

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK

JOB NO.

N1-142-90-11

DATE RECEIVED

4/24/90

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

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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

1. FROM (Agency or establishment)

Tennessee Valley Authority

2. MAJOR SUBDIVISION

Information Services

3. MINOR SUBDIVISION

Records Information Management System (RIMS)

4. NAME OF PERSON WITH WHOM TO CONFER

whom
Ronald E. Brewer

5. TELEPHONE EXT.

615-751-2520

DATE

1-31-91

ARCHIVIST OF THE UNITED STATES

WITHDRAWN

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 C. SIGNATURE OF AGENCY REPRESENTATIVE D. TITLE

4/20/90

Ronald E. Brewer

TVA Archivist

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 GRS OR SUPERSEDED JOB CITATION	10.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>
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1. Revision to the Records Information Management System (RIMS).

N1-142-87-13

WITHDRAWN

Management of the RIMS system was transferred from Power to Information Services (IS) in April 1989. The April 1989 reorganization also moved the voice and data telecommunications and records management policy functions from Facilities and Services to IS. Effective October 1, 1990, RIMS will report to Corporate Records Management, IS. Effective May 1, 1990, the official correspondence for IS will be filmed and indexed into RIMS.

On January 1, 1986, the Automated Records Management System (ARMS) for the Office of Power (Permanent NC1-142-82-13) and the Management and Engineering Data Systems (MEDS) for the Office of Engineering Design and Construction (Disposable NC1-142-77-8) became an integrated automated records system known as the Records and Information Management System (RIMS).

The record series will be entered into multiple 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 product 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.

In September 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.

The TVA reorganization that became effective July 1, 1988, resulted in the renaming of the Office of Power and the Office of Nuclear Power to groups called Power and Nuclear Power.

The responsibilities of the two groups are as follows:

1. Power plans and manages TVA's electrical energy supply programs to meet the requirements of the power service area. It is responsible for planning and arranging for financing of TVA's power system to provide an adequate and reliable power supply. It forecasts the future power supply and transmission needs of the power system and makes plans for meeting those needs, including identification of need for generating and transmission facilities. It designs electric rate schedules and is responsible for relations with distributors of TVA power and directly-served customers.
2. Nuclear Power is responsible for the safe operation of nuclear plants and for compliance with TVA policy on safety and quality and with regulatory requirements at each site beginning with licensing of the first unit. The office plans and manages the nuclear energy supply programs to meet the requirements of the power program consistent with social, environmental, economic, safety, and quality objectives at the lowest possible cost. It develops plans that affect the nuclear power program interests.

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

Management of the RIMS system was transferred from Power to Information Services (IS) in April 1989. The April 1989 reorganization also moved the Telecommunications and Corporate Records Management functions from Facilities and Services to IS. Effective October 1, 1990, RIMS will report to Corporate Records Management, IS. Effective May 1, 1990, all official correspondence for IS will be filmed and indexed into RIMS.

The IS correspondence file, excluding the Telecommunications and Corporate Records Management functions, was previously approved as permanent under NARA Job No. NC1-142-85-14, Item 1. The correspondence for Telecommunications and Corporate Records Management was previously covered by NARA Job No. N1-142-86-1. IS manages TVA's information resources helping to achieve the agency's goals by adding value to its programs through effective deployment of personnel and technologies in a cost-effective manner. IS is responsible for TVA's computing systems, automatic data processing, voice and data telecommunications, and corporate records management.

IS is divided into the following groups:

Systems Development and Support (Program) has the responsibility to improve the operations of the Power, Nuclear Power, and Resource Development programs by managing the information resources and providing high quality information system products and services in a cost-effective manner.

Systems Development and Support (Corporate) provides information services to the corporate and administrative organizations in TVA; and develops, maintains, and supports the corporate information systems of the agency including materials management, human resources, finance, accounting, office systems, and other systems having TVA-wide interest and impact. It also provides consulting and assistance to all TVA information systems developers to improve the productivity and quality of the systems development and supporting activity.

Computer Operations is responsible for improving the efficiency and effectiveness of TVA's program areas through the cost-effective use of Automatic Data Processing (ADP) by managing, maintaining, and operating Information Services' ADP facilities and services for general use by all TVA organizations and contractors working directly for TVA.

Telecommunications provides services, equipment, and facilities to meet TVA's needs for voice and data communications. It plans, designs, operates, maintains, and manages communication resources to ensure that maximum functionality and reliability are achieved at the lowest possible cost. It promotes control and accountability for the use of communication resources in all organizations.

Corporate Records Management controls the creation, maintenance and disposition of all agency records regardless of their physical form. It is responsible for managing the agency program with direct responsibilities for policy and planning of all records management and archival administration activities.

Management Services Staff provides support services for the acquisition and management of all automatic data processing (ADP) equipment in TVA.

Planning and Control provides guidance in providing the most effective use of information technology.

