

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-387-76-01**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 11/30/2022

### **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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

Item OAD/A/1, Internal Directives: Master copy, together with supporting case file, (schedule page 116) remains 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### **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

All other items are inactive. This schedule, with the exception of the above item has been superseded by N1-387-09-001.

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR AUTHORITY  
TO DISPOSE OF RECORDS

(See Instructions on Reverse)

TO: GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

1. FROM (AGENCY OR ESTABLISHMENT)  
Department of the Interior
2. MAJOR SUBDIVISION  
Southwestern Power Administration
3. MINOR SUBDIVISION  
Division of Administrative Management

4. NAME OF PERSON WITH WHOM TO CONFER  
Glenna G. Waddel

5. TEL. EXT.  
736-7532

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the disposal of records, and that the records described in this list or schedule of 208 pages are proposed for disposal for the reason indicated: ("X" only one)

☐ A The records have  
ceased to have suffi-  
cient value to warrant  
further retention.

☒ B The records will cease to have sufficient value  
to warrant further retention on the expiration  
of the period of time indicated or on the occur-  
rence of the event specified.

May 4, 1976  
(Date)

*Glenna G. Waddel*  
(Signature of Agency Representative)

*James B. Rhoads*  
Archivist of the United States  
Records Management Officer  
(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>This comprehensive records disposition schedule supersedes all previously approved records schedules of the Southwestern Power Administration. Any records series created subsequent to and/or not disposable by this schedule shall be covered by supplementary records disposition authority to be obtained from the National Archives and Records Service.</p> <p>Records covered by the General Records Schedules are disposable without further authorization.</p>		

Copy to Agency & FH with 6-3-76

770 items



# RECORDS MANAGEMENT HANDBOOK

DEPARTMENT OF THE INTERIOR  
Southwestern Power Administration  
Tulsa, Oklahoma 74101



# RECORDS MANAGEMENT HANDBOOK

Branch of General Services  
Division of Administrative Management  
Southwestern Power Administration  
DEPARTMENT OF THE INTERIOR  
Tulsa, Oklahoma 74101

May 1976

## TABLE OF CONTENTS

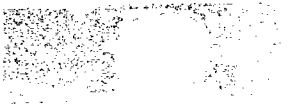
	<u>Page</u>
CHAPTER I: INTRODUCTION	
1. Policy and Scope.....	1
2. Authority.....	1
3. Responsibilities.....	1
4. Definitions.....	1
CHAPTER II: PLANNING AND ARRANGING FILES	
1. Official File Stations.....	4
2. Unnecessary Filing.....	4
3. File Groups.....	5
4. File Arrangements.....	7
5. File Supplies and Equipment.....	9
CHAPTER III: SUBJECT FILES	
1. Type of System.....	12
2. Special Features.....	13
3. Setting Up the Subject Files.....	13
4. Maintenance and Operation of the System.....	16
CHAPTER IV: CASE OR PROJECT FILES	
1. General.....	26
2. Arrangement and Maintenance.....	27
CHAPTER V: RECORDS DISPOSITION	
1. General.....	29
2. Files Cutoffs.....	29
3. Retirement to Federal Records Center.....	30
4. Reporting Requirements.....	31
CHAPTER VI: FILES MAINTENANCE AND DISPOSITION PLANS	
1. The Plan.....	33
2. Preparation of Files Plans.....	33
3. Approval.....	36
4. Updating and Revising the Plan.....	36

	<u>Page</u>
APPENDIX 1: SUBJECT FILE CLASSIFICATION SYSTEM AND LOCATION...	37
APPENDIX 2: CASE FILE CLASSIFICATION SYSTEM AND LOCATION.....	87
APPENDIX 3: RECORDS DISPOSITION SCHEDULES	
PART I    NONRECORD MATERIAL.....	164
PART II   ADMINISTRATIVE RECORDS.....	166
PART III  PROGRAM RECORDS.....	167
PART IV   CASE FILES.....	168
INDEX.....	169

## FIGURES

<u>Figure Number</u>		<u>Page</u>
1	REQUEST FOR FILING EQUIPMENT.....	11
2	SUBJECT FILE CLASSIFICATION SYSTEM.....	12
3	ARRANGEMENT OF FOLDERS, GUIDES, AND LABELS.....	15
4	FOLDER LABELS.....	16
5	OF-21, CROSS REFERENCE.....	19
6	OF-22, CONTINUITY REFERENCE (for one item of correspondence).....	21
7	OF-22, CONTINUITY REFERENCE (for entire folder).....	23
8	SPA-574, ANNUAL REPORT OF RECORDS HOLDING.....	32
9	SPA-639, FILES MAINTENANCE AND DISPOSITION PLAN.....	34

## GENERAL INSTRUCTIONS



## CHAPTER I

### INTRODUCTION

#### 1. POLICY AND SCOPE

It is the policy of the Southwestern Power Administration to establish and maintain an active, continuing program for the economical and efficient management of the creation, the organization, maintenance and use, and the disposition of all records of this Agency.

#### 2. AUTHORITY

Southwestern Power Administration is required to establish and maintain an active records management program by authority of the Federal Records Act of 1950, Records Disposal Act of 1943, and 270 DM 2.1, in accordance with parts 430-436 DM; GSA Federal Property Management Regulations; and part 430 SPA Manual.

#### 3. RESPONSIBILITIES

The Branch of General Services, Office Services Section, Division of Administrative Management has the overall responsibility for the Records Management System. This responsibility has been delegated to the Records Officer and may be administered through the appointed Records Liaison Officers in each Division or Office and File Station Representatives who create and maintain official records of SPA.

#### 4. DEFINITIONS

- A. Administrative Records. These records are often called "housekeeping" or "facilitative" records. They reflect Government-wide activities of this nature and include general activities such as budget, personnel, office supplies, space and printing and managerial activities concerned with organization, systems and procedures.
- B. Program Records. Often called "mission" records, these are the papers which relate to the reason for which an agency or office was established. All records concerned with the primary mission of SPA are considered program records.

- C. Official Files. Official files of the Southwestern Power Administration are papers, documents, maps or other documentary materials, regardless of form or characteristics, made or received in connection with the transaction of its business and preserved as evidence of the organization, functions, policies, decisions, procedures, operations or other activities or because of their informational value. Official files can be destroyed only according to the provisions of authorized disposal schedules.
- D. Nonrecord Material. Consists of materials which have no documentary or evidential value. Nonrecord material includes:
- (1). Library Material preserved solely for reference purposes.
  - (2). Extra copies of documents, such as:
    - a. "Reading," "chronological," or "day" files of correspondence.
    - b. "Tickler," "follow-up," or "suspense" copies of correspondence.
    - c. Identical duplicate copies of correspondence, memorandums, etc., wherever filed in the SPA for convenience of reference or informational purposes.
    - d. Extra copies of printed or processed materials for which official copies have been earmarked for purposes of record.
  - (3). Stocks of publications and processed documents preserved for supply purposes.
  - (4). Processed or published materials, catalogues, trade journals or other papers received from other activities or offices, other Government agencies, commercial firms or private institutions which require no action and are not part of a case upon which action is taken.
  - (5). Letters of transmittal that do not add any information to that contained in the transmitted material.
  - (6). Preliminary or intermediate drafts of letters, memoranda, reports or other papers and preliminary work sheets and information notes that do not represent

basic steps in the preparation of record copies of documents.

- (7). Correspondence and other records of transitory value which, after action has been completed, have neither evidential nor informational value (such as requests for publications, communications on hotel reservations, etc.).
- (8). Shorthand notes and stenotype tapes which have been transcribed.

Nonrecord materials are excluded from coverage of the records disposal regulations. They can be destroyed according to appendix 3, part I, Records Disposition Schedules.

- E. Working Files. Working files are composed of extra copies of official file material; supporting or background material used in developing official files but not needed as part of the official file; papers used as local administrative aids; and papers that do not serve as a basis for official action. Since working files are considered to be nonrecord material, they are kept for only a limited period of time and then destroyed.
- F. Official Files Station. An official file station is an organizational unit where official record copies of correspondence and other documents are maintained.
- F. Federal Records Center. Establishments maintained by GSA, National Archives and Records Service, primarily for the storage, servicing, security, and processing of semi- and non-current records of Federal Agencies' that must be preserved for varying periods of time and need not be retained in office equipment and space.
- H. Records Disposition Schedule. A comprehensive list of records created or accumulated showing all legally authorized action to be taken in relation to their retention and disposition. Records disposition schedules include provision for the periodic transfer to records centers as well as provisions for their final disposal or retention.

## CHAPTER II PLANNING AND ARRANGING FILES

### 1. OFFICIAL FILE STATIONS

Official file stations in the SPA headquarters will be designated by the Records Officer (See SPA Manual Part 430.1, Appendix 2). With the change to a decentralized file system, official file stations are established as necessary to provide a network of recordkeeping locations within a division or staff office to provide (1) technical control and supervision of official records, (2) facilitate coordination between and among file stations, (3) assure uniformity in filing and reference procedures, and (4) conduct coding and filing. File stations may be established at any organizational level most convenient to workers who are directly concerned with having complete and accurate records on subjects for which they have direct responsibility. As a practical matter, official file stations should be located at points where the offices with primary interest in the subject matter documented by the records are the principal users of the files.

Each of the approved official file stations will maintain the permanent and temporary current records of the office(s) it serves. In the decentralized system, the Staff Director, the Division Chiefs, and the Records Liaison Officers have responsibilities for the effective implementation and operation of the records management system within their area of responsibilities (See SPA Manual, Part 430.1). Offices served by official file stations shall not maintain duplicate records unless exceptions are granted by the Records Officer. Reading files are an exception and may be maintained where necessary or desirable by any office.

The Branch of General Services, Division of Administrative Management, will continue to operate an SPA "Central File" to maintain those records which may have an interest or reference value to several offices.

### 2. UNNECESSARY FILING

Filing of unnecessary papers is a waste of manpower and equipment. Following are examples of some of the ways to avoid unnecessary filing.

- - - Limit the number of copies of each document prepared to those which are specifically required or requested or which serve a valid purpose.

- - - Eliminate file copies of routine communications which require no record, such as form letters (a simple notation on the incoming letter will suffice) and information copies.
- - - Limit "extra copy" files to those which prove necessary to those offices having justification for their maintenance.
- - - Eliminate the filing of periodicals, brochures, catalogs and other printed matter received for general information.

### 3. FILE GROUPS

The files collection will normally consist of more than one basic type of records. A file group consists of a collection of papers which have similar characteristics and which should be kept apart from other groups of records in the office. This separation of records into readily discernible file groups facilitates filing and finding papers and assists in the disposal of records with different retention requirements.

The following file groups should generally be maintained separately:

- A. General Correspondence (Subject Files). Often known as the "general file" or the "subject correspondence file", this file consists of letters, memorandums, telegrams, enclosures, reports and miscellaneous materials arranged by subject. Subject files are set up under the subject-numeric categories specified in this Handbook.

The general correspondence file may include other types of record if the volume is small or it makes finding easier. For example, several of the primary subject file outlines in appendix 1 of this Handbook contain instructions for maintaining case-type records. Since these "case" files are controlled by subject-coded headings they are considered to be part of the subject files.

- B. Transitory Correspondence. Consists of correspondence that would ordinarily be filed in subject correspondence files except that it pertains to matters of short term interest. Includes transmittals, routine requests for information, announcements, acknowledgements and other papers that need be kept usually no more than six months. Transitory correspondence is normally filed by date so that the papers may be easily destroyed after a short retention period.

- C. Case or Project Files. Case files contain material relating to a specific action, event, person, organization, location, product, or thing. The papers may cover one or many subjects concerning a case or project, but will always be filed by a name or a number. This aids in distinguishing them from general correspondence which is filed by subject.

A project file is a case file on a specific project or study and is often more voluminous than the normal case file. This file will contain documents and material relating to various phases of the project such as proposals, authorizations, financing, reports, etc. on that particular project.

Case files are sometimes included as part of the general subject files if their volume is small and the retention requirements are similar. Usually, however, the case files are maintained separately.

- D. Case Working Papers. These are short-lived correspondence and working papers accumulated in connection with specific case and project files. They include background and working materials such as reference materials and data obtained for the case or project, data analyses and summaries, drafts and other preliminary papers leading to final results or findings.

Although these should be segregated from the important case documents for ease of disposal, they may be filed in the same folder but kept separate by fastening on the opposite side from the essential papers. Another method is to file working papers and case documents in separate folders but place the folders one behind the other in the file drawer.

- E. Technical Reference Files. Sometimes called "reference material", this file group consists of printed or processed material of nonrecord value, but having a direct relationship to the work of the office and needed for future reference. It includes such materials as technical reports, periodicals, reprints, catalogues, handbooks, equipment manuals, pamphlets, internal agency instruction and information manuals, and the like.

Unless the volume is very small, technical reference materials should always be maintained separately from correspondence files. Mixing correspondence and technical reference papers hampers disposal of both types and overloads the correspondence files.

F. Extra Copy or Convenience Files. Consists of extra non-record copies of correspondence, forms, and other papers, to satisfy a particular reference need.

- (1). Chronological files (also known as day or reading files) contain extra copies of outgoing material arranged in date sequence and maintained or circulated for informational purposes.
- (2). Suspense files (also known as tickler, pending, or follow-up file) usually consist of copies of correspondence or other papers which require action or attention on subsequent dates. Papers in this file are arranged by date and serve as a reminder to prepare needed reports, replies, etc.
- (3). Alphabetical name index files are composed of extra copies of correspondence or name cross-reference sheets arranged alphabetically by the names of individuals or organizations to whom the correspondence is addressed or concerns. This file is useful when papers are frequently called for by the names of the individuals or organizations mentioned in the records rather than by subject. The alphabetical name index is usually not practical unless the subject file is large, perhaps more than one file cabinet a year.
- (4). Duplicate working files contain mostly identical copies of papers found in the official files. These duplicate papers are maintained by operating officials for a short time as working files, and never become a part of the official filing system.

Extra copy files should be established only when fully justified. Improperly used, they waste filing equipment, supplies, office space, quick copies, and valuable employee time.

G. Special Types. These records are kept in a separate group because of size or physical characteristics. Includes films, tape records, cartographic materials and drawings, computer print outs, tab cards, etc.

#### 4. FILE ARRANGEMENTS

Once the basic file groups have been identified and separated within a files collection, a decision must be made to select a method of arranging the file group. This Handbook prescribes the arrangement of subject files (page 37) and case files

(page 86) in a uniform system. When other types of records are maintained or when records are accumulated for which specific filing instructions are not prescribed, select one of the following arrangements. These six common arrangements are based upon the feature by which the records will be requested most often. When it is necessary to identify the records by more than one feature, it is possible to use a second feature as the basis for a subarrangement.

- A. Numerical Arrangement. This system is used to arrange records normally identified and referred to by number. Numbers should not be assigned for the sole purpose of arrangement for filing. An index or chronological listing that controlled the issuance of the number is essential in filing by number.
- B. Chronological Arrangement. This system is used to arrange files in date sequence when the date is the primary means of reference. It is frequently used as a secondary arrangement with other arrangement patterns.
- C. Geographical (Location) Arrangement. In this arrangement, papers are filed by geographical location such as area, region, country, state, county, etc. It is used when the geographical location is the primary means of reference. Files are arranged in alphabetical sequence first by the name of the main geographical division, such as state, then by the next most important subdivision required for reference such as counties or cities.
- D. Organizational Arrangement. This arrangement is used when the grouping of documents by the name of the pertinent organization is the primary means of reference. They are arranged by particular levels of administration and subdivided by subordinate elements arranged alphabetically and numerically by the organizational designations.
- E. Alphabetical Arrangement. This arrangement is used to file documents by name of persons, companies, agencies, etc., in alphabetical sequence. Standard rules for alphabetizing and alphabetical filing should be used, such as those found in GSA Records Management Handbook, Files Operations.
- F. Subject Arrangement. This arrangement is used when the grouping of documents by subject is the primary means of reference. The subject arrangement of general correspondence files has been standardized in this Handbook as the subject Numeric Arrangement.

## 5. FILE SUPPLIES AND EQUIPMENT

- A. Standardization. Filing supplies and equipment at SPA are standardized to accommodate records most often filed at the file station.
- B. Filing Supplies. Following is a guide for the purchase and use of needed supplies.

### (1). Folders.

- a. Kraft folders are designed to meet the filing requirements of most offices. The general-purpose Kraft folder (11-point) with square-cut, reinforced tabs are recommended. These folders have third-cut score marks to aid in positioning labels.
- b. Pressboard folders are authorized for case or project files that are often heavily loaded and receive abnormally rough or extensive use for a period longer than 5 years.

### (2). Guide Cards. Guide cards reduce the area of search and thus speed filing and finding. They also act as a support to help folders stand erect in the file drawer. Normally active files should have one guide for each 8 to 12 folders.

Pressboard guide cards with angular metal tabs for insertable labels should be used.

### (3). Labels. Self-adhering (pressure sensitive) labels which do not require moistening are recommended. These labels are inexpensive, neat, durable, and are available with various color identification strips.

- C. Filing Equipment. Requests for filing equipment will be submitted on SPA Form 637, (figure 1) by Records Liaison Officers to the Records Officer for review. The Records Officer will approve or disapprove such requests, based on determination of compliance with approved records schedules, proper utilization of the equipment on hand, projected rate of expansion of the records for which the equipment is requested, etc.

Requests for specialized filing and records equipment, such as special size drawers, etc., will be accompanied with a complete justification for need and use, including savings or benefits that may result. Such requests will be cleared by the Records Officer before procurement.

DEPARTMENT OF THE INTERIOR  
Southwestern Power Administration  
Tulsa, Oklahoma 74101

SPA-637  
4-10-69

Date: \_\_\_\_\_

REQUEST FOR FILING EQUIPMENT  
(to be completed by Records Liaison Officer)

Requested by	Official File Station
Signature	
Number file cabinets assigned _____	
Number drawers used for official files _____	
Type and description of equipment requested _____	
Amount _____	
Justification of request for additional filing equipment:	
Has disposition been made on all eligible records? _____	
Date	
APPROVED BY:	
Records Officer	
ACTION TAKEN:	
Distribution: Records Liaison Officer Records Officer	

Figure 1. REQUEST FOR FILING EQUIPMENT

CHAPTER III  
SUBJECT FILES

1. TYPE OF SYSTEM

The uniform subject filing system used by SPA is of the subject-numeric type. It has been selected because of the flexibility which it provides for expansion purposes and the simplicity of file designations for marking purposes. The system consists of selected main (primary) subject titles with related subjects grouped in outline form as subdivisions of the primary subject titles. As defined earlier, general correspondence (subject files) consist of letters, memorandums, telegrams, reports, etc., arranged by subject. The subject outlines appear in appendix 1 of this Handbook. A mnemonic alphabetical symbol has been selected for each of the primary subjects for which files outlines have been developed. These symbols are abbreviations or contain key letters taken from the title of the primary subject outline. After limited use most of them will have been memorized. Secondary breakdowns in each outline have been assigned simple numbers thereby eliminating lengthy file designations. Figure 2 is illustrative of the system:

EMERGENCY PLANNING	PRIMARY SUBJECT
1. Policy and Plans 2. Reports and Statistics 3. Continuity of Operations	Secondary Subjects
3-1. Staffing Assignments 3-2. Relocation Plans	
4. Civil Defense	
	Tertiary Subjects
	Secondary Subject

Figure 2. SUBJECT FILE CLASSIFICATION SYSTEM

## 2. SPECIAL FEATURES

- A. Flexibility. Flexibility is an important feature of a subject file system which must be adapted to the needs of both large and small file collections. The Records Management Handbook provides flexibility by giving users the opportunity of creating or ignoring the secondary and tertiary breakdowns of primary subjects. The recordkeeper selects only those topics needed to meet the precise filing requirements of the office.
- B. Detailed Instructions. In addition to the instructions preceding each primary subject outline, detailed statements or explanations of the coverage of specific secondary or tertiary breakdowns are often provided. Classifiers should find these instructions helpful in determining proper file designations.
- C. Official File Stations. Each primary subject outline and case file contains information identifying the file station designated to maintain the official file for that subject. Often this information appears opposite the secondary subject topics in the primary subject outlines. Recordkeepers should route all papers pertaining to that subject to the official file station for filing. This practice will assure complete and accurate documentation of the SPA subject files and will prevent the intermingling of official and unofficial papers. Where possible, the official files are located at points near or in the office having direct functional interest in the records.
- D. Program vs. Administrative Records. The primary subject outlines are arranged to provide for the separation of program records from administrative (housekeeping) records. The reason for this split arrangement is because the nonprogram records have considerably shorter retention requirements than the program records. Separation of the two types will permit the administrative records to be transferred to storage or destroyed without the need for screening or disturbing the arrangement of the program records.

## 3. SETTING UP THE SUBJECT FILES

- A. Selection of Topics. Folders should not be prepared for every topic in the subject outlines. The system is designed to cover a subject in some depth, if depth is needed. Many offices will not need much depth except in the subject area which covers the functional responsibilities of their office. Often the primary subject topic above will be sufficient to file all papers on that particular subject, especially if the files collection is small.

The decision of how many file breakdowns are necessary is left to the recordkeeper. Normally a subtopic is not selected unless there will be at least five to ten papers filed there during a year. The ideal average is about 25 papers per folder. Experience is the best teacher: A too thick folder is a signal that the file needs to be broken down further. In some cases an office may desire or need to subdivide a secondary or tertiary subject alphabetically by name, geographic location, or other appropriate breakdown.

B. Arrangement of Subject Files.

- (1). Folders and Guides. Folders and guides should be prepared only for those subjects for which there will be a definite need. The folders and guides should be prepared and arranged in the file drawers exactly in the same sequence as shown in the subject outlines. Figure 3, page 15 illustrates proper use of guide cards, folders and labels.

Third-cut pressboard guides with insertable labels should be used. First position (left) guides are for primary subjects; second position (middle) are for secondaries; and third position (right) guides are for tertiaries. Guide labels should show the full file code number and title of the topic for the first folder behind the guide.

- (2). Labels. Labels through the tertiary level should be typed and uniformly placed in one position only, one-half inch from the left side of the folder tab. Labels for detailed subjects or case files beyond the tertiary level can be placed one-half inch from the right side of the folder tab.

This arrangement improves the appearance of the file and speeds filing operations. The eye can locate desired folders much faster if the labels are in a straight row rather than zigzagged across the file drawer.

Folder labels should show the primary subject title, the full file code number, date of file series and the title of the particular subject material kept in the folder. Figure 4 shows examples:

LABELS FOR CASE FILES  
OR DETAIL SUBJECTS

PERSONNEL  
PER 29 Unofficial Personal Data  
JOHN F. ADAMS

PERSONNEL  
PER 29 Unofficial Personal Data  
JAMES J. DOAKES

PERSONNEL  
PER 29 Unofficial Personal Data

PERSONNEL  
PER 29 Unofficial Personal Data  
FRANK BLACK

PERSONNEL  
PER 7-3 Equal Employment  
Opportunity

PERSONNEL  
PER 7 Equal Employment Opportunity

PERSONNEL  
PER 7 Employment

PERSONNEL  
PER 5 Awards and Commendations

TERTIARY SUBJECTS  
3RD POSITION GUIDES

PERSONNEL  
PER

PER - PERSONNEL

OFFICE SERVICES  
OSV 4-6 Requisitions & Authorizations

OFFICE SERVICES  
OSV 4 Printing and Reproduction

OFFICE SERVICES  
OSV 3 Communications Services

OFFICE SERVICES  
OSV 3 Communications Services

FINANCIAL MANAGEMENT  
FIN 14-7 Time and Attendance Reports

FINANCIAL MANAGEMENT  
FIN 14 Payrolls - Salaries

FINANCIAL MANAGEMENT  
FIN 6 Authorizations - Designations

FINANCIAL MANAGEMENT  
FIN 2 Reports and Statistics

FINANCIAL MANAGEMENT  
FIN 2 Reports and Statistics

SECONDARY SUBJECTS  
2ND POSITION GUIDES

EMERGENCY PLANNING  
EP

BUDGET AND APPROPRIATIONS  
BUD 4 Budget Execution

BUDGET AND APPROPRIATIONS  
BUD 3 Budget Submissions

BUDGET AND APPROPRIATIONS  
BUD

BUD- BUDGET & APPROPRIATIONS

PRIMARY SUBJECTS  
1ST POSITION GUIDES

ARRANGEMENT OF FOLDERS, GUIDES, AND LABELS

- B. Cross Reference. If the material being classified involves more than one primary subject topic and there is a possibility it might be asked for by either, or it has a single subject with more than one interpretation, a cross reference should be prepared.

- (1). Select the file designation for the additional subject and write directly below the file designation for the main subject. Underline this file designation to show that a cross reference is required. For example:

PO 4       Indicates that the location of this copy in this file.

IPR 6-2   Indicates that a subject cross reference is to be made for this subject.

- (2). Cross reference may be prepared on Cross Reference forms (Optional Form 21) or extra copies of papers or documents can be used as cross references. Figure 5, page 19, illustrates a completed OF-21, Cross Reference.
- (3). Cross reference will help greatly in locating needed material promptly. Care should be taken to avoid making and filing unnecessary cross reference, however, as they take up valuable space and time.

Another type of cross reference is used to indicate that a record has been moved from one place in the file to another, such as bringing forward a piece of correspondence from a cutoff or closed file for attaching to a letter in the current file. While the cross reference form can be used for this purpose, a specialized form, OF-22, "Continuity Reference," is also available. Continuity references are depicted in figure 6, page 21, and figure 7, page 23.

C. Placing Material in the Files.

- (1). Inspect all material to make certain that all copies are present and ready to be filed. Incoming letters for which a reply was not made should have a notation of action taken or "NAR," the date, and the surname of the person forwarding the communication to the files written on the upper right side. This notation is the file authority and shows that the proper official has "certified" the need for filing. Papers should not be filed if the file authority is missing but should be returned to the employee involved.

CROSS-REFERENCE (Name, number, or subject under which this form is filed)	➔	PER 5-5	(Illustrates a subject cross-reference topic under which this form is filed)
		COMPLETED SAMPLE FORM	
IDENTIFICATION OF RECORD	DATE	12-1-XX	(The date of the document also serves as the filing date of this form)
	TO	J. Smith	(Organizational titles or location may be needed to identify whom a letter is to or from)
	FROM	R. Henry	
	BRIEF SUMMARY OF CONTENTS	Memo of transmittal evaluating and approving employee suggestion for improvement in files maintenance.  (Use understandable abbreviations in summarizing the contents of documents, or in indicating organizational titles or locations in the "To" or "From" captions)	
FILED (Name, number, or subject under which the document itself is filed)		PAP 7	(Illustrates a subject topic under which the record could be filed)

#### INSTRUCTIONS FOR USING CROSS-REFERENCE SHEETS

Prepare Cross-Reference sheets when (1) a document contains more than one name, number or subject under which it should be filed, and (2) sufficient copies of the record itself are NOT available for this purpose.

**SINGLE CROSS-REFERENCE**—Select first sheet from pad, enter cross-reference caption in open space opposite ➔.

**TWO CROSS-REFERENCES**—Select first two sheets from pad, enter first caption in open space opposite ➔, enter second caption in a shaded space that matches the open space on the second sheet.

**THREE CROSS-REFERENCES**—Select first three sheets from pad, enter captions in all three spaces provided.

#### SPECIAL USE OF CROSS-REFERENCE SHEETS

A single Cross-Reference sheet can be used as a Continuity Reference when correspondence is removed from a cutoff file and brought forward and attached to correspondence in a current file.

1. Use the "Cross-Reference" space to enter the subject from which the document was removed.
2. Identify the document as illustrated above.
3. Use the "Filed" space to describe the letter to which this document is being brought forward, including the subject and date. Also show the "To" and "From" of the latest letter if it is different from the letter being brought forward.

Figure 5. CROSS REFERENCE FORM

## GUIDES TO EFFECTIVE CROSS-REFERENCING

An effective cross-reference system should be developed according to definite plans, and not be allowed to grow haphazardly. Essential considerations in a cross-reference system are:

- Written instructions should be prepared and distributed to each person who refers to files for information and to each person who services files.
- The amount of referencing is governed by the *needs* of persons who call for files data. As in other administrative procedures, the rule of economy also applies in controlling the amount of cross-referencing. A careful balance should be maintained between too little and too much cross-referencing.
- Officials who call for files materials should be able to depend on consistency in the kind and amount of cross-referencing that is performed.
- Cross-references should be sufficiently descriptive to make them completely clear as to the documents they refer to.

Persons experienced in the field have found the following guides to be useful in developing effective cross-reference systems:

### GUIDES

1. **CONSIDER THE NEEDS OF PERSONS REFERRING TO THE FILES.** The needs of persons who call for materials from the files vary. Therefore, those individuals should take an active part in indicating the references that will be needed. For example, based on their experience and understanding of programs, they are best able to show the files employees the materials that should be cross-referenced to policy, precedent, or other category.
2. **BALANCE COST AGAINST USE.** The quantity of cross-references which should be made must be determined by relating cost (*time*) required to prepare and file cross-reference forms to the time that would be required to search a file if no cross-references existed. For example, experience shows that as much as 5 to 10 minutes may be required to prepare, sort, and file one cross-reference. On the other hand, some searches for records for which there are no cross-references, may take 1 hour. It should be borne in mind that many cross-reference sheets are never referred to after being prepared and filed.
3. **USE EXTRA COPIES OR "QUICK" COPIES WHERE POSSIBLE.** Extra copies or copies produced on quick-copy machines are the best kind of cross-reference, since they are complete in themselves, and they avoid writing additional pieces of paper. Many procedures can be arranged to get extra copies, at very low cost, of material that will be cross-referenced. Cost is always checked before going to extra or quick copies.

