a complete inventory that is periodically revised and reprinted.	US + 1 year.	
*UT5000-09b	EQUIPMENT INVENTORY RECORDS	For an inventory that is maintained on cards or similar discrete media.	LA, but see retention note.	Retention Note: Records of individual items may be pulled from a card or similar file and destroyed when the item is junked or salvaged.
UT5000-10	MAPS AND PLATS	Maps and plats of local government-owned utility systems showing service areas, facilities, and infrastructure. See also item number UT5000-14.		
UT5000-10a	MAPS AND PLATS	Landfills.	PERMANENT.	
UT5000-10b	MAPS AND PLATS	All other utilities.	US.	Retention Note: Review before disposal; some maps may merit PERMANENT retention for historical reasons.
UT5000-11	METER READING RECORDS	Books, cards, sheets, or similar records, such as those maintained in automated systems, showing monthly or other periodic utility consumption recorded on each meter, including those provided by customers in customer-read programs.	3 years.	
UT5000-12	OPERATION AND MAINTENANCE MANUALS	Manuals detailing procedures for the operation and maintenance of utility systems and equipment.	US.	

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5000-13	PLANNING STUDIES AND REPORTS	Studies, reports, analyses, research data, projections, graphic material, and similar planning documents by outside consultants or in-house staff relating to comprehensive planning, capital improvements, land use and open space, economic development and outlook, regional and intergovernmental cooperation, growth patterns, demographics, long range forecasts and projections, and other aspects of utility planning not listed elsewhere in this schedule.		
UT5000-13a	PLANNING STUDIES AND REPORTS	Special planning studies or reports prepared by order or request of the governing body or considered by the governing body (as reflected in its minutes) or ordered or requested by a state or federal agency or a court.	PERMANENT.	
UT5000-13b	PLANNING STUDIES AND REPORTS	All other planning reports or studies.	10 years.	<p>Retention Notes: a) Review before disposal; many records of this type may merit PERMANENT or long-term retention for administrative or historical reasons. See also item number GR1000-39.</p> <p>b) Be certain that planning documents do not fall within other records series. For example, excavation and construction plans are included under item number UT5000-14(a) and plans required for a solid waste landfill disposal site are included under item number UT5050-07(b).</p>

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5000-14	PRIVATE UTILITY PLANS AND MAPS	Excavation and construction plans, maps and diagrams, and similar records concerning the transmission and distribution systems of privately owned electric, gas, water, telephone, telegraph, and cable television companies maintained by a local government.		
*UT5000-14a	PRIVATE UTILITY PLANS AND MAPS	Excavation and construction plans.	Completion of work + 3 years.	
*UT5000-14b	PRIVATE UTILITY PLANS AND MAPS	Maps.	US.	Review before disposal; some maps may merit PERMANENT retention for historical reasons.
UT5000-15	RATE SCHEDULES, REGULATIONS, AND CHANGE DOCUMENTATION	Tariffs containing schedules of all rates, tolls, charges, and regulations pertaining to all services provided by a utility, including notices of intent to change rates and associated rate change or rate appeal documentation.		
UT5000-15a	RATE SCHEDULES, REGULATIONS, AND CHANGE DOCUMENTATION	Maintained by a local government as operator of a utility (including superseded tariffs).	PERMANENT.	
UT5000-15b	RATE SCHEDULES, REGULATIONS, AND CHANGE DOCUMENTATION	Maintained by a municipality or other local government as a regulatory authority. (1) Tariffs. (2) All other documentation.	US. 5 years.	
UT5000-15c	RATE SCHEDULES, REGULATIONS, AND CHANGE DOCUMENTATION	Received and maintained by a local government as an entity to be affected by proposed change.	AV.	
UT5000-15d	RATE SCHEDULES, REGULATIONS, AND CHANGE DOCUMENTATION	Rate appeal documentation maintained by a local government appealing a rate determination.	AV after final disposition of the appeal.	

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5000-16	SERVICE APPLICATION AND DEPOSIT RECORDS			
UT5000-16a	SERVICE APPLICATION AND DEPOSIT RECORDS	Service applications, unless needed for (b).	1 year.	
UT5000-16b	SERVICE APPLICATION AND DEPOSIT RECORDS	Receipts, refund cards, and related records documenting customer deposits and refunds.	FE of refund of deposit or its credit to unpaid balance + 3 years.	
*UT5000-16c	SERVICE APPLICATION AND DEPOSIT RECORDS	Records of unclaimed deposits for water and sewer utilities.	7 years.	By regulation - 30 TAC 291.84(g)(3) for water and sewer utilities.
*UT5000-16d	SERVICE APPLICATION AND DEPOSIT RECORDS	Records of unclaimed deposits except for water and sewer utilities.	4 years.	By regulation - 16 TAC 25.24(i)(3) for electric service providers, and by authority of this schedule for all others except water and sewer utilities.
*UT5000-17	SERVICE INTERRUPTION RECORDS	Reports, logs, or similar records detailing location, time, and cause of interruption of utility services or operations, including any written reports of service interruptions submitted to a regulatory authority as required by law or regulation.	5 years.	
UT5000-18	STANDARDS AND SPECIFICATIONS FILES	Standards and specifications for materials, supplies, and services.	AV.	Retention Note: Standards and specifications related to records series listed in Local Schedule GR (Records Common to All Governments) such as bid proposals (item number GR1075-01) and construction project files (item number GR1075-16) should be maintained for the retention period adopted for those records.
UT5000-19	WORK ORDERS	Work orders, service orders, and similar records requesting, authorizing, and describing work to be done by utility personnel.	2 years.	

PART 2: WATER AND WASTEWATER RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
*UT5025-01	MICROBIOLOGICAL ANALYSIS RECORDS	Records of microbiological analyses of water and wastewater systems.	5 years.	By regulation - 30 TAC 290.46(f)(3)(D)(i).
*UT5025-02	CHEMICAL ANALYSIS RECORDS	Records of chemical analyses of water and wastewater systems.	10 years.	By regulation - 30 TAC 290.46(f)(3)(E)(ii).
UT5025-03	GROUNDWATER MONITORING RECORDS	For water and wastewater permits containing a groundwater monitoring requirement, records from all groundwater monitoring wells and associated groundwater surface elevations.	3 years.	By regulation - 30 TAC 319.7(c) for waste discharge permits and by authority of this schedule for all others.
UT5025-04	INSPECTION RECORDS	Logs, reports, or similar records of inspection of septic tanks, catch basins, or other private sector water-related facilities by water or wastewater personnel.	3 years.	
UT5025-05	LEAD AND COPPER COMPLIANCE RECORDS	Records of all sampling data and analyses, reports, surveys, letters, evaluations, schedules, state determinations, and other information required by the Environmental Protection Agency to demonstrate compliance with requirements concerning corrosion control treatment, source water treatment, lead service line replacement, public education and supplemental monitoring, water quality parameters, and monitoring of lead and copper in source and tap water.	12 years.	By regulation - 40 CFR 141.91.
UT5025-06	OPERATIONAL PERMITS AND APPROVALS			

Record Number	Record Title	Record Description	Retention Period	Remarks
*UT5025-06a	OPERATIONAL PERMITS AND APPROVALS	Permits and approvals from the Texas Commission on Environmental Quality, the Environmental Protection Agency, and other county, state, and federal agencies as required by law or regulation concerning wastewater treatment and disposal, water use, water districts, environmental protection; and any reports, correspondence, or other documentation bearing directly on the application for, the issuance of, or the renewal of the permit or approval.	Expiration, cancellation, revocation, or denial + 5 years.	
*UT5025-06b	OPERATIONAL PERMITS AND APPROVALS	Records concerning any variance or exemption granted to a system.	Expiration of variance or exemption + 5 years.	By regulation - 30 TAC 290.46(f)(3)(C)(i).
*UT5025-07	OPERATIONS RECORDS	Internal records, reports, logs, or similar records that document or summarize the operations of water supply, treatment, and distribution facilities, stations, and systems; and wastewater collection and treatment facilities, plants, and systems.		
UT5025-07a	OPERATIONS RECORDS	Records of monitoring activities, including records concerning measurements and analyses performed and concerning calibration and maintenance of flow measurement and other instrumentation.	3 years.	By regulation - 30 TAC 319.7(c) for wastewater operations, 30 TAC 290.46(f)(3)(B) for public water systems, and by authority of this schedule for all others.
UT5025-07b	OPERATIONS RECORDS	Periodic logs or reports compiled on less than an annual basis.	3 years.	
UT5025-07c	OPERATIONS RECORDS	Annual or biennial reports.	PERMANENT.	

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5025-08	REPORTS TO REGULATORY AUTHORITIES	Periodic monitoring, financial, and operational reports submitted to the Texas Commission on Environmental Quality, the Environmental Protection Agency, or other agencies and local governments as required by law or regulation on the collection, treatment, and disposal of wastewater and for monitoring the quality of any water in the state.		
UT5025-08a	REPORTS TO REGULATORY AUTHORITIES	Periodic reports compiled and submitted on less than an annual basis.	3 years.	
UT5025-08b	REPORTS TO REGULATORY AUTHORITIES	Annual and biennial reports or special reports ordered or required by a regulatory authority.	PERMANENT.	
*UT5025-09	SANITARY SURVEYS	Surveys, studies, reports, summaries, or communications examining the overall sanitary condition of water and wastewater systems.	10 years.	By regulation - 30 TAC 290.46(f)(3)(E)(iii).
UT5025-10	TAP AND HOOK-UP LOGS	Logs, log sheets, or comparable documents providing a record of water or sewer tap and hook-up permits issued showing location, date of installation, and similar data.	PERMANENT.	
*UT5025-11	VIOLATION REPORTS	Reports, correspondence, and similar records relating to actions taken to correct violations of federal, state, or local primary drinking water regulations; or of other water or wastewater-related laws, ordinances, or regulations.	3 years after last action taken with respect to the particular violation.	By regulation - 30 TAC 290.46(f)(3)(B)(i).
UT5025-12	WATER AND WASTEWATER PERMIT FILES			

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5025-12a	WATER AND WASTEWATER PERMIT FILES	Applications for and similar records relating to the issuance and renewal of permits by a local government for the installation of septic tanks, water and sewer taps and hook-ups, and water meters; for waste discharge; and for other water or wastewater-related installations or activities required by ordinance, regulation, or statute (for logs of such permits see item numbers UT5025-10 and UT5025-13).	Expiration, cancellation, revocation, or denial of the permit + 5 years.	
*UT5025-12b	WATER AND WASTEWATER PERMIT FILES	Records concerning variances or exemptions.	Expiration of variance or exemption + 5 years.	By regulation - 30 TAC 290.46(f)(3)(C)(i) for public water systems and by authority of this schedule for all others.
UT5025-13	WATER AND WASTEWATER PERMIT LOGS	Logbooks, registers, or comparable documents providing a record of water and wastewater permits issued by a local government or any of its departments or subdivisions.	PERMANENT.	
UT5025-14	WATER AND WASTEWATER TREATMENT SLUDGE RECORDS			
UT5025-14a	WATER AND WASTEWATER TREATMENT SLUDGE RECORDS	Records of operators of public water and wastewater treatment plants that apply sewage sludge to land for beneficial use or prepare/provide sewage sludge to persons who prepare, apply, sell, or give away sewage sludge for land application for beneficial use. Includes sludge sample analyses; certification statements; and descriptions of how pathogen requirements, vector attraction reduction requirements, site restrictions, and management practices are met.	5 years.	By regulation - 30 TAC 312.47(a) and (b).

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5025-14b	WATER AND WASTEWATER TREATMENT SLUDGE RECORDS	Records of operators of public water and wastewater treatment plants that prepare sewage sludge that is to be placed on a surface disposal site including sludge sample analyses, certification statements, and descriptions of how pathogen requirements and vector attraction reduction requirements are met.	5 years.	By regulation - 30 TAC 312.67(a)(1).
UT5025-14c	WATER AND WASTEWATER TREATMENT SLUDGE RECORDS	Monitoring information relating to sewage sludge use and disposal activities.	5 years.	By regulation - 30 TAC 305.125(11)(B).
UT5025-14d	WATER AND WASTEWATER TREATMENT SLUDGE RECORDS	Trip tickets completed by transporter and retained by generator of sludge.	5 years.	
UT5025-15	WATER POLLUTION CONTROL AND ABATEMENT FILES	Studies, staff reports, surveys, and similar monitoring and planning records relating to the control and abatement of actual or potential water pollution in a municipality designed to meet the pollution abatement responsibilities of cities pursuant to provisions of the Water Code, Section 26.177.	5 years.	

