

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-142-93-015**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 07/28/2022

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All other items remain active.

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item B.2 was superseded by N1-142-01-005, item 1.

Note: The 142-10-001 crosswalk includes a number of "items" from this schedule, but the item names do not match anything in N1-142-93-015. That crosswalk also consigns the whole RIMS package to GRS 16, item 7, which is inappropriate based on the retention periods prescribed by N1-142-93-015.

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		<b>LEAVE BLANK (NARA use only)</b>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>NI-142-93-15</i>	DATE RECEIVED <i>9-7-93</i>
1. FROM (Agency or establishment) Tennessee Valley Authority		<b>NOTIFICATION TO AGENCY</b>	
2. MAJOR SUBDIVISION Facilities Services		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION Information Support Services, Records & Information Management			
4. NAME OF PERSON WITH WHOM TO CONFER  Linda E. Blevins	5. TELEPHONE  615-751-2524	DATE ACTING ARCHIVIST OF THE UNITED STATES <i>2/28/94</i>	<i>Raymond A. Morley</i>

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

is not required;     is attached; or     has been requested.

DATE <i>8/23/93</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Linda E. Blevins</i>	TITLE Assistant TVA Archivist
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
7.	See the attached revised schedule for Records and Information Management System (RIMS). RIMS was previously approved by NARA job No. NI-142-86-5. The disposition is being revised to decrease the retention from PERMANENT for the majority of the records.		

*Copies sent to Agency NSR, ANS, NIA 3/9/94 (u)*

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 Office of Power and the Office of Engineering Design and Construction officially merged to form Power and Engineering. In January 1986, the Power and Engineering organization split into two new organizations, Office of Power and Office of Nuclear Power. RIMS was the official records system and was evaluated as a permanent system by NARA on job No. NC1-142-86-5.

In April 1989, management of the RIMS system was transferred from Power to Information Services (IS). In addition to Power and Nuclear Power records being filmed into the system, Information Services and other organizations began submitting records to RIMS. In June 1992 the management of the RIMS system was transferred out of Information Services (IS) and into Facilities Services. The project of combining multiple data bases into one data base at the nuclear sites, and the addition of far more disposable records than were anticipated when the system was scheduled as permanent, has necessitated the need to reevaluate this series. This revised schedule is to downgrade the disposition from permanent for the majority of the records filmed and indexed into RIMS.

Most records in the RIMS system are filmed randomly and have been entered into multiple data bases managed by RIMS. The records are stored on 16 mm 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.

Some series that are indexed and filmed into the RIMS system are not filmed randomly but are filmed on separate cartridges and indexed into separate data bases. Those records will be described in the owner organization's CRS, with reference that they are filmed and indexed into the RIMS system.

Organizations who submit their records to RIMS and their functions are as follows:

1. GENERATING GROUP

Fossil & Hydro Power. Each group in Fossil & Hydro submits their records to RIMS. The organizations and their functions are listed below:

Quality Office Management Staff is responsible for the planning, development, communication, training and evaluation of the total quality management processes for Fossil & Hydro Power.

Fossil Operations is responsible for the overall planning, coordination, and control of processes related to the operation of fossil generating plants.

Hydro Operations is responsible for the overall planning, coordination, and control of processes related to the operation of the hydroelectric plants.

Fossil Fuels assists in formulating and administering policies and processes for procurement of coal for power generation. This group initiates, prepares, and issues invitations to bid for coal contracts and makes awards.

Projects Group provides specialized technical and engineering services. This group provides engineering, maintenance, and operational staff support associated with power plant generation and auxiliary equipment.

Financial Services provides advice and assistance in the processes of budget, cost control, payroll, travel, and business practices.

Human Resources provides assistance in planning and carrying out personnel administration, labor relations, and the EEO program. This group also coordinates training and employee development processes.

#### Nuclear Power

Nuclear Operations is responsible for the safe, efficient, and reliable operation of the operating sites along with providing corporate support services. Corporate Operations is responsible for providing standards, technical and programmatic support and oversight, and standardization. Site Operations has overall responsibility for the safe, reliable, and efficient operations of the nuclear units.

Nuclear Projects is responsible for Browns Ferry Unit 3 recovery, Watts Bar Units 1 and 2, overall corporate project management, corporate modifications, and corporate engineering.

New Generation is responsible for developing strategies, programs, and planning implementation for second generation nuclear Power.

Nuclear Assurance, Licensing and Fuels is responsible for general management and oversight of the Quality Assurance, Licensing, nuclear Fuel, the Nuclear Safety Review Board, the Nuclear Manager's Review Group, and Materials, Contracts and Administrative Support. In addition, it evaluates all of the oversight and assessment programs for common indications and trends and drawing the conclusions and recommendations indicated in reports.

Nuclear Quality Assurance is responsible for auditing, inspecting, and monitoring the conduct of TVA activities. Performs assessments to determine the effectiveness of the QA program. Stops work, processing, delivery, or installation or taking other comparable actions to control or prevent the use of nonconforming materials or continuance of activities adverse to quality.

Nuclear Human Resources is responsible for developing, coordinating, directing, and managing a viable human resource program for Nuclear Power. Elements of the program include staffing and employment, compensation administration, labor relations, affirmative actions and equal opportunity employment, employee communication and recognition, organization development, human resource policy and procedures development, management development and training, and ensuring suitability of employees service by the implementation of the Fitness for Duty Program.

Business Operations is responsible for oversight of a strong business and fiscal management focus and policy through Nuclear Power. Supports all Nuclear Power organizations by providing clear direction, standard methods, simplified tools, and user training.

Concerns Resolution receives, investigates and provides for the resolution of differing staff views associated with the design, construction, and operation of TVA nuclear plants. The normal process for resolving differing views is through line organizations. Special emphasis is placed on resolving concerns which are important to safe and reliable plant operations. Nuclear Power emphasizes the prompt and effective resolution of these concerns through line organizations and provides alternate avenues for concerns which cannot be resolved through the normal process. The staff is responsible for ensuring that safety and quality concerns are effectively resolved. The staff maintains oversight of the normal process for resolving concerns and is the focal point for independent evaluation of concerns which cannot be resolved through line organizations.

2. CUSTOMER GROUP. Each organization within the Customer Group submits records to RIMS. The organizations and their functions are as follows:

Human Resources provides employee development support and services to the Customer Group employees.

Quality Support Staff provides the Customer Group with a plan to implement a quality process to attain world class status and sustain that process through continuous improvement.

Customer Service Areas provide reliable, high-quality, competitively priced electric energy to primary customers through an efficiently operated and well-maintained transmission system.

Marketing is responsible for developing and implementing market strategies and programs to increase market share and preserve existing load, and improve energy efficiency in homes and industries.

Customer Planning is responsible for matching supply and demand in the most reliable and economical way, both short and long term. This includes resource planning, coordinating the delivery of power and energy from generation sources to loads, bulk power marketing, competitive intelligence, and billing analysis.

Transmission is responsible for planning, engineering, and constructing a quality TVA transmission system and provide technical operation and maintenance services that support that system and its related facilities in a safe, cost effective, and environmentally responsive manner that meets or exceeds the customer expectations.

Business Resources is responsible for carrying out business operations in a manner consistent with the best interest of the agency and to provide financial and business processes, expertise and services for the Customer Group.

3. RESOURCE GROUP

Research and Development (R&D) submits to RIMS and is responsible for marketing new ideas, developing and demonstrating new ideas and technologies, and sharing results of technology assessment and application. Their mission is to identify, demonstrate, and transfer new ideas and technologies that will improve the efficiency and effectiveness of the TVA Power System; reduce the adverse effects of emerging environmental issues; introduce new ideas and technologies that promote economic development in the TVA region; improve TVA's ability to reduce long-term cost of energy services.

Project files for research and development are covered by NI-142-91-4. The projects that meet certain criteria will be PERMANENT.

4. FINANCE & ADMINISTRATION

Purchasing Quality & Supplier Development Division is responsible for the development and improvement of suppliers of goods and services to TVA, Purchasing's internal quality initiative including strategic planning, administrative support functions for Purchasing, TVA procurement codes and instructions, and systems contracting efforts.

5. COMMUNICATIONS & EMPLOYEE DEVELOPMENT

Plant Community Relations submits its records to RIMS. The group recommends policy and develops strategies to enhance and accomplish community acceptance of fossil, hydro, and nuclear plants. It recommends community relations strategies and programs to Senior Vice Presidents and plant management and the nuclear/fossil/hydro sites in support of TVA, Nuclear Power, and Power Corporate Goals. It also manages the development of public education programs which includes the day-to-day operation of the Energy Center and serves as technical advisor during the establishment and operation of nuclear site information centers and upgrading visitor areas and F&H plant sites.

All the records filmed into RIMS through September 30, 1993, are PERMANENT and will be transferred to the National Archives. Beginning October 1, 1993, only the records of the President of the Generating Group, Senior Vice President of Fossil & Hydro, Senior Vice President of Nuclear Power, and the President of the Customer Group's records are PERMANENT. The approximate annual accumulation of these records is one cubic foot.

The functions and responsibilities of these offices are as follows:

The President of Generating Group is responsible for the reliable, efficient, and economical supply of power necessary to meet TVA customer needs. This includes the safe and efficient operation of existing plants in accordance with all applicable laws and regulations, the design and construction of new facilities when necessary to meet demand growth, the supply of fuel necessary for plant operations, and the repair and maintenance of all equipment and facilities. In fulfilling these responsibilities, the President is supported by a Nuclear Power organization a Fossil & Hydro Power organization, and a corporate staff.

