

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK

JOB NO.

NCl-142-85-15

TO: **GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

DATE RECEIVED

9-15-85

1. FROM (Agency or establishment)

TENNESSEE VALLEY AUTHORITY

2. MAJOR SUBDIVISION

DIVISION OF PURCHASING

3. MINOR SUBDIVISION

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

4. NAME OF PERSON WITH WHOM TO CONFER

RONALD E. BREWER

5. TELEPHONE EXT.

FTS 858-2520

DATE

2/11/89

ARCHIVIST OF THE UNITED STATES



6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 28 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

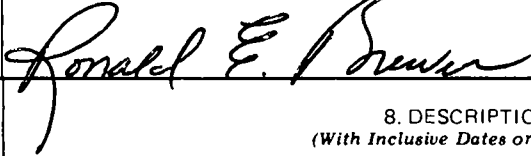
A. GAO concurrence: is attached; or is unnecessary.

B. DATE

C. SIGNATURE OF AGENCY REPRESENTATIVE

D. TITLE

9-10-85



Assistant TVA Archivist

7. ITEM NO.

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

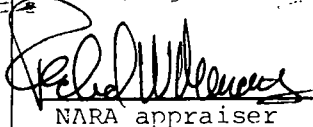

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN
(NARS USE ONLY)

COMPREHENSIVE RECORDS SCHEDULE

Records of the Division of Purchasing as described in the following items.

All changes to this ^{proposed} schedule have been approved by

 2/6/89 NARA appraiser date  1/30/89 Agency representative date

Office of Corporate Services
 Division of Purchasing
 Comprehensive Records Schedule
 Table of Contents

	<u>Page No.</u>
ORGANIZATION FUNCTION	i
METHODS OF PROCUREMENT	i
PURCHASING RESPONSIBILITY	ii
<u>PART A - RECORD SERIES</u>	
I. RECORDS COMMON TO MOST OFFICES	
I.1. Procurement Manual	1
I.2. Contracts	1
A. Routine Procurement Files	2
B. Special Procurement Files	2
C. Sales Contracts	2
D. Coal Contracts	3
E. Cancelled Contracts	3
I.3. Voided Requisitions	4
IA Manager's Office	1
IA1 General Manager and Board approvals	
II. MANAGEMENT SERVICES AND SUPPORT STAFF	
II.1. Division of Purchasing Annual Reports	2
II.2. TVA Standard Specifications	3
II.3. Attendance at Bid Openings (form TVA 9626)	3
III. TRAFFIC AND EXPEDITING BRANCH	
III.1. Over, Short, Substitution, Damaged, or Defective Claims	1
III.2. Commercial Bills of Lading	2
IV. FUELS PROCUREMENT BRANCH	
IV.1. Contract Summary Sheets	1
IV.2. Spot Coal Ledgers	2
IV.3. Coal Receipt Reports	2
IV.4. Term Coal Quality and Quantity Records	2
IV.5. Coal Mine Quality Performance Sheets	3
V. MARKETING BRANCH	
V.1. Property Lease Agreements	1
V.1. Surplus Personal Property Reports	1
VI. MACHINE READABLE RECORDS	
VI.1. Contract Procurement Statistical Data File	1

Office of Corporate Services
Division of Purchasing
Comprehensive Records Schedule
Table of Contents (continued)

Page No.

PART A - RECORD SERIES (continued)

VII. AUDIOVISUAL RECORDS

VII.1.	Slides of surplus material from TVA's cancelled Nuclear sites	1
VII.2.	Motion Picture, "Operation Cooperation," Division of Purchasing and it's personnel	1

PART B - NONRECORD SERIES

I. RECORDS COMMON TO MOST OFFICES

I.1.	Transfer Orders	1
I.2.	Reference Material	1
	A. Reference Copies	1
	B. Publications	1
	C. Library Materials	1
I.3.	Working Files	2
	A. Reading Files	2
	B. Housekeeping Material	2
	C. Working Papers and Background Material	2
	D. Preliminary and Intermediate Drafts	2
	E. Transitory Files	2
	1. Requests for Information or Publication	2
	2. Letters of Transmittals	2
	3. Quasi-official notes	2
I.4.	Audiovisual Records	3
	A. Video Training Cassettes	3
	B. Motion Picture Film	3
	C. Video Training Tapes	3
I.5.	Temporary List for Division of Purchasing Division Files	1

II. DIRECTOR'S OFFICE

II.1.	General Manager and Board Approvals	1
	Moved to Record Series	

Office of Corporate Services
Division of Purchasing
Comprehensive Records Schedule
Table of Contents (continued)

Page No.

PART B - NONRECORD SERIES (continued)

III. MANAGEMENT SERVICES AND SUPPORT STAFF

III.1.	Records Control Authorization Manual	1
III.2.	Career Planning Information	1
III.3.	Payroll Records and Distribution Statistics	1
III.4.	Office Equipment Orders and Furniture Requests	1
III.5.	Storeroom Requisitions	2
III.6.	Reproduction Orders	2
III.7.	Accounting, Budget and Space Planning	2
III.8.	Personnel Records	2
III.9.	Division File Classification Manual	2
III.10.	Correspondence Registers	3
III.11.	Vendor Alphabetical File	3
III.12.	Effects on National Security of Imports	3
III.13.	Training Materials	3
III.14.	Grievance File	4
III.15.	Escalation Evaluations	4
III.16.	Diesel Fuel Deliveries	4
III.17.	Contracting Officer Decisions and Summary Reports	5
III.18.	T-1 Highway Specifications and Appendix	5

IV. TRAFFIC AND EXPEDITING BRANCH

IV.1.	U.S. Government Bills of Lading	1
IV.2.	Tariff File	1

V. FUELS PROCUREMENT BRANCH

V.1.	Price Adjustment Files	1
V.2.	Shipping Notices	1

ORGANIZATION FUNCTION

The Division of Purchasing formulates, recommends, administers, and evaluates policies and procedures for the procurement, transfer, disposal, and shipping of equipment, materials, supplies, and nonpersonal services, as needed by TVA.

