

Request for Records Disposition Authority

Records Schedule Number DAA-0201-2020-0006

Schedule Status Approved

Agency or Establishment Western Area Power Administration

Record Group / Scheduling Group Records of the Western Area Power Administration

Records Schedule applies to Agency-wide

Schedule Subject Management, Policy, and Public Affairs

Internal agency concurrences will be provided No

Background Information

The Western Area Power Administration (WAPA) is one of four power marketing administrations within the U.S. Department of Energy. The power marketing administrations market and transmit wholesale electricity from multi-use water projects. The WAPA service area encompasses a 15-state region of the central and western U.S. where more than 17,000 circuit mile transmission system carries electricity from 57 hydropower plants operated by the Bureau of Reclamation, U.S. Army Corps of Engineers, and the International Boundary and Water Commission. WAPA sells its power to preference customers such as Federal and state agencies, cities and towns, rural electric cooperatives, public utility districts, irrigation districts, and Native American tribes. These customers then provide retail electric service to millions of consumers in the West.

The following items are arranged in an aggregate, media neutral schedule. All records series/systems for each retention bucket relate to the same general function or subject matter, and assigned the same disposition. Included is a crosswalk that maps each of WAPA's current series and electronic systems to the appropriate bucket item. This schedule establishes disposition authority for all WAPA records in the specific program area described and it supersedes all previous WAPA retention schedules (unless otherwise noted) and it should be applied retroactively to all extant records. There are numerous records covered under the below items, and compiling an exhaustive list would not be possible; it should not be considered a complete and exclusive listing of all pertinent documents. Headquarters, regional, field offices and other business operations are responsible for creating detailed file plans to note all records they create and maintain as well as specific cutoff and other implementing instructions unique to each record.

Executive management at WAPA is carried out by the Administrator and senior managers who provide direction and exercise authority

over all WAPA's organizational elements. They establish policies, objectives, priorities, and organizations for managing, directing, and administering programs for developing plans for marketing power from Federal resources at rates sufficient to meet annual operating expenses and to repay the Federal investment; operating and maintaining existing power facilities to ensure reliable delivery of that power to wholesale customers within Western's marketing area; planning and constructing new facilities to meet future requirements; and protecting and enhancing the environment, conserving energy, and promoting the use of renewable resources. They also establish and carry out continued and direct involvement with public and private organizations and customers and Federal, state, local, foreign, and Congressional officials to maintain cooperative working relations, to promote mutual understanding and assistance, and to develop contractual relations. The Public Affairs function provides oversight and leadership in branding, reputation and transparency, and offers expertise crisis communications, media relations, issues management, internal and external communications, publicity and special events, research, planning, campaign implementation and evaluation, and community relations

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
4	1	3	0

GAO Approval

Outline of Records Schedule Items for DAA-0201-2020-0006

Sequence Number	
1	Management, Policy, and Public Affairs Short Term Records Disposition Authority Number: DAA-0201-2020-0006-0001
2	Management, Policy, and Public Affairs Administrative Records Disposition Authority Number: DAA-0201-2020-0006-0002
3	Management, Policy, and Public Affairs Long-term Records Disposition Authority Number: DAA-0201-2020-0006-0003
4	Historically Significant Management, Policy, and Public Affairs Records Disposition Authority Number: DAA-0201-2020-0006-0004

Records Schedule Items

Sequence Number	
1	<p>Management, Policy, and Public Affairs Short Term Records</p> <p>Disposition Authority Number DAA-0201-2020-0006-0001</p> <p>Data and documents for management and policy functions that are transitory in nature and have a short-term business purpose for reference or documentation after the records are closed. These data and documents do not record financial, contractual, or other enforceable obligations and commitments. Includes but not limited to customer/public communications not requiring formal action, drafts and supporting documentation for changes made to policies and to program procedural manuals, publication product production files, notices that do not serve as the basis of official actions, routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities, short term reports, routine social media posts, etc.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>Disposition Instruction</p> <p>Cutoff Instruction End of fiscal year in which created.</p> <p>Retention Period Destroy 3 years after the records are closed, but longer retention is authorized if required for business use.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Management, Policy, and Public Affairs Administrative Records</p> <p>Disposition Authority Number DAA-0201-2020-0006-0002</p> <p>Data and documents recording administrative activities relating to the management of WAPA's mission-related and administrative programs. Includes but not limited to mandatory reports to external Federal entities Regarding WAPA administrative matters, material related to general delegations of authority and responsibilities of</p>

officials, non-significant public affairs and strategy documents, meetings hosted by WAPA, memoranda of agreements, administrative policy development records, and copies of reports submitted by regional and headquarters business units for consolidation, draft reports and comments, project records (change management, continuous improvement, etc.).

