

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-387-09-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 3/25/2021.

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All approved items except 120, 287, and 288 are active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

DAA-GRS-2018-0003-0001 supersedes item 120.

N1-387-10-001 item 6 supersedes item 287.

N1-387-10-001 item 5 supersedes item 288.

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only)	
		JOB NUMBER <i>NI-387-09-1</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		Date Received <i>10/01/2008</i>	
1. FROM (AGENCY OR ESTABLISHMENT) Department of Energy		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION 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request, including amendments is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	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 Office of Corporate Operations, Information Technology Division			
4. NAME OF PERSON WITH WHOM TO CONFER Miya Boyken	5. TELEPHONE 918.595.6713	DATE <i>7/23/09</i>	ARCHIVIST OF THE UNITED STATES <i>Adrienne Thomas</i>
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	SIGNATURE OF AGENCY REPRESENTATIVE <i>Miya M Boyken</i>	TITLE Information Technology Specialist Agency Designated Records Officer	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	(See Attached)		



Southwestern Power Administration SF 115

Southwestern Power Administration (SWPA) was established in 1943 by the Secretary of the Interior as a Federal Agency that today operates within the Department of Energy (DOE) under the authority of Section 5 of the Flood Control Act of 1944.

As one of the four Power Marketing Administrations (PMA) in the United States, SWPA markets hydroelectric power in Arkansas, Kansas, Louisiana, Missouri, Oklahoma, and Texas from 24 U.S. Army Corps of Engineers multipurpose dams.

By law, SWPA's power is marketed and delivered primarily to public bodies such as rural electric cooperatives and municipal utilities. SWPA has over one hundred such "preference" customers, and these entities ultimately serve another seven million end-use customers.

SWPA operates and maintains 1,380 miles of high-voltage transmission lines, substations, and a communications system that includes microwave, VHF radio, and state-of-the-art fiber optics. Staff members work from offices located in Gore, Oklahoma; Jonesboro, Arkansas; Springfield, Missouri; and Tulsa, Oklahoma. Around-the-clock power scheduling and dispatching are conducted from the Springfield Operations Center.

SWPA's mission is to market and reliably deliver Federal hydroelectric power with preference to public bodies and cooperatives. This is accomplished by maximizing the use of Federal assets to repay the Federal investment and participating with other water resource users in an effort to balance diverse interests with power needs within broad parameters set by the U.S. Army Corps of Engineers, and implementing public policy.

OFFICE OF ADMINISTRATOR

The Administrator provides executive direction and exercises authority over all Southwestern's organizational elements. Information may be recorded on various media including paper, film, tape, disk, diskette, or in the electronic document management system. All records in this chapter are scheduled in media neutral format.

Item 1: Administrator's Schedule of Daily Activities (1000)

The Administrator's daily activity material may include records documenting the "high points" of Senior Staff Meetings and Senior Staff Retreats kept on the agency intranet. Electronic files may include SWPA's Weekly Report to the Secretary of Energy, and the monthly 30-60-90 Day Report. The Internal Tracking System is managed by the Administrator's executive assistant to track all requests (via telephone, email, or postal mail) addressed to the Administrator requiring a response with a due date. The Weekly and 30-60-90 Day Reports are saved electronically on the network under \\pegasus\secretary. Highpoints of Senior Staff Meetings and Retreats are published to Southwestern's Intranet.

Also includes items covered by the Department of Energy, Administrative Records Schedule 23: Records Common to Most Offices, Item 5.1:

a. Records of High-Level Officials

Unique substantive records relating to the activities of high level officials (to include scientific and technical staff-Federal or contractor), e.g., Secretarial officers, heads of program offices, heads of offices, their deputies and assistants; the heads of staff offices, directors of offices, or equivalent; principal field officials; and staff assistants to all these aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions; also includes equivalent contractor officials. Examples of these records include, but are not limited to Administrator's correspondence, calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities while serving in an official capacity.

PERMANENT. Cut off at the end of the fiscal year. If the records are paper or other hardcopy media, transfer to the NARA in 5 year blocks when 25 years old. ~~If the records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records to NARA 25 years after cut off.

NARA revoked pre-accession policy 4/19/2022

b. ~~Electronic copies shall follow:~~

~~Department of Energy, Administrative Records Schedule 23: Records Common to Most Offices, Item 5. Schedules of Daily Activities. Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal. [GRS 23(5)]~~

- ~~1) Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high Government officials.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year. Destroy or delete when 2 years old.~~

- ~~2) Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year. Destroy or delete when no longer needed for convenience of reference.~~

Item 2: Agency Mission, Vision, Strategic and Objective Plans (1020)

Material related to SWPA's mission, vision, strategic, and objectives plans, includes long-range plans, 5-year plans, plans are developed in accordance with authority delegated to SWPA. (Based on NC1-387-76-1 p. 167)

PERMANENT. Cut off when superseded or obsolete. Arranged by subject plan. If records are paper or other hardcopy media, transfer to offsite storage 4 years after cut off, and transfer to NARA 20 years after cut off. ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records to NARA 20 years after cut off.

NARA revoked pre-accession policy 4/19/2022

Item 3: Delegations of Authority (1110)

Material related to general delegations of authority and responsibilities of officials. Includes indefinite and short term assignments. (Based on NC1-387-76-1 p. 166)

TEMPORARY. Cut off when superseded or obsolete. Destroy 4 years after cut off.

LEGAL

Material related to agency legal affairs that provide legal services and legal counsel to all programs of Southwestern Power Administration (SWPA). Material relating to interpretation of law, litigation, legislation, and related activities. Information may be recorded on various media including paper, film, tape, disk, diskette, or in the electronic document management system. All records in this chapter are scheduled in media neutral format. Material relating to objectives, policy, procedures, and operations of general counsel activities excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.

~~**Item 4: Equal Employment Complaints (1660) [GRS 1(25)]**~~

~~Records used by General Counsel but not filed in the official discrimination complaint case file. Filed in Legal Records, File Room #1604.~~

~~a. Background records not filed in the Official Discrimination Complaint Case Files.~~

~~b. Records documenting complaints that do not develop into Official Discrimination Complaint Cases.~~

~~**TEMPORARY.** Cut off at end of fiscal year. Place in inactive file when case resolved. Destroy 2 years after final resolution of case~~

Item 5: ~~Freedom of Information Act (FOIA) (1700)~~

a. ~~General.~~

~~Records relating to the general implementation of the FOIA, including notices, memorandums, routine correspondence and related records. Filed in Legal Records, File Room #1604 and electronically at N:\Dept_Legal\WP\1720. [GRS 14(15)]~~

~~TEMPORARY. Cut off end of fiscal year. Destroy 2 years after cut off.~~

b. ~~FOIA Reports (1710)~~

~~Recurring reports and one-time information requirements relating to the implementation of FOIA. EXCLUDING annual reports to the Congress at the departmental or agency level. Filed in Legal Records, File Room #1604. [GRS 14(14)]~~

~~TEMPORARY. Cut off at end of fiscal year. Destroy 2 years after cut off.~~

c. ~~FOIA Requests (1720) [GRS 14(11)]~~

~~1) **approved.** Files created in response to requests for information under the FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files which includes the official file copy of requested record or copy thereof. Filed in Legal Records, File Room #1604.~~

~~—TEMPORARY. Cut off at end of fiscal year. Destroy 2 years after cut off~~

~~2) **Denied.** Denying access to all or part of the records requested.~~

~~TEMPORARY. Cut off at end of fiscal year. Destroy 6 years after cut off.~~

d. ~~Copies of requested records.~~

~~TEMPORARY. Dispose of in accordance with approved agency disposition instructions for the related records or with the related FOIA request, whichever is later.~~

Item 6: ~~Privacy (1800)~~

~~Records relating to general implementation of the Privacy Act including notices, memorandums, routine correspondence and related papers. Filed in Legal Records, File Room #1604.~~

- ~~a. **Privacy Act General Administrative Files.** Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records. [GRS 14(16)]~~

~~— **TEMPORARY.** Cut off at the end of the fiscal year. Destroy 2 years after cut off.~~

- ~~b. **Privacy Act Reports (1810)**~~

~~— Records relating to recurring reports and one time information requirements relating to Southwestern implementation, including biennial reports to the Office of Management and Budget (OMB), and the Report on New Systems at all levels. Filed in Legal Records, File Room #1604. [GRS 14(25)]~~

~~— **TEMPORARY.** Cut off at the end of the fiscal year. Destroy 5 years after cut off.~~

- ~~e. **Privacy Act Requests (1820)**~~

~~— Case files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 USC 552a(d)(1). Files contain original request, copy of reply thereto and all related supporting documents. Filed in Legal Records, File Room #1604. [GRS 14(21)]~~

- ~~1) **Approved**~~

~~— **TEMPORARY.** Cut off at the end of the fiscal year. Destroy two years after cut off.~~

- ~~2) **Denied**~~

~~— **TEMPORARY.** Cut off at the end of the fiscal year. Destroy five years after cut off.~~

- ~~3) **Official file copy of requested records**~~

~~— **TEMPORARY.** Dispose of in accordance with approved agency disposition instructions for the related records or with the related Privacy Act request, whichever is later.~~

Item 7: Legal Correspondence (2000)

Correspondence, memorandum and documents regarding legal services and procedures related to SWPA 's right to participate in litigation and to take other legal action. The official record copy is on one medium, paper, unless otherwise specified. Arranged by subject. Annual accumulation is less than 1 linear foot. Filed in Legal Records, File Room #1604 and electronically at N:\Dept_Legal\WP\2000\.

TEMPORARY. Cut off at the close of each fiscal year in which legal opinion finalized. Destroy 20 years after cut off.

Item 8: 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. Filed by subject. Copies may be filed in appropriate subject file. Filed in Legal Records, File Room #1604.

PERMANENT. Subject files will be placed in inactive file when policy is cancelled, superseded, or revoked. Cut off inactive file at the close of each fiscal year. Cut off at the end of fiscal year. Transfer to NARA five (5) years after cut off.

Item 9: Federal Legislation (2020)

Documents accumulated in preparation, review, comment and legal interpretation of proposed or enacted legislation. Documents may include House or Senate bills. Arranged by bill number. Annual accumulation is less than 1 linear foot. Filed in Legal Records, File Room #1604.

PERMANENT. Cut off at the end of the fiscal year. Maintain onsite for five (5) years after cut off or when volume warrants and then transfer to offsite storage. Transfer to NARA 20 years after cut off.

~~**Item 10: Proposed and Pending Legislation Case Files but Not Enacted (2021)**~~

ITEM WITHDRAWN – these are filed and maintained with item 9 above

~~Case files regarding proposed and enacted State Legislation which documents and bills relating to SWPA functions and responsibilities, includes cooperative efforts between SWPA, other agencies, groups, or individuals and the states in obtaining particular legislation; related correspondence, copies of legislation, surveys of needed laws or amendments, hearings, and comments. The official record copy is on one medium, paper, unless otherwise specific. Arranged by subject. Annual accumulation is less than one (1) linear foot. Filed in Legal Records, File Room #1604.~~

~~**PERMANENT.** Cut off at the end of the fiscal in which related legislation is completed. Maintain onsite for 5 years after cut off and then transfer to offsite~~

Item 11: Litigation Case Files (2040)

Case files relating to legal action or judicial proceedings pertaining to that action, filed against SWPA or by SWPA as a lawsuit in either an administrative agency or a court. The official record copy is on one medium, paper, unless otherwise specified. Including by not limited to: Judicial litigation – includes documentation needed to prepare for judicial proceedings before a body that may consist of a judge or judges and a jury. Cases arranged by subject and divided into three categories: 1) Cases against SWPA; 2) Cases SWPA is a party; and 3) Board of Contract Appeals. Annual accumulation varies from less than one linear foot to three linear feet. Filed in Legal Records, File Room #1604.

PERMANENT. Cut off at the close of the fiscal year in which case closes or settlement occurs. Transfer to NARA 25 years after close of case.

Item 12: Claim Case Files (2041)

Case files relating to legal action or judicial proceedings pertaining to that action, in which SWPA is a party or litigation in which SWPA is not a party but has a bearing on SWPA. Also includes claims by the U.S. (SWPA, Torts (3rd party) and Employee claims. Filed in Legal Records, File Room #1604.

TEMPORARY. Cut off at the close of the fiscal year in which case closes or settlement occurs. Destroy 10 years after cut off.

Item 13: General Proceedings Regulatory Commissions (2082)

Cases filed before Federal Energy Regulatory Commission (FERC) and Nuclear Regulatory Commission (NRC) 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. Arranged by Docket number. Filed in Legal Records, File Room #1604.

PERMANENT. Cut off at the end of the fiscal year in which case closes. Transfer to NARA 25 years after close of case.

Item 14: ~~Merit Systems Protection Board (MSPB) Case Files (2087) [GRS 1(30)]~~

~~Files of cases filed with the MSPB. Filed in Legal Records, File Room #1604. Covers records relating to grievances, adverse actions and performance based actions raised by agency employees, except EEO complaints includes statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request. Also includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.~~

~~TEMPORARY. Cut off at the end of fiscal year in which case is resolved. Destroy no sooner than 4 years but no later than 7 years after cut off.~~

Item 15: ~~Equal Employment Opportunity Commission (EEOC) Case Files (2088) [GRS 1(25)(a)]~~

~~Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by Equal Employment Opportunity Commission, or by a U.S. Court. Arranged by case file. File in Legal Records, File Room #1604.~~

~~TEMPORARY. Cut off at the end of the fiscal year in which case is resolved. Destroy 4 years after cut off.~~

Item 16: ~~Monthly Usage of Online Legal Research Tools (2245)~~

~~Electronic files and hard copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost back files used to assess charges for system use. Used for billing purposes. Cut off end of fiscal year. Arranged by system. Filed in Legal Records, File Room #1604. [GRS 20(1)(e)]~~

~~TEMPORARY. Cut off at the end of the fiscal year. Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.~~

Item 17: ~~Employee Responsibility and Conduct per the Ethics Program (3735) [GRS 25(2)]~~

~~Includes Employee Financial disclosure forms (450/278), also documents, reports, training rosters of employees required to complete 450's filed by employee name. Arranged by employee name. Filed in Legal Records, File Room #1604.~~

~~a. **Executive Branch Personnel Public Financial Disclosure Reports (SF 278) and related records.**~~

- ~~1) SF 278 reports for individuals filing in accordance with Section 101(b) or (c) of the Act, and not subsequently confirmed by the U.S. Senate or elected.~~

~~TEMPORARY. Cut off at the end of the fiscal year. Destroy 1 year after nominee or candidate ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.~~

- ~~2) All other SF 278s.~~

~~TEMPORARY. Cut off at the end of the fiscal year. Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.~~

- ~~b. Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A) and related records.~~

- ~~1) OGE Form 450s for individuals not subsequently confirmed by the U.S. Senate.~~

~~TEMPORARY. Cut off at the end of the fiscal year. Destroy 1 year after nominee ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.~~

- ~~2) All other OGE Form 450s and OGE Optional Form 450-As.~~

~~TEMPORARY. Cut off at the end of the fiscal year. Destroy 6 year after nominee ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.~~

Item 18: ~~General Ethics Program Records (3736) [GRS 25(1)]~~

~~Records maintained by ethics program offices relating to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics related regulations and directives. Including: records documenting the review of proposed or established ethics related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records; determinations, including advice and counseling to individual employees, and supporting records; records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities. Also includes ethics log, training rosters, and outside employment forms. Filed in Legal Records, File Room #1604.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year. Destroy when 6 years old or when superseded or obsolete, whichever is later.~~

RATES AND REPAYMENT – GENERAL

Material relating to rates and repayment documentation and support for Southwestern Power Administration's (Southwestern) adherence to regulatory and statutory requirements. These records document the implementation of substantive policies and procedures. Retention of these materials allows orderly access to information which may be required for reference and verification of Southwestern's historical repayment records, repayment studies, policies, and adherence to statutory and Federal Energy Regulatory Commission (FERC) requirements. Included material is related to periodic analyses for power and transmission rate determinations, revenue requirements and for submissions and related matters before the FERC including preliminary (pre-initial), initial, supplemental and final rate proceedings. Documentation in the form of policies, reports, studies and other historically collected information is used to assure rates are adequate for repayment of all costs to operate and maintain the generation and transmission facilities and repayment of principal and interest on the Federal investment.

Arrange subject policy and procedure by fiscal year.

Item 19: Recurring Reports (6601)

Reports prepared for state, regional, departmental, federal or other outside entities which cover rates and repayment or related data. Reports may include single reporting requests by internal and external requestors including Southwest Power Pool, Oklahoma Corporation Commission, U. S. Department of Energy, Energy Information Administration or regularly recurring reports.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 20: One-Time or General Information (rate related) (6602)

Includes inquiries by outside entities and responses, notes on general policies and copies of general information received or provided to others. Information may include information provided to the rates and repayment functional area. Sources of inquiries or responses include government entities, customer groups, other utility entities and internal entities.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 21: Rate Related Subject File (6603)

Copies of faxes and two-way memos sent as responses or received as general rates or repayment information. Covers correspondence with government entities, customer groups, other utility entities and internal entities.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 22: Report of Rate Related Telephone Calls (w/particular subject) (6604)

Record of calls relating to rates and repayment or related information received or requested via telephone from all sources.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 23: Current Rate Filing Status (6605)

Reports of rate proposals, filing packages and rate schedule status.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 24: Marketing PMA Primary Statistics (contract related) (6606)

Information and documentation gathered for general historical documentation.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 25: 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.

PERMANENT. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Transfer to National Archives 20 years after close of case.

Item 26: Delegation Orders (6611)

Includes Department of Energy and other applicable delegations and their history as related to rates and repayment areas of authority. Copies of drafts, comments and legal opinions are included. (Based on NC1-387-76-1 p. 76 and 167)

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.

Item 27: DOE Regulations (6612)

Covered by RA 6120.2, 10 CFR 903. History and comments on regulations and related issuances, correspondence etc affecting rates and repayment.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 28: Rate Adjustment Procedures (6613)

Covered by DOE FERC. Federal acts and other issuances related to rates and repayment and related correspondence covering additional information and comments.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 29: Statutes (6614)

Documentation of statutes related to Rates and Repayment of Southwestern Power Administration in general includes history of comments and other communications internally or externally.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 30: PURPA Co Generation (Public Utilities Regulatory Policies Act) (6614.1)

Material related to correspondence, inquiries and guidance concerning PURPA)

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 31: Philosophies (preference, cost basis) (6616)

Documentation, information and background materials covering preference customers, cost based rates and other operating philosophies related to the federal hydropower program.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 32: Environmental (rate related) (6617)

Issues and documentation as applies to rates for the National Environmental Policy Act and other regulations required for Federal power marketing activities.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 33: Meetings, Conferences, and Committees (6620) (interagency)

Notes and documentation of interagency meetings covering issues related to rates and repayment policy.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 34: Interagency Task Force on Interest Rates (6621)

Notes of meetings and information sharing between the Power Marketing Administrations, the Corps of Engineers and the Bureau of Reclamation. Includes other financial and rates and repayment topics also. (Based on NC1-387-76-1 p. 167)

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 35: OMB/Financial Practices Task Group (Operations, Maintenance, and Replacements Costs)

Notes and Information for a study requested by the Office of Management and Budget (OMB) of all 4 Power Marketing Administrations to assess financial management practices for consistency with other electric utilities". (Based on NC1-387-76-1 p. 167)

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 36: OM&R Group (6623)

Notes, history and information relating to Power Marketing Administrations' financial practices and OMB requests for improvements as retained from the group meetings and correspondence.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 37: Rates Subcommittee (SPRA) (6624)

Meeting notes and information from this subcommittee.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 38: Special Studies (rate-related case files) (6630)

Documentation and information on studies and requests related to rates and repayment or other Southwestern issues. (Based on NC1-387-76-1 p. 153)

TEMPORARY. Cut off upon completion of study. Transfer to FRC 5 years after cut off. Destroy 20 years after cut off.

Item 39: Special Services/Charges (6631)

Documentation and information related to power contracts and special service charges assessed to customers. (Based on NC1-387-76-1 p. 153)

TEMPORARY. Cut off at the end of the fiscal year when contract is terminated or superseded. Transfer to the Federal Records Center 5 years after cut off. Destroy 20 years after cut off.

Item 40: Rate Adjustment Threshold (6632)

Policy, procedures and history documents on the establishment of the rate adjustment thresholds for Southwestern including customer comments. (Based on NC1-387-76-1 p. 153)

PERMANENT. Cut off when superseded or obsolete. Transfer to FRC 5 years after cut off. Transfer to NARA 20 years after cut off.

Item 41: Area Wholesale Electric Rates (6633)

Information and correspondence on rates of other entities, including information from FERC.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 42: Rate/Repayment Reform (6634)

Proposed changes in legislation, correspondence and responses to information requests concerning changes to repayment practices of the power marketing administrations.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 43: Buy-Out Option (Repayment Reform) (6634.1)

Correspondence and information concerning change in interest rates and repayment at BPA and the other power marketing administrations.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 44: Integration of Isolated Projects (6635)

Notes and related information from a study conducted by SWPA personnel on the construction and contractual requirements for integration of nine isolated hydropower projects into the integrated system. (Based on NC1-387-76-1 p. 153)

TEMPORARY. Cut off upon completion of study. Transfer to Federal Records Center 5 years after cut off. Destroy 50 years after cut off.

Item 45: Financial Performance Indicators (6636)

Data files and information on different performance indicators reported by Southwestern.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 46: Financial/Economic Studies (6637)

Various studies and related data prepared by rates and repayment area for the agency.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

~~**Item 47: FERC Order 888&889 (rate related) (6638)**~~

~~Orders and related information as related to establishment of Southwestern policies and rate requirements.~~

~~**TEMPORARY.** Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.~~

Item 48: Rate and Repayment Case Files (6640)

By rate system, then divided into Congressional, DOE (FERC), customer, other and proceedings before FERC. – filed by year of study. Includes copies of all filing documents, motions to intervene by outside entities and notices to customers.

PERMANENT. Cut off at the end of the fiscal year in which case closed. Transfer to FRC 10 years after cut off. Transfer to NARA 25 years after cut off.

Item 49: Power Repayment Study and Rate Proposal (bound) (6650)

Bound copies of studies by rate system and by year of study. Based on DOE Order RA 6120.2 dated September 20, 1979 and revisions effective October 1, 1983 (Based on NC1-387-76-1 p. 153)

PERMANENT. Cut off upon completion of study. Transfer to FRC 10 years after cut off. Transfer to NARA 25 years after cut off.

Item 50: Rate Proposal Backup Material (6651)

Rate development process records of public forums, information and comments. (Based on NC1-387-76-1 p. 153)

PERMANENT. Cut off upon completion of repayment study or rate proposal case is closed. Transfer to FRC 10 years after cut off. Transfer to NARA 25 years after cut off.

Item 51: Revenue Distribution (6660)

Records of revenue distribution by FY year.

TEMPORARY: Cut off at close of odd number fiscal year. Transfer to the Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 52: Cost Allocation (6670)

Information by year for cost allocations for various projects. Includes correspondence and meeting notes.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 53: Cost Allocation Case Files (6671)

Records by projects for related cost allocations. Arranged alphabetically by project. (Based on NC1-387-76-1 p. 167)

TEMPORARY. Cut off at the end of the fiscal year in which Southwestern is no longer marketing agent for the project. Transfer to the Federal Records center 5 years after cut off. Destroy 10 years after cut off.

Item 54: Interagency Committee on Cost Allocation (6672)

Notes and information related to this committee consisting of members from Southwestern, the Corps of Engineers and FERC.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 55: Rates (6680)

Rate design and other rate related issues. Includes agency work group notes and customer correspondence and other miscellaneous rate information.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 56: Rate History (6681)

Historical documents covering rates and work in rates and repayment.

PERMANENT. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Transfer to NARA 25 years after cut off.

Item 57: Rate Schedules (6682)

Copies of rate schedules used for tracking rate changes over time. (Based on NC1-387-76-1 p. 167)

PERMANENT. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Transfer to NARA 25 years after cut off.

Item 58: Southwestern Rate Orders (6683)

Documentation of SWPA's rate orders with the FERC. (Based on NC1-387-76-1 p. 153)

PERMANENT. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Transfer to NARA 25 years after cut off.

