

Request for Records Disposition Authority

JUN 01 2010 WAF

Job Number

N1-201-10-1

To National Archives and Records Administration (NARA)
Denver, CO 80228

Date Received

6/1/2010

1 From (Agency or establishment)
U S Department of Energy,
Western Area Power Administration2 Major Subdivision
Corporate Services Office3 Minor Subdivision
Property Management, Office of Environment, Office of Safety and
Security, and Maintenance

Notification to Agency

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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

4 Name of Person with whom to confer
Susane Silva5 Telephone
720-962-7175

Date

2 May 11

Archivist of the United States

[Signature]

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 6 page(s) are not now needed 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

☒ is not required☐ is attached☐ has been requested

Signature of Agency Representative

Title
Records OfficerDate (mm/dd/yyyy)
05/27/2010

7 Item Number	8 Description of Item and Proposed Disposition	9 GRS or Superseded Job Citation	10 Action taken (NARA Use Only)
	<p>Western Area Power Administration (Western)</p> <p>Maximo Maximo is Western's official work management system used for managing cost, protecting property and for maintaining long-term transmission system reliability and availability. It is used to account for and to track day-to-day operations and processes in Property Management, Environment, Safety and Security, Maintenance Operations, and Aviation. It is one of Western's primary tools for demonstrating compliance to various regulating agencies such as the North American Electric Reliability Corporation (NERC), Western Electric Coordinating Council (WECC) and the U S Department of Energy (DOE).</p> <p>Maximo is an Oracle based Web application with module applications that are built on a scalable service oriented architecture. A comprehensive enterprise Oracle based maintenance work management solution for Western's planned and unplanned activities including long- and short-term planning, preventive, reactive and condition-based maintenance, schedule management, resource optimization and key performance indicators.</p> <p>Maximo supports the Western mission to market and deliver reliable, cost-based hydroelectric power and related services within a fifteen state region of the central and western United States. Western is one of four power marketing administrations within the U S Department of Energy.</p> <p>The records described in this schedule are media neutral.</p>		

NOTE Data is directly input by system users into Maximo through an internal Western interface, or by uploading data from personal digital assistant (PDA) devices. There is no intervening electronic input file. Source information for updating the master file is derived from the following processes and scheduled record series: Inventory receiving information, packing slips, specifications, discrepancy documentation, notifications (for new and separating employees), contractor information, requests from users (supplies/equipment), turn-in forms for property no longer needed, notification from GSA (final disposals), credit card statements, monthly electric PO generation. Assets receiving documentation. Fleet GSA lease data and bank fuel card statements. Safety Inspection findings and checklists. Security Investigation findings and summary reports. Environmental Annual State Reports, tracking of electrical equipment, disposal of polychlorinated biphenyls (PCBs). Maintenance maintenance procedures and/or schedules, work orders, location records, asset records, transmission line inspections, and substation inspections. Labor Transfers Finance Accountable Officer records and routine procurement documents. Aviation Tools transactions.

Item #	Title/Description	Retention & Disposition
1	INPUT/SOURCE RECORDS. Data is directly input by system users into Maximo through an internal Western interface, or by uploading data from personal digital assistant (PDA) devices, and input from various scheduled records series. Source information for updating the master file is derived from the following processes and scheduled record series: <u>Inventory</u> receiving information, packing slips, specifications, discrepancy documentation, notifications (for new and separating employees), contractor information, requests from users (supplies/equipment), turn-in forms for property no longer needed, notification from GS (final disposals), credit card statements, monthly electric PO generation. <u>Assets</u> receiving documentation. <u>Fleet</u> GSA lease data and bank fuel card statements. <u>Safety</u> inspection findings and checklists. <u>Security</u> Investigation findings and summary reports. <u>Environmental</u> Annual State Reports, tracking of electrical equipment, disposal of polychlorinated biphenyls (PCBs). <u>Maintenance</u> maintenance procedures and/or schedules, work orders, location records, asset records, transmission line inspections, and substation inspections. <u>Labor Transfers</u> <u>Finance</u> Accountable Officer's records and routine procurement documents. <u>Aviation</u> Tools transactions.	TEMPORARY. Apply appropriate GRS, DOE, or Western schedule. (GRS 20-2a(3) Paper Records) (GRS 20-2b Electronic Records)
2	DATABASE/MASTER FILES. The Maximo System is a <u>multi-purpose</u> system that is used to account for, and track, day-to-day mission-related and administrative operations and processes in the following areas: Property Management, Environment, Safety and Security, Maintenance Operations, and Aviation. All information can be tied	TEMPORARY. Cutoff occurs when a Western asset is taken out of service or a specific physical location is no longer owned by Western. Review the system content every 25 years to determine if any of the data can be cutoff. Destroy or delete in agency no less than 75