IV.1. DESCRIPTION OF RECORDS IN RIMS

A. Administrative Records

Copies of TVA group, operation, and department administrative records. Example: policy statements, directives, organization changes, management planning; program documents, including technical papers; speeches and articles prepared by Power, Nuclear Power and IS 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; safety and health records; minutes of meetings; reports, legislation, etc.

B. Financial Planning and Budgeting Records

Execution of approved financial and budget plans for the power program and IS; 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; appraisals of the impact of probable losses from property and liability risks on the financial test in TVA's basic bond resolution.

C. Procedures

Group, operation, and department procedures and instructions which document programs and activities in Power, Nuclear Power, and IS. Examples include but are not limited to engineering, construction, operation, quality assurance, ADP, computing systems, voice and data telecommunications, corporate records management, administration, etc.

D. 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.

IV.1. DESCRIPTION OF RECORDS IN RIMS (continued)

E. Procurement/Contract Records

Procurement/contract records on material or construction temporary equipment used in meeting QA/non-QA requirements for generating 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; contracts with counties, states, and municipalities; power contracts; contracts and accompanying agreements, status reports, and invoices, including copies of correspondence related to consultants' meetings and architectural engineering functions; contracts for computing systems and telecommunications equipment; and personal service contracts.

F. Nuclear Compliance Records

Pertains to advice to the Senior Vice President 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.

G. 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.

IV.1. DESCRIPTION OF RECORDS IN RIMS (continued)

H. General Engineering Design, Construction, and Operational Records

Records associated with planning, constructing, and operating specific projects, including project authorizations and supporting papers; documents related to licenses or permits for facilities; preoperational tests; post-modification tests; noncritical systems tests; 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.

I. 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.

J. Construction Project Records of Long-Term Value

Certification and training records for plant employees; dredging reports; startup records; weld data sheets and reports; excavation records; pile driving records; 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.

IV.1. DESCRIPTION OF RECORDS IN RIMS (continued)

K. Automatic Data Processing Related Records

Plans, developments, and coordination of systems and ADP activities within Power, Nuclear Power, and IS; identification and 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 Power, Nuclear Power, and IS.

L. Office of Transmission System Construction Operating Records

Records pertaining to the construction and operation of 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.

M. Transmission System Maintenance Records

Transformer records; relay tests, and inspection reports; power circuit breaker inspections and tests; transmission line 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.

N. Fossil and Hydro Power Generating Plant Operation and Maintenance Records

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 or changes in operating procedures; 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.

IV.1. DESCRIPTION OF RECORDS IN RIMS (continued)

O. 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.

P. Energy Use and Distributor Relations

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, other TVA organizations using TVA power, and also with neighboring utilities; and arrangements for and coordination of the participation of other TVA organizations and of outside agencies in matters affecting the marketing of power.

Q. Conservation and Energy 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.

IV.1. DESCRIPTION OF RECORDS IN RIMS (continued)

DISPOSITION

A. Paper copies of records filmed by RIMS

1. Filmed

Destroy when microfilm has been verified.

2. Not Filmed

PERMANENT. Transfer records indexed into RIMS but not filmed dated 1986 and forward to the National Archives, Atlanta Branch, in 5-year blocks when the oldest records in the block are 25 years old. The first transfer will be in CY 2011. Estimated annual accumulation is 15 to 20 cubic feet.

3. All other copies

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

(N1-142-87-13, Item I.3(1))

B. Microfilm

1. Record Copy

PERMANENT. Transfer one silver halide negative¹ and one diazo copy to the Federal Records Center semiannually. Transfer to the National Archives at the end of the calendar year when the oldest records are 25 years old (the first transfer of the 1986 records will be at the end of CY 2011).

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

2. Security copy

Transfer one silver duplicate positive bimonthly to National Underground Storage at Boyers, Pennsylvania. Destroy in agency when no longer needed for administrative purposes.

(Nonrecord)

3. All other copies

Destroy in agency when no longer needed for administrative use.

(N1-142-86-5, Items 1.A and 1.B)

IV.1. DESCRIPTION OF RECORDS IN RIMS (continued)

DISPOSITION (continued)

C. Computerized index to microimages

1. Index

PERMANENT. Transfer from disk to magnetic tape records indexed in each calendar year. These magnetic tapes will not be software dependent and TVA will provide the National Archives with a copy of the record format. Transfer each annual accumulation to the National Archives annually at the close of each calendar year beginning at the close of CY 1987.

2. Documentation

PERMANENT. Transfer to National Archives with first annual cumulation of index cited in C.1 (above).

(N1-142-86-5, Item 1.C)

Definitions

¹The silver negative should be as close to the first generation, camera master as possible. This provides for the best resolution when making copies from the negatives. The progression of film produced is:

1. Camera Master - First generation. Silver negative. Film made from the actual documents.
2. Security Copy - Second generation. Silver positive. Film made from camera master for security purposes and stored in an offsite storage location.
3. Print Master - Second generation. Silver negative. Film made from camera master used to produce reference films for distribution throughout the agency, and one copy of this film is transferred to the National Archives.
4. Reference copies - Third generation. Diazo negative. Produced from print master for distribution and use throughout the agency.