

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

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|---|
| LEAVE BLANK |
| JOB NO 101-142-85-14 |
| DATE RECEIVED 8-13-85 |
| NOTIFICATION TO AGENCY |
| <small>AGENCY TO BE ADVISED OF THE RESULTS OF THIS ACTION IN ACCORDANCE WITH THE PROVISIONS OF 44 U.S.C. 3301, 3302 AND 3306.</small> |
| <i>[Signature]</i> |

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

1 FROM (AGENCY OR ESTABLISHMENT)
Tennessee Valley Authority

2 MAJOR SUBDIVISION
Division of Management Systems

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONTACT
Ronald E. Brewer FTS 853-2520

6 DATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for the agency in matters pertaining to the disposal of the agency's records and that the records proposed for disposal in this request of 7 (pages) are not now needed for the business of this agency or will not be needed after the retention period specified.

- A Request for immediate disposal.
- B Request for disposal after a specified period of time or request for permanent retention.

| | | |
|-----------|---|-------------------------|
| C DATE | D. SIGNATURE OF AGENCY REPRESENTATIVE | E TITLE |
| 7 31-85 | <i>Ronald E Brewer</i> | Assistant TVA Archivist |
| 7 ITEM NO | 8 DESCRIPTION OF ITEM AND INCLUSIVE DATES | 9. SAMPLE OR JOB NO |
| | | 10 ACTION |

See Attached Schedule

115-197
Agency NNA, 4NN copies sent 4/5/87

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Division of Management Systems

Management Systems formulates and administers TVA's program to develop automatic data processing (ADP) policy, standards, and procedures to manage the development and operation of computerized information systems and for the acquisition of ADP equipment and contract computing services. It operates general-purpose ADP equipment and provides systems development and processing services for general use by TVA organizations. The division represents TVA on ADP matters with external organizations and ensures that TVA complies with applicable Federal laws and regulations dealing with ADP.

The division is divided into the following four parts:

Division Office - Plans and manages the work of the division and performs most financial, personnel, administrative, and clerical functions for the division. Through the ADP Policy and Planning Staff it develops and implements methods and procedures to plan and manage the use of ADP resources in TVA.

Equipment Management Branch - Develops specifications for, acquires, and oversees the use of ADP and office automation equipment for TVA.

Computing Services Branch - Implements TVA's plans for centrally provided computing facilities and data communications network.

Information Systems Branch - Provides systems development, systems operation, and related ADP services to other organizations throughout TVA. The branch also provides ADP maintenance services for the agency either with its own staff or through contract services.

History

The Division of Management Systems was organized early in 1979 to improve information management and operational effectiveness in TVA. It was part of the Office of Management Services. Some of the division's early projects included developing an inventory of TVA automatic data processing applications, developing TVA-wide ADP budget and manpower statistics, and drafting a TVA-wide five-year ADP plan. The division was divided into the following parts: Division Office and Administrative Services, Automatic Data Processing Planning Staff, Systems Development Policies and Procedures Staff, Industrial and Management Engineering Branch, and Materials Management Services Branch.

In March 1981 the Computing Services Branch was transferred from the Division of Property and Services to the Division of Management Systems. This change combined the computing operations function with the division responsibility for agencywide ADP planning and systems development services.

History (continued)

In March 1982 the Corporate Industrial Engineering Branch was transferred to the Office of Audit and Evaluation and the Materials Management Services Branch was transferred to the Office of Power. Management Systems was realigned into three branches: ADP Policy, Planning, and Requisition; Computing Services; and ADP Information Systems.

In March 1983 the Office of Management Services was eliminated and Management Systems became part of the Office of Corporate Services. In October 1984 the ADP equipment management functions were separated from the ADP policy and planning functions. The ADP Equipment Management Branch and ADP Policy and Planning Staff (under the Division Office) were established.

The Management Systems Comprehensive Records Schedule covers textual records as well as machine-readable records. Since the division is a service organization, it processes computer programs for other TVA organizations. Also as a service, the division stores thousands of magnetic tapes containing information belonging to other TVA organizations. Unless action is taken earlier, owner organizations are asked to review these tapes approximately two years after their creation and decide if further retention is necessary. The owner organizations, not Management Systems, are responsible for scheduling for retention or disposal the information on these tapes.