PART 3: SOLID WASTE AND HAZARDOUS WASTE MANAGEMENT RECORDS

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

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

Record Number	Record Title	Record Description	Retention Period	Remarks
*UT5050-01	AIR POLLUTION CONTROL MONITORING RECORDS	Documentation required by solid and hazardous waste permits to assure compliance with air pollution control standards including stack sampling analyses, emissions monitoring, or other tests related to air emissions to prove satisfactory equipment performance except for sewage sludge incineration. See also item number UT5050-07(c)(2).	5 years.	By regulation - 30 TAC 101.8(d).
UT5050-02	ASBESTOS DISPOSAL RECORDS			
UT5050-02a	ASBESTOS DISPOSAL RECORDS	Waste shipment record.	2 years.	By regulation - 40 CFR 61.154(e)(4).
UT5050-02b	ASBESTOS DISPOSAL RECORDS	Map or diagram showing location, depth and area, and quantity of asbestos-containing waste within the disposal site.	Until closure of site.	By regulation - 40 CFR 61.154(f).
*UT5050-03	GROUNDWATER MONITORING RECORDS	Records of solid waste and hazardous waste collection, storage, processing, and disposal facilities that have a groundwater monitoring requirement, including analyses of samples, measurements of indicator parameters, certifications, and any other demonstrations, findings, testing, and analytical data relating to groundwater monitoring and corrective action.	Life of the facility including the post-closure care period.	By regulation - 30 TAC 330.125(d) for solid waste landfill disposal sites, 30 TAC 335.117(a)(1) and (b)(1) for hazardous waste storage, processing, and disposal facilities, and by authority of this schedule for all others.
UT5050-04	HAZARDOUS WASTE TRAINING RECORDS	Documentation of classroom instruction and on-the-job training of hazardous waste personnel sufficient to demonstrate appropriate training in compliance with federal requirements for personnel training.		
UT5050-04a	HAZARDOUS WASTE TRAINING RECORDS	Current personnel.	Until closure of facility.	By regulation - 40 CFR 264.16(e).
UT5050-04b	HAZARDOUS WASTE TRAINING RECORDS	Former employees.	Date of termination + 3 years.	By regulation - 40 CFR 264.16(e).

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5050-05	MANIFESTS AND TRIP TICKETS	Documents maintained to provide a record of solid waste or hazardous waste shipments, including manifests, trip tickets, shipping papers, bills of lading, daily logs, and other similar approved documentation.		
UT5050-05a	MANIFESTS AND TRIP TICKETS	<p>Manifests and trip tickets retained by operators of collection, storage, processing, or disposal facilities to document the type and quantity of solid waste delivered except solid waste disposal sites that receive special wastes and facilities that handle used oil filters, waste tires, sewage sludge, hazardous waste, or Class I industrial waste.</p> <p>(1) If the ticket is the only source document used for billing purposes.</p> <p>(2) If another document is used for billing purposes.</p>	<p>1 year.</p> <p>AV.</p>	
*UT5050-05b	MANIFESTS AND TRIP TICKETS	Bills of lading and other shipping records of used oil filters which must be retained by the generator of the filters, transporter of the filters, storage facility at which the filters were stored, and processor of the filters.	3 years after the date the filters were transported, stored, or processed.	By regulation - 30 TAC 328.25(b).
*UT5050-05c	MANIFESTS AND TRIP TICKETS	Manifests, work orders, invoices, or other documentation used to support activities related to the accumulation, handling, and shipment of used or scrap tires or scrap tire pieces.	3 years.	By regulation - 30 TAC 328.58(f).
UT5050-05d	MANIFESTS AND TRIP TICKETS	Trip tickets or similar documentation retained by the operators of facilities that apply prepared sewage sludge, water treatment sludge, and domestic septage to the land for beneficial uses or place it on a surface disposal site.	5 years.	

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

Record Number	Record Title	Record Description	Retention Period	Remarks
*UT5050-06a	OPERATIONAL PERMITS AND APPROVALS	Permits, registrations, and other approvals from the Texas Commission on Environmental Quality and any other local, state, or federal agency, as may be required by law or regulation concerning the collection, handling, transfer, storage, processing, transportation, and disposal of solid waste or hazardous waste by a local government except for the operation of solid waste landfill disposal sites. Includes any reports, correspondence, or other documentation bearing directly on the application for, the issuance of, or the renewal of the permit or license and any variances or exemptions granted to a facility.	Expiration, cancellation, revocation, or denial + 5 years.	
*UT5050-06b	OPERATIONAL PERMITS AND APPROVALS	Permits from the Texas Commission on Environmental Quality concerning the operation of a solid waste landfill disposal site, including any reports, correspondence, or other documentation bearing directly on the application for, the issuance of, or the renewal of the permit and any modifications to the permit.	Life of the facility including the post-closure care period.	By regulation - 30 TAC 330.125(a) and (d).
UT5050-07	OPERATIONS RECORDS	Internal operational records and reports on any aspect of the collection, handling, transfer, storage, processing, and disposal of solid waste or hazardous waste by a local government except those reports that might be included elsewhere in this schedule, such as item numbers UT5050-06 and UT5050-11.		

Record Number	Record Title	Record Description	Retention Period	Remarks
*UT5050-07a	OPERATIONS RECORDS	<p>Solid waste management operations except solid waste landfill disposal sites, sewage sludge disposal operations, and waste tire facilities.</p> <p>(1) Records of solid waste management and monitoring activities, including documentation of compliance with standards such as strip charts and instrument calibration.</p> <p>(2) Periodic logs or reports compiled on less than an annual basis.</p> <p>(3) Annual or biennial reports.</p>	<p>3 years.</p> <p>3 years.</p> <p>PERMANENT.</p>	
*UT5050-07b	OPERATIONS RECORDS	Operating record of solid waste landfill disposal sites including required plans and related documents such as the approved Site Development Plan, the Final Closure Plan, the Post-Closure Plan, the Landfill Gas Management Plan; documentation of groundwater monitoring and corrective actions; cost estimates and financial assurance documentation relating to closure and post-closure; copies of correspondence and responses relating to the operation of the facility; and any other documents specified by the approved permit.	Life of the facility including the post-closure care period.	By regulation - 30 TAC 330.125(d).

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5050-07c	OPERATIONS RECORDS	<p>Sludge disposal operations for sewage sludge, water treatment sludge, septage, chemical toilet waste, or grit trap waste.</p> <p>(1) Records of disposal of sewage sludge and domestic septage on a surface disposal site, including sludge sample analyses; certification statements; descriptions of how pathogen requirements, vector attraction reduction requirements, site restrictions, and management practices are met; and identification of land on which disposal operations are carried out.</p> <p>(2) Records of disposal of sewage sludge, water treatment sludge, septage, chemical toilet waste, or grit trap waste by firing in a sewage sludge incinerator, including measurements of the concentration of metals in the sludge fed to the incinerator, information verifying compliance with air pollution control requirements, and a calibration and maintenance log for the instruments used to monitor the exit gas and combustion temperatures.</p>	<p>5 years.</p> <p>5 years.</p>	<p>By regulation - 30 TAC 312.67(a)(2) for sewage sludge and 30 TAC 312.67(b)(1) and (b)(2) for domestic septage.</p> <p>By regulation - 40 CFR 503.47(a).</p>
*UT5050-07d	OPERATIONS RECORDS	Records of waste tire facilities including a description of events at the facility relating to routine maintenance, fires, thefts, spraying for vectors, etc.; the annual report required by the Texas Commission on Environmental Quality; a log containing copies of all monthly reimbursement vouchers; a record of the dates and documentation of calibration by the manufacturer of the scale; and a log containing copies of the monthly operations reports.	3 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5050-07e	OPERATIONS RECORDS	Hazardous waste operations.		
		(1) Operating record of hazardous waste storage, processing, and disposal facilities, including a description of and quantity of each hazardous waste received; the method and date of its treatment, storage, or disposal; the location of each hazardous waste in the facility and the quantity at each location; a map or diagram of each cell or disposal area; results of waste analyses; reports of incidents that require implementation of the contingency plan; testing or analytical data and corrective action taken; and other records as required by federal regulation.	Until closure of the facility.	By regulation - 40 CFR 265.73(b)(1). Retention Note: The retention period for the hazardous waste operating record is extended automatically during the course of any unresolved enforcement action regarding the facility.
		(2) General inspection reports for hazardous waste storage, processing, and disposal facilities.	3 years.	By regulation - 40 CFR 265.73(b)(5). Retention Note: The retention period for the inspection reports is extended automatically during the course of any unresolved enforcement action regarding the facility.
		(3) Annual or biennial reports.	PERMANENT.	

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

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5050-09a	SOLID WASTE MANAGEMENT PERMITS AND LICENSES	Applications, copies of permits or licenses, and related documentation concerning the issuance of permits or licenses by a local government for the collection, handling, transfer, storage, processing, transportation, and disposal of solid waste by private concerns or individuals as may be required by local ordinance; and similar records relating to the review by a local government of waste disposal plant permits submitted to the Texas Commission on Environmental Quality.	Expiration, cancellation, revocation, or denial of the permit + 3 years.	
UT5050-09b	SOLID WASTE MANAGEMENT PERMITS AND LICENSES	Records concerning any variance or exemption granted to a permittee.	Expiration of variance or exemption + 3 years.	
UT5050-10	SOLID WASTE MANAGEMENT PERMIT AND LICENSE LOGS	Logbooks, registers, or comparable documents providing a record of solid waste management permits and licenses issued by a local government.	PERMANENT.	
UT5050-11	TONNAGE REPORTS	Daily tonnage reports of solid waste handled and processed in a sanitary landfill, disposal plant, composting plant, or resource recovery facility. See also item numbers UT5050-05 and UT5050-07.		
UT5050-11a	TONNAGE REPORTS	If figures are totaled on a monthly report.	60 days.	
UT5050-11b	TONNAGE REPORTS	If figures are not totaled on a monthly report.	3 years.	
UT5050-12	TRANSPORTATION OF SOLID AND HAZARDOUS WASTE RECORDS			
*UT5050-12a	TRANSPORTATION OF SOLID AND HAZARDOUS WASTE RECORDS	Documentation that solid waste or hazardous waste was taken to an authorized facility.	3 years.	By regulation - 30 TAC 330.1211(h) for medical waste, 30 TAC 330.32(c) for solid waste, and by authority of this schedule for all others.

Record Number	Record Title	Record Description	Retention Period	Remarks
*UT5050-12b	TRANSPORTATION OF SOLID AND HAZARDOUS WASTE RECORDS	Records of the cleaning and disinfecting of vehicles used to transport medical waste.	3 years.	By regulation - 30 TAC 330.1211(d) and 330.1221(d).
UT5050-12c	TRANSPORTATION OF SOLID AND HAZARDOUS WASTE RECORDS	Annual summary reports of waste shipment activities.	PERMANENT.	
*UT5050-13	UNDERGROUND INJECTION CONTROL MONITORING	Records of all data resulting from any monitoring activities, including the chemical and physical characteristics of injected fluids or other records required by an underground injection well permit.	3 years following well plugging and abandonment.	By regulation - 30 TAC 331.67(c) for Class I hazardous well and 30 TAC 331.169(c) for Class I salt cavern solid waste disposal well.
*UT5050-14	UNDERGROUND INJECTION CONTROL PERMITS	Copies of injection well permits filed by rule (30 TAC, Chapter 331) of the Texas Commission on Environmental Quality with the health and pollution control authorities of the counties, cities, and towns where the wells are located.	3 years following well plugging and abandonment.	By regulation - 30 TAC 331.67(c).

PART 4: ELECTRIC UTILITY RECORDS

Retention Note: In addition to retention periods listed in this schedule and other commission schedules, the Texas State Library and Archives Commission (TSLAC) adopts certain rules, as listed below, of the Federal Energy Regulatory Commission relating to the preservation and retention of electric utility records. Authorities that provide electricity must follow the retention periods in the federal schedule (see 18 CFR 125.3) for records listed and follow retention periods set in this and other TSLAC schedules for records not listed in the federal schedule. In accordance with 18 CFR 125.2(a)(3), if a record is listed in both the federal and a TSLAC schedule and the retention period given on a TSLAC schedule is longer, the longer retention period must be followed.

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

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

Record Number	Record Title	Record Description	Retention Period	Remarks
UT5075-05	REPORTS AND PLANS TO MUNICIPALITY AS REGULATORY AUTHORITY	Reports prescribed by state law or regulation or local policy received by a municipality as regulatory authority from electric utilities.	5 years.	
UT5075-06	RIVER FLOW DATA	River flow data collected in connection with hydroelectric plant operations.	PERMANENT.	

