

Request for Records Disposition Authority

Records Schedule Number DAA-0201-2020-0002

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 Major Subdivision

Major Subdivision Office of the Chief Administrative Officer

Minor Subdivision Office of the Transmission Infrastructure Program

Schedule Subject Transmission Infrastructure Program Records

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.

The WAPA Transmission Infrastructure Program TIP is a Federal financing program aimed at expanding and modernizing the electric grid to facilitate delivery of clean energy. TIP manages WAPA's statutory borrowing authority under Section 402 of the American Recovery and Reinvestment Act of 2009 ("Recovery Act"), as codified in Section 301 of the Hoover Plant Act of 1984. It seeks to make strategic loans for qualifying projects and provides project development assistance to eligible project partners, if requested, prior to submitting a loan application. The Program is designed to attract private and other non-federal co-investment support for the development of critical transmission and related infrastructure. To qualify for financing or development assistance from TIP, a project must meet the following statutory criteria: 1) Have at least one terminus within WAPA's service territory, 2) Deliver or facilitate the delivery of renewable energy resources, 3) Demonstrate and establish a reasonable expectation of its ability to generate enough transmission service revenue to cover all of its operating costs (including overhead) and repay the loan principal and interest by the end of its service life, 4) Not adversely impact system operations or reliability, and 5) Serve the public interest.

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-0201-2020-0002

| Sequence Number | |
|-----------------|---|
| 1 | TIP Loan Files |
| 1.1 | Denied Project Financing Applications Disposition Authority Number: DAA-0201-2020-0002-0001 |
| 1.2 | Approved Project Financing Records Disposition Authority Number: DAA-0201-2020-0002-0002 |
| 2 | Transmission Infrastructure Development Assistance Files Disposition Authority Number: DAA-0201-2020-0002-0003 |
| 3 | Transmission Infrastructure Policy and Performance Accountability Records. Disposition Authority Number: DAA-0201-2020-0002-0004 |

Records Schedule Items

| Sequence Number | |
|-----------------|---|
| 1 | <p>TIP Loan Files Denied and approved loan case files and related documentation</p> |
| 1.1 | <p>Denied Project Financing Applications Disposition Authority Number DAA-0201-2020-0002-0001</p> <p>Includes applications, review and evaluation information, denial decision, and related documentation.</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 loan is denied</p> <p>Retention Period Destroy 1 year after cutoff, but longer retention is authorized if required for business use.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> |
| 1.2 | <p>Approved Project Financing Records Disposition Authority Number DAA-0201-2020-0002-0002</p> <p>Records include, but are not limited to, loan application, project business plan, project financial model, informational memos, description of project participants, site review documents, project designs, construction plans, operations & maintenance plans, environmental review/permits, commercial contracts, equity packages, independent reviews and evaluations, payment information, Memoranda of Understanding, Advance Funding Agreements (AFA), credit documentation, financial guarantees, letters of credit, state and local decision documents on sites for location of line or facility, insurance, legal opinions, memos, reports, correspondence, emails, and other documents.</p> <p>Final Disposition Temporary</p> |

| | | |
|--|---|--|
| 2 | 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 final payment of loan. |
| | Retention Period | Destroy 7 years after cutoff, but longer retention is authorized if required for business use. |
| | Additional Information | |
| | GAO Approval | Not Required |
| | Transmission Infrastructure Development Assistance Files | |
| Disposition Authority Number | DAA-0201-2020-0002-0003 | |
| <p>Project Development records. Records may include, but not limited to, project proposals, business plan proposals, Memoranda of Understanding, Advance Funding Agreements (AFA), letter agreements, participation agreements, business plan reviews, project plans, marketing plans, land acquisition plans, Western Electricity Coordinating Council (WECC) rating analysis/reports, National Environmental Policy Act (NEPA) documents, interconnection plans/agreements, procurement plans, financial analysis, state and local decision documents on sites for location of line or facility, sponsor corporation documents, engineering designs, independent analysis reports, construction contracts, insurance, legal opinions, memos, reports, correspondence, emails, and other project documents. May also include feedback provided by WAPA to fully develop these documents for compliance with TIP requirements and in preparation for TIP loan application.</p> | | |
| 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 | |

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Disposition Instruction

Cutoff Instruction End of fiscal year.

Retention Period Destroy 3 years after cutoff, but longer retention is authorized if required for business use.

Additional Information

GAO Approval Not Required

Transmission Infrastructure Policy and Performance Accountability Records.

Disposition Authority Number DAA-0201-2020-0002-0004

Includes policy records documenting the legal establishment, goals, objectives, development, implementation, and modification of the Transmission Infrastructure Program. Annual reports of accomplishments, summary financial reports of disbursements and repayments, and reports to the Department of Energy (DOE) and the Office of Management and Budget (OMB).

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 the fiscal year of publication or issuance

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

Additional Information

First year of records accumulation 2009

What will be the date span of the initial transfer of records to the National Archives? From 2009 To 2024

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 the fiscal year of publication or issuance**

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

Additional Information

First year of records accumulation **2009**

What will be the date span of the initial transfer of records to the National Archives? **From 2009 To 2024**

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

| | Estimated Current Volume | Annual Accumulation |
|--------------------|--------------------------|---------------------|
| Electronic/Digital | 1 GB | .50 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 |
|------------|--------------------------|-------------------|---|---|
| 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 |
| 09/24/2020 | Submit for Concurrence | Steven Rhodes | Senior Appraisal Archivist | National Archives and Records Administration - Records Management Services |
| 10/06/2020 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 10/07/2020 | Concur | Laurence Brewer | Chief Records Officer | National Records and Archives Administration - National Records and Archives Administration |
| 10/08/2020 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |