

**ACTIVE ITEMS.** These items, unless subsequently superseded, may be used by the agency to disposition records.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

**INACTIVE ITEMS.** These items may no longer be used to disposition records. They are superseded, obsolete, filing instructions, describe non-records, or were lined off and not approved at the time of scheduling.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 may be annotated on the schedule.

ITEMS	STATUS	WHY INACTIVE
1 / a	Inactive	superseded by DAA-0388-2024-0006-0001
1 / b	ACTIVE	
2	Inactive	superseded by DAA-0388-2024-0006-0001
3	Inactive	superseded by DAA-0388-2024-0008-0005
4 / a	Inactive	superseded by DAA-0388-2024-0008-0005
4 / b	Inactive	superseded by DAA-0388-2024-0008-0005
5 / a	Inactive	superseded by DAA-0388-2024-0008-0005
5 / b	Inactive	superseded by DAA-0388-2024-0008-0004
6 / a	Inactive	superseded by DAA-0388-2024-0008-0004
6 / b	Inactive	superseded by DAA-0388-2024-0008-0002
6 / c	Inactive	superseded by DAA-0388-2024-0008-0001
6 / d	Inactive	superseded by DAA-0388-2024-0008-0002
7	Inactive	superseded by DAA-0388-2024-0008-0004
8	Inactive	superseded by DAA-0388-2024-0008-0001
9	Inactive	superseded by DAA-0388-2024-0008-0004
10	Inactive	superseded by DAA-0388-2024-0008-0004
11	Inactive	superseded by DAA-0388-2024-0008-0004
12 / a	Inactive	superseded by DAA-0388-2024-0004-0004
12 / b	Inactive	superseded by DAA-0388-2024-0004-0004
12 / c	Inactive	superseded by DAA-0388-2024-0004-0001
13	Inactive	superseded by DAA-0388-2024-0004-0005
14 / a	Inactive	superseded by DAA-0388-2024-0004-0005
14 / b	Inactive	superseded by DAA-0388-2024-0004-0001
15 / a	ACTIVE	
15 / b	ACTIVE	
16	Inactive	superseded by DAA-0388-2024-0002-0002
17	ACTIVE	
18 / a	Inactive	superseded by DAA-0388-2024-0005-0007
18 / b	Inactive	superseded by DAA-0388-2024-0005-0002
19 / a	Inactive	superseded by DAA-0388-2024-0009-0001
19 / b	ACTIVE	

20 / a	ACTIVE	
20 / b	Inactive	superseded by DAA-0388-2024-0005-0006
20 / c	Inactive	superseded by DAA-0388-2024-0005-0006
20 / d	ACTIVE	
20 / e	ACTIVE	
21 / a	Inactive	superseded by DAA-0388-2024-0004-0002
21 / b	Inactive	superseded by DAA-0388-2024-0004-0002
22 / a	Inactive	superseded by DAA-0388-2024-0005-0006
22 / b	Inactive	superseded by DAA-0388-2024-0005-0006
23 / a / 1	Inactive	superseded by DAA-0388-2024-0005-0007
23 / a / 2	Inactive	superseded by DAA-0388-2024-0005-0006
23 / b	Inactive	superseded by DAA-0388-2024-0005-0007
23 / c	ACTIVE	
23 / d	ACTIVE	
23 / e	ACTIVE	
24 / a	Inactive	superseded by DAA-0388-2024-0007-0002
24 / b	Inactive	superseded by DAA-0388-2024-0007-0003
24 / c	Inactive	superseded by DAA-0388-2024-0007-0004
24 / d	Inactive	superseded by DAA-0388-2024-0007-0001
24 / e	Inactive	superseded by DAA-0388-2024-0007-0006
25 / a	ACTIVE	
25 / b	n/a	crossed out
26 / a	ACTIVE	
26 / b	ACTIVE	
26 / c	ACTIVE	
27 / a	Inactive	superseded by DAA-0388-2024-0006-0001
27 / b	n/a	crossed out
28	Inactive	superseded by DAA-0388-2024-0006-0001
29 / a	ACTIVE	
29 / b	n/a	crossed out
30	Inactive	superseded by DAA-0388-2024-0006-0001
31	ACTIVE	
32 / a	Inactive	superseded by DAA-0388-2024-0006-0001
32 / b	ACTIVE	
33 / a	Inactive	superseded by DAA-0388-2024-0005-0004
33 / b	Inactive	superseded by DAA-0388-2024-0005-0004
33 / c	ACTIVE	
33 / d	ACTIVE	
33 / e	n/a	crossed out
34 / a	ACTIVE	
34 / b	ACTIVE	
34 / c	ACTIVE	

34 / d	ACTIVE	
34 / e	ACTIVE	
35	n/a	crossed out
36	ACTIVE	
37 / a	ACTIVE	
37 / b	ACTIVE	
38 / a	ACTIVE	
38 / b	ACTIVE	
39	ACTIVE	
40	ACTIVE	
41 / a		superseded by DAA-0388-2024-0006-0001
41 / b	ACTIVE	
41 / c	ACTIVE	
41 / d	ACTIVE	
41 / e / 1	Inactive	superseded by DAA-0388-2024-0006-0001
41 / e / 2	Inactive	superseded by DAA-0388-2024-0006-0003
41 / f	Inactive	superseded by DAA-0388-2024-0006-0001
41 / g / 1 / a	Inactive	superseded by DAA-0388-2024-0006-0001
41 / g / 1 / b	Inactive	superseded by DAA-0388-2024-0006-0003
41 / g / 1 / c	Inactive	superseded by DAA-0388-2024-0006-0003
41 / g / 2	ACTIVE	
41 / h	ACTIVE	
41 / i / a	Inactive	superseded by DAA-0388-2024-0006-0003
41 / i / b	Inactive	superseded by DAA-0388-2024-0006-0003
41 / i / c	Inactive	superseded by DAA-0388-2024-0006-0003
41 / j	Inactive	superseded by DAA-0388-2024-0006-0003
41 / k	ACTIVE	
41 / L	Inactive	superseded by DAA-0388-2024-0006-0002
41 / m	n/a	crossed out
42 / a	ACTIVE	
42 / b	ACTIVE	

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NTR) WASHINGTON, DC 20408		JOB NUMBER	N1-388-00-1
1. FROM (Agency or establishment) U.S. Department of Energy		DATE RECEIVED	10/8/99
2. MAJOR SUBDIVISION Southeastern Power Administration (388)		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
Carol M. Franklin	(706) 213-3813	6-25-02	<i>[Signature]</i>
<b>6. AGENCY CERTIFICATION</b> I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>44</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <span><input checked="" type="checkbox"/> is not required;</span> <span><input type="checkbox"/> is attached; or</span> <span><input type="checkbox"/> has been requested.</span> </div>			
DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE	
9/8/1999	<i>[Signature]</i> John E. Davenport Sr., Esq.	Departmental Records Officer	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>Southeastern Power Administration (SEPA) is one of four power marketing administrations (PMA) within the Department of Energy (DOE). Our mission is to market federal hydroelectric power at the lowest possible cost to public bodies and cooperatives in the Southeastern United States in a professional, innovative, customer-oriented manner, while continuing to meet the challenges of an ever-changing electric utility environment through continuous improvement. Power is generated from projects constructed and operated by the Corps of Engineers. SEPA is responsible for providing safe and reliable energy while fully repaying the Federal investment, including interest and all annual costs in accordance with Section 5 of the Flood Control Act of 1944.</p> <p>Although, SEPA does not own any Transmission Systems or real property our records are similar to those of the other PMAs and the Bureau of Reclamation within the Department of the Interior. Prior to the establishment of the Department of Energy, Southeastern was an agency within the Department of the Interior.</p> <p>Reference is made on SEPA's SF-115s to Job Numbers for approved SF-115s submitted by the Bureau of Reclamation and Bonneville Power Administration for records that are similar to SEPA's. Our program specialists agree with these referenced and approved retention periods.</p>		

cc Agency, NR, NWCS, NWME

**NI-388-00-01 (REVISED)**

The Southeastern Power Administration SEPA was created in 1950 by the Secretary of Interior to carry out the functions assigned to the Secretary by the Flood Control Act of 1944. In 1977 SEPA was transferred to the Department of Energy (DOE). (SEPA) is one of four power marketing administrations (PMA) within DOE. Its mission is to market federal hydroelectric power at the lowest possible cost to public bodies and cooperatives in the Southeastern United States in a professional, innovative, customer-oriented manner, while continuing to meet the challenges of an ever-changing electric utility environment through continuous improvement. Power is generated from projects constructed and operated by the Corps of Engineers. SEPA is responsible for providing safe and reliable energy while fully repaying the Federal investment, including interest and all annual costs in accordance with Section 5 of the Flood Control Act of 1944.

