



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: Edward Holder

Position title: Acting Deputy Staff Director for Management and Administration

Address: 999 E Street, NW, Washington, DC 20463

Office telephone number: 202-694-1365

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

Please list them below:

Federal Election Commission

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.*

The FEC established a Records Management Team composed of interdisciplinary senior level staff to design a program based on the Capstone Approach. The Team also considered Draft GRS 6.1 Email Managed under a Capstone Approach when designing its program. The Team prepared a Draft Email Management Policy for the Commissioners' review and comment. During this period, the Commission also decided to update its email system. Based on the functionality of the new email system, Commissioners' feedback on the Draft Policy, and issuance of the Final GRS 6.1, the revised Email Management Policy was forwarded to the Commissioners for approval. This Policy identifies Capstone officials and non-Capstone accounts, outlines the procedure for handling FEC legacy and day-forward email records, establishes the disposition practices for FEC email records, and explains proposed implementation dates.

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

Based on the criteria outlined in the revised Email Management Policy, the FEC will begin testing of the new email system. At the conclusion of testing and approval of the Email Management Policy, the FEC will implement the new email system. During testing and implementation, we will continue to look for any additional systematic capabilities that the FEC may need to meet the deadline.

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?

X Yes No

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

The FEC notified the agency head (Commissioners and their staff) and statutory officers of these new requirements for all electronic messages. The revised Email Management Policy (described above) includes a section addressing these new requirements for email records.

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).

Internal controls are yet to be established.

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.*

During FY 2014 and FY 2015, the FEC worked with NARA's Consulting Services Staff to revise its existing records schedules and design new records schedules for all of its unscheduled records. The FEC received the draft records schedule (which includes all existing paper and non-electronic records) from NARA Consulting Services Staff in FY 2015 and began meeting with its internal stakeholders to review the draft records schedule.

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

The FEC continues to review the draft records schedule with its internal stakeholders and make any necessary changes. Throughout this review, the FEC has kept its NARA appraisal archivist informed of its progress and also sought her guidance as needed in order to submit the revised records schedule by December 31, 2016.

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.*

After completion of an agency-wide records inventory, NARA's Consulting Services Staff prepared a GAP analysis as a benchmark for future records management needs and provided guidance on how to manage records in a network share and/or enterprise content management environment. The FEC's Disclosure and Information Retrieval System (already scheduled as a permanent record) appears to meet the preferred or acceptable transfer formats described in NARA Bulletin 2014-04.

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

As noted in our FY 2013 and FY 2014 Annual SAO Reports, future milestones (subject to personnel and budgetary resources) include developing and finalizing requirements to solicit an ERM, request an ERM budget, solicit an ERM system, award an ERM contract, implement an ERM, and manage permanent records electronically by FY 2020.

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 FEC has invested over the last three years in updating IT infrastructure, security, and data management in preparation to comply with records management requirements in the next few years. This effort is ongoing and reflected in our FY 2016 budget and FY 2017 budget request.

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

Yes X 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 FEC's political appointees do not serve terms coincidental with the change in the administration.

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.*

The FEC's political appointees do not serve terms coincidental with the change in the administration.