



ENERGY MANAGEMENT AND MARKETING

| <u>Item</u> | <u>Description of Records</u>   | <u>Retention Recommendation and Comment</u>   |
|-------------|---|---|
| EMM-1       | <u>ENERGY MANAGEMENT AND MARKETING AUTHORITIES.</u><br>Correspondence or other documentation of Western's authorities in the management of power distribution facilities and the development and promulgation of Federal power marketing policies and procedures. | Permanent. Hold in Agency; offer to NARA when 20 years old.                                       |
| EMM-2       | <u>MARKETING PLANS OR STUDIES.</u>  |   |
|             | (a) Correspondence and other material generated in the gathering of data for preparation and distribution of energy marketing plans or studies.   | Temporary. Destroy in Agency 2 years after issuance of the official version of the plan or study. |
|             | (b) Marketing Plan, record set at Headquarters.   | Permanent. Hold in Agency; offer to NARA when 20 years old.                                       |
|             | (c) Marketing Plan, other copies.   | Temporary. Destroy in Agency when no longer required for reference.                               |
| EMM-3       | <u>MARKETING SYSTEMS AND POWER POOLS.</u> Correspondence and other material documenting Western's participation in energy distribution systems, power pools, and other similar organizations.   |   |
|             | (a) Records accrued from membership in a group which has established administrative offices; such as Mid-Continent Area Power Pool (MAPP), Western Systems Coordinating Council (WSCC), and other similar organizations.  | Permanent. Transfer to FRC when 5 years old. Offer to NARA when 20 years old.                     |
|             | (b) Records accrued from membership or sponsorship of groups which have no established administrative office; such as the Inland Power Pool.  | Permanent. Transfer to FRC when 5 years old. Offer to NARA when 20 years old.                     |
|             | (c) Agendas, itineraries, drafts of minutes of meetings, and other similar material.  | Temporary. Destroy when no longer required for reference or when 2 years old.                     |

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| EMM-4       | <u>POWER RATE REGULATIONS.</u> Correspondence and other material regarding the filing and review of Federal Rate Schedules with the Federal Energy Regulatory Commission (FERC) or other bodies, including rules and regulations, and FERC orders confirming or approving rate schedules. | Temporary. Destroy in Agency when the regulation is superseded.   |
| EMM-5       | <u>POWER RATE DETERMINATION.</u>  |   |
|             | (a) Correspondence and other material generated in the study and determination of energy rates, increases or decreases, adjustments, discount rates, and factors.   | Temporary. Destroy in Agency when 10 years old, except for those items listed below:  |
|             | (b) Correspondence establishing policy.   | Permanent. Transfer to FRC when 10 years old; offer to NARA when 20 years old.  |
|             | (c) <u>Uncontroversial</u> rate determination cases or negotiations; correspondence proposing rate schedules, public comment and other similar material.  | Temporary. Destroy in Agency when no longer required for reference, when 10 years old, or when superseded, whichever is sooner. |
|             | (d) <u>Controversial</u> cases leading to litigation and settlement by court or legislative action.   |   |
|             | (1) <u>Administrative case file</u> correspondence and other material maintained as reference <u>outside</u> the legal office.  | Temporary. Destroy in Agency when no longer required for reference, when 10 years old, or when superseded, whichever is sooner. |
|             | (2) <u>Legal case file</u> correspondence, documentation, testimony, and other material generated in the settlement of a controversial power rate increase or determination.  | Permanent. Transfer to FRC when no longer required for reference; offer to NARA when 20 years old.                              |
|             | (e) Rate Case Status Reports (Monthly)  | Temporary. Destroy in Agency when 3 years old.  |
|             | (f) Surplus Energy Rate Determinations  | Temporary. Destroy in Agency when 5 years old.  |