Although SEPA does not own any transmission systems or real property, its records are similar to those of other PMAs and the Bureau of Reclamation within the Department of the Interior.

Reference is made on SEPA's SF-115s to Job Numbers for approved SF-115s submitted by the Bureau of Reclamation and Bonneville Power Administration for records that are similar to SEPA's. SEPA program specialists have reviewed and agree with these referenced and approved retention periods.

**OFFICE OF THE ADMINISTRATOR**

The Administrator provides executive direction and exercises authority over the following organizational elements: Legal Affairs, Division of Finance and Marketing, Division of Power Resources, and the Division of Human Resources and Administration.

1. **Administrator's Schedule of Daily Activities.** The Administrator's daily activities; calendars, appointment books, schedules, logs, diaries, and other records documenting his meetings, appointments, telephone calls, trips, visits, and other activities while serving in his official capacity as the Administrator of Southeastern Power Administration (SEPA), excluding materials determined to be personal. The assigned secretary or assistant maintains the Administrator's official calendar. File includes SEPA's Weekly Report to the Secretary of Energy: the Administrator's schedule, Key Departmental News, Work on Secretarial Initiatives, Press Inquiries, Freedom of Information Requests, Grants, Economic Announcements and Publications, Climate Change, and Disaster Assistance. The official record copy is on one medium, paper. Annual accumulation is less than six (6) inches. Includes calendar of SEPA's Core Team/Management Team (comprised of the division directors and the administrator) also known as the 'Command Group'.

Cutoff at the close of each calendar year

- a. Paper copy printed by Administrator's Secretary or designee at the end of each year.

**PERMANENT:** Transfer to offsite storage five (5) years after cutoff. Transfer to the National Archives in five-year blocks when most recent record is 15 years old.

- b. Electronic copy

**TEMPORARY:** Destroy (delete) when 2 years old

2. **Administrator's Correspondence File.** Correspondence maintained by the office of the Administrator. Files are maintained by calendar year and copies are arranged in chronological order within the file. The official record is on one medium, paper, unless otherwise specified. Annual accumulation is less than six (6) inches.

Cutoff at the close of each calendar year

PERMANENT: Transfer to the National Archives in five-year blocks when most recent record is 15 years old.

## **LEGAL AFFAIRS**

Legal Affairs provides legal services and legal counsel to all programs of Southeastern Power Administration (SEPA). Material relating to interpretation of law, litigation, legislation, and related activities. Data may be recorded on various media including paper, film, tape, disk, diskette, or CD. The official record copy is on one medium, paper unless otherwise specified.

3. **Legal Affairs Policy or Precedent Material.** Material which serves to establish policy or precedents pertinent to future and continuing actions for law, litigation, and legislative activities. The official record copy is on one medium, paper, unless otherwise specified. Arranged by subject. Annual accumulation is less than one (1) linear foot.

Place in inactive file when policy is cancelled, superseded, or revoked.

Cutoff inactive file at the close of each fiscal year

PERMANENT. Transfer to the National Archives five (5) years after cutoff.

### **REFERENCE: N1-115-94-9**

- 4a. **Legislative History Case Files.** Cases regarding enacted legislation including the Federal Laws which affect SEPA. Including a copy of the appropriation bill (as introduced by the house), House bills and resolutions (numbered), Senate bills and resolutions, and related correspondence. The official record copy is on one medium, paper, unless otherwise specified. Arranged by bill. Annual accumulation is less than one (1) linear foot.

Cutoff at the close of each fiscal year

PERMANENT. Maintain onsite for ten (10) years after cutoff or when volume warrants and then transfer to offsite storage. Transfer to the National Archives 20 years after cutoff.

### **REFERENCE: N1-115-94-9**

- 4b. **Case Files Regarding Proposed and Enacted State Legislation.** Cases relating to SEPA functions and responsibilities. Cooperative efforts between SEPA, other agencies, groups, or individuals and the states in obtaining particular legislation. Includes related correspondence, copies of legislation, surveys of needed laws or amendments, hearings, and comments. The official record copy is on one medium, paper, unless otherwise specified. Arranged by subject. Annual accumulation is less than one (1) linear foot.

Cutoff at the close of each fiscal year

PERMANENT. Maintain onsite for five (5) years after cutoff and then transfer to offsite storage. Transfer to the National Archives 20 years after cutoff.

### **REFERENCE: N1-115-94-9**

- 5a. **Litigation and Appeals Case Files.** Case files relating to a legal action or judicial proceedings pertaining to that action, filed against SEPA or by SEPA as a suit in either an administrative agency or a court. The official record copy is on one medium, paper, unless otherwise specified. Including, but not limited to:  
Administrative litigation - includes documentation needed to prepare for hearing before a governmental body such as a commission, board, or authority  
Judicial litigation - includes documentation needed to prepare for judicial proceedings before a body that

may consist of a judge or judges and a jury

Appeals- either administrative or court, includes the documentation prepared for submission to a higher body for review, including transcripts of the original proceedings which led to the appeal, decisions and opinions, depositions and exhibits.

Case files arranged by subject. Annual accumulation varies from less than one (1) linear foot to three (3) linear feet.

Cutoff after issuance of final decision, upon final ruling, if appealed, or upon withdrawal of appeal. Break file at the end of each fiscal year.

PERMANENT. Maintain onsite for ten (10) years after cutoff and then transfer to offsite storage. Transfer to the National Archives 20 years after cutoff.

**REFERENCE: N1-115-94-9**

- 5b. **Litigation and Appeals Case Files** in which SEPA is a party or litigation in which SEPA is not a party but has a bearing on SEPA.

Cutoff at the close of the fiscal year in which litigation is settled.

TEMPORARY. Maintain onsite for four (4) years after cutoff and then transfer to offsite storage. Destroy 34 years after cutoff.

**REFERENCE: N1-305-90-2**

- 6a. **Legal Issues that Affect SEPA**. Issues, laws and legislation, inquiries, responses, and related documents about laws and legislative matters that affect SEPA. Filed by subject.

Cutoff at the close of each fiscal year

TEMPORARY. Maintain onsite for four (4) years after cutoff and then transfer to offsite storage. Destroy 20 years after cutoff.

**REFERENCE: N1-305-90-2**

- 6b. **General Correspondence Pertaining to Law, Litigation, and Legislation**. Correspondence on subjects which are so general in nature that they cannot be filed under more specific subjects.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy six (6) years after cutoff.

- 6c. **Law, Litigation, and Legislative Material Received by SEPA**. Material not issued by or pertaining to SEPA.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy three (3) years after cutoff.

- 6d. **Reports Pertaining to Law, Litigation, and Legislation**.

Cutoff at the close of each fiscal year



TEMPORARY. Destroy five (5) years after cutoff.

**REFERENCE: N1-115-94-9**

7. **Legal Issues about Internal Management.** Material includes inquiries and responses about issues such as conflict of interest, insurance, taxes, bankruptcies, Government travel, budgetary, and other financial issues except rate-making.

Cutoff at the close of each fiscal year

TEMPORARY. Maintain onsite for six (6) years after cutoff and then transfer to offsite storage Destroy 18 years after cutoff.

**REFERENCE: N1-305-90-2**

8. **Correspondence and Related Material Pertaining to the Maintenance of Law and Order.** Case files may consist of: trespass and similar crimes occurring on SEPA property, theft, vandalism, unlawful entry, unauthorized occupation of SEPA facilities, and illegal activities in SEPA facilities. The official record copy may be paper or electronic.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy five (5) years after cutoff.

**REFERENCE: N1-115-94-9**

9. **Case Files Pertaining to Claims.** Includes: damage claims as a result of fire or property damage, Tort Claims, settlement agreements, investigation reports, damage appraisals, legal opinions, correspondence negotiating settlement or denial of claims, copies of summons, subpoenas, complaints, court rulings, and copies of court proceedings in cases where litigation occurs.

Cutoff file at the close of the fiscal year in which case closes or settlement occurs

TEMPORARY. Destroy 10 years after cutoff.

**REFERENCE: N1-115-94-9**

10. **Material Relating to SEPA Employees Testifying as Witnesses.** Records relating to participation in judicial proceedings. Includes requests and authorizations, depositions, and statements.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy five (5) years after cutoff.

