

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO: <b>GENERAL SERVICES ADMINISTRATION</b> <b>NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408</b>		JOB NO. <b>NI-142-87-13</b>	DATE RECEIVED <b>9-14-87</b>
1. FROM <i>(Agency or establishment)</i> <b>TENNESSEE VALLEY AUTHORITY</b>		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION <b>OFFICE OF POWER</b>		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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER <b>RONALD E. BREWER</b>	5. TELEPHONE EXT. <b>(615) 751-2520</b>	DATE <b>11-23-87</b>	ARCHIVIST OF THE UNITED STATES <i>Frank A. Brewer</i>
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 \_\_\_\_\_ 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 <b>8/27/87</b>	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>Ronald E. Brewer</i>	D. TITLE <b>ASSISTANT TVA ARCHIVIST</b>
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7. ITEM NO.	8. DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN <i>(NARS USE ONLY)</i>
	<p><u>ADDITION TO THE POWER PROGRAM FUNCTION</u></p> <p><u>COMPREHENSIVE RECORDS SCHEDULE (CRS)</u></p> <p>The attached is a revision to the ARMS' and RIMS' sections of the Power Program Function CRS. Added to each of the sections is a disposition for paper copies not filmed.</p>		

I. PRE-ARMS/ARMS/RIMS (continued)

I.2. ARMS (Automated Records Management System)

On January 1, 1979, the Automated Records Management System (ARMS) was established and became the official record system for the Office of Power and all record copies were microfilmed under the system.

Documents submitted by the Office of Power (POWER) to the Automated Records Management System (ARMS) were evaluated, microfilmed, and indexed into the central site computer. The permanent record may be stored on 16mm roll microfilm or 105mm microfiche and/or hard copy. The microfilming may be done randomly or as a unit (batch) depending on organizational requirements. The computerized index provides multiple access points to the location of the record on microfilm.

TVA's Office of Power had the responsibility of providing an ample supply of reliable energy at the lowest possible cost to over 2.8 million consumers in parts of seven states. POWER records reflect the development of plans, policies, and programs which are necessary to meet the current demands for power as well as for the forecasting and plans for meeting future power needs in the 7-state Valley Region.

ARMS's records relate to the following functions or programs for which POWER was responsible:

- o ADMINISTRATION, personnel, information services, legal policies, health and safety, contracts, computer programs and systems development, training policies, and activities.
- o CONSERVATION & ENERGY MANAGEMENT, home insulation, heat pump financing, low-income initiatives, Commercial & Industrial program, thermal storage, cycling programs, solar energy, solar buildings, solar water heaters, wood heaters, biomass, etc.
- o ENERGY DEMONSTRATION & TECHNOLOGY, identification of research, development and demonstration programs/projects in environmental science and technology, fossil power generation, nuclear power generation, electric power transmission systems, efficient electricity, and use technologies.
- o ENERGY SUPPLY
  - Operations Support, development of systems to provide centralized materials management, engineering laboratory services, engineering and project review, storeroom operations and repair, and maintenance services in support of the TVA power system.

I. PRE-ARMS/ARMS/RIMS (continued)

I.2. ARMS (Automated Records Management System) (continued)

- Transmission System Engineering, planning, design, and construction of all new transmission lines, communication facilities, substations, and related facilities of the TVA power system. Provisions for initial clearing of rights-of-way for new transmission lines and communication facilities. Alterations and maintenance services to structures and utilities throughout the power system.
  - o ENERGY USE AND DISTRIBUTOR RELATIONS, formulation of policies and programs for the contractual distribution of TVA power and implementation of conservation and utility rate policies. Application of rates and development of power supply arrangements while ensuring efficient use of electric energy in power supply. Administration of all contracts relating to the sale, resale, purchase, and interchange of TVA power with power customers, including distributors of TVA power, directly served industries, Federal agencies, and other TVA divisions and neighboring utilities using TVA power.
  - o FINANCIAL MANAGEMENT, financial planning and budgeting for power programs, cost and accounting activities, bonds, funds, rates, and taxes.
  - o FUELS AND FUEL HANDLING
    - Fossil Fuels, coal reserves and receiving procedures, limestone supply and demand, oil purchase programs, adequacy of fossil fuel resources, technological studies of factors affecting costs of fuel production and transportation, provisions necessary for compliance with air quality standards.
    - Nuclear Fuels, nuclear fuel cycle design and supply activities, nuclear unit refueling, fuel cycle services, such as conversion, enrichment, fabrication, transportation, and spent fuel storage.
    - Uranium Concentrates, processing and procuring uranium, uranium reserve acquisition, environmental evaluation reports and impact statements for mineral rights, mining and milling operations, and contractor activities.
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I. PRE-ARMS/ARMS/RIMS (continued)

