

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
		JOB NUMBER N1-387-10-1	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		Date Received 12/2/2009 Revised 1/11/2010	
1. FROM (Agency or establishment) Department of Energy		NOTIFICATION TO AGENCY	
2. MAJOR SUB DIVISION Southwestern Power Administration		In accordance with the provisions of 44 U.S.C 3303a, the disposition request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Miya Boyken	5. TELEPHONE 918.595.6713	DATE 05-25-2010	ARCHIVIST OF THE UNITED STATES <i>Paul M. White</i> NWM.
6. 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 on the attached <u>1</u> page(s) are not needed now for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 12/2/09	SIGNATURE OF AGENCY REPRESENTATIVE <i>Miya M. Boyken</i>		TITLE Agency Records Officer, IT Specialist
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached sheets		

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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	
1	<p>Rate and Repayment Policies and Procedures (6610) Documentation for rates and repayment policies and procedures. History of policies followed with comments and documentation other than just copies of policy.</p> <p>PERMANENT. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Transfer to NARA 20 years after cut off.</p>	<p>N1-387-09-1, Item 25</p> <p>This is not changed from N1-387-09-1</p>	
2	<p>Legal Opinions (2010) Legal opinions concerning agency policies, procedures, Issues, laws, and legislation, inquiries, responses, and related documents about laws and legislative matters that affect SWPA. Cutoff inactive file at the close of each fiscal year. Filed by subject. Copies may be filed in appropriate subject file. Filed in Legal Records, File Room #1604.</p> <p>PERMANENT. Cut off at the close of each fiscal year in which legal opinion finalized. Transfer to NARA 20 years after cut off.</p>	<p>N1-387-09-1, Item 8</p> <p>This is not changed from N1-387-09-1</p>	
3	<p>General Proceedings Before FERC, NERC, etc., (2082) Cases filed before FERC and reviewed by FERC in accordance with FERC regulations for Federal Power Marketing Administrations, under United States Code Title 18 - Conservation of Power and Water Resources, Chapter I - Federal Energy Regulatory Commission, Department of Energy, Subchapter L - Regulations for Federal Power Marketing Administrations. Filed in Legal Records, File Room #1604. Arranged by Docket number.</p> <p>PERMANENT. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Transfer to NARA 20 years after cut off.</p>	<p>N1-387-09-1, Item 13</p> <p>This is not changed from N1-387-09-1</p>	
4	<p>Annual Electric Control and Planning Area Report (FERC 714): (6740) Collects information from any public utility or group of public utilities operating as a control area that has a peak load greater than 200 megawatts based on energy for load. The information collected allows FERC to analyze power system operations in the course of its regulatory functions. The purpose of these analyses is to estimate the effect of changes in power system operations that result from the installation of a new generating unit or plant, transmission facilities, and energy transfers between systems and/or new points of interconnections. The analyses also serve to</p>	<p>N1-387-09-1, Item 67</p> <p>This is not changed from N1-387-09-1</p>	

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	<p>correlate rates and changes; assess reliability and other operating attributes in regulatory proceedings; monitor market trends and behaviors; and determine the competitive impacts of proposed mergers, acquisitions, and dispositions. Arrange by calendar year. Based on FPA sections 202, 207, 210, 211, 212, and 213, as amended, and sections 4, 304, 309, and 311 of the same act.</p> <p>TEMPORARY. Cut off at the end of the calendar year. Destroy 6 years after cut off.</p>	
5	<p>Power Accounting Spreadsheets (6722) Information related to power accounting and billing.</p> <p>TEMPORARY. Cut off at the end of the calendar year. Destroy 6 years after cut off.</p>	N1-387-09-1, Item 288
6	<p>Power Billing Invoices (6720) Material related to billing and invoicing for the hydropower Southwestern transmits and markets across its system. The main function of accounting is to account for all business assets. Power and energy are business assets and the function of the accountant is to protect the business assets; therefore, every kilowatt and kilowatt-hour generated and marketed by Southwestern must be protected by being properly accounted for. The primary benefit to having the files in a time of disaster would be quicker reconstruction of funds that might be due. Case files filed alphabetically by customer containing power invoices, schedules and billing information.</p> <p>TEMPORARY. Cut off at the end of the calendar year. Destroy 6 years after cut off.</p>	N1-387-09-1, Item 287
7	<p>Working Capital Fund (2140) Material relating to the DOE working capital fund. The Working Capital Fund creates a market-like financial framework for common administrative services, allowing customers to become cost-conscious in selecting the mix and level of support that will best service the mission needs of their organization. Based on GRS 8 Stores, Plant, and Cost Accounting Records Item 1: 1. Plant, Cost, and Stores General Correspondence Files. Correspondence files of units responsible for plant, cost, and stores accounting operations.</p> <p>TEMPORARY. Cut off at the end of the fiscal year. Destroy when 3 years old. (GRS 8, item 1)</p>	New Item

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8	<p>Directives (4461) Material that provides policy guidance and standards for establishing and maintaining effective program management to prevent waste, fraud, and mismanagement. Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.</p> <p>a. Policy, procedure, and guidance files. Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews. Retention Schedule: TEMPORARY. Destroy when superseded. GRS 16 Item 14a</p> <p>b. Management control plans. Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123. TEMPORARY. Destroy when superseded. GRS 16 Item 14b</p> <p>c. Risk analyses. Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions. Retention Schedule: TEMPORARY. Cut off closed files annually. Destroy after next review cycle. GRS 16 Item 14c</p> <p>d. Annual reports and assurance statements created by organizational components below the agency (department or independent agency) level and compiled by the agency into a single unified report for direct submission to the President or Congress. [See note after item 14d.] TEMPORARY. Cut off closed files annually. Destroy after next reporting cycle. GRS 16 Item 14d</p> <p>[NOTE: This item does not cover the consolidated final reports submitted directly to the President or Congress.]</p>	NC1-387-76-1 (page 116)
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	<p>e. Tracking files.</p> <p>Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.</p> <p>TEMPORARY. Destroy 1 year after report is completed. GRS 16 Item 14e</p> <hr/> <p>Review files.</p> <p>Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.</p> <p>Office with responsibility for coordinating internal control functions</p> <p>TEMPORARY. Cut off when no further corrective action is necessary. Destroy 5 years after cutoff. GRS 16 Item 14f(1)</p> <hr/> <p>Copies maintained by other offices as internal reviews.</p> <p>TEMPORARY. Cut off when no further corrective action is necessary. Destroy 1 year after cutoff. GRS 16 Item 14f(2)</p>	
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