**REFERENCE: N1-115-94-9**

11. **Decisions of the Comptroller General which involve SEPA.**

Cutoff at the close of each fiscal year

TEMPORARY. Destroy 10 years after cutoff.

**REFERENCE: N1-115-94-9**

## **FINANCE AND MARKETING**

Plan and direct SEPA's power marketing and rates, financial management, and competitive strategies (formerly integrated resource planning) programs. Appraise present and proposed power sales contracts and determine adequacy of revenues to meet repayment requirements. Negotiate, prepare, and administer contracts for the sale, purchase/interchange, and wheeling of power. Formulate policy, recommend criteria and prepare rates to meet repayment requirements, develop and implement SEPA's budget and financial management activities, and promote competitive resource strategies and efficiency activities in the Southeast.

### **Marketing and Rates**

Develop, negotiate, and administer power contracts for sale and wheeling of power and energy. Responsible for performing power allocation analyses, determining and maintaining the adequacy of Southeastern rates and revenues to recover costs and amortize Federal investment in hydroelectric power facilities, preparing and maintaining sales records and reports, developing projections required in cost allocation evaluation, purchase power estimation distribution of revenues to projects, reviewing customer load forecasts and preparing short and long-term system load projections, and preparing studies to determine system load diversity, losses, reserve requirements and other resource availability. Develop and prepare rate and repayment studies, including criteria and policy, formulation of rate levels, structures, and schedules, and the submission of the studies to regulatory authorities and the justification of the studies to the regulatory bodies and to customers.

- 12a. **Original Power Contracts:** Original contract, amendments, and supplements, together with correspondence of negotiation and administration, including such matters as allotment of water. Includes correspondence specifically regarding contracts and executed repayment contracts, water sales/delivery contracts/exchange of water, water rights, and interstate compacts. Case files alphabetical by customer name. The official record copy is on one medium, paper unless otherwise specified. Annual accumulation is less three (3) linear feet.

Cutoff at the close of the contract period, when a new contract is executed, or when the present contract expires without renewal. The file may be broken at the end of the calendar year or when volume warrants.

TEMPORARY. Retain 50 years or until no longer needed, whichever is longer. The agency will maintain the current (active) contract and the most recent prior contract onsite. Transfer expired contracts and pertinent files to offsite storage when the current contract is replaced (it then becomes the most recent prior contract). Store offsite for 50 years after cutoff. Review for possible further retention at the end of 50 years.

- 12b. **Power Contract Negotiations.** Draft contracts and notes relating to contract negotiations. Case files alphabetical by customer name. The official copy may be either paper or electronic.

Cutoff when contract is finalized and signed copies are received.

TEMPORARY. Destroy three (3) months after new contract is negotiated and executed. Note: contracts are negotiated for various time periods. The agency will maintain contract negotiation files for active contracts. Negotiation files must be retained until the new contract is negotiated and executed. Once a new contract is executed, Negotiation files for prior contracts are destroyed

- 12c. **Power Contract Correspondence.** Correspondence of a general nature, not specifically relating to a contract or the administration of a contract. The official copy is on one medium, paper unless otherwise specified.

Cutoff every two years at the end of the fiscal year

TEMPORARY. Destroy two years after cutoff. Do not transfer offsite.

13. **Power Marketing Policy.** Records which set forth the guidelines that Southeastern will follow in the future disposition of power from a particular system. The policy establishes the marketing area for system power and deals with the allocation of power among or for the benefit of area customers. It also deals with utilization of area utility systems for essential purposes, wholesale rates, resale rates, and energy and economic efficiency measures. Correspondence, studies, and general information pertaining to the establishment of a power marketing policy for a specific area. Case files alphabetical by system name. The official record copy is on one medium, paper unless otherwise specified.

Cutoff when proposed policy is approved and finalized.

PERMANENT. Maintain onsite for five (5) years after policy is replaced and a new policy is finalized and then transfer to offsite storage. Transfer to the National Archives 20 years after cutoff.

**REFERENCE: N1-115-94-5**

- 14a. **Rate and Repayment Material.** Records relating to Southeastern's methods, practices, and balances owed the U.S. Treasury to repay the Government for its investment in the Federal projects built and maintained by the Army Corps of Engineers. Includes repayment policy studies, adequacy of proposed rates pursuant to studies on the effects of FERC regulations, alternative repayment methodologies, and revenue requirement analyses, studies, and related documentation. In addition, rate material related to power and transmission rate determination, revenue requirements and related matters before the Federal Energy Regulatory Commission including preliminary, initial, supplemental and final rate proceedings. It may include pre-initial proposed rate case discussions/communication with customers/parties with proper notice, wholesale power rates, transmission power rates, rate analysis, and rate filings and hearings.

Material relating to rates and repayment provide documentation and support for Southeastern's adherence to the statutory requirements and FERC regulations. These records document the implementation of substantive policies and procedures. Retention of these materials allows orderly access to information which may be required for reference and verification of Southeastern's historical repayment records, repayment studies, policies, and adherence to statutory and FERC requirements. A Repayment Study is conducted annually for each of the four power systems for which SEPA has responsibility; a Rate Study is undertaken every 5 years to determine if a rate adjustment should be made. Executive summaries are maintained in the Administrator's official file. The official record copy is on one medium, paper, unless otherwise specified. Case files are maintained alphabetically, *by Subject. Annual accumulation less than 2 linear feet.*

Cutoff file at the close of the fiscal year in which policy is canceled, superseded, or revoked.

**PERMANENT**

~~TEMPORARY~~. Maintain onsite for five (5) years after cutoff and then transfer to offsite storage. ~~Destroy fifty (50) years after cutoff.~~ *Transfer to NARA 20 years after cutoff.*

- 14b. **Rate and Repayment Correspondence.** Correspondence of a general nature not pertaining to a specific system, company, project or repayment information pertaining to another power marketing administration (Southwestern, Western Area, Bonneville, or Alaska) which is not relevant to Southeastern. The official copy may be paper or electronic, usually paper. Case files maintained alphabetical.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy three (3) years after cutoff.

### **Competitive Resource Strategies**

Competitive Resource Strategies Program develops new concepts, methods, and techniques for project management of the energy efficiency program. Prepare assessments, evaluations, budgets, and technical analyses for maximizing energy efficiency program elements for projects throughout SEPA's power marketing area. Conduct technical studies to develop new approaches to energy efficiency and renewable energy problems associated with Southeastern's overall energy efficiency program and the Federal Hydropower Transmission System.

Assess technical performance and overall effectiveness of SEPA's customer and in-house related energy efficiency activities. Review and make recommendations on individual energy efficiency program activities and funding requirements. Monitor customer efficiency programs. Organize various energy efficiency program activities with Federal/state/local agencies, utilities, other PMA's and other organizations including training in the area of energy efficiency and competitiveness to SEPA's customers. Energy efficiency is part of SEPA's marketing effort, assisting end-users of power facilitates economic use of power, customer loyalty, and load retention. The official copy may be paper or electronic. Case files maintained alphabetical.

- 15a. **Competitive Resource Strategies Policy.** Competitive Resource Strategies procedure, technical studies, and evaluations relating to SEPA or its program with determined long-term use or value.

Cutoff at the end of the study or when policy or procedure is replaced.

TEMPORARY. Destroy five (5) years after cutoff.

- 15b. **Other Competitive Resource Strategies Information.** Records related to the competitive resource strategies, correspondence, agendas, customer's program evaluations or assessment of the customer's programs.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy two (2) years after cutoff.

### **Financial Management**

Policy relating to budget, finance and accounting. Establish and maintain accounting system which meets the requirements of the Federal Energy Regulatory Commission, General Accounting Office, Office of Management and Budget, Treasury Department, Department of Energy, and other power marketing administrations. Examines operation and maintenance expenses at the Corps of Engineers hydroelectric projects over which SEPA has marketing jurisdiction to determine that expenses are appropriate for inclusion in SEPA's rate base.

16. **Budget History.** SEPA prepares a budget history each year. This budget history includes SEPA's Internal Budget Review, SEPA's submission to the Office of Management and Budget, and SEPA's budget presentation to Congress. The sections on the internal budget review and submission to OMB include relevant policy statements and backup material relevant to the actual figures contained in the budget.

SEPA'S Administrator does the budget presentation each year. The Administrator appears before the Appropriations Subcommittee to present SEPA's budget. His statement includes information regarding SEPA's mission, the fiscal year budget request, a budget summary, reimbursements, power systems, power scheduling, power revenues, repayment, and rates, performance indicators, any litigation involving SEPA, the status of water conditions, strategic planning, power marketing policy, competitive resource strategies, and any other issues of concern.