The division procures equipment, materials, supplies, and nonpersonal services by purchase or transfer and disposes of that which becomes surplus to TVA's needs. It supervises the shipping of equipment, materials, and supplies to, from, and within TVA. It makes studies of and recommends policies and techniques for improving procurement, transfer, disposal, and shipping practices. All procurement methods are governed by the TVA Act.

The Division of Purchasing is responsible for the Office of Small and Disadvantaged Business Utilization, implementing and administering the programs under Sections 8 and 15 of the Small Business Act.

METHODS OF PROCUREMENT

Advertised Procurement

The Division of Purchasing advertises by sending invitations to bid, telegrams, or letters to vendors. Purchasing maintains approximately 1,500 large computerized mailing lists for this purpose. Notices are also posted in public places and sometimes in newspapers and magazines. Based on the requirements of PL 98-72, generally a minimum of 15 days' advertising is required in the Commerce Business Daily (CBD) and an additional thirty (30) days before bids are opened; except certain requirements which may, with justification, be exempt from PL 98-72.

Nonadvertised Procurement

Certain types of purchases are exempt from advertisement. The TVA Act states that advertisement is not required when: (1) an emergency requires immediate delivery of the supplies or performance of the services; (2) repair parts, accessories, supplemental equipment, or services are required for supplies or services previously furnished or contracted for; (3) the aggregate amount involved in any purchase of supplies or procurement of services does not exceed \$25,000; in which cases such purchases of supplies or procurement of services may be made in the open market.

A nonadvertised purchase is made by sending Requests for Quote (RFQ), or Requests for Proposals (RFP) to vendors. Usual practice is to send RFQ's to at least four vendors and allow them fourteen days to return them to the purchasing agent. Sometimes nonadvertised purchases are made over the telephone or by telegram.

METHODS OF PROCUREMENT (continued)

Other Forms of Procurement

The Division of Purchasing delegates authority to other divisions to make over-the-counter purchases under \$1,000. These purchases are made on TVA Form 4421, Field Purchase Order and Invoice.

For many commodities, Purchasing arranges for the release of orders directly to the vendor by the using organization. These arrangements are called Indefinite Quantity Term (IQT) contracts and Blanket Purchase Agreements (BPA). The requisitioning organization can use TVA Form 9625, Request for Delivery (RD), to order without going through Purchasing. Lists of available IQT's and BPA's may be obtained from Purchasing's Systems and Procedures Section.

TVA organizations may order supplies directly from General Services Administration (GSA) warehouses or from vendors under contract to GSA by use of the Request for Delivery form.

PURCHASING RESPONSIBILITY

The various organizations throughout TVA send purchase requisitions to the Division of Purchasing. Each branch and section within Purchasing specializes in a particular group of commodities, with each purchasing agent further specializing in a specific commodity or commodities.

Purchasing's objective is to obtain quality materials or services at the lowest cost and in a timely manner.

The purchasing agent is the focal point for the purchasing process, from the receipt of the purchase requisition through delivery of the requested goods or services to the user. The purchasing agent's signature on a contract commits TVA to a contractual obligation with a vendor. The purchasing agent enforces provisions of the contract and handles claims and disputes arising as a result of the contractual agreement. Support of the procurement process is provided by the Traffic and Expediting Branch, and various other division personnel.

Requisition Processing

Requisitions are received, dated, and time-stamped in Purchasing's mailroom. Purchasing's ADP Operation Services Section assigns a numerical code which identifies the commodity to be purchased. This code is used to ascertain the correct purchasing agent to handle the requisition, and as a means of gathering statistics about procurement activity. The requisition is assigned to a purchasing agent specializing in the particular commodity.

PURCHASING RESPONSIBILITY (continued)

Preparation of Invitation to Bid or Requests for Quote

The purchasing agent selects the vendors to receive an Invitation to Bid (over \$25,000) or a Request for Quote (under \$25,000). The Purchasing Agent determines the special conditions and standard information required by law that should be attached to the bid package. The Invitations Unit assembles, reproduces, and mails the bid packages to vendors and designated TVA organizations. Approximately 35 million pieces of paper are generated in this process annually.

Receipt of Bid

For advertised purchases, sealed bids are publicly opened in the Bid Room at the specified date and time. The purchasing agent examines the bids for acceptability and sends them to the requisitioner for technical evaluation and recommendations. For nonadvertised purchases, the Quotations are sent directly to the purchasing agent.

Contract Award

The purchasing agent determines the bidder to receive the contract award and the award information is typed on the Invitation to Bid (or Request for Quote). Approval of the award and the method of procurement depends on the total amount of the contract and certain conditions. At this point the Contracts Unit reproduces and mails copies of the contract to the vendor and designated TVA organizations. Barring any exceptions the following chart identifies approval authority based on contract amount.

