

Request for Records Disposition Authority

Records Schedule Number DAA-0201-2020-0011

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 Environmental Program

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. WAPA created this schedule based on the

background research and appraisal performed by NARA for the (since abandoned) DAA-GRS-2018-0009 schedule.

The WAPA environmental mission provides specialized support in the technical aspects of groundwater, surface water, soil quality protection, spill containment and cleanups, migratory bird, eagle, and endangered species protection, and cultural resources. Records created under this program demonstrate WAPA compliance with the National Environmental Policy Act of 1969 (NEPA), the Clean Water Act (CWA), Clean Air Act (CAA), Endangered Species Act (ESA), Migratory Bird Treaty Act (MBTA), the Bald and Golden Eagle Protection Act (BGEPA), and the Rivers and Harbors Appropriation Act. NEPA requires all federal actions to undergo a review and disclosure of the environmental impacts of those actions. WAPA's transmission lines cross tribal trust lands, traditional use areas, reservations, forests, wetlands, grasslands and deserts within its 15-state service territory. The environmental function works to protect sensitive ecosystems by preventing, controlling and abating environmental pollution and, when possible, enhancing the environment. The environment function has the following major components: Cultural Resources, Biology and Natural Resources, Environmental Planning, and Environmental Compliance.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	1	5	0

GAO Approval

Outline of Records Schedule Items for DAA-0201-2020-0011

Sequence Number	
1	Short Term Environmental Program Records. Disposition Authority Number: DAA-0201-2020-0011-0001
2	Routine Environmental Program Records Disposition Authority Number: DAA-0201-2020-0011-0002
3	Environmental monitoring and control records. Disposition Authority Number: DAA-0201-2020-0011-0003
4	National Environmental Policy Act (NEPA) compliance files. Disposition Authority Number: DAA-0201-2020-0011-0004
5	National Historic Preservation Act (NHPA) Sections 106 and 110 compliance files Disposition Authority Number: DAA-0201-2020-0011-0005
6	Significant Environmental Records Disposition Authority Number: DAA-0201-2020-0011-0006

Records Schedule Items

Sequence Number	
1	<p>Short Term Environmental Program Records.</p> <p>Disposition Authority Number DAA-0201-2020-0011-0001</p> <p>Records created by WAPA in the course of reviewing NEPA documents produced by other agencies regarding projects where another agency is the project lead. Also includes working papers, and other environmental-related records of short-term value.</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. Longer retention is authorized if required for business and legal purposes.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Routine Environmental Program Records</p> <p>Disposition Authority Number DAA-0201-2020-0011-0002</p> <p>Includes but not limited to data and documents recording coordination, working materials, and facilitative communications about environmental assessments, protection, mitigation, and enhancements of facilities. Environmental administrative records such as agreements, billing materials, standards, policies, forecasts, transactions, customer relations records, and associated development files, correspondence, and other records produced by related activities. Also includes environmental monitoring and compliance records for minimal-risk, low-yield pollutants and hazardous materials.</p> <p>Final Disposition Temporary</p>

3	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	Cut off/close at end of fiscal year in which created, upon completion of associated project or activity, or when no longer needed for current business, whichever is appropriate.
	Retention Period	Destroy no sooner than 7 year(s) after cutoff but longer retention is authorized
	Additional Information	
	GAO Approval	Not Required
	Environmental monitoring and control records.	
	Disposition Authority Number	DAA-0201-2020-0011-0003
	Records documenting WAPA activities in monitoring the environment, conducting operations in an environmentally-acceptable manner, and complying with Federal, state, and local environmental laws and regulations such as the Clean Water Act (CWA), Clean Air Act (CAA), and the Resource Conservation and Recovery Act (RCRA). Included are correspondence, memorandums, email, and other documentation relating to WAPA's environmental compliance activities.	
	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		

