

## Request for Records Disposition Authority

Records Schedule Number      DAA-0201-2020-0009  
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                 Asset Planning and Management 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 associated with 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 Asset Planning and Management Program (also called Asset Management) identifies and manages associated risk with WAPA's power system assets in order to improve the functional lives of equipment and help realize a return on investment. The work of Asset Management affects budget development, capital plans, financial forecasting and strategic sourcing. Asset Management reviews the health of WAPA physical facilities and operations to make risk-based decisions that support system reliability, safety, and security across the agency. Asset Management is also responsible for geospatial information system mapping functions for WAPA.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
5	1	4	0

GAO Approval

## Outline of Records Schedule Items for DAA-0201-2020-0009

Sequence Number	
1	Asset Planning and Management Short Term Records. Disposition Authority Number: DAA-0201-2020-0009-0001
2	Asset Planning and Management Administrative Records. Disposition Authority Number: DAA-0201-2020-0009-0002
3	Asset Maintenance Support Records. Disposition Authority Number: DAA-0201-2020-0009-0003
4	Asset Planning and Development Records. Disposition Authority Number: DAA-0201-2020-0009-0004
5	Significant Asset Planning and Management Records Disposition Authority Number: DAA-0201-2020-0009-0005

## Records Schedule Items

Sequence Number	
1	<p><b>Asset Planning and Management Short Term Records.</b></p> <p>Disposition Authority Number      DAA-0201-2020-0009-0001</p> <p>Records of power generation-related analyses, research, and planning-related reports and supporting records used for reference and information having no further business purpose once superseded, updated, or replaced. Includes items such as consequence score background documentation, templates, and data quality reports for missing and incomplete information generated from the asset management system. Data and documents created during geospatial information system conversion and facilitation by applications, and activities used to assist with the creation and conversion of GIS data.</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><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      End of each fiscal year, or when superseded, updated, or replaced.</p> <p>Retention Period                        Destroy 3 years after cutoff, but longer retention is authorized if required for business use.</p> <p><b>Additional Information</b></p> <p>GAO Approval                            Not Required</p>
2	<p><b>Asset Planning and Management Administrative Records.</b></p> <p>Disposition Authority Number      DAA-0201-2020-0009-0002</p> <p>Records relating to the management of WAPA hydro assets, which include assessing and managing risk, performance targets and resource requirements, capital investment, and maintenance management. Includes AM copies of Asset Management Program Assessment Reports and Corrective Action Plans, APM Manager report to senior managers, and self evaluations.</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
<b>Disposition Instruction</b>	
Cutoff Instruction	End of each fiscal year, or when superseded, updated, or replaced.
Retention Period	Destroy 15 years after cutoff, but longer retention is authorized if required for business use.

**Additional Information**

GAO Approval	Not Required
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**Asset Maintenance Support Records.**

Disposition Authority Number	DAA-0201-2020-0009-0003
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Project management governance, committee, PM certification, and technical support records; service contract records, meeting records, maintenance policy charters, maintenance metrics, Maintenance Manual update background documentation, labor data, Electric Power Research Institute (EPRI) documentation, reporting records, Frequently Asked Questions/Answers, and Equipment Advisory Group records. Reliability-Centered Maintenance (RCM) meeting records, RCM Metrics, annual report submissions for senior management, best practice documentation, Job Plans (maintenance instructions and job aids created to carry out standardized maintenance at sites with major power equipment), and studies to provide technical justifications for the Job Plans. Statistician records including risk assessment statistical research documentation and life-cycle cost estimation statistical research documentation. Maintenance and safety engineering support record, electrical equipment design, Process Ownership project records, grounded trailer designs.