<u>Contract Amount</u>	<u>Approval Authority</u>
up to \$49,999	Purchasing Agent
\$50,000 and up to \$149,999	Supervisor
\$150,000 and up to \$299,000	Branch Chief
\$300,000 and up to \$999,999	Director of Purchasing or Board as appropriate
\$1,000,000 and up to \$1,999,999	General Manager
Over \$2,000,000	Board of Directors

I.1. PROCUREMENT MANUAL

The Procurement Manual was developed in 1977 for the purpose of providing internal guidance for TVA employees in order to carry out an efficient procurement process solely for the benefit of TVA. An official copy, which includes all revisions made to the manual and the transmittals used to distribute the revisions, is maintained in Purchasing's Division Files. Work Files are maintained by the Systems and Procedures Section in the Management Services and Support Staff. These files consist of the marked-up pages used in revising the manual, the final copies used to produce the revised pages, and several extra copies of the up-to-date manual. Copies of the manual are maintained by all purchasing agents and other interested persons within TVA.

DISPOSITION

- A. Official Copy - Destroy when program no longer exists.
- B. Work Files - Destroy when no longer needed for administrative purposes.
- C. All other copies - Destroy when no longer needed for administrative purposes

I.2. CONTRACTS

Includes pre-award information, requisitions, quotes, worksheets, correspondence, recommendations for awards, approvals, and contracts, dealing with procurement of material, equipment and real property and, in specific instances, it also includes quality assurance documents for those contracts dealing with the purchasing of equipment, fuel and related materials, and services for nuclear plants.

Contract - A binding agreement between two or more persons or parties. The bid or quote of the supplier selected for award becomes the contract when it is marked as to acceptance and signed by the purchasing agent in the appropriate TVA form.

I.2. CONTRACTS (continued)

~~A. Routine Procurement Files~~

~~Contain contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment. Procurement or purchase organization copy, and related papers.~~

Withdrawn

~~DISPOSITION~~

~~A. Transactions of \$500 or more~~

~~Destroy 6 years and 3 months after final payment. Transfer as needed to Chattanooga Records Center.~~

~~B. Transactions of less than \$500~~

~~Destroy 2 years after final payment.~~

B. Special Procurement Files

Contain contract; requisition; purchase order; lease; bond and surety records, including correspondence and related papers pertaining to award; administration; receipt; inspection; payment; procurement or purchase organization copy; and related papers. These files, due to possible service provisions, litigation, or extended warranty periods, are required to be retained longer, at the discretion of the purchasing agent or branch chief. This includes all nuclear procurement contract records, including those having been cancelled.

DISPOSITION

Destroy 6 years and 3 months after final payment unless required to maintain for a longer period because of warranty or other provision, not to exceed 20 years after close of contract. Transfer as needed to Chattanooga Records Center.

C. Sales Contracts

Contain sales invitation worksheets, invitation worksheets, invitations to bid, mailing lists, abstracts, notices of completed sale, cash receipts, contract correspondence, recommendation to negotiate, notifications regarding late bids, and related material. The record copy is filed in the Division of the Comptroller.

DISPOSITION

Destroy 5 years after contract completion. Transfer as needed to Chattanooga Records Center.

I.2. CONTRACTS (continued)

D. Coal Contracts

These contract files are used for reference in the purchase, inspection, and delivery of coal and coke. The contracts are also required after delivery of coal is complete for as long as legal actions, such as claims under the Surface Mine Control and Reclamation Act, and requests for price adjustments, are possible.

Coal is bought under three separate types of contracts--spot, short-term, and long-term. Spot and term contracts are numbered under separate series. The life of the contracts vary from 4 weeks to 20 years; spot contracts are filed separately from the term contracts. The retention period of these records should be for as long as legal actions or submissions of requests for price adjustment are possible.

DISPOSITION

~~Destroy 6 years and 3 months after close of contract unless review at that time requires longer retention. The organization will review closed contracts every two years and identify records that are eligible for disposal. Transfer to Chattanooga Records Center as needed.~~

See page 3A for revised description and disposition.

E. Cancelled Contracts

Any contract that TVA decides it does not need due to a change in plans, or the materials or services are no longer needed, or the contractor fails to perform as called for in the contract performance date.

DISPOSITION

A. Transactions of \$500 or more

Destroy 6 years and 3 months after final payment. Transfer as needed to Chattanooga Records Center.

B. Transactions of less than \$500

Destroy 2 years after final payment.

I.2. CONTRACTS (continued)

D. Coal Contracts

These contract files are used for reference in the purchase, inspection, and delivery of coal and coke. The contracts are also required after delivery of coal is complete for as long as legal actions, such as claims under the Surface Mine Control and Reclamation Act, and requests for price adjustments, are possible.

Coal is bought under three separate types of contracts--spot, short-term, and long-term. Spot and term contracts are numbered under separate series. The life of the contracts vary from 4 weeks to 20 years; spot contracts are filed separately from the term contracts. The retention period of these records should be for as long as legal actions or submissions of requests for price adjustment are possible.

Some of these contracts contain adjustment provisions for mine closeout reclamation costs. Because a contractor's claim under contracts such as these does not accrue until the contractor has incurred the closeout costs, the statute of limitations on a claim of this sort would not begin to run until the cost is incurred. The relevant provisions of each contract would have to be examined to determine whether there are restrictions on postcompletion claims.

DISPOSITION

- A. Contracts not containing adjustment provisions for mine closeout reclamation costs.

Destroy 6 years and 3 months after close of contract

- B. Contracts containing adjustment provisions for reclamation costs.

Review closed contract every two years after 6 year and 3 month period has expired and identify records that are eligible for disposal. Transfer to the Chattanooga Records Center as needed.

I. RECORDS COMMON TO MOST OFFICES
PART A - RECORD SERIES

I.3. VOIDED REQUISITIONS

Requisitions that are not used (voided) before becoming an actual contract due to an error on the requisition form, the required items are no longer available or the items or services needed are already available under an existing IQT contract.

DISPOSITION

Destroy 2 years after date of cancellation.

IA.1. GENERAL MANAGER AND BOARD APPROVALS

Notebooks containing copies of correspondence on purchase award approvals. Pursuant to TVA Code IV, Procurement, the General Manager approves all purchase awards or delegates authority to approve purchase awards or contracts for all purchases over one million dollars and less than two million; the exceptions being contracts for spot coal and light distillate and number 2 fuel oil, which the Director of Purchasing has authority to approve up to \$1 million and \$3 million dollars respectively. Purchases above \$2 million require board approval. This information is also kept in the branch offices within the division. The director's office copy has penciled notes made by the director and are retained for reference.

DISPOSITION

Destroy when no longer needed for reference.

II. MANAGEMENT SERVICES AND SUPPORT STAFF
PART A - RECORD SERIES

The Management Services and Support Staff, plans and coordinates the division program of personnel administration; advises on matters of staffing, organization, classification and pay, and employee development; coordinates division training, affirmative action, career counseling, and upward mobility activities; and represents the division in personnel matters with the Division of Personnel and other organizations.

The staff serves as the division point of contact with the TVA Office of Planning and Budget; prepares budget estimates and justifications; acts as liaison with the Division of the Comptroller on classification of accounts, distribution of division expense, and statistical reports; and provides accounting and statistical services.

The staff provides division administrative services and procedures, including payroll services; preparation of travel orders and vouchers; maintenance of office supplies; space, equipment, and communications planning; and files, mail, and communications services. It coordinates division safety and health programs, and prepares reports and other written material on purchasing, traffic, and compliance activities.

The staff provides support services such as visitor reception; typing, reproducing, and distributing invitations to bid and addenda; receiving and protecting bids and conducting formal bid openings; and conforming and distributing purchase contracts and changes of contracts.

The staff analyzes statistics on TVA purchases and acquisitions; analyzes forecasts of procurement needs and assists in planning the procurement program to meet those needs, reviews and analyzes prices of items important to TVA's procurement needs; develops information on current economic indicators for use in studies and in bid evaluations; reviews invitations to bid containing cost adjustment and periodic payment provisions that may result in a complex bid evaluation process; works with requisitioning divisions to establish bid evaluation criteria; prepares abstracts on bids for purchases of \$300,000 or more; and makes or reviews evaluation of bids on procurements.

The staff reviews legislation and regulations for applicability to the procurement process, and develops recommendations of policy based upon its findings.

The staff represents the division in quality assurance matters. It coordinates the development of standard specifications, and issues and maintains the TVA Standard Procurement Specification Manual.

II. MANAGEMENT SERVICES AND SUPPORT STAFF
PART A - RECORD SERIES

The staff provides computer systems analysis, programming, and program maintenance services in support of purchasing activities; identifies potential computer applications and systems opportunities within the division; participates in software maintenance and enhancement of TVA-wide systems such as Materials Management Systems (MAMS); and prepares and distributes regular and special reports. The staff performs logging, coding, and distribution of incoming purchase requisitions; performs data entry for MAMS, the Contract Data System, the Federal Procurement Data System, and other computer applications; and maintains vendor and mailing list files.

Functions of the Management Services and Support Staff are carried out through the Personnel Services Section, Reports, Safety, and Training Services Section, Administrative and Financial Services Section, Systems and Procedures Section, Information Systems Unit, Information Services Section, and the ADP Operation Services Unit.

II.1. DIVISION OF PURCHASING ANNUAL REPORTS

The original copies of the Division's Annual Report contain various statistics and other information regarding procurement of equipment and materials, surplus property acquisition and disposal, cumulative dollar amounts, commitments, personnel levels and other miscellaneous statistics. The annual reports are for calendar years 1933 to 1975. There are approximately .406 cubic feet of these records.

DISPOSITION

A. Record Copy

Permanent. Transfer to the National Archives ^{in 1995.} ~~when 20 years old.~~

B. Duplicate Copies

Destroy when no longer needed for administrative purposes, not to exceed 2 years.

II.2. TVA STANDARD SPECIFICATIONS

The Committee on Standardization of Procurement Specifications advises on development of standard specifications and on proposed specifications on individual items. The committee consists of an Executive Secretary appointed by the Director of Purchasing and representatives appointed by the following: Manager of Agricultural and Chemical Development, Director of Occupational Health and Safety, Manager of Power, and Manager of Nuclear Power. The specifications are controlled by Purchasing which maintains a hard copy of numbered specifications prescribing quality requirements of all frequently purchased commodities in TVA. The specification number is cited by the requisitioner when requesting the purchase of materials or equipment covered by a specification. The specifications date from 1948 to present.

DISPOSITION

A. Official Copy

Destroy when agency no longer exists.

B. Other Copies

Destroy when superseded.

II.3. ATTENDANCE AT BID OPENINGS

Contains listings of attendees at bid openings by company and requisition number. Purchasing agents refer to this form (TVA 9626) from time to time, this record (original) could be used in cases of litigation of a contract. Do not transfer.

DISPOSITION

Destroy when 10 fiscal years old.