The budget history includes proposed appropriation language and an executive budget summary. The budget summary is broken down into smaller sections, which go into more detail and include SEPA's mission statement, SEPA's goals, and the objectives and strategies planned to achieve the goals. Also included are any major or significant accomplishments, relevant issues concerning/involving SEPA, alternative financing, obligation estimates, performance measures, etc. The sections that go into more detail include Program Mission, Program Funding Profile, Program Funding by Site, Program Direction, Purchase Power and Wheeling, Revenues and Receipts, System Statistics, and Power Marketed, Wheeled or Exchanged by Project. The budget history is considered a permanent record since it is considered to have historical value. The budget history provides a quick yearly overview of SEPA. The official copy of the budget history is paper. Arranged by budget year. Annual accumulation is less than six (6) inches.

Cutoff at the close of each fiscal year

PERMANENT. Transfer to the National Archives five (5) years after cutoff.

17. **Documentation of Accounting System (Financial Management System).** Documentation of SEPA's Accounting System provides specifications of the hardware and software used in connection with the accounting system. It also includes any program changes, lessons learned, testing of the system, manuals, contracts with vendors for hardware and/or software, what is expected of the system in terms of performance, who has access to the system, the system administrator, and any other relevant information. The official copy may be paper or electronic.

Cutoff at the close of the fiscal year in which the system is replaced.

TEMPORARY. Destroy six (6) years and three (3) months after cutoff. Maintain onsite for three (3) years and three (3) months and then transfer to offsite storage.

ADMINISTRATIVE NOTE: All other accounting and budget records are covered under the General Records Schedule.

## **POWER OPERATIONS**

Coordinates power operations with the Corps of Engineers (Corps), connected utilities and other parties to collect operating data including hourly energy generation quantities, loads, streamflow, water levels, schedules for deliveries and receipts of power, and status of generating equipment. Schedule all power supplied by and to Southeastern Power Administration (SEPA), schedule storage and release of water controlled by SEPA, determine and schedule pumping operations to provide peaking power, administer contractual operation requirements, provide for testing and maintenance of metering equipment, and maintain power system operating records and prepare reports. Timely information must be utilized for maintaining system integrity, analysis for safety and efficiencies of operation, database entries, and billing of power deliveries under SEPA's contracts.

### **Project Development and Power Management Policy**

- 18a. **Project Development and Power Management Policy or Precedents Material.** Material which serves to establish policy or precedents pertinent to future and continuing actions for project development and power management. Arranged by project name. The official record copy is on one medium, paper, unless otherwise specified. Annual accumulation is less than one (1) linear foot.

Cutoff at the close of the fiscal year in which the policy was canceled, superseded, or revoked.  
Place in inactive file when canceled, superseded, or revoked.

PERMANENT. Transfer to the National Archives five (5) years after cutoff.

**REFERENCE: N1-115-94-8**

- 18b. **Project Development and Power Management General Correspondence.** Correspondence of a general nature pertaining to project development and power management subjects. Arranged by subject or project name. The official record copy is on one medium, paper, unless otherwise specified.

Cutoff at the close of each fiscal year or when volume warrants.

TEMPORARY. Destroy 20 years after cutoff. Maintain onsite for 10 years and then transfer to offsite storage.

**REFERENCE: N1-115-94-8**

### **Engineering Studies**

- 19a. **Engineering Studies: Proposed projects.** Materials that establish a history of SEPA in connection with engineering, economic, and social investigations of proposed SEPA/Corps projects to determine their feasibility. Includes, but is not limited to:  
Technical correspondence, design data, drawings and maps, technical engineering investigations, surveys, economic and social data, environmental data, SEPA public notices advising of scheduled hearings in connection with proposed projects, transcripts of public hearings or communications received from the general public commenting on the proposed project, and/or comprehensive river basin plans.  
Arranged by project name. The official record copy is on one medium, paper, unless otherwise specified. Annual accumulation is approximately two (2) linear feet.

Cutoff when the study is complete. Break file as needed.

PERMANENT. Maintain onsite for ten (10) years after cutoff and then transfer to offsite storage.  
Transfer to the National Archives 20-years after cutoff.

**REFERENCE: N1-115-94-8**

- 19b. **Geological Studies:** A Geological Study is only undertaken if a soil problem related to the project site arises during construction (e.g. Wolfcreek Grouting). Records document findings of such studies at specific site

Cutoff at the close of the fiscal year in which the study or related project is completed.

TEMPORARY. Destroy 20 years after cutoff. Maintain onsite for five (5) years after cutoff and then transfer to offsite storage.

### **Dispatching-Scheduling**

- 20a. **Corps of Engineers Daily Operating Logs.** Reports received from Corps of Engineers projects. The Logs contain the following information: (1) Date, (2) Gross Generation, (3) Peak Generation for the Day, (4) Water Elevation and Head, (a) Pool Elevation, (b) Tail, (c) Gross Head Feet; (5) Reservoir Discharge; (6) Reservoir Inflow; (7) Wind Direction and Velocity. The Logs or Daily Operation Reports show hourly generation for each unit and hourly pool and tailrace elevations and hydrologic data received from each Corps project in Southeastern Power Administration's area of operations. Records are arranged by project and then chronologically by date.

Multi-purpose used by Billing and Engineering. Needed for Billing six (6) years and three (3) months. Needed for Engineering no more than ten (10) years. Prior to 1998 the official record copy medium was paper. Beginning in 1998, the official record copy could be paper or electronic.

Cutoff at the close of each calendar year

1. Paper copy

TEMPORARY. Destroy 15 years after cutoff. Maintain onsite (in office) for 5 years and then transfer to offsite storage.

2. Electronic Version

TEMPORARY. Destroy 15 years after cutoff. Maintain onsite. Transfer to offsite storage is NOT authorized.

- 20b. **Power Station Operator's Logs.** Logs maintained by SEPA of power station operations. Log entries of all changes and phone conversations. The conversations could be with companies, the Corps, customers, or utilities, any conversation that would impact operations. Arranged by date. The official record copy is on one medium, paper, unless otherwise specified.

Cutoff at the close of each calendar year

TEMPORARY. Destroy 15 years after the cutoff. Maintain onsite for 5 years and then transfer to offsite storage.

- 20c. **Power-dispatching Centers Correspondence.** Correspondence and other material regarding power-dispatching centers used for SEPA purposes (dispatch of water) or as shared with the Corps of Engineers, utilities, or customers in a combined waterpower dispatch system. Administrative correspondence between SEPA and USACE (4 districts), Power Utilities, and Customers dealing with various topics from questions relating to specific policy issues to power generating schedules. The official record copy could be paper or electronic.

Cutoff at the close of each calendar year or when volume warrants

1. Paper copy

TEMPORARY. Destroy 20 years after cutoff. Maintain onsite (in office) for 10 years and then transfer to offsite storage.

2. Electronic Version

TEMPORARY. Destroy 20 years after cutoff. Maintain onsite. Transfer to offsite storage is NOT authorized.

- 20d. **Project Check-Out Sheets.** Used to record numbers from projects received verbally by phone at the top of the hour. This information is later input into the computer system. A different sheet is used each hour, accumulating 24 sheets daily and 365 days yearly. The official record is on one medium, paper.

Cutoff at the close of each month

TEMPORARY. Destroy one (1) year after cutoff.

- 20e. **Weekly Scheduling Correspondence.** Confirmation of minimum and excess energy. Relates to Billing. All accounting records are retained six (6) years and three (3) months. Arranged by project. The official record copy may be paper or electronic.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy six (6) years and three (3) months after cutoff. Maintain onsite for three (3) years and three (3) months after cutoff and then transfer to offsite storage.

**Power Accounting**

- 21a. **Billing.** Copies of power invoices generated to customers per individual contract; includes backup information, schedules, and billing information. Relates to Billing. All accounting records are kept six (6) years and three (3) months. Arranged in alphabetical order by customer name. The official record copy is on one medium, paper.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy six (6) years and three (3) months after cutoff. Maintain onsite for three (3) years and three (3) months and then transfer to offsite storage.

- 21b. **Correspondence for Billing Files.** Confirmation of power generated per the individual contract. Shows actual Energy (Mwh) and Capacity (MW) for billing purposes and lists any service interruptions during the billing period. Relates to Billing. All account records are kept six (6) years and three (3) months. Arranged by customer name in alphabetical order. The official record copy may be paper or electronic.

