



**TVA Standard  
Programs and  
Processes**

**TITLE**  
**Record and Document Management  
Program**

**TVA-SPP-31.0**  
**Rev. 0000**  
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Responsible Peer Team: Information Technology Business Strategy Council

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**Current Revision Description**

Initial issue

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**1.0 PURPOSE**

The Record and Document Management Program ensures that TVA meets its obligations as an agency of the United States government. It ensures that related programs and processes are documented, and appropriate records are acquired, maintained, distributed or preserved as directed by applicable federal laws, regulations and directives to preserve the history of the United States and TVA.

**2.0 SCOPE**

This program provides guidance to TVA employees and contractors and communicates the management of TVA’s record and document management storage repositories, mail and library services, technology products, and services used to support them.

**3.0 PROCESS**

**3.1 Functional Overview**

- A. Section 3101 of title 44 U.S.C. requires the head of each federal agency to make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions of the agency and is designed to furnish the information necessary to protect the legal and financial rights of the government and of persons directly affected by the agency's activities.
- B. TVA’s Record and Document Management Program is driven by the National Archives and Records Administration (NARA), an independent Federal agency, designated as America's national record keeper.

**3.2 Program Elements**

Program business rules are implemented through TVA Standard Programs and Processes under this functional area to communicate corporate program requirements.

The functional areas below are included in TVA’s Record and Document Management Program.

**3.2.1 Record and Document Management**

Information related to this program is available on the TVA InsideNet via the TVA Records and Information Management link. Electronic Document Management (EDM) group coordinates and assesses the effectiveness of this program through a series of procedures.

- A. Records Management - This program provides administrative controls and implements program standards for organizations to use in creating, using, maintaining, preserving, appraising and disposing of TVA records.
- B. Forms Design and Management - This program provides administrative controls and implements program standards for organizations to use in creating, using, maintaining, preserving, appraising and disposing of TVA hard copy or electronic forms.

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### 3.2.1 Record and Document Management (continued)

- C. Public Survey and Information Collection - This program provides guidance and processes for conducting a survey or collecting information from ten or more members of the public on behalf of TVA (44 U.S.C. 3507).
- D. Electronic Mail as Records - This program provides administrative controls and implements program standards for organizations to use in creating, using, maintaining, preserving, appraising and disposing of TVA electronic mail in hard copy or electronic format.
- E. Electronic Approval - This program provides guidance on how to identify, manage, and maintain electronically approved records.
- F. Vital Records - This program provides guidance on how to identify, manage, and maintain vital records.

### 3.2.2 Mail Services

Provide receipt for accountable mail, forwarding and distribution of correspondence to and from TVA organizations and locations. Facilities Management coordinates and assesses the effectiveness of this program.

### 3.2.3 TVA Research Library Services

Provide access to information needed to support TVA functions. Facilities Management coordinates and assesses the effectiveness of this program.

## 3.3 Roles and Responsibilities

### TVA Board of Directors

- A. The Board delegates the following responsibilities to the Executive Vice President, Administrative Services for the ownership and oversight. Responsibilities under this program include, but are not limited to, the following:
  - 1. Planning, designing, operating and maintaining associated processes, systems and supporting infrastructure administered through related programs, strategies, standards, procedures, guidelines and architectural directions.
- B. The Executive Vice President, Administrative Services delegates to the Senior Vice President, Information Services who is the designated record and document management official for TVA and the primary sponsor for TVA's record and document management programs.

### IT Business Strategy Council (ITBSC)

The ITBSC provides governance to the Information Management Advisory Panel (IMAP) to ensure that TVA's Record and Document strategies align with TVA's business strategy.

The ITBSC will be the approving body for subsequent SPPs in the 31.0 series, the Records Management functional area.

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### **3.3 Roles and Responsibilities (continued)**

#### IS Enterprise Document Management (EDM)

EDM responsibilities under this program include, but are not limited to, the following:

- A. Plan, coordinate, and assess the effectiveness of TVA's Record, Document, and Forms management programs.
- B. Establish administrative controls and implement program standards for organizations to use in creating, using, maintaining, preserving, appraising and disposing of TVA records which includes hard copy or electronic forms and electronic mail.
- C. Sponsor TVA information technology systems that manage records.
- D. Ensure TVA's records and information management systems comply with applicable federal and state laws, regulations, and regulatory requirements.
- E. Advise agency organizations on the establishment and management of effective record management systems and paperwork practices.

#### Information Management Advisory Panel (IMAP)

The Information Management Advisory Panel (IMAP) ensures that TVA's Record and Document strategies align with TVA's business strategy and supports critical success factors identified in TVA's performance management process. The IMAP is governed by the IT Business Strategy Council (ITBSC) and shall consist of 1 representative from each organization.