### PRACTICAL PURPOSES SERVED

1. **BETTER RESULTS FROM TIME AND EFFORT** are obtained. Certain documents must always be cross-referenced, while other papers need never be cross-referenced. For example, Congressional correspondence is usually cross-referenced by sender's name, by subject, and often by constituent's name. On the other hand, personnel transactions, vouchers, and certain reports usually need no cross-referencing.
  - a. **SHARPER CRITERIA** are available to files personnel. Establishment of firm policies as to what *does* and what *does not* require cross-referencing, permits files personnel to process large volumes of material in bulk, without reading every document to decide whether or not cross-referencing is needed.
  - b. **PAPERWORK "BY-PRODUCTS"** are used to simplify the task of making cross-references. Full use is made of extra copies, quick copies and similar materials.
2. **MORE RELIABLE FILES SERVICE** is provided. The system is responsive to the needs of persons asking for materials from the files. Excessive cross-referencing is avoided, yet sufficient cross-references are in the files to assure fast, accurate, and consistent files reference service.

*The foregoing guides have been developed by the National Archives and Records Service, Office of Records Management, General Services Administration.*

DESCRIPTION OF CORRESPONDENCE OR DOCUMENT BEING BROUGHT FORWARD	
<b>SUBJECT</b> <i>(Under which this form is filed)</i>	ORGANIZATION AND METHODS 5-1
<b>DATE</b> <i>(Under which this form is filed)</i>	12-1-67 <i>(Also date under which letter had been filed)</i>
<b>TO</b>	J. Smith, Director, El Paso, Tex.
<b>FROM</b>	R. Henry, Records Management Officer
<b>BRIEF SUMMARY OF CONTENTS</b>	Comments on inspectn of records mgmt procedures in office; Discusses installing OF 21 Cross-Ref Form, sample enc.
BROUGHT FORWARD and filed with the documents described below	
<b>SUBJECT</b>	ORGANIZATION AND METHODS 5-1
<b>DATE</b>	1-6-69 <i>(Date under which both latest letter and brought forward letter are now filed)</i>
<b>TO</b>	P. Jones, Chief, Audit and Inspection
<b>FROM</b>	R. Henry

COMPLETED SAMPLE FORM

**INSTRUCTIONS FOR USING "CONTINUITY REFERENCE"**

Prepare a "Continuity Reference," to:

1. Replace a piece of correspondence which is being moved from one location in a file and is being refiled in a different location under a later date. Examples: (1) Bringing together all correspondence relating to a single transaction—(2) Moving correspondence to the current year's file from a file cutoff as of December 31, last year.
2. Substitute for a record when the subject under which it was originally filed is changed. When the form is so used, it is unnecessary to correct or change any index references to the former subject title.

**NOTE:** Cross-Reference, Optional Form 21, may also be used for this purpose. See instructions on cover of Optional Form 21 when the Cross-Reference is used as a Continuity Reference.

Optional Form 22  
 Feb. 1962  
 GSA Circular No. 259

CONTINUITY REFERENCE

5072-101

Figure 6. CONTINUITY REFERENCE FORM (for one item of correspondence)

DESCRIPTION OF CORRESPONDENCE OR DOCUMENT BEING BROUGHT FORWARD	
<b>SUBJECT</b> <i>(Under which this form is filed)</i>	ORGANIZATION AND METHODS 5-1
<b>DATE</b> <i>(Under which this form is filed)</i>	12-1-67 <i>(Also date under which letter had been filed)</i>
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2. Substitute for a record when the subject under which it was originally filed is changed. When the form is so used, it is unnecessary to correct or change any index references to the former subject title.

NOTE: Cross-Reference, Optional Form 21, may also be used for this purpose. See instructions on cover of Optional Form 21 when the Cross-Reference is used as a Continuity Reference.

Optional Form 22  
 Feb. 1962  
 GSA Circular No. 259

CONTINUITY REFERENCE

5022-101

Figure 6. CONTINUITY REFERENCE FORM (for one item of correspondence)

## GUIDES FOR SEPARATING ACTIVE FROM INACTIVE FILES

A criterion has been developed indicating that files which are referred to not more than once a month per file drawer should be transferred to a Federal Records Center, provided transportation cost does not wipe out space savings.

Files meeting the criterion usually should be transferred to a Center:

- Regardless of how urgent the need for the references.
- Regardless of how important the records, how highly security classified, or how extensive the restrictions on their use.

Individual documents or case folders which continue to be active after the balance of the file has reached this criterion need not be transferred, but can be brought forward and kept with the current, active files.

Persons experienced in the field have found the following guides to be useful in separating active from inactive files:

### GUIDES

1. **BREAK FILES PERIODICALLY.** Most records over 4 years old will be referred to less than once a month per file drawer. To distinguish their age, correspondence files should be maintained in blocks, according to calendar or fiscal year. This technique is called *breaking* the files, and simply means that on a given date a new set of files will be established for material dated after that time. Files can be *broken* every year, every 2 years, or every 3 years, depending on the rate with which material gathers, and upon the length of the authorized retention periods.

2. **BRING FORWARD ACTIVE DOCUMENTS.**

Documents which continue to be active beyond the *break* period can be removed from a file which has been *broken*, and refiled with current material for continued use. Either the *Continuity Reference, Optional Form 22*, or *Cross-Reference, Optional Form 21*, can be used for this purpose. See the instructions on the cover of each pad of forms for the method of completing the forms.

3. **OFFICIALLY ESTABLISH STANDARD PRACTICES.**

It is essential that agencies establish standard practices for distinguishing between active and inactive files. Various techniques can be used to arrange active and inactive files. For example, new folders can be filed in the front of a drawer, with inactive folders in the back section of the same drawer. A dated guide card can be inserted in a drawer of case folders, and cases refiled behind the guide card as they are closed. As a further aid, different colored folder tabs can be used to distinguish one time period from another. Technical assistance is available to help devise a system which would best meet individual needs.

### PRACTICAL PURPOSES SERVED

1. **VOLUME OF CURRENT FILES REMAINS SMALLER AND FILES ARE EASIER TO MANAGE**, since only active material is retained in the current files. Searching can be accomplished faster and more easily because there are fewer papers to search.

2. **CONTINUITY IS MAINTAINED** between inactive files and current files by indicating in the older file where documents have been brought forward. Papers can be retained in the current files regardless of their age. Thus, the need for continually searching through old files for current papers on a given subject is eliminated or sharply reduced. Experience has shown that papers which become active usually continue to be the ones most frequently referred to.

3. **TRANSFER OF RECORDS TO RECORDS CENTERS** and ultimate disposal can be accomplished in an orderly manner because file *breaks* have been established, and active papers have been brought forward to current files.

4. **SPACE AND EQUIPMENT ARE RELEASED** when inactive files are removed from expensive office space and filing cabinets to warehousing space and less expensive equipment.

*The foregoing guides have been abstracted from General Services Administration Records Management Handbook "Federal Records Centers," and General Services Administration Workshop "Records Disposition."*

DESCRIPTION OF CORRESPONDENCE OR DOCUMENT BEING BROUGHT FORWARD	
SUBJECT <i>(Under which this form is filed)</i>	RECORDS 1-3 RETIREMENT & TRANSFER F.Y. '56-'67 FRC, FT. WORTH, TEXAS
DATE <i>(Under which this form is filed)</i>	January 1969 (Date brought forward)
TO	(Entire file folder
FROM	brought forward.)
BRIEF SUMMARY OF CONTENTS	
BROUGHT FORWARD and filed with the documents described below	
SUBJECT	RECORDS 1-3 RETIREMENT & TRANSFER F.Y. '68-'69 FRC, FT. WORTH, TEXAS F.Y. '56-'67
DATE	F.Y. '68-'69 (Date of file group where folder is to be placed)
TO	(Entire file folder
FROM	brought forward.)

Optional Form 28  
 Feb. 1962  
 GSA Circular No. 259

CONTINUITY REFERENCE

Figure 7. CONTINUITY REFERENCE FORM (for entire folder)

## GUIDES FOR SEPARATING ACTIVE FROM INACTIVE FILES

A criterion has been developed indicating that files which are referred to not more than once a month per file drawer should be transferred to a Federal Records Center, provided transportation cost does not wipe out space savings.

Files meeting the criterion usually should be transferred to a Center:

- Regardless of how urgent the need for the references.
- Regardless of how important the records, how highly security classified, or how extensive the restrictions on their use.

Individual documents or case folders which continue to be active after the balance of the file has reached this criterion need not be transferred, but can be brought forward and kept with the current, active files.

Persons experienced in the field have found the following guides to be useful in separating active from inactive files:

### GUIDES

1. **BREAK FILES PERIODICALLY.** Most records over 4 years old will be referred to less than once a month per file drawer. To distinguish their age, correspondence files should be maintained in blocks, according to calendar or fiscal year. This technique is called *breaking* the files, and simply means that on a given date a new set of files will be established for material dated after that time. Files can be *broken* every year, every 2 years, or every 3 years, depending on the rate with which material gathers, and upon the length of the authorized retention periods.

2. **BRING FORWARD ACTIVE DOCUMENTS.** Documents which continue to be active beyond the *break* period can be removed from a file which has been *broken*, and refiled with current material for continued use. Either the *Continuity Reference, Optional Form 22*, or *Cross-Reference, Optional Form 21*, can be used for this purpose. See the instructions on the cover of each pad of forms for the method of completing the forms.

3. **OFFICIALLY ESTABLISH STANDARD PRACTICES.** It is essential that agencies establish standard practices for distinguishing between active and inactive files. Various techniques can be used to arrange active and inactive files. For example, new folders can be filed in the front of a drawer, with inactive folders in the back section of the same drawer. A dated guide card can be inserted in a drawer of case folders, and cases refiled behind the guide card as they are closed. As a further aid, different colored folder tabs can be used to distinguish one time period from another. Technical assistance is available to help devise a system which would best meet individual needs.

### PRACTICAL PURPOSES SERVED

1. **VOLUME OF CURRENT FILES REMAINS SMALLER AND FILES ARE EASIER TO MANAGE,** since only active material is retained in the current files. Searching can be accomplished faster and more easily because there are fewer papers to search.

2. **CONTINUITY IS MAINTAINED** between inactive files and current files by indicating in the older file where documents have been brought forward. Papers can be retained in the current files regardless of their age. Thus, the need for continually searching through old files for current papers on a given subject is eliminated or sharply reduced. Experience has shown that papers which become active usually continue to be the ones most frequently referred to.

3. **TRANSFER OF RECORDS TO RECORDS CENTERS** and ultimate disposal can be accomplished in an orderly manner because file *breaks* have been established, and active papers have been brought forward to current files.

4. **SPACE AND EQUIPMENT ARE RELEASED** when inactive files are removed from expensive office space and filing cabinets to warehousing space and less expensive equipment.

*The foregoing guides have been abstracted from General Services Administration Records Management Handbook "Federal Records Centers," and General Services Administration Workshop "Records Disposition."*

- (2). Assemble each unit of file material by stapling the file copy on top of the incoming communication. Correspondence is arranged so that the latest date is always on top.
  - (3). Insure that all papers relating to the same transaction are brought together in the same file or under the same subject. Previous papers on a specific transaction should be consolidated with later papers. If there is an extended lapse of time between the earliest and latest papers, a continuity reference sheet may be substituted for the older papers.
  - (4). Match the file designation of each file unit with the folder label before placing in the folder. This simple practice can greatly reduce misfiles.
  - (5). File the material in the appropriate folder with the latest dated material on top and with the top of the sheet toward the left of the file drawer as the reader faces it. In this manner all filed documents can be read as a book.
- D. Charging Material from the Files. When records are removed from the file for an individual or office, a record of such loan should be made. A Chargeout Record, (OF-23) should be properly filled out and put in the file drawer in place of the withdrawn material. Periodically, the file custodian should review the charge-out forms for files charged out for long periods of time and request their return.
- E. Special Consideration for Official Files. Those file stations who are responsible for maintaining official file topics as shown in each primary subject outline should give careful attention to these files. The official subject files will have color coded labels to differentiate them from the convenience or working files maintained under the same subject classification system. Only white labels without any color identification should be used for unofficial subject files. The SPA Records Officer will designate the color to be used for official subject file labels during each filing period (2 years).

In addition to labeling differences, the official subject files should be given other special consideration. These files document the official transactions and reflect important information regarding SPA activities. All employees should strive to assure that the official file contains all material relating to that subject. When an office receives or initiates correspondence which is properly classified under a subject for which the official file is maintained elsewhere, this office has the responsibility for forwarding the papers to the appropriate station for filing.

## CHAPTER IV

### CASE OR PROJECT FILES

#### 1. GENERAL

Case files are the largest single type of records in most offices (appendix 2). It is estimated that case files constitute 85% of the folderized records in the Government. As defined earlier, a case or project file is a file of material relating to a specific project, study, survey, activity, transaction, agency, society, organization, person, case, location, or thing. Papers in the case file may cover one or many subject but they are always interrelated by the fact that all pertain to the same case or project. Case files often have a definite beginning and ending in point of time. For example, an application may begin a case folder and a final payment receipt may close it.

Records commonly case filed include:

- Purchase Orders
- Contracts
- Investigations
- Requisitions
- Loans
- Construction projects
- Research projects
- Personnel transactions

As evident from these examples, case files are specialized records. This specialization extends to the filing feature. Case files are always filed by a name or a number. This aids in distinguishing them from general correspondence which is filed by subject.

One other characteristic is common among case files: they usually consist of papers which are recurrent as to preparation and repetitive as to the type of data recorded. Because of the recurrent and repetitive kind of information which goes into case files, recordkeepers are able to achieve a high degree of standardization not possible with other file types. An office can decide exactly what papers are essential to the case file and identify these papers by type or form number. The case files can thereby be assured the standardization which facilitates the use made of the files and their disposition.

The question often arises as to whether case files should be kept separately or arranged according to the same classification system as the subject files. The answer to this question is both yes and no. Several factors must be considered, including (1) the volume of case files and (2) the retention period of the case files. If the volume of case files is fairly large, over one file drawer for example, the two types should be filed separately. If the case files have different retention periods from the subject files, this is a strong argument for separate maintenance. See appendix 2 for a listing of SPA's case files, showing file location of each.

Several of the primary subject outlines in the subject classification system (appendix 1) contain instructions for maintaining case-type records. In these instances it has been determined that the papers can be more easily found if filed in a case arrangement. The volume and disposal factors are not relevant because the volume of case files is small and the retention periods are the same. Since these "case" files are controlled by subject-coded headings, they are considered to be part of the subject files. This chapter is concerned with the case file series which have their own basic arrangement patterns and are maintained separately from the subject files.

## 2. ARRANGEMENT AND MAINTENANCE

Case files often represent the "mission" or "function" of the office and, therefore, become perhaps the largest and most important file group. Therefore, case files must be carefully arranged and maintained.

- A. Case Arrangement. Suggested filing arrangements for each case file series are included in the records case file outlines along with cutoff, retirement and disposal instructions. Larger case files, such as project files or construction case files, may require a secondary breakdown by subject topic. The arrangement instructions include standard subject topics for these files.
- B. Labeling. Case files demand the same carefully prepared folder labels as subject files. Remember, standardization is the key to good case file maintenance and operation. Labels should be uniformly prepared, easy to read, precise and complete. Normally the label should show both the identifying case number or symbol (if any) and the full name of the individual or organization involved. As in subject files, the case labels are placed in one position only, usually on the left side of the square cut folder.

Guide cards are usually needed for case files also, since they reduce the area of search and help the folders stand erect. Guide labels for case files are relatively simple; they reflect the name or number sequence.

- C. Case Maintenance. Case files are maintained in much the same way as the subject files. Papers are classified and filed in the appropriate folders. Cross reference may be prepared if needed.

There is one important difference between case filing and other types of filing. Case filing is the easiest and fastest type of filing if the case identification is prominently placed on the face of all papers to be filed. The recordkeeper can expect difficulties and filing errors if papers have to be read with great care just to determine whether they belong in a case file series or another type of file. Time required for reading and marking file material can also be greatly reduced if the case file name or number appears on the papers.

Employees who prepare correspondence should show the case identification somewhere in the letter. Ideally, the case name or number should be placed in the "In Reply Refer To," "File Reference," or similar caption printed on the letter, or in the subject line of the letter. If the case identification appears in the body of the letter, it should be underlined - especially if an office other than the one preparing the correspondence has responsibility for filing it. If these practices are not always possible or acceptable, then typists should type the case identification in the lower right corner of file copies.

CHAPTER V  
RECORDS DISPOSITION

1. GENERAL

The objectives of a records disposition program are to insure that records of a continuing value are preserved and that records no longer of a current use to SPA are promptly disposed of or retired. The rising costs of records maintenance requires that noncurrent records be removed from office equipment and office space on an active and continuing basis. In this way SPA can not only reduce the cost of maintenance but reduce the amount of labor needed for daily operations.

2. FILES CUTOFFS

One of the most important recordkeeping procedures is to regularly "cutoff" or "break" files and start a new file. Cutting off files is important because it controls the size of the file. If not cutoff periodically, folder contents will grow and grow until individual papers become hard to find and folders become difficult to handle. Cutoff also aids records disposal. When both old and new papers are kept in the same folder the entire contents must be kept in the active files area. The only way to remove older, inactive papers is by expensive screening, usually on a paper-by-paper basis. If the files are cut off periodically, older files can be progressively moved from active files space to storage space as their reference activity declines.

- A. Subject File Cutoff. Cutoff procedures are especially important to subject files because they must be cutoff at planned intervals; there is no natural cutoff point such as the termination of a transaction, the payment of a loan, or the completion of a contract which normally signifies the closing of case files. To cutoff a subject file means to cease on a given day to file into an established file and on the following day start a new file covering the same subject. Cutoffs are usually scheduled on a fiscal year basis (June 30) or a calendar year basis (December 31). Most recordkeepers prefer to cutoff subject files on a fiscal year basis since this period corresponds with the budget and administrative year of the agency.

In order to provide uniformity this Handbook provides for cutoff of subject files on June 30 every two years. The SPA Records Officer will remind all records liaison officers and file station representatives in advance each odd numbered year to close their subject files and create new folders. The same guide cards can be used for the new folders; the closed files are usually not active enough to warrant guides.

- B. Case File Cutoff. Cutoffs are just as important with case files as any file group, perhaps more since the volume of case files exceeds all other types combined. Case files normally are cutoff at the termination of a transaction or expiration of an event (i.e., date of final payment). When closed, the folders should be marked with the date of closing and placed apart from open files. Case files that continue over a long span of years can be cutoff by setting up a new folder each year and retiring the folders for prior years which have little or no reference value.
- C. Other Files. Other file groups, such as transitory, drafts, reading files, and publications, which are nonrecord in character and have short retention periods, are covered in Part I, Nonrecord Section.

The records disposition schedules (appendix 3) contain instructions for cutting off each case file series and each group in the nonrecord section.

### 3. RETIREMENT TO FEDERAL RECORDS CENTER

One of the major objectives of SPA's records management program is to keep noncurrent records moving out of high-cost space and filing equipment into low-cost records centers as rapidly as possible. SPA places special emphasis on retirements to the Federal Records Center because so many of the SPA program records have long-term retention requirements. The Agency, therefore, relies largely upon periodic transfers to the Federal Records Center to prevent the excessive accumulation of noncurrent records in office space.

Files which are not referred to more than once a month per file drawer should be transferred to a records center, provided the transportation cost does not exceed savings in space. SPA files that meet this criteria should be transferred to a Federal Records Center regardless of how urgent the need for reference, how important the records, or how extensive the restrictions on their use may be.

Ordinarily, records should not be transferred if they will be destroyed within three years of the proposed transfer. The handling and cost involved in such a transfer action is not usually justified. Small amounts of records (less than one cubic foot) should not be retired as a sole transfer action. Wait until at least one or two boxes are ready for shipment. Records should be retired at annual intervals except when a large volume warrants more frequent transfers.

- A. Transferring the Records. When an office wishes to transfer records to the Federal Archives and Records Center, the SPA Records Officer should be contacted. The records officer will provide needed assistance and arrange for the transfer to the Federal Archives and Records Center.
- B. Federal Archives and Records Center Services. While the records are stored at the Center, reference service is available. Requests for files are normally filled and returned to the Agency within 24 hours from their receipt in the Center.

The records will be offered to the National Archives and Records Service or destroyed according to the authorized SPA records disposition schedules. The Records Center will notify agencies at the time the records become eligible for disposal. Prior concurrence can also be granted by the agency at the time the records are transferred.

#### 4. REPORTING REQUIREMENTS

Annual Report. All SPA offices maintaining any file material shall submit SPA-574, Annual Report of Records Holdings (see figure 8, page 32), no later than July 10. These reports will be sent to the Records Officer, through the Records Liaison Officer for the appropriate division or office. Each space must be completed, including a physical count by cubic feet of the amount of records on hand. At the close of the fiscal year, the records officer shall make a consolidated SPA report on SF-136, which is submitted through the Department of the Interior to the National Archives and Records Service, GSA.

ANNUAL REPORT OF RECORDS HOLDINGS

Forward a report covering all file material to the Records Officer through your Records Liaison Officer before

Date	From (Date)	To (Date)	From (Name and Title)			
Location of Files (Room Number)			Signature			
DISPOSITION OF RECORDS (CU. FT.)				EQUIPMENT AND SPACE UTILIZED		
1.	2.	3.	4.	5.	6.	7.
On Hand Beginning of Period	Trans. to (a) FRC, or (b) Other Fed. Agency	Material Destroyed	<u>Actual</u> On Hand End of Period	No. of File Cabinets	Shelving (cu. ft.)	Other Filing Equipment (cu. ft.)

Explanation of above numbered categories are on the reverse of this form.  
For the purpose of this report, volume may be calculated according to the table of cubic foot equivalents shown below. Equivalents are for full but workable drawers. Appropriate adjustments should be made for partially filled drawers.

FILING CABINETS		FILING CASES			TABULATING CARDS	OUTSIZED EQUIPMENT
Letter	Legal	3 x 5	4 x 6	5 x 8		
1½	2	1/10	1/8	1/4		
Per Drawer		Per 12" Drawer			Per 10,000	Inside Cubic Measurement

Include: All copies of correspondence, completed forms, reports, directories, statistics, charts; legal and budget documents; policy and procedural issuances, instructions, manuals; text books, catalogs, technical magazines and other publications and pamphlets; drawings, blueprints, diagrams, maps, specifications, material lists, manufacturers' instruction books and catalogs; reading files, 'working' files and papers, extra copies of written materials; motion picture films, slides, photographs, and related papers. Supplies of blank forms or stationery are not to be included.

## CHAPTER VI

### FILES MAINTENANCE AND DISPOSITION PLANS

#### 1. THE PLAN.

Files Maintenance and Disposition Plans are to be prepared by the File Station Representatives for each Official File Station and by all persons responsible for maintaining any other files. These Files Maintenance and Disposition Plans (1) identify all permanent and temporary records, (2) show how they are arranged, (3) when they are to be cut off and, (4) the specific time period or event after which records are to be removed for destruction or retirement. The plans provide for two basic categories of records, i.e., "Program" and "Administrative." Each of the two categories contain both subject and case files. Program files are the accumulated papers that together represent the primary complete record of transactions pertaining to the various program missions performed in carrying out SPA responsibilities. Administrative files are those accumulated incident to the internal administration of an office, and do not pertain to a program mission responsibility of the office.

Each File Station Representative and all persons responsible for maintaining any other files should select from appendix 1, 2 and 3 of the Files Management Handbook only those subject titles and disposal standards relating to its operations. These selections will make up the Files Maintenance and Disposition Plan for each Official File Station and any other files. SPA-639 is designed for this purpose (see figure 9, p. 34). The forms are prepared to facilitate filing and reference service, to assist in training new personnel, and to eliminate the need for constant referral to the Files Management Handbook.

#### 2. PREPARATION OF FILES PLANS.

The plan should identify all records for which an office has responsibility - both official and unofficial files. List the records series on SPA-639 (see sample in figure 9). The plan can be developed by matching and reconciling the current records against the subject file topics in appendix 1 and the case file categories in appendix 2. Topic headings and titles listed in the appendixes will be used in the files plan.

Files Maintenance and Disposition Plans are prepared in triplicate and, after concurrence of the supervisor, submitted to the Records

DEPARTMENT OF THE INTERIOR Southwestern Power Administration Tulsa, Oklahoma 74101  <u>FILES MAINTENANCE AND DISPOSITION PLAN</u> (Includes <u>all</u> files held at this location)  Instructions on Reverse		File Station or Office	Room Number		Page <u>  </u> of <u>  </u>
		Type of Files (check one)  — Program — Administrative	Date	Prepared by	Date
Item No.	Description of Files Series and Title of File	Type of Material	Arrangement	Cutoff	Disposition
Figure 9. FILES MAINTENANCE AND DISPOSITION PLAN					

## ENTRIES ON FORM

File Station or Office and Room Number - Identify the records holding office and room number.

Type of files - Indicate whether files series is Program (concerned with the primary mission of SPA) or Administrative (housekeeping or general activities of SPA) records. See pages 1 and 2 of Records Management Handbook for further explanation of terms.

Date and Prepared by - Show the date form is prepared and name of files custodian.

Date and Approved by - Approval and date signed by the Records Officer.

Item No. - Number items consecutively.

Description of Files Series and Title of File - Give the title or name of the file series (contract files, general correspondence files, etc.) and brief description adequate to clearly identify its contents and purpose. Official set of Files Maintenance and Disposition Plan should be the first file listed. A file series is a group of similar or related documents which are kept together for easy reference. Generally, they relate to the same subject, result from the same kind of activity, or have a particular form. A file or record series may consist of a single folder or hundreds of feet of files. Volume is not a factor in determining what constitutes a series of files. Each series should, however, comprise the largest practical grouping of separately organized and logically related materials that can be treated as a single unit for purposes of disposal. List each file separately.

Type of Material - Indicate whether files series is Record (official) or Nonrecord (no documentary or evidential value) material. See pages 1 and 2 of Records Management Handbook for further explanation of terms.

Arrangement - Show how file is arranged (by subject-numeric classification code, alphabetically by name of applicant, numerically by contract number, etc.).

Cutoff - Indicate how file is cut off. This may be at the close of each fiscal year, or when a case is closed by final payment on a contract, etc.

Disposition - Enter exactly as shown in authorized disposition in Records Management Handbook, Appendix 2. Give the appropriate reference to the Handbook (for example, Part II, IPR, Item B).

For more information, see Chapter VI of Records Management Handbook.

Officer for approval. They are distributed as follows: one copy to the SPA Records Officer, one copy to the appropriate Records Liaison Officer, and the approved original maintained by the file custodian at the file station. The file custodian copy is retained in the front of the first file drawer.

3. APPROVAL.

The SPA Records Officer shall review and approve proposed files plans. The plans will be reviewed to insure that proper file code and disposal instructions are being used. Upon approval, the plan shall become the official Files Maintenance and Disposition Plan for the file station and those offices served by it. No office files will be maintained that are not approved as an entry on the Files Maintenance and Disposition Plan.

4. UPDATING AND REVISING THE PLAN.

Files Maintenance and Disposition Plans should be revised when necessary to reflect any changes that may occur. In addition, files custodians shall review their files plan at the end of each fiscal year and update them as required. Revised files plans shall be prepared and approved in the same manner as original files plans.

**APPENDIX I**  
**SUBJECT OUTLINES**

## SPA ORGANIZATION REFERENCE SYMBOLS

<u>Reference Symbol</u>	<u>Office</u>
EX	Office of the Administrator
EXP	Planning Staff
PF	Power Facilities
PFE	Engineering
PFM	Maintenance
PM	Power Marketing
PMS	Customer Service
PMS-B	Billing
PMC	Power Contracts
PMC-R	Rates and Repayment
PMR	Power Resource Production
PMP	Power Operations
AM	Administrative Services
AMC	Computer Services
AMP	Personnel Management
AMF	Finance and Accounts
AMF-C	Certification
AMF-P	Payroll
AMF-Plt.Accts.	Plant Accounts
AMF-R&R	Records and Reports
AMB	Budget
AMG	General Services
AMG-S	Office Services
AMG-P	Property Management
AMG-PC	Procurement and Contracting

Action office designates office of functional responsibility.

## APPENDIX I

### SUBJECT FILE OUTLINES

Subject file outlines refer strictly to correspondence files. All other documentation will be found in the case files.

<u>Subject</u>	<u>Code</u>	<u>Page</u>
<u>ADMINISTRATIVE RECORDS</u>		
AUTOMATIC DATA PROCESSING.....	ADP	38
BUDGET AND APPROPRIATIONS.....	BUD	39
COMMITTEES.....	COM	41
EMERGENCY PLANNING.....	EP	42
FINANCIAL MANAGEMENT.....	FIN	43
INFORMATION AND PUBLIC RELATIONS.....	IPR	46
MEETINGS.....	MET	48
OFFICE SERVICES.....	OSV	49
ORGANIZATION AND ADMINISTRATION.....	OAD	51
PAPERWORK MANAGEMENT.....	PAP	53
PERSONNEL.....	PER	54
PROCUREMENT.....	PRO	60
PROPERTY MANAGEMENT.....	PRM	61
SAFETY.....	SAF	64
TRANSPORTATION.....	TRN	65
TRAVEL.....	TRV	66
VEHICLES.....	VEH	67

### PROGRAM RECORDS

ENGINEERING-DESIGN.....	ED	68
INTERAGENCY COOPERATION.....	INC	71
LAND.....	LND	72
LEGAL.....	LEG	73
MAINTENANCE.....	MA	74
POWER MARKETING.....	PM	76
POWER OPERATIONS.....	PO	79
POWER RESOURCES.....	PR	80
PROGRAM PLANNING AND REVIEW.....	PPR	85

## PART I

### AUTOMATIC DATA PROCESSING (ADP)

Use this outline for correspondence regarding policies, plans, studies and methods for processing data and information by automatic or mechanical means.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. Policy (General)	AMC	Cutoff close of odd-number
2. Reports and Statistics (Subdivide by type of report if volume warrants.)		FY. Destroy 4 yrs after cutoff.
3. ADP Committee - Interior		
4. Data Processing Facilities (Includes card-paper requirements, inventory-operating equipment, tape usage, etc.)		
4-1. Machine Utilization Data		
5. Equipment Selection (Includes feasibility studies, specification for hardware, agency requirements, etc.)		
6. Standards-Specifications		

## BUDGET AND APPROPRIATIONS (BUD)

Use the outline below for correspondence regarding budget submission and execution including estimates and formulation, apportionments, allocations, allotments, transfer of funds and financial plans for Southwestern Power Administration.