Cutoff at the close of each fiscal year.

TEMPORARY. Destroy six (6) years and three (3) months after cutoff. Maintain onsite for three (3) years and three (3) months and then transfer to offsite storage.



## **Reports and Statistics**

- 22a. **SEPA Reports and Statistics.** Reports and/or records regarding the operation and maintenance of projects. Summary statistics of project data, outage reports, pumping reports engineering reports, etc., generated by SEPA. Record copy may be paper or electronic. Annual accumulation is less than two (2) linear feet.

Cutoff every two years at the close of the fiscal year.

TEMPORARY. Destroy 20 years after cutoff. Maintain onsite for 10 years after cutoff and then transfer to offsite storage.

- 22b. **Other Reports and Statistics.** Reports and/or records regarding the operation and maintenance of projects. Summary statistics of project data, outage reports, pumping plant reports, engineering reports, EIA-411, EIA-714, FERC Form 1, FERC Form 12, etc. not generated by SEPA. The official record copy is on one medium, paper.

Cutoff every two years at the close of the fiscal year.

TEMPORARY. Destroy ten (10) years after cutoff. Maintain on site for five (5) years after cutoff and then transfer to offsite storage.

## **Power Production and Planning**

- 23a. **Power Resource Production and Planning.** Production and planning of transmission, allocation, water and power policies, energy studies, upgrades and potential upgrades of existing projects, financial planning case files for non-federal sponsors and third party financial projects, operations case files, and reports (daily, weekly, monthly, and yearly). Case files are arranged in alphabetical order by project. The official record copy is on one medium, paper. Annual accumulation is less than one (1) linear foot.

Cutoff when study ends or project is retired. Break file as needed.

1 – **Power Production and Planning - Policy Formulation.** Material relating to SEPA policy formulation.

PERMANENT. Transfer to the National Archives 20 years after cutoff.

2 – **Power Production and Planning - Administrative.** Material relating to administrative functions.

TEMPORARY. Destroy 20-years after cutoff. Maintain onsite for two (2) years after cutoff then transfer to offsite storage.

- 23b. **Planning Commission, Committees, and Commissioner's Meetings Minutes and Reports.** Official copies of minutes and reports from meetings issued by the board or committee (commissions, committees, task forces, consulting boards, and commissioner's meetings) and sent to SEPA. For example, Alabama-Coosa-Tallapoosa/Apalachicola-Chattahoochee-Flint (ACT/ACF) River Basin Compact. Arranged in case files in alphabetical order. The official record copy is on one medium, paper, unless otherwise specified. Annual accumulation is approximately two (2) linear feet.

Cutoff at the close of each fiscal year

PERMANENT. Transfer to the National Archives upon issuance of final report, when

commission/committee/task force/board becomes inactive and is no longer functioning, or when volume warrants.

**REFERENCE: N1-115-94-8**

- 23c. **Commissions, Committees, and Professional Societies.** Materials received or created by SEPA as part of the planning and program development for major multi-agency projects in which SEPA plays an active role. Materials may include: technical correspondence, studies, investigations, reviews, reports, informal minutes of meetings, plans, organizational data, or project development materials. For example, Southeastern Electric Reliability Council (SERC), North American Electric Reliability Council (NERC), Florida Reliability Coordinating Council (FRCC), Virginia Carolinas Region (VACAR), etc. Record copy may be paper or electronic.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy 10 years after cutoff. Maintain onsite five (5) years after cutoff and then transfer to offsite storage.

**REFERENCE: N1-115-94-8**

- 23d. **River Basin Authorities or Administrations.** Materials pertaining to authorities, administrations, and commissions either proposed or established to administer material resources and their development programs for river basins, or watersheds in geographical areas of primary interest to SEPA. Materials may include studies, investigations, reviews, minutes of meetings, transcripts of public hearings, and legislative proposals. The official record copy is on one medium, paper, unless otherwise specified. Filed in case files. Annual accumulation is approximately two (2) linear feet.

Cutoff at the close of each fiscal year.

PERMANENT. Transfer to offsite storage 10 years after cutoff or when volume warrants. Transfer to the National Archives 30 years after cutoff.

**REFERENCE: N1-115-94-8**

- 23e. **Water Resources Data.** Data received in the form of books, maps, charts, memos, etc. and consisting of records of stage, discharge, and water quality of streams, stage and contents of lakes and reservoirs, and water levels in wells, discharge records for gauging stations, releases from flood control reservoirs, water quality for gauging stations, and water levels for observation wells. Also, included are analyses of hydrologic data, surface water, ground water, water quality, flow rates, gauging stations, lakes, reservoirs, chemical analyses, sediments, water temperature, water levels, and water analyses. This information is used as the base to perform studies conducted by SEPA associates. Information is primarily received from the U.S. Geological Survey. The official record copy is on one medium, paper, unless otherwise specified. Filed by project. Annual accumulation is approximately two (2) linear feet.

Cutoff at the close of each calendar year

TEMPORARY. Keep until no longer needed for reference not to exceed discontinuance of program.

ADMINISTRATIVE NOTE: All copies other than the record copy may be destroyed at user's discretion.

## **Environment Compliance and Management**

- 24a. **Environment Compliance and Management Policy Material.** Material which serves to establish policy, procedures, or precedents pertinent to future and continuing actions for environmental compliance and management activities. Data may be recorded on various media including paper, film, tape, disk, diskette, or CD. The official record copy is on one medium, paper, unless otherwise specified. Annual accumulation is less than six (6) inches.

Cutoff at the close of the fiscal year in which policy or procedure is cancelled, superseded, or revoked. Place in inactive file when policy is cancelled, superseded, or revoked.

TEMPORARY. Destroy 20 years after cutoff. Maintain onsite ten (10) years after cutoff and then transfer to offsite storage.

- 24b. **Clean Water Act Environmental Compliance and Management Correspondence.** Correspondence of a general nature pertaining to environmental compliance and management of the Clean Water Act issued by or that relates to SEPA.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy 20 years after cutoff. Maintain onsite for ten (10) years after cutoff then transfer to offsite storage.

**REFERENCE: N1-115-94-7**

- 24c. **SEPA Environmental Compliance and Management General Correspondence.** Correspondence of a general nature pertaining to environmental compliance and management subjects including the Clean Air Act, the National Environmental Policy Act (NEPA) compliance activities, environmental analysis, management studies, endangered species act, environmental assessment and evaluation methodology, natural resource protection and management programs, and environmental commitment that relates to SEPA.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy 15 years after cutoff. Maintain onsite for five (5) years after cutoff and then transfer to offsite storage.

**REFERENCE: N1-115-94-7**

- 24d. **Non-SEPA Environmental Compliance and Management General Correspondence.** Correspondence of a general nature pertaining to environmental compliance and management subjects which does not relate to SEPA. Including: cultural resources, wildlife resources, fish resources, hazardous waste, nuclear waste storage, NEPA compliance activities, environmental analysis, management studies, the endangered species act, mineral resources, clean water act permits, clean air act, environmental assessment and evaluation methodology, pest management natural resource protection and management programs, and environmental commitment.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy three (3) years after cutoff.

**REFERENCE: N1-115-94-7**

- 24e. **Review and Approval Process for Environmental Assessments (EA's), Environmental Impact Statements (EIS's), and Categorical Exclusions.** Material relating to the review and approval process for Environmental Assessments (EA's), Environmental Impact Statements (EIS's), and Categorical Exclusions; including, Signed Findings of No Significant Impact (FONSI's), approved EA's, Public Involvement Plan (if applicable), public comment letters, and Federal Register notices are considered essential NEPA documents for this file. Essential NEPA documents include drafts of statements, notices of intent, public comment letters, public hearing notes, DOE transmittal letters, final EIS's and comments on the final EIS. May also include other supplementary material created in the course of the EA, EIS, Records of Decision (RODS), and Categorical Exclusion preparation. Individual EA, EIS, and Categorical Exclusion are case-filed by project name. The official record copy is on one medium, paper. Annual accumulation is less than one (1) linear foot.

Cutoff at the close of the fiscal year in which preparation of final statement or record of decision occurs whichever is later.

Break file as needed.

PERMANENT. Maintain onsite for 15 years after cutoff and then transfer to offsite storage. Transfer to the National Archives 30 years after cutoff.

