

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-142-84-09**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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### **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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 5 is presumed to have been destroyed at the agency.

Item 6 was superseded by N1-142-10-001, item 5c.

Item 9 was superseded by N1-142-10-001, item 7d.

Item 13a was superseded by N1-142-10-001, item 7c.

Item 14 was superseded by N1-142-10-001, item 7a.

Item 17 was superseded by N1-142-10-001, item 7d.

Item 18 was superseded by N1-142-10-001, item 7a.

Item 19 was superseded by N1-142-10-001, item 7a.

Item 21 was superseded by N1-142-10-001, item 7a.

Item 26a1 was superseded by N1-142-98-005, item 1.

Item 26a2 was superseded by N1-142-98-005, item 2.

Item 28 was superseded by N1-142-10-001, item 7b.

Item 29 was superseded by N1-142-10-001, item 7c.

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Item 30 was superseded by N1-142-10-001, item 8b.

Item 35 was superseded by N1-142-10-001, item 7b.

Item 36 was superseded by N1-142-10-001, item 7b.

Items 37a and 37b were not appraised as they were unchanged from NC1-142-81-18.

Item 39 is presumed to have been destroyed at the agency.

Item 43 was superseded by N1-142-10-001, item 7b.

Item 44c1 was superseded by N1-142-91-13, all items.

Item 44c2 was superseded by N1-142-91-13, all items.

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

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

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

1 FROM (AGENCY OR ESTABLISHMENT)  
**Tennessee Valley Authority**

2 MAJOR SUBDIVISION  
**Division of Personnel**

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER

**Ronald E. Brewer**

5 TEL EXT

**FTS 858-2520**

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 19 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

☐ **A Request for immediate disposal.**

☒ **B Request for disposal after a specified period of time or request for permanent retention.**

C DATE

**1-27-84**

D SIGNATURE OF AGENCY REPRESENTATIVE

*Ronald E. Brewer*

E TITLE

**Assistant TVA Archivist**

7  
ITEM NO

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

9  
SAMPLE OR  
JOB NO

10  
ACTION TAKEN

**Comprehensive Records Schedule**

Records of the Division of Personnel as described  
in the following 44 items.

Pen & ink changes for items 1, 2, 4, 6, 7, 9,  
10, 11, 27, 33, & 34 were approved by the agency via  
letter of August 21, 1984, attached to schedule.

The change in item 9 of this schedule has been  
approved by the agency via letter of June 14, 1985, attached to schedule.

Approved by NARA:

*Robert Williams*  
Appraiser

6/28/85  
Date

71 items

LEAVE BLANK

JOB NO

**NCI-142-84-9**

DATE RECEIVED

**2-13-84**

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 stamped "disposal not approved" or "withdrawn" in column 10

10/9/85  
Date

*James E. O'Neill*  
Archivist of the United States

## DIVISION OF PERSONNEL

The Division of Personnel provides professional services to offices and divisions by assisting them in their planning, acquisition, development, maintenance, and adjustment of the total human resource in TVA. In conjunction with personnel representatives throughout the agency, it fosters continuing sensitivity to and recognition of the importance of human resource management.

In 1933, a priority function of the Division of Personnel was to supply qualified employees for beginning the massive construction program to tame the Tennessee River. The division interviewed applicants, investigated references, and gave examinations to both applicants and employees. As TVA developed additional programs to fulfill its mission of the unified resource development of the Tennessee Valley region, this function involved the supply not only of engineers, craftsmen, and laborers but of professionals and technicians in a wide variety of specialized fields such as forestry, agriculture, chemistry, city planning, and flood control. The division continues to provide employment services, including recruitment, testing or having other agencies administer tests, certification, interviewing, and suitability and personnel security clearance. The division also maintains the official personnel records on applicants, employees and other human resources, makes these records accessible to offices and divisions; and controls access to these records.

Perhaps a more basic function in 1933 was that of assisting and advising the TVA Board in the establishment of personnel policies and a personnel administration system which would best serve the agency and the organizations responsible for its various programs. The TVA Act had granted the Board the authority to establish a system without regard to the provisions of Federal civil service laws. Under the system established, the division continues to advise and assist the Board and the General Manager in the development of new personnel policies and the elimination or revision of existing policies. The division has the development, revision, and coordinating responsibility for all TVA Codes, whether they deal with personnel or program policies. It coordinates all Organization Bulletins and advises the Board, General Manager, and offices and divisions on organizational matters. It carries out research and analyses over the broad spectrum of personnel administration. It continuously reviews proposed Federal personnel legislation and regulations and makes recommendations to the Office of the General Counsel for TVA exemptions or changes in wording to assure that TVA retains the broadest possible authority over personnel administration within the agency.