SEE: FINANCIAL MANAGEMENT for material regarding accounting and management of funds made available to SPA.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. Policy and Procedures See BUD-B	AMB	Cutoff close of off-number FY. Destroy 4 yrs after cutoff.
2. Reports and Statistics		
2-1. Recurring Reports		
2-2. Special Reports		
3. Budget Submissions		
3-1. Construction Program		
4. Budget Execution		
4-1. Allotments (Including advices - revisions) (MOR's)		
4-2. Apportionments		

BUDGET AND APPROPRIATIONS (BUD) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
4-3. Ceilings - Limitations (Includes employment cost and distribution.)	AMB	Cutoff close of off-number FY. Destroy 4 yrs after cutoff.
4-4. Transfer of Funds (Appropriation transfers, adjustment warrants, etc.)		
4-5. Construction Program		
4-6. Work Papers (Destroy 1 year after budget year.)		
5. Continuing Fund		
6. Financial Plans (Use for overall plans for expenditure of appropriated and other funds. Includes requests, consolidations, approvals, review, etc.)		
7. Fund Availability (Includes appropriated and other funds.)		
8. Purchase of Power		

## COMMITTEES (COM)

Use this subject category for correspondence pertaining to committees, boards, commissions, panels, societies, associations, councils and similar organized bodies when the subject matter is too broad or too general to be classified under more specific subjects. Includes material pertaining to minutes and reports of such bodies. Subdivide by name of committee as required and arrange alphabetically. Example shown below.

SEE: INTERAGENCY COOPERATION for SPA participation in interagency committees.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
American Public Power Association	PM	Cutoff close of odd-number
FPC Committees	PM	FY. Destroy
Missouri Basin Systems Group	PMR	4 yrs after cutoff.
Oklahoma Energy Advisory Council	PMS	
Committee on Power for the Southwest	PMS	

## EMERGENCY PLANNING (EP)

Use this outline for correspondence relating to civil and defense mobilization and plans for the continuation of operations in the event of an emergency.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. Policy and Plans	PM	Cutoff close of odd-number FY. Destroy 4 yrs after cutoff.
2. Reports and Statistics		
3. Emergency Preparedness		
3-1. Staffing Assignments		
3-2. Relocation Plans		
4. Defense Electric Power		
5. Operation Alerts and Tests		

## FINANCIAL MANAGEMENT (FIN)

Use this outline for correspondence regarding the maintenance, control and accountability of appropriated and other funds. Use also for accounting systems and procedures. Optional methods of filing accounting and bookkeeping records in accordance with prescribed regulations are permissible.

SEE: BUDGET AND APPROPRIATIONS for material pertaining to budget estimates and appropriations.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. General Policy and Procedures	AMF	Cutoff close of odd-number
2. Reports and Statistics (Use for general reports and statistics which cannot be filed under a specific subject in this outline.)	AMF	FY. Destroy 4 yrs after cutoff.
2-1. SPA Financial Reports		
2-2. Consolidated Financial Statements (SPA and Corps of Engineers)		
3. Regulations - Instructions	AMF	
4. Accounting Codes - Symbols	AMF	
5. Audits	AMF	
5-1. GAO Audit		
5-2. GAO Exceptions		
6. Authorizations - Designations	AMF	
6-1. Timekeeping Functions	AMF-Payroll	
7. Collection - Receipts	AMF	
8. Disbursements (Except salary checks, see FIN 12)	AM	

FINANCIAL MANAGEMENT (FIN) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
8-1. Accounts Payable	AMF-Plant Accounts	Cutoff close of odd-number FY. Destroy 4 yrs after cutoff.
8-2. Imprest Fund		
9. Fund Accounting (Subdivide by type of fund if volume warrants: appropriations, revolving, continuing.)	AMF	
10. Imputed Costs (Includes interest, depreciation, etc.)	AMF-R&R	
11. Ledgers (Includes general correspondence regarding ledgers and allotment and expense accounting.	AMF-R&R	
11-1. General Ledger (Includes journal vouchers, balance sheets, etc.)		
11-2. Settlements	AMF-R&R	
12. Payrolls - Salaries	AMF-Payroll	
12-1. Bond Deductions	AMF-Payroll	
12-2. Checks (Salary) (Mailing, special handling, instructions, lost or stolen, etc.)	AMF-Payroll	
12-3. Insurance Deductions (Group Life, Health Benefits)	AMF-Payroll	
12-4. Differentials (Overtime, premium pay, etc.)	AMF-Payroll	
12-5. Retirement Deductions	AMF-Payroll	
12-6. Social Security	AMF-Payroll	

FINANCIAL MANAGEMENT (FIN) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
12-7. Time and Attendance Reports	AMF-Payroll	Cutoff close of odd-number
12-8. Time and Cost	AMF-R&R	FY. Destroy
12.9. Withholding Taxes	AMF-Payroll	4 yrs after cutoff.
13. Plant Accounting	AMF-Plt Acct.	
13-1. Reports and Statistics		
13-2. Depreciation		
13.3. Inventory		
13.4. Property Transfer and Disposal		
13.5. Work Orders.		
14. Receipts	AMF-C	
15. Voucher Examination (Includes travel, transportation, payroll, personal services, etc.)	AMF-C	
16. Accrual Accounting	AMF	
17. Accounts Receivable	AMF-Plant Accounts	

## INFORMATION AND PUBLIC RELATIONS (IPR)

Use this outline for correspondence regarding relations with the public and general information activities of SPA. Includes requests for information, praise or criticism of policies and programs, and dissemination of information through mass communication media.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. Policy and Procedures	EXP	Cutoff close of odd-number
2. Reports and Statistics		FY. Destroy
3. Audio - Visual (Promotional aids only. Sub- divide as shown if volume warrants.)		4 yrs after cutoff.
3-1. Maps, Charts, Posters		
3-2. Motion Pictures and Recordings		
3-3. Photographs		
4. Exhibits, Fairs, Expositions		
5. Histories - Anniversaries		
6. Inquiries - Routine (Nontechnical)		
7. Invitations		
8. Public Relations		
8-1. Commendations - Congratulations (Regarding SPA as an agency. See PER 5 for commendations and awards of employees.)		

INFORMATION AND PUBLIC RELATIONS (IPR) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
8-2. Criticism and Complaints (Of overall SPA program. See PM 5 for power marketing criticism or complaints.)	EXP	Cutoff close of odd-number FY. Destroy 4 yrs after cutoff.
9. Publicity and Promotion		
9-1. Biographical Data		
9-2. News Clippings (From newspapers, periodicals, etc., regarding SPA.)		
9-3. Press, Radio, TV Releases (By SPA or Dept. of Interior)		
10. Speeches, Lectures, Statements		
10-1. Outside SPA		
10-2. SPA		

## MEETINGS (MET)

Use this subject category for general correspondence regarding meetings, conferences, congresses, conventions, etc. DO NOT USE for material that may be filed under a more specific subject.

SEE: COMMITTEES for committee meetings.  
INTERAGENCY COOPERATION for interagency meetings.  
ORGANIZATION - ADMINISTRATION for management or staff meetings.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. SPA Meetings	Action Office	Cutoff close of odd-number
2. Other (Create case files as needed.)		FY. Destroy 4 yrs after cutoff.

## OFFICE SERVICES (OSV)

Use this outline for correspondence regarding office services functions of communications including mail, messenger and telecommunications; printing and reproduction; office supplies and equipment; and library services.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. General Policy and Procedures	AMG-S	Cutoff close of odd-number FY. Destroy 4 yrs after cutoff.
2. Reports and Statistics (General) (Use for reports of a general nature regarding office services which cannot be filed under a specific subject in this outline.)		
3. Communication Services		
3-1. Reports and Statistics		
3-2. Mail and Messenger Service		
3-3. Telephone Service		
3-4. Telephone Directories		
3-5. Federal Telecommunications System (FTS)		
3-6. Telephone Service Orders		
4. Printing and Reproduction		
4-1. Reports and Statistics		
4-2. Graphic Services		
4-3. Equipment Utilization (Includes selection)		
4-4. Duplicating - Copying Services		
4-5. Methods and Processes		
4-6. Requisitions and Authorizations		

OFFICE SERVICES (OSV) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
5. Office Supplies (Including general material on procurement, distribution, inventories, controls, etc. on existing SPA stock)	AMG-S	Cutoff close of odd-number FY. Destroy 4 yrs after cutoff.
6. Office Equipment Maintenance - Repairs		
7. Library Services		
8. Buildings Management Services (Use for general material regarding buildings management services in SPA headquarters including liaison with GSA and Post Office Department. Includes papers on utilities, conference room reservations, janitor service, etc., See PRM outline for material regarding real property management.)		

## ORGANIZATION AND ADMINISTRATION (OAD)

Use for general correspondence relating to the internal organization and reorganization of SPA; the assignment and realignment of functions; management surveys, studies, policies and procedures; and management improvement. Do NOT use for material which can be classified under a more specific subject.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. Policy (General)	AMG-S	Cutoff close of odd-number
2. Reports and Statistics		FY. Destroy
3. Administrative Audits and Inspections		4 yrs. after cutoff.
3-1. Field Offices		
4. Committee Management (General material regarding committees and committee assignments. See appropriate subject outline for papers regarding a specific committee.)		
5. Delegations of Authority (Includes designations and authorizations.)		
5-1. SPA		
5-2. Department of the Interior		
6. Management Improvement (Includes studies, surveys, systems, work simplification, etc. Subdivide by study or project as required.)		
6-1. Financial Management Improvement		
6-2. Cost Reduction		
6-3. Energy Conservation	EXP	
7. Manpower Utilization		
8. Organization - Reorganization (Includes reorganization plans, statement of functions, etc.)	AMG-S	
8-1. SPA		

ORGANIZATION AND ADMINISTRATION (OAD) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
8-2. Department of the Interior	AMG-S	Cutoff close of odd-number
8-3. Staffing Roster		FY. Destroy
9. Visits (Use for general material regarding visits of Department and other officials for admin- istrative purposes, briefings, etc.)		4 yrs after cutoff.
10. Departmental Manual		

## PAPERWORK MANAGEMENT (PAP)

Use this outline for all correspondence relating to paperwork and records management functions including records maintenance and disposition, correspondence, forms, and reports.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. Policy (General)	AMG-S	Cutoff close of odd-number FY. Destroy 4 yrs after cutoff.
2. Reports and Statistics		
3. Correspondence Management		
4. Directives Management (Use of material regarding preparation, review, clearance, control, etc., of internal issuance systems.)	EXP	
5. Document and Information Security	AMG-S	
6. Forms Management		
7. Records Management		
8. Records Disposition		
8-1. Disposal Schedules		
8-2. Retirement and Transfer (Federal Records Centers.)		
8-3. Reference Requests from FRC		
9. Reports Management (Includes recurring reports, lists, and general material regarding reports preparation, submission, control and costs.	EXP	
10. Vital Records Program	AMG-S	

## PERSONNEL (PER)

Use this outline for correspondence covering all phases of personnel administration, including employment, salary and wage administration, employee relations, training and career development. Papers relating to the status or service records of individual employees will be filed and maintained in the Official Personnel Folders.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. Policies and Procedures (Use of material which is too general to be filed under a more specific subject in this outline.)	AMP	Cutoff close of odd-number FY. Destroy 4 yrs after cutoff.
2. General Reports and Statistics (Use only for those which cannot be filed under one of the more specific subjects in this outline.)		
3. Laws and Regulations (Use for PRM, CSC, and Departmental directives of a general nature.)		
4. Absence and Leave (Subdivide by type if volume warrants.)		
5. Employee Relations and Services		
5-1. Appeals and Grievances (Includes general material and policies and procedures for handling appeals, complaints, and grievances. For performance appeals, see PER 13-1.)  (Case file papers relating to individual appeals and grievances.)		
5-2. Blood Donors		
5-3. Conduct of Employees (For material regarding conflicts of interest, political activity, acceptance of gratuities, etc. Subdivide if necessary.)		

PERSONNEL (PER) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
5-4. Disciplinary and Adverse Action	AMP	Cutoff close of odd-number
5-5. Employee Organizations (Social, welfare, recreation, etc.)		FY. Destroy 4 yrs after cutoff.
5-6. Fund Drives - Campaigns (Subdivide by name of campaign or drive if volume warrants.)	EX	
6. Employment (Use for material too general to be filed in specific subtopic.)	AMP	
6-1. Reports and Statistics		
6-2. Ceilings		
6-3. Experts and Consultants		
6-4. Former Employees (Inquiries, etc.)		
6-5. Hire the Handicapped		
6-6. Military (Includes deferment, restoration, etc.)		
6-7. Reemployment (Reemployment rights, rehired annuitants, etc.)		
6-8. Student and Summer Employment		
7. Health and Medical Care (Use this topic and its sub- divisions for material regarding personal injuries and claims, medical facilities and services. See SAFETY outline for papers on safety program and accident prevention.)		

PERSONNEL (PER) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
7-1. Claims - Compensation (Federal Employees Compensation Act.)	AMP	Cutoff close of odd-number FY. Destroy 4 yrs after cutoff.
7-2. Examinations		
7-3. Facilities - Services (Includes medical centers, designated physicians, immunization services, etc.)		
8. Hours of Duty (Changes in work week, holidays, office hours, etc.)		
9. Incentive Awards Program (Includes both cash and honor awards.)		
9-1. Reports and Statistics		
9-2. Incentive Awards Program Committee (Suggestions)	Rec. Secretary - Incentive Awards Program	
10. Insurance	AMP	
10-1. Group Life (FEGLI)		
10-2. Federal Employee Health Benefits		
10-3. Unemployment Compensation		
11. Inspection and Surveys (Includes CSC inspections, Department and Bureau)		
12. Pay Administration (Use of material regarding determination of salary and wage scales. For payroll matters, see Financial Management outline.)		
12-1. Labor Agreements (IBEW, etc.)		

PERSONNEL (PER) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
13. Performance Evaluations (Includes rating plans, performance requirements and standards, etc. File individual performance rating in OPF.)	AMP	Cutoff close of odd-number FY. Destroy 4 yrs after cutoff.
13-1. Appeals (Establish individual case files.)		
14. Personnel Records and Processing (Includes bulletins, instructions, correspondence, other material on processing personnel actions, preparation of forms, release of information, etc.)		
15. Position Classification and Evaluation (General material, policy and procedures.)		
15-1. Appeals and Reviews		
15-2. Audits and Surveys		
16. Promotion and Internal Placement		
16-1. Assignments - Details		
16-2. Promotion - Demotion		
17. Recruitment, Appointment and Placement (Includes material on general policy, plans, procedures, staffing patterns.)		
17-1. Announcements		
17-2. Appointment (Includes initial appointment, oaths of office, reinstatement, etc.)		
17-3. Qualifications (Include general and medical.)		

PERSONNEL (PER) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
17-4. Recruiting Program (High school, college recruitments; special programs, etc.)	AMP	Cutoff close of odd-number FY. Destroy 4 yrs after cutoff.
17-5. Vacancies		
17-6. Area Offices U.S.C.S. Examiners		
18. Training and Career Development		
18-1. Reports		
18-2. Courses - Seminars - Announcements		
18-3. Education Plans and Programs (Includes tuition assistance programs.)		
18-4. Internal SPA Training		
18-5. Training Aids and Material		
18-6. Upward Mobility		
19. Separations and Displacements		
19-1. Retirement (Use for Civil Service and Social Security retirement systems, benefits, etc.)		
19-2. Termination (Resignations, separation for cause, deaths, etc.)		
19-3. Transfers Out (To other agencies)		
19-4. Reductions-in-Force		
20. Equal Employment Opportunity	AMG	
20-1. Reports		

PERSONNEL (PER) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
20-2. Affirmative Action Plan	AMG	Cutoff close of odd-number FY. Destroy 4 yrs after cutoff.
20-3. Federal Women's Program		
20-4. 16-Point Program		
20-5. Indian Desk	AMP	
20-6. Appeals and Grievances (Includes general material and policies and procedures for handling EEO appeals, complaints, and grievances.)  (Case file papers relating to individual appeals and grievances.)	AMG	
21. Security and Suitability (Field investigations, sensitive positions.)	AM	

## PROCUREMENT (PRO)

Use this outline for correspondence regarding the procurement of property, equipment and supplies. Includes material on contracting and contract administration. This outline is to be used for general correspondence and material regarding procurement; papers regarding a specific contract or purchase order are filed in the appropriate case files.

SEE: LAND regarding acquisition of land and land right-of-way.  
POWER MARKETING regarding contracting for sale of power.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. General Policy and Procedures (Use for material which is too broad in content to be filed under a specific subject in this outline.)	AMG-PC	Cutoff close of odd-number FY. Destroy 4 yrs after cutoff.
2. Reports and Statistics (Use for reports and data which are too general to be filed under a specific subject in this outline.)		
2-1. Recurring Reports		
2-2. Special Reports		
3. Laws - Regulations (Subdivide if volume warrants.)		
4. Imprest Fund Purchases		
5. Invitation, Bid, and Award (Contracts)		
5-1. Reports and Statistics		
5-2. Bidders List		
6. FEDSTRIP		
7. Certificates of Insurance		
8. Roof Guarantees		
9. Contract Administration (Use for general material, policies, procedures, etc., concerning contracting for construction, equipment or services for the design, construction, maintenance or operation of transmission systems. Papers regarding a specific contract should be filed in the contract case files maintained separately.)		
10. Sources of Supply		

## PROPERTY MANAGEMENT (PRM)

Use this outline for correspondence relating to the acquisition, management, accountability, and disposition of personal and real property.

SEE: LAND for material regarding acquisition of land and land rights for substations, switching stations, radio tower sites, transmission line easements, etc.  
PROCUREMENT for material regarding procurement of property supplies and services.  
VEHICLES for acquisition, maintenance and disposition of vehicles.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. General Policy and Procedures (Use for material which is too general in content to be filed under a more specific subject in this outline.)	AMG-P	Cutoff close of odd-number FY. Destroy 4 yrs after cutoff.
2. Reports and Statistics (Use for reports and data which are too general to be filed under a more specific subject in this outline.)		
3. Laws - Regulations (Subdivide into real or personal property if volume warrants.)		
4. Real Property Management		
4-1. Reports and Statistics (Subdivide by name of report if volume warrants.)		
4-2. Acquisition (Use for material on acquisition of buildings and grounds; leases, lease agreements, renewals, floor plans, etc.)		
4-3. Accountability - Control		

PROPERTY MANAGEMENT (PRM) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
4-4. Maintenance, Repairs, Improvements (Includes alterations, painting, cost estimates, work orders, etc. Case file by project when volume warrants.)	AMG-P	Cutoff close of odd-number FY. Destroy 4 yrs after cutoff.
4-5. Protection and Security (Use for material regarding protection and security of buildings and grounds including fences, gates, passes, etc. See PAP 5 for document and information security.)		
4-6. Space Assignment and Utilization (Includes occupancy guides, space requests, space surveys, related reports, etc. Arrange by locality if volume warrants.)		
4-7. Construction		
4-8. Disposal		
4-9. Utilization		
5. Personal Property Accountability (Subdivide this subject topic into field or headquarters folders as needed.)		
5-1. Reports and Statistics (Subdivide by name of report.)		
5-2. Stock Controls (Includes storage and issue.)		
5-3. Identification (Tagging, etc.)		
5-4. Inventories		

PROPERTY MANAGEMENT (PRM) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
5-5. Loans and Exchanges		Cutoff close of odd-number
5-6. Receiving Documents (Includes delivery documents, receipts, etc.)		FY. Destroy 4 yrs after cutoff.
6. Loss and Damages (Includes thefts.)		
7. Maintenance and Repairs (Of personal property other than office equipment. See OSV 6 for office equipment maintenance and repairs.)		
8. Storage and Warehousing		
9. Surplus - Excess Property		
9-1. Reports and Statistics		
9-2. Acquisition		
9-3. Disposition (Includes scrap, transfer, sale, donation, etc.)		
9-4. Utilization		
10. Board of Survey	Rec. Secretary of Board	

## SAFETY (SAF)

Use this outline for correspondence relating to the safety program. Includes fire protection, accident prevention, safe driving, etc.

SEE: PERSONNEL outline for material regarding employee health including personal injuries, medical facilities and services.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. Policy (General) (Procedures, regulations, etc.)	PF	Cutoff close of odd-number FY. Destroy 4 yrs. after cutoff.
2. Reports and Statistics		
3. Accident Prevention		
4. Awards	AMP	
4-1. Departmental	PF	
4-2. Safe Driving	AMP	
5. Bulletins and Posters	PF	
6. First Aid		
7. Fire Protection and Prevention		
8. Safe Driving		
9. Safety Committees		
10. Safety Meetings (Other than committee meetings.)		
11. Tools and Equipment (Safety) (Safety glasses, fire extinguishers, first aid kits, etc.)		
12. Training		

## TRANSPORTATION (TRN)

Use this outline for correspondence regarding the shipment of equipment supplies and materials.

SEE: TRAVEL for material regarding the travel of individuals, and movement of household goods.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. General Policy and Procedures	AMG-PC	Cutoff close of odd-number FY. Destroy 4 yrs after cutoff.
2. Reports and Statistics		
3. Freight and Express Shipments		
3-1. Bills of Lading		
3-2. Claims (Loss and damages, etc.)		

## TRAVEL (TRV)

Use this outline for correspondence regarding the travel of individuals and movement of household goods.

SEE: TRANSPORTATION for material regarding transportation of things.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. General Policy and Procedures	AMF	Cutoff close of odd-number
1-1. Aircraft Service	AMF	FY. Destroy 4 yrs. after cutoff.
2. Reports and Statistics	AMF	
3. Regulations	AMF	
4. Accommodations - Hotels	AMP	
5. Advance of Funds	AMF	
6. Authorizations - Orders	AMF	
7. Transportation Requests	AMG-S	
8. Travel Vouchers (For general material regarding procedures, preparation and submission, etc.)	AMF	

## VEHICLES (VEH)

Use this outline for correspondence pertaining to the acquisition, maintenance, use and disposition of automobiles and other vehicles.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. Policy (General)	AMG-P	Cutoff close of odd-number
2. Reports and Statistics (Subdivide by type if volume warrants.)		FY. Destroy 4 yrs after cutoff.
3. Accidents	PF	
4. Assignments or Use	AMG-P	
5. Courtesy Cards		
6. Disposition (Sale, transfer, etc.)		
7. Interagency Motor Pool		
8. Licenses - Registration		
9. Maintenance and Repairs (Includes inspections.)		
10. Purchases		
11. Interagency Motor Equipment Advisory Committee		
12. Permits to Operate (Driver's Tests, tec.)	AMP	

## ENGINEERING-DESIGN (ED)

Use this outline for correspondence regarding the engineering and design of the SPA power system, including transmission lines, substations, and switching stations.

	<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
P	1. Policy, Plans, and Procedures (Use for general material which cannot be filed under a more specific subject in this outline.)	PFE	Cutoff close of each odd-number FY. <u>Permanent</u> all items marked "P." Transfer to FARC 4 yrs after cutoff. Will be offered to NARS 20 yrs after cutoff.
P	2. Reports and Statistics (Use this topic for reports of a general nature concerning engineering-design. Reports limited to a specific subject should be filed under that appropriate subject in this outline.)		Temporary. All other record files. Transfer to FARC 4 yrs after cutoff. Destroy 20 yrs after cutoff.
	3. Communications - Control System (Use this topic and its subdivisions for general material regarding communication, control and supervisory systems and equipment for engineering-design. Papers regarding communication or control systems and equipment for a particular station should be filed under the appropriate switching or substation, ED.)		
	3-1. Carrier Current		
	3-2. Radio (Includes microwave, VHF and mobile radio systems. Subdivide by type if volume warrants.)		
	3-3. Load Control		
	3-4. Metering - Telemetering		
	3-5. Relaying		

# ENGINEERING-DESIGN (ED) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
4. Cost Estimates (Subdivide by type of estimate if volume warrants; line or station reroute, survey, etc.)	PFE	Cutoff at close of ea. odd-numbered FY. Temporary. Transfer to FRC 4 yrs after cutoff. Destroy 20 yrs after cutoff.
5. Engineering Studies	EXP	
5-1. Fault Studies		
5-2. Load Studies		
6. Maps and Drawings (Use for general correspondence regarding creation, acquisition, development, and utilization of maps and drawings concerning the SPA power systems. Do not place the actual maps and drawings in this file.)	PFE	
7. Protective Facilities - Systems (Use for general correspondence regarding protective devices and methods. For papers regarding specific stations or lines, see ED.)		
7-1. Protective Methods and Procedures (Cathodic protection, clearance, spacing, grounding, insulation, etc.)		
7-2. Protective Equipment (General material regarding lightning arrestors, fuses, circuit breakers, etc.)		
8. Relocations (Use for general material concerning the broad subject of relocation of features and structures made necessary in the construction and operation of the SPA power system. For material concerning relocation of a specific structure or feature, such as a transmission line or switching station, see ED 11 or 12.)		

# ENGINEERING-DESIGN (ED) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
9. Research and Development (Of electrical transmission systems and equipment.)	PFE	Cutoff at close of ea. odd-numbered FY. Temporary.
10. Specifications and Standards (General correspondence regarding design and engineering specifications and standards for facilities, equipment, structures.)		Transfer to FRC 4 years after cutoff. Destroy 20 yrs after cutoff.
11. Substations and Switching Stations (Use this topic for general material concerning design, engineering, and changes to substations and switching stations. Papers regarding a specific station should be filed in individual case folders, if volume warrants.)		
11-1. Case Files (Create a separate file for each station.)		
12. Transmission Lines (Use this folder for general materials regarding transmission lines including design and engineering of conductor and supporting structures, sag and stress data, clearances, poles and towers, etc. Papers regarding a specific line are filed in individual case folders, if volume warrants.)		
12-1. Case Files (Arrange case folders by number for each transmission line in the SPA integrated system.)		

## INTERAGENCY COOPERATION (INC)

Use this outline for general correspondence regarding cooperation and coordination of SPA with other Federal agencies, state and local governments, cooperatives, interconnected power systems, etc. Do NOT use for material which can be filed under a more specific subject.

SEE: POWER RESOURCES for material regarding interagency coordination of river basin planning studies and SPA reviews of outside studies.

	<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
P	1. General Policy	PMR	Cutoff close of each odd-
P	2. Federal Agencies (Includes definitions of areas of responsibility and authority, operating relationships, program coordination, etc. Subdivide by agency or interagency committee if volume warrants.)	Action Office	number FY. <u>Permanent</u> all items marked "P." Transfer to FARC 4 yrs after cutoff. Will be offered to NARS 20 yrs after cutoff.
P	3. State Agencies	PMR	
P	4. Municipalities, Cities and Cooperatives		Temporary. All other record files. Transfer to FARC
P	5. Southwest Power Pool System	PM	4 yrs after cutoff. Destroy
P	5-1. Reports and Statistics	PMP	20 yrs after cutoff.
P	6. Middle South System		
P	7. National Electric Reliability Council (Mr. King, Member Executive Board)	EX	
P	8. North American Power System (Interconnection (NAPSIC))	PM	

## LAND (LND)

Use this outline for correspondence regarding the appraisal, condemnation, and acquisition of land, land rights and permits and agreements relating to the use of land for SPA power operations. The outline is intended for general correspondence. Papers concerning a specific land transaction are filed in the appropriate land file series.

	<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
P	1. Policy and Procedures	AMG-P	Cutoff at close of ea. odd-number FY. <u>Permanent</u> . all items marked "P."
P	2. Reports and Statistics (Subdivide by type of report if volume warrants.)		Transfer to FARC 4 yrs after cutoff. Will be offered to NARS 20 yrs after cutoff.
	3. Appraisal		Temporary. All other record files. Transfer to FARC 4 yrs after cutoff. Destroy 20 yrs after cutoff.
	4. Acquisition and Ownership		
	5. Crossings and Permits (Use for general correspondence regarding crossings and permits needed for SPA lines, case file by line number. Also use for material regarding crossing of SPA lines by utility companies and other outside agencies.)		

LEGAL (LEG)

Use this subject category for correspondence regarding legislation, legal affairs, interpretation of law, litigation, and related legal subjects that cannot be filed under a more specific subject.

SEE: LAND for condemnation and right-of-way material.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. Claims and Litigation	Action Office	Cutoff at
1-1. Tort Claims	AMP	close of each
2. Decisions, Opinions and Interpretations	AMF	odd-numbered FY. Temporary.
2-1. Comptroller General		Transfer to FRC 4 years after cutoff.
3. FPC Dockets	PM	Destroy 20 yrs after cutoff.
4. Laws, Rules and Regulations	AMG-S	
4-1. Freedom of Information Act		
4-2. Federal Register	EXP	
4-3. Privacy Act	AMG-S	
5. Legislation	EXP	
5-1. Legislative Expediter (Includes all legislative comments.)		

