



FEDERAL ELECTION COMMISSION

INFORMATION TECHNOLOGY (IT) STRATEGIC PLAN

FY 2016-2020

EXECUTIVE SUMMARY

The IT Strategic Plan for the Federal Election Commission's Office of the Chief Information Officer covers the period from October 1, 2015 through September 30, 2020. The Plan focuses on aligning IT activities with FEC objectives and the government-wide Digital Government Strategy outlined for federal agencies by the Office of Management and Budget.

Across government and at the FEC, agencies are challenged to meet new expectations for our ability to deliver and receive digital information and services, anytime, anywhere and on any device. We must also do so safely, securely and with fewer resources. Each year, the FEC has more data and information to store, manage, share and protect. Rapidly evolving technologies challenge us to constantly upgrade and change our tools and systems to meet the public's desire for data access. New technologies require new methods for ensuring the security of our systems and the integrity and accessibility of our data.

Our challenge for the next 5 years is to position the FEC to meet the public's evolving expectations for access to digital data and tools by modernizing and streamlining our systems, processes and infrastructure. Guided by the IT Objectives outlined in this Strategic Plan, the FEC will implement the core components of a 21st century digital services model to ensure that the Agency continues to meet its mission, now and in the future.

MESSAGE FROM THE CIO – ALEC PALMER

I am pleased to present the 2016 update to the IT Strategic Plan for the Federal Election Commission which illustrates the Agency's strategic vision and direction for technology initiatives while providing guidance to Agency decision makers as they make their investment decisions. Each year we make investments in technology in order to support the vital programs and services that serve constituents efficiently and effectively.

As computing technology has the potential to transform every aspect of government, it is important that those investments be strategic and effective in delivering services and information with excellence. The way citizens access campaign finance data and the way in which we consume the data have fundamentally changed due to the impact of computing technology and social media.

By making strategic investments in technology, government serves citizens in a manner that provides them the convenience, access, choice, and control over technology empowering their interactions with campaign finance data. The goals and objectives laid out in the 2016 IT Strategic Plan consider mobile and cloud technologies first, and focus on the impact in providing new abilities on the FEC website.

The 2016 Plan continues to focus on securing the critical technology infrastructure as well as building up the capacity and skill-level of the technology workforce. Finally, the 2016 Plan also highlights the continuing efforts to ensure the successful continuation of current technology initiatives. Working together, we can ensure the 21st century government is delivering results and effectively serving its 21st century constituents.

IT STRATEGIC PLAN OVERVIEW

Approach to Development

The *Federal Election Commission Strategic Plan, FY 2014-2019*¹, and the Administration's Digital Government Strategy² were used to guide the development of this IT Strategic Plan. The IT Objectives and strategies identified in this plan were developed through a traditional approach. The mission defines the purpose and focus of the IT organization. IT objectives are defined by consideration of the FEC strategic objectives and business strategy and activities. Each objective was created in support of a business goal and designed to counter a weakness or threat, while taking advantage of our strengths and opportunities. The objectives are followed by the supporting strategies and actions used to realize each FEC and IT objective. These are the issues we addressed as we developed this Strategic Plan.



¹ <http://www.fec.gov/feci/documents/OIGStrategicPlan2016-2020-FINAL-09-30-15.pdf#search=strategic%20plan>

² <https://www.whitehouse.gov/sites/default/files/omb/egov/digital-government/digital-government-strategy.pdf>

ACHIEVING THE FEC'S MISSION

Mission drives organizations, and the need to deliver better services to customers continues to push every level of government to look for new solutions. The FEC's Office of the Chief Information Officer (OCIO) is committed to ensuring that the FEC has IT systems, tools and resources in place to meet the Commission's mission *to protect the integrity of the federal campaign finance process by providing transparency and fairly enforcing and administering federal campaign finance laws*. Over the next five years, the OCIO will seek innovative solutions to meet IT challenges arising from rapidly evolving technologies and a growing demand for the FEC's services, in support of the FEC's mission.

The FEC has set as its strategic goal *to fairly, efficiently and effectively administer and enforce the Federal Election Campaign Act, promote compliance and engage and inform the public about campaign finance data and rules, while maintaining a workforce that delivers results*. This goal is supported by four objectives.