III. TRAFFIC AND EXPEDITING BRANCH
PART A - RECORD SERIES

The Traffic and Expediting Branch assists in formulating and administering the policies and procedures and performs duties related to freight shipping and routing to, from, and within TVA. It is the point of contact and clearance in TVA with present and potential suppliers in all contracts and contract enforcement matters involving transportation problems. It negotiates with carriers for rate reductions, changes in regulations, and special services and facilities. It maintains close contact with the various regulatory agencies, carriers, and offices and divisions within TVA to ensure that TVA's transportation needs are adequately and economically met. It compiles and maintains complex data on transportation regulations and tariffs.

The branch expedites TVA contracts of more than \$10,000 for the Division of Power System Operations and the Division of Engineering Projects, Transmission Systems Engineering Projects (TSEP), where installation is to be done by those divisions; contracts over \$25,000 for other offices and divisions; and other contracts and changes of contracts. The branch's functions are carried out through the General Traffic Section and the Expediting Section.

III.1. OVER, SHORT, SUBSTITUTION, DAMAGED, OR DEFECTIVE CLAIMS

A receiving clerk makes inspection of material received, prepares these forms, and sends to the purchasing agent, who sends to the Traffic and Expediting Branch for preparation of claim forms. The Traffic and Expediting Branch files claim or sends proper forms to the vendor for his use in filing claim. The original copy is kept by the carrier against which the claim was filed. The copy maintained by the Traffic and Expediting Branch is the record copy.

DISPOSITION

Destroy when 7 calendar years old.

III.2. COMMERCIAL BILLS OF LADING

These Bills of Lading are used by TVA as contracts between carriers and shippers when receivers other than TVA are to pay the transportation costs. These are also used by vendors when transportation cost is paid by them. The Transportation Act of 1958 (see 322 of 49 U.S.C. 66) established a peacetime 3-year statute of limitation covering the payment of Government freight charges.

The original copy is kept by each particular vendor involved. Duplicate copies are maintained by the issuing office. The official record copy is maintained by TVA's Traffic and Expediting Branch.

DISPOSITION

~~Destroy when 3 years and 6 months old. Except shipments (contracts) made under the Staggers Act of 1980, which are to be retained 6 years.~~

Destroy when 3 years old.
[GRS 9, Item 1a(2)]

IV. FUELS PROCUREMENT BRANCH
PART A - RECORD SERIES

The Fuels Procurement Branch assists in formulating and administering policies and procedures, other than traffic, for procurement of coal for power generation. It is the point of contact and clearance in TVA with present and potential suppliers in all coal procurement contracts and contract enforcement matters. It arranges, in collaboration with interested divisions, for visits to present and potential suppliers' plants to inspect production facilities and quality control procedures. The branch maintains close contact with the Office of Power in determining coal procurement needs and developing sources of supply and with the Office of Natural Resources and Economic Development on surface mine reclamation developments. It compiles and maintains comprehensive basic data on the quality of coal in mines and the various seams within the area of economic transportation.

The branch initiates, prepares, and issues invitations to bid for coal contracts; evaluates bids; and makes awards. It negotiates emergency fuel purchases. It administers and enforces coal contract provisions, and amends the contracts. It coordinates consignment of all coal deliveries to the various plants in the TVA power system.

It issues authorizations and agreements on starting dates, suspensions, extensions, mine substitutions, and tonnage variations on contracts. It computes price escalations due on existing contracts. It reviews Coal Quality Adjustment Reports and notifies contractors of penalties and premiums. It maintains quality and quantity performance records, compiles statistics on coal purchases, and maintains its requisition, contract, and general files.

It makes field inspections of mines, mining and shipping conditions, and handles complaints of contractors. It keeps informed on market conditions, price trends, seasonal and periodic fluctuations in types of coal available, freight rate changes, probable work stoppages, and similar matters bearing upon coal procurement.

The branch has overall responsibility for administering the small coal operator initiatives that pertain to the Division of Purchasing, working closely with the industry to determine eligible companies, and ensuring that they derive maximum benefit from the programs under which assistance is offered.

The functions of the branch are carried out through the Fuels Traffic Section, the Claims and Data Section, the Contracting and Special Studies Section, the Term Contracts Administration Section, and the Small Coal Operators Assistance Section.

IV.1. CONTRACT SUMMARY SHEETS

Individual sheets for each contract, which are updated whenever contract changes occur, summarize pertinent aspects of each contract including price, term, delivery rate, mine source, and quality specifications. These summary sheets must be retained due to the historical information provided. These are originals and not duplicated elsewhere.

DISPOSITION

Destroy 10 years after contract expires.

IV.2. SPOT COAL LEDGERS

Contains a record of all spot coal contracts, reflecting the quality and tonnage, mine source and producer of each contract. These originals are kept by the Fuels Procurement Branch and are frequently used to determine past performances of bidders and are necessary to retain due to their valuable information.

DISPOSITION

Destroy in agency when no longer needed for reference.

IV.3. COAL RECEIPT REPORTS

Includes fiscal and calendar year reports containing information on tonnage receipts by surface and underground, by plant, and by contractor. This information is used by the branch and other branches as a record of the sources of TVA's coal.

DISPOSITION

Destroy when 10 years old.

IV.4. TERM COAL QUALITY AND QUANTITY RECORDS

These ledger sheets, filed by contract number, contain information on individual coal contracts, such as coal scheduled for delivery, actual deliveries, and quality performance and is used for reference by the managers and purchasing agents. These ledgers have value beyond the expiration of the contract, since the branch must answer all inquiries on tonnages shipped for reclamation purposes and GAO inquiries. This information is also helpful in evaluating bids.

DISPOSITION

Destroy 10 years after expiration of contract.

~~IV.5. COAL MINE QUALITY PERFORMANCE SHEETS~~

When a contract is awarded to a coal company, form TVA 9666, Coal Mine Quality Performance Records, is completed, listing the State, county, and seam from which the coal will be taken. The quality of the coal is posted to this form as shipments are received and the contract is fulfilled. The information listed on this form, for open or closed contracts, is valued as historical reference material. When additional coal is purchased, this form is used to compare and evaluate offers received from coal companies to determine if the bid is representative of coal in the area. These originals are the only record available in TVA of the quality of coal in a specific area.

DISPOSITION

~~Destroy when no longer needed for reference.~~

(NCI-142-81-9)

The Marketing Branch is responsible for establishing marketing policy for sales of personal property under Code IV DISPOSAL and for coordinating procedural activities with the Investment Recovery Project (IRP) and other divisions and offices; for assuring that all sales made under Code IV, both negotiated and advertised, conform to applicable rules, laws, TVA policy, and good business practice. It reviews and approves marketing procedures; plans sales advertisements and campaigns; maintains records on sales assignments, status, delivery and payment; provides reports to management and performs studies on markets, financing, optimum timing of sales, grouping of lots and methods of marketing; is responsible for making the final decision as to the appropriate manner of sale and contracting for any necessary advertising, sales agents, appraisers, or auctioneers.

The Marketing Branch accomplishes its mission through the Surplus Property Section and the Investment Recovery Section.

V.1. PROPERTY LEASE AGREEMENTS

Contains contract agreements made to cities, counties, and States for use in the furtherance of TVA-sponsored regional development programs which further any TVA project.

DISPOSITION

Destroy 5 years after closing date.

V.2. SURPLUS PERSONAL PROPERTY REPORTS

See revised
description
below.

~~Contains listing of personal property items surplus to TVA on TVA Form 3610. Such as vehicular and heavy construction equipment, small tools, etc., received from various TVA offices and divisions sent to the Surplus Property Section for disposal.~~

DISPOSITION

A. Original copies

Destroy 5 years after disposal of surplus property.

B. Duplicates

Destroy when 2 years old.

Contains listing of personal property items surplus to TVA on TVA Form 3610, such as vehicular and heavy construction equipment, small tools, etc. Because some sales disposals of materials and wastes are potentially hazardous, (used oil, batteries, PCB electrical equipment, etc.), it is important to maintain these reports and test data associated with the sale for five years.

All systems data is stored on a combination of disk and tape. Disks are used for current information and on all online processing. Tapes are used for backup and for archival storage.

~~VI.1. CONTRACT PROCUREMENT STATISTICAL DATA FILE~~

Contract procurement data (statistical) is used to identify commodity purchases from specific companies and includes information such as vendor name, commodity type, and price. Recording this data began in 1954 and continued until 1961 by the process of obtaining information from the original contract and storing it on punch cards for producing a computer printout. Since 1961 the information stored previously on punch cards as well as all current contract information is keyed to magnetic diskette then processed and stored in a magnetic tape master file. This master file serves as the official record of the Division of Purchasing for statistical purposes. Organizations within TVA (e.g. Office of the General Counsel), other Government agencies (e.g. Internal Revenue Service and Federal Procurement Data System), and outside industries request procurement related data which is obtained from the magnetic tapes and is assured quick access by the retrieval arrangement of vendor name or commodity type.

DISPOSITION

A. Magnetic Tape

Retain for life of Agency.

B. Printouts

Destroy when 6 months old.

~~(NCI 142-81-10)~~

VII.1. SLIDES

2" x 2" slides of surplus material from TVA's cancelled nuclear sites -
160 slides.

DISPOSITION

Destroy when no longer needed for reference.

VII.2. MOTION PICTURE

"Operation Cooperation" 16mm movie of Purchasing and its personnel,
made in March 1962.

DISPOSITION

Destroy when no longer needed for reference.

I. RECORDS COMMON TO MOST OFFICES
PART B - NONRECORD SERIES

I.1. TRANSFER ORDERS

Contains form TVA 81, Transfer Order, showing items transferred from one TVA location to another which is filed numerically by transfer order number, this file is retained for followup purposes. The record copy of this series is held by the Division of Property and Services.

DISPOSITION

Destroy when 2 fiscal years old

I.2. REFERENCE MATERIAL

Reference material is maintained to provide a source of information readily available to each office. It may be in print, computer output, microform, or other formats.

- A. Reference Copies - Copies of TVA publications including manuals; circulars; public relations material; annual reports; administrative releases; local, internal, and external regulations and directives; bulletins; and pamphlets.
- B. Publications - Publications of other government agencies*, commercial firms, or private institutions including industry and governmental standards, procedures, and guidelines; vendor catalogs, brochures, price lists, and similar publications; maps; telephone directories; scholarly and historical publications; and compilations of reports, transactions, etc.
- C. Library Materials - including extra copies of books, pamphlets, journals or periodicals, and similar materials.

*Includes: GSA Federal Property Management Regulations, GSA Personal Property Management Regulations, Office of Emergency Planning Regulations, Internal Revenue Service's Economic Stabilization Program, Nuclear Regulatory Commission Preliminary and Final Reports

DISPOSITION

Destroy when no longer needed for administrative reference.

I.3. WORKING FILES

Working files contain material drawn from correspondence files, whether official or unofficial or from other reference material. It may include any or all of the following items:

- A. Reading Files - Copies of records used solely as a reading or reference file for the convenience of personnel.
- B. Housekeeping Material - Temporary material that is useful but not essential to record the program activity of the organization holding it. This material includes: informal communications carrying nonrecord information; bulletin board notices; reproduction orders; changes of address; stenographic notebooks and stenotype tapes; routing slips; blank forms; reproduction materials such as stencils, hectograph masters, and offset plates; documents pertaining to travel arrangements, vehicle assignments, and hotel reservations; requests for supplies; requests for publications; and correspondence log books.
- C. Working Papers and Background Material (including photographs or other nonprint material) collected during the creation of a report or other record document or during the course of a particular task or activity. This does not include supporting documentation that, due to informational content or evidential use, requires retention beyond the issuance of the final document or completion of the task.
- D. Preliminary and Intermediate Drafts of letters, memoranda, reports, and other papers.
- E. Transitory Files containing papers of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory information are shown below:
 1. Requests for Information or Publication - Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply, such as requests for publications or other printed material.
 2. Letters of Transmittal that do not add any information to that contained in the transmitted material.
 3. Quasi-official Notices - Memorandums and other papers that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar notices.

DISPOSITION

Destroy when no longer needed for administrative purposes.

I.4. AUDIOVISUAL RECORDS

A. Video Training Cassettes

Duplicates of various divisional training programs, including certain Board meetings, "the art of negotiation," "stress training," training regarding contracts, provisions, including quality assurance.

DISPOSITION

Destroy when no longer needed for administrative purposes.

B. Motion Picture Film

Duplicates of the following divisional and instructional training programs on:

- (1) Health and Safety - Dangers of Fishing near Dam Sites
- (2) Factor Point Method of Job Evaluation
- (3) Transfer of Nuclear Reactors to Phipps Bend Nuclear Plant

DISPOSITION

Destroy when no longer needed for administrative purposes.

C. Video Training Tapes

Duplicates of divisional training programs including tapes of board meetings, interviewing techniques, labor surplus area programs, goal setting training, quality assurance training, teletrain tapes regarding certain commodities and P.L. 95-507.

DISPOSITION

Destroy when no longer needed for administrative purposes.

I.5. ROUTINE FILE DATA TO BE CODED FOR TEMPORARY RETENTION AND DESTROYED
AFTER 2 FISCAL YEARS (DOES NOT INCLUDE POLICY OR PROCEDURAL INFORMATION)

1. General

- a. Correspondence about mailing lists and corrections in mailing addresses. Excludes mailing lists of barge owners.

Does not include correspondence from director's office or above.

- b. All material about U. S. Savings Bonds and Bond Drives, except commendations and certificates of achievement.

2. Administrative

- a. Cover memorandums for administrative releases; checklists; revisions to administrative release mailing list.

- b. General TVA announcements not directly related to the Division of Purchasing program.

- c. Correspondence about scheduling, canceling, and arrangements to attend meetings and conferences; agenda and proposed agenda items; transmittals of minutes of meetings; minutes of meetings not directly related to the Division of Purchasing program.

- d. Informational releases or publications (usually printed) from outside agencies or other TVA divisions not directly related to the Division of Purchasing program. (Contact the District Records Officer before disposal of bound TVA reports.)

- e. White tissue copies of routine correspondence about coal procurement, general procurement, and traffic that are sent to the division office for information. Does not include correspondence with the Division of the Comptroller.

- f. Decisions of Comptroller General.

3. Personnel Administration

- a. Recruitment; qualifications; employment notices; including 3028; correspondence with or about applicants.

Requests for candidates.

- b. Vacant position announcements.

I.5. ROUTINE FILE DATA TO BE CODED FOR TEMPORARY RETENTION AND DESTROYED
AFTER 2 FISCAL YEARS (DOES NOT INCLUDE POLICY OR PROCEDURAL
INFORMATION) (continued)

3. Personnel Administration (continued)

- c. Leave and vacation schedules; requests for leave; notices of leave balances; leave audit correspondence; material about holidays.
- d. Routine correspondence and printed material about the retirement system. Excludes correspondence about individuals.
- e. All correspondence regarding gratuities, including Red Cross and the United Fund.
- f. Routine correspondence and printed material regarding hospitalization, group insurance, and social security.
- g. Printed material about negotiations between TVA management and the Salary Policy Employees Panel and the Trades and Labor Council; printed routine reports from unions and associations; processed copies of Annual Salary Survey Report; agenda and minutes of cooperative conference meetings, except minutes of the Division of Purchasing Cooperative Conference and the Valley-wide Conferences.
- h. Printed material about the suggestion system. Excludes memorandums from the division director, and specific suggestions.
- i. Material about induction, office, and other training courses; classes and workshops; and lists of participants. Excludes training courses for purchasing agents and replacement training or any material pertaining to the development of training plans and programs, or the plans, outlines, and programs themselves.

4. Budget and Accounting

- a. TVA Financial Statements.
- b. Accounts payable file, consisting of correspondence with vendors regarding invoices.
- c. Material about year-end closing, including unnumbered form, Commitments Not Covered by Purchase Orders.
- d. Estimates of office equipment, supplies, and space including form 4759, Estimated Requirements for Office Equipment, and form 4759A, Estimated Changes in Space Requirements; estimates of transportation equipment including form 4760, Estimated Requirements for Vehicle Use.

I.5. ROUTINE FILE DATA TO BE CODED FOR TEMPORARY RETENTION AND DESTROYED AFTER 2 FISCAL YEARS (DOES NOT INCLUDE POLICY OR PROCEDURAL INFORMATION) (continued)

4. Budget and Accounting (continued)

- e. Material about classification of accounts from the Planning and Procedures Staff, Division of the Comptroller.
- f. Material about time and payroll accounting details.