ITEM
NO.

~~1 Official Correspondence File Revised. See next page.~~

~~Division correspondence relating to the administering of TVA's automatic data processing policies and procedures. Files contain material of both long-term and short-term value.~~

- ~~A. Material of long-term value consists of correspondence related directly to Management Systems' delegated program responsibilities, including policies and procedures. Present accumulation is 20.5 cubic feet.~~
- ~~B. Material of short-term value consists of material which represents minor routine functions not essential to the execution of program responsibilities and material routed for informational purposes.~~

DISPOSITION:

- ~~A. Break file every 5 years; offer to NARS when no longer needed for administrative use.~~
- ~~B. Destroy at option when no longer needed for administrative purposes, not to exceed 5 years.~~

Item No.

1. Official Correspondence File

Division correspondence relates to the administering of TVA's automatic data processing policies and procedures.

In 1958 the Computing Center in the Division of Property and Supply furnished centralized computing services to TVA organizations.

In 1972 the Computing Center became the Computing Services Branch, and remained in the Division of Property and Supply. In 1976 the Division of Property and Supply became the Division of Property and Services. In 1979 the Computing Services Branch became the Division of Management Systems under the Office of Corporate Services at which time these files were cut off. The correspondence files from 1958-1979 are arranged using the alpha numeric classification system. There are 32 cubic feet of records in the Chattanooga Records Center.

The correspondence files from 1980 to date are arranged by the subject numeric system and contain material of both long-term and short-term value.

- a. Material of long-term value consists of correspondence related directly to Management Systems' delegated program responsibilities, including policies and procedures. Present accumulation is 20.5 cubic feet.
- b. Material of short-term value consists of material which represents minor routine functions not essential to the execution of program responsibilities and material routed for informational purposes.

DISPOSITION:

- | | |
|-----------------|--|
| A. 1958 - 1979 | Permanent. Transfer to the Federal Records Center in 1987 and transfer to the National Archives in 1989. |
| B. 1980 to date | (1) Long term - Permanent. Break file every 5 years. Transfer to the National Archives when 10 years old. (2) Short term - Destroy at option when no longer needed for administrative purposes not to exceed 5 years. |
| C. File Plan | Transfer to the National Archives with corresponding records. |

ITEM
NO.

2 Information Systems Plans

Each year all TVA offices and divisions must complete a 5-year plan of automated data processing and office automation activities. Each plan includes a management summary describing the business operations and objectives of that organization and how they are supported by the information systems activities; information systems projects and capital expenditures which the organization intends to carry out; and central computing resource needs, staffing, and costs. This information enables TVA management to ensure that systems development and computing resources are being focused on the highest priority programs and that resources are being appropriately managed. The Division of Management Systems summarizes these plans and prepares a formal TVA plan for submittal to the Federal Government (GSA). Management Systems is also responsible for obtaining funding for ADP capital equipment expenditures and submits a budget to Planning and Budget for approval.

DISPOSITION:

- A. Office and division plans--destroy when no longer needed for administrative purposes.
- B. Management Systems summary and formal plan--destroy when 10 years old.

3 Federal Information Processing Standards and Federal Information Resources Management Regulations

Copies of manuals issued by the Bureau of Standards and the Office of Information Resources Management. As new standards and regulations are issued, Management Systems abstracts information pertinent to TVA and includes it in various internal publications. Extra copies of these manuals are loaned to other TVA divisions as needed.

DISPOSITION: Destroy when superseded ~~or~~ cancelled.

4 ADP Billing Records

- A. (1) Studies to determine computer operating costs, correspondence, and recommendations of cost distribution. These studies aid in developing a rate schedule for distributing costs incurred in the operation of TVA's computer system to the users of the system. The rate schedule is approved by the Division of the Comptroller and distributed throughout TVA.
- (2) Backup files for distribution of costs incurred by ISB for systems development and related ADP services provided throughout TVA.
- B. Correspondence that generates the actual charge distribution of costs to the computer user. Record of actual distribution maintained in Division of the Comptroller.