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| EMM-5       | POWER RATE DETERMINATION. (Cont.)   |   |
|             | (g) Rate adjustments (see (c) above)  | Temporary. Destroy in Agency when superseded.   |
|             | (h) Rate Orders   | Temporary. Destroy in Agency when superseded or obsolete <u>or</u> when 10 years old, whichever <u>is</u> sooner.   |
|             | (i) Wholesale Power Rates   | Temporary. Destroy in Agency when no longer required for reference <u>or</u> when superseded, whichever is sooner.  |
| EMM-6       | <u>INVESTMENT REPAYMENT.</u>  |   |
|             | (a) Correspondence and other material regarding computation and planning the repayment of the Federal investment in its irrigation and power development activities, <u>specifically</u> repayment of costs of Federal power operations and irrigation functions operated by the Bureau of Reclamation (or other similar Government entities). Includes matters regarding repayment rates, repayment reforms, reporting requirements, accounting materials, and other similar data. | Permanent. Offer to NARA when 20 years old.   |
|             | (b) Impact studies of repayment of power and irrigation charges.  | Permanent. Offer to NARA when 20 years old.   |
| EMM-7       | <u>POWER RATE COUNCILS.</u> Correspondence and other material regarding ad hoc in-house councils or committees to study special matters such as power rates, amortization of Federal investment in power distribution facilities, and other similar matters.  | Temporary. Destroy in Agency when no longer required for reference <u>or</u> when 5 years old, whichever is sooner. |

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| EMM-8       | <u>POWER RATE STUDY.</u>   |  |
|             | (a) Correspondence and other material (including electronic data) generated in the preparation and distribution of Western's Power Rate Study publication.   | Temporary. Destroy in Agency when 3 years old.   |
|             | (b) Power Rate Study, the publication.   | Temporary. Destroy in Agency when no longer required for reference <u>or</u> as superseded.                                  |
| EMM-9       | <u>REPLACEMENT ACCOUNTING.</u> Correspondence regarding the distribution or repayment of expenses related to replacement of equipment, additions, rehabilitation of power distribution facilities, and other similar matters as "plant-in-service." Also include material regarding deficit repayment and the investments of other Federal agencies in power operations. | Temporary. Destroy in Agency when no longer required for reference <u>or</u> when 10 years old, whichever is <u>sooner</u> . |
| EMM-10      | <u>ENERGY SALES.</u>   |  |
|             | (a) Correspondence and other material establishing Western policies and procedures governing the sale of energy.   | Permanent. Transfer to FRC when 10 years old; offer to NARA when 20 years old.   |
|             | (b) Correspondence regarding format and content of sales of energy agreements, prototype agreements, letter agreements, and other related matters, <u>EXCEPT</u> when concerning a specific case agreement (See (d) below).  | Temporary. Destroy in Agency when no longer required for reference <u>or</u> when 10 years old, whichever is sooner.         |
|             | (c) <u>Customer Relations.</u> Correspondence regarding the sale of energy or related subjects, including applicant profiles, inquiries regarding the availability of energy for sale, and other matters which do not involve a particular agreement nor lead to an agreement.   | Temporary. Destroy in Agency when 5 years old.   |

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|-------------|---|--|
| EMM-10      | Energy Sales (Cont.)  |  |
|             | (d) <u>Contract Files</u> Case records of negotiation, contract preparation, operations under agreements, supplemental or amendatory provisions, exhibits, letters of agreement, advance of funds to accomplish supplementary requirements of the contract and <u>COPIES</u> of contracts with supplements, amendments, exhibits, and other similar documents.                  |  |
|             | (1) Contracts in excess of \$25,000.  | Temporary. Transfer terminated contracts to FRC in 3-year blocks; destroy 6 years and 3 months after date of termination.                            |
|             | (2) Contracts of less than \$25,000.  | Temporary. Destroy 3 years after termination.  |
|             | (e) <u>Surplus Energy</u> General correspondence regarding the determination of surplus energy for sale, policies and rate for disposal, notifications of the availability of surplus energy and contract or letter agreements for temporary sales or for disposing of surplus energy. Note: Surplus energy is sold in a seasonal manner and only for the length of the season. | Temporary. Destroy in Agency 3 years after expiration of season during which the surplus energy is available.  |
|             | (f) <u>Extended Contracts</u> Correspondence of negotiation, contract preparation, and records of operations under agreements which may or may not involve the sale of energy in connection with providing for the construction, operation, maintenance, installation or permitting the use of facilities or structures in the distribution of energy.                          | Temporary. Cutoff annually and transfer to FRC upon termination of the contract, authorizing disposal by FRC 6 years and 3 months after termination. |