5. Office Service

- a. Material about stenographic, clerical, reproduction, and records services. Excludes service complaints, file surveys, and audit reports.
- b. All material about telephone, telegraph, and mail service, except copies of contracts for telephone service which are still in effect, and service complaints.
- c. Correspondence and forms concerning office space.

6. Transportation Service and Travel

- a. Correspondence and forms about travel; mileage reports; itineraries for trips; courtesies exchanged after trips; hotel and pullman reservations; and flight schedules.
- b. Vehicular assignments and transfers.

7. Public Relations

- a. Library services including Index of TVA News; library accessions; Weekly News Letter, news releases and clippings not directly related to the Purchasing division program; bibliographies; requests for, transmittals, and acknowledgments of publications and reprints.
- b. Correspondence about speeches and articles; preliminary drafts of speeches and articles prepared by the Division of Purchasing; and arrangements for speaking engagements. Information copies of speeches and articles. Excludes appraisals of speeches and articles prepared by the Division of Purchasing.
- c. Correspondence regarding motion picture films, slides, negatives, and prints.
- d. Correspondence about social gatherings, dedications, etc.
- e. Correspondence about arrangements, itineraries, and schedules for visitors, and courtesies exchanged.

I.5. ROUTINE FILE DATA TO BE CODED FOR TEMPORARY RETENTION AND DESTROYED AFTER 2 FISCAL YEARS (DOES NOT INCLUDE POLICY OR PROCEDURAL INFORMATION) (continued)

8. Health and Safety

- a. Correspondence and printed material about preventive medicine such as immunization schedules, X-ray schedules; treatment of injuries and accidents; and medical services available, such as physical examinations, entrance, in-service, and termination.
- b. Vehicular Accident Bulletins; Safety Bulletins; Chargeable Injury Experience.
- c. Correspondence and printed material about first aid training.

9. Materials, Equipment, and Real Property

- a. Routine publications and releases from railroad companies, coal companies, cement companies, steel companies, and other outside organizations. Excludes publications in which directories are listed or regulations still in effect which apply directly to the Division of Purchasing functions and/or policies; for example, releases from GSA, Department of Labor, etc., which support or influence the division functions.
- b. Requests for general information and informational materials, transmittal replies, and routine acknowledgements. Excludes correspondence involving research.
- c. Correspondence requesting changes to lists of items available for purchase from GSA.
- d. Reports of visits to plants to discuss delivery schedules, fabrication, etc., and correspondence between Purchasing and other divisions and contractors about routine procurement matters.
- e. Routine correspondence about claims, freight bills, carriers' bills, and bills of lading; transmittals of Standard Form 1103, U. S. Government Bills of Lading; converted Government Bill of Lading from Commercial Bills of Lading; and Std. Forms 1106, Freight Waybill, and related papers; S.F. 1108, Certificate in Lieu of Lost U. S. Government Bills of Lading.
- f. Proceedings of meetings of Southeast Shippers Advisory Board and Regional Shippers Advisory Board Quarterly Report of Car Requirements.
- g. Correspondence with railway companies about recorded light weight on cars, including Form 9697, Tare Weight Requests.

I.5. ROUTINE FILE DATA TO BE CODED FOR TEMPORARY RETENTION AND DESTROYED
AFTER 2 FISCAL YEARS (DOES NOT INCLUDE POLICY OR PROCEDURAL
INFORMATION) (continued)

9. Materials, Equipment, and Real Property (continued)

- h. Monthly and semimonthly reports about coal receipts for steam plants.
- i. Monthly reports about summary of coal terminal activities (in transit inventories).
- j. Material about shipment of surplus materials and equipment sold by TVA.
- k. Weekly announcements about freight rates to be used in evaluating spot coal offers received.
- l. DD Form 1089, Movement of Military Interchange Railroad Cars.
- m. Transport Economics, monthly publication of Interstate Commerce Commission, and Railroad Coal Car Distribution Bulletin, monthly publication of railway companies, and Marine Engineering Log.
- n. Notice to Navigation Interests, published by Corps of Engineers.
- o. Routine printed material from railway associations.
- p. Embargo notices.
- q. Letters and advertisements from organizations promoting transportation services.
- r. Material about office machines in use.
- s. Contracts and supplements covering sale of fertilizer and related material, including Form 5676, Acknowledgement of Order-Contract of Sale.
- t. Material about railway rate proposals sent to the Traffic Branch from the Southern Freight Association covering shipment of coal.
- u. Information copies of barge rate proposals sent to the Traffic Branch from the Waterways Freight Bureau.
- v. Request for tariffs.
- w. Monthly report of foreign purchases awarded and the transmittal letters.

I. RECORDS COMMON TO MOST OFFICES
PART B - NONRECORD SERIES

I.5. ROUTINE FILE DATA TO BE CODED FOR TEMPORARY RETENTION AND DESTROYED
AFTER 2 FISCAL YEARS (DOES NOT INCLUDE POLICY OR PROCEDURAL
INFORMATION) (continued)

9. Materials, Equipment, and Real Property (continued)

- x. Routine correspondence concerning railway car reconsignment and reshipment.
- y. Monthly reports of tonnage transported under existing section 22 quotations requiring movements of annual volumes of coal. (These reports are superseded by annual reports.)
- z. White onionskin copies of lists of OSSD or D reports sent to the Division of Fossil and Hydro Power by the Power Plant Superintendents.