4	Cutoff Instruction	Cut off/close upon completion of associated project or activity, or disposal of related facility, whichever is appropriate.
	Retention Period	Destroy no sooner than 20 year(s) after cutoff but longer retention is authorized
	Additional Information	
	GAO Approval	Not Required
	National Environmental Policy Act (NEPA) compliance files.	
	Disposition Authority Number	DAA-0201-2020-0011-0004
	Records documenting environmental reviews conducted by WAPA and required for proposed major federal actions that have the potential to affect the quality of the environment from initiation through research, development, design, testing, and completion, concluding in an environmental analysis and agency decision. Records include correspondence, memorandums, e-mail and other required documentation. NOTE: Agency will submit an electronic copy of each WAPA-prepared EIS file consisting of drafts, final, and supplemental documents filed with the headquarters Environmental Protection Agency (EPA), Office of Federal Activities only pursuant to 1506.9 of the Council on Environmental Quality (CEQ) Regulations for Implementing the National Environmental Policy Acts, as amended. (EPA Schedule N1-412-07-56/2).	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
5	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	Completion of project.
	Retention Period	Destroy no sooner than 20 year(s) after project completion or other closure action but longer retention is authorized
	Additional Information	
	GAO Approval	Not Required
	National Historic Preservation Act (NHPA) Sections 106 and 110 compliance files	

Disposition Authority Number DAA-0201-2020-0011-0005

Working papers, background documentation, and other non-final records relating to activities taken to assess and address the potential effects on historic properties of undertakings carried out, assisted, licensed, permitted, or approved by Federal agencies, per requirements of the National Historic Preservation Act, Section 106 (36 CFR 800). Records may include initial reports describing the results of inventories, monitoring, resolution of adverse effects, field notes, memorandums of agreement, program alternatives, and related records maintained for reference and administrative business purposes.

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 Upon abandonment or transfer of WAPA's use or property rights for the relevant right-of-way or facility site, or when business use is no longer required, whichever occurs later.

Retention Period Destroy upon cutoff but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Significant Environmental Records

Disposition Authority Number DAA-0201-2020-0011-0006

Includes environmental program policies developed and promulgated by WAPA, and annual compilations and reports regarding environmental projects and activities. Documentation of any instances where WAPA repatriated Native American human remains, cultural items, and items of cultural patrimony identified on WAPA fee-owned lands. Records include reports describing the results of inventories, monitoring, resolution of adverse effects, field notes, cultural resource site records, memorandums of agreement, program alternatives and related records.

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, upon publication or issuance, date of return of cultural items, or upon abandonment or transfer of WAPA's use or property rights for the relevant right-of-way or facility site.**

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	5 Cubic feet	1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

Disposition Instruction

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

Electronic Records

Cutoff Instruction

End of fiscal year, upon publication or issuance, date of return of cultural items, or upon abandonment or transfer of WAPA's use or property rights for the relevant right-of-way or facility site.

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	5 GB	1 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

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
04/29/2020	Certify	Christopher Magee	Agency Records Officer	Western Area Power Administration - Agency Wide
04/29/2020	Return for Revision	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
06/23/2020	Submit For Certification	Mark Ferguson	Records Specialist	All of WAPA - All of WAPA
06/23/2020	Certify	Christopher Magee	Agency Records Officer	Western Area Power Administration - Agency Wide
08/06/2020	Return for Revision	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
09/02/2020	Submit For Certification	Mark Ferguson	Records Specialist	All of WAPA - All of WAPA
09/08/2020	Certify	Christopher Magee	Agency Records Officer	Western Area Power Administration - Agency Wide
01/14/2021	Return for Revision	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
05/03/2021	Submit For Certification	Mark Ferguson	Records Specialist	All of WAPA - All of WAPA
05/03/2021	Certify	Christopher Magee	Agency Records Officer	Western Area Power Administration - Agency Wide
11/15/2021	Submit for Concurrence	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration

				- Records Management Services
11/19/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/19/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
11/22/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

Crosswalk of Environmental Bucket Schedule DAA-0201-2020-0011 and Current WAPA Schedules

(22 July 2020)

