



Senior Agency Official for Records Management FY 2015 Annual Report Template

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management to provide an annual report to NARA. This report demonstrates how your organization is achieving the goals of the *Directive* and other important initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in meeting the goals of the *Directive*, including implementing proper email management and transitioning to electronic recordkeeping. Additionally, NARA uses the report for information sharing purposes to provide best practices and model solutions with Federal agencies.

The reporting period begins on November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a PDF version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Let us know whether there is a specific justification as to why your report cannot be publicly shared.

Instructions for Reporting

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to prmd@nara.gov. Include the words “SAO annual report” 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 SAO: **Scott D. Self**

Position title: **VP, Chief Information Officer**

Address: **1101 Market Street (SP 3A-C)
Chattanooga TN 37402**

Office telephone number: **423.751.4009**

1. What are the agencies, components, or bureaus covered by this report and your position as SAO?

Please list them below:

Tennessee Valley Authority

2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

X - Yes No

2a). *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved email policies,*
- *use of any automated systems for capturing email,*
- *providing access / retrievability of your email,*
- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
- *possible implementation of the Capstone approach for applicable agency email.*

TVA's Enterprise Content Management system features electronic disposition. TVA is currently preparing for this Directive and is reviewing the Capstone approach for potential implementation.

2b). *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

TVA intends to form a project team to include business partners from OGC, OIG, Information Technology, Communications, and Records Management to focus on this Directive.

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to forward electronic messages, (including email, texts, chats, and instant messaging) from their non-official accounts to official accounts within 20 days?

X - Yes No

Please provide a brief description of the actions taken such as establishing policies and providing training.

Yes, TVA is complying with the 2014 amendments. The TVA Board of Directors have TVA email accounts that they copy when using a non-official account, and all TVA employees have received communications on remaining in compliance with the Federal Records Act.

4. Describe your agency's internal controls for managing electronic messages (including email, chat and text messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

TVA currently owns software that prevents deletion based on assigned attributes (job position/level). This software integrates with TVA's email and HR systems, and acts as an internal control during litigation holds. Policies and change management procedures are being drafted to determine how the technology can be applied to effectively manage enterprise-wide email messaging.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

X - Yes No

5a). *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

All agency records, as well non-electronic records are currently captured in the agency NARA-approved records schedule.

5b). *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

TVA intends to complete an agency-wide listing of all current record schedules that are being utilized. All schedules have been built into the agency Enterprise Content Management System.

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

X - Yes No

6a). *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved electronic records policies,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records (either destroy in agency or transfer to NARA)*

TVA's permanent electronic records are stored in the agency's approved electronic content management system, which provides full life cycle management. TVA anticipates that this effort will be completed by 12/31/2019, with the exception of records that are in physical formats and are several decades old.

6b). *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

All agency permanent electronic records are being identified before new content is migrated into the Enterprise Content Management database environment.

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

TVA's Records Management staff continues to work with organizations and agency record liaisons to make electronic document management the desired format for record/document management. The agency is currently maintaining about 75% of all record content electronically.

Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.

Equipment and labor costs associated with this Directive are challenging in a cost-cutting environment.

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

Yes No

8a). *Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

The TVA administration is not tied directly to Administration changes and is thus not appointed depending on the Presidency.

8b). *Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

The TVA administration is not tied directly to Administration changes and is thus not appointed depending on the Presidency.