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 (OMB) and NARA issued a memorandum, *Transition to Electronic Records* (M-19-21), to ensure that all federal records are created, retained, and managed in electronic formats. M-19-21 gave agencies until the end of December 2022 to comply with several specific deadlines.

On December 23, 2022, OMB and NARA issued a new memorandum, *Update to Transition to Electronic Records* (M-23-07) reinforcing the goals in M-19-21 and extending the 2022 deadlines to June 30, 2024.

Additionally, on January 1, 2021, Congress enacted the Preservation of Electronic Messages and Other Records Act, amending 44 U.S.C. Chapter 29, that requires the electronic capture, management, and preservation of such electronic records in accordance with the records disposition requirements of 44 U.S.C. Chapter 33.

This year's SAORM report provides an opportunity for agencies to report on plans and progress towards electronic recordkeeping and preservation under these requirements, as well as other important records management initiatives.

The reporting period begins on January 9, 2023, and reports are due back to NARA no later than March 10, 2023.

NARA plans to post your 2022 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 on our website.

Instructions for Reporting:

- This template covers records management program developments, including those related to the transition to electronic recordkeeping as required by M-19-21 and M-23-07.
- 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 2022 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.

NARA may follow up with agencies to obtain additional information and/or documentation related to responses provided in the template.

As in previous years, we will be validating selected questions and responses from agencies. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

Provide the following information (required):

- **Name of SAORM: David B. Fountain**
- **Position title: Executive Vice President and General Counsel**
- **Address: 400 West Summit Hill Drive, 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 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. **In response to the COVID-19 pandemic, have any of the temporary adaptations to agency business processes become permanent improvements to the management and preservation of electronic records?**

   ☑ **Yes**
   ☐ No
   ☐ Not applicable, no adaptations were needed

☐ Do not know

Please explain your response. (If Yes, include details of the changes and why they became permanent. If No, or Do not know, please explain your answer.)

The pandemic highlighted the importance of transitioning from paper to electronic records management and helped move initiatives forward under M-19-21 and M-23-07. TVA has a hybrid workforce now and the ability to access electronic records and information remotely has been key to maintaining high levels of productivity and efficiency. TVA continues on a path of digital transformation to expand capabilities through power analytics, robotics, and collaboration to improve operations.

3. **Has your agency taken action to meet the goal to manage, preserve and transfer all permanent records in an electronic format with appropriate metadata by June 30, 2024? (M-19-21, 1.2 and M-23-07, 1.1 and 1.2)**

   ☑ **Yes**
   ☐ No
   ☐ Do not know

   Please explain your response with specific actions taken, challenges and results.

TVA has transitioned to managing current permanent records electronically; however, work remains to digitize large collections of permanent active records that support operations. NARA's draft standards are not set to be finalized until the end of 2023, but TVA has moved forward on some projects to ensure alignment with the deadline. Time and cost are potential barriers to successfully meeting this objective.

4. **Has your agency taken action to meet the goal to manage and preserve all <u>temporary</u> records in an electronic format by June 30, 2024? (M-19-21, 1.3 and M-23-07, 1.3)**

   ☑ **Yes**
   ☐ No
   ☐ Do not know

   Please explain your response with specific actions taken, challenges and results.

TVA has transitioned to managing temporary records electronically. An initiative has been underway for 18 months to clear all corporate spaces of paper records which has allowed for the review, disposition, or digitization of temporary holdings.

There remain 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, and additional work

is needed to deploy technology to complete this transition. Technology gaps and costs are potential barriers to successfully meeting this objective.

5. **Will your agency meet the requirements of M-19-21, 1.3 and M-23-07, 1.3 to close agency-operated records storage facilities and transfer inactive, temporary records to Federal Records Centers or commercial records storage facilities by June 30, 2024?**

☑ **Yes**
☐ No
☐ Not applicable, all records are in electronic format
☐ Do not know

Please explain your response with specific actions taken, challenges and results.

TVA met this objective and 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.

6. **Does your agency have policies and procedures that incorporate records management into the information governance (IG) framework for information, data, and other agency information management? (This includes a relationship between CIO, CDO, SAORM, DRO/ARO, Records Management (RM) Staff, Security, Privacy Officers, and FOIA)**

Note: The incorporation of records management into information governance is part of the framework covered by OMB Federal Data Strategy - A Framework for Consistency (M-19-18) as it provides a vision for managing and using federal data, along with recordkeeping requirements included in OMB Circular A-130, Managing Information as a Strategic Resource.

☑ **Yes**
☐ No
☐ Do not know

Please explain your response and provide details about how your agency's policies enhance IG and RM's role or relationship to it.