Item	Bucket Title	New Retention	Series Level Cutoff	Current Series Item	Current Series Title and Description	Superseded Authority	Superseded Retention	Office of Record for Permanent Records
DAA-0201-2020-0011-0001	Environmental Reviews and other Short-Term Environmental Program Records.	Temporary. 3 years after cutoff	End of fiscal year in which created	5400.001	Other Agency of Civic Programs	Unscheduled	TEMPORARY. Destroy when no longer needed for reference.	N/A
DAA-0201-2020-0011-0001	Environmental Reviews and other Short-Term Environmental Program Records.	Temporary. 3 years after cutoff	End of fiscal year in which created	5440.003	Environmental statement by other than Western	Unscheduled	TEMPORARY. Destroy when no longer needed for reference.	N/A
DAA-0201-2020-0011-0002	Environmental monitoring and control records.	Temporary. 20 years after cutoff	Completion of associated actions, or disposal of related facility.	5400.002	Hazardous or Nuclear Wastes. Reports on presence of wastes, inspections, and analysis of PCBs and other similar matters including methods for transporting to dump sites	[Department of Energy schedule(s) was/were previously referenced by the series code. DOE items are not authorized to be superseded by WAPA.]	TEMPORARY. Retain 75 years.	N/A
DAA-0201-2020-0011-0002	Environmental monitoring and control records.	Temporary. 20 years after cutoff	Completion of associated actions, or disposal of related facility.	5440.010	Waste Isolation.	[Department of Energy schedule(s) was/were previously referenced by the series code. DOE items are not authorized to be superseded by WAPA.]	TEMPORARY. Retain 75 years	N/A
DAA-0201-2020-0011-0003	National Environmental Policy Act (NEPA) compliance files.	Temporary. 20 years after cutoff	Project completion	5440	Environmental Statements.	[Department of Energy schedule(s) was/were previously referenced by the series code. DOE items are not authorized to be superseded by WAPA.]	TEMPORARY. Destroy in 20 years. Retire to FRC 5 years after Record of Decision (ROD) is issued	N/A

Item	Bucket Title	New Retention	Series Level Cutoff	Current Series Item	Current Series Title and Description	Superseded Authority	Superseded Retention	Office of Record for Permanent Records
DAA-0201-2020-0011-0003	National Environmental Policy Act (NEPA) compliance files.	Temporary. 20 years after cutoff	Project completion	5440.001	Transcripts of public hearings, related correspondence, and negative determinations.	[Department of Energy schedule(s) was/were previously referenced by the series code. DOE items are not authorized to be superseded by WAPA.]	TEMPORARY. Destroy in 20 years. Retire to FRC 5 years after Record of Decision (ROD) is issued	N/A
DAA-0201-2020-0011-0003	National Environmental Policy Act (NEPA) compliance files.	Temporary. 20 years after cutoff	Project completion	5440.002	Environmental statements by Western, final.	[Department of Energy schedule(s) was/were previously referenced by the series code. DOE items are not authorized to be superseded by WAPA.]	TEMPORARY. Destroy in 20 years. Retire to FRC 5 years after Record of Decision (ROD) is issued	N/A
DAA-0201-2020-0011-0003	National Environmental Policy Act (NEPA) compliance files.	Temporary. 20 years after cutoff	Project completion	5440.004	Facilities. Environmental impacts of power related facilities such as converter stations, microwave stations, roads, airports, etc.	[Department of Energy schedule(s) was/were previously referenced by the series code. DOE items are not authorized to be superseded by WAPA.]	TEMPORARY. Destroy in 20 years. Retire to FRC 5 years after Record of Decision (ROD) is issued	N/A
DAA-0201-2020-0011-0003	National Environmental Policy Act (NEPA) compliance files.	Temporary. 20 years after cutoff	Project completion	5440.006	Land and Water Resources. Activities of the Bureau of Reclamation, Bureau of Land Management, Corps of Engineers, etc., including hydroelectric power developments.	[Department of Energy schedule(s) was/were previously referenced by the series code. DOE items are not authorized to be superseded by WAPA.]	TEMPORARY. Destroy in 20 years. Retire to FRC 5 years after Record of Decision (ROD) is issued	N/A
DAA-0201-2020-0011-0003	National Environmental Policy Act (NEPA) compliance files.	Temporary. 20 years after cutoff	Project completion	5440.007	Fuel Transport Systems. Pipelines such as proposed "Aquatrain" pipeline system that would use liquid carbon dioxide transport for coal and other commodities from source to markets.	[Department of Energy schedule(s) was/were previously referenced by the series code. DOE items are not authorized to be superseded by WAPA.]	TEMPORARY. Destroy in 20 years. Retire to FRC 5 years after Record of Decision (ROD) is issued	N/A
DAA-0201-2020-0011-0003	National Environmental Policy Act (NEPA) compliance files.	Temporary. 20 years after cutoff	Project completion	5440.008	Forest, Parks, Recreation Areas, Rivers, Wilderness and Wetlands.	[Department of Energy schedule(s) was/were previously referenced by the series code. DOE items are not authorized to be superseded by WAPA.]	TEMPORARY. Destroy in 20 years. Retire to FRC 5 years after Record of Decision (ROD) is issued	N/A
DAA-0201-2020-0011-0003	National Environmental	Temporary. 20 years after cutoff	Project completion	5440.009	Transmission Lines. Biological and electromagnetic effects.	[Department of Energy schedule(s) was/were previously referenced by the series code. DOE items are not	TEMPORARY. Destroy in 20 years. Retire to FRC 5 years after Record of Decision (ROD)	N/A