Through the years, the division became involved in functions which became obsolete, were transferred to other TVA or outside agencies, or were restructured to meet changing needs. Examples of these are:

### Medical Services

At the beginning of TVA, the division provided employees medical services. In 1940, this function was transferred to what is now the Division of Medical Services.

## Recreation

Because of the isolation of the early construction camps, the division provided recreational activities for employees and their families living in construction villages. When these villages were no longer built because improved roads and means of transportation made daily commuting to job sites feasible, this activity ended.

## Equal Employment Opportunity

As Federal laws and regulations developed and changed to assure equal employment opportunity, the responsibilities for implementation was both in the Office of the General Manager and in the Division of Personnel. The Division last had this function during the period from September 1967 to July 1970. At that time the function was returned to the Office of the General Manager. In 1980, the Director of Equal Opportunity Compliance in that office was assigned the duties, responsibilities, and functions vested in that official by Federal regulations and TVA Board policy concerning equal employment opportunity and affirmative action compliance. The Division of Personnel was assigned the function of providing technical support and assistance to offices and divisions in the development and implementation of TVA-wide and office-level affirmative action plans and programs.

## Training

In the early TVA years, the Division of Personnel operated a substantial program to (1) serve the needs of employees and their families living in construction villages and in several communities in the vicinity of these villages, and (2) in the accomplishment of program objectives of TVA which required widespread understanding and acceptance by the public. In addition to staff responsibilities for employee training, the division sponsored activities in adult trade and general education, the development of a regional library service--which became a national demonstration of an effective approach to library service for rural areas--and other community educational and recreational programs serving TVA construction and operating programs. Gradually these program activities were transferred to other TVA organizations or were absorbed by state and local educational agencies after a period of demonstration programs in what were called "resource-use education."

Today the division develops, implements, evaluates, and monitors agency goals, policies, guidelines, and procedures to facilitate the development and utilization of TVA's human resources. It develops and implements agency-wide training programs or coordinates these activities by other divisions. It provides advice and assistance to offices and divisions in their responsibilities for developing and maintaining an effective training effort and in conducting training needs assessments. Upon request it develops, implements, and evaluates training and development programs and activities. In the last few years there has been particular emphasis on management training and development. In 1982 the functions involving training programs in the trades and labor craft areas such as the apprenticeship program, were transferred to the Labor Relations Staff, Office of the General Manager.

## Employee-Management Relations

Once the framework for TVA employee-management relations was firmly established, the division had the responsibility for preparing for and conducting negotiations with employee organizations, advising offices and divisions on the day-to-day implementation and interpretation of the collective bargaining contracts, issuing final TVA decisions under the negotiated grievance procedures, and providing the central agency contact point for employee organizations. In 1979 most of these functions were transferred to the established Labor Relations Staff. The negotiations support function and the trades and labor cooperative program were transferred to the staff in 1982.

An important development in the history of the division was the gradual and deliberate change from initial, strongly centralized control of personnel matters to a decentralized personnel system. In the beginning central control was required in order for the TVA Board to assure the effective development of the personnel policies for which the TVA Act gave it responsibility. This decentralization process occurred in stages over a period from 1953 to 1954.

The impetus for decentralization came from an early recognition by TVA top management that the goal of personnel staff work should be to release to the operating organizations the maximum possible responsibility for personnel decisions. The results of the process are reflected in the following current delegations of personnel functions between the Division of Personnel and the division personnel offices in offices and divisions:

### Division of Personnel

Formulates, administers, and evaluates personnel administration policies, standards, and procedures for (1) recruitment, examining, selection, classification, compensation, personnel information management, reporting, and training and development; (2) organization and administrative relations; and (3) related aspects of personnel and general administration. It coordinates agency-wide affirmative action programs and assists offices and divisions in development and implementation of affirmative action plans. It represents TVA on personnel matters with outside organizations and individuals; and it advises and assists in developing and maintaining progressive, efficient, and effective personnel administration in TVA. All branches and staffs maintain close liaison with Labor Relations Staff on personnel administration issues related to its area of concern and on work which supports the union-management program.

