



Senior Agency Official for Records Management FY 2015 Annual Report

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 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. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

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” and your agency’s 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 SAO: **Anthony C. Thompson**

Position title: **Executive Director**

Address: **1155 21st St. NW, Washington DC, 20581**

Office telephone number: **202-418-5770**

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

Please list them below: **Commodity Futures Trading Commission (CFTC)**

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*)

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.*

The CFTC will implement the Capstone methodology. We have established a working group and identified stakeholders and preliminary business requirements.

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

The CFTC obtained funding in late FY15 to undertake the requirements gathering and planning efforts related to implementing the Capstone methodology. During 2016, the CFTC plans to evaluate its Capstone Senior Official roles based on the NA-1005 guidance. We will also gather business requirements; identify recommendations and options for an email records

management solution; and develop policy and procedures. Due to resource and timing constraints, we are planning a phased development, change management, and implementation effort, which will be ongoing past December 31, 2016.

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

Yes No

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

The CFTC instituted an interim policy implementing the 2014 amendments to the *Federal Records Act* and later incorporated the elements of the interim policy into a revision to its Records Management Policy.

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

These senior officials receive training on how to manage records, including electronic messages, when they onboard, and they receive any refresher training as requested or necessary. Senior officials also receive guidance and support to manage records, including electronic messages, as they separate from the agency.

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*)

Yes No

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

The CFTC has identified its unscheduled existing paper and other non-electronic records.

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

The CFTC will perform more in-depth inventories and develop schedules for these records.

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*)

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.*

Prior to the *Directive*, the CFTC was already managing (and transferring to NARA) some permanent records in electronic format. Additionally, the CFTC was already developing information systems for registered and other external entities to submit electronic filings (some of which become permanent records) to the CFTC. These information systems, which are now operational, also allow CFTC staff to electronically process, store, and retrieve records. In furtherance of the *Directive* goals, the CFTC also began to streamline its processes, evaluate alternatives, and identify and began implementing near-term improvements for managing the bulk of its permanent records.

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

In the future, the CFTC will continue to expand the electronic record filing, storage, and retrieval systems into other CFTC business areas. The CFTC plans to continue streamlining business processes and will identify and implement more long-term solutions for receiving, storing, and managing the bulk of its permanent records. CFTC also plans to improve the indexing of and access to those records. Finally, the CFTC plans to improve the processes for transferring those records (in electronic, not paper form) to NARA.

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

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

The *Managing Government Records Directive* has overall been a positive catalyst to raise the profile and importance of records management. However, obtaining adequate resources to meet the goals of the directive is a significant challenge. CFTC has been historically been resource-constrained in this area, and those constraints have continued into FY16.

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.*
As an independent agency, the terms of office for the CFTC's political appointees are not tied to the change in Presidential administration, so the administration change would not necessarily have a significant impact on the CFTC. The CFTC provides all departing senior officials, including political appointees, with standardized briefings and guidance to appropriately manage their records prior to their departure.
- 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, including ensuring that federal records are not improperly removed from the agency.*
As described above in question 8a, any departing senior officials receive standardized briefings and guidance to appropriately manage their records prior to their departure.