I.2. ARMS (Automated Records Management System) (continued)

o POWER OPERATIONS

- Fossil and Hydro Power, operation and maintenance of all TVA hydro-electric, fossil-fuel and steam-electric generating plants and appurtenance facilities. The objective is safe, efficient, and environmentally sound operations of the plants.
- Nuclear Power, operation and maintenance of TVA nuclear generating plants and appurtenant facilities. Ensuring that nuclear production activities comply with Nuclear Regulatory Commission operating license and established standards and requirements. Development of programs in the areas of quality assurance and compliance, health physics, emergency preparedness and protection, industrial safety, and training.
- Power System Operations, operation and maintenance of the transmission and communication system network to deliver power from sources of supply to delivery points serving power contractors. Determination of system loading dispatching performance, provision of relaying protection and field test, and maintenance services.

Office of Coal Gasification records began to be accumulated in October 1979 in the Office of Power with the inception of the Fuel Cells Unit in the Division of Energy Demonstration and Technology. Records previous to October 1979 relating to Coal Gasification were handled by the Division of Energy Demonstrations and Technology. (See Item I.1E). Beginning January 1, 1979, all material was filmed under the ARMS system. Prior to January 1, 1979, all copies were filed in the division file of the Division of Energy Demonstrations and Technology.

Because of retrieval convenience and oversize document format, certain voluminous records of long-term value and attachments to records are indexed in the computer but are not microfilmed as part of the system and will be retained in hard copy.

Certain records, mostly quality assurance documents, created prior to January 1, 1979, documenting functions or programs of POWER are microfilmed and indexed as part of the ARMS system (see NCI-142-82-13).

I. PRE-ARMS/ARMS/RIMS (continued)

I.2. ARMS (Automated Records Management System) (continued)

DISPOSITION

1. Paper Copies

~~A. Filmed~~

~~Destroy when microfilm has been verified.~~

B. Not filmed

Permanent. Transfer to the National Archives, Atlanta Branch, when 25 years old.

~~C. All Other Copies~~

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

~~2. Microfilm - (Documents are arranged chronologically on film; film is arranged by roll number; approximate annual accumulation 100 rolls/yr.)~~

~~A. Record Copy~~

~~Silver original and 1 duplicate copy (silver duplicate)~~

~~Permanent. Transfer Quarterly to Federal Records Center, East Point, Georgia. Transfer to the National Archives at end of CY when 25 years old.~~

~~B. All other copies~~

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

~~(NCl-142-82-13, Item B 1 and 2)~~

3. Computer Output Microfiche Index (Cumulative)

A. TVA copy

Destroy in Agency when superseded.

B. NARA copy

Transfer latest copy annually (when 25 years old) to the National Archives with related film. NARA will retain as finding aid until superseded, then destroy.

(NCl-142-82-13, Item C 1 and 2)

I. PRE-ARMS/ARMS/RIMS (continued)N.2. ARMS (Automated Records Management System) (continued)DISPOSITION (continued)

## 4. Computerized Index (Cumulative)

## A. TVA copy

Destroy in Agency when superseded.

## B. Record copy

Permanent. Transfer annually (when 25 years old) from disc to magnetic tape and send to NARA along with related film.

(NCl-142-82-13, Item D 1 and 2)

## 5. All manuals, procedural indexes, guides, documentation and any necessary information retrieval routines

Transfer to NARA the current version with related film. NARA to destroy when superseded.

(NCl-142-82-13, Item E)

(This certifies that the records described on this form will be microfilmed in accordance with the standards set forth in 41 CFR 101-11-506.)

I.3. RIMS (Records Information Management System)

The Office of Power and the Office of Nuclear Power plan and manage the electrical energy supply programs to meet the requirements of the power service area consistent with the TVA Act, taking into consideration social, conservation, environmental, economic, safety, and lowest possible cost objectives. They are responsible for the safe and economical operation and maintenance of power system generation, transmission, and communication facilities. They promote and demonstrate the most efficient utilization of electrical energy and plans and manages energy conservation programs including demonstration programs. They plan and manage demonstration applications of new technologies in solar and other energy sources and generation, storage, transmission, and use of energy.

They provide or obtain the architectural and engineering design and the construction of all permanent structures and permanent engineering works required in carrying out TVA's objectives, except as delegated to the Office of Agricultural and Chemical Development. They also provide general engineering services, geological, and other technical data and services for use in carrying out TVA programs.

I. PRE-ARMS/ARMS/RIMS (continued)

I.3. RIMS (Records Information Management System) (continued)

On September 28, 1984, the Office of Power and the Office of Engineering Design and Construction officially merged to form one organization named Power and Engineering. On January 13, 1986, the Power and Engineering organization split into two new organizations. Everything associated with the production of nuclear power was combined into the Office of Nuclear Power. All other power production activities were combined into the Office of Power.

On January 1, 1986, the Automated Records Management System (ARMS) (Permanent NCI-142-82-13) for the Office of Power and the Management and Engineering Data Systems (MEDS) (Disposable NCI-142-77-8) for the Office of Engineering Design and Construction became an integrated automated records system known as the Records and Information Management System (RIMS).

The records series will be entered into one of two data bases managed by RIMS.\* The records are stored on 16mm roll microfilm with the record indexes maintained in computerized data bases.

The RIMS data bases are structured, organized collections of data utilizing INQUIRE, a data base software package produce by Infodata Systems Inc. Retrievals to the data base are done through an INQUIRE user language, a simple English-like language to communicate information requests to INQUIRE.

Documents from the Office of Power that were indexed prior to January 1986 are stored on the System 2000 data base. System 2000 is a general purpose data base management software package. Retrievals to this data base are done using System 2000 retrieval language. Documents from the Office of Engineering Design and Construction indexed prior to January 1986 are stored on the INQUIRE data base.

\*Nuclear plant construction site quality assurance records are microfilmed separately and record indexes are maintained in a separate data base.

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I. PRE-ARMS/ARMS/RIMS (continued)

I.3. RIMS (Records Information Management System) (continued)

DESCRIPTION OF RECORDS

A. Administrative Records

Copies of TVA office and division administrative records. Example: policy statements, directives, organization changes, management planning, and program documents, including technical papers; speeches and articles prepared by Office of Power and Office of Nuclear Power personnel; personnel records not relating to individuals, such as records on manpower, retirement, training, employee conduct, Equal Employment Opportunity; records relating to routine security matters, such as access to nuclear plants, thefts, building security, radiation film badges, visitors' badges, plans of activities for security and nonmilitary defense activities; safety and health records, such as correspondence on employee compensation cases, Hazard Control Plan, bomb threats, traumatic injuries, TVA safety program and reports, safety reports and correspondence to and from OSHA, public safety programs, such as water safety, fire protection, building audits, inspections, emergency plans, safety instructions, eyewear and footwear, safety meetings, etc.; news releases; minutes of meetings; union records including agreements, assignments, classifications, and jurisdictions, monthly program items, reports, legislation, etc.

B. Financial Planning and Budgeting Records

Execution of approved financial and budget plans for the power program; appraisals of the financial results of the power program and forecasts of borrowing and revenue requirements; studies and data on general economic and financial conditions, and their effect on the power program; the overall budget and multiyear financial plan for the power program; forecasts of cash flow and short-term cash needs; analyses; accounting records, including audits; cost analysis and reports; journal vouchers; field vouchers; voucher registers, invoices; appraisals of the impact of probable losses from property and liability risks on the financial test in TVA's basic bond resolution.

C. Office Level Procedures

Engineering procedures, administrative instructions, construction specifications, design guides and standards, design criteria documents, QA program procedures, nuclear



I. PRE-ARMS/ARMS/RIMS (continued)

I 3. RIMS (Records Information Management System) (continued)

C. Office Level Procedures (continued)

services construction procedures, quality control instructions, construction engineering procedures, and receiving, storage, preventive maintenance, and inspection instructions (RSPMI's); laboratory and construction site procedures, such as construction procedures, inspection and testing instructions, quality control procedures, and standard operating procedures.

D. Future Site and Generation Capacity Data

Planning and site evaluations (advantages and disadvantages of each site under consideration) for future sites; general information on future sites; site investigations - soils and foundation rocks, core drill holes, data and logs; geologic logs; preliminary plans, design, construction and costs factors between alternative generating plant sites based on the above information and summaries prepared for use in recommendations.

E. Research and Development

Developments and improvements in methods and facilities relevant to the broad field of electric power supply; information on research projects which offer promise of benefits to the power program; policies on power research activities; information on major experimental, developmental or demonstration projects; assistance on nuclear research matters related to new developments in the nuclear power field; research work done within TVA or by contract with outside organizations; reviews of arrangements involving the expenditure of power funds in research activities; research programs for the development of environmental technology, including stack gas and particulate removal, heated condenser water discharge, radiological releases, solid waste utilization, etc.

