

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

LEAVE BLANK

JOB NO.

*N1-142-88-18*

DATE RECEIVED

*9/6/88*

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

NOTIFICATION TO AGENCY

1. FROM (Agency or establishment)

Tennessee Valley Authority

2. MAJOR SUBDIVISION

Office of Corporate Services

3. MINOR SUBDIVISION

Division of Medical Services

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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

*whom*  
Ronald E. Brewer

5. TELEPHONE EXT.

615/751-2520

DATE

*10/5/89*

ARCHIVIST OF THE UNITED STATES

*[Signature]*

5. 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

C. SIGNATURE OF AGENCY REPRESENTATIVE

D. TITLE

*8/29/88*

*Ronald E. Brewer*

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 GRS OR SUPERSEDED JOB CITATION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)

See the attached addition to the Comprehensive Records Schedule for the Division of Medical Services, Behavioral Sciences Branch.

VI.1 Psychological Case Records

VI.2 Employee Assistance Program Files

All changes to this proposed schedule have been approved by:

*Richard W. Murray* 9/27/89 NARA appraiser date  
*Ronald E. Brewer* 9/21/89 Agency Representative date

The Behavioral Sciences Branch develops, coordinates, implements, and evaluates agency plans to promote mental health and effective placement of TVA employees; improve employee productivity through the identification and resolution of psychological and behavioral problems; and provide professional counseling or assistance for employees with health or job-related physical impairments. It assists TVA physicians in assessing mental health and capacity-for-duty of employees or applicants for employment who present a history of emotional or behavioral problems.

The Psychological Services Section assists operating divisions by managing procedures to ensure TVA's compliance with Federal regulations requiring psychological screening of employees needing clearances for sensitive positions, such as public safety officers, nuclear reactor operators, and individuals who need unescorted access to nuclear plants prior to their assignment to security sensitive positions such as those in nuclear power plants. Employees needing clearances routinely take the Minnesota Multiphasic Personality Inventory (MMPI) psychological test which provides information on several different psychological conditions, one of which is depression.

It also performs fitness-for-duty examinations upon referral by TVA physicians of employees suspected of work impairment due to psychological disorders. This section also consults with TVA managers concerning behaviors which disrupt productivity in the workplace and may assist employees through individual health counseling when such service minimizes disability and lost time.

The Employee Assistance Program Section provides employee counseling and referral to community assistance or treatment centers for employees experiencing substance abuse, financial, marital, or other similar problems. It provides consultation to managers and supervisors when personal or emotional difficulties impair the work performance or attendance of employees. This section also consults with TVA physician regarding fitness for duty and severity of chemical and other drug misuse problems among employees.

## VI.1 PSYCHOLOGICAL CASE RECORDS

Psychological case records are records on employees and candidates for employment who have been seen for clinical purposes. TVA, as part of its psychological screening program, presently utilizes the Minnesota Multiphasic Personality Inventory (MMPI) as an instrument in assessing an individual's current psychological functioning. The MMPI is used in evaluations for unescorted nuclear plant access, nuclear reactor operator licensure, and public safety officer positions. Psychological evaluation records are required for these positions under ANSI/ANS 3.3 - 1982m ANSI/ANS 3.4 1983, 10 CFR 73, Appendix B, Section 1.B.2(1-1-85 Edition) and 10 CFR 55.11, Paragraph A(1).

This series contains information relating to both psychological evaluations required by ANSI and 10 CFR and psychological counseling relating to other behavioral situations affecting job performance and includes test profiles, case notes, release of information forms, communication with physicians or psychologist, and various other forms.

Psychological evaluation records are a vital supplement to the employee's medical record (NCI-42-82-4), although filed independently from it. Individuals are psychologically evaluated at the time they initially apply for unescorted access clearance for duty as a public safety officer or for duty as an NRC-licensed plant operator. Individuals with unescorted access clearance are not psychologically re-evaluated unless there has been an episode of potential emotional instability or their clearance has expired. All individuals with clearance are re-evaluated as requested by management.

Psychological records are microfilmed after the case is closed. One silver original and one diazo duplicate are produced. The silver original is maintained in the Behavioral Science Branch in Chattanooga. The diazo copy is maintained in the Behavioral Science Branch office in Knoxville. The microfiche is filed alphabetically by persons' name. The paper copy is sent to the Chattanooga Records Center upon verification of the microfilm and will be destroyed upon approval of this authorization. The MMPI answer sheets are not microfilmed, but are transferred to the Chattanooga Records Center and maintained for a period of 15 years.

DISPOSITION

## A. Paper

## 1. Case Files

Destroy by shredding when microfilm has been verified.

## 2. Minnesota Multiphasic Personality Inventory (MMPI) Answer Sheet

Destroy by shredding when MMPI answer sheet is superseded or when 15 years old whichever is sooner.

## VI.1 PSYCHOLOGICAL CASE RECORDS (continued)

DISPOSITION (continued)

## B. Microfilm

## 1. Silver Original

Destroy in agency by shredding 40 years after termination of employment.

## 2. Diazo copy

Destroy by shredding when updated or when no longer needed for administrative purposes.

## VI.2 EMPLOYEE ASSISTANCE PROGRAM FILES

The Alcohol and Drug Dependency Program was expanded in July 1983 to include psychological and social problems. At that time the Alcohol and Drug Dependency Files were renamed Employee Assistance Program Files.

Counselors for the Employee Assistance Program evaluate clients when they are referred to Medical Services. Information from the client is entered on form TVA 9169, Employee Assistance Program Case Open form. After the initial evaluation, an evaluation is conducted every 30 days for 6 months if a case is nonchemical. A different form is used monthly to record each evaluation. This information is used for reference by the counselors to show progress of the client. Form 9172 is used to record when case is closed. Form 9175 is used when case is transferred from one counselor to another. Information the counselor deems pertinent is taken from the forms and entered into the client's medical record for use by the physicians. The medical records are scheduled under NCI-42-82-4.

The information from the different employee assistance forms are entered onto computer disk after each evaluation is conducted. Every 5 years the information is transferred to magnetic tape and the disk is purged. The magnetic tape is stored in the TVA Data Center in a temperature and humidity controlled environment. Printouts are distributed three places: section supervisor, counselors, and the employee assistance section internal files. Printouts distributed are: daily updated reports, division report, final evaluation, health station visit by case, new cases by category, residential referral cost, client flow, client evaluation, cases open over 7 months, evaluations due, case type, and penetration rate.

VI.2 EMPLOYEE ASSISTANCE PROGRAM FILES (continued)

DISPOSITION

A. Paper Case Files

Destroy in agency six years after case is closed

(GRS 1, Item 21)

B. Disk

Transfer information to magnetic tape every 5 years.

C. Magnetic Tape

Destroy when program is discontinued.

D. Computer Reports

~~Destroy in agency when superseded or no longer needed for reference,  
whichever is sooner.~~

1) Plant Penetration Rate and Client Evaluation reports.

PERMANENT. Transfer to the National Archives in 5 year blocks  
when 5 years old.

2) All other reports generated by this system.

Destroy in agency when superseded or no longer needed for reference,  
whichever is sooner.