Item	Bucket Title	New Retention	Series Level Cutoff	Current Series Item	Current Series Title and Description	Superseded Authority	Superseded Retention	Office of Record for Permanent Records
	Policy Act (NEPA) compliance files.					authorized to be superseded by WAPA.]	is issued	
DAA-0201-2020-0011-0003	National Environmental Policy Act (NEPA) compliance files.	Temporary. 20 years after cutoff	Project completion	6209.01	Black canyon National Park Aspinall Unit Endangered Fish Species Study Curecanti Unit.	Unscheduled	N/A	N/A
DAA-0201-2020-0011-0004	National Historic Preservation Act (NHPA) Sections 106 and 110 compliance files	Abandonment or transfer of WAPA's use or property rights for the relevant right-of-way or facility site.	Destroy after retention for business use is no longer required.	5440.002	Environmental statements by Western, final.	[Department of Energy schedule(s) was/were previously referenced by the series code. DOE items are not authorized to be superseded by WAPA.]	TEMPORARY. Destroy in 20 years. Retire to FRC 5 years after Record of Decision (ROD) is issued	N/A
DAA-0201-2020-0011-0005	Significant Environmental Records	Permanent. Offer to NARA 15 years after cutoff.	End of FY	5400	Environmental Quality	[Department of Energy schedule(s) was/were previously referenced by the series code. DOE items are not authorized to be superseded by WAPA.]	TEMPORARY. Retain 75 years.	N/A
DAA-0201-2020-0011-0005	Significant Environmental Records	Permanent. Offer to NARA 15 years after cutoff.	Publication	5440.002	Environmental statements by Western, final. Associated archaeological records resulting from activities conducted on lands owned in fee by Native Americans or held in trust by the United States for Native Americans.	[Department of Energy schedule(s) was/were previously referenced by the series code. DOE items are not authorized to be superseded by WAPA.]	PERMANENT. Transfer to NARA 25 years after cutoff,	N/A
DAA-0201-2020-0011-0005	Significant Environmental Records	Permanent. Offer to NARA 15 years after cutoff.	Publication of reports	5440.005	Fish, Wildlife and Endangered Species. Correspondence and reports related to-the protection of fish and wildlife resources.	[Department of Energy schedule(s) was/were previously referenced by the series code. DOE items are not authorized to be superseded by WAPA.]	TEMPORARY. Destroy in 20 years. Retire to FRC 5 years after Record of Decision (ROD) is issued	N/A

Environmental DAA-0201-2020-0011		E-System Description			Comments
Item No. /Description	Retention	Acronym	System Name & Description	Status	
N/A	Retain source records according to the appropriate retention category in DAA-0201-2020-0011, when they are used for input to the externally managed electronic information system.	EPA CDR system	Environmental Protection Agency (EPA) Chemical Data Reporting (CDR) system	Operational	Externally managed system where WAPA provides input
N/A	Retain source records according to the appropriate retention category in DAA-0201-2020-0011, when they are used for input to the externally managed electronic information system.	PPTRS	Department of Energy's Pollution Prevention Tracking and Reporting System	Operational	Externally managed system where WAPA provides input
DAA-0201-2020-0011-0004	Destroy after retention for business use is no longer Required, or after abandonment or transfer of WAPA's use or property rights for the relevant right-of-way or facility site, whichever is later.	CRGIS	Cultural Resources Geospatial Information System. Individual databases in each office that contain GIS data tracking of cultural resources. Mapping and pointers with images and metadata for each site.	Operational	Application is owned by A9720 Environmental Program