



Office of the City Auditor Policies and Procedures

Number: 5.1.3**Title:** Records Management and
Retention

Original Date:**Revision Date:****Approved by:**

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I. Policy

All employees of the Office of the City Auditor (Office) are required to adhere to the Office's record retention control schedule as approved by the Texas Library and Archives Commission. Destruction of local government records contrary to the provisions of the Local Government Records Act of 1989 and administrative rules adopted under its authority is a Class A misdemeanor and, under certain circumstances, a third degree felony (Penal Code, Section 37.10). Anyone destroying local government records without legal authorization may also be subject to criminal penalties and fines under the Open Records Act (Government Code, Chapter 552).

II. Purpose

To ensure compliance with state and federal laws related to retention and destruction of city records.

III. Definitions

- A. **Essential record** - Any local government record necessary to the resumption or continuation of government operations in an emergency or disaster.
- B. **Record** - Every document paper, letter, book, map, photograph, sound or video recording, microfilm, magnetic tape, electronic medium, or other information recording medium, regardless of physical form or characteristic and regardless of whether public access to it is open or restricted under state or federal law, that is created or received by the City or any of its officers or employees pursuant to law or in the transaction of public business.
- C. **Non-record** - A City record does not include extra identical copies of documents created only for convenience of reference or research;

notes, journals, diaries, and similar documents created for the employee's personal convenience; library or museum material acquired solely for reference, exhibit, or display; or stocks of publications, advertisement, or other unsolicited written materials, received by the City or any of its officers or employees that does not involve public business.

- D. **Records disposition** - The destruction of a City record takes place when it has passed its minimum legal retention period and no longer has value to the City or the permanent preservation of a permanent City record.
- E. **Retention period** - The minimum time that must pass after the creation, recording, or receipt of a City record, or after the fulfillment of certain actions associated with a City record, before the record is eligible for destruction.

IV. Procedures

- A. The City Auditor must appoint a Records Administrator, who should be a senior level manager.
- B. The Records Administrator is responsible for ensuring that the Office's record management policies and procedures are followed. Duties and responsibilities of the Records Administrator can be found in the City of Austin Records Management Policy Workbook. The Administrator appoints a Records Coordinator.
- C. The Records Coordinator is responsible for the daily maintenance of office files related to the Office's Control Schedule and the disposition of City records. Duties and responsibilities of the Records Coordinator can be found in the City of Austin Records Management Policy Workbook.
- D. Employees of the Office are required to follow the approved Control Schedule and the mandated schedule for identification of physical and electronic records.

V. Responsibilities

See the Office's Records Retention and Disposition Manual for specifics on identifying, filing, and retrieving for destruction.