~~Item 59: Rate Documents (6684) – Non-record~~

~~Reference material and historical documentation of FERC dockets related to PMAs~~

~~**a. PMA Dockets (6684.1)**~~

~~Reference information related to PMAs.~~

~~**b. Alaska Power Administration (APA) (6684.11)**~~

~~FERC dockets and information specific to APA.~~

~~**c. Bonneville Power Administration (BPA) (6684.12)**~~

~~FERC dockets and information specific to BPA.~~

~~d. Southeastern Power Administration (SEPA) (6684.13)~~

~~— FERC dockets and information specific to SEPA.~~

~~e. Western Area Power Administration (WAPA) (6684.14)~~

~~— FERC dockets and information specific to WAPA.~~

~~f. Other Agencies (6684.2)~~

~~— FERC dockets and information specific to entities other than the PMAs.~~

~~TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.~~

Item 60: Repayment (6690)

Information on Federal investment and changes in balances. (Based on NC1-387-76-1 p. 167)

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 61: Interest Rates and Repayment (6691)

Record of interest rates for repayment of federal investment. Includes correspondence and reports covering interest. (Based on NC1-387-76-1 p. 167)

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 62: Operations and Maintenance (6692)

Corps of Engineers O&M by year and copies of information requested from the Corps of Engineers. (Based on NC1-387-76-1 p. 167)

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 63: Replacements (6693)

Data used for repayment studies and copies of requests for the data submitted to internal sources and to the Corps of Engineers. (Based on NC1-387-76-1 p. 167)

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 64: Amortization (6694)

Documentation on amortization of Federal investment and copies of correspondence and information requested for the area. (Based on NC1-387-76-1 p. 167)

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 65: Purchased Power Accounting Mechanism (PPAM) (6695)

Documentation and correspondence for purchased power program and the related accounting for the deferral account.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 66: Power Accounting Files (6700)

Material related to marketing all power and energy that is in excess to the Corps of Engineers needs at the Corps of Engineers owned and operated hydroelectric power projects. Southwestern contracts with its customers for electrical products (electrical capacity and energy) and services (transmission services and associated ancillary services). All of the capacity and energy Southwestern markets and delivers are scheduled by its power customers. Schedules are received into Southwestern's Springfield Operations office and resources are arranged to meet such schedules.

Since all transmission lines are interconnected to some point, each entity must account for all the capacity and energy generated and delivered through its system. Southwestern's monthly invoices capture the amount of Federal energy scheduled by its customers and the amount of Non-Federal capacity and energy flowing over Southwestern's transmission lines.

Southwestern's computer systems capture such activities which start the billing process. Billing information is the starting point of multiple Southwestern functions. Billing information is used by Southwestern's financial accounting department, rates and repayment, resource management, and operations and scheduling. Information from the billing system is also reported to various Governmental entities.

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.

Arrange alphabetically by customer for each fiscal year.

a. Integrated System Log Sheet (P001/Midnight Reports) (6701)

Material relating to logs showing daily, monthly and year to date totals as well as On peak and Off-peak totals; generation to projects; firm system loads; non-firm system loads; customer loads; transactions consisting of actual and scheduled interchange; and inadvertent interchange.

Data is used in the daily and monthly pre-billing checkout process then transferred to the power billing system for invoicing purposes, as well as for preparation of yearly reports such as FERC 714 and EIA 411.

Arrange alphabetically by customer for each fiscal year (daily)

TEMPORARY. Cut off at close of calendar year. Transfer to Federal Records Center 10 years after cut off. Destroy 40 years after cut off.

b. Meter Reading Load Profiles.

Meter readings are used to record generation of power from projects and allocation of power to customers. Records verify that operations were in the limitations of the contract. Needed as support and backup for related contract. Billing is based on these records. Arrange alphabetically by customer for each fiscal year (monthly)

TEMPORARY. Cut off at close of calendar year. Transfer to FRC 3 years after cut off. Destroy 10 years after cut off.

c. Coordinated Bulk Power Supply Program Report (Energy Information Administration 411) and Public Utility Commission of Texas Annual Reports: (6703)

Material relating to resources and rates documentation and support for Southwestern's adherence to completing these reports. Form EIA-411 collects information about regional electricity supply and demand projections for a five-year advance period and information on the transmission system and supporting facilities. The data collected on this form are used by the U.S. Department of Energy to monitor the current status and trends of the electric power industry and to evaluate the future of the industry.

Each of the Regional Councils of the North American Electric Reliability Corporation (NERC) is asked to submit Form EIA-411 data compiled from data furnished by utilities and other electricity suppliers within their Council areas to NERC. NERC then compiles and coordinates this data and provides them to the Energy Information Administration.

Arrange by calendar year. Based on Federal Energy Administration Act (Public Law 93-275) and the DOE Organization Act (Public Law 95-91)

TEMPORARY. Cut off at the end of the calendar year. Destroy 6 years after cut off.

Item 67: Annual Electric Control and Planning Area Report (6740) (FERC 714):

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 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.

TEMPORARY. Cut off at the end of the calendar year. Destroy 6 years after cut off.

Item 68: Competing Uses (6801)

Miscellaneous, non-project related, material relating to the competing uses of the reservoirs or projects which are considered “multi-purpose” meaning they have more than one authorized use such as flood control, production of electricity, recreation, navigation, fish and wildlife, water supply, etc. A different combination of uses is normal for each dam.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 69: Arkansas-White-Red Basins Interagency Coordinating Committee (AWRBIC) (6804)

Material relating to annual reports, minutes, and correspondence related the Arkansas-White-Red Basins Interagency Coordinating Committee. This is a subcommittee of the Water Resources Council.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 70: Hydroelectric Power Planning – General (6810)

Non-project specific planning studies, guidelines, and authorities.

PERMANENT. Cut off end of fiscal year in which study is completed and approved. Transfer to the Federal Records Center 5 years after cut off. Transfer to NARA 10 years after cut off.

Item 71: Hydroelectric Power Planning - Case Files (6811)

Correspondence and reports related to project-specific hydropower planning studies.

PERMANENT. Cut off end of fiscal year in which study is completed and approved. Transfer to the Federal Records Center 5 years after cut off. Transfer to NARA 10 years after cut off.

Item 72: Hydroelectric Power Operations (6820)

Miscellaneous documents including information on SPRA Hydro Operations Subcommittee, Memorandums of Understanding, Contract Resource Study, Drought Contingency Plans, and Outages.

PERMANENT. Cut off end of fiscal year in which study is completed and approved. Transfer to the Federal Records Center 5 years after cut off. Transfer to NARA 10 years after cut off.

Item 73: Operational Projects – Case Files (6821)

Project specific correspondence, reports, data, etc., related to projects operations.

PERMANENT. Cut off end of fiscal year in which study is completed and approved. Transfer to the Federal Records Center 5 years after cut off. Transfer to NARA 10 years after cut off.

Item 74: Monthly Reports (6822)

Percent of Median Inflows, Power Allocations, Operational Plan Meeting Agendas, Minutes, and Backup.

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 75: Weekly Reports (6833)

Power Allocations, Monday Morning Reports, Denison and Whitney Schedules

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 76: Daily Reports (6834)

4-Day Inflow Forecasts, Required Operations, Hourly Generation, SWD Afternoon Reports, Daily Operations Reports (by project)

TEMPORARY. Cut off at close of odd number Fiscal Year. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

INFORMATION TECHNOLOGY

Material relating to the development and implementation of policy, standards, and procedures for information management activities. Includes material relating to system software and hardware, computer operations, telecommunications, and office automation. In this Chapter, "IT" means information technology. Information may be recorded on various media including paper, film, tape, disk, diskette, or in the electronic document management system. All records in this chapter are scheduled in media neutral format.

Item 77: ~~IT Program Direction (3701)~~

~~Information that defines a strategic direction for implementation of business process automation objectives. Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and other issuance records.~~

~~**TEMPORARY.** Cut off when superseded by a new iteration of strategic or mission. Destroy/delete when 7 years old or when no longer needed, whichever is later. [GRS 27(1)]~~

Item 78: ~~Policies, Standards, Procedures, and Guidelines (3702)~~

~~Material related to IT policies, industry standards, procedures, and guidelines that serve to accomplish a consistent and uniform approach in establishing and managing a technology program throughout the business enterprise. Performance measurements and benchmarks material that pertains to how SWPA's IT Division meets regulations such as NIST guidance, CIS templates, Clinger-Cohen, FISMA, E-Gov, Privacy Act, etc.~~

~~**TEMPORARY.** Cut off when superseded by a new iteration of guidance or policy. Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer. [GRS 24(1)(a)]~~

Item 79: ~~Enterprise Architecture Records (3703)~~

~~Material relating to Southwestern's Enterprise Architecture plans. Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans.~~

~~TEMPORARY. Cut off when superseded by a new iteration of the enterprise architecture. Destroy/delete when 7 years old or when no longer needed, whichever is later. [GRS 27(2)]~~

Item 80: ~~Equipment Technology and Office Automation (3704)~~

~~Material relating to the selection, use, and management of IT hardware and office automation equipment, software systems, or system components. Includes material as requirements and specifications, costs and benefits of proposed systems, and justifications, such as documentation for the change management and material relating to equipment types, configurations, uses, and acquisition recommendations.~~

~~Arranged by system name/hardware maintenance/software maintenance.~~

a. ~~Not Implemented~~

~~TEMPORARY. Cut off end of fiscal year in which decision is made. Destroy/delete 1 year after final decision is made [GRS 24(11)]~~

b. ~~Implemented~~

~~TEMPORARY. Cut off end of fiscal year in which system is terminated. Destroy/delete 5 years after project is terminated. [GRS 24(11)]~~

c. ~~Installation and testing~~

~~TEMPORARY. Cut off end of fiscal year in which final decision on acceptance is made. Destroy/delete 3 years after final decision on acceptance is made. [GRS 24(11)]~~

Item 81: ~~IT Customer Service Files (3705)~~

~~Material relating to Helpdesk calls, customer service to computer related issues, etc.~~

~~TEMPORARY. Cut off end of fiscal year. Destroy/Delete 1 year after record is superseded or obsolete. [GRS 24(10)]~~

Item 82: ~~IT Capital Projects (3706)~~

~~Requests to seek capital funding for computer-related hardware or software applications. Case files by organization, equipment, or program.~~

~~TEMPORARY. Cut off end of fiscal year in which funding decision is made. Destroy/delete when 7 years old or when no longer needed, whichever is later. [GRS 27(3)]~~

Item 83: ~~Financing of IT Resources and Services (3707)~~

~~Material relating to financing IT systems, such as requirements specifications, statements of work, and other performance metrics required for justifiable approval. Case file by organization, equipment, or program.~~

~~TEMPORARY. Cut off end of fiscal year agreement is made or control measures and procedures are approve. Destroy/delete 3 years after agreement is superseded or terminated. [GRS 24(9)]~~

Item 84: ~~IT Asset and Configuration Management Files (3708)~~

~~Material of IT assets and configuration management including change controls and performance metrics, and routine maintenance. Arranged by system name.~~

~~a. Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.~~

~~TEMPORARY. Cut of at the end of the fiscal year. Destroy/delete 1 year after completion of the next inventory. [GRS 24(3)]~~

~~b. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:~~

- ~~1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.~~

~~TEMPORARY. Cut of at the end of the fiscal year. Destroy/delete 1 year after termination of system. [GRS 24(3)]~~

- ~~2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.~~

~~TEMPORARY. Cut off at the end of the fiscal year. Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner. [GRS 24(3)]~~

Item 85: ~~IT Operations Records (3709)~~

~~Material relating to routine operational procedures, problem reports, and decision making plans for systems. Arranged by system name.~~

- ~~a. Workload schedules, run reports, and schedules of maintenance and support activities.~~

~~TEMPORARY. Cut off at the end of the fiscal year. Destroy/delete when 1 year old. [GRS 24(8)]~~

- ~~b. Problem reports and related decision documents relating to the software infrastructure of the network or system.~~

~~TEMPORARY. Cut off at the end of fiscal year in which problem is resolved. Destroy/delete 1 year after problem is resolved.~~

- ~~e. Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring, and management reports.~~

~~TEMPORARY. Cut off at the end of the fiscal year in which report completed and approved. Destroy/delete when 3 years old. [GRS 24(3)]~~

Item 86: Year 2000 (Y2K) (3709.1)

Material relating to the Year 2000, common to all departments. Based on: DOE SF115 N1-434-00-02 last updated on 1/22/01. Y2K Policy and Planning Records. Records created or approved by the heads of program offices and staff offices, including assistant secretaries, site managers, directors of offices, and their assistants, that provide documentation on system selection criteria; technical analyses of software systems; prioritization report of Y2K systems; Y2K risk assessments; project plans, including system requirements. These records have site-wide or Department-wide applicability. Dates cover 1996 through project completion. Estimated volume is 10 cubic feet. Arrangement by site and system name.

- a. Record keeping copy transferred to the DOE/HQ Y2K Project Office.

TEMPORARY Cut off or retention period starts 1/1/2000. Destroy 10 years after cut off.

- b. Site Y2K Project Office copy maintained for administrative purposes.

TEMPORARY Cut off or retention period starts 1/1/2000. Destroy 10 years after cut off.

- c. All other policy and planning files.

TEMPORARY Cut off or retention period starts 1/1/2000. Destroy 10 years after cut off or when no longer needed; whichever is sooner.

Item 87: ~~System Backups Media (3710) [GRS 24 (4)(a)]~~

~~Back up media maintained for potential system restoration in the event of a system failure or other unintentional loss of data. Arranged by date.~~

~~a. **Incremental backup tapes.**~~

~~**TEMPORARY.** Delete/destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later.~~

~~b. **Full Backup Tapes**~~

~~**TEMPORARY.** Delete/destroy full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.~~

Item 88: ~~Files Related to Maintaining the Security of Systems and Data (3711) [GRS 24 (5)]~~

~~System Security Plans and Disaster Recovery Plans and documents identifying IT risks and analyzing their impact, certification and accreditation, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data. Arranged by system name. Cut off after system is superseded or obsolete.~~

~~a. **System Security Plans and Disaster Recovery Plans.**~~

~~**TEMPORARY.** Cut off after system is superseded or obsolete Destroy/delete 1 year after system is superseded.~~

~~b. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data.~~

~~**TEMPORARY.** Cut off after system is superseded or obsolete Destroy/delete 1 year after system is superseded.~~

Item 89: ~~Computer Security Incident Handling, Reporting and Follow-up Records. [GRS 24 (7)]~~

~~Material related to cyber security incidents, points of contacts, communication records. Arranged by system name.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which all follow up actions have been completed. Destroy/delete 3 years after cut off.~~

Item 90: ~~Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records. [GRS 20(1)]~~

~~User Access Request Forms may contain Rules of Behavior (may include laptop and PKI standards) Arranged by employee's office location and alphabetized by last name of employee.~~

- ~~a. Electronic files or records created solely to test system performance, as well as hard copy printouts and related documentation for the electronic files/records.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year. Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.~~

- ~~b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records.~~

~~**TEMPORARY.** Delete after information has been transferred to the master file and verified.~~

- ~~e. Electronic files and hard copy printouts created to monitor system usage, including, but not limited to, log in files, password files, audit trail files, system usage files, and cost back files used to assess charges for system use.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year. Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.~~

Item 91: ~~Records Management (3714) [GRS 16(2)]~~

~~Material relating to creation, maintenance, use, and disposition of records. Includes inventory reports, records schedules, documents supporting transfers and requests for use of records materials. Arranged by functional area and type of record (active/inactive).~~

- ~~a. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Agreement to Transfer Records to National Archives of the United States; and related documentation.~~

- ~~1) SF 115s that have been approved by NARA.~~

~~**TEMPORARY.** Cut off when superseded by a new iteration of guidance or policy. Destroy 2 years after cut off.~~

~~2) Other records.~~

~~**TEMPORARY.** Cut off when superseded by a new iteration of guidance or policy. Destroy 6 years after the related records are destroyed or after the related records are transferred to NARA of the United States, whichever is applicable.~~

~~b. Routine correspondence and memoranda.~~

~~**TEMPORARY.** Cut off when superseded by a new iteration of guidance or policy. Destroy 2 years after cut off.~~

~~**Item 92: Vital Records Program [GRS 16(7)].**~~

~~Material relating to those records essential to continue an organization's function during and after an emergency and records essential to protect the rights and interests of individuals and the government. Arranged by functional area and type of record (active/inactive). Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule.~~

~~**TEMPORARY.** Cut off when superseded by a new iteration of guidance or policy. Destroy 6 years after cut off.~~

FINANCIAL MANAGEMENT

Material relating to the accounting and control of assets, capital acquisition, investment, alternative financing and management of these subjects, including audits and reviews. Records will include financial information and financial services such as payroll project costing, collections, disbursements, and receivables. Information may be recorded on various media including paper, film, tape, disk, diskette, or in the electronic document management system. All records in this chapter are scheduled in media neutral format.

~~**Item 93: Oracle Development, Implementation, and Upgrade (2110)**~~

~~Material relating to development, implementation, and upgrade of SWPA's Financial System. Arranged by Oracle version. Includes:~~

- ~~● General Ledger~~
- ~~● Projects~~
- ~~● Assets~~
- ~~● Purchasing~~

- Inventory
- Accounts Payable
- Accounts Receivable

~~The bulleted items are modules of the Oracle Financial application—each module will contain material relating to its development and implementation with direct regard to how each module was upgraded. Maintained for future upgrade reference material. GRS 24(11)(e)~~

~~TEMPORARY. Cut off when system is superseded or obsolete. Destroy/delete 3 years after final decision on acceptance is made.~~

~~Item 94: Oracle Technical Assistance Requests (TARS) (2111)~~

~~Material relating to Technical Assistance Requests. Arranged by Oracle version.~~

- General Ledger
- Projects
- Assets
- Purchasing
- Inventory
- Accounts Payable
- Accounts Receivable

~~The bulleted items are modules of the Oracle Financial application—each module will contain material relating to its development and implementation with direct regard to how each module was upgraded. Maintained for future upgrade reference material. GRS 24(11)(e)~~

~~TEMPORARY. Cut off when system is superseded or obsolete. Destroy/delete 3 years after final decision on acceptance is made.~~

~~Item 95: Oracle Change Control (2112)~~

~~Material relating to requests for Oracle changes, new chart field values, system development, and system enhancements. Arranged by Oracle version. [GRS 24(3)(b)(1) and (2)]~~

- General Ledger
- Projects
- Assets
- Purchasing
- Inventory
- Accounts Payable
- Accounts Receivable

- a. ~~Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and~~

~~planning, follow up, and impact assessment of operational networks and systems. Includes, but is not limited to: Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.~~

~~— TEMPORARY. Cut off when system terminated or superseded. Destroy/delete 1 year after termination of system.~~

~~b. Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance actions, including requests for service, work orders, service histories, and related records.~~

~~— TEMPORARY. Cut off when system terminated or superseded. Destroy/delete when 3 years old after termination of system.~~

~~[Note: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the item 94(a)]~~

Item 96: Oracle Test Scripts (2113)

~~Material relating to test scripts for the development, implementation, and upgrade of SWPA's Financial System. Arranged by Oracle version. Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results. [GRS 24(11)(e)]~~

- ~~● General Ledger~~
- ~~● Projects~~
- ~~● Assets~~
- ~~● Purchasing~~
- ~~● Inventory~~
- ~~● Accounts Payable~~
- ~~● Accounts Receivable~~

~~TEMPORARY. Cut off when system is superseded or obsolete. Destroy/delete 3 years after final decision on acceptance is made.~~

Item 97: ~~Activity Based Costing (2130) [GRS 8 (6)].~~

~~Material relating to Activity Based Costing (ABC) codes and definitions. Information is referenced on the Intranet and Finance maintains an ABC notebook.~~

~~a. **Cost Accounting Reports.** Copies in units receiving reports.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which report received. Destroy when 3 years old.~~

~~b. Copies in reporting units and related work papers.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which report created and approved. Destroy when 3 years old.~~

Item 98: Financial Management Reports (Internal Reports) (2180)

Material relating to Financial Management's Internal Reports. Including AIMS Goals, Travel Cost containment SCAN and Cost per KW/H SCAN. Arranged by report name and fiscal year.

TEMPORARY. Cut off at the end of the fiscal year in which report approved. Retain onsite for 10 years after cut off then transfer to the Federal Records Center. Destroy 30 years after cut off.

Item 99: Federal Agencies Financials Reports (External Reports) (2190)

Material relating to Financial Management's External Reports. Reports are filed by report name and fiscal year. Including but not limited to:

- Statement of Transactions (SF-224)
- Report on Public Receivables (SF-2209)
- Statement of Budgetary Resources (SF-133) (FACTS II)
- Appropriation Certification (SF-2108)
- FACTS I -Statement of Financing, Statement of Net Cost, Statement of Net Position, Custodial Statement, and Balance Sheet
- SWPA'S Financial Statements (Balance Sheet, Income Statement, Statement of Cash Flow, Trial Balance)
- EIA -412 Energy Information Agency
- Report on Estimated Foreign Currency Collections and Expenditures
- Report on Waivers of Erroneous Payments of Pay Allowances
- Report on Federal Aid to State & Local Government
- Report on Unfunded Foreign Currency Reservation

PERMANENT. Cut off at the end of the fiscal year in which report is received and approved. If records are paper or other hardcopy media, transfer to the Federal Records Center 15 years after cut off, and transfer to NARA 30 years after cut off. ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records to NARA 30 years after cut off.

NARA revoked pre-accession policy 4/19/2022

Item 100: Accounts Receivable (Customer Invoices) (2201)

Material relating to customer invoices. Filed by invoice type and fiscal year.

- Customer Invoices
- Net Billed
- Non-Federal
- Federal Reimbursable
- NETL
- Power Invoice

TEMPORARY. Cut off at the end of the fiscal year in which invoice is received.
Destroy 25 years after cut off

Item 101: Credit Management (2202)

Material relating to SWPA's debt management and collection activities. Filed by debtor. Includes:

- Collection documents: Treasury Cross Servicing - Fed Debt Documentation
 - File for general Fed Debt Documentation.
 - File for Fed Debt setups and user responsibilities.
- Other related documents: Debtors referred to Fed Debt & Financial Activity Report

TEMPORARY. Cut off at the end of the fiscal year in which debt is closed/received.
Destroy 10 years after cut off.

Item 102: Alternative Financing (2203)

Material related to the funding mechanism that authorizes Southwestern to use power receipts and/or bill crediting to fund a transmission or generation related program cost.

TEMPORARY. Cut off when funding mechanism authorization changes. Store onsite for 10 years after cut off then transfer to the Federal Records Center. Destroy 50 years after cut off.

Item 103: General Ledgers (2204)

Material related to the reconciliation and validation of SWPA's general ledger. Filed by activity (i.e. separate file # per activity) and by fiscal year. Includes:

- Standard General Ledger (SGL) Reconciliations
 - Assets SGL Series 100000
 - Liabilities & Equity SGL Series 200000 & 3000000
 - Revenues SGL Series 500000
 - Expenses SGL Series 600000
- Payroll Reconciliation

- **Fiscal Year End SGL Roll Forward Documentation**

TEMPORARY. Cut off at the end of the fiscal year in which the ledger is closed. Destroy 50 years after cut off.

Item 104: Journal Vouchers (2205)

Individual journal vouchers and supporting documentation for financial transactions and adjustments recorded in general ledger. Journal vouchers are arranged by month and filed by fiscal year.

TEMPORARY. Cut off at the end of the fiscal year in which voucher is paid. Transfer to the Federal Records Center 10 years after cut off. Destroy 25 years after cut off.

Item 105: Banking & Purchased Power Deferral Account Activity (2206)

Material relating to banking (i.e. banking of power) and purchase power deferral account activity. Banking & Purchase Power Deferral activity worksheets and supporting documentation are maintained by month and filed by fiscal year.

TEMPORARY. Cut off at the end of the fiscal year. Transfer to the Federal Records Center 10 years after cut off. Destroy 25 years after cut off.

Item 106: Accruals (2207)

Material relating to month end and year end accruals recorded in general ledger. Accrual documents are arranged by month and filed by fiscal year.

TEMPORARY. Cut off at the end of the fiscal year. Transfer to the Federal Records Center 10 years after cut off. Destroy 25 years after cut off.

~~**Item 107: Time & Cost (Payroll Reports) (2208)**~~

~~Material relating to the payroll program and payroll reports. Payroll reports are arranged by pay period and filed by fiscal year.~~

~~**TEMPORARY.** Destroy when related actions are completed or when no longer needed. [GRS 2, item 22]~~

Item 108: Cost Journals (Pre-approved Batches) (2209)

Individual cost journals (PABs) and supporting documentation for financial transactions and adjustments recorded in projects and imported and recorded in general ledger. Arranged by month / fiscal year.

TEMPORARY. Cut off at the end of the fiscal. Transfer to the Federal Records Center 10 years after cut off. Destroy 25 years after cut off.

Item 109: Plant Accounting (2210)

Material relating to matters on asset accounting, and financial details supporting the plant accounting activity. Included are data on capital investment, physical plant, and costs of specific locations within the transmission system. Filed by activity (i.e. separate file # per activity) and by fiscal year.

- Asset Transfers (In/Out)
- Construction Work In Progress
- Asset Roll Forward
- Plant, Property, and Equipment Schedule
- Interest During Construction
- Summary of Investment
- FERC Activity

TEMPORARY. Cut off at the end of the fiscal year in which asset is replaced or investment devised. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

Item 110: Work Orders (Projects) Closed (2211)

Details of costs collected in work orders (projects) and supplemental / supporting documentation. Filed by project type, individual project (i.e. separate file # per project type) and by fiscal year.