PART 5: GAS UTILITY RECORDS

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

Record Number	Record Title	Record Description	Retention Period	Remarks
*UT5100-03d	OPERATIONS REPORTS	Periodic reports, logs, or surveys necessary to demonstrate compliance with natural gas pipeline safety rules of the Texas Railroad Commission, including accident reports.	5 years.	By regulation - 16 TAC 8.105.
UT5100-03e	OPERATIONS REPORTS	Annual reports.	PERMANENT.	
UT5100-04	REPORTS AND PLANS TO THE RAILROAD COMMISSION	Reports or plans, as required by law or regulation, submitted to the Railroad Commission as regulatory authority by local government owned gas utilities except reports listed elsewhere in this schedule.		
UT5100-04a	REPORTS AND PLANS TO THE RAILROAD COMMISSION	Annual and biennial reports or special reports ordered or required by a regulatory authority.	PERMANENT.	
UT5100-04b	REPORTS AND PLANS TO THE RAILROAD COMMISSION	Periodic reports compiled and submitted on less than an annual basis.	3 years.	
UT5100-04c	REPORTS AND PLANS TO THE RAILROAD COMMISSION	Construction reports.	PERMANENT.	
UT5100-05	REPORTS AND PLANS TO MUNICIPALITY AS REGULATORY AUTHORITY	Reports prescribed by state law or regulation or local policy received by a municipality as regulatory authority from gas utilities.	5 years.	

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

(Revised Fifth Edition)

RETENTION SCHEDULE FOR RECORDS COMMON TO ALL LOCAL GOVERNMENTS

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

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

INTRODUCTION

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

Retention periods listed in this schedule apply to records in any medium. If records are stored electronically, they must remain available and accessible until the retention period assigned by this schedule, along with any hardware or software required to access or read them. Electronic records may include electronic mail (e-mail), websites, electronic publications, or any other machine-readable format. Paper or microfilm copies may be retained in lieu of electronic records.

The use of social media applications may create public records. Any content (messages, posts, photographs, videos, etc.) created or received using a social media application may be considered records and should be managed appropriately. The retention of social media records is based on content and function. Local governments will need to consult the relevant records retention schedule for the minimum retention periods.

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

A local government record whose retention period has expired may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated; its destruction shall not occur until the completion of the action and the resolution of all issues that arise from it.

A local government record whose retention period expires during any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record may not be destroyed until the completion of the action and the resolution of all issues that arise from it.

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

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

Certain records listed in this schedule are assigned the retention period of AV (as long as administratively valuable). This retention period affords local governments the maximum amount of discretion in determining a specific retention period for the record described.

Use of Asterisk (*)

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

ABBREVIATIONS USED IN THIS SCHEDULE

AV - As long as administratively valuable
FE - Fiscal year end
TAC - Texas Administrative Code
US - Until superseded
LA – Life of asset
CE – Calendar year end

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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 those subsidiary bodies.

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1000-01	AGENDAS			
GR1000-01a	AGENDAS	Open meetings. 1) If the minutes describe each matter considered by the governing body and reference to an agenda is not required. 2) If the minutes do not describe each matter considered by the governing body and reference to an agenda is required.	2 years. PERMANENT.	
GR1000-01b	AGENDAS	Certified agendas of closed meetings.	2 years.	By law - Government Code, Section 551.104(a).
GR1000-02	DEDICATIONS		PERMANENT.	
*GR1000-03	MINUTES			Retention Note: The use of the term “audiovisual recordings” in (c)-(f) means any medium on which audio or a combination of audio and video is recorded.
GR1000-03a	MINUTES	Written minutes.	PERMANENT.	
GR1000-03b	MINUTES	Notes taken during meetings from which written minutes are prepared.	90 days after approval of minutes by the governing body.	
*GR1000-03c	MINUTES	Audiovisual recordings of open meetings, except as described in (d), for which written minutes are not prepared.	PERMANENT.	

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1000-03d	MINUTES	Audiovisual recordings of workshop sessions of governing bodies in which votes are not made and written minutes are not required by law to be taken.	2 years.	
*GR1000-03e	MINUTES	Audiovisual recordings of open meetings for which written minutes are prepared.	90 days after approval of minutes by the governing body.	
*GR1000-03f	MINUTES	Certified audiovisual recordings of closed meetings.	2 years.	By law - Government Code, Section 551.104(a).

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1000-03g	MINUTES	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.	2 years.	<p>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.</p> <p>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.</p>
GR1000-04	OPEN MEETING NOTICES		2 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1000-05	ORDINANCES, ORDERS, AND RESOLUTIONS		PERMANENT.	Retention Note: Includes ordinances, orders, or resolutions that have been repealed, revoked, or amended.
GR1000-06	PETITIONS	Petitions from the public to the governing body or subsidiary boards or commissions of a local government.	Final action on the petition + 2 years.	Retention Notes: a) 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). b) "Final action" includes a decision to take no further action on a petition.
GR1000-07	PROCLAMATIONS		2 years.	
*GR1000-08	SPEECHES, PAPERS, AND PRESENTATIONS— ELECTED OFFICIALS	Notes or text of speeches, papers, presentations or reports delivered in conjunction with government work by elected officials.	End of term in office or termination of service in that position.	Retention Notes: a) For speeches, papers, and presentations of other local government staff see GR1000-51. b) Review before disposal; some records may merit PERMANENT retention for historical reasons.
*GR1000-09	PUBLIC COMMENT FORMS	Public comment forms, citizen comment forms, registration cards, or other similar documents filled out by members of the public wishing to speak at an open meeting.	2 years.	Retention Note: If all information from the public comment form is documented in written minutes of the meeting, the public comment form need only be retained for the retention period listed in GR1000-03b.

SECTION 1-2: GENERAL RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1000-20	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 lawsuit.		Retention Note: For reports of work-related injuries and illnesses to employees see GR1050-32.

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1000-20a	ACCIDENT REPORTS	Reports of accidents to adults.	3 years from date of report if no claim is filed; 3 years after settlement or denial of the claim if a claim is filed, whichever applicable.	
GR1000-20b	ACCIDENT REPORTS	Reports of accidents to minors.	Date minor reaches majority age + 3 years, if no claim filed; 3 years after settlement or denial of claim if a claim is filed, whichever applicable.	
*GR1000-21	AFFIDAVITS OF PUBLICATION	Affidavits of Publication, including any accompanying clipping proofs or tear sheets.		
*GR1000-21a	AFFIDAVITS OF PUBLICATION	Publication of municipal ordinances.	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.
*GR1000-21b	AFFIDAVITS OF PUBLICATION	Election notices. 1) In an election involving a federal office. 2) In an election not involving a federal office.	Election day + 22 months. Election day + 6 months.	By law – Election Code, Sections 4.005(d) and 66.058(a).
GR1000-21c	AFFIDAVITS OF PUBLICATION	All other published legal notices.	2 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1000-22	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.	PERMANENT.	Retention Note: 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 GR1000-25.
*GR1000-23	CHARTERS	Charters, Articles of Incorporation, Orders of Incorporation, Orders of Change, or other similar documents used to establish or modify the administration of a local government.	PERMANENT.	
*GR1000-24	COMPLAINTS	Complaints received from the public by a governing body or any officer or employee of a local government relating to government employees, policies, etc.	Resolution or dismissal of complaint + 2 years.	<p>Retention Notes: a) 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.</p> <p>b) For complaints received from local government employees see GR1050-20.</p>
*GR1000-25	CONTRACTS, LEASES, AND AGREEMENTS	Contracts, leases, and agreements, including reports, correspondence, performance bonds, certificates of liability, and similar records relating to their negotiation, administration, renewal, or termination, except construction contracts (see item number GR1075-16).	4 years after the expiration or termination of the instrument according to its terms.	Retention Note: Review before disposal; some records of this type may merit PERMANENT retention for historical reasons.

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1000-26	CORRESPONDENCE, INTERNAL MEMORANDA, AND SUBJECT FILES			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 GR1025-01(e); a letter concerning a workers compensation claim should be retained for the period given under item number GR1050-32, etc. The retention periods that follow are for correspondence and internal memoranda that do not readily fall within other record groups.
GR1000-26a	CORRESPONDENCE, INTERNAL MEMORANDA, AND SUBJECT FILES	Administrative – Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, modification, or redefinition of the programs, services, or projects of a local government and the administrative regulations, policies, and procedures that govern them. May also include subject files, which are collections of correspondence, memos and printed materials on various individuals, activities, and topics.	4 years.	Retention Note: Review before disposal; some correspondence of this type may merit PERMANENT retention for historical reasons.
*GR1000-26b	CORRESPONDENCE, INTERNAL MEMORANDA, AND SUBJECT FILES	General – Incoming/outgoing and internal correspondence pertaining to the regular operation of the policies, programs, services, or projects of a local government. May also include subject files, which are collections of correspondence, memos and printed materials on various individuals, activities, and topics.	2 years.	Retention Note: Records management officers should use caution before disposal of these records to ensure the records should not be classified under administrative correspondence (GR100-26a).

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1000-26c	CORRESPONDENCE, INTERNAL MEMORANDA, AND SUBJECT FILES	Routine - Correspondence and internal memoranda such as letters of transmittal, requests for publications, internal meeting notices, and similar routine matters. May also include subject files, which are collections of correspondence, memos and printed materials on various individuals, activities, and topics.	AV.	
*GR1000-27	DEEDS	Deeds, 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.	PERMANENT.	
GR1000-28	EASEMENTS	Documentation relating to easements and rights-of-way for public works or other local government purposes, including releases.	PERMANENT.	
*GR1000-29	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.	4 years after expiration or termination of the policy according to its terms and all rights granted under it.	
GR1000-30	LEGAL OPINIONS	Formal legal opinions rendered by counsel or the Attorney General for a local government, including any written requests for opinions, concerning the governance and administration of a local government.	PERMANENT.	<p>Retention Note: For retention of opinions rendered for a Public Information Act Request see GR1000-34.</p> <p>For retention of informal legal opinions and other correspondence provided by counsel see GR1000-26a.</p>

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1000-31	LITIGATION CASE FILES		AV after decision of a local government not to file a lawsuit or decision that a lawsuit will not be filed against it; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	Retention Notes: a) Includes 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. b) Review before disposal; some case files may merit PERMANENT retention for historical reasons.
*GR1000-32	MINUTES (STAFF)	Minutes of internal staff meetings.	AV.	Retention Note: For minutes of governing bodies of local governments see GR1000-03.
GR1000-33	PUBLIC RELATIONS RECORDS	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.	2 years.	Retention Note: Review before disposal; some records may merit PERMANENT retention for historical reasons.
GR1000-34	PUBLIC INFORMATION ACT REQUESTS	Includes all correspondence and documentation relating to requests for records under the Public Information Act (Chapter 552, Government Code).		
*GR1000-34a	PUBLIC INFORMATION ACT REQUESTS	Non-exempted records and withdrawn requests.	Date request for records fulfilled or withdrawn + 1 year.	
*GR1000-34b	PUBLIC INFORMATION ACT REQUESTS	Exempted records.	Date of notification that records requested are exempt from disclosure + 2 years.	
*GR1000-35	ORGANIZATIONAL CHARTS		US.	Retention Note: Review before disposal; some records may merit PERMANENT retention for historical reasons.

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1000-36	PERMITS AND LICENSES	Records documenting the application for and the issuance of permits and licenses (including certificates of liability and other required documentation) 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.	Expiration, cancellation, revocation, or denial + 2 years.	
GR1000-37	PHOTOGRAPHS, IMAGES, 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.	AV.	Retention Note: Review before disposal, some records may merit PERMANENT retention for historical reasons. Local governments should consult with local historical or genealogical societies to assist with the appraisal. 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.
GR1000-38	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.	US, expired, or discontinued + 5 years.	Retention Note: Review before disposal; some records may merit PERMANENT or long-term retention for historical or legal reasons.

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1000-39	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.	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 matter provided by charitable or public awareness organizations (e.g., United Way, American Heart Association); and (b) public service leaflets or flyers 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).
GR1000-40	RECORDS MANAGEMENT RECORDS			
GR1000-40a	RECORDS MANAGEMENT RECORDS	Records control schedules (including all successive versions of and amendments to schedules).	US.	Retention Note: Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.
*GR1000-40b	RECORDS MANAGEMENT RECORDS	Records documenting the disposition 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.	PERMANENT.	
GR1000-40c	RECORDS MANAGEMENT RECORDS	Lists or inventories of the active and inactive records created or received by a local government.	US, expired, or discontinued.	