**REFERENCE: N1-305-90-2**

## HUMAN RESOURCES AND ADMINISTRATION

The Human Resources and Administration Division plans, develops, and coordinates the various functions of Human Resources, Administrative Management, and Support Services within Southeastern Power Administration (SEPA). Human Resources includes the Personnel Program, Diversity Program, and Safety and Health Program. Administrative Management includes Public Affairs, Freedom of Information, Security, Emergency Management, Management Control, Self-Assessment, In-House Energy Management, Strategic Planning, Total Quality Management, and Organizational Analysis. Support Services is primarily Information Resources Management and Procurement/Contracting and Property Management.

### Administrative Management

- 25a. **Administrative Management Policy.** Material that serves to establish policy or precedent pertinent to future and continuing actions for administrative management activities. Includes policy for Personnel, Telecommunications, Data Processing/Computer Security, Records and Information Management, Public Affairs, Procurement/Contracting and Property Management. Formal Directives distributed as circulars, manuals, or handbooks announcing changes to Southeastern policies and procedures. Items are filed by subject. The official record copy is on one medium, paper, unless otherwise specified. Annual accumulation is less than six (6) inches.

Cutoff inactive file at the close of each fiscal year

TEMPORARY. Maintain until canceled, superseded or revoked.

**REFERENCE: N1-115-94-3**

- ~~25b. **Copies maintained for convenience other than the official record copy.**~~

~~Cutoff when related policy is replaced, superseded, or revoked.~~

~~TEMPORARY. Destroy when no longer needed for reference or at the end of 2 years whichever is sooner.~~

*NARA approval  
not needed*

- 26a. **Administrative Management General Correspondence Files.** Correspondence of a general nature pertaining to administrative management subjects; internal committees and meetings, the assignment and reassignment of functions, operational planning, management analyses and surveys, staff-year requirements and utilization, and emergency planning. The official record copy may be paper or electronic.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy six (6) years after cutoff.

**REFERENCE: N1-115-94-3**

- 26b. **Administrative Management Subject Files:** Copies other than the official record copy.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy three (3) years after cutoff.

**REFERENCE: N1-115-94-3**

- 26c. **Outside Correspondence and Reports - Other Power Marketing Administrations and DOE Headquarters** Correspondence and reports received, but not generated by Southeastern, generally pertaining to other Power Marketing Administrations and DOE Headquarters. Sent to Southeastern for informational purposes or because distribution is made to all Department of Energy Field Offices, for example, information relating to the nuclear or coal industry, not applicable to Southeastern, but which Southeastern must submit a "negative reply" or a reply stating it is "not applicable." The record copy may be either paper or electronic.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy three (3) years after cutoff.

- 27a. **Reports pertaining to Administrative Management.** Southeastern's input to the Secretary of Energy's Annual Report to Congress and one copy of the actual report submitted to Congress. Southeastern's Annual Report and the back-up material.

The official record is on one medium, paper, unless otherwise specified. Files are arranged by subject. Annual accumulation is less than six (6) inches.

Cutoff at the close of each fiscal year

PERMANENT. Maintain onsite for five (5) years after cutoff and then transfer to offsite storage. Transfer to the National Archives ten (10) years after cutoff.

**REFERENCE: N1-115-94-3**

- ~~27b. **Copies of Reports pertaining to Administrative Management.** Copies of reports other than the official record copy.~~

~~Cutoff at the close of each fiscal year~~

~~TEMPORARY. Destroy when no longer needed for reference or at the end of 2 years whichever is later.~~

~~ADMINISTRATIVE NOTE REGARDING Southeastern's Annual Report: copies for distribution will be maintained for ten (10) years. After the initial ten years, a small supply (20-30 copies) will continue to be kept for possible distribution. The number will be reduced again 20 years after publication to approximately 15 copies. After 30 years, the number stored for distribution will be reduced to five (5) copies.~~

*NARA approval  
not needed*

28. **Material regarding the organization/reorganization of SEPA.** Includes the establishment, discontinuance of offices, selection of location, change in location, and organization charts. Organizational Charts and reorganization proposals, including correspondence pertaining to any proposed reorganization, regardless of whether or not approved by the Department of Energy Headquarters. The official record copy is on one medium, paper, unless otherwise specified. Files arranged by subject. Annual accumulation is less than six (6) inches.

Cutoff at the close of each fiscal year

PERMANENT. Maintain onsite for five (5) years after cutoff. Transfer to the National Archives in 5-year blocks when the most recent record is 20 years old.

**REFERENCE: N1-305-90-1**

- 29a. **Cooperative Management Agreements.** Cooperative management agreements including Memorandums of Understanding (MOU), Memorandums of Agreement (MOA), or similar agreements, either inter- or intra-agency, which document Southeastern's relationship with other public agencies or private parties, for purposes of mutual assistance. Including materials pertaining to Southeastern's participation in the planning, design, development, research, construction, rehabilitation, or management of irrigation systems, municipal water projects, water delivery systems, individual features and structures for other government agencies and private or industrial users. Materials should also include research and development agreements with colleges and universities or private industry. Also include all supporting materials that describe the project or program and its activities, administration, and management. Including:

- MOU, MOA, or similar agreement
- Technical correspondence, not covered elsewhere in schedule
- Studies, investigations, reports
- Grants
- Design data, drawings, related documentation
- Safety evaluations
- Operation and maintenance plans
- Public comments and transcripts of public hearings

The official record copy is on one medium, paper. Files are arranged by subject. Annual accumulation is less than six (6) inches.

Cutoff after agreement is completed or terminated. Break files as needed.

TEMPORARY. Destroy 75 years after cutoff. Maintain onsite for five (5) years after cutoff and then transfer to offsite storage.

~~29b. **Copies.** Copies other than the official record copy.~~

~~Cutoff after agreement is completed or terminated. Break files as needed.~~

*NARA approval  
not needed*

~~TEMPORARY. Destroy when no longer needed for reference or at the end of 2 years whichever is sooner.~~

30. **Core Team/Management Team Meeting Notes.** Core Team/Management Team (comprised of the division directors and the administrator) meeting notes/minutes. The official record copy is on one medium, paper, unless otherwise specified. Files arranged by subject. Annual accumulation is less than six (6) inches.

Cutoff at the close of each fiscal year

PERMANENT. Maintain onsite for five (5) years after cutoff and then transfer to offsite storage. Transfer to the National Archives 10 years after cutoff.

31. **Phone Directory.** Agency's internal phone directory which lists all employees and includes the employee's home address and phone number. The official record copy may be paper or electronic, usually paper.

TEMPORARY. Destroy/delete when information is updated or superseded by new data.

- 32a. **Congressional Investigations pertaining to SEPA.** Material could include results of investigation, studies of activities of Congressional Committees, conduct of investigation, information on activities of committee, analyses of committee reports, committee recommendations, and Southeastern's replies. The

official record copy is on one medium only, paper. Annual accumulation is less than six (6) inches.

Cutoff after close of investigation. Break file as needed.

PERMANENT. Maintain onsite for 10 years after cutoff. Transfer to the National Archives 10 years after cutoff.

**REFERENCE: N1-115-94-3**

- 32b. **Non-SEPA Congressional Investigations.** Congressional Investigations NOT pertaining to Southeastern.

Cutoff at the close of the fiscal year

TEMPORARY. Destroy five (5) years after cutoff.

- 33a. **Routine SEPA Conducted Audits – No Reportable Findings.** Audits conducted by SEPA, excluding the Federal Managers' Financial Integrity Act (FMFIA), the Department of Energy, the General Accounting Office, the Inspector General's office, and others. Audits are routine, internally driven planned program or single purpose investigations, may involve departmental programs, operations, and procedures, and audits of contractors and grantees. Material relating to impending audits or reviews and results of planning surveys and audits which result in no reportable findings. Includes follow-up activities, audit reports, correspondence, memorandums, and supporting working papers.

Cutoff at the close of the fiscal year in which case is closed. Break file as needed.

TEMPORARY. Destroy eight (8) years after cutoff.

**REFERENCE: N1-305-88-1**

- 33b. **Routine SEPA Conducted Audits – Reportable Findings** Audits conducted by Southeastern (excluding FMFIA), the Department of Energy, the General Accounting Office, the Inspector General's office, and others. Audits either of a routine nature or specific in nature, internally driven planned program or single purpose investigations, may involve Departmental programs, operations, and procedures, and audits of contractors and grantees, Material relating to impending audits or reviews and results of planning surveys and audits which result in reportable findings. Includes follow-up activities, audit reports, correspondence, memorandums, corrective action plans, and supporting working papers.

Cutoff at the close of the fiscal year in which case is closed. Break file as needed.