F. Contract Records

On permanent material or construction temporary equipment used in meeting QA requirements for nuclear plants (e.g., calibration and testing equipment), including requisitions, price schedules, contracts, bid receipts, inspection reports, reply memorandums, addenda, receiving reports, indefinite quantity term contracts, shipping tickets, interproject transfer orders, memoranda, vendor letters and specifications, requests for delivery, recommendations for award of contract, and changes of contracts;

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I. PRE-ARMS/ARMS/RIMS (continued)

I.3. RIMS (Records Information Management System) (continued)

F. Contract Records (continued)

contracts with counties, states, and municipalities; contracts and accompanying agreements, status reports, and invoices, including copies of correspondence related to consultants' meetings and architectural engineering functions; personal service contracts; negotiations and administration of contracts for exploration, mining and milling services required to produce uranium concentrates from reserves; acquisition of an adequate supply of nuclear raw materials.

G. Nuclear Compliance Records

Pertains to advice to the Manager of Nuclear Power on the adequacy of TVA's nuclear safety policies and programs and their implementation; and assurance that TVA is in compliance with regulatory requirements of the Nuclear Regulatory Commission (NRC) and other agencies. Examples include: QA audits, investigations of nuclear incidents or accidents; periodic reviews and inspections; and nonconformance reports made by the NRC.

H. Inspecting and Testing of Quality Control Records

Manufacturer's data sheets and equipment testing data; TVA inspection reports of manufacturing plant inspections; plant surveys considered to be QA audits of manufacturing plants; results of tests on equipment; specifications; test reports and related correspondence; documentation verifying that vendors have met contractual QA requirements; test reports on welding and other welding documentation; sequence control charts; concrete and soils laboratory test sheets and tabulations; concrete test specimen data; field mixed concrete test specimen data; soil investigations; rock testing information; certifications on critical structures, features, systems, and equipment; and quality control records on conduit, cables, cable insulation, and cable trays.

I. General Engineering Design, Construction, and Operational Records

Created or received in connection with planning, constructing, and operating specific projects, including project authorizations and supporting papers; nuclear material and fuel licenses, reload licenses, special project licenses, and operating licenses for the nuclear facilities; documents related to licenses or permits for facilities; preoperational tests; post-modification tests; noncritical systems tests;

I. PRE-ARMS/ARMS/RIMS (continued)

I.3. RIMS (Records Information Management System) (continued)

I. General Engineering Design, Construction, and Operational Records (continued)

field change requests; deviation requests; nonconformance reports; significant condition reports; engineering change notices; design philosophy improvement requests; design change requests; cost and estimating studies; studies and analyses of projects; studies and reports pertaining to the dam safety program; and relocation of existing structure, such as highways, railroads, and bridges.

J. Engineering Design Records

Architectural design records; electrical design records; mechanical design records; civil design and analysis records; design computations; design calculations and analyses; design specifications; structural steel and bridge design records; and codes, standards, and other documents referenced or used as a basis in the design and construction of projects.

K. Construction Project Records of Long-Term Value

Such as certification and training records for plant employees; dredging reports; startup records; weld data sheets and reports; excavation records; pile driving records; reports of NRC inspection visits; force reports; environmental monitoring station records; project integrity records; reactor vessel installation documentation; drilling records; grouting documentation; stress relieving charts on steam generating equipment, turbogenerators, and principal piping; calibration records for measuring and test equipment; surface preparation records; reports of earthfill and rockfill replacement; fuel pool records; records covering repairs and maintenance; records relating to permanent material used during construction including equipment transfer records, installation records, test results and reports; verification records, checklists or logs documenting that material is acceptable; inspection and examination records; production estimates final classification of accounts; warehouse annual inventory reports: daily, weekly, monthly, and annual progress reports.

L. Automatic Data Processing Related Records

Plans, developments, and coordination of systems and ADP activities among divisions and staffs; identification and

I. PRE-ARMS/ARMS/RIMS (continued)

I.3. RIMS (Records Information Management System) (continued)

L. Automatic Data Processing Related Records (continued)

evaluation of systems opportunities and plans for control of the systems development work to ensure that activities utilize available resources; development and documentation of programs and systems; and information on programming, system analysis, and software maintenance support to all Power and Office of Nuclear Power divisions and staffs.