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1000-40d	RECORDS MANAGEMENT RECORDS	Plans and similar documents establishing the policies and procedures under which a records management program operates.	US, expired, or discontinued + 5 years.	
*GR1000-40e	RECORDS MANAGEMENT RECORDS	Records transmittal forms or similar records documenting transfer of records to or from a records storage facility.	Date of disposition or return of records from storage, whichever sooner, +2 years.	
GR1000-41	REPORTS AND STUDIES (NON-FISCAL)			

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1000-41a	REPORTS AND STUDIES (NON-FISCAL)	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.	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.	PERMANENT.	
		(3) Special reports or studies prepared by order or request of the chief administrative officer.	5 years.	Retention Note: Review before disposal; some records may merit PERMANENT retention for historical reasons.
		(4) Monthly, bimonthly, quarterly, or semi-annual reports.	3 years.	
		(5) Working papers and raw data used to create any report for (1) and (2) above.	3 years.	
		(6) Working papers and raw data used to create any report for (3) and (4) above.	1 year.	

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1000-41b	REPORTS AND STUDIES (NON-FISCAL)	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.	1 year.	
*GR1000-42	WAIVERS OF LIABILITY	Waivers of liability, including statements signed by volunteers acknowledging non-entitlement to benefits, agreeing to abide by local government policies, etc.	3 years from date of cessation of activity for which the waiver was signed.	Retention Note: If an accident occurs to any person covered by a signed waiver of liability, it must be retained for the same period as accident reports. See item number GR1000-20 in this schedule.
GR1000-43	CONFLICTS DISCLOSURE STATEMENTS AND CONFLICT OF INTEREST QUESTIONNAIRES	Conflicts disclosure statements and conflict of interest questionnaires submitted by local government officers or vendors and other persons for filing with a local government in accordance with the requirements of Chapter 176, Local Government Code.	Date of filing + 3 years.	
GR1000-44	LOCAL GOVERNMENT OFFICERS, LISTS OF	Lists of local government officers prepared and made available to the public by the local government officer with whom conflicts disclosure statements and conflict of interest questionnaires are filed in accordance with the requirements of Chapter 176, Local Government Code.	US + 1 year.	
GR1000-45	CALENDARS, APPOINTMENT AND ITINERARY RECORDS	Calandars, appointment books or programs, and scheduling or itinerary records, purchased with local government funds or maintained by staff during business hours that document appointments, itineraries and other activities of agency officials or employees.	CE + 1 year.	Retention Note: A record of this type purchased with personal funds, but used by a public official or employee to document his or her work activities may be a local government record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Texas Attorney General.
GR1000-46	INSURANCE CLAIMS	Claims related to liability, theft, fire, health, life, automobile, and other insurance policies.	Settlement or denial of claim + 3 years.	
GR1000-47	CUSTOMER SURVEYS	Surveys returned by the customers or clients of a local government, and the statistical data maintained rating a government's performance.	Issuance of report on results of the survey + 3 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1000-50	TRANSITORY INFORMATION	<p>Records of temporary usefulness that are not an integral part of a records series of a local government, that are not regularly filed within a local government's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the local government or in the preparation of an ongoing records series.</p> <p>Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of government functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are drafts and working papers; routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific government transaction.</p>	AV.	<p>Retention Note: Records management officers should use caution in assigning this record series to records of a local government to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>The disposal of transitory information need not be documented through destruction authorizations or in records disposition logs, but local governments should establish procedures governing disposal of these records.</p>
*GR1000-51	SPEECHES, PAPERS, AND PRESENTATIONS	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with government work by staff of a local government.	End of event, US, or discontinued + 2 years.	<p>Retention Notes: a) For speeches, papers, and presentations of elected officials see GR1000-08.</p> <p>b) For materials developed for in-house training of staff see GR1050-28c.</p>
*GR1000-52	SUBPOENAS	Subpoenas for production of evidence produced for litigation in which the local government is not a party.	AV after fulfilled.	<p>Retention Notes: a) For subpoenas received for litigation in which the local government is a party see GR1000-31.</p> <p>b) For subpoenas requesting personally identifiable information of students see SD3225-02 (for school districts) or JC3775-02 (for junior colleges).</p>

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1000-53	RELEASE OF RECORDS DOCUMENTS	Records that document the release of records or information through any method other than a Public Information Act request or subpoena (including employment verification).	Date records produced + 1 year.	<p>Retention Notes: a) For records released under the Public Information Act see GR1000-34.</p> <p>b) For records produced for a subpoena where the local government is not a party, see GR1000-52.</p> <p>c) For records produced for a subpoena where the local government is a party, see GR1000-31.</p>
*GR1000-54	COMMITTEE RECORDS	Records of committees, councils, boards, or commissions which are not subject to the Texas Open Meetings Act. Records may include, but are not limited to, member lists, officer election records, agendas, meeting minutes, and related documentation and correspondence.	2 years.	<p>Retention Notes: a) For records of committees, councils, boards, or commissions which are subject to the Texas Open Meetings Act see Section 1-1 of this schedule.</p> <p>b) Review before disposal; some records may merit PERMANENT retention for historical reasons.</p>
*GR1000-55	LOBBYIST REGISTRATION DOCUMENTATION	Forms, reports, or other similar documents submitted to local governments documenting lobbying activities as required by local regulations.	Date of filing + 3 years.	

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 GR1025-26, GR1025-27, GR1025-28, and GR1025-30 associated with receipts and disbursements from or to the fund must be retained for FE + 10 years.

b) GRANT OR LOAN 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. If a grant or loan requires a longer retention period than those stated in this schedule, the associated records must be retained for the full retention period required by the terms of the grant or loan.

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

i) Federal grantor agencies require that grant-related records be retained for audit purposes for 3 years from the filing of required expenditure reports.

ii) In addition to item number GR1025-08(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 that are not part of a multi-year funding cycle - 3 years from the date of submission of the annual or other periodic expenditure report.

B) For grants continued or renewed annually or at other intervals except quarterly that are a part of a multi-year funding cycle – 3 years from the date of submission of the annual or other periodic expenditure report for the final reporting period of the grant cycle.

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

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

E) For all other grants – 3 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 years from the date of transfer, replacement, sale, or junking of the item.

B) Cost allocation plans and indirect cost records - 3 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 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-year period, the records must be retained until all litigation or audit findings are resolved or until the end of the regular 3-year period, whichever is 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 GR1025-08(a)-(b) and records described in section (b) (1) must be retained by local government subgrantees for FE + 5 years. Local governments should consult with the state or local subgrantor agency to determine if there are additional or special requirements associated with a particular grant.

The local government must retain copies of reports or records submitted to the subgrantor agency 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 5-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, charter schools, county departments of education, and educational cooperatives.

SECTION 2-1: FISCAL ADMINISTRATION AND REPORTING RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1025-01	FISCAL AUDIT RECORDS	Records of fiscal audits conducted by internal or external auditors.		Caution: See note (a) at the beginning of Part 2 of this schedule.
*GR1025-01a	FISCAL AUDIT RECORDS	Annual, biennial, or other periodic audit of any department, fund, account, or activity of a local government.	PERMANENT.	
*GR1025-01b	FISCAL AUDIT RECORDS	Annual, biennial, or other periodic audit of a department, program, fund, or account if included in a cumulative audit under (a).	2 years.	
*GR1025-01c	FISCAL AUDIT RECORDS	Annual, biennial, or other periodic audit of a department, program, fund, or account if not included in a cumulative audit under (a).	PERMANENT.	
*GR1025-01d	FISCAL AUDIT RECORDS	Special audits ordered by a governing body, a court or grand jury, or mandated by administrative rules of a state or federal agency.	PERMANENT.	
*GR1025-01e	FISCAL AUDIT RECORDS	Working papers, summaries, and similar records created for the purposes of conducting an audit.	3 years after all questions arising from the audit have been resolved.	
GR1025-02	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.	4 years after termination, expiration, or release of contractual obligations.	
GR1025-03	BOND RECORDS			Retention Note: For investment transaction records of bonds see item number GR1025-09b.
GR1025-03a	BOND RECORDS	Bond administrative records consisting of preliminary studies, proposals and prospectuses, authorizations and certifications for issuance or cancellation, and related policy correspondence.	PERMANENT.	

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1025-03b	BOND RECORDS	Bond certificates and redeemed coupons.	1 year after payment.	By law - Government Code, Section 1302.003 for counties (see statute for procedural instructions for destruction) and by authority of this schedule for all other local governments.
GR1025-03c	BOND RECORDS	Bond registers.	PERMANENT.	
GR1025-03d	BOND RECORDS	Records relating to the exchange, conversion, or replacement of bonds by bondholders.	1 year if information is contained in a bond register; PERMANENT if information is not contained in a bond register.	
GR1025-04	BUDGETS AND BUDGET DOCUMENTATION			
GR1025-04a	BUDGETS AND BUDGET DOCUMENTATION	Annual budgets (including amendments).	PERMANENT.	
GR1025-04b	BUDGETS AND BUDGET DOCUMENTATION	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).	PERMANENT.	
*GR1025-04c	BUDGETS AND BUDGET DOCUMENTATION	Working papers created exclusively for the preparation of budgets, including budget requests, justification statements, and similar documents.	3 years.	
GR1025-04d	BUDGETS AND BUDGET DOCUMENTATION	Encumbrance and expenditure reports (status reports showing expenditures and encumbrances against a budget).	2 years.	
GR1025-04e	BUDGETS AND BUDGET DOCUMENTATION	Budget change documentation, including line item or contingency/reserve fund transfers and supplemental budget requests.	2 years.	
GR1025-05	CAPITAL ASSETS RECORDS	Documentation relating to the capital and fixed assets of a local government.		

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1025-05a	CAPITAL ASSETS RECORDS	Equipment or property history cards or similar records containing data on initial cost, including disposal authorizations when disposed of.	FE of date of disposal + 5 years for school districts; FE of date of disposal + 3 years for other governments.	Retention Note: Review before disposal; property history cards documenting the original construction and additions to or renovations of structures may merit PERMANENT retention for historical reasons.
GR1025-05b	CAPITAL ASSETS RECORDS	Equipment or property cost and depreciation schedules or summaries used for capital outlay budgeting or other financial or budget control purposes.	FE + 5 years for school districts; FE + 3 years for other governments.	
GR1025-05c	CAPITAL ASSETS RECORDS	Equipment or property inventories (including sequential number property logs).	US + 3 years.	
GR1025-05d	CAPITAL ASSETS RECORDS	Property sale, auction, or disposal records of government-owned equipment or property.	1 year.	By law - Local Government Code, Section 263.155(b) for counties and by authority of this schedule for all other local governments. Retention Note: Property sale or auction records 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.
*GR1025-06	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.	AV.	Obsolete record.

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1025-07	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.		
GR1025-07a	FINANCIAL REPORTS	Monthly, bimonthly, quarterly, or semi-annual reports.	FE + 3 years.	
GR1025-07b	FINANCIAL REPORTS	Annual reports.	PERMANENT.	
GR1025-07c	FINANCIAL REPORTS	Long range fiscal planning reports.	PERMANENT.	
GR1025-07d	FINANCIAL REPORTS	Capital improvement reports.	PERMANENT.	
GR1025-08	GRANT DEVELOPMENT AND ADMINISTRATIVE RECORDS			Retention Note: If grant is for construction of a local government owned facility or part of the infrastructure, follow retention for GR1075-16.
GR1025-08a	GRANT DEVELOPMENT AND ADMINISTRATIVE RECORDS	Successful grant applications and proposals and any documentation that modifies the terms of a grant.	FE + 5 years for school districts; FE + 3 years for other governments.	Retention Note: See note (b) at beginning of Part 2 of this schedule.
GR1025-08b	GRANT DEVELOPMENT AND ADMINISTRATIVE RECORDS	Financial, performance, and compliance reports submitted to grantor or sub-grantor agencies.	FE + 5 years for school districts; FE + 3 years for other governments.	Retention Note: See note (b) at beginning of Part 2 of this schedule.
GR1025-08c	GRANT DEVELOPMENT AND ADMINISTRATIVE RECORDS	Reports, planning memoranda, studies, correspondence, and similar records created for and used in the development of successful grant proposals.	3 years.	
GR1025-08d	GRANT DEVELOPMENT AND ADMINISTRATIVE RECORDS	Any records of the type noted in (a) or (b) relating to unsuccessful grant proposals.	AV.	
GR1025-09	INVESTMENT TRANSACTION RECORDS			

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1025-09a	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.	FE + 5 years.	
GR1025-09b	INVESTMENT TRANSACTION RECORDS	Documentation related to the calculation of arbitrage rebate amounts, if any, on proceeds from the sale of tax-exempt bonds.	Retirement of the last obligation of the bond issue + 6 years.	
GR1025-10	CHARGE SCHEDULES/ PRICE LISTS	Schedules of prices charged by a local government for services to the public or other governments, including any documentation used to determine the charges.	US + 3 years.	