- A = Construction
- L = Land
- P = Planning
- M = Maintenance
- R = Retirements
- BN = Non-Federal Reimbursable
- BF = Federal Reimbursable

TEMPORARY. Cut off at the end of the fiscal year in which work order is completed. Destroy 25 years after cut off.

Item 111: Cost Analyses (2212)

Material relating to the allocation and distribution of Southwestern's overheads and cost pools and to the rates associated with the overheads and cost pools. File documents by fiscal year.

Filed by project type, individual project (i.e. separate file # per project type) and by fiscal year.

TEMPORARY. Cut off at the end of the fiscal year in which cost analyses is completed and approved. Destroy 25 years after cut off.

Item 112: Cash Management Reports (2213)

Material related to Cash Managements internal & external reports. Filed by activity (i.e. separate file # per activity) and by fiscal year.

- Late Interest Report
- Metrics Report
- First Class Travel Report
- Permanent Change In Station (PCS) Report
- Non-Cash Fringe Benefits Report
- Transportation Schedules Report

TEMPORARY. Cut off at the end of the fiscal year in which reports are completed. Transfer to Federal Records Center 10 years after cut off. Destroy 25 years after cut off.

Item 113: Tax Reporting (2214)

Material related to Tax reporting. Includes:

- a. 1099: Material relating to SWPA's function to providing IRS Form 1099 to SWPA's vendors pursuant to IRS Code 6041, and subsequent electronic filing with the IRS.

TEMPORARY. Cut off at the end of the fiscal year form completed. Destroy 6 years and 3 months after cut off.

- b. Permanent Change in Station (PCS) Tax: Material relating to PCS tax for employee relocations.

TEMPORARY. Cut off at the end of the fiscal year form completed. Destroy 6 years and 3 months after cut off.

- c. IRS Tax Exemption Number: Material relating to SWPA's tax identification number.

TEMPORARY. Cut off when number is changed or tax exemption expires. Destroy 6 years and 3 months after cut off.

- d. Tax Exemption Log: Material relating to SWPA's tax exemption notifications issued to vendors.

TEMPORARY. Cut off at the end of the fiscal year form completed. Destroy 6 years and 3 months after cut off.

Item 114: Banking E-Systems (2215)

Material relating to SWPA's banking programs: File by activity (i.e. separate file # per activity) and by fiscal year.

- Automated Clearing Account (ACH)
- Electronic Check Processing (ECP)
- TGANet (**Treasury General Account Deposit Reporting Network**)
- Remittance Express (REX)
- Wire Transfers
- Lockboxes

TEMPORARY. Cut off at the end of the fiscal year in project is terminated. Destroy 5 years after cut off.

Item 115: Designations / Point of Contacts (2216)

Material relating to the establishment of responsibilities for automated financial processing systems. File by activity (i.e. separate file # per activity) and by fiscal year.

- Authorized Certifying Officials Signatures: Material relating to Southwestern's Authorized Certifying Officials Signatures for payment processing.
- Delegations of Authority: Material relating to Southwestern's delegations of authority for certifying payments, collections, travel, etc.
- Cash Link: Material related to the US Treasury - Collection System.
- Security Payment System: Material related to the US Treasury - Payment System.
- Electronic Check Processing (ECP): Material related to the US Treasury - Collection Mechanism.
- IPAC: Material related to the US Treasury - Intra-Governmental Payment and Collection System.
- Central Contractor Registration: Material related to the Department of Defense - Business Contractor System
- STARS (Standard Accounting and Reporting System): Material related to DOE's - Oracle Financial System
- Government Wide Accounting (GWA): Material related to the US Treasury - Government wide Accounting System.
- Fed Debt: Material related to the US Treasury - Debt Collection Program.

TEMPORARY. Cut off at the end of the fiscal year in which account is terminated. Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.

Item 116: Intra -Governmental Payment & Collection System (IPAC) - Transaction Backup (2217)

Material related to the US Treasury - Intra-Governmental Payment and Collection System i.e. Transaction backup. Files are arranged by month and filed by fiscal year.

TEMPORARY. Cut off at the end of the fiscal year. Destroy 7 years after cut off.

Item 117: ~~Travel (2218) [GRS 9 (1)]~~

~~Material relating to Southwestern's travel program. Includes:~~

~~a. **Relocation Vouchers:** Materials relating to service agreements, conversation records, disputed relocation voucher items, and correspondence (i.e. relocation items not file with payment vouchers). Arranged by employee name/number.~~

~~— **TEMPORARY.** Cut off at the end of the fiscal year in which all relocation activity is completed. Destroy 6 years after cut off.~~

~~b. **Travel Authorizations: Blanket Travel Authorizations** created outside of Gov Trip. Arranged by employee name/number, blanket authorization number and by fiscal year.~~

~~— **TEMPORARY.** Cut off at the end of the fiscal year when blank authorization is rescinded. Destroy 6 years after cut off.~~

~~e. **Travel Policies:** Travel policies established by DOE and SWPA. [Note: All regular travel authorizations and vouchers are stored within the Govtrip system.]~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which policy is superseded. Destroy 6 years after cut off.~~

~~d. **Commercial Freight and Passenger Transportation Files. [GRS 9 (1)]**~~

~~1) Original vouchers and support documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by item 1b of this schedule.~~

~~— **TEMPORARY.** Cut off at the end of the fiscal year in which travel completed. Destroy 6 years after cut off.~~

~~2) Records covering payment for commercial freight and passenger transportation charges for services for which 1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, 2) deduction or collection action has been taken, 3) the voucher contains inbound transit shipment(s), 4) parent voucher has print of paid supplemental bill associated, 5) the voucher has become involved in litigation, or 6) any other~~

~~condition that prevents the settling of the account, requiring the voucher to be retained beyond the 6 year retention period, as such as detection of overcharge.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which payment recovered. Destroy 10 years after cut off.~~

- ~~3) Issuing office copies of Government or commercial bills of lading, commercial passenger transportation vouchers (SF 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year. Destroy 6 years after cut off.~~

- ~~4) Obligation copy of commercial passenger transportation vouchers.~~

~~**TEMPORARY.** Destroy when funds are obligated.~~

- ~~5) Unused ticket redemption forms, such as SF 1170.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which transaction is completed. Destroy 3 years cut off.~~

Item 118: Foreign Travel (2218.F)

Material regarding foreign travel for SWPA Federal employees. General foreign travel information filed by fiscal year. **Based on DOE Administrative Records Schedules 9: Travel and Transportation Records Item 1.1:**

- a. **Foreign Travel Authorizations.** (N1-434-98-12, item 1.1). Forms, reports, briefing statements, correspondence, and other records created for travel to foreign countries for programmatic, national security, or personal reasons. Records related to travel to foreign countries for programmatic reasons.

TEMPORARY. Cut off at end of fiscal year in which travel is completed. Destroy 7 years after cut off.

- b. Records related to travel to foreign countries for personal reasons.

TEMPORARY. Cut off at end of fiscal year in which travel is completed. Destroy 7 years after cut off.

Item 119: ~~Travel Information System (Govtrip) (2219)~~

~~Material related to the implementation and maintenance of the current travel information system Govtrip, mandated by the E-Government Act of 2002.~~

~~a. Gov Trip: Materials relating to implementing and maintaining Gov Trip.~~

~~TEMPORARY. Destroy/delete 5 years after project is terminated. [GRS 24 (11)(b)]~~

~~b. Travel Manager Center: Agreements and statements of work made with SATO.~~

~~TEMPORARY. Destroy/delete 5 years after project is terminated. [GRS 24 (11)(b)]~~

Item 120: Credit Card Program (2220)

Material relating to the credit card program implementation and contract requirements and guidance. Including purchase cards, fleet cards, Agency travel cards, Central Billed Account (CBA) and Credit Card Program training materials. File by activity (i.e. separate file # per activity) and by fiscal year.

TEMPORARY. Cut off at the end of the fiscal year. Destroy 7 years after cut off.

Item 121: ~~Disbursements of Funds (2225)~~

~~Material relating to the authorization of expenditures. Records showing payment authorized by SWPA to be issued by the US Treasury. File by batch, vendor name & number, invoice number. Includes Disbursement Schedules (Files are currently being scanned) and Supplier Records (was previously named Vendor Invoices and there are multiple scanned subcategories that are currently setup.)~~

~~a. Original maintained by the accountable officer for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records, EXCLUDING accounts and supporting documents pertaining to American Indians. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operating the agency. All copies except the certified payment or collection copy; usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule. [GRS 6(1)]~~

~~TEMPORARY. Cut off at the end of the fiscal year in which disbursement is made. Destroy 7 years after cut off.~~

~~b. All other copies.~~

~~TEMPORARY. Cut off at the end of the fiscal year in which disbursement is made. Destroy 1 year after cut off.~~

~~Item 122: Accounts Receivable (Accounts Current) (2230) [GRS 6(1)]~~

~~Material relating to the collection of receipts, refunds, advances, debt owed to SWPA, and other funds deposited and reported to Treasury. Includes:~~

- ~~• Accounts Current: Files are currently being scanned.~~
- ~~• Summary of Collections (Supplemental Copy): Original document is currently being scanned with Accounts Current.~~
- ~~• Daily Abstract of Remittances (Supplemental Copy): Original document is currently being scanned with Accounts Current.~~

~~File by activity (i.e. separate file # per activity) and by fiscal year.~~

- ~~a. Original maintained by the accountable officer for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records, EXCLUDING accounts and supporting documents pertaining to American Indians. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operating the agency. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule. [GRS 6(1)]~~

~~TEMPORARY. Cut off at the end of the fiscal year in which disbursement is made. Destroy 7 years after cut off.~~

~~b. All other copies.~~

~~TEMPORARY. Cut off at the end of the fiscal year in which disbursement is made. Destroy 1 year after cut off.~~

Item 123: Federal Managers Financial Integrity Act Reports & Reviews (2310)-

Material related to the Federal Managers Financial Integrity Act Reports & Reviews for compliance on the financial management system.

- Assurance Memorandum
- Summary Financial Management System Review
- Summary Management Reviews

File by activity (i.e. separate file # per activity) and by fiscal year.

TEMPORARY. Cut of at the end of the fiscal year in which all actions related to the report or review are completed. Destroy 5 years after cut off.

Item 124: Internal Control Reviews (2320)

Material relating to establishing standards for performing assessments, implementing improvements, and providing internal and external reports related to internal control activities of Southwestern per OMB Circular No. A-123 Management Accountability and Control. File by fiscal year. Additional reviews are will be filed separately and by fiscal year.

TEMPORARY. Cut of at the end of the fiscal year in which all actions related to the report or review are completed. Destroy 5 years after cut off.

Item 125: Inspector General (IG) Investigations (Privacy Act Case Files) (2325)

Material related to Inspector General Investigations. File by individual case and by fiscal year.

TEMPORARY. Cut of at the end of the fiscal year in which all actions related to the report or review are completed. Destroy 5 years after cut off.

Item 126: Independent / CPA Audits (2330)

Material related to the independent audit of SWPA's financial activity.

- Task Orders
- Findings and Recommendations
- Work Papers
- Correspondence
- Annual Reports
- Management Representation Letter
- Subsequent Events Letter
- Legal Representation Letter

Filed by activity (i.e. separate file # per activity) and by fiscal year.

TEMPORARY. Cut of at the end of the fiscal year in which all actions related to the report or review are completed. Destroy 5 years after cut off.

Item 127: Corps of Engineers (CORPS) Activities (2332)

Material relating to the COE Financial Statements (i.e. Power Reports & Work Papers) and correspondence records between SWPA, COE, and the independent auditors.

- COE Financial Statements
- COE Correspondence

File by activity (i.e. separate file # per activity) and by fiscal year.

TEMPORARY. Cut off at the end of the fiscal year in which all actions related to the report or review are completed. Destroy 5 years after cut off.

Item 128: General Accountability Office (GAO) Audits (2340)

Material related General Accounting Office Audits. File by activity (i.e. separate file # per activity) and by fiscal year. Includes SWPA responses to GAO. **Based on DOE Administrative Records Schedules 22: Audit/Investigative Records Item 6a & c. : Audit Records.** (N1-434-00-1)

TEMPORARY. Cut off at the end of the fiscal year in which all actions related to the report or review are completed. Destroy 5 years after cut off.

Item 129: Department Audit Reports Tracking System (DARTS) (2345)

Material related to Inspector General Audits. File by activity (i.e. separate file # per activity) and by fiscal year. **Based on DOE Administrative Records Schedules 22: Audit/Investigative Records Item 6a & c. : Audit Records.** (N1-434-00-1, Item 2) OIG files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees. These are files (including audit reports, most of which may be released to the public) develop in connection with activities that may attract Congressional or national media attention, result in substantive changes in Department policies or procedures, or be cited in semiannual reports to Congress.

- a. OIG files containing information which does not result in a formal audit, as well as information requiring no action by the OIG.

- 1) Official copy.

TEMPORARY. Cut off at the end of the fiscal year in which file is formally closed. Destroy 5 years after cut off.

- 2) All other copies.

TEMPORARY. Cut off at the end of the fiscal year in which file is formally closed. Destroy when no longer needed by not later than 5 years.

- b. Final audit reports

1) Official copy.

PERMANENT. Cut off at the end of the fiscal year during which file is formally closed. Maintain on site *do not transfer to an FRC*. If records are paper or other hardcopy media, transfer to NARA 30 years after cut off. ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records to NARA 30 years after cut off.

NARA revoked pre-accession policy on 4/19/2022

2) All other copies.

TEMPORARY. Cut off at the end of the fiscal year during which file is formally closed. Destroy when no longer needed.

BUDGET

Material relating to the planning, programming, performing, and budgeting of Southwestern Power Administration's yearly budget; analyses of funding and resources issues; administration and oversight of funding allocations and use of fiscal and human resources. Information may be recorded on various media including paper, film, tape, disk, diskette, or in the electronic document management system. All records in this chapter are scheduled in media neutral format.

Item 130: Budget Policies and Procedures (5101)

Material relating to the policies and procedures for development of SWPA's planning year, budget year, and out year budgets. Material consists of SWPA's budget planning, formulation, execution, and post-execution analysis period. May include, but not limited to the following:

- DOE Strategic Plan/"Grid 2030"
- SWPA Strategic Plan/Program Plan/Five-year Plan
- SWPA Reorganizations
- Offsetting Collections PPW Issue
- Offsetting Collections, O&M & Program Direction
- Issue Papers
- I-Manage

a. Budget Policy Files.

Correspondence or subject files in formally organized budget office documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs. Records are

arranged by Fiscal Year and by ICS code. Annual accumulation is less than 1 inch per year.

PERMANENT. Transfer to National Archives when 25 years old. (Based on DOE Administrative Records Schedule 5: Budget Preparation, Presentation, and Apportionment Records under SF 115 N1-434-98-8 last updated on 11/16/00.)

~~b. Routine Correspondence—GRS 5-1~~

~~—Routine correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule, EXCLUDING files relating to agency policy and procedure maintained in formally organized budget offices.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which budget approved. Destroy when 2 years old.~~

Item 131: Budget Activity Case Files (5102)

Material relating to the preparation, analysis, presentation, and approval of SWPA's Budget, Budget Review Meetings, and documentation of budget decisions.

Case Files by organization codes:

- 1000 Office/PMLO: Office of the Administrator/Power Marketing Liaison Office
- 3000 Office: Office of Corporate Operations
- 6000 Office: Office of Corporate Services
- 8000 Office: Office of Corporate Facilities

Records are arranged by Fiscal Year and by ICS code. Annual accumulation is less than 1 inch per year. Based on DOE Administrative Records Schedule 5: Budget Preparation, Presentation, and Apportionment Records under SF 115 N1-434-98-8 last updated on 11/16/00. 4.1 Budget Office Estimates, Justifications, and Correspondence (or Subject Files). Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs.

a. Records documenting substantive programs.

PERMANENT. Cut off at end of fiscal year in which budget approved. Transfer to NARA 10 years after cut off.

b. Records that document non-substantive programs.

TEMPORARY. Cut off at the end of the fiscal year in which budget is approved. Destroy 6 years after cut off.

Item 132: Budget Performance (5103)

Material related to Southwestern's Budget performance. Records are arranged by fiscal year and ICS code. Annual accumulation is less than 1 inch per year. Based on DOE Administrative Records Schedule 5: Budget Preparation, Presentation, and Apportionment Records under SF 115 N1-434-98-8 last updated on 11/16/00. 4.1 Budget Office Estimates, Justifications, and Correspondence (or Subject Files) Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs. Includes but is not limited to the following:

- Performance Assessment Rating Tool
- Annual Performance Plan
- Performance and Accountability Report
- AIM Performance Measures
- CPS 1 & 2 Data
- Joule Performance Data

a. Records documenting substantive programs.

PERMANENT. Cut off at end of fiscal year in which budget is approved. Transfer to NARA 10 years after cut off.

b. Records that document non-substantive programs.

TEMPORARY. Cut off at the end of this fiscal year in which budget is approved. Destroy 6 years after cut off.

Item 133: Budget Briefings (5104)

Includes all materials related to Congressional, DOE, OMB or Customer briefings. Based on DOE Administrative Records Schedule 5: Budget Preparation, Presentation, and Apportionment Records under SF 115 N1-434-98-8 last updated on 11/16/00. 4.1 Budget Office Estimates, Justifications, and Correspondence (or Subject Files) Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs.

a. Records documenting substantive programs.

PERMANENT. Cut off at end of fiscal year in which budget is approved. Transfer to NARA 10 years after cut off.

b. Records that document non-substantive programs.

TEMPORARY. Cut off at the end of this fiscal year in which budget is approved. Destroy 6 years after cut off.

Item 134: Administration Initiatives (5105)

Includes records documenting SWPA Administration initiatives in response to the following:

- President's Management Agenda
- Corps O&M Funding
- National Energy Policy (transfer to current fiscal year)
- Energy Bill
- Secretary's Planning Guidance
- Market-based Rates Issue

Based on DOE Administrative Records Schedule 5: Budget Preparation, Presentation, and Apportionment Records under SF 115 N1-434-98-8 last updated on 11/16/00. 4.1 Budget Office Estimates, Justifications, and Correspondence (or Subject Files) Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs.

a. Records documenting substantive programs.

PERMANENT. Cut off at end of fiscal year in which budget is approved. Transfer to NARA 10 years after cut off.

b. Records that document non-substantive programs.

TEMPORARY. Cut off at the end of this fiscal year in which budget is approved. Destroy 6 years after cut off.

Item 135: Alternative Financing Proposals (5106)

Material related to alternative financing that Southwestern receives from its customers in order to supplement appropriations. Based on DOE Administrative Records Schedule 5: Budget Preparation, Presentation, and Apportionment Records under SF 115 N1-434-98-8 last updated on 11/16/00. 4.1 Budget Office Estimates, Justifications, and Correspondence (or Subject Files) Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs.

a. Records documenting substantive programs.

PERMANENT. Cut off at end of fiscal year in which budget is approved. Transfer to NARA 10 years after cut off.

b. Records that document non-substantive programs.

TEMPORARY. Cut off at the end of this fiscal year in which budget is approved. Destroy 6 years after cut off.

Item 136: Historical Budget Profile (5107)

The budget history includes proposed appropriation language and an executive budget summary. The budget summary is broken down into smaller sections, which go into more detail and include SWPA's mission statement, SWPA's goals, and the objectives and strategies planned to achieve the goals. Also included are any major or significant accomplishments, relevant issues concerning/involving SWPA, alternative financing, obligation estimates, and performance measures.

The sections that go into more detail include Program Mission, Program Funding Profile, Program Funding by Site, Program Direction, Purchase Power and Wheeling, Revenues and Receipts, System Statistics, and Power Marketed, Wheeled or Exchanged by Project.

The budget history is considered a permanent record since it is considered to have historical value. The budget history provides a quick yearly overview of SWPA. The official copy of the budget history is paper. Records are arranged by budget year. Annual accumulation is less than six (6) inches.

PERMANENT. Cut off at the end of the fiscal year in which budget is approved. Transfer to NARA 5 years after cut off. (Based on SEPA's SF115 N1-388-00-01 approved June 25, 2002)

Item 137: Special Studies (case file by study title) (5110)

Case files covering special studies such as:

- PMA Sales/Restructuring
- Shut Down
- Decision Templates

TEMPORARY. Cut off every 2 years at the end of the fiscal. Transfer to Federal Records Center 3 years after cut off. Destroy 10 years after cut off. (Based on SWPA SF 115 NC1-387-76-1 BUD-B, pg. 89.)

Item 138: National Energy Technology Laboratory (NETL) (5120)

Material related to all funding agreements between Southwestern and NETL. These include:

- NETL/SWPA Agreements
- Lease Funding
- Reimbursable Authority Usage

TEMPORARY. Cut off every 2 years at the end of the fiscal. Transfer to Federal Records Center 3 years after cut off. Destroy 10 years after cut off.

Item 139: Program Analysis (5140)

Material used to formulate payroll analysis for agency's payroll budget. Includes:

- Use ICS Code 5168: Payroll Analysis (worker's compensation, retention pay)
- Trend Analysis (Travel, Award, Overtime, & Training)

TEMPORARY. Cut off every 2 years at the end of the fiscal. Transfer to Federal Records Center 3 years after cut off. Destroy 10 years after cut off. (Based on SWPA SF 115 NC1-387-76-1 BUD-B, pg. 89.)

Item 140: Budget Submissions (5150)

~~Documentation for annual budget submissions. [GRS 5 (1)].~~

- ~~• Budget Internal Planning~~
- ~~• PMA Conference Call~~
- ~~• Staffing~~
- ~~• Field Budget Planning meetings~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which budget is approved. Destroy 2 years after cut off.~~

Item 141: Internal Budget Review (5152)

~~Records documenting the internal budget review process including:~~

- ~~• Budget Call~~
- ~~• Initial Input~~
- ~~• Office Review~~
- ~~• Budget Working Group (BWG) Review~~
- ~~• Senior Staff Review~~
- ~~• Support Service Budget~~
- ~~• Final Database Numbers~~
- ~~• Working Papers~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which budget is approved. Destroy 2 years after cut off. [GRS 5 item 1]~~

Item 142: Corporate Review Budget (5153)

Material related to Southwestern's Corporate Review Budget Documents that support its budget request. The documents must be in a specified format so that budget information can be rolled up into a coherent package that meets DOE's requirements. Each major program office contributes to the DOE Corporate Review Budget Documents. Each federal agency reports its IT Investment Portfolio annually to the Office of Management and Budget (OMB) via an Exhibit 53. The Exhibit 53 provides budget estimates for all IT investments by HHS and identifies those that are major investments.

- Guidance: guidance on the Corporate Review Budget that is formulated by DOE.
- Program Funding by Contractor and Location (PALS)

- Historically Black Colleges and Universities
- DOE Control Table/Outyear Targets
- Priority Ranking
- Supplemental Program Direction Information
- Exhibit 53 – IT Investment Portfolio
- Crosscuts
- Safeguards & Security
- Reimbursable Work
- Working Papers (not to be scanned)
- Initial Submission
- PMLO, OMB, & DOE Mark-ups
- Final Submission
- DOE Q&As
- Program Budget Decision (PBD)
- Appeals

Based on DOE Administrative Records Schedule 5: Budget Preparation, Presentation, and Apportionment Records under SF 115 N1-434-98-8 last updated on 11/16/00. 4.1 Budget Office Estimates, Justifications, and Correspondence (or Subject Files) Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs.

a. Records documenting substantive programs.

PERMANENT. Cut off at end of fiscal year in which budget is approved. If records are paper or other hardcopy media, transfer to NARA 10 years after cut off. ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records to NARA 10 years after cut off.

NARA revoked pre-accession policy on 4/19/2022

b. Records that document non-substantive programs.

TEMPORARY. Cut off at the end of this fiscal year in which budget is approved. Destroy 6 years after cut off.

Item 143: OMB Budget and Reports (5154)

Material related to reports submitted to OMB supporting Southwestern's budget.

- Guidance
- Program Funding by Contractor and Location (PALS)
- Historically Black Colleges and Universities
- Exhibit 53 – IT Investment Portfolio
- Crosscuts
- Safeguards & Security
- Working Papers (not to be scanned)

- Initial Submission
- PMLO, OMB, & DOE Mark-ups
- Final Submission
- OMB Q&As
- OMB Passback
- Appeals
- Other PMA Budgets

Based on DOE Administrative Records Schedule 5: Budget Preparation, Presentation, and Apportionment Records under SF 115 N1-434-98-8 last updated on 11/16/00. 4.1 Budget Office Estimates, Justifications, and Correspondence (or Subject Files) Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs.

a. Records documenting substantive programs.

PERMANENT. Cut off at end of fiscal year in which budget is approved. If records are paper or other hardcopy media, transfer to NARA 10 years after cut off. ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records to NARA 10 years after cut off.