### Division Personnel Officers (DPO)

Give direct assistance in the division on all aspects of human resource management, working within established policies and standards. They work closely with the Division of Personnel, seek its advice, report to it on their activities, and exchange information with it about the status of personnel administration in TVA. In collaboration with the Division of personnel they identify opportunities for and participate in development of new or revised personnel policies and procedures and

Division Personnel Officers (continued)

provide for implementation within their division. They provide leadership in planning efficient and effective human resource management and personnel administration in the division and help supervisors to carry it out. Major emphases relate to: staffing, training, development, organization, classification and pay, communication, and union-management relations.

Division personnel officers advise division management and supervisors in their responsibilities for good human resource management personnel management. They are responsible within the division for ensuring that personnel actions are in accordance with TVA policies and practices. They review labor provisions with contractors who have contacts with substantial labor requirements, attempt to adjust violations, and refer unresolved violations to the Division of Purchasing.

A number of the DPO's report administratively to the directors of the divisions they service but have a close functional relationship to the Division of Personnel as described above.

DP SCHEDULE I

RECORD MATERIAL

DP Schedule I contains all records series designated as the official record copy and maintained by the Division of Personnel.

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
1	<u>Personal History Records</u>	
	a. Employee records providing documentation officially recognized and pertinent in recording and sustaining personnel actions.	<i>NCI-142-81-25</i>
	(1) <u>Microfilm</u>	
	(a) Record copy	Destroy 75 years after birthdate of employee or 60 years after the date of the earliest document in the folder if the date of birth cannot be ascertained.
	(b) Reference copies maintained as backup for these records to reduce manpower and related costs associated with the system, and for service to other offices.	Destroy when no longer needed for reference.
	(2) <u>Paper</u> (Beginning January 1, 1980, TVA filmed records on hand in the agency. No records already retired to NPRC will be filmed.)	
	(a) If filmed	Destroy upon verification of microfilm.
	(b) If not filmed	Records retired at NPRC, St. Louis, will be destroyed 75 years after birthdate of employee or 60 years after the date of the earliest document in the folder if the date of birth cannot be ascertained.



DP SCHEDULE I

RECORD MATERIAL

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
1	b. Supervisor Administrative Files (SA Files) maintained in organizations and consisting largely of documents duplicated in the official PHR. These files are used for administrative reference needs.	Destroy <del>when superseded or when employee leaves the organization where file is maintained.</del> <i>individual documents when superseded or earlier if no longer needed for reference; destroy entire file when employee leaves the organization component where the file is.</i> Destroy when 2 FY old. <i>maintain</i> (NCL 1-142-84-16)
<del>2</del>	<del><u>Application for Leave</u> Form TVA 6 used to apply for any leave taken including sick leave, annual leave, court leave, administrative leave, and military leave. Also used as a certificate of record signed by physician when sick leave exceeds three consecutive days.</del>	<del>W/D, 8/1/84</del>
3	<u>Grievance Records</u>  Informal adjustments in grievances made at the division level and which do not result in a formal grievance being filed. (Record copy of formal grievances are maintained by Labor Relations Staff.)	Destroy 3 years after case is closed.
<del>4</del>	<del><u>Official Correspondence File</u>  Division Correspondence File relating to personnel administration in the agency. File contains two types of material: that of long-term value and that of short-term value.</del>	<del>W/D, 8/1/84</del>
	a. All material 1933-1943	Permanent. Offer to NARS upon approval of this schedule.
	b. Files dated 1944 and continuing:	
	(1) Material of long-term value directly related to and essential to personnel administration and the division's delegated program responsibilities, including policies and procedures.	Permanent. Offer to NARS when agency is dissolved.

DP Schedule I

Record Material

ITEM NO.	<u>Description of Records</u>	<u>Authorized Disposition</u>
4	<del>e. Material of short-term value representing minor routine functions and which is routed for informational purposes. This material is not required to complete other files nor does it include any material directly related to and essential to the divisions delegated program responsibilities or policy or procedural material <u>not</u> filed as record elsewhere in TVA.</del>	<del>Destroy when no longer needed for administrative purposes, not to exceed 2 years.</del>
5	<u>Discrimination Complaint Case Files</u>	
	Record copies of discrimination complaint files created from 1962-1969 while EEO program was in the Division of Personnel. Includes correspondence and forms created during the complaints procedure. Does <u>not</u> include files of the EOC Staff.	Destroy in 1985.
6	<u>Congressional Referrals and Correspondence</u>	
	Referrals, inquiries, and correspondence sent to TVA from Federal and state legislators, from applicants, employees, former employees, and the general public concerning employment, complaints, questions, or general statements relating to TVA.	Destroy 5 years from date of last correspondence.
7	<u>Administrative Releases</u>	
	<del>Superseded TVA Organizational Bulletins, Codes and Instructions containing TVA's formal policy and procedures. They trace and describe the organizational structure of TVA and are drafted in the division. Excludes official TVA record copy file maintained by Division of Property and Services.</del>	<del>Destroy when no longer needed for administrative purposes.</del>
8	<u>Alphabetical Index of Salary Policy Titles and Grades</u>	
	Listing of all salary policy titles which are approved for use in classifying positions, grade range established for each title, and the four-digit code assigned to each title.	Destroy when superseded.