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|-------------|---|--|
| EMM-10      | Energy Sales (Cont.)<br><br>Some examples: Circuit maintenance, construction of incidental features, crossings, electrical services to drains or drainage wells, equipment installations, interconnection of systems, joint use of transmission lines, maintenance requirements, metering services, modification or rehabilitation of structures, operating requirements, removal of structures, relocation of structures, space rentals, special studies, supervisory controls, taps, telemetering, temporary use of water to generate energy, allowing for underground circuits, upgrading facilities or structures, use permits, and other similar activities. |  |
| EMM-11      | <u>ENERGY SALE STATISTICS AND CONTRACT LISTS.</u> Annual or other issues of power facilities listings, sporadic requests for statistical reports and other data when not required by a regulatory agency (FERC, FPC, etc. See EMM-17)   | Temporary. Destroy in Agency when no longer required for reference or when 10 years old. |
| EMM-12      | <u>POWER ACCOUNTING</u> Correspondence and other material regarding methods of accounting for revenues from energy sales, including audits of power accounts, accounting through the automated financial management system, and the apportionments of revenues from energy sales.   | Temporary. Destroy in Agency when 10 years old.  |
| EMM-13      | <u>POWER BILLING</u> Correspondence regarding methods of billing for energy sales, including automated systems, collection procedures, fund transfers, delinquent accounts, accounts receivable ageing, cash management practices, power revenue records and other similar matters.   | Temporary. Destroy in Agency when 10 years old.  |

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| EMM-14      | <p><u>ALLOCATIONS OF ENERGY.</u> Correspondence and other material generated in the allocation or re-allocation of energy among power customers, other than material being filed in a specific case record.</p> <p>See EMM-15 and 16 for records related to the Boulder Canyon and Hoover Powerplant legislation.</p>  | Temporary. Destroy in Agency when 10 years old.  |
| EMM-15      | <p><u>BOULDER CANYON PROJECT LEGISLATION</u></p> <p>(a) Correspondence and other material regarding the effect of Boulder Canyon Legislation on allocation of power from the Hoover Powerplant, on Western's participation in the marketing of energy from the Hoover Powerplant, and on the repayment of the Federal investment in the construction and operation of the powerplant.</p> <p>(b) Periodic reports of energy rate determinations, estimates of generating charges, and actual generating charges together with related correspondence.</p>    | <p>Permanent. Records related to this item have already been accepted by the Archival Unit of the Denver Federal Archives and Record Center (Accession 201-85-0015)</p> <p>Temporary. Destroy in Agency when 10 years old.</p>           |
| EMM-16      | <p><u>HOOVER POWERPLANT ACT OF 1984</u></p> <p>(a) Correspondence and other material documenting Western's responsibilities under the subject legislation; i.e., the allocations of energy, the re-negotiation of contracts, the delivery of long-term contingent capacities to contractors, the establishment of rates consistent with the repayment obligations associated with the operation of Hoover Dam and Powerplant and other related matters.</p> <p>(b) Periodic reports of Western's administrative compliance to the provisions of the Act.</p> | <p>Permanent. Offer to NARA when 20 years old. Note: Operations under this legislation began May 31, 1987. At this time the volume of records which will accrue is not known.</p> <p>Temporary. Destroy in Agency when 10 years old.</p> |