FEC Objective 1: Engage and Inform the Public about Campaign Finance Data

The *Federal Election Campaign Act* (FECA/the Act) requires accurate and comprehensive public disclosure by federal candidates and political committees of all contributions and expenditures. In an average fiscal year, the FEC receives campaign finance reports, statements and other disclosure documents from more than 10,000 political committees and other filers. The Commission will facilitate transparency in the federal campaign finance system through a state-of-the-art, web-based public disclosure system for all campaign finance activity, ensuring that this vast quantity of campaign finance data is available to the public quickly and in a manner that is easy for the general public to sort and search. In addition to ensuring greater access to a larger quantity of campaign finance data, the FEC will also promote public engagement, usability and greater understanding of campaign finance data through targeted educational and communication initiatives.

FEC Objective 2: Promote Compliance with the FECA and Related Statutes

The Commission's statutory obligation is to administer, interpret and enforce the FECA, which serves the compelling governmental interest in deterring corruption and the appearance of corruption in financing elections. In doing so, the Commission must remain mindful of the First Amendment's guarantees of freedom of speech and association, and the practical implication of its actions on the political process.

Public confidence in the political process depends not only on laws and regulations to assure transparency and limits and prohibitions on the amounts and sources of

contributions, but also on the knowledge that those who disregard campaign finance regulations will face real consequences for non-compliance. The FEC will focus on administering fair, effective and timely enforcement and compliance programs.

Complementing the FEC's vigorous enforcement and compliance programs are the FEC's increased efforts to promote voluntary compliance. Because of the large and rising number of political committees and the ever-growing number of financial disclosure reports filed with the FEC, voluntary compliance is essential. Accordingly, the Commission will devote significant resources to encourage voluntary compliance through the widespread dissemination of educational materials related to campaign finance laws to the public, the press, political committees and to state election officials.

FEC Objective 3: Interpret the FECA and Related Statutes

The Commission responds to questions about how the Act applies to specific situations by issuing advisory opinions (AOs). In addition, Commission initiatives, Congressional action, judicial decisions, petitions for rulemaking or other changes in campaign finance law often necessitate that the Commission update or adopt new regulations. Consequently, the FEC undertakes rulemakings either to write new Commission regulations or revise existing regulations.

The Commission represents itself in litigation before the federal district and circuit courts and before the Supreme Court with respect to cases involving publicly financed Presidential candidates. It also has primary responsibility for defending the Act and Commission regulations against court challenges. In addition, the FECA authorizes the Commission to institute a civil action in enforcement matters that cannot be resolved through voluntary conciliation.

Objective 4: Foster a Culture of High Performance

The Commission will devote significant attention to ensuring that it can recruit and retain a diverse and engaged workforce that is well-trained, well-informed and understands the Agency's mission. Organizational performance is also significantly improved when internal management processes are efficient and effective. The Commission will take steps to ensure that the Agency's working environment promotes and supports the best efforts of its staff.

Role of the Office of the Chief Information Officer

The OCIO consists of four units that together work to help ensure the Agency meets its strategic goal and objectives: (1) Enterprise Architecture; (2) Operational Support; (3) Data Administration; and (4) IT Security. OCIO provides secure, stable and robust technology solutions for Commission staff and the public. OCIO ensures Agency employees have a technology infrastructure that allows them to perform their day-to-day responsibilities administering and enforcing campaign finance laws. OCIO develops and supports analytic reporting tools that help staff perform their disclosure and compliance duties.

In addition, OCIO develops and maintains the systems that serve as the public's primary source of information about campaign finance data and law. In this way, OCIO serves a pivotal role in ensuring the FEC protects the integrity of the federal campaign finance process by ensuring that the public has access to reliable data describing how candidates raise and spend funds to support their campaigns.

The OCIO bears the primary responsibility for pursuing the Agency's first strategic activity, as identified in the FEC Strategic Plan: to ensure easy public access to both raw data and data summaries on the FEC website and to communicate the availability of disclosure resources to the public. Thus, in addition to supporting agency-wide information technology operations, OCIO places a special emphasis on ensuring that campaign finance data and information is collected, maintained and made available to the public in a manner that ensures the integrity and accessibility of that information.