## MAINTENANCE (MA)

Use this outline for correspondence regarding the maintenance and operations of the SPA power system including transmission lines, substations and switching stations.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
1. Policy, Plans and Procedures (Use for general material which cannot be filed under a more specific subject in this outline.)	PFM	Cutoff at close of ea. odd-numbered FY. Temporary. Transfer to FRC 4 years after cutoff. Destroy 20 yrs after cutoff.
2. Reports and Statistics (Use this topic for reports of a general nature concerning maintenance. Reports limited to a specific subject should be filed under that appropriate subject topic in this outline.)		
3. Communications - Control System (Use this topic and its subdivisions for general material regarding maintenance of communication, control and supervisory systems and equipment. Papers for a particular station should be filed under the appropriate switching or substation, MA 8 or 9)		
3-1. Carrier Current		
3-2. Radio (Includes microwave, VHF and mobile radio systems.)		
3-3. Load Control		
3-4. Metering - Telemetering		
3-5. Relaying		
4. Right-of-Way Applications (Interior Form DI-1150 and related papers. Arrange by application number within folder.)	EXP	

MAINTENANCE (MA) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
5. License Applications (Includes SPA comments and opinions regarding applications made to FPC for power companies to build lines across Government land.)	EXP	Cutoff at close of each odd-numbered FY. Temporary. Transfer to FRC 4 years after cutoff.
6. Inspection of Power System (Use for material and reports of a general nature regarding the inspection of the SPA power facilities and major mechanical features, particularly with respect to structural safety and efficient operation and maintenance. For inspections limited to a particular feature such as a switching station or transmission line, see MA 8 or 9.)	PFM	Destroy 20 yrs after cutoff.
7. Meter Tests		
8. Substations and Switching Stations (Use this topic for general material concerning maintenance, operation and repair of substations and switching stations. Papers regarding a specific station should be filed in individual case folders.)		
8-1. Case Files (Create a separate file for each station.)		
9. Transmission Lines (Use this folder for general materials regarding transmission lines including conductor and support structures, sag and stress data, clearances, poles and towers, etc. Papers regarding a specific line are filed below in the appropriate case file.)		
9-1. Case Files		
10. Highway Permits		

## POWER MARKETING (PM)

Use this outline for correspondence pertaining to power marketing and sales including contracting for sales, billing, customer relations, rates and repayments.

	<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
P	1. General Policy and Procedures	PM	Cutoff at close of ea. odd-numbered FY. <u>Permanent</u> all items marked "P." Transfer to FARC 4 yrs after cutoff. Will be offered to NARS 20 yrs after cutoff.
P	2. Laws and Regulations (Including authority to market power.)		
P	3. Reports and Statistics (General reports which cannot be filed in a specific subject in this outline. Subdivide by name of report as volume warrants.)		
P	3-1. Recurring Reports		Temporary. All other record files. Transfer to FARC 4 yrs after cutoff. Destroy 20 yrs after cutoff.
P	3-2. Special Reports		
P	3-3. Marketing Statistics	PMC	
	4. Application for Power (Use this topic for general material regarding applications.)	PMS	
	4-1. Applications Case Files (Arrange alphabetically by name of applicant. Once contract negotiations commence, papers from this file should be withdrawn and placed in Power Sales Contract Negotiation case files maintained separately.)		
	5. Complaints - Protests - Inquiries (Concerning SPA power marketing policies, plans, etc., by non-customers. If papers become voluminous, establish individual files. See contract case files maintained separately for customer complaints.)		

POWER MARKETING (PM) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
6. Contract Administration (Power Sales) PMS (Use for material regarding preparation, administration and cancellation of power sales contracts in general.)		Cutoff at close of ea. odd-numbered FY. Temporary. Transfer to FRC 4 years after cutoff. Destroy 20 yrs after cutoff.
6-1. Reports (Status reports, summaries, etc. Subdivide by type if volume warrants.)		
6-2. Contract Provisions and Requirements (Standard provisions, resale rate provisions, wheeling requirements, etc. Subdivide if volume warrants.)		
6-3. Contract Preparation - Distribution		
7. Customer Financial Reports (Use for general correspondence regarding submittal of financial and operating reports to SPA by public and private utilities. File actual reports in case file series.)		
8. Customer Relations and Services		
9. Power Billing and Sales (Use this topic for general correspondence, reports, etc.)  (Case file power billings arranged by customer.)		
9-1. Contract Demands		
10. Rates	PMC	
10-1. Reports and Statistics (Subdivide by name of report if volume warrants.)		
10-2. Rate Curves and Charts		
10-3. Rate Schedules		

POWER MARKETING (PM) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
10-4. Rates, Resale	PMC	Cutoff at close of ea. odd-numbered FY. Temporary.
10-5. Rates, Wholesale		Transfer to FRC 4 years after cutoff.
10-6. Rates, Standby		Destroy 20 yrs after cutoff.
11. Repayment Studies		
11-1. Interest Rates		

## POWER OPERATIONS (PO)

Use this outline for correspondence regarding the scheduling and dispatching of power and the operation of the power transmission system.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
P 1. Policy, Plans and Procedures (Use for general material which cannot be filed under a more specific subject in this outline.)	PMP	Cutoff at close of ea. odd-numbered FY. <u>Permanent</u> all items marked "P." Transfer to FARC 4 yrs after cutoff. Will be offered to NARS 20 yrs after cutoff.
P 2. Reports and Statistics (Use this topic for reports of a general nature concerning operation of the power system. Reports limited to a specific subject should be filed under that appropriate subject topic in this outline.)		Temporary. All other record files. Transfer to FARC 4 yrs after cutoff. Destroy 20 yrs after cutoff.
3. Interconnections and Integration of Operations (Use for general material regarding interconnection of power facilities, integration of power operations including technical aspects of interchange of power between plants, pooling of power, wheeling, etc. Do not include material regarding contracts or agreements.)		
4. Interrupted Service, Outages, Failures		
5. Power Operation - Generation (Use this topic for correspondence and other papers regarding system operation, instruction, operating schedule, reports and logs not regarding a specific project.)		
5-1. Case Files (Create a separate case file for each SPA reservoir project and arrange alphabetically. Include all general material concerning operation/generation at the specific project.)		

## POWER RESOURCES (PR)

Use this outline for correspondence relating to the evaluation, control, utilization, planning, conservation and development of water and power resources including dams, reservoirs, rivers and waterways.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
P 1. General Policy and Plans	PMR	Cutoff at close of ea.
P 2. Reports and Statistics		odd-numbered FY. <u>Permanent</u>
P 3. Conservation (Of water and power resources. See PR 6 for fish and wildlife conservation.)		all items marked "P." Transfer to FARC 4 yrs after cutoff.
4. Cost Allocation	EXP	Will be offered to NARS 20 yrs after cutoff.
4-1. Reports and Statistics (Subdivide by name of report if volume warrants.)		
4-2. Financial Data (For general material regarding interest rates, expenses, depreciation, amortization, tables, charts, other data regarding cost allocation.)		
4-3. Revenue Estimate		
5. Extra High Voltage	PMR	

POWER RESOURCES (PR) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
P 6. Fish and Wildlife (Use for fish and wildlife conservation and protective programs and objectives, plans for water supply for wildlife areas, cooperative studies, etc.)	PMR	Cutoff at close of ea. odd-numbered FY. <u>Permanent</u> all items marked "P." Transfer to FARC 4 yrs after cutoff. will be offered to NARS 20 yrs after cutoff.
6-1. Water Temperature Effects		
P 7. Floods		
P 7-1. Problems and Losses		
P 7-2. Prevention and Control		Temporary. All other record files. Transfer to FARC 4 yrs after cutoff. Destroy 20 yrs after cutoff.
P 8. Headwater Benefits		
9. Load Forecasts and Plans (Use this topic for material which cannot be filed in a specific subdivision below.)		
9-1. Load Reports		
9-2. Load Estimates - Short Range (Under 2 years.)		
9-3. Load Estimates - Long Range (Over 2 years.)		
9-4. Load Curves (Subdivide into chronological folders as volume warrants.)		
9-5. Load - Resources Analyses		
P 10. Outside Reports and Reviews (Includes SPA comments, evaluations, reviews of other agency reports and studies in the power resources and planning field. This file is intended mainly for correspondence; do not file bulky reports and studies here.)		

POWER RESOURCES (PR) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
10-1. Watershed Work Plan Reviews	PMR	Cutoff at close of ea. odd-numbered FY. <u>Permanent</u>
10-2. Water Quality Standard Reviews		all items marked "P." Transfer to FARC 4 yrs after cutoff. Will be offered to NARS 20 yrs after cutoff.
P 11. Power Generation Research (Select needed subtopics as shown below or create additional ones as needed.)		
P 11-1. Gas Turbine Power		
P 11-2. Hydroelectric Power		
P 11-3. Nuclear Power		Temporary. All other record files. Transfer to FARC 4 yrs after cutoff. Destroy 20 yrs after cutoff.
P 11-4. Other Thermal Power (Subdivide by type if volume warrants, i.e., electric steam, fossil-fuel steam, etc.)		
P 12. Power Planning Studies (For general material regarding possibility, feasibility, financial, etc., studies.)		
13. Pumped Storage (Use this topic for general material. Subdivide by name of individual study or project if volume warrants.)		
P 14. Recreation		
15. Reservoir Operations (Use this topic for general material which cannot be filed in a more specific subject below.)		
15-1. Short-range Plans		
15-2. Long-range Plans		
15-3. Seasonal Pool Operation		

POWER RESOURCES (PR) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
15-4. Water Supply (Use for general material regarding supply, forecasts, reservoir conditions, etc., not relating to specific project.)	PMR	Cutoff at close of ea. odd-numbered FY. <u>Permanent</u> all items marked "P." Transfer to FARC 4 yrs after cutoff. Will be offered to NARS 20 yrs after cutoff.
15-5. Reservoir Operations Case Files (Maintain folder for each reservoir project in alphabetical sequence. Includes papers on reservoir conditions, pertinent data, flow data and curves, water storage status, other hydraulic data. See PO 5 for correspondence regarding power operation/generation schedules and related material.)		Temporary. All other record files. Transfer to FARC 4 yrs after cutoff. Destroy 20 yrs after cutoff.
15-6. 30 Day Operational Plan		
P 16. River Basin Planning Studies (Use this subject topic and its subdivisions for general material concerning river basin planning programs. Material regarding a specific study is filed in the case files maintained apart from the subject files. These topics are intended mostly for correspondence and not bulky nonrecord publications.)		
16-1. Budget and Fiscal Program		
16-2. Guidelines, Instructions, Regulations		
16-3. Legislation-Interagency Coordination		
17. Streamflow Data (For general material regarding streamflow and stage, flow duration curves, etc.)		

POWER RESOURCES (PR) (continued)

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
18. Support or Supplemental Energy	PMR	Cutoff at close of ea. odd-numbered FY. <u>Permanent</u> all items marked "P." Transfer to FARC 4 yrs after cutoff. Will be offered to NARS 20 yrs after cutoff.
P 19. Water Pollution		
P 19-1. Cause and Effects		
P 19-2. Control and Prevention		
P 19-3. Water Quality Standards (For general material regarding this subject, see PR 10-2 for SPA review of water quality standards studies.)		Temporary. All other record files. Transfer to FARC 4 yrs after cutoff. Destroy 20 yrs after cutoff.
P 20. Air Pollution	EXP	
P 21. Water Resources	PMR	
P 21-1. Planning		
21-2. Project Authorizatiions (General)		
22. Navigation		
23. Dams (General material regarding the subject of dams. Material regarding a dam at a specific SPA project is filed in PR 15-5.)		
P 24. Environmental Quality	EXP	
P 24-1. Reports to Congress		
P 24-2. Projects and Programs	Action Office	
P 24-3. Policies, Standards and Procedures	EXP	
P 24-4. Natural or Cultural Resources	PF	

## PROGRAM PLANNING AND REVIEW (PPR)

Use this outline for correspondence created in offices having responsibility for providing direction of the goals and policies relating to the execution of the SPA program and its review and evaluation.

<u>Subject Topics</u>	<u>Official File Station</u>	<u>Disposal Schedule</u>
P 1. Mission - Objectives - Plans (Includes long-range plans, development of programs in accordance with authority delegated to SPA, etc.)	Central File	Cutoff at close of ea. odd-numbered FY. <u>Permanent</u> all items marked "P." Transfer to FARC 4 yrs after cutoff. Will be offered to NARS 20 yrs after cutoff.
P 2. Power Policy		Temporary. All other record files. Transfer to FARC 4 yrs after cu off. Destroy 20 yrs after cut- off.
P 2-1. Department of Interior Policy		
3. Policy and Program Analysis (Including the employment of analytical techniques and studies.)		
4. Reports and Statistics		
4-1. Regular - Program Accomplishments (Recurring reports such as progress report, secretary's annual report, etc. Subdivide by type if volume warrants.)		
P 4-2. Special - Program Accomplishments (Nonrecurring program reports required by higher authority.)		
4-3. Statistical Tabulations		



## APPENDIX 2

### CASE FILE OUTLINES

<u>Subject</u>	<u>Code</u>	<u>Page</u>
<u>ADMINISTRATIVE RECORDS</u>		
AUTOMATIC DATA PROCESSING.....	ADP	87
BUDGET AND APPROPRIATIONS.....	BUD	89
COMMITTEES.....	COM	91
EMERGENCY PLANNING.....	EP	92
FINANCIAL MANAGEMENT.....	FIN	93
INFORMATION AND PUBLIC RELATIONS.....	IPR	111
MEETINGS.....	MET	113
OFFICE SERVICES.....	OSV	114
ORGANIZATION AND ADMINISTRATION.....	OAD	116
PAPERWORK MANAGEMENT.....	PAP	118
PERSONNEL.....	PER	119
PROCUREMENT.....	PRO	124
PROPERTY MANAGEMENT.....	PRM	127
SAFETY.....	SAF	134
TRANSPORTATION.....	TRN	135
TRAVEL.....	TRV	136
VEHICLES.....	VEH	137
<u>PROGRAM RECORDS</u>		
ENGINEERING-DESIGN.....	ED	138
INTERAGENCY COOPERATION.....	INC	147
LAND.....	LND	148
LEGAL.....	LEG	149
MAINTENANCE.....	MA	150
POWER MARKETING.....	PM	151
POWER OPERATIONS.....	PO	154
POWER RESOURCES.....	PR	158
PROGRAM PLANNING AND REVIEW.....	PPR	162

ADMINISTRATIVE CASE FILES

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMC	A.	TABULATING CARDS: <ol style="list-style-type: none"> <li>1. Data - Streamflows; electrical parameters; load data. Arranged by reservoir. Cutoff when superseded or obsolete.</li> <li>2. Program Cards - Arranged by Division program number. Arranged by program number and by division. Cutoff when obsolete.</li> <li>3. Program Output - Hydraulic and Power Planning study output. Arranged chronologically by study. Cutoff when obsolete.</li> <li>4. Data - Inventory update cards. Arranged chronologically. Cutoff at close of fiscal year.</li> <li>5. Data - Payroll update cards. Arranged chronologically. Cutoff at close of pay year.</li> </ol>	<p>Temporary. Destroy when superseded or obsolete.</p> <p>Temporary. Destroy when obsolete.</p> <p>Temporary. Destroy when superseded or obsolete. (typically 1-3 years)</p> <p>Temporary. Destroy 1 year after cutoff.</p> <p>Temporary. Destroy 1 year after cutoff.</p>	
	B.	COMPUTER OPERATING LOGS reflecting history of computer usage. Arranged chronologically. Cutoff at close of fiscal year.	Temporary. Destroy when 3 years old.	
	C.	PROGRAM CASE FILES including the operating program, program development and programming techniques. Arranged by Division program number. Cutoff when obsolete.	Temporary. Destroy when obsolete.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
Act. Off.	D.	APPLICATIONS DOCUMENTATION reflecting a general description of the function, use, and methodology of the program. Arranged by program. Cutoff upon termination of system.	Temporary. Destroy upon termination of system by either obsolescence, update, or discontinuance.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMB	A.	BUDGET ESTIMATES, prepared and consolidated by the SPA Budget Office, comprising appropriation, language sheets, narrative statements and related schedules and data. Arranged chronologically. Cutoff at close of budget year.	Permanent. Transfer to FARC 3 years after cutoff. Will be offered to NARS 25 years after cutoff.	
	B.	BUDGET OFFICE CORRESPONDENCE FILES showing agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for SPA programs. Cutoff every 2 years at close of fiscal year.	Temporary. Transfer to FARC 3 years after cutoff. Destroy 10 years after cutoff.	
	C.	BUDGET AND ALLOTMENT WORK PAPERS, cost statements and rough data accumulated in preparation of annual budget estimates, including duplicates of papers included in official files of budget estimates and papers held by operating offices.	Temporary. Destroy 1 year after close of fiscal year covered by budget.	
	D.	ALLOTMENT CONTROL RECORDS maintained currently in ledger form at SPA showing status of obligations and allotments under each authorized appropriation. Also includes statement of unliquidated obligations. Cutoff close of FY.	Temporary. Destroy 10 years after cutoff.	
	E.	DETAILED STATEMENTS OF THE PUBLIC WORKS APPROPRIATION HEARINGS before the House of Representatives and Senate. Contains Bills, Acts, Conference Reports of the Public Works Appropriation Committee, Budget of the United States Government and the President's Budget. Arranged chronologically. Cutoff end of session of Congress.	Temporary. Destroy when obsolete.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMB	F.	PUBLIC LAWS appropriating sums of money to carry out the functions of the Department of the Interior (Southwestern Power Administration). Arranged chronologically.	Temporary. Destroy when obsolete.	
	G.	BUDGET MANAGEMENT REPORT - Computer runs by appropriations and organization. It has a breakdown of budgeted amounts, obligations incurred, and amount remaining for each branch. Filed in chronological order by month. Cutoff end of fiscal year.	Temporary. Destroy 3 years after cutoff.	
	H.	ACTIVITY REPORT - Computer runs, by appropriations, activity, and object code. Arranged chronological by month. Cutoff end of fiscal year.	Temporary. Destroy 3 years after cutoff.	
	I.	PROJECT REPORT - Computer runs by project and subactivity. Filed chronological by month. Cutoff end of fiscal year.	Temporary. Destroy 3 years after cutoff.	
	J.	APPORTIONMENT AND REAPPORTIONMENT SCHEDULE, proposing quarterly obligations under each authorized appropriation. (SF-132 and 133) Arranged chronologically. Cutoff end of fiscal year.	Temporary. Destroy 2 years after close of fiscal year involved.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
		SEE: ADMINISTRATIVE RECORDS - SUBJECT FILES  No other official files regarding committees are maintained.		

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PM	A.	EMERGENCY PLANNING CASE FILES accumulated by offices responsible for preparation and issuance of plans and directives, consisting of a record copy of each plan or directive issued, with related background papers. Arranged by plan or directive. Cutoff when superseded or obsolete.	Temporary. Destroy when superseded.	
	B.	REPORTS OF OPERATION TESTS, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans. Other material regarding operation tests is maintained in appropriate subject files. Arranged by test. Cutoff after completion of test.	Temporary. Destroy when obsolete.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMF-C	A.	<p>GENERAL ACCOUNTING OFFICE SITE AUDIT RECORDS comprising the following:</p> <ol style="list-style-type: none"> <li>Disbursement Vouchers including payroll, travel, transportation, and land. Attached to the original vouchers for material and services are original invoices (or certified Periodical Estimates in the case of construction contracts), original signed copies of receiving reports, purchase orders, copies of prepaid freight bills and related correspondence. A coding sheet showing detailed distribution of charges is attached to all vouchers except payroll. Arranged by Bureau voucher number. Cutoff each fiscal year.</li> <li>Accounts Current including SF-224, Statement of Transactions (Classified according to Appropriations, Fund and Receipt Account), prepared monthly. This statement is supported by processed copies of SF-1166, Voucher and Schedule of Payments and SF-1081, Voucher and Schedule of Withdrawals and Credits, covering disbursements made during the month, and by SF-219, Certificate of Deposits (signed by authorized officials of the Federal Depositories in which funds are deposited) with SPA-480, Summary of Collections and copies of power invoices and other collection documents attached covering deposit of money received during the month, and processed copies of SF-1081, Voucher and Schedule of Withdrawals and Credits and SF-1098, Schedule of Cancelled Checks. Arranged by month. Cutoff at close of fiscal year.</li> </ol>	<p>Temporary. Transfer to FARC in FY blocks as Records Group 217, retaining at least one full FY after cutoff.</p> <ol style="list-style-type: none"> <li>Records created prior to 7-2-75, destroy after 10 years, 3 months.</li> <li>Records created on or after 7-2-75, destroy after 6 years, 3 months.</li> </ol>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMF- C	A.	GENERAL ACCOUNTING OFFICE SITE AUDIT RECORDS (Continued)		
		3. Applications for Travel Advance including Applications and Account for Advance of Funds (SF-1038) used as accountability record for travel advances. Arranged alphabetically by name of employee. Cutoff when advance is liquidated.	Temporary. Transfer to FARC in FY blocks as Records Group 217, retaining at least one full FY after cutoff.	
AMF- R&R		4. Labor Cost and Equipment Use Distribution include hourly reports of all labor transactions showing hours worked, amount, organization and account charged; and reports of all equipment use transactions, showing number of miles traveled, equipment identification number, distribution of charges to proper account, and stock issued. Filed by month. Cutoff at end of fiscal year.	1. Records created prior to 7-2-75, destroy after 10 years, 3 months. 2. Records created on or after 7-2-75, destroy after 6 years, 3 months.	
AMF- R&R	B.	JOURNAL VOUCHERS include monthly Registers of Transactions showing debit and credit entries and reflecting the detail costs and revenues, Adjustment, Voucher and Schedule of Payments, Voucher and Schedule of Withdrawals and Credits, and other supporting documents. These vouchers summarize certain transactions for posting to the General Ledger and show in detail the amounts to be posted to cost accounts. They are supported by the necessary documents, explanations, etc., to authenticate the transactions. Filed by month. Cutoff at end of fiscal year.	Temporary. Transfer to FARC in FY blocks, 10 years after cutoff. Destroy 50 years after cutoff.	
AMF- C	C.	TRANSMITTAL FOR TRANSPORTATION SCHEDULES (SF-1171). Arranged chronologically by fiscal year. Cutoff at end of fiscal year.	Temporary. Destroy 3 years after period covered.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG-S	D.	TRANSPORTATION REQUEST ACCOUNTABILITY RECORDS. Listed in numerical order.	Temporary. Destroy 1 year after all entries on the records are cleared.	
AMF-R&R	E.	GENERAL LEDGERS. The general ledger accounts disclose the financial condition of the SPA by showing its assets and other debits, and total liabilities, retained earnings, (or deficits), and other credits; and also present for each month, quarter, or year the total operating revenues and expenses, the other income, and income deductions concerning the accounting period. The accounts serve as controls for the various construction and other work order accounts, operating revenue and operating expense accounts, clearing accounts, allotment and trust accounts, etc.	Temporary. Destroy 50 years after close of FY involved. Transfer to FARC in FY blocks, retaining at least one full FY after cutoff.	
AMF-R&R	F.	SUBSIDIARY LEDGERS comprising the following	Temporary. Destroy 50 years after close of FY involved. Transfer to FARC in FY blocks, retaining at least one full FY after cutoff.	
		1. Operating and Maintenance Expense Accounts. Media for recording all operating and maintenance expenses of SPA. These accounts fall on the pattern of the FPC Uniform System of Accounts and are designed to show in detail the operating results for an accounting period. Arranged numerically by account number. Cutoff each FY.		
AMF-R&R		2. Accounts Receivable Detail, a continuing detail reflecting all charges and payments of customers for power sales, and other receivables. Arranged by categories of Customers, Reimbursable to appropriation, Non-reimbursable to appropriation, and travel advances, and numerical with each category. Cutoff when all charges and payments are cleared.		

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMF- R&R	F.	<p>SUBSIDIARY LEDGERS (Continued)</p> <p>3. Warehouse Account Ledger, containing sheets for each of SPA's four warehouses reflecting all receipts and issues. Each of these warehouse ledgers is the control account reflecting total dollar value of each warehouse location as shown by the detail kept on the computer. Arranged by warehouse location. Cutoff each fiscal year.</p> <p>4. Stores Expense. Media for collecting all costs relating to the operation of all SPA's warehouses, together with all credits or distribution therefrom. Cutoff each fiscal year.</p> <p>5. Clearing Accounts - accounts designed to collect charges not readily assignable to specific functions and to distribute the charges equitably to the accounts and work orders benefited by the activity reflected therein. Periodic distributions are made to the benefited accounts and work orders to clear these accounts.</p> <p>a. Transportation Expenses - Clearing. This account includes the cost of labor and of supplies used and expenses incurred in the operation and maintenance of general transportation equipment owned by SPA. Filed numerically by vehicle number. Cutoff each fiscal year.</p> <p>b. Vehicle Expense Ledger, subsidiary to Transportation Expense. Arranged numerically by vehicle number. Cutoff each fiscal year.</p>	<p>Temporary. Destroy 50 years after close of fiscal year involved. Transfer to FARC in FY blocks, retaining at least one full fiscal year after cutoff.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMF R&R	F.	<p>SUBSIDIARY LEDGERS (Continued)</p> <p>c. Undistributed Transmission Line Expenses. This account collects cost of standby labor, cost of small tools, maintenance of tools and equipment (Other than transportation equipment) when used in transmission line operation or maintenance, and similar general costs which cannot be identified with specific transmission lines. Arranged by month. Cutoff with clearing at close of fiscal year.</p> <p>d. Undistributed Substation Expenses. This account collects cost of standby labor, cost of maintenance of tools and equipment (other than transportation equipment) when used in the operation and maintenance of substations and similar general expenses which cannot be identified with specific substations. Arranged by month. Cutoff with clearing at close of fiscal year.</p> <p>e. Payroll - Clearing. Account to collect and accrue unpaid payroll charges at the end of each month. Arranged by month. Cutoff at close of fiscal year.</p> <p>f. Accounts Payable - Clearing. Account to collect and accrue unpaid charges (other than payroll) at the end of each month. Arranged by month. Cutoff at close of fiscal year.</p>	<p>Temporary. Destroy 50 years after close of FY involved. Transfer to FARC in FY blocks, retaining at least one full FY after cutoff.</p>	

IFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
MF- &R	F.	<p>SUBSIDIARY LEDGERS (Continued)</p> <p>g. Operating Revenue Detail Accounts, set up to collect SPA's operating revenue by class of customer - coops, municipalities, private utilities, government agencies. Arranged numerically by account number. Cutoff at close of each fiscal year.</p> <p>h. Accrued Expenditure Register. A form designed to record liabilities as they accrue. Through this register, values of goods, services and property are recorded and the actual liability is entered in the accounts. From this register classifications are made for posting to the General Ledger accounts. Arranged monthly by page number. Cutoff at close of fiscal year.</p> <p>i. Cash Disbursements Register. A form designed to record all disbursements of funds. The total of each disbursement voucher is shown and the columns provide summary data for posting to General Ledger accounts. Arranged by month and page number. Cutoff at close of fiscal year.</p>	<p>Temporary. Destroy 50 years after close of FY involved. Transfer to FARC in FY blocks, retaining at least one full fiscal year after cutoff.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMF- R&R	F.	<p>SUBSIDIARY LEDGERS (contd)</p> <p>j. Cash Receipts Register. A form designed to record all cash received by SPA with proper identification as to source, availability for disbursement, and the credited accounts. Summary figures are posted to General Ledger accounts. Arranged by month and page number. Cutoff at end of fiscal year.</p> <p>k. Accounts Receivable Register. A form designed to record bills issued on an accrual basis for services rendered or other types of sales or income. Summary postings are made monthly to General Ledger. Arranged by month and page number. Cutoff at close of fiscal year.</p> <p>6. "A" (addition) Work Orders. Media by which SPA records all construction of electric plants. These ledgers are kept so that the nature of each addition to electric plant is shown, together with the total cost thereof and the reference to indicate the electric plant account or accounts to which it will be charged. These are "continuing" type ledgers and are filed in the completed work order file upon transfer to the appropriate electric plant accounts. Arranged numerically, by work order number. Cutoff when work order is completed.</p>	<p>Temporary. Destroy 50 years after close of fiscal year involved. Transfer to FARC in in FY blocks, retaining at least one full FY after cutoff.</p>	
MF- lant ccts				

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMF-Plt Acct	F.	<p>SUBSIDIARY LEDGERS (contd)</p> <p>7. "R" (Retirement) Work Orders. Media by which SPA records all retirements of electric plant. These ledgers are kept so that the nature of each retirement of electric plant is shown, together with the total cost thereof and the reference to indicate the electric plant account as "continuing" type ledgers and the completed work order is filed upon transfer from the appropriate electric plant account. Arranged numerically by work order number. Cutoff when work order is completed.</p>	Temporary. Destroy 50 years after close of FY involved. Transfer to FARC in FY blocks, retaining at least one full FY after cutoff.	
AMF-R&R	G.	<p>POSTING MEDIA FOR REGISTERS AND LEDGERS</p> <p>1. Power Invoices - copies on which the proper accounts to be charged are shown. Arranged monthly by invoice number. Cutoff at close of each fiscal year.</p> <p>2. Cash Disbursement Register Slips. Media for indicating proper coding of all disbursement vouchers. Arranged monthly by voucher number. Cutoff at close of fiscal year.</p> <p>3. Summary of Collections. Media for indicating proper coding of all collections. Arrange monthly by number. Cutoff at close of each quarter.</p>	<p>Temporary. Destroy upon cutoff.</p> <p>Temporary. Destroy upon cutoff.</p> <p>Temporary. Destroy upon cutoff.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMF-R&R	G.	POSTING MEDIA FOR REGISTERS AND LEDGERS (contd)		
		4. Voucher Schedule of Withdrawals and Credits. Media for indicating proper coding of all SF-1081's. Arranged monthly by number. Cutoff at close of each quarter.	Temporary. Destroy upon cutoff.	
		5. Schedule of Canceled Checks. Media for indicating proper coding of all canceled checks. Arranged monthly by number. Cutoff at close of each quarter.	Temporary. Destroy upon cutoff.	
	H.	RECONCILIATIONS		
		1. Revenue with Branch of Customer Services. A reconciliation of general ledger financial figures with figures taken from power invoices. Arranged chronologically by fiscal year. Cutoff at close of fiscal year.	Temporary. Destroy 50 years after close of fiscal year involved. Transfer to FARC in FY blocks, retaining at least one full FY after cutoff.	
		2. Purchased Power with Branch of Customer Service. A reconciliation of general ledger financial figures with figures taken from power invoices. Arranged chronologically by fiscal year. Cutoff at close of fiscal year.		
		3. Service Charges with Branch of Customer Service. A reconciliation of general ledger financial figures taken from power invoices. Arranged chronologically by fiscal year. Cutoff at close of fiscal year.		