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

Cutoff Instruction When overwritten, obsolete, superseded, or no longer needed for business, audit, or other operational use. Upon final publication or final action.

Retention Period Destroy 10 years after cutoff, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Management, Policy, and Public Affairs Long-term Records

Disposition Authority Number DAA-0201-2020-0006-0003

Data and documents recording program direction activities of WAPA's mission-related and administrative programs. Includes but not limited to, records of the development, publication and maintenance of procedures and manuals; engineering position papers; drafting of policies; records of assistance and consultation provided by headquarters subject matter experts to field operations; records of mission program coordination by headquarters; records of the headquarters liaison for WAPA field managers; and records documenting WAPA's representation for industry committees and external communities. [NOTE: Final policies, strategies, and other significant products are covered under 0004.]

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in Yes

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4	<p>electronic format(s) other than e-mail and word processing?</p> <p>Do any of the records covered by this item exist as structured electronic data?</p>	<p>Yes</p>
	<p>Disposition Instruction</p> <p>Cutoff Instruction</p> <p>Retention Period</p>	<p></p> <p>When overwritten, obsolete, superseded, or no longer needed for business, audit, or other operational use. Upon final publication or final action.</p> <p>Destroy 20 years after cutoff, but longer retention is authorized if required for business use.</p>
	<p>Additional Information</p> <p>GAO Approval</p>	<p></p> <p>Not Required</p>
	<p>Historically Significant Management, Policy, and Public Affairs Records</p> <p>Disposition Authority Number DAA-0201-2020-0006-0004</p> <p>Records of the Administrator of WAPA, senior officials, and offices that report directly to the Administrator that are: essential for understanding substantive policy development and long term planning; describe issues affecting the delivery of critical WAPA services such as noteworthy power failure events and major interactions with external power marketing entities; used in creating the annual agency budget; document WAPA achievements that contribute to history of the agency; "first of kind" or establish precedents; subject of widespread media attention or congressional scrutiny; involve senior management-level WAPA personnel, noteworthy visitors, and prominent ceremonies, dedications, and events. Records include: annual narrative, financial statement and statistical reports organizational charts and changes, all media releases, and significant audio-visual records (as selected by the records officer, public affairs, and creating program office) that fall under the following criteria: • recordings of proceedings or hearings, broadcasts to agency wide locations, speeches, interviews, and media appearances by top agency officials, oral histories • coverage of ceremonies of historical or commemorative significance • illustrations used in major publications or in graphic works • photographic documentation used in the investigation of accidents or catastrophes • public information films, video recordings, and publicity photographs • visual documentation of power transmission-related operations and equipment captured for historical purposes. Congressional briefing white papers and reports, records of officially designated High-Level Officials (other than email, which is covered under GRS-6-1-0201-2017-0001), including substantive policy and procedural decisions, developed, issued, and implemented under the authority of the Administrator, internal WAPA publications that communicate the mission of WAPA such as the monthly Closed Circuit publication, and final copies of promotional posters, charts, booklets, and informational fact sheets, major WAPA plans (Strategic, Mission, Vision, and Objective), annual snapshots of WAPA.GOV.</p>	

process improvement findings that result in significant organizational changes and management practices records of formal meetings between the Administrator and wholesale power customers in which WAPA plans, initiatives, projects, and other major topics are discussed and feedback is obtained (excluding routine, one-on-one customer meetings).

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records

Cutoff Instruction End of fiscal year, or when superseded or updated.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation 1979

What will be the date span of the initial transfer of records to the National Archives? From 1979 To 2005

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	50 Cubic feet	2 Cubic feet
Microform		

Hardcopy or Analog Special Media		
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Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply

Electronic Records

Cutoff Instruction

End of fiscal year, or when superseded or updated.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation 2000

What will be the date span of the initial transfer of records to the National Archives?