M. Transmission System Construction Records

Records pertaining to the construction of all new transmission lines, communication lines, substations and related facilities; records concerning major additions to and rehabilitation of existing lines, substations and related facilities of the power system; and information on the initial clearing of rights of way for new transmission lines and communication facilities.

N. Transmission System Operating Records

Substation and transmission line logs; system operator's daily logs and reports of operation; storage battery and other equipment logs and records; interruption logs and reports; records of substation general inspections and operation tests; apparatus failure reports, line-trouble reports and records; lightning and storm data; insulator test records; records of meter test; meter history records; transformer history records; records of transformer inspections, oil tests, etc.; pole, tower, structure, equipment and other history records, and substation recording instrument charts.

O. Transmission System Maintenance Records

Transformer records; relay tests, and inspection reports; power circuit breaker inspections and tests; transmission line of right-of-way inspections, maintenance, and chemical application reports; various equipment test reports; substation inspection and correction reports; oil test records; oil circuit breakers - repair parts data; and records of transmission line defects.

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I. PRE-ARMS/ARMS/RIMS (continued)I.3. RIMS (Records Information Management System) (continued)P. Power Generating Plant Operation and Maintenance Correspondence

Review and analysis of log sheets; reports; test results; operating procedures and instructions; operating and engineering data; surveillance procedures; development of major maintenance schedules; standards for coal quality through sampling; testing and reporting procedures; coal handling procedures and techniques; scheduled maintenance and nonscheduled outages; alterations to existing plants; planning and design records of mechanical and electrical installations involved in minor plant additions and changes; retirements at all generating plants; technical studies of ways of improving thermal efficiency of power generation; recommendation on proper course of action possibly involving modification of equipment, purchase of new equipment, or changes in operating procedures; procedures for all onsite nuclear fuel operations within the scope of the overall power system nuclear-fuel management plans; major mechanical and electrical maintenance and inspection program of power generating units; maintenance standards, techniques, and methods; and alterations to larger more complex steam and hydro turbines and generating equipment during an emergency.

Q. Power System Records Pertaining to Planning, Engineering, and Operation of the Transmission and Communication System

Determinations of system loading; dispatching, and provisions for relaying, protection, test and maintenance services; information on siting feasibility assessments for transmission lines, substations, and switching stations to ensure that environmental concerns are properly addressed in transmission system plans.

R. Power Marketing Records

Records pertaining to the marketing of TVA power in accordance with power program objectives, initiation and implementation of programs to encourage the efficient use of electricity at the lowest feasible cost and the use of power as a tool in regional development of systems and procedures for analysis of the power market and for forecasting the future power requirements and expected revenue from power sales in the TVA service area; initiation, negotiation and administration of all contracts relating to the sale, resale, and interchange of TVA power with power customers, including distributors of TVA power, directly served industries, Federal agencies and other TVA divisions using TVA power, and also with neighboring utilities; and arrangements for and coordination of the participation of other TVA divisions and of outside agencies in matters affecting the marketing of power.

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I. < PRE-ARMS/ARMS/RIMS (continued)I.3. RIMS (Records Information Management System) (continued)S. Energy Conservation Management Records

Records pertaining to the Energy Conservation Program, policy changes, and assessment of program achievements. Some of the programs are home insulation, heat pump financing, low-income initiatives, commercial and industrial program, thermal storage, cycling programs, solar energy, solar buildings, solar water heaters, wood heaters, biomass, etc.

DISPOSITION

## 1. Paper Records

~~A. Filmed.~~

~~Destroy when microfilm has been verified.~~

## B. Not filmed

Permanent. Transfer to the National Archives, Atlanta Branch, when 25 years old.

~~C. All Other Copies~~

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

~~2. Microfilm~~~~A. Record Copy~~

~~Permanent. Transfer one silver halide negative<sup>1</sup> and one diazo copy to Federal Records Center semiannually. Transfer to National Archives when 25 years old.~~

This certifies that the records described above will be microfilmed in accordance with the standards set forth in 36 CFR Part 1230.

~~B. All other copies~~

~~Destroy in agency when no longer needed for administrative use.~~

(N1-142-86-5, Item B 1 and 2)

I. PRE-ARMS/ARMS/RIMS (continued)

I.3. RIMS (Records Information Management System) (continued)

DISPOSITION (continued)

3. Computerized index to microimages

A. Index

Permanent. Transfer each annual cumulation to National Archives annually at close of calendar year.

B. Documentation

Permanent. Transfer to National Archives with first annual cumulation of index cited in disposition number 3A (above).

(N1-142-86-5, Item C 1 and 2)

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