NARA revoked pre-accession policy on 4/19/2022

b. Records that document non-substantive programs.

TEMPORARY. Cut off at the end of this fiscal year in which budget is approved. Destroy 6 years after cut off.

Item 144: Congressional Budget Request and Reports (5155)

Material related to reports submitted per Congressional requests supporting Southwestern's budget.

- Guidance
- Program Funding by Contractor and Location (PALS)
- Appropriation Authorization
- Exhibit 53 – IT Investment Portfolio
- Crosscuts
- Safeguards & Security
- Reimbursable Work
- Galleys/Program & Finance Stmt & Narrative
- Budget Overview/Highlights
- Working Papers (not to be scanned)
- Initial Submission
- PMLO, OMB, & DOE Mark-ups
- Final Submission (also see President's Budget Book)

- Q&As
- Budget Rollout
- House Mark
- Senate Mark
- Other Hearings
- Conference Report

Based on DOE Administrative Records Schedule 5: Budget Preparation, Presentation, and Apportionment Records under SF 115 N1-434-98-8 last updated on 11/16/00. 4.1 Budget Office Estimates, Justifications, and Correspondence (or Subject Files) Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs.

a. Records documenting substantive programs.

PERMANENT. Cut off at end of fiscal year in which budget is approved. If records are paper or other hardcopy media, transfer to NARA 10 years after cut off. ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records to NARA 10 years after cut off.

NARA revoked pre-accession policy on 4/19/2022

b. Records that document non-substantive programs.

TEMPORARY. Cut off at the end of this fiscal year in which budget is approved. Destroy 6 years after cut off.

Item 145: Budget Briefing Book (5156)

Includes:

- Testimony/Biography: The Administrator's budget hearing testimony and biography are filed here.
- Summary Table/Significant Program Changes: This is a summary table and significant changes on the fiscal year budget.
- Q&As: These are Q&As that are prepared internally for the Administrator's budget hearing.
- Authorities: These are pieces of legislation that pertain to Southwestern, which helps prepare the Administrator for the budget hearing.
- Working Papers: These are working papers that are used to create the budget briefing book.

Based on DOE Administrative Records Schedule 5: Budget Preparation, Presentation, and Apportionment Records under SF 115 N1-434-98-8 last updated on 11/16/00. 4.1 Budget Office Estimates, Justifications, and Correspondence (or Subject Files) Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs.

a. Records documenting substantive programs.

PERMANENT. Cut off at end of fiscal year in which budget is approved. If records are paper or other hardcopy media, transfer to NARA 10 years after cut off. ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records to NARA 10 years after cut off.

NARA revoked pre-accession policy on 4/19/2022

b. Records that document non-substantive programs.

TEMPORARY. Cut off at the end of this fiscal year in which budget is approved. Destroy 6 years after cut off.

Item 146: Budget Execution (5160)

Material relating to Southwestern's execution of its annual budget. Based on DOE Administrative Records Schedule 5: Budget Preparation, Presentation, and Apportionment Records under SF 115 N1-434-98-8 last updated on 11/16/00. 4.1 Budget Office Estimates, Justifications, and Correspondence (or Subject Files), Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs.

a. Records documenting substantive programs.

PERMANENT. Cut off at end of fiscal year in which budget is approved. If records are paper or other hardcopy media, transfer to NARA 10 years after cut off. ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records to NARA 10 years after cut off.

NARA revoked pre-accession policy on 4/19/2022

b. Records that document non-substantive programs.

TEMPORARY. Cut off at the end of this fiscal year in which budget is approved. Destroy 6 years after cut off.

Item 147: ~~Funds Availability (5161) [GRS 5(3)(a)]~~

~~Material relating to available funding, appropriation funding, other funding including:~~

- ~~• Continuing Resolution: documents that are related to a continuing resolution if one is passed in such fiscal year.~~
- ~~• Continuing Fund: any information that is related to the continuing fund activity in the respective fiscal year.~~
- ~~• Appropriations Bill: this is the appropriations bill that is passed into law for the respective fiscal year.~~
- ~~• Final Public Law: this is the final public law that is passed for the respective fiscal year.~~

~~TEMPORARY. Cut off at the end of the fiscal year. Destroy 5 years after cut off.~~

Item 148: Oracle Budget Activity (5162)

- Oracle Budget Journal Log: Southwestern keeps a log of its budget journals in order to research Oracle activity.
- Other Oracle Budget Activity: any other budget-related oracle activity.
- Oracle Status of Funds (First and Last): the first and last status of funds are located in this file in order to reconcile budget accounts.

Based on DOE Administrative Records Schedule 5b: Budget Preparation, Presentation, and Apportionment Records under SF 115 N1-434-98-8 last updated on 11/16/00. 4.1 Budget Office Estimates, Justifications, and Correspondence (or Subject Files), Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs.

TEMPORARY. Cut off at the end of the fiscal year in which budget is approved. Destroy when 6 years old.

Item 149: DOE Allotments (5163)

Material related to Southwestern's authorization granted by either the agency head, or another authorized employee, to subordinate agency employees to incur obligations within a specified amount pursuant to an OMB apportionment or reapportionment action, in accordance with OMB Circular No. A-34, or other statutory authority making funds available for obligation.

- Warrant: this is the warrant Southwestern receives from the US Treasury informing how much is in the appropriations account.
- OMB Apportionment (SF 132): these are OMB Apportionments that Southwestern receives – tells us how much OMB has apportioned Southwestern.
- DOE Advice of Allotment: these are DOE advice of allotments that Southwestern receives – tells us how much DOE has allotted.
- DOE Approved Funding Program (AFP): these are DOE approved funding program that Southwestern receives – tells us how much DOE has approved.
- Rescissions: this is any information Southwestern receives on rescissions for the respective fiscal year.
- Reprogramming: this is any information Southwestern receives on reprogramming for the respective fiscal year.
- Base Table/Statistical Table: this is a table that DOE creates on Southwestern's subprograms.

Based on DOE Administrative Records Schedule 5: Budget Preparation, Presentation, and Apportionment Records under SF 115 N1-434-98-8 last updated on 11/16/00. 4.1 Budget Office Estimates, Justifications, and Correspondence (or Subject Files),

Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs.

a. Records documenting substantive programs.

PERMANENT. Cut off at end of fiscal year in which budget is approved. If records are paper or other hardcopy media, transfer to NARA 10 years after cut off. ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records to NARA 10 years after cut off.

NARA revoked pre-accession policy on 4/19/2022

b. Records that document non-substantive programs.

TEMPORARY. Cut off at the end of this fiscal year in which budget is approved. Destroy 6 years after cut off.

Item 150: Reception and Representation Fund (5165)

Material related to costs incurred for receptions and representation as approved by the Administrator. Based on DOE Administrative Records Schedule 5: Budget Preparation, Presentation, and Apportionment Records under SF 115 N1-434-98-8 last updated on 11/16/00. 4.1 Budget Office Estimates, Justifications, and Correspondence (or Subject Files), Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs.

TEMPORARY. Cut off at the end of this fiscal year in which budget is approved. Destroy 6 years after cut off.

Item 151: Reimbursable Authority (5166)

Material relating to resource requirements for and issues related to reimbursable power purchases and reimbursable services such as construction, operation, and maintenance of transmission facilities and related utility and general support for customers and other entities. Based on DOE Administrative Records Schedule 5: Budget Preparation, Presentation, and Apportionment Records under SF 115 N1-434-98-8 last updated on 11/16/00. 4.1 Budget Office Estimates, Justifications, and Correspondence (or Subject Files), Estimates, justifications and correspondence (or subject files) for those files that document budget policy and procedures, and policy decisions that affect expenditures for programs.

a. Records documenting substantive programs.

PERMANENT. Cut off at end of fiscal year in which budget is approved. If records are paper or other hardcopy media, transfer to NARA 10 years after cut off. ~~If records are electronic, transfer physical custody to NARA for pre-~~

~~accessioning five years after cut off. Transfer legal custody of electronic records to NARA 10 years after cut off.~~

NARA revoked pre-accession policy on 4/19/2022.

b. Records that document non-substantive programs.

TEMPORARY. Cut off at the end of this fiscal year in which budget is approved. Destroy 6 years after cut off.

~~Item 152: Prior Year Deobligations (Internal Reallocation) (5167)~~

- ~~• Prior Year De obligations~~
- ~~• Replacement Contracts Deob/Reob~~

~~Correspondence relating to use of prior year funding for current year actions. This is internal correspondence only. [GRS 5 (1)]:~~

~~**TEMPORARY.** Cut off at the end of the fiscal year. Destroy 2 years after cut off.~~

~~Item 153: End of Year (EOY) Activities (5169) [GRS 5(3)(a)]~~

~~Budget Reports Files: Periodic reports on the status of appropriation accounts and apportionment.~~

~~Includes~~

- ~~• Guidance Letter~~
- ~~• EOY Requirements~~
- ~~• EOY Obligations~~
- ~~• Accruals~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which budget is approved. Destroy 5 years after cut off.~~

~~Item 154: Budget Reports (Miscellaneous) (5170)~~

~~Based on GRS 5 Item 3b: Budget Reports Files: Periodic reports on the status of appropriation accounts and apportionment.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which budget is approved. Destroy 3 years after cut off.~~

~~Item 155: Budget Execution and Obligations, SF 133 (5171)~~

~~[GRS 5 (3)(a)]~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which budget is approved. Destroy 5 years after cut off.~~

~~Item 156: Internal Reports (5173) [GRS 5 (3)(a)]~~

~~Periodic reports on the status of appropriation accounts and apportionment.~~

- ~~Status of Open Purchase Orders~~
- ~~Budget Status of Funds~~
- ~~Mid Year Review~~
- ~~Uncosted Balances/Work Group~~

~~TEMPORARY. Cut off at the end of the fiscal year in which budget is approved.
Destroy 5 years after cut off.~~

Item 157: External Reports (5174) [GRS 5 (3)(a)]

~~Periodic reports on the status of appropriation accounts and apportionment.~~

- ~~Uncosted Obligations Reports~~
- ~~Payroll/Mass Changes~~
- ~~Unobligated Balance/Mandatory Req. (Start Up)~~
- ~~Financial Management Activities~~
- ~~Motor Vehicle Information & Reporting~~

~~TEMPORARY. Cut off at the end of the fiscal year in which budget is approved.
Destroy 5 years after cut off.~~

Item 158: Budget and Reporting Codes (B&R) (5180) [GRS 5 (3)(b)]

~~Budget Reports Files: Periodic reports on the status of appropriation accounts and apportionment.~~

~~TEMPORARY. Cut off at the end of the fiscal year in which budget is approved.
Destroy 3 years after cut off.~~

Item 159: Program and Finance Statement (MAX File) (5190) [GRS 5 (3)(a)]

~~Periodic reports on the status of appropriation accounts and apportionment.~~

~~TEMPORARY. Cut off at the end of the fiscal year in which budget is approved.
Destroy 5 years after cut off.~~

HUMAN RESOURCES

Agency civilian personnel records relate to the supervision over and management of Federal civilian employees. This schedule covers the disposition of Official Personnel Folders of civilian employees and other records relating to civilian personnel, wherever located in the agency. Material relating to objectives, policy, procedures, and operations of personnel activities excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels. In this Chapter, "HR" is defined as human resources. Information may be recorded on various media including paper, film, tape, disk, diskette, or in the electronic document management system. All records in this chapter are scheduled in media neutral format. Majority of records covered in this section are GRS.

Item 160: ~~HR Policy and Procedures (3000)~~

~~Directives that serve to accomplish a consistent and uniform approach in establishing and managing human capital requirements for Southwestern Power Administration. [GRS 16 (1)]~~

~~TEMPORARY. Cut off at the end of the fiscal year in which policy or procedure is superseded. Destroy after cut off.~~

Item 161: ~~Official Personnel Folders (OPFs) (3010)~~

~~Material related to the employment Southwestern's federal employees. Files are arranged alphabetically by name of employee. Cut off upon separation of employee. When an employee leaves the agency, only specific temporary documents are transferred with the personnel folder.~~

~~*Note: Record series is considered "vital" due to SWPA retaining the OPFs in paper format in special cabinets at the Tulsa office. All OPFs are scheduled to be scanned and electronically stored by DOE after March 2009*~~

~~*Originals should be forwarded to the Office Personal Management after verification of eOPF data.*~~

~~**a. Right side of Personnel Folder [GRS 1(1)].** Folders covering employment terminated after December 31, 1920, excluding those selected by NARA for permanent retention.~~

~~The Official Personnel Folder may contain the following:~~

~~Documents on the right side are filed chronologically by the effective date.~~

~~Order prescribed by OPM:~~

- ~~• File the document with the most recent date on top.~~
- ~~• The right side of the personnel folder is used for long term documents.~~
- ~~• Only documents authorized by OPM may be placed on the right side of the folder.~~
- ~~• Documents filed on the right side:~~
 - ~~• Application~~
 - ~~• Resume~~
 - ~~• Appointment Affidavit~~
 - ~~• Civil Service Forms~~
 - ~~• Military Service Documents~~
 - ~~• Optional Form 306~~
 - ~~• Benefits (Health insurance, life insurance, retirement, TSP)~~
 - ~~• Investigation Process~~
 - ~~• Personnel Actions, SF50~~

~~1) Transferred employees.~~

~~See Chapter 7 of *The Guide to Personnel Recordkeeping* for instructions relating to folders of employees transferred to another agency.~~

~~2) Separated employees.~~

~~Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after latest separation. NPRC will destroy 65 years after separation from Federal service.~~

~~b. Records filed on left side of OPF: [GRS 1 (10)]~~

~~The left side of the personnel folder is used for temporary documents. When an employee leaves the agency, only specific temporary documents are transferred with the personnel folder.~~

- ~~• Documents filed on the left side:~~
- ~~• Address form~~
- ~~• Current Position Description~~
- ~~• SF1152, Designation of Beneficiary for Unpaid Compensation~~

~~1) All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of *The Guide to Personnel Recordkeeping*, EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records.~~

~~TEMPORARY. Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF.~~

~~2) Immigration and Naturalization Service Form I-9.~~

~~TEMPORARY. Destroy 3 years after employee separates from service or transfers to another agency.~~

~~Item 162: Personnel Correspondence Files. (3020) [GRS 1(3)]~~

~~Correspondence, reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.~~

~~TEMPORARY. Cut off at the end of the fiscal year. Destroy 3 years after cut off.~~

~~Item 163: Offers of Employment Files. (Recruitment Case Files) (3030) [GRS 1 (4)]~~

~~Correspondence, including letters and telegrams, offering appointments to potential employees. Arranged by Vacancy Announcement number. Includes:~~

- ~~• Minimum Contents of Recruiting Announcement File Form~~
- ~~• Checklist for Delegated Examining Authority~~

- ~~Copy of USA JOBS~~
- ~~Copy of SF-52 (with proper classification, PD number, & signature)~~
- ~~Completed and signed PD~~
- ~~List of all applicants~~
- ~~Job Analysis~~
- ~~Rating Guide/crediting plan~~
- ~~Conversion Table~~
- ~~Applications with attachments including Veteran's Preference. (Could include DD-214, SF-15, Letter from VA)~~
- ~~FEORP Documentation Form (Give to EEO official.)~~
- ~~Application Review Checklists~~
- ~~Basic Qualifications Determination Form (if GS) and reason for ineligibility. (Must meet screen-out if WB.)~~
- ~~Individual rating sheet if applicable~~
- ~~OPM Certificate of Eligibles Showing scores, veterans preference, considerations, and declinations. (Properly Audited)~~
- ~~Referral and Selection Certificate with backup including justification~~
- ~~Letters to Ineligibles~~
- ~~Notice of Selection~~
- ~~List of All Concerned~~
- ~~Copy of OPM Qualifications Standard Handbook (for GS)~~
- ~~Announcement distribution~~
- ~~Notices of Rating~~
- ~~Copy of Recruiting Announcement~~
- ~~Certificates of Customer Survey~~
- ~~Report on Use of Authority~~
- ~~Non-Select Letters~~
- ~~Declinations, (if appropriate)~~
- ~~Random Tiebreaker Form~~
- ~~Employment offer letter to selectee~~
- ~~Recruitment cancellation notice from selection official (if applicable)~~
- ~~Customer survey on recruiting~~

a. ~~Accepted offers.~~

~~TEMPORARY.~~ Destroy when appointment is effective

b. ~~Declined offers:~~

1) ~~When name is received from certificate of eligibles.~~

~~DISPOSITION: Return to OPM with reply and application.~~

2) ~~Temporary or excepted appointment. [GRS 1, items, 33k, 33l, 33m, or 33n]~~

- a. ~~Examining and Certification Records~~—Cancelled and ineligible applications for positions filled from a register or inventory. Such documents include Optional form (OF) 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

~~TEMPORARY~~. Cut off annually. Destroy 1 year after cut off.

- b. ~~Eligible applications for positions filled from a register or inventory, including OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.~~

- 1) ~~On active register or inventory.~~

~~TEMPORARY~~. Destroy 90 days after termination of the register or inventory, (except for those applications that may be brought forward to a new register or inventory, if any)

- 2) ~~On inactive register or inventory.~~

~~TEMPORARY~~. Cut off annually. Destroy 1 year after cut off.

- e. ~~Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether in hard copy or electronic format.~~

~~TEMPORARY~~. Cut off annually. Destroy 2 years after cut off.

- d. ~~Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official. Such documents include OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.~~

~~TEMPORARY~~. Cut off annually. Destroy 2 years after cut off.

- 3) ~~All others.~~

~~TEMPORARY~~. Destroy immediately.

Item 164: ~~Employee Awards Files. (3040) [GRS 1 (12)]~~

~~Material relating to awards achieved by employees.~~

- a. ~~General awards records, EXCLUDING those relating to department level awards.~~

- 1) ~~Case files including recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to agency-~~

~~sponsored cash and noncash awards such as incentive awards, within grade merit increases, suggestions, and outstanding performance.~~

~~TEMPORARY. Destroy 2 years after approval or disapproval.~~

~~2) Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.~~

~~TEMPORARY. Destroy when 2 years old.~~

~~b. Length of service and sick leave awards files.
Records including correspondence, reports, computations of service and sick leave, and lists of awardees.~~

~~TEMPORARY. Destroy when 1 year old.~~

~~e. Letters of commendation and appreciation.
Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF.~~

~~TEMPORARY. Destroy when 2 years old.~~

~~d. Lists of or indexes to agency award nominations.
Lists of nominees and winners and indexes of nominations.~~

~~TEMPORARY. Destroy when superseded or obsolete.~~

~~**Item 165: Incentive Awards Program Reports. (3050)**~~

~~Material related to incentive awards achieved by employees. [GRS 1 (13)]~~

~~TEMPORARY. Destroy when 3 years old.~~

~~**Item 166: Merit Promotion Case Files. (3060) [GRS 1(32)]**~~

~~Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.~~

~~TEMPORARY. Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.~~

~~**Item 167: Personnel Operations Statistical Reports (3070). (Human Capital Reports) [GRS 1(16)]**~~

~~Statistical reports based on the operating personnel.~~

~~TEMPORARY. Destroy when 2 years old.~~

Item 168: ~~Correspondence and Forms Files (3080) [GRS 1(17)]~~

~~Material relating to operating personnel office records relating to individual employees not maintained in OPFs and not provided for elsewhere in this schedule.~~

~~a. Correspondence and forms relating to pending personnel actions~~

~~TEMPORARY. Destroy when action is completed.~~

~~b. Retention registers and related records.~~

~~1) Registers and related records used to effect reduction in force actions.~~

~~TEMPORARY. Destroy when 2 years old.~~

~~2) Registers from which no reduction in force actions have been taken and related records.~~

~~TEMPORARY. Destroy when superseded or obsolete.~~

~~c. All other correspondence and forms.~~

~~TEMPORARY. Destroy when 6 months old.~~

Item 169: ~~Supervisors' Personnel Files and Duplicate OPF Documentation (3090) [GRS 1(18)]~~

~~Material relating to an employee's positions found only in the supervisor's file.~~

~~a. Supervisors' Personnel Files.~~

~~Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.~~

~~TEMPORARY. Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer.~~

~~b. Duplicate Documentation.~~

~~Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.~~

~~TEMPORARY. Destroy when 6 months old.~~

Item 170: ~~Employee Medical Folder (EMF) (3100) [GRS 1(21)]~~

~~Material related to an employee's medical folder.~~

~~a. Long term medical records as defined in 5 CFR Part 293, Subpart E.~~

~~1) Transferred employees. See 5 CFR Part 293, Subpart E for instructions.
[CITE: 5CFR293.511]~~

~~a. Temporary EMFS records must not be placed in a newly created EMF for a separating employee and must be removed from an already existing EMF before its transfer to another agency or to the NPRC. Such records must be disposed of in accordance with General Records Schedule (GRS) 1, item 21, issued by NARA and Records Administration (NARA)~~

~~b. Occupational Medical Records considered to be long term records must be maintained for the duration of employment, plus 30 years or for as long as the OPF is maintained, whichever is longer. Therefore, upon separation, the records must be provided to the employee's new agency, or they must be transferred to the NPRC, which will dispose of them in accordance with GRS 1, item 21, issued by NARA.~~

~~2) Separated employees.~~

~~— Transfer to NPRC, St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee; 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained; or 30 years after latest separation, whichever is later.~~

~~b. Temporary or short term records as defined in the Federal Personnel Manual (FPM)~~

~~TEMPORARY. Destroy 1 year after separation or transfer of employee.~~

~~e. Individual employee health case files created prior to establishment of the EMF system that have been retired to a NARA records storage facility.~~

~~TEMPORARY. Destroy 60 years after retirement to the NARA records storage facility.~~

Item 171: Employee Performance File System Records. (3110) [GRS 1 (23)]

Material related to employee performance.