*W/D*

*withdrawn  
2/27/84*

DP Schedule I

Record Material

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
9	<u>Series definitions</u>  Descriptions of work performed in various occupations and lists of typical duties and responsibilities of positions in the occupation.	<u>Permanent.</u> Offer to NARA five years after position is abolished or description superseded.
10	<u>Job Audit Reports</u>  Reports of audits conducted at request of management, employees, and bargaining organization with jurisdiction over the occupation. Includes brief summary of background information concerning classification action, detailed discussion of duties and responsibilities performed in the position, analysis and comparison of position responsibilities as related to established classification criteria, conclusion, and recommendation to respective DPO.	<del>Destroy when 3 years old superseded.</del> <sup>absolutely or</sup> Destroy when 3 years old superseded. (GRS 1/76(2))
<del>11</del>	<del><u>Job Descriptions</u>  Descriptions of major duties/responsibilities of individual positions; knowledges, skills, abilities, and minimum qualifications; and controls limiting independent actions by incumbent.</del>	<del>W/D as non-record, 8/1/84 Destroy when superseded for active employees; destroy immediately upon termination of employee.</del>
12	<u>Classification Procedures</u>  Procedures developed and distributed to DPOs to ensure consistent application of personnel policies governing the classification process; to provide instructions on usage of classification criteria, and to transmit new and revised classification materials.	Destroy when superseded or when individual procedures are updated.
13	<u>Fair Labor Standards Act Correspondence</u>  Memorandums approving or disapproving requests for exemptions from the Fair Labor Standards Act and exceptions to the eight-hour day for nonexempt employees; memorandums establishing and explaining procedures and standards for compliance with FLSA; and documentation pertaining to investigations and conclusions regarding alleged non-compliance with FLSA requirements.	

DP Schedule I

Record Material

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
13	a. Documentation pertaining to investigations and rulings on overtime complaints and cases.  b. All other material.	Destroy 5 years after case is resolved.  Destroy when 3 years old.
14	<u>Guidecharts</u>  Charts used in the TVA factor format system of job evaluation; measure levels of work within each salary policy series on schedules SA, SB, SC, SD, and SE.	Destroy when superseded.
15	<u>Minimum Qualifications</u>  Listings of the minimum knowledges, skills, and/or abilities (KSAs) required for grade levels within a title of work and the evidence which a person may use to show possession of the minimum KSAs.	Destroy when no longer needed for administrative purposes, not to exceed 10 years.
16	<u>Knowledge, Skills, and Ability Sheets</u>  Individual sheets containing a task used in setting the minimum qualification requirements, the knowledge, skills, and/or abilities needed for the task, minimum satisfactory performance levels for the task, and any expert panel votes.	Destroy when no longer needed for administrative purposes, not to exceed 10 years.
17	<u>Job Analysis Computer Data</u>  Data and printouts consisting of tasks performed by different grade levels within a title, frequency of performance, number performing, profiles for different performance levels by grade level, physical requirements and other data related to specific job titles.	Destroy when no longer needed for administrative purposes, not to exceed 10 years.
18	<u>Expert Panel Files</u>  Files consisting of panel members' names, addresses, work history, job analysis, training information, meeting dates, panel nominees, and panel selections.	Destroy when no longer needed for administrative purposes, not to exceed 10 years.