From 2000 To 2005

How frequently will your agency transfer these records to the National Archives?

Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	10 GB	1 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply

Non-electronic Photographs and Other Graphic Materials

Cutoff Instruction

End of fiscal year, or when superseded or updated.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation **1979**

What will be the date span of the initial transfer of records to the National Archives? **From 1979 To 2005**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper		
Microform		
Hardcopy or Analog Special Media	20 linear feet of photographs	1 linear foot of photographs

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
12/26/2019	Certify	Christopher Magee	Agency Records Officer	Western Area Power Administration - Agency Wide
03/18/2020	Return for Revision	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
04/28/2020	Submit For Certification	Christopher Magee	Agency Records Officer	Western Area Power Administration - Agency Wide
04/29/2020	Certify	Christopher Magee	Agency Records Officer	Western Area Power Administration - Agency Wide
11/04/2020	Submit for Concurrence	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
11/06/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/06/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
11/09/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

Crosswalk for Management, Policy, and Public Affairs Bucket Schedule and Current WAPA Schedules

Item	Bucket Title	New Retention	Series Level Cutoff	Current Series Item	Current Series Title and Description	Superseded Retention and Disposition Authority	Office of Record for Permanent Records
DAA-0201-2020-0006-0004	Historically significant Management, Policy, and Public Affairs records	PERMANENT Transfer to NARA 15 years after cutoff.	When document is superseded, undergoes update, or any other final actions or other closure actions that are unique to the individual record.	1001.002	<p>Records of High-Level Officials</p> <p>Unique substantive records relating to the activities of high level officials (to include scientific and technical staff-Federal or contractor), e.g., Secretarial officers, heads of program offices, heads of offices, their deputies and assistants; the heads of staff offices, directors of offices, or equivalent; principal field officials; and staff assistants to all these aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions; also includes equivalent contractor officials.</p> <p>Examples of these records include, but are not limited to calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities while serving in an official capacity.</p>	PERMANENT. Cut off at the end of the fiscal year. Transfer to NARA in 5 year blocks when 25 years old. (DOE ADM 23-5.1) (N1-434-98-25, item 5.1)	Headquarters senior officials

Item	Bucket Title	New Retention	Series Level Cutoff	Current Series Item	Current Series Title and Description	Superseded Retention and Disposition Authority	Office of Record for Permanent Records
DAA-0201-2020-0006-0004	Historically significant Management, Policy, and Public Affairs records	PERMANENT Transfer to NARA 15 years after cutoff.	When document is superseded, undergoes update, or any other final actions or other closure actions that are unique to the individual record.	1100.001	Record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the organization.	PERMANENT. Cut off at end of the fiscal year. Transfer to NARA in 5 year blocks when 25 years old. (DOE ADM 23-1b) (N1-434-98-25)	Responsible HQ office
DAA-0201-2020-0006-0004	Historically significant Management, Policy, and Public Affairs records	PERMANENT Transfer to NARA 15 years after cutoff.	When document is superseded, undergoes update, or any other final actions or other closure actions that are unique to the individual record.	*1100.002	Agency histories and background materials including documentation on the establishment of Western Area Power Administration and the transfer of functions and properties from preceding agencies.	PERMANENT. Cut off at end of the fiscal year. Transfer to NARA in 5 year blocks when 25 years old. (DOE ADM 23-1b) (N1-434-98-25)	Responsible HQ office
DAA-0201-2020-0006-0004	Historically significant Management, Policy, and Public Affairs records	PERMANENT Transfer to NARA 15 years after cutoff.	When document is superseded, undergoes update, or any other final actions or other closure actions that are unique to the individual record.	1101	Boundaries of Authority – Western Correspondence, reports, and studies of Western's authorities and policies and their nationwide boundaries, including congressional delegation of National Area Power Administration authorities, public comment, geographical boundaries, and other national matters of a broad administrative nature.	Unscheduled. – To be Scheduled or Deleted.	Responsible HQ office
DAA-0201-2020-0006-0004	Historically significant Management, Policy, and Public Affairs records	PERMANENT Transfer to NARA 15 years after cutoff.	When document is superseded, undergoes update, or any other final actions or other closure actions that are	1102	Boundaries of Authority - Regional Offices Correspondence, reports, and studies of Western's delegation of authorities and policies to its Regional offices, including the boundaries of those	Unscheduled. – To be Scheduled or Deleted.	Responsible regional management office