ITEM
NO.

4 ADP Billing Records (continued)

- C. Numerical codes, called job numbers, are used to represent the account numbers which are to be charged for computer use. Management Systems assigns blocks of numbers to the various TVA organizations. These organizations designate a job number to represent each account to be charged for projects run on the computer. Management Systems maintains a file of these numbers and the accounts they represent for billing purposes.

DISPOSITION:

- A. (1) Backup files used to develop rate schedule--destroy when 5 years old. Rate schedule--destroy when superseded.
(2) Destroy when no longer needed for administrative purposes.
- B. Paper copy--destroy when microfiched. Microfiche--destroy when 5 years old.
- C. Destroy when no longer needed for administrative purposes.

5 ADP Equipment Procurement Files

This file contains copies of contracts related to purchase and rental of ADP equipment, maintenance services obtained from outside TVA, and computing services obtained from outside TVA.

DISPOSITION:

- A. Copies of purchase contracts and related correspondence. These contracts contain equipment specifications not listed elsewhere in Management Systems - Destroy when equipment is removed from service.
- B. Copies of contracts, other than purchase - Destroy 2 years after termination of contract.

6 Personal Services and Consultant Contracts

Duplicate copies of personal services and consultant contracts with individuals or with organizations such as companies, partnerships, institutions, firms, or agencies for the use of one or more of their employees. Includes contracts for training classes on software use, systems analysts, engineering services, etc.

DISPOSITION: Destroy when no longer needed for administrative reference, not to exceed 6 years after expiration of contract.

ITEM
NO.

~~7 User Identification Codes Revised. See next page.~~

~~Form TVA 12086, TVA Computing Authorization Request, is submitted to Management Systems requesting that identification codes be assigned to individuals authorizing them to use the computer system. Requests are approved by designated individuals in each TVA office or division, known as Systems Planning and Development Staff (SPDS) Chiefs. Identification codes allow an individual access to one or more of TVA's computer systems. When a system is changed, authorization is deleted or transferred, after approval of the SPDS chief, to the replacement system. Authorization to use an active system is usually cancelled only upon request of the user.~~

~~DISPOSITION: Destroy upon request of user or when obsolete whichever is sooner.~~

8 ADP Projects and Systems Development Methodology (SDM)

Projects for new development, modification, maintenance, system study and evaluation, and post implementation audit. SDM involves an evaluation of the attributes (size, scope, complexity, risk, and critical nature) of an ADP application development project. Part of this methodology requires completion of a retention and file backup procedure. Major systems applications in Management Systems are the equipment inventory, application inventory, cost distribution, and computer usage.

DISPOSITION: Dispose of 2 years after discontinuance of the related system.

9 User Group Records

Documented proceedings of Computer User Groups, such as Guide and Share. These are outside organizations in which TVA is represented.

DISPOSITION: Destroy when no longer needed for reference, not to exceed 5 years.

10 ADP Data Communications Records

This file contains information on the telephone circuits which have been installed for ADP communications equipment. Copies of forms TVA 194B, Request for Telephone Service, are included. These requests are processed through the Division of Property and Services. The records are filed by the circuit number which is assigned by the telephone company. Information is obtained from this file whenever changes are made in a telephone circuit.

DISPOSITION: Destroy when no longer needed for administrative or reference purposes.

ITEM
NO.

7. User Identification Codes

Form TVA 12086, TVA Computing Authorization Request, and TVA 12089, TVA Dial-In Data Communication Request, are submitted to Management Systems requesting that identification codes be assigned to individuals authorizing them to use the computer system. Requests are approved by designated individuals in each TVA office or division, known as Systems Planning and Development Staff (SPDS) Chiefs. A Reassignment of User ID's memo is used by the SPDS Chief to reassign, cancel or keep an ID in his own name. The record copy is kept on file by Management Systems. Copies are kept by the requester, the SPDS Chief, and the application security chief if applicable.

The information is keyed into the computer and updated weekly to reflect any changes. An Authorized Users List is printed out weekly. The printout is kept for two weeks and then destroyed.