SECTION 2-2: ACCOUNTING RECORDS

Retention Note: ACCOUNTING RECORDS OF MOTOR VEHICLE AND BOAT LICENSING AND REGISTRATION - For accounting and banking records relating to motor vehicle licensing not noted in this part, use Part 3 of Local Schedule TX.

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1025-25	ACCOUNTING POLICIES AND PROCEDURES DOCUMENTATION	Policy and procedure directives and similar records documenting accounting methodology.	US, expired, or discontinued + 5 years.	
GR1025-26	ACCOUNTS PAYABLE AND DISBURSEMENT RECORDS			
*GR1025-26a	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.	FE of date of final payment + 5 years for school districts; FE of date of final payment + 3 years for other governments.	Retention Note: Accounts payable and disbursement records for bond-funded projects must be maintained according to the retention period listed in GR1025-26d.

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1025-26b	ACCOUNTS PAYABLE AND DISBURSEMENT RECORDS	Accounts payable records sufficient to document the purchase costs of capital equipment or other fixed assets.	FE of date of disposal + 5 years for school districts; FE of date of disposal + 3 years for other governments.	
*GR1025-26c	ACCOUNTS PAYABLE AND DISBURSEMENT RECORDS	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).	FE of period covered by report + 3 years.	Retention Note: For reports accompanying the transmittal of federal and state payroll and unemployment taxes see item number GR1050-53(b).
GR1025-26d	ACCOUNTS PAYABLE AND DISBURSEMENT RECORDS	Accounts payable records for bond-funded projects.	FE of date of last bond payment + 5 years for school districts; FE of date of last bond payment + 3 years for other governments.	
GR1025-27	ACCOUNTS RECEIVABLE RECORDS			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).
*GR1025-27a	ACCOUNTS RECEIVABLE RECORDS	Bill copies or stubs, statements, billing registers, account cards, deposit warrants, cash receipts, credit card receipts, receipt books, cash transfers, daily cash reports, cash drawer reconciliations, and similar records (such as returned checks and associated fees) that serve to document money owed to or received by a local government and its collection or receipt.	FE of date of receipt + 5 years for school districts; FE of date of receipt + 3 years for other governments.	
GR1025-27b	ACCOUNTS RECEIVABLE RECORDS	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).	Remittance due date + 5 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1025-27c	ACCOUNTS RECEIVABLE RECORDS	Account card or similar records 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.	FE of date of final payment and release of lien + 3 years.	
GR1025-27d	ACCOUNTS RECEIVABLE RECORDS	Account card or similar records relating to the receipt of cash deposits as sureties for the delivery of services (e.g., water and wastewater).	FE of termination of service or refund of deposit + 3 years.	
*GR1025-27e	ACCOUNTS RECEIVABLE RECORDS	Records of accounts deemed uncollectable, including write-off authorizations.	FE of write-off date + 5 years for school districts; FE of write-off date + 3 years for other governments.	
*GR1025-28	BANKING RECORDS	Bank statements, credit card statements, canceled checks, check registers, deposit slips, debit and credit notices, reconciliations, notices of interest earned, monetary transport records (including armored car pickup logs) etc.	FE + 5 years.	
GR1025-29	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.	FE + 5 years for school districts; FE + 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 GR1025-30) by all local governments.
GR1025-30	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 GR1025-09).

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1025-30a	LEDGERS, JOURNALS, AND ENTRY DOCUMENTATION	General ledger showing receipts and expenditures from all accounts and funds of a local government.		
		(1) For fiscal years for which an annual financial audit report (see item number GR1025-01) exists.	FE + 5 years.	Retention Note: Review before disposal; some ledgers may merit PERMANENT retention for historical reasons.
		(2) For fiscal years for which an annual financial audit report (see item number GR1025-01) does not exist.	PERMANENT.	
GR1025-30b	LEDGERS, JOURNALS, AND ENTRY DOCUMENTATION	Subsidiary ledgers.	FE + 5 years.	Retention Note: Review before disposal; some ledgers may merit PERMANENT retention for historical reasons.
GR1025-30c	LEDGERS, JOURNALS, AND ENTRY DOCUMENTATION	Receipt, disbursement, general, or subsidiary journals.	FE + 5 years.	Retention Note: Review before disposal; some journals may merit PERMANENT retention for historical reasons.
GR1025-30d	LEDGERS, JOURNALS, AND ENTRY DOCUMENTATION	Journal vouchers and entries or similar posting control forms (including supporting documentation such as correspondence and auditor adjustments that evidence journal entries and amendments).	FE + 5 years.	Retention Note: If bill stubs (see item number GR1025-27a) are used as entry documentation for account journals, they must be retained by all local governments for FE + 5 years rather than the FE + 3 year retention period for accounts receivable records.
GR1025-30e	LEDGERS, JOURNALS, AND ENTRY DOCUMENTATION	Perpetual care fund registers of government-owned cemeteries.	PERMANENT.	By law - Health and Safety Code, Section 713.005(a).
GR1025-31	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.		
GR1025-31a	TRANSACTION SUMMARIES	Daily.	30 days.	
GR1025-31b	TRANSACTION SUMMARIES	Weekly.	90 days.	

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1025-31c	TRANSACTION SUMMARIES	Monthly, bimonthly, quarterly, or semi-annual.	2 years.	
GR1025-31d	TRANSACTION SUMMARIES	Annual.	FE + 5 years for school districts; FE + 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 + 5 years by school districts and FE + 3 years by all other local governments.
GR1025-32	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.	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. Various federal agencies or departments of agencies administer these acts 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 GR1050-15(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.

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 [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 and anyone voluntarily working or not receiving payment or compensation for working.

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 3.3 million 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 GR1050-03, GR1050-07, and GR1050-21, all of which are records of a type mentioned in the statute, must be retained permanently. The sheriffs and their legal counsel should determine what other records may be includable in a permanent personnel file in sheriffs' departments subject to the law.

SECTION 3-1: PERSONNEL RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-01	AFFIRMATIVE ACTION PLANS			
GR1050-01a	AFFIRMATIVE ACTION PLANS	Reports, analyses, and statistical data compiled from source documentation used to develop, implement, and monitor affirmative action plans.	5 years.	By regulation - 29 CFR 30.8(e).
GR1050-01b	AFFIRMATIVE ACTION PLANS	Affirmative action plans.	US + 5 years.	By regulation - 29 CFR 30.8(e).
GR1050-02	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.		
GR1050-02a	APTITUDE AND SKILLS TEST RECORDS	Validation studies.	Life of test + 2 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-02b	APTITUDE AND SKILLS TEST RECORDS	Tests.	US + 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.
*GR1050-02c	APTITUDE AND SKILLS TEST RECORDS	Test papers or results of persons taking tests.	Date of creation or personnel action involved, whichever later, + 2 years.	By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.
GR1050-02d	APTITUDE AND SKILLS TEST RECORDS	Records, other than those noted (a)-(c), relating to the planning and administration of tests.	3 years.	
*GR1050-03	AWARDS AND COMMENDATIONS	Individual award, honor, or commendation bestowed on an employee.	Date of separation + 5 years.	Retention Notes: a) For administrative records of awarding committees, see item number GR1050-09. b) Refer to Retention Note (f) on page 1 of this schedule for awards bestowed on certain Sheriff's office employees.
GR1050-04	CERTIFICATES AND LICENSES	Certificates, licenses, or permits required of employees to qualify for or remain eligible to hold a position requiring certification or licensing.	US 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 GR1050-14.
GR1050-05	CONFLICT OF INTEREST AFFIDAVITS		5 years after leaving position for which the affidavit was filed.	
GR1050-06	COUNSELING PROGRAM RECORDS			

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1050-06a	COUNSELING PROGRAM RECORDS	Reports of interviews, analyses, and similar records relating to the counseling of an employee for work-related, personal, or substance abuse problems, including any warnings associated with the counseling. Usually maintained at the supervisory level or by human resources departments.	3 years after termination of counseling.	Retention Note: For records retained by professional therapists; refer to Local Schedule HR for patient records.
GR1050-06b	COUNSELING PROGRAM RECORDS	Records relating to the planning, coordination, implementation, direction, and evaluation of an employee counseling program.	3 years.	
*GR1050-07	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 Note: Refer to Retention Note (f) on page 1 of this schedule for disciplinary records of certain Sheriff's office employees.
		(1) All employees of sheriff's departments in counties with a population of 3.3 million or more.	PERMANENT.	By law – Local Government Code, Section 157.904.
		(2) Police and fire department personnel in municipalities with a population of 10,000 or more that have established civil service boards under Local Government Code, Chapter 143.	PERMANENT.	By law – Local Government Code, Section 143.011(c).
		(3) All other local government employees.	2 years after case closed or action taken, as applicable.	By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.
GR1050-08	EMPLOYEE PENSION AND BENEFITS RECORDS			For records of pension and deferred compensation deductions from payroll see GR1050-52(b).

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1050-08a	EMPLOYEE PENSION AND BENEFITS RECORDS	Employee benefit plans such as pension; life, health, and disability insurance; seniority and merit systems; and deferred compensation plans, including amendments.	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 revisions, must be retained for the same period as written plans.
*GR1050-08b	EMPLOYEE PENSION AND BENEFITS RECORDS	Enrollment forms providing personal identifying data, beneficiary information, option selection, acknowledgement forms, 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. (2) If the official record is maintained by the local government. (A) Pension and deferred compensation. (B) Life, health, accidental death, and disability insurance. (C) Any benefit other than those noted in (A) or (B).	AV. Date of separation + 75 years. Termination of coverage + 4 years. US or separation + 2 years, as applicable.	Retention Note: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number GR1050-50.
GR1050-08c	EMPLOYEE PENSION AND BENEFITS RECORDS	Annual reports from a pension system or fund.	PERMANENT.	

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1050-09	EMPLOYEE RECOGNITION RECORDS	Award committee reports, selection criteria, nominations, and similar administrative records of employee award or incentive programs.	2 years.	Retention Note: For records of an award/commendation given to an individual employee, see item number GR1050-03.
GR1050-10	EMPLOYEE SECURITY RECORDS			
GR1050-10a	EMPLOYEE SECURITY RECORDS	Records created to control and monitor the issuance of keys, identification cards, passes, or similar instruments of identification and access.	US, date of expiration, or date of separation + 2 years, as applicable.	
GR1050-10b	EMPLOYEE SECURITY RECORDS	Records relating to the issuance of parking permits.	US.	
GR1050-11	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; and previous injury checks; offers of employment letters; and similar records documenting the filling of a vacant position.	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. Retention Note: See GR1050-36 for background and criminal history checks.