Item	Bucket Title	New Retention	Series Level Cutoff	Current Series Item	Current Series Title and Description	Superseded Retention and Disposition Authority	Office of Record for Permanent Records
			unique to the individual record.		authorities and geographical boundaries and public comments.		
DAA-0201-2020-0006-0002	Management, Policy, and Public Affairs Administrative Records.	TEMPORARY. 10 years after cutoff	Expiration of appointment	*1110	Appointments and Designations. Delegations of authority within Western and in major areas of responsibility affecting organization and functions. Included are: procurement, fiscal responsibilities, property management, administrative functions, etc.	Unscheduled. – To be Scheduled or Deleted.	
DAA-0201-2020-0006-0002	Management, Policy, and Public Affairs Administrative Records.	TEMPORARY. 10 years after cutoff	Expiration of appointment	1110.001	Routine delegations of signatory and other temporary authorities.	Unscheduled. – To be Scheduled or Deleted.	
DAA-0201-2020-0006-0001	Management, Policy, and Public Affairs Short Term Records.	TEMPORARY. 3 years after cutoff	Termination of the Committee	*1130.001	Committee and Conference Records Records relating to establishment, organization, membership, and policy of internal committees.	TEMPORARY. Destroy 2 years after termination of the Committee. (DOE ADM 16-8a) (N1-434-98-19, item 8a).	
DAA-0201-2020-0006-0003	Long-Term Management, Policy, and Public Affairs Records.	TEMPORARY. 20 years after cutoff	End of FY	1130.002	Records Created by Committees. Agenda, minutes, final reports, and related records documenting the accomplishments of official boards and committees excluding those held by the sponsor or Secretariat of the committee.	TEMPORARY. Destroy when 3 years old or when no longer needed for reference, whichever is sooner. (DOE ADM 16-8b(1) (N1-434-98-19 item 8b(1))).	
DAA-0201-2020-0006-0004	Historically significant Management, Policy, and Public Affairs records	PERMANENT Transfer to NARA 15 years after cutoff.	End of FY	1200.001	Information Releases. One complete set of formal informational releases and publications to the various media (papers, radio, TV) including copies of press releases, press conference	PERMANENT. Cut off at end of fiscal year. Transfer to NARA when 25 years old.	HQ Public Affairs

Item	Bucket Title	New Retention	Series Level Cutoff	Current Series Item	Current Series Title and Description	Superseded Retention and Disposition Authority	Office of Record for Permanent Records
					transcripts, official speeches, indexes and scripts for presentations by senior officials of DOE and contractor entities that affect site mission or scope of work	(DOE ADM 14-42a) (N1-434-98-17 item 42).	
DAA-0201-2020-0006-				*1205.002	Relating to record sets.	TEMPORARY. Destroy with related record set.	
DAA-0201-2020-0006-0003	Long-Term Management, Policy, and Public Affairs Records.	TEMPORARY. 20 years after cutoff	Resolution of investigation	*1220.001	Material concerning congressional investigations or hearings regarding such things as delegations of authority, public comment, jurisdictional matters, budget, and other similar material.	TEMPORARY. Use appropriate retention instruction for subject matter.	
DAA-0201-2020-0006-0002	Management, Policy, and Public Affairs Administrative Records.	TEMPORARY. 10 years after cutoff	Expiration of agreement	1230.002	Memoranda of understanding or agreements together with all related correspondence, and involving an exchange of funds.	Unscheduled – To be Scheduled or Deleted.	
DAA-0201-2020-0006-0003	Long-Term Management, Policy, and Public Affairs Records.	TEMPORARY. 20 years after cutoff	Expiration of agreement	1240.002	Agreements with foreign governments or interests.	Unscheduled – To be Scheduled or Deleted.	
DAA-0201-2020-0006-0002	Management, Policy, and Public Affairs Administrative Records.	TEMPORARY. 10 years after cutoff	Close of MI Program	1300	Management Improvement Programs. Records generated as a part of a cultural philosophy which promulgates management improvement programs. The focus is on streamlining operations, providing cost effectiveness, improving customer satisfaction, and continuing improvement of work processes or products. Proactive preventative program records are included. Records may provide internal information,	TEMPORARY. Cut off at the end of each fiscal year. Destroy 5 years after cutoff. (DOE ADM 16-1.2) (N1-434-98-19, item 1.2)	