~~a. Non-SES appointees (as defined in 5 U.S.C. 4301(2))~~

~~1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not affected and all related documents.~~

~~TEMPORARY. Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice.~~

- ~~2) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.~~

~~TEMPORARY. Destroy when superseded.~~

- ~~3) Performance related records pertaining to a former employee.~~

- ~~a. Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating.~~

~~Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see item 1b of this schedule) An agency retrieving an OPF from NPRC will dispose of these documents in accordance with GRS 1 item 23a(3)(b).~~

- ~~b. All other performance plans and ratings.~~

~~TEMPORARY. Destroy when 4 years old.~~

- ~~4) All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.~~

~~TEMPORARY. Destroy when 4 years old~~

- ~~5) Supporting documents.~~

~~TEMPORARY. Destroy when 4 years old~~

- ~~b. SES appointees (as defined in 5 U.S.C. 3132a (2))~~

- ~~1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.~~

~~TEMPORARY. Destroy when superseded.~~

- ~~2) Performance related records pertaining to a former SES appointee.~~

- ~~a. Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.~~

~~Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service (see item 1b of this schedule)~~

~~An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 23b (2) (b) of this schedule.~~

~~b. All other performance ratings and plans.~~

~~TEMPORARY. Destroy when 5 years old.~~

~~3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214)~~

~~TEMPORARY. Destroy 5 years after date of appraisal.~~

~~4) Supporting documents.~~

~~TEMPORARY. Destroy 5 years after date of appraisal.~~

~~Item 172: Training Records. (3120) [GRS 1 (29)]~~

~~a. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency.~~

~~1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.~~

~~TEMPORARY. Cut off at the end of the fiscal year training program discontinued or completed. Destroy 5 years after cut off.~~

~~2) Background and working files.~~

~~TEMPORARY. Cut off at the end of the fiscal year training program discontinued or completed. Destroy 3 years after cut off.~~

~~b. Employee training.~~

~~Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-Government institutions.~~

~~TEMPORARY. Destroy when 5 years old or when superseded or obsolete, whichever is sooner.~~

~~Item 173: Reasonable Accommodation Request Records (3130) [GRS 1 (24)]~~

~~Material related to reasonable accommodations made for an employee. Information created and maintained while receiving, coordinating, reviewing, processing,~~

~~approving, and reporting requests for reasonable accommodation from federal employees and applicants under the Rehabilitation Act of 1973 and Executive Order 13164.~~

~~**Definition:** A reasonable accommodation is a change in the work environment or in the way things are customarily done that would enable an individual with a disability to enjoy equal employment opportunities.~~

~~The three categories of reasonable accommodation are:~~

~~Modification or adjustments to a job application process to permit an individual with a disability to be considered for a job, such as providing application forms in large print or Braille;~~

~~Modifications or adjustments necessary to enable a qualified individual with a disability to perform essential functions of the job, such as providing sign language interpreters; and~~

~~Modifications or adjustments that enable employees with disabilities to enjoy equal benefits and privileges of employment, such as removing physical barriers in an office or cafeteria.~~

~~This schedule includes all requests for reasonable accommodation and/or assistive technology devices and services offered through the agency or the Computer/Electronic Accommodation Program (CAP) that are made by or on behalf of applicants, current or former employees. Also included are medical records, supporting notes and documentation, as well as procedures and records related to processing, deciding, implementing, and tracking requests for reasonable accommodation(s)~~

~~**a. General Files**~~

~~Agency wide and departmental procedures for receiving, processing, and appealing requests for reasonable accommodation by employees and applicants. Files may include, but are not limited to, instructions, directives, notices, forms, timetables and guidelines for requesting, processing and approving requests and for appealing decisions for reasonable accommodation. Also included are records notifying the Equal Employment Opportunity Commission (EEOC), the agency's collective bargaining representative(s) and the agency's Equal Employment Opportunity office of the agency's reasonable accommodation request and processing procedures as well as modifications to established procedures.~~

~~**TEMPORARY.** Destroy three years after superseded or when no longer needed for reference whichever is later.~~

~~**b. Employee Case Files**~~

~~Individual employee files that are created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relations coordinators, immediate supervisors, CAP administrator, or HR specialists containing records of requests for reasonable accommodation and/or assistive technology devices and services through the agency or CAP that have been requested for or by an employee. This series also includes, but is not limited to, request approvals and denials, notice of procedures for informal dispute resolution or appeal processes, forms, correspondence, e-mails, records of oral conversations, medical documentation, and notes.~~

~~**TEMPORARY.** Destroy three years after employee separation from the agency or all appeals are concluded whichever is later.~~

~~*[Note: These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel file.]*~~

~~**e. Supplemental Files**~~

~~Records created, received, and maintained by EEO reasonable accommodation or diversity/disability program or employee relation coordinators, while advising on, implementing or appealing requests for or from an individual employee for reasonable accommodation. Some requests may involve HR matters, including but not limited to changes in duties, reassignments, leave usage, and performance issues. Files may include, but are not limited to, policy guidance, resource information about accommodation providers, forms, e-mails, notes.~~

~~**TEMPORARY.** Destroy three years after end of fiscal year in which accommodation is decided or all appeals are concluded, whichever is later.~~

~~*[Note: These records are neither part of an employee's Official Personnel File (OPF) nor part of a supervisor's unofficial personnel file.]*~~

~~**d. Tracking System**~~

~~Records and data created, received, and maintained for purposes of tracking agency compliance with Executive Order 13164 and Equal Employment Opportunity Commission [GRS 1(24)(d)]~~

~~**TEMPORARY.** Delete/destroy three years after compliance report is filed or when no longer needed for reference.~~

~~**Item 174: Labor Management Relations Records. (3140) [GRS 1(28)]**~~

~~**a. Labor Management Relations General and Case Files.**~~

~~Correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups.~~

~~1) Office negotiating agreement. [Maintained by Human Resources]~~

~~TEMPORARY. Cut off at the end of the fiscal year in which agreement expires. Destroy 5 years after cut off.~~

~~2) Other offices:~~

~~TEMPORARY. Destroy when superseded or obsolete.~~

~~b. Labor Arbitration General and Case Files:~~

~~Correspondence, forms, and background papers relating to labor arbitration cases.~~

~~TEMPORARY. Cut off at the end of the fiscal year in which case is resolved. Destroy 5 years after final resolution of case.~~

Item 175: ~~Personal Injury Files. (3150) [GRS 1 (31)]~~

~~Forms, reports, correspondence, and related medical and investigatory records relating to on the job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.~~

~~TEMPORARY. Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cut off~~

Item 176: ~~Administrative Grievance, Disciplinary, and Adverse Action Files [GRS 1 (30)]~~

~~a. Administrative Grievance Files (5 CFR 771)~~

~~Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.~~

~~TEMPORARY. Cut off at the end of the fiscal year in which case is closed. Destroy no sooner than 4 years but no later than 7 years after case is closed.~~

~~b. Adverse Action Files (5 CFR 752) and Performance Based Actions (5 CFR 432)~~

~~Case files and records related to adverse actions and performance based actions (removal, suspension, reduction in grade, furlough) against employees. The file includes a copy of the proposed adverse action with supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which case is closed.
Destroy no sooner than 4 years but no later than 7 years after case is closed.~~

~~*[NOTE: OPM has determined that agencies may decide how long, within the range of 4 to 7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention period in the Privacy Act notice for these records, the agency's records disposition manual, and any other issuance dealing with the disposition of these records.]*~~

~~**Item 177: Examining and Certification Records. (Delegated Examining Unit — DEUs)
(3170) [GRS 1 (33)]**~~

~~Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment.~~

~~a. Delegated agreements.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which agreement is terminated. Destroy 3 years after termination of agreement.~~

~~b. Correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations. Such correspondence, includes, but is not limited to, correspondence from Congress, White House, and the general public, and correspondence regarding accommodations for holding examinations and shipment of test materials.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year. Cut off annually. Destroy 1 year after cut off.~~

~~e. Correspondence or notices received from eligibles indicating a change in name, address, or availability.~~

~~**TEMPORARY.** Destroy 90 days after updating the appropriate record in the registry or inventory.~~

~~d. Test material stock control.~~

~~Stock control records of examination test material including running inventory of test material in stock.~~

~~**TEMPORARY.** Destroy when test is superseded or obsolete.~~

~~e. Application Record Card (OPM Form 5000A, or equivalent)~~

~~TEMPORARY. Cut off after examination. Destroy no later than 90 days after cut off.~~

~~f. Examination Announcement Case Documentation Files.~~

~~Correspondence regarding examination requirements, final version of announcement(s) issued, subsequent amendments to announcement(s), public notice documentation, rating schedule, job analysis documentation, record of selective and quality rating factors, rating procedures, transmutation tables, and other documents associated with the job announcement(s) and the development of the register/inventory or case examination.~~

~~TEMPORARY. Cut off after termination of related register or inventory or after final action is taken on the certificate generated by case examining procedures. Destroy 2 years after cut off.~~

~~g. Register or inventory of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs)~~

~~TEMPORARY. Destroy 2 years after the date on which the register or inventory is terminated.~~

~~h. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent)~~

~~TEMPORARY. Cut off at the end of the fiscal year. Destroy 1 year after cut off.~~

~~i. Test Answer Sheets.~~

~~Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.~~

~~TEMPORARY. Destroy when 6 months old.~~

~~j. Lost or Exposed Test Material Case Files.~~

~~Records showing the circumstances of loss, nature of the recovery action, and corrective action required.~~

~~TEMPORARY. Cut off at the end of the fiscal year in which investigation of loss completed. Destroy 5 years after cut off.~~

~~k. Cancelled and ineligible applications for positions filled from a register or inventory. Such documents include Optional form (OF) 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.~~

~~TEMPORARY. Cut off at the end of the fiscal year. Destroy 1 year after cut off.~~

- ~~l. Eligible applications for positions filled from a register or inventory, including OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.~~

~~1) On active register or inventory.~~

~~TEMPORARY. Destroy 90 days after termination of the register or inventory, (except for those applications that may be brought forward to a new register or inventory, if any)~~

~~2) On inactive register or inventory.~~

~~TEMPORARY. Cut of at the end of the fiscal year. Destroy 1 year after cut off.~~

- ~~m. Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether in hard copy or electronic format.~~

~~TEMPORARY. Cut of at the end of the fiscal year. Destroy 2 years after cut off.~~

- ~~n. Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official. Such documents include OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.~~

~~TEMPORARY. Cut of at the end of the fiscal year. Destroy 2 years after cut off.~~

- ~~e. Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form.~~

~~TEMPORARY. Cut of at the end of the fiscal year. Destroy 1 year after cut off.~~

- ~~p. Certificate Files, including SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: the list of eligibles screened for the vacancies, ratings assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for retention.~~

~~TEMPORARY. Cut of at the end of the fiscal year. Destroy 2 years after cut off.~~

- ~~q. Certification request control index. Certificate control log system. Records of information (e.g. receipt date, series, and grade of position, duty station, etc.) pertaining to requests for lists of eligibles from a register or inventory.~~

~~TEMPORARY. Cut of at the end of the fiscal year. Destroy 2 years after cut off.~~

~~r. Interagency Placement Program (IPP) application and registration sheet.~~

~~TEMPORARY. Destroy upon expiration of employee's DEP eligibility.~~

~~s. DEP control cards, if maintained.~~

~~TEMPORARY. Cut of at the end of the fiscal year. Destroy 2 years after cut off.~~

~~t. Reports of audits of delegated examining operations.~~

~~TEMPORARY. Destroy 3 years after date of the report.~~

Item 178: Denied Health Benefits Requests Under Spouse Equity. (3180) [GRS 1(35)]
Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers.

~~a. Health benefits denied, not appealed.~~

~~TEMPORARY. Destroy 3 years after denial.~~

~~b. Health benefits denied, appealed to OPM for reconsideration.~~

~~1) Appeal successful - benefits granted.~~

~~Create enrollment file in accordance with Subchapter S17 of the FEHB Handbook.~~

~~2) Appeal unsuccessful - benefits denied.~~

~~TEMPORARY. Destroy 3 years after denial.~~

[NOTE: Pursuant to Subchapter S17 of the FEHB Handbook enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment.]

Item 179: Federal Workplace Drug Testing Program Files. (3190) [GRS 1 (36)]
Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f)

This authorization does not apply to oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of

~~Management and Budget, the Office of National Drug Control Policy, and the Department of Justice.~~

- ~~a. Drug test plans and procedures, EXCLUDING documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like.) Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.~~

~~TEMPORARY. Destroy when 3 years old or when superseded or obsolete.~~

- ~~b. Employee acknowledgment of notice forms. Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.~~

~~TEMPORARY. Destroy when employee separates from testing designated position.~~

- ~~c. Selection/scheduling records. Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.~~

~~TEMPORARY. Destroy when 3 years old.~~

- ~~d. Records relating to the collection and handling of specimens.~~

~~1) Record Books.~~

~~Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.~~

~~TEMPORARY. Destroy 3 years after date of last entry~~

~~2) Chain of custody records.~~

~~Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.~~

~~TEMPORARY. Destroy when 3 years old.~~

- ~~e. Test results.~~

~~Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.~~

~~1) Positive results.~~

~~a) Employees.~~

~~TEMPORARY. Destroy when employee leaves the agency or when 3 years old, whichever is later.~~

~~b) Applicants not accepted for employment.~~

~~TEMPORARY. Destroy when 3 years old~~

~~2) Negative results.~~

~~TEMPORARY. Destroy when 3 years old~~

~~[NOTES: (1) Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by GRS 1, item 30b, which authorizes destruction of records between 4 and 7 years after the case is closed. (2) Any records covered by items 36 a-e that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s)]~~

~~**Item 180: Donated Leave Program Case Files. (3200) [GRS 1 (37)]**~~

~~Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.~~

~~TEMPORARY. Cut off at the end of the fiscal year in which the file is closed. Destroy 1 year after cut off.~~

~~**Item 181: Wage Survey Files. (3210) [GRS 1 (38)]**~~

~~Wage survey reports and data, background documents and correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets)~~

~~TEMPORARY. Destroy after completion of second succeeding wage survey.~~

~~**Item 182: Retirement Assistance Files. (3220) [GRS 1 (39)]**~~

~~Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.~~

~~TEMPORARY. Destroy when 1 year old.~~

Item 183: ~~Pay Comparability Records. (Pay Flexibility Records—3 R's) (3230) [GRS 1 (41)]~~

~~Records created under implementation of the Federal Employees Pay Comparability Act including written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials, and case files consisting of requests for and approval of recruitment and relocation bonuses and retention allowances.~~

~~TEMPORARY. Destroy 3 years following the date of approval or upon completion of the relevant service agreement or allowance, whichever is later.~~

Item 184: ~~Telecommuting/Telework Records. (3240) [GRS 1 (42)]~~

~~a. Approved requests or applications to participate in an alternate worksite program; agreements between the agency and the employee; and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act.~~

~~TEMPORARY. Destroy 1 year after end of employee's participation in the program.~~

~~b. Unapproved requests.~~

~~TEMPORARY. Destroy 1 year after request is rejected~~

~~c. Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program.~~

~~TEMPORARY. Destroy when 1 year old, or when no longer needed, whichever is later.~~

Item 185: ~~Equal Employment Opportunity (EEO) Records. (3250) [GRS 1 (25)]~~

~~a. Official Discrimination Complaint Case Files.
Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1614. Cases resolved within the agency, by Equal Employment Opportunity Commission, or by a U.S. Court.~~

~~TEMPORARY. Cut off at the end of the fiscal year in which case is resolved. Destroy 4 years after cut off.~~

~~b. Copies of Complaint Case Files.~~

~~Duplicate case files or documents pertaining to case files retained in Official Discrimination Complaint Case Files.~~

~~TEMPORARY. Cut off at the end of the fiscal year in which case is resolved. Destroy 1 year after resolution of case.~~

~~e. Preliminary and Background Files.~~

~~1) Background records not filed in the Official Discrimination Complaint Case Files.~~

~~TEMPORARY. Cut off at the end of the fiscal year in which case is resolved. Destroy 2 years after final resolution of case.~~

~~2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases.~~

~~TEMPORARY. Cut off at the end of the fiscal year complaint filed. Destroy 2 years after cut off.~~

~~d. Compliance Records.~~

~~1) Compliance Review Files.~~

~~Reviews, background documents, and correspondence relating to contractor employment practices.~~

~~TEMPORARY. Cut off at the end of the fiscal year in which review completed. Destroy 7 years after cut off.~~

~~2) EEO Compliance Reports~~

~~TEMPORARY. Destroy when 3 years old.~~

~~f. EEO General Files.~~

~~General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and agency EEO Committee meeting records, including minutes and reports.~~

~~TEMPORARY. Destroy when 3 years old or when superseded or obsolete, whichever is applicable.~~

~~g. EEO Affirmative Action Plans (AAP)~~

~~1) Agency copy of consolidated AAP(s)~~

~~TEMPORARY. Destroy 5 years from date of plan.~~

~~2) Agency feeder plan to consolidated AAP(s)~~

~~TEMPORARY. Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.~~

~~3) Report of on-site reviews of Affirmative Action Programs.~~

~~TEMPORARY. Destroy 5 years from date of report.~~

~~4) Agency copy of annual report of Affirmative Action accomplishments.~~

~~TEMPORARY. Destroy 5 years from date of report.~~

~~Item 186: Personnel Counseling Records. (3260) [GRS 1 (26)]~~

~~a. Counseling Files. Reports of interviews, analyses, and related records.~~

~~TEMPORARY. Destroy 3 years after termination of counseling.~~

~~b. Alcohol and Drug Abuse Program.~~

~~Records created in planning, coordinating, and directing an alcohol and drug abuse program.~~

~~TEMPORARY. Destroy when 3 years old.~~

ACQUISITION AND FACILITIES SERVICES

Material relating to procurement, materials management, and quality assurance. Includes material relating to procurement contracts, purchase orders, and such issues as their negotiation, award, provisions, and termination. Information may be recorded on various media including paper, film, tape, disk, diskette, or in the electronic document management system. All records in this chapter are scheduled in media neutral format.

~~Item 187: Procurement Actions (4205) [GRS 3 (3)]~~

~~Contracting documents with original signatures. Contract and contract modifications, requisition and requisition changes, purchase order and purchase order revisions, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, acceptance, payment and warranty, internal reviews and approvals of procurement actions. *Records are active for the period from solicitation until final payment, termination of the contract, or*~~

~~until expiration of warranty and latent defects period, or until pending issues are resolved.~~

~~a. Procurement or purchase organization copy, and related papers.~~

~~1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining simplified acquisition threshold)~~

~~a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000.~~

~~**TEMPORARY.** Cut of at the end of the fiscal year final payment is made. Destroy 7 after cut off.~~

~~b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000.~~

~~**TEMPORARY.** Cut of at the end of the fiscal year final payment is made. Destroy 3 years after cut off.~~

~~2) Transactions dated earlier than July 3, 1995.~~

~~a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000.~~

~~**TEMPORARY.** Cut of at the end of the fiscal year final payment is made. Destroy 7 years after cut off.~~

~~b) Transactions that utilize small purchase procedures and all construction contracts under \$2,000.~~

~~**TEMPORARY.** Cut of at the end of the fiscal year final payment is made. Destroy 3 years after cut off.~~

~~b. Obligation copy.~~

~~**TEMPORARY.** Destroy when funds are obligated.~~

~~e. Other copies of records described above used by component elements of a procurement office for administrative purposes.~~

~~**TEMPORARY.** Destroy upon termination or completion.~~

~~d. Data Submitted to the Federal Procurement Data System (FPDS)~~

~~Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS.~~

~~TEMPORARY. Destroy or delete when 5 years old.~~

Item 188: Authorities, Responsibilities, and Certifications (4210)

Material relating to procurement warrants, certification levels, and other authorized government expenditures of public funds. Documents include authorizations of warrants, contracting responsibilities, certification of government purchases, purchase card limitations, etc. [SWPA SF 115 NC1-387-76-1, ADM-1, pg. 166 (PRM-1, pg 61)]

~~TEMPORARY. Cut off at close of odd number FY. Destroy 4 years after cut off.~~

Item 189: Inventory Requisitions (4420) [GRS 3 (8)]

~~Requisitions for supplies and equipment for current inventory.~~

~~a. Stockroom copy.~~

~~TEMPORARY. Destroy 2 years after completion or cancellation of requisition.~~

~~b. All other copies.~~

~~TEMPORARY. Destroy when 6 months old.~~

Item 190: Inventory Management (4422) [GRS 3 (4)]

~~Material relating to managing SWPA's supply inventory. Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature)~~

~~a. Copies received from other units for internal purposes or for transmission to staff agencies.~~

~~TEMPORARY. Destroy when 2 years old.~~

~~b. Copies in other reporting units and related working documents.~~

~~TEMPORARY. Destroy when 1 year old.~~

Item 191: Land Acquisition (4351) [GRS 3 (1)]

~~Case files pertaining to land acquisition for transmission line facilities. Includes original legal conveyance instruments, title policies, General Counsel's final opinion, appraisals, and other related data such as material related to SWPA and GSA policies and procedures about the disposal of land and land rights no longer needed for SWPA transmission facilities.~~

~~Preservation: SWPA maintains hardcopy records during the acquisition process. At the conclusion of the acquisition process, records are scanned and hard copies sent to the Federal Records Center (FRC) for contingent retention. These are Vital Records.~~

- ~~a. Records relating to property acquired after December 31, 1920, other than abstract or certificate of title.~~

~~TEMPORARY. Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.~~

- ~~b. Abstract or certificate of title.~~

~~TEMPORARY. Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.~~

Item 192: Encroachments (Outgrants/Permits) (4353)

Material relating to the crossing and permit files for SWPA's right of ways such as crossing highways, railroads, drainage ditches, public utilities, oil and gas lines, and other passages by SWPA transmission lines. Includes official copy of application, numbered contract or memorandum permit, related correspondence, maps, profile drawings, etc. [SWPA's SF 115 NC1-387-76-1, LND-C, page 148 approved 1976]

Records arranged numerically by line number and by name of railroad, highway department, company, cooperative, etc. granting permit.

TEMPORARY. Close file upon completion of acquisition of related tract. Transfer to FRC 5 years after case close. Cut off at the end of the fiscal year in which related facility is disposed. Destroy 10 years after cut off.

Item 193: Land Policies with Federal Agencies (4354)

Material relating to land policies and agreements developed between the Southwestern Power Administration (SWPA) and other Federal agencies. [Based on: BPA's SF 115 N1-305-95-1 approved June 22, 1995]

TEMPORARY. Cut off when superseded or obsolete. Transfer to FRC 5 years after cut off. Destroy 10 years after cut off.

Item 194: ~~Land Information System (4355) [GRS 3 (1)]~~

~~SWPA's Land database is used to track and manage land rights information resulting from property right acquisitions, licenses, transfers, exchanges, permits, out grants (where SWPA is giving rights to Fee/Easement property use for a specific purpose, i.e. trees, utilities, etc.), encroachments and disposals in support of construction and maintenance programs, right-of-way tracking for transmission line vegetation management and line maintenance. Information contained in this system: The individuals covered in this system are landowners and tenants on Southwestern's~~

~~right of way where SWPA has acquired or given interests in land or permits. Land Owner: Full Name, Home Address, Home Phone number, Land Property Ownership, and Other Public Information. Southwestern maintains information received from County records (courthouse records, tax records, public records) and information obtained from individual landowners and tenants.~~

~~This LAND system falls under DOE's **Freedom of Information Act and Privacy Act**: http://management.energy.gov/documents/GSS_Land_Record_PIA.pdf~~

~~a. Records relating to property acquired after December 31, 1920, other than abstract or certificate of title.~~

~~**TEMPORARY.** Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.~~

~~b. Abstract or certificate of title.~~

~~**TEMPORARY.** Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.~~

~~**Item 195: Fleet Management (4443) [GRS 10 (6)]**~~

~~Material relating to GSA fleet management [motor pools and vehicle assignments]. Records relating to transfer, sale, donation, or exchange of vehicles, including SF 97, The United States Government Certificate to Obtain Title to a Motor Vehicle.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which vehicle leave agency custody. Destroy 4 years after cut off.~~

~~**Item 196: Material Disposal (4430) [GRS 4 (1)]**~~

~~Materials relating to the disposal of all excess material and equipment at SWPA. Includes property disposed of through DOE, GSA sale (Standard Form 114e, Sale of Government Property Negotiated Sales Contract, and Standard Form 122e, Transfer Order for Excess Personal Property), term contract, and donation (Standard Form 123)~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which excess material is disposed of. Destroy 2 years after cut off.~~

~~**Item 197: Personal Property Policy (4460)**~~

~~Material relating to SWPA personal property policy on expendable materials and supplies and issuance of the SWPA Personal Property Policy Manual.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which policy is superseded. Destroy 2 years after cut off.~~

ENVIRONMENTAL, SAFETY, AND HEALTH

Material relating to development and implementation of policy and procedures for environmental, safety, and health programs within Southwestern. The laws and regulations encompass, but are not limited to Resource Conservation and Recovery Act (RCRA) of 1976, Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Clean Air Act (CAA), Clean Water Act, Soil and Water Resources Conservation Act of 1977, United States Code (USC), Code of Federal Regulations (CFR), and National Environmental Policy Act (NEPA) requirements, as well as other regulatory requirements.

Item 198: National Environmental Policy Act and Related Laws Documentation (5401)

Includes, but is not limited to, Environmental Impact Statements (EIS), supplemental analyses (SA), environmental assessments (EA), categorical exclusion documents, environmental checklists, action description memoranda, other records used to reach a categorical exclusion determination, and documentation supporting compliance with other environmental statutes coordinated with the NEPA process. [Based on: DOE's Programmatic Records Schedules for Environmental SF 115 NI-434-98-28: Environmental Impact Statement, Environmental Assessment, and Categorical Exclusion.]

Includes:

- **Environmental Impact Statement.** An environmental impact statement (EIS) is required for proposed major Federal actions that significantly affect the quality of the human environment. A supplemental analysis (SA), is prepared if there are substantial changes to the proposed action or significant new circumstances or information relevant to environmental concerns for an action covered by an existing, approved EIS. A SA is prepared to determine if a supplemental EIS or a new EIS should be prepared.
- **Environmental Assessment Records.** An environmental assessment (EA) provides the information to determine the necessity for an EIS or a finding of no significant impact. Documentation includes the EA and Notice of Intent (NOI)
- **Categorical Exclusion Records.** A categorical exclusion (CX) documents that the potential impacts to the environment are clearly insignificant and the proposed action falls within a category of actions not normally requiring an EA or an EIS. An information bulletin (IB) describes the action and identifies the appropriate CX and is prepared as a basis for a DOE decision regarding the CX. The IB usually includes a draft CX determination. Documentation includes the IB, environmental checklist (ECL)/action description memorandum and other records used to reach a CX determination. **These are all electronic records.**

PERMANENT. Cut off at the end of the fiscal year in which environmental study activity is completed. If records are paper or other hardcopy media, transfer to NARA 25 years after cut off. ~~If records are electronic, transfer physical custody~~

~~to NARA for pre-accessioning five years after cut off. Transfer legal custody of electronic records, 25 years after cut off. 40CFR1508.9 (N1-434-98-28)~~

NARA re-voked pre-accession policy on 4/19/2022.

Item 199: Environmental Regulatory Compliance Records (5402)

This category covers records documenting compliance with NEPA, state environmental policy acts, the Council on Environmental Quality regulations, DOE NEPA guidelines, DOE Secretarial policy on NEPA, DOE orders and other Federal, state and local environmental regulations. It includes regulatory files containing records demonstrating compliance with environmental regulations such as CERCLA, RCRA, NEPA, Clean Water Act and Safe Drinking Water Act. **[Based on: DOE's Programmatic Records Schedules for Environmental SF 115 NI-434-98-28]**

a. RCRA/CERCLA Related Inspection Records/Inactive Waste Assessment.