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-12	EMPLOYEE SERVICE RECORDS	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; most recent public access option form; and date of separation.	Date of separation + 75 years.	<p>For other information on employees that must also be retained either as part of this record or in another form, see item numbers GR1050-52(b) and GR1050-54(a).</p> <p>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 date of separation + 75 years. More than one document providing the same element of required information need not be retained.</p> <p>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 date of separation + 75 years.</p> <p>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 GR1050-59) applicable to a person's employment history are retained date of separation + 75 years.</p>

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-13	EMPLOYMENT ADVERTISEMENTS OR ANNOUNCEMENTS	Advertisements or postings relating to job openings, promotions, training programs, or overtime opportunities, including jobs orders submitted to employment agencies.	2 years.	By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.
GR1050-14	EMPLOYMENT APPLICATIONS			
GR1050-14a	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.	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.
GR1050-14b	EMPLOYMENT APPLICATIONS	Samples of publications, artwork, or other products of prior achievement not returned to applicants.	AV.	
GR1050-14c	EMPLOYMENT APPLICATIONS	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 GR1050-28(a).	Date of separation + 5 years.	Retention Note: If applicant screening or hiring decisions are based on resumés, with only successful or interviewed candidates completing employment applications, then resumés of persons not hired must be kept for the same period as employment applications. If resumés are supplemental to employment application forms, they need only be retained as long as administratively valuable.
GR1050-15	EMPLOYMENT CONTRACT/COLLECTIVE BARGAINING RECORDS			
GR1050-15a	EMPLOYMENT CONTRACT/COLLECTIVE BARGAINING RECORDS	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.	Last effective date of contract + 4 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-15b	EMPLOYMENT CONTRACT/COLLECTIVE BARGAINING RECORDS	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.	Last effective date of contract + 4 years or, if no agreement or contract results, 4 years.	
GR1050-16	EQUAL EMPLOYMENT OPPORTUNITY RECORDS AND REPORTS			
GR1050-16a	EQUAL EMPLOYMENT OPPORTUNITY RECORDS AND REPORTS	Reports, analyses, or statistical data compiled from source documentation used to complete EEO reports.	3 years.	By regulation - 29 CFR 1602.30, 1602.39, and 1602.48.
GR1050-16b	EQUAL EMPLOYMENT OPPORTUNITY RECORDS AND REPORTS	EEO-1, EEO-4, EEO-5, and EEO-6 reports.	3 years.	By regulation - 29 CFR 1602.32, 1602.41, and 1602.50.
GR1050-16c	EQUAL EMPLOYMENT OPPORTUNITY RECORDS AND REPORTS	Case files relating to discrimination complaints, including complaints, legal and investigative documents, exhibits, related correspondence, withdrawal notices, and decisions or judgments.	Resolution of case + 3 years.	
GR1050-17	EQUAL PAY RECORDS	Reports, studies, aggregated or summarized data, and similar documentation compiled to monitor and demonstrate compliance with the Equal Pay Act.	2 years.	By regulation - 29 CFR 1620.32(c).
GR1050-18	FIDELITY BONDS		Effective life of bond + 5 years.	Retention Note: Does not include the Official Bond Record maintained by county clerks, which must be retained PERMANENTLY .
GR1050-19	FINGERPRINT CARDS		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 GR1050-14.
*GR1050-20	GRIEVANCE RECORDS	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	Final decision on the grievance + 2 years.	Retention Note: Do not confuse these records with those involving EEO complaints [see item number GR1050-16(c)].

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1050-21	JOB EVALUATIONS	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of employees.	US + 2 years or date of separation + 2 years, whichever sooner.	By regulation – 29 CFR 1620.32(c). Retention Notes: a) Refer to SD3575-05 pertaining to evaluations on school teachers. b) Refer to Retention Note (f) on page 1 of this schedule for evaluations of certain Sheriff's office employees.
GR1050-22	MEDICAL AND EXPOSURE REPORTS			
*GR1050-22a	MEDICAL AND EXPOSURE REPORTS	Health, physical or psychological examination reports or certificates of all job applicants if physical or psychological condition is a factor in hiring decisions, including the promotion, transfer, or selection for training of current personnel.	2 years from the date of creation or personnel action involved, whichever is later.	By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.
GR1050-22b	MEDICAL AND EXPOSURE REPORTS	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. (2) For all other employees.	Date of separation + 30 years. US + 2 years.	By regulation - 29 CFR 1910.1020(d)(1)(i)-(iii).
GR1050-22c	MEDICAL AND EXPOSURE REPORTS	Environmental, biological, and material safety monitoring reports concerning toxic substances and harmful physical agents in the workplace, including analyses derived from such reports.	30 years.	By regulation - 29 CFR 1910.1020(d)(1)(ii). See Local Schedule PW 5450-01 for Asbestos Management Records.

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1050-22d	MEDICAL AND EXPOSURE REPORTS	<p>Records of controlled substances and alcohol use and testing.</p> <p>(1) Records of driver alcohol test results indicating an alcohol concentration of 0.02 or greater; records of driver verified positive controlled substances test results; documentation of refusals to take required alcohol and/or controlled substances tests; driver evaluation and referrals; calibration documentation; records related to the administration of the alcohol and controlled substances testing programs; copy of each annual calendar year summary required by 49 CFR 382.403.</p> <p>(2) Records related to the alcohol and controlled substances collection process.</p> <p>(3) Records of negative and canceled controlled substances test results and alcohol test results with a concentration of less than 0.02.</p>	<p>5 years.</p> <p>2 years.</p> <p>1 year.</p>	By regulation – 49 CFR 382.403.
*GR1050-23	OATHS OF OFFICE	Any oaths or affirmations required of local government employees or officers. Includes the Statement of Elected Officer (Secretary of State Form 2201).	US + 5 years or 5 years after leaving position for which oath required, whichever is applicable.	
*GR1050-24	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.	2 years from the date of creation or the personnel action involved, whichever is later.	By regulation - 29 CFR 1602.31, 1602.40, and 1602.49.

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-25	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.	3 years.	Retention Note: Review before disposal; some documents may merit PERMANENT retention for historical reasons.
GR1050-26	POSITION DESCRIPTION, CLASSIFICATION, AND STAFF MONITORING RECORDS			
GR1050-26a	POSITION DESCRIPTION, CLASSIFICATION, AND STAFF MONITORING RECORDS	Job descriptions, including any associated task or skill statements. Also includes 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.	US or position abolished + 4 years.	By regulation - 40 TAC 815.106(i).
GR1050-26b	POSITION DESCRIPTION, CLASSIFICATION, AND STAFF MONITORING RECORDS	Position staffing and vacancy reports.	US.	
GR1050-26c	POSITION DESCRIPTION, CLASSIFICATION, AND STAFF MONITORING RECORDS	Personnel requisitions.	2 years.	
*GR1050-27	REDUCTION IN FORCE PLANS	Reduction in force plans and any related documentation.	US, or if implemented, 2 years from date of last reduction in force action under the plan.	
GR1050-28	TRAINING AND EDUCATIONAL ACHIEVEMENT 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 GR1050-02.

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-28a	TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS	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.	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 GR1050-12), the document from which the information is taken need be retained for only 2 years.
GR1050-28b	TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS	Records documenting the planning, development, implementation, administration and evaluation of in-house training programs.	2 years.	
GR1050-28c	TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS	Training manuals, syllabuses, course outlines, and similar training aids used in in-house training programs.	US, expired, or discontinued + 2 years.	
GR1050-28d	TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS	Skill or achievement measurement records of a training group or class as a whole (e.g., rosters with scores).	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.
GR1050-29	UNEMPLOYMENT COMPENSATION CLAIMS RECORDS	Unemployment claims, pertinent correspondence, and similar records documenting unemployment compensation cases.	After closed + 5 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1050-30	VERIFICATIONS OF EMPLOYMENT ELIGIBILITY (Form I-9)		3 years from hire or 1 year after separation, whichever later.	By regulation - 8 CFR 274a.2(b)(2)(i)(A) and (c)(2) Retention Note: If a former employee is rehired and a Form I-9 is still on file for the employee, the 3-year retention period dates from date of first hire.
GR1050-31	WORK SCHEDULES	Work, duty, shift, crew, case schedules, rosters, or assignments except work schedules includable in item number GR1050-56.	1 year.	
*GR1050-32	WORKERS COMPENSATION CLAIM RECORDS	Records of accidents to or job-related illnesses of employees.		Retention Note: Refer to GR1050-22b(1) for any medical or exposure records created or collected.
*GR1050-32a	WORKERS COMPENSATION CLAIM RECORDS	Initial and supplemental incident forms, reports, or logs.	CE + 5 years.	By regulation - 29 CFR 1904.33. Retention Note: If a claim is filed as a result of the accident or illness any forms or reports related to the incident must be retained under GR1050-32b.
*GR1050-32b	WORKERS COMPENSATION CLAIM RECORDS	Records of workers compensation claims filed by employees, including any reports or investigations used to determine eligibility. (1) If the local government is self-insured. (2) If the local government is not self-insured.	CE of closure of claim + 50 years. CE + 5 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-33	FINANCIAL DISCLOSURE STATEMENTS	Financial disclosure statements of officers and/or employees of a local government required by Local Government Code Section 145.007(c) or 159.007(c).	Date of separation + 2 years.	By law – Local Government Code, Section 145.007(c); 159.007(c). Retention Notes: a) For campaign contribution and expenditure statements see item number EL3125-01 in Local Schedule EL (Records of Elections and Voter Registration). b) See item number EL3125-04 for financial disclosure statements of local government candidates.
GR1050-34	PUBLIC ACCESS OPTION FORMS	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US.	Retention Note: The last public access option form completed by an employee prior to termination of employment must be retained as part of the Employee Service Record (see record number GR1050-12 in this schedule).
GR1050-35	EMPLOYEE EXIT INTERVIEWS	Records of interviews and other supporting documentation conducted at time of employee termination.	Date of separation + 2 years.	
GR1050-36	CRIMINAL HISTORY CHECKS	Used for condition of or in conjunction with employment application.	End of employee's probationary period or after immediate purpose has been fulfilled, as applicable.	By law - Government Code, Chapter 411 Subchapter F for certain education institutions and fire departments, and by authority of this schedule for all other local governments. Retention Note: A local government that is authorized to obtain criminal history recorded information from the Texas Department of Public Safety must refer to Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.
*GR1050-37	EMPLOYEE ACKNOWLEDGEMENT FORMS	Employee acknowledgement forms or other documentation that show proof of receipt and awareness of local government policies and procedures.	US or date of separation +2 years, as applicable.	Retention Note: See item number GR1050-08b for acknowledgement forms of pension and deferred compensation policies and procedures.

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-38	UNSOLICITED RÉSUMÉS	Unsolicited résumés received by local governments not used in the employment selection process.	AV.	Retention Note: See item number GR1050-14 for résumés, whether solicited or unsolicited, that are used in any way in the employment selection process.
GR1050-39	VOLUNTEER SERVICE FILES	Information about individual volunteers and duties they perform.	US or date of separation + 3 years.	
*GR1050-40	APPLICATIONS FOR PERMANENT EMPLOYMENT CERTIFICATION (ETA Form 9089)	Includes applications and supporting documentation, including employment applications, summaries of recruitment efforts, job postings, newspaper advertisements, job orders with the Texas Workforce Commission, and correspondence with the U.S. Department of Labor and attorneys.	Date of filing of application + 5 years.	
*GR1050-41	OUTSIDE/SECONDARY EMPLOYMENT AUTHORIZATIONS	Personnel forms requesting permission to perform at a job outside of the local government.	Date of separation or until superseded + 2 years, as applicable.	
*GR1050-42	LICENSE AND DRIVING RECORD CHECKS		US or date of separation.	Retention Note: See item number SD3500-03c for driving record checks of school bus drivers.
*GR1050-43	LABOR STATISTICS REPORTS	Reports providing statistical information on labor force.	3 years.	
*GR1050-44	AMERICANS WITH DISABILITIES ACT (ADA) DOCUMENTATION	Self evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.	3 years.	By regulation - 28 CFR 35.105(c).

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 + 5 years under the retention for Banking Records (see item number GR1025-28).

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-50	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.	4 years after separation or 4 years after amendment, expiration, or termination of authorization, whichever sooner.	
GR1050-51	DIRECT DEPOSIT APPLICATIONS/ AUTHORIZATIONS		US or date of separation, as applicable.	
GR1050-52	EARNINGS AND DEDUCTION RECORDS			
GR1050-52a	EARNINGS AND DEDUCTION RECORDS	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 of any one of the following records for 5 years by school districts or 4 years by other local governments will satisfy the retention requirement: 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.	By regulation - 20 CFR 404.1225(b) (3) and 40 TAC 815.106(i).

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-52b	EARNINGS AND DEDUCTION RECORDS	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.	<p>The retention of any one of the following for date of separation + 75 years will satisfy the retention requirement:</p> <p>1) Individual employee earnings card or record as in (a)(1).</p> <p>2) Employee Service Record (see item number GR1050-12) if it contains the prescribed pension and deferred compensation deduction data.</p> <p>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.</p>	

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-52b (continued)	EARNINGS AND DEDUCTION RECORDS		<p>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.</p> <p>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.</p>	
GR1050-52c	EARNINGS AND DEDUCTION RECORDS	Master payroll register, including year-to-date registers, if not used to satisfy either of the retention requirements set in (a) or (b).	FE + 5 years for school districts; FE + 3 years for other governments.	