The Senior Vice President of Nuclear Power has overall authority and responsibility for the management, control, and supervision of TVA's nuclear power program. This office is responsible to ensure the safe and efficient design, construction, and operation of TVA's nuclear units, to fulfill TVA's commitments to the NRC, and to continue necessary safety improvement initiatives.

In executing the performance of these responsibilities, the SVP, NP has site and corporate NP organizations structured to provide the accomplishment of goals and objectives designed to ensure safe and reliable plant operation. The focus of the entire organization is to assist the nuclear plants in achieving the highest standards of safe and efficient power production.

The Senior Vice President of Fossil and Hydro Power is responsible for the performance of TVA's 11 fossil plants and 29 hydro power generating stations. Another function is to focus on quality production and provide reliable competitively-priced electric power to TVA's customers.

The Senior Vice President is also responsible for the deployment of corporate policies. Assesses department performance and is responsible for cross-functional management.

The President of Customer Group is responsible for providing a strong customer focus to determine energy service needs and creating and providing products and services that meet or exceed those needs. Other responsibilities are for TVA's transmission system, the sale of electricity to TVA's industrial and distributor customers, and the interchange of electricity with other utilities.

THIS SCHEDULE ONLY COVERS RECORDS THAT HAVE ALREADY BEEN SCHEDULED. ANY NEW RECORDS SERIES OR UNSCHEDULED RECORDS, OR ANY RECORDS THAT HAVE BEEN PREVIOUSLY APPRAISED OR APPROVED AS PERMANENT MUST BE SCHEDULED BEFORE THEY CAN BE FILMED INTO RIMS. THE RECORDS AND INFORMATION MANAGEMENT SYSTEM ORGANIZATION WILL INFORM RECORDS ADMINISTRATION BEFORE FILMING ANY NEW RECORDS SERIES INTO RIMS.

#### DISPOSITION

##### A. Paper copies

###### 1. Filmed

- a. Those records of the President of the Generating Group, Sr. Vice President of Nuclear Power, Sr. Vice President of Fossil & Hydro Power, and President of Customer Group.

PERMANENT. After filming, transfer (paper copies) records indexed into RIMS to the Federal Records Center, East Point, Georgia, annually. Transfer to the National Archives, Atlanta Branch in 5-year blocks when the oldest records in the block are 25 years old.

- b. All other records

Destroy when microfilm has been verified.

(N1-142-86-5)

###### 2. Not filmed (illegibles, oversized, etc.)

- a. Those records from the President of the Generating Group, Senior Vice President of Fossil & Hydro Power and Senior Vice President of Nuclear Power, and the President of the Customer Group.

PERMANENT. Transfer records indexed into RIMS but not filmed to the National Archives, Atlanta Branch, in 5-year blocks when the oldest records in the block are 25 years old.

- b. Those records not evaluated as PERMANENT

###### 1. Nuclear

Destroy when all nuclear plants are retired, or 10 years after the agency is dissolved, whichever is longer.

###### 2. All other record copies

Destroy when 30 years old.



DISPOSITION (Continued)

## A. Paper copies (Continued)

## 3. All other duplicate copies

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

(N1-142-86-5)

## B. Microfilm

## 1. Record copy beginning 1986 and ending September 30, 1993.

PERMANENT. Transfer one silver halide negative 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 RIMS film will be at the end of CY 2011).

(N1-142-86-5)

2. Security Copy 1986 - September 30, 1993.  
Record Copy beginning October 1, 1993.

Transfer one silver duplicate positive bimonthly to National Underground Storage at Boyers, Pennsylvania. Destroy when 30 years old. EXCEPTION: SEE NUCLEAR POWER CRS FOR RETENTION OF EMPLOYEE CONCERN RECORDS, RADIOLOGICAL CONTROL DOSIMETRY RECORDS AND NUCLEAR PLANT CONSTRUCTION SITE QUALITY ASSURANCE RECORDS.

## 3. All other duplicate copies

Destroy in agency when no longer needed for administrative use.

(N1-142-86-5)

This certifies that the records microfilmed are filmed in accordance with the standards set forth in 36 CFR Part 1230.

## DISPOSITION (Continued)

~~C. Computerized index to microimages~~~~1. Index~~

- ~~a. PERMANENT All 1986 through September 30, 1993. Selected October 1, 1993 forward.~~

~~Transfer from disk to magnetic tape records indexed in each CY. 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.~~~~(N1-142-86-5, Item 1.C)~~

- ~~b. Nonpermanent October 1, 1993 forward~~

~~Destroy when related records have been destroyed.~~~~2. Documentation~~

- ~~a. PERMANENT~~

~~Transfer to National Archives with annual cumulation of index cited in C.1.a (above).~~~~(N1-142-86-5, Item 1.C)~~

- ~~b. Nonpermanent~~

~~Destroy when related records and index are destroyed.~~