BUILDING A 21st CENTURY STRATEGY

The President has set federal agencies a challenge—soon to become a mandate—to innovate with less to deliver better digital services. Today’s mix of “cloud-computing,” ever-smarter mobile devices and collaboration tools is changing the consumer landscape, providing government with both a challenge and an opportunity. New expectations require agencies to be ready to deliver and receive digital information and services anytime, anywhere and on any device. Agencies must do so safely, securely and with fewer resources.

The Administration has set out a roadmap for meeting this challenge in its Digital Government Strategy. This strategy is based on the implementation of four core components:

1. An **information-centric** approach where we stop managing “documents” and start managing discrete pieces of open data and content that can be tagged, secured and shared in the way that is most useful to the consumer of that information.
2. A **shared platform** approach where we consolidate and streamline our systems and processes to reduce costs and ensure consistency in how we create and deliver information.
3. A **customer-centric** approach that influences how we create, manage and present data to ensure that customers can shape, share and consume information when and how they want it.
4. A platform of **security and privacy** that ensures innovation happens in a way that provides for the safe and secure delivery and use of digital services to protect information and privacy.

Following these principles, the FEC has already taken the first steps to develop the IT infrastructure necessary to support a 21st century digital services model. The FEC’s vast store of campaign finance data is arguably our most valuable and most durable asset. The Agency currently maintains 40 years’ worth of detailed data on campaign finance transactions collected over time and via an array of media, including letters, paper forms and electronically filed documents. During FY 2015, we began moving this data and the systems that support it into a secure, scalable cloud environment. With a cloud-hosted system, we can enjoy effectively limitless capacity but only pay for the capacity we use. Transitioning to a cloud environment will allow us to continue to grow our database in the future, providing an agile, searchable system able to meet the public’s peak demand for services.

At the same time, we opened our campaign finance data for public use by developing an application programming interface (API), and we’ve taken significant steps to make this information portable by developing a campaign finance data interface that is fully mobile responsive. In October 2015, we released a beta version of the new FEC website that provides a customer-centered approach to sharing campaign finance data with the public.

The FEC has taken steps toward virtualization. Utilizing virtual servers increases the uptime of servers by allowing faster provisioning and provides greater efficiency by sharing a common pool of resources which can be adjusted as necessary. Stand-alone systems often leave these valuable resources idle, and unusable to other processes. These virtual systems reduce the need for data center power, cooling and space which adheres to the Federal Data Center consolidation Initiative (FDCCI). Using virtualization and additional tools, we are able to ensure those systems identified as critical are automatically mirrored to the disaster recovery site allowing us to adhere to the agency's COOP. As new systems are introduced to the infrastructure, they are evaluated on their ability to perform within a virtualized environment, and if compatible, provisioned accordingly. This same evaluation process is followed for existing systems in an effort to consolidate space and resources.

Additionally, the FEC has transitioned to smart phones and tablets, making users more productive by increasing their response to time sensitive emails and standard requests. With the addition of the soon to be released building WiFi and transition to a cloud environment, staff become more receptive by accessing documents freely throughout the building fostering collaboration through document sharing and real-time updates. OCIO is simultaneously working on completing the implementation of all three efforts; Wifi, Mobile Devices, & Transition to Cloud Environment for Email and Office Collaboration which will soon define a new level of productivity.

Going forward, the FEC is faced with the task of meeting quickly evolving user expectations for access to an ever-growing universe of data and information. Across government and at the FEC, there is simply too much information and too great of a demand for that information to be met within our current budgets and infrastructures. To meet the public's future information needs, we must begin to streamline our IT systems today. Guided by the IT Objectives outlined in this Strategic Plan, the FEC will build on its previous successes to implement the core components of a 21st century digital services model.

FEC INFORMATION TECHNOLOGY STRATEGIC OBJECTIVES

The FEC's IT Strategic Plan outlines the steps to meet this challenge over the next five years by implementing the four components of the government-wide Digital Services Strategy.

IT Objective 1: Implement an Information-Centric Approach

The FEC must fundamentally shift how it thinks about digital information. Rather than thinking primarily about the final presentation—publishing web pages, mobile applications or brochures—an information-centric approach focuses on ensuring our data and content are accurate, available and secure. We must treat all content as data—turning any unstructured content into structured data—then ensure all structured data are associated with valid metadata. Providing information through web APIs helps us to architect for interoperability and openness and makes this data freely available for public use.