DP Schedule I

Record Material

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
19	<u>Importance Rating Files</u>  Listings of job tasks and their individual importance ratings by expert panel members and used for developing critical task lists for each job title.	Destroy when no longer needed for administrative purposes, not to exceed 10 years.
20	<u>University of Tennessee Educational Evidence Files</u>  Correspondence and specifications supplied by UTK on educational levels required for non-TVA learned knowledges and used as part of minimum qualifications requirements.	Destroy when no longer needed for administrative purposes, not to exceed 10 years.
21	<u>Task Inventories</u>  SA and SB schedule task inventories and others as added for job analysis. Lists 200-600 items of tasks performed by employees, includes time rating scale and individual tasks.	Destroy when no longer needed for administrative purposes, not to exceed 10 years.
22	<u>Training Material</u>  Films, video recordings, and files produced in and outside the agency including training such as Interaction Management, Sexual Harassment, Human Relations, Career Planning, Management Core, and Field Program Review.	Destroy when program is discontinued.
23	<u>Personal Services Contracts</u>  Contracts with individuals and organizations for temporary, part-time, or specialized personal services.  a. Contracts with no Employee-Employer relationship (Including all contracts with organizations).  b. Contracts with an employee-employer relationship.  (1) If contractor becomes a TVA employee.	(NCI-142-84-4)  Destroy 6 years after expiration of contract.  Transfer to Personnel Microrecords Unit and film as part of PHR, then destroy.

DP Schedule I

Record Material

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
23	(2) All other contracts.	Transfer to NPRC, St. Louis, 6 years after expiration of contract. NPRC will destroy 60 years after date of contract.
24	<u>Consulting Contracts</u>  Contracts for the services of consultants to provide independent advise on technical and professional matters and do not involve an employee-employer relationship.	Destroy 6 years after expiration of contract.
25	<u>Federal Jobs Bill Program Correspondence</u>  Correspondence for employees being hired for all work funded through the Jobs Bill. Also consists of TVA 9880, TVA application for employment, contract, etc.  a. Nonselected applicants.  b. Selected applicants.	Destroy when program is completed.  When program is completed, microfilm as part of PHR then destroy.
26	<u>Applications For Employment</u>  Files include TVA 1 and TVA 5, used as applications for employment, and resumes, letters, correspondence, transcripts, etc.  a. Original - if not hired by TVA  (1) Apprentice.  (2) Typist and Stenographer.  (3) Withdrawn by Applicant.  (4) All others.	<i>NCL-142-81-22, except for a(2)</i>  Destroy 5 years from date of last activity on application.  Destroy when 2 years old.  Destroy immediately.  Destroy 1 year from date of last activity on application.

DP Schedule I

Record Material

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
26	b. Original - if hired by TVA.	Microfilm as part of PHR, then destroy.
	c. Duplicates.	Destroy at option, not to exceed 1 year.
<del>27</del>	<del>General Aptitude Test Battery</del>	
	Test results of GATB required for application to TVA apprenticeship or SGPO programs.	
	a. Employees.	Microfilm as part of PHR, then destroy. <i>withdrawn 2/27/84</i>
	b. Nonemployees.	Destroy 5 years after date of last interest.
28	<u>Submission of Candidates</u>	
	TVA 5274 used for submitting names of qualified outside candidates to TVA organizations having vacant positions. Includes applicant qualification analysis, supporting papers, and related forms.	Destroy when 5 years old.
29	<u>Request for Candidates</u>	
	Form TVA 3028 used by organizations for requesting a submission of candidates. Includes job title, grade, type of appointment, and job qualifications.	Destroy when 5 years old.
30	<u>Test Records</u>	
	Test results for typing, stenographic, and clerical positions.	Destroy when 5 years old.
31	<u>Unemployment Compensation Correspondence</u>	
	Form ES-934, Request for Information or reconsideration of findings on unemployment compensation claims.	Destroy when 2 years old.
32	<u>Employment Interest Card</u>	
	Interest cards completed by applicants for noncritical jobs. Includes choices of jobs desired; types of work desired; applicants name, address, social security number, etc.	Destroy after information is input into the Interest Card System (ICS) data base.

## Record Material

ITEM NO.	Description of Records	Authorized Disposition
33	<u>Position Vacancy Announcements</u>	<i>NCI-142-81-20</i>
	Various forms and related papers accumulated in publicizing, response processing, and selection of candidates for job vacancies within TVA.	
	a. Announcement and Selection Papers	
	(1) Issuing Office or Division	<i>Deleted at agency request.</i>
	(a) Salary Policy and Trades and Labor	Destroy at option, 2 years after position is filled or cancelled.
	(b) Apprentice	After position is filled or cancelled, hold 5 years then destroy at option, not to exceed 5 years.
	(2) All other copies.	Destroy at end of closing date.
	b. Response and Supporting Papers	
	(1) Salary Policy and Trades and Labor	Destroy at option, not to exceed 2 years.
	(2) Apprentice	After notification that position has been filled, hold 5 years, then destroy at option, not to exceed 5 years.
34	<u>Retention Register</u>	
	TVA 3824 used for reduction-in-force. Contains service dates of employees in order of retention according to job classification.	Destroy when 2 years old.
35	<u>Interest and Availability for Reemployment</u>	
	TVA 9899 completed upon receiving a reduction-in-force in order that employee name be placed on the reemployment list after being RIFd. Includes employee name, job title, grades interested in, and titles and grades of positions held during employment within TVA.	Destroy when 3 years old.