TEMPORARY. Destroy 25 years after cutoff. Maintain onsite for 10 years after cutoff and then transfer to offsite storage.

**REFERENCE: N1-115-94-3**

- 33c. **SEPA Conducted FMFIA Audits.** Reviews or audits conducted under FMFIA. Material relating to the annual Summary Management Reviews of SEPA's programs and administrative functions, to the Administrator's annual Assurance Memorandum to the Secretary of Energy on SEPA's internal control and accounting systems, and to Internal Audit's annual review of SEPA's accounting system as required by the FMFIA.

Cutoff at the close of the fiscal year of the report if no material weakness or reportable items are reported or the end of the fiscal year in which the corrective action has been completed.



TEMPORARY. Destroy five (5) years after cutoff.

- 33d. **GAO Reports Relating to PMAs.** General Accounting Office Reports relating to the Power Marketing Administrations.

Cutoff at the close of the fiscal year in which the final report is issued.

TEMPORARY. Destroy 15 years after cutoff.

- ~~33e. **GAO Reports Not Relating to PMAs** General Accounting Office Reports NOT relating to the Power Marketing Administrations.~~

~~Cutoff at the close of the fiscal year in which the final report is issued.~~

~~TEMPORARY. Destroy three (3) years after cutoff.~~

*NARA approval  
not needed*

- 34a. **Management Reviews.** Management Reviews, Staff Studies, or Management Improvement Projects as analyses of administrative policies and procedures. Includes, but not limited to:

- Organization and methods studies
- Records management studies
- Work simplification and standardization studies
- Workload and work distribution analyses
- Intermediate progress reports and correspondence
- Final survey reports and documentation of actions taken as a direct result of the survey
- Revenue enhancements
- A-76 reviews
- National Performance Review
- Human resources development and management strategy
- Strategic Plan: Southeastern's submission to the Department of Energy Headquarters and action plan. (The Strategic Plan replaces Southeastern's Annual Management Plan)
- Quality Management and Performance Measures for Southeastern

*Note: Permanent copy of Strategic Plan filed in 412 (Info. Publication Master Files).*

The official record copy may be paper or electronic.

*agency concurrence 4/2/02  
tus*

Cutoff at the close of each fiscal year

TEMPORARY. Destroy 10 years after cutoff.

**REFERENCE: N1-115-94-3**

- 34b. **Management Reviews Background Data.** Records accumulated in the collection of data for or during a management review or staff study. Includes notes, statistical data, working documents, copies of directives, and operating procedures, charts and similar material collected for fact-finding or backup purposes. The official record copy may be paper or electronic.

Cutoff at the close of the fiscal year in which the review or study is completed. Break file as needed.

TEMPORARY. Destroy six (6) months after final action on project or three (3) years after completion of report if no final action is taken.

**REFERENCE: N1-115-94-3**

- 34c. Material for consolidation and submission of the plan that accumulates from the process of establishing and reporting on short, mid-, and long-range management objectives. Includes, but not limited to

secretarial, directorial, divisional, and locally monitored objectives:

Specific tasks

Progress reports

Major problems and accomplishments in meeting the management objectives established by the plans

Related correspondence and documents

The official record copy may be paper or electronic.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy 10 years after cutoff.

**REFERENCE: N1-115-94-3**

- 34d. Material submitted by a contributing office or team for the report on short, mid, long-range management objectives. The official record may be paper or electronic.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy two (2) years after cutoff or when no longer needed for reference, whichever is earlier.

**REFERENCE: N1-115-94-3**

- 34e. **Strategic Planning Information.** Meeting minutes, team recommendations and planning notes. The official record copy may be paper or electronic. *Note: Permanent copy of Strategic Plan filed in 412 (Info. Publication Master Files). agency concurrence 4/2/02 tes*
- Cutoff at the close of each fiscal year
- TEMPORARY. Destroy five (5) years after cutoff.

- ~~35. **Freedom of Information Act Request Files.** Files created in response to requests for information under the FOIA, consisting of the original request, a copy of the reply, and all related supporting files which may include the official copy of the requested record or copy. The official record copy is on one medium, paper.~~

~~Cutoff at the close of each fiscal year~~

~~TEMPORARY. Destroy two (2) years after cutoff. (GRS 14)~~

36. **Internal Delegation of Authority.** Internal Delegation of Authority applies to SEPA's in-house delegation of authority and responsibility to officials, includes but not limited to:

Delegation of signatory authority

Designation of technical representatives

Deputization of Southeastern employees

Delegation of procurement authority

Designation of Privacy Officer

Freedom of Information Act Officers

Designation of imprest fund cashier

Agents to receive checks

Individuals assigned fiscal responsibilities

Individuals designated as special program managers, for example, Federal Women's Program Manager, Equal Employment Opportunity Counselor, Combined Federal Manager, etc.

*NARA approval  
not needed*

The official record copy may be paper or electronic.

TEMPORARY. Destroy when superseded, revoked, withdrawn, or expired

**REFERENCE: N1-115-94-3**

- 37a. **Meetings Hosted by SEPA.** Material related to conferences, meetings, congresses, conventions, and workshops hosted by Southeastern, for example, Team Cumberland Alliance, etc. Includes agendas, meeting notes, copies of handouts, list of actual attendees and company or agency represented, list of items accomplished and proposed agenda for the next meeting. Southeastern usually prepares and gives each attendee a notebook with the agenda for the meeting and copies of all handouts. The official record copy is on one medium, paper.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy 10 years after cutoff.

ADMINISTRATIVE NOTE: Copies other than the official record copy should be destroyed after the meeting or when no longer needed for reference.

- 37b. **Meetings Attended by SEPA.** Material related to SEPA and Departmental conferences, meetings, congresses, conventions, and workshops. Includes arrangements for accommodations and services, approvals of attendance for meetings, conferences, and workshops, and information on upcoming conferences and workshops. The official record copy may be paper or electronic.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy three (3) years after cutoff.

- 38a. **Emergency Operation Plans.** Emergency operation plans for SEPA, which identifies the agency's mission and program responsibilities under emergency conditions. Includes natural disasters and internal disorder including bomb threats or actual bomb damage to installations. The official record copy is on one medium, paper, unless otherwise specified. Annual accumulation is less than six (6) inches.

Cutoff at the close of each fiscal year

PERMANENT. Maintain onsite for ten (10) years after cutoff. Transfer to the National Archives 30 years after cutoff.

**REFERENCE: N1-115-94-3**

- 38b. **Emergency Operation Plans – Background.** Background material accumulated by offices responsible for preparation and issuance of plans and directives for emergency operation plans. Records include, but are not limited to operational plans, contingency plans, prevention plans, emergency procedures, compliance with regulatory requirements (federal, state, and local government), release forms, correspondence, and other related records. Consists of one copy of each plan or directive issued. Also, included is SEPA's list of critical personnel in the event of any disaster or shutdown. The official record copy may be paper or electronic.

Cutoff after any change to the plan, directive, or list of critical personnel is issued. Break file at the close of each fiscal year.

TEMPORARY. Destroy three (3) years after cutoff.

**REFERENCE: N1-115-94-3**

39. **Information Management Policy.** Material which serves to establish policy or precedents pertinent to future and continuing actions for records and information management activities. Correspondence, handbooks, indexes, or guides, and other material related to systems developed and prescribed by SEPA for the Numbering and Filing of correspondence, reports, publications, and other formats. The official record copy is on one medium, paper, unless otherwise specified. Includes:

- Drawings
- Maps
- Field books
- Identification and filing of photographs
- Audio visual
- Electronic files
- Microfilm
- Directives

TEMPOARARY. Maintain until canceled, superceded or revoked.

40. **Joint Committee on Printing (JCP) Report Files.** Reports to Congress and related records. Agency report to JCP regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy five (5) years after cutoff. (Exception to GRS 13, item, 5a)

**Public Affairs**

Southeastern Power Administration's (SEPA) Public Affairs collects, assembles, prepares and distributes information concerning the mission, programs and accomplishments of SEPA. Public Affairs is responsible for maintaining effective working relationships with members of the news media and the public as well as writing and distributing news releases, brochures, other publications, and preparing and coordinating responses to inquiries from the news media and the public. Public Affairs also coordinates the production of a quarterly newsletter to SEPA's customers and the SEPA Annual Report, maintains an up-to-date audio visual presentation on SEPA for presentation to visiting officials and at meetings, and arranges meetings, special events, and coordinates SEPA's participation in events planned by other organizations.