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| EMM-17      | <u>FEDERAL POWER COMMISSION.</u>  |   |
|             | (a) Correspondence regarding the preparation of data and its reporting in FPC-1 and FPC 12 reports.   | Temporary. Destroy 1 year after transmittal to the Federal Power Commission.          |
|             | (b) Copies of FPC-1 and FPC-12 reports.   | Temporary. Destroy in Agency when no longer required for reference.                   |
| EMM-18      | <u>POWER SYSTEM RECORDS</u><br>Forms, charts, meter readings, other media serving as equipment histories; test results; instrument recordings; all operational logs; maintenance schedules for performance of inspections and other activities; records of service interruptions; substation and switchyard operations; system safety records (safety clearances); voice recordings; and other similar matters. | Temporary. See the alphabetical listing which supplements this retention instruction. |
|             | NOTE: The records which comprise this item are primarily maintained by operating personnel at a facility (a substation, switchyard, dispatching center, or similar installation). They record day-to-day operations, maintenance activities, and other pertinent occurrences affecting the functions and equipment and safety of personnel at the facility.   |   |

EMM-18 POWER SYSTEM RECORDS - ALPHABETICAL LISTING

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| Area Control charts.....   | Destroy when 3 years old   |
| Authorities; internal delegation of <u>specific</u><br>design and specification work preparation | Destroy when 10 years old in the issuing office and when<br>5 years old elsewhere. |
| Bare hand training employee records.....   | Destroy when employee's folder is destroyed.                                       |
| Bare hand training program administration.....   | Destroy when 5 years old.  |
| Billing statements (memorandum copies).....  | Destroy 3 years after termination of related sales<br>contract.                    |
| Bushing power factor test reports.....   | Destroy when the related equipment is retired or<br>disposed.                      |
| Calculating Boards   |  |
| (a) Reports or studies.....  | Destroy when no longer required for reference.                                     |
| (b) Administrative records.....  | Destroy when 5 years old.  |
| Carrier-current records:   |  |
| (a) Instruction books and drawings.....  | Destroy when the related equipment is retired or<br>disposed.                      |
| (b) Test sheets.....   | Destroy when the related equipment is retired or<br>disposed.                      |
| Circuit breaker inspection reports.....  | Destroy when the related equipment is retired or<br>disposed.                      |
| Conservation studies; electric power<br>resources.....   | Destroy when no longer required for reference.                                     |
| Control performance criteria surveys<br>(power pooling).....                                     | Destroy when 2 years old.  |
| Customer load sheets.....  | Destroy when 6 years old.  |

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| Daily logs of all types.....   | Destroy when 10 years old at the dispatching office and when 3 years old at the receiving office. <u>IF SUMMARIZED</u> , retain the summary sheets only for 10 years at the dispatching office. |
| Data processed applications:   |   |
| Source or input data.....  | Destroy when 6 months old.  |
| Meter charts or books used as source/input data                                  | Use retention instruction appropriate to the chart to book.   |
| Delegations of authority; internal design and specification preparation.....     | Destroy when 10 years old in the delegating office and when 5 years old elsewhere   |
| Demand reports.....  | Destroy when 6 years old.   |
| Differential relay reports.....  | Retain one current and two preceding reports.   |
| Dispatcher's daily reports.....  | Destroy when 10 years old at the dispatching office; 3 years old at the receiving office. <u>IF SUMMARIZED</u> , retain the summary sheets 10 years.  |
| Dispatching board histories and technical records.....                           | Destroy when no longer required for reference.  |
| Dispatcher's logs.....   | Destroy when no longer required for reference.  |
| Distance relay tests.....  | Retain a current and two preceding reports.   |
| Doble test reports.....  | Destroy when the related equipment is retired or disposed.  |
| Economic benefit studies; benefits from electric power resource development..... | Destroy when no longer required for reference.  |
| Electric power revenue meter demand charts and readings.....                     | Destroy when 6 years old.   |
| Electric Power Training Center activities correspondence and reports.....        | Use a retention instruction appropriate to the subject.   |
| Entitlement records.....   | Destroy when entitlement is no longer in force.   |