DP Schedule I

Record Material

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
36	<u>Notification of Interest and Availability</u>  TVA 9856 completed by employee receiving a RIF notice, giving the employee the opportunity to make other TVA organizations aware of their interest for other employment before being RIFd. Includes employee name, present job title, effective date of termination, and type of work desired.	Destroy when 2 years old.
37	<u>Personal Security and Suitability Investigative Files</u>  Records accumulated during investigations conducted to determine suitability for TVA employment, for allowing unescorted access to nuclear plants, and for permitting access to classified documents.  a. If suitable for employment and hired.  b. If not suitable for employment.	(NCI-142-81-18)  Destroy 5 years after termination or immediately upon death.  Destroy 15 years after last investigative activity.
38	<u>Management Development Program Long-Term Evaluation Questionnaires</u>  Questionnaires completed by managers M-1 through M-5 and their supervisors for determining attitudes and performance.	Destroy when project is completed.
39	<u>Personnel Function Study Team Questionnaires</u>  Questionnaires used for a study measuring efforts spent on personnel-related functions. Used by study team in recommending changes in personnel activities to the General Manager.	Destroy <del>after October</del> <sup>in November</sup> 1985.  OK'd by DB 7/19/84
40	<u>Rating Forms</u>  Forms used for rating new employees on the SB scale between November 1976 and March 1982 for rating employee performance during employment trial period.	Destroy 2 years after the end of project.

DP Schedule I

Record Material

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
41	<u>Employment Projection Data</u>  Coding sheets, printouts, correspondence data base relating to agency-wide employment and 5 FY employment projections by job schedule.  a. Magnetic Tape.  b. Printouts and all other data.	  Destroy when employment projections are discontinued.  Destroy 5 years after year for which projections were made.
42	<u>Diagnostic Tests</u>  Tests taken by a sample group of clerical employees in July 1981. Part of evaluation project to determine test's prediction of future employee performance.	  Destroy when 5 years old.
43	<u>Exit Interviews and Questionnaires</u>  Questionnaires completed by all annual employees voluntarily resigning from the agency and interview results of employees resigning from the critical jobs.	  Destroy 2 years after completion of evaluation project.
44	<u>Machine-Readable Record Systems and Files</u>  a. <u>Applicant Information System (AIS)</u>  A system containing information concerning applicants for positions in TVA. An on-line, real-time system and each record is a coded summarization of a paper application file. Data elements include applicant name, education/training, job(s) applied for, and work experience. Inputs to this system are applications for employment, requests for updates to those forms which may include a revised application, or updates made by the Employment Branch to reflect interviews, offers, and employments.	  (NCL-142-83-5)  Dispose of as provided for related textual records. (See item 26 of this schedule.)

DP Schedule I

Record Material

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
44	<p>b. <u>Craft Training Records System (CTR)</u></p> <p>A system used for maintaining records of apprenticeship program participation of apprenticeship program participation, for responding to inquiries regarding progress in programs, and for reporting to the Bureau of Apprenticeship Training (BAT) in the Department of Labor. Input for this system is form TVA 3027, Apprentice Candidate Evaluation Sheet. Data elements include apprentice's name, social security number, work location, training completed, and evaluation data.</p>	Dispose of as provided for related textual records. (See Labor Relations Schedule I, Item 7)
	<p>c. <u>Employee Information System (EIS)</u></p> <p>A system used for processing personnel transactions (hires, terminations, promotions, etc.) and for producing form TVA 9880, Employee Status Report. It is an on-line, real-time system containing historical information for an employee's job history. The input to the system is previous TVA 9880's with corrections/changes noted. Data elements, include employee's name, social security number, job title code, pay rate, schedule and grade, Federal and TVA service dates, and organization.</p> <p>(1) Active file of individual data during employment.</p> <p>(2) Inactive file of PHR data transferred from active file 2 years after the termination of employee.</p>	<p>Destroy individual employee data 2 years after termination of employee, provided no court order prohibits its destruction.</p> <p>Destroy individual employee data with related textual records. (See item 1 of this schedule.)</p>
	<p>d. <u>Test Results File (TSC)</u></p> <p>File consisting of test results for tests administered to certain categories of applicants for employment. Includes GATB, typing, and dictation tests. Data elements include applicant name, social security number, and test results.</p>	Destroy individual applicant data elements 5 years from date of last activity.

