The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats, and to identify best practices and model solutions within Federal agencies.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 SAORM report on the NARA website upon receipt. Please ensure that your agency's report is a publicly releasable version. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. NARA intends to list any non-responding agencies in a summary report and on the website.

Instructions for Reporting:

- This template covers both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the questions/items below and send the report to rmselfassessment@nara.gov. Include the words "SAORM 2020 Annual Report - [Agency Name]" in the subject line of the email.
- If you are responsible for records management in multiple agencies, components, or bureaus, please determine how you will submit reports to NARA. While NARA prefers a comprehensive report, you may submit separate reports for each component.

Provide the following information (required):

- Name of SAORM:
- Position title:
- Address:

David Fountain
Executive Vice President and General Counsel
400 West Summit Hill Drive, WT6
Knoxville, TN 37902

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately?**

   Please provide a list, and also indicate any that are new or have been changed due to reorganization or other circumstances.

   This report will be all inclusive for the Tennessee Valley Authority (TVA).

2. **Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?**

   ☒ Yes

   ☐ No

   ☐ Do not know

   Please explain your response (include details of specific challenges, if applicable):

   The pandemic has highlighted the importance of transitioning from paper to electronic records management and helped moved initiatives forward toward the December 2022 deadline.

3. **Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)**

   ☒ Yes

   ☐ No

   ☐ Do not know

Please provide details on what support is needed:

Records management and data governance partner on initiatives to achieve common goals to ensure that agency records are appropriately managed throughout the records lifecycle and that data policies exist to manage non-record material.

4. **Has your agency made progress towards managing all <u>permanent</u> records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

☒ Yes

☐ No

☐ Do not know

Please explain your response (include specific goals and example metrics):

TVA currently manages most temporary and permanent records in electronic format in OpenText ECM (an ERKS compliant platform) and in other integrated data-specific platforms driven by business requirements.

Specific efforts are underway to meet with business units across TVA to identify any holdings outside these platforms to ensure they are being managed appropriately throughout the lifecycle. This work includes an inventory of all permanent records to ensure there is a high level of visibility and accountability in place for retention and ultimate transfer to NARA.

There are a limited number of areas where paper records are still being created and stored in physical form, particularly in the plant and field work areas. Targeted work is underway to find business solutions to allow for records to be created electronically, particularly using dynamic forms, or to ensure that physical records are being converted to electronic records for storage.

Additional work is needed to effectively manage electronic records through the final stage of the lifecycle – disposition. For temporary records, this includes an improved process to connect trigger dates of closure with disposition rules for subsequent destruction after retention is met. For permanent records, this includes more testing to ensure compatibility of systems for transfers to NARA.

With this defined engagement effort, TVA is on track to meet the 2022 deadlines.

5. **Has your agency made progress towards managing all <u>temporary</u> records in an electronic format by December 31, 2022? (M-19-21, 1.3)**

☒ Yes

☐ No

☐ Do not know

Please explain your response (include specific goals and example metrics):

See response to #4 above.

6. **Is your agency investing resources in IT to support the transition to electronic recordkeeping?**

☒ Yes

☐ No

☐ Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

The team is working to identify upgrades needed to the OpenText ECM system and leadership is ensuring that resources are available for this effort.

Initiatives are underway around the business units to identify opportunities to digitize holdings and find business solutions to support creation of electronic records and integration of systems to ECM.

7. **To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)**

☒ Yes

☐ No

☐ Do not know

Please explain your response (include specific goals and example metrics):

TVA closed its agency-operated records center in 2019. Eligible records are held at the Federal Records Center in Ellenwood, GA and the Iron Mountain commercial storage facility in Boyers, PA.

8. **Does your agency have policies and procedures that include documentation to ensure records of <u>newly appointed and outgoing senior officials</u>* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?**

*Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries,

administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

☒ Yes

☐ No

☐ Do not know

Please explain your response (include specific details of policies and procedures):

TVA has policies and training in place that outline the records management responsibilities of federal employees at all levels. Efforts in this regard include awareness campaigns, annual employee and role-based training, executive briefings, written policies, and process safeguards against record deletion.

9. **Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?**

☐ Yes

☒ No

☐ Do not know

Please explain your response (include details of specific challenges, if applicable):

10. **Do you have suggestions for NARA to improve its engagement with you as the SAORM?**

☐ Yes

☒ No

☐ Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):

TENNESSEE VALLEY AUTHORITY
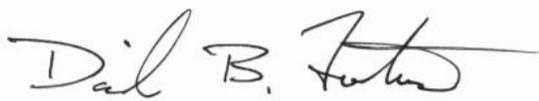
David B. Fountain
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Senior Agency Official for Records Management