IT Objective 2: Implement a Shared Platform Approach

A shared platform approach to developing and delivering digital services and managing data not only helps accelerate the adoption of new technologies, but also lowers costs and reduces duplication. The FEC will utilize shared solutions and existing infrastructure to prevent duplication and ensure that we continue to realize the best return on our IT investments.

IT Objective 3: Implement a Customer-Centric Approach

A customer-centric model requires us to focus first on the customer's needs and building our systems and processes based on those needs. To accomplish this, we must conduct research to understand how and why our customers use our services and make content more broadly available and accessible—both by making content available on multiple devices and platforms and by ensuring that the information itself is presented clearly and in plain language.

IT Objective 4: Ensure a Platform of Security and Privacy

To support information sharing and collaboration, we must build in security, privacy and data protection throughout the entire technology life cycle. We must also adopt new solutions, such as continuous monitoring, identity and authentication and credential management that support the shift from securing devices to securing the data itself and ensuring that data is only shared with authorized users.

STRATEGIES FOR IMPLEMENTATION

The strategies to accomplish these four IT Strategic Objectives are presented on the following pages.

IT Objective 1: IMPLEMENT AN INFORMATION-CENTRIC APPROACH

Strategic Activity 1.1: Develop an API Library

An information-centric approach separates information from its presentation. Instead of building a web page specifically to house data or information, an information-centric approach asks organizations to put the information itself first, making data available in a machine-readable format—a web API—that can be accessed by any number of computers in any number of ways. By leveraging the power of the API, organizations can create content once and use it everywhere.

The FEC will create a library of APIs to support the Agency's campaign finance data and information. Building APIs to present the FEC's information, such as its legal resources and web content, will make the FEC's content fully accessible to the public. Creating an API library is a first step in ensuring that campaign finance data is fully portable and useful to the public. The FEC's library of APIs will allow even non-technical users of the website direct access to FEC data and information across a range of subjects. Creating a library of APIs will also position the FEC to meet OMB's forthcoming requirement that agencies identify at least two major customer-facing systems that contain high-value data and content and present this information to appropriate audiences through web APIs.

Strategic Activity 1.2: Implement Paper Automation

The FEC is committed to providing timely and transparent campaign finance disclosure to the public and delivering data in accessible and easy-to-use formats. The FEC will implement an automated data capture process to convert paper-filed reports into structured, machine-readable data. As the technology supports the ability to automate this labor-intensive process, it will decrease data processing time, increase the accuracy of data and reduce the overall costs of capturing data from paper forms. In addition, the Agency will undertake a microfilm conversion project to transfer all remaining microfilm reels of financial reports to images, making this historical campaign finance data easily accessible to the public.

Strategic Activity 1.3: Investigate Creation of a New eFiling Platform

The FEC's eFiling platform is a crucial component of the Commission's campaign finance disclosure system. During the 2013-2014 election cycle, over 8,000 committees and other filers used the eFiling platform to file campaign finance disclosure reports. The FEC will study making improvements to its eFiling platform to allow greater operating system flexibility for users when generating filings for submission to the FEC and increase the consistency and accuracy of reporting.

A new eFiling platform could, for example, allow users to file reports using any system or device, improve data quality, improve the ease of filing, improve the process for validating filings prior to acceptance and generate modern file outputs that could provide for more flexibility in accessing data. Modernizing the eFiling platform could provide for improvements to the overall quality of data reported to the FEC—better data validation means better data. Consolidating the delivery of this data within the shared, cloud-hosted platform, as described below, could provide for better interoperability with the data portion of the website and more efficient use of the Agency's resources.

IT Objective 2: IMPLEMENT A SHARED PLATFORM APPROACH

Strategic Activity 2.1: Database Consolidation

OCIO will study moving applications and databases from a traditional agency-owned server hosting model to “light technologies” (e.g. cloud computing). Cloud computing involves storing and accessing data and programs over the Internet instead of accessing them from a computer's hard drive or a local area network. Cloud computing provides infrastructure and services, and a cloud computing provider makes servers, storage and Internet bandwidth scalable on-demand.