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMF- R&R	H.	<p>RECONCILIATIONS. (contd)</p> <p>4. Tax, Bond and Retirement Deductions. A reconciliation of general ledger financial figures with the payroll control register. Arranged chronologically by quarter. Cutoff at close of fiscal year.</p> <p>5. Cash Disbursement Register with Allotment Ledger. A reconciliation of cash disbursements monthly shown by the cash disbursements register and the expended appropriations as shown by the allotment ledger summary. Arranged chronologically by month. Cutoff at close of fiscal year.</p> <p>6. Accrued Expenditure Register with Cash Disbursement Register. A reconciliation of the Accrued Expenditure Register summary of expenditures and the Cash Disbursement Register summary of cash disbursements. Arranged chronologically by month. Cutoff at close of fiscal year.</p> <p>7. Trial Balance of Operating and Maintenance Expenses. A listing of the balances in the Operating and Maintenance expense accounts to document the monthly balancing to the general ledger control account and to be used in preparation of portions of the SPA financial statements. Arranged chronologically by month. Cutoff at close of fiscal year.</p>	<p>Temporary. Destroy 50 years after close of fiscal year involved. Transfer to FARC in FY blocks, retaining at least one full fiscal year after cutoff.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMF-R&R	H.	Reconciliations (Continued)	Temporary. Destroy 50 years after close of FY involved. Transfer to FARC in FY blocks, retaining at least one full fiscal year after cutoff.	
		8. Unappropriated Receipts Trial Balance Undisbursed Appropriation Account. A reconciliation of SPA's general ledger balances of receipt accounts, appropriations and other fund accounts with the Treasury balances on the same accounts. Arranged chronologically by month. Cutoff at close of fiscal year.		
		9. Reconciliation of Statement of Transactions. A reconciliation of the general ledger account balances with those shown on the monthly statement of transactions sent to the Disbursing Officer. Arranged by appropriation receipt and deposit fund account monthly. Cutoff at close of fiscal year.		
		10. Balance of Accounts Receivable and Revenue Accounts. A listing of the balances in the accounts receivable and revenue accounts to document the monthly balancing to the general ledger control accounts. To be used in aging the accounts receivable and for preparing a portion of the SPA financial statements. Arranged chronologically by month. Cutoff at close of fiscal year.		
AMF-C	I.	PAYMENT RECORDS containing copies of invoices showing voucher numbers on which paid. Filed alphabetically in Certification by vendor and used in connection with payment inquiries. Cutoff at close of fiscal year.	Temporary. Destroy 3 years after cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMF-R&R	J.	SUMMARY FINANCIAL, OPERATING, AND STATISTICAL REPORTS, such as Annual Reports to FPC (FPC Form 1), Quarterly Operating Statements, SF-220, Statement of Financial Condition, SF-221, Statement of Income and Expenses and Changes in Accumulated Net Income or Deficit, SF-222, Statement of Sources and Application of Funds, submitted to the Secretary of the Interior, Department of the Treasury, FPC and others. These reports provide a summary documentation of agency operations. Arranged chronologically by fiscal year. Cutoff at close of fiscal year.	Permanent. Retire to FARC after 15 years. Offer to NARS when 50 years old. Temporary. Nonrecord copies. Destroy when no longer needed for reference.	
AMF-C	K.	POWER INVOICES 1. Official copies filed in the Branch of Finance and Accounts, and become a part of a Bureau Voucher or Accounts Current file.  2. Copy to Certification filed by customer by fiscal year. Cutoff at end of fiscal year.	Temporary. Destroy 3 years after cutoff.	
PMR		3. Power Resource copy used in load growth studies. Cutoff at end of fiscal year.  4. All other copies	Temporary. Destroy 10 years after cutoff.  Temporary. Destroy when 3 mos. old.	
AMF-Plnt Acct	L.	WORK ORDER REGISTERS used to control issuance of work order numbers. Maintained by Plant Accounts.	Temporary. Destroy when obsolete.	
AMF-Plnt Acct	M.	WORK ORDERS (SPA-85) AND RELATED MATERIAL. Arranged by work order number. Cutoff when work order is closed.  1. Originals maintained in Plant Accounts for accounting charge and cost data purposes.	Temporary. Destroy when no longer needed for reference.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PFE		2. Copies maintained by Branch of Engineering.	Temporary. Destroy 10 years after FY in which work order closed.	
PFM		3. Copies maintained by Branch of Maintenance.	Temporary. Destroy 1 year after FY in which work order closed.	
		4. All other copies.	Temporary. Destroy when work order is completed.	
	N.	GENERAL PLANT RETIREMENT WORK ORDER NOTICES, covering retirements from permanent work orders.		
AMF- Plnt Acct		1. Plant Account Copies. Arranged chronologically by number by FY. Cutoff when all equipment is disposed of.	Temporary. Destroy 6 months after cutoff.	
AMG- P		2. Property copies. Arranged chronologically by number by FY. Cut off end of FY.	Temporary. Destroy two years after cutoff.	
	O.	RETIREMENT WORK ORDERS (SPA-88) used to remove installed units of property from plant in service. Arranged by retirement work order number. Cutoff when retirement work order is closed.		
AMF- Plnt Acct		1. Originals maintained in Plant Accounts for accounting charge and cost data purposes.	Temporary. Destroy when no longer needed for reference.	
PFE		2. Copies maintained by Branch of Engineering.	Temporary. Destroy 10 years after FY in which work order closed.	
PFM		3. Copies maintained by Branch of Maintenance.	Temporary. Destroy 1 year after FY in which work order closed.	
		4. All other copies.	Temporary. Destroy when work order is completed.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMF- Plnt Acct	P.	PLANT ACCOUNT LEDGER consisting of the following:		
		1. Electric Plant in Service Accounts - Subsidiary to the General Ledger Account 101 showing cost of fixed assets (real property and related personal property) of the SPA by FPC account numbers. Cutoff when all plant is retired.	<del>Permanent. Will be offered to NARS 10 years after cutoff.</del> <i>Temporary. Destroy 6 years after cutoff.</i>	
		2. Electric Plant in Service Account - Individual units of Property. This subsidiary ledger is the Electric Plant in Service investment of the SPA broken down by location symbols and each location by individual units of property (real property and related personal property). Cutoff when all plant is retired.	<del>Permanent. Will be offered to NARS 10 years after cutoff.</del> " " "	
		3. Accumulated Provision for Depreciation Reserve of Electric Plant in Service and Accumulated Provision for Amortization of Electric Plant in Service. Filed by PFC plant account, and showing original cost of plant retired, cost of removal, salvage, depreciation accrued, and net balance in the reserve. Cutoff when all plant is retired.	<del>Permanent. Will be offered to NARS 10 years after cutoff.</del> " " "	
		4. Construction Work in Progress (A/C 107), Completed Construction - Not Classified (A/C 106), Electric Plant in Service (A/C 101), and totals investment ledger. Subsidiary ledger to the General Ledger accounts 107, 106, and 101. This ledger shows the total investment at each location owned and operated by the SPA. Cutoff when all plant is retired.	<del>Permanent. Will be offered to NARS 10 years after cutoff.</del> " " "	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMF-Pay.	Q.	<p>PAYROLL RECORDS consisting of the following:</p> <ol style="list-style-type: none"> <li>1. a. Pay records (computer printouts) showing individual earnings, deductions, etc. Arranged alphabetically by name. Cutoff at close of payroll year.</li> <li>b. Payroll Computation Report (printout) showing recap of individual pay records. Arranged alphabetically by name, by pay period. Cutoff at close of payroll year.</li> <li>2. Time and Attendance Reports (SPA-627) for each office per pay period. Arranged chronologically. Cutoff at close of payroll year.</li> <li>3. Bond Authorization Cards. Arranged alphabetically by name of employee. Cutoff when superseded by new card or employee is separated.</li> <li>4. Health Insurance Files. <ol style="list-style-type: none"> <li>a. Health Benefits Registration &amp; Notice of Change in Enrollment Status forms, signed originals. Arranged alphabetically. Cutoff after separation of employee.</li> <li>b. Transmittal &amp; Summary Report to Carrier, showing number of employees covered, added, dropped, and other adjustments. Arranged chronologically. Cutoff at close of payroll year.</li> </ol> </li> </ol>	<p>Temporary. Transfer to FARC in BY blocks, retaining at least one full FY after cutoff.</p> <p>Temporary. Destroy one year after cutoff.</p> <p>Temporary. Payroll copy - destroy after audit or when 3 years old, whichever is earlier. All other copies - destroy 6 months after end of pay period. Temporary. Destroy upon cutoff.</p> <p>Temporary. Destroy 3 years after cutoff.</p> <p>Temporary. Destroy 3 years after cutoff.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMF-Pay.	Q.	<p>PAYROLL RECORDS (contd)</p> <p>5. Retirement Cards, SF-2806, Employee Individual Employment Card, showing fiscal and service history. Arranged alphabetically by employee name. Cutoff when employee is separated or retired.</p> <p>6. Leave Master List. Machine listings prepared for each pay period, showing cumulative totals of earned leave, leave taken, and balance available. Arranged alphabetically by pay period. Cutoff at end of leave year.</p> <p>7. Applications for Leave, and supporting papers. Arranged alphabetically by name of employee by leave year. Cutoff at close of leave year.</p> <p>8. Withholding Tax Exemption Certificate (W-4's). Arranged alphabetically by name of employee. Cutoff when superseded or employee is separated.</p>	<p>Temporary. Forward to Civil Service Commission when employee is separated or transferred outside Department of the Interior. Forward to DI employing agency if employee transfers within the DI.</p> <p>Temporary. List showing final accumulated leave on separation of employee: Destroy 10 years after cutoff. All other fiscal copies: Destroy 3 years after cutoff. Other copies: Destroy 3 mos. after end of period covered.</p> <p>Temporary. Applications for Leave taken immediately prior to separation: Destroy 10 yrs after cutoff. All other: Destroy 1 year after cutoff.</p> <p>Temporary. Destroy 3 years after superseded or obsolete.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMF-Pay.	Q.	<p>PAYROLL RECORDS (contd)</p> <p>9. Tax Withholding Statements such as W-2's showing annual earnings and taxes withheld. Arranged by organization code, then alphabetically. Cutoff at close of payroll year.</p> <p>10. Notifications of Personnel Actions and Other Payroll Change Slips, exclusive of those in personnel files. Arranged by pay periods. Cutoff after close of pay year.</p> <p>11. Record of Leave Data, SF-1150 Arranged chronologically. Cutoff at end of leave year.</p> <p>12. Authorization for Overtime/Holiday Work and Compensation, SPA-125. Arranged chronologically by pay period. Cutoff at end of payroll year.</p> <p>13. Reports to Civil Service Commission regarding withholdings for contributions for health insurance, life insurance, and CS retirement. Arranged by pay periods. Cutoff at end of payroll year.</p>	<p>Temporary. Destroy 3 years after cutoff.</p> <p>Temporary. Pay or fiscal copy: Destroy 3 years after cutoff. Other copies: Destroy one year after cutoff.</p> <p>Temporary. Destroy 3 years after cutoff.</p> <p>Temporary. Pay copy: Destroy 3 years after cutoff. Other copies: Destroy 1 year after cutoff.</p> <p>Temporary. Destroy 3 years after cutoff.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMF-Pay.	Q.	PAYROLL RECORDS (contd)  14. Dispatcher's Work Schedules, prepared each pay period at each field dispatching office, showing schedule of work for each dispatcher, by day and shift, including regular overtime. These schedules are backup for the T&A reports. Arranged chronologically. Cutoff at close of payroll year.	Temporary. Payroll copy: Destroy 3 years after cutoff. Other copies: Destroy 6 mos. after end of pay period.	
AMF-C	R.	COMPTROLLER GENERAL DECISIONS used in research and references to precedent cases. Bound volumes arranged by volume number. Unbound copies of decisions arranged chronologically in binders.	Temporary. Destroy when superseded or obsolete.	
	S.	TAX EXEMPTION CERTIFICATES SF-1094, and related papers. Arranged numerically. Cutoff when book is exhausted.	Temporary. Destroy 3 yrs. after period covered by related account.	
AMF-C AMG-S	T.	DAILY ABSTRACT OF REMITTANCES, SPA-202, record of valuable enclosures received through mail (checks, cash, etc.) Arranged chronologically. Cutoff at end of fiscal year.	Temporary. Destroy 3 years after date of document for collector's copy (original). Mail room receipted copy: Destroy 1 year after cutoff.	
AMF-R&R	U.	WORK PAPERS used for preparation of annual statements (FPC Form 1, SPA Annual Report, etc.) Contain trial balances produced from the General Ledger, balance sheets, profit and loss statements, etc. Arranged chronologically by month. Cutoff end of FY.	Temporary. Destroy 10 years after cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
EXP	A.	MASTER SET OF FORMAL INFORMATIONAL RELEASES AND PUBLICATIONS, such as press releases, press conference transcripts, official speeches, publicity brochures and pamphlets, etc. Arranged as appropriate. Cutoff when superseded or obsolete or after 2 years, whichever is sooner, and move to inactive files.	Permanent. Transfer inactive file to FARC 4 years after cutoff. Will be offered to NARS after cutoff.	
	B.	AUDIOVISUAL PROMOTIONAL MATERIAL.	Permanent. Offer to NARS upon cutoff.	
	1.	Still pictures, motion pictures, sound and video recordings used in informational and public relations activities of SPA.		
	a.	Still pictures - the original negative and a captioned print for each black and white photograph and the original color transparency or color negative, a captioned print, and an internegative (if one exists) for each color photograph.		
	b.	Other still pictorial records such as posters, original artwork, slide sets, and filmstrips - the original and a reference print of each item.		
	c.	Motion pictures - the original negative or color original plus optical sound track, an intermediate master positive and duplicate negative plus optical sound track, and a sound projection print of each motion picture.		
	d.	Video recordings - the original or the earliest generation of each recording or a kinescope of the recording.		

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
EXP	B.	<p>1. e. Sound recordings - the master tape, matrix or stamper, and one disc pressing for each conventional mass - produced multiple copy disc recording and the original tape for each magnetic audio tape recording.</p> <p>f. Finding aids and production documentation - existing finding aids such as data sheets, shot lists, catalogs, indexes, and other textual documentation necessary for the proper identification, retrieval, and use of the above audiovisual records as well as production case files or similar files which include copies of production contracts, scripts, transcripts, or other documentation bearing on the origin, acquisition, release or ownership of the audiovisual production.</p> <p>Arranged by type of material Cutoff when obsolete or after 5 years, whichever occurs first.</p> <p>2. Additional duplicate prints or recordings of items identified in (1).</p>	<p>Destroy upon cutoff.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
		<p>SEE: ADMINISTRATIVE RECORDS - SUBJECT FILES</p> <p>Material regarding meetings is maintained in the subject files.</p>		

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG-S	A.	MESSENGER SERVICE RECORDS including daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules and related and similar records. Arranged as appropriate. Cutoff monthly.	Temporary. Destroy when 2 months old.	
	B.	POSTAL RECORDS consisting of Post Office forms and supporting papers such as receipts for registered and certified mail, insured mail and special delivery receipts and forms, reports of loss, etc. Arranged chronologically. Cutoff monthly or quarterly according to volume.	Temporary. Destroy when 1 year old.	
	C.	MAIL CONTROL RECORDS and supporting and related papers such as statistical reports of postage used on outgoing mail, production reports of mail handled, etc. Arranged chronologically. Cutoff monthly or quarterly according to volume.	Temporary. Destroy when 1 year old.	
	D.	JOB OR PROJECT RECORDS containing all papers and data pertaining to the planning and execution of printing, binding, duplication, and distribution jobs.  1. Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related papers exclusive of (a) requisitions on the Public Printer and related records; and (b) records relating to services obtained outside the agency. Arranged numerically by control or requisition number. Cutoff upon completion of job.	Temporary. Destroy 1 year after completion of job.	

QFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG-S		<p>2. Files pertaining to planning, standards, cost and related technical matters. Arranged by series and thereunder chronologically or by established numbering practice. Cutoff on completion of fiscal year.</p>	<p>Temporary. Destroy 3 years after cutoff.</p>	
	E.	<p>CONTROL REGISTERS pertaining to requisitions and work orders. Arranged numerically by control or requisition number. Cutoff on close of fiscal year.</p>	<p>Temporary. Destroy 1 year after close of FY in which compiled or 1 year after filling of register, whichever is applicable.</p>	
	F.	<p>REQUESTS FOR BULDING AND EQUIPMENT MAINTENANCE SERVICES (excluding fiscal copies). Arranged numerically by control or requisition number. Cutoff after work is performed or requisition cancelled.</p>	<p>Temporary. Destroy 3 months after cutoff.</p>	
	G.	<p>OFFICE MACHINE MAINTENANCE AND REPAIR. Card file showing date, reason for repair, cost, and location. Arranged by type of machine and serial number. Cutoff upon disposition of machine.</p>	<p>Temporary. Destroy 1 year after cutoff.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
Act. Off.	A.	<p>SOUTHWESTERN POWER ADMINISTRATION INTERNAL DIRECTIVES:</p> <ol style="list-style-type: none"> <li>1. Master copy, together with supporting case file, if any. Arranged by issuance number. Cutoff when superseded or obsolete.</li> <li>2. All other copies</li> </ol>	<p>Permanent. Transfer to inactive file when superseded or obsolete. Will be offered to NARS 15 years after cutoff.</p> <p>Temporary. Destroy when superseded or obsolete.</p>	
	B.	<p>ISSUANCES, which may consist of Departmental or Secretary's Orders, Departmental Manual Releases, Departmental Transmittal Sheets, and backup papers or documents. Arranged by issuance number. Cutoff when superseded or obsolete.</p> <ol style="list-style-type: none"> <li>1. Master Set.</li> <li>2. All other copies.</li> </ol>	<p>Temporary. Transfer to inactive file when superseded or obsolete. Destroy when 5 yrs old.</p> <p>Temporary. Destroy when no longer needed for reference.</p>	
AMG-S	C.	<p>MANAGEMENT PROJECT STUDIES including copy of each published or processed report, and of last manuscript report (if not published or processed) on management projects together with supporting papers documenting project inception, scope, procedure, and accomplishments (but excluding working papers) Arranged by project or study as appropriate. Cutoff upon completion of project or study.</p>	<p>Permanent. Transfer to FARC 3 years after file becomes inactive. Will be offered to NARS 15 years after cutoff.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG-S	D.	MANAGEMENT IMPROVEMENT REPORTS and related documents submitted to the Office of Management and Budget. Arranged chronologically. Cutoff at close of fiscal year.  1. Master copy.  2. All other copies.	Temporary. Destroy 5 years after cutoff. Temporary. Destroy 2 years after cutoff.	
	E.	MANAGEMENT STUDY OR PROJECT WORKING PAPERS including background materials, analyses, notes, rough drafts, interim reports and related materials (excluding documents covered by Item C). Arranged by study or project as appropriate. Cutoff upon completion of project or study.	Temporary. Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.	
	F.	SPA PHOTOGRAPHS of buildings and construction work at various stages of completion and of completed facilities. Arranged by transmission line or substation number. Cutoff upon completion of project.  1. The original negative and a captioned print for each black and white photograph and the original color transparency or color negative, a captioned print, and an internegative (if one exists) for each color photograph.  2. Additional duplicate prints of photographs identified in (1).	Permanent. Transfer to FARC 3 years after cutoff. Will be offered to NARS 5 years after the facility is disposed of.  Temporary. Destroy when obsolete.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG-S	A.	STATISTICAL REPORTS OF RECORD HOLDINGS. Arranged chronologically. Cutoff at end of FY.	Temporary. Destroy 3 years after cutoff.	
	B.	FORMS FILES containing data showing the inception and scope of the form, the program or administrative purposes served by the form, and the related procedures instituted, revised, superseded or canceled. Includes master copy of form. Arranged numerically by form number. Cutoff when canceled, discontinued or superseded.	Permanent. Offer to NARS 10 years after cutoff.	
	C.	FORMS FILES other than those contained in files described in Item B of this schedule, and related indexes. These papers refer to routine supply controls. Although they may be filed in the same case file as the more important papers described in Item B they are maintained only to serve immediate operating needs.	Temporary. Destroy when related form is discontinued, superseded or canceled.	
	D.	RECORDS DISPOSITION FILES, including descriptive inventories, disposal authorizations, schedules for the retirement of records and correspondence or memorandum relating to revisions. Arranged as appropriate. Cutoff when superseded or obsolete.	Temporary. Transfer to inactive file when superseded or obsolete. Destroy 20 years after cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMP	A.	OFFICIAL PERSONNEL FOLDERS, excluding papers on the left or the so-called "temporary" side of the folder, which are authorized for disposal by Item B. Arranged alphabetically by name of employee. Cutoff upon separation of employee.	Temporary. (a) See Chapter 293, Subchapter 2, Federal Personnel Manual for instructions relating to folders of employees transferred to another agency. (b) Transfer folders of separated employees to inactive file on separation in accordance with the Federal Personnel Manual, transfer folder to NPRC, (CPR), St. Louis, Missouri, 30 days after separation. Destroy 75 years after birth of employee or 60 years after date of earliest document in the folder if date of birth cannot be ascertained, provided employee has been separated or retired for at least 5 years.	
	B.	ALL COPIES OF CORRESPONDENCE AND FORMS MAINTAINED AS TEMPORARY RECORDS ON THE LEFT SIDE OF THE OFFICIAL PERSONNEL FOLDER IN ACCORDANCE WITH THE <u>FEDERAL PERSONNEL MANUAL</u> , Chapter R1, pages 35-45. Arranged chronologically on the left side of the folder.	Temporary. Destroy on transfer or separation of employee or when 1 year old, whichever is earlier.	
	C.	SERVICE RECORD CARD (SF-7 or its equivalent).	Temporary. Destroy 3 years after year of employee's separation or transfer to another agency.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMP	D.	POSITION IDENTIFICATION STRIPS, used in service control file (such as SF-7) to provide summary data on each position occupied.	Temporary. Destroy when position is canceled or new strip is prepared.	
	E.	NOTIFICATION OF PERSONNEL ACTION, exclusive of those in Official Personnel Folders: <ol style="list-style-type: none"> <li>1. Chronological file copies, including face sheets. Arranged in accordance with FPM Supplement 293-31. Cutoff each calendar year.</li> <li>2. All other copies (except Payroll) Arranged alphabetically. Cutoff at the close of each calendar year.</li> </ol>	<p>Temporary. Destroy when 2 years old.</p> <p>Temporary. Destroy when 1 year old.</p>	
	F.	APPLICATIONS FOR EMPLOYMENT AND RELATED PAPERS, excluding (a) records relating to appointments and requiring Senatorial confirmation and, (b) applications resulting in appointment filed in the Official Personnel Folder. (Covered in Item 1 of this portion of the Schedule.) Arranged in accordance with inspection requirements of the Civil Service Commission as stated in the <u>Federal Personnel Manual</u> .	Temporary. Destroy upon receipt of Civil Service Commission report of inspection or when 2 years old whichever is earlier, providing the requirements of Chapter 333, Section A-4 of the <u>Federal Personnel Manual</u> are observed.	
	G.	POSITION DESCRIPTIONS. Arranged in accordance with FPM Supplement 293-31. Cutoff when position is abolished or description is superseded.	Temporary. Destroy 1 copy 5 years after position is abolished or description is superseded. Destroy all other copies when position is abolished or description is superseded.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMP	H.	INCENTIVE AWARDS CASE FILES. Arranged numerically by suggestion number. Cutoff at the close of each fiscal year.	Temporary. Destroy 2 yrs after closing.	
	I.	REPORTS PERTAINING TO THE INCENTIVE AWARDS PROGRAM. Arranged chronologically. Cutoff at end of each fiscal year.	Temporary. Destroy 3 yrs after cutoff.	
	J.	UNOFFICIAL PERSONNEL RECORDS consisting of nonrecord extra copies of documents duplicated in the Official Personnel Folder. Maintained in operating offices as a convenience file. Arranged alphabetically by name of employee. Cutoff after separation of employee.	Temporary. Destroy 1 year after cutoff.	
	K.	RETENTION REGISTERS. Arranged by position. Cutoff upon completion of reduction-in-force.		
		<ol style="list-style-type: none"> <li>1. Registers from which reduction-in-force actions <u>have</u> been taken.</li> <li>2. Registers from which <u>no</u> reduction-in-force actions have been taken.</li> </ol>	Temporary. Destroy when 2 yrs old.  Temporary. Destroy when superseded Permanent. Offer to NARS 3 years after cut-off.	
EXP	L.	SPA NEWSLETTER Arranged chronologically by month. Cutoff at end of each fiscal year.		

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG	M.	<p>EQUAL EMPLOYMENT OPPORTUNITY CASE FILES. Arranged alphabetically by name of employee. Cutoff upon final adjustment of case.</p> <ol style="list-style-type: none"> <li>1. When case is resolved within Interior.</li> <li>2. When case is resolved by U. S. Civil Service Commission.</li> <li>3. All other copies of EEO complaint case files or duplicates of documents pertaining to case files which are included in files retained under Item M 1. above.</li> <li>4. All background documents pertaining to the case but not included in case files retained under Item M 1. above.</li> </ol>	<p>Temporary. Destroy 4 years after cutoff.</p> <p>Official case file retained by CSC.</p> <p>Temporary. Destroy 1 year after cutoff.</p> <p>Temporary. Destroy 3 years after cutoff.</p>	
AMP	N.	<p>RECORDS RELATING TO INDIVIDUAL EMPLOYEE OPERATION OF MOTOR VEHICLES, including driver tests, authorization to use, safe driving awards, and related correspondence. Arranged alphabetically by name of employee. Cutoff upon separation of employee or rescission of authorization to operate motor vehicle.</p>	<p>Temporary. Destroy 3 years after separation of employee or rescission of authorization.</p>	
	O.	<p>STATEMENTS OF EMPLOYMENT AND FINANCIAL INTERESTS, AND RELATED PAPERS. Arranged alphabetically by name of employee. Cutoff when employee leaves position or leaves the agency.</p>	<p>Temporary. Destroy 2 years after employee leaves a position in which a statement is required, or two years after the employee leaves the agency, whichever is earlier.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMP	P.	LABOR CONTRACTS  1. Labor Contracts & Amendments with IBEW, covering wage rates, hours and similar matters. Arranged chronologically Cutoff on expiration or cancellation.  2. Correspondence and related papers essential to clarifying or explaining provisions of the contract. Arranged chronologically. Cutoff on expiration or cancellation of related contract.	Temporary. Destroy 6 years after cutoff.     Temporary. Destroy 6 years after cutoff.	
	Q.	CERTIFICATES OF ELIGIBLES including requests. Arranged by certificate number. Cutoff when position is filled.	Temporary. Destroy 2 years after date of certificate.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG-PC	A.	<p>PROCUREMENT FILES consisting of contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment. Arranged by contract or purchase order number. Cutoff on date of final payment.</p> <ol style="list-style-type: none"> <li>1. Transactions before 7-25-74 of more than \$2,500</li> <li>2. Transactions before 7-25-74 of \$2,500 or less.</li> <li>3. Transactions after 7-25-74 of more than \$10,000 and all construction contracts exceeding \$2,000.</li> <li>4. Transactions after 7-25-74 of \$10,000 or less and construction contracts under \$2,000.</li> </ol>	<p>Temporary. Transfer to FARC in FY block 2 years after final payment. Destroy 6 years after final payment.</p> <p>Temporary. Close file at end of FY, retain 3 years, and destroy except the files on which actions are pending will be brought forward to the next FY's files.</p> <p>Temporary. Transfer to FARC in FY block 2 years after final payment. Destroy 6 years after final payment.</p> <p>Temporary. Close file at end of FY, retain 3 years, and destroy except the files on which actions are pending will be brought forward to the next FY's files.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG-PC	A.	PROCUREMENT FILES (Continued)		
		5. Miscellaneous procurement transactions, such as letter requests, etc. Arranged in numerical or chronological order. Cutoff on receipt of material.	Temporary. Close file at end of FY, and destroy when 3 years old, except that files on which actions are pending will be brought forward to the next FY's files.	
		6. Copies of contracts, requisitions, purchase orders, leases and other procurement papers which are duplicates of papers defined in Items 1-5 and used for administrative purposes. Arranged in numerical or chronological order. Cutoff upon termination or completion.	Temporary. Destroy upon termination or completion.	
		7. Copies of purchase orders maintained in AMG, used for PNF (Procurement Numerical File). Arranged in numerical order. Cutoff at end of FY.	Temporary. Destroy in FY block 3 years after cutoff.	
	B.	BID FILES		
		1. Successful bids. This file becomes a part of procurement files (Item A) upon award.	Temporary. Destroy in accordance with provisions for Item A.	
		2. Unsuccessful bids. Arranged by IFB number. Cutoff when award is made to successful bidder.	Temporary. Destroy in accordance with provisions for Item A.	
		3. Lists of acceptable bidders. Arranged alphabetically by name of bidder in groups of small or large business concerns. Cutoff when new list is made or otherwise becomes obsolete.	Temporary. Destroy upon cutoff.	

JFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG-PC	C.	SF-44, PURCHASE ORDER-INVOICE-VOUCHER ACCOUNTABILITY RECORDS. Listed in numerical order. Cutoff when all entries are cleared.	Temporary. Destroy 1 year upon cutoff.	
	D.	BILLS OF LADING ACCOUNTABILITY RECORDS-REGISTER. Listed in numerical order.	Temporary. Destroy 3 years after final entry on register.	
	E.	ROOF GUARANTEES. Arranged alphabetically by location. Cutoff at expiration of guarantee.	Temporary. Destroy 2 years after expiration of guarantee.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG -P	A.	PURCHASE ORDERS, Property Section copies. Cutoff at close of fiscal year.	Temporary. Destroy 1 year after cutoff.	
	B.	STOCK VOUCHER FILES consisting of SPA-598, Stock Voucher, SPA-597, Receiving Report received from field offices. Source documents for ADP Stock Accounting System. Filed numerically by location by fiscal year. Cutoff at close of fiscal year.	Temporary. Destroy 2 years after cutoff.	GRS 8, Item 4
	C.	RECEIVING REPORTS, Form SPA-83  1. Consisting of copies maintained in numerical order, used mainly as an index. Arranged numerically by location within fiscal year. Cutoff at close of fiscal year.  2. All other copies.	Temporary. Destroy not later than 2 years after cutoff.  Temporary. Destroy not later than 1 year after cutoff.	
	D.	HAND RECEIPT FOLDERS (alphabetical by employee) consisting of originals, DI-105. Cutoff when all items are turned in.	Temporary. Destroy when all items are returned.	
	E.	REPORTS OF EXCESS REAL PROPERTY. Arranged numerically by report number within FY. Cutoff after disposition of property.	Temporary. Destroy when obsolete.	
	F.	REPORTS OF EXCESS PERSONAL PROPERTY. Arranged numerically by report number within FY. Cutoff after disposition of property by fiscal year.	Temporary. Destroy 3 years after cutoff.	GRS 4, Item 5

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG-P	G.	REAL PROPERTY REPORTS. Arranged chronologically. Cutoff at close of fiscal year.		
	1.	Annual reports to GSA of real property owned and leased by SPA, and related work papers.	Temporary. Destroy 3 years after cutoff.	
	2.	Copies of machine listings of real property owned and leased by SPA, prepared by GSA.	Temporary. Destroy 3 years after cutoff.	
	H.	PROPERTY SURVEY FILES. Arranged numerically by report or certificate number, by FY. Cutoff at close of fiscal year.		
	1.	Reports of Survey (DI-103), covering property valued over \$100. May contain supervisor's statements, statements of witnesses and other related correspondence and papers pertaining to disposition of unserviceable or obsolete SPA property; and employee liability relative to lost, stolen and/or damaged property. Includes action taken by the Board of Survey, Accountable Property Officer, and Administrator.	Temporary. Destroy 2 years after date of survey action.	
	2.	Certificate of Loss or Damage, covering property valued at \$100 or less. Contain employee's statement, supervisor's statement, action taken by Accountable Property Officer and Administrator.	Temporary. Destroy 2 years after date of survey action.	
	I.	PROPERTY DISPOSAL CASE FILES.		
	1.	Those involving disposal of surplus real and related personal property. Arranged numerically by report number. Cutoff after completion of sale, transfer, or other disposition.	Temporary. Transfer to FARC 3 years after cutoff. Destroy 5 years after cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG-P	I.	PROPERTY DISPOSAL CASE FILES: (Continued)		
	2.	Those pertaining to sales of surplus personal property. Arranged numerically by report number. Cutoff after final payment.		
	a.	Transactions before 7-25-74 of more than \$2,500.	Temporary. Transfer to FARC in FY blocks 2 years after cutoff. Destroy 6 years after cutoff.	
	b.	Transactions before 7-25-74 of \$2,500 or less.	Temporary. Destroy 3 years after cutoff.	
	c.	Transactions after 7-25-74 of more than \$10,000.	Temporary. Transfer to FARC in FY blocks 2 years after cutoff. Destroy 6 years after cutoff.	
	d.	Transactions after 7-25-74 of \$10,000 or less.	Temporary. Destroy 3 years after cutoff.	
	3.	Copies of above (maintained other than in Property files) Arranged as appropriate. Cutoff after disposition of material.	Temporary. Destroy 1 year after cutoff.	
	J.	LAND REGISTERS containing summary entries of every right-of-way and substation transaction. Shows acreage, footage, owner's name, deed recordation, cost of property and related data. Retained as summary documentation of land acquisition transactions. Arranged numerically by tract number or station number. Cutoff upon completion of land acquisition. These files are no longer being created.	Permanent. Transfer to FARC 10 years after cutoff. Offer to NARS 5 years after completion of disposal action.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG-P	K.	RECORDS relating to the allocation, utilization and release of space and related reports to General Services Administration. Includes building plan files and related records utilized in space planning, assignment and adjustment.	Temporary. Destroy 2 years after termination of assignment, or when lease is canceled, or when plans are superseded or obsolete.	
	L.	ACCOUNTABLE PROPERTY RECORDS (nonexpendable), consisting of property cards (Kardex), covering all nonexpendable property in the custody of the Administration. Arranged alphabetically by noun name and other identification. Cutoff upon disposal of property.	Temporary. Destroy upon cutoff.	
	M.	PROPERTY VOUCHERS - MASTER consisting of SPA-75, Transfer of Nonexpendable Property and SPA-83-2, Receiving Report - Accountable Officers copy. Serve as posting documents for Master Accountable Property Records. Arranged numerically by Property Voucher number by fiscal year. Cutoff at end of each odd-numbered fiscal year.	Temporary. Destroy 10 years after cutoff.	
	N.	RESPONSIBLE AGENTS ACCOUNTS (Subsidiary Ledgers), SPA-74, covering items subcharged to Responsible Agents by Accountable Property Officer. Arranged alphabetically by noun name and other identifications. Cutoff when all items transferred or accounts relieved.	Temporary. Destroy at end of fiscal year after cutoff.	
	O.	PROPERTY VOUCHERS - RESPONSIBLE AGENTS consisting of SPA-75, and SPA-83-2, Receiving Report - Responsible Agents copy. Serve as posting document for Responsible Agents accounts. Arranged numerically by Responsible Agents voucher number, by fiscal year. Cutoff after inventory.	Temporary. Destroy after cutoff when they have been reconciled with annual inventory lists.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG-P	P.	MONTHLY STOCK STATUS REPORT - a machine list of items in stock number sequence, showing location, quantity on hand and value of each item. Arranged by warehouse. Cutoff by fiscal year.	Temporary. Destroy not later than 1 year after cutoff.	
	Q.	INVENTORY LISTS - Consisting of listings of items on hand as of date of inventory. Maintained for reconciling records and physical count. Arranged chronologically by account. Cutoff at close of each odd numbered FY.  1. Annual warehouse inventory lists.  2. Bi-annual nonexpendable inventory lists.	Temporary. Destroy 2 years after cutoff.	
	R.	FEDERAL CATALOGING REGISTER Arranged numerically by SPA number in groups of 200 each. Cutoff at end of fiscal year.	Temporary. Destroy not later than 1 year after cutoff.	
	S.	FEDERAL ITEM IDENTIFICATION CARD, DD 146, furnishing approved FSN and complete description. Filed numerically by FSN.	Temporary. Destroy when canceled or superseded by DSA.	
	T.	SPA STOCK CATALOG. Monthly machine list of all stock items in SPA's supply syteem, arranged alphabetically by stock item. Arranged chronologically by fiscal year. Cutoff by fiscal year.	Temporary. Destroy not later than 1 year after cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG-P	U.	MONTHLY SUMMARY OF WAREHOUSE TRANSACTIONS. Machine listing showing all receipts and issues transactions for the month. Consisting of detail listing by location and consolidated recap. Arranged chronologically by fiscal year. Cutoff by fiscal year.	Temporary. Destroy not later than 1 year after cutoff.	
	V.	QUARTERLY SUPPLY MANAGEMENT FILE consisting of machine listing of stock item activity. Used for supply management purposes. Arranged by account number by fiscal year. Cutoff at end of fiscal year.	Temporary. Destroy not later than 1 year after cutoff.	
	W.	NONACTIVE STOCK ITEM REPORT consisting of a quarterly machine listing of stock items having no activity for the period. Arranged by account number by fiscal year. Cutoff at end of fiscal year.	Temporary. Destroy not later than 1 year after cutoff.	
	X.	OFFICE MACHINE LOCATOR FILE. Card file showing data of receipt, description, cost, and location. Arranged by type of machine and serial number. Cutoff upon disposition of machine.	Temporary. Destroy no later than 1 year after cutoff.	
	Y.	PURCHASE REQUISITION REGISTER used to control issuance of purchase requisition numbers. Arranged numerically by requisition number by fiscal year. Cutoff at end of fiscal year.	Temporary. Destroy 2 years after cutoff.	
	Z.	RECEIVING REPORT REGISTER used to control issuance of receiving report numbers. Arranged numerically by receiving report number by fiscal year. Cutoff at end of fiscal year.	Temporary. Destroy 2 years after cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG-P	AA.	MASTER PROPERTY VOUCHER REGISTER used to control issuance of master property voucher numbers. Arranged numerically by voucher number by fiscal year. Cutoff at end of each odd-numbered fiscal year.	Temporary. Destroy 10 years after cutoff.	
	BB.	REPORTS OF AVAILABLE PERSONAL PROPERTY. Arranged numerically by report number within FY. Cutoff end of fiscal year.	Temporary. Destroy 3 years after cutoff.	
	CC.	REPORT OF PERSONAL PROPERTY FOR SALE. Arranged numerically by report number within FY. Cutoff after disposition of property.	Temporary. Destroy 3 years after cutoff.	
	DD.	OFFICE MACHINE OPERATING MANUALS furnished by manufacturers. Arranged by type of machine. Cutoff upon disposition of machine.	Temporary. Transfer to new owner or destroy upon disposition of machine.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
		<p>SEE: ADMINISTRATIVE RECORDS -- SUBJECT FILES</p> <p>Material regarding safety is maintained in the subject files.</p>		

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
		<p>SEE: ADMINISTRATIVE RECORDS - SUBJECT FILES</p> <p>Material regarding transportation is maintained in the subject files.</p>		

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
Act. Off.	A.	<p>TRAVEL FILES INCLUDING copies of travel authorizations, travel vouchers, and related papers not provided for elsewhere in this portion of the Schedule.  Arranged alphabetically by employee name.  Cutoff end of fiscal year.</p> <ol style="list-style-type: none"> <li>1. Administrative copy.</li> <li>2. Other copies.</li> </ol>	<p>Temporary. Destroy 3 years after period covered by related account.</p> <p>Destroy when 1 year old.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG-P	A.	VEHICLE INSPECTION AND REPAIR RECORDS consisting of periodic inspection reports, etc. Arranged by Vehicle License Number. Cutoff on disposal of vehicle.	Temporary. Destroy not later than 1 year after disposition completed.	

PROGRAM CASE FILES

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PFE	A.	RELAY SETTINGS DATA FILES. Relay Settings, and related papers regarding relay settings at various stations. Includes schematic diagrams and other work papers. Arranged alphabetically by substation. Cutoff when superseded by new relay settings.	Temporary. Files maintained by Br. of Engineering. Destroy when superseded.  Copies maintained by Br. of Maintenance. Destroy 90 days after cutoff.	
EXP	B.	ENGINEERING SPECIAL STUDY FILES. Includes network analyzer and digital computer studies such as load flow studies, fault studies, short-circuit studies, etc. Includes studies performed by SPA or by contract with outside firms. Arranged by title of study. Cutoff at end of study.	Temporary. Destroy when no longer needed.	
PFE	C.	<u>ENGINEERING DRAWINGS AND MAPS - TRANSMISSION LINES.</u> Drawings and maps regarding transmission line location and property including line structures. Includes the following specific types of drawings and maps:  Line Location and Property Maps Steel "H" Frame Structures Concrete Footing Details (H-Frame) Overhead Wire Crossings Insulated Static Ground Wire System Details Line Plan & Profile Drawings (full length, rolled) Approaches to Switchyard Ownership Strip Maps Tangent Structure Details Angle Structure Details Guying Details Vibration Dampers	Temporary. Destroy upon cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PFE	C.	<u>ENGINEERING DRAWINGS AND MAPS - TRANSMISSION LINES (cont.)</u>  Included in this category are Plan and Profile Maps of lines (full length, rolled). Arranged by line number. Cutoff when line is abandoned, retired, or sold.		
	D.	ENGINEERING DRAWINGS AND MAPS - SUBSTATIONS, SWITCHING STATION AND MAJOR POWER APPARATUS. Includes all drawings and maps pertaining to substation structure and land, transformers, oil circuit breakers, and electrical structures. The following types of maps or drawings may appear in this file for each substation:  Site Plan Grading and Drainage Plan Grounding Plan and Grounding Details Underground Conduit Plan and Details Underground Conduit Manhole Sections Footing Plan and Footing Details Property Map Switchyard Lighting Plan Transmission Tower and Switching Structures Conductor and Overhead Ground Wire Plan Structural Details - Columns and Girders Architectural Plans and Details General or Site Maps of Dams Powerhouse and Yard General Plan Switchyard Foundations Details	Temporary. Destroy upon cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PFE	D.	ENGINEERING DRAWINGS AND MAPS - SUBSTATIONS, SWITCHING STATION AND MAJOR POWER APPARATUS. (cont.)  Maps and drawings were created by SPA, Corps of Engineers, and private contractors. Arranged by substation. Cutoff when related facility is disposed of.		
	E.	ENGINEERING DRAWINGS AND MAPS - CONTROL, COMMUNICATION, METERING AND RELAYING DEVICES. Engineering drawings and schematic for switchboards, supervisory control equipment, microwave equipment, power line carrier and other control, communication, metering or relay equipment. Includes one-line diagrams, three-line diagrams, schematic diagrams, panel layout drawings, interconnection diagrams, assembly wiring diagrams, cable connection drawings, cable and conduit schedules. Drawings consist of those prepared by SPA and those furnished by manufacturers of equipment on contract basis.  Arranged by location (substation, switching station, or dam). Cutoff when the related equipment is sold, transferred or otherwise disposed of.	Temporary. Destroy upon cutoff.	
	F.	ENGINEERING DRAWINGS AND MAPS - SYSTEM PLANNING. Drawings, diagrams and maps used in system planning and to conduct load flow and fault studies. Arranged by type of drawing or map. Cutoff when superseded by new drawing or map.  1. Positive and negative sequence one-line diagrams. 2. Maps by geographic area, maps and drawings of SPA integrated network, maps and drawings of other power company systems.	Temporary. Destroy upon cutoff.  Permanent. Transfer to FARC 2 years after cutoff. Will be offered to NARS 10 yrs after cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PFE	G.	ENGINEERING DRAWINGS AND MAPS - MAINTENANCE BUILDINGS. Plans and drawings regarding Springfield and Jonesboro maintenance buildings depicting building plan; lighting and wiring; station service; underground conduits; grading, drainage and fencing; air conditioning and heating, etc. Arranged by location. Cutoff when related facility is disposed of.	Temporary. Destroy upon cutoff.	
	H.	ENGINEERING DRAWINGS AND MAPS - STANDARD DRAWINGS. These drawings show in detail the standards of SPA engineering and architectural design of structures, lines and electric system facilities. Transmission line standards show details of tangent and angle structures, deadend structures, pole gaining and drilling details, guying details, tower grounding details, H-frame structures. Other standards reflect erection and structural details of suspension and tangent towers, 161 kv structure steel details, 69 kv structure details, switching platforms, and instrument tables. Arranged by type of standard drawing. Cutoff when superseded by new standard.	Temporary. Destroy upon cutoff.	
	I.	ENGINEERING MAPS - TECHNICAL REFERENCE MATERIALS. Maps from U.S. Geological Survey, county maps, state highway department maps, and other nonrecord maps used for reference purposes. Arranged by type of maps and geographical location. Cutoff when superseded or obsolete.	Temporary. Destroy upon cutoff.	
	J.	TRANSMISSION LINE PRELIMINARY SURVEY DRAWINGS. Original drawings made prior to pen-and-ink drawings of transmission line locations. These drawings show basic land boundaries; they are sent to the field to complete data on land owners, fences, line crossings, other detailed information from which	Temporary. Destroy upon cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PFE	J.	TRANSMISSION LINE PRELIMINARY SURVEY DRAWINGS. (cont.)  pen-and-ink drawing is derived. Arranged by line number. Cutoff when project is completed.		
	K.	TRANSMISSION LINE STRUCTURE SCHEDULES. Reflect detailed information on transmission line structures such as ground elevation, survey station number, span length, length and class of poles, type of construction assembly for crossarms, insulators, static wire, cross brace, vee and knee brace, vibration damper, etc.; and pertinent remarks. Arranged by transmission line, thereunder by structure number. Cutoff when line is abandoned, retired, or sold.	Temporary. Destroy upon cutoff.	
	L.	SPA SURVEY BOOKS - TRANSMISSION LINES. Engineers field books (cross-section type) indicating engineering survey data such as survey station, identification elevation, distance measurements, angles, etc. Survey books are separated into four categories of data: Land ties, crossings, topographical notes and levels. Arranged by line number, thereunder by book number within categories shown above. Cutoff when line is abandoned.	Temporary. Destroy upon cutoff.	
	M.	SPA SURVEY BOOKS - SUBSTATIONS AND RADIO STATIONS. Engineers field books, similar to above, except showing survey data on proposed SPA radio stations and electrical substations. Survey data covers property survey, topo information, property lines, cross-sections, etc., usually in one book. Arranged by station name. Cutoff when facility is disposed of.	Temporary. Destroy upon cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PFE	N.	DRAWING AND MAP INDEX LEDGERS, (SPA FORM 54, DRAWING INDEX) Indicates drawing number, title or description, type of instrument, origin, where filed, remarks. Arranged in two ledgers: (1) transmission lines and (2) substations and dams. Cutoff when no drawings exist, or drawing record system changes.	Temporary. Destroy upon cutoff.	
	O.	SAG CHARTS. These charts reflect sag and tension data and technical information on various conductors. Prepared by manufacturer and used for reference purposes by SPA in design of transmission lines. Arranged by type of conductor. Cutoff when conductor type is no longer in use.	Temporary. Destroy upon cutoff.	
	P.	TOWNSHIP PLATS. Copies of original township plats obtained from National Archives and Geological Survey. Used as reference material for survey purposes in design of transmission lines. Arranged by transmission line number. Cutoff when line is abandoned.	Temporary. Destroy upon cutoff.	
	Q.	AERIAL PHOTOGRAPHS  1. Original Developed Rolls of Film - stored in canisters reflecting shutter speed, exposure, type of lens, height of shots, type of developer, etc.  2. Enlargements & Contact Prints - of roll film stored in flat boxes.  3. Mosaic Prints - made from aerial photos and permanently mounted to provide durability.  All of above generally arranged by transmission line. Cutoff when line is abandoned.	Temporary. Destroy upon cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PFE	R.	<p>ELECTRICAL ENGINEERING NOTES AND WORK PAPERS. Engineers' personal files of non-record drafts, notes, calculations, reference material, duplicate copies of correspondence. Includes data on metering calculations and relay data calculations, informal notes and sketches on transmission line and substation structures, cost estimate workpapers, drafts on technical specifications; and other technical papers that have neither documentary nor evidentiary value of their own since the final results, findings or information are reflected in the official files of SPA. Arranged by project or study.</p> <p>Screen annually for disposition of superseded or obsolete items.</p>	Temporary. Destroy <del>upon</del> <i>when</i> three years <i>old</i> .	
	S.	<p>MATERIALS SPECIFICATIONS AND STANDARDS. Consists of national standards data from NEMA, ANSI, AIES, ASTM, Federal Specifications and others regarding substation, transmission line and communication equipment.</p> <p>Arranged by type or title of standards.</p> <p>Cutoff when superseded or obsolete.</p>	Temporary. Destroy upon cutoff.	
	T.	<p>GENERATOR AND TRANSFORMER TEST DATA FILES. Technical data furnished by manufacturer regarding results of tests of generators and transformers. Includes correspondence, diagrams, and other data regarding generator and transformer tests.</p> <p>Arranged alphabetically by station.</p> <p>Cutoff when facility is abandoned.</p>	Temporary. Destroy upon cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PFE	U.	LAND TRACT DESCRIPTION FILES. SPA Form 58, Land Tract Description, transmittal letters and related correspondence. (Copies of originals) Arranged by line numbers. Cutoff when facility is abandoned.	Temporary. Destroy upon cutoff	
	V.	CONDEMNATION PLATS. Original drawings of land tracts involved in condemnation suits. Arranged by transmission line or substation number (location symbol). Cutoff when facility is abandoned.	Temporary. Destroy upon cutoff.	
	W.	ORIGINAL DRAWINGS - SPA-CORPS OF ENGINEERS - LAND USE AGREEMENTS. These drawings appear as exhibits to formal written agreements between SPA and CE where SPA applies for land use permits. Arranged by transmission line or substation number. Cutoff when facility is abandoned.	Temporary. Destroy upon cutoff.	
	X.	NON-SPA SYSTEM MAPS, GENERATION AND LOAD DATA FILES. Contains electrical engineering data on public and private utility companies. Includes system one-line diagrams, transmission line or system characteristics, data on short-circuit equivalent, line impedance information and fault values. Arranged alphabetically by name of power company. Cutoff when obsolete.	Temporary. Destroy upon cutoff.	
	Y.	OIL CIRCUIT BREAKER INFORMATION BOOK. Form used to list number, KV, Contract No. or BCT's MVA, Oil Circuit Breaker and Mechanism Type, Serial NO. and substation locations pertaining to SPA substations and related companies. Arranged alphabetically by substation and company names. Cutoff when superseded by new or revised form.	Temporary. Destroy upon cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PFE	Z.	SPA CABLE BOOKS. Forms used to list number, size, location and terminal connections of control cables used in SPA substations. Arranged alphabetically by substations. Cutoff when superseded by new or revised forms.	Temporary. Destroy upon cutoff.	
	AA.	SPA RELAY BOOKS. Forms used to list type, style, catalog number and location of control and protective relays in each SPA substation, and forms to show the setting and calibration used on each relay. Arranged alphabetically by substations. Cutoff when superseded by new or revised forms.	Temporary. Destroy upon cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
		<p>SEE: PROGRAM RECORDS - SUBJECT FILES</p> <p>All material relating to interagency cooperation is maintained in the program subject files.</p>		

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
AMG-P	A.	LAND AND RIGHT-OF-WAY ACQUISITION FILES. Official files on the acquisition and ownership of land tracts, right-of-way easements, public land use permits, etc., for the construction of transmission lines, access roads, substations, switching stations and radio stations. Each file consists of maps, forms, legal instruments and related correspondence to show tract location, description and ownership data; acquisition authority; appraisal data; title evidence; property recordation; voucher preparation and payment, etc. Arranged numerically by line number or alphabetically by station, thereunder by land tract number. Cutoff upon completion of acquisition (usually after final payment for land or land rights).	Temporary. Transfer to FARC 10 years after cutoff. Destroy 3 years after disposal of facility.  Temporary. Working files: Destroy when action completed.	
	B.	LAND CONDEMNATION PROCEEDINGS CASE FILES containing papers pertaining to land condemnation such as declarations of taking, judgments, maps, tract descriptions, title opinions, vouchers, and related correspondence. Arranged by state; thereunder by civil action number. Cutoff after close of case.	Temporary. Transfer to FARC 2 years after case is closed. Destroy 10 years after disposal of related facility.	
	C.	CROSSING AND PERMIT FILES for crossing highways, railroads, drainage ditches, public utilities, oil and gas lines, and other passages by SPA transmission lines. Includes official copy of application, numbered contract or memorandum permit, related correspondence, maps, profile drawings, etc. Arranged numerically by line number and thereunder by name of railroad, highway department, company, cooperative, etc. granting permit. Cutoff upon completion of acquisition of related tract.	Temporary. Transfer to FARC 5 years after cutoff. Destroy 10 years after disposal of related facility.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
	A.	CLAIMS CASE FILES		
PF		1. Motor Vehicle Accident Files. Arranged as appropriate. Cutoff after case is closed.	Temporary. Destroy 6 years after case is closed.	
Act Off		2. Other Claims Files. Arranged as appropriate. Cutoff after case is closed.	Temporary. Destroy 10 years after case is closed.	
Act Off	B.	LITIGATION CASE FILES (other than condemnation cases) pertaining to court proceedings involving SPA other than land condemnation. Contain legal documents and data vital to legal needs including pleadings and briefs. Arranged by case number. Cutoff upon completion of case.	Temporary. Transfer to Federal Records Center 5 yrs. after close of case. Destroy 20 yrs. after close of case. Temporary. Working files - Destroy no later than 4 yrs. after cutoff.	
Act Off.	C.	PROCEEDINGS BEFORE REGULATORY BODIES. Includes pleadings, briefs and other legal documents in proceedings before regulatory bodies growing out of activities of SPA. Arranged as appropriate. Cutoff upon close of proceedings.  Other legal records are kept in subject arrangement.  SEE PROGRAM RECORDS SUBJECT FILES.	Permanent. Transfer to Federal Records Center 2 yrs. after closing. Offer to NARS 20 years after close of proceedings.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PFM	A.	EQUIPMENT OPERATING INSTRUCTIONS. Furnished by manufacturers of electrical and electronic equipment installed at SPA-owned substation and switching stations. Arranged in groups by type of equipment, then alphabetically by stations. Cutoff upon disposition of equipment.	Temporary. Transfer to new owner or destroy upon disposition of equipment.	
	B.	EQUIPMENT MAINTENANCE AND INSPECTION REPORTS. Reports of periodic inspections of electrical and communications equipment made by SPA field stations. Arranged by location. Cutoff at end of fiscal year.	Temporary. Destroy 3 years after cutoff.	
	C.	FIELD WORK ACTIVITY REPORTS. Workload and manpower activity reports submitted to SPA headquarters by field offices, such as SPA-277, Weekly Work Activity Report. Arranged by location. Cutoff at end of fiscal year.	Temporary. Destroy 2 years after cutoff.	
	D.	TRANSMISSION LINE MAINTENANCE AND INSPECTION REPORTS. Reports of periodic inspections and maintenance actions made by SPA field stations on transmission lines. Includes SPA-96, Line Patrol Report, and SPA-544, Replacement Report. Arranged by line number. Cutoff at end of fiscal year.	Temporary. Destroy 3 years after cutoff.	
	E.	AERIAL PATROL REPORTS. Bi-monthly reports of aerial patrols of transmission lines. Arranged chronologically. Cutoff at end of fiscal year.	Temporary. Destroy 1 year after cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PMS	A.	<p>CONTRACTS FOR POWER SALES and related contracts. Include correspondence and related papers pertaining to negotiations, execution, administration, invoices and bills, reports, etc. The files may be subdivided in folders as follows:</p> <ol style="list-style-type: none"> <li>1. Contract Negotiations</li> <li>2. Contract Correspondence</li> <li>3. Operations Under Contract</li> <li>4. Power Invoices and Bills</li> <li>5. Letter Agreements (Exchange, Interruptible Capacity, etc.)</li> <li>6. Executed Contracts</li> </ol> <p>An additional folder may be needed in the event of contract amendments. Arranged numerically by contract number. Cutoff on date of final payment.</p> <p>(a) Transactions before 7-25-74 of more than \$2,500</p> <p>(b) Transactions before 7-25-74 of \$2,500 or less</p> <p>(c) Transactions after 7-25-74 of more than \$10,000 and all construction contracts exceeding \$2,000.</p>	<p>Temporary. Transfer to FARC in FY blocks 2 years after final payment. Destroy 6 years after final payment.</p> <p>Temporary. Close file at end of FY and destroy after three years, except the files on which actions are pending will be brought forward to the next FY's files.</p> <p>Temporary. Transfer to FARC in FY blocks 2 years after final payment. Destroy 6 years after final payment.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PMS	A.	<p>CONTRACTS FOR POWER SALES (Continued)</p> <p>(d) Transactions after 7-25-74, of \$10,000 or less and construction contracts under \$2,000.</p> <p>Annual Reports furnished by customers. Arranged numerically by contract number. Cutoff at close of FY.</p>	<p>Temporary. Close file at end of FY, and destroy after 3 yrs except the files on which actions are pending will be brought forward to the next FY's files.</p> <p>Temporary. Copies maintained in other offices: Destroy upon termination or supersession of related contract. Temporary. Destroy five years after cutoff.</p>	
	B.	<p>POWER SALES CONTRACT NEGOTIATION FILES, consisting of correspondence, drafts of contracts, rate data, and other material between SPA and potential power customers concerning negotiations for a power sales contract. If and when a contract is signed by SPA and the customer, this folder is removed from the file and placed in the Power Sales Contract File (Item A). Arranged alphabetically by name of potential customer. Cutoff those files which do not result in a contract every 2 years.</p>	<p>Temporary. Transfer to FARC 2 years after cutoff. Destroy 10 years after cutoff.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PMS-B.	C.	METER TAPES. Source data for power invoices. Arranged in monthly groups. Cutoff at end of fiscal year.	Temporary. Destroy 2 years after cutoff.	
	D.	POWER BILLING CARD FILES which reflect total deliveries, amount of invoice, average cost per kilowatt, monthly load factors, and other data. Arranged by delivery point, thereunder chronologically. Cutoff at close of calendar year.	Temporary. Destroy 5 years after cutoff.	
PMS	E.	FINANCIAL AND OPERATING REPORTS (Public and Private Utilities) Year-end reports. These reports are submitted by public and private utilities, contain balance sheets, operating statements, related financial and statistical data pertaining to number of consumers billed, power sold, and amount billed. Include power production data. Arranged by name of public or private utility. Cutoff annually.	Temporary. Destroy 5 years after cutoff.	
PMC	F.	RATE AND REPAYMENT STUDY AND ANALYSIS FILES regarding periodic analysis of rates made in order to establish equitable rate structures and used in submissions before the FPC in support of rates. Arranged by power systems. Cutoff upon completion of study.	Permanent. Transfer to FARC 10 yrs after cutoff. Offer to NARS 50 years after cutoff.	
	G.	REPAYMENT STUDY AND ANALYSIS FILES regarding periodic analysis of the repayment progress made by SPA, in order to establish recommendations for the marketing of the power and energy under SPA's jurisdiction. Arranged chronologically. Cutoff upon completion of study.	Temporary. Transfer to FARC 5 yrs after cutoff. Destroy 10 yrs after cutoff.	
	H.	MARKETING STATISTICS containing historical summary of sales in capacity, kilowatt-hours, and revenues, contractual costs such as purchased power, service charges, credit payments, etc. SPA Forms 403, 405, and 406. Arranged alphabetically by name of customer. Cutoff at end of fiscal year.	Temporary. Transfer to FARC 10 years after cutoff. Destroy 50 years after cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PMP	A.	POWER ACCOUNTING FILES. Meter Readings, SPA-331A, SPA-577, SPA-507, SPA-510 used to record generation of power from projects and allocation of power to customer. Needed as support and backup for related Contract. Billing is based on these records. Records verify that operations were in the limitations of the Contract. Arranged chronologically (monthly) by customer. Cutoff after close of calendar year.	Temporary. Transfer to FARC by customer 3 yrs after cutoff. Destroy 6 years after termination of related Contract or agreement. Review for destruction every 15 years.	
	B.	POWER ACCOUNTING WORK SHEET, SPA-560. Arrange monthly by fiscal year. Cutoff at end of fiscal year.	Temporary. Destroy 3 yrs after cutoff.	
	C.	METER TAPES. Preliminary source data for power generation recordation. Arranged in monthly groups. Cutoff at end of calendar year.	Temporary. Destroy 2 years after cutoff.	
	D.	TIME ERROR AND CORRECTION PARTICIPATION REPORTS, SPA-569. Arranged chronologically. Cutoff at end of calendar year.	Temporary. Destroy 2 years after cutoff.	
	E.	POWER DISPATCHERS LOGS. SPA-305, Daily Operations Log. A chronological record of the operations of SPA's electrical system. Includes information on switching operations, clearances, weather data, Federal plant loading, line and substation equipment trouble, etc. Cutoff at end of calendar year.		
	1.	Originals (Power Dispatcher's Offices)	Temporary. Destroy 6 years after cutoff.	
	2.	Other copies	Temporary. Destroy 1 year after cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PMP	F.	SUBSTATION READING SHEETS, HOURLY AND OTHERS, SPA-592. Readings of indicating meters at the substation. Cutoff at end of calendar year.  1. Originals (Power Dispatchers Offices)  2. Copies.	Temporary. Destroy 6 years after cutoff. Temporary. Destroy 1 year after cutoff.	
	G.	TRANSMISSION LINE DATA. Received from CE by day by project. Used for guidance in system operation. Filed chronologically by project. Cutoff at end of calendar year.	Temporary. Destroy 3 years after cutoff.	
	H.	TELEMETERING CHARTS. Frequency, system voltage, megawatts, generation, interchange, line and area loading charts. Arranged chronologically. Cutoff at end of calendar year.  1. Summary charts maintained by Br. of Power Operations.  2. Charts maintained by Dispatching Officer.	Temporary. Destroy 3 years after cutoff. Temporary. Destroy 3 years after cutoff.	
	I.	INTERRUPTION REPORTS. Reports of each case of interruption affecting continuity or quality of service to customers, transmission lines, or station power. Such trouble includes automatic line outages, switching errors, failure of major electrical equipment, and accidental tripping of oil circuit breakers. Arranged chronologically. Cutoff at end of calendar year.		

DFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PMP	I.	INTERRUPTION REPORTS. (cont.)  1. Originals (Branch of Power Operations)  2. Copies	Temporary. Destroy 6 years after cutoff.  Temporary. Destroy 1 year after cutoff.	
	J.	DELIVERY AND OPERATING SCHEDULES. Correspondence or forms from customers requesting delivery of specified amounts of power for future periods. Arranged chronologically by customer. Cutoff at close of calendar year.	Temporary. Destroy 1 year after cutoff.	
	K.	STANDARD SWITCHING ORDERS. Instructions for accomplishing uniform switching operations at various stations. Arranged by switching order number. Cutoff when order is obsoleted or changed.	Temporary. Destroy 2 years after order is revised, rescinded, obsoleted, or otherwise changed.	
	L.	LOADING SCHEDULES. SPA-534. Daily log showing schedules of power delivery, and generation estimated losses. Arranged chronologically in binders. Cutoff at close of calendar year.	Temporary. Destroy 1 year after cutoff.	
	M.	INTEGRATED SYSTEM LOG SHEET, SPA-400. Daily log sheet showing: Generation to SPA by plants, monthly totals and maximums; maximum generation; and maximum generation and load record; SPA firm system loads; non-firm system loads; customer loads; transactions consisting of actual and scheduled interchange, and inadvertent interchange. Arranged chronologically (daily). Cutoff at close of calendar year.	Temporary. Transfer to FARC 10 years after cutoff. Destroy 40 years after cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PMP	N.	INADVERTENT INTERCHANGE SUMMARY - SWPP. Reconciliation of accounting records with SWPP. Cutoff at end of calendar year. Arrange chronologically by month.	Temporary. Transfer to FARC 3 years after cutoff. Destroy 10 years after cutoff.	
	O.	ACTUAL HOURLY LOADS - MWH. Weekly report required by the Southwest Power Pool, including hourly load each day for entire SPA area. Arranged chronologically. Cutoff at end of calendar year.	Temporary. Destroy 3 years after cutoff.	
	P.	MIDNIGHT LAKE ELEVATIONS. SPA-555 used to record lake elevations at each project at midnight on each day of the month. Arranged chronologically by month. Cutoff at end of calendar year.	Temporary. Destroy 20 years after cutoff.	
	Q.	SOUTHWEST POWER POOL DAILY CAPABILITY AND EQUIPMENT OUTAGE REPORT, GROUP B, SPA-680. Arranged chronologically by month. Cutoff at end of calendar year.	Temporary. Destroy 2 years after cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PMR	A.	<p>COMPREHENSIVE RIVER BASIN PLANNING STUDY PROJECT FILES, resulting from coordinated interagency studies of river basins including plans and recommendations for future development and use. Arranged alphabetically by name of river basin. Subdivide the projects into folders arranged by subject topics (examples shown below) as volume warrants.</p> <p>Temporary Papers Plan of Survey Conferences and Meetings Economic Base Studies Power Needs Studies Potential Developments - Recommendations Reports (subdivide by type: interim, appendixes basic framework, etc.)</p> <p>Cutoff after completion of study.</p>	<p>All papers, reports submissions, by SPA which reflect SPA activities, contributions and involvement in the study. <u>Permanent</u>. Transfer to FARC 5 years after cutoff. Will be offered to NARS 50 years after cutoff.</p> <p>Temporary. All printed reports and other technical reference material prepared by other agencies and used by SPA as source data and for informational purposes only. Destroy 5 years after completion of study.</p>	
PM	B.	<p>POWER MANAGEMENT AND PLANNING PROJECT FILES consisting of power studies and data regarding special projects proposed or underway in the geographical area within the purview of SPA. These special studies may include pumped storage projects, proposed interconnections between Federal agencies or between Federal and non-Federal organizations, proposed power projects and storage reservoirs, etc. Arranged by name of study or project. Cutoff upon completion of study.</p>	<p><u>Permanent</u>. Transfer to FARC 5 years after cutoff. Will be offered to NARS 10 years after cutoff.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
EXP	C.	COST ALLOCATION CASE FILES.		
		1. Cost allocation studies made by the Corps of Engineers, SPA's comments, and alternate studies made by SPA to improve financial feasibility of power installations. Arranged alphabetically by multiple-purpose projects. Cutoff when SPA is no longer marketing agent for the project.	Temporary. Send to FARC 5 years after cutoff. Destroy 10 years after cutoff.	
		2. Cost allocation data sheets consisting of summary power project data and cost allocation data. Arranged alphabetically by multiple-purpose projects. Cutoff when firm allocation made by SPA and CE.	Temporary. Destroy 10 years after cutoff.	
PMR	D.	DAILY OPERATION REPORTS - CE, showing hourly generation for each unit and hourly pool and tailrace elevations with summary of generation and hydrologic data. Received from each CE District in SPA's area of operations. Arranged by project, thereunder chronologically. Cutoff end of each calendar year.		
		1. Maintained in Br. of Power Resource Production.	Temporary. Destroy 50 years after cutoff.	
	E.	WEEKLY RESERVOIR DATA - Machine printouts containing current conditions on all projects in SPA's interconnected system and the isolated plants. Arranged chronologically. Cutoff at end of each calendar year.		
		1. Maintained in Br. of Power Resource Production.	Temporary. Destroy when no longer needed.	
		2. All other copies.	Temporary. Destroy 1 year after cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PMR	F.	ESTIMATED INFLOW DATA - Data received daily by telephone from CE on inflow conditions. This is converted to energy and data furnished Branch of Power Operations on a 5-day projection. Arranged chronologically. Cutoff at end of calendar year.	Temporary. Destroy no later 1 year after cutoff.	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
PMR	G.	FIRM ENERGY ALLOCATION - Tabulation on a 7-day basis for each reservoir. Arranged chronologically. Cutoff at end of calendar year.	Temporary. Destroy 1 year after cutoff.	
	H.	DAILY RESERVOIR DATA. Tabulation used for 30-day operational plan, Firm Energy Allocations, Weekly Reservoir Data Report, etc., containing the following data on all SPA projects:  Top and bottom elevation of power pools Monthly medians Daily Pool elevations Inflow and Discharges  Arranged chronologically. Cutoff at end of calendar year.	Temporary. Destroy no later than 10 years after cutoff.	
	I.	RESERVOIR DATA SHEETS - CE (HEADWATER BENEFITS), showing rainfall, evaporation, pool elevation, daily discharge and daily inflow. Arranged by project, thereunder chronologically. Cutoff end of each calendar year.	Temporary. Destroy 10 years after cutoff.	
	J.	ENVIRONMENTAL IMPACT STATEMENTS, both draft and final, significantly affecting the quality of the human environment. Arranged by project. Cutoff upon publication of final statement.  1. Statements with specific impact in the jurisdiction of SPA. Includes statements prepared by SPA and/or others.  2. Statements prepared by others with no impact in the jurisdiction of SPA.	Temporary. Transfer to FARC 4 years after cutoff. Destroy 50 years after cutoff. Temporary. Destroy when no longer needed.	
Act. Off.				

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
		<p>SEE: PROGRAM RECORDS - SUBJECT FILES</p> <p>All material relating to program planning and review is maintained in the program subject files.</p>		

APPENDIX 3  
DISPOSITION SCHEDULES



## APPENDIX 3

### RECORDS DISPOSITION SCHEDULES

The Records Disposition Schedules are arranged in the same order by primary functional headings as the subject file system in Appendix 1 and the case file system in Appendix 2. An additional section on nonrecord material is included. The schedules are therefore divided into four major parts:

- Part I - Nonrecord Material
- Part II - Administrative Subject Records
- Part III - Program Subject Records
- Part IV - Case File Material

The disposal authority for nonrecord material and for administrative and program subject files is found on the first pages of parts I, II and III. Disposal authorities for case files are located under the appropriate functional headings. See Part IV, case files, for reference. When referring to the schedules, always cite the functional heading or its symbol and the item number.

The disposal standards in these schedules are based on studies of the administrative, legal, fiscal and historical values of the records; recommendations of operating officials; and provisions of Government-wide schedules issued by the General Services Administration. Suggested standards which do not show a disposal authority have not been cleared by the National Archives and Records Service and the Joint Congressional Committee on Disposition of Executive Papers, as required, and thus are not approved for use at this time.

All SPA records are covered by the Records Disposition Schedules. If in applying these standards a category of records is found for which there is no applicable disposal standard, the SPA Records Officer should be notified. Likewise, if a change in the present standard is desired, a recommendation should be submitted to the Records Officer together with a justification for the revision. Any changes to the schedules must go through the required cycle of clearances before being implemented.

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
		<p><u>NONRECORD MATERIAL</u></p> <p>Nonrecord material is defined in chapter 1, page 2 of this manual. Materials are usually nonrecord in character because they are (1) copies of an original which serve as the official record; (2) printed or processed materials of which only the master copy is considered official; (3) papers of a transitory nature which cease to have any documentary or evidential value after completion of a specific transaction, event, action, etc., such as preliminary drafts, shorthand notes, etc.</p> <p>This portion of the Handbook describes nonrecord material which is normally produced and accumulated as a result of responsibilities and activities common to all offices. These papers usually deal with the routine administration of an office.</p>		

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
	A.	DRAFTS. Preliminary and intermediate drafts of letters, memoranda, reports, etc., and office notes.	Destroy after final drafts are completed.	Nonrecord
	B.	DUPLICATING MEDIA OR REPRODUCTION MATERIALS consisting of stencils, ditto masters and other duplicating media used for preparing form letters, invitations to bid, reports, etc.	Destroy when primary purpose has been served.	Nonrecord
	C.	PUBLICATIONS-SPA (Reference Copies). Excess copies of notices, orders, bulletins, pamphlets, circulars, memoranda, public relations material and other printed or processed documents.	Keep copies at minimum for official reference use. Destroy when obsolete.	Nonrecord
	D.	PUBLICATIONS OF OTHER GOVERNMENT AGENCIES such as Senate and House documents, Code of Federal Regulations, GSA publications, etc.	Destroy when superseded by new publication, when obsolete, or in case of bound volumes, when not needed for library purposes.	Nonrecord
	E.	PUBLICATIONS-INDUSTRY including catalogues, price lists, parts lists, vendor's sales pamphlets, brochures prepared by private industry.	Destroy when superseded or obsolete.	Nonrecord
	F.	READING FILES. Extra copies of correspondence, memos, forms, etc., used solely as a reading or reference file for the convenience of personnel.	Destroy after 6 months.	Nonrecord.
	G.	QUASI-OFFICIAL NOTICES. Memoranda and other papers that are not records of official SPA actions, such as notices of holidays, charitable and welfare fund solicitations, bond campaign notices, announcements, etc.	Destroy when purpose is served, usually after circulation within office.	Nonrecord
	H.	TRANSITORY MATERIAL, consisting of items of short term interest, transmittals, and other papers.	Destroy after 6 months or when purpose is served.	Nonrecord

NONRECORD MATERIAL - NR

PART I

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
		<p><u>ADMINISTRATIVE RECORDS</u></p> <p>Most offices maintain records of an administrative nature in a subject file arrangement. Administrative records generally relate to the internal administration or "housekeeping" functions of an agency and do not concern the agency's primary mission or purpose. Administrative records include material documenting such activities as budget, personnel, office supplies, space, reproduction, etc. In an administrative office or staff office, whose sole responsibility is administering one of these housekeeping functions, the records are usually official in nature and constitute, in effect, the program files of the office.</p> <p>ADMINISTRATIVE SUBJECT FILES consisting of correspondence relating to the internal administration of SPA and relating to such activities as office organization, staffing, procedures, communications, reproduction, procurement, travel, transportation, personnel, emergency planning, office space, etc.</p> <p>Arranged according to subject-numeric classification system as indicated in appendix 1 of this handbook. All other documentation will be found in the case files.</p> <p>Cutoff at the close of each odd-numbered fiscal year (every 2 years).</p>	<p>Temporary. Official Files: Destroy 4 years after cutoff.</p> <p>Temporary. Unofficial Files: Destroy no later than 1 year after cutoff.</p> <p>See Appendix I, Administrative Subject Files, beginning on page 38.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
		<p><u>PROGRAM RECORDS</u></p> <p>Program files relate to the program, mission, or line functions for which SPA exists. These records are outlined under the following primary subjects or functions: Engineering-Design, Interagency Cooperation, Land, Legal, Maintenance, Power Marketing, Power Operations, Power Resources, and Program Planning and Review.</p> <p>PROGRAM SUBJECT FILES consisting of records maintained in a subject arrangement and relating to the primary programs of SPA including power operations, power marketing, power resources, program planning and review, etc. Arranged according to the subject-numeric classification system indicated in this handbook (Appendix 1). Cutoff at the close of each odd-numbered fiscal year (every 2 years).</p>	<p>Permanent - all items marked "P." Transfer to FARC 4 yrs after cutoff. Will be offered to NARS 20 years after cutoff.</p> <p>Temporary. All other record files. Transfer to FARC 4 yrs after cutoff. Destroy 20 yrs after cutoff.</p> <p>Temporary. Nonrecord file. Destroy no later than 1 year after cutoff.</p>	

OFS	ITEM NO.	TITLE AND DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION	AUTHORITY
		<p><u>CASE FILES (ADMINISTRATIVE AND PROGRAM)</u></p> <p>Case files are files of material relating to a specific project, study, survey, activity, transaction, etc. These specialized records are always <u>filed by a name or a number</u> and usually have a definite beginning and ending in point of time.</p> <p>Because of the volume of case files and the retention periods required, these are filed separately from the subject files.</p>	<p>Disposition for case files is shown opposite each item, beginning on page 87 for Administrative case files, and page 134 for Program case files.</p>	



# RELATIVE INDEX

NOTE: The word "see" indicates that the subject category is further subdivided. In such cases, the Subject Outline should be consulted to obtain the appropriate filing designation.

-A-

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Absence and Leave.....	PER 4	54	166
Accident Prevention.....	SAF 3	64	166
Accidents, Vehicle.....	VEH 3	67	166
Accommodations, Hotel.....	TRV 4	66	166
Accountability - Control, Property Management.....	PRM 4-3, PRM L	61-130	166-130
Accounting, Accrual.....	FIN 16	45	166
Accounting Codes, Symbols. ....	FIN 4	43	166
Accounting, Plant.....	FIN 13	45	166
Accounting, Power.....	PO-A	154	154
Accounts, Current.....	FIN A-2	93	93
Accounts, Payable.....	FIN 8-1	44	166
Accounts, Receivable.....	FIN 17	45	166
Accounts, Responsible Agent.....	PRM-N	130	130
Acquisition and Ownership, Land.....	LND 4, LND-A	72-148	161-148

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Acquisition, Real Property.....	PRM 4-2	61	166
Acquisition, Surplus Property.....	PRM 9-2	63	166
Activity Report Budget.....	BUD H	90	90
Administration and Organization.....	See OAD	51	166
Administration, of Contracts.....	PRO 9	60	166
Administration, of Power Sales Contracts.....	PM 6	77	167
Administrative Audits and Inspections.....	OAD 3	51	166
Advance of Funds, Travel.....	TRV 5, FIN A-3	66-94	166-94
Adverse and Disciplinary Action.....	PER 5-4	55	166
Aerial Patrols.....	MA-E	150	150
Affirmative Action Plan.....	PER 20-2	59	166
Agreements, Labor.....	PER 12-1	56	166
Aircraft Services.....	TRV 1-1	66	166
Air Pollution.....	PR 20	84	167
Alerts and Tests, Operation.....	EP 5	42	166
Allotments, Budget.....	BUD 4-1, BUD-D	39-89	166-89
Anniversaries - Histories.....	IPR 5	46	166
Announcements, Courses, Seminars.....	PER 18-2	58	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Announcements, Personnel.....	PER 17-1	57	166
Appeals and Grievances.....	PER 5-1	54	166
Appeals and Grievances, EEO.....	PER 20-6	59	166
Appeals and Reviews, Position Classification.....	PER 15-1	57	166
Appeals, Performance Evaluation.....	PER 13-1	57	166
Applications, for Automatic Data Processing.....	ADP-D	88	167
Applications, for Employment.....	PER-F	120	120
Applications, for FPC License.....	MA-5	75	167
Applications, for Power.....	PM 4	76	167
Applications, for Right-of-Way.....	MA-4	74	167
Appointment, Personnel.....	PER 17-2	57	166
Appointment, Recruitment and Placement.....	PER 17	57	166
Apportionments, Budget.....	BUD 4-2, BUD-J	39-90	166-90
Appraisal, Land.....	LND 3	72	167
Assignments - Details.....	PER 16-1	57	166
Assignments or Use of Vehicles.....	VEH 4	67	166
Assignments, Staffing, Emergency Planning.....	EP 3-1	42	166
Audio-Visual, Promotional Aids.....	IPR 3, IPR-B	46-111	166-111

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Audits, Administrative.....	OAD 3	51	166
Audits, Financial.....	FIN 5	43	166
Audits and Surveys, Position Classification.....	PER 15-2	57	166
Authority, Delegations of.....	OAD 5	51	166
Authorizations, Bond.....	FIN Q-3	107	107
Authorizations - Designations, Financial.....	FIN 6	43	166
Authorizations - Orders, Travel.....	TRV 6	66	166
Authorizations, Project, General.....	PR 21-2	84	167
Automatic Data Processing.....	See ADP	38	166
Awards, Departmental.....	SAF 4-1	64	166
Awards, Safe Driving.....	SAF 4-2	64	166
Awards, Safety.....	SAF 4	64	166
-B-			
Benefits, Headwater.....	PR 8	81	167
Bid, Invitation and Award of Contracts.....	PRO 5	60	166
Bidders Lists.....	PRO 5-2	60	166
Bids.....	PRO C	126	126
Billing of Power.....	PM 9, PM-D	77-153	167-153

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Bills of Lading.....	TRN 3-1	65	166
Bills of Lading, Accountability Records.....	PRO-D	126	126
Biographical Data.....	IPR 9-1	47	166
Blood Donors.....	PER 5-2	54	166
Board of Survey.....	PRM 10	63	166
Budget and Allotment Work Papers.....	BUD-C	89	89
Budget and Appropriations.....	See BUD	39	166
Budget Estimates.....	BUD-A	89	89
Budget Execution.....	See BUD 4	39	166
Budget Management Report.....	BUD-G	90	90
Budget Submissions.....	See BUD 3	39	166
Buildings Management Services.....	OSV 8, OSV-F	50-115	166-115
Bulletins and Posters, Safety.....	SAF 5	64	166
-C-			
Cable Books.....	ED-Z	146	146
Campaigns, Fund Drives.....	PER 5-6	55	166
Cards, Tabulating, ADP.....	ADP-A	87	87

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Carrier Current (Engineering Design).....	ED 3-1	68	167
Carrier Current (Maintenance).....	MA 3-1	74	167
Cataloging Register.....	PRM-R	131	131
Ceilings, Employment.....	PER 6-2	55	166
Ceilings, Limitations.....	BUD 4-3	40	166
Certificates of Insurance.....	PRO-7	60	166
Charts, Maps, Posters.....	IPR 3-1	46	166
Checks, Salary.....	FIN 12-2	44	166
Civil Defense.....	See EP	42	166
Claims, Compensation, Medical.....	PER 7-1	56	166
Claims, Freight.....	TRN 3-2	65	166
Claims and Litigation.....	LEG 1, LEG-A	73-149	167-149
Classification and Evaluation of Positions.....	PER 15	57	166
Clippings, News.....	IPR 9-2	47	166
Codes, Accounting.....	FIN 4	43	166
Collection, Receipts.....	FIN 7	43	166
Commendations, Congratulations.....	IPR 8-1	46	166
Committee, Automatic Data Processing (Interior).....	ADP 3	38	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE LOCATION</u>	<u>DISPOSAL SCHEDULES</u>
Committee Management.....	OAD 4	51	166
Committees, General.....	See COM	41	166
Committees, Interagency.....	See INC	71	167
Committees, Interagency Motor Equipment Advisory.....	VEH 11	67	166
Committees, Safety.....	SAF 9	64	166
Communications - Control System (Engineering Design).....	ED 3	68	167
Communications - Control System (Maintenance).....	MA 3	74	167
Communications Services.....	OSV 3	49	166
Compensation - Claims, Medical.....	PER 7-1	56	166
Complaints and Criticism.....	IPR 8-2	47	166
Complaints and Protests, Power Marketing.....	PM 5	76	167
Computer Operating Logs.....	ADP-B	87	87
Condemnation Plats.....	ED-V	145	145
Condemnation Proceedings, Land.....	LND-B	148	148
Conduct of Employees.....	PER 5-3	54	166
Congratulations - Commendations.....	IPR 8-1	46	166
Conservation, Energy.....	OAD 6-3	51	166
Conservation of Resources.....	PR 3	80	167

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Construction, Real Property.....	PRM 4-7	62	166 .
Continuing Fund.....	BUD 5	40	166
Contract Administration.....	PRO 9	60	166
Contract Administration, Power Sales.....	See PM 6, PM-A	77-151	167-151
Contract Demands, Power Billing.....	PM 9-1	77	167
Contracts, Procurement.....	PRO-A	124	124
Copying-Duplicating Service.....	OSV 4-4	49	166
Correspondence Management.....	PAP 3	53	166
Cost Allocation.....	See PR 4, PR-C	80-159	167-159
Cost Estimates, Reroute or Survey.....	ED-4	69	167
Costs, Imputed.....	FIN 10	44	166
Cost Reduction.....	OAD 6-2	51	166
Courses, Seminars, Announcements.....	PER 18-2	58	166
Courtesy Cards, Vehicle.....	VEH 5	67	166
Credit Union.....	See PER 5	54	166
Criticism and Complaints.....	IPR 8-2	47	166
Crossings and Permits, for SPA Lines.....	LND 5, LND-C	72-148	167-148
Crossings and Permits, for Outside Agencies.....	LND 5	72	167

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Curves, Load.....	PR 9-4	81	167
Customer Financial Reports, Power Sales.....	PM 7	77	167
Customer Relations and Services.....	PM 8	77	167
Damages and Loss, Personal Property.....	PRM 6	63	166
Dams, General.....	PR 23	84	167
Data, Processing Facilities.....	ADP 4	38	166
Data, Streamflow.....	PR 17	83	167
Decisions, Comptroller General.....	FIN R	110	110
Decisions, Opinions, and Interpretations (Legal).....	See LEG 2	73	167
Deductions, Bond.....	FIN 12-1	44	166
Deductions, Insurance.....	FIN 12-3	44	166
Deductions, Retirement.....	FIN 12-5	44	166
Delegations of Authority.....	See CAD 5	51	166
Demands, Contract.....	PM 9-1	77	167
Demotion - Promotion.....	PER 16-2	57	166
Department of Interior Policy, Power.....	PPR 2-1	85	167
Departmental Awards.....	SAF 4-1	64	166
Depreciation.....	FIN 13-2	45	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE LOCATION</u>	<u>DISPOSAL SCHEDULES</u>
Design and Engineering.....	See ED	68	167
Designations, Authorizations, Financial.....	FIN 6	43	166
Details and Assignments.....	PER 16-1	57	166
Development and Research.....	ED-9	70	167
Differentials, Overtime, Etc. ....	FIN 12-4	44	167
Directives, Internal.....	OAD-A	116	116
Directives, Management.....	PAP 4	53	166
Directories, Telephone.....	OSV 3-4	49	166
Disbursements.....	FIN 8	43	166
Disciplinary and Adverse Action.....	PER 5-4	55	166
Displacements and Separations.....	PER 19	58	166
Disposal, Property Transfer.....	FIN 13-4	45	166
Disposal, Real Property.....	PRM 4-8	62	166
Disposal Schedules, Records.....	PAP 8-1	53	166
Disposition of Records.....	PAP 8	53	166
Disposition, Surplus Property.....	PRM 9-3	63	166
Disposition, Vehicle.....	VEH 6	67	166
Dockets, FPC.....	LEG 3	73	167

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE LOCATION</u>	<u>DISPOSAL SCHEDULES</u>
Document and Information Security.....	PAP 5	53	166
Documents, Receiving.....	PRM 5-6	63	166
Drawings and Maps.....	ED-6, ED-C	69-139	167-139
Duplicating - Copying Service.....	OSV 4-4	49	166
Duty Schedules.....	PER 8	56	166
-E-			
Education Plans and Programs.....	PER 18-3	58	166
Elevations, Lake, Midnight.....	PO-P	157	157
Emergency Planning.....	See EP & EP-A	42-92	166-92
Employee Organizations.....	PER 5-5	55	166
Employee Relations and Services.....	PER 5	54	166
Employment.....	See PER 6	55	166
Employment of Women.....	See PER 20	58	166
Energy Conservation.....	OAD 6-3	51	166
Energy, Support or Supplemental.....	PR 18	84	167
Engineering and Design.....	See ED	68	167
Engineering Studies.....	ED-5	69	167
Environmental Quality.....	See PR-24	84	167