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-52d	EARNINGS AND DEDUCTION RECORDS	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. (2) If data contained in the subsidiary payroll register is contained in the master payroll register.	FE + 5 years for school districts; FE + 3 years for other governments. AV.	
GR1050-52e	EARNINGS AND DEDUCTION RECORDS	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).	2 years.	
GR1050-52f	EARNINGS AND DEDUCTION RECORDS	Payroll adjustment records, including transaction registers, authorizations, and similar records authorizing and detailing adjustments to payroll records because of overpayment, underpayment, etc.	FE + 5 years for school districts; FE + 3 years for other governments.	
GR1050-53	FEDERAL AND STATE TAX FORMS AND REPORTS			
GR1050-53a	FEDERAL AND STATE TAX FORMS AND REPORTS	Forms used to determine withholding from wages and salaries for payroll tax purposes (W-4 Forms).	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.
GR1050-53b	FEDERAL AND STATE TAX FORMS AND REPORTS	Forms and reports used to report the collection, distribution, deposit, and transmittal of payroll or unemployment taxes (W-2, 1099).	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.
GR1050-54	LEAVE RECORDS			

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-54a	LEAVE RECORDS	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.	<p>The retention of any one of the following for date of separation + 75 years will satisfy the retention requirement:</p> <p>1) Individual employee earnings card or record as described in item number GR1050-52a if it also contains accumulated sick leave data.</p> <p>2) Employee Service Record (see item number GR1050-12) if it contains the accumulated sick leave data prescribed.</p> <p>3) Copy of the final time summary or leave status report, as noted in (d), of each separated employee.</p>	
GR1050-54b	LEAVE RECORDS	Requests and authorizations for vacation, compensatory, sick, Family and Medical Leave Act (FMLA), and other types of authorized leave, and supporting documentation.	FE + 5 years for school districts; FE + 3 years for other governments.	By regulation – 29 CFR 825.500.
GR1050-54c	LEAVE RECORDS	Leave or hours-to-date registers.	FE + 5 years for school districts; FE + 3 years for other governments.	

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-54d	LEAVE RECORDS	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).	2 years.	
GR1050-55	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 GR1050-50) and federal tax forms [see item number GR1050-53(a)].		
*GR1050-55a	PAYROLL ACTION OR INFORMATION NOTICES	Documents concerning hiring, termination, transfer, pay grade, position or job title, name changes, etc.	2 years from the date of creation or personnel action involved, whichever is later.	By regulation - 29 CFR 1602.31, 1602.40, and 1602.49. Retention Note: Refer to GR1050-12 in this schedule as some information must be kept in Employee Service Record.
GR1050-55b	PAYROLL ACTION OR INFORMATION NOTICES	Documents concerning adjustments to payroll and leave status.	FE + 3 years.	Retention Note: Refer to GR1050-12 in this schedule as some information must be kept in Employee Service Record.
GR1050-56	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.	4 years.	By regulation - 40 TAC 815.106(i).
GR1050-57	TIME CHANGE RECORDS	Requests and authorizations for overtime, time trading, and other actions that affect normal work time except leave requests [see item number GR1050-54(c)].	2 years.	
GR1050-58	REIMBURSABLE ACTIVITIES, REQUESTS AND AUTHORIZATIONS TO ENGAGE IN	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other <i>bona fide</i> work-related activities in which the expenses of an employee are defrayed or reimbursed.	FE + 5 years for school districts; FE + 3 years for other governments.	

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1050-59	WAGE AND SALARY RATE TABLES			
GR1050-59a	WAGE AND SALARY RATE TABLES	If wage or salary rate for each position listed on an Employee Service Record (see item number GR1050-12) is expressed in dollars.	2 years after last effective date.	By regulation - 29 CFR 516.6(a)(2).
GR1050-59b	WAGE AND SALARY RATE TABLES	If wage or salary rate for each position listed on an Employee Service Record (see item number GR1050-12) is indicated by grade or step number only.	Date of separation + 75 years.	

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 GR1025-26) 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.

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1075-01	BIDS AND BID DOCUMENTATION			
GR1075-01a	BIDS AND BID DOCUMENTATION	Successful bids and requests for proposals, including invitations to bid, bid bonds and affidavits, bid sheets, and similar supporting documentation.	FE of award + 5 years for school districts; FE + 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 GR1000-25.
GR1075-01b	BIDS AND BID DOCUMENTATION	Unsuccessful bids.	2 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1075-01c	BIDS AND BID DOCUMENTATION	Requests for informal bid estimates, quotes, or responses from providers for the procurement of goods or services for which state law or local policy does not require the formal letting of bids.	1 year.	
GR1075-01d	BIDS AND BID DOCUMENTATION	Requests for information (RFI) preliminary to the procurement of goods or services by direct purchase or bid.	AV after date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.	
*GR1075-02	PARTS AND SUPPLIES INVENTORY RECORDS	Inventories of parts and supplies.	1 year.	
GR1075-03	PURCHASE ORDER AND RECEIPT RECORDS			
GR1075-03a	PURCHASE ORDER AND RECEIPT RECORDS	Purchase orders, requisitions, and receiving reports.	FE + 5 years for school districts; FE + 3 years for other governments.	
GR1075-03b	PURCHASE ORDER AND RECEIPT RECORDS	Purchasing log, register, or similar record providing a chronological record of purchase orders issued, orders received, and similar data on procurement status.	FE + 3 years.	
GR1075-03c	PURCHASE ORDER AND RECEIPT RECORDS	Packing slips and order acknowledgments.	AV.	
GR1075-03d	PURCHASE ORDER AND RECEIPT RECORDS	Vendor and commodity lists.	US.	
GR1075-04	W-9 FORM - REQUEST FOR TAXPAYER IDENTIFICATION NUMBER (TIN) AND CERTIFICATION	W-9 IRS Form used to request a taxpayer identification number (TIN) for reporting information to IRS. This includes W-9 forms received by local governments from vendors.	Date account is opened or date instrument purchased + 3 years.	By regulation - 26 CFR 31.3406(h)-3(g).

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

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1075-15	ACCIDENT AND DAMAGE REPORTS (PROPERTY)	Reports of accidents or damage to facilities, vehicles, or equipment if no personal injury is involved.	3 years.	Retention Note: For accident reports involving personal injury see item numbers GR1000-20 and GR1050-32.
GR1075-16	CONSTRUCTION PROJECT RECORDS			
*GR1075-16a	CONSTRUCTION PROJECT RECORDS	Records concerning the planning, design, construction, conversion, or modernization of local government-owned facilities, structures, infrastructure (i.e. electrical lines, underground water lines), 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 except as described in (b), (c) or (d).	LA + 10 years.	<p>Retention Notes: a) Review before disposal; some records may merit PERMANENT retention for historical reasons.</p> <p>b) If a structure, facility, or system is sold or transferred to another person or entity, the local government must retain the original records relating to its construction to fulfill retention requirements. Copies of the records may be given to the person or entity to which the structure, facility, or system is sold or transferred.</p> <p>c) Records of the types described relating to places eligible for or already listed as historic by national, state, or local organizations or authorities must be retained PERMANENTLY.</p>

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1075-16b	CONSTRUCTION PROJECT RECORDS	Records of the types described in GR1075-16a 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.	Completion of the project + 10 years.	<p>Retention Notes: a) Review before disposal; some records may merit PERMANENT retention for historical reasons. Records relating to construction of some of the described structures will have historical value if they are closely associated with a major structure as described in GR1075-16a. For example, records relating to the construction of gazebos, fountains, walls, or statuary located on the grounds of a county courthouse are part of the landscape of the courthouse and its grounds and should be retained PERMANENTLY.</p> <p>b) Records of the types described relating to places eligible for or already listed as historic by national, state, or local organizations or authorities must be retained PERMANENTLY.</p> <p>c) If the construction of a structure described in GR1075-16b includes infrastructure (i.e. electrical lines, underground water lines, etc.), records of the infrastructure must be maintained Life of Asset + 10 years.</p>
*GR1075-16c	CONSTRUCTION PROJECT RECORDS	Records relating to construction projects described in GR1075-16a and GR1075-16b, that are transitory or of ephemeral relevance, and are not required for maintaining, modifying, and repurposing the building or structure. Records may include, but are not limited to, records of architectural and engineering draft design plans and specifications that precede the signed and sealed versions, , delivery tickets for expendable products, daily work reports, etc.	5 years.	<p>Retention Note: Records of the types described relating to places eligible for or already listed as historic by national, state, or local organizations or authorities must be retained PERMANENTLY.</p>

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1075-16d	CONSTRUCTION PROJECT RECORDS	Line Locate Requests, Call Before You Dig records, or other similar records documenting requests for information regarding locations of the underground cable or utility lines.	Completion of project requiring the locate request + 2 years.	Retention note: If damage to utility lines becomes subject to litigation, the locate records must be retained in accordance with GR1000-31 (Litigation Case Files).
GR1075-17	LOST AND STOLEN PROPERTY REPORTS		FE + 3 years.	
GR1075-18	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.
GR1075-18a	MAINTENANCE, REPAIR, AND INSPECTION RECORDS	Vehicles and equipment.		
		(1) Routine inspection records.	1 year.	
		(2) Maintenance and repair records.	Life of asset.	Retention Note: If a vehicle is salvaged as the result of an accident, the maintenance and repair records for the vehicle must be retained for date of salvage + 1 year.

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1075-18b	MAINTENANCE, REPAIR, AND INSPECTION RECORDS	Facilities. (1) Routine cleaning, janitorial, and inspection work. (2) All other facility maintenance, repair and inspection records (including those relating to plumbing, electrical, fire suppression, and other infrastructural systems).	1 year. 5 years.	Retention Note: Records of the types described relating to government-owned structures or places eligible for or already listed as historic by national, state, or local organizations or authorities must be retained PERMANENTLY .
*GR1075-19	SERVICE REQUESTS/WORK ORDERS	Requests or work order for repairs or maintenance to facilities, vehicles, or equipment.	2 years.	Retention Note: If work orders serve as the only form of record documenting repairs to vehicles or equipment [see item number GR1075-18(a)] they must be retained for the life of the vehicle or equipment.
GR1075-20	USAGE REPORTS	Reports of usage of facilities, vehicles, and equipment.		
*GR1075-20a	USAGE REPORTS	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.	FE + 5 years for school districts; FE + 3 years for other governments.	
*GR1075-20b	USAGE REPORTS	Reservation logs or similar records relating to the use of facilities such as meeting rooms, auditoriums, etc. by the public or other governmental agencies.	2 years.	
*GR1075-20c	USAGE REPORTS	Usage reports compiled for purposes other than those noted in (a) or (b).	1 year.	
GR1075-21	VEHICLE OR EQUIPMENT ASSIGNMENT RECORDS	Assignment logs, authorizations, and similar records relating to the assignment and use of government-owned vehicles or equipment by employees.	After return or reassignment + 2 years.	
GR1075-22	VISITOR CONTROL REGISTERS	Logs, registers, or similar records documenting visitors to limited access or restricted areas.	3 years.	Retention Note: If the visitor control register is needed as part of an investigation it should be retained with the investigation case file PS4125-05.

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR1075-23	VEHICLE AND EQUIPMENT WARRANTIES	Warranties for vehicles and equipment.	Expiration of warranty + 1 year.	
GR1075-24	VEHICLE TITLES AND REGISTRATIONS	Vehicle titles and registrations of government- owned vehicles.	LA.	
GR1075-25	SURVEILLANCE VIDEOS	Video surveillance for, but not limited to, security of property and persons.	AV.	Retention Note: If the surveillance video is needed as part of an investigation it should be retained with the investigation case file PS4125-05.
*GR1075-26	EQUIPMENT MANUALS	Equipment manuals, owner's manuals, instructional manuals, or other similar documentation for government owned equipment, except for equipment manuals noted elsewhere in this schedule or other schedules adopted by the commission.	LA.	

SECTION 4-3: COMMUNICATIONS RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1075-40	POSTAL AND DELIVERY SERVICE RECORDS			
GR1075-40a	POSTAL AND DELIVERY SERVICE RECORDS	Meter and permit usage records.	1 year.	
GR1075-40b	POSTAL AND DELIVERY SERVICE RECORDS	Registered, certified, insured, and special delivery mail receipts and similar records of transmittal by express or delivery companies.	1 year.	
GR1075-41	TELEPHONE LOGS OR ACTIVITY REPORTS	Registers or logs of telephone calls and fax transmissions made and similar activity reports.		
GR1075-41a	TELEPHONE LOGS OR ACTIVITY REPORTS	If the log, report, or similar record is used for cost allocation purposes.	FE + 5 years for school districts; FE + 3 years for other governments.	
GR1075-41b	TELEPHONE LOGS OR ACTIVITY REPORTS	If the log, report, or similar record is used for internal control purposes other than cost allocation.	1 year.	