DP Schedule I

Record Material

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
44	<p>e. <u>Interest Card System (ICS)</u></p> <p>A system used to record potential applicant interest in employment. Data elements include applicant name, social security number, address, and types of positions desired.</p>	Destroy individual potential applicant data elements 1 year from date of last interest.
	<p>f. <u>Job Evaluation System (JES)</u></p> <p>A system providing a cumulative statistical analysis of job classification and used for evaluating trends in classifying salary policy jobs.</p>	Destroy when this type of analysis is discontinued.
	<p>g. <u>Negotiations Support (Trades and Labor, Salary Policy, and Management)</u></p> <p>Data collected from wage surveys and used to support negotiations. Data elements include survey data related to various job classifications and salary data for those classifications.</p>	Destroy 1 year after completion of negotiations.
	<p>h. <u>Personnel Management Information System (PMIS)</u></p> <p>A system containing historical employee data similar to that in EIS. Will eventually become part of EIS.</p>	Destroy all data over 2 years old after court order is rescinded. Transfer remaining data to EIS and apply retention as designated by EIS.
	<p>i. <u>Personal Services and Consulting Contracts (PSC)</u></p> <p>A system containing data on personal services and consulting contracts. Data elements include contractor name, address, social security number, rate of pay, type of work, and contracting organization name and address.</p>	Destroy 5 years after completion of contract.
	<p>j. <u>Systems Documentation</u></p> <p>Documents containing definitions of the machine-readable systems including functional requirements, data requirements, system/subsystem specifications, requests for system, authorizing directives, etc.</p>	Destroy 1 year after discontinuance of system.

DP Schedule I

Record Material

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
44	<p>k. <u>Computer Job Procedures File</u></p> <p>Job setups in punch card format which are read into the computer to execute operations and maintenance jobs.</p> <p>(1) General-purpose.</p> <p>(2) Special-purpose.</p> <p>l. <u>Security Backup Files</u></p> <p>Data identical in format to a master file, retained in case the master file is damaged or inadvertently erased.</p> <p>m. <u>User's Guides</u></p> <p>Information sufficiently describing the functions of automated systems in non-ADP terminology so that users can determine its applicability and when and how to use it. Provides detailed instructions for accomplishment of manual tasks associated with automated systems.</p>	<p>Dispose of when no longer needed.</p> <p>Dispose of with related data file.</p> <p>Dispose of as provided for the related master file.</p> <p>Retain with data systems specifications.</p>

## DIVISION OF PERSONNEL

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DP Schedule II

Nonrecord Material

DP Schedule II covers materials which do not constitute official "record" copies but are maintained for their administrative reference value.

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
1	<u>Unofficial Correspondence Files</u>  Correspondence files arranged by subject and relating to specific projects and areas of work. Includes copies of memorandums, notices, and general correspondence.	Destroy when no longer needed for reference.
2	<u>Payroll Time Reports</u>  Computer printouts for each pay period listing names of employee, type and amount of leave taken, hours paid, total hours worked, overtime paid, and charges to accounts. Official payroll data is maintained in the Division of the Comptroller.	Destroy when 2 FY old.
3	<u>Job Descriptions</u>  <u>Copies</u> of forms TVA 12A and 12B on management employees describing the principal duties and responsibilities of the job. Official copy is in PHR.	Destroy 1 year after superseded or obsolete.
4	<u>Legislative File</u>  Including <u>copies</u> of bills (primarily those introduced in the U.S. Congress), internal memorandums about the bills, and as available, copies of Public Laws. Used for analyzing legislation in determining its effect upon TVA personnel administration and recommending action to be taken. Includes a reference card file containing a brief summary of each bill and to whom it was routed for information and comments.	Destroy when no longer needed for administrative purposes.
5	<u>Travel Files</u>  <u>Copies</u> of travel vouchers, travel itinerary, and travel advances for employees.	Destroy when no longer needed for reference.