Material related to investigations, inspections, assessments and appraisals relating to RCRA and CERCLA compliance, inactive waste sites and hazardous waste. Records include, but are not limited to, logs, procedures, checklists, observations; and audit and investigative case files pertaining to the environment, health and safety topics that did not attract national or Congressional attention and were not cited in the semi-annual reports to Congress.

TEMPORARY. Cut of at the when facility or waste site is closed. Destroy 5 years after facility or waste site closure.

b. General Inspection Logs and Supporting Documentation.

General inspection logs related to operations; safety inspections; inspection schedules, completed inspection procedures and checklists; internal, job-specific inspection checklists and other supporting documentation. Inspection records of hazardous waste storage locations, that record date and time of the inspection, notes of observations made, and date and nature of any repairs or other remedial actions. Inspection logs or records maintained pursuant to 40 CFR 264.347 or 40 CFR 264.15 or 40 CFR 264.73.

TEMPORARY. Cut of at the when facility or waste site is closed. Destroy 3 years after facility or waste site closure.

c. Waste Appraisal Files Hazardous waste appraisals that determine if short-term or temporary storage areas, containers, or packaging are in compliance with requirements.

TEMPORARY. Cut of at the when facility or waste site is closed. Destroy 5 years after facility or waste site closure.

d. Assessment and Corrective Action Documentation.

Records documenting evaluation, assessment, audits, and associated corrective action documentation. Environmental investigations. Audit and investigative case files and reports that pertain to environment, health and safety topics, cases

or concerns but did not attract national or Congressional attention, result in substantive changes in Departmental policy or procedure and were not cited in semi-annual reports to Congress.

TEMPORARY. Cut off at the when facility or waste site is closed. Destroy 75 years after facility or waste site closure.

Item 200: Environmental Permits/Permitting Documentation (5403)

Permitting documentation includes records relating to authorizing access or permission from a government entity such as a city, county, state or Federal agency to initiate action, usually defining specified limits in the form of a written warrant or license. This category may include necessary documents that precede the granting of a license or warrant, such as applications for permits. [Based on: DOE's Programmatic Records Schedules for Environmental SF 115 NI-434-98-28]

a. RCRA Parts A & B.

Permitting documentation includes detailed definition of the approved process, schedules, milestones, reporting requirements, supporting documentation, correspondence, terms and conditions of the permit, notification of changes to the permit and modifications. Maintained by the Cognizant DOE Operation's Office.

PERMANENT. Cut off and transfer to NARA at termination of permit. Per (N1-434-98-28) .

b. RCRA Permit Supporting Documentation and Required Monitoring Data.

Preparation of the permitting application includes permitting requirements, permitting policies, cost information, schedules, application, closure plans, notification requests, supporting documentation, negotiations with permitting agency modification process and correspondence. RCRA Permit Applications, Part A and B and supporting documentation. RCRA Permits Part A and B. Required monitoring data. Including, but not limited to, all calibration and maintenance records, all original strip chart recordings for continuous monitoring instrumentation, and copies of all reports required by permit.

TEMPORARY. Cut off at the end of the fiscal year in which permit expires. Destroy 5 years after permit expires. (N1-434-98-28)

c. Waste Water Discharge, Air Emissions, Pollution Equipment Prevention Permit Records/Applications Records.

Preparation of the permitting application includes permitting requirements, permitting policies, cost information, schedules, application, closure plans, notification requests, supporting documentation, negotiations with permitting agency modification process and correspondence.

TEMPORARY. Cut off at the end of the fiscal year in which permit expires. Destroy 5 years after cut off.

d. Waste Water Discharge Permit Records.

These records document the requests for permission to discharge wastewater into ground water and sanitary sewers. Includes, but is not limited to: discharge plans, approval letters, samples and analysis, certificate of analysis, monitoring requirements, renewal applications, chain of custody forms, permits and applications, routine storm maintenance requests, including records required by National Pollutant Discharge Elimination System (NPDES), State Waste Discharge, Injection Well and Storm water Permits. Also, includes reports required by the permits, including but not limited to, discharge monitoring reports, noncompliance notification, noncompliance reports and corrective action measures. Water may be discharged into sewers, ponds, lagoons, etc. Includes construction permits submitted after applications are approved, notices to discharge surplus water in accordance with permit compliance, purge water activity records, and storm drainage inspections and maps; and technical, general regulatory and policy correspondence.

Per the DOE RECORDS SCHEDULE FOR ENVIRONMENTAL RECORDS Dated: 08-25-03 (N1-434-98-28) on Page 31 states the following for Waste Water Discharge Permit Records:

- (a) Construction permits submitted after applications are approved.

TEMPORARY. Destroy 3 years after the applicable permit expires. 40 CFR 122.21 (N1-434-98-28)

- (b) Technical, general regulatory and policy correspondence.

TEMPORARY. Destroy after 5 years. (N1-434-98-28)

- (c) Notices to discharge surplus water records in accordance with permit compliance.

TEMPORARY. Destroy 5 year after permit expires. (N1-434-98-28)

- (d) Purge water activity records.

TEMPORARY. Destroy 5 years after permit expires. (N1-434-98-28)

- (e) Storm drainage inspections and maps.

TEMPORARY. Destroy 5 years after permit expires. (N1-434-98-28)

e. Air emission records.

Document the process of developing and obtaining approval from Federal, state, air quality district, or city officials to emit air pollutants and/or airborne particulate matter in compliance with the Federal CAA, associated State

implementation plans and laws. Records may include, but are not limited to, permit applications and supporting documentation, permits, (such as new construction or preconstruction, operating modification, new source, NESHAPS, prevention of significant deterioration, acid rain, open burn, top soil disturbance, administrative permit amendments, permit renewals, modifications, cancellations, suspensions, exemptions, approvals, and disapprovals, monitoring and control plans, notices of violation, material safety data sheets (MSDS) for pollutants, permit lists, dispersion modeling information, correspondence with and between DOE, DOE contractors, city, state, air quality district, or Environmental Protection Agency (EPA) officials regarding permitting, documentation of permit fee invoices and payments, and ownership of pollution allowances or rights. Records may also include air emission permit tracking databases. Related and supporting documentation for permits (EPI)

Per the DOE RECORDS SCHEDULE FOR ENVIRONMENTAL RECORDS Dated: 08-25-03 (N1-434-98-28) on Page 31 states the following for Air Emission Records:

- (a) Related and supporting documentation for permits.

TEMPORARY. Destroy 3 years after related permit expires. (N1-434-98-28)

- (b) Pollution allowance ownership rights documentation.

TEMPORARY. Destroy 3 years after related permit expires. (N1-434-98-28)

- (c) Draft documents, supporting notes and calculations.

TEMPORARY. Destroy when superseded, obsolete, or no longer needed. (N1-434-98-28)

- (d) Related databases and data.

Contains source information and other data gathered from many type of environmental activities other than site surveillance/monitoring (e.g., groundwater and biota) for potential and established/documented environmental sites.

- 1) Input Source

TEMPORARY. Destroy when data is entered in database and validated. (N1-434-98-28).

- 2) Output

TEMPORARY. File with appropriate series using an approved schedule. (N1-434-98-28)

- 3) Master File

TEMPORARY. Destroy 10 years after certification of post closure care and monitoring and when all enforcement actions related to the facility have been settled. (N1-434-98-28)

f. Pollution prevention equipment records

Document the permission to install specific equipment in buildings or facilities at DOE contractor sites to meet regulatory compliance. Records may include, but are not limited to, permit applications, permits, permit renewals, correspondence, emission concentration, and type of pollution control equipment.

Per the DOE RECORDS SCHEDULE FOR ENVIRONMENTAL RECORDS Dated: 08-25-03 (N1-434-98-28) on Page 31 states the following for Pollution Prevention equipment records:

- 1) Document the permission to install specific equipment in buildings or facilities at DOE contractor sites to meet regulatory compliance. Records may include, but are not limited to, permit applications, permits, permit renewals, correspondence, emission concentration, and type of pollution control equipment.

TEMPORARY. Destroy 3 years after related permit expires. (N1-434-98-28)

- 2) All Other Permits

TEMPORARY. Destroy 3 years after related permit expires. (N1-434-98-28)

h. Permit Petitions/Waivers. Documentation used as a means to request a petition or waiver from a permit requirement(s)

TEMPORARY. Cut off at the end of the fiscal year in which petition or waiver expires. Destroy 5 years after cut off.

Item 201: Environmental Monitoring (5404)

Monitoring records document activities that affect environmental quality, such as discharging air pollutants to the atmosphere and activities that involve radioactive and nonradioactive discharges to the environment, including rivers, sanitary sewers, land surfaces, sub-surfaces, and drinking water supply systems. Environmental surveillance activities are conducted with the intent of detecting and qualifying radioactive and non-radioactive contaminants and assessing their environmental and human health significance. Note: See 15130 for logbooks relating to monitoring activities. [Based on: DOE's Programmatic Records Schedules for Environmental SF 115 NI-434-98-28]

a. Soil and Groundwater

1) **Procedures, Radiological Equipment Calibrations and Survey Forms and Logs.**

Geologist field logs document field test bore holes, indicating the type of soils, gravels, cobbles and sand that are found at the field test area. They give the sampler type and depth, inches/feet driven, inches recovered, sample condition, drilling rate, and other pertinent data. They contain field log boring forms and well development/water monitoring data. Drilling/boring field logs are used to record geological data (such as the changes in soil or strata with depth), what projects are currently being worked on and the time and results of routine environmental tasks. Material may include field logbooks containing pertinent soil monitoring calculations, observations, and interpretations of results. Procedures that detail the specific methods and frequency of environmental soil and groundwater monitoring. Radiation Detection Equipment (instrument) Calibration. Documentation providing assurance that equipment used during soil and groundwater monitoring activities was calibrated to established standards. Radiological survey forms and logs for soil and groundwater monitoring.

TEMPORARY. Cut off when superseded or obsolete. Destroy when 75 years old. (N1-434-98-28).

2) **Non-Radiological Equipment Calibrations.** Non-radiation equipment calibration records for soil and groundwater monitoring.

TEMPORARY. Cut off at the end of the fiscal year. Destroy 5 years after cut off.

3) **Statistical Monitoring Data.** Data used to make statistical comparisons between different soil and groundwater monitoring locations or time periods.

TEMPORARY. Destroy when results are incorporated into summary reports, or when 5 years old, whichever is earlier. (N1-434-98-28)

4) **Pesticide/Herbicide Records.** Records of the application of pesticides/herbicides. Records include but are not limited to location involved, date, time, appropriate meteorological data for exterior applications, amounts of chemical associated concentrations and equipment used signature and license number of the cognizant operator along with pertinent remarks.

TEMPORARY. Cut off at the end of the fiscal year. Destroy when 10 years after cut off.

b. **Air Monitoring Records.**

Procedures that detail the specific methods and frequency of environmental air monitoring. Air Filter Records. Records used to gather, analyze and report air quality data including hot cell air quality and filter efficiency data in radiological

control areas. Records may include, but are not limited to, air filter information, raw data derived from filters, such as filter number and amount of particulates, filter efficiency test reports and data and filter inventory lists.

Includes:

- **High-Efficiency Particulate Air (HEPA) filter records**, including, but not limited to; raw data efficiency tests, laboratory analysis and inventory lists.
- **Evaporator, Hood, Stack, and Exhaust Fan Discharge Records.** Records that document equipment types and discharge rates used to calculate the potential release of contaminants and radionuclides from specific locations. The records are used to supplement the NESHAP reports and to fulfill partially the requirements of the EPA. Records may include, but are not limited to, trace emissions, location, equipment type, velocity, release rate, concentration, parameters, hourly evaporation rate, identification of the chemicals purchased and used by the Department, descriptions of air handling supply and exhaust systems, descriptions of the flow measuring system, flow rate testing data sheets, what type of toxic or radioactive material the hood is used for, instrument type and serial number, calibration due date, and approval.
- **Monitoring Baseline Study Record.** These records document a study that establishes normal monitoring levels for measuring the radioactive and non-radioactive impact on the environment and surrounding populations. Information from these records may be used to compile compliance reports. Records may include, but are not limited to, correspondence, plan status, performance and technical system audits, wind source direction status, preliminary and end results, interpretations, conclusions and recommendations, environmental checklist (ECL) system plan and effluent particle size.
- **Hazardous Air Pollutant Baseline Study Records.** These records also document measurements collected from upwind and downwind locations indicating the hazardous air pollutants specified in 42 USC 112 such as asbestos, benzene, beryllium, mercury, vinyl chloride, coke oven emissions, and inorganic arsenic. Records may include, but are not limited to, analytical procedures, calibrations, monitoring results and recommendations.
- **Annual Background Study Records.** These records document the preliminary results of an approved background study used by the EPA, the state, and DOE to evaluate contamination release. These studies are used to develop information on the uncontaminated conditions of a site. The data is compared with data from areas that might be contaminated. Records may include, but are not limited to, data acquisitions and related correspondence,

description of data collection methods and technology, data logs, subcontractor memos, applicable NEPA documentation and analytical results.

- **Stratospheric Ozone Protection Records.** These records document a unified, cost effective, and competitive approach for a transition from using ozone-depleting chemicals to the use of new chemicals or chemical substitutes that will not deplete the stratospheric ozone or pollute the air or the environment. Records may include, but are not limited to, memos and correspondence, summary plans, cost analysis, substance lists, and regulations lists.
- **Criteria Pollutant Release Records.** These records document measures of National Ambient Air Quality Standards Program (NAAQS) criteria pollutants released into the air that meet pollution prevention requirements. The pollutants measured have been identified as being hazardous to human health and welfare. These measurements are mandated by DOE as part of resolving National Air Quality problems. Records may include, but are not limited to, ECL, Request for Facility Services, CX list and EPA checklists.
- **Criteria Pollutant Source Inventory.** Records document annual inventories of criteria pollutant sources at DOE and contractor sites that are used to determine the source type and concentration of pollution emitted from identified locations.
- **Air Monitor/Sampler Radiation Detection Equipment Calibration Records.** Documentation providing assurance that equipment used during monitoring activities was calibrated to established standards. These records document the type of calibration performed, the degree of accuracy to which the item was calibrated and the date of calibration, and to determine when the item is due for recall. Records may include, but are not limited to, procurement, equipment serial number and location, manufacturers statement of origin, manufacturer code, equipment calibration estimates, calibration data forms, checklists, billings, inspection reports, move orders, equipment manual information, vendor information, quality and operating checks, pre-operational checklists, calibration date, calibration data, calibration recall notices, calibration sheets, out-of-tolerance notifications, recall cards, equipment standards and specifications, certificates of conformance, certificates of completion, instrument status, service performance reports, and trouble shooting information.

a) Radiation detection instrument calibration records

TEMPORARY. Destroy when 75 years old. (N1-434-98-28)

b) All others

TEMPORARY. Destroy 5 years after calibration. (N1-434-98-28)

c. Meteorological Monitoring Records.

Meteorological Monitoring Records. These records document the data collected from weather monitoring stations to support environmental monitoring programs. They are also used to report overall annual dose, calculated concentrations of routine and accidental releases, and supports the real time plume trajectory forecasting system. Records include, but are not limited to, strip charts of real time measurements of wind speed and direction, temperature, wind chill, relative humidity, dew point, precipitation, barometric pressure, synopsis of expected daily weather activity, evening forecast, weather cautionary or alert information, semiannual calibration results of tower, logbooks identifying problems, abnormalities, documentation of daily checks, correspondence regarding tower installation, and construction, milestone report, meteorological system design and overview, briefings and findings.

TEMPORARY. Cut off at the end of the FY data collected. Destroy 75 years after cut off.

d. Waste Streams

Logbooks containing information related to radioactive or hazardous waste streams.

TEMPORARY. Cut off at the end of the FY data collected. Destroy 75 years after cut off.

e. Sampling and Analysis.

Records included in this series document sampling and analysis activities for samples collected during environmental investigations, remediation and restoration from sample acquisition to sample disposition. Documentation covers planning sampling operations (collecting samples), documenting sample operations, sample management and control, and reporting sampling results. Physical samples and specimens are not records and should be returned to the organization from which they originated per EPA requirements.

Include the following Sampling/Analysis Data packages, Authorization forms, and Procedures.

- **Sample and Analysis Logbooks.** Logbooks containing sample and analysis data. Geology Logbooks. Logs and logbooks, such as geologist field logs, subcontractor geotechnical operations logbooks, soil and soil gas survey sampling field logs and characterization logbooks. Soil and soil gas survey sampling field log document efforts to collect and analyze soil and soil gas samples for possible site remediation or restoration.

- **Procedures.** These procedures detail the methods used and frequency of analysis of environmental samples, including records or correspondence that give the philosophy and scope, provide interpretations of results, and detail the plans for sampling and analysis.
- **Sampling Authorization Forms.** These forms document field-sampling requirements generated to initiate and perform sampling and analysis.
- **Analytical Laboratory Data Packages.** These packages consist of documentation generated during transport and receipt of field samples (e.g., chain of custody), sample movement in the laboratory, preparation for analysis, laboratory analyses output, raw and processed data, analytical results (analysis reports), reanalysis, quality control sample results, and instrument calibration data, plus a summary of final results for each batch. May include validation and/or verification documentation.
- **Physical Property Data Packages.** These packages contain analytical results for samples taken during borehole or well drilling operations. These files contain, among other records, the following records: data transmittals, graphs, and laboratory analysis.
- **Field Screening Data Packages.** These data packages document field screening measurements for preliminary determinations of contamination levels in support of environmental investigation, restoration, and remediation activities. Documentation may include, but is not limited to: sample analysis request documentation; narrative description or overview of activities that took place; summary of results; table of analyses; logbook pages; strip charts; instrument calibration data; and laboratory analysis reports.

TEMPORARY. Cut off at the end of the FY data collected. Destroy 75 years after cut off.

f. Laboratory Sample Processing

Control records pertaining to work performed in analytical laboratories. Records include, but are not limited to Sample Receiving Logs, analysis requests, analytical assay records, and comparative analysis logs.

TEMPORARY. Cut off at the end of the FY data collected. Destroy 10 years after cut off.

Item 202: Environmental/Waste Monitoring, Identification, Sample and Analysis Implementation (5405)

These records document the scope and extent of both liquid and gaseous effluent measurements and related surveillance programs during the active lifetime of operations; identify the responsibilities for compliance management, direction, goals and objectives to ensure facilities are operated and managed in a manner that will

protect environmental quality and minimize potential threats; specify the plan for implementing a waste minimization program at contractor sites; document the management or elimination of waste to meet pollution prevention requirements; and provide plans for sampling at former waste storage locations and at other waste sites.

The records may include, but are not limited to, analysis, transmittals, compliance summaries, findings and concerns, effluent inventory, data management, calculations, plans, correspondence, program changes and accomplishments, findings, notes, project selection and guidance, position papers, baseline information, waste identification and concentration, and waste generator reduction plans. [**Based on: DOE's Programmatic Records Schedules for Environmental SF 115 NI-434-98-28**]

TEMPORARY. Cut off when superseded, obsolete, or canceled. Destroy 75 years after cut off.

Item 203: Environmental Impact Statement, Environmental Assessment, and Categorical Exclusion - Background Documentation only. (5406)

Background documentation includes, but is not limited to, the draft EIS and supporting plans, scoping, scheduling, and background information; public and agency comments; Notice of Intent (NOI); ROD; and may include SA, EIS Implementation Plan, Community Relations Plan/Public Participation Plan, Records of Considerations, Mitigation Action Plan, Supplemental EIS, and Flood Plain/Wetland Assessments. Includes background documentation for the environmental assessments and categorical exclusions. [**Based on: DOE's Programmatic Records Schedules for Environmental SF 115 NI-434-98-28**]

TEMPORARY. Cut off at the end of the FY data collected. Destroy 20 years after cut off.

Item 204: National Environmental Policy Act (NEPA) Support Documentation

Documentation supporting compliance with other environmental statutes coordinated with the NEPA process.

TEMPORARY. Cut off annually at the end of the calendar year of project completion. Destroy in 3 years. 10 CFR 1021, 10 CFR 1500, and 10 CFR 1508 (N1-434-98-28)

Item 205: Environmental Coordination (5407)

Material may include coordination of environmental quality objectives within programs and activities at Southwestern. Includes coordination activities with other agencies and organizations. Arrange case files by coordination type and agency or organization name. [**Based on: DOE's Programmatic Records Schedules for Environmental SF 115 NI-434-98-28**]

TEMPORARY. Cut off when superseded, obsolete, or canceled. Destroy when 75 after cut off.

Item 206: Environmental Reports (5408)

Reports relating to, among other things, the environment, safety, health, oversight, background studies, radioactive contamination, noncompliance, quality control and surveillance. Reports relating to field office, contractor or subcontractor environmental, human health, employee and/or public safety and oversight. [Based on: DOE's Programmatic Records Schedules for Environmental SF 115 NI-434-98-28]

Includes:

- **DOE Field/Contractor Environmental/Safety Reports.** Reports relating to field office, contractor or subcontractor environmental, human health, employee and/or public safety and oversight. Reports documenting the monitoring data to determine if the level of hazardous, volatile organic compounds (VOC), visible air contaminants, and radionuclide airborne materials are being released by a site and at what concentrations. Records may include, but are not limited to, monitoring data from routine radiological and nonradiological environmental surveillance activities, and summary listings of the weekly sample including analytical results, detection limits and spike/blank recoveries.
- **National Emission Standards for Hazardous Air Pollutants (NESHAP) Annual Reports** documenting program plans, regulatory drivers and emission inventory guidelines for air and pollution monitoring to ensure compliance. Records may include, but are not limited to, input parameter and modeling results for building ventilation stacks, stack/vent emission survey reports, emission sampling reports, type of chemical and amount emitted, reactor data, estimates of doses to the population, notes, correspondence, fugitive source emission assessment, sample data for surface radioactivity, radionuclide type, location, sample range, standard deviation, reference, inventory and documentation source.
- **Air Emissions Permit Reports** documenting effluent air monitoring activities as designated by EPA for permitted sources and equipment. The reports contain raw data to authenticate operational integrity.
- **Environmental Monitoring Reports** containing monitoring data from routine radiological and non-radiological environmental surveillance activities. The report documents all the environmental activities completed at a site in order to be in full compliance with all applicable environmental laws and regulations. Records may include, but are not limited to, monitoring data, summary of meteorological data, permits, summary of analytical results, sample analysis of vegetation, soil, and water, and discussion of sampling procedures. Reports provided to identify the progress on the environmental monitoring plans or on other related subjects.

- **RCRA Biennial Reports, Tier Two Emergency and Hazardous Chemical Inventory Reports and Toxic Chemical Release Inventory Reports.**

TEMPORARY. Cut off when superseded, obsolete, or canceled. Destroy when 75 after cut off.

Item 207: Environmental Administrative Record File (5409)

Records documenting the basis for selecting a CERCLA response action/remediation action, RCRA permit/permit modification/or closure plan action by the EPA, the DOE, state agencies, the public, or other interested parties. These files contain historical data on the identification and remediation alternative of waste sites. The Administrative Record also includes documents that demonstrate the public's opportunity to participate in and comment on the selection of the remedial action. Documents may include, but are not limited to, remedial investigation/feasibility study (RI/FS) work plan, guidance documents, proposed plan, public notices, record of decision (ROD), explanation of significant differences, permit application, corrective measures study report, interim response action proposal, applicable NEPA documentation, and all other decision documents available for public comment and use. [**Based on: DOE's Programmatic Records Schedules for Environmental SF 115 NI-434-98-28**]

TEMPORARY. Destroy 75 years after the termination of the applicable Federal Facility Agreement & Consent Order.

Item 208: Radioactive/Hazardous Waste, Chemical Inventories (5410)

Records relating to spills or releases of hazardous substances. Includes, but is not limited to, spill response plans, remediation files, inventories, safety information on hazardous chemicals and characterization studies. [**Based on: DOE's Programmatic Records Schedules for Environmental SF 115 NI-434-98-28: Spills/Release Records, Radioactive/Hazardous Waste, Chemical inventories, Waste Minimization, and Underground Tank Records.**]

Includes:

- a. Spill/Release Records.**
Records that report all spills or releases of hazardous substances, identifying the location, type, volume, time discovered/occurred, reporting individual, effected media, corrective action taken, hazardous substance release records and other information considered necessary to document the spill, release and cleanup.
- b. Waste/Chemical Inventory Files.** Hazardous chemical inventories identifying types and amounts of chemicals currently in use, inventories of hazardous waste scheduled for transport for disposal, and radioactive and mixed waste, transuranic (TRU) waste, and high-level radioactive waste.
- c. Materials Safety Data Sheets (MSDS)**

MSDS provide detailed safety information on hazardous chemical products obtained from chemical manufacturers and/or commercial information services. MSDS are originated by manufacturers of chemical products and passed on to product purchasers to provide detailed product safety information are required by public law.