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| Equipment failure reports.....                                   | Destroy when related equipment is disposed or retired.                         |
| Equipment trouble reports.....                                   | Destroy when related equipment is disposed or retired.                         |
| Equipment unavailability correspondence<br>or reports.....       | Destroy when 2 years old.  |
| Fault current data.....  | Destroy when 2 years old.  |
| Generation charts, station logs, etc.....                        | Destroy when no longer required for reference.                                 |
| High voltage D.C. insulation test reports.....                   | Destroy when the related equipment is retired or<br>disposed.                  |
| Hot line procedures and forms<br>(switching operations).....     | Retain current revision only.  |
| Hourly load curves.....  | Destroy when 10 years old.   |
| Inspection reports, circuit breakers and<br>other equipment..... | Destroy when the related equipment is retired or<br>disposed.                  |
| Instrument records.....  | Destroy when 3 years old.  |
| Instrument test records.....                                     | Destroy when the related equipment is retired or<br>disposed.                  |
| Insulation test reports<br>(high voltage D.C.).....              | Destroy when 6 years old.  |
| Interchange charts.....  | Destroy when 3 years old.  |
| Interchanges, MW's and MVAR's.....                               | Destroy when no longer required for reference.                                 |
| Interconnection of power systems.....                            | Destroy when no longer required for reference, but no<br>longer than 50 years. |
| Interference studies.....  | Destroy when 10 years old.   |

Note: Life of equipment is defined as  
the period of operating usefulness  
to Western.

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| Listings; power facilities and related work papers.....           | Destroy when superseded or obsolete.                       |
| Live line training reports.....                                   | Retain as part of employee's folder.                       |
| Mag tapes and printouts.....                                      | Destroy when 1 year old.                                   |
| Maintenance procedures or schedules.....                          | Destroy when superseded or obsolete.                       |
| Meter books.....  | Destroy when superseded or obsolete.                       |
| Meter readings, originals and microfiche.....                     | Destroy when 3 years old.                                  |
| Meter reading data, used to prepare FPC-12 reports.....           | Destroy when 5 years old. See EMM-17.                      |
| Meter test charts or sheets.....                                  | Destroy when the related meter is retired or disposed.     |
| Metered delivery records.....                                     | Destroy when 10 years old.                                 |
| Microwave operations  |  |
| Instruction books and drawings.....                               | Destroy when the related equipment is retired or disposed. |
| Test sheets.....  | Destroy when 4 years old.                                  |
| Miscue investigation reports (incident reports).....              | Destroy when 10 years old.                                 |
| Mobile units, records of.....                                     | Destroy when the mobile unit is retired or disposed.       |
| Network analyzer studies and reports.....                         | Destroy when no longer required for reference.             |
| Working data and incidental matters.....                          | Destroy when 10 years old.                                 |
| Oil conservation records.....                                     | Destroy when 5 years old.                                  |
| Oil and insulation test reports.....                              | Destroy when the related equipment is retired or disposed. |
| Oil pressure readings (circuit breakers, transformers, etc.)..... | Destroy when the related equipment is retired or disposed. |