Enterprise Records is integrated into many programs at TVA including collaborative partnerships to promote federal records management.
  ▪ **Partners with Data Governance 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, as well as to control access and approve use of information.**

- Partners with Technology & Innovation to review new systems and approve enhancements to integrate systems with the official electronic recordkeeping system.
- Partners with Cybersecurity and Privacy to ensure the sustainability and security of records and implementation of CUI classifications.
- Partners with Emergency Management and Technology & Innovation to establish essential records and business continuity plans.
- Partners with FOIA and Legal Counsel to respond to information requests and subpoenas.
- Partners with the SAORM and CIO to provide strategic direction to the federal records management program and ensure adequate resources for execution of governance role.

7. **Has your agency developed policies and procedures to ensure the capture and preservation of electronic messages, including when hardware or software is upgraded?**

Note: Electronic messages means electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals. Electronic messages that satisfy the definition of a federal record under the Federal Records Act are electronic records. This includes email, text messages, chat messages, voicemail, social media posts, and other similar applications. (See: Email Management and CFR 1236: Electronic Records Management)

☑ **Yes**
☐ No
☐ Do not know

Please explain your response and include details of your agency's methods to capture and preserve electronic messaging records or challenges preventing you from doing so.

TVA has completed its required recertification review for Capstone email management and is prepared to submit the plan for approval. Solid policies and procedures have been in place for some time.

Work is underway now to consider expanding the Capstone approach to other forms of electronic messaging under the new directive which could align well to new technologies being deployed. Agencies have collaborated with NARA to understand the treatment of collaborative platforms such as WebEx and Teams with chat and message board capabilities under this directive and will continue to look to NARA for guidance on implementation although new policies are in draft.

Challenges do exist in the capture of voice mail and text messages under Capstone as TVA deploys a bring-your-own-device program which currently requires employees to transfer eligible records (beyond transitory) to official email or to the electronic recordkeeping system.

8. **Is your agency using or exploring cognitive technologies to identify records and distinguish between temporary and permanent retention?**

    Note: Cognitive technologies generally describe automated technologies that can be applied to recordkeeping practices and procedures. These include Artificial Intelligence, Robotic Process Automation, Software Robot or Bot, and other machine learning technologies.

    ☑ **Yes**
    ☐ No
    ☐ Do not know

    Please explain your response. (If Yes, include details on both methods and tools being explored, the level of accuracy and how that level is determined.)

    TVA has deployed robotic process automation throughout the records management lifecycle.

    AI and machine learning are used to extract data in records to populate inventory and financial systems. BOTs are used with workflows to validate processes and gather records for publishing, as well as to create CRM and other profile records. They are also used to connect records within different systems to populate dashboards and perform analytics.

    While these technologies are not used to distinguish retention rules, they do use business rules to map records for publishing which drives them to content areas with retention rules applied as metadata.

    TVA is in the study phase to upgrade its electronic recordkeeping system and additional capabilities are being reviewed.   As new technologies are deployed, TVA performs a robust business case and risks analysis which drives the parameters of acceptable statistical audit.

9. **Do you as SAORM regularly oversee and evaluate the effectiveness of your records management program and its compliance with statutes and regulations?**

    ☑ **Yes**
    ☐ No
    ☐ Do not know

    Please explain your response including what specific measures you have incorporated into the SAORM role.

    The Enterprise Records program is within my oversight as Executive Vice President and General Counsel for TVA, and the Agency Records Officer is my direct report and a member of our senior leadership team. Through this organizational structure, I am

directly engaged with the program and receive weekly updates on new regulations and directives, enterprise-wide projects, and issues for resolution. This provides me with insight to elevate concerns and create awareness of projects at the executive level of leadership.

Through our business planning process, the team defines high level initiatives, metrics, and key action plans that are tracked and reviewed monthly through milestones and goal achievement. The team works from a program plan that prioritizes regulatory directives and corrective action items to ensure the program continues to develop while meeting the emerging needs of the business. On a quarterly basis, I meet with the full Enterprise Records team to learn about work around the agency.

I am actively engaged in a communications and training plan with the team that includes employee news articles, leadership briefings, video messages, and email blasts regarding federal records management requirements and change management initiatives.

The regulatory requirements of federal records management are mapped within our compliance register and detailed within policies and implementing procedures. Much work has been done to stand up a robust program over the last two years and that work continues as we ensure that federal records management is connected to all facets of the enterprise.

10. **Is there specific policy or guidance you need from NARA to support the strategic direction of your records management program?**

☐ Yes
☑ **No**
☐ Do not know

Please explain your response and include any comments on existing, pending, and future topics.

11. **Do you have any suggestions for how NARA can better engage with you and your program in your role as SAORM?**

☐ Yes
☑ **No**
☐ Do not know

Please explain your response and include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions.