The OMB/NARA *Managing Government Records Directive* (M-12-18) requires Senior Agency Officials for Records Management (SAORM) 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 January 9, 2017 and reports are due back to NARA no later than March 17, 2017.

NARA plans to post your 2016 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.

Instructions for Reporting

- This template covers progress through December 31, 2016.
- 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 PRMD@nara.gov. Include the words "SAORM 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 SAORM: Helen Goff Foster

- Position title: Chief Administrative Officer

- Address: 451 7th Street, SW; Washington, DC 20410

- Office telephone number: 202-402-6836

- Email:

**1.** **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM?**

U.S. Department of Housing and Urban Development

**2.** **Did your agency and components meet the M-12-18, target goal 1.2 to manage all email records in an electronic format by December 31, 2016? (M-12-18, Goal 1.2 and OMB Circular A-130 5(h), 3(b), page 19)**

**Yes.**

- HUD email policy has been through the initial clearance. The HUD email policy incorporates NARA's recent changes to the email policy (Capstone). See HUD Handbook 2400.1, *Information Resources Management (IRM) Policies,* chapter 7.
- HUD Chief Information Officer (CIO) has implemented Microsoft Office 365 (MO365) for email and cloud solution.
- MO365 is the automated system used to satisfy M-12-18, Goal 1.2.
- MO365 provides access of archived emails and capabilities to retrieve email files.
- Capstone-designated emails (permanent) in MO365 have the capability to be transferred to NARA in approved format—via the Electronic Records Archive.
- HUD Records is in the process of working with the CIO to implement available retention and disposition functionality.
- HUD Records Capstone approach is in progress.

(Please note: Through a separate reporting request we will be asking your agency re cords officers to provide additional information regarding compliance with this target according to the email success criteria published by NARA in April 2016. *Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18)*

**3.** **Did your agency and its components meet the M-12-18 target deadline to schedule all existing paper and non-electronic records by December 31, 2016? (M-12-18, Part I, Section 2.5)**

**No.**

- Records Management Branch has a draft of consolidated HUD Record Schedules that allows the newly revised General Record Schedules (GRS) to supersede existing duplicative retention schedules.  The draft has been through the clearance process and will be sent to NARA n Fiscal Year (FY) 2017 for review/approval.
- Records Management Branch is scheduled to submit the revised records retention schedules (HUD Handbook 2225.6, *HUD Record Disposition Schedules*) in FY 2017 to eliminate existing redundant schedules between program areas.

If No, please list which part of your agency or components did not and why?

**4.**     **Is your agency and its components making progress toward meeting the M-12-18 deadline to manage all permanent electronic records electronically?  (M-12-18, Goal 1.1)**

**Yes.**

- Establishing formally approved electronic records policies.
- Use of any automated systems for capturing electronic records.
- Providing access/retrievability of HUD's electronic records.
- Establishing disposition practices for agency electronic records.
- The Office of Administration is currently in collaboration with the Office of the Chief Information Officer (OCIO) on plans to capture scanned records into an agency wide repository for electronic transfer to NARA Federal Records Center.
- The Office of Administration is in collaboration with OCIO to pilot scanning services in FY 2017.
- The Office of Administration is conducting an agency wide records management assessment in FY 2017 to address requirements needed to meet *Directive* goal 1.1.
- The Office of Administration is currently drafting policy that will enable HUD to comply with the December 2019 goal.

If Yes, please describe this progress.
If No, please list which part of your agency or components did not and why?

**5.**     **Has your agency developed plans or taken actions to evaluate and implement the digitization of permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, analog audio)? (M-12-18 Goal 1.1)**

**Yes.**

- In FY 2012, the HUD Documents and Distribution Branch in collaboration with the Records Management Branch provided document automation services (Document Conversion Services (DCS)) to the Department of Housing and Urban Development. This included the electronic conversion, retrieval, production, and distribution of both digital and hardcopy information.  The DCS was halted due to agency funding challenges.
- Implementing compliance with OMB M-12-18 has necessitated identification of redundancies and shortfalls in departmental records management that will yield long-term cost savings and efficiency improvements.
- HUD Documents and Distribution Branch in collaboration with the Records Management Branch will resume DCS services in FY 2017.

Please describe your specific plans or actions.

**6.** **Have you, as the SAORM, taken steps to include records management as a key component of your agency's information resources management strategy in accordance with the revised OMB Circular A-130, Managing Information as a Strategic Resource?  (OMB A-130 5.h, page 19)**

**Yes.**

- Begun initiative to manage electronic records in accordance with Government-wide requirements. This includes: a) Managing all permanent electronic records electronically to the fullest extent possible for eventual transfer and accessioning by NARA in an electronic format; and
- Begun managing all email records electronically and retaining them in an appropriate electronic system that supports records management and litigation requirements, including the capability to identify, retrieve, and retain the records for as long as they are needed; Full Functionality not yet implemented
- Ensure the ability to access, retrieve, and manage records throughout their life cycle regardless of form or medium;
- Establish and obtain the approval of the Archivist of the United States for retention schedules for Federal records in a timely fashion;
- Provide training and guidance, as appropriate, to all agency employees and contractors regarding their Federal records management responsibilities via mandatory training.