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| Optimized transmission tower spotting<br>(hand or computer generated)..... | Destroy when 10 years old.  |
| Oscillographs (breaker time travel).....                                   | Destroy when the related breaker is retired or disposed.  |
| Outage reports .....   | Destroy when 10 years old at the reporting office and<br>when 3 years old elsewhere.  |
| Overcurrent relay test reports.....  | Retain one current and two preceding reports.   |
| Power allotments and obligations (hand<br>or computer generated).....      | Destroy when 6 years old.   |
| Power operation instructions.....  | Retain current instructions only.   |
| Power operation reports; forms other than the<br>PO&M series.....          | Destroy annual reports when 10 years old at<br>Headquarters; destroy all other issues when 3 years old.   |
| Power operating tabulations (miscellaneous)                                | Destroy when 5 years old.   |
| Power pooling records.....   | Destroy when 5 years old.   |
| PSD or Standard Operating Procedures (SOP)<br>or Instructions.....         | Retain the current edition only.  |
| Power system coordinating reports.....                                     | Destroy when 10 years old.  |
| Power system reliability records.....                                      | Destroy when 10 years old.  |
| Radio conversation recordings .....  | Destroy when 1 month old <u>unless</u> required as part of an<br>investigation in which case retain for the same time<br>as the investigation file. |
| Radio frequency use reports.....   | Destroy when 3 years old.   |
| Recording instrument charts.....   | Destroy when 3 years old.   |
| Relay coordination and test reports.....                                   | Destroy when 10 years old.  |
| Relay data sheets.....   | Retain current sheet only.  |
| Relay systems; operation reports.....                                      | Destroy when 10 years old.  |
| Replacement energy sales reports.....                                      | Destroy when 6 years old.   |

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| Safe clearance records and tags.....                                     | Destroy when no longer required for reference.   |
| Safety records or instructions.....                                      | Destroy when superseded or obsolete.   |
| Scheduling tapes and printouts.....                                      | Destroy when 6 years old.  |
| Sequential operations reports.....                                       | Destroy when 5 years old.  |
| Station logs.....  | Destroy when no longer required for reference.   |
| Statistics and reports of power operations<br>of other agencies.....     | Destroy when 3 years old.  |
| Storage and power release reports, weekly.....                           | Destroy when 10 years old.   |
| Storage battery reports.....   | Destroy when related battery is disposed.  |
| Strip charts.....  | Destroy when 3 years old.  |
| Substation histories and technical records....                           | Destroy when no longer required for reference or the<br>facility is no longer operated by Western. |
| Substation logs.....   | As above.  |
| SCADA (Supervisory Control and Data Acquisition)<br>records:             |  |
| (a) Alarm or event reports (if not part of<br>the Dispatcher's Log)..... | Destroy when 1 year old.   |
| (b) Data processed printouts of COM.....                                 | Destroy when 1 year old.   |
| (c) Logs.....  | Destroy when the related system is no longer operated by<br>Western.                               |
| (d) MAG tapes.....   | Destroy when 1 year old.   |
| (e) Scheduling tapes and printouts.....                                  | Destroy when 1 year old.   |
| Switchboard instrument test reports.....                                 | Retain one current and preceding report only.  |
| Switching program forms.....   | Destroy when no longer required for reference.   |
| Telemetry system histories and technical<br>records.....                 | Destroy when the system is no longer operated by<br>Western.                                       |

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| Telephone records.....                                   | Destroy when 1 month old <u>unless</u> required as part of an investigation in which case retain for the same time as the investigation file.  |
| Test reports, major equipment - general instruction..... | Destroy when the related equipment is disposed or retired.   |
| Transformer test reports.....                            | Destroy when the related transformer is retired or disposed.   |
| Transmission line histories and technical records.....   | Destroy when the system is no longer operated by Western.  |
| Transmittal letters.....                                 | Destroy when 1 year old.   |
| Unit service records.....                                | Destroy when the unit is retired or disposed.  |
| Voice recordings of all types.....                       | Destroy when 1 month old <u>unless</u> required as part of an investigation in which case retain for the same time as the investigations file. |
| Voltage charts.....                                      | Destroy when 3 years old.  |
| Watt-hour meter tests.....                               | Destroy when the related meter is retired or disposed.   |
| Wheeling, monthly or other periodic reports...           | Destroy when 10 years old.   |
| Work sheets of all types.....                            | Non-record; destroy when 3 years old.  |