Item	Bucket Title	New Retention	Series Level Cutoff	Current Series Item	Current Series Title and Description	Superseded Retention and Disposition Authority	Office of Record for Permanent Records
					advice, or recommendations. Includes such files as employee suggestion forms, analyses, nonconformance process records, and related background material. Also includes corrective action plans in response to management improvement recommendations.		
DAA-0201-2020-0006-0003	Long-Term Management, Policy, and Public Affairs Records.	TEMPORARY. 20 years after cutoff	End of FY	1321	Correspondence regarding preparation, distribution, and review and comment of directives, manuals, and issuances and related work papers.	Unscheduled – To be Scheduled or Deleted.	
DAA-0201-2020-0006-0004	Historically significant Management, Policy, and Public Affairs records	PERMANENT Transfer to NARA 15 years after cutoff.	When superseded, undergoes update, or any other final actions	1321.001	<u>Directives</u> . Issuances related to agency programs and functions. Office of origin. Example: Signed Original	Unscheduled.	Responsible HQ office
DAA-0201-2020-0006-0004	Historically significant Management, Policy, and Public Affairs records	PERMANENT Transfer to NARA 15 years after cutoff.	When superseded, undergoes update, or any other final actions	1321.003	<u>Directive Case Files</u> . Drafts, comments, and other material which document important aspects of the development of a directive/administrative/manual issuance. Office of origin.	PERMANENT. Cut off at the end of each fiscal year. Transfer to inactive storage after 5 years. Transfer to NARA in 5 year blocks when most recent record is 25 years old. (DOE ADM 16-1.1) (N1-434-98-19, item 1.1)	Responsible HQ office
DAA-0201-2020-0006-0002	Management, Policy, and Public Affairs Administrative Records.	TEMPORARY. 10 years after cutoff	Expiration of issuance	1321.005	Administrative Issuances. Notices and other types of issuances related to routine administrative functions such as payroll, procurement, personnel, etc. Office of origin.	Unscheduled – To be Scheduled or Deleted.	

Item	Bucket Title	New Retention	Series Level Cutoff	Current Series Item	Current Series Title and Description	Superseded Retention and Disposition Authority	Office of Record for Permanent Records
DAA-0201-2020-0006-0003	Long-Term Management, Policy, and Public Affairs Records.	TEMPORARY. 20 years after cutoff	When superseded	1321.006	Manuals. Record copy in office of origin.	Unscheduled – To be Scheduled or Deleted.	
DAA-0201-2020-0006-0004	Historically significant Management, Policy, and Public Affairs records	PERMANENT Transfer to NARA 15 years after cutoff.	When document is superseded, undergoes update, or any other final actions or other closure actions that are unique to the individual record.	1340.001	Internal Publications. Internal publications such as newsletters, publications, bulletins, brochures, posters, charts, booklets, etc., that relate to the mission of the Agency and include articles on major program activities, personnel (at work), experimental methods and results which document of scientific, technical or public interest, agency sites and their growth, high-level, one-of-a-kind meetings, ceremonies or events, and/or high-level officials carrying out transactions of political, scientific, technical or public interest. These publications provide unique historical documentation of the internal operations and development of DOE's programs and organizations. a. Official/Editor's copy.	PERMANENT. Cut off file annually. Transfer to NARA 20 years after cutoff. (DOE ADM 16-1.1.1a) (N1-434-01-8, Item 1.1.1a)	HQ Public Affairs
DAA-0201-2020-0006-0001	Management, Policy, and Public Affairs Short Term Records.	TEMPORARY. 3 years after cutoff	When superseded	1340.002	Internal Publications All Other copies.	TEMPORARY. Destroy when 2 years old or when no longer needed. (DOE ADM 16-1.1.1b) (N1-434-01-8, Item 1.1.1)	