REQUEST FOR RECORDS DISPOSITION AUTHORITY

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)
TENNESSEE VALLEY AUTHORITY

2. MAJOR SUBDIVISION
FINANCIAL SERVICES

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
Kal Chatterjee

5. TELEPHONE
865-632-3622

DATE RECEIVED 5/15/08

NOTIFICATION TO AGENCY

In accordance with the provision of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for the following items that are marked "disposition not approved" or "withdrawn" in column 8.

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed on the attached (pages) page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is not required:

☐ is attached; or
☐ has been requested.

DATE 4/29/08

SIGNATURE OF AGENCY REPRESENTATIVE Mary H. Ragland

TITLE Manager, Records Management & Systems

7. ITEM NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

ATTACHED:

1. FINANCIAL MANAGEMENT PLANNING RECORDS

2. PERFORMANCE AND ACCOUNTABILITY REPORTS

3. EXTERNAL AUDIT RECORDS

4. CFO COMMITTEE RECORDS

GRS G-3(b)

GRS G-16(b)

GRS 26-1(a)

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)

Prescribed by NARA
36 CFR 1228
FINANCIAL MANAGEMENT PLANNING RECORDS

Included are records that document agency-wide financial management goals; specific milestones to be achieved; identify performance measures; and provide procedural guidance to implement OMB’s financial management policies. Items may include annual or other periodic plans documenting the implementation and maintenance of financial systems, and records supporting formally issued plans, such as records of concurrence, comments, clearances, justifications, and related materials.

Effective 2003, records relevant to audits and reviews must be retained for seven years to comply with the Securities and Exchange Commission’s requirement stated in the 17 CFR Part 210 and mandated by Section 802 of the SOX act of 2002.

DISPOSITION

Destroy/delete when 7 years old.

PERFORMANCE AND ACCOUNTABILITY REPORTS

Included are annual reports consolidating the reporting requirements of the CFO Act, Government Performance and Results Act, and other statutes covering public accountability.
Records also include information on the agency’s financial position and the performance of its programs relative to measurable goals.

Effective 2003, records relevant to audits and reviews must be retained for seven years to comply with the Securities and Exchange Commission’s requirement stated in the 17 CFR Part 210 and mandated by Section 802 of the SOX act of 2002.

DISPOSITION

1. Final submission to the Office of Management and Budget
   Destroy/delete when 7 years old

2. Supporting Documentation
   Destroy/delete when 3 years old.
EXTERNAL AUDIT RECORDS

Included are records pertaining to the CFO's management of external audits and reviews of agency financial statements. Records may include reports, correspondence, and other documentation accounting for agency financial systems.

Effective 2003, records relevant to audits and reviews must be retained for seven years to comply with the Securities and Exchange Commission's requirement stated in the 17 CFR Part 210 and mandated by Section 802 of the SOX act of 2002.

DISPOSITION

Destroy/delete when 7 years old.

CFO COMMITTEE RECORDS

Records include meeting minutes, summaries, agendas, and transcripts, reports, studies, and publications, correspondence, and other administrative committee records such as Disclosure Control Committee records.

Effective 2003, records relevant to audits and reviews must be retained for seven years to comply with the Securities and Exchange Commission's (SEC) requirement stated in the 17 CFR Part 210 and mandated by Section 802 of the SOX act of 2002.

DISPOSITION

Destroy/delete when 7 years old.