- 41a. **Public Affairs Policy.** Material which serves to establish policy or precedents pertinent to future and continuing actions for public information activities. Arranged by subject. The official record copy is on one medium, paper. Annual accumulation is less than one linear foot.

Cutoff at the close of fiscal year that policy was cancelled, superseded, or revoked. Place in inactive file when cancelled, superseded, or revoked.

PERMANENT. Transfer to the National Archives five (5) years after cutoff.

**REFERENCE: N1-115-94-1**

- 41b. **Public Affairs General Correspondence.** Correspondence of a general nature pertaining to public affairs subjects regarding communications with the general public, press, private organizations, and other Government Agencies. Includes information on external communications, public opinion, and distribution

of information through mass media. The official record copy may be paper or electronic. Filed by subject.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy six (6) years after cutoff.

**REFERENCE: N1-115-94-1**

- 41c. **Public Affairs Subject Files.** Public Affairs subject files which includes material received by SEPA that was not generated by SEPA or regarding SEPA. The official record copy may be paper or electronic, usually paper. Filed by subject.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy three (3) years after cutoff.

**REFERENCE: N1-115-94-1**

- 41d. **Public Affairs Feeder Reports.** Feeder reports pertaining to public affairs activities.

Cutoff at the close of each fiscal year

TEMPORARY. Destroy five (5) years after cutoff.

**REFERENCE: N1-115-94-1**

- 41e. **SEPA Administrator's Speeches.** Speeches, addresses, comments, and remarks made by the Administrator and other senior and high-level officials at formal ceremonies and during interviews concerning SEPA programs. The speeches and addresses may be presented to executives from other Federal agencies, representatives of State and local governments, private groups such as college and university students, business associations, and cultural news media commentators. Also, includes lectures and speeches by the Secretary of Energy relating to SEPA activities and invitations and authorization for presentations or speeches. The official record copy may be paper, audio, or videotape. Arranged in chronological or alphabetical order by subject or title, like media is filed together in one location. For example, videotapes are grouped together in alphabetical order. Accumulated material is less than one (1) linear foot annually.

Place in inactive file when cancelled, superseded, or three (3) years after presentation/issuance, whichever is earlier.

Cutoff inactive file at the close of each fiscal year

1. Paper

PERMANENT. Transfer to the National Archives 10 years after cutoff.

2. Audio or Videotape with related indices

PERMANENT. Maintain onsite until volume warrants and then transfer to the National Archives in accordance with provisions of 36 CFR §1228.266.

**REFERENCE: N1-115-94-1**

- 41f. **SEPA Press Releases.** Material pertaining to press releases issued by SEPA announcing events, programs, changes in policy or senior personnel, or other activities, including:
- Prepared statements of announcements issued for distribution to the news media
  - Articles for publications in periodicals
  - Formal press releases

The official record copy is on one medium, paper. Annual accumulation is less than six (6) inches. Total accumulation for SEPA is approximately two (2) linear feet. Filed in press release folders in chronological order.

Place in inactive file when cancelled, superseded, or three (3) years after issuance.

Cutoff inactive file at the close of each fiscal year

PERMANENT. Transfer to the National Archives 10 years after cutoff.

**REFERENCE: N1-115-94-1**

- 41g. **SEPA Celebrations.** Information regarding Southeastern-associated celebrations and dedications. Includes, but is not limited to:
- Final reports on participation in celebration or dedication exercises
  - Arrangements and preparations
  - Announcements
  - Pamphlets/brochures
  - Groundbreaking celebrations/dedications Anniversary celebrations

The official record copy may be paper, photographs, videotape, or a combination. Files are arranged by subject/event. Annual accumulation is less than three (3) inches.

Cutoff at the close of each fiscal year

1. Records relating to events determined by SEPA to be significant dedications and anniversary celebrations
  - a. Paper

PERMANENT. Maintain onsite for ten (10) years after cutoff and then Transfer to the National Archives.

- b. Photographs with background and related captioning information

PERMANENT. Maintain onsite for ten (10) years after cutoff and then transfer to the National Archives in accordance with provisions of 36 CFR §1228.266.

- c. Videotape with background and related indices

PERMANENT. Maintain onsite until volume warrants and then transfer to the National Archives in accordance with provisions of 36 CFR §1228.266.

**REFERENCE: N1-115-94-1**

2. Records (all media) relating to all other routine dedications and anniversary celebrations

TEMPORARY. Destroy when no longer needed or when two years old whichever is sooner

- 41h. **SEPA Visuals, Exhibits, Art, and Graphics.** Material may consist of original artwork, illustrations, slides, charts, graphics, acetates, negatives and other visual aids. The official record copy may be paper, electronic, photographs, etc.

Cutoff when published.

TEMPORARY. Destroy one (1) year after final publication.

**REFERENCE: N1-115-94-3**

Note: Artwork of a continuing usefulness may be retained as nonrecord material until no longer needed.

- 41i. **SEPA-Sponsored Event Audio-Visual Recordings.** Audio-visual recordings including motion picture films of events and activities sponsored or produced by Southeastern and used for promotional, educational, and informational purposes. Includes:

Original recording or the earliest generation of each recording or a kinescope of the recording

Original negative or color original plus a separate sound track

An intermediate master positive or duplicate negative plus optical sound track sound projection print for each motion picture

Finding aids and production documentation such as data sheets, shot lists, catalogs, indexes, and other textual documentation for the proper identification, retrieval, and use of video records. Includes:

Production or similar material containing copies of production contracts, scripts, or other documentation bearing on the origin, acquisition, release, or ownership of the production

The official record copy may be any medium, paper, video, audio, electronic, photographs; etc. Filed by event or subject. Annual accumulation is less than six (6) inches.

Cutoff at the close of each fiscal year

- a. Paper

PERMANENT. Maintain onsite for ten (10) years after cutoff and then Transfer to the National Archives.

- b. Photographs with background and related captioning information

PERMANENT. Maintain onsite for ten (10) years after cutoff and then transfer to the National Archives in accordance with provisions of 36 CFR §1228.266.

- c. Audio and Videotape with background and related indices

PERMANENT. Maintain onsite until volume warrants and then transfer to the National Archives in accordance with provisions of 36 CFR §1228.266.

**REFERENCE: N1-115-94-1**

- 41j. **Significant Photographs.** Photographs, original negative and a captioned print for each black and white image and the original color transparency or color negative, a captioned print, and an inter-negative (if one exists) for each color image. Includes:

Photographs of significant SEPA officials and other individuals

Photographs resulting from significant SEPA program responsibilities which constitute evidence

of the organization, function, policy development, decisions, procedures, operations, or other activities.

The official record copy will include captioned prints, negatives and/or slides. Annual accumulation is less than six (6) inches.

Cutoff at the close of each fiscal year

PERMANENT. Maintain onsite for 10 years after cutoff and then transfer to the National Archives in accordance with provisions of 36 CFR §1228.266.

**REFERENCE: N1-115-94-1**

- 41k. **Routine Photographs.** Photographs made to serve a temporary- purpose, but not having sufficient value to justify continual retention. Includes, but is not limited to:
- photos reproduced in technical reports, which are meaningless without any text
  - duplicate copies
  - photocopies of local interest only

Cutoff at the close of each fiscal year

TEMPORARY. Destroy when purpose is served or no longer needed for reference.

**REFERENCE: N1-115-94-1**

- 41l. **Information Publication Master Files.** The official file copy of each booklet, pamphlet, poster, *Strategic plan,* monograph, employee newsletter, or other issuance primarily of an informational character. Includes publications for internal SEPA use and publication for promotional or external use. The official record copy may be paper or electronic. Annual accumulation is less than six (6) inches. *agency concurrence 4/2/02 ter*

Cutoff at the close of each fiscal year

PERMANENT. Maintain superseded or cancelled materials onsite for 10 years after cutoff and then transfer to the National Archives.

**REFERENCE: N1-115-94-1**

- ~~41m. **Personnel Identification Photographs.**~~

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

~~**REFERENCE: GRS 21/2**~~

*NARA approval not needed*

42. **Electronic Copies of Records Used to Generate a Record-keeping Copy.** Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a record-keeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. **No Further Administrative Value.** Copies that have no further administrative value after the record-keeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared



network drives that are used only to produce the record-keeping Copy.

TEMPORARY. Destroy/delete within 180 days after the record-keeping copy has been produced.

b. **Copies Used for Dissemination, Revision, or Updating.** Copies used for dissemination, revision, or updating that are maintained in addition to the record-keeping copy.

TEMPORARY. Destroy/delete when dissemination, revision, or updating is completed.