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

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Do any of the records covered by this item exist as structured electronic data?	Yes
GRS or Superseded Authority Citation	N1-201-86-1 / 2 N1-201-86-1 / 3
<b>Disposition Instruction</b>	
Cutoff Instruction	End of each fiscal year, or when superseded, updated, or replaced.
Retention Period	Destroy 25 years after cutoff, but longer retention is authorized if required for business use.
<b>Additional Information</b>	
GAO Approval	Not Required
<b>Asset Planning and Development Records.</b>	
Disposition Authority Number	DAA-0201-2020-0009-0004
<p>Records of long term value needed in determining the health of critical equipment (transmission line systems, batteries, transformers, circuit breakers, etc.) and for identifying associated risk to the power system. Facility Identification assignment renovation including management of Facility Identification (FID) codes. High consequence asset risk mitigation activities supporting records, documentation created in assessing and managing risk, performance targets and resource requirements, capital investment, maintenance management, and operational emergencies. Strategic Asset Management Plan development reviews. Transmission Line and other Asset Health Index records - age-based assessments and condition based assessments. WAPA-Wide Oil Testing Program and test results analysis. Consequence assessments and evaluations, Risk Register data and reports, risk summaries, predictive analytics records for asset replacement strategies, and other related records.</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
GRS or Superseded Authority Citation	N1-201-86-1 / 16/B

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**Disposition Instruction**

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

Retention Period                      Destroy 100 years after cutoff, but longer retention is authorized if required for business use.

**Additional Information**

GAO Approval                              Not Required

**Significant Asset Planning and Management Records**

Disposition Authority Number      DAA-0201-2020-0009-0005

Final policies, agency-wide asset management strategies, and program accomplishment reports. Findings and studies related to high consequence asset risk mitigation that result in major changes to asset management plans. Annual Asset Management Program summaries, records of benchmarking studies, new hydro projects and technologies, sub-agreements, and communications. Geospatial Information System (GIS) data layers and associated metadata uniquely created or significantly altered by WAPA. One copy of each standard map showing the WAPA transmission system, both system-wide, and at regional and project levels; all published maps; map history case files; and associated finding aids.

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

GRS or Superseded Authority Citation      N1-201-86-1 / 16/C

**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 undergoes update.

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

**Additional Information**

First year of records accumulation **2015**

What will be the date span of the initial transfer of records to the National Archives? **Unknown**  
**New program. First transfers likely won't be eligible until 2031**

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

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>		
<b>Paper</b>	<b>5 Cubic feet</b>	<b>1 Cubic feet</b>
<b>Microform</b>		
<b>Hardcopy or Analog Special Media</b>		

**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 undergoes update.**

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

**Additional Information**

First year of records accumulation **2015**

What will be the date span of the initial transfer of records to the National Archives? **Unknown**  
**This is a new program. Records likely won't be eligible for transfer until 2031 or later.**

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

	Estimated Current Volume	Annual Accumulation

Electronic/Digital	1 GB	100 MB
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
08/06/2020	Return for Revision	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
08/13/2020	Submit For Certification	Mark Ferguson	Records Specialist	All of WAPA - All of WAPA
08/14/2020	Certify	Christopher Magee	Agency Records Officer	Western Area Power Administration - Agency Wide
01/11/2021	Submit for Concurrence	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
01/22/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/22/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration

				- National Records and Archives Administration
01/25/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

**Crosswalk of Asset Planning & Management-Related Bucket Schedule DAA-0201-2020-0009 and Current WAPA Schedules**

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-0201-2020-0009-0004	Asset Planning and Development Records.	TEMPORARY. Destroy 100 years after cutoff, but longer retention is authorized if required for business use.	When no longer needed.	6445.002	Temporary notes such as preliminary surveys profiles, levels, cross sections, layouts, staking structure sites, leg extensions, etc.	N120186-1, PSF-16b	TEMPORARY. Destroy in agency upon final payment of related construction contract or abandonment of construction.	
DAA-0201-2020-0009-0005	Significant asset planning and management records	PERMANENT. Transfer to NARA 15 years after cutoff.	Publication date, when document is superseded, replaced, or updated	6445.001	Mapping controls with ties to the National Network of Geodetic Controls which establish permanent monument controls, final location alignments, as-built data, and Cadastral Surveys of land rights with ties to monuments or private land survey markers.	N1-201-86-1, PSF-16a	TEMPORARY. Transfer to FRC when 10 years old, Destroy when related land or facility is no longer owned by the Federal Government.	HQ Asset Management
DAA-0201-2020-0009-0005	Significant asset planning and management records	PERMANENT. Transfer to NARA 15 years after cutoff. When document is superseded, replaced, or updated	Publication date	6445.003	Final Maps. Included are Control Schematic and Land Monumentation, ownership maps.	(N1-201-86-1, PSF-16c)	PERMANENT. Offer to NARA when 25 years old.	HQ Asset Management