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	back to two primary units of analysis for each record a Western asset or a physical location. The master files include, but are not limited to, the following types of data: property tracking and inventory, vehicle information, work orders, security investigation reporting, environmental reports, property and chemical disposals, power and transmission asset records, and routine contracting, procurement, financial information, and aviation tools transactions. Different types of data are not easily segregable, therefore all information will be scheduled under a single retention that complies with the provisions of 18 CFR 125.2g.	years after cutoff, or 25 years after facility is permanently removed from service, all removal and restoration activities are completed, and all costs are retired from the accounting records unless accounting adjustments resulting from reclassification and original cost studies have been approved by regulatory commission having jurisdiction, whichever is longer.
3	<p>OUTPUTS. Maximo database reports are generated on an ad hoc basis for audit purposes and work planning, or for reference purposes only. Western's Property, Safety, Security, Environment, Maintenance, and Aviation organizations do <u>not</u> use Maximo to create outputs that become official records. Maximo is used as a tracking system only, system information is used for reference on an as-needed basis.</p> <p>(a) Data files containing summarized information from Maximo</p>	<p>TEMPORARY. Delete when no longer needed for administrative, legal, audit, or other operational purposes (GRS 20, item 4)</p>
	(b) Print Files	<p>TEMPORARY. Delete when print file is no longer needed for administrative, legal, audit, or other operational purposes (GRS 20-6)</p>
	(c) Hard copy printouts created to meet ad hoc business needs or for reference purposes	<p>TEMPORARY. Destroy when no longer needed for administrative, legal, audit, or other operational purposes, provided the printouts do not contain substantive information, such as substantive annotations, that is not included in the electronic records (GRS 20-16)</p>

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4	<p>SYSTEM DOCUMENTATION. Maximo documentation consists of technical references such as system user guides, crib sheets, business rules, and training materials. Documentation is retained for access by Western employees at http://www.int.wapa.gov/bidss/</p> <p>Maximo extension source code, technical documents, and release documents are stored in a System Change Management (SCM) tool called Sarena Dimensions. This tool has an oracle database backend and is updated weekly and stored onsite.</p>	<p>TEMPORARY. Destroy or delete upon authorized deletion of the related electronic records (item 2 above), as follows: onsite retention in a tape library for five (5) weeks, weekly back-up tapes in an offsite location for 2 months. Current version system records are retained for one year after system termination or upgrade (GRS 20-11(a)(1)).</p>
5	<p>BACKUP TAPES</p> <p>An automated backup/recovery system is installed to electronically backup production system software and databases according to schedules:</p> <p>a. Daily incremental backup tapes store all essential production system files that were created or altered since the preceding backup. Incremental backup tapes are not removed from the backup devices allowing system files to be recovered from the end of any day for the previous 5 weeks.</p>	<p>TEMPORARY. Delete when the identical records (item 2 above) have been deleted, or when replaced by a subsequent backup file as follows: recycle daily incremental backup tapes after 5 weeks (GRS 20-8(b)).</p>
	<p>b. Weekly backup tapes store the needed files to recover the entire production system. The on-site backup tapes allow files to be recovered from the end of a week for 5 weeks. Weekly backup tapes are cloned and stored off-site.</p>	<p>TEMPORARY. Delete when the identical records (item 2 above) have been deleted, or when replaced by a subsequent backup file as follows: recycle on-site weekly tapes after 5 weeks, recycle weekly off-site backup tapes after 2 months (GRS 20, Item 8(b)).</p>
	<p>c. Monthly backup tapes store the needed files to recover the entire production system. The on-site backup tapes allow files to be recovered from the end of previous month. Monthly backup tapes are cloned and stored off-site.</p>	<p>TEMPORARY. Delete when the identical records (item 2 above) have been deleted, or when replaced by a subsequent backup file as follows: recycle on-site monthly tapes after 5 weeks, recycle monthly off-site backup tapes after 6 months (GRS 20, Item 8(b)).</p>