DP Schedule II

Nonrecord Material

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
6	<u>Employee Status and Information Record</u>  Form TVA 9880 containing general employee information and current status. Record copy on PHR.	Destroy when no longer needed for reference.
7	<u>Alpha Listing</u>  Microfiche cards with alphabetical listing of all TVA employees. Shows social security number, employee name, job title, schedule/grade/step, pay rate, type of appointment, division and branch, date of birth.	Destroy when no longer needed for reference.
8	<u>Classification Actions</u>  Documentation for the classification actions taken by personnel offices in the Classification and Job Evaluation Section.	Destroy when no longer needed for reference.
9	<u>Management Schedule Advisory Group (MSAG)</u>  <u>Copies</u> of correspondence, reports, and questionnaire data for project initiated to address issues affecting management of personnel.	Destroy when no longer needed for reference.
10	<u>Special Emphasis Support Group</u>  <u>Copies</u> of correspondence, affirmative action data, affirmative action reports, and working papers.	Destroy when no longer needed for reference.
11	<u>Handicap Services File</u>  <u>Copies</u> of correspondence, applications, information related to the handicapped, and working papers.	Destroy when no longer needed for reference.
12	<u>Federal Women's Program</u>  <u>Copies</u> of correspondence, articles, background information on projects, and working papers.	Destroy when no longer needed for reference.



DP Schedule II

Nonrecord Material

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
13	<u>Hispanic Employment Program</u>  Copies of correspondence, applications, other information connected to the work of the Hispanic Employment Program, and working papers.	Destroy when no longer needed for reference.
14	<u>Training and Management Development Material</u>  Copies of correspondence, workshop outlines and handouts, training programs, and working papers.	Destroy when no longer needed for reference.
15	<u>Contract Card File</u>  Reference cards in each personal services and consultant contracts. Summarize basic contract information such as name, contract number, requesting division, date of contract, and dollar amount.	Destroy when no longer needed for reference.
16	<u>Manuals</u>  Unemployment Compensation, FIPS Manual and other manuals used for reference.	Destroy when superseded or obsolete.
17	<u>Co-op Student Records</u>  Copies of applications and grade reports for students participating in the TVA Cooperative Student Program, general correspondence with participating schools.	Destroy when no longer needed for reference.
18	<u>Request for Candidates</u>  TVA 3028 reference copy containing information about personnel needed to fill positions in TVA.	Destroy when no longer needed for reference.
19	<u>Notification of Interest and Availability</u>  Informational copy of TVA 9856 includes employee name, present job title, effective date of termination and type of work desired.	Destroy when no longer needed for administrative purposes.

DP Schedule II

Nonrecord Material

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
20	<u>General Aptitude Test Battery (GATB)</u>  Reference copies of GATB required for application to Apprenticeship or SGPO program and certain classes of entry-level positions.	Destroy when no longer needed for reference.
21	<u>Daily Interview Lists</u>  Logs kept by receptionists recording applicants' name, interest area, person interviewing applicant, and check-in time. Gives total number of interviews and employments daily.	Destroy when no longer needed for reference.
22	<u>Test Schedule Sheets</u>  Includes names and telephone numbers of applicants contacted to take typing and/or dictation tests and type of test applicant is to take.	Destroy when no longer needed for reference.
23	<u>Interview and Offer Cards</u>  Cards used to record all interviews, offers made, and actions taken and used for reference as to actions and dispositions taken.	Destroy when no longer for reference.
24	<u>Service Reviews</u>  <u>Copies</u> of TVA 3031 used for reference in evaluating employee performance, to monitor ratings, and to see what kind of ratings are being given and how system is being used.	Destroy when no longer needed for reference.
25	<u>Personnel Data</u>  Working copies of computer printouts including reports, tabulations, and listings. Printouts are generated from PMIS and are used for various reports for distribution to various offices upon request.	Destroy when no longer needed for reference.
26	<u>Working Files</u>  Material drawn from correspondence files or from reference material including items such as:	Destroy when no longer needed for administrative reference, not to exceed 2 years.

DP Schedule II

Nonrecord Material

<u>ITEM NO.</u>	<u>Description of Records</u>	<u>Authorized Disposition</u>
26	<p>(a) <u>Reading Files.</u> Copies of records used solely as a reading file or reference file for the convenience of personnel.</p> <p>(b) <u>Housekeeping Material.</u> 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, hectrograph masters, and offset plates; documents pertaining to travel arrangements, vehicle assignments, and hotel reservations; requests for supplies; requests for publications; and correspondence log books.</p> <p>(c) <u>Working papers and background material</u> (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 <u>not</u> 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.</p> <p>(d) <u>Preliminary and intermediate drafts</u> of letters, memoranda, reports, and other papers.</p>	