Files are kept on all persons who have ID numbers assigned to them or have had an ID number. These files are filed as active or inactive.

DISPOSITION:

- A. Record Copy - Destroy when agency no longer exists.
- B. All Other Copies - Destroy when no longer needed for administrative purposes.
- C. Data Elements - Erase when updated.

ITEM
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11 ADP Project Case Files

Correspondence, cost estimates, status reports, documentation, and completion reports on automatic data processing projects performed by Management Systems at the request of other TVA divisions. (After completion of project work, the documentation is transferred to the user who maintains it and schedules it for disposal.)

DISPOSITION: Destroy when 5 years old.

Nonrecord Material

ITEM
NO.

1 Budget Documents

Four budget documents are prepared each year outlining program plans and estimates for Management Systems. Detailed working papers are a part of this file. Formal budgets are submitted to the Office of Planning and Budget.

DISPOSITION: Destroy when 5 years old.

2 Division Administrative Reports

Monthly, quarterly, and annual summaries of division training, travel, personnel actions, finance, personnel staffing and other activities in Management Systems for use in administrative operation of the division.

DISPOSITION:

A. Paper copy--destroy when microfiche is verified.

B. Microfiche--destroy when 5 years old.

3 Working Files

Material used in day-to-day activities which has no record value. Items includes are:

- (a) Administrative files accumulated by individual offices relating to internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records are routed for informational rather than record purposes; they are not required to complete other files of the organization; they do not contain material directly related to and essential to the organization's delegated program responsibilities nor policy and procedural material not filed as record elsewhere in the agency.
- (b) Informational material not essential to program activity, such as news releases, bulletins, announcements, vendors catalogs, and magazines.
- (c) Computer printouts containing information which is available elsewhere.
- (d) Reading file used solely as a reading file or reference file for the convenience of Management Systems.

ITEM
NO.

3 Working Files (continued)

- (e) Course material, correspondence, and student evaluations related to ADP training of TVA employees.
- (f) Copies of records relating to reimbursing individuals for travel, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all support papers documenting official travel.

DISPOSITION: Destroy when no longer needed, not to exceed 2 years.

4 Reference Material

Maintained as a source of reference only.

- (a) Copies of TVA manuals relating to Personnel, Health and Safety, Administrative Releases, Accounting Procedures, Budget, ADP, etc.
- (b) ADP newsletters created, published, and distributed throughout TVA, i.e., Bits and Bytes, Operating Notes, Customer Guide to ADP Services, etc. These publications announce miscellaneous data processing subjects.
- (c) IPS documentation books used as guides for computer operators in running the computer system.

DISPOSITION: Destroy when superseded, cancelled or obsolete.

5 Payroll Time Reports

Form TVA 223 and its variations are used for reporting the distribution of annual employees. The form shows the name of the employee, employee's identifying number, work description, hours by day and for the period, and account number.

DISPOSITION: Use TVA Schedule I, Item 4d for disposition.

6 Supervisor/Administrative Files (S/A Files)

Personnel-related records (also referred to as paper field files) maintained by supervisors or administrative officers acting for local supervisors as required for immediate reference needs in carrying out the supervisor's personnel-related responsibilities. May include the most recent paper copy of the employee's job description, form TVA 9880, service report and other employee records duplicated in the employee's official PHR.

DISPOSITION: Use TVA Schedule I, Item 7 for disposition.

ITEM
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8 Position Vacancy Announcement Records

Various forms and related papers, including TVA 9823 and variations - Salary Policy Vacancy Announcement; TVA 9824 - Employee Application - Announced Vacancy, and supporting papers; TVA 5274 - Submission of Candidates and TVA 3028 - Request for Candidates; and Analysis of Applicants Qualifications, supporting papers and related forms, which accumulate in the publicizing, responses received, and selection of candidates for vacancies within TVA. A file for each announcement is maintained by the issuing office or division.

DISPOSITION:

- A. Announcement and selection papers for salary policy - issuing office or division. After position is filled or cancelled, destroy at option, not to exceed 10 years.
- B. Response and supporting papers for salary policy - Destroy at option, not to exceed 2 years.

(NC1-142-81-20)