The move to a cloud-hosted model provides the Commission with several benefits, including scalable infrastructure on-demand. The FEC anticipates certain cost savings as a result. The Agency's Internet traffic is variable, with many more visitors accessing the website during election years and near reporting deadlines. In addition to website visitors, filers need to access the electronic filing system and Commission staff need to access applications, including the website and databases to perform their work-day duties. With a cloud-hosted application and database infrastructure, the FEC will only need to pay for the actual usage, rather than constantly maintaining the capacity to support peak usage, even during periods of reduced usage. Website downtime will be minimized and server maintenance will be managed by the cloud computing provider.

OCIO currently utilizes four data centers to host databases, application servers and the Commission's website. As part of OCIO's cloud study, OCIO will determine how best to reduce its physical footprint, as some data or applications may be ill-suited to move to the cloud. OCIO envisions reducing its number of data centers to one.

The first step in the database consolidation project will focus on the campaign finance database and eFiling platform. Specifically, OCIO plans to consolidate the data warehouse and other existing campaign finance databases to reduce redundancy and improve processing efficiency. The current campaign finance database consists of three distinct but interrelated databases, the Electronic Filing System (EFS), the current disclosure database and the data warehouse and their associated processes. The EFS and the current disclosure database provide data to www.fec.gov. In the early stages of this transition, the data warehouse will provide the reporting and data feed layer supporting the 18F website redesign project. Once the transition is complete, the data warehouse will support all publicly accessed data sources, such as campaign finance search systems and downloadable datasets. Our new strategy for delivering data to the public through an API and migrating www.fec.gov to a redesigned website allows for changes to both the architecture and processes associated with processing campaign finance data.

OCIO will conduct a study to determine what disclosure processes including web services, web applications, eFiling platform and data should be migrated to a cloud environment. Pending the results of this study the OCIO envisions, at a minimum,

moving an external disclosure database, website application servers and website servers to a cloud environment. The integrated campaign finance database will combine the best features of our current campaign finance database and the reporting functionality of the current data warehouse.

Strategic Activity 2.2: Transition Office Productivity Tools to Cloud Environment

OCIO will migrate the FEC's current office productivity tools, such as email, to a cloud environment and enhance the set of office productivity tools available to Commission staff. The new office productivity tools will be deployed to Commission staff in three phases to avoid large-scale disruptions in staff members' work. Because they will be cloud-hosted, these office productivity tools will, by necessity, be National Institute of Standards and Technology (NIST) compliant. The new tools will provide collaborative features for email management, document sharing and application access. By switching to cloud-hosted office productivity tools, the FEC will save money by eliminating the yearly costs for server and software maintenance, as well as the resources required to keep multiple servers updated, patched and backed up.

Strategic Activity 2.3: Implement Open Source Content Management System for FEC Website

The FEC will implement a Content Management System (CMS) that is open source to ensure code sharing and modular development in the future. Implementing a robust, open source CMS will help to ensure that the FEC can continue to update and share information on the site using a standardized, reproducible and efficient shared process.

Strategic Activity 2.4: Enhance FEC's Administrative Functions via Federal Shared Services

The FEC is committed to achieving an organizational excellence in its operations and administrative functions. With increased focus on the FEC's primary missions, OCIO continues to explore avenues for maintaining operational efficiencies at a reasonable cost. The Federal Shared Services program supported by OMB, CIO Council and GSA's Office of Government Wide Policy offers this opportunity.

Currently, the FEC partners with USDA as a provider for payroll and financial management. OCIO will analyze current services, develop a roadmap for implementing additional services, and assess agency readiness for an expansion of shared services.

In expanding its federal shared services portfolio, the FEC will consider services that achieve the following goals:

- Reduce data duplication across business units;
- Ease the adoption of new government wide requirements;
- Enhance the continuity of service for administrative functions;
- Reduce the infrastructure "data center" footprint;
- Improve business processes and data standards;
- Increase access to information for decision makers; and
- Share the cost of providing technology in a secure environment.

IT Objective 3: IMPLEMENT A CUSTOMER-CENTRIC APPROACH

Strategic Activity 3.1: Redesign FEC Website to Meet Customer Needs

The FEC will complete the redesign of its website, www.fec.gov, to ensure robust public access to campaign finance information and data. The new website will respond to needs articulated by our public users, and we will measure our success in creating a user-centered site through extensive usability testing performed at each stage of development.