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Equal Employment Opportunity, Personnel.....	PER 20	58	166
Equal Employment Opportunity, Case Files.....	PER M	122	122
Equipment and Tools, Safety.....	SAF 11	64	166
Equipment Selection, ADP.....	ADP 5	38	166
Equipment Use Distribution.....	FIN A-4	94	94
Equipment Utilization.....	OSV 4-3	49	166
Estimates and Forecasts, Loads.....	See PR 9	81	167
Estimates, Budget.....	BUD-A	89	89
Estimates, Cost, Reroute or Survey.....	ED-4	69	167
Evaluations Performance.....	PER 13	57	166
Examination, Voucher.....	FIN 15	45	166
Examinations, Health.....	PER 7-2	56	166
Exceptions, GAO.....	FIN 5-2	43	166
Excess - Surplus Property.....	PRM 9	63	166
Exhibits, Fairs and Expositions.....	IPR 4	46	166
Experts and Consultants, Personnel.....	PER 6-3	55	166
Express and Freight Shipments.....	TRN 3	65	166
Extra High Voltage.....	PR-5	80	167

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE LOCATION</u>	<u>DISPOSAL SCHEDULES</u>
<p>-F-</p>			
Facilities, Data Processing.....	ADP 4	38	166
Facilities, Services, Medical.....	PER 7-3	56	166
Fairs, Exhibits, Expositions.....	IPR 4	46	166
Fault Studies.....	ED 5-1	69	167
Federal Agencies.....	INC 2	71	167
Federal Records Center.....	PAP 8-2	53	166
Federal Register.....	LEG 4-2	73	167
Federal Telecommunications System.....	OSV 3-5	49	166
FEDSTRIP.....	PRO 6	60	166
Federal Women's Program.....	PER 20-3	59	166
Field Work Activity Reports.....	MA-C	150	150
Financial Data, Cost Allocation.....	PR 4-2	80	167
Financial Management.....	See FIN	43	166
Financial and Operating Reports.....	PM-E	153	153
Fire Protection and Prevention.....	SAF 7	64	166
Firm Energy Allocation.....	PR-G	161	161
First Aid.....	SAF 6	64	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE LOCATION</u>	<u>DISPOSAL SCHEDULES</u>
Fish and Wildlife.....	PR 6	81	167
Floods.....	See PR 7	81	167
Folders, Travel.....	TRV A	136	136
Former Employees.....	PER 6-4	55	166
Forms Management.....	PAP 6, PAP-B	53-118	166-118
FPC Dockets.....	LEG 3	73	167
Freedom of Information Act.....	LEG 4-1	73	167
Freight and Express Shipments.....	TRN 3	65	166
Fund Accounting.....	FIN 9	44	166
Fund, Availability.....	BUD 7	40	166
Fund, Continuing.....	BUD 5	40	166
Fund Drives - Campaigns.....	PER 5-6	55	166
Fund, Imprest.....	FIN 8-2	44	166
Funds, Advance of.....	TRV 5	66	166
Funds, Transfer of.....	BUD 4-4	40	166
-G-			
GAO Audits.....	FIN 5-1	43	166
Gas Turbine Power Research.....	PR 11-1	82	167

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
General Ledger.....	FIN-E	95	95
Generation, of Power.....	PO 5	79	167
Graphic Service.....	OSV 4-2	49	166
Grievances and Appeals.....	PER 5-1	54	166
Grievances and Appeals - EEO.....	PER 20-6	59	166
Guarantees, Roof.....	PRO-E	126	126
-H-			
Handicapped Employees.....	PER 6-5	55	166
Headwater Benefits.....	PR 8	81	167
Health Insurance.....	FIN 0-4	107	107
Health and Medical Care.....	PER 7	55	166
Hearings - Public Works Appropriation.....	BUD-E	89	89
Highway Permits.....	MA 10	75	167
Hire the Handicapped.....	PER 6-5	55	166
Histories - Anniversaries.....	IPR 5	46	166
Hours of Duty.....	PER 8	56	166
Hydroelectric Power Research.....	PR 11-2	82	167

SUBJECTFILED UNDER

PAGE REFERENCE	
<u>FILE</u>	<u>DISPOSAL</u>
<u>LOCATION</u>	<u>SCHEDULES</u>

-I-

Identification, Personal Property.....	PRM 5-3	62	166
Imprest Fund.....	FIN 8-2	44	166
Imprest Fund Purchases.....	PRO 4	60	166
Imputed Costs.....	FIN 10	44	166
Incentive Awards Program.....	PER 9	56	166
Incentive Awards Case Files.....	PER-H	121	121
Incentive Awards Program Committee.....	PER 9-2	56	166
Indian Desk.....	PER 20-5	59	166
Inflow Data - Estimated.....	PR-F	160	160
Information and Public Relations.....	See IPR	46	166
Informational Releases.....	IPR-A	111	111
Inquiries, Routine.....	IPR 6	46	166
Inspection and Surveys.....	PER 11	56	166
Inspections of Power System.....	MA 6	75	167
Inspections and Audits, Administrative.....	OAD 3	51	166
Instructions - Equipment Operating.....	MA-A	150	150
Instructions - Regulations, Financial Management.....	FIN 3	43	166
Insurance.....	PER 10	56	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Insurance, Certificates of.....	PRO 7	60	166
Insurance, Federal Health Benefits.....	PER 10-2, FIN Q-4	56-107	166-107
Insurance, Group Life.....	PER 10-1	56	166
Integrated System Log Sheet.....	PO-M	156	156
Integration and Interconnections.....	PO 3	79	167
Interagency Cooperation.....	See INC	71	167
Interagency Committees.....	INC 2	71	167
Interagency Motor Pool.....	VEH 7	67	166
Interconnections and Integration of Operations.....	PO 3	79	167
Internal SPA Training.....	PER 18-4	58	166
Interpretations, Opinions, and Decisions, Legal.....	LEG 2	73	167
Interruption Reports.....	PO-I	155	155
Interrupted Service, Outages, Failures.....	PO 4	79	167
Inventories, Personal Property.....	PRM 5-4	62	166
Inventory Lists - Warehouse and Nonexpendable.....	PRM-Q	131	131
Inventory, Plant Accounting.....	FIN 13-3	45	166
Invitation, Bid and Award of Contracts.....	PRO 5	60	166
Invitations.....	IPR 7	46	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Invitations to Bid.....	PRO 5	60	166
Invoices, Power.....	FIN-K	104	104
-J-			
Journal Vouchers.....	FIN-B	94	94
-L-			
Labor Agreements - IBEW.....	PER 12-1, PER-P	56-123	166-123
Labor Cost Distribution.....	FIN A-4	94	94
Land.....	See LND	72	167
Laws and Regulations, Personnel.....	PER 3	54	166
Laws and Regulations, Power Marketing.....	PM 2	76	167
Laws and Regulations, Property Management.....	PRM 3	61	166
Laws - Regulations, Procurement.....	PRO 3	60	166
Laws - Rules and Regulations.....	LEG 4	73	167
Leave and Absence.....	PER 4	54	166
Leave - Master List.....	FIN 0-6	108	108
Lectures, Speeches, Statements.....	IPR 10	47	166
Ledger, General.....	FIN 11-1, FIN-E	44-95	166-95

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Ledgers.....	FIN 11	44	166
Ledgers - Plant Account.....	FIN-P	106	106
Ledgers - Subsidiary.....	FIN-F	95	95
Legal.....	See LEG	73	167
Legislation.....	See LEG 5	73	167
Legislation - Interagency Coordination, River Basin Planning.	PR 16-3	83	167
Library Services.....	OSV 7	50	166
License Applications.....	MA 5	75	167
Licenses - Registration.....	VEH 8	67	166
Limitations - Ceilings.....	BUD 4-3	40	166
Lists, Bidders.....	PRO 5-2	60	166
Litigation and Claims.....	LEG 1, LEG-B	73-149	167-149
Load Control (Engineering Design).....	ED 3-3	68	167
Load Control (Maintenance).....	MA 3-3	74	167
Load Forecasts and Plans.....	PR 9	81	167
Load Reports.....	PR 9-1	81	167
Load - Resources Analysis.....	PR 9-5	81	167
Load Studies.....	ED 5-2	69	167

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Loading Schedules.....	PO-L	156	156
Loans and Exchanges, Personal Property.....	PRM 5-5	63	166
Logs, Computer Operating.....	ADP-B	87	87
Logs, Power Dispatchers.....	PO-E	154	154
Loss and Damages.....	PRM 6	63	166
-M-			
Mail and Messenger Service.....	OSV 3-2	49	166
Mail Control Forms.....	OSV-C	114	114
Maintenance.....	See MA	74	167
Maintenance and Inspection, Equipment.....	MA-B	150	150
Maintenance and Inspection, Transmission Line.....	MA-D	150	150
Maintenance and Repairs, Personal Property.....	PRM 7	63	166
Maintenance and Repairs, Real Property.....	PRM 4-4	62	166
Maintenance and Repairs, Vehicle.....	VEH 9	67	166
Maintenance, Office Equipment.....	OSV 6, OSV-G	50-115	166-115
Maintenance, Records and Files.....	PAP 7	53	166
Maintenance, Repairs, Real Property.....	PRM 4-4	62	166
Management, Committee.....	OAD 4	51	166
Management, Correspondence.....	PAP 3	53	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Management, Financial.....	See FIN	43	166
Management Improvement.....	OAD 6, OAD-D	51-117	166-117
Management Paperwork.....	See PAP	53	166
Management of Directives.....	PAP 4	53	166
Management of Forms.....	PAP 6	53	166
Management of Property.....	See PRM	61	166
Management of Real Property.....	PRM 4	61	166
Management of Reports.....	PAP 9	53	166
Manpower Utilization.....	OAD 7	51	166
Maps and Drawings.....	ED-6	69	167
Maps, Charts, Posters.....	IPR 3-1	46	166
Marketing, of Power.....	See PM	76	167
Medical Care and Health.....	PER 7	55	166
Meetings, General.....	See MET	48	166
Meter Tapes.....	PM-C, PO-C	153-154	153-154
Meter Tests.....	MA-7	75	167
Metering - Telemetering (Engineering Design).....	ED 3-4	68	167

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Metering - Telemetering (Maintenance).....	MA 3-4	74	167
Middle South System.....	See INC 6	71	167
Military, Personnel.....	PER 6-6	55	166
Mission - Objectives, Plans.....	PPR 1	85	167
Motion Pictures and Recordings.....	IPR 3-2	46	166
Municipalities, Cities and Cooperatives.....	INC 4	71	167
-N-			
National Electric Reliability Council.....	INC 7	71	167
Navigation.....	PR 22	84	167
Negotiations - Power Sales Contract.....	PM-B	152	152
Newsletter - SPA.....	PER-L	121	121
News Clippings.....	IPR 9-2	47	166
Nuclear Power Research.....	PR 11-3	82	167
-O-			
Objectives - Mission, Plans.....	PPR 1	85	167
Office Equipment, Maintenance and Repairs.....	OSV 6, OSV-G	50-115	166-115
Office Services.....	See OSV	49	166
Office Supplies.....	OSV 5	50	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Oil Circuit Breaker Information Book.....	ED Y	145	145
Operations, Daily.....	PR-D	159	159
Operations, of Power.....	See PO	79	167
Operations, Reservoir.....	PR 15	82	167
Operations, Tests, Emergency Planning.....	EP-B	92	92
Opinions, Legal.....	LEG 2	73	167
Orders, Authorizations, Travel.....	TRV 6	66	166
Orders, Telephone Service.....	OSV 3-6	49	166
Orders, Work, Plant Accounting.....	FIN 13-5	45	166
Organization and Administration.....	See OAD	51	166
Organizations, Employee.....	PER 5-5	55	166
Outages, Interrupted Service, Failures.....	PO 4	79	167
Outside Study Reviews.....	PR 10	81	167
Overtime Pay.....	FIN 12-4, FIN Q-12	44-109	166-109
Ownership and Acquisition.....	LND 4	72	167

SUBJECT	FILED UNDER	PAGE REFERENCE	
		FILE LOCATION	DISPOSAL SCHEDULES
-P-			
Paperwork Management.....	See PAP	53	166
Pay Administration.....	PER 12, FIN Q-1	56-107	166-107
Payment Records.....	FIN-I	103	103
Payrolls - Salaries.....	FIN 12, FIN-Q	44-107	166-107
Permits and Crossings, of Outside Agencies.....	LND 5	72	167
Permits and Crossings, for SPA Lines.....	LND 5	72	167
Permits to Operate, Vehicles.....	VEH 12	67	166
Personal Property Accountability.....	PRM 5	62	166
Personnel.....	See PER	54	166
Personnel Folders - Official.....	PER-A	119	119
Personnel Records and Processing.....	PER 14	57	166
Performance Evaluations.....	PER 13	57	166
Permits, Highway.....	MA 10	75	167
Photographs.....	IPR 3-3	46	166
Photographs, Aerial.....	ED Q	143	143
Placement, Recruitment and Appointment.....	PER 17	57	166
Planning, Emergency.....	See EP	42	166
Plans, Financial.....	BUD 6	40	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE LOCATION</u>	<u>DISPOSAL SCHEDULES</u>
Plans, Relocation, Emergency Planning.....	EP 3-2	42	166
Plant Accounting.....	FIN 13	45	166
Plant Account Ledgers.....	FIN P	106	106
Policies and Procedures.....	See Appropriate Primary Subject		
Pollution, Air.....	PR 20	84	167
Pollution, Water.....	PR 19	84	167
Position Classification and Evaluation.....	PER 15	57	166
Position Descriptions.....	PER-G	120	120
Position Identification Strips.....	PER-D	120	120
Postal Records.....	OSV-B	114	114
Posters, Bulletins, Safety.....	SAF 5	64	166
Posters, Maps, Charts.....	IPR 3-1	46	166
Posting Media for Registers and Ledgers.....	FIN-G	100	100
Power Billing and Sales.....	PM-9	77	167
Power Generation Research.....	PR 11	82	167
Power Invoices.....	FIN-K	104	104
Power Marketing.....	See PM	76	167
Power Operation - Generation.....	PO 5	79	167
Power Operations.....	See PO	79	167

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Power Planning Studies.....	PR 12, PR-B	82-158	167-158
Power Policy.....	PPR 2	85	167
Power Resources.....	See PR	80	167
Press, Radio, TV Releases.....	IPR 9-3	47	166
Prevention, of Accidents.....	SAF 3	64	166
Prevention, of Fire.....	SAF 7	64	166
Printing and Reproduction.....	OSV 4, OSV-D	49-114	166-114
Privacy Act.....	LEG 4-3	73	167
Proceedings - Regulatory Bodies.....	LEG-C	149	149
Procurement.....	See PRO	60	166
Procurement - Transactions, Misc. ....	PRO-B	125	125
Program and Policy Analysis.....	PPR 3	85	167
Program Case Files, ADP.....	ADP-C	87	87
Program, Construction, Budget Execution.....	BUD 4-5	40	166
Program, Construction, Budget Submission.....	BUD 3-1	39	166
Program Planning and Review.....	See PPR	85	167
Program Recruiting.....	PER 17-4	58	166
Program, Reports and Statistics.....	See PPR 4	85	167

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE LOCATION</u>	<u>DISPOSAL SCHEDULES</u>
Project Authorizations, General.....	PR 21-2	84	167
Project Report, Budget.....	BUD-I	90	90
Promotion and Internal Placement.....	PER 16	57	166
Promotion and Publicity.....	IPR 9	47	166
Promotion, Demotion.....	PER 16-2	57	166
Property Management.....	See PRM	61	166
Property, Disposal and Transfer.....	FIN 13-4, PRM-I	45-128	166-128
Protection and Security, Real Property.....	PRM 4-5	62	166
Protective Equipment.....	ED 7-2	69	167
Protective Facilities - Systems.....	ED 7	69	167
Protective Methods and Procedures.....	ED 7-1	69	167
Protests and Complaints, Power Marketing.....	PM 5	76	167
Public Laws - Budget.....	BUD-F	90	90
Public Relations.....	IPR 8	46	166
Public Relations and Information.....	See IPR	46	166
Publicity and Promotion.....	IPR 9	47	166
Pumped Storage.....	PR 13	82	167
Purchase of Power.....	BUD 8	40	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Purchase, of Vehicles.....	VEH 10	67	166
Purchase Orders.....	PRO A	124	124
Purchase Order, Invoice, Voucher, SF-44.....	PRO C	126	126
Purchases, Imprest Fund.....	PRO 4	60	166
-Q-			
Qualifications, Job Placement.....	PER 17-3	57	166
Quality, Environmental.....	See PR 24	84	167
-R-			
Radio (Engineering Design).....	ED 3-2	68	167
Radio (Maintenance).....	MA 3-2	74	167
Radio, Press, TV Releases.....	IPR 9-3	47	166
Rates.....	See PM 10, PM-F	77-153	167-153
Real Property Management.....	PRM 4, PRM-G	61-128	166-128
Receipts, Collections.....	FIN 7	43	166
Receipts, Financial Management.....	FIN 14	45	166
Receipts, Hand. 7.....	PRM-D	127	127
Receiving Documents.....	PRM 5-6, PRM-C	63-127	166-127
Reconciliations.....	FIN-H	101	101

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Recordings, Motion Pictures.....	IPR 3-2	46	166
Records Disposition.....	PAP 8, PAP-D	53-118	166-119
Records Management.....	PAP 7	53	166
Records, Personnel and Processing.....	PER 14	57	166
Records, Vital Program.....	PAP 10	53	166
Recreation.....	PR 14	82	167
Recruiting Program.....	PER 17-4	58	166
Recruitment, Appointment and Placement.....	PER 17	57	166
Reductions-in-Force.....	PER 19-4	58	166
Reemployment.....	PER 6-7	55	166
Registers, Work Orders.....	FIN-L	104	104
Registration, Licenses.....	VEH 8	67	166
Regulations, Laws and Rules, Legal.....	LEG 4	73	167
Regulations, Postal.....	OSV 3-2	49	166
Regulations, Travel.....	TRV 3	66	166
Regulations - Instructions, Financial Management.....	FIN 3	43	166
Regulations - Laws, Procurement.....	PRO 3	60	166
Regulations - Laws, Property Management.....	PRM-3	61	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Relations and Services, Employee.....	PER 5	54	166 .
Relay Books.....	ED-A	138	138
Relay Settings.....	ED-A	138	138
Relaying (Engineering Design).....	ED 3-5	68	167
Relaying (Maintenance).....	MA 3-5	74	167
Releases, Press, Radio, TV.....	IPR 9-3	47	166
Relocation Plans, Emergency Plans.....	EP 3-2	42	166
Relocations, General.....	ED-8	69	167
Remittances, Daily Abstract.....	FIN T	110	110
Reorganization.....	OAD 8	51	166
Repairs and Maintenance, Personal Property.....	PRM 7	63	166
Repairs and Maintenance, Real Property.....	PRM 4-4	62	166
Repairs and Maintenance, Vehicle.....	VEH 9	67	166
Repairs, Office Equipment.....	OSV 6	50	166
Repayment Studies.....	PM 11, PM-G	78-153	167-153
Reports and Stafistics.....	See Appropriate Primary Subject		
Reports - Financial, Operating and Statistical.....	FIN J	104	104
Reproduction and Printing.....	OSV 4	49	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Requests for Power.....	PM 4	76	167
Requests, Transportation.....	TRV 7	66	166
Requisitions and Authorization, Printing and Reproduction....	OSV 4-6	49	166
Research and Development.....	ED-9	70	167
Research, Gas Turbine.....	PR 11-1	82	167
Research, Hydroelectric Power.....	PR 11-2	82	167
Research, Nuclear Power.....	PR 11-3	82	167
Research, Power Generation.....	PR 11	82	167
Reservoir Data, Daily.....	PR-H	161	161
Reservoir Data, Daily Headwater Benefits.....	PR-I	161	161
Reservoir Operations.....	See PR 15, PR-E	82-159	167-159
Reservoir Projects, Case File.....	PR 15-5	83	167
Resources, Natural or Cultural.....	PR 24-4	84	167
Resources, of Power.....	See PR	80	167
Retention Register.....	PER K	121	121
Retirement and Transfer, Records.....	PAP 8-2	53	166
Retirement, Personnel.....	PER 19-1, FIN Q-5	58-108	166-108
Revenue Estimates, Cost Allocation.....	PR 4-3	80	167

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Reviews, Outside Study.....	PR 10	81	167
Reviews, Water Quality Standards.....	PR 10-2	82	167
Reviews, Watershed Work Plan.....	PR 10-1	82	167
Right-of-Way Applications.....	MA 4	74	167
River Basin Planning Studies.....	See PR 16, PR-A	83-158	167-158
Roof Guarantees.....	PRO E	126	126
Rules, Laws and Regulations, Legal.....	LEG 4	73	167
-S-			
Safe Driving.....	SAF 8	64	166
Safe Driving Awards.....	SAF 4-2	64	166
Safety.....	See SAF	64	166
Safety Awards.....	SAF 4	64	166
Safety Committees.....	SAF 9	64	166
Safety Meetings.....	SAF 10	64	166
Safety Training.....	SAF 12	64	166
Sag Charts.....	ED-0	143	143
Salaries, Payrolls.....	FIN 12	44	166
Salary Checks.....	FIN 12-2	44	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE LOCATION</u>	<u>DISPOSAL SCHEDULES</u>
Sales of Power.....	PM 9	77	167
Schedules, Records Disposal.....	PAP 8-1	53	166
Schedules, Work, Dispatchers.....	FIN Q-14	110	110
Seasonal Pool Operation.....	PR 15-3	82	167
Security and Protection, Real Property.....	PRM 4-5	62	166
Security and Suitability.....	PER 21	59	166
Security, Document and Information.....	PAP 5	53	166
Seminars, Courses, Announcements.....	PER 18-2	58	166
Separations and Displacements.....	PER 19	58	166
Service, Mail and Messenger.....	OSV 3-2	49	166
Service Record Card.....	PER-C	119	119
Service, Telegraph and Teletype.....	OSV 3	49	166
Service, Telephone.....	OSV 3-3	49	166
Services, Building Management.....	OSV 8	50	166
Services, Communications.....	OSV 3	49	166
Services, Customer.....	PM 8	77	167
Services, Duplicating and Copying.....	OSV 4-4	49	166
Services, Graphic.....	OSV 4-2	49	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Services, Library.....	OSV 7	50	166
Services, Office.....	See OSV	49	166
Site Audit Records.....	FIN-A	93	93
16 Point Program.....	PER 20-4	59	166
Social Security.....	FIN 12-6	44	166
Sources of Supply.....	PRO 10	60	166
Southwest Power Pool.....	See INC 5, PO N-0-Q	71-157	167-157
SPA Financial Reports.....	FIN 2-1	43	166
SPA Meetings.....	MET 1	48	166
Space Assignment and Utilization.....	PRM 4-6, PRM K	62-130	166-130
Specifications and Standards, Design and Engineering.....	ED 10, ED-S	70-144	166-144
Speeches, Lectures, Statements.....	IPR 10	47	166
Standards, Environmental.....	PR 24-3	84	167
Standards, Water Quality.....	PR 19-3	84	167
State Agencies.....	INC 3	71	167
Statements, Consolidated Financial.....	FIN 2-2	43	166
Statements, of Employment and Financial Interests.....	PER-0	122	122
Statements, Speeches, Lectures.....	IPR 10	47	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE LOCATION</u>	<u>DISPOSAL SCHEDULES</u>
Statistical Tabulations, Program.....	PPR 4-3	85	167
Stock Controls.....	PRM 5-2	62	166
Stock Status.....	PRM-P	131	131
Stock Vouchers.....	PRM-B	127	127
Storage and Warehousing.....	PRM 8	63	166
Streamflow Data.....	PR 17	83	167
Structure Schedules, Transmission Line.....	ED-K	142	142
Student and Summer Employment.....	PER 6-8	55	166
Studies, Engineering, Fault, Load.....	ED-5	69	167
Studies, Engineering Special.....	ED-B	138	138
Studies, Power Planning.....	PR 12	82	167
Studies, Repayment.....	PM 11	78	167
Studies, River Basin Planning.....	See PR 16	83	167
Subsidiary Ledgers.....	FIN F	95	95
Substations and Switching Stations (Engineering Design).....	See ED 11	70	167
Substations and Switching Stations (Maintenance).....	See MA-8	75	167
Suitability, Security.....	PER 21	59	166
Supplies, Office.....	OSV 5	50	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE</u> <u>LOCATION</u>	<u>DISPOSAL</u> <u>SCHEDULES</u>
Supply, Sources of .....	PRO 10	60	166
Support or Supplemental Energy.....	PR 18	84	167
Surplus, Excess Property.....	PRM 9	63	166
Survey, Board of .....	PRM 10	63	166
Survey Books - Substations and Radio Stations.....	ED-M	142	142
Survey Books - Transmission Line.....	ED-L	142	142
Survey, Report of.....	PRM-H	128	128
Surveys and Inspections, Personnel.....	PER 11	56	166
Switching Orders.....	PO K	156	156
Symbols, Accounting.....	FIN 4	43	166
-T-			
Tabulating Cards - ADP.....	ADP-A	87	87
Taxes, Withholding.....	FIN 12-9, FIN Q-8	45-108	166-108
Telegraph and Teletype Service.....	OSV 3	49	166
Telemetering (Engineering Design).....	ED 3-4	68	167
Telemetering (Maintenance).....	MA 3-4	74	167
Telemetering Charts.....	PO H	155	155
Telephone Directories.....	OSV 3-4	49	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE LOCATION</u>	<u>DISPOSAL SCHEDULES</u>
Telephone Service.....	OSV 3-3	49	166
Telephone Service Orders.....	OSV 3-6	49	166
Teletype and Telegraph Service.....	OSV 3	49	166
Termination of Job Status.....	PER 19-2	58	166
Tests and Alerts, Operation.....	EP 5	42	166
Test and Data, Generator and Transformer.....	ED-T	144	144
Tests, Drivers.....	VEH 12	67	166
Tests, Meter.....	MA-7	75	167
Thermal Power Research.....	PR 11-4	82	167
30-Day Operational Plan.....	PR 15-6	83	167
Time and Attendance Reports.....	FIN 12-7, FIN Q-2	45-107	166-107
Time and Cost.....	FIN 12-8, FIN Q-2	45-107	166-107
Time Error and Correction Participation.....	PO-D	154	154
Tools and Equipment, Safety.....	SAF 11	64	166
Tort Claims.....	LEG 1-1	73	167
Township Plats.....	ED-P	143	143
Training and Career Development.....	PER 18	58	166
Training Aids and Material.....	PER 18-5	58	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE LOCATION</u>	<u>DISPOSAL SCHEDULES</u>
Training, Safety.....	SAF 12	64	166
Transfer, Funds.....	BUD 4-4	40	166
Transfer, of Records.....	PAP 8-2	53	166
Transfer, Property Disposal.....	FIN 13-4	45	166
Transfers Out, Personnel.....	PER 19-3	58	166
Transmission Lines (Engineering and Design).....	See ED-12	70	167
Transmission Lines (Maintenance).....	See MA-9	75	167
Transportation, of Things.....	See TRN	65	166
Transportation Requests.....	TRV 7	66	166
Transportation Requests, Accountability Records.....	FIN-D	95	95
Transportation Schedules.....	FIN-C	94	94
Travel, People and Household Goods.....	See TRV	66	166
Travel Vouchers.....	TRV 8	66	166
TV, Press, Radio Releases.....	IPR 9-3	47	166

-U-

Unemployment Compensation.....	PER 10-3	56	166
Upward Mobility.....	PER 18-6	58	166

<u>SUBJECT</u>	<u>FILED UNDER</u>	<u>PAGE REFERENCE</u>	
		<u>FILE LOCATION</u>	<u>DISPOSAL SCHEDULES</u>
Utilization, Equipment.....	OSV 4-3	49	166
Utilization, Manpower.....	OAD 7	51	166
Utilization, of Space.....	PRM 4-6	62	166
Utilization, Real Property.....	PRM 4-9	62	166
Utilization, Surplus Property.....	PRM 9-4	63	166
-V-			
Vacancies.....	PER 17-5	58	166
Vehicle Inspection Repair Records.....	VEH-A	137	137
Vehicles.....	See VEH	67	166
Vehicles, Motor, Operation.....	PER-N	122	122
Visits.....	OAD 9	52	166
Vital Records Program.....	PAP 10	53	166
Vouchers, Disbursement.....	FIN A-1	93	93
Vouchers, Examination.....	FIN 15	45	166
Vouchers, Property, Master.....	PRM-M	130	130
Vouchers, Property, Responsible Agent.....	PRM-0	130	130

SUBJECTFILED UNDER

PAGE REFERENCE	
FILE	DISPOSAL
LOCATION	SCHEDULES

-W-

Warehouse Transactions, Monthly Summary.....	PRM-U	132	132
Warehousing and Storage.....	PRM-8	63	166
Water Pollution.....	PR 19	84	167
Water Quality Standard Reviews.....	PR 10-2	82	167
Water Quality Standards.....	PR 19-3	84	167
Water Resources.....	See PR 21	84	167
Water Supply, Reservoir Operations.....	PR 15-4	83	167
Water Temperature Effects, Fish and Wildlife.....	PR 6-1	81	167
Watershed Work Plan Reviews.....	PR 10-1	82	167
Women, Federal Program.....	PER 20-3	59	166
Work Orders, Plant Accounting.....	FIN 13-5, FIN-M	45-104	166-104