- d. **Sealed Radioactive Source Inventory.** Records concerning the inventory and integrity testing of sealed radioactive sources. Records are used for calibrating radiation measurement equipment, response checking of radiation detection instruments, research, and other applications utilizing sealed radioactive sources.
- e. **Pollution Prevention and Waste Minimization Program Records.** Pollution prevention and waste minimization program records encompass records that document waste elimination, reduction or minimization, during activities such as research, process design, and daily facility or plant operations.
- f. **Underground Storage Tank Files.** Records related to the regulation of storage of materials, wastes, and products in underground storage tanks (USTs) 42 USC 6991, 40 CFR 280, and 40 CFR 281.

TEMPORARY. Destroy seventy-five (75) years after facility or waste site closure.

Item 209: Disposal/Cleanup (5411)

This category includes records documenting cleanup of past practice waste sites or units, closure of waste sites under RCRA and other applicable regulations, cleanup of waste sites under CERCLA and RCRA corrective action provisions and disposal of radioactive and hazardous waste from waste sites. Records include those generated once a decision has been made to clean up a given location, encompassing those actions from removal/treatment of the contaminated area to restoration of the area to its natural condition. [Based on: DOE's Programmatic Records Schedules for Environmental SF 115 NI-434-98-28: Designation / Means of Disposal and Waste Disposal Characterizations/Records.]

a. Procedures governing disposal and cleanup and waste disposal characterization records.

Waste Disposal Characterizations/Records. Records indicating type (classification) and degree of contamination date of disposal, method of disposal (burial, landfill, etc.), volume, and disposal location. Records may include engineering studies, reports of unusual problems encountered during removal or treatment.

PERMANENT. Retain on site until final cleanup. Transfer to NARA 5 years after cut off.(N1-434-98-28)

b. Waste Disposal Characterizations/Records Supporting Documentation.
Supporting documentation includes but is not limited to miscellaneous

worksheets, recorder sheets, other data sheets, and correspondence from where applicable information has been transcribed or summarized in other documentation.

PERMANENT. Cut off 5 years after disposal. If records are paper or other hardcopy media, transfer to NARA 25 years after cut off. (N1-434-98-28) ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records 25 years after cut off.

NARA revoked pre-accession policy on 4/19/2022.

Item 210: Safety Analysis Reports (5412)

a. Safety Analysis Reports (SARs)

Documents the adequacy of safety analysis and the processes to provide systematic identification of hazards within a given DOE operation; to describe and analyze the adequacy of measure taken to eliminate, control, or mitigate identified hazards; and to analyze and evaluate potential accidents and their associated risks. May have documentation similar to nuclear facility SAR's. Records should include the related DOE Safety Evaluation Report. Review annually. [Based on DOE SF 115 N1-434-00-7, Safety Analysis Reports]

TEMPORARY. Review annually. Cut off when superseded, obsolete, or cancelled. Destroy 75 years after cut off. [N1-434-00-7, item 1.b(4)(a)]

b. Other Safety Analyses Reports

Document a process to provide systematic identification of hazards within a given DOE operation; to describe and analyze the adequacy of measure taken to eliminate, control, or mitigate identified hazards; and to analyze and evaluate potential accidents and their associated risks. May have documentation similar to SAR's. Records should include the related DOE Safety Evaluation Report. Review annually. Cut off when superseded, obsolete, or cancelled.

TEMPORARY. Cut off when superseded, obsolete, or cancelled. Destroy 25 years after cut off. [N1-434-00-7, item 1.b.(4)(b)]

Item 211: Drinking Water and Safe Drinking Water Act (5413)

Records documenting the condition of drinking water systems operated in support of DOE sites. Records relate to bacteriological and chemical analyses, system surveys, variances and corrective actions. Includes, but not limited to, written reports, summaries, and reports of actions taken to correct violations. [Based on: DOE's Programmatic Records Schedules for Environmental SF 115 NI-434-98-28]

TEMPORARY. Cut off when superseded, obsolete, or cancelled. Destroy 10 years after cut off.

Item 212: Public Involvement Records/Post Closure Plans (5415)

Records containing information relating to public affairs and public involvement in restoration and remediation activities. May include, but are not limited to, public affairs records not included in the administrative record that are maintained by Public Affairs or External Affairs Offices; news releases, photos, maps, figures; community meetings records, community relations records; public meetings/presentations, environmental bulletins; other CERCLA-required public involvement records; Public Involvement Plan records.

Post closure plans include, but are not limited to, descriptions of plans for each unit, estimate of maximum inventory during active life, description of steps needed to remove a decontaminate, and schedule.

[Based on: DOE's Programmatic Records Schedules for Environmental SF 115 NI-434-98-28]

PERMANENT. Retain onsite until no longer needed. (N1-434-98-28) If records are paper or other hardcopy media, transfer to NARA 25 years after cut off. ~~If records are electronic, transfer physical custody to NARA for pre accessioning five years after cut off.~~ Transfer legal custody of electronic records to NARA 25 years after cut off.

NARA revoked pre-accession policy on 4/19/2022.

Item 213: Archaeological Records (5416)

Records resulting in activities conducted on lands owned in fee by Native Americans or held in trust by the United States for Native Americans. These records can include, but are not limited to; contracts, permits, agreements and related policies, procedures, protocols, or waivers; archaeological site locations, surveys of areas, correspondence, photographs, analysis, reports and findings, drawings, maps, ground surveys, excavation notes, cultural resources; and, site restoration plans, proposals, or other reclamation types of activity records. **[Based on: DOE's Programmatic Records Schedules for Environmental SF 115 NI-434-98-28]**

PERMANENT. Cut off annually. If records are paper or other hardcopy media, transfer to NARA 25 years after cut off, in 5 year blocks. (N1-434-98-28). ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records to NARA 25 years after cut off.

NARA revoked pre-accession policy on 4/19/2022

Item 214: Health Program (5420) [GRS 1(21)]

Material relating to employee medical and counseling services and the operation of health facilities.

~~**TEMPORARY. Cut off upon termination or separation of employment. Per 5 Code of Federal Regulations Section 293, retain for duration of employment. Do not destroy. Forward to next employing agency with the OPF. Transfer records not required for filing in the OPF to a local Federal Records Center immediately after cut off.**~~

Item 215: Health Unit Controls (5421) [GRS 1 (20)]

~~Logs or registers reflecting visits to health units. These records are the property of and are controlled by SWPA Contracted Medical Officer.~~

~~a. If information is summarized on statistical report.~~

~~**TEMPORARY. Destroy 3 months after last entry.**~~

~~b. If information is not summarized.~~

~~**TEMPORARY. Destroy 2 years after last entry.**~~

Item 216: Individual Health Records (5422) [GRS 1 (20)]

~~Material which contain such information as date of employee's, visit, diagnosis, and treatment. These records are the property of and are controlled by SWPA Contracted Medical Officer.~~

~~**TEMPORARY. Cut off upon termination or separation of employment. [Per 5 Code of Federal Regulations Section 293, retain for duration of employment. Do not**~~

~~destroy.] Forward to next employing agency with the OPF. Transfer records not required for filing in the OPF to a local Federal Records Center [FRC].~~

Item 217: ~~Individual Non-Occupational Health Record Files. [GRS 1 (19)]~~

~~Material related to employee's health condition not related for work purposes. Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for nonwork-related purposes, EXCLUDING records covered by item 21 of this schedule.~~

~~**TEMPORARY.** Destroy 6 years after date of last entry.~~

Item 218: ~~Employment-related Medical Records [GRS 1 (21)]~~

~~Material relating to an employee's medical history, occupational injuries or diseases, physical examinations, related to an employee's Federal employment. Includes medical surveillance. Individual files maintained in accordance with Privacy Act requirements. Disposition: Per 5 Code of Federal Regulations Section 293, retain for duration of employment. Do not destroy. Forward to next employing agency with the OPF.~~

~~a. Long term medical records as defined in 5 CFR Part 293, Subpart E.~~

~~1) Transferred employees. See 5 CFR Part 293, Subpart E for instructions.~~

~~2) Separated employees. Transfer to NPRC, St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee; 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained; or 30 years after latest separation, whichever is later.~~

~~b. Temporary or short term records as defined in the Federal Personnel Manual (FPM)~~

~~**TEMPORARY.** Destroy 1 year after separation or transfer of employee.~~

~~e. Individual employee health case files created prior to establishment of the EMF system that have been retired to a NARA records storage facility.~~

~~**TEMPORARY.** Destroy 60 years after retirement to the NARA records storage facility.~~

Item 219 Occupational Safety Program (5425)

Material relating in general to Occupational Safety Program other than specific material described by the following tertiary subjects. Also included is the Incident Rate/Safety Performance document. Reports and logs (including Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment. [Based on DOE Administrative Records Schedule 1 Item 34: Personnel Records SF 115 N1-434-98-4: Occupational Injury and Illness Files. (N1-434-98-4 item 34)]

TEMPORARY. Cut off at the end of the fiscal year. Destroy after 30 years. 29 CFR 1910.20 (N1-434-98-28)

Item 220: Industrial Hygiene Reports/Hazard assessments (5426)

Reports relating to air monitoring, equipment sound measurements, Negative Exposures Assessments, Ergonomic evaluations, Material Safety Data Sheets, Emergency Response operations.

a. Records Concerning Personnel Exposure to Hazardous Concentrations of Toxic Chemicals and Other Materials.

Records (including correspondence) prepared in the normal course of business concerning or documenting the exposure of personnel to hazardous concentrations of toxic chemicals and other materials, excluding radionuclides and individual employee files. (N1-434-98-4, item 21.2) a. Standards, operating guides and procedures, including revisions and background records that establish or relate to establishing operating practices. [Based on DOE Administrative Records Schedule 1 Item 21.2 Personnel Records NCI-430-76-9:]

PERMANENT. Cut off at the close of the fiscal year. Transfer to NARA 25 years after cut off. (NCI-430-76-9, item 5a)

b. Operating plans for specific jobs within the scope of the above established Operating practices.

TEMPORARY. Destroy when purpose is served or when 1 year old, whichever is earlier. (NCI-430-76-9, item 5b)

c. Records and investigations establishing the extent of employee exposure to toxic chemicals and materials. These records should be filed in the Health Hazard case file (item 21.4 below), whenever possible.

TEMPORARY. Cut off at the close of the fiscal year in which the employee left employment. Destroy 75 years after cut off. [NCI-430-76-9, item 5c]

d. Industrial hygiene log sheets recording surveys for industrial hazards other than radiation and contamination.

- 1) Surveys indicating no industrial hazard.

TEMPORARY. Cut off at the close of the fiscal year. Destroy 75 years after cut off. (NCI-430-76-9, item 5d(1))

- 2) Surveys indicating a potential industrial hazard.

TEMPORARY. Cut off when the facility is dismantled. Destroy 75 years after cut off. [N1-434-98-4 item 21.2d(2)]

Item 221: Personal Injury (5427)

Material relating to medical and investigatory records about on-the-job injuries whether or not a claim for compensation was made, excluding copies filed in the Official Personnel Folder and copies submitted to the Department of Labor. **[Based on DOE Administrative Records Schedule 1 Item 31 Personnel Records N1-434-98-4 item 31]**

TEMPORARY. Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 75 years after cut off.

~~**Item 222: Motor Vehicle/Aircraft Accidents (5428) [GRS 10 (5)]**~~

~~Material relating to accidents involving Federal vehicles or Contracted Aircraft occurring at a SWPA facility or SWPA right-of-way.~~

~~**TEMPORARY.** Cut off at the end of the fiscal year in which case is closed. Destroy 6 years after cut off.~~

Item 223: Fatalities (5429)

Material relating to incidents results in the death of a Federal employee or contractor performing duties for SWPA; also, material relating to the death of a third party which occurs in a SWPA vehicle, at a SWPA facility, or on a SWPA right-of-way. **[Based on BPA's SF 115 N1-305-04-2 approved March 22, 2005 , N1-305-07-1, approved in 2008]**

TEMPORARY. Cut off at the end of the fiscal year in which investigation is closed. Destroy no sooner than 75 years after cut off.

SECURITY

Records relating to activities, systems, programs, facilities, and policies for the protection of personnel; classified and sensitive information; and Southwestern's facilities, property, and equipment. The key elements of the Southwestern Security Program consist of program management and support, physical security, information security, personnel security, unclassified visits and assignments by foreign nationals, and counterintelligence. Information may be recorded on various media including paper, film, tape, disk, diskette, or in the electronic document management system. All records in this chapter are scheduled in media neutral format.

~~Item 224: Program Management and Support (0240) [GRS 18 (8)]~~

~~Records relating to protection program management, security planning and procedures, management control, and program wide support.~~

~~Includes:~~

- ~~● Protection Program Management
— Records relating to program management and administration, resources and budgeting, and personnel development and training.~~
- ~~● Security Planning and Procedures
— Records relating to planning documents, external factors, security conditions, and property accountability.~~
- ~~● Management Control
— Records relating to surveys and self-assessments, performance assurance, resolution of findings, and incident reporting and management.~~
- ~~● Security and Protective Services Administrative Correspondence Files.
Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered elsewhere in this schedule.~~

~~TEMPORARY. Destroy when 2 years old.~~

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agency wide responsibilities for security and protective services programs.]

Item 225: ~~Physical Security Administrative Files (0471) [GRS 18 (8)]~~

~~Material relating to the protection of buildings, substations, vehicles, equipment, personnel and materials. Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered elsewhere in this schedule.~~

~~TEMPORARY. Destroy when 2 years old.~~

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having agency wide responsibilities for security and protective services programs.]

Item 226: ~~Personnel Access Control Files (0472) [GRS 18 (23)]~~

~~Material related to authorized access to employees and contractors. Records contain access controls and records within the badge program. Access control logs document access to the facilities including after hours logs and security computer logs.~~

~~Southwestern's card key (badge) program records are considered vital records and include files that document the termination/destruction/disposal of card keys such as SWPA Form 4300.21, Separation Clearance, requests for and actual background investigations, and SWPA Form 5632.1B, Security Badge Request/Issue Form (Federal employees), and SWPA Form 5632.1C, Security Badge Request/Issue Form (Non-Federal employees)~~

~~TEMPORARY. Destroy when superseded or obsolete.~~

Item 227: Security System Maintenance Records (0473)

Material related to the support and maintenance of the security system and its subcomponents including cameras and alarm system. Includes all of the user activity and alarm activity for all of the alarm and access control system. Files consist of system activity journals containing the on-site records for alarm system activity. Records that contain all activity concerning preventative and corrective maintenance performed on the alarm system and the sub components. Files consist of maintenance requests, test reports, schedules, and testing and maintenance of the security system.

[Based on DOE Administrative Records Schedule 18 Item 8.4: Security, Emergency Planning, and Safety Records under SF 115 N1-434-98-21: Security Alarm and Access Control System Files.]

a. System Manufacturers Documentation.

Files include manufacturer's operations and technical manuals for the equipment installed as part of the Security Alarm System. These records include information on individual components, for both the security alarm systems and the electronic access control systems.

TEMPORARY. Destroy when current system is upgraded or replaced.

b. Systems Operations Files.

Files include on-site configuration files for systems operations. Includes information on individual components, systems operations, and how the systems are currently installed for both the security alarm systems and the electronic access control system.

TEMPORARY. Destroy when current system is upgraded or replaced.

c. Open Storage Approval Records.

Files contain on-site records of areas approved for the open storage of classified information. Includes information concerning the motion detection and alarm devices within specific areas.

TEMPORARY. Destroy when superseded.

d. Activity Journals.

These records include all of the user activity and alarm activity for all portions of the alarm and access control system. User activity includes operations of Day/Night mode access of alarmed rooms, and access/exit through card reader controlled doors or access points. Alarm activity includes alarm devices, line supervision, and administrative alarms as they occur. Files consist of System activity journals containing the on-site records for alarm system activity.

TEMPORARY. Cut off at the end of the fiscal year. Destroy 3 years after cut off.

e. Maintenance Records.

These records contain all activity concerning preventive and corrective maintenance performed on the alarm system and the sub-components. Files consist of maintenance requests, test reports, schedules, notification letters and maintenance activity journals containing the on-site records for alarm system maintenance activity.

TEMPORARY. Cut off at the end of the fiscal year. Destroy 3 years after cut off.

~~Item 228: Visitor Access Control Files (0474) [GRS 18 (17)(b)]~~

~~Material related to visitors access to Southwestern's facilities. Visitor Control Files. Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.~~

~~a. For areas under maximum security.~~

~~TEMPORARY. Destroy 5 years after final entry or 5 years after date of document, as appropriate.~~

~~b. For other areas.~~

~~TEMPORARY. Destroy 2 years after final entry or 2 years after date of document, as appropriate.~~

~~Item 229: Facilities Security Files (0475) [GRS 18 (9)]~~

~~Records relating to the protection and control of classified information and sensitive information and matter from compromise and unauthorized disclosure. This includes operations security, sensitive information, and classified information and control.~~

~~NOTE: Southwestern does not have classified material.~~

~~a. Survey and Inspection Files for Southwestern owned facilities:~~

~~Reports of surveys and inspections of Government owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.~~

~~TEMPORARY. Destroy when 3 years old or upon discontinuance of facility, whichever is sooner.~~

~~b. Survey and Inspection Files for privately owned facilities that Southwestern operates within:~~

~~Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies and related documents.~~

~~TEMPORARY. Destroy when 4 years old or when security cognizance is terminated, whichever is sooner.~~

Item 230: Personnel Security (0476) [GRS 18 (22)]

~~Records relating to access authorizations and security awareness. These records include documents that inform individuals of their security responsibilities and promote continuing awareness of good security practices. It also includes access authorization (security clearance) requests, investigative requests and processes, and reinvestigations.~~

- ~~a. Personnel Security Clearance Files. Personnel security clearance case files created under Office of Personnel Management procedures and regulations and related indexes maintained by the personnel security office of the employing agency.~~

~~Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.~~

~~**TEMPORARY.** Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable.~~

- ~~b. Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations.~~

~~**TEMPORARY.** Destroy in accordance with the investigating agency instructions.~~

- ~~c. Index to the Personnel Security Case Files.~~

~~**TEMPORARY.** Destroy with related case file.~~

Item 231: Unclassified Visits and Assignments by Foreign Nationals (0477)

Records relating to foreign national visits, foreign national assignments, hosts, approvals and reporting, sensitive countries list, and state sponsors of terrorism list. Includes registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers. [Based on DOE Admin Schedule 18: Security, Emergency Planning, and Safety Records - N1-434-98-21 which is based on GRS 18, item 17]

a. For areas under maximum security.

TEMPORARY. Destroy 5 years after final entry or 5 years after date of document, as appropriate.

b. For other areas.

TEMPORARY. Destroy 2 years after final entry or 2 years after date of document, as appropriate.

Item 232: Counterintelligence (0478)

Records relating to the protection of information (e.g. classified, unclassified controlled information, proprietary, unclassified, and economic information affecting national security), personnel, and assets from international terrorist activities and from intelligence collection by or on behalf of foreign powers or entities. [Based on DOE Admin Schedule 18: Security, Emergency Planning, and Safety Records - N1-434-98-21, item 8.3]

a. Threat Files

Files contain reports of known or suspected technical and non-technical security information, methodology, technologies used, suspected individual(s) or groups, reports of actions directed against U.S. Government and commercial interest and/or personnel.

TEMPORARY. Review annually. Destroy when superseded or obsolete.

b. Hazard and Penetration Files

Files provide general and specific design information on known or suspected surveillance devices, electronic anomalies, methodology, and historical technical data. These files are used for technical surveillance threat reference.

TEMPORARY. Review every 2 years. Destroy when no longer needed.

Item 233: Emergency Management and Planning (0150)

Records relating to the identification of hazards and threats, hazard mitigation, development and preparation of emergency plans and procedures, and identification of personnel and resources needed for an effective response.

[Based on DOE Administrative Records Schedule 18 Item 26.1: Security, Emergency Planning, and Safety Records under SF 115 N1-434-98-21.

- Emergency Planning Program Correspondence.
- Records that document the policy, program, standards, and procedures pertaining to the administration of the emergency planning program.]
- a. Program and policy guides, information papers, operational manuals, and documents used as guides for determining appropriate DOE action. Unless issued as a DOE directive, a record copy of Departmental emergency plans.

PERMANENT. Cut off when superseded. If records are paper or other hardcopy media, transfer to NARA 25 years after cut off. [Based on N1-434-98-21, item 26.1a] ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records to NARA 25 years after cut off.

NARA revoked pre-accession policy on 4/19/2022

- b. Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting Department-wide results of tests conducted under emergency plans.

PERMANENT. Cut off when superseded. If records are paper or other hardcopy media, transfer to NARA 25 years after cut off. [Based on N1-434-98-21, item 26.1a] ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records to NARA 25 years after cut off.

NARA revoked pre-accession policy 4/19/2022

- c. Files documenting the development of policy, including policy studies.

TEMPORARY. Cut off when superseded. Destroy 10 years after cut off.

- d. Procedures and activities implementing DOE policy and guides.

TEMPORARY. Cut off at end of the fiscal year. Destroy 6 years after cut off.

Item 234: ~~Emergency Preparedness Test files (0151) [GRS 18(28)]~~

~~Records relating to training, drills, and exercises. Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports EXCLUDING consolidated and comprehensive reports.~~

~~TEMPORARY. Cut off at the end of the fiscal year in event took place. Destroy 3 years after cut off.~~

~~Item 235: Continuity of Operations (0152) — [GRS 20(11)]~~

~~Records relating to the continued performance of essential functions from alternate operating sites during an emergency or situation that may disrupt normal operations.~~

~~a. Documentation.~~

~~Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that has been authorized for destruction by the GRS or a NARA approved disposition schedule.~~

~~TEMPORARY. Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.~~

~~b. Copies of records relating to system security, including records documenting periodic audits or review and recertification of sensitive applications, disaster and continuity plans, and risk analysis, as described in OMB Circular No. A-130.~~

~~TEMPORARY. Destroy or delete when superseded or obsolete.~~

POWER MAINTENANCE

Material relating to the maintenance of the power system. Information may be recorded on various media including paper, film, tape, disk, diskette, or in the electronic document management system. All records in this chapter are scheduled in media neutral format.

Item 236: Power Facilities Maintenance Standards (6900)

This function helps to coordinate and develop standards, procedures, instructions, and information (SPIFs) for SWPA's Transmission Field Services regional and district offices to ensure consistent and effective maintenance of SWPA's transmission lines and performance level guides. This function assists in the development and implementation of transmission line maintenance tools and training for SWPA's Transmission Field Services regional and district offices. These standards are reviewed each year for compliance with several industry standards regulatory commissions such as the North American Electric Reliability Corporation (NERC)

Arranged by specific type of maintenance standard.

- MA – General
- SU – Substation

- TR – Transmission
- EL – Electrical

These are available to view online under the Maintenance Division on the Intranet. Electronic copies of the documents are located on the server: Pluto under MMIS under SOP – these standards will be moved into Documentum where the official copies will be stored with approved records retention. [Based on BPA's SF 115 N1-305-88-1, MA-17 approved July 14, 1989]

TEMPORARY. Cut off when superseded by a new version or standard becomes obsolete. Destroy 5 years after cut off.

Item 237: Maintenance Management Information System (6903)

Material related to the information system's development, implementation, testing, documentation, and any upgrades. Current system is called Cascade which stores maintenance and utility equipment that is recorded within this inventory management system, any maintenance or test information, manufacturer guides (non-record), and switching orders, system also creates reports for NERC compliance and other diagnostic measures. [Based on BPA's SF 115 N1-305-88-1 approved July 14, 1989]

TEMPORARY. Cut off when system is retired. Destroy 5 years after cut off.

Item 238: Transmission Line Maintenance Reports (6920)

Reports relating to periodic inspections and maintenance actions made by field stations on transmission lines. All replacement reports may include poles, cross arms, braces, insulators, conductors, etc. All patrol reports may include aerial and foot patrols. All maintenance replacement records are stored electronically within the CASCADE system. All related drawings are stored within the CADD system using Drawing Viewer system for remote access. Arranged by line number. [Based on SWPA's SF 115 NC1-387-76-1, MA-D, pg. 150]

TEMPORARY. Cut off end of each fiscal year in which report is approved. Destroy 3 years after cut off.

Item 239: Right-of-Way Maintenance Reports (6921)

Reports relating to the maintenance of rights-of-way including access roads, encroachments, vegetation management, herbicide application and clearing. All patrol reports may include aerial and foot patrols. All maintenance replacement records are stored electronically within the CASCADE system. All related drawings are stored within the CADD system using Drawing Viewer system for remote access. Arranged by line number. [Based on SWPA's SF 115 NC1-387-76-1, MA-C, pg. 150]

TEMPORARY. Cut off end of each fiscal year. Destroy 2 years after cut off.

Item 240: Microwave and Radio Sites (6940)

Material related to building and power maintenance within Southwestern's microwave and radio sites. Diagnostic reports may include equipment performance and failures. All maintenance replacement records are stored electronically within the CASCADE system. All related drawings are stored within the CADD system using Drawing Viewer system for remote access. [Based on BPA's SF 115 NC-305-76-1, MA-11-12, approved September 15, 1976]

TEMPORARY. Cut off when superseded or obsolete or replaced. Destroy when related equipment is disposed.

Item 241: Substation Equipment and Materials (6942)

Material related to building and power maintenance within Southwestern's substations. Diagnostic reports may include equipment performance and failures. All maintenance replacement records are stored electronically within the CASCADE system. All related drawings are stored within the CADD system using Drawing Viewer system for remote access. [Based on BPA's SF 115 NC-305-76-1, MA-11-12, approved September 15, 1976]

TEMPORARY. Cut off when superseded or obsolete or replaced. Destroy when related equipment is disposed.

ENGINEERING AND PLANNING

Material relating to the planning, design, and construction support of the power transmission system. Information may be recorded on various media including paper, film, tape, disk, diskette, or in the electronic document management system. All records in this chapter are scheduled in media neutral format.

Item 242: Engineering Policies and Procedures (6400)

Material relating to engineering and planning documentation and support for Southwestern's adherence to the statutory requirements to support a power transmission system. These records document the implementation of substantive policies and procedures. Retention of these materials allows orderly access to information which may be required for reference and verification of Southwestern's project work, geographical studies, environmental considerations, and other material relating to project estimates and general/budgetary material related to work orders and project planning. Also includes project completions. Background material to work orders. Includes, but not limited to, preliminary material not included in work orders, working notes, and annotated copies of work order documents, project requirements diagram, and other correspondence. Arrange subject policy and procedure by fiscal year. [Based on SWPA SF 115 NC1-387-76-1 ED-1, pg 68.]

PERMANENT. Cut off file at the close of the fiscal year in which policy or procedure is canceled, superseded, or revoked. Transfer to FRC 4 years after cut off. Offer to NARA 20 years after cut off.

Item 243: Work Orders (Project Data) (6410)

Material relating to planning power transmission systems, generation interconnection projects, lines and/or loads interconnection, and requests for new transmission service. Also, electrical load data, including forecasting information and forecasts. Southwestern's project work, geographical studies, environmental considerations, and other material relating to project estimates and general/budgetary material related to work orders and project planning. Also includes project completion, background material to work orders which includes, but is not limited to, preliminary material not included in work orders, working notes, and annotated copies of work order documents, project requirements diagram, and other correspondence such as support of station serving to interconnect geographically distinct systems. Arrange by structure type. [Based on SWPA SF 115 NC1-387-76-1, ED-4, pg 69]

TEMPORARY. Cut off when superceded. Transfer to FRC 4 years after cut off. Destroy 20 years after cut off.

Item 244: Protective Relaying (6420)

Relay settings, and related paper regarding relay settings at various stations. Includes schematic diagrams and other work papers. Arranged alphabetically by substation. [Based on SWPA SF 115 NC1-387-76-1 (ED-7 page 69)]

TEMPORARY. Cut off when superceded by new relay settings. Transfer to FRC 4 years after cut off. Destroy 20 years after cut off.

Item 245: Engineering Environmental Considerations 6421)

Material relating specifically to environmental considerations guiding the engineering, design, and construction support of transmission facilities.

TEMPORARY. Cut off in the fiscal year in which final facility design is accepted. Destroy 30 years after cut off [Based on N1-434-98-28]

Item 246: Spill Prevention Control and Countermeasure (SPCC) Records (6422)

Material relating to design and application of the spill prevention control and countermeasure (SPCC) system.

TEMPORARY. Cut off when superseded. Destroy after 3 years. 40 CFR 112.7 (N1-434-98-28)

Item 247: System Reliability Criteria (6423)

Material relating to the planning for system stability. [Based on SWPA SF 115 NC1-387-76-1 (ED-5-1 page 69)]

TEMPORARY. Cut off at end of reliability study. Transfer to FRC 4 years after cut off. Destroy 20 years after cut off.

Item 248: Engineering Drawings and Maps (6430)

All SWPA numbered and non SWPA numbered drawings showing the design, line locations and property including line structures and construction support of transmission lines, stations, and structures.

Includes:

- Transmission System work.
- Fiber Optics work.
- Wireless Antenna work.
- Substations work.

Arranged by type of structure and line number. [Based on SWPA SF 115 NC1-387-76-1 (ED-H page 141)]

TEMPORARY. Cut off when superseded by new standard. Destroy upon cut off.

Item 249: System Analysis Methods (6435)

Material relating to methods for controlling the transient and dynamic stability of electrical power system.

Includes:

- Transient stability program.
- Power flow program
- Operating temperature and electrical loading
- Communication equipment and restorative procedures
- Material relating to SM&T, such as RMS, KWH, and AGC telemetry
- SWPA microwave systems, including frequency management
- Fiber optics technology

[Based on SWPA SF 115 NC1-387-76-1 (ED-10 page 70)]

TEMPORARY. Cut off at end of reliability study. Transfer to FRC 4 years after cut off. Destroy 20 years after cut off.

Item 250: Line Crossings (6440)

Material relating to crossings such as roads, bridges, and culverts in the construction support of transmission lines. Arrange by structure. **[Based on SWPA SF 115 NC1-387-76-1 (ED-12 page 70)]**

TEMPORARY. Cut off when superseded. **Transfer to FRC 4 years after cut off. Destroy 20 years after cut off.**

POWER OPERATIONS

Material relating to the scheduling and dispatching of power and the operation of the power transmission system. Coordinates power operations with the Corps of Engineers (Corps), connected utilities, and other parties to collect operations data including hourly energy generation quantities, loads, stream flow, water levels, schedules for deliveries and receipts of power, and status of generating equipment. Schedule all power supplied by and to Southwestern Power Administration (SWPA), schedule storage and release of water controlled by SWPA, determine and schedule pumping operations to provide peaking power, administer contractual operation requirements, provide for testing and maintenance of metering equipment, and maintain power system operating records and prepare reports. Timely information must be utilized for maintaining system integrity, analysis for safety and efficiencies of operation, database entries, and billing of power deliveries under SWPA's contracts. Information may be recorded on various media including paper, film, tape, disk, diskette, or in the electronic document management system. All records in this chapter are scheduled in media neutral format.

Authorization: Recommendation of Management

All retentions in this series that are by Recommendation of Management are justified as follows: (a) for historical documentation of the SWPA power system, (b) because of legal responsibilities relating to power system accidents, or (c) to serve as reference to trace trends in equipment problems.

Item 251: Operations Policy and Procedures (6701)

Policy-related documents, letters, memos, etc., covering a requested modification of the operation of the hydro system by SWPA. Such correspondence would generally be between SWPA and the U.S. Army Corps of Engineers, or other Federal, public interest groups, or customers. Internal memoranda could also be covered. The need to modify operations would be necessary to deal with critical supply situations. **[Based on BPA's SF 115 NI-305-03-1 approved January 24, 2003]**

TEMPORARY. Cut off after three (3) years. Transfer to offsite storage. Destroy after two (2) years.

Item 252: Standard Switching Orders (6702)

Instructions for accomplishing uniform switching operations at various stations. Current format is on paper; may be scanned electronically. Only the completed switching orders will be kept as record material. Arranged by switching order number. [Based on SWPA SF 115 NC1-387-76-1 (PO-E, page 154)]

TEMPORARY. Cut off at end of calendar year. Destroy 6 years after cut off.

Note: Switching orders need to be retained for the same period as the dispatcher's log. These are an extension of the log and provide support documentation.

Item 253: Power Dispatcher's Logs (6703)

Material contains daily operations logs. A chronological record of the operations of SWPA's electrical system. Includes information on switching operations, clearances, weather data, Federal plant loading, line and substation equipment trouble, etc. Current format is on paper; may be scanned electronically. [Based on SWPA SF 115 NC1-387-76-1 (PO-E, page 154)]

TEMPORARY. Cut off at end of calendar year. Destroy 6 years after cut off.

Item 254: Interruption Reports (6704)

Reports of each case of interruption affecting continuity or quality of service to customers, transmission lines, or station power. Such trouble includes momentary line outages, permanent faults, switching errors, failure of major electrical equipment, and accidental tripping of power circuit breakers. [Based on SWPA SF 115 NC1-387-76-1 (PO-I, page 155)]

TEMPORARY. Cut off at end of calendar year. Destroy 6 years after cut off.

Item 255: Integrated System Log Sheets. (6705)

Material of daily log sheets showing: Generation to SWPA by plants, monthly totals and maximums; maximum generation; and maximum generation and load record; SWPA firm system loads; non-firm system loads; customer loads; transactions consisting of actual and scheduled interchange, and inadvertent interchange. As of 2008, the format is comma delimited file exported daily to server \\achilles\lakes\msa folder; each file has the .TRN extension and is sorted by date. Past year's data is in a zip folder. Arranged chronologically (daily) [Based on SWPA SF 115 NC1-387-76-1 (PO-M, page 156)]

TEMPORARY. Cut off after close of calendar year. Destroy 40 years after cut off. Maintain onsite for 10 years and then transfer to offsite storage.

Item 256: Power Operations Reports Data (6706)

Reports and correspondence required by DOE under the Energy Policy Act of 2005 (EPACT), and developed by the Regional Entity, and other regulatory entities for which CPS - Control Performance Standards, DCS - Disturbance Control Standards, UFLS - Underfrequency Load Shedding, Loss of Load, etc. data is submitted by Operations monthly, quarterly and annually.

Regional Entity reports are developed and maintained in repositories maintained by them, and may be accessed via web interface.

North American Electric Reliability Corporation (NERC) relies on the regional entities to enforce the NERC standards with bulk power system owners, operators, and users through approved delegation agreements.

Regional entities are responsible for monitoring compliance of the registered entities within their regional boundaries, assuring mitigation of all violations of approved reliability standards and assessing penalties and sanctions for failure to comply.

TEMPORARY. Cut off 3 years after date of monthly, quarterly, or annual report
Destroy 9 years after cut off.

(Note: quarterly data should be filed with annual data for Regional Entity Reporting.)

Item 257: Regulatory Compliance Records (6707)

Materials related to readiness and compliance audit information, compliance documentation, including support documentation and correspondence. Arranged as indexed by required standards. **Based on FERC Order 693, Mandatory Reliability Standards for the Bulk-Power System:**

TEMPORARY. Cut off at the close of every third calendar year. Destroy 9 years after cut off.

Item 258: Operator Certification Records (6708)

All records related to operator training and certification as required by the Electric Reliability Organization or the Regional Entity. Arranged as indexed by required standards. **Based on FERC Order 693, Mandatory Reliability Standards for the Bulk-Power System:**

TEMPORARY. Cut off at the end of the fiscal year in which certification expires.
Destroy 9 years after cut off.

Item 259: Supervisory Control and Data Acquisition (SCADA) (6709)

Material relating to supervisory control and data acquisition (SCADA) system status reports, equipment, software, and remote terminal units and telemetering data. Maintenance log books are kept with equipment and are retained for the life of the equipment.

TEMPORARY. Cut off after system is retired. Destroy 5 years after cut off.

Item 260: SCADA Log Data (6710)

Material relating to SCADA events, alarms, analogs, windows system logs, network monitoring logs. NERC Critical Infrastructure Protection (CIP) Requirements CIP-005 requires all bulk electric systems to have a 24- hour intrusion detection capability to detect intrusions and intrusion attempts at the electronic security perimeter and on critical cyber assets. **[Based on NERC Standard CIP-005-1- Cyber Security-Electronic Security Perimeter(s) under Section D. Compliance 1.3. Data Retention]**

TEMPORARY. Cut off after close of calendar year. Destroy 3 years after cut off.

Item 261: SCADA Remote Terminal Units (6711)

Material relating to requirements for connecting remote terminal units (RTUs) such as alarms and controls to control centers. Current configurations for each RTU plus one (1) previous configuration. This process is manufacturer dependent and also dependent on RTU ownership. For foreign RTUs, only maintain a current points list (the foreign company generally does not provide the actual RTU configuration)

TEMPORARY. Cut off when superseded or obsolete. Destroy 3 years after cut off.

Item 262: Voice Recording System (6712)

Telephone conversations are recorded within the control center command room between dispatchers or schedulers with customers or the Corps of Engineers. These verbal recordings are captured onto digital media format and transcribed in the event of a discrepancy or dispute regarding actions agreed to via verbal communication. Arranged by date.

a. non-incident

TEMPORARY. Cut off and delete after ninety (90) days.

b. incident

TEMPORARY. Cut off at the end of the fiscal year in which investigation is completed. Destroy 10 years after cut off.

POWER MARKETING

Customer services such as contract development and administration for power acquisition, sales, exchange, and transmission. The official copy is only on one medium, paper, unless otherwise specified. Information may be recorded on various media including paper, film, tape, disk, diskette, or in the electronic document management system. All records in this chapter are scheduled in paper format, unless otherwise specified.

Item 263: Power Marketing Management and Planning Projects (6510)

Case files such as proposed dam construction, general files of marketing modification studies, etc.

TEMPORARY. Cut off at the end of the fiscal year in which project or study is completed. Store on-site for 5 years after completion of the project or study. Transfer to offsite storage 5 years after cut off. Destroy 15 years after cut off or when no longer needed which ever is longer.

Item 264: Power Allocation (6520)

Case files on such issues as Final Power Allocations of 1980, allocation of 7.5 MW in 1987, Capacity Loan Program, Power Allocation Policy, New Customer Policy; etc. [Based on SWPA's SF 115 NC1-387-76-1, PRO-1, pg. 167 (PO-1, pg. 79)]

PERMANENT. Cut off at the end of odd-numbered fiscal. If records are paper or other hardcopy, transfer to FRC 4 years after cut off and transfer to NARA 20 years after cut off. ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records 20 years after cut off.

NARA pre-accession policy revoked on 4/19/2022

Item 265: Requests for Power and Services (6530)

General correspondence requesting Federal power allocations [Based on SWPA's SF 115 NC1-387-76-1, PRO-1, pg. 167 (PM-1, pg. 76)]

PERMANENT. Cut off at the end of odd-numbered fiscal. If records are paper or other hardcopy, transfer to FRC 4 years after cut off and transfer to NARA 20 years after cut off. ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records 20 years after cut off.

NARA pre-accession policy revoked on 4/19/2022

Item 266: Executed Contracts and Correspondence (6541)

Original copies of power sales, transmission, and other contracts. Store by customer and contract number. Correspondence related to Executed Contracts. Copies of

executed contracts. [Based on SWPA SF 115 NC1-387-76-1, PRO-1, pg 167 (PM-1, pg 76)]

PERMANENT. Cut off at the end of odd-numbered fiscal. If records are paper or other hardcopy, transfer to FRC 4 years after cut off and transfer to NARA 20 years after cut off. ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records 20 years after cut off.

Pre-Accession policy revoked by NARA on 4/19/2022
Item 267: Contracts under Negotiation (6542)

Includes correspondence, meeting notes, and other material related to contracts under negotiation.

TEMPORARY. Cut off at the end of the fiscal year in which negotiation is completed. Store onsite for 5 years. Transfer to the Federal Records Center 5 years after cut off. Destroy 10 years after cut off.

Item 268: Contract Administration (6543)

Departmental policy statements regarding agency and DOE directives that may affect Power Marketing operations, materials on legalities of contract administration, and materials on SWPA's Energy Deferral Program.

Includes

- 6543.1 Southwestern's Annual Customer conferences
- 6543.2 NEPA policy documents related to power sales and other contracts.
- 6543.3 Southwest Power Pool (SPP) and SWPA tariff information.
- 6543.4 Questions, answers and analyses of SWPA's periodic customer surveys.
- 6543.6 Directory of Electric Power Producers and Distributors

[Based on SWPA SF 115 NC1-387-76-1, PRO-1, pg 167 (PM-1, pg 76)]

PERMANENT. Cut off at the end of odd-numbered fiscal. If records are paper or other hardcopy, transfer to FRC 4 years after cut off and transfer to NARA 20 years after cut off. ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records 20 years after cut off.

Pre-accession policy revoked by NARA on 4/19/2022
Item 269: Power Marketing Liaison Office (1220)

Inquiries, reports, and other information submitted to the PMLO.

TEMPORARY. Cut off at the end of the fiscal year in which activity is completed. Destroy when superseded or obsolete.

Item 270: Customer Associations – Regional (1262)

Meeting notes, correspondence, and materials related to regional power organizations. Includes:

- 1262.1 Southwest Power Pool non-tariff materials
- 1262.2 Southwestern Power Resources Association (SPRA) briefings from SWPA, SPRA meeting materials, and notes taken by SWPA staff at SPRA meetings.
- 1262.3 Southeast Missouri Northeast Arkansas (SEMO-NEARK) Association
- 1262.4 Western Systems Power Pool
- 1262.5 Arkansas/Missouri Association

[Based on SWPA SF 115 NC1-387-76-1, PRO-1, pg 167 (PM-8, pg 77)]

TEMPORARY. Cut off at close of odd-numbered FY. Transfer to offsite storage 4 years after cut off. Destroy 20 years after cut off.

Item 271: Customer Associations – National (1263)

Meeting notes, correspondence, and materials related to national power organizations. Includes

- 1263.1 American Public Power Association (APPA)
- 1263.2 North American Electric Reliability Council/Corporation (NERC) (*Notice: This file has been moved to Executed Contracts DE-PM75-07SW00552*)
- 1263.3 National Rural Electric Cooperative Association (NRECA)
- 1263.4 Electric Power Research Institute (EPRI)
- 1263.5 Public Power Weekly (periodical)
- 1263.6 Public Power (periodical)

[Based on SWPA SF 115 NC1-387-76-1, PRO-1, pg 167 (PM-8, pg 77)]

TEMPORARY. Cut off at close of odd-numbered FY. Transfer to Federal Records Center 4 years after cut off. Destroy 20 years after cut off.

PUBLIC AFFAIRS

Material related to writing, publishing, editing, audio/visual services, and public relations materials for the Agency for both internal and external customers. Official copies of deliverables are stored in electronic format on the network or on external hard drive, unless indicated otherwise.

Item 272: Public Relations Correspondence (1210)

Letters in response to public or congressional inquiries, letters conveying public affairs materials, letters of congratulation, official memorandums or notices regarding public relations activities, etc. Can be signed by Public Affairs staff or other agency staff. Official copies are routed versions stored on paper or printed e-mails.

[Based on SWPA SF 115 NC1-387-76-1, ADM-1, pg 166 (IPR-8, pg 46)]

TEMPORARY. Cut off at close of odd-numbered FY. Destroy 4 years after cut off.

Item 273: News Media (1211)

Relations with external news media outlets.

Includes:

- 1211.1 Press Releases issued by SWPA. Stored on paper before 1998.
- 1211.2 Transcripts, notes of press interviews
- 1211.3 News clips that mention SWPA or Corps projects. Stored on paper.

[Based on SWPA SF 115 NC1-387-76-1, ADM-1, pg 166 (IPR-9 pg 47)]

TEMPORARY. Cut off at close of odd-numbered FY. Destroy 4 years after cut off.

Item 274: Speeches (12120)

Copies of speeches by the Administrator and senior officials that affect SWPA program activities. Prior to 2002 on paper – is after 2002 electronic. **Based on SWPA SF 115 NC1-387-76-1, ADM-1, pg 166 (IPR-10, pg 47)**

TEMPORARY. Cut off at close of odd-numbered FY. Transfer to the Federal Records Center 5 years after cut off. Destroy 20 years after cut off.

Item 275: Biographical Data (1213)

Biographies of senior staff.

PERMANENT: Cut off at end of calendar year of employee separates from employment at Southwestern. Transfer to NARA when 3 years old.

Item 276: Intranet Content (1214)

Internal web site for SWPA employees for disseminating general employment information, forms, agency news (informal), verbiage, documents, and design elements of internal SWPA web site.

TEMPORARY. Destroy when superseded, updated, replaced or no longer applicable.

Item 277: Internet Content (1215)

SWPA's external web site that disseminates information to external visitors worldwide. Includes content, documents, publications, brochures, generation reporting, and general information about SWPA.

TEMPORARY. Destroy when superseded, updated, replaced or no longer applicable.

Item 278: Special Events (1216)

Support materials for meetings, celebrations, campaigns, etc.
Includes:

- 1216.1 SPRA
- 1216.2 CFC
- 1216.3 SWPA Anniversaries
- 1216.4 SWPA Employee Retirements
- 1216.5 Dam Anniversaries
- 1216.5 Other Events

[Based on SWPA SF 115 NC1-387-76-1, ADM-1, pg 166 (IPR-7, pg 46)]

TEMPORARY. Cut off at close of odd-numbered FY. Destroy 4 years after cut off.

Item 279: Photography (1351)

Still photographs in either paper or electronic format.

- 1351.1 Employees
- 1351.2 Groups related to mission of the agency
- 1351.3 Meetings related to the mission of the agency
- 1351.4 Sites and equipment
- 1351.5 Training related to the mission of the agency
- 1351.6 Customers and stakeholders

Based on SWPA SF 115 NC1-387-76-1, IPR-B-1-a, pg 111

TEMPORARY. Cut off when no longer needed for News Releases and/or Publications. Destroy 5 years after cut off.

Note: Photographs of historical interest, such as dam construction, senior level staff, etc., will be considered under the 1460 code.

Item 280: Graphic Arts (1353)

General artwork, including logos, clip art, maps, used for

- 1353.1 Brochures & flyers to support agency mission.
- 1353.2 Displays/Posters

Based on SWPA SF 115 NC1-387-76-1, IPR-B-1-b, pg 111

TEMPORARY. Destroy when no longer needed.

Item 281: Video (1354)

- 1354.1 SWPA Agency Film
- 1354.2 Training Films (includes both externally and internally produced)

- 1354.3 SWPA Meeting Films
- 1354.4 Special Project Films

TEMPORARY. Cut off when no longer needed for News Releases and/or Publications. Destroy 5 years after cut off.

Note: any video of historic events or histories of the agency are covered under (1460)

Item 282: Audio (1356)

Clips of music files, sound effects, interviews, used for news releases.

TEMPORARY. Cut off when no longer needed for News Releases and/or Publications. Destroy 5 years after cut off.

Note: any audio recordings of historic events or histories of the agency are covered under (1460)

Item 283: Agency History (1460)

Official histories, relevant news clippings, comprehensive plans, photographs of facilities, high level administrators and dam construction, significant graphic art such as logos, posters, brochures, publications, video of historic events or video histories, speeches, and audio interviews of high level officials.

Based on SWPA SF 115 NC1-387-76-1, OAD-C, pg. 116.

PERMANENT. Cut off upon completion of project or study. If records are paper or other hard copy media, transfer to FRC 3 years after cut off and transfer to NARA 15 years after cut off. ~~If records are electronic, transfer physical custody to NARA for pre-accessioning five years after cut off.~~ Transfer legal custody of electronic records to NARA 15 years after cut off.

NARA revoked pre-accession policy on 4/19/2022.

Item 284: External Newsletter (1470)

Content and graphic elements of external newsletters.

Based on SWPA SF 115 NC1-387-76-1, PER-L, pg 121

PERMANENT. Cut off at the end of fiscal year. Transfer to NARA 3 years after cut off.

Item 285: Internal Newsletter (1472)

Content and graphic elements of internal newsletters.

Based on SWPA SF 115 NC1-387-76-1, NR-G, pg 165

TEMPORARY. Destroy when obsolete or no longer needed.

Item 286: Annual Reports (1473)

Material reflecting SWPA mission objectives, strategies, annual accomplishments, annual financial activities. Official record is on one medium, paper.

Based on SWPA SF 115 NC1-387-76-1 (IPR-A, page 111)

PERMANENT. Cut off at the end of the fiscal year in which report is approved. Transfer to NARA 4 years after cut off.

~~**Item 287: Power Billing Invoices (6920)**~~

~~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.~~

Superseded by:
NI-387-10-001/6
DATE (MM/DD/YYYY):
05/25/2010

~~Case files filed alphabetically by customer containing power invoices, schedules and billing information. **Based on SWPA SF 115 NC1-387-76-1 (PO-A, page 154)**~~

~~**TEMPORARY.** Cut off at close of calendar year in which related contract or agreement is terminated. Destroy 10 years after cut off.~~

~~**Item 288: Power Accounting Spreadsheets (6922)**~~

~~Information related to power accounting and billing. **Based on SWPA SF 115 NC1-387-76-1 (PO-A, page 154)**~~

Superseded by:
NI-387-10-001/5
DATE (MM/DD/YYYY):
05/25/2010

~~**TEMPORARY.** Cut off at close of calendar year in which related contract or agreement is terminated. Destroy 10 years after cut off.~~

Item 289: Inspector General (IG) Audits (2326)

Material related to Inspector General Audits. File by individual case and by fiscal year.

TEMPORARY. Cut off at the end of the fiscal year in which all audit related findings have been addressed and no further corrective action is required. Destroy 5 years after cut off.