In October 2014, the Commission entered into a partnership with 18F—a digital services delivery team in the General Services Administration—to redesign the FEC’s website. 18F was created within the GSA in March 2014 to simplify the government’s digital services. 18F directly supports the President’s Cross Agency Priority Goal to provide smarter IT delivery throughout government by eliminating barriers and creating new incentives to enable the federal government to procure, build and provide world-class, cost-effective IT delivery for its citizens and hold agencies accountable to modern IT development and customer service standards.

18F relies on an agile development model to ensure a user-centric approach. Development methodologies that are central to 18F's way of building government services include user-centered design, open source development, agile development and an API first strategy.

- User-centered design: Projects begin by researching user and stakeholder needs and often include collaborative design workshops. 18F also tests prototypes frequently for their usability by asking real users for feedback.
- Agile Development: Cross-functional teams deliver an initial prototype as soon as it meets baseline standards (often referred to as a "minimum viable product" or MVP). The team then iterates based on user feedback and usability testing to release frequent updates and improvements. 18F describes their work in stages: discovery, alpha, beta and live.
- Open source: 18F prioritizes developing its work in the open, and open source software allows for better product customization, advances interoperability between tools and improves the overall quality and security of the final product.
- API first strategy: An API allows systems to communicate and share data. By building a robust, public API first, the project has more flexibility to build various web services on top of a strong foundation. It is a more scalable, nimble approach to system development.

IT Objective 4: IMPLEMENT A PLATFORM OF SECURITY AND PRIVACY

Strategic Activity 4.1: Implement a NIST-Based Risk Management Framework

The OCIO will develop and implement an integrated IT Security Strategy that covers all aspects of the FEC's IT programs. To accomplish this goal, the FEC will implement a Risk Management Framework (RMF) based on NIST SP 800-37 Rev1, and Federal Information Processing Standards (FIPS) 199 Standards for Security Categorization of Federal Information and Information Systems. All of the FEC's RMF activities will incorporate Office of Management and Budget (OMB) policies, guidance and requirements. Elements of the RMF process include:

- Establishing a risk management framework based on NIST Publications 800-37 revision 1, and the governance program management capability to support OCIO management verticals.
- Developing an Information Assurance Program Management capability that provides horizontal policy process and procedure oversight to address any governance weaknesses identified at the Agency.
- Completing security assessment activities as required by FISMA and Special Publication (SP) 800-37 Revision 1 for systems.
- Developing enterprise-wide policies and procedures for configuration management control.
- Developing a Continuous Monitoring strategy and effectively providing visibility into all operating environments within the Agency. Monitoring will be automated to the fullest extent possible.
- Developing a holistic IT Security Roadmap covering issues such as Planning, Posture, Policy, Compliance, Tools, Training, Communications, Continuous Monitoring, Risk Management and Maturity, etc.

Strategic Activity 4.2: Leverage the Security, Accessibility and Recovery Benefits of Cloud Hosting

The OCIO will, to the fullest extent possible, decrease its overall IT security burden by sharing cyber-security risks and mitigation strategies with other federal and private entities, as appropriate. The primary activities for sharing IT security risks and mitigation strategies will involve efforts to consolidate some of the Agency's systems and processes using "light technologies," in compliance with the Administration's IT strategy to leverage the high performance and cost effectiveness—ultimately, the overall return on investment—offered by the shared platform approach. Hosting our information, data and systems in a cloud environment will provide a platform of security and privacy, allowing the FEC to better leverage government-wide cyber-security efforts. Our cloud-hosted site(s) will meet NIST requirements for IT security and allow us to share the

costs and burdens of protecting our information and systems. Hosting in a cloud environment additionally provides for the recoverability of FEC data and systems, in support of the Agency's continuity of operations efforts, without requiring the FEC to support the physical redundancy of systems and servers at a remote location.

IT Strategic Plan Governance

This IT Strategic Plan is a living document which will be reviewed annually and modified to reflect progress and updates, including changes in alignment with FEC objectives and to the business strategy.

CRITICAL FACTOR INFLUENCING SUCCESS

In order to achieve success in our strategic plan we will need to have available resources and funding approved by the Commission.