Record Number	Record Title	Record Description	Retention Period	Remarks
GR1075-41c	[WITHDRAWN –SEE GR1075-43]			
*GR1075-42	E-RATE RECORDS	<p>E-Rate is the Schools and Libraries Program of the Universal Service Fund that provides discounts to schools and libraries for telecommunications and Internet access. E-Rate is administered by the Universal Service Administrative Company (USAC) under the direction of the Federal Communication Commission (FCC).</p> <p>All records related to the application for, receipt, and delivery of discounted telecommunications and other supported services.</p>	FE + 10 years.	By regulation - 47 CFR 54.516.
*GR1075-43	DIRECTORY INFORMATION	Mailing addresses, telephone or fax numbers, or email addresses, or other contact information maintained by a local government on its employees or persons it serves.	US, expired, or discontinued.	

SECTION 4-4: WORKPLACE SAFETY RECORDS

Record Number	Record Title	Record Description	Retention Period	Remarks
GR5750-01	BLOODBORNE PATHOGEN TRAINING RECORDS	Records of training given to 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.	3 years.	

Record Number	Record Title	Record Description	Retention Period	Remarks
GR5750-02	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 State Health Services as required by Health and Safety Code, Section 506.006.	30 years.	
GR5750-03	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.	US + 5 years.	By law - Health and Safety Code, Section 502.009(g).
GR5750-04	HAZARDOUS MATERIALS TRAINING RECORDS	Records of training given to 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.	5 years.	By law - Health and Safety Code, Section 502.009(g).
GR5750-05	MATERIAL SAFETY DATA SHEETS (MSDS)	Material safety data sheets (MSDS) supplied to local government employers by manufacturers or distributors of hazardous chemicals.	AV after receipt of updated sheet or the hazardous chemical is no longer present in the local government, as applicable.	
GR5750-06	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 502.005.	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 State Health Services.

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR5750-07	DISASTER PREPAREDNESS AND RECOVERY PLANS	Disaster preparedness, continuity of operations, business continuity, or other plans used to prepare for or respond to emergencies or disasters.	US.	

PART 5: INFORMATION TECHNOLOGY 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 were 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

Record Number	Record Title	Record Description	Retention Period	Remarks
GR5800-01	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.	Until audit requirements met.	
GR5800-02	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.	Until the related hard copy or electronic records have been destroyed.	
GR5800-03	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.	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.	Retention Note: If the retention period of electronic records is extended to meet requirements of an audit, litigation, Public Information Act request, etc., any hardware documentation required to retrieve and read the records must also be retained for the same period.
*GR5800-04	INFORMATION SYSTEM/DATABASE RECORDS	Relatively long-lived computer files, including databases, containing organized and consistent sets of complete and accurate electronic records.	Until electronic records are transferred to and made usable in a new system environment, or the files have met a retention period established in this or other commission schedule, whichever sooner.	<p>Retention Notes: a) The need to retain "snapshots" of some continuing information systems or databases should be carefully evaluated. For example, if a Geographic Information System has only current mapping information, historical versions of zoning changes would need to be maintained for long-term legal and historical value.</p> <p>b) Records managers should ensure that snapshots which support records on this or other commission schedules are retained for the full retention period of the records they support.</p>

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR5800-05	PROCESSING RECORDS	Electronic files used to produce or modify an information system or database, including, but not limited to, work files, maintenance and test files, print files, and intermediate input/output records.	Until electronic records are transferred to and made usable in a new system environment, or the files have met a retention period established in this or other commission schedule, whichever sooner.	Retention Note: Routine or benchmark files used to test system performance and files which facilitate processing of a particular job or system run, but which do not add to, delete from, or substantially modify information in an information system or database need be retained only as long as administratively valuable.
*GR5800-06	SOFTWARE PROGRAMS	Automated software applications and operating system files including job control language, etc.	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.	Retention Note: If the retention period of electronic records is extended to meet requirements of an audit, litigation, Public Information Act request, etc. any software program required to retrieve and read the records must also be retained for the same period.

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR5800-08	TECHNICAL DOCUMENTATION	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition. Includes documentation describing how a system operates and which is 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.	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.	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.
*GR5800-09	AUTOMATED PROGRAM LISTING / SOURCE CODE	Automated program code and builds which generate the machine-language instructions used to operate software programs.	Until superseded or software program no longer used, whichever sooner.	

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.

Record Number	Record Title	Record Description	Retention Period	Remarks
*GR5825-01	SYSTEM SECURITY RECORDS		.	
*GR5825-01a	SYSTEM 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.	US, date of expiration, or date of separation + 2 years, as applicable.	
*GR5825-01b	SYSTEM SECURITY RECORDS	Records used to control and monitor the security of a system and its data, including vulnerability scans, intrusion tests, malicious code detection tests, threat and risk assessments, technical security reviews, patch management logs, intrusion detection logs, firewall logs, and related records. Records documenting incidents and investigations involving unauthorized attempted entry, probes and/or attacks on information systems or networks.	AV.	
GR5825-02	BATCH DATA ENTRY CONTROL RECORDS	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AV after reconciliation confirmed.	
GR5825-03	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.	FE + 5 for school districts; FE + 3 years for other local governments.	
GR5825-04	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.	90 days.	
GR5825-06	DATA PROCESSING PLANNING RECORDS	Reports, studies, analyses, projections, and similar records concerning the creation, development, or modification of data processing systems and services.	5 years.	Retention Note: Review before disposal; some records of this type may merit PERMANENT retention for historical reasons.
*GR5825-07	[WITHDRAWN – SEE GR5750-07]			

Record Number	Record Title	Record Description	Retention Period	Remarks
GR5825-08	ELECTRONIC MEDIA LIBRARY SYSTEM RECORDS	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 GR1000-40).	Until related records or media are destroyed or withdrawn from the library.	
*GR5825-09	DATA ENTRY DOCUMENTS	Records or forms designed and used solely for data input and control except for data entry documents noted elsewhere in this schedule or other schedules adopted by the commission.	Until all data has been entered into the system and, if required, verified.	
GR5825-10	NETWORK CIRCUITS INVENTORIES	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.	US.	
GR5825-11	NETWORK IMPLEMENTATION RECORDS	Records used to implement a computer network including reports, diagrams of network, and wiring schematics.	US.	
*GR5825-12	OPERATING SYSTEM AND HARDWARE CONVERSION PLANS	Records relating to the replacement of equipment or computer operating systems not included elsewhere in this schedule.	2 years after completion of conversion.	
GR5825-13	OUTPUT RECORDS FOR COMPUTER PRODUCTION	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV.	
*GR5825-14	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.	Until no longer needed as an audit trail.	

Record Number	Record Title	Record Description	Retention Period	Remarks
GR5825-15	PROJECT RECORDS	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 in Part 4 of this schedule.
GR5825-15a	PROJECT RECORDS	Project management records, design documentation, feasibility studies, justifications, user requirements, etc.	3 years after completion of project.	
GR5825-15b	PROJECT RECORDS	Routine status reports, memos, and correspondence.	AV.	
*GR5825-16	SYSTEM ACTIVITY MONITORING RECORDS	Records or logs that monitor and report levels and patterns of individual and organizational usage of system hardware, software application, and internet resources, including but not limited to log in files, system usage files, application usage files, data entry logs, print spool logs, and records of individual computer usage. May also include levels of storage and network/bandwidth traffic and other documentation related to activities for monitoring and ensuring optimal efficiency of system resource use.	AV.	
*GR5825-17	[WITHDRAWN – SEE GR1050-28]			
GR5825-18	INTERNET COOKIES	Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.	AV.	Retention Note: The disposal of Internet cookies need not be documented through destruction authorizations (GR1000-40(b)), but governments should establish procedures governing disposal of these records as part of its records management plan (GR1000-40(d)).
GR5825-19	HISTORY FILES – WEB SITES	A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of a user's progress.	AV.	Retention Note: The disposal of Internet history files need not be documented through destruction authorizations (GR1000-40(b)), but governments should establish procedures governing disposal of these records as part of its records management plan (GR1000-40(d)).

Record Number	Record Title	Record Description	Retention Period	Remarks
GR5825-20	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS		LA + 3 years.	

Comments or complaints regarding the programs and services of the Texas State Library and Archives Commission can be addressed to the Director and Librarian, PO Box 12927, Austin, TX 78711-2927
512-463-5460 or 512-463-5436 Fax

Copies of this publication are available in alternative format upon request.

ITEM C

SECTION 00 63 63
CHANGE ORDER FORM – EJCDC C-941

Change Order No. **TWO**

Date of Issuance: December 29, 2016

Effective Date: January 19, 2017

Project Name:
Spillman Effluent Pond Liner

Owner's Contract No.:

-

Owner:
West Travis County PUA

Date of Contract:
July 25, 2016

Contractor:
Austin Engineering Company, Inc.

Project No.:
23008

The Contract Documents are modified as follows upon execution of this Change Order:

Description:

Deduct: BW Level Relays/Probes and Radios (\$8,800)

Add: Additional Tank/Piping Rental \$51,430.95

Attachments (list documents supporting change):

AECOI's email of December 6, 2016; AECOI's email of December 27, 2016

CHANGE IN CONTRACT PRICE:

CHANGE IN CONTRACT TIMES:

Original Contract Price:

\$ 1,082,000.00

Original Contract Times: ☐ Working days ☒ Calendar days

Substantial completion (days): 120 (12/02/16)

Ready for final payment (days): 150 (01/01/17)

Increase from previously approved Change Orders
No. 0 to No. 1:

\$ 25,000.00

~~[Increase]~~ ~~[Decrease]~~ from previously approved Change Orders
No. to No. :

Substantial completion (days): 0

Ready for final payment (days): 0

Contract Price prior to this Change Order:

\$ 1,107,000.00

Contract Times prior to this Change Order:

Substantial completion (days): 120 (12/02/16)

Ready for final payment (days): 150 (01/01/17)

Increase of this Change Order:

\$ 42,630.95

Increase of this Change Order:

Substantial completion (days): 60

Ready for final payment (days): 60

Contract Price incorporating this Change Order:

\$ 1,149,630.95

Contract Times with all approved Change Orders:

Substantial completion (days): 180 (12/31/16)

Ready for final payment (days): 210 (03/02/17)

RECOMMENDED:

By: 
Engineer (Authorized Signature)

ACCEPTED:

By: _____
Owner (Authorized Signature)

ACCEPTED:

By: 
Contractor (Authorized Signature)

Date: 12/29/2016

Date: _____

Date: 1/10/2017

From: Austin Keller [mailto:akeller@aecoi.net]

Sent: Tuesday, December 06, 2016 9:49 AM

To: Laura Dyer; Scott Wetzel

Cc: Angela Walton

Subject: RE: Spillman Pond liner replacement

~~~~~  
Provide float switches and additional conductors in lieu of the designed BW Level Relays/Probes and Radios.

The work for this change consists of the installation of (32) Floats Switches and approximately 100ft of #18Awg 600V Twisted Shielded Cable. This material and services were furnished in lieu of the BW Relays and Radios. See additional information below.

This quotation includes the following services and materials:

- (32ea) N.O./N.C. Float Switches to be installed in the frack tank instead of the BW probe and relays. This was a less expensive alternative to the temporary BW Relay/Probe Setup. Each tank consist of (2) float switches.
- (lot) 600Volt Rated #16awg Twisted Shielded Paired Cable was installed in the 480V feeder from the main pump building to the frac tanks. This was installed in lieu of the originally designed radio system that would be in temporary operation. This was provided as a less expensive alternative to the temporary setup.

Credit for this work = -\$8,800.00

Thank you,

Austin Engineering Co.,Inc

Austin Keller

Project Manager

O-512-327-1464

M-512-751-3070



## Austin Engineering Co., Inc.

Constructors and Engineers

3317 Ranch Road 620 North

P. O. Box 342349

Austin, Texas 78734-2349

(512) 327-1765 - FAX

(512) 327-1464

Change Order #1

December 27, 2016

Re: West Travis County PUA Spillman Pond Liner Replacement

In reference to the work stoppage letter dated December 21, 2016. Below is a summary of costs incurred to date.

|                                                 |                    |
|-------------------------------------------------|--------------------|
| Monthly rental on Frac tank and line December   | \$32,125.00        |
| Monthly rental on Frac tank and line ½ November | \$16,062.50        |
| SWPPP Inspections for 1.5 months                | \$ 600.00          |
| Storage costs of the HDPE Liner Fixed cost      | \$ 1,635.00        |
| Bond premium 2% of total (\$50,422.50)          | <u>\$ 1,008.45</u> |
| Total                                           | \$51,430.95        |

Austin Engineering Co., Inc requests that this change order be approved immediately. Time extension to the contract will be determined when work is allowed to be resumed.

Thank you,

A handwritten signature in black ink, appearing to read "Austin Keller".

Austin Keller